

DEPARTMENT OF ADMINISTRATIVE & FINANCIAL SERVICES
STATE HOUSE STATION #78
AUGUSTA, ME 04333
207-624-7800

MEMORANDUM

TO: Bill Scott (VALIC), Bob Rose (AETNA), and Steve Ellis (HARTFORD)
FROM: H. Sawin Willett, Jr., Commissioner
SUBJECT: SOLICITATION BY REPRESENTATIVES OF EACH CARRIER
DATE: October 28, 1992

It has been brought to my attention that there seems to be some conflict in regards to solicitation of deferred compensation on State property during State hours.

The Solicitation Policy specifically states, "NO BUSINESS IS TO BE CONDUCTED ON STATE TIME OR AT THE EMPLOYEE'S WORK SITE!" In the past, if a representative of VALIC, Aetna, or Hartford wanted to do a presentation to a group of State employees, a request for approval to hold such a meeting was made through my office so that ALL carriers could be represented at the same meeting.

I would like to continue with the above practice, but in order to do so please notify your respective representatives and make it very clear that when they are approached to do a presentation they are to call or write to me directly for prior approval. If the meetings continue without my consent, then we will have to strictly abide by the Solicitation Policy as stated above.

Thank you for your cooperation in this very important matter. Any questions or concerns, please feel free to call.

Enclosure -- Copy of Solicitation Policy

STATE OF MAINE
DEPARTMENT OF FINANCE
DEFERRED COMPENSATION PLAN

SOLICITATION POLICY

I. Employees Are Made Aware of the Program Thought:

1. New Employee Orientation Program, Bureau of Human Resources
2. Departmental Payroll informational material - Booklet
3. Annual reminder insert with W-2 Forms
4. By word-of-mouth

II. Request for Information:

When the Commissioner's Office receives an inquiry about the Deferred Compensation Plan either by telephone or card from the booklet.

1. The caller is informed about the employee booklet and a copy is sent one to their home address. If after reviewing the booklet the employee is still interested, the employee sends in the card from the inside back cover of the booklet.
2. The interest card from the booklet is received in the Commissioner's Office, photo copied and sent to all three carriers.
 - a) The carrier representatives are to contact the employee at their home telephone number to set up an appointment to explain the plan. **NO BUSINESS IS TO BE CONDUCTED ON STATE TIME OR AT THE EMPLOYEE'S WORK SITE!**
 - b) After listening to all three carrier representatives, the employee chooses the carrier with whom the employee wishes to enroll.