COMPLYSCI MANUAL

GUIDE FOR EMPLOYEES

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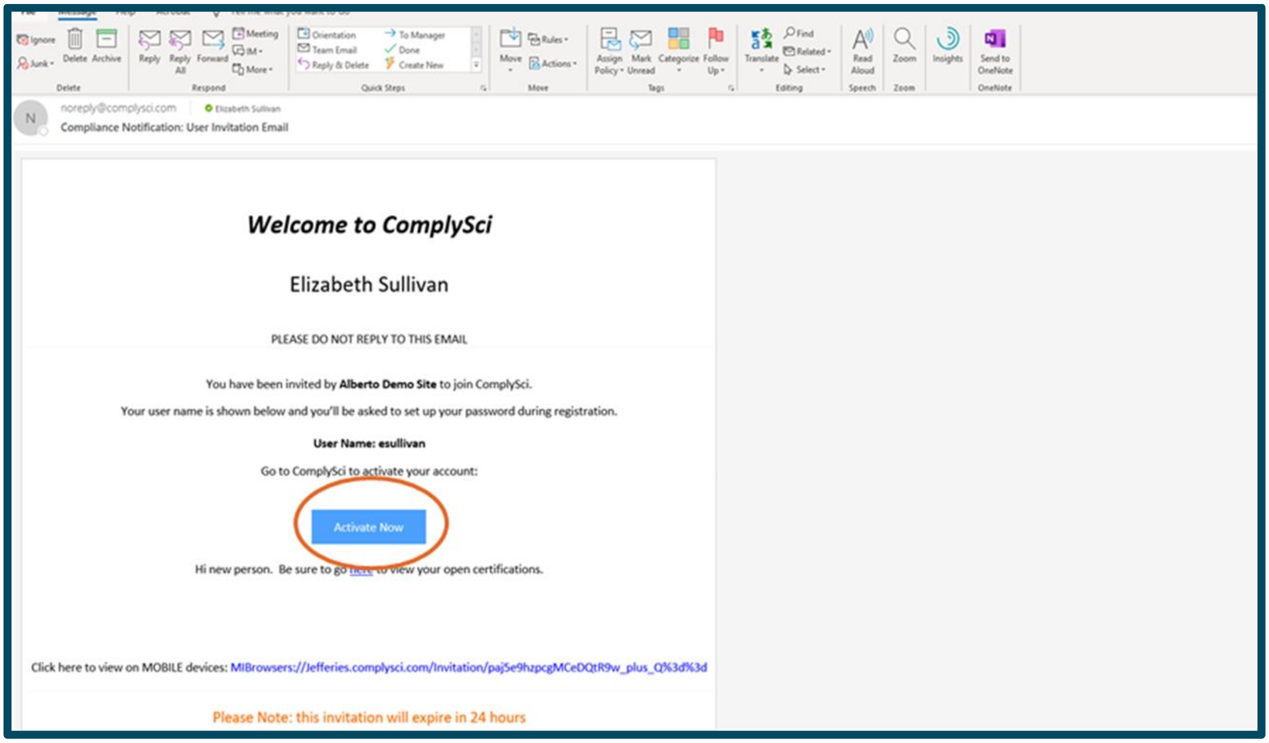
Getting Set Up

Activate Account

To active your ComplySci account, open your *Welcome to ComplySci* email and click on the **Activate Account** button.

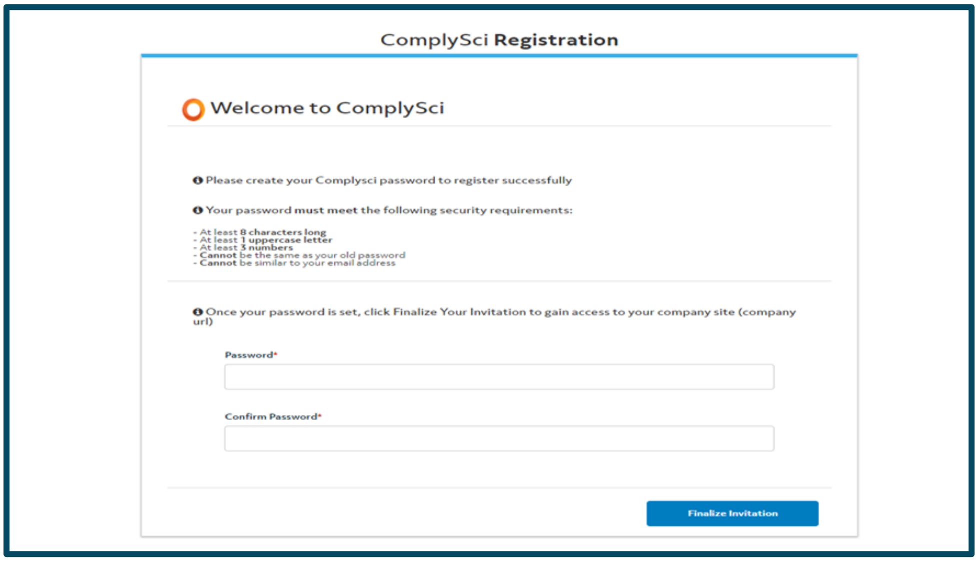


Until your ComplySci account registration is complete, you will receive a new registration email from ComplySci daily. Please use to most recent invitation to activate your account as each email invitation link expires after 24 hours. If you do not see your Invite email in your inbox, be sure to check your junk folders.

