



Excellence with Excel for Stock Plan Professionals

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Stock & Option Solutions (SOS) is the leading stock administration staffing, consulting and outsourcing firm within the equity compensation marketplace.

SOS People/Staffing

Tactical to senior experienced consultants

- Day-to-day assistance
- Coverage for vacancies
- Vacation, medical, maternity leaves
- Project assistance
- Backing during high-volume
- Throughout United States

Flexible lengths of assignments

- Full or part-time assistance
- On-site or remote
- Temp to perm Services

Dedicated call centers

- Tender offers
- New plan implementations
- High-activity periods

Fulfillment Center

- Printing & mailing of participant communications

SOS Projects/Consulting

- Best Practice Assessment / Implementation
- SOS 6039 Full Service Outsourcing/SOS 6039 Xpress
- Equity Accounting Assistance
- Custom Reporting
- Stock Plan Training
- Vendor Analysis & RFP

Transactions

- Mergers & Acquisitions
- Option Exchanges / Repricings
- Vendor or System Conversions
- IPO (pre and post)

Applications

- SOS Email Xpress
- SOS Participant Portal
 - Online grant agreements, ESPP Enrollment, confirmation statements, tax information, 6039 consent
- Tender Offer Website
- Consent Website (6039, Proxy)

SOS Outsourcing

- The first complete outsourcing solution
- Manage some or all aspects of your stock plan administration
- Financial, Accounting & Tax Reporting
- Special Projects



Disclaimer

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Materials Slides

[http://www.sos-team.com/pdfs/Excellence with Excel.pdf](http://www.sos-team.com/pdfs/Excellence_with_Excel.pdf)



Agenda

Navigation Tips
Other Random Tips
Working with Leading Zeros
Pivot Tables
Helpful Formulas
Charts
Q&A

Navigation Tips

- Moving around the worksheet and your workbook
 - Get to the end of the row or column FAST
 - Ctrl + Arrow Key
 - Jump to the next worksheet
 - [Ctrl] + [Page Down]
 - Go back to the previous worksheet
 - [Ctrl] + [Page Up]
- Copying your formula down the column
 - Enter your formula in the first cell
 - Click the cell, getting the solid black outline and the + at the bottom right
 - Double click that + sign and the formula will magically copy to the last cell in the column where a row contains data

Other Random Tips

- **Sorting and Filtering Data**
 - Top row of columns need data (headers)
 - Delete blank row between data and headers
 - Use the Sort and Filter Tools
 - Cautions
 - When sorting, grab all the data to avoid misalignment
 - Ctrl+A once, selects to a BREAK in data
 - Ctrl+A TWICE selects ALL the data in the sheet
 - When copying and pasting from a filtered set of data, you may want to use the “Select All Visible Cells” tool

- Split or Freeze the screen
- Use the tools

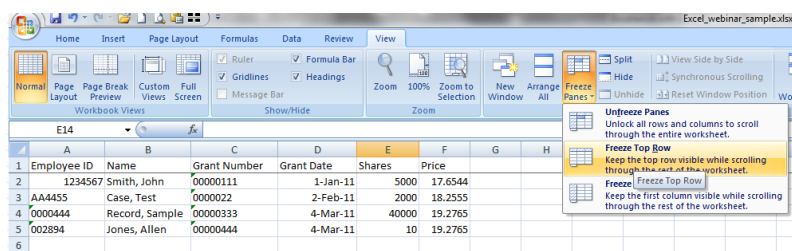
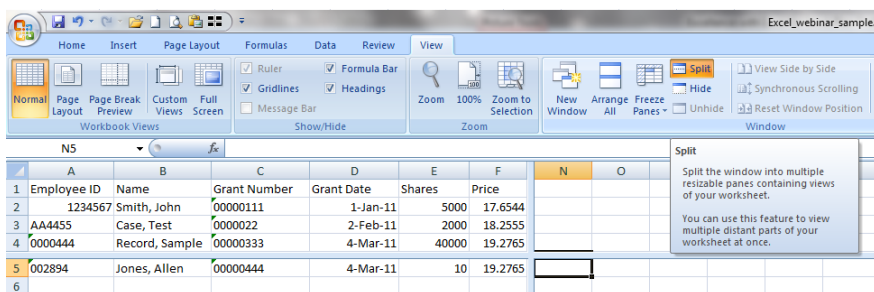


Filtering

Employee ID	Name	Grant Number	Grant Date	Shares
1234567	Smith, John	00000111	1-Jan-11	5
AA4455	Case, Test	0000022	2-Feb-11	2
0000444	Record, Sample	00000333	4-Mar-11	40
002894	Jones, Allen	00000444	4-Mar-11	



Splitting and Freezing



A few more random tips

- Text to Columns
 - Easy to separate combined data
 - Easy to change the format of a column of data
 - Be sure to insert a column or two for space to avoid overriding critical data
- Sum tool in the status bar
 - Highlight data to sum, click the sum tool
- Paste Special
 - Keep your values and not the formula
 - Transpose the data from a column to a row or vice versa

