

Delivery Instructions for Gifting Securities to Bates College

Marketable securities held in a brokerage or trust account generally should be transferred to Bates College through the DTC process outlined below. In some cases shares can be transferred “internally” to an existing Bates account at another office of the same brokerage firm. If the securities are held in a discount brokerage account, or consist of mutual fund shares, please call Bates for additional instructions. Valuation of the gift is calculated as the mean price of the securities as traded on the date they are deposited in a Bates College account.

For Depository Trust Company Eligible securities:

1) Have your broker call or fax Bates College to notify us and begin the transfer process. The broker should provide us with the following information:

- a) Name of brokerage firm or trust company
- b) Name of broker, phone and fax number
- c) Number of shares and name of security
- d) Intended transfer date
- e) Name of donor
- f) Intended designation for the gift

Contact: Bates College
Advancement Services/Ms. Terry Baillargeon
2 Andrews Road
Lewiston, ME 04240
Phone: (207)786-6332 Fax: (207)786-8242 E-mail: tbaillar@bates.edu

2) Unless otherwise instructed by Bates, process delivery through DTC to:

Key Bank/Ed de Luccia, 66 South Pearl St. 4th Fl., PO Box 22042, Albany, NY 12201
DTC Participant #2205 (NDFS and SDFS)
DTC Participant: Society National Bank
Trust Account name: Bates College Gift Account
Federal ID #: 01-0211781
Trust Account #: 10-10-116-0297282

For Mutual Funds, or any securities held in a Discount Brokerage account:

1) Call or fax Bates College to notify us and receive further instructions. Please provide us with the following information:

- a) Name of brokerage firm or trust company
- b) Name of broker, phone and fax number
- c) Number of shares and name of security
- d) Intended transfer date
- e) Name of donor
- f) Intended designation for the gift

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