

NETXINVESTOR REGISTRATION GUIDE

Below are step-by-step instructions for an investor with brokerage accounts held with Pershing, LLC. to be able to register and set up online access to their accounts as well as assist with setting up eDelivery preferences.

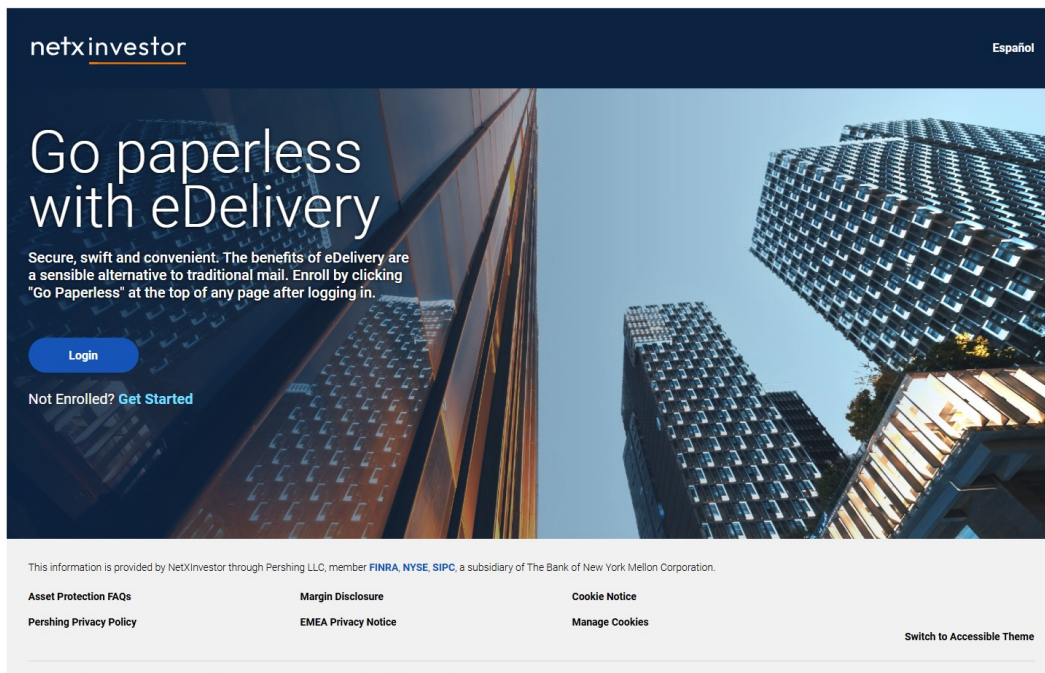
Eligible registration types include but are not limited to:

1. Individual
2. Joint
3. Traditional IRA
4. Roth IRA
5. Rollover IRA

Ineligible Accounts for Self-registration:

- Accounts that are not under a natural person or Social Security number (SSN)
- Accounts under a TIN

1. Go to www.netxinvestor.com.
2. Select the **Get Started** hyperlink.



The screenshot shows the netxinvestor website homepage. The header includes the netxinvestor logo and a language selector for "Español". The main content area features a large image of modern skyscrapers with the headline "Go paperless with eDelivery". Below the headline, a sub-headline reads: "Secure, swift and convenient. The benefits of eDelivery are a sensible alternative to traditional mail. Enroll by clicking 'Go Paperless' at the top of any page after logging in." There is a blue "Login" button and a link for "Not Enrolled? Get Started". The footer contains a disclaimer: "This information is provided by NetXInvestor through Pershing LLC, member FINRA, NYSE, SIPC, a subsidiary of The Bank of New York Mellon Corporation." Below the disclaimer are links for "Asset Protection FAQs", "Margin Disclosure", "Cookie Notice", "Pershing Privacy Policy", "EMEA Privacy Notice", and "Manage Cookies". A "Switch to Accessible Theme" link is located in the bottom right corner of the footer.

3. Enter the first three characters of your account number, then select **Start**.

Online Registration

Welcome 2 Terms & Conditions 3 User Information 4 Identity Verification 5 User ID & Password 6 Confirmation

Welcome

The registration process will allow you to create a new user ID and password with which to access your investment information on this site.

