

A wide-angle photograph of the Nashville skyline at sunset. The sky is a vibrant mix of orange, pink, and purple, with scattered clouds. The city's lights are beginning to glow, reflecting on the surface of the river in the foreground. The prominent AT&T Building with its two spires is a central feature of the skyline.

# SHIELD CLIENT CONNECT

NASHVILLE 2026

# Assure Training

[VIEW AGENDA](#)



# Today's Agenda

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1

## Groups

Responsible Party Groups and case assignment

2

## Track-and-Trace

Locations, API keys / UBIs, and troubleshooting

3

## Estimates

Sales and tax estimates for comparing deposits

4

## New Clients

Onboarding flow and setting expectations

5

## Reporting

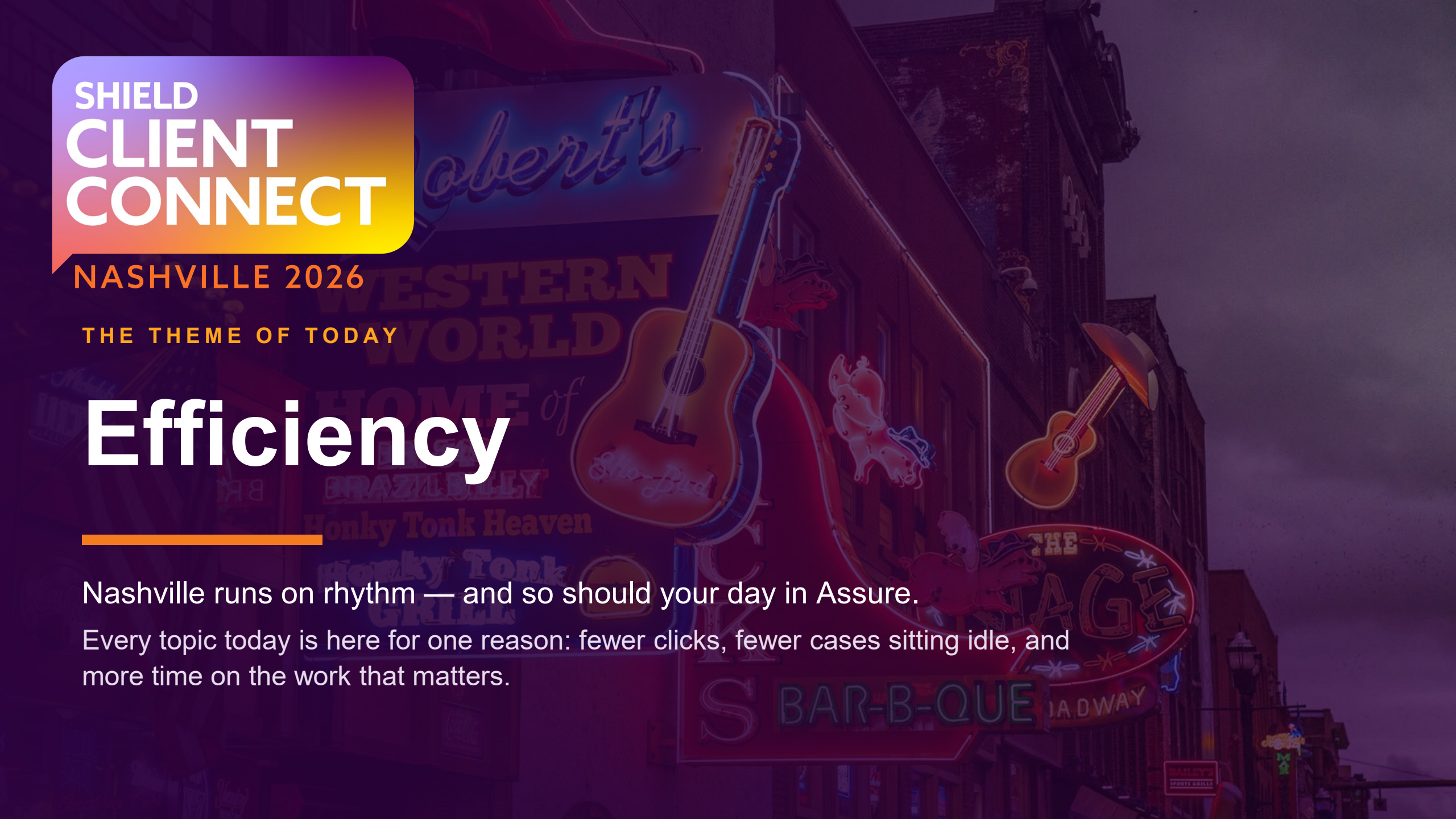
Client Details and License Detail reports

6

## Assure Focus Group

Open discussion and product feedback



The background of the slide is a photograph of a Nashville street at dusk or night. The image is dark with a purple and blue color grade. Several neon signs are visible on the buildings. At the top left, a sign for 'Robert's' is partially visible. Below it, a large sign for 'WESTERN WORLD' is prominent. Further down, there's a sign for 'Honky Tonk Heaven'. On the right side, a large neon guitar sign is mounted on a building. Below that, there's a sign for 'THE STAGE' and another for 'BAR-B-QUE'. The overall atmosphere is that of a classic Nashville honky-tonk street.

# SHIELD CLIENT CONNECT

NASHVILLE 2026

THE THEME OF TODAY

# Efficiency

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Nashville runs on rhythm — and so should your day in Assure.

Every topic today is here for one reason: fewer clicks, fewer cases sitting idle, and more time on the work that matters.

A wide-angle photograph of the Nashville skyline at sunset. The sky is a mix of orange, yellow, and blue. The city lights are on, and a large riverboat is on the river in the foreground.

# SHIELD CLIENT CONNECT

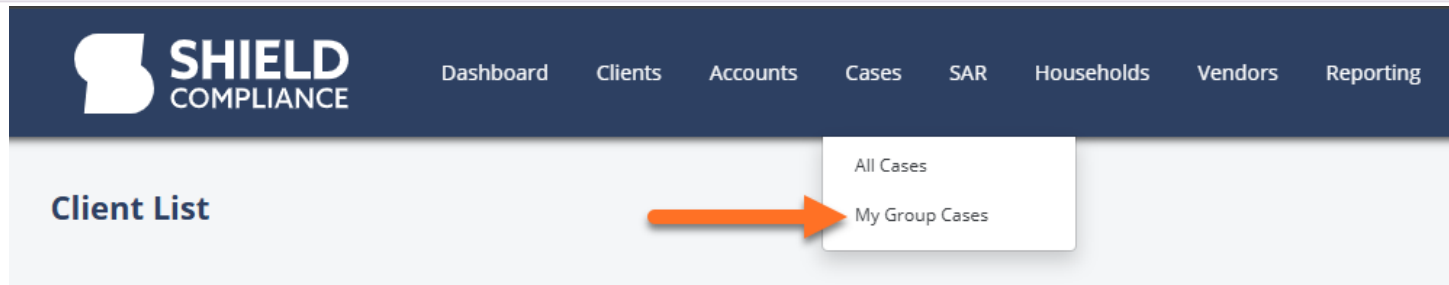
NASHVILLE 2026

## Groups

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# Groups in Assure: Responsible Party Groups



## Benefits –

- Cases can be automatically assigned to teams.
- Focused “Case List Page”
- Case may be manually reassigned as needed.
- Sneak Peek: Shield Launchpad view



# Groups in Assure

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To enable Groups in Assure, contact your Account Manager.

- Individuals can be in multiple groups
- Groups can be used for escalation and / or team management



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# Track-and-Trace Licenses and Locations

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# Licenses to Locations



## License

- **Entered by FI**

- *Sync from Engage or manual entry*

## API Key / UBI

- **Entered by Client**

- *Via Track-and-Trace Credentials Required Case*

## Location(s)

- **Selected by FI**

- *Values provided by Metrc or BioTrack – only select locations banked.*

# Track-and-Trace: Location, Location, Location!

- Locations provide site or activity specific track-and-trace data.
- Not all states have locations... but some have “locations” specific to each activity



## Michigan

- No “locations”
- 1:1 – License / Location
- Automatically selected in Assure



## New York

- Physical Locations
- Activity Locations
- Manually selected in Assure



## Florida

- Physical Locations
- Manually selected in Assure

# Why Is This Important?

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- Select the locations (or “Activity” locations) that **you** bank
- Locations **MUST** be selected for track-and-trace sales to populate (once an API key / UBI is added).



