

# Holiday Gift Enrollment Order Form (to enroll your youngsters in your life)



**Yes, I want to Gift a share of stock--including enrollment in the company DRIP. Please process my order for the company DRIPs I've indicated below and send me validated proof of my gift purchase.** I understand that stock prices fluctuate daily and my stock purchase will be executed at the market price on the day my order is executed. I further understand that a 10% cushion is required and any cushion overpayment of \$25 or more will be refunded to me.

Check Those you Wish to Order	Symbol	Company Name	Recent Stock Price Including 10% Cushion*	Regular Enrollment Fee	Holiday Gift a Share Enrollment Discount Fee	Total Cost for this company
<input type="checkbox"/>	ABT	Abbott Laboratories- Drugs, health care		<del>\$30/\$60</del>	<del>\$25/\$50</del>	
<input type="checkbox"/>	AWK	American Water Works- Utility-Water		<del>\$30/\$60</del>	<del>\$25/\$50</del>	
<input type="checkbox"/>	BAC	Bank of America Corp.- Banking		<del>\$30/\$60</del>	<del>\$25/\$50</del>	
<input type="checkbox"/>	SCHW	Charles Schwab Corp.- Financial		<del>\$30/\$60</del>	<del>\$25/\$50</del>	
<input type="checkbox"/>	DPS	Dr Pepper Snapple Group, Inc.- Beverages-Non-alcoholic		<del>\$30/\$60</del>	<del>\$25/\$50</del>	
<input type="checkbox"/>	GIS	General Mills Inc.- Food Processing		<del>\$30/\$60</del>	<del>\$25/\$50</del>	
<input type="checkbox"/>	HRL	Hormel Foods Corp.- Food processor, marketer		<del>\$30/\$60</del>	<del>\$25/\$50</del>	
<input type="checkbox"/>	RTN	Raytheon Company- Aerospace/Defense		<del>\$30/\$60</del>	<del>\$25/\$50</del>	
<input type="checkbox"/>	UNP	Union Pacific Corp.- Transportation, railroad		<del>\$30/\$60</del>	<del>\$25/\$50</del>	

\*Go to our website [directinvesting.com](http://directinvesting.com) for recent price.

**Total Holiday Gift Cost:** \_\_\_\_\_

## Gift Recipient (Shareholder)

Recipient's SS# (Minor) (Required) \_\_\_\_\_ Date of Birth \_\_\_\_\_

Adult's SS# (Required) \_\_\_\_\_ Date of Birth \_\_\_\_\_

Name \_\_\_\_\_ Print Name Exactly As Stock Should Be Registered \_\_\_\_\_

Mailing Address\*\*\* \_\_\_\_\_ City/State/Zip Code \_\_\_\_\_

\*\*\* P.O. Box is acceptable for registration and to receive correspondence. However, if your mailing address is a P.O. Box (other than APOs and FPOs) you must enter your street address-For U.S. Patriot Act compliance.

## Purchaser Information (Gift Giver)

Subscriber/Member ID# if applicable \_\_\_\_\_ Telephone \_\_\_\_\_

Purchaser SS# \_\_\_\_\_ Date of Birth \_\_\_\_\_

Name \_\_\_\_\_

Mailing Address \_\_\_\_\_ City/State/Zip Code \_\_\_\_\_

Email \_\_\_\_\_ (Confidential but required)

I (we) have read and agree to the Terms of the Temper Enrollment Service (printed on back). I (we) hereby authorize Temper Enrollment Service to help me (us) become enrolled in the direct investment plan(s) (DRIPs) of the companies indicated above. I (we) authorize each company and its transfer agent, if applicable, to enroll me (us) in the full direct investment plan(s) of each company. I (we) authorize Temper Enrollment Service to stipulate that all cash dividends be reinvested in the plan(s) listed above-including dividends on any shares I (we) might purchase outside the plan(s).

My (our) purpose for becoming enrolled is so I (we) can make subsequent investments directly through the company-sponsored plans. No other use of my (our) name(s) is authorized. I (we) certify, under penalty

of perjury, that the Social Security number or taxpayer identification number provided on this form is valid and that I (we) am (are) 18 years of age or older.

I (we) certify under penalty of perjury, that I am authorized to transact business on behalf of the entity becoming enrolled in the DRIP plans listed above. I (we) understand the provisions of each relevant plan having reviewed the prospectus information in the *Guide to Direct Investment Plans* and in the company prospectus. I (we) understand that portfolio growth depends on my (our) ability to make future optional cash investments once the account is open and that growth based on reinvesting dividends from the share(s) to open the account will be minimal.

### SEC/FINRA Required Information

Do you work for, or are you employed by, a member firm of FINRA?  Yes  No

Are you a director, a 10% shareholder, or a policy-making executive officer of a publicly traded company?  Yes  No (If "yes," specify companies below):

Companies: \_\_\_\_\_

**X**  
(Must Sign Here)

Date \_\_\_\_\_

Please mail this completed form and your check payable to: Temper Enrollment Services P.O. BOX 461 Rye, NY 10580 • Questions? Call 800-388-9993

