

## NETXINVESTOR REGISTRATION GUIDE

Below are the instructions an investor with brokerage accounts held with Pershing should follow to register and setup online access, as well as set up electronic delivery preferences.

**Eligible registration types:**

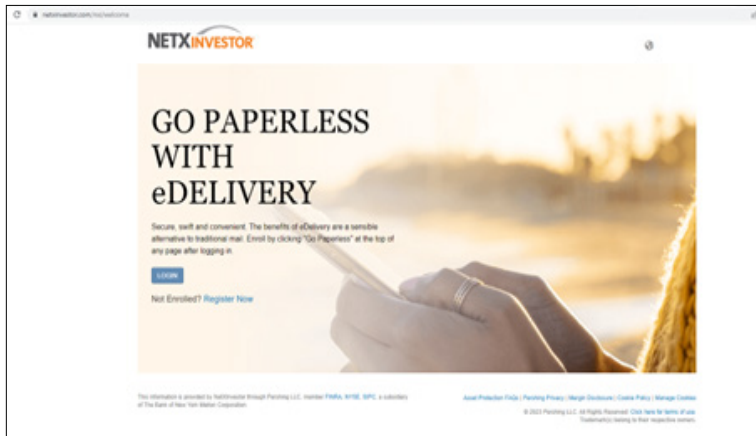
- Individual
- Joint
- Traditional IRA
- Roth IRA
- Rollover IRA

**Ineligible registration types include, but are not limited to:**

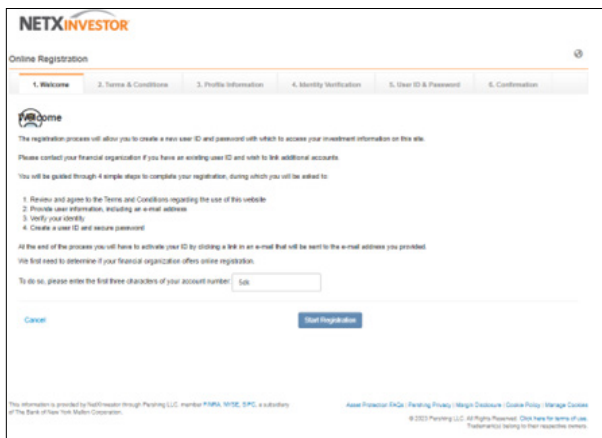
- Individual Transfer on Death
- Joint Transfer on Death
- Trust
- Simple IRA
- Corporation

For a full list of ineligible registration types or assistance with registering, please call Cambridge Investment Research, Inc. at 888-245-0452.

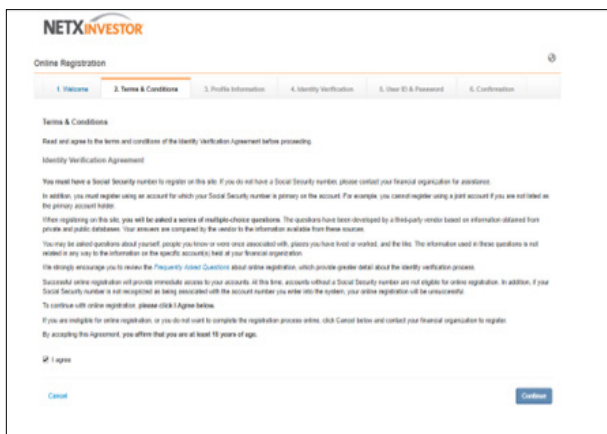
1. Visit [www.netxinvestor.com](http://www.netxinvestor.com) and select **Register Now**



2. Enter the first three characters of the account number and select **Start Registration**



3. Read through Terms & Conditions. Check I agree and select **Continue**.



4. Complete all fields under **User Information** and select **Continue**.

The screenshot shows the 'User Information' step of the registration process. The progress bar at the top indicates the current step is 3. The form contains the following fields: First Name, Last Name, Address Line 1, Address Line 2 (optional), Phone (with a dropdown for 'Provide your full legal address'), Zip Code, City, State (dropdown), Social Security Number, Date of Birth (with a dropdown for 'Month'), and Account Number. A 'Cancel' button is at the bottom left and a 'Continue' button is at the bottom right.

