PeopleSoft 8.00.01 Stock Administration PeopleBook

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ABOUT THIS PEOPLEBOOK

The book provides you with the information you will need for implementing and using PeopleSoft Stock Administration. You can order the online version by requesting SKU HRB8SP1R0, or the hard-copy version by requesting SKU MASTr8SP1B 1200.

This section describes information you should know before you begin working with PeopleSoft products and documentation, including PeopleSoft-specific documentation conventions, information specific to the PeopleSoft HRMS product line, how to order additional copies of our documentation, and so on.

Before You Begin

To benefit fully from the information covered in this book, you need to have a basic understanding of how to use PeopleSoft applications. We recommend that you complete at least one PeopleSoft introductory training course.

You should be familiar with navigating around the system and adding, updating, and deleting information using PeopleSoft windows, menus, and pages. You should also be comfortable using the World Wide Web and the Microsoft® Windows or Windows NT graphical user interface.

Because we assume you already know how to navigate around the PeopleSoft system, much of the information in this book is not procedural. That is, it does not typically provide step-by-step instructions on using tables, pages, and menus. Instead, we provide you with all the information you need to use the system most effectively and to implement your PeopleSoft application according to your organizational or departmental needs. This book expands on the material covered in PeopleSoft training classes.

PeopleSoft Application Fundamentals

The *PeopleSoft Stock Administration PeopleBook* provides you with implementation and processing information for your PeopleSoft Stock Administration system. However, there is additional, essential information describing the setup and design of your system that is contained in a companion volume of documentation called *PeopleSoft Application Fundamentals.*

PeopleSoft Application Fundamentals consists of important topics that apply to many or all PeopleSoft applications across the HRMS product line. Whether you are implementing only PeopleSoft Stock Administration some combination of products within the product line (for example, PeopleSoft Benefits Administration, Stock Administration, Time & Labor, and Pension Administration), or the entire PeopleSoft HRMS system, you should be familiar with the contents of this central PeopleBook. It is the starting point for fundamentals such as setting up control tables and administering security.

In the *PeopleSoft Applications Fundamentals* PeopleBook, we've included common information pertinent to all applications in the HRMS product line, such as defining general options. If you're

upgrading from a previous PeopleSoft release, you may notice that we've removed some topics or topic headings from the individual application PeopleBooks and consolidated them in this single reference book. You'll now find only application-specific information in your individual application PeopleBooks. This makes the documentation as a whole less redundant. Throughout each PeopleBook, we provide cross-references to *PeopleSoft Application Fundamentals* and other PeopleBooks.

Below you'll find a list of those *PeopleSoft Application Fundamentals* sections that apply specifically to PeopleSoft Stock Administration.

Introduction to PeopleSoft HRMS introduces you to the basic concepts of PeopleSoft Human Resources and reviews the various activities involved in using the system, including setting up system-wide and HR information, performing daily processes, working with PeopleSoft Human Resources windows, and generating reports.

Regulating HRMS System Data reviews the Business Unit/SetID feature which allows you to organize your businesses by dividing them into logical units other than Companies and Departments, and also allows you to control how your organizational data is shared among those organizational units.

Processing Transactions Using Regulatory Regions discusses the Regulatory Region concept, how Regulatory Regions are set up in your PeopleSoft HRMS, and how to set up additional Regulatory Regions, if necessary.

Working With Currencies explains how to track personnel salaries and reimbursement amounts in multiple currencies, or in multiple currency rate types, yet keep an eye on the bottom line by using one currency as a point of reference to track your expenses and costs worldwide.

Working With Languages discusses PeopleSoft's language support features.

Setting Up Control Tables discusses the different ways you can run PeopleSoft Human Resources and helps you decide which way it should be used. Setting Up Controls Tables also instructs how to set up data that serves as the foundation of your organization's human resource system. These tables are the basis not only for Human Resources, but all your PeopleSoft HRMS applications.

E&G Setting Up Service Parameters is a section for Education and Government users that discusses how you set up methods to handle time duration for measuring accrued service for employees in public sector organizations.

USF Setting Up Your Work-In-Progress Management System is a section for U.S. Federal Government users that explains how to set up the system to automatically route a wide variety of requests directly to reviewing officials, and on to human resources, in the specific path that your organization chooses.

Administering Security reviews how to set up and maintain security for employee data by using a security tree. This allows you to view and update the reporting relationships among units and use this information to grant and deny user access to employee data. You can also choose to set up employee data security in other ways, if that is what you need.

Using Mass Change describes how you can select a particular set of employee records from the database, define the alteration you would like to perform on those records, and make those changes in the background, using scheduled processing.

Using Workflow discusses, at a high level, how workflow is used in HRMS and shows you how to set up approvals workflow for self-service transactions in collaborative applications such as PeopleSoft eRecruit and PeopleSoft eDevelopment. We also include detail information on some of the workflow processes delivered in Release 8.

Working With Multiple Components of Pay discusses how you use the system to tailor unique compensation packages for each of your employees or create default pay component packages that are consistent for jobs and salary steps throughout your organization.

Working With Multiple Jobs explains how several PeopleSoft HRMS applications enable you to process information for employees who hold multiple, concurrent jobs within an organization.

Working With Groups shows you how to use the Group Build functionality in HRMS, which gives you a standardized way to create groups of employees and non-employees. Once you've created a group using this feature, you can use it across several HRMS products for a wide variety of purposes.

Related Documentation

To add to your knowledge of PeopleSoft applications and tools, you may want to refer to the documentation of other PeopleSoft applications. You can access additional documentation for this release from PeopleSoft Customer Connection (www.peoplesoft.com). We post updates and other items on Customer Connection, as well. In addition, documentation for this release is available on CD-ROM and in hard copy.

Important! Before upgrading, it is *imperative* that you check PeopleSoft Customer Connection for updates to the upgrade instructions. We continually post updates as we refine the upgrade process.

Documentation on the Internet

You can order printed, bound versions of the complete PeopleSoft documentation delivered on your PeopleBooks CD-ROM. You can order additional copies of the PeopleBooks CDs through the Documentation section of the PeopleSoft Customer Connection Web site: http://www.peoplesoft.com/

You'll also find updates to the documentation for this and previous releases on Customer Connection. Through the Documentation section of Customer Connection, you can download files to add to your PeopleBook library. You'll find a variety of useful and timely materials, including updates to the full PeopleSoft documentation delivered on your PeopleBooks CD.

Documentation on CD-ROM

Complete documentation for this release is provided on the CD-ROM *PeopleSoft 8.00.01 HRMS* and *PeopleTools 8.12 PeopleBooks,* SKU CD HRB8SP1R0.

Note. Your access to PeopleSoft PeopleBooks depends on which PeopleSoft applications you've licensed. You may not have access to some of the PeopleBooks listed here.

The CD includes the following PeopleBooks (presented in HTML format) that you can print in whole or in part:

- PeopleSoft 8.00.01 Application Fundamentals for PeopleSoft HRMS
- PeopleSoft 8.00.01 Base Benefits
- PeopleSoft 8.00.01 Benefits Administration
- PeopleSoft 8.00.01 eBenefits
- PeopleSoft 8.00.01 eCompensation
- PeopleSoft 8.00.01 eDevelopment
- PeopleSoft 8.00.01 eEquity
- PeopleSoft 8.00.01 ePay
- PeopleSoft 8.00.01 eProfile
- PeopleSoft 8.00.01 eRecruit
- PeopleSoft 8.00.01 eTime
- PeopleSoft 8.00.01 FSA Administration
- PeopleSoft 8.00.01 Global Payroll
- PeopleSoft 8.00.01 Human Resources
- PeopleSoft 8.00.01 Payroll for North America
- PeopleSoft 8.00.01 Payroll Interface
- PeopleSoft 8.00.01 Pension Administration
- PeopleSoft 8.00.01 Stock Administration

Hardcopy Documentation

To order printed, bound volumes of the complete PeopleSoft documentation delivered on your PeopleBooks CD-ROM, visit the PeopleSoft Press Web site from the Documentation section of PeopleSoft Customer Connection. The PeopleSoft Press Web site is a joint venture between PeopleSoft and Consolidated Publications Incorporated (CPI), our book print vendor.

We make printed documentation for each major release available shortly after the software is first shipped. Customers and partners can order printed PeopleSoft documentation using any of the following methods:

Internet	From the main PeopleSoft Internet site, go to the Documentation section of Customer Connection. You can find order information under the Ordering PeopleBooks topic. Use a Customer Connection ID, credit card, or purchase order to place your order. PeopleSoft Internet site: http://www.peoplesoft.com/.
Telephone	Contact Consolidated Publishing Incorporated (CPI) at **800 888 3559.**
Email	Email CPI at callcenter@conpub.com.

PeopleBooks Standard Page Element Definitions

Throughout our product documentation, you will encounter fields that are used on many application pages or panels. This section lists the most common fields and provides standard definitions.

Field	*Definition*
Address 1, Address 2, Address 3	Freeflow text entry fields that enable you to describe street, street number, apartment number, and other address information.
As of Date	The last date for which a report or process includes data.
Block (Bloque)	In Spanish addresses, a building or buildings that are close together may be called a Block (Bloque). Include the Block name in the address, if necessary.
Business Unit	An identification code that represents a high-level organization of business information. You can use a business unit to define regional or departmental units within a larger organization.
City	Name of city for address.
Comment(s)	Freeflow text entry that enables you to add comments.

Field	*Definition*
Company	A business organization. For US companies using PeopleSoft Payroll for North America or PeopleSoft Pension Administration, a business unit that has a unique federal Employer Identification Number (EIN) for payroll reporting purposes.
Country	Country for address. Other address fields will be adjusted to reflect Country choice.
County (also **Prefecture** and **Parish**)	Name of county (prefecture/parish) for address, if applicable.
Description	Freeflow text up to 36 characters that describes what you are defining.
Door (Puerta)	In Spanish addresses, identifies the door name or number.
Effective Date	Date on which a table row becomes effective; the date that an action begins. For example, if you want to close out a ledger on June 30, the effective date for the ledger closing would be July 1. This date also determines when you can view and change the information. Pages or panels and batch processes that use the information use the current row. For more information about effective dates, see Understanding Effective Dates.
Email	The email address for a person or organization.
EmplID (employee ID)	Unique identification code for an individual associated with your organization.
Empl Rcd# (Employee Record Number)	A system-assigned number that indicate an employee has more than one record in the system.
Fax (also **Fax Number**)	The fax number for a person or organization.
Floor (Piso)	In Spanish addresses, identifies the floor name or number.
House	Identifies the type of house.
Initials	Initials of individual.
Language	Language spoken by employee/applicant/non-employee.

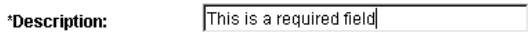
Field	*Definition*
Language or **Language Code**	The language in which you want the field labels and report headings of your reports to print. The field values appear as you enter them. Language also refers to the language spoken by an employee, applicant, or non-employee.
Last Run On	The date that a report or process was last run.
Locality	A tax location within an organization.
Name	Name of individual.
National ID	Identification code used by countries to track information on their residents for payroll, identification, benefits, and other purposes. For example, for US residents this would be their Social Security Number; for German residents it would be their Social Insurance Number, and for UK residents it would be their National Insurance Code.
Number	The number related to a street, avenue, or other address field in Spanish addresses. When an address has no number, enter s/n (sin numero) to indicate that there is no number.
Phone Extension	The phone extension number for a person or organization.
Phone Type	Identifies the type of phone number entered in the Telephone field. Valid values are ***Business, Campus, Cellular, Dormitory, FAX, Home, Other, Pager 1, Pager 2,*** or ***Telex.***
Post Code (also Postal)	Postal code for address.
Prefix	Prefix for individual (such as Mr., Ms., Mrs., Dr., and so on)

Field	*Definition*
Process Frequency group box	Designates the appropriate frequency in the **Process Frequency** group box: **Once** executes the request the next time the batch process runs. After the batch process runs, the process frequency is automatically set to **Don't Run**. **Always** executes the request every time the batch process runs. **Don't Run** ignores the request when the batch process runs.
Process Monitor	This button takes you to the Process List page, where you can view the status of submitted process requests.
Report ID	Identifies a report.
Report Manager	This button takes you to the Report List page, where you can view report content, check the status of a report, and see content detail messages (which show you a description of the report and the distribution list).
Request ID	A request identification that represents a set of selection criteria for a report or process.
Run	This button takes you to the Process Scheduler request page, where you can specify the location where a process or job runs and the process output format. For more information about the Report List page, the Process List page, and the Process Scheduler, see Process Scheduler,
Run Control ID	Identifies specific run control settings for a panel.
Run Date	The date that a process was run or a report was generated.
Run Time	The time that a process was run or a report was generated.
SetID	An identification code that represents a set of control table information. SetIds enable the sharing of a set of control table information across two or more Business Units.
Short Description	Freeflow text up to 15 characters.

Field	*Definition*
Stair (Escalera)	In Spanish addresses, identifies the stair name or number.
State (also **Province**)	State (Province) for address.
Status	Indicates whether a row in a table is ***Active*** or ***Inactive***.
Street Type	Identifies whether an address is a place, street, avenue, road, or so on. Spanish law requires addresses in official documents to include the Street Type.
Telephone (Phone)	The telephone number for a person or organization.
User ID	The system identifier for the individual who generates a transaction.
User ID	Identifies the individual that generated the transaction.

Required Fields on Pages

When you see a field on a page with an asterisk (*) preceding the field name, it means the field is required. You can not save a page without entering data into all of the required fields on a page.



Example of a required field label

In some unique instances a field may be required even though there is no asterisk preceding the field name. In such cases, you will be prompted to enter data in these fields before saving the page.

Typographical Conventions and Visual Cues

To help you locate and interpret information, we use a number of standard conventions in our online documentation.

Please take a moment to review the following typographical cues:

`monospace font`	Indicates PeopleCode.

Bold	Indicates field names and other page elements, such as buttons and group box labels, when these elements are documented below the page on which they appear. When we refer to these elements elsewhere in the documentation, we set them in Normal style (not in bold). We also use boldface when we refer to navigational paths, menu names, or process actions (such as **Save** and **Run**).
Italics	Indicates a PeopleSoft or other book-length publication. We also use italics for *emphasis* and to indicate specific field values. When we cite a field value under the page on which it appears, we use this style: ***field value.*** We also use italics when we refer to words as words or letters as letters, as in the following: Enter the number *0*, not the letter *O*.
KEY+KEY	Indicates a key combination action. For example, a plus sign (+) between keys means that you must hold down the first key while you press the second key. For ALT+W, hold down the ALT key while you press W.
Jump links	Indicates a jump (also called a link, hyperlink, or hypertext link). Click a jump to move to the jump destination or referenced section.
Cross-references	The phrase For more information indicates where you can find additional documentation on the topic at hand. We include the navigational path to the referenced topic, separated by colons (:). Capitalized titles in *italics* indicate the title of a PeopleBook; capitalized titles in normal font refer to sections and specific topics within the PeopleBook. Cross-references typically begin with a jump link. Here's an example: For more information**,** see Documentation on CD-ROM in *About These PeopleBooks:* Additional Resources.
• Topic list	Contains jump links to all the topics in the section. Note that these correspond to the heading levels you'll find in the Contents window.
Name of Page	Opens a pop-up window that contains the named page. Click the icon to display the page. Some screen shots may also appear inline (directly in the text).

Note. Text in this bar indicates information that you should pay particular attention to as you work with your PeopleSoft system. If the note is preceded by **Important!,** the note is crucial and includes information that concerns what you need to do for the system to function properly.

Text in this bar indicates For more information cross-references to related or additional information.

Text within this bar indicates a crucial configuration consideration. Pay very close attention to these warning messages.

Page and Panel Introductory Table

In the documentation, each page or panel description in the application will include an introductory table with pertinent information about the page. Not all of the information will be available for all pages or panels.

Usage	Describes how you would use the page or process.
Object Name	GIVES THE SYSTEM NAME OF THE PANEL OR PROCESS AS SPECIFIED IN THE PEOPLETOOLS APPLICATION DESIGNER. FOR EXAMPLE, THE OBJECT NAME OF THE DETAIL CALENDAR PANEL IS DETAIL_CALENDAR1.
Navigation	Provides the path for accessing the page or process.
Prerequisites	Specifies which objects must have been defined before you use the page or process.
Access Requirements	Specifies the keys and other information necessary to access the page. For example, **SetID** and **Calendar ID** are required to open the Detail Calendar page.

USF U.S. Federal Government Functionality

Any functionality that is specific to the U.S. Federal Government sector will be designated by a USF marker. Most often this will appear at the beginning of a section heading (such as with this section), but the USF designation might also appear in a Note or within text, if appropriate.

E&G Education and Government Functionality

Any functionality that is specific to the Education and Government sector will be designated by an E&G marker. Most often this will appear at the beginning of a section heading (such as with this section), but the E&G designation might also appear in a Note or within text, if appropriate.

Comments and Suggestions

Your comments are important to us. We encourage you to tell us what you like, or what you would like changed about our documentation, PeopleBooks, and other PeopleSoft reference and training materials. Please send your suggestions to:

PeopleSoft HRMS Product Documentation Manager
PeopleSoft, Inc.
4460 Hacienda Drive
Pleasanton, CA 94588

Or send comments by email to the authors of the PeopleSoft documentation at:

mailto:DOC@PEOPLESOFT.COM

While we cannot guarantee to answer every email message, we will pay careful attention to your comments and suggestions. We are always improving our product communications for you.

CHAPTER 1

Overview of Your Stock Administration System

Many companies use stock as compensation to reward key contributors and to link their interest with those of the company and its shareholders. Employee stock purchase plans create employee ownership and encourage productivity and positive morale.

Stock compensation plans can be very complex and difficult to administer. Automating stock administration processes helps your organization eliminate excess paperwork, streamline reporting, and communicate effectively with stock participants. As a fully integrated solution with stock-centric functionality, PeopleSoft Stock Administration enables you to leverage data and functionality that you are already using as part of your human resources, payroll, and benefits packages.

PeopleSoft Stock Administration Features

PeopleSoft Stock Administration gives you the tools to administer and maintain stock option and stock purchase plans for your workforce.

General Stock Administration Features

You can define business rules and manage stock administration to set up basic business rules that define how the system handles common elements for stock option plans, stock purchase plans, and regulatory reports.

With PeopleSoft Stock Administration, you can perform the following tasks:

- Support multiple plans.
- Track and maintain plan balances, common issued and outstanding shares, and treasury shares.
- Store transfer agent, escrow agent, and broker instructions.
- Track insider activity.
- Track daily stock prices.
- Create multiple FMV methods.
- Calculate the fair market value (FMV).

- Identify individuals for proxy and Section 16 reporting.

Stock Option Features

You use the stock options functionality to track and report on stock options granted to optionees, including Incentive Stock Options (ISOs), Non-Qualified Stock Options (NQs), and Restricted Stock Awards (RSAs). You can establish stock option plans; create vesting schedules; grant options; monitor exercise, release, and repurchase activity; and cancel options and record stock sales information.

PeopleSoft Stock Administration enables you to perform the following functions:

- Automatically generate grants based on stock awards allocated in variable compensation and individual grants from plans.
- Create vesting schedules tailored to your plans.
- Administer plans that enable exercises before shares have vested and to repurchase the shares that have been exercised before vest.
- Identify eligible individuals for repricing and enable eligible individuals to elect which grants they want to reprice. You can set restrictions on the reprice grants, such as vesting and exercise restrictions.
- Exercise an ISO as an NQ 90 days after termination.
- Track 83(b) filings and administer restricted stock awards, exercises, releases, and repurchases.
- Integrate with PeopleSoft Payroll for North America to process ordinary income and taxes on restricted stock transactions.

Stock Purchase Features

The stock purchase functionality is closely integrated with PeopleSoft Benefits and PeopleSoft Payroll for North America. You use PeopleSoft Benefits pages to enroll your employees in stock purchase and PeopleSoft Payroll for North America pages to administer employee authorized stock purchase payroll deductions. You can identify participants in your stock purchase plan, calculate their contribution to the plan, and deduct the correct amount from their payroll. You can specify company-specific limits and rules, administer the stock purchase by purchase period, and capture stock sale information.