Please contact your financial organization if you have an existing user ID and wish to link additional accounts.

You will be guided through 4 simple steps to complete your registration, during which you will be asked to:

1. Review and agree to the Terms and Conditions regarding the use of this website
2. Provide user information, including an e-mail address
3. Verify your identity
4. Create a user ID and secure password

At the end of the process you will have to activate your ID by clicking a link in an e-mail that will be sent to the e-mail address you provided.

Please enter the first three characters of your account number

4. The Terms & Conditions will appear, read through, check the box "I Agree," and select **Continue**.

NETXINVESTOR

Online Registration

Welcome **Terms & Conditions** 3 User Information 4 Identity Verification 5 User ID & Password 6 Confirmation

Terms & Conditions

Identity Verification Agreement

Read and agree to the terms and conditions of the Identity Verification Agreement before proceeding.

You must have a Social Security number to register on this site. If you do not have a Social Security number, please contact your financial organization for assistance.

In addition, you must register using an account for which your Social Security number is primary on the account. For example, you cannot register using a joint account if you are not listed as the primary account holder.

When registering on this site, you will be asked a series of multiple-choice questions. The questions have been developed by a third-party vendor based on information obtained from private and public databases. Your answers are compared by the vendor to the information available from these sources.

You may be asked questions about yourself, people you know or were once associated with, places you have lived or worked, and the like. The information used in these questions is not related in any way to the information on the specific account(s) held at your financial organization.

We strongly encourage you to review the [Frequently Asked Questions](#) about online registration, which provide greater detail about the identity verification process.

Successful online registration will provide immediate access to your accounts. At this time, accounts without a Social Security number are not eligible for online registration. In addition, if your Social Security number is not recognized as being associated with the account number you enter into the system, your online registration will be unsuccessful.

To continue with online registration, please click I Agree below.

If you are ineligible for online registration, or you do not want to complete the registration process online, click Cancel below and contact your financial organization to register.

By accepting this Agreement, you affirm that you are at least 18 years of age.

Read and agree to the terms and conditions of the Identity Verification Agreement before proceeding.

I agree

- Next, under User Information, the investor will be asked to provide their personal information (all fields are required).

The screenshot shows the 'User Information' step of the registration process. The progress bar at the top indicates the current step is 'User Information', with previous steps 'Welcome', 'Terms & Conditions', and 'Identity Verification' completed, and 'User ID & Password' and 'Confirmation' yet to be reached. The page title is 'Online Registration'. Below the title, there is a 'User Information' section with a sub-header and instructions: 'Provide the following information, which will be used to authenticate your identity. This service is provided by a third-party vendor. Authenticating your identity in this manner will NOT impact your credit rating. Please do not click the "Back" button in your browser during the registration process. All fields are required.' The form contains several input fields: 'First Name', 'Last Name', 'Legal Address Line 1', 'Legal Address Line 2 (optional)', 'Zip Code', 'City', 'State' (a dropdown menu), 'Phone Number', 'Social Security Number', and 'Date of Birth' (with a 'mm/dd/yyyy' placeholder). There is also an 'Account Number' field with a note: 'Please enter an account number where you are a primary account holder or participant.' At the bottom of the form are 'Cancel' and 'Continue' buttons. A small asterisked note at the bottom left states: '*This service is provided by BMC Corporation (NYSE: BMC), a leading developer and provider of information infrastructure technology and solutions.'

- On the next tab, Identity Verification, questions will be provided to verify the investors identity. Select **Continue**.

The screenshot shows the 'Identity Verification' step of the registration process. The progress bar at the top indicates the current step is 'Identity Verification', with previous steps 'Welcome', 'Terms & Conditions', and 'User Information' completed, and 'User ID & Password' and 'Confirmation' yet to be reached. The page title is 'Online Registration'. Below the title, there is an 'Identity Verification' section with a sub-header and instructions: 'Please answer the following required questions to verify your identity.' The first question is: 'In which of the following housing complexes or communities have you ever lived or owned property?'. Below this question are five radio button options: 'Fairview', 'North', 'Oak Park', 'Original Town Of Iowa City', and 'Peirces'. A sixth option is 'I have never been associated with any of these communities'. At the bottom of the form are 'Cancel' and 'Continue' buttons.

