

## TD Ameritrade Community Grants – Corporate Program

### Funding Guidelines and Criteria – Main People Location Employee Program

*Please read: To help meet local community needs resulting from the global Coronavirus disease (COVID-19) pandemic, the Spring 2020 Community Grants program will expand program objectives to help local organizations impacted by and/or responding to the crisis. In these instances, general operating expense grants to cover day-to-day activities will be considered as well, to ensure organization doors stay open so they can continue to meet the ever-changing needs of those they serve. We also recognize that in light of current events, specific components of our Community Grants program outlined below may not be relevant and/or possible, including traditional in-person volunteering and expectations around indicators and measurement that would typically be required for project-based support. Please note that we have drastically simplified the application this year to reflect these changes and make applying as easy as possible.*

Thank you for your interest in applying for a grant through TD Ameritrade’s Community Grants program! This initiative enables employees in our main people locations to identify and champion local nonprofit organizations that are creating a meaningful impact in the communities where they work and live.

**Program Overview:** In recognition of our employees’ commitment to their local communities, TD Ameritrade awards grants to nonprofit organizations making a lasting impact in the communities surrounding our corporate locations, including Asia. The review and grantee selection process is led entirely by TD Ameritrade employees. Along with grants, we aim to support selected nonprofit organizations through employee volunteerism wherever possible.

**Employee-Driven Decisions:** To apply for a TD Ameritrade Community Grant, you can visit [AMTD.com](https://AMTD.com), be nominated by a TD Ameritrade employee, or [access the application via GrantsConnect](#), TD Ameritrade’s online grant portal. Applications are reviewed by local TD Ameritrade employees and grant awards are based on employee recommendations.

**Funding Guidelines:** Community Grants empower TD Ameritrade employees to drive positive change and engage with nonprofit organizations working to improve their local communities. Our grants aim to:

- Support nonprofit organizations serving the communities surrounding TD Ameritrade’s main people locations (see chart below)
- Provide meaningful volunteer opportunities to our employees, preferably within 50 miles of TD Ameritrade’s main people locations
- Support programs that propel long-term community impact in one of the following categories:
  - Social: Addresses pressing social needs in the local community
  - Environmental: Preserves and/or protects the local environment

TD Ameritrade is committed to fostering diversity and inclusion within our business and beyond. In selecting grant recipients, preference will be given to organizations and projects which advance diversity and inclusion efforts in local communities. Grants are intended to support a specific project of the grantee and not general operating expenses. **Only one application may be submitted per organization.**

Grant sizes vary by community and are based on local office footprint (determined by number of employees).

Office Footprint	Region	Grant Range
Tier 1	Hong Kong Singapore	\$2,500 - \$5,000
Tier 2	Draper, UT Denver, CO	\$5,000 - \$10,000
Tier 3	Columbia, MD Ann Arbor, MI	\$5,000 - \$15,000
Tier 4	Chicago, IL	\$5,000 - \$25,000
Tier 5	San Diego, CA Jersey City, NJ St. Louis, MO	\$10,000 - \$50,000
Tier 6	Southlake, TX Omaha, NE	\$25,000 - \$50,000

**Grantee Eligibility Criteria:** To qualify, organizations must be recognized as tax-exempt by the Internal Revenue Service under Section 501(c)(3), or international equivalent, and serve the nominating employee's local community. TD Ameritrade will not provide grants to the following types of organizations or projects:

- Academics
  - School support organizations, parent-teacher associations (PTA), parent-teacher organizations (PTO) or booster clubs.
- Activism/Political
  - Political, lobbying or labor organizations.
  - Organizations that do not comply with or are prohibited by the USA Patriot Act (or other applicable anti-terrorism rules/laws).
- Athletics
  - Professional or amateur sports teams, leagues or athletic events and programs. Youth development organizations with sports programming are applicable.
- Memberships
  - Fraternities, sororities or social clubs whose membership is not open to all students/members of the community.
  - Professional membership associations.
- Prejudiced
  - Organizations that discriminate on the basis of race, color, national origin, ethnicity, age, religion, marital status, sex, sexual orientation, gender identity/expression, ancestry, genetic information, citizenship status, political affiliation, service in the Armed Forces of the United States, disability (where the applicant or employee is qualified to perform the essential functions of the job with or without reasonable accommodation) or any other classification protected by applicable law.
- Religion
  - Religious institutions when the project is focused on promoting a particular faith or where the benefits are limited to those of a particular faith. TD Ameritrade will support

projects that benefit the general public (e.g., an open door soup kitchen). Organizations requesting funding for religious institutions should note the project it will support when applying for the grant.

