

EQ Insight
New Functionality

June 2020



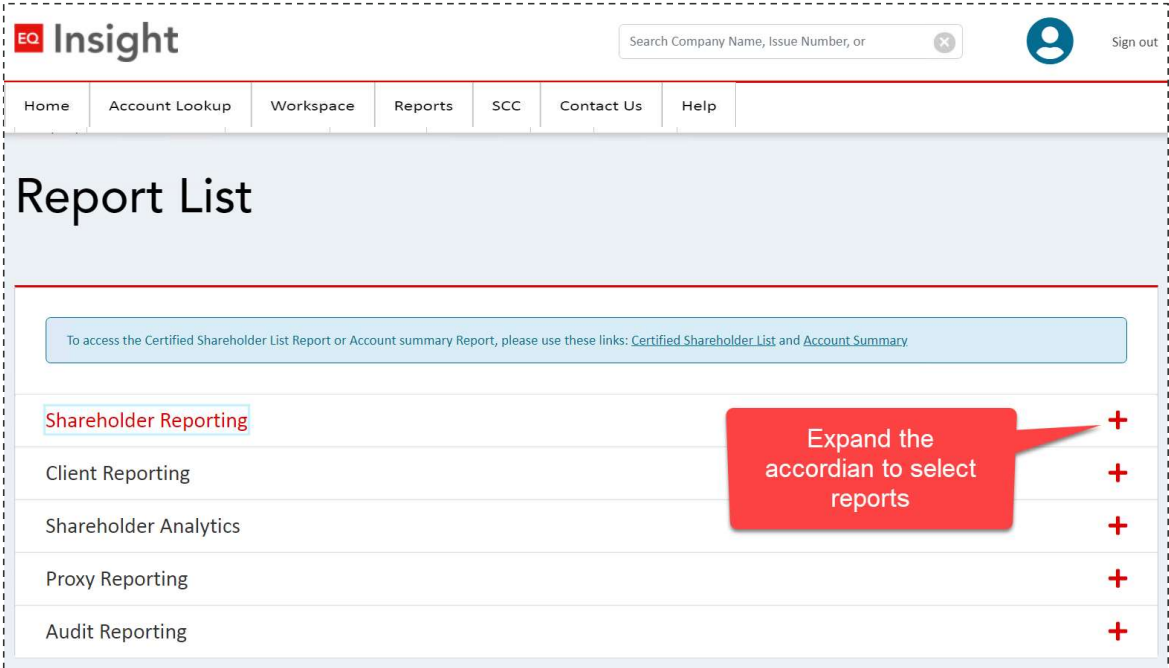
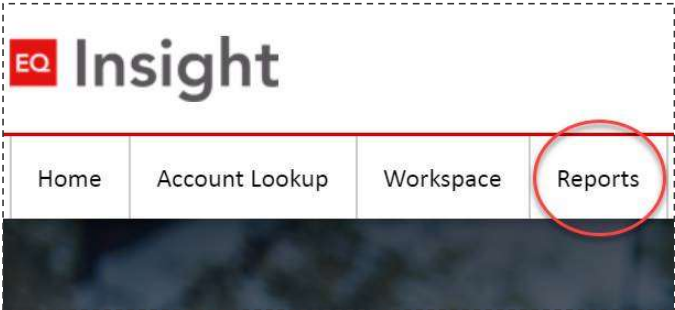
We are excited to continue to bring the features that enhance your productivity.