## RECONCILIATION



# Where Can I See Locations?

- Client Profile → Industry License Information → Edit pencil



Industry License Information

Cannabis

| State | Type     | Number     | Status             | Expiration | Get License Copy         | Name / Address Information | Verified     | Trace | Stac... | Deli... | License Notes | License Notes User | License Notes Last Updated | Edit                                                                                                                                                                    |
|-------|----------|------------|--------------------|------------|--------------------------|----------------------------|--------------|-------|---------|---------|---------------|--------------------|----------------------------|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| > MI  | Retailer | AU-R-00001 | Active (Confirm... | 09/24/2026 | <input type="checkbox"/> | <div></div>                | 09/19/2026   | ✓     |         | ✓       |               |                    |                            |   |
|       |          |            |                    |            |                          |                            | by MI MRA    |       |         |         |               |                    |                            |                                                                                                                                                                         |
|       |          |            |                    |            |                          |                            | License Data |       |         |         |               |                    |                            |                                                                                                                                                                         |

1 to 1 of 1

<

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Page 1 of 1

**Edit Cannabis License**

STATE: MI TYPE: Retailer LICENSE NUMBER: AU-R-00001  
CHANGING A MARIJUANA LICENSE TYPE MAY INTERRUPT TRACE DATA FLOW FROM STATE TRACE SOURCES. CHANGING A MARIJUANA LICENSE NUMBER WILL STOP TRACE DATA FLOW FROM STATE TRACE SOURCES FOR THIS LICENSE.

STATUS: Active (Confirmed) EXPIRATION: 09/24/2026

TRADE NAME: ADDRESS LINE 1: ADDRESS LINE 2: CITY: STATE: MI ZIP: 48043

VERIFIED: 09/19/2026 API KEY: xxxRcXa DELIVERIES AUTHORIZED: ☒ GET TRACE DATA: ☒

**License Notes**

LICENSE SUMMARY: Edit

**Tax Rate** (will be used as default for all NEW Locations. Individual location tax rate updates should be made at the location level.)

EXPECTED REGULATED TAX RATE - RETAIL: 0% EXPECTED REGULATED TAX RATE - WHOLESALE: 0% EXPECTED UNREGULATED SALES PERCENTAGE: 0% EXPECTED UNREGULATED TAX RATE: 0%

Assign Location ID(s) to License

Available Options

| <input type="checkbox"/>            | Location ID | Start Date | End Date | Address | Expected Regulated Tax Rate - Retail | Expected Regulated Tax Rate - Wholesale | Expected Unregulated Sales Percentage | Expected Unregulated Tax Rate |
|-------------------------------------|-------------|------------|----------|---------|--------------------------------------|-----------------------------------------|---------------------------------------|-------------------------------|
| <input checked="" type="checkbox"/> | AU-R-00001  | 06/01/2026 |          |         |                                      |                                         |                                       |                               |

1 to 1 of 1 < > Page 1 of 1 > |

# Where Can I See Locations?

- Client Profile → Quick Jump Menu → Track-and-Trace History



Trace History   Wholesale Ledger History   Wholesale Transfer History

### Trace History

Month to Date   Last Month   Last Three Full Months   Last Six Full Months   Last Twelve Full Months   All

| Period Name | License        | Source                                     | Trac... | Tran Date | Last U | Search...     |
|-------------|----------------|--------------------------------------------|---------|-----------|--------|---------------|
| 2026-01     | OCM-MICR- (NY) | > State Trace - Wholesale - OCM-MICR- -C1  | \$ 0.00 |           |        | > Period Name |
|             |                | > State Trace - Wholesale - OCM-MICR- -D2  | \$ 0.00 |           |        | > License     |
|             |                | > State Trace - Wholesale - OCM-MICR- -DX1 | \$ 0.00 |           |        | > Source      |
|             |                | > State Trace Wholesale OCM-MICR- P1       | \$ 0.00 |           |        |               |

1 2 3 4

Filters

Trace History   Biotrack Wholesale Ledger History   Biotrack Wholesale Transfer History

### Trace History

Month to Date   Last Month   Last Three Full Months   Last Six Full Months   Last Twelve Full Months   All

| Period Name | License        | Source                                      | Trace Sales   | Tran Date | Last Updated | Alerts | Search...     |
|-------------|----------------|---------------------------------------------|---------------|-----------|--------------|--------|---------------|
| 2026-09     | MMTC-2026-0000 | > State Trace - Wholesale - Location 1      | \$ 0.00       |           |              |        | > Period Name |
|             |                | > State Trace - Retail Medical - Location 1 | \$ 174,291.00 |           |              |        | > License     |
|             |                | > State Trace - Wholesale - Location 2      | \$ 0.00       |           |              |        | > Source      |
|             |                | > State Trace - Retail Medical - Location 2 | \$ 289,343.00 |           |              |        | Search...     |
|             |                | > State Trace - Wholesale - Location 3      | \$ 0.00       |           |              |        |               |

Filters

# How Do I Know If There Is an Issue?

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CONNECT

## Track-and-Trace (API Key / UBI) Error

SENT TO THE CLIENT

- Signals an issue with the API key or UBI provided
- Could be a permissions error, or entered incorrectly

## License Location Review Required

SENT TO THE FI

- Action is needed on the location(s) for a license
- **Three triggers can raise this case**

### THREE TRIGGERS FOR "LICENSE LOCATION REVIEW REQUIRED"

1

#### Initial Selection

No location chosen yet

2

#### Location Issue

Problem with a selection

3

#### New Location

Available, not yet reviewed

# API Key Status Report

- Every location is on a separate line



## Reporting

API Key Status

### Description

This report displays the status of Metrc API key and BioTrack UBI errors by license and by location. It provides visibility into licenses and locations where API credentials are missing, invalid, or failing to validate, enabling timely resolution to ensure uninterrupted seed-to-sale data integration.

### FI Key Status

Needs Attention Valid All

Unique clients needing attention 62 Unique licenses needing attention 114

| Client Name         | FI Customer Number | Lice... State | License Name        | License Number   | License Status     | API Key/UBI Status                                 | API Key/UBI - Last Four | API Key/ UBI Last Updated | Location        | Location Status    | Location Last Updated | Location S Date |
|---------------------|--------------------|---------------|---------------------|------------------|--------------------|----------------------------------------------------|-------------------------|---------------------------|-----------------|--------------------|-----------------------|-----------------|
| Alligator Cannabis  | 15944984F          | AZ            | Adult Use Establ... | 1221351          | Active             | 06/25/2026 - API Key is valid, however license ... | kkhh                    | 06/24/2026 07:1...        |                 | Unprocessed        |                       |                 |
| BLUE CORP TRADE...  | 345163             | IL            | Cultivation Center  | 1609060667       | Active (Confirm... | 05/20/2026 - API key not authorized for basic ...  | 0000                    | 05/19/2026 08:4...        |                 | Unprocessed        |                       |                 |
| BLUE CORP TRADE...  | 345163             | IL            | REGISTERED AD...    | 284000012-AUD... | Active (Confirm... | 05/20/2026 - API key not authorized for basic ...  | 0000                    | 05/19/2026 08:4...        |                 | Unprocessed        |                       |                 |
| DC Metrc Test       | 20250430-DC        | DC            | Dispensary          | ABCA-127754      | Active             | 09/21/2026 - Valid                                 | iKxc                    | 05/09/2025 03:0...        | ABCA-127754     | 09/21/2026 - Va... | 09/20/2026            | 03/28/202       |
| DC Metrc Test       | 20250430-DC        | DC            | Dispensary          | ABCA-128413      | Active             | 10/04/2025 - API key not authorized for basic ...  | fvTp                    | 05/23/2025 12:2...        |                 | Unprocessed        |                       |                 |
| House of Gryffindor | 124455689          | AZ            | Medical Marijua...  | 00000042DCSI0... | Active (Confirm... | 06/23/2026 - API Key is valid, however license ... | askl                    | 12/11/2025 08:3...        |                 | Unprocessed        |                       |                 |
| Sparrow California  | 1002               | CA            | Annual Commer...    | C12-0000373-LIC  | Active (Confirm... | 09/21/2026 - Valid                                 | 6QJU                    | 01/03/2022 05:5...        | C12-0000373-LIC | 09/21/2026 - Va... | 09/20/2026            | 01/01/202       |



# SHIELD CLIENT CONNECT

NASHVILLE 2026

## Estimates

[VIEW AGENDA](#)



# Benefits

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- Requires less ongoing effort from your clients currently required to provide Monthly Sales Reconciliation. Estimates may still be validated by the client when needed.
- Automatically apply estimated tax rates to BioTrack or Metrc track-and-trace sales.
- Automatically apply estimated unregulated sales and taxes based on Metrc or BioTrack regulated sales.



# Pre-Requisites

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1. Request your Account Manager to enable estimates within Shield Assure.
2. Enter tax rates / unregulated sales rates for each license (individually or in bulk).
3. Estimates will work for entities with a valid Metrc or BioTrack integration AND with tax or unregulated sales rates assigned by location.

