



Easy Options/ESPP Custom TM

Reports Guide

Version 4.15.816 9/14/2023

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Please note that screenshots may represent previous versions of Stox.

General Help

Note about a terminology used – product name is **Easy Options/ESPP Custom™**, but following terms will be used interchangeably: **Stox**, **Stox system** or simply **system**.

There are several ways to run and print reports in the Stox system.

From the **Main Menu** you can press **Reports** button, placed at the top of the screen, and you will get **Settings** layout.

Figure 1 – Report Settings Layout

Here you can specify **Report Header** that appears on every report you print (except on labels report). This is a container field, which means it can accept both formatted text and a picture, like your company's logo. To insert a picture, please right-click on this field, select Insert picture, and point to picture file. To insert a formatted header from Microsoft Word, please go to Microsoft Word, select the text, copy it to clipboard, then right-click on this field and select Paste command.

In addition, you can specify Stock Exchange Trading Symbol and select if company symbol (abbreviation) is shown on every layout throughout the system.

Issuer CIK is required for the electronic submission of insider forms.


To run a specific report, select it from the drop-down list and press the **Run** button.

Starting from the Stox release 4.15.316 click on the Run Custom Report/Export button. You can specify custom SQL SELECT statement to generate report involving any Stox table, print to pdf or export to Excel.

If you press one of the buttons next to the Reports label, the system will show list of reports related to that database or system module. For example, press the **Employees** button to view layout with list of reports related to Employees database. (Figure 2)

Another way to view a list of reports for a specific database is to press **Reports** button while you are positioned at one of the layouts in that database or system module. For example, if you are browsing the Employees List and press **Reports** button, the system shows layout with list of reports related to Employees database.

Finally, press the desired report button.

Also, every layout in the system has its default report, which is started by pressing the **Printer** button . For example, if you are at the Employees ListView Layout and press this button, system runs Employees List report. (Figure 3)

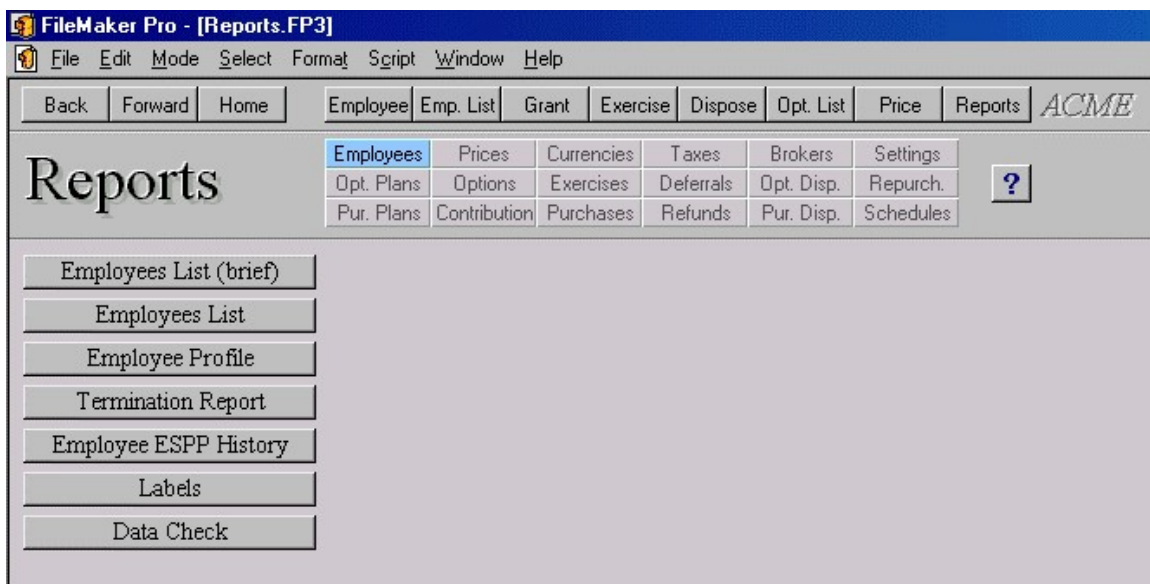



Figure 2 – Employees related reports



| Name | Employee ID | SSN | Hire Date | Job title |
|-------------------------|-------------|-------------|------------|---------------------|
| Young, Tom, D. | AA001 | 123-45-6789 | 01/01/1999 | sw developer |
| Smith, John, Z. | AA002 | 100-20-0555 | 02/01/1999 | chief of marketing |
| Fisher, Anna, S. | AA003 | 202-11-4545 | 03/01/1999 | secretary |
| Baker, Muriel, W. | AA004 | 808-32-1111 | 04/01/1999 | marketing assistant |
| Ericsson, Frederick, G. | AA005 | 401-23-5325 | 01/01/1999 | Director |

Figure 3 – Employees List report

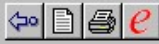
There are simple and complex reports in the system.

Employee List report shown on Figure 3 is a *simple* report – it does not require any report parameters. It simply lists all found records. In order to filter out some employee records, press the **Jump To Record List** button , specify search criteria, perform find and then press **Back** button to return to the report.

Note: After jumping back to the records list **ALWAYS** use **Back** button to return to the report.

Complex reports require parameters. System shows red-colored text - **Press the 'Find' button to generate the report**, informing you that you have to press **Find** button  after entering report parameters, in order to view report. In most cases, the system will show next message – **Please press the Preview button**, which informs you that report you watching has a summary parts, shown only in the **Preview** mode and on the paper, of course. **Preview** button is .


Figures 4, 5 and 6 show one complex report example.




Employee ESPP
History

From
To

Purchase Plan



#0 of 0
records



ESPP

EMPLOYEE ESPP HISTORY

Press the 'Find' button to generate the report

Acme Company, Inc.
ID: 12-126
Street Name Goes Here
City, State, Zip

| Employee | ID SSN | | | | | |
|---------------------|---------------------|-------------|-------------|-----------|--------|---------|
| Transactions | | | | | | |
| Transaction Date | Transaction Type | Contrib. ID | Purchase ID | Refund ID | Amount | Balance |
| | | | | | | Balance |
| Total Transactions | | | | | | Balance |

Page: ? Date: 4/17/2000 Time: 13:35:04

Figure 4 – Employee ESPP History, part one – parameters are expected

Employee ESPP
History

From
To

Purchase Plan
1999

#1 of 16
records

ESPP

EMPLOYEE ESPP HISTORY

From 10/1/1999 to 12/11/1999

Plan: 1999

Acme Company, Inc.

ID: 12-126

Street Name Goes Here

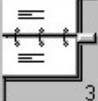
City, State, Zip

Please press the Preview button

| | | | | | | | |
|-----------------------|--------------|---|----|---|--|-----------|----------|
| 10/1/1999 | Contribution | 5 | 10 | | | \$300.00 | \$300.00 |
| 10/31/1999 | Purchase | | 10 | | | -\$297.50 | \$2.50 |
| 10/31/1999 | Refund | | 10 | 8 | | -\$2.50 | \$0.00 |
| 10/1/1999 | Contribution | 4 | 9 | | | \$216.83 | \$216.83 |
| 10/31/1999 | Purchase | | 9 | | | -\$216.75 | \$0.08 |
| 10/31/1999 | Refund | | 9 | 7 | | -\$0.08 | \$0.00 |
| 12/1/1999 | Contribution | 7 | 0 | | | \$25.00 | \$25.00 |
| 12/11/1999 | Contribution | 9 | 0 | | | \$9.85 | \$34.85 |
| 10/1/1999 | Contribution | 3 | 8 | | | \$500.00 | \$500.00 |
| 10/31/1999 | Purchase | | 8 | | | -\$497.25 | \$2.75 |
| 10/31/1999 | Refund | | 8 | 6 | | -\$2.75 | \$0.00 |
| 10/1/1999 | Contribution | 2 | 7 | | | \$250.00 | \$250.00 |
| 10/31/1999 | Purchase | | 7 | | | -\$246.50 | \$3.50 |
| 10/31/1999 | Refund | | 7 | 5 | | -\$3.50 | \$0.00 |
| 12/1/1999 | Contribution | 6 | 0 | | | \$45.67 | \$45.67 |
| 12/11/1999 | Contribution | 8 | 0 | | | \$45.67 | \$91.34 |
| Total Transactions 16 | | | | | | Balance | \$126.19 |

Figure 5 – Complex report results

RPT02: ...



Pages:
5

Script:

Continue

Cancel

EMPLOYEE ESPP HISTORY

From 10/1/1999 to 12/11/1999
Plan: 1999

Acme Company, Inc.
ID: 12-126
Street Name Goes Here
City, State, Zip

| | | | |
|-----------------|--------------------------|------------|-------------|
| Employee | Smith, John, Z. | ID | AA002 |
| | 22 West Side | SSN | 100-20-0555 |
| | San Francisco, CA, 94122 | | |



| | | | |
|---------------------|---|-------------|------|
| Transactions | 3 | Plan | 1999 |
|---------------------|---|-------------|------|

| Transaction Date | Transaction Type | Contrib. ID | Purchase ID | Refund ID | Amount | Balance |
|------------------|------------------|-------------|-------------|-----------|----------------|---------------|
| 10/1/1999 | Contribution | 3 | 8 | | \$500.00 | \$500.00 |
| 10/31/1999 | Purchase | | 8 | | -\$497.25 | \$2.75 |
| 10/31/1999 | Refund | | 8 | 6 | -\$2.75 | \$0.00 |
| | | | | | Balance | \$0.00 |

Figure 6 – Report in Preview mode

Report subtitle always reflects report parameters specified and usually contains range of dates for the records listed.

Next to the **Find** button is **Find All** button , which clears all report parameters.

If report can be sent by e-mail, there is an **E-mail** button  placed next to the **Print** button .

On Figure 6, notice the **book tool** – placed on the left side. Using this tool, you can browse through report pages. In this example, you are at page 3 of total 5 report pages.

Press **Continue** button to return from **Preview** mode.

You can change the contents of the report subtitle. But, before we show you how to do that, two terms have to be introduced: **List View** and **Form View**. When the layout is in **List View** mode it shows list of database records. In the **Form View** only one record is shown per page/screen. System automatically sets layouts/reports in its required mode. Also, all complex reports are initially shown in the Form View mode and are switched to List View after you specify parameters and press the Find button. To be sure in what mode your current layout is set to, please go to the **Select** menu and review which option is selected: **View as Form** or **View as List**. You can change mode here as well, but if you do so please answer with **No** on the question about making new mode default for the current layout. The second way to inspect current view mode is visual one - in the List View there is a thin vertical stripe at the left window border. This stripe contains a record marker - the current record in the list is marked black.

Let's now go back to the report subtitle modification. In order to change its contents, you have to go to the Form View mode, because report subtitle is placed at the report's header part, which is, like footer, not accessible in the List View mode. For reports only, press anywhere on the upper, gray, part of the header to switch between List and Form View, then click into the report subtitle, modify it and press gray rectangle again to go back to the List View.

Figures 7 and 8 show differences between Form and List View report modes.

FileMaker Pro - [Prices.FP3]

File Edit Mode Select Format Script Window Help

From Dec 2, 2000 To Dec 31, 2000 #1 of 30 found

FAIR VALUES

From 12/2/2000 to 12/31/2000
FMV is Market

Acme Company, Inc.
ID: 12-126
Street Name Goes Here
City, State, Zip

| <u>Date</u> | <u>Day</u> | <u>Share Volume</u> | <u>High</u> | <u>Low</u> | <u>Market</u> | <u>FMV</u> |
|-------------|------------|---------------------|-------------|------------|---------------|------------|
| 12/02/2000 | Sat | 4,200 | \$25.6670 | \$25.4670 | \$25.6170 | \$25.6170 |
| | | | | | Min | \$25.6170 |
| | | | | | Avg | \$27.8935 |
| | | | | | Max | \$30.1700 |

Page: 7 Date: 3/30/2001 Time: 12:40:04 PM

Figure 7 – Report in the Form View mode

FileMaker Pro - [Prices.FP3]

File Edit Mode Select Format Script Window Help

From Dec 2, 2000 To Dec 31, 2000 #1 of 30 found

FAIR VALUES

From 12/2/2000 to 12/31/2000
FMV is Market

Acme Company, Inc.
ID: 12-126
Street Name Goes Here
City, State, Zip

| Date | Day | Share Volume | High | Low | Market | FMV |
|------------|-----|--------------|-----------|-----------|-----------|-----------|
| 12/02/2000 | Sat | 4,200 | \$25.6670 | \$25.4670 | \$25.6170 | \$25.6170 |
| 12/03/2000 | Sun | 4,200 | \$25.8240 | \$25.6240 | \$25.7740 | \$25.7740 |
| 12/04/2000 | Mon | 4,200 | \$25.9810 | \$25.7810 | \$25.9310 | \$25.9310 |
| 12/05/2000 | Tue | 4,200 | \$26.1380 | \$25.9380 | \$26.0880 | \$26.0880 |
| 12/06/2000 | Wed | 4,200 | \$26.2950 | \$26.0950 | \$26.2450 | \$26.2450 |
| 12/07/2000 | Thu | 4,200 | \$26.4520 | \$26.2520 | \$26.4020 | \$26.4020 |
| 12/08/2000 | Fri | 4,200 | \$26.6090 | \$26.4090 | \$26.5590 | \$26.5590 |
| 12/09/2000 | Sat | 4,200 | \$26.7660 | \$26.5660 | \$26.7160 | \$26.7160 |
| 12/10/2000 | Sun | 4,200 | \$26.9230 | \$26.7230 | \$26.8730 | \$26.8730 |
| 12/11/2000 | Mon | 4,200 | \$27.0800 | \$26.8800 | \$27.0300 | \$27.0300 |
| 12/12/2000 | Tue | 4,200 | \$27.2370 | \$27.0370 | \$27.1870 | \$27.1870 |
| 12/13/2000 | Wed | 4,200 | \$27.3940 | \$27.1940 | \$27.3440 | \$27.3440 |
| 12/14/2000 | Thu | 4,200 | \$27.5510 | \$27.3510 | \$27.5010 | \$27.5010 |
| 12/15/2000 | Fri | 4,200 | \$27.7080 | \$27.5080 | \$27.6580 | \$27.6580 |
| 12/16/2000 | Sat | 4,200 | \$27.8650 | \$27.6650 | \$27.8150 | \$27.8150 |
| 12/17/2000 | Sun | 4,200 | \$28.0220 | \$27.8220 | \$27.9720 | \$27.9720 |
| 12/18/2000 | Mon | 4,200 | \$28.1790 | \$27.9790 | \$28.1290 | \$28.1290 |
| 12/19/2000 | Tue | 4,200 | \$28.3360 | \$28.1360 | \$28.2860 | \$28.2860 |
| 12/20/2000 | Wed | 4,200 | \$28.4930 | \$28.2930 | \$28.4430 | \$28.4430 |
| 12/21/2000 | Thu | 4,200 | \$28.6500 | \$28.4500 | \$28.6000 | \$28.6000 |
| 12/22/2000 | Fri | 4,200 | \$28.8070 | \$28.6070 | \$28.7570 | \$28.7570 |
| 12/23/2000 | Sat | 4,200 | \$28.9640 | \$28.7640 | \$28.9140 | \$28.9140 |
| 12/24/2000 | Sun | 4,200 | \$29.1210 | \$28.9210 | \$29.0710 | \$29.0710 |
| 12/25/2000 | Mon | 4,200 | \$29.2780 | \$29.0780 | \$29.2280 | \$29.2280 |
| 12/26/2000 | Tue | 4,200 | \$29.4350 | \$29.2350 | \$29.3850 | \$29.3850 |
| 12/27/2000 | Wed | 4,200 | \$29.5920 | \$29.3920 | \$29.5420 | \$29.5420 |
| 12/28/2000 | Thu | 4,200 | \$29.7490 | \$29.5490 | \$29.6990 | \$29.6990 |
| 12/29/2000 | Fri | 4,200 | \$29.9060 | \$29.7060 | \$29.8560 | \$29.8560 |
| 12/30/2000 | Sat | 4,200 | \$30.0630 | \$29.8630 | \$30.0130 | \$30.0130 |
| 12/31/2000 | Sun | 4,200 | \$30.2200 | \$30.0200 | \$30.1700 | \$30.1700 |

Page: 7 Date: 3/20/2001 Time: 12:38:36 PM

100 Browse

Figure 8 – Report in the List View mode

For reports that require additional parameters, such as range of dates, you should be aware that if you enter invalid dates, the system will show an appropriate error message (figure 9). After you press **OK** button, system shows another message (figure 10). Please press **Cancel** button and then correct your parameters.

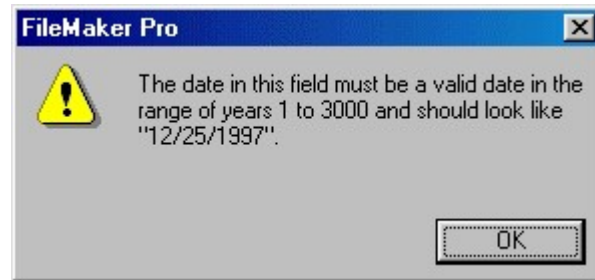


Figure 9 – Error Message

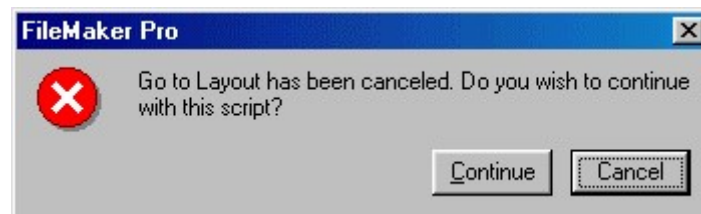



Figure 10 – Error Message - choose Cancel

All reports use Times New Roman font. For exact widths of report fields please refer to the list presented in Appendix A.


At the end, press the **Jump Back** button  to close current report.

Note: ALWAYS use **Jump Back** button to leave the report.


Taxes


Tax Table


Report shows list of tax records, with: **Tax Name**, **State** (abbreviation), **Tax Rate** (percentage) and **Yearly Limit** (currency).

Press the **Tax Name** or **State** button  to sort records by Tax Name or State field.

Report format is *Letter*, orientation is *Portrait*.

Press the **Preview** button  to see how the report will look printed on paper. You can browse through the report pages using the **book tool**. Press the **Continue** button to exit from the preview mode.

Press the **Print** button  to print this report. Print dialog will be shown, allowing you to select: printer, change its properties, mark if you want to print in the file, define print range (all pages or page subset), define page numbering starting page, select number of copies and collate settings.

Press the **Jump To Record List** button  if you want to filter records. After you finish, please press the **Back** button to return to this report.

You can browse through the record list using the record navigation buttons: go to previous, next, first and last record in the current found set.

Press the **Jump Back** button  to close this report.

| TAX TABLE | | Acme Company, Inc. ID: 12-126 Street Name Goes Here City, State, Zip | |
|------------------|--------------|---|---------------------|
| <u>Tax Name</u> | <u>State</u> | <u>Rate</u> | <u>Yearly Limit</u> |
| Federal | | 28.0000% | |
| Medicare | | 1.4500% | \$1,812.50 |
| Social Security | | 6.2000% | \$3,537.20 |
| State - AK | AK | 0.0000% | |
| State - AL | AL | 5.0000% | |
| State - AR | AR | 7.0000% | |
| State - AZ | AZ | 28.0000% | |
| State - CA | CA | 6.0000% | |
| State - CO | CO | 5.0000% | |
| State - CT | CT | 4.5000% | |
| State - NY | NY | 8.3750% | |

Figure 11 – Tax Table

Taxes Data Check

Report shows if there are errors in the Tax database. You can start Data Check procedure from the System Maintenance layout or from the Reports list.

Fields shown are: **Tax ID**, **Tax Name** and **Error Description**.

There is a trailing grand summary report part, showing the total number of records listed.

If there are no errors found, an appropriate message is shown and all Error Description fields are empty.

If there are errors found, you will be prompted to choose if you want to print this report. After you review Error Description fields, please correct the errors in the database.

Report format is *Letter*, orientation is *Portrait*.


Brokers


Brokers [brief]

Report shows list of broker records, with: **Broker ID**, **Broker Name**, **Contact Person**, **Phone** and **Fax** numbers and **E-mail** address.

Press the **Broker ID** or **Broker Name** button  to sort records by Broker ID or Name.

Report format is *Letter*, orientation is *Landscape*.

Press the **Preview** button  to see how the report will look printed on paper. You can browse through the report pages using the **book tool**. Press the **Continue** button to exit from the preview mode.

Press the **Print** button  to print this report. Print dialog will be shown, allowing you to select: printer, change its properties, mark if you want to print in the file, define print range (all pages or page subset), define page numbering starting page, select number of copies and collate settings.

Press the **Jump To Record List** button  if you want to filter records. After you finish, please press the **Back** button to return to this report.

You can browse through the record list using the record navigation buttons: go to previous, next, first and last record in the current found set.

Press the **Jump Back** button  to close this report.

| BROKERS | | | | | |
|---|--------------------|-----------------------|----------------|----------------|-------------------|
| Acme Company, Inc. ID: 12-126 Street Name Goes Here City, State, Zip | | | | | |
| <u>Broker ID</u> | <u>Broker Name</u> | <u>Contact Person</u> | <u>Phone</u> | <u>Fax</u> | <u>Email</u> |
| My Broker | Winner Broker | Mike Miles | (800) 555-4433 | (808) 555-3344 | winner@broker.net |
| Schwab | Broker Co., Inc. | Neil Smith | (414) 555-1234 | (404) 555-4321 | neil@broker.com |


Figure 12 - Brokers List


Brokers [detailed]

Report shows list of broker cards. Single card contains: **Broker ID**, **Broker Name**, **Contact Person**, **Address**, **Phone** number, **Fax** number, **E-mail** address, **DWAC** number and **Include "FBO?"** field.

Press the **Broker ID** or **Broker Name** button  to sort records by Broker ID or Name.

Report format is *Letter*, orientation is *Portrait*.

Press the **Preview** button  to see how the report will look printed on paper. You can browse through the report pages using the **book tool**. Press the **Continue** button to exit from the preview mode.

Press the **Print** button  to print this report. Print dialog will be shown, allowing you to select: printer, change its properties, mark if you want to print in the file, define print range (all pages or page subset), define page numbering starting page, select number of copies and collate settings.

Press the **Jump To Record List** button  if you want to filter records. After you finish, please press the **Back** button to return to this report.

You can browse through the record list using the record navigation buttons: go to previous, next, first and last record in the current found set.

Press the **Jump Back** button  to close this report.

| BROKERS | | Acme Company, Inc. ID: 12-126 Street Name Goes Here City, State, Zip | |
|-----------------------|--|---|-------------------|
| Broker ID | Schwab | Phone | (414) 555-1234 |
| Broker Name | Broker Co., Inc. | Fax | (404) 555-4321 |
| Contact Person | Neil Smith | Email | neil@broker.com |
| Address | 101 North Street San Francisco CA 94104 | DWAC Number | - |
| | | Include "FBO?" | Yes |
| Broker ID | My Broker | Phone | (800) 555-4433 |
| Broker Name | Winner Broker | Fax | (808) 555-3344 |
| Contact Person | Mike Miles | Email | winner@broker.net |
| Address | 33 West 34th Street New York NY 10001 | DWAC Number | - |
| | | Include "FBO?" | Yes |

Figure 13 – Brokers [detailed]

Brokers Data Check

Report shows if there are errors in the Brokers database. You can start Data Check procedure from the System Maintenance layout or from the Reports list.

Fields shown are: **Broker ID**, **Broker Name** and **Error Description**.

There is a trailing grand summary report part, showing total number of records listed.

If there are no errors found, appropriate message is shown and all Error Description fields are empty.

If there are errors found, you will be prompted to choose if you want to print this report. After you review Error Description fields, please correct the errors in the database.


Report format is *Letter*, orientation is *Portrait*.


Currencies

Exchange Rates

Report shows list of currency records, with: **Date**, **Day** in week, **Currency** and **Exchange Rate**.

You can specify range of dates by entering **From** and **To** date. If you want to list exchange rates for one currency only, please select desired currency from the drop down list.

After you specify additional report parameters please press the **Find** button  to generate the report.


Press the **Find All** button  to clear additional report parameters and find all records.


Records are sorted by Currency name and then by Date.

There is a trailing grand summary report part, showing minimal, average and maximal Exchange Rates for the records listed.

Report format is *Letter*, orientation is *Portrait*.


Report subtitle shows actual minimal and maximal dates from the records in the current found set.

Press the **Preview** button  to see how the report will look printed on paper. You can browse through the report pages using the **book tool**. Press the **Continue** button to exit from the preview mode.

Press the **Print** button  to print this report. Print dialog will be shown, allowing you to select: printer, change its properties, mark if you want to print in the file, define print range (all pages or page subset), define page numbering starting page, select number of copies and collate settings.

Press the **Jump To Record List** button  if you want to filter records. After you finish, please press the **Back** button to return to this report.

You can browse through the record list using the record navigation buttons: go to previous, next, first and last record in the current found set.

Press the **Jump Back**  button to close this report.

| EXCHANGE RATES | | | |
|------------------------------|------------|-----------------|----------------------|
| From 12/1/1999 to 12/18/1999 | | | |
| Default currency: USD | | | |
| Acme Company, Inc. | | | |
| ID: 12-126 | | | |
| Street Name Goes Here | | | |
| City, State, Zip | | | |
| <u>Date</u> | <u>Day</u> | <u>Currency</u> | <u>Exchange Rate</u> |
| 12/01/1999 | Wed | Euro | 1.000000 |
| 12/02/1999 | Thu | Euro | 0.998750 |
| 12/03/1999 | Fri | Euro | 0.993550 |
| 12/04/1999 | Sat | Euro | 0.985480 |
| 12/05/1999 | Sun | Euro | 0.989500 |
| 12/06/1999 | Mon | Euro | 0.993500 |
| 12/07/1999 | Tue | Euro | 0.993500 |
| 12/08/1999 | Wed | Euro | 0.993250 |
| 12/09/1999 | Thu | Euro | 0.992150 |
| 12/10/1999 | Fri | Euro | 0.991580 |
| 12/11/1999 | Sat | Euro | 0.993560 |
| 12/12/1999 | Sun | Euro | 0.993980 |
| 12/13/1999 | Mon | Euro | 0.994000 |
| 12/14/1999 | Tue | Euro | 0.993550 |
| 12/15/1999 | Wed | Euro | 0.993698 |
| 12/16/1999 | Thu | Euro | 0.993501 |
| 12/17/1999 | Fri | Euro | 0.993455 |
| 12/18/1999 | Sat | Euro | 0.993455 |
| Min | | | 0.985480 |
| Avg | | | 0.993359 |
| Max | | | 1.000000 |

Figure 14 – Exchange Rates

Currencies Data Check

Report shows if there are errors in the Currencies database. You can start Data Check procedure from the System Maintenance layout or from the Reports list.

Fields shown are: **Date**, **Day** in week, **Currency**, **Exchange Rate** and **Error Description**.

There is a trailing grand summary report part, showing total number of records listed.

If there are no errors found, appropriate message is shown and all Error Description fields are empty.

If there are errors found, you will be prompted to choose if you want to print this report. After you review Error Description fields, please correct the errors in the database.


Report format is *Letter*, orientation is *Portrait*.


Prices

Fair Values

Report shows list of price records, with: **Date**, **Day** in week, **Share Volume**, share's **High**, **Low**, **Market** and calculated **Fair Market Value (FMV)**. FMV is calculated based on the system preferences.

You can specify range of dates by entering **From** and **To** dates.

After you specify additional report parameters please press the **Find** button  to generate the report.


Press the **Find All** button  to clear additional report parameters and find all records.


Records are sorted by Date.

There is a trailing grand summary report part, showing minimal, average and maximal Fair Market Values for the records listed.

Report format is *Letter*, orientation is *Portrait*.


Report subtitle shows actual minimal and maximal dates from the records in the current found set, and shows Fair Market Value calculation (based on the system preferences).

Press the **Preview** button  to see how the report will look printed on paper. You can browse through the report pages using the **book tool**. Press the **Continue** button to exit from the preview mode.

Press the **Print** button  to print this report. Print dialog will be shown, allowing you to select: printer, change its properties, mark if you want to print in the file, define print range (all pages or page subset), define page numbering starting page, select number of copies and collate settings.

Press the **Jump To Record List** button  if you want to filter records. After you finish, please press the **Back** button to return to this report.

You can browse through the record list using the record navigation buttons: go to previous, next, first and last record in the current found set.

Press the **Jump Back**  button to close this report.

FAIR VALUES

From 12/21/2000 to 12/31/2000
 FMV is Market

Acme Company, Inc.

ID: 12-126

Street Name Goes Here


City, State, Zip

| <u>Date</u> | <u>Day</u> | <u>Share Volume</u> | <u>High</u> | <u>Low</u> | <u>Market</u> | <u>FMV</u> |
|-------------|------------|---------------------|-------------|------------|---------------|---------------|
| 12/21/2000 | Thu | 4,200 | \$28.6500 | \$28.4500 | \$28.6000 | \$28.6000 |
| 12/22/2000 | Fri | 4,200 | \$28.8070 | \$28.6070 | \$28.7570 | \$28.7570 |
| 12/23/2000 | Sat | 4,200 | \$28.9640 | \$28.7640 | \$28.9140 | \$28.9140 |
| 12/24/2000 | Sun | 4,200 | \$29.1210 | \$28.9210 | \$29.0710 | \$29.0710 |
| 12/25/2000 | Mon | 4,200 | \$29.2780 | \$29.0780 | \$29.2280 | \$29.2280 |
| 12/26/2000 | Tue | 4,200 | \$29.4350 | \$29.2350 | \$29.3850 | \$29.3850 |
| 12/27/2000 | Wed | 4,200 | \$29.5920 | \$29.3920 | \$29.5420 | \$29.5420 |
| 12/28/2000 | Thu | 4,200 | \$29.7490 | \$29.5490 | \$29.6990 | \$29.6990 |
| 12/29/2000 | Fri | 4,200 | \$29.9060 | \$29.7060 | \$29.8560 | \$29.8560 |
| 12/30/2000 | Sat | 4,200 | \$30.0630 | \$29.8630 | \$30.0130 | \$30.0130 |
| 12/31/2000 | Sun | 4,200 | \$30.2200 | \$30.0200 | \$30.1700 | \$30.1700 |
| | | | | | | Min \$28.6000 |
| | | | | | | Avg \$29.3850 |
| | | | | | | Max \$30.1700 |

Figure 15 – Fair Values List

Price Volatility

Report calculates price volatility for the specified date range of fair values (**From** and **To** fields). You may specify annual number of periods or days. Default is set to 255 working days per year.

After you specify these required report parameters please press the **Find** button  to generate the report. Volatility calculation needs at least three price records found. Prices that fall on weekends are omitted.

Fields shown are: **Date**, **Day** in week, **Fair Market Value** and calculated fields: FMV's natural logarithm, change from previous date (delta logarithm) and squared Deviation from average of delta logarithms.

Records are sorted by Date.


There is a trailing grand summary report part, showing **daily** and **annual** price volatility (in percentages) for the records listed.


System calculates volatilities based on daily prices, which are normally stored in the database. If you want to calculate volatilities based on monthly prices, you have to enter monthly prices in the successive price records, (giving them virtual dates – some dates in the future, for example), then specify those dates in the **From** and **To** fields, enter 12 as annual number of periods (12 months per year), and press the **Find** button to generate report.

After you got annual price volatility, you can use **Create Forecast** button to create new forecast record. Forecast record will have Name and **Model** as specified, **Volatility** as calculated, **Dividend rate** as entered (annual rate) or calculated by specifying quarterly dividend amount over current market price, and with **Interest rate** as entered, or you can press button to look-up values on treasury.gov.

Report format is *Letter*, orientation is *Portrait*.


Report subtitle shows starting and ending dates for the specified period, annual number of periods or days, and Fair Market Value calculation (based on the system preferences).

Press the **Preview** button  to see how the report will look printed on paper. You can browse through the report pages using the **book tool**. Press the **Continue** button to exit from the preview mode.

Press the **Print** button  to print this report. Print dialog will be shown, allowing you to select: printer, change its properties, mark if you want to print in the file, define print range (all pages or page subset), define page numbering starting page, select number of copies and collate settings.

Press the **Jump To Record List** button  if you want to filter records. After you finish, please press the **Back** button to return to this report.

You can browse through the record list using the record navigation buttons: go to previous, next, first and last record in the current found set.

Press the **Jump Back**  button to close this report.

PRICE VOLATILITY

From 12/1/2000 to 12/31/2000
FMV is Market

Acme Company, Inc.
ID: 12-126
Street Name Goes Here
City, State, Zip

| Date | Day | FMV | Ln(FMV) | $\Delta \text{Ln(FMV)}$ | Deviation ² from $\Delta \text{Ln(FMV)}$ |
|------------|-----|-----------|----------|-------------------------|---|
| 12/01/2000 | Fri | \$25.4600 | 3.237109 | | |
| 12/04/2000 | Mon | \$25.9310 | 3.255439 | 0.018331 | 0.000107 |
| 12/05/2000 | Tue | \$26.0880 | 3.261475 | 0.006036 | 0.000004 |
| 12/06/2000 | Wed | \$26.2450 | 3.267475 | 0.006000 | 0.000004 |
| 12/07/2000 | Thu | \$26.4020 | 3.273440 | 0.005964 | 0.000004 |
| 12/08/2000 | Fri | \$26.5590 | 3.279369 | 0.005929 | 0.000004 |
| 12/11/2000 | Mon | \$27.0300 | 3.296947 | 0.017579 | 0.000092 |
| 12/12/2000 | Tue | \$27.1870 | 3.302739 | 0.005792 | 0.000005 |
| 12/13/2000 | Wed | \$27.3440 | 3.308497 | 0.005758 | 0.000005 |
| 12/14/2000 | Thu | \$27.5010 | 3.314222 | 0.005725 | 0.000005 |
| 12/15/2000 | Fri | \$27.6580 | 3.319915 | 0.005693 | 0.000005 |
| 12/18/2000 | Mon | \$28.1290 | 3.336801 | 0.016886 | 0.000080 |
| 12/19/2000 | Tue | \$28.2860 | 3.342367 | 0.005566 | 0.000006 |
| 12/20/2000 | Wed | \$28.4430 | 3.347902 | 0.005535 | 0.000006 |
| 12/21/2000 | Thu | \$28.6000 | 3.353407 | 0.005505 | 0.000006 |
| 12/22/2000 | Fri | \$28.7570 | 3.358881 | 0.005474 | 0.000006 |
| 12/25/2000 | Mon | \$29.2280 | 3.375127 | 0.016246 | 0.000069 |
| 12/26/2000 | Tue | \$29.3850 | 3.380484 | 0.005357 | 0.000007 |
| 12/27/2000 | Wed | \$29.5420 | 3.385813 | 0.005329 | 0.000007 |
| 12/28/2000 | Thu | \$29.6990 | 3.391113 | 0.005300 | 0.000007 |
| 12/29/2000 | Fri | \$29.8560 | 3.396386 | 0.005272 | 0.000007 |

Daily Volatility = 0.4788%

Annual Volatility = 7.6456%

Figure 16 – Price Volatility

Prices Data Check

Report shows if there are errors in the Prices database. You can start Data Check procedure from the System Maintenance layout or from the Reports list.

Fields shown are: **Date**, **Day** in week, fair **Market Value** and **Error Description**.

There is a trailing grand summary report part, showing total number of records listed.

If there are no errors found, appropriate message is shown and all Error Description fields are empty.

If there are errors found, you will be prompted to choose if you want to print this report. After you review Error Description fields, please correct the errors in the database.


Report format is *Letter*, orientation is *Portrait*.


Forecasts

Forecasts

Report shows list of forecast cards. Single card contains: **Forecast** name, Pricing **Model** (Black-Scholes Single, Black-Scholes Multiple, or Binomial), **Notes** and forecast table for 10 years, with **Volatility**, **Dividend Yield**, **Interest Rate**, post-vesting **Termination Rate**, and unvested **Forfeiture Rate** (all in percentages) for each year.


Report format is *Letter*, orientation is *Portrait*.

Press the **Preview** button  to see how the report will look printed on paper. You can browse through the report pages using the **book tool**. Press the **Continue** button to exit from the preview mode.

Press the **Print** button  to print this report. Print dialog will be shown, allowing you to select: printer, change its properties, mark if you want to print in the file, define print range (all pages or page subset), define page numbering starting page, select number of copies and collate settings.

Press the **Jump To Record List** button  if you want to filter records. After you finish, please press the **Back** button to return to this report.

You can browse through the record list using the record navigation buttons: go to previous, next, first and last record in the current found set.

Press the **Jump Back**  button to close this report.

Forecasts Data Check

Report shows if there are errors in the Forecasts database. You can start Data Check procedure from the System Maintenance layout.

Fields shown are **Forecast** name and **Error Description**.

There is a trailing grand summary report part, showing total number of records listed.

If there are no errors found, appropriate message is shown and all Error Description fields are empty.

If there are errors found, you will be prompted to choose if you want to print this report. After you review Error Description fields, please correct the errors in the database.

Report format is *Letter*, orientation is *Portrait*.

FORECASTS

Acme Company, Inc.
 ID: 12-126
 Street Name Goes Here
 City, State, Zip

| Forecast | Q1 | Year | Volatility | Dividend Yield | Interest Rate |
|----------------------|-------------------------------|------|------------|----------------|---------------|
| Pricing Model | Black-Scholes Single Option | 1 | 35.00% | 3.00% | 5.94% |
| | | 2 | 35.00% | 3.00% | 6.35% |
| Notes | based on year 1996 | 3 | 31.00% | 3.00% | 6.57% |
| | | 4 | 31.00% | 3.00% | 6.69% |
| | | 5 | 31.00% | 3.00% | 6.75% |
| | | 6 | 31.00% | 3.00% | 6.79% |
| | | 7 | 31.00% | 3.00% | 6.88% |
| | | 8 | 31.00% | 3.00% | 6.94% |
| | | 9 | 31.00% | 3.00% | 6.95% |
| | | 10 | 31.00% | 3.00% | 6.96% |
| Forecast | Q1 bin | Year | Volatility | Dividend Yield | Interest Rate |
| Pricing Model | Binomial | 1 | 35.00% | 3.00% | 5.94% |
| | | 2 | 35.00% | 3.00% | 6.35% |
| Notes | based on year 1996 | 3 | 31.00% | 3.00% | 6.57% |
| | | 4 | 31.00% | 3.00% | 6.69% |
| | | 5 | 31.00% | 3.00% | 6.75% |
| | | 6 | 31.00% | 3.00% | 6.79% |
| | | 7 | 31.00% | 3.00% | 6.88% |
| | | 8 | 31.00% | 3.00% | 6.94% |
| | | 9 | 31.00% | 3.00% | 6.95% |
| | | 10 | 31.00% | 3.00% | 6.96% |
| Forecast | Q1 BS multi | Year | Volatility | Dividend Yield | Interest Rate |
| Pricing Model | Black-Scholes Multiple Option | 1 | 35.00% | 3.00% | 6.79% |
| | | 2 | 35.00% | 3.00% | 6.79% |
| Notes | | 3 | 31.00% | 3.00% | 6.79% |
| | | 4 | 31.00% | 3.00% | 6.79% |
| | | 5 | 31.00% | 3.00% | 6.80% |
| | | 6 | 31.00% | 3.00% | 6.79% |
| | | 7 | 31.00% | 3.00% | 6.79% |
| | | 8 | 31.00% | 3.00% | 6.79% |
| | | 9 | 31.00% | 3.00% | 6.79% |
| | | 10 | 31.00% | 3.00% | 6.79% |


Figure 17 – Forecasts


Vesting Schedules

Vesting Schedules [brief]

Report shows list of vesting schedule records, with: **Schedule Name**, **Description** and number of **Periods** that schedule covers.


Report format is *Letter*, orientation is *Portrait*.

Press the **Preview** button  to see how the report will look printed on paper. You can browse through the report pages using the **book tool**. Press the **Continue** button to exit from the preview mode.

Press the **Print** button  to print this report. Print dialog will be shown, allowing you to select: printer, change its properties, mark if you want to print in the file, define print range (all pages or page subset), define page numbering starting page, select number of copies and collate settings.

Press the **Jump To Record List** button  if you want to filter records. After you finish, please press the **Back** button to return to this report.

You can browse through the record list using the record navigation buttons: go to previous, next, first and last record in the current found set.

Press the **Jump Back**  button to close this report.


| VESTING SCHEDULES | | | Acme Company, Inc. ID: 12-126 Street Name Goes Here City, State, Zip |
|----------------------|--|----------------|---|
| <u>Schedule Name</u> | <u>Description</u> | <u>Periods</u> | |
| 100% at grant | All the shares are exercisable immediately. | 1 | |
| 3yr 33% on vest | Shares are distributed evenly across a three-year period. | 3 | |
| 4yr 25% on vest | The shares are distributed evenly across a four-year period. | 4 | |
| 4yr combo | A combination of different vest periods and vest types. | 2 | |
| 2yr combo (weekly) | A combination of On Vest Date and newly introduced Weekly vesting. | 2 | |
| 50 and 2 | One half on the vest date and the rest annually for two years. | 3 | |


Figure 18 – Vesting Schedules List

Vesting Schedules [detailed]

Report shows list of vesting schedule cards. Single card contains: **Schedule Name**, **Expires After** (number of months), **Vesting** based on the option date (Yes or No), **Expiration** based on the option date (Yes or No), vesting schedule **Description** and period vesting information for up to ten vesting periods. For each period there are number of **Months** that period covers, **Percentage** of shares that vest and **Vest Type** (On Vest Date, Annually, Semi-Annually, Quarterly, Monthly, Weekly or Daily)


Report format is *Letter*, orientation is *Portrait*.

Press the **Preview** button  to see how the report will look printed on paper. You can browse through the report pages using the **book tool**. Press the **Continue** button to exit from the preview mode.

Press the **Print** button  to print this report. Print dialog will be shown, allowing you to select: printer, change its properties, mark if you want to print in the file, define print range (all pages or page subset), define page numbering starting page, select number of copies and collate settings.

Press the **Jump To Record List** button  if you want to filter records. After you finish, please press the **Back** button to return to this report.

You can browse through the record list using the record navigation buttons: go to previous, next, first and last record in the current found set.

Press the **Jump Back**  button to close this report.

Vesting Schedules Data Check

Report shows if there are errors in the Vesting Schedules database. You can start Data Check procedure from the System Maintenance layout or from the Reports list.

Fields shown are **Schedule Name** and **Error Description**.

There is a trailing grand summary report part, showing total number of records listed.

If there are no errors found, appropriate message is shown and all Error Description fields are empty.

If there are errors found, you will be prompted to choose if you want to print this report. After you review Error Description fields, please correct the errors in the database.

Report format is *Letter*, orientation is *Portrait*.

VESTING SCHEDULES

Acme Company, Inc.

ID: 12-126

Street Name Goes Here

City, State, Zip

[illegible]

Figure 19 – Vesting Schedules [detailed]


Option Plans


Option Plans [brief]

Report shows list of option plan records, with: **Plan Name**, **Vesting Schedule** used, **Expiration Date**, number of **Shares Allocated** and three check boxes, corresponding to fields: Exercise Vested Shares Only, Trade Shares for Taxes and Reloads Allowed.

There is a trailing grand summary report part, showing total number of shares allocated under all the plans listed.


Report format is *Letter*, orientation is *Portrait*.

Press the **Preview** button  to see how the report will look printed on paper. You can browse through the report pages using the **book tool**. Press the **Continue** button to exit from the preview mode.

Press the **Print** button  to print this report. Print dialog will be shown, allowing you to select: printer, change its properties, mark if you want to print in the file, define print range (all pages or page subset), define page numbering starting page, select number of copies and collate settings.

Press the **Jump To Record List** button  if you want to filter records. After you finish, please press the **Back** button to return to this report.

You can browse through the record list using the record navigation buttons: go to previous, next, first and last record in the current found set.

Press the **Jump Back**  button to close this report.

| OPTION PLANS | | | | Acme Company, Inc. ID: 12-126 Street Name Goes Here City, State, Zip | | |
|-------------------------------|-------------------------|----------------|---------------|---|-------------------------------------|-------------------------------------|
| <u>Plan Name</u> | <u>Vesting Schedule</u> | <u>Expires</u> | <u>Shares</u> | <u>Exercise Vested Only?</u> | <u>Shares for Taxes?</u> | <u>Reloads Allowed?</u> |
| Plan 99A | 4yr 25% on vest | Jan 1, 2020 | 200,000 | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> |
| Plan 99B | 2yr combo (weekly) | Jan 1, 2006 | 100,000 | <input type="checkbox"/> | <input checked="" type="checkbox"/> | <input type="checkbox"/> |
| Plan 99C | 50 and 2 | May 30, | 50,000 | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | <input type="checkbox"/> |
| Total shares allocated | | | 350,000 | | | |

Figure 20 – Option Plans List

Option Plans [detailed]

Report shows list of option plan cards. Single card contains: **Plan Name**, **Vesting Schedule** used, **Expiration Date**, number of **Shares Allocated**, **Fractions Handling** used, check boxes corresponding to Exercise Vested Shares Only, Permit Trading Shares for Taxes and SEC16 Qualified Treatment.

Termination Grace Periods shows number of days the grants are exercisable after the termination, which is caused by: Voluntary, Involuntary, Disability, Retirement or Death.


Returning Shares (traded/swapped/SAR Exercised check boxes): Unchecked (False) treats traded/swapped/SAR Exercised shares as retired, i.e. they do not return to option plan reserves. Checked (True) makes them return (treats exercised SARs as canceled).


Allow Reloading of Options determines whether an exercise generates ("reloads") a new option. Default value for the number of shares granted by a "reload" option is calculated according to the state of the following check boxes: for (all) Exercised Shares, Shares Traded for Taxes, Swapped Shares and Cash Swap.

Option Types Allowed shows which option types are allowed for granting under this plan and if there are restrictions regarding employee status – specific option types may be reserved for company employees only, not free for all optionees.

There is a trailing grand summary report part, showing total number of shares allocated under all the plans listed.

Report format is *Letter*, orientation is *Portrait*.

Press the **Preview** button  to see how the report will look printed on paper. You can browse through the report pages using the **book tool**. Press the **Continue** button to exit from the preview mode.

Press the **Print** button  to print this report. Print dialog will be shown, allowing you to select: printer, change its properties, mark if you want to print in the file, define print range (all pages or page subset), define page numbering starting page, select number of copies and collate settings.

Press the **Jump To Record List** button  if you want to filter records. After you finish, please press the **Back** button to return to this report.

You can browse through the record list using the record navigation buttons: go to previous, next, first and last record in the current found set.

Press the **Jump Back**  button to close this report.

| | | | |
|---------------------|--|---------------------------|--|
| OPTION PLANS | | Acme Company, Inc. | |
| | | ID: 12-126 | |
| | | Street Name Goes Here | |
| | | City, State, Zip | |

| | | | |
|---|--------------------------------|--|--|
| Plan Name | Plan 99A | Exercise Vested Shares Only | <input checked="" type="checkbox"/> |
| Vesting Schedule | 4yr 25% on vest | Permit Trading Shares for Taxes | <input checked="" type="checkbox"/> |
| Expiration Date | January 1, 2020 | SEC16 Qualified Treatment | <input checked="" type="checkbox"/> |
| Shares Allocated | 200,000 | <u>Allow Reloading of Options</u> | <input checked="" type="checkbox"/> |
| Fractions Handling | Drop | for Exercised Shares | <input type="checkbox"/> |
| <u>Termination Grace Periods</u> | <u>Returning Shares</u> | for Shares Traded for Taxes | <input checked="" type="checkbox"/> |
| Voluntary | 30 days | for Swapped Shares | <input type="checkbox"/> |
| Involuntary | 30 days | for Cash Swap | <input checked="" type="checkbox"/> |
| Disability | 30 days | <u>Option Types Allowed</u> | <u>Employee?</u> |
| Retirement | 30 days | Non-Qualified Stock Option (NQ) | <input checked="" type="checkbox"/> <input type="checkbox"/> |
| Death | 30 days | Incentive Stock Option (ISO) | <input checked="" type="checkbox"/> <input type="checkbox"/> |
| | | Restricted Stock Purchase (RSP) | <input checked="" type="checkbox"/> <input type="checkbox"/> |
| | | Discounted Stock Option (DSO) | <input checked="" type="checkbox"/> <input type="checkbox"/> |
| | | NQ + Stock Appreciation Right (NQA) | <input checked="" type="checkbox"/> <input type="checkbox"/> |
| | | ISO + Stock Appreciation Right (ISA) | <input checked="" type="checkbox"/> <input type="checkbox"/> |

Figure 21 – Option Plans [detailed]

Option Plan Summary

Report shows summary information for the option plans in the current found set. After you specify required report parameters (dates **From** and **To**), please press the **Find** button



to generate the report.

Report is divided into two columns: summary information before period beginning date and within reporting period. Information shown are: **Available Shares**, **Granted Shares**, **Canceled**, **Expired**, exercised **Traded**, exercised **Swapped**, and **SAR** exercised shares. Next section contains number of shares and grants, grouped by option types (NQ, ISO, RSP, DSO, NQA and ISA grants).


Please **note** that system does not count exercised Traded, Swapped, and SAR shares if appropriate check boxes are not marked under the *Allow Returning Shares* section. Also, only enabled grant records are processed.


Expired shares are by default subtracted. If you want them added back to the pool of available shares please select appropriate check-box in the report input parameters.

Records are sorted by Plan Name.

There is a trailing grand summary report part, showing total number of shares allocated and available as of end date, under the all the plans listed.


Report format is *Letter*, orientation is *Portrait*, one Option Plan Summary per page.

Press the **Preview** button  to see how the report will look printed on paper. You can browse through the report pages using the **book tool**. Press the **Continue** button to exit from the preview mode.

Press the **Print** button  to print this report. Print dialog will be shown, allowing you to select: printer, change its properties, mark if you want to print in the file, define print range (all pages or page subset), define page numbering starting page, select number of copies and collate settings.

Press the **Jump To Record List** button  if you want to filter records. After you finish, please press the **Back** button to return to this report.

You can browse through the record list using the record navigation buttons: go to previous, next, first and last record in the current found set.

Press the **Jump Back**  button to close this report.

OPTION PLAN SUMMARY

From 1/1/2000 to 11/16/2004



| | | | |
|---------------------------|-----------------|-------------------------|-------------------------------------|
| Plan Name | Plan 99A | Returning Shares | |
| Vesting Schedule | 4yr 25% on vest | Traded | <input checked="" type="checkbox"/> |
| Expiration Date | January 1, 2020 | Swapped | <input checked="" type="checkbox"/> |
| Fractions Handling | Drop | SAR Exercised | <input checked="" type="checkbox"/> |

| | Before Period | Reporting Period |
|---------------------|---------------|------------------|
| Available Beginning | 200,000 | 178,500 |
| Shares Granted - | 21,500 | 2,000 |
| Canceled | 0 | 1,750 |
| Expired - | 0 | 0 |
| Traded | 0 | 2 |
| Swapped | 0 | 2 |
| SAR Shares | 0 | 0 |
| Shares Available | 178,500 | 178,254 |

| | Grants [before] | Shares [before] | Grants [period] | Shares [period] |
|--------------|-----------------|-----------------|-----------------|-----------------|
| NQ | 6 | 13,000 | 0 | 0 |
| ISO | 1 | 5,000 | 0 | 0 |
| RSP | 0 | 0 | 0 | 0 |
| DSO | 0 | 0 | 1 | 2,000 |
| NQA | 2 | 3,500 | 0 | 0 |
| ISA | 0 | 0 | 0 | 0 |
| Total | 9 | 21,500 | 1 | 2,000 |

Figure 22 – Option Plan Summary

Option Plans Data Check

Report shows if there are errors in the Option Plans database. You can start Data Check procedure from the System Maintenance layout or from the Reports list.

Fields shown are **Plan Name** and **Error Description**.

There is a trailing grand summary report part, showing total number of records listed.

If there are no errors found, appropriate message is shown and all Error Description fields are empty.

If there are errors found, you will be prompted to choose if you want to print this report. After you review Error Description fields, please correct the errors in the database.

Report format is *Letter*, orientation is *Portrait*.

Purchase Plans


Purchase Plans [brief]


Report shows list of purchase plan records, with: **Plan Name**, **Expiration Date**, number of **Shares Allocated**, **Offering Type** (Fixed or Rolling), **Offering** and **Purchase Duration** (in months), **Price Basis** for purchasing shares (Lower, Purchase Date or Other) and **Discount Rate** (percentage).

There is a trailing grand summary report part, showing total number of shares allocated under all the plans listed.

Report format is *Letter*, orientation is *Portrait*.


Press the **Print periods** button to run purchase period report, which lists periods grouped by its purchase plans.

Press the **Preview** button  to see how the report will look printed on paper. You can browse through the report pages using the **book tool**. Press the **Continue** button to exit from the preview mode.

Press the **Print** button  to print this report. Print dialog will be shown, allowing you to select: printer, change its properties, mark if you want to print in the file, define print range (all pages or page subset), define page numbering starting page, select number of copies and collate settings.

Press the **Jump To Record List** button  if you want to filter records. After you finish, please press the **Back** button to return to this report.

You can browse through the record list using the record navigation buttons: go to previous, next, first and last record in the current found set.

Press the **Jump Back**  button to close this report.

| PURCHASE PLANS | | | | | | | |
|---|----------------|---------------|----------------------|-----------------------------------|-----------------------------------|--------------------|----------------------|
| <div> <div>Acme Company, Inc.</div> <div>ID: 12-126</div> <div>Street Name Goes Here</div> <div>City, State, Zip</div> </div> | | | | | | | |
| <u>Plan Name</u> | <u>Expires</u> | <u>Shares</u> | <u>Offering Type</u> | <u>Offering Duration (months)</u> | <u>Purchase Duration (months)</u> | <u>Price Basis</u> | <u>Discount Rate</u> |
| 1999 | Dec 31, 2004 | 100,000 | Fixed | 6 | 6 | Lower | 15 % |
| Y2000 | Jun 1, 2010 | 50,000 | Fixed | 3 | 3 | Lower | 15 % |
| Total shares allocated | | 150,000 | | | | | |

Figure 23 – Purchase Plans List


Purchase Plans [detailed]


Report shows list of purchase plan cards. Single card contains: **Plan Name**, number of **Shares Allocated**, **Expiration Date**, **Offering Type** (Fixed or Rolling), **Offering** and **Purchase Duration** (in months), **Price Basis** for purchasing shares (Lower of two prices, on subscription or purchase date, on Purchase Date or Other price), **Discount Rate** (percentage), **Limit Type** (No purchasing Limit, Per Purchase All or Per Purchase Employee), Share Limit for All (if limit type is Per Purchase All), Single Contribution Limit (currency), Company Limit Per Purchase (number of shares), Check for annual **IRS Value Limit** (\$25,000), **Refund Type** (Surplus, All after Purchase, All after Offering or Never), Refund If No Purchasing, **Fractions Handling** used and numbers of **Shares Purchased** and **Remaining** for future purchasing under the plan.

There is a trailing grand summary report part, showing total number of shares allocated under all the plans listed.

Report format is *Letter*, orientation is *Portrait*.

Press the **Print periods** button to run purchase period report, which lists periods grouped by its purchase plans.

Press the **Preview** button  to see how the report will look printed on paper. You can browse through the report pages using the **book tool**. Press the **Continue** button to exit from the preview mode.

Press the **Print** button  to print this report. Print dialog will be shown, allowing you to select: printer, change its properties, mark if you want to print in the file, define print range (all pages or page subset), define page numbering starting page, select number of copies and collate settings.

Press the **Jump To Record List** button  if you want to filter records. After you finish, please press the **Back** button to return to this report.

You can browse through the record list using the record navigation buttons: go to previous, next, first and last record in the current found set.

Press the **Jump Back** button  to close this report.

Purchase Plans Data Check

Report shows if there are errors in the Purchase Plans database. You can start Data Check procedure from the System Maintenance layout or from the Reports list.

Fields shown are **Plan Name** and **Error Description**.

There is a trailing grand summary report part, showing total number of records listed.

If there are no errors found, appropriate message is shown and all Error Description fields are empty.

If there are errors found, you will be prompted to choose if you want to print this report. After you review Error Description fields, please correct the errors in the database.

Report format is *Letter*, orientation is *Portrait*.

| PURCHASE PLANS | | Acme Company, Inc. ID: 12-126 Street Name Goes Here City, State, Zip | |
|---------------------------------------|-------------------|---|-------------------------------------|
| Plan Name | 1999 | Limit Type | No Limit |
| Shares Allocated | 100,000 | Share Limit For All | |
| Expiration Date | December 31, 2004 | Single Contribution Limit | |
| Offering Type | Fixed | Company Limit Per Purchase | |
| Offering Duration | 6 months | Check For \$25,000 Limit | <input checked="" type="checkbox"/> |
| Purchase Duration | 6 months | Refund If No Purchasing | <input checked="" type="checkbox"/> |
| Discount rate | 15 % | Refund Type | All after Purchase |
| Price Basis | Lower | Fractions Handling | Round |
| Shares Purchased | 296 | Notes | Round |
| Shares Remaining | 99,704 | | |
| Plan Name | Y2000 | Limit Type | No Limit |
| Shares Allocated | 50,000 | Share Limit For All | |
| Expiration Date | June 1, 2010 | Single Contribution Limit | |
| Offering Type | Fixed | Company Limit Per Purchase | |
| Offering Duration | 3 months | Check For \$25,000 Limit | <input checked="" type="checkbox"/> |
| Purchase Duration | 3 months | Refund If No Purchasing | <input checked="" type="checkbox"/> |
| Discount rate | 15 % | Refund Type | Never |
| Price Basis | Lower | Fractions Handling | Drop |
| Shares Purchased | 15 | Notes | Drop |
| Shares Remaining | 49,985 | | |
| Total shares allocated 150,000 | | | |

Figure 24 – Purchase Plans [detailed]


Purchase Periods


Report shows purchase period records. It contains purchase plan card with list of periods for that plan. Period information are: **Offering Begin Date** (empty in a case of Rolling purchase plan offering type), **Purchase Begin Date**, **Purchase Date**, **Purchase Value** (share FMV on the purchase date) and **Other Price** (if the Price Basis for the plan is set to Other).

Purchase Plan card contains: Plan Name, number of Shares Allocated, Expiration Date, Offering Type (Fixed or Rolling), Offering and Purchase Duration (in months), Price Basis for purchasing shares (Lower, Purchase Date or Other), Discount Rate (percentage), Limit Type (No purchasing Limit, Per Purchase All or Per Purchase Employee), Share Limit for All (if limit type is Per Purchase All), Single Contribution Limit (currency), Company Limit Per Purchase (number of shares), Check for annual IRS Value Limit (\$25,000), Refund Type (Surplus, All after Purchase, All after Offering or Never), Refund If No Purchasing and number of Shares Purchased and Remaining for future purchasing under the plan.

There is a trailing grand summary report part, showing total number of shares allocated under all the plans listed.

Report format is *Letter*, orientation is *Portrait*, page break before every new purchase plan.

Press the **Preview** button  to see how the report will look printed on paper. You can browse through the report pages using the **book tool**. Press the **Continue** button to exit from the preview mode.

Press the **Print** button  to print this report. Print dialog will be shown, allowing you to select: printer, change its properties, mark if you want to print in the file, define print range (all pages or page subset), define page numbering starting page, select number of copies and collate settings.

Press the **Jump To Record List** button  if you want to filter records. After you finish, please press the **Back** button to return to this report.

You can browse through the record list using the record navigation buttons: go to previous, next, first and last record in the current found set.

Press the **Jump Back** button  to close this report.

Purchase Periods Data Check

Report shows if there are errors in the Purchase Periods database. You can start Data Check procedure from the System Maintenance layout or from the Reports list.

Fields shown are: **Plan Name**, **Period ID** and **Error Description**.

There is a trailing grand summary report part, showing total number of records listed.

If there are no errors found, appropriate message is shown and all Error Description fields are empty.

If there are errors found, you will be prompted to choose if you want to print this report. After you review Error Description fields, please correct the errors in the database.

Report format is *Letter*, orientation is *Portrait*.

| | | | | |
|-------------------------|--|--|--|--|
| PURCHASE PERIODS | | Acme Company, Inc. ID: 12-126 Street Name Goes Here City, State, Zip | | |
|-------------------------|--|--|--|--|

| | | | | |
|--------------------------|-------------------|-----------------------------------|-------------------------------------|--|
| Plan Name | 1999 | Limit Type | No Limit | |
| Shares Allocated | 100,000 | Share Limit For All | | |
| Expiration Date | December 31, 2004 | Single Contribution Limit | | |
| Offering Type | Fixed | Company Limit Per Purchase | | |
| Offering Duration | 6 months | Check For \$25,000 Limit | <input checked="" type="checkbox"/> | |
| Purchase Duration | 6 months | Refund Type | All after Purchase | |
| Price Basis | Lower | Refund If No Purchasing | <input checked="" type="checkbox"/> | |
| Discount rate | 15 % | | | |
| Shares Purchased | 296 | | | |
| Shares Remaining | 99,704 | | | |

| Offering Begin Date | Purchase Begin Date | Purchase Date | Purchase Value | Other Price |
|----------------------------|----------------------------|----------------------|-----------------------|--------------------|
| May 1, 1999 | May 1, 1999 | October 31, 1999 | \$6.6000 | |
| November 1, 1999 | November 1, 1999 | April 30, 2000 | \$15.7240 | |


Figure 25 – Purchase Periods

ESPP Withdrawals

Report shows list of employees withdrawn within specified period.

