

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 share schemes 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?

As an industry-leading provider of equity management solutions for companies of all sizes around the world, J.P. Morgan Workplace Solutions is uniquely positioned to provide personalized support to help you achieve success. Regardless of the industry you're in or the company stage you're at, we're happy to discuss your needs for stock plan services.

Contact us today



J.P.Morgan

WORKPLACE SOLUTIONS

J.P. Morgan Workplace Solutions is a brand name for equity compensation administration business conducted by Global Shares and other financial products and services offered through J.P. Morgan Securities LLC and other affiliates of J.P. Morgan Chase & Co.

Global Shares is a trading name of the legal entities described hereafter including Global Shares Ireland Limited (“Global Shares Ireland”), a company registered in Ireland, registration number 412396 with its registered office at Unit 2, Building D, West Cork Technology Park, Clonakilty, Co, Cork, Ireland which provides share plan administration services and software. Global Shares Inc. (“Global Shares US”) is incorporated in Delaware and provides share plan administration services and software to certain U.S. Companies.

For securities traded in United States markets, Broker Dealer Services are provided by Global Shares Financial Services, Inc. (“GSFS”), Member FINRA/SIPC, 575 Washington Blvd, Floor 09, Jersey City, NJ, 07310-1616, (646) 968-0653. Check the background of Our Firm on FINRA’s BrokerCheck.

Global Shares Trustees Ireland Limited, Global Shares Trustees (UK) Limited, and Global Shares Trustees Company Limited (collectively, the “Trust Companies”), are Irish and UK trust companies that provide limited trust services for corporate share plans.

Global Shares Execution Services Limited (“GSESL”) is licensed to conduct investment services business under the Investment Services Act as authorized by the Malta Financial Services Authority (“the MFSA”) pursuant to license number GSES-IF-14206. GSESL offers receipt and transmission of orders and nominee services under its provision of business. The registered address is at 171, Old Bakery Street, Valletta, VLT1455, Malta. Global Shares Ireland, Global Shares US, GSFS, the Trust Companies, and GSESL are affiliated companies and all under the common control of JPMorgan Chase & Co.