

1	Corporate Administrator Portal & Reporting	2	Participant Portal	3	Enhancements & Changes	4	Data Management	5	Timeline & Deliverables	6	Participant Communications	7	Solutions	8	Glossary & Acronym Finder
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## Client Upgrade Guide

### Introduction

Welcome to Computershare's Enhanced Equity Plan Offering: EquatePlus.

Thank you for taking the time to read this Client Upgrade Guide to learn more about the upgrade to EquatePlus and what it means for you and your employee participants.

This interactive reference document will continue to evolve; therefore, to ensure that you have the most current information possible, we recommend that you do not download this copy. [Click here](#) to find information about how to navigate this guide.

Your upgrade to EquatePlus represents the culmination of a huge amount of effort and investment in developing and improving our product offering. In conversations with clients like you, you've told us how important it is that we retain all the things we do for you today, which you value and trust including: our focus on service and relationships, our approach to regulatory compliance as well as our expertise in global and local approved plans.

We can confirm that through this upgrade, we're doing exactly that, while delivering a new, enhanced, more intuitive online experience for you and your participants.

This guide contains all the key information you need to know - including details of what's new and user journeys.

In addition, your Relationship Manager will work closely with you as we take you through the upgrade, and we hope you find this upgrade guide to be a useful part of this process.

We look forward to seeing the impact of your upgrade and would love to hear how you're getting on. Please do share any comments with your Relationship Manager.

Our commitment to providing the best service in the industry has never been stronger. We thank you for the continued opportunity to partner with you.




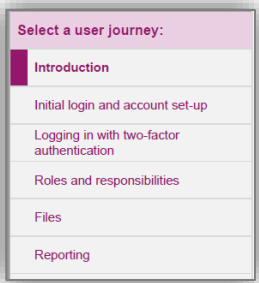





**Disclaimer:** All images shown in this document are for illustration purposes only and are subject to change. Actual screens and/or products may vary due to product enhancement.



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## Document Navigation

This interactive upgrade guide is designed to make searching for information easy.

<p>1. Select a topic from the menu at the top of the page.</p>			
<p>2. A new menu, displaying sub-categories, will open on the left-hand side of the page.</p> <p>Click on a sub-category to view the information.</p>			
<h3>Legend</h3>			
	<p>Next step</p>		<p>Previous step</p>
	<p>Next page</p>		<p>Previous page</p>
	<p>Homepage</p>		



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Select a user journey:

- Introduction
- Initial login and account set-up
- Logging in with two-factor authentication
- Roles and responsibilities
- Files
- Reporting

## 1 – Corporate Administrator Portal

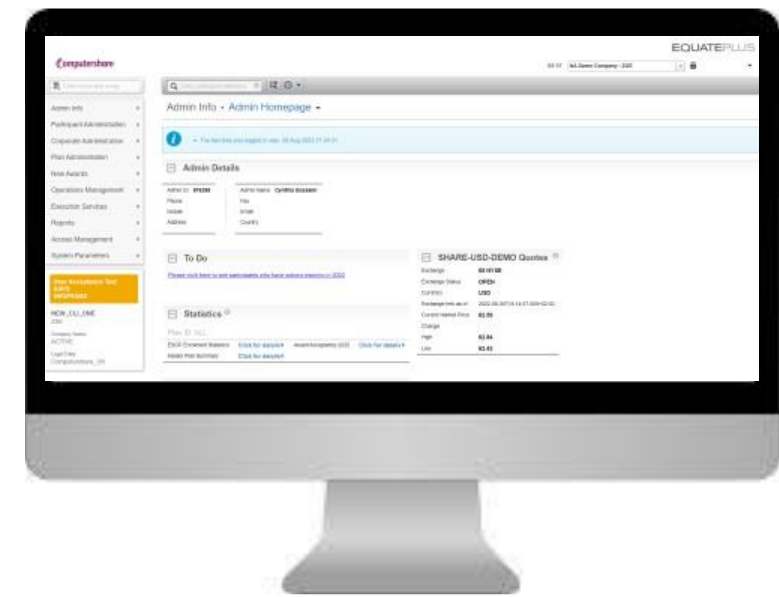
### Introduction

EquatePlus is the secure, easy-to-use, web-based platform for your equity-based compensation plans. The powerful capabilities, features, and automation of EquatePlus makes administering complex plans across borders easy.

We've committed to a significant investment in the EquatePlus platform, bringing together all our experience and expertise in global share plans, local approved plans, and regulatory compliance to ensure we retain all the things we do today which you value and trust, and deliver services through a more modern, intuitive, user experience.

In this section, we'll show you what the platform looks like when performing some of the key tasks you're likely to undertake as a share plans administrator. For more information about key service enhancements and changes, see [section three](#).

Choose a sub-category from the left-hand menu to continue.



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**4** Data Management

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Select a user journey:

Introduction

**Initial login and account set-up**

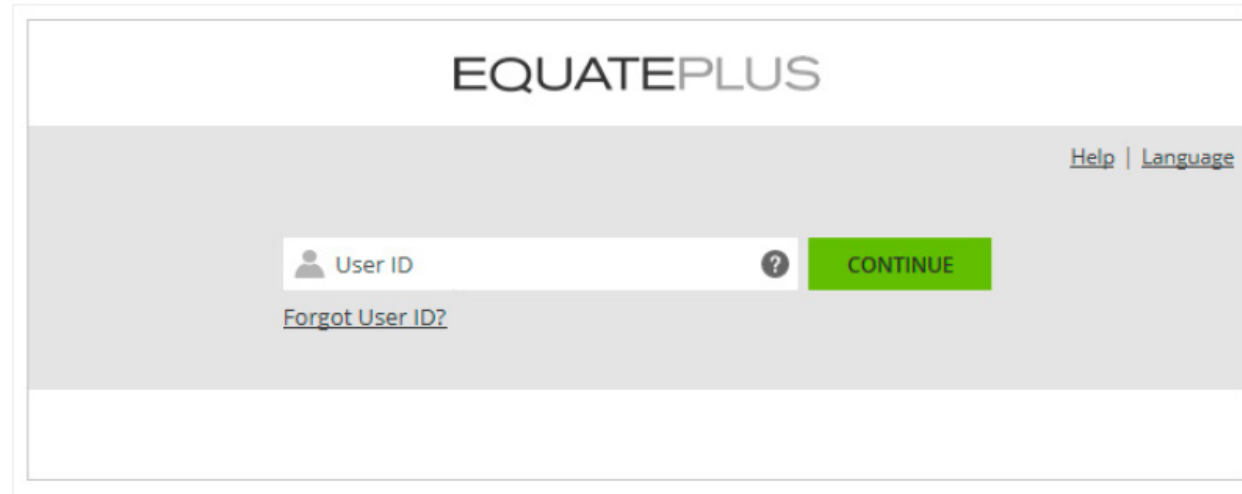
Logging in with two-factor authentication

Roles and responsibilities

Files

Reporting

## Initial Login and Account Set-up



Step 1 of 3



To log in to EquatePlus, you'll use the URL: <https://eqadmin.na.equateplus.com>.

Once you reach the above page, you'll need to enter your User ID (which you'll receive in an email from our broadcast services domain, @cpucommunications) before clicking '**CONTINUE**'.

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**2** Participant Portal

**3** Enhancements & Changes

**4** Data Management

**5** Timeline & Deliverables

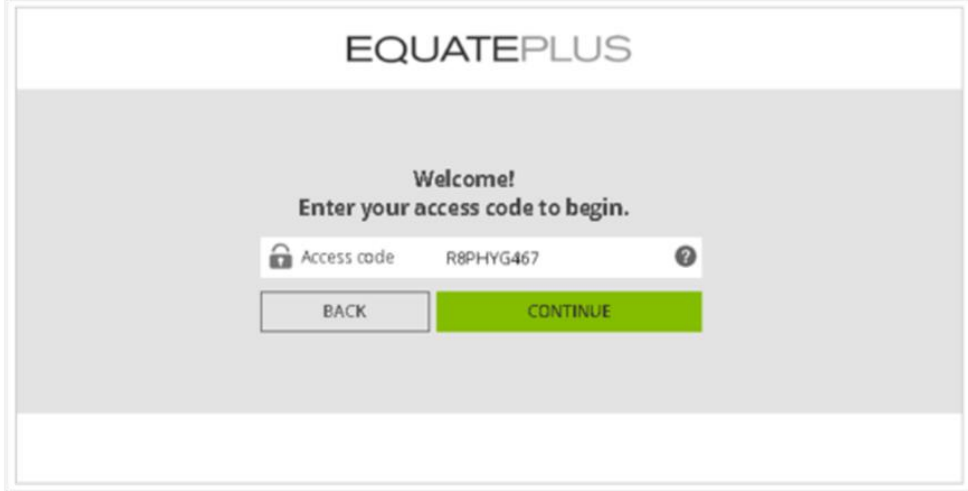
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Step 2 of 3



The login process is protected by using two-factor authentication. You will be asked to type in your access code which you will receive by email. Click on **'CONTINUE.'**

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Select a user journey:

Introduction

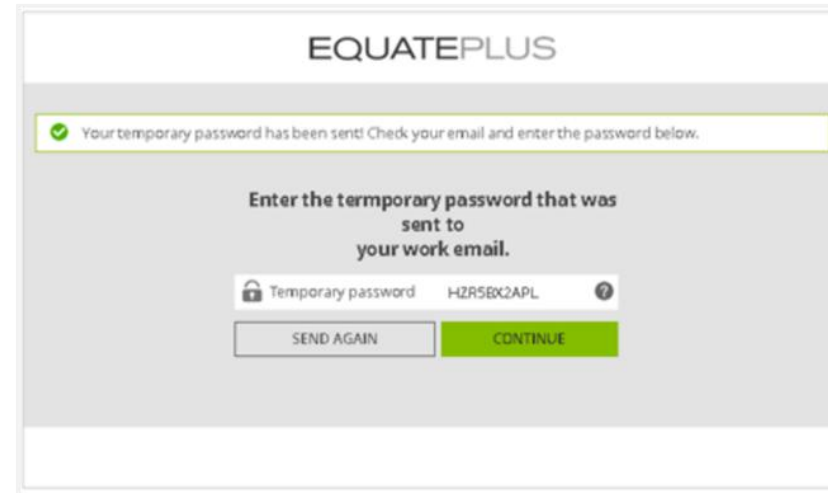
**Initial login and account set-up**

Logging in with two-factor authentication

Roles and responsibilities

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Step 3 of 3



An additional temporary password will be generated and will be automatically dispatched to your work email address so that you can complete your account set up. Enter the temporary password and click on '**CONTINUE**'. You will then be required to set up your personal EquatePlus password.

Passwords must include:

- > At least 7 characters
- > A combination of uppercase and lowercase letters
- > At least 1 number



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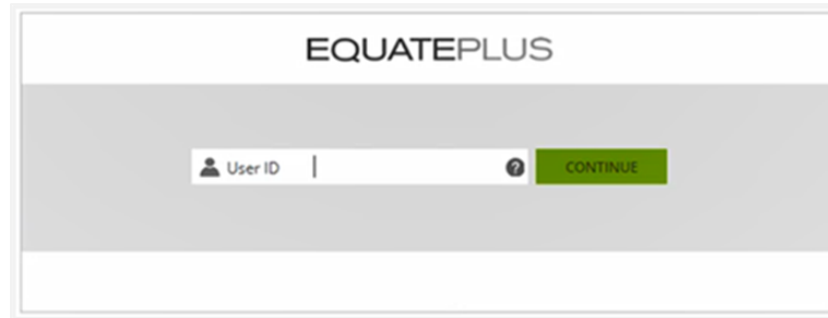
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- Select a user journey:
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### Logging in with two-factor authentication (2FA)



Step 1 of 3



Enter your User ID.

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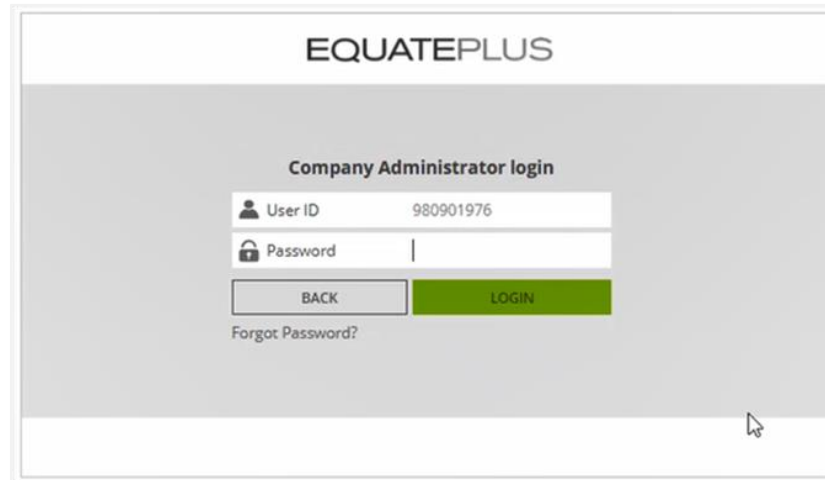
**5** Timeline & Deliverables

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Step 2 of 3

Enter your EquatePlus password.





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### Select a user journey:

Introduction

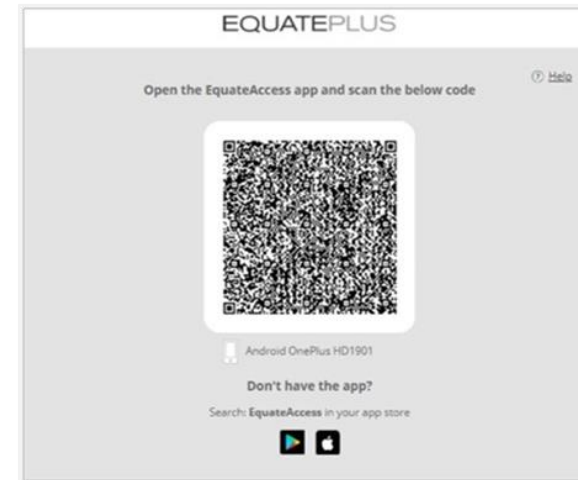
Initial login and account set-up

**Logging in with two-factor authentication**

Roles and responsibilities

Files

Reporting



### Step 3 of 3

Open your EquateAccess app on your smartphone and scan the QR code on your screen. Alternatively, enter the code sent to your mobile device.

If you've successfully logged in, you'll be taken to the EquatePlus administrator homepage.



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Select a user journey:

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### Roles and Responsibilities

There are multiple EquatePlus roles that can be enabled depending on which responsibilities and data the user should have access to.

Your upgrade team will review your current Issuer Online and/or ASAP access and provide you with the EquatePlus equivalents to review and approve.

Below is a list of the available roles and their corresponding functions or permissions on EquatePlus.

		Functions or Permissions on EquatePlus					
		Secure Data Transfer (SDT)	Participant Administration	CDI File Uploads	Participant Personal Pages	Compliance Approval	Reports
Administrator Role	CPADMIN	✓	✓	✓	✓		Wide range
	COSEC	✓			✓ (limited)	✓	Various
	RPADMIN	✓	✓	✓	✓		Various
	PAYROLL	✓					Exercise
	TREASURY	✓					Reports without participant data
	FINANCE	✓					Various
	CPU_PURCHASE	✓		✓			Exercise and purchase plans
	PYRAMID_ONLY						Financial reports only

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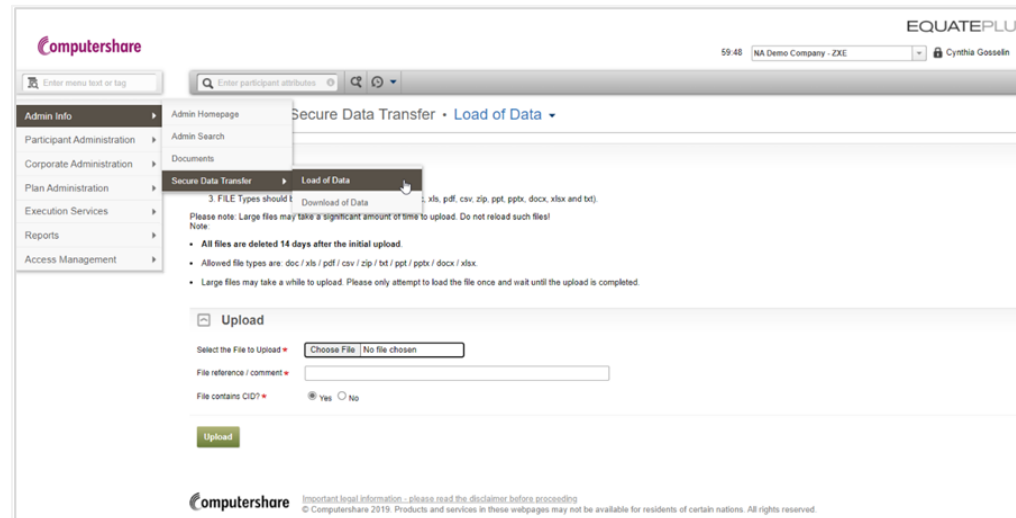
Select a user journey:

- Introduction
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- Logging in with two-factor authentication
- Roles and responsibilities
- Files**
  - Sending files using Secure Data Transfer (SDT)**
  - Receiving files using Secure Data Transfer SDT
  - Upload and maintain data using Corporate Data Interface (CDI)
- Reporting

## Sending files using Secure Data Transfer (SDT)

SDT replaces Issuer Online’s ‘FileShare’ tool and is used to securely send files or reports to your Account Manager or Relationship Manager.

The tool may also be used to send files to a group or individual within in your organization that also has access to the EquatePlus Corporate Administrator portal.



### Step 1 of 2

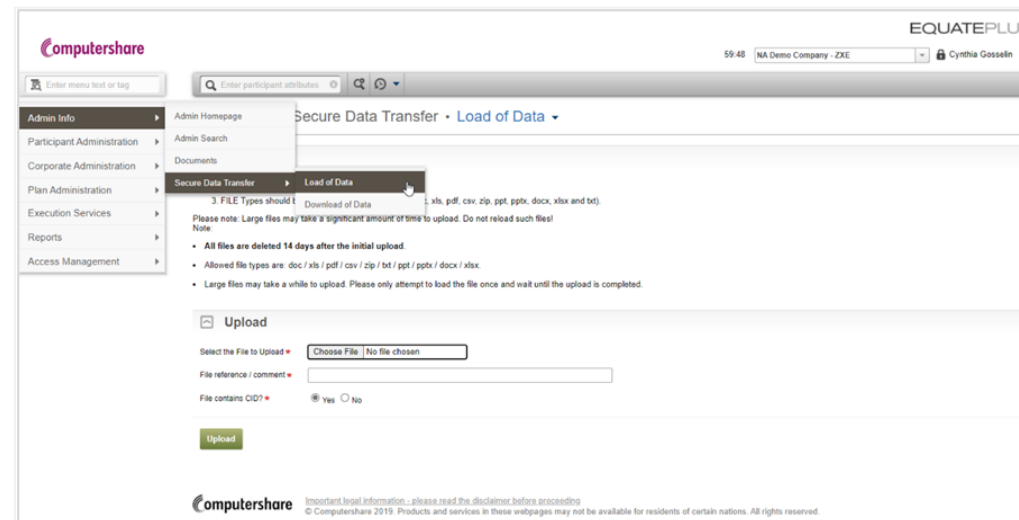
To start uploading your files to the system to be sent to your Computershare team, go to **Admin Info > Secure Data Transfer > Load of Data**, then click on **‘Choose File’** to select your file. Once you’ve chosen your file, you’ll see the file size and type appear on the page. Note: the maximum file size that can be uploaded is 100MB.

You’ll then be asked to give the file a title and select if the file contains client or participant identifying information. When you click **‘Upload,’** the system will confirm your file upload. You will then see a green bar at the top of the screen confirming that the upload has been successful.

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Select a user journey:

Introduction
Initial login and account set-up
Logging in with two-factor authentication
Roles and responsibilities
<b>Files</b>
<b>Sending files using Secure Data Transfer (SDT)</b>
Receiving files using Secure Data Transfer SDT
Upload and maintain data using Corporate Data Interface (CDI)
Reporting



Step 2 of 2



Once your file has been uploaded, you will be taken to a second upload page. Scroll to the bottom of the page and click on **'Save.'** You will then see a green bar at the top of the screen confirming that the file has saved successfully.

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Select a user journey:

- Introduction
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- Logging in with two-factor authentication
- Roles and responsibilities

**Files**

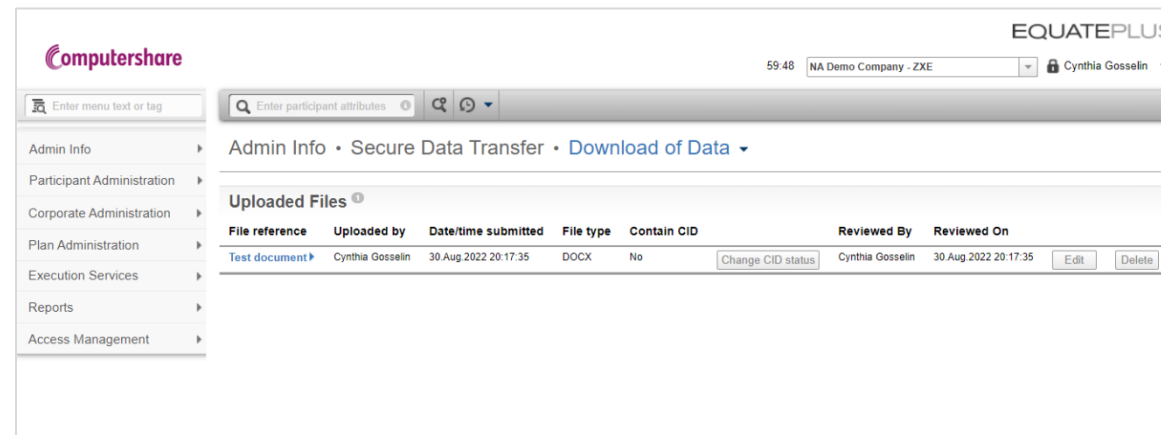
Sending files using Secure Data Transfer (SDT)

**Receiving files using Secure Data Transfer SDT**

Upload and maintain data using Corporate Data Interface (CDI)

Reporting

## Receiving files using Secure Data Transfer (SDT)



To open a data file that's been shared with you, go to **Admin Info > Secure Data Transfer > Download of Data** and click on the name of the file under the 'File reference' heading.

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Select a user journey:

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Files

- Sending files using Secure Data Transfer (SDT)
- Receiving files using Secure Data Transfer SDT
- Upload and maintain data using Corporate Data Interface (CDI)**

Reporting

## Upload and maintain data using our Corporate Data Interface (CDI)

CDI allows you to make mass updates to the participant core data in real time.

CDI Name	Excel	CSV	PSV	Description
<b>Participant data related templates</b>				
Addresses	xlsx	csv	NA	Contains address data for various address types (WORK, HOME etc.) of the participants.
Contact Information	xlsx	csv	NA	Telephone numbers, email addresses for various contact types (i.e. WORK_PHONE, HOME_EMAIL etc.).
Participant Core Data	xlsx	csv	NA	Unique Participant Local Id (the Participant Id in your company) per participant is required.
Participant Organisation	xlsx	csv	NA	Contains information about which organisation unit the participant belongs to.
Participant YTD	xlsx	csv	psv	Contains participant tax rates.
Participant Selected Data Update	xlsx	csv	NA	Contains data corrections for the participants
<b>Company data related templates</b>				
Company Payrolls	xlsx	csv	NA	Contains information about each payroll within the company.
Organisation Structures	xlsx	csv	NA	Contains organization structure information about the company.
<b>Tax related templates</b>				
Allocation Tax Rate	xlsx	csv	psv	Allocation level tax rate.
Allocation Payroll Tax Info	xlsx	csv	psv	Allocation Payroll level tax information.



Step 1 of 3

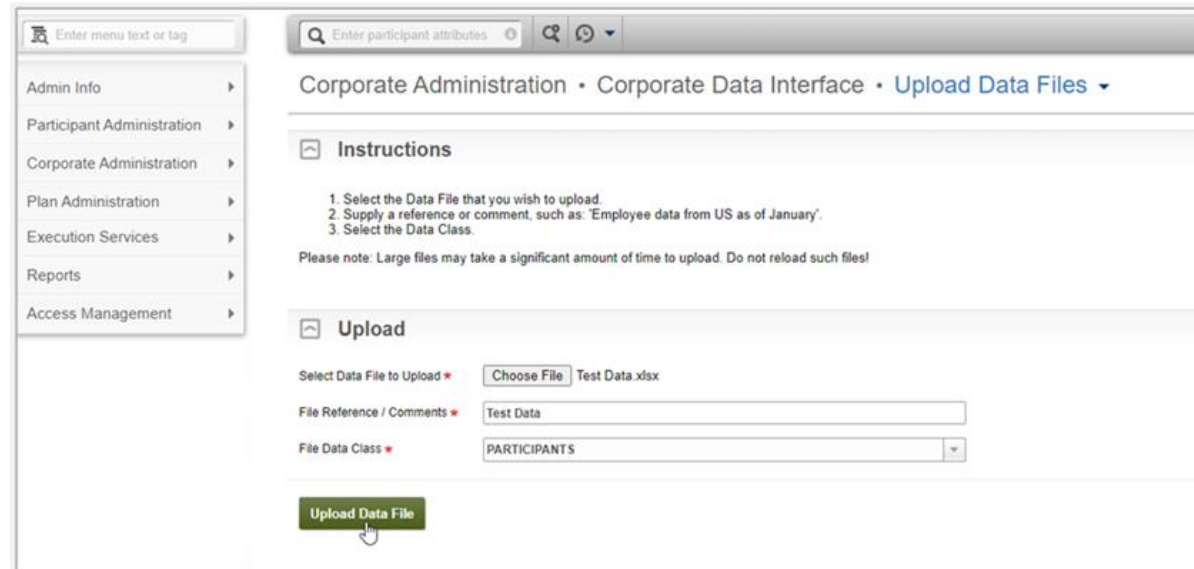


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- Upload and maintain data using Corporate Data Interface (CDI)**
- Reporting

CDI allows you to make mass updates to the participant core data in real time.



Step 2 of 3

When you've completed your data file, you're ready to upload it. Go to **Corporate Administration > Corporate Data Interface > Upload Data Files** where you can choose the file, give it a title, and use the corresponding data class you want to update. Then, click '**Upload Data File**' and the system will confirm when the upload has been successful.

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## Select a user journey:

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- Roles and responsibilities
- Files**
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- Receiving files using Secure Data Transfer SDT
- Upload and maintain data using Corporate Data Interface (CDI)**
- Reporting

CDI allows you to make mass updates to the participant core data in real time.



Step 3 of 3

You can approve and monitor data files by going to **Corporate Administration > Corporate Data Interface > Review Results / Approve Datasets**.