1. All checks for stock orders should be made payable to **Temper Enrollment Services**.

2. Registration Information

- Enter your full name, date of birth, street address, and Social Security Number (proof if your first name is in fact an initial). (Non-U.S. citizens without taxpayer ID, please provide passport number AND country of issuance OR alien identification card number).
- If other than single registration, indicate the proper form of registration. For example, JT TEN for joint tenancy accounts, where the surviving tenant receives the property automatically.
- In custodial accounts under the Uniform Gift to Minors Act, name the adult first as custodian and indicate the state: "John Doe, cust. for Jane Doe under NY UGMA." Provide Social Security Number and date of birth for both the custodian and child.
- For living trust agreements, be sure to indicate the date: "In trust for Robert Doe under Trust Agreement dated \_\_\_\_." Also a copy of the first and last page of the plan/trust should be sent back to Temper.
- For registrations involving corporations, partnerships, or investment clubs, be sure to include the full name of the entity. Please send proof of the entity's existence, such as a **certified** copy of the certificate of incorporation, partnership agreement, or investment club agreement.
- We cannot accept TOD (Transfer of Death) registrations. We cannot accept orders from residents of Puerto Rico or U.S. Virgin Islands.
- The following do not allow Tenants by Entirety registrations: AL, AZ, CA, CO, CT, GA, ID, IL, IN, IA, KS, LA, ME, MN, MT, NE, NV, NH, NM, NY, NC, ND, OH, OR, SC, SD, TX, UT, WA, and WI.
- The following do not allow Community Property registrations: AL, AK, AR, CO, CT, DE, DC, FL, GA, HI, IL, IN, IA, KS, KY, ME, MD, MA, MI, MN, MS, MO, MT, NE, NH, NJ, NY, NC, ND, OH, OK, OR, PA, RI, SC, SD, TN, UT, VT, VA, WV, and DC.

3. We acknowledge your order immediately by email or by mail if you do not have email.

4. Dividends will be paid to you directly by each company's transfer agent.

5. Shares are purchased at the beginning of the month after your investment, through a broker or the transfer agent at our cost on **(this procedure allows time for your checks to clear)**.

a. The Enrollment Service is not responsible for the quality of your choice of investments, nor is it responsible for the operations of the company or its direct investment plan. The Enrollment Service acts as Riskless Principal to execute your orders.

Although the situation does not arise often, a company may file for bankruptcy and/or discontinue its plan after the shares you ordered were purchased. Under those circumstances, you will be charged the amount that was paid for the stock on your behalf and a certificate for the shares will be sent to you. However, if your order can not be executed for any reason, you will be sent a full refund.

To reduce the chance of plan closures, we may stop offering companies whose shares sell for less than \$5.

b. The Securities and Exchange Commission requires that all broker-dealers advise customers of the broker's practice with respect to payment for order flow. Payment for order flow includes any monetary payment, service, property, or other benefit that results in remuneration, compensation, or consideration to a broker-dealer from a broker-dealer.

Temper does not receive any payment for order flow.

c. Temper closes its Order Entry system on the last day of the month. Stocks are purchased after the 5th of the following month (to allow time for all checks to clear). The DRIP enrollment process should be completed within two or four weeks of the company investment date (or if purchased through the transfer agent).

6. W-9 Forms and Enrollment Cards will be provided to you if you are using the Temper Enrollment Service to become enrolled in Southern Co., AFLAC, Otter Tail, Exxon-Mobil, and ZION Bancorp, you should sign and return to Temper the W-9 form and/or an enrollment card.

To obtain W-9 forms or enrollment cards, call 800-388-9993, or contact the Temper Enrollment Service by mail at P.O. Box 461, Rye, NY 10580.

7. Any controversy that may develop relevant to this enrollment shall be submitted to arbitration. Such arbitration shall be conducted in New York, N.Y., by FINRA in accordance with its rules in effect.

8. The firm requests a 10% cushion over the price of the stocks as calculated on the enrollment order form. That cushion is a safeguard against an upward price swing on the cost of the share on the purchase date **and could represent as much as 10% surcharge on the cost of the share. The firm does not issue refunds except if the excess amount is \$25 or more.**

### Privacy Notice

You entrust us with personal and financial information, and we take that trust very seriously.

We receive personal, nonpublic information about you on DRIP enrollment forms, on online order forms, and in other communications in writing, electronically and over the phone. That information may include your name, address, social security number, bank account information or employment information.

We do not share any nonpublic personal information about you with any third parties, except as necessary to process a transaction, promote affiliate services, or as required by law. Our outside service providers are legally bound not to disclose or reuse it in any way. We restrict access to your personal information to those of our employees who need the information in order to provide services to you. In addition, you can feel comfortable knowing that we maintain physical, electronic and procedural safeguards to protect your personal information.

For specific safeguards see:

[www.temperofthetimes.com/privacystatement2.cfm](http://www.temperofthetimes.com/privacystatement2.cfm)

### Important Information About Procedures for Opening a New Account.

To help the government fight the funding of terrorism and money laundering activities, Federal law requires financial institutions to obtain, verify, and record information that identifies each person who opens an account.

**What this means for you:** When you open an account, we will ask for your name, address, Social Security number, date of birth, and other information that will allow us to identify you. **For new customers, we will require a copy of your driver's license or other identifying documents.** **What happens if you don't provide the information required?:** We may not be able to open an account or carry out your transactions.

**Business Continuity Plan:** Orders accepted by Temper of the Times Investor Services Inc. are backed up at two locations off site nightly. If something were to happen to Temper's principal location, we would be able to access all our customer information at a new location. Once your DRIP account is open at the transfer agent for the company you ordered, you are no longer an active customer of the Temper Enrollment Service, although we do keep a record of the orders we fulfill for you.

**Disclaimer:** Direct Investment Plans don't offer guarantees and have risks, even the risk of losing the entire investment. The value of an investment in DRIPs will fluctuate, depending on the fluctuating stock price.

Please mail completed form to: **Temper Enrollment Services**  
111 Pleasant Ridge Rd. Harrison, NY 10528 1-800-388-9993  
Fax: 914-921-5745