



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:

User Name

[Forgot User Name](#)

Enter User Name

Password

[Forgot Password/Unlock User Id](#)

Enter Password



☐ Remember my User Name

Log In

First time user

[Sign up for Online Access](#)

[Open an Account](#)

Step 2: Fill in the (*) Required fields

Enter User Name*

TestUser1

Enter Password*

..... 

Re-enter Password*

Re-enter Password 

Phone*

UNITED STATES (+1) ▼ () -

Email*

Email 

Re-enter Email*

Re-enter Email

Enter User Nickname

Enter User Nickname

Step 3: Verify your Email Address via Multi Factor Authentication

Web User Profile

Verify your email address

A verification code has been sent to your email address @prospectcap.com.
Please enter the code below to continue.

Enter authentication code

392576 

[Didn't receive a code?](#)

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

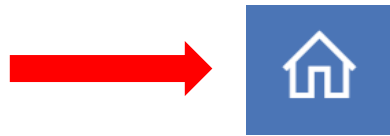
View Account Number for new account created and download forms.

Cancel

Start



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



Investments

Online Trading

Account

Account Summary

Account Holdings

Transaction Activity

Account Profile

Bank Information

Distribution Options

Cost Basis

Automatic Investment Plan

Open a New Account

RMD Information

Documents

PROSPECT CAPITAL

Hi [REDACTED]

Number of Accounts 1

Current data as of 8/14/2025

Last successful login 8/15/2025 02:00 PM

(Taxable) Individual

Current Balance \$0.00

Rate of Return 0.00%

Account Holdings

Transaction Activity

Balance History

Rate Of Return

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.

The screenshot shows the Prospect Capital account interface. On the left is a navigation menu with categories: Investments (Online Trading), Account (Account Summary, Account Holdings, Transaction Activity, Account Profile, Bank Information, Distribution Options, Cost Basis, Automatic Investment Plan, RMD Information), Documents (Document Delivery Settings, Statements & Tax Forms), and Fund Information. The 'Bank Information' item is highlighted with a red box. The main content area has a header with a home icon and 'PROSPECT CAPITAL'. Below this is a summary bar for 'Account: 465100000 - Individual' with 'Current Value \$2,356.27' and 'TEST ACCOUNT'. The 'Bank Information' section displays details for JPMCHASE: Bank Name, Bank Account Number (*****1111), Account Owner(s) Name (Test Test), Bank Account Type (Savings), and Routing Number (021000021). A 'Delete' icon is in the top right of this section. At the bottom, there is a link '+ Add New Bank for ACH'.

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

This screenshot shows the same Prospect Capital account interface, but the 'Online Trading' option in the left navigation menu is highlighted with a red box. The main content area now displays 'Online Trading' with the instruction 'Select Transaction Option'. A red arrow points to a 'Purchase' button, which features a dollar sign icon and the word 'Purchase'. Below the 'Purchase' button is a 'Cancel' button.

- 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”.

Account: 465100000 - Individual	Current Value
TEST ACCOUNT	\$2,356.27

Purchase - Choose Investments

* Required fields are marked by asterisk

The minimum initial investment for Class A or C is: \$2,500

The minimum initial investment for Class I is: \$500,000

The minimum for subsequent investments is: \$500

Select Purchase Amount Type*

Amount Percent

Specify Investment(s)*

Investment Name	Amount	Action
Select...	\$2,500.00	
Prospect Enhanced Yield Fund Class A		
Prospect Enhanced Yield Fund Class C		
Prospect Enhanced Yield Fund Class I	\$2,500.00	

Select 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

Cancel

Next



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

Account: 465100000 - Individual

TEST ACCOUNT

Current Value

\$2,356.27

Purchase - Choose Investments

Review and Verify

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

By clicking Submit, you attest that you have received and reviewed the current N2.

Cancel

Back

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