

# Stock Plan Services:

## A checklist for businesses to find the right stock plan provider

### I) General

Yes No

- Does the provider offer both software and stock plan administration services?
- Does the provider have experience handling stock plans for the business you're in or the stage you're at?
- Will the provider offer you a dedicated client relationship manager?
- Does the provider provide detailed and transparent pricing upfront?
- Does the provider clearly define the service team structure, e.g. implementation, administration and service support team?

### II) For Stock Plan Admin

#### Equity Management

- Can the system handle all the plan and award types you need, all the way through the award life-cycle from award (or enrollment), through vesting (or purchase), and on to exercise or other disposition?
- Can you have as many plans/award types and participants as you need?
- Is it straightforward to set up/change the details and rules of a plan or award type?  
(Top tip: Make sure to request a demo)
- Will you and your team have admin access to the stock plan software?

#### Reporting Suite

- Are you able to run and generate reports yourself?
- Does the suite offer all the necessary reports you need, e.g. Financial and business intelligence?
- Are reports generated in real-time?
- Can reporting output be delivered on demand and scheduled to be automatically generated?
- Can reports be customized?
- Will you only need the same login (rather than a separate one) to get access to the reporting suite?

#### Data & System Security

- Is the provider fully regulated and accredited?  
(Top tip: Make sure to ask for accreditations)
- Does the provider have policies in place to clearly describe how it protects their system and the data of your business and employees?
- Does the provider offer regular data protection training to its staff regularly?
- Do all administrative offices of the provider have appropriate security in place?
- Are you and your employees able to activate 2FA to log into the system?

Yes No

**Capability to support global expansion**

Does the provider support all countries where you have employee representation now and also plan to have employees in the future?

Does the provider support the type of stock plans and awards you want to offer?

Does the provider have experience dealing with local legal/tax/payroll/compliance issues?

Does the provider offer support to your global workforce?

**Integration with systems you already use**

Are you able to blend stock plan data with the systems like HR and payroll software you're already using?

**III) For Participating Employees**

**Participant Portal**

Is the portal personalized for each employee?

Can employees get access to a service help desk ?

Can the portal be customized to suit your branding or business needs?

Does the portal have a library hub to house learning materials or other documents?

Can employees submit all necessary instructions in the portal?

Is it multi-lingual?

Is it multi-currency?

Is it a multi-security user interface?

Is a mobile app available to allow employees to view and manage their equity at their fingertips?

**Trading Solutions**

Can employees sell their shares online, wherever they are in the world?

Can employees define what currency they want to receive sale proceeds in, and specify a bank account of their choosing?

Are trade confirmations, transaction history and statements available?

Are sales requests automatically and electronically routed to the executing broker?

Can holding periods and restrictions be applied to individual employees?

**Employee Communications Package**

Does the provider offer a tailor-made communication package to help you with employee education and communication?

Does the provider support a wide range of communication materials like videos, animations, email campaigns, brochures?

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