

18th Annual CEP and SV NASPP Symposium Agenda

Start	End	Session	Location
8:00	9:30	Registration	Lucas Hall
8:00	9:30	Breakfast	
9:30	10:30	<p>Round One Speakers</p> <p>All speakers will present simultaneously in Lucas Hall in one of four rooms. Guests will be able to attend the session that they selected during registration.</p>	
9:30	10:30	<p>Know Your Options</p> <p>The report of my death has been greatly exaggerated.” – Stock Options Apologies to Mark Twain, but his sentiment reflects the story of stock options. A dramatic decline in stock options can be directly traced to the mid-2000s accounting changes, but make no mistake, stock options are alive and well, with nearly 70% of companies granting at least some options. And, with the bountiful crop of newly public companies, option usage and median grant value is increasing, and companies committed to full value awards are taking notice. With this renaissance of stock options, comes a fresh take on an old favorite. This panel of stock option aficionados outline five new concepts that may fit just right for today’s stock options including extending options well below the executive suite, automatic cancellation of deeply underwater options, options as a choice, premium stock options, and even capped stock options. Whether you grant options today, are considering granting options, or just want to keep up with what your competitors are doing, isn’t it time to know your options?</p> <p>Panel:</p> <p>Aaron Westlake, Vice President, Managing Director, Fidelity Investments Charles Phillips, Global Stock Plans Manager, Nike Terry Adamson, Partner, Infinite Equity</p> <p>Field of Study: Stock Options</p>	

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9:30	10:30	<h2>Unlocking Employee Generosity</h2> <p>Twilio is just one of many companies that are part of Pledge 1%. Pledge 1% is a philanthropic program companies sign up for where the company pledges to donate 1% of equity, 1% of time, 1% of product, and 1% of profit to charitable organizations. Modeled after Pledge 1%, a corporate initiative encouraging companies to commit one percent of their equity, time, product and/or profit to charitable organizations, Twilio created WePledge 1% to bring a similar, flexible philanthropic commitment to individuals. Through WePledge 1%, Twilio supports and encourages employees to “take the pledge” and commit to giving one percent of their time or financial resources, or a combination of both, to causes important to them personally. One area we’ve found challenging for employees was donating stock. There are many hoops to jump through to make a donation through most brokers. Our goal is to make it as easy as possible for Twilions to give, by removing any barriers. Additionally, we wanted to help employees understand how donating stock can be better for a lot of charities than donating cash. We sought out a platform like GoFundMe or PayPal but for equity, to simplify the process of charitable stock donation, and connected the platform we found with our financial wellness consultant to achieve our goals. Join our session to hear about the “easy button” solution we found for donating stock and how we rolled it out to employees.</p> <p>Panel: Christine Zwerling, Senior Director, Global Stock Plan Administration, Twilio Inc. Vance Roush, CEO & Founder, Overflow Robert Shaye, Founder, Fireside Finances</p> <p>Field of Study: Employee Engagement</p>	
9:30	10:30	<h2>Remote Work Case Studies – The Good, The Bad, and the Ugly</h2> <p>Since the COVID-19 pandemic shuttered offices in March 2020, many employees were asked to work remotely and some did so from a location that was different from their employment location. Through the use of case studies, the panel will walk through the tax, accounting and administrative implications of each scenario to discuss the impact remote work can have on a company’s compliance requirements. The panel will then talk about best practices in a remote work policy to help a company avoid some common traps and pitfalls.</p>	

