

# Ethics and Compliance: Marketing Gifting Framework

The following document outlines an agreed framework between Marketing and Legal/Compliance as it pertains to customer gifting. This has been reviewed by Alan Wrafter, Katie Smith, Meg Cavanaugh, Danielle Abrahamsen, Maricris Barasky, Leah Flynn, and Kristin Murphy.

## FUNDAMENTAL RULES

- No gifts given in the form of services or other non-cash benefits.
- No gifts to family members of customers or other business associates.
- No gifts requiring VP approval for prospects during negotiation/nearing negotiation stage.

## GIFT CARDS

- No cash equivalent and no prepaid credit cards from financial institutions (e.g., Visa, Mastercard, American Express).
- Select only appropriate vendor gift cards, such as Amazon, Starbucks, and BESTBUY.
- **Value cap \$50**; however, must be documented in Sendoso OR [here](#) – exceptions need VP approval.
- **NO LEGAL OR COMPLIANCE APPROVAL NEEDED FOR <\$50 IF DOCUMENTED AND RECORDED.**

## DINNER/T&E

- Practitioner-level audience: Regular T&E rules apply to practitioner – this is capped at \$125 per person.
- C-Suite (ENT/Commercial) audience – \$250 cap.
- Exceptional activities such as CAB/PAB etc. need VP and compliance approval.
- **NO LEGAL OR COMPLIANCE APPROVAL NEEDED ONCE THE DINNER IS WITHIN THESE GUIDELINES.**

## CUSTOMER SPEAKER TRAVEL

- Preference to apply Commvault's standard T&E rules around flying coach (\$800 domestic/\$2000 international).
- **EXCEPTIONS TO THIS RULE OR TO FLY BUSINESS/FIRST TO ENSURE CUSTOMER PARTICIPATION REQUIRES VP APPROVAL.**

## PHYSICAL GIFTS/SWAG

- Physical gifts/swag capped at \$50.
- For executive level attendees (C-Suite from ENT/Commercials) this is capped \$200.
- **ALL EXCEPTIONS NEED VP AND COMPLIANCE APPROVAL (INCLUDING RAFFLES, CAB).**

## EXPERIENCES

- Experiential marketing activities like wine tasting, top golf, golf fittings, etc. should be capped at \$250 per person and limited to an executive audience from ENT/Commercial accounts.
- **EXCEPTIONS NEED VP AND COMPLIANCE APPROVAL.**

## PUBLIC SECTOR

**Applies to all Government employees**, including Domestic and Foreign government offices, states agencies and public schools.

- Gifting is typically not permitted.
- \$20 cap. Anything beyond \$20, you can request that if they accept, they are not violating any company policies or compliance agreements via a note from their compliance officer.
- Avoid gift cards. They may only be used for restaurants (eg \$20 Starbucks gift card).
- Trinkets, swag and small tchotchkes of little or minimal value (items like pens, stress balls, and the like) are typically acceptable for tradeshow or industry shows.

### Education

- Double-check to see if the organization is public or private.
- Public institutions need to follow compliance rules.

**WHEN IN DOUBT, ALWAYS CHECK WITH LEGAL** ([legal@commvault.com](mailto:legal@commvault.com) or [compliance@commvault.com](mailto:compliance@commvault.com)).

**Include this language on all invites or communications involving giveaways:**

\*Public Sector and Government employees are reminded to ensure that their participation and acceptance of this giveaway drawing are permitted by applicable rules and regulations.

OR

\*Public Sector and Government employees are reminded to ensure that their participation and acceptance of this promotion is permitted by applicable rules and regulations.

## PROCESS FOR APPROVALS

**MUST HAVE VP APPROVAL** (Alan Wrafter for Field and Partner Marketing). Forward Alan's approval to [legal@commvault.com](mailto:legal@commvault.com) and [compliance@commvault.com](mailto:compliance@commvault.com) outlining your ask.

## PROCESS FOR RAFFLE T&Cs

Use raffle template and send to [legal@commvault.com](mailto:legal@commvault.com) and cc Tyler for final approval.

**MUST BE IN LINE WITH COMPLIANCE FRAMEWORK ABOVE.**