Security Position Reports

SPR REGISTRATION USER GUIDE

VERSION 9.0

MARCH 21, 2025

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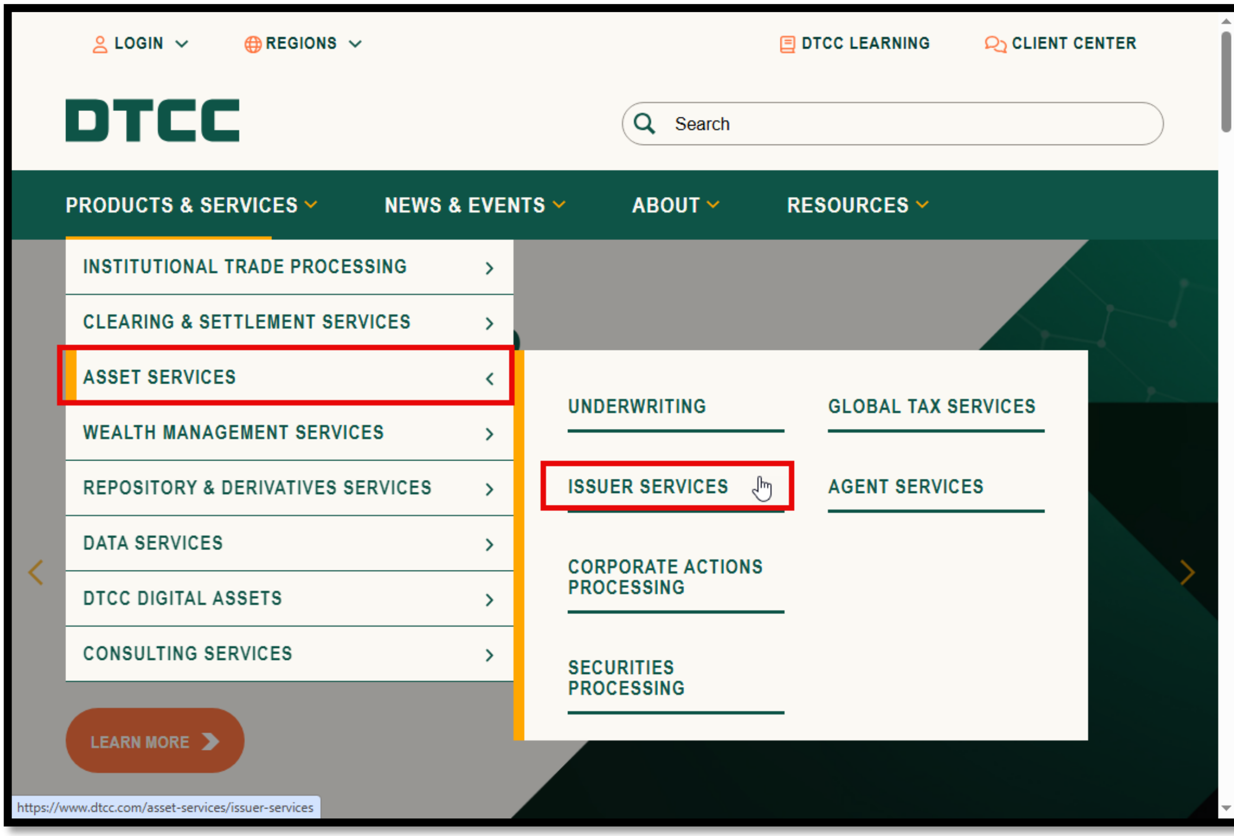
DISCLAIMER

The primary purpose of this user guide is to familiarize clients with Security Position Reports registration. This guide is not intended to serve as a legal document. No statement in this guide should be construed as a legally binding rule or regulation, or as creating an obligation on the part of DTCC or any of its subsidiaries. In addition, any time schedules or time requirements set forth herein are subject to change without notice.

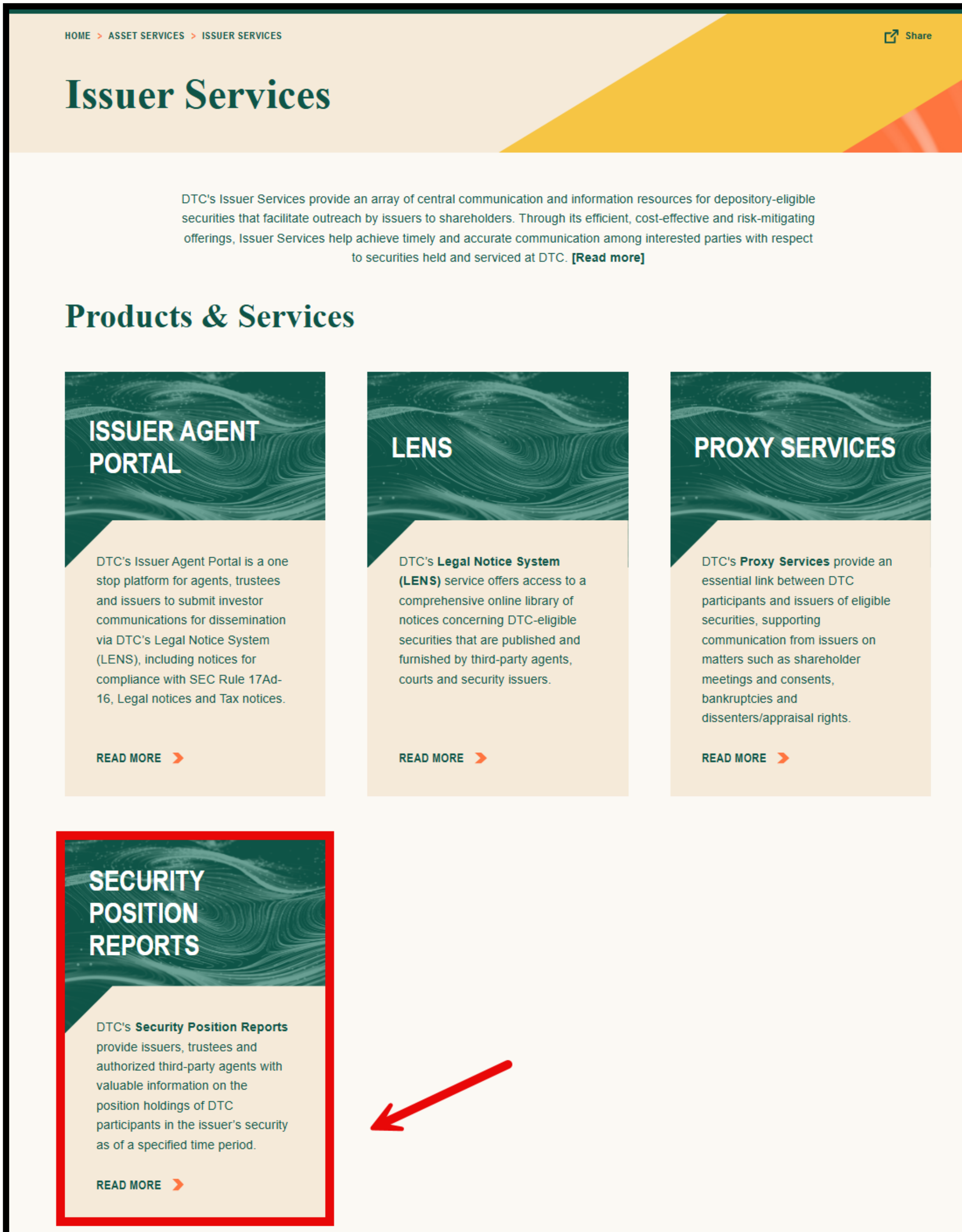
NAVIGATE TO SPR REGISTRATION PAGE

To reach the SPR Registration page on dtcc.com:

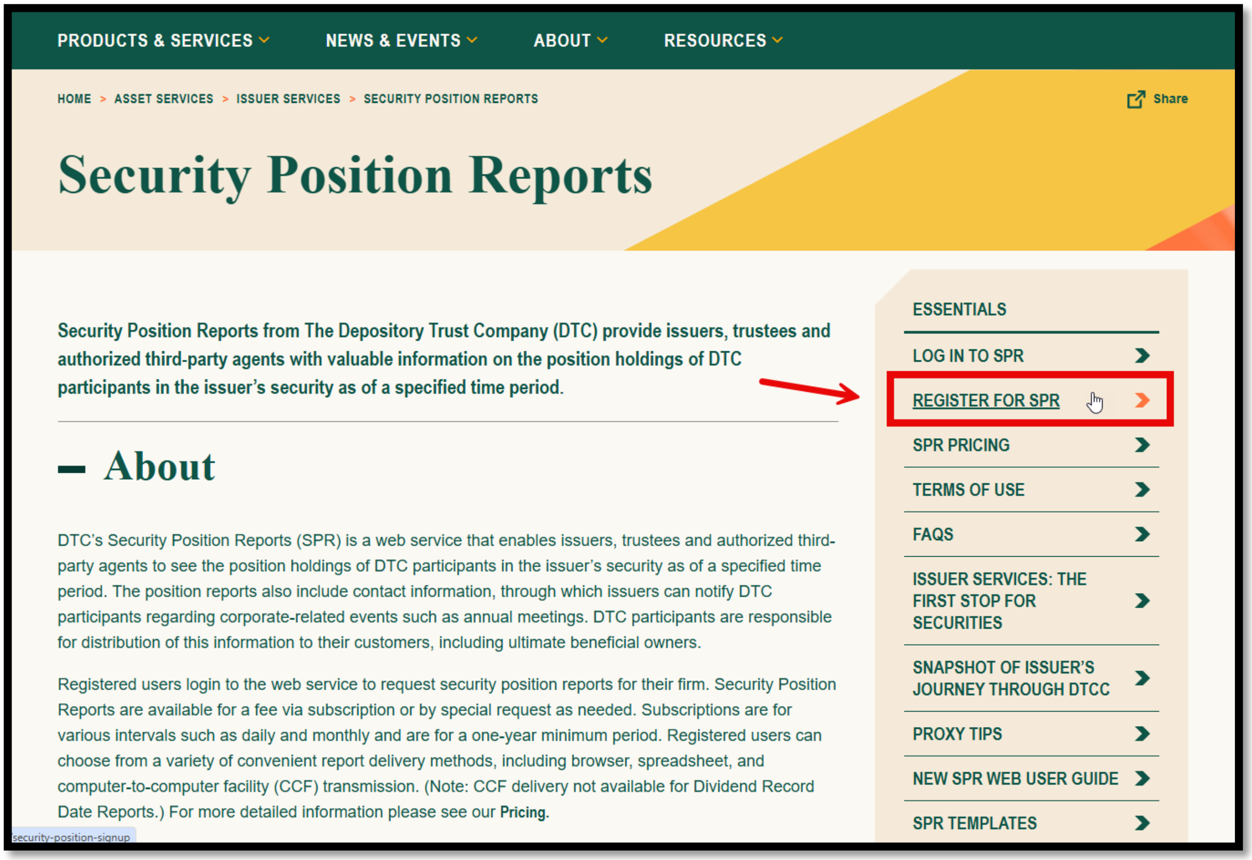
1. From the **Products & Services** menu, hover over **Asset Services**, then click **Issuer Services**.



2. Scroll down to click the “Read More” link under **Security Position Reports** on the Issuer Services page.



3. Click **Register for SPR** (found under **Essentials**).



This URL also brings you to the SPR page (as seen above).

http://www.dtcc.com/spr

This URL brings you directly to the SPR Registration page (as seen in the next section).

