



ETC

BROKERAGE SERVICESSM

Investor Guide: How to Login to WeathStation

WealthStation Initial Setup

- You will receive **two** emails from this FIS email address: mdp10-noreply@fisglobal.com. The first will communicate your Username and the second will communicate your temporary password. You will be required to create a new password.
- PLEASE NOTE: If you do not receive the email, please check your SPAM/JUNK folder. If you are unable to find the email in your SPAM/JUNK folder, please contact your Financial Representative or Equity Advisor Solutions at (877) 819-8918.
- To access WealthStation, please click the following link: <https://etcb.fisglobal.com/investor/etc>

1. User Login Page

- Please use your initial Username and password received in the above referenced email.

NOTE: All images provided are for illustrative purposes only.

User Login

Username *

Remember my User ID

Proceed

[Trouble signing in?](#)

If you are having trouble signing in, click the self-service link above. If you continue to have trouble, please contact ETC Brokerage as follows:

If you have an Equity Trust Company self-directed account, **call 877-403-0369**

If you have an advisor managed account, **call 877-819-8918**

This is a FIS Application environment, which may be accessed and used only for official business by authorized personnel. Unauthorized access or use of this environment is prohibited and may subject violators to administrative, and/or criminal, civil action. Users (authorized or unauthorized) have no explicit or implicit expectation of privacy. All information on this environment may be intercepted, monitored, recorded, read, copied, audited, inspected and disclosed by and to authorized personnel.

2. User Password

- Please use your temporary password received in the above referenced email. From there, you will be prompted to create your own unique password.

User Login

Welcome

C

[NOT YOU?](#)

Password *

Cancel
Sign In

[Trouble signing in?](#)

3. Change Your Password

- Please create your own unique password using the established guidelines. Click the **Proceed** button.

Change Password

i This page allows you to update your password.
The following rules apply when changing passwords:

Passwords must contain at least 8 characters, one uppercase character, one lowercase character, one number and one special character (!@#\$\$%^&*()_+){":;?/><.,).

The new password does not meet the defined password criteria.

The new password must be different from the last 10 previously created password or passwords.

The new password cannot contain your Login Name, in forward or reverse order.

The new password cannot contain your first, middle or last name, in forward or reverse order.

Old Password: *

New Password: *

●
Strong

Confirm New Password: *

✓

Cancel
Proceed


4. Validate Your One-Time-PIN (OTP) Setup

- Select the default email address and click the **Proceed** button. You will receive an email from: msg@otp.infinity.com with your PIN.

Select OTP Device

i Your Out-of-Band PIN Device is the delivery destination where you will receive time-limited passcodes (PINs) during the login process. When prompted to enter your PIN, you will use that device to retrieve your PIN.

Default Email (Yourpersonalemail.com)

 Test Device

- Enter the OTP Code and click **Validate OTP** as displayed below.

Validate your One-Time-PIN setup

i An OTP code has been sent to your email address yourpersonalemail.com. Please enter it below to complete the OTP device registration process.

OTP Code *

If you did not receive the OTP code, please wait a minute or try reconfiguring your device.

[Reconfigure OTP Device](#)

5. Set Challenge Question

- Please set your Challenge Question, following the step-by-step prompts.
- Click on the + sign to choose your challenge question. Enter the challenge question answer and click **Save**.

Set Challenge Question

i Challenge questions are a security feature that adds an extra level of protection. The questions that you set up with your own personal answers help the system verify your identity.

No Questions Added

+ Add Question

1/1

Cancel Proceed

Configure Challenge Question

Question Option

Select From List

Add My Own Question

Challenge Question

What is your pet's name?

Challenge Answer *

.....

Confirm Challenge Answer *

.....

Cancel Save

Set Challenge Question

i Challenge questions are a security feature that adds an extra level of protection. The questions that you set up with your own personal answers help the system verify your identity.

Normal Challenge Question
 What is your pet's name? ✎ 🗑

Challenge Answer

+ Add Question

0/1

Cancel

Proceed

- Click **Proceed**

6. Approval Required

- You may receive a pop-up about an “Approval Required.” This is a security measure. Please select **Yes** and click **Confirm**.
- You will now be asked to log on to WealthStation.

