

Employee Stock Purchase Plan (ESPP) Enrollment Guide



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Step 1: Go to etrade.com/enroll

IMPORTANT: Prior to entering the requested information on *etrade.com/enroll*, you should determine whether or not you already have an account with E*TRADE Securities.

The screenshot shows the E*TRADE website's enrollment page. At the top, the E*TRADE logo is on the left, and a security notice 'THIS IS A SECURE APPLICATION' and a phone number 'CALL US 1-800-...' are on the right. Below the logo, the text 'Employee Stock Plans' is visible. On the right side, there is a language selection dropdown menu currently set to 'English'. The main content area is divided into two sections: 'Don't have a sign in? Start here.' and 'Sign in'. The 'Don't have a sign in? Start here.' section contains a form with fields for 'Company ticker symbol', 'Last Name', 'ID Type' (a dropdown menu with 'ID Type' selected), 'U.S. Social Security number', and 'Employee ID'. A 'Continue' button is at the bottom of this form. The 'Sign in' section contains a 'Log on' button. Three purple callout boxes with white text provide instructions: Box 1 points to the language dropdown, Box 2 points to the 'Don't have a sign in? Start here.' form, and Box 3 points to the 'Log on' button.

1 Choose your language.

2 If you do not have an E*TRADE Securities account, enter your company's ticker symbol, last name, and Social Security number (or Employee ID) and then click "Continue".

3 If you have an E*TRADE Securities account, click "Log on" to log onto your account.

NOTE: If the information you provide does not match the information given to E*TRADE by your employer, you may be asked to submit ticker symbol, last name, and ID type again.

Step 2: Establish challenge question

Next, you will need to select a security challenge question and provide the corresponding answer. We ask this question in case additional identification verification is needed online or over the phone (e.g., for a wire request). So be sure to choose a question and answer you will remember!

E*TRADE THIS IS A SECURE APPLICATION CALL US 888-639-4353 CHAT ONLINE

Employee Stock Plans English ▾

Select a Challenge Question
We'll use your response to the Challenge Question you select to identify you when you return to this site.

Select your Challenge Question... ▾

Your Answer

Continue

1 Pick a security challenge question. This is the question you will be asked when you need to provide additional identity verification.

2 Provide the answer that relates to your challenge question and select "Continue".

Step 3: Identify desired offering period

ESPP Enrollment English ▾

Select any of the following offering periods below to specify your elections

▼ ESPP Enrollment

▼ Active Offering Periods (13)

Plan Name ▲	Enrollment Period	Offering Period	Status	Current Contribution	Contributions to Date	Next Purchase	Action
▶ ESPP Plan 1	03/01/2018 - 03/31/2018	05/01/2018 - 04/30/2019	Not Enrolled	--	--	04/30/2019	Enroll

1 Identify the offering period in which you would like to enroll.

2 Click "Enroll".

Step 4: Validate account activation

Next, if you do not have an E*TRADE Securities account, you will be asked if you would like to activate your account. This is different from enrolling in your ESPP but is not necessary to complete enrollment.

Account Activation

Our records indicate you do not have an active account with us and that your employer may offer a choice of broker-dealers where you can deposit your ESPP shares. Please consult your plan documents or check with your Stock Plan Administrator for additional information.

Although you are not required to activate your account with E*TRADE, in the event you or your employer elect to deposit shares with E*TRADE, having an active account may help avoid delays. Choosing not to activate an E*TRADE account will not prevent you from enrolling, making plan election updates or having shares deposited elsewhere.

If you wish to activate your E*TRADE account, click on the "Activate your account" button and you will be directed to the online account activation process. Upon successful completion of account activation, you will be directed to the login page to complete your enrollment updates.

To continue with your enrollment update without activating your E*TRADE account, click on the "Continue with enrollment updates" button.

OPTION 1
Click "Continue Enrollment" to bypass activation and just enroll in your ESPP.
NEXT: GO TO OPTION 1 STEP 1

OPTION 2
Click "Activate Account" to open your E*TRADE Securities account before enrolling in your ESPP.
NEXT: GO TO OPTION 2 STEP 1

Continue Enrollment Activate Account

Option 1 step 1: Select contribution

If you decide you do not want to activate your account and only want to enroll in your ESPP plan, you can set your contribution amount or percentage (depending on your company).

