

## 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.

### **Who can register on NetXInvestor?**

If there is a natural person as an account holder with the following information on file:

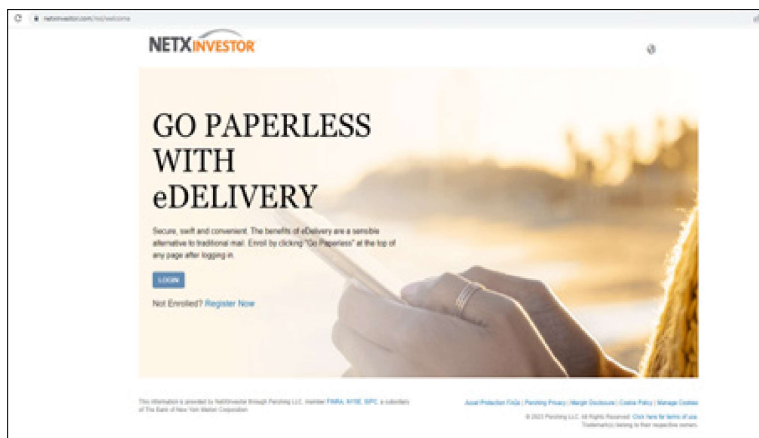
- Full name
- Date of birth (DOB)
- Social Security Number (SSN)

### **Eligible registration types:**

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

For more information on eligible registration types or assistance with registering on [www.netxinvestor.com](http://www.netxinvestor.com), 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**

The screenshot shows the "Online Registration" page. At the top, the NetX Investor logo is on the left. Below it, a progress bar shows six steps: 1. Welcome, 2. Terms & Conditions, 3. Profile Information, 4. Identity Verification, 5. User ID & Password, and 6. Confirmation. Step 2 is currently selected. The main heading is "Welcome". Below it, a subheading reads: "The registration process will allow you to create a new user ID and password with which to access your investment information on this site." There is a text input field labeled "To do so, please enter the first three characters of your account number:" with a "Go" button next to it. At the bottom, there is a blue button labeled "Start Registration". At the bottom of the page, there is fine print: "This information is provided by NetX Investor through Pershing LLC, member FINRA, NYSE, SIPC, a subsidiary of The Bank of New York Mellon Corporation." and "Asset Protection Policy | Privacy Policy | Merge Disclosure | Contact Policy | Manage Content".

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

The screenshot shows the "Online Registration" page, Step 2: Terms & Conditions. At the top, the NetX Investor logo is on the left. Below it, a progress bar shows six steps: 1. Welcome, 2. Terms & Conditions, 3. Profile Information, 4. Identity Verification, 5. User ID & Password, and 6. Confirmation. Step 2 is currently selected. The main heading is "Terms & Conditions". Below it, a subheading reads: "Read and agree to the terms and conditions of the Identity Verification Agreement before proceeding." There is a text input field labeled "I agree" with a checked box. At the bottom, there is a blue button labeled "Continue". At the bottom of the page, there is fine print: "This information is provided by NetX Investor through Pershing LLC, member FINRA, NYSE, SIPC, a subsidiary of The Bank of New York Mellon Corporation." and "Asset Protection Policy | Privacy Policy | Merge Disclosure | Contact Policy | Manage Content".

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

The screenshot shows the 'Profile Information' step of the registration process. The progress bar at the top indicates the current step. The form includes fields for First Name, Last Name, Address Line 1, Address Line 2 (optional), City, State, Zip Code, Social Security Number, Date of Birth, 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. It asks the user to answer questions to verify their identity, specifically asking which of the following years they lived in Monticello. The options are 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. It includes 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 box on the right provides password rules: 1. not contain name 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.

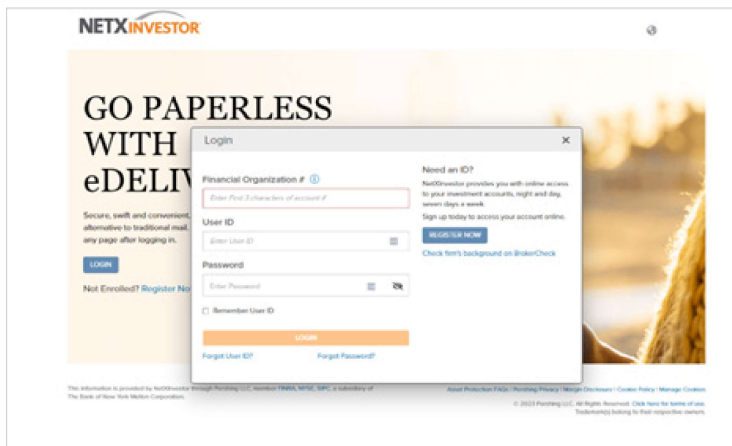
- The following confirmation screen will appear once completed. A confirmation email will be sent to the email address provided.

