



CONTINENTAL
STOCK TRANSFER & TRUST

Information Technology

INDEPENDENT SPIRIT. RELENTLESS DEDICATION.

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ControlBook Reporting

Real-time data, anytime you need it.

Our proprietary ControlBook Reporting application (“CBR”) allows authorized client personnel to generate real-time reports to track issued and outstanding shares of common stock, treasury and associated reserve balances. In addition, related unvested common shares and convertible securities (preferred, warrants, etc.) can also be tracked and downloaded.

This application is a reconciliation necessity for issuers to manage regulatory filings, audit confirms, corporate action activity and preparing proxy material. Issuers can obtain outstanding shares, authorized share and reserve balances.

Highlights

- Simple and accurate
- Real-time data 24/7
- Intuitive navigation
- Direct access to detailed reports online or export
- All records are displayed from inception
- Allows up to 6 decimals for partial shares
- Select setting preferences
- Mandatory password change for enhanced security



A video tutorial is available to show the application's ease of use and its detailed features.

You will have direct online access to outstanding share data and produce reports between two dates. Reports include the date of the instructions, the date of processing, transaction description with shareholder reference, sequence numbers and corresponding changes in the issued and authorized shares and reserve balances.

CONNECT WITH YOUR ACCOUNT MANAGER AND GET STARTED NOW

or email accountadmin@continentalstock.com or cbrhelp@continentalstock.com

ContinentaLink

ContinentaLink provides 24/7 access to individual shareholder account data through a secure portal. For our authorized issuer contacts, ContinentaLink offers access to shareholder account details, a variety of reporting features and much more.

Examples of Client Reports Available on ContinentaLink

Geographic Breakdown

The following fields are listed for each code:

- Description of residence code
- Number of shareholder with that code
- Percent of total shareholders
- Number of shares for that code
- Percent of total shares

List of Shareholders

This report evidences the shareholder list for any given issue, which includes: account number, registration, aggregate share total, and percentage of that share total. This list can be customized to isolate particular shareholders, such as:

- Restricted shareholders (based on individual restriction codes, or across the board for all stops)
- Largest shareholders (based on percentage, or number [5, 10, 20 largest, etc.])
- Special shareholders (directors/insiders, employees)

Omnibus Proxy List

This report details the votes underlying CEDE & CO. (street shares), on the Proxy List. A complete breakdown of the participant and their total voted/not voted.

Issue Authorized

This report details the authorized, issued, outstanding, treasury, plan and reserve shares for any given issue, as well as the total number of accounts active and inactive, and plan participants thereto.

Ownership Breakdown

Summary of each owner code in the issues selected.

The following fields are listed for each code:

- Description of Owner code
- Number of shareholders with that code
- Percent of total shareholders
- Number of shares for that code
- Percent of total shares

Proxy List

This report details the voted/not voted status of registered shareholders, including the method by which the shareholder voted (telephone, internet, or card), their vote pattern, and their meeting attendance selection. This list may be customized in the exact same fashion as the List of Shareholders, enabling easy targeting of large shareholders who have not yet voted.

Proxy Summary

This report details the votes cast per proposal, as well as percentage of shares voted, percentage of accounts votes and when/if quorum has been attained.

ContinentaLink

Examples of Client Reports Available on ContinentaLink (continued)

Holding Size Breakdown

Summary of each share range in the issues selected. The following fields are listed for each code:

- Description of the range
- Number of shareholders within that range
- Percent of total shareholders
- Number of shares for that range
- Percent of total shares

This list is completely customizable to allow for any range of shares to be searched, in any increment.

Shareholder Extract

A download version will include a detailed overview of a shareholder's account, including specialized coding (such as ownership type & residence code). Additional information is also available, such as contact details, date of last contact, and tax payer ID certification status.

Transfer Journal

A daily record of all transactions involving shareholder accounts, which include the registration of transferor/transferee, number of shares, involved in the transaction and type of transaction.

Participant List

Essentially a shareholder list, whereby you may isolate "Plan Participant", this list can be run on any plan attached to any issue and customized in the same fashion as the List of Shareholders.

Check Extract

This report details payments made to shareholders, including payment type (check, ACH, wire), payment status (cashed, held, replaced), payment date and status date.

A video tutorial is available upon request to show the application's reporting capabilities. Please note: this tutorial was specifically designed for issuers to view and is not for shareholders.



Our Solutions

Transfer Agency

- Dedicated Account Management Team
- Employee Staffed Contact Center
- Reinvestment Administration
- Restricted & Legal Transactions
- Dividend Disbursement
- DWAC & DRS
- Annual Meeting & Proxy Service
- Lost Shareholder & Escheatment

Affiliated Services

- Newswire Services
- Proxy Solicitation & Governance
- Fulfillment Services
- Market Intelligence Services
- Post Mergers
- Stock Plan Services

Corporate Actions

- Tender & Exchange Agent
- Redemptions
- Rights Agent / Poison Pill
- Stock Splits
- Mergers & Acquisitions
- Odd-Lot Programs
- Dutch Auctions
- Cash & Stock Escrows

Special Services

- IPOs
- SPAC Trustee Services
- Emerging Companies
- Escrows
- Post Bankruptcy Services
- Warrant Agent
- Global Transfer Agency

As a privately - held trust company, our singular focus translates into an exceptional, exacting solution delivered at the best possible price.

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