



**CONTINENTAL**  
STOCK TRANSFER & TRUST

# Notes

## FROM THE CHAIRMAN

SPRING 2020 NEWSLETTER

INDEPENDENT SPIRIT • RELENTLESS DEDICATION

### IN THIS ISSUE

- 2 Letter from the Chairman
- 4 Welcome New Talent
- 5 Get to Know Our Team
- 6 In Memoriam Bruce Jacoby
- 7 ContinentaLink Tutorial
- 8 Latest News Highlights
- 10 New Transfer Agent Customers
- 11 Virtual Shareholder Meeting
- 12 ControlBook Reporting Enhancements
- 14 Abandoned Property/ Lost Shareholders Search
- 15 NCOA Mailing Program



Steve Nelson  
President & Chairman

Connect with me directly  
at 212.845.3201

“

*You guys have been absolutely fabulous. Your service currently is as spectacular as it was before this crisis. Thank you for your services and keep safe.*

”

– Mark Turfler  
Senior VP & Chief  
Financial Officer,  
RF Industries Ltd.

## LETTER FROM THE CHAIRMAN

I write to you now in what can only be described as unusual and challenging times. We have all faced the current national health emergency created by the COVID-19 pandemic and, of course, that brings enormous challenges to every aspect of our business and personal lives this year. Insofar as Continental is concerned, I have reported to our customers almost weekly with regard to the many steps we at Continental have taken relating to the COVID-19 pandemic and its effects on our business and yours. It is not my intention here to repeat all of the many steps we have taken since triggering our Pandemic Plan on March 4, 2020. However, the key point is that we have continued to service all of our customers and their shareholders without any interruption or diminution in our services from March 4 to today. This is attributable to our advance planning and testing over the past four years of our Pandemic Plan and Business Continuity Plan. This planning has allowed us to stay open throughout while functioning mostly on a remote basis.

*Kudos also to our incredible managers and employees who continue to work for our customers 24 hours per day, 7 days per week under the most difficult circumstances.*

Additionally, in response to the challenges posed by the pandemic for this year's annual meeting season, we were able to develop and roll out on an expedited basis an extremely robust and effective virtual meeting platform. Our leadership group, including especially Bob Zubrycki, Director of Mail and Proxy Services, is what has allowed our Proxy and Mail Services to operate throughout and to effectively create and execute on our virtual meeting offerings. We have already enabled a number of our customers to successfully hold annual or special meetings using our proprietary virtual meeting platform in a seamless and effective fashion. Indeed, our customers have been glowing in their commendations of Bob and his staff as well as the easy-to-use platform itself.

In this regard it is noteworthy that legacy Broadridge, which has handled broker mail and distribution, as well as street proxy tabulation for many years, has not fared as well with their virtual meeting product. We have heard from existing customers as well as former customers who have tried to utilize Broadridge's virtual meeting offerings that their platform and performance quite simply disappoint. Net result: Continental now offers a proprietary virtual meeting platform that outperforms the competition; and we have over 60 virtual annual meetings already scheduled with many more to follow. Those who are interested in testing and/or utilizing the virtual meeting platform should reach out to their administrators as soon as possible to make sure that we can handle your scheduling needs.

## 2020 Business Conditions So Far

2019 was a record year for Continental across all business lines. In terms of revenues, income and net income we achieved record results and far surpassed the prior year in every way. Our core stock transfer business continues to grow in a meaningful way, particularly in the community and regional bank space.

Similarly, in the SPAC arena Continental continues to dominate. In fact going back to the second half of 2019 and thus far into 2020, Continental has achieved 100% market share in acting as Transfer Agent and Trustee on US SPAC IPOs. Indeed, recent market reports indicate that SPACs have constituted more than 50% of the 2020 IPO market, and Continental has handled them all! We have a significant pipeline of SPAC IPOs ready to go this month which will only serve to increase our IPO market share going forward. While SPACs were for many years almost an incidental part of the IPO market, they are now quite obviously a core component.