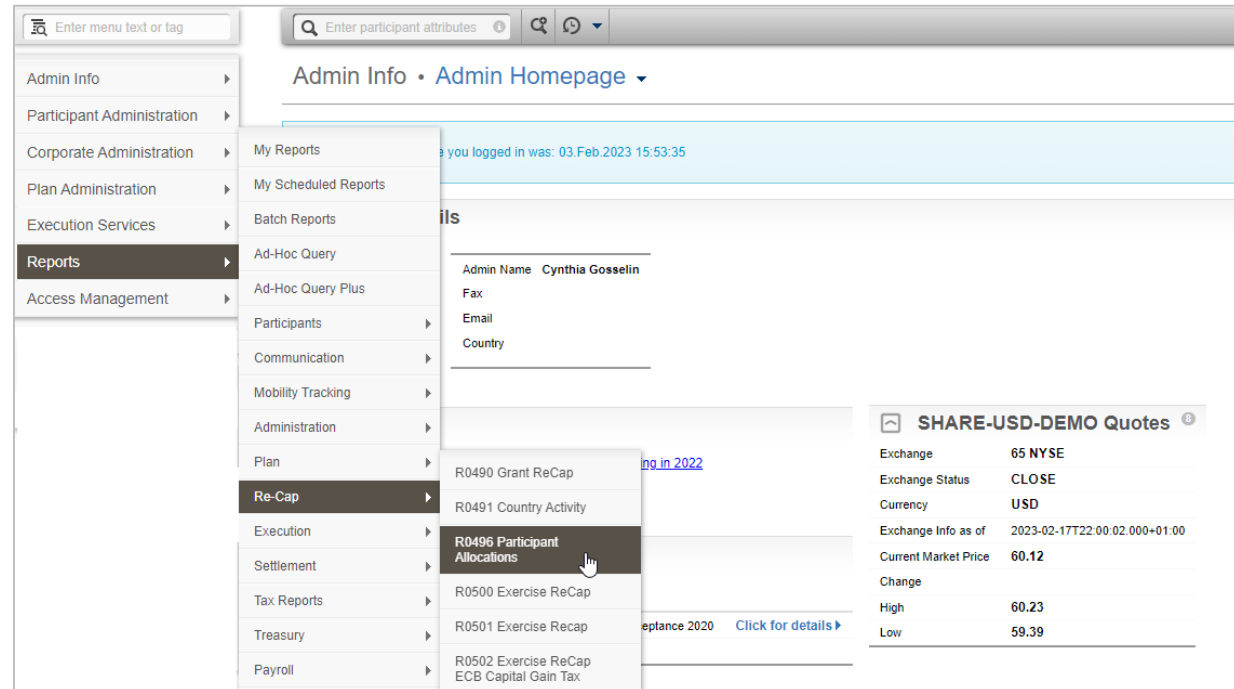
If a file has uploaded correctly, you'll see **SUCCESSFUL** in the 'Process Status' column. To maintain integrity and accuracy of your data, the file is validated upon upload. If your data file contains one or more incorrect records, the upload will fail and you'll see **ERROR**. Once your file is uploaded successfully, the data will update immediately. The only exception is for employee lifecycle changes which are usually updated once a day.



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  - Reporting**
  - Running reports**
  - Upgrade readiness

## Running reports



Step 1 of 3

EquatePlus has a selection of standard reports which you can create such as participant details, demographic, and allocation/award/grant reports. For example, to create a report for participant allocations, go to:

**Reports > Re-Cap > R0496 Participant Allocations.**



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Enter menu text or tag

Enter participant attributes

Admin Info

Participant Administration

Corporate Administration

Plan Administration

Execution Services

Reports

Access Management

Reports

Re-Cap

R0496 Participant Allocations

My Reports

My Scheduled Reports

Batch Reports

**R0496 - Participant Allocations**

This report provides the participant and grant details grouped by participant, participation and vehicle. It returns participant and grant details including vested, unvested, restricted, exercisable, outstanding, granted, exercised, forfeited, cancelled and expired quantities.

**Filters**

Organisation Type:

Organisation Level:

Organisation Level Value:

Transaction From Date DD.MM.YYYY:

Vesting To Date DD.MM.YYYY:

Booking Entity:

**Column Selectors**

<input checked="" type="checkbox"/> Column	Condition	Value(s)	Copy Value Selector
<input checked="" type="checkbox"/> PARTICIPANT ID	=	<input type="text"/>	
<input checked="" type="checkbox"/> BASE ORG UNIT	=	<input type="text"/>	
<input checked="" type="checkbox"/> LAST NAME	=	<input type="text"/>	



**Step 2 of 3**



When you land on this page, you'll notice that the report has a unique number and a brief description at the top of the page. All reports work with the same criteria which you can select to pull a very specific report. Each criterion or filter you use will equal a column in the output Excel file and you can do this using the checkboxes.

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- OUTSTANDING AT BEGIN OF PERIOD
- OUTSTANDING AT END OF PERIOD
- GRANTED DURING PERIOD
- EXERCISED DURING PERIOD
- FORFEITED DURING PERIOD
- CANCELLED DURING PERIOD
- EXPIRED DURING PERIOD
- BOOKING ENTITY
- PERFORMANCE ADJUSTMENT =
- EXPAT ALLOCATION =

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**Sorting**

First By

Then By

Then By

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**Options**

Format

Report Format

Show Row Numbers

Queue / Save

Queue Report (Batch Execution)

Step 3 of 3

Once you've selected the criteria you want to report on, click **'Create Report.'** You can save and schedule reports daily, weekly, monthly, or quarterly and an email is triggered to the administrator that the report is ready to be picked up in EquatePlus. If an administrator has a restriction to see only a certain group of employees, the reports respect this access restriction, and the output will be shortened to this group only. The suite of available reports depends on the role profile assigned to the administrator.



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  - Running reports
  - Upgrade readiness**

## Upgrade readiness

### What we need to achieve

- > Discuss our reporting strategy and approach on EquatePlus
- > Review and agree which reports are no longer required
- > Understand your reporting priorities
- > Understand how these reports are utilized within your system

### How we'll do it

- We'll hold a reporting learning session where we'll:
- > Discuss any changes and differences for most frequently run reports
  - > Demo test reports
  - > Discuss methods of report delivery

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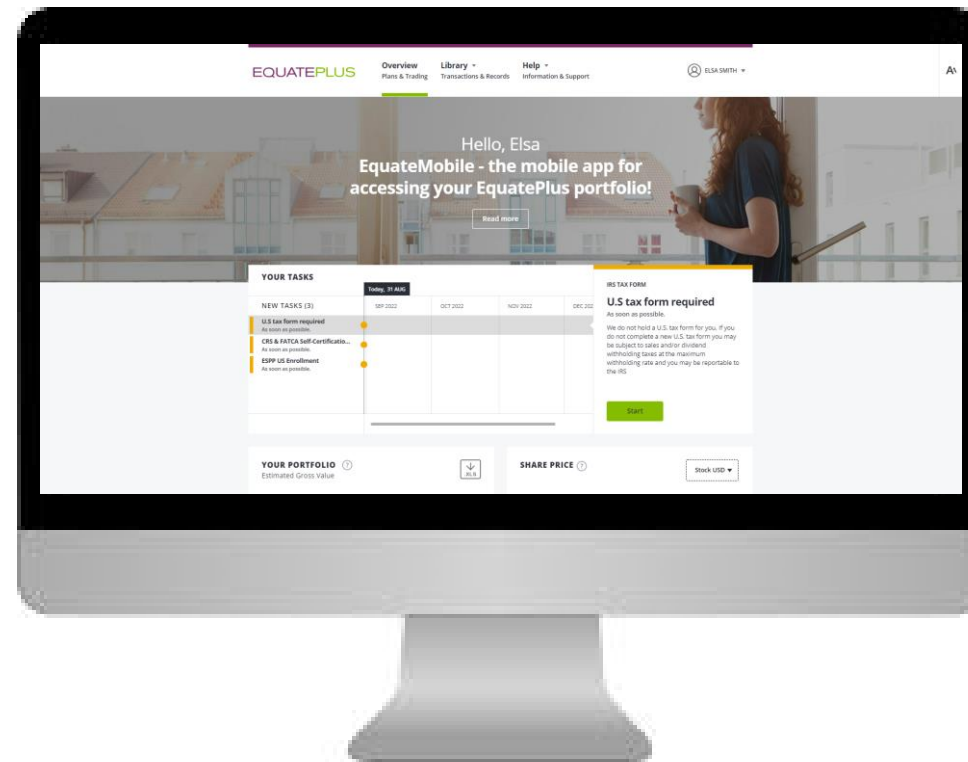
- Introduction
- Take the tour of EquatePlus

## 2 – Participant Portal

### Introduction

**Welcome to the new participant website!** The powerful capabilities of EquatePlus will not only benefit you, the administrator. Have a look at how participants can log in and navigate the portal following the upgrade.

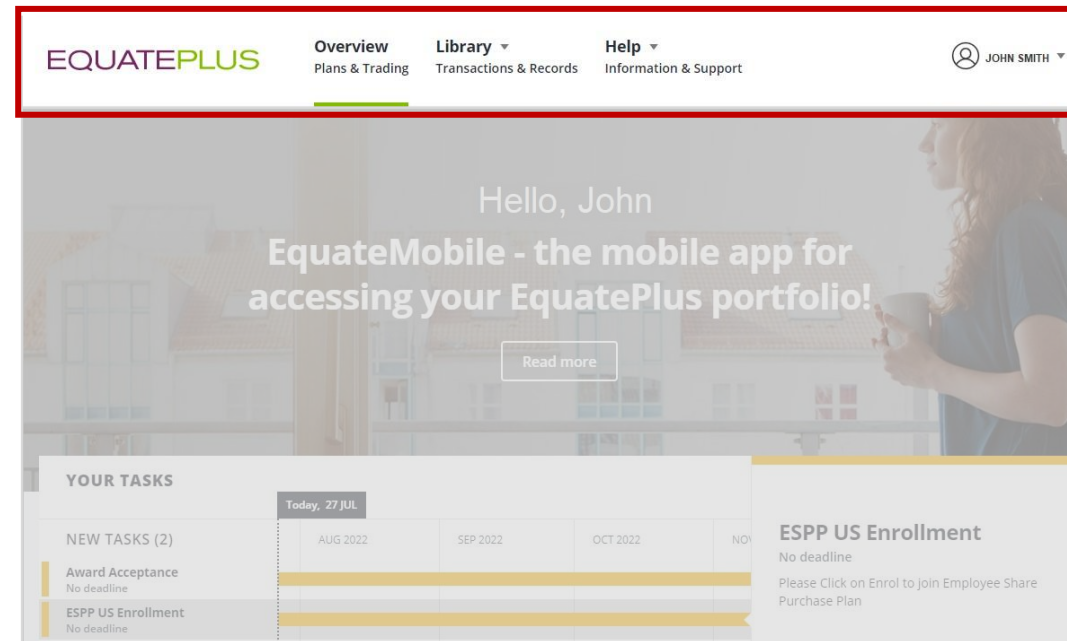
Take the tour of EquatePlus



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Take the tour
<b>Navigating the portal</b>
Initial login and account set-up
Updating personal details and preferences

## Navigating the Portal



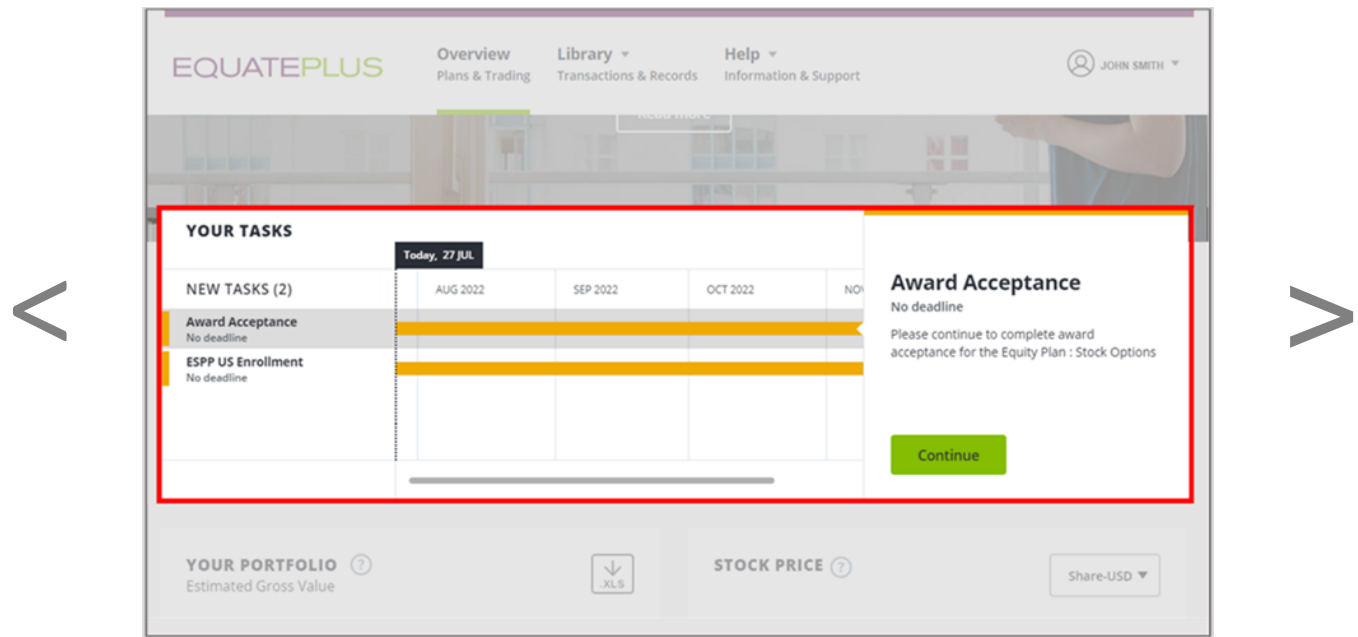
### Step 1 of 4

On the participant homepage, there is clear navigation at the top of the page which allows participants to access everything they need:

- > **Overview page** – find all plan information and see any outstanding tasks.
- > **Library page** – view plan elections, documents, agreements, and tax forms.
- > **Help page** – explore useful help and contact information.
- > **Profile** – Access your personal details, financial details, security information and personal preferences.

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- Take the tour
- Navigating the portal
- Initial login and account set-up
- Updating personal details and preferences



Step 2 of 4

In the **Your Tasks** pane, participants can see important and upcoming actions.

By selecting a task, participants can read more information about the task and see a clear call-to-action. All plan-related tasks are visually linked using the same colour.



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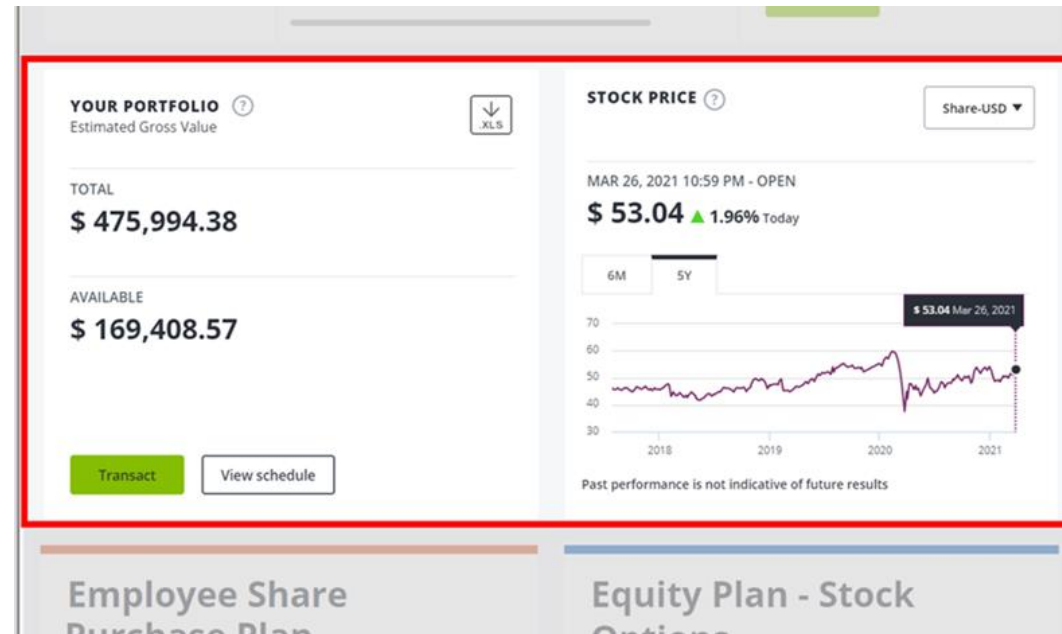
**8** Glossary & Acronym Finder

Take the tour

**Navigating the portal**

Initial login and account set-up

Updating personal details and preferences



Step 3 of 4

The intuitive portfolio overview module shows the total and available values of a participant's shares. Participants can also view the latest and historical share prices.



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### Employee Share Ownership Plan

Estimated gross value

<b>TOTAL</b>	3.960784 shares of stock	<b>\$ 333.72</b>
LOCKED	0	<b>\$ 0.00</b>
AVAILABLE	3.960784 shares of stock	<b>\$ 333.72</b>

Transact
Plan details

### Equity Plan - Stock Options

Estimated gross value

<b>TOTAL</b>	334 options	<b>\$ 12,346.93</b>
LOCKED	334 options	<b>\$ 12,346.93</b>
AVAILABLE	0	<b>\$ 0.00</b>

Transact
Plan details

Equity Plan -
Equity Plan - Restricted

Step 4 of 4

Each plan summary gives participants a clear, easy view of each plan’s total, locked and available shares. You can group similar plans together to give participants an intuitive view.

Participants can initiate a trade directly from the plan summary using the ‘Transact’ button or click on ‘Plan Details’ to view detailed information about their plan.

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**Take the tour**

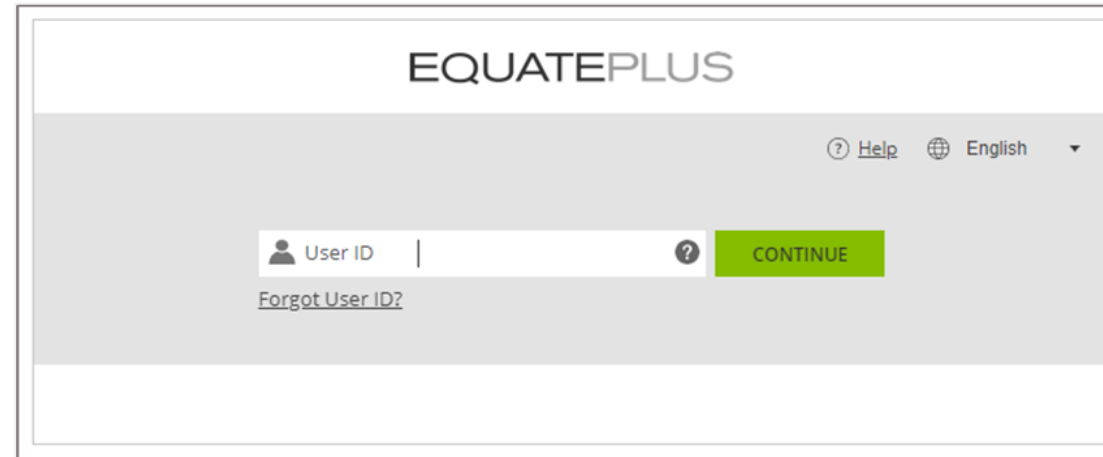
- Navigating the portal
- Initial login and account set-up**
- Initial login
- Account set-up
- Updating personal details and preferences

### Initial Login

On the day of the upgrade, participants will receive an email containing their User ID and instructions to log in to EquatePlus.

In addition, an announcement will be placed on Employee Online with a link to EquatePlus. For more information about the upgrade communications plan, [click here](#).

NOTE: If there is no email address on record, the participant will receive their User ID and a temporary password by post.



Step 1 of 5



Once participants reach the welcome screen shown in the log in journey, there will be a maximum of five steps to complete the onboarding process. The first screen is 'Preferences', where participants can select their system preferences such as the date format and preferred currency.



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### Take the tour

Navigating the portal

**Initial login and account set-up**

**Initial login**

Account set-up

Updating personal details and preferences

EQUATEPLUS

Help | Language

Please identify yourself

User ID 987955746

Email

Which email address should I enter?

Date of birth

BACK CONTINUE



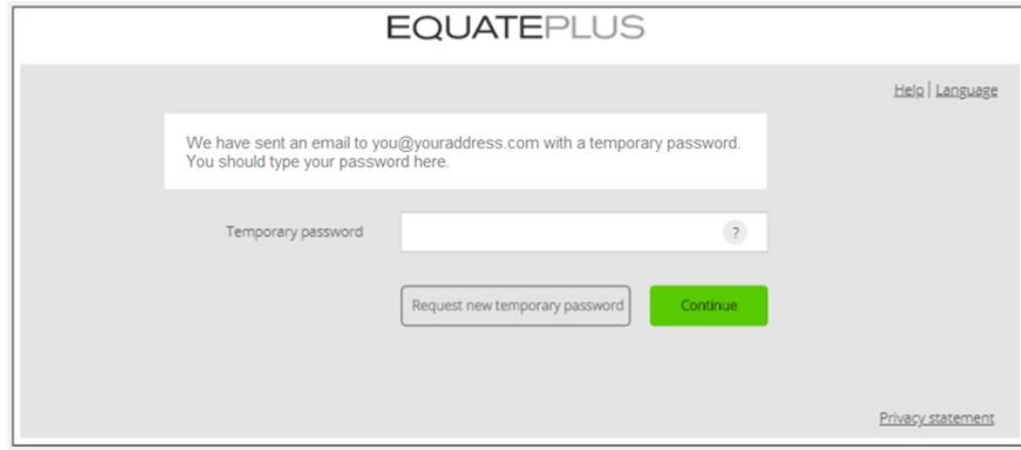
Step 2 of 5

Participants will then need to identify themselves by confirming their email address and Date of Birth (or other authentication question, as applicable). The system will send a temporary password to this email address.

NOTE: If there is no email address on record, the participant will log in using their User ID and temporary password that they received by post.

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- Take the tour
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Once participants have received and entered their temporary password, they can click '**Continue**'.

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- Take the tour
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  - Initial login
  - Account set-up
  - Updating personal details and preferences

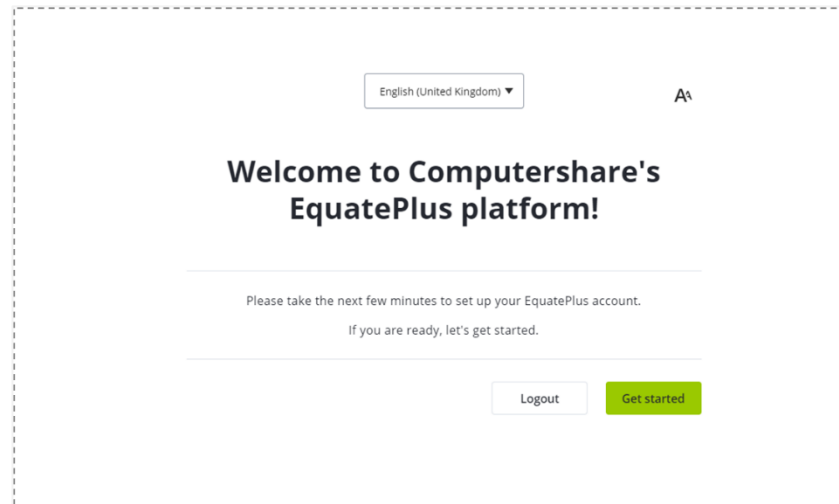


EquatePlus will then ask participants to create and confirm a personal password using the criteria indicated on the screen.



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<b>Take the tour</b>
Navigating the portal
<b>Initial login and account set-up</b>
<b>Initial login</b>
Account set-up
Updating personal details and preferences



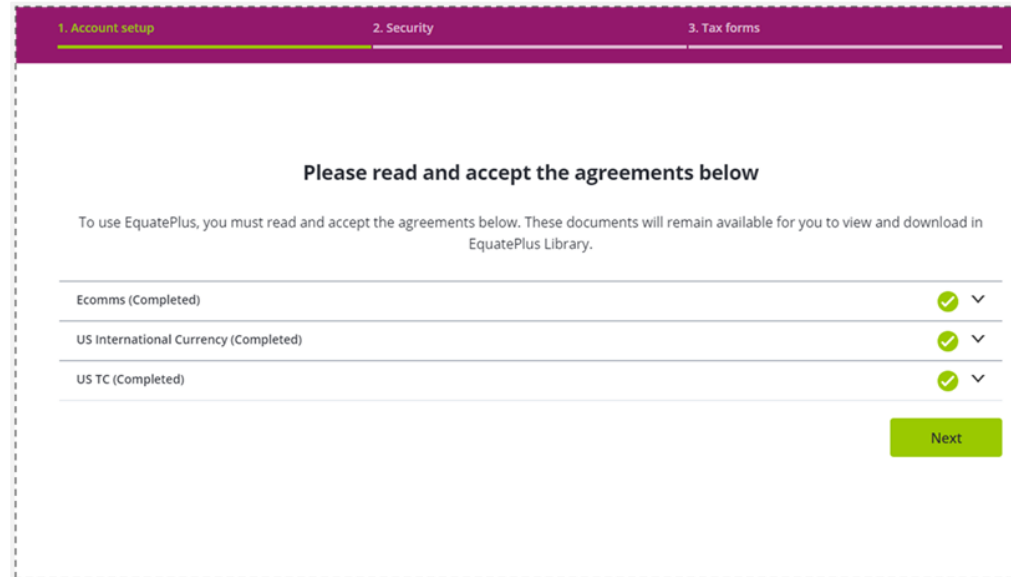
Once a password has been created, participants will be taken to a welcome screen where they'll need to start the account set-up process. See '[Account Set-Up](#)' for more information.

When the initial log in and onboarding steps have been completed, participants will only need to enter their User ID and password to log in.

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<b>Take the tour</b>
Navigating the portal
<b>Initial login and account set-up</b>
Initial login
Account set-up
Updating personal details and preferences

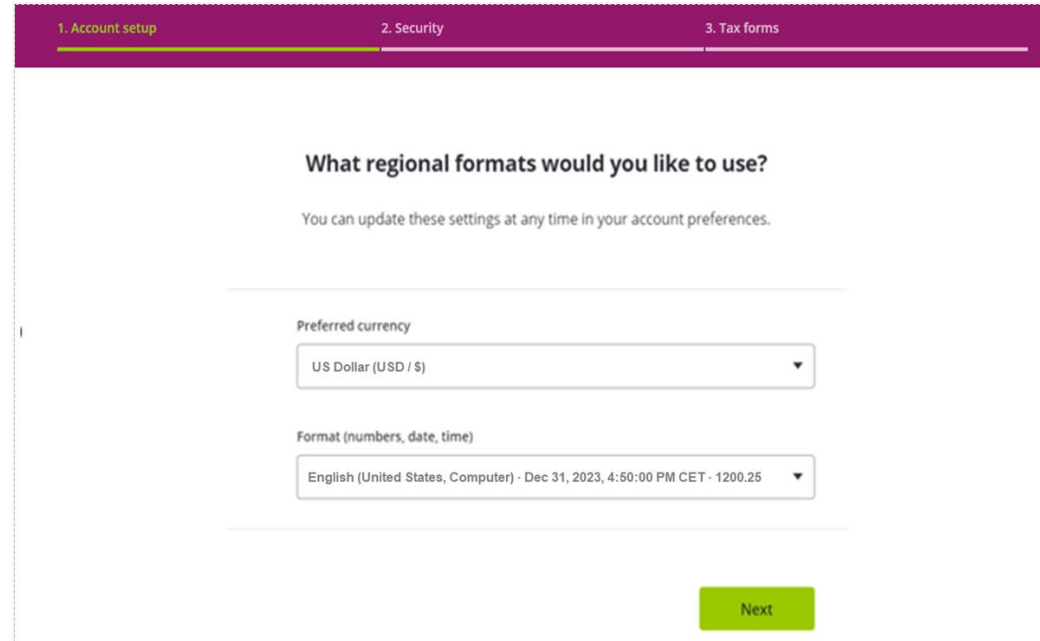
## Account set-up



The first step of the account setup process is to accept the Terms and Conditions. There are a number of agreements the participant must accept before using EquatePlus. These include, but are not limited to EquatePlus terms of use, and the account terms and conditions. For each one, the participant must select from: **Accept**, **Do not accept**, or **Not now** (if agreement is not mandatory). Please note that if the participant selects “**Do not accept**” on a mandatory agreement they will not be able to proceed with using EquatePlus.

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<b>Take the tour</b>
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Step 2 of 5



Next, participants will be asked to select their system preferences such as preferred currency, language and date, number and time format.





