



5 Ways to Add Spice and Streamline Participant Communications

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Materials

A link to the materials was sent to all registered attendees.

If you did not receive the email, materials are also available here:

www.sos-team.com/pdfs/SOS Stock Plan Communications.pdf

Please note that the URL is case-sensitive!



Disclaimer

The following discussion and examples do not necessarily represent the official views of **Stock & Option Solutions, Inc.** with respect to any of the issues addressed. Moreover, this presentation and the views expressed by the individual presenters should not be relied on as legal, accounting, auditing, or tax advice. The outcome of any individual situation depends on the specific facts and circumstances in which the issue arises and on the interpretation of the relevant literature in effect at the time.

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Agenda

- 5 Ways to Spice up Participant Communications
 - COMMUNICATE: early and often
 - MESSAGING: match the message and delivery method to the audience
 - TECHNOLOGY: leverage technology: tools to get the message out quickly
 - INFRASTRUCTURE: put together the infrastructure BEFORE the need arises
 - ANTICIPATE: Go the extra mile without breaking the budget, give them a pleasant surprise!



Spice 1 – Communicate Early and Often

- You've invested in creating the plan; don't shortchange with communications that fall short

Trend alert: many companies wait until close proximity to an event to communicate

- Think of communication as a process, not an event
- Make it an ongoing campaign



Spice 1 – Communicate Early and Often

Trend alert: many companies wait until close proximity to an event to communicate

- Use events as another opportunity to communicate
- Pre-IPO?
 - What is equity? Holdings, Statements, FMV
- New Grants
 - How grants work
- Vesting Events
 - How awards work, release process



Spice 1 – Communicate Early and Often

How SOS can help

- Draft communication plan/calendar
- Best practices – what's the ideal for your situation?
- Determine one-time and ongoing communications to create



Spice 2: Messaging

What you say, how you say it, did they hear it?

- The right information, to the right person, at the right time
- Prepare supplemental material whenever you can
- Incorporate examples
- Email templates
- FAQs: one time or ongoing
- Use of static documents
 - Adapt for future use
- Surveys
- Remember there are different types of learning styles:
 - Visual
 - Kinesthetic
 - Auditory
- Track effectiveness of communications
 - Monitor the measurables



Spice 2: Messaging

How SOS can help

- Evaluate participant demographics and match to ideal message/tools
 - What you say to a population of engineers may be quite different than what you say to a population of manufacturing employees
- Prepare examples
- Craft FAQs
- Facilitate translations
- Guidance on delivery strategy
 - What medium will you use?
 - Often there are multiple mediums that blend to create an optimum delivery strategy
 - Do you really need to mail a hard copy to everyone?
 - Will email work for everyone?
- Surveys

Spice 3: A Dash of Technology

New tools can get the message out quickly

- Great for planned, and unplanned communication needs
- Remove the complexities of how and concentrate on the why / when
- Websites – Intranet or Internet
- Automated Custom Emails

Spice 3: A Dash of Technology

- Participant Surveys
- Consent Sites
 - 6039
- Proxy Sites
- Tender Offers
- Exchanges

Stock & Option Solutions

Need Help? EMAIL: webdev@sos-team.com

Administration | Change Password | Election Info | Make An Election

Welcome: FName LName

ELECTION FORM

RE: TENDER OF ELIGIBLE STOCK OPTIONS PURSUANT TO THE OFFER TO EXCHANGE CERTAIN OUTSTANDING OPTIONS FOR NEW OPTIONS

DATED NOVEMBER 7, 2008

Name : FName LName
Address : 585 My Street, San Jose ,CA ,95118

Indicate your decision to tender your Eligible Options identified below for exchange to new options by SOS by checking the "Yes" box under the "Exchange Entire Eligible Option?" column. If you do not want to tender one or more of your Eligible Options for exchange, check the "No" box under the "Exchange Entire Eligible Option?" column for those particular options. If you do not clearly mark the "Yes" box with respect to an Eligible Option, your election with respect to that option will default to "No". In that event, such Eligible Option will not be exchanged. You may not tender only a portion of an Eligible Option.

