

Solicitors Agreement

For Tax Sheltered Accounts

Killeen Independent School District

PROCEDURES FOR SOLICITATION OF 403(b) / 403 (b) (7) ACCOUNTS

Effective January 1, 2009

The intent of the Killeen Independent School District (KISD) is to provide equal access and opportunity of all agents, brokers, and companies who wish to solicit 403(b) and 403(b)(7) accounts from District employees. Individuals and companies who wish to solicit accounts from KISD employees must meet the requirements listed below. Failure to do so may be cause for non-acceptance of any contract submitted by that agent or representative. Companies and brokers shall be responsible for the activities of all agents and representatives, and continued disregard of these rules by individuals may result in disqualification of the parent organization.

Approval: Each agent, broker or company soliciting or intending to solicit 403(b) / 403(b)(7) accounts must be approved by Kazdon, Inc., Third Party Administrator (TPA) for the District. The soliciting agent must determine if the company(s) they represent appears on the list of approved companies for the District, and request an agent packet containing the required paperwork. Additionally, beginning January 1, 2009, the company must appear on the list of approved vendors maintained by the District.

Requirements for approval include:

- a. A completed & sign agent/representative questionnaire.
- b. Proof of insurance licensing, state and federal (as required).

State Board of Insurance: All agents soliciting Tax Sheltered Annuities must be in good standing with the Texas State Board of Insurance.

Enrollment Periods: Enrollment and change applications will be accepted monthly. Any forms received on or before the 25th of the month will be effective on the first payroll of the following month.

Forms: Required standard Kazdon forms must be completed and signed by all parties. These include a salary reduction agreement, agent questionnaire, and uniform disclosure (if applicable). All forms and a copy of your insurance license (as required) must be sent to the administrator. DO NOT send forms to the Killeen ISD Payroll, Employee Benefits, or other Business Services offices.

Solicitation of Accounts: All agents and representatives are required to follow Killeen ISD Board Policy. Any agent, representative, agency or marketing firm not adhering to

these guidelines will forfeit their solicitation privilege. Kazdon, Inc. will work with KISD Administration to monitor and enforce these regulations. Rules for solicitation include:

1. All agents/representatives must complete and have on file a solicitors' agreement with Kazdon, Inc.
2. Solicitation of accounts on school premises is prohibited at all times, including by invitation of the employee.
3. Telephone solicitation, email communication and bulk mailings to employees at their place of employment are not acceptable.
4. Commercial transactions between school personnel and patrons are not permitted during the instructional day.
5. Agents, representatives, agencies and marketing companies may not imply, directly or indirectly, that they represent, work with, or are associated with another company, agency or marketing firm in order to fraudulently solicit employees.
6. District property may not be used, at any time, for group presentations or seminars unless approved by or sponsored by KISD.

Information: KISD shall publicize to its employees the benefits of tax sheltered saving plans, and shall make available a list of all approved vendors.

Mail: Mail all forms to the following address.

**Kazdon, Inc.
403(b) Department
P.O. Box 29927
Austin, Texas 78755-6927**

Fax 512-340-0406

Agent Questionnaire

Killeen Independent School District

PLEASE FILL OUT THE FOLLOWING INFORMATION. PLEASE PRINT OR TYPE.

This agreement is valid for only the above named district administrated by Kazdon, Inc.

Personal Information / Please Print

Name: _____
Last Name First Name Middle

Work address: _____
(City) _____ (State) _____ (Zip) _____

Work Phone : _____ ext _____ Alternate Phone : _____

Fax Number : _____ Email: _____

Types of License(s) State License Number/Other License Numbers

List carriers that you represent (Only list carriers that are on TRS Certified Company List)

1. I agree to abide by all procedures concerning the solicitation and processing of 403(b) / 403(b) (7) accounts.
2. I understand that failure to follow the School Board guidelines will be cause for forfeiture of solicitation privileges and non-acceptance of contracts submitted on behalf of KISD employees.
3. I agree to comply with all pertinent written directives regarding the solicitation of Employees.

By signing this Solicitors Agreement, I do hereby understand and accept the rules and regulations of this agreement.

Representative's Signature

Date

Please Attach a Copy of Your Insurance License

(If you are an Insurance Agent and are selling Insurance Products only)

Mail all forms to the following address: Kazdon, Inc., 403(b) Department, P.O. Box 29927, Austin, Texas 78755-6927