UAB Gift Acceptance Policy and Guideline for Publicly Traded Securities

UAB accepts gifts of publicly traded securities including stocks, bonds and mutual funds. This type of gift may be transferred electronically or delivered in certificate form. It is the University’s general policy for all publicly traded securities to be sold upon receipt. All gifts of stock should be accompanied by a letter from the donor stating his/her intention to give the securities to UAB.

To receive prompt credit for your gift, please contact Virginia Gilbert Loftin, Director of Development for the Department of Medicine, at (205) 975-5602 with the following information:

- Your intention to make a gift to UAB
- The estimated transfer date
- The name of your securities firm
- The name and contact information of your broker
- The intended purpose of the gift

Electronic Transfer
UAB has established brokerage accounts at a number of local and national firms; however, our main account resides at Sterne Agee & Leach and all gifts of securities should be directed there if possible. Securities should be transferred to the following:

Sterne Agee & Leach
DTC 0750
A/C Name: UAB
A/C Number: 83298260
Attention: Peggy Cobb (205) 414-7377

Physical Delivery
Securities, with properly completed endorsement(s) or stock power(s), should be hand delivered to UAB. Contact John Pelliccio for instructions on how to properly prepare your documents. So that we may better serve you, please call and schedule an appointment to deliver these documents.

Contact Names and Information for Help in Making A Gift

<table>
<thead>
<tr>
<th>Name</th>
<th>Area of Service</th>
<th>Address</th>
<th>Phone (205)</th>
<th>Fax (205)</th>
<th>Email</th>
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<tbody>
<tr>
<td>John S. Pelliccio</td>
<td>Securities and Electronic Transfer of Funds</td>
<td>701 20th Street South, AB 338 Birmingham, AL 35294-0103</td>
<td>934-2172</td>
<td>975-9746</td>
<td><a href="mailto:johnp@uab.edu">johnp@uab.edu</a></td>
</tr>
<tr>
<td>Virginia Gilbert Loftin</td>
<td>Gifts to the Department of Medicine</td>
<td>1808 7th Avenue South, BDB 487 Birmingham, AL 35294-0012</td>
<td>975-5602</td>
<td>934-1477</td>
<td><a href="mailto:vgloftin@uab.edu">vgloftin@uab.edu</a></td>
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<tr>
<td>Daphne Powell</td>
<td>Planned Giving and Stewardship</td>
<td>701 20th Street South, AB 1270 Birmingham, AL 35294-0112</td>
<td>934-1807</td>
<td>934-7686</td>
<td><a href="mailto:daphnep@uab.edu">daphnep@uab.edu</a></td>
</tr>
<tr>
<td>Annette Forehand</td>
<td>Gift Records and Donor Services</td>
<td>701 20th Street South, AB 1230 Birmingham, AL 35294-0112</td>
<td>975-9012</td>
<td>975-4756</td>
<td><a href="mailto:forehand@uab.edu">forehand@uab.edu</a></td>
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