While the COVID-19 outbreak and its effects on business and the markets have been severe to say the least, the only noticeable effect on the SPAC IPO market has been a one month pause from mid-March to mid-April. This is a testament to the resilience and strength of the SPAC product in that it offers investors tremendous optionality so that they can invest and get their money back if they so choose, or alternatively rely on the business expertise of proven sponsor groups to identify and operate attractive businesses. With over 90 completed SPAC IPOs currently seeking business combination targets, it will be interesting to see if they can all find worthy targets. Bottom line: SPACs continue to proliferate at an unprecedented rate and we have expanded to meet that challenge. Our SPAC leaders Fran Wolf and Mark Zimkind as well as our accomplished Account Administration team have done a tremendous job in handling all the complexities of both the SPAC IPO process and the business combination/ redemption process. Our success in this ever-expanding space is a testament to our unique proprietary platform developed over more than 15 years and to our dedicated team as well.

As you may expect, our Corporate Actions and Paying Agency businesses have slowed during the pandemic crisis. While we still are executing on many transactions, the volume has surely dropped off. We anticipate that mergers and acquisitions business will pick up toward the end of 2020 and into 2021 as both public issuers and private equity firms are expecting to find attractive targets emerging from this challenging environment.

*(Continued on page 4)*

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*I just wanted to let you know how much I appreciate your help with the 2019 annual shareholder's meeting of MGM Holdings Inc. It was a lot of hard work and I know you put in a lot of time and effort into getting the proxies out and tabulating the ballots. You have also been so kind and patient with me throughout the process (and not just for the annual meeting preparations but also with the share transactions!) and you've helped me learn so much!! Thank you again!*

”

– Joan Lee  
MGM Holdings, Inc.

*(Letter continued from page 3)*

## Industry Update

In my last newsletter piece, I highlighted my continuing role on the Executive Committee of the Securities Transfer Association (STA) relative to industry initiatives and interfacing with the Commissioners and staff of the SEC. While we were making significant progress on the serious issues surrounding proxy plumbing, as you might imagine that progress has seemingly stalled during the pandemic. Issuers continue to be dogged both in terms of excessive fees charged by intermediaries, including Broadridge, and the lack of integrity in the proxy voting system. Issuers simply do not get to communicate directly with their beneficial holders under the current system, and over-voting and a lack of pre-mailing reconciliation severely undermine the integrity of the voting system.

The STA continues to work with the SEC and Commissioner Roisman in trying to break this logjam which has existed for over 20 years. To move things forward, we met recently with the staff of Corporate Finance, as well as the Chairman's office. Both were very receptive to our positions on behalf of Issuers and our industry, although the immediate future is uncertain. We will keep you apprised of developments as they occur.

During the COVID emergency, I and the Executive Committee of the STA have met a number of times with the staff of Trading and Markets seeking exemptive relief for Transfer Agents who may be challenged under existing conditions in meeting SEC processing rules; and we also urged the Commission to provide issuers with exemptive relief allowing them to postpone and adjourn their annual meetings without fear of SEC sanctions. Thankfully, we were able to obtain exemptive relief for both transfer agents and issuers with the much appreciated help of the Trading and Markets staff.

Finally, I thought you might like to know that while Continental Stock Transfer & Trust Company qualified for significant forgivable loans under the Federal Stimulus Package and the CARES Act, we chose to forego such loans/grants in favor of the many deserving businesses who have suffered so much and might otherwise be unable to get their loan request satisfied. We felt that as good citizens this was absolutely the right thing to do, as we are all in this together. Additionally, we recently made significant contributions to COVID-19 relief efforts here in New York City – to the doctors, nurses and frontline workers who have worked so heroically while risking their lives. I remain confident that we will successfully meet the great challenges facing us by continuing to pull together and thank you for your support.

