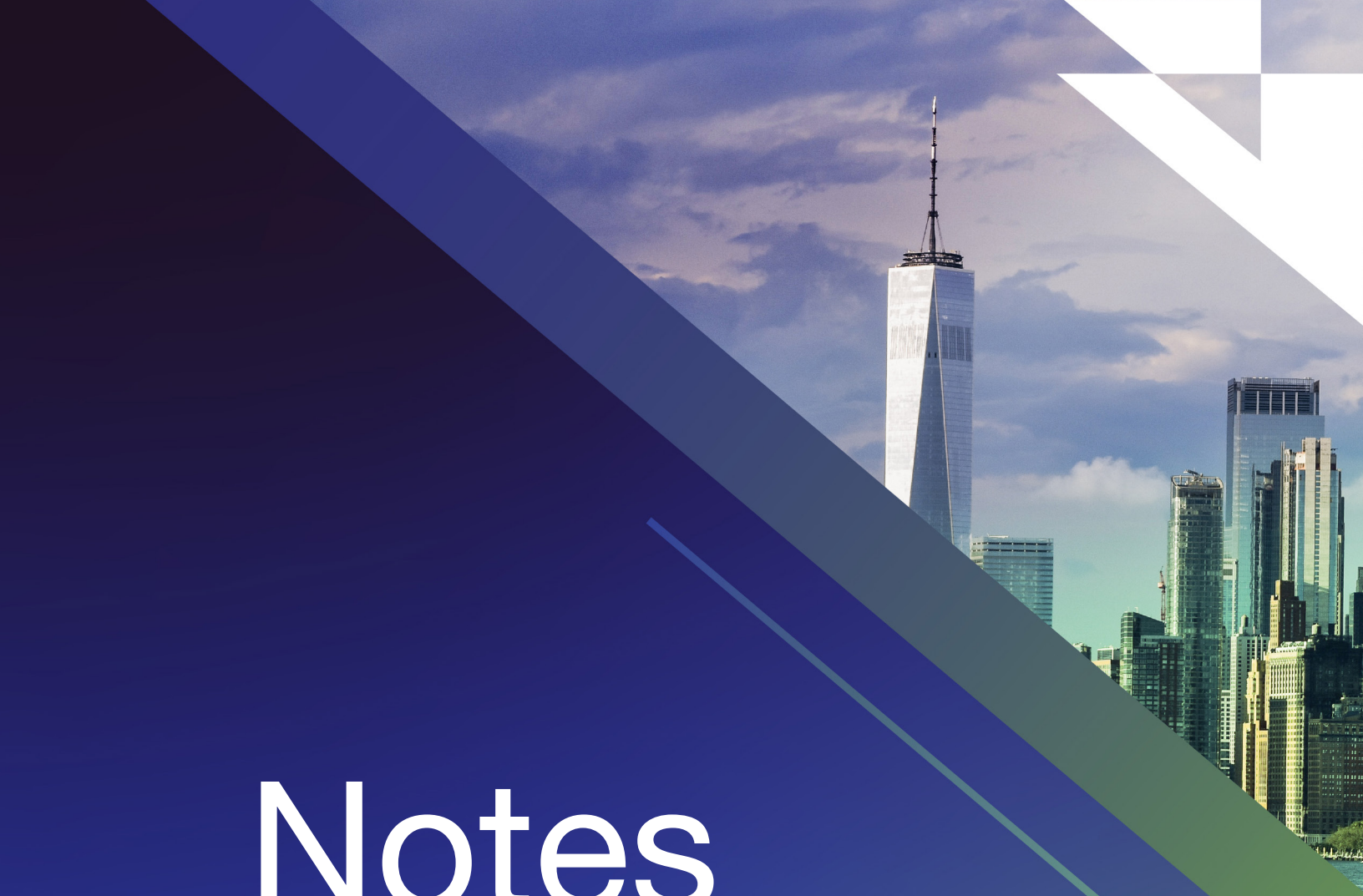

Notes From the Chairman

Winter
2026

CONTINENTAL
STOCK TRANSFER & TRUST

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Notes From the Chairman

When I wrote to you in May the geopolitical situation had become more uncertain because of the Iran war which spawned a global oil crisis and declines in the world markets. Since then Iran's closing of the Strait of Hormuz has created a spike in oil prices, and of course, significant inflation, yet the Russia-Ukraine war has intensified rather than winding down without any end in sight. The world markets which had declined have once again risen to all-time highs — amazing given all of the above events!