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<b>Account set-up</b>
Updating personal details and preferences

1. Account setup      2. Security      3. Tax forms

### Add your mobile phone

When you add your mobile phone number, we will send a code to confirm it is you. This will enable the 2-step verification features to protect your account.  
[Why is this necessary?](#)

Mobile phone number

United States

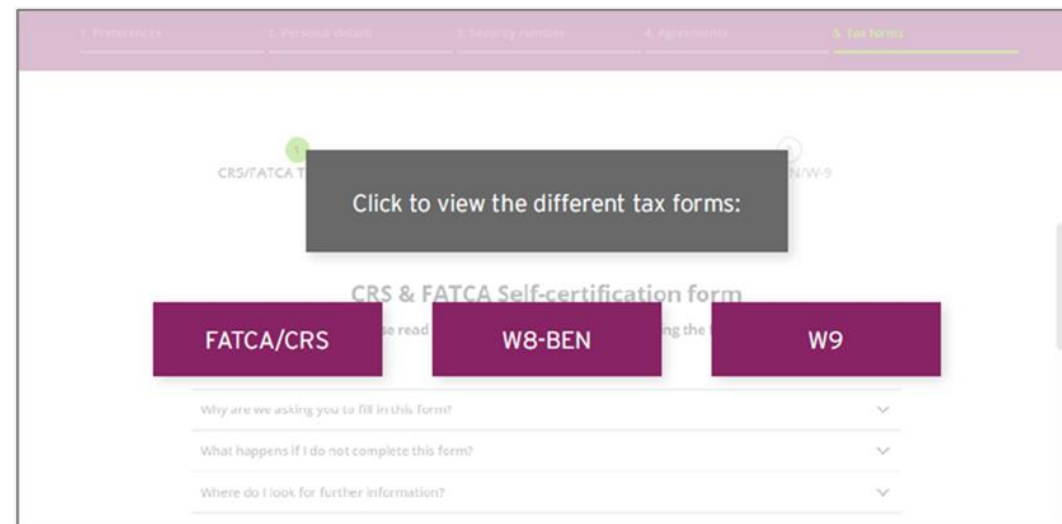
Verification codes via text message are sent through a third party communication platform, Twilio Inc. ([privacy policy](#)). Your mobile number is used only for the purpose of receiving the verification code.  
If you do not have a mobile phone number, you can still proceed after you [accept weaker security](#).

**Step 3 of 5**

Next, it's time to secure the account. Participants are asked to provide a mobile phone number so we can set-up two-factor authentication, an additional level of security on their account. If a participant does not have a mobile phone, they can continue the onboarding by clicking on a link to accept weaker security. An informational pop-up explains they will not be able to benefit from the additional security.

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The final step of the onboarding process is 'Tax forms'. All participants will be shown tax form(s) relevant to their particular situation.

There are new forms for FATCA/CRS, W8-BEN and W9. Read more about changes to tax certification [here](#).

Existing tax certification will be carried over to EquatePlus during the upgrade process. This step will not be displayed if we already hold a valid tax form for a participant. We highly recommend that you encourage all your participants to ensure that their tax certifications are up-to-date prior to the upgrade.



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<b>Take the tour</b>
Navigating the portal
<b>Initial login and account set-up</b>
Initial login
<b>Account set-up</b>
Updating personal details and preferences

1. Account setup      2. Security      3. Tax forms

★ ★ ★

**You are all set!**

You can always edit your details and preferred settings by going to your Profile page.

Done

**Step 5 of 5**

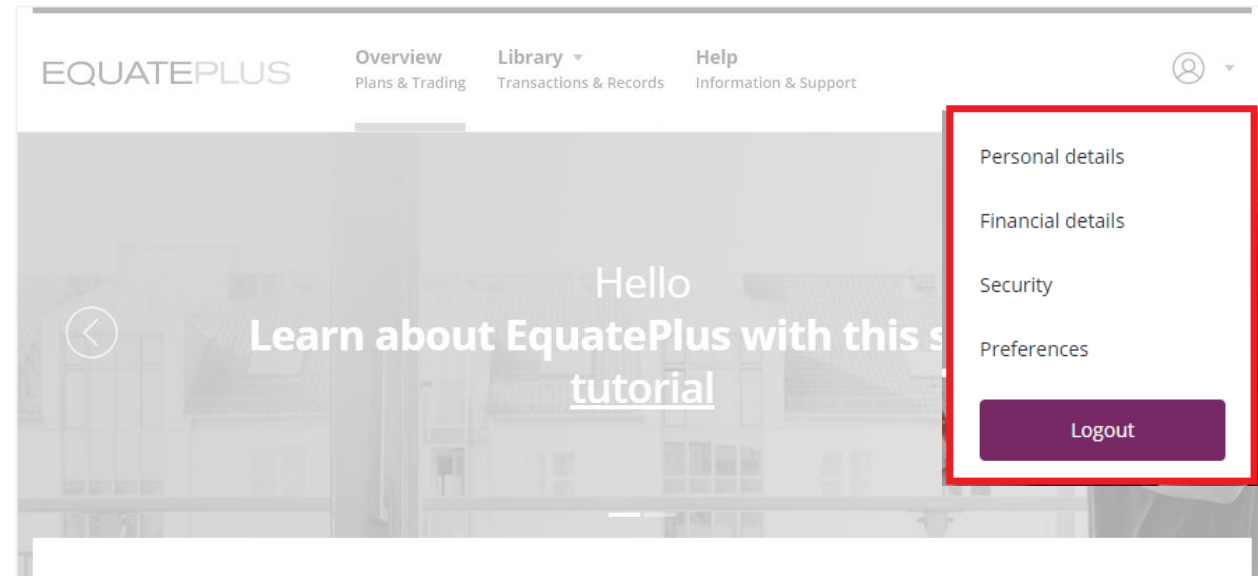
Once participants have completed the onboarding journey, they'll see a confirmation screen. They can then click on '**Done**' to proceed to their EquatePlus dashboard.

<b>1</b> Corporate Administrator Portal & Reporting	<b>2</b> Participant Portal	<b>3</b> Enhancements & Changes	<b>4</b> Data Management	<b>5</b> Timeline & Deliverables	<b>6</b> Participant Communications	<b>7</b> Solutions	<b>8</b> Glossary & Acronym Finder
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<b>Take the tour</b>
Navigating the portal
Initial login and account set-up
<b>Updating personal details and preferences</b>

## Updating personal details and preferences

If required, EquatePlus gives your participants the flexibility to update their personal information, bank details, security features and preferences.



Step 1 of 4

To update their personal information or preferences, participants will click on their profile icon and select the desired option from the list displayed.

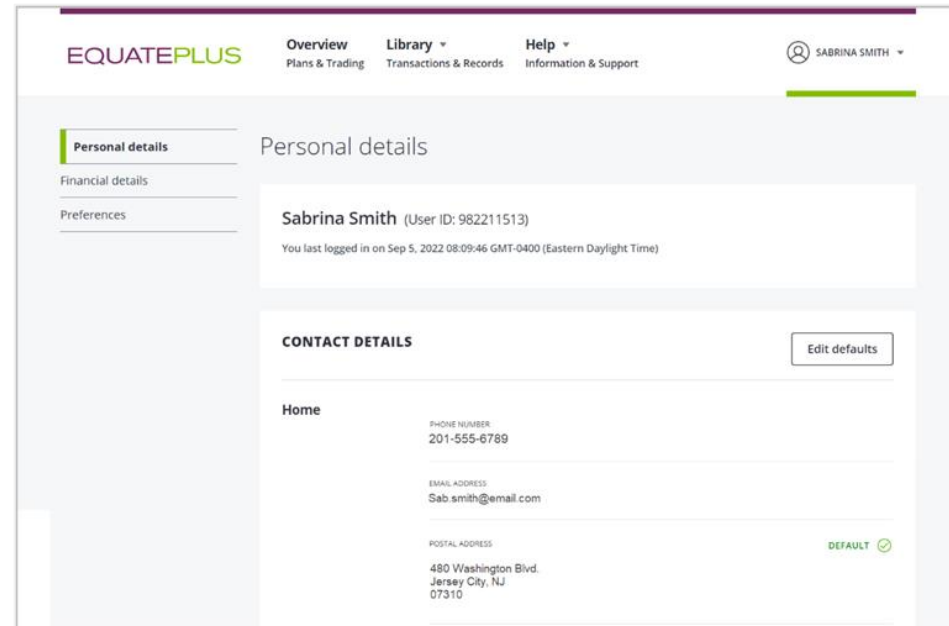
- 1 Corporate Administrator Portal & Reporting
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Step 2 of 4

By selecting '**Personal details**', participants will be able to add information such as email addresses or alternative home addresses. Participants can add more than one email address and set one as their default.



1 Corporate Administrator Portal & Reporting

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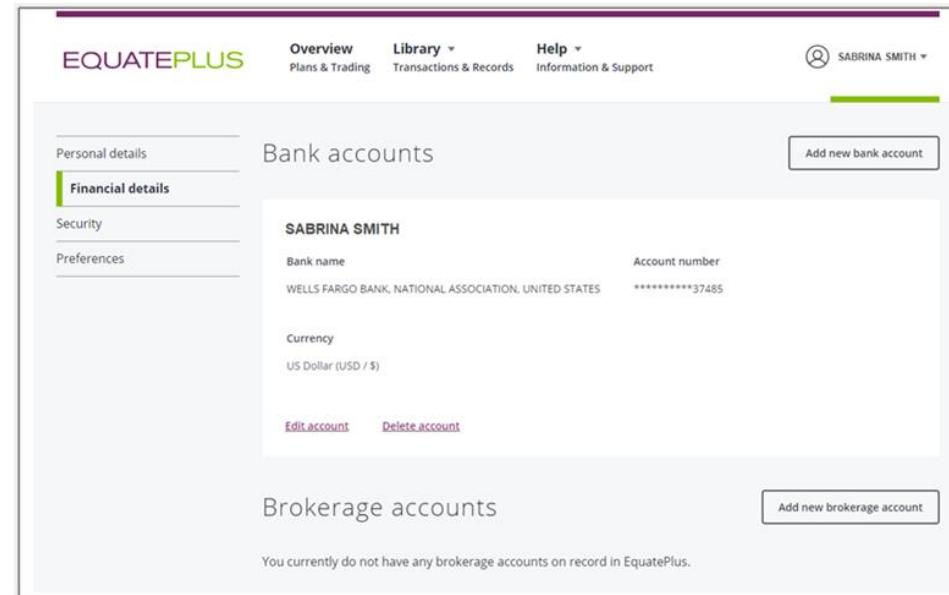
8 Glossary & Acronym Finder

### Take the tour

Navigating the portal

Initial login and account set-up

Updating personal details and preferences



### Step 3 of 4

If participants select '**Financial details**' they'll be able to add and edit their personal bank account information and their brokerage accounts.



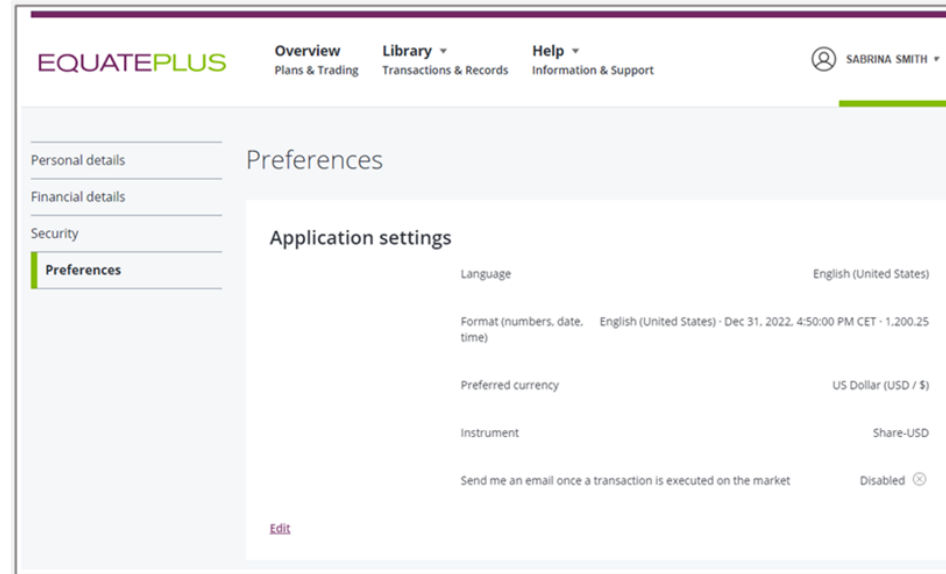
- 1 Corporate Administrator Portal & Reporting
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### Step 4 of 4

If participants select '**Preferences**' they'll be able to choose and edit their settings for language, date and time format, preferred currency, security telephone number, instrument, and market execution confirmation.



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Select an item

**Introduction**

For you

For your participants

General

## 3 – Enhancements and Changes

### Introduction

Following the upgrade to EquatePlus, you and your participants will receive a host of enhanced services to give you both more control and automation when looking after your share plans.

In this section, you can find out what service aspects are new for both you and your participants.

Choose a sub-category from the navigation menu on the left to continue.



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**2** Participant Portal

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**4** Data Management

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**For you**

**Enhanced client administration function**

File layouts

Data changes

Reporting in EquatePlus

Events management

EquateAccess

EquateService

Client Servicing Team – Roles & responsibilities

For your participants

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## For you

### Enhanced client administration function

The powerful capabilities, features and automation of EquatePlus make administering your share plans easy. As you've seen in [section one](#), you can: view file formats, download standard reports and edit your participants' details so you have the ability to self-serve when you need something urgently. What's more, you can see participants' account in EquatePlus just as they do, which is handy for quickly resolving any enquiries that may come your way.

Administrators can have different functions available to them depending on their role. There are four main role profiles available in EquatePlus: Central Plan Administrator, Regional Plan Administrator, Payroll Administrator and Treasury Administrator. You'll receive the equivalent role profiles and restrictions as you do today so the right people can access the correct information.



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## File layouts

### File layouts

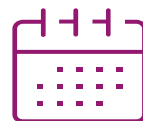
We understand that making changes to the file layouts that you use today can take lots of time and involve resources from other teams within your organization. We want your upgrade experience to be as smooth as possible so, wherever possible, we won't ask you to change your file layouts right away. We will map your existing files to EquatePlus and convert your files when you upload them.

There are many benefits to using the EquatePlus file layouts (Corporate Data Interface "CDI"), so we will work with you after the completion of the upgrade, at a time that's convenient for you, to implement those file changes.



#### Convenience:

- > To facilitate the upgrade process, we will maintain all existing file layouts, where possible, for the time being
- > No change in delivery method. You will continue to send your files via SFTP
- > We will convert the data on existing file layouts to the EquatePlus formats to ensure that all required data is maintained



#### Planning for the future:

- > As a separate project, we will work with you post-upgrade to implement the EquatePlus file layouts (CDI)

If we are not able to maintain your existing file layouts, your Relationship Manager will advise you and work with you to apply any necessary changes to your existing files in preparation for the upgrade.



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### Data changes

The database architecture within EquatePlus is structured differently than our outgoing platform.

This means although you will have access to the same data, there may be times when the field name will change, or you may need to refer to a different field altogether.

Below are some other examples. Your Relationship Manager will advise you of significant changes specific to your plan(s):

#### Discretionary plans

Subject	Before (current platform)	After (EquatePlus)
Forfeitures at termination	<ul style="list-style-type: none"> <li>&gt; When a participant is terminated, the date in the Grant Expiration Date field is changed to the forfeiture date</li> <li>&gt; The original expiration date is maintained in the 'Original Grant Expiration Date' field</li> </ul>	<ul style="list-style-type: none"> <li>&gt; Expiry date does not change</li> <li>&gt; Forfeiture date stored in Forfeiture Date field</li> </ul> <p><b>Historical data</b></p> <ul style="list-style-type: none"> <li>&gt; Historical data will be carried over to EquatePlus in the same way; the Original Expiration Date will appear in the Expiration Date field and the forfeiture date will be stored in the Forfeiture Date field</li> <li>&gt; Important to note that if comparing legacy system reports with EquatePlus reports, the data in the Expiration Date field will not be consistent. Legacy system reports will display the forfeiture date while EquatePlus reports will display the original expiration date.</li> </ul>
Termination Date for Retirements	<ul style="list-style-type: none"> <li>&gt; All termination dates, regardless of the termination reason are represented in one (1) field</li> </ul>	<ul style="list-style-type: none"> <li>&gt; In EquatePlus, in addition to the Termination Date, there is also a Retirement Date field. Data being migrated from the legacy system will only populate the Termination Date field. Therefore, the Retirement Date field will be blank on reports that you generate from EquatePlus. The date found in the Termination Date field is the Retirement date.</li> </ul>





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Select an item

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**Contributory plans**

Subject	Before (current platform)	After (EquatePlus)																																				
Name and address	<ul style="list-style-type: none"> <li>&gt; First and last name were in the same field</li> <li>&gt; The city and province or state were indicated on separate 'Address' lines (ex. Address 3, Address 4)</li> </ul> <table border="1" data-bbox="1158 686 1593 1127"> <thead> <tr> <th>Field</th> <th>Name and address block</th> </tr> </thead> <tbody> <tr> <td>Full Name</td> <td>JOHN SMITH</td> </tr> <tr> <td>Address 1</td> <td>123ELM ST.</td> </tr> <tr> <td>Address 2</td> <td>JERSEY CITY</td> </tr> <tr> <td>Address 3</td> <td>NJ</td> </tr> <tr> <td>Address 4</td> <td></td> </tr> <tr> <th>Field</th> <th>Postcode/domicile code</th> </tr> <tr> <td>POST CODE</td> <td>07030</td> </tr> </tbody> </table>	Field	Name and address block	Full Name	JOHN SMITH	Address 1	123ELM ST.	Address 2	JERSEY CITY	Address 3	NJ	Address 4		Field	Postcode/domicile code	POST CODE	07030	<ul style="list-style-type: none"> <li>&gt; First name and Last name are in separate fields</li> <li>&gt; The City and Province or State are in their own respective fields, named appropriately (i.e., Component style; City, State)</li> </ul> <table border="1" data-bbox="1892 686 2341 1127"> <thead> <tr> <th>Field</th> <th>Name and address block</th> </tr> </thead> <tbody> <tr> <td><b>FIRST NAME</b></td> <td>JOHN</td> </tr> <tr> <td><b>LAST NAME</b></td> <td>SMITH</td> </tr> <tr> <td><b>ADDRESS 1</b></td> <td>123 ELM ST.</td> </tr> <tr> <td>ADDRESS 2</td> <td></td> </tr> <tr> <td>ADDRESS 3</td> <td></td> </tr> <tr> <td><b>CITY</b></td> <td>JERSEY CITY</td> </tr> <tr> <td>STATE</td> <td>NEW JERSEY</td> </tr> <tr> <td><b>COUNTRY</b></td> <td>USA</td> </tr> <tr> <td>POSTAL CODE</td> <td>07030</td> </tr> </tbody> </table>	Field	Name and address block	<b>FIRST NAME</b>	JOHN	<b>LAST NAME</b>	SMITH	<b>ADDRESS 1</b>	123 ELM ST.	ADDRESS 2		ADDRESS 3		<b>CITY</b>	JERSEY CITY	STATE	NEW JERSEY	<b>COUNTRY</b>	USA	POSTAL CODE	07030
Field	Name and address block																																					
Full Name	JOHN SMITH																																					
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<b>1</b> Corporate Administrator Portal & Reporting	<b>2</b> Participant Portal	<b>3</b> Enhancements & Changes	<b>4</b> Data Management	<b>5</b> Timeline & Deliverables	<b>6</b> Participant Communications	<b>7</b> Solutions	<b>8</b> Glossary & Acronym Finder
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## Reporting in EquatePlus

### Reporting

EquatePlus features a built-in online reporting engine. This drives a full range of reports to support the smooth management of your plans. This includes suites of reports to meet the needs of HR/Comp, Payroll, Treasury & Accounting. EquatePlus supports yearly reporting requirements for financial reporting, tax reporting as well as reporting over the lifetime of a participant or grant, including audit trails on transactions.

All reports can be:

<b>Restricted to authorized users</b>	<b>Filtered</b>	<b>Saved to csv/Excel formats</b>	<b>Scheduled</b>	<b>Run as a batch</b>	<b>Shared securely</b>

Rather than needing us to send reports to you, you will now be able to access your reports at any time by simply logging in to the platform.





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Select an item

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  - File layouts
  - Data changes
  - Reporting in EquatePlus**
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**Report categories**

Administrators can access more than 40 standard reports to serve the varied needs of HR/Compensation, Payroll and Accounting.

<b>Participants</b> <ul style="list-style-type: none"> <li>&gt; Employee details</li> <li>&gt; Outstanding awards</li> <li>&gt; Accepted awards</li> <li>&gt; Accounts</li> <li>&gt; Status</li> <li>&gt; Plan summaries</li> <li>&gt; Elections</li> </ul>	<b>Administrations</b> <ul style="list-style-type: none"> <li>&gt; Web use</li> <li>&gt; Tax forms</li> <li>&gt; Forfeitures</li> <li>&gt; Pending charges</li> <li>&gt; Bank accounts</li> </ul>	<b>Mobility</b> <ul style="list-style-type: none"> <li>&gt; Demographics</li> <li>Demographics &amp; awards</li> </ul>
<b>Treasury</b> <ul style="list-style-type: none"> <li>&gt; Exposure summary</li> <li>&gt; Outstanding</li> <li>&gt; Monthly recharge</li> <li>&gt; Exposure</li> <li>&gt; Transaction details</li> </ul>	<b>Tax</b> <ul style="list-style-type: none"> <li>&gt; Tax elections</li> <li>&gt; Multiple tax rates</li> <li>&gt; YTD totals</li> <li>&gt; Special tax handling</li> </ul>	<p><b>Comprehensive selection</b></p>
<b>Transactions</b> <ul style="list-style-type: none"> <li>&gt; Daily transactions</li> <li>&gt; Blackout cancellations</li> <li>&gt; Outstanding payments</li> <li>&gt; Transaction summary</li> <li>&gt; Pending transactions</li> </ul>	<b>Payroll</b> <ul style="list-style-type: none"> <li>&gt; Transaction details</li> <li>&gt; Payments</li> <li>&gt; Dividends</li> </ul>	<p><b>Customized &amp; scheduled</b></p>
		<p><b>Location specific</b></p>

**What's changing?**

As we noted in the [‘Data changes’](#) section, there are differences in the data architecture and data field naming conventions for EquatePlus which means changes to your reports. You may need fewer reports to deliver the same data and in some cases, you may need a combination of reports where you previously only used one. As well, the order of the columns and/or the labelling of some data fields may be different. We recognize that there will be various stakeholders within your organization dependent on accurate, timely reporting and that any changes must be managed effectively and smoothly. We'll ensure that you are fully supported through any changes.





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**3** Enhancements & Changes

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**Financial reporting**

Our financial reporting service, EquatePyramid, is the market leading extensive solution for accounting and financial reporting with multi-GAAP support, including compliance with IFRS and US GAAP.

You may already be using Computershare’s current financial reporting tool, GEMS<sup>pm</sup>. If so, we’ll upgrade you to EquatePyramid at an agreed upon time after you’ve upgraded to EquatePlus.

In the interim, data will be fed from EquatePlus to GEMS<sup>pm</sup> to ensure that there is no interruption to your financial reporting.

If you’re not currently using our financial reporting solution and would like more information, please reach out to your Relationship Manager.

[Click here](#) for more information about EquatePyramid.





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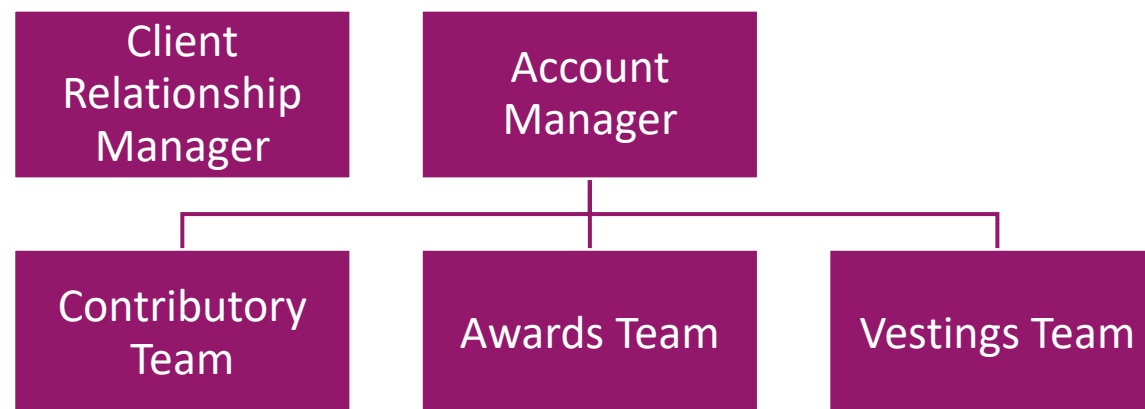
### Events management

The upgrade will not require you to change the way in which you work with us to manage your events. However, depending on your plans and the way in which you share data with us, there are opportunities to configure EquatePlus to make some events easier to manage, requiring less of your time.

There may be changes to data and reporting in relation to your events. Please see the appropriate sections within this document for details.

### How we interact with you

We have reviewed our organizational structure and will be making some changes to better service our clients. We are building three key teams who will specialize in contributory plans, awards and vestings respectively. This could mean changes to the people managing your events; however, we aim to deliver a higher quality service to you through driving more consistency and best practice in our approach to preparing and executing events. The Operational Plan Manager role is also evolving. Your Account Manager is your day-to-day contact with the responsibility for aligning and coordinating all activity in support of your plans.





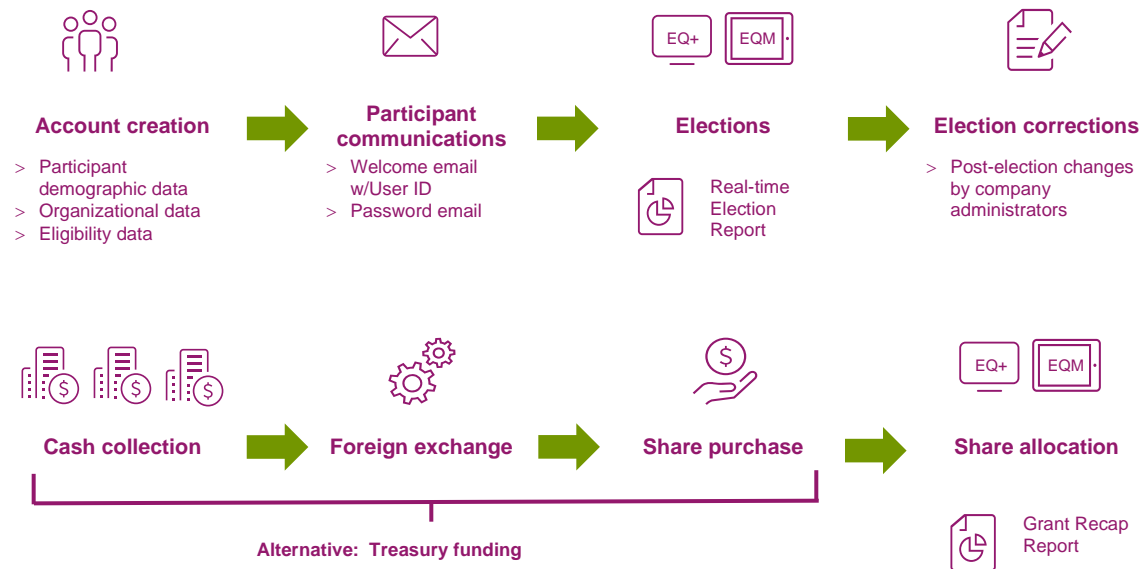
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### Contributory plans

The diagram below illustrates a high-level flow of the core process for how a share purchase plan will work following your upgrade. You will see that this is very similar to how it is managed today.

EquatePlus presents opportunities to streamline eligibility and invitation. This is driven by a key difference, in that EquatePlus will create participant accounts in the system before an election is opened. Therefore, providing we have up to date 'Employee Core Data', rather than sending us an eligibility file for each invitation, you can simply tell us the eligibility criteria.