Approval Required

Application ETC-UOID is requesting to access IdP services on your behalf. Do you approve?

Yes
 No

Confirm

You can always rescind your approval later by visiting the OAuth2 section of the IdP.

7. NASDAQ Agreement



ETC
 BROKERAGE SERVICES™

Investor

NASDAQ Online Subscriber Agreement

Please read the terms of the Nasdaq Subscriber Agreement and complete the **SIGNATURE SECTION** at the bottom of the form in order to receive Information [see definition in Paragraph [1] of the Agreement] from Nasdaq.

- In the Signature Section below: You should respond “Yes” if you are using WealthStation for non-professional/personal use and “No” if you are in the financial services industry.
- Complete Section A: Please enter your first and last name in the first and second box.
- Complete Section B: if you are completing the Exchange Agreements on behalf of someone else [for example – as a power of attorney]
- Once you complete the sections – please select **Signature Confirmed** to move forward.

SIGNATURE SECTION:
 This section incorporates all terms of The NASDAQ Subscriber Agreement by this reference.

Do you qualify as a non-professional as defined in paragraph [1] of the Agreement?
 Yes No

A. MANDATORY FOR ALL SUBSCRIBERS

Enter Name of Subscriber: *

Enter Name or Other Symbol of your Signature: *

Today's Date: 05/28/2024 12:10:16 AM CDT

B. AGENT USE ONLY (complete only if you signed on behalf of the Subscriber)

Enter Name of person signing for Subscriber:

Title

Chief Executive Officer Chief Operating Officer
 Managing Director President
 Senior Vice-President Vice-President

Enter Title only if you have the same contracting authority as the listed titles but your title is different.

To confirm your signature and the accuracy of the information above click on "Signature Confirmed" which will submit the Agreement and legally bind Subscriber to the Agreement.

Signature Confirmed
Cancel

8. NYSE / AMEX Agreement

- Select **I Agree** to the Terms and Conditions and complete the Qualifications section based on your individual situation.

I agree to the Terms and Conditions set forth in Section 1.


I am a PROFESSIONAL SUBSCRIBER, therefore I am exempt from completing SECTION 2 of this agreement.

SECTION 2: NONPROFESSIONAL SUBSCRIBER

1. NONPROFESSIONAL SUBSCRIBER DEFINITION -

"Nonprofessional Subscriber" means any natural person whom Vendor has determined to qualify as a "Nonprofessional Subscriber" and who is not:

- registered or qualified with the Securities and Exchange Commission (the "SEC"), the Commodities Futures Trading Commission, any state securities agency, any securities exchange or association, or any commodities or futures contract market or association.



3. QUALIFICATIONS - In order to facilitate a decision as to whether subscribers a "Non Professional Subscriber", Subscribers shall answer the following questions:

A. Do you use market data solely for your personal, non-business use?
 Yes No

B. Do you receive Market Data for your business or any other entity?
 Yes No

C. Are you currently registered or qualified with the SEC or the CFTC?
 Yes No

D. Are you currently registered or qualified with any securities agency, any securities exchange, association or regulatory body, or any commodities or futures contract market, association, or regulatory body, in the United States or elsewhere?
 Yes No

E. Whether you are located within or outside of the United States, do you perform any functions that are similar to those that require an individual to register or qualify with the SEC, the CFTC, any other securities agency or regulatory body, any securities exchange or association, or any commodities or futures contract market, association or regulatory body?
 Yes No

F. Are you engaged to provide investment advice to any individual or entity?
 Yes No

G. Are you engaged as an asset manager?
 Yes No

H. Do you use the capital of any other individual or entity in the conduct of your trading?
 Yes No

I. Do you conduct trading for the benefit of a corporation, partnership, or other entity?
 Yes No

J. Have you entered into any agreement to share the profit of your trading activities or receive compensation for your trading activities?
 Yes No

K. Are you receiving office space, equipment, or other benefits in exchange for your trading or work as a financial consultant to any person, firm, or business entity?
 Yes No

9. Personal and Employment Data

Complete the section below with your name, address, role, and employer information.

Subscriber's name: *

Subscriber's address: *

Subscriber's occupations: *

Name(s) of Subscriber's employer(s): *

Address(es) of Subscriber's employer(s): *

Subscriber's title(s) and/or position(s): *

If you are Retired, indicate "Retired" in the last 4 boxes, as they are all required fields.