With PeopleSoft Stock Administration, you can complete the following tasks:

- Integrate with PeopleSoft Benefits and PeopleSoft Benefits Administration to leverage your benefits enrollment, deduction, and eligibility checking functionality as you set up and administer stock purchases.
- Administer fixed and rolling offerings.
- Capture multiple grant dates in a purchase period.

- Process and track Non-HR-administered employee stock purchase participants.
- Accept multi-currency contributions and refunds.
- Monitor the Section 423 $25K limit and other rules and limits, as defined under your stock purchase plans.

Predefined Administrative and Regulatory Reports

PeopleSoft Stock Administration provides these reports to make it easier for you to comply with stock regulatory requirements and to help you administer your stock plans:

- Individual statement, receipts, and transmittals.
- Reconciliation reports
- Payroll and tax reports
- Transfer agent and brokerage reports
- Summary and detail of potential diluted options outstanding report.

Integrating With Other PeopleSoft HRMS Applications

PeopleSoft Stock Administration runs within PeopleSoft Human Resources and is not a stand-alone application.

Integrating With PeopleSoft Human Resources

In PeopleSoft 8, Stock Administration is integrated with PeopleSoft Human Resources. You set up your Stock Action tables and receive workflow notification when your plan participants have a change in HR status. Participants who are not employees, such as members of Boards of Directors and employees not administered in PeopleSoft Human Resources, are supported.

Stock Actions

The setup tables used for HR integration are the Stock Action table, Stock Action Reason table, and Stock Action Rules table. The type of action determines the type of processing. You can process the action by receiving a worklist or manually processing it yourself.

Non-employees

The system handles non-employees as well as employees. In addition to regular Employees, there are Stock Non-Employees, such as members of Boards of Directors and contractors, and Non-HR- administered employees, such as employees of a subsidiary or foreign office.

Multiple Jobs

For stock options and reports that require an employee's job title and other job information, the system looks to the Primary Job identified by HR as the primary job for supporting processes. For stock purchase plans, the system looks to the Job designated within PeopleSoft Base Benefits.

Variable Compensation

Stock awards are awarded in the Variable Compensation module. This integration also enables stock awards to be included with all other variable monetary and non-monetary awards for total variable compensation reporting and history. Once approved, these awards are sent to the stock administration system, using Application Messaging, to grant and administer the stock awards. Both PeopleSoft Stock Administration and Variable Compensation use the Group Build module, so that when groups are used, they are consistent.

When splitting or repricing stock, you need to coordinate with Variable Compensation.

Integrating With PeopleSoft Base Benefits and PeopleSoft Benefits Administration

You enroll and administer your stock purchase plan participants through the PeopleSoft Benefits system: either PeopleSoft Base Benefits or PeopleSoft Benefits Administration. A stock purchase plan is a savings plan of the reserved plan type of '4A' to indicate stock purchase. You set up your stock purchase plans using the plan type 4A, then enroll eligible employees, including employees not administered in PeopleSoft Human Resources, either directly through the online PeopleSoft Base Benefits or through the automated eligibility and event-driven Benefits Administration system.

Integrating With PeopleSoft Payroll for North America

PeopleSoft Payroll for North America processes the contributions for your stock purchase plans and dispositions for both stock options and stock purchases.

These are the Stock Options Transactions that integrate with PeopleSoft Payroll for North America:

- Exercises. Integrate with Payroll to calculate ordinary income and taxes, and update payroll balances.
- Releases. Integrate with Payroll to calculate ordinary income and taxes, and update payroll balances.
- Dispositions. Integrate with Payroll to update payroll balances.

These are the Stock Purchase Transactions that integrate with PeopleSoft Payroll for North America:

- Contributions
- Refunds

- Dispositions

CHAPTER 2

Defining Stock Administration Business Rules

Once you've planned your PeopleSoft Stock Administration system and reviewed the HRMS integration implications, it's time to build the foundation of your system with a set of business rules. Whether your company offers plans in stock option or stock purchase, or both, you'll use these business rules as the basis for your system.

In this chapter we'll discuss how to define the fundamental business rules for your PeopleSoft Stock Administration system and how to set up the common rules used by the stock options and stock purchase programs.

Before You Begin

Before you begin setting up your common rules you should do the following:

- Select **PeopleSoft Stock Administration** on the Installation table.

For more information about the Installation table, see Setting Up Control Tables.

- Set up a unique Holiday Schedule for each stock exchange where your stock trades using the Holiday Schedule Table page.

For more information about setting up holiday schedules, see Defining Tables That Support the Payroll Process.

- Review your application integration decisions.

For more information about PeopleSoft Stock Administration's integration with other PeopleSoft HRMS applications, see Integrating With Other PeopleSoft HRMS Applications.

Overview of Stock Administration Business Rules

You start building your stock administration system by entering data containing information about regulatory requirements, the stock exchange where your company's stock is traded, the transfer and escrow agencies that you use, the brokerage firms and branches that handle your stock transactions, and the methods that you use to value your stock. These rules are set up during installation and change infrequently.

Next, you create a unique identifier for your stock, the stock ID, which is used throughout the stock administration system. Even when the profile of your stock changes over time, such as when- your company goes public or you switch to a different stock exchange,- the key identifier remains the same. Using the stock ID, you add details for the system to use as defaults for your stock option and stock purchase plans. You can override the defaults at the plan level as circumstances warrant.

After you've created your stock profile, you allocate shares to your treasury, stock classes, and stock plans. And, finally, you set up tax percentages that serve as system defaults when participants exercise options.

Here are the steps that you take to set up your common tables:

To set up your common tables:

1. Define the regulatory requirements.

   Define the regulatory requirements for your stock administration system using the Governing Body Rules - General Setup Page. Only IRS (USA) regulations are supported and the system displays amounts that comply with IRS requirements. You can enter other governing bodies, but they are not supported.

2. Define the stock exchange.

   Define the stock exchange where your company's stock is traded, for example, NASDAQ or NYSE, using the Exchange Table - General Setup Page.

3. Define the transfer/escrow agencies.

   Define the agencies that provide escrow or transfer agent services using the Exchange Table - General Setup Page.

4. Define the brokerage firms and brokerage branches.

   First, define the brokerage firms that provide brokerage services using the Brokerage Table Setup Page. Then, define the branches of the brokerage firms using the Brokerage/Branch Table Setup Page.

5. Define a unique stock ID.

   Define a unique identifier for your stock using the Stock Table Setup Page. With the stock ID, you can associate service firms, allocate shares, and establish and maintain stock plans. The system enables you to change features within the plans and still retain continuity within

your stock administration system.

6. Link the stock ID to the escrow/transfer agents.

   Link the Stock ID to the escrow/transfer agents using the Stock Agent Table Setup Page.

7. Link the stock ID to the brokerage branches.

   Link the stock ID to the brokerage branches using the Stock Branch Table - General Setup Page.

8. Link the stock ID to the stock exchange.

   Link the stock ID to the stock exchange where your company's stock is traded using the Stock Exchange Table - General Setup Page.

9. Define attributes of the stock ID that can change over time.

   Define attributes of the stock ID that can change over time, such as the fair market value (FMV) method or rounding rules, using the Stock Details - General Setup Page.

10. Define your various treasury pools.

    Define your various treasury pools, such as common and preferred treasuries. Then relate them to a stock ID using the Stock Treasury Table - General Setup Page, where you allocate shares to the various pools.

11. Define different classes of equity securities.

    Define different classes of equity securities, such as common shares, preferred shares, and warrants, and relate them to a stock ID using the Stock Class Table - General Setup Page. You then allocate shares from the treasury to the classes that you've defined.

12. Define your various stock plans.

    Define your stock plans and relate them to a stock ID using the Stock Plan Table - General Setup Page. You can create multiple plans for each stock plan type, such as stock option, stock purchase, and stock bonus, then allocate shares from the treasury to the stock plans. For example, you may want to create one stock option plan for the Board of Directors and other stock option plan for the executives of a company that you acquired.

13. Create IDs and boilerplate text to use on stock transaction documents.

    Create agreement document IDs using the Stock Agreement Setup Page. Make legends that display on the Transfer Agent Issuance Instructions report using the Stock Legend Table Setup Page.

14. Define the different FMV methods that you use for stock transactions.

    Define various methods for tracking the value of your company's stock using the FMV Method Table Setup Page. For example, you can define close price, average high/low, and average of 5 prior close as the FMV methods that you choose to use.

15. Define the process groups that you'll use for batch processing and reporting.

    Define groups of individuals by company and pay groups using the Process Groups Setup Page.

16. Define the blackout periods for your company's stock.

    Define periods when designated groups or individuals are blocked from buying or selling company stock using the Stock Blackout Setup Page.

Setting Up Foundation Tables

The foundation tables are generally static tables. Usually set up only during installation, the static tables change infrequently. But they are the basis upon which you build your stock plans. When the rules or regulations in the industry change, you can make adjustments to these tables.

Governing Body Rules

Whether you offer stock option plans or stock purchase plans, several regulatory agency rules and securities laws specifically address equity compensation plans. The Governing Body Rules setup component defines the regulatory requirements of the PeopleSoft Stock Administration application. The tables behind these pages store rules that help ensure that the processes and reports that you generate are accurate and comply with these regulations.

The system defaults amounts defined by the IRS for qualified stock option plans and employee stock purchase plans. You can change these amounts if, for instance, you want to make all your equity plans to be more restrictive. However, if you change the amounts to make them more generous than the defaulted IRS values your plans may not comply with regulatory agency rules and securities laws. The system defaults the Effective Date of 1/1/1933 because that is the date that the IRS Section 422 and 423 regulations became effective.

The Stock Governing Body - General setup page is where you define the governing body for your stock plans and add comments. The Stock Governing Body - Stock Option Rules setup page is where you define the ISO Section 422 rules and Section 83B filing days. The Stock Governing Body - Stock Purchase Rules setup page is where you define the Section 423 rules.

Governing Body Rules - General Setup Page

Usage	Use the Governing Body Rules - General setup page to define the regulatory requirements for your stock administration system.
Object Name	ST_GOVERN_BODY1
Navigation	**Define Business Rules, Define Stock Administration, Setup, Governing Body Rules, General**
Prerequisites	None
Access	Enter a governing body. Only IRS (USA) regulations are supported.

Requirements	

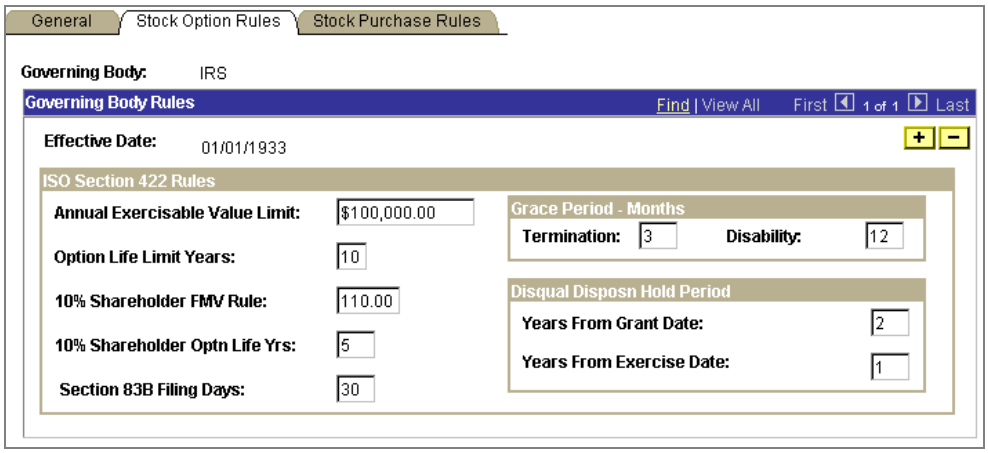
Governing Body Rules - General setup page

The following fields are common to multiple pages and are defined in the preface of this PeopleBook in PeopleBooks Standard Page Element Definitions: **Effective Date, Description, Short Description,** and **Comment.**

Governing Body The regulatory body that governs your equity compensation plans. The system displays ***IRS.***

Governing Body Rules - Stock Option Rules Setup Page

Usage	Use the Stock Governing Body - Stock Option Rules setup page to define the regulatory requirements for your stock options system.
Object Name	ST_GOVERN_BODY2
Navigation	**Define Business Rules, Define Stock Administration, Setup, Governing Body Rules, Stock Option Rules**
Prerequisites	The Stock Option Rules page is the second page in the Governing Body Rules component. You must first enter data on the previous page.
Access Requirements	Enter a governing body. Only IRS (USA) regulations are supported.



Governing Body Rules - Stock Option Rules setup page

The following field is common to multiple pages and is defined in the preface of this PeopleBook in PeopleBooks Standard Page Element Definitions: **Effective Date.**

Governing Body The regulatory body that governs your equity compensation plans. The system displays ***IRS.***

ISO Section 422 Rules

Annual Exercisable Value Limit The annual ISO exercisable value limit, determined as of the grant date, as defined by the IRS. Referred to as the 100K limit. The system displays ***$100,000.00.***

Option Life Limit Years The number of years between the grant date and when an option expires. The system displays ***10*** years.

10% Shareholder FMV Rule The percentage of FMV that the price of an option granted to a 10% shareholder must equal or exceed. The system displays ***110.00,*** or 110% of FMV.

10% Shareholder Optn (Option) Life Yrs (Years) The number of years between the grant date and when an option granted to a 10% shareholder expires. The system displays ***5*** years.

Section 83B Filing Days The number of days allowed for an individual to file a Section 83B election after being awarded a restricted stock award. The system displays ***30*** days.

Grace Period - Months

Termination The number of months (grace period) following a termination to exercise a vested ISO option, after which it is treated as a non-qualifying (NQ) option. The system displays ***3*** months.

Disability The number of months (grace period) following a termination due to disability to exercise a vested ISO option, after which it is treated as a non-qualifying (NQ) option. The system displays ***12*** months.

Disqual Disposn Hold Period (disqualifying disposition hold period)

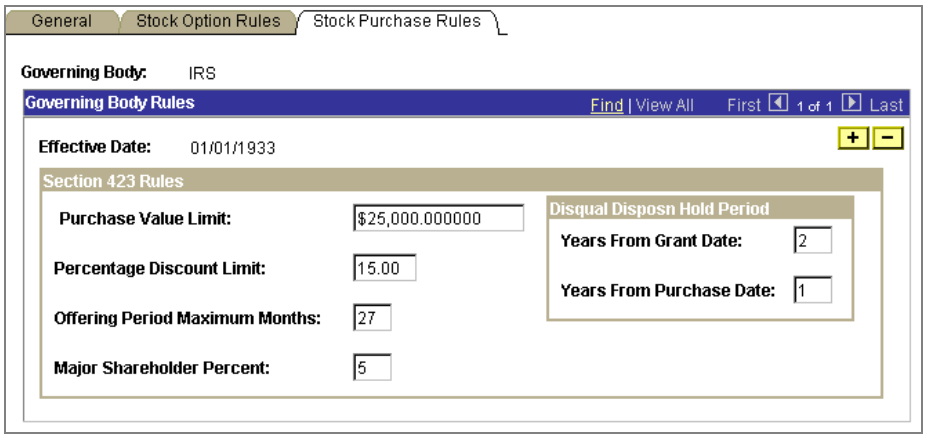
Stock purchased through an ISO option grant must be held a minimum number of years from both grant and exercise dates before disposition to be considered a qualifying disposition.

Years From Grant Date The minimum number of years from grant date to sale date for an ISO sale to be considered a qualified disposition. The system displays ***2*** years.

Years From Exercise Date The minimum number of years from exercise date to sale date for an ISO sale to be considered a qualified disposition. The system displays ***1*** year.

Governing Body Rules - Stock Purchase Rules Setup Page

Usage	Use the Governing Body Rules - Stock Purchase Rules setup page to define the regulatory requirements for your stock purchase system.
Object Name	ST_GOVERN_BODY3
Navigation	**Define Business Rules, Define Stock Administration, Setup, Governing Body Rules, Stock Purchase Rules**
Prerequisites	The Stock Purchase Rules page is the third page in the Governing Body Rules component. You must first enter data on the previous pages.
Access Requirements	Enter a governing body. Only IRS (USA) regulations are supported.



Governing Body Rules - Stock Purchase Rules setup page

The following field is common to multiple pages and is defined in the preface of this PeopleBook in PeopleBooks Standard Page Element Definitions: **Effective Date.**

Governing Body The regulatory body that governs your equity compensation plans. The system displays ***IRS.***

Section 423 Rules

Purchase Value Limit The calendar year stock purchase limit for an individual determined at the beginning of an offering period. The system displays ***$25,000.***

Percentage Discount Limit The maximum discount of FMV that can be defined for a stock purchase. The system displays ***15.00.***

Offering Period Maximum Months The maximum number of months in an offering period. The system displays ***27*** months.

Major Shareholder Percent The percentage of company stock owned by an employee that disqualifies the individual from participating in a stock purchase plan. The system displays ***5.***

Disqual Disposn Hold Period (disqualifying disposition hold period)

Stock purchased through stock purchase plan must be held a minimum number of years from both grant and purchase dates before disposition to be considered a qualifying disposition.

Years From Grant Date The minimum number of years from grant date to sale date for a stock purchase sale to be considered a qualified disposition. The system displays ***2*** years.

Years From Purchase Date The minimum number of years from purchase date to sale date for a stock purchase sale to be considered a qualified disposition. The system displays ***1*** year.

Exchange Table

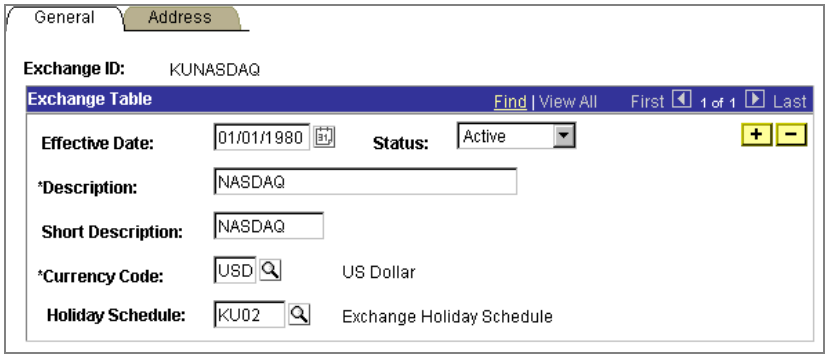
Public stock is traded on a stock exchange. The Exchange Table component defines the stock exchange and exchange address where your company's stock is traded. Later, you will associate the exchange defined here with a stock ID on the Stock Exchange Table setup component. If your company is private, you can skip this step. PeopleSoft Stock Administration 8 supports only US stock exchanges.

Before you define the stock exchange you need to set up a unique holiday schedule using the Holiday Schedule Table page in PeopleSoft Payroll for North America. Most likely you'll have to set up a different holiday schedule than the one used by your payroll administrator to process payroll.

The Exchange Table - General setup page is where you define the stock exchange, currency code, and holiday schedule. The Exchange Table - Address setup page is where you record the exchange's address and phone.

Exchange Table - General Setup Page

Usage	Use the Exchange Table - General setup page to define the stock exchange where your company's stock is traded.
Object Name	ST_EXCHANGE_TBL1
Navigation	**Define Business Rules, Define Stock Administration, Setup, Exchange Table, General**
Prerequisites	None
Access Requirements	Enter an exchange ID to associate with the stock exchange where your company's stock trades.



Exchange Table - General setup page

The following fields are common to multiple pages and are defined in the preface of this PeopleBook in PeopleBooks Standard Page Element Definitions: **Effective Date, Status, Description,** and **Short Description.**

Exchange ID The system displays the exchange ID.

Currency Code Select a currency code from the available choices.

