

## **Notice To Registered Investment Advisors**

Centre College has recently implemented the use of Registered Investment Advisors (RIA). Listed below are some guidelines in the form of Frequently Asked Questions regarding the RIA program from the RIA perspective.

### **How do I get registered to become an RIA to provide advice to the Centre College retirement plan participants?**

To get registered as a RIA, you must have the Centre College retirement plan participant (employee/retiree/former employee) fill out the TIAA-CREF Investments Registered Investment Advisor Authorization and Indemnification Form. To obtain a copy of the form, please contact TIAA-CREF at 1-888-842-0318, option 1.

### **How do I market services to Centre College retirement plan participants?**

Centre does not permit solicitation. RIAs are subject to this policy as are all other vendors. Since direct contact of employees is not permitted, RIA firms may advertise in the school newspaper or the local radio, or newspaper. As with all businesses, word of mouth can be an effective way to grow your business. Prohibited direct contact includes solicitation visits to campus (offices) and calls to faculty and staff member's office phone (work) numbers.

### **May I call an employee or email them at work to arrange for a meeting or appointment?**

If the employee had contacted your firm and has requested a meeting with a RIA from your firm, you may contact the employee in the manner they have requested (home phone, work phone, email, etc.). Cold-calling employees at their work sites is strictly prohibited and could result in the loss of your ability to provide RIA services for the Centre College retirement plan participants and/or eviction from the campus.

### **May I meet with an employee on the Centre's campus?**

If the employee has a personal office or if meeting space has been made available by the employee's department, you may meet with the employee on campus if invited by the employee and an appointment has been made.

**How should I identify myself when interfacing with Centre College retirement plan participants?**

RIAs should explain to the retirement plan participant they are independent; they should explain that they are not affiliated with TIAA-CREF. The fact that you have been previously approved for advisor fee account deductions from TIAA-CREF does not give you the right to indicate you are the company's representative. Further, you shall not indicate that you are in any way affiliated with Centre College, that you are approved by Centre College, that you are an official RIA of Centre College's retirement plan, or any similar Centre College-related language.