

**Roman Catholic Diocese of Charlotte**  
**Instructions to Donate Stock & Mutual Fund Shares**  
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The Diocese of Charlotte maintains a brokerage account with Wachovia Securities, LLC. for the purpose of processing stock (and certain mutual fund) contributions to the Diocese for the benefit of the Diocese of Charlotte or any of its parishes, schools or agencies.

**Step 1: Transfer stock:**

Electronically:

- ⇒ Publicly traded stock: Provide your broker with the information shown in Attachment I on the top portion of the page.
- ⇒ Mutual Funds: Contact Phyllis Rumpfelt at 704-442-6308 or 1-800-929-0972. You will need to identify the specific fund you wish to donate. Wachovia Securities, LLC. will forward to you an ACAT Account Transfer Form. Please complete the form fully and attach a copy of your most recent mutual fund statement. Please note that the transfer of mutual funds may take up to four weeks to complete. Mail the completed packet to:

The Granzow Consulting Group of Wachovia Securities, LLC.  
Attn: Phyllis Rumpfelt  
4525 Sharon Road, Suite 300  
Charlotte, NC 28211

Donations of physical securities:

Physical stock certificates should be delivered to any Wachovia Securities, LLC. or Wachovia Bank office. *(Please do not deliver stock certificates to your parish or to the Pastoral Center.)* Inform the representative that you wish to make a gift to the Roman Catholic Diocese of Charlotte through the Diocese's brokerage account with Wachovia Securities, LLC. (#7167 9213). Have the representative contact Phyllis Rumpfelt or John Granzow at 704-442-6308 or 1-800-929-0972. While there, the owner(s) of the shares (as shown on the face of the certificate) must sign a stock/bond power and have the signature(s) Medallion guaranteed by the bank representative. Please also complete the bottom portion of Attachment I and deliver it with the stock certificate(s).

**Step 2: Please complete Attachment II and mail or fax it to:**

Catholic Diocese of Charlotte  
Attn: Finance Office-Stock Processing  
1123 South Church Street  
Charlotte, NC 28203  
or  
Fax: (704) 370-3378

Within 30 days of receipt of the stock/mutual fund into our account (or receipt of Attachment II by the Finance Office, if later), we will sell the stock and mail a check to the diocesan entity you identify in Attachment II. At that time, we will also send you an acknowledgment which complies with IRS regulations.

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**ATTACHMENT I**

**>> FOR ELECTRONIC TRANSFERS – NOTICE TO BROKER <<**

Please transfer: \_\_\_\_\_ shares of \_\_\_\_\_ stock

From: Account # \_\_\_\_\_

To: Wachovia Securities, LLC.  
DTC: 0141  
Telephone: 800-929-0972  
Facsimile: 704-365-0261

For further credit to: Roman Catholic Diocese of Charlotte  
Wachovia Securities Acct. #7167 9213

Print Name(s) \_\_\_\_\_

Signature(s) \_\_\_\_\_

**>> FOR GIFTS OF PHYSICAL STOCK CERTIFICATES – LETTER OF INTENT <<**

I hereby donate \_\_\_\_\_ shares of \_\_\_\_\_ stock  
to the Roman Catholic Diocese of Charlotte, Acct. # 7167 9213

Print Name(s) \_\_\_\_\_

Signature(s) \_\_\_\_\_

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**ATTACHMENT II**

**NOTICE OF STOCK/MUTUAL FUND GIFT TO DIOCESE OF CHARLOTTE**

**Mail or fax this page to: Catholic Diocese of Charlotte  
Attn: Finance Office-Stock Processing  
1123 South Church Street  
Charlotte, NC 28203  
Or  
Fax: (704) 370-3378**

Donor Name: \_\_\_\_\_

Address: \_\_\_\_\_

\_\_\_\_\_

Phone: \_\_\_\_\_

Parish: \_\_\_\_\_

Quantity & stock/mutual fund donated: \_\_\_\_\_

\_\_\_\_\_

How donated:

Electronically: Yes \_\_\_\_\_ No \_\_\_\_\_

If no, certificate delivered to Wachovia Bank or Wachovia Securities office located at:

\_\_\_\_\_  
\_\_\_\_\_

If electronically, donor's broker/agent: \_\_\_\_\_

Broker/Agent's telephone \_\_\_\_\_

Date of gift: \_\_\_\_\_

Beneficiaries/restrictions:

<u>Name of Entity</u>	<u>Number of shares</u>	<u>Restrictions</u>
_____	_____	_____
_____	_____	_____
_____	_____	_____

It is very important that you complete and send or fax us Attachment II above so that we can distribute the proceeds according to your wishes. Thank you very much.