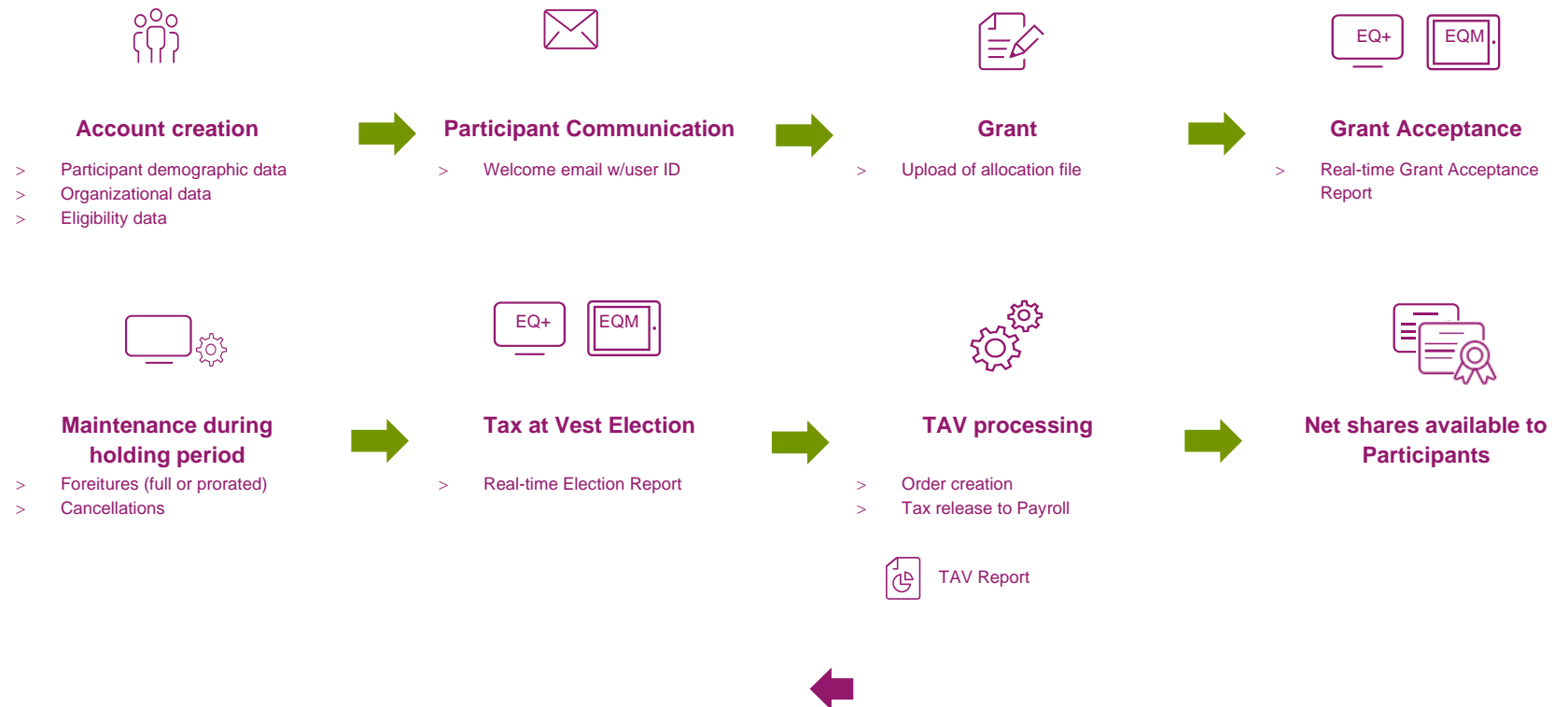
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## Discretionary plans

The diagram below illustrates a high-level flow of the core process for how a discretionary plan will work following your upgrade. Again, you will see that this is very similar to how it is managed today.

The key change to note here is that when we run a Grant event with you, we will also configure the vesting schedule with you as part of the same project. This means that the project at time of vest is significantly simplified, as we will simply be focused on the taxation element.



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## EquateAccess

When you log in to EquatePlus as an administrator you'll need to log in with two-factor authentication\* using our EquateAccess authentication app on your smartphone. This added security will give you the peace of mind that your data is being accessed only by those authorized to do so. EquateAccess can be downloaded from 'App Store' and 'Google Play'.

EquateAccess simplifies your EquatePlus login and protects your account by providing MFA for an additional level of security.

Using the EquateAccess app is simple, just open the app and scan the QR code presented to you on EquatePlus. A second layer of security is provided by using your PIN or biometric.



**1 Log in to EquatePlus**  
The user enters in their credentials



**2 QR code shown on screen**  
The user scans QR code with EquateAccess



**3 Authenticate on EquateAccess**  
Users enter PIN code or biometric to authenticate themselves on the app



**4 Cryptographic challenge**  
EquateAccess signs the cryptographic challenge and submits to EquatePlus



**5 EquatePlus verifies**  
Checking the received message with the public key and granting access to your account

\* not applicable if logging in with Single Sign-On (SSO)

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## EquateService

Our new online tool to streamline client requests and improve your customer experience.

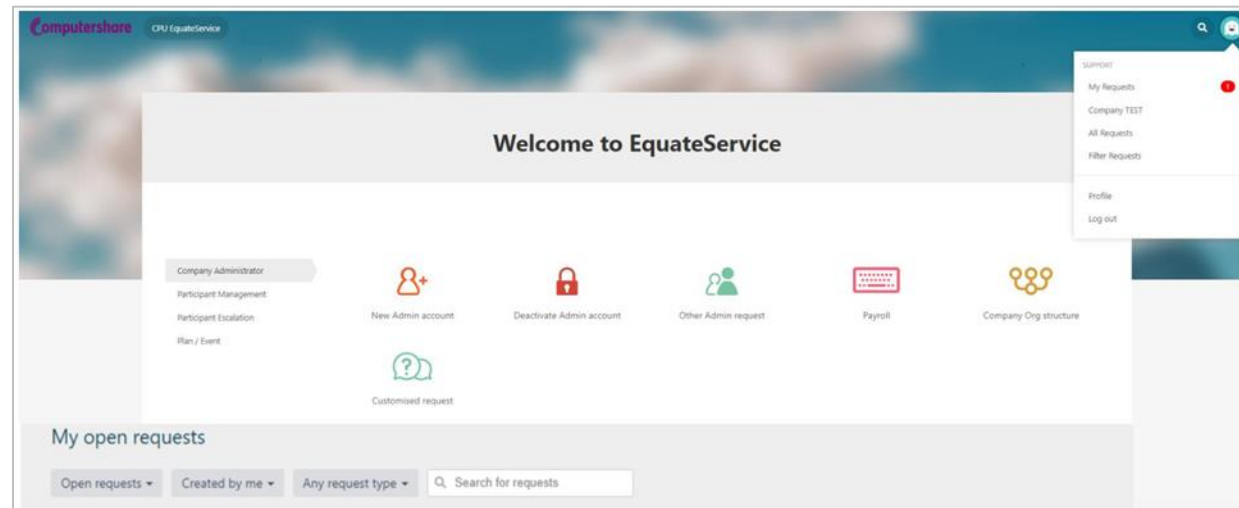
### Quicker answers made easy

We constantly strive to deliver the best possible service to our clients and their plan participants. As part of our wider digital transformation, we are launching a new service to streamline your requests and address your needs more efficiently.

Our new service will ensure your requests are routed directly to the right person, speeding up response times to you.

### What is it?

EquateService is an issue tracking tool using Jira technology to manage client requests.



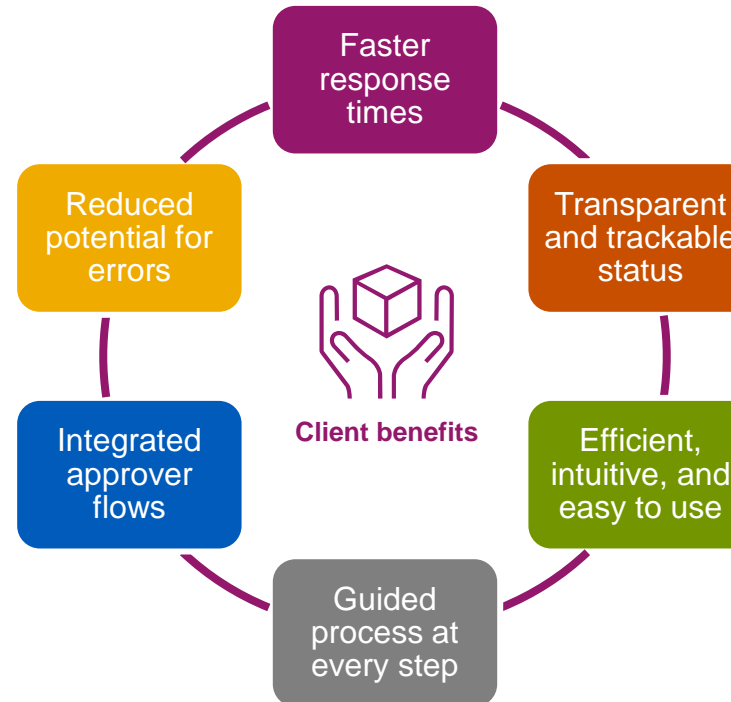


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**How does it work?**

The EquateService portal guides you through any information requirements based on the type of requestor query and includes a useful client approval workflow. Requests/queries can be tracked and edited online at any time, significantly reducing email communications, and making the whole process more efficient and convenient.



The process is designed to be straightforward and reflects best practices for online service desks. It complies with all required data protection regulations and banking standards.





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### Client servicing team – roles and responsibilities

- | Account Management Team  |
|--|
| <ul style="list-style-type: none"> <li>&gt; Full oversight of all operational activities</li> <li>&gt; Operational co-ordination, remediation, and solution design</li> <li>&gt; Reporting queries</li> <li>&gt; Co-ordinator of key client events and operational initiatives</li> <li>&gt; Proxy File event operational lead</li> <li>&gt; Key performance indicator coordination</li> <li>&gt; Administrator Access control</li> <li>&gt; Corporate client initiated participant queries</li> </ul> |

- | Relationship Management Team  |
|---|
| <ul style="list-style-type: none"> <li>&gt; Full oversight of all relationship activities                             <ul style="list-style-type: none"> <li>o Contracts</li> <li>o Fee agreements</li> <li>o New plans, products</li> <li>o Communications initiatives</li> <li>o Strategic projects</li> <li>o Build relationships and connect the organizations</li> </ul> </li> <li>&gt; Liaison between business lines within Computershare</li> <li>&gt; Share best practice and experience</li> <li>&gt; Thought leader and trusted partner</li> </ul> |



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## For your participants

### Enhanced website experience

All participants will have a new account created for them on EquatePlus. As they'll no longer be using Employee Online, we'll place a message on the log in screen to take them to the right place. They'll have access to all the same information, but the overall experience will be vastly more intuitive.

Some of the features that participants will see include:

- > A **new URL**; [www.equateplus.com](http://www.equateplus.com).
- > A **new log in** and onboarding process. See '[Log in](#)' in section two.
- > **Increased security.** Two-factor authentication, where we send participants a code via SMS to their mobile phone, allowing them to reset their password online and manage their bank account details securely without having to call our contact center. If a participant doesn't have a mobile phone, they'll still be able to access the site as normal. This additional level of security can be enabled on transactions as well.
- > **Fast Call Handling.** With the Caller Identification Code feature, participants can generate a code while logged in to EquatePlus to skip the authentication process when they call us, and have their questions answered faster.
- > **Customizable profile preferences.** Participants can modify their language preferences, time zones, currency, and security preferences.
- > **'Your Tasks'.** All upcoming tasks are clearly displayed on the homepage - never miss an action again.
- > **Documents Library.** Contains all statements and advice notes generated for participants by EquatePlus/Computershare. Allows you to publish company specific or plan related documentation (e.g.: plan rules document) and can be grouped by year and filtered by document type, plan, and publication year. Also available within EquateMobile.
- > **Help section.** Full bank of FAQs and tutorial videos making it easy to get the help they need.

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### Digital-first payment options

Although checks will still be made available where a participant has no bank account information on file, as part of our digital transformation, electronic payments are preferred and encouraged. This reflects the rapid fall in demand for checks, which for many have become extremely unattractive due to the risk of loss, the inconvenience and potential cost associated with cashing them. It is also best practice in the share plans industry and is already common in Europe.

Where a participant has not provided bank details, they'll have a clear action in the **'Your Tasks'** section of the homepage. They'll also be prompted to enter bank details before completing any transaction.







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## Languages

EquatePlus is available in multiple languages. If you already have additional languages set up for Employee Online, those languages will automatically be carried over to EquatePlus, under the same terms and conditions. If you are interested in adding additional languages, please reach out to your Relationship Manager.

PARTICIPANT PORTAL & COMMUNICATIONS					
Language	AVAILABILITY				
	EquatePlus Web Interface	Email Communications	EquateMobile	Statements / formatted output	
Included	English	✓	✓	✓	✓
	French	✓	✓	✓	✓
	Spanish	✓	✓	✓	✓
Extended Languages (\$)	Arabic	✓	✓		
	Chinese (Simplified)	✓	✓	✓	✓* (not all statements are currently supported)
	Chinese (Traditional)	✓	✓		
	Czech	✓	✓		
	Danish	✓	✓		
	Dutch	✓	✓	✓* (no push notifications)	✓
	German	✓	✓	✓	✓
	Hebrew	✓	✓		
	Indonesian	✓	✓		
	Italian	✓	✓	✓	✓
	Japanese	✓	✓		
	Korean	✓	✓		
	Polish	✓	✓		
	Portuguese	✓	✓	✓* (no push notifications)	✓
	Russian	✓	✓		
Swedish	✓	✓			
Turkish	✓	✓			



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## Customer service improvements

### Online HelpChat

- > Direct access via participant portal
- > Open a web chat with a real person and engage with them about their share plans
- > HelpChat is available in English and French

### Fast call handling with Caller Identification Code

- > Seamless experience when calling our team while logged on to the participant portal
- > Participants can generate a one-time code from their account to skip the authentication process and have their questions answered faster

### Dynamic knowledge database

- > Contact center agents have access to a dynamic knowledge base which allows them to find the most relevant content for the questions they are being asked



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### Tax certification

As part of the upgrade, we are investing in improvements to the way we approach tax certification. These changes are driven by our goals to improve the user experience and ensure compliance with the latest guidance from, and expectations of, international tax authorities in relation to the Foreign Account Tax Compliance Act (FATCA) and Common Reporting Standard (CRS).

Tax certification is integrated within EquatePlus as part of the participant onboarding process giving a much more improved user experience. If participants already have a valid tax form on file, it will be loaded onto EquatePlus, so they don't have to certify again. See the ['Account Set-Up'](#) journey in section two to understand the user experience.





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### Limit order tracking

Your participants will still be able to trade in real-time, but they'll also have the ability to set a target price and pick a 'Good-until-Date' to sell shares so they can have more control over their shares.

The limit order duration will use a 'good until date' up to the maximum limit each exchange offers. For example, if an exchange has a maximum 'good until date' of 90 days, a participant will be unable to enter an effective date that would exceed this.

**STOCK USD**  
 Straight Through Order - Shares ESPP  
 Market Price \$76.29 as of July 28, 2022 9:32am (NEW YORK STOCK EXCHANGE (NYSE))

Sell at market price
Sell with price limit

Limit price

Good-till-date

---

Available quantity

81.681

➔

Order quantity



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### Enhanced security in communications

Participants will continue to receive security notifications when certain updates are made to their account. These notifications will always be via email and all participants' personal data on the web portal will be anonymized when they don't log in using one of the following methods:

- > Single Sign On (SSO)
- > Two-factor authentication





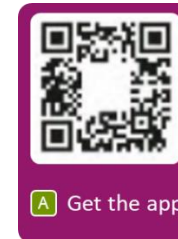
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## EquateMobile

Today, 8 out of 10 people access the web on multiple devices; increasingly, mobile first. Now your participants can keep up to date with their portfolio, enter trades, and never miss plan related events or opportunities again – all from their smartphone.

Plan participants can download the app in the 'Apple Store' and in 'Google Play' and access their account with their EquatePlus login details.



Download our mobile app





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**EquateMobile features**

Portfolio	Ease of Use
> Real-time portfolio values	> Saving multiple user accounts
> Powerful charts	> Biometrics (Fingerprint and Face ID)
> Breakdown of portfolio and plan values	> State of the art security
> Overview of vesting, grants, and other plan related events	> Bank and brokerage account maintenance
> Document library	> Available in multiple languages (additional charges may apply)
> Push notifications (not available in all languages)	> Access to our Contact Center
> Customized elections	> Trading and pending transactions management
> Tax at Vest elections	
> Purchase plan elections (aka enrolments)	



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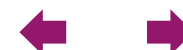
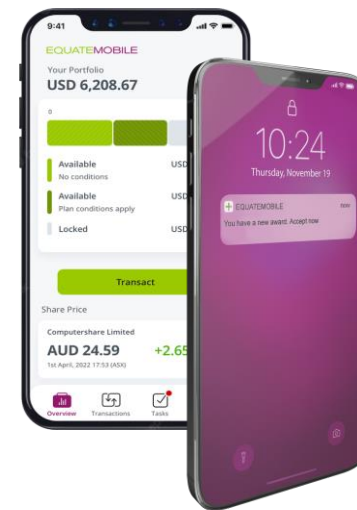
### Push notifications & SMS

A push notification is an automated message sent by the mobile app to a user when the app is not open. EquateMobile must be installed on the target device but does not have to be running to receive such messages. However, the user should initially allow the device to receive push notifications sent for EquateMobile.

The push notifications are sent to all registered devices of the targeted users at the specified time. Acting on the message will start EquateMobile and after authentication, open the page linked with the message.

With the addition of EquateMobile and the ability to receive push notifications, SMS text messaging will no longer be used for certain account transactions and/or tasks. SMS text will only be used for two-factor authentication.

Push notifications are not yet available in Dutch or Portuguese.

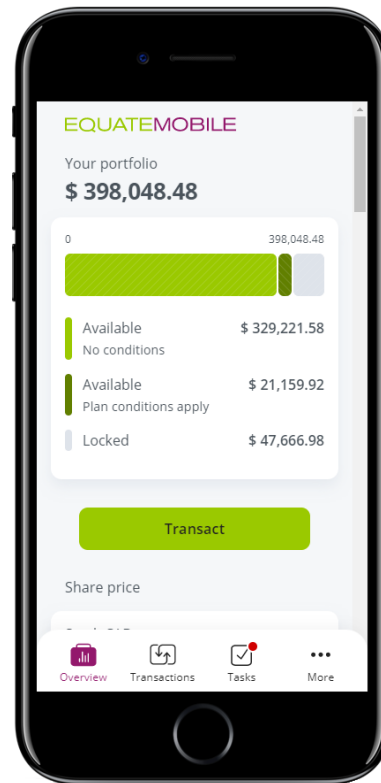




<b>1</b> Corporate Administrator Portal & Reporting	<b>2</b> Participant Portal	<b>3</b> Enhancements & Changes	<b>4</b> Data Management	<b>5</b> Timeline & Deliverables	<b>6</b> Participant Communications	<b>7</b> Solutions	<b>8</b> Glossary & Acronym Finder
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Select an item
Introduction
For you
<b>For your participants</b>
Enhanced website experience
Digital-first payments
Languages
Customer service improvements
Tax certification
Limit order tracking
Enhanced security in communications
<b>EquateMobile</b>
General

**Data security and technical information**



Our hybrid mobile app is designed to run on iOS-based and Android-based smartphones (minimum requirement iOS 12.0 resp. Android 5.0 (API level 21)). The app is protected by state-of-the-art security standards and guarantees jailbreak detection, source code obfuscation, SSL secured data transmission and certificate pinning.

Aligned with the web-based application EquatePlus, all personal data of the plan participant is anonymized and no client identifying data or confidential personal data will be stored. After a certain period of inactivity, an automatic logout takes place both on the server and the application.

The password recovery flow enables end users/participants to recover their password online while maintaining all the security standards. To ensure authentication, the password recovery flow is tightly coupled with the 2FA functionality, allowing participants full online recovery only if the user has enabled 2FA at Password recovery.

When 2FA is not enabled or their registered mobile number cannot be accessed, an email will be triggered providing instructions to reset the password.

Fingerprint and facial recognition technologies can be used to associate the special EquatePlus login credentials with the device owner. These credentials are stored on the device in a secured vault maintained by the device operating system and unlocked by means of the fingerprint/facial recognition technology provided by the device. Biometric recognition data is stored on the device and not shared with our application or servers.



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Select an item
Introduction
For you
For your participants
<b>General</b>
<b>Single Sign-On</b>
Safelisting and URL requirements

## General

### Sign Sign-On (SSO)

Seamless and secure way to access EquatePlus

EquatePlus supports participant and company administrator authentication between Computershare and clients using Single Sign-On (SSO). SSO enables the user to log on to EquatePlus through the client's authentication process.



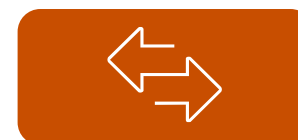
#### Speed

Once authenticated on your network, corporate administrators can log in to EquatePlus via a unique URL without entering any further credentials



#### Seamless

Reduce potential for frustration and enquiries due to login related problems



#### Flexible

Users can still log in with a User ID and password when accessing EquatePlus from outside of your corporate network



#### Industry standard

Login is based on a SAML 2.0 token – token is created within a client's network and received in the Computershare network for acceptance



1 Corporate Administrator Portal & Reporting

2 Participant Portal

3 Enhancements & Changes

4 Data Management

5 Timeline & Deliverables

6 Participant Communications

7 Solutions

8 Glossary & Acronym Finder

Select an item

Introduction

For you

For your participants

General

Single Sign-On

Safelisting and URL requirements

By using SSO, the user does not need to enter their User ID or password to log on to EquatePlus. Instead, they are authenticated by your corporate intranet, and their information is passed on to EquatePlus. Once authenticated, they simply open their specific URL for participant or company administrator access and view their respective EquatePlus homepage.

Participants without access to the corporate network (for example those who have left the company) will still have to follow the standard login process and enter their User ID and password on the EquatePlus login page.

**IMPORTANT:** When SSO is enabled, administrators will not receive a user ID and password to log in to the Corporate Administrator Portal. For security reasons, they will be required to log in via SSO only.

SSO can be particularly beneficial in the following scenarios:

- > Reducing enquiries for login-related problems
- > Onboarding new participants who need to submit an election within a short period of time
- > Offering a plan to a large population of participants

**If you already have SSO set up today**, we will support you through a new implementation to ensure you continue to enjoy seamless access. Detailed technical documentation is available to enable your I.T. department to make the appropriate changes in configuration.

If you do not have SSO and would like to add it\* to your existing services, it can be configured at any point after your upgrade to EquatePlus is complete. Please reach out to your Relationship Manager for more information.

\* Additional fees may apply

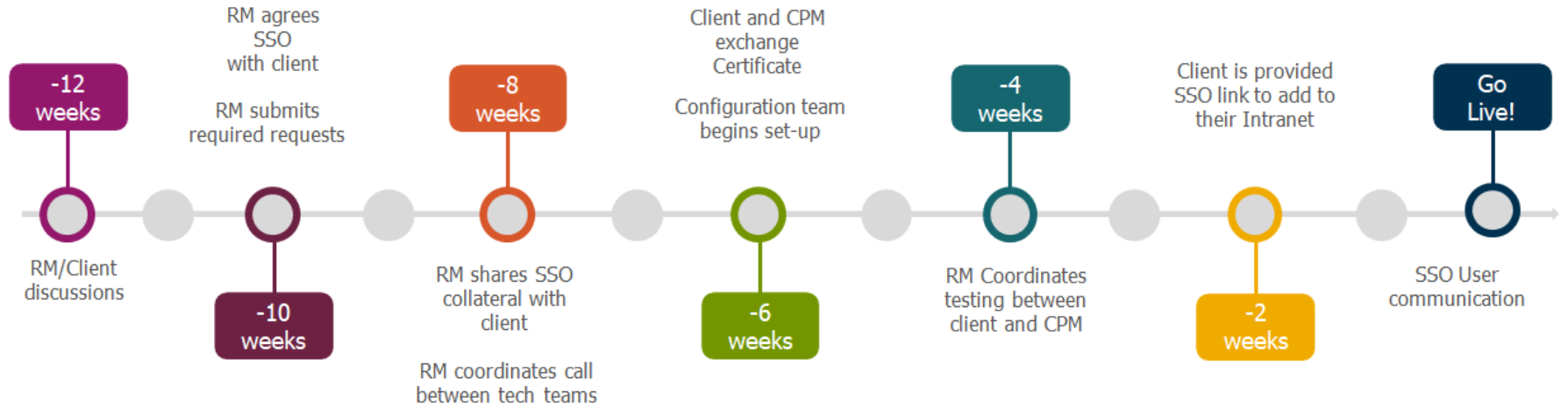




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Select an item
Introduction
For you
For your participants
<b>General</b>
<b>Single Sign-On</b>
Safe listing and URL requirements

**SSO Configuration Timeline Overview (for existing SSO clients)**



<b>1</b> Corporate Administrator Portal & Reporting	<b>2</b> Participant Portal	<b>3</b> Enhancements & Changes	<b>4</b> Data Management	<b>5</b> Timeline & Deliverables	<b>6</b> Participant Communications	<b>7</b> Solutions	<b>8</b> Glossary & Acronym Finder
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Select an item
Introduction
For you
For your participants
<b>General</b>
Single Sign-On
<b>Safelisting and URL requirements</b>

### Safelisting and URL requirements

Safelisting will ensure your administrators and participants can reach EquatePlus from within your corporate network and make sure emails sent by EquatePlus are not caught up in any security filters you may have.



IP addresses:	12.183.16.210 12.183.16.211 12.183.17.151 159.183.107.65
Email addresses:	mbx-noreply@na.equateplus.com noreply@na.equateplus.com Planadmin-noreply@na.equateplus.com DoNotReply@equateplus.computershare.com *.@cpucommunications.com
New website address for participants:	<a href="http://www.equateplus.com">www.equateplus.com</a>
New website address for administrators:	<a href="https://eqadmin.na.equateplus.com/">https://eqadmin.na.equateplus.com/</a>
Domains:	*.equateplus.com *cpucommunications.com prod-na-equateplus-pp2.azureedge.net



**1** Corporate Administrator Portal & Reporting

**2** Participant Portal

**3** Enhancements & Changes

**4** Data Management

**5** Timeline & Deliverables

**6** Participant Communications

**7** Solutions

**8** Glossary & Acronym Finder

Select an item

Data retention

Data scenarios for contributory plans

Data scenarios for discretionary plans

Historical/legacy plans

Strategy for moving data to EquatePlus

Data & files

## 4 – Data Management

### Data retention

#### Data scenarios for all Contributory plans

Contributory Plans	
Scenario	Action
Employees/leavers with a <b>positive balance</b> at upgrade	Full history will be carried over to EquatePlus <sup>1</sup>
Employees/leavers with a <b>zero balance</b> at upgrade. The last transaction took place <b>less than</b> seven years ago.	Full history will be carried over to EquatePlus <sup>1</sup>
Employees/leavers with a <b>zero balance</b> at upgrade. The last transaction took place <b>more than</b> seven years ago.	Information will be archived <sup>2</sup>

<sup>1</sup> Plan statements will also be run for all participants prior to the upgrade. These statements will be loaded to EquatePlus so that participants will have access to a summary of their account and dividend history at the time of the upgrade.

<sup>2</sup> Archived data will not be available online.

<b>1</b> Corporate Administrator Portal & Reporting	<b>2</b> Participant Portal	<b>3</b> Enhancements & Changes	<b>4</b> Data Management	<b>5</b> Timeline & Deliverables	<b>6</b> Participant Communications	<b>7</b> Solutions	<b>8</b> Glossary & Acronym Finder
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Select an item
<b>Data retention</b>
Data scenarios for contributory plans
<b>Data scenarios for discretionary plans</b>
Historical/legacy plans
Strategy for moving data to EquatePlus
Data & files

**Data scenarios for all Discretionary plans**

Data retention is applied at the Grant Plan and Grant Date level. All participants with 'in scope' awards will be upgraded.

