STOCKS AND SECURITIES DONATION FORM

DIOCESE OF OAKLAND

2121 Harrison St. Suite 100
Oakland, CA 94612

Date ____________________________

Donor's Name ____
Donor's Address ____
Donor's City, State, Zip ____
Donor's Phone Number ____
Broker's Name ____
Brokerage Firm Name ____
Broker's Address ____
Broker's City, State, Zip ____
Broker's Phone Number ____

Account Number: ____

Dear ______________________________,

Please transfer ___________ shares of _____________________________ stock from my account to DTC 0164 to Charles Schwab account number 7623-1468 for Roman Catholic Bishop of Oakland, a corporation sole, for further credit to:____
____
____
____
____

(Enter Bishop's Ministries Appeal, FACE, other diocesan ministry, parish, or school.)

____ ____

Signature Printed Name

cc: **John Pluth, Controller, Diocese of Oakland; Email: jpluth@oakdiocese.org; Fax: (510) 839-7545**

cc: ____
Church/School or Business Manager of Recipient Church/School (if applicable)

PLEASE NOTE: A copy of this form must be sent to the Diocese of Oakland, attn: John Pluth by email (jpluth@oakdiocese.org), fax (510-839-7545), or mail (Diocese of Oakland, 2121 Harrison Street, Suite 100, Oakland, CA 94612) to ensure proper crediting and disbursement of donor's gift.

For allocations of gifts, please indicate % allocations or if you indicate dollar amounts, be sure to circle which account to apply any surplus or shortfall since the final amount of your contribution will be determined at the time of the actual securities sale.

In the event mutual funds or stock certificates are to be transferred to the account of the Roman Catholic Bishop of Oakland, a corporation sole, the finance office of the Diocese should be contacted before a transfer of ownership is initiated. If there are any questions concerning the handling of securities donations, please contact John Pluth, Controller at (510) 267-8336.

Procedures for Donating Stocks and Securities

This document outlines the process for donating negotiable securities, stocks, bonds, mutual funds, or equities to the Diocese of Oakland, including its parishes, schools, programs, campaigns, and ministries.

Overview

The Diocese of Oakland has established a special account with Charles Schwab to liquidate securities donations on behalf of designated recipients. All securities gifts must be processed through this account. Upon receipt, Charles Schwab will sell the securities and the Diocesan Finance Department will distribute proceeds to the designated recipient.

Procedure

1. **Donation Form**
   Donors must use the **Stocks and Securities Donation Form** to instruct their broker on stock transfers. This form contains all information required to complete the transaction.

2. **Fund Allocation**
   Since the exact value cannot be determined until securities are sold, donors designating gifts to more than one recipient should either:
   - Designate one amount as the "remainder distribution" (circle on form) to receive any balance after other allocations, OR
   - Specify percentages for each end use

   The Diocese will handle allocation per donor instructions when multiple recipients are involved.

3. **Required Notifications**
   Send copy of the **Stocks and Securities Donation Form** to:
   - **Diocesan Controller** (required for all donations)
     John Pluth, Controller
     Diocese of Oakland Finance Department
     2121 Harrison Street, Suite 100
     Oakland, CA 94612
     Phone: (510) 267-8336 | Fax: (510) 839-7545
     Email: jpluth@oakdiocese.org

   - **Parish/School Leadership** (if applicable): pastor, principal, and/or business manager

4. **Processing Timeline**
    - Several days are needed for securities to be transferred to Charles Schwab.
    - Securities are typically sold on day of receipt or next business day at current market price.
    - Settlement of trade takes 3-4 additional working days.

5. **Disbursement**
   After sale, proceeds are matched with the donation form and disbursed via check per donor's intent or, for parishes and schools, deposited into their Diocesan savings account if requested. **Critical:** Without the donation form, gifts remain in "undisbursed status" as we cannot connect the gift to the donor.

6. **Acknowledgment**
   Upon receipt of funds, the diocese, parish, or school must acknowledge the donation, noting the number of shares and company name received on the transfer date. The donor establishes the value based on the transfer date, not the settlement date.