



BAIRD

*Partnering for a  
Better Tomorrow*



2013 BAIRD FOUNDATION  
ANNUAL REPORT



*“By working together as a firm and within our communities, we can make an even bigger difference and create a better tomorrow.”*

### A Message From Paul Purcell and Steve Booth

At Baird, we recognize the importance of strong partnerships. When we work in partnership on important causes, we can increase our impact in the communities around us. Likewise, we realize the profound impact our communities have on us as individuals and as a firm.

Our associates demonstrate an eager and ongoing commitment to improving the lives of those in need and supporting the causes they believe in. Many associates dedicate their time to hands-on volunteering, serving in leadership roles on nonprofit boards and providing generous financial support to worthy causes across the country.

Supporting our associates' efforts to give back is part of our culture. That's why we offer such programs as Baird Gives Back Week, a weeklong event offering associates opportunities to volunteer in their communities; Baird Cares days for associates to receive paid time off to volunteer; and Baird Foundation's gift match program, which matches associates' personal donations to a nonprofit of their choice. Through these programs and other efforts, we partner with others in the community to build a better tomorrow.

With a focus on education, the arts, health and human services, and diversity, Baird Foundation gave more than \$3 million to nonprofit organizations in 2013, including \$373,564 in matching funds further supporting associates' personal donations.

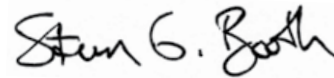
In 2014 and beyond, Baird Foundation will work to ensure its support has the greatest impact in its areas of focus and that our 2,900+ associates do the same.

By working together as a firm and within our communities, we can make an even bigger difference and create a better tomorrow.

All our best,



Paul E. Purcell  
Chairman & Chief Executive Officer



Steven G. Booth  
President & Chief Operating Officer

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*From 1999 to today, the dollar value of grants given annually by Baird Foundation has more than tripled – from \$800,000 to \$3 million.*

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#### **About Baird Foundation**

Baird has had a long tradition of giving back to the communities in which we live and work since our founding in 1919. And we support our associates' efforts to do the same.

In concert with Baird's mission – "to provide the best financial advice and service to our clients and be the best place to work for our associates" – Baird Foundation's Statement of Purpose articulates the foundation's strategic focus, our strong commitment to the community and our support of our associates' passion for giving back.

#### **Statement of Purpose**

Baird Foundation supports nonprofit organizations aligned with our focus on the arts, education, health and human services, and diversity. Our foundation seeks to support organizations where our associates are actively engaged in order to maximize our impact on those organizations and our communities.

#### **Governance**

Baird Foundation is overseen by a committee that reports to Baird's board of directors. The committee includes representation from across the firm, with members carefully chosen to reflect geographic and business unit diversity.

#### **Supporting Associates' Commitment to Giving Back**

Most Baird Foundation grants are given in support of requests by Baird associates who have a special connection to an organization or cause. These associates generously give time and donations – and Baird Foundation helps enhance their contributions.

All Baird associates are encouraged to further support nonprofit organizations of their choice through personal volunteer commitments, the Baird Foundation Matching Gift Program and the Baird Cares program, which enables associates to take paid time off each year to volunteer.

#### **Global Reach**

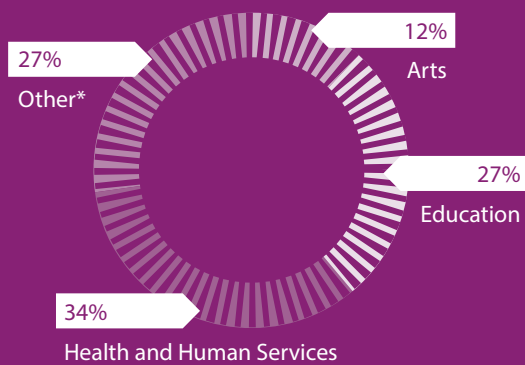
In 2013, Baird Foundation supported 501(c)(3) nonprofit organizations making an impact in almost all 50 states.