On the securities front, 2026 has spawned approximately 250 IPOs of which 150 have been SPAC IPOs, a significant uptick for SPACs. Of course the largest IPO this year was the SpaceX IPO which garnered $85 billion. That was supposed to set off a mad race for mega IPOs which never came to fruition. Anthropic, OpenAI and other mega IPOs remain on the sidelines for now. In the SPAC arena it appears that there will be over 200 SPAC IPOs completed in 2026, but only 40-45 business combinations are likely to close. The lack of business combinations has now gone on for almost two years and has created a significant logjam where hundreds of completed SPAC IPOs are still waiting to find their targets and close mergers. Strange since there are reportedly 16,000 private equity portfolio companies past their sell by date!



Steven Nelson
President & Chairman

Connect with me directly at 212.845.3201

Lost Shareholder Searches

As you are likely aware the 50 states have different abandoned property or escheatment laws which require compliance by the issuer relative to the property of their shareholders. In order to augment our SEC mandated searches to locate missing or inactive shareholders, Continental works with Abandoned Property Advisors LLC ("APA") to locate lost shareholders using their deep search expertise and technologies. While APA mails to potentially lost shareholders who did not respond to the SEC search and charges a fee for their services, shareholders may always seek to update their shareholder records and avoid unnecessary escheatment at no cost by merely contacting Continental directly.

2026 Business Conditions So Far

2026 has been a great year indeed for Continental! Continental has continued to maintain a dominant market share of the SPAC market, which is a testament to our unique proprietary platforms for handling the business combination/redemption stage and for oversight of our hundreds of trust accounts for SPAC customers. It is also a testament to the expertise and dedication of the SPAC trust services group, led by Fran Wolf, and the business combination/redemption group led by Mark Zimkind. The same can be said of our Account Administration group led by Maggie Villani and Henry Farrell. All told Continental has now handled more than 1,700 SPAC IPOs, and over 800 business combinations — simply amazing! While small upstart competitors have emerged in the SPAC space they have failed to gain traction for good reason – a lack of experience and expertise. Continental has been the gold standard in the SPAC space for over 20 years based on our preeminent and proven performance, and we continue. We are grateful to our dedicated staff, to our many new customers and to our underwriter and law firm partners for their continued support.

Industry Update

At the time of our last newsletter Paul Atkins had just become the Chairman of the SEC. What has happened since is simply breathtaking! I have been on the Board of the Securities Transfer Association (STA) for over 20 years during which time the STA has proposed many industry changes and transfer agent rule changes which have sat dormant during my entire tenure. Those days are over!

In recent months the Commission has made clear that it supports significant changes with regard to crypto and digital asset regulation. The Commission's Crypto Task Force led by Commissioner Hester Peirce surveyed and took comments from every corner of the digital asset space to craft new rules. That spawned the Innovation Exemption which was just released on September 17th (press release here). That release granted temporary conditional exemptive relief for certain tokenized security venues to trade tokenized NMS stocks using permissioned automated market makers and liquidity pools. Chairman Atkins described this new exemptive release as a "bridge toward durable rulemaking". Notably, and we believe critically, the Innovation Exemption makes clear that tokenization of an issuer's securities may occur only with the issuer's consent and approval.

For ease in accessing the links identified in this newsletter, please scan this QR code.

I am happy to say that Continental had moved ahead of this release to offer tokenized security processing through our partnership with Securitize, an industry leader in the space and a Continental customer which had itself completed a SPAC Business Combination. The announcement of our arrangement with Securitize may be found here.

Similarly, as noted in the accompanying article by Mike Mullings, our Chief Compliance Officer, Continental has already commenced servicing tokenized securities for several of our issuers and we'd be most happy to discuss with any of our other issuers how to implement their preferred tokenization strategy through Continental and our partners.

As if the foregoing was not enough regulatory change, the SEC after 30 years of sitting on the sidelines finally released their proposed Transfer Agent Rules. This is the major modernization proposal covering registered transfer agents, including electronic recordkeeping and communications, newer services, and blockchain-related activity. It amends existing rules, proposes two new rules, and would rescind one existing rule. The transfer agent rule release spans more than 400 pages and comments are due by November 3, 2026. The STA has formed a work group of which I am a Co-Chair, which is in the midst of formulating robust comments by the deadline.



These massive changes proposed by the Commission follow on the heels of its July 16 Regulation E-delivery, which proposal would generally make electronic delivery the default for many securities law communications without requiring investors to affirmatively opt in first. The proposal would preserve the ability for investors to request paper delivery and applies broadly to issuers, broker-dealers, investment advisors, etc (find here). The STA's comment letter can be found here.

