

## 403(b) SOLICITORS AGREEMENT

### Aransas County ISD (“Plan Sponsor”)

The above referenced Plan Sponsor offers its employees a 403(b) payroll reduction plan (the “Plan”) for the purchase of annuities qualified under Section 403(b)(1) of the Internal Revenue Code (the “Code”) and/or mutual fund custody accounts qualified under Section 403(b)(7) of the Code. All approved Investment Providers have executed the Product Provider Agreement (PPA), agreeing to provide investment products subject to Plan terms designated under the 403(b) Plan Document, PPA, Adoption Agreement and any policies/procedures established by the Plan Sponsor.

Financial advisors/agents (“Solicitors”) wishing to provide services or solicit 403(b) products to the Plan Sponsor’s employees on behalf of one or more of the approved Investment Providers, must meet the requirements outlined below. Failure to comply may be cause for non-acceptance of any contract submitted by the solicitor and the removal of the Investment Provider(s) from the Plan the solicitor is approved to sell for. Please note that if you attempt to provide services to 403(b) participants or solicit 403(b) products to Plan Sponsor employees without first executing this agreement you may also be jeopardizing the payroll slot(s) for the Investment Provider(s) that you represent.

1. National Plan Administrators, Inc., herein after referred to as "NPA", has been contracted by the Plan Sponsor as the Third Party Administrator (TPA) for processing the above mentioned 403(b) accounts. NPA will provide a consolidated billing service to the Plan Sponsor and disburse payments to all investment providers within 2 business days after receipt of funds, along with a contribution detail for the Plan Sponsor’s remittance (holidays and weekends excluded). In addition to billing functions, NPA will serve as your liaison to the District.
2. If a participant wishes to start contributions or to effect a change on his/her current contributions, the 403(b) Employee Handbook, located on the NPA website, has instructions on how to perform various actions under the Plan. You may access the handbook and other necessary Plan information at [www.natlplan.com](http://www.natlplan.com). Once you have accessed the website please follow these instructions:
  - Select the “For Agents/Brokers” link in the middle to bottom/middle of the screen
  - Select the “Select Your State and Plan” link to the right of the screen
    - Under “Tax Sheltered Accounts”
  - Select the state of the Plan Sponsor
  - Select the Plan Sponsor name
  - Select the “403(b) Employee Handbook” link
3. In addition to the Employee Handbook the website also contains a copy of the Plan Document, Plan Summary Description, Salary Reduction Agreement (SRA), Transaction Authorization Form (TAF), transaction and salary reduction processing instructions, and a summary of “403(b) Approved Providers”. The SRA provided on the website and in the Employee Handbook must be used going forward and should be submitted to NPA as instructed on the SRA. This SRA has been adopted by the Plan Sponsor and is the only SRA that will be honored under the Plan (i.e. the SRA from the participant’s Investment Provider will not be accepted).
4. NPA will also administer all transaction requests, which include, but are not limited to, some of the following examples: loans, hardship withdrawals, distributions, rollovers and exchanges. The Plan Sponsor requires that NPA’s TAF be utilized in conjunction with the Investment Provider’s paperwork, as a certificate of authorization on the request. All forms required to complete the request should be submitted to NPA for proper authorization, as dictated under the terms of the Plan.
5. **Any changes to an existing account, whether concerning a SRA or a TAF, must be submitted and approved by NPA before the account change can be processed. The most recent versions of the SRA and TAF are required during processing. If a request is sent to NPA using an outdated form then the request may be denied. Therefore, solicitors are required to continually refer to NPA’s website to obtain any future updates to Plan forms.**
6. **ENROLLMENT PERIOD:** Employees may start or change 403(b) or 403(b)(7) contributions under the plan at any time, however, the deductions will begin after paperwork has been submitted to NPA and according to the TIME FRAME FOR DEDUCTIONS as specified below in section 7.
7. **TIME FRAME FOR DEDUCTIONS:** All SRAs must be completed and delivered to NPA by the end of business on the 5<sup>th</sup> of the month in order to effect a salary reduction for the **same** month. Any/all paperwork not completed and delivered to NPA by the 5<sup>th</sup> will be included in the next available month’s payroll adjustments. Incomplete paperwork will be denied.

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8. Solicitors will not be allowed to make presentations to campus personnel on campus during normal school hours. Solicitors are not permitted to initiate phone calls to employees during normal school hours. Solicitors must obtain prior written approval from the campus principal before proceeding on any campus. If a solicitor has received written approval to be on campus for a meeting then the solicitor must check in with the principal's office upon arrival prior to meeting with a school employee. Furthermore, the solicitor is not allowed to solicit to any employees other than the one they are meeting with, while on campus. Solicitors are not allowed to put marketing material in employees' school mailboxes. If granted permission, Solicitors may give the materials to the principal of the campus for distribution to employees. Solicitation may be allowed during open enrollment as designated by the Plan Sponsor.
9. The 80th Texas Legislature (2007) passed House Bill 2427, which expands the 403(b) responsibilities of the Teacher Retirement System of Texas (TRS) to include registration of qualified products. As of January 1, 2008, employees of Texas public and open enrollment charter schools have only been able to enter into new salary reduction agreements for 403(b) products if the product is on the TRS registered product list. In addition, for the Investment Provider to receive contributions, exchanges or rollovers it must have signed the Plan Sponsor's PPA to be an approved provider under the Plan.
10. Solicitors are to submit this signed agreement to NPA along with a copy of their license to solicit 403(b) or 403(b)(7) products.

**By signing this agreement I certify that I understand and accept the rules and regulations for providing services and for soliciting to the Plan Sponsor's employees, and that by knowingly or unknowingly breaking compliance with the Plan Sponsor's solicitation rules I may be responsible for the loss of the payroll slot(s) for the Investment Provider(s) I represent. Furthermore, I understand it is extremely important that when I am on campus that I follow the campus' rules for being on campus.** If you are not aware of what the rules are, then make sure you ask the Plan Sponsor when checking in with the front office upon your arrival. Plan Sponsors are very protective of their campuses as they are responsible for the safety of the students under their charge. A disregard for on campus rules may result in legal repercussions.

List below the name of each Investment Provider you are allowed to solicit for:

If you have a large list you may provide a copy of said list as an attachment to this agreement. Simply write "see attached list" in the space provided below for the names of the companies you can sell for and then attach a copy of the list to be sent in with this agreement.

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(Name of Companies that you can sell for)

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FULL NAME

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SIGNATURE & DATE

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STREET ADDRESS or PO BOX NUMBER

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PHONE NUMBER

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CITY – STATE – ZIP CODE

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FAX NUMBER

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AGENT STATE LICENSE NUMBER

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EMAIL ADDRESS