

ASU[®] Foundation

Arizona State University

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 **1-480-965-7825** 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 ASU unit/beneficiary (ASU account name or account number) for which the gift is to be directed

If you or your broker have any questions and would like to contact our custodian, the information is as follows:

Investment Firm: The Northern Trust Company

Contact Name: Ciaran McCarthy, Account Manager OR Brian Villani, Relationship Manager

Address: 50 South La Salle Street, B8, Chicago, IL 60603

Phone: Ciaran (312)557-6832 OR Brian (312)444-7228

Email: Ciaran McCarthy cpm6@ntrs.com OR Brian Villani bv3@ntrs.com

**THANK YOU FOR YOUR GENEROUS GIFT. WE APPRECIATE YOUR SUPPORT OF
ARIZONA STATE UNIVERSITY.**