

# Direct Investment Plan Enrollment Order Form

You can order enrollment only with the minimum number of shares to qualify for entry into the direct investment plan of ANY plan available. The share(s) will be deposited into the account of the new shareholder. (yourself unless this is a gift).

| Symbol   | Company Name | # of Shares<br>(See 2 at right)   | Recent Price** | Fee***              |
|----------|--------------|---|----------------|---------------------|
| 1. _____ | _____        | _____ X _____   | _____          | + \$30/\$60 = _____ |
| 2. _____ | _____        | _____ X _____   | _____          | + \$30/\$60 = _____ |
| 3. _____ | _____        | _____ X _____   | _____          | + \$30/\$60 = _____ |
| 4. _____ | _____        | _____ X _____   | _____          | + \$30/\$60 = _____ |
| 5. _____ | _____        | _____ X _____   | _____          | + \$30/\$60 = _____ |
| 6. _____ | _____        | _____ X _____   | _____          | + \$30/\$60 = _____ |
| 7. _____ | _____        | _____ X _____   | _____          | + \$30/\$60 = _____ |
|          |              | Total Cost for Stock _____  |                |                     |
|          |              | Total Cost for Stock and Service Fees _____                             |                |                     |
|          |              | 10% Non-Refundable Cushion (based on "Total Cost for Stock" only) _____ |                |                     |
|          |              | <b>Grand Total</b> _____  |                |                     |

\*\* Recent High Price: Stock prices fluctuate. We ask you to check your publicly available sources for the stock's recent high and add a 10% non-refundable cushion. This protects the firm against any upward movement in the price of the stock before the transaction is executed. (However, if the total excess amount on your order is \$10 or more, it will be refunded.)

\*\*\* DRIP Club Members pay the lower fee.

## Primary Shareholder Information

SS# (Required) \_\_\_\_\_ Date of Birth (Required) \_\_\_\_\_

Custodial Account SS# (Minor) \_\_\_\_\_ Date of Birth (Required) \_\_\_\_\_

## Additional Shareholder Info. (If Joint Tenants, Etc.)

SS# (Required) \_\_\_\_\_ Date of Birth (Required) \_\_\_\_\_

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

Mailing Address\* \_\_\_\_\_

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

Email \_\_\_\_\_ Telephone \_\_\_\_\_

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). I will contact Temper if I do not receive my account statement from the company transfer agent within two weeks of Temper's notification that the transfer agent has acted upon its instructions to open my account.

My (our) purpose for becoming enrolled is so I (we) can make subsequent invest-

ments directly. 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 (we) am (are) authorized to transact business on behalf of the entity becoming enrolled in the DRIP plans. I (we) understand the provisions of each relevant plan and that I (we) conducted our own research as to the merits of investing in such a plan.

I confirm that I direct Temper of the Times Investor Services to open direct investment accounts for me and/or under registration, as herein on this form stipulated, without any solicitation from Temper.

**Please attach a copy of your government-issued I.D. to this form, otherwise we might not be able to process your order.**

### Important Information

1. Please understand that the purchase of the single share is not in itself an investment. The value of the share resides in its making you qualified to join the DRIP.
2. You can order **ONLY** the minimum number of shares required to join the plan, which is generally **one** share. Some companies require more than a single share. Companies that we accept that require more than a single share are shown in a box on the reverse.
3. Orders are accepted until 12 noon EST on the last business day of the month and shares are purchased during the following month (to allow for your checks to clear). Shares will be purchased through a broker/dealer or through our accounts at the transfer agents.
4. **Non-Refundable Cushion:** The firm requires a 10% cushion over the price of the stock. That cushion is intended to protect the firm against an upward movement in the cost of the stock before the transaction is executed.
5. It is our policy to only accept orders for the minimum number of shares required to qualify for enrollment in the DRIP (generally **one** share). Therefore, a 10% cushion would likely result in a tiny refund. The firm does not refund this cushion except in amounts of \$25 or more, unless we receive an individual request for a refund, which we will execute as a matter of courtesy.

**PLEASE READ THE CONTENT OF THE ENTIRE FORM HEREIN.**

**DIVIDENDS: Temper Enrollment Services will retain any dividend that may be issued during the period when the share bought by us to establish your DRIP account (usually a single share) still resides in the account of Temper Enrollment Services while awaiting action by the transfer agent to open an account in your name. By signing below you have read and accepted herein above stated.**

If you wish to order DRIP Club membership please enclose a separate check for: \$179 12-months or \$99 6-months. This will establish the Club Membership with Moneypaper Publications LLC, an affiliated company.