## Welcome New Talent/Employees

Continental Stock Transfer & Trust is pleased to employ dedicated professionals to contribute value to our organization and ensure quality service to our customers. We welcomed the following team members so far in 2020:

- Anthony Borino – *Corporate Actions Administrator*
- Karen Lazar – *VP & Director of Corporate Action Services*

## Get to Know Our Team

**Marlene Cunningham-Minggia,**  
*Administrative Assistant &  
Assistant Corporate Secretary*



Marlene recently celebrated 27 years with Continental Stock Transfer & Trust Company.

She served 23 years as Executive Secretary to the then COO of Operations, Donald Gress. As Senior Auditor within the Audit Control Department, her responsibilities include audit confirmation preparation for SPAC clients, shareholder accounts, and periodic and fiscal year-end audit confirmations for CPA firms representing Continental's large client base. Marlene's role also coordinates communication between shareholders, company contacts and their professionals to provide details on account status and share position details. And, she manages billing data for Continental's new client relationships, including SPAC and co-agent clients.

Marlene's qualities of being a self-starter, highly motivated, result oriented, and her experience in the industry were obtained from involvement in various entities. She is an excellent communicator with the ability to focus on a goal and achieving it. Marlene grew up in Toronto, Canada, where she garnered an Associate's Degree in Business Administration from Humber College. She now resides in New Jersey, and her passions include: reading, cooking, traveling and driving long distances where she can discover new places and venues.

**Tinka Welch,**  
*Administrative Assistant,  
Client Administration*



Tinka joined Continental Stock Transfer & Trust Company in June 2019 as the Administrative

Assistant/Client Administration. Although she is new to the transfer agent industry, her organizational skills, adaptability, eagerness to learn and personable personality made her a great fit for the position. Tinka is responsible for streamlining workflow between the Client Administration team, Director of Client Administration and other departments. Besides performing traditional daily administrative duties and assisting the Account Managers as need be, Tinka also helps to maintain the company's client database.

Prior to coming to Continental, Tinka led a sales-driven retail career as a Professional Personal Shopper for many years. A lover of fashion, with an acute focus on customer satisfaction, she built a loyal client base including international, high-end and business clientele, later expanding into bulk and corporate sales. Due to her success, she was able to freelance her services; specializing in personal & professional styling, capsule wardrobes and closet organization.

Today, her biggest client is her daughter who she takes pleasure styling daily. Tinka enjoys traveling and spending time with her family. A good book or fun DIY project is her go-to when she has free time.

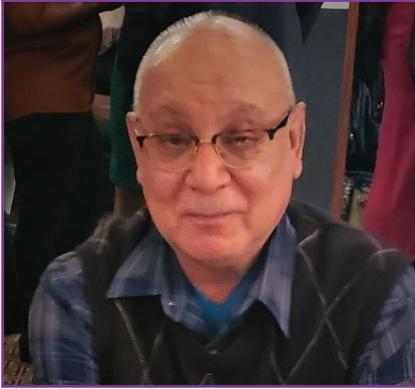
**Ernest Wilson,**  
*Vice President,  
Corporate Actions*



Ernest joined Continental in 2015, bringing 37 years of financial industry experience. While his

expertise is in managing corporate actions operations, Ernest has also worked in brokerage, banking and custody for major institutions. He has also consulted, working as a business analyst on system implementations, and process development and improvement. Ernest's strongest passion is team building, and he always says, "There are fewer business pleasures than a team that brings everyone's strengths and ideas together to succeed."

Ernest is originally from Jersey City, NJ, and currently resides in North Brunswick. He enjoys spending his free time with his wife Tawanna (recently married in 2018) and visiting his daughter, Jewel, in Michigan. If you have ever met Ernest, you have heard a Jewel story. Ernest loves the NBA and spends most weekends bowling or playing a round of golf.