While the foundation does not make gifts to organizations based outside the United States, Baird regularly contributes to organizations with global reach and also encourages our overseas associates to give back to their local communities. The firm also contributes significant additional corporate funds to deserving individuals, causes and organizations not designated as 501(c)(3) nonprofit organizations.



# 42%

In total, 42% of Baird Foundation's gifts in 2013 supported diversity initiatives.



*\*Includes ethnic, religious, environmental, professional and youth organizations.*



# \$3,009,616

In 2013, Baird Foundation contributed \$3,009,616 to qualified nonprofit organizations.

## Baird Foundation Matching Gift Program

In addition to charitable gifts the foundation makes directly to qualifying charities, Baird Foundation matches U.S. associates' contributions to 501(c)(3) nonprofit organizations up to 50% through its Matching Gift Program.

Baird also funds a Matching Gift Program for associates in Europe and Asia.

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*In 2013, Baird Foundation matching contributions totaled \$373,564.*

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"Caldera is a nonprofit that provides innovative art and environmental programs to help at-risk youth. The organization teams up with local artists and design firms throughout Oregon, as well as artists from all over the world, to provide year-round programs. Caldera has transformed the lives of these kids, helping them believe anything is possible. If we invest in the children of today, we will have a greater likelihood of a thriving community tomorrow."

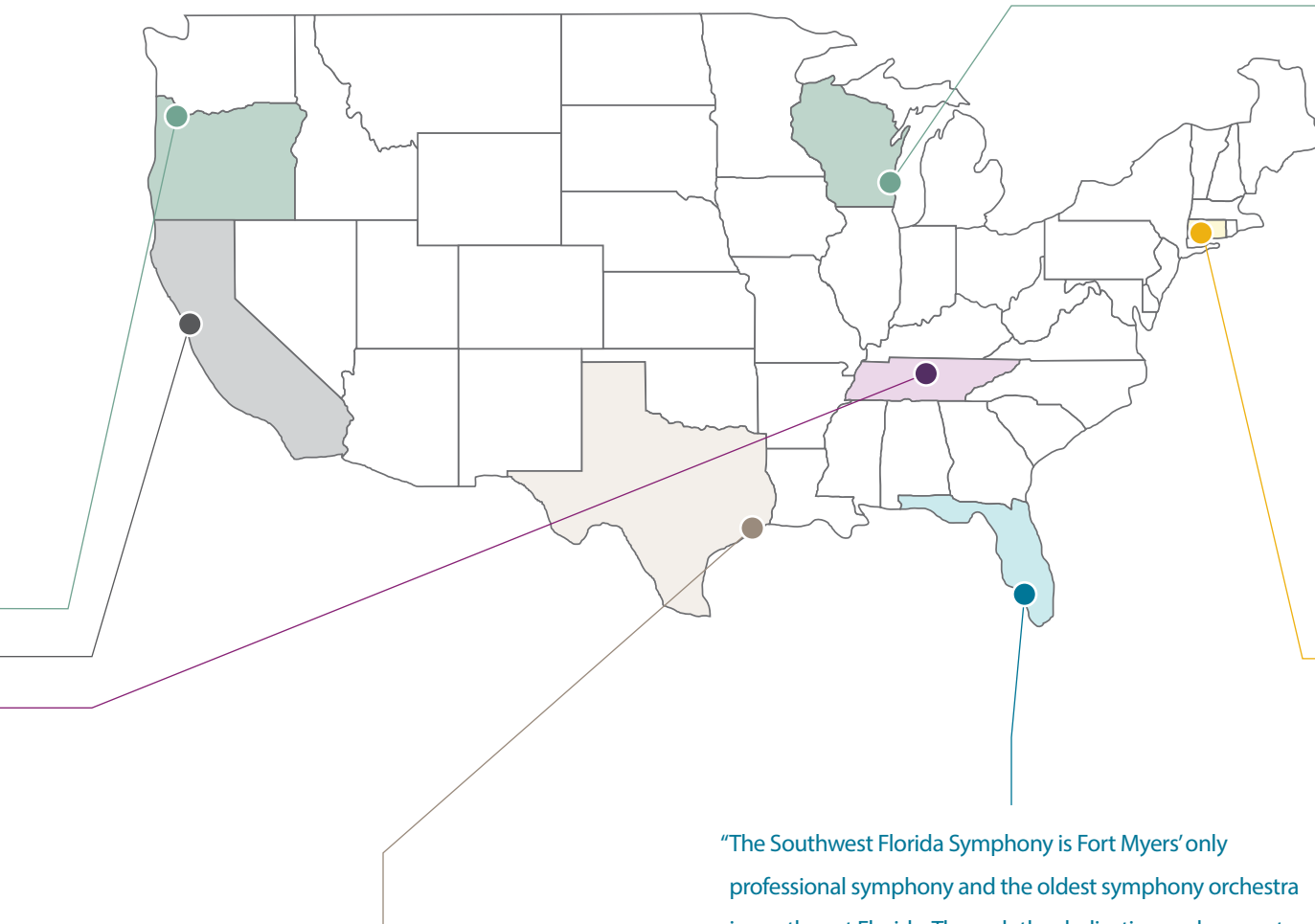
– **Rob Nye**, Financial Advisor in Portland, Ore., who donates to Caldera