10. To Complete the "Nonprofessional Subscriber" Certification & Agreements Section, if applicable, Select Both "I agree" Check Boxes.

6. **CERTIFICATION** - By clicking on the following box, Subscriber hereby certifies that he or she falls within Paragraph 1's definition of "Nonprofessional Subscriber" and that the personal and employment information that he or she has included in Paragraph 3 is truthful and accurate.

I agree

ACCEPTED AND AGREED: : I, the "Subscriber" to which the preceding terms and conditions refer, acknowledge that I have read the preceding terms and conditions of this Section 2, that I understand them and that I hereby manifest my assent to, and my agreement to comply with, those terms and conditions by "clicking" on the following box:

I agree

11. Agreement for Option Quotes

- Enter your full name and address, check the **I Agree** box, and click the **I Agree to the Terms Above** button.

OPTIONS PRICE REPORTING AUTHORITY

You must read this agreement and click off that you agree to each of these terms. To become enabled for Option quotes you must also fill in your name and address within this agreement.

OPTIONS PRICE REPORTING AUTHORITY ELECTRONIC FORM OF CUSTOMER AGREEMENT FOR DIAL-UP MARKET DATA SERVICE
(Options Last Sale and Quotation Information)

IMPORTANT NOTICE: This is an agreement between you and FIS Capital Markets US LLC for you to receive information published by the Options Price reporting authority ("OPRA"). Please read this agreement carefully. After you have read this agreement, please indicate your agreement to be bound by its terms and conditions by clicking on the "I Agree" button at the end. If you do not agree to these terms and conditions, you will be unable to receive the information.

By completing and submitting this Agreement, you are applying to receive from FIS Capital Markets US LLC, an Internet-based market data service (the "Service") providing access to current options last sale information, current options quotation information and related information ("Options Information") published by the Options Price Reporting Authority ("OPRA") pursuant to a Plan declared effective by the Securities and Exchange Commission. The "OPRA Participants" are those national securities exchanges who, from time to time, are parties to this Plan. Those persons who act from time to time as data processors on behalf of OPRA are referred to herein as "OPRA's Processor." For the purpose of this Agreement, you hereby represent and agree as follows (type in the answers as indicated):

1. Your full name and address: *

CC
 Any Street
 Any City, ST ZIP

2. You shall receive the Service and the Options Information included therein solely for your own use, and you shall not retransmit or otherwise furnish the Options Information to any other person.

3. You acknowledge that the Options Information is and shall remain the property of the respective exchange or other market on which a reported transaction took place or a reported quotation was entered.

4. DISCLAIMER OF LIABILITY -- Neither FIS Capital Markets US LLC, OPRA, OPRA's processor nor any OPRA participant guarantees the timeliness, sequence, accuracy or completeness of any of the options information supplied to you hereunder and neither FIS Capital Markets US LLC, OPRA, OPRA's processor nor any OPRA participant shall be liable in any way to you or to any other person, for any loss, damages, cost or expense which may arise from any failure of performance by FIS Capital Markets US LLC, OPRA, OPRA's processor or any OPRA participant, or from any delays, inaccuracies, errors in or omissions of, any of the options information or in the transmission or delivery thereof, whether or not due to any negligent act or omission on the part of FIS Capital Markets US LLC, OPRA, OPRA's processor or any OPRA participant. In no event shall FIS Capital Markets US LLC, OPRA, OPRA's processor or any participant be liable for any incidental, special, indirect or consequential damages, including but not limited to lost profits, trading losses, or damages resulting from inconvenience or loss of use of the service.

5. The terms and conditions of this Agreement may be modified at any time upon notice to you. If you do not assent to the terms of any such modified Agreement at or prior to the time you next attempt to access the Service, this Agreement shall automatically be terminated.

6. Your privilege of receiving the Options Information hereunder may be terminated by you or by FIS Capital Markets US LLC upon 30 days written notice from the terminating party to the other party, and may be terminated immediately upon a determination by FIS Capital Markets US LLC or OPRA that you are not in compliance with this Agreement.

7. Nothing herein shall be deemed to prevent or restrict OPRA, OPRA's Processor or any OPRA Participant from discontinuing to furnish Options Information for dissemination or from making such changes in the speed of transmission, the characteristics of the electrical signals representing the Options Information or the manner of disseminating the same, as OPRA shall from time to time determine to be appropriate, with or without notice to you. You shall not hold OPRA, OPRA's Processor, or any OPRA Participant liable for any resulting liability, loss or damage that may arise therefrom.

8. You agree to inform FIS Capital Markets US LLC promptly in writing at its address set forth above of any changes in the information provided herein and to furnish FIS Capital Markets US LLC any additional information requested by it in connection with your receipt of the Options Information.

9. The parties acknowledge and agree that this Agreement is for the express benefit of OPRA, OPRA's Processor and each OPRA Participant.

10. The provisions of Sections 3, 4 and 9 survive any termination of this Agreement and remain in full force and effect.

By clicking on the "I AGREE" button below and typing in your name as indicated above, you agree that:

- you have read and you understand all of the terms and conditions set forth above; and
- you intend to form a legally binding and valid contract under which you will be bound by all of the terms and conditions set forth above.

I agree

- After you have clicked on the **I Agree to the Terms Above** button you will go to the WealthStation Home/Dashboard page.

12. Welcome to the ETC Brokerage Services Page in WealthStation

The screenshot displays the WealthStation Investor dashboard for May 28, 2024, at 12:52 PM CDT. The interface includes a navigation menu on the left with sections for My Dashboard, Account, Order Entry, Research, and Tools. The main content area is divided into several panels:

- Firm News:** A message stating "Welcome to ETC Brokerage!".
- Allocation:** A pie chart showing the distribution of assets between Equities (83.4489%) and Fixed Income (16.5511%). Below the chart is a table:

| Asset Class | Value | Percentage |
|----------------------|-------------------|-----------------|
| Equities | 256,633.67 | 83.4489 % |
| Fixed Income | 20,507.34 | 6.6683 % |
| | 30,392.96 | 9.8828 % |
| Total Assets: | 307,533.97 | 100.00 % |
- Indices:** A line chart showing market indices with the following data:

| Index | Value | Change (%) | Change (\$) |
|---------|-----------|------------|-------------|
| DJIA | 38,840.37 | -0.59% | -229.22 |
| S&P 500 | 5,307.23 | 0.05% | |
| NASDAQ | 17,023.89 | 0.61% | |
- My Accounts:** A table listing account details:

| Account Nature | Market Value | Cash Available to Trade | Account Value |
|---------------------------|-------------------|-------------------------|-------------------|
| TRADITIONAL IRA | 131,227.75 | 0.00 | 131,227.75 |
| 401K ROTH FBO PARTICIPANT | 125,460.85 | 0.00 | 125,460.85 |
| JOINT JWROS | 50,845.37 | 0.00 | 50,845.37 |
| Total | 307,533.97 | 0.00 | 307,533.97 |
- Top Positions by Market Value:** A table showing the top holdings:

| Symbol | Quantity | Current Price (\$) | Mkt Value (\$) | Change (\$) | Change (%) |
|--------|----------|--------------------|----------------|-------------|------------|
| AAPL | 339.227 | 190.887 | 64,754.02 | 307.68 | 0.48 |
| IVV | 117.648 | 532.38 | 62,633.44 | 27.06 | 0.04 |
| IWF | 113.454 | 347.61 | 39,437.74 | 179.26 | 0.46 |
| IAMD | 176.063 | 176.63 | 31,000.66 | 178.73 | 0.67 |
- Market News:** A section with a "Show Latest" button and several news items, including "Stellantis Announces Changes in Leadership Team" and "John Cornish Targets FHA Loans for New Homes with Innovative Website Launch".

A large red watermark "For Illustrative Purposes Only" is overlaid on the dashboard. At the bottom, there is a search bar and a "Select a Card" dropdown menu.

13. Easy Access for Future WealthStation Sessions

- For easy access to WealthStation, bookmark the website: <https://etcb.fisglobal.com/investor/etc>
- To reduce the number of times credentials are required to be entered, select the "Remember Me" or "Remember my User ID" checkboxes when logging in.