You have to specify range of dates (**From** and **To** withdrawal dates),


Press the **Find** button  to generate the report.


Press the **Find All** button  to clear the report parameters and find all records.

Records are sorted by Employee Name.

There is a trailing grand summary report part, showing total number of employees listed.

Report format is *Letter*, orientation is *Portrait*.

Press the **Preview** button  to see how the report will look printed on paper. You can browse through the report pages using the **book tool**. Press the **Continue** button to exit from the preview mode.

Press the **Print** button  to print this report. Print dialog will be shown, allowing you to select: printer, change its properties, mark if you want to print in the file, define print range (all pages or page subset), define page numbering starting page, select number of copies and collate settings.

Press the **Jump To Record List** button  if you want to filter records. After you finish, please press the **Back** button to return to this report.

You can browse through the record list using the record navigation buttons: go to previous, next, first and last record in the current found set.

Press the **Jump Back** button  to close this report.

| ESPP WITHDRAWALS | | | | |
|---|-------|-------------|-------------------|-----------------|
| <div> Acme Company, Inc. ID: 12-126 Street Name Goes Here City, State, Zip </div> | | | | |
| Employee | ID | SSN | Subscription Date | Withdrawal Date |
| Baker, Muriel, W. | AA004 | 808-32-1111 | 6/1/2000 | 3/24/2001 |
| Total Employees 1 | | | | |


Figure 26 – ESPP Withdrawals


Employees

Employees List [brief]

Report shows list of employee records, with: **Name**, **Employee ID**, **SSN** (Social Security Number), **Hire Date** and **Job Title**.

Report format is *Letter*, orientation is *Portrait*.

Press the **Preview** button  to see how the report will look printed on paper. You can browse through the report pages using the **book tool**. Press the **Continue** button to exit from the preview mode.

Press the **Print** button  to print this report. Print dialog will be shown, allowing you to select: printer, change its properties, mark if you want to print in the file, define print range (all pages or page subset), define page numbering starting page, select number of copies and collate settings.

Press the **Jump To Record List** button  if you want to filter records. After you finish, please press the **Back** button to return to this report.

You can browse through the record list using the record navigation buttons: go to previous, next, first and last record in the current found set.

Press the **Jump Back** button  to close this report.


| EMPLOYEES | | | | |
|---|--------------------|-------------|------------------|---------------------|
| <div> <div>Acme Company, Inc.</div> <div>ID: 12-126</div> <div>Street Name Goes Here</div> <div>City, State, Zip</div> </div> | | | | |
| <u>Name</u> | <u>Employee ID</u> | <u>SSN</u> | <u>Hire Date</u> | <u>Job title</u> |
| Young, Tom, D. | AA001 | 123-45-6789 | 01/01/1999 | sw developer |
| Smith, John, Z. | AA002 | 100-20-0555 | 02/01/1999 | chief of marketing |
| Fisher, Anna, S. | AA003 | 202-11-4545 | 03/01/1999 | secretary |
| Baker, Muriel, W. | AA004 | 808-32-1111 | 04/01/1999 | marketing assistant |
| Ericsson, Frederick, G. | AA005 | 401-23-5325 | 01/01/1999 | Director |


Figure 27 – Employees List [brief]

Employees List

Report shows list of employee cards. Single card contains: **Name**, **Employee ID**, **SSN** (Social Security Number), **Hire Date**, **Job Title**, **Subsidiary**, **Location**, **Salary**, **User** fields (up to four), information if the employee is Terminated, with Termination Date.

Report format is *Letter*, orientation is *Portrait*.

Press the **Preview** button  to see how the report will look printed on paper. You can browse through the report pages using the **book tool**. Press the **Continue** button to exit from the preview mode.

Press the **Print** button  to print this report. Print dialog will be shown, allowing you to select: printer, change its properties, mark if you want to print in the file, define print range (all pages or page subset), define page numbering starting page, select number of copies and collate settings.

Press the **Jump To Record List** button  if you want to filter records. After you finish, please press the **Back** button to return to this report.

You can browse through the record list using the record navigation buttons: go to previous, next, first and last record in the current found set.

Press the **Jump Back** button  to close this report.

| EMPLOYEES | | Acme Company, Inc. ID: 12-126 Street Name Goes Here City, State, Zip | |
|---------------------|--------------------|---|------------------|
| Name | Young, Tom, D. | SSN | 123-45-6789 |
| Employee ID | AA001 | Hire Date | January 1, 1999 |
| Job title | s/w developer | Subsidiary | South |
| Location | CA2 | Salary | \$4,567.00 |
| User Field 1 | | User Field 2 | |
| User Field 3 | | User Field 4 | |
| Terminated? | No | Termination date | |
| Name | Smith, John, Z. | SSN | 100-20-0555 |
| Employee ID | AA002 | Hire Date | February 1, 1999 |
| Job title | chief of marketing | Subsidiary | Central |
| Location | CA1 | Salary | \$3,456.00 |
| User Field 1 | | User Field 2 | |
| User Field 3 | | User Field 4 | |
| Terminated? | No | Termination date | |

Figure 28 – Employees List

Employee Profile

Report shows employee profile, divided into five sections. At the top, there are general employee data: **Name**, employee **ID** and **SSN** (Social Security Number).

I. Location and Status: Address (including street address, city, state and country), Phone, Fax number, E-mail address, Hire Date, Subsidiary, Job Title, Location and Salary

II. Taxes: up to seven employee's taxes, with Tax Name, Tax Rate (percentage), Yearly Limit (currency) and YTD Paid (year-to-date tax paid, currency)


III. Option/Purchase Information: Option Account and Option Broker, Purchase Account and Purchase Broker, Insider Type (Director, Officer, Ten percent owner, Other insider or Not an insider), include in Proxy, if insider, Alternate Registration (name and address), mark if an employee is Subscribed to the purchase plan, with subscription date, purchase Currency (for contributions), Default Contribution (either as amount in purchase currency or percentage of salary), mark if an employee has No Purchase Election, Share Limit (individual, in effect if purchase plan's limit type is Per Purchase Employee), Type of Issuance for purchases (Same-Day Sale, Street Name or Employee), mark if an employee is Withdrawn from plan, with Withdrawal Date, Offset Shares and Offset IRS Value (used for checking annual IRS limit for purchasing).


IV. Comments: Notes field


V. Termination/Leave of Absence: mark if an employee is Terminated, with Termination Date and Reason, Leave: Start and End Date, Vest Stop: Start and End Date, Exercise Stop: Start and End Date, Leave Notes.

There are two radio buttons. Press **Print current record only** and when you choose to print report, only current employee's profile will be printed. Press **Print all records found** and when you choose to print report, profiles of all employees in the current found set will be printed.

Report format is *Letter*, orientation is *Portrait*, one employee profile per page.

Press the **E-mail report** button  to send this report by e-mail, without printing it on paper. Report will be sent to all employees that have their e-mail addresses specified. Based on the system Preferences, e-mails can be sent with or without your confirmation (preview) in your default e-mail client.

Press the **Preview** button  to see how the report will look printed on paper. You can browse through the report pages using the **book tool**. Press the **Continue** button to exit from the preview mode.

Press the **Print** button  to print this report. Print dialog will be shown, allowing you to select: printer, change its properties, mark if you want to print in the file, define print range (all pages or page subset), define page numbering starting page, select number of copies and collate settings.

Press the **Jump To Record List** button  if you want to filter records. After you finish, please press the **Back** button to return to this report.

You can browse through the record list using the record navigation buttons: go to previous, next, first and last record in the current found set.

Press the **Jump Back** button  to close this report.

EMPLOYEE PROFILE

Acme Company, Inc.
 ID: 12-126
 Street Name Goes Here
 City, State, Zip

Name: Young, Tom, D. ID: AA001 SSN: 123-45-6789

I. Location and Status

Address 11 South Street
 Santa Barbara, CA, 93101
Hire Date January 1, 1999
Job Title s/w developer

Phone (555) 555-0001
Fax (505) 555-0002
E-mail tyoung@aol.com
Subsidiary South
Location CA2
Salary \$4,567.00

**II. Taxes**

| <u>Tax Name</u> | <u>Tax Rate</u> | <u>Yearly Limit</u> | <u>YTD Paid</u> |
|-----------------|-----------------|---------------------|-----------------|
| Federal | 28.0000% | | |
| Medicare | 1.4500% | \$1,812.50 | \$1,355.17 |
| Social Security | 6.2000% | \$3,537.20 | \$3,013.12 |
| State - CA | 6.0000% | | |

III. Option / Purchase Information

| | |
|------------------------------------|-------------------------------------|
| Option Account OA001 | Purchase Account PA001 |
| Option Broker My Broker | Purchase Broker My Broker |
| Insider Type Not an insider | Subscribed Yes Jun 1, 2000 |
| Include in Proxy? | Currency USD |
| Alternate Registration: | Default Contribution 1.00% |
| | No Purchase Election No |
| | Share Limit |
| | Type of Issuance Street Name |
| | Withdrawn No |
| | Offset Shares 1,500 |
| | Offset IRS Value \$12,524.58 |

IV. Comments**V. Termination / Leave of Absence**


| Terminated? No | Term.Date | Termination Reason |
|----------------------------------|--------------------------------|---------------------------|
| Leave Start Date | Leave End Date | |
| Vest Stop: Start Date | Vest Stop: End Date | |
| Exercise Stop: Start Date | Exercise Stop: End Date | |

Figure 29 – Employee Profile

Termination Report


Report shows employee's grant status on the termination date. More precisely, it shows which options have been terminated when an employee was terminated. Similar to the Grant Status Report, but lists only options with **Cancel Date** equal to **As of** date and **Cancel Reason** equal to "Termination". Then it treats found options as they are not terminated. And, like Grant Status Report, this report is prepared for the current employee.


Report consists of grant cards. Single card contains: **Grant ID** and **Type**, **Grant Date**, **Price**, number of **Shares** granted, Last Exercise Date and number of shares: Exercisable, Exercised, Vested, Vested Exercisable, Canceled, Expired, Repurchasable, Outstanding, Issued, Disposed, Repurchased, and Owned.


You can specify termination date by entering it in the **As of** date field. After that, please press the **Find** button  to generate the report.

There is a trailing grand summary part, showing totals and weighted averages for the options terminated.

Report format is *Letter*, orientation is *Portrait*, one termination report per page.

Press the **E-mail report** button  to send this report by e-mail, without printing it on paper. Report will be sent only if an employee has e-mail address specified. Based on the system Preferences, e-mail can be sent with or without your confirmation (preview) in your default e-mail client.

Press the **Preview** button  to see how the report will look printed on paper. You can browse through the report pages using the **book tool**. Press the **Continue** button to exit from the preview mode.

Press the **Print** button  to print this report. Print dialog will be shown, allowing you to select: printer, change its properties, mark if you want to print in the file, define print range (all pages or page subset), define page numbering starting page, select number of copies and collate settings.

Press the **Jump To Record List** button  if you want to filter records. After you finish, please press the **Back** button to return to this report.

You can browse through the record list using the record navigation buttons: go to previous, next, first and last record in the current found set.

Press the **Jump Back** button  to close this report.

TERMINATION REPORT

Termination Date 6/30/2002

Acme Company, Inc.

ID: 12-126

Street name Goes Here

City, State, Country, ZIP

Optionee:

Anna S. Fisher
 99 Central Bay
 San Diego, CA, 91101

| | | | | | | | |
|--------------------|---------------------|--------------------|-----------|----------------------|-------|------------------|-----|
| Grant ID | Plan 99A - 3 (NQ) | | | Exercisable | 540 | Exercised | 210 |
| Grant Date | 5/1/1999 | Price | \$5.0000 | Vested | 750 | Canceled | 0 |
| Last Exerc. | 7/30/2002 | Shares | 1,000 | Vested Exerc. | 540 | Expired | 0 |
| | | Outstanding | 790 | Repurchasable | 0 | Issued | 8 |
| | | Owned | 8 | Repurchased | 0 | Disposed | 0 |
| Grant ID | Plan 99C - 14 (NQ) | | | Exercisable | 820 | Exercised | 180 |
| Grant Date | 5/31/2000 | Price | \$17.4600 | Vested | 1,000 | Canceled | 0 |
| Last Exerc. | 7/30/2002 | Shares | 1,000 | Vested Exerc. | 820 | Expired | 0 |
| | | Outstanding | 820 | Repurchasable | 0 | Issued | 180 |
| | | Owned | 30 | Repurchased | 150 | Disposed | 0 |
| Grant ID | Plan 99C - 15 (NQ) | | | Exercisable | 1,000 | Exercised | 0 |
| Grant Date | 5/31/2000 | Price | \$17.4600 | Vested | 1,000 | Canceled | 0 |
| Last Exerc. | 7/30/2002 | Shares | 1,000 | Vested Exerc. | 1,000 | Expired | 0 |
| | | Outstanding | 1,000 | Repurchasable | 0 | Issued | 0 |
| | | Owned | 0 | Repurchased | 0 | Disposed | 0 |
| Grant ID | Plan 99C - 16 (NQ) | | | Exercisable | 500 | Exercised | 0 |
| Grant Date | 6/1/2000 | Price | \$17.5160 | Vested | 500 | Canceled | 0 |
| Last Exerc. | 7/30/2002 | Shares | 500 | Vested Exerc. | 500 | Expired | 0 |
| | | Outstanding | 500 | Repurchasable | 0 | Issued | 0 |
| | | Owned | 0 | Repurchased | 0 | Disposed | 0 |

SUMMARY for options terminated, as of Jun 30, 2002

| | | | |
|---------------------------------|--------|---------------------------------|--------|
| Options Granted | 4 | Total Shares Granted | 3,500 |
| Options Exercisable | 4 | Total Shares Outstanding | 3,110 |
| Total Shares Exercisable | 2,860 | Total Shares Exercised | 390 |
| Total Shares Vested | 3,250 | Total Shares Canceled | 0 |
| Total Vested Exercisable | 2,860 | Total Shares Expired | 0 |
| Total Repurchasable | 0 | Total Shares Issued | 188 |
| Total Repurchased | 150 | Total Shares Disposed * | 0 |
| | | Total Shares Owned ** | 38 |
| Wavg Shares Exercisable | 745.71 | Avg Shares Granted | 875.00 |
| Wavg Shares Vested | 857.14 | Wavg Shares Outstanding | 817.14 |
| Wavg Shares Canceled | 0.00 | Wavg Shares Exercised | 111.43 |

* only ISO shares, disposed of later (sold, but not included in the same day sale exercises)

** if more shares are repurchased than issued minus disposed, owned number will be incorrect

Figure 30 – Termination Report

Employee ESPP History

Report lists employee's ESPP related information, with contribution, purchase and refund history. Records are grouped by employees.

You have to specify range of dates (**From** and **To** dates). For contributions, system tests if contribution date belongs to specified period; for purchases, it is purchase date and for refunds - refund date.

You can specify purchase plan, by selecting one from the drop down list.

Press the **Find** button  to generate the report.

Press the **Find All** button  to clear the reporting parameters and find all records.


Fields shown are: **Transaction Date**, **Transaction Type** (Contribution, Purchase or Refund), **Contribution ID**, **Purchase ID**, **Refund ID**, **Amount** (contribution amounts are treated as positive, purchase and refund amounts as negative) and current **Balance**.


There are trailing summary report parts, one for every employee and grand summary, showing total number of transactions listed and total balance.


Records are sorted by transaction date and then by transaction type.

Report format is *Letter*, orientation is *Portrait*, page break before every new employee.

Report subtitle reflects report parameters you specified.

Press the **E-mail report** button  to send this report by e-mail, without printing it on paper. Report will be sent to all employees that have their e-mail addresses specified. Based on the system Preferences, e-mails can be sent with or without your confirmation (preview) in your default e-mail client.

Press the **Preview** button  to see how the report will look printed on paper. You can browse through the report pages using the **book tool**. Press the **Continue** button to exit from the preview mode.

Press the **Print** button  to print this report. Print dialog will be shown, allowing you to select: printer, change its properties, mark if you want to print in the file, define print range (all pages or page subset), define page numbering starting page, select number of copies and collate settings.

Press the **Jump To Record List** button  if you want to filter records. After you finish, please press the **Back** button to return to this report.

You can browse through the record list using the record navigation buttons: go to previous, next, first and last record in the current found set.

Press the **Jump Back** button  to close this report.


| EMPLOYEE ESPP HISTORY | | | | | | | Acme Company, Inc. | |
|------------------------------|--------------------------|-------------|-------------|------------------|--|-----------|-----------------------|--|
| From 10/1/1999 to 12/11/1999 | | | | ID: 12-126 | | | Street Name Goes Here | |
| Plan: 1999 | | | | City, State, Zip | | | | |
| | | | | | | | | |
| Employee | Smith, John, Z. | | | ID | | | AA002 | |
| | 22 West Side | | | SSN | | | 100-20-0555 | |
| | San Francisco, CA, 94122 | | | | | | | |
| Transactions | 3 | | | Plan | | | 1999 | |
| Transaction Date | Transaction Type | Contrib. ID | Purchase ID | Refund ID | | Amount | Balance | |
| 10/1/1999 | Contribution | 3 | 8 | | | \$500.00 | \$500.00 | |
| 10/31/1999 | Purchase | | 8 | | | -\$497.25 | \$2.75 | |
| 10/31/1999 | Refund | | 8 | 6 | | -\$2.75 | \$0.00 | |
| | | | | | | Balance | \$0.00 | |


Figure 31 – Employee ESPP History

Labels

Report prints **Employee ID**, **Name** and **Address** on the Avery Labels #5163 (2 rows, 5 columns per page)

Press the **Find All** button to find all employee records.

Press the **Preview** button  to see how the report will look printed on paper. You can browse through the report pages using the **book tool**. Press the **Continue** button to exit from the preview mode.

Press the **Print** button  to print this report. Print dialog will be shown, allowing you to select: printer, change its properties, mark if you want to print in the file, define print range (all pages or page subset), define page numbering starting page, select number of copies and collate settings.

Press the **Jump To Record List** button  if you want to filter records. After you finish, please press the **Back** button to return to this report.

Press the **Jump Back** button  to close this report.

AA001
Young, Tom, D.
11 South Street

Santa Barbara, CA, 93101

AA002
Smith, John, Z.
22 West Side
San Francisco, CA, 94122

AA003
Fisher, Anna, S.
99 Central Bay
San Diego, CA, 91101


AA004
Baker, Muriel, W.
01 Small Hills
Athens, GE, 88222

Figure 32 – Employee Labels

Stock Ownership

Report calculates number of shares owned by employees on the specified date.

You have to specify **As of** date.

Press the **Find** button  to generate the report.

Press the **Find All** button  to clear the reporting parameters and find all records.

Fields shown are: **Employee Name**, **Employee ID**, **Social Security Number**, **Offset** (beginning) **Shares Number** and **Value**, and number of **Shares Owned**.

Number of shares owned consists of:


- + shares issued after exercises (conditional exercises are omitted),
- minus shares disposed of (only ISO shares disposed of later, not from SDS exercises),
- minus shares repurchased,
- + plus offset shares stored in the employee's record (LongPage layout),
- + plus shares purchased through ESPP,
- minus shares disposed of.


There is a trailing grand summary, showing total number of employees listed and total number of shares owned.


Records are sorted by employee name.

Report format is *Letter*, orientation is *Portrait*.

Report subtitle reflects specified **As of** date..

Press the **E-mail report** button  to send this report by e-mail, without printing it on paper. Report will be sent to all employees that have their e-mail addresses specified. Based on the system Preferences, e-mails can be sent with or without your confirmation (preview) in your default e-mail client.

Press the **Preview** button  to see how the report will look printed on paper. You can browse through the report pages using the **book tool**. Press the **Continue** button to exit from the preview mode.

Press the **Print** button  to print this report. Print dialog will be shown, allowing you to select: printer, change its properties, mark if you want to print in the file, define print range (all pages or page subset), define page numbering starting page, select number of copies and collate settings.

Press the **Jump To Record List** button  if you want to filter records. After you finish, please press the **Back** button to return to this report.

You can browse through the record list using the record navigation buttons: go to previous, next, first and last record in the current found set.

Press the **Jump Back** button  to close this report.


| <div> <div>STOCK OWNERSHIP</div> <div>As of 1/1/2003</div> <div>  </div> </div> | | | | |
|---|-------|-------------|------------------------|-----------------|
| Employee | ID | SSN | Offset Shares/Value | Shares Owned |
| Baker, Muriel, W. | AA004 | 808-32-1111 | | 73 |
| Ericsson, Frederick, G. | AA005 | 401-23-5325 | | 1,193 |
| Fisher, Anna, S. | AA003 | 202-11-4545 | | 38 |
| Smith, John, Z. | AA002 | 100-20-0555 | | 100 |
| Young, Tom, D. | AA001 | 123-45-6789 | 1,500 | 1,561 |
| | | | \$12,524.58 | |
| Total Employees 5 | | | Total Shares | 2,965 |

Figure 33 – Stock Ownership

Stock & SAR's Grants Ledger

Report shows stock options and SARs ledger As Of date specified, with vesting schedule details, exercise, and cancellation/termination history.


You have to specify **As of** date.

You may specify optionee to show individual ledger only.

You may choose to Omit Restricted grants.

You may specify grants of certain type.


Press the **Find** button  to generate the report.


Press the **Find All** button  to clear the reporting parameters and find all records.

Records are sorted by employee name and then by option date.

Report format is *Letter*, orientation is *Landscape*.

Report subtitle reflects specified **As of** date.

Press the **Preview** button  to see how the report will look printed on paper. You can browse through the report pages using the **book tool**. Press the **Continue** button to exit from the preview mode.

Press the **Print** button  to print this report. Print dialog will be shown, allowing you to select: printer, change its properties, mark if you want to print in the file, define print range (all pages or page subset), define page numbering starting page, select number of copies and collate settings.

Press the **Jump To Record List** button  if you want to filter records. After you finish, please press the **Back** button to return to this report.

You can browse through the record list using the record navigation buttons: go to previous, next, first and last record in the current found set.

Press the **Jump Back** button  to close this report.

Restricted Stock Ledger

Report shows restricted stock ledger As Of date specified, with vesting details, vest date related info (price, shares withheld for taxes, net shares vested), and cancellation/termination history.

You have to specify **As of** date.

You may specify optionee to show individual ledger only.


You may choose not to show **Only Restricted** grants, if they are not recorded as RSP / RSU grants.

You may specify grants of certain type.

You may choose to **Omit Terminated** employees.

Press the **Find** button  to generate the report.


Please note that you need to “exercise” vested RSU/RSP since system uses info stored in Exercises table to present information on this report.


Press the **Find All** button  to clear the reporting parameters and find all records.

Records are sorted by employee name and then by option date.

Report format is *Letter*, orientation is *Landscape*.

Report subtitle reflects specified **As of** date.

Press the **Preview** button  to see how the report will look printed on paper. You can browse through the report pages using the **book tool**. Press the **Continue** button to exit from the preview mode.

Press the **Print** button  to print this report. Print dialog will be shown, allowing you to select: printer, change its properties, mark if you want to print in the file, define print range (all pages or page subset), define page numbering starting page, select number of copies and collate settings.

Press the **Jump To Record List** button  if you want to filter records. After you finish, please press the **Back** button to return to this report.

You can browse through the record list using the record navigation buttons: go to previous, next, first and last record in the current found set.

Press the **Jump Back** button  to close this report.

Employees Data Check

Report shows if there are errors in the Employees database. You can start Data Check procedure from the System Maintenance layout or from the Reports list.

Fields shown are: **Employee Name**, **Employee ID** and **Error Description**.

There is a trailing grand summary report part, showing total number of records listed.

If there are no errors found, appropriate message is shown and all Error Description fields are empty.

If there are errors found, you will be prompted to choose if you want to print this report. After you review Error Description fields, please correct the errors in the database.

Report format is *Letter*, orientation is *Portrait*.

Contributions


Contributions List


Report shows list of contribution records, with: **Contribution ID**, **Employee Name**, **Purchase Plan**, **Contribution Date**, **Currency**, **Amount** and two check boxes, first is checked if the contribution is Carried Forward (CF) and second is checked if the contribution has been used for the purchase.


There is a trailing grand summary report part, showing total number of contributions listed, total dollar amount, minimum, maximum and average contribution amount and available dollar amount (for future purchases).

Report format is *Letter*, orientation is *Portrait*.

Report subtitle shows actual minimal and maximal contribution dates from the records in the current found set.

Press the **Preview** button  to see how the report will look printed on paper. You can browse through the report pages using the **book tool**. Press the **Continue** button to exit from the preview mode.

Press the **Print** button  to print this report. Print dialog will be shown, allowing you to select: printer, change its properties, mark if you want to print in the file, define print range (all pages or page subset), define page numbering starting page, select number of copies and collate settings.

Press the **Jump To Record List** button  if you want to filter records. After you finish, please press the **Back** button to return to this report.

You can browse through the record list using the record navigation buttons: go to previous, next, first and last record in the current found set.

Press the **Jump Back** button  to close this report.

CONTRIBUTIONS LIST

From 10/1/1999 to 9/1/2000

Acme Company, Inc.

ID: 12-126

Street Name Goes Here

City, State, Zip



| ID | Employee | Plan | Date | Currency | Amount | CF | Used |
|---------------------|-------------------|-------|---------------------|----------|-------------------------|-------------------------------------|-------------------------------------|
| AA001 | Young, Tom, D. | 1999 | 10/1/1999 | USD | \$250.00 | <input type="checkbox"/> | <input checked="" type="checkbox"/> |
| AA002 | Smith, John, Z. | 1999 | 10/1/1999 | USD | \$500.00 | <input type="checkbox"/> | <input checked="" type="checkbox"/> |
| AA003 | Fisher, Anna, S. | 1999 | 10/1/1999 | Euro | \$216.83 | <input type="checkbox"/> | <input checked="" type="checkbox"/> |
| AA004 | Baker, Muriel, W. | 1999 | 10/1/1999 | USD | \$300.00 | <input type="checkbox"/> | <input checked="" type="checkbox"/> |
| AA001 | Young, Tom, D. | 1999 | 12/1/1999 | USD | \$45.67 | <input type="checkbox"/> | <input type="checkbox"/> |
| AA003 | Fisher, Anna, S. | 1999 | 12/1/1999 | Euro | \$25.00 | <input type="checkbox"/> | <input type="checkbox"/> |
| AA001 | Young, Tom, D. | 1999 | 12/11/1999 | USD | \$45.67 | <input type="checkbox"/> | <input type="checkbox"/> |
| AA003 | Fisher, Anna, S. | 1999 | 12/11/1999 | Euro | \$9.85 | <input type="checkbox"/> | <input type="checkbox"/> |
| AA001 | Young, Tom, D. | Y2000 | 6/1/2000 | USD | \$45.67 | <input type="checkbox"/> | <input checked="" type="checkbox"/> |
| AA002 | Smith, John, Z. | Y2000 | 6/1/2000 | USD | \$100.00 | <input type="checkbox"/> | <input checked="" type="checkbox"/> |
| AA003 | Fisher, Anna, S. | Y2000 | 6/1/2000 | Euro | \$47.62 | <input type="checkbox"/> | <input checked="" type="checkbox"/> |
| AA004 | Baker, Muriel, W. | Y2000 | 6/1/2000 | USD | \$50.00 | <input type="checkbox"/> | <input checked="" type="checkbox"/> |
| AA001 | Young, Tom, D. | Y2000 | 9/1/2000 | USD | \$1.00 | <input checked="" type="checkbox"/> | <input type="checkbox"/> |
| AA002 | Smith, John, Z. | Y2000 | 9/1/2000 | USD | \$10.67 | <input checked="" type="checkbox"/> | <input type="checkbox"/> |
| AA003 | Fisher, Anna, S. | Y2000 | 9/1/2000 | USD | \$2.95 | <input checked="" type="checkbox"/> | <input type="checkbox"/> |
| AA004 | Baker, Muriel, W. | Y2000 | 9/1/2000 | USD | \$5.33 | <input checked="" type="checkbox"/> | <input type="checkbox"/> |
| Total Contributions | | 16 | Total Dollar Amount | | \$1,656.26 | | |
| | | | | | min | \$1.00 | |
| | | | | | avg | \$103.52 | |
| | | | | | max | \$500.00 | |
| | | | | | Available Dollar Amount | \$146.14 | |


Figure 34 – Contributions List

Contributions by Employee

Report lists contributions made under specified purchase plan, within the specified range of dates, grouped by employees.


You can specify following report parameters: purchase plan, by selecting one from the drop down list, beginning and ending contribution date (dates **From** and **To**).

Press the **Find** button  to generate the report and **Preview** button  to see it.

Press the **Find All** button  to clear report parameters and find all records.

Each contribution row consists of: **contribution date, currency, amount, exchange rate, dollar amount** and two check boxes: first one for carry-forward contribution and second one represents Used for Purchase field.

Records are sorted by Employee Name and then by Contribution Date.


Tip: If you want to list contributions for one employee only, press the **Jump To Record List** button  filter the contribution records by that employee's ID and press the **Back** button to return to the report.


There are summary fields for each employee: number of contributions, total dollar amount contributed and total available amount for purchasing.

There is a trailing grand summary report part, showing: purchase plan selected, total number of contributions and total dollar amounts, contributed and available for purchasing.

Report format is *Letter*, orientation is *Portrait*, page break before every new employee.

Report subtitle shows actual minimal and maximal contribution dates from the records in the current found set.

Press the **Preview** button  to see how the report will look printed on paper. You can browse through the report pages using the **book tool**. Press the **Continue** button to exit from the preview mode.

Press the **Print** button  to print this report. Print dialog will be shown, allowing you to select: printer, change its properties, mark if you want to print in the file, define print range (all pages or page subset), define page numbering starting page, select number of copies and collate settings.

Press the **Jump To Record List** button  if you want to filter records. After you finish, please press the **Back** button to return to this report.

You can browse through the record list using the record navigation buttons: go to previous, next, first and last record in the current found set.

Press the **Jump Back** button  to close this report.

CONTRIBUTIONS BY EMPLOYEE

From 10/1/1999 to 9/1/2000

Acme Company, Inc.
ID: 12-126
Street Name Goes Here
City, State, Zip

| | | | | | | |
|-------------------------|-------------------|--------|---------------|---------------|-------------------------------------|-------------------------------------|
| Employee | Baker, Muriel, W. | ID | AA004 | | | |
| Purchase Plan | 1999 | | | | | |
| Contributions | 3 | | | | | |
| Date | Currency | Amount | Exchange Rate | Dollar Amount | Carry Forward? | Used? |
| 10/1/1999 | USD | 300.00 | 1.000000 | \$300.00 | <input type="checkbox"/> | <input checked="" type="checkbox"/> |
| 6/1/2000 | USD | 50.00 | 1.000000 | \$50.00 | <input type="checkbox"/> | <input checked="" type="checkbox"/> |
| 9/1/2000 | USD | 5.33 | 1.000000 | \$5.33 | <input checked="" type="checkbox"/> | <input type="checkbox"/> |
| Total Contributions | | | | 3 | | |
| Total Dollar Amount | | | | \$355.33 | | |
| Available Dollar Amount | | | | \$5.33 | | |



Figure 35 – Contributions by Employee

| CONTRIBUTIONS BY EMPLOYEE | |
|---|------------|
| From 10/1/1999 to 9/1/2000 | |
| Acme Company, Inc. ID: 12-126 Street Name Goes Here City, State, Zip | |
| <hr/> | |
| Purchase Plan | Y2000 |
| Total Contributions | 16 |
| Total Dollar Amount | \$1,656.26 |
| Available Dollar Amount | \$146.14 |

Figure 36 – Contributions by Employee, summary

Available Contributions


Report lists all unused and not refunded contributions.


You can specify contributions date range, by entering **From** and **To** dates. If you want to list contributions made for one purchase plan only, please select desired plan from the drop down list. After you specify additional report parameters please press the **Find** button  to generate the report and **Preview** button  to see it.

Records are sorted by Employee Name and then by Contribution Date.

Report format is *Letter*, orientation is *Portrait*.

Report subtitle shows selected purchase plan and actual minimal and maximal contribution dates from the records in the current found set.

Press the **Preview** button  to see how the report will look printed on paper. You can browse through the report pages using the **book tool**. Press the **Continue** button to exit from the preview mode.

Press the **Print** button  to print this report. Print dialog will be shown, allowing you to select: printer, change its properties, mark if you want to print in the file, define print range (all pages or page subset), define page numbering starting page, select number of copies and collate settings.

Press the **Jump To Record List** button  if you want to filter records. After you finish, please press the **Back** button to return to this report.

You can browse through the record list using the record navigation buttons: go to previous, next, first and last record in the current found set.

Press the **Jump Back** button  to close this report.

| AVAILABLE CONTRIBUTIONS | | Acme Company, Inc. ID: 12-126 Street Name Goes Here City, State, Zip | | |
|---|-------------------|---|----------|---------------|
| All plans From 12/1/1999 to 9/1/2000 | | | | |
| ID | Employee | Total Amount | Current | Carry Forward |
| AA004 | Baker, Muriel, W. | \$5.33 | | \$5.33 |
| AA003 | Fisher, Anna, S. | \$37.80 | \$34.85 | \$2.95 |
| AA002 | Smith, John, Z. | \$10.67 | | \$10.67 |
| AA001 | Young, Tom, D. | \$92.34 | \$91.34 | \$1.00 |
| | | \$146.14 | \$126.19 | \$19.95 |

Figure 37 – Available Contributions

Contributions Data Check

Report shows if there are errors in the Contributions database. You can start Data Check procedure from the System Maintenance layout or from the Reports list.

Fields shown are: **Contribution ID**, **Employee ID**, **Purchase Plan**, **Contribution Date** and **Error Description**.

There is a trailing grand summary report part, showing total number of records listed.

If there are no errors found, appropriate message is shown and all Error Description fields are empty.

If there are errors found, you will be prompted to choose if you want to print this report. After you review Error Description fields, please correct the errors in the database.

Report format is *Letter*, orientation is *Portrait*.

New Contributions Summary


Report shows list of new contributions with: **Employee Name**, **Contribution Date**, **Currency**, contributed **Amount**, **Exchange Rate** and equivalent **Dollar Amount**.


There is a leading grand summary report part, showing: Purchase Plan, total number of contributions and mark if the contributions are carried-forward.

Records are sorted by employee name.

Report format is *Letter*, orientation is *Portrait*.

Report subtitle shows date when new contributions are added to the database.

Press the **Preview** button  to see how the report will look printed on paper. You can browse through the report pages using the **book tool**. Press the **Continue** button to exit from the preview mode.

Press the **Print** button  to print this report. Print dialog will be shown, allowing you to select: printer, change its properties, mark if you want to print in the file, define print range (all pages or page subset), define page numbering starting page, select number of copies and collate settings.

You can browse through the record list using the record navigation buttons: go to previous, next, first and last record in the current found set.

Press the **Jump Back** button  to close this report.

| NEW CONTRIBUTIONS SUMMARY | | | Acme Company, Inc. ID: 12-126 Street Name Goes Here City, State, Zip | | |
|-------------------------------|-----------|----------|---|--|---------------|
| Contribution Date: 12/1/2000 | | | | | |
| <hr/> | | | | | |
| Purchase Plan | | Y2000 | | | |
| Total number of contributions | | 3 | | Carry Forward Contribution? <input type="checkbox"/> | |
| Employee | Date | Currency | Amount | Exchange Rate | Dollar Amount |
| Baker, Muriel, W. | 12/1/2000 | USD | 45.00 | 1.000000 | \$45.00 |
| Smith, John, Z. | 12/1/2000 | USD | 50.00 | 1.000000 | \$50.00 |
| Young, Tom, D. | 12/1/2000 | USD | 45.67 | 1.000000 | \$45.67 |
| | | | | | <hr/> |
| | | | | | \$140.67 |

Figure 38 – New Contributions Summary

Purchases


Purchases List


Report shows list of purchase records with: **Purchase ID**, **Employee Name**, **Purchase Plan**, **Purchase Date** and number of **Shares** purchased.

There is a trailing grand summary report part, showing total number of purchases listed, total number of shares purchased, as well as minimum, maximum and average number of shares purchased.

Report format is *Letter*, orientation is *Portrait*.

Report subtitle shows actual minimal and maximal purchase dates from the records in the current found set.

Press the **Preview** button  to see how the report will look printed on paper. You can browse through the report pages using the **book tool**. Press the **Continue** button to exit from the preview mode.

Press the **Print** button  to print this report. Print dialog will be shown, allowing you to select: printer, change its properties, mark if you want to print in the file, define print range (all pages or page subset), define page numbering starting page, select number of copies and collate settings.

Press the **Jump To Record List** button  if you want to filter records. After you finish, please press the **Back** button to return to this report.

You can browse through the record list using the record navigation buttons: go to previous, next, first and last record in the current found set.

Press the **Jump Back** button  to close this report.

PURCHASES LIST

From 10/31/1999 to 8/31/2000



Acme Company, Inc.
 ID: 12-126
 Street Name Goes Here
 City, State, Zip


| ID | Employee | Plan | Purchase Date | Shares |
|-------|-------------------|------------------------|---------------|--------|
| AA001 | Young, Tom, D. | 1999 | 10/31/1999 | 58 |
| AA002 | Smith, John, Z. | 1999 | 10/31/1999 | 117 |
| AA003 | Fisher, Anna, S. | 1999 | 10/31/1999 | 51 |
| AA004 | Baker, Muriel, W. | 1999 | 10/31/1999 | 70 |
| AA001 | Young, Tom, D. | Y2000 | 8/31/2000 | 3 |
| AA002 | Smith, John, Z. | Y2000 | 8/31/2000 | 6 |
| AA003 | Fisher, Anna, S. | Y2000 | 8/31/2000 | 3 |
| AA004 | Baker, Muriel, W. | Y2000 | 8/31/2000 | 3 |
| | | Total Purchases | 8 | |
| | | Total Shares | | 311 |
| | | min | | 3 |
| | | avg | | 38.875 |
| | | max | | 117 |

Figure 39 – Purchases List

Purchase Summary

Report shows summary information for purchases occurred in the specified purchase period or between two dates.

You have either to select purchase period from the drop down list, or to enter From and To purchase dates. Then, please press the **Find** button  to generate the report and **Preview** button  to see it. If you enter both purchase period and range of dates, program will use selected purchase period.

Press the **Find All** button  to clear report parameters and find all records.

Each row in the purchase period drop down list shows: **period id**, **offering begin date**, **purchase begin date** and **purchase date**.


Summary information include: Employee ID, Name, Share Price, number of Shares Purchased, Total Shares Price, Shares Value (based on share's Fair Market Value on purchase date) and potential Gain realized.


Records are grouped by Purchase Periods. For every new period there is leading and trailing summaries; leading shows: Purchase Plan, Purchase Date, Fair Value on purchase date and Total number of Purchases; trailing shows: totals (sums) for: Shares purchased, Total Shares Price, Shares Value and Gain, as well as minimal, maximal and average values for Share Price, Shares, Total Shares Price, Shares Value and Gain.

There is a trailing grand summary report part, showing total number of shares purchased and following statistical information: Totals (sums) for Shares purchased, Total Shares Price, Shares Value and Gain, as well as minimal, maximal and average values for Share Price, Shares, Total Shares Price, Shares Value and Gain.

Report format is *Letter*, orientation is *Portrait*, page break before every new purchase period.

Report subtitle shows actual minimal and maximal purchase dates from the records in the current found set.

Press the **Preview** button  to see how the report will look printed on paper. You can browse through the report pages using the **book tool**. Press the **Continue** button to exit from the preview mode.

Press the **Print** button  to print this report. Print dialog will be shown, allowing you to select: printer, change its properties, mark if you want to print in the file, define print range (all pages or page subset), define page numbering starting page, select number of copies and collate settings.

Press the **Jump To Record List** button  if you want to filter records. After you finish, please press the **Back** button to return to this report.

You can browse through the record list using the record navigation buttons: go to previous, next, first and last record in the current found set.

Press the **Jump Back** button  to close this report.

PURCHASE SUMMARY

From 8/31/2000 to 8/31/2000

Acme Company, Inc.
ID: 12-126
Street Name Goes Here
City, State, Zip

Purchase Plan Y2000

Purchase Date Thursday, August 31, 2000

Fair Value \$20.8520

Total Purchases 4



| ID | Employee | Share Price | Shares | Total Shares Price | Shares Value | Gain |
|-------|-------------------|-------------|--------|--------------------|--------------|---------|
| AA004 | Baker, Muriel, W. | \$14.8886 | 3 | \$44.67 | \$62.56 | \$17.89 |
| AA003 | Fisher, Anna, S. | \$14.8886 | 3 | \$44.67 | \$62.56 | \$17.89 |
| AA002 | Smith, John, Z. | \$14.8886 | 6 | \$89.33 | \$125.11 | \$35.78 |
| AA001 | Young, Tom, D. | \$14.8886 | 3 | \$44.67 | \$62.56 | \$17.89 |
| Total | | | 15 | \$223.34 | \$312.79 | \$89.45 |
| min | | | 3 | \$44.67 | \$62.56 | \$17.89 |
| avg | | | 3.75 | \$55.84 | \$78.20 | \$22.36 |
| max | | | 6 | \$89.33 | \$125.11 | \$35.78 |


Figure 40 – Purchase Summary

Purchases by Employee

Report lists purchases made under specified purchase plan, within the specified range of dates, grouped by employees.


You can specify following report parameters: **purchase plan**, by selecting one from the drop down list, beginning and ending purchase date (dates **From** and **To**).

Press the **Find** button  to generate the report and **Preview** button  to see it.

Press the **Find All** button  to clear report parameters and find all records.

Each purchase row consists of: purchase date, share price, purchasing amount, number of shares purchased, leftover amount and leftover reason.

Records are sorted by Employee Name and then by Purchase Date.


Tip: If you want to list purchases for one employee only, press the **Jump To Record List** button  filter the purchase records by that employee's ID and press the **Back** button to return to the report.


There are summary fields for each employee: leading summary, with purchase plan and number of purchases; trailing summary, with total, minimal, maximal and average values for the purchasing amount, shares purchased and leftover amount.

There is a trailing grand summary report part, showing: purchase plan selected, total number of purchases and totals for Amounts, Shares and Leftover amounts, as well as minimal, maximal and average values for the same fields.

Report format is *Letter*, orientation is *Portrait*, page break before every new employee.

Report subtitle shows actual minimal and maximal purchase dates from the records in the current found set.

Press the **Preview** button  to see how the report will look printed on paper. You can browse through the report pages using the **book tool**. Press the **Continue** button to exit from the preview mode.

Press the **Print** button  to print this report. Print dialog will be shown, allowing you to select: printer, change its properties, mark if you want to print in the file, define print range (all pages or page subset), define page numbering starting page, select number of copies and collate settings.

Press the **Jump To Record List** button  if you want to filter records. After you finish, please press the **Back** button to return to this report.

You can browse through the record list using the record navigation buttons: go to previous, next, first and last record in the current found set.



Press the **Jump Back** button  to close this report.


| PURCHASES BY EMPLOYEE | | | | | |
|--------------------------------|-------------|-------------------|---|-----------------|-----------------|
| From 10/31/1999 to 8/31/2000 | | | Acme Company, Inc. ID: 12-126 Street Name Goes Here City, State, Zip | | |
| Employee Young, Tom, D. | | | ID AA001 | | |
| Purchase Plan 1999 | | | | | |
| Purchases 2 | | | | | |
| Purchase Date | Share Price | Purchasing Amount | Shares Purchased | Leftover Amount | Leftover Reason |
| 10/31/1999 | \$4.2500 | \$250.00 | 58 | \$3.50 | Refund |
| 8/31/2000 | \$14.8886 | \$45.67 | 3 | \$1.00 | Carry Forward |
| Total | | \$295.67 | 61 | \$4.50 | |
| min | | \$45.67 | 3 | \$1.00 | |
| avg | | \$147.84 | 30.5 | \$2.25 | |
| max | | \$250.00 | 58 | \$3.50 | |

Figure 41 – Purchases by Employee

Purchase Confirmation

Report is a purchase confirmation for employees.

Report requires input parameters: select purchase period from drop down list, enter the purchase date (either in **From** or **To** date field) or enter the date period, by filling both From and To field. Then, please press the **Find** button  to generate the report and **Preview** button  to see it. If you enter both purchase period and range of dates, program will use selected purchase period.

Press the **Find All** button  to clear report parameters and find all records.

Each row in the purchase period drop down list shows: **period id**, **offering begin date**, **purchase begin date** and **purchase date**.

On the top of page there are employee related data: **Name**, **Address**, **Phone**, **E-mail** address, **Employee ID**, **SSN** (Social Security Number).


Purchase related information: Purchase Plan, Subscription Date, share's Fair market Value on Subscription date, Purchase Date, share's Fair market Value on Purchase date, share's Fair market Value on Offering date (used when calculating annual IRS value of shares, because of IRS limit), Price Basis (Lower of two prices, on subscription or purchase date, on Purchase Date or Other price), percentage of Discount that is applied on share FMV, Purchase Price, Carried Forward amount (left from previous purchases), Contributed Amount for this purchase, Total Purchasing Amount, Previous and Current Balance of Shares (number of shares an employee purchased before this purchase and after this purchase), number of Shares Purchased, Total Purchase Price and Shares Value, potential Gain and Total IRS Value.

Issuance related information: Type of Issuance (Employee, Street Name or Same-Day Sale), Registration Name and Address, Issuance notes, which informs about purchase holding period (qualifying/disqualifying dispositions) except for Same-Day Sale purchases.


Records are sorted by Employee Name and then by Purchase Date.


Report format is *Letter*, orientation is *Portrait*, one purchase confirmation per page.

Report subtitle shows report parameters you entered (purchase date, if you selected purchase period, or date period).

Press the **E-mail report** button  to send this report by e-mail, without printing it on paper. Report will be sent to all employees that have their e-mail addresses specified.

Based on the system Preferences, e-mails can be sent with or without your confirmation (preview) in your default e-mail client.

Press the **Preview** button  to see how the report will look printed on paper. You can browse through the report pages using the **book tool**. Press the **Continue** button to exit from the preview mode.

Press the **Print** button  to print this report. Print dialog will be shown, allowing you to select: printer, change its properties, mark if you want to print in the file, define print range (all pages or page subset), define page numbering starting page, select number of copies and collate settings.

Press the **Jump To Record List** button  if you want to filter records. After you finish, please press the **Back** button to return to this report.

You can browse through the record list using the record navigation buttons: go to previous, next, first and last record in the current found set.

Press the **Jump Back** button  to close this report.

PURCHASE CONFIRMATION

Purchase Date: 8/31/2000

Acme Company, Inc.

ID: 12-126

Street Name Goes Here

City, State, Zip

Young, Tom, D.

11 South Street

Santa Barbara, CA, 93101

(555) 555-0001

tyoung@aol.com

ID AA001**SSN** 123-45-6789

| | | | |
|--------------------------------|-----------------|---|---------------|
| Purchase Plan | Y2000 | | |
| Subscription Date | June 1, 2000 | Subscription Fair Value | \$17.5160 |
| Purchase Date | August 31, 2000 | Purchase Fair Value | \$20.8520 |
| Price Basis | Lower | IRS Limit Fair Value | \$17.5160 |
| Discount | 15 % | <i>(used when calculating annual IRS value of shares)</i> | |
| Purchase Price | \$14.8886 | | |
| Carried Forward Amount | \$0.00 | | |
| Contributed Amount | \$45.67 | | |
| Total Purchasing Amount | \$45.67 | | |
| | | Previous Balance of Shares | 0 |
| Shares Purchased | 3 | Current Balance of Shares | 3 |
| Total Purchase Price | \$44.67 | Leftover | \$1.00 |
| Shares Value | \$62.56 | Reason | Carry Forward |
| Gain | \$17.89 | | |
| Total IRS Value | \$52.55 | | |

Type of Issuance Street Name**Registration** Winner Broker**Address** 33 West 34th Street
New York NY 10001**Account** PA001

Please note that if you sell any or all of these shares before 6/1/2002 that disposition will be disqualifying.



Approval _____


Figure 42 – Purchase Confirmation

Purchase Status by Employee

Report lists purchase status on specified **As of** date, grouped by employees.


You can specify additional report parameter, purchase plan, by selecting one from the drop down list.

Press the **Find** button  to generate the report and **Preview** button  to see it.

Press the **Find All** button  to clear report parameters and find all records.

Each purchase row consists of: purchase date, share price, share fair market value on purchase date, number of shares purchased, total share price, share value, potential gain, holding date (until this date every disposition will be disqualifying), number of shares sold **As of** date and last sold date.

Records are sorted by Employee Name and then by Purchase Plan, Offering Begin Date and Purchase Date.

Tip: If you want to see purchase status for one employee only, press the **Jump To Record List** button  filter the purchase records by that employee's ID and press the **Back** button to return to the report.

For every employee there is a leading summary part, showing: employee name, employee id and number of purchases as of specified date.


For every new offering there is a leading summary part, showing offering begin date, fair market value on offering begin date, subscription date and fair market value on subscription date.


There are same trailing summary parts for each offering, plan and employee, with total, minimal, maximal and average values for the shares purchased, total shares price, shares value and shares sold.

There is a trailing grand summary report part, showing total number of purchases and same statistical data as other trailing summary parts.

Report format is Letter, orientation is Portrait, page break before every new employee.

Report subtitle shows **As of** date.

Press the **Preview** button  to see how the report will look printed on paper. You can browse through the report pages using the **book tool**. Press the **Continue** button to exit from the preview mode.

Press the **Print** button  to print this report. Print dialog will be shown, allowing you to select: printer, change its properties, mark if you want to print in the file, define print range (all pages or page subset), define page numbering starting page, select number of copies and collate settings.

Press the **Jump To Record List** button  if you want to filter records. After you finish, please press the **Back** button to return to this report.

You can browse through the record list using the record navigation buttons: go to previous, next, first and last record in the current found set.

Press the **Jump Back** button  to close this report.

PURCHASE STATUS BY EMPLOYEE

As of 12/31/2000



Acme Company, Inc.
ID: 12-126
Street Name Goes Here
City, State, Zip


| | | | | | | | | | |
|---------------------|-------------|----------------|------------------|--------------------|--------------|-----------|--------------|-------------|----------------|
| Employee | | Young, Tom, D. | | ID | | AA001 | | | |
| Purchases | | 2 | | | | | | | |
| Purchase Plan | | 1999 | | | | | | | |
| Offering Begin Date | | May 1, 1999 | | Offering FMV | | \$5.0000 | | | |
| Subscription Date | | May 1, 1999 | | Subscription FMV | | \$5.0000 | | | |
| Purchase Date | Share Price | Purchase FMV | Shares Purchased | Total Shares Price | Shares Value | Gain | Holding Date | Shares Sold | Last Sold Date |
| 10/31/1999 | \$4.2500 | \$6.6000 | 58 | \$246.50 | \$382.80 | \$136.30 | 5/1/2001 | | |
| | 5/1/1999 | Total | 58 | \$246.50 | \$382.80 | \$136.30 | | | |
| | 1999 | Total | 58 | \$246.50 | \$382.80 | \$136.30 | | | |
| | | | | | | | | | |
| Purchase Plan | | Y2000 | | | | | | | |
| Offering Begin Date | | June 1, 2000 | | Offering FMV | | \$17.5160 | | | |
| Subscription Date | | June 1, 2000 | | Subscription FMV | | \$17.5160 | | | |
| Purchase Date | Share Price | Purchase FMV | Shares Purchased | Total Shares Price | Shares Value | Gain | Holding Date | Shares Sold | Last Sold Date |
| 8/31/2000 | \$14.8886 | \$20.8520 | 3 | \$44.67 | \$62.56 | \$17.89 | 6/1/2002 | | |
| | 6/1/2000 | Total | 3 | \$44.67 | \$62.56 | \$17.89 | | | |
| | Y2000 | Total | 3 | \$44.67 | \$62.56 | \$17.89 | | | |
| | | | | | | | | | |
| Young, Tom, D. | | Total | 61 | \$291.17 | \$445.36 | \$154.19 | | | |

Figure 43 – Purchase Status by Employee

Issuance Summary

Report shows shares number and price from purchase records for specified purchase period, grouped by type of issuance and with: employee's name/id, registration name and address and broker id.

After you select purchase period from the drop down list, please press the **Find** button  to generate the report and **Preview** button  to see it.

Press the **Find All** button  to clear report parameters and find all records.

Each row in the purchase period drop down list shows: **period id**, **offering begin date**, **purchase begin date** and **purchase date**.


Records are sorted by Issuance Type and then by Employee Name.


There are summary parts for every issuance type: leading shows Issuance Type (Same-Day Sale, Street Name or Employee), Fair Value on purchase date, number of issuances; trailing shows total shares number and minimal, maximal and average values for the share price and number of shares purchased.

There is a trailing grand summary report part, showing total number of issuances and minimal, maximal and average values for the share price and number of shares purchased.

Report format is *Letter*, orientation is *Portrait*, page break before every new issuance type.

Report subtitle shows purchase period selected (plan name and purchase date).

Press the **Preview** button  to see how the report will look printed on paper. You can browse through the report pages using the **book tool**. Press the **Continue** button to exit from the preview mode.

Press the **Print** button  to print this report. Print dialog will be shown, allowing you to select: printer, change its properties, mark if you want to print in the file, define print range (all pages or page subset), define page numbering starting page, select number of copies and collate settings.

Press the **Jump To Record List** button  if you want to filter records. After you finish, please press the **Back** button to return to this report.

You can browse through the record list using the record navigation buttons: go to previous, next, first and last record in the current found set.

Press the **Jump Back** button  to close this report.

ISSUANCE SUMMARY

Acme Company, Inc.

ID: 12-126

Street Name Goes Here

City, State, Zip

Purchase Plan: Y2000

Purchase Date: 8/31/2000

Issuance Type

Same-Day Sale

Fair Value

\$20.8520

Issuances



2


| Employee Name / ID | Registration / Address | Broker ID | Share Price | Shares |
|---------------------------|--|-----------|-------------|--------|
| Fisher, Anna, S. AA003 | Broker Co., Inc. 101 North Street San Francisco CA 94104 | Schwab | \$14.8886 | 3 |
| Smith, John, Z. AA002 | Broker Co., Inc. 101 North Street San Francisco CA 94104 | Schwab | \$14.8886 | 6 |
| Total | | | | 9 |
| min | | | | 3 |
| avg | | | | 4.50 |
| max | | | | 6 |

Figure 44 – Issuance Summary

Broker Issuance Summary


Report shows purchase records for selected purchase period, grouped by broker id and issuance type (only purchases with Same-Day Sale and Street Name issuance type are listed).

After you select purchase period from the drop down list, please press the **Find** button  to generate the report and **Preview** button  to see it.

Press the **Find All** button  to clear report parameters and find all records.

Each row in the purchase period drop down list shows: **period id**, **offering begin date**, **purchase begin date** and **purchase date**.

Purchase record row contains: **Registration** (Employee Name), **Address** (Employee Address), **Account** number, **SSN** (Social Security Number) and number of **shares** purchased.

Tip: If you want to see issuance summary for one broker only, press the **Jump To Record List** button  filter the purchase records by that Broker ID and press the **Back** button to return to the report.


Records are sorted by Issuance Type and then by Employee Name.


There are summary parts: leading shows Broker information, Issuance Type, Sale Date, Fair Value on purchase date and number of issuances; trailing shows total, minimal, maximal and average values for the number of shares.


There is a trailing grand summary report part, showing total number of issuances and minimal, maximal and average values for the number of shares.


Report format is *Letter*, orientation is *Portrait*, page break before every new Issuance Type.

Report subtitle shows purchase period selected (plan name and purchase date).

Press the **E-mail report** button  to send this report by e-mail, without printing it on paper. Report will be sent to all brokers that have their e-mail addresses specified. Based on the system Preferences, e-mails can be sent with or without your confirmation (preview) in your default e-mail client.

Press the **Preview** button  to see how the report will look printed on paper. You can browse through the report pages using the **book tool**. Press the **Continue** button to exit from the preview mode.

Press the **Print** button  to print this report. Print dialog will be shown, allowing you to select: printer, change its properties, mark if you want to print in the file, define print range (all pages or page subset), define page numbering starting page, select number of copies and collate settings.

Press the **Jump To Record List** button  if you want to filter records. After you finish, please press the **Back** button to return to this report.

You can browse through the record list using the record navigation buttons: go to previous, next, first and last record in the current found set.

Press the **Jump Back** button  to close this report.

| BROKER ISSUANCE SUMMARY | | | | |
|--|--|----------------------|---|--------|
| Purchase Plan: Y2000 Purchase Date: 8/31/2000 | | | Acme Company, Inc. ID: 12-126 Street Name Goes Here City, State, Zip | |
| Broker ID | Schwab | Issuance Type | Same-Day Sale | |
| Broker | Broker Co., Inc. 101 North Street San Francisco CA 94104 | Sale Date | August 31, 2000 | |
| | | Fair Value | \$20.8520 | |
| | | Issuances | 2 | |
| Registration | Address | Account | SSN | Shares |
| Fisher, Anna, S. | 99 Central Bay San Diego, CA, 91101 | PA003 | 202-11-4545 | 3 |
| Smith, John, Z. | 22 West Side San Francisco, CA, 94122 | PA002 | 100-20-0555 | 6 |
| Total | | | | 9 |
| min | | | | 3 |
| avg | | | | 4.5 |
| max | | | | 6 |

Figure 45 – Broker Issuance Summary

Purchase Accounts [detailed]


Report lists employees that are subscribed for purchasing.


Field shown are: **Employee Name** and **Address**, **Phone** number, **E-mail** address, **Employee ID**, **SSN** (Social Security Number), **Job Title**, **Subsidiary**, **Location**, **Subscription Date**, **Withdrawal Date**, **Share Limit**, **Currency**, **Default Contribution**, **Broker ID**, **Account** number, **Issuance Type**, No Purchase Election check box.

Records are sorted by Employee Name.

There is a trailing grand summary report part, showing total number of employee accounts listed.

Report format is *Letter*, orientation is *Landscape*.

Press the **Preview** button  to see how the report will look printed on paper. You can browse through the report pages using the **book tool**. Press the **Continue** button to exit from the preview mode.

Press the **Print** button  to print this report. Print dialog will be shown, allowing you to select: printer, change its properties, mark if you want to print in the file, define print range (all pages or page subset), define page numbering starting page, select number of copies and collate settings.

Press the **Jump To Record List** button  if you want to filter records. After you finish, please press the **Back** button to return to this report.

You can browse through the record list using the record navigation buttons: go to previous, next, first and last record in the current found set.

Press the **Jump Back** button  to close this report.

PURCHASE ACCOUNTS

Acme Company, Inc.
 ID: 12-126
 Street Name Goes Here
 City, State, Zip

| Employee | ID / SSN | Job/Subsidiary/ Location | Subscription/ Withdrawal | Share Limit | Curr./ Contrib. | Broker ID/ Account | Issuance Type | No Purch. |
|--|----------------------|---------------------------------------|-----------------------------|----------------|--------------------|-----------------------|------------------|--------------------------|
| Baker, Muriel, W. 01 Small Hills Athens, GE, 88222 (882) 555-0101 muriel@krc.net | AA004 808-32-1111 | marketing assistant Central CA1 | 6/1/2000 | 1,000 | USD | My Broker PA004 | Employee | <input type="checkbox"/> |
| Fisher, Anna, S. 99 Central Bay San Diego, CA, 91101 (333) 555-9900 anna@krc.net | AA003 202-11-4545 | secretary Central CA1 | 6/1/2000 | 1,000 | Euro | Schwab PA003 | Same-Day Sale | <input type="checkbox"/> |
| Smith, John, Z. 22 West Side San Francisco, CA, 94122 (404) 555-1111 johnys@mail.com | AA002 100-20-0555 | chief of marketing Central CA1 | 6/1/2000 | | USD | Schwab PA002 | Same-Day Sale | <input type="checkbox"/> |
| Young, Tom, D. 11 South Street Santa Barbara, CA, 93101 (555) 555-0001 tyoung@aol.com | AA001 123-45-6789 | shw developer South CA2 | 6/1/2000 | | USD 1.00% | My Broker PA001 | Street Name | <input type="checkbox"/> |
| Total Accounts 4 | | | | | | | | |

Figure 46 – Purchase Accounts [detailed]

Purchase Accounts [brief]


Report lists employees that are subscribed for purchasing.


Field shown are: **Employee Name**, **Employee ID**, **Subscription Date**, **Withdrawal Date**, **Share Limit**, **Currency**, **Default Contribution**, **Broker ID**, **Account** number, **Issuance Type**, No Purchase Election check box.

Records are sorted by Employee Name.

There is a trailing grand summary report part, showing total number of employee accounts listed.

