Client Monthly Maintenance Checklist

Client:

For the period dated: ___________________________________	**STEP COMPLETED**
1. Add any new Participants to the "Employees" section of the program.	☐
2. Review and update <u>all</u> Participant personal data ☐ Update or complete addresses ☐ Fill in any missing information: Social Security Numbers, Branch/EOD assignments, hire/termination dates, etc.	☐
3. Update and Import the spreadsheet templates located in the C:\Informatics\Import folder. (Prior to updating the Excel spreadsheets, select all ROWS with existing data and delete them to clear out the sheets.) Do not change the names or location of the spreadsheets. ☐ NetIncome.xls – monthly net income. ☐ Prices.xls – your company's daily, weekly or monthly "CLOSING UNADJUSTED" stock prices. If your company's stock is publicly traded, strive to input weekly or daily stock prices. Publicly traded prices are easily downloaded from Yahoo Finance and can be copy and pasted into the spreadsheet. ☐ Shares.xls – your company's Common shares outstanding. Input at least a monthly number, but more frequently if there has been a lot of activity. The number of Common shares outstanding should already include any **Vested** Restricted Stock.	☐
4. Download and import the current Risk Free Interest Rates from the Client section of the Stock Informatics website. Download and import instructions are available on the website. Updates are provided monthly –approximately 5 business days after month-end.	☐

5. *Accumulate* <u>new</u> data that needs to be input into the program:
☐ New Equity Award <u>Plans</u> which have been approved
    ☐ Plan name
    ☐ Plan adoption date
    ☐ Number of shares authorized
☐ Any amendments to <u>Existing</u> Equity Award Plans
☐ Update a blank copy of the OptionsInput.xls spreadsheet with any new:
    ☐ Grants
    ☐ Grant Exercises
    ☐ Grant Forfeitures
    ☐ Grant Expirations
☐ Stock Splits or Stock Dividends
	☐

6. *Input* <u>new</u> data into the program:
☐ New Equity Award <u>Plans</u> which have been approved.
    ☐ Plan name (System Administration – Plans)
    ☐ Plan adoption date (Plan Options Authorized)
    ☐ Number of shares authorized (Plan Options Authorized)
☐ Any amendments to <u>Existing</u> Equity Award Plans (Plan Options Authorized)
☐ New Grants - (Build Vesting Schedules first, then Bulk Issue individual grants)
☐ New transactions: (Employee Option Grants)
    ☐ Grant Exercises
    ☐ Grant Forfeitures
    ☐ Grant Expirations
    ☐ Pending Transactions – for terminated employees with vested shares.
☐ Process New Stock Splits or Stock Dividends (System Administration – Splits & Dividends)
	☐

7. For Existing Restricted Stock Grants: ☐ Issue Stock Certificates for any Restricted Stock Grants which have vested since the last maintenance session. Issued vested stock certificates should be entered into the participant's transaction register as "Exercised" transactions.	☐
8. Provide detailed Transaction Statements to: ☐ Terminated participants ☐ Participants exercising vested options	☐