7. Next, on the User ID & Password tab, the investor will create a user ID and password for NetXInvestor. Select **Continue**.

The screenshot shows the 'User ID & Password' registration step in the NetXInvestor system. The page features a dark blue header with the 'NETXINVESTOR' logo and the title 'Online Registration'. A progress bar at the top indicates the current step is 'User ID & Password', with previous steps (Welcome, Terms & Conditions, User Information, Identity Verification) and the next step (Confirmation) also visible. The main content area is titled 'User ID & Password' and includes a sub-header 'Create your user ID and Password to complete the registration'. The form contains several input fields: 'User ID', 'Password', 'Confirm Password', 'Email Address', 'Confirm Email Address', 'Mother's Maiden Name', and 'Date of Birth'. The 'Date of Birth' field is pre-filled with '08/17/1991'. To the right of the form, there are 'Password Rules' listed as bullet points. At the bottom of the form, there are 'Cancel' and 'Continue' buttons.

NETXINVESTOR

Online Registration

Welcome Terms & Conditions User Information Identity Verification **User ID & Password** Confirmation

User ID & Password

Create your user ID and Password to complete the registration

User ID

Password Confirm Password

Email Address Confirm Email Address

Mother's Maiden Name Date of Birth 08/17/1991

Cancel Continue

Password Rules

- not contain same as the user Id
- contain a minimum of 8 and a maximum of 32 characters
- contain at least one alpha and one numeric character
- not contain linked account(s) name.
- contains at least one uppercase and one lowercase letter
- **Tip:** Passwords can contain the following special characters: & * @ : \$ = ! - % . # ? _ |

Password Parameters:

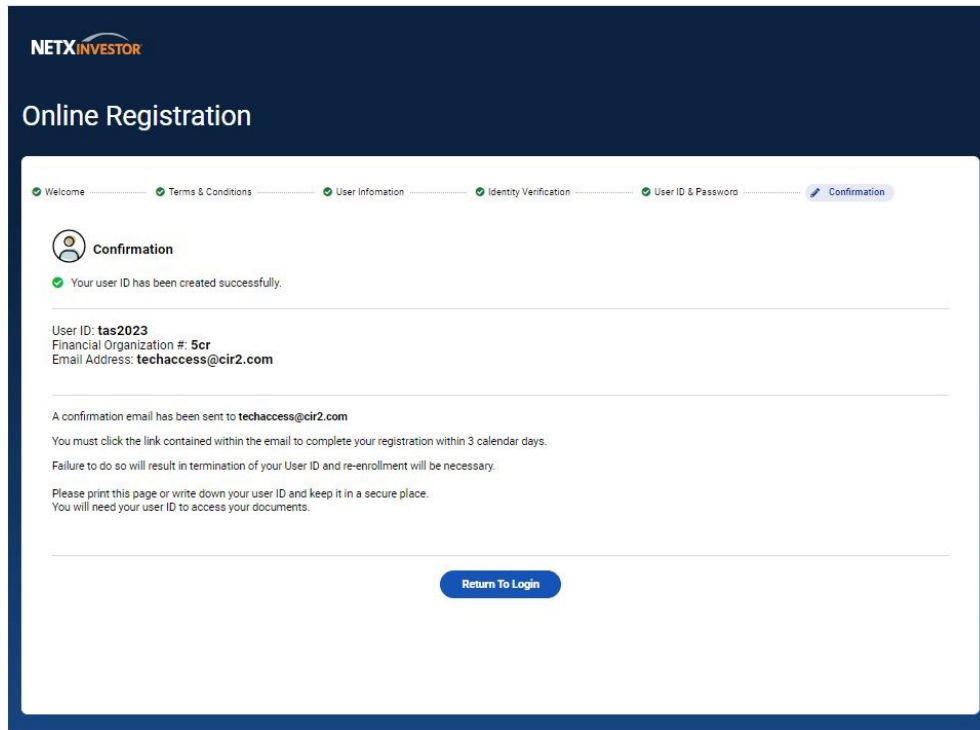
Tip: Passwords can contain the following special characters:

