

MINUTES OF THE SENATE COMMERCE COMMITTEE

The meeting was called to order by Chairperson Karin Brownlee at 8:30 a.m. on January 28, 2010, in Room 548-S of the Capitol.

All members were present except:
Senator Jay Emler- excused

Committee staff present:
Norm Furse, Office of the Revisor of Statutes
Ken Wilke, Office of the Revisor of Statutes
Reed Holwegner, Kansas Legislative Research Department
Kathie Sparks, Kansas Legislative Research Department
Marilyn Arnone, Committee Assistant

Conferees appearing before the Committee:
Tom Cohen to be confirmed as a member of Kansas Technology Enterprise Corporation
Suchitra Padmanabhan to be confirmed as a member of Kansas Development Finance Authority
Caleb Asher, Workforce Services
Becky Blake, Travel and Tourism

Others attending:
See attached list.

Chairperson Brownlee welcomed to Committee Thomas Cohen nominated to the Kansas Technology Enterprise Corporation Board. (Attachment 1). Mr. Cohen is a life long Kansan, lives in Overland Park, and has a son and daughter. Professionally, he is a Commercial Mortgage banker and is also an attorney, though he doesn't practice. He graduated from the Kansas University School of Law in 1985, but his true interest was business. Mr. Cohen took a job as a Commercial Loan Officer at the Metcalf Bank in Overland Park, Kansas, and there his interest in small businesses developed. His interest is in entrepreneurship and job creation which are primary areas of focus for KTEC. He has had a role not only as a banker but as an investor through the Bi-State Investment Group. Through this group he had the opportunity to analyze early stage entrepreneurial companies and there developed a growing interest in entrepreneurship which he believes will translate into becoming a good KTEC Board member. Mr. Cohen has been very proactive in his involvement with KTEC by attending the Strategic Planning meeting, Great Plains Capital Conference, several board meetings and the Innovator of the Year ceremony sponsored by KTEC Pipeline. His goals and objectives for serving on the KTEC Board are: Strengthen the board's role of oversight; insure that State funds are used wisely; and assist the State in continuing to foster a strong economic development engine that KTEC is a part of. He intends to accomplish this by being a very active board member; becoming involved in the trust committee; budget allocations; and being active in local events such as the Pipeline event where he can meet entrepreneurs first- hand.

Chairperson Brownlee introduced Suchitra Padmanabhan as the nominee for Kansas Development Finance Authority and invited her to introduce her husband and two children who were in attendance. (Attachment 2) Suchitra has lived in Kansas about 10 years having moved here from Hong Kong. She worked for Bankers Trust there originating convertible bonds for Asian countries. She worked at Lehman Brothers in New York where she played a role in over \$4 billion in transactions and also worked with committees set up to advise the Federal Reserve Bank of New York. After moving to Topeka, she was Head of Fixed Income Research for Security Benefit where she was responsible for research coverage for assets invested in corporations that included both high yield and investment grade issuers. Suchitra is currently a General Partner at BC Capital, a firm that advises private equity firms and helps create a dedicated fixed income asset management platform. She thinks Kansas is fortunate to have so many knowledgeable people and she is interested in serving on boards and committees. Senator Holland ask about her goals for the position on KDFA. She hopes to give something back to Kansas and share her knowledge through this position as well as help Kansas save money through financing.

The consensus of the Committee was that these were two very talented and qualified people to serve on their respective boards.

CONTINUATION SHEET

Minutes of the Senate Commerce Committee at 8:30 a.m. on January 28, 2010, in Room 548-S of the Capitol.

Senator Schodorf moved that Thomas Cohen be favorably recommended to the Senate as a member of the KTEC Board. Seconded by Senator Reitz. :Motion passed.

Senator Schodorf moved that Suchitra Padmanabhan be favorably recommended to the Senate as a member of the Kansas Development Finance Authority. Seconded by Senator Reitz. :Motion passed

Chairperson Brownlee proposed a bill to amend the Tax Increment Finance statutes (TIF) and combine them with the transportation & district statutes.

Senator Lynn moved to introduce the bill, seconded by Senator Kelsey. Motion passed.

Chairperson Brownlee proposed another bill to revise the STAR bonds statutes to further clarify their use. Senator Lynn moved to introduce the bill, seconded by Senator Schodorf. Motion passed.

Chairperson Brownlee introduced Caleb Asher, Workforce Services, to complete his presentation on Workforce Development. (Attachment 3) Caleb reviewed briefly his previous presentation and continued by discussing the greater training capacity, and making the training system and the workforce system work together throughout the State along with technical colleges. Workforce continues to build on a strong relationship with the Board of Regents to find connections with the Regent Schools and better ways to provide needed training, but not unnecessarily duplicated among the schools. A connection is one employee being employed 50% time with Workforce and 50% time with Board of Regents. Workforce is working with Technical Education Authority trying to dispel the idea technical training is a throwback to the old VoTech, but is important and people can be very successful with technical training. Technical training is essential in many positions across the State. Workforce is also working on certification to teach basic skills for success and basic principles such as how to answer the phone, counting out change - simple things but needed. With certification, businesses know that employees have been told how to do the job and to arrive on time. Workforce wants to provide a program to be able to stack credentials one on top of another beginning in junior high school through high school and college or technical college for people to continue to grow and be ready to join the workforce.

In an effort to better serve customers, various online resources are being connected and folded into KANSASWORKS.com. Now customers can sign in once and have all resources available for use. The career Pipeline for assessment has been determined a very successful tool, so Commerce has joined the Board of Regents and the Department of Education to continue the Pipeline and avoid duplicity in the three organizations. An agreement with the Department of Corrections provides assessments for those who are entering back into the workforce from prison. Workforce wants to utilize a Pipeline beginning in junior high to help people discover what they want to do.

More Kansans are using the KANSASWORKS system today than ever before due in part to branding and integration. The State has met or exceeded USDOL performance measures the past three years resulting in a \$788,000 grant from USDOL, Kansas being 1 of only 12 states receiving grants. Workforce has reached out to local areas to better understand types of local green jobs and the types of training that are needed for the green jobs. Workforce received a 6 million dollar grant for their green program with 1.5 million going directly to community and technical colleges to increase training for these green jobs.

Chairperson Brownlee welcomed Becky Blake, Travel and Tourism, to show a really neat video. Tourism has discovered that it helps communicate their message and successes if it is done in a more interesting way so a video was developed to summarize successes for 2009. The video talked about product development efforts, education and community outreach, and partnerships with communities across the State. Tourism is proud of the 2009 partnership with Kansas Sampler Foundation on rural tourism initiative recognizing there are great opportunities for tourism in the rural community. Tourism doesn't duplicate what the small communities are doing, but supports them in their efforts. Tourism wants to align their funding dollars with initiatives that will provide the highest return to the State. Since most marketing is done out of state, this coming year Tourism plans a media blitz for the surrounding states at two different times; also a radio campaign and new publications. (Attachment 4)

CONTINUATION SHEET

Minutes of the Senate Commerce Committee at 8:30 a.m. on January 28, 2010, in Room 548-S of the Capitol.

Senator Faust-Goudeau proposed a bill by the United Builders & Contractors Association relating to Kansas small and disadvantaged business development.

Senator Schodorf moved that the bill be introduced. Seconded by Senator Kelsey. Motion carried.

The next meeting is scheduled for February 3, 2010.

The meeting was adjourned at 09:30am

COMMERCE COMMITTEE GUEST LIST

DATE: 1-28-2010

NAME	REPRESENTING
Tom Cohen	KTEC
Kevin Carr	KTEC
Kathy Smith	KTEC
Ron Kaufman	KDWP
SEAN MILLER	CAPITOL STRATEGIES
Steve Weatherford	KDFA
Ryan Vincent	KHRC
REBECCA FLYNN	KDEA
Becky Blake	KS Dept of Commerce
Richard Smalley	"
Melina Aragon	Governor's Office
Caleb Asher	KS Dept of Commerce
D. KEITH MEYERS	KS DEPT OF COMMERCE
DAVID BRENNAN	KS Dept. of Commerce
JEFF CONWAY	KS DEPT OF COMMERCE

Kansas Technology Enterprise Corporation, Board of Directors

Members:		Appointed by	Number of Appointments	Number of Senate Confirmations
Legislators:	8	Governor	10	10
House:	4	House Minority Leader	1	1
Senate:	4	Senate Minority Leader	1	1
Non-Legislative:	12	Senate President	1	1
Total Members:	20	Speaker of the House	1	1

Ex officio(s)

- Governor or Secretary of Department of Commerce
- House Minority Leader
- Secretary of Agriculture
- Senate Minority Leader
- Senate President
- Speaker of the House

Entity Description

KSA 74-8101 *et seq.* created the Kansas Technology Enterprise Corporation (KTEC). KTEC is governed by a Board of Directors, composed of 20 members, as follows:

- The Governor or, at the discretion of the Governor, the Secretary of the Department of Commerce;
- The Secretary of Agriculture;
- Four Directors who are members of the Legislature or the Speaker of the House, the House Minority Leader, the President of the Senate and the Senate Minority Leader, who serve *ex officio*, or their legislative designees;
- Four Directors who are appointed by legislative officers; and
- Ten Directors appointed by the Governor subject to Senate confirmation as provided in KSA 75-4315b.

The ten Directors appointed by the Governor must be recognized for outstanding knowledge and leadership in their fields. Six must be from the private sector and four must be from the public sector, consisting of one or more of the following: Senior administrators at institutions governed by the Board of Regents or engineers or scientists who have extensive experience in managing basic or applied scientific and technological research. Of the six directors appointed from the private sector: four directors must be persons who represent industries of the Kansas economy including small enterprises which include, but are not limited to resource-based industries, advanced technology industries, and emerging industries. Two directors must be persons who represent the private financial sector; one must have experience in the area of high-risk venture investments, and the other shall have commercial banking experience in an industry of special technological importance to the Kansas economy. The Governor must give consideration to the qualifications of the persons who served as commissioners of the Kansas Advanced Technology Commission and must give consideration to appropriate geographical representation. Terms are four years. Vacancies are filled by the Governor in the manner provided for original appointments for the remainder of the unexpired portion of the term.

Senate Commerce Committee

Date: January 28, 2010

Attachment # 1-1

Four directors must be members of the Legislature as follows: the Speaker of the House; the House Minority Leader; the President of the Senate; the Senate Minority Leader, or legislators who are appointed to represent them and are members of the standing Committee on Commerce of the Senate, the standing Committee on Economic Development of the House of Representatives or the Joint Committee on Economic Development. Legislators appointed under this subsection shall serve from the dates of their appointment until the first day of the regular legislative session in odd-numbered years and are eligible for reappointment.

Four directors must be appointed by legislative officers. One each is appointed by the Speaker of the House, the House Minority Leader, the President of the Senate, and the Senate Minority Leader. These members must be recognized for outstanding knowledge and leadership in their fields, be from the private sector, and represent industries of the Kansas economy including small enterprises which include, but are not limited to: resource-based industries, advanced technology industries, and emerging industries. Vacancies are filled in the manner in which they were made.

The Board of Directors must conduct a national search and select a corporate President who meets a national standard of experience, ability, and initiative for similar positions. The corporate President cannot be a member of the Board. The Board annually elects a Chairperson from the private sector and a Vice-Chairperson. No member may serve more than two terms. A Director, appointed by the Governor, may be removed by the Governor for cause, stated in writing, after a hearing.

All Board meetings must be in Kansas. Directors are entitled to compensation and expenses. A majority of members constitutes a quorum. The Directors must create an Executive Committee composed of the Chairperson, Vice-Chairperson, and three additional members chosen by the Chairperson from among the remaining Directors.

Budget Information

Actual FY 2008 expenditures for the Kansas Technology Enterprise Corporation (KTEC) were \$13.8 million with 16 full-time equivalent employees. The FY 2009 appropriation was \$13,562,474; FY 2010, \$8,644,669.