EQ Insight features now available as part of Release 7.0

Our newly-redesigned reports offer more flexibility to customize your reports

- Include more than one issue on a report
- Ability to select only the data you need to display
- New Reports
 - Summary of sales performed by shareholders
 - List of uncashed checks
 - List of accounts with restrictions
- Set Blackout Dates
- Securely send and receive files with your EQ Relationship Management team

Reporting Improvements



Expanded accordion



Report List

To access the Certified Shareholder List Report or Account summary Report, please use these links: [Certified Shareholder List](#) and [Account Summary](#)

Shareholder Reporting

Shareholder Account Reports

Shareholder List >	New Reports	Insider Accounts >
Undeliverable Shareholders >		New Accounts >
Blackout Date History >		Restricted Shares >
Restricted Accounts Report >		Uncashed Check Report >
Shareholder Sales and Proceeds Report >		

More flexibility in choosing what securities to include

EQ

Shareholder List

Choose one or more Companies or Issues

[Back to Reports](#)

Corporate Selection *

Select

- ☐ Select All
- ☐ ABC Company
- ☐ XYZ Corporation
- ☐ Sample Company
- ☐ EFG Corporation
- ☐ DEF International LLC
- ☐ KLM Company
- ☐ QRS Group

Issue Number *

Select

- ☐ ABC1 - Common
- ☐ ABC1 - Preferred
- ☐ ABC3 - Restricted Grants
- ☐ XYZ1 - Common Non-Voting
- ☐ XYZ3 - ESPP
- ☐ XYZ4 - Preferred

Share Type *

All

Columns To Display

Short Name, Name Address

Accounts To Display *

Active Accounts Only

Run Report

More flexibility in choosing what type of data to include



Shareholder List

[Back to Reports](#)

Corporate Selection * Issue Number * Share Type * Active Accounts Only *

ABC Company, XYZ Corporation ABC1, ABC2, XYZ1, XYZ2 All

List Type * Display SSN / TAX ID * Columns To Display

Whole List No Full Registration, Account N

Clear Parameters

Run Report

☒ Total Shares
☒ Certified (Y/N)
☐ Employee Number
☐ Certificate Shares
☐ Plan Shares
☐ Book Shares
☒ Payment Coding
☐ Reinvest Coding
☐ Email

Ability to limit the report to the specific data you need to display

Privacy & Cookie Policy Terms of Use Fraud Education

Download flexibility – available in PDF or Excel



1	A	C	D	E	F	G	H	I	J	K	L	M	N	O	P	Q	R	S
2	EQ Shareholder List																	
3	by Equiniti																	
4																		
5																		
6	Report Name :		Shareholder List															
7	Company Name :		ABC Company															
8	Issue Number :		ABC1															
9	CUSIP :		949746101															
10	Date As Of :		Nov 12 2019															
11	Requested Date :		Nov 13 2019															
12																		
13																		
14	Company / Issue Details			Issue Totals					Report Totals									
15	Company Name	Issue Number	CUSIP	Number Of Accounts	Certificated Share Balance	Plan Balance	Book Balance	Total Share Balance	Number Of Accounts	Certificated Share Balance	Plan Balance	Book Balance	Total Share Balance	Number Of Accounts	Certificated Share Balance	Plan Balance	Book Balance	Total Share Balance
16	ABC Company	ABC1	949746101	10,417	558,666,058.501	11,141,425,272.943	2,430,741,937.474	14,130,827,221.434	7,882	558,666,058.501	11,141,425,272.943	2,430,741,937.474	14,130,827,221.434	7,882	558,666,058.501	11,141,425,272.943	2,430,741,937.474	14,130,827,221.434
17	Totals for all Issues :								7,882	558,666,058.501	11,141,425,272.943	2,430,741,937.474	14,130,827,221.434					
18	* Please refer to the next tab to show report data *																	