For subsequent access to ComplySci, go directly to your login URL, as noted below. Do not click on your Activation/Welcome email as it is a one-time registration email. For quick access to the site, be sure to Favorite your login URL in your web browser.

Create Password

In the webpage that opens after clicking **Activate Now**, enter the username that was contained in your *Welcome to ComplySci* email. Then, create and confirm a password and click **Finalize Invitation**.



Please ensure that your new password meets the system requirements:

- 8 characters minimum
- 1 uppercase letter
- 3 Numbers
- Cannot be the same as your old password
- Cannot be similar to email address

Complete Account Registration

Once in ComplySci, review and accept the Terms of Use, then enter details for your User Profile. Once the details are up to date, click **Finish Registration**.

Note: After you accept the Terms of Use, subsequent logins will navigate directly to your ComplySci dashboard.

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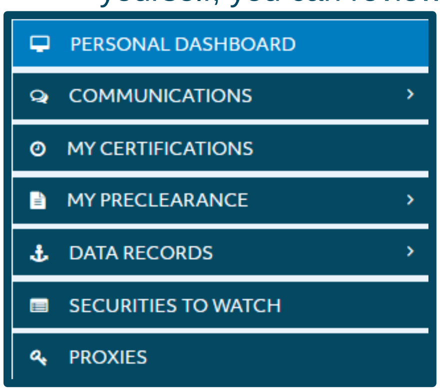
Your ComplySci Dashboard

Navigation Menu

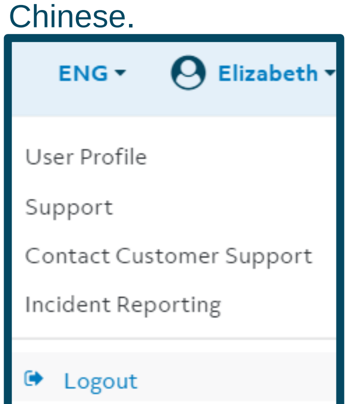
The left side of your dashboard houses your navigation menu.

- **Personal Dashboard**: Your ComplySci homepage which will provide quick access to certifications, preclearance requests & History, as well as communication items.
- **Communications**: Review any open, in-progress, or archived between you and Compliance
- **My Certifications**: View the status of all your historical certifications, including those that have yet to be completed
- **My Preclearance:** Access previously submitted preclearance requests to see their statuses or submit new preclearance requests
- **Data Records:** View your disclosed information including accounts, transactions, holdings, documentation, and other contributions or affiliations.
- **Securities to Watch:** If your compliance team chooses to share securities that are on a restricted list, you can check them here before submitting a new trade request.
- **Proxies:** If you have been assigned as a proxy to submit preclearance requests or data records on behalf of another employee, or would like to assign a proxy for yourself, you can review and submit that information here



User Settings

Click on your name in the upper right side of the screen to access/update your account profile, access support files, report an incident. To the left of your name, you can click on the three letters designating your current language to update language settings. ComplySci can be translated to English, French, German, Japanese and Simplified Chinese.



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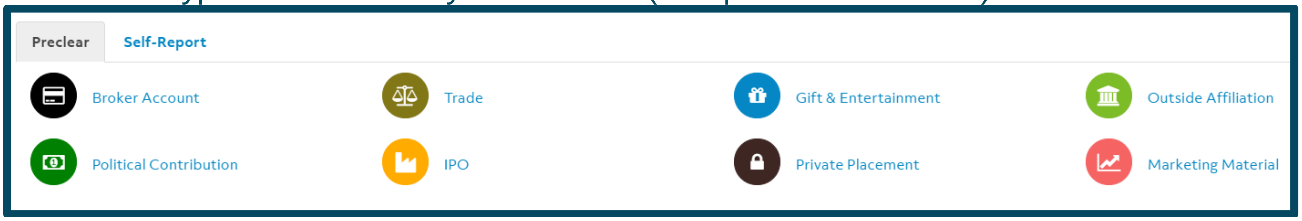
Submit Requests and Disclosures

The top portion of your Personal Dashboard is dedicated to submitting preclearance requests and disclosing information. The Preclear/Self-report toggle enables you to select what type of submission you will make (a request or disclosure).



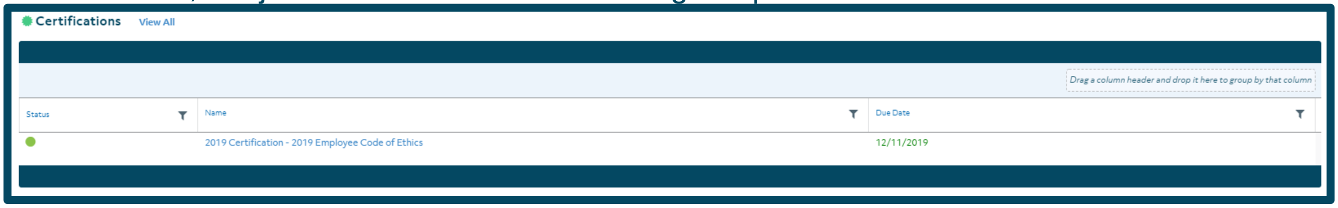
You can also submit a preclearance request using your left-hand navigation menu and selecting **My Preclearance > Add Request.**

Compliance Requirements and History

The bottom portion of your Personal Dashboard is dedicated to quick access to relevant compliance requirements or recent history.