Contact Information

Board coordinator
Theresa Merrifield
KTEC
214 SW 6th St, First Floor
Topeka, KS 66612
296-5604
Tmerrifi@ktec.com

Kansas Technology Enterprise Corporation – Board of Directors

Power and Duties

The Board has the power to:

- Finance basic research, applied research and development and technology transfer at Kansas educational institutions which meet competitive standards of excellence as measured by national and international peers, and which create innovative collaboration between Kansas educational institutions and Kansas enterprises;
- Award applied research matching grants to Kansas educational institutions and Kansas private enterprises in order to move innovation and applied research toward commercial application;
- Engage in seed-capital financing for the development and implementation of innovations or new technologies for existing resource, technology-based, and emerging Kansas businesses; and
- Provide technical referral services to small, new, emerging or mature businesses and encourage Kansas educational institutions to establish technical information databases and industrial liaison offices which are easily accessible by both private and public sector Kansas organizations.

Senate Confirmation Information Summary
Prepared and Submitted by the Office of Governor Mark Parkinson

Appointee: Thomas M. Cohen

Position: Member, Kansas Technology Enterprise Corp.

Term Length: Four Year

Appointment Date: Upon confirmation by the Senate

Expiration Date: 01/15/2011

Statutory Authority: K.S.A. 74-8101

Party Affiliation: Democrat

⇒ **Statutory geographic representation:**

Congressional District: N/A

⇒ **Requirements** (*insert any that apply*)

County:

Size requirement (*if any*): _____

Other, specify: _____

⇒ **Statutory party affiliation** requirement:

N/A

⇒ **Statutory industry or occupation requirements** Four directors shall be persons who represent industries of the Kansas economy including small enterprises which include, but are not limited to (i) Resource-based industries of agriculture, oil and gas; (ii) Advanced technology industries of aviation, manufacturing, information and design; and (iii) emerging industries of telecommunication, computer software, information services and research services.

Salary:

Predecessor: Ted Haggart

Board Composition Prior to Confirmation of New Appointee:

Kansas Technology Enterprise Corporation

Gov Appts: 10
Total Appts: 20

Term Length: Four Years
Notes: Gov. appoints 10 members (6 private sector, 4 public),
 Limit of 2 terms, Geographic balance required Chair &
 Vice-Chair elected from private sector members by
 board.

Contact: Tracy Taylor, President
 KTEC
 214 SW 6th Avenue, Suite 100
 Topeka, Kansas 66603-3719
 785/296-5272

Statute: KSA 74-8101
Party Ratio: N/A

Confirmation: **Gov Appt Counts** Male/Female 1st--2nd--3rd--4th R/D/U **Board Active**
Term Limit: **Reg Board** 9 : 1 1 : 4 : 3 : 2 6 : 2 : 2

** Member fully assumed duties but awaits confirmation by the Full Senate

	<u>County</u>	<u>Affiliation</u>	<u>CD</u>	<u>H</u>	<u>S</u>	<u>Appointment Date</u>	<u>Expiration Date</u>	<u>Reapt</u>
Brant, Mr. David W. 2913 Wild Rose Court Wichita, KS 67205 Work 316/517-1962 Fax 316/206-5294 dwbrant@cessna.textron.com; airstest@aol.com	Sedgwick	R	4	100h	27s	9/12/2006	1/15/2008	<input type="checkbox"/>
	Position: a member Succeeds: himself -- reappointment Appointed By: Governor Nominations: Statutory Remarks: Private sector member; Representative of industries -- suggested statutory rep. of advanced technology industries Seat #: 011 [Details: aviation]							
Brush, Mr. Douglas C. 512 E. Ross St. Downs, KS 67437 Fax (785) 454-6415 Cell (785) 545-5210 Work (785) 454-3383 Home (785) 454-3961 dkbrush@nckcn.com	Osborne	R	1	110h	36s	9/12/2006	1/15/2010	<input type="checkbox"/>
	Position: a member Succeeds: himself -- reappointed Appointed By: Governor Nominations: Statutory Remarks: Private sector member; representative of industries -- suggested statutory rep. of emerging industries Seat #: 009 [Details: graphics via internet]							

	<u>County</u>	<u>Affiliation</u>	<u>CD</u>	<u>H</u>	<u>S</u>	<u>Appointment Date</u>	<u>Expiration Date</u>	<u>Reapt</u>
Dallman, Dr. Bruce D. 602 Thomas Street Pittsburg, KS 66762 Fax (620) 235-4343 Cell (812) 239-6933 Work (620) 235-4366 Home (620) 231-2999 bdallman@pittstate.edu	Crawford	U	2	3h	13s	12/17/2008	1/15/2012	<input type="checkbox"/>
	Position: a member Succeeds: himself -- reappointment Appointed By: Governor Nominations: Statutory Remarks: Regents Representative with a Specialty in Science and Technology Seat #: 006							
Elliott, Mr. Kyle L. 13913 W. 72nd Shawnee, KS 66062 Fax (816) 474-3216 Cell (816) 506-4628 Work (816) 474-8100 Home (913) 268-8812 kelliott@spencerfane.com	Johnson	R	3	17h	10s	9/12/2006	1/15/2009	<input checked="" type="checkbox"/>
	Position: a member Succeeds: John Payne Appointed By: Governor Nominations: Statutory Remarks: Information Services Seat #: 008							
Gatewood, Representative Doug P.O. Box 306 Columbus, KS 66725 Work 620-429-2559 Home 620/429-3690 Cell 620-762-0076 gatewood@house.state.ks.us	Cherokee	D	2	1h	14s	1/9/2007	1/15/2011	<input type="checkbox"/>
	Position: a member Succeeds: himself -- reappointed Appointed By: House Minority Leader Nominations: Statutory Remarks: House Minority Leader's Appointee, Legislative Member Seat #: 015							
Haggart, Mr. Ted 1701 Prestwick Drive Lawrence, KS 66047 Work 785/587-1583 Home 785/539-5589 Fax 785/587-1586 Ted.Haggart@commercebank.com	Douglas	R	2	45h	2s	7/1/2003	1/15/2007	<input type="checkbox"/>
	Position: a member Succeeds: himself -- reappointed Appointed By: Governor Nominations: Statutory Remarks: Representative of private financial sector; Commercial Banking and technological industry experience Seat #: 005							

	<u>County</u>	<u>Affiliation</u>	<u>CD</u>	<u>H</u>	<u>S</u>	<u>Appointment Date</u>	<u>Expiration Date</u>	<u>Reapt</u>
Jordan, Senator Nick 7013 Albervan Street Shawnee Mission, KS 66216 Work 913/631-4510 Home 913/631-1377	Johnson	R	3	17h	10s			<input type="checkbox"/>
	Position: a member Succeeds: David Corbin Appointed By: Senate President Nominations: Statutory Remarks: Senate President's Appointee, Legislative member Seat #: 016							
Kerr, Secretary David D. 3925 S.W. Clarion Park Drive Topeka, KS 66610 Fax (785) 296-5055 Work (785) 296-3481 Cell (785) 220-1909 Home (785) 273-7600 dkerr@kansascommerce.com	Shawnee	R	2	52h	20s			<input type="checkbox"/>
	Position: Succeeds: Appointed By: Nominations: Statutory Remarks: Secretary of Commerce Seat #:							
Lariviere, Dr. Richard 1006 Avalon Lawrence, KS 66047 Fax (785) 864-4463 Cell (512) 413-3459 Work (785) 864-4904 Home (785) 856-9002	Douglas	U	3	44h	2s	9/12/2006	1/15/2010	<input checked="" type="checkbox"/>
	Resign Note: Position: a member Succeeds: David Shulenburg Appointed By: Governor Nominations: Statutory Remarks: Senior administrator at a Regents' institution or a scientist or engineer that has experience in applied scientific and technological research Seat #: 001 [Details: KU]							
Lauerman, Mr. Tom 3009 W. 118th Street Leawood, KS 66211-3057 Cell (913) 963-6156 Work (913) 963-6156 Home (913) 345-2148 Fax (913) 345-2519 toml@kc.rr.com	Johnson	R	3	28h	11s	9/12/2006	1/15/2010	<input checked="" type="checkbox"/>
	Position: a member Succeeds: Lindsay Olsen Appointed By: Governor Nominations: Statutory Remarks: Seat #: 003							

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	<u>County</u>	<u>Affiliation</u>	<u>CD</u>	<u>H</u>	<u>S</u>	<u>Appointment Date</u>	<u>Expiration Date</u>	<u>Reapt</u>
McDonald, Dr. J. David 3760 Rushwood Ct. Wichita, KS 67226 Fax (316) 978-3772 Work (316) 978-6980 Home (316) 685-5961 david.mcdonald@wichita.edu	Sedgwick	D	4	85h	30s	10/16/2007	1/15/2011	<input type="checkbox"/>

Position: a member
Succeeds: himself
Appointed By: Governor
Nominations:
Statutory Remarks: Senior administrator at a Regents' institution or a scientist or engineer that has experience in applied scientific and technological research

Seat #: 004 [Details: WSU]

McGinn, Senator Carolyn 11047 N. 87th West Sedgwick, KS 67135 (316) 772-0147		R				31s	4/8/2009	<input type="checkbox"/>
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Position: a member
Succeeds: Nick Jordan
Appointed By: Senate President
Nominations:
Statutory Remarks: Senate President appointee

Seat #:

Murdock, Mr. Bob 1605 East 56th Avenue Hutchinson, KS 67502 Work 620-664-9622 Home 620-669-9567		Reno		1	104h	34s	9/5/2003	<input type="checkbox"/>
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Position: a member
Succeeds: Dennis Dejenbush
Appointed By: Senate President
Nominations:
Statutory Remarks: Senate President's Appointee, Private sector member; representative of industries

Seat #: 018

O'Neal, The Honorable Michael R. 8 Windemere Court Hutchinson, KS 67502 Work 785/296-7679 Home 620/663-9181		Reno		R	1	104h	34s	6/4/2009	<input type="checkbox"/>
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Position:
Succeeds:
Appointed By: Speaker
Nominations:
Statutory Remarks:

Seat #:

	<u>County</u>	<u>Affiliation</u>	<u>CD</u>	<u>H</u>	<u>S</u>	<u>Appointment Date</u>	<u>Expiration Date</u>	<u>Reapt</u>
Polansky, Secretary Adrian J. 4848 SW Skyline Parkway Topeka, KS 66614 Work 785-296-3902 Fax 785-296-8389 apolansky@kda.state.ks.us	Shawnee	D				4/16/2003		<input type="checkbox"/>

Position: a member
Succeeds: Jamie Clover Adams
Appointed By: KDOAg
Nominations:
Statutory Remarks: Secretary of Agriculture
Seat #: 020

Polsley, Ms. Rita 151 E. Highway 160 Harper, KS 67058 (800) 835-1042			0			2/7/2007	1/15/2010	<input type="checkbox"/>
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Resign Note:
Position: a member
Succeeds: Aldritt, Carmen
Appointed By: House Minority Leader
Nominations:
Statutory Remarks: House Minority Leader's Appointee, Private sector member; representative of industries
Seat #: 013

Reinhardt, Ms. Linda L. 14465 210th Road Erie, KS 66733 Home 620-431-1139 Fax 620-431-1139 dlreinhardt@chanuteks.com	Neosho	D	2	8h	14s	10/16/2007	1/15/2011	<input type="checkbox"/>
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Position: a member
Succeeds: herself
Appointed By: Governor
Nominations:
Statutory Remarks: Private sector member; Representative of industries -- suggested statutory rep. of resource-based industry
Seat #: 007 [Details: Agriculture]

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	<u>County</u>	<u>Affiliation</u>	<u>CD</u>	<u>H</u>	<u>S</u>	<u>Appointment Date</u>	<u>Expiration Date</u>	<u>Reapt</u>
Trewyn, Dr. Ron	Riley	R	2	67h	22s	9/12/2006	1/15/2009	<input type="checkbox"/>

2001 Rockhill Circle
 Manhattan, KS 66502
 Fax (785) 532-6507
 Cell (785) 341-3150
 Work (785) 532-5110
 Home (785) 587-9018

Position: a member
Succeeds: Robert Krause
Appointed By: Governor
Nominations:
Statutory Remarks: Senior administrator at a Regents' institution or a scientist or engineer that has experience in applied scientific and technological research

Seat #: 010 [Details: KSU]

Wilk, Representative Kenny
 715 Cottonwood Drive
 Leavenworth, KS 66043
 Home 913-727-2453

Leavenworth	R	2	42h	5s	<input type="checkbox"/>
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Position: a member
Succeeds: William G. Mason
Appointed By: Speaker of the House
Nominations:
Statutory Remarks: Speaker of the House Appointee, Legislative Member
Seat #: 014

01-1

Thomas M. Cohen

6906 W. 129th Pl
Overland Park, Kansas 66209
(cell) 913/226-1001 (office) 913/685-9200
Email: thomascohen@johnsoncapital.com

Professional summary

Eighteen years of commercial real estate experience. Possess extensive loan origination, loan analysis, loan underwriting and loan workout skills. A self-motivated professional, who works well under pressure, enjoys new challenges, is a team player, and is dedicated to the profession.

