

# Transfer of Assets

## ONLY Use This Form To:

Irrevocably transfer assets held at a transfer agent or at a financial institution other than Charles Schwab & Co, Inc. (e.g., a brokerage firm, mutual fund company, bank, or insurance company) to your newly opened or established Schwab Charitable™ donor-advised fund account.

For fastest processing, we recommend that you initiate this transfer by contacting your transferring firm directly. **All delivery instructions needed by the transferring firm can be found on the last page of this form.**

Should your asset custodian ask you to establish an account with them using Schwab Charitable's name or address, please contact Donor Services at 1-800-746-6216.

## Do NOT Use The Form To:

- Transfer assets as part of a **qualified charitable distribution** (QCD) or a **required minimum distribution** (RMD) from your retirement account. The IRS doesn't consider donor-advised fund sponsors like Schwab Charitable as qualified charities for QCD/RMD purposes.
- Transfer assets from a Charles Schwab account to your Schwab Charitable™ donor-advised fund account. Please do so online by logging on to the Schwab Charitable **Client Center**. Once you have logged in to your account, click on the "Contribute" tab or the "Fund Your Account" button. You may also use the **Contribute to Your Account** form.
- Transfer assets from another donor-advised fund account (with Schwab Charitable or elsewhere) to your Schwab Charitable donor-advised fund account. To do this, please contact Donor Services at 1-800-746-6216.
- Transfer cash-only assets from another financial institution (see instructions on the last page of this form).

## 1. Initiate the Transfer of Assets

Choose one of the options below to transfer assets to your Schwab Charitable donor-advised fund account.

### NOTE:

- All parties who are registered on the transferring firm's account(s) **MUST** sign Section 6 of this form.
  - If the assets being transferred are from more than one institution, you **MUST** complete a separate *Transfer of Assets* form for each transferring institution.
  - If you are transferring a mutual fund from another institution and/or transferring from a transfer agent, initiate the transfer using this Schwab Charitable form, completing Sections 1-3.
  - If your asset custodian asks you to establish an account using Schwab Charitable's name or address, please contact Donor Services at 1-800-746-6216.
- I hereby instruct Schwab Charitable to initiate the transfer of assets.** I will provide:
- A copy of a recent statement from the transferring institution (this statement must be dated no more than 90 days prior to the date it is sent).
  - A completed and physically signed Transfer of assets form.
- I will initiate the transfer of assets.** I will:
- Contact the transferring firm directly for applicable procedures and forms.
  - Tell the transferring firm to provide any necessary information to Schwab Charitable using the delivery instructions in Section 7 of this form.

## 2. Tell Us About the Account Registered to Schwab Charitable

\_\_\_\_\_  
For Donor Name(s)

\_\_\_\_\_  
Account Number (If this account is new, Schwab Charitable will complete this section.)

### 3. Tell Us About the Account From Which You Are Transferring:

Name of Transferring Firm	Account Number	
Name(s) on Account	Name(s) on Account	
Firm Mailing Address		
City	State	Zip Code
Firm Telephone Number		

**Note to transferring firm:** The Schwab Charitable account is registered to Schwab Charitable, NOT the donor. This form therefore is NOT eligible to be processed as an automated customer account transfer (non-ACAT eligible).

### 4. Specify Assets

Assets to be transferred may be noted in spreadsheet and attached to this form. Each spreadsheet or attachment must be signed dated by the account holder(s) authorizing this contribution. We generally only accept whole shares but can accept fractional shares up to three decimal points for mutual fund shares.

All information below is MANDATORY for proper processing				Cost basis* (optional)	
In-Kind Asset (name/description)	Symbol (if applicable)	Total number of shares	Approximate value (\$)	Acquired date (mm/dd/yyyy)	Price per share (\$)

**Total value of securities (MANDATORY)** \_\_\_\_\_

**Cash contribution \$** \_\_\_\_\_

**TOTAL CASH AND SECURITIES \$** \_\_\_\_\_

\*Cost basis information is optional. Shares will be contributed based on a client's current cost basis method unless otherwise specified with a given purchase date and cost.

