GUIDELINES FOR MAKING GIFTS OF STOCK OR SECURITIES TO EAST CAROLINA UNIVERSITY FOUNDATION, INC.

Donors are encouraged to contact the Gift Records Office for the ECU Foundation, Inc. to give notice of his or her gift intent. Although it is not required, we encourage the donor to submit his or her gift intent in writing to verify the intended use of the gift (especially if the gift is being made as a restricted gift) to allow the ECU staff to best serve the donor’s intent. Please notify Tammy Garris in the Office of ECU Foundation Financial Services, 2200 S. Charles Blvd, Suite 1100, Greenville, North Carolina 27858, (252) 328-9572, Fax (252) 737-1903. garrist@ecu.edu

The donor is responsible for all broker fees. If broker fees are deducted from the proceeds of the sale of stock, the net amount of the proceeds will be recorded as the gift amount.

Electronic Transfers From the Donor’s Broker to the ECU Foundation’s Broker - The preferred method of transfer.

The donor should notify his broker of the intent to electronically transfer securities to the ECU Foundation, Inc. The Donor’s broker should contact the ECU Foundation, Inc. and will need the following information:

Official Name of the Receiving Organization: East Carolina University Foundation, Inc.
Receiving Organization Broker: First Clearing, LLC
                                 Wells Fargo Advisors Financial Network, LLC
                                  1001 Conference Drive, Suite B
                                    Greenville, NC 27858
                                 Ph: 252-707-0021 or Toll Free: 844-737-2520
                                 Fax: 252-707-0022
                                 Email: judy.jones@wfafinet.com
                                 Website: www.hoytfamilywealthmanagement.wfadv.com

DTC 0141
Account Number 25617521

Stock Certificate Held in the Donor’s Name
Donor must relinquish the original stock certificate with the following forms (1) Stock or Bond Power and (2) Letter of Authorization – Third party Release (TPR) or a memo including donor’s name, address and purpose. These forms may be obtained from any brokerage firm, the ECU Foundation or Institutional Advancement Office of Gift Records.

DO NOT HAVE THE DONOR TO ENDORSE THE CERTIFICATE
Mail the unendorsed stock certificate with a Letter of Authorization – Third Party Release (TPR) or a memo including donor’s name, address and purpose in one envelope. In a second envelope, send the signature guaranteed Stock or Bond Power.

The Stock or Bond Power form needs only to be signed and dated. The Letter of Authorization – Third party Release (TPR) needs to be dated and signed. Also please complete the address and telephone number of the donor.

Stock Certificate Held in the Name of the East Carolina University Foundation, Inc.
(Note: This method is not recommended due to unnecessary delays in processing the stock gift and the value of the stock could decrease.)

After the donor has relinquished the stock certificate to the East Carolina University Foundation, Inc., the Foundation must complete the following forms: (1) Stock or Bond Power (2) Certification of Corporate Authorization to Transfer (General) and (3) Corporate Resolution. These forms may be obtained from the ECU Foundation or the Office of Gift Records.

The Stock or bond Power must be signed and dated by the ECU Foundation, Inc. president.

The Certification of Corporate Authorization to Transfer (General) must be completely filled out and the Secretary of the ECU Foundation must sign the completed form.

The Corporate Resolution must also be completed, dated and signed by the Secretary of the ECU Foundation.