Willing to consider new opportunities outside of current profession.

Professional experience

JOHNSON CAPITAL

Principal

Overland Park, K.S., (see www.johnsoncapital.com)
Nov. 2006–present

Johnson Capital is a national mortgage banking firm specializing in placing permanent debt on income producing properties nationwide

- Opened and operate Kansas City office of Johnson Capital
- Johnson Capital serves as a direct Freddie Mac and FHA Map approved lender. It also serves as a correspondent (both on an exclusive and non exclusive basis) for numerous life insurance companies.
- Source, negotiate, structure and manage commercial real estate transactions for deals over \$1 million for the Middle Market borrowers nationwide.
- Total origination deal volume averaged approx. \$50-75mm/yr representing approximately 10-12 closings/yr. of all asset types including multifamily, office, retail, industrial, and hospitality.
- Built and maintain solid client base.
- Closed permanent loans with agency lending sources, Fannie Mae, Freddie Mac, FHA, life insurance companies, banks, and credit unions.
- Negotiate loan pricing, deal structure, and applications with Borrower/Sponsor, lenders, underwriters and attorneys.
- Travel throughout the U.S. meeting clients, and evaluating assets and local market conditions.

CAPMARK FINANCE (formerly GMAC Commercial Mortgage)

Vice-President

Overland Park, K.S. (see www.capmark.com)
Oct. 1996–Oct. 2006

Capmark (formerly GMACCM), is one of the nation's largest originator of commercial real estate loans.

- Originated commercial real estate loans on a nationwide with a focus on the Midwest.
- Originated loans for CMBS platform including for Capmark, Morgan Stanley, and Credit Suisse First Boston (CSFB); originated Affordable Housing loans including those with Low Income Housing Tax Credits (LIHTC's) and tax exempt bonds; originated permanent loans on historic tax credit projects; originated loans for FNMA, Freddie Mac, FHA, and life insurance companies.
- Performed the same functions and produced the same volume as described under Johnson Capital.

RESOLUTION TRUST CORPORATION

Asset Specialist

Kansas City, Mo.

1990–1995

- Oversight Manager- for one of two national contracts specializing in servicing credit enhanced bond financed assets. Portfolio consisted of approx. 60 assets with a combined BV of \$240mm.
 - SAMDA Contract Oversight manager for a RTC servicing and disposition contract which included 80 tax exempt bond financed assets and a BV exceeding \$400mm
- Asset Manager – portfolio of 25 performing and non performing credit enhanced tax exempt bond financed assets. BV exceeded \$40mm. Responsibilities included servicing, funding letters of credit, managing credit enhancement position, negotiating workouts, restructures, discounted payoffs and settlements. Assets within the portfolio included multifamily, hotels, senior housing, warehouses and office buildings.

METCALF BANK

Vice President

Overland Park, K.S.

1985-1990

Responsible for commercial and real estate lending, SBA lending, single family mortgage originations and new business development. Served on the Executive, loan and discount, trust, asset/liability, and marketing committees.

Education

Graduate, Stonier Graduate School of Banking	1990
J.D. University of Kansas School of Law, Lawrence, KS	1984
Admitted to practice, State of Kansas	
B.A. Tufts University, Boston, MA	1979

Professional Involvement

Board of Directors, Peoples Bank (see www.bankingunusual.com)	Oct. '07–April '09
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Peoples is a Kansas based community bank with branches in Kansas and New Mexico.

Civic Involvement

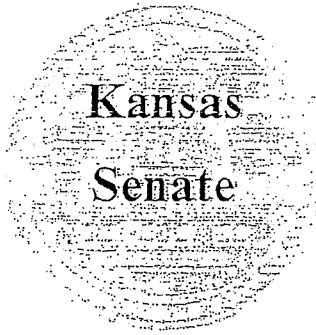
Board of Directors, Jewish Community Center of Kansas City	2003–2007
Board of Directors, United Way, Johnson County Division	2008–Present
Financial Stability Task Force Member, United Way of KC	2008–Present
Member, Downtown Council of Greater Kansas City	2007–Present

Other

Frequent speaker and panelist for the Crittenden Conferences (see www.crittendenconferences.com) Moderated panels involving the following topics:

a). construction lending, b). affordable housing, c). historic tax credit developments, d). joint venture equity partnerships, e). financing condo projects, f). labor union pension fund finance, g). mezz and bridge loan finance.

Panel Moderator and Speaker, Midwest Real Estate News Financial Conference, May 2008, Chicago



CONFIRMATION OVERSIGHT COMMITTEE

Acknowledgment of Release of Tax and Criminal Records Information Form

I, Thomas Morse Cohen acknowledge that as part of the
(print name)

Senate Confirmation Oversight Committee process I will:

- be subject to a criminal records background investigation by the Kansas Bureau of Investigation; and
- have my tax records released by the Kansas Department of Revenue.

Such information will not be released to the general public, but will be made available for review at the appropriate time by:

- Myself;
- My appointing authority;
- Chairperson of the Senate Confirmation Oversight Committee; and
- The Vice Chair of the Senate Confirmations Oversight Committee.

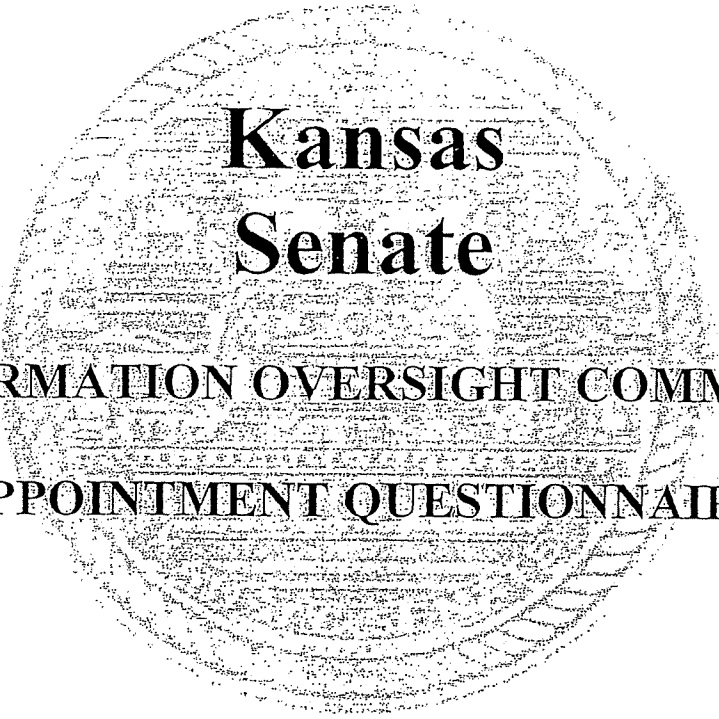
By signing the "Authorization and Certification" section (on page 8) of the Senate Confirmation Oversight Committee questionnaire, the Kansas Department of Revenue will be authorized to release my tax information and the Kansas Bureau of Investigation will be authorized to conduct a criminal background investigation on me and provide that information to the appropriate individuals.

Signature

T.M. Cohen

Date

6/8/09



Kansas Senate

CONFIRMATION OVERSIGHT COMMITTEE

APPOINTMENT QUESTIONNAIRE

Full Name: Mr. Thomas Morse Cohen
(please include title and middle name along with any names previously used)

Home Address: 6906 W. 129th Pl, Overland Park, KS. 66209
(Street Address) (City, State, Zip)

Driver's License Number: [REDACTED] Social Security Number: [REDACTED]

Position to which Appointed: Kansas Technology Enterprise Corp.

Appointing Authority: The Governor

* Information on this page will not be made public but is used by the KBI and Department of Revenue.

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(for Committee use only)

KBI Check: N/A ___ In-Process ___ Complete ___

DOR Check: N/A ___ In-Process ___ Complete ___

This Questionnaire is to be fully completed by each appointee appearing before the Senate Confirmation Oversight Committee (Committee) and returned to the Committee Chairman's Office. A meeting of the Committee to consider an appointee will not be scheduled until a completed questionnaire and other forms are received by the Chairman. Please answer each question completely to the best of your knowledge. Should a question not be applicable, please so state. Hand-written responses are strongly discouraged. If filling out this form electronically, "□" should be replaced with "X" by the appropriate response on the form. Please contact your appointing authority if you have questions when completing the form.

Full Name: Mr. Thomas Morse Cohen
(please include title and middle name along with any names previously used)

Position to which Appointed: Kansas Technology Enterprise Corp

Appointing Authority: The Governor

Home Address: 6906 W. 129th Pl, Overland Park, KS. 66209
(Street Address) (City, State, Zip)

Business Name: Johnson Capital

Business Address: 7201 W. 129th St., Ste #110, Overland Park, KS. 66213
(Street Address) (City, State, Zip)

Position Title: Principal

Home Phone: N/A Business Phone: 913-685-9200 Cell Phone: 913-226-1001

Fax Number: 913-685-9213 E-Mail Address: thomascohen@johnsoncapital.com

Kansas resident? Yes / No Date of Birth: 10/27/57 Place of Birth: Kansas City, Mo.

Registered Voter? yes Party Affiliation: Democrat

Congressional District: 3 Kansas Senate District: 11 Kansas Representative District: 20

Do you have the legal right to live and work in the United States? Yes / No

Please answer the following questions numbered 1 – 43. Each question **MUST BE ANSWERED ON THIS ORIGINAL FORM.** If the answers the question are provided on your resume, please state "See Resume" or if you supply additional attachment(s) with answers, please state "See Attachment(s)" on this form.

1. What is your educational background? See Resume
2. Describe your employment experience. Include any expertise related to the position to which you were appointed. See Resume and attached additional information.