The screenshot shows the 'Online Registration' page for NetXInvestor. At the top, there is a progress bar with six steps: 1. Welcome, 2. Terms & Conditions, 3. Profile Information, 4. Identity Verification, 5. User ID & Password, and 6. Confirmation (which is currently selected). Below the progress bar, a green checkmark icon indicates that the user ID has been created successfully. The user ID is 'cambridge2023', the Financial Org # is '501', and the Email Address is 'techaccess@cir2.com'. A message states that a confirmation email has been sent to techaccess@cir2.com and that the user must click the link in the email to complete registration within 3 calendar days. It also notes that failure to do so will result in termination of the user ID and re-enrollment will be necessary. A prompt asks the user to print the page or write down their user ID and keep it in a secure place, as they will need it to access their documents. A 'Return To Our Homepage' button is located at the bottom right. At the very bottom, there is fine print regarding information provided by NetXInvestor through Pershing LLC, member FINRA, NYSE, SIPC, a subsidiary of The Bank of New York Mellon Corporation, and links to Account Protection, Planning, Privacy, Margin Disclosure, Contact Policy, and Manage Account. It also includes a copyright notice for Pershing LLC and a link to the Terms of Use.

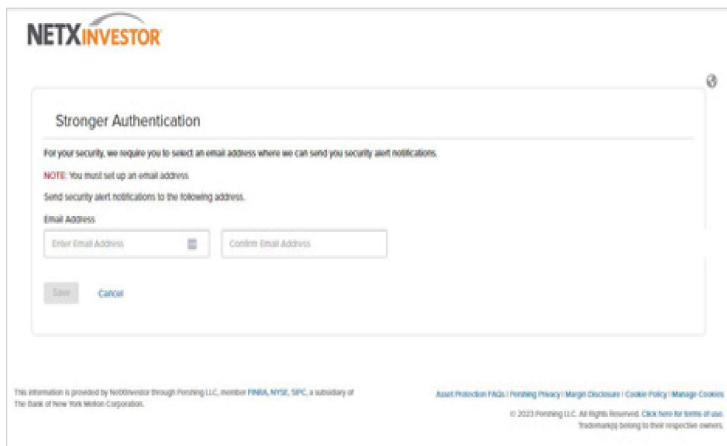
- Open the confirmation email and select **Click Here** to be redirected to the NetXInvestor webpage to finish the registration process.

The screenshot shows an email from Cambridge Investment Research Inc. The header includes the company name 'CAMBRIDGE INVESTMENT RESEARCH INC' and the date '06/16/2023'. The body of the email thanks the user for registering for online access to their investment information with [www.netxinvestor.com](http://www.netxinvestor.com), a service provided on behalf of CAMBRIDGE INVESTMENT RESEARCH INC. It then provides instructions to complete the registration process and enroll for paperless delivery of account communications. It states that clicking a link (represented by a blue box) will complete the registration, or alternatively, the user can cut and paste the link at the bottom of the email. It also mentions that if the user wants to stop receiving paper copies and begin receiving e-mail notices, they can log in to their account at any time and click the 'Go Paperless' logo to change their preferences. At the bottom, it provides contact information for any questions regarding [www.netxinvestor.com](http://www.netxinvestor.com), directing the user to contact CAMBRIDGE INVESTMENT RESEARCH INC. The NetXInvestor logo is displayed at the bottom of the email.

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.

**NETX INVESTOR**

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.

