



### **Policy for Agent Calls - Question and Answers**

Q1) May I call TSA Consulting Group without the participant on the phone for transaction information?

A1) Yes, as long as there is evidence I am involved with the transaction. TSACG cannot give me personal information about the participant, details in regard to the action taken on a transaction, account balances or account information without permission from the participant.

Q2) Will TSA Consulting Group call me for permission to change the investment provider form if the paperwork is marked incorrectly?

A2) No, TSACG must call the participant. If the participant gives TSACG permission as indicated in Q1, then they will call me, but only if the participant has answered the security questions and given them permission to speak with me.

Q3) Will TSA Consulting Group call me if there are missing vendor pages and it clearly indicates I am the agent who is working with the participant on a specific transaction request?

A3) Yes, but TSACG will only indicate the fax that I submitted is missing page X of Z pages. TSACG will not give specifics about a participant or specifics about the transaction without prior permission from the participant, as indicated in Q1.

Q4) May I call TSA Consulting Group to verify whether a participant's transaction has been approved, declined or is pending?

A4) Yes, but their representatives may only give me basic information.

Q5) Will TSA Consulting Group representatives tell me where a participant's transaction was faxed or mailed?

A5) Yes, it is not personal information about the participant or their transaction request.

Q6) Will TSA Consulting Group call me if the paperwork submitted does not include the participant's contact information?

A6) Yes, a TSACG representative may call and ask me to contact the participant and ask the participant to contact their office so they can process the participant's transaction.

Q7) If the provider form that I submitted is unclear, will TSA Consulting Group call me for further clarification?

A7) Yes, as long as there is evidence I am involved with the transaction.

Q8) Will TSA Consulting Group fax an approval to me if it was not originally requested to be faxed to me?

A8) Yes, as long as there is evidence I am involved with the transaction.

Q9) May I call TSA Consulting Group and request a duplicate approval certificate?

A9) Yes, as long as there is evidence I am involved with the transaction.

Q10) Will TSA Consulting Group fax a transaction to a new fax number if I call and request it be faxed to a new location?

A10) Yes, as long as there is evidence I am involved with the transaction.

Q11) Will TSA Consulting Group accept written authorization from a participant to speak to me?

A11) Yes, but only if it is an original legal document, such as a Power of Attorney or an original notarized letter from the participant.

**\*\*Please note, the documents referenced in Q & A 11 will be kept in a file at TSA Consulting Group in their Recordkeeping department. Additionally, TSA Consulting Group will notate the participant globally in their system indicating a letter or document is on file for their office to speak to me.**