"The Exploratorium is a science and art museum that encourages curiosity and discovery through interactive exhibits and educational programs for all ages. I have been involved with the Catalyst Campaign committee for six years, which helped raise funds to build a new state-of-the-art facility as well as funds for the organization's endowment. Baird has also worked with the museum to develop a special speaker series geared toward the next generation of learning. The Exploratorium provides wonderful educational opportunities throughout the community. My fiancé and I both grew up going to the museum and enjoy giving back not only to our community but also to an organization that impacted us as we were growing up."

– **Michael Horwitz**, Investment Banker in San Francisco, Calif., who supports the Exploratorium museum as a committee member and donor

"We are all touched in some way by mental illness and addiction. For over 50 years, Centerstone has provided professional behavioral health services and advanced programs to people with mental illnesses and substance abuse problems. Centerstone helps more than 50,000 people yearly with 60 facilities across middle Tennessee. As a member of the board of directors I have witnessed firsthand the tremendous impact that donations like the matching gift we received from Baird Foundation make in the lives of those in need."

– **Parker Griffith**, Branch Manager in Nashville, Tenn., who serves on the board and donates to Centerstone of Tennessee, Inc.



"The American Heart Association is a fantastic organization. I have been a team captain, walker and fundraiser for the American Heart Association for many years. For the last five years in a row, I have also been designated as a 'Top Walker.' This 'Top Walker' status would be impossible to attain without the generosity of individuals and organizations like the Baird Foundation."

– **Stephen "Moe" Allain**, Financial Advisor in Houston, Tex., who has been involved with the American Heart Association for more than five years

"The Southwest Florida Symphony is Fort Myers' only professional symphony and the oldest symphony orchestra in southwest Florida. Through the dedication and support of sponsors, both corporate and individual, the Southwest Florida Symphony Orchestra continues to perform for public audiences throughout the area. The organization's educational programs offer opportunities for young performers in the area. I am passionate about doing whatever I can to lend my support, both financially and as a member of the board, to 'keep the music playing!'"

– **Rebecca Ross**, Financial Advisor in Baltimore, Md., who supports the Southwest Florida Symphony Orchestra as a donor and board member

"The Milwaukee Rescue Mission provides a broad range of support to many of our community's neediest men, women and children by meeting their physical, emotional and spiritual needs. I have been a board member for over 10 years and am proud and honored by how Baird demonstrates its compassion and commitment to all members of our community by generously supporting organizations like the Milwaukee Rescue Mission."

– **Warren Pierson**, Senior Portfolio Manager in Milwaukee who serves on the board and donates to the Milwaukee Rescue Mission

"Connecticut Challenge is dedicated to helping cancer survivors live healthier, happier lives through unique programs and research. They recently built the Center for Survivorship in Southport, a wellness facility that offers fitness classes and other wellness programs catered to the needs of cancer survivors. My wife and I have been involved in Connecticut Challenge's annual bike ride fundraiser for several years. Our team raised \$98,000 to support the facility and that included a contribution from Baird Foundation. Cancer affects so many. This facility is one of a kind and is widely known throughout Connecticut. We're happy to support those who have won the fight and continue on the road to recovery."