## In Memoriam

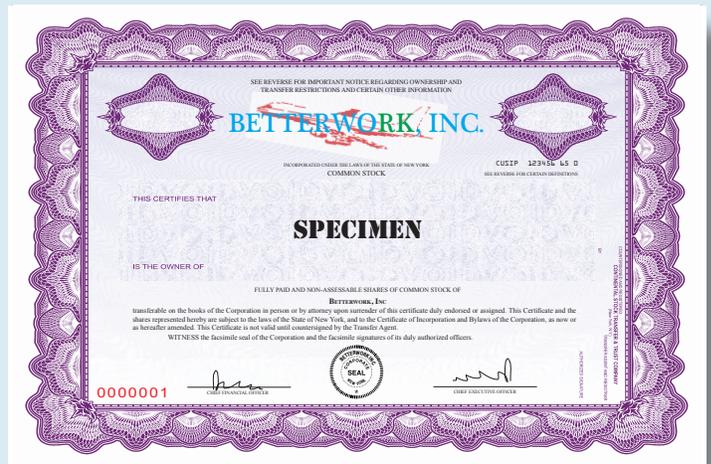
We remember with sadness and love our friend and colleague Bruce Jacoby who passed away in April from Covid-19. Bruce served Continental and our customers for over 26 years with great distinction, always bringing to his many friends and customers a bright light no matter how challenging the times that he faced. We miss him so much already and he will always be in our thoughts and hearts.

## Certificates on Demand

At Continental, we have the ability to create stock certificates for your shareholders on safety paper with all required and regulated security features, and we offer an array of border colors as well.

We create the artwork from an existing certificate or we have the ability to custom design a layout utilizing your logo, corporate seal, cusip, officer signatures and other information pertaining to your stock issue.

We offer certificates for every class of stock, public or private, including a custom design for a warrant issue transaction. The cost is considerably less than a traditional financial printer.



*Please connect with your Account Manager or email [accountadmin@continentalstock.com](mailto:accountadmin@continentalstock.com) for more information on this product.*



*Have a good weekend [Ana], and just to note we appreciate all of your support and consistently great service through these times – very fortunate to work with you.*



– Brian Wolfe  
General Counsel  
Innovative Industrial Properties, Inc.

## ContinentaLink Tutorial

Continental's intuitive issuer and shareholder portal, ContinentaLink, has been a helpful tool to connect issuers and shareholders with account information. We are excited to announce a tutorial has been created to provide issuers insight on the informative and robust features of the data platform.

**Connect with your Account Manager or email [accountadmin@continentalstock.com](mailto:accountadmin@continentalstock.com) for more information on access to this tutorial.**

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*Thank you for leading me through our first year! It went very well and I appreciate your input and patience during my transition.*

”

– Connie Ganz  
Sr. Vice President/  
Customer Service  
First State Bank



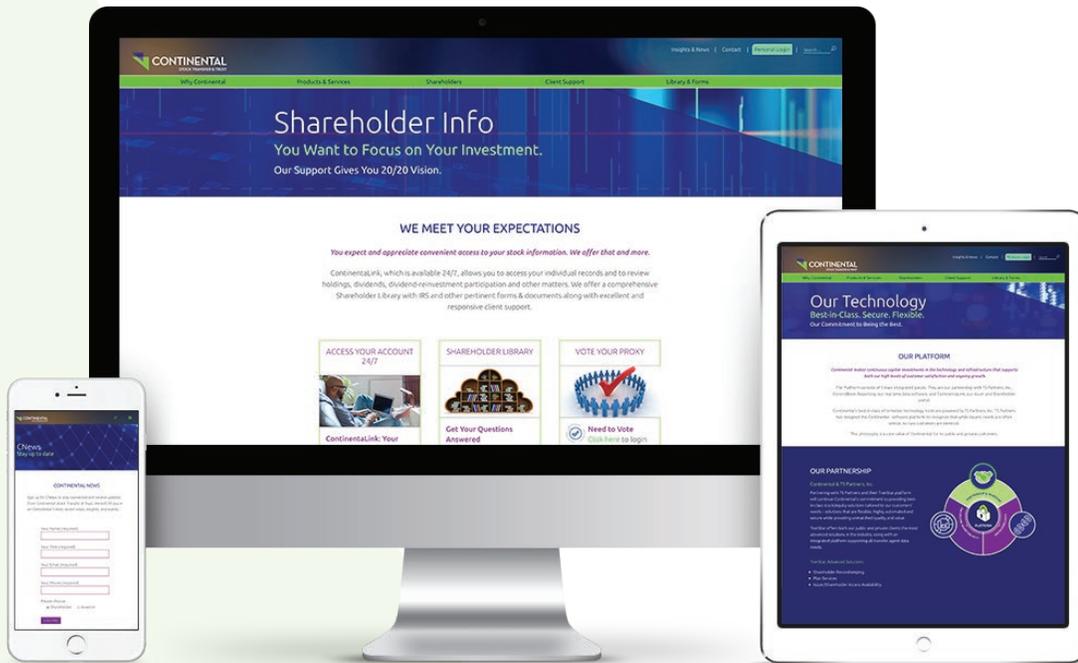
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*Many thanks to the entire Proxy Services team at Continental. Your professionalism and customer support were remarkable throughout this very difficult time.*

