

Business Consulting Services

Stock Plan Administration and the related financial reporting have increasingly required the involvement of multiple departments and stakeholders. If you self-administer your plan or partially administer your plan, you can benefit from a review of all facets of your process from grant approvals and exercises, to employee transfers and terminations, to compliance reporting.

We perform a comprehensive evaluation of your internal process, and then deliver a procedures manual and custom training supported by best practices. We also have a full service development staff that can develop automated solutions to streamline your data flow and reporting processes.

Experience

Each CompIntelligence consultant has years of experience working in the stock plan administration business. We have the specific domain expertise to employ best practices in your procedure design, documentation, training, and automation.

Our development staff has done core and custom development for leading stock plan administration software packages and can provide reliable, documented, and supportable solutions usually for a fixed fee.

Issues

Rules and regulations such as those for FAS 123R, 409A, and Proxy requirements have added multiple layers of complexity to administration. When you include the requirements from Sarbanes-Oxley, international tax regimes and the various new equity instruments, the result is more changes than your software, outsourcing providers or internal staff can keep up with on their own.

Approach

We use a top-down approach when conducting our evaluation, in order to ensure that we keep our recommendations aligned with management objectives.

We work with you to prioritize the components of both the business evaluation and the deliverables, and will look for the right approach to fit your budget.

Results

CompIntelligence has worked with companies of all sizes from new IPOs to the Fortune 100, and we take pride in the fact that 100% of our customers provide

Key Benefits

- ➔ Integrated procedures supported by best practices
- ➔ Documentation to train new administration staff and plan participants.
- ➔ Improved data accuracy and compliance.
- ➔ Cost savings through streamlined operations.

satisfied references. Our technology solutions range from online grant agreement and real time trading interfaces to compensation analytics.

Project Template

In order to achieve the best results, we recommend the following approach to our consulting engagements:

Kick Off Meeting

During this initial meeting, we introduce all of the parties involved so that responsibilities, requirements, and expectations can be discussed, set, and agreed upon.

Interview Process

The focus of this step is to review and understand the current system as it exists today and identify gaps in knowledge, processes, and deliverables. Starting from the top, we will speak with the key stakeholders across all departments. We'll document your process along with the issues we've uncovered and share with all parties involved so there is a single version of the "truth". Some of the departmental interactions we will review are:

- ➔ Grant Approval Process
- ➔ Grant Tracking
- ➔ Grant Distribution
- ➔ Participant Tracking
- ➔ Equity Status Inquiries
- ➔ Exercising Equity
- ➔ Stock Sales
- ➔ Tax Tracking and Reporting
- ➔ Equity Status Reporting
- ➔ Shareholder Tracking
- ➔ Compliance
- ➔ Data Retention
- ➔ Data Security and Recovery

Best Practices

This is the most critical step in the process. We design improved procedures, taking into account the current process and gaps. Using best practices as a guide, we not only recommend new procedures, but look at ways that process automation can be used to reduce manual tasks. This may also go as far as recommending custom reports that would obviate the need for in-house data collection and reporting in Excel.

This stage of the process may be iterative, in order to get to final agreement on your integrated process and next steps. All findings are fully documented and delivered to you in whatever format you require.

Education and Training

We are fully equipped to design and deliver training for all levels of your staff. Whether we conduct a full process review and design, or whether you simply require basic training for your plan participants, we can build the right program and deliver it to you on site or via the web. We turn all materials over to you so you can reuse it for your own purposes as new employees come on board.