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  **

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>
</tr>
</thead>
<tbody>
<tr>
<td>John S. Pelliccio</td>
<td>UAB Treasurer - Securities Electronic Fund Transfer</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>Brian Hagan</td>
<td>Gift Records</td>
<td>701 20th Street South, AB 1230 Birmingham, AL 35294-0112</td>
<td>975-0569</td>
<td>975-4756</td>
<td><a href="mailto:hagan@uab.edu">hagan@uab.edu</a></td>
</tr>
</tbody>
</table>
UAB Securities Transfer Notification Form
To be filled out by broker or donor and emailed to 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 ________________

_____________________________________________________________________________________

_____________________________________________________________________________________

_____________________________________________________________________________________

_____________________________________________________________________________________

_____________________________________________________________________________________

Purpose of donation (fund name if known)

_____________________________________________________________________________________

_____________________________________________________________________________________

_____________________________________________________________________________________

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

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