Report format is *Letter*, orientation is *Landscape*.

Press the **Preview** button  to see how the report will look printed on paper. You can browse through the report pages using the **book tool**. Press the **Continue** button to exit from the preview mode.

Press the **Print** button  to print this report. Print dialog will be shown, allowing you to select: printer, change its properties, mark if you want to print in the file, define print range (all pages or page subset), define page numbering starting page, select number of copies and collate settings.

Press the **Jump To Record List** button  if you want to filter records. After you finish, please press the **Back** button to return to this report.

You can browse through the record list using the record navigation buttons: go to previous, next, first and last record in the current found set.

Press the **Jump Back** button  to close this report.

PURCHASE ACCOUNTS

Acme Company, Inc.
ID: 12-126
Street Name Goes Here
City, State, Zip



| Employee | ID | Subscr. Date | Withdr. Date | Share Limit | Curr. | Default Contrib. | Broker ID | Account | Issuance Type | No Purch. |
|-------------------------|-------|-----------------|-----------------|----------------|-------|---------------------|-----------|---------|------------------|--------------------------|
| Baker, Muriel, W. | AA004 | 6/1/2000 | | 1,000 | USD | | My Broker | PA004 | Employee | <input type="checkbox"/> |
| Fisher, Anna, S. | AA003 | 6/1/2000 | | 1,000 | Euro | | Schwab | PA003 | Same-Day Sale | <input type="checkbox"/> |
| Smith, John, Z. | AA002 | 6/1/2000 | | | USD | | Schwab | PA002 | Same-Day Sale | <input type="checkbox"/> |
| Young, Tom, D. | AA001 | 6/1/2000 | | | USD | 1.00% | My Broker | PA001 | Street Name | <input type="checkbox"/> |
| Total Accounts 4 | | | | | | | | | | |

Figure 47 – Purchase Accounts List

Purchase Accounts by Broker

Report lists employees that are subscribed for purchasing, grouped by brokers.

You can specify broker by selecting **broker id** from the drop down list.

Press the **Find** button  to generate the report and **Preview** button  to see it.

Press the **Find All** button  to clear report parameters and find all records.


At the top of page there are broker related data: Broker **ID**, Broker **Name**, **Address**, **Phone** and **Fax** numbers, **E-mail** and For benefit of? check box.


Field shown are: **Employee Name**, **SSN** (Social Security Number), **Account** number and **Issuance Type**.


Records are sorted by Employee Name.

There are trailing broker and grand summary report parts, showing total number of employee accounts listed.

Report format is *Letter*, orientation is *Portrait*, page break before every new broker.

Press the **E-mail report** button  to send this report by e-mail, without printing it on paper. Report will be sent to all brokers that have their e-mail addresses specified. Based on the system Preferences, e-mails can be sent with or without your confirmation (preview) in your default e-mail client.

Press the **Preview** button  to see how the report will look printed on paper. You can browse through the report pages using the **book tool**. Press the **Continue** button to exit from the preview mode.

Press the **Print** button  to print this report. Print dialog will be shown, allowing you to select: printer, change its properties, mark if you want to print in the file, define print range (all pages or page subset), define page numbering starting page, select number of copies and collate settings.

Press the **Jump To Record List** button  if you want to filter records. After you finish, please press the **Back** button to return to this report.

You can browse through the record list using the record navigation buttons: go to previous, next, first and last record in the current found set.

Press the **Jump Back** button  to close this report.

PURCHASE ACCOUNTS

Acme Company, Inc.
 ID: 12-126
 Street Name Goes Here
 City, State, Zip

Broker ID My Broker

Broker Winner Broker

33 West 34th Street
 New York NY 10001

Phone (800) 555-4433

Fax (808) 555-3344

E-mail winner@broker.net

For benefit of? Yes

| Name | SSN | Account | Issuance Type |
|-------------------|-------------|----------------|----------------------|
| Baker, Muriel, W. | 808-32-1111 | PA004 | Employee |
| Young, Tom, D. | 123-45-6789 | PA001 | Street Name |

Number of Accounts 2


Total Accounts 2


Figure 48 – Purchase Accounts by Broker

Approaching IRS Limit

Report lists employees with their current IRS value in the specified year. You can also specify minimal value, to list only employees with IRS value greater than minimal value.

IRS Limit is shown in blue field and it is read-only field. If you need to change it, do it on the Preferences layout.

After you specify report parameters, please press the **Find** button  to generate the report.


Press the **Find All** button  to clear report parameters and find all records.


Fields shown are: **Employee Name**, **Employee ID**, **Share Limit**, **Total Shares** purchased, **Offset Shares** (purchased somewhere else, not recorded in system), **Total IRS Value** of shares purchased, **Offset IRS Value** and **IRS Limit Available** for purchasing in specified year.


Records are sorted by Employee Name.

There is a trailing grand summary report part, showing total number of employees listed.

Report format is *Letter*, orientation is *Portrait*.

Press the **E-mail report** button  to send this report by e-mail, without printing it on paper. Report will be sent to all employees that have their e-mail addresses specified. Based on the system Preferences, e-mails can be sent with or without your confirmation (preview) in your default e-mail client.

Press the **Preview** button  to see how the report will look printed on paper. You can browse through the report pages using the **book tool**. Press the **Continue** button to exit from the preview mode.

Press the **Print** button  to print this report. Print dialog will be shown, allowing you to select: printer, change its properties, mark if you want to print in the file, define print range (all pages or page subset), define page numbering starting page, select number of copies and collate settings.

Press the **Jump To Record List** button  if you want to filter records. After you finish, please press the **Back** button to return to this report.

You can browse through the record list using the record navigation buttons: go to previous, next, first and last record in the current found set.

Press the **Jump Back** button  to close this report.

| APPROACHING IRS LIMIT | | | Acme Company, Inc. | | |
|------------------------------|-----------|--------------------|-----------------------------|--------------------------------|----------------------------|
| Year 2000 | | | ID: 12-126 | | |
| IRS Limit \$25000 | | | Street Name Goes Here | | |
| | | | City, State, Zip | | |
| Employee | ID | Share Limit | Total Shares/ Offset | Total IRS Value/ Offset | IRS Limit Available |
| Baker, Muriel, W. | AA004 | 1,000 | 3 | \$52.55 | \$24,947.45 |
| Ericsson, Frederick, G. | AA005 | | | | \$25,000.00 |
| Fisher, Anna, S. | AA003 | 1,000 | 3 | \$52.55 | \$24,947.45 |
| Smith, John, Z. | AA002 | | 6 | \$105.10 | \$24,894.90 |
| Young, Tom, D. | AA001 | | 1,503 | \$12,577.13 | \$12,422.87 |
| | | | 1,500 | \$12,524.58 | |
| <hr/> | | | | | |
| Total Employees 5 | | | | | |

Figure 49 – Approaching IRS Limit

Purchases Data Check

Report shows if there are errors in the Purchases database. You can start Data Check procedure from the System Maintenance layout or from the Reports list.

Fields shown are: **Purchase ID**, **Employee ID**, **Purchase Plan**, **Purchase Date** and **Error Description**.

There is a trailing grand summary report part, showing total number of records listed.

If there are no errors found, appropriate message is shown and all Error Description fields are empty.

If there are errors found, you will be prompted to choose if you want to print this report. After you review Error Description fields, please correct the errors in the database.

Report format is *Letter*, orientation is *Portrait*.

New Purchases Summary

Report shows list of new purchases with: **Employee Name**, purchasing **Amount**, **Share Price**, number of **Shares** purchased, **Leftover** amount and reason.


There is a leading grand summary report part, showing: Purchase Plan, Purchase Date, total number of purchases and total number of shares purchased.


There is a trailing grand summary report part, showing: total purchasing amount, total number of shares purchased, average purchasing amount, average share price and average number of shares purchased.

Records are sorted by employee name.


Report format is *Letter*, orientation is *Portrait*.

Report subtitle shows date when new purchases are added to the database.

Press the **Preview** button  to see how the report will look printed on paper. You can browse through the report pages using the **book tool**. Press the **Continue** button to exit from the preview mode.

Press the **Print** button  to print this report. Print dialog will be shown, allowing you to select: printer, change its properties, mark if you want to print in the file, define print range (all pages or page subset), define page numbering starting page, select number of copies and collate settings.

You can browse through the record list using the record navigation buttons: go to previous, next, first and last record in the current found set.

Press the **Jump Back** button  to close this report.

NEW PURCHASES SUMMARY

Purchase Plan: 1999
 Purchase Date: 4/30/2000

Acme Company, Inc.
 ID: 12-126
 Street Name Goes Here
 City, State, Zip


| | | | | | |
|----------------------------------|------------------------|--------------------|-------------------------------|-----------------|--------|
| Purchase Plan | 1999 | | | | |
| Purchase Date | Sunday, April 30, 2000 | | | | |
| Total number of purchases | 1 | | Total number of shares | 16 | |
| Employee | Amount | Share Price | Shares | Leftover | |
| Young, Tom, D. | \$91.34 | \$5.53 | 16 | \$2.94 | Refund |
| Total | \$91.34 | | 16 | \$2.94 | |
| Avg. Purchasing Amount | \$91.34 | | | | |
| Avg. Share Price | \$5.53 | | | | |
| Avg. Shares Purchased | 16.00 | | | | |

Figure 50 – New Purchases Summary

Purchase Dispositions


Purchase Dispositions List


Report shows list of purchase disposition cards. Single card contains: **Employee Name** and **ID**, **Purchase Plan**, employee's **Subscription Date**, **Purchase Date**, **Issuance Type** (Same-Day Sale, Street Name or Employee), **Transfer Type** (Pending, Sold or Street Name), **Transfer Date** (disposition date), number of **Shares** disposed, **Broker ID**, **Sale Price** and brokerage **Fee**.

You can press the **Transfer Type**  button, in order to sort records by transfer type. In that case, there will be a trailing summary report part, with: actual minimal and maximal disposition date, total number of dispositions, total number of shares transferred, minimal, maximal and average sale price for records listed.

There is a trailing grand summary report part, showing actual minimal and maximal disposition date, total number of dispositions, total number of shares transferred, minimal, maximal and average sale price for records listed.

Report format is *Letter*, orientation is *Portrait*.

Press the **Preview** button  to see how the report will look printed on paper. You can browse through the report pages using the **book tool**. Press the **Continue** button to exit from the preview mode.

Press the **Print** button  to print this report. Print dialog will be shown, allowing you to select: printer, change its properties, mark if you want to print in the file, define print range (all pages or page subset), define page numbering starting page, select number of copies and collate settings.

Press the **Jump To Record List** button  if you want to filter records. After you finish, please press the **Back** button to return to this report.

You can browse through the record list using the record navigation buttons: go to previous, next, first and last record in the current found set.

Press the **Jump Back** button  to close this report.

PURCHASE DISPOSITIONS

Acme Company, Inc.
 ID: 12-126
 Street Name Goes Here
 City, State, Zip

| | | | | | |
|-------------------------------------|------------------|----------------------|-----------------------------------|----------------------|---------------|
| Name, ID | Young, Tom, D. | | AA001 | Plan | 1999 |
| Subscr. date | May 1, 1999 | Purchase date | Oct 31, 1999 | Issuance type | Street Name |
| Transfer type | Street Name | Transfer date | Oct 31, 1999 | Shares | 58 |
| Broker ID | My Broker | Sale price | \$4.2500 | Fee | \$0.00 |
| Name, ID | Smith, John, Z. | | AA002 | Plan | 1999 |
| Subscr. date | May 1, 1999 | Purchase date | Oct 31, 1999 | Issuance type | Same-Day Sale |
| Transfer type | Sold | Transfer date | Oct 31, 1999 | Shares | 117 |
| Broker ID | | Sale price | \$4.2500 | Fee | \$0.00 |
| Name, ID | Fisher, Anna, S. | | AA003 | Plan | 1999 |
| Subscr. date | May 1, 1999 | Purchase date | Oct 31, 1999 | Issuance type | Same-Day Sale |
| Transfer type | Sold | Transfer date | Oct 31, 1999 | Shares | 51 |
| Broker ID | | Sale price | \$4.2500 | Fee | \$0.00 |
| Name, ID | Young, Tom, D. | | AA001 | Plan | Y2000 |
| Subscr. date | Jun 1, 2000 | Purchase date | Aug 31, 2000 | Issuance type | Street Name |
| Transfer type | Street Name | Transfer date | Aug 31, 2000 | Shares | 3 |
| Broker ID | My Broker | Sale price | \$14.8886 | Fee | \$0.00 |
| Name, ID | Smith, John, Z. | | AA002 | Plan | Y2000 |
| Subscr. date | Jun 1, 2000 | Purchase date | Aug 31, 2000 | Issuance type | Same-Day Sale |
| Transfer type | Sold | Transfer date | Aug 31, 2000 | Shares | 6 |
| Broker ID | | Sale price | \$14.8886 | Fee | \$0.00 |
| Name, ID | Fisher, Anna, S. | | AA003 | Plan | Y2000 |
| Subscr. date | Jun 1, 2000 | Purchase date | Aug 31, 2000 | Issuance type | Same-Day Sale |
| Transfer type | Sold | Transfer date | Aug 31, 2000 | Shares | 3 |
| Broker ID | | Sale price | \$14.8886 | Fee | \$0.00 |
| SUMMARY for all dispositions listed | | | From Oct 31, 1999 to Aug 31, 2000 | | |
| Total number of dispositions | 6 | | min | \$4.2500 | |
| Total shares transferred | 238 | Sale price | avg | \$9.5693 | |
| | | | max | \$14.8886 | |


Figure 51 – Purchase Dispositions List

Purchase Dispositions Survey

Report lists dispositions of type **Pending** or **Street Name**, grouped by employees. It is used as a communication between the company and employees.

You can specify additional report parameters: **Disposition Type** (select either Qualifying or Disqualifying from the drop down list) and dispositions date range (**From** and **To** dates).

Please press the **Find** button  to generate the report.


Press the **Find All** button  to clear report parameters and find all records.

Disposition record shows following fields: **Purchase Date**, **Transfer Date**, number of **Shares Transferred**, **Fair Value** on Purchase Date and **Total Value**, **Purchase Price** and **Total Price**, employee's **Subscription Date**, **Discount** on Subscription Date and **Total Discount**.

Employee is asked to complete the survey by filling following fields: **Sell Date**, number of **Shares Sold**, **Price** per Share and Brokerage **Fee**.

Records are sorted by Purchase Date.

For each employee, disposition records are grouped by Qualifying. Purchase disposition is considered Disqualified if the transfer occurs within the "holding period" (two+ years from the subscription date and one+ year from the purchase date).

Tip: if you want to send disposition survey to one employee only, press the **Jump To Record List** button  filter the purchase disposition records by that Employee ID and press the **Back** button to return to the report.

There is a trailing summary part for each qualifying type, showing total number of shares transferred, total number of dispositions listed, place for user Comments and text that describes how the W-2 Income will be calculated.


For Qualifying Dispositions, W-2 Income is lower of the Total Discount on the Subscription Date and the difference between the Total Sale Price and the Total Purchase Price.


For Disqualifying Dispositions, W-2 Income is difference between the Total Fair Value on the Purchase Date and the Total Purchase Price.


There is a trailing summary part for each employee, showing Employee Name, total number of shares transferred, total number of dispositions and space for the employee's Signature and Date.

Report format is *Letter*, orientation is *Landscape*, page break before every new employee.

Report subtitle reflects the additional report parameters you entered.

Press the **E-mail report** button  to send this report by e-mail, without printing it on paper. Report will be sent to all employees that have their e-mail addresses specified. Based on the system Preferences, e-mails can be sent with or without your confirmation (preview) in your default e-mail client.

Press the **Preview** button  to see how the report will look printed on paper. You can browse through the report pages using the **book tool**. Press the **Continue** button to exit from the preview mode.

Press the **Print** button  to print this report. Print dialog will be shown, allowing you to select: printer, change its properties, mark if you want to print in the file, define print range (all pages or page subset), define page numbering starting page, select number of copies and collate settings.

Press the **Jump To Record List** button  if you want to filter records. After you finish, please press the **Back** button to return to this report.

You can browse through the record list using the record navigation buttons: go to previous, next, first and last record in the current found set.

Press the **Jump Back** button  to close this report.

PURCHASE DISPOSITIONS SURVEY

From 1/1/2000 to 12/31/2000

Acme Company, Inc.
 ID: 12-126
 Street Name Goes Here
 City, State, Zip

Young, Tom, D.
 11 South Street

Santa Barbara, CA, 93101

ID AA001

SSN 123-45-6789

(555) 555-0001

E-mail tyong@aol.com

Disqualifying Dispositions*Please fill*

| Purchase Date | Transfer Date | Shares Transferred | Fair Value on Purch. Date / Total Value | Purchase Price / Total Price | Subscr. Date | Discount on Subscr. Date / Total Discount | Sell Date | Shares Sold | Price per Share | Brokerage Fee |
|---------------|---------------|--------------------|---|------------------------------|--------------|---|-----------|-------------|-----------------|---------------|
| 8/31/2000 | 8/31/2000 | 3 | \$20.8520 \$62.56 | \$14.8886 \$44.67 | 6/1/2000 | \$2.6274 \$7.88 | / / | | \$ | \$ |

Total shares transferred 3

Total number of Disqualifying Dispositions 1

For Disqualifying Dispositions, W-2 income is calculated as difference between the Total Fair Value on the Purchase Date and the Total Purchase Price.

Comments

Young, Tom, D.

Total shares transferred 3

Total number of dispositions 1

(Signature)

(Date)


Figure 52 – Purchase Dispositions Survey

Purchase Disposition Tax Info

Report lists purchase dispositions of type **Sold** or **Qualified**, with tax related information and grouped by employees.

You can specify additional report parameters: **Purchase Plan** (select one from the drop down list) and dispositions date range (**From** and **To** dates).


Please press the **Find** button  to generate the report.

Press the **Find All** button  to clear report parameters and find all records.

Disposition record shows following fields: **Purchase Date**, **Sale Date**, number of **Shares Sold**, **Fair Value** on Purchase Date and **Total Value**, **Purchase Price** and **Total Price**, employee's **Subscription Date**, **Discount** on Subscription Date and **Total Discount**, **Sale Price** and **Total Sale Price** and calculated **W-2 Income**.

Records are sorted by Purchase Date.

For each employee, disposition records are grouped by Qualifying. Purchase disposition is considered Disqualified if the transfer occurs within the "holding period" (two+ years from the subscription date and one+ year from the purchase date).

Tip: if you want to see disposition tax info for one employee only, press the **Jump To Record List** button  filter the purchase disposition records by that Employee ID and press the **Back** button to return to the report.

There is a trailing summary part for each qualifying type, showing total number of shares transferred, total number of dispositions listed, total W-2 income and text that describes how the W-2 Income is calculated.

For Qualifying Dispositions, W-2 Income is calculated as lower of the Total Discount on the Subscription Date and the difference between the Total Sale Price and the Total Purchase Price.

For Disqualifying Dispositions, W-2 Income is calculated as difference between the Total Fair Value on the Purchase Date and the Total Purchase Price.

There is a trailing summary part for each employee, showing Employee Name, total number of shares transferred, total W-2 income and total number of dispositions.

There is a trailing grand summary report part, showing: total number of dispositions, total number of shares transferred and total W-2 income.

Purchase Dispositions Data Check

Report shows if there are errors in the Purchase Dispositions database. You can start Data Check procedure from the System Maintenance layout or from the Reports list.

Fields shown are: **Purchase Disposition ID**, **Employee ID**, **Purchase ID**, **Disposition Date** and **Error Description**.

There is a trailing grand summary report part, showing total number of records listed.

If there are no errors found, appropriate message is shown and all Error Description fields are empty.

If there are errors found, you will be prompted to choose if you want to print this report. After you review Error Description fields, please correct the errors in the database.

Report format is *Letter*, orientation is *Portrait*.

Purchase Refunds


Purchase Refunds List


Report shows list of purchase refund records, with: **Employee Name**, **Refund Date**, **Refund Reason**, **Refund Amount** in default currency (USD), **Exchange Rate** used, **Currency** and **Amount** in employee's purchase currency.

There is a trailing grand summary report part, showing total number of refunds listed, total dollar amount refunded, as well as minimum, maximum and average refunded value.

Report format is *Letter*, orientation is *Portrait*.

Report subtitle shows actual minimal and maximal refund dates from the records in the current found set.

Press the **Preview** button  to see how the report will look printed on paper. You can browse through the report pages using the **book tool**. Press the **Continue** button to exit from the preview mode.

Press the **Print** button  to print this report. Print dialog will be shown, allowing you to select: printer, change its properties, mark if you want to print in the file, define print range (all pages or page subset), define page numbering starting page, select number of copies and collate settings.

Press the **Jump To Record List** button  if you want to filter records. After you finish, please press the **Back** button to return to this report.

You can browse through the record list using the record navigation buttons: go to previous, next, first and last record in the current found set.

Press the **Jump Back** button  to close this report.

REFUNDS LIST

From 10/31/1999 to 10/31/1999

Acme Company, Inc.

ID: 12-126

Street Name Goes Here

City, State, Zip

| Employee | Date | Reason | USD Amount | Exch. Rate | Curr. | Amount |
|------------------------|----------------------------|----------|------------|------------|-------|--------|
| Young, Tom, D. | 10/31/1999 | Purchase | \$3.50 | 1.000000 | USD | 3.50 |
| Smith, John, Z. | 10/31/1999 | Purchase | \$2.75 | 1.000000 | USD | 2.75 |
| Fisher, Anna, S. | 10/31/1999 | Purchase | \$0.08 | 0.924578 | Euro | 0.07 |
| Baker, Muriel, W. | 10/31/1999 | Purchase | \$2.50 | 1.000000 | USD | 2.50 |
| Total refunds 4 | Total dollar amount | | \$8.83 | | | |
| | min | | \$0.08 | | | |
| | avg | | \$2.21 | | | |
| | max | | \$3.50 | | | |


Figure 54 – Purchase Refunds List

Purchase Refund Summary

Report shows summary information for purchase refund records, which include: **Employee Name**, **Refund Date**, **Refund Reason**, **Refund Amount** in default currency (USD), **Exchange Rate** used, **Currency** and **Amount** in employee's purchase currency.

You can specify additional report parameters: **refund reason**, by selecting one from the drop down list and date period (**From** and **To** refund dates).

Press the **Find** button  to generate the report.


Press the **Find All** button  to clear report parameters and find all records.


Records are sorted by Employee Name and then by Purchase Plan and Refund Date.

There is a trailing grand summary report part, showing total number of refunds listed, total dollar amount refunded, as well as minimum, maximum and average refunded value.

Report format is *Letter*, orientation is *Portrait*.

Report subtitle shows actual minimal and maximal refund dates from the records in the current found set.

Press the **Preview** button  to see how the report will look printed on paper. You can browse through the report pages using the **book tool**. Press the **Continue** button to exit from the preview mode.

Press the **Print** button  to print this report. Print dialog will be shown, allowing you to select: printer, change its properties, mark if you want to print in the file, define print range (all pages or page subset), define page numbering starting page, select number of copies and collate settings.

Press the **Jump To Record List** button  if you want to filter records. After you finish, please press the **Back** button to return to this report.

You can browse through the record list using the record navigation buttons: go to previous, next, first and last record in the current found set.

Press the **Jump Back** button  to close this report.

REFUND SUMMARY

Acme Company, Inc.

ID: 12-126

Street Name Goes Here

City, State, Zip

Purchase Refund



| Employee | Date | Reason | USD Amount | Exchange Rate | Curr. | Amount |
|---------------------------|------------|-----------------|----------------------------|------------------|-------|--------|
| Baker, Muriel, W. | 10/31/1999 | Purchase Refund | \$2.50 | 1.000000 | USD | 2.50 |
| Fisher, Anna, S. | 10/31/1999 | Purchase Refund | \$0.08 | 0.924578 | Euro | 0.07 |
| Smith, John, Z. | 10/31/1999 | Purchase Refund | \$2.75 | 1.000000 | USD | 2.75 |
| Young, Tom, D. | 10/31/1999 | Purchase Refund | \$3.50 | 1.000000 | USD | 3.50 |
| Total refunds 4 | | | Total dollar amount | \$8.83 | | |
| | | | min | \$0.08 | | |
| | | | avg | \$2.21 | | |
| | | | max | \$3.50 | | |


Figure 55 – Purchase Refund Summary

Refunds by Employee

Report lists refunds made under specified purchase plan, within the specified range of dates, grouped by employees.


You can specify following report parameters: **purchase plan**, by selecting one from the drop down list, beginning and ending refund date (dates **From** and **To**).

Press the **Find** button  to generate the report and **Preview** button  to see it.

Press the **Find All** button  to clear report parameters and find all records.

Each purchase refund row consists of: **refund date**, **refund reason**, **refunded dollar amount**, **exchange rate** used, employee's **currency** and **refunded amount** in that currency.

Records are sorted by Employee Name and then by Refund Date.


Tip: If you want to list purchase refunds for one employee only, press the **Jump To Record List** button  filter the purchase refunds records by that employee's ID and press the **Back** button to return to the report.


There are summary fields for each employee: leading summary, with purchase plan and number of refunds; trailing summary, with total, minimal, maximal and average values for the refunded dollar amount.

There is a trailing grand summary report part, showing: purchase plan selected, total number of refunds and total, minimal, maximal and average values for the same refunded dollar amount field.

Report format is *Letter*, orientation is *Portrait*, page break before every new employee.

Report subtitle shows actual minimal and maximal refund dates from the records in the current found set.

Press the **Preview** button  to see how the report will look printed on paper. You can browse through the report pages using the **book tool**. Press the **Continue** button to exit from the preview mode.

Press the **Print** button  to print this report. Print dialog will be shown, allowing you to select: printer, change its properties, mark if you want to print in the file, define print range (all pages or page subset), define page numbering starting page, select number of copies and collate settings.

Press the **Jump To Record List** button  if you want to filter records. After you finish, please press the **Back** button to return to this report.

You can browse through the record list using the record navigation buttons: go to previous, next, first and last record in the current found set.



Press the **Jump Back** button  to close this report.


| REFUNDS BY EMPLOYEE | | Acme Company, Inc. ID: 12-126 Street Name Goes Here City, State, Zip | | | |
|-------------------------------|-----------------|---|---------------|----------|---------------|
| From 10/31/1999 to 10/31/1999 | | | | | |
| | | <hr/> | | | |
| Employee | Young, Tom, D. | ID AA001 | | | |
| Purchase Plan | 1999 | | | | |
| Refunds | 1 | | | | |
| Refund Date | Refund Reason | Dollar Amount | Exchange Rate | Currency | Refund Amount |
| 10/31/1999 | Purchase Refund | \$3.50 | 1.000000 | USD | 3.50 |
| Total | | \$3.50 | | | |
| min | | \$3.50 | | | |
| avg | | \$3.50 | | | |
| max | | \$3.50 | | | |
| <hr/> | | | | | |

Figure 56 – Refunds by Employee

Purchase Refund Confirmation

Report is a refund confirmation for employees.

You can specify report parameters: enter the refund date (either in **From** or **To** date field) or enter the date period, by filling both From and To field, select **refund type** from drop down list. Then, please press the **Find** button  to generate the report and **Preview** button  to see it.

Press the **Find All** button  to clear report parameters and find all records.

On the top of page there are employee related data: **Name**, **Address**, **Phone**, **E-mail** address, **Employee ID**, **SSN** (Social Security Number).


Purchase refund related information: **Purchase Plan**, **Refund Date**, **Refund Reason**, **Refunded Dollar Amount**, **Exchange Rate** used, employee's **Currency** and **Refund Amount** in that currency.


At the end, there is a place for **Approval** sign.


Records are sorted by Employee Name and then by Purchase Plan and Refund Date.

Report format is *Letter*, orientation is *Portrait*, one refund confirmation per page.

Report subtitle shows report parameters you entered (refund date or date period).

Press the **E-mail report** button  to send this report by e-mail, without printing it on paper. Report will be sent to all employees that have their e-mail addresses specified. Based on the system Preferences, e-mails can be sent with or without your confirmation (preview) in your default e-mail client.

Press the **Preview** button  to see how the report will look printed on paper. You can browse through the report pages using the **book tool**. Press the **Continue** button to exit from the preview mode.

Press the **Print** button  to print this report. Print dialog will be shown, allowing you to select: printer, change its properties, mark if you want to print in the file, define print range (all pages or page subset), define page numbering starting page, select number of copies and collate settings.

Press the **Jump To Record List** button  if you want to filter records. After you finish, please press the **Back** button to return to this report.

You can browse through the record list using the record navigation buttons: go to previous, next, first and last record in the current found set.

Press the **Jump Back** button  to close this report.

| | | | |
|--------------------------------------|--|---------------------------|--|
| REFUND CONFIRMATION | | Acme Company, Inc. | |
| From 10/31/1999 to 10/31/1999 | | ID: 12-126 | |
| | | Street Name Goes Here | |
| | | City, State, Zip | |
| <hr/> | | | |
| Young, Tom, D. | | ID AA001 | |
| 11 South Street | | SSN 123-45-6789 | |
| | | | |
| Santa Barbara, CA, 93101 | | | |
| (555) 555-0001 | | | |
| tyoung@aol.com | | | |
| <hr/> | | | |
| Purchase Plan 1999 | | | |
| Refund Date October 31, 1999 | | | |
| Refund Reason Purchase Refund | | | |
| Dollar Amount \$3.50 | | | |
| Exchange Rate 1.000000 | | | |
| Currency USD | | | |
| Refund Amount 3.50 | | | |
| <hr/> | | | |
| Approval _____ | | | |

Figure 57 – Purchase Refund Confirmation

Purchase Refunds Data Check

Report shows if there are errors in the Purchase Refunds database. You can start Data Check procedure from the System Maintenance layout or from the Reports list.

Fields shown are: **Purchase Refund ID**, **Employee ID**, **Refund Date** and **Error Description**.

There is a trailing grand summary report part, showing total number of records listed.

If there are no errors found, appropriate message is shown and all Error Description fields are empty.

If there are errors found, you will be prompted to choose if you want to print this report. After you review Error Description fields, please correct the errors in the database.

Report format is *Letter*, orientation is *Portrait*.


Purchase Valuations

Purchase Valuations

Report shows list of purchase valuation records, which includes: **Purchase Plan**, **Begin** and **End** valuation dates, price **Discount** percentage, Begin share **Value** and **Price**, **Estimated Contributions** amount, **Volatility**, **Interest** rate, **Term** in years (all three parameters taken from forecast used) and calculated **Valuation** per Share and **Total Valuation**, based on estimated contributions amount.

You can specify additional report parameters, date period for the valuation begin date (**From** and **To** dates).


Press the **Find** button  to generate the report.


Press the **Find All** button  to clear report parameters and find all records.

There is a trailing grand summary report part, showing total valuation amount.

Report format is *Letter*, orientation is *Landscape*.

Report subtitle shows actual minimal and maximal valuation begin dates from the records in the current found set.

Press the **Preview** button  to see how the report will look printed on paper. You can browse through the report pages using the **book tool**. Press the **Continue** button to exit from the preview mode.

Press the **Print** button  to print this report. Print dialog will be shown, allowing you to select: printer, change its properties, mark if you want to print in the file, define print range (all pages or page subset), define page numbering starting page, select number of copies and collate settings.

Press the **Jump To Record List** button  if you want to filter records. After you finish, please press the **Back** button to return to this report.

You can browse through the record list using the record navigation buttons: go to previous, next, first and last record in the current found set.

Press the **Jump Back** button  to close this report.

| PURCHASE VALUATIONS | | | | | | | | | | |
|---|------------|------------|----------|------------------------|-------------------------|------------|----------|----------|------|----------------------------------|
| Begin Date from 5/1/1999 to 6/1/2000 | | | | | | | | | | |
| Acme Company, Inc. ID: 12-126 Street Name Goes Here City, State, Zip | | | | | | | | | | |
| Purchase Plan | Begin Date | End Date | Discount | Begin Value / Price | Estimated Contributions | Volatility | Interest | Dividend | Term | Valuation Per Share / Total Val. |
| 1999 | 5/1/1999 | 12/31/1999 | 15.00% | \$5.0000 \$4.2500 | \$1,500.00 | 0.3500 | 0.058 | 0.030 | 0.67 | \$1.3210 \$466.31 |
| Y2000 | 6/1/2000 | 9/1/2000 | 15.00% | \$17.5160 \$14.8886 | \$100,000.00 | 0.3500 | 0.058 | 0.030 | 0.25 | \$3.8590 \$25,920.90 |
| Total Valuation | | | | | | | | | | \$26,387.22 |

Figure 58 – Purchase Valuations List


Purchase Valuation Adjustments

Report shows list of purchase valuation records, showing both estimated contributions and actual contributions and calculating the expense adjustments. Only the records with actual contributions entered will be shown.

Record fields shown are: **Purchase Plan**, **Begin** and **End** valuation dates, calculated **Valuation** per Share, **Estimated Contributions** amount, **Total Valuations** amount, **Purchase Date**, **Actual Contributions** amount on purchase date, calculated **Actual Valuations** on purchase date, based on actual contributions on purchase date and calculated **Expense Adjustment**. There are up to eight purchase dates and therefore up to eight actual contributions, valuations and expense adjustments, with summaries for these repeating fields in every valuation record.

You can specify additional report parameters, date period for the valuation begin date (**From** and **To** dates).


Press the **Find** button  to generate the report.


Press the **Find All** button  to clear report parameters and find all records.

There is a trailing grand summary report part, showing summaries for: estimated contributions, total valuations, actual contributions, valuations and expense adjustments.

Report format is *Letter*, orientation is *Landscape*.

Report subtitle shows actual minimal and maximal valuation begin dates from the records in the current found set.

Press the **Preview** button  to see how the report will look printed on paper. You can browse through the report pages using the **book tool**. Press the **Continue** button to exit from the preview mode.

Press the **Print** button  to print this report. Print dialog will be shown, allowing you to select: printer, change its properties, mark if you want to print in the file, define print range (all pages or page subset), define page numbering starting page, select number of copies and collate settings.

Press the **Jump To Record List** button  if you want to filter records. After you finish, please press the **Back** button to return to this report.

You can browse through the record list using the record navigation buttons: go to previous, next, first and last record in the current found set.

Press the **Jump Back** button  to close this report.

PURCHASE VALUATION ADJUSTMENTS

Begin Date 5/1/1999

Acme Company, Inc.

ID: 12-126

Street Name Goes Here

City, State, Zip

| Purchase Plan / Begin, End Date | Begin Price | Valuation Per Share | Estimated Contributions | Total Purchase Valuations Date | Actual Contributions | Actual Valuations | Expense Adjustments |
|------------------------------------|-------------|------------------------|----------------------------|-----------------------------------|-------------------------|----------------------|------------------------|
| 1999 5/1/1999, 12/31/1999 | \$4.2500 | \$1.3210 | \$1,500.00 | \$466.31 10/31/1999 | \$1,266.83 | \$393.66 | -\$72.66 |
| | | | \$1,500.00 | \$466.31 | \$1,266.83 | \$393.66 | -\$72.66 |
| | | Total | \$1,500.00 | \$466.31 | \$1,266.83 | \$393.66 | -\$72.66 |

Figure 59 – Purchase Valuation Adjustments

Purchase Valuations Data Check

Report shows if there are errors in the Purchase Valuations database. You can start Data Check procedure from the System Maintenance layout or from the Reports list.

Fields shown are: **Purchase Valuation ID**, **Purchase Plan**, valuation **Begin** and **End Date** and **Error Description**.

There is a trailing grand summary report part, showing total number of records listed.

If there are no errors found, appropriate message is shown and all Error Description fields are empty.

If there are errors found, you will be prompted to choose if you want to print this report. After you review Error Description fields, please correct the errors in the database.

Report format is *Letter*, orientation is *Portrait*.


Options


New Grants Summary

Report lists newly created grants, showing: **Employee Name**, grant **Date**, option **Plan** name, option **Type**, **Price**, number of **Shares** granted and **Total Price**. For ISO grants, if the shares granted override the annual ISO limit, system generates additional NQ grants, in an amount that excess the limit.

There is a leading summary report part, with totals for: number of grants, number of shares granted and price of shares granted, as well as minimal, maximal and average share price.

Report format is *Letter*, orientation is *Portrait*.

Press the **Preview** button  to see how the report will look printed on paper. You can browse through the report pages using the **book tool**. Press the **Continue** button to exit from the preview mode.

Press the **Print** button  to print this report. Print dialog will be shown, allowing you to select: printer, change its properties, mark if you want to print in the file, define print range (all pages or page subset), define page numbering starting page, select number of copies and collate settings.

Press the **Jump To Record List** button  if you want to filter records. After you finish, please press the **Back** button to return to this report.

You can browse through the record list using the record navigation buttons: go to previous, next, first and last record in the current found set.




Press the **Jump Back** button  to close this report.

| NEW GRANTS SUMMARY | | | | Acme Company, Inc. ID: 12-126 Street Name Goes Here City, State, Zip | | |
|-------------------------------|------------|-----------|-----------|---|--------|-------------|
| <hr/> | | | | | | |
| Total number of grants | 1 | min Price | \$14.9200 | | | |
| Total shares granted | 555 | avg Price | \$14.9200 | | | |
| Total price of shares granted | \$8,280.60 | max Price | \$14.9200 | | | |
| Employee | Date | Plan | Type | Price | Shares | Total Price |
| Young, Tom, D. | 2/2/2000 | Plan 99C | NQ | \$14.9200 | 555 | \$8,280.60 |
| | | | | | 555 | \$8,280.60 |

Figure 60 – New Grants Summary


Options List [brief]


Report shows list of option cards, with basic grant information. Single card contains: **Grant ID**, number of **Shares** granted, option **Type**, optionee **Name** and **ID**, grant **Date** and option **Price**. Grant ID field itself contains option plan name.

Press the **Plan**  or **Name**  or **Type**  button to sort records by option plan, optionee name or option type, respectively.

There is a trailing grand summary report part, showing totals for: number of grants listed, number of shares granted, option price and fair value, as well as minimal, maximal and average value for option price and share fair market value.

Report format is *Letter*, orientation is *Portrait*.

Press the **Preview** button  to see how the report will look printed on paper. You can browse through the report pages using the **book tool**. Press the **Continue** button to exit from the preview mode.

Press the **Print** button  to print this report. Print dialog will be shown, allowing you to select: printer, change its properties, mark if you want to print in the file, define print range (all pages or page subset), define page numbering starting page, select number of copies and collate settings.

Press the **Jump To Record List** button  if you want to filter records. After you finish, please press the **Back** button to return to this report.

You can browse through the record list using the record navigation buttons: go to previous, next, first and last record in the current found set.

Press the **Jump Back** button  to close this report.

OPTIONS GRANTED

Acme Company, Inc.
 ID: 12-126
 Street Name Goes Here
 City, State, Zip

| | | | | | |
|----------------------------|---------------|-------------------------|---------------------------------|-----------------------|-----------|
| Grant ID | Plan 99A - 1 | Name | Young, Tom, D. | ID | AA001 |
| Shares | 1,500 | Date | May 1, 1999 | Price | \$5.0000 |
| Type | NQ | | | | |
| Grant ID | Plan 99A - 2 | Name | Smith, John, Z. | ID | AA002 |
| Shares | 2,000 | Date | May 1, 1999 | Price | \$5.0000 |
| Type | NQ | | | | |
| Grant ID | Plan 99A - 3 | Name | Fisher, Anna, S. | ID | AA003 |
| Shares | 1,000 | Date | May 1, 1999 | Price | \$5.0000 |
| Type | NQ | | | | |
| Grant ID | Plan 99A - 4 | Name | Baker, Muriel, W. | ID | AA004 |
| Shares | 1,000 | Date | May 1, 1999 | Price | \$5.0000 |
| Type | NQ | | | | |
| Grant ID | Plan 99A - 5 | Name | Ericsson, Frederick, G. | ID | AA005 |
| Shares | 5,000 | Date | May 1, 1999 | Price | \$5.0000 |
| Type | ISO | | | | |
| Grant ID | Plan 99B - 6 | Name | Smith, John, Z. | ID | AA002 |
| Shares | 1,000 | Date | October 1, 1999 | Price | \$6.2500 |
| Type | NQ | | | | |
| Grant ID | Plan 99B - 7 | Name | Young, Tom, D. | ID | AA001 |
| Shares | 1,000 | Date | October 22, 1999 | Price | \$7.0000 |
| Type | ISO | | | | |
| Grant ID | Plan 99B - 8 | Name | Smith, John, Z. | ID | AA002 |
| Shares | 900 | Date | December 17, 1995 | Price | \$13.3500 |
| Type | NQ | | | | |
| Grant ID | Plan 99A - 9 | Name | Baker, Muriel, W. | ID | AA004 |
| Shares | 2,500 | Date | December 31, 1995 | Price | \$15.4500 |
| Type | NQ | | | | |
| Grant ID | Plan 99A - 10 | Name | Young, Tom, D. | ID | AA001 |
| Shares | 5,000 | Date | December 31, 1995 | Price | \$15.4500 |
| Type | NQ | | | | |
| Grant ID | Plan 99A - 11 | Name | Ericsson, Frederick, G. | ID | AA005 |
| Shares | 1,000 | Date | June 1, 1999 | Price | \$6.0000 |
| Type | NQA | | | | |
| Grant ID | Plan 99C - 14 | Name | Fisher, Anna, S. | ID | AA003 |
| Shares | 1,000 | Date | May 31, 2000 | Price | \$17.4600 |
| Type | NQ | | | | |
| Grant ID | Plan 99C - 15 | Name | Fisher, Anna, S. | ID | AA003 |
| Shares | 1,000 | Date | May 31, 2000 | Price | \$17.4600 |
| Type | NQ | | | | |
| Grant ID | Plan 99C - 16 | Name | Fisher, Anna, S. | ID | AA003 |
| Shares | 500 | Date | June 1, 2000 | Price | \$17.5160 |
| Type | NQ | | | | |
| SUMMARY for options listed | | | From May 1, 1999 to Jun 1, 2000 | | |
| Total grants | 14 | min | \$5.0000 | min | \$5.0000 |
| Total shares | 24,400 | Option price avg | \$10.0669 | Fair value avg | \$10.0669 |
| Total option price | \$243,318.00 | max | \$17.5160 | max | \$17.5160 |
| Total fair value | \$243,318.00 | | | | |

Figure 61 – Options List

OPTIONS GRANTED

Acme Company, Inc.
 ID: 12-126
 Street Name Goes Here
 City, State, Zip

Options of type "ISO"

| | | | | | |
|-----------------|--------------|-------------|-------------------------|--------------|------------------|
| Grant ID | Plan 99A - 5 | Name | Ericsson, Frederick, G. | ID | AA005 |
| Shares | 5,000 | Type | ISO | Date | May 1, 1999 |
| | | | | Price | \$5.0000 |
| Grant ID | Plan 99B - 7 | Name | Young, Tom, D. | ID | AA001 |
| Shares | 1,000 | Type | ISO | Date | October 22, 1999 |
| | | | | Price | \$7.0000 |

SUMMARY for type "ISO"

From May 1, 1999 to Oct 22, 1999

| | | | | | |
|---------------------------|-------------|-------------------------|----------|-----------------------|----------|
| Total grants | 2 | min | \$5.0000 | min | \$5.0000 |
| Total shares | 6,000 | Option price avg | \$6.0000 | Fair value avg | \$6.0000 |
| Total option price | \$32,000.00 | max | \$7.0000 | max | \$7.0000 |
| Total fair value | \$32,000.00 | | | | |

Options of type "NQ "

| | | | | | |
|-----------------|---------------|-------------|-------------------|--------------|-------------------|
| Grant ID | Plan 99A - 1 | Name | Young, Tom, D. | ID | AA001 |
| Shares | 1,500 | Type | NQ | Date | May 1, 1999 |
| | | | | Price | \$5.0000 |
| Grant ID | Plan 99A - 10 | Name | Young, Tom, D. | ID | AA001 |
| Shares | 5,000 | Type | NQ | Date | December 31, 1995 |
| | | | | Price | \$15.4500 |
| Grant ID | Plan 99A - 2 | Name | Smith, John, Z. | ID | AA002 |
| Shares | 2,000 | Type | NQ | Date | May 1, 1999 |
| | | | | Price | \$5.0000 |
| Grant ID | Plan 99A - 3 | Name | Fisher, Anna, S. | ID | AA003 |
| Shares | 1,000 | Type | NQ | Date | May 1, 1999 |
| | | | | Price | \$5.0000 |
| Grant ID | Plan 99A - 4 | Name | Baker, Muriel, W. | ID | AA004 |
| Shares | 1,000 | Type | NQ | Date | May 1, 1999 |
| | | | | Price | \$5.0000 |
| Grant ID | Plan 99A - 9 | Name | Baker, Muriel, W. | ID | AA004 |
| Shares | 2,500 | Type | NQ | Date | December 31, 1995 |
| | | | | Price | \$15.4500 |
| Grant ID | Plan 99B - 6 | Name | Smith, John, Z. | ID | AA002 |
| Shares | 1,000 | Type | NQ | Date | October 1, 1999 |
| | | | | Price | \$6.2500 |
| Grant ID | Plan 99B - 8 | Name | Smith, John, Z. | ID | AA002 |
| Shares | 900 | Type | NQ | Date | December 17, 1995 |
| | | | | Price | \$13.3500 |
| Grant ID | Plan 99C - 14 | Name | Fisher, Anna, S. | ID | AA003 |
| Shares | 1,000 | Type | NQ | Date | May 31, 2000 |
| | | | | Price | \$17.4600 |
| Grant ID | Plan 99C - 15 | Name | Fisher, Anna, S. | ID | AA003 |
| Shares | 1,000 | Type | NQ | Date | May 31, 2000 |
| | | | | Price | \$17.4600 |
| Grant ID | Plan 99C - 16 | Name | Fisher, Anna, S. | ID | AA003 |
| Shares | 500 | Type | NQ | Date | June 1, 2000 |
| | | | | Price | \$17.5160 |

Figure 62 – Options List, grouped by Option Types

OPTIONS GRANTED

Acme Company, Inc.
 ID: 12-126
 Street Name Goes Here
 City, State, Zip

| | | | | | | | |
|----------------------------|---------------|--------------|------|---------------------------------|--------------|-------|-----------|
| SUMMARY for type "NQ " | | | | From May 1, 1999 to Jun 1, 2000 | | | |
| Total grants | 11 | | min | \$5.0000 | | min | \$5.0000 |
| Total shares | 17,400 | Option price | avg | \$11.1760 | Fair value | avg | \$11.1760 |
| Total option price | \$205,318.00 | | max | \$17.5160 | | max | \$17.5160 |
| Total fair value | \$205,318.00 | | | | | | |
| Options of type "NQA" | | | | | | | |
| Grant ID | Plan 99A - 11 | | Name | Ericsson, Frederick, G. | ID | AA005 | |
| Shares | 1,000 | Type | NQA | Date | June 1, 1999 | Price | \$6.0000 |
| SUMMARY for type "NQA" | | | | From Jun 1, 1999 to Jun 1, 1999 | | | |
| Total grants | 1 | | min | \$6.0000 | | min | \$6.0000 |
| Total shares | 1,000 | Option price | avg | \$6.0000 | Fair value | avg | \$6.0000 |
| Total option price | \$6,000.00 | | max | \$6.0000 | | max | \$6.0000 |
| Total fair value | \$6,000.00 | | | | | | |
| SUMMARY for options listed | | | | From May 1, 1999 to Jun 1, 2000 | | | |
| Total grants | 14 | | min | \$5.0000 | | min | \$5.0000 |
| Total shares | 24,400 | Option price | avg | \$10.0669 | Fair value | avg | \$10.0669 |
| Total option price | \$243,318.00 | | max | \$17.5160 | | max | \$17.5160 |
| Total fair value | \$243,318.00 | | | | | | |

Figure 63 – Options List, grouped by Option Types (continued)

Options List [detailed]




Report shows list of option cards, with complete grant information. Single card contains: **Employee ID** and **Name**, number of **Shares** granted, **Grant ID**, **Grant Date**, **Option Plan** name, share **Market Price** on grant date, **Vesting Schedule** used, **Option Price** and **Total Price**, **Option Type**, **SAR** percentage.

In addition, there are **vesting** data: Vest from date, Blocked from and till dates (if exist) and information about up to ten vesting periods, according to the vesting schedule used. Single vesting period row shows: number of Shares that vest, Vest Date, Availability (vest type) and Expiration Date.

At the end, there are: **User Data**, information if the grant is **Enabled** and **Confirmed** and grant **Notes**. If the grant is canceled, appropriate cancel info is shown.

Option Type can be one of the following: NQ (Non-Qualified Stock Option), ISO (Incentive Stock Option), RSP (Restricted Stock Purchase), DSO (Discounted Stock Option), NQA (NQ + Stock Appreciation Right), ISA (ISO + Stock Appreciation Right).


Availability (vest type) can be one of the following: On Vest Date, Annually, Semi-annually, Quarterly, Monthly, Weekly or Daily.


Press the **Plan**  or **Name**  or **Type**  button to sort records by option plan, optionee name or option type, respectively.

There is a trailing grand summary report part, showing totals for: number of grants listed, number of shares granted, option price and fair value, as well as minimal, maximal and average value for option price and share fair market value.

If you sort records either by Plan or Type, there will be trailing summary parts for every option plan or option type listed. Summary fields are same as in report's grand summary.

Report format is *Letter*, orientation is *Portrait*.

Press the **Preview** button  to see how the report will look printed on paper. You can browse through the report pages using the **book tool**. Press the **Continue** button to exit from the preview mode.

Press the **Print** button  to print this report. Print dialog will be shown, allowing you to select: printer, change its properties, mark if you want to print in the file, define print range (all pages or page subset), define page numbering starting page, select number of copies and collate settings.

Press the **Jump To Record List** button  if you want to filter records. After you finish, please press the **Back** button to return to this report.

You can browse through the record list using the record navigation buttons: go to previous, next, first and last record in the current found set.

Press the **Jump Back** button  to close this report.

OPTIONS GRANTED

Acme Company, Inc.
ID: 12-126
Street Name Goes Here
City, State, Zip

Options granted under plan "Plan 99B"

| | | | | | | |
|---------------------|---------------------------------|-------------------------|------------------|---------------------|--------------------|--|
| Employee ID | AA002 | Name | Smith, John, Z. | | | |
| Shares | 1,000 | Grant ID | Plan 99B - 6 | | | |
| Grant Date | Oct 1, 1999 | Option Plan | Plan 99B | | | |
| Market Price | \$6.2500 | Vesting Schedule | 4yr 25% on vest | | | |
| Option Price | \$6.2500 | Total Price | \$6,250.00 | | | |
| Option Type | NQ (Non-Qualified Stock Option) | | SAR % 100 | | | |
| Vest from | Oct 1, 1999 | <u>Shares</u> | <u>Vest Date</u> | <u>Availability</u> | <u>Expire Date</u> | |
| Blocked from | | 250 | Oct 1, 2000 | On Vest Date | Oct 1, 2009 | |
| Blocked till | | 250 | Oct 1, 2001 | On Vest Date | Oct 1, 2009 | |
| User Data | | 250 | Oct 1, 2002 | On Vest Date | Oct 1, 2009 | |
| Enabled | Yes | 250 | Oct 1, 2003 | On Vest Date | Oct 1, 2009 | |
| Confirmed | No | | | | | |

Notes

Canceled as of 12/12/1999 (reason: Repricing)

| | | | | | | |
|---------------------|------------------------------|-------------------------|------------------|---------------------|--------------------|-----|
| Employee ID | AA001 | Name | Young, Tom, D. | | | |
| Shares | 1,000 | Grant ID | Plan 99B - 7 | | | |
| Grant Date | Oct 22, 1999 | Option Plan | Plan 99B | | | |
| Market Price | \$7.0000 | Vesting Schedule | 4yr 25% on vest | | | |
| Option Price | \$7.0000 | Total Price | \$7,000.00 | | | |
| Option Type | ISO (Incentive Stock Option) | | SAR % | | | 100 |
| Vest from | Oct 22, 1999 | <u>Shares</u> | <u>Vest Date</u> | <u>Availability</u> | <u>Expire Date</u> | |
| Blocked from | | 250 | Oct 22, 2000 | On Vest Date | Oct 22, 2009 | |
| Blocked till | | 250 | Oct 22, 2001 | On Vest Date | Oct 22, 2009 | |
| User Data | | 250 | Oct 22, 2002 | On Vest Date | Oct 22, 2009 | |
| Enabled | Yes | 250 | Oct 22, 2003 | On Vest Date | Oct 22, 2009 | |
| Confirmed | No | | | | | |

Notes

Figure 64 – Options List [detailed], grouped by Option Plans (page one)

OPTIONS GRANTED

Acme Company, Inc.
 ID: 12-126
 Street Name Goes Here
 City, State, Zip

| | | | | | |
|-----------------------------|---------------------------------|-------------------------|------------------|---------------------|--------------------|
| Employee ID | AA002 | Name | Smith, John, Z. | | |
| Shares | 900 | Grant ID | Plan 99B - 8 | | |
| Grant Date | Dec 17, 1999 | Option Plan | Plan 99B | | |
| Market Price | \$13.3500 | Vesting Schedule | 4yr 25% on vest | | |
| Option Price | \$13.3500 | Total Price | \$12,015.00 | | |
| Option Type | NQ (Non-Qualified Stock Option) | | SAR % 100 | | |
| Vest from | Oct 1, 1999 | <u>Shares</u> | <u>Vest Date</u> | <u>Availability</u> | <u>Expire Date</u> |
| Blocked from | | 150 | Oct 1, 2000 | On Vest Date | Oct 1, 2009 |
| Blocked till | | 250 | Oct 1, 2001 | On Vest Date | Oct 1, 2009 |
| User Data | | 250 | Oct 1, 2002 | On Vest Date | Oct 1, 2009 |
| Enabled | Yes | 250 | Oct 1, 2003 | On Vest Date | Oct 1, 2009 |
| Confirmed | No | | | | |
| Notes | | | | | |
| Repriced from: Plan 99B - 6 | | | | | |

SUMMARY for plan "Plan 99B"

| | | | | | |
|---------------------------|-------------|-------------------------|-----------|-----------------------|-----------|
| Total grants | 3 | min | \$6.2500 | min | \$6.2500 |
| Total shares | 2,900 | Option price avg | \$8.8667 | Fair value avg | \$8.8667 |
| Total option price | \$25,265.00 | max | \$13.3500 | max | \$13.3500 |
| Total fair value | \$25,265.00 | | | | |

Options granted under plan "Plan 99C"

| | | | | | | |
|---------------------|---------------------------------|-------------------------|-------------------------|----------------------------|---------------------------|--|
| Employee ID | AA003 | Name | Fisher, Anna, S. | | | |
| Shares | 1,000 | Grant ID | Plan 99C - 14 | | | |
| Grant Date | May 31, 2000 | Option Plan | Plan 99C | | | |
| Market Price | \$17.4600 | Vesting Schedule | 50 and 2 | | | |
| Option Price | \$17.4600 | Total Price | \$17,460.00 | | | |
| Option Type | NQ (Non-Qualified Stock Option) | | | SAR % 100 | | |
| Vest from | May 31, 2000 | <u>Shares</u> | <u>Vest Date</u> | <u>Availability</u> | <u>Expire Date</u> | |
| Blocked from | | 500 | May 31, 2000 | On Vest Date | May 31, 2010 | |
| Blocked till | | 250 | May 31, 2001 | Annually | May 31, 2010 | |
| User Data | | 250 | May 31, 2002 | Annually | May 31, 2010 | |
| Enabled | Yes | | | | | |
| Confirmed | No | | | | | |
| Notes | | | | | | |

Figure 65 - Options List [detailed], grouped by Option Plans (page two)

Options Granted

Acme Company, Inc.
ID: 12-126
Street Name Goes Here
City, State, Zip

| | | | | | | |
|--------------|---------------------------------|------------------|------------------|--------------|--------------|--|
| Employee ID | AA003 | Name | Fisher, Anna, S. | | | |
| Shares | 1,000 | Grant ID | Plan 99C - 15 | | | |
| Grant Date | May 31, 2000 | Option Plan | Plan 99C | | | |
| Market Price | \$17.4600 | Vesting Schedule | 50 and 2 | | | |
| Option Price | \$17.4600 | Total Price | \$17,460.00 | | | |
| Option Type | NQ (Non-Qualified Stock Option) | | SAR % 100 | | | |
| Vest from | May 31, 2000 | Shares | Vest Date | Availability | Expire Date | |
| Blocked from | | 500 | May 31, 2000 | On Vest Date | May 31, 2010 | |
| Blocked till | | 250 | May 31, 2001 | Annually | May 31, 2010 | |
| User Data | | 250 | May 31, 2002 | Annually | May 31, 2010 | |
| Enabled | Yes | | | | | |
| Confirmed | No | | | | | |
| Notes | | | | | | |

| | | | | | | |
|--------------|---------------------------------|------------------|------------------|--------------|-------------|--|
| Employee ID | AA003 | Name | Fisher, Anna, S. | | | |
| Shares | 500 | Grant ID | Plan 99C - 16 | | | |
| Grant Date | Jun 1, 2000 | Option Plan | Plan 99C | | | |
| Market Price | \$17.5160 | Vesting Schedule | 50 and 2 | | | |
| Option Price | \$17.5160 | Total Price | \$8,758.00 | | | |
| Option Type | NQ (Non-Qualified Stock Option) | | SAR % 100 | | | |
| Vest from | Jun 1, 2000 | Shares | Vest Date | Availability | Expire Date | |
| Blocked from | | 250 | Jun 1, 2000 | On Vest Date | Jun 1, 2010 | |
| Blocked till | | 125 | Jun 1, 2001 | Annually | Jun 1, 2010 | |
| User Data | | 125 | Jun 1, 2002 | Annually | Jun 1, 2010 | |
| Enabled | Yes | | | | | |
| Confirmed | No | | | | | |
| Notes | | | | | | |

| | | | | | | | |
|-----------------------------|-------------|--------------|-----|-----------|------------|-----------|-----------|
| SUMMARY for plan "Plan 99C" | | | | | | | |
| Total grants | 3 | | min | \$17.4600 | min | \$17.4600 | |
| Total shares | 2,500 | Option price | avg | \$17.4787 | Fair value | avg | \$17.4787 |
| Total option price | \$43,678.00 | | max | \$17.5160 | | max | \$17.5160 |
| Total fair value | \$43,678.00 | | | | | | |

Figure 66 - Options List [detailed], grouped by Option Plans (page three)

Option Agreement

Report shows option agreement between the company and an optionee.

At the top, there are general optionee data, **Name** and **Address**, and basic grant data: **Option date**, number of **shares** granted, **Price** per share, Option **type**, Option **plan** and **Option ID**.

Next, there are **vesting** related data, up to ten vesting periods, according to the vesting schedule used. Single vesting period row shows: number of Shares that vest, Vest Date, Availability (vest type) and Expiration Date.

At the end, after the agreement terms, there is a space left for signatures and dates.

Option Type can be one of the following: NQ (Non-Qualified Stock Option), ISO (Incentive Stock Option), RSP (Restricted Stock Purchase), DSO (Discounted Stock Option), NQA (NQ + Stock Appreciation Right) or ISA (ISO + Stock Appreciation Right).

Availability (vest type) can be one of the following: On Vest Date, Annually, Semi-annually, Quarterly, Monthly, Weekly or Daily.


There are two radio buttons.


Press **Print current record only** and when you choose to print report, only current option agreement will be printed. In this case, there is no **Preview** button.


Press **Print all records found** and when you choose to print report, option agreement for options in the current found set will be printed.

You can customize text that appear on this report. To do so, simply click on the text you want to modify. Please **note** that this is possible only in the Browse mode and that changes apply to **all** Option Agreements you are going to print. So, if you change agreement text, please **retain** paper copies of the Option agreement reports.

Report format is *Letter*, orientation is *Portrait*, one option agreement per page.

Press the **E-mail report** button  to send this report by e-mail, without printing it on paper. Report will be sent to all employees that have their e-mail addresses specified. Based on the system Preferences, e-mails can be sent with or without your confirmation (preview) in your default e-mail client.

Press the **Preview** button  to see how the report will look printed on paper. You can browse through the report pages using the **book tool**. Press the **Continue** button to exit from the preview mode.

Press the **Print** button  to print this report. Print dialog will be shown, allowing you to select: printer, change its properties, mark if you want to print in the file, define print range (all pages or page subset), define page numbering starting page, select number of copies and collate settings.

Press the **Jump To Record List** button  if you want to filter records. After you finish, please press the **Back** button to return to this report.

You can browse through the record list using the record navigation buttons: go to previous, next, first and last record in the current found set.

Press the **Jump Back** button  to close this report.

| | | | |
|-------------------------|--|--|--|
| OPTION AGREEMENT | | Acme Company, Inc. ID: 12-126 Street Name Goes Here City, State, Zip | |
|-------------------------|--|--|--|

| | |
|---|---|
| Optionee: Tom D. Young 11 South Street Santa Barbara, CA, 93101 | Option date: May 1, 1999 Shares granted: 1,500 Price per share: \$5.0000 Option type: Non-Qualified Stock Option Option plan: Plan 99A Option ID: Plan 99A - 1 |
|---|---|

Pursuant to the conditions above, Acme Company, Inc. (the Company) has granted you an option to purchase shares of company stock.

