Prospect Enhanced Yield Fund

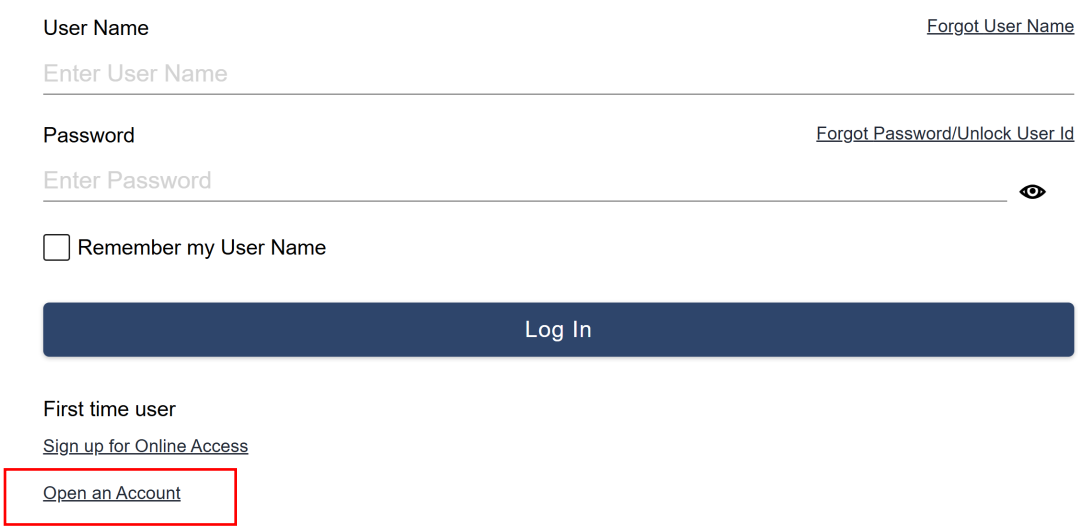
Ultimus Fund Solutions uTransact

Advisor/Investor Guide

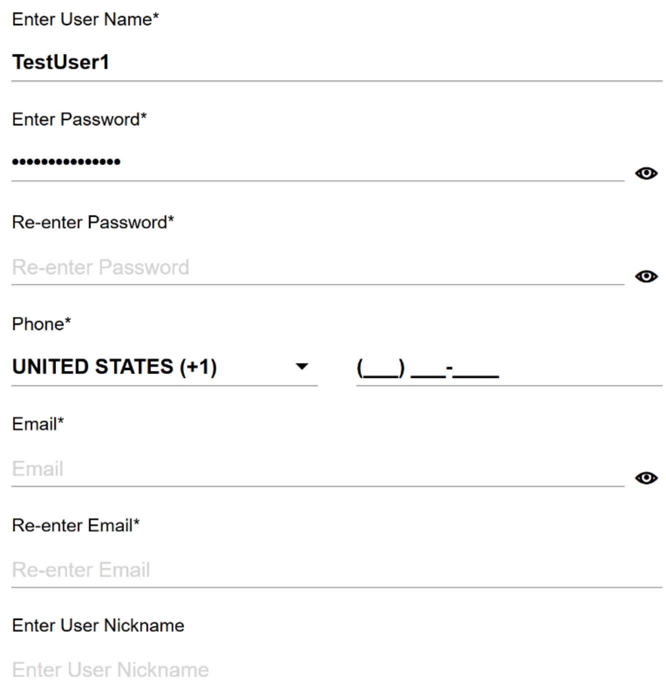
Step 1: Create an Account

- Navigate to the Shareholder Portal Login page: https://uportal.ultimusfundsolutions.com/app/prospect/

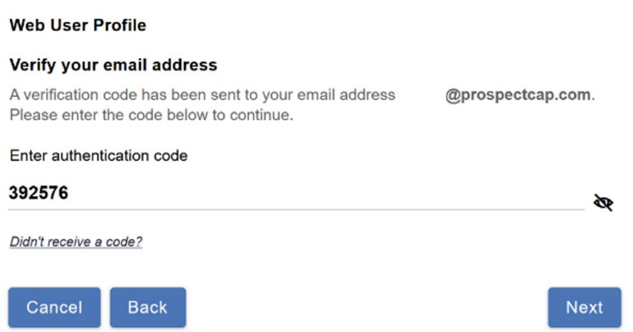
- Select "Open an Account" to create your account:



Step 2: Fill in the (*) Required fields



Step 3: Verify your Email Address via Multi Factor Authentication



Step 4: Complete Steps 1 – 10 all of the "Open A New Account" window

- Note that ACH, Funding, and Investing steps are optional at this time.

