

Gifts, Entertainment, and Contributions

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This intelligent tool automates many manual processes associated with submitting, tracking, approving, and affirming gifts, business entertainment expenses, and political contributions. It gives you the option to create customized forms and unique categories for your firm's needs. Full integration with our Affirmations tool helps simplify the experience by providing users one place to enter and attest to the gifts they give and receive.

Make it easier for employees to stay informed and comply.

The user-friendly interface makes it simple for employees to disclose activities associated with giving or receiving gifts, as well as to enter entertainment expenses and certain contributions. The system:

- Has built-in aggregation tables that show employees how much money they have already spent and what remains available based on the firm's policies.
- Alerts employees if they will exceed policy limitations—before they submit a request.
- Allows for requests to be submitted on behalf of another employee (for example, an assistant for his/her manager).
- Offers full integration with our Affirmations tool, simplifying the experience by providing users one place to enter and attest to the gifts they give and receive.

Define your firm's giving and receiving limits.

This flexible tool gives you more control and greater visibility into employee activities by allowing you to set your firm's limits for gifts, entertainment, and contributions. With this system you can:

- Create custom forms, as well as categories such as gifts, entertainment, and contributions.
- Permit a user to create categories for different types of gifts.
- Set different giving and receiving limits by category, department, function, and/or role.
- Establish limits based on factors such as dollars per year or per company.
- Automatically deny, or route for manual review, any gifts that exceed limits.

Consolidate giving and receiving information.

The Gifts, Entertainment, and Contributions tool consolidates lists of companies and employees to facilitate easier entry of requests and to avoid duplication of entries. This aggregated information also helps make it easier to analyze information and identify any potential red flags.

Get reports when you need them.

Not only will you have access to a robust database of standard reports, you'll also be able to generate ad hoc reports on demand, giving you the critical information you need to manage potential conflicts of interest. This information allows you to track data by person, company, or date ranges. Standard reports include, but are not limited to:

- Giving/receiving requests
- Giving/receiving limits
- Company summary
- Recipient/giver summary

Get started. | Call 1-877-589-4276. | Get details at schwab.com/compliancesolutions.

Taking ownership of compliance means staying ahead of the regulatory landscape, seeing the big picture, and maintaining control. But it doesn't mean doing it on your own. The Compliance Solutions employee-monitoring offer includes Schwab Designated Brokerage Services, Schwab Compliance Technologies® cloud-based employee-monitoring software, and a wide range of financial products and services for employees. These solutions can help you proactively manage compliance, promote a positive employee experience, build long-term value across your business, and instill trust with clients.

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