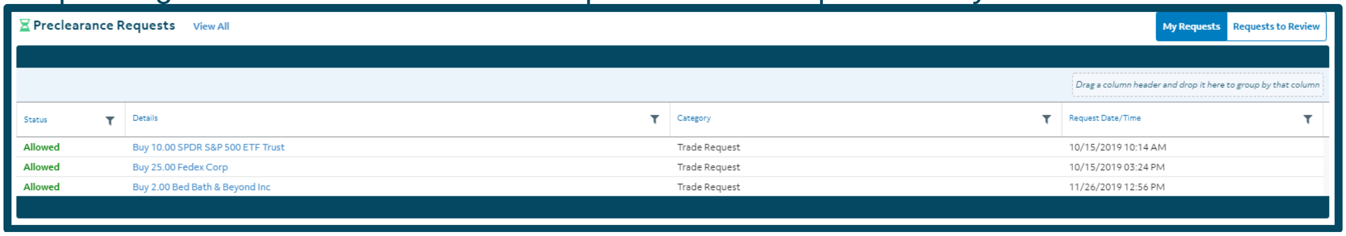
Certifications

This section will list out any open Certifications. You can easily understand whether there are Certifications you have yet to complete. Click **View All** to view all Certifications, not just those that are outstanding or open.



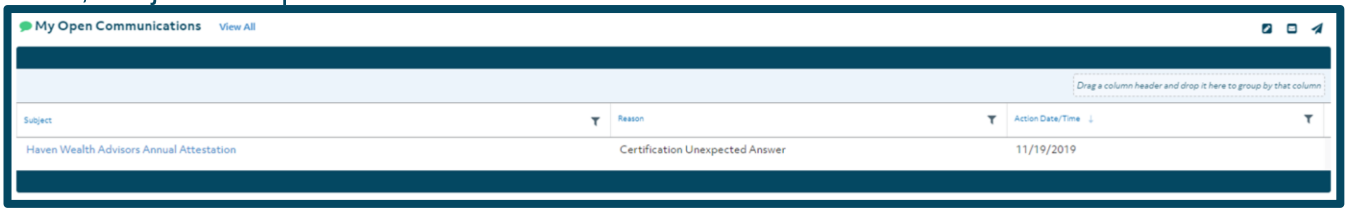
Preclearance Requests

View the status of recent requests to determine whether they were approved, denied, or still pending. Click **View All** to access all preclearance request history.



My Open Communications

Sort, view and open any open communication items. The right side of this section enables you to sort communication items by those that require review, those that have been received, or those that you have sent. Click **View All** to access all communication items, not just the open ones.



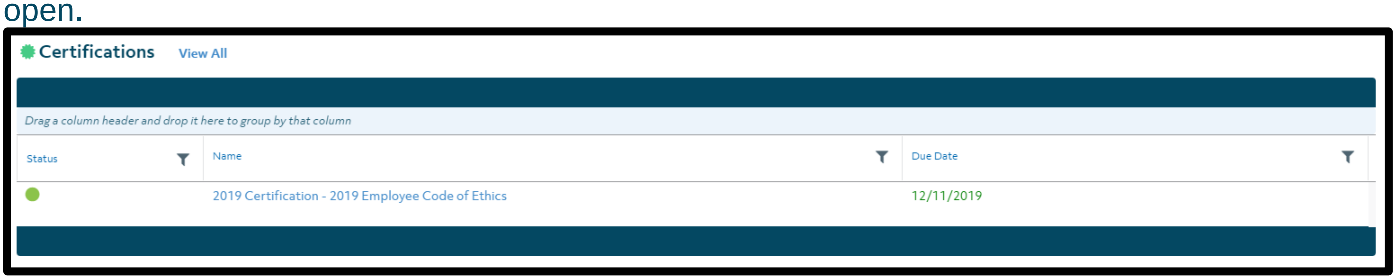
Certifications

Identifying Outstanding Certifications

ComplySci makes it easy to identify whether you have outstanding certifications to complete, both on your Personal Dashboard and In your Left hand navigation menu.

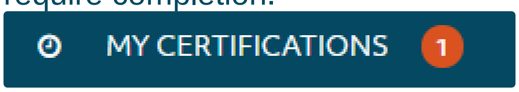
From Dashboard

If you have Certifications to complete, they will appear in the Certifications section of your Dashboard, with their status and Due Date. Certifications with a red status and due date are past due, and Certifications with a yellow or green status and due date are open.



From Navigation Menu

Outstanding Certifications will cause a red circle and number to appear next to My Certifications in your Navigation Menu. The number will identify how many Certifications require completion.