Breakeven Calculator

Eligible Option				New Option				
Original Grant Date	Expiration Date	Option Number	Exercise Price Per Share	Shares Outstanding Eligible for Exchange	Shares Vested	Shares Unvested	Exchange Ratio	Exchange All Eligible Shares Outstanding for this Grant?
02/01/00	01/31/10	A0010	\$53.81	1,854	1,854	74		<input type="radio"/> Yes <input type="radio"/> No
06/01/07	05/31/14	A0011	\$30.74	40,000	20,000	6,668		<input type="radio"/> Yes <input type="radio"/> No

Return to Welcome Page | Next

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Spice 3: A Dash of Technology

Stock & Option Solutions

Adminis

Generic Admin

Welcome to the 6039 Consent collection website!

Your current consent status is: Yes

If you want to change your consent please select the option below and hit

Yes
 No

Submit

Equity Award Exchange Program
Open June 15th, 2009
Close July 11th, 2009 at 9pm Pacific Time

Welcome: ADMIN USER

Home Logout Administration

Learn

Click on any of the links below to learn more.

- [Offer to Exchange](#)
- [FAQs](#)
- [Employee Presentation Materials](#)
- [Schedule TO - Tender Offer Statement](#)

The PDF documents above require Adobe Acrobat Reader. If necessary you can download it from Adobe Systems.

Make My Election

You have 13 days left to elect whether to keep your Eligible Awards or exchange some or all of them for Restricted Stock Units or Cash. You elected to exchange SOME of your awards.

- [View/Change My Election](#)
- [Print My Election Confirmation](#)

Need Help?

Contact the stock plan services group at (650) 555-1212 or stock@demo.com

[Change Your Password](#)

From: webdev@sos-team.com [mailto:webdev@sos-team.com]
Sent: Tuesday, November 16, 2008 11:34 AM
To: SOS-Website Development
Subject: Confirmation of Election

Date: 11/16/2008 11:34:28 AM PT

Dear Generic Admin,

You give us your consent to receive electronic email confirmation for

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Spice 3: A Dash of Technology

The screenshot displays a web application interface for Stock & Option Solutions. At the top, there is a navigation bar with the company logo and links for Administration, Home, Log Out, and Help. Below this, a user is logged in as 'FirstName LastName'. The main content area is titled 'Welcome to the Company Name St' and prompts the user to 'Please select the desired document :'. A list of document types is provided: Year End Documentation, Exercises, and Releases. A secondary window or overlay is visible, showing a 'Please select the document you wish to view/print from 2010:' prompt with a list of specific documents: Statement of Taxable Income - Stock Purchase (Purchase Tax Summary), Statement of Taxable Income (Tax Summary), Tax Withholding Statement (Tax Withholding Statement), 3921, and 3922. At the bottom of the interface, there is a footer with the company logo and the text '15'.

Spice 3: A Dash of Technology

Email Notifications:

- Transaction Confirmation
- Year-end information
 - Tax info
 - 6039
- New Equity Notification
- Participant Statement – Monthly/Quarterly/Yearly
- Future Vesting information
- Acquisition Statements

Spice 3: A Dash of Technology

Stock & Option Solutions **Email Xpress Tool** v 14.0
 Contact Us: sales@sos-team.com

Configuration | Email Settings | View Logs | Clear Logs | Export Logs

Send Confirmation of Release Emails
 Send Confirmation of Purchase Emails
 Send Confirmation of Exercise Emails
 Send Year End Tax Statement Emails
 Send ESPP Year End Tax Statement Emails
 Send New Option Grant Notification Emails
 Send New Award Grant Notification Emails
 Send Personnel Status Emails

Help on Buttons:
 Configuration - To Set Company Details, Path to the Data File and Email Server Details
 Email Settings - To Set Email Subject, Memo, Sender Email ID and BCC ID
 View Logs - View logs on Emails sent to Employees since the last clear.
 Clear Logs - To Delete the Email History.