& * @ : \$ = ! - % . # ? _ |

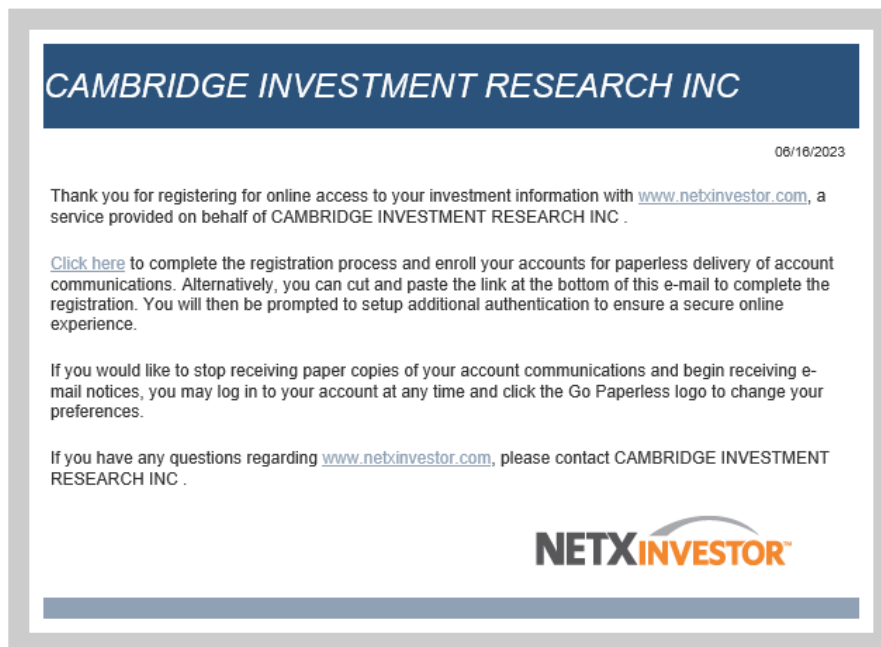
To create an acceptable password your password must:

1. Not contain same as the user ID
2. Contain a minimum of 8 and maximum of 32 characters
3. Contain at least one alpha and one numeric character
4. Not contain linked account(s) name
5. Contain at least one uppercase and one lowercase letter

8. Lastly, on the Confirmation tab, the User ID and email address you provided will display. An email has now been sent to you.

