Transferring securities and mutual funds

For securities held in physical form (re-registration):

1) For donors wishing to initiate re-registration, for example: donor wishes to donate 100 shares of XYZ Co. from a 200-share certificate:
   a) Broker or donor instructs transfer agent to have security registered in the name of Kansas State University Foundation and provide tax ID #48-0667209.
   b) The transfer agent sends the security directly to KSU Foundation.
   c) Provide letter with the information as soon as possible, preferably prior to request to re-register.

Gift valuation: The IRS specifies the effective date to determine value is the date of the newly-issued certificate. The received value of the gift is calculated by using the high and the low of the day to determine the average price.

Sample letter to initiate re-registration

Date
Kansas State University Foundation
1800 Kimball Ave. Ste. 200
Manhattan, KS 66502-3373

Attn: Investment Accounting

To whom it may concern:

I have authorized the transfer of ______ shares of ______________ stock from account #___________ with ________________ (Name of Agent, Name of Company, City, State) to the Kansas State University Foundation account with United Missouri Bank per the stock transfer instructions.

I am designating this gift of stock for a(n) _______________ (i.e. outright gift, charitable remainder trust, charitable gift annuity, etc.) to ________________ (name of fund) in the College of ______________.

Sincerely,

Donor’s name and address

For more information, contact the gift planning department at 785-532-7585 or giftoptions@found.ksu.edu, or visit k-statelegacy.org.

Gifts of mutual funds

Please contact the KSU Foundation for instructions. Each mutual fund company has its own procedures for transferring shares for charitable gift purposes.

For individual securities held in account with securities broker:

1) Instruct broker in writing (see sample letter below) to transfer security by direct transfer through DTC (NON-ACATS) to:
   - United Missouri Bank, Attn: Brenda McIntosh
   - DTC #2450 - Agent & Institution #28825
   - For credit to: #114179.2/Kansas State University Foundation
   - Reference: (donor’s name)

2) Write a letter (see sample letter on next page) to the foundation including name of security, number of shares and purpose of gift. This step is very important in order to correctly receipt your gift.

3) Mail the letter and copy of broker letter to KSU Foundation, Attn: Investment Accounting, or email ksufinv@found.ksu.edu.

Gift valuation: Effective date to determine the value of gift is the date the security is placed into the foundation’s account. The receipted value of the gift is calculated by using the high and the low of the day to determine the average price.

Sample letter to broker for DTC securities transfer only

Date
Company name and address
Attn: Financial Adviser Name

Dear (name of financial adviser):

With this letter I am instructing you to transfer ______ shares of ______________ stock from account #___________ to the Kansas State University Foundation per the following instructions:

- United Missouri Bank, Attn: Brenda McIntosh
- DTC #2450 - Agent & Institution #28825
- For credit to: #114179.2/Kansas State University Foundation
- Reference: donor’s name

Sincerely,

Donor’s name and address

The Innovation and Inspiration Campaign will raise $1 billion to advance the initiatives of K-State 2025.

inspire.k-state.edu
KSStateInspires
Transferring securities and mutual funds

Continued

For securities held in physical form:

1) Fill out the Irrevocable Stock or Bond Power Form (below) as follows:
   - Sign Stock Power exactly as printed on front of physical security.
   - Have signature Medallion Signature Guaranteed (usually available at your financial institution).
   - DO NOT SIGN THE STOCK CERTIFICATE.

2) Provide short letter (see sample letter on opposite page) indicating name of security, number of shares and purpose of gift.

3) Mail security, letter and the form below to KSU Foundation, Attn: Investment Accounting.

Gift valuation: The IRS specifies the effective date to determine value is the date of postmark if mailed. If security is personally delivered, date to determine value is the date it is received by the foundation or its representative.

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**Sample letter to KSU Foundation**

Date

Kansas State University Foundation
1800 Kimball Ave. Ste. 200
Manhattan, KS 66502-3373

Attn: Investment Accounting

I have authorized the transfer of ____ shares of ________ stock from account #________ with _____________ (Name of Agent, Name of Company, City, State, Telephone) to the Kansas State University Foundation account with United Missouri Bank per the stock transfer instructions.

I am designating this gift of stock for a(n) _____________ (i.e. outright gift, charitable remainder trust, charitable gift annuity, etc.) to __________________ (name of fund) in the College of _____________.

Sincerely,

Donor’s name and address

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**Irrevocable Stock or Bond Power**

FOR VALUE RECEIVED, the undersigned does (do) hereby sell, assign and transfer to

[Signature]

Person(s) Executing This Power Sign(s) Here

SIGNED GUARANTEED