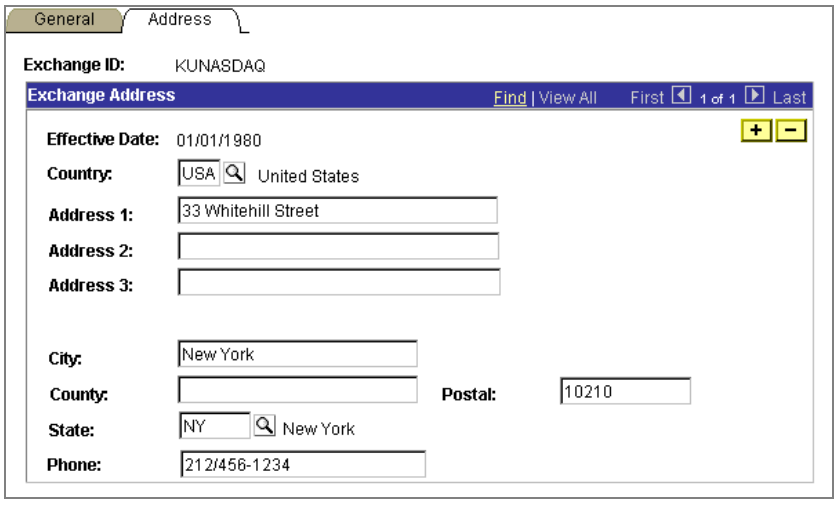
For more information about currency codes, see PeopleSoft 8 Application Fundamentals for HRMS, "Working with Currencies".

Holiday Schedule Select the holiday schedule you set up for this exchange from the available choices.

For more information about holiday schedules, see PeopleSoft 8 Payroll for North America, “Defining Tables That Support the Payroll Process”.

Exchange Table - Address Setup Page

Usage	Use the Exchange Table - Address setup page to define the address of the stock exchange where your company’s stock is traded.
Object Name	ST_EXCHANGE_TBL2
Navigation	**Define Business Rules, Define Stock Administration, Setup, Exchange Table, Address**
Prerequisites	The Exchange Table - Address page is the second page in the Exchange Table component. You must first enter data on the previous page.
Access Requirements	Enter an exchange ID to associate with the stock exchange where your company’s stock trades.



Exchange Table - Address setup page

The following fields are common to multiple pages and are defined in the preface of this PeopleBook in PeopleBooks Standard Page Element Definitions: **Effective Date, Country, Address 1, Address 2, Address 3, City, County, Postal, State,** and **Phone.**

Exchange ID The system displays the exchange ID.

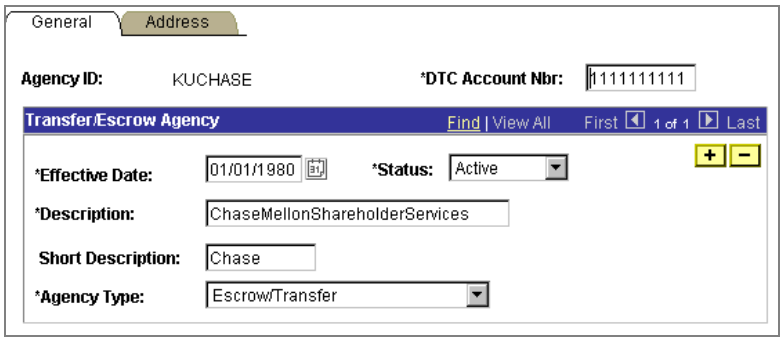
Transfer/Escrow Agency

The Transfer/Escrow Agency component defines the agencies that provide escrow or transfer agent service for stocks administered in your system. Typically, one firm assumes both roles, but a company may have different firms handling the different type of transactions. By using the **Effective Date** and **Status** fields you can "turn off" or deactivate agents that are not actively used by your company. The system will continue to store history about the deactivated agents.

The Transfer/Escrow Agency - General setup page is where you define the agency and indicate whether it is a transfer or escrow agency. The Transfer/Escrow Agency - Address setup page is where you record the agency's address and phone.

Transfer/Escrow Agency - General Setup Page

Usage	Use the Transfer/Escrow Agency – General setup page to define the agencies that provide escrow or transfer agent service for stocks administered in your system.
Object Name	ST_AGENT1
Navigation	**Define Business Rules, Define Stock Administration, Setup, Transfer/Escrow Agency, General**
Prerequisites	None
Access Requirements	Enter an agency ID to associate with a transfer agent or escrow agent.



Transfer/Escrow Agency - General setup page

The following fields are common to multiple pages and are defined in the preface of this PeopleBook in PeopleBooks Standard Page Element Definitions: **Effective Date, Status, Description,** and **Short Description.**

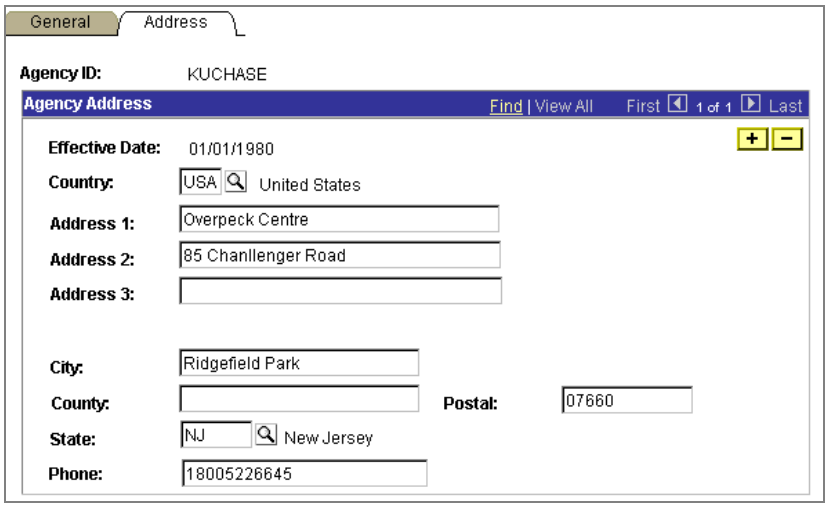
Agency ID The system displays the agency ID.

DTC Account Nbr Enter the electronic ID of the transfer agent, escrow agent, or institution for electronically issued shares. The ID can be alphanumeric.

Agency Type Select ***Escrow*** if the agency provides only escrow services, ***Transfer*** if the agency provides only transfer services, or ***Escrow/Transfer*** if the agency provides both services.

Transfer/Escrow Agency - Address Setup Page

Usage	Use the Transfer/Escrow Agency – Address setup page to define the address of the agencies that provide transfer/escrow service for the stock administered in your system.
Object Name	ST_AGENT2
Navigation	**Define Business Rules, Define Stock Administration, Setup, Transfer/Escrow Agency, Address**
Prerequisites	The Transfer/Escrow Agency - Address page is the second page in the Transfer/Escrow Agency component. You must first enter data on the previous page.
Access Requirements	Enter an agency ID to associate with a transfer agent or escrow agent.



Transfer/Escrow Agency - Address setup page

The following fields are common to multiple pages and are defined in the preface of this PeopleBook in PeopleBooks Standard Page Element Definitions: **Effective Date, Country, Address 1, Address 2, Address 3, City, County, Postal, State,** and **Phone.**

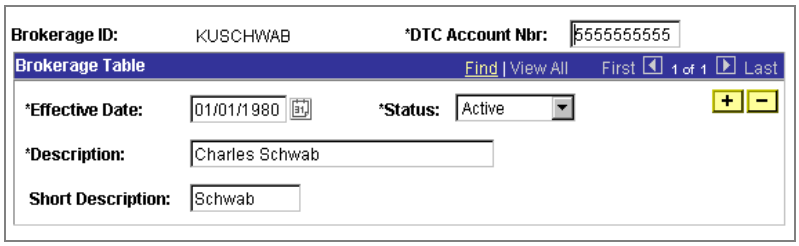
Agency ID The system displays the agency ID.

Brokerage Table

Brokerage firms handle participant's stock market transactions and dispositions. The Brokerage Table setup page defines the brokerage firms that provide brokerage service for stocks administered in your system. By using the **Effective Date** and **Status** fields, you can "turn off" or deactivate brokerages that are not actively used by your company. The system will continue to store history about the deactivated brokerages.

Brokerage Table Setup Page

Usage	Use the Brokerage Table setup page to define the brokerage firms that your company has approved for stock participants to use to buy and sell shares of stock.
Object Name	ST_BROKERAGE
Navigation	**Define Business Rules, Define Stock Administration, Setup, Brokerage Table, Brokerage Table**
Prerequisites	None
Access Requirements	Enter a brokerage ID to associate with a brokerage firm.



Brokerage Table setup page

The following fields are common to multiple pages and are defined in the preface of this PeopleBook in PeopleBooks Standard Page Element Definitions: **Effective Date, Status, Description,** and **Short Description.**

Brokerage ID The system displays the brokerage ID**.**

DTC Account Nbr Enter the electronic DTC ID of the brokerage firm for electronically issued shares. The ID can be alphanumeric.

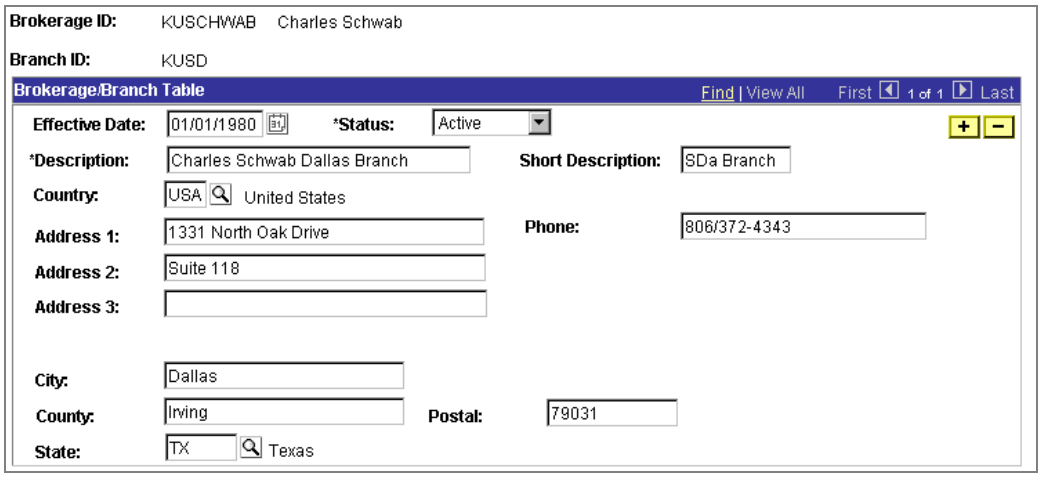
Note. There is no need to store address or contact information about a brokerage because transactions are processed at the branch level. You'll set up your contact information on the Stock Branch Table - Contact Setup Page.

Brokerage/Branch Table

Brokerage transactions are usually not processed at the brokerage headquarters but through one or more of the firm's branches. The Brokerage/Branch Table setup page defines the branches of the brokerage firms that provide brokerage service for stocks administered in your system. By using the **Effective Date** and **Status** fields, you can "turn off" or deactivate branches that are not actively used by your company. The system will continue to store history about the deactivated branches.

Brokerage/Branch Table Setup Page

Usage	Use the Brokerage/Branch Table setup page to define the branches of the brokerage firms that your company has approved for stock participants to use when making company stock plan transactions.
Object Name	ST_BRKR_BRANCH
Navigation	**Define Business Rules, Define Stock Administration, Setup, Brokerage/Branch Table, Brokerage Branch**
Prerequisites	You must first define your approved brokerage firms on the Brokerage Table page.
Access Requirements	Enter a brokerage ID and a branch ID to associate with a branch of the brokerage.



Brokerage/Branch Table setup page

The following fields are common to multiple pages and are defined in the preface of this PeopleBook in PeopleBooks Standard Page Element Definitions: **Effective Date, Status, Description, Short Description, Country, Address 1, Address 2, Address 3, City, County, Postal, State,** and **Phone.**

Brokerage ID Select a brokerage ID from the available options.

Branch ID Enter a branch ID to associate with the brokerage branch.

FMV Method Table

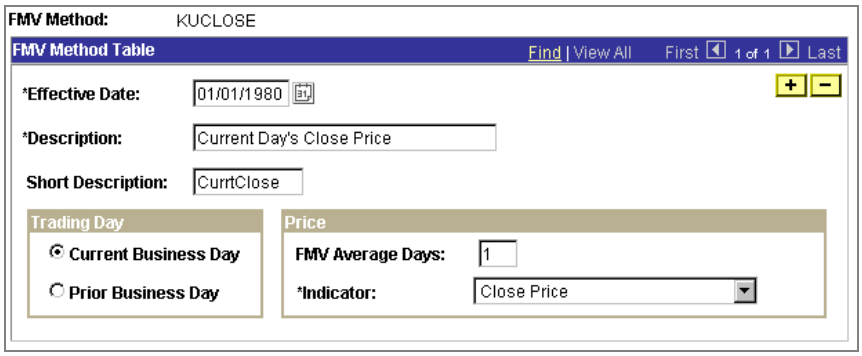
Stock exchanges record several prices for publicly traded stocks each business day. Typical prices that a stock exchange tracks are: bid price, ask price, high price, low price, open price, and close price. These prices are used to determine the fair market value (FMV) of stocks. There are several common methods used by companies to derive the FMV. PeopleSoft Stock Administration enables you to select the same or different FMV methods for your various stock plans.

The stock ID is linked with an FMV method on the Stock Detail page and serves as the default FMV method on all stock plan transactions. However, you may override the FMV method at the transaction level. You may have different FMVs for different transactions within your stock administration system. For instance, for a stock option plan, you may associate a unique method for calculating grant FMV, exercise FMV, repurchase FMV, swap FMV, and release FMV. For a stock purchase plan, you may associate a unique method for calculating start FMV, end FMV, and grant FMV.

The FMV Method Table page is an effective-dated page that enables you to enter a description of the FMV method, identify what trading day to use (current or prior), specify the number of days to use when calculating an average, and select a price indicator. The system checks your choices for consistency. For instance, if you select average of open/close prices and you record only bid price and ask price using the Daily Prices Tracking page, the system will display an error message that states that the method is not valid.

FMV Method Table Setup Page

Usage	Use the FMV Method Table setup page to define the different fair market value (FMV) methods that you use for stock transactions.
Object Name	ST_FMV_MTHD_TBL
Navigation	**Define Business Rules, Define Stock Administration, Setup, FMV Method Table, FMV Method Table**
Prerequisites	None
Access Requirements	Enter an ID to associate with an FMV Method.



FMV Method Table setup page

The following fields are common to multiple pages and are defined in the preface of this PeopleBook in PeopleBooks Standard Page Element Definitions: **Effective Date, Description,** and **Short Description.**

FMV Method The system displays the FMV method that you entered.

Trading Day

You can use the current or prior day's stock price in the FMV calculation. You can select only one trading day.

Current Business Day Select this option to use the current day's stock price for the FMV method.

Prior Business Day Select this option to use the prior day's stock price for the FMV method.

Price

FMV Average Days Enter the number of days to use when calculating an average. If you enter a zero, the system uses the default of one day. If no averaging is needed, leave the default of one day.

Indicator There are several standard methods that you can use as the price indicator in your FMV calculation. You can select only one of the following price indicators:

- Select ***Ask Price*** to use the ask stock price.
- Select ***Average Bid/Ask*** to use the average of the bid and ask stock prices. In the **FMV Average Days** field, enter the number of days to use when calculating the average.
- Select ***Average High/Low*** to use the average of the highest and lowest stock prices. In the **FMV Average Days** field, enter the number of days to use when calculating the average.
- Select ***Average Open/Close*** to use the average of the opening and closing stock prices. In the **FMV Average Days** field, enter the number of days to use when calculating the average.
- Select ***Bid Price*** to use the bid stock price.
- Select ***Close Price*** to use the closing stock price.
- Select ***High Price*** to use the highest stock price.
- Select ***Low Price*** to use the lowest stock price.
- Select ***Open Price*** to use the opening stock price.
- Select ***Private*** if your company is privately held. You will enter the FMV price determined by your Board of Directors on the Daily Prices Tracking page. You can enter a range of dates.

Process Groups

By using Process Groups you can group participants to process, reconcile, and report as a group. You assign participants based on the company and pay group of the contributions gathered from PeopleSoft Payroll for North America or from manual contributions. Process groups enable you to:

- Process all contributions in the same currency as a group.
- Process U.S. payroll, only as a group.

- Process a subsidiary of a corporation.
- Process a pay center.
- Process participants in a particular country.
- Process participants whose contributions are from multiple pay sources.

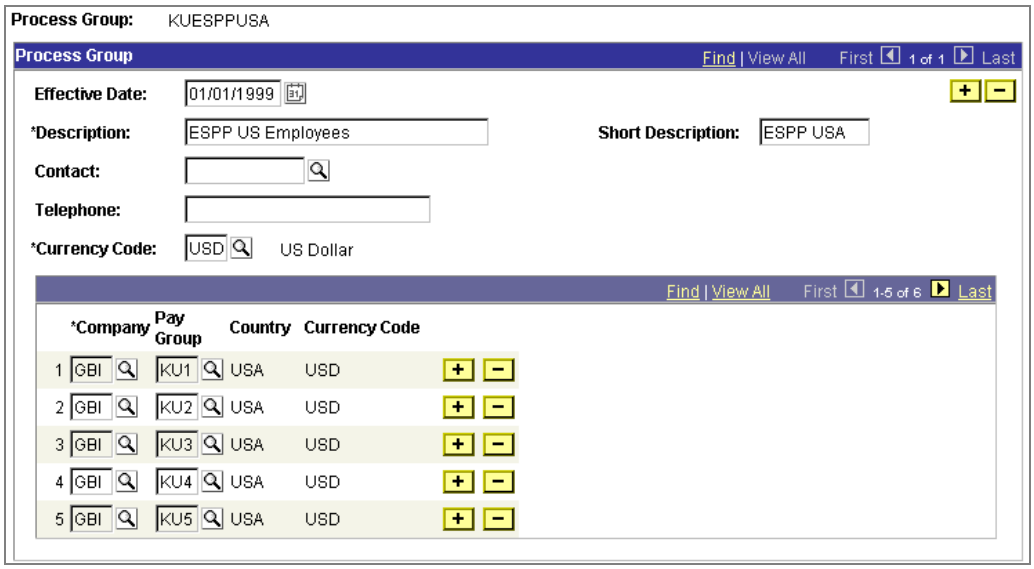
For stock options, you can use Process Groups to run various stock option reports, such as the Options Income/Tax Report, or report stock options transactions by subsidiary and pay center.

Note. The currency codes for the company and pay group must match or you cannot save the page.

For more information about pay groups, see Defining Your Organizational Framework.

Process Groups Setup Page

Usage	Use the Process Group Setup page to define how contributions from companies and pay groups are combined as a unit for processing.
Object Name	ST_PROCESS_GRP
Navigation	**Define Business Rules, Define Stock Administration, Setup, Process Group, Process Group**
Prerequisites	Your payroll administrator must first set up the company and pay groups.
Access Requirements	Enter a process group designation.



Process Group setup page

The following fields are common to multiple pages and are defined in the preface of this PeopleBook in PeopleBooks Standard Page Element Definitions: **Effective Date, Description, Short Description, Telephone,** and **Country.**

Process Group The system displays the process group.

Contact Select the EmplID of the contact for the process group. The system displays the contact's name.

Currency Code Select a currency code to associate with the process group.

For more information about currency codes, see PeopleSoft 8 Application Fundamentals for HRMS, "Working with Currencies".

Company Select the company to include in the process group. Only companies with the same currencies may be included in a process group.

For more information about the company table, see PeopleSoft 8 Application Fundamentals for HRMS, "Setting Up Control Tables".

Pay Group Enter the pay group within company to include in the process group. If left blank indicates all pay groups within the specified company. Only pay groups with the same currency may be in a process group

For more information about pay groups, see PeopleSoft 8 Payroll for North America, "Defining Your Organizational Framework".

