



STOCKTRACK SYSTEM FEATURES

StockTrack™ 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 info
- Email Preference
- User Defined fields
- Attach Documents
- Certificate Detail
- Beneficial Ownership
- Family Ownership
- Shareholder Statement
- Summary of Holdings
- Second Address

TRANSACTIONS

- Stock Transfers
- New issues
- Book Entry and Certificated
- Made Available Date/Time
- History of Shipment Tracking Numbers (FedEx, UPS, etc.)
- 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
- CB Reports to send to Brokers

PIPELINE

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

CASH DISTRIBUTIONS

- Cash Dividends (and/or Cap Gains and Return of Cap)
- S-Corp Distributions
- Cash-in-Lieu Payments
- Stock Buy Back
- FIT and Other Withholding
- Customizable Checks
- Direct Deposit (ACH)
- Clear Outstanding Checks

- Reporting on Cleared and Outstanding Checks
- Hold Checks and ACH
- Replace Lost Checks
- Checks to Heirs
- Check Register, many other reports
- Federal Tax Reporting:
 - 1099-DIV and 1099-B forms
 - Print 1099's + generate file for IRS FIRE system*

CORPORATE ACTIONS

- Stock Dividends
- Incremental Splits
- Replacement Splits
- (Forward or Reverse Splits)

DIVIDEND REINVESTMENT*

- Full share DRP
- DRP Statements
- Cash Contributions to DRP
- Fractional share DRP
- DRP 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 Ballot
- Enter Proxy Votes
- Total Vote Report
- "No Vote" Calling List
- Sign In Sheet
- Email and Mailings
- Online election with Proxy Cards*

OPTIONS/WARRANTS

- Reserve Stock
- Track Grant dates, Vesting dates
- Strike Price
- Reports
- 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

- Link any number of Documents to each Shareholder
- Each Certificate
- Each Transaction
- Correspondence
- or Issuer Company
- Getting Started documents
- Ability to add your own Procedure Docs in StockTrack

PLEDGE MODULE*

- Track shares held as collateral
- Track Loan Agreements
- Track Contacts at Lending Institutions related to each Loan

REPORTS

Get information instantly with more than 100 reports. Reports provide for many options, sorts, and filters. This is a partial list:

- Customizable Shareholder Statements and Confirmations
- Shareholder Lists
- Transaction Journals
- Beneficial Ownership
- Family Ownership
- Percentage of Ownership
- S-Corp Reporting
 - Pro Rata ownership and family group ownership
 - K-1 for S-Corporations
- Certificate History
- Certificate Register
- Weighted Avg. Shares Outstanding and Fully Diluted Shares Outstanding (to calculate earnings/share)

Continued...

**Add-on license or additional fee required to activate*



...Reports continued

- Lost/Stolen Certificates
- Lost Shareholders
- Canceled Certificates
- Ownership by State/Country
- Certificate Inventory
- Insider Trading and Ownership
- Company Overview
- Control Book
 - Float and Restriction changes
- Correspondence Log
- Dividend Reinvestment Plan
- SEC Control Ticket (turnaround report)
- Insurance Log
- Dividend Reporting
- Monthly Billing Report
- OFAC checking status
- Many more!

CUSTOMIZE

Tailor StockTrack to your needs with many customizable features.

- Description and Authorization for Each CUSIP (Stock ID)
- Customize Certificate Layout
- Multiple Stock Classes
- Reservations
- Stock Restrictions
- Customizable Check Layout
- Track Beneficial Owners
- Track Family ownership
- Track Sponsors
- Flexible User Access rights
- Users Change Their Own Passwords
- Customize Shareholder Statement and Confirmation
- 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 changes to shareholder, tax lot and certificate information including who made the change and when it was made
- Logs transaction corrections and voids

EMAIL SHAREHOLDERS

Distribute statements, direct deposit confirmations and merge letters by email or hard copy depending on shareholder preference.

SIC REPORTING

Submit lost and canceled certificates to SIC

LOST SHAREHOLDER REPORTS

for SEC and state unclaimed property compliance searches

DEBT MODULE*

- Interest payments via Checks and ACH
- Statements for Debt Holders
- Interest Payment Confirmations
- Debt Redemption (Repayment)
- Issue and Transfer Debt
- Tax Reporting
- Additional Reports

INTERNET ACCESS*

- iStockTrack™ module
 - Shareholder module*—Enables shareholders to view holdings; change address and phone number; vote proxy
 - Issuer module* — Enables issuer's representatives to view StockTrack reports; get mailing lists

HELP

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

SUPPORT

- Unlimited phone and email support
- Prerecorded Training and White Papers
- Free Two Hour Introductory Training Webinar for New Licensees
- Periodic Updates and Enhancements
- Access to StockTrack online Forum
- One-on-one and Group Training available at additional cost

ADVANCED TRANSFER AGENT*

Partial Listing of Additional features available with the Advanced License

- Import Wizard to add new issuers
- Import New Shareholders during Issuance and Transfer of Shares
- Cross company reporting
- SEC turnaround, TA-2 info, and Mail Log
- See all in-process transfers across all companies on the Pipeline screen and track their status
- DTC FAST integration
- Shareholder search across issuers
- Copy holder info to another issuer
- Import complex transactions
- Customizable delivery cover sheet
- Mark issuer on-hold or inactive
- Custom screen instruction message related to each issuer
- Automated tracking of affiliates
- Send Lost/Canceled certificate info to SIC
- Date based task Reminders
- Tools to communicate with issuer contacts—email and mailing
- Shortcut to switch between issuers
- Lists of all issuers
- Track fees received by transaction
- Send info to OTC Markets
- Automated transfer of Cost Basis information to brokers and tools to help find and allocate cost basis to appropriate transactions
- Include TA Company name, Address, Phone Number, and Email Address on Report Headers
- Include TA Logo on Reports
- ...and More

**Add-on license or additional fee required to activate*

Minimum System Requirements

- Vista Business SP2 or Windows 7 SP1 or 8.1 Professional or Windows 10 Pro
- Screen Resolution at least 1152 x 864 or 1366x768 for wide screen
- A laser or ink jet Printer
- File Server:** Microsoft File Server