– **Rick Dunn**, Institutional Trader in Stamford, Conn., who has supported Connecticut Challenge for several years

95%

of associates donated

\$942,343

in associate donations

\$1,205,862

total United Way contribution by  
Baird and its associates

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*In addition to the numerous volunteer and fundraising efforts hosted by Baird offices and associates around the world, Baird runs two annual corporate-level giving campaigns.*

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#### United Way Campaign

United Way supports a variety of local organizations across the United States that work hard to strengthen families, improve education, help individuals become self-sufficient, and stop the cycles of violence and poverty.

In addition to very high associate participation overall, Baird is a leader in the Tocqueville category, which represents individuals who have given \$10,000 or more annually to United Way.



\*Numbers reflect giving in Milwaukee and Chicago. A number of additional Baird offices run their own successful United Way campaigns.



93%

of associates donated

### United Performing Arts Fund Campaign

Southeast Wisconsin is home to an outstanding performing arts community. Many of the region's leaders in local arts – including the Milwaukee Ballet, Milwaukee Repertory Theater, Milwaukee Symphony Orchestra, Florentine Opera, Skylight Music Theatre and First Stage Children's Theater – receive operating support

from the United Performing Arts Fund, which helps 36 arts groups in southeast Wisconsin.

As a longtime supporter of UPAF, Baird recognizes the arts' ability to enhance quality of life and economic vitality in the Milwaukee area.



\$209,000

in associate donations

\$347,814

total UPAF contribution by  
Baird and its associates

\*\*The UPAF campaign is run in Milwaukee.

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*Baird Foundation provides support to hundreds of nonprofit organizations across the United States, with a specific focus on nonprofits where Baird associates are actively involved.*

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**The ALS Association Northern Ohio Chapter**

What started out as a simple effort to support a friend turned into a record-breaking fundraising campaign that will impact those battling amyotrophic lateral sclerosis (ALS) in northern Ohio. When David Stuczynski, a Fixed Income Institutional Sales associate based in Brecksville, Ohio, was diagnosed with ALS in spring 2013, his longtime friends and colleagues knew they wanted to do something to support him. Brothers Todd and Mike Sherwood, based in Santa Rosa Beach, Fla., also in Fixed Income Institutional Sales and business partners with David, banded together to help their friend and raise awareness about the disease.

Todd organized a team for the annual 2.5-mile Cleveland Walk to Defeat ALS® in support of The ALS Association Northern Ohio Chapter.

The Northern Ohio Chapter walks raise money to help the chapter sustain care services and support national advocacy and research efforts to find an effective treatment and cure for ALS. Todd began organizing the team just weeks before the event and quickly gained

support. He reached out to fellow Fixed Income associates at Baird, inviting them to support the cause. Within four hours, the team raised \$10,000, and others signed up to participate in the walk. Baird Foundation also contributed, and some associates elected to use the gift match option to increase their gift.

“The contribution from Baird Foundation and the overwhelming response from associates show the tremendous impact people can make when they partner together for a cause,” said Todd.

“I couldn’t believe the amount of support,” explained David. “We all know Baird is a special place where people support each other, but you don’t fully realize it until you experience it firsthand. Associates from across the country, some I’ve never even met, sent donations in support of this effort. It was truly overwhelming and amazing all at the same time.”

The final fundraising total was \$101,132, eclipsing the state’s single-team fundraising record of \$85,000. Nearly 400 people demonstrated their support as donors and/or walkers. Colleagues from Chicago came into

town for the walk, clients attended and other participants traveled from California, Denver, Florida and Canada.

“It was wonderful to work with this group,” said Mary Wheelock, executive director of The ALS Association Northern Ohio Chapter. “What they did to show support for their friend and for others who are impacted by ALS is an amazing tribute. The overall support, both financially and in the number of walkers, was beyond all of our expectations.”