Totals offered on front page

Subsequent pages display data you selected

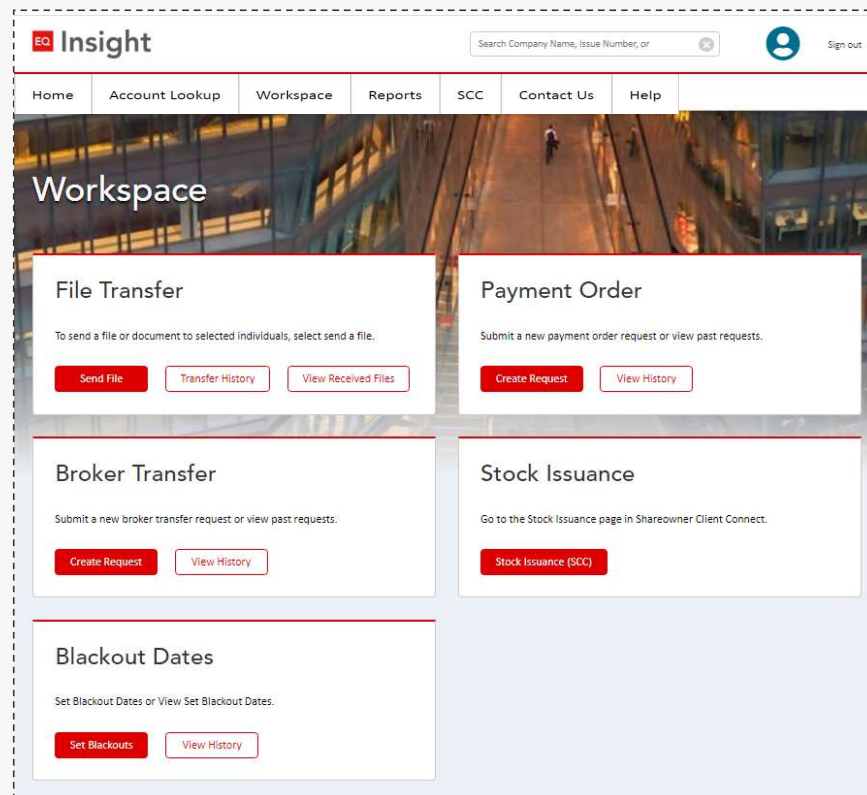


	A	B	C	D	E	F	G	H
		Short Name	Account Number	Total Shares	Certified (Y/N)	Payment Coding	W8 Expiration	Date Of Last Contact
1		SHAREHOLDER,SUE	4002242099	10,614,985,075.296	Y	Reinvest	Mar 17 2014	Oct 05 2017
2		JONES,MARY	4002250829	1,100,828,594.805	Y	ACH		Aug 22 2019
3		THOMPSON,ANN	4002248850	1,100,166,158.859	Y			Feb 20 2018
4		SMITH,ANTHONY	4002261607	899,156,072.926	Y			May 20 2019
5		INVESTOR,PAM	4000036434	28,126,615.096	Y			Oct 05 2017
6		TENN,WILLIAM	4002274659	20,512,925.915	Y			Sep 12 2019
7		SAMEK,MICHAEL	3401515806	15,572,103.674	N			Jun 19 2019
8		ANDERSON,JEFF	4002274656	15,000,421.461	Y			Jan 09 2019
9		ADAMS,GEORGE	4002242566	14,009,827.506	N			Oct 05 2017
10		SIBT, PSMITH	4002249213	13,427,700.609	Y			Oct 05 2017
11		BELL, SMITH	3404192499	12,402,640.455	N			Nov 11 2019
12		FRANK,EMILY	4000002970	11,143,513.939	N			Sep 09 2019
13		COLLINS,CELESTE	4002274657	10,512,874.951	Y			Apr 12 2018
14		COE,CHRIS	4001470874	5,770,003.525	N	Foreign Draft	Jan 16 2009	Oct 28 2019
15		HANSON,JOE	4000024015	5,121,080.011	Y	ACH	Apr 21 1991	Sep 09 2019
16		JENSEN,IAN	4002288455	5,000,000.000	N	Check		Jan 26 2018

New options:
W8 Expiration date
and
Date of Last Contact

Set Blackout Dates

Functionality now
available on **Workspace**



Set new Blackout Dates



Blackout Dates

Blackout Dates

Blackout History

Search Blackout Date Status

Company *

Issue Number *

Insider Code *

F - Family Member Coding

Reset Search

Blackout Dates

No Blackout Dates

[Set New Dates >](#)

Total Insider Accounts

0 of 0 in effect

Set Blackout Dates

Please select which Insider Account(s) you want to set Blackout Date restrictions against from the table below. Setting the restriction will block all debits to shares including sales, withdrawals, or transfers. Any sale or withdrawal placed after the restriction is placed will be declined. Please allow one business day for the restriction to be in effect on the account(s).