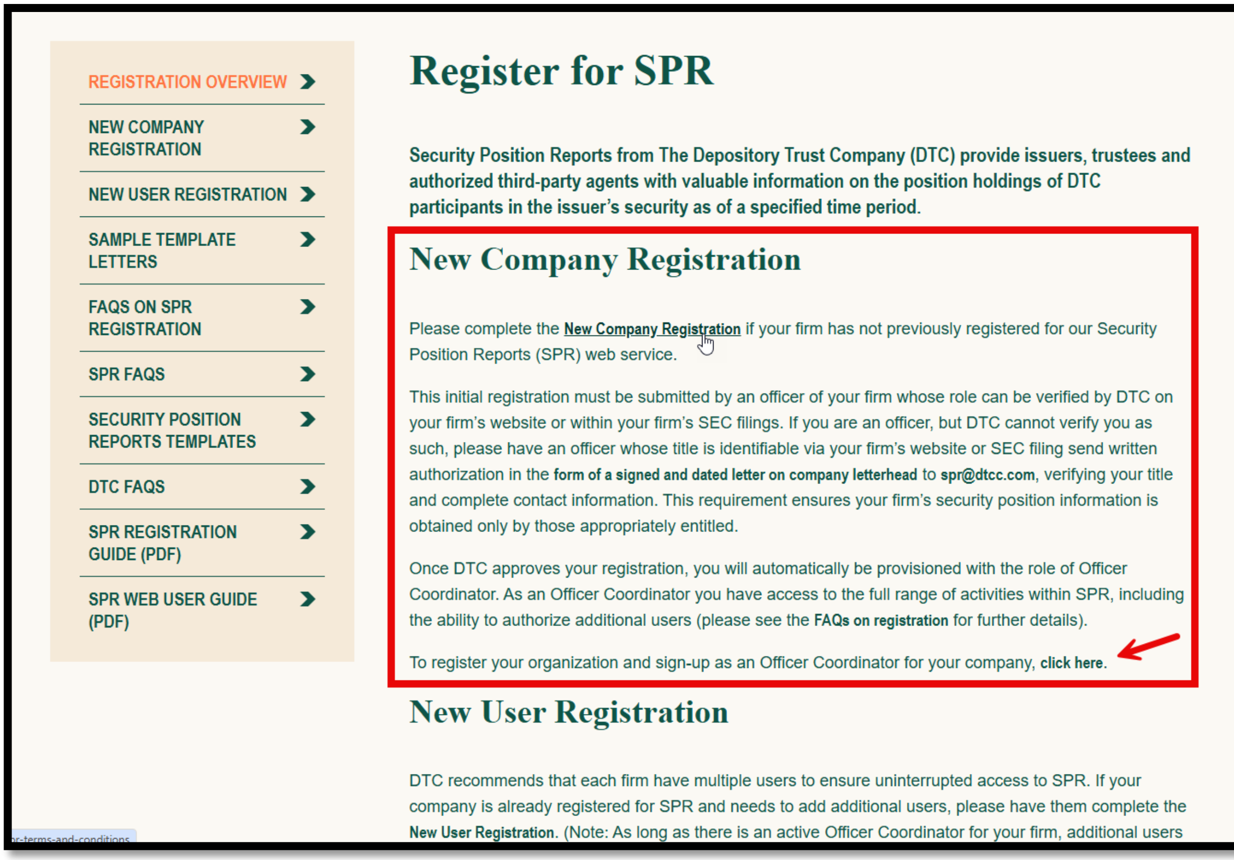
http://www.dtcc.com/asset-services/issuer-services/security-position-signup

NEW COMPANY REGISTRATION

If your firm has not previously registered for SPR, or if your firm has undergone a legal name change, please complete the **New Company Registration**. This initial registration must be submitted by an officer of your firm whose role can be verified by DTC on your firm's website or within your firm's SEC filings.

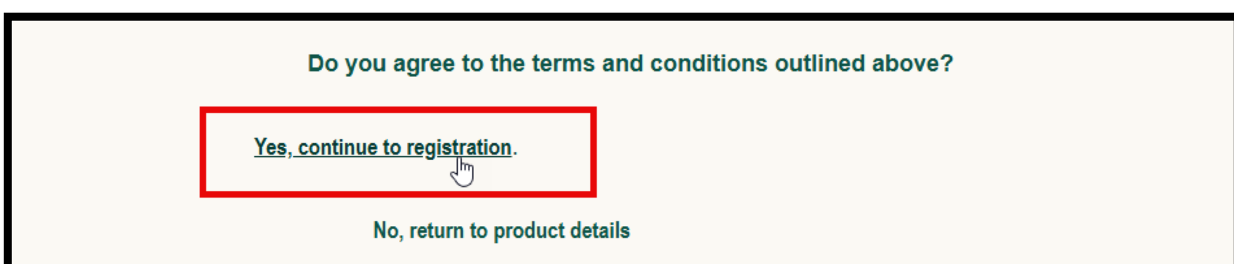
Submitting a New Company Request

1. To register, select "**click here**."



You will then need to agree to the terms and conditions.

2. Once finished reading the **SPR Terms and Conditions: New Company Registration** page, scroll down and click "**Yes, continue to registration**."



3. If you are an officer of your company but DTC will be unable to verify you as such, please have a different officer whose title is identifiable via your firm's website or SEC filings send written authorization in the form of a signed and dated PDF letter on company letterhead to spr@dtcc.com. This letter must verify your title and complete contact information.

For your convenience, sample letters can be found here:

http://www.dtcc.com/asset-services/issuer-services/spr-sample-template-letters

> **Note:**
>
> If the email address you are using to register is not associated with your company's corporate domain, the letter will need to be 1) notarized, and 2) provide an explanation for the discrepancy. In the link above, you may utilize the appropriate sample named "SPR Email Authorization Letter"

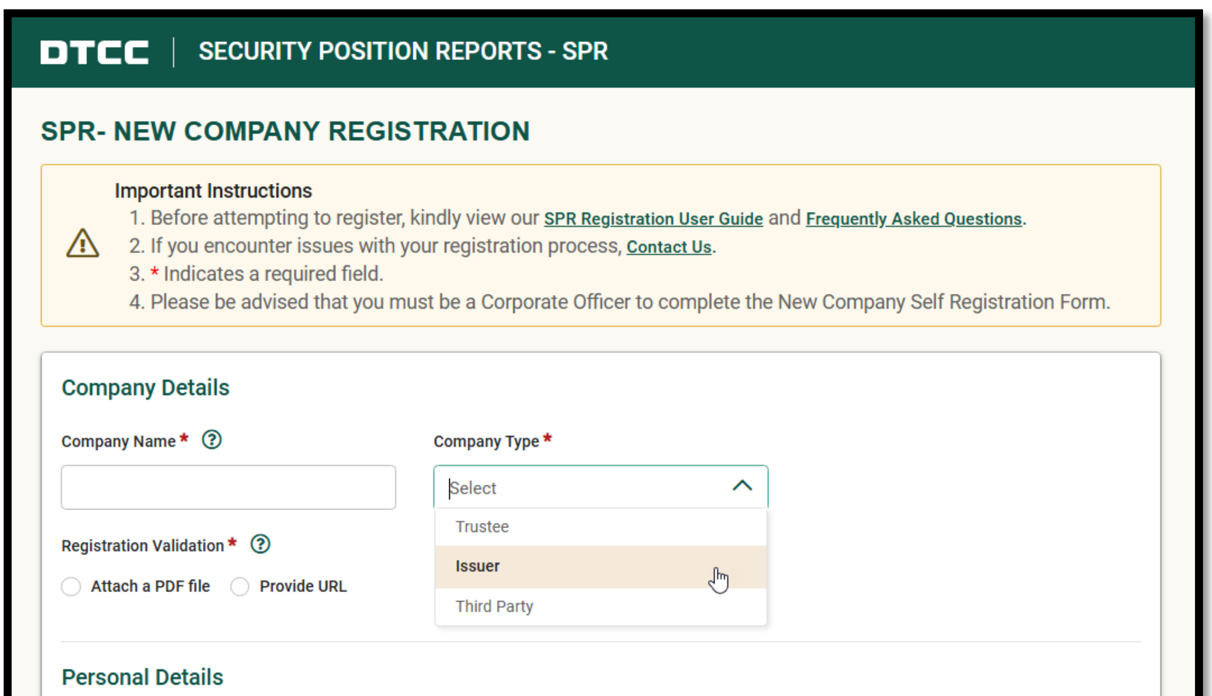
SPR – New Company Registration: Request Form

After agreeing to the terms and conditions, you are brought to the **SPR – New Company Registration** page. Be sure to read the **Important Instructions** and fill out all required fields indicated by a red asterisk (*).

> **Note:**
>
> The form is accompanied by field-specific "tooltips".
>
> For assistance on a completing a particular field, click the associated icon to view more information.

Company Details

1. For **Company Name**, enter your company's full corporate name, inclusive of any suffixes such as Inc, Corp, Ltd, etc.
2. Underneath **Company Type**, select the appropriate access you are looking to register for.



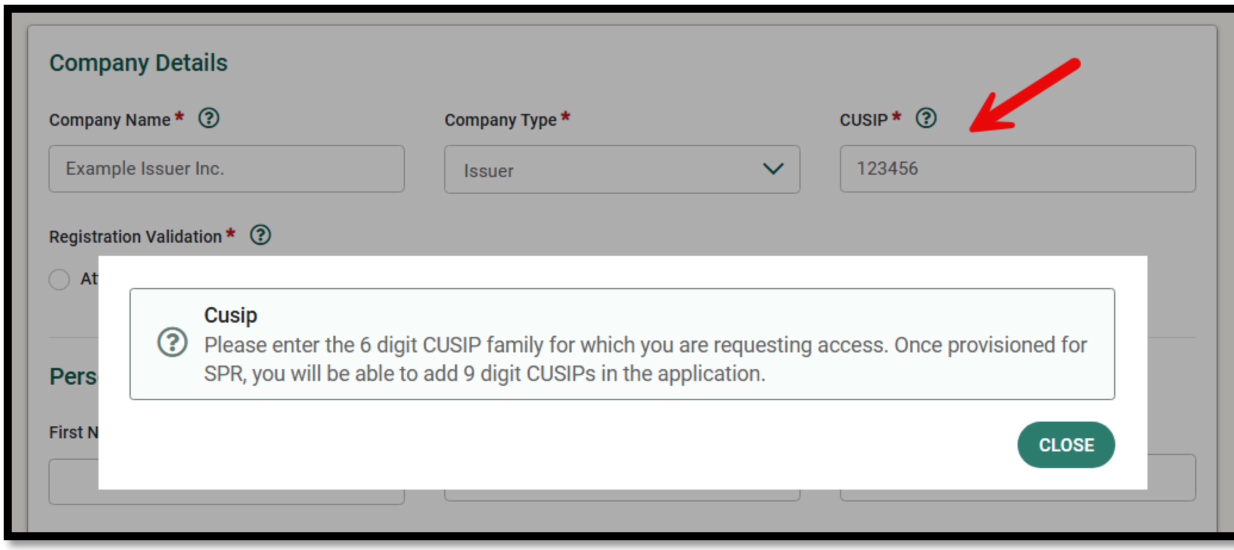
a. Select “Issuer” if your firm is the issuer of the securities for which you are registering for access. You will be required to also enter the first six digits of your CUSIP base later in the form.

b. Select “Trustee” if your firm is the trustee of securities of multiple issuers. You will be able to specify the securities after your registration is approved. See User Roles for more info.

c. Select “Third Party” if your firm performs third party services such as transfer agent, tabulation agent, etc. You will be able to specify the securities after your registration is approved. See User Roles for more info.