Setting Up Stock Rules

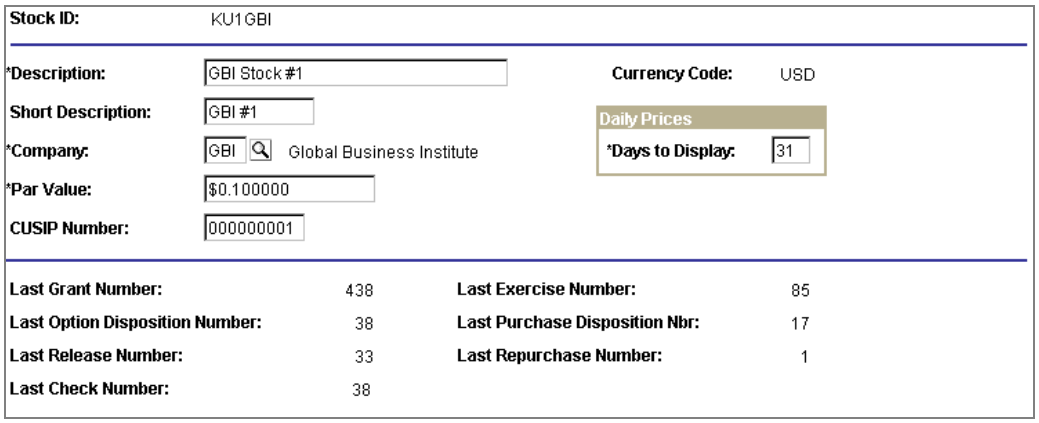
Now that you've set up your foundation tables, you're ready to create a key identifier for your company's stock and add details for the system to use as defaults for your stock option and stock purchase plans. You're creating a specific profile for the stock that you can override at the plan level to accommodate special circumstances or at the stock detail level as the profile of your stock changes over time. For instance, your stock may start trading on one stock exchange, then switch to a different exchange several years later. The key identifier remains the same, even though the stock exchange and the stock symbol change.

Stock Table

The Stock table uniquely defines a stock with a stock ID. The stock ID is the highest level key for a stock and appears on many other pages.

Stock Table Setup Page

Usage	Use the Stock Table setup page to uniquely define a stock using a stock ID. The Stock table is parent to several other stock tables.
Object Name	STOCK_TBL
Navigation	**Define Business Rules, Define Stock Administration, Setup, Stock Table, Stock Table**
Prerequisites	None
Access Requirements	Enter a stock ID to associate with your company's stock.



Stock Table setup page

The following fields are common to multiple pages and are defined in the preface of this PeopleBook in PeopleBooks Standard Page Element Definitions: **Description** and **Short Description.**

Stock ID The system displays the stock ID.

Currency Code The system displays the currency code.

Company Select a company from the available choices.

For more information about the company table, see PeopleSoft 8 Application Fundamentals for HRMS, “Setting Up Control Tables”.

Par Value Enter a par value used for your company stock. This value is the lowest price that the stock can trade for and is for information only.

CUSIP Number Enter the corresponding CUSIP number for the stock. Transfer agents use the CUSIP number to ensure there are no issuance errors.

Daily Prices

Days to Display Enter the number of days that you want to display on the Daily Prices page.

Displayed Tracking Numbers

These tracking numbers are display-only and are continuously updated to reflect transactions processed by PeopleSoft Stock Administration. The numbers start at 0 (zero) for each new stock ID.

Last Grant Number The system displays the number of the last grant used when granting options.

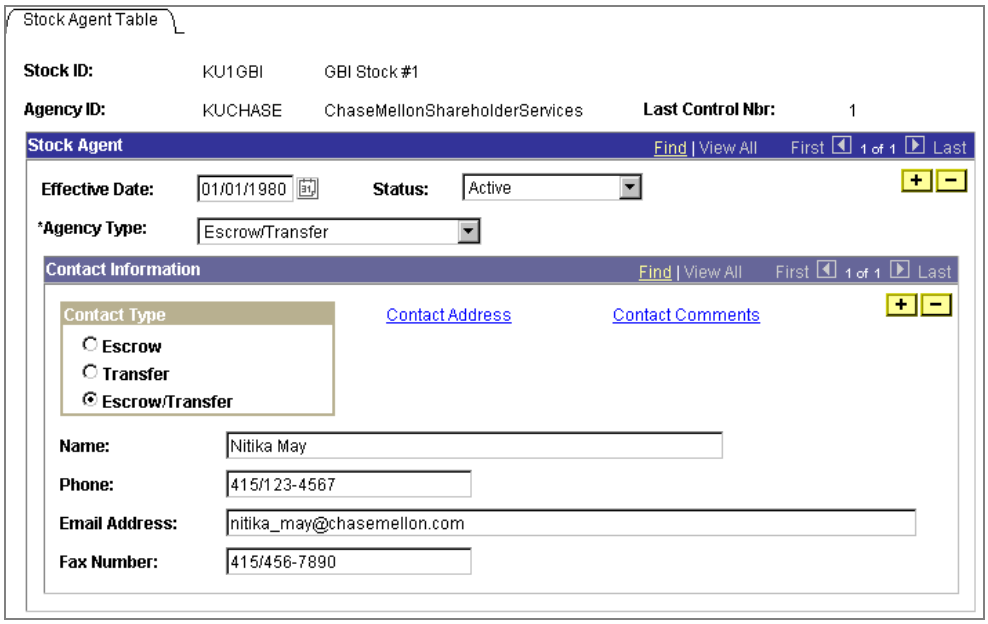
Last Exercise Number	The system displays the number of the last exercise processed.
Last Option Disposition Number	The system displays the number of the last option disposition/sale.
Last Purchase Disposition Number	The system displays the number of the last stock purchase disposition.
Last Release Number	The system displays the number of the last release.
Last Repurchase Number	The system displays the number of the last repurchase.
Last Check Number	The system displays the last check number used.

Stock Agent Table

The Stock Agent Table links previously defined agencies that provide escrow and transfer agent service for stock administered in your system with a Stock ID. You can identify the people to contact at an agency and add other detailed contact information.

Stock Agent Table Setup Page

Usage	Use the Stock Agent Table setup page to link agencies with an individual stock ID.
Object Name	STOCK_AGENT
Navigation	**Define Business Rules, Define Stock Administration, Setup, Stock Agent Table, Stock Agent Table**
Prerequisites	You must first define a Transfer/Escrow Agent on the Transfer/Escrow Agent component. You must also define a stock ID on the Stock table.
Access Requirements	Enter a stock ID and an agency ID.



Stock Agent Table setup page

The following fields are common to multiple pages and are defined in the preface of this PeopleBook in PeopleBooks Standard Page Element Definitions: **Effective Date, Status, Name, Phone, Email Address,** and **Fax Number.**

Stock ID The system displays the stock ID.

Agency ID The system displays the agency ID.

Agency Type Select ***Escrow*** if the agency provides only escrow services, ***Transfer*** if the agency provides only transfer services, or ***Escrow/Transfer*** if the agency provides both services.

Contact Information

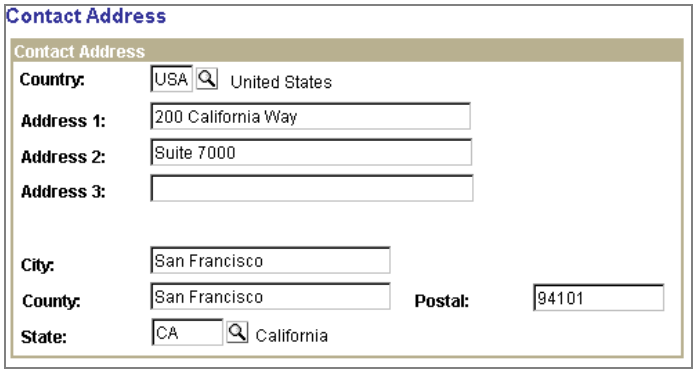
Contact Type Select the contact type for this stock agent. If you selected ***Escrow/Transfer*** as the agency type on the Stock Agent page, all options will be available. If you selected ***Escrow*** or ***Transfer*** as the agency type, you will get an error message if you try to select a contact type that is not associated with that agency type.

Contact Address Click **Contact Address** to access the Contact Address Page, where you can enter the address of the contact.

Contact Comments Click **Contact Comments** to access the Contact Comments Page, where you can enter comments.

Contact Address Page

Usage	Use the Contact Address page to enter the address of a contact.
Object Name	ST_AGENT_SEC
Navigation	Click Contact Address on the Stock Agent – Contact setup page.

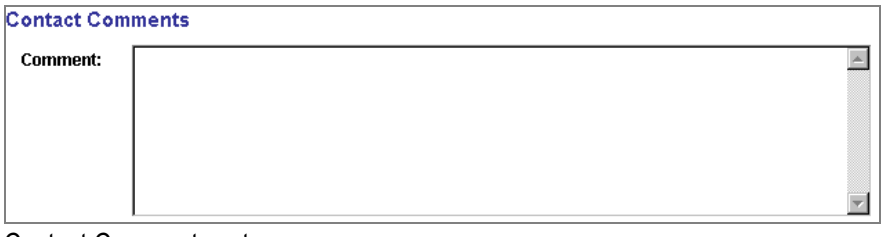


Contact Address page

The following fields are common to multiple pages and are defined in the preface of this PeopleBook in PeopleBooks Standard Page Element Definitions: **Country, Address 1, Address 2, Address 3, City, County, Postal,** and **State.**

Contact Comments Page

Usage	Use the Contact Comments page to enter comments.
Object Name	ST_AGENT_CNTCT2
Navigation	Click Contact Comments on the Stock Agent - Contact setup page.



Contact Comments setup page

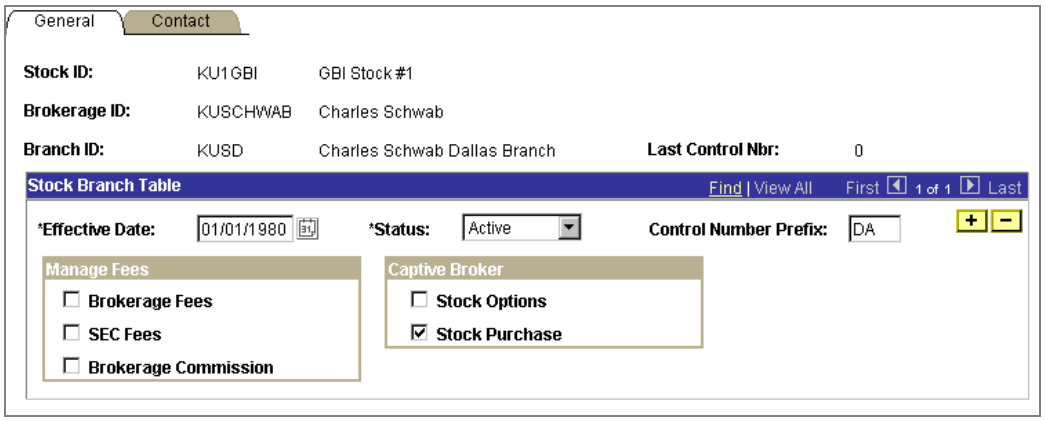
The following field is common to multiple pages and is defined in the preface of this PeopleBook in PeopleBooks Standard Page Element Definitions: **Comment.**

Stock Branch Table

The Stock Branch table links previously defined brokerage and brokerage branches that provide brokerage service for stock administer by your system with an individual stock ID. The Stock Branch Table - General setup page is where you link brokerage and brokerage branches with an individual stock ID and define fee options and captive broker authorization. The Stock Branch Table - Contact setup page is where you identify the people to contact at a branch and add detailed contact information.

Stock Branch Table - General Setup Page

Usage	Use the Stock Branch Table - General setup page to link brokerage and brokerage branches with an individual stock ID.
Object Name	STOCK_BRANCH1
Navigation	**Define Business Rules, Define Stock Administration, Setup, Stock Branch Table, General**
Prerequisites	You must first define a brokerage on the Brokerage Table page and a brokerage branch on the Brokerage/Branch Table page. You must also define a stock ID on the Stock table.
Access Requirements	Select a stock ID, brokerage ID, and branch ID.



Stock Branch Table - General setup page

The following fields are common to multiple pages and are defined in the preface of this PeopleBook in PeopleBooks Standard Page Element Definitions: **Effective Date** and **Status.**

Stock ID The system displays the stock ID.

Brokerage ID The system displays the brokerage ID.

Branch ID The system displays the branch ID.

Last Control Nbr Enter the last control number used. You can enter a number only in the initial add mode. The system generates sequential numbers and displays them. You can use this number to track the sequence if there is more than one transition in a day.

Control Number Prefix Enter a prefix to associate with a last control number. For example, you may want to enter 2000 to identify the last control numbers from calendar year 2000. This field is optional.

Manage Fees

You may select as many of these check boxes as you like. They are not mutually exclusive.

Brokerage Fees Select this check box if you want to enable the Brokerage Fee field on the Exercise Sales and Release Sales pages.

SEC Fees Select this check box if you want to enable the SEC Fees field on the Exercise Sales and Release Sales pages.

Brokerage Commission Select this check box if you want to enable the Brokerage Commission field on the Exercise Sales and Release Sales pages.

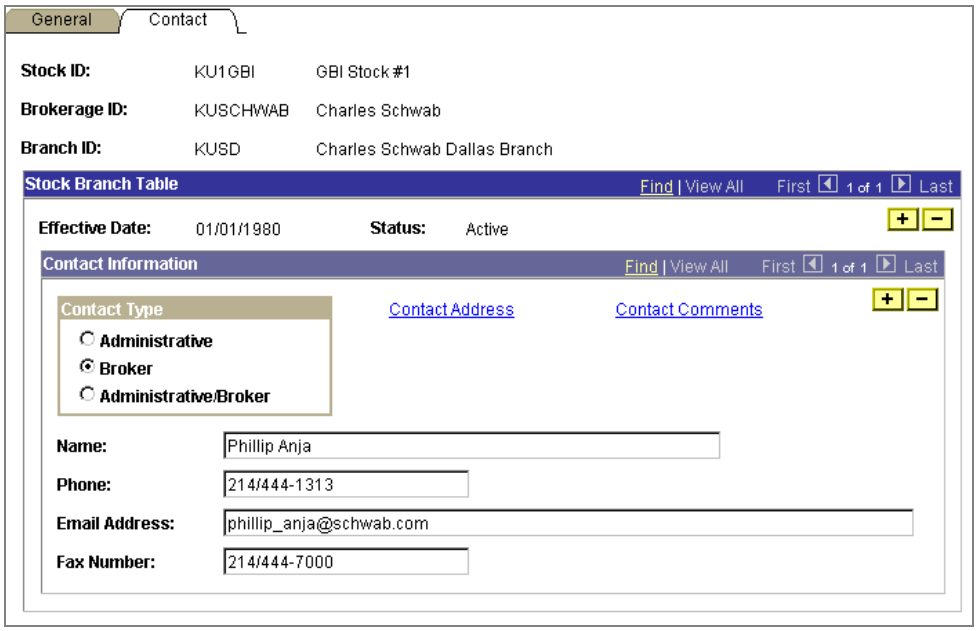
Captive Broker

Stock Options Select this option to designate the brokerage as an authorized brokerage for stock option plans.

Stock Purchase Select this option to designate the brokerage as an authorized brokerage for stock purchase plans.

Stock Branch Table - Contact Setup Page

Usage	Use the Stock Branch Table - Contact setup page to define the people to contact at a brokerage branch.
Object Name	STOCK_BRANCH2
Navigation	**Define Business Rules, Define Stock Administration, Setup, Stock Branch Table, Contact**
Prerequisites	The Stock Branch Table - Contact page is the second page in the Stock Branch component. You must first enter data on the previous page.
Access Requirements	Select a stock ID, brokerage ID and branch ID.



Stock Branch Table - Contact setup page

The following fields are common to multiple pages and are defined in the preface of this PeopleBook in PeopleBooks Standard Page Element Definitions: **Effective Date, Status, Name, Phone, Email Address,** and **Fax Number.**

Stock ID The system displays the stock ID.

Brokerage ID The system displays the brokerage ID.

Branch ID The system displays the branch ID.

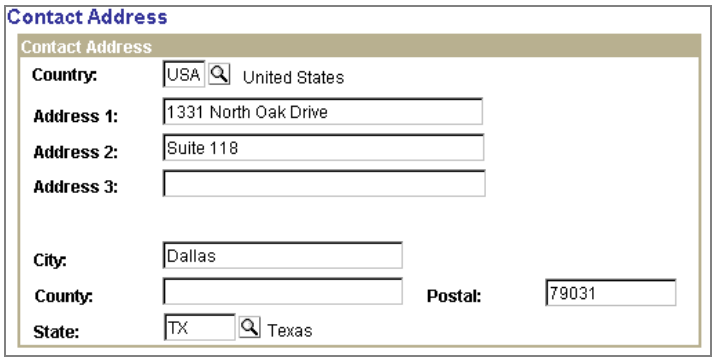
Contact Type Select ***Administrative, Broker,*** or ***Administrative/Broker***. You may identify one person to serve as both the administrative and broker contact, or you may have one person be the administrative contact and a different person serves as the broker contact.

Contact Address Click **Contact Address** to access the Contact Address Page where you can enter the address of the contact.

Contact Comments Click **Contact Comments** to access the Contact Comments Page where you can enter comments.

Contact Address Page

Usage	Use the Contact Address page to enter the address of the contact.
Object Name	ST_BRNCH_CNTCT1_SEC
Navigation	Click Contact Address on the Stock Branch - Contact setup page.

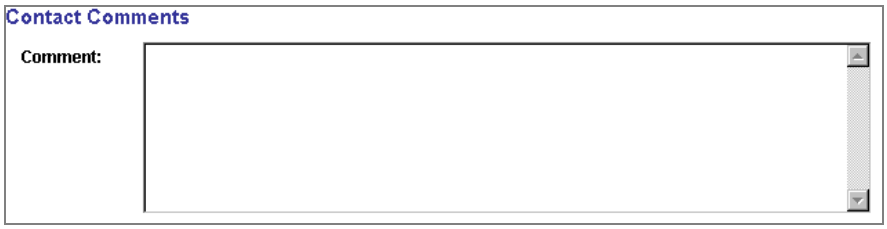


Contact Address page

The following fields are common to multiple pages and are defined in the preface of this PeopleBook in PeopleBooks Standard Page Element Definitions: **Country, Address 1, Address 2, Address 3, City, County, State, Postal,** and **State.**

Contact Comments Page

Usage	Use the Contact Comments page to enter comments.
Object Name	ST_BRNCH_CNTCT2
Navigation	Click Contact Comments on the Stock Branch - Contact setup page.



Stock Branch - Contact Comments setup page

The following field is common to multiple pages and is defined in the preface of this PeopleBook in PeopleBooks Standard Page Element Definitions: **Comment.**

Stock Details

The Stock Details component defines the stock ID attributes that can change over time such as the transfer agent, rounding rules, and earnings codes. You can change attributes of a stock, such as when a stock changes from private to publicly traded, and maintain consistency of the other features of the stock.

The Stock Details - General page is where you define general characteristics such as public/private status, SEC registration, and escrow and transfer agents.

The Stock Details - Common Rules page is where you define rules common to both stock option and stock purchase plans such as fractional share rules, stock price rules, and non-trading day rules.

The Stock Details - Stock Options page is where you define stock option details such as earnings codes, company share limit, ISO limit rule, captive broker, and agreement details.