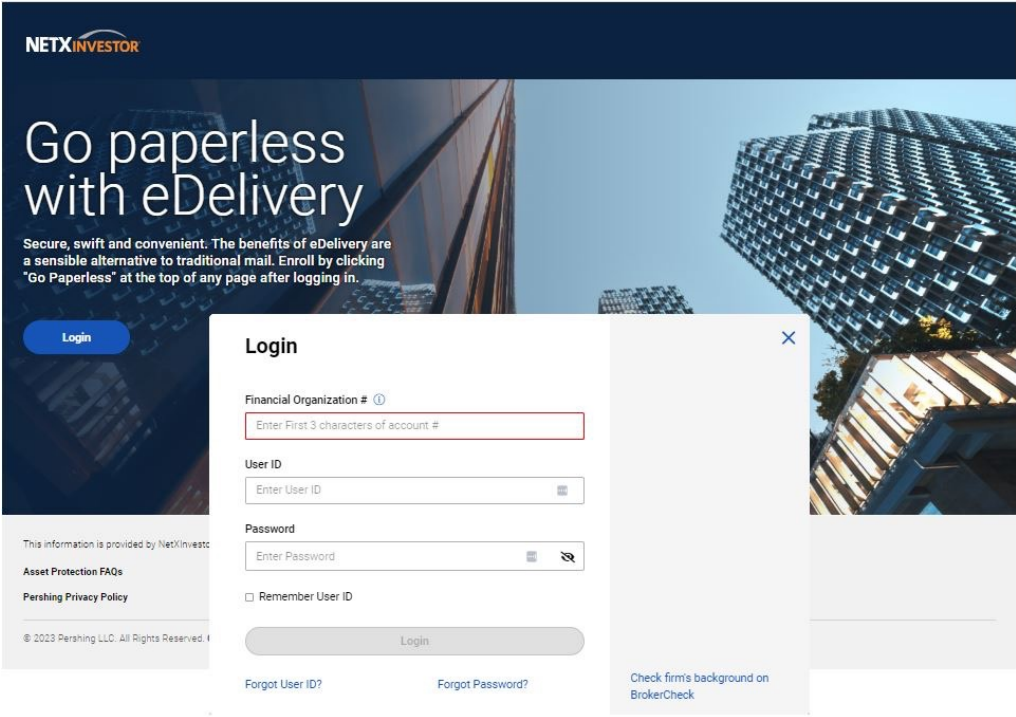


9. Once you receive the email like the example below, select **Click Here**. You will be taken to the login screen for NetXInvestor.

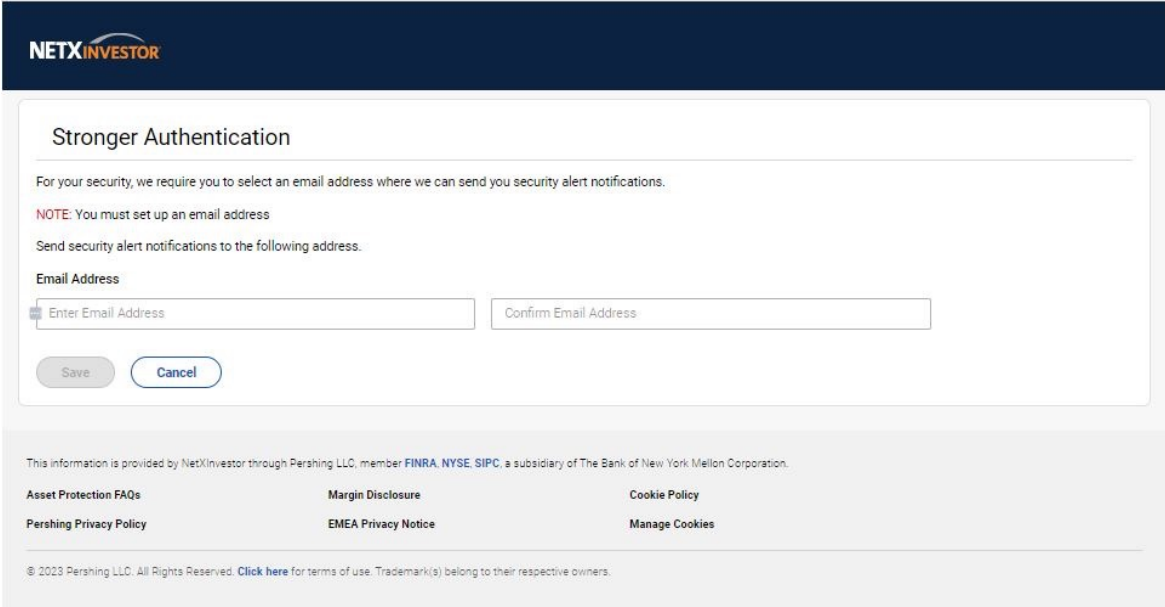


10. To finish the registration process, select **Login**.

11. Under Financial Organization #, enter **5CR**, followed by your user ID and password, select **Login**.



12. On the next screen, Stronger Authentication, the investor will enter and re-enter an email address where security alert notifications will be received.



Once entered, the investor will receive an email like the below.



Dear Client,

Our records indicate that on 05/16/2023, the security email address associated with your CAMBRIDGE INVESTMENT RESEARCH INC account was updated. You previously provided this email address and we use it to send important messages related to your accounts and account security.

If you did not make this update, please contact CAMBRIDGE INVESTMENT RESEARCH INC for further assistance. Your timely response to this message helps ensure the security of your account.

This message is automatically generated. Please do not reply directly to this message.

Thank you.

- Next is the One-Time Passcode Setup window, this will be used as two-factor authentication for your NetXInvestor login.

