
The donor initiates the stock transaction and usually works through a broker or bank. The stock is transferred to Hathaway Brown by one of the following options:

I. If your stock is held by a broker

- A. Notify your broker that you wish to make a gift of securities to Hathaway Brown School.
- B. Your broker will need written authorization from you to make the transfer.
 1. Write a letter to your broker. In your letter include:
 - a) the name of the stock that you are giving
 - b) the number of shares
 - c) where you would like your gift to be designated when it comes to HB
 - d) a copy of the *Broker Stock Transfer Instructions* form, if current (see attached)
 2. Send a copy of this letter to the Advancement Office c/o Hathaway Brown School; 19600 North Park Boulevard; Shaker Heights, OH 44122-1899 or fax the letter to (216) 397-0798.
- C. When you have authorized the transfer, ask your broker to contact the Advancement Office at (216) 320-8115 if you did not already provide them with a current copy of the attached *Broker Stock Transfer Instructions* form. Our office will give your broker complete transfer instructions. Even if you have donated securities in the past, please be sure your broker contacts HB before making the transfer or uses *Broker Stock Transfer Instructions* per the footnote at the bottom of these pages. Transfer instructions may change from the previous year so please make certain they have current instructions.

II. If your stock is not held by a broker

- A. You can deliver them to the School in person or by mail. Our broker requires a Stock or Bond Power and a disclaimer form, both of which we can provide to the donor.
 1. The Disclaimer must be notarized; if delivered in person, a notary on staff at HB can notarize the Disclaimer.
 2. If mailing, send your **unendorsed** certificate(s) and a cover letter in one envelope and the completed Stock Power and notarized Disclaimer in another. The cover letter should include
 - a) Your name and address
 - b) The purpose of the gift (i.e. annual fund or restricted for a specific purpose)
 3. The School will then deposit the stock with its broker and direct the disposition.
 4. Do **NOT** mail **endorsed** certificates. Once endorsed, a certificate is legal tender and can be exchanged by whoever is the bearer.
 5. It is strongly recommended that certificates **NOT** be registered in the School's name.

**INSTRUCTIONS FOR GIFTS TO THE ANNUAL FUND, CAPITAL PROJECTS OR
ENDOWMENT FUNDS**

Stockbroker: Merrill Lynch

Address: The Creadon Group
30195 Chagrin Blvd.
Pepper Pike OH 44124

Contacts: Michael Creadon (216) 292-8026
Beth Michel (216) 378-5776

FAX: (216) 503-4756 (Beth direct fax)
TOLL FREE: (877) 248-7489

DTC No.: 8862

Title of Account: Hathaway Brown School

Acct. No.: 617-04514