”

– William Aprigliano  
Senior Vice President  
The First of Long  
Island Corporation

# LATEST NEWS HIGHLIGHTS



## Refreshed Website Launch

We are excited to announce our newly designed website will go live in the first week of June.

*Our clients will receive an email on launch date.*

## “Bling Helmets”

Erika Young, Continental’s VP & Account Manager and her landlady (pictured in yellow gown below) decorated and donated “Bling Helmets” for the local Montefiore Hospital in New York. She continues to decorate and donate helmets for the healthcare professionals to spread love and support during the pandemic.



## 2020 CSTT Sponsored Conferences

### Acquire or Be Acquired Conference – Bank Director

Continental was a proud sponsor of the “2020 Acquire or Be Acquired” Conference hosted by Bank Director in Phoenix, AZ on January 26-28.



*Miranda Van Dell, Henry Farrell, and Karri Van Dell at the Continental Stock Transfer & Trust booth*

### SPAC Conference – DealFlow Events

Continental was also a proud sponsor of the SPAC Conference hosted by DealFlow Events in New York on February 6.



*Continental's President & Chairman, Steven G. Nelson, moderating the "Best Practices for Investor Communications" panel at the SPAC Conference*



*Karri Van Dell, Lexie Grindstaff, Bank Director – Client Relations Manager, and Henry Farrell prior to the conference opening session*



*Michael Mullings, Margaret Villani, and Henry Farrell at the Continental Stock Transfer & Trust booth, accompanied by (not pictured): Steven Nelson, Fran Wolf, and Mark Zimkind*