Finally, the Commission released on August 18th its Regulation Crypto Assets for public comment (find here). It would create a tailored offering regime for certain investment contracts involving crypto assets and creating two exemptions from the 33 Act.

All in all, the above noted regulations and proposed rules are breathtaking in their scope and will fundamentally change the digital asset space and the traditional securities regulatory space as well. It is hard to imagine how in the space of 6 months the Commission has crafted this expansive regulatory framework after decades where so little change had occurred. Yet here we are — exciting!



> *I've been meaning to do this sooner, but I personally wanted to thank you and your team for all of the support over the years — I recall when I first worked with CST back in 2014 and ever since then, it's been a pleasurable experience.*
>
> *Importantly, over the past 3 years, with our latest 3 SPACS, I've had a wonderful experience working with Mr. Ian Mckay- he has always been there when I've needed his help and his customer support and attentiveness has been a true professional and an amazing asset — I can't thank him enough!*
>
> *Again, I appreciate all of your help and support and look forward to our long lasting relationship.*
>
> *— Issuer*



Tokenization: Moving From Concept to Market Reality

Written by Michael Mullings, Chief Compliance Officer & Corporate Secretary

Earlier this year, we wrote about tokenized securities and the potential for blockchain technology to change the way securities are issued, held and transferred. Since then, developments have accelerated considerably. Regulatory initiatives have become more concrete, issuer activity has increased, and Continental has continued to advance an approach that allows issuers to utilize tokenization while preserving the protections and accountability of the regulated transfer-agent framework.

Perhaps the most significant development came in September, when the Securities and Exchange Commission proposed the first comprehensive modernization of its transfer-agent rules in decades. In **Release No. 34-106246, Section III.B.2, "Master Securityholder File," pp. 83–87**, the Commission proposes to permit a master securityholder file to consist of multiple linked files or systems, with the technology and format generally left to the transfer agent, subject to the recordkeeping transfer agent's continuing control and responsibility over that authoritative record. The Commission further contemplates electronic and blockchain-based recordkeeping within this framework.

These concepts are particularly relevant to Continental's co-agent approach to tokenization. Under our structure, Continental remains the regulated transfer agent responsible for the issuer's official shareholder register, while a specialized digital asset platform provides the blockchain infrastructure and maintains the beneficial ownership information associated with the tokenized position. Rather than replacing the regulated transfer agent function, the model is designed to incorporate blockchain technology into an existing legal and regulatory framework while preserving a clearly identifiable and authoritative record of ownership.

That underlying principle is not new. In a **September 24, 2019 comment letter responding to the SEC's Concept Release on Harmonization of Securities Offering Exemptions, File No. S7-08-19**, the Securities Transfer Association discussed the obligations imposed on transfer agents under Article 8 of the Uniform Commercial Code and advocated for clearer federal standards, including an express safe harbor for transfer agents handling restricted securities transactions. Although that letter addressed a different regulatory issue, the underlying principle remains relevant to tokenization: technology may change how securities ownership is recorded and transferred, but it does not eliminate the legal framework governing ownership, the responsibilities of regulated intermediaries or the need for appropriate investor protections.

The Commission has also taken steps specifically addressing tokenized securities. In January, SEC staff described an issuer sponsored tokenized security as one in which the issuer or its agent incorporates distributed ledger technology into the systems used to record ownership, including the master securityholder file. The staff also distinguished issuer sponsored tokenization from structures created by unaffiliated third parties, emphasizing that tokenized securities can take materially different forms and provide different rights to holders.

More recently, on September 17, the Commission issued what it termed an "**Innovation Exemption**," providing temporary and conditional exemptive relief intended to facilitate on-chain trading of certain tokenized exchange listed stocks through qualifying Tokenized Securities Venues. Among the conditions imposed, qualifying tokenized shares must provide holders the same rights and privileges as the corresponding traditional securities. The action represents another significant step in the Commission's consideration of how tokenized securities can operate within the existing federal securities framework.

These developments should not be viewed as final answers to the many regulatory, legal and operational questions surrounding tokenization. The transfer agent modernization rules remain proposals, and the Innovation Exemption, while already effective, is temporary and conditional. They do, however, demonstrate that the regulatory discussion has moved beyond the threshold question of whether tokenized securities can exist. Increasingly, the focus is on how tokenized securities can operate within the existing securities law framework while preserving reliable ownership records, appropriate controls, market integrity and investor protection.

That balance between innovation and regulatory discipline is central to Continental's approach.