Spice 3: A Dash of Technology

Stock & Option Solutions **6039 Xpress Application** v-15.2
 Contact Us: sales@sos-team.com

Configuration | Email Settings | View Lo

Retrieve ISO Exercise Data | Audit ISO Exercise Data

Create Form 3921

Form Type: Original Void

Employee ID:

To perform a task for an Employee or multiple Employees, separate the filter data (Employee ID) by a comma (,)

IRS e-file Employee Statements PDF Employee Statements E-mail

Test e-file All Test e-mail
 E-file Non-Consent Only Send e-mail
 Consent Only
 Restart e-mail

Start | Close

Help on Buttons:
 Configuration - To Set Company Details, Path to the Data F
 Email Settings - To Set Email Subject, Memo, Sender Email
 View Logs - View logs on Emails sent to Employees since t
 Clear Logs - To Delete the Email History.

Spice 4 – Nuts and Bolts (the Infrastructure)

Implement a variety of resources and tools before you think you need them

- If you have a solid plan, you'll need the tools eventually; implement so you're ready for the unforeseen



Spice 4 – Nuts and Bolts (the Infrastructure)

How SOS can help

- Environmental assessment and recommendations
- Implementation assistance, particularly with technology



Spice 5: A pinch of surprise (Anticipate)

You've got the tools, now what?

- Go nuts!
- Think about areas where participants WILL have questions or communication needs in the future
- This lends opportunity to get creative and proactive
 - “I planned on using this tool for one communication, but now there are a dozen other communications I could do using the same tool”
 - Economy of scale – once you've got the infrastructure, branching it out is usually at minimal additional cost
- Set the communication standard



Spice 5: A pinch of surprise (Anticipate)

How SOS can help

- Brainstorm proactive needs
- Program tools for other uses
- Call Centers



Helpful Links

- **SOS Email Xpress**
 - [Data Sheet](#)
 - [Demo Video](#)
- **SOS Consent Website for 6039 and Proxy**
 - [Product Spotlight from SOS Xtra](#)
- **SOS Tender Offer Website**
 - [Data Sheet](#)
 - [Demo Video](#)
- **Customized Year-end Tax Statements**
 - [Product Spotlight from SOS Xtra](#)



Helpful Links

- **Other SOS white papers , SOS Xtra Articles, and webcasts**
 - [Get Ready: 10 Things You Can Do NOW To Take the Bite out of Employee Year-End Communications](#)
 - [Section 6039 Electronic Participant Statements](#)
 - [SOS Customized Stock Plan Software Reports](#)
 - [Preparing Stock Plans for an IPO](#)
 - [Communicating about Exchanges](#)
 - [Webcast - The Taxman Cometh: Commonly Asked Participant Tax Questions &How to Answer Them](#)
 - [Webcast – Employee Education on a Shoestring Budget: How to Get it Done within Your Limited Means](#)
 - [Webcast – Hey Wait, Wasn't I Supposed to be Rich by Now?: Communicating Value to Private Company Stock Plan Participants](#)



SOS Suite of Solutions

Projects/Consulting

- Best Practice Assessment / Implementation
- Equity Accounting Assistance
- Custom Reporting
- Software Upgrades
- Stock Plan Training
- Participant Education & Communication

Transactions

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

Applications

- SOS Email Xpress
- SOS Xchange –data exchange
- SOS 6039 Xpress
- Tender Offer Website
- Online Grant Agreements
- Plan Participant Websites/Intranets

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

SOS Outsourcing

- A new kind of outsourcing
- Manage some or all aspects of your stock plans
- Financial, Accounting & Tax Reporting
- Special Projects and Onsite Needs



Contact Information



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