1 Select whether you would like to contribute based on dollar amount or percentage and then enter the associated contribution.

2 Review and acknowledge your ESPP plan document.

3 Click "Continue".

The screenshot shows the 'ESPP Enrollment' form with a progress bar at the top indicating three steps: 1. CHANGE ENROLLMENT (active), 2. PREVIEW, and 3. CONFIRM. The form title is 'ESPP Enrollment' and the subtitle is 'Make a change to your stock purchase plan contribution amount / percentage'. There are two radio button options: 'Set contribution amount to: 0 USD (Between \$1 and \$2500)' (selected) and 'Set contribution percentage to: 0 % (Between 1% and 15%)'. Below this is a 'Plan Acknowledgement' section with a note: '(Note: You must open all documents)'. A link for 'ESPP Plan Document' is provided. At the bottom are 'Cancel' and 'Continue' buttons. On the right side, there are two tables: 'Enrollment History' and 'History'. The 'Enrollment History' table has columns for Plan Name, Offering Period, and Last Day to Withdraw. The 'History' table has columns for Enrolled, Last Action, Action Date, and Previous Rate.

Enrollment History	
Plan Name	ESPP Plan 1
Offering Period	01/01/2018-12/31/2018
Last Day to Withdraw	--

History	
Enrolled	Action Date
--	--
Last Action	Previous Rate

NOTE: For additional information on ESPP enrollment, click here.

Option 1 step 2: Preview enrollment

The screenshot shows a three-step process for ESPP enrollment. Step 1 is 'CHANGE ENROLLMENT', Step 2 is 'PREVIEW' (highlighted in green), and Step 3 is 'CONFIRM'. The main content area is titled 'Preview ESPP Enrollment' and contains a table with the following data:

Activity:	Contribution Percentage:
Enrolled	5%

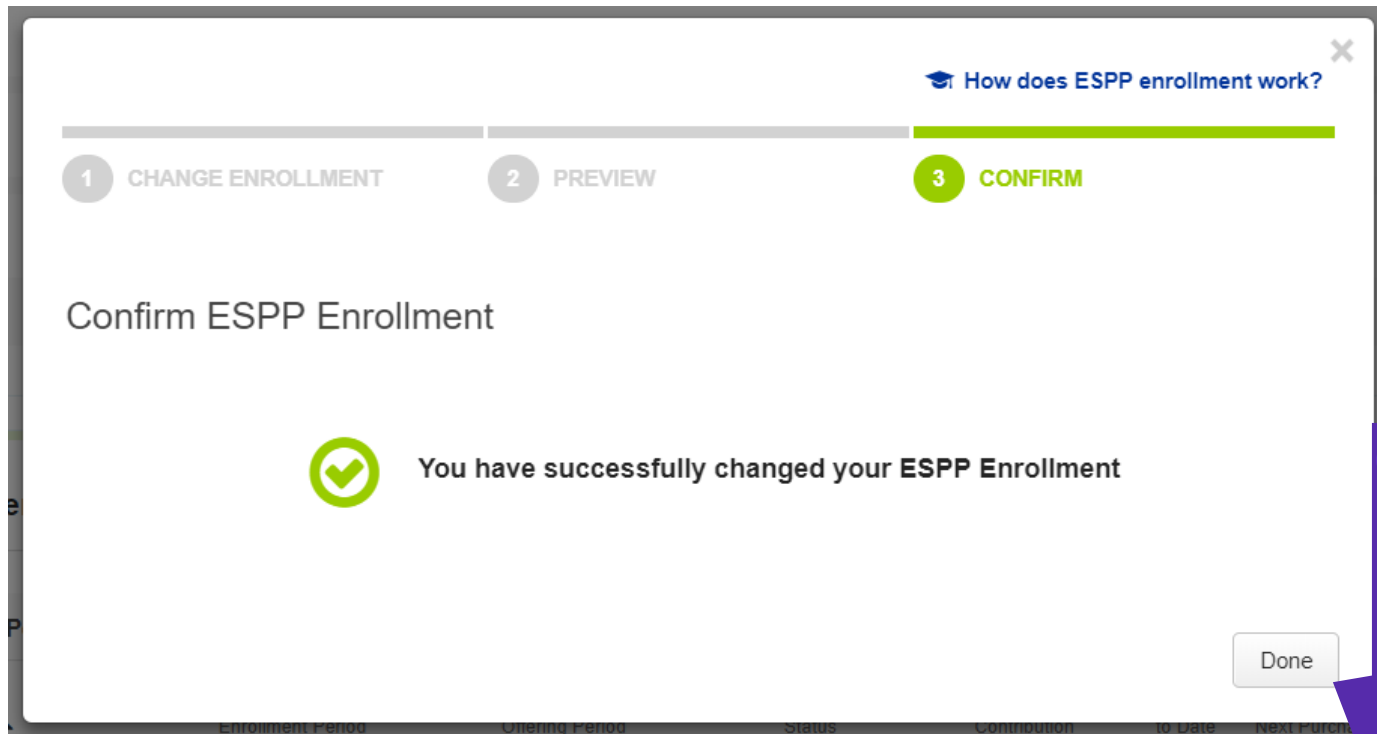
At the bottom of the form, there are three buttons: 'Back', 'Cancel', and 'Continue'. Below the buttons, a note states: 'We'll send your confirmation to CUSTOMER@EMAIL.COM. Send my confirmation to a different email address'. A link 'How does ESPP enrollment work?' is visible in the top right corner.