### 5. Certification

#### Account Discrepancies

By signing below, I/we acknowledge the existence of any differences in account owners and/or account type between the account from which assets are being transferred and the Schwab Charitable donor-advised fund account. Each individual signatory is aware of these discrepancies and authorizes Schwab Charitable to accept the transfer of assets from unlike accounts.

All account holders or authorized signers of the account(s) listed in Sections 1 and 2 of this form must sign below. If an account holder's name appears differently on either account, the owner must sign the form using all name variations (e.g., maiden name and married name). If there is a name variation, Schwab may require additional documentation before accepting the account, such as a marriage certificate or a divorce decree.

**Irrevocability**

By signing below, I/we acknowledge that Schwab Charitable is a 501(c)(3) independent public charity. I/we authorize the irrevocable transfer of ownership of the assets specified in Section 3 of this form (including restricted stock) to Schwab Charitable. **I/we understand that any contribution, once accepted by Schwab Charitable, represents an irrevocable contribution to Schwab Charitable and is not refundable to me/us for any reason.** Schwab Charitable typically sells publicly traded securities at the earliest date possible but may sell at any time.

**Errors/Omissions**

If I/we find any errors or omissions relating to my/our Schwab Charitable donor-advised fund account, I/we must call Schwab Charitable immediately at 1-800-746-6216. I/we will notify Schwab Charitable no later than 10 days after the relevant communications are sent or made available to me/us. I/we understand that Schwab Charitable will not be liable for any losses that occur because of my/our failure to promptly notify Schwab Charitable of an error.

**6. Signature(s) (Mandatory)****X**

\_\_\_\_\_  
**Primary Account Holder (physical signature required, not e-sign eligible)** **Today's Date (mm/dd/yyyy)**

\_\_\_\_\_  
**Print Name**\_\_\_\_\_  
**Title****X**

\_\_\_\_\_  
**Additional Account Holder (physical signature required, not e-sign eligible)** **Today's Date (mm/dd/yyyy)**

\_\_\_\_\_  
**Print Name**\_\_\_\_\_  
**Title****X**

\_\_\_\_\_  
**Additional Account Holder (physical signature required, not e-sign eligible)** **Today's Date (mm/dd/yyyy)**

\_\_\_\_\_  
**Print Name**\_\_\_\_\_  
**Title**

## 7. Delivery Instructions

### Options for Sending Forms

Return Instructions:	Fax:*	Regular Mail:	Overnight Delivery:
Upload online with secure messaging (if you are an existing client and have online access to your account). 1. Go to www.schwab.com and log in to your account. 2. Click Message Center (under the Services tab), and then click Upload Document. 3. Select your Charitable Account in the drop-down menu of accounts.	1-877-535-3852	Schwab Charitable P.O. Box 628298 Orlando, FL 32862	Schwab Charitable 1958 Summit Park Dr., Suite 200 Orlando, FL 32810

**Please retain a copy of all original documents for your files.**

\*For fax submissions: It is the intention of each of the signatory account holders that Schwab Charitable™ may rely on a facsimile copy of his or her signature as a binding and enforceable signature, admissible in any proceeding to the same extent as if this form were submitted in manual form.

### Instructions for Firms Transferring Assets

**All deliveries must include the account holder's name and the Schwab Charitable donor-advised fund account number.**

#### Wire Transfer

Wire to: Citibank N.A.  
111 Wall Street  
New York, NY 10005  
1-800-627-3999  
ABA#: 021000089  
Citibank Account Number: 40553953  
FFC Schwab Charitable  
FBO: XXXXXXXX (please use 8-digit Schwab Charitable account number)

#### Electronic Funds Transfer EFT

Transfer to: JPMorgan Chase/Account of Charles Schwab  
211 Main Street  
San Francisco, CA 94105  
1-800-435-4000

**Schwab's Direct Deposit Transit Routing Number:** 071000013

**Account Number:** 593853800XXXXXXXXX (please replace the "XXXXXXXXX" with the 8-digit Schwab Charitable account number)

**Account Type:** Checking

Be aware that the bank you use for this EFT may charge a fee for this transaction. Set up the EFT appropriately: choose either one time or recurring.

