



Los Angeles Unified School District
Division of Risk Management and Insurance Services
Benefits Administration

SOLICITATION AGREEMENT

403(b) and 403(b)(7) Rules of Solicitation
Authorized Investment Provider Representatives

I _____ (name of Agent) acknowledge the Los Angeles Unified School District Rules of Solicitation and agree to abide by the rules stated below. I have verified the company/companies I represent is/are already an authorized investment provider for the Los Angeles Unified School District.

SECTION I – RULES AND PROCEDURES

1. Agent must sign the Rules of Solicitation Agreement and file with U.S. OMNI & TSACG Compliance Services (OMNI/TSACG), Plan Administrator, prior to working with employees of Los Angeles Unified School District.
2. Any Agent working with an employee of the Los Angeles Unified School district must be listed as an agent with at least one of the companies on the authorized investment provider list.
3. Agent is responsible for updating OMNI/TSACG of any changes in company/companies represented and any change in business contact information such as address, email and phone contact.
4. No agent may solicit employees or distribute promotional materials for the purpose of obtaining contracts for tax-sheltered annuities, 403(b) voluntary retirement savings or similar benefits on District property. **See LAUSD Bulletin BUL-6178.0**
5. Agents may not ask employees to utilize District facilities (fax machines/telephones) to arrange appointments, discuss 403(b) related matters, or send materials related to 403(b) voluntary retirement accounts.
6. Agents are not permitted to meet with employees on District property for any reason related to the soliciting or servicing of an employee 403(b) Tax-Sheltered Annuity regardless of invitation
7. Accessing Los Angeles Unified School District sites at any time will not be tolerated. Agents may not for any reason sign-in to the Aggregated Records and Transactions (ART) system for or on behalf of the employee to process any transaction or make changes to salary reduction information without the expressed written authority of the employee and allowable under California state law. Accessing ART without such written authority is considered fraudulent activity is grounds for immediate termination.

SECTION II – INVESTMENT PROVIDERS REPRESENTED

Please list the authorized company/companies you represent in the space provided below. If additional space is needed, please attached a separate sheet of paper and attach to this agreement. **Please list only authorized providers of the Los Angeles Unified School District which you represent.**

Name of 403(b)/403(b)(7) Provider

Name of 403(b)/403(b)(7) Provider

Name of 403(b)/403(b)(7) Provider

Name of 403(b)/403(b)(7) Provider

Name of 403(b)/403(b)(7) Provider

Name of 403(b)/403(b)(7) Provider

Solicitation Agreement (cont.)



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SECTION III – DISCLOSURES

Please print legibly

Agent's Name (print) _____

Agent's Title _____

Agent's Mailing Address _____

Agent's Telephone _____ Agent's Email _____

Agent's Alternative Telephone _____

This agreement supersedes all prior solicitation agreements between the Agent and Employer. This agreement may be modified, amended, or terminated by Los Angeles Unified School District as deemed necessary.

Failure to follow the solicitation rules may result in immediate termination of this agreement and the removal of that individual from the authorized investment provider representative listing. Furthermore, the Agent who violates these rules may become an unauthorized agent and may not solicit business in the Los Angeles Unified School District until further notice and/or reinstatement.

I do hereby understand and accept the rules and procedures for solicitations in Los Angeles Unified School District, Los Angeles, California. By signing this form I am also acknowledging I have received a copy and have read the LAUSD Bulletin (BUL-6178.0).

Signature of Agent _____

Date Signed ____ / ____ / ____

Fax this completed form to: 1-866-908-7582

U.S. OMNI & TSACG Compliance Services

Attention: 73 Eglin Pkwy NE, Suite 202, Fort Walton Beach, FL 32548

Inquiries may be directed to plansupport@tsacg.com