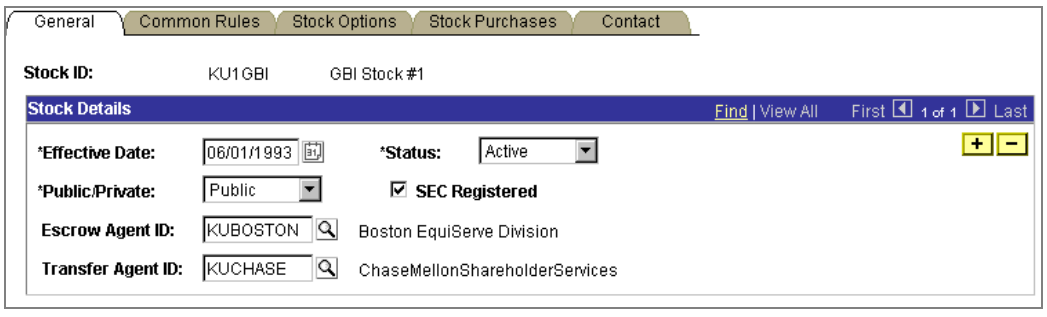
The Stock Details - Stock Purchase page is where you define stock purchase details such as earnings codes, purchase value limit, and captive broker.

The Stock Details - Contact page is where you add the contact information for the stock administrator for the stock ID.

For more information about establishing earnings codes, see Defining Earnings and Using Earnings Codes.

Stock Details - General Setup Page

Usage	Use the Stock Detail - General setup page to define general characteristics of the stock.
Object Name	STOCK_DTL1
Navigation	**Define Business Rules, Define Stock Administration, Setup, Stock Details, General**
Prerequisites	You must first define: • Stock ID on the Stock Table setup page • Escrow Agent and Transfer Agent on the Stock Agency Table setup component. • FMV Method on the FMV Method Table setup page
Access Requirements	Select a stock ID.



Stock Details - General setup page

The following fields are common to multiple pages and are defined in the preface of this PeopleBook in PeopleBooks Standard Page Element Definitions: **Effective Date** and **Status.**

Stock ID The system displays the stock ID.

Public/Private Select either ***Private*** or ***Public.*** If you select ***Private,*** you are indicating that the stock is not publicly traded on an exchange and the Daily Prices page will display only ***Private.*** The system default is ***Public.***

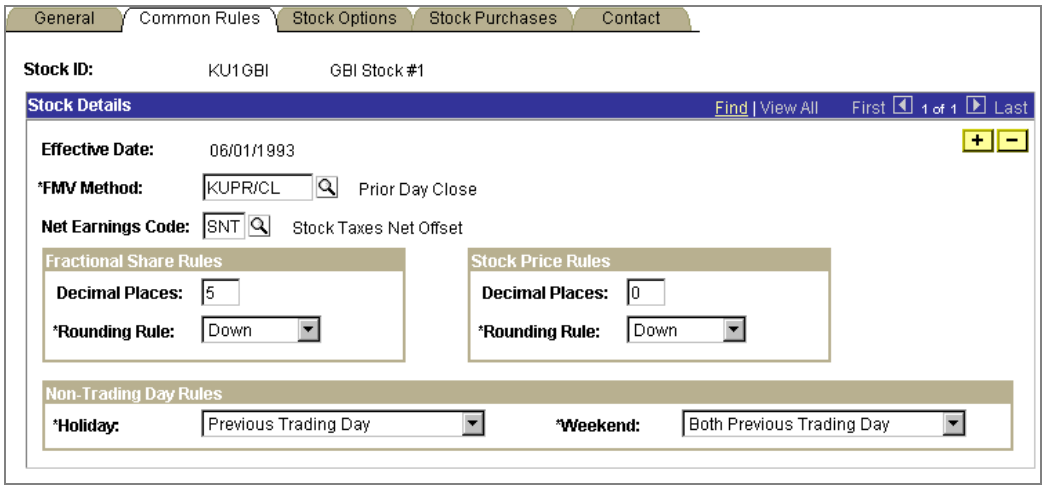
SEC Registered Select this check box if your company's stock is registered with the SEC and the exchange where it is traded. A stock can be registered with the SEC and not be publicly traded on an exchange. There is no relationship between the **SEC Registered** check box and the **Public/Private** drop-down list box. This is for informational purposes only.

Escrow Agent ID Select an escrow agent from the available choices. The agent ID is defined on the Agency Table page. The agents that appear as available options are defined on the Stock Agent Table.

Transfer Agent ID Select a transfer agent from the available choices. The agent ID is defined on the Agency Table page. The agents that appear as available options are defined on the Stock Agent Table.

Stock Details - Common Rules Setup Page

Usage	Use the Stock Detail - Common Rules setup page to define rules common to both stock option and stock purchase plans.
Object Name	STOCK_DTL2
Navigation	**Define Business Rules, Define Stock Administration, Setup, Stock Details, Common Rules**
Prerequisites	The Stock Details - Common Rules page is the second page in the Stock Details component. You must first enter data on the previous page.
Access Requirements	Select a stock ID.



Stock Details - Common Rules setup page

The following field is common to multiple pages and is defined in the preface of this PeopleBook in PeopleBooks Standard Page Element Definitions: **Effective Date.**

Stock ID The system displays the stock ID.

FMV Method Select an FMV method from the available options. The FMV methods are defined on the FMV Method Table page.

Net Earnings Code Select a net earnings code from available options.

Fractional Share Rules

Decimal Places Enter a number, between 0 to 6, to round. Subsequent rules, established at the plan level, can be more restrictive, but not more permissive, as the rules established here.

Rounding Rule Select a rounding rule to use after a conversion. Valid values include ***Standard, Up,*** and ***Down.*** The default value is ***Down.***

Stock Price Rules

Decimal Places Enter a number, between 0 to 6, to round. Subsequent rules, established at the plan level, can be more restrictive, but not more permissive, as the rules established here.

Rounding Rule Select a rounding rule to use after a conversion. Valid values include ***Standard, Up,*** and ***Down.*** The default value is ***Down.***

Non-Trading Day Rules

Often FMV calculations include days when the stock exchange is not open. You need to define a method to account for these non-trading days.

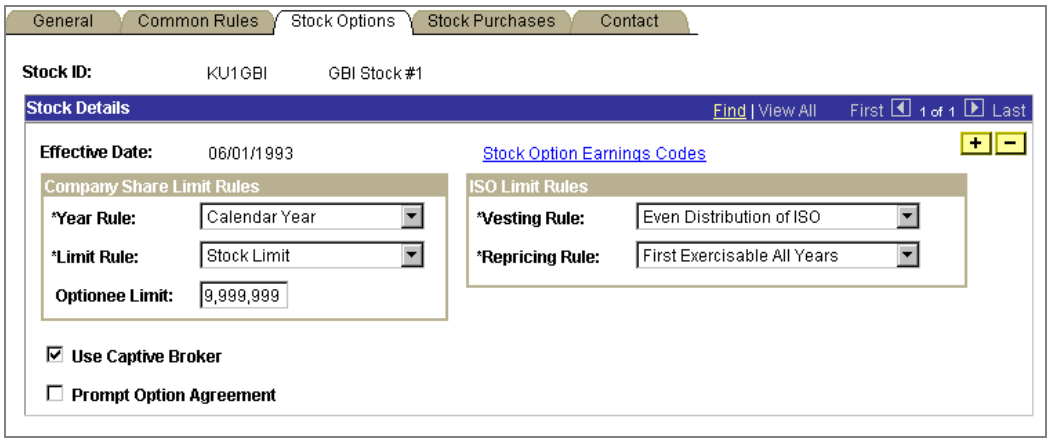
Holiday When an FMV calculation includes a holiday, select ***Previous Trading Day*** if you want to use the previous trading day's price, or ***Next Trading Day*** if you want to use the next trading day's price.

Weekend When an FMV calculation includes a weekend, select one of the following:

- ***Both Next Trading Day*** if you want to use the next trading day's price for both weekend days.
- ***Both Previous Trading Day*** if you want to use the previous trading day's price for both weekend days.
- ***Saturday Next - Sunday Previous*** if you want to use the next trading day's price for Saturday and the previous trading day's price for Sunday.
- ***Saturday Previous - Sunday*** Next if you want to use the previous trading day's price for Saturday and the next trading day's price for Sunday.

Stock Details - Stock Option Setup Page

Usage	Use the Stock Detail - Stock Options setup page to define rules specific to stock option plans.
Object Name	STOCK_DTL3
Navigation	**Define Business Rules, Define Stock Administration, Setup, Stock Details, Stock Options**
Prerequisites	The Stock Details - Stock Options page is the third page in the Stock Details component. You must first enter data on the previous pages..
Access Requirements	Select a stock ID.



Stock Details - Stock Options setup page

The following field is common to multiple pages and is defined in the preface of this PeopleBook in PeopleBooks Standard Page Element Definitions: **Effective Date.**

Stock ID The system displays the stock ID.

Stock Option Earnings Codes Click **Stock Option Earnings Codes** to access the Stock Option Earnings Codes Page, where you can define the stock option earnings codes.

Company Share Limit Rules

Year Rule Select either ***Calendar Year*** or ***Fiscal year*** to indicate the type of year rule you want to use. If you select ***Fiscal Year***, you will be prompted to enter the date and month that a fiscal year begins on the Stock Fiscal Year setup page.

Limit Rule Select either ***Plan Limit*** or ***Stock Limit*** to indicate how you want to limit the number of shares granted to each optionee for this stock ID. If you select ***Plan Limit,*** the **Optionee Limit** field in made unavailable and the shares are limited by plan. If you choose ***Stock Limit,*** the shares are limited by optionee.

Optionee Limit Enter the number of shares to limit to each optionee. This field is available only if you select ***Stock Limit*** in the **Limit Rule** drop-down list box.

ISO Limit Rules

Vesting Rule Select the rule you want to use to handle the amount over the ISO limit. Select ***Even Distribution of ISO*** if you want to use the same percentage over the limit to determine the non-qualifying (NQ) amount. Select ***Maximum ISO limit each year*** if you want to use the actual percentage over the limit to determine the NQ amount.

Repricing Rule Select the rule that you want to use to determine how repriced grants contribute to the ISO limit. Select ***First Exercisable All Years*** if you want to look at the shares first exercisable in all years. Select ***First Exercisable as of Reprice*** if you want to look at the shares first exercisable the year of the reprice up to the reprice date.

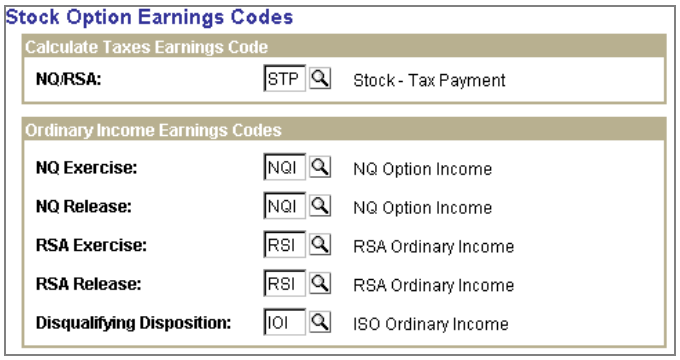
For more information about ISO limits, see Validating ISO Limits.

Use Captive Broker Select this check box if you require participants use a captive broker with options transactions that require a broker.

Prompt Option Agreement Select this check box to enable the system to prompt a warning message for exercise transactions that do not have a related agreement on file.

Stock Option Earnings Codes Page

Usage	Use the Stock Option Earnings Codes page to define the stock option earnings codes.
Object Name	STOCK_DTL_SEC1
Navigation	Click Stock Option Earnings Codes on the Stock Details - Stock Option setup page.



Stock Option Earning Codes page

Calculate Taxes Earnings Code

Select the tax earnings code that relates to the stock option transaction from available choices.

NQ/RSA Select the tax earning code that relates to a NQ/RSA exercise.

Ordinary Income Earnings Codes

Select the ordinary income earnings code that relates to the stock option transaction from available choices.

NQ Exercise Select the tax earnings code that relates to an NQ exercise.

NQ Release Select the tax earnings code that relates to an NQ release.

RSA Exercise Select the tax earnings code that relates to an RSA exercise.

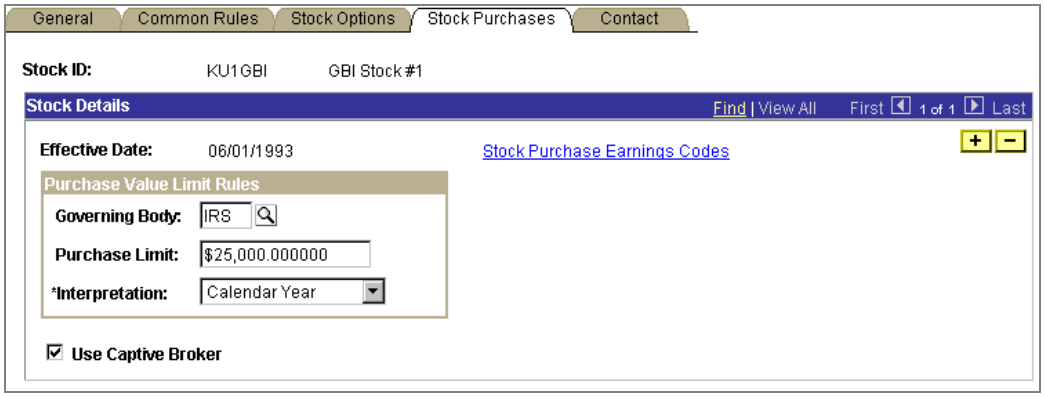
RSA Release Select the tax earnings code that relates to an RSA release.

Disqualifying Disposition Select the tax earnings code that relates to an ISO disqualifying disposition.

Stock Details - Stock Purchases Setup Page

Usage	Use the Stock Detail - Stock Purchases setup page to define rules specific to stock purchase plans.
Object Name	STOCK_DTL4
Navigation	**Define Business Rules, Define Stock Administration, Setup, Stock Details, Stock Purchases**
Prerequisites	The Stock Details - Stock Purchases page is the fourth page in the Stock Details component. You must first enter data on the previous pages.

Access Requirements	Select a stock ID.



Stock Details - Stock Purchases setup page

The following fields are common to multiple pages and are defined in the preface of this PeopleBook in PeopleBooks Standard Page Element Definitions: **Effective Date.**

Stock ID The system displays the stock ID.

Stock Purchase Earnings Codes Click **Stock Purchase Earnings Codes** to access the Stock Purchase Earnings Codes Page where you can define the stock purchase earnings codes.

Purchase Value Limit Rules

Governing Body Select a governing body from the available choices.

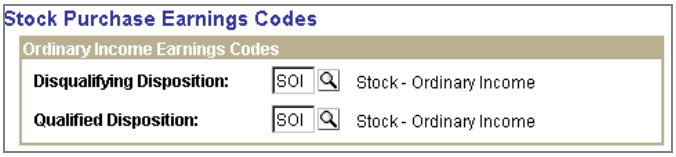
Purchase Limit The purchase value limit defined on the Governing Body Rules- Stock Purchase Rules page is the default. You can change the value.

Interpretation Select ***Calendar Year*** if the purchase limit spans a calendar year. Select ***Years Outstanding*** if the purchase limit spans an offering period greater than a calendar year.

Use Captive Broker Select this check box if you require participants to use a captive broker with stock purchase transactions that require a broker.

Stock Purchase Earnings Codes Page

Usage	Use the Stock Purchase Earnings Codes page to define the stock purchase earnings codes.
Object Name	STOCK_DTL_SEC2
Navigation	Click Stock Purchase Earnings Codes on the Stock Details - Stock Purchase setup page.



Stock Purchase Earnings Codes Page

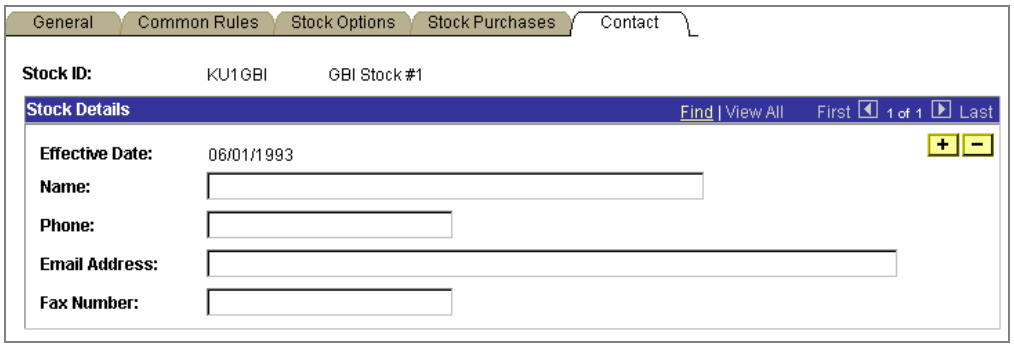
Select the earnings code that relates to the stock purchase transaction from available choices.

Disqualifying Disposition Select the earnings code that relates to a stock purchase disqualifying disposition.

Qualified Disposition Select the earnings code that relates to a stock purchase qualifying disposition.

Stock Details - Contact Setup Page

Usage	Use the Stock Detail - Contact setup page to add the contact information for the stock administrator for the stock.
Object Name	STOCK_DTL5
Navigation	**Define Business Rules, Define Stock Administration, Setup, Stock Details, Contact**
Prerequisites	The Stock Details - Contact page is the fifth page in the Stock Details component. You must first enter data on the previous pages.
Access Requirements	Select a stock ID.



Stock Details - Contact setup page

The following fields are common to multiple pages and are defined in the preface of this PeopleBook in PeopleBooks Standard Page Element Definitions: **Effective Date, Name, Phone, Email Address, and Fax Number.**

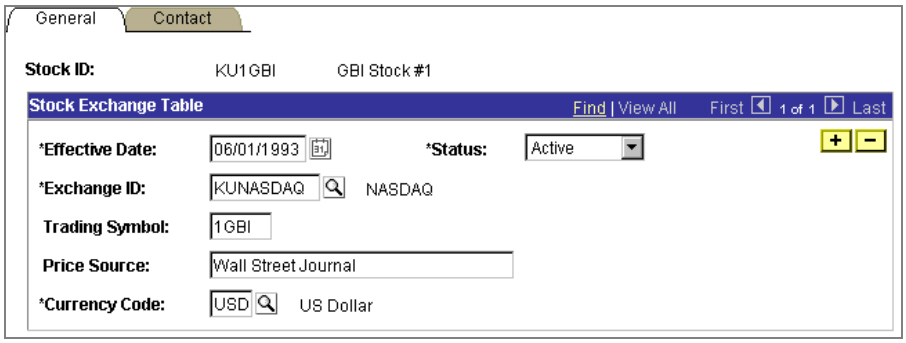
Stock ID The system displays the stock ID.

Stock Exchange Table

The Stock Exchange Table component contains details about an exchange where a stock is traded and stores exchange contact information and stock ticker symbol for a stock. Stock Exchange Table - General setup page is where you link the stock exchange with an individual stock ID and define exchange details such as trading symbol, price source, and currency code. Stock Exchange Table - Contact setup page is where you identify the people to contact at a stock exchange and other detailed contact information.

Stock Exchange Table - General Setup Page

Usage	Use the Stock Exchange Table - General setup page to link a stock ID with a stock exchange and define exchange details.
Object Name	STOCK_EXCHANGE1
Navigation	**Define Business Rules, Define Stock Administration, Setup, Stock Exchange Table, General**
Prerequisites	You must first define a stock ID on the Stock Table setup page and a stock exchange on the Exchange Table setup component.
Access Requirements	Select a stock ID.



Stock Exchange Table - General setup page

The following fields are common to multiple pages and are defined in the preface of this PeopleBook in PeopleBooks Standard Page Element Definitions: **Effective Date** and **Status.**

Stock ID The system displays the stock ID.

Exchange ID Select an exchange ID from the available choices. The available exchange IDs are defined on the Exchange Table component.

Trading Symbol Enter the symbol that is used to track your company's stock on an exchange (for example, PSFT for PeopleSoft).