Text to Column...step 1

The screenshot shows the 'Convert Text to Columns Wizard - Step 1 of 3' dialog box in Microsoft Excel. The 'Original data type' is 'Delimited'. Under 'Original data type', the 'Delimited' radio button is selected. The 'Delimiters' section has 'Comma' selected. The 'Text qualifiers' dropdown is set to 'None'. The 'Data preview' section shows the following data:

1	Name	Grant Number	Grant Date	Shares	Price
2	Smith, John	00000111	1-Jan-11	5000	11
3	Case, Test	0000022	2-Feb-11	2000	11
4	Record, Sample	00000333	4-Mar-11	40000	11
5	Jones, Allen	00000444	4-Mar-11	10	11

Text to Column...step 2

The first screenshot shows the 'Convert Text to Columns Wizard - Step 2 of 3' dialog box. The 'Delimiters' section has 'Comma' selected. The 'Text qualifiers' dropdown is set to 'None'. The 'Data preview' section shows the following data:

Name	John
Smith	John
Case	Test
Record	Sample
Jones	Allen

The second screenshot shows the 'Convert Text to Columns Wizard - Step 3 of 3' dialog box. The 'Column data format' section has 'General' selected. The 'Destination' is set to '\$B\$1'. The 'Data preview' section shows the following data:

General	General
Name	John
Smith	John
Case	Test
Record	Sample
Jones	Allen

Below the dialog boxes is a preview of the resulting data table:

	B	C
	Name	
7	Smith	John
	Case	Test
	Record	Sample
	Jones	Allen

Sum Tool

Employee ID	Name	Grant Number	Grant Date	Shares	Price	
1234567	Smith	John	00000111	1-Jan-11	5000	17.6544
AA4455	Case	Test	0000022	2-Feb-11	2000	18.2555
0000444	Record	Sample	00000333	4-Mar-11	40000	19.2765
002894	Jones	Allen	00000444	4-Mar-11	10	19.2765

Sum (Alt+=) =SUM(5:18) 74,462.9

Paste Special

Paste Special dialog box options:

- Paste: All, Formulas, Values, Formats, Comments, Validation
- Operation: None, Add, Subtract, Multiply, Divide
- Other: All using Source theme, All except borders, Column widths, Formulas and number formats, Values and number formats, Skip blanks, Transpose

Keeping Leading Zeroes

- Why?
 - Grant numbers
 - Participant IDs
- Save file as .CSV type
- Rename to .TXT
- Open with Excel
- Use Text to Data wizard and set those columns to “text” type instead of general

Pivot Tables

- Purpose
 - Summarize Data quickly
- Tips
 - Best for END results
 - Data Tips
 - Must have header row
 - Cannot have blank header columns (place an x)
 - Cannot have more than one header row
 - Right click – choices on WHERE to place info
 - Row label

Pivot Tables

- Selecting data
- Choosing rows and columns
- Drilling down
- Finding the source of the data
 - Options + Change Source Data

Pros and Cons of Pivot Tables

- Pros
 - Fast and Easy
 - Flexible
- Cons
 - Difficult to “work with” the data
 - You can copy data to another location to work with it, but be sure to note the source
 - Use specific cell references instead of clicking into a cell (gives you “getpivot” which is hard to read)
 - Must “refresh” when data changes

Pivot Tables

- Uses
 - Endless...
 - Summarize ESPP Contributions by
 - Country
 - Division
 - Forecast restricted stock release dates
 - Number of releases each release date
 - Number of Section 16 employees included
 - Eliminate duplicates
 - One record per participant
 - One record per grant, etc.

Vlookup()

- Purpose
 - Retrieve data from another source/report
- Syntax
 - `Vlookup(lookup_value, table, column_number, range_lookup)`
 - `Vlookup(option_number, granted_report, 3, FALSE)`
- Tips
 - Remember to count hidden columns
 - Better to unhide all columns before you count
 - Make the LAST column in the table the one you are looking for
 - Then if you “go to far” you will get the #ref error and you know it’s one less

Index Match

- Why is it “better” than vlookup?
 - VLOOKUP requires a static column reference
 - INDEX MATCH uses a dynamic column reference.
 - If you add or delete columns, the formula still works!
 - Can lookup from left to right, vlookup has to be right to left
- Only THREE columns “involved” in the formula
 - Source for match + lookup column
 - Improves processing speed + smaller file size
 - Fewer errors, “counting columns”

Index Match

- Syntax:
 - INDEX (Column I want a return value from ,
MATCH (My Lookup Value , Column I want to
Lookup against,0))