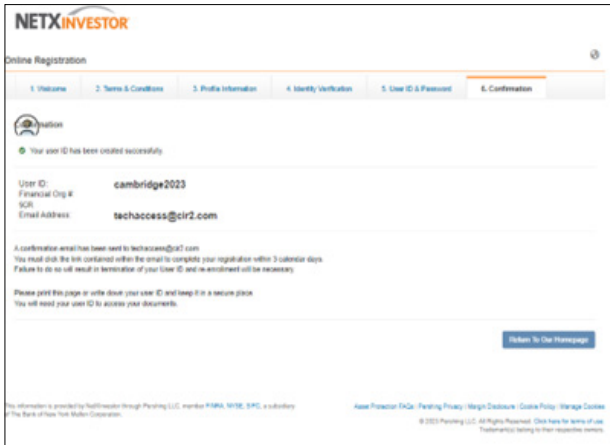
5. Complete the required Identity Verification questions and select **Continue**.

The screenshot shows the 'Identity Verification' step. The progress bar indicates the current step is 4. The question asks: 'During which of the following years did you live in Montevideo?' with radio button options for 2006, 2008, 2014, 2016, 2022, and 'None of the above or I have never been associated with this city'. A 'Cancel' button is at the bottom left and a 'Continue' button is at the bottom right.

6. Create a User ID and Password by completing the required fields. Select **Continue**. Note: refer to Password Rules when creating a password.

The screenshot shows the 'User ID & Password' step. The progress bar indicates the current step is 5. The form contains fields for User ID, Password, Confirm Password, Email Address, Confirm Email Address, Mother's Maiden Name, and Date of Birth. A 'Cancel' button is at the bottom left and a 'Complete Registration' button is at the bottom right. A 'Tip' section provides password rules: 'Tip: Passwords can contain the following special characters: ! \* + - % ^ & \* \_'. The rules listed are: 1. not contain same as the user id, 2. contain a minimum of 8 and a 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.

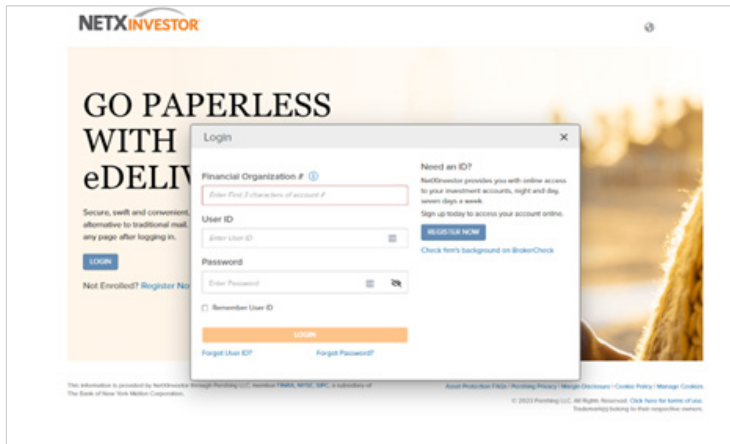
- The following confirmation screen will appear once completed. A confirmation email will be sent to the email address provided.



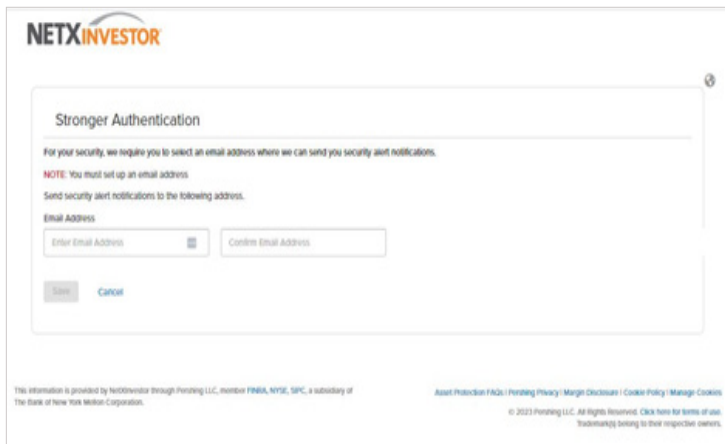
- Open the confirmation email and select **Click Here** to be redirected to the NetXInvestor webpage to finish the registration process.



