15th Annual CEP and Silicon Valley NASPP Symposium Agenda

Start	End	Session	Location
8:00	8:45	**Registration & Breakfast**	**Leavey Center**
8:45	9:00	**Welcome to the 15th Annual CEP and Silicon Valley NASPP Symposium**	
9:00	10:00	**Past, Present, Future of the CEPI**	
10:00	10:10	**Volunteer Excellence Awards:** The Volunteer Excellence Awards recognize those volunteers that provided exceptional service to the CEPI over the past year. Volunteer Excellence Awards are granted to CEPs who have demonstrated sustained exemplary efforts. Award recipients were selected by the CEPI Advisory Board based on the quality and amount of service they provided to the CEPI, as well as their enthusiasm and support for the CEPI program. These individuals make a visible effort in their volunteer activities and actively promote the CEPI and volunteering. The CEPI has over 200 unique volunteer assignments each year. Each and every volunteer is a critical component of the CEP program. The 2018 Volunteer Excellence Award recipients not only fulfilled the expectations of the volunteer commitment but significantly exceeded those expectations in many areas. The CEPI recognizes all of the award recipients on our website.	**Leavey Center**
10:10	10:35	**Morning Break:** Sponsored by Group Five, Inc., PwC, Stock & Option Solutions, Deloitte	**Leavey Center**
10:35	11:50	**Breakout Session I – Choose from one of six options**	**Lucas Hall**
	1A	**Practical Challenges of a Global Equity Plan** We often attend panels advising of the latest taxation rules or securities restrictions in countries around the globe; then return to the office and are faced with the challenge of implementing these new rules. This is then complicated by adding in the complexities of multiple payrolls, local rules on employment, reporting needs, cultural differences, and language barriers; all within limited time and resources. We have gathered a panel of experts from multi-national firms to speak to real-life experiences and best practices. They will share the experiences of working with employees around the world and the challenges they have encountered. The discussion will also include best practices for their organizations in the practical application of the country/region specific rules or restrictions. Some of the points we will look to address include: • Interfacing with multiple local payrolls/HR teams • Supporting local reporting needs- is self -service the answer? • Communications and training - what has worked best? • Availability of translated materials and resources • Guidance and assistance on local tax matters Panelists: Stacy Zhang (Alphabet), Dianne Robinson, CEP (Alphabet), Keirstin Wright, CEP (Morgan Stanley)	

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10:35	**11:50** **1B**	**How Equity Compensation Differs Between Private and Public Companies** When it comes to equity compensation, the incentives that a private company can offer its employees is much different from what a public company can offer. In this discussion, we talk about the typical employee profiles that private and public companies look for, how equity compensation changes once a private company becomes public, and the best way for each type of company to align its interests with the interests of its workforce. Panelists: Eric Deen, CEP (Certent), Denise Scoville-Glackin, CEP (RGP), Randy Murphy, CEP (Airbnb), Ben Needham, CEP (NCEO), Lauren Downes (Blackhawk)	
10:35	**11:50** **1C**	**Lion Taming 101—or How to Manage Your Executives** Sometimes managing your executives can feel a little like lion taming! How do you keep them in line when you don't have a cage and a large whip? Filing Section 16 forms, monitoring blackouts, and avoiding any insider trading can be hard work, and you may feel that your participants are fighting you at every turn. Let out panel help you take another look at how to manage these processes without joining the circus or pulling out your hair! We will look at: • Important elements and aspects of a pre-clearance program • Automated forms filing – does this make sense for your organization? • 10b5-1 plans - Don't let them bite you! o Understanding what they are – and what they are not. o Changes and modifications • Audit trails and reporting Atlassian (Sven Witters) will share their experiences on how they tamed their executive management processes and what they learned along the way. Experts from two Executive Service Teams will show how technology, customer service and communication play important roles in those processes. Participants will leave the session with some great tips and tricks on how to tame those lions! Panelists: Matt Bezverkov (Solium), Sven Witters, CEP (Atlassian), Rich Baker, CEP (Morgan Stanley)	

