

AUTHORIZATION OF ON-POST COMMERCIAL SOLICITATION PROCESS MAP

Business submits application (for each employee intending to engage in business on post) to FMWR Financial Management (Office, Bldg. 681, Room 206)

If business industry is insurance, investment, brokerage, advising, or an agent of other financial related business, the following must be submitted: (in addition to application)

- 1) Letter from president or VP of company requesting authorization to solicit on post. Letter must include list of employees who will be engaging customers on installation.
- 2) Company (and agent) must provide proper and current validated state license to sell insurance or said products/services. License must have the state in which the agent is licensed, date, and expiration date.
- 3) List of all policies and form numbers that are to be offered to purchase on the installation.
- 4) As per NYS Regulations, investment companies and agents must be registered with the Securities and Exchange Commission (SEC), Financial Industry Regulatory Authority (FINRA), and have a valid Central Registration Depository (CDR) number.
- 5) Insurance companies must register with the National Association of Insurance Companies (NAIC) and maintain a valid NAIC number.

- 1) FMWR combines application and other supplementary information and submits USMA Form 5 to applicable proponent agencies (DPTMS, AAFES, DES, USCC)
- 2) If insurance related, FMWR validates company and individual agent(s) are in compliance with NYS registration requirements on FINRA website.

Proponent Agencies send comments/responses back to FMWR

FMWR sends packet to SJA for legal review

Legal objection

No legal objection

FMWR drafts disapproval letter

FMWR drafts approval letter

Deputy GC Reviews and signs

Deputy GC Reviews and signs

FMWR reviews letter

FMWR reviews letter

FMWR sends disapproval letter to applicant

FMWR sends approval letter to applicant

