



## Middlebury Institute of International Studies at Monterey

### Stock Transfers to Benefit the Middlebury Institute of International Studies at Monterey

A. **If your broker (or bank) holds the securities** in “street name” form, you should request that they be electronically transferred directly to Middlebury via DTC (Depository Trust Company):

1. Send a letter of instruction to your broker indicating that you wish to make a stock gift to the Middlebury Institute of International Studies at Monterey, specifying the name of the stock, the number of shares (or dollar amount) and gift designation. Instruct your broker to e-mail a copy of the letter of instruction to Cheryl LeBlanc, Treasury Analyst, at [cleblanc@middlebury.edu](mailto:cleblanc@middlebury.edu). If e-mail is not available, they can fax a copy of your letter to her at 802 443-2065. Without this information, there may be a delay in crediting the appropriate program and acknowledging the donor.
2. If your broker’s firm is listed on the enclosed list of *Middlebury Institute of International Studies at Monterey/Middlebury College Brokers*, include Middlebury’s account number at the same brokerage firm in your letter of instruction, so that your broker can journal the shares from your account to Middlebury’s account directly.
3. If your brokerage firm is not listed, you should instruct your broker in your letter to transfer the shares via DTC (Depository Trust Company) to: Middlebury College, c/o RBC Wealth Management, DTC#0235, Account #300-97594-10, 75 State Street, Boston, MA 02109. Our account representative is Robert Holcomb and the contact at RBC Wealth Management is Ellen Takagi, who can be reached at (877) 725-2143.

### B. **If you hold your shares in *certificate* form:**

1. By certified mail, return receipt requested, send the unendorsed certificate to Cheryl LeBlanc, Treasury Analyst, Service Building, Middlebury College, Middlebury, VT 05753.
2. In a separate first class envelope, send to the same address a stock power form, signed exactly as your name appears on the security but otherwise left completely blank.
3. Include a letter of instruction specifying the number of XYZ shares being transferred and the gift designation. For example, “100 shares of XYZ Corporation to the Middlebury Institute Annual Fund.” If your gift is to be for less than the total number of shares listed on the certificate, include your social security number so a new certificate with the remaining shares can be issued in your name and returned to you.
4. The value of your gift will be the average of the high and low quotations using the later of the postmarked date from the stock certificate or the stock power form.

**For Transfer Questions**, please contact Cheryl LeBlanc, Treasury Analyst, [cleblanc@middlebury.edu](mailto:cleblanc@middlebury.edu) or by phone at (802) 443-5372. When Cheryl is not available, Derek Hammel, Director of Investments & Treasury Operations, [dhammel@middlebury.edu](mailto:dhammel@middlebury.edu) (802) 443-5751 will be able to assist you.

**For Questions about your gift**, please contact Brenda Carrier, Director of Gift Administration & Reporting, at (802) 443-5922.

### **Mutual Fund Transfers to Benefit the Middlebury Institute**

#### **A. Transfer from your broker to the Middlebury Institute:**

1. If you purchased your mutual funds through your broker, send a **letter of instruction** to your broker indicating that you wish to make a mutual fund gift to the Middlebury Institute of International Studies at Monterey, specifying the number of shares (or dollar amount) and gift designation.

2. Include in your letter of instructions to transfer the shares electronically via DTC (Depository Trust Company) to: Middlebury College, c/o RBC Wealth Management, 75 State Street, Boston, MA 02109, Account #300-97594-10, DTC#0235. Our account representative is Robert Holcomb and the contact at RBC Wealth Management is Ellen Takagi, who can be reached at (877) 725-2143.

3. Instruct your broker to e-mail a copy of your letter of instruction (LOI) to Cheryl LeBlanc, Treasury Analyst at [cleblanc@middlebury.edu](mailto:cleblanc@middlebury.edu). Or send a copy of the LOI to his attention - Service Building, Middlebury College, Middlebury, VT 05753. Alternatively, they can fax a copy of your letter to Ms. LeBlanc at (802) 443-2065.

#### **B. Transfer from your mutual fund company to the Middlebury Institute of International Studies:**

1. If you own mutual fund shares directly from the mutual fund company, then additional steps may be needed. Typically, in addition to the steps noted above, the mutual fund company will require you to fill out a change-of-ownership form. The company will furnish that form by mail or fax. Indicate on the form how many shares (or dollar amount) you wish to transfer to Middlebury. In most cases, the company requires that your signature be "guaranteed" (not notarized). Your local bank will guarantee your signature. If the funds are jointly owned, then both signatures must be guaranteed. Mail or fax the completed form to your mutual fund company and instruct your broker to fax a copy to Middlebury (Fax: 802-443-2065, Attn: Cheryl LeBlanc, Treasury Analyst). We will provide additional information the mutual fund company requires, at which point the shares will be transferred. Mutual fund shares transfer usually takes about 4 weeks.

2. If you would like to donate Fidelity fund shares, Middlebury has opened a separate account with them to expedite transfers.

a. To give Fidelity fund shares, send the **letter of instruction** to your account manager asking the shares be transferred to: "The President and Fellows of Middlebury College, Account #X01-491349."

3. Please instruct your broker to e-mail a copy of your letter of instruction to Cheryl LeBlanc, Treasury Analyst at [cleblanc@middlebury.edu](mailto:cleblanc@middlebury.edu) or send a hard copy to her attention -- Service Building, Middlebury College, Middlebury, VT 05753. Alternatively, they can fax a copy of your letter to Ms. LeBlanc at (802) 443-2065.

**For Transfer Questions**, please contact Cheryl LeBlanc, Treasury Analyst, [cleblanc@middlebury.edu](mailto:cleblanc@middlebury.edu) or by phone at (802) 443-5372. When Cheryl is not available, Derek Hammel, Director of Investments & Treasury Operations, [dhammel@middlebury.edu](mailto:dhammel@middlebury.edu) (802) 443-5751 will be able to assist you.

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***Middlebury Institute of International Studies at Monterey/  
Middlebury College Brokers  
Tax ID # 03-0179298***

<b>FIRM</b>	<b>DTC#</b>	<b>ADDRESS</b>	<b>CONTACT</b>	<b>PHONE #</b>	<b>MC ACCOUNT #</b>
<b>Charles Schwab</b>	0164	n/a	n/a	866-232-9890	6277-6504
<b>Credit Suisse</b>	0443	New York, NY	Sam Tenenbaum	212-538-1886	215-477662
<b>Fidelity</b>	0226	n/a	n/a	800-544-6666	X01-491349
<b>Merrill Lynch</b>	5198	Burlington, VT	Jonathan A. Landry	800-206-8681	866-04006
<b>Morgan Stanley</b>	0015	Greenwich, CT	Andy Cushman Danielle Renzo	203-625-4679 203-625-4801	409-077155
<b>Morgan Stanley</b>	0015	Mt. Kisco, NY	n/a	800-438-6509	870-105331
<b>UBS Financial Services</b>	0221	Rutland, VT	Anthony Vitagliano	800-564-1265	R9 28744
<b>RBC Wealth Mgmt</b>	<b>0235</b>	<b>75 State Street Boston, MA 02109</b>	<b>Ellen Takagi</b>	<b>877-725-2143</b>	<b>300-97594-10</b>