## NEW TRANSFER AGENT CUSTOMERS NOV 2019-APRIL 2020

Accel Entertainment, Inc. – IL  
AdaptHealth Corporation – PA  
Alta Equipment Group Inc. – MI  
Alussa Energy Acquisition Corp – Cayman Islands  
Amplitude Healthcare Acquisition Corp – NY  
Atlas Technical Consultants, Inc. – TX  
BE Resources, Inc. – Canada  
Betterware De Mexico SA de CV – Mexico  
BiomX Inc. – Israel  
Bogota Financial Corp – New Jersey  
BP Holdco LLC – DE  
Brooge Holdings Limited – UAE  
CHP Merger Corp – NJ  
Churchill Capital Corp. III – NY  
CIIG Merger Corp. – NY  
CITIC Capital Acquisition Corp – China  
CNB Community Bancorp – MI  
CNS Pharmaceuticals, Inc. – TX  
DFP Healthcare Acquisition Corp – NY  
dMY Technology Group, Inc. – NV  
East Stone Acquisition Corp. – MA  
FinServ Acquisition Corp – NY  
Flying Eagle Acquisition Corp. – CA  
FSD Pharma Inc – Canada  
Galileo Acquisition Corp – NY  
Global Atomic Corporation – Canada  
Glory Star New Media Group Holdings Limited – China  
Gores Holdings IV, Inc. – CA  
Green Vision Acquisition Corp – China  
Greenland Technologies Holding Corporation – China  
Greenrose Acquisition Corp – NY  
Grid Dynamics Holdings, Inc. – CA  
Healthcare Merger Corp – NY  
Inception REIT, Inc – CA  
International General Insurance Holdings, Inc – Jordan  
InterPrivate Acquisition Corp. – NY  
Juniper Industrial Holdings, Inc. – NJ  
KLDDiscovery, Inc. – VA  
LGL Systems Acquisition Corp. – NV  
LifeSci Acquisition Corp – NY  
LIV Capital Acquisition Corp – Cayman Islands  
Merida Merger Corp – NY  
Merrill Corp – MN  
Meten EdtechX Education Group, Ltd – China  
MPX International Corporation – Canada  
New Frontier Health Corp – China  
Newborn Acquisition Corp. – China  
Osprey Acquisition Corp II – PA  
Precision Biologics, Inc. – MD  
PropTech Acquisition Corp – WY  
SCVX Corp. – DC  
Software Acquisition Group, Inc. – NV  
Stable Road Acquisition Corp – CA  
Staffing 360 Solutions, Inc. – NY  
Tapinator, Inc. – NY  
Texas Security Bancshares, Inc. – TX  
Union Acquisition Corp II – NY  
World Class Extractions, Inc. – Canada  
Xpel, Inc. – Canada  
ZOOMMD Technologies, Inc. – Canada

“

*Ms. Debbie, you have the best customer skills and patience I have ever encountered. She is a great resource and representative of your organization. Her tenacity to assist was overwhelming to me. Very competent, gracious and provided information that I followed precisely. This is my heartfelt THANK YOU. U R THE BEST.*

”

– Charles R. Fulco, Jr.,  
Shareholder, El Dorado Resorts, Inc.

## VIRTUAL SHAREHOLDER MEETING HIGHLIGHT & REFRESHED ANNUAL MEETING GUIDE

### Virtual Shareholder Meeting

The 2020 annual meeting season has certainly been one of significant change and challenge. Due to the Covid-19 pandemic, we, our clients and the industry have been forced to adapt to a new means of conducting business in a short amount of time. As a result, the number of and demand for virtual shareholder meetings has skyrocketed. Continental Stock Transfer and Trust Company (CSTT) is dedicated to providing our issuers with the means and ability to achieve their goal of executing a safe and successful annual meeting during these unprecedented, difficult times. Prior to the pandemic, CSTT and our partner EZOnline had been evaluating and designing a Virtual Shareholder Meeting (VSM) platform to add to its extensive suite of proxy services. As conditions throughout the country continued to worsen, CSTT and EZOnline hastened its efforts to bring its virtual meeting platform to market. We are extremely proud and happy to report that not only has the product been fully implemented but we have also successfully conducted several virtual shareholder meetings with an additional 40+ meetings scheduled over the next few months.

CSTT's VSM provides all the elements of an in person meeting without all of the logistical concerns of an in person meeting. Our platform which operates in

conjunction with our hosting and voting sites is fully secure, safe and effective, providing our issuers with more options while eliminating the need for travel or the requirement to organize costly in person meetings.

The platform requires attendees to authenticate themselves prior to admittance and enables both registered as well as beneficial holders who have obtained a control number to vote and ask questions during the meeting. Our platform was designed for convenience, ease of use and security. We allow for customization and accommodate multiple issuer presenters through audio only, as well as hosting a slideshow as part of your virtual meeting experience. Our platform utilizes a dedicated, secure CSTT managed URL to ensure the safety of your meeting. Verified shareholders have the ability to listen to the meeting through the VSM site or through a designated listen only dial in number. Questions from shareholders can be submitted through the VSM site and or an issuer designated email address. Shareholders can vote prior to or while participating in the meeting up until the polls are closed. A summary of shareholders registered for the meeting, as well as questions submitted, will be provided to the company. Playback recordings will be available within 24 hours of the meeting and fully accessible for up to 12 months. Our platform is administered by dedicated personnel who monitor and support your meeting.



