



# TIAA Brokerage Irrevocable Stock or Bond Power Instructions

To ensure efficient processing, please provide all information requested on the TIAA Brokerage Irrevocable Stock or Bond Power as outlined within the instructions below.

A separate stock/bond power form is required for each security and registration.

Additional documentation may be required if the deposit results in a change in ownership or if there is a question as to ownership.

Example 1 – a notarized Letter of Authorization is required and must be signed by all account owners and individuals listed on the certificate when transferring an individual account into a joint account or when a joint account is transferred into an individual account.

Example 2 – a “Certification of Legal Name” is required when different registrations exist for the same owner, i.e., John H. Doe is also John Henry Doe is also John Doe. In addition, if you have had a legal name change, we require the supporting legal documentation.

TIAA Brokerage is not able to accept any of the following types of certificates.

- Restricted Securities - If the certificate states Restricted. This may be on the front or the back of the certificate. Not all certificates will state this and instead may reference Rule 144 or Rule 145 or state that the shares have not been registered under the Securities Act of 1933/1934. These would be considered restricted.
- Penny Stocks - (Certificates with a value of less than \$5.00 per share and is not listed on a national exchange.
- Non-depository Eligible Foreign Securities - Foreign ordinary shares
- Savings Bonds
- Non-transferable securities
- Shares associated with Cannabis companies.





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**STEP 1: TIAA BROKERAGE ACCOUNT INFORMATION**

Brokerage Account Number: This is the brokerage account that you would like the stock certificates deposited into.

Brokerage Account Owner Name(s): This is the title/registration of your TIAA Brokerage account.

Example: John H. Doe, John Doe and Mary Doe, or John H. Doe Living Trust.

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**STEP 2: STOCK OR BOND INFORMATION**

**Stocks:**

- Number of Shares: Enter in the total number of shares as outlined on the certificate(s).
- Type of Shares (Common, Preferred or Other): This information can be found on the stock certificate.
- Name of Company: Enter in the name of the company as it appears on the stock certificate.
- Certificate Number(s): This information is also located on each certificate.

**Bonds:**

- Number of Bonds: Enter in the total number as outlined on the bond(s).
  - Name of Company: Enter in the name of the company as it appears on the stock certificate.
  - Principal Amount: Enter the amount listed on the bond.
  - Certificate Number(s): This information is also located on each certificate.
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**STEP 3: AUTHORIZATION AND SIGNATURE**

The form must be read, signed and dated by all Individuals that are listed on the Stock/Bond certificate. Signatures(s) must correspond with the name(s) as written upon the face of the certificate(s) or bond(s) in every particular without alteration or enlargement or any change whatever.

Example: John H. Doe should also be signed as John H. Doe.

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**STEP 4: MEDALLION SIGNATURE GUARANTEE**

If the registrations do not match, then the form must be Medallion Signature Guaranteed.

**Example:**

John H. Doe on certificate going into an account for John H. Doe – MSG not required.

John H. Doe and Mary Doe on the certificate going into an account for John H. Doe – MSG required for both John H. Doe and Mary Doe along with a notarized letter of instruction signed by both.

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**MAILING INSTRUCTIONS:**

Please make a copy of your certificate(s) and any completed forms for your records. We are not able to accept and process certificates in any of our branch offices. We recommend that your certificates are sent by certified or registered mail. Mail the original certificate(s), original completed form(s) and any other supporting documentation to:

Pershing LLC  
Attn: Securities Processing  
1 Pershing Plaza  
Jersey City, NJ 07399





Please review and complete this form to make a certificate negotiable when the back of the certificate has not been signed.

Questions? Please call 800-842-2252, Monday - Friday, 8 a.m. to 7 p.m. (ET). Print using black ink.

**STEP 1: TIAA BROKERAGE ACCOUNT INFORMATION (REQUIRED)**

Brokerage Account Number  Brokerage Account Owner Name(s)



**STEP 2: STOCK OR BOND INFORMATION (REQUIRED)**

For value received, the undersigned does (do) hereby sell, assign and transfer to Pershing LLC:

**STOCKS (FOR STOCKS, COMPLETE THIS SECTION)**

\_\_\_\_\_ shares of \_\_\_\_\_ stock of \_\_\_\_\_  
(Number of Shares) (Common, Preferred or Other) (Name of Company)

represented by \_\_\_\_\_ inclusive, standing in the name of the  
(Certificate Number(s))

undersigned on the books of said Company.

**BONDS (FOR BONDS, COMPLETE THIS SECTION)**

\_\_\_\_\_ bonds of \_\_\_\_\_ in the principal amount of \$ \_\_\_\_\_  
(Number of Bonds) (Name of Company)

represented by \_\_\_\_\_ inclusive, standing in the name of the  
(Certificate Number(s))

undersigned on the books of said Company.

**STEP 3: AUTHORIZATION AND SIGNATURE (REQUIRED)**

The form must be read, signed and dated by all individuals that are listed on the Stock/Bond certificate. Signatures(s) must correspond with the name(s) as written upon the face of the certificate(s) or bond(s) in every particular without alteration or enlargement or any change whatever. Example: John H. Doe should also be signed as John H. Doe.

Signature

Today's Date (mm/dd/yyyy)  
 /  / 20

Signature

Today's Date (mm/dd/yyyy)  
 /  / 20

**STEP 4: MEDALLION SIGNATURE GUARANTEE**

A medallion signature guarantee must be made by an authorized medallion signature guarantor.

Medallion Signature Guarantee Authorized Officer to Place Stamp.

A medallion signature guarantee is only required if the registrations do not match such in the case of endorsing over to a third party.