1 Review your ESPP contributions.

2 If you agree with the contribution, click "Continue".

Option 1 step 3: Confirmation

Next you will receive the following confirmation. You have completed the enrollment process.



1 Click "Done" to go back to complete the process and go back to the Plan Elections page.

Option 2 step 1: Activate account

If you decide to activate your account, you will be directed to the online account activation process. **Complete the activation process** based on your general employment information and what you received in your activation email. If you have any questions regarding the activation process, please reach out to your stock plan team for additional information.

The screenshot shows the E*TRADE account activation process. At the top, there is a navigation bar with the E*TRADE logo, a security notice, a phone number (1-800-838-0908), and a 'NEED HELP?' link. Below the navigation bar, there is a progress indicator with four steps: 1. VERIFY & START YOUR APPLICATION (highlighted in green), 2. PERSONAL INFORMATION, 3. ACCOUNT PREFERENCES, and 4. CONFIRM & SUBMIT. A language selection dropdown is set to 'English'. The main heading is 'Welcome to E*TRADE!' followed by 'Let's set up your Employee Stock Plan Account.' Below this, there is a sub-heading 'Please start by entering your company's name or ticker symbol as listed on the Stock Exchange:' and a text input field for 'Company Name / Ticker'. Another sub-heading is 'Please enter your U.S. Social Security Number (SSN). If you do not have a SSN, use your Employee ID instead:' with two input fields for 'Social Security Number' and 'Employee ID'. A third sub-heading is 'Please enter the authentication code you received by email or mail:' with an input field for 'Authentication Code' and a 'Request a new code' link. A green 'CONTINUE' button is at the bottom left.

(first screen)

2 Click "Continue" to start the activation process.

1 Choose your language.

The screenshot shows the final step of the E*TRADE account activation process. At the top, there is a navigation bar with the E*TRADE logo, a security notice, a phone number (1-800-838-0908), and a 'NEED HELP?' link. Below the navigation bar, there is a language selection dropdown set to 'English'. The main heading is 'Congratulations! Your account is now set up!'. Below this, there is a sub-heading 'Your Account Name and Number are: 12345678-ABCD'. A section titled 'What to do next?' contains the text: 'Simply log on with the username and password you selected and start exploring your new account. You'll be able to make online transactions within 24 hours.' and 'A Welcome Kit with helpful information will be mailed to you shortly. If you need assistance or have questions, please call us at 1-800-838-0908.' A green 'Log On Now' button is at the bottom left.

(last screen)

3 Once activation is complete, click "Log On Now".

Option 2 step 2: Log onto account

Once you complete activation, go to etrade.com to log onto your account to complete enrollment.

E*TRADE Bank Stock Plans Contact Us

E*TRADE Account Types Investment Choices Planning Trading Pricing Knowledge Open an account

Brokerage Retirement Managed Portfolios Small Business

Investing Ideas

From Top 5 lists to trends, articles and independent research, E*TRADE has what you need to spot investment opportunities.

