

## **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 Brian Hagan, Director of Gift and Biographical Records, 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 and the stock to be transferred.
- 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 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) 252-1814

**PLEASE ENSURE YOUR BROKER INCLUDES YOUR NAME IN THE TRANSFER**

### **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<br>Electronic Fund Transfer | 701 20 <sup>th</sup> Street South,<br>AB 338<br>Birmingham, AL<br>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,<br>AB 1230<br>Birmingham, AL<br>35294-0112 | 975-0569           | 975-4756         | <a href="mailto:hagan@uab.edu">hagan@uab.edu</a> |