

Stock Plan solutions from Schwab

A young woman with long, wavy brown hair is smiling broadly while looking at her smartphone. She is wearing a dark jacket and a gold chain necklace. The background is a bright, slightly blurred outdoor setting.


charles
SCHWAB

Own your tomorrow.

Ownership matters.

Your employees have a stake in your company's success. And your stock plan is more than just a way to reward them. It's an invitation to turn earners into owners.

Forward-thinking companies know that the right stock plan is an opportunity to forge a shared vision of success between employees and the company those employees are helping to build. When your employees buy into that shared future, they'll understand that ownership matters.



Schwab is an innovative leader in the stock plan industry.

Make the most of your stock plan.

With the right stock plan provider, you get the resources you need to develop a plan strategy and administer it effectively. You'll also get the support you need to provide your employees with meaningful guidance that can help them take control of their financial future. That's important, because the more confident your employees feel about their finances, the more likely they are to be engaged, focused, and committed.

With Schwab Stock Plan Services, your stock plan can do more—for your business and your employees. You'll have a powerful suite of tools to help you make the most of your plan, including robust web-based recordkeeping and reporting technology, extensive education resources, and personalized guidance that can empower employees to take the driver's seat in their financial lives.

We were among the first to introduce:

- Truly flexible co-sourced administration, allowing you to keep as much of the plan administration as you want in-house
- A fully web-based solution, empowering you to handle all reporting and recordkeeping online
- A direct line to your client service manager, enabling you to get answers when you need them
- Consultative support for your employee education program
- The Equity Award Consultation Team, making individual financial consultations available to domestic employees at all levels

Invest in mutual, long-term success.

Your stock plan is an essential part of your long-term business strategy. With Schwab Stock Plan Services, you get what you need to run your stock plan effectively and attract, nurture, and retain top talent. Whatever grant type you issue—stock options, restricted stock, stock appreciation rights, performance shares, or employee stock purchase plans—we're here to help you administer your plan and deliver tools that will help you provide a competitive equity award benefit to your employees, today and for years to come.

Your go-to ally.

Your dedicated team of equity compensation specialists is ready to help with a range of services, from day-to-day client service to long-term equity planning and employee education.

Schwab gives you a direct line to your Schwab Client Service Manager, your go-to person for daily plan administration. You'll also have the support of additional Schwab representatives in administration, recordkeeping, education, and other aspects of your stock plan.

Beyond plan administration, our team will work with you to support your company's vision for the future and help you align your equity award program with that vision. Schwab brings broad financial industry insights to the table and can respond quickly to changing regulations and rules. We help you think strategically about your company's future needs—and help you design your stock plan with your objectives in mind.



Your dedicated team

Stock Plan Conversion Manager

Transfers your stock plan data

Stock Plan Conversion Analyst

Supports the conversion process

Client Service Manager

Your go-to person for daily plan administration

Stock Plan Education Consultant


Develops your customized education strategy

Senior Team Manager

Provides escalation support and checks in periodically

Executive Services Financial Consultant

Provides one-on-one guidance for participants with more complex needs



We help you
get the most
value from your
stock plan.



Administrative flexibility and choice.

Do as much or as little of the plan administration as you like. With Schwab, you can outsource your entire plan to save time and resources, or you can choose certain parts of the work to outsource according to your company's unique needs. We even offer the option to provide only brokerage services for your employees.

Your company or your strategy may evolve over time, so we'll never lock you into one service solution. What's more, our systems are designed to grant your awards globally, allowing you to support overseas and domestic employees.



A complete web-based technology solution.

Schwab's web-based solutions put powerful stock plan tools in your hands. Our technology allows you to manage all your reporting and recordkeeping needs online, with upgrades and support handled by Schwab.

IFRS 2 functionality, ASC 718 reporting, and Section 16 forms and reporting are fully integrated into our platform. In addition, our reporting capabilities give you easy, flexible options for sorting, displaying, and delivering plan data. Schwab also provides a test environment—called Schwab EquiView Modeler®—that allows you to run scenarios and model the effects using real data, helping you more confidently and seamlessly make adjustments to your plan.