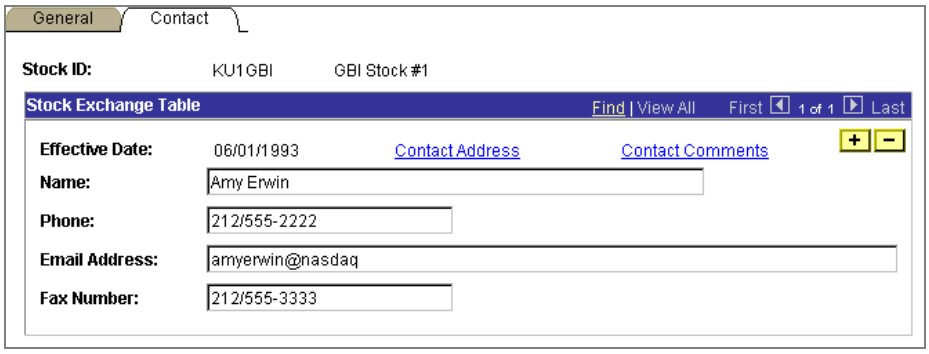
Price Source Enter the source used to report and track daily prices. This field is for information only.

Currency Code Select a currency code to use for currency conversion.

For more information about currency codes, see PeopleSoft 8 Application Fundamentals for HRMS, "Working with Currencies".

Stock Exchange Table - Contact Setup Page

Usage	Use the Stock Exchange Table - Contact setup page to identify the people to contact at a stock exchange.
Object Name	STOCK_EXCHANGE2
Navigation	**Define Business Rules, Define Stock Administration, Setup, Stock Exchange Table, Contact**
Prerequisites	The Stock Exchange Table- Contact page is the second page in the Stock Exchange Table component. You must first enter data on the previous page.
Access Requirements	Select a stock ID.



Stock Exchange Table - Contact setup page

The following fields are common to multiple pages and are defined in the preface of this PeopleBook in PeopleBooks Standard Page Element Definitions: **Effective Date, Name, Phone, Email Address,** and **Fax Number.**

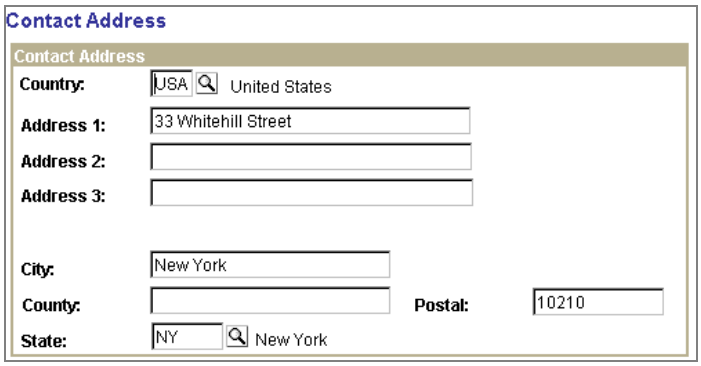
Stock ID The system displays the stock ID.

Contact Address Click **Contact Address** to access the Stock Exchange Table - Contact Address Page where you can enter the address of the contact.

Contact Comments Click **Contact Comments** to access the Stock Exchange Table - Contact Comments Page where you can enter comments about the contact.

Stock Exchange Table - Contact Address Page

Usage	Use the Stock Exchange Table - Contact Address page to add contact information.
Object Name	ST_EXCHANGE_SEC
Navigation	Click Contact Address on the Stock Exchange Table - Contact setup page.

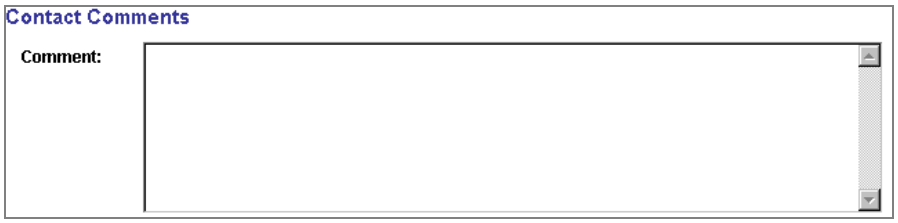


Stock Exchange Table - Contact Address page

The following elements are common to multiple pages and are defined in the preface of this PeopleBook in PeopleBooks Standard Page Element Definitions: **Country, Address1, Address2, Address3, City, County, Postal, State.**

Stock Exchange Table - Contact Comments Page

Usage	Use the Stock Exchange Table - Contact Comments page to add comments about the contact.
Object Name	ST_EXCHANGE_SEC2
Navigation	Click Contact Comments on the Stock Exchange Table - Contact setup page.



Stock Exchange Table - Contact Comments page

The following element is common to multiple pages and is defined in the preface of this PeopleBook in PeopleBooks Standard Page Element Definitions: **Comment.**

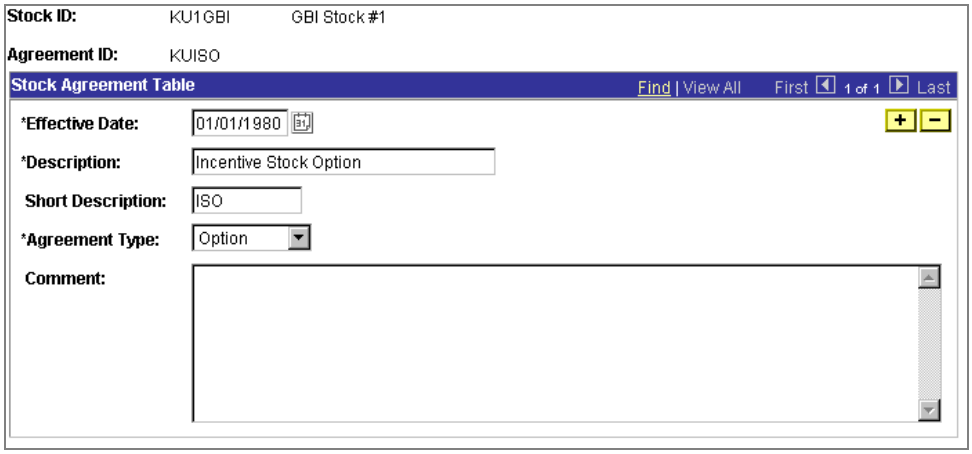
Stock Agreement and Legend Tables

You can create IDs and boilerplate text using the Stock Agreement and Stock Legend tables. The Stock Agreement table is where you create an agreement ID to include with participants' stock agreements. The Legend table is where you create boilerplate text that you want to display on the Transfer Agent Issuance Instructions report. Later, for each stock plan participant, you'll enter issuance instructions and select a stock legend on the Issuance Instructions page. You use the legends to communicate instructions to a transfer or escrow agent when you issue stock to participants.

Stock Agreement Setup Page

Usage	Use the Stock Agreement setup page to create an agreement ID that's included on an individual's stock agreements.
Object Name	STOCK_AGREEMENT
Navigation	**Define Business Rules, Define Stock Administration, Setup, Stock Agreement Table, Stock Agreement**

Prerequisites	None
Access Requirements	Select a stock ID and enter an agreement ID to associate with a stock option or stock purchase agreement.



Stock Agreement setup page

The following fields are common to multiple pages and are defined in the preface of this PeopleBook in PeopleBooks Standard Page Element Definitions: **Effective Date, Description, Short Description,** and **Comment.**

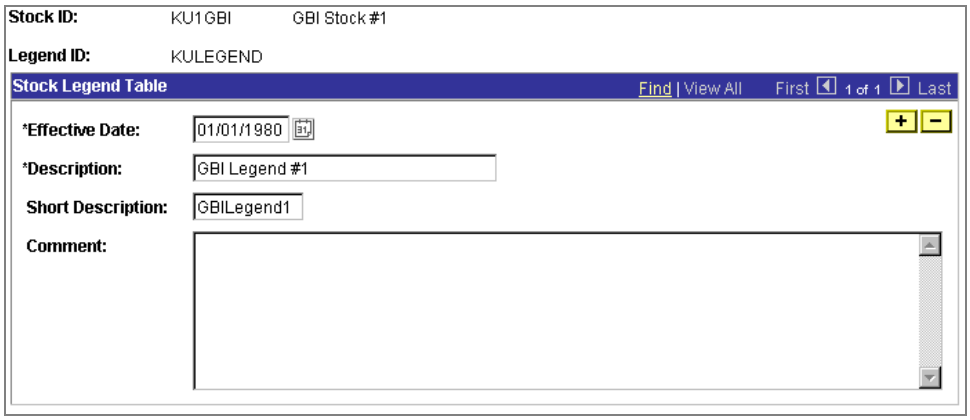
Stock ID The system displays the stock ID.

Agreement ID The system displays the agreement ID.

Agreement Type Select ***Stock Purchase*** if the agreement is related to stock purchase plans and ***Option*** if the agreement is related to option plans.

Stock Legend Table Setup Page

Usage	Use the Stock Legend Table setup page to establish legends for display on the Transfer Agent Issuance Instructions report.
Object Name	STOCK_LEGEND
Navigation	**Define Business Rules, Define Stock Administration, Setup, Stock Legend Table, Stock Legend**
Prerequisites	None
Access Requirements	Select a stock ID and enter a legend ID to use during a stock option or stock purchase transaction.



Stock Legend table setup page

The following fields are common to multiple pages and are defined in the preface of this PeopleBook in PeopleBooks Standard Page Element Definitions: **Effective Date, Description, Short Description,** and **Comment.**

Stock ID The system displays the stock ID.

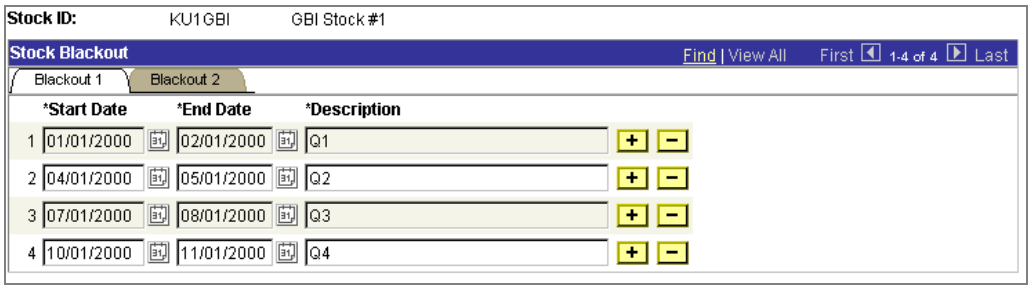
Legend ID The system displays the legend ID.

Stock Blackout

The Stock Blackout page defines the blackout periods when designated groups or individuals are blocked from buying or selling company stock. You can select a combination of insiders, reporting persons, directors, officers, and individual participants, or you can blackout all participants. On the Insiders page, you associate individuals to the insider types. They are then subject to the blackout periods defined on the Stock Blackout page.

Stock Blackout Setup Page

Usage	Use the Stock Blackout setup page to define the blackout periods when designated groups or individuals are unable to buy or sell company stock.
Object Name	ST_BLACKOUT
Navigation	**Define Business Rules, Define Stock Administration, Setup, Stock Blackout, Stock Blackout**
Prerequisites	None
Access Requirements	Select a stock ID.



Stock Blackout - Blackout 1 setup page

The following element is common to multiple pages and is defined in the preface of this PeopleBook in PeopleBooks Standard Page Element Definitions: **Description.**

Note. Multiple views of this page are available by clicking the tabs in the scroll area. We document fields common to all views first.

Common Page Information

Stock ID The system displays the stock ID.

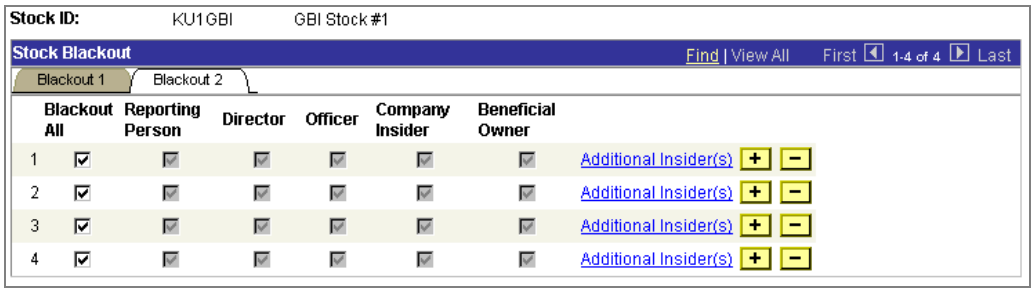
Blackout 1 Tab

See the exhibit above for a view of this tab.

Start Date Enter the first date of the stock option and stock purchase sale blackout period.

End Date Enter the last date of the stock option and stock purchase sale blackout period.

Blackout 2 Tab



Stock Blackout - Blackout 2 setup page

Blackout All Select this check box to indicate that the blackout applies to everyone who participates in a stock option or stock purchase plan. If a participant attempts to exercise an option using a payment method of same day sale or sell to cover, or you enter a disposition during a blackout period, the system displays a warning message. If you select **Blackout All**, the other check boxes default as selected and **Additional Insiders(s)** is made unavailable.

Reporting Person Select this check box to indicate that the blackout applies to persons labeled as a reporting person on the Insider page. If a participant attempts to exercise or exercise an option using a payment method of same day sale or sell to cover, or you enter a disposition during a blackout period, the system displays a warning message.

Director Select this check box to indicate that the blackout applies to persons labeled as a director on the Insider page. If a participant attempts to exercise or sell shares during a blackout period, the system displays a warning message.

Officer Select this check box to indicate that the blackout applies to persons labeled as an officer on the Insider page. If a participant attempts to exercise or sell shares during a blackout period, the system displays a warning message.

Company Insider Select this check box to indicate that the blackout applies to persons labeled as a company insider on the Insider page. If a participant attempts to exercise or sell shares during a blackout period, the system displays a warning message.

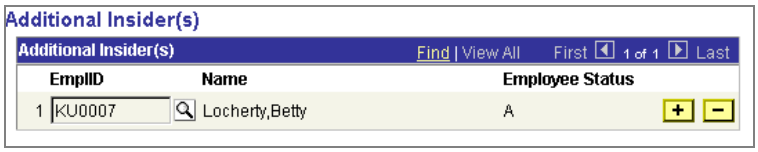
Beneficial Owner Select this check box to indicate that the blackout applies to persons labeled as a beneficial owner on the Insider page. If a participant attempts to exercise or sell shares during a blackout period, the system displays a warning message.

Additional Insider(s) Click **Additional Insider(s)** to view the Additional Insider(s) Page where you can select additional individuals.

Additional Insider(s) Page

Usage	Use the Additional Insider(s) page to select additional individuals to be subject to the blackout period.
Object Name	ST_BLACKOUT_SEC

Navigation	Click Additional Insider(s) on the Stock Blackout setup page.



Additional Insider(s) page

The following element is common to multiple pages and is defined in the preface of this PeopleBook in PeopleBooks Standard Page Element Definitions: **Name.**

EmplID Select additional participants in the stock blackout from the available options. This enables you to select specific individuals in concert with selecting any category on the Stock Blackout setup page except All Participants.

Employee Status The system displays the employee's status.

Setting Up Stock Allocation Tables

After you've set up your stock with a stock ID and defined the attributes of the stock, then you can allocate shares to your treasury, stock classes, and stock plans.

For more information about calculating treasury, stock class, and stock plan balances, see Calculating Stock Balances.

Stock Treasury Table

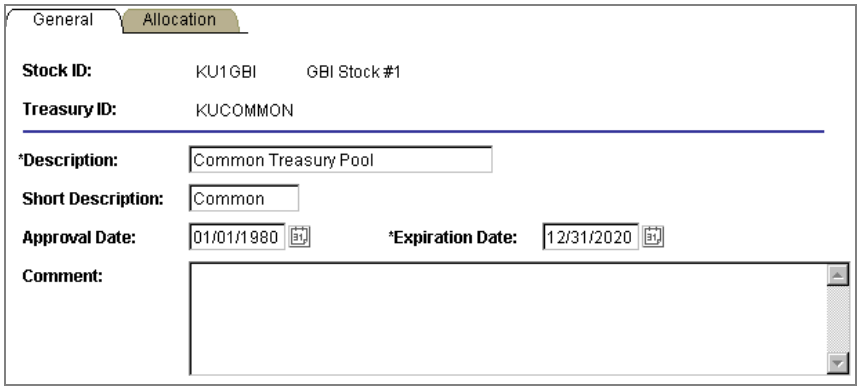
Using the Stock Treasury table, you set up your benchmark allocation levels during installation and change allocation levels based on board or shareholder approved actions, stock splits, or adjustments. You can set up a treasury ID for each class of SEC approved stock: common shares, preferred shares, and warrants.

Stock Treasury Table - General setup page is where you define the general attributes of the treasury. Stock Treasury - Allocation setup page is where you define the allocations to the treasury.

Stock Treasury Table - General Setup Page

Usage	Use the Stock Treasury Table - General setup page to define your various treasury pools and relate them to a stock ID.

Object Name	STOCK_TREASURY1
Navigation	**Define Business Rules, Define Stock Administration, Setup, Stock Treasury Table, General**
Prerequisites	You must first define a stock ID on the Stock Table setup page.
Access Requirements	Select a stock ID and enter a treasury ID to associate with a treasury.



Stock Treasury Table - General setup page

The following fields are common to multiple pages and are defined in the preface of this PeopleBook in PeopleBooks Standard Page Element Definitions: **Description, Short Description,** and **Comment.**

Stock ID The system displays the stock ID.

Treasury ID The system displays the treasury ID.

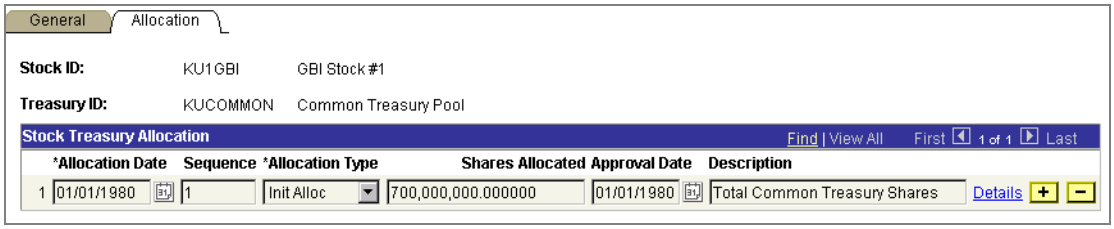
Approval Date Enter the date that the treasury was approved.

Expiration Date Enter the date that the treasury allocation will expire and no longer be active.

Stock Treasury Table - Allocation Setup Page

Usage	Use the Stock Treasury Table - Allocation setup page to track changes made to a specific treasury ID.
Object Name	STOCK_TREASURY2
Navigation	**Define Business Rules, Define Stock Administration, Setup, Stock Treasury Table, Allocation**
Prerequisites	The Stock Treasury Table - Allocation page is the second page in the Stock Treasury Table component. You must first enter data on the previous page.

Access Requirements	Select a stock ID and enter a treasury ID.



Stock Treasury Table - Allocation setup page

The following element is common to multiple pages and is defined in the preface of this PeopleBook in PeopleBooks Standard Page Element Definitions: **Description.**

Stock ID The system displays the stock ID.

Treasury ID The system displays the treasury ID.

Allocation Date Enter the date that the shares are allocated to the treasury. The date determines when the information that you enter becomes valid for share balances. The allocation date must be greater than or equal to the approval date.

Sequence The system displays the sequence number.

Allocation Type Select ***Adjustment, Board App*** (board approved), ***Init Alloc*** (initial allocation), ***Shldr App*** (shareholder approved), or ***Split*** (stock split).

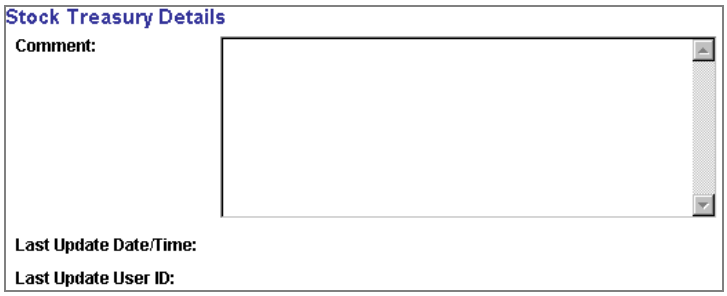
Shares Allocated Enter the number of shares allocated or withdrawn. You may add or subtract shares.

