

**SS&C Technologies, Inc.**  
**SECURITIES TRANSACTION PRE-APPROVAL REQUEST FORM**

**Instructions to User:** Please complete this Securities Transaction Pre-Approval Request Form and submit it to the Office of the General Counsel of SS&C Technologies, Inc. (email address is "traderequest@sscinc.com") prior to undertaking any securities transaction (for example, the purchase or sale of any shares of stock.)<sup>2</sup> As soon as practicable after receiving your completed Pre-Approval Request Form, a representative from the Legal Department will respond to your request. You may not trade in the securities that are the subject of your request unless and until you have received written pre-approval from the Legal Department. If you have questions regarding this Pre-Approval Request Form, please contact the Office of the General Counsel at (860) 298-4832.

**EMPLOYEE INFORMATION**

Name:		Date:
Title:	Phone:	Email:
Address:		
City:	State:	ZIP Code:
Business Unit and Location:		
Manager:		

**DESCRIBE SECURITIES TRANSACTION FOR WHICH YOU ARE SEEKING APPROVAL: (for example, purchase 100 shares of IBM Corporation):**

<u>TYPE OF TRANSACTION</u>	<u>NAME OF SECURITY/TYPE</u> (For example: IBM stock)	<u>QUANTITY/NUMBER OF SHARES</u>
BUY:..... <input type="checkbox"/>	<input type="text"/>	<input type="text"/>
SELL:..... <input type="checkbox"/>	<input type="text"/>	<input type="text"/>
OTHER:..... <input type="checkbox"/> (Describe, for example, is this a hedging or a pledging transaction? or a gift of securities?) _____ _____	<b>TICKER SYMBOL</b> (if available) <input type="text"/>	

**INVOLVEMENT IN CLIENT ACCOUNTS (Describe/list client accounts in which you have been involved or to which you have had access in the last 10 days):**

**OTHER: Provide other relevant information necessary or helpful in assessing whether your proposed securities transaction should be approved:**

*By signing below, I certify that the information contained in this Pre-Approval Request Form is complete and accurate and further that I have read and understand SS&C's Securities Transaction Policy and this EU Supplement and I hereby confirm that the requested trade is in conformity with such policies.*

**Signature of Employee**

**Date**

**FOR LEGAL DEPARTMENT USE ONLY**

Approval Granted: Yes/No

By: \_\_\_\_\_

Name:

Date

**Comments:**

<sup>2</sup> Transactions involving mutual funds, index funds or exchange traded funds or the purchase or sale of securities of a listed company with a market capitalization ≥ US \$5.0 billion are not required to be pre-approved.