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1-76

3. List any professional licenses that you have obtained and include the number for each license.
Kansas Bar #12325. Status: Inactive
4. Why do you feel you are a good candidate for the position to which you have been appointed?
See Attachment
5. What do you see as the purpose or mission of the role to which you have been appointed?
See Attachment
6. **Military Service:** List rank, date and type of discharge from active service.
None
7. **Government Experience:** List any experience or association with local, state or federal government (exclusive of elective public office but including advisory, consulting, honorary, appointed or other part-time service or positions) and include dates of service.
None See Resume and attachment
8. **Elective Public Office:** List all elective public offices sought and/or held with dates of service.
None See Attachment
9. **Campaigns:** Have you ever played a role or held a position in a political campaign? If so, please identify the candidate(s), the dates of the campaign and describe your involvement.
No Yes
See Attachment
10. **Honors and Awards:** List all scholarships, fellowships, honorary degrees, honorary society memberships and any other special recognition for outstanding service or achievements.
None
11. **Organization Affiliations:** List all civic, cultural, educational, charitable, or work-related organizations that you have been associated with in the past ten years. Include any position held in the organization and the dates of service.
None
See attachment and resume
12. **Organization Restrictions:** To your knowledge, is any organization listed above restricted on the basis of race, color, religion, sex, national origin, disability, marital status or veteran status? If so, please describe.
No Yes
13. **Issues:** Have you ever been publicly identified, in person or by organizational membership, with a particularly controversial national or local issue? If so, please describe.
No Yes
14. **Submission of Views:** Have you ever submitted oral or written views to any governmental authority, whether executive or legislative, or to the news media on any particularly controversial issue other than in an official governmental capacity? If so, please describe.
No Yes
15. **Associations:** Have you ever had any association with any person, group or business venture that could be used, even unfairly, to impugn or attack your character and qualifications for the position to which you seek to be appointed? If so, please describe.
No Yes

16. **Opposition:** Do you know of any person or group who might take overt or covert steps to attack, even unfairly, your appointment? If so, please identify and explain the basis for the potential attack.
No Yes
17. **Miscellaneous:** List any factors, other than the information provided above, which particularly qualifies you or is relevant to the position to which you are seeking appointment? Include any special skills.
None
18. **Relationship to Governmental Employees:** Are you or your spouse or other close family members related to any state governmental official or employee? If so, please provide details.
No Yes
19. **Compensation:** During the past five years, have you or your spouse or other close family members received any compensation or been involved in any financial transaction with the State of Kansas? If so, please explain.
No Yes
20. **Business Relationships:** Describe any business relationship, dealing or financial transaction which you have had during the last five years, whether for yourself, on behalf of a client or acting as an agent, which you believe may constitute an appearance of impropriety or result in a potential conflict of interest in the position to which you want to be appointed. If none, please so state.
None
21. **Transactions with Officials:** During the past five years, have you or your spouse or other close family members received any compensation or been involved in any financial transaction with any state government official? If so, please explain.
No Yes
22. **Spouse or Other Family Members:** If the nature of employment for your spouse or other close family member is related in any way to the position to which you have been appointed, please indicate the employer, the position and the length of time it has been held. If not, please so state.
No Yes
23. **Lobbying Activities:** Describe any lobbying activity during the past ten years in which you and/or your spouse have engaged for the purpose of influencing the passage, defeat or modification of any legislative or administrative action. Lobbying activity includes any activity performed as an individual or agent of another individual, or of any organization that involves direct communication with an official in the executive branch of state government or any official of the legislative branch. If none, please so state.
None
24. **Regulated Activities:** Describe any interest that you, your spouse or other close family member may have (whether as an officer, owner, director, trustee, or partner) in any corporation, firm, partnership or other business enterprise and any non-profit organization or other institution that is regulated by or receives direct financial benefits from any department or agency of the State of Kansas. If none, please so state.
None See attached

25. **Other:** Please describe any other matter in which you are involved that is or may be incompatible or in conflict with the discharge of the duties of the position to which you have been appointed or which may impair or tend to impair your independence of judgment or action in the performance of the duties of that position. If none, please so state.
None
26. **Conflict of Interest:** How would you resolve any potential conflicts of interest that, while maybe unforeseen at this point in time, could arise? See attached.
27. **Citations:** Have you ever been cited for a breach of ethics for unprofessional conduct, or been named in a complaint to any court, administrative agency, professional association, disciplinary committee, or other professional group? If so, please provide details.
No Yes
28. **Convictions:** Have you ever been convicted of or entered a plea of guilty or nolo contendere or forfeited collateral for any criminal violation other than a traffic infraction? (Please include any offenses of driving under the influence, operating while impaired, reckless driving, or the equivalent offenses in other states.) If so, please explain.
No Yes
29. **U.S. Military Convictions:** Have you ever been convicted by any military court? If so, please provide details.
No Yes
30. **Imprisonment:** Have you ever been imprisoned, been on probation or been on parole? If so, please provide details.
No Yes
31. **Agency Proceedings/Civil Litigation:** Are you presently, or have you ever been, a party in interest in any administrative agency proceeding or civil litigation that is related in any way to the position to which you are seeking appointment? If so, please provide details.
No Yes
32. **Agency Proceedings and Civil Litigation of Affiliates and Family:** a.) Is your spouse or other close family member currently, or ever been, a party in interest in any administrative agency proceeding or civil litigation that is related in any way to the position to which you are seeking appointment? If so, please provide details.
No Yes
- b.) Has any business in which you, your spouse, close family member or business associate are or were an officer, director or partner been a party to any administrative agency proceeding or civil litigation relevant to the position to which you are seeking appointment? If so, please provide details. (With respect to this question, you need only consider proceedings and litigation that occurred while you, your spouse, close family member, or business associate were an officer of that business.)
No Yes

33. **Other Litigation:** a.) Other than the litigation described in question 32, have you or any business in which you are or were an officer, director, or partner been a plaintiff or a defendant in a civil lawsuit? If so, please describe.
No Yes See Attached
- b.) Are you aware of any pending or anticipated litigation against you or any business in which you are an officer, director, or partner? If so, please describe.
No Yes
34. **Drivers License:** Has your driver's license ever been suspended or revoked? If so, please describe.
No Yes
35. **Parking Tickets:** Do you have outstanding parking tickets from any jurisdiction that have remained unpaid for more than 60 days? If so, please explain.
No Yes
36. **Security Clearance Denial:** Have you ever been denied a military or other governmental clearance? If so, please explain.
No Yes
37. **Firings:** a.) During the past ten years, have you been fired from a job for any reason? If so, please explain.
No Yes
- b.) During the past ten years, have you quit a job after being told that you would be fired? If so, please explain.
No Yes
- c.) During the past ten years, did you leave a job by mutual agreement because of specific problems? If so, please explain.
No Yes
38. **Alimony and Child Support:** Are you now, or have you ever been, delinquent in the payment of alimony or child support? If so, please explain
No Yes
39. **Consumption of Alcohol:** Have you ever or are you currently abusing alcohol? If so, please explain.
No Yes
40. **Controlled Substances:** Have you ever or are you currently engaged in the illegal use of a controlled substance or abusing the use of a prescribed controlled substance? If so, please explain.
No Yes See attached
41. **Physical Examination:** If you receive a conditional offer of appointment or employment, would you be willing to take a physical examination, which may include a drug test?
No Yes

42. **Governmental Delinquencies:** Are you delinquent in the payment of any obligation owed to the federal or state government or any political or taxing subdivision or any instrumentality thereof? (Include delinquencies in the payment of: Income, property, or other taxes; exactions, fees or special assessments; loans, including any defaults, on or under loans which are or were made by, guaranteed, insured or subsidized by any unit of government or instrumentality thereof; overpayment of benefits; required payments into or under governmental programs; payments under a diversion arrangement or other repayment schedule.) If applicable, please state whether such delinquency is under formal appeal.
 No Yes
43. **Other:** Please provide any additional information, favorable or unfavorable, which you feel should be considered in connection with your appointment. If none, please so state.
 None

Please include resume and completed Statement of Substantial Interest not more than twelve months old.

REFERENCES

Name: Steve Hughes Knows you how?: Personal Friend

Address: 1015 W. 58th Terr., Kansas City, Mo. 64113
(City, State, Zip)

Home Phone: 816-363-2216 Business Phone: 816-751-5288

Name: Neil Sader Knows you how?: Personal Friend

Address: 11736 W. 102d St., Overland Park, KS. 66214
(City, State, Zip)

Home Phone: 913-599-1441 Business Phone: 816-595-1800

Name: Cliff Cohn Knows you how?: Business

Address: (w) 7920 Ward Parkway, Kansas City, Mo. 64114
(City, State, Zip)

Home Phone: 913-642-4465 Business Phone: 816-300-0640

Name: John Schorgl Knows you how?: Employee and Business Associate

Address: 14033 Juniper Street, Overland Park, KS. 66224
(City, State, Zip)

Home Phone: 913-897-0060 Business Phone: 913-685-9210

AUTHORIZATION AND CERTIFICATION:

The facts set forth in my application are true and complete. False statements, answers, or omissions on this application shall be sufficient cause for nonconsideration or for dismissal after appointment or employment. I also recognize that my selection is based on receipt of satisfactory information from former employers and references, and upon my ability to perform the essential elements, with or without reasonable accommodations, for the position for which I am applying. I herein authorize investigation, without liability, of the information supplied by me in this application for employment or appointment including academic, occupational, health, law enforcement, and government records. I also authorize listed employers and references, without liability, to make full response to any inquiries in connection with this application for appointment or employment. I understand and agree that the terms, conditions, compensation, benefits, hours, schedule, and duration of my appointment or employment may be determined, changed, or modified from time to time at the will of the appointing authority or designee without limitation or condition. I FURTHER CERTIFY THAT I HAVE READ THE FOREGOING PARAGRAPH AND KNOWINGLY MAKE THIS AUTHORIZATION BY SETTING FORTH MY SIGNATURE.

I understand that if I am required to be registered, licensed, or certified by federal or state law or regulation for the position I seek, I will notify the appointing authority immediately if any investigation, limitation, or cancellation of my registration, licensure, or certification occurs. If any investigation, probation, limitation, or cancellation occurs, I understand that my failure to notify my appointing authority as described above will result in the termination of my appointment or employment.

Signature *T. M. Cole* Date 6/8/09

Appointments Questionnaire

Thomas M. Cohen

#2: Related experience includes participating as an investor in an angel investment group called, the Bi-State Investment Group ("BIG"), see www.kcbig.com. The following was taken from the BIG website:

The Bi-State Investment Group I, LLC (BIG) is a member-managed Limited Liability Company organized in 2000 to provide equity capital to early stage entrepreneurial companies within 2 hours of the Greater Kansas City Area. BIG has over 70 members, all of whom are accredited investors. BIG is structured after a similar organization in North Carolina, the Tri-State Investment Group (TIG).

Objective: The primary focus of BIG is to identify well-managed, well-positioned companies operating in industries with considerable growth potential that can generate a significant return on investment. BIG and its members want to contribute to the success of start-up companies by investing money and expertise.

Criteria: The average size of an investment from the BIG fund is \$250,000 - \$350,000.

The investment criteria are:

- High-growth potential
- A defined exit strategy
- A strong management team
- Proprietary technology and / or a competitive advantage
- A well thought business plan

Additional related experience is derived from a). owning and operating my own company, Johnson Capital Group, and b). serving as chief operating officer of Parris Communications from 1989 to 2002. During this period I was responsible for operating all phases of my former spouses' public relations company and thus am familiar with issues faced by small startup businesses.

#4: I am a good candidate for the KTEC Board for the following reasons:

- a. I have a strong interest in developing and maintaining technology oriented companies in the state of Kansas and have personally invested in them (as evidenced by my own personal investment in BIG)
- b. I have been involved in financing businesses and real estate for the entirety of my professional career and thus can bring this experience to assist KTEC and its partner's access capital or identify new options for financing its growth.
- c. I can bring a common sense and creative approach to the issues being faced by KTEC to help it survive during this economic downturn.
- d. I want to promote job growth in the state and thereby enhance revenue growth for the state.
- e. I have operated small businesses and understand many of the issues/challenges faced by startups.

#5: The purpose or mission of KTEC is to create rapid growth companies and to create high paying jobs in the state of Kansas. My role as a board member is to insure that KTEC pursues this mission in the most cost effective manner possible and to insure that it does so in an ethical manner. My own personal strength is in finance and so I intend to bring this skill set to my role as a board member. Ultimately, our role as board members is to insure that the goals and objectives established by the legislature and the governor in creating this commission are met and, hopefully, exceeded.

#7:

- Personal Staff, Senator Bob Dole, 1981. Served as driver and legislative correspondent
- Member Leawood Planning Commission: 1992-1993
- Member, Overland Park Citizens Advisory Board: 1995-1998

#8

- Precinct Committeeman, Leawood, KS.: 1990 (uncertain about date)
- Precinct Committeeman, Ward 5, Precinct 9, Overland Park, KS: 2005-2006

#9

- National Advance Staff for Presidential Candidate Congressman John Anderson, 1981
- National Advance Staff for Sen. Bob Dole, 1988
- Steering Committee for Neil Sader For Mayor, 2005

#11

- Member, Kansas City Area Development Authority, 2004-2005

#24

I am a minority investor in Peoples Bank, a Federal and State regulated bank. I was a member of the board of directors from Oct. 2007 to April 2009.

#26

I would disclose them to the board of directors, the Executive Director, and to any others that should be informed. If a conflict arose associated with a vote, I would disclose the conflict and recuse myself from voting.

#33

- Plaintiff, along with 22 other homeowners in my neighborhood, in a breach of contract/building defect case against the builder of homes in our community. This action was outstanding for about 3 years and was settled in early 2009.
- Divorce, Dec. 19, 2002, Miami County, KS.