*Please note – to ensure accurate tax rates and expected unregulated sales rates, requests may be added to the Engage application or verified via a due diligence item in Assure.*



# How to Guide



## Client List &gt; Sparrow California

Profile Client Notes Client DBA(s) Client Website(s) Compliance Start Date State Business License Information Industry License Information Compliance Due Diligence  
Related Party Details Client User(s) Data Received Accounts Referral Partners

Quick Jump:

[Link Engage Application](#)

## Profile

|                                                                                        |                                                          |                                                                |
|----------------------------------------------------------------------------------------|----------------------------------------------------------|----------------------------------------------------------------|
| LEGAL NAME<br>Sparrow California                                                       | CUSTOMER TYPE<br>Organization                            | FI CUSTOMER NUMBER<br>1002                                     |
| PRIMARY PHONE<br>+1 (555) 333-4444                                                     | PRIMARY EMAIL                                            | TAX ID<br>12-3123121                                           |
| PRIMARY ADDRESS<br>123 Main Street, City of Industry, CA 55555, US                     | MAILING ADDRESS                                          | NO TAX ID/UNKNOWN<br><input type="checkbox"/>                  |
| DBA                                                                                    | POINT OF CONTACT                                         | SERVICES PROVIDED                                              |
| FI RELATIONSHIP MANAGER NAME                                                           | FI RELATIONSHIP MANAGER EMAIL                            | TYPE OF BUSINESS                                               |
| BRANCH NAME                                                                            | BRANCH NUMBER                                            | NAICS CODE                                                     |
| FUNDING DATE                                                                           | NO STATE BUSINESS LICENSE<br><input type="checkbox"/>    | CUSTOMER SINCE<br>03/10/2020                                   |
| MONITORED ENTITY<br><input checked="" type="checkbox"/>                                | REPORTABLE ENTITY<br><input checked="" type="checkbox"/> | RISK CLASSIFICATION<br>N/A. Please enter Risk Classification.  |
| VENDOR STATUS                                                                          | OVERIDDEN<br><input type="checkbox"/>                    | REPORTABLE LICENSES<br><input checked="" type="checkbox"/>     |
| ACCOUNTING REQUIRED SCHEDULE<br>Monthly                                                | ACCOUNTING START PERIOD<br>August 2024                   | REQUIRE SALES RECONCILIATION<br><input type="checkbox"/>       |
| HOUSEHOLD<br>HH Sterling Corporation (Subject); HH Marigold Industries (Related Party) | DEPOSIT/SALES ANALYSIS SCHEDULE<br>Monthly               | REQUIRE ACCOUNTING DATA<br><input checked="" type="checkbox"/> |
|                                                                                        | DEPOSIT/SALES START PERIOD<br>August 2024                | INDUSTRY CLASSIFICATION<br>Cannabis                            |

[Edit](#)[? Help](#)

Go to the **Industry License Information** container to add tax and sales percentages

## Client List &gt; Sparrow California

Profile Client Notes Client DBA(s) Client Website(s) Compliance Start Date State Business License Information Industry License Information Compliance Due Diligence  
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Quick Jump:

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| PRIMARY ADDRESS<br>123 Main Street, City of Industry, CA 55555, US                     | MAILING ADDRESS                                            | NO TAX ID/UNKNOWN<br><input type="checkbox"/>                  |
| DBA                                                                                    | POINT OF CONTACT                                           | SERVICES PROVIDED                                              |
| FI RELATIONSHIP MANAGER NAME                                                           | FI RELATIONSHIP MANAGER EMAIL                              | TYPE OF BUSINESS                                               |
| BRANCH NAME                                                                            | BRANCH NUMBER                                              | NAICS CODE                                                     |
| FUNDING DATE                                                                           | NO STATE BUSINESS LICENSE<br><input type="checkbox"/>      | CUSTOMER SINCE<br>03/10/2020                                   |
| MONITORED ENTITY<br><input checked="" type="checkbox"/>                                | REPORTABLE ENTITY<br><input checked="" type="checkbox"/>   | RISK CLASSIFICATION<br>N/A. Please enter Risk Classification.  |
|                                                                                        | OVERRIDDEN<br><input type="checkbox"/>                     | REQUIRE SALES RECONCILIATION<br><input type="checkbox"/>       |
| VENDOR STATUS                                                                          | REPORTABLE LICENSES<br><input checked="" type="checkbox"/> | REQUIRE ACCOUNTING DATA<br><input checked="" type="checkbox"/> |
|                                                                                        | VENDOR MONITORING<br><input type="checkbox"/>              |                                                                |
|                                                                                        | NEGATIVE NEWS ENABLED<br><input type="checkbox"/>          |                                                                |
| ACCOUNTING REQUIRED SCHEDULE<br>Monthly                                                | ACCOUNTING START PERIOD<br>August 2024                     | DEPOSIT/SALES ANALYSIS SCHEDULE<br>Monthly                     |
|                                                                                        | DEPOSIT/SALES START PERIOD<br>August 2024                  | INDUSTRY CLASSIFICATION<br>Cannabis                            |
| HOUSEHOLD<br>HH Sterling Corporation (Subject); HH Marigold Industries (Related Party) |                                                            |                                                                |

[Edit](#)[? Help](#)

## State Business License Information

| State | License Type       | License Number | Status | Expiration | Name / Address Information                                 | Verified | Edit                                                                                                                                                                    |
|-------|--------------------|----------------|--------|------------|------------------------------------------------------------|----------|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| CA    | CA Entity Number   | 879879         | Active |            | Sparrow California 123 Main St, City of Industry, CA 55555 |          |   |
| FL    | FL Document Number | 123456         | Active |            |                                                            |          |   |
|       |                    | 1234567879     | Active |            |                                                            |          |   |

Add License(s)

Expand the caret to see the location detail, including tax and sales rates

Select the *Edit* icon to update the tax and sales rates by location.

## Industry License Information

Cannabis

| State                                                                                                                                                                                                                                                                                                            | Type                                 | Number                                  | Status                                | Expiration                    | Get License Copy         | Name / Address Information | Verified | Trace | License Notes | License Notes User | License Notes Last Updated | Edit                                                                                                                                                                        |             |                                      |                                         |                                       |                               |                 |        |  |     |       |
|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------------------------|-----------------------------------------|---------------------------------------|-------------------------------|--------------------------|----------------------------|----------|-------|---------------|--------------------|----------------------------|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-------------|--------------------------------------|-----------------------------------------|---------------------------------------|-------------------------------|-----------------|--------|--|-----|-------|
| ▼ CA                                                                                                                                                                                                                                                                                                             | Annual Commercial - Microbusiness    | C12-00001234-LIC                        | Active                                | 07/26/2026                    | <input type="checkbox"/> | Cannabis Company           |          | ✓     |               |                    |                            |       |             |                                      |                                         |                                       |                               |                 |        |  |     |       |
| <table><tr><th>Location ID</th><th>Expected Regulated Tax Rate - Retail</th><th>Expected Regulated Tax Rate - Wholesale</th><th>Expected Unregulated Sales Percentage</th><th>Expected Unregulated Tax Rate</th></tr><tr><td>C12-0000373-LIC</td><td>22.25%</td><td></td><td>10%</td><td>7.25%</td></tr></table> |                                      |                                         |                                       |                               |                          |                            |          |       |               |                    |                            |                                                                                                                                                                             | Location ID | Expected Regulated Tax Rate - Retail | Expected Regulated Tax Rate - Wholesale | Expected Unregulated Sales Percentage | Expected Unregulated Tax Rate | C12-0000373-LIC | 22.25% |  | 10% | 7.25% |
| Location ID                                                                                                                                                                                                                                                                                                      | Expected Regulated Tax Rate - Retail | Expected Regulated Tax Rate - Wholesale | Expected Unregulated Sales Percentage | Expected Unregulated Tax Rate |                          |                            |          |       |               |                    |                            |                                                                                                                                                                             |             |                                      |                                         |                                       |                               |                 |        |  |     |       |
| C12-0000373-LIC                                                                                                                                                                                                                                                                                                  | 22.25%                               |                                         | 10%                                   | 7.25%                         |                          |                            |          |       |               |                    |                            |                                                                                                                                                                             |             |                                      |                                         |                                       |                               |                 |        |  |     |       |
| > FL                                                                                                                                                                                                                                                                                                             | Medical Treatment Centers            | MMTC-                                   | Active                                |                               | <input type="checkbox"/> |                            |          | ✓     |               |                    |                            |   |             |                                      |                                         |                                       |                               |                 |        |  |     |       |

Add License(s)

Compliance

- Estimates are calculated on the 4<sup>th</sup> of the month (for the prior month) based on the current tax rates and sales rates entered for the location.
- Estimates are displayed on the Quick Jump menu - *Location Financial Detail*
- Prior estimates will NOT be updated if the tax or sales rates change.
- Deposit Validation cases will use estimates for calculations where available. Any actual value entered will override an estimate.

