

## **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.

### **Electronic Transfer**

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

Stifel  
DTC 0793  
A/C Name: UAB  
A/C Number: 50643480  
Attention: Matt Johnson (205) 226-3204

### **Please give Receiving Firm Information Permission**

**\*\*PLEASE ENSURE YOUR BROKER SENDS THE SECURITIES TRANSFER NOTIFICATION FORM ON PAGE 2 TO [gifts@uab.edu](mailto:gifts@uab.edu) \*\***

### **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**

<b>Name</b>	<b>Area of Service</b>	<b>Address</b>	<b>Phone (205)</b>	<b>Fax (205)</b>	<b>Email</b>
John S. Pelliccio	UAB Treasurer - Securities Electronic Fund Transfer	701 20 <sup>th</sup> Street South, AB 338 Birmingham, AL 35294-0103	934-2172	975-9746	<a href="mailto:johnp@uab.edu">johnp@uab.edu</a>
Brian Hagan	Gift Records	701 20 <sup>th</sup> Street South, AB 1230 Birmingham, AL 35294-0112	975-0569	975-4756	<a href="mailto:hagan@uab.edu">hagan@uab.edu</a>

# UAB Securities Transfer Notification Form

To be filled out by broker or donor and emailed to [gifts@uab.edu](mailto:gifts@uab.edu)

Name of donor \_\_\_\_\_

Street Address \_\_\_\_\_

City, State, Zip \_\_\_\_\_

Phone \_\_\_\_\_ Email \_\_\_\_\_

Date of transfer to UAB \_\_\_\_\_

Initiating Broker \_\_\_\_\_

Broker Contact Name \_\_\_\_\_ Broker Email \_\_\_\_\_

Broker Phone \_\_\_\_\_

Securities (and ticker symbols) and number of shares transferred \_\_\_\_\_

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Purpose of donation (fund name if known)

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If you have any questions, please feel free to reach out to UAB Gift Records by phone 205-934-7242 or by email [gifts@uab.edu](mailto:gifts@uab.edu)

**GIFT RECORDS STAFF – PLEASE FORWARD A COPY TO UAB TREASURER WHEN RECEIVED**