Tokenization may also have meaningful implications for capital formation. For issuers, the potential benefits extend beyond the way existing securities are recorded or transferred. Tokenized securities could provide additional flexibility in raising capital through the issuance of new equity or debt, while potentially broadening access to investors and markets that may be more difficult to reach through traditional channels. Over time, greater automation in areas such as reconciliation, settlement, recordkeeping and other intermediary functions could also reduce some of the costs associated with raising and servicing capital. In addition, if tokenization contributes to deeper or more efficient secondary market liquidity, that liquidity could enhance price discovery and potentially improve the attractiveness of an issuer's securities to investors. These potential benefits remain dependent on the continued development of the regulatory framework, market infrastructure and investor adoption, but they help explain why tokenization is attracting increasing attention from issuers as well as regulators and market participants.

> *You guys are always so helpful for us. We encourage all deals to use Continental, you are the only ones that provide any help to shareholders.*
>
> *– Counsel*

The potential implications also extend beyond recordkeeping and capital formation. SEC officials have recognized that tokenization has the potential to modernize core market infrastructure functions, including issuance, trading, transfer, settlement and ownership recording. The broader industry discussion increasingly includes the possibility of continuous markets, more immediate movement of assets and, eventually, settlement approaching **T+0**, although substantial operational, liquidity and regulatory considerations would need to be addressed.

Continental is already seeing this transition firsthand. Two Continental issuers are active participants in tokenization programs through Securitize, multiple additional issuers are currently exploring potential tokenization arrangements, and another issuer is pursuing an initiative involving Superstate. This activity demonstrates that issuer interest is no longer merely theoretical. Companies are increasingly evaluating how tokenization may provide additional ways to raise capital, broaden investor access, improve the ownership experience and potentially create more efficient markets for their securities while remaining within an established regulated framework.

The momentum is increasingly difficult to ignore. Tokenization has moved from an emerging concept to an active area of regulatory development, technological investment and issuer implementation. While the precise structure of this market will continue to evolve, we believe tokenization is likely to become an increasingly important component of the securities markets.

For Continental, the objective remains straightforward: to embrace technological innovation without sacrificing the regulatory safeguards that protect issuers and their shareholders. Whether securities ownership is reflected through traditional book-entry records, blockchain technology or a combination of the two, accurate ownership records, effective controls, reconciliation and clearly assigned responsibility remain essential.

> *Sabrina is awesome and really good at helping break down the answers to my questions and show me the next steps to resolve them. Thanks Sabrina!*
>
> *– Shareholder*

As this market continues to develop, Continental intends to remain actively engaged with issuers, technology providers and regulators in developing practical solutions that combine innovation with the protections expected of a regulated financial institution.





Get to Know Our Team



Welcome Peter Traina
Vice President, Trust & Agency Sales

Continental is pleased to welcome Peter Traina to the firm as Vice President, Trust & Agency Sales. Peter joined in 2026 to lead business development across reorganization, escrow, and IPO, and to help expand the firm's trust, escrow, and agency platform, with a particular focus on SPAC and deSPAC transactions.

He comes to Continental after more than a decade inside two of the industry's largest bank trust platforms, which is a large part of why this hire matters. Clients and referral partners already know the Continental operating model: high-touch issuer service, a deep SPAC book, and teams that stay on a file from appointment through closing. Peter's job is to put that model in front of the underwriters, law firms, non-bank financial institutions, and issuers he has covered for years, and then to stay on those relationships once the work is here.

At Citibank he served as Vice President and Transaction Relationship Manager in Agency & Trust, and later in business development. The TRM seat was coverage in the fullest sense: a multi-sector portfolio, daily coordination with product and operations, and the unglamorous work of moving a live deal from conversation to appointment to administration. As Citi's SPAC franchise grew, so did his book. He learned those products from the inside, trust accounts, escrow, agency appointments, follow-on corporate actions, and learned how bankers and counsel actually decide where that work goes. Business development came next: the same relationships, pointed more deliberately at new mandates. Colleagues who work with him now will recognize the habit. He does not treat origination as a handoff. He treats it as the start of a file.

Before Citi, Peter spent several years at BNY Mellon in corporate trust. He started as a Corporate Trust Administrator, moved through section manager and senior section manager, and then to Vice President, Sales and Relationship Manager. That path is unusual in a sales hire and useful here. He has opened accounts, run teams, and originated work against a multi-sector book that included Latin America and SPAC activity. When he talks to an issuer about staffing, timelines, or what happens after the engagement letter, he is not reciting a pitch deck. He has sat in those seats.