**If you are interested in learning more about this exciting and innovative product or if you would like to schedule your virtual annual meeting please reach out to your Account Manager or contact our Proxy Division at 917-262-2373.**

**< Check out our refreshed Annual Meeting Guide!**

# CONTROLBOOK REPORTING ENHANCEMENTS

Michael Mullings, Chief Compliance Officer

*The state-of-the-art ControlBook Reporting system (“CBR”) continues to evolve as we continue to get constructive input from our client users. Updates were last made in 2017 as reported in the Chairman’s Fall 2018 Newsletter.*

CBR allows clients’ authorized personnel to create “real time” reports to track issued and outstanding shares for Common Stock, treasury and associated reserve balances, plus any related unvested common shares and convertible securities (Preferred, Warrants, Debentures etc.).

This application has become a reconciliation and information necessity for issuers for a variety of reasons including mandatory regulatory filings, corporate actions and annual meetings all of which have declared record dates or filing deadlines. Issuers need to know their outstanding shares, their authorized share balances or reserve balances at any time.

## REPORTS 24/7

***CBR is a web-based reporting system which will allow you to request “real time” reports 24-7.***



*Sneak peek at the new website product page*

You will have direct access via our website to check your outstanding shares or produce reports of any kind between any two dates from inception of our services to current date.

You will have the option of paging through detailed reports online or exporting to print a report. A report will reference detailed descriptions of each line item reflecting the date of the instructions, the date of processing, transaction description with shareholder reference, sequence numbers (if provided) and the corresponding changes in the issued and authorized shares and reserve balances.

***The system is user-friendly concentrating on:***

- i. simplicity and accuracy
- ii. accessibility
- iii. intuitive navigation
- iv. aesthetics
- v. basic and detailed information

The proprietary system is first rate, easy to use and we believe it separates us from our competitors.

To satisfy the additional needs of our clients, we have continued to make enhancements to the application and the latest updates are summarized below:

- All records are now displayed from inception meaning all line items starting with the initial authorized balance are now visible. Previously, the initial display was only for the last three (3) years which forced the user to run a full list from the inception date to get the full picture. The client feedback reflected that users did not know the inception date and had to go through multiple trials.
- We have increased the number of decimal places available for viewing all outputs (authorized balance, issued, reserves, treasury). Previously, it was limited to two decimal places. We have now enhanced this feature out to six decimal places. In addition, the user has the ability to change the setting to the number of places they desire (0 to 6 decimal places). This is done by clicking on the User Name (Hello John Doe) and choosing Preferences. The pop-up window gives the option to toggle the number of decimal places both for the online display and the exported reports. Click Update when completed.

- Another feature updated is the default Issue and Reserve. This is akin to “Favorites” and will be the Issue and Reserve page that opens when accessing the application. For issuers with multiple issues (common stock, warrants, unvested common stock etc.) and multiple reserves, this is a valuable feature. The preferred issue may be selected at set up or changed at any time. As with decimal places, the user can access Preferences and make the required selection. CSTT administrators will typically select common stock as the default issue and reserve 1 as the default reserve.
- The application now allows the changing of issues from the main screen. Simply click on the Issue (COM/PFD/WTS) and the pop-up window will offer the option to change it. The same change option is available in the Reserve selection.
- Finally, we have enhanced security by imposing a mandatory change in the password policy. Passwords will now expire after 45 days and will need to be changed by the user.

Currently 70% of our client base are enjoying the advantages of ControlBook Reporting. If you do not have access or were previously unaware of the existence of this application, please communicate with your Account Manager to obtain access credentials and to start tracking “real time” changes in your outstanding shares. You should also be aware that an unlimited number of personnel are permitted to access the application.