Discretionary Plans		
Scenario		Action
Scenario A	A grant plan with a start date later than the retention date	> Entire grant plan will be carried over (all awards)
Scenario B	A grant plan with a start date <u>earlier</u> than the retention date – Positive balance on grants issued prior to the retention date	> All awards from the earliest grant date with a positive balance onwards will be carried over > Remaining awards will be archived <sup>1</sup>
Scenario C	A grant plan with a start date earlier than the retention date – <b>No positive balances earlier than the retention date</b>	> All awards with activity (up to the retention date) onwards will be carried over > Remaining awards will be archived <sup>1</sup>
Scenario D	A grant plan with no outstanding awards and no activity since the retention date	> All awards will be archived <sup>1</sup>

See examples on next page.

<sup>1</sup> Archived data will not be available online





<b>1</b> Corporate Administrator Portal & Reporting	<b>2</b> Participant Portal	<b>3</b> Enhancements & Changes	<b>4</b> Data Management	<b>5</b> Timeline & Deliverables	<b>6</b> Participant Communications	<b>7</b> Solutions	<b>8</b> Glossary & Acronym Finder
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Select an item
<b>Data retention</b>
Data scenarios for contributory plans
<b>Data scenarios for discretionary plans</b>
Historical/legacy plans
Strategy for moving data to EquatePlus
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### Examples

The below examples use a retention date of January 1, 2017.

Grant Plan A	Grant Plan B	Grant Plan C	Grant Plan D																																																																																																																																																																																																
<b>Start Date: January 2017</b>	<b>Start Date: January 2009</b>	<b>Start Date January 2010</b>	<b>Start Date: January 2010</b>																																																																																																																																																																																																
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1-Jan-14	0	1-Jan-15	✗																																																																																																																																																																																																






<b>1</b> Corporate Administrator Portal & Reporting	<b>2</b> Participant Portal	<b>3</b> Enhancements & Changes	<b>4</b> Data Management	<b>5</b> Timeline & Deliverables	<b>6</b> Participant Communications	<b>7</b> Solutions	<b>8</b> Glossary & Acronym Finder
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Select an item
<b>Data retention</b>
Data scenarios for contributory plans
Data scenarios for discretionary plans
<b>Historical/legacy plans</b>
Strategy for moving data to EquatePlus
Data & files

### Historical/Legacy plans

What will happen to data or plans not being taken over to EquatePlus?



**Data or plans will be archived**



**Archived data will not be available online**



<b>1</b> Corporate Administrator Portal & Reporting	<b>2</b> Participant Portal	<b>3</b> Enhancements & Changes	<b>4</b> Data Management	<b>5</b> Timeline & Deliverables	<b>6</b> Participant Communications	<b>7</b> Solutions	<b>8</b> Glossary & Acronym Finder
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Select an item
Data retention
<b>Strategy for moving data to EquatePlus</b>
Getting your data ready for the upgrade
Data & files

## Strategy for data moving to EquatePlus

### INCLUDED:

- > Participants and balances within the data retention policy:
  - Personal information
  - Tax certification information
  - Participant bank account information
- > Participant-facing documentation
- > SCRIP account number/Global ID
- > Existing system configuration such as blackout periods and permission to deal
- > Active enrolment data only

### EXCLUDED:

- > Participants/awards outside of the data retention policy
- > Participants subject to GDPR data deletion (pre-upgrade task)
- > Outstanding payments
- > Employee Variable Fields (EVFs)
- > Eligibility data (shell accounts)
  - New eligibility file will be required at time of upgrade

Where participants have both Discretionary and Contributory plans, data from the **Discretionary plan(s)** will be used to create the new EquatePlus account.


<b>1</b> Corporate Administrator Portal & Reporting	<b>2</b> Participant Portal	<b>3</b> Enhancements & Changes	<b>4</b> Data Management	<b>5</b> Timeline & Deliverables	<b>6</b> Participant Communications	<b>7</b> Solutions	<b>8</b> Glossary & Acronym Finder
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Select an item
Data retention
<b>Strategy for moving data to EquatePlus</b>
<b>Getting your data ready for the upgrade</b>
Data & files


### Getting your data ready for the upgrade

To ensure participants have a smooth upgrade to EquatePlus, the integrity of their account data is key.


To support a hassle-free onboarding process for participants, the following pieces of information are key:




Address



Email






Date of Birth



Employee ID

### BENEFITS

-  Smoother onboarding process for participants
-  Less queries
-  More accurate participant data

### OUR ROBUST PROCESS





1 Corporate Administrator Portal & Reporting

2 Participant Portal

3 Enhancements & Changes

4 Data Management

5 Timeline & Deliverables

6 Participant Communications

7 Solutions

8 Glossary & Acronym Finder

Select an item

Data retention

Strategy for moving data to EquatePlus

Data & files

Data & files

Corporate Data Interface (CDI)

Data input and file exchange

## Data & files

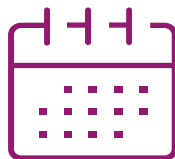
### Data file conversion

We want your upgrade experience to be as easy as possible. We will review your existing file layouts and, if able, we will maintain the existing file layouts for the time being. We will take care of converting the files you upload into the required format for EquatePlus.

### CONVENIENCE



- > To facilitate the upgrade process, we will maintain all existing file layouts, where possible, for the time being
- > No change in delivery method. You will continue to send us your files via SFTP
- > We will convert the data on existing file layouts to the EquatePlus formats to ensure that all required data is maintained



### PLANNING FOR THE FUTURE

- > As a separate project, we will work with you post-upgrade to implement the EquatePlus file layouts (CDI)

If we are not able to maintain your existing file layouts, your Relationship Manager will advise you and work with you to apply any necessary changes to your existing files in preparation for the upgrade.

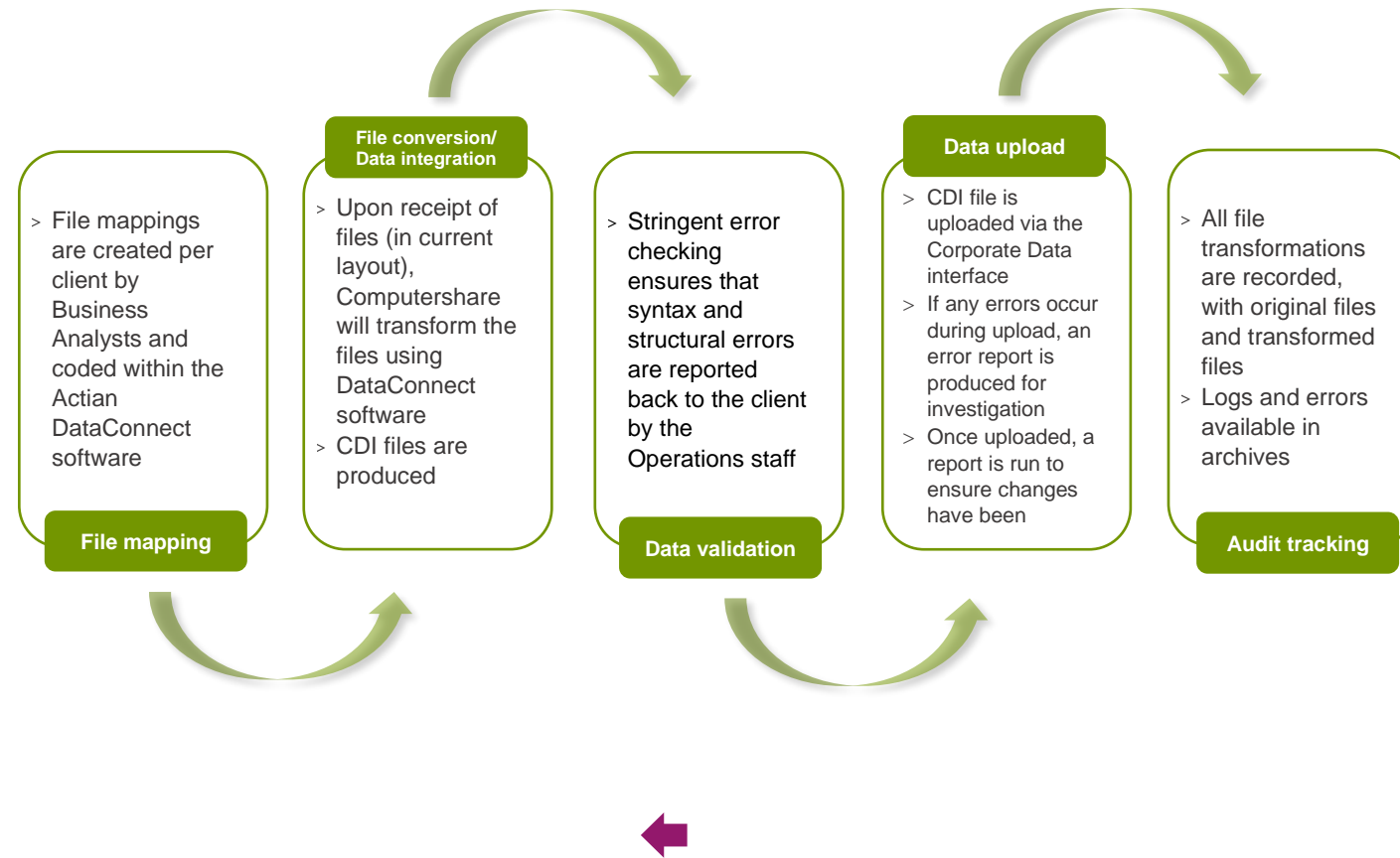




<b>1</b> Corporate Administrator Portal & Reporting	<b>2</b> Participant Portal	<b>3</b> Enhancements & Changes	<b>4</b> Data Management	<b>5</b> Timeline & Deliverables	<b>6</b> Participant Communications	<b>7</b> Solutions	<b>8</b> Glossary & Acronym Finder
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Select an item
Data retention
Strategy for moving data to EquatePlus
<b>Data &amp; files</b>
<b>Data &amp; files</b>
Corporate Data Interface (CDI)
Data input and file exchange

## Data file conversion (cont'd)



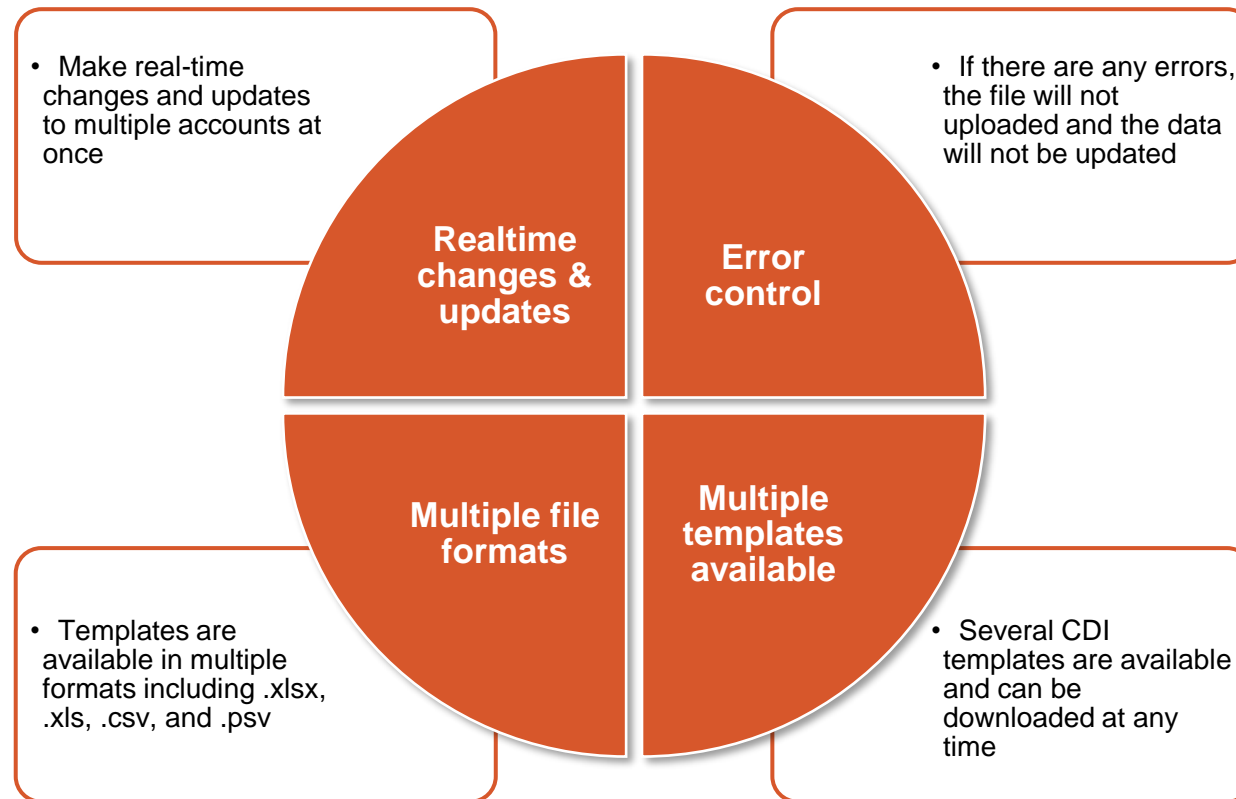


<b>1</b> Corporate Administrator Portal & Reporting	<b>2</b> Participant Portal	<b>3</b> Enhancements & Changes	<b>4</b> Data Management	<b>5</b> Timeline & Deliverables	<b>6</b> Participant Communications	<b>7</b> Solutions	<b>8</b> Glossary & Acronym Finder
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Select an item
Data retention
Strategy for moving data to EquatePlus
<b>Data &amp; files</b>
Data & files
<b>Corporate Data Interface (CDI)</b>
Data input and file exchange

### Corporate Data Interface (CDI)

#### Benefits



- 1** Corporate Administrator Portal & Reporting
- 2** Participant Portal
- 3** Enhancements & Changes
- 4** Data Management
- 5** Timeline & Deliverables
- 6** Participant Communications
- 7** Solutions
- 8** Glossary & Acronym Finder

- Select an item
- Data retention
- Strategy for moving data to EquatePlus
- Data & files**
- Data & files
- Corporate Data Interface (CDI)**
- Data input and file exchange

### Updating participant data using CDI files

For immediate ad hoc updates, you may choose to use the EquatePlus CDI file layout.

<b>1</b>	Go to: Corporate Administration → Corporate Data Interface → Download template	<div style="border: 1px solid #ccc; padding: 10px;"> <p>Corporate Administration • Corporate Data Interface • <a href="#">Download Template</a> ▾</p> <p><b>List of CDI Template Files</b> <sup>63</sup></p> <table border="1" style="width: 100%; border-collapse: collapse;"> <thead> <tr> <th>CDI Name</th> <th>Excel</th> <th>CSV</th> <th>PSV</th> <th>Description</th> </tr> </thead> <tbody> <tr> <td colspan="5"><b>Participant data related templates</b></td> </tr> <tr> <td>Addresses</td> <td><a href="#">xlsx</a></td> <td><a href="#">xls</a></td> <td><a href="#">csv</a></td> <td>NA</td> <td>Contains address data for various address types (WORK, HOME etc.) of the participants.</td> </tr> <tr> <td>Allocations Soft Attributes</td> <td><a href="#">xlsx</a></td> <td><a href="#">xls</a></td> <td><a href="#">csv</a></td> <td>NA</td> <td>Soft Attributes for Grant information (used by allocations CDI only)</td> </tr> <tr> <td>Contact Information</td> <td><a href="#">xlsx</a></td> <td><a href="#">xls</a></td> <td><a href="#">csv</a></td> <td>NA</td> <td>Telephone numbers, email addresses for various contact types (i.e. WORK_PHONE, HOME_EMAIL etc.).</td> </tr> <tr> <td>Participant Core Data</td> <td><a href="#">xlsx</a></td> <td><a href="#">xls</a></td> <td><a href="#">csv</a></td> <td>NA</td> <td>Unique Participant Local Id (the Participant Id in your company) per participant is required.</td> </tr> <tr> <td>Participant Organisation</td> <td><a href="#">xlsx</a></td> <td><a href="#">xls</a></td> <td><a href="#">csv</a></td> <td>NA</td> <td>Contains information about which organisation unit the participant belongs to.</td> </tr> <tr> <td>Participant Preferences</td> <td><a href="#">xlsx</a></td> <td><a href="#">xls</a></td> <td><a href="#">csv</a></td> <td>NA</td> <td>Contains participant preferences.</td> </tr> <tr> <td>Participant YTD</td> <td><a href="#">xlsx</a></td> <td><a href="#">xls</a></td> <td><a href="#">csv</a></td> <td><a href="#">psv</a></td> <td>Contains participant tax rates.</td> </tr> <tr> <td>Participant Corporate Info</td> <td><a href="#">xlsx</a></td> <td><a href="#">xls</a></td> <td><a href="#">csv</a></td> <td><a href="#">psv</a></td> <td>Contains participant related corporate info values</td> </tr> <tr> <td>Participant UBS Info</td> <td><a href="#">xlsx</a></td> <td><a href="#">xls</a></td> <td><a href="#">csv</a></td> <td><a href="#">psv</a></td> <td>Contains participant related UBS info values</td> </tr> <tr> <td>Participant Local ID Change</td> <td><a href="#">xlsx</a></td> <td><a href="#">xls</a></td> <td><a href="#">csv</a></td> <td><a href="#">psv</a></td> <td>Contains participant local ID changes</td> </tr> <tr> <td>Participant Mobility Entries</td> <td><a href="#">xlsx</a></td> <td><a href="#">xls</a></td> <td><a href="#">csv</a></td> <td><a href="#">psv</a></td> <td>Contains historical participant mobility tracking data</td> </tr> <tr> <td>Election Eligibility</td> <td><a href="#">xlsx</a></td> <td><a href="#">xls</a></td> <td><a href="#">csv</a></td> <td>NA</td> <td>Contains election eligibility data used to fill the company table ELECTION_ELIGIBILITY</td> </tr> <tr> <td>Participant Tax Identifier</td> <td><a href="#">xlsx</a></td> <td><a href="#">xls</a></td> <td><a href="#">csv</a></td> <td><a href="#">psv</a></td> <td>Contains participant tax identifiers.</td> </tr> <tr> <td>Participant Temporal Attributes</td> <td><a href="#">xlsx</a></td> <td><a href="#">xls</a></td> <td><a href="#">csv</a></td> <td>NA</td> <td>Contains participant Temporal Attributes.</td> </tr> <tr> <td>Participant Tax Forms</td> <td><a href="#">xlsx</a></td> <td><a href="#">xls</a></td> <td><a href="#">csv</a></td> <td>NA</td> <td>Contains details collected from paper tax forms</td> </tr> <tr> <td>Participant Selected Data Update</td> <td><a href="#">xlsx</a></td> <td><a href="#">xls</a></td> <td><a href="#">csv</a></td> <td>NA</td> <td>Contains data corrections for the participants</td> </tr> <tr> <td>ATO TFN Response</td> <td><a href="#">xlsx</a></td> <td><a href="#">xls</a></td> <td><a href="#">csv</a></td> <td>NA</td> <td>Contains ATO response for TFN.</td> </tr> <tr> <td>Upload Participant_Tax_Forms_Update</td> <td><a href="#">xlsx</a></td> <td><a href="#">xls</a></td> <td><a href="#">csv</a></td> <td>NA</td> <td>Contains participant details to expire their W9 or W9_BUW participants tax form.</td> </tr> <tr> <td>ELECTIONS</td> <td><a href="#">xlsx</a></td> <td><a href="#">xls</a></td> <td><a href="#">csv</a></td> <td>NA</td> <td>Contains Participant R6 election data</td> </tr> </tbody> </table> </div>	CDI Name	Excel	CSV	PSV	Description	<b>Participant data related templates</b>					Addresses	<a href="#">xlsx</a>	<a href="#">xls</a>	<a href="#">csv</a>	NA	Contains address data for various address types (WORK, HOME etc.) of the participants.	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<b>2</b>	Select the CDI file you need from the list and download the template in your preferred format																																																																																																																													
<b>3</b>	Complete the template as per the color-coded column headers																																																																																																																													
<b>4</b>	Save a copy of the completed templated																																																																																																																													
<b>5</b>	Upload the template to CDI																																																																																																																													
<b>6</b>	Verify the status of the file you've uploaded																																																																																																																													



<b>1</b> Corporate Administrator Portal & Reporting	<b>2</b> Participant Portal	<b>3</b> Enhancements & Changes	<b>4</b> Data Management	<b>5</b> Timeline & Deliverables	<b>6</b> Participant Communications	<b>7</b> Solutions	<b>8</b> Glossary & Acronym Finder
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Select an item
Data retention
Strategy for moving data to EquatePlus
<b>Data &amp; files</b>
Data & files
Corporate Data Interface (CDI)
<b>Data input and file exchange</b>

### Data input and file exchange

Four ways to transfer or update data

<b>Manual front-end changes</b>	<b>Secure file transfer protocol (SFTP)</b>	<b>Secure Data Transfer (SDT)</b>	<b>Corporate Data Interface (CDI)</b>
<ul style="list-style-type: none"> <li>&gt; Applied changes are reflected in real-time</li> <li>&gt; Actioned and validated immediately</li> </ul>	<ul style="list-style-type: none"> <li>&gt; Two-way automated file exchange</li> <li>&gt; Optimized for high volume, secure and assured delivery of files</li> <li>&gt; Connects with several HR platforms</li> <li>&gt; Used for sending existing files (legacy system templates)</li> </ul>	<ul style="list-style-type: none"> <li>&gt; Equivalent of FileShare</li> <li>&gt; Integrated in EquatePlus (via SSL)</li> <li>&gt; Allows user group targeting</li> </ul>	<ul style="list-style-type: none"> <li>&gt; Integrated in EquatePlus</li> <li>&gt; Corporate administrator downloads applicable CDI template, adds required information, and manually uploads file using Corporate Data Interface</li> </ul>



<b>1</b> Corporate Administrator Portal & Reporting	<b>2</b> Participant Portal	<b>3</b> Enhancements & Changes	<b>4</b> Data Management	<b>5</b> Timeline & Deliverables	<b>6</b> Participant Communications	<b>7</b> Solutions	<b>8</b> Glossary & Acronym Finder
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Select an item
High-level deliverables
For you
For Computershare
Client information sessions

## 5 – Timeline and Deliverables

Although Computershare will carry out most of the heavy lifting during this process, there will be certain tasks where you will be involved to ensure a successful upgrade:

- > Provide your Relationship Manager the completed Webinar Invitee List
- > Provide your Relationship Manager the completed Microsite Access Request form
- > Provide your Relationship Manager your company logo in the required formats
- > Safelist the EquatePlus IP addresses, email addresses and domains
- > Return the data readiness file with required corrections/updates
- > Review list of existing administrator users and roles and agree new roles
- > Attend the various client presentations
- > Review the pre-upgrade communications templates and arrange internal communications to participants
- > Notify your Accounts Payable/Payroll teams about the new bank account details required to send participant funds (if applicable)
- > Complete the Client Upgrade Survey (~4 weeks after upgrade)



<b>1</b> Corporate Administrator Portal & Reporting	<b>2</b> Participant Portal	<b>3</b> Enhancements & Changes	<b>4</b> Data Management	<b>5</b> Timeline & Deliverables	<b>6</b> Participant Communications	<b>7</b> Solutions	<b>8</b> Glossary & Acronym Finder
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Select an item
High-level deliverables
For you
For Computershare
Client information sessions

### High-level deliverables – For you

The following timeline highlights the minimum timescale for the key actions. Your Relationship Manager will advise you of any other deliverables that may be applicable.



<input checked="" type="checkbox"/>	Advise your Relationship Manager if you have any scheduled events close to your upgrade weekend.
<input checked="" type="checkbox"/>	Respond to any questions arising from the data analysis being carried out by Computershare (data readiness).
<input checked="" type="checkbox"/>	Continue reviewing the microsite and Client Upgrade Guide.
<input checked="" type="checkbox"/>	Ask your IT team to safelist the IP addresses, email addresses and domains which are detailed in the <a href="#">Upgrade communications plan</a> in section 6.
<input checked="" type="checkbox"/>	Provide us with your latest company logo. Must be a vector-based image and in RGB color mode. This can be an SVG (Scalable Vector Graphics) or AI (Adobe Illustrator Artworks) file format. In addition, a file with dimensions of 180x60px, saved in GIF format must also be provided.in .gif format AND either .eps, .ai or .svg file format.

<b>1</b> Corporate Administrator Portal & Reporting	<b>2</b> Participant Portal	<b>3</b> Enhancements & Changes	<b>4</b> Data Management	<b>5</b> Timeline & Deliverables	<b>6</b> Participant Communications	<b>7</b> Solutions	<b>8</b> Glossary & Acronym Finder
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Select an item
High-level deliverables
For you
For Computershare
Client information sessions

### High-level deliverables - For you

The following timeline highlights the minimum timescale for the key actions. Your Relationship Manager will advise you of any other deliverables that may be applicable.



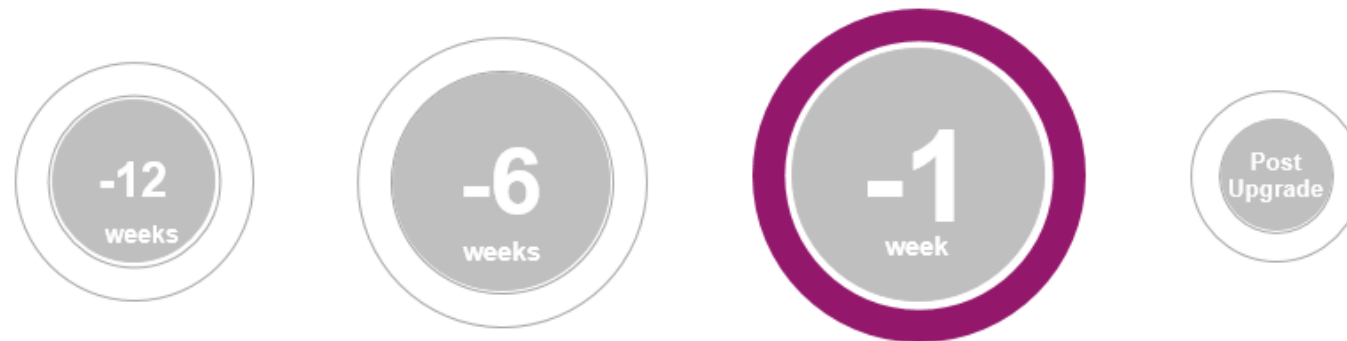
✓	Review your pre-upgrade communications templates (your Relationship Manager will provide you with the templates).
✓	Arrange internal communications to participants (please see suggested communications materials in <a href="#">section six</a> ).
✓	If you offer a contributory plan, you'll need to notify your Accounts Payable/Payroll teams about the new bank account details required to send participant funds. Your Relationship Manager will communicate this new information to you.
✓	If you need to send any large-scale change files (i.e. new grants, grant plans, contribution files...) within 3 weeks of the upgrade, please reach out to your Relationship Manager to discuss.
✓	Your access to ACT will be disabled (if applicable) approximately 3 weeks before the upgrade. Your Relationship Manager will confirm the exact date.

<b>1</b> Corporate Administrator Portal & Reporting	<b>2</b> Participant Portal	<b>3</b> Enhancements & Changes	<b>4</b> Data Management	<b>5</b> Timeline & Deliverables	<b>6</b> Participant Communications	<b>7</b> Solutions	<b>8</b> Glossary & Acronym Finder
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Select an item
High-level deliverables
For you
For Computershare
Client information sessions

### High-level deliverables - For you

The following timeline highlights the minimum timescale for the key actions. Your Relationship Manager will advise you of any other deliverables that may be applicable.



✓	Provide any files which need to be processed before your upgrade.
✓	Arrange internal communications to participants (please see suggested communications materials in <a href="#">section six</a> ).