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10:35	**11:50** **1D**	**Ten Global Equity Gotchas—Nuggets of Wisdom in the Global Equity GPS** Have you read the CEPI's GPS on Global Equity Plans and kept up to date with non-US developments impacting employee equity awards? Do you want a refresher to set up your team for success in the months ahead? This session covers a top ten list of common errors and misconceptions faced by companies who are offering equity awards to non-U.S. participants. Even though "international" is often presented as one topic, offering equity awards globally touches on many different topics with each country having its own set of rules and regulations. With the rules changing frequently, even experienced issuers sometimes get caught out. Our panel of experienced global practitioners will review common errors they come across in their practices and discuss how companies might build processes to avoid those mis-steps. Gotchas discussed will include dealing with taxation changes, onerous filing requirements, data errors, and system challenges and limitations. The panel will relate the information back to the Global GPS publication so attendees can continue to read and learn more after the session. Panelists: Marlene Zobayan, CEP (Rutlen Associates), Denise Glagau (Baker McKenzie), Andrea Kagan, CEP (NVIDIA)	
10:35	**11:50** **1E**	**Unlimited Data Plan: Getting More Out of Your Equity Plans** You have seen the cell phone commercials – which plan do you choose – a set amount of data or unlimited data? When it comes to your equity plans you want enough data to help you make the most of your offer. And with the availability of data is growing at a faster rate than the population, how can an organization deal with this deluge of data and use it to their advantage. We're here to help sort this all out. Join Fidelity Stock Plan Services as they team up with McKesson and WageWorks, Inc. to uncover a host of new views into these previously unknown areas, including how the value of the payout impacts behavior, what ESPP discount levels create more employee holders, what impact age has, if tenure and location make a difference, and how Section 16 behavior varies, other variable topics. With newly refreshed analysis in 2019 we will share even greater insights about long term holding and surprising consistency of participant behavior. Panelists: Terry Adamson, CEP (Independent Consultant), Edward Pelatti, CEP (Fidelity), Donna Spinola, CEP (McKesson), Ingrid Freire, CEP (WageWorks)	
10:35	**11:50** **1F**	**Top 10 Things a Company Can Do to Increase Equity Ownership** Join us for a panel discussion to hear the top 10 things organizations can do to enhance the return on their equity share programs. This panel will feature James Terez, who will present the results of a vast array of research conducted by Rutgers Institute for the Study of Employee Ownership and Profit Sharing. Joining Jim will be Maria Robins, Head of Industry Relations at Morgan Stanley's Corporate Equity Solutions group, who will moderate the discussion. Panelists: James Terez (Rutgers University), Maria Robins (Morgan Stanley)	
11:50	**1:00**	LUNCH	**Leavey Center**

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1:00	**1:50**	**GENERAL SESSION: Equity Trivia Extravaganza!** Catch up on current events impacting equity compensation with this fast-paced trivia contest. You've never had more fun learning about equity compensation. Plus, there will be prizes! Panelists: Barbara Baksa, CEP (NASPP), Emily Cervino, CEP (Fidelity Stock Plan Services), Elizabeth Dodge, CEP (Equity Plan Solutions)	
2:10	**3:20**	**Breakout Session II – Choose from one of six options**	**Lucas Hall**
	2A	**Weird & Challenging Equity Accounting & Admin Challenges for 2019** Let's face it: Accounting for and administering equity compensation plans can be quite a challenge. In this panel, we'll explore 4 of the most common and tricky accounting and administration issues that many companies are grappling with in 2019. We'll cover: • financial reporting for your ESPP • how to deal with complex retirement eligibility provisions in your awards • the state of the art on tax mobility practices • common but tricky performance award issues Don't be afraid - you don't need to be a CPA to attend the session; we will translate everything into plain English so you can get a firm grasp of the issues. Panelists: Nathan O'Connor (Equity Methods), Winny Van Veeren, CEP (VanVeeren Consulting), Barbara Baksa, CEP (NASPP)	

2:10	**3:20** **2B**	**Potato / PoTAHTo / Tomato / ToMAHTo: Irreconcilable Differences in Equity Comp** Which are better ISOs or NQs? What about a 6-month ESPP or a 2-year plan? RSUs or RSAs? Should you apply a forfeiture rate or not? Static vs. Dynamic forfeiture rates? Push stuff into the system, even if it doesn't really "fit" all that well, or leave it in a spreadsheet? Straight-line or Ratable? Options or RSUs? Withhold shares or sell-to-cover? Broker choice? Our panel of highly opiniated experts will first quiz the audience on some of the pros and cons of a selection of the topics above, then will engage in a spirited debate of the pros and cons: the winner of each debate to be decided by an audience poll. (Some topics may not require a debate due to consensus among the panelists.) Wars will be waged; hearts will be broken; mysteries elucidated! Panelists: Elizabeth Dodge, CEP (Equity Plan Solutions), Stacy Bishop, CEP (Cimpres), Susan Garvin, CEP (GoPro), Christine Zwerling, CEP (Twilio)	