What he is here to do for Continental is therefore less "introduce a new product" than widen the front door. Reorganization, escrow, and IPO already live across the firm. Peter's brief is coverage: earlier conversations with bankers and counsel, cleaner handoffs to the reorganization, trust, and shareholder-services teams, and a single relationship owner for sponsors and issuers who are running SPAC, deSPAC, and adjacent capital-markets work. He reports into senior leadership on that expansion and will spend a large share of his time outside the building, which is where this business is still won.

Peter holds a B.A. in Sociology from William Paterson University and previously served as a college mentor with the Pesce Family Mentoring Institute. Those who have worked with him describe the same pattern in both settings: long-cycle relationships, explicit next steps, and a preference for being useful after the first meeting.

Please join us in welcoming Peter. If you are an issuer, underwriter, or advisor with reorganization, escrow, IPO, or SPAC/deSPAC work in front of you, he is the person to call. He is here to build on what the firm already does well, and to make sure the next wave of those mandates lands with the teams that know how to run them.



Get to Know Our Team



Amanda Ramnauth
Administrative Assistant

Amanda began her journey with Continental as a part-time assistant in October 2022. Her dedication and hard work led her to a full-time role within the Mailroom and as a Proxy Services Assistant, where she supported mailings and prepared affidavits upon completion. She now serves as an Administrative Assistant, where she continues to build her skills and contribute to Continental's success.

Before moving to the United States, Amanda completed her education and took on her first role as an academic teacher, which led her to her next role managing a computer school in Guyana. Since relocating to New York, she has embraced the city's diversity and enjoys exploring its museums, parks, and camping trips with her family.

Outside of work, Amanda is deeply involved in caring for the elderly, finding joy in listening to their stories and offering companionship. Her family and friends are her biggest supporters, and in her free time, she loves relaxing with music and savoring her mom and grandmother's cooking.

> *"Thank you all for assisting [our company] achieve another successful annual meeting. "See" you next year!*
>
> *– Issuer"*

Welcome New Talent

April 1, 2026 – September 30, 2026

Account Management

Eric Chakonis

Terence Kivlehan

Sales Strategy

Peter Traina

Reorganization

Kathryn Busby

Allya Jaquez

Margarita Schwartz

Customer Care Corner

Written by John Torres

CCT: Five Years of Service, Innovation, and Growth

Five years ago, the Customer Care Team (CCT) was restructured into its current form within CST&T. The realignment was a progressive step from its foundation in CST&T's longstanding commitment to service, dedication to innovation, and strong partnerships. CCT has enhanced the shareholder experience through a simple but powerful philosophy: good old-fashioned service, thoughtful technology, continuous improvement, and a genuine commitment to the people we serve.

Caring — Our People

Our team members are the heart of CCT. Experienced, talented, dedicated, multilingual, and service-oriented, our team brings an average of 12 years of customer service experience, including approximately 8 years in stock transfer experience.

Each team member serves as a Shareholder Advocate, approaching every interaction with empathy, knowledge, and a genuine commitment to helping. Our success is ultimately attributable to the people who deliver the experience.

Communicating — Our Methodology

Our AIM methodology (Analyze, Implement, and Monitor) keeps improvement practical and measurable. We examine shareholder touchpoints, ask "why," identify opportunities, implement with clear communication, and monitor results. Small, consistent enhancements create lasting impact.

Customer-Centric — Service Without Barriers

We believe service should be accessible, responsive, and easy to navigate. Our toll-free line connects shareholders with a live representative without complicated IVR menus or unnecessary obstacles. The objective is simple: make it easier for shareholders to get the answers and assistance they need.

> *Many thanks, Maribel, and the entire CST Team for another successful Annual Meeting! As always, we appreciate your support throughout the Proxy Statement production and mailing process, with vote reporting and with coordinating with the EZOnlineDocuments Team for the virtual meeting. We look forward to continuing to partner with you in the future.*
>
> *— Issuer*

Customer Care Corner

Connected — Technology That Enhances Service

Technology should enhance service, not replace it or make it harder. Our representatives are able to support shareholders, strengthen flexibility, maintain work-life balance, and support business continuity. We view AI as a helpful assistant, not the gatekeeper, using it thoughtfully to improve efficiency while preserving genuine human interaction.

Continuous Improvement — Quality, Security, and Trust

Sustainable service requires accountability. Our quality assurance approach creates a closed loop of monitoring, measuring, coaching, and improving across the shareholder journey from our website and forms to operations and customer interactions.

Security remains non-negotiable. As technology evolves, we continue strengthening safeguards, protecting personal information without creating unnecessary barriers. The goal is not simply faster service, but better, secure, and consistently reliable service.

