



PROCESS OPERATIONS

Investor Onboarding Workflow Guide

Step-by-Step Process from Invitation to Subscription Confirmation

Unykorn Capital Markets

5655 Peachtree Parkway, Suite 100, Norcross, Georgia 30099
+1 (470) 871-0517 | bd@unkorn.org | partners@unkorn.org
www.unykorn.org | brokerdealer.unykorn.org

Classification:

Restricted — BD Only

Date:

March 2026

OVERVIEW

The Unykorn investor onboarding workflow is a seven-stage process: (1) Investor invitation and access provisioning by the sponsoring broker-dealer; (2) Identity verification — government-issued ID, selfie liveness check, and address confirmation; (3) Accredited investor or Qualified Purchaser verification using one of the four SEC safe harbor methods; (4) Suitability assessment based on the BD's configured questionnaire; (5) AML/sanctions screening; (6) Subscription agreement execution via e-signature; (7) Subscription processing and settlement instruction generation.

Average completion time for a prepared investor is 12-20 minutes. The platform sends automated reminders for incomplete steps at configurable intervals. Compliance holds triggered by AML screening, ID verification failures, or accreditation document issues are escalated to the sponsoring BD's compliance officer through the platform's alert module.

Bulk investor invitation is available via CSV upload for programs with pre-identified investor lists. Individual invitation links are also available for self-directed onboarding managed by the BD's sales team. All invitation and onboarding activity is logged with timestamps for supervisory review.



PARTNER IMPLEMENTATION CHECKLIST

- 1 Configure onboarding workflow for specific program requirements
- 2 Upload investor invitation list or configure individual invitation flow
- 3 Set reminder cadence for incomplete onboarding steps
- 4 Configure compliance hold alerts and routing to CCO
- 5 Test full onboarding cycle in sandbox with a test investor profile
- 6 Train BD sales and compliance teams on onboarding dashboard
- 7 Establish investor support contact for onboarding inquiries

NEXT STEPS — Unykorn Capital Markets Partnership Desk

BD Partnerships: partners@unkorn.org
RWA Programs: rwa@unkorn.org
Compliance: compliance@unkorn.org
Phone: +1 (470) 871-0517
Platform: brokerdealer.unkorn.org
Main: www.unkorn.org
Office: 5655 Peachtree Parkway, Suite 100, Norcross, Georgia 30099

This document is provided for informational purposes only to registered broker-dealer personnel and is not an offer to sell or solicitation of an offer to buy any security. Unykorn Capital Markets is a financial technology infrastructure provider and is not a registered broker-dealer, investment adviser, transfer agent, or custodian. All securities activities described herein are conducted by appropriately registered and licensed broker-dealer partners. This document is CONFIDENTIAL and intended solely for the named recipient. Unauthorized distribution is prohibited. © 2026 Unykorn Capital Markets. All rights reserved.

UnyKorn Capital Markets · 5655 Peachtree Parkway, Suite 100, Norcross, Georgia 30099 · +1 (470) 871-0517 · bd@unykorn.org

UnyKorn Capital Markets · 5655 Peachtree Parkway, Suite 100, Norcross, Georgia 30099 · +1 (470) 871-0517 · bd@unykorn.org