#40

Experimental use of Marijuana during freshman year of college. Otherwise, NO, I have not.

KANSAS GOVERNMENTAL ETHICS COMMISSION
STATEMENT OF SUBSTANTIAL INTERESTS FORM
REVIEW PAGE

Please review the following information that you have entered. Once you have verified that all of your information is correct you must click on the 'Next Section' button, then complete Section H to finish your filing.

To make changes, click the link next to each section below that you want to update, or click the 'Make Changes' button then use the buttons at the bottom of each page to take you to the section you would like to update.

[Next Section](#)

[Make Changes](#)

STATE OF KANSAS



KANSAS GOVERNMENTAL ETHICS COMMISSION

ELECTRONIC STATEMENT OF SUBSTANTIAL INTERESTS FORM

INSTRUCTIONS: This statement must be completed by individuals who are required to do so by law. Any individual who intentionally fails to file as required by law, or intentionally files a false statement, is subject to prosecution for a class B misdemeanor.

Please read the "Guide" and "Definition" section provided with this form for additional assistance in completing sections "C" through "G". If you have questions or wish assistance, please contact the Commission office at 109 West 9th, Topeka, KS or call 785-296-4219.

A. IDENTIFICATION: [Click here to make changes to Section A](#)

Cohen

Last Name

Thomas

First Name

M

MI

Spouse's Name

6906 W. 129th Pl

Number & Street Name, Apartment Number, Rural Route, or P.O. Box Number

Overland Park, KS 66209

City, State, Zip Code

(913) 226-1001
Home Phone Number

(913) 685-9200
Business Phone Number

B. THIS FORM IS REQUIRED TO BE FILED BECAUSE YOU ARE: [Click here to make changes to Section B](#)
(check one or more of the following)

- 1. State Elected Official (Governor, Lt. Governor, Attorney General, Commissioner of Insurance, State Treasurer, Secretary of State, State Senator, State Representative, Member of State Board of Education or District Attorney);
- 2. Appointed Member of a State Board, Council, Commission or Authority;
- 3. Appointed State Position is Subject to Senate Confirmation;
- 4. Employee of a State Agency or University;
- 5. General Counsel for a State Agency;
- 6. Candidate for State Office.
- 7. Other (Contractor / Member of Compact)

Candidate for the Board of KS. Technology Enterprise Corp.

List the Name of Agency, Board, University or Elected Position (You may use abbreviations but not acronyms)

Board of Directors

Division if applicable (May use acronyms)

Position

* The last four digits of your social security number will aid in identifying you from others with the same name on the computer list. This information is optional. *

6	5	8	4
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C. OWNERSHIP INTERESTS: [Click here to make changes to Section C](#)

List any corporation, partnership, proprietorship, trust, joint venture and every other business interest, including land used for income, and specific stocks, mutual funds or retirement accounts in which either you or your spouse has owned within the preceding 12 months a legal or equitable interest exceeding \$5,000 or 5%, whichever is less. If you or your spouse own more than 5% of a business, you must disclose the percentage held. Please insert additional page if necessary to complete this section.

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

	BUSINESS NAME AND ADDRESS	TYPE OF BUSINESS	DESCRIPTION OF INTERESTS HELD	PERCENT OF OWNERSHIP INTERESTS	HELD BY WHOM
1.	Thomas M. Cohen Revocable Trust Midwest Trust, 5901 College Blvd, Overland Park, KS., 66211	Personal Trust	See Attached	100%	self
2.	Thomas Cohen IRA Midwest Trust, 5901 College Blvd, Overland Park, KS. ,66211	Retirement Account	See attached	100%	self
3.	Johnson Capital of Kansas 7201 W. 129th St., Overland Park, KS. 66213	Mortgage Banking	Closely held stock	50%	self
4.	Carriage House LLC, a Kansas LLC P.O. Box 180792, Coronado, CA 92178	Rental Property	Apartment Community located in Topeka, KS	5%	self

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1-26

5.	Thomas M. Cohen 401 K	Retirement Account	Mutual Funds	100%	self
	Nationwide Company				
6.	Unit #2403	Condo	Rental Property	100%	self
	222 E. Pearson, Chicago, IL 60611				

D. GIFTS OR HONORARIA: [Click here to make changes to Section D](#)

List any person or business from whom you or your spouse either individually or collectively, have received gifts or honoraria having an aggregate value of \$500 or more in the preceding 12 months.

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

	NAME OF PERSON OR BUSINESS FROM WHOM GIFT RECEIVED	ADDRESS	RECEIVED BY
1.			

E. RECEIPT OF COMPENSATION: (Part 1) 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.

[Click here to make changes to Section E1](#)

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.	Johnson Capital of Kansas	7201 W. 129th St., Overland Park, KS. 66213	Mortgage Banking
2.	Peoples Bank	4831 W. Sixth St, Lawrence, KS. 66049	Bank

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.			

F. OFFICER OR DIRECTOR OF AN ORGANIZATION OR BUSINESS: [Click here to make changes to Section F](#)

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.	Johnson Capital of Kansas	Principal	self
	7201 W. 129th St., Overland Park, KS. 66213		
2.	United Way of Greater Kansas City, Johnson County Local Operating Board	Board of Directors	self
	12351 W. 96th Terr., Ste #201, Lenexa, KS. 66215		

G. RECEIPT OF FEES AND COMMISSIONS: [Click here to make changes to Section G](#)

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.	Stephen Block,Block & Co.	700 W. 47th St., KC,MO. 64112	self
2.	Barryview Square LLC, Nick McFee, Asst Mngr	P.O. Box 681651	self
3.	Russ McKee, McKee Asst Mgmt	1001 B Ave, Ste #203, Coronado, CA. 92118	self
4.	Cliff Cohn, Yarco Companies	7920 Ward Parkway, KC, Mo. 64114	self
5.	Value Place LLC, Attn: Kay Auer, CFO	8621 E. 21st St., North, Suite #250, Wichita, KS. 67206	self

[Back to top](#), then click 'Next Section' button to finish your filing.

KANSAS GOVERNMENTAL ETHICS COMMISSION

STATEMENT OF SUBSTANTIAL INTERESTS FORM

H. DECLARATION: I declare that this statement of substantial interests 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.

If you agree with the statement above please check the box, type your name and then click 'Finish'. Click 'Back' to review your selections. If you click 'Cancel' you will be logged out and your statement will not be complete.

For additional help completing this section please contact the Governmental Ethics Commission at (785) 296-4219.

I have read and understand the above declaration.

Name of Person Making Statement:

Thomas M. Cohen

Finish

Back

Cancel

T.M. Cohen

6/11/09

Board of Directors Kansas Development Finance Authority

			Number of	Number of
Members:		Appointed by	Appointments	Senate Confirmations
Legislators:	0	Governor	5	5
House:	0			
Senate:	0			
Non-Legislative:	5			
Total Members:	5			

Entity Description

KSA 74-8903 *et seq.* created the Kansas Development Finance Authority appointed by the Governor, subject to confirmation by the Senate as provided by KSA 75-4315b.

The Board of Directors of the Authority consists of the five members appointed by the Governor. At any time, not less than three voting members of the Board must be representative of the general public and no more than three voting members may be members of the same political party.

Members serve for terms of four years and until their successors are appointed and confirmed. Any vacancy in the Board occurring other than by expiration of term is filled by the appointment of the Governor, but for the unexpired term only. The Governor designates the Chairperson and Vice-Chairperson of the Board from the members of the Board. The powers of the Authority are vested in the members of the Board of Directors and three members of the Board constitute a quorum at any meeting.

Before the issuance of any bonds, each member of the Board of Directors of the Authority executes a surety bond in the penal sum of \$250,000 and the President of the Authority executes a surety bond in the penal sum of \$250,000. Each surety bond to be conditioned upon the faithful performance of the duties of the office by the Board member or President, as the case may be, to be executed by a surety company authorized to transact business in the State of Kansas. At all times after the issuance of any bonds by the Authority, each member of the Board of Directors of the Authority maintains such surety bonds in full force and effect. All costs of surety bonds are borne by the Authority.

The members of the Board of Directors of the Authority serve without compensation, but the Authority may reimburse its Board members for mileage and subsistence expenses incurred in the discharge of their official duties as provided by subsections (b) and (c) of KSA 75-3223.

The Authority may be dissolved by an Act of the Legislature on condition that the Authority has no debts or obligations outstanding or provision has been made for the payment or retirement of such debts or obligations. Upon any dissolution of the Authority, all property, funds and assets are vested in the State.

Budget Information

There is no state budget for this entity.

Contact Information

President
Steve Weatherford
Kansas Development Finance Authority
555 S. Kansas Ave., Suite 202
Topeka, KS 66603
785-357-4445
sweatherford@kdfa.org

Senate Commerce Committee
Date: January 28, 2010
Attachment # 2-1

Kansas Development Finance Authority – Board of Directors

Powers and Duties

The Board board has the power to:

- Adopt rules and regulations it deems necessary;
- Acquire, hold, and dispose of real and personal property for its corporate purposes;
- Borrow money and issue notes, bonds and other obligations, and purchase notes evidencing loans which are secured by mortgages or security interests and to enter into contracts in that regard;
- Make secured or unsecured loans for any of the purposes for which bonds of the Authority may be issued or to low and moderate income multifamily rental housing projects participating in programs established in Section 42 of the Federal Internal Revenue Code; Provide financing for housing projects and programs in participation with programs established by the United States Department of Housing and Urban Development or the Division of Housing in the Kansas Development Finance Authority;
- Sell mortgages and security interests at public or private sale, negotiate modifications or alterations in mortgage and security interests, foreclose on any mortgage or security interest in default or commence any action to protect or enforce any right conferred upon it by any law, mortgage, security agreement, contract or other agreement, and bid for and purchase property which was the subject of such mortgage or security interest at any foreclosure or at any other sale, acquire or take possession of any such property, and exercise any and all rights as provided by law for the benefit or protection of the Authority or mortgage holders;
- Collect fees and charges in connection with its loans, bond guarantees, commitments, and servicing, including, but not limited to, reimbursement of costs of financing as the Authority shall determine to be reasonable;
- Enter into agreements with and accept gifts, grants, loans, and other aid from the federal government, the state, any state agency, any political subdivision of the state, or any person or corporation, foundation or legal entity, and to agree to and comply with any conditions attached to federal and state financial assistance;
- Invest moneys of the Authority not required for immediate use;
- Procure insurance against any loss in connection with its programs, property, and other assets;
- Provide technical assistance and advice to the state or political subdivisions of the state and enter into contracts with the state or political subdivisions of the state to provide such services;
- Establish accounts in one or more depositories;
- Lease, acquire, construct, sell, and otherwise deal in and contract concerning any facilities;
- Assist minority businesses in obtaining loans or other means of financial assistance; and
- Assist, coordinate, administer, and participate with out-of-state governmental authorities, bodies, issuers, and other public and private entities in connection with the issuance of bonds, notes, or other evidence of indebtedness for the purpose of financing any facilities, whether such facility is located within or outside of Kansas.

Senate Confirmation Information Summary
Prepared and Submitted by the Office of Governor Mark Parkinson

Appointee: Suchitra Padmanabhan **Position:** Member, Kansas Development Finance Authority
Term Length: 4 Year **Appointment Date:** Upon confirmation
Expiration Date: 01/15/2013

Statutory Authority: K.S.A. 74-8903 **Party Affiliation:** Unaffiliated

⇒ **Statutory geographic representation:** Congressional District: N/A

⇒ **Requirements** (*insert any that apply*)

County: N/A

Size requirement (*if any*): _____

Other, specify: _____

⇒ **Statutory party affiliation** requirement: Not more than 3 members of the board shall be members of the same political party.

⇒ **Statutory industry or occupation** requirements: Three members shall be representative of the public-at-large and hold no other public office or public employment.

Salary: **Predecessor:** John Montgomery

Board Composition Prior to Confirmation of New Appointee:
(SEE ATTACHED LIST)

Kansas Development Finance Authority

Gov Appts: 5
Total Appts: 5

Term Length: Four Years
Notes: Consists of 5 members. No fewer than 3 from general public.
Governor designates Chair & Vice-Chair.

