

Investor Portal

USER GUIDE FOR FIRST-TIME LOGIN AND USER ID COMMUNICATION

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This User Guide contains illustrations and screen shots that are representative of information available within the secure pages of the Investor Portal website. The information contained herein is for discussion purposes only and is subject to change without notice. Please refer to the secure web pages for additional details on use and/or applicable disclosures.

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1. Introduction

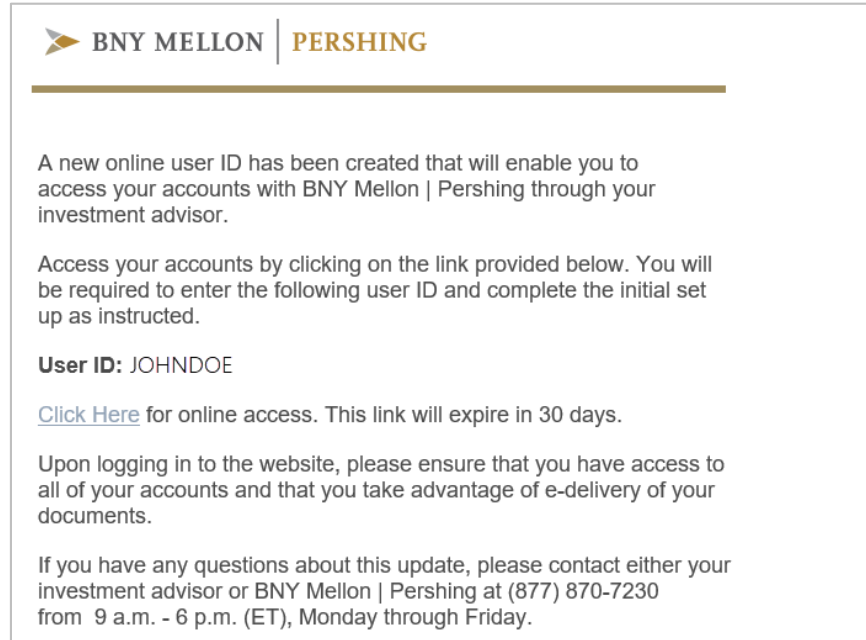
This guide provides you with information on how to:

- Access the Investor Portal for the first time
- Configure One-Time Passcode
- Log in to the Investor Portal from recognized and unrecognized devices in the future

2. Initial Access to Investor Portal

First-Time Login and User ID Communication

1. You will receive an email from edelivery@investor.pershing.com containing the user ID and temporary URL to login. The subject line of the email will be "Online Account Access: User ID Request Complete."



Notes:

- If the email address fails, an **Email Failure** letter with the user ID is sent.
 - If you are enrolled in e-delivery of documents, you will also receive an e-delivery enrollment email. Email failures will result in an e-delivery de-enrollment letter being sent to the address of record on the account.
 - The temporary URL expires after 30 days. If you are accessing the site for the first time after 30 days, you must contact your investment advisor to log in directly to investor.pershing.com with temporary password credentials.
2. Click the **Click Here** link provided in the email.
 3. Enter your mother's maiden name and date of birth and click **Continue** as displayed below.

2. INITIAL ACCESS TO INVESTOR PORTAL

Your account: instant, safe, always on.

Login

User ID: JOHNDOE

Mother's Maiden Name

Date of Birth (mm/dd/yyyy)

Hide Response

CONTINUE

Quick Quote

Enter Symbol or Name

Need a User ID?

If you do not have a User ID, sign up today to access your account online.

REGISTER CHECK STATUS

Notes:

- Once you provide your mother's maiden name and date of birth correctly, you will be required to set up One-Time Passcode and password for your online access to your account electronic communications.
- If you answer incorrectly three times, you will be locked out and must contact Pershing Advisor Solutions to unlock your account.

4. In the **New Password** and **Confirm New Password** fields, enter the new password.

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Reset Password

Enter a new password using the Password Rules.