<b>1</b> Corporate Administrator Portal & Reporting	<b>2</b> Participant Portal	<b>3</b> Enhancements & Changes	<b>4</b> Data Management	<b>5</b> Timeline & Deliverables	<b>6</b> Participant Communications	<b>7</b> Solutions	<b>8</b> Glossary & Acronym Finder
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Select an item
<b>High-level deliverables</b>
<b>For you</b>
For Computershare
Client information sessions

### High-level deliverables - For you

The following timeline highlights the minimum timescale for the key actions. Your Relationship Manager will advise you of any other deliverables that may be applicable.



- Complete the survey to provide feedback on your upgrade experience.




<b>1</b> Corporate Administrator Portal & Reporting	<b>2</b> Participant Portal	<b>3</b> Enhancements & Changes	<b>4</b> Data Management	<b>5</b> Timeline & Deliverables	<b>6</b> Participant Communications	<b>7</b> Solutions	<b>8</b> Glossary & Acronym Finder
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Select an item
<b>High-level deliverables</b>
For you
<b>For Computershare</b>
Client information sessions

## High-level deliverables – For Computershare

The following timeline highlights the minimum timescale for the key actions. Your Relationship Manager will advise you of any other deliverables that may be applicable.



 We are looking at configuration requirements and carrying out analysis of the data currently on the system, and we will send through any questions or requests for information.

<b>1</b> Corporate Administrator Portal & Reporting	<b>2</b> Participant Portal	<b>3</b> Enhancements & Changes	<b>4</b> Data Management	<b>5</b> Timeline & Deliverables	<b>6</b> Participant Communications	<b>7</b> Solutions	<b>8</b> Glossary & Acronym Finder
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Select an item
<b>High-level deliverables</b>
For you
<b>For Computershare</b>
Client information sessions

## High-level deliverables - For Computershare

The following timeline highlights the minimum timescale for the key actions. Your Relationship Manager will advise you of any other deliverables that may be applicable.



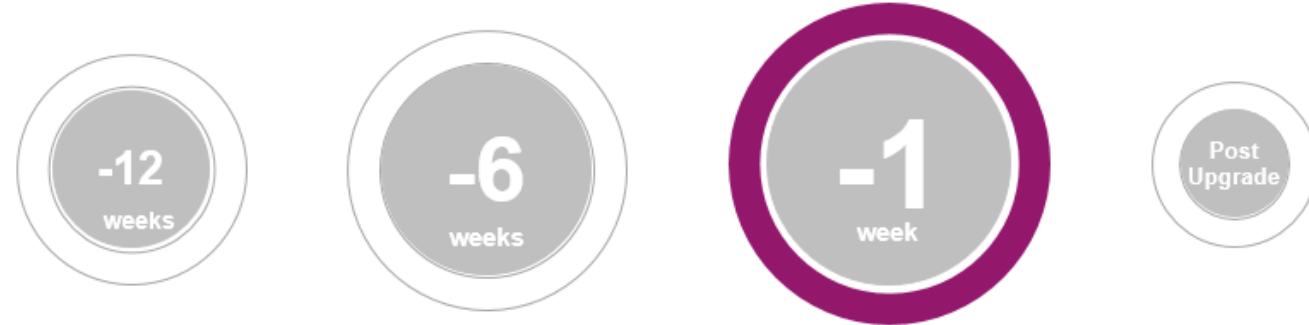
✓	Review your pre-upgrade communications templates.
✓	New set-ups, grants, and contributions will be restricted for approximately three weeks before the upgrade weekend. Your Relationship Manager will confirm the exact date range with you.  If you need to send any large-scale change files (i.e. new grants, grant plans, contribution files...) within 3 weeks of the upgrade, please reach out to your Relationship Manager to discuss.
✓	Client access to ACT will be disabled (if applicable) approximately 3 weeks before the upgrade. Your Relationship Manager will confirm the exact date.

1	Corporate Administrator Portal & Reporting	2	Participant Portal	3	Enhancements & Changes	4	Data Management	5	Timeline & Deliverables	6	Participant Communications	7	Solutions	8	Glossary & Acronym Finder
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Select an item
High-level deliverables
For you
For Computershare
Client information sessions

## High-level deliverables - For Computershare

The following timeline highlights the minimum timescale for the key actions. Your Relationship Manager will advise you of any other deliverables that may be applicable.



✓	We'll prepare the data for the upgrade and carry out any final preparation for the upgrade itself.
✓	External transfers (broker transfers) and Cash Buy-All / Exercise and Hold transactions will be restricted beginning <b>10 business days</b> prior to upgrade weekend.
✓	Any pending limit orders will be cancelled at the close of market on the Friday of upgrade weekend. Participants will need to re-submit their limit order on EquatePlus, after the upgrade is complete.



<b>1</b> Corporate Administrator Portal & Reporting	<b>2</b> Participant Portal	<b>3</b> Enhancements & Changes	<b>4</b> Data Management	<b>5</b> Timeline & Deliverables	<b>6</b> Participant Communications	<b>7</b> Solutions	<b>8</b> Glossary & Acronym Finder
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Select an item
<b>High-level deliverables</b>
For you
<b>For Computershare</b>
Client information sessions

### High-level deliverables - For Computershare

The following timeline highlights the minimum timescale for the key actions. Your Relationship Manager will advise you of any other deliverables that may be applicable.



- We'll send you an invitation to complete a survey to provide feedback on your upgrade experience.

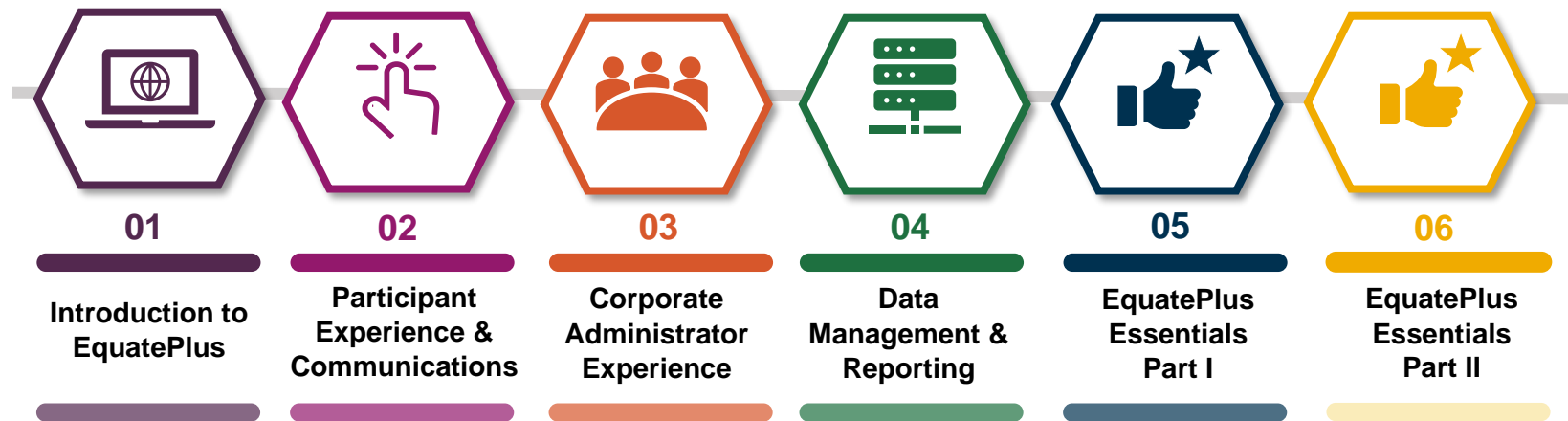
<b>1</b> Corporate Administrator Portal & Reporting	<b>2</b> Participant Portal	<b>3</b> Enhancements & Changes	<b>4</b> Data Management	<b>5</b> Timeline & Deliverables	<b>6</b> Participant Communications	<b>7</b> Solutions	<b>8</b> Glossary & Acronym Finder
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Select an item
High-level deliverables
<b>Client information sessions</b>

### Client information sessions

The upgrade journey has been split out into six key areas. This is to ensure that you are supported and informed at every step in the process.

Click on a subject to see a description of the session:



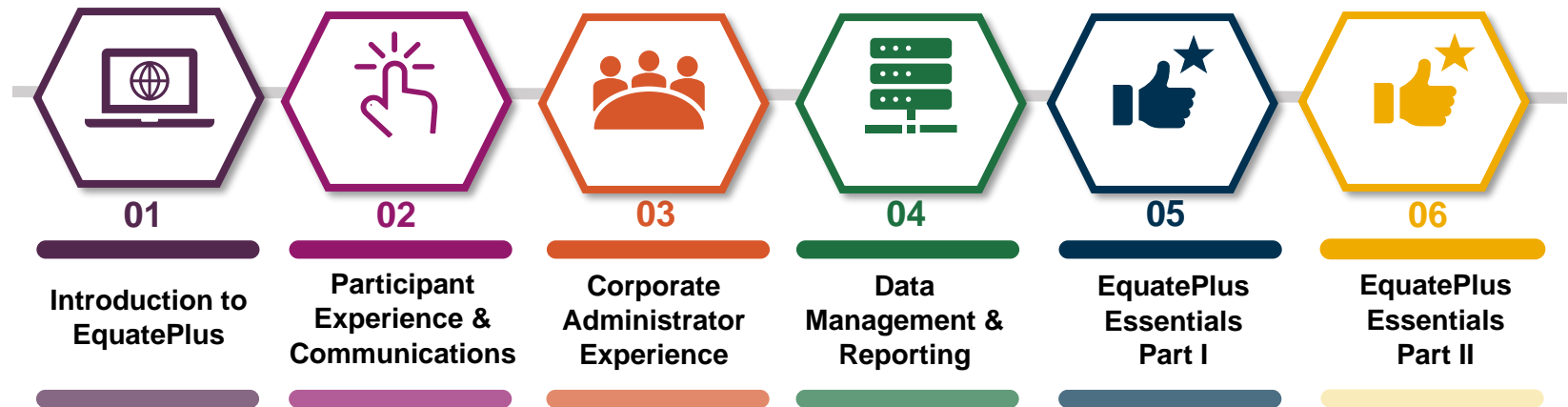
<b>1</b> Corporate Administrator Portal & Reporting	<b>2</b> Participant Portal	<b>3</b> Enhancements & Changes	<b>4</b> Data Management	<b>5</b> Timeline & Deliverables	<b>6</b> Participant Communications	<b>7</b> Solutions	<b>8</b> Glossary & Acronym Finder
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Select an item
High-level deliverables
<b>Client information sessions</b>

### Client information sessions

The upgrade journey has been split out into six key areas. This is to ensure that you are supported and informed at every step in the process.

Click on a subject to see a description of the session:



#### Introduction to EquatePlus description

In our first session, we will explain some of EquatePlus' capabilities, key benefits, and latest features. We will share our upgrade strategy and resources and discuss the upgrade timeline and next steps.

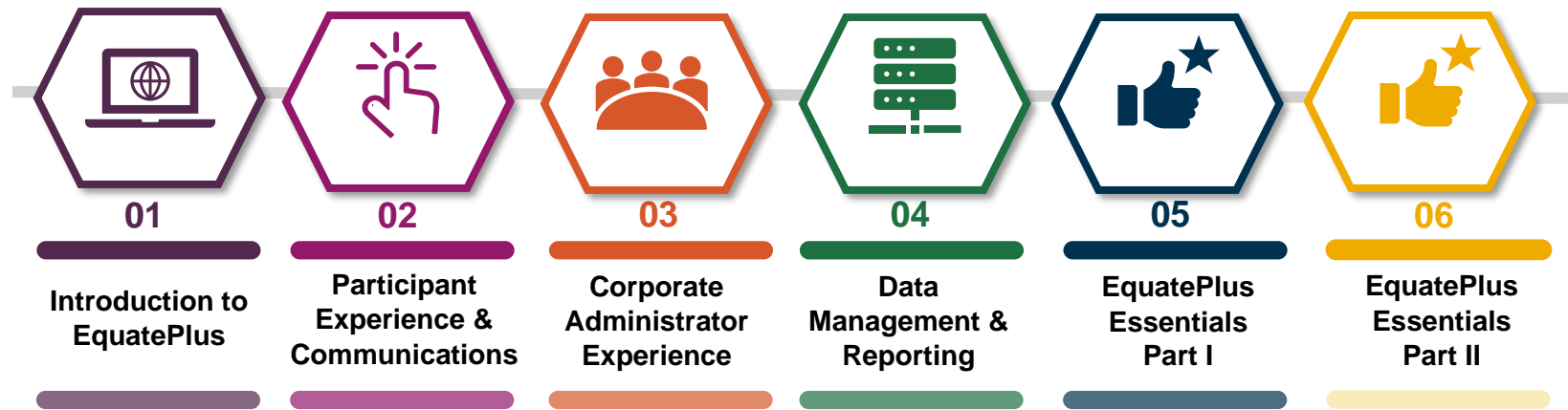
<b>1</b> Corporate Administrator Portal & Reporting	<b>2</b> Participant Portal	<b>3</b> Enhancements & Changes	<b>4</b> Data Management	<b>5</b> Timeline & Deliverables	<b>6</b> Participant Communications	<b>7</b> Solutions	<b>8</b> Glossary & Acronym Finder
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Select an item
High-level deliverables
<b>Client information sessions</b>

### Client information sessions

The upgrade journey has been split out into six key areas. This is to ensure that you are supported and informed at every step in the process.

Click on a subject to see a description of the session:



#### Participant Experience and Communications description

This session will bring to life the key features and benefits you can expect for your participants on our EquatePlus platform. There will also be an overview of the EquateMobile app, and importantly, an explanation of the upgrade journey and ongoing communications for participants – all key information that you need to know.

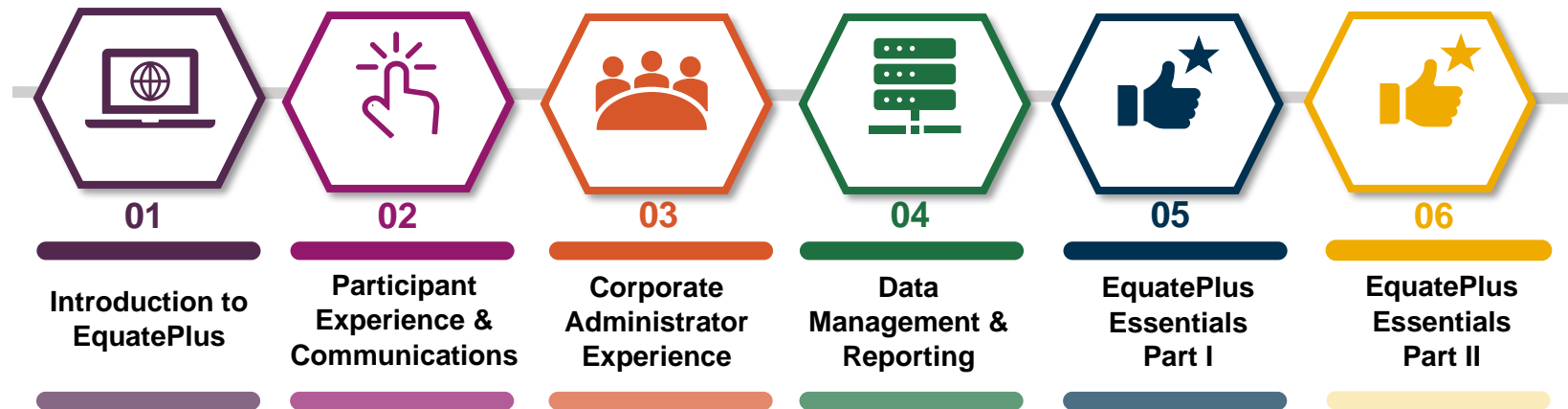
<b>1</b> Corporate Administrator Portal & Reporting	<b>2</b> Participant Portal	<b>3</b> Enhancements & Changes	<b>4</b> Data Management	<b>5</b> Timeline & Deliverables	<b>6</b> Participant Communications	<b>7</b> Solutions	<b>8</b> Glossary & Acronym Finder
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Select an item
High-level deliverables
<b>Client information sessions</b>

### Client information sessions

The upgrade journey has been split out into six key areas. This is to ensure that you are supported and informed at every step in the process.

Click on a subject to see a description of the session:



#### Corporate Administrator Experience description

This session will bring to life the key features and benefits you can expect on our EquatePlus platform from a Corporate Administrator perspective. There will also be an overview of the Corporate Administrator Portal, where you can access real time data, create reports, view participant portfolios as they do, and more. Additionally, you will learn about client service requests and the upgrade resources we are making available to you to help make your upgrade journey as straightforward and easy as possible. This is all key information that you need to know.

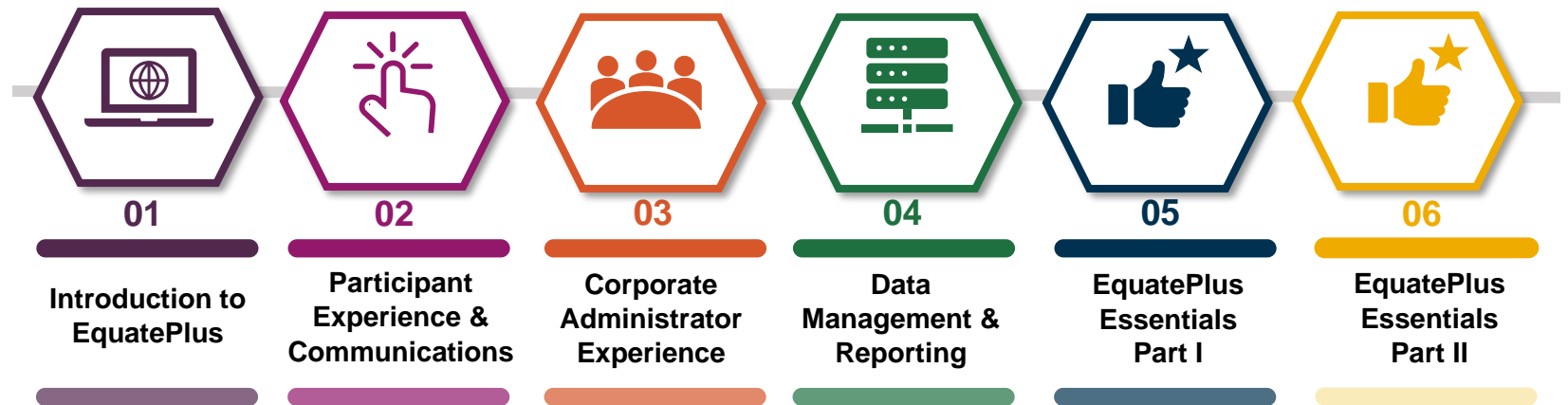
<b>1</b> Corporate Administrator Portal & Reporting	<b>2</b> Participant Portal	<b>3</b> Enhancements & Changes	<b>4</b> Data Management	<b>5</b> Timeline & Deliverables	<b>6</b> Participant Communications	<b>7</b> Solutions	<b>8</b> Glossary & Acronym Finder
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Select an item
High-level deliverables
<b>Client information sessions</b>

### Client information sessions

The upgrade journey has been split out into six key areas. This is to ensure that you are supported and informed at every step in the process.

Click on a subject to see a description of the session:



#### Data Management and Reporting description

This session will bring to life how data is managed within EquatePlus including an overview of the key data changes, our data retention strategy and various data transfer methods. There will also be an overview of the reporting universe. We'll discuss the benefits of the EquatePlus reporting tool as well as how these reports may differ from the reports you use today. This is all key information that you need to know.

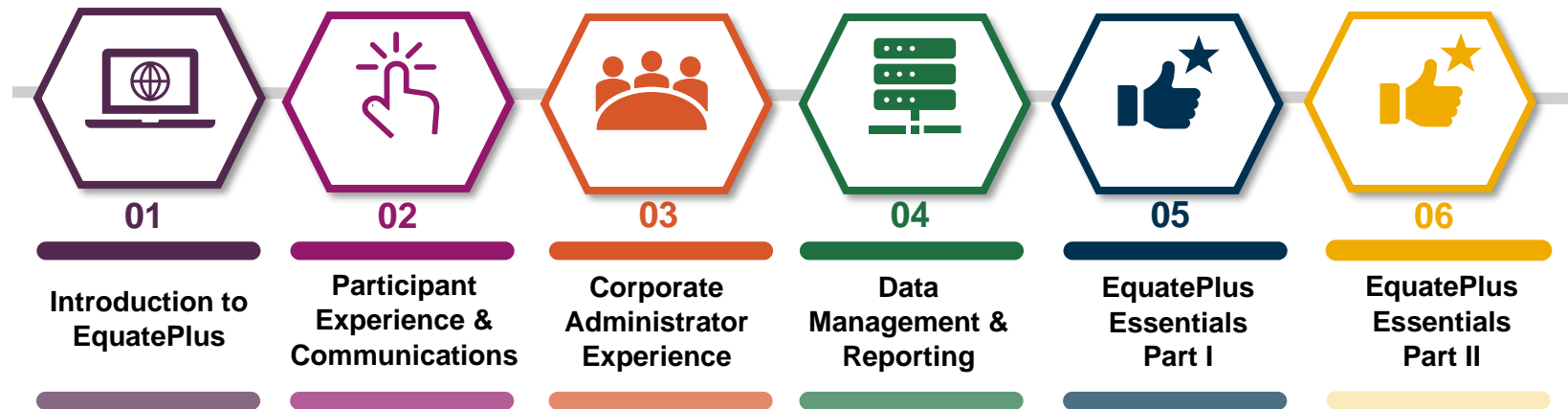
<b>1</b> Corporate Administrator Portal & Reporting	<b>2</b> Participant Portal	<b>3</b> Enhancements & Changes	<b>4</b> Data Management	<b>5</b> Timeline & Deliverables	<b>6</b> Participant Communications	<b>7</b> Solutions	<b>8</b> Glossary & Acronym Finder
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Select an item
High-level deliverables
<b>Client information sessions</b>

### Client information sessions

The upgrade journey has been split out into six key areas. This is to ensure that you are supported and informed at every step in the process.

Click on a subject to see a description of the session:



#### EquatePlus Essentials – Coporate Administrator Experience and EquateService description

In this session, you will learn about the Corporate Administrator Portal on EquatePlus, including how to log in, search for a participant, update participant demographic information, use the Leaver Simulation tool, and securely send and receive documents between you and your Account or Relationship Manager. We will also show you how to navigate the Participant’s Personal Pages so that you can see a participant’s account exactly as they do. Additionally, we will demonstrate EquateService, our online service portal that streamlines client requests and addresses your needs more efficiently.

**1** Corporate Administrator Portal & Reporting

**2** Participant Portal

**3** Enhancements & Changes

**4** Data Management

**5** Timeline & Deliverables

**6** Participant Communications

**7** Solutions

**8** Glossary & Acronym Finder

Select an item

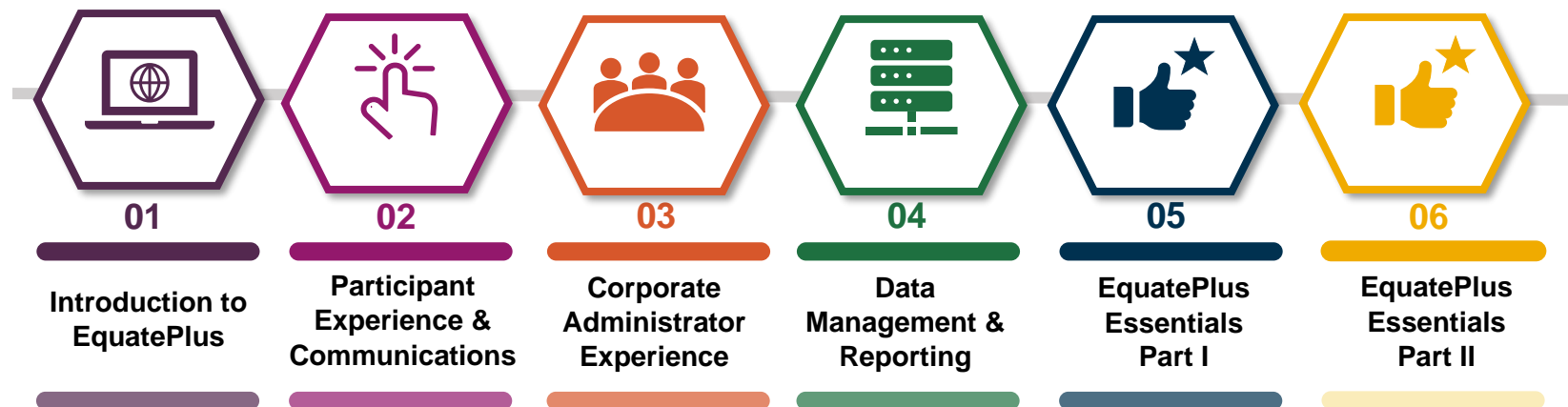
High-level deliverables

**Client information sessions**

## Client information sessions

The upgrade journey has been split out into six key areas. This is to ensure that you are supported and informed at every step in the process.

Click on a subject to see a description of the session:



### EquatePlus Essentials: Working with reports description

In this session, we will demonstrate the reporting function within EquatePlus, including:

- Library of standard reports; how best to find the ones you need
- Walk-through of report parameters
- Downloading and sharing reports
- Saving and scheduling reports
- Popular Reports
- Resources for ongoing support



<b>1</b> Corporate Administrator Portal & Reporting	<b>2</b> Participant Portal	<b>3</b> Enhancements & Changes	<b>4</b> Data Management	<b>5</b> Timeline & Deliverables	<b>6</b> Participant Communications	<b>7</b> Solutions	<b>8</b> Glossary & Acronym Finder
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Select an item
<b>Introduction</b>
Enhancing our communications offering
Upgrade communications plan

## 6 – Participant Communications

### Introduction

We want to make sure your participants’ experience is seamless during the upgrade to EquatePlus, so we’ve created some clear communications to guide them through the process.

The communications are designed to:

- > **prepare participants** for the upgrade so they know what’s coming
- > **support participants** to upgrade quickly without any hassle
- > **help participants** to easily navigate around the new website





1 Corporate Administrator Portal & Reporting	2 Participant Portal	3 Enhancements & Changes	4 Data Management	5 Timeline & Deliverables	6 Participant Communications	7 Solutions	8 Glossary & Acronym Finder
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Select an item
Introduction
<b>Enhancing our communications offering</b>
Upgrade communications plan

## Enhancing our communications offering

EquatePlus makes it easy to display your share plan information in highly intuitive ways, allowing for simple and concise standard communications.

With our digital-first approach, participants will receive email notifications directing them to review and manage their share plan activities online, eliminating the need for bespoke plan communications. This simplified approach allows you to focus your resources on other priorities.

The key benefits include:

### For you



#### Fewer enquiries to handle

our concise communications lead to intuitive online processes within EquatePlus



#### Improve your sustainability credentials

our digital-first approach means less paper and a greener share plan administration service



#### Save time and money

there is no need to write your own communications and you could reduce your print and mail costs

### For Participants



#### More secure

our improved online portal eliminates the need to include detailed plan and transaction information in communications



#### Easy to understand

jargon-free emails and notifications



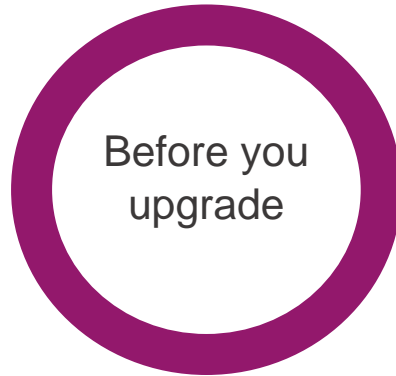
#### Clear calls to action

taking the correct action is simple

<b>1</b> Corporate Administrator Portal & Reporting	<b>2</b> Participant Portal	<b>3</b> Enhancements & Changes	<b>4</b> Data Management	<b>5</b> Timeline & Deliverables	<b>6</b> Participant Communications	<b>7</b> Solutions	<b>8</b> Glossary & Acronym Finder
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Select an item
Introduction
Enhancing our communications offering
<b>Upgrade communications plan</b>
Before you upgrade
On the day of upgrade
After your upgrade

### Upgrade communications plan



[Intranet article >](#)

[Teaser email to participants >](#)

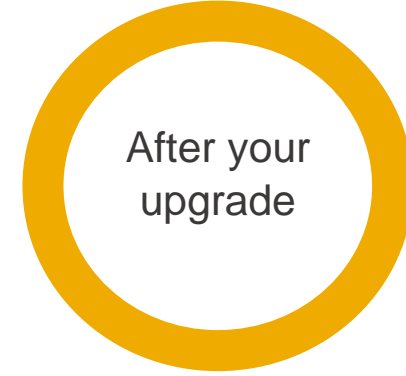


[New user ID >](#)

[Temporary password >](#)

[Employee Online >](#)

[Introductory video >](#)



[Reminder email to participants >](#)

If single sign-on is being implemented as part of your upgrade, there may be some small variations in the communications that participants will receive. Your Relationship Manager will share these with you.