You can plan ahead and automate tasks that could take hours manually, and our user-friendly technology keeps pace with changing regulations, helping you focus on what matters most. Schwab continues to improve and build upon our powerful, easy-to-use online tools so that you can work smarter and more efficiently without having to spend hours learning a new system.



Support for your global workforce.

To serve today's global workforce, Schwab's participant web portal is available in six languages. Your international participants will be able to email or speak with a Schwab representative five days a week—in any of more than 140 languages. And to keep up with your employees as they move across the globe, mobility tracking stores and date-stamps critical data changes.

Invest in your employees' future.

When your employees trust that you're invested in their success, they're more likely to invest in your company's future. With guidance, support, and education, your employees get more value from their equity award benefits, and you can nurture a more committed team. Together, you and Schwab can help your employees set a foundation for achieving their overall financial goals.



Knowledge is power.

Empower your employees to do more with their stake in your company's success. Schwab will work with you to implement an education strategy that helps your employees understand the full benefit of their equity awards.

Our subject matter experts will collaborate with you to plan and organize on-site seminars and webcasts for your employees. Schwab will keep track of key milestones in your employees' accounts and send timely, automated reminders in advance of important dates, helping to make sure they're ready to take advantage of an opportunity.



Guidance that puts your employees in control.

Your employees know their equity awards are valuable. Most just need a spark or some timely advice to begin putting their stock plan to work toward their long-term financial goals. One-on-one guidance can help your employees cut through the complexity and take full advantage of their benefit.

Our dedicated plan representatives will serve as your employees' first point of contact. They're trained to consult with participants, identify needs, and connect them to the right resources.

For information and guidance that helps your employees understand their equity awards, your employees can turn to our unique Equity Award Consultation Team (EACT). An industry first, the EACT is a group of licensed and experienced professionals available to your U.S.-based participants for individual phone consultations throughout the workweek. Employees at all levels can turn to the EACT for consultative guidance on their complete financial picture—from questions about their equity awards to support with evaluating financial goals and building a plan to move them closer to their goals.



Powerful tools for employees to manage their financial lives

With Schwab, your employees are in control of their stock plans 24/7.² Our robust web-based tools and educational resources allow participants to access their account statements online, view total activity, and sign up to receive electronic statements. What's more, complete integration with Schwab.com can give your employees a comprehensive picture of their finances at a glance.

“My consultant was extremely accommodating, friendly, and knowledgeable. When we were done, I felt very comfortable making decisions regarding my equity award.”

—Schwab Stock Plan Services participant¹

¹ Experiences expressed are no guarantee of future performance or success and may not be representative of your experience.

² System availability and response times are subject to market conditions and mobile connection limitations. Trades received outside normal market hours will be entered the next business day.



Specialized expertise for executives.

Your senior executives need an ally who understands their unique wealth management needs and is committed to providing straightforward information and guidance—a consultant who works for them.