Contact: Stephen R. Weatherford
Kansas Development Finance Authority
555 S. Kansas Avenue, Suite 202
Topeka, Kansas 66603
785/357-4445

Statute: KSA 74-8903
Party Ratio: 3:2

Confirmation:
Term Limit: **Reg Board**

Gov Appt Counts Male/Female 1st--2nd--3rd--4th R/D/U **Board Active**
4:1 3:0:2:0 2:3:0

** Member fully assumed duties but awaits confirmation by the Full Senate

	<u>County</u>	<u>Affiliation</u>	<u>CD</u>	<u>H</u>	<u>S</u>	<u>Appointment Date</u>	<u>Expiration Date</u>	<u>Reapt</u>
Langworthy, Audrey H. 6324 Ash Street Prairie Village, KS 66208 Work (913) 722-0100 Home (913) 362-4067 Fax (913) 722-0845 Cell (816) 797-9708 alangwo622@aol.com	Johnson	R	3	25h	7s	8/5/2005	1/15/2009	<input checked="" type="checkbox"/>
	Position: a member Succeeds: herself--reappointed Appointed By: Governor Nominations: Statutory Remarks: Public Member Seat #: 002							
Montgomery, Mr. John G. PO Box 129 Junction City, KS 66441 Home (785) 762-5252 Work (785) 762-5100 Fax (785) 762-4584 jgm@dailyu.com	Geary	D	1	65h	22s	8/5/2005	1/15/2009	<input checked="" type="checkbox"/>
	Position: a member Succeeds: himself--reappointed Appointed By: Governor Nominations: Statutory Remarks: Public Member Seat #: 003							

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	<u>County</u>	<u>Affiliation</u>	<u>CD</u>	<u>H</u>	<u>S</u>	<u>Appointment Date</u>	<u>Expiration Date</u>	<u>Reapt</u>
Reber, Mr. Brett A. 320 S. Walnut Mc Pherson, KS 67460 Work 620-241-0554 Home 620-241-7138 Fax 620-241-3641 Cell 620-242-7433 breber@bwisecounsel.com	Mc Pherson	D	1	73h	35s	2/15/2007	1/15/2011	<input checked="" type="checkbox"/>
	Position: a member and Chair Succeeds: himself-- reappointed Appointed By: Governor Nominations: Statutory Remarks: Public Member Seat #: 005							
Schaller, Mr. Timothy C. Route 2, Box 6A Larned, KS 67550 Work 316/285-2950 Home 316/285-6855 Fax 620-285-2940 Cell 620-285-5371 tim@kans.com	Pawnee	R	1	114h	37s	2/15/2007	1/15/2011	<input checked="" type="checkbox"/>
	Position: a member Succeeds: himself -- reappointed Appointed By: Governor Nominations: Statutory Remarks: Public Member Seat #: 004							
Watkins, Mr. Daniel L. 643 Indiana Lawrence, KS 66044 Work 785-843-0181 Home 785-842-8794 Fax 785-749-5652 Cell 785-979-2518 dwatk97964@aol.com	Douglas	D	3	44h	2s	8/5/2005	1/15/2009	<input checked="" type="checkbox"/>
	Position: a member and Vice-chair Succeeds: himself -- reappointed Appointed By: Governor Nominations: Statutory Remarks: Public Member Seat #: 001							

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SUCHITRA PADMANABHAN, CFA
785-383-6278

EDUCATION

CHARTERED FINANCIAL ANALYST (CFA) 2001-2003

UNIVERSITY OF CHICAGO, GRADUATE SCHOOL OF BUSINESS Chicago, IL
Master of Business Administration; Analytic Finance & Economics Concentrations 1995

- Graduated with Honors (Full-time Program).

DARTMOUTH COLLEGE Hanover, NH
Bachelor of Engineering; Bachelor of Arts 1991

- Double Degree, with BE concentration in Electrical & Electronics Engineering and double major in Engineering Sciences and Economics.
- Graduated Magna Cum Laude.

PROFESSIONAL EXPERIENCE

BC CAPITAL 2008 - present

- Created an asset management platform for fixed income investments.
- Provide advisory services to private equity funds.

SECURITY BENEFIT GROUP Topeka, KS
\$16 bil AUM Insurance and Mutual Fund provider 2002 -2007
Head of Fixed Income Research

- Performance: During my tenure, I instituted changes in the portfolio management and research processes that raised the \$400 mil high yield portfolio performance to top-quartile from median/ below median for the last 3 years of my tenure.
- Research coverage responsibility for assets invested in high yield, distressed and investment grade issuers.
- Advised the portfolio managers for portfolio strategy and execution.
- Structuring portfolios, documentation, management, surveillance and analysis for structured products.
- Alternative investments: Sourcing, researching, recommending, and conducting due diligence, documenting and monitoring fund of funds, venture capital, mezzanine and private equity investments.

BANKERS TRUST COMPANY (DEUTSCHE BANK) Hong Kong
Equity Capital Markets / Risk Management 1996 - 1998
Associate, Capital Markets

- Executed convertible bond and FRN financing transactions for leveraged Asian issuers.
- Worked with key investors and local and international counsel to restructure terms of issues that were in danger of defaulting.
- Sample issuers/ restructuring deals: Hyundai Group, Precious Shipping (Thailand), Leader Universal (Malaysia), Robinson's Department Stores (Thailand), Alphatec (Thailand).
- Advised committees of Federal Reserve Bank of New York on rating based capital requirement metrics.

LEHMAN BROTHERS INC New York, NY
Investment Banking/ Capital Markets 1991 -1993
Corporate Finance Analyst

- Assisted in the origination and execution of over \$2 bil capital markets transactions (debt, convertible bond, equity and preferred stock), M&A, ABS and restructuring transactions for clients in the sovereign, telecommunications and transportation sectors.

Suchitra Padmanabhan

Suchitra is currently a General Partner at BC Capital. BC Capital is advising private equity firms and helping create a dedicated fixed income asset management platform.

Previously, Suchitra has worked as the **Head of Fixed Income Research** for Security Benefit (2002-2007), a \$20 billion asset management firm (\$7 billion fixed income assets), where she was responsible for research coverage for assets invested in corporates, which included both high yield and investment grade issuers. She worked with the rest of the portfolio management team on portfolio strategy and execution. She also created processes and metrics to analyze and monitor underlying exposures and risk in structured products investments. Her additional responsibilities included alternative investments, including fund of funds, venture capital, mezzanine and private equity investments

Her prior experience includes originating convertible bonds for non-Japan Asia at **Bankers Trust (1995-1998), Hong Kong** and in US investment banking at **Lehman Brothers (1991-1993), New York**. While at Bankers Trust she worked on over \$2 billion total transaction size in Asian convertible bond issuances, restructurings and leveraged finance transactions. She worked with investors and counsel to restructure terms of issues that were in danger of defaulting. Sample issuers/ restructuring deals at Bankers Trust included: Hyundai Group, Precious Shipping (Thailand), Leader Universal (Malaysia), Robinson's Department Stores (Thailand), Alphatec (Thailand). She also worked with committees set up to advise the Federal Reserve Bank of New York to devise new asset rating based frameworks for measuring capital adequacy, which was eventually incorporated into Basel II.

Suchitra played a role in over \$4 billion in transactions at Lehman Brothers including fixed-rate and convertible bond issuance in the sovereign, telecom, and transportation sectors.

Suchitra graduated magna cum laude from Dartmouth with a BA/BE and with an MBA in Analytic Finance from the University of Chicago. She is a Chartered Financial Analyst (CFA).

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CONFIRMATION OVERSIGHT COMMITTEE
APPOINTMENT QUESTIONNAIRE

Full Name: Ms. Suchitra Padmanabhan Ram
(please include title and middle name along with any names previously used)

Home Address: 5100SW unish rd Topeka KS 66610
(Street Address) (City, State, Zip)

Driver's License Number: [REDACTED] Social Security Number: [REDACTED]

Position to which Appointed: Board member

Appointing Authority: KOFA - Governor

* Information on this page will not be made public but is used by the KBI and Department of Revenue.

(for Committee use only)		
KBI Check: N/A	In-Process	Complete
DOR Check: N/A	In-Process	Complete

This Questionnaire is to be fully completed by each appointee appearing before the Senate Confirmation Oversight Committee (Committee) and returned to the Committee Chairman's Office. A meeting of the Committee to consider an appointee will not be scheduled until a completed questionnaire and other forms are received by the Chairman. Please answer each question completely to the best of your knowledge. Should a question not be applicable, please so state. Hand-written responses are strongly discouraged. If filling out this form electronically, "□" should be replaced with "X" by the appropriate response on the form. Please contact your appointing authority if you have questions when completing the form.

Full Name: Suchitra Padmanabhan
(please include title and middle name along with any names previously used)

Position to which Appointed: Board member

Appointing Authority: KDFA

Home Address: 510 SW Unish Rd Topolca KS 66610
(Street Address) (City, State, Zip)

Business Name: BC Capital

Business Address: 6021 SW 29th St Ste A357 Topolca KS 66614
(Street Address) (City, State, Zip)

Position Title: General Partner

Home Phone: 785-478-1314 Business Phone: 785-478-4120 Cell Phone: 785-383-6278

Fax Number: _____ E-Mail Address: Suchitra@bcapuc.com

Kansas resident? Yes / No Date of Birth: 4/9/69 Place of Birth: India

Registered Voter? yes Party Affiliation: unaffiliated

Congressional District: 2 Kansas Senate District: 20 Kansas Representative District: 52

Do you have the legal right to live and work in the United States? Yes / No

Please answer the following questions numbered 1 – 43. Each question MUST BE ANSWERED ON THIS ORIGINAL FORM. If the answers the question are provided on your resume, please state "See Resume" or if you supply additional attachment(s) with answers, please state "See Attachment(s)" on this form.

1. What is your educational background? MBA - University of Chicago
BA, BE - Dartmouth College
2. Describe your employment experience. Include any expertise related to the position to which you were appointed. See resume.

3. List any professional licenses that you have obtained and include the number for each license.
NA
4. Why do you feel you are a good candidate for the position to which you have been appointed?
Long familiarity with public and private debt capital markets
5. What do you see as the purpose or mission of the role to which you have been appointed?
From an underwriting and investing perspective.
Provide oversight of issuance of indebtedness
6. Military Service: List rank, date and type of discharge from active service.
 None NA
7. Government Experience: List any experience or association with local, state or federal government (exclusive of elective public office but including advisory, consulting, honorary, appointed or other part-time service or positions) and include dates of service.
 None NA
8. Elective Public Office: List all elective public offices sought and/or held with dates of service.
 None NA
9. Campaigns: Have you ever played a role or held a position in a political campaign? If so, please identify the candidate(s), the dates of the campaign and describe your involvement.
 No Yes NA
10. Honors and Awards: List all scholarships, fellowships, honorary degrees, honorary society memberships and any other special recognition for outstanding service or achievements.
 None Graduated with honors from University of Chicago, Magna Cum Laude from Dartmouth College
11. Organization Affiliations: List all civic, cultural, educational, charitable, or work-related organizations that you have been associated with in the past ten years. Include any position held in the organization and the dates of service.
 None Indira Association of Teachers
CEA Institute
12. Organization Restrictions: To your knowledge, is any organization listed above restricted on the basis of race, color, religion, sex, national origin, disability, marital status or veteran status? If so, please describe.
 No Yes NA
13. Issues: Have you ever been publicly identified, in person or by organizational membership, with a particularly controversial national or local issue? If so, please describe.
 No Yes NA
14. Submission of Views: Have you ever submitted oral or written views to any governmental authority, whether executive or legislative, or to the news media on any particularly controversial issue other than in an official governmental capacity? If so, please describe.
 No Yes NA
15. Associations: Have you ever had any association with any person, group or business venture that could be used, even unfairly, to impugn or attack your character and qualifications for the position to which you seek to be appointed? If so, please describe.
 No Yes NA

