

E*TRADE Securities account activation for U.S. participants



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System response and account access times may vary due to a variety of factors, including trading volumes, market conditions, and system performance.

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What do you need to activate your account online?



TRADING | INVESTING | BANKING

SEE WHAT YOUR NEW STOCK PLAN ACCOUNT CAN DO FOR YOU.

Dear <First Name> <Last Name>,

<Company> has selected E*TRADE to help you manage your important employee stock plan benefits. We're excited to show you what your new stock plan account has to offer.

Activate today to take advantage of these features:

- View & manage your plan benefits, check the market value of sellable shares, follow company news and stock trends, and more.
- Use online tools & calculators to estimate the value of your awards and assess different tax scenarios.
- Exercise your options & sell shares from your computer or mobile phone with just one click.
- Accept new grants, view past transactions, and access important plan documents.

Activation is easy and only takes a few minutes. You will need the one-time authentication code above, your social security number or employee ID and your company's ticker symbol <YYY>.

E*TRADE has been helping top companies and their employees manage their equity compensation benefits for over 25 years. We are committed to giving you the tools, education, and help you need to make the most of your valuable stock awards.

ACTIVATE TODAY >

 **WE'RE AVAILABLE TO HELP YOU**
If you need assistance, call 1-800-838-0908 – 24 hours a day, weekdays. Online chat is also available during the activation process.

4 EASY STEPS TO GET STARTED

- 1 Go to etrade.com/activate
- 2 Select your language preference
- 3 Enter your identifying information and one-time authentication code <CODE>
- 4 Choose a User ID and Password

ACTIVATE TODAY >

- You will receive activation communications similar to this one
- Please keep this as it provides you with the following:
 - 1 Authentication Code
 - 2 Your Employer's Ticker Symbol

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Benefits of activating your Stock Plan Account



It is important that you activate your stock plan account for a number of reasons

- Obtain real-time access to your account to monitor the performance of your stocks / options / restricted shares
- Exercise options, sell shares and move money to and from your account
- View your grants, restricted stock awards and vested options
- View important plan documents
- Access financial tools and services that can help with your financial planning

Before you begin

E*TRADE FINANCIAL Online Account Activation STEP 1 of 4

Choose your language: English

Before You Begin

Setting up your employee stock plan account should only take a few minutes. To get started you'll need to complete the following steps:

- **Tell us about yourself**, including your U.S. Social Security number or employee ID. You will also need the authentication code sent in your welcome letter or e-mail. (Need a new authentication code?)
- **Tell us about your employer**, including the company's stock ticker symbol.
- **Tell us about any co-account holder(s)**. Details we need include your co-account holder(s)' name, address, Social Security number, and employer. Please note that only applicants who have permanent legal residence in the United States can be added as co-account holders.
- **Tell us about your investment goals**. Industry regulations require that we ask about your financial goals, income, and net worth.
- **Set up your preferences**, including your user ID and password and where you'd like to receive your electronic statements.

[Arahan Pengaktifan Online](#) [Instruções para ativação online](#)

GET STARTED **1**

Have questions? [Contact us](#)

2 **Need Help?**
Chat now with a representative

- 1** Simply click 'Continue' to begin
- 2** Get immediate answers to your questions, at any time, by chatting with one of our available representatives

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Getting started

E*TRADE FINANCIAL Online Account Activation STEP 1 of 4

Tell us who you are [Get help with this step](#)

In order for us to activate your employee stock plan account quickly and securely, we must first confirm your identity. Once we've identified you, you can either enter your authentication code or get a new one.

Company stock ticker symbol: **1**

U.S. Social Security no: **2** If you have a U.S. Social Security number, please enter it. Otherwise, enter your employee ID.

