



## Sample Consultant Background — *Sr. Staff Consultant*

### Summary of Qualifications

- Over 10 years of combined experience in administering and managing stock plan administration for companies
- Held various positions including Sr. Stock Administrator, Manager of Stock Programs, and Sr. Consultant
- Extensive project-based experience, including mergers and acquisitions, managing escrow accounts and integration of newly acquired companies' stock plans, data conversions, audit and reconciliations
- Extensive Section 16 compliance, including Forms 3, 4 and 5; monitoring and designing of insider trading policies
- Solid organizational and communication skills, both written and verbal.
- Ability to effectively plan, coordinate and meet deadlines of multiple projects
- Proficient in Computershare *Transcendent*, E\*TRADE *Equity Edge* and *OptionsLink*, Intuit *Quicken*, Microsoft *Access* and *Excel*

### Work Experience

- Managed all areas of stock plan administration, including grants, exercises, ESPP, disqualifying dispositions, optionee training, and Section 16 filings
- Handled daily, monthly, and quarterly stock administration duties, including financial reporting, granting of options, processing of exercises and terminations, utilizing E\*TRADE *Equity Edge* 6.2
- Prepared FAS 123(R) and 10-Q reports for options, ESPP, RSA, RSU, and MFU; prepared disqualifying disposition reports for ISO and ESPP
- Managed close relationship with broker and transfer agent to ensure accurate share transfer and resolve discrepancies
- Refined current processes for greater efficiency and implemented new processes for key functions such as grant process, auditing exercises, and granting new options
- Responsible for administering multiple option plans and employee stock purchase plans for 500–150,000 optionees and participants
- Reconciliation of month, quarter and year-end outstanding shares, capital accounts, and month-end journal vouchers; analyzed and recorded all disqualifying dispositions; processing and tracking stock option grants, exercises and cancels.
- Provided comprehensive education and training on stock plans to employees
- Organized various stock administration departments to work along and coordinate data flow and activities with other departments such as HR, Legal, Accounting, and Finance
- Managed ESPP including on-line enrollments, processing of purchases, and communication of plan to employees

- Processed quarterly close and analyzed reporting to support SEC reporting requirements in 10-Qs, 10-Ks and AEA disclosures
- Supported director of Stock Services in the successful implementation of Sarbanes-Oxley relative to stock compensation reporting
- Responsible for managing Stock Administration, Accounts Payable, and Payroll departments with staff up to 15 people, stock administration management included daily operations, financial reporting, vendor relations, stock purchase plans, and special projects
- Reconciled stock, payroll and general accounts for balancing to General Ledger, outstanding stock shares to transfer agent, and world wide stock purchase contributions
- Prepared Earnings Per Share calculations and stock-related data for financial reporting departments
- Worked closely with outside auditors to provide material and account documentation and substantiation

### **Education & Training**

Bachelor of Science in Business, Finance

Certified Equity Professional, CEPI, Santa Clara University

System/Database Administrator Training: *Equity Edge, Oracle, AR, IRI FMS*

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