

GLOBAL INVESTMENT BANKING PRE-HIRE CHECKLIST

Pre-Hire Onboarding Tasks to Complete before Start Date

Workday Onboarding Tasks:

- Complete [Workday Onboarding Task: Personal and Contact Information](#). See email from Baird's onboarding portal (Welcome@rwbaird.com) with instructions to access Workday and complete tasks in the system as they become available to you
 - You must complete the Personal and Contact Information task prior to your start date
 - For Workday support, please contact our HR Operations team - 414-298-7305
- Fingerprints: See email from baird@bigreport.com with instructions to schedule appointment for fingerprinting, which must be completed prior to your first day. If you have any concerns about going into a Fieldprint site or are unable to locate an open site, please reach out as soon as possible

FINRA and Licensing Tasks:

- Whether you're transferring, reactivating, or establishing your licenses, these steps are essential for your employment and must be completed promptly. Analyst and Associates must not be staffed on live engagements or pitches until all required exams are passed, and licenses are active
- [Review Licensing and Exam Checklist](#)
 - **SIE Exam:** Must be passed prior to your start date
 - **S79 Exam:** Must be passed within 14 days of hire
 - **S63 Exam (Associates Only):** Must be passed within 14 days of hire

General Policies:

- Review GIB [Dress Code](#)
- Review GIB [Disclosing Accepted Offers Away from Baird](#)

Technology Policies:

- GIB operates a Bring Your Own Device Policy for mobile access to Baird email. You will be asked to electronically acknowledge your agreement during your onboarding process through MCO. Please download [Baird Mobile apps](#) **prior to your first day**
- Review Mobile Phone [reimbursement policy](#). Eligible associates will receive \$35 per month towards mobile phone plans used to receive Baird email

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Workday Tasks and New Associate Onboarding

You will have two types of Workday interactions that will support you and ensure that you have:

- Accurate personal and contact information
- Complete federal and regulatory processes
- Made your benefit elections
- Selected tax withholding

Workday Journey

You will have curated steps to help support and guide you with onboarding.

1. Tasks will be delivered via email and will come in waves (as you complete the previous). Plan to use your inbox to see what tasks have been assigned to you.
2. Onboarding journey will be available from the Workday homepage and provides information to support your choice and life at Baird, including the associate handbook, benefit guide, retirement account information, and associate referral guide.

Workday Inbox Tasks

1. Wave 1 – Edit contact and personal information (**MUST BE COMPLETED PRIOR TO START DATE**)
2. Wave 2 – Edit government IDs, add dependents, and update health saving account eligibility
3. Wave 3 – Change emergency contacts and complete tax and benefit elections
4. Wave 4 – add a photo

Additional Action Items to watch for in Workday

- I-9 & Fingerprinting Instructions
- Setting up a FinPro Account
- Associate Handbook
- Benefit Resources
- Get to Know Baird

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Onboarding: Licensing & Exam Registration

Whether you're transferring, reactivating, or establishing your licenses, these steps are essential for your employment and must be completed promptly. **Analyst and Associates must not be staffed on live engagements or pitches until all required exams are passed, and licenses are active.** All tasks, exams, and disclosures are managed through [My Compliance Office](#).

Analyst:

1. SIE Exam: Must be passed prior to your start date
2. S79 Exam: Must be passed within **14 days of hire**

Associate:

1. SIE Exam: Must be passed prior to your start date
2. S79 Exam: Must be passed within **14 days of hire**
3. S63 Exam: Must be passed within **14 days of hire**

Baird partners with Knopman Marks to support your exam prep with bi-weekly onboarding calls, study materials and online assessments. If you haven't already, please reach out to [Compliance](#) to coordinate. Please keep track of out-of-pocket expenses and you will be reimbursed.

Licensed Banker

























- If already licensed: **Complete online U4 form** and sign the final version
- **Steps to Complete U4 Form:**
 - You'll receive an email from the registrations team within the first few days to complete your U4
 - When filling out your form, please complete in its entirety and provide a **full 10 years of employment and residential history**
 - Please include unemployment/education history in the 10-year history
 - Be sure to answer all disclosure questions and remember to e-sign your U4

 **You are not eligible to be staffed until your U4 form is completed and filed**

Non-Licensed Banker

- If not licensed: First, **complete the Securities Exam Window Open Request via MCO**
 - Once requested, registrations will send a U4. Please see the above steps to **complete U4 form**
 - Your exam windows will then open, and you can schedule exams
 - You are expected to take your **S79 and/or S63 within 14 days of hire**