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'. Below this is a red note: 'NOTE: You must set up and verify at least one contact method.' A 'Contact Method' dropdown menu is shown with a blue question mark icon and a 'Select Contact Method' button. At the bottom, there is a 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](#)'."/>

NETXINVESTOR

### One-Time Passcode Setup

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

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

Contact Method ⓘ  
Select Contact Method

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](#)

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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:

SMS Terms & Conditions'."/>

NETXINVESTOR

### One-Time Passcode Setup

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

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

Contact Method ⓘ Phone Number ⓘ Device Nickname ⓘ

SMS/Text +1 US Enter Phone Num Enter Nickname Verify Cancel

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](#)

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Email:

The screenshot shows the 'One-Time Passcode Setup' page on the NETXINVESTOR website. The page has a white background with a blue header containing the NETXINVESTOR logo. Below the header, there's a section titled 'One-Time Passcode Setup' with a sub-header 'The one-time passcode is a temporary code we send to your selected device to confirm your identity. [Link me more](#)'. A red 'NOTE' states: 'You must set up and verify at least one contact method.' Below this, there are three input fields: 'Contact Method' (a dropdown menu with 'Email' selected), 'Email Address' (a text box with placeholder 'Enter Email Address'), and 'Device Nickname' (a text box with placeholder 'Enter Nickname'). To the right of these fields are 'Verify' and 'Cancel' buttons. At the bottom of the form, there's a line of text: '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'. The footer contains small text about the information being provided by NetInvestor through Pershing LLC, member FINRA, NYSE, SIPC, a subsidiary of The Bank of New York Mellon Corporation, and links for Asset Protection FIDIC, Pershing Privacy, Margin Disclosure, and Credit Policy Manager. It also includes a copyright notice for 2023 Pershing LLC.

Voice Call:

This screenshot is similar to the one above, showing the 'One-Time Passcode Setup' page. However, the 'Contact Method' dropdown menu now has 'Voice' selected. The 'Email Address' field is replaced by a 'Phone Number' field, which includes a dropdown for the country code (currently '+1 USA') and a text box for the phone number with placeholder 'Enter Phone Num'. The 'Device Nickname' field remains. The 'Verify' and 'Cancel' buttons are still present. The same footer text and links are visible at the bottom of the page.

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

The screenshot shows a modal dialog box titled 'OTP Verification'. The main text says: '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 a text input field for the 'Enter One Time Passcode.' and two buttons: 'VERIFY' and 'CANCEL'. To the right of the input field, there's a 'NOTE' section: '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.' Below the note, there's a section titled 'Didn't Receive a Code? Please make sure:' with two bullet points: 'The code is being sent to the correct phone number.' and 'Your mobile provider or SPAM filters do not block third party messaging.' At the bottom right, there's a button labeled 'Send A New Code'.

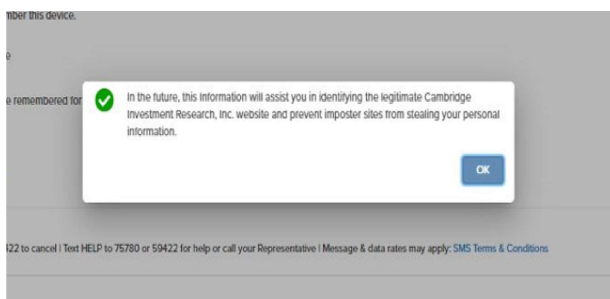
15. Optionally, check **Remember My Device** and select **Save**. Checking Remember My Device will eliminate the requirement to get a One-Time Passcode upon login for 120 days on that specific device.

The screenshot shows the 'One-Time Passcode Setup' page for NETXINVESTOR. It includes a note about the passcode being a temporary code. Below this, there are fields for 'Contact Method', 'Phone Number', and 'Device Name'. The 'Phone Number' field is filled with '(555) 555-5555' and has a 'Verified' status. There is a 'Save' button. Below the form, there is a section titled 'Remember My Device' with a checkbox labeled 'Remember My Device'. A note states: 'NOTE: Your device will be remembered for 120 days.' At the bottom, there are links for 'Help' and 'Cancel', and a footer with contact information and terms of service.

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

The screenshot shows an email from NETXINVESTOR. The header includes the NETXINVESTOR logo. The body of the email starts with 'Dear Client,' followed by a paragraph stating that the 'Remember My Device' feature was enabled on 05/16/2023 for the CAMBRIDGE INVESTMENT RESEARCH INC account. It explains that this feature allows access without a passcode for 120 days. A second paragraph advises contacting CAMBRIDGE INVESTMENT RESEARCH INC for assistance if the feature was not enabled. A third paragraph recommends using a unique, strong password. The email concludes with 'This message is automatically generated. Please do not reply directly to this message.' and 'Thank you.' followed by a horizontal line.

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



18. 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**.

19. 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	MAILING ADDRESS
[REDACTED]	[REDACTED]
<input checked="" type="checkbox"/> THIS [REDACTED]	FAIRFIELD 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, saving yourself a week in the mailbox. 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 SECOND ADDRESS HERE

Accept

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.