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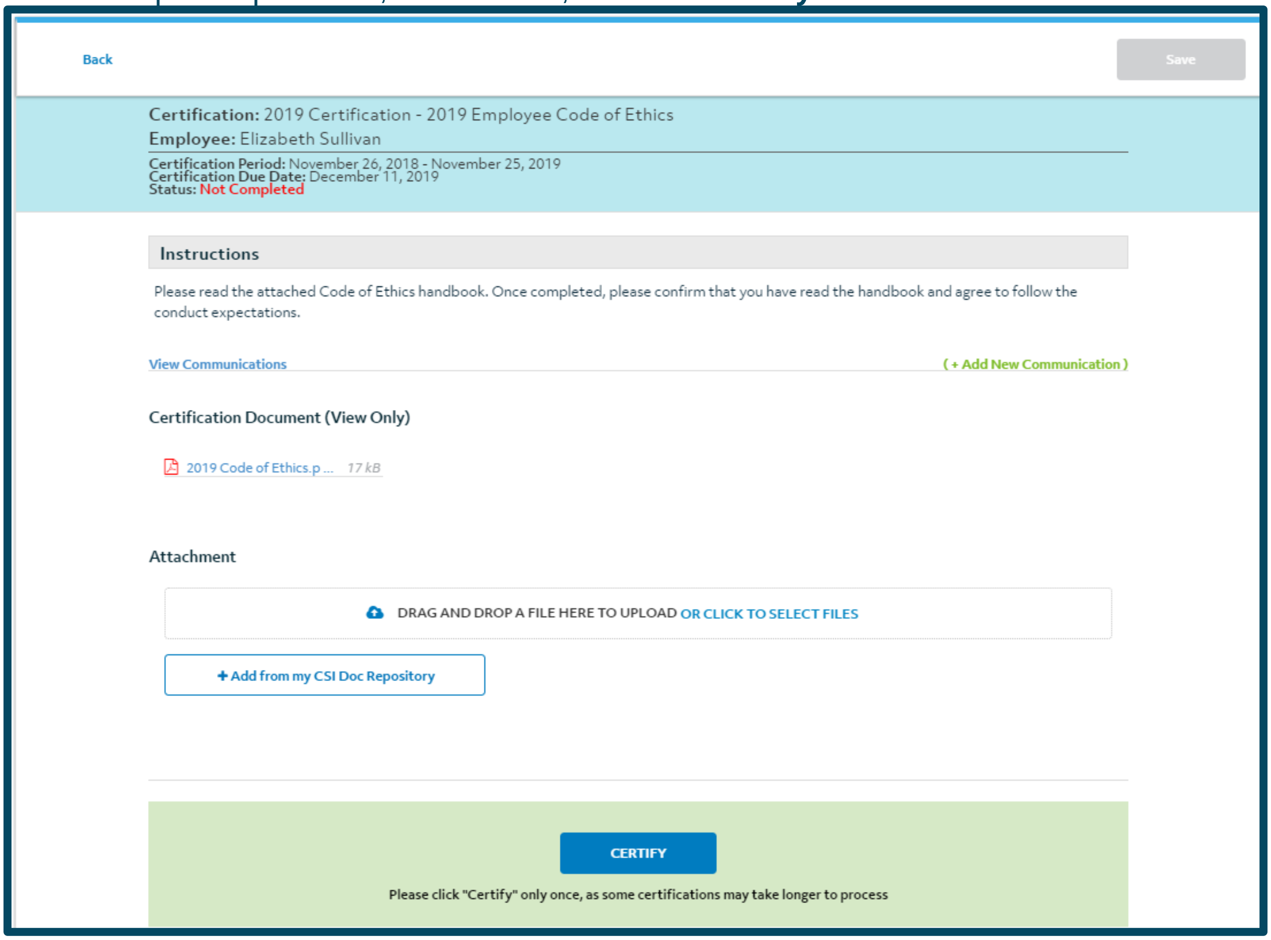
Completing Certifications

Click on the Name of any outstanding certification to open it. Read all instructions, answer required questions, review data, and click **Certify**.



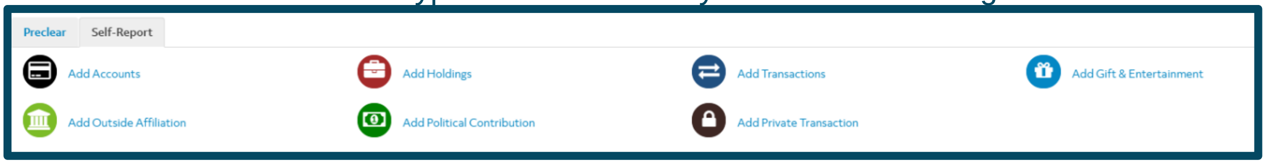
If the certification includes data records to review, and some of the data is incorrect, click edit to the left of the data record to update the information, or click **Back** at the top of the certification page, update the information from within ComplySci and return to the Certification at another time.

Data Records

How to Self-Report

From Dashboard

If you have information to report (accounts, transactions, holdings, affiliations, etc.), select **Self Report** from the Preclear/Self-Report toggle on the top of your Personal Dashboard. Then select the type of Data Record you will be disclosing.

