



SOS 6039 Services & Solutions

Our line of 6039 solutions and services will simplify your life, save you time and reduce your company's risk by helping you comply with the newly revised Section 6039.

Participant Communications

These new forms, soon to be released by the IRS, must be sent to participants for ISO exercises and ESPP purchases that occurred in 2010 by January 31, 2011.

Substitute forms and aggregate forms are permissible, so forms can be tailored to your requirements¹, for an additional cost.

- Form 3921 - ISO Exercises
- Form 3922 - 423 ESPP Transfers²

Methods of Delivery

In-house Software

Customized Crystal Reports templates are added to your in-house software, allowing you to print participant statements just as you would other stock plan statements.

If you wish to email these statements to your participants, our MS Access-based application, *SOS 6039 Xpress*, can be deployed at your company site. Transaction data is retrieved or exported from your stock plan database. The 6039 Xpress application formats the data, and then emails the statements to hundreds or thousands of participants with just a few clicks.³

Outsourced Stock Plans / ASP Providers

SOS 6039 Xpress can be deployed at your company site, allowing you to keep your sensitive participant data inside your firewall. Vendor data is downloaded from your stock plan database to a pre-specified location. The 6039 Xpress application retrieves the data, formats it, and then can either generate a file for hardcopy printing or email the statements to your participants.⁴

¹ Please note that there are specific IRS requirements for substitute forms and the client will be responsible for compliance if changes to the forms are requested.

² This product is designed for companies whose "first transfer" is the purchase event because the shares are deposited into a brokerage account. If your company instead issues certificates then the first transfer of the shares should be reported instead of the purchase.

³ To deliver statements exclusively in electronic format, participant consent is required. SOS can also facilitate the process of requesting and recording participant consent for electronic delivery via the use of our secure website technology. Please ask us for more details.

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IRS e-Filings

Beginning in 2011 for transactions that occurred in 2010, you will be required to report these transactions to the IRS. If you have over 250 transactions to report, you will be required to report electronically and SOS can help.

- **Form 3921**
- **Form 3922**

6039 Xpress for IRS Filing

SOS 6039 Xpress can be deployed at your company site, allowing you to keep your sensitive participant data inside your firewall. Vendor data is retrieved from or downloaded from your stock plan database to a pre-specified location. The *SOS 6039 Xpress* application retrieves the data, formats it per the detailed IRS file specification, and produces a file that can be submitted via the IRS FIRE (Filing Information Returns Electronically) website. Supports original, corrected, and void record formats.

Expert Assistance with 6039 Compliance

Our consultants have helped companies implement internal and external solutions for complying with the revised regulations. Our consultants can work with your stock plans personnel and other departments to develop documented processes and procedures. This may also include development of business requirements documents, customized reports, and/or feeds to automate the movement of data between stock plan system and a third-party system.