Approval Date Enter the date that the SEC approved the plan.

Details Click **Details** to access the Stock Treasury Details Page where you can add comments about the treasury allocation.

Stock Treasury Details Page

Usage	Use the Stock Treasury Details page to add comments about the treasury allocation.
Object Name	STOCK_TREASURY_SEC
Navigation	Click Details on the Stock Treasury Table setup page.



Stock Treasury Details page

The following element is common to multiple pages and is defined in the preface of this PeopleBook in PeopleBooks Standard Page Element Definitions: **Comment.**

Last Update Date/Time Displays the date and time of the last modification for this treasury ID record.

Last Update User ID Displays the employee ID number of the last person who created a change for this treasury ID record.

Stock Class Table

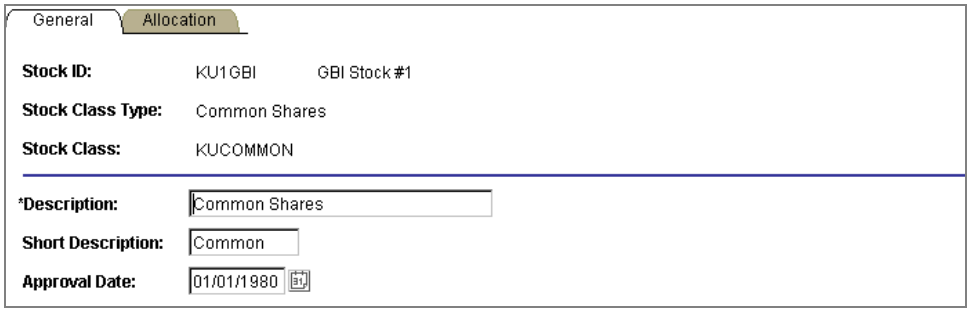
The Stock Class table enables you to store and track different classes of equity securities. You can set up one class of common shares, multiple classes of preferred shares, and multiple classes of warrants. Then you allocate shares from your stock treasury to your various stock classes. You establish attributes related to the class of stock and track allocations to each individual stock class.

The Stock Class Table - General setup page is where you define the general attributes of the stock class. The Stock Class Table - Allocation setup page is where you define the allocations to the stock class.

Stock Class Table - General Setup Page

Usage	Use the Stock Class Table - General setup page to set up different classes of equity securities and relate them to a stock ID.
Object Name	STOCK_CLASS1
Navigation	**Define Business Rules, Define Stock Administration, Setup, Stock Class Table, General**
Prerequisites	You must first define a stock ID on the Stock Table setup page and a stock treasury on the Stock Treasury Table component.

Access Requirements	Select a stock ID and a stock class type, and enter an ID to associate with a stock class.



Stock Class Table - General setup page

The following fields are common to multiple pages and are defined in the preface of this PeopleBook in PeopleBooks Standard Page Element Definitions: **Description** and **Short Description.**

Stock ID The system displays the stock ID.

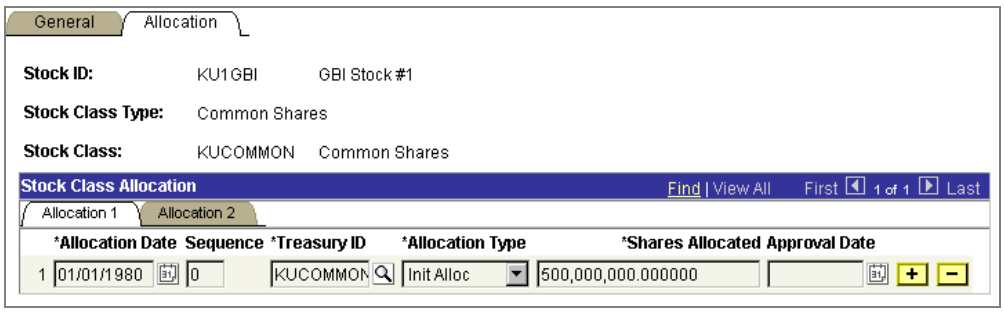
Stock Class Type The system displays the stock class type.

Stock Class The system displays the stock class.

Approval Date Enter the date that stock class was approved.

Stock Class Table - Allocation Setup Page

Usage	Use the Stock Class Table - Allocation setup page to track changes made to a specific stock class.
Object Name	STOCK_CLASS2
Navigation	**Define Business Rules, Define Stock Administration, Setup, Stock Class Table, Allocation**
Prerequisites	The Stock Class Table - Allocation page is the second page in the Stock Class Table component. You must first enter data on the previous page.
Access Requirements	Select a stock ID and a stock class type, and enter an ID to associate with a stock class.



Stock Class Table - Allocation: Allocation 1 setup page

The following fields are common to multiple pages and are defined in the preface of this PeopleBook in PeopleBooks Standard Page Element Definitions: **Description.**

Note. Multiple views of this page are available by clicking the tabs in the scroll area. We document fields common to all views first.

Common Page Information

Stock ID The system displays the stock ID.

Stock Class Type The system displays the stock class type.

Stock Class The system displays the stock class.

Allocation Date Enter the date that the shares are allocated to the stock class. The date determines when the information you enter becomes valid for the share balance. The allocation date must be greater than or equal to the stock class approval date and must be greater than or equal to the treasury allocation date for the treasury ID.

Allocation 1 Tab

See the exhibit above for a view of this tab.

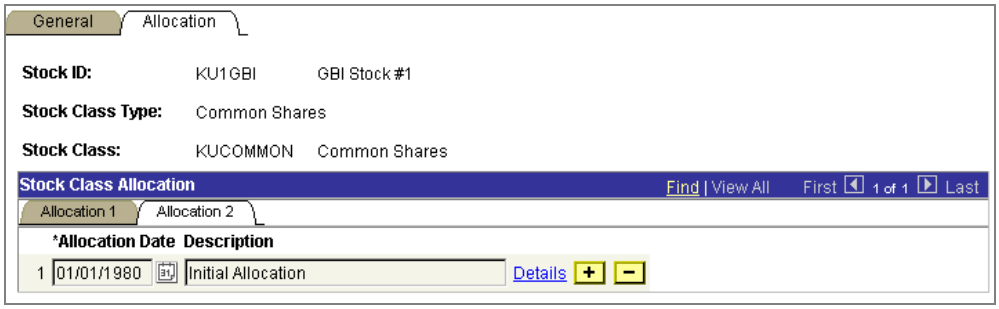
Sequence The system displays the sequence number.

Treasury ID Select the ID associated with the treasury from which shares are being allocated.

Allocation Type Select ***Adjustment, Board App*** (board approved), ***Init Alloc*** (initial allocation), ***Shldr App*** (shareholder approved), or ***Split*** (stock split).

Shares Allocated Enter the number of shares allocated or withdrawn. You may add or subtract shares.

Approval Date The system displays the approval date that you entered on the first page.

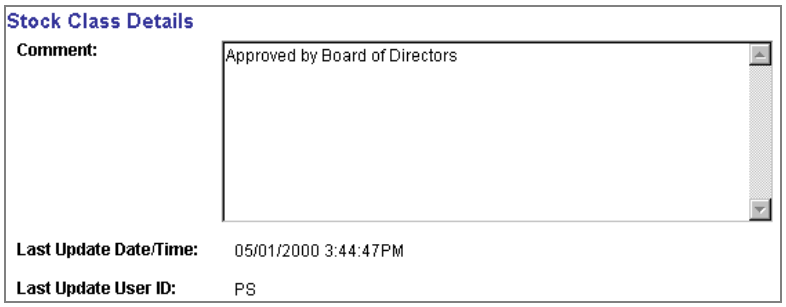


Stock Class Table - Allocation: Allocation 2 setup page

Details Click **Details** to display the Stock Class Table - Details page, where you can add a description and comments.

Stock Class Table - Details page

Usage	Use the Stock Class Table - Details page to add description and comments.
Object Name	STOCK_CLASS_DTL
Navigation	Click Details on the Stock Class Table - Allocation setup page.



Stock Class - Details page

The following element is common to multiple pages and is defined in the preface of this PeopleBook in PeopleBooks Standard Page Element Definitions: **Comment.**

Last Update Date/Time	The system displays the date and time of the last modification for this stock class record.
Last Update User ID	The system displays the employee ID number of the last person who created a change for this stock class record.

Stock Plan Table

Now you allocate stock from your treasury to individual stock plans with the Stock Plan table. You can create multiple plans for each stock plan types: stock option, stock purchase, and stock bonus.

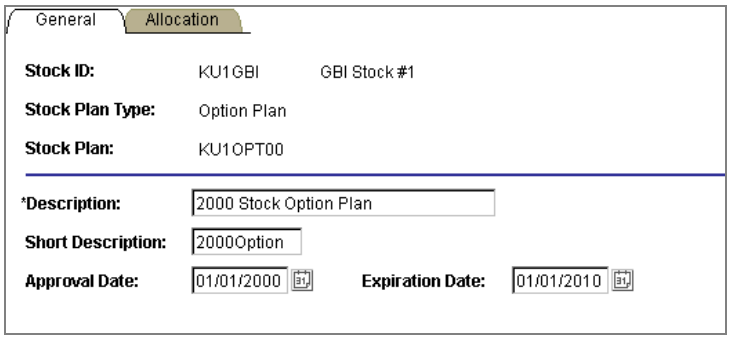
For stock purchase plans, the stock plan ID that you set up here should be the same as the benefit plan ID set up by your benefits administrator on the Benefit Plan table.

For more information about integrating with PeopleSoft Base Benefits, see Integrating With Other PeopleSoft HRMS Applications.

The Stock Plan Table - General setup page is where you define your stock plans and relate them to a stock ID. The Stock Plan Table - Allocation setup page is where you track changes made to a specific stock plan.

Stock Plan Table - General Setup Page

Usage	Use the Stock Plan Table - General setup page to define your various stock plans and relate them to a stock ID.
Object Name	STOCK_PLAN1
Navigation	**Define Business Rules, Define Stock Administration, Setup, Stock Plan Table, General**
Prerequisites	You must first define a stock ID on the Stock Table setup page and a stock treasury on the Stock Treasury Table setup component.
Access Requirements	Select a stock ID and a stock class type, and enter an ID to associate with a stock plan.



Stock Plan Table - General setup page

The following fields are common to multiple pages and are defined in the preface of this PeopleBook in PeopleBooks Standard Page Element Definitions: **Description** and **Short Description.**

Common Page Information

Stock ID The system displays the stock ID.

Stock Plan Type The system displays the stock plan type.

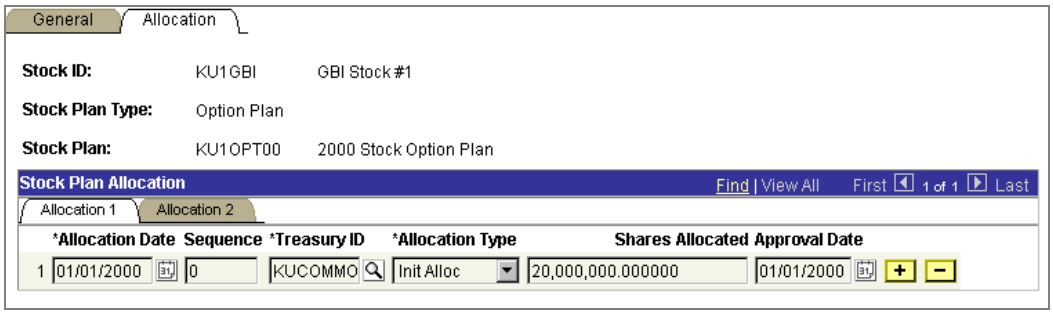
Stock Plan The system displays the stock plan.

Approval Date Enter the date that the Board of Directors or shareholders of your company approved the stock plan. The approval date on the Stock Plan table must be greater than or equal to the minimum effective date on the Stock Details component with an effective status of active.

Expiration Date Enter the date that the stock plan will expire and will no longer be active. This field is not available if the plan type is common or preferred. The expiration date on the Stock Plan table must be less than or equal to the effective date on the Stock Details component with an effective status of inactive.

Stock Plan Table - Allocation Setup Page

Usage	Use the Stock Plan Table - Allocation setup page to track changes made to a specific stock plan.
Object Name	STOCK_PLAN2
Navigation	**Define Business Rules, Define Stock Administration, Setup, Stock Plan Table, Allocation**
Prerequisites	The Stock Plan Table - Allocation page is the second page in the Stock Plan Table component. You must first enter data on the previous page.
Access Requirements	Select a stock ID and a stock class type, and enter an ID to associate with a stock plan.



Stock Plan Table - Allocation: Allocation 1 setup page

The following field is common to multiple pages and is defined in the preface of this PeopleBook in PeopleBooks Standard Page Element Definitions: **Description.**

Note. Multiple views of this page are available by clicking the tabs in the scroll area. We document fields common to all views first.

Common Page Information

Stock ID The system displays the stock ID.

Stock Plan Type The system displays the stock plan type.

Stock Plan The system displays the stock plan.

Allocation Date Enter the date that the shares are allocated to the stock plan. The date determines when the information that you enter becomes valid. The allocation date must be greater than or equal to the approval date and greater than or equal to the treasury allocation date for the treasury ID.

Allocation 1 Tab

See the exhibit above for a view of this tab.

Sequence The system displays the sequence number.

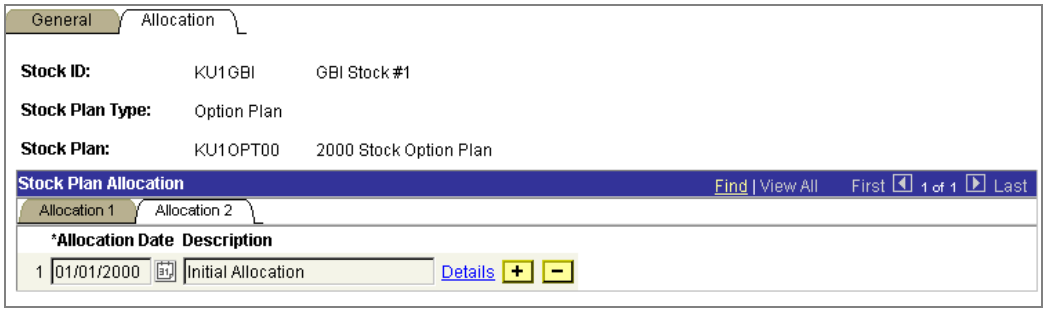
Treasury ID Select the identifier associated with the treasury from which shares are being allocated.

Allocation Type Select ***Adjustment, Board App*** (board approved), ***Init Alloc*** (initial allocation), ***Shldr App*** (shareholder approved), or ***Split*** (stock split).

Shares Allocated Enter the number of shares allocated or withdrawn. You may add or subtract shares. You may allocate more shares than are available in the treasury.

Approval Date The approval date that you entered on the Allocation 1 page is the default. You can change this.

Allocation 2 Tab

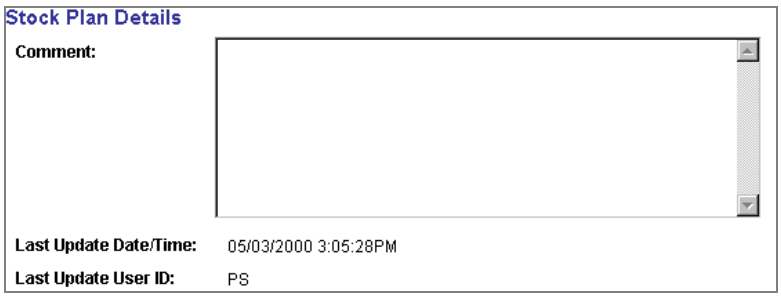


Stock Plan Table - Allocation: Allocation 2 setup page

Details Click **Details** to access the Stock Plan Details Page where you can add comments.

Stock Plan Details Page

Usage	Use the Stock Plan Details page to add a description and comments.
Object Name	STOCK_PLAN_DTL
Navigation	Click Details on the Stock Plan Table - Allocation setup page.



Stock Plan Details page

The following field is common to multiple pages and is defined in the preface of this PeopleBook in PeopleBooks Standard Page Element Definitions: **Comment.**

Last Update Date/Time The system displays the date and time of the last modification for this stock plan record.

Last Update User ID The system displays the employee ID number of the last person who created a change for this stock plan record.

CHAPTER 3

Managing Stock Administration

There are administrative activities common to both stock option and stock purchase programs. You have to track participant information, enter daily stock price information, and monitor your treasury and plan balances as transactions take place. Occasionally, you may also have to process a stock split. With PeopleSoft Stock Administration your common administrative tasks are grouped on easily accessible pages.

Before You Begin

Before you begin to actively manage your stock administration system, you should:

- Define your stock administration business rules and set up the common setup tables. For more information about setting up the common setup tables, see Defining Stock Administration Business Rules.
- Review your application integration decisions. For more information about PeopleSoft Stock Administration's integration with other PeopleSoft Human Resource Management System (HRMS) applications, see Integrating With Other PeopleSoft HRMS Applications.

Administering Participant Information

With PeopleSoft Stock Administration's tight integration with PeopleSoft Human Resources you can quickly access human resources participant information that is needed to administer your stock plans. Without leaving the stock administration application, you can enter issuance instructions and specify insiders, and view job, employment, and payroll data.

The Issuance Instructions page is where you enter the default issuance instructions to use when a stock plan participant has a stock transaction that requires direction on how to issue the shares. Some individuals want a broker to hold the stock, others want the certificates mailed to them, and some want them sent to a third party, such as an attorney. PeopleSoft Stock Administration enables you to easily accommodate varying issuance instructions. If a participant doesn't establish issuance instructions, the system issues a certificate. The mailing address is the default address. If the participant doesn't have a mailing address, the certificate is mailed to the home address. You can override the default issuance instructions at the transaction level.

The Insider Data page is where you specify which individuals are considered insiders, beneficial owners, officers, directors, and others that should be included in proxy reporting. The individuals set up here further define who is subject to the blackout periods identified on the Stock Blackout setup page.

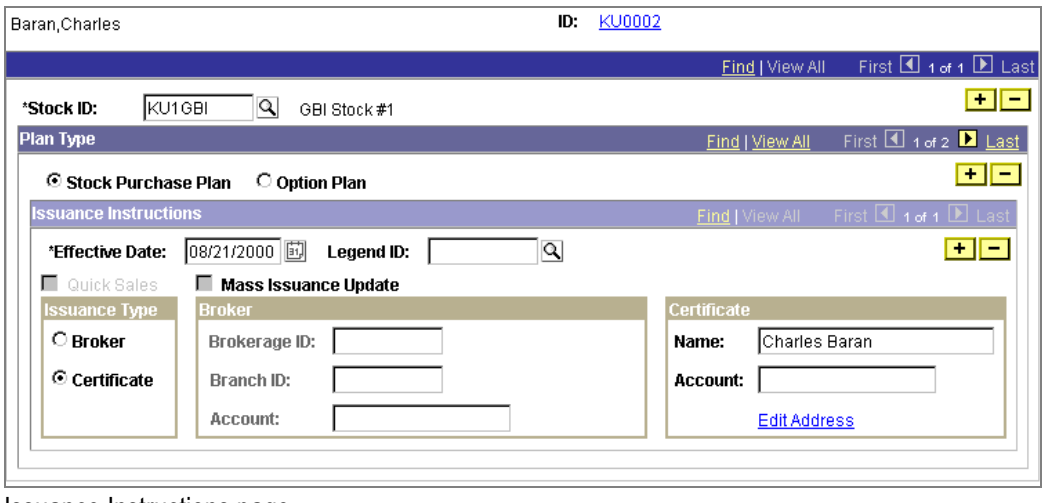
The Personal Profile page enables you to view selected information from PeopleSoft Human Resources. You can view relevant job, employment, payroll, and stock purchase enrollment information using stock administration pages. If you have a question about the displayed human resources information, contact your human resources administrator.

For more information on integration with other PeopleSoft applications, see Integrating With Other PeopleSoft HRMS Applications.

