



# COMPENSATION AND BENEFITS Stock Plan Administration Services

Stock incentive compensation represents a significant investment for many organizations. The challenge for human resources professionals is to develop processes and systems that support and advance the organization's strategic plans, use financial resources efficiently, minimize risk of errors and corrections and deliver a first-class experience to its employees. Doing this ensures the perceived value of stock awards equals or exceeds the cost to the company.

## ALVAREZ & MARSAL COMPENSATION AND BENEFITS (CAB) SERVICES

A&M CAB will work with you to optimize your organization's stock plan administration function to provide a first-class experience for internal stakeholders and participants. Our services reduce the administrative burden on your team, as well as reduce the risk of errors and need for corrections related to your stock incentive compensation program. With a portfolio of compensation and stock specific advisory services, we can help you achieve measurable, improved results.

With our full-service stock plan administration capabilities, A&M CAB will customize our services to meet your needs. We can provide everything from targeted consulting on specific projects to partial or full outsourcing of the entire stock plan administration function.

Our **comprehensive range of services** include:



### Platform Identification and Evaluation

- Third-party administration platform identification and procurement advisory services, including:
  - o Request for proposal design and drafting
  - o Vendor selection assistance
  - o Facilitating finalist presentations
  - o Evaluation scorecard development
  - o Vendor response evaluation and finalist selection
  - o Vendor contrasting assistance



### Transition Assistance

- Platform implementation assistance, including:
  - o Implementation project management
  - o Data migration
  - o Employee communications and rollout
  - o System set up
  - o Parallel testing



### Administrative Support

- Internal process review, improvement, and documentation
- Targeted process/task co-sourcing
- Partial or full outsourcing of the administrative function
- Employee communications and stakeholder interactions



### Reporting

- Securities and Exchange Commission (SEC) disclosure reporting, including:
  - o Forms 3, 4, and 5 reporting
  - o Amendment assistance
  - o Beneficial ownership tracking and reconciliation
  - o SEC code and account setup



## Finance, Accounting and Tax Support

- Financial and accounting reporting assistance (including integration of existing "work-arounds", quarterly accounting reviews, deferred tax asset maintenance and reconciliation, etc.) and;
- Other advisory services covering complex, technical issues such as award modifications, international equity, and recharge agreements, Internal Revenue Code section 162(m) limitations, market conditions and other non-standard awards and forfeiture rates.



## Long-term Incentive (LTI) Plan and Program Design

- Plan and feature design advisory services, including:
  - o Vehicle alternatives
  - o Performance metrics and ESG
  - o Market benchmarking
  - o Ownership guidelines
  - o Governance policy and procedures development

## A&M OBJECTIVE



Our goal is to ensure that all your stock plan administrative needs are met with one service provider that can provide expertise across the entire spectrum of disciplines implicated in an equity administration function while mitigating risk. Our services can help turn your organization's stock plan administration function into a best-in-class experience for your internal stakeholders and employee participants.

## For More Information:



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## ABOUT ALVAREZ & MARSAL

Founded in 1983, Alvarez & Marsal is a leading global professional services firm. Renowned for its leadership, action, and results, Alvarez & Marsal provides advisory, business performance improvement, and turnaround management services, delivering practical solutions to address clients' unique challenges. With a worldwide network of experienced operators, world-class consultants, former regulators, and industry authorities, Alvarez & Marsal helps corporates, boards, private equity firms, law firms, and government agencies drive transformation, mitigate risk, and unlock value at every stage of growth.

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