Sumif/Sumifs

- Purpose
 - Sums data based on logical conditions
- Tip:
 - Use sumifs – avoid sumif
 - Syntax is different, helps avoid confusion, sumifs syntax easier to remember
 - Can be easily expanded later, if more criteria needed
 - Can also use pivot tables, but difficult to USE the data
- Syntax
 - =Sumifs(sum_range, condition_1_range, condition_1_value, condition_2_range, condition_2_value)
- Examples
 - Forfeiture Rates
- NOTE: SUMIFS Added in Excel 2007

\$

- Making references absolute - F4
 - Once, twice, three times
- Keeping column or row references “in tact” when copying formulas
- \$b1
 - Keeps reference to column B, but changes row
- B\$1
 - Keeps reference to row 1, but changes column
- \$B\$1
 - Keeps reference to B1 no matter where it is copied

Subtracting Dates

- Purpose
 - Determine number of days between two dates
- Syntax
 - =Greater_Date – Lesser_Date
- Uses
 - Total Days
 - Vest Date – Expense Begin Date
 - Remaining Life
 - (Expire Date – Report End Date)/365.25

Comparing Dates

- Purpose
 - Determine if one date is greater or less than another
- Syntax
 - =Date_A > Date_B
- Uses
 - Vested?
 - =Today's Date>=Vest Date
 - TRUE = Vested
 - FALSE = Not Vested
 - Forfeited?
 - =vest date>cancel date

Year()

- Purpose
 - Extract the year from a date
- Syntax
 - =Year(date field)
- Uses
 - Grant Year
 - Forfeited Year
 - Plan Rollforward

If()

- Purpose
 - Logical evaluation
- Syntax
 - =IF(logical_test, value_if_true, value_if_false)
- Uses
 - Avoid Divide by Zero Errors
 - =if(Total Days=0,0,To Date Days/Total Days)
 - Shares Forfeited?
 - If(forfeited, shares granted,0)
 - Forfeiture Rate True Up for Vesting
 - =if(vested, 100%, (1-forfeiture rate)^service period)
 - Non-employee Awards – mark to market until vested
 - =if(vested, vlookup(vest date, market_values table), vlookup(report end date, market values table))

Min()

- Purpose
 - Choose the lesser of two or more values
- Syntax
 - =Min(value_1,value_2, value_3, etc.)
- Uses
 - 162(m) Threshold
 - =min(shares proposed, plan maximum setting)
 - Set Highest Possible Value
 - =Min(Weighted Shares Outstanding-Buyback Shares, Weighted Shares Outstanding)

Max()

- Purpose
 - Choose the greater of two or more values
- Syntax
 - =Max(value_1,value_2, value_3, etc.)
- Uses
 - Never negative
 - =Max(buyback shares, 0)
 - =Max(To Date Days, 0)
 - Minimum Grant Size
 - =Max(Shares Granted,100)
 - Can be enhanced by combining with salary grade, job description, etc.

And()

- Purpose
 - Evaluate more than one condition
- Syntax
 - =And(condition_1,condition_2, condition_3, etc.)
- Uses
 - Vesting during current period
 - =AND(Vest Date>=Report Begin Date, Vest Date<=Report End Date)

Weighted Averages

- Multiply Value * Shares
 - Other value than shares can be used (e.g. “expense”) but shares is most common
- Divide sum of value / sum of shares

Other

- ISNA() / Iserror()
- To the power of
 - Applying annualized forfeiture rate
- True/false
 - Don't use Yes / No, Anti-dilutive / Dilutive
 - Name the Column "Dilutive" then contents True/False
 - Makes formulas simpler

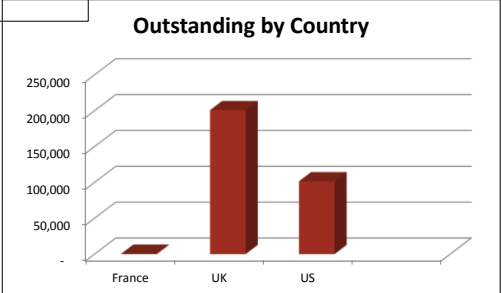
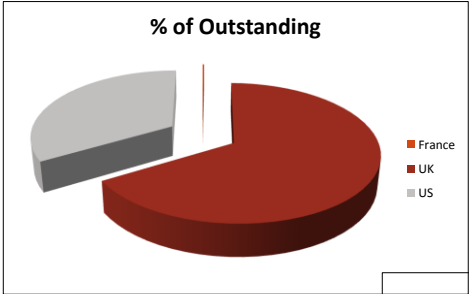
Concatenate()

- Purpose
 - Combine data in multiple columns
- Syntax
 - Concatenate(cell_1, cell_2, etc.)
- Uses
 - Create vest tranche ID
 - Concatenate(grant number, vest date)
 - Combine first/last name
- Tips
 - Add spaces with " "

Goal Seek (Newer Versions)

- Uses
 - Forfeiture Rates
 - Share Guidelines
 - Incremental Expense
 - # of shares to grant, given expense of X?

Charts



Q & A

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