



# STOCKTRACK SYSTEM FEATURES

**S**tockTrack provides a complete Transfer Agent solution  
It is in use by commercial stock transfer agents and self-issuers nationwide

## **HOLDER/CERTIFICATE**

*A great deal of information can be entered, but only a minimum is required. Partial List of Shareholder Detail Information—*

- Large Space for Registration Name
- Lost Shareholder and Search Dates
- User Defined Information
- Unlimited notes and Linked Documents
- Certificate Detail
- Shareholder Statement
- Summary of Holdings

## **TRANSACTIONS**

- Flexible Stock Transfers
- New issues
- Book Entry and Certificated
- Made Available Date/Time
- Void /Correct Transactions
- SEC Logging Option
- Retire Certificates
- Stock Conversion
- Print Certificates
- Exercise Options and Warrants

## **COST BASIS**

- Lot level tracking
- Prepares tax reporting information

## **PIPELINE**

- Log and track transfers from receipt through sending out certificates or confirmations
- Correspondence Logging
- Cost Basis statements

*With Advanced Transfer Agent module, see all in-process transfers across all companies in one place and track their status.*

## **DIVIDENDS AND SPLITS**

- Cash Dividends
- Stock Dividends
- Incremental, Forward, or Backward Split
- S-Corp Distribution with State Income Tax Withholding
- Reporting on Dividends and Splits
- Print Cash Dividend Checks, and Generate ACH (For Direct Deposit)
- Print Checks in Lieu
- Check Register and Void Check Register
- Federal Tax Reporting
- Prepare 1099-DIV and 1099-B
- Print Forms and file electronically

## **DIVIDEND REINVESTMENT PLAN**

- Enter Reinvestment Transactions
- Plan Purchases
- Statements
- Status Reports

## **MAILINGS AND AD HOC REPORTS**

- Export for Mail Merge and for Ad Hoc Reports and Analysis
- Flexible Mailing Labels
- Custom Forms and Letters

## **PROXY**

- Setup Proxy Candidates and Issues
- Enter Proxy Votes
- Total Vote Report
- “No Vote” Calling List
- Sign In Sheet

## **OPTIONS/WARRANTS**

- Reserve stock
- Track Grant dates, Vesting dates
- Strike Price
- Exercise Options and Warrants
- Calculate dilutive effect of Options and Warrants

## **DOCUMENT MANAGEMENT**

*Link Word, Excel, PDF, images or any type of documents for convenient access from within StockTrack.*

- Includes Getting Started documents and ability to add your own procedure docs with StockTrack
- Link any number of Documents to each Shareholder, Certificate, Transaction, Correspondence or Issuer Company

## **REPORTS**

*Reports provide for many options, sorts, and selection filters. Most can be exported or viewed directly in Microsoft Excel, Adobe PDF, as well as other formats. There are more than 70 reports. This is a partial list:*

- Statements and Confirmations
- Shareholder Lists in Multiple Formats
- Support for OFAC Check
- Percentage of Ownership
- Lost Shareholders
- Pro Rata ownership and family group ownership for S Corporations
- K-1 for S-Corporations

Continued...



...Reports continued

- Certificate History
- Certificate Register
- Beneficial Ownership
- Lost/Stolen Certificates
- Canceled Certificates
- Ownership by State/Country
- Weighted Avg. Shares Outstanding and Fully Diluted Shares Outstanding (to calculate earnings per share)
- Certificate Inventory
- Transaction Journals
- Insider Trading and Ownership
- Company Overview
- Control Book (log of restriction changes)
- Correspondence Log
- Dividend Reinvestment Plan
- SEC Control Ticket (turnaround report)
- Insurance Log
- Dividend Reporting
- Monthly Billing Report
- Many more (90+ reports)

**CUSTOMIZE**

*Tailor StockTrack to your needs with many customizable features.*

- Description and Authorization Info for Each CUSIP (Stock ID)
- Customize Certificate Layout
- Multiple Stock Classes
- Reservations
- Stock Restrictions
- Customizable Check Layout
- Track Beneficial Owners, Family ownership, and Sponsors
- Flexible User Access rights
- Users Change Their Own Passwords
- Customize Shareholder Statement
- Replace Lost/Stolen Certificates
- Replace Damaged/Destroyed Certificates
- Supports Multiple Companies

**TOOLS TO SIMPLIFY STARTUP**

Use Import Wizard to load preexisting shareholder, certificate and dividend data

**AUDIT TRAIL**

- Logs shareholder and certificate changes
- Logs transaction corrections and voids

**EMAIL AND FAX BLAST TO SHAREHOLDERS AVAILABLE**

Distribute statements, direct deposit confirmations and merge letters by email, fax or print for mailing with PDFBlaster™.

**SIC REPORTING**

Prepare export files of lost and canceled certificates for submission to SIC.

**LOST SHAREHOLDER EXPORTS**

- SEC compliance search
- State unclaimed property compliance

**HELP**

- Online User Guide
- Context Sensitive Help
- Guided Tour
- Getting started Help and documents
- How do I? (FAQ's)
- Glossary of Terms
- Other Training Documents and Tutorials

**ADVANCED TRANSFER AGENT**

*Additional features available with Advanced License*

- Unlimited use of the Import Wizard
- Cross company reporting
- Pipeline provides status of all in-process packages from receipt through mailing — and automatically brings up transfer screen for the appropriate issuer company
- DTC FAST integration
- Shareholder search across Companies
- Import Wizard can be used for New Issues and Transfers
- Customizable delivery cover letter
- Place issuer company on-hold
- Make issuer company inactive
- Custom screen instruction message related to each issuer
- Automated tracking of affiliates
- SIC export across all companies
- Reminders and screen messages
- Mail merge tools to mail and email officers, legal contacts and others at issuers

**SUPPORT FOR ALL VERSIONS**

- Unlimited Telephone Support
- Prerecorded training and white Papers
- Periodic Updates and Enhancements
- StockTrack online Forum
- One-on-one and group training available at additional cost

**Minimum Workstation Requirements**

Windows 2000 Pro, SP 1; XP Professional, SP 2; Vista Business SP1; or Windows 7 Pro.  
Screen Resolution at least 1152 x 864  
A laser or ink jet Printer  
**File Server:** Microsoft File Server