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		<p>Panel: Marlene Zobayan, Partner, Rutlen Associates LLC Laura Verri, Director, Consulting, Armanino LLP Andrea Kagan, Senior Project Manager, NVIDIA Corporation</p> <p>Field of Study: Equity Compensation Trends</p>	
9:30	10:30	<p>Lessons Learned with Systems Integration</p> <p>During this web session, you will learn about integration between your Equity Administration platform and various other systems such as HR and Payroll. We will discuss the multitude of different ways to share data between systems like file feeds and API's, the plusses and minuses of each, and how you might determine which is the correct path for you. We will review the types of data you will want to share such as Demographics, YTD and Transactional Taxes, along with ESPP information. We will also review a comprehensive use case that brings all these components together.</p> <p>Panel: Lydia Terrill, Senior Manager, Intuitive Surgical Lori Serrano, Director, Equity Programs, Outset Medical Howard Runyon, Chief Technology Officer, Comptelligence</p> <p>Field of Study: Payroll Integration & Tax</p>	
10:30	11:00	Break	Lucas Hall
11:00	12:00	<p>Round Two Speakers</p> <p>All speakers will present simultaneously in Lucas Hall in one of four rooms. Guests will be able to attend the session that they selected during registration.</p>	Lucas Hall
11:00	12:00	<p>Using Technology to Communicate</p> <p>Improving communication by using technology more effectively is a key employee engagement and retention strategy in the modern workplace. It helps to improve transparency, empowers employees with opportunities for self-service, and enables collaboration that connects remote employees, but what does effective communication look like in the 21st century This is the story of two companies who used a technology-enabled approach to easily communicate with their</p>	

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		<p>stakeholders and allow them to manage various actions related to their equity compensation programs, including an early lockup release, other IPO-related activities, ESPP and an employee choice program.</p> <p>Panel: Deidre Salisbury, Managing Director, Infinite Equity Stacy Fox, Equity Admin Lead, Confluence Lydia Terrill, Senior Manager, Intuitive Surgical</p> <p>Field of Study: Employee Engagement</p>	
11:00	12:00	<p>4 Trends in Stock Plan Administration Staffing</p> <p>This interactive session will highlight key trends in how companies structure their in-house stock plan administration teams. We'll delve into the data to uncover factors that influence the number of staff members responsible for plan administration and what responsibilities should (and shouldn't) be in the job description. We'll also look at key performance indicators used to evaluate stock plan administration and where in the organization stock plan administration typically is located. In addition to presenting the data and sharing an issuer case study, we'll utilize small group discussions so that attendees can share their own practices.</p> <p>Panel: Barbara Baksa, Executive Director, NASPP Emily Cervino, Head of Industry Relationships & Thought Leadership, Fidelity Investments Vicky Trees, Head of Global Equity Reward Programs, ResMed Inc.</p> <p>Field of Study: Equity Compensation Trends</p>	
11:00	12:00	<p>Your Life, Your Goals: Practical Advice on Making the Most of your Equity Comp</p> <p>Intergenerational advisory team Emily and Madeline Van Hoorickx will explain how to build lasting family wealth by focusing on financial planning and efficient tax minimization strategies leveraging the attributes of concentrated equity compensation plan assets.</p> <p>Panel: Emily Van Hoorickx, Managing Director, Wealth Management, UBS Madeline Van Hoorickx, Financial Advisor, UBS</p>	

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		Field of Study: Financial Wellness	
11:00	12:00	<p>Think Globally! Taking Your Equity Plan Internationally</p> <p>Is your company planning on going global with its equity plan? Planning around the legal and tax due diligence for your equity plan is one of the first steps you might want to consider. This is even more important when you introduce multiple countries in the mix. In this session, we'll walk through some of the issues that you may consider when planning your equity plan's international tax and legal compliance for both public and private companies. We will also outline some market trends we have noted around global equity compliance. Finally, we discuss what are some actionable next steps that you can take when taking your equity plan globally.</p> <p>Panel: Darren Smith, Executive Director, Head of Global Intelligence, Morgan Stanley at Work Justin Pon, Assistant Vice President, Global Solutions Director, Global Intelligence, Morgan Stanley at Work AmyLynn Flood, Partner, Vialto Partners</p> <p>Field of Study: Global Equity</p>	
12:00	2:00	Lunch	Lucas Hall
2:00	3:00	<p>Round Three Speakers</p> <p>All speakers will present simultaneously in Lucas Hall in one of four rooms. Guests will be able to attend the session that they selected during registration.</p>	Lucas Hall
2:00	3:00	<p>Building Diversity and Inclusion Through Equity Compensation Programs</p> <p>With the events of the past two years, more companies are stepping up their efforts to improve workforce diversity. But, ensuring that there is equal opportunity for advancement in the workplace and equality in equity compensation remains a challenge. How do companies foster workplace diversity and establish equity compensation plans to promote equal access to opportunity? In this session, panelists will examine this issue and discuss:</p> <ul style="list-style-type: none"> • The importance of D & I and processes for determining D & I priorities within organizations 	