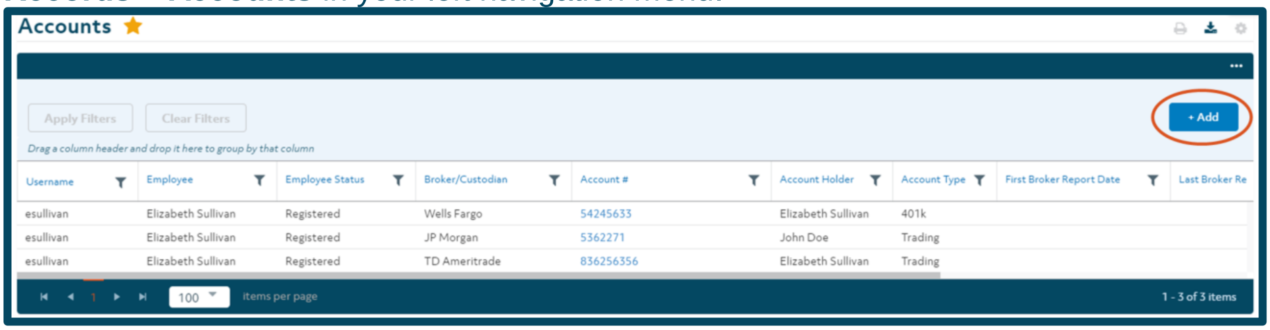


From Navigation Menu

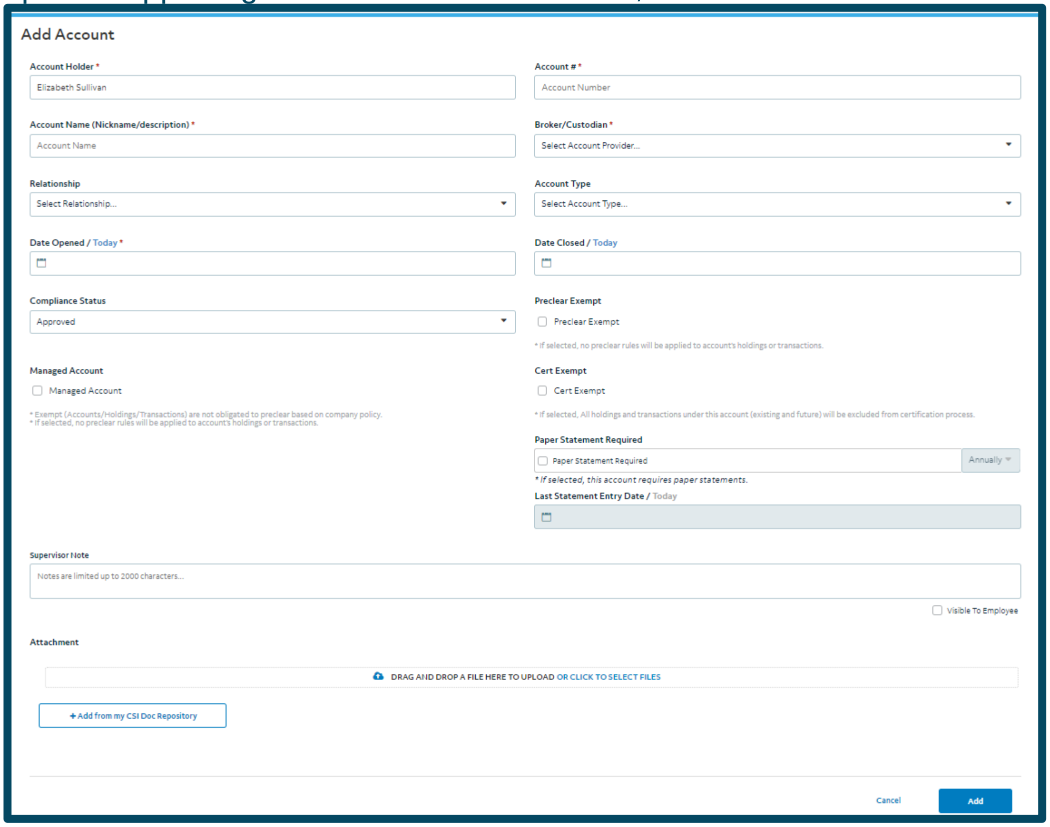
You can also submit data records by clicking on **Data Records** in your left-hand navigation menu and selecting the relevant type of information you will share. On the page for that data item, click **+Add** from the top right side of the screen.

Add Account

If you would like to add a new account (i.e. Trading Account or 401k), click **Add Account** from the Self-Report Toggle on your Personal Dashboard or **from Data Records > Accounts** in your left navigation menu.



You will be asked to fill in details for the account on the Add Account page. At minimum, complete all required fields (denoted with a red asterisks *), share any additional details, upload supporting documentation as needed, and click **Add.**



