



Data Conversion: Why choose CompIntelligence?

Overall System Knowledge

CompIntelligence works with all of the major stock administration systems. Our conversion specialists are experts in these systems and can identify potential issues when converting from one system to another. Our relationships with these vendors keep us current on new features and functionality that could optimize your initial implementation. These same relationships make us strong advocates on your behalf. Additionally, we have worked with numerous proprietary and excel-based systems.

Dedication to Success

CompIntelligence has a 100% client approval rating. This means we're serious about your complete satisfaction. Your implementation timeframe is our implementation timeframe. CompIntelligence assigns a single dedicated conversion specialist who partners with you throughout the process and ensures there is no time wasted in answering any and all of your questions.

Data Scans/Audit Checks

The single most important factor in any conversion is the accuracy of your data. Data may be "clean" in your current system, but that doesn't guarantee a "clean" transition into your new system. The CompIntelligence team will stay on top of all audit checks for your new system. We identify, communicate, and resolve the majority of issues on your data even before we convert it, making the conversion process quick and painless.

Some potential issues:

Participant ID

Your broker of choice may have specific requirements regarding the IDs that are assigned to participants. The CompIntelligence team has worked with all major brokers and will ensure the participants IDs meet your broker requirements.

Employee Work History

Some stock option administration systems allow grants to be issued to participants before their hire date or even after their termination date. This may cause serious complications when converting to the newer generation systems that will not allow this scenario. Your CompIntelligence conversion specialist will scan your data to identify and correct issues resulting from an invalid timeline.

Market Prices

An Incentive Stock Option should not be issued below market price. While some stock option administration systems will only warn you of this scenario, most new generation systems will not allow it or may cause problems once you "go live". CompIntelligence will identify and correct these issues.



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Data Audit Checks

Below is a sample list of the multitude of audit checks that Comptelligence includes in every data migration. Any of these conditions could cause your data to be rejected by your new system, or cause your reports to be inaccurate.

Participant File Audits

- Birth Date is after the Termination Date
- Birth Date is after the Hire Date
- Hire Date is after the Grant Date
- Hire Date is after the Termination Date
- Country Code is not a valid ISO Country Code
- Termination Code is populated but the Termination Date is Blank
- Termination Date is populated but the Termination Code is Blank
- Termination reason is not an accepted value by the system
- Participants have a valid State but the Country does not equal to US
- Duplicate Social Security Numbers used
- Duplicate Equity Holder IDs used
- First Name or Last Name is blank
- Names that have invalid characters

Restricted Stock File Audits

- Award Cancellation Date is before the Award Date
- Outstanding Shares not equal to Awarded - Released - Cancelled
- Awarded Shares Different than the sum of all Vesting Tranches
- Vesting Start Date is after the First Vesting Date
- Releases without a matching Vesting Date and Vesting Amount
- Award Record without a corresponding Participant Record
- Releases without a corresponding Award Record
- Award Cancellation Records without a corresponding Award Record

Stock Options File Audits

- Cancellation Date is before the Grant Date
- Cancellation Date is after the Expiration Date
- Exercise Date is after the Expiration Date
- Exercise Date is before the Grant Date
- Expiration Date is before the Grant Date
- Exercise Date is Before the First Vesting Date
- Plan Start Date is after the Earliest Grant Date
- Grant Date is after the Termination Date
- Exercises without a corresponding Grant Record
- Cancellations without corresponding a Grant Record
- Disposition without a corresponding Exercise Record
- SDS and STC Exercises without a Sale Price or number of Shares Sold
- Grants where (Outstanding + Exercised + Canceled + Expiration) does not add up to the total amount Granted
- Grants where the individual vesting tranches do not add up to the total amount Granted
- Exercisable Amount is greater than the Outstanding Shares
- Outstanding Shares is not equal to Granted - Exercised - Canceled
- The Vesting Start Date is after the First Vesting Date
- The First Vesting Date is before the Grant Date
- Grants with invalid Plan ID's
- Grants without an associated Participant Record