Looking Ahead

CCT's next chapter is not about pursuing technology for technology's sake. It is about understanding the complete shareholder journey, identifying opportunities, and consistently getting the small things right.

After five years of growth and accomplishment, we remain committed to pushing the envelope while never losing sight of the human being on the other end of the line.

Watch our Customer Care Solutions overview video

Check out our Customer Care Solutions Product Sheet

Customer Care Highlight

While our Customer Care team always delivers exceptional service and receives countless positive feedback, we had our first flower delivery! Stephanie Dorce made such an impact while helping a customer that she received flowers to our office as a thank you.

The card read: "Stephanie — Thank you for your hard work! I appreciate your assistance!"



> *I just wanted to leave some feedback for Daniel who I spoke with to confirm the balance on some shares. He was very kind, efficient, and thorough. Other agents from other TA's take forever to do as something as simple as this (combination of clearly outdated equipment and low efforts), so thank you for being different.*
>
> *– Shareholder*

Streamlining Proxy Events Through VOTR

Written by Robert Zubrycki

VOTR, a partner of Continental, runs in conjunction with our operation system, connecting issuers, transfer agents, brokers and shareholders through a centralized technology-driven platform. The benefits of VOTR are as follows:

- **Automated Broker Search:** Streamlines broker search through electronic connectivity with Industry participants.
- **Simplified Proxy Distribution:** Supports efficient delivery of proxy material through a digital infrastructure.
- **Streamlined Voting & Tabulation:** Facilities the electronic flow of voting information back to the transfer agent.
- **Centralized Meeting Visibility:** Brings key dates, activity, proposals, and voting into a centralized workflow.

VOTR automation helps reduce emails, spreadsheets, follow-ups, and manual reconciliation traditionally required to manage a proxy event, creating a more streamlined and efficient process.

For more information about VOTR and how it can support your proxy events, please contact your Account Manager.



Share Sale Plans

Written by Howard Danielson

Continental offers a Share Sale Program for issuers that are publicly trading and that do not currently have a Dividend Reinvestment or Direct Stock Purchase Plan that can facilitate sales for shareholders. The program provides shareholders with the convenience of selling physical stock certificates and/or shares held in DRS book-entry form without having to transfer their shares to a brokerage account. Shareholders who do not have a brokerage account can avoid the time and effort involved in finding and opening an account, as well as any potential costs associated with establishing a brokerage account and transferring their shares to a broker.

Shareholders simply log into their Continentalink online account — **https://lsp.continentalstock.com/hlogin** — review the company's specific Share Sale Plan prospectus and can submit an online sale request for all or a partial amount of their DRS book shares. Alternatively, Continental can provide the shareholders with a Sale Request Form with detailed instructions including multiple ways on how to submit the completed and signed form, making the experience of selling shares easy and convenient.

There is no cost for the issuer to offer this service. The shareholders pay a small service charge per transaction and per share brokerage commission, which are both automatically deducted from the sales proceeds. Sale proceeds are mailed to the shareholder within 3 business days after the sale date. Details of the sale are included with the check, and shareholders will receive an IRS Form 1099-B for tax reporting early the following year.

If you are interested in offering the Continental Share Sale program to your company's shareholders, contact your Account Manager for more details and to see if your company's stock meets the criteria to offer this plan to your shareholders.As more of these firms enter the field, the number of audits continues to grow. For states facing budget deficits, unclaimed property audits offer a convenient revenue stream — making them a trend that shows no signs of slowing.

Building and Maintaining an Unclaimed Property Compliance Program

Maintaining an effective unclaimed property compliance program can be a daunting challenge for most companies. With statutes constantly evolving, it is prudent to stay informed about legislative proposals that could affect unclaimed property compliance. If a proposed law change could negatively impact your shareholders or employees, consider engaging with your legislators to share your perspective.

This year, the industry had to lobby several states to prevent legislation that could have had harmful consequences. If we do not speak up about proposed changes before they become law, we have little basis for complaining about them after the fact.

What Happens If You Don't Comply?

Penalties for non-compliance vary by state but are consistently severe. All states require annual reporting and remittance of unclaimed property, and failure to do so can trigger interest charges and steep penalties. These charges accrue from the date the property was originally due, meaning even minor oversights — like missing one property type — can result in significant liability over time.

In addition to financial penalties, companies may face audits. These audits are lengthy (often 5–8 years), complex and usually managed by third party firms representing multiple states. While some states have statutes of limitation, auditors often challenge or ignore them, pushing for extended lookback periods. If companies lack historical records, auditors frequently estimate liability, often to the company's disadvantage.