3. *** If you selected Trustee or Third Party, skip this step. This field is for Issuer registrations only. ***

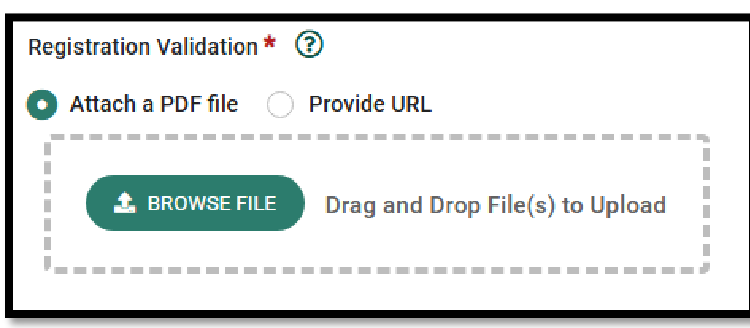
An additional field for **CUSIP** appears beside the Company Type. Enter the base (first six digits) of the CUSIP. This covers authorization to all CUSIPs with the same base. Click **Continue**.



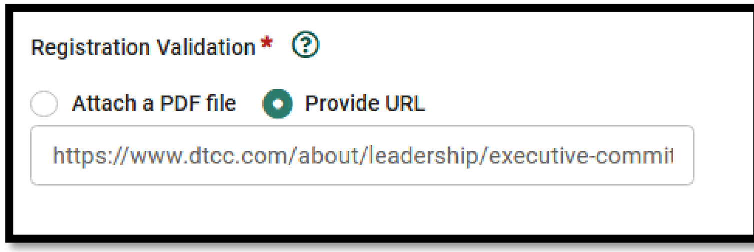
4. Next, provide your **Registration Validation**. This helps DTC to verify your identity as an officer at your firm.

a. You have the option to attach either

1. a PDF (such as a current SEC filing), or



2. a URL linking to the leadership page of your company's website. This URL can also be for an SEC filing.



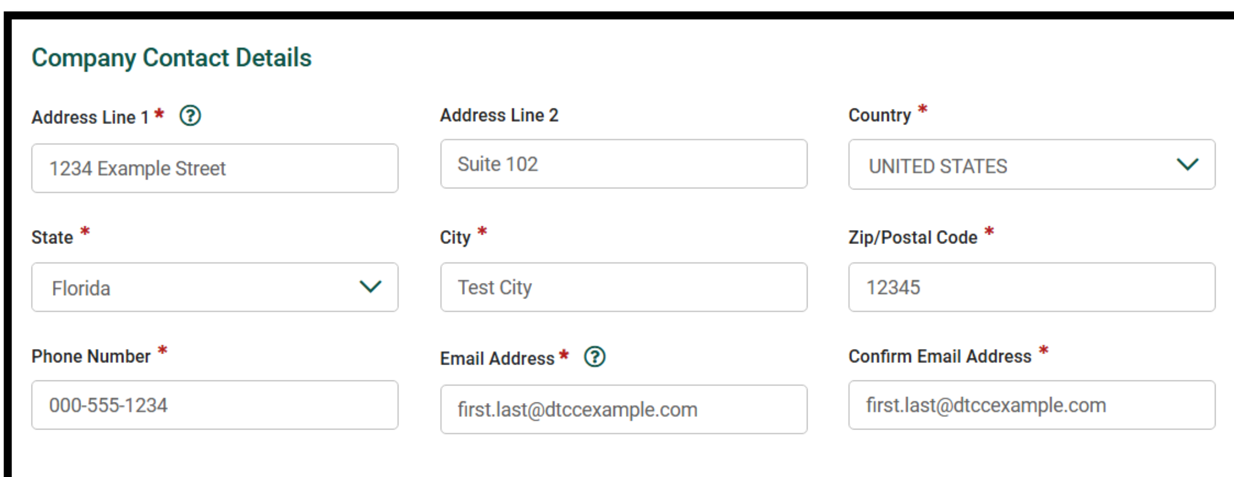
If you are not an officer, please quit the form and have an officer complete the initial registration instead. You may submit the "New User" form after the SPR account is registered.

Personal Details

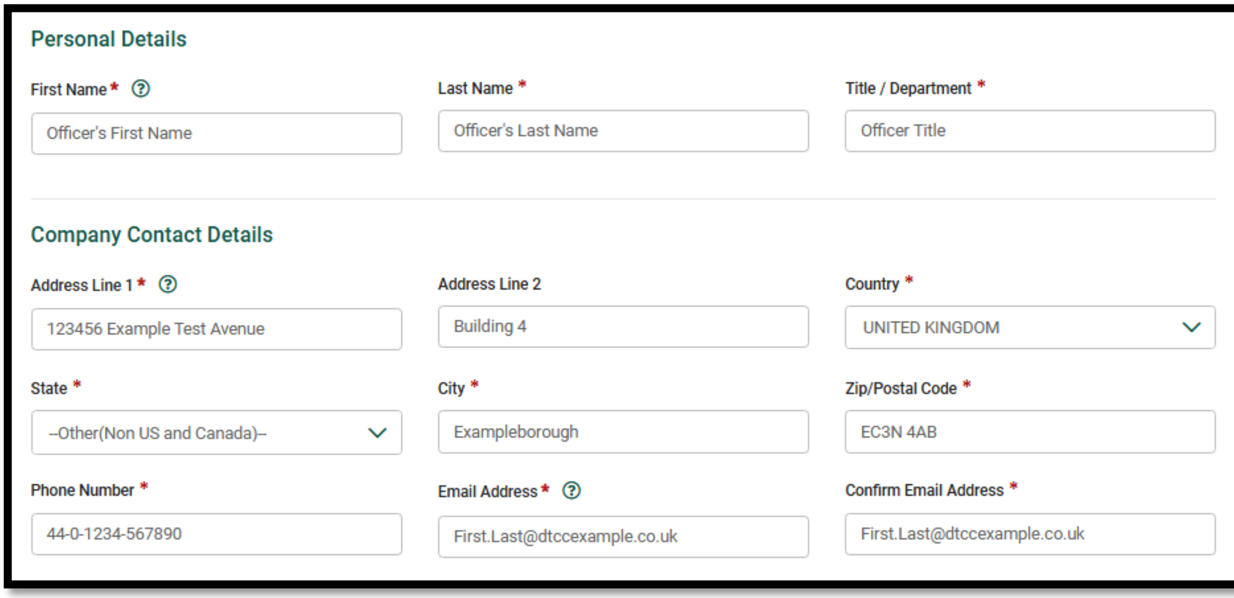
5. Enter your first name, last name, and job title as seen on your company's website or SEC filings.

Company Contact Details

6. Enter your phone number, email address, and a physical company address. This should also correlate your company's website or SEC filings.
   a. If the address does not fit on "Address Line 1", add the rest on "Address Line 2".
   b. You are asked to enter the email address twice to confirm that it has been input correctly.

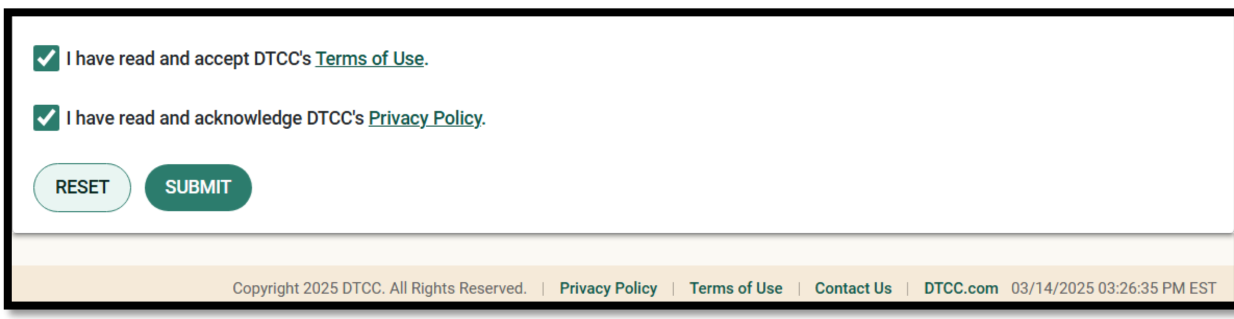


Alternate Example:



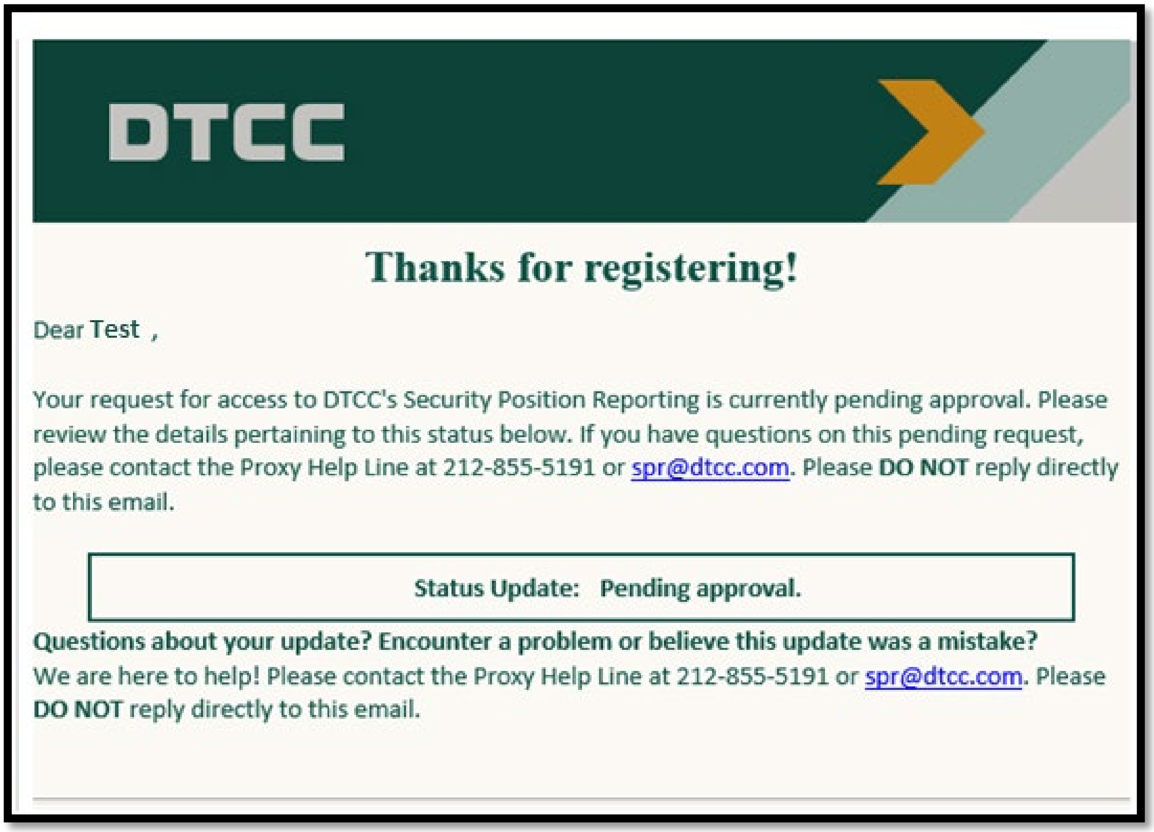
Submit

7. In order to proceed, you must agree to the DTCC's Terms of Use, and DTCC's Privacy Policy. Once complete, click **Submit**.



