

Instructions to Apply for Active ORP and/or TDA Vendor Status

Texas State reserves the right to change the vendor specification requirements at any time.

If you wish to offer your retirement product(s) to Texas State employees, please review the following instructions. Because Texas State reserves the right to revise this document on an on-going basis, you are required to use the August 2007 version or your application packet will be rejected and you must reapply during the next year's application period.

Texas State vendor specifications for the Optional Retirement Program (ORP) and Tax-Deferred Account (TDA) Program are available on the Texas State Human Resources web site at www.humanresources.txstate.edu. You will need to print and review vendor specifications as all forms and instructions necessary to apply are included in this document. Please note that there are separate vendor specifications for the ORP and TDA retirement programs.

The following is the schedule for the vendor application and approval process.

(Due to the pending 403b regulation changes effective 1/1/09, we will not be accepting any applications for new vendors in 2008.)

- **August 1 – September 30:** Applications for certification will be accepted. Applications will not be accepted at any other time of the year. Certification to the vendor specifications and submission of all attachments is required before your company can be considered for approval as an active vendor with Texas State.
- **October 1 – November 15:** Applications will be reviewed.
- **December 15:** Vendors will be notified in writing of the status of their application. Vendors that are approved will become active effective January 1. Solicitation of business is not permitted until the written approval notice from our office is received.
- **January 1:** List of active vendors will be posted on Texas State website.

Your response must include the information stated below and you are required to provide each item behind a numerical tab corresponding to the item number as listed. Submit only the items requested below. Submission of an incomplete application packet will create processing delays and may result in denial of active vendor status. Additionally, submission of an application packet that contains product(s) with fees that exceed Texas State fee maximums will be rejected.

1. Vendor Certification Statements – An officer who is authorized to legally bind your organization must complete the certification statements. Separate certification statements are required for the ORP and TDA retirement programs.
2. Exhibit E-2 (TDA) or Exhibit E-2 (ORP), Electronic Funds Transfer Remittance Data Form
3. Exhibit E-4 Product/Investment Fee and Performance Disclosure – Submit a completed Exhibit E-4 form for each investment product offered. Mutual fund vendors that offer more than 20 mutual funds are not required to submit a form for each product, but must submit this form for the 20 mutual fund products with the highest fees within all fee categories.
4. Exhibit E-5, Vendor Rating Information – this form must be submitted by all insurance and annuity vendors.
5. Primary contact, representative designator, remittance contact (provide all required information as identified in the vendor specifications)
6. Customer service toll-free telephone number and Internet web site address
7. Completed Representative Acknowledgment Forms (Exhibit E-9)

The properly signed Certification Statement(s) and required information stated in Section IV. B. of the ORP and/or TDA Vendor Specifications must be submitted by September 30. Extensions to this deadline will not be granted. Submit these items to:

Assistant Director, Human Resources
Texas State University-San Marcos
601 University Drive
360 J.C. Kellam Administration Bldg.
San Marcos, TX 78666

Please note that remittances must be credited to participants' account(s) within one business day of receipt of the electronic funds transfer. If your organization is unable to comply with this requirement or any other as stated in the ORP and/or TDA Vendor Specifications, submission of an application packet would not be appropriate.

Thank you for your interest in applying for active vendor status under the Texas State retirement programs. If you have any questions, please submit an e-mail to hp12@txstate.edu or mm10@txstate.edu.