2:10	**3:20** **2C**	**ESPP, ASAP: What You Need to Know Now About Today's ESPPs** Employee Stock Purchase Plans are a favorite vehicle for serving up broad based ownership opportunities. ESPPs are a hot topic as companies continue to embrace these plans and data shows improvement in plan design, participation, and employee satisfaction. To really understand what makes an ESPP hot (or not!), Fidelity and Aon have completed the most extensive ESPP data analysis available. This research identifies the latest trends in ESPP design, how various plan design features impact US and non-US participation rates, and variations by industry. Hear from First American an Agilent about how to implement and maintain a global ESPP, balancing company goals and employee benefits. Whether your company has an ESPP already or is thinking of implementing one, you will learn how new designs or changes can help you get the most out of your ESPP. Panelists: Matthew MacDougall, CEP (Fidelity), Alice Chang, CEP (First American), Anita Conner, CEP (Agilent), Carly Sanfilipo, CEP (Aon)	
2:10	**3:20** **2D**	**The Clash Between Efficiency and the Tax Rules: Navigating the Maze between Technical Accuracy and Practical Application** We (KPMG) will discuss the tax laws as they are written and how companies actually do what they do (Corporate issuer) which allows us to discuss the law as the tax advisor and have clients join to discuss how they deal with the reality, assess their exposure and move on. We will look at certain specific countries and practicalities of compensation policy, process and systems that drive these decisions. Our panel will discuss their real world experiences and how they have made the call to address certain international tax, policy, and equity plan matters from a corporate issuer, tax advisor and payroll perspective. Lessons learned and take always you'll have as you manage your equity program. Panelists: Andrew Gerwitz (KPMG), Tara Hagen (KPMG), Suzie Bentley	
2:10	**3:20** **2E**	**Growing or IPO'ing - Can your Stock Plan Solution Keep Up** Equity granted or acquired while private can be tricky to deal with after the IPO. Recent trends in the industry have greatly complicated the equity landscape of private companies and made the management of the flow of equity after the IPO much more difficult. A complex array of equity types, classes and restrictions must be dealt with before, during and after the IPO. And, the crammed post-IPO schedule can leave equity administrators scrambling to keep up. This panel will review the rapidly changing IPO environment for equity, pointing out potential pitfalls and sharing best practices. Presenters will also highlight the importance of having proactive support while growing in the public space and how to maximize the executive and participant experience. Panelists: Don Gillotti, CEP (Certent), Rich Baker, CEP (Morgan Stanley), Lora Blum (SurveyMonkey), Lisa Stimmell (Wilson Sonsini Goodrich and Rosati), Scott Shuryn: (TD Ameritrade)	

2:10	**3:20** **2F**	**Tackling the Trends: Get the Legal & Accounting Scoop on Hot New Design Ideas in Equity Compensation** The fast-paced world of equity compensation is ever changing, particularly as companies seek to reward and retain their employees and incentivize the right kind of behavior by their employees and executives. In this session, the audience will learn about some of the hottest new design ideas relating to equity compensation programs that are setting trends in today's market, including: (i) adoption of mandatory post-vesting deferral or holding periods following settlement of awards, (ii) automatic enrollment in ESPP, (iii) front-loaded equity awards, including in broad-based offerings; (iv) payment of fractional shares, (v) new clawbacks relating to reputational damage, and (vi) paying dividend equivalents on outstanding awards. The panelists will highlight the pros, cons and "gotchas" with each new idea, from a legal, tax and accounting/valuation perspective, and including consideration of global compliance issues for rolling out the new designs outside the US. Panelists: Sinead Kelly (Baker McKenzie), Denise Glagau (Baker McKenzie), Jon Burg, CEP (Aon)	
3:20	**3:45**	**AFTERNOON BREAK**	**Lucas Hall**
3:45	**4:55**	**Breakout Session III – Choose from one of six options**	**Lucas Hall**
3:45	**4:55** **3A**	**More People, More Problems: Five High-Impact Changes to Make to Your Stock Administration Processes!** This session focuses on prioritizing what moves the needle. Learn about the most common areas of stock plan administration where your efforts bear the most fruit. You will leave this session equipped to streamline your operation in areas such as data integrity, corporate and participant tax application, multifaceted payroll partnership, mobility, and process optimization. Panelists: Aaron Oberg, CEP (E*Trade), Dustin Lewis (Deloitte), Nadine Franczyk (Amyris Inc.)	
3:45	**4:55** **3B**	**Caution – Curves Ahead: Tips and Techniques for Dealing with Equity Awards when Employment Status Changes** Employment status may change at any time for a variety of reasons, including death, disability, retirement, leave of absence, transfer between entities, and divorce. The panelists will explain how such changes can affect the taxation of equity awards and/or raise new or challenging regulatory compliance issues and provide real-world examples of different approaches companies take when dealing with such changes and advantages and disadvantages of varying approaches. Panelists: Nicole Calabro (Baker McKenzie), Victor Flores (Baker McKenzie), Andrew Schwartz, CEP (Computershare), Veena Bhatia, CEP (Atlassian)	