16. Opposition: Do you know of any person or group who might take overt or covert steps to attack, even unfairly, your appointment? If so, please identify and explain the basis for the potential attack.
No Yes NA
17. Miscellaneous: List any factors, other than the information provided above, which particularly qualifies you or is relevant to the position to which you are seeking appointment? Include any special skills.
None
18. Relationship to Governmental Employees: Are you or your spouse or other close family members related to any state governmental official or employee? If so, please provide details.
No Yes NA
19. Compensation: During the past five years, have you or your spouse or other close family members received any compensation or been involved in any financial transaction with the State of Kansas? If so, please explain. Spouse - employed as consultant for KTEC in 2006
No Yes
20. Business Relationships: Describe any business relationship, dealing or financial transaction which you have had during the last five years, whether for yourself, on behalf of a client or acting as an agent, which you believe may constitute an appearance of impropriety or result in a potential conflict of interest in the position to which you want to be appointed. If none, please so state.
None NA
21. Transactions with Officials: During the past five years, have you or your spouse or other close family members received any compensation or been involved in any financial transaction with any state government official? If so, please explain.
No Yes NA
22. Spouse or Other Family Members: If the nature of employment for your spouse or other close family member is related in any way to the position to which you have been appointed, please indicate the employer, the position and the length of time it has been held. If not, please so state.
No Yes NA
23. Lobbying Activities: Describe any lobbying activity during the past ten years in which you and/or your spouse have engaged for the purpose of influencing the passage, defeat or modification of any legislative or administrative action. Lobbying activity includes any activity performed as an individual or agent of another individual, or of any organization that involves direct communication with an official in the executive branch of state government or any official of the legislative branch. If none, please so state.
None NA
24. Regulated Activities: Describe any interest that you, your spouse or other close family member may have (whether as an officer, owner, director, trustee, or partner) in any corporation, firm, partnership or other business enterprise and any non-profit organization or other institution that is regulated by or receives direct financial benefits from any department or agency of the State of Kansas. If none, please so state.
None NA

25. Other: Please describe any other matter in which you are involved that is or may be incompatible or in conflict with the discharge of the duties of the position to which you have been appointed or which may impair or tend to impair your independence of judgment or action in the performance of the duties of that position. If none, please so state. N A
None
26. Conflict of Interest: How would you resolve any potential conflicts of interest that, while maybe unforeseen at this point in time, could arise? N A
27. Citations: Have you ever been cited for a breach of ethics for unprofessional conduct, or been named in a complaint to any court, administrative agency, professional association, disciplinary committee, or other professional group? If so, please provide details. N A
No Yes
28. Convictions: Have you ever been convicted of or entered a plea of guilty or nolo contendere or forfeited collateral for any criminal violation other than a traffic infraction? (Please include any offenses of driving under the influence, operating while impaired, reckless driving, or the equivalent offenses in other states.) If so, please explain. N A
No Yes
29. U.S. Military Convictions: Have you ever been convicted by any military court? If so, please provide details. N A
No Yes
30. Imprisonment: Have you ever been imprisoned, been on probation or been on parole? If so, please provide details. N A
No Yes
31. Agency Proceedings/Civil Litigation: Are you presently, or have you ever been, a party in interest in any administrative agency proceeding or civil litigation that is related in any way to the position to which you are seeking appointment? If so, please provide details. N A
No Yes
32. Agency Proceedings and Civil Litigation of Affiliates and Family: a.) Is your spouse or other close family member currently, or ever been, a party in interest in any administrative agency proceeding or civil litigation that is related in any way to the position to which you are seeking appointment? If so, please provide details. N A
No Yes
- b.) Has any business in which you, your spouse, close family member or business associate are or were an officer, director or partner been a party to any administrative agency proceeding or civil litigation relevant to the position to which you are seeking appointment? If so, please provide details. (With respect to this question, you need only consider proceedings and litigation that occurred while you, your spouse, close family member, or business associate were an officer of that business.) N A
No Yes

33. Other Litigation: a.) Other than the litigation described in question 32, have you or any business in which you are or were an officer, director, or partner been a plaintiff or a defendant in a civil lawsuit? If so, please describe. *Complaint against company officers & managers more than 5 years ago. I ceased association with the company. Case was dismissed with prejudice on 8/1/07.*
 No Yes
- b.) Are you aware of any pending or anticipated litigation against you or any business in which you are an officer, director, or partner? If so, please describe.
 No Yes *NA*
34. Drivers License: Has your driver's license ever been suspended or revoked? If so, please describe.
 No Yes *NO*
35. Parking Tickets: Do you have outstanding parking tickets from any jurisdiction that have remained unpaid for more than 60 days? If so, please explain.
 No Yes *NO*
36. Security Clearance Denial: Have you ever been denied a military or other governmental clearance? If so, please explain.
 No Yes *NO*
37. Firings: a.) During the past ten years, have you been fired from a job for any reason? If so, please explain.
 No Yes *NO*
- b.) During the past ten years, have you quit a job after being told that you would be fired? If so, please explain.
 No Yes *Signed confidential separation agreement upon my resignation from Bancors Trust and Security Benefit*
- c.) During the past ten years, did you leave a job by mutual agreement because of specific problems? If so, please explain.
 No Yes *NO*
38. Alimony and Child Support: Are you now, or have you ever been, delinquent in the payment of alimony or child support? If so, please explain
 No Yes *NO*
39. Consumption of Alcohol: Have you ever or are you currently abusing alcohol? If so, please explain.
 No Yes *NO*
40. Controlled Substances: Have you ever or are you currently engaged in the illegal use of a controlled substance or abusing the use of a prescribed controlled substance? If so, please explain.
 No Yes
41. Physical Examination: If you receive a conditional offer of appointment or employment, would you be willing to take a physical examination, which may include a drug test?
 No Yes *YES*

42. Governmental Delinquencies: Are you delinquent in the payment of any obligation owed to the federal or state government or any political or taxing subdivision or any instrumentality thereof? (Include delinquencies in the payment of: Income, property, or other taxes; exactions, fees or special assessments; loans, including any defaults, on or under loans which are or were made by, guaranteed, insured or subsidized by any unit of government or instrumentality thereof; overpayment of benefits; required payments into or under governmental programs; payments under a diversion arrangement or other repayment schedule.) If applicable, please state whether such delinquency is under formal appeal. NO

No Yes

43. Other: Please provide any additional information, favorable or unfavorable, which you feel should be considered in connection with your appointment. If none, please so state. NO

None

Please include resume and completed Statement of Substantial Interest not more than twelve months old.

REFERENCES

Name: Mike Odum Knows you how?: former supervisor and investment department head at Security Benefit

Address: 71 State St Skaneateles NY 13152 (City, State, Zip)

Home Phone: 610 420 4648 Business Phone: _____

Name: Dr K N Arjunan Knows you how?: Friend

Address: 5610 SW 9th Terr. Topeka KS 66214 (City, State, Zip)

Home Phone: 272 5172 Business Phone: _____

Name: Mrs Nilima Mhatre Knows you how?: Friend

Address: 3502 SW Alameda Dr. Topeka KS (City, State, Zip)

Home Phone: 272-5882 Business Phone: _____

Name: Habib Enayethullah Knows you how?: Friend / classmate

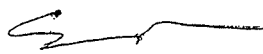
Address: SUP Hilton, 9336 Civic Center Dr, Beverly Hills CA 90210 (City, State, Zip)

Home Phone: _____ Business Phone: 310-205-4439

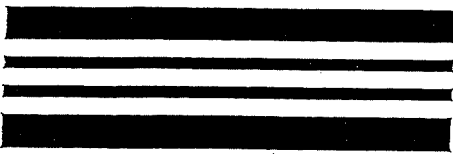
AUTHORIZATION AND CERTIFICATION:

The facts set forth in my application are true and complete. False statements, answers, or omissions on this application shall be sufficient cause for nonconsideration or for dismissal after appointment or employment. I also recognize that my selection is based on receipt of satisfactory information from former employers and references, and upon my ability to perform the essential elements, with or without reasonable accommodations, for the position for which I am applying. I herein authorize investigation, without liability, of the information supplied by me in this application for employment or appointment including academic, occupational, health, law enforcement, and government records. I also authorize listed employers and references, without liability, to make full response to any inquiries in connection with this application for appointment or employment. I understand and agree that the terms, conditions, compensation, benefits, hours, schedule, and duration of my appointment or employment may be determined, changed, or modified from time to time at the will of the appointing authority or designee without limitation or condition. I FURTHER CERTIFY THAT I HAVE READ THE FOREGOING PARAGRAPH AND KNOWINGLY MAKE THIS AUTHORIZATION BY SETTING FORTH MY SIGNATURE.

I understand that if I am required to be registered, licensed, or certified by federal or state law or regulation for the position I seek, I will notify the appointing authority immediately if any investigation, limitation, or cancellation of my registration, licensure, or certification occurs. If any investigation, probation, limitation, or cancellation occurs, I understand that my failure to notify my appointing authority as described above will result in the termination of my appointment or employment.

Signature  _____

Date 1/21/09 _____



Sec. of St. bar code

KANSAS GOVERNMENTAL ETHICS COMMISSION

STATEMENT OF SUBSTANTIAL INTERESTS FORM

INSTRUCTIONS. This statement (pages 1 through 4) must be completed by individuals who are required to do so by law. Any individual who intentionally fails to file as required by law, or intentionally files a false statement, is subject to prosecution for a class B misdemeanor.

Please read the "Guide" and Definition" section provided with this form for additional assistance in completing sections "C" through "G". If you have questions or wish assistance, please contact the Commission office at 109 West 9th, Topeka, KS or call 785-296-4219.

A. IDENTIFICATION: PLEASE TYPE OR PRINT

PAOMANABHAN SUTHRA
Last Name First Name MI

SURESH RAMAMURTHI
Spouse's Name

5100 SW IRISH RD.
Number & Street Name, Apartment Number, Rural Route, or P.O. Box Number

TOPEKA KS 66610
City, State, Zip Code

785 478 1314 785 478 4120
Home Phone Number (include area code) Business Phone Number (include area code)

B. THIS FORM IS REQUIRED TO BE FILED BECAUSE YOU ARE:

(check one or more of the following)

- 1. State Elected Official (Governor, Lt. Governor, Attorney General, Commissioner of Insurance, State Treasurer, Secretary of State, State Senator, State Representative, Member of State Board of Education, or District Attorney);
2. Appointed Member of a State Board, Council, Commission or Authority;
3. Appointed State Position is Subject to Senate Confirmation;
4. Employee of a State Agency or University;
5. General Counsel for State Office;
6. Candidate for State Office;
7. Other (Contractor / Member of Compact).

Kansas Development Finance Authority
List Name of Agency, Board, University or Elected Position (You may use abbreviations but not acronyms)

Board member
Agency Division if applicable (May use acronyms) Position

* The last four digits of your social security number will aid in identifying you from others with the same name on the computer list. This information is optional.

5 1 6 4

C. OWNERSHIP INTERESTS: List any corporation, partnership, proprietorship, trust, joint venture and every other business interest, including land used for income, and specific stocks, mutual funds or retirement accounts in which either you or your spouse has owned within the preceding 12 months a legal or equitable interest exceeding \$5,000 or 5%, whichever is less.. If you or your spouse own more than 5% of a business, you must disclose the percentage held. Please insert additional page if necessary to complete this section.

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

BUSINESS NAME AND ADDRESS	TYPE OF BUSINESS	DESCRIPTION OF INTERESTS HELD	PERCENT OF OWNERSHIP INTERESTS	HELD BY WHOM
1. BC Capital	Advisory	Equity	51%	Self
2. "	"	"	49%	Spouse
3. Equity Securities - See attached -				
4.				
5.				
6.				
7.				
8.				
9.				
10.				

D. GIFTS OR HONORARIA: List any person or business from whom you or your spouse either individually or collectively, have received gifts or honoraria having an aggregate value of \$500 or more in the preceding 12 months.

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

NAME OF PERSON OR BUSINESS FROM WHOM GIFT RECEIVED	ADDRESS	RECEIVED BY:
1.		
2.		
3.		