[Learn more](#)

1 Enter the User ID and Password you created during the activation process and click "Log on".

Sign in

 Remember User ID
Go to:
Accounts ▼ Log on
[Forgot User ID or Password?](#)
[Didn't create your account online? Set up online account access](#)
[Security Center](#) 中文

Option 2 step 3: Enroll in Action Items

Go to Stock Plan > Overview and view the Action Items.

1 Click on "Stock Plan".

Overview Holdings Sell Exercise My Account Knowledge Tax Information

My Stock Plan

Stock Plan (DDBL) - 0997

English USD Review Your Action Items (4) Help

Total Account Value **\$330,984.72 (+1.60%)** Current Account Value **\$29,225.37** Potential Benefit Value **\$301,759.34**

DemoCorp Symbol: **DDBL** Last Price: **\$27.82** Today's Change: **\$0.42 (+1.53%)**

Overview Holdings Sell Exercise My Account Knowledge

Review Your Action Items
You have 4 action items to consider

- Enroll in your ESPP**
Enrollment Period End: 12/31/2018
Enroll
- Accept your new grant**
Grant Date: 03/15/2017
Enroll

2 Go to the "Overview" tab.

3 Click "Enroll" next to the desired program.

Option 2 step 4: Select plan

On the Plan Elections page, scroll down and select the ESPP program in which you would like to enroll.

The screenshot shows the E*TRADE 'My Stock Plan' interface. At the top, there are navigation tabs for Accounts, Trading, Research, Plan & Invest, and Stock Plan. Below this, there are sub-tabs for Overview, Holdings, Sell, Exercise, My Account, Knowledge, and Tax Information. The main content area is titled 'My Stock Plan' and includes a dropdown menu for 'Stock Plan (DDBL) - 0997'. To the right, there are language and currency settings (English, USD) and a 'Review Your Action Items (4)' link. Below this, there are three summary cards: 'Total Account Value' (\$345,321.73, +0.09%), 'Current Account Value' (\$31,581.57), and 'Potential Benefit Value' (\$313,740.16). To the right of these cards is a 'DemoCorp' stock summary for DDBL, showing a last price of \$28.98 and a today's change of \$0.13 (+0.45%). Below the summary cards are tabs for Overview, Holdings, Sell, Exercise, My Account, and Knowledge. Under the 'My Account' tab, there are links for Plan Elections, Contributions, Benefit History, Orders, Gains & Losses, Stock Plan Confirmations, and Company Resources. The 'Plan Elections' section is expanded, showing 'ESPP Enrollment' and 'Active Offering Periods (1)'. A table lists the offering periods, and an 'Enroll' button is visible next to the selected offering period.

Plan Name	Enrollment Period	Offering Period	Status	Current Contribution	Contributions to Date	Next Purchase	Action
ESPP Plan 1	02/21/2018 - 12/31/2018	01/01/2018 - 12/31/2018	Not Enrolled	--	--	06/30/2018	Enroll

1 Find the offering period in which you would like to enroll.

2 Click "Enroll".

Option 2 step 5: Select contribution

1

Select whether you would like to contribute based on dollar amount or percentage and then enter the associated contribution.

2

Review and acknowledge your ESPP plan document.

3

Click "Continue".

How does ESPP enrollment work?

1 CHANGE ENROLLMENT 2 PREVIEW 3 CONFIRM

ESPP Enrollment

Make a change to your stock purchase plan contribution amount / percentage

Set contribution amount to: 0 USD (Between \$1 and \$2500)

Set contribution percentage to: 0 % (Between 1% and 15%)

Plan Acknowledgement (Note: You must open all documents)

[ESPP Plan Document](#)

Cancel Continue

Enrollment History

Plan Name	ESPP Plan 1
Offering Period	01/01/2018-12/31/2018
Last Day to Withdraw	--

History

Enrolled	Action Date
--	--
Last Action	Previous Rate

NOTE: For additional information on ESPP enrollment, click here.