Shares will vest in accordance with the following schedule:

| <u>Shares</u> | <u>Availability</u> | <u>Vest date</u> | <u>Expire date</u> |
|---------------|---------------------|------------------|--------------------|
| 375 | On Vest Date | May 1, 2000 | May 1, 2009 |
| 375 | On Vest Date | May 1, 2001 | May 1, 2009 |
| 375 | On Vest Date | May 1, 2002 | May 1, 2009 |
| 375 | On Vest Date | May 1, 2003 | May 1, 2009 |

By your signature and the Company's signature below, you and the company agree that these options are granted under and governed by the terms and conditions of the Company's Stock Option Plan as amended and the Option Agreement, all of which are attached and made a part of this document.

| | |
|-----------------------------|---------------|
| _____ Acme Company, Inc. | _____ Date |
| _____ Tom D. Young | _____ Date |

Figure 68 – Option Agreement


Options Granted

Report lists option records, grouped by option type.

Fields shown are: Optionee **name** and **ID**, **Option ID**, **Option Date**, number of **Shares** granted, share **Fair Value**, share **Price**, **Total Price** and calculated **Compensation** (difference between the total fair value and total price, if positive).

You can specify additional report parameters: **option plan**, by selecting one from the drop down list, grant type and period of option dates (**From** and **To** dates).

Press the **Find** button  to generate the report.


Press the **Find All** button  to clear report parameters and find all records.


Records are sorted by plan and then by optionee name.

There are trailing summary report parts, one for every option type and grand summary, showing totals for Shares granted, Total Price and Compensation, as well as minimal, maximal and average values for the Fair Value and Price fields.

Option Type can be one of the following: NQ (Non-Qualified Stock Option), ISO (Incentive Stock Option), RSP (Restricted Stock Purchase), DSO (Discounted Stock Option), NQA (NQ + Stock Appreciation Right) or ISA (ISO + Stock Appreciation Right).

Report format is *Letter*, orientation is *Landscape*.

Press the **Preview** button  to see how the report will look printed on paper. You can browse through the report pages using the **book tool**. Press the **Continue** button to exit from the preview mode.

Press the **Print** button  to print this report. Print dialog will be shown, allowing you to select: printer, change its properties, mark if you want to print in the file, define print range (all pages or page subset), define page numbering starting page, select number of copies and collate settings.

Press the **Jump To Record List** button  if you want to filter records. After you finish, please press the **Back** button to return to this report.

You can browse through the record list using the record navigation buttons: go to previous, next, first and last record in the current found set.

Press the **Jump Back** button  to close this report.

OPTIONS GRANTED

Type: ISO

Acme Company, Inc.
ID: 12-126
Street Name Goes Here
City, State, Zip

| OPTION TYPE: ISO (INCENTIVE STOCK OPTION) | | | | | | | | |
|---|-------------|--------------|--------------|--------|------------|----------|-------------|--------------|
| Optionee | Employee ID | Option ID | Option Date | Shares | Fair Value | Price | Total Price | Compensation |
| Ericsson, Frederick, G. | AA005 | Plan 99A - 5 | May 1, 1999 | 5,000 | \$5.0000 | \$5.0000 | \$25,000.00 | \$0.00 |
| Young, Tom, D. | AA001 | Plan 99B - 7 | Oct 22, 1999 | 1,000 | \$7.0000 | \$7.0000 | \$7,000.00 | \$0.00 |
| | ISO SUMMARY | | | 6,000 | | | \$32,000.00 | \$0.00 |
| | | | | min | \$5.0000 | \$5.0000 | | |
| | | | | avg | \$6.0000 | \$6.0000 | | |
| | | | | max | \$7.0000 | \$7.0000 | | |
| | | SUMMARY | | 6,000 | | | \$32,000.00 | \$0.00 |
| | | | | min | \$5.0000 | \$5.0000 | | |
| | | | | avg | \$6.0000 | \$6.0000 | | |
| | | | | max | \$7.0000 | \$7.0000 | | |

Figure 69 – Options Granted


Options Outstanding (A)

Report calculates and shows shares outstanding / expired / canceled for options in the database, grouped by optionees.


Report consists of grant cards. Single card contains: **Grant ID** and **Type**, Grant **Date**, **Price**, number of **Shares** granted, **Expiration Date** and number of shares Exercisable, Exercised, Vested Exercisable, Canceled, Expired and Outstanding.

You have to specify report parameters: **as of** date, mark if system will process **All** or only non-conditional exercises with exercise date less or equal to **as of** date specified, and check if the system will **omit** option records without outstanding shares. Initially, **as of** date is set to "today" and **omit** is checked.


If you want to include only specific option plans, please select them from the list. By default, that list is empty and system will use all option plans.

Press the **Find** button  to generate the report. System finds option records with grant date less or equal to **As Of** date specified.

Records are sorted by optionee name and then by option id.


Tip: If you do want to specify different sort criteria, or unsort records, press the **Jump To Record List** button  perform that task and press the **Back** button to return to the report.


You can switch to report **type B** by clicking on **B** radio button. Report type B is a list of option records instead of grant cards. There is a summary report **type C**, with corresponding **C** radio button, which shows summaries only, by date, plan name, employee name, option type, option price, and vesting schedule.

Press the **Name**  button to sort records by optionee Name.

There is a trailing grand summary report part, showing totals and weighted averages for the option records listed. If the records are sorted by optionee name, same summaries exist.

Report format is *Letter*, orientation is *Portrait*, page break before every new optionee.

Press the **Preview** button  to see how the report will look printed on paper. You can browse through the report pages using the **book tool**. Press the **Continue** button to exit from the preview mode.

Press the **Print** button  to print this report. Print dialog will be shown, allowing you to select: printer, change its properties, mark if you want to print in the file, define print range (all pages or page subset), define page numbering starting page, select number of copies and collate settings.

| OPTIONS OUTSTANDING (A) | | | | Acme Company, Inc. ID: 12-126 Street Name Goes Here City, State, Zip | | | |
|--|---------------------|--------|-----------|---|--------|-----------|-----|
| As of 11/16/2001 | | | | | | | |
| Anna S. Fisher 99 Central Bay San Diego, CA, 91101 | | | | | | | |
| Grant ID | Plan 99A - 3 (NQ) | | | Exercisable | 290 | Exercised | 210 |
| Grant Date | 5/1/1999 | Price | \$5.0000 | Vested Exerc. | 290 | Canceled | 0 |
| Expires On | 5/1/2009 | Shares | 1,000 | Outstanding | 790 | Expired | 0 |
| Grant ID | Plan 99C - 14 (NQ) | | | Exercisable | 570 | Exercised | 180 |
| Grant Date | 5/31/2000 | Price | \$17.4600 | Vested Exerc. | 570 | Canceled | 0 |
| Expires On | 5/31/2010 | Shares | 1,000 | Outstanding | 820 | Expired | 0 |
| Grant ID | Plan 99C - 15 (NQ) | | | Exercisable | 750 | Exercised | 0 |
| Grant Date | 5/31/2000 | Price | \$17.4600 | Vested Exerc. | 750 | Canceled | 0 |
| Expires On | 5/31/2010 | Shares | 1,000 | Outstanding | 1,000 | Expired | 0 |
| Grant ID | Plan 99C - 16 (NQ) | | | Exercisable | 375 | Exercised | 0 |
| Grant Date | 6/1/2000 | Price | \$17.5160 | Vested Exerc. | 375 | Canceled | 0 |
| Expires On | 6/1/2010 | Shares | 500 | Outstanding | 500 | Expired | 0 |
| SUMMARY for optionee Fisher, Anna, S. | | | | | | | |
| Options Granted | 4 | | | Total Shares Granted | 3,500 | | |
| Options Exercisable | 4 | | | Total Shares Outstanding | 3,110 | | |
| Total Shares Exercisable | 1,985 | | | Total Shares Exercised | 390 | | |
| Total Shares Vested | 2,375 | | | Total Shares Canceled | 0 | | |
| Total Vested Exercisable | 1,985 | | | Total Shares Expired | 0 | | |
| Wavg Shares Exercisable | 513.57 | | | Avg Shares Granted | 875.00 | | |
| Wavg Shares Vested | 625.00 | | | Wavg Shares Outstanding | 817.14 | | |
| Wavg Shares Canceled | 0.00 | | | Wavg Shares Exercised | 111.43 | | |

Figure 70 – Options Outstanding (A) – records

| OPTIONS OUTSTANDING (A) | | Acme Company, Inc. ID: 12-126 Street Name Goes Here City, State, Zip | |
|---|----------|---|----------|
| As of 11/16/2001 | | | |
| SUMMARY for options granted, as of Nov 16, 2001 | | | |
| Options Granted | 14 | Total Shares Granted | 24,400 |
| Options Exercisable | 14 | Total Shares Outstanding | 23,260 |
| Total Shares Exercisable | 16,819 | Total Shares Exercised | 1,140 |
| Total Shares Vested | 16,709 | Total Shares Canceled | 0 |
| Total Vested Exercisable | 15,569 | Total Shares Expired | 0 |
| Wavg Shares Exercisable | 2,003.07 | Avg Shares Granted | 1,742.86 |
| Wavg Shares Vested | 2,041.60 | Wavg Shares Outstanding | 2,804.10 |
| Wavg Shares Canceled | 0.00 | Wavg Shares Exercised | 87.70 |

Figure 71 – Options Outstanding (A) – summary

Press the **Jump To Record List** button  if you want to filter records. After you finish, please press the **Back** button to return to this report.

You can browse through the record list using the record navigation buttons: go to previous, next, first and last record in the current found set.

Press the **Jump Back** button  to close this report.


Options Outstanding (B)

Report lists option records, with calculated number of shares outstanding, expired and canceled.

Fields shown are: **Option ID**, **Option Date**, **Optionee Name**, **Price** per Share, number of **Shares** Granted, Exercised, Canceled/Expired, Outstanding, **Total Price** of outstanding shares, number of **Shares Vested** and **Exercisable**.

You have to specify report parameters: **as of** date, mark if system will process **All** or only non-conditional exercises with exercise date less or equal to **as of** date specified, and check if the system will **omit** option records without outstanding shares. Initially, **as of** date is set to "today" and **omit** is checked.




If you want to include only specific option plans, please select them from the list. By default, that list is empty, and system will use all option plans.

Press the **Find** button  to generate the report. System finds option records with grant date less or equal to **As Of** date specified.

Records are sorted by option id.

You can switch to report **type A** by clicking on **A** radio button. Report type A shows options outstanding in a form of cards. There is a summary report **type C**, with corresponding **C** radio button, which shows summaries only, by date, plan name, employee name, option type, option price, and vesting schedule.

If you specify Roll-forward From Date system will switch to a different report layout and calculate number of shares outstanding before From Date, and show roll-forward number of shares granted, exercised, canceled/expired between From Date and As Of Date, and show number of shares outstanding As Of Date.

Press the **Date**  or **Plan**  or **Type**  button to sort records by option date, plan or type, respectively.

OPTIONS OUTSTANDING (B)

As of 11/16/2001

Acme Company, Inc.
 ID: 12-126
 Street Name Goes Here
 City, State, Zip

| <u>Option ID</u> | <u>Option Date</u> | <u>Optionee</u> | <u>Price per Share</u> | <u>Shares Granted</u> | <u>Shares Exercised</u> | <u>Shares Canceled</u> | <u>Shares Outstanding</u> | <u>Total Price (Outstanding)</u> | <u>Shares Vested</u> | <u>Shares Exercisable</u> |
|---|--------------------|-------------------------|----------------------------|---------------------------|-----------------------------|----------------------------|-------------------------------|--------------------------------------|--------------------------|-------------------------------|
| <u>Options of type ISO (Incentive Stock Option)</u> | | | | | | | | | | |
| Plan 99A - 5 | May 1, 1999 | Ericsson, Frederick, G. | \$5.0000 | 5,000 | 250 | 0 | 4,750 | \$23,750.00 | 2,500 | 2,250 |
| Plan 99B - 7 | Oct 22, 1999 | Ericsson, Frederick, G. | \$7.0000 | 1,000 | 0 | 0 | 1,000 | \$7,000.00 | 500 | 1,000 |
| SUMMARY for Options of type ISO | | | | 6,000 | 250 | 0 | 5,750 | \$30,750.00 | 3,000 | 3,250 |
| weighted averages | | | | 3,000.00 | 208.33 | 0.00 | 4,125.00 | | 2,166.67 | 2,041.67 |

Figure 73 – Options Outstanding (B), grouped by Option Types (part one)

OPTIONS OUTSTANDING (B)

As of 11/16/2001

Acme Company, Inc.
 ID: 12-126
 Street Name Goes Here
 City, State, Zip

| <u>Option ID</u> | <u>Option Date</u> | <u>Optionee</u> | <u>Price per Share</u> | <u>Shares Granted</u> | <u>Shares Exercised</u> | <u>Shares Canceled</u> | <u>Shares Outstanding</u> | <u>Total Price (Outstanding)</u> | <u>Shares Vested</u> | <u>Shares Exercisable</u> |
|--|--------------------|-------------------|----------------------------|---------------------------|-----------------------------|----------------------------|-------------------------------|--------------------------------------|--------------------------|-------------------------------|
| <u>Options of type NQ (Non-Qualified Stock Option)</u> | | | | | | | | | | |
| Plan 99A - 1 | May 1, 1999 | Young, Tom, D. | \$5.0000 | 1,500 | 0 | 0 | 1,500 | \$7,500.00 | 750 | 750 |
| Plan 99A - 10 | Dec 31, 1999 | Young, Tom, D. | \$15.4500 | 5,000 | 0 | 0 | 5,000 | \$77,250.00 | 4,623 | 4,623 |
| Plan 99A - 2 | May 1, 1999 | Smith, John, Z. | \$5.0000 | 2,000 | 0 | 0 | 2,000 | \$10,000.00 | 1,000 | 1,000 |
| Plan 99A - 3 | May 1, 1999 | Fisher, Arma, S. | \$5.0000 | 1,000 | 210 | 0 | 790 | \$3,950.00 | 500 | 290 |
| Plan 99A - 4 | May 1, 1999 | Baker, Muriel, W. | \$5.0000 | 1,000 | 0 | 0 | 1,000 | \$5,000.00 | 500 | 500 |
| Plan 99A - 9 | Dec 31, 1999 | Baker, Muriel, W. | \$15.4500 | 2,500 | 0 | 0 | 2,500 | \$38,625.00 | 2,311 | 2,311 |
| Plan 99B - 8 | Dec 17, 1999 | Smith, John, Z. | \$13.3500 | 900 | 0 | 0 | 900 | \$12,015.00 | 400 | 900 |
| Plan 99C - 14 | May 31, 2000 | Fisher, Arma, S. | \$17.4600 | 1,000 | 180 | 0 | 820 | \$14,317.20 | 750 | 570 |
| Plan 99C - 15 | May 31, 2000 | Fisher, Arma, S. | \$17.4600 | 1,000 | 0 | 0 | 1,000 | \$17,460.00 | 750 | 750 |
| Plan 99C - 16 | Jun 1, 2000 | Fisher, Arma, S. | \$17.5160 | 500 | 0 | 0 | 500 | \$8,758.00 | 375 | 375 |
| SUMMARY for Options of type NQ | | | | 16,400 | 390 | 0 | 16,010 | \$194,875.20 | 11,959 | 12,069 |
| weighted averages | | | | 1,640.00 | 23.78 | 0.00 | 2,571.34 | | 2,138.11 | 2,141.77 |

Figure 74 - Options Outstanding (B), grouped by Option Types (part two)

OPTIONS OUTSTANDING (B)

As of 11/16/2001

Acme Company, Inc.
 ID: 12-126
 Street Name Goes Here
 City, State, Zip

| <u>Option ID</u> | <u>Option Date</u> | <u>Optionee</u> | <u>Price per Share</u> | <u>Shares Granted</u> | <u>Shares Exercised</u> | <u>Shares Canceled</u> | <u>Shares Outstanding</u> | <u>Total Price (Outstanding)</u> | <u>Shares Vested</u> | <u>Shares Exercisable</u> |
|--|--------------------|-------------------|----------------------------|---------------------------|-----------------------------|----------------------------|-------------------------------|--------------------------------------|--------------------------|-------------------------------|
| <u>Options of type NQ (Non-Qualified Stock Option)</u> | | | | | | | | | | |
| Plan 99A - 1 | May 1, 1999 | Young, Tom, D. | \$5.0000 | 1,500 | 0 | 0 | 1,500 | \$7,500.00 | 750 | 750 |
| Plan 99A - 10 | Dec 31, 1999 | Young, Tom, D. | \$15.4500 | 5,000 | 0 | 0 | 5,000 | \$77,250.00 | 4,623 | 4,623 |
| Plan 99A - 2 | May 1, 1999 | Smith, John, Z. | \$5.0000 | 2,000 | 0 | 0 | 2,000 | \$10,000.00 | 1,000 | 1,000 |
| Plan 99A - 3 | May 1, 1999 | Fisher, Arma, S. | \$5.0000 | 1,000 | 210 | 0 | 790 | \$3,950.00 | 500 | 290 |
| Plan 99A - 4 | May 1, 1999 | Baker, Muriel, W. | \$5.0000 | 1,000 | 0 | 0 | 1,000 | \$5,000.00 | 500 | 500 |
| Plan 99A - 9 | Dec 31, 1999 | Baker, Muriel, W. | \$15.4500 | 2,500 | 0 | 0 | 2,500 | \$38,625.00 | 2,311 | 2,311 |
| Plan 99B - 8 | Dec 17, 1999 | Smith, John, Z. | \$13.3500 | 900 | 0 | 0 | 900 | \$12,015.00 | 400 | 900 |
| Plan 99C - 14 | May 31, 2000 | Fisher, Arma, S. | \$17.4600 | 1,000 | 180 | 0 | 820 | \$14,317.20 | 750 | 570 |
| Plan 99C - 15 | May 31, 2000 | Fisher, Arma, S. | \$17.4600 | 1,000 | 0 | 0 | 1,000 | \$17,460.00 | 750 | 750 |
| Plan 99C - 16 | Jun 1, 2000 | Fisher, Arma, S. | \$17.5160 | 500 | 0 | 0 | 500 | \$8,758.00 | 375 | 375 |
| SUMMARY for Options of type NQ | | | | 16,400 | 390 | 0 | 16,010 | \$194,875.20 | 11,959 | 12,069 |
| weighted averages | | | | 1,640.00 | 23.78 | 0.00 | 2,571.34 | | 2,138.11 | 2,141.77 |

Figure 75 - Options Outstanding (B), grouped by Option Types (part three)

| OPTIONS OUTSTANDING (B) | | | | | | | | | | Acme Company, Inc. ID: 12-126 Street Name Goes Here City, State, Zip | |
|---|--------------|-------------------------|--------------------|-------------------|---------------------|--------------------|-----------------------|------------------------------|------------------|---|--|
| As of 11/16/2001 | | | | | | | | | | | |
| Option ID | Option Date | Optionee | Price per Share | Shares Granted | Shares Exercised | Shares Canceled | Shares Outstanding | Total Price (Outstanding) | Shares Vested | Shares Exercisable | |
| Options of type RSP (Restricted Stock Purchase) | | | | | | | | | | | |
| Plan 99B - 18 | Nov 16, 2000 | Ericsson, Frederick, G. | \$23.1050 | 1,000 | 0 | 0 | 1,000 | \$23,105.00 | 750 | 1,000 | |
| SUMMARY for Options of type RSP | | | | 1,000 | 0 | 0 | 1,000 | \$23,105.00 | 750 | 1,000 | |
| weighted averages | | | | 1,000.00 | 0.00 | 0.00 | 1,000.00 | | 750.00 | 1,000.00 | |
| SUMMARY for options listed | | | | 24,400 | 1,140 | 0 | 23,260 | \$251,730.20 | 16,709 | 16,819 | |
| weighted averages | | | | 1,742.86 | 87.70 | 0.00 | 2,804.10 | | 2,041.60 | 2,003.07 | |

Figure 76 - Options Outstanding (B), grouped by Option Types (part four)


Options Outstanding (C)


Report lists summaries only for the options outstanding (B) report type.

Records are grouped by: option date, plan name, employee name, option type, option price, or vesting schedule.

You have to specify report parameters: **as of** date, mark if system will process **All** or only non-conditional exercises with exercise date less or equal to **as of** date specified, and check if the system will **omit** option records without outstanding shares. Initially, **as of** date is set to "today" and **omit** is checked.

If you want to include only specific option plans, please select them from the list. By default that list is empty and system will use all option plans.

Press the **Find** button  to generate the report. System finds option records with grant date less or equal to **As Of** date specified.

You may choose group order by clicking on the appropriate group-by button  (**Date**, **Plan**, **Name**, **Type**, **Price**, **Vesting**).


By default, system groups records by employee name.


You can switch to report **type A** by clicking on **A** radio button. Report type A shows options outstanding in a form of cards.

You can switch to report **type B** by clicking on **B** radio button. Report type B is a list of option records instead of grant cards.

There is a trailing grand summary report part, showing totals and weighted averages for the option records listed.

Report format is *Letter*, orientation is *Landscape*.

Please press the **Preview** button  to see summaries, and to review how the report will look printed on paper. You can browse through the report pages using the **book tool**. Press the **Continue** button to exit from the preview mode.

Press the **Print** button  to print this report. Print dialog will be shown, allowing you to select: printer, change its properties, mark if you want to print in the file, define print range (all pages or page subset), define page numbering starting page, select number of copies and collate settings.

Press the **Jump To Record List** button  if you want to filter records. After you finish, please press the **Back** button to return to this report.

You can browse through the record list using the record navigation buttons: go to previous, next, first and last record in the current found set.

Press the **Jump Back** button  to close this report.

Options Canceled



Report lists option records that have shares canceled/expired within the specified range of dates.

Fields shown are: Optionee **name** and **ID**, **Option ID**, **Option Date**, **Cancellation Date**, **Cancellation Reason**, number of **Shares Canceled/Expired**, share **Price** and **Total Price** of Shares Canceled/Expired.


Date period for the Cancel / Expiration date (**From** and **To** dates) is required. You can specify additional report parameters: **option plan**, by selecting one or more plans from the list, and grant type. Grant Type can be one of the following: NQ (Non-Qualified Stock Option), ISO (Incentive Stock Option), RSP (Restricted Stock Purchase), DSO (Discounted Stock Option), NQA (NQ + Stock Appreciation Right) or ISA (ISO + Stock Appreciation Right).


Press the **Find** button  to generate the report.

There are trailing summary report parts, one for every option plan or type and grand summary, showing totals for Shares Canceled and Total Price of Shares Canceled, as well as minimal, maximal and average Price.

Press the **Plan**  or **Type**  button to sort records by option plan or type.

Report format is *Letter*, orientation is *Landscape*.

Press the **Preview** button  to see how the report will look printed on paper. You can browse through the report pages using the **book tool**. Press the **Continue** button to exit from the preview mode.

Press the **Print** button  to print this report. Print dialog will be shown, allowing you to select: printer, change its properties, mark if you want to print in the file, define print range (all pages or page subset), define page numbering starting page, select number of copies and collate settings.

Press the **Jump To Record List** button  if you want to filter records. After you finish, please press the **Back** button to return to this report.

You can browse through the record list using the record navigation buttons: go to previous, next, first and last record in the current found set.

Press the **Jump Back** button  to close this report.

OPTIONS CANCELED/EXPIRED

From: 1/1/1999 To: 12/31/1999 Plan: Plan 99A

Acme Company, Inc.
ID: 12-126
Street Name Goes Here
City, State, Zip**OPTION TYPE:** NQ (NON-QUALIFIED STOCK OPTION)

| Optionee | Employee ID | Option ID | Option Date | Cancellation Date | Cancellation Reason | Shares Canceled | Price | Total Price of Shares Canceled |
|----------------|-------------|--------------|-------------|-------------------|---------------------|-----------------|----------|--------------------------------|
| Young, Tom, D. | AA001 | Plan 99A - 1 | May 1, 1999 | Mar 24, 1999 | Manual | 1,500 | \$5.0000 | \$7,500.00 |
| NQ SUMMARY | | | | | | 1,500 | | \$7,500.00 |
| | | | | | | min | \$5.0000 | |
| | | | | | | avg | \$5.0000 | |
| | | | | | | max | \$5.0000 | |
| SUMMARY | | | | | | 1,500 | | \$7,500.00 |
| | | | | | | min | \$5.0000 | |
| | | | | | | avg | \$5.0000 | |
| | | | | | | max | \$5.0000 | |

Figure 77 – Options Canceled

You may press the **Export** button to export report data. In addition to the fields shown/printed on paper, system will export Expense Allocation amounts up to cancel date, if saved in the Expense Details table.

Options Repriced



Report lists option records that were repriced within the specified range of dates.

Fields shown are: Optionee **name** and **ID**, **Option ID**, **Option Date**, **Repriced** with Option (new option **ID**), **Date** of Repricing, number of **Shares Repriced**, share **Price** and **Total Price** of Shares Repriced.


Date period for the Reprice date (**From** and **To** dates) is required. You can specify additional report parameters: **option plan**, by selecting one from the drop down list and grant type. Grant Type can be one of the following: NQ (Non-Qualified Stock Option), ISO (Incentive Stock Option), RSP (Restricted Stock Purchase), DSO (Discounted Stock Option), NQA (NQ + Stock Appreciation Right) or ISA (ISO + Stock Appreciation Right).


Press the **Find** button  to generate the report.

There are trailing summary report parts, one for every option plan or type and grand summary, showing totals for Shares Repriced and Total Price of Shares Repriced, as well as minimal, maximal and average Price.

Press the **Plan**  or **Type**  button to sort records by option plan or type.

Report format is *Letter*, orientation is *Landscape*.

Press the **Preview** button  to see how the report will look printed on paper. You can browse through the report pages using the **book tool**. Press the **Continue** button to exit from the preview mode.

Press the **Print** button  to print this report. Print dialog will be shown, allowing you to select: printer, change its properties, mark if you want to print in the file, define print range (all pages or page subset), define page numbering starting page, select number of copies and collate settings.

Press the **Jump To Record List** button  if you want to filter records. After you finish, please press the **Back** button to return to this report.



You can browse through the record list using the record navigation buttons: go to previous, next, first and last record in the current found set.


Press the **Jump Back** button  to close this report.

Grant Acknowledgement

Report lists all the records that have not been acknowledged up to specified date, grouped by optionees.


You have to specify ending (**To**) date, and you can specify starting (**From**) date, if you want. Initially, ending date is set to "today".


Press the **Find** button  to generate the report and **Preview** button  to see it.


Press the **Find All** button  to clear report parameters and find all records.

Each option row consists of: **date of grant**, **grant id**, **grant type**, number of **shares** granted and option **price**.


Records are sorted by optionee name and then by option date.


Tip: If you do want to specify different sort criteria, or unsort records, press the **Jump To Record List** button  perform that task and press the **Back** button to return to the report. If the records are not sort by optionee name there will be no records grouping by optionees.


Tip: If you want to print/send this report for one optionee only, press the **Jump To Record List** button  filter the option records by that employee's ID and press the **Back** button to return to the report.

Press the **Name**  button to sort records by optionee's name.

Report format is *Letter*, orientation is *Portrait*, page break before every new optionee.

Press the **E-mail report** button  to send this report by e-mail, without printing it on paper. Report will be sent to all employees that have their e-mail addresses specified. Based on the system Preferences, e-mails can be sent with or without your confirmation (preview) in your default e-mail client.

Press the **Preview** button  to see how the report will look printed on paper. You can browse through the report pages using the **book tool**. Press the **Continue** button to exit from the preview mode.

Press the **Print** button  to print this report. Print dialog will be shown, allowing you to select: printer, change its properties, mark if you want to print in the file, define print range (all pages or page subset), define page numbering starting page, select number of copies and collate settings.

Press the **Jump To Record List** button  if you want to filter records. After you finish, please press the **Back** button to return to this report.

You can browse through the record list using the record navigation buttons: go to previous, next, first and last record in the current found set.

Press the **Jump Back** button  to close this report.



| | | | | |
|--|--|-------------------|-----------------------|---------------------|
| GRANT ACKNOWLEDGEMENT | Acme Company, Inc. ID: 12-126 Street Name Goes Here City, State, Zip | | | |
| <hr/> | | | | |
| Tom D. Young 11 South Street Santa Barbara, CA, 93101 | | | | |
| <hr/> | | | | |
| As of March 27, 2001, Acme Company, Inc. has not yet received signed Grant Forms for the following grant(s): | | | | |
| <u>Date of Grant</u> | <u>Grant ID</u> | <u>Grant Type</u> | <u>Shares Granted</u> | <u>Option Price</u> |
| May 1, 1999 | Plan 99A - 1 | NQ | 1,500 | \$5.0000 |
| Oct 22, 1999 | Plan 99B - 7 | ISO | 1,000 | \$7.0000 |
| Dec 31, 1999 | Plan 99A - 10 | NQ | 5,000 | \$15.4500 |
| <hr/> | | | | |
| Please acknowledge the grants by returning signed form(s) to the Stock Administration Department. | | | | |

Figure 79 – Grant Acknowledgement

Grants Approaching Expiration


Report lists option records that will expire with given number of months starting from the specified date, grouped by optionees.


You have to specify number of months and starting (**from**) date. Initially, starting date is set to "today" and number of months is set to 6.


Please press the **Find** button  to generate the report and **Preview** button  to see it.

Each option row consists of: **date** of grant, grant **id**, **expiration** date, grant **type**, number of **shares** granted, option **price**, number of **shares expiring** and **cost** to purchase (total price of unexercised shares).


Records are sorted by optionee name and then by option date.


Tip: If you do want to specify different sort criteria, or unsort records, press the **Jump To Record List** button  perform that task and press the **Back** button to return to the report. If the records are not sort by optionee name there will be no records grouping by optionees.


Tip: If you want to print/send this report for one optionee only, press the **Jump To Record List** button  filter the option records by that employee's ID and press the **Back** button to return to the report.

Press the **Name**  button to sort records by optionee's name.

Report format is *Letter*, orientation is *Portrait*, page break before every new optionee.


Press the **E-mail report** button  to send this report by e-mail, without printing it on paper. Report will be sent to all employees that have their e-mail addresses specified. Based on the system Preferences, e-mails can be sent with or without your confirmation (preview) in your default e-mail client.

Press the **Preview** button  to see how the report will look printed on paper. You can browse through the report pages using the **book tool**. Press the **Continue** button to exit from the preview mode.

Press the **Print** button  to print this report. Print dialog will be shown, allowing you to select: printer, change its properties, mark if you want to print in the file, define print range (all pages or page subset), define page numbering starting page, select number of copies and collate settings.

Press the **Jump To Record List** button  if you want to filter records. After you finish, please press the **Back** button to return to this report.

You can browse through the record list using the record navigation buttons: go to previous, next, first and last record in the current found set.

Press the **Jump Back** button  to close this report.

GRANTS APPROACHING EXPIRATION

Acme Company, Inc.
ID: 12-126
Street Name Goes Here
City, State, Zip

Anna S. Fisher
99 Central Bay
San Diego, CA, 91101

The following grants will expire within 6 months from January 1, 2010:


| Grant Date | Grant ID | Expiration Date | Grant Type | Shares Granted | Option Price | Shares Expiring | Cost to Purchase |
|------------|---------------|-----------------|------------|----------------|--------------|-----------------|------------------|
| 5/31/2000 | Plan 99C - 14 | 5/31/2010 | NQ | 1,000 | \$17.4600 | 820 | \$14,317.20 |
| 5/31/2000 | Plan 99C - 15 | 5/31/2010 | NQ | 1,000 | \$17.4600 | 1,000 | \$17,460.00 |
| 6/1/2000 | Plan 99C - 16 | 6/1/2010 | NQ | 500 | \$17.5160 | 500 | \$8,758.00 |
| | | | | | | 2,320 | \$40,535.20 |

Figure 80 – Grants Approaching Expiration

Grant Status Report


Report shows current employee's grant status on the specified date. You will typically start this report from the employee's option/purchase activities buttons group.


Report consists of grant cards. Single card contains: **Grant ID** and **Type**, **Grant Date**, **Price**, number of **Shares** granted, **Expiration Date**, **Vest Date**, and number of shares: Exercisable, Exercised, Vested, Vested Exercisable, Unvested, Canceled, Outstanding, and Expired. At the end there is a date shown: cancel date, if canceled, last exercisable date, if terminated, otherwise it is expiration date.


You can specify date by entering it in the **As of** date field. After that, please press the **Find** button  to generate the report. Initially, date is set to "today".

There is a trailing grand summary part, showing totals and weighted averages for the options listed.

Report format is *Letter*, orientation is *Portrait*.

Press the **E-mail report** button  to send this report by e-mail, without printing it on paper. Report will be sent only if an employee has e-mail address specified. Based on the system Preferences, e-mail can be sent with or without your confirmation (preview) in your default e-mail client.

Press the **Preview** button  to see how the report will look printed on paper. You can browse through the report pages using the **book tool**. Press the **Continue** button to exit from the preview mode.

Press the **Print** button  to print this report. Print dialog will be shown, allowing you to select: printer, change its properties, mark if you want to print in the file, define print range (all pages or page subset), define page numbering starting page, select number of copies and collate settings.

Press the **Jump To Record List** button  if you want to filter records. After you finish, please press the **Back** button to return to this report.

You can browse through the record list using the record navigation buttons: go to previous, next, first and last record in the current found set.

Press the **Jump Back** button  to close this report.

GRANT STATUS REPORT

As of 12/2/2002

Acme Company, Inc.

ID: 12-126

Street name Goes Here

City, State, Country, ZIP

Optionee:

Anna S. Fisher
 99 Central Bay
 San Diego, CA, 91101

| | | | | | |
|-------------------|--------------------|--------------------|-----------|----------------------|-------|
| Grant ID | Plan 99A - 3 (NQ) | Exercisable | 540 | Exercised | 210 |
| Grant Date | 5/1/1999 | Price | \$5.0000 | Vested Exerc. | 540 |
| Expires On | 5/1/2009 | Shares | 1,000 | Canceled | 0 |
| Vest Date | 5/1/2003 | Outstanding | 790 | Expired | 0 |
| | | Vested | 750 | Unvested | 250 |
| Grant ID | Plan 99C - 14 (NQ) | Exercisable | 820 | Exercised | 180 |
| Grant Date | 5/31/2000 | Price | \$17.4600 | Vested Exerc. | 820 |
| Expires On | 5/31/2010 | Shares | 1,000 | Canceled | 0 |
| Vest Date | 5/31/2002 | Outstanding | 820 | Expired | 0 |
| | | Vested | 1,000 | Unvested | 0 |
| Grant ID | Plan 99C - 15 (NQ) | Exercisable | 1,000 | Exercised | 0 |
| Grant Date | 5/31/2000 | Price | \$17.4600 | Vested Exerc. | 1,000 |
| Expires On | 5/31/2010 | Shares | 1,000 | Canceled | 0 |
| Vest Date | 5/31/2002 | Outstanding | 1,000 | Expired | 0 |
| | | Vested | 1,000 | Unvested | 0 |
| Grant ID | Plan 99C - 16 (NQ) | Exercisable | 500 | Exercised | 0 |
| Grant Date | 6/1/2000 | Price | \$17.5160 | Vested Exerc. | 500 |
| Expires On | 6/1/2010 | Shares | 500 | Canceled | 0 |
| Vest Date | 6/1/2002 | Outstanding | 500 | Expired | 0 |
| | | Vested | 500 | Unvested | 0 |

SUMMARY for options granted, as of Dec 2, 2002

| | | | |
|---------------------------------|--------|---------------------------------|--------|
| Options Granted | 4 | Total Shares Granted | 3,500 |
| Options Exercisable | 4 | Total Shares Outstanding | 3,110 |
| Total Shares Exercisable | 2,860 | Total Shares Exercised | 390 |
| Total Shares Vested | 3,250 | Total Shares Canceled | 0 |
| Total Vested Exercisable | 2,860 | Total Shares Expired | 0 |
| Wavg Shares Exercisable | 745.71 | Avg Shares Granted | 875.00 |
| Wavg Shares Vested | 857.14 | Wavg Shares Outstanding | 817.14 |
| Wavg Shares Canceled | 0.00 | Wavg Shares Exercised | 111.43 |

Figure 81 – Grant Status Report

Option Statement

Report shows grant status as of specified date.


Report consists of grant cards. Single card contains: **Grant ID** and **Type**, **Grant Date**, **Price**, number of **Shares** granted, **Expiration Date**, **Vest Date**, and number of shares: Exercisable, Exercised, Vested, Vested Exercisable, Unvested, Canceled, Outstanding, and Expired. At the end there is a date shown: cancel date, if canceled, last exercisable date, if terminated, otherwise it is expiration date.

You have to specify report parameters: **as of** date, mark if system will process **All** or only non-conditional exercises with exercise date less or equal to **as of** date specified, and check if the system will **omit** option records without outstanding shares. Initially, **as of** date is set to "today" and **omit** is cleared.

If you want to show records for a specific optionee only, please select it from the Employee drop-down list. By default system will include all optionees.


By default, system will show only active employees. If you want it different, please clear Omit Terminated check-box.


If you want to include only specific option plans, please select them from the list. By default that list is empty and system will use all option plans.


Press the **Find** button  to generate the report. System finds option records with grant date less or equal to **As Of** date specified.

Records are sorted by optionee name and then by option id.

Report format is *Letter*, orientation is *Portrait*.

Press the **E-mail report** button  to send this report by e-mail, without printing it on paper. Report will be sent only if an employee has e-mail address specified. Based on the system Preferences, e-mail can be sent with or without your confirmation (preview) in your default e-mail client.

Press the **Preview** button  to see how the report will look printed on paper. You can browse through the report pages using the **book tool**. Press the **Continue** button to exit from the preview mode.

Press the **Print** button  to print this report. Print dialog will be shown, allowing you to select: printer, change its properties, mark if you want to print in the file, define print range (all pages or page subset), define page numbering starting page, select number of copies and collate settings.

Press the **Jump To Record List** button  if you want to filter records. After you finish, please press the **Back** button to return to this report.

You can browse through the record list using the record navigation buttons: go to previous, next, first and last record in the current found set.

Press the **Jump Back** button  to close this report.


Expected Term By Class

Report calculates expected option terms using historical exercises behavior, option cancellations, and expected exercises from outstanding options.

As the name implies, this report is to be used for providing "expected term" values when **Black-Scholes Single Option** approach is used.

You can specify date period for option dates (**From** and **To** dates) and specify additional filtering criteria (class of options or company departments) using two user defined fields from option record. If you check **Canceled after vest** system will treat canceled grants as canceled after full vest date.

Press the **Find** button  to generate the report.

Press the **Find All** button  to clear report parameters and find all records.

Each option row consists of: option id, grant date, vest from date, expiration date, number of shares granted, number of transaction shares (exercised, canceled, or outstanding), user data fields 1 and 2, contractual life, term, and rate.

Reports are grouped by Transaction Type.

There are trailing summary report parts, showing weighted average of expected term for the options listed.


There is a grand summary report part showing final result of the report - weighted average of expected term for the options listed.


After the report is generated and you have estimate for expected term, you can press **Price Volatility** button to run Price Volatility report for the period that corresponds to the expected term years in the past.

Report format is *Letter*, orientation is *Landscape*.

Report subtitle reflects report parameters you specified.

You may press the **Export** button to export report data.

Press the **Preview** button  to see how the report will look printed on paper. You can browse through the report pages using the **book tool**. Press the **Continue** button to exit from the preview mode.

Press the **Print** button  to print this report. Print dialog will be shown, allowing you to select: printer, change its properties, mark if you want to print in the file, define print

range (all pages or page subset), define page numbering starting page, select number of copies and collate settings.

Press the **Jump To Record List** button  if you want to filter records. After you finish, please press the **Back** button to return to this report.

You can browse through the record list using the record navigation buttons: go to previous, next, first and last record in the current found set.


Press the **Jump Back** button  to close this report.

Expected Term - BS Single

Report calculates expected option terms based on historical exercise behavior. For each option record, the procedure that generates the report analyzes its exercises and calculates distances of exercise dates from the option date, and, taking into account the number of shares exercised by each exercise, the expected term for an option is calculated.



As the name implies, this report is to be used for providing "expected term" values when **Black-Scholes Single Option** approach is used.

You can specify date period for option dates (**From** and **To** dates) and specify how many % of the shares must be exercised for an option to be included in the report (**min % exercised** field).

Press the **Find** button  to generate the report.

Press the **Find All** button  to clear report parameters and find all records.


Each option row consists of: optionee name, option id, option date, number of shares granted, number of shares exercised and calculated value of expected term (based on option date).


Press the **Plan**  or **Type**  button to sort records by plan name or option type, respectively.

There are trailing summary report parts if the records are sorted by plan or type and grand summary, showing weighted average of expected term for the options listed.

Report format is *Letter*, orientation is *Portrait*.

Report subtitle reflects report parameters you specified.

Press the **Preview** button  to see how the report will look printed on paper. You can browse through the report pages using the **book tool**. Press the **Continue** button to exit from the preview mode.

Press the **Print** button  to print this report. Print dialog will be shown, allowing you to select: printer, change its properties, mark if you want to print in the file, define print range (all pages or page subset), define page numbering starting page, select number of copies and collate settings.

Press the **Jump To Record List** button  if you want to filter records. After you finish, please press the **Back** button to return to this report.

You can browse through the record list using the record navigation buttons: go to previous, next, first and last record in the current found set.

Press the **Jump Back** button  to close this report.

| EXPECTED TERM (SINGLE OPTION) | | | | | |
|---|---------------|-------------|---|---------------------|-----------------------------------|
| From: 1/1/1999 To: 12/31/1999 | | | Acme Company, Inc. ID: 12-126 Street Name Goes Here City, State, Zip | | |
| Optionee | Option ID | Option Date | Shares Granted | Shares Exercised | Expected Term from Option Date |
| <u>Options granted under plan "Plan 99A"</u> | | | | | |
| Ericsson, Frederick, G. | Plan 99A - 11 | Jun 1, 1999 | 1,000 | 500 | 0.99 |
| Fisher, Anna, S. | Plan 99A - 3 | May 1, 1999 | 1,000 | 210 | 9.82 |
| Ericsson, Frederick, G. | Plan 99A - 5 | May 1, 1999 | 5,000 | 250 | 30.63 |
| Weighted average for plan "Plan 99A" options: | | | | | 10.64 |
| Weighted average for all options listed: | | | | | 10.64 |

Figure 82 – Expected Term (Single Option)


Please **note** that for ASC 718 (FAS 123R) compliance you need to provide expected term estimate based on exercises, cancellations, and expected exercises (outstanding shares).

Expected Term - BS Multiple

Report calculates expected option terms based on historical exercise behavior. For each option record, the procedure that generates the report analyzes its exercises and calculates distance in years from the vest date of the increment(s) whose shares were exercised to the date of exercise.



As the name implies, this report is to be used for providing "expected term" values when **Black-Scholes Multiple Option** approach is used.

You can specify date period for option dates (**From** and **To** dates) and specify how many % of the shares must be exercised for an option to be included in the report (**min % exercised** field).

Press the **Find** button  to generate the report.

Press the **Find All** button  to clear report parameters and find all records.


Each option row consists of: optionee name, option id, option date, number of shares granted, number of shares exercised and calculated value of expected term (based on vest date).


Press the **Plan**  or **Type**  button to sort records by plan name or option type, respectively.

There are trailing summary report parts if the records are sorted by plan or type and grand summary, showing weighted average of expected term for the options listed.

Report format is *Letter*, orientation is *Portrait*.

Report subtitle reflects report parameters you specified.

Press the **Preview** button  to see how the report will look printed on paper. You can browse through the report pages using the **book tool**. Press the **Continue** button to exit from the preview mode.

Press the **Print** button  to print this report. Print dialog will be shown, allowing you to select: printer, change its properties, mark if you want to print in the file, define print range (all pages or page subset), define page numbering starting page, select number of copies and collate settings.

Press the **Jump To Record List** button  if you want to filter records. After you finish, please press the **Back** button to return to this report.

You can browse through the record list using the record navigation buttons: go to previous, next, first and last record in the current found set.

Press the **Jump Back** button  to close this report.

| EXPECTED TERM (MULTIPLE OPTION) | | | | | |
|---|---------------|-------------|---|---------------------|---------------------------------|
| From: 1/1/1999 To: 12/31/1999 | | | Acme Company, Inc. ID: 12-126 Street Name Goes Here City, State, Zip | | |
| Optionee | Option ID | Option Date | Shares Granted | Shares Exercised | Expected Term from Vest Date |
| <u>Options granted under plan "Plan 99A"</u> | | | | | |
| Ericsson, Frederick, G. | Plan 99A - 11 | Jun 1, 1999 | 1,000 | 500 | 0.50 |
| Fisher, Anna, S. | Plan 99A - 3 | May 1, 1999 | 1,000 | 210 | 0.08 |
| Ericsson, Frederick, G. | Plan 99A - 5 | May 1, 1999 | 5,000 | 250 | 0.53 |
| Weighted average for plan "Plan 99A" options: | | | | | 0.42 |
| Weighted average for all options listed: | | | | | 0.42 |

Figure 83 – Expected Term (Multiple Option)

Please **note** that for ASC 718 (FAS 123R) compliance you need to provide expected term estimate based on exercises, cancellations, and expected exercises (outstanding shares).

Post-vesting Terminations

Report calculates post-vesting termination rate based on historical behavior. It finds records granted within specified period of dates that are fully vested and canceled, as a result of optionee termination, as of specified date or number of months after it fully vests (whichever date comes later). Termination ratio per record is calculated as a number of shares terminated divided by the total number of shares.

This report is to be used for providing estimate for the termination rate, entered into the Forecast record for the FAS 123R compliant Binomial valuation model.


You have to specify date period for option dates (**From** and **To** dates), and **Terminated As Of** date. You may specify number of **months** after option fully vests to be used as a comparison date. If you specify option **Type** from the drop-down list only grants of that type will be listed. You can specify option plans to use by checking them in the option plans list. By default (empty list) system will use all plans.


Press the **Find** button  to generate the report.

Each option row consists of: option id, option date, number of shares granted, full vest date, termination date, number of shares canceled, and calculated termination ratio.

There is a trailing summary report part, showing total number of shares granted, total number of shares canceled as a result of termination, average termination rate for the options listed (for the whole reporting period), and **yearly termination rate** in percents that you need to supply in the Forecast record.

Report format is *Letter*, orientation is *Portrait*.
Report subtitle reflects report parameters you specified.

Press the **Preview** button  to see how the report will look printed on paper. You can browse through the report pages using the **book tool**. Press the **Continue** button to exit from the preview mode.

Press the **Print** button  to print this report. Print dialog will be shown, allowing you to select: printer, change its properties, mark if you want to print in the file, define print range (all pages or page subset), define page numbering starting page, select number of copies and collate settings.

Press the **Jump To Record List** button  if you want to filter records. After you finish, please press the **Back** button to return to this report.

You can browse through the record list using the record navigation buttons: go to previous, next, first and last record in the current found set.

Press the **Jump Back** button  to close this report.

Unvested Forfeitures

Report calculates forfeiture rate based on historical behavior. It finds records granted within specified period of dates that are canceled as of specified date or number of months before it fully vests (whichever date comes first). Forfeiture ratio per record is calculated as a number of shares forfeited while unvested divided by the total number of shares.

This report is to be used for providing estimate for the forfeiture rate, entered into the Forecast record for the FAS 123R compliant Expense Allocation reports.

You have to specify date period for option dates (**From** and **To** dates), and **Forfeited As Of** date. You may specify number of **months** before option fully vests to be used as a comparison date. If you specify option **Type** from the drop-down list only grants of that type will be listed. You can specify option plans to use by checking them in the option plans list. By default (empty list) system will use all plans. You can specify to **Process unvested grants** for the **last X years** before **Forfeited As Of date**.

Press the **Find** button  to generate the report.


Each option row consists of: option id, option date, number of shares granted, full vest date, forfeiture date, number of shares forfeited, and calculated forfeiture rate.


There is a trailing summary report part, showing total number of shares granted, total number of shares forfeited while unvested, average forfeiture rate for the options listed (for the whole reporting period) and **yearly forfeiture rate** in percents that you need to supply in the Forecast record.

After you have got estimated unvested forfeiture rate, you can press **Update Forecasts** button and system will update all forecasts that have supplied keyword(s) in forecast names with new forfeiture rate. This is irreversible process.

Report format is *Letter*, orientation is *Portrait*.

Report subtitle reflects report parameters you specified.

Press the **Preview** button  to see how the report will look printed on paper. You can browse through the report pages using the **book tool**. Press the **Continue** button to exit from the preview mode.

Press the **Print** button  to print this report. Print dialog will be shown, allowing you to select: printer, change its properties, mark if you want to print in the file, define print range (all pages or page subset), define page numbering starting page, select number of copies and collate settings.

Press the **Jump To Record List** button  if you want to filter records. After you finish, please press the **Back** button to return to this report.

You can browse through the record list using the record navigation buttons: go to previous, next, first and last record in the current found set.

Press the **Jump Back** button  to close this report.

Option Valuation

Report lists options within the specified range of dates and displays valuation for each record.

You have to enter range of dates (**From** and **To** option dates) and the valuation number (**1..5**, there are up to five valuation parameters stored with option record).

In addition, you may select system to calculate and show valuation based on the shares: Granted, Unvested, Vested, Canceled, Expired, Outstanding, Outstanding Vested, Outstanding Unvested, Vested or Exercised, and Exercised Unvested. If you leave **From** date empty, system will calculate numbers based on **To** date (as of), otherwise it will give you period calculations.

If you want to show records under specific option plans only, please select them from the list. By default list is empty, which will include all plans.

Press the **Find** button  to generate the report.


Each option row consists of: option **id**, option **date**, **employee id**, number of **shares** granted, **fair value** on option date, share **price**, **forecast** used, **expected term**, **valuation model** used, calculated share value (**valuation**) and **total valuation**.


Records are sorted by option id.

There is a trailing grand summary report part, showing total number of shares granted, total valuation, and weighted averages for: price, fair value, total term, and valuation.

Report format is *Letter*, orientation is *Landscape*.

Report subtitle reflects report parameters you specified.

Press the **Preview** button  to see how the report will look printed on paper. You can browse through the report pages using the **book tool**. Press the **Continue** button to exit from the preview mode.

Press the **Print** button  to print this report. Print dialog will be shown, allowing you to select: printer, change its properties, mark if you want to print in the file, define print range (all pages or page subset), define page numbering starting page, select number of copies and collate settings.

Press the **Jump To Record List** button  if you want to filter records. After you finish, please press the **Back** button to return to this report.

You can browse through the record list using the record navigation buttons: go to previous, next, first and last record in the current found set.

Press the **Jump Back** button  to close this report.

OPTION VALUATION

From 1/1/1999 to 12/31/1999
Valuation number: 1

Acme Company, Inc.
ID: 12-126
Street Name Goes Here
City, State, Zip

| Option ID | Option Date | Employee ID | Shares | | Price | | Expected Valuation | | Value | Total Valuation |
|--------------|-------------|-------------|---------|------------|----------|----------|--------------------|-----------|----------|-----------------|
| | | | Granted | Fair Value | | Forecast | Term | Model | | |
| Plan 99A - 1 | May 1, 1999 | AA001 | 1,500 | \$5.0000 | \$5.0000 | Q1 | 5.5 | BS Single | \$1.5134 | \$2,270.10 |
| Plan 99A - 3 | May 1, 1999 | AA003 | 1,000 | \$5.0000 | \$5.0000 | Q1 | 10 | BS Single | \$1.8321 | \$1,832.10 |
| SUMMARY | | | 2,500 | | | | | w. avg. | \$1.6409 | \$4,102.20 |

Figure 84 – Option Valuation

You may press the **Export** button to export valuation data. Default export order is:

Date, Option ID, Employee ID, Total Shares, Price, FMV on grant date, **Vesting Schedule**, computed **Valuation**, **Term** in years, **Volatility Rate, Interest Rate, Dividend Rate**, post vesting **Termination Rate** (if exists), and suboptimal **Exercise Factor** (if exists).

It is easy to add or remove fields to export – simply select it on the left pane and press the >>**Move**>> button.

Records are initially sorted by grant **Date**, and then by **Option ID**.

If you need different sort order, use the Sort item from the Records menu.

Sensitivity Analysis


Report shows option valuation sensitivity analysis data. User specifies sensitivity analysis parameters at the Single Valuation Layout.

Upper part of the report shows: grant date, option date, option plan, option price, exercise price (FMV), valuation model, term in years, dividend, volatility, interest rate, and calculated valuation for these parameters.

Sensitivity analysis table consists of three columns and ten rows. Columns are for different dividends, rows for volatilities. System calculates 30 valuations, one for each volatility/dividend pair.

Press the **Export** button if you want to export sensitivity analysis table into the html file. Exported data can be used in other programs, like Microsoft Excel, to present it graphically.

Report format is *Letter*, orientation is *Portrait*.

Press the **Print** button  to print this report. Print dialog will be shown, allowing you to select: printer, change its properties, mark if you want to print in the file, select number of copies and collate settings.

Please select and print only one (current) page (record).

Press the **Jump Back** button  to close this report.

SENSITIVITY ANALYSIS

| | |
|------------------------|-----------------------------|
| Grant date | May 1, 1999 |
| Option type | Non-Qualified Stock Option |
| Option plan | Plan 99A |
| Option price | \$5.0000 |
| Exercise price | \$5.0000 |
| Valuation model | Black-Scholes Single Option |
| Term | 5.50 |
| Dividend | 3.000% |
| Volatility | 31.000% |
| Interest rate | 6.790% |
| Valuation | \$1.5134 |

Sensitivity Analysis

| Volatility | Dividend yields | | |
|-------------------|------------------------|---------------|---------------|
| | 2.850% | 3.000% | 3.150% |
| 27.000% | \$1.4090 | \$1.3833 | \$1.3579 |
| 28.000% | \$1.4416 | \$1.4159 | \$1.3905 |
| 29.000% | \$1.4741 | \$1.4484 | \$1.4230 |
| 30.000% | \$1.5067 | \$1.4810 | \$1.4556 |
| 31.000% | \$1.5392 | \$1.5134 | \$1.4880 |
| 32.000% | \$1.5717 | \$1.5459 | \$1.5204 |
| 33.000% | \$1.6041 | \$1.5782 | \$1.5527 |
| 34.000% | \$1.6364 | \$1.6105 | \$1.5849 |
| 35.000% | \$1.6686 | \$1.6426 | \$1.6170 |
| 36.000% | \$1.7007 | \$1.6747 | \$1.6490 |

Figure 85 – Sensitivity Analysis

Option Revaluation

Report shows repriced options during the specified period with revaluation credit, grouped by optionees. Company is entitled for such a credit because option is repriced before its expiration (expected term is not reached).

You have to enter range of dates (**From and To option dates**) and the valuation number (**1..5**, there are up to five valuation parameters stored with option record).

Press the **Find** button  to generate the report.


Each option row consists of: option **id**, option **date**, **replacement** option id, **cancel date**, **fair value** on option date, share **price**, number of shares **canceled**, **forecast** used, option **term**, **valuation model** used, calculated **revaluation credit**.


Records are sorted by option id.

There is a trailing grand summary report part, showing totals for number of shares canceled and revaluation credit.

Report format is *Letter*, orientation is *Landscape*.

Report subtitle reflects report parameters you specified.

Press the **Preview** button  to see how the report will look printed on paper. You can browse through the report pages using the **book tool**. Press the **Continue** button to exit from the preview mode.

Press the **Print** button  to print this report. Print dialog will be shown, allowing you to select: printer, change its properties, mark if you want to print in the file, define print range (all pages or page subset), define page numbering starting page, select number of copies and collate settings.

Press the **Jump To Record List** button  if you want to filter records. After you finish, please press the **Back** button to return to this report.

You can browse through the record list using the record navigation buttons: go to previous, next, first and last record in the current found set.

Press the **Jump Back** button  to close this report.

Expense Allocation BS Single/Binomial

Report calculates expense amounts allocated with option records when Black-Scholes Single valuation or Binomial models are used.

You have to specify: reporting period, by entering range of dates (**From** and **To**), valuation number (**1..5**, since there are up to five valuation parameters stored with option record), and allocation **method** from the drop-down list (Straight Line, Plain Straight Line, Fin28, Ratable, and Vest Line).

If check-box **Use Expense Details for BSS/Bin** is selected, system will use expense amounts previously stored in the Option Expense Details table and sum it in the Prior Amortized column.

If check-box **Read Expenses** is selected, system will read stored expense amounts from the Expense Details table for the selected reporting period. Please make sure you are reading data for the reporting period that are saved in the database. For example, if you are saving expenses quarterly please use same dates for reading expenses, or use from and to dates that exist in the Expense Details table.

If check-box **Save Expenses** is selected, system will store expense amounts for the selected reporting period in the Option Expense Details table.

Starting from version 3.84.919 system also stores report settings used to calculate period expenses. You can review by pressing Expenses button next to the grant details.

You can also override report settings by specifying keywords in the Valuation Notes in each individual grant record. Keywords recognized are:

STL - straight-line


PSL - plain straight line

FIN28 - fin28 method

PMV - prefer min vested

UUA - use unamortized

VFD - use vest from date

Press the **Find** button  to generate the report. System finds option records granted before reporting period's end date, and valued using either Black-Scholes Single valuation model or Binomial valuation method. Option records canceled before reporting period's start date are omitted.

Note: Please specify right valuation number (that corresponds to valuation model used).

After the report is generated you may click on the Unamortized radio-button in order to view future projection for the unamortized expenses. By default, system will show

expenses for each year that follows report end date. Up to 10 future period expenses can be shown and exported.

There are several allocation methods available. **Ratable** method takes particular number of shares per vesting period into account; **Vest Line** allocates expenses proportionally to the number of shares vested during reporting period; **Plain Straight Line** method divides total valuation amount evenly across the whole vesting period, while **Straight Line** method is modified according to rule in paragraph 42 of FAS 123R, which states, “The amount of compensation cost recognized at any date must at least equal the portion of the grant-date value of the award that is vested at that date.”; **Fin28** method uses graded vesting approach and treats each vesting period as a separate grant.

For **ASC 718** compliance please use **Straight Line** or **Fin28** (graded vesting) allocation methods only.

Starting from Stox 3.84.128 there is a change in expenses calculation – system now divides reporting period into two parts – from report start date to last vest date (if within period), and from last vest date to report end date. This is to encompass grants with large vesting that may occur at the beginning of the reporting period.

If you have grant modification that requires expense adjustment, it is possible to specify keyword “EAD” in the Valuation Notes, specify new Valuation per share, and Save. When running expense allocation report, system will take grant with EAD keyword into account and calculate period expense as Shares Outstanding * CF Value, even if grant is fully vested or canceled before report start date.

If you have grants that you forgot to cancel in the previous period and do that in the current period, in order to include it in the expenses calculation please specify keyword “EADC” in the Valuation Notes.

Please **note** that if you are using Expense Details table **do not** change allocation methods (Straight Line to Plain Straight Line or vice versa) between report runs.

Additional report inputs are:

Granted From – To: if you want to include only grants with date within specific period, then specify it here. If you leave this empty, system will fill To date equal to report To date;

Type: choose only grants of specific option type;

Plans: select only records that belong to specific option plan. Multiple plan selection is possible;

Omit RS: exclude restricted stock from the report;

Only RS: only include restricted stock in the report;

Include Vested Outstanding: include all grants that have vested and outstanding shares as of report end date, even if they do not have period expense;

Include All: include all grants in the report;

Next three settings work only with Straight Line allocation method:

Use Vest From Date: if checked system will use Vest From Date as a start date instead of grant date. This affects total number of days until full vest date, and therefore expense calculation.

Use Unamortized: If checked, system will calculate expenses based on unamortized expense from report start date to full vest date. If cleared, system will use total expense amount and number of days in the reporting period divided by the total days of vesting.

Prefer Min Vested: If checked, system will calculate minimal expense as of latest vest date within reporting period to be proportional to the shares vested as of that date, and then will calculate expenses based on straight line from that date to the report end date. It may report \$0 period expense if there were no shares vested within the reporting period, but total amortized amount as of report end date is at least proportional to the number of shares vested as of report end date.

Tax Rate field, if specified as report input or at each grant User Data 4 field, will be applied to Net Period Expense and added to Export only.

Each report row contains: option **id**, option **date**, **optionee name**, number of **shares granted**, **unvested outstanding**, and **outstanding**, **total valuation** amount, **inherited amount**, **prior amortized** expense amount, **unamortized expense** amount, **adjustment date**, adjustment **reason**, **period expense** amount, **actual expense** amount, **carry forward** amount, **expense adjustment** amount, and **net period expense amount**.

Total Valuation amount incorporates Unvested Forfeiture Rate as specified in Forecast record used for the option valuation.

Inherited Amount (options created as a result of repricing only): equal to Carry Forward amount of parent (repriced) option. If you do not want Inherited Amount, please specify keyword "NIA" in the Valuation Notes field.

Prior Amortized: expense amount already amortized before reporting period start date (from grant date).

