



OLYMPIC GOLD MEDALISTS 1988 | 2000
WORLD CUP GOLD MEDALISTS 1973 | 1974 | 2007 | 2009
WORLD BASEBALL CLASSIC CHAMPIONS 2017

October 20, 2020

GIFTS AND ENTERTAINMENT POLICY

OF THE

UNITED STATES BASEBALL FEDERATION, INC.



Member, U.S. Olympic Committee

1030 Swabia Court, Suite 201, Durham, NC 27703
Tel - 919.474.8721 | Fax - 855.420.5910
USABaseball.com | Info@USABaseball.com



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1. Purpose

USA Baseball is committed to sustaining an ethical workplace free of conflicts of interest and perceived conflicts of interest. USA Baseball therefore has adopted this Gifts and Entertainment Policy to provide instruction to USA Baseball employees, board members, officers, committee members, task force members, hearing panel members, and volunteers regarding how to handle offers of gifts or other forms of entertainment from individuals or companies that do business with, or are interested in doing business with, USA Baseball. Additionally, it provides instruction on USA Baseball extending gifts to third parties.

This policy should not be considered in any way as an encouragement to make, solicit or receive any type of gift or entertainment. Indeed, USA Baseball employees, board members, officers, committee members, task force members, hearing panel members, and volunteers may not, under any circumstances, actively solicit any type of gift or entertainment. Further, USA Baseball will not under any circumstances permit or authorize participation in any business gifts or entertainment that might be considered lavish, inappropriate or illegal.

2. Applicability of Policy

This Gifts and Entertainment Policy is applicable to all USA Baseball employees, board members, officers, committee members, task force members, hearing panel members, contractors, and volunteers, as well as their spouses and immediate family members (“Affiliated Individuals”).

3. Receiving Business Courtesies

a. Current Business Partners

Affiliated Individuals may accept gifts from individuals and companies that currently do business with, or make donations to USA Baseball as follows:

- i. Partner/sponsor/supplier products and partner/sponsor/supplier-branded products (e.g., logoed jackets) with a value of up to \$1,000 per Affiliated Individual, per year, per individual/company;
- ii. Other gifts with a value of no more than \$100 per Affiliated Individual, per year, per individual/company;
- iii. Invitations for the Affiliated Individual to attend sporting events with an individual/company representative including travel to and from such events only to the extent approved in advance by USA Baseball’s Ethics Committee.
- iv. On an infrequent basis, invitations for a spouse or family member to join the Affiliated Individual at sporting events with an individual/company representative;
- v. Invitations to attend fundraising events with an individual/company representative at no cost to the Affiliated Individual;
- vi. Invitations to attend other social, educational, or entertainment events intended to enhance the business relationship, provided that the cost of the event does not exceed



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\$100 per Affiliated Individual per event and \$400 total per individual/company per year; and

vii. Perishable or consumable gifts provided that the gift is reasonable and not unduly lavish.

b. Prospective Business Partners

Affiliated Individuals may accept gifts from individuals and companies that are not current business partners of USA Baseball but that may or may not be seeking to engage in a business relationship with USA Baseball as follows:

- i. Gifts with a value of not more than \$100 per Affiliated Individual, per year, per individual/per company;
- ii. Invitations for the Affiliated Individual to attend sporting events with an individual/company representative (but not travel to and from such events);
- iii. Invitations to attend fundraising events with an individual/company representative;
- iv. Invitations to attend other social, educational or entertainment events intended to promote the business relationship provided that the cost of the event does not exceed \$100 per Affiliated Individual, per event and \$200 total per Affiliated Individual, per individual/company, per year.

c. Limitations

Affiliated Individuals may never accept cash or financial instruments, such as checks or stocks. Under the guidelines set forth herein, Affiliated Individuals may accept gift certificates or gift cards.

4. Disclosure and Approval

All gifts or invitations falling under Section 3(A)(1), Section 3(A)(3), and Section 3(B)(2) above, and all invitations that involve the third party paying for the Affiliated Individual's travel and/or overnight accommodations, must be promptly reported to the [Ethics Committee](#) and [the CEO](#). Where the gift or invitation is made to [the CEO](#), the requisite disclosure must be made to the [Ethics Committee](#). Prior to accepting invitations or gifts that include travel and/or overnight accommodations during business hours, written approval must be received from [the CEO](#). In the case of USA Baseball's outside Legal Counsel or CEO's request for approval, such approval must be received from the [Ethics Committee](#).