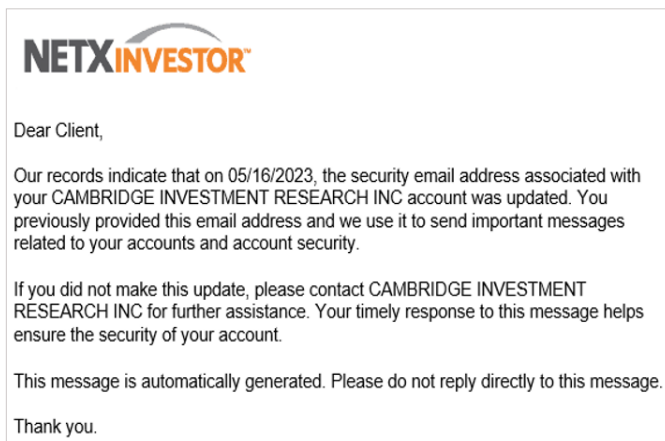
9. Select **Login** > enter the Financial Organization # **5CR** > enter User ID and Password > select **Login**



10. Enter and re-enter an email address to receive security alert notifications, then select **Save**.



11. A confirmation email, like the below, will be received to confirm this update.



12. Select **Contact Method** to setup a One-Time Passcode. This will be used as a 2-Factor Authentication for NetXInvestor login.

Get me more'. A red 'NOTE' states: 'NOTE: You must set up and verify at least one contact method.' There is a 'Contact Method' dropdown menu with a blue question mark icon and a 'Select Contact Method' button. Below this, there is a line of text: '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](#)'. At the bottom, there is fine print: 'This information is provided by NetXInvestor through Penning LLC, member FINRA, NYSE, SIPC, a subsidiary of The Bank of New York Mellon Corporation.' and 'Asset Protection FID: Penning Privacy | Margin Disclosure | Cookie Policy | Manage Cookies | © 2023 Penning LLC. All Rights Reserved. [Click here for terms of use.](#) Trademarks belong to their respective owners.'"/>

13. Choose from SMS/Text, Email, or Voice Call to receive a One-Time Passcode. Complete all fields and select **Verify**. Note: Device Nickname is a required field.

SMS/Text:

Get me more'. A red 'NOTE' states: 'NOTE: You must set up and verify at least one contact method.' There are three input fields: 'Contact Method' (dropdown menu with 'SMS/Text' selected), 'Phone Number' (with a '+1 US' dropdown and 'Enter Phone Num' placeholder), and 'Device Nickname' (with 'Enter Nickname' placeholder). There are 'Verify' and 'Delete' buttons. Below this, there is a line of text: '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](#)'. At the bottom, there is fine print: 'This information is provided by NetXInvestor through Penning LLC, member FINRA, NYSE, SIPC, a subsidiary of The Bank of New York Mellon Corporation.' and 'Asset Protection FID: Penning Privacy | Margin Disclosure | Cookie Policy | Manage Cookies | © 2023 Penning LLC. All Rights Reserved. [Click here for terms of use.](#) Trademarks belong to their respective owners.'"/>

Email:

The screenshot shows the 'One-Time Passcode Setup' page on the NETXINVESTOR website. The page title is 'One-Time Passcode Setup'. Below the title, there is a brief explanation: 'The one-time passcode is a temporary code we send to your selected device to confirm your identity. [Tell me more](#)'. A red 'NOTE' states: 'You must set up and verify at least one contact method.' The form has three main sections: 'Contact Method' with a dropdown menu set to 'Email', 'Email Address' with a text input field, and 'Device Nickname' with a text input field. There are 'Verify' and 'Delete' buttons. At the bottom, there is a text link: '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'. The footer contains legal disclaimers and links for 'Asset Protection FAQs', 'Pending Privacy', 'Margin Disclosure', 'Cookie Policy', and 'Manage Cookies'.

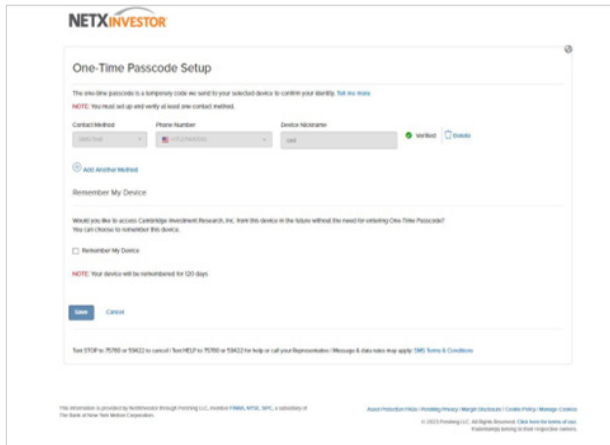
Voice Call:

The screenshot shows the 'One-Time Passcode Setup' page on the NETXINVESTOR website, similar to the email setup but for voice call verification. The 'Contact Method' dropdown is set to 'Voice'. The 'Phone Number' field has a '+1 US' dropdown and a text input field. The 'Device Nickname' field is also present. The 'Verify' and 'Delete' buttons are visible. The same text link for 'Text STOP to 75780 or 59422 to cancel!' is at the bottom. The footer contains the same legal disclaimers and links as the email setup page.