Employee ID: **2**

CONTINUE > **3**

- 1** Enter your Company's Ticker Symbol
 - Click 'Find Symbol' to easily search for your company's stock ticker symbol
- 2** Enter your Employee I.D.
- 3** Click 'Continue'

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Reconfirming your identity

E*TRADE FINANCIAL Online Account Activation STEP 1 of 4

Tell us who you are (cont'd)

Get help with this step

Need Help? Chat now with a representative

Please enter the authentication code that was sent to you via e-mail or postal delivery. If you do not have your authentication code, you can request a new one below.

Authentication code **1**

Use the authentication code above **2**

E-mail me a new authentication code*

Send me a new authentication code in the mail*

You may also call Customer Service for a new authentication code at 1-800-838-0908 (+1 650-599-0125 outside the US and Canada), 12 am Mon - 11:59 pm Fri, Eastern Time.

* The code will be sent to the address on file with your company's stock plan administrator.

3

- 1** Enter the Authentication Code provided to you
- 2** If you did not receive one or misplaced yours, request a new code via email or mail, and revisit the account activation process upon receipt of your updated code
- 3** Click 'Continue'

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Updating personal information

E*TRADE FINANCIAL Online Account Activation STEP 1 of 4

Update your personal information

Get help with this step

Need Help? Chat now with a representative

If you would like to modify or update your personal profile, enter the new information below.

Prefix:

First Name: Middle Initial (optional): Last Name: Suffix:

Street Address

This is my Permanent Residence Address I have a separate mailing address

Street address (cannot be a PO Box or in-care-of address): Street address, Line 2 (optional):

City: State or province: ZIP or postal code:

Country: [Can't find your country?](#)

Home telephone: Business telephone (optional):

Home or primary email address: Alternate email address:

Date of birth: Month: Day: Year (yyyy):

U.S. Tax Residence Status: I am a U.S. citizen I am a U.S. resident alien I am neither a U.S. citizen nor a U.S. resident alien

Country of permanent legal residence:

1

- Note: Pre-populated information was provided by your employer
- Confirm your personal information

1 Click 'Continue'

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Employment information

E*TRADE FINANCIAL Online Account Activation STEP 2 of 4

Enter employment information

Get help with this step

Need Help? Chat now with a representative

Employer (if unemployed, self-employed, student, or a homemaker, please state) **1**

Occupation
Select One...

Employer City

Employer State

Employer Zip/Postal Code

Employer Country
United States

Are you employed by a registered broker-dealer, a securities exchange, or the FINRA?
 No Yes (if yes, see your compliance officer for written approval, which E*TRADE Securities must receive prior to activating your account)

Are you a director, or a policy making officer of a publicly owned company? **2**
 No Yes (if yes, specify tickers of the company(ies))

Are you a 10% share holder of a publicly owned company?
 No Yes (if yes, specify tickers of the company(ies))

3

BACK CONTINUE >

- 1** Enter your employment information
- 2** Check with your Employer if you need help answering the questions at the bottom of the page
- 3** Click 'Continue'

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Account type

E*TRADE FINANCIAL Online Account Activation STEP 2 of 4

Choose your account registration (ownership)

Get help with this step

Individual account—only you will be using the account **1**

Joint account—you plan to share the account with someone else

IMPORTANT: If you register your E*TRADE Securities account as a joint account, or if you link your stock plan account to an existing joint account, co-account holder(s) may have full access to your information and assets, including stock options that may be exercised using this service. Only applicants who have permanent legal residence in the United States can be added as co-account holder(s).

BACK CONTINUE > **2**

Need Help? Chat now with a representative

1 You may choose to create a 'Joint Account' that you will share with someone else

- Please note the Important information on this screen regarding Joint Account Access

2 Click 'Continue'

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Account preferences

E*TRADE FINANCIAL Online Account Activation STEP 3 of 4

Choose Additional Account Preferences

Where Do You Want to Keep Your Money Between Investments?

Get help with this step

Earn daily interest and access your money anytime through our free checking service.

E*TRADE Financial Extended Insurance Sweep Deposit Account (FDIC insured up to \$250,000) **1** View current rates
[View Municipal Alternatives](#)

Credit Interest We'll send you the appropriate prospectus or disclosure for your sweep option. You can change sweep option at any time by phone or mail.

