



Analysis and Recommendations

Sometimes equity compensation therapy is a good thing. Managing your company's employee stock programs is a tough job. Between transaction processing, regulatory filings, international compliance, complex reporting, employee complaints, data errors, vendor relationships, and staffing the department, a lot can go wrong. What you need is an objective, expert opinion to help sort out all of your concerns, identify priorities, minimize risk and cost, and come up with reasonable ideas to address both your short- and long-term challenges.

Stock & Option Solutions can help you navigate this maze! Our Strategic Solutions team has extensive management experience in a wide range of stock plan administration functions and can assist you in defining best practices suitable for your organization. We bring the full range of our equity compensation knowledge to support you, including expertise in global stock plans, accounting and financial reporting, and organizational development. We also dedicate high-end resources to accomplish your goals and deadlines at a time when you might have limited bandwidth.

What does a process analysis achieve for you? Conducting a thorough analysis of your stock plan practices with SOS provides a variety of benefits. By engaging an experienced third-party to review current policies and procedures and provide creative solutions, you can quickly identify key issues and prioritize solutions in an objective manner. The extensive analysis we perform allows you to see the extent of concerns and available methods to solve problems. The results may corroborate issues that have already been identified within your company and can provide support to obtain approval to address these challenges. Implementation of recommendations will increase process efficiency and risk mitigation to manage your company's Sarbanes-Oxley Section 404 control compliance.

What is the typical process for this type of analysis?

- Typically consisting of a Senior Logistics Manager and Senior Project Lead, the SOS project team meets with you to review the areas requiring analysis and confirm the types of deliverables that best meet your needs. These parameters can be tailored around the specific challenges your company is experiencing and desired goals.
- SOS conducts a thorough due diligence process by evaluating written documentation and interviewing various members of your team to understand roles and responsibilities, tasks, procedures, and specific challenges. Your third-party vendors may be involved in this process as well, such as an outsourcing provider. This phase may be conducted onsite at your designated location or remotely.
- Once the due diligence phase is completed, SOS organizes the collected data into key categories and analyzes the information to identify areas of opportunity, typically focusing on risk management, compliance, process efficiency, data integrity, staffing structure, and prioritization of risk level. Different experts from the SOS team are consulted to provide the particular knowledge base as needed.
 - SOS then develops a written deliverable outlining these areas, risk level, prioritization, and high-level recommendations on addressing these concerns.
 - SOS meets with you to review analysis findings, recommendations and next steps. We can help with the next phases, including process re-design, implementation, testing, and documentation.