



**SARASOTA**  
County Schools

**Lynn Peterson, Supervisor**  
Risk Management  
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941-927-9000, ext. 32315 ▪

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## Solicitation Rules and Procedures

403(b) and 403(b)(7) Authorized Investment Provider Representatives

I, \_\_\_\_\_, representing \_\_\_\_\_,  
(Name of Agent/Representatives) (Name of Company Represented)

acknowledge receipt of Sarasota County Public Schools (SCPS) Solicitation Rules and Procedures and agree to abide by them as listed below.

### SECTION I - RULES AND PROCEDURES

1. Representatives must sign and acknowledge this *Solicitation Rules and Procedures Attestation* and submit the original to Lynn Peterson, Supervisor, Risk Management at SCPS prior to working with any SCPS employees.
2. Representatives must agree to attend the Annual Retirement Seminar, as well as to report to designated sites throughout the county, as requested by their Agents of Record.
3. Representatives must return all badges issued by SCPS to their agents of record no later than 15 days after ceasing participation in SCPS's TSA Program.
4. Representatives must reside in Sarasota County or a county contiguous to Sarasota County.
5. Representatives must agree to support the SCPS TSA Program's educational efforts by conducting regional and site educational meetings and seminars, as requested by the Supervisor, Risk Management.
6. Representatives must agree to return calls to any designated manager in the Risk Benefits Department within 24 hours of having received their call.
7. Representatives must abide by the District's guidelines for all Representatives' activities.
8. Representatives must conduct themselves in a professional manner and refrain from making negative comments about other agents or companies participating in the SCPS TSA Program. Representatives' concerns about other participating agents/companies should be presented to their own agents of record who may then present those concerns to the Supervisor, Risk Management.
9. Representatives must not interfere in any way with employees' daily period of service.
10. Representatives must not for any reason sign-in to the Aggregated Records and Transactions (ART) system for or on behalf of the employee to process any distribution request, without the expressed written authority of the employee and as allowable under Florida state law. Accessing ART without such written authority is considered fraudulent activity and is grounds for immediate termination.
11. The agent of record must submit a written request for prior approval from the Supervisor, Risk Management to add any Representative. The District reserves the right to deny the addition of any representative, for any reason or no reason at all.
12. Representatives must acknowledge their understanding that their approval to work as a TSA agent at SCPS is a privilege, not a right. The District reserves the uncontestable right to remove any Representative at any time from its approved list, and/or deny the addition of any Representative, for any reason and without cause.
13. Representative acknowledges that if they leave an authorized provider and wish to solicit new accounts with another authorized provider, they must wait for a period of six months prior to any new solicitation and must be approved by the Supervisor of Risk Management.

© The terms agent and representative may be used interchangeably.

Continued >

**Solicitation Rules and Procedures (continued)**

**SECTION II – 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 #: \_\_\_\_\_

I understand that failure to follow these solicitation rules and/or procedures may result in my removal from the authorized investment provider representative listing. I further understand that if I become an unauthorized agent, I am immediately prohibited from soliciting business at Sarasota County Public Schools. Should I become an unauthorized agent at SCPS, I understand am required to turn over to my agent of record or Risk Management and Insurance Department any clearance badges may have been issued by SCPS.

*I do hereby understand and accept these rules and procedures for TSA Program solicitations at Sarasota County Public Schools, Florida*

Signature of Representative: \_\_\_\_\_ Date: \_\_\_\_\_

**Fax this completed form to: 1-800-889-9736**  
**U.S. OMNI & TSACG Compliance Services, 73 Eglin Parkway NE, Ste. 202, Fort**  
**Walton Beach, FL 32548**  
**Inquiries may be directed to [plansupport@tsacg.com](mailto:plansupport@tsacg.com)**