



RiskMetrics Group
The Center for the Financial Community

ProxyExchange

Quick Reference Guide



Commonly Used Features

These features are available on most list views, including ballots, accounts and meetings.

List View Features



Filter

Narrow the list by multiple criteria.



My Filters

Save a frequently used filter.



Screen Configuration

Select columns to display.



Tasks

Actions that can be taken from a screen, such as close account, submit vote or save watchlist.

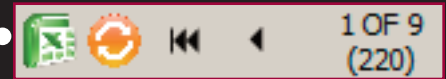
Page History

Click username to manage alerts and password. Recent page views are listed.



Export

Data from list views are easily exported into Excel.



Navigation

Use the single arrow key to navigate one page forward or back. Use the double arrow key to skip to the first/last page.

Sort

Click on any column header to sort the column.

MEETINGS [06/23/2009 - 07/08/2009]	
Issuer	Meeting date ▲
Petrohawk Energy Corp	Jun 23, 2009 07

System Navigation

Voting and Research

Locate a meeting, view a ballot, or execute a vote.



Meeting view aggregates ballots at the meeting level.



Policy ballot view aggregates ballots voted the same way.



Physical ballot view lists individual ballots received.



Research view displays the research repository where you can view and request supporting meeting materials.

Set-up and Alerts

Configure users and vote strategies and track missing ballots.



Reconciliation investigates missing ballots.



Send e-mail directly to your Account Manager.



View subscribed Alerts.

Accounts

Manage your account environment, view your accounts, and apply vote strategies to accounts using these modules.



Account Groups and Accounts reflect your account environment.



Custodian accounts reflect the account environment as set up by your Custodian.

Reporting

Create custom reports based on over 20 different report templates.



Run reports or schedule reports for automatic delivery.



Voting Detail

Information panels for meetings display meeting information, meeting level notes, recommendations and agenda items. Click on the headers to expand or collapse the panels. Similar information is available at the physical and policy ballot levels.

Meeting Information

Key meeting attributes, such as cut-off date, meeting date, record date, meeting type, votable shares and total ballots received.

Ballot Breakdown

A list of all physical ballots received for the meeting. Use this panel to see ballot details such as the share position and account information, or to vote individual ballots.

Recommendations

A side-by-side comparison of policy recommendations for each agenda item.

AMKOR TECHNOLOGY INC (SECURITY 031652100) - 409328		
POLICY BALLOT BREAKDOWN		
BALLOT BREAKDOWN		
NOTES		
RECOMMENDATIONS		
PROPOSALS		
Label	Type	Text
1.1		Elect Director James J. Kim
1.2		Elect Director Roger A. Carolin

Policy Ballot Breakdown

A list of ballot groups that will be voted in the same fashion. Proxy-Exchange automatically creates the groupings based on factors such as Account Group and Policy.

Notes

Enter meeting-level notes in this panel. Multiple notes can be added to a meeting.

Proposals

Agenda items for the meeting. Votes can be entered individually here, or via the Quick Vote dropdown in the Task Panel.

For meeting and ballot views, the voting task panel allows you to enter and approve voting instructions, enter notes, view research and perform other voting related tasks.



View Rationale

Click on this icon to enter a vote rationale for individual agenda items. Meeting level notes are entered separately into the Notes panel.



Attend Meeting

Use this icon to indicate if you plan to attend the meeting. Users can create attendee profiles by clicking the username next to the page history.



Quick Vote

Instruct a meeting with just one click. Simply select the vote option from the drop-down menu.



Meeting Source Materials

Access regulatory filings and other documents.



Set Flag

Use this icon to add a Flag to the meeting. Flags allow filtering of meetings for workflow purposes.



Security Information

View a list of security IDs associated with this meeting.



Research

View available research related to this meeting.



Submit Votes

After entering instructions, click here to send the votes to the proxy provider. A confirmation message is displayed at the top of the page.

Voting



Accounts



Account Groups

Account Groups aggregate multiple Institutional Accounts that follow the same policy and vote strategy.



Institutional Accounts

Institutional Accounts reflect your account environment. An Institutional Account may contain one or more Custodian Accounts.



Custodian Accounts

Custodian Accounts typically contain U.S. and non-U.S. elements of the Institutional Account. Custodian Accounts provide the most granular view of an account.