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		<ul style="list-style-type: none"> • Their use of the employee engagement strategies and an equity compensation platform to help people better understand these priorities, while also driving diversity and inclusion their organizations <p>Morgan Stanley’s “Transparency 2021: Addressing Gaps in Equity Compensation” report, which examines pay disparities that arise in equity compensation among women and Black, Indigenous, and People of Color (BIPOC.) [This includes the amount of equity offered and disparities in plan administration and structure, such as leave of absence policies and vesting schedules.]</p> <p>Panel:</p> <p>Rodney Bolden, Vice President, Financial Wellness, Morgan Stanley</p> <p>Christyl Lucille Murray, Executive Director, Corporate & Institutional Solutions, Diversity & Equity Officer, Morgan Stanley</p> <p>Melissa Bukuru, Principal, Financial Inclusions & Resilience, Ownership Works</p> <p>Field of Study: Employee Engagement</p>	
2:00	3:00	<p>Tips and Tricks for Designing and Administering a Global Bonus Exchange Program</p> <p>Bonus-for-equity exchange programs (where employees may elect to receive stock in lieu of their cash bonuses) have become increasingly popular in recent years, as more and more companies are choosing to offer additional opportunities for their employees across the globe to receive equity and share in the future growth of the company. As these programs can take many shapes and sizes, companies will need to weigh the impact of the available design features -- such as the equity vehicle (RSUs versus long shares) and the timing of election -- to help them narrowly tailor their programs to meet their specific needs and create the “right” kind of incentive. Companies will also need to consider the implications of the program features to make sure they are not running afoul of securities and labor/employment laws and exchange control regulations, among other regulatory requirements. And because the tax treatment can differ significantly, depending on the parameters of the program and the country in which their participants reside, companies will need to pay close attention in order to avoid adverse taxation that could undercut the benefit of the program. The panelists will provide attendees with a thorough understanding of the decision points that need to be addressed in determining how best to structure and roll</p>	

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		<p>out an effective and successful bonus exchange program across the globe, in view of the tax, legal and administrative considerations and the company's incentive objectives. The panelists will also touch on some of RingCentral's implementation, execution and modifications in connection with its bonus exchange program.</p> <p>Panel: Kela Shang, Partner, Baker McKenzie Richard Edde, Director, Stock Administration, RingCentral Victor Flores, Partner, Baker McKenzie</p> <p>Field of Study: Equity Compensations Trends</p>	
2:00	3:00	<p>Primo and Peerless Procedures</p> <p>Do you have complete and comprehensive written procedures? Are they up to date? Most of the companies we work with answer "no" to these questions. And yet process docs are critical to your stock plan success! And to the company's continued success when you move on. But you already have too much to do, how do you add writing and keeping process docs updated to your plate without losing your mind? Join our session to discover key tips and tricks, and even shortcuts to making your procedures work for you (and some of them don't involve writing at all!).</p> <p>Panel: Christine Zwerling, Senior Director, Global Stock Plan Administration Elizabeth Dodge, Principal & Founder, Equity Plan Solutions Wendy Jennings, Vice President, Shareholder Services, DataRobot</p> <p>Field of Study: Equity Plan Procedures</p>	
2:00	3:00	<p>Guidance – Procedures – Systems: Pre-IPO</p> <p>Is your company considering moving from private to public? Do you know the difference between an IPO, DPO and a SPAC? And do you need an S-1, an S-3, an S-8 or a resale S-8? Wouldn't it be great if we have a go-to reference to answer these questions?? Join us as we kick off our new GPS Private to Public research project and get the inside scoop on these topics.</p> <p>Panel: Emily Cervino, Head of Industry Relationships & Thought</p>	