## Purchaser Information (Complete this section only if this is a gift)

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

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

Name \_\_\_\_\_

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

Email \_\_\_\_\_ (required)

\* 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.

### 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: \_\_\_\_\_  
 Your Occupation: \_\_\_\_\_ Name of Employer: \_\_\_\_\_

**IMPORTANT- PLEASE SIGN AND DATE HERE X**

Date \_\_\_\_\_

**Please return this form to: Temper of the Times Investor Services Inc. P.O. Box 461 Rye NY 10580**

DISCLOSURE: Customers must do their own research in order to determine suitability of such an investment as it relates to their personal and financial circumstances. Temper of the Times hereby does not make any recommendations and conveys no judgment as to merits of investing in any security.

**1. All checks for enrollment** should be made payable to Temper of the Times Investor Services Inc.

## **2. Registration Information**

a. 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).

b. 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.

c. 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 UGTMA." Provide Social Security Number and date of birth for both the custodian and child.

d. 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.

e. 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.

f. We cannot accept TOD (Transfer of Death) registrations. We cannot accept orders from residents of Puerto Rico or U.S. Virgin Islands.

**3. We acknowledge your order immediately** by email or by mail if you do not have email. Please report promptly back to us any discrepancy or inaccuracy as may be pertinent to your DRIP account order with us. Any oral communication to/with us must be re-confirmed in writing to protect your rights, including rights under the Securities Investor Protection (SIPA)

**4. After your account is open, dividends will be paid** to you directly by each company's transfer agent.

**5. 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 Temper Enrollment Service acts as 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. If your order can not be executed

for any reason, you will be sent a full refund. You will be notified after Temper receives a statement from the TA confirming that they acted on our instructions to open accounts for our customers. **You are required** to contact Temper if you do not get a company statement within two weeks of that notification from Temper.

**6. The Securities and Exchange Commission requires** that all broker-dealers advise customers of the broker's practice with respect to payment for order flow. Temper does not receive any payment for order flow.

**7. Temper closes its Order Entry system** on the last business day of the month. In order to provide the service, we purchase stock after the 3rd of the following month (to allow time for all checks to clear). The DRIP enrollment process should be completed within two to four weeks of the purchase date (or the company investment date if purchased through the transfer agent).

**8. W-9 Forms and Enrollment Cards** are required and available 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.

**9. 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.

**10. The firm requires 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.

**11. Refunds of overpayments are issued with the final statement.** Please note that we do not process overpayments of less than \$25 as a matter of corporate policy. **We will, however, act on your individual request (by phone or by email) to process an overpayment so long as it is for more than \$10, with the understanding that you will promptly cash that check.** If you are issued any refund check by us, please deposit it into your bank account promptly. If you don't deposit your check for any reason, after 3 years it will be ESCHEATED to the State of New York, the state of our incorporation, as abandoned property, and a \$25 processing fee will be deducted by us from the amount of your check. If your refund check is less than \$25, the entire check amount will be retained by the firm as a processing fee during the escheatment process to the State of New York.

**12. \$10 surcharge on DRIPs for accounts serviced by Equiniti Shareowner Services.** All orders for enrollment in direct investment accounts in companies serviced by Equiniti

Shareowner Services as their transfer agent will require an additional service fee surcharge of \$10.00 per DRIP in addition to our customary charges.

This surcharge will be automatically added to online orders for companies using Equiniti Shareowner Services. Orders submitted by mail must include this additional surcharge per DRIP.

**Temper Financial Statements-** you can see our audited financial statements as filed with the Securities & Exchange Commission, on our website [www.temperofthetimes.com](http://www.temperofthetimes.com).

## **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 off site nightly. If something were to happen to Temper's principal location, we would be able to access all our customer information at our backup location. You can access a copy of our Business Continuity Plan on our website [www.temperofthetimes.com](http://www.temperofthetimes.com). In case of an emergency and the office telephone number is inoperative call the following number: 917-432-8618.

**Disclaimer:** As is true with any investment, 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.

**Temper of the Times Investor Services Inc.** 111 Pleasant Ridge Rd. Harrison, NY 10528 1-800-388-9993 Fax: 914-921-9318.