

MUTUAL FUND TRANSFER (NON ACAT) INSTRUCTIONS

Mutual Fund transfers (non ACAT) will be administered by the ASU Foundation's custodian, The Northern Trust Company. Please note that these transfers can take several weeks to process, so please allow time to complete the transaction. In order to effectuate a seamless transfer, please contact the ASU Foundation Finance Office at 480-965-7825 or by email at givesecurities@asu.edu for instructions on the best way to gift your mutual funds.

To complete most mutual fund transfers, our custodian must work directly with the mutual fund company to prepare to receive the securities and work with your broker to ensure correct delivery. When you contact the ASU Foundation Finance Office, the following information will be requested:

- 1) Donor name and contact information
- 2) Name of mutual fund
- 3) Mutual fund ticker symbol/CUSIP
- 4) Number of shares to be donated
- 5) Your broker contact information
- 6) Account name at brokerage firm
- 7) Account number at brokerage firm
- 8) The