

1. Who are the “big 5”?

You can't run stock ownership numbers if you don't know who your named executive officers are. These will be anyone who served as Chief Executive Officer or Chief Financial Officer as well as the next three most highly compensated officers in the company.

2. List of all Forms 3, 4 and 5 filed during fiscal year:

Years ago director and officer questionnaires were blank documents that had to be filled in by each officer and director by hand. Over the years that has changed and companies now pre-complete a majority of the information for the officer or director. Recently that has included a table of all the Section 16 filings made on behalf of the officer or director during the fiscal year. This can be an arduous task, so make sure you keep good records of all the filings throughout the year.

3. List of all exercises/releases during fiscal year:

This is a standard item of information that is easy to pull out of your equity administration system. These numbers are reported on the Exercises and Stock Vested table.

4. For officers, the list of 401K matching transactions in stock:

If your company matches 401(k) contributions in company stock, you will need to provide the number of “match” shares distributed to each officer's 401(k) account.

5. For officers, grants outstanding with valuations for the last three fiscal years: These need to be disclosed in the Summary of Executive Compensation table.

6. For officers, grants outstanding with vested and unvested shares: These grants and the vested/unvested numbers will be reported on the Grants of Plan-Based Awards table.

7. For directors, grants in the last fiscal year with the associated valuation.

8. Vesting schedule details for outstanding grants: The vesting schedule will be needed for any outstanding grants in order for accurate numbers to be calculated concerning vesting at termination (the Potential Payments to Executives Upon Termination or Change in Control) or the number of shares beneficially owned (Beneficial Ownership table).

9. Shares issued and outstanding as of the record date: This number will be disclosed in the proxy and also used in calculating the percentage of shares beneficially owned in the Beneficial Ownership table.

10. Officer and director holdings: If your company has ownership guidelines, someone will ask for the officer and director holdings to see if the officers/directors are in compliance. This may include any or all of the following: shares owned by the officer/director directly, shares owned by the officer/director indirectly, vested options and unvested RSUs.