

# Implementing Executive Services with StockOpter.com

## Overview:

This list of tasks is designed to assist financial advisory firms to implement an Equity Compensation Assistance program using StockOpter.com. For additional information contact Bill Dillhoefer at [bdillhoefer@networthstrategies.com](mailto:bdillhoefer@networthstrategies.com) or 541-383-3899.

## Tasks:

1. Establish detailed project plan (e.g. tasks, dates, responsibilities, costs)
2. Define the Executive Services Offering (questions that need to be answered):
  - a. Who is the target market: clients, prospects, companies etc.?
  - b. What are the deliverables:
    - i. Personal Equity Compensation Profile Report?
    - ii. Quarterly report updates and review session with advisors?
    - iii. Nightly monitoring of individual's diversification criteria monitoring?
    - iv. Online "Participant" access to do what-ifs?
  - c. What is the dollar value of these services and when are the fees waived?
  - d. How is this program marketed and to whom (i.e. Companies or Individuals)
  - e. Who is involved in the delivery of these services?
  - f. What is the process for getting referrals?
  - g. How is this program measured for success?
3. Review StockOpter.com Data Privacy and Security documents:
  - a. Detailed information can be found at <http://stockopter.com/support/stockopter-com-faqs/> under the "StockOpter.com for Advisors FAQs in Advisors: Data Privacy / Security topic
  - b. NWSI ISO 17799 document (detailed security information)
  - c. NWSI Data Security and Policies document
4. Setup StockOpter.com System:
  - a. Establish account at: <http://stockopter.com/stockopter-products/stockopter-com-for-advisors/>
  - b. Create sample "Participant" case for testing and training purposes
  - b. Review "Import" and "Prospect" functions for potential corporate offering
  - c. Create company branded and approved report template using standard templates
  - d. Create UserIDs and set appropriate functionality level
  - e. Establish participant data access standards (who can see/modify which clients)
  - f. Review monitoring alert defaults and determine who they are sent to (i.e. main contact advisor, participant or both)
  - g. Review and modify "Alert" templates as necessary
  - h. Review "Participant Site" functionality using test case for potential use
  - i. Contact Net Worth Strategies to discuss customization requirements
5. Define & Document StockOpter.com Usage Process (e.g.....):

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- a. Acquire equity compensation data (electronic for groups or individual grant summaries for manual entry)
  - b. Enter/import data into StockOpter.com and verify via Dashboards
  - c. Select report template and create reports (individually or in batch)
  - d. Share analysis with client via StockOpter report and/or online dashboards
  - e. Take action as required and update data on StockOpter.com (e.g. grants exercised or shares sold)
  - f. Set or modify monitoring alerts based on participant criteria (e.g. next review date, Insight ratio, concentration, grant expiration, vesting, goal attainment, etc.)
  - g. Contact participant when alerts are triggered
  - h. Setup periodic review sessions with participant (i.e. quarterly) and produce updated report for discussion
6. User training:
- a. System Administrators
    - i. System admin (e.g. UserID creation, usage monitoring, etc.)
    - ii. System setup (see above)
    - iii. General functions
    - iv. Data access controls
  - b. Financial Planners (create the analysis/report)
    - i. Analysis concepts
    - ii. Data entry / importing
    - iii. Dashboards
    - iv. Report creation
    - v. Alert monitoring
    - vi. Participant access
  - c. Relationship Advisors (deliver/explain the analysis)
    - i. Analysis concepts
    - ii. Dashboards
    - iii. Participant access
    - iv. Alert monitoring
7. Conduct Pilot Program (to confirm process and make adjustments)