



# Investor Protection Trust

## Guidelines for Submission of Grant Letter of Inquiry

The Investor Protection Trust (IPT) is a nonprofit organization devoted to investor education. The primary mission of IPT is to provide independent, objective information needed by consumers to make informed investment decisions. Founded in 1993 as part of a multi-state settlement, IPT serves as an independent source of non-commercial investor education. IPT operates programs under its own auspices and uses grants to underwrite important initiatives carried out by other organizations.

The Investor Education Fund (IEF)—a fund resulting from contributions of certain settlement proceeds paid directly to the IPT in the course of the analyst conflicts-of-interest settlements—is designated for investor education programs designed to equip investors with the knowledge and skills necessary to make informed investment decisions.

A proposal to the IPT for a grant from the IEF is accepted by invitation only following the receipt of a meritorious Letter of Inquiry. Letters of Inquiry are approved or denied at the discretion of the IPT based on the requirements for use of global settlement funds. Letters of Inquiry are reviewed throughout the year, and applicants can expect to receive notification of approval or denial within 8 weeks. Applicants must allow sufficient time for the full grant proposal process (not just the Letter of Inquiry review process) from the Letter of Inquiry submission date to the start date of the proposed investor education program. Following are the guidelines for submission of a Letter of Inquiry:

- Letter and supporting materials must be sent electronically as one complete PDF document to: **grants@investorprotection.org**. Letters of Inquiry sent in hard copy will not be considered. Adobe Acrobat is used to create PDFs. Recent versions of Acrobat have “append” features allowing users to append, insert and extract pages from and to PDF files. Use this feature to append any supporting materials to the Letter of Inquiry.
- Project to be considered must be a research and/or educational initiative designed to provide investors with the knowledge and skills necessary to make informed investment decisions. Investor education can and should cover all aspects of individual investing and investment vehicles.
- Please include the following information in your Letter of Inquiry:
  1. Project title and summary of project goals and objectives (300 words or less)
  2. Name and full contact information (address, telephone, e-mail, etc.) of project principal(s)
  3. Name of the 501(c)(3) non-profit organization, contact information, Federal Identification Number, and website URL of submitting 501(c)(3). Or if Letter is submitted directly by a State Securities Administrator requesting funds for a state specific investor education program, provide name and full contact information (address, telephone, e-mail, etc.) of the office’s investor education coordinator.
  4. Grant amount requested
  5. Target audience and number of people targeted by project
  6. Time frame for the project and major project elements
  7. Project outcomes and deliverables
  8. Objective performance evaluation measures
  9. Budget and description of major cost items
  10. Alternative/additional funding available to the project
  11. In-kind and non-financial contributions/resources available to the project
  12. Demonstration of support from the appropriate State Securities Administrator

If you have any questions about the Letter of Inquiry or grant process, please review the procedures on the IPT website - **www.investorprotection.org** - or contact IPT President and CEO Don Blandin via e-mail at: [Blandin@investorprotection.org](mailto:Blandin@investorprotection.org)