Stock Informatics™
Client Monthly Maintenance Checklist

For the period dated: _____

		STEP COMPLETED
1.	Add any new Grant Recipient names and contact information to the "Grantee Information" section of the program.	☐
2.	Review and update all Grantee data ☐ Update or complete addresses ☐ Fill in any missing information: Social Security Numbers, Branch/EOD assignments, hire/termination dates, etc.	☐
3.	Update and Import the spreadsheet templates located in the C:\Informatics\Import folder. (Prior to updating the Excel spreadsheets, select all ROWS with existing data and delete them to clear out the sheets.) Do not change the names or location of the spreadsheets. ☐ NetIncome.xls – monthly net income. ☐ Prices.xls – your company's daily, weekly or monthly "CLOSING UNADJUSTED" stock prices. If your company's stock is publicly traded, strive to input weekly or daily stock prices. Publicly traded prices are easily downloaded from Yahoo Finance and can be copy and pasted into the spreadsheet. ☐ Shares.xls – your company's Common shares outstanding. Input at least a monthly number, but more frequently if there has been a lot of activity. The number of Common shares outstanding should already include any **Vested** Restricted Stock.	☐
4.	Download and import the current Risk Free Interest Rates from the Client section of the Stock Informatics website. Updates are provided monthly –approximately 5 business days after month-end.	☐

5.	*Accumulate* new data that needs to be input into the program:
	☐ Any new Equity Award Plans which have been approved?
	   ☐ Plan name
	   ☐ Plan adoption date
	   ☐ Number of shares authorized
	☐ Any amendments to Existing Equity Award Plans? If so you may need to add shares to the Plan authorized ledger.
	☐ Update a blank copy of the GrantInput.xls spreadsheet with any new:
	   ☐ Grants
	   ☐ Grant Exercises
	   ☐ Grant Forfeitures
	   ☐ Grant Expirations
	☐ Have there been any Stock Splits or Stock Dividends? If so, make sure all maintenance is current and consult with Stock Informatics support to discuss and implement.
		☐

6.	*Input* new data into the program:
	☐ New Equity Award Plans which have been approved.
	   ☐ Plan name (System Administration – Plans)
	   ☐ Plan adoption date (Plan Shares Authorized)
	   ☐ Number of shares authorized (Plan Shares Authorized)
	☐ Any amendments to Existing Equity Award Plans (Plan Shares Authorized)
	☐ New Grants - (Build Vesting Schedules first, then Bulk Issue individual grants)
	☐ New transactions: (Grant Transaction Details)
	   ☐ Grant Exercises
	   ☐ Grant Forfeitures
	   ☐ Grant Expirations
	   ☐ Pending Transactions – for terminated employees with vested shares.
	☐ Process New Stock Splits or Stock Dividends (System Administration – Stock Splits & Dividends)
		☐

7.	For Existing Restricted Stock Grants: ☐ Issue Stock Certificates for any Restricted Stock Grants that have vested since the last maintenance session. Issued/Awarded vested stock should be entered into the grantee's transaction register as "Exercised" transactions.	☐
8.	For any Plans which no further grants will be issued, run Plan Summary Reports to make sure that there are no surplus grants available for issuance (i.e. there are only enough grants authorized to cover any outstanding grants for these plans). Manual negative entries in the Plan Shares Authorized ledger may need to be made to bring the available for issuance number to zero.	☐
9.	Run the report **Grants Near Expiration** to see if any grants have reached their expiration date since the last maintenance was performed. If expired grants were not exercised, process Expiration entries.	☐
10.	Provide detailed Transaction Statements to: ☐ Terminated grantees, preferably before or during their exit interview. ☐ Grantees exercising vested options, preferably prior to accepting their instructions to make sure that their records match the company's.	☐