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3:45	**4:55** **3C**	**Talking Tax** Taxation in equity compensation has so many facets: understanding the IRS and global requirements for reporting, recent changes to tax laws, communicating tax information to your participants and tracking mobility – your job is never really done when it comes to tax! Join our expert panel who will cover some of the more recent changes to U.S. taxation ([83(i) and 162(m)] and discuss a few of the frequently asked questions from stock plan professionals. Then the panel will dive into a few common international and mobility issues causing recent pain and wrap up with a discussion on best practices in communicating tax and educating your participants, who may be located across the globe. Panelists: Marlene Zobayan, CEP (Rutlen), Elizabeth Dodge, CEP (Equity Plan Solutions), Barbara Baksa, CEP (NASPP), Ellie Kehmeier	
3:45	**4:55** **3D**	**Performance Equity Made Practical: How math can help improve your performance award programs** Performance-based equity awards are everywhere nowadays and only seem to be increasing in complexity. While statistical modelling has long been used to help influence and design TSR-based award programs, those same methods can be used to help evaluate many other aspects of incentive programs as well. No need to bring your calculators! This talk will focus on general application of topics at hand and not get into formulas or heavy theory. You can expect discussions around topics such as: ● How many companies are using performance awards and why ● The types of metrics used in different incentive programs ● How performance metrics change over time ● Using more than one metric and diversifying performance award programs ● Relative TSR -How usage has changed over time and why ● Things to consider when implementing Relative TSR ● The pitfalls of absolute-TSR based metrics and price hurdles ● Setting effective threshold and target goals and the impact of metrics on those goals ● The ISS view on these topics ● Panelists: Thomas Yarnell (ISS Corporate Solutions), CJ Van Ostenbridge, CEP (Aon), Doug Bowman (Advanced Micro Devices)	

3:45	**4:55** **3E**	**This or That? Offering Employees a Choice In Equity Plans** Who doesn't love a choice? Would you go to a restaurant with only one menu item? Shop at a store with only one pair of pants? Why should equity compensation plans be any different? Empowering employees to select the makeup of their long-term incentive plans can be a great idea. Join this panel to explore the growing trend of offering choice, including the mechanics of allowing choice, meeting the need for increased education and modeling tools, and mitigating the accompanying risks. When done right, employee choice plans can provide a new twist on an old favorite. Mattel and ResMed will detail their respective journey with offering employee choice plans, sharing lessons learned and what they wish they knew then! This session delves into the details of choice, why companies offer it, and tips and tricks for more successful choice plans. Panelists: Emily Cervino, CEP (Fidelity), Vicky Trees (ResMed), Becky Isakson (Mattel), Bill Murphy, CEP (Ernst & Young)	

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3:45	**4:55** **3F**	**To Qualify or Not to Qualify** Employees everywhere are participating in varying types of stock purchase programs at companies large and small. But, how relevant is your plan today? Does it still represent a good value? Keeping on top of trends for broad-based stock purchase plan design is non-negotiable if you want to remain competitive. This insightful session will discuss these topics and more as panelists share data from Computershare's most recent ESPP Design and Participation Analysis, provide examples and exchange ideas on how your organization can offer the most impactful and appropriate stock purchase plan benefits in today's marketplace. Panelists: Jessica Laddon, CEP (Computershare), Elizabeth Stoudt, CEP (Aon), Lydia Terrill, CEP (Vocera)	
5:00	**6:30**	**RECEPTION (Champagne toast at 5:15)** Come enjoy a celebration of the CEP's 30^{th} Anniversary with a champagne toast, food, a chance to mingle with other equity professionals!	