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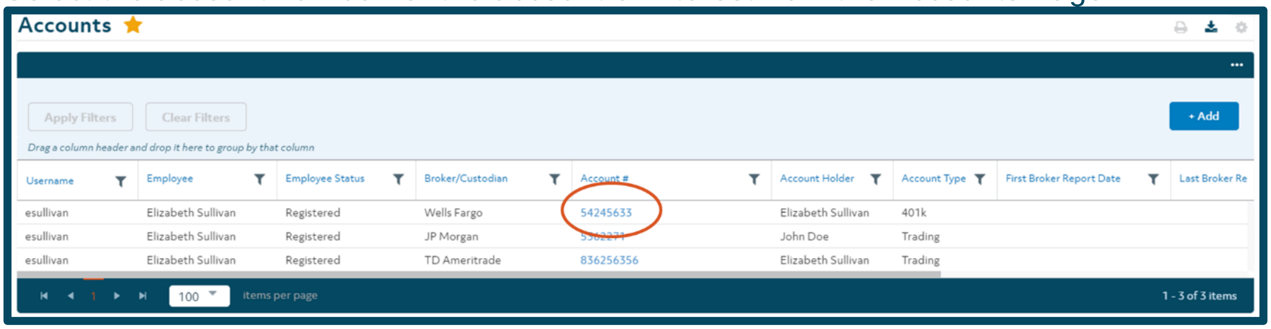
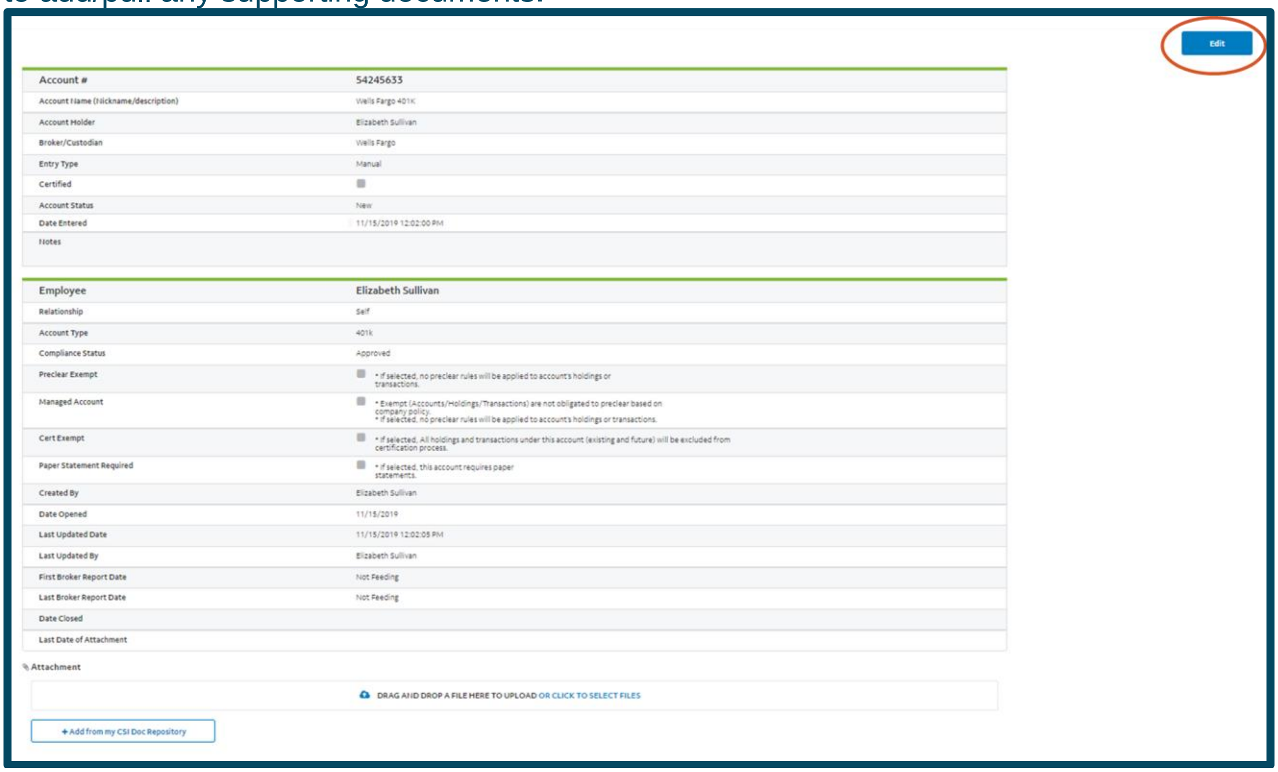
Review or Edit

To review or edit existing data records, click **Data Records** from your left-hand navigation menu and select the type of item you wish to review/update (i.e. Accounts).

Then, click on the particular record you would like to review. For example, for accounts, Select the account number for the account of interest from the Accounts Page.



If you need to edit the details, select **Edit** from the top right corner of the details page for the specific data record. When editing a data record, you can use the Attachment widget to add/pull any supporting documents.