Unamortized Expense: amount to be amortized after reporting period end date (until Last Vest Date).



Period Expense: grant's expense allocation amount within the reporting period.

Actual Expense (options canceled manually or by optionee termination or vested inside the reporting period): corrected Amortized Expense amount (at reporting period end date) as a result of cancellation or vesting. For certain type of grants there is no reverse back of amortized amounts if grant is canceled. Please specify keyword "NEA" in the grant Valuation Notes to achieve this.

Expense Adjustment amount: Prior Amortized plus Period Expense minus Actual Expense. Negative amount means system will add expenses to the previously calculated amount.

Resulting **Net Period Expense** amount is Period Expense amount minus Expense Adjustment amount. **This is the amount to report/use as your period expense.**

Records are sorted by option id.

If you want to group by Custom Data field 1 or 2, which may be your division or department code, and to effectively group expenses per your company divisions / departments, then you may click on  button that shows your Custom Data 1 or 2 labels. After that, please press the **Preview** button .


When you press sort by Custom Data field 2 for the first time system will sort by Custom Data 2 field only. If you press it for the second time you will get records sorted and grouped by Custom Data field 1 and then Custom Data field 2.


There is a trailing grand summary report part, showing totals for: number of shares granted, valuation, inherited amount, prior amortized expense, unamortized expense, period expense, carry forward amount, actual expense, and expense adjustment amount.

Net Expense Allocated amount is a sum of Period Expenses minus sum of Expense Adjustments.

Report format is *Letter*, orientation is *Landscape*.

Report subtitle reflects report parameters you specified.

Press the **Preview** button  to see how the report will look printed on paper. You can browse through the report pages using the **book tool**. Press the **Continue** button to exit from the preview mode.

Press the **Print** button  to print this report. Print dialog will be shown, allowing you to select: printer, change its properties, mark if you want to print in the file, define print range (all pages or page subset), define page numbering starting page, select number of copies and collate settings.

Press the **Jump To Record List** button  if you want to filter records. After you finish, please press the **Back** button to return to this report.

You can browse through the record list using the record navigation buttons: go to previous, next, first and last record in the current found set.

Press the **Jump Back** button  to close this report.

EXPENSE ALLOCATION

From 9/1/1999 to 8/31/2000
 Black-Scholes Single and Binomial valuation models
 Valuation number: 1; Allocation method: Ratable

Acme Company, Inc.
 ID: 12-126
 Street name Goes Here
 City, State, Country, ZIP

| <u>Option ID / Date</u> | <u>Optionee</u> | <u>Shares Granted</u> | <u>Total Valuation / Inherited Amount</u> | <u>Prior Amortized</u> | <u>Unamortized Expense</u> | <u>Cancel Date / Reason</u> | <u>Period Expense / Carry Forward</u> | <u>Actual Expense</u> | <u>Expense Adjustment</u> |
|-----------------------------|-------------------------|---------------------------|---|----------------------------|--------------------------------|---------------------------------|---|---------------------------|-------------------------------|
| Plan 99A - 1 5/ 1/1999 | Young, Tom, D. | 1,500 | \$2,270.10 \$0.00 | \$189.18 | \$1,512.88 | | \$568.04 \$0.00 | \$0.00 | \$0.00 |
| Plan 99A - 2 5/ 1/1999 | Smith, John, Z. | 2,000 | \$3,247.80 \$0.00 | \$270.65 | \$2,164.46 | | \$812.69 \$0.00 | \$0.00 | \$0.00 |
| Plan 99A - 3 5/ 1/1999 | Fisher, Anna, S. | 1,000 | \$1,513.40 \$0.00 | \$126.12 | \$1,008.59 | | \$378.69 \$0.00 | \$0.00 | \$0.00 |
| Plan 99A - 4 5/ 1/1999 | Baker, Muriel, W. | 1,000 | \$1,655.90 \$0.00 | \$137.99 | \$1,103.56 | | \$414.35 \$0.00 | \$0.00 | \$0.00 |
| Plan 99A - 11 6/ 1/1999 | Eriesson, Frederick, G. | 1,000 | \$1,746.60 \$0.00 | \$1,746.60 | \$0.00 | | \$0.00 \$0.00 | \$0.00 | \$0.00 |
| Plan 99B - 6 10/ 1/1999 | Smith, John, Z. | 1,000 | \$1,819.40 \$0.00 | \$0.00 | \$0.00 | 12/12/1999 Repricing | \$89.48 \$1,729.92 | \$0.00 | \$0.00 |
| Plan 99B - 7 10/22/1999 | Eriesson, Frederick, G. | 1,000 | \$2,545.10 \$0.00 | \$0.00 | \$1,999.22 | | \$545.88 \$0.00 | \$0.00 | \$0.00 |
| Plan 99A - 21 11/ 1/1999 | Eriesson, Frederick, G. | 2,500 | \$4,300.25 \$0.00 | \$0.00 | \$3,407.30 | | \$892.95 \$0.00 | \$0.00 | \$0.00 |
| Plan 99B - 8 12/17/1999 | Smith, John, Z. | 900 | \$3,497.49 \$1,729.92 | \$0.00 | \$4,429.97 | | \$797.44 \$0.00 | \$0.00 | \$0.00 |
| Plan 99A - 9 12/31/1999 | Baker, Muriel, W. | 2,500 | \$12,072.75 \$0.00 | \$0.00 | \$8,048.50 | | \$4,024.25 \$0.00 | \$0.00 | \$0.00 |
| Plan 99C - 14 5/31/2000 | Fisher, Anna, S. | 1,000 | \$6,241.30 \$0.00 | \$0.00 | \$2,727.36 | | \$3,513.94 \$0.00 | \$0.00 | \$0.00 |
| Plan 99C - 15 5/31/2000 | Fisher, Anna, S. | 1,000 | \$4,630.60 \$0.00 | \$0.00 | \$2,023.51 | | \$2,607.09 \$0.00 | \$0.00 | \$0.00 |
| Plan 99C - 16 6/ 1/2000 | Fisher, Anna, S. | 500 | \$2,943.20 \$0.00 | \$0.00 | \$1,288.15 | | \$1,655.05 \$0.00 | \$0.00 | \$0.00 |
| SUMMARY | | 16,900 | \$48,483.89 | \$2,470.54 | \$29,713.50 | | \$16,299.85 | \$0.00 | \$0.00 |
| Net Expense Allocated | \$16,299.85 | | \$1,729.92 | | | | \$1,729.92 | | |

Figure 86 – Expense Allocation BS Single/Binomial – Ratable method

You may press the **Export** button to export report data. Default export order is:

Date, Option ID, Employee ID, Employee Name, Total Shares, Outstanding Shares, Total Valuation, Inherited Amount, Prior Amortized Expense, Unamortized Expense, Period Expense, Carry Forward Amount, Actual Expense, Expense Adjustment, Net Period Expense, Adjustment Date, Adjustment Reason, and User Data.

It is easy to add or remove fields to export – simply select it on the left pane and press the **>>Move>>** button.

Records are initially sorted by **Option ID**.

If you need different sort order, use the Sort item from the Records menu.

If any of sort by Custom field buttons are pressed before Export button system will ask if you want summary only info, or detailed export.

If you switch to Unamortized report following information is shown: option **id**, option **date**, **optionee name**, number of **shares granted** and **outstanding**, **unamortized expense** amount, **remaining years** to vest, and future **expense** amounts for up to ten periods.

EXPENSE ALLOCATION

From 9/1/1999 to 8/31/2000

Black-Scholes Single and Binomial valuation models

Valuation number: 1; Allocation method: Straight Line

Acme Company, Inc.

ID: 12-126

Street name Goes Here

City, State, Country, ZIP

| <u>Option ID / Date</u> | <u>Optionee</u> | <u>Shares Granted</u> | <u>Total Valuation / Inherited Amount</u> | <u>Prior Amortized</u> | <u>Unamortized Expense</u> | <u>Cancel Date / Reason</u> | <u>Period Expense / Carry Forward</u> | <u>Actual Expense</u> | <u>Expense Adjustment</u> |
|-----------------------------|-------------------------|---------------------------|---|----------------------------|--------------------------------|---------------------------------|---|---------------------------|-------------------------------|
| Plan 99A - 1 5/ 1/1999 | Young, Tom, D. | 1,500 | \$2,270.10 \$0.00 | \$191.12 | \$1,511.85 | | \$567.14 \$0.00 | \$0.00 | \$0.00 |
| Plan 99A - 2 5/ 1/1999 | Smith, John, Z. | 2,000 | \$3,247.80 \$0.00 | \$273.43 | \$2,162.98 | | \$811.39 \$0.00 | \$0.00 | \$0.00 |
| Plan 99A - 3 5/ 1/1999 | Fisher, Anna, S. | 1,000 | \$1,513.40 \$0.00 | \$127.41 | \$1,007.90 | | \$378.09 \$0.00 | \$0.00 | \$0.00 |
| Plan 99A - 4 5/ 1/1999 | Baker, Muriel, W. | 1,000 | \$1,655.90 \$0.00 | \$139.41 | \$1,102.80 | | \$413.69 \$0.00 | \$0.00 | \$0.00 |
| Plan 99A - 11 6/ 1/1999 | Ericsson, Frederick, G. | 1,000 | \$1,746.60 \$0.00 | \$1,746.60 | \$0.00 | | \$0.00 \$0.00 | \$0.00 | \$0.00 |
| Plan 99B - 6 10/ 1/1999 | Smith, John, Z. | 1,000 | \$1,819.40 \$0.00 | \$0.00 | \$0.00 | 12/12/1999 Repricing | \$89.66 \$1,729.74 | \$0.00 | \$0.00 |
| Plan 99B - 7 10/22/1999 | Ericsson, Frederick, G. | 1,000 | \$2,545.10 \$0.00 | \$0.00 | \$1,998.10 | | \$547.00 \$0.00 | \$0.00 | \$0.00 |
| Plan 99A - 21 11/ 1/1999 | Ericsson, Frederick, G. | 2,500 | \$4,300.25 \$0.00 | \$0.00 | \$3,405.47 | | \$894.78 \$0.00 | \$0.00 | \$0.00 |
| Plan 99B - 8 12/17/1999 | Smith, John, Z. | 900 | \$3,497.49 \$1,729.74 | \$0.00 | \$4,252.79 | | \$974.44 \$0.00 | \$0.00 | \$0.00 |
| Plan 99A - 9 12/31/1999 | Baker, Muriel, W. | 2,500 | \$12,072.75 \$0.00 | \$0.00 | \$8,042.99 | | \$4,029.76 \$0.00 | \$0.00 | \$0.00 |
| Plan 99C - 14 5/31/2000 | Fisher, Anna, S. | 1,000 | \$6,241.30 \$0.00 | \$0.00 | \$5,454.73 | | \$786.57 \$0.00 | \$0.00 | \$0.00 |
| Plan 99C - 15 5/31/2000 | Fisher, Anna, S. | 1,000 | \$4,630.60 \$0.00 | \$0.00 | \$4,047.02 | | \$583.58 \$0.00 | \$0.00 | \$0.00 |
| Plan 99C - 16 6/ 1/2000 | Fisher, Anna, S. | 500 | \$2,943.20 \$0.00 | \$0.00 | \$2,576.31 | | \$366.89 \$0.00 | \$0.00 | \$0.00 |
| SUMMARY | | 16,900 | \$48,483.89 | \$2,477.97 | \$35,562.94 | | \$10,442.99 | \$0.00 | \$0.00 |
| Net Expense Allocated | | \$10,442.99 | \$1,729.74 | | | | \$1,729.74 | | |

Figure 87 - Expense Allocation BS Single/Binomial – Plain Straight Line method

Expense Allocation BS Multiple


Report calculates expense amounts allocated with option records when Black-Scholes Multiple valuation model is used. System divides option records into its vesting periods and treats them as separate grants in the expense allocation calculations.

You have to specify: reporting period, by entering range of dates (**From** and **To**), valuation number (**1..5**, since there are up to five valuation parameters stored with option record), and allocation **method** from the drop-down list (Fin28 or Normal).

If check-box **Use Expense Details for BS Multiple** is selected, system will use expense amounts previously stored in the Option Expense Details table and sum it in the Prior Amortized column.

If check-box **Read Expenses** is selected, system will read stored expense amounts from the Expense Details table for the selected reporting period. Please make sure you are reading data for the reporting period that are saved in the database. For example, if you are saving expenses quarterly please use same dates for reading expenses, or use from and to dates that exist in the Expense Details table.

If check-box **Save Expenses** is selected, system will store expense amounts for the selected reporting period in the Option Expense Details table.

Press the **Find** button  to generate the report. System finds option records granted before reporting period's end date, and valued using the Black-Scholes Multiple valuation model. Option records canceled before reporting period's start date are omitted.

Note: Please specify right valuation number (that corresponds to valuation model used).

There are two allocation methods: **Fin28** and **Normal**.

Fin28 method calculates expense allocations based on the Vest From date. It allocates most of the expenses in the early stages of grant's vesting and takes future increments into calculation. **Normal** allocation method is based on the Grant date. It divides total period's valuation amount evenly across the whole vesting period and does not include future increments into calculation.

Additional report inputs are:

Granted From – To: if you want to include only grants with date within specific period, then specify it here. If you leave this empty, system will fill To date equal to report To date;

Type: choose only grants of specific option type;

Plans: select only records that belong to specific option plan. Multiple plan selection is possible;

Omit RS: exclude restricted stock from the report;

Only RS: only include restricted stock in the report;

Use Vest From Date: if checked system will use Vest From Date as a start date instead of grant date. This affects total number of days until full vest date, and therefore expense calculation.

Use Unamortized: If checked, system will calculate expenses based on unamortized expense from report start date to full vest date. If cleared, system will use total expense amount and number of days in the reporting period divided by the total days of vesting.

Include Vested Outstanding: include all grants that have vested and outstanding shares as of report end date, even if they do not have period expense.

Include All: include all grants in the report.

Tax Rate field, if specified as report input or at each grant User Data 4 field, will be applied to Net Period Expense and added to Export only.

Each report row contains: option **id**, option **date**, **optionee name**, number of **shares granted** and **outstanding**, **total valuation** amount, **inherited amount**, **prior amortized** expense amount, **unamortized expense** amount, **adjustment date**, adjustment **reason**, **period expense** amount, **actual expense** amount, **carry forward** amount, **expense adjustment** amount, and **net period expense** amount.

Total Valuation amount incorporates Unvested Forfeiture Rate as specified in Forecast record used for the option valuation.

Inherited Amount (options created as a result of repricing only): equal to Carry Forward amount of parent (repriced) option. Please note that newly created option currently must have at least the same number of vesting periods as its parent option. Otherwise, system will not calculate inherited amounts correctly. If you do not want Inherited Amount, please specify keyword "NIA" in the Valuation Notes field.

Prior Amortized: expense amount already amortized before reporting period start date (from grant date).

Unamortized Expense: amount to be amortized after reporting period end date (until period Vest Date).



Period Expense: grant's expense allocation amount within the reporting period.

Actual Expense (options canceled manually or by optionee's termination only): corrected Amortized Expense amount (at reporting period end date) as a result of cancellation.

Expense Adjustment amount: Prior Amortized plus Period Expense minus Actual Expense. Negative amount means system will add expenses to the previously calculated amount.

Resulting **Net Period Expense** amount is Period Expense amount minus Expense Adjustment amount. **This is the amount to report/use as your period expense.**

Records are sorted by option id.

If you want to group by Custom Data field 1 or 2, which may be your division or department code, and to effectively group expenses per your company divisions/departments, then you may click on  button that shows your Custom Data 1 or 2 label. After that, please press the **Preview** button .


When you press sort by Custom Data field 2 for the first time system will sort by Custom Data 2 field only. If you press it for the second time you will get records sorted and grouped by Custom Data field 1 and then Custom Data field 2.


There is a trailing grand summary report part, showing totals for: number of shares granted, valuation, inherited amount, prior amortized expense, unamortized expense, period expense, carry forward amount, actual expense, and expense adjustment amount.

Net Expense Allocated amount is a sum of Period Expenses minus sum of Expense Adjustments.

Report format is *Letter*, orientation is *Landscape*.

Report subtitle reflects report parameters you specified.

Press the **Preview** button  to see how the report will look printed on paper. You can browse through the report pages using the **book tool**. Press the **Continue** button to exit from the preview mode.

Press the **Print** button  to print this report. Print dialog will be shown, allowing you to select: printer, change its properties, mark if you want to print in the file, define print range (all pages or page subset), define page numbering starting page, select number of copies and collate settings.

Press the **Jump To Record List** button  if you want to filter records. After you finish, please press the **Back** button to return to this report.

You can browse through the record list using the record navigation buttons: go to previous, next, first and last record in the current found set.

Press the **Jump Back** button  to close this report.

You may press the **Export** button to export report data. Default export order is:
Date, Option ID, Employee ID, Employee Name, Total Shares, Shares Outstanding, Total Valuation, Inherited Amount, Prior Amortized Expense, Unamortized Expense, Period Expense, Carry Forward Amount, Actual Expense, Expense Adjustment, Net Period Expense, Adjustment Date, Adjustment Reason (if exist), **Unamortized** related data, and **User Data**.

It is easy to add or remove fields to export – simply select it on the left pane and press the >>**Move**>> button.

Records are initially sorted by **Option ID**.

If you need different sort order, use the Sort item from the Records menu.

If any of sort by Custom field buttons are pressed before Export button system will ask if you want summary only info, or detailed export.

If you switch to Unamortized report following information is shown: option **id**, option **date**, **optionee name**, number of **shares granted** and **outstanding**, **unamortized expense** amount, **remaining years** to vest, and future **expense** amounts for up to ten periods.

EXPENSE ALLOCATION

From 10/1/2001 to 11/1/2001

Black-Scholes Multiple valuation model

Valuation number: 1; Fin28 method

Acme Company, Inc.

ID: 12-126

Street name Goes Here

City, State, Country, ZIP

| Option ID / Date / Optionee | Shares Granted | Valuation | Inherited Amount | Prior Amortized | Unamortized Expense | Cancel Date / Reason | Period Expense | Carry Forward | Actual Expense | Expense Adjustment |
|-----------------------------|----------------|-------------|------------------|-----------------|---------------------|----------------------|----------------|---------------|----------------|--------------------|
| Plan 99A - 5 | 1,250 | \$1,891.75 | \$0.00 | \$1,891.75 | \$0.00 | | \$0.00 | \$0.00 | \$0.00 | \$0.00 |
| 5/ 1/1999 | 1,250 | \$2,009.13 | \$0.00 | \$2,009.13 | \$0.00 | | \$0.00 | \$0.00 | \$0.00 | \$0.00 |
| Eriesson, Frederick, G. | 1,250 | \$2,104.25 | \$0.00 | \$1,695.30 | \$347.51 | | \$61.44 | \$0.00 | \$0.00 | \$0.00 |
| | 1,250 | \$2,180.75 | \$0.00 | \$1,318.00 | \$814.98 | | \$47.77 | \$0.00 | \$0.00 | \$0.00 |
| | 5,000 | \$8,185.88 | \$0.00 | \$6,914.18 | \$1,162.49 | | \$109.21 | \$0.00 | \$0.00 | \$0.00 |
| Plan 99B - 18 | 500 | \$3,371.05 | \$0.00 | \$3,371.05 | \$0.00 | | \$0.00 | \$0.00 | \$0.00 | \$0.00 |
| 11/16/2000 | 250 | \$1,805.45 | \$0.00 | \$1,572.97 | \$74.20 | | \$158.28 | \$0.00 | \$0.00 | \$0.00 |
| Eriesson, Frederick, G. | 250 | \$1,903.13 | \$0.00 | \$829.03 | \$990.67 | | \$83.43 | \$0.00 | \$0.00 | \$0.00 |
| | 1,000 | \$7,079.63 | \$0.00 | \$5,773.05 | \$1,064.87 | | \$241.71 | \$0.00 | \$0.00 | \$0.00 |
| SUMMARY | 6,000 | \$15,265.51 | \$0.00 | \$12,687.23 | \$2,227.36 | | \$350.92 | \$0.00 | \$0.00 | \$0.00 |
| Net Expense Allocated | | \$350.92 | | | | | | | | |

Figure 88 - Expense Allocation Black-Scholes Multiple Valuation Model – Fin28

EXPENSE ALLOCATION

From 10/1/2001 to 11/1/2001

Black-Scholes Multiple valuation model

Valuation number: 1; Normal method

Acme Company, Inc.

ID: 12-126

Street name Goes Here

City, State, Country, ZIP


| <u>Option ID / Date / Optionee</u> | <u>Shares Granted</u> | <u>Valuation</u> | <u>Inherited Amount</u> | <u>Prior Amortized</u> | <u>Unamortized Expense</u> | <u>Cancel Date / Reason</u> | <u>Period Expense</u> | <u>Carry Forward</u> | <u>Actual Expense</u> | <u>Expense Adjustment</u> |
|--|---------------------------|------------------|-----------------------------|----------------------------|--------------------------------|---------------------------------|---------------------------|--------------------------|---------------------------|-------------------------------|
| Plan 99A - 5 | 1,250 | \$1,891.75 | \$0.00 | \$1,891.75 | \$0.00 | | \$0.00 | \$0.00 | \$0.00 | \$0.00 |
| 5/ 1/1999 | 1,250 | \$2,009.13 | \$0.00 | \$2,009.13 | \$0.00 | | \$0.00 | \$0.00 | \$0.00 | \$0.00 |
| Eriesson, Frederick, G. | 1,250 | \$2,104.25 | \$0.00 | \$1,697.22 | \$347.51 | | \$59.52 | \$0.00 | \$0.00 | \$0.00 |
| | 1,250 | \$2,180.75 | \$0.00 | \$1,319.50 | \$814.98 | | \$46.27 | \$0.00 | \$0.00 | \$0.00 |
| | 5,000 | \$8,185.88 | \$0.00 | \$6,917.60 | \$1,162.49 | | \$105.79 | \$0.00 | \$0.00 | \$0.00 |
| Plan 99B - 18 | 500 | \$3,371.05 | \$0.00 | \$3,371.05 | \$0.00 | | \$0.00 | \$0.00 | \$0.00 | \$0.00 |
| 11/16/2000 | 250 | \$1,805.45 | \$0.00 | \$1,577.91 | \$74.20 | | \$153.34 | \$0.00 | \$0.00 | \$0.00 |
| Eriesson, Frederick, G. | 250 | \$1,903.13 | \$0.00 | \$831.64 | \$990.67 | | \$80.82 | \$0.00 | \$0.00 | \$0.00 |
| | 1,000 | \$7,079.63 | \$0.00 | \$5,780.60 | \$1,064.87 | | \$234.16 | \$0.00 | \$0.00 | \$0.00 |
| SUMMARY | 6,000 | \$15,265.51 | \$0.00 | \$12,698.20 | \$2,227.36 | | \$339.95 | \$0.00 | \$0.00 | \$0.00 |
| Net Expense Allocated | | \$339.95 | | | | | | | | |

Figure 89 – Expense Allocation Black-Scholes Multiple Valuation Model – Normal

Expense Allocation APB25/Restricted Stock

Report calculates expense amounts allocated with discounted stock option records using the APB25 intrinsic value method on the grant date.

You have to specify: reporting period, by entering range of dates (**From** and **To**), and allocation **method** from the drop-down list (Fin28, Ratable, or Straight Line). Additionally, you may specify certain option **plan** from the drop-down list. You can choose to exclude Restricted Stock from reporting, or you can show only Restricted Stock, depending on the status of appropriate check-boxes.

Press the **Find** button  to generate the report. System finds option records granted before reporting period's end date, with option price less than a fair market value at grant date (discounted options). Option records canceled before reporting period's start date are omitted.

There are three allocation methods: **Fin28**, **Ratable**, and **Straight Line**.

Fin28 method calculates expense allocations over the grant increments. Number of increments depends of vesting schedule used (for Monthly vest type it is 12 increments per year, for example). Fin28 calculation allocates most of the expenses in the early stages of grant's vesting. It takes future increments into calculation, while two other allocation methods do not. **Ratable** method takes particular number of shares per vesting period into account, while **Straight Line** method divides total compensation amount evenly across the whole vesting period.

Each report row contains: option **id**, option **date**, option **type**, **optionee name**, number of **shares granted** and **outstanding** at reporting period end date, **total compensation** amount, **compensation per share**, **amortized expense** amount, **unamortized expense** amount, **period expense** amount, **cancel date**, cancel **reason**, **actual expense** amount, and **expense adjustment** amount.

Total Compensation is Total Fair Value of shares at grant date minus Total Option Price.

Amortized Expense: expense amount amortized at reporting period end date.

Unamortized Expense: amount to be amortized after reporting period end date (until Last Vest Date).

Period Expense: grant's expense allocation amount within the reporting period.

Actual Expense (options canceled manually or by optionee's termination only): corrected Amortized Expense amount as a result of cancellation.

Expense Adjustment amount: Amortized Expense minus Actual Expense.

Records are sorted by option date and then by option id.


There is a trailing grand summary report part, showing totals for: number of shares granted/outstanding, compensation, amortized expense, unamortized expense, period expense, actual expense, and expense adjustment amount.


Net Expense Allocated amount is a sum of Period Expenses minus sum of Expense Adjustments. Use this result as an input for the set of seven weighted option outstanding reports (Dilution Summary, Fully Diluted Options Outstanding, Primary Diluted Options Outstanding, NQ Tax Benefit/Fully Diluted, NQ Tax Benefit/Primary Diluted, Anti-Dilution/Fully Diluted, Anti-Dilution/Primary Diluted).

Press the **Export** button if you want to export report data. Exported data can be used in other programs, like Microsoft Excel, to present it graphically.

Report format is *Letter*, orientation is *Landscape*.

Report subtitle reflects report parameters you specified.

Press the **Preview** button  to see how the report will look printed on paper. You can browse through the report pages using the **book tool**. Press the **Continue** button to exit from the preview mode.

Press the **Print** button  to print this report. Print dialog will be shown, allowing you to select: printer, change its properties, mark if you want to print in the file, define print range (all pages or page subset), define page numbering starting page, select number of copies and collate settings.

Press the **Jump To Record List** button  if you want to filter records. After you finish, please press the **Back** button to return to this report.

You can browse through the record list using the record navigation buttons: go to previous, next, first and last record in the current found set.

Press the **Jump Back** button  to close this report.

EXPENSE ALLOCATION APB25

From 10/1/2003 to 10/31/2003
Allocation method: Fin28



| <u>Option ID / Date, Type</u> | <u>Optionee</u> | <u>Shares Granted / Outstanding</u> | <u>Compensation/ Comp per share</u> | <u>Amortized Expense</u> | <u>Unamortized Expense</u> | <u>Period Expense</u> | <u>Cancel Date / Reason</u> | <u>Actual Expense</u> | <u>Expense Adjustment</u> |
|-------------------------------|-----------------|---|---|------------------------------|--------------------------------|---------------------------|---------------------------------|---------------------------|-------------------------------|
| Plan 99A - 23 | Young, Tom, D. | 2,000 | \$20,512.40 | \$12,989.60 | \$7,522.80 | \$574.52 | | | |
| 9/14/2002 DSO | | 2,000 | \$10.2562 | | | | | | |
| SUMMARY | | 2,000 | \$20,512.40 | \$12,989.60 | \$7,522.80 | \$574.52 | | \$0.00 | \$0.00 |
| Net Expense Allocated | \$574.52 | 2,000 | | | | | | | |

Figure 90 – Expense Allocation APB25 – Fin28 method

EXPENSE ALLOCATION APB25

From 10/1/2003 to 10/31/2003
Allocation method: Ratable

| <u>Option ID / Date, Type</u> | <u>Optionee</u> | <u>Shares Granted / Outstanding</u> | <u>Compensation/ Comp per share</u> | <u>Amortized Expense</u> | <u>Unamortized Expense</u> | <u>Period Expense</u> | <u>Cancel Date / Reason</u> | <u>Actual Expense</u> | <u>Expense Adjustment</u> |
|-------------------------------|-----------------|---|---|------------------------------|--------------------------------|---------------------------|---------------------------------|---------------------------|-------------------------------|
| Plan 99A - 23 | Young, Tom, D. | 2,000 | \$20,512.40 | \$5,786.63 | \$14,725.77 | \$434.35 | | | |
| 9/14/2002 DSO | | 2,000 | \$10.2562 | | | | | | |
| SUMMARY | | 2,000 | \$20,512.40 | \$5,786.63 | \$14,725.77 | \$434.35 | | \$0.00 | \$0.00 |
| Net Expense Allocated | \$434.35 | 2,000 | | | | | | | |

Figure 91 - Expense Allocation APB25 – Ratable method

EXPENSE ALLOCATION APB25

From 10/1/2003 to 10/31/2003
Allocation method: Straight Line

| <u>Option ID / Date, Type</u> | <u>Optionee</u> | <u>Shares Granted / Outstanding</u> | <u>Compensation/ Comp per share</u> | <u>Amortized Expense</u> | <u>Unamortized Expense</u> | <u>Period Expense</u> | <u>Cancel Date / Reason</u> | <u>Actual Expense</u> | <u>Expense Adjustment</u> |
|-------------------------------|-----------------|---|---|------------------------------|--------------------------------|---------------------------|---------------------------------|---------------------------|-------------------------------|
| Plan 99A - 23 | Young, Tom, D. | 2,000 | \$20,512.40 | \$5,784.47 | \$14,727.93 | \$421.20 | | | |
| 9/14/2002 DSO | | 2,000 | \$10.2562 | | | | | | |
| SUMMARY | | 2,000 | \$20,512.40 | \$5,784.47 | \$14,727.93 | \$421.20 | | \$0.00 | \$0.00 |
| Net Expense Allocated | \$421.20 | 2,000 | | | | | | | |

Figure 92 - Expense Allocation APB25 – Straight Line method

In the example above vesting used is: 500 shares on vest date after one year, 500 shares monthly in the second year, 500 shares weekly in the third year, and 500 shares daily in the last year.


Options By Price

Report shows options that have outstanding and exercisable shares as of specified date, with remaining life in years, grouped by option prices.

You have to enter **as of** date.

With a radio button you can specify if you want to run it for all outstanding options or for those outstanding vested as of end date plus expected to vest (ETV) using forfeiture rates specified in appropriate forecast record.

If you want to include only specific option plans, please select them from the list. By default that list is empty and system will use all option plans.

Press the **Find** button  to generate the report.


Each option row consists of: optionee **name** and **id**, option **id**, **type** and **date**, number of **shares** granted, outstanding and exercisable, **expiration date** and calculated **remaining option life** in years (with two decimal places).


Records are sorted by optionee name and then by option id.

There is a trailing grand summary report part, showing totals for number of shares granted, outstanding, exercisable, and average remaining life.

Report format is *Letter*, orientation is *Landscape*.

Report subtitle reflects report parameter you specified.

Press the **Preview** button  to see how the report will look printed on paper. You can browse through the report pages using the **book tool**. Press the Continue button to exit from the preview mode.

Press the **Print** button  to print this report. Print dialog will be shown, allowing you to select: printer, change its properties, mark if you want to print in the file, define print range (all pages or page subset), define page numbering starting page, select number of copies and collate settings.

Press the **Jump To Record List** button  if you want to filter records. After you finish, please press the **Back** button to return to this report.

You can browse through the record list using the record navigation buttons: go to previous, next, first and last record in the current found set.

Press the **Jump Back** button  to close this report.

OPTIONS BY PRICE

As of: 12/31/2000

Acme Company, Inc.
 ID: 12-126
 Street Name Goes Here
 City, State, Zip


| Price \$6.0000 | | | | | | | | | |
|-------------------------|---------------|---------------|-------|----------|----------------|--------------------|--------------------|-------------|------------------------|
| Optionee | ID | Option ID | Type | Date | Granted Shares | Outstanding Shares | Exercisable Shares | Expire Date | Remaining Life (years) |
| Ericsson, Frederick, G. | AA005 | Plan 99A - 11 | NQA | 6/1/1999 | 1,000 | 500 | 500 | 6/1/1999 | 8.19 |
| Price \$6.0000 | Total options | 1 | Total | | 1,000 | 500 | 500 | avg. | 8.19 |
| Price \$5.0000 | | | | | | | | | |
| Optionee | ID | Option ID | Type | Date | Granted Shares | Outstanding Shares | Exercisable Shares | Expire Date | Remaining Life (years) |
| Ericsson, Frederick, G. | AA005 | Plan 99A - 5 | ISO | 5/1/1999 | 5,000 | 4,750 | 1,000 | 5/1/1999 | 8.10 |
| Price \$5.0000 | Total options | 1 | Total | | 5,000 | 4,750 | 1,000 | avg. | 8.10 |
| Total options | | 2 | Total | | 6,000 | 5,250 | 1,500 | avg. | 8.15 |

Figure 93 – Options by Price

Exercisable Gain

Report shows options that have outstanding and exercisable shares, with potential gain if fully exercised as of specified date.



You have to specify **as of** date. If you do not specify fair market **value** system will use stored value on specified date from the Prices database, if exists.

Press the **Find** button  to generate the report.

Each option row consists of: **option id**, **optionee name**, **date**, number of **granted shares**, **grant price**, **grant value** of shares, number of **outstanding shares**, **market value** of shares as of date, and **total gain** if exercised. Only enabled grants are shown.

Please **note** that if you leave **process exercisable only** check-box marked, system will use only exercisable outstanding shares for the *total gain if exercised* calculation. If you clear this check-box, system will use all outstanding shares as of date. Since this is *as of* date report, system will process only exercises recorded as of specified date (reflects to number of shares outstanding/exercisable).


Records are sorted by option id.


Press the **Name**  or **Date**  button to sort records by optionee name or option date, respectively.

There is a trailing grand summary report part, showing totals for number of shares granted and outstanding, and totals for grant value of shares, market value of shares, and total gain if exercised.

Report format is *Letter*, orientation is *Landscape*.


Report subtitle reflects report parameters you specified.

Press the **Preview** button  to see how the report will look printed on paper. You can browse through the report pages using the **book tool**. Press the Continue button to exit from the preview mode.

Press the **Print** button  to print this report. Print dialog will be shown, allowing you to select: printer, change its properties, mark if you want to print in the file, define print range (all pages or page subset), define page numbering starting page, select number of copies and collate settings.

Press the **Jump To Record List** button  if you want to filter records. After you finish, please press the **Back** button to return to this report.

You can browse through the record list using the record navigation buttons: go to previous, next, first and last record in the current found set.

Press the **Jump Back** button  to close this report.

EXERCISABLE GAIN

As Of Date: 11/16/2004 FMV: \$40,5489
Outstanding Exercisable



| <u>Option ID</u> | <u>Optionee</u> | <u>Date</u> | <u>Granted Shares</u> | <u>Grant Price</u> | <u>Grant Value of Shares</u> | <u>Outstanding Shares</u> | <u>Market Value of Shares</u> | <u>Total Gain If Exercised</u> |
|----------------------|-------------------------|--------------|-----------------------|--------------------|------------------------------|---------------------------|-------------------------------|--------------------------------|
| Plan 99A - 1 | Young, Tom, D. | 5/1/1999 | 1,500 | \$5.0000 | \$7,500.00 | 1,500 | \$60,823.35 | \$53,323.35 |
| Plan 99A - 10 | Young, Tom, D. | 12/31/1999 | 5,000 | \$15.4500 | \$77,250.00 | 5,000 | \$202,744.50 | \$125,494.50 |
| Plan 99A - 11 | Ericsson, Frederick, G. | 6/1/1999 | 1,000 | \$6.0000 | \$3,000.00 | 500 | \$20,274.45 | \$17,274.45 |
| Plan 99A - 2 | Smith, John, Z. | 5/1/1999 | 2,000 | \$5.0000 | \$10,000.00 | 2,000 | \$81,097.80 | \$71,097.80 |
| Plan 99A - 21 | Ericsson, Frederick, G. | 11/1/1999 | 2,500 | \$6.5000 | \$13,000.00 | 2,000 | \$81,097.80 | \$68,097.80 |
| Plan 99A - 3 | Fisher, Anna, S. | 5/1/1999 | 1,000 | \$5.0000 | \$4,950.00 | 990 | \$40,143.41 | \$35,193.41 |
| Plan 99A - 4 | Baker, Muriel, W. | 5/1/1999 | 1,000 | \$5.0000 | \$5,000.00 | 1,000 | \$40,548.90 | \$35,548.90 |
| Plan 99A - 5 | Ericsson, Frederick, G. | 5/1/1999 | 5,000 | \$5.0000 | \$25,000.00 | 5,000 | \$202,744.50 | \$177,744.50 |
| Plan 99A - 9 | Baker, Muriel, W. | 12/31/1999 | 2,500 | \$15.4500 | \$38,625.00 | 2,500 | \$101,372.25 | \$62,747.25 |
| Plan 99B - 18 | Ericsson, Frederick, G. | 11/16/2000 | 1,000 | \$23.1050 | \$23,105.00 | 1,000 | \$40,548.90 | \$17,443.90 |
| Plan 99B - 7 | Ericsson, Frederick, G. | 10/22/1999 | 1,000 | \$7.0000 | \$7,000.00 | 1,000 | \$40,548.90 | \$33,548.90 |
| Plan 99B - 8 | Smith, John, Z. | 12/17/1999 | 900 | \$13.3500 | \$12,015.00 | 900 | \$36,494.01 | \$24,479.01 |
| Plan 99C - 14 | Fisher, Anna, S. | 5/31/2000 | 1,000 | \$17.4600 | \$14,317.20 | 820 | \$33,250.10 | \$18,932.90 |
| Plan 99C - 15 | Fisher, Anna, S. | 5/31/2000 | 1,000 | \$17.4600 | \$17,460.00 | 1,000 | \$40,548.90 | \$23,088.90 |
| Plan 99C - 16 | Fisher, Anna, S. | 6/1/2000 | 500 | \$17.5160 | \$8,758.00 | 500 | \$20,274.45 | \$11,516.45 |
| Total options | 15 | Total | 26,900 | | \$266,980.20 | 25,710 | \$1,042,512.22 | \$775,532.02 |

Figure 94 - Exercisable Gain

Aggregate Intrinsic Value

Report shows details behind Aggregate Intrinsic Value calculation for shares outstanding and exercisable from the Option Activity Summary report.

You have to specify **as of** date. If you do not specify fair market **value** system will use stored value on specified date from the Prices database, if exists. You may press **Value** label to set/review market value on specified date. Check the “Omit RSP” if you want to exclude Restricted Stocks from the report. Or, you can specify list of option types to include in the report, by typing in list of types delimited by spaces or commas.

If you want to include only specific option plans, please select them from the list by checking appropriate plans. By default (empty list) system will use all plans.

With a radio button you can specify if you want to run it for all outstanding options or for those outstanding vested as of end date plus expected to vest (ETV) using forfeiture rates specified in appropriate forecast record.



Press the **Find** button  to generate the report.

Each option row consists of: **option id**, **optionee name**, **date**, option **type**, number of **shares granted**, **price**, number of **shares outstanding**, **Aggregate Intrinsic Value of outstanding shares**, number of **shares exercisable**, and **Aggregate Intrinsic Value of exercisable shares**. Only enabled grants are shown.

Since this is *as of* date report, system will process only exercises recorded as of specified date (reflects to number of shares outstanding/exercisable).

Aggregate Intrinsic Value is a difference between “as of date” fair market value and option price, multiplied by the number of shares outstanding/exercisable.


Records are sorted by option id.


Press the **Name**  or **Date**  button to sort records by optionee name or option date, respectively.

There is a trailing grand summary report part, showing totals for number of shares granted, outstanding, exercisable, and total aggregate intrinsic values.

Report format is *Letter*, orientation is *Landscape*.

Report subtitle reflects report parameters you specified.

Press the **Preview** button  to see how the report will look printed on paper. You can browse through the report pages using the **book tool**. Press the Continue button to exit from the preview mode.

Press the **Print** button  to print this report. Print dialog will be shown, allowing you to select: printer, change its properties, mark if you want to print in the file, define print range (all pages or page subset), define page numbering starting page, select number of copies and collate settings.

Press the **Jump To Record List** button  if you want to filter records. After you finish, please press the **Back** button to return to this report.

You can browse through the record list using the record navigation buttons: go to previous, next, first and last record in the current found set.

Press the **Jump Back** button  to close this report.

Repurchasable Options

Report shows options with repurchasable shares (exercised minus unvested) as of specified date and grouped by optionees. It includes all the option records (not only alive ones) with option date less or equal to specified one.

You have to enter **as of** date.

Press the **Find** button  to generate the report.


Each option row consists of: option **id**, **type** and **date**, number of **shares repurchasable**, share **price** and **total price**.


Records are sorted by option id.


There are trailing summary report parts, before every new employee and grand summary, showing number of repurchasable options and totals for number of shares repurchasable and total price.

Report format is *Letter*, orientation is *Portrait*.

Report subtitle reflects report parameter you specified.

Press the **E-mail report** button  to send this report by e-mail, without printing it on paper. Report will be sent to all employees that have their e-mail addresses specified. Based on the system Preferences, e-mails can be sent with or without your confirmation (preview) in your default e-mail client.

Press the **Preview** button  to see how the report will look printed on paper. You can browse through the report pages using the **book tool**. Press the **Continue** button to exit from the preview mode.

Press the **Print** button  to print this report. Print dialog will be shown, allowing you to select: printer, change its properties, mark if you want to print in the file, define print range (all pages or page subset), define page numbering starting page, select number of copies and collate settings.

Press the **Jump To Record List** button  if you want to filter records. After you finish, please press the **Back** button to return to this report.

You can browse through the record list using the record navigation buttons: go to previous, next, first and last record in the current found set.

Press the **Jump Back** button  to close this report.

| Repurchasable Options | | | Acme Company, Inc. ID: 12-126 Street Name Goes Here City, State, Zip | | |
|-------------------------|------|-----------|---|----------|-------------|
| As of: 12/31/2000 | | | | | |
| Optionee | | | ID | | |
| Smith, John, Z. | | | AA002 | | |
| Option ID | Type | Date | Shares | Price | Total Price |
| Plan 99B - 6 | NQ | 10/1/1999 | 100 | \$6.2500 | \$625.00 |
| Repurchasable options 1 | | | 100 | | \$625.00 |
| Repurchasable options 1 | | | Total | 100 | \$625.00 |


Figure 95 – Repurchasable Options

Accruals

Report calculates accrual values for the stock appreciation rights.

You have to specify **as of** date and **ending fair market value**. If you leave FMV field empty, system will fill it from the prices table.

You may specify additional report parameters: **option plan**, by selecting one from the drop down list, and **grant type**. Default is set to Stock Appreciation Right (or you can simply enter SAR), and this will find only NQA and ISA grants.

Press the **Find** button  to generate the report. Only non-canceled and enabled grants will be found. System will ask you to specify if you want to process All exercises or only exercises recorded As Of date (for outstanding shares number calculation).

Records are sorted and grouped by option plan, then by option type. Inside the group, records are sorted by option Date and optionee Name.

Following grant data are shown: **option id**, **date**, **price**, calculated **compensation per share**, number of **shares granted**, for up to ten vesting periods, number of **shares outstanding**, calculated **total compensation** value, accrual **ratio**, and **accrual** value.


Compensation per share is a difference between ending FMV and option price.


Accrual ratio is calculated by dividing number of days between **As of date** and **option date**, and number of days between **vesting date** and **option date**. For vested shares ratio is 1.

There are trailing summary report parts, before every new option plan, showing totals for: number of shares granted, shares outstanding, total compensation, and accrual value.

Report format is *Letter*, orientation is *Landscape*.


Report subtitle reflects report parameters you specified.

Press the **Preview** button  to see how the report will look printed on paper. You can browse through the report pages using the **book tool**. Press the **Continue** button to exit from the preview mode.

Press the **Print** button  to print this report. Print dialog will be shown, allowing you to select: printer, change its properties, mark if you want to print in the file, define print range (all pages or page subset), define page numbering starting page, select number of copies and collate settings.

Press the **Jump To Record List** button  if you want to filter records. After you finish, please press the **Back** button to return to this report.

You can browse through the record list using the record navigation buttons: go to previous, next, first and last record in the current found set.

Press the **Jump Back** button  to close this report.

ACCRUALS

As of 2/1/2002
FMV: \$35.7486

Acme Company, Inc.
ID: 12-126
Street name Goes Here
City, State, Country, ZIP

Plan Plan 99A

Type NQA (NQ + Stock Appreciation Right)

| Option ID | Option Date | Optionee | Price per Share | Compensation per Share | Shares Granted | Shares Outstanding | Total Compensation | Ratio | Accrual |
|--|-------------|-------------------------|--------------------|---------------------------|-------------------|-----------------------|-----------------------|----------|-------------|
| Plan 99A - 11 | Jun 1, 1999 | Ericsson, Frederick, G. | \$6.0000 | \$29.7486 | 1,000 | 500 | \$14,874.30 | 1.000000 | \$14,874.30 |
| Plan 99A - 21 | Nov 1, 1999 | Ericsson, Frederick, G. | \$6.5000 | \$29.2486 | 625 | 125 | \$3,656.08 | 1.000000 | \$3,656.08 |
| | | | | | 625 | 625 | \$18,280.38 | 1.000000 | \$18,280.38 |
| | | | | | 625 | 625 | \$18,280.38 | 0.751139 | \$13,731.11 |
| | | | | | 625 | 625 | \$18,280.38 | 0.563611 | \$10,303.03 |
| SUMMARY for Options of type <u>NQA</u> | | | | | 3,500 | 2,500 | \$73,371.52 | | \$60,844.90 |
| SUMMARY for <u>Plan 99A</u> options | | | | | 3,500 | 2,500 | \$73,371.52 | | \$60,844.90 |
| SUMMARY for options listed | | | | | 3,500 | 2,500 | \$73,371.52 | | \$60,844.90 |

Figure 96 – Option Accruals

Option Activity Summary

Report shows summary information for the option activity during the specified period, with weighted averages and ranges of exercise prices.

You have to specify **From** and **To** dates, **valuation** number, and up to five ranges of exercise prices. In each pair of prices, upper field is for the low price, and high price is in the bottom field. System treats low price with greater than or equal (\geq) operator, and high price with the lower ($<$) operator. This allows you to specify ranges like: \$1-\$2, \$2-\$5, but you cannot specify range with same prices: \$1-\$1 (use \$1-\$1.00001 instead).

For the intrinsic value calculation, you need to specify share value on the report's end date, or press green Value button in order system to look up from the Prices table.

Additionally, you can specify option **plans**, by selecting one or more from the list. In this case, only options under specified plans will be used.

You can choose to exclude Restricted Stock from reporting, or you can show only Restricted Stock, depending on the status of appropriate check-boxes.

Or, you can specify option types to include in the report by typing in list of types delimited by spaces or commas.

Note: Under the Exercise Price drop-down list, there is a possibility to specify if Exercise Price used in the first part of the report (where labeled) will be: Option Price (default), or FMV at grant, or calculated valuation. If no valuation data exist grant record will be omitted.

Note: If you leave empty all five ranges of exercise prices system will calculate ranges by dividing period from minimal exercise price to maximal exercise price into five equal parts. After you generate the report for the first time, you may correct these numbers and run the report again.

Press the **Find** button  to generate the report.

System calculates option activity summary information into several passes through the Options database.

First, it calculates options outstanding shares number and weighted average exercise price as of reporting period beginning date (From date).

Then, it calculates numbers for the end of reporting period (To date): options outstanding, number of shares outstanding and vested as of end date plus those expected to vest, and number of shares exercisable, with weighted average exercise prices.

Shares expected to vest are calculated using the appropriate unvested forfeiture rate from forecast table.

Following activity data are shown for the reporting period: number of shares Issued, Exercised, Canceled, and Expired.

Finally, system calculates numbers for specified ranges of exercise prices, plus data for options that are left "out of range".

For the outstanding shares, system shows number of shares outstanding per period, weighted average exercise price, and weighted average remaining contractual life.

For the exercisable shares, system shows number of shares exercisable per period, and weighted average exercise price.

Intrinsic values are calculated based on the exercise price and supplied share value as of end date, and it is presented for the shares exercised during the period. In order to show details for the intrinsic value summaries shown here, you may run Exercisable Gain report.


For the shares outstanding, then exercisable, and vested plus expected to vest, all as of report end date, system calculates Aggregate Intrinsic Value. You may run Aggregate Intrinsic Value report to review details.

Second page of the report is for the Non-vested roll-forward, which shows shares non-vested at the beginning of the period, issued (granted), forfeited, vested (or exercised, if your plan allows non-vested shares to be exercised), and non-vested as of end date. For each activity there is a Weighted Average Grant Date Fair Value attached, and for the non-vested shares as of end date there is also a Weighted Average Remaining Years to Vest.

In order to show details for the summaries for Grant Date Fair Values and appropriate activities, you may run Option Valuation report.

Press the **Export** button if you want to export summary information into the html file. Exported data can be used in other programs, like Microsoft Excel, to present it graphically.

Report format is *Letter*, orientation is *Portrait*.

Press the **Print** button  to print this report. Print dialog will be shown, allowing you to select: printer, change its properties, mark if you want to print in the file, select number of copies and collate settings.

Please select and print only one (current) page (record).

Press the **Jump Back** button  to close this report.

OPTION ACTIVITY SUMMARY

From 1/1/2005 to 12/31/2005
 Option price used for the exercise price

software
Custom

| | Shares | Weighted Average Exercise Price | Aggregate Intrinsic Value |
|------------------------------|--------|------------------------------------|------------------------------|
| Outstanding before 1/1/2000 | 22,900 | \$9.0236 | |
| Issued | 5,500 | \$19.7787 | |
| Canceled | 12,500 | \$9.1284 | |
| Expired | 0 | | |
| Exercised | 1,190 | \$10.8763 | \$48,544.26 |
| Outstanding as of 12/31/2005 | 14,710 | \$12.8059 | \$571,687.56 |
| Exercisable as of 12/31/2005 | 14,710 | \$12.8059 | \$571,687.56 |

Outstanding

| Range of Exercise Prices | Shares Outstanding | Weighted Average Exercise Price | Weighted Average Remaining Life |
|-----------------------------|--------------------|------------------------------------|------------------------------------|
| \$5.0000 - \$10.0000 | 3,990 | \$5.0000 | 3.33 |
| \$10.0000 - \$15.0000 | 900 | \$13.3500 | 3.75 |
| \$15.0000 - \$16.0000 | 7,500 | \$15.4500 | 4.00 |
| \$16.0000 - \$20.0000 | 2,320 | \$17.4721 | 4.42 |
| \$20.0000 - \$25.0000 | | | |
| out of range | | | |
| | 14,710 | \$12.8059 | 3.87 |

Exercisable

| Range of Exercise Prices | Shares Exercisable | Weighted Average Exercise Price | Weighted Average Remaining Life |
|-----------------------------|--------------------|------------------------------------|------------------------------------|
| \$5.0000 - \$10.0000 | 3,990 | \$5.0000 | 3.33 |
| \$10.0000 - \$15.0000 | 900 | \$13.3500 | 3.75 |
| \$15.0000 - \$16.0000 | 7,500 | \$15.4500 | 4.00 |
| \$16.0000 - \$20.0000 | 2,320 | \$17.4721 | 4.42 |
| \$20.0000 - \$25.0000 | | | |
| out of range | | | |
| | 14,710 | \$12.8059 | 3.87 |

| | Shares | Weighted Average Grant Date Fair Value | Weighted Average Remaining Years To Vest |
|----------------------------|--------|--|--|
| Nonvested before 1/1/2000 | 22,400 | \$2.9524 | |
| Granted | | | |
| Forfeited | 750 | \$1.5134 | |
| Vested | 21,650 | \$3.0022 | |
| Nonvested as of 12/31/2005 | 0 | | |

Figure 97 – Option Activity Summary

Options Summary

Report shows summary information of options granted, grouped by optionees.

You can specify: reporting period, by entering range of grant dates (**From** and **To**), mark if system will process **All** or only non-conditional exercises with exercise date less or equal to **as of** date specified, and check if the system will omit option records without outstanding shares. Additionally, you may specify **employee id** from the drop-down list, which will generate report for the chosen optionee only, or you may choose to omit terminated optionees from the report.

If you want to show records that belong to one or more option plans, please use the option plans list and check plans you want to use. By default (empty list) system will use all plans.

You can specify grant type from the list. If you select RSU (Restricted Stock Units) system will show different report layout upon report generation.

Press the **Find** button  to generate the report.


Following grant data are shown: **grant date**, **grant id**, **type**, number of **shares granted**, **option price**, **outstanding shares**, and vesting schedule for up to ten periods with **shares**, **availability** (vest type), **vest date**, and **expire date**.


Records are sorted and grouped by optionee name and then by grant date.

There are trailing summary report parts, before every new optionee, and grand summary showing total number of shares granted and outstanding.

Report format is *Letter*, orientation is *Landscape*.

Report subtitle reflects report parameters you specified.



Press the **E-mail report** button  to send this report by e-mail, without printing it on paper. Report will be sent to all employees that have their e-mail addresses specified. Based on the system Preferences, e-mails can be sent with or without your confirmation (preview) in your default e-mail client.

Press the **Preview** button  to see how the report will look printed on paper. You can browse through the report pages using the **book tool**. Press the **Continue** button to exit from the preview mode.

Option Accounts by Broker

Report lists optionees, grouped by brokers.

You can specify broker by selecting **broker id** from the drop down list.

Press the **Find** button  to generate the report and **Preview** button  to see it.

Press the **Find All** button  to clear report parameters and find all records.


At the top of page there are broker related data: Broker **ID**, Broker **Name**, **Address**, **Phone** and **Fax** numbers, **E-mail** and For benefit of? check box.


Field shown are: **Optionee Name**, **SSN** (Social Security Number) and **Account** number.


Records are sorted by Optionee Name.

There are trailing broker and grand summary report parts, showing total number of optionee accounts listed.

Report format is *Letter*, orientation is *Portrait*, page break before every new broker.

Press the **E-mail report** button  to send this report by e-mail, without printing it on paper. Report will be sent to all brokers that have their e-mail addresses specified. Based on the system Preferences, e-mails can be sent with or without your confirmation (preview) in your default e-mail client.

Press the **Preview** button  to see how the report will look printed on paper. You can browse through the report pages using the **book tool**. Press the **Continue** button to exit from the preview mode.

Press the **Print** button  to print this report. Print dialog will be shown, allowing you to select: printer, change its properties, mark if you want to print in the file, define print range (all pages or page subset), define page numbering starting page, select number of copies and collate settings.

Press the **Jump To Record List** button  if you want to filter records. After you finish, please press the **Back** button to return to this report.

You can browse through the record list using the record navigation buttons: go to previous, next, first and last record in the current found set.

Press the **Jump Back** button  to close this report.


| OPTION ACCOUNTS | | | Acme Company, Inc. ID: 12-126 Street Name Goes Here City, State, Zip | | |
|-----------------------------|-------------|---------|---|--|--|
| Broker ID My Broker | | | | | |
| Broker Winner Broker | | | Phone (800) 555-4433 | | |
| | | | Fax (808) 555-3344 | | |
| 33 West 34th Street | | | E-mail winner@broker.net | | |
| New York NY 10001 | | | For benefit of? Yes | | |
| Name | SSN | Account | | | |
| Baker, Muriel, W. | 808-32-1111 | OA004 | | | |
| Fisher, Anna, S. | 202-11-4545 | OA003 | | | |
| Young, Tom, D. | 123-45-6789 | OA001 | | | |
| Number of Accounts 3 | | | | | |
| Total Accounts 3 | | | | | |


Figure 99 – Option Accounts by Broker

Approaching ISO Limit

Report lists optionees with their ISO Value and ISO Limit Available Value, in 10 successive years, beginning with specified year.

You can specify **minimal value**, to list only optionees with ISO value greater than minimal value, and **ISO Limit**, if it is different from the one specified on the Preferences layout. Initially, starting year is set to current year.

After you specify report parameters, please press the **Find** button  to generate the report.


Press the **Find All** button  to clear report parameters and find all records.


Fields shown are: **Optionee Name** and **ID** and **ISO limit** table for ten successive years. Single table row contains: Year, ISO Value and ISO Limit available value in that year.


Records are sorted by Optionee Name.

There is a trailing grand summary report part, showing total number of optionees listed.

Report format is *Letter*, orientation is *Portrait*.

Press the **E-mail report** button  to send this report by e-mail, without printing it on paper. Report will be sent to all employees that have their e-mail addresses specified. Based on the system Preferences, e-mails can be sent with or without your confirmation (preview) in your default e-mail client.

Press the **Preview** button  to see how the report will look printed on paper. You can browse through the report pages using the **book tool**. Press the **Continue** button to exit from the preview mode.

Press the **Print** button  to print this report. Print dialog will be shown, allowing you to select: printer, change its properties, mark if you want to print in the file, define print range (all pages or page subset), define page numbering starting page, select number of copies and collate settings.

Press the **Jump To Record List** button  if you want to filter records. After you finish, please press the Back button to return to this report.

You can browse through the record list using the record navigation buttons: go to previous, next, first and last record in the current found set.

Press the **Jump Back** button  to close this report.

APPROACHING ISO LIMIT

From year 2001
ISO Limit \$100000

Acme Company, Inc.
ID: 12-126
Street Name Goes Here
City, State, Zip

| Optionee | ID | Year | ISO Value | ISO Limit Available |
|-------------------------|-------|------|------------|---------------------|
| Ericsson, Frederick, G. | AA005 | 2001 | \$6,250.00 | \$93,750.00 |
| | | 2002 | \$6,250.00 | \$93,750.00 |
| | | 2003 | \$6,250.00 | \$93,750.00 |
| | | 2004 | \$0.00 | \$100,000.00 |
| | | 2005 | \$0.00 | \$100,000.00 |
| | | 2006 | \$0.00 | \$100,000.00 |
| | | 2007 | \$0.00 | \$100,000.00 |
| | | 2008 | \$0.00 | \$100,000.00 |
| | | 2009 | \$0.00 | \$100,000.00 |
| | | 2010 | \$0.00 | \$100,000.00 |
| Young, Tom, D. | AA001 | 2001 | \$1,750.00 | \$98,250.00 |
| | | 2002 | \$1,750.00 | \$98,250.00 |
| | | 2003 | \$1,750.00 | \$98,250.00 |
| | | 2004 | \$0.00 | \$100,000.00 |
| | | 2005 | \$0.00 | \$100,000.00 |
| | | 2006 | \$0.00 | \$100,000.00 |
| | | 2007 | \$0.00 | \$100,000.00 |
| | | 2008 | \$0.00 | \$100,000.00 |
| | | 2009 | \$0.00 | \$100,000.00 |
| | | 2010 | \$0.00 | \$100,000.00 |
| Total Optionees | | 2 | | |

Figure 100 – Approaching ISO Limit

Diluted Options Outstanding


Report belongs to a set of weighted options outstanding reports (Dilution Summary, Diluted Options Outstanding, NQ Tax Benefit/Diluted Options, Unamortized Expense/Diluted Options, Anti-Dilution Report). These reports belong to ASC 260 and are used quarterly and annually, for Form 10-K and Form 10-Q.

Fields shown are: **Option ID**, option **Date**, option **Type**, **Cancel Date**, option **Price**, absolute number of **Shares Outstanding**, **Days** outstanding in the period, number of **Weighted Shares Outstanding**, **Weighted Total Price**, **Average Unamortized Expense**, number of equivalent **Buyback Shares**, **NQ Tax Benefit Shares**, and number of **Diluted Outstanding** shares.

You have to specify report parameters: period (**From** and **To** dates), **Ending Fair Market Value** (if you leave it empty, system will try to fill it from the Prices database), and Combined Corporate **Tax Rate** (in percent, for Tax Benefit calculations).

/obsolete/ Optional parameters are: **Adjustment** amount for an unamortized expense, and number of common shares **Outstanding** at the period end (if you supply this number, system will use it to decide if Modified Treasury Stock method should be used instead of a Treasury Stock method).

Please run an appropriate Expense Allocation report for the same period first, and the system will pick up Unamortized Expenses from that report and use it here. Remember to specify correct Valuation number input (1..5)

Press the **Find** button  to generate the report. System will find option records with option dates as specified on the Expense Allocation report under the Granted From – To fields. The system will ask you to specify if you want to process Complete grant and exercise history (default choice, most accurate), or you want to calculate outstanding shares number at the period's End date. Then, it will calculate the number of shares outstanding for the found records. Records without outstanding shares during the period will be omitted. Next step is to weight absolute number of shares outstanding according to the number of days in the reporting period.

System uses Treasury Stock method to differentiate records into Dilutive and Anti-Dilutive. According to ASC 260, the system sets Referring Fair Value to an ending fair market value (as of reporting period end date). Dilutive options are those with an option price less than or equal to the referring fair value. If the price is greater than the referring fair value, such records are omitted from this report (those are anti-dilutive options).

If you check report input to include all outstanding shares, then the system will show all records on the report. They will have no impact on dilution calculation and stand for easier audit.

Note: You can specify the way system differentiate records into Dilutive and Anti-Dilutive by choosing between two possible Referring Fair Value calculations:

- 1) ending fair market value (default per ASC 260, uses specified ending FMV).
- 2) average fair market value within reporting period (from Prices database);

For the ASC 260 compliance please use first method, end fair market value.