Requirements

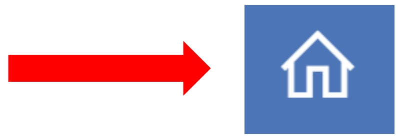
In compliance with the USA Patriot Act, all mutual funds are required to obtain the following information for all registered owners and all authorized individuals:

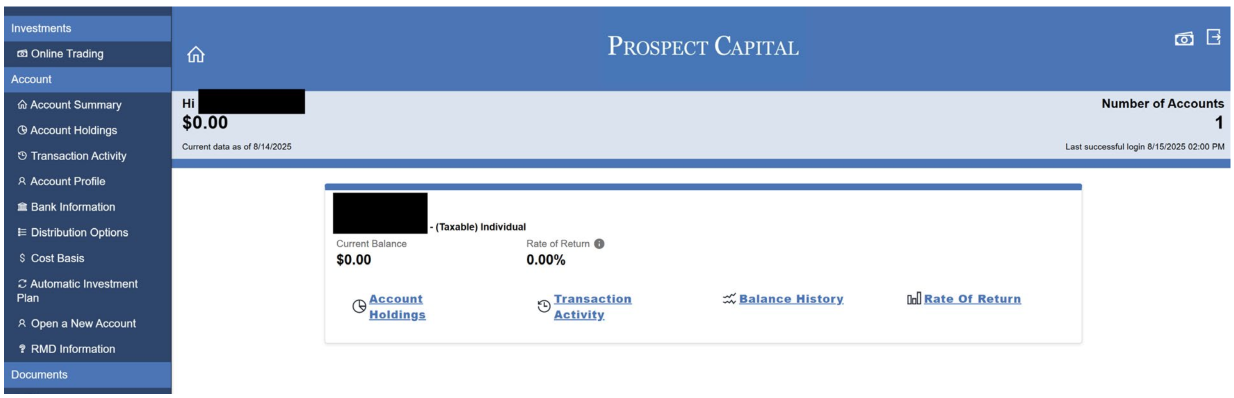
- Full name
- Date of birth
- Social Security Number
- Permanent street address

1. **Account Type**
   Select Account Type such as Individual, Joint, IRA, etc.
2. **Account Registration**
   Enter SSN, Account Name and Date of Birth
3. **Address**
   Enter your street address, phone number, email address
4. **Bank Info**
   Set up one or more bank accounts to fund purchases or receive dividends/redemption proceeds. This step is optional.
5. **Initial Funding**
   Fund the account from a bank account and select amounts to invest. This step is optional.
6. **Automatic Investments**
   Set up automatic investment plan in one or more investments. Investment amount is debited from a bank account. This step is optional.
7. **Document Delivery**
   Setup preferred delivery mode for Statements, Confirms, Tax Forms, etc to the Investor.
8. **Review & Verify**
   Review and verify the information for accuracy purposes.
9. **Disclaimer**
   View and accept disclaimers.
10. **Confirmation**
    View Account Number for new account created and download forms.

Cancel Start

- Once complete, click on the “Home” icon in the Top Left corner to view your account.