E. 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.	CFA Institute	560 Ray C Hunt Drive Chattanooga TN	Professional organization
2.	BC Capital	6021 SW 29th St Ste A357 Tapeeka KS	Advisory

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.	BC Capital	6021 SW 29th St Ste A357 Tapeeka KS	Advisory
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.	BC Capital - 6021 SW 29th St Ste A 357 Tapeeka KS	General Partner Principal	Self
2.	BC Capital	Principal	Spouse
3.			
4.			
5.			
6.			
7.			
8.			

G. 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, Suchitra Padmanabhan, 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.

1/21/09
Date

[Signature]
Signature of Person Making Statement

NUMBER OF ADDITIONAL PAGES 2

Return your completed statement to the Secretary of State, Elections Division, Memorial Hall, First Floor, 120 SW 10th, Topeka, Kansas 66612-1594.

<u>Ticker</u>	<u>Name</u>
AA	ALCOA INC COM
ABK	AMBAC FINANCIAL GRP INC
AMAT	APPLIED MATERIALS INC
AMD	ADVANCED MICRO DEVICES INC COM
AMGN	AMGEN INCORPORATED
AUTH	AUTHENTEC INC
BMJ	BRISTOL MYERS SQUIBB CO COM
BT	BT GROUP PLC ADR
BVF	BIOVAIL CORP COM
CAR	AVIS BUDGET GROUP INC COM
COGO	COGO GROUP INC
CSCO	CISCO SYSTEMS INC
CSCO	CISCO SYS INC
CSIQ	CANADIAN SOLAR INC
CYXI	CHINA YINGXIA INTL INC
DTE.PR.A	DTE ENERGY TR I GTD TR PFD SECS
EP	EL PASO CORPORATION
EP	EL PASO CORP COM
EPD	ENTERPRISE PRODS PARTNERS LP COM UNIT
ERIC	ERICSSON TEL ADR B NEW FCL B SPONSORED ADR 1 ADR REP 10
ETFC	E-TRADE FINANCIAL CORP
ETFC	E*TRADE FINANCIAL CORP
EWJ	ISHARES MSCI HK IDX FD HONG KONG INDEX FUND
F	FORD MOTOR COMPANY NEW
FCVFX	FIDELITY CONVERTIBLE SECURITIES FUND
FCVFX	FIDELITY CONVERTIBLE SECURITIES
FDEQX	FIDELITY DISCIPLINED EQUITY
FDRXX	FIDELITY CASH RESERVES
FEMKX	FIDELITY EMERGING MARKETS
FNM	FEDERAL NATL MTG ASSN
FSIIX	SPARTAN INTL INDEX INVESTOR CLASS
FTQGX	FIDELITY FOCUSED STOCK FUND
GE	GENERAL ELECTRIC COMPANY
GOOG	GOOGLE INC CLASS A
GSK	GLAXOSMITHKLINE PLC ADRFSPONSORED ADR 1 ADR REP 2
GT	GOODYEAR TIRE & RUBR CO COM
HD	HOME DEPOT INC
HOT	STARWOOD HOTELS & RESORTS WORLDWIDE INC COM
IFN	INDIA FUND INC
INFY	INFOSYS TECH SPON ADR FSPONSORED ADR 1 ADR REP 1
INP	BARCLAYS BANK IPATH ETN MSCI INDIA TOTAL RTN IDX
INTC	INTEL CORP
IYR	ISHARES TR DOW JONES RE US REAL ESTATE INDEX FD
JPM	JPMORGAN CHASE & CO
LGB MF	V JAN-10 \$30 PUT
LZJ AF	INFY JAN-10 \$30 CALL
LZJ MD	INFY JAN-10 \$20 PUT
MOT	MOTOROLA INC
MOT	MOTOROLA INC COM
MRK	MERCK & CO INC
MRKDZ.O	CALL MERCK & CO\$32.50 EXP 04/18/09
MSFT	MICROSOFT CORP
MTE	MAHANAGAR TEL NIGAM LTD SPNRD ADR REP 2
NRC	NATL RURAL UTIL COOP FIN CO SB NT DTD 02/04

NRN NATL RURAL UTIL COOP FIN CO SUB NT
 NRTLQ NORTEL NETWORKS CP HLDG CO
 ORCL ORACLE CORPORATION
 OSP OSG AMER L P COM UNIT REPSTG LTD PARTNER INT
 PFE PFIZER INC COM
 PRGN PARAGON SHIPPING INC
 QELP QUEST ENERGY PARTNERS L P
 RBS ROYAL BK SCOTLAND GROUP PLC SPONSORED ADR REPSTG 20 ORD SH
 RIO COMPANHIA VALE DO ADR FSPONSORED ADR 1 ADR REP 1
 S SPRINT NEXTEL CORP FON SHS
 S SPRINT NEXTEL CORP COM SER 1
 SIFY SIFY TECHNOLOGIES LTD
 SLM SLM CORP COM
 T AT&T INC COM
 THMR THORNBURG MTG INC
 TPP TEPPCO PARTNERS LP UT LTD PRTSH IN
 TRID TRIDENT MICROSYSTEMS INC
 TSO TESORO CORPORATION
 TWX TIME WARNER INC
 USO UNITED STATES OIL FUND
 USU USEC INC COM
 WBA AF BAC JAN-10 \$30 CALL
 WGE MB GE JAN-10 \$10 PUT
 WLR AF VZ JAN-10 \$30 CALL
 WMA AU MOT JAN-10 \$7.5 CALL
 WR WESTAR ENERGY INC
 WRS WESTAR ENERGY INC FIRST MTG BD
 WRV AD C JAN-10 \$20 CALL
 WVV AA AMD JAN-10 \$5 CALL
 WYR MB GT JAN-10 \$10 PUT
 YFT MF GS JAN-10 \$30 PUT
 YHOO YAHOO INC
 YZC YANZHOU COAL MINING CO LTD ADR



State of Kansas Workforce System **Putting Kansas to Work**

Senate Commerce Committee
By **Caleb D. Asher**, Deputy Secretary
of Workforce Services
Kansas Department of Commerce
January 20, 2010

KANSASWORKS.com

Key Workforce Partners

- Kansas Department of Commerce
 - Workforce Development (State Administrator)
- State Workforce Board
- Local Workforce Investment Boards (LWIBs)
- Kansas Department of Labor
- Other State Agencies
- Kansas Board of Regents
 - Technical Education Authority
- Kansas Department of Education

KANSASWORKS.com

Service Delivery

- Five Local Workforce Investment Boards
- 25 Workforce Centers
- **KANSASWORKS.com** (online services)
 - Job Postings (More than 13,000 jobs now posted)
 - Upload Résumés
 - Assessments
 - Training Options
- **KANSASWORKS** Virtual Services
- **KANSASWORKS** Mobile Center

KANSASWORKS.com

Workforce System Branding

- In April 2008, the **KANSASWORKS** State Board approved a state brand to be used by all local workforce operators, boards and locations –
- The purpose is to establish and sustain broad awareness in the marketplace with effective outreach and customer relations throughout the workforce system.

KANSASWORKS.com

Integration and Functional Management

- Eliminate the program and staffing silos between Wagner Peyser and WIA program funding sources.
- Provide seamless services for business and job seeker customers.
- Functional management allows one person to direct daily operations of the workforce center without program silo barriers.
- Increase responsiveness to customer needs.

KANSASWORKS.com

Goals of Integration

- Reduce administrative overhead costs associated with duplicative programs/services.
- Allow staff flexibility to provide services that better match the needs of businesses.
- Increase the quality and number of services, which will increase the numbers served.
- Assist businesses and recruit skilled workers by increasing the number of job candidates who receive training services (demand-driven).

KANSASWORKS.com

Senate Commerce Committee

Date: January 28, 2010

Attachment # 3-1

Greater Training Capacity

- Continue to build on strong relationship with Board of Regents
 - Share employee between the two organizations
 - Support the work of the Technical Education Authority
 - Program Alignment
 - Industry Credentials
 - Marketing Initiatives
- Demand Driven Training and Workforce System

KANSASWORKS.com
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Connecting Online Services

- In an effort to better serve customers, various online resources are being connected.
- The following Web services will be folded into KANSASWORKS.com:
 - Unemployment Insurance – online claimants
 - Kansas Career Pipeline – career assessment
 - Career Zoom – technical training locations in Kansas
 - Coalition for Kansas Careers – course catalog of online technical courses from public colleges

KANSASWORKS.com
8

Successful Outcomes

- More Kansans are using the KANSASWORKS system today than ever before due in-part to branding and integration.
 - In December 2009, 170,371 Kansans used the system over 107,638 during December of last year.
 - In October 2009, 192,000 Kansans used the system over 104,999 during the same time last year (largest number in the system's history).

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Successful Outcomes (continued)

- State has met or exceeded USDOL performance measures past three years
 - These measures examine adults, dislocated workers and youth who get jobs, retain jobs and how much they earn.
 - WIA and Adult Education performance was met for first time resulting in an \$788,000 grant from USDOL

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10

American Reinvestment and Recovery Act

- Kansas received nearly \$20 million for Workforce Services from the Recovery Act, with most dollars distributed to local area partners.
- Remaining funds were used to reinvest in areas where economic recovery is needed most, and used for statewide infrastructure improvements.
- Summer Youth Program
- The state applied for \$10 million in funding from USDOL and is awaiting a decision.

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Going Green

- Reached out to local areas to better understand types of local green jobs.
- KDOL "Green Jobs Survey"
- Formed the State Energy Sector Partnership
- Energy Policy Subcabinet
- Technical and Community College System

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DEPARTMENT OF COMMERCE

Travel & Tourism

FY '10 Priority Projects
Senate Commerce Committee
January 28, 2010

Presented by Becky Blake, Director

Goals

1. Marketing
2. Product Development
3. Education, Communication & Outreach
4. Research

Guiding Principles

- Do what the industry cannot do for itself
- Focus on targeted out-of-state & international audiences
- Support the tourism industry
- Align resources with high impact program & track effectiveness
- Encourage & support collaboration

Marketing

- Television Campaign
 - 8 drive markets: Omaha, Lincoln, KC, Springfield, Tulsa, OK City, St. Louis, Minneapolis
- 11 Community Partners - \$220,000 revenue

Marketing Print / Magazine

- Good Housekeeping
- Midwest Living
- O! Oprah Magazine
- Endless Vacations
- Budget Travel
- AAA
- History Channel Magazine
- Birder's World
- American Heritage

Marketing Newspaper Inserts

- Madden Preprint
 - 525,000 in out of state drive markets & in-state
- Midwest Vacation Guide
 - 13.9 million in select national markets
- Co-op project with destinations/businesses

Senate Commerce Committee

Date: January 28, 2010

Attachment # 4-1

NEW Co-op Marketing for 2010

- Radio
- "Deal & Packages"
on-line & e-blasts
- On-line coupons
- Home-page image
rotation
- Pay Per Click/SEM
- Media Blitzes
 - OK/TX
 - NE/IA
 - NYC
- Trade Show
brochure distribution

Marketing Nature Based

- New Print
Advertising
- Expanded Web
Content
- Additional E-blasts
- Database updates
- KDWP Collaboration
 - Research
 - Marketing

Visiting Friends & Relatives Campaign

**Yellow Brick
Road Trip**

- In-state Summer
Promotion
- Online
- Radio
- Print
- Social
- Mobile

Marketing Overseas

- Sustain & increase wholesale
distribution
- Increase consumer awareness

***Americana Show/Sales Mission,
September, 2010***

Scenic Byways

- KDOT Collaboration
 - Management Plan
 - Marketing Strategy
 - Conference

Developing our Product

- Flint Hills
 - Flint Hills Discover Center, Manhattan
 - Visitors Center, TPNP
 - Equestrian Trails

Developing our Product

- Freedoms Frontier National Heritage Area
 - Management Plan
 - Product Development
 - Marketing
 - Website
 - Map Guide

2011 Unique Opportunities

- Kansas Statehood
- Civil War
- Pony Express



Summary

- Successes
 - Return on Investment
 - Trends support Kansas growth
 - Creative solutions
 - Collaboration
 - Measuring success
- Challenges
 - Economic conditions
 - Demonization of travel
 - Budget - Relationships

KANSAS
DEPARTMENT OF COMMERCE
Travel & Tourism