If you do not have a fully updated Prices table with daily values then you can specify referring fair market value as a report input.

/obsolete/ If you enter number of common shares outstanding at the period end, system compares it with the total number of Weighted Shares Outstanding. Modified Treasury Stock method is used if number of weighted shares outstanding is greater than 20 percents of supplied number. In this case, Anti-Dilutive options outstanding will be included in this report.

Weighted Total Price is calculated by multiplying Weighted Shares Outstanding with the Option Price.

Weighted Value is calculated by multiplying Weighted Shares Outstanding with the Referring Fair Value.

Average Unamortized Expense is a mathematical average between Unamortized Expense at reporting period's begin and end date. You may press EPD button in order to review details behind Unamortized Expense calculation.

Weighted Total Price plus Average Unamortized Expense is divided with the Referring Fair Value to calculate number of equivalent Buyback Shares.

/obsolete/ System compares total number of equivalent Buyback shares with the supplied number of common shares outstanding at the period end. Total number of buyback shares is limited to 20 percents of the common shares outstanding. If it is greater, system calculates and apply appropriate multiplication factor in order to limit buyback shares.

/obsolete/ Whenever the Modified Treasury Stock method is used, it is marked by appropriate explanation text at the bottom of report.



/obsolete/ Note that if you do not want Modified Treasury Stock method to be used, leave Outstanding report parameter at zero.

Gain is calculated as a difference between Weighted Value and Weighted Total Price.

Applying the combined corporate tax rate on the Gain, lowered by the Weighted Total Grant Date Fair Value, system calculates NQ Tax Benefit Shares.

At the end, the number of Diluted Outstanding shares is a difference between Weighted Shares Outstanding, Buyback Shares and NQ Tax Benefit Shares.

Records are sorted by Option ID.

Press the **Plan**  or **Type**  button to sort records by option date, plan or type, respectively.

There is a trailing grand summary report part, showing totals for the option records listed. If the records are sorted by option plan or type, same summaries exist.

If you specify adjustment parameter, that amount is divided with the referring fair value to calculate equivalent number of shares. These shares are further subtracted from the total number of Diluted Outstanding shares to produce Total number of Diluted Outstanding Shares. **You do not need to specify Adjustment if you are using Expense Allocation results, with Valuation Number input set to 1..5**


Report format is *Letter*, orientation is *Landscape*.


Report subtitle reflects report parameters you specified.

There is a set of radio buttons, with abbreviations beside, each corresponding and leading to the appropriate report in the weighted options outstanding set. Please use PD for Diluted Options, TBPD for NQ Tax Benefit/Diluted options, ADPD for Anti-Dilutive Report, and EPD for Unamortized Expenses/Diluted Options.

In order to show Dilution Summary report, please press the **Summary** button .

There is an Export button that will export report results into file.

Press the **Preview** button  to see how the report will look printed on paper. You can browse through the report pages using the **book tool**. Press the **Continue** button to exit from the preview mode.

Press the **Print** button  to print this report. Print dialog will be shown, allowing you to select: printer, change its properties, mark if you want to print in the file, define print range (all pages or page subset), define page numbering starting page, select number of copies and collate settings.

Press the **Jump Back** button  to close this report.

| PRIMARY DILUTED OPTIONS OUTSTANDING | | | | | | | | | | | |
|---|-------------|------|-------------|----------|--------------------|------|----------------------|----------------------|----------------|--|-----------------------------|
| From 1/1/1999 to 12/31/1999 (365 days) | | | | | | | | | | | |
| Ending Fair Market Value \$15 | | | | | | | | | | | |
| Combined Corporate Tax Rate 34% Adjustment Value for Unamortized Expense \$15000 | | | | | | | | | | | |
| Average fair market value \$8.0455 | | | | | | | | | | | |
| Option ID | Option Date | Type | Cancel Date | Price | Shares Outstanding | Days | Weighted Outstanding | Weighted Total Price | Buyback Shares | NQ Tax Benefit Shares | Primary Diluted Outstanding |
| Plan 99A - 1 | 5/1/1999 | NQ | | \$5.0000 | 1,500 | 245 | 1,006.85 | \$5,034.25 | 625.73 | 129.58 | 251.54 |
| Plan 99A - 2 | 5/1/1999 | NQ | | \$5.0000 | 2,000 | 245 | 1,342.47 | \$6,712.35 | 834.30 | 172.78 | 335.39 |
| Plan 99A - 3 | 5/1/1999 | NQ | | \$5.0000 | 790 | 245 | 530.27 | \$2,651.35 | 329.55 | 68.25 | 132.47 |
| Plan 99A - 4 | 5/1/1999 | NQ | | \$5.0000 | 1,000 | 245 | 671.23 | \$3,356.15 | 417.15 | 86.39 | 167.69 |
| Plan 99A - 5 | 5/1/1999 | ISO | | \$5.0000 | 4,750 | 245 | 3,188.36 | \$15,941.80 | 1,981.47 | 0.00 | 1,206.89 |
| Plan 99B - 6 | 10/1/1999 | NQ | 12/12/1999 | \$6.2500 | 900 | 73 | 180.00 | \$1,125.00 | 139.83 | 13.66 | 26.51 |
| Plan 99B - 7 | 10/22/1999 | ISO | | \$7.0000 | 1,000 | 71 | 194.52 | \$1,361.64 | 169.24 | 0.00 | 25.28 |
| Plan 99A - 11 | 6/1/1999 | NQA | | \$6.0000 | 500 | 214 | 293.15 | \$1,758.90 | 218.62 | 25.34 | 49.19 |
| SUMMARY for options listed | | | | | 12,440 | | 7,406.85 | \$37,941.44 | 4,715.89 | 496.00 | 2,194.96 |
| | | | | | | | | | | Adjustment Shares - | 1,864.00 |
| | | | | | | | | | | Total Fully Diluted Outstanding Shares | 330.96 |

Figure 101 – Diluted Options Outstanding

Unamortized Expense/Diluted Options

Report shows detailed calculation of Average Unamortized Expense from the Diluted Options Outstanding. It belongs to a set of weighted options outstanding reports (Dilution Summary, Diluted Options Outstanding, NQ Tax Benefit/Diluted Options, Unamortized Expense/Diluted Options, Anti-Dilution Report). These reports belong to ASC 260 and are used quarterly and annually, for Form 10-K and Form 10-Q.



Fields shown are: **Option ID**, **Option/Cancel Date**, option **Type**, **Cancel Date**, option **Price**, absolute number of **Shares Outstanding**, **Days** outstanding in the period, number of **Weighted Shares Outstanding**, **Shares Granted**, **Total Valuation**, **Prior Amortized** amount, **Unamortized Expense** amount at period end date, and **Average Unamortized Expense** amount during the reporting period.

You have to run Diluted Options Outstanding report first and then to jump to this report in order to review Unamortized Expense calculation.

Unamortized Expense at period begin date is Total Valuation minus Prior Amortized amount.

Average Unamortized amount is therefore mathematical average between Unamortized Expense at period begin and end date.

Records are sorted by Option ID.

Press the **Plan**  or **Type**  button to sort records by option date, plan or type, respectively.

There is a trailing grand summary report part, showing totals for the option records listed. If the records are sorted by option plan or type, same summaries exist.


Report format is *Letter*, orientation is *Landscape*.


Report subtitle reflects report parameters you specified.

Press the Export button in order to export report results into file.

There is a set of radio buttons, with abbreviations beside, each corresponding and leading to the appropriate report in the weighted options outstanding set. Please use PD for Diluted Options, TBPD for NQ Tax Benefit/Diluted options, ADPD for Anti-Dilutive Report, and EPD for Unamortized Expenses/Diluted Options.

In order to show Dilution Summary report, please press the **Summary** button .

Press the **Preview** button  to see how the report will look printed on paper. You can browse through the report pages using the **book tool**. Press the **Continue** button to exit from the preview mode.

Press the **Print** button  to print this report. Print dialog will be shown, allowing you to select: printer, change its properties, mark if you want to print in the file, define print range (all pages or page subset), define page numbering starting page, select number of copies and collate settings.

Press the **Jump Back** button  to close this report.


NQ Tax Benefit/Diluted Options

Report shows detailed calculation of equivalent NQ Tax Benefit shares realized from the Diluted Options Outstanding. It belongs to a set of weighted options outstanding reports (Dilution Summary, Diluted Options Outstanding, NQ Tax Benefit/Diluted Options, Unamortized Expense/Diluted Options, Anti-Dilution Report). These reports belong to ASC 260 and are used quarterly and annually, for Form 10-K and Form 10-Q.

Fields shown are: **Option ID**, **Option/Cancel Date**, option **Type**, **Cancel Date**, option **Price**, absolute number of **Shares Outstanding**, **Days** outstanding in the period, number of **Weighted Shares Outstanding**, **Weighted Total Price**, **Weighted Value**, **Gain** realized, **Weighted Grant Date Fair Value**, **NQ Tax Deduction** amount, and number of **NQ Tax Benefit Shares**.

You have to specify report parameters: period (**From** and **To** dates), **Ending Fair Market Value** (if you leave it empty, system will try to fill it from the Prices database), and Combined Corporate **Tax Rate** (in percents, for Tax Benefit calculations).

/obsolete/ Optional parameters are: **Adjustment** amount for an unamortized expense, and number of common shares **Outstanding** at the period end (if you supply this number, system will use it to decide if Modified Treasury Stock method should be used instead of a Treasury Stock method).

Press the **Find** button  to generate the report. System will find option records with option dates as specified on the Expense Allocation report under the Granted From – To fields. System will ask you to specify if you want to process Complete grant and exercise history (default choice, most accurate), or you want to calculate outstanding shares number at the period's End date. Then, it will calculate number of shares outstanding for the found records. Records without outstanding shares during the period will be omitted. Next step is to weight absolute number of shares outstanding according to the number of days in the reporting period.

System uses Treasury Stock method to differentiate records into Dilutive and Anti-Dilutive. According to ASC 260, system sets Referring Fair Value to an ending fair market value (as of reporting period end date). Dilutive options are those with an option price less or equal to the referring fair value. If the price is greater than the referring fair value, such records are omitted from this report (those are anti-dilutive options).

Note: You can specify the way system differentiate records into Dilutive and Anti-Dilutive by choosing between two possible Referring Fair Value calculations:

- 1) ending fair market value (default per ASC 260, uses specified ending FMV).
- 2) average fair market value within reporting period (from Prices database);

For the ASC 260 compliance please use first method, end fair market value.

If you do not have fully updated Prices table with daily values then you can specify referring fair market value as a report input.

/obsolete/ If you enter number of common shares outstanding at the period end, system compares it with the total number of Weighted Shares Outstanding. Modified Treasury Stock method is used if number of weighted shares outstanding is greater than 20 percents of supplied number. In this case, Anti-Dilutive options outstanding will be included in this report.

/obsolete/ If the Modified Treasury Stock method is used, it is marked by appropriate explanation text at the bottom of report.

/obsolete/ Note that if you do not want Modified Treasury Stock method to be used, leave Outstanding report parameter at zero.

Weighted Total Price is calculated by multiplying Weighted Shares Outstanding with the Option Price.

Weighted Value is calculated by multiplying Weighted Shares Outstanding with the Referring Fair Value.



Realized Gain is calculated as a difference between Weighted Value and Weighted Total Price.

Weighted Grant Date Fair Value is calculated by multiplying Weighted Shares Outstanding with the calculated valuation on grant date (Black-Scholes or Binomial).

Applying the combined corporate tax rate on the Gain, lowered by the Weighted Grant Date Fair Value, system calculates NQ Tax Deduction.

Dividing NQ Tax Deduction with the Referring Fair Value calculates number of NQ Tax Benefit shares at the end.

Records are sorted by Option ID.

Press the **Plan**  or **Type**  button to sort records by option date, plan or type, respectively.

There is a trailing grand summary report part, showing totals for the option records listed. If the records are sorted by option plan or type, same summaries exist.


Report format is *Letter*, orientation is *Landscape*.


Report subtitle reflects report parameters you specified.

Press the Export button in order to export report results into file.

There is a set of radio buttons, with abbreviations beside, each corresponding and leading to the appropriate report in the weighted options outstanding set. Please use PD for Diluted Options, TBPD for NQ Tax Benefit/Diluted options, ADPD for Anti-Dilutive Report, and EPD for Unamortized Expenses/Diluted Options.

In order to show Dilution Summary report, please press the **Summary** button .

Press the **Preview** button  to see how the report will look printed on paper. You can browse through the report pages using the **book tool**. Press the **Continue** button to exit from the preview mode.

Press the **Print** button  to print this report. Print dialog will be shown, allowing you to select: printer, change its properties, mark if you want to print in the file, define print range (all pages or page subset), define page numbering starting page, select number of copies and collate settings.

Press the **Jump Back** button  to close this report.

| NQ TAX BENEFIT / PRIMARY DILUTED | | | | | | | | | | | |
|---|--------------------|------|----------|--------------------|------|----------------------|----------------------|----------------|-------------|------------------|-----------------------|
| From 1/1/1999 to 12/31/1999 (365 days) | | | | | | | | | | | |
| Ending Fair Market Value \$15 | | | | | | | | | | | |
| Combined Corporate Tax Rate 34% Adjustment Value for Unamortized Expense \$15000 | | | | | | | | | | | |
| Average fair market value \$8.0455 | | | | | | | | | | | |
| Option ID | Option/Cancel Date | Type | Price | Shares Outstanding | Days | Weighted Outstanding | Weighted Total Price | Weighted Value | Gain | NQ Tax Deduction | NQ Tax Benefit Shares |
| Plan 99A - 1 | 5/1/1999 | NQ | \$5.0000 | 1,500 | 245 | 1,006.85 | \$5,034.25 | \$8,100.57 | \$3,066.32 | \$1,042.55 | 129.58 |
| Plan 99A - 2 | 5/1/1999 | NQ | \$5.0000 | 2,000 | 245 | 1,342.47 | \$6,712.35 | \$10,800.78 | \$4,088.43 | \$1,390.07 | 172.78 |
| Plan 99A - 3 | 5/1/1999 | NQ | \$5.0000 | 790 | 245 | 530.27 | \$2,651.35 | \$4,266.26 | \$1,614.91 | \$549.07 | 68.25 |
| Plan 99A - 4 | 5/1/1999 | NQ | \$5.0000 | 1,000 | 245 | 671.23 | \$3,356.15 | \$5,400.35 | \$2,044.20 | \$695.03 | 86.39 |
| Plan 99B - 6 | 10/1/1999 | NQ | \$6.2500 | 900 | 73 | 180.00 | \$1,125.00 | \$1,448.18 | \$323.18 | \$109.88 | 13.66 |
| | 12/12/1999 | | | | | | | | | | |
| Plan 99A - 11 | 6/1/1999 | NQA | \$6.0000 | 500 | 214 | 293.15 | \$1,758.90 | \$2,358.53 | \$599.63 | \$203.87 | 25.34 |
| SUMMARY for options listed | | | | 6,690 | | 4,023.97 | \$20,638.00 | \$32,374.67 | \$11,736.67 | 3,990.47 | 496.00 |

Figure 102 – NQ Tax Benefit from Diluted Options Outstanding


Anti-Dilution Report

Report shows records that have been omitted from the Diluted Options Outstanding report. It belongs to a set of weighted options outstanding reports (Dilution Summary, Diluted Options Outstanding, NQ Tax Benefit/Diluted Options, Unamortized Expense/Diluted Options, Anti-Dilution Report). These reports belong to ASC 260 and are used quarterly and annually, for Form 10-K and Form 10-Q.

Fields shown are: **Option ID**, option **Date**, option **Type**, **Cancel Date**, option **Price**, absolute number of **Shares Outstanding**, **Days** outstanding in the period, number of **Weighted Shares Outstanding**, **Weighted Total Price**, and **Weighted Value**.

You have to specify report parameters: period (**From** and **To** dates), **Ending Fair Market Value** (if you leave it empty, system will try to fill it from the Prices database), and Combined Corporate **Tax Rate** (in percents, for Tax Benefit calculations).

/obsolete/ Optional parameters are: **Adjustment** amount for an unamortized expense, and number of common shares **Outstanding** at the period end (if you supply this number, system will use it to decide if Modified Treasury Stock method should be used instead of a Treasury Stock method).

Press the **Find** button  to generate the report. System will find option records with option dates as specified on the Expense Allocation report under the Granted From – To fields. System will ask you to specify if you want to process Complete grant and exercise history (default choice, most accurate), or you want to calculate outstanding shares number at the period's End date. Then, it will calculate number of shares outstanding for the found records. Records without outstanding shares during the period will be omitted. Next step is to weight absolute number of shares outstanding according to the number of days in the reporting period.

System uses Treasury Stock method to differentiate records into Dilutive and Anti-Dilutive. For the Diluted Options Outstanding, system sets Referring Fair Value to an average fair market value for the options outstanding within the reporting period. Anti-Dilutive options are those with option prices greater than the referring fair value.

Note: You can specify the way system differentiate records into Dilutive and Anti-Dilutive by choosing between two possible Referring Fair Value calculations:

- 1) ending fair market value (default per ASC 260, uses specified ending FMV).
- 2) average fair market value within reporting period (from Prices database);

For the ASC 260 compliance please use first method, end fair market value.

If you do not have fully updated Prices table with daily values then you can specify referring fair market value as a report input.



/obsolete/ If you enter number of common shares outstanding at the period end, system compares it with the total number of Weighted Shares Outstanding. Modified Treasury Stock method is used if number of weighted shares outstanding is greater than 20 percents of supplied number. In this case, Anti-Dilutive options outstanding are included in the Dilutive Options Outstanding report and there are **no records** listed in this report.

/obsolete/ Note that if you do not want Modified Treasury Stock method to be used, leave Outstanding report parameter at zero.

Weighted Total Price is calculated by multiplying Weighted Shares Outstanding with the Option Price.

Weighted Value is calculated by multiplying Weighted Shares Outstanding with the Referring Fair Value.

Records are sorted by Option ID.

Press the **Plan**  or **Type**  button to sort records by option date, plan or type, respectively.

There is a trailing grand summary report part, showing totals for the option records listed. If the records are sorted by option plan or type, same summaries exist.


Report format is *Letter*, orientation is *Landscape*.


Report subtitle reflects report parameters you specified.

Press the Export button in order to export report results into file.

There is a set of radio buttons, with abbreviations besides, each corresponding and leading to the appropriate report in the weighted options outstanding set. Please use PD for Diluted Options, TBPD for NQ Tax Benefit/Diluted options, ADPD for Anti-Dilutive Report, and EPD for Unamortized Expenses/Diluted Options.

In order to show Dilution Summary report, please press the **Summary** button .

Press the **Preview** button  to see how the report will look printed on paper. You can browse through the report pages using the **book tool**. Press the **Continue** button to exit from the preview mode.

Press the **Print** button  to print this report. Print dialog will be shown, allowing you to select: printer, change its properties, mark if you want to print in the file, define print range (all pages or page subset), define page numbering starting page, select number of copies and collate settings.

Press the **Jump Back** button  to close this report.

| ANTI-DILUTION / PRIMARY DILUTED | | | | | | | | | |
|---|-------------|------|-------------|-----------|--------------------|------|----------------------|----------------------|----------------|
| From 1/1/1999 to 12/31/1999 (365 days) | | | | | | | | | |
| Ending Fair Market Value \$15 | | | | | | | | | |
| Combined Corporate Tax Rate 34% Adjustment Value for Unamortized Expense \$15000 | | | | | | | | | |
| Average fair market value \$8.0455 | | | | | | | | | |
| Option ID | Option Date | Type | Cancel Date | Price | Shares Outstanding | Days | Weighted Outstanding | Weighted Total Price | Weighted Value |
| Plan 99B - 8 | 12/17/1999 | NQ | | \$13.3500 | 900 | 15 | 36.99 | \$493.82 | \$297.60 |
| Plan 99A - 9 | 12/31/1999 | NQ | | \$15.4500 | 2,500 | 1 | 6.85 | \$105.83 | \$55.11 |
| Plan 99A - 10 | 12/31/1999 | NQ | | \$15.4500 | 5,000 | 1 | 13.70 | \$211.67 | \$110.22 |
| SUMMARY for options listed | | | | | 8,400 | | 57.54 | \$811.32 | \$462.93 |

Figure 103 – Anti-Dilution Report


Dilution Summary Report

Report presents summary information for the other weighted options outstanding reports (Diluted Options Outstanding, NQ Tax Benefit/Diluted Options, Unamortized Expense/Diluted Options, Anti-Dilution Report). These reports belong to ASC 260 and are used quarterly and annually, for Form 10-K and Form 10-Q.

Fields shown are: **Weighted Shares Value**, **Weighted Shares Total Price**, **Weighted Grant Date Fair Value**, **Average Unamortized Expense**, number of **Weighted Shares** outstanding, **Buyback Shares**, **Equivalent Shares**, **NQ Tax Benefit Shares**, **Adjustment Shares**, and **Total Diluted Outstanding Shares**.

You have to specify report parameters: period (**From** and **To** dates), **Ending Fair Market Value** (if you leave it empty, system will try to fill it from the Prices database), and Combined Corporate **Tax Rate** (in percents, for Tax Benefit calculations).

/obsolete/ Optional parameters are: **Adjustment** amount for an unamortized expense, and number of common shares **Outstanding** at the period end (if you supply this number, system will use it to decide if Modified Treasury Stock method should be used instead of a Treasury Stock method).

Press the **Find** button  to generate the report. System will find option records with option dates as specified on the Expense Allocation report under the Granted From – To fields. System will ask you to specify if you want to process Complete grant and exercise history (default choice, most accurate), or you want to calculate outstanding shares number at the period's End date. Then, it will calculate number of shares outstanding for the found records. Records without outstanding shares during the period will be omitted. Next step is to weight absolute number of shares outstanding according to the number of days in the reporting period.

System uses Treasury Stock method to differentiate records into Dilutive and Anti-Dilutive. For the Diluted Options Outstanding, system sets Referring Fair Value to an average fair market value for the options outstanding within the reporting period. Dilutive options are those with an option price less or equal to the referring fair value. If the price is greater than the referring fair value, such records are called Anti-Dilutive, excluded from the calculations, and their totals are shown at the report's end.

Note: You can specify the way system differentiate records into Dilutive and Anti-Dilutive by choosing between two possible Referring Fair Value calculations:

- 1) ending fair market value (default per ASC 260, uses specified ending FMV).
- 2) average fair market value within reporting period (from Prices database);

For the ASC 260 compliance please use first method, end fair market value.

If you do not have fully updated Prices table with daily values then you can specify referring fair market value as a report input.

/obsolete/ If you enter number of common shares outstanding at the period end, system compares it with the total number of Weighted Shares Outstanding. Modified Treasury Stock method is used if number of weighted shares outstanding is greater than 20 percents of supplied number. In this case, Anti-Dilutive options are added to the Diluted options.

/obsolete/ System compares total number of equivalent Buyback shares with the supplied number of common shares outstanding at the period end. Total number of buyback shares is limited to 20 percents of the common shares outstanding. If it is greater, system calculates and apply appropriate multiplication factor in order to limit buyback shares.

/obsolete/ Whenever the Modified Treasury Stock method is used, it is marked by appropriate explanation text at the bottom of report.

/obsolete/ Note that if you do not want Modified Treasury Stock method to be used, leave Outstanding report parameter at zero.

Subtracting the Buyback Shares from the Weighted Shares outstanding, system calculates number of Equivalent Shares outstanding.


If you specify adjustment parameter, that amount is divided with appropriate referring fair value to calculate equivalent number of adjustment shares.


At the end, Total number of Diluted Outstanding Shares is a difference between appropriate Equivalent Shares, NQ Tax Benefit Shares, and Adjustment Shares.

Report format is *Letter*, orientation is *Landscape*.

Report subtitle reflects report parameters you specified.

There is a set of radio buttons, with abbreviations beside, each corresponding and leading to the appropriate report in the weighted options outstanding set. Please use PD for Diluted Options, TBPD for NQ Tax Benefit/Diluted options, ADPD for Anti-Dilutive Report, and EPD for Unamortized Expenses/Diluted Options.

In order to actually view this Summary Report, please press the **Preview** button . You will also see how the report will look printed on paper. Press the **Continue** button to exit from the preview mode.

Press the **Print** button  to print this report. Print dialog will be shown, allowing you to select: printer, change its properties, mark if you want to print in the file, define print range (all pages or page subset), define page numbering starting page, select number of copies and collate settings.

Press the **Jump Back** button  to close this report.

| DILUTION SUMMARY | | Acme Company, Inc. | |
|---|-----------------|---|---------------|
| From 1/1/1999 to 12/31/1999 (365 days) | | ID: 12-126 | |
| Ending Fair Market Value \$15 | | Street Name Goes Here | |
| Combined Corporate Tax Rate 34% | | City, State, Zip | |
| Adjustment Value for Unamortized Expense \$15000 | | | |
| Fully Diluted Options Outstanding Summary | | Primary Diluted Options Outstanding Summary | |
| Greater of average or ending fair market value | \$15.0000 | Average fair market value | \$8.0455 |
| Weighted Shares Value | \$111,657.60 | Weighted Shares Value | \$59,591.48 |
| Weighted Shares Total Price | \$38,435.26 | Weighted Shares Total Price | \$38,435.26 |
| Weighted Shares | 7,443.84 | Weighted Shares | 7,406.85 |
| Buyback Shares - | 2,562.36 | Buyback Shares - | 4,715.89 |
| Equivalent Shares = | 4,881.48 | Equivalent Shares = | 2,690.96 |
| NQ Tax Benefit Shares - | 901.73 | NQ Tax Benefit Shares - | 496.00 |
| Adjustment Shares - | 1,000.00 | Adjustment Shares - | 1,864.00 |
| Total Fully Diluted Outstanding Shares | 2,979.75 | Total Primary Diluted Outstanding Shares | 330.96 |
| Anti-dilutive Weighted Shares (excluded from the calculations) | 20.55 | Anti-dilutive Weighted Shares (excluded from the calculations) | 57.54 |

Figure 104 – Dilution Summary Report

Options Data Check

Report shows if there are errors in the Options database. You can start Data Check procedure from the System Maintenance layout or from the Reports list.

Fields shown are: **Grant ID**, **Employee ID** and **Error Description**.

There is a trailing grand summary report part, showing total number of records listed.

If there are no errors found, appropriate message is shown and all Error Description fields are empty.

If there are errors found, you will be prompted to choose if you want to print this report. After you review Error Description fields, please correct the errors in the database.

Report format is *Letter*, orientation is *Portrait*.

Exercises

New Exercise Summary


Report presents summary information for new exercises created. It is activated by the **Summary** button on the "new exercises" screen.

At the top, there are optionee related data: **Optionee Name** and **Address, ID, SSN** (Social Security Number), **Insider Status** and **Exercise Date**.

Exercise summary data contain totals for: number of exercises, number of shares exercised, exercise value, option price, gain, tax and net gain.

Note that if you print the exercises, and then the system tells about updates due to overlimit YTD, the exercises should be printed again.

Report format is *Letter*, orientation is *Portrait*.

Press the **Print** button  to print this report. Print dialog will be shown, allowing you to select: printer, change its properties, mark if you want to print in the file, define print range (all pages or page subset), define page numbering starting page, select number of copies and collate settings.

Press the **Jump Back** button  to close this report.

| EXERCISE SUMMARY | | Acme Company, Inc. ID: 12-126 Street Name Goes Here City, State, Zip | |
|--|------------|---|-------------|
| Tom D. Young 11 South Street Santa Barbara, CA, 93101 | | Employee ID: AA001 SSN: 123-45-6789 Insider status: Not an insider Exercise date: Mar 28, 2001 | |
| Cash Exercises Summary | | | |
| Total number of exercises | 2 | Total exercise value | \$10,957.44 |
| Total shares exercised | 441 | Total option price | \$2,894.70 |
| Total shares issued | 441 | Total gain | \$8,062.74 |
| Total Due Company | \$6,252.82 | Total tax | \$3,358.12 |
| | | Total net gain | \$4,704.62 |

Figure 105 – New Exercise Summary

Exercises List


Report shows list of exercise cards, with following information: **Optionee Name** and **ID**, **Grant ID** and **Type**, **Grant Date**, **Share Price**, number of **Shares Granted** and **Exercised**, **Exercise Date** and **Type**, **Value** per Share, info if the tax payment is **Deferred**, **Total Value** and **Price**, **Total Tax Due** and **Total Tax Paid**.


Press the **Option Type**  or **Exercise Type**  button to sort records by option or exercise type.

There is a trailing grand summary report part, showing totals for: number of exercises listed, number of shares exercised, exercise value, exercise price, taxes due and taxes paid, as well as minimal, maximal and average value per share.

If the records are sorted either by option or exercise type, there are trailing summary parts, with same summary information as in the grand summary.

Report format is *Letter*, orientation is *Portrait*.

Press the **Preview** button  to see how the report will look printed on paper. You can browse through the report pages using the **book tool**. Press the **Continue** button to exit from the preview mode.

Press the **Print** button  to print this report. Print dialog will be shown, allowing you to select: printer, change its properties, mark if you want to print in the file, define print range (all pages or page subset), define page numbering starting page, select number of copies and collate settings.

Press the **Jump To Record List** button  if you want to filter records. After you finish, please press the **Back** button to return to this report.

You can browse through the record list using the record navigation buttons: go to previous, next, first and last record in the current found set.

Press the **Jump Back** button  to close this report.

EXERCISES

Acme Company, Inc.
 ID: 12-126
 Street Name Goes Here
 City, State, Zip

| | | | |
|-----------------------|-------------------------|-------------------------|------------|
| Name | Smith, John, Z. | Employee ID | AA002 |
| Grant ID | Plan 99B - 6 | Grant type | NQ |
| Grant date | October 1, 1999 | Share price | \$6.2500 |
| Shares granted | 1,000 | Shares exercised | 100 |
| Exercise date | November 1, 1999 | Value per share | \$6.5000 |
| Exercise type | Cash Exercise | Deferred payment | No |
| Total value | \$650.00 | Total tax due | \$10.41 |
| Total price | \$625.00 | Total tax paid | \$10.41 |
| Name | Fisher, Anna, S. | Employee ID | AA003 |
| Grant ID | Plan 99A - 3 | Grant type | NQ |
| Grant date | May 1, 1999 | Share price | \$5.0000 |
| Shares granted | 1,000 | Shares exercised | 200 |
| Exercise date | June 1, 2000 | Value per share | \$17.5160 |
| Exercise type | Same-Day-Sale Exercise | Deferred payment | No |
| Total value | \$3,503.20 | Total tax due | \$1,042.59 |
| Total price | \$1,000.00 | Total tax paid | \$1,042.59 |
| Name | Ericsson, Frederick, G. | Employee ID | AA005 |
| Grant ID | Plan 99A - 5 | Grant type | ISO |
| Grant date | May 1, 1999 | Share price | \$5.0000 |
| Shares granted | 5,000 | Shares exercised | 250 |
| Exercise date | November 11, 2000 | Value per share | \$22.3200 |
| Exercise type | SDS/Cash Exercise | Deferred payment | No |
| Total value | \$5,580.00 | Total tax due | \$0.00 |
| Total price | \$1,250.00 | Total tax paid | \$0.00 |
| Name | Ericsson, Frederick, G. | Employee ID | AA005 |
| Grant ID | Plan 99A - 11 | Grant type | NQA |
| Grant date | June 1, 1999 | Share price | \$6.0000 |
| Shares granted | 1,000 | Shares exercised | 500 |
| Exercise date | November 29, 1999 | Value per share | \$10.6500 |
| Exercise type | Cash Exercise | Deferred payment | Yes |
| Total value | \$5,325.00 | Total tax due | \$0.00 |
| Total price | \$3,000.00 | Total tax paid | \$0.00 |

Figure 106 – Exercises List

EXERCISES

Acme Company, Inc.
 ID: 12-126
 Street Name Goes Here
 City, State, Zip

Exercises for "ISO" grants

| | | | |
|-----------------------|-------------------------|-------------------------|-----------|
| Name | Ericsson, Frederick, G. | Employee ID | AA005 |
| Grant ID | Plan 99A - 5 | Grant type | ISO |
| Grant date | May 1, 1999 | Share price | \$5.0000 |
| Shares granted | 5,000 | Shares exercised | 250 |
| Exercise date | November 11, 2000 | Value per share | \$22.3200 |
| Exercise type | SDS/Cash Exercise | Deferred payment | No |
| Total value | \$5,580.00 | Total tax due | \$0.00 |
| Total price | \$1,250.00 | Total tax paid | \$0.00 |

SUMMARY for exercises for "ISO" grants

From Nov 11, 2000 to Nov 11, 2000

| | | | |
|----------------------------------|---------------|-----------------------------|------------|
| Total number of exercises | 1 | Total exercise value | \$5,580.00 |
| Total shares exercised | 250 | Total exercise price | \$1,250.00 |
| | min \$22.3200 | Total taxes due | \$0.00 |
| Exercise value per share | avg \$22.3200 | Total taxes paid | \$0.00 |
| | max \$22.3200 | | |

Exercises for "NQ" grants

| | | | |
|-----------------------|------------------|-------------------------|----------|
| Name | Smith, John, Z. | Employee ID | AA002 |
| Grant ID | Plan 99B - 6 | Grant type | NQ |
| Grant date | October 1, 1999 | Share price | \$6.2500 |
| Shares granted | 1,000 | Shares exercised | 100 |
| Exercise date | November 1, 1999 | Value per share | \$6.5000 |
| Exercise type | Cash Exercise | Deferred payment | No |
| Total value | \$650.00 | Total tax due | \$10.41 |
| Total price | \$625.00 | Total tax paid | \$10.41 |

| | | | |
|-----------------------|------------------|-------------------------|-----------|
| Name | Fisher, Anna, S. | Employee ID | AA003 |
| Grant ID | Plan 99C - 14 | Grant type | NQ |
| Grant date | May 31, 2000 | Share price | \$17.4600 |
| Shares granted | 1,000 | Shares exercised | 180 |
| Exercise date | May 31, 2000 | Value per share | \$17.4600 |
| Exercise type | Cash Exercise | Deferred payment | No |
| Total value | \$3,142.80 | Total tax due | \$0.00 |
| Total price | \$3,142.80 | Total tax paid | \$0.00 |

Figure 107 – Exercises List, grouped by Option Types (page one)

EXERCISES

Acme Company, Inc.
 ID: 12-126
 Street Name Goes Here
 City, State, Zip

| | | | |
|-----------------------|---------------------|-------------------------|-----------|
| Name | Fisher, Anna, S. | Employee ID | AA003 |
| Grant ID | Plan 99A - 3 | Grant type | NQ |
| Grant date | May 1, 1999 | Share price | \$5.0000 |
| Shares granted | 1,000 | Shares exercised | 10 |
| Exercise date | May 31, 2000 | Value per share | \$17.4600 |
| Exercise type | Stock Swap Exercise | Deferred payment | No |
| Total value | \$174.60 | Total tax due | \$51.91 |
| Total price | \$50.00 | Total tax paid | \$51.91 |

| | | | |
|-----------------------|------------------------|-------------------------|------------|
| Name | Fisher, Anna, S. | Employee ID | AA003 |
| Grant ID | Plan 99A - 3 | Grant type | NQ |
| Grant date | May 1, 1999 | Share price | \$5.0000 |
| Shares granted | 1,000 | Shares exercised | 200 |
| Exercise date | June 1, 2000 | Value per share | \$17.5160 |
| Exercise type | Same-Day-Sale Exercise | Deferred payment | No |
| Total value | \$3,503.20 | Total tax due | \$1,042.59 |
| Total price | \$1,000.00 | Total tax paid | \$1,042.59 |

| | | | |
|--|---------------|---------------------------------|------------|
| SUMMARY for exercises for "NQ " grants | | From Nov 1, 1999 to Jun 1, 2000 | |
| Total number of exercises | 4 | Total exercise value | \$7,470.60 |
| Total shares exercised | 490 | Total exercise price | \$4,817.80 |
| Exercise value per share | min \$6.5000 | Total taxes due | \$1,104.91 |
| | avg \$14.7340 | Total taxes paid | \$1,104.91 |
| | max \$17.5160 | | |

Exercises for "NQA" grants

| | | | |
|-----------------------|-------------------------|-------------------------|-----------|
| Name | Ericsson, Frederick, G. | Employee ID | AA005 |
| Grant ID | Plan 99A - 11 | Grant type | NQA |
| Grant date | June 1, 1999 | Share price | \$6.0000 |
| Shares granted | 1,000 | Shares exercised | 500 |
| Exercise date | November 29, 1999 | Value per share | \$10.6500 |
| Exercise type | Cash Exercise | Deferred payment | Yes |
| Total value | \$5,325.00 | Total tax due | \$0.00 |
| Total price | \$3,000.00 | Total tax paid | \$0.00 |

Figure 108 - Exercises List, grouped by Option Types (page two)

EXERCISES

Acme Company, Inc.
 ID: 12-126
 Street Name Goes Here
 City, State, Zip

| | | | | | |
|--|-----|--|-----------|-----------------------------------|-------------|
| SUMMARY for exercises for "NQA" grants | | | | From Nov 29, 1999 to Nov 29, 1999 | |
| Total number of exercises | | | 1 | Total exercise value | \$5,325.00 |
| Total shares exercised | | | 500 | Total exercise price | \$3,000.00 |
| | min | | \$10.6500 | Total taxes due | \$0.00 |
| Exercise value per share | avg | | \$10.6500 | Total taxes paid | \$0.00 |
| | max | | \$10.6500 | | |
| SUMMARY for exercises listed | | | | From Nov 1, 1999 to Nov 11, 2000 | |
| Total number of exercises | | | 6 | Total exercise value | \$18,375.60 |
| Total shares exercised | | | 1,240 | Total exercise price | \$9,067.80 |
| | min | | \$6.5000 | Total taxes due | \$1,104.91 |
| Exercise value per share | avg | | \$15.3177 | Total taxes paid | \$1,104.91 |
| | max | | \$22.3200 | | |

Figure 109 - Exercises List, grouped by Option Types (page three)

Exercise Summary Statement

Report lists exercise records, grouped by optionees.

Fields shown are: **Exercise Date**, **Grant Date**, **Grant Type**, **Exercise Type**, number of **Shares Exercised**, **Share Price**, Share exercise **Value** and **Total Gain** realized.

Press the **Optionee Name**  or **Exercise Type**  button to sort records by name or type.


Exercise Type can be one of the following: Cash, Same-Day-Sale, SDS/Cash, Stock Swap, Pyramid Exercise, Loan Exercise or SAR Exercise.


There are trailing summary report parts, for every new optionee and exercise type, showing sum for total gain.

There is a trailing grand summary report part, showing totals for: number of exercises listed, number of shares exercised, exercise value, exercise price, taxes due and taxes paid, as well as minimal, maximal and average value per share.

Report format is *Letter*, orientation is *Portrait*, page break before every new optionee or exercise type.

Report subtitle shows actual minimal and maximal exercise date from the records in the current found set.

Press the **Preview** button  to see how the report will look printed on paper. You can browse through the report pages using the **book tool**. Press the **Continue** button to exit from the preview mode.

Press the **Print** button  to print this report. Print dialog will be shown, allowing you to select: printer, change its properties, mark if you want to print in the file, define print range (all pages or page subset), define page numbering starting page, select number of copies and collate settings.

Press the **Jump To Record List** button  if you want to filter records. After you finish, please press the **Back** button to return to this report.

You can browse through the record list using the record navigation buttons: go to previous, next, first and last record in the current found set.

Press the **Jump Back** button  to close this report.

EXERCISE SUMMARY

From Nov 1, 1999 to Nov 11, 2000

Acme Company, Inc.

ID: 12-126

Street Name Goes Here

City, State, Zip

Frederick G. Ericsson**00 Golden Way****Santa Barbara, CA, 93101**







| Exercise date | Grant date | Grant type | Exercise type | Shares exercised | Share price | Share value | Total gain |
|--------------------------------|-------------------|-------------------|----------------------|-------------------------|--------------------|--------------------|-------------------|
| 11/29/1999 | 6/1/1999 | NQA | Cash | 500 | \$6.0000 | \$10.6500 | \$2,325.00 |
| 11/11/2000 | 5/1/1999 | ISO | SDS-Cash | 250 | \$5.0000 | \$22.3200 | \$4,330.00 |
| TOTAL for 2 exercise(s) | | | | 750 | | | \$6,655.00 |

Figure 110 – Exercise Summary

Exercise Details

Report lists comprehensive exercise details.

Fields shown are: **Optionee Name**, **ID**, **Option ID**, **Grant Type**, **Grant Date**, **Exercise Date**, **Exercise Type**, number of **Shares Exercised**, **Grant Date Fair Value**, **Exercise Price**, Share exercise **Value** and **Total Gain** realized.

Press the **Optionee Name**  or **Option ID**  or **Exercise Type**  or **Option Type**  or **Exercise Date**  or **Option Date**  button to sort records by chosen field.


There are trailing summary report parts, for every new optionee, option record, option type, exercise type, option date, and exercise date, showing sum for total shares exercised and total gain.


There is a trailing grand summary report part, showing total number of shares exercised, and total gain.

Report format is *Letter*, orientation is *Landscape*.

Report subtitle reflects report inputs specified.

Press the Export button to export records listed into file.

Press the **Preview** button  to see how the report will look printed on paper. You can browse through the report pages using the **book tool**. Press the **Continue** button to exit from the preview mode.

Press the **Print** button  to print this report. Print dialog will be shown, allowing you to select: printer, change its properties, mark if you want to print in the file, define print range (all pages or page subset), define page numbering starting page, select number of copies and collate settings.

Press the **Jump To Record List** button  if you want to filter records. After you finish, please press the **Back** button to return to this report.

You can browse through the record list using the record navigation buttons: go to previous, next, first and last record in the current found set.







Press the **Jump Back** button  to close this report.

Intrinsic Value

Report shows details behind intrinsic value calculation for shares exercised during the specified reporting report, as shown on the Option Activity Summary report.

Fields shown are: **Option ID**, **Optionee Name**, **Grant Type**, **Grant Date**, **Exercise Date**, **Exercise Type**, **Exercise Price**, share exercise **Value** (stored in exercise record), **Fair Market Value** on exercise date, number of **Shares Exercised**, and **Intrinsic Value**.


Intrinsic Value is calculated as a difference between fair market value on exercise date and exercise price, multiplied by the number of shares exercised. If there is no fair market value on exercise date recorded in the Prices table, then system uses exercise value stored in the exercise record.


Press the **Optionee Name**  or **Option ID**  or **Exercise Type**  or **Option Type**  or **Exercise Date**  or **Option Date**  button to sort records by chosen field.

There is a trailing grand summary report part, showing total number of shares exercised, and total intrinsic value

Report format is *Letter*, orientation is *Landscape*.

Report subtitle reflects report inputs specified.

Press the **Preview** button  to see how the report will look printed on paper. You can browse through the report pages using the **book tool**. Press the **Continue** button to exit from the preview mode.

Press the **Print** button  to print this report. Print dialog will be shown, allowing you to select: printer, change its properties, mark if you want to print in the file, define print range (all pages or page subset), define page numbering starting page, select number of copies and collate settings.

Press the **Jump To Record List** button  if you want to filter records. After you finish, please press the **Back** button to return to this report.

You can browse through the record list using the record navigation buttons: go to previous, next, first and last record in the current found set.

Press the **Jump Back** button  to close this report.

Current Exercise Record

Report shows details of the current exercise record. It contains all the exercise information and can be issued to an optionee as an exercise confirmation.

Typically, you start this report from the exercise details layout or by pressing the **Print Exercise** button, located near each exercise record in the list.

There are different exercise confirmation report for every exercise type.

Exercise type is one of the following: Cash, Same-Day-Sale, SDS/Cash, Stock Swap, Pyramid Exercise, Loan Exercise or SAR Exercise. For Cash and SDS/Cash exercise types, two report subtypes exist, according to the Preferences about SDS-Exercise gain calculation settings (exercise value or sale price).


At the top there are **optionee** information, common for every exercise type: name, address, social security number and insider status, and general exercise data: option id, date and type, exercise date, number of shares exercised, exercise value per share and option price per share. Exercise notes are shown under the report title.


Then, there is an **exercise calculation** and **tax related** information. These report parts are different for every exercise type.

Issuance related instructions shows: optionee registration name and address, certificate data, conformation number and other info. This report part slightly differs for various exercise types.

At the end, there is an editable **exercise footer**. You can change its contents, but be aware that this changes will be applied to all exercise records.

Report format is *Letter*, orientation is *Portrait*.

Press the **E-mail report** button  to send this report by e-mail, without printing it on paper. Report will be sent only if an employee has e-mail address specified. Based on the system Preferences, e-mail can be sent with or without your confirmation (preview) in your default e-mail client.

Press the **Print** button  to print this report. Print dialog will be shown, allowing you to select: printer, change its properties, mark if you want to print in the file, define print range (all pages or page subset), define page numbering starting page, select number of copies and collate settings.

Press the **Jump To Record List** button  if you want to filter records. After you finish, please press the **Back** button to return to this report.

You can browse through the record list using the record navigation buttons: go to previous, next, first and last record in the current found set.

Press the **Jump Back** button  to close this report.

All Current Exercise Records

Report shows details for all exercise record that are of the same type as current exercise record. It contains all the exercise information and can be issued to an optionee as an exercise confirmation.

Typically, you start this report by pressing the **Print All Exercises** button, located near each exercise record in the list.

There are different exercise confirmation report for every exercise type.

Exercise type is one of the following: Cash, Same-Day-Sale, SDS/Cash, Stock Swap, Pyramid Exercise, Loan Exercise or SAR Exercise. For Cash and SDS/Cash exercise types, two report subtypes exist, according to the Preferences about SDS-Exercise gain calculation settings (exercise value or sale price).

At the top there are **optionee** information, common for every exercise type: name, address, social security number and insider status, and general exercise data: option id, date and type, exercise date, number of shares exercised, exercise value per share and option price per share.


Then, there is an **exercise calculation** and **tax related** information. These report parts are different for every exercise type.


Issuance related instructions shows: optionee registration name and address, certificate data, conformation number and other info. This report part slightly differs for various exercise types.


At the end, there is an editable **exercise footer**. You can change its contents, but be aware that this changes will be applied to all exercise records.

There is a trailing grand summary report part, showing totals for: number of exercises listed, number of shares exercised, exercise value, exercise price, taxes due and taxes paid, as well as minimal, maximal and average value per share.

Report format is *Letter*, orientation is *Portrait*, page break before every new optionee.

Press the **E-mail report** button  to send this report by e-mail, without printing it on paper. Report will be sent to all employees that have their e-mail addresses specified. Based on the system Preferences, e-mails can be sent with or without your confirmation (preview) in your default e-mail client.

Press the **Preview** button  to see how the report will look printed on paper. You can browse through the report pages using the **book tool**. Press the **Continue** button to exit from the preview mode.

Press the **Print** button  to print this report. Print dialog will be shown, allowing you to select: printer, change its properties, mark if you want to print in the file, define print range (all pages or page subset), define page numbering starting page, select number of copies and collate settings.

Press the **Jump To Record List** button  if you want to filter records. After you finish, please press the **Back** button to return to this report.

You can browse through the record list using the record navigation buttons: go to previous, next, first and last record in the current found set.

Press the **Jump Back** button  to close this report.

CASH EXERCISE

Acme Company, Inc.
 ID: 12-126
 Street Name Goes Here
 City, State, Zip

Anna S. Fisher
99 Central Bay
San Diego, CA, 91101
 SSN: 202-11-4545
 Insider status: Not an insider

Option ID Plan 99C - 14
 Option Date May 31, 2000
 Option Type NQ
 Exercise Date May 31, 2000
 Shares Exercised 180
 Exercise Value (per Share) \$17.4600
 Option Price (per Share) \$17.4600

Cash Exercise Calculation

| | | Shares Exercised | | Exercise Value | | |
|-----------------|------------|------------------|----------|----------------|---------------|-----------------------------|
| Market Value | \$3,142.80 | = | 180 | x | \$17.4600 | Shares Traded for Taxes? No |
| - Option Cost | \$3,142.80 | = | 180 | x | \$17.4600 | Shares Traded |
| Total Gain | \$0.00 | | | Option Price | x Trade Value | |
| Total Tax Due | \$0.00 | | Net Gain | \$0.00 | | Total Trade Value |
| Option Cost | \$3,142.80 | | | | | |
| + Total Tax | \$0.00 | | | | | |
| + Brokerage Fee | \$10.00 | | | | | Shares Exercised 180 |
| Due Company | \$3,152.80 | | | | | Shares Issued 180 |

Taxes

| Tax | Rate | Tax Due* | Withheld | Deferred Tax Payment? | No |
|-----------------|---------|----------|----------|--|----|
| Federal | 28.000% | | | | |
| Medicare | 1.450% | | | | |
| Social Security | 6.200% | | | | |
| State - CA | 6.000% | | | | |
| Total Tax | | \$0.00 | \$0.00 | * Yearly interest and YTD paid amounts taken into account where applicable | |

Instructions

Registration: Certificates 1 x 180
 Fisher, Anna, S. Confirm Date
 99 Central Bay Account number OA003
 San Diego CA 91101

Option check attached _____
 Tax check attached _____
 Check issued/received _____

Forward to cashier _____
 Shares issued _____
 Shares canceled _____

APPROVED BY: _____

Figure 111 – Cash Exercise

SAME-DAY-SALE EXERCISE

Acme Company, Inc.
ID: 12-126
Street Name Goes Here
City, State, Zip

Anna S. Fisher
99 Central Bay
San Diego, CA, 91101
SSN: 202-11-4545
Insider status: Not an insider

Option ID Plan 99A - 3
Option Date May 1, 1999
Option Type NQ
Exercise Date Jun 1, 2000
Shares Exercised 200
Exercise Value (per Share) \$17.5160
Option Price (per Share) \$5.0000

Same-Day-Sale Exercise Calculation

| | | Shares Sold | | Sale Price | | |
|-----------------|------------|-------------|------------------|--------------|-----------|----------------------------|
| Total Sale | \$3,503.20 | = | 200 | x | \$17.5160 | Shares Exercised 200 |
| - Option Cost | \$1,000.00 | = | 200 | x | \$5.0000 | x Exercise Value \$17.5160 |
| Total Gain | \$2,503.20 | | Shares Exercised | Option Price | | Market Value \$3,503.20 |
| Total Tax Due | \$1,042.59 | | Net Gain | \$1,460.61 | | |
| Total Sale | \$3,503.20 | = | 200 | x | \$17.5160 | |
| - Option Cost | \$1,000.00 | | Shares Sold | Sale Price | | |
| - Total Tax | \$1,042.59 | | | | | |
| - Brokerage Fee | \$25.00 | | | | | |
| Due Optionee | \$1,435.61 | | W-2 Income | \$2,503.20 | | |

Taxes

| Tax | Rate | Tax Due* | Withheld | Deferred Tax Payment? | No |
|-----------------|---------|------------|------------|-----------------------|----|
| Federal | 28.000% | \$700.90 | \$700.90 | | |
| Medicare | 1.450% | \$36.30 | \$36.30 | | |
| Social Security | 6.200% | \$155.20 | \$155.20 | | |
| State - CA | 6.000% | \$150.19 | \$150.19 | | |
| Total Tax | | \$1,042.59 | \$1,042.59 | | |

* Yearly limits and YTD paid amounts taken into account where applicable

Instructions

Registration: Certificates 1 x 200
Winner Broker Confirm Date
Mike Miles Account number OA003
33 West 34th Street
New York NY 10001

Option check attached _____
Tax check attached _____
Check issued/received _____

Forward to cashier _____
Shares issued _____
Shares canceled _____

APPROVED BY: _____

Figure 112 – Same-Day-Sale Exercise

SDS/CASH EXERCISE

Acme Company, Inc.
 ID: 12-126
 Street Name Goes Here
 City, State, Zip

Frederick G. Ericsson
00 Golden Way
Santa Barbara, CA, 93101
 SSN: 401-23-5325
 Insider status: Director

Option ID Plan 99A - 5
 Option Date May 1, 1999
 Option Type ISO
 Exercise Date Nov 11, 2000
 Shares Exercised 250
 Exercise Value (per Share) \$22.3200
 Option Price (per Share) \$5.0000
 Confirm Date

SDS/Cash Exercise Calculation

| | | Shares Sold | | Sale Price | | |
|-----------------|------------|-------------|------------------|------------|----------------|--------------------------|
| Total Sale | \$1,272.24 | = | 57 | x | \$22.3200 | |
| | | | Shares Unsold | | Exercise Value | Shares Traded for Taxes? |
| + Unsold Value | \$4,307.76 | = | 193 | x | \$22.3200 | No |
| - Option Cost | \$1,250.00 | = | 250 | x | \$5.0000 | Shares Traded |
| | | | Shares Exercised | | Option Price | x Trade Value |
| Total Gain | \$4,330.00 | | | | | Total Trade Value |
| Total Tax Due | \$0.00 | | Net Gain | \$4,330.00 | | |
| Total Sale | \$1,272.24 | = | 57 | x | \$22.3200 | |
| - Option Cost | \$1,250.00 | | Shares Sold | | Sale Price | |
| - Total Tax | \$0.00 | | | | | Shares Exercised 250 |
| - Brokerage Fee | \$50.00 | | | | | - Shares Sold 57 |
| Due Company | (\$27.76) | | W-2 Income | \$937.24 | | Shares Issued 193 |

Taxes

| Tax | Rate | Tax Due* | Withheld | Deferred Tax Payment? | No |
|-----------|------|----------|----------|--|----|
| Total Tax | | \$0.00 | \$0.00 | * Yearly income and YTD paid amounts taken into account where applicable | |

Instructions

(SDS portion)
 Brokers Co., Inc.
 Neil Smith
 101 North Street
 San Francisco CA 94104
 Account no.: 0A005
 Certificates: 1 x 57

(Cash portion)
 Ericsson, Frederick, G.
 00 Golden Way
 Santa Barbara CA 93101
 Certificates: 1 x 193

Date: 3/26/2001 Time: 3:07:17 PM

APPROVED BY: _____

Figure 113 – Same-Day-Sale/Cash Exercise

SWAP EXERCISE

Acme Company, Inc.
 ID: 12-126
 Street Name Goes Here
 City, State, Zip

Anna S. Fisher
99 Central Bay
San Diego, CA, 91101
 SSN: 202-11-4545
 Insider status: Not an insider

Option ID Plan 99A - 3
 Option Date May 1, 1999
 Option Type NQ
 Exercise Date May 31, 2000
 Shares Exercised 10
 Exercise Value (per Share) \$17.4600
 Option Price (per Share) \$5.0000

Stock Swap Exercise Calculation

| | | Shares Exercised | | Exercise Value | | |
|---------------------|----------|------------------|-----------------------|----------------|--------------|------------------------------|
| Market Value | \$174.60 | = | 10 | x | \$17.4600 | Shares Traded for Taxes? Yes |
| - Option Cost | \$50.00 | = | 10 | x | \$5.0000 | Shares Traded 2 |
| | | | | | Option Price | x Trade Value \$17.4600 |
| Total Gain | \$124.60 | | | | | Total Trade Value \$34.92 |
| Total Tax Due | \$51.91 | | Net Gain | \$72.69 | | Shares Exercised 10 |
| | | | | | | - Shares Traded 2 |
| Option Cost | \$50.00 | | | | | = Shares Issued 8 |
| + Total Tax | \$51.91 | | Shares Swapped | Swap Value | | - Shares Swapped 2 |
| - Total Swap Value | \$34.92 | = | 2 | x | \$17.4600 | Incremental Shares 6 |
| - Total Trade Value | \$34.92 | | | | | Shares Tendered 2 |
| | | | Incremental Tax Basis | \$23.2800 | | - Shares Swapped 2 |
| Due Company | \$32.07 | | | | | Shares Returned 0 |

Taxes

| Tax | Rate | Tax Due* | Withheld | Deferred Tax Payment? | No |
|-----------------|---------|----------|----------|-----------------------|----|
| Federal | 28.000% | \$34.89 | \$34.89 | | |
| Medicare | 1.450% | \$1.81 | \$1.81 | | |
| Social Security | 6.200% | \$7.73 | \$7.73 | | |
| State - CA | 6.000% | \$7.48 | \$7.48 | | |
| Total Tax | | \$51.91 | \$51.91 | | |

* Yearly totals and YTD paid amounts taken into account where applicable

Instructions

Registration: Certificates 1 x 8
 Fisher, Anna, S. Confirm Date
 99 Central Bay
 San Diego CA 91101

Option check attached _____ Forward to cashier _____
 Tax check attached _____ Shares issued _____
 Check issued/received _____ Shares canceled _____


APPROVED BY: _____


Figure 114 – Swap Exercise

Issuance Summary

Report lists confirmed exercises, grouped by registration names. It provides information for a transfer agent to issue and deliver shares to a broker or selected address.

You have to specify range of confirmation dates (**From** and **To** dates).

Press the **Find** button  to generate the report.

Press the **Find All** button  to clear report parameters and find all records.


Fields shown are: **Exercise ID**, **Exercise Date**, **Confirmation Date**, optionee's **Registration Name** and **Address**, **Option ID**, **Date** and **Type**, number of **Shares Exercised**, **Swapped** for taxes, **Traded** and **Issued**.


There are trailing summary report parts, one for every registration name and grand summary, showing total number of issuances listed and totals, minimal, maximal and average values for the number of shares: exercised, swapped, traded and issued.

Records are sorted by exercise date.

Report format is *Letter*, orientation is *Landscape*, page break before every new registration name.

Report subtitle reflects report parameters you specified.

Press the **Preview** button  to see how the report will look printed on paper. You can browse through the report pages using the **book tool**. Press the **Continue** button to exit from the preview mode.

Press the **Print** button  to print this report. Print dialog will be shown, allowing you to select: printer, change its properties, mark if you want to print in the file, define print range (all pages or page subset), define page numbering starting page, select number of copies and collate settings.

Press the **Jump To Record List** button  if you want to filter records. After you finish, please press the **Back** button to return to this report.

You can browse through the record list using the record navigation buttons: go to previous, next, first and last record in the current found set.

Press the **Jump Back** button  to close this report.

ISSUANCE SUMMARY

Confirmation date
From 7/4/2000 to 7/4/2000

Acme Company, Inc.
ID: 12-126
Street Name Goes Here
City, State, Zip

Registration Brokers Co., Inc.
Neil Smith

| Exercise / ID | Confirm. Date | Registration / Address | Optionee / ID / SSN / Account | SEC16 | Option ID | Option Date | Option Type | Shares Exercised | Shares Swapped | Shares Traded | Shares Issued |
|--|-----------------------|---|--|-------|--------------|----------------|----------------|---------------------|-------------------|------------------|------------------|
| 1 | 11/1/1999 7/4/2000 | Brokers Co., Inc. Neil Smith 101 North Street San Francisco CA 94104 | John Z. Smith AA002 100-20-0555 OA002 | No | Plan 99B - 6 | 10/1/1999 | NQ | 100 | | | 100 |
| Registration Brokers Co., Inc. Neil Smith | | | | | | | | Total | 100 | | 100 |
| | | | | | | | | min | 100 | | 100 |
| | | | | | | | | avg | 100.00 | | 100.00 |
| Issuances 1 | | | | | | | | max | 100 | | 100 |
| | | | | | | | | | | | |
| Total Issuances 1 | | | | | | | | Total | 100 | | 100 |
| | | | | | | | | min | 100 | | 100 |
| | | | | | | | | avg | 100.00 | | 100.00 |
| | | | | | | | | max | 100 | | 100 |

Figure 115 – Issuance Summary

Brokers SDS Summary

Report lists confirmed Same Day Sale exercises, grouped by brokers.

You have to specify range of confirmation dates (**From** and **To** dates).

Press the **Find** button  to generate the report.

Press the **Find All** button  to clear report parameters and find all records.


Fields shown are: **Exercise** and **Confirmation Date**, **Optionee Name** and **Account Number**, number of **Shares Sold**, **Sale Price**, **Total Sale Price**, brokerage **Fee**, **Total Option Price**, **Total Taxes**, **Tax Due Company** and **Due Optionee**.


There are trailing summary report parts, one for every broker and grand summary, showing total number of issuances listed and totals for: total sale price, fee, total option price, total taxes, due company and due employee.


Records are sorted by exercise date.

Report format is *Letter*, orientation is *Landscape*, page break before every new broker.

Report subtitle reflects report parameters you specified.

Press the **E-mail report** button  to send this report by e-mail, without printing it on paper. Report will be sent to all brokers that have their e-mail addresses specified. Based on the system Preferences, e-mails can be sent with or without your confirmation (preview) in your default e-mail client.

Press the **Preview** button  to see how the report will look printed on paper. You can browse through the report pages using the **book tool**. Press the **Continue** button to exit from the preview mode.

Press the **Print** button  to print this report. Print dialog will be shown, allowing you to select: printer, change its properties, mark if you want to print in the file, define print range (all pages or page subset), define page numbering starting page, select number of copies and collate settings.

Press the **Jump To Record List** button  if you want to filter records. After you finish, please press the **Back** button to return to this report.

You can browse through the record list using the record navigation buttons: go to previous, next, first and last record in the current found set.