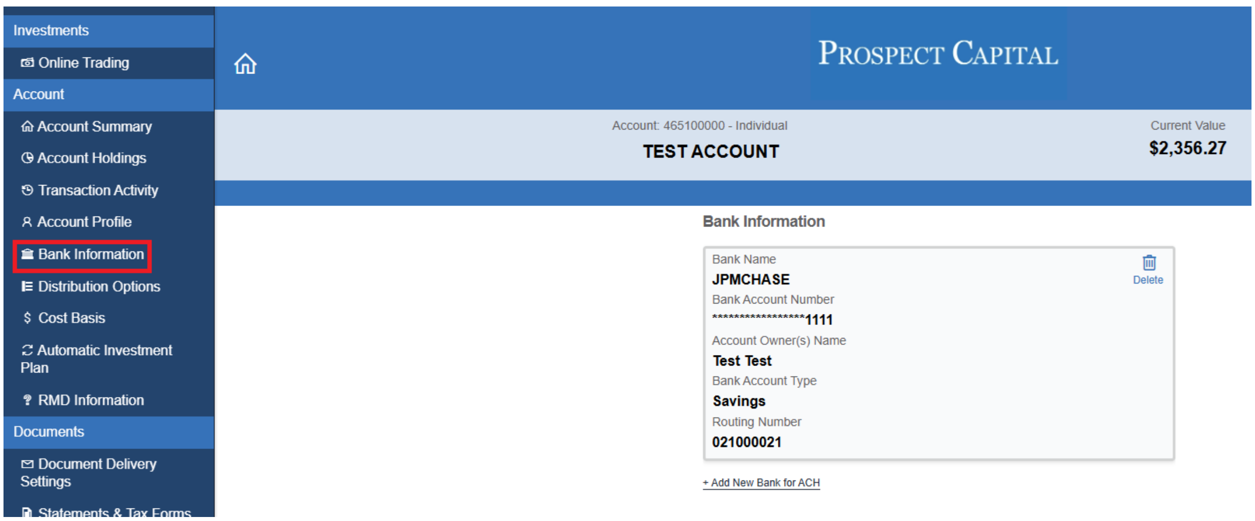
Making a Purchase on uTransact

Step 1: Login and Navigate to your profile

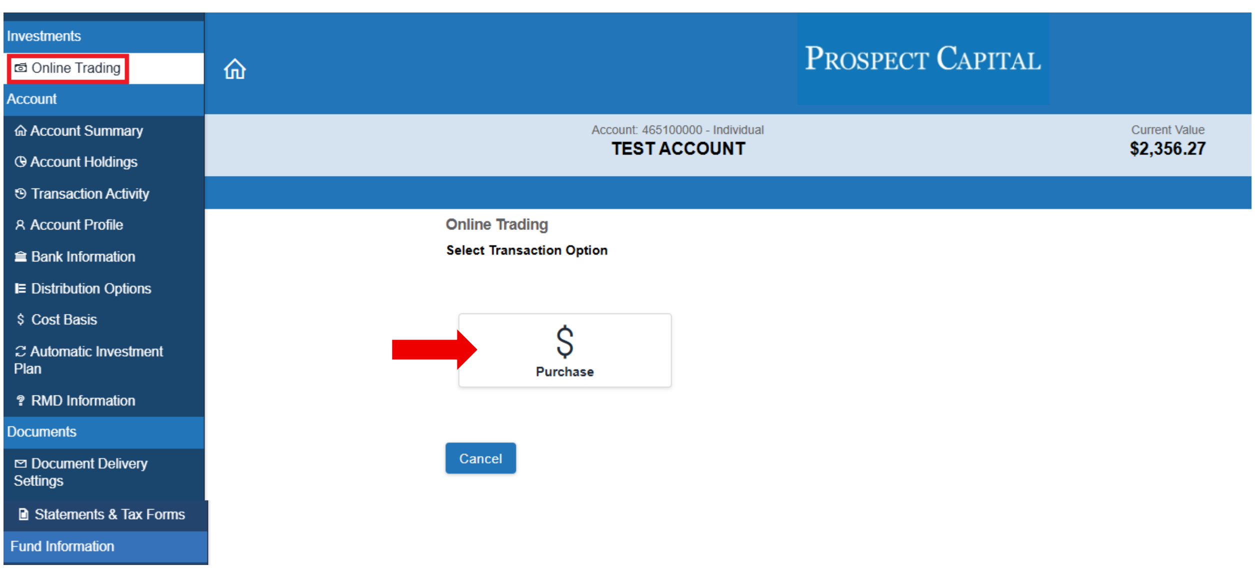
- Navigate to your account and log in: https://uportal.ultimusfundsolutions.com/app/prospect/