Take Advantage of These Additional Features

E*TRADE Complete Platinum Debit Card Yes No **2**

Checks Yes No

3

Need Help?
Chat now with a representative

- 1** Select where you would like to keep your money between investments
- 2** Indicate if you would like to receive an E*TRADE Complete Platinum Debit Card or checks with this account
- 3** Click 'Continue'

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Investment profile

The screenshot shows the E*TRADE Financial Online Account Activation process, specifically Step 3 of 4. The main heading is "Provide your investment profile". A progress bar at the top indicates the current step. Below the heading, there is a "Need Help? Chat now with a representative" button. The instructions state: "Securities regulations require that you provide us with the below information." The form asks to "Describe your investment objective: (select one)" with radio buttons for "Capital Preservation" (selected), "Income", "Growth", and "Speculation". It also asks for "Annual income: (combined if joint account)" with a dropdown menu set to "\$200,000+" and "Total net worth: (excluding your home)" with a dropdown menu set to "\$500,000 - \$999,999". At the bottom, there are "BACK" and "CONTINUE >" buttons. A purple circle with the number "1" is overlaid on the "CONTINUE >" button.

- Enter your investment profile
- Securities regulations require that you provide E*TRADE Securities with this information

1 Click 'Continue'

Validation

E*TRADE FINANCIAL Online Account Activation STEP 4 of 4

Verify your application

Here is a summary of your application. Do you want to make any changes?
 No Yes

Account Holder Personal Information

Prefix:
First name: RANJIT
Middle initial:
Last name:
Suffix:
U.S. Social Security number:
Employee ID:
Date of birth:
Citizenship status:
Country of permanent legal residence:

Account Holder Contact Information

Street address:
Home tel:
Business tel:
Home or primary E-mail a:
Alternate E-mail a:

Account Holder Employer

En:
Occ:
Employer City: ALACHUA
Employer:
Employer Zip Post:
Employer C:
Are you employed by a registered broker-dealer or securities exchange, or the:
Are you a director or a policy officer of a publicly owned co:
Are you 10% owner of a publicly owned co:

Account Information

Registration:
Between-investment: Investment Insurance Sweep Deposit up to \$250,000

E*TRADE Complete Platinum Del

Checks: No
Investment objective: Capital Preservation
Annual income: \$200,000+
Total net worth: \$1,000,000+

Need Help?
Chat now with a representative

- **NOTE:** Please ensure that all information on your application is accurate.
- For any errors, use the back button to go back and modify your information

1 Click 'Continue'

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Electronic document delivery

E*TRADE FINANCIAL Online Account Activation STEP 4 of 4

Receive your documents electronically

[Get help with this step](#)

You can receive many of your account documents online instead of by mail. Your documents will be delivered to a secure "electronic filing cabinet." We'll send you a link via e-mail notifying you whenever a new document is available.

Please select the documents you would like to receive electronically (uncheck the boxes for items you do not wish to receive electronically):

- Statements
- Trade confirmations **1**
- Corporate reports, proxies, reorganization notifications
- Prospectuses
- Tax documents

Notification for new documents will be sent to your account correspondence email address:

By clicking CONTINUE below, you consent to electronic delivery of all account documents (except unchecked ones). We will notify you that a new document is available if required by law to do so. We will send any unchecked document by regular mail, and **additional fees** may apply. You represent that you have Internet access and an e-mail address to receive documents electronically (plus a printer or other device to print or save documents you wish to retain). You may change your delivery preferences or e-mail address through our Set Preferences feature or by calling 1-800-786-2575. You agree to check our Web site regularly, as you may have no other way to know that documents have been delivered to you. Your consent is effective from now until you revoke it. You can revoke or change your consent or request paper delivery of documents we are required to deliver in paper form, but we may charge additional fees or restrict or close your account. Electronic delivery is free, but Internet access and telephone charges may apply. Your consent is subject to the detailed explanation in the [E*TRADE Securities Customer Agreement](#).