*A comprehensive four minute tutorial is available to show how easy it is to use the application.*

**GET STARTED NOW and connect with your Account Manager or email [accountadmin@continentalstock.com](mailto:accountadmin@continentalstock.com) or [cbrhelp@continentalstock.com](mailto:cbrhelp@continentalstock.com).**

## ABANDONED PROPERTY/LOST SHAREHOLDER SEARCHES

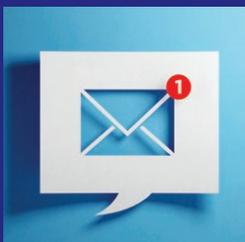
*From time to time we are asked about our process for locating lost shareholders and their abandoned property. Continental Stock Transfer & Trust has an agreement with Keane to assist our issuers in locating lost shareholders. Keane plays a pre-eminent role in this field, acting on behalf of scores of high-profile Fortune 500 companies, as well as a number of large transfer agents.*

Keane provides mandatory due diligence of lost and unresponsive shareholders' accounts under SEC Rule 17 Ad-17. This rule was instituted by the SEC in an effort to both reduce the instances of shareholders who lose contact with their property, as well as, assist in reuniting shareholders with their assets.

The 17 AD-17 due diligence process entails two "mandatory searches" as outlined in the SEC Rule. These searches are cost free to the shareholder. As part of Keane's abandoned property services, Keane offers your shareholders an additional search alternative, which is their asset-recovery program. The program locates abandoned property not found during the mandatory searches. Keane then offers your shareholders the opportunity to sell recently recovered assets at rates that are lower than customary brokerage fees. Keane charges a fee for this asset recovery service.

As always, shareholders continue to have the opportunity to contact Continental directly to update their shareholder information and address at no charge, rather than utilizing Keane's recovery services. The advantage to the issuer in the location process is that any previously abandoned property is returned to the rightful owner, and not escheated in accordance with the dormancy periods prescribed by the various states. Accordingly, your escheatment charges are reduced and most shareholders are reunited with their underlying assets.

Again, SEC rule 17 Ad-17 search process is cost free to the shareholder. Processing fees charged by Continental are not borne by the shareholder.



## CNEWS

### HOW TO GET ON OUR MAILING LIST

Sign up for our "CNews" electronic newsletter! CNews offers updates on Continental's most recent news, insights, events, and more.

**To sign up, go to: <http://eepurl.com/g33PX9>**

**Follow us on Social Media**    

## NCOA MAILING PROGRAM

*As part of Continental's commitment to provide our customers and their shareholders with the best possible service, we have incorporated the use of the National Change of Address Database (NCOA) as part of our suite of services.*

### What is NCOA?

NCOA is a secure dataset of approximately 160 million permanent change-of-address (COA) records consisting of the names and addresses of individuals, families and businesses who have filed a change-of-address notice with the USPS. The NCOA database is maintained by the United States Postal Service and access to it is licensed to service providers and made available to mailers.

### How does this help you?

Continental matches shareholder addresses against the NCOA database and receives back a file

with both the old and new address. Continental will then perform a mailing to both the old and new address requesting confirmation from the shareholder of the new address prior to updating our records. This search process in conjunction with Continental's lost shareholder searches and due diligence mailings ensure that we minimize the number of lost shareholders, thereby reducing the number of shareholder records being turned over to the states as abandoned property. This benefits issuers by reducing abandoned property filing costs and minimizing shareholder angst by not having their assets turned over to the states.

An additional benefit of using the NCOA process is that it allows Continental to maintain discounted mail rates which helps reduce mailing costs to our customers.

We process our files through the NCOA database every 95 days so we can keep our shareholder addresses as up to date as possible.

“

*Just wanted to take a moment to acknowledge the FANTASTIC job Erika did all last week in assisting me with retrieval of my stock certificate. She followed up on every email/phone call to ensure my certificate was in my possession. Even taking the time to inquire about my well being doing this pandemic crisis. Job well done!!! She was AWESOME.*

”

– Gregory Sewell  
Shareholder  
Waitr Holdings, Inc.

## Our Solutions



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

Connect With Karri VanDell 212.845.3224