

All registered individuals must complete this form and obtain Compliance approval before engaging in any Outside Activity.

**SECTION 1 – EMPLOYEE INFORMATION**

Name \_\_\_\_\_

Phone \_\_\_\_\_

Title \_\_\_\_\_

Email \_\_\_\_\_

Registration Category \_\_\_\_\_

**SECTION 2 – DETAILS OF THE OUTSIDE ACTIVITY**

1. Type of activity (check all that apply):

Executor / Liquidator of an Estate (for non- family member)

Employment, consulting role or volunteering

Power of Attorney (for non-family members)

Operating a business / partnership / investment club

Board/Committee membership (for-profit or not-for-profit)

Real estate activity (agent, landlord, prop management)

Other (please specify): \_\_\_\_\_

2. Name of organization or individual(s) involved: \_\_\_\_\_

3. Description of activity and your role: \_\_\_\_\_

4. Estimated time commitment (hours per week/month): \_\_\_\_\_

5. Start date (and expected duration): \_\_\_\_\_

6. Will you receive compensation? \_\_\_\_\_

**SECTION 3: CONFLICT OF INTEREST CONSIDERATIONS**

**YES NO**

1. Could this activity create a potential conflict of interest with your role at the firm?

If yes, please specify: \_\_\_\_\_

2. Could this activity impact your time, availability, or performance?

3. Does this activity involve clients or prospective clients of the firm?

**SECTION 4: EMPLOYEE ATTESTATION**

I certify that the information provided above is complete and accurate. I agree not to engage in or continue this outside business activity until I receive written approval from Compliance/Management.

Signature: \_\_\_\_\_

Date: \_\_\_\_\_

**SECTION 5: COMPLIANCE/MANAGEMENT REVIEW**

Approved

Approved with conditions (specify) \_\_\_\_\_

Denied

Signature: \_\_\_\_\_

Date: \_\_\_\_\_