1 Corporate Administrator Portal & Reporting

2 Participant Portal

3 Enhancements & Changes

4 Data Management

5 Timeline & Deliverables

6 Participant Communications

7 Solutions

8 Glossary & Acronym Finder

Select an item

Introduction

Enhancing our communications offering

Upgrade communications plan

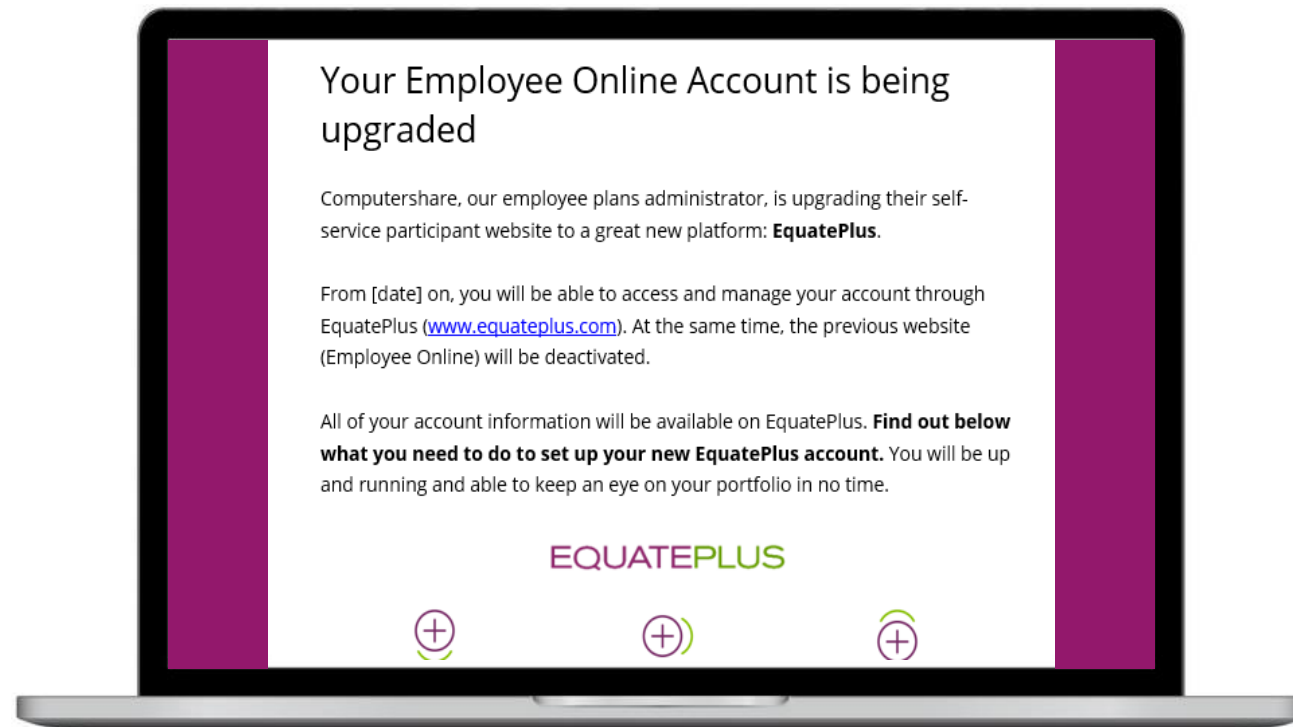
Before you upgrade

On the day of upgrade

After your upgrade

### Internal Intranet Announcement

Approximately six weeks before your upgrade, we'll send you an article that you can host on your intranet. We recommend sharing this with participants the week before the upgrade to give them a preview of what to expect.



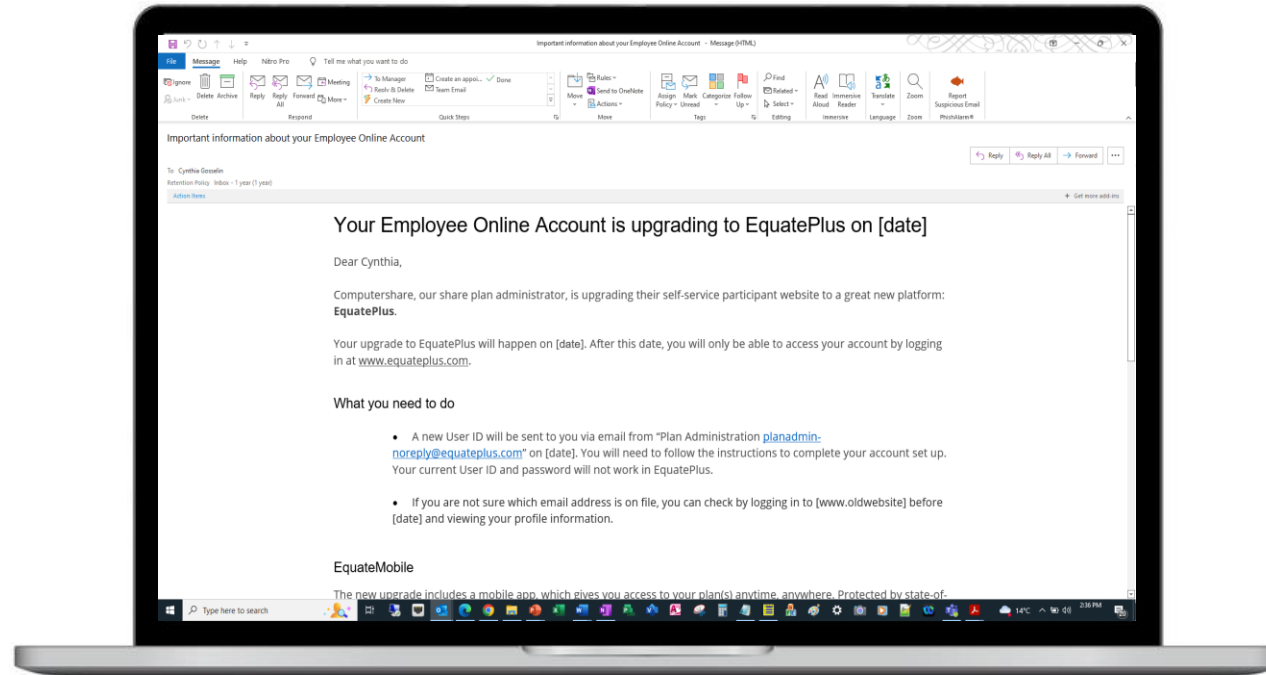
<b>1</b> Corporate Administrator Portal & Reporting	<b>2</b> Participant Portal	<b>3</b> Enhancements & Changes	<b>4</b> Data Management	<b>5</b> Timeline & Deliverables	<b>6</b> Participant Communications	<b>7</b> Solutions	<b>8</b> Glossary & Acronym Finder
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Select an item

- Introduction
- Enhancing our communications offering
- Upgrade communications plan**
- Before you upgrade
- On the day of upgrade
- After your upgrade

### Teaser email to participants

Approximately six weeks before your upgrade, we'll send you a template of an email that you can send to your participants. Our recommendation is that you send this email so that you can change the wording to suit your corporate culture and branding. The email should be sent two to three weeks ahead of the upgrade.





1 Corporate Administrator Portal & Reporting	2 Participant Portal	3 Enhancements & Changes	4 Data Management	5 Timeline & Deliverables	6 Participant Communications	7 Solutions	8 Glossary & Acronym Finder
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Select an item
Introduction
Enhancing our communications offering
<b>Upgrade communications plan</b>
Before you upgrade
<b>On the day of upgrade</b>
After your upgrade

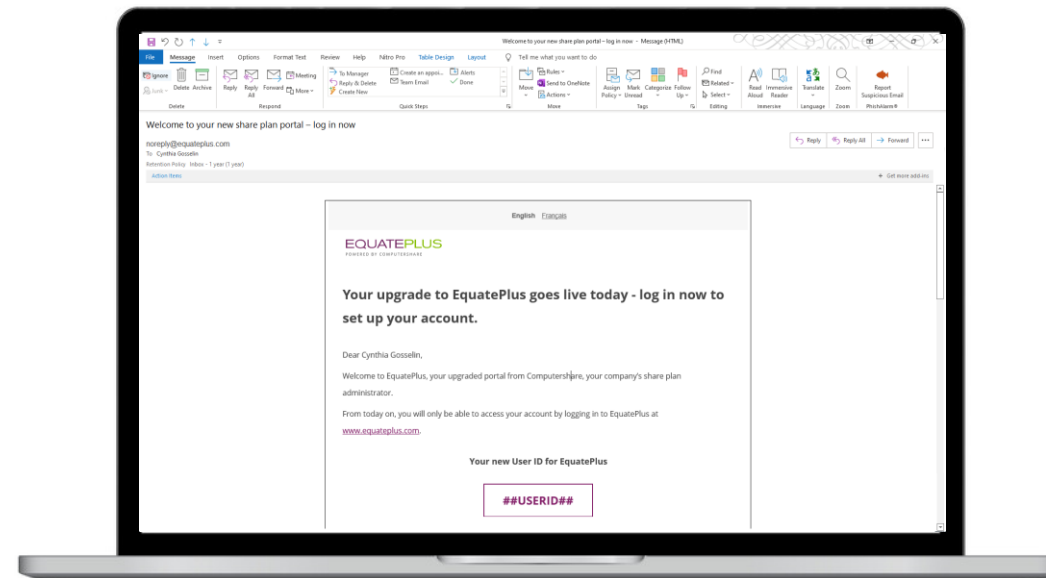
### New User ID Email

EquatePlus will send participants their new UserID.

For security reasons, EquatePlus user IDs are system generated and cannot be customized. Participants will receive a system generated email including their new EquatePlus User ID and information on how to complete their upgrade to EquatePlus. See '[Safelisting and URL requirements](#)' for important information to ensure that your participants can receive these emails.

As this email is a standard template, you'll not be able to change the wording.

👉 If no participant email address is available, we will send the User ID and a temporary password by regular mail to the address on record.



<b>1</b> Corporate Administrator Portal & Reporting	<b>2</b> Participant Portal	<b>3</b> Enhancements & Changes	<b>4</b> Data Management	<b>5</b> Timeline & Deliverables	<b>6</b> Participant Communications	<b>7</b> Solutions	<b>8</b> Glossary & Acronym Finder
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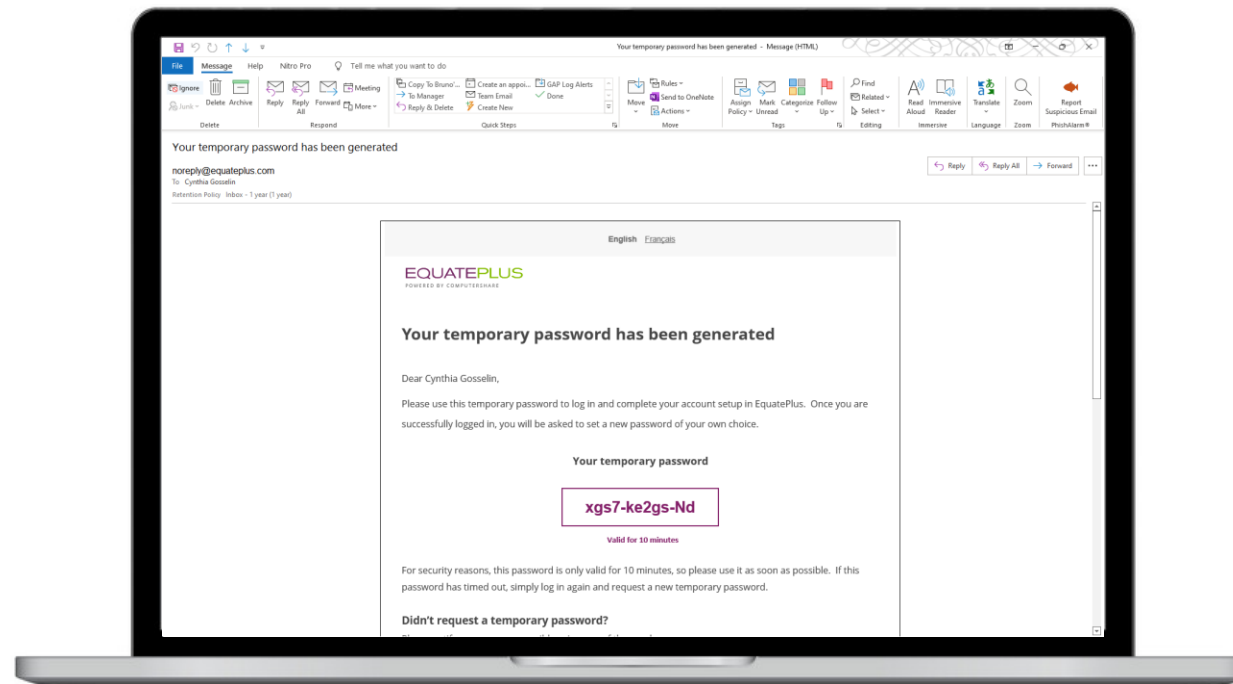
Select an item
Introduction
Enhancing our communications offering
<b>Upgrade communications plan</b>
Before you upgrade
On the day of upgrade
After your upgrade

### Temporary password

EquatePlus will send participants a temporary password.

EquatePlus will generate a temporary password email for each participant when they first log in. As this email is a standard template, you'll not be able to change the wording. See ['Initial Login'](#) in section two for more information.

If no participant email address is available, we will send the User ID and a temporary password by regular mail to the address on record



<b>1</b> Corporate Administrator Portal & Reporting	<b>2</b> Participant Portal	<b>3</b> Enhancements & Changes	<b>4</b> Data Management	<b>5</b> Timeline & Deliverables	<b>6</b> Participant Communications	<b>7</b> Solutions	<b>8</b> Glossary & Acronym Finder
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Select an item

- Introduction
- Enhancing our communications offering
- Upgrade communications plan**
  - Before you upgrade
  - On the day of upgrade**
  - After your upgrade

### Employee Online announcements

Messages will appear on Employee Online throughout the upgrade weekend.

	<p>So as not to prevent participants from transacting during market hours, the upgrade will not start until the relevant stock exchange closes on the Friday of upgrade weekend.</p> <p>All upgrade activities will then be completed over the course of the weekend and participants will receive their User ID emails before the market opens again on Monday morning</p>	
	<p>At market close on the Friday, participant login to Employee Online is disabled. Any participants who try to log in during the upgrade will see the following message:</p>	
	<p>Once the upgrade is complete, a new landing page will be applied to Employee Online. Any participants who try to log in post upgrade will see the following landing page, which includes a link to EquatePlus:</p> <p>Once this has been applied, the User ID emails will be sent.</p>	





**1** Corporate Administrator Portal & Reporting

**2** Participant Portal

**3** Enhancements & Changes

**4** Data Management

**5** Timeline & Deliverables

**6** Participant Communications

**7** Solutions

**8** Glossary & Acronym Finder

Select an item

Introduction

Enhancing our communications offering

**Upgrade communications plan**

Before you upgrade

**On the day of upgrade**

After your upgrade

**Introductory video**

An introductory video will explain how the EquatePlus platform works.

Once participants access EquatePlus, they can watch an introductory video from the carousel module on their homepage or in the Help section to help them understand the new platform



- 1 Corporate Administrator Portal & Reporting
- 2 Participant Portal
- 3 Enhancements & Changes
- 4 Data Management
- 5 Timeline & Deliverables
- 6 Participant Communications
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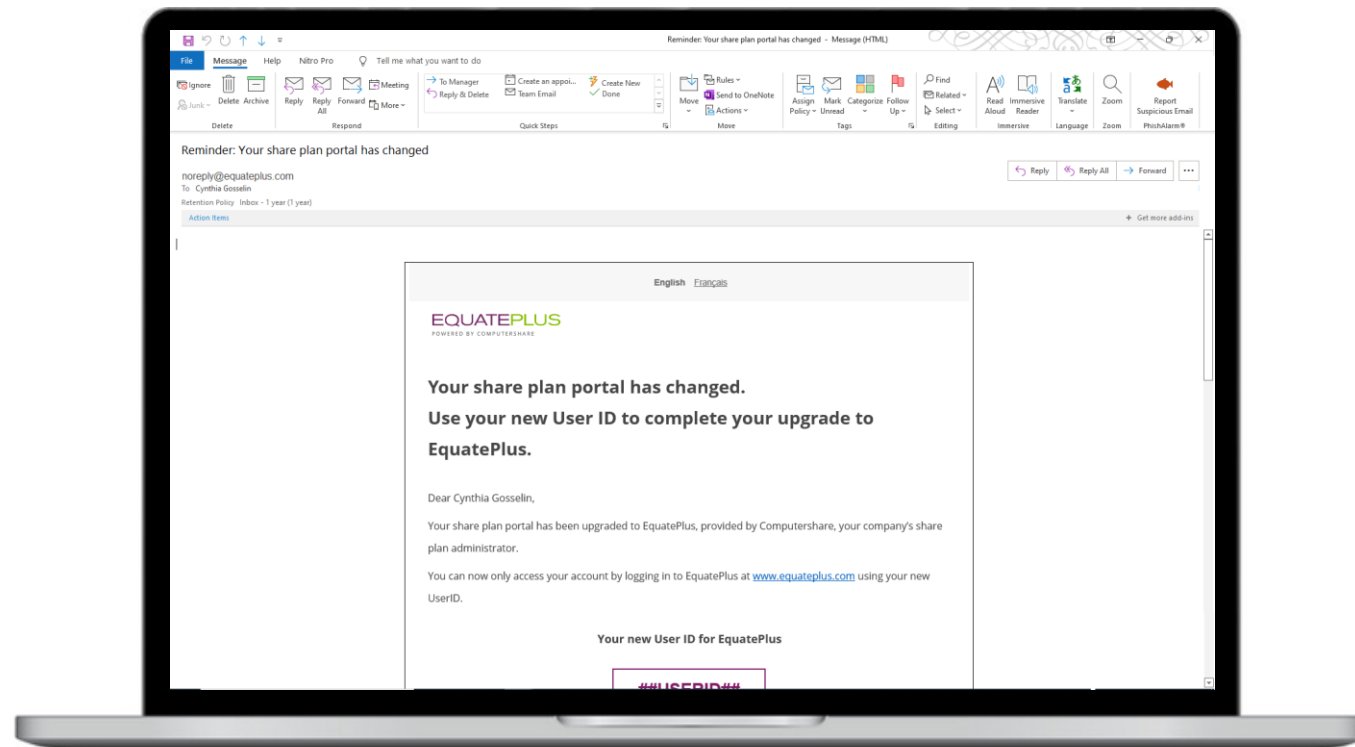
- Select an item
- Introduction
- Enhancing our communications offering
- Upgrade communications plan**
- Before you upgrade
- On the day of upgrade
- After your upgrade

### Reminder email to participants

EquatePlus will remind participants of the change to their User ID.

If participants haven't logged in to EquatePlus after they received the initial User ID mail, EquatePlus will send them a reminder to complete their upgrade. As this email is a standard template, you'll not be able to change the wording.

Reminders are automatically sent 15, 30 and 45 days after the initial user IDs are issued.





<b>1</b> Corporate Administrator Portal & Reporting	<b>2</b> Participant Portal	<b>3</b> Enhancements & Changes	<b>4</b> Data Management	<b>5</b> Timeline & Deliverables	<b>6</b> Participant Communications	<b>7</b> Solutions	<b>8</b> Glossary & Acronym Finder
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Select a solution
<b>Solutions</b>
<b>Introduction</b>
Automated Grant Engine
China Share Plan Solutions
Engage
EquatePyramid
Extended Languages
Mobility Tracking
Single Sign-On
TaxConnect
Trustee Services

## 7 - Solutions

### Introduction

In this section you'll find brief descriptions of the value-added products and services we offer.

<b>Automated Grant Engine</b>	<b>China Share Plans</b>	<b>Engage</b>
<b>Mobility Tracking</b>	<b>Single Sign-On</b>	<b>Tax Connect</b>
<b>EquatePyramid</b>	<b>Extended Languages</b>	<b>Trustee Services</b>

For more information on any of our products and services, please visit the '**Solutions**' section on our microsite, or contact your Relationship Manager.

1 Corporate Administrator Portal & Reporting	2 Participant Portal	3 Enhancements & Changes	4 Data Management	5 Timeline & Deliverables	6 Participant Communications	7 Solutions	8 Glossary & Acronym Finder
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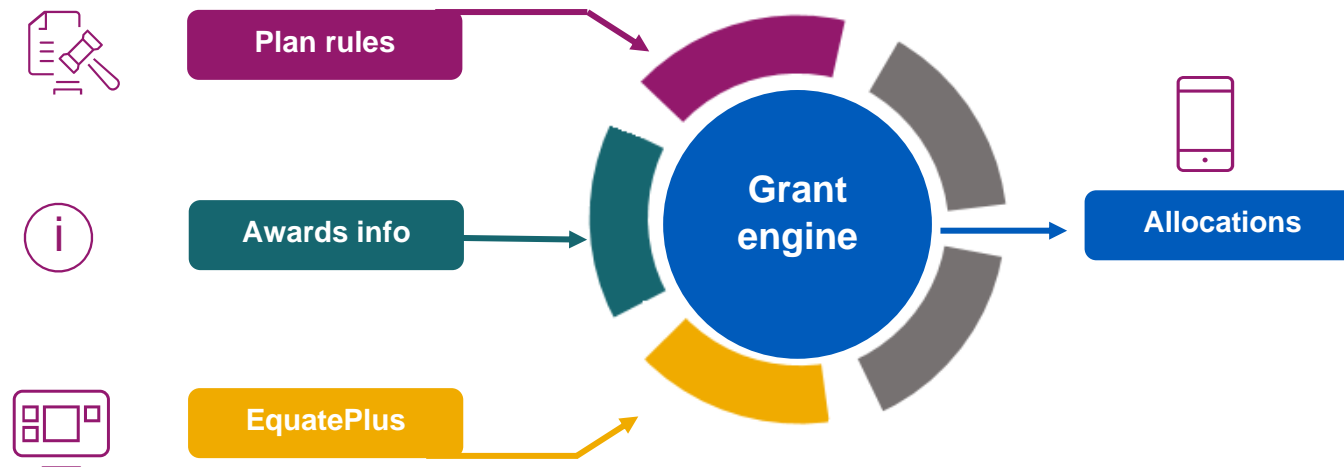
Select a solution
<b>Solutions</b>
Introduction
<b>Automated Grant Engine</b>
China Share Plan Solutions
Engage
EquatePyramid
Extended Languages
Mobility Tracking
Single Sign-On
TaxConnect
Trustee Services

## Automated Grant Engine

### What is it?

Our Automated Grant Engine enables you to deliver new awards without the headaches. It significantly cuts your workload and removes the complexity of new awards with all the certainty of a fully auditable process.

This powerful awards engine comes with a fully supported set-up service from a dedicated team of experts. It is designed specifically for complex multi-jurisdiction schemes with extensive levels, rules, and exceptions.





<b>1</b> Corporate Administrator Portal & Reporting	<b>2</b> Participant Portal	<b>3</b> Enhancements & Changes	<b>4</b> Data Management	<b>5</b> Timeline & Deliverables	<b>6</b> Participant Communications	<b>7</b> Solutions	<b>8</b> Glossary & Acronym Finder
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Select a solution
<b>Solutions</b>
Introduction
Automated Grant Engine
<b>China Share Plan Solutions</b>
Engage
EquatePyramid
Extended Languages
Mobility Tracking
Single Sign-On
TaxConnect
Trustee Services

## China Share Plan Solutions

China Share Plan Solutions is a unique service that will help you offer and boost engagement with China based employees through share plans – compliantly, efficiently, and effectively.

Establishing an equity compensation plan in China can be time-consuming and, without the correct compliance, can lead to potentially serious implications as local regulations can be complex and difficult to navigate.

We will guide you through the regulatory requirements and share the best market practice when launching and managing employee share plans in China.

Our dedicated team has over 15 years’ experience with over 120 employees located in: Beijing, Shanghai, and Hong Kong.

What’s more, we know how to engage with your employees in their language and educate them on the benefits of an employee share plan to maximize participation rates.

Experience	Partnership	Expertise	Employment Engagement	Language capabilities
Our dedicated team in China has over 15 years of experience using best practice to develop bespoke solutions for clients looking to provide employee share plans to China based employees.	We work with you at every stage throughout the process: From a discovery workshop to understand requirements through regulatory approvals to launch and on-going management and reporting.	Our local team of experts understand how to navigate the complex regulatory framework and how it relates to employee share plans so that a new employee share plan can be up and running within four months.	With our local knowledge and global footprint, we know how to engage with employees educating them on the benefits of an employee share plan to maximize participation rates.	Our local Mandarin and English-speaking experts can accompany you to meetings with regulators and help you prepare and review all Chinese-language documents, reducing the time required for approvals




<b>1</b> Corporate Administrator Portal & Reporting	<b>2</b> Participant Portal	<b>3</b> Enhancements & Changes	<b>4</b> Data Management	<b>5</b> Timeline & Deliverables	<b>6</b> Participant Communications	<b>7</b> Solutions	<b>8</b> Glossary & Acronym Finder
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EquatePyramid
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## Engage

Engage is a new way to talk to your employees about share plans. In as little as six weeks, we'll deliver all the communications you need to boost the performance of your share plan. Simply select a theme and we'll look after the rest.

Clear, concise communications are available across a wide range of channels and our templates are easy to configure to your brand guidelines.

Save money	Save time	Improve your communications
 <p>A cost-effective solution to suit all budgets</p>	 <p>Tailoring communications to fit your brand is simpler than starting from scratch</p>	 <p>Created by designers and copywriters of award-winning share plan communications</p>

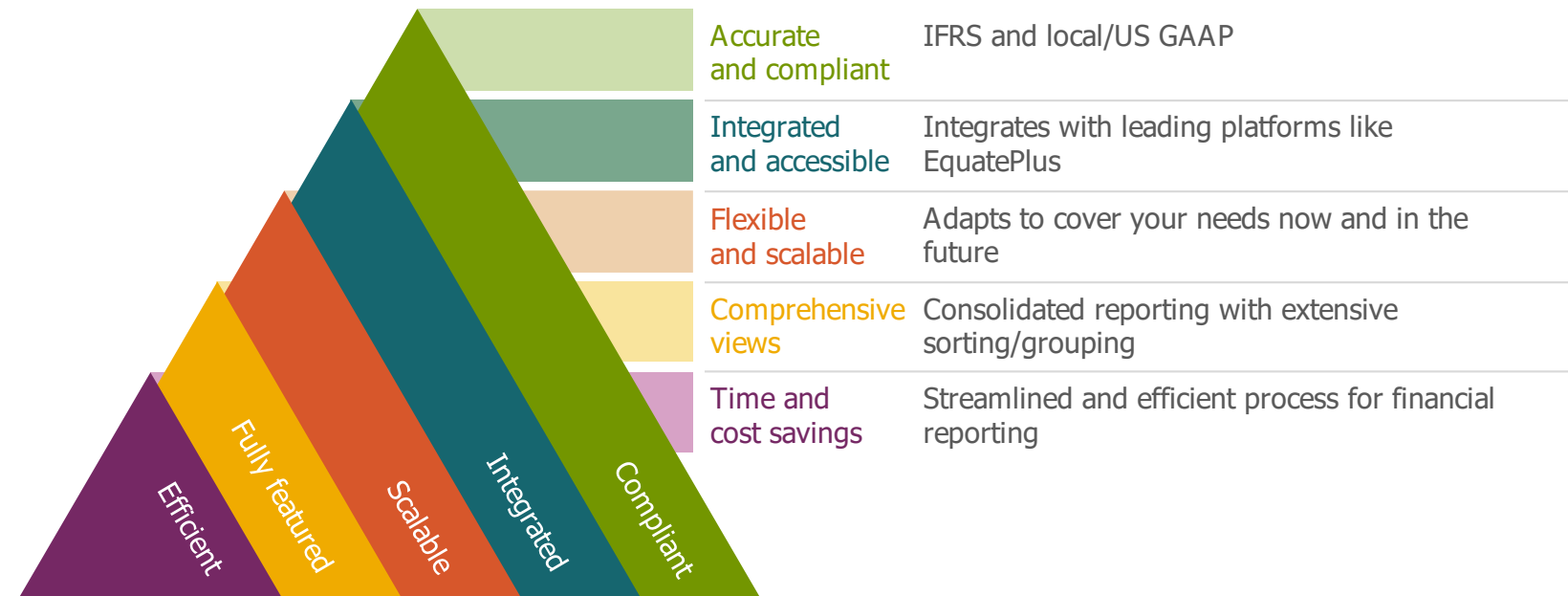
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### EquatePyramid

Our Financial Reporting service is the market leading accounting and financial reporting solution for equity-based compensation plans, fully integrated with EquatePlus. Fully compliant with both IFRS and US GAAP, our experienced team of accounting experts provide services ranging from standard support to full outsourcing and advisory.