Post-Registration Follow up

A notification from CRSunmonitored@dtcc.com is sent to the specified email address confirming receipt of your request, similar to the below:



Thanks for registering!

Dear Test ,

Your request for access to DTCC's Security Position Reporting is currently pending approval. Please review the details pertaining to this status below. If you have questions on this pending request, please contact the Proxy Help Line at 212-855-5191 or spr@dtcc.com. Please **DO NOT** reply directly to this email.

Status Update: Pending approval.

Questions about your update? Encounter a problem or believe this update was a mistake?
We are here to help! Please contact the Proxy Help Line at 212-855-5191 or spr@dtcc.com. Please **DO NOT** reply directly to this email.

After DTC's review process, the status of your registration will be updated to either Approved, Pending (requiring further documentation; specifics will be outlined in the provided comment), or Rejected. You will receive an email for all status updates.

Note:

When checking in on your request, please ensure to check your spam or any other filtered folders for updates before contacting DTCC. It may be helpful to add both CRSunmonitored@dtcc.com and SPR@dtcc.com to your approved list of senders within your email program to ensure that no important updates are missed, as DTC may require further information to process your request.

Once you receive an email with the status of APPROVED, you will receive two additional emails:

- One email contains your Login ID.
- One email contains your temporary password.

DTCC

Your New Account is Available

Dear Xenia,

You have been designated as a user for one or more DTCC services. Your new MyDTCC login ID is below. You will receive a separate email with a temporary password and login instructions to MyDTCC.

Login ID: EXAMPLE@exampletestcorp.com

MyDTCC
Use MyDTCC to access DTCC products, submit support requests, manage communications preferences, receive real-time updates on service status, browse our learning/knowledgebase in the Learning Center, and more.

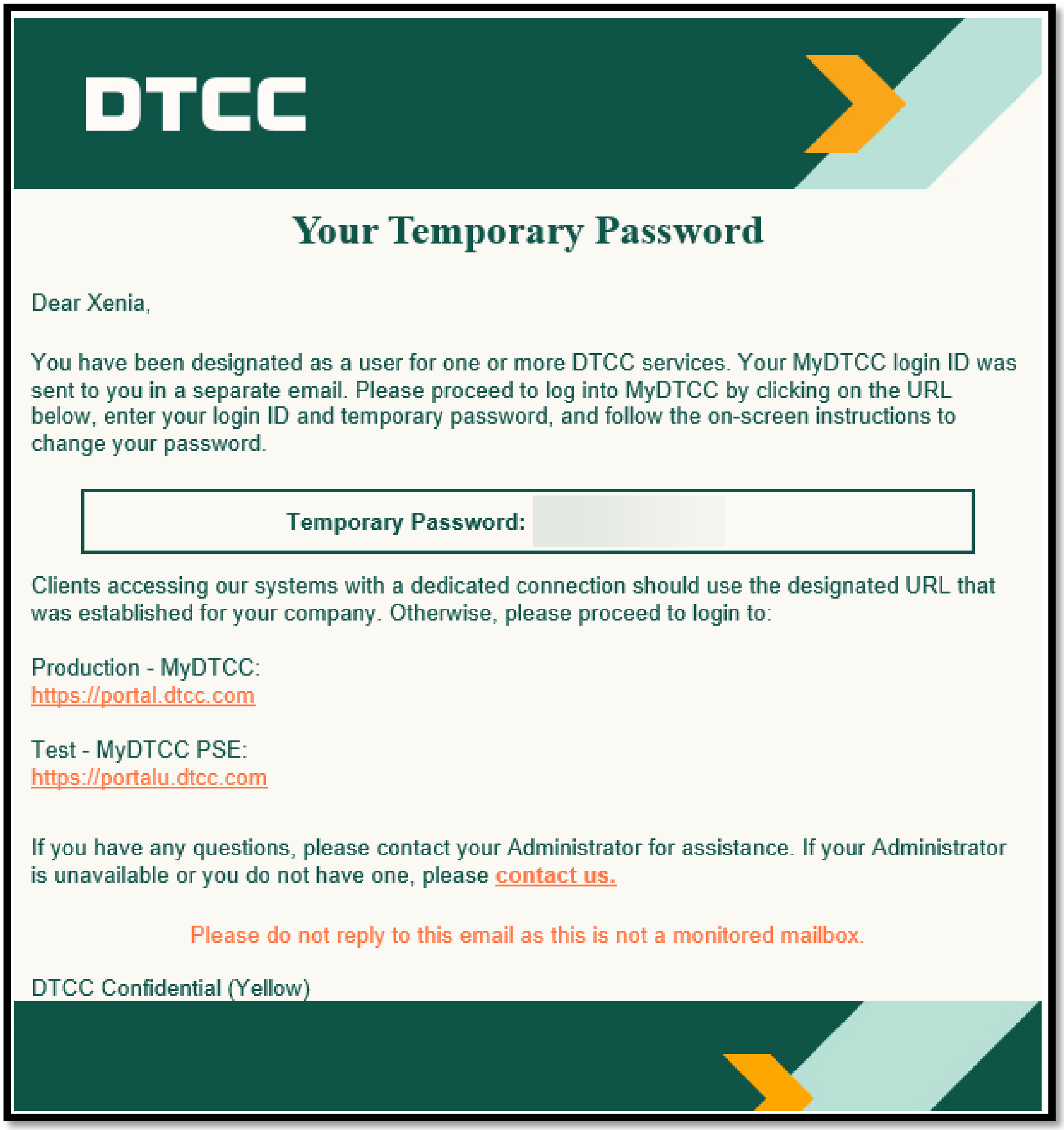
Training
Our DTCC Learning Center is a centralized hub for easy access to our library of detailed reference materials, including documentation, videos, elearning courses and in-product Help files. To gain access,click on the My Learning Dashboard from MyDTCC to see the content available to you.

Support
Our Client Contact Center (CCC) provides technical and business support and is available 24 hours a day, 6 days a week across the globe.

If you have any questions, please contact your Administrator for assistance. If your Administrator is unavailable or you do not have one, please contact us.

Please do not reply to this email as this is not a monitored mailbox.

DTCC Confidential (Yellow)



DTCC

Your Temporary Password

Dear Xenia,

You have been designated as a user for one or more DTCC services. Your MyDTCC login ID was sent to you in a separate email. Please proceed to log into MyDTCC by clicking on the URL below, enter your login ID and temporary password, and follow the on-screen instructions to change your password.

Temporary Password:

Clients accessing our systems with a dedicated connection should use the designated URL that was established for your company. Otherwise, please proceed to login to:

Production - MyDTCC:
https://portal.dtcc.com

Test - MyDTCC PSE:
https://portalu.dtcc.com

If you have any questions, please contact your Administrator for assistance. If your Administrator is unavailable or you do not have one, please **contact us.**

Please do not reply to this email as this is not a monitored mailbox.

DTCC Confidential (Yellow)

Log into the DTCC portal at https://portal.dtcc.com/

If you are registered as an Issuer or Trustee, and you or a third-party agent will be ordering reports or subscriptions, continue to the next section to connect a payment method to your profile.

Note:

To keep your SPR account active, be sure to log onto the MyDTCC portal with your new login ID at least once per year. Not keeping your account active may cause potential interruptions in service. This is especially important for Officer Coordinators.

SET UP PAYMENT VIA EPY

Once you log into the DTCC portal, you must set up a payment profile in order to authorize third-party agents and order reports or subscriptions. This is done via the **EPY** application.

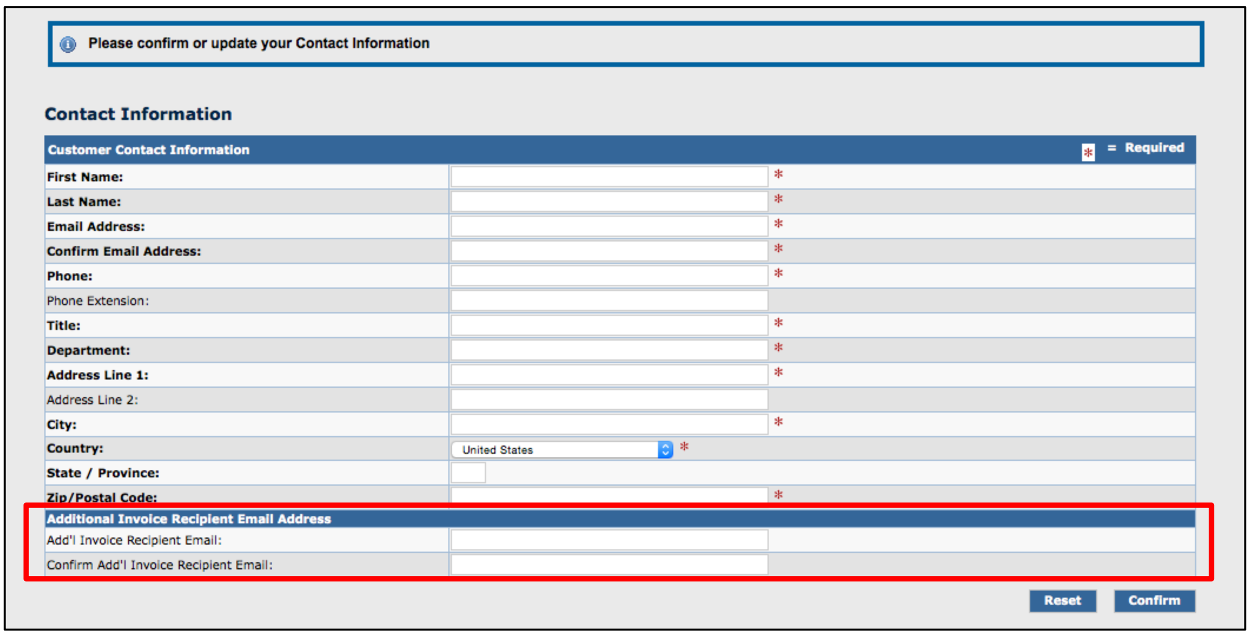
A payment profile does not need to be established in order to view your firm's Omnibus Proxy.