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		<p>Leadership, Fidelity Investments Elizabeth Stoudt, Partner, Infinite Equity Denise Glagau, Partner, Baker McKenzie Rive Rutke, Partner, Deloitte Dee Crosby, Vice President, Corp & Institutional Solutions, Morgan Stanley Samantha Adams, Executive Director, IPO Strategy, Morgan Stanley</p> <p>Field of Study: Pre-IPO</p>	
3:00	3:30	Break	Lucas Hall
3:30	4:30	<p>Round Four Speakers</p> <p>All speakers will present simultaneously in Lucas Hall in one of four rooms. Guests will be able to attend the session that they selected during registration.</p>	Lucas Hall
3:30	4:30	<p>The Equity Professionals Speak on Problems Solved, Lessons Learned, and Charting a New Path Forward</p> <p>It's been far too long since we've had a chance to be with each other in the same place and time to swap notes and share our collective wisdom. In one way, shape, or form, we've all had to overcome, adapt, and learn new skills rapidly over the last couple of years, all while managing social isolation and being separated from our regular resource networks. In this moderated discussion, we will invite you to join this panel of tenured equity professionals as they reflect on their personal experiences in the workplace in 2020 and 2021 and review critical lessons learned in the process. Join this insightful session and walk away with tips and pointers on charting your new path forward and preparing for what new challenges lie ahead.</p> <p>Panel: Nathan O'Connor, Managing Director, Equity Methods Nadine Franczyk, Director, Global Stock Plans and US Payroll, Amyris Donna Hammer, Senior Manager, Equity Administration, Snowflake Lori Serrano, Director, Equity Programs, Outset Medical</p> <p>Field of Study: Equity Compensation Trends</p>	

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3:30	4:30	<p>Best Practices: One-Time “Transformational” Grants</p> <p>One-time "Transformational" grants can be very challenging, given the scrutiny from so many viewpoints. A well designed award considers the perspectives from the recipient(s), the Board of Directors, shareholders, proxy advisors, and even other employees. The award also needs to align with the company's strategic objectives and have sufficient rigor. While this may seem hopeless, we will talk through the best practices from all perspectives, from design to disclosure. Speaking Point 1 Understanding the general viewpoints of each party involved, and how align them - this is the most challenging, and many times it kills the award Speaking Point 2 Plan mechanics - Vesting criteria, quantum, etc. There is a relationship between quantum and rigor that will make an outsized grant more acceptable. Speaking Point 3 Governance Considerations - Proxy Advisor viewpoints, Say on Pay, Shareholder outreach, proxy disclosure and shareholder outreach messaging Speaking Point 4 What can you do if things don't go as planned and the award doesn't vest to address retention and motivation?</p> <p>Panel: Ryan Ross, Associate Partner, Aon Equity Services Jason MacArthur, Senior Consultant, Aon Equity Services</p> <p>Field of Study: Equity Compensation Trends</p>	
3:30	4:30	<p>Stock-Based Compensation Accounting Basics with Insights from the Audit</p> <p>We'll present an introductory stock-based compensation (SBC) accounting session for both new professionals and experienced stock plan professionals who want to know more. We plan to cover the basics of SBC accounting from an issuer and consultant perspective and then discuss key considerations for getting your SBC accounting successfully and efficiently through an audit. EPS and DTA considerations will be discussed.</p> <p>Panel: Grant Peterson, Associate Partner, Aon Equity Services Lexie Li, Manager, PricewaterhouseCoopers</p> <p>Field of Study: Accounting & Financial Reporting</p>	

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3:30	4:30	<p>Navigating the SEC Proposed Rules for Rule 10b5 to Avoid Disruption</p> <p>The SEC proposed rules for Rule 10b5-1 could potentially disrupt stock plan life as we know it. Join this panel of 10b5-1 enthusiasts and stock plan experts to discuss strategic plan design to help mitigate insider trading issues in various award types, the proposed rules for Rule 10b5-1 and the impact they could have on equity compensation, what this might mean for Forms 4 & 5, and some mini-dives into various industries and how strategy might shift to make room for these new rules. The panel will also discuss anecdotes about successful 10b5-1 implementations, and then some rougher “learn from my mistake” case studies on missteps and how to avoid them.</p> <p>Panel: Christine Zwerling, Senior Director, Global Stock Plan Administration, Twilio Inc. Debbie McGrath, Director, Retirement Product Executive, Bank of America Tara Hagan, Director, Global Tax Network</p> <p>Field of Study: Executives & 10b5-1 Plans</p>	
4:30	6:00	Reception	Lucas Hall