

# NOBO Authorization Form

NOBO\_AUTH0224

**Note:** To protect the integrity of the personal data of shareholders, BetaNXT requires this NOBO Authorization form to be submitted by an authorizing officer of the company directly to BetaNXT's attention to be accepted for processing. If this form is returned from a third-party representative, a separate authorization in the form of an email sent from the authorizing officer of the company to the BetaNXT department producing the requested reports is required. **Please send this completed form to [documents@betanxt.com](mailto:documents@betanxt.com).**

## Reports Requested

Issuer Name: \_\_\_\_\_

CUSIPs: \_\_\_\_\_

(Requests for NOBO lists of five (5) or more CUSIPs should be submitted with an accompanying matrix in Excel format)

Record Date: \_\_\_\_\_

If recurring NOBO Lists are required over a certain period, specify:

Daily

Weekly

Monthly

Note: An invoice will be issued for each NOBO List returned.

This NOBO List is being requested:

Information Only

(Not in connection with an ongoing proxy)

Proxy Campaign

(NOBO List will be generated with control numbers used to solicit votes from shareholders. If selecting this option, please ensure that separate proxy instructions are sent to BetaNXT in the form of a Broker Search or Campaign Setup Form. Please speak with a BetaNXT representative for more information about setting up a proxy event.)

Additional reports available upon request:

OBO Count

Bank and Broker  
Breakdown

Share Range  
Analysis

Customized Share  
Range Analysis

Provide Custom Share Ranges:

## Additional Information Required for NOBO Lists Requested for Proxy Campaigns

Tabulator Firm Name: \_\_\_\_\_

Estimated Meeting Date: \_\_\_\_\_

Upon request, BetaNXT will supply Kill Files, Un-Voted NOBO Lists, and Un-Voted Share Range Analysis reports. The Issuer is responsible for fees associated with requesting these reports.

## Approved Fee Schedule

Invoices related to NOBO List Requests will be addressed and sent to the authorizing issuer on the billing date following release of the NOBO list (Information Only) or following the close of the proxy event (Campaign-Related). Questions regarding a BetaNXT invoice should be sent to [billingsupport@betanxt.com](mailto:billingsupport@betanxt.com).

Minimum Fee: \$100

Broker Fee: \$0.065 per position

Conduit Fee (varies on number of positions reported):

- 1-10,000 - \$0.10 per position
- 10,001-100,000 - \$0.05 per position
- 100,000 or more - \$0.04 per position

Per Vote Confirmation Letter: \$0.60

Per Vote Processed: \$3.25

Vote Confirmation Postage: \$0.60

Vote Confirmation Postage (Foreign): \$1.50

Voted Kill File: \$200

Unvoted File: \$100

Unvoted Share Range: \$200

## Billing Information

Company Name: \_\_\_\_\_

Attention: \_\_\_\_\_

Address: \_\_\_\_\_

Corporate Email: \_\_\_\_\_

## Attestation, Acknowledgement, Notary

SEC Rule 14a-13(b)4 states that any registrant requesting a list of names, addresses and securities positions of beneficial holders who have consented to disclosure shall use the information furnished in response to such request exclusively for purposes of corporate communications. By signing this request you acknowledge the information provided will only be used in compliance with SEC regulations.

I am an officer of the Company with authority to order the NOBO list. The Company acknowledges that the information in the list is personal information. The Company agrees to indemnify and hold BetaNXT harmless from all lawsuits, claims, liabilities, damages, or judgements, including reasonable attorney's fees, which may arise as a result of any misrepresentation of my authority to request this information or any misuse of the information by the Company, myself or the Company's designated agent.

Signed: \_\_\_\_\_

(Note: Handwritten Signature Required)

Name: \_\_\_\_\_

Office: \_\_\_\_\_

Date: \_\_\_\_\_

The foregoing instrument was acknowledged before me on \_\_\_\_\_

(date)

By: \_\_\_\_\_

(authorizing officer)

Signature of Notary Public

Commission Expiration Date