To Create a Payment Profile:

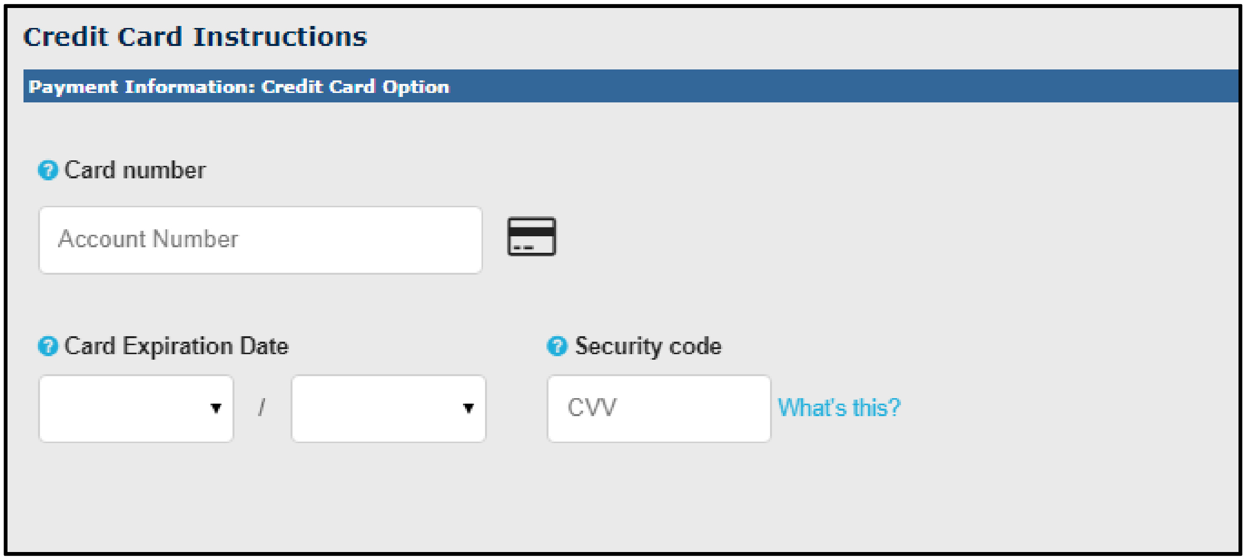
1. Fill out all the required fields as indicated by a red asterisk (*) and then click **Confirm**. Your Contact Information should match the details associated with the credit card you will be adding in the next step.

Note:

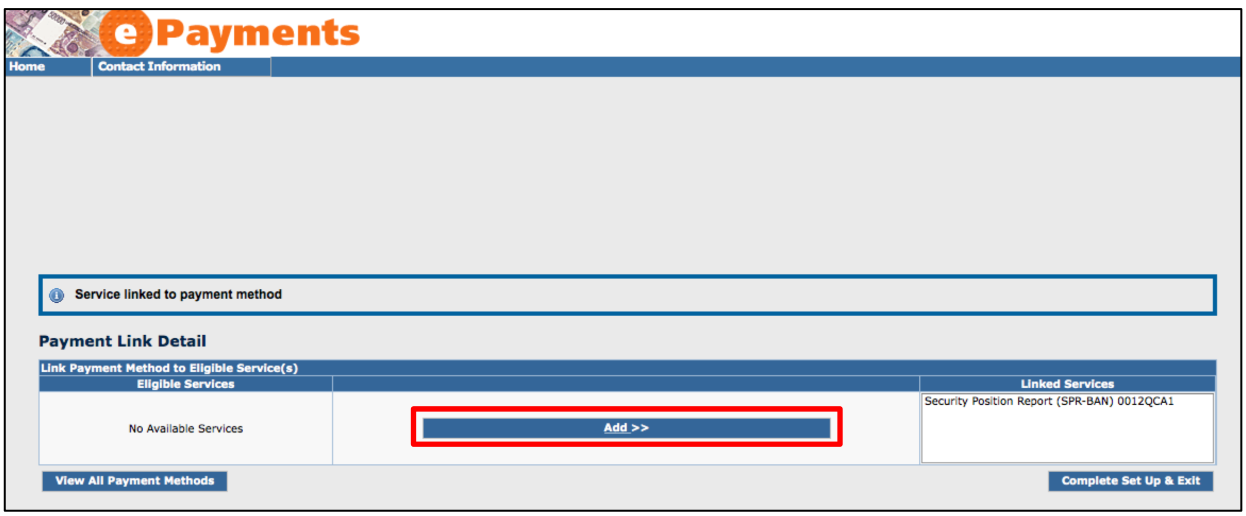
You can add another person to the invoice e-mail distribution list by filling out the Additional Invoice Recipient Email Address section.



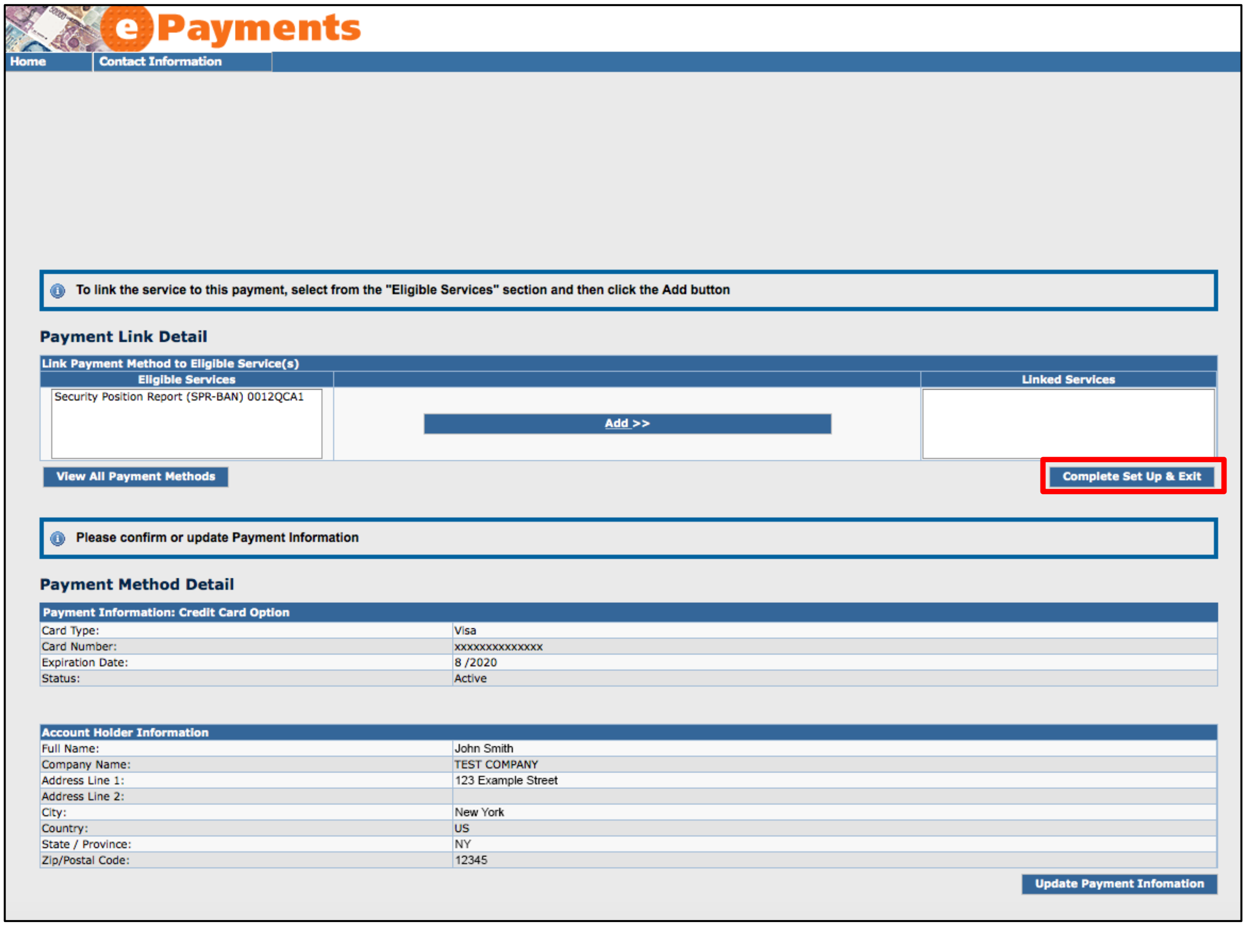
2. Click **Add New Credit Card Information**, fill out the required fields, and click **Submit**.



3. Under Payment Link Detail, select "SPR" from the Eligible Services column and click **Add** to move it into the Linked Services column.



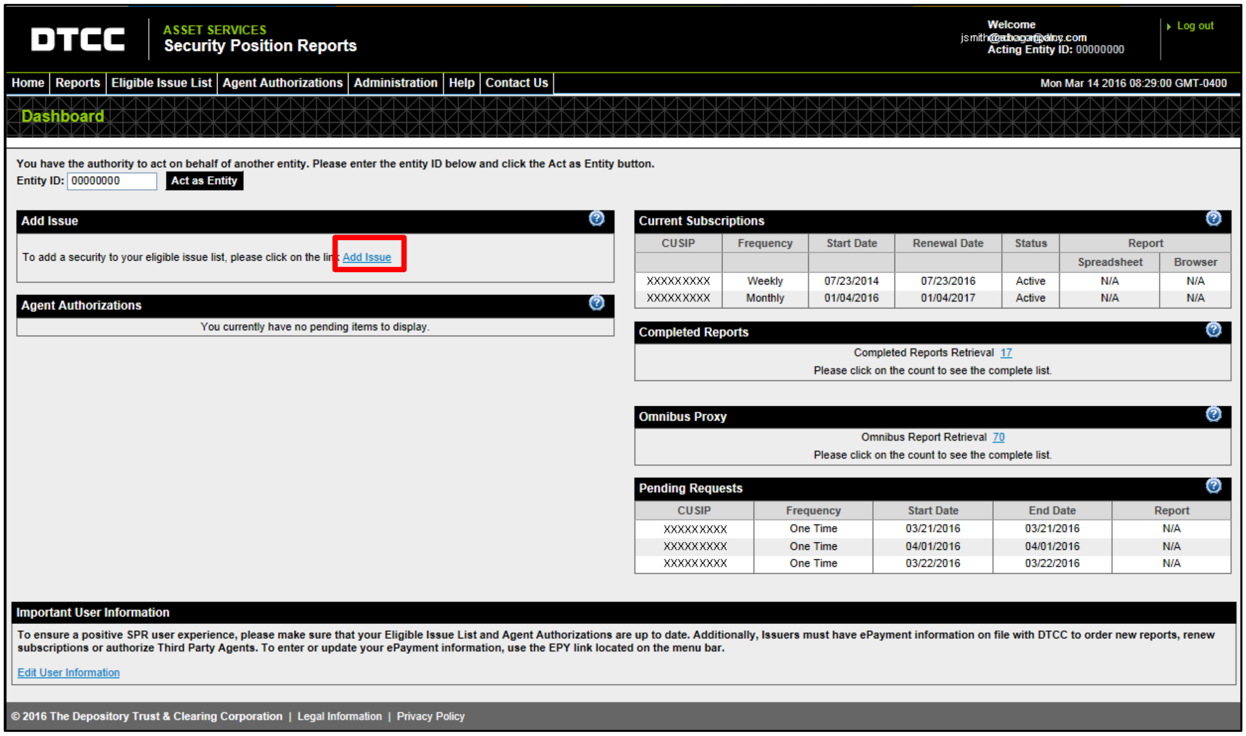
4. Click **Complete Set Up & Exit**.



