



Stock Plan Services

Empower your
employees
to choose
ownership.

To attract, nurture, and retain top talent, you need to provide education and guidance that help employees understand, embrace, and take full advantage of their equity award benefits.

Schwab Stock Plan Services can help you ignite your employees' sense of ownership in your company's success by providing the answers and support they need to move toward their goals.

That's a good thing—for them, and for your company. Because when employees feel on track with their own goals, they may be more likely to commit to your company's long-term success.

With Schwab, you can:

- Empower your employees to take control of their financial future
- Help meet the growing demand for financial services education in the workplace
- Reinforce the value of equity award benefits as part of a total rewards program
- Show your long-term commitment to your employees' financial well-being



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Own your tomorrow.

Equity Award Consultation Team.

A navigator makes every journey easier. And an individual consultation can make a big difference for employees who want to make the most of their equity awards. That's why we created the Equity Award Consultation Team (EACT), one of the first in the industry. Our team connects your employees with the guidance they need to help them unlock the value of their equity awards.

Our licensed, experienced professionals offer individual consultations to your U.S.-based employees. Employees at all levels can turn to the EACT for one-on-one equity award guidance through a dedicated toll-free number, Monday through Friday.

During a consultation, employees can get answers to their specific equity award questions and explanations of features such as stock option awards, restricted stock awards and units, and performance awards—and how these and other plan details affect their financial goals.

A personalized EACT consultation builds confidence by presenting information in a simple and straightforward manner and by helping employees clarify their overall financial objectives with a detailed analysis that includes:

- A thorough review of the employee's current equity award holdings
- The current and potential value of the employee's equity awards—delivered as a helpful reference to guide their plans for the future
- An action plan based on the employee's financial goals
- Post-consultation follow-ups as often as needed
- Explanation of some of the potential tax implications of equity award transactions (The team does not provide tax advice.)

**“EACT opened my eyes to additional investment services
that enhanced the value of my equity award benefit.”***

–EACT participant

Dedicated plan service representatives.

Our dedicated plan service representatives are your employees' first point of contact and are able to engage in consultative dialogue that helps employees identify their needs. Working closely with the Equity Award Consultation Team, your dedicated plan representatives connect employees with valuable resources that can help them get the special attention and support they need.

Specialized representatives are available from 9 a.m. to 9 p.m. ET, Monday through Friday, through a toll-free number.

Live, on-site educational seminars.

A powerful way to help your employees get more from their equity awards is to bring meaningful discussion to the workplace. You can work with us to bring together equity award professionals from across Schwab's nationwide network to coordinate live, on-site financial seminars that touch on a broad range of financial topics—everything from managing a stock plan and investing assets to saving for a child's education and planning for retirement.

In-person consultations.

Your participants can get a complimentary¹ face-to-face consultation with a Financial Consultant at any of 300 Schwab branches nationwide. Branch consultants can assess employees' broader financial situations and evaluate them in a local, relevant context. Plus, we deliver insight and experience from across the whole Schwab enterprise.

Executive Services.

Because financial needs become more complex as wealth grows, we offer preferred services for your senior-level employees. Schwab Executive Services helps your executives manage personal assets so they can focus on their demanding careers. Our comprehensive services can be a strategic talent-retention tool for your company, as well as a competitive advantage in acquiring new talent.

Your executives enjoy an ongoing, one-on-one relationship with a dedicated Financial Consultant experienced in serving high-net-worth individuals. Other benefits include:

- A team of subject-matter experts² in the areas of tax planning, trust and estate planning, financial planning, equity compensation strategy, nonqualified retirement plans, alternative investments, and insurance
- Equity compensation specialists—experienced stock option traders trained in Rule 10b5-1 plans, large block trades, restricted stock, and securities regulations³
- Special pricing for equity commissions and select services
- A direct line to our Section 16 reporting team for personal assistance with complex stock plan issues and reporting

Online tools and education.

On the Schwab Equity Award Center® website, your domestic and international employees have access to comprehensive account servicing and employee education via the integrated Schwab KnowledgeCenter.

Employees get:

- Account statements that show total activity across all grant types and transaction history
- Timely articles and tools—including insightful coverage of tax issues—from myStockOptions.com®, a leading industry resource^{2,4}
- Online seminars, educational materials, and relevant guidance on options and other equity awards

To learn how Schwab Stock Plan Services can serve you and your employees, contact us at **1-877-456-0777**, or visit schwab.com/sps.

Take the next step.

Are your employees currently getting the support, guidance, and educational resources they need from your stock plan? Schwab is committed to helping your employees take ownership of their financial futures.

With Schwab, you'll get a stock plan provider rooted in ownership and committed to your unique and evolving stock plan needs—today and in the future.

¹ The financial consultation is complimentary, though the implementation of any recommendations made during the consultation may result in trade commissions or other fees, charges, or expenses.

² Some of the above services are provided by third-party firms that are not affiliated with or employees of Schwab. You must decide whether to hire any firm and the appropriateness of their services for you or your firm. Schwab does not supervise third-party firms and takes no responsibility to monitor the services they provide to you.

³ Schwab does not provide legal, tax, or compliance advice. Consult professionals in these fields to address your specific circumstances.

⁴ MyStockOptions is not affiliated with Charles Schwab & Co., Inc. or its affiliates. Schwab is not responsible for the content on their website and does not provide, edit, or endorse any of the content. MyStockOptions is wholly responsible for the content and features found on their site.

Information provided by the Equity Award Consultation Team is not intended to be a substitute for specific individualized tax, compliance, regulatory, or legal advice. Where specific advice is necessary or appropriate, please consult a professional.

Schwab Stock Plan Services provides equity compensation plan services and other financial services to corporations and executives through Charles Schwab & Co., Inc. ("Schwab"). Schwab, a registered broker-dealer, offers brokerage and custody services to its customers.

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