Press the **Jump Back** button  to close this report.

BROKERS SAME DAY SALE SUMMARY

Confirmation dates from 7/1/2000 to 7/1/2000

Acme Company, Inc.

ID: 12-126

Street Name Goes Here

City, State, Zip

| Broker ID | | Broker | Address | | | | | | |
|---|-------------------------|----------------|--|------------------------|---------|--------------------------|----------------|----------------|-----------------|
| My Broker | | Winner Broker | 33 West 34th Street New York NY 10001 | | | | | | |
| Exercise / Confirm Date | Optionee / Account | Shares Sold | Sale Price | Total Sale Price | Fee | Total Option Price | Total Taxes | Due Company | Due Optionee |
| 6/1/2000 7/1/2000 | Anna S. Fisher OA003 | 200 | \$17.5160 | \$3,503.20 | \$25.00 | \$1,000.00 | \$1,042.59 | \$2,042.59 | \$1,435.61 |
| Broker My Broker Issuances 1 | | Total | 200 | \$3,503.20 | \$25.00 | \$1,000.00 | \$1,042.59 | \$2,042.59 | \$1,435.61 |
| Total Issuances 1 | | Total | 200 | \$3,503.20 | \$25.00 | \$1,000.00 | \$1,042.59 | \$2,042.59 | \$1,435.61 |

Figure 116 – Brokers Same-Day-Sale Summary

Brokers Cash Summary

Report lists confirmed Cash exercise records, where optionees chose to transfer shares to the brokerage firm. Exercises are grouped by brokers.

You have to specify range of confirmation dates (**From** and **To** dates).

Press the **Find** button  to generate the report.

Press the **Find All** button  to clear report parameters and find all records.


Fields shown are: **Exercise** and **Confirmation Date**, **Optionee Name** and **Account Number**, number of **Shares Exercised**, **Exercise Value**, **Total Exercise Value**, brokerage **Fee**, **Total Option Price**, **Total Taxes**, **Tax Due Company** and **Due Optionee**.


There are trailing summary report parts, one for every broker and grand summary, showing total number of issuances listed and totals for: total sale price, fee, total option price, total taxes, due company and due employee.


Records are sorted by exercise date.

Report format is *Letter*, orientation is *Landscape*, page break before every new broker.

Report subtitle reflects report parameters you specified.

Press the **E-mail report** button  to send this report by e-mail, without printing it on paper. Report will be sent to all brokers that have their e-mail addresses specified. Based on the system Preferences, e-mails can be sent with or without your confirmation (preview) in your default e-mail client.

Press the **Preview** button  to see how the report will look printed on paper. You can browse through the report pages using the **book tool**. Press the **Continue** button to exit from the preview mode.

Press the **Print** button  to print this report. Print dialog will be shown, allowing you to select: printer, change its properties, mark if you want to print in the file, define print range (all pages or page subset), define page numbering starting page, select number of copies and collate settings.

Press the **Jump To Record List** button  if you want to filter records. After you finish, please press the **Back** button to return to this report.

You can browse through the record list using the record navigation buttons: go to previous, next, first and last record in the current found set.

Press the **Jump Back** button  to close this report.

BROKERS CASH SUMMARY

Confirmation dates from 7/4/2000 to 7/4/2000

Acme Company, Inc.

ID: 12-126

Street Name Goes Here

City, State, Zip

| Broker ID | | Broker | Address | | | | | | |
|--|-------------------------------|-----------------------------|--|-------------------------------------|------------|-----------------------------------|------------------------|------------------------|-------------------------|
| Schwab | | Broker Co., Inc. | 101 North Street San Francisco CA 94104 | | | | | | |
| Exercise / Confirm Date | Optionee / Account | Shares Exercised | Exercise Value | Total Exercise Value | Fee | Total Option Price | Total Taxes | Due Company | Due Optionee |
| 11/1/1999 7/4/2000 | John Z. Smith OA002 | 100 | \$6,500.00 | \$650.00 | \$20.00 | \$625.00 | \$10.41 | \$635.41 | \$0.00 |
| Broker Schwab | | Total | 100 | \$650.00 | \$20.00 | \$625.00 | \$10.41 | \$635.41 | \$0.00 |
| Issuances 1 | | | | | | | | | |
| Total Issuances 1 | | Total | 100 | \$650.00 | \$20.00 | \$625.00 | \$10.41 | \$635.41 | \$0.00 |


Figure 117 – Brokers Cash Summary

Exercised Shares Vesting

Report lists exercises with vest dates, grouped by option types.

You have to specify range of exercise dates (**From** and **To** dates).

Press the **Find** button  to generate the report.

Press the **Find All** button  to clear report parameters and find all records.


Fields shown are: **Optionee Name** and **ID**, **Option ID**, **Type** and **Date**, number of **Shares Exercised**, **Share Price**, **Total Price** and **Vest Date**.


There are trailing summary report parts, one for every option type and grand summary, showing totals for number of shares exercised and total price.

Records are sorted by option id.

Report format is *Letter*, orientation is *Landscape*, page break before every new option type.

Report subtitle reflects report parameters you specified.

Press the **Preview** button  to see how the report will look printed on paper. You can browse through the report pages using the **book tool**. Press the **Continue** button to exit from the preview mode.

Press the **Print** button  to print this report. Print dialog will be shown, allowing you to select: printer, change its properties, mark if you want to print in the file, define print range (all pages or page subset), define page numbering starting page, select number of copies and collate settings.

Press the **Jump To Record List** button  if you want to filter records. After you finish, please press the **Back** button to return to this report.

You can browse through the record list using the record navigation buttons: go to previous, next, first and last record in the current found set.

Press the **Jump Back** button  to close this report.

EXERCISED SHARES VESTING

From 1/1/2000 to 12/31/2000

Acme Company, Inc.
 ID: 12-126
 Street Name Goes Here
 City, State, Zip

| Option Type ISO (Incentive Stock Option) | | | | | | | | |
|--|-------|--------------|------|-------------|------------------|-------------|-------------|-----------|
| Optionee | ID | Option ID | Type | Option Date | Shares Exercised | Share Price | Total Price | Vest Date |
| Frederick G. Ericsson | AA005 | Plan 99A - 5 | ISO | 5/1/1999 | 250 | \$5.0000 | \$1,250.00 | 5/1/2000 |
| Total | | | | | 250 | | \$1,250.00 | |

Figure 118 – Exercised Shares Vesting (part one)

EXERCISED SHARES VESTING

From 1/1/2000 to 12/31/2000

Acme Company, Inc.
 ID: 12-126
 Street Name Goes Here
 City, State, Zip


| Option Type NQ (Non-Qualified Stock Option) | | | | | | | | |
|---|-------|---------------|------|-------------|------------------|-------------|-------------|-----------|
| Optionee | ID | Option ID | Type | Option Date | Shares Exercised | Share Price | Total Price | Vest Date |
| Anna S. Fisher | AA003 | Plan 99A - 3 | NQ | 5/1/1999 | 210 | \$5.0000 | \$1,050.00 | 5/1/2000 |
| Anna S. Fisher | AA003 | Plan 99C - 14 | NQ | 5/31/2000 | 180 | \$17.4600 | \$3,142.80 | 5/31/2000 |
| Total | | | | | 390 | | \$4,192.80 | |
| Total | | | | | 640 | | \$5,442.80 | |

Figure 119 – Exercised Shares Vesting (part two)

Deferred Taxes Report

Report lists exercises with deferred tax payment, grouped by optionees.

You have to specify range of tax due dates (**From** and **To** dates).

Press the **Find** button  to generate the report.

Press the **Find All** button  to clear report parameters and find all records.

Fields shown are: **Option ID**, **Option Type**, **Exercise Date**, **Exercise Type**, number of **Shares Exercised**, **Share Price**, **Total Price** and **Tax Due Date**.


There is a trailing summary report part for every optionee, showing totals for number of shares exercised and total price.


Please note that taxes will be calculated on the difference between total fair value of the shares on the due date and the total price.


Records are sorted by option id.

Report format is *Letter*, orientation is *Portrait*, page break before every new optionee.

Report subtitle reflects report parameters you specified.

Press the **E-mail report** button  to send this report by e-mail, without printing it on paper. Report will be sent to all employees that have their e-mail addresses specified. Based on the system Preferences, e-mails can be sent with or without your confirmation (preview) in your default e-mail client.

Press the **Preview** button  to see how the report will look printed on paper. You can browse through the report pages using the **book tool**. Press the **Continue** button to exit from the preview mode.

Press the **Print** button  to print this report. Print dialog will be shown, allowing you to select: printer, change its properties, mark if you want to print in the file, define print range (all pages or page subset), define page numbering starting page, select number of copies and collate settings.

Press the **Jump To Record List** button  if you want to filter records. After you finish, please press the **Back** button to return to this report.

You can browse through the record list using the record navigation buttons: go to previous, next, first and last record in the current found set.

Press the **Jump Back** button  to close this report.

DEFERRED TAXES REPORT

Tax Due Dates from 11/1/1999 to 11/30/1999

Acme Company, Inc.

ID: 12-126

Street Name Goes Here

City, State, Zip

| Optionee | | ID | \$\$N | Insider Status | | | |
|--------------------------|--------------------|----------------------|----------------------|-------------------------|--------------------|--------------------|---------------------|
| Frederick G. Ericsson | | AA005 | 401-23-5325 | Director | | | |
| 00 Golden Way | | | | | | | |
| Santa Barbara, CA, 93101 | | | | | | | |
| Option ID | Option Type | Exercise Date | Exercise Type | Shares Exercised | Share Price | Total Price | Tax Due Date |
| Plan 99A - 11 | NQA | 11/29/1999 | Cash | 500 | \$6.0000 | \$3,000.00 | 11/30/1999 |
| Total | | | | 500 | | \$3,000.00 | |

Please note that taxes will be calculated on the difference between total fair value of the shares on the due date and the total price.

Figure 120 – Deferred Taxes Report


Tax Withheld Report

Report lists optionee's tax paid details for up to seven taxes, as a result of exercises, deferred tax payments or disqualifying dispositions. Records are grouped by optionees.

You have to specify range of dates (**From** and **To** dates). For exercises, system tests if exercise date belongs to specified period; for deferrals, it is tax due date and for option dispositions - disposition date.

You can specify transaction type, by selecting one from the drop down list. This will take only exercises, deferrals or disposition records into account.

Press the **Find** button  to generate the report.

Press the **Find All** button  to clear the reporting parameters and find all records.


Fields shown are: **Option ID**, **Exercise Date**, **Transaction Type** (Exercise, Deferral or Disposition), **Tax Due Date**, **Tax Basis**, **Shares**, **W-2 Income** and **Tax table** for up to seven taxes, with Tax Name, Rate and Withheld amount in every row.


There are trailing summary report parts, one for every optionee and grand summary, showing totals for number of shares, W-2 income and taxes.


Records are sorted by option id.

Report format is *Letter*, orientation is *Landscape*, page break before every new optionee.

Report subtitle reflects report parameters you specified.

Press the **E-mail report** button  to send this report by e-mail, without printing it on paper. Report will be sent to all employees that have their e-mail addresses specified. Based on the system Preferences, e-mails can be sent with or without your confirmation (preview) in your default e-mail client.

Press the **Preview** button  to see how the report will look printed on paper. You can browse through the report pages using the **book tool**. Press the **Continue** button to exit from the preview mode.

Press the **Print** button  to print this report. Print dialog will be shown, allowing you to select: printer, change its properties, mark if you want to print in the file, define print range (all pages or page subset), define page numbering starting page, select number of copies and collate settings.

Press the **Jump To Record List** button  if you want to filter records. After you finish, please press the **Back** button to return to this report.

You can browse through the record list using the record navigation buttons: go to previous, next, first and last record in the current found set.

Press the **Jump Back** button  to close this report.

TAX WITHHELD REPORT

From 11/30/1999 to 11/11/2000

Acme Company, Inc.
ID: 12-126
Street Name Goes Here
City, State, Zip

| Optionee | Ericsson, Frederick, G. 00 Golden Way Santa Barbara, CA, 93101 | | | | | ID | AA005 | | |
|---------------|--|------------------|--------------|-----------|--------|------------|-----------------|----------|--------------|
| | | | | | | SSN | 401-23-5325 | | |
| | Transactions 2 | | | | | | | | |
| Option ID | Exercise Date | Transaction Type | Tax Due Date | Tax Basis | Shares | W-2 Income | Tax Name | Tax Rate | Tax Withheld |
| Plan 99A - 11 | 11/29/1999 | Deferral | 11/30/1999 | \$6.0000 | 250 | \$2,137.50 | Federal | 28.000% | \$598.50 |
| | | | | | | | Medicare | 1.450% | |
| | | | | | | | Social Security | 6.200% | |
| | | | | | | | State - CA | 6.000% | \$128.25 |
| | | | | | | | | | \$726.75 |
| Plan 99A - 5 | 11/11/2000 | Disposition | 11/11/2000 | \$5.0000 | 57 | \$987.24 | | | |
| | | | | | | | | | |
| | | | | | | | | | |
| Total | | | | | 307 | \$3,124.74 | | | |
| | | | | | | | | | \$598.50 |
| | | | | | | | | | \$128.25 |
| | | | | | | | | | \$726.75 |

Figure 121 – Taxes Withheld Report (page one)

TAX WITHHELD REPORT

From 11/30/1999 to 11/11/2000

Acme Company, Inc.
ID: 12-126
Street Name Goes Here
City, State, Zip

| Optionee | Fisher, Anna, S. 99 Central Bay San Diego, CA, 91101 | | | | | ID | AA003 | | |
|----------------|--|------------------|--------------|-----------|--------|------------|-----------------|----------|--------------|
| | | | | | | SSN | 202-11-4545 | | |
| | | | | | | | | | |
| Transactions 2 | | | | | | | | | |
| Option ID | Exercise Date | Transaction Type | Tax Due Date | Tax Basis | Shares | W-2 Income | Tax Name | Tax Rate | Tax Withheld |
| Plan 99A - 3 | 5/31/2000 | Exercise | 5/31/2000 | \$5.0000 | 10 | \$124.60 | Federal | 28.000% | \$34.89 |
| | | | | | | | Medicare | 1.450% | \$1.81 |
| | | | | | | | Social Security | 6.200% | \$7.73 |
| | | | | | | | State - CA | 6.000% | \$7.48 |
| | | | | | | | | | |
| Plan 99C - 14 | 5/31/2000 | Exercise | 5/31/2000 | \$17.4600 | 180 | \$0.00 | Federal | 28.000% | |
| | | | | | | | Medicare | 1.450% | |
| | | | | | | | Social Security | 6.200% | |
| | | | | | | | State - CA | 6.000% | |
| | | | | | | | | | |
| Total | | | | | 190 | \$124.60 | Federal | | \$34.89 |
| | | | | | | | Medicare | | \$1.81 |
| | | | | | | | Social Security | | \$7.73 |
| | | | | | | | State - CA | | \$7.48 |
| | | | | | | | | | \$51.91 |

Figure 122 - Taxes Withheld Report (page two)

TAX WITHHELD REPORT

From 11/30/1999 to 11/11/2000

Acme Company, Inc.

ID: 12-126

Street Name Goes Here

City, State, Zip

Optionee Smith, John, Z. **ID** AA002
 22 West Side **SSN** 100-20-0555
 San Francisco, CA, 94122

Transactions 1

| Option ID | Exercise Date | Transaction Type | Tax Due Date | Tax Basis | Shares | W-2 Income | Tax Name | Tax Rate | Tax Withheld | | |
|--------------|---------------|------------------|--------------|-----------|--------|------------|-----------------|----------|-----------------|---------|---------|
| Plan 99B - 6 | 11/1/1999 | Exercise | 10/1/2000 | \$6,2500 | 100 | \$25.00 | Federal | 28.000% | \$7.00 | | |
| | | | | | | | Medicare | 1.450% | \$0.36 | | |
| | | | | | | | Social Security | 6.200% | \$1.55 | | |
| | | | | | | | State - CA | 6.000% | \$1.50 | | |
| | | | | | | | | | | \$10.41 | |
| | | | | Total | | | 100 | \$25.00 | Federal | | \$7.00 |
| | | | | | | | | | Medicare | | \$0.36 |
| | | | | | | | | | Social Security | | \$1.55 |
| | | | | | | | | | State - CA | | \$1.50 |
| | | | | | | | | | | | \$10.41 |

Figure 123 - Taxes Withheld Report (page three)

TAX WITHHELD REPORT

From 11/30/1999 to 11/11/2000

Acme Company, Inc.

ID: 12-126

Street Name Goes Here

City, State, Zip

| Total Transactions | Total | Shares | W-2 Income | Tax Name | Tax Withheld |
|--------------------|-------|--------|------------|-----------------|--------------|
| 5 | | 597 | \$3,274.34 | Federal | \$640.39 |
| | | | | Medicare | \$2.17 |
| | | | | Social Security | \$9.28 |
| | | | | State - CA | \$137.23 |
| | | | | | \$789.07 |

Figure 124 - Taxes Withheld Report (page four)

/obsolete/ APIC Pool Report


Report shows FAS123R deferred tax accounting – effects of non-qualifying stock option exercises, disqualifying iso option dispositions, and option cancellations (terminations) / expirations on APIC Pool.

You have to specify range of dates (**From** and **To** dates), and company tax rate in percentage. For exercises, system tests if exercise date belongs to specified period; for option dispositions - disposition date.

System will include both BS Single/Binomial and BS Multiple valuation models, and corresponding Expense Allocations based on valuation number you specify.

Allocation method is by default set to Straight Line, for BSS/Bin Expense Allocation, and to Normal, for BS Multiple Expense Allocation.

Press the **Find** button  to generate the report.

Press the **Find All** button  to clear the reporting parameters and find all records.

Fields shown are: **Option ID**, **Transaction Type** (Exercise, Cancel/Expire, or Disposition), **Transaction Date**, **Transaction Gain**, **Total Valuation**, **Period Expense**, **Tax Benefit**, **Deferred Tax Asset**, **Income Tax Reduction** for **ISO** shares, **APIC**, and FAS123R **APIC Pool** effects.

Please note this report is obsolete since there is no more deferred tax per FASB ASC accounting.

Transaction Gain is W-2 Income for NQ exercises and disqualifying ISO option dispositions.

Total Valuation is total expense amount, prorated based on the number of transaction shares. It corresponds to Total Valuation column from appropriate Expense Allocation report (with effects of estimated unvested forfeiture rates), if expense is not adjusted, or to Actual Expense, if grant is fully vested/terminated, and adjusted.

Period Expense is for dates from-to, corresponds to Period Expense minus Expense Adjustment from appropriate expense allocation report, and is prorated based on the number of transaction shares.

Tax Benefit is amount calculated by applying tax rate on the gain.

Deferred Tax Asset is for NQ exercises only and it is calculated by applying tax rate on Period Expense.

For ISO shares:

If disqualifying disposition gain is greater than prorated total valuation: difference x tax rate goes to FAS 123R APIC pool as addition (+)

If disqualifying disposition gain is less than prorated total valuation: if there is a period expense then system reports reduction to income tax expense for ISO.

For NQ shares:


If exercise gain is greater than prorated total valuation: difference x tax rate will be added to FAS123R APIC pool (+);


If exercise gain is lower than prorated total valuation: difference x tax rate is debited from FAS123R APIC pool (-)

There are trailing summary report parts, one for each option type, and a grand summary. Records are sorted by option id, and then by transaction date.

Report format is *Letter*, orientation is *Landscape*, page break before every new option type..

Report subtitle reflects report parameters you specified.

Press the **Preview** button  to see how the report will look printed on paper. You can browse through the report pages using the **book tool**. Press the **Continue** button to exit from the preview mode.

Press the **Print** button  to print this report. Print dialog will be shown, allowing you to select: printer, change its properties, mark if you want to print in the file, define print range (all pages or page subset), define page numbering starting page, select number of copies and collate settings.

Press the **Jump To Record List** button  if you want to filter records. After you finish, please press the **Back** button to return to this report.

You can browse through the record list using the record navigation buttons: go to previous, next, first and last record in the current found set.

Press the **Jump Back** button  to close this report.


Suboptimal Exercise Factor

Report calculates suboptimal exercise factor based on historical behavior. It finds records exercised within specified period of dates and calculates exercise factor by dividing exercise value with the option price. Exercise factor is a multiple of option price at which optionee will likely exercise its shares.

This report is to be used for providing estimate for the exercise factor, entered at the Option Valuation screen for the FAS 123R compliant Binomial valuation model.

You have to specify range of exercise dates (**From** and **To** dates).

Press the **Find** button  to generate the report.

Press the **Find All** button  to clear report parameters and find all records.


Fields shown are: **Option ID**, **Option Type**, **Exercise Date**, **Exercise Type**, number of **Shares Exercised**, **Share Price** (at grant), **Exercise Value**, and **Exercise Factor**.


There is a trailing summary report part, showing totals for number of shares exercised, average exercise ratio, and weighted average exercise ratio (with respect to number of shares exercised).

Records are sorted by exercise date.

Report format is *Letter*, orientation is *Portrait*.

Report subtitle reflects report parameters you specified.

Press the **Preview** button  to see how the report will look printed on paper. You can browse through the report pages using the **book tool**. Press the **Continue** button to exit from the preview mode.

Press the **Print** button  to print this report. Print dialog will be shown, allowing you to select: printer, change its properties, mark if you want to print in the file, define print range (all pages or page subset), define page numbering starting page, select number of copies and collate settings.

Press the **Jump To Record List** button  if you want to filter records. After you finish, please press the **Back** button to return to this report.

You can browse through the record list using the record navigation buttons: go to previous, next, first and last record in the current found set.

Press the **Jump Back** button  to close this report.

Exercises Data Check

Report shows if there are errors in the Exercises database. You can start Data Check procedure from the System Maintenance layout or from the Reports list.

Fields shown are: **Exercise ID**, **Option ID**, **Exercise Date** and **Error Description**.

There is a trailing grand summary report part, showing total number of records listed.

If there are no errors found, appropriate message is shown and all Error Description fields are empty.


If there are errors found, you will be prompted to choose if you want to print this report. After you review Error Description fields, please correct the errors in the database.

Report format is *Letter*, orientation is *Portrait*.

Deferrals


Deferrals List


Report shows list of tax deferral cards, with: **Optionee Name** and **ID**, **Grant ID**, **Grant**, **Exercise** and **Payment Dates**, **Grant** and **Exercise Types**, number of **Shares Taxed**, share **Fair Value**, **Price Basis** and **Taxable Gain**.

Press the **Option Type**  button to sort records by option type.

There is a trailing grand summary report part, showing totals for deferral records listed. If you sort records by option type, records will be grouped by option type and there will be trailing summary part for each option type, showing the same summary information.

Report format is *Letter*, orientation is *Portrait*.

Press the **Preview** button  to see how the report will look printed on paper. You can browse through the report pages using the **book tool**. Press the **Continue** button to exit from the preview mode.

Press the **Print** button  to print this report. Print dialog will be shown, allowing you to select: printer, change its properties, mark if you want to print in the file, define print range (all pages or page subset), define page numbering starting page, select number of copies and collate settings.

Press the **Jump To Record List** button  if you want to filter records. After you finish, please press the **Back** button to return to this report.

You can browse through the record list using the record navigation buttons: go to previous, next, first and last record in the current found set.

Press the **Jump Back** button  to close this report.

TAX DEFERRALS

Acme Company, Inc.

ID: 12-126

Street Name Goes Here

City, State, Zip

| | | | | | |
|----------------------------------|-------------------------|-------------------------|-----------------------------------|---------------------|--------------|
| Name, ID | Ericsson, Frederick, G. | AA005 | Grant ID | Plan 99A - 11 | |
| Grant date | Jun 1, 1999 | Exercise date | Nov 29, 1999 | Payment date | Dec 25, 1999 |
| Grant type | NQA | Exercise type | Cash | Shares taxed | 250 |
| Fair value | \$14.5500 | Price basis | \$6.0000 | Taxable gain | \$2,137.50 |
| SUMMARY for deferrals listed | | | From Dec 25, 1999 to Dec 25, 1999 | | |
| Total number of deferrals | 1 | Total taxes due | \$726.75 | | |
| Total shares taxed | 250 | Total taxes paid | \$726.75 | | |
| Total fair value | \$3,637.50 | | | | |
| Total option price | \$1,500.00 | | | | |
| Total taxable gain | \$2,137.50 | | | | |

Figure 125 – Deferrals List

Deferral Details

Report shows details of tax deferral record. It contains all the deferral information and can be issued to an optionee.

At the top, there are **optionee information**: name, address, social security number and insider status, and general deferral data: option id, date and type, exercise date and type, share fair value, price basis, tax due and payment date and number of shares taxed.


Then, there is a **tax payment calculation** and, at the end, **tax details**, for up to seven optionee taxes, with tax name, rate, tax due and withheld amount.


Note that yearly limit and YTD (tax amount paid) are taken into account where applicable.


There are two radio buttons. Press **Print current record only** and when you choose to print report, only current deferral record will be printed.

Press **Print all records found** and when you choose to print report, all deferral records in the current found set will be printed.

Report format is *Letter*, orientation is *Portrait*, one deferral record per page.

Press the **E-mail report**  button to send this report by e-mail, without printing it on paper. Report will be sent to all employees that have their e-mail addresses specified. Based on the system Preferences, e-mails can be sent with or without your confirmation (preview) in your default e-mail client.

Press the **Preview** button  to see how the report will look printed on paper. You can browse through the report pages using the **book tool**. Press the **Continue** button to exit from the preview mode.

Press the **Print** button  to print this report. Print dialog will be shown, allowing you to select: printer, change its properties, mark if you want to print in the file, define print range (all pages or page subset), define page numbering starting page, select number of copies and collate settings.

Press the **Jump To Record List** button  if you want to filter records. After you finish, please press the **Back** button to return to this report.

You can browse through the record list using the record navigation buttons: go to previous, next, first and last record in the current found set.

Press the **Jump Back** button  to close this report.

DEFERRED TAX PAYMENT

Acme Company, Inc.

ID: 12-126

Street Name Goes Here

City, State, Zip

Frederick G. Ericsson
00 Golden Way
Santa Barbara, CA, 93101

SSN: 401-23-5325

Insider status: Director

| | |
|------------------|---------------|
| Option ID | Plan 99A - 11 |
| Option Date | Jun 1, 1999 |
| Option Type | NQA |
| Exercise Date | Nov 29, 1999 |
| Exercise Type | Cash |
| Fair Value | \$14.5500 |
| Price Basis | \$6.0000 |
| Tax Due Date | Nov 30, 1999 |
| Tax Payment Date | Dec 25, 1999 |
| Shares Taxed | 250 |

Tax Payment Calculation

| | | Shares | | Value | | |
|---------------|------------|--------|----------|------------|-------------------|-----------------------------|
| Market Value | \$3,637.50 | = | 250 | x | \$14.5500 | Shares Traded for Taxes? No |
| - Total Price | \$1,500.00 | = | 250 | x | \$6.0000 | Shares Traded 0 |
| Total Gain | \$2,137.50 | | | Price | x Trade Value | \$14.5500 |
| Total Tax Due | \$726.75 | | Net Gain | \$1,410.75 | Total Trade Value | \$0.00 |
| Total Tax Due | \$726.75 | | | | Shares Taxed | 250 |
| Amount to Pay | \$726.75 | | | | Shares Released | 250 |

Tax Details

| <u>Tax</u> | <u>Rate</u> | <u>Tax Due*</u> | <u>Withheld</u> |
|-----------------|-------------|-----------------|-----------------|
| Federal | 28.000% | \$598.50 | \$598.50 |
| Medicare | 1.450% | | |
| Social Security | 6.200% | | |
| State - CA | 6.000% | \$128.25 | \$128.25 |
| Total Tax | | \$726.75 | \$726.75 |

* Yearly income and YTD paid amounts
taken into account where applicable

Figure 126 – Deferral Details

Deferrals Data Check

Report shows if there are errors in the Deferrals database. You can start Data Check procedure from the System Maintenance layout or from the Reports list.

Fields shown are: **Deferral ID**, **Employee ID**, **Exercise ID**, **Grant ID** and **Error Description**.

There is a trailing grand summary report part, showing total number of records listed.

If there are no errors found, appropriate message is shown and all Error Description fields are empty.


If there are errors found, you will be prompted to choose if you want to print this report. After you review Error Description fields, please correct the errors in the database.

Report format is *Letter*, orientation is *Portrait*.

Option Dispositions


Option Dispositions List


Report shows list of option disposition cards. Single card contains: **Optionee Name** and **ID**, **Grant ID** and **Date**, **Exercise Date** and **Type**, **Transfer Type** (Pending, Sold or Street Name), **Transfer Date** (disposition date), number of **Shares** disposed, **Broker ID**, **Sale Price** and brokerage **Fee**.

You can press the **Transfer Type**  button, in order to sort records by transfer type. In that case, there will be a trailing summary report part, with: actual minimal and maximal disposition date, total number of dispositions, total number of shares transferred, minimal, maximal and average sale price for records listed.

There is a trailing grand summary report part, showing actual minimal and maximal disposition date, total number of dispositions, total number of shares transferred, minimal, maximal and average sale price for records listed.

Report format is *Letter*, orientation is *Portrait*.

Press the **Preview** button  to see how the report will look printed on paper. You can browse through the report pages using the **book tool**. Press the **Continue** button to exit from the preview mode.

Press the **Print** button  to print this report. Print dialog will be shown, allowing you to select: printer, change its properties, mark if you want to print in the file, define print range (all pages or page subset), define page numbering starting page, select number of copies and collate settings.

Press the **Jump To Record List** button  if you want to filter records. After you finish, please press the **Back** button to return to this report.

You can browse through the record list using the record navigation buttons: go to previous, next, first and last record in the current found set.

Press the **Jump Back** button  to close this report.

OPTION DISPOSITIONS

Acme Company, Inc.

ID: 12-126

Street Name Goes Here

City, State, Zip

| | | | | | |
|-------------------------------------|-------------------------|----------------------|----------------------------------|----------------------|----------|
| Name, ID | Ericsson, Frederick, G. | AA005 | Grant ID | Plan 99A - 5 | |
| Grant date | May 1, 1999 | Exercise date | Nov 11, 2000 | Exercise type | SDS-Cash |
| Transfer type | Sold | Transfer date | Nov 11, 2000 | Shares | 57 |
| Broker ID | | Sale price | \$22.3200 | Fee | \$50.00 |
| | | | | | |
| Name, ID | Ericsson, Frederick, G. | AA005 | Grant ID | Plan 99A - 5 | |
| Grant date | May 1, 1999 | Exercise date | Nov 11, 2000 | Exercise type | SDS-Cash |
| Transfer type | Pending | Transfer date | Jun 2, 2000 | Shares | 50 |
| Broker ID | Schwab | Sale price | \$17.5720 | Fee | \$20.00 |
| | | | | | |
| SUMMARY for all dispositions listed | | | From Jun 2, 2000 to Nov 11, 2000 | | |
| Total number of dispositions | 2 | | min | \$17.5720 | |
| Total shares transferred | 107 | Sale price | avg | \$19.9460 | |
| | | | max | \$22.3200 | |


Figure 127 – Option Dispositions List

Option Dispositions Survey

Report lists ISO/ISA dispositions of type **Pending** or **Street Name**, grouped by optionees. It is used as a communication between the company and optionees.

You can specify additional report parameters, dispositions date range (**From** and **To** dates).


Press the **Find** button  to generate the report.

Press the **Find All** button  to clear the reporting parameters and find all records.

Disposition record shows following fields: **Exercise Date**, **Transfer Date** and **Type**, number of **Shares Transferred**, **Fair Value** on Exercise Date and **Total Value**, Option **Price** and **Total Price**, **Grant ID** and **Grant Date**.

Employee is asked to complete the survey by filling following fields: **Sell Date**, number of **Shares Sold**, **Price** per Share and Brokerage **Fee**.


Records are sorted by Exercise Date.


Tip: if you want to send disposition survey to one employee only, press the **Jump To Record List** button  filter the option disposition records by that Employee ID and press the **Back** button to return to the report.


There is a trailing summary part for each optionee, showing Optionee Name, total number of shares transferred, total number of dispositions and space for the Comments and optionee's Signature and Date.

Report format is *Letter*, orientation is *Landscape*, page break before every new optionee.

Report subtitle reflects the additional report parameters you entered.

Press the **E-mail report** button  to send this report by e-mail, without printing it on paper. Report will be sent to all employees that have their e-mail addresses specified. Based on the system Preferences, e-mails can be sent with or without your confirmation (preview) in your default e-mail client.

Press the **Preview** button  to see how the report will look printed on paper. You can browse through the report pages using the **book tool**. Press the **Continue** button to exit from the preview mode.

Press the **Print** button  to print this report. Print dialog will be shown, allowing you to select: printer, change its properties, mark if you want to print in the file, define print

range (all pages or page subset), define page numbering starting page, select number of copies and collate settings.

Press the **Jump To Record List** button  if you want to filter records. After you finish, please press the **Back** button to return to this report.

You can browse through the record list using the record navigation buttons: go to previous, next, first and last record in the current found set.

Press the **Jump Back** button  to close this report.

OPTION DISPOSITIONS SURVEY

From 6/1/2000 to 12/31/2000

Acme Company, Inc.
ID: 12-126
Street Name Goes Here
City, State, Zip

Ericsson, Frederick, G.
00 Golden Way

Santa Barbara, CA, 93101
(808) 555-3333

ID AA005
SSN 401-23-5325
E-mail fred@krc.net

| <i>Please fill</i> | | | | | | | | | |
|--------------------|----------------------|--------------------|--|----------------------------|-----------------------|-----------|-------------|-----------------|-------------|
| Exercise Date | Transfer Date / Type | Shares Transferred | Fair Value on Exer. Date / Total Value | Option Price / Total Price | Grant ID / Grant Date | Sell Date | Shares Sold | Price per Share | Broker. Fee |
| 11/11/2000 | 6/2/2000 | 50 | \$22.3200 | \$5.0000 | Plan 99A - 5 | / / | | \$ | \$ |
| | Pending | | \$1,116.00 | \$250.00 | 5/1/1999 | | | | |

Ericsson, Frederick, G.

Total shares transferred 50

Total number of dispositions 1

Comments

(Signature)

(Date)

Figure 128 – Option Dispositions Survey

Option Dispositions Data Check

Report shows if there are errors in the Option Dispositions database. You can start Data Check procedure from the System Maintenance layout or from the Reports list.

Fields shown are: **Option Disposition ID**, **Employee ID**, **Exercise ID**, **Grant ID** and **Error Description**.

There is a trailing grand summary report part, showing total number of records listed.

If there are no errors found, appropriate message is shown and all Error Description fields are empty.


If there are errors found, you will be prompted to choose if you want to print this report. After you review Error Description fields, please correct the errors in the database.

Report format is *Letter*, orientation is *Portrait*.

Repurchases


Repurchases List


Report shows list of repurchase cards, with: **Optionee Name** and **ID**, **Grant ID**, **Type** and **Date**, number of **Shares Granted**, **Option Price**, **Repurchase Date**, **Repurchase Price**, number of **Shares Repurchased**, number of **Shares Returned** to the plan and **Repurchase Amount**.

Press the **Option Type**  button to sort records by option type.

There is a trailing grand summary report part, showing totals for repurchase records listed. If you sort records by option type, records will be grouped by option type and there will be trailing summary part for each option type, showing the same summary information.

Report format is *Letter*, orientation is *Portrait*.

Press the **Preview** button  to see how the report will look printed on paper. You can browse through the report pages using the **book tool**. Press the **Continue** button to exit from the preview mode.

Press the **Print** button  to print this report. Print dialog will be shown, allowing you to select: printer, change its properties, mark if you want to print in the file, define print range (all pages or page subset), define page numbering starting page, select number of copies and collate settings.

Press the **Jump To Record List** button  if you want to filter records. After you finish, please press the **Back** button to return to this report.

You can browse through the record list using the record navigation buttons: go to previous, next, first and last record in the current found set.

Press the **Jump Back** button  to close this report.

REPURCHASES

Acme Company, Inc.

ID: 12-126

Street Name Goes Here

City, State, Zip

| | | | |
|--------------------------------------|-------------------------|---------------------------------|--------------|
| Name, ID | Fisher, Anna, S., AA003 | Repurchase date | Jul 1, 2000 |
| Grant ID, Type | Plan 99A - 3, NQ | Repurchase price | \$5.0000 |
| Grant Date | May 1, 1999 | Shares repurchased | 200 |
| Shares Granted | 1,000 | Shares returned to plan | 100 |
| Option Price | \$5.0000 | Repurchase amount | \$1,000.00 |
| SUMMARY for repurchases listed | | From Jul 1, 2000 to Jul 1, 2000 | |
| Number of repurchases listed | 1 | | |
| Total shares repurchased | 200 | Repurchase price | min \$5.0000 |
| Total shares returned to plan | 100 | | avg \$5.0000 |
| Total repurchase amount | \$1,000.00 | | max \$5.0000 |

Figure 129 – Repurchases List

Repurchase Statement

Report shows details of repurchase record. It contains all the repurchase information and can be issued to an optionee as a statement.

At the top there are **optionee information**: name, address, social security number and insider status, and general repurchase data: option id, plan, date and type, number of shares granted and option price.


Then, there are terms under which the shares are repurchased, showing:


Repurchase Date and **Price**, number of **Shares Repurchased**, number of **Shares Returned** to the plan's option based and **Repurchase Amount**.


There are two radio buttons. Press **Print current record only** and when you choose to print report, only current repurchase record will be printed.

Press **Print all records found** and when you choose to print report, all repurchase records in the current found set will be printed.

Report format is *Letter*, orientation is *Portrait*, one repurchase record per page.

Press the **E-mail report** button  to send this report by e-mail, without printing it on paper. Report will be sent to all employees that have their e-mail addresses specified. Based on the system Preferences, e-mails can be sent with or without your confirmation (preview) in your default e-mail client.

Press the **Preview** button  to see how the report will look printed on paper. You can browse through the report pages using the **book tool**. Press the **Continue** button to exit from the preview mode.

Press the **Print** button  to print this report. Print dialog will be shown, allowing you to select: printer, change its properties, mark if you want to print in the file, define print range (all pages or page subset), define page numbering starting page, select number of copies and collate settings.

Press the **Jump To Record List** button  if you want to filter records. After you finish, please press the **Back** button to return to this report.

You can browse through the record list using the record navigation buttons: go to previous, next, first and last record in the current found set.

Press the **Jump Back** button  to close this report.

REPURCHASE STATEMENT**Acme Company, Inc.**

ID: 12-126

Street Name Goes Here

City, State, Zip

Anna S. Fisher
99 Central Bay
San Diego, CA, 91101

SSN: 202-11-4545

Insider status: Not an insider

| | |
|----------------|--------------|
| Option ID | Plan 99A - 3 |
| Option Plan | Plan 99A |
| Option Date | May 1, 1999 |
| Option Type | NQ |
| Shares Granted | 1,000 |
| Option Price | \$5.0000 |

An amount of shares granted by the grant specified above has been repurchased, under the following terms:

| | |
|--------------------------------|-------------|
| Repurchase date | Jul 1, 2000 |
| Repurchase price | \$5.0000 |
| Shares repurchased | 200 |
| Shares returned to plan | 100 |
| Repurchase amount | \$1,000.00 |

Figure 130 – Repurchase Statement

Repurchases Data Check

Report shows if there are errors in the Repurchases database. You can start Data Check procedure from the System Maintenance layout or from the Reports list.

Fields shown are: **Repurchase ID**, **Employee ID**, **Grant ID** and **Error Description**.

There is a trailing grand summary report part, showing total number of records listed.

If there are no errors found, appropriate message is shown and all Error Description fields are empty.


If there are errors found, you will be prompted to choose if you want to print this report. After you review Error Description fields, please correct the errors in the database.

Report format is *Letter*, orientation is *Portrait*.


Securities


Security Titles

Report shows list of security titles, with: **Security Title**, **Derivative?** check box (checked if security is derivative), **Conversion Rate** for derivative securities (1.000000 is default), **Debenture?** check box (checked if security is a debenture) and detailed security **Description**.

Press the **Security Title** or **Description** button  to sort records by Security Title or Description.

Report format is *Letter*, orientation is *Portrait*.

Press the **Preview** button  to see how the report will look printed on paper. You can browse through the report pages using the **book tool**. Press the **Continue** button to exit from the preview mode.

Press the **Print** button  to print this report. Print dialog will be shown, allowing you to select: printer, change its properties, mark if you want to print in the file, define print range (all pages or page subset), define page numbering starting page, select number of copies and collate settings.

Press the **Jump To Record List** button  if you want to filter records. After you finish, please press the **Back** button to return to this report.

You can browse through the record list using the record navigation buttons: go to previous, next, first and last record in the current found set.

Press the **Jump Back** button  to close this report.

| SECURITY TITLES | | | | | Acme Company, Inc. ID: 12-126 Street Name Goes Here City, State, Zip |
|-----------------------|-------------------------------------|-------------------|-------------------------------------|------------------------|---|
| <u>Security Title</u> | <u>Derivative?</u> | <u>Conv. Rate</u> | <u>Debenture?</u> | <u>Description</u> | |
| Test Debenture | <input type="checkbox"/> | 1.250000 | <input checked="" type="checkbox"/> | debenture description | |
| Test Derivative | <input checked="" type="checkbox"/> | 1.500000 | <input type="checkbox"/> | derivative description | |

Figure 131 – Security Titles

Securities Data Check

Report shows if there are errors in the Securities database. You can start Data Check procedure from the System Maintenance layout or from the Reports list.

Fields shown are: **Security ID**, **Security Title** and **Error Description**.

There is a trailing grand summary report part, showing total number of records listed.

If there are no errors found, appropriate message is shown and all Error Description fields are empty.

If there are errors found, you will be prompted to choose if you want to print this report. After you review Error Description fields, please correct the errors in the database.

Report format is *Letter*, orientation is *Portrait*.


Codes


Codes List

Report shows list of transaction codes, with: **Code**, **Form**, **Description**, **Category** and **Notes**.

Press the **Code**, **Form**, **Description** or **Category** button  to sort records by those fields. Default sort order is by Category.

Report format is *Letter*, orientation is *Portrait*.

Press the **Preview** button  to see how the report will look printed on paper. You can browse through the report pages using the **book tool**. Press the **Continue** button to exit from the preview mode.

Press the **Print** button  to print this report. Print dialog will be shown, allowing you to select: printer, change its properties, mark if you want to print in the file, define print range (all pages or page subset), define page numbering starting page, select number of copies and collate settings.

Press the **Jump To Record List** button  if you want to filter records. After you finish, please press the **Back** button to return to this report.

You can browse through the record list using the record navigation buttons: go to previous, next, first and last record in the current found set.

Press the **Jump Back** button  to close this report.

CODES

Acme Company, Inc.
 ID: 12-126
 Street Name Goes Here
 City, State, Zip

| <u>Code</u> | <u>Form</u> | <u>Description</u> | <u>Category</u> | <u>Notes</u> |
|-------------|-------------|--------------------|--|--|
| C | 5 | Conversion | Derivative Securities Codes | Conversion of derivative security |
| E | 4 | Exp-Short | Derivative Securities Codes | Expiration of short derivative position |
| E | 5 | Exp-Short | Derivative Securities Codes | Expiration of short derivative position |
| H | 4 | Exp/Can-Long | Derivative Securities Codes | Expiration (or cancellation) of long derivative position with value received |
| H | 5 | Exp/Can-Long | Derivative Securities Codes | Expiration (or cancellation) of long derivative position with value received |
| O | 4 | Exer-OutMny | Derivative Securities Codes | Exercise of out-of-the-money derivative security |
| O | 5 | Exer-OutMny | Derivative Securities Codes | Exercise of out-of-the-money derivative security |
| X | 4 | Exer-InMny | Derivative Securities Codes | Exercise of in-the-money or at-the-money derivative security |
| X | 5 | Exer-InMny | Derivative Securities Codes | Exercise of in-the-money or at-the-money derivative security |
| P | 4 | Purchase | General Codes | Open market or private purchase of non-derivative or derivative security |
| P | 5 | Purchase | General Codes | Open market or private purchase of non-derivative or derivative security |
| S | 4 | Sale | General Codes | Open market or private sale of non-derivative or derivative security |
| S | 5 | Sale | General Codes | Open market or private sale of non-derivative or derivative security |
| V | 4 | Voluntary | General Codes | Transaction voluntarily reported earlier than required |
| G | 4 | Gift | Other Section 16(b) Exempt Transaction and Small Acquisition Codes | Bona fide gift |
| G | 5 | Gift | Other Section 16(b) Exempt Transaction and Small Acquisition Codes | Bona fide gift |

Figure 132 – Codes List

Codes Data Check

Report shows if there are errors in the Codes database. You can start Data Check procedure from the System Maintenance layout or from the Reports list.

Fields shown are: **Code**, **Form**, code **Description** and **Error Description**.

There is a trailing grand summary report part, showing total number of records listed.

If there are no errors found, appropriate message is shown and all Error Description fields are empty.

If there are errors found, you will be prompted to choose if you want to print this report. After you review Error Description fields, please correct the errors in the database.

Report format is *Letter*, orientation is *Portrait*.

Transactions


Transactions [brief]


Report shows list of insider related transaction records, with: transaction **Date**, **Insider** name, **Transaction Type**, **Security Type**, **Security Title** and **Securities** number.


If the security is a debenture, currency symbol is shown before securities field.

There is a trailing grand summary report part, showing total number of transactions listed.

Report format is *Letter*, orientation is *Portrait*.

Press the **Preview** button  to see how the report will look printed on paper. You can browse through the report pages using the **book tool**. Press the **Continue** button to exit from the preview mode.

Press the **Print** button  to print this report. Print dialog will be shown, allowing you to select: printer, change its properties, mark if you want to print in the file, define print range (all pages or page subset), define page numbering starting page, select number of copies and collate settings.

Press the **Jump To Record List** button  if you want to filter records. After you finish, please press the **Back** button to return to this report.

You can browse through the record list using the record navigation buttons: go to previous, next, first and last record in the current found set.

Press the **Jump Back** button  to close this report.

TRANSACTIONS

Acme Company, Inc.
ID: 12-126
Street Name Goes Here
City, State, Zip

| <u>Date</u> | <u>Insider</u> | <u>Transaction</u> | | <u>Security Title</u> | <u>Securities</u> |
|----------------------|-------------------------|--------------------|----------------|-----------------------|-------------------|
| 12/29/2000 | Ericsson, Frederick, G. | Holding | Non-derivative | Common Stock | 100 |
| 10/30/2000 | Ericsson, Frederick, G. | Acquisition | Non-derivative | Test Debenture | \$ 50 |
| 9/30/2000 | Ericsson, Frederick, G. | Disposition | Derivative | Test Derivative | 100 |
| 12/31/2000 | Ericsson, Frederick, G. | Holding | Derivative | Test Derivative | 1,000 |
| Total transactions 4 | | | | | |

Figure 133 – Transactions List

Transactions [detailed]

Report shows list of vesting schedule cards. Single card contains: transaction **ID**, **Date**, **Insider** ID and Name, **Transaction** type (holding, acquisition or disposition), **Form** number, **Delinquent Form** number (if exists), **Include In Form** check box (empty if you decided not to report transaction), **Reported?** check box (checked if transaction has already been reported on appropriate form), **Security Type** (non-derivative or derivative), **Security Title**, **Ownership** type and **Securities** number.

For all but non-derivative holdings **Purchase/Sale** price and **Code** fields are shown.

For all derivative transactions there are additional fields for underlying securities: **Title**, **Security**, **Exercisable Date**, **Exercise/Conversion Price** and **Expiration Date**.


Derivative dispositions have additional **Underlying Purchase Price** and **Related ID** (of a "child" acquisition).


All transactions have up to ten **Footnote** fields, which describe transaction parameters.

At the end, there is a general **Notes** field (not included in Form).

There is a trailing grand summary report part, showing total number of transactions listed.

Report format is *Letter*, orientation is *Portrait*.

Press the **Preview** button  to see how the report will look printed on paper. You can browse through the report pages using the **book tool**. Press the **Continue** button to exit from the preview mode.

Press the **Print** button  to print this report. Print dialog will be shown, allowing you to select: printer, change its properties, mark if you want to print in the file, define print range (all pages or page subset), define page numbering starting page, select number of copies and collate settings.

Press the **Jump To Record List** button  if you want to filter records. After you finish, please press the **Back** button to return to this report.

You can browse through the record list using the record navigation buttons: go to previous, next, first and last record in the current found set.

Press the **Jump Back** button  to close this report.

| | | | |
|---------------------|--|---------------------------|--|
| TRANSACTIONS | | Acme Company, Inc. | |
| | | ID: 12-126 | |
| | | Street Name Goes Here | |
| | | City, State, Zip | |

| | | | |
|-----------------------|------------------------|----------------------|--|
| ID 2 | Date 10/30/2000 | Insider AA005 | Ericsson, Frederick, G. |
| Transaction | Acquisition | Form 4 | Include In Form <input checked="" type="checkbox"/> |
| Security Type | Non-derivative | | Reported? <input checked="" type="checkbox"/> |
| Security Title | Test Debenture | | |
| Ownership | By Son | | |
| Securities \$ | 50 | | Footnotes |
| Purchase | \$5.0000 | Code P | Date |
| | | | Title |
| | | | Ownership |
| | | | Securities |
| | | | Pur./Sale Price |
| | | | Code "prime" purchase |
| | | | Under. Title |
| | | | Under. Secur. |
| | | | Exer/Conv. Date |
| | | | Other |
| | | | Notes |
| | | | aaa |



Total transactions 1


Figure 134 – Transactions [detailed]

Transactions by Insider

Report lists transaction records, within the specified range of dates, grouped by insiders.

You can specify following report parameters: **insider**, by selecting one from the drop down list, beginning and ending transaction date (dates **From** and **To**).

Press the **Find** button  to generate the report and **Preview** button  to see it.

Press the **Find All** button  to clear report parameters and find all records.

Each transaction card consists of: transaction **ID**, **Date**, **Insider** ID and Name, **Transaction** type (holding, acquisition or disposition), **Form** number, **Delinquent Form** number (if exists), **Include In Form** check box (empty if insider decided not to report transaction), **Reported?** check box (checked if transaction has already been reported on appropriate form), **Security Type** (non-derivative or derivative), **Security Title**, **Ownership** type and **Securities** number.

For all but non-derivative holdings **Purchase/Sale** price and **Code** fields are shown.

For all derivative transactions there are additional fields for underlying securities: **Title**, **Security**, **Exercisable Date**, **Exercise/Conversion Price** and **Expiration Date**.

Derivative dispositions have additional **Underlying Purchase Price** and **Related ID** (of a "child" acquisition).

All transactions have up to ten **Footnote** fields, which describe transaction parameters.


At the end, there is a general **Notes** field (not included in Form).


Records are sorted by Insider Name and then by Transaction Date.


There is a summary field for each insider, showing total number of transaction records listed.


Report format is *Letter*, orientation is *Portrait*, page break before every new insider.

Report subtitle reflects report parameters you have specified.

Press the **E-mail report** button  to send this report by e-mail, without printing it on paper. Report will be sent to all employees that have their e-mail addresses specified. Based on the system Preferences, e-mails can be sent with or without your confirmation (preview) in your default e-mail client.

Press the **Preview** button  to see how the report will look printed on paper. You can browse through the report pages using the **book tool**. Press the **Continue** button to exit from the preview mode.

Press the **Print** button  to print this report. Print dialog will be shown, allowing you to select: printer, change its properties, mark if you want to print in the file, define print range (all pages or page subset), define page numbering starting page, select number of copies and collate settings.

Press the **Jump To Record List** button  if you want to filter records. After you finish, please press the **Back** button to return to this report.

You can browse through the record list using the record navigation buttons: go to previous, next, first and last record in the current found set.

Press the **Jump Back** button  to close this report.

TRANSACTIONS BY INSIDER

From 9/30/2000 to 12/31/2000

Acme Company, Inc.

ID: 12-126

Street Name Goes Here

City, State, Zip

| Insider | AA005 | Ericsson, Frederick, G. | Title | Director |
|------------------------|-----------------|-------------------------|------------|--|
| ID | 3 | Date | 9/30/2000 | |
| Transaction | Disposition | Form | 4 | Include In Form <input checked="" type="checkbox"/> |
| | | | | Reported? <input checked="" type="checkbox"/> |
| Security Type | Derivative | | | |
| Security Title | Test Derivative | | | |
| Ownership | Direct | | | Footnotes |
| Securities | 100 | | | Date da |
| Sale Price | \$1.1500 | Code | S | Title ti |
| Underlying | | | | Ownership ow |
| Title | Common Stock | | | Securities se |
| Securities | 150 | | | Pur./Sale Price ps |
| Exer/Conv. Date | 12/31/2000 | | | Code co |
| Exercise Price | \$5.5000 | | | Under. Title ut |
| Expiration Date | 12/31/2005 | | | Under. Secur. us |
| Purchase Price | | | | Exer/Conv. Date ec |
| Related ID | | | | Other ot |
| | | | | Notes |
| | | | | abc |
| ID | 2 | Date | 10/30/2000 | |
| Transaction | Acquisition | Form | 4 | Include In Form <input checked="" type="checkbox"/> |
| | | | | Reported? <input checked="" type="checkbox"/> |
| Security Type | Non-derivative | | | |
| Security Title | Test Debenture | | | |
| Ownership | By Son | | | Footnotes |
| Securities | \$ 50 | | | Date |
| Purchase | \$5.0000 | Code | P | Title |
| | | | | Ownership |
| | | | | Securities |
| | | | | Pur./Sale Price |
| | | | | Code "prime" purchase |
| | | | | Under. Title |
| | | | | Under. Secur. |
| | | | | Exer/Conv. Date |
| | | | | Other |
| | | | | Notes |
| | | | | aaa |



Figure 135 – Transactions by Insider


SEC16 Monthly Inquiry

Use this report for Section 16 Monthly Reporting Inquiry.

Report lists not reported transaction records, within the specified range of dates, grouped by insiders.

You can specify following report parameters: **insider**, by selecting one from the drop down list, beginning and ending transaction date (dates **From** and **To**). If you enter date **From** only, system fills date **To** so it is one month away. Similar is for date **To**, if you enter this date only, system fills date **From** so it is one month before.

Press the **Find** button  to generate the report and **Preview** button  to see it.

Press the **Find All** button  to clear report parameters and find all records.

Transaction records are grouped by Transaction types (acquisitions, disposition and holdings) and then by Security types (Derivative and Non-derivative securities).


Each report row contains one transaction record and shows: transaction **ID**, transaction **Date**, **Include In Form** check box (empty if insider decided not to report transaction), Security **Title**, **Ownership** type and **Securities** number. For all but non-derivative holdings **Purchase/Sale** price is shown. For all derivative transactions there are additional underlying **Exercise/Conversion Price** field.


Records are sorted by Transaction Date.


There is a summary field for each insider, showing total number of transaction records listed.

Report format is *Letter*, orientation is *Portrait*, page break before every new insider.

Report subtitle reflects report parameters you have specified.

Press the **E-mail report** button  to send this report by e-mail, without printing it on paper. Report will be sent to all employees that have their e-mail addresses specified. Based on the system Preferences, e-mails can be sent with or without your confirmation (preview) in your default e-mail client.

Press the **Preview** button  to see how the report will look printed on paper. You can browse through the report pages using the **book tool**. Press the **Continue** button to exit from the preview mode.

Press the **Print** button  to print this report. Print dialog will be shown, allowing you to select: printer, change its properties, mark if you want to print in the file, define print range (all pages or page subset), define page numbering starting page, select number of copies and collate settings.

Press the **Jump To Record List** button  if you want to filter records. After you finish, please press the **Back** button to return to this report.

You can browse through the record list using the record navigation buttons: go to previous, next, first and last record in the current found set.

Press the **Jump Back** button  to close this report.

| | | | | | |
|-------------------------------|--|--|--|-----------------------|--|
| SEC16 MONTHLY INQUIRY | | | | Acme Company, Inc. | |
| From 12/29/2000 to 12/31/2000 | | | | ID: 12-126 | |
| | | | | Street Name Goes Here | |
| | | | | City, State, Zip | |

| | | | | | |
|----------------|-------------|--------------------------|--------------|--------------|--|
| Insider | AA005 | Ericsson, Frederick, G. | Title | Director | |
| SSN | 401-23-5325 | 00 Golden Way | email | fred@krc.net | |
| | | Santa Barbara, CA, 93101 | | | |

| | | | | | |
|----------------------|-----------------------|------------------|-------------------------------------|-------------------|------------------------------------|
| Transaction | Holding | | | | |
| Security Type | Derivative | | | | |
| Date | Security Title | Ownership | Include in Form | Securities | Exercise / Conversion Price |
| 12/31/2000 | Test Derivative | Direct | <input checked="" type="checkbox"/> | 1,000 | \$5.5000 |
| Security Type | Non-derivative | | | | |
| Date | Security Title | Ownership | Include in Form | Securities | Exercise / Conversion Price |
| 12/29/2000 | Common Stock | Direct | <input checked="" type="checkbox"/> | 100 | |

Total transactions 2

| | |
|-------------|--------|
| | |
| (Signature) | (Date) |



Figure 136 – SEC16 Monthly Inquiry


SEC16 Ownership Summary

Use this report to prepare the beneficial ownership section of your company's proxy statement.

Report lists summary of Securities owned by insiders as of specified date. System groups insider's securities first by **Security Type** (Derivative or Non-derivative) and then by **Security Title, Ownership type, Underlying Title, and Underlying Exercise/Conversion Price**.

You can specify following report parameters: **insider**, by selecting one from the drop down list, and **As of** date.

Press the **Find** button  to generate the report and **Preview** button  to see it.

Press the **Find All** button  to clear report parameters and find all records.

Summary information are grouped and sorted first by Insiders and then as specified above.


Each report row for *Non-derivative* securities contains: **Security Title, Ownership type**, and number of **Securities** owned as of date.


For *Derivative* securities, additional information are shown: **Underlying Title** and **Exercise/Conversion Price** fields.


There is a summary field for each security type, showing total number of securities owned. **Note** that debenture securities are omitted from this summary.

Report format is *Letter*, orientation is *Portrait*, page break before every new insider.

Report subtitle reflects report parameters you have specified.

Press the **E-mail report** button  to send this report by e-mail, without printing it on paper. Report will be sent to all employees that have their e-mail addresses specified. Based on the system Preferences, e-mails can be sent with or without your confirmation (preview) in your default e-mail client.

Press the **Preview** button  to see how the report will look printed on paper. You can browse through the report pages using the **book tool**. Press the **Continue** button to exit from the preview mode.

Press the **Print** button  to print this report. Print dialog will be shown, allowing you to select: printer, change its properties, mark if you want to print in the file, define print range (all pages or page subset), define page numbering starting page, select number of copies and collate settings.

Press the **Jump To Record List** button  if you want to filter records. After you finish, please press the **Back** button to return to this report.

You can browse through the record list using the record navigation buttons: go to previous, next, first and last record in the current found set.

Press the **Jump Back** button  to close this report.

| SEC16 OWNERSHIP SUMMARY | | | |
|-------------------------------------|------------------|---|--|
| As of: 12/31/2000 | | Acme Company, Inc. ID: 12-126 Street Name Goes Here City, State, Zip | |
| Insider | AA005 | Ericsson, Frederick, G. | Title Director |
| SSN | 401-23-5325 | 00 Golden Way Santa Barbara, CA, 93101 | email fred@krc.net |
| Security Type Derivative | | | |
| Security Title | Ownership | Underlying Title | Exercise / Conversion Price Securities Owned |
| Test Derivative | Direct | Common Stock | \$5.5000 600 |
| Total | | | 600 |
| Security Type Non-derivative | | | |
| Security Title | Ownership | Securities Owned | |
| Common Stock | Direct | 100 | |
| Test Debenture | By Son | \$ 50 | |
| Total | | | 100 |

Figure 137 – SEC16 Ownership Summary

Transactions Data Check

Report shows if there are errors in the Transactions database. You can start Data Check procedure from the System Maintenance layout or from the Reports list.

Fields shown are transaction **ID**, **Employee** (insider) **ID** and **Error Description**.

There is a trailing grand summary report part, showing total number of records listed.

If there are no errors found, appropriate message is shown and all Error Description fields are empty.

If there are errors found, you will be prompted to choose if you want to print this report. After you review Error Description fields, please correct the errors in the database.

Report format is *Letter*, orientation is *Portrait*.

Forms

Forms List


Report shows list of insider form cards.


Single card contains: insider **Name** and **ID**, **Insider Type**, **Job Title**, **Form** number (3, 4 or 5), **Form Date**, form **Preparation Date**, **Filing Date** (date when the form is submitted to SEC), **Filing Type** (Individual or joint/Group), **Filing Notes**, **Original Filed Date** (if this form is an amendment form), **Verification Date** (date when the SEC has accepted the form), **Signature Date**, **Signatory**, **Reporting Person** and **IRS Number** of reporting person (if an entity), two form **Footnote** fields, **Notes** and set of check boxes that describes if form contains **Voluntary Reporting** transactions, if form **Report Aggregated Holdings**, if for is an **Exit Form** and if **Power of Attorney** is selected for form filing. Filing Notes and Notes are both non-printable on forms.