Accounts: Detail

Use the Account Detail view to modify account properties, close accounts, assign a policy to an account and perform other account related tasks. The panels on the right contain information such as account details, account group information and custodian accounts.



Add Account

New self-service capability allows you to add a new Institutional Account on the platform.



Manage Account Groups

Move Institutional Accounts from one account group to another. Similar capabilities exist for managing custodian accounts.



Close Account

Close inactive accounts to keep your account environment up to date. Closed accounts are viewable for reporting purposes and can be reactivated later.



Audit

See a full audit trail of all the changes made to an account. Audit details include when changes were made and who made them. Account level notes can also be added to the Notes panel.



Policy, Instruction Strategy, Approval Strategy



By default an account will inherit its Voting Policy, Instruction Strategy, and Approval Strategy from the Account Group or Location.



ProxyExchange allows you to manage these properties at the account level.

Accounts



Reports

Create and schedule professional quality reports quickly and easily using the Reports module.



Templates

Start by selecting the baseline for your report from more than 20 report templates.

Templates include Upcoming Meetings, Vote Summary, Country Summary, and Statistical Issues Summary (SIS).

Selecting a template presents a number of options for the report including: report name, report output format, account universe and other data points.



Named Reports

Reports you or your RiskMetrics Account Manager save appear in the Named Reports section.

Use this area to modify an existing report, change delivery options or run ad-hoc reports.



Scheduler

The Scheduled Reports section shows all delivered reports.

Reports can be downloaded here, delivered to a secure FTP site or sent via e-mail.

The system notifies you via an e-mail when the report is generated.

Reports: Configuration

Each report template is configurable to include: specific accounts, data points and output format. Below is a summary of the common configuration elements. The exact configuration options will vary by report.

Account Universe

Select the accounts to include in the report. By default all accounts will be included.

Choose Account Hierarchy relationships.

Location: *

All Locations

Account group: *

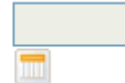
All Account groups

Meeting Date

Select start and end dates for the meetings included in the report. Additional options such as Markets and Ballot Types can be selected as well.

Choose Report parameters

Meeting date range
begin:*



Report Criteria

Checking this box adds a page to the report which recaps the criteria used to generate the report.

Show complete selection criteria at end of report:

Reporting



System Setup

ProxyExchange allows you to manage your Location settings such as: Watchlists, Instruction Strategy (ISM), Approval Strategy (ASM), User Profiles, User Types, and General Location Configuration.



Instruction Strategy Manager

All ballots go through the Instruction and Approval process before delivery to the proxy provider. The ISM automates the instruction process by specifying how (and which) ballots are instructed.



Location Settings

Set a default Policy, Instruction Strategy and Approval Strategy to be applied to all ballots received for your location. You can also select a one or two-step vote approval process to fit your organization's voting workflow.



Approval Strategy Manager

The ASM automates the ballot approval process – the last step before delivery to the proxy provider.



User Profile

Manage a user's entitlements by assigning User Types.



Watchlists

Create a list of issuers, markets or accounts of special interest. There is no limit to how many watchlists can be created. The watchlists play an integral role in filtering List Views and in instruction and approval strategies.



User Type

User Types define roles within your organization such as Analyst or Approver.

Users can be assigned to these roles through the User Profile module.

Alerts and Reconciliation



Alerts

Subscribe to Alerts on meetings, ballots, research and account changes. To manage alert subscriptions, click the username next to the page history in the upper left corner. Alerts are delivered via e-mail.

Sample Alerts include:

- + New Meeting Available
- + Meeting Requires Instruction/Approval
- + Meeting Agenda Changed
- + Ballots Rejected
- + New Research Available
- + Account Inactive for 45+ days



Reconciliation

ProxyExchange compares holdings against ballots received and automatically displays missing ballots here.

Notes entered here show how the discrepancies are being addressed by your Account Manager and the RiskMetrics Operations Team.

In addition to viewing open issues, you can select an action to help resolve reconciliation events within the module.



Contact Account Manager

Send an e-mail to your RiskMetrics Account Manager. For additional questions about ProxyExchange functionality, please click the Help link. An extensive Help Portal provides in-depth tutorials concerning system functionality and answers frequently asked questions.

Set-Up & Alerts





RiskMetrics Group
The Center for the Financial Community



Copyright © 2009 RiskMetrics Group