The screenshot shows the "One-Time Passcode Setup" page. At the top is the NETX INVESTOR logo. Below the title, there is a horizontal line and a paragraph explaining that the one-time passcode is a temporary code sent to a selected device. A red "NOTE" states that at least one contact method must be set up and verified. Below this is a "Contact Method" section with a dropdown menu labeled "Select Contact Method". At the bottom of the main content area, there is a small text line: "Text STOP to 75780 or 59422 to cancel | Text HELP to 75780 or 59422 for help or call your Representative | Message & data rates may apply: SMS Terms & Conditions". Below the main content area is a footer section with a disclaimer: "This information is provided by NetXInvestor through Pershing LLC, member FINRA, NYSE, SIPC, a subsidiary of The Bank of New York Mellon Corporation." Below the disclaimer are three columns of links: "Asset Protection FAQs", "Margin Disclosure", and "Cookie Policy" in the first row; "Pershing Privacy Policy", "EMEA Privacy Notice", and "Manage Cookies" in the second row. At the very bottom of the footer is the copyright notice: "© 2023 Pershing LLC. All Rights Reserved. Click here for terms of use. Trademark(s) belong to their respective owners."

- Under Contact Method, choose from SMS/Text, Email, or Voice Call to receive a one-time passcode. Enter the phone number and device nickname (device nickname is required). Select **Verify**.

SMS/Text Option

NETXINVESTOR

One-Time Passcode Setup

The one-time passcode is a temporary code we send to your selected device to confirm your identity. [Tell me more about OTP](#)

NOTE: You must set up and verify at least one contact method.

Contact Method [ⓘ] Phone Number [ⓘ] Device Nickname [ⓘ]

SMS/Text Enter Phone Num: Enter Nickname

Text STOP to 75790 or 59422 to cancel | Text HELP to 75790 or 59422 for help or call your Representative | Message & data rates may apply: [SMS Terms & Conditions](#)

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Email Option

NETXINVESTOR

One-Time Passcode Setup

The one-time passcode is a temporary code we send to your selected device to confirm your identity. [Tell me more about OTP](#)

NOTE: You must set up and verify at least one contact method.

Contact Method [ⓘ] Email Address [ⓘ] Device Nickname [ⓘ]

Email Enter Nickname


Text STOP to 75790 or 59422 to cancel | Text HELP to 75790 or 59422 for help or call your Representative | Message & data rates may apply: [SMS Terms & Conditions](#)

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Voice Option



One-Time Passcode Setup

The one-time passcode is a temporary code we send to your selected device to confirm your identity. Tell me more about OTP

NOTE: You must set up and verify at least one contact method.

Contact Method [?] Phone Number [?] Device Nickname [?]

Voice +1 United ... Enter Phone Numt Enter Nickname Verify Delete

Text STOP to 75760 or 59422 to cancel | Text HELP to 75760 or 59422 for help or call your Representative | Message & data rates may apply: SMS Terms & Conditions

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- Next, the investor will be required to enter the one-time passcode they received via the Contact Method chosen.

OTP Verification

We sent you a One Time Passcode (OTP) to verify the phone number you provided.

The code was sent to +1712 [REDACTED]

Enter One Time Passcode.

VERIFY CANCEL

NOTE:
You should receive a code within seconds.
The code expires in 30 minutes.

If you replied STOP to any of your previous messages, you will not receive the code.
For help, Call your help Desk.

Didn't Receive a Code? Please make sure:

The code is being sent to the correct phone number.

Your mobile provider or SPAM filters do not block third party messaging.

If you are unsure, contact your provider.

Send A New Code

16. The client's Contact Method will show as verified, and the investor can select **Remember My Device**. Checking that box will eliminate the requirement to get a one-time passcode upon login for 120 days on that specific device.

NETX INVESTOR

One-Time Passcode Setup

The one-time passcode is a temporary code we send to your selected device to confirm your identity. Tell me more about OTP

NOTE: You must set up and verify at least one contact method.

Contact Method	Phone Number	Device Nickname	Status	Action
SMS/Text	+17127900510	Cell	Verified	Delete

[Add Another Method](#)

Remember My Device

Would you like to access Cambridge Investment Research, Inc. from this device in the future without the need for entering One-Time Passcode? You can choose to remember this device.