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### Extended languages

EquatePlus is available in multiple languages. If you already have additional languages set up for Employee Online, those languages will automatically be carried over to EquatePlus, under the same terms and conditions.

PARTICIPANT PORTAL & COMMUNICATIONS					
Language	AVAILABILITY				Statements / formatted output
	EquatePlus Web Interface	Email Communications	EquateMobile		
Included	English	✓	✓	✓	✓
	French	✓	✓	✓	✓
	Spanish	✓	✓	✓	✓
Extended Languages (\$)	Arabic	✓	✓		
	Chinese (Simplified)	✓	✓	✓	✓* (not all statements are currently supported)
	Chinese (Traditional)	✓	✓		
	Czech	✓	✓		
	Danish	✓	✓		
	Dutch	✓	✓	✓* (no push notifications)	✓
	German	✓	✓	✓	✓
	Hebrew	✓	✓		
	Indonesian	✓	✓		
	Italian	✓	✓	✓	✓
	Japanese	✓	✓		
	Korean	✓	✓		
	Polish	✓	✓		
	Portuguese	✓	✓	✓* (no push notifications)	✓
Russian	✓	✓			
Swedish	✓	✓			
Turkish	✓	✓			



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### Mobility Tracking

Our Mobility Tracking tool is a configurable module in EquatePlus used to facilitate the tracking of mobile participants and includes highly flexible solutions for managing tax through a range of parameters.

- > Simplifies what is often a complex task, providing greater control, transparency and reducing risk
- > Allows reporting to be used in different areas of the administration:
- > Calculation of taxes
- > Exercise cost allocation to different subsidiaries



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## Single Sign-On

Single Sign-On (SSO) provides users with quick and easy access to their EquatePlus account via an automated log in process.

SSO can be set up for your participants (SSO Participant) alone or for your participants (SSO Participant) and your administrators (SSO Corporate).



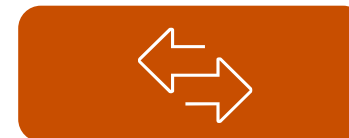
### Speed

Once authenticated on your network, corporate administrators can log in to EquatePlus via a unique URL without entering any further credentials



### Seamless

Reduce potential for frustration and enquiries due to login related problems



### Flexible

Users can still log in with a User ID and password when accessing EquatePlus from outside of your corporate network



### Industry standard

Login is based on a SAML 2.0 token – token is created within a client's network and received in the Computershare network for acceptance

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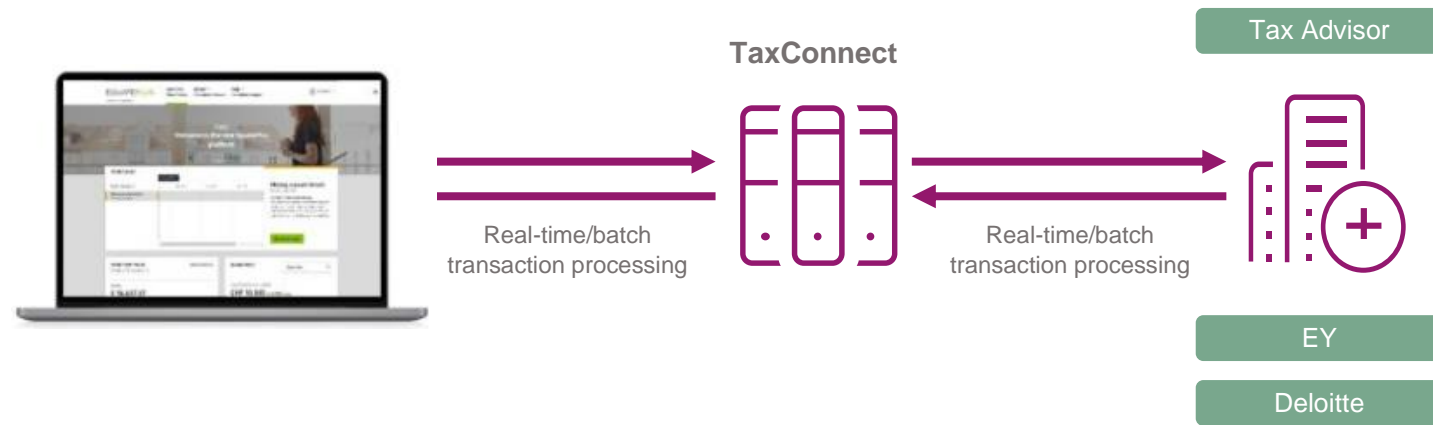
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### TaxConnect (Coming soon!)

TaxConnect integrates EquatePlus with your chosen tax advisor to deliver tax calculations for your globally mobile participants in employee equity plans to provide an effective and timely calculation of taxes.

It introduces a real time tax calculation request to the Tax Advisor in the case of an exercise or tax at vest election to provide an estimated tax position to the participant and batch processing for a vesting event.



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### Trustee Services\*

Sometimes you require more than just a Plan Administrator.

Many employee plan types require a trustee. As a federally regulated trustee, we can serve as both administrative agent and trustee for your plan, offering tax withholding remittance, and reporting at both the participant and trust levels. This enables you to streamline your service providers, resulting in potential cost-savings and the simplicity of working with a single point of contact. We also provide oversight of third-party record keepers of plans of which we are the bare trustee.



\* May not be available in all jurisdictions



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## 8 – Glossary & Acronym finder

### A

<b>ACH</b>	In banking, ACH stands for Automated Clearing House, which is a network that coordinates electronic payments and automated money transfers. ACH is a way to move money between banks without using paper checks, wire transfers, credit card networks, or cash. Rules and regulations that govern the ACH network are established by NACHA and the Federal Reserve.
<b>ACB</b>	Adjusted Cost Basis. Represents the dollar cost of a share lot acquisition adjusted as necessary for fees, corporate actions, return of capital payments, reinvested dividends, wash sales and other processing with impact to cost basis
<b>ADR</b>	American Depositary Receipt. An ADR represents a share, or a defined number of shares, of a non-US company. The shares are held by a depository bank which issues a receipt. ADRs are listed in the UK and US.
<b>Allocation</b>	In EquatePlus, an allocation represents holdings of financial instruments for a participant on its most granular level. Typically such instruments are share based vehicles such as options, warrants, shares or other, more specialized instruments. Because the main purpose of EquatePlus is to manage compensation plans, allocations of such vehicles have special attributes serving this purpose.
<b>Acquisition Date</b>	Trade date of shares; can be an adjusted trade date based on wash sale trade date adjustments.
<b>Average Cost</b>	Cost basis calculation method where the adjusted cost basis of all share lots is totalled and divided by the number of identical CUSIP shares in an account to determine the average cost per share. Only available for dividend reinvestment plans, as defined.
<b>Award</b>	A term used to describe a parcel of shares allotted to an employee in an employee share plan



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## B

- Buffer** The buffer is used to cover the volatility of the market during the sale of the shares. If the volatility is higher than predicted, you have a risk to run into negative cash proceeds. A buffer which is not high enough means that the transaction runs into negative cash proceeds.
- BUWT** Backup Withholding Tax. A US tax for non W8/W9 holders resident in the US. Currently at 18% of gross proceeds of sale, but this value may be varied.

## C

- Cash Payout** TaV Transaction Type. Taxes are withheld internally (simulated transaction; participants receive cash)
- Cost Basis** The initial cost for tax purposes of shares acquired. Used to determine capital gains at the time of a sale.
- Covered Securities** Investments for which mandatory basis reporting is required under the legislation.
- Covered Shares** Shares that have been purchased for equities covered under cost basis regulations within regulation timeframes.

## D

- Deferral Date** EquatePlus may have a technical deferral date on every allocation. Deferral date is not mandatory but if set, the system is blocked from any transaction.
- DOT** Declaratio of Trust. A legal document confirming the terms on which an asset, such as shares, is held in trust. The document usually records the terms agreed by the parties.



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**E**

<b>Eligibility</b>	The process of determining those employees that are entitled to or qualify for participation in an employee share plan (ESP).
<b>Enrolment</b>	The process of an eligible employee electing to participate in an employee share plan (ESP).
<b>Exersale</b>	Exercise Transaction Type. All shares are sold (market transaction; participants receive cash)
<b>Exercise</b>	Exercise Transaction Type. No shares are sold (non-market transaction; participants have to pay any applicable costs directly to Computershare)
<b>Execution Price</b>	<p>Once all orders have been executed, the average price will be applied to all the TAV transactions. An executed price lower than the indicative market price could lead to negative cash proceeds as we received less money than expected.</p> <p>As a perfect prediction of the executed price is impossible, the system can apply a buffer. The buffer is used to cover the volatility of the market during the sale of the shares. If the volatility is higher than predicted, you have a risk to run into negative cash proceeds.</p> <p><b>Execution price &gt; indicative price:</b></p> <p>The residual cash will be either booked to the participants account or payroll account. The shares will rollover into EquatePlus.</p> <p><b>Execution price &lt; indicative price:</b></p> <p>The buffer needs to be high enough to cover that gap. The residual cash will be booked either to the participants account or payroll account.</p>

**F**

<b>FATCA</b>	“Foreign Account Tax Compliance Act”. Enacted into law as part of the Hiring Incentives to Restore Employment (“HIRE”) Act of 2010 on March 18, 2010. Effective for withhold-able payments after 2013.
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<b>P</b>	<b>Q</b>	<b>R</b>	<b>S</b>	<b>T</b>	
<b>U</b>	<b>V</b>	<b>W</b>	<b>X</b>	<b>Y</b>	<b>Z</b>
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**G**

**H**

**Holding period** The amount of time elapsed between the acquisition of shares and the disposal (i.e. sale) of the same shares.

**I**

**Indicative Price** The indicative price is defined by the last available price in the system at point of TAV order generation.

EquatePlus will use the Indicative Price to estimate the number of shares to sell or withhold. The final price is not known until all orders have been executed.

The system takes the tax amount required and divides it by the indicative market price to calculate the number of shares to be sold to cover the taxes.

The calculation would also consider commissions/fees and a buffer.

**Intermediary Bank** To transfer money, a bank must have an established “relationship” with the receiving bank. When the transferring bank does not have such a relationship, it must find a third bank (with which they do have a relationship) that has an established relationship with the receiving bank. The originating bank transfers your money to the “middle” or intermediary bank. The intermediary bank then transfers it to the receiving bank and charges the person transferring the money an additional transfer fee.

**J**

**K**

**L**

**Lapse Date** The actual date units are available to be released. The latest of the Vest Date, Deferral Date and Restriction Date





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## M

## N

**Negative Cash** Insufficient cash to cover costs

**Non-Covered Shares** Shares obtained prior to cost basis timeframe for that class.

**Notional** Can refer to shares or dividends. They are called notional as they don't yet belong to their final recipients.

**NR301** Form NR301 is a declaration statement for non-resident taxpayers, resident of a country that Canada has a tax treaty with, to claim reduced tax rates or exemptions provided by the applicable tax treaty.

## O

**Offer (Offering)** A term used to describe the process of presenting an employee share plan(s) to employees for the purpose of accepting (or rejecting).

**Offer Close Date** The date from which an employee can no longer enrol (or make an election) into an employee share plan or scheme.

**Offer Open Date** The date from which an employee can enrol (or make an election) into an employee share plan or scheme.

**Offering Period** The period of time between Offer Open and Offer Close Dates that an employee is able to enrol (or make an election) into an employee share plan.

## P

## Q



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<b>U</b>	<b>V</b>	<b>W</b>	<b>X</b>	<b>Y</b>	<b>Z</b>
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**R**

<b>Rollover</b>	Release or Exercise which results into a new VSA allocation
<b>Rollback</b>	Removing rollover shares from the VSA
<b>Restriction Date</b>	EquatePlus has a technical restriction date on every allocation. Restriction date blocks the system from any transaction.

**S**

<b>STC</b>	Sell to Cover, TaV or Exercise Transaction Type. A portion of shares is sold (market transaction; participants receive net shares)
<b>Sell</b>	TaV Transaction Type. All shares are sold (market transaction; participants receive cash)
<b>Share Lots</b>	A group of shares associated with a single purchase/reinvest or transfer transaction. Shares in a lot share key data elements such as acquisition date and share price, including basis adjustments.
<b>Short term</b>	Holding period is less than or equal to one year.
<b>SWIFT</b>	Society for Worldwide Interbank Financial Telecommunication. An international network that enables financial institutions worldwide to send and receive information about financial transactions in a secure, standardized, and reliable environment

**T**

<b>TaV Election / Advanced Election</b>	Tax at Vest election
<b>TFSA</b>	Tax-Free Savings Account. The TFSA program began in 2009. It is a way for Canadians who are 18 and older and who have a valid social insurance number (SIN) to set money aside tax-free throughout their lifetime. Contributions to a TFSA are not deductible for income tax purposes. Any amount contributed as well as any income earned in the account (for example, investment income and capital gains) is generally tax-free, even when it is withdrawn. Administrative or other fees in relation to TFSA and any interest or money borrowed to contribute to a TFSA are not tax deductible.



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**U**

**V**

<b>Vesting Date</b>	EquatePlus has a technical vesting date on every allocation
<b>Value Date</b>	The date on which a sum of money is credited or debited, or from which interest begins to accrue.
<b>Vehicle</b>	<p>The security or derivative being allocated to the participant</p> <p>There are three (3) types of Vehicles:</p> <ul style="list-style-type: none"> <li>&gt; Share</li> <li>&gt; Option</li> <li>&gt; Warrant</li> </ul>
<b>Vesting Period</b>	<p>The period of time before EquatePlus vehicles (options, shares etc.) are owned unconditionally by an employee / participant.</p> <p>Vehicles vest after the Vesting Period on Vesting Date. If the employment terminates before this period ends, the company might cancel or forfeit unvested vehicles .</p>
<b>VSA</b>	Vested Share Account – Long shares. Repository for vested shares.



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<b>U</b>	<b>V</b>	<b>W</b>	<b>X</b>	<b>Y</b>	<b>Z</b>
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**W**

**WTC / Withhold to cover** TaV Transaction Type. Withhold to Cover - A transaction that results in shares, and consists of withholding part of the quantity to cover the tax liability.

**Wash sale** A shareholder sells a share lot at a loss and re-acquires shares of same security within 30 days before or after the sale.

**Wire Transfer** Within the United States, banks may transfer funds through the Federal Reserve Wire Network (Fedwire) or the Clearing House Interbank Payments System (CHIPS). CHIPS, a bank-owned competitor of the Federal Reserve Network, clears more than \$2 trillion in wire payments every day. Internationally, the Society for Worldwide Interbank Financial Telecommunication (SWIFT) processes the lion's share of international transfers. Wire instructions.

**W8-BEN** Form W-8BEN ("Certificate of Foreign Status of Beneficial Owner for United States Tax Withholding and Reporting") must be submitted by foreign persons who receive certain types of income in the United States. The form, sometimes referred to as a "certificate of foreign status," establishes that the individual is a foreign person

**W9** A W-9 form is an Internal Revenue Service (IRS) tax form that is used to confirm a person's name, address, and taxpayer identification number (TIN) for employment or other income-generating purposes. The confirmation can be requested for either an individual defined as a U.S. citizen or a person defined as a resident alien.

**Wash Sale** The wash-sale rule is an Internal Revenue Service (IRS) regulation that prevents a taxpayer from taking a tax deduction for a security sold in a wash sale.

The rule defines a wash sale as one that occurs when an individual sells or trades a security at a loss and, within 30 days before or after this sale, buys a "substantially identical" stock or security, or acquires a contract or option to do so.

A wash sale also results if an individual sells a security, and the individual's spouse or a company controlled by the individual buys a substantially equivalent security.

The intent of the wash-sale rule is to prevent investors from abusing wash sales so as to maximize tax benefits

**X**

**Y**

**Z**



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**\$25,000 Limit Rule**

The \$25,000 limit applies to all qualified Section 423 plans.

An employee may not purchase more than \$25,000 worth of stock (based on fair market value on the first day of the offering period) for each calendar year in which the offering period is in effect. Where the offering period extends over more than one calendar year, the limit is \$25,000 worth of stock for each calendar year in which the offering period is in effect.

**6039 Reporting**

Section 6039 of the Internal Revenue Code requires companies to send an information statement to an employee who exercises ISOs (IRS Form 3921) or transfers ESPP shares (IRS Form 3922). Statements for exercises and transfers in any given calendar year must be provided by January 31 of the following year. Companies also file these statements with the IRS.



## CRS &amp; FATCA Self-Certification Form



## CRS &amp; FATCA Self-Certification Form

Please read these instructions before completing the form

Why are we asking you to fill in this form?	▼
What happens if I do not complete this form?	▼
Where do I look for further information?	▼

## The form

ZZZZ-Please complete the form sections as directed on the screen and provide any additional information that might subsequently be requested from you, in order to enable the determination of your FATCA and CRS status. **Relevant definitions for the completion of this form are available in the help section (?)**.

Part 1: Identification of account holder (?)

## Personal information

Title	First name	Middle name	Surname
	BULK_458		Testing
Town or city of birth	* Country of citizenship 1		
	United Kingdom		▼
* Country of birth	Country of citizenship 2		
			▼
Date of birth	Country of citizenship 3		
Jan 1, 1990			▼
Current residence address		Mailing address	
Address 1		Address 1	
Address 2		Address 2	
Country		Country	
		▼	

Part 2: Identification of U.S. persons (?)

The purpose of this section is to determine whether you should be considered as a U.S. Person for FATCA purposes, and would therefore be required to submit a U.S. tax form.

\* Do you hold a valid Green Card?

Yes  No

\* Are you a U.S. resident or have you lived in the U.S. for more than 183 days in total during the last 3 years?

Yes  No

## Part 3: Country of residence for tax purposes

Please select your country of residence for tax purposes. If you have only one country of residence for tax purposes, please confirm by selecting the checkbox below and skip Part 5 of this form.

If you have more than one country of residence for tax purposes, please provide the additional countries in Part 5 of this form.

**U.S. Citizens / U.S. Persons:** please include the United States here or in Part 5 of this form, as we would expect that you are subject to U.S. income tax.

\* Country

 ▼

I certify that for the purposes of taxation I am NOT a tax resident in any other country other than the country indicated in this section.



#### Part 4: Taxpayer identification number or functional equivalent ?

Please provide the taxpayer identification number or equivalent in the country of residence for tax purposes selected in Part 3. For details about the relevant taxpayer identification in your country, please click help icon or consult the [OECD website](#).

\* Taxpayer identification number

If you are unable to provide your taxpayer identification number, please select a reason:

- The country of residence in Part 3 does not issue taxpayer identification numbers to its residents
- Domestic law for Australia and Japan does not require me to provide it.
- I am unable to obtain a taxpayer identification number (Please select any option from below)
- I am a minor (under the age of 18) and do not have a Taxpayer identification number yet.
- I have applied for a Taxpayer identification number, but have not yet received one.
- I have recently moved to this country and do not have a Taxpayer identification number yet.

#### Part 5: Additional countries of residence for tax purposes ?

Please skip this section if you certified a single country for tax purposes in Part 3.

For the purposes of taxation, I certify that in addition to the country set out in Part 3, I am also a tax resident in the following countries:

Country 1	Taxpayer identification number 1	
<input type="text"/>	<input type="text"/>	<input type="checkbox"/> Not issued / not yet known
Country 2	Taxpayer identification number 2	
<input type="text"/>	<input type="text"/>	<input type="checkbox"/> Not issued / not yet known

If you are unable to provide a taxpayer identification number for any of the above listed countries, **please ensure the checkbox is selected and provide a reason why the taxpayer identification number cannot be obtained.**

Your comment

#### Part 6: Declaration and signature ?

\*  I acknowledge that the information contained in this form and other information concerning me as Account Holder may be reported to the tax authorities of the country in which this account(s) is/are maintained. This information may then be exchanged with the tax authorities of another country or countries in which I may be tax resident, where those countries (or tax authorities in those countries) have entered into agreements to exchange financial account information among them. I certify that I am the Account Holder of all the account(s) to which this form relates. I declare that all statements made in this declaration are, to the best of my knowledge and belief, correct and complete.

I agree to inform Computershare within 30 days of any change in circumstance that affects my tax residence status, or if that the information contained within the form becomes out of date. I agree to provide an updated self-certification form to Computershare within 90 days of any such changes.

\* Date of signature

Comments

Save

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## Substitute W-8BEN Form

Certification of Foreign Status of Beneficial Owner for United States Tax Withholding (Individuals). Read instructions on [IRS website](#)

Note: If you are a resident in a FATCA partner jurisdiction (i.e., a Model 1 IGA jurisdiction with reciprocity), certain tax account information may be provided to your jurisdiction of residence.

### Part 1 - Identification of Beneficial Owner

#### Personal Information

<p>Title</p> <input type="text"/>	<p>Type of Beneficial Owner</p> <p><input checked="" type="radio"/> Individual</p>
<p>First Name</p> <input type="text"/>	
<p>Middle Name</p> <input type="text"/>	
<p>Surname</p> <input type="text" value="*****[th"/>	
<p>Citizenship <span style="float: right;">?</span></p> <p>United States <span style="float: right;">▼</span></p>	

<p><b>Permanent Residence Address</b></p> <hr/> <p>Address 1</p> <input type="text"/> <p>Address 2</p> <input type="text"/> <p>Address 3</p> <input type="text"/> <p>Postal code</p> <input type="text"/> <p>City</p> <input type="text"/> <p>State</p> <input type="text"/> <p>Country</p> <input type="text" value="▼"/>	<p><b>Mailing Address (if different to Permanent Residence Address)</b></p> <hr/> <p>Address 1</p> <input type="text"/> <p>Address 2</p> <input type="text"/> <p>Address 3</p> <input type="text"/> <p>Postal code</p> <input type="text"/> <p>City</p> <input type="text"/> <p>State</p> <input type="text"/> <p>Country</p> <input type="text" value="▼"/>
--	--

<p><b>Taxpayer Identification Number</b></p> <hr/>	
<p>US Taxpayer Identification Number (SSN/ITIN) <span style="float: right;">?</span></p> <input type="text"/> <p>Foreign Tax Identification Number (FTIN) <span style="float: right;">?</span></p> <input type="text"/>	<p>Date of Birth</p> <input type="text"/> <p>If applicable, please select a reason for not providing your FTIN</p> <input type="text" value="▼"/>

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## Part 2 - Claim of Tax Treaty benefits

You may be eligible for a reduction in the 30% U.S. withholding tax on dividends paid to you if you are a resident of a country which the United States has an income tax treaty with a reduced rate of withholding for dividends. To be eligible for this, please provide your country of permanent residence below.

I certify that I am a resident of the country listed below within the meaning of the income tax treaty between the United States and that country.

## Part 3 - Certification

Under penalties of perjury, I declare that I have examined the information on this form and to the best of my knowledge and belief it is true, correct, and complete. I further certify under penalties of perjury that:

1. I am the individual that is the beneficial owner (or am authorized to sign for the individual that is the beneficial owner) of all the income to which this form relates,
2. The person named in Part 1 above is not a U.S. person, ?
3. The income to which this form relates is: (a) not effectively connected with the conduct of a trade or business in the United States, (b) effectively connected but is not subject to tax under an income tax treaty, or (c) the partner's share of a partnership's effectively connected income,
4. The person named in Part 1 is a resident of the treaty country provided (if any) within the meaning of the income tax treaty between the United States and that country, and
5. For broker transactions or barter exchanges, the beneficial owner is an exempt foreign person as defined in the instructions.

Furthermore, I authorize this form to be provided to any withholding agent that has control, receipt, or custody of the income of which I am the beneficial owner or any withholding agent that can disburse or make payments of the income of which I am the beneficial owner. **I agree that I will submit a new form within 30 days if any certifications made on this form becomes incorrect.**

Name of beneficial owner ?

Date of Signature

By checking this box I am electronically signing this Form W-8BEN and certifying under penalties of perjury that I am not a U.S. person and the information listed above on this Form W-8BEN is complete and accurate.

Save

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### Substitute W-9 Form

Request for Taxpayer Identification Number and Certification.  
 Read instructions on [IRS website](#)

**Type of Beneficial Owner**

Individual  Trust/Estate

**Personal Information**

First name

Dedalus

Surname

Diggie

Participant ID

EZXE990985541

**Permanent Residence Address**

Address




Postal code

City

State

Country

**Exemptions**

Exempt payee code (if any)

Exemption from FATCA reporting code (if any)

**Part 1 - Taxpayer Identification Number (TIN)**

Enter your TIN in the appropriate box. The TIN provided must match the name given on this Form to avoid backup withholding. For individuals, this is your social security number (SSN).

SSN / TIN

**Part 2 - Certification**

Under penalties of perjury, I certify that

- The number shown on this form is my correct taxpayer identification number (or I am waiting for a number to be issued to me), and
- I am not subject to backup withholding because: (a) I am exempt from backup withholding, or (b) I have not been notified by the Internal Revenue Service (IRS) that I am subject to backup withholding as a result of a failure to report all interest or dividends, or (c) the IRS has notified me that I am no longer subject to backup withholding;

**By checking this box I request that this section 2 is crossed out, consequently, I instruct the Financial Institution maintaining my accounts to apply backup withholding.**

NOTE: This section two must be crossed out only if you are subject to backup withholding, that is, if you are **NOT exempt** from backup withholding. For example, if you have been notified by the IRS that you are currently subject to backup withholding because you failed to report all interest and dividends on your tax return.

- I am a U.S. citizen or a U.S. person (as defined in the instructions from the IRS website)
- The FATCA code(s) entered in this form (if any) indicating that I am exempt from FATCA reporting is correct

**I am hereby electronically signing this W9 Substitute Form and certifying under penalties of perjury that the information listed above is complete and accurate.** I understand and agree that, as a result of my tax designation as US Person, all information concerning me as Account Holder – including but not limited to: my name and address, beneficial ownership information, my tax identification number, copies of this W9 Substitute Form and/or the data contained in this W9 equivalent-Form or any other IRS forms on file, together with account statements, the amount of assets held in aggregate, revenues and income received on my Accounts and any other information which may be requested or required by the IRS (collectively, the "Data") – will be shared with the relevant Tax Authorities of the jurisdiction(s) where my Account(s) is held, and they might subsequently transfer such Data to the United States Internal Revenue Service (IRS).

**I hereby authorise the Financial Institution(s) maintaining the account(s) where my portfolio assets are held, to share the information entered on this form with my employer.**

Date of Signature: