

LISTING MANAGER FAQ

LEARN ABOUT LISTING MANAGER

WHAT IS IT?

Listing Manager is a fully integrated web application that is designed to assist prospective and listed issuers in managing their entire listing lifecycle and fulfilling their regulatory obligations with the NYSE Group Exchanges (“NYSE”). This online portal will allow secure transfer of information, facilitate seamless reporting of required company data, and provide a central location to manage listing applications and corporate governance documents.

Listing Manager is available for our NYSE, NYSE American, and NYSE ARCA issuer community and will replace its predecessor, eGovDirect.

WHAT ARE THE AVAILABLE FUNCTIONALITIES IN THE APPLICATION?

Listing Manager provides various functionalities that will help our issuers easily comply with the NYSE Listing Standards. In addition to the distribution reporting module, which was rolled out in October 2016, users will now have access to the following features:

- Submit listing applications (both initial and supplemental) and related documents
- Notify the Exchange of press releases and material news announcements
- Report shareholder meeting information
- Complete annual and interim written affirmations, including CEO certifications
- Maintain board and company officer information
- View and monitor status of applications/submissions in real time
- Verify listed security details
- Manage user registration

IS THE SITE AVAILABLE TO THE PUBLIC?

No. Listing Manager is available only to NYSE listed and prospective issuers. The website is password-protected and utilizes two-factor authentication (2FA) for added security.

HOW DOES THE EXCHANGE USE MY COMPANY'S INFORMATION?

Information available on the Listing Manager website is used only for internal purposes in adherence to the ICE/NYSE data protection policy. Certain data, such as shareholder meeting information and distributions, are published to the Exchange's public website once received and verified by an NYSE analyst. For more information about our data protection policy, please click here [<https://www.theice.com/data-protection>]

WHO CAN HAVE ACCESS TO LISTING MANAGER? HOW CAN I SIGN UP?

Issuers may designate employee representatives as users of the application. Additionally, a company's elected administrator of Listing Manager may grant access to authorized third-party users, such as outside counsel and IR/PR firms. For foreign private issuers with listed ADRs on the Exchange, their current depository bank may obtain access to their company's information.

WHAT WILL HAPPEN TO EGOVDIRECT?

eGovDirect will be decommissioned and inaccessible to our NYSE-listed issuers. If you had an active account on eGovDirect and currently do not have an account on Listing Manager, you can request for access by clicking on the following link and selecting "Listing Manager" as an option: <https://www.nyse.com/index#login>. Alternatively, each issuer's administrator can request access on behalf of new company users by using the user management function within Listing Manager.

Please note that you will not be able to use your eGovDirect User ID and password to log in to Listing Manager.

IS USING LISTING MANAGER MANDATORY?

Usage of the website is currently not mandatory; however, we strongly encourage our listed and prospective issuers to use Listing Manager to efficiently provide notification and comply with the NYSE Group Exchange's Listing Standards.

ARE THERE ANY FEES ASSOCIATED WITH LISTING MANAGER?

No. Listing Manager is a complimentary tool available to all of our listed issuers and to our prospects who are looking to list on any of our exchanges.

WILL THERE BE SUPPORT FOR THE SITE?

If you are having problems accessing the Listing Manager website or issues with your user ID or password, please contact support@nyse.com or 212-896-2830, option 9.

If you have general questions or inquiries about a specific module, you can contact the relevant group listed on the "NYSE Contacts" page of Listing Manager. Please note that except for

the Market Watch desk, which is available starting at 6:30AM ET, regular business hours is from Monday-Friday, 9AM until 5PM ET.

DO YOU HAVE TRAINING MATERIALS/RESOURCES ON HOW TO USE THE APPLICATION?

Instructional videos and quick how-to guides will be available on the Listing Manager website under "Help." Note that you will need to be logged into your account to access these materials.

ARE REMINDERS OR NOTIFICATIONS FOR UPCOMING REPORTING REQUIREMENTS SUPPORTED?

Yes. Listing Manager provides two options. 1) Under "Activity Details" section on the Listing Manager homepage, you will be able to view how many items are open, in progress, or completed for each module. 2) You will also receive automated email reminders and status updates such as approved and returned records. If you wish to opt out of email notifications, you can disable this functionality by navigating to "My Profile" and unchecking "Should send email notifications" box.

HOW DO I KNOW THE NYSE RECEIVED MY SUBMISSION?

Each entry made on the Listing Manager website has a status indicating whether it's in a draft, submitted, or approved state. Once you submit an entry, the respective NYSE analyst will receive the information in real time at which point the status will transition from "draft" to "submitted."

USER ACCOUNT & SETTINGS

HOW DO I ACTIVATE MY ACCOUNT?

Once your request for access has been approved, you will receive two separate emails on how to activate your Listing Manager account. One contains a link where you can set up your NYSE SSO Global ID and password, and another contains instructions on how to activate NYSE's two-factor authentication (2FA) protocol. Note that your account must be activated within 24 hours or the link will expire at which point you will have to request for a new password to complete the process (see How do I reset my password section below).

WHAT IS NYSE SSO GLOBAL ID?

Your NYSE SSO Global ID is your email address, and can be used to access multiple NYSE web applications available on ICE and NYSE. By using this global ID, you only have to use one email address and password combination to log in to any of our web applications such as Listing Manager and NYSE Connect.

WHAT IS TWO-FACTOR AUTHENTICATION (2FA)?

Two-factor authentication (2FA) is an added layer of security that is enforced when attempting to log in to the Listing Manager website. In addition to your password, Listing Manager will ask you to enter a 2FA passcode, which will be sent in a separate email, anytime one of the following occurs:

- 1) On initial login after registration
- 2) Every 30 days
- 3) Any login from a new IP address or internet browser
- 4) After changes to registration

HOW DO I RESET MY PASSWORD?

To reset or change your password, visit the Listing Manager homepage and click on either "Forgot Password" or "Change Password." This will redirect you to the NYSE SSO page where you can enter your new password information. Once your password is reset, open another tab on your internet browser and log back into Listing Manager:

<https://listingmanager.nyse.com/login/>

Please also note that you will be asked to change your password every 90 days.

HOW DO I ENABLE OR DISABLE EMAIL NOTIFICATIONS?

By default, Listing Managers are enabled to receive email notifications. To disable this feature, click on "My Profile" and check/uncheck "Should send email notifications" box. Note that this setting will be applied across all modules that you are currently entitled to.

HOW DO I EDIT MY PERSONAL INFORMATION ON THE WEBSITE?

To edit your personal information on Listing Manager, click on "My Profile" and save your changes accordingly. Please note that if you need to change your email address, you will have to contact us at listingmanager@nyse.com to change your information.

CAN I ADD OTHER USERS ON LISTING MANAGER?

If you are designated as "Administrator" of Listing Manager, you can request access to add other users for your company by clicking on the "Create" button on your dashboard and selecting "User Requests." Once you populate all the required fields and issuer-level entitlements, hit "Create" to complete the submission. Your request will stay in a "Submitted" state until we approve it on our end.

As Administrator, you can also deactivate users and edit their entitlements by module or issuer. You may do so by clicking on the "Users" tile under My Issuer Details section of the homepage.

HOW DOES MY DEPOSITARY BANK GAIN ACCESS TO LISTING MANAGER?

Your depositary bank may gain access to your company's distribution and shareholder meeting information on Listing Manager. If a person from your depositary bank needs a new account, you or your depositary bank representative can simply contact us at listingmanager@nyse.com or 212-656-4651 to grant her access.

HOW CAN I DELETE MY OWN ACCOUNT?

If you need to delete your own account, your company's designated administrator can deactivate it by disabling all of your entitlements. If your company does not have an assigned administrator, you can contact us at listingmanager@nyse.com or 212-656-4651 to disable your access to Listing Manager.

GETTING STARTED

WHICH INTERNET BROWSER SHOULD I USE TO ACCESS LISTING MANAGER?

You can access Listing Manager using any of NYSE Group Exchange's recommended list of supported browsers [here](#).

HOW DO I NAVIGATE THE WEBSITE?

Upon login, your dashboard will display all the modules that you are entitled to on Listing Manager. Each "tile" will display the number of items that are open, in progress, approved, or completed. To view these records, you can either click on the specific status you want to see or click on the module name to view the entire worklist.

To start or submit a new entry, you can click "Create" on the left-hand side of your screen and select the appropriate option. For more in-depth information on how to use each module, you can access our instructional videos and how-to guides under "Help" in Listing Manager.

WHAT IS UNDER MY ISSUER DETAILS?

In this section, you can view your company's listing information, security trading details, shares reported history, and board and officer data. If you have access to more than one issuer, you will see all their information in this section.

HOW DO I OBTAIN PDF COPIES OF MY LISTING APPLICATIONS & WRITTEN AFFIRMATIONS?

To obtain pdf copies of your listing applications and written affirmations online, you can click on the "PDF Download" button in the specific record you want to download. If you encounter any issues when printing forms, feel free to contact the relevant group on the [NYSE Contacts](#) page for assistance.

TROUBLESHOOTING

WEBSITE IS NOT LOADING?

Please follow the steps below when you experience any issues with loading the Listing Manager homepage:

- 1) Ensure that you are using one of NYSE Group Exchange's recommended list of supported browsers.
- 2) Make sure that you are not in "private browsing" mode.
- 3) Clear your internet browser's cache, history, temporary files, and cookies.
- 4) Use the following URL when accessing the website: <https://listingmanager.nyse.com/>

If you still encounter issues after following the directions above, please contact us at support@nyse.com or 212-896-2830, option 9.

LOGIN FAILED?

If you are unable to log in to Listing Manager, please try to reset your password by clicking on Forgot Password or Change Password. If this does not resolve your issue, contact us at listingmanager@nyse.com or 212-656-4651.

INVALID PASSWORD/LOCKED ACCOUNT? TOO MANY ATTEMPTS FAILED?

The system allows up to ten (10) log-in attempts before user is locked out of her account. If you receive one of these error messages after attempting to log in to Listing Manager multiple times, please wait 10 minutes before trying to reset your password and log back in to the website. If this does not resolve your issue, contact us at listingmanager@nyse.com or 212-656-4651.

SUBMISSION CANNOT BE COMPLETED ON THE WEBSITE?

If you cannot submit a form or entry on any of Listing Manager's modules, please visit the "NYSE Contacts" page and contact the relevant group to assist with your issue.

2FA PASSCODE EMAIL NOT SENT?

If you do not receive your 2FA passcode in your inbox after attempting to log in to Listing Manager, please check your spam or junk folders - the email will have been sent from no-reply@theice.com.

If you have other questions about the 2FA process, please contact our ICE Help Desk at +1.770.738.2101, Option 1, 3.

EMAIL NOTIFICATIONS NOT RECEIVED?

If you are not receiving any auto-generated emails or reminders from Listing Manager, please ensure that on your "My Profile" page, "Should send email notifications" box is checked off; otherwise, please check the box and click "Save" to apply the change to your profile. If you are already set up to receive email notifications, please check your spam or junk mailboxes in case Listing Manager emails have been filtered. If this does not resolve your issue, please contact us at listingmanager@nyse.com or 212-656-4651.

CONTACT US

WHAT ARE YOUR HOURS OF OPERATION?

With the exception of Market Watch desk, which is available starting at 6:30AM ET, our regular business hours is from 9AM-5PM ET, Monday-Friday. For more information on how to reach us, please visit [NYSE Contacts](#) page on the Listing Manager website.