

**Please read this information carefully. It contains the compliance guidelines that will be followed regarding reimbursement for the 2025 Dunham Advisory Board Meeting at the Rancho Bernardo Inn.**

### **Transportation**

#### **Flying**

- Economy class flights are included in your meeting package. Shortly after you have submitted your registration, you will be contacted by our travel partners with a recommended flight. Once approved, your flight will be ticketed and paid for by Dunham.
- Dunham cannot purchase first-class airfare in accordance with FINRA Rule 2341. Should you desire upgraded flights, you will be required to provide a credit card to our travel partner for ticketing. Dunham will reimburse you for the cost of an economy ticket. (This information will be provided by our travel partner.)
- You will be reimbursed for your transportation to and from the San Diego Airport and Rancho Bernardo Inn. (Uber/taxi)

#### **Driving**

- We will reimburse you for your mileage at a cost of \$0.70 per mile. Regulators do not allow us to pay for your tolls or parking.

### **Guests**

- If you are traveling with a companion, you will be responsible for all guest-related expenses.
- If your guests will be attending the Tuesday evening dinner or the Wednesday evening reception, you will be required to pay for these events in advance of the meeting.

### **Hotel**

If you are flying, your accommodation for the evenings of Tuesday, May 20<sup>th</sup> – Thursday, May 22<sup>nd</sup> is included in your meeting package.

If you are local and are driving, your hotel accommodation will be covered on Tuesday, May 20<sup>th</sup> and Wednesday, May 21<sup>st</sup> evenings only.

### **Miscellaneous**

The items listed below are not FINRA approved for reimbursement.

- Expenses for spouses/ guests
- Non-event related meals (airport dining, room service, etc.)
- Rental car (and gasoline associated)
- Gasoline for personal car
- Tolls
- Spa treatments
- Golf or other activities not associated with the meeting
- Hotel incidentals (phone calls, business center, in-room movie purchases)
- Airfare to destinations other than event location (San Diego, CA)
- Extended hotel accommodations before or after the meeting dates

**Please use the form on the following page for all reimbursement requests.**

## TRAVEL REIMBURSEMENT REQUEST FORM

<b>Date:</b>			
<b>Payee's First Name:</b>		<b>Payee's Last Name:</b>	
<b>Broker/Dealer Name:</b>		<b>RIA Name:</b>	

AIR TRANSPORTATION	DATE	NOTES	AMOUNT
Airfare ( <i>Economy</i> ) to San Diego			\$
Airfare ( <i>Economy</i> ) from San Diego			\$
Baggage			\$
Airport Parking ( <i>not to exceed \$50</i> )			\$
<b>AIR TRANSPORTATION TOTAL:</b>			\$

GROUND TRANSPORTATION	DATE	NOTES	AMOUNT
From ( <i>San Diego</i> ) Airport to Hotel:			\$
From Hotel to ( <i>San Diego</i> ) Airport:			\$
<b>GROUND TRANSPORTATION TOTAL:</b>			\$

*Note: Mileage for local attendees should be calculated at the standard IRS rate of \$0.70 per mile.*

<b>AIR &amp; GROUND TRANSPORTATION TOTAL:</b>	\$
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**GUEST ATTENDANCE:**

*Note: Dunham Advisory Board members are responsible for all guest-related expenses in advance of the event. Guest related expenses are not eligible for reimbursement pursuant to FINRA Rule 2341.*

### TO SUBMIT YOUR TRAVEL REIMBURSEMENT REQUEST FORM

**Via Email:** Please send your request with scanned receipts to [marketing@dunham.com](mailto:marketing@dunham.com)

**Via USPS:** Please send your request with hard copy receipts to Dunham & Associates Investment Counsel, Inc., 6256 Greenwich Dr Ste 550, San Diego, CA 92122.

**Questions:** (800) 442-4358

## TRAVEL REIMBURSEMENT REQUEST FORM

### PAYEE TRAVEL EXPENSE CERTIFICATION

*I certify that these charges are accurate and that I am not claiming reimbursements outside of those deemed acceptable by my Broker/Dealer, RIA or FINRA.*

Payee's First Name:	Payee's Last Name:
Signature:	

### TRAVEL REIMBURSEMENT OVERVIEW

*All Expenses MUST be Accompanied by Detailed Receipts to be Eligible for Reimbursement.*

#### Air Travel

For Dunham Advisory Board members traveling more than 200 miles, included in your attendance is reasonable roundtrip Coach Airfare.

**Dunham & Associates does *not* reimburse Dunham Advisory Board members for First Class or Business Class airfare.**

#### Ground Transportation

For Dunham Advisory Board members, included in your attendance is ground transportation to and from the San Diego International Airport to the hotel via shuttles, taxis or ride-sharing services. Transportation between your local airport and your home/office is not reimbursable.

Aside from shuttles, taxis or ride-sharing services, **Dunham & Associates does NOT reimburse Dunham Advisory Board members for other ground transportation services, such as chauffeured limousines, Town cars, Sedans or rental cars.**

#### Checked Baggage

For Dunham Advisory Board members traveling by air, included in your attendance is reimbursement for **one** checked bag. This reimbursement is limited to Dunham Advisory Board members. Guest or spouse luggage is not eligible for reimbursement.

#### Airport Parking

For Dunham Advisory Board members traveling by air, included in your attendance is reimbursement for airport parking not to exceed **\$50 per day.**

#### Reimbursement Receipts

Please include all receipts for requested reimbursements and be sure to sign the reimbursement form attesting the information included in your request.

#### EXPENSES **NOT** FINRA-APPROVED for REIMBURSEMENT

- Non-event related meals (airport dining, meals not included on the event agenda, room service, etc.)
- Spouse or guest-related meals, travel, airline tickets, incidentals or other expenses
- Rental car (and gasoline associated)
- Gasoline for personal car
- Toll fees
- Spa treatments
- Golf or any other activities not associated with event agenda
- Hotel incidentals (phone calls, business center, in-room movie purchase, etc.)
- Airfare to destinations other than event location (San Diego, CA)
- Extended hotel accommodations prior to or past event dates

Payment or reimbursement of eligible expenses is not pre-conditioned on the achievement of any sales target or any other non-cash compensation arrangement permitted under FINRA Rule 2341.