From

mm/dd/yyyy

To

mm/dd/yyyy

Insider Accounts (F - Family Member Coding)

(0/15) Accounts Selected

	Account Number	Account Holder Name
<input type="checkbox"/>	3200047434	CLARK,ELIZABETH,A
<input type="checkbox"/>	3401265151	JONES,FRANK
<input type="checkbox"/>	3401524084	HELPENSTELL,AMY,E
<input type="checkbox"/>	4001470874	COE,CHRIS
<input type="checkbox"/>	4002148610	EDELIVERY,JANE

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<

1

>

Cancel

Set Blackout Dates

Enter 'from' and 'to' dates and select accounts

EQ Insight

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View Blackout History



Blackout Dates

Set Blackout Dates or View Set Blackout Dates.

Set Blackouts

View History

Blackout DatesBlackout History

Select Issues for Blackout Date History

History reflected is for Blackout Dates set through Shareholder Client Connect.

Company *

Issue Number *

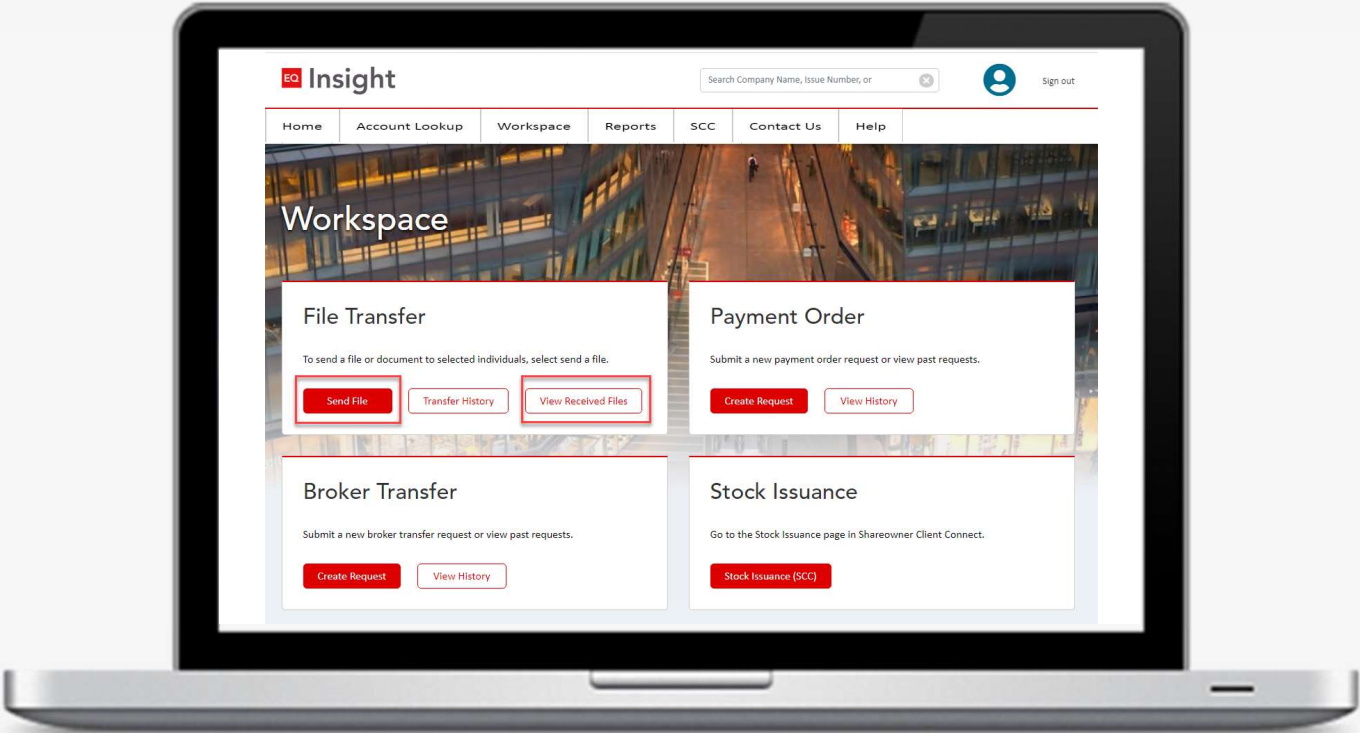
Search

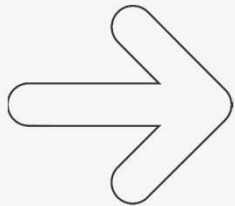
Reset Search

Blackout From	Blackout To	Insider Code
Mar 30, 2020	Apr 18, 2020	1 - CEO
Feb 19, 2020	Mar 18, 2021	2 - Director
Jul 16, 2019	Dec 30, 2019	2 - Director
Jul 13, 2019	Mar 18, 2021	2 - Director
Jul 3, 2019	Apr 9, 2021	F - Family Member Coding

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Ability to send or receive files





**Send Files to
your Relationship
Management Team**

Drag and Drop Here
or

Select Files to Upload

ABC1 list.pdf
0.00

X

✓ File(s) are ready to be sent to recipients

(0.00/160mb)

Add Recipients *

(0/10)

Relationship.Manager@equiniti.com

Subject *

(9/25 Max Characters)

ABC1 list

Message to Recipient(s)

(28/250 Max Characters)

Please see list of accounts.

* Required fields must be completed.