Remember My Device

NOTE: Your device will be remembered for 120 days.

[Save](#) [Cancel](#)

Text STOP to 75790 or 59422 to cancel | Text HELP to 75790 or 59422 for help or call your Representative | Message & data rates may apply: SMS Terms & Conditions

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[Pershing Privacy Policy](#) [EMEA Privacy Notice](#) [Manage Cookies](#)

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If the investor chooses **Remember My Device**, they will receive an email like the example below:



Dear Client,

Our records indicate that on 05/16/2023, the "Remember My Device" feature was enabled on your CAMBRIDGE INVESTMENT RESEARCH INC account. This feature allows you to access your account from the device you selected for 120 days without being prompted for additional security information.

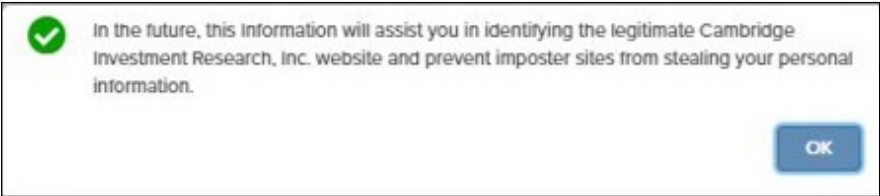
If you did not enable this feature, please contact CAMBRIDGE INVESTMENT RESEARCH INC for further assistance. Your timely response to this message helps ensure the security of your account.

We recommend you use a unique, strong password for each online system or application that you use.

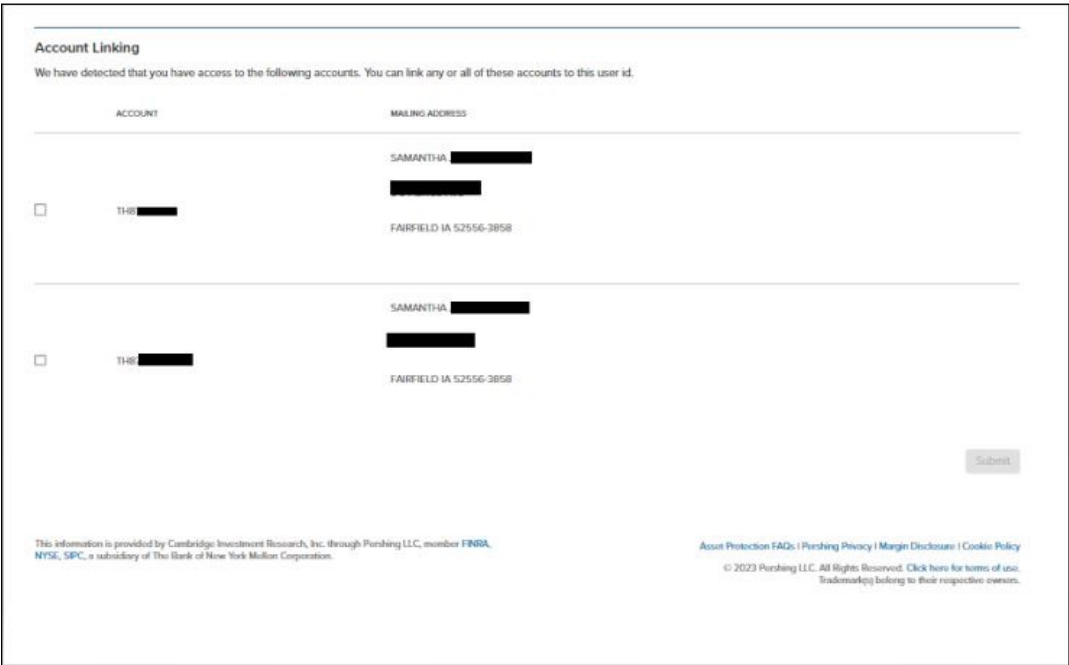
This message is automatically generated. Please do not reply directly to this message.

Thank you.