Any potential gifts or invitations extended that exceed the limits and/or parameters noted above must be disclosed to, and approved in advance and in writing by the [Ethics Committee](#) or [the CEO](#) as appropriate, before they may be accepted.

In addition, the [Ethics Committee](#) and [the CEO](#) may, in consultation with the Affiliated Individual, to require that any gift(s) be returned, donated to USA Baseball, or donated to another agreed-upon charity if the [Ethics Committee](#) or [the CEO](#) believes that such gift(s) is not proper and/or creates an appearance of impropriety.



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The Gift Disclosure form is attached.

5. Extending Business Courtesies

General Rules

There may be times when an Affiliated Individual wishes, as a business matter, to extend to a current or potential USA Baseball business associate (i.e., an individual or company) a gift or an invitation to attend a social event (e.g., reception, meal, sporting event, or theatrical event) to further or develop a business relationship. In such instances, gifts may not exceed \$100 in value per person per year, without the prior written approval of [the CEO](#) and/or the [Ethics Committee](#).

Invitations to events must be reasonable and appropriate. Topics of a business nature must be discussed at the event, and the USA Baseball employee or Board Member must be present. The cost associated with such an event should not exceed \$100 per person/company per year, except with regard to sporting events and fundraising functions, without the prior written approval of [the CEO](#). Moreover, such business entertainment with respect to any particular individual must be infrequent, which, as a general rule, means not more than four (4) times per year. Frequency beyond the foregoing must be pre-approved in writing by [the CEO](#). To the extent the USA Baseball employee or Board Member has knowledge of applicable restrictions by a recipient's organization on gifts and entertainment, the USA Baseball employee or Board Member must undertake best efforts for all business entertainment and gifts to comport with the restrictions imposed by the recipient's organization.

USA Baseball employees or Board members may give gift certificates within the limits set forth in this policy, but may never give cash or financial instruments, such as checks or stocks.

a. Development Division/Staff

USA Baseball recognizes that the limits set forth in Section 5 may hamper the ability of the Development Division/Development Staff to perform their job functions. In light of this, the foregoing limits will not apply to the Development Division/Development Staff if the invitation or event is part of normal and reasonable job duties and the event is not lavish or unreasonable. For the Development Division/Development Staff only, the cost of gifts and events for which no prior written approval is required is \$600 per person per year. To the extent any gift or invitation exceeds that limitation, the USA Baseball Development employees/staff must obtain the prior written approval from [the CEO](#).

b. Government Employees

The giving of gifts to federal, state, and local government employees is governed by a complex set of rules that is typically agency-specific. Generally, the giving of gifts to government employees is very limited or prohibited. Before offering a gift to a government employee, of any value, you must receive the approval of [the CEO](#) in advance and in writing.

c. Disclosure And Approval

All gifts or invitations offered by an Affiliated Individual must be covered by the appropriate USA Baseball budget and must be approved in advance by the appropriate USA Baseball supervisor. All gifts or



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invitations extended that exceed the limits and/or parameters noted above must be disclosed to, and approved in advance and in writing by, [the CEO](#) before they may be offered.

d. USA Baseball Point of Contact

Affiliated persons in need of further information or guidance in relation to this policy should contact Paul Seiler at paulseiler@usabaseball.com or George Grande at ethics@usabaseball.com.



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USA Baseball Gift Disclosure Form

Please complete this form immediately upon receipt of personal gifts received in your capacity as an employee or representative of USA Baseball.

Name: _____

- USA Baseball Employee USA Baseball Board Member USA Baseball Volunteer
- USA Baseball Committee Member USA Baseball Hearing Panel Member
- USA Baseball Task Force Member Athlete Representative Contractor
- Other (please specify): _____

Describe the gift(s) received:

- The value of the gift is estimated at \$_____. Note: This is a good faith estimate based on retail value. If the value cannot reasonably be estimated or determined, so state.

- Please describe the source of the gift (name and relationship to USA Baseball) and under what circumstances it was received:

- Current business partner: _____
- Prospective business partner: _____
- Other: _____

- Indicate below any matters pending or likely to arise in the future that might involve the donor:

Certification: I certify that this gift was not solicited.

SIGNATURE: _____

DATE: _____

Send this completed form to: Paul Seiler at paulseiler@usabaseball.com or George Grande at ethics@usabaseball.com.



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