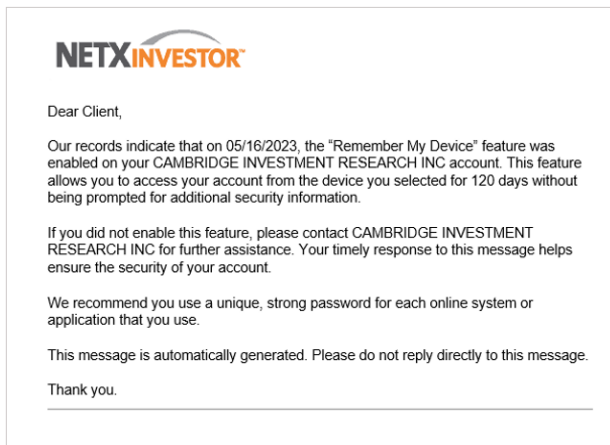
14. Enter the One-Time Passcode and select **Verify**.

The screenshot shows an 'OTP Verification' dialog box. It contains the following text: 'We sent you a One Time Passcode (OTP) to verify the phone number you provided. The code was sent to +1712 [REDACTED]'. Below this is an input field for the passcode, with 'VERIFY' and 'CANCEL' buttons. A 'NOTE' states: '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.' There is a section titled 'Didn't Receive a Code? Please make sure:' with instructions: '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.' At the bottom right is a 'Send A New Code' button.

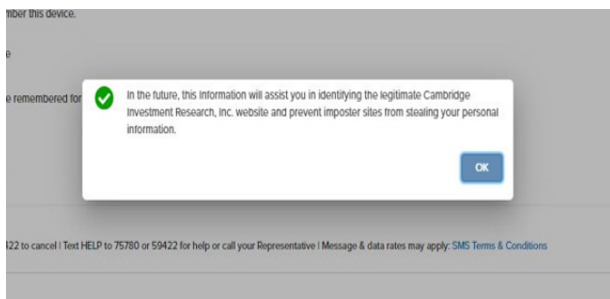
- Optionally, check **Remember My Device** and select **Save**. Checking Remember My Device will eliminate the requirement to get a One-Time Passcode upon login for 120 days on that specific device.



- If Remember My Device is selected, an email like below will be sent:



- The following message indicates the information provided will be used in the future to access accounts online. Select **Ok**.





- If there are additional eligible accounts open at the time of registration, the following screen will display to link these accounts. Check applicable boxes and select **Submit**.

- To link new account(s) opened after registering select **Communications > Settings**.

20. In the lower left-hand corner under **Account Linking** check applicable boxes and select **Submit** to gain access to the account(s).

**Account Linking**

We have detected that you have access to the following accounts. You can link any or all of these accounts to this user id.

ACCOUNT	MAILING ADDRESS
<input checked="" type="checkbox"/>	FARFIELD IA 52556-3858

**Submit**

21. After going through any additional security measures, the following screen will enable **Electronic Delivery**. Complete the required fields and select **Accept**.

**Now offering electronic delivery of all your financial documents.**

Ready to stop receiving the paper version of your documents in the mail and embrace the convenience of digital delivery? Provide an email address (or two) below and be enrolled in eDelivery of your documents, leading yourself a walk to the redline.

You can revert to paper mail delivery for any of your documents, at any time, by changing your delivery selection on the "Settings" page (but really, why would you do that?)

**Email Address**

ENTER EMAIL ADDRESS HERE

**Second Email Address (Optional)**

ENTER EMAIL ADDRESS HERE

**Submit**

By providing the email addresses, you consent to have your financial documents (including statements, confirmations, and other types of both current and future communications in addition to your account(s) made available to you electronically instead of by paper mail, in accordance with the Electronic Notification and Delivery Agreement [Terms and Conditions](#) you've found here.

22. If the previous screen is missed or Remind Me Later was selected, electronic delivery can be setup by selecting **Go Paperless** in the upper right-hand corner of the screen.

