

Fund Evaluation Group

205 West Fourth Street, Suite 810

Cincinnati, OH 45202

Phone: 513-977-4400

Fax: 513-806-2217 (for the OCIO Client Service Team)

The attached form is to be used to coordinate the gift of stock(s) to charitable organizations. The form is designed to provide important information for each party involved in the gift:

- Donor identification for acknowledgment by the receiving organization;
- Delivering broker for where to send the gifts;
- Receiving broker to monitor pending gifts and send acknowledgement to receiving organization.

The receiving organization should forward this form to their donor. The donor, in turn, forwards to their delivering broker to initiate the gift. The donor (or their delivering broker) should fax the completed form to both the receiving organization and to Fund Evaluation Group (the receiving investment adviser).

The procedures followed by Fund Evaluation Group are:

- Written notification to the receiving organization that a gift has been received;
- Take action on stock gifts as defined on Stock Gift Election Form attached to these procedures;
- Provide written notification to receiving organization which will include the donor name (if known) and the value of the gift (the average of the stocks high and low price range on the date the gift is received).

Transaction costs:

- \$4.95 flat fee if trade can be processed electronically in the equity markets
- \$.015/share, subject to a \$15 minimum, if equity trade requires special processing due to liquidity constraints
- Non-equity securities, please contact FEG for a pricing schedule.

Please call the OCIO Client Service Team at Fund Evaluation Group, phone 513-977-4400, if you have any questions about the gifting process.

MEMO TO: OCIO Client Service Team, Fund Evaluation Group
(client contact)

PHONE: 513-977-4400 (FEG), xxx-xxx-xxxx (client)

FAX: 513-806-2217 (FEG), xxx-xxx-xxxx (client)

RE: GIFTS OF SECURITIES

THE FOLLOWING INDIVIDUAL(S) WILL BE MAKING A GIFT OF SECURITIES TO:

American Association of Endodontists Foundation

DONOR:

NAME: _____

ADDRESS: _____

PHONE: _____

NAME OF SECURITY: _____

QUANTITY: _____ # OF SHARES

DELIVERING BROKER: _____

BROKER CONTACT:

NAME: _____

PHONE: _____

Either the individual named above or their broker will be contacting you to coordinate the transfer of the securities.

BROKER DELIVERY INSTRUCTIONS:

(DTC eligible securities only, for all other types of securities contact OCIO Client Service Team at FEG)

Charles Schwab & Co., Inc.

DTC# **0164**

ACCOUNT NUMBER: 6183-0572

ACCOUNT NAME: American Association of Endodontists Foundation

PLEASE NOTE ANY RESTRICTIONS ON GIFTS BELOW:

Stock Gift Election Form

Elections by client regarding standing instructions for stock gifts (please check appropriate instructions)

Client Name: _____

Account Number: _____

Disposition of stock gifts received

Stock gifts received in account referenced above are to be:

☐

Held in-kind

☐

Sold upon written acknowledgment between FEG and client:

- of donor's identity and that gift is cleared to be sold, or
- that donor cannot be identified by FEG through its back office relationship with Schwab and gift is cleared to be sold

If sold, once the trades have settled, proceeds are to be:

☐

Held in account referenced above

☐

Journalled to Charles Schwab account number _____
(*Schwab SLOA authorizing FEG to execute transaction required*):

☐

Sent out via (ACH or Fed Fund Wire [circle choice]) per standing instructions on file to client's account at bank and account referenced below (*Schwab SLOA authorizing FEG to execute transaction required*):

Bank Name: _____

Account Number: _____

☐

Sent via check to the address of record on the account.

These instructions will remain in effect until either replaced by other written instructions or investment advisory relationship with FEG is terminated.

Client retains the right to override these instructions on a gift-by-gift basis if FEG is notified in writing before gift is received.

X _____
Authorized signatory

Date