

GIFT APPROVAL FORM

NOTE: This form must be completed when giving or accepting gifts subject to the Firm's gift policy. **Gifts given or received are limited to \$100 per calendar year per person aggregated Firm-wide.** Gifts to unions/union officials/union representatives or public officials (elected officials, employees of municipal entities such as schools) must be approved by Compliance regardless of value.

▶ Request for gift to be **GIVEN** or Request for gift that has been **RECEIVED**

EMPLOYEE/ADVISER NAME (PRINTED):	
EMPLOYEE DEPARTMENT/BRANCH:	
1. IS THE PERSON/FIRM RECEIVING THE GIFT FROM YOU OR GIVING THE GIFT TO YOU A CUSTOMER? <input type="checkbox"/> YES <input type="checkbox"/> NO a. If YES, include account number: b. If YES, include full account name: c. If <u>NO</u> , explain the relationship with you:	
2. GIFT DESCRIPTION:	VALUE: \$ <i>[Calculated as higher of cost or face value]</i>
3. INDICATE: Is the gift personal? <i>(Example: wedding gift, baby gift)</i> Is the gift to a union official? <i>(Requires Compliance approval.)</i> Is the gift to a public official? <i>(Elected official, employee of municipal entity such as a university, county, etc. Requires Compliance approval.)</i>	<input type="checkbox"/> YES <input type="checkbox"/> NO <input type="checkbox"/> YES <input type="checkbox"/> NO <input type="checkbox"/> YES <input type="checkbox"/> NO
EMPLOYEE SIGNATURE:	Date of Request:
<u>SUPERVISOR REVIEW:</u> _____ Reviewed Gift Log to determine gift within \$100 limitation Firm-wide _____ APPROVED _____ DISAPPROVED Records: _____ Forward original Gift Approval Form to employee, retain copy in branch/department file. _____ Forward copy to Compliance. Supervisor's name printed: _____ Supervisor's signature: _____ Date: _____	
<u>COMPLIANCE:</u> _____ Approval if for union official or public official: _____ Date: _____ _____ Record gift in Gift Log.	

NEW:08-05-44