

Securities Transfer Instructions

Please notify the Office of Institutional Advancement at Russell Sage College when making a gift of stock or mutual funds. This is crucial because Russell Sage College will not be aware of your gift without this notification.

Please send a letter of intent to Sara Carlson. This letter should include the donor's name, name of the security/ies, name of broker or investment firm, number of shares to be transferred, exact date of transfer, approximate amount of gift, and lastly, the purpose of the gift.

MAIL: Sara Carlson, Director, Advancement Resources
Office of Institutional Advancement
Russell Sage College
65 1st Street
Troy, New York 12180

EMAIL: carlss1@sage.edu

FAX: (518) 244-6871 | Attn: Sara Carlson, Director of Advancement Resources

■ SECURITIES HELD BY THE DONOR'S BANK OR BROKER:

Instruct your bank or broker, in writing, to transfer the securities you wish to give to:

Bridget Ball-Shaw
Pinnacle Investment, LLC
125 Wolf Road, Suite 406 | Albany, NY 12205
Phone (518) 514-1800 ext. 252 | Fax (518) 514-1085
DTC Number 0141(First Clearing Corp)
Account Name: Russell Sage College
Account Number: 2184-2922

■ SECURITIES HELD BY THE DONOR:

Send unendorsed certificates, by mail, along with a letter of intent that includes your name, address, and purpose of the gift to Sara Carlson at the above address. The letter of intent should be signed by ALL of those whose names appear on the stock certificates.

Under separate cover, mail to the same address a stock power, executed in blank for each security, along with a copy of your letter of intent.

■ MUTUAL FUNDS:

Please note that mutual funds require specific accounts to be set up before transfer, which may add additional time. If you are transferring mutual funds, please discuss this timeframe with your broker.

■ GIFT VALUATION:

Your gift is considered to have been made on the date securities pass unconditionally from your control. The value of the gift is the average of the high and low quotations on the date the gift is made. Russell Sage College will notify you of the valuation amount.

If you have questions about gifts of securities, please contact Sara Carlson. Please consult with your attorney or financial advisor for tax advice about specific gifts.