

SAM HOUSTON STATE UNIVERSITY

Instructions to Apply for Active ORP and TSA Vendor Status

Sam Houston State University (SHSU) reserves the right to change the vendor regulation requirements at any time.

If you wish to offer your retirement products to SHSU employees, please review the following instructions. Since SHSU reserves the right to revise this document on an on-going basis, you are required to use the most recent version or your application packet will be rejected and you must reapply during the next year's application period.

SHSU vendor regulations for the Optional Retirement Program (ORP) and Tax Sheltered Annuity (TSA) Program are available on the SHSU Human Resources web site at <https://www.shsu.edu/dept/hr/>. You will need to print and review vendor regulations, as all forms and instructions necessary to apply are included in this document.

Please note that there are separate vendor regulations for the ORP and TSA retirement programs. However, vendors are required to offer both ORP and TSA programs.

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

- **October 1 – October 31:** Applications for certification will be accepted. Applications will not be accepted at any other time of the year. Certification to the vendor regulations and submission of all attachments is required before your company can be considered for approval as an active vendor with SHSU.
- **November 1 – November 30:** 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 SHSU 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.

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 TSA retirement programs.
2. Exhibit E-3, Product/Investment Performance Disclosure – Submit a completed Exhibit E-3 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 largest mutual funds.

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3. Exhibit E-4, Vendor Rating Information – this form must be submitted by all insurance and annuity vendors.
4. Primary contact, representative designator, remittance contact (provide all required information as identified in the vendor regulations)
5. Customer service toll-free telephone number and Internet web site address
6. Exhibit E-5, Completed Representative Acknowledgment Forms

The properly signed Certification Statement(s) and required information stated in Section IV. B. of the ORP and/or TSA Vendor Regulations must be submitted by October 31. Extensions to this deadline will not be granted. Submit these items to:

Sam Houston State University
Human Resources Department
Box 2356
Huntsville, Texas 77341-2356

Physical address:
John W. Thomason Building
1831 University Ave, Suite 202
Human Resources Department
Huntsville, TX 77340

Inquiries may be directed to Human Resources (936) 294-1070.

Please note that remittances must be credited to participants' account(s) preferably within one business day, but not more than three business days of receipt. If your organization is unable to comply with this requirement or any other as stated in the ORP and/or TSA Vendor Regulations, submission of an application packet would not be appropriate.

Thank you for your interest in applying for active vendor status under the SHSU retirement programs.

Sam Houston State University is A Member of The Texas State University System