Quick Links

 Personal Trade Pre-Clearance >	 Outside Business Activity >	 Add an Account >	 Beneficiary for Non-Family Client >
 Borrowing or Lending with Clients or Associates >	 Compromise to Creditors >	 Conflicts of Interest >	 Designations or Degrees >
 Felony, Misdemeanor or Other Legal Proceedings >	 Government Entities Services >	 Insurance - Resident State License Request >	 Lobbying-Related Activities >
 Multi-Associate Office Locations Maintenance >	 Non-Baird Compensation >	 Other Disclosable Events >	 Other Fiduciary Responsibilities >
 Political Activity Request >	 Political Contribution Request >	 Private Investment >	 Public Appearance >
 Referral Compensation >	 Retail Communication Review >	 Securities Exam Materials Request >	 Securities Exam Window Open Request >

 **You are not eligible to be staffed until you pass required exams**

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General Office Policies

Baird Dress Code Policy

For the Baird Dress Code Guidelines please reference The Associate Handbook. See below for the GIB dress code guidelines.

GIB has implemented a casual dress code while in the office. However, please remember to dress to client expectations when meeting in our offices. To ensure continued success with a casual dress code, please keep in mind the following:

- Casual attire can include blue jeans, but you need to appear consistently sharp and tidy. Please refrain from wearing holey or worn jeans.
- Inappropriate casual attire includes:
 - Athletic sandals / flip flops and tennis shoes
 - Sweatshirts, sweatpants or shorts
 - Leggings, yoga pants or cargo pants
 - T-shirts, tank tops, spaghetti straps, camisoles, halter tops and low-cut shirts
 - Miniskirts
- Rule of thumb: If you're staring at the mirror questioning if what you're wearing is appropriate, the answer is probably "no". Play it safe and conservative when in doubt.

Please be aware of specific dress code restrictions in the following locations:

- **Chicago:** Clients are regularly attending meetings on the 56th and 57th floors. Anyone interacting or meeting with clients' needs to be dressed appropriately.
- **Milwaukee:** Jeans are not allowed in the Baird Conference Center on the 29th floor. If you're meeting on 29, you need to be dressed business or business casual.

GIB Jobs Away Disclosure Policy

Managing potential conflicts of interest is a compliance obligation; we need visibility on future roles to ensure situations are appropriately managed and/or disclosed

1. Disclosure Requirement

- Must proactively disclose via MCO (our compliance platform) within two business days that you have committed to or accepted either verbally or in writing a role away from Baird
- In the initial attestation, the two-day requirement for disclosure is lifted (i.e., no consequence if the role was accepted more than two days ago)
- You will receive an email prompt today to complete your first attestation or disclosure in MCO

2. Quarterly Attestation: Each quarter, you will receive a prompt via email to attest in MCO:

- "No" – you have not committed to a role away
- "Yes" – you have committed to a role away - if you commit to or accept a role away from Baird, **you must go into the system within two days to make the disclosure** (i.e., you cannot wait until the next quarterly attestation)
- A "Yes" response triggers notifications to your Group Head(s) and COO, and you must inform senior deal team members if your future employer is involved in active projects

3. Consequences & Conflict Management

- Timely disclosure has no adverse impact
- Failure to disclose may result in termination or financial penalties
- Conflicts may be managed through staffing changes, disclosure protocols, or additional oversight

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Mobile Apps:

Please download the below mobile apps prior to your first day. We will review these apps during the IT overview during your first few hours

**Note: Please download, but do not attempt to login to any of the apps below until your IT overview on the first day

Concur – Baird Travel & Expense Platform

- View on [GIB Web](#)



Global Relay – Texting for Business Purposes

- View on [GIB Web](#)



Lattice – Performance Management

- View on [GIB Web](#)



Microsoft Authenticator – Two-Factor Authenticator



Microsoft OneDrive – Save, Store & Share Files

Microsoft Outlook – Access Email & Calendar



Microsoft SharePoint – Access files / GIB Web

Microsoft Teams – Internal Messaging and Meetings

- View on [GIB Web](#)



Uber for Business / Uber Eats – Ride/Meals while Traveling on Business

- View on [GIB Web](#)

Workday – HR System



Zoom – Internal / Client Meetings



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US Cell Phone Policy:

Mobile phone plan reimbursement of \$35 per month for eligible associates. Eligible associates include those who are allowed to work remotely anytime during the regular work week and who use their mobile phone for work purposes (contractors excluded). Mobile phone bills are not required for reimbursement of the monthly \$35 expense; reimbursement is provided automatically via paychecks.

Eligible associates are expected to load and configure Global Relay Messenger for all work[1]related text communications. Once complete, update your email signature to indicate that your work number may be used for calls and texts.

International plans used for business purposes are reimbursable. A mobile phone bill is required for additional reimbursement beyond the monthly \$35 mobile phone plan reimbursement. You are encouraged to install and configure the Cisco Jabber application on your mobile device, which allows you to make and receive calls from your work phone number using VOIP technology (i.e. no international charges apply).