2

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• You may choose to receive documents electronically

1 Select the documents you would like to receive electronically

2 Click 'Continue'

Set up user ID and password

E*TRADE FINANCIAL Online Account Activation STEP 4 of 4

Use an existing user ID and password

If you already have a user ID and password to log on to *etrade.com*, you can use it to access your stock plan benefits. Would you like to use an existing User ID and Password?

Yes, I'd like to use the *etrade.com* user ID and password I already have.

No, I'd like to create a personalized user ID and password.

1
2
3

Need Help?
Chat now with a representative

- Set up a User ID and password

- 1** If you already have a user ID and password to log on to *etrade.com*, you can use these to access your stock plan benefits
- 2** If you prefer, you can set-up a new user ID and password
- 3** Click 'Continue'

Set up user ID and password

E*TRADE FINANCIAL Online Account Activation **STEP 4 of 4**

Choose your new user ID and password

Get help with this step

Need Help?
Chat now with a representative

Please be sure to make a note of your user ID and password. You'll use these to log on to your accounts at etrade.com.

User ID (eight to 32 characters, no spaces)

Password (six to 32 characters with at least one letter and one number, no spaces)

Confirm password

BACK CONTINUE >

- To access your stock plan account on etrade.com you'll need create your own User ID and password :

- 1 Select a User ID
- Select a Password
- 2 Click 'Continue'

Receive additional information

E*TRADE FINANCIAL Online Account Activation STEP 4 of 4

We are dedicated to your success

Before you view your stock plan benefits, take a minute to consider your overall financial picture.

At E*TRADE FINANCIAL, we offer a wide range of smart, innovative solutions that can help you take care of ALL your financial needs-quickly and easily.

I'd like to receive information about:
(Select all that apply)

- Investing for long-term growth
- Banking services with high yields
- Planning for retirement

Home E-mail Address:

< BACK CONTINUE >

PLEASE READ THE IMPORTANT DISCLOSURES BELOW.

The E*TRADE Financial family of companies provides financial services that include trading, investing, managing employee stock plans and related banking products and services to retail investors.

Banking products and services are offered by E*TRADE Bank, a Federal savings bank, Member FDIC, or its subsidiaries.

The Employee Stock Plans solutions are offered by E*TRADE FINANCIAL Corporate Services.

Securities products and services offered by E*TRADE Securities, Member NASD/SIPC are not insured by the FDIC, are not guaranteed deposits or obligations of E*TRADE Bank, and are subject to investment risk, including possible loss of principal invested.

