

# SES Agency User Roles

## EXHIBIT A

<p>Staff User <i>Serves as support to Staff Director</i></p>	<p><b>Supervisory Activity Management</b></p> <ul style="list-style-type: none"> <li>• Initiate a supervisory activity, i.e. exam, investigation</li> <li>• Update basic details of a supervisory activity</li> <li>• Reassign the EIC and manage participants on a supervisory activity</li> <li>• Close and lock a supervisory activity</li> <li>• Cancel a supervisory activity (before report is sent)</li> <li>• Upload historical data</li> <li>• Initiate company onboarding</li> </ul> <p><b>Library Management</b></p> <ul style="list-style-type: none"> <li>• Create, update, &amp; delete agency-specific library items</li> </ul> <p><b>Information Sharing</b></p> <ul style="list-style-type: none"> <li>• Request access to supervisory activities</li> <li>• Accept and reject requests for access to supervisory activities</li> <li>• Remove access to supervisory activities</li> </ul>
<p>Staff Director</p>	<p><b>Same permissions as Staff User (above), plus:</b></p> <p><b>Supervisory Activity Management</b></p> <ul style="list-style-type: none"> <li>• Comment on Matters Requiring Attention within a supervisory activity</li> <li>• Review and approve/reject a proposed supervisory activities schedule</li> </ul>
<p>Examiner</p>	<p><b>Supervisory Activity Management</b></p> <ul style="list-style-type: none"> <li>• Can be assigned as an 'Examiner' or 'EIC' on a supervisory activity</li> <li>• Add information request items to a supervisory activity</li> <li>• Review information request responses</li> <li>• Manage procedures</li> <li>• Add observations and findings</li> <li>• Add Matters Requiring Attention</li> <li>• Document report commentary</li> <li>• <b>As EIC:</b> <ul style="list-style-type: none"> <li>• Manage SA participants</li> <li>• Define scope and plan</li> <li>• Send information requests to company and cancel information requests</li> <li>• Assemble report package</li> <li>• Send report to company</li> <li>• Review and mark report responses complete</li> <li>• Schedule the exit meeting</li> <li>• Enter close out information</li> </ul> </li> </ul>
<p>Examiner Reviewer</p>	<p><b>Supervisory Activity Management</b></p> <ul style="list-style-type: none"> <li>• Can be assigned as a 'Reviewer' on a supervisory activity <ul style="list-style-type: none"> <li>• Update the scope when sent for review by EIC</li> <li>• Update the plan when sent for review by EIC</li> <li>• Edit the report of examination and report of investigation when sent for review by EIC</li> <li>• Add report commentary and supporting documents to the report when sent for review by EIC</li> </ul> </li> </ul>
<p>Account Administrator</p>	<p><b>User Management</b></p> <ul style="list-style-type: none"> <li>• Manage agency record (business types, business lines, email domains)</li> <li>• Create and manage users</li> <li>• Assign and update roles for users <ul style="list-style-type: none"> <li>• Each user must have at least one role</li> <li>• Each user can be assigned multiple roles</li> <li>• There must be at least one user in each role for each agency*</li> </ul> </li> </ul> <p>*Agency must have at least 2 AAs and no more than 5 AAs</p>