## Client List &gt; Sparrow California

Profile Client Notes Client DBA(s) Client Website(s) Compliance Start Date State Business License Information Industry License Information Compliance Due Diligence  
Related Party Details Client User(s) Data Received Accounts Referral Partners

Quick Jump:

ACH Originators  
Case History  
Document History  
Data Quality  
Deposit Validation History  
Financial History  
Location Financial Detail  
SAR History  
Seed-to-Sale History  
Vendor Management

## Profile

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| PRIMARY ADDRESS<br>123 Main Street, City of Industry, CA 55555, US                     | MAILING ADDRESS                                                                                                                                            | SERVICES PROVIDED                                              |
| DBA                                                                                    | POINT OF CONTACT                                                                                                                                           | TYPE OF BUSINESS                                               |
| FI RELATIONSHIP MANAGER NAME                                                           | FI RELATIONSHIP MANAGER EMAIL                                                                                                                              | NAICS CODE                                                     |
| BRANCH NAME                                                                            | BRANCH NUMBER                                                                                                                                              | CUSTOMER SINCE<br>03/10/2020                                   |
| FUNDING DATE                                                                           | NO STATE BUSINESS LICENSE<br><input type="checkbox"/>                                                                                                      | RISK CLASSIFICATION<br>N/A. Please enter Risk Classification.  |
| MONITORED ENTITY<br><input checked="" type="checkbox"/>                                | REPORTABLE ENTITY<br><input checked="" type="checkbox"/> OVERRIDDEN<br><input type="checkbox"/> REPORTABLE LICENSES<br><input checked="" type="checkbox"/> | REQUIRE SALES RECONCILIATION<br><input type="checkbox"/>       |
| VENDOR STATUS                                                                          | VENDOR MONITORING<br><input type="checkbox"/> NEGATIVE NEWS ENABLED                                                                                        | REQUIRE ACCOUNTING DATA<br><input checked="" type="checkbox"/> |
| ACCOUNTING REQUIRED SCHEDULE<br>Monthly                                                | ACCOUNTING START PERIOD<br>August 2024                                                                                                                     | DEPOSIT/SALES ANALYSIS SCHEDULE<br>Monthly                     |
|                                                                                        |                                                                                                                                                            | DEPOSIT/SALES START PERIOD<br>August 2024                      |
| HOUSEHOLD<br>HH Sterling Corporation (Subject); HH Marigold Industries (Related Party) |                                                                                                                                                            | INDUSTRY CLASSIFICATION<br>Cannabis                            |

Edit

Help

## Client List &gt; Sparrow California &gt; Location Financial Detail

Quick Jump: [Last Month](#) [Last Three Full Months](#) [Last Six Full Months](#) [Last Twelve Full Months](#) [All](#)

The default view displays the prior month's data. Select a different date range to see additional information.

## Location Financial Detail

Actual numbers will be used in place of estimates when available

| Financial Period ↓            | Regulated Sales<br>State Source | Regulated Sales<br>Manual Attestation | Unregulated Sales<br>Manual Attestation | Estimated<br>Unregulated Sales | Total Sales   | Tax Collected<br>Manual Attestation | Estimated Tax<br>Collected | Sales + Tax   |         |
|-------------------------------|---------------------------------|---------------------------------------|-----------------------------------------|--------------------------------|---------------|-------------------------------------|----------------------------|---------------|---------|
| > 2026-04                     | \$ 597,939.13                   |                                       |                                         | \$ 59,793.91                   | \$ 657,733.04 |                                     | \$ 83,580.52               | \$ 741,313.56 | Filters |
| 1 to 1 of 1 < > Page 1 of 1 > |                                 |                                       |                                         |                                |               |                                     |                            |               |         |

## State Business License Information

| State | License Type       | License Number | Status | Expiration | Name / Address Information                                 | Verified | Edit                                                                                                                                                                    |
|-------|--------------------|----------------|--------|------------|------------------------------------------------------------|----------|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| CA    | CA Entity Number   | 879879         | Active |            | Sparrow California 123 Main St, City of Industry, CA 55555 |          |   |
| FL    | FL Document Number | 123456         | Active |            |                                                            |          |   |
| IL    | IL SOS File Number | 1234567879     | Active |            |                                                            |          |   |

[Add License\(s\)](#)

## Industry License Information

Cannabis

| State | Type | Number | Status | Expiration | Get<br>License | Name / Address Information | Verified | Trace | License Notes | License Notes | Edit |
|-------|------|--------|--------|------------|----------------|----------------------------|----------|-------|---------------|---------------|------|
|-------|------|--------|--------|------------|----------------|----------------------------|----------|-------|---------------|---------------|------|

Client List > Sparrow California > Location Financial Detail

Quick Jump:

[Last Month](#)
[Last Three Full Months](#)
[Last Six Full Months](#)
[Last Twelve Full Months](#)
[All](#)

### Location Financial Detail

Actual numbers will be used in place of estimates when available

| Financial Period ↓                  | Regulated Sales<br>State Source | Regulated Sales<br>Manual Attestation | Unregulated Sales<br>Manual Attestation | Estimated<br>Unregulated Sales | Total Sales   | Tax Collected<br>Manual Attestation | Estimated Tax<br>Collected | Sales + Tax   |         |
|-------------------------------------|---------------------------------|---------------------------------------|-----------------------------------------|--------------------------------|---------------|-------------------------------------|----------------------------|---------------|---------|
| > 2026-04                           | \$ 597,939.13                   |                                       |                                         | \$ 59,793.91                   | \$ 657,733.04 |                                     | \$ 83,580.52               | \$ 741,313.56 | Filters |
| 1 to 1 of 1    < > Page 1 of 1    > |                                 |                                       |                                         |                                |               |                                     |                            |               |         |

Expand the caret to see the licenses for the period

|    | License Number     | Status     | Expiration | Name / Address Information                                 | Verified | Edit |
|----|--------------------|------------|------------|------------------------------------------------------------|----------|------|
|    | 879879             | Active     |            | Sparrow California 123 Main St, City of Industry, CA 55555 |          |      |
| FL | FL Document Number | 123456     | Active     |                                                            |          |      |
| IL | IL SOS File Number | 1234567879 | Active     |                                                            |          |      |

Add License(s)

### Industry License Information

Cannabis

| State | Type | Number | Status | Expiration | Get License | Name / Address Information | Verified | Trace | License Notes | License Notes | License Notes | Edit |
|-------|------|--------|--------|------------|-------------|----------------------------|----------|-------|---------------|---------------|---------------|------|
|-------|------|--------|--------|------------|-------------|----------------------------|----------|-------|---------------|---------------|---------------|------|

Client List > Sparrow California > Location Financial Detail

Quick Jump:

[Last Month](#)
[Last Three Full Months](#)
[Last Six Full Months](#)
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Location Financial Detail

Actual numbers will be used in place of estimates when available

| Financial Period ↓ | Regulated Sales<br>State Source | Regulated Sales<br>Manual Attestation | Unregulated Sales<br>Manual Attestation | Estimated<br>Unregulated Sales | Total Sales   | Tax Collected<br>Manual Attestation | Estimated Tax<br>Collected | Sales + Tax   |         |
|--------------------|---------------------------------|---------------------------------------|-----------------------------------------|--------------------------------|---------------|-------------------------------------|----------------------------|---------------|---------|
| 2026-04            | \$ 597,939.13                   |                                       |                                         | \$ 59,793.91                   | \$ 657,733.04 |                                     | \$ 83,580.52               | \$ 741,313.56 | Filters |

| License Number   | License Type                         | State | Trace Integration             | Regulated Sales<br>State Source | Regulated Sales<br>Manual Attestation | Unregulated Sales<br>Manual Attestation | Estimated<br>Unregulated Sales | Total Sales   | Tax Collected<br>Manual Attestation |         |
|------------------|--------------------------------------|-------|-------------------------------|---------------------------------|---------------------------------------|-----------------------------------------|--------------------------------|---------------|-------------------------------------|---------|
| C12-00001234-LIC | Annual Commercial -<br>Microbusiness | CA    | Metrc-Retail, Metrc-<br>Whlsl | \$ 597,939.13                   |                                       |                                         | \$ 59,793.91                   | \$ 657,733.04 |                                     | Filters |

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Expand the next caret to see associated locations for the period

|    | License Number     | Status     | Expiration | Name / Address Information                                 | Verified | Edit |
|----|--------------------|------------|------------|------------------------------------------------------------|----------|------|
| CA | CA Entity Number   | 879879     | Active     | Sparrow California 123 Main St, City of Industry, CA 55555 |          |      |
| FL | FL Document Number | 123456     | Active     |                                                            |          |      |
| IL | IL SOS File Number | 1234567879 | Active     |                                                            |          |      |