Option 2 step 6: Preview enrollment

The screenshot shows a three-step process for ESPP enrollment. Step 1 is 'CHANGE ENROLLMENT', Step 2 is 'PREVIEW' (highlighted in green), and Step 3 is 'CONFIRM'. The main content area is titled 'Preview ESPP Enrollment' and contains a light green box with the following information:

Activity:	Contribution Percentage:
Enrolled	5%

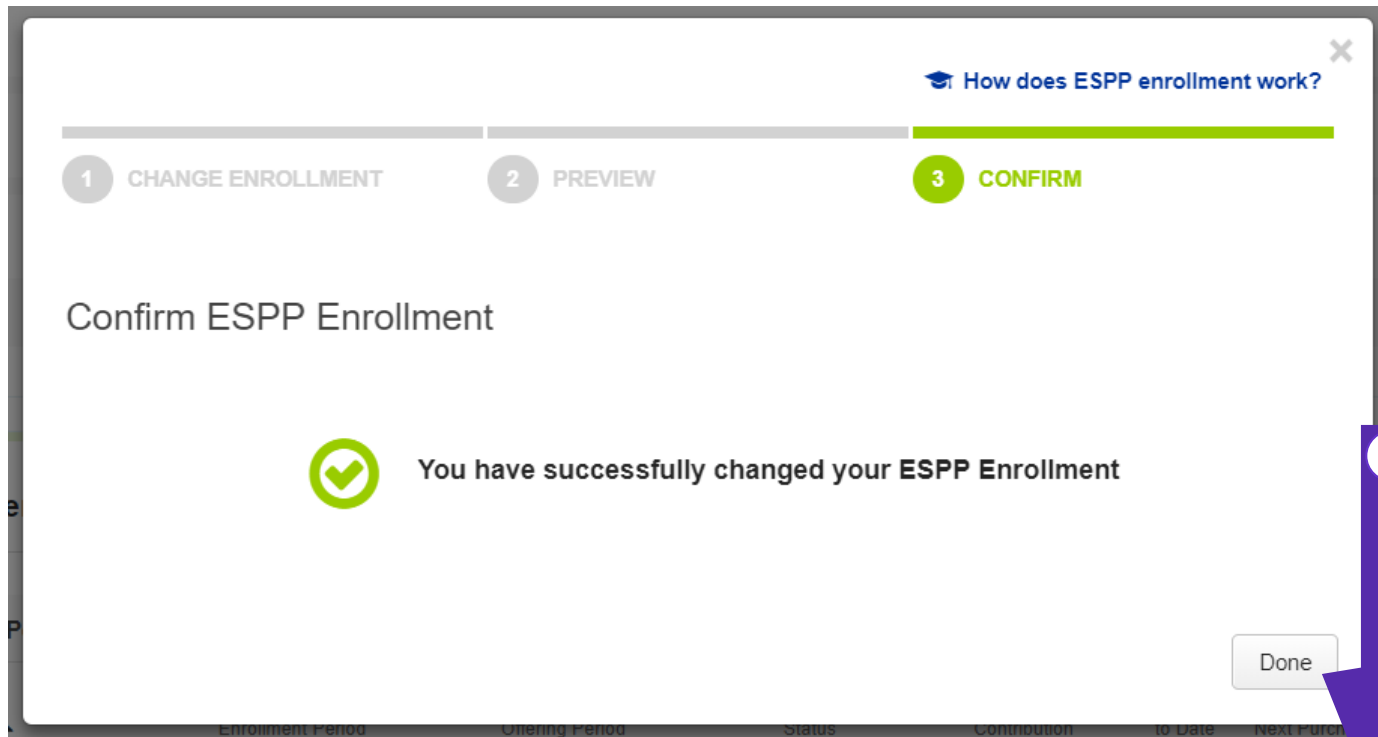
At the bottom of the form, there are three buttons: 'Back', 'Cancel', and 'Continue'. Below the buttons, there is a confirmation message: 'We'll send your confirmation to **CUSTOMER@EMAIL.COM**. Send my confirmation to a different email address'. At the top right, there is a link: 'How does ESPP enrollment work?'. At the bottom of the form, there are labels for 'Changes Allowed' and 'Purchase Date'.

1
Review your
ESPP
contributions.

2
If you agree
with the
contribution,
click
"Continue".

Option 2 step 7: Confirm enrollment

Next you will receive the following confirmation. You have completed the enrollment process.



1
Click "Done" to close the window and go back to the Plan Elections page.