#### Physical Checks and Securities

Please make checks payable to Schwab Charitable. Include the account number of Special Account Name in the memo field of the check.

Schwab Charitable  
1958 Summit Park Dr., Suite 200  
Orlando, FL 32810

#### DTC-Eligible Securities (e.g., stocks)

DTC Clearing 0164, Code 40  
Tax ID #: 31-1640316

#### Fed Book-Entry Securities (e.g., Treasury Notes)

JPM CHASE/CCC  
ABA#: 021000018 BK of NYC/CSCHWAB  
FFC: XXXXXXXX (please use 8-digit Schwab Charitable account number)

# Transfer of Assets (TOA) Frequently Asked Questions



## Who is the account registered to?

All Schwab Charitable donor-advised fund accounts are registered to Schwab Charitable.

## Who must sign the TOA form?

All owners reflected on the transferring firm account statement must sign the TOA form. If an owner on the transferring firm account statement is not a Charles Schwab client, the account holder(s) must obtain a notarized signature on the signature page of the TOA form.

## Do I have to include an account statement?

Yes. Every time you submit a new TOA form, you must include the most recent account statement from the transferring firm, which must show the account registration, account number, and asset(s) to be transferred in-kind.

## Can the TOA form be electronically signed?

No, the TOA form can never be electronically signed. It must always be signed with a physical signature.

## Can I request a cash-only transfer from another financial institution with a TOA form?

No, Schwab Charitable cannot initiate a cash-only transfer from another financial institution. Donors can send cash via check, wire, or electronic funds transfer.

## Do I need to use the TOA form if I am moving funds from another donor-advised fund account?

No. A TOA form cannot be used to facilitate the move of funds from an existing donor-advised fund account to Schwab Charitable. To transfer funds from another donor-advised fund account to Schwab Charitable, the donor must make a grant recommendation from their transferring donor-advised fund account to the Schwab Charitable account. The donor will need to add a note in the grant that includes their Schwab Charitable account name and account number and state that this grant is for their Schwab Charitable account. Further, they must indicate that the transaction is a transfer from one donor-advised fund account to another. Please contact the transferring donor-advised fund firm (not Schwab Charitable) if any questions arise about issuing a grant from the transferring donor-advised fund account to your Schwab Charitable account.

## Can I donate a limited partnership to my donor-advised fund account?

Gifting limited partnerships may trigger adverse consequences to both the donor and the donor-advised fund account. Please call 1-800-746-6216 with any further questions.

## Can I donate fractional shares to my donor-advised fund account?

We accept whole shares but can accept fractional shares up to three decimal points:

- for mutual fund shares
- if, in the source account, it is an entire position of common stocks, ETFs, or mutual funds.

## Does Schwab Charitable have to initiate the transfer request into the donor-advised fund account?

No. You can contact the transferring firm to initiate an outgoing charitable gift to Schwab Charitable and provide your Schwab Charitable donor-advised fund account number. The transferring firm will send the asset(s) to your Schwab Charitable donor-advised fund account.

## Can I donate funds from my retirement accounts?

No. The IRS does not consider donor-advised fund sponsors like Schwab Charitable as qualified charities for a qualified charitable distribution (QCD) or for a required minimum distribution (RMD). If you are considering contributing assets out of your Charles Schwab retirement account as a QCD or RMD, please call Schwab Retirement Services at 1-800-694-9449.

## When will my cost basis show up?

Schwab Charitable will update your account with the cost basis information provided on a transfer statement by a transferring firm. Because the accuracy of cost basis data depends upon these third-party statements, Schwab Charitable is not able to guarantee the availability, accuracy, or completeness of such cost basis data. It is your obligation to confirm the accuracy of the information Schwab Charitable receives from the transferring firm.

## Who liquidates my assets coming into the account?

If you do not have a professional account manager, Schwab Charitable will liquidate the transferred assets upon receipt. If you have a professional account manager listed on your account, they are responsible for placing trades in the donor-advised fund account.