Add License(s)

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## Location Financial Detail

Actual numbers will be used in place of estimates when available

| Financial Period ↓     |                                          | Regulated Sales<br>State Source                | Regulated Sales<br>Manual Attestation | Unregulated Sales<br>Manual Attestation   | Estimated<br>Unregulated Sales                   | Total Sales                             | Tax Collected<br>Manual Attestation | Estimated Tax<br>Collected               | Sales + Tax                             |         |
|------------------------|------------------------------------------|------------------------------------------------|---------------------------------------|-------------------------------------------|--------------------------------------------------|-----------------------------------------|-------------------------------------|------------------------------------------|-----------------------------------------|---------|
| ▼ 2026-04              |                                          | \$ 597,939.13                                  |                                       | \$ 59,793.91                              |                                                  | \$ 657,733.04                           |                                     | \$ 83,580.52                             | \$ 741,313.56                           |         |
|                        |                                          |                                                |                                       |                                           |                                                  |                                         |                                     |                                          |                                         |         |
| License Number         | License Type                             | State                                          | Trace Integration                     | Regulated Sales<br>State Source           | Regulated Sales<br>Manual Attestation            | Unregulated Sales<br>Manual Attestation | Estimated<br>Unregulated Sales      | Total Sales                              | Tax Collected<br>Manual Attestation     | Filters |
| ▼ C12-00001234-LIC     | Annual Commercial -<br>Microbusiness     | CA                                             | Metrc-Retail, Metrc-<br>Whsl          | \$ 597,939.13                             |                                                  |                                         | \$ 59,793.91                        | \$ 657,733.04                            |                                         |         |
|                        |                                          |                                                |                                       |                                           |                                                  |                                         |                                     |                                          |                                         |         |
| Location               | Regulated Sales<br>State Source - Retail | Regulated Sales<br>State Source -<br>Wholesale | Estimated<br>Unregulated Sales        | Estimated<br>Unregulated Sales<br>Percent | Current Expected<br>Unregulated Sales<br>Percent | Estimated Tax<br>Collected - Retail     | Estimated Tax<br>Percent - Retail   | Current Expected<br>Tax Percent - Retail | Estimated T<br>Collected -<br>Wholesale | Filters |
| C12-00001234-LIC       | \$ 356,159.35                            | \$ 241,779.78                                  | \$ 59,793.91                          | 10%                                       | 10%                                              | \$ 79,245.46                            | 22.25%                              | 22.25%                                   |                                         |         |
| <div><div></div></div> |                                          |                                                |                                       |                                           |                                                  |                                         |                                     |                                          |                                         |         |
| <div><div></div></div> |                                          |                                                |                                       |                                           |                                                  |                                         |                                     |                                          |                                         |         |

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## State Business License Information

| State | License Type     | License Number | Status | Expiration | Name / Address Information                                    | Verified | Edit                                                                                  |
|-------|------------------|----------------|--------|------------|---------------------------------------------------------------|----------|---------------------------------------------------------------------------------------|
| CA    | CA Entity Number | 879879         | Active |            | Sparrow California 123 Main St, City of Industry, CA<br>55555 |          |  |

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### Location Financial Detail

Actual numbers will be used in place of estimates when available

| Financial Period ↓ | Regulated Sales State Source      | Regulated Sales Manual Attestation | Unregulated Sales Manual Attestation  | Estimated Unregulated Sales         | Total Sales                        | Tax Collected Manual Attestation         | Estimated Tax Collected                     | Sales + Tax                               |                                                  |
|--------------------|-----------------------------------|------------------------------------|---------------------------------------|-------------------------------------|------------------------------------|------------------------------------------|---------------------------------------------|-------------------------------------------|--------------------------------------------------|
| ▼ 2026-04          | \$ 597,939.13                     |                                    |                                       | \$ 59,793.91                        | \$ 657,733.04                      |                                          | \$ 83,580.52                                | \$ 741,313.56                             | Filters                                          |
| License Number     | License Type                      | State                              | Trace Integration                     | Regulated Sales State Source        | Regulated Sales Manual Attestation | Unregulated Sales Manual Attestation     | Estimated Unregulated Sales                 | Total Sales                               | Tax Collected Manual Attestation                 |
| ▼ C12-00001234-LIC | Annual Commercial - Microbusiness | CA                                 | Metrc-Retail, Metrc-Whlsl             | \$ 597,939.13                       |                                    |                                          | \$ 59,793.91                                | \$ 657,733.04                             | Filters                                          |
| ected Sales        | Estimated Tax Collected - Retail  | Estimated Tax Percent - Retail     | Current Expected Tax Percent - Retail | Estimated Tax Collected - Wholesale | Estimated Tax Percent - Wholesale  | Current Expected Tax Percent - Wholesale | Estimated Tax Collected - Unregulated Sales | Estimated Tax Percent - Unregulated Sales | Current Expected Tax Percent - Unregulated Sales |
|                    | \$ 79,245.46                      | 22.25%                             | 22.25%                                | 0                                   | 0                                  |                                          | \$ 4,335.06                                 | 7.25%                                     | 7.25%                                            |

Scroll to the right to see additional values

| State | License Type     | License Number | Status | Expiration | Name / Address Information                                 | Verified | Edit |
|-------|------------------|----------------|--------|------------|------------------------------------------------------------|----------|------|
| CA    | CA Entity Number | 879879         | Active |            | Sparrow California 123 Main St, City of Industry, CA 55555 |          |      |

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Location Financial Detail

Actual numbers will be used in place of estimates when available

| Financial Period ↓ | Regulated Sales State Source          | Regulated Sales Manual Attestation       | Unregulated Sales Manual Attestation | Estimated Unregulated Sales         | Total Sales                                | Tax Collected Manual Attestation     | Estimated Tax Collected        | Sales + Tax                           |                                     |
|--------------------|---------------------------------------|------------------------------------------|--------------------------------------|-------------------------------------|--------------------------------------------|--------------------------------------|--------------------------------|---------------------------------------|-------------------------------------|
| 2026-04            | \$ 597,939.13                         |                                          |                                      | \$ 59,793.91                        | \$ 657,733.04                              |                                      | \$ 83,580.52                   | \$ 741,313.56                         | Filters                             |
|                    |                                       |                                          |                                      |                                     |                                            |                                      |                                |                                       |                                     |
| License Number     | License Type                          | State                                    | Trace Integration                    | Regulated Sales State Source        | Regulated Sales Manual Attestation         | Unregulated Sales Manual Attestation | Estimated Unregulated Sales    | Total Sales                           | Tax Collected Manual Attestation    |
| C12-00001234-LIC   | Annual Commercial - Microbusiness     | CA                                       | Metrc-Retail, Metrc-Whlsl            | \$ 597,939.13                       |                                            |                                      | \$ 59,793.91                   | \$ 657,733.04                         | Filters                             |
|                    |                                       |                                          |                                      |                                     |                                            |                                      |                                |                                       |                                     |
| Location           | Regulated Sales State Source - Retail | Regulated Sales State Source - Wholesale | Estimated Unregulated Sales          | Estimated Unregulated Sales Percent | Current Expected Unregulated Sales Percent | Estimated Tax Collected - Retail     | Estimated Tax Percent - Retail | Current Expected Tax Percent - Retail | Estimated Tax Collected - Wholesale |
| C12-00001234-LIC   | \$ 356,159.35                         | \$ 241,779.78                            | \$ 59,793.91                         | 10%                                 | 10%                                        | \$ 79,245.46                         | 22.25%                         | 22.25%                                | Filters                             |

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Each level is more detailed as you open the carets (financial period to license to location).

| State | License Type     | License Number | Status | Expiration | Name / Address Information                                 | Verified | Edit |
|-------|------------------|----------------|--------|------------|------------------------------------------------------------|----------|------|
| CA    | CA Entity Number | 879879         | Active |            | Sparrow California 123 Main St, City of Industry, CA 55555 |          |      |