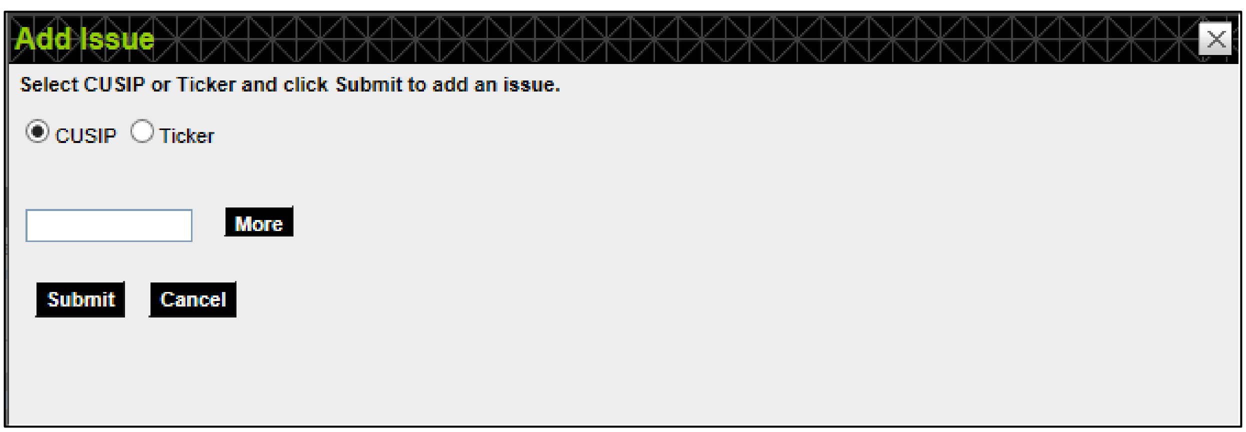
ADD YOUR CUSIP(S) TO SPR

You can add your CUSIP(s) to your Eligible Issue list within SPR. This allows you to order reports, authorize agents, and retrieve your electronic Omnibus Proxy (found under Reports-»Omnibus Proxy).

1. Log in to the MyDTCC portal and select **SPR**.
2. On the home screen, select **Add Issue.**



A modal window appears, allowing you to add an Issue by either **CUSIP** or **Ticker Symbol**.



For other SPR functions, please see the SPR Web User Guide.

NEW USER REGISTRATION

Once a company has registered for SPR services and received their **Company ID**, additional users may be added to the company's account.

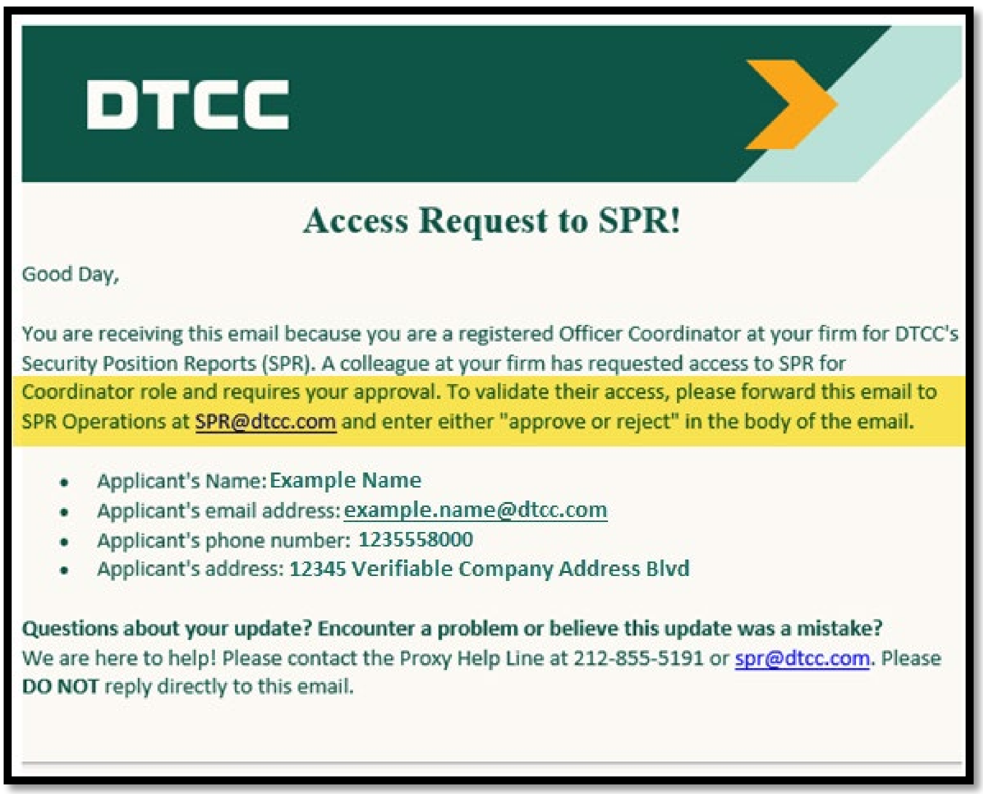
To add new users to your company's SPR account, please have them complete the **New User Registration** request form. It will require the user to select their role, and to enter in the Company ID number.

What is a Company ID?

This is a unique eight-digit number that is assigned to your company's SPR account upon the company's initial account setup.

Any existing SPR users at your firm will be able to retrieve it for you. If you are not able to obtain this number internally, please contact SPR@dtcc.com for info. Be sure to send the email from your work email address and provide the full company name.

If the individual proceeds as a **non-officer** user, an automated email is triggered from CRSunmonitored@dtcc.com and sent to all Officer Coordinators who are registered on the company's SPR account. The contact details of the registrant are provided, as well as the role for which the user is applying for.


DTCC

Access Request to SPR!

Good Day,

You are receiving this email because you are a registered Officer Coordinator at your firm for DTCC's Security Position Reports (SPR). A colleague at your firm has requested access to SPR for Coordinator role and requires your approval. To validate their access, please forward this email to SPR Operations at SPR@dtcc.com and enter either "approve or reject" in the body of the email.

- Applicant's Name: Example Name
- Applicant's email address: example.name@dtcc.com
- Applicant's phone number: 1235558000
- Applicant's address: 12345 Verifiable Company Address Blvd

Questions about your update? Encounter a problem or believe this update was a mistake?
We are here to help! Please contact the Proxy Help Line at 212-855-5191 or spr@dtcc.com. Please **DO NOT** reply directly to this email.

For DTC to proceed with the New User request, an authorization email must be received from an Officer Coordinator's registered email account.

If an email of approval is not forwarded to SPR@dtcc.com as described, the registrant's request will be rejected, and they will need to resubmit the New User form.

Important Note:

There must be at least one Officer Coordinator registered on your company's SPR account at all times.

If your current officer coordinator has left, please have another officer register as a replacement as soon as possible, and notify DTC via email from your registered email address to SPR@dtcc.com to revoke any prior users' access.

User Roles

ISSUER

There are two primary levels of access for Issuer accounts. **Coordinators** have full access to SPR functions, while **Operators** have limited access. Please refer to the below table for distinctions when making your request.

Capabilities	Operator	Coordinator	Coordinator (Officer)
Authorize the addition of users on the account.			✓
Authorize the deletion of users on the account. *Notify SPR@dtcc.com for access removals.*		✓	✓
Use EPY (e-payments) to create a payment profile. *Operators will be linked to the existing coordinator's EPY profile.*		✓	✓
Authorize third-party agents. *An up-to-date EPY payment profile required.*		✓	✓
Retrieve your company's electronic Omnibus Proxy.		✓	✓
Add securities to your Eligible Issue List.	✓	✓	✓
Order/View Reports and Subscriptions.	✓	✓	✓

TRUSTEE

Trustees have a singular role – **Trustee**. Users with this entitlement have the same general level of access to the "Coordinator" role. Your firm will later need to demonstrate the trustee relationship to any securities you add to your Eligible Issue List, after registration set up.

Note:

If your firm operates as both agent and trustee, you should register your company under two different account types.

Setting up a *trustee* account for your firm will help ensure that you have the appropriate level of access for securities you are legally the trustee for. Similarly, setting up a *third-party agent* account is appropriate for when you are the transfer agent or paying agent on another security but NOT the trustee.

For more information on setting up multiple account types, contact SPR@dtcc.com for guidance.

THIRD PARTY AGENT

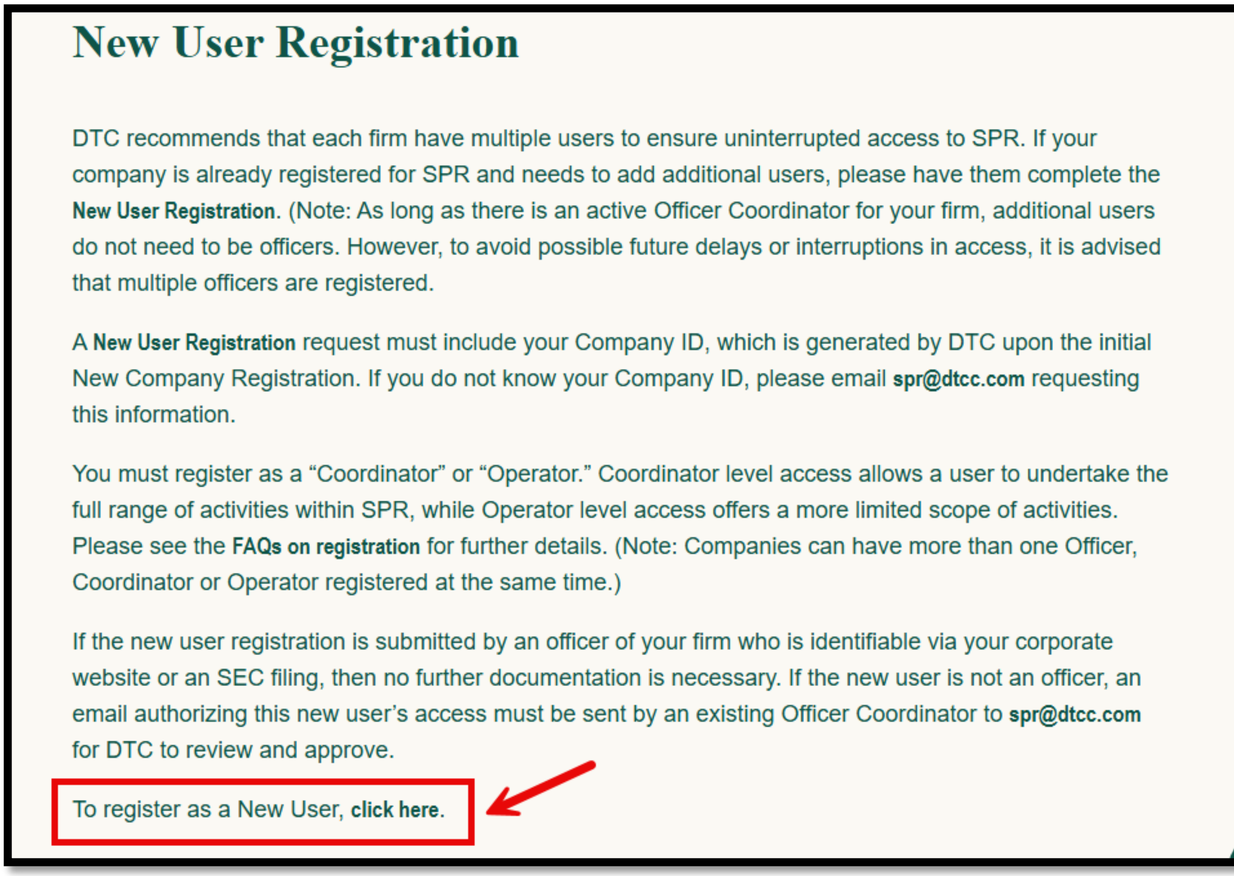
Third Parties have a singular role – **Third Party Agent**. Users with this entitlement have the same general level of access to the "Operator" role.

For example, if you operate as transfer agent, tabulation agent, etc. you will need to select Third Party Agent as the User Type.

Submitting a New User Request

First, refer to the section

1. To register, select "click here".



New User Registration

DTC recommends that each firm have multiple users to ensure uninterrupted access to SPR. If your company is already registered for SPR and needs to add additional users, please have them complete the **New User Registration**. (Note: As long as there is an active Officer Coordinator for your firm, additional users do not need to be officers. However, to avoid possible future delays or interruptions in access, it is advised that multiple officers are registered.