Compounding the challenge is the fact that many audit firms operate on a contingency fee basis — meaning they're financially incentivized to uncover as much liability as possible.

The Hidden Costs Of Non-Compliance

Beyond fines and audits, non-compliance can lead to reputational damage. News of enforcement actions can result in negative publicity, loss of customer trust and decreased business opportunities. Internally, the resource drain from managing audits and remediating compliance issues can also be substantial.

How To Stay Ahead

Continental supports your compliance efforts on the registered shareholder side, ensuring all required filings and reports are handled efficiently. But who is managing the rest of your company's unclaimed property compliance needs? It is not uncommon for a company to face audits involving both general ledger property and equity property. While responsibility for defending these audits may fall to different individuals within the company and at the transfer agent, it remains important to communicate internally so that the company presents a consistent image of being knowledgeable and compliant.

We recommend that companies adopt a process as a standard part of their compliance program to review abandoned property reports before they are filed. Companies should also consider conducting additional outreach to property owners when appropriate, with the goal of preventing their property from being escheated.

The process of reclaiming property from the states can be burdensome and time-consuming. In the case of securities, states may sell the securities, potentially resulting in losses for the shareholder. Adding this step to the compliance process can help prevent unnecessary escheatment and ultimately benefit all parties.



Supporting Your Meetings From Planning to Completion

Annual meetings and earnings calls are important opportunities for companies to communicate directly with shareholders, investors and other key stakeholders. From coordinating meeting logistics and communications to facilitating shareholder participation, Continental provides the expertise, technology and support needed to help make these events seamless and successful.

Our comprehensive meeting services support in-person, virtual and hybrid annual meetings, with a dedicated team working alongside your account management team throughout the process. Our Proxy team brings extensive industry experience and works closely with clients to coordinate the many details involved in a successful shareholder meeting—from meeting preparation and regulatory deadlines to printing, web hosting and shareholder communications.

For virtual and hybrid meetings, Continental's technology provides a convenient way for shareholders to participate remotely while maintaining opportunities for meaningful engagement. Shareholders can authenticate upon login, access the meeting, vote and submit questions. Meetings can also incorporate live streaming, presentation slides, chat and other features designed to create an informative and interactive experience.

Our Tailored Meeting Services Include:

- Hosted meeting webpage
- Dedicated meeting coordinator
- Live streaming for web-based attendees
- Telephone access for presenters and attendees
- Written question management
- Presenter portal
- Company-branded PowerPoint slides and materials
- Meeting replay
- Support with press releases and other communications
- Dry-run and live meeting support

Virtual Earnings Calls

Continental also supports virtual earnings calls, providing companies with both webcast and dial-in options through the same technology and experienced team used for our virtual shareholder meetings. This gives investors and analysts convenient ways to participate while maintaining the traditional question-and-answer format associated with earnings calls.

Our Virtual Earnings Call service includes:

- Webcast and dial-in options
- Hosted meeting webpage
- Live question management for online and telephone participants
- Call replay posting
- Meeting transcripts
- Online guest sign-in
- Expert meeting coordinators
- Program consultation and dry-run support
- Slide deck broadcasting
- Video capabilities
- Technical quality controls and redundancies

Whether you are preparing for an annual meeting, hosting a virtual or hybrid shareholder meeting, or conducting an earnings call, Continental can help manage the details from planning through completion. Our goal is to provide a streamlined experience for your team while giving shareholders and investors convenient, reliable ways to participate and engage.

Planning an upcoming annual meeting? Explore our **Annual Meeting Guide** for an in-depth look at Continental's meeting services and how we can support your next event.



Streamlining Corporate Actions Through Digital Innovation

Written by Peter Ward

Continental is pleased to highlight the continued success and adoption of its Corporate Action Online Transaction Portal ("The Portal"), which has been in full operation since December 2024.

Designed to simplify and enhance the corporate action experience, The Portal provides shareholders with a secure, efficient, and centralized platform for completing transaction requirements. Shareholders can securely submit Letters of Transmittal, state-specific consent forms, W-9 and W-8 tax documentation, supporting materials, and other project-specific documents—all through a single, streamlined interface. The Portal access has contributed to a reduction in shareholder document rejects by more than 50%. The documents are received more timely as opposed to being mailed. This allows the Processing teams to meet and often surpass expected turnaround times.

The Portal also offers the convenience of electronic signatures through DocuSign, helping reduce administrative burdens and accelerate the completion of required documentation.