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Location Financial Detail

Actual numbers will be used in place of estimates when available

This row displays the sum of track-and-trace totals and estimates for all licenses / locations for the period

| Financial Period ↓ | Regulated Sales State Source | Regulated Sales Manual Attestation | Unregulated Sales Manual Attestation | Estimated Unregulated Sales | Total Sales   | Tax Collected Manual Attestation | Estimated Tax Collected | Sales + Tax   | Filters |
|--------------------|------------------------------|------------------------------------|--------------------------------------|-----------------------------|---------------|----------------------------------|-------------------------|---------------|---------|
| 2026-04            | \$ 597,939.13                |                                    |                                      | \$ 59,793.91                | \$ 657,733.04 |                                  | \$ 83,580.52            | \$ 741,313.56 |         |

| License Number   | License Type                      | State | Trace Integration        | Regulated Sales State Source | Regulated Sales Manual Attestation | Unregulated Sales Manual Attestation | Estimated Unregulated Sales | Total Sales   | Tax Collected Manual Attestation | Filters |
|------------------|-----------------------------------|-------|--------------------------|------------------------------|------------------------------------|--------------------------------------|-----------------------------|---------------|----------------------------------|---------|
| C12-00001234-LIC | Annual Commercial - Microbusiness | CA    | Metrc-Retail, Metrc-Whsl | \$ 597,939.13                |                                    |                                      | \$ 59,793.91                | \$ 657,733.04 |                                  |         |

| Location         | Regulated Sales State Source - Retail | Regulated Sales State Source - Wholesale | Estimated Unregulated Sales | Estimated Unregulated Sales Percent | Current Expected Unregulated Sales Percent | Estimated Tax Collected - Retail | Estimated Tax Percent - Retail | Current Expected Tax Percent - Retail | Estimated Tax Collected - Wholesale | Filters |
|------------------|---------------------------------------|------------------------------------------|-----------------------------|-------------------------------------|--------------------------------------------|----------------------------------|--------------------------------|---------------------------------------|-------------------------------------|---------|
| C12-00001234-LIC | \$ 356,159.35                         | \$ 241,779.78                            | \$ 59,793.91                | 10%                                 | 10%                                        | \$ 79,245.46                     | 22.25%                         | 22.25%                                |                                     |         |

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State Business License Information

| State | License Type     | License Number | Status | Expiration | Name / Address Information                                 | Verified | Edit |
|-------|------------------|----------------|--------|------------|------------------------------------------------------------|----------|------|
| CA    | CA Entity Number | 879879         | Active |            | Sparrow California 123 Main St, City of Industry, CA 55555 |          |      |

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Location Financial Detail

Actual numbers will be used in place of estimates when available

| Financial Period ↓ | Regulated Sales<br>State Source | Regulated Sales<br>Manual Attestation | Unregulated Sales<br>Manual Attestation | Estimated<br>Unregulated Sales | Total Sales   | Tax Collected<br>Manual Attestation | Estimated Tax<br>Collected | Sales + Tax   |         |
|--------------------|---------------------------------|---------------------------------------|-----------------------------------------|--------------------------------|---------------|-------------------------------------|----------------------------|---------------|---------|
| 2026-04            | \$ 597,939.13                   |                                       |                                         | \$ 59,793.91                   | \$ 657,733.04 |                                     | \$ 83,580.52               | \$ 741,313.56 | Filters |

| License Number   | License Type                         | State | Trace Integration            | Regulated Sales<br>State Source | Regulated Sales<br>Manual Attestation | Unregulated Sales<br>Manual Attestation | Estimated<br>Unregulated Sales | Total Sales   | Tax Collected<br>Manual Attestation |         |
|------------------|--------------------------------------|-------|------------------------------|---------------------------------|---------------------------------------|-----------------------------------------|--------------------------------|---------------|-------------------------------------|---------|
| C12-00001234-LIC | Annual Commercial -<br>Microbusiness | CA    | Metrc-Retail, Metrc-<br>Whsl | \$ 597,939.13                   |                                       |                                         | \$ 59,793.91                   | \$ 657,733.04 |                                     | Filters |

| Location         | Regulated Sales<br>State Source - Retail | Regulated Sales<br>State Source - Wholesale | Estimated<br>Unregulated Sales | Estimated<br>Unregulated Sales<br>Percent | Current Expected<br>Unregulated Sales<br>Percent | Estimated Tax<br>Collected - Retail | Estimated Tax<br>Percent - Retail | Current Expected<br>Tax Percent - |
|------------------|------------------------------------------|---------------------------------------------|--------------------------------|-------------------------------------------|--------------------------------------------------|-------------------------------------|-----------------------------------|-----------------------------------|
| C12-00001234-LIC | \$ 356,159.35                            | \$ 241,779.78                               | \$ 59,793.91                   | 10%                                       | 10%                                              | \$ 79,245.46                        | 22.25%                            | 22.25%                            |

This row displays the sum of track-and-trace totals and estimates for all locations associated with the license for the period

State Business License Information

| State | License Type     | License Number | Status | Expiration | Name / Address Information                                 | Verified | Edit |
|-------|------------------|----------------|--------|------------|------------------------------------------------------------|----------|------|
| CA    | CA Entity Number | 879879         | Active |            | Sparrow California 123 Main St, City of Industry, CA 55555 |          |      |

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## Location Financial Detail

Actual numbers will be used in place of estimates when available

| Financial Period ↓ | Regulated Sales<br>State Source | Regulated Sales<br>Manual Attestation | Unregulated Sales<br>Manual Attestation | Estimated<br>Unregulated Sales | Total Sales   | Tax Collected<br>Manual Attestation | Estimated Tax<br>Collected | Sales + Tax   |         |
|--------------------|---------------------------------|---------------------------------------|-----------------------------------------|--------------------------------|---------------|-------------------------------------|----------------------------|---------------|---------|
| 2026-04            | \$ 597,939.13                   |                                       |                                         | \$ 59,793.91                   | \$ 657,733.04 |                                     | \$ 83,580.52               | \$ 741,313.56 | Filters |

| License Number   | License Type                         | State | Trace Integration            | Regulated Sales<br>State Source | Regulated Sales<br>Manual Attestation | Unregulated Sales<br>Manual Attestation | Estimated<br>Unregulated Sales | Total Sales   | Tax Collected<br>Manual Attestation |         |
|------------------|--------------------------------------|-------|------------------------------|---------------------------------|---------------------------------------|-----------------------------------------|--------------------------------|---------------|-------------------------------------|---------|
| C12-00001234-LIC | Annual Commercial -<br>Microbusiness | CA    | Metrc-Retail, Metrc-<br>Whsl | \$ 597,939.13                   |                                       |                                         | \$ 59,793.91                   | \$ 657,733.04 |                                     | Filters |

| Location         | Regulated Sales<br>State Source - Retail | Regulated Sales<br>State Source -<br>Wholesale | Estimated<br>Unregulated Sales | Estimated<br>Unregulated Sales<br>Percent | Current Expected<br>Unregulated Sales<br>Percent | Estimated Tax<br>Collected - Retail | Estimated Tax<br>Percent - Retail | Current Expected<br>Tax Percent - Retail | Estimated Tax<br>Collected -<br>Wholesale |         |
|------------------|------------------------------------------|------------------------------------------------|--------------------------------|-------------------------------------------|--------------------------------------------------|-------------------------------------|-----------------------------------|------------------------------------------|-------------------------------------------|---------|
| C12-00001234-LIC | \$ 356,159.35                            | \$ 241,779.78                                  | \$ 59,793.91                   | 10%                                       | 10%                                              | \$ 79,245.46                        | 22.25%                            | 22.25%                                   |                                           | Filters |

This row displays the location  
level track-and-trace amounts  
and estimates

## State Business License Information

| State | License Type     | License Number | Status | Expiration | Name / Address Information                                    | Verified | Edit                                                                                  |
|-------|------------------|----------------|--------|------------|---------------------------------------------------------------|----------|---------------------------------------------------------------------------------------|
| CA    | CA Entity Number | 879879         | Active |            | Sparrow California 123 Main St, City of Industry, CA<br>55555 |          |  |

 Help



# Detailed Example of Multiple Locations for a License

Metrc or BioTrack Data and Estimates  
(No Manual Attestation)