Cancel

Send

Received Files

EQ

Insight

Equiniti Ltd - ADR1 - Anything

Change

Sign out

Home

Account Lookup

Workspace

Reports

SCC

Contact Us

Help

Workspace

File Transfer

To send a file or document to selected individuals, select send a file.

Send File

Transfer History

Recent Activity

Date Submitted	Status	File Name
June 4, 2020	Sent	EQ Insight Audits.xlsx
June 4, 2020	Sent	E2E test list for EQ Insight.xlsx
June 4, 2020	Sent	Resources needed for future releases.xlsx
June 4, 2020	Sent	Audit requirements.xlsx
June 4, 2020	Sent	Administrative duties for EQ Insight.docx

View Received Files

Received Files

EQ

by Equiniti

Received Files

Sync

Received Files for UserId 283

Name	Original Name	Subtitle	Date Created	Sender
ABC screenshots 5.25.19.xlsx	ABC screenshots 5.25.19.xlsx	file transfer	6/4/2020 8:00 AM	test.opr@abc.com
PRIVACY POLICY (2).docx	PRIVACY POLICY.docx	file transfer	6/4/2020 8:00 AM	test.opr@abc.com
Activation User Stories for 1B.xlsx	Activation User Stories for 1B.xlsx	file transfer	6/4/2020 8:00 AM	test.opr@abc.com
Company Messages.pdf	Company Messages.pdf	file transfer	6/4/2020 8:00 AM	test.opr@abc.com
PRIVACY POLICY.docx	PRIVACY POLICY.docx	file transfer	6/4/2020 8:05 AM	050819142341@equiniti.com
Content.xlsx	Content.xlsx	file transfer	6/4/2020 8:05 AM	050819142341@equiniti.com
Equiniti.com Accessibility.docx	Equiniti.com Accessibility.docx	file transfer	6/4/2020 8:05 AM	050819142341@equiniti.com





Insight Thank you

For further support or to provide feedback on EQ Insight, please contact our support team:

Email: EQInsight.Support@equiniti.com | **Telephone:** 1-833-410-2488 (toll free)

Please note: Our call center is available Monday through Friday, 8:00am-4:00pm Central Time