

UAB Gift Acceptance Procedures for Donated Securities for Publicly Traded and Closely Held Companies

UAB accepts gifts of publicly traded as well as closely held 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 delivered to UAB. Contact Libby Morgan for instructions on how to properly prepare your documents. So that we may better serve you, please call and UAB will work with you on the delivery of these documents.

Contact Names and Information for Help in Making a Gift

Name	Area of Service	Address	Phone	Fax	Email
Libby Morgan	UAB Treasurer - Securities Electronic Fund Transfer	801 FIN BOX 4 Birmingham, AL 35233	205-934-2172	N/A	esmorgan@uab.edu
Kimberly Burnett	Gift Records	701 20th Street South, AB 1230 Birmingham, AL 35294-0112	205-934-7242	205-975-4756	gifts@uab.edu

UAB Securities/Closely Held Stock 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 _____

If publicly traded, please provide the name of the company, its ticker symbol and number of shares transferred.

If closely held securities, please provide the name of the company, any restrictions on the security, the fair market value of the security and the basis for this valuation.

Purpose of donation (fund name if known)