Location Financial Detail

Actual numbers will be used in place of estimates when available

| Financial Period ↓ | Regulated Sales State Source | Regulated Sales Manual Attestation | Unregulated Sales Manual Attestation | Estimated Unregulated Sales | Total Sales   | Tax Collected Manual Attestation | Estimated Tax Collected | Sales + Tax   |  | Filters |
|--------------------|------------------------------|------------------------------------|--------------------------------------|-----------------------------|---------------|----------------------------------|-------------------------|---------------|--|---------|
| 2026-04            | \$ 911,744.49                |                                    |                                      | \$ 7,383.41                 | \$ 919,127.90 |                                  | \$ 52,691.96            | \$ 971,819.86 |  |         |

| License Number ▾ | License Type               | State | Trace Integration             | Regulated Sales State Source | Regulated Sales Manual Attestation ↑ | Unregulated Sales Manual Attestation | Estimated Unregulated Sales | Total Sales  | Tax Collected Manual Attestation | Estimated Tax Collected | Sales + Tax  | Filters |
|------------------|----------------------------|-------|-------------------------------|------------------------------|--------------------------------------|--------------------------------------|-----------------------------|--------------|----------------------------------|-------------------------|--------------|---------|
| OCM-MICR         | Adult-use<br>Microbusiness | NY    | Metrc-<br>Retail, Metrc-Whlsl | \$ 76,565.07                 |                                      |                                      | \$ 765.65                   | \$ 77,330.72 |                                  | \$ 10,252.18            | \$ 87,582.90 |         |

| Location     | Regulated Sales State Source - Retail | Regulated Sales State Source - Wholesale | Estimated Unregulated Sales | Estimated Unregulated Sales Percent | Current Expected Unregulated Sales Percent | Estimated Tax Collected - Retail | Estimated Tax Percent - Retail | Current Expected Tax Percent - Retail | Estimated Tax Collected - Wholesale | Estimated Tax Percent - Wholesale | Current Expected Tax Percent - Wholesale | Estimated Tax Collected - Unregulated Sales | Estimated Tax Percent - Unregulated Sales | Filters |
|--------------|---------------------------------------|------------------------------------------|-----------------------------|-------------------------------------|--------------------------------------------|----------------------------------|--------------------------------|---------------------------------------|-------------------------------------|-----------------------------------|------------------------------------------|---------------------------------------------|-------------------------------------------|---------|
| OCM-MICR-C1  |                                       | 0                                        | 0                           | 9.62%                               | 9.62%                                      |                                  |                                | 9.18%                                 | 0                                   | 22.22%                            | 22.22%                                   | 0                                           | 11.1%                                     |         |
| OCM-MICR-D2  | \$ 66,565.07                          | 0                                        | \$ 665.65                   | 1%                                  | 1%                                         | \$ 9,984.76                      | 15%                            | 15%                                   | 0                                   | 2%                                | 2%                                       | \$ 49.92                                    | 7.5%                                      |         |
| OCM-MICR-DX2 |                                       | 0                                        | 0                           | 2%                                  | 2%                                         |                                  |                                | 14%                                   | 0                                   | 5%                                | 5%                                       | 0                                           | 7.5%                                      |         |
| OCM-MICR-P1  |                                       | \$ 10,000.00                             | \$ 100.00                   | 1%                                  | 1%                                         |                                  |                                | 15%                                   | \$ 210.00                           | 2.1%                              | 2.1%                                     | \$ 7.50                                     | 7.5%                                      |         |

Regulated Sales – from Metrc or BioTrack

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Location Financial Detail

Actual numbers will be used in place of estimates when available

The sales percent used to calculate the dollar amount in the left column

Estimated dollar amount (1% of \$10,000 = \$100)

The CURRENT sales percent entered for the location (it may have been updated since used in the calculation).

| Location     | Regulated Sales State Source - Retail | Regulated Sales State Source - Wholesale | Estimated Unregulated Sales | Estimated Unregulated Sales Percent | Current Expected Unregulated Sales Percent |
|--------------|---------------------------------------|------------------------------------------|-----------------------------|-------------------------------------|--------------------------------------------|
| OCM-MICR-C1  |                                       | 0                                        | 0                           | 9.62%                               | 9.62%                                      |
| OCM-MICR-D2  | \$ 66,565.07                          | 0                                        | \$ 665.65                   | 1%                                  | 1%                                         |
| OCM-MICR-DX2 |                                       | 0                                        | 0                           | 2%                                  | 2%                                         |
| OCM-MICR-P1  |                                       | \$ 10,000.00                             | \$ 100.00                   | 1%                                  | 1%                                         |

Unregulated Sales – using the percentage of total regulated sales

Financial Period ↓

Regulated Sales State Source

Regulated Sales Manual Attestation

Estimated Unregulated Sales

Total Sales

Tax Collected Manual Attestation

Estimated Tax Collected

Sales + Tax

2026-04

\$ 7,383.41

\$ 919,127.90

\$ 52,691.96

\$ 971,819.86

License Number ▾

Trace Integration

Regulated Sales State Source

Regulated Sales Manual Attestation

Total Sales

Tax Collected Manual Attestation

Estimated Tax Collected

Sales + Tax

OCM-MICR

Adult-use Microbusiness

NY

Metrc-Retail, Metrc-Whlsl

\$ 76,565.07

\$ 77,330.72

\$ 10,252.18

\$ 87,582.90

Location

Regulated Sales State Source - Retail

Regulated Sales State Source - Wholesale

Estimated Unregulated Sales

Estimated Unregulated Sales Percent

Current Expected Unregulated Sales Percent

Estimated Tax Collected - Retail

Estimated Tax Percent - Retail

Current Expected Tax Percent - Retail

Estimated Tax Collected - Wholesale

Estimated Tax Percent - Wholesale

Current Expected Tax Percent - Wholesale

Estimated Tax Collected - Unregulated Sales

Estimated Tax Percent - Unregulated Sales

OCM-MICR-C1

0

0

9.62%

9.62%

9.18%

0

22.22%

22.22%

0

11.1%

OCM-MICR-D2

\$ 66,565.07

0

\$ 665.65

1%

1%

\$ 9,984.76

15%

15%

0

2%

2%

\$ 49.92

7.5%

OCM-MICR-DX2

0

0

2%

2%

14%

0

5%

5%

0

7.5%

OCM-MICR-P1

\$ 10,000.00

\$ 100.00

1%

1%

15%

\$ 210.00

2.1%

2.1%

\$ 7.50

7.5%

1 to 1 of 1

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Estimated dollar amount (1% of \$10,000 = \$100)

dollar amount in the left column

The CURRENT sales percent entered for the location (it may have been updated since used in the calculation).

Unregulated Sales – using the percentage of total regulated sales



Location Financial Detail

Actual numbers will be used in place of estimates when available

| Financial Period ↓ | Regulated Sales State Source | Regulated Sales Manual Attestation | Unregulated Sales Manual Attestation | Estimated Unregulated Sales | Tax Collected Manual Attestation | Estimated Tax Collected | Sales + Tax |  |
|--------------------|------------------------------|------------------------------------|--------------------------------------|-----------------------------|----------------------------------|-------------------------|-------------|--|
| 2026-04            | \$ 911,744.49                |                                    |                                      | \$ 7,300.00                 | \$ 52,691.96                     | \$ 971,819.86           |             |  |

| License Number ▾ | License Type            | State | Trace Integration         | Unregulated Sales Manual Attestation | Estimated Unregulated Sales | Sales + Tax  |  |
|------------------|-------------------------|-------|---------------------------|--------------------------------------|-----------------------------|--------------|--|
| OCM-MICR         | Adult-use Microbusiness | NY    | Metrc-Retail, Metrc-Whlsl | \$ 76,565.07                         | \$ 765.65                   | \$ 87,582.90 |  |

| Location     | Regulated Sales State Source - Retail | Regulated Sales State Source - Wholesale | Estimated Unregulated Sales | Estimated Unregulated Sales Percent | Current Expected Unregulated Sales Percent | Estimated Tax Collected - Retail | Estimated Tax Percent - Retail | Current Expected Tax Percent - Retail | Estimated Tax Collected - Wholesale | Estimated Tax Percent - Wholesale | Current Expected Tax Percent - Wholesale | Estimated Tax Collected - Unregulated Sales | Estimated Tax Percent - Unregulated Sales |
|--------------|---------------------------------------|------------------------------------------|-----------------------------|-------------------------------------|--------------------------------------------|----------------------------------|--------------------------------|---------------------------------------|-------------------------------------|-----------------------------------|------------------------------------------|---------------------------------------------|-------------------------------------------|
| OCM-MICR-C1  |                                       | 0                                        | 0                           | 9.62%                               | 9.62%                                      |                                  |                                | 9.18%                                 | 0                                   | 22.22%                            | 22.22%                                   | 0                                           | 11.1%                                     |
| OCM-MICR-D2  | \$ 66,565.07                          | 0                                        | \$ 665.65                   | 1%                                  | 1%                                         | \$ 9,984.76                      | 15%                            | 15%                                   | 0                                   | 2%                                | 2%                                       | \$ 49.92                                    | 7.5%                                      |
| OCM-MICR-DX2 |                                       | 0                                        | 0                           | 2%                                  | 2%                                         |                                  |                                | 14%                                   | 0                                   | 5%                                | 5%                                       | 0                                           | 7.5%                                      |
| OCM-MICR-P1  |                                       | \$ 10,000.00                             | \$ 100.00                   | 1%                                  | 1%                                         |                                  |                                | 15%                                   | \$ 210.00                           | 2.1%                              | 2.1%                                     | \$ 7.50                                     | 7.5%                                      |

1

2

3

The tax percent used to calculate the dollar amount in the left column

Retail taxes based on the "Estimated Tax Percent - Retail" column

The CURRENT tax percent entered for the location (it may have been updated since used in the calculation).