Step 2: Add Banking Instructions

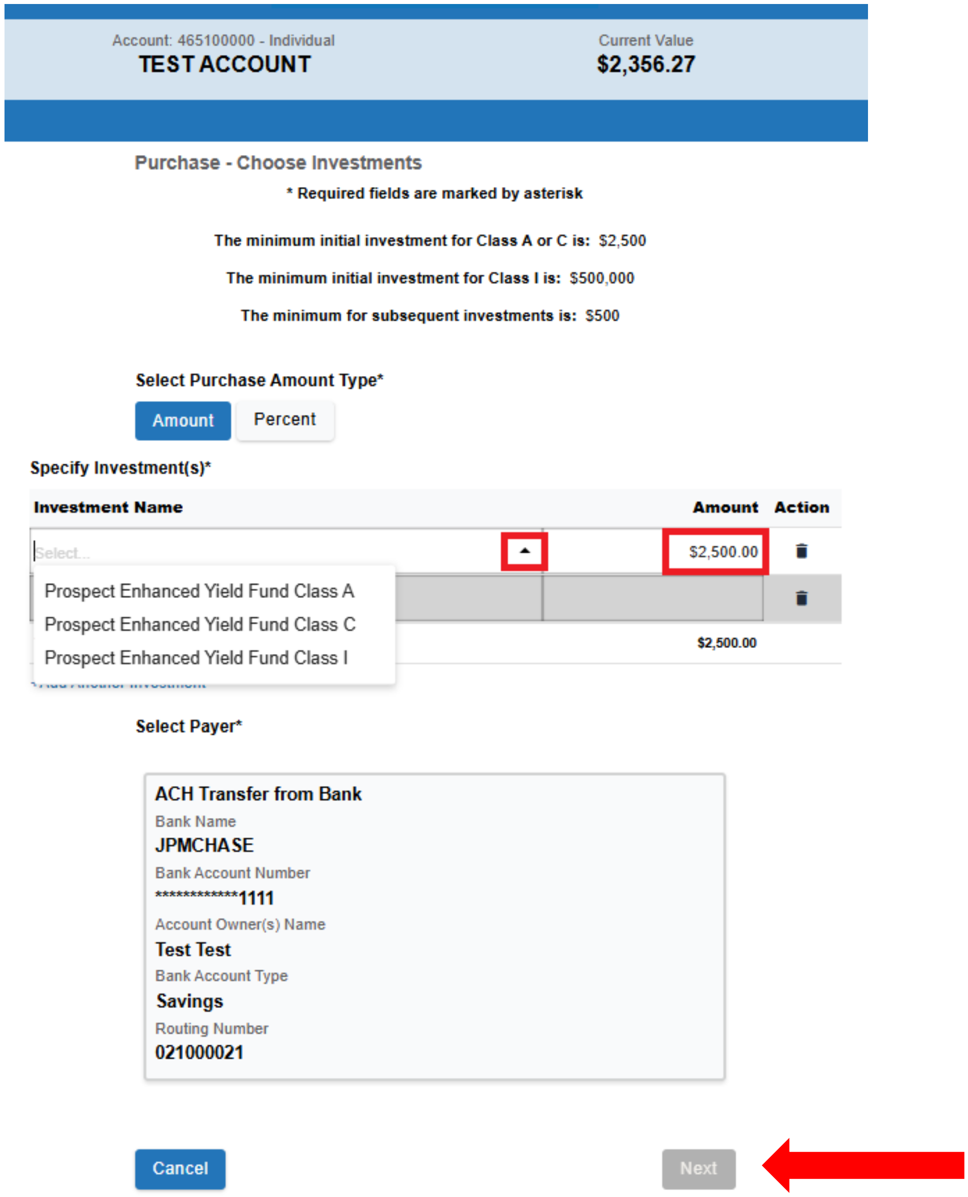
- ACH bank instructions must be on file to complete a purchase.
- Users can click on the "Add New Bank for ACH" link to instantly add bank instructions.



