



Stock Transfer Instructions

If your stocks are held by a broker or custodian bank, electronic transfer via the Depository Trust Company (DTC) system is the fastest and most secure way to deliver them to Caltech. Please provide the following information to your broker or bank:

Receiving DTC Brokerage Firm: CHARLES SCHWAB
DTC Participant Number: 0164 code 40
Caltech Clearing Account Number: 2009-8618

DONOR INFORMATION

DONOR NAME: _____

ADDRESS: _____

NAME OF SECURITY: _____

NUMBER OF SHARES: _____

FUND NAME/PURPOSE: _____

NAME OF BROKERAGE: _____

IMPORTANT

Please send this completed form to Gifts and Records by fax at 626.395.5889 or by email at give@caltech.edu prior to transferring securities, as **donor information does NOT transmit through the DTC wiring system**. If you have questions, please call our main line at 626.395.6323.

FOR YEAR-END GIFTS: Be sure to allow extra time for the transfer from your broker's account to Caltech's Schwab account, and emphasize to your broker the importance of completing the transfer by December 31, or by the preceding Friday if December 31 falls on a weekend.