Estimated tax amounts collected (for wholesale / retail / unregulated sales)

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Location Financial Detail

Actual numbers will be used in place of estimates when available

A + B = C

C + D = E

| Financial Period ↓                       |                                       | Regulated Sales State Source                                      |                             | Regulated Sales Manual Attestation  |                                                                    | Unregulated Sales Manual Attestation |                                | Estimated Unregulated Sales           |                                     | Total Sales                       |                                          | Tax Collected Manual Attestation            |                                       | Estimated Tax Collected |  | Sales + Tax    |  |
|------------------------------------------|---------------------------------------|-------------------------------------------------------------------|-----------------------------|-------------------------------------|--------------------------------------------------------------------|--------------------------------------|--------------------------------|---------------------------------------|-------------------------------------|-----------------------------------|------------------------------------------|---------------------------------------------|---------------------------------------|-------------------------|--|----------------|--|
| 2026-04                                  |                                       | \$ 911,744.49                                                     |                             | A                                   |                                                                    | \$ 7,383.41                          |                                | \$ 919,12                             |                                     | B                                 |                                          | C                                           |                                       | \$ 52,691.96            |  | D \$ 971,819 E |  |
| License Number ▾                         | License Type                          | State                                                             | Trace Integration           | Regulated Sales State Source        | Regulated Sales Manual Attestation ↑                               | Unregulated Sales Manual Attestation | Estimated Unregulated Sales    | Total Sales                           | Tax Collected Manual Attestation    | Estimated Tax Collected           | Sales + Tax                              |                                             |                                       |                         |  |                |  |
| OCM-MICR                                 | Adult-use Microbusiness               | NY                                                                | Metrc-Retail, Metrc-Whlsl   | \$ 76,565.07                        |                                                                    |                                      | \$ 765.65                      | \$ 77,330.72                          |                                     | \$ 10,252.18                      | \$ 87,582.90                             |                                             |                                       |                         |  |                |  |
| Location                                 | Regulated Sales State Source - Retail | Regulated Sales State Source - Wholesale                          | Estimated Unregulated Sales | Estimated Unregulated Sales Percent | Current Expected Unregulated Sales Percent                         | Estimated Tax Collected - Retail     | Estimated Tax Percent - Retail | Current Expected Tax Percent - Retail | Estimated Tax Collected - Wholesale | Estimated Tax Percent - Wholesale | Current Expected Tax Percent - Wholesale | Estimated Tax Collected - Unregulated Sales | Estimated Tax Percent Unregulat Sales |                         |  |                |  |
| OCM-MICR-C1                              |                                       | 0                                                                 | 0                           | 9.62%                               | 9.62%                                                              |                                      |                                | 9.18%                                 | 0                                   | 22.22%                            | 22.22%                                   | 0                                           | 11.1%                                 |                         |  |                |  |
| OCM-MICR-D2                              | \$ 66,565.07                          | 0                                                                 | \$ 665.65                   | 1%                                  | 1%                                                                 | \$ 9,984.76                          | 15%                            | 15%                                   | 0                                   | 2%                                | 2%                                       | \$ 49.92                                    | 7.5%                                  |                         |  |                |  |
| OCM-MICR-DX2                             |                                       | 0                                                                 | 0                           | 2%                                  | 2%                                                                 |                                      |                                | 14%                                   | 0                                   | 5%                                | 5%                                       | 0                                           | 7.5%                                  |                         |  |                |  |
| OCM-MICR-P1                              |                                       | \$ 10,000.00                                                      | \$ 100.00                   | 1%                                  | 1%                                                                 |                                      |                                | 15%                                   | \$ 210.00                           | 2.1%                              | 2.1%                                     | \$ 7.50                                     | 7.5%                                  |                         |  |                |  |
| Regulated Sales – from Metrc or BioTrack |                                       | Unregulated Sales – using the percentage of total regulated sales |                             |                                     | Estimated tax amounts (for wholesale / retail / unregulated sales) |                                      |                                |                                       |                                     |                                   |                                          |                                             |                                       |                         |  |                |  |

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- Estimates are calculated on the 4<sup>th</sup> of the month for the prior month's data.
- Prior estimates are not updated if the tax rate is updated after the 4<sup>th</sup> of the following month.

- Utilizing the estimates feature allows you to have more accurate numbers for comparing deposits to sales without requiring more information from your clients.
- This is not intended to replace the accounting uploads in situations where accounts receivables may impact sales to deposit ratios.

A panoramic view of the Nashville skyline at sunset. The sky is a mix of orange, yellow, and blue. The city lights are on, and a large riverboat is on the river in the foreground.

# SHIELD CLIENT CONNECT

NASHVILLE 2026

## New Clients

[VIEW AGENDA](#)



# New Clients



## Set the Expectation

- What are you requesting?
- How frequently?



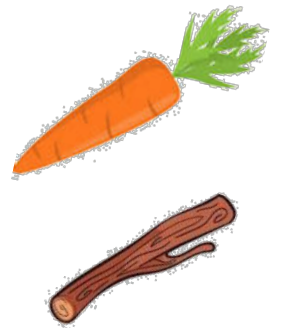
## Train

- How can they provide it?
- Who can provide it?



## Reinforce

- What happens if they don't provide it?



# Setting Expectations

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- What will you be requesting? How frequently?
  - ? Unregulated sales percentage
  - ? Tax rates
  - ? Metrc API Key / BioTrack UBI
  - ? Accounting data
  - ? Variance explanation
  - ? On demand deposit explanation
  - ? Annual recertification of owners
  - ? Site visit / images?

# New Client Flow

## New Client in Assure

- How is the team notified?

## Complete Client Profile

- Sync from Engage?
- Assign RM
- Add SBL / Industry license(s)
- Add tax rates / unregulated sales

## Due Diligence Items

- Sync from Engage?
- Annual Review?
- Specialty Reviews?

## Create User(s)

- Create user(s) day prior to training
- Notifications

## Training

- Schedule in advance
- Offer recording
- Remind about help widget / training guide
- Remind them to create additional users



# SHIELD CLIENT CONNECT

NASHVILLE 2026

## Reporting

[VIEW AGENDA](#)



# Client Details Report



- Demographics, licenses, risk classification, and client users
- Use it for a portfolio view — filter by industry, license type, or requirements

Reporting

Client Details

Description

All Clients' Portfolio information.

Client Profile Summary

| Client Legal Name | Licensed | Industries                           | Vendor | DBA Name         | Client Type  | Type of Business/Occupation | Household(s) | FI Customer Number | Branch Number |
|-------------------|----------|--------------------------------------|--------|------------------|--------------|-----------------------------|--------------|--------------------|---------------|
| #Elevate          | ✓        | Cannabis                             |        | Elevate          | Organization |                             | HH Elevated  | 337678768          |               |
| 111               |          |                                      | ✓      |                  | Organization |                             |              | V-111-001          |               |
| 1145 Parsons INC  |          |                                      |        | Bushman's market | Organization |                             |              | 42442423434334     |               |
| 1314 FOODS LLC    | ✓        | Cannabis, Money<br>Services Business |        | COMPARE FOODS    | Organization |                             |              | 43324432432432     |               |

# License Detail Report



- Every license, filtered Active, Inactive, or All
- **Bulk edit** tax rates, unregulated sales %, accounting and reconciliation flags
- Only active cannabis licenses can be bulk edited

### Reporting

License Detail

**Description**  
A list of all license locations in which active cannabis license locations may be bulk edited to update the Expected Regulated Tax Rate - Retail, Expected Regulated Tax Rate - Wholesale, Expected Unregulated Sales Percentage, Expected Unregulated Tax Rate, Require Accounting Data, Require Sales Reconciliation and Get License Copy fields.

**License Detail Report**

ActiveInactiveAll

| Client Legal Name | Vendor | FI Customer Number | Branch Number | DBA(s)  | Household... | Industries | License Number | License Tradename | License Address Street | License Address City | License Address State | License Address Zip |
|-------------------|--------|--------------------|---------------|---------|--------------|------------|----------------|-------------------|------------------------|----------------------|-----------------------|---------------------|
| #Elevate          |        | 337678768          |               | Elevate | HH Elevated  | Cannabis   | 86786          | #Elevate          | 3 R St                 | Troy                 | MI                    | 48007               |
| #Elevate          |        | 337678768          |               | Elevate | HH Elevated  | None       | 332329         | #Elevate          | 3 R St                 | Troy                 | MI                    | 48007               |

EFFICIENCY IS THE THREAD

**Fewer clicks. Fewer idle cases.**  
**More time with your clients.**

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*In it. With you.*

Take one thing you learned here and put it to work next week.  
We are here for the rest — questions, tune-ups, and the focus group.