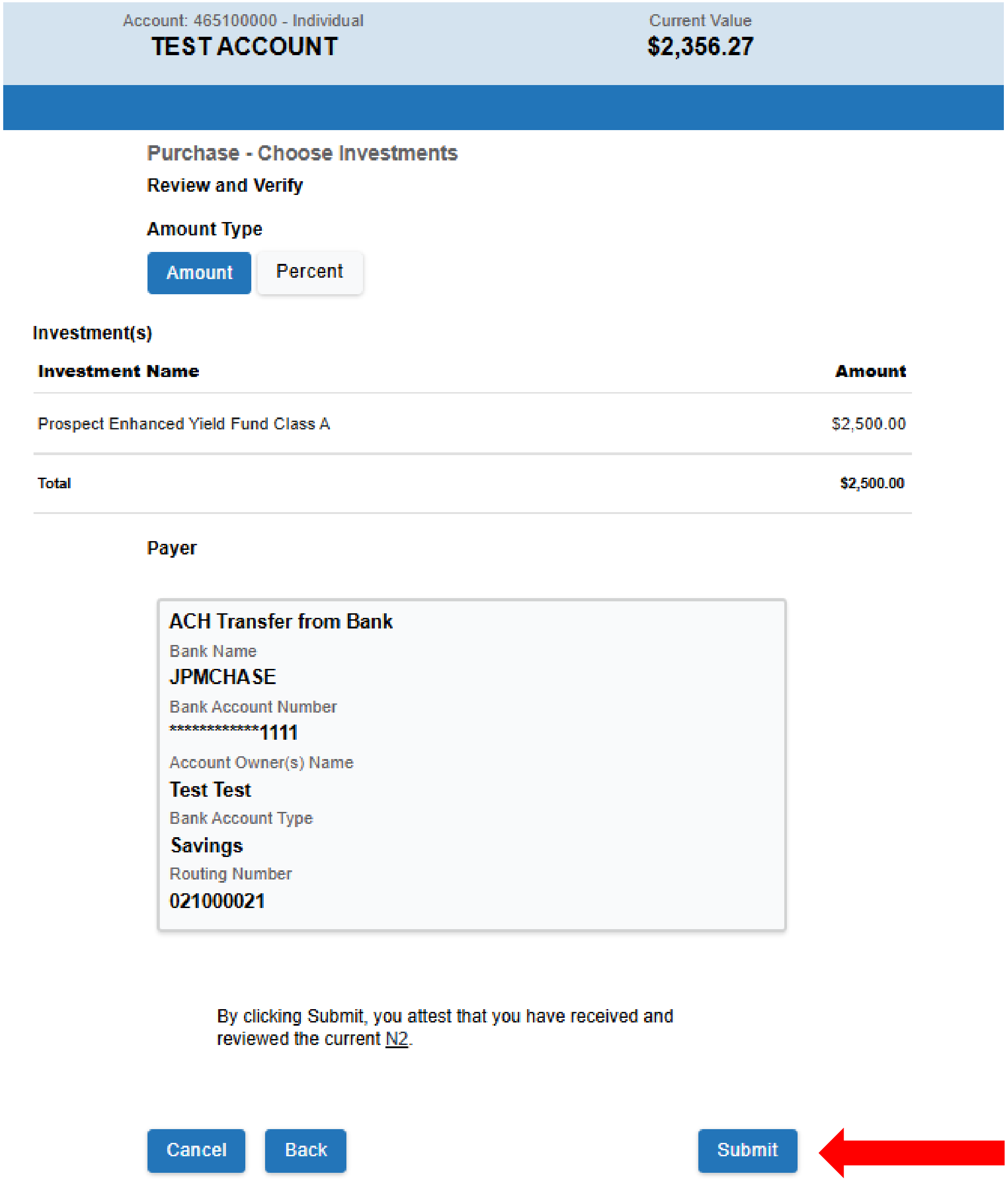
Step 2: Navigate to the Online Trading menu option and click on the Purchase icon.