Press the **Form** or **Insider** button  to sort records by those fields.

Report format is *Letter*, orientation is *Portrait*.

There is a trailing grand summary report part, showing total number of forms listed and range of form dates, (min and max) for records listed.

Press the **Preview** button  to see how the report will look printed on paper. You can browse through the report pages using the **book tool**. Press the **Continue** button to exit from the preview mode.

Press the **Print** button  to print this report. Print dialog will be shown, allowing you to select: printer, change its properties, mark if you want to print in the file, define print range (all pages or page subset), define page numbering starting page, select number of copies and collate settings.

Press the **Jump To Record List** button  if you want to filter records. After you finish, please press the **Back** button to return to this report.

You can browse through the record list using the record navigation buttons: go to previous, next, first and last record in the current found set.

Press the **Jump Back** button  to close this report.

| | | | |
|--------------|--|--|--|
| FORMS | | Acme Company, Inc. ID: 12-126 Street Name Goes Here City, State, Zip | |
|--------------|--|--|--|

| | | | | | |
|---------------------|-------------------------|-----------------------|----------------------------|-----------------------------------|--------------------------|
| Name | Ericsson, Frederick, G. | ID | AA005 | Insider Type | Director |
| Form | 4 | Form Date | Oct 31, 2000 | Job Title | Director |
| | Preparation Date | Nov 16, 2000 | Original Filed Date | | |
| | Filing Date | | Verification Date | | |
| Filing Type | Individual | Signature Date | Nov 21, 2000 | | |
| Filing Notes | test filing | Signatory | | | |
| | Reporting Person | | | | |
| Footnotes 1 | | IRS Number | | | |
| Footnotes 2 | | | | Voluntary Reporting | <input type="checkbox"/> |
| Notes | | | | Report Aggregated Holdings | <input type="checkbox"/> |
| | | | | Exit Form | <input type="checkbox"/> |
| | | | | Power of Attorney | <input type="checkbox"/> |

From Oct 31, 2000 to Oct 31, 2000

Total number of forms 1


Figure 138 – Forms List

Form Details


Report shows complete insider form record. There are three different form details reports, based on the form number (3, 4 or 5). This is actually a print-preview layout, which allows you to view complete form before printing.


In the **Browse** mode, you can modify some form fields: OMB Approval text, IRS Number of Reporting Number, Signatory, Signature Date and Footnotes. You can also mark if reporting person is no longer subject to Section 16 (Exit Form, available for forms 4 and 5) and for form 5 you can mark if form 3 and form 4 transactions have been reported earlier.

Report format is *Letter*, orientation is *Landscape*.

Press the **E-mail report** button  to create xml file for the electronic form submission, based on the Edgar 8.5 Reduced Content XML Filing Specification. To complete the form submission, you need to run external program, called EdgarSubmission.exe from the Export folder, which will create filing .xml file you need to upload to Edgar On-Line. In EdgarSubmission.exe you have to specify doc .xml file created by Stox (use Browse button under the Primary Stox document), specify Contact Info, and press **Create Submission File** button at the end.

Please **note** that EdgarSubmission.exe requires latest Microsoft .Net framework.

Press the **Preview** button  to see how the report will look printed on paper. You can browse through the report pages using the **book tool**. Press the **Continue** button to exit from the preview mode.

Press the **Print** button  to print this form. Print dialog will be shown, allowing you to select: printer, change its properties, mark if you want to print in the file, define print range (all pages or page subset), define page numbering starting page, select number of copies and collate settings.

Press the **Jump To Record List** button  if you want to see other form records.

Press the **Jump Back** button  to close this report.

[illegible]

Figure 139 – Form Details (page one)

Page 3 of 3 pages

Acme Company, Inc. (ACME)

Ericsson, Frederick, G.
00 Golden Way
Santa Barbara, CA, 93101

- (1) 'prime' purchase
- (2) ti
- (3) da
- (4) co
- (5) se
- (6) ec
- (7) ut
- (8) us
- (9) ps
- (10) ovr
- (11) ot

Figure 141 – Form Details (page three)

Forms Data Check

Report shows if there are errors in the Forms database. You can start Data Check procedure from the System Maintenance layout or from the Reports list.

Fields shown are transaction **ID**, **Employee** (insider) **ID**, **Form** number, form **Date** and **Error Description**.

There is a trailing grand summary report part, showing total number of records listed.

If there are no errors found, appropriate message is shown and all Error Description fields are empty.

If there are errors found, you will be prompted to choose if you want to print this report. After you review Error Description fields, please correct the errors in the database.

Report format is *Letter*, orientation is *Portrait*.

Proxy Reports

Proxy/60 Days Shares Exercisable

Shows how many shares will exercise within 60 days of specified date. Grouped by optionee names.

| 60 DAYS SHARES EXERCISABLE | | | | | | | |
|--|-------------|--------------------|---------------|---|--------------------|--|------------------|
| From Date: 1/1/2001 FMV: \$30.1700 | | | | Acme Company, Inc. ID: 12-126 Street Name Goes Here City, State, Zip | | | |
| Optionee Ericsson, Frederick, G. | | ID AA005 | | Insider Status Director | | Include In Proxy? <input checked="" type="checkbox"/> | |
| Option ID | Type | Date | Shares | Price | Total Price | Total Value | Net Value |
| Plan 99A-5 | ISO | 5/1/1999 | 1,000 | \$5.0000 | \$5,000.00 | \$30,170.00 | \$25,170.00 |
| Plan 99A-11 | NQA | 6/1/1999 | 500 | \$6.0000 | \$3,000.00 | \$15,085.00 | \$12,085.00 |
| Total options 2 Exercisable 2 | | Total | 1,500 | | \$8,000.00 | \$45,255.00 | \$37,255.00 |
| Total options 2 Exercisable 2 | | Total | 1,500 | | \$8,000.00 | \$45,255.00 | \$37,255.00 |

Figure 142 – Proxy/60 Days Shares Exercisable

Proxy/60 Days Exercisable Summary

Shows how many shares will exercise within 60 days of specified date. Grouped by insider types.

| 60 DAYS EXERCISABLE SUMMARY | | | | | | |
|---------------------------------------|--------------|---------------|-------------------|---|--------------------|------------------|
| From Date: 1/1/2001 FMV: \$30.1700 | | | | Acme Company, Inc. ID: 12-126 Street Name Goes Here City, State, Zip | | |
| Insider Type | Count | Shares | Avg. Price | Total Price | Total Value | Net Value |
| Director | 1 | 1,500 | \$5.3333 | \$8,000.00 | \$45,255.00 | \$37,255.00 |
| Total | 1 | 1,500 | \$5.3333 | \$8,000.00 | \$45,255.00 | \$37,255.00 |

Figure 143 – Proxy/60 Days Exercisable Summary

Proxy/Compensation Awards Summary

User specifies three most recent fiscal years. Report lists optionees with Value of Restricted Stock Purchases and Number of Shares/SARs granted, for every fiscal year separate. User can specify Include In Proxy? to filter employees by this criteria.

COMPENSATION SUMMARY

Acme Company, Inc.
ID: 12-126
Street Name Goes Here
City, State, Zip

| Optionee | ID | Fiscal Years | RSP Value | Options/SAR Granted |
|-------------------------|-------|-----------------------|-----------|------------------------|
| Ericsson, Frederick, G. | AA005 | 1/1/1998 - 12/31/1998 | \$0.00 | 0 |
| | | 1/1/1999 - 12/31/1999 | \$0.00 | 6,000 |
| | | 1/1/2000 - 12/31/2000 | \$0.00 | 0 |
| Total Optionees 1 | | 1/1/1998 - 12/31/1998 | \$0.00 | 0 |
| | | 1/1/1999 - 12/31/1999 | \$0.00 | 6,000 |
| | | 1/1/2000 - 12/31/2000 | \$0.00 | 0 |

Figure 144 – Proxy/Compensation Awards Summary

Proxy/Compensation Details

Shows details of Compensation Awards Summary report.

Options are separated by type into the RSPs and all the others. Grouped by optionee names and sub-grouped by three fiscal years specified.

COMPENSATION DETAILS

Acme Company, Inc.
ID: 12-126
Street Name Goes Here
City, State, Zip

Ending Date: 12/31/2000
Ending FMV: \$30.1700

| | | | |
|-------------------------|-------|----------------|-------------------------------------|
| Optionee | ID | Insider Status | Include In Proxy? |
| Ericsson, Frederick, G. | AA005 | Director | <input checked="" type="checkbox"/> |

| Option ID | Type | Date | Price | FMV | Option/SAR Shares | Restricted Shares | RSP Value |
|---|------|----------|----------|----------|-------------------|-------------------|-----------|
| Plan 99A - 5 | ISO | 5/1/1999 | \$5.0000 | \$5.0000 | 5,000 | 0 | \$0.00 |
| Plan 99A - 11 | NQA | 6/1/1999 | \$6.0000 | \$6.0000 | 1,000 | 0 | \$0.00 |
| Total for Fiscal Year 2, from 1/1/1999 to | | | | | 6,000 | 0 | \$0.00 |
| Total | | | | | 6,000 | 0 | \$0.00 |

Unvested Restricted Shares 0
Total Value \$0.00

| | | | | |
|-------------------|-------|-------|---|--------|
| Total optionees 1 | Total | 6,000 | 0 | \$0.00 |
|-------------------|-------|-------|---|--------|

Figure 145 – Proxy/Compensation Award Details

Proxy/Options/SARs Valuation

Shows Options/SARs granted within fiscal year specified and valuation related fields. Grouped by optionee names. Records will be listed even if valuation fields are empty.

| OPTIONS/SARS VALUATION | | | | | | | | | | |
|-------------------------------------|------|------------|---|----------------------------|----------------------|--|----------|------------------|--------------------|--------------------|
| From 1/1/1999 to 12/31/1999 | | | Acme Company, Inc. ID: 12-126 Street Name Goes Here City, State, Zip | | | | | | | |
| Optionee Ericsson, Frederick, G. | | | ID AA005 | Insider Status Director | | Include In Proxy? <input checked="" type="checkbox"/> | | | | |
| Option ID | Type | Date | Expiry Date | Option/SAR Shares | % of Total Shares | Price | FMV | Expected Term | Valuation Model | Total Valuation |
| Plan 99A - 5 | ISO | 5/1/1999 | 5/1/2009 | 5,000 | 71.4286 | \$5.0000 | \$5.0000 | 10 | BS Multiple | \$18136 |
| Plan 99A - 11 | NQA | 6/1/1999 | 6/1/2009 | 1,000 | 14.2857 | \$6.0000 | \$6.0000 | 5 | BS Single | \$1,746.60 |
| Plan 99B - 7 | ISO | 10/22/1999 | 10/22/2009 | 1,000 | 14.2857 | \$7.0000 | \$7.0000 | 7.5 | Binomial | \$2,522.20 |
| Total | | | | 7,000 | 100.0000 | | | | w. avg. | \$19,053 |
| Total | | | | 7,000 | 100.0000 | | | | w. avg. | \$19,053 |
| Total | | | | 7,000 | 100.0000 | | | | w. avg. | \$19,053 |

Figure 148 – Proxy/Options/SARs Valuation

Proxy/Outstanding Shares

Shows options that have outstanding shares as of specified date. Grouped by optionee names.

| OUTSTANDING SHARES | | | | | | | | | |
|--|------|------------|---|--------------------------|-----------------------|--|-----------------------------|--------------------------------|-------------------------------|
| As of: 1/1/2000 FMV: \$15.4000 | | | Acme Company, Inc. ID: 12-126 Street Name Goes Here City, State, Zip | | | | | | |
| Optionee Ericsson, Frederick, G. | | | ID AA005 | Insider Type Director | | Include In Proxy? <input checked="" type="checkbox"/> | | | |
| Option ID | Type | Date | Price | Granted Shares | Outstanding Shares | Outstanding Shares Vested | Outstanding Vested Value | Outstanding Shares Unvested | Outstanding Unvested Value |
| Plan 99A - 5 | ISO | 5/1/1999 | \$5.0000 | 5,000 | 4,750 | 0 | \$0.00 | 4,750 | \$49,400.00 |
| Plan 99A - 11 | NQA | 6/1/1999 | \$6.0000 | 1,000 | 500 | 500 | \$9,400.00 | 0 | \$0.00 |
| Plan 99B - 7 | ISO | 10/22/1999 | \$7.0000 | 1,000 | 1,000 | 0 | \$0.00 | 1,000 | \$8,400.00 |
| Total | | | | 7,000 | 6,250 | 500 | \$9,400.00 | 5,750 | \$57,800.00 |
| Wavg | | | | 2,333.33 | 3,607.14 | | | | |
| Outstanding Vested Shares With Value | | | | 1,000 | | | | | |
| Outstanding Unvested Shares With Value | | | | 5,250 | | | | | |
| Total optionees 1 | | | | Total | 7,000 | 6,250 | 500 | \$9,400.00 | \$57,800.00 |
| | | | | Wavg | 2,333.33 | 3,607.14 | | | |
| Outstanding Vested Shares With Value | | | | 1,000 | | | | | |
| Outstanding Unvested Shares With Value | | | | 5,250 | | | | | |

Figure 149 – Proxy/Outstanding Shares

Proxy/Repriced Options

Shows options repriced during the specified period, with Optionee Name, Option ID, Previous Option ID, Shares Repriced, Date, Price, FMV, Expire Date and Previous Option Term.

REPRICED OPTIONS

From 1/1/1999 to 12/31/1999

Acme Company, Inc.
ID: 12-126
Street Name Goes Here
City, State, Zip

| Optionee | Option ID | Type | Date | Previous Option ID | Shares Repriced | Price | FMV | Expire Date | Previous Option Term |
|---------------------------------|--------------|------|------------|--------------------|------------------------------|-----------|-----------|-------------|----------------------|
| Smith, John, Z. | Plan 99B - 8 | NQ | 12/17/1999 | Plan 99B - 6 | 900 | \$13.3500 | \$13.3500 | 10/1/2009 | 0 years, 78 days |
| Total repriced options 1 | | | | | Total repriced shares | 900 | | | |

Figure 150 – Proxy/Repriced Options

Proxy/Exercise Summary

Shows exercise summary for optionees, which includes number and value of shares exercised, number and value of exercisable and unexercisable shares. Grouped by optionee names.

| EXERCISE SUMMARY | | | | Acme Company, Inc. ID: 12-126 Street Name Goes Here City, State, Zip | | | |
|--|--------------|---------------------|--------------------|---|-----------------------------------|-------------------------|-------------------------------------|
| From 1/1/1999 to 12/31/1999 Ending FMV: \$15.4500 | | | | | | | |
| Optionee | ID | Shares Exercised | Exercised Value | Exercisable Shares | Value of Exercisable Shares | Unexercisable Shares | Value of Unexercisable Shares |
| Ericsson, Frederick, G. | AA005 | 500 | \$2,325.00 | 500 | \$4,725.00 | 500 | \$4,725.00 |
| Total optionees 1 | Total | 500 | \$2,325.00 | 500 | \$4,725.00 | 500 | \$4,725.00 |

Figure 151 – Proxy/Exercise Summary

Proxy/Exercise Details

Shows detailed list of exercises summed in Proxy/Exercise Summary report.

EXERCISE DETAILS

From 1/1/1999 to 12/31/1999

Acme Company, Inc.

ID: 12-126

Street Name Goes Here

City, State, Zip

| Optionee | | ID | Insider Status | | Include In Proxy? <input checked="" type="checkbox"/> | | | |
|-----------------------|-------------|-------------|----------------|---------------|---|-------------|-------------|------------|
| Frederick G. Ericsson | | AA005 | Director | | | | | |
| Option ID | Option Type | Option Date | Exercise Date | Exercise Type | Shares Exercised | Share Price | Share Value | Total Gain |
| Plan 99 A - 11 | NQA | 6/1/1999 | 11/29/1999 | Cash | 500 | \$6.0000 | \$10.6500 | \$2,325.00 |
| Total | | | | | 500 | | | \$2,325.00 |
| Total | | | | | 500 | | | \$2,325.00 |

Figure 152 – Proxy/Exercise Details

Proxy/Compensation Actually Paid

Report is based on the SEC final rule Pay versus Performance 17 CFR Parts 229, 232, and 240 [Release Nos. 34-95607; File No. S7-07-15] Proxy report calculates total valuation at the end of previous and current fiscal year. Special forecast naming is required. User specifies previous and current fiscal year end dates. User can specify Include In Proxy? to filter employees by this criteria.

Let's say we have one grant of 1,000 shares with a date Jun 1, 2019 with price \$10 and fair market value same \$10, with three year vesting.

Valuation inputs are forecast named 19Jun1 and expected term 4 years.

That gives grant date valuation for example \$2

We want to run a report for the previous fiscal year end date 12/31/2021 and current fiscal year end date 12/31/2022

The system will process grants for employees that have marked Include in Proxy at their employee record (or all employees if you clear Include in Proxy at report input).

It will go grant by grant and show grant date total valuation \$2,000

It will then inspect the previous fiscal year 2021. Since the grant is neither vested nor canceled unvested in 2021 it will try to calculate valuation on 12/31/2021.

For that date you need to have price in the Prices table, forecast record with a name 19Jun1 12/31/2021 that will have volatility and interest rate inputs not for the original 4 years expected term but remaining term as of 12/31/2021 and that is 1.5 years (original 4 years minus time from Jun 1, 2019, which is 2.5 years)

If all is in place system will show total valuation at 12/31/2021

For 2022 there is a vesting event on Jun 1, 2022 and the system will look for a forecast named 19Jun1 6/1/2022 with inputs that reflects 1 year remaining expected term from the original 4 years.

If found it will show total valuation on 6/1/2022 and show that it is a vesting event.

Therefore, requirements are to have prices specified on fiscal year end dates and vest dates, and to have forecast record with naming pattern

<original_name> <fiscal_end_date_or_vest_date>

Date specified has to be in the form of mm/dd/yyyy and specified as a second word in that forecast name.

For the RSP grants system is using outstanding share numbers as of yearend dates and fair market value at same dates.

System assumes the vested portion is exercised at vest date @vest date price, and that stays the same year over year, only outstanding shares are being updated as of fiscal year end dates.

COMPENSATION ACTUALLY PAID

Previous FYE 12/31/2002
Current FYE12/31/2003



| Optionee | | | ID | Insider Type | | Include In Proxy? | | | | |
|----------------|------|-----------|-----------|----------------|--------------------|-------------------------------------|--------------------|-----------------------|-----------------|-------------------|
| Young, Tom, D. | | | AA001 | Not an insider | | <input checked="" type="checkbox"/> | | | | |
| Option ID | Type | Date | Price | Total Shares | Outstanding Shares | Grant Date Valuation | Prev FYE Valuation | Current FYE Valuation | Adjustment Date | Adjustment Reason |
| Plan 99A - 1 | NQ | 5/1/1999 | \$5.0000 | 1,500 | 0 | \$0.00 | \$0.00 | \$0.00 | 4/ 1/2002 | Canceled |
| Plan 99A - 23 | DSO | 9/14/2002 | \$21.0000 | 2,000 | 2,000 | \$25,779.20 | \$0.00 | \$0.00 | | no value |
| Total | | | | 3,500 | 2,000 | \$25,779.20 | \$0.00 | \$0.00 | | |
| Total | | | | 13,000 | 10,750 | \$26,450.71 | \$0.00 | \$0.00 | | |

Figure 153 - Proxy/Compensation Actually Paid

Custom SQL report/export

Start custom SQL report from the Reports - Settings screen. You can specify custom SQL SELECT statement to generate report involving any Stox table, print to pdf, or export to Excel.

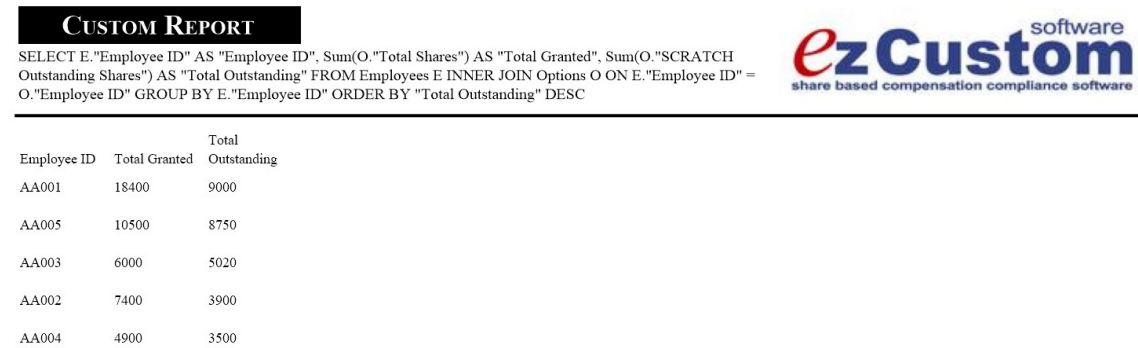


Figure 154 - Custom SQL report

Appendix A: Reporting fields' lengths

In the following list there is a summary of reporting fields and approximate maximal character lengths per field (**C**). For numeric fields there is a **F+D** pattern, where **F** denotes number of fixed digits, and **R** stands for a number of decimal digits. Currency fields have preceding USD sign (\$). If the field or group of fields is stretching over more than one row, such occurrences have **RxC** pattern, where **R** denotes number of rows.

Taxes

Tax Table

FontSize: 11

| Field | Length |
|--------------|--------|
| Tax Name | 26 |
| State | 10 |
| Rate | 3+4 |
| Yearly Limit | 10+2 |

Brokers

Brokers [brief]

FontSize: 11

| Field | Length |
|----------------|--------|
| Broker ID | 20 |
| Broker Name | 26 |
| Contact Person | 26 |
| E-mail | 24 |

Brokers [detailed]

FontSize: 10

| Field | Length |
|----------------|--------|
| Broker ID | 26 |
| Broker Name | 26 |
| Contact Person | 26 |
| E-mail | 24 |
| Address | 3x26 |

Currencies

Exchange Rates

FontSize: 11

| Field | Length |
|---------------|--------|
| Exchange Rate | 10+6 |

Prices

Fair Values

FontSize: 11

| Field | Length |
|--------------|--------|
| Share Volume | 12 |
| High | 6+4 |
| Low | 6+4 |

| | |
|--------|-----|
| Market | 6+4 |
| FMV | 6+4 |

Price Volatility

FontSize: 11

| Field | Length |
|----------------------|--------|
| FMV | 6+4 |
| other numeric fields | 4+6 |

Forecasts

Forecasts

FontSize: 11

| Field | Length |
|----------|--------|
| Forecast | 24 |

Vesting Schedules

Vesting Schedules [brief]

FontSize: 11

| Field | Length |
|---------------|--------|
| Schedule Name | 20 |

Vesting Schedules [detailed]

FontSize: 11

| Field | Length |
|---------------|--------|
| Schedule Name | 26 |

Option Plans

Option Plans [brief]

FontSize: 10

| Field | Length |
|------------------|--------|
| Plan Name | 20 |
| Vesting Schedule | 20 |
| Shares Allocated | 12 |

Option Plans [detailed]

FontSize: 11

| Field | Length |
|------------------|--------|
| Plan Name | 20 |
| Vesting Schedule | 20 |
| Shares Allocated | 12 |

Option Plan Summary

FontSize: 11

| Field | Length |
|---------------------|--------|
| Plan Name | 20 |
| Vesting Schedule | 20 |
| Available Beginning | 10 |
| Shares Granted | 10 |
| Shares Canceled | 10 |
| SAR Shares | 10 |
| Shares Available | 10 |
| Grants [before] | 10 |
| Shares [before] | 10 |
| Grants [period] | 10 |
| Shares [period] | 10 |

Purchase Plans**Purchase Plans [brief]**

FontSize: 10

| Field | Length |
|------------------|--------|
| Plan Name | 20 |
| Shares Allocated | 10 |

Purchase Plans [detailed]

FontSize: 11

| Field | Length |
|-----------------------|--------|
| Plan Name | 20 |
| Shares Allocated | 12 |
| Share Limit For All | 10 |
| Single Contrib. Limit | 10 |
| Company Limit | 10 |
| Shares Purchased | 12 |
| Shares Remaining | 12 |

Purchase Periods

FontSize: 11

| Field | Length |
|-----------------------|--------|
| Plan Name | 20 |
| Shares Allocated | 12 |
| Share Limit For All | 10 |
| Single Contrib. Limit | 10 |
| Company Limit | 10 |
| Shares Purchased | 12 |
| Shares Remaining | 12 |
| Purchase Value | 8+4 |
| Other Price | 8+4 |

ESPP Withdrawals

FontSize: 11

| Field | Length |
|-------------|--------|
| Name | 30 |
| Employee ID | 12 |

Employees**Employees List [brief]**

FontSize: 11

| Field | Length |
|-------------|--------|
| Name | 30 |
| Employee ID | 12 |
| Job Title | 20 |

Employees List

FontSize: 11

| Field | Length |
|----------------|--------|
| Name | 30 |
| Employee ID | 12 |
| Job Title | 30 |
| Subsidiary | 26 |
| Location | 30 |
| Custom Field 1 | 30 |
| Custom Field 2 | 26 |
| Custom Field 3 | 30 |
| Custom Field 4 | 26 |

Employee Profile

FontSize: 11

| Field | Length |
|-------------------|--------|
| Address | 3x30 |
| City, State, ZIP, | 30 |
| Country | 30 |
| E-mail | 22 |
| Job Title | 30 |
| Location | 30 |
| Subsidiary | 30 |
| Tax Name | 22 |
| Option Account | 22 |
| Purchase Account | 22 |
| Option Broker | 22 |
| Purchase Broker | 22 |

Termination Report

FontSize: 11

| Field | Length |
|--------------------|--------|
| Grant ID | 30 |
| Exercisable Shares | 9 |
| Exercised | 9 |
| Price | 5+4 |
| Vested | 9 |
| Canceled | 9 |
| Shares Granted | 9 |
| Vested Exercisable | 9 |
| Expired | 9 |
| Outstanding | 9 |
| Repurchasable | 9 |

Employee ESPP History

FontSize: 11, 9

| Field | Length |
|---------------|--------|
| Optionee Info | 6x30 |
| Employee ID | 16 |
| FontSize: 9 | |
| Amount | 9+2 |
| Balance | 9+2 |

Stock Ownership

FontSize: 10

| Field | Length |
|---------------|--------|
| Employee Name | 30 |
| Employee ID | 16 |
| Shares Owned | 14 |

Contributions**Contributions List**

FontSize: 10

| Field | Length |
|---------------|--------|
| Employee ID | 12 |
| Employee Name | 30 |
| Purchase Plan | 16 |
| Dollar Amount | 9+2 |

Contributions by Employee

FontSize: 12,10

| Field | Length |
|---------------|--------|
| Employee Name | 30 |
| Employee ID | 12 |
| Purchase Plan | 20 |
| FontSize: 10 | |
| Amount | 10+2 |
| Exchange Rate | 7+6 |
| Dollar Amount | 9+2 |

Available Contributions

FontSize: 10

| Field | Length |
|---------------|--------|
| Employee ID | 12 |
| Employee Name | 30 |
| Total Amount | 9+2 |
| Current | 9+2 |
| Carry Forward | 9+2 |

New Contributions Summary

FontSize: 10

| Field | Length |
|---------------|--------|
| Name | 30 |
| Amount | 14+2 |
| Exchange Rate | 8+6 |
| Dollar Amount | 11+2 |

Purchases**Purchases List**

FontSize: 10

| Field | Length |
|---------------|--------|
| Employee ID | 12 |
| Employee Name | 30 |
| Purchase Plan | 20 |
| Shares | 12 |

Purchase Summary

FontSize: 10

| Field | Length |
|--------------------|--------|
| Employee ID | 12 |
| Employee Name | 30 |
| Share Price | 5+4 |
| Shares | 9 |
| Total Shares Price | 8+2 |
| Shares Value | 8+2 |
| Gain | 8+2 |

Purchases by Employee

FontSize: 12,10

| Field | Length |
|-------------------|--------|
| Employee Name | 30 |
| Employee ID | 12 |
| Purchase Plan | 20 |
| FontSize: 10 | |
| Share Price | 6+4 |
| Purchasing Amount | 10+2 |
| Shares | 12 |
| Leftover Amount | 10+2 |

Purchase Confirmation

FontSize: 13

| Field | Length |
|-------------------|--------|
| Employee Name | 30 |
| Employee ID | 14 |
| Address | 3x30 |
| City, State, ZIP, | 30 |

| | |
|------------------------|------|
| Country | 30 |
| E-mail | 30 |
| Purchase Plan | 20 |
| FMV @ Subscription | 8+4 |
| FMV @ Purchase | 8+4 |
| IRS Limit FMV | 8+4 |
| Purchase Price | 8+4 |
| Carried Forward Amount | 10+2 |
| Contributed Amount | 10+2 |
| Total Purch. Amount | 10+2 |
| Previous Balance | 10 |
| Current Balance | 10 |
| Shares Purchased | 10 |
| Total Purchase Price | 10+2 |
| Shares Value | 10+2 |
| Gain | 10+2 |
| Total IRS Value | 10+2 |
| Leftover Amount | 10+2 |
| Registration | 3x30 |
| Address | 3x30 |

Purchase Status by Employee

FontSize: 10

| Field | Length |
|--------------------|--------|
| Employee Name | 30 |
| Employee ID | 14 |
| Purchase Plan | 20 |
| FMV @ Offering | 10+4 |
| FMV @ Subscription | 10+4 |
| Share Price | 7+4 |
| FMV @ Purchase | 7+4 |
| Shares Purchased | 12 |
| Total Shares Price | 10+2 |
| Shares Value | 10+2 |
| Gain | 10+2 |
| Shares Sold | 12 |

Issuance Summary

FontSize: 10

| Field | Length |
|---------------|--------|
| Employee Name | 30 |
| Employee ID | 12 |
| Registration | 2x30 |
| Address | 3x30 |
| Broker ID | 16 |
| Share Price | 5+4 |
| Shares | 9 |

Broker Issuance Summary

FontSize: 12,10

| Field | Length |
|----------------|--------|
| Broker ID | 20 |
| Broker Name | 2x30 |
| Broker Address | 3x30 |

FontSize: 10

| | |
|--------------|------|
| Registration | 30 |
| Address | 3x30 |

| | |
|-------------------|----|
| City, State, ZIP, | 30 |
| Country | 30 |
| Account | 12 |
| Shares | 9 |

Purchases Accounts [detailed]

FontSize: 11

| Field | Length |
|-------------------|--------|
| Name | 30 |
| Address | 3x30 |
| City, State, ZIP, | 30 |
| Country | 30 |
| E-mail | 30 |
| Employee ID | 12 |
| Job Title | 20 |
| Subsidiary | 20 |
| Location | 20 |
| Share Limit | 8 |
| Broker ID | 12 |
| Purchase Account | 12 |

Purchases Accounts [brief]

FontSize: 10

| Field | Length |
|----------------------|--------|
| Name | 30 |
| Employee ID | 12 |
| Share Limit | 8 |
| Default Contribution | 9+2 |
| Broker ID | 12 |
| Purchase Account | 12 |

Purchase Accounts by Broker

FontSize: 12,11

| Field | Length |
|----------------|--------|
| Broker ID | 22 |
| Broker Name | 2x30 |
| Broker Address | 3x30 |
| Broker E-mail | 20 |

FontSize: 11

| | |
|------------------|----|
| Name | 30 |
| Purchase Account | 18 |

Approaching IRS Limit

FontSize: 11

| Field | Length |
|---------------------|--------|
| Name | 30 |
| Employee ID | 12 |
| Share Limit | 8 |
| Total Shares | 8 |
| Offset Shares | 8 |
| Total IRS Value | 7+2 |
| Offset IRS Value | 7+2 |
| IRS Limit Available | 7+2 |

New Purchases Summary

FontSize: 10

| Field | Length |
|-----------------|--------|
| Name | 30 |
| Amount | 10+2 |
| Share Price | 10+2 |
| Dollar Amount | 10+2 |
| Leftover Amount | 10+2 |

Purchase Dispositions**Purchase Dispositions List**

FontSize: 11

| Field | Length |
|---------------|--------|
| Employee Name | 30 |
| Employee ID | 12 |
| Purchase Plan | 18 |
| Shares | 12 |
| Broker ID | 16 |
| Sale Price | 7+4 |
| Fee | 8+2 |

Purchase Dispositions Survey

FontSize: 11

| Field | Length |
|----------------------|--------|
| Employee Name | 30 |
| Address | 3x30 |
| City, State, ZIP, | 30 |
| Country | 30 |
| Employee ID | 14 |
| E-mail | 20 |
| Shares Transferred | 9 |
| Fair Value on Purch. | 5+4 |
| Total Value | 7+2 |
| Purchase Price | 5+4 |
| Total Price | 7+2 |
| Discount on Subscr. | 5+4 |
| Total Discount | 7+2 |

Purchase Disposition Tax Info

FontSize: 11

| Field | Length |
|----------------------|--------|
| Employee Name | 30 |
| Address | 3x30 |
| City, State, ZIP, | 30 |
| Country | 30 |
| Employee ID | 14 |
| E-mail | 20 |
| Shares Sold | 9 |
| Fair Value on Purch. | 6+4 |
| Total Value | 8+2 |
| Purchase Price | 7+4 |
| Total Price | 9+2 |
| Discount on Subscr. | 7+4 |

| | |
|----------------|-----|
| Total Discount | 9+2 |
| Sale Price | 7+4 |
| Total Sale | 9+2 |
| W-2 Income | 9+2 |

Purchase Refunds**Refunds List**

FontSize: 10

| Field | Length |
|---------------|--------|
| Employee Name | 30 |
| Dollar Amount | 8+2 |
| Exchange Rate | 4+6 |
| Amount | 10+2 |

Refund Summary

FontSize: 10

| Field | Length |
|---------------|--------|
| Employee Name | 30 |
| Dollar Amount | 8+2 |
| Exchange Rate | 4+6 |
| Amount | 10+2 |

Refunds by Employee

FontSize: 12

| Field | Length |
|---------------|--------|
| Employee Name | 30 |
| Employee ID | 14 |
| Purchase Plan | 20 |

FontSize: 10

| | |
|---------------|------|
| Dollar Amount | 10+2 |
| Exchange Rate | 6+6 |
| Amount | 12+2 |

Refund Confirmation

FontSize: 13

| Field | Length |
|-------------------|--------|
| Employee Name | 30 |
| Employee ID | 14 |
| Address | 3x30 |
| City, State, ZIP, | 30 |
| Country | 30 |
| E-mail | 30 |
| Purchase Plan | 20 |
| Dollar Amount | 12+2 |
| Exchange Rate | 8+6 |
| Refund Amount | 13+2 |

Purchase Valuations**Purchase Valuations**

FontSize: 11

| Field | Length |
|---------------------|--------|
| Purchase Plan | 18 |
| Discount % | 3+2 |
| Begin Value | 8+4 |
| Begin Price | 8+4 |
| Est. Contributions | 10+2 |
| Volatility | 3+4 |
| Interest | 4+3 |
| Dividend | 4+3 |
| Term | 4+2 |
| Valuation Per Share | 6+6 |
| Total Valuation | 9+2 |

Purchase Valuation Adjustments

FontSize: 11

| Field | Length |
|-------------------------|--------|
| Purchase Plan | 20 |
| Begin Price | 4+6 |
| Valuation Per Share | 4+6 |
| Est. Contributions | 8+2 |
| Total Valuations | 8+2 |
| Actual Contributions | 8+2 |
| Actual Valuations | 8+2 |
| Expenditure Adjustments | 7+2 |

Options**New Grants Summary**

FontSize: 10

| Field | Length |
|---------------|--------|
| Optionee Name | 2x20 |
| Plan | 14 |
| Price | 4+4 |
| Shares | 9 |
| NQ Shares | 9 |
| Total Price | 9+2 |

Options List [brief]

FontSize: 11

| Field | Length |
|---------------|--------|
| Grant ID | 23 |
| Employee Name | 28 |
| Employee ID | 12 |
| Shares | 9 |
| Price | 6+4 |

Options List [detailed]

FontSize: 11

| Field | Length |
|------------------|--------|
| Employee ID | 14 |
| Employee Name | 30 |
| Shares | 11 |
| Grant ID | 30 |
| Option Plan | 30 |
| Market Price | 8+4 |
| Vesting Schedule | 30 |
| Option Price | 8+4 |
| Total Price | 10+2 |
| Vesting Shares | 9 |

Option Agreement

FontSize: 11

| Field | Length |
|-----------------|--------|
| Optionee Info | 6x30 |
| Shares Granted | 12 |
| Price per share | 8+4 |
| Option Plan | 22 |
| Option ID | 30 |
| Vesting Shares | 9 |

Options Granted

FontSize: 9

| Field | Length |
|---------------|--------|
| Optionee Name | 30 |
| Employee ID | 14 |
| Option ID | 18 |
| Shares | 9 |
| Fair Value | 4+4 |
| Price | 4+4 |
| Total Price | 8+2 |
| Compensation | 8+2 |

Options Outstanding (A)

FontSize: 11

| Field | Length |
|------------------|--------|
| Grant ID | 20 |
| Shares Granted | 9 |
| Option Price | 5+4 |
| Shares Expiring | 9 |
| Cost to Purchase | 10+2 |

Options Outstanding (B)

FontSize: 9

| Field | Length |
|----------------|--------|
| Option ID | 2x16 |
| Optionee Name | 2x20 |
| Price | 4+4 |
| Shares Granted | 9 |

| | |
|--------------------|-----|
| Shares Exercised | 9 |
| Shares Canceled | 9 |
| Shares Outstanding | 9 |
| Total Price | 9+2 |
| Shares Vested | 9 |
| Shares Exercisable | 9 |

Options Canceled

FontSize: 9

| Field | Length |
|---------------------|--------|
| Optionee Name | 30 |
| Employee ID | 12 |
| Option ID | 18 |
| Cancellation Reason | 18 |
| Shares Canceled | 9 |
| Price | 4+4 |
| Total Price | 10+2 |

Options Repriced

FontSize: 9

| Field | Length |
|--------------------|--------|
| Optionee Name | 30 |
| Employee ID | 12 |
| Option ID | 18 |
| Repriced Option ID | 18 |
| Shares Repriced | 9 |
| Price | 4+4 |
| Total Price | 10+2 |

Grant Acknowledgement

FontSize: 11

| Field | Length |
|----------------|--------|
| Optionee Info | 6x30 |
| Grant ID | 20 |
| Shares Granted | 9 |
| Option Price | 6+4 |

Options Summary

FontSize: 10

| Field | Length |
|--------------------|--------|
| Optionee Info | 6x30 |
| Grant ID | 20 |
| Shares Granted | 9 |
| Option Price | 6+4 |
| Shares Outstanding | 9 |
| Vesting Shares | 10x9 |

Grants Approaching Expiration

FontSize: 10

| Field | Length |
|----------------|--------|
| Grant ID | 20 |
| Shares Granted | 9 |

| | |
|------------------|------|
| Option Price | 5+4 |
| Shares Expiring | 9 |
| Cost to Purchase | 10+2 |

Grant Status Report

FontSize: 11

| Field | Length |
|--------------------|--------|
| Grant ID | 30 |
| Exercisable Shares | 9 |
| Exercised | 9 |
| Price | 5+4 |
| Vested Exercisable | 9 |
| Canceled | 9 |
| Shares Granted | 9 |
| Outstanding | 9 |
| Expired | 9 |

Expected Term - Single Option

FontSize: 10

| Field | Length |
|------------------|--------|
| Optionee Name | 28 |
| Option ID | 18 |
| Shares Granted | 9 |
| Shares Exercised | 9 |
| Expected Term | 8+2 |

Expected Term - Multiple Option

FontSize: 10

| Field | Length |
|------------------|--------|
| Optionee Name | 28 |
| Option ID | 18 |
| Shares Granted | 9 |
| Shares Exercised | 9 |
| Expected Term | 8+2 |

Option Valuation

FontSize: 9

| Field | Length |
|-----------------|--------|
| Option ID | 19 |
| Employee ID | 12 |
| Total Shares | 9 |
| Fair Value | 4+4 |
| Price | 4+4 |
| Forecast | 20 |
| Expected Term | 8 |
| Value | 4+4 |
| Total Valuation | 8+2 |

Option Revaluation

FontSize: 9

| Field | Length |
|--------------------|--------|
| Option ID | 19 |
| Replacement ID | 19 |
| Total Shares | 9 |
| Fair Value | 4+4 |
| Price | 4+4 |
| Forecast | 19 |
| Expected Term | 8 |
| Revaluation Credit | 6+2 |

Expense Allocation BSS/Bin/Multi

FontSize: 9

| Field | Length |
|---------------------|--------|
| Option ID | 19 |
| Optionee Name | 2x20 |
| Shares Granted | 9 |
| Total Valuation | 8+2 |
| Inherited Amount | 8+2 |
| Prior Amortized | 8+2 |
| Unamortized Expense | 8+2 |
| Period Expense | 8+2 |
| Carry Forward | 8+2 |
| Actual Expense | 8+2 |
| Expense Adjustment | 8+2 |

Expense Allocation APB25

FontSize: 9

| Field | Length |
|------------------------|--------|
| Option ID | 19 |
| Optionee Name | 2x20 |
| Shares Granted | 9 |
| Shares Outstanding | 9 |
| Total Compensation | 8+2 |
| Compensation Per Share | 6+4 |
| Amortized Expense | 8+2 |
| Unamortized Expense | 8+2 |
| Period Expense | 8+2 |
| Actual Expense | 8+2 |
| Expense Adjustment | 8+2 |

Options by Price

FontSize: 9

| Field | Length |
|--------------------|--------|
| Optionee Name | 30 |
| Employee ID | 13 |
| Option ID | 20 |
| Granted Shares | 9 |
| Outstanding Shares | 9 |
| Exercisable Shares | 9 |
| Remaining Life | 4+2 |

Repurchasable Options

FontSize: 9

| Field | Length |
|---------------|--------|
| Optionee Name | 30 |
| Employee ID | 14 |
| Option ID | 12 |
| Shares | 9 |
| Price | 6+4 |
| Total Price | 10+2 |

Accruals

FontSize: 9

| Field | Length |
|--------------------|---------|
| Option ID | 12 |
| Optionee Name | 2x30 |
| Price | 6+4 |
| Compensation | 6+4 |
| Shares Granted | 10x9 |
| Shares Outstanding | 10x9 |
| Total Compensation | 10x10+2 |
| Ratio | 10x1+6 |
| Accrual | 10x10+2 |

Option Accounts by Broker

FontSize: 12,11

| Field | Length |
|----------------|--------|
| Broker ID | 22 |
| Broker Name | 2x30 |
| Broker Address | 3x30 |
| Broker E-mail | 20 |
| FontSize: 11 | |
| Name | 30 |
| Option Account | 30 |

Approaching ISO Limit

FontSize: 11

| Field | Length |
|---------------------|--------|
| Name | 30 |
| Employee ID | 12 |
| ISO Value | 8+2 |
| ISO Limit Available | 8+2 |

Fully Diluted Options Outstanding

FontSize: 9

| Field | Length |
|------------------------|--------|
| Option ID | 12 |
| Shares Outstanding | 9 |
| Days Outstanding | 5 |
| Option Price | 8+4 |
| Weighted Shares Outst. | 8+2 |
| Weighted Total Price | 9+2 |
| Buyback Shares | 8+2 |

NQ Tax Benefit Shares 8+2
Fully Diluted Outstanding 8+2

Primary Diluted Options Outstanding

FontSize: 9

| Field | Length |
|------------------------|--------|
| Option ID | 12 |
| Shares Outstanding | 9 |
| Days Outstanding | 5 |
| Option Price | 8+4 |
| Weighted Shares Outst. | 8+2 |
| Weighted Total Price | 9+2 |
| Buyback Shares | 8+2 |
| NQ Tax Benefit Shares | 8+2 |
| Primary Diluted Outst. | 8+2 |

NQ Tax Benefit/Fully Diluted

FontSize: 9

| Field | Length |
|------------------------|--------|
| Option ID | 12 |
| Shares Outstanding | 9 |
| Days Outstanding | 5 |
| Option Price | 8+4 |
| Weighted Shares Outst. | 8+2 |
| Weighted Total Price | 9+2 |
| Weighted Value | 9+2 |
| Gain | 8+2 |
| NQ Tax Deduction | 8+2 |
| NQ Tax Benefit Shares | 8+2 |

NQ Tax Benefit/Primary Diluted

FontSize: 9

| Field | Length |
|------------------------|--------|
| Option ID | 12 |
| Shares Outstanding | 9 |
| Days Outstanding | 5 |
| Option Price | 8+4 |
| Weighted Shares Outst. | 8+2 |
| Weighted Total Price | 9+2 |
| Weighted Value | 9+2 |
| Gain | 8+2 |
| NQ Tax Deduction | 8+2 |
| NQ Tax Benefit Shares | 8+2 |

Anti-Dilution/Fully Diluted

FontSize: 9

| Field | Length |
|------------------------|--------|
| Option ID | 12 |
| Shares Outstanding | 9 |
| Days Outstanding | 5 |
| Option Price | 8+4 |
| Weighted Shares Outst. | 8+2 |
| Weighted Total Price | 9+2 |
| Weighted Value | 9+2 |

Anti-Dilution/Primary Diluted

FontSize: 9

| Field | Length |
|------------------------|--------|
| Option ID | 12 |
| Shares Outstanding | 9 |
| Days Outstanding | 5 |
| Option Price | 8+4 |
| Weighted Shares Outst. | 8+2 |
| Weighted Total Price | 9+2 |
| Weighted Value | 9+2 |

Dilution Summary

FontSize: 12

| Field | Length |
|----------------------------|--------|
| Weighted Shares Value | 10+2 |
| Weighted Shares Tot. Price | 10+2 |
| Weighted Shares Outst. | 10+2 |
| Buyback Shares | 10+2 |
| Equivalent Shares | 10+2 |
| NQ Tax Benefit Shares | 10+2 |
| Adjustment Shares | 10+2 |
| Total Fully Diluted | 12+2 |
| Total Primary Diluted | 12+2 |

Exercises**New Exercise Summary**

FontSize: 11,13

| Field | Length |
|--------------------|--------|
| Employee Info | 6x30 |
| Total Number | 9 |
| Total Shares | 9 |
| Incremental Shares | 9 |
| Total Due | 8+2 |
| Total Value | 10+2 |
| Total Price | 10+2 |
| Total Gain | 10+2 |
| Total Tax | 10+2 |
| Total Net Gain | 10+2 |

Exercises List

FontSize: 11

| Field | Length |
|------------------|--------|
| Optionee Name | 30 |
| Employee ID | 20 |
| Grant ID | 24 |
| Share Price | 6+4 |
| Shares Granted | 11 |
| Shares Exercised | 10 |
| Value per Share | 6+4 |
| Total Value | 10+2 |
| Total Tax Due | 10+2 |

| | |
|----------------|------|
| Total Price | 10+2 |
| Total Tax Paid | 10+2 |

Exercises Summary Statement

FontSize: 11

| Field | Length |
|------------------|--------|
| Employee Info | 6x30 |
| Shares Exercised | 8 |
| Share Price | 4+4 |
| Share Value | 4+4 |
| Total Gain | 8+2 |

Current Exercise Record (Exercise Statement)

FontSize: 11

| Field | Length |
|------------------|--------|
| Optionee Info | 6x30 |
| Option ID | 20 |
| Shares Exercised | 11 |
| Exercise Value | 6+4 |
| Option Price | 6+4 |
| Market Value | 8+2 |
| Shares Exercised | 9 |
| Exercise Value | 4+4 |
| Option Cost | 8+2 |
| Option Price | 4+4 |
| Shares Traded | 10 |
| Trade Value | 5+4 |
| Total Gain | 8+2 |
| Total Tax Due | 8+2 |
| Net Gain | 8+2 |

| | |
|---------------|-----|
| Option Cost | 8+2 |
| Total Tax | 8+2 |
| Brokerage Fee | 8+2 |
| Total Due | 8+2 |

| | |
|---------------|----|
| Shares Issued | 10 |
|---------------|----|

| | |
|-------------|-----|
| Total Sale | 8+2 |
| Shares Sold | 9 |
| Sale Price | 5+4 |

| | |
|----------------|-----|
| Unsold Value | 8+2 |
| Shares Unsold | 9 |
| Exercise Value | 5+4 |

| | |
|------------------|-----|
| Total Swap Value | 8+2 |
| Shares Swapped | 9 |
| Swap Value | 5+4 |

| | |
|----------------|-----|
| Pyramid Value | 8+2 |
| Pyramid Shares | 9 |

| | |
|--------------|-----|
| Down Payment | 8+2 |
|--------------|-----|

| | |
|-------------|-----|
| Principal | 8+2 |
| Loan Number | 16 |

| | |
|------------------------|-----|
| SAR Value | 6+4 |
| Value of Stock Receiv. | 8+2 |

| | |
|------------|-----|
| W-2 Income | 8+2 |
|------------|-----|

| | |
|---------------------|-----|
| Taxes (up to seven) | 8+2 |
|---------------------|-----|

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| | |
|--------------------|---|
| Shares Issued | 9 |
| Shares Swapped | 9 |
| Incremental Shares | 9 |
| Shares Tendered | 9 |
| Shares Returned | 9 |

Issuance Summary

FontSize: 11,9

| Field | Length |
|------------------|--------|
| Registration | 2x30 |
| FontSize: 9 | |
| Registration | 2x24 |
| Address | 3x24 |
| Optionee Name | 2x18 |
| Employee ID | 18 |
| Account Number | 18 |
| Option ID | 18 |
| Shares Exercised | 8 |
| Shares Swapped | 8 |
| Shares Traded | 8 |
| Shares Issued | 8 |

Brokers Same Day Sale Summary

FontSize: 10

| Field | Length |
|--------------------|--------|
| Broker ID | 2x24 |
| Broker Name | 2x24 |
| Broker Address | 2x30 |
| Broker E-mail | 30 |
| Optionee Name | 2x24 |
| Account | 24 |
| Shares Sold | 9 |
| Sale Price | 4+4 |
| Total Sale | 8+2 |
| Fee | 6+2 |
| Total Option Price | 8+2 |
| Total Taxes | 8+2 |
| Due Company | 8+2 |
| Due Optionee | 8+2 |

Brokers Cash Summary

FontSize: 10

| Field | Length |
|----------------------|--------|
| Broker ID | 2x24 |
| Broker Name | 2x24 |
| Broker Address | 2x30 |
| Broker E-mail | 30 |
| Optionee Name | 2x24 |
| Account | 24 |
| Shares Exercised | 9 |
| Exercise Value | 4+4 |
| Total Exercise Value | 8+2 |
| Fee | 6+2 |
| Total Option Price | 8+2 |
| Total Taxes | 8+2 |
| Due Company | 8+2 |
| Due Optionee | 8+2 |

Exercised Shares Vesting

FontSize: 10

| Field | Length |
|------------------|--------|
| Optionee | 30 |
| Employee ID | 14 |
| Option ID | 20 |
| Shares Exercised | 11 |
| Share Price | 5+4 |
| Total Price | 10+2 |

Deferred Taxes Report

FontSize: 11,9

| Field | Length |
|------------------|--------|
| Optionee Info | 6x30 |
| Employee ID | 14 |
| Insider Type | 2x20 |
| FontSize: 9 | |
| Option ID | 18 |
| Shares Exercised | 9 |
| Share Price | 5+4 |
| Total Price | 8+2 |

Tax Withheld Report

FontSize: 11, 9

| Field | Length |
|---------------|--------|
| Optionee Info | 6x30 |
| Employee ID | 16 |

FontSize: 9

| | |
|------------|-----|
| Option ID | 18 |
| Tax Basis | 5+4 |
| Shares | 9 |
| W-2 Income | 9+2 |

| | |
|--------------|------|
| Tax Rate | 3+3 |
| Tax Withheld | 10+2 |

SCRATCH Exercise Details

Same as Current Exercise Record

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Deferrals**Deferrals List**

FontSize: 11

| Field | Length |
|---------------|--------|
| Employee Name | 30 |
| Employee ID | 12 |
| Grant ID | 18 |
| Shares Taxed | 9 |
| Fair Value | 5+4 |
| Price Basis | 5+4 |
| Taxable Gain | 8+2 |

Deferral Details

FontSize: 11

| Field | Length |
|--------------------|--------|
| Optionee Info | 6x30 |
| Option ID | 20 |
| Fair Value | 7+4 |
| Price Basis | 7+4 |
| Shares Taxed | 11 |
| Market Value | 8+2 |
| Share Value | 5+4 |
| Total Price | 8+2 |
| Toal Gain | 8+2 |
| Total Tax Due | 8+2 |
| Shares Traded | 9 |
| Trade Value | 5+4 |
| Total Trtade Value | 8+2 |
| Amount to Pay | 8+2 |
| Shares Released | 9 |
| Tax Due | 8+2 |
| Withheld | 8+2 |

SCRATCH Deferral Details

Same as Deferral Details

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Option Dispositions**Option Dispositions List**

FontSize: 11

| Field | Length |
|---------------|--------|
| Employee Name | 30 |
| Employee ID | 12 |
| Grant ID | 18 |
| Shares | 12 |
| Broker ID | 16 |
| Sale Price | 7+4 |
| Fee | 8+2 |

Option Dispositions Survey

FontSize: 11

| Field | Length |
|--------------------|--------|
| Shares Transferred | 9 |
| Option Price | 5+4 |
| Total Price | 9+2 |
| Grant ID | 24 |

Repurchases**Repurchases List**

FontSize: 11

| Field | Length |
|--------------------|--------|
| Employee Name | 30 |
| Employee ID | 12 |
| Grant ID | 20 |
| Repurchase Price | 5+4 |
| Shares Repurchased | 10 |
| Shares Granted | 10 |
| Shares Returned | 10 |
| Option Price | 5+4 |
| Repurchase Amount | 9+2 |

Repurchase Statement

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| Field | Length |
|--------------------|--------|
| Employee Info | 6x30 |
| Option ID | 20 |
| Option Plan | 20 |
| Shares Granted | 11 |
| Option Price | 7+4 |
| Repurchase Price | 7+4 |
| Shares Repurchased | 11 |
| Shares Returned | 11 |
| Repurchase Amount | 10+2 |

Securities**Security Titles**

FontSize: 11

| Field | Length |
|-----------------|--------|
| Security Title | 25 |
| Conversion Rate | 6+6 |
| Description | 2x25 |

Codes**Codes List**

FontSize: 11

| Field | Length |
|-------------|--------|
| Code | 2 |
| Form | 1 |
| Description | 2x17 |
| Category | 3x25 |
| Notes | 4x28 |

Transactions**Transactions [brief]**

FontSize: 10

| Field | Length |
|----------------|--------|
| Employee Name | 30 |
| Security Title | 18 |
| Securities | 9 |

Transactions [detailed]

FontSize: 11

| Field | Length |
|---------------------|--------|
| Transaction ID | 8 |
| Employee ID | 12 |
| Employee Name | 30 |
| Security Title | 26 |
| Ownership | 26 |
| Securities | 10 |
| Purch/Sale Price | 6+6 |
| Underlying Title | 26 |
| Under. Securities | 10 |
| Under. Exerc. Price | 6+6 |
| Under. Purch. Price | 6+6 |
| Footnotes | 10x26 |

Transactions by Insider

FontSize: 11

| Field | Length |
|---------------|--------|
| Employee ID | 12 |
| Employee Name | 30 |

| | |
|---------------------|-------|
| Job Title | 26 |
| Transaction ID | 8 |
| Security Title | 26 |
| Ownership | 26 |
| Securities | 10 |
| Purch/Sale Price | 6+6 |
| Underlying Title | 26 |
| Under. Securities | 10 |
| Under. Exerc. Price | 6+6 |
| Under. Purch. Price | 6+6 |
| Footnotes | 10x26 |

SEC16 Monthly Inquiry

FontSize: 11,10

| Field | Length |
|-------------------|--------|
| Employee ID | 12 |
| Employee Name | 30 |
| Job Title | 2x26 |
| Address | 3x30 |
| City, State, ZIP, | 30 |
| Country | 30 |
| E-mail | 26 |

FontSize: 10

| | |
|-------------------|------|
| Security Title | 2x24 |
| Ownership | 2x17 |
| Securities | 10 |
| Price | 6+4 |
| Exer./Conv. Price | 6+4 |

SEC16 Ownership Summary

FontSize: 11,10

| Field | Length |
|-------------------|--------|
| Employee ID | 12 |
| Employee Name | 30 |
| Job Title | 2x26 |
| Address | 3x30 |
| City, State, ZIP, | 30 |
| Country | 30 |
| E-mail | 26 |

FontSize: 10

| | |
|------------------|------|
| Security Title | 2x24 |
| Ownership | 2x17 |
| Underlying Title | 2x24 |
| Underlying Price | 4+4 |
| Securities Owned | 10 |

Forms**Forms List**

FontSize: 11

| Field | Length |
|------------------|--------|
| Employee Name | 30 |
| Employee ID | 12 |
| Insider Type | 17 |
| Job Title | 2x17 |
| Filing Notes | 2x23 |
| Signatory | 30 |
| Reporting Person | 30 |
| IRS Number | 30 |
| Footnotes 1 | 2x23 |
| Footnotes 2 | 2x23 |
| Notes | 2x23 |

Proxy Reports**60 Days Shares Exercisable**

FontSize: 9

| Field | Length |
|---------------|--------|
| Optionee Name | 30 |
| Employee ID | 14 |
| Insider Type | 30 |
| Option ID | 20 |
| Shares | 9 |
| Price | 4+4 |
| Total Price | 9+2 |
| Total Value | 9+2 |
| Net Value | 9+2 |

60 Days Exercisable Summary

FontSize: 9

| Field | Length |
|--------------|--------|
| Insider Type | 18 |
| Count | 7 |
| Shares | 9 |
| Avg. Price | 4+4 |
| Total Price | 9+2 |
| Total Value | 9+2 |
| Net Value | 9+2 |

Compensation Awards Summary

FontSize: 9

| Field | Length |
|-----------------------|--------|
| Name | 30 |
| Employee ID | 12 |
| RSP Value | 9+2 |
| Options//SARs Granted | 11 |

Compensation Details

FontSize: 9

| Field | Length |
|-------------------|--------|
| Optionee Name | 30 |
| Employee ID | 14 |
| Insider Type | 30 |
| Option ID | 20 |
| Price | 4+4 |
| FMV | 4+4 |
| Option/SAR Shares | 9 |
| Restricted Shares | 9 |
| RSP Value | 9+2 |

Restricted Stock Vesting

FontSize: 9

| Field | Length |
|---------------|--------|
| Optionee Name | 30 |
| Employee ID | 14 |

| | |
|--------------|----|
| Insider Type | 30 |
| Option ID | 20 |
| Shares | 9 |

Last Fiscal Year's Options/SARs

FontSize: 9

| Field | Length |
|-------------------|--------|
| Optionee Name | 30 |
| Employee ID | 14 |
| Insider Type | 30 |
| Option ID | 20 |
| Option/SAR Shares | 9 |
| % of Total Shares | 3+4 |
| Price | 4+4 |
| FMV | 4+4 |
| 0% Value | 9+2 |
| 5% Value | 9+2 |
| 10% Value | 9+2 |
| Custom % Value | 9+2 |

Options/SARs Valuation

FontSize: 9

| Field | Length |
|-------------------|--------|
| Optionee Name | 30 |
| Employee ID | 14 |
| Insider Type | 30 |
| Option ID | 20 |
| Option/SAR Shares | 9 |
| % of Total Shares | 3+4 |
| Price | 4+4 |
| FMV | 4+4 |
| Expected Term | 8 |
| Value | 4+4 |
| Total Valuation | 9+2 |

Outstanding Shares

FontSize: 9

| Field | Length |
|-----------------------|--------|
| Optionee Name | 30 |
| Employee ID | 14 |
| Insider Type | 30 |
| Option ID | 20 |
| Price | 4+4 |
| Granted Shares | 9 |
| Outstanding Shares | 9 |
| Outstanding Vested | 9 |
| Outst. Vested Value | 10+2 |
| Outst. Unvested | 9 |
| Outst. Unvested Value | 10+2 |

Repriced Options

FontSize: 9

| Field | Length |
|---------------|--------|
| Optionee Name | 2x26 |

| | |
|--------------------|-----|
| Option ID | 20 |
| Previous Option ID | 20 |
| Shares Repriced | 9 |
| Price | 4+4 |
| FMV | 4+4 |

Total Gain 10+2

Exercise Summary

FontSize: 9

Exercise Details

FontSize: 10

| Field | Length |
|------------------|--------|
| Optionee | 30 |
| Employee ID | 14 |
| Insider Type | 30 |
| Option ID | 20 |
| Shares Exercised | 9 |
| Option Price | 5+4 |
| Share Value | 5+4 |

| Field | Length |
|------------------------|--------|
| Optionee Name | 30 |
| Employee ID | 14 |
| Shares Exercised | 9 |
| Exercised Value | 10+2 |
| Exercisable Shares | 9 |
| Value of Exercisable | 10+2 |
| Unexercisable Shares | 9 |
| Value of Unexercisable | 10+2 |

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