For transactions involving physical certificates, The Portal provides a dedicated closing page containing the applicable certificate details and Continental's mailing instructions. If a shareholder has lost or misplaced a certificate, the Portal also provides a convenient mechanism to notify Continental. This notification initiates the process of identifying the applicable certificate as lost and facilitates delivery of the appropriate affidavit required to complete the replacement process.

Centralized Documentation and Real-Time Visibility

Once submitted, completed Portal documents are downloaded directly into the shareholder's account, providing an organized record that can be easily accessed for reference and historical purposes.

At the Issue level, each Portal assignment is tracked throughout the transaction lifecycle, providing real-time visibility into shareholder responses and overall job status. This enhanced transparency allows Continental and its clients to monitor progress efficiently and identify outstanding requirements.

Expanding Applications and Greater Efficiency

The success of The Portal has enabled Continental to expand its use beyond traditional corporate action transactions. The platform is now being utilized for targeted payment solicitations, tax form collection, and other time-sensitive processes where speed, accuracy, and efficiency are essential.

The Portal also facilitates more effective error resolution. Because information can be reviewed and communicated in real time, discrepancies can be identified and addressed more quickly, helping to reduce delays and streamline the overall transaction process.

Continental's Corporate Action Online Transaction Portal represents a continued commitment to delivering secure, efficient, and technology-driven solutions that enhance the shareholder experience while providing clients with greater visibility and control throughout the corporate action lifecycle.

> *"The customer service person I spoke with was exceptionally helpful!"*
>
> *– Shareholder*



Events & Engagements

D. Boral Capital Global Conference

We were thrilled to be a Platinum Sponsor of the D. Boral Capital Global Conference in May 2026. Representing Continental included: (pictured from left to right) Stacy Aqui, Steven Nelson, and Maggie Villani, along with (not pictured) Ana Gois, Kristen Figueroa and Vincent Amodeo.



SPAC Conference

Our team had a wonderful time attending The SPAC Conference in June 2026, where we were once again a Gold Sponsor. Representing Continental included (pictured from left to right): Ana Gois, Henry Farrell, Michael Mullings, Margaret Villani, Steven Nelson, Celeste Gonzalez and Fran Wolf.



Planet Microcap Showcase

We were delighted to be a Silver Sponsor at the Planet Microcap Showcase in Las Vegas in June 2026.

BOXABL NYSE Bell Ringing

We had a blast celebrating alongside our client, BOXABL, and their Founder & CEO, Paolo Tiramani, as they rang the NYSE bell. Representing Continental at the event were Steven Nelson, John Torres and Kristen Figueroa.





Securitize Partnership & Business Combination



In July, we celebrated the Securitize Business Combination and joined our client and partner Securitize, for the ringing of the NYSE bell. Representing Continental at the event were Vincent Amodeo and Michael Mullings.

We're also excited to announce our partnership with Securitize as our preferred tokenization provider, further expanding our ability to support companies navigating the evolving digital asset and securities landscape.

Shareholder Services Association Annual Conference

We were proud to sponsor the SSA Conference in July 2026.

Events & Engagements

D. Boral Capital SPAC Summit

We were thrilled to sponsor the D. Boral Capital SPAC Summit in Hong Kong in September 2026. Peter Traina represented Continental at the conference, connecting with industry peers and discussing the latest developments across the SPAC and capital markets landscape.



Maxim Growth Summit

Continental was proud to serve as a Gold Sponsor of the Maxim Growth Summit in October 2026. The event brought together industry leaders and investors for valuable conversations around growth, innovation, and the capital markets. Representing Continental: Steven Nelson, Fran Wolf, Vincent Amodeo and Peter Traina.



ThinkEquity Conference

Continental was pleased to participate as a Silver Sponsor of the ThinkEquity Conference in October 2026. The event provided an opportunity to connect with industry professionals and companies across the capital markets. Representing Continental (pictured from left to right): Peter Traina, Steven Nelson and Erika Young.

STA Annual Conference

We were proud to be a lanyard and golf sponsor of the STA Annual Conference in Ponte Vedra, Florida at the end of October. Attending on behalf of Continental included (pictured from left to right): Eusebio Hooke, Bob Zubrycki, Steven Vacante, Steven Nelson and Nick Giancaspro.



The PIPEs Conference

Continental was a Silver Sponsor and Coffee Cup Sponsor for The PIPEs Conference by DealFlow Events in Florida from November 4–5. Continental attendees included Steven Nelson, Peter Traina and Steven Vacante.

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April 1, 2026 – September 30, 2026

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April 1, 2026 – September 30, 2026

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StablecoinX Inc.	Texas
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Issuer	State/Country
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