New Password

Enter Password

Confirm New Password

Enter Password

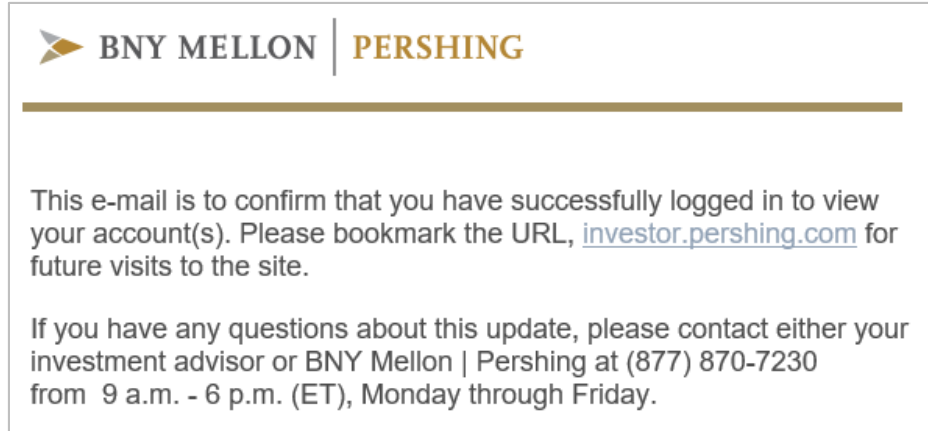
To create an acceptable password your password must :

1. not contain PERSHING ADVISOR SOLUTIONS LLC 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 your first, last or middle name
5. not contain 3 repeating characters. For example, AAA222CCC
6. not contain reversal of PERSHING ADVISOR SOLUTIONS LLC ID
7. not contain PERSHING ADVISOR SOLUTIONS LLC related terminology. For example,
8. contains at least one uppercase and one lowercase letter

Tip: Passwords can contain the following special characters:
& * @ : \$ = ! - % . # ? _ |

CANCEL CONTINUE

5. Click **Continue**. The **Security Email Setup** page displays.
6. Enter your email address in the fields provided and click **Continue**.
7. Configure One-Time Passcode (OTP) contact method when prompted. See the Configure One-Time Passcode section below for more information.
8. Click **Continue**. The **Go Paperless** page displays.
9. Click the **Update Preferences** button to set up your e-delivery instructions.
10. After setting up the e-delivery instructions, the **Investor Portal** home page displays.
11. Once successfully logged in, you will receive a confirmation email as displayed below. To access the site in the future, please use the Web address, **investor.pershing.com**.



Configure One-Time Passcode (OTP) Contact Method

One-Time Passcode protects your online information from unauthorized access.

1. Once logged in, **the Security Email Set Up** page displays.

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Security Email Setup

For your security, we require an email address where we can send you security alert notifications.

NOTE: You must set up an email address

Send security alert notifications to the following address.

Email Address

ADD A NEW EMAIL | johndoe@test.com | johndoe@test.com

CANCEL CONTINUE

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2. Enter your email address in the fields provided and click **Continue**. The **One-Time Passcode Setup** page displays.
3. Select a **Contact Method** from the list (Voice Call, Text/SMS, and Email), provide appropriate information in the fields that display and click **Verify**. The **Verify Your Contact Method** window displays.

2. INITIAL ACCESS TO INVESTOR PORTAL

Verify Your Contact Method

We sent you a code to verify the email address you provided. The code was sent to JANEDOE@TEST.COM (janedoeemail) by Email.

Enter the code below.

[CANCEL](#) [VERIFY](#)

NOTE: NOTE: You should receive a code within seconds. The code expires in 20 minutes. If you replied STOP to any of our previous messages you will not receive the code. For Help, call (877) 870-7230.

Didn't receive a code? Please make sure:

- The code is being sent to the correct phone number or email.
- Your mobile provider or spam filters do not block third party messaging. If you are unsure, contact your provider.

[Send a New Code](#)

4. Enter the passcode that was sent to your selected contact method.

Tips:

- It is recommended that you set up more than one Contact Method.
- If you did not receive a code, click **Send a New Code**.

5. Click **Verify**. The **One-Time Passcode Setup** page displays a confirmation that the contact method is successfully verified.