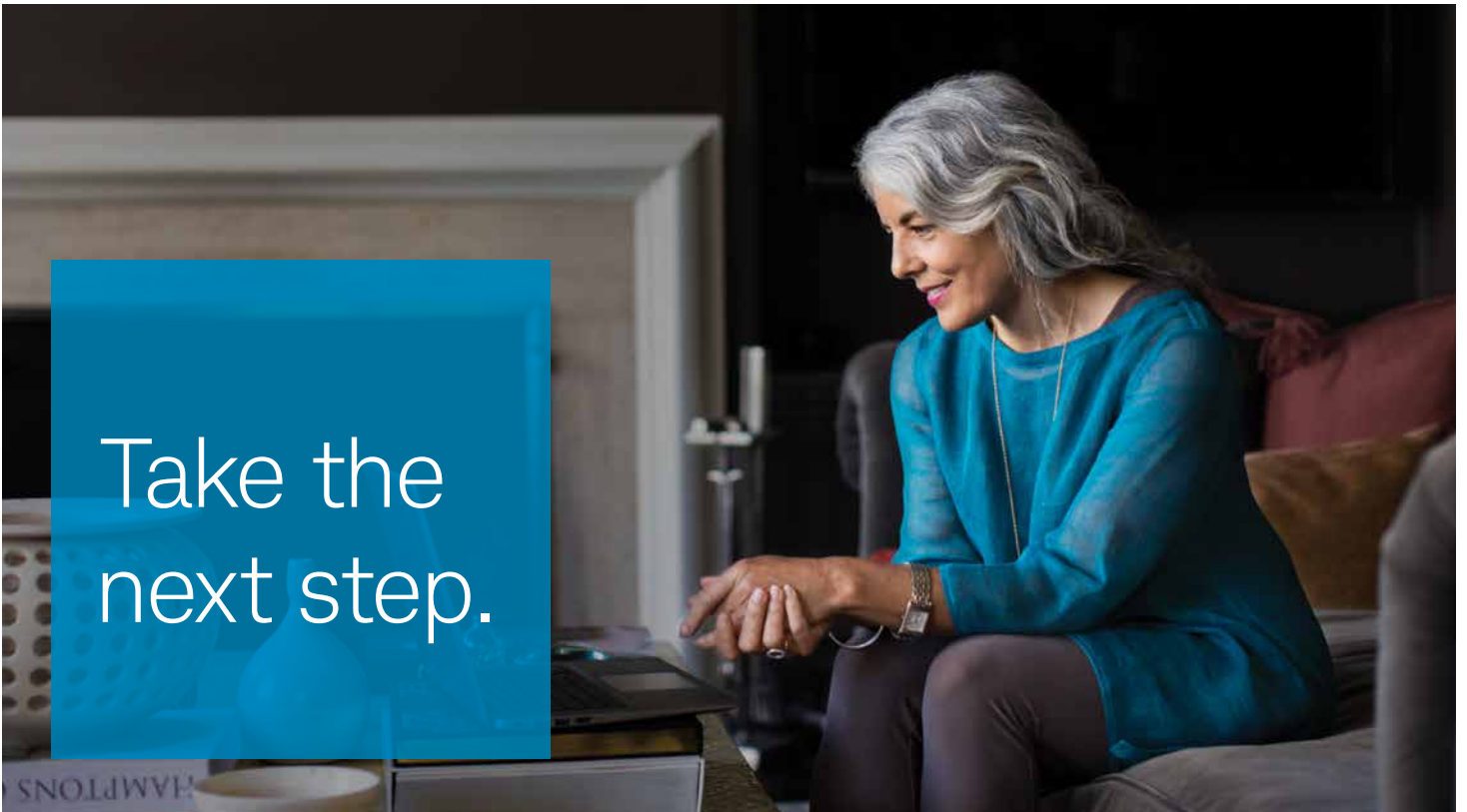
With Schwab, your executives will have a dedicated relationship with a Financial Consultant experienced in serving individuals with more complex needs. In addition to this custom guidance and support, your executives will have a direct line to our Section 16 team for further assistance with reporting. They'll also have access to a team of professionals in the areas of financial planning, equity compensation strategy, Rule 10b5-1 plans, and more.



A wealth of investment resources.

We know every employee has a unique financial picture and goals—we believe in doing what it takes to help them get there. When plan participants open brokerage accounts with us, they open up a world of Schwab expertise, products, and services.

At any of our 300 branches nationwide, your employees can take advantage of one-on-one consultations focused on their individual success and can open additional accounts to help meet other financial needs, such as saving for retirement or a child's education.



Take the
next step.

Are you and your employees getting the support, education, and strategic insight you need in your stock plan?

Schwab understands what it takes to support a business like yours. For more than two decades, we've provided retirement and stock plans to corporations around the world and served the needs of independent financial advisors. And with 40 years of advocating and innovating for the individual investor, we know how to help employees reach their financial goals. Discover the difference Schwab can make in your stock plan.

Contact us to get started:



1-877-456-0777



schwab.com/sps

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

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