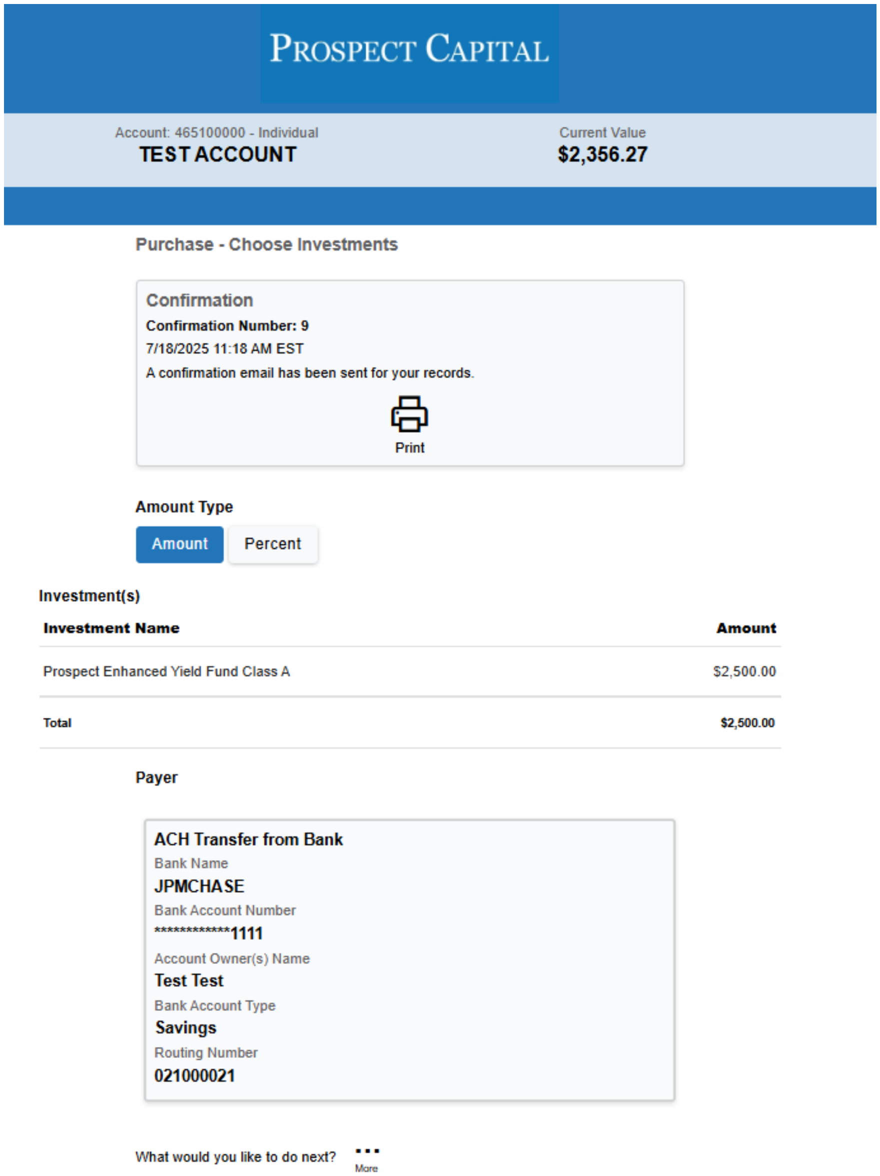
- Use the dropdown to select the fund you would like to purchase and then enter the dollar amount. The bank must be selected under the "Select Payer" section. Click "Next".



- Confirm all information is correct and then click “Submit”



- You will receive confirmation of your transaction, where you can print or save.



Prospect Capital

Account: 465100000 - Individual
TEST ACCOUNT

Current Value
$2,356.27

Purchase - Choose Investments

Confirmation
Confirmation Number: 9
7/18/2025 11:18 AM EST
A confirmation email has been sent for your records.

Print

Amount Type

Amount | Percent

Investment(s)

Investment Name	Amount
Prospect Enhanced Yield Fund Class A	$2,500.00
Total	**$2,500.00**

Payer

ACH Transfer from Bank
Bank Name
JPMCHASE
Bank Account Number
**************1111
Account Owner(s) Name
Test Test
Bank Account Type
Savings
Routing Number
021000021

What would you like to do next? More