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One-Time Passcode Setup

The One-Time Passcode is a temporary code we send to your device to confirm your identity. [Tell me more.](#)
NOTE: You must set up and verify at least one contact method.

Contact Method	Email Address	Device Nickname	
Email	JOHNDOE@TEST.COM	doemail	✔ Verified

[Add Another Method](#)

Remember My Device

Would you like to access your accounts from this device in the future without the need for a One-Time Passcode?
Check "No" if you are using a public device

Yes No

6. To access Investor Portal from this device in future without a passcode, select **Yes** for **Remember My Device** and click **Continue**. The **Investor Portal** home page displays.

3. Future Access to Investor Portal

You can access Investor Portal by going to the investor.pershing.com website or using the BNYM | Pershing mobile application.

Note: Download the Investor Portal mobile application by searching for **BNYM | Pershing** on Google Play Store or Apple App Store.

Login (Recognized Device)

1. Go to: **investor.pershing.com** or open the Investor Portal mobile application.
2. Enter your user ID and password, and click **Continue**. The **Investor Portal** home page displays.

Note: Click **Forgot Password** if you do not remember your password. You will be prompted to verify your security email address and identify using a one-time passcode.

Login (Unrecognized Device)

1. Go to: **investor.pershing.com** or open the Investor Portal mobile application.
2. Enter your user ID and password, and click **Continue**. The **Verify Identity** page displays.

Notes:

- To remember your user ID the next time you access Investor Portal, select the **Remember User ID** option.
- Click **Forgot Password** if you do not remember your password. You will be prompted to verify your security email address and identify using a One-Time Passcode.

3. Verify your identity by providing a passcode.
 - Select a contact method where you want to receive the passcode.
 - Click **Send Code**. A passcode is sent to the selected contact method.
 - Enter the passcode and click **Continue**. If the passcode is correct, the **Investor Portal** home page displays.

Tip: If your device is secure, select **Yes** for the **Remember My Device** option. You will not be asked to verify your identity if you turn on this option.

3. FUTURE ACCESS TO INVESTOR PORTAL

The screenshot shows a two-step process for receiving a One-Time Passcode. Step 1, 'Select Contact Method', features a dropdown menu with 'doemail : Email' selected and a 'SEND CODE' button. Step 2, 'Once you receive your code enter it here', has a text input field with a masked password '.....'. A note below states: 'NOTE: You should receive a code within seconds. The code expires in 20 minutes. If you replied STOP to any of our previous messages you will not receive the code. For Help, call (877) 870-7230. Didn't get a code?'. The second screen, 'Remember My Device', asks 'Would you like to access your accounts from this device in the future without the need for a One-Time Passcode?'. It includes a checkbox 'Check "No" if you are using a public device' and radio buttons for 'Yes' (selected) and 'No'. A note below says: 'NOTE: Your device will be remembered for 120 days'. There are 'CANCEL' and 'CONTINUE' buttons. At the bottom, there is a text block: 'Text STOP to 75780 or 59422 to cancel | Text HELP to 75780 or 59422 for help or call (877) 870-7230 | Message & data rates may apply: SMS Terms & Conditions Supported wireless carriers: AT&T Mobility, Boost, Metro PCS, Nextel, Sprint, T-Mobile, Verizon Wireless'. Fine print at the bottom left reads: 'Investor Access is provided by Pershing LLC, member FINRA, NYSE, SIPC. Brokerage accounts introduced by Pershing Advisor Solutions LLC, member FINRA, SIPC. Clearing, brokerage custody & other related services provided by Pershing LLC. Bank custody and private banking solutions are provided by BNY Mellon, National Association (BNY Mellon, N.A.), member FDIC. Pershing, Pershing Advisor Solutions and BNY'. Fine print at the bottom right reads: '© 2019 Pershing LLC. All Rights Reserved. View the terms of use. Trademark(s) belong to their respective owners'.

Note: If you are locked out of the site on an unrecognized device, you cannot request a One-Time Passcode to reset your password. This is done for your protection and prevents someone from resetting a password fraudulently. For support, contact Pershing Advisor Solutions at (877) 870-7230.

Logout

- On the **Investor Portal** home page, click **Logout**.