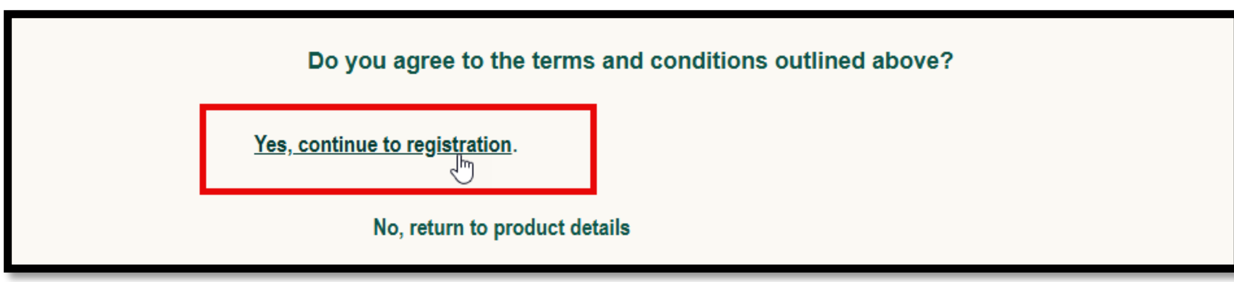
A **New User Registration** request must include your Company ID, which is generated by DTC upon the initial New Company Registration. If you do not know your Company ID, please email **spr@dtcc.com** requesting this information.

You must register as a “Coordinator” or “Operator.” Coordinator level access allows a user to undertake the full range of activities within SPR, while Operator level access offers a more limited scope of activities. Please see the **FAQs on registration** for further details. (Note: Companies can have more than one Officer, Coordinator or Operator registered at the same time.)

If the new user registration is submitted by an officer of your firm who is identifiable via your corporate website or an SEC filing, then no further documentation is necessary. If the new user is not an officer, an email authorizing this new user’s access must be sent by an existing Officer Coordinator to **spr@dtcc.com** for DTC to review and approve.

To register as a New User, **click here**.

2. On the SPR Terms and Conditions: New User Registration page, scroll down and click “Yes, continue to registration.”



Do you agree to the terms and conditions outlined above?

Yes, continue to registration.

No, return to product details

3. If you are an officer of your firm who is identifiable via your corporate website or an SEC filing, then the appropriate documentation must be included with the registration, as outlined in the next section.

   If you are not an officer, an email approving your request must be sent by a current Officer Coordinator to spr@dtcc.com for DTC to review and approve. See “New User Registration” for more details.

SPR – New User Registration: Request Form

After agreeing to the terms and conditions, you are brought to the **SPR – New Company Registration** page. Be sure to read the **Important Instructions** and fill out all required fields indicated by a red asterisk (*).

Note:

The form is accompanied by field-specific "tooltips".

For assistance on a completing a particular field, click the associated ? icon to view more information.

Company Details

1. For **Company ID**, enter your Company ID number.
2. Underneath **User Type**, select the appropriate access level.
   a. Select either "Operator" or "Coordinator" for your firm's existing Issuer-type account.
   b. Select "Trustee" for your firm's existing Trustee-type account.
   c. Select "Third Party Agent" for your firm's existing Third-party agent account.

Note:

You must select the access level that corresponds to the SPR account that is registered under your Company ID.

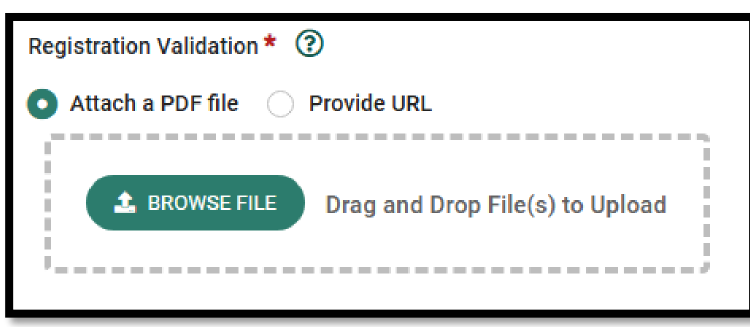
For example, if your need access to your firm's SPR trustee account and you select "Operator", this could delay your approval and/or be cause for the request to be rejected. The correct action would be to select "Trustee".

3. *** If you did not select "Coordinator", you may skip to the next section. ***

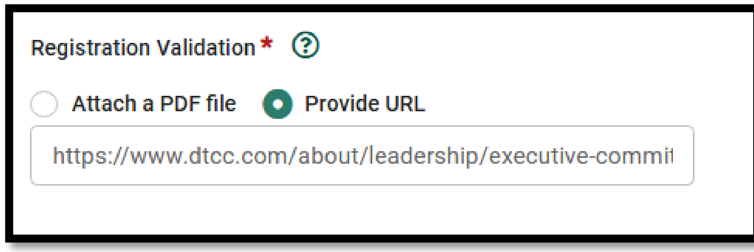
   Upon selecting the "Coordinator" role, a new field appears with the following question:

   Are you a corporate officer with your firm?

   a. If you select "No", you may skip to the next section.
   b. If you select "Yes", you will be prompted to include your Registration Validation.
      - This helps DTC to verify your identity as an officer at your firm.
      - You have the option to attach either
        1. a PDF (such as a current SEC filing), or



2. a URL linking to the leadership page of your company's website. This URL can also be for an SEC filing.



Personal Details

4. Enter your first name, last name, and job title. If you are an officer, this should correlate to your company's website or SEC filings.

Company Contact Details

5. Enter your phone number, email address, and a physical company address. This should also correlate to your company's website or SEC filings.
   a. If the address does not fit on "Address Line 1", add the rest on "Address Line 2".
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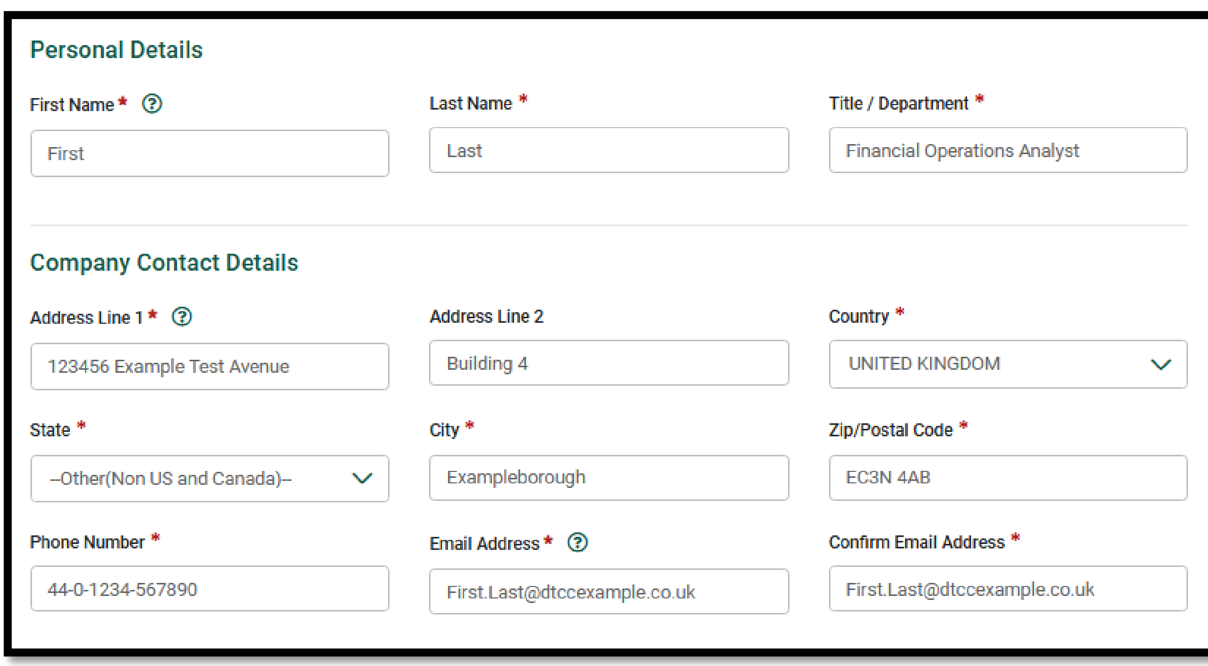
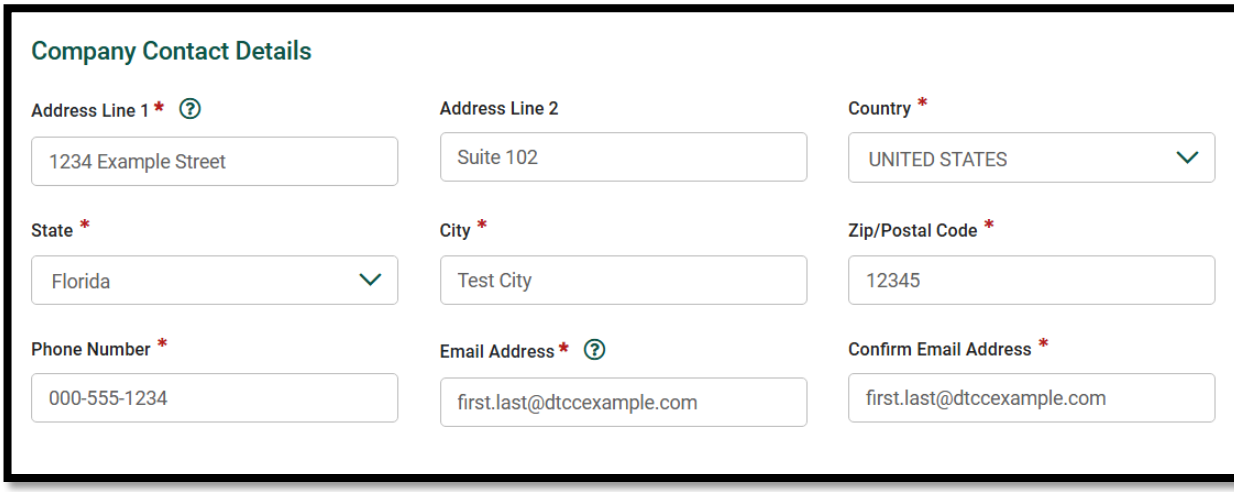
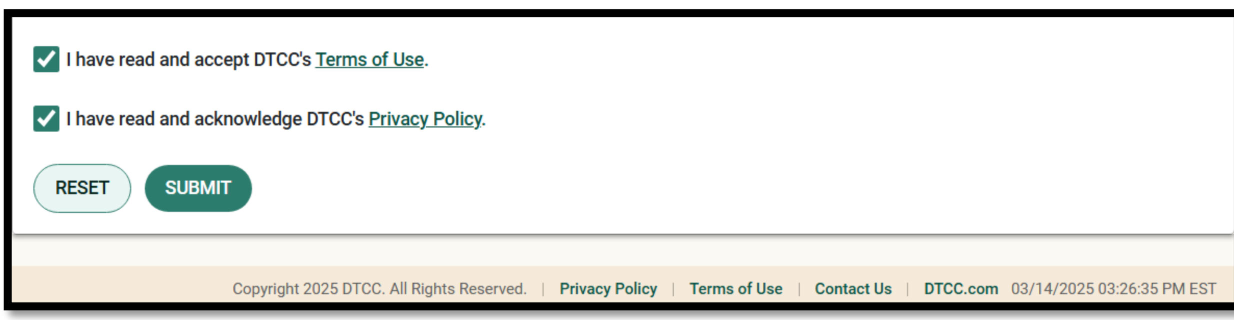


Alternate Example:



Submit

6. In order to proceed, you must agree to the DTCC's Terms of Use, and DTCC's Privacy Policy. Once complete, click **Submit**.