Mary explained that the 2013 walk raised more than \$304,000 with 117 teams and 1,900 walkers. “In one year, we increased the number of teams by 27, had 728 more walkers and raised more than \$139,000 than we did last year,” Mary said.

David added, “The efforts that went into organizing the team and collecting donations really means a lot not only for me but for the thousands who are fighting ALS. The whole event was a true demonstration of the magnitude of impact people can make when they work together.”



“The contribution from Baird Foundation and the overwhelming response from associates show the tremendous impact people can make when they partner together for a cause.”

\$101,132

raised by Team “STU Man Group”  
for the 2013 ALS Walk



**\$101,132** raised by  
Team “STU Man Group”

**\$304,000** Total raised by 2013 Cleveland Walk  
to Defeat ALS®

*\$165,000 raised in 2012*

**Nearly 400** Team  
“STU Man Group” walkers

**1,900** Total 2013 Cleveland Walk to Defeat ALS® walkers

*1,172 walkers in 2012*

## FOCUS ON EDUCATION

### The Big Shoulders Fund

The Big Shoulders Fund provides support to Catholic schools in the neediest areas of inner-city Chicago. The organization is unique in that its administrative expenses are supported by an endowment and other income, ensuring that 100% of funds raised go directly toward programs that benefit students in member schools. Baird Foundation and many Baird associates have been involved with the organization over the years, both financially and in volunteering.

Howard Lanser, Investment Banker in Baird's Chicago office, has been a member of the Big Shoulders Fund chairmen's advisory council for four years.

"What's so great about this organization is the fact that 100% of funds raised go directly toward scholarships for students," explained Howard. "These schools are in the statistically worst neighborhoods in Chicago. The Big Shoulders Fund allows the kids to stay in their neighborhoods and still receive a quality education. More than 95% of kids in Big Shoulders member schools graduate from high school and nearly 90% go on to college. Those numbers alone speak volumes about the impact of Big Shoulders on Catholic schools in Chicago's inner city."

### Cristo Rey Network

The Cristo Rey Network includes 26 schools that provide a quality college preparatory education to young people who live in urban communities with limited educational options. The network educates 8,000 students in more than 15 cities across the United States.

"These schools and teachers do such a great job in helping these students succeed," said Jennifer Bath-Lake, Office Administrative Manager in Baird's Cincinnati office, who has donated locally to DePaul Cristo Rey High School. The Cincinnati office also has an intern from the school.

Every Cristo Rey student participates in a corporate work study program that provides them with real-world experience. In 2013, 14 students interned at Baird offices in Baltimore, Chicago, Cincinnati, Milwaukee, and Roseville and Sacramento, Calif.

"This program helps give real-world experience in a professional environment," said Ana Geller, Office Administrative Manager in Baird's Baltimore office, which has participated in the work study with Cristo Rey Jesuit High School for four years. "It's a privilege to take part in this very unique program and have an influence on a young person's life."

Jim Hodges, Branch Manager in Baltimore, added: "It's wonderful to watch the students develop stronger communication skills and grow in their self-confidence, which will help them through their educational and career aspirations."

# 275

number of associates who gave to education-related organizations through matching gifts, which totaled more than \$100,000

MORE THAN  
**\$800,000**

Baird Foundation gifts to education-related organizations

# 27%

of all gifts in 2013 supported education initiatives

# 72

number of associates serving on boards of education-related organizations

## FOCUS ON THE ENVIRONMENT

### Golden Gate National Parks Conservancy

Golden Gate National Park Conservancy is a nonprofit organization that works hand-in-hand with the National Park Service and Presidio Trust, serving as a steward to the Golden Gate National Parks. The parks consist of 37 distinct park sites comprising over 80,000 acres and hosting over 16 million visitors annually. The parks constitute one of the largest national parks in an urban setting in the world – more people come to Golden Gate than Yosemite, Yellowstone, the Grand Canyon and Glacier National Parks combined.