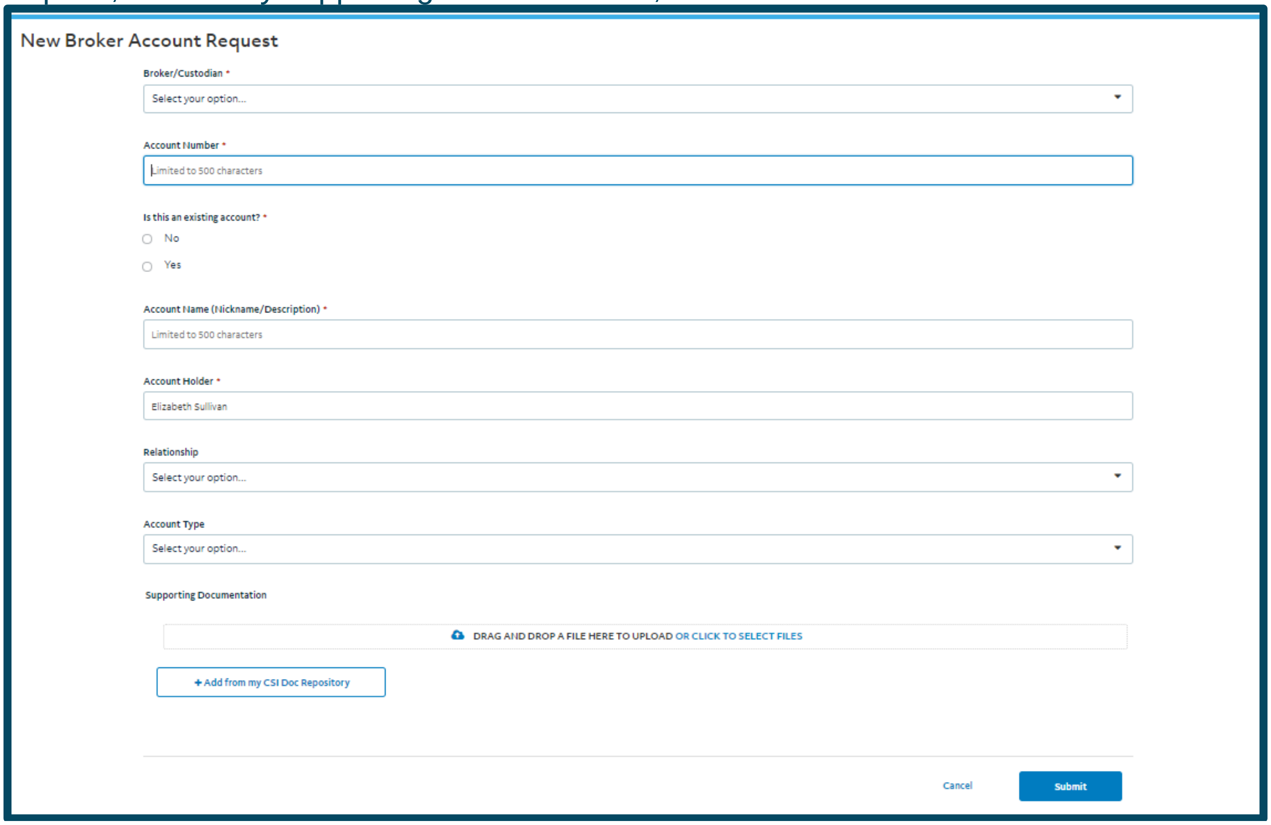


Preclearance Requests

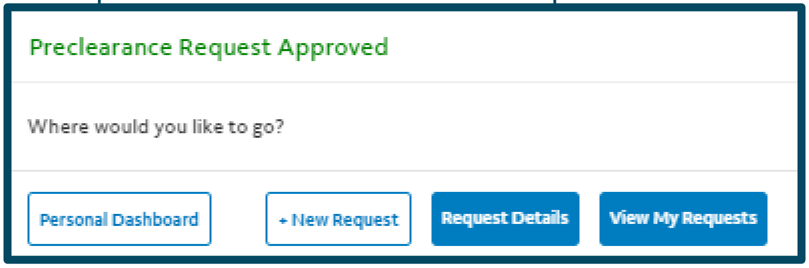
How to Submit a Request

If you would like to make a preclearance request, select **Preclear** from the Preclear/Self-Report toggle on the top of your Personal Dashboard and click on the type of request.

On the request details page, fill in all relevant information about the preclearance request, attach any supporting documentation, and click **Submit**.



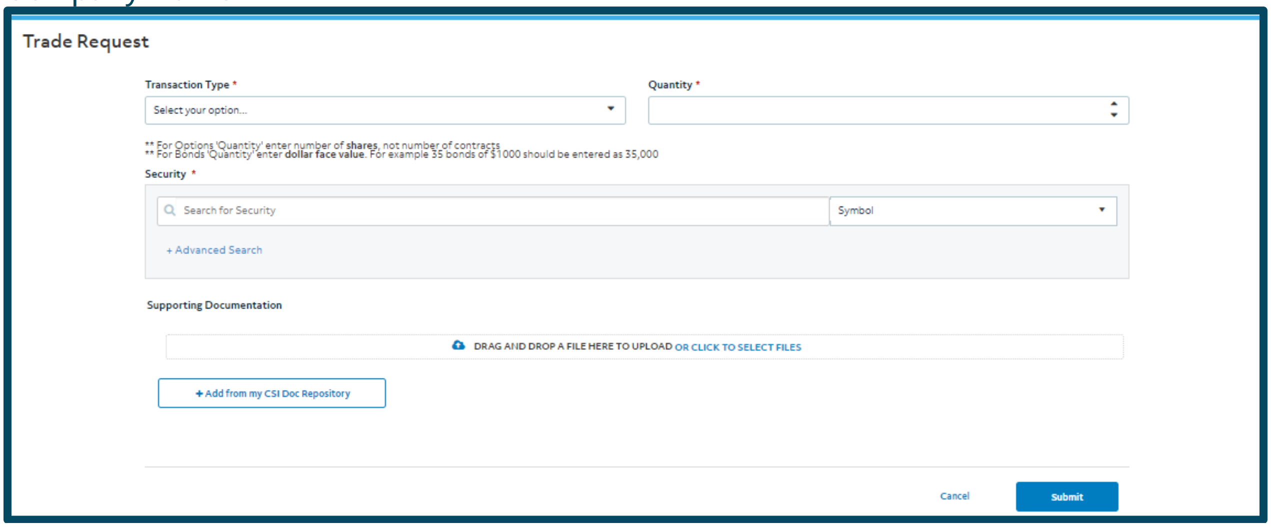
After submission, a box will appear summarizing the request details as well as the request status. Some requests will be automatically approved or denied, while others will require additional review from a Supervisor.



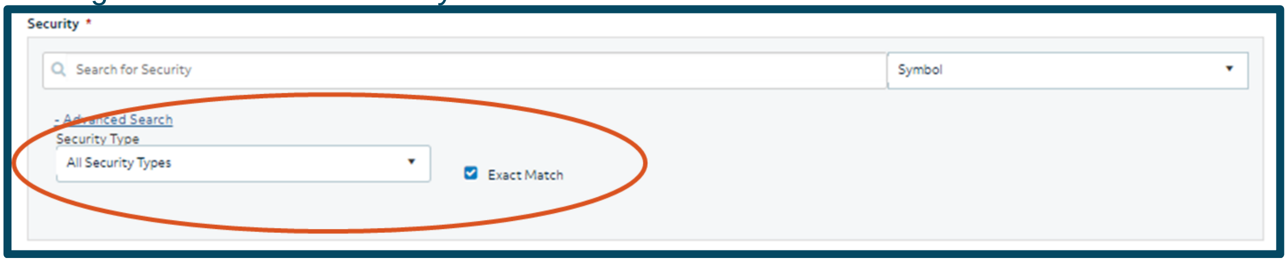
Submit a Trade Request

From your Dashboard click **Preclear** from the Preclear/Self-Report toggle and select Trade or select My **Preclearance > Add Request** from your left navigation menu and click **Trade** from the add request page.