- **Renewal/Renovation Projects**
  - Funding, loans or debt reduction, or construction and renovation projects for charitable organizations and/or individuals, including capital campaigns. Funding to a nonprofit organization whose services include construction projects for those in need, such as Habitat for Humanity, or improvement projects for the betterment of the community, such as a local library refurbishment, are eligible.

Additionally, organizations that have received enterprise-level funding in the current fiscal year are ineligible for Community Grants. This currently includes the American Red Cross; National 4-H Council; Habitat for Humanity Omaha; Junior Achievement USA; Rock the Street, Wall Street; and The Securities Industry and Financial Markets Association (SIFMA) Foundation.

Notwithstanding the Grantee Eligibility Criteria described above, TD Ameritrade reserves the right to make a determination concerning whether to provide funds to any organization for any reason, including misalignment with TD Ameritrade’s purpose, policies or practices.

**Process & Timeline:** All nominated or interested organizations will receive an eligibility quiz to determine necessary criteria are met prior to application submission. If eligibility criteria are met, the organization will be prompted to apply for a grant. All program processes will be managed through *GrantsConnect*, via the YourCause platform. Anticipated timeline is outlined below.

<p><b>Nominations</b> Nonprofit organizations are nominated to apply by TD Ameritrade employees. Organizations can also apply directly through <a href="https://www.amtd.com">AMTD.com</a>.</p>	March 2020
<p><b>Applications</b> Organizations complete an eligibility quiz and application in <i>GrantsConnect</i>, TD Ameritrade’s online grant portal.  Applications must be submitted in the <i>GrantsConnect</i> system by <b>April 24<sup>th</sup></b>. Organizations will be notified if the deadline is extended.</p>	April 2020
<p><b>Grant Notifications</b> TD Ameritrade announces grant awards.</p>	July – August 2020
<p><b>Grant Term</b> Grantees implement projects and engage TD Ameritrade employees in volunteer service, if applicable.</p>	August 2020 – July 2021
<p><b>Impact Reports</b> Grantees submit impact report through <i>GrantsConnect</i>.</p>	August 2021

Paper applications are not accepted by TD Ameritrade; all grant applications must be received through *GrantsConnect*. TD Ameritrade will not accept or review unsolicited applications received in hard-copy or outside the pre-determined timelines established for program.

**Measurement and Reporting:** All organizations that receive a grant will be required to submit an impact report summarizing program impact and TD Ameritrade employee engagement upon completion of the grant period. At a minimum, grant recipients will be asked to report on the following, if applicable:

- Community impact output metrics (number of people served, pounds of food packaged, number of trees planted, etc.) and, where possible, any outcomes (improved health, knowledge, etc.)
- Employee engagement metrics (number of employee volunteers, total number of volunteer hours, activities completed)
- Activities performed and critical needs met
- How the project addressed nonprofit needs (money saved, hours of labor saved)
- Qualitative data (stories, pictures, videos, etc.)

**Communications:** TD Ameritrade is proud of all its partners and looks forward to announcing the grant award winners through traditional public relations channels as well as social and digital media channels. All organizations who are awarded a grant will receive social media guidelines on how to best acknowledge and celebrate their partnership with TD Ameritrade.

**Questions:** If you experience technical difficulties when submitting your grant application, please email us at [tdameritrade-support@yourcause.com](mailto:tdameritrade-support@yourcause.com). We will make every effort to respond to your email within 48 hours. Please note that we will **not review or discuss proposed projects** but will be happy to answer questions related to navigating the *GrantsConnect* platform.

*TD Ameritrade reviews the Community Grants program annually and reserves the right to update policies and procedures, or forego programming at any time.*