“My family lives near one of the parks and, like many Bay Area residents, enjoys and takes advantage of these parks literally every day,” said Owen Hart, Investment Banker in Baird’s San Francisco office. “They are a vital part of the urban fabric of the San Francisco area and that is why we contribute every year to the GGNPC.”

Golden Gate National Parks Conservancy has contributed more than \$250 million, rallied over 250,000 volunteers and pioneered innovative park stewardship and education programs, which have helped increase the access to and enjoyment of the Golden Gate Parks by residents and visitors alike.

### Piedmont Land Conservancy

Bruce Mason, Fixed Income Institutional Sales associate in Winston-Salem, N.C., has been involved with the Piedmont Land Conservancy for more than four years. The Conservancy permanently protects rivers and streams, natural and scenic areas, wildlife habitat and farmland in the Piedmont region of North Carolina. Bruce purchased land in the region with the intent to ensure the land would be preserved and protected from development. He contacted the Piedmont Land Conservancy to help create a conservation easement to preserve the land for future generations.

Realizing the great work the Conservancy provides to the region, Bruce donates to the organization each year and has utilized Baird Foundation’s gift match program.

“The gift match program provides associates the opportunity to enhance their philanthropic contributions and make a greater impact,” explained Bruce. “Organizations like the Piedmont Land Conservancy depend on donations, and every little bit helps.”

*“The gift match program provides associates the opportunity to enhance their philanthropic contributions and make a greater impact.”*

## FOCUS ON MILITARY AND VETERANS

### Rocky Mountain Human Services

Rocky Mountain Human Services is known in the Denver area for its groundbreaking programs serving active-duty military personnel and veterans. Operation TBI Freedom is one such program and assists those with traumatic brain injuries (TBI). In Colorado alone, more than 7,200 veterans will return from conflict with TBI. Rocky Mountain Human Services has helped nearly 800 veterans through its programs to date.

Steve Binder, Director of the Colorado Market, saw an opportunity for Baird to support the nonprofit's efforts. He has supported the organization since 2012, both philanthropically and as a board member.

In late 2013, RMHS held their annual gala to support Operation TBI Freedom and wounded Colorado veterans. Several Baird leaders and the majority of Baird's Private Wealth Management associates in Denver attended the event, and Baird Foundation contributed as a sponsor. The gala event raised nearly \$300,000 for wounded Colorado veterans.

"It was great to see so many people come together to support the organization," said Steve. "We are glad to support this very worthy cause. Our veterans sacrifice so much in serving our country, and it's important we do what we can to help them as they come home."

### Pets for Vets – Phoenix Chapter

As an animal lover and self-proclaimed "Army brat," Karen Johnson, Office Administrative Supervisor in Scottsdale, Ariz., holds a special place in her heart for animals and veterans.

"I saw stories in the news about various organizations helping veterans who suffer from post-traumatic stress disorder and other injuries being matched with animals to help in their recovery," explained Karen. "These animals can be excellent companions for these veterans, and the pairing also saves the lives of shelter animals that may not have otherwise had a chance."

Interested in seeing how she could become involved, Karen searched locally and learned that Pets for Vets had launched a chapter in nearby Phoenix. Pets for Vets supports veterans and provides a second chance for shelter animals by rescuing, training and pairing them with veterans who could benefit from a companion animal. Thanks to Karen's advocacy, Baird's Scottsdale branch became the chapter's first corporate sponsor, providing the funds for the chapter's first veteran-pet match. Baird Foundation responded to the branch's request to support this effort.

"This unique program is a great way to help our veterans as they readjust to civilian life while offering companionship for both the vets and animals in need of a home," said Karen.

# 34%

of all gifts in 2013 supported health and human services initiatives

Baird's Scottsdale branch, in coordination with Baird Foundation, funded the first veteran-pet match for the Pets For Vets chapter in nearby Phoenix. The chapter is currently working to finalize the match. Pets for Vets has provided companionship to hundreds of veterans and shelter animals across the country, including Adam and his match, Rakassan, from Los Angeles (pictured here).



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Foundation, please contact:

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