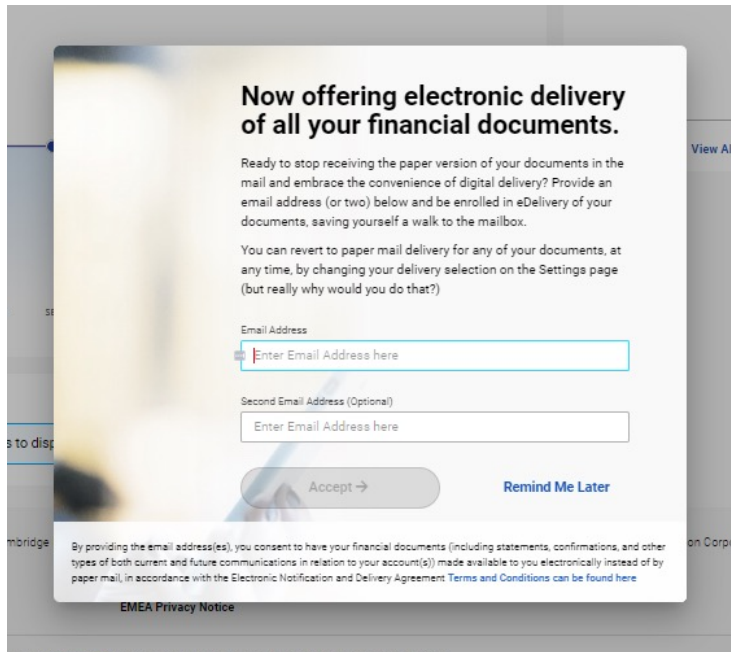
17. A verification pop-up will appear to let you know the information you have provided will be used in the future to access your accounts online.



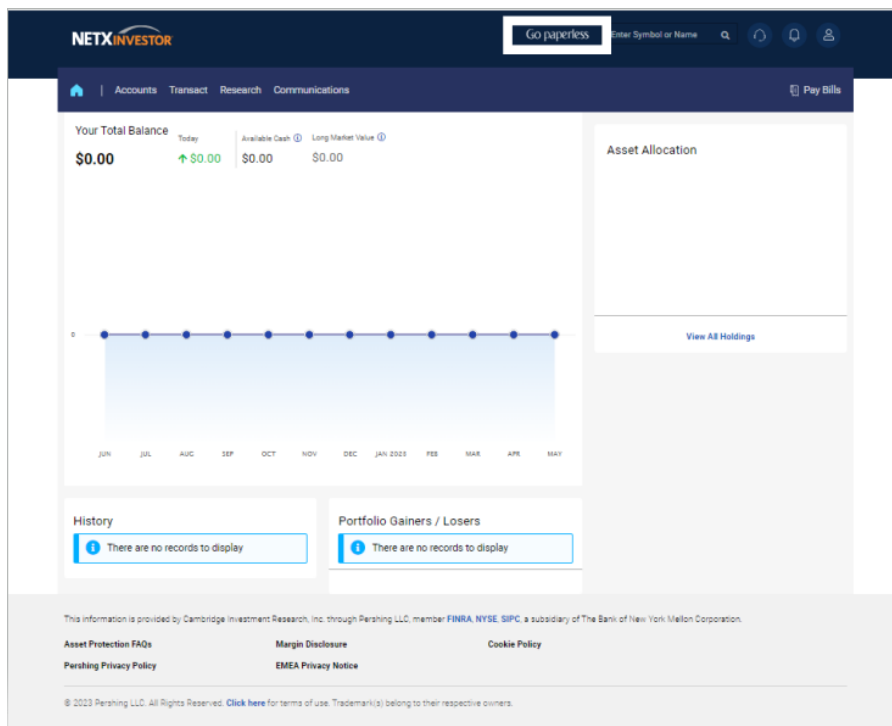
18. If the client registering has an additional eligible account open at the time of registration, they will see the screen below and be able to link their accounts.



19. After going through any additional security measures, a pop-up will appear for you to enroll your accounts in eDelivery.



If you miss the enrollment pop-up or select **Remind Me Later**, eDelivery can be setup from the green **Go Paperless** in the upper right-hand corner of the screen.





For questions, contact the Digital Experience Team (techaccess@cir2.com).

1776 Pleasant Plain Road | Fairfield, Iowa 52556 | 800-777-6080

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