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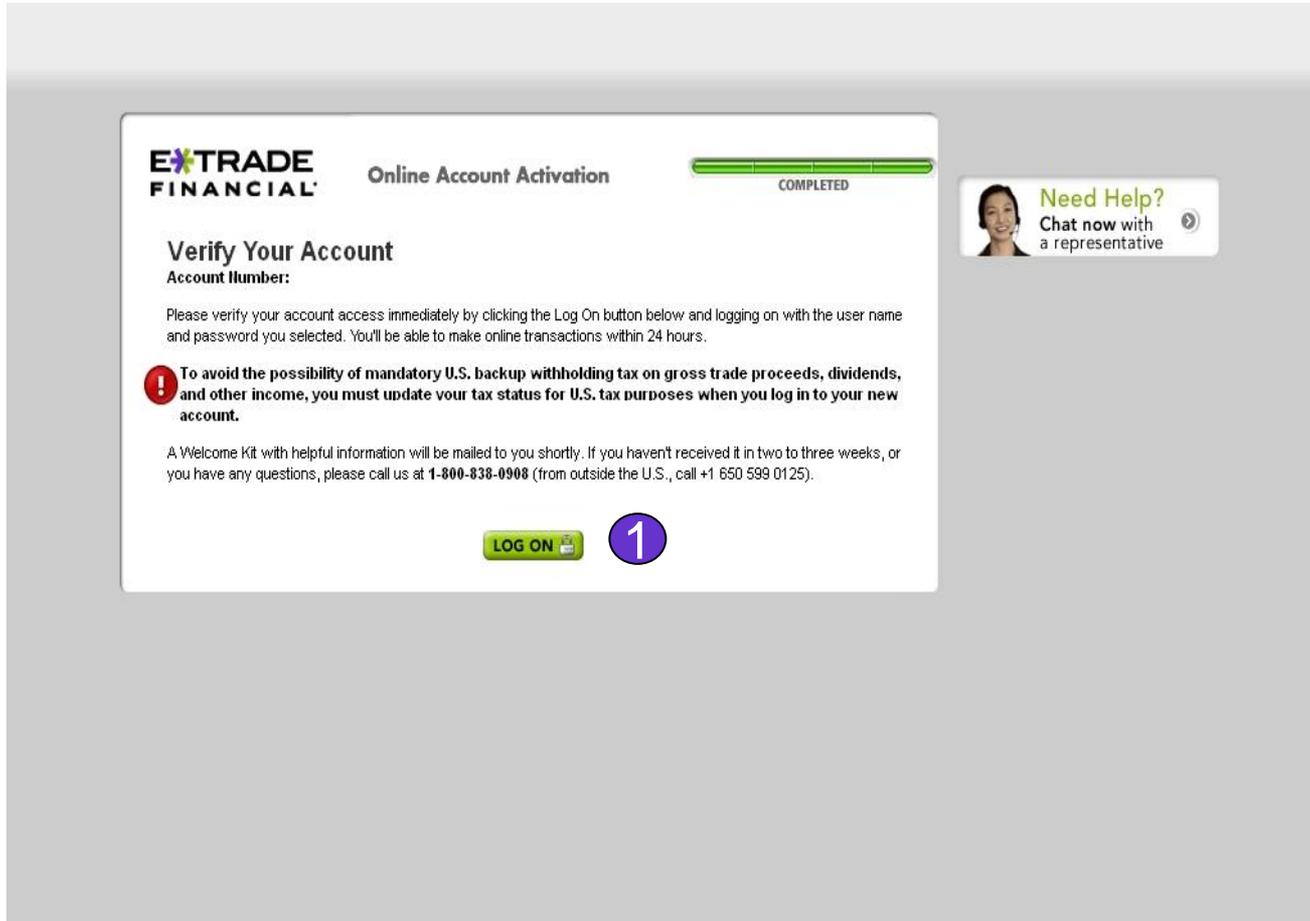
1 You may choose to receive additional information electronically

2 Click 'Continue'

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Account set-up complete



•Your account is ready!

- 1 •Click 'LOG ON' to login to your account at etrade.com

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Log on

Global Sites Customer Service Find a Branch Suggestions

E*TRADE BETA ACTIVE TRADING INVESTOR EDUCATION EMPLOYEE STOCK PLANS

Search **1** User ID Password **LOG ON**

LOG ON HELP / OPTIONS

WHY E*TRADE INVESTING & TRADING RETIREMENT BANKING **OPEN AN ACCOUNT**

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Retirement Planning Works Better With Both.

GET UP TO \$600
when you Roll Over
GET STARTED

Special Offer for Valued Customers
Get up to \$600 when you roll over to an E*TRADE IRA

SmartMoney **Kiplinger's**
★★★★★ TRADING TOOLS ★★★★★ CUSTOMER SERVICE

Ricardo Gutierrez, Chartered Retirement Planning CounselorSM

Get Quotes **GO** **DOW 12680.63** **NASDAQ 2777.38** **S & P 500 1312.46** **10 YR. T-NOTE 2.069%** 1/23/2012 1:21 PM EDT
-39.85 (-0.31%) -9.32 (-0.33%) -2.92 (-0.22%) +0.41 Closing Price

SHOW MARKETS

Asset Allocation **The Ultimate Mobile Trading** **Will You Have Enough**

1 Login to your account with the User ID and Password you set-up at the end of Account Activation

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