



## Stock Plan Services

Run the plan  
you want with  
administrative  
flexibility

It's your stock plan. Run it your way. With Schwab Stock Plan Services, you're free to manage as much or as little of the plan administration as you like.

Outsource the entire plan, or choose to keep some administrative functions in-house—you're never locked in to your plan administration choice. Our experienced and knowledgeable professionals will be there every step of the way to help you keep the plan running smoothly, saving you time and effort as your company grows and your needs evolve.

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## Exercise your freedom of choice

Our service options put you in control of what matters most to your company, enabling you to manage staff workloads as well as costs. Your choices for administration include:

- **Full service.** By outsourcing all administration to Schwab, you can reduce your staff's workload, potentially reduce costs, and help improve your plan's efficiency. You'll also benefit from working with our experienced stock plan administration staff.
- **Co-sourced.** Choose the level of services appropriate for your company within the various areas of day-to-day administration. Select the level of control you need for your business, and free up duties from overloaded staff where you see fit.
- **Brokerage-only.** Choose this option if you simply need access to brokerage services for managing your employees' equity awards while you continue to administer the plan in-house with your recordkeeping system. You shift only employee support and service to Schwab.

However you choose to work with us, you'll have a team committed to championing ownership for you and your employees and dedicated to helping you achieve your company's vision. We'll provide:

- Service account setup and conversion support to help you through the transition
- Responsive client servicing to provide strategic, consultative support to address your ongoing needs and those of your employees
- Education resources that empower your employees, including live on-site seminars and services for executives

What's more, every one of your participants will have access to additional service and guidance at no additional cost. No matter your choice of administration, your employees can speak to our **Equity Award Consultation Team** to get answers to their specific questions and help thinking through their financial goals. This team of licensed and experienced professionals is committed to providing employees at every level with personalized information and consultative guidance. This guidance helps them better understand the value of their equity awards and how to use them to reach their financial goals.

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## Platform support to meet your needs

Our flexible, web-based platform, **Schwab StockPlanManager®**, is your entry point for managing your program. With Schwab StockPlanManager, simply log in for secure access to:

- A secure exchange of employee equity award information between stock plan administrators and Schwab
- The ability to enact required restrictions and set or control blackout periods for select employees
- Functionality to post real-time messages and documents for employees on their participant website
- Web-based tools for filing SEC Forms 3, 4, and 5, as well as an insider's holding database—Schwab Section 16 Center™—that tracks direct and indirect share ownership in one convenient location

From inside the Schwab StockPlanManager platform, employers choosing full or co-sourced administration have access to additional tools and resources from Schwab's proprietary, web-based, end-to-end recordkeeping system, **Schwab EquiView®**.

Intuitive and user-friendly, Schwab EquiView is designed to adapt to changing business needs and to handle evolving equity award programs. This complete solution lets you:

- Connect to your company's payroll and human resources (HR) systems for up-to-date employee demographic and tax-withholding data
- Schedule regular reports or generate real-time, on-demand reports to view activity, grants outstanding, and corporate share and proxy information
- Automatically create, mail, and post all participant notifications and statements
- Complete your valuation, accounting, and reporting for ASC 718 and IFRS 2—integrated with the core recordkeeping database

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## Your go-to ally

Your **client service manager (CSM)** is your go-to person for day-to-day plan administration support. And rather than an 800 number, you'll have a direct line to your CSM so that you can easily contact the person most knowledgeable about your business needs.

One of your CSM's main tasks is to help your company learn how to use and take full advantage of our online plan administration tools. Your internal departments, such as payroll, finance, legal, and HR, will work with your CSM to discover how to use the web tools to automate as much as possible—including reporting and data management—freeing up time for other work.

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## Support for a wide variety of equity types

We service all equity types to help you meet a broad range of plan needs. We can design a custom offering based on the particulars of your plan, and we offer a full range of administrative services for:

- Stock options (ISO and NQ)
- Restricted stock awards and units
- Stock-appreciation rights
- Performance awards (PSO, PSA, and PSU)
- Cash and performance awards
- Employee stock purchase plans
- Dividend equivalents
- 10b5-1 plans and services for executives
- Section 16 form filing tool

To learn how Schwab Stock Plan Services can serve you and your employees, contact us at **877-456-0777**, or visit [schwab.com/sps](http://schwab.com/sps).

### Take the next step

Are you getting the flexibility and support you need to realize your strategic goals? Schwab can help you meet the needs of your company and start your employees on the road to ownership.

With Schwab, you'll get a stock plan provider committed to your unique and evolving stock plan needs, today and in the future.

Information provided by the Equity Award Consultation Team is not intended to be a substitute for specific individualized tax or legal advice. Where specific advice is necessary or appropriate, please consult a qualified tax or legal advisor.

Schwab Stock Plan Services provides equity compensation plan services and other financial services to corporations and executives through Charles Schwab & Co., Inc. ("Schwab"). Schwab, a registered broker-dealer, offers brokerage and custody services to its customers.

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AHA (0615-3949) SLS63665-02 (06/15)  
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The logo for Charles Schwab, featuring the word "charles" in a lowercase, serif font above the word "SCHWAB" in a bold, uppercase, sans-serif font, all contained within a blue square.

*Own your tomorrow™*