Fill out relevant details including the transaction type and number of shares. To add the security type, click **Search for Security** and type in the security details. Note: **Search for Security** defaults to "Symbol", which is not always unique. Simply select the exact Security Identifier (i.e. ISIN, CUSIP, etc.) to render better results or to search by Company Name.



Click **Advanced Search** when searching for options, bonds, or futures, or securities on a limited number of exchanges. Broaden the search by deselecting **Exact Match** and/or clicking on the selected security to confirm the details are correct.

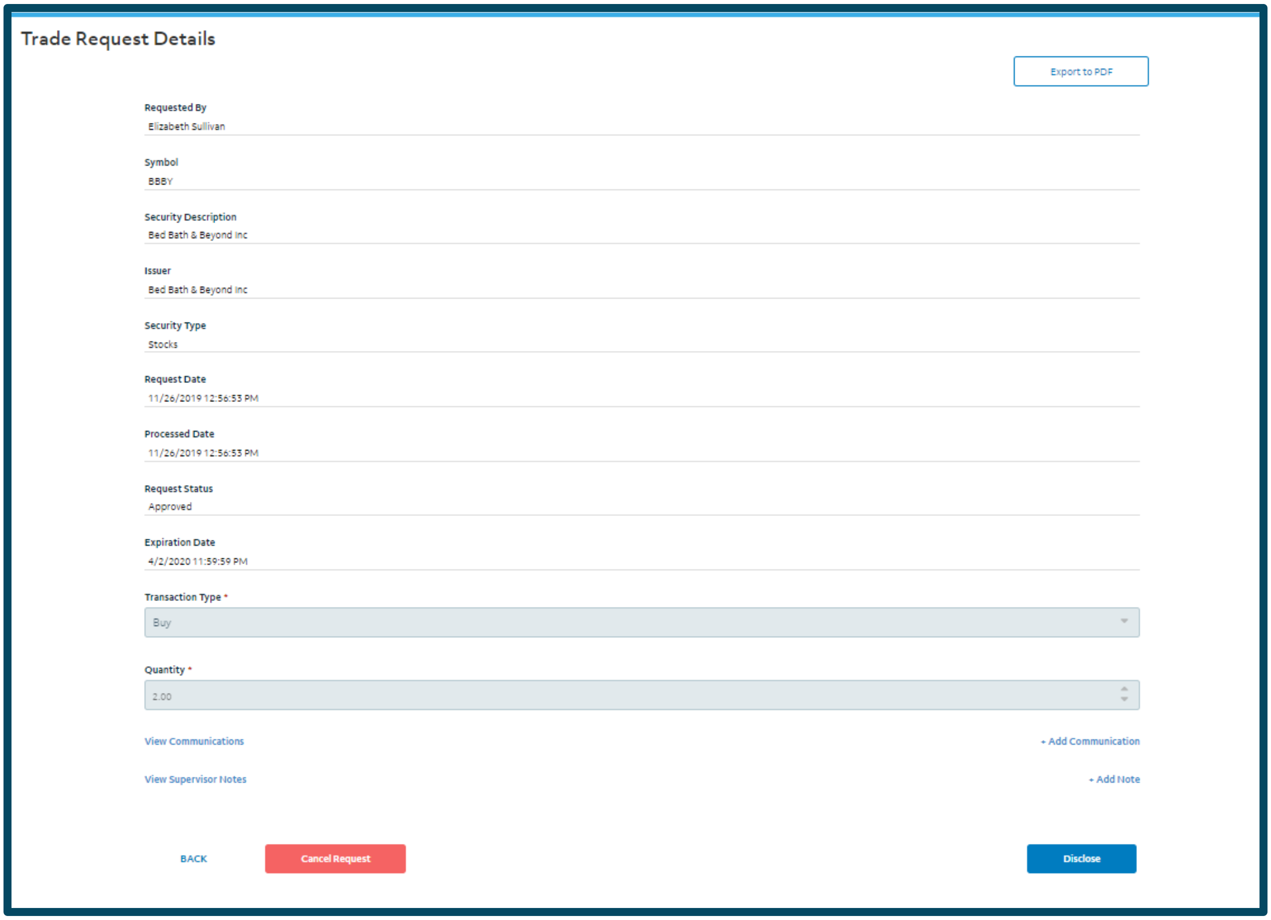


Disclose Approved Preclearance Trade Requests

After a preclearance request has been approved, it is very important to disclose the trade upon trade execution so it can be saved as a **Data Record** in ComplySci. This tells the system that not only was the trade request made and approved, but ultimately that you have moved forward with purchasing or selling the security.

To disclose the approved trade, Click on the specific trade request from **My Preclearance > Preclearance History** or from **Preclearance Requests** on your Dashboard.

Once on the Request Details page, click **Disclose**. Then, review the details and click **Save.** The completed request (Trade, Donation, Affiliation, etc.) will now be saved as a **Data Record.**



Reset Password

If you forget your ComplySci Password, resetting it is very simple. First, navigate to your ComplySci login page. Under the password box, select **Forgot Password**.

Then, enter your User Name and click Reset to trigger a reset password email. Follow the instructions from the email to create your new password. If you forgot your user name, please refer to your *Welcome to ComplySci* email or ask your Compliance team.