Post-Registration Follow up

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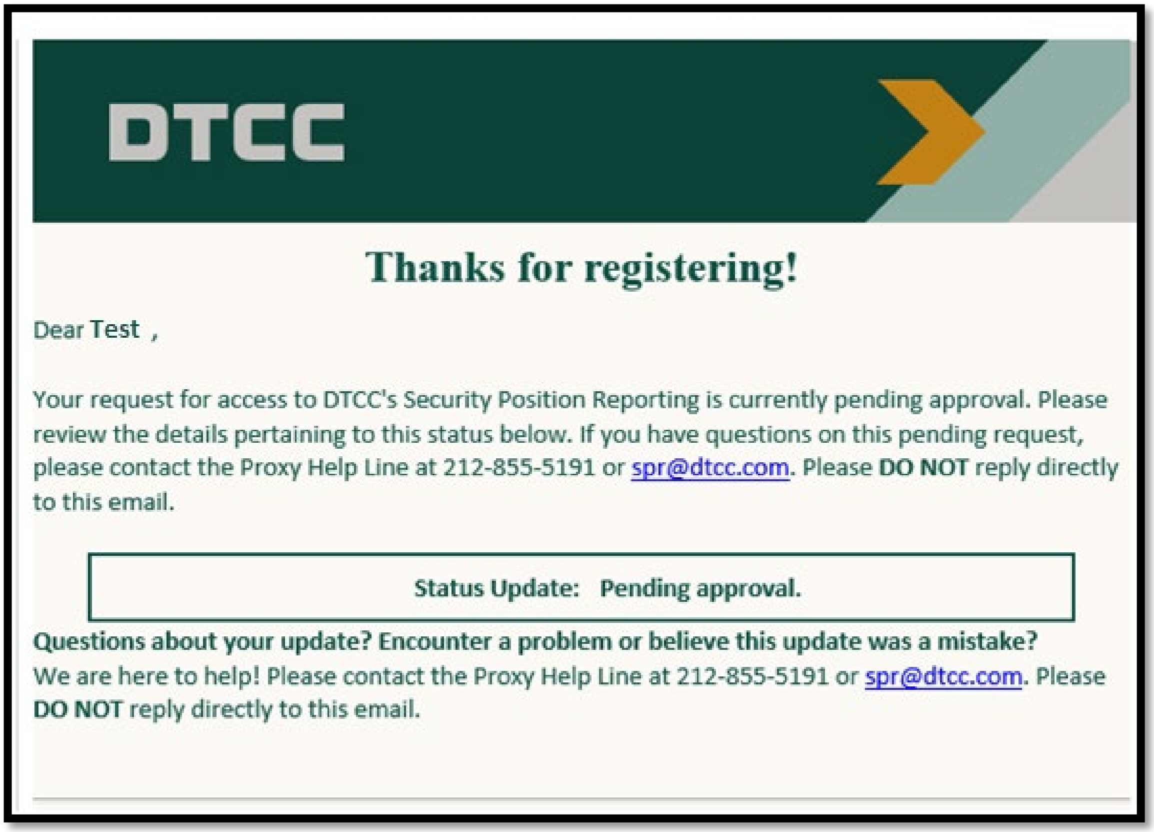
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After DTC's review process, the status of your registration will be updated to either Approved, Pending (requiring further documentation; specifics will be outlined in the provided comment), or Rejected. You will receive an email for all status updates.

Note:

When checking in on your request, please ensure to check your spam or any other filtered folders for updates before contacting DTCC. It may be helpful to add both CRSunmonitored@dtcc.com and SPR@dtcc.com to your approved list of senders within your email program to ensure that no important updates are missed, as DTC may require further information to process your request.

Once you receive an email with the status of APPROVED, you will receive two additional emails:

- One email contains your Login ID.
- One email contains your temporary password.

Your New Account is Available

Dear Xenia,

You have been designated as a user for one or more DTCC services. Your new MyDTCC login ID is below. You will receive a separate email with a temporary password and login instructions to MyDTCC.

Login ID: EXAMPLE@exampletestcorp.com

MyDTCC

Use MyDTCC to access DTCC products, submit support requests, manage communications preferences, receive real-time updates on service status, browse our learning/knowledgebase in the Learning Center, and more.

Training

Our DTCC Learning Center is a centralized hub for easy access to our library of detailed reference materials, including documentation, videos, elearning courses and in-product Help files. To gain access,click on the My Learning Dashboard from MyDTCC to see the content available to you.

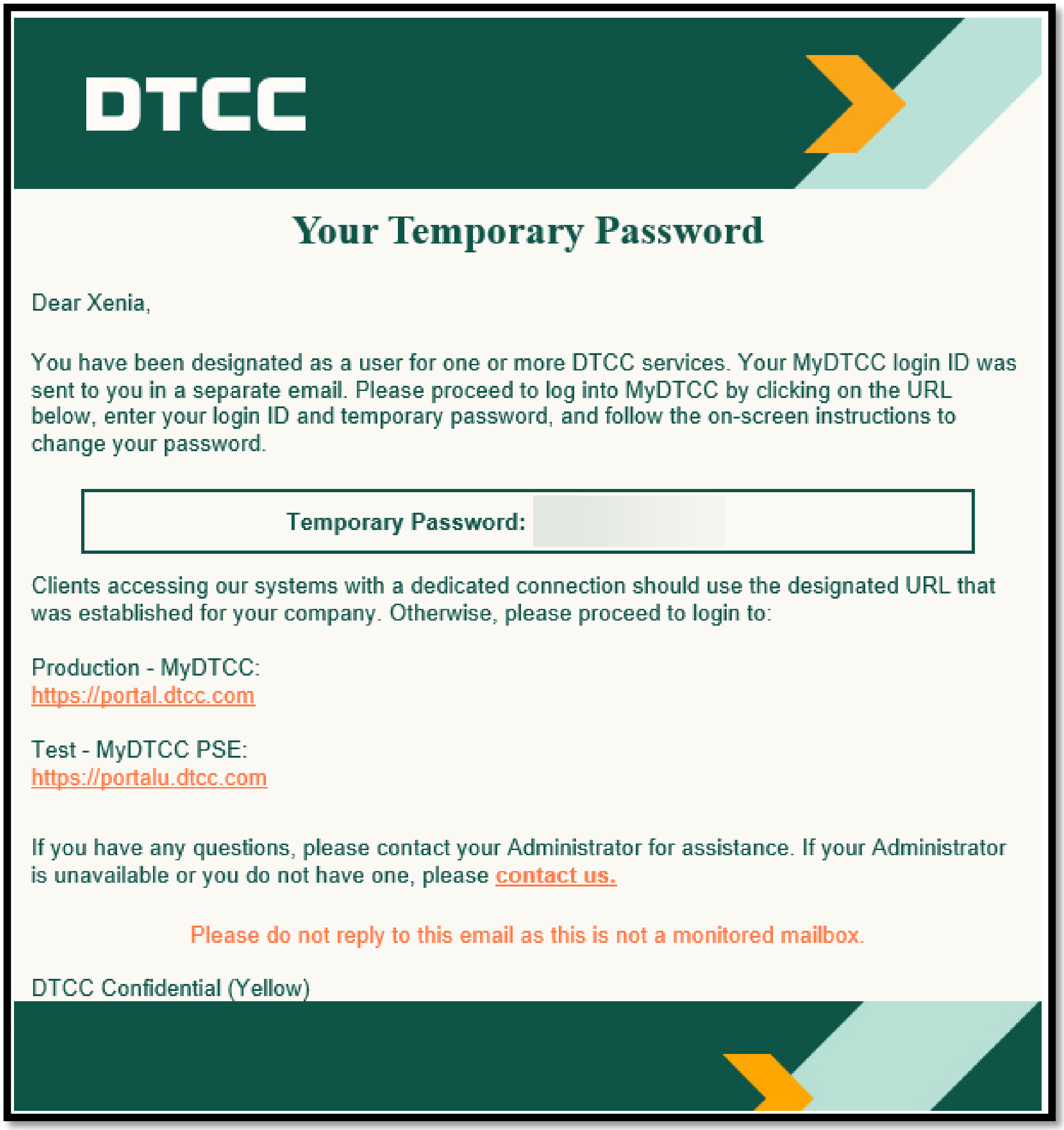
Support

Our Client Contact Center (CCC) provides technical and business support and is available 24 hours a day, 6 days a week across the globe.

If you have any questions, please contact your Administrator for assistance. If your Administrator is unavailable or you do not have one, please contact us.

Please do not reply to this email as this is not a monitored mailbox.

DTCC Confidential (Yellow)



DTCC

Your Temporary Password

Dear Xenia,

You have been designated as a user for one or more DTCC services. Your MyDTCC login ID was sent to you in a separate email. Please proceed to log into MyDTCC by clicking on the URL below, enter your login ID and temporary password, and follow the on-screen instructions to change your password.

Temporary Password:

Clients accessing our systems with a dedicated connection should use the designated URL that was established for your company. Otherwise, please proceed to login to:

Production - MyDTCC:
https://portal.dtcc.com

Test - MyDTCC PSE:
https://portalu.dtcc.com

If you have any questions, please contact your Administrator for assistance. If your Administrator is unavailable or you do not have one, please **contact us.**

Please do not reply to this email as this is not a monitored mailbox.

DTCC Confidential (Yellow)

Log into the DTCC portal at https://portal.dtcc.com/

If you are registered as an Issuer or Trustee, and you or a third-party agent will be ordering reports or subscriptions, ensure that you set up your EPY payment profile.

Note:

To keep your SPR account active, be sure to log onto the MyDTCC portal with your new login ID at least once per year. Not keeping your account active may cause potential interruptions in service. This is especially important for Officer Coordinators.

TECHNOLOGY CONSIDERATIONS

Web Browser: SPR only supports the use of Microsoft Edge and Google Chrome. If you attempt to access SPR via any other web browsers, you may encounter issues that may limit the site's functionality.

Login: DTC uses a dual authentication system. This means that in addition to requiring a username and password, a cookie will be installed on your computer.

Passwords will expire after 90 days. After 90 days, users will be prompted to choose a new password.

When using the self-service tool for password resets, the codes sent will expire after 24 hours. The same computer must throughout the entire password reset process.

Cookies expire after 12 months of inactivity.

- Authentication issues will also occur if attempting to log in from a new computer, with a new or different browser, if the browser being used doesn't accept cookies, if using a virtual desktop environment, or if cookies/browser history have been deleted.

Computer authentication codes expire 1 hour after being sent.

Users should log in regularly to ensure access and avoid delays during proxy season.

CONTACT US

For registration-related questions, you may contact DTCC using the following information:

https://www.dtcc.com/client-center

Email at spr@dtcc.com

Please allow two business days prior to contacting DTCC regarding pending registration requests, so that DTC may have time to review and process the forms.

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Title: SPR Registration User Guide

For More Information

DTCC Client Center: www.dtcc.com/client-center

DTCC Learning Center: www.dtcclearning.com