The Mass Issuance Update process page enables you to update issuance information for groups of participants For example, if your company changes captive brokers, say from Smith Barney to Alex Brown, you can change the broker designations all at once for all the participants.

Issuance Instructions Page

Usage	Use the Issuance Instructions page to enter or modify issuance and registration instructions for individual participants.
Object Name	ST_ISSUANCE
Navigation	**Compensate Employees, Administer Stock, Use, Issuance Instructions, Issuance Instructions**
Prerequisites	Enroll participants in stock plans.
Access Requirements	Select an EmplID (employee identification).



Issuance Instructions page

The following fields are common to multiple pages and are defined in the preface of this PeopleBook in PeopleBooks Standard Page Element Definitions: **Effective Date.**

The system displays the employee's name.

ID Click the ID number to access the Employee Information Page, where you can view employee information.

Stock ID Select a stock ID from the available options.

Plan Type Select ***Option Plan*** or ***Stock Purchase Plan.*** If the participant is enrolled in both plan types, you can toggle back and forth to view the information for each plan type.

Legend ID If ***Certificate*** is selected in the **Issuance Type** field, this field becomes available. Select a legend ID from the available options. The legend ID is set up on the Stock Legend Table setup page.

Quick Sales If ***Stock Purchase Plan*** is selected in the **Plan Type** field, this check box becomes available. Select this check box if the participant volunteers to participate in the Quick Sale program. This field is for information only.

Mass Issuance Update This check box is selected if the issuance instructions were created by a mass issuance update.

Issuance Type Select ***Broker*** or ***Certificate*** to indicate where to send the shares. If ***Broker*** is selected, the stock is sent to a broker and the fields in the **Broker** group box become available. If ***Certificate*** is selected, the stock certificate is sent to an address designated by the participant and the fields in the **Certificate** group box become available.

Broker

If you selected ***Broker*** in the **Issuance Type** field, these fields become available.

Brokerage ID Select a brokerage ID from the available options. The drop-down list box displays only brokerage firms that are approved for the stock ID selected.

Branch ID Select a branch ID from the available options. Only branches associated with the broker ID are displayed.

Account Enter the participant's brokerage account number. The field holds up to 17 alphanumeric characters.

Certificate

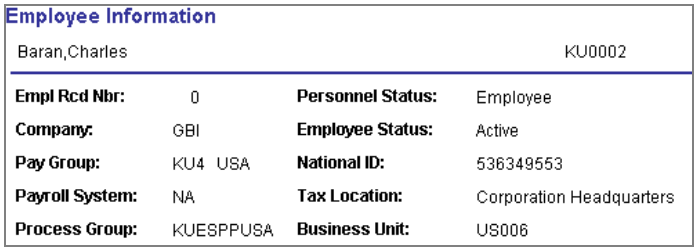
If you selected ***Certificate*** in the **Issuance Type** field, these fields become available.

Account Enter the participant's transfer agent account number. The field holds up to 17 alphanumeric characters.

Edit Address Click **Edit Address** to access the Issuance Instructions - Address Page where you can indicate the address to which the stock certificate should be mailed.

Employee Information Page

Usage	Use the Employee Information page to view participant information. The information is current as of today's date.
Object Name	ST_EMPL2_SEC
Navigation	Click the employee ID number on one of numerous pages in the PeopleSoft Stock Administration application.



Employee Information Page

The following elements are common to multiple pages in this application and are defined in the preface of this PeopleBook in PeopleBooks Standard Page Element Definitions: **Empl Rcd Nbr** (employee record number) and **Company.**

The system displays the employee's name and ID number.

Pay Group The system displays the pay group.

Payroll System The system displays the payroll system.

Process Group The system displays the process group.

Personnel Status The system displays the personnel status.

Employee Status The system displays the employee status.

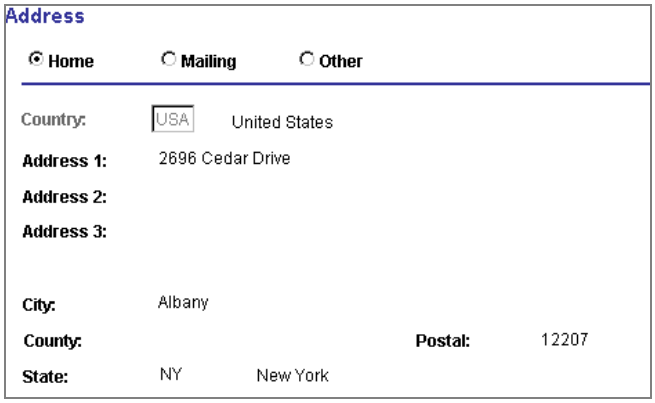
National ID The system displays the national ID.

Tax Location The system displays the tax location.

Business Unit The system displays the business unit.

Issuance Instructions - Address Page

Usage	Use the Issuance Instructions - Address page to indicate the address to which the stock certificate should be mailed.
Object Name	ST_ISSU_ADDRESS_SEC
Navigation	Click Edit Address on the Issuance Instructions page.



Issuance Instructions - Address page

The following fields are common to multiple pages and are defined in the preface of this PeopleBook in PeopleBooks Standard Page Element Definitions: **Country, Address 1, Address 2, Address 3, City, County, Postal,** and **State.**

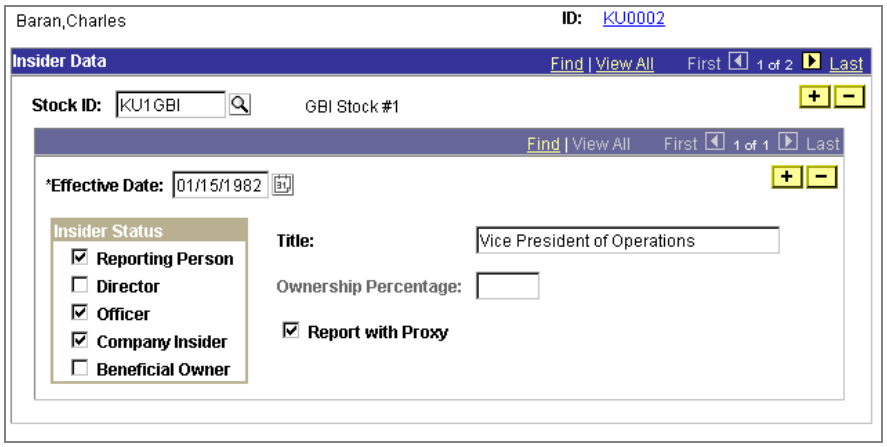
Home Select **Home** if you want to mail the stock certificate to the home address in PeopleSoft Human Resources. The home address is the default when you enter the page.

Mailing Select **Mailing** if you want to mail the stock certificate to the mailing address in PeopleSoft Human Resources.

Other Select **Other** if you want to instruct the transfer agent to mail the stock certificate to a different address. For example, say the participant wants the certificates mailed to an attorney. You can use the three address fields to enter the name of the attorney or other contact in Address 1, the name of the firm in Address 2, and the street address of the firm in Address 3.

Insider Data Page

Usage	Use the Insider Data page to designate individuals subject to SEC Section 16 reporting requirements and Regulation S-K proxy requirements.
Object Name	ST_INSIDER_TBL
Navigation	**Compensate Employees, Administer Stock, Use, Insiders, Insiders**
Prerequisites	None
Access Requirements	Select an EmplID.



Insider Data page

The following field is common to multiple pages and is defined in the preface of this PeopleBook in PeopleBooks Standard Page Element Definitions: **Effective Date.**

ID Click the ID number to access the Employee Information Page, where you can view employee information.

Stock ID Select a stock ID from the available options.

Insider Status

Select the insider identity type for an individual. At least one type must be selected. As an individual may assume more than one role as an insider, you may make any number of selections for an individual. If you select reporting person, officer, or director, the system also selects company insider. If an individual is no longer an insider, add a new effective-dated row and leave all the check boxes unselected.

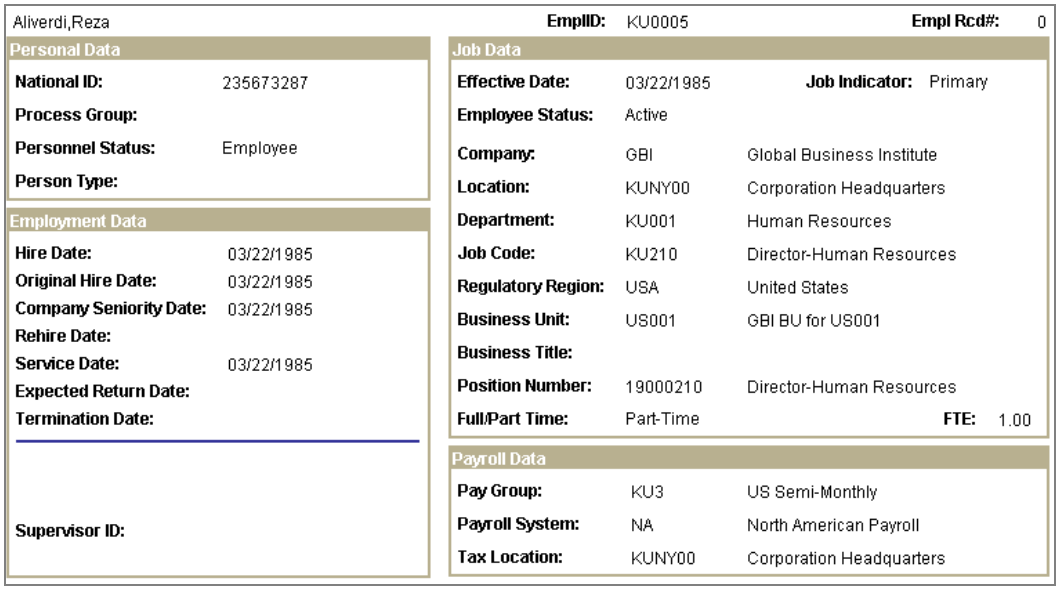
Reporting Person Select this option if the person is a reporting person.

Director	Select this option if the person is on the Board of Directors.
Officer	Select this option if the person is an officer.
Company Insider	Select this option if the person is a company insider.
Beneficial Owner	Select this option if the person is a beneficial owner.
Title	The system defaults the business title stored in the HR Job table. If there is more than one job for an individual, the primary job defaults. The system uses the lowest active record number if there is no primary job flagged. You can enter a different title if you like.
Ownership Percentage	If you selected an insider type of **Beneficial Owner**, this field becomes available. Enter the percentage of beneficial ownership by the individual. The percentage serves to check the stock purchase participation requirements (eliminating individuals with greater than 5% beneficial ownership), and check for the ISO 10% Shareholder FMV Rule and the ISO 10% Shareholder Option Life Rule. You must enter a number, as it is not derived from the system.
Report with Proxy	Select this check box if the individual is the chief executive officer (CEO), one of the five most highly paid executive officers of the company, or meets other proxy criteria. This field is used to sort and filter different reports.

Personal Profile Page

Usage	Use the Personal Profile page to view PeopleSoft Human Resources information.
Object Name	ST_PER_PROFILE
Navigation	**Compensate Employees, Administer Stock, Inquire, Personal Profile**
Prerequisites	You must first set up your participants in PeopleSoft Human Resources and enroll stock purchase participants in benefits plans. For more information about setting up participants, see Administering Your Workforce, “Overview of the Hiring Process”.

	For more information about enrolling participants in benefit plans, see PeopleSoft 8 Base Benefits, "Enrolling Participants" and PeopleSoft 8 Base Benefits, "Setting Up Dependent and Beneficiary Information".
Access Requirements	Select an EmplID.



Personal Profile page

The following fields are common to multiple pages and are defined in the preface of this PeopleBook in PeopleBooks Standard Page Element Definitions: **EmplID** (employee identification)**, Empl Rcd#** (employee record number)**, National ID, Effective Date,** and **Company.**

Personal Data

Process Group The system displays the process group.

Personnel Status The system displays the personnel status.

Person Type The system displays the person type.

Employment Data

Hire Date The system displays the latest hire date.

Original Hire Date The system displays the participant's original hire date.

Company Seniority Date The system displays the date used to determine company seniority.

Rehire Date The system displays the date that the participant was rehired. This only displays if the participant was terminated.

Service Date The system displays the date that the participant's service with the company started.

Expected Return Date The system displays the expected return from leave date. This only displays if the participant is on leave.

Termination Date The system displays the date that the participant was terminated. This only displays if the participant was terminated. When the participant is rehired, the date does not display.

Reports To If the participant reports to a position, this field displays. The system displays the name and ID of the position that the participant reports to along with the name and ID of the person occupying the position.

Supervisor ID If the participant reports to a supervisor, this field displays. The system displays the supervisor's name and ID.

Job Data

Job Indicator The system displays whether the job is a primary job or not.

Employee Status The system displays the employee status.

Location The system displays the participant's work location.

Department The system displays the department to which the participant reports.

Job Code The system displays the job code of the participant's primary job.

Regulatory Region The system displays the regulatory region.

Business Unit The system displays the business unit from the participant's job data.

Business Title The system displays the business title.

Position Number The system displays the position number.

Full/Part Time The system displays the Full or Part Time indicator.

FTE The system displays the FTE status.

Payroll Data

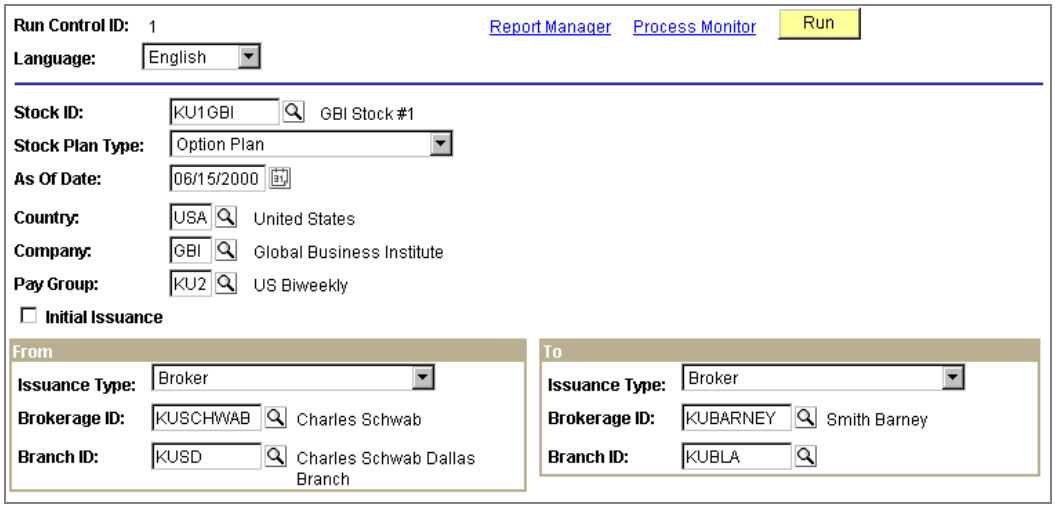
Pay Group The system displays the pay group from which the participant's pay is processed.

Payroll System The system displays the payroll system used to process the participant's payroll.

Tax Location The system displays the participant's tax location.

Mass Issuance Update Process Page

Usage	Use the Mass Issuance Update process page to change the brokerage choice for a group of participants.
Object Name	ST_RUNCTL_ISUUPD
Navigation	**Compensate Employees, Administer Stock, Process, Mass Issuance Update, Mass Issuance Update**
Prerequisites	You must first set up the stock ID and brokerage branch.
Access Requirements	Enter a run control ID.



Mass Issuance Update process page.

The following fields are common to multiple pages and are defined in the preface of this PeopleBook in PeopleBooks Standard Page Element Definitions: **Run Control ID, Language, Country,** and **Company.**

Stock ID Select a stock ID from available options.

Stock Plan Type Select ***Stock Purchase, Option,*** or ***Bonus.***

As Of Date Enter the date that you want the mass issuance to be effective. The system generates an error message if the date entered already exists in the issuance instructions for a participant or the participant has an effective-dated row greater than the as of date.

Pay Group Select a pay group from the available choices if you want to update just the participants' pay group.

Initial Issuance Select this check box during implementation to generate the initial issuance instructions. The system only generates instructions for participants who don't have specific issuance instructions for the identified stock.

From

If this is an initial issuance, these fields are not available and ***None*** is selected as an issuance type.

Issuance Type Select the issuance type that you want to change from. Select ***Broker, Certificate,*** or ***None.***

Brokerage ID If you selected the ***Broker*** issuance type, this field becomes available. Select a brokerage ID from the available options.

Branch ID If you selected the ***Broker*** issuance type, this field becomes available. Select a branch ID from the available options.

To

Issuance Type Select the issuance type that you want to change to. Select ***Broker, Certificate,*** or ***None.***

Brokerage ID If you selected the ***Broker*** issuance type, this field becomes available. Select a brokerage ID from the available options.

Branch ID If you selected the ***Broker*** issuance type, this field becomes available. Select a branch ID from the available options.

Report Manager Click **Report Manager** to access the Report List page, where you can view report content, check the status of a report, and see content detail messages, which show you a description of the report and the distribution list.

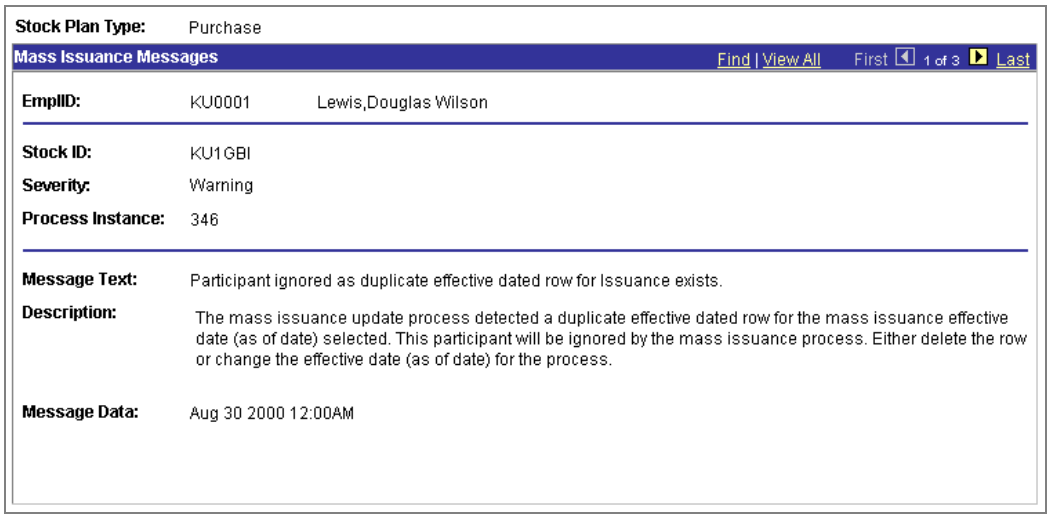
Process Monitor Click **Process Monitor** to access the Process List page, where you can view the status of submitted process requests.

Run Click **Run** to access the Process Scheduler request page, where you can specify where a process or job runs and the process output format.

For more information about the Report List page, the Process List page, and the Process Scheduler, see PeopleSoft Payroll PeopleBooks.

Mass Issuance Messages Inquiry Page

Usage	Use the Mass Issuance Messages inquiry page to view mass issuance update processing messages.
Object Name	ST_ISSU_MESSAGE
Navigation	**Compensate Employees, Administer Stock, Inquire, Mass Issuance Messages**
Prerequisites	You must first run the Mass Issuance Update process.
Access Requirements	Select a stock plan type.



Mass Issuance Messages inquiry page

The following fields are common to multiple pages and are defined in the preface of this PeopleBook in PeopleBooks Standard Page Element Definitions: **EmplID** and **Description.**

Stock Plan Type The system displays the stock plan type.

Stock ID The system displays the stock ID.

Severity The system displays the type of message produced. Valid values are ***Error, Warning,*** and ***Message.***

Process Instance The system displays the process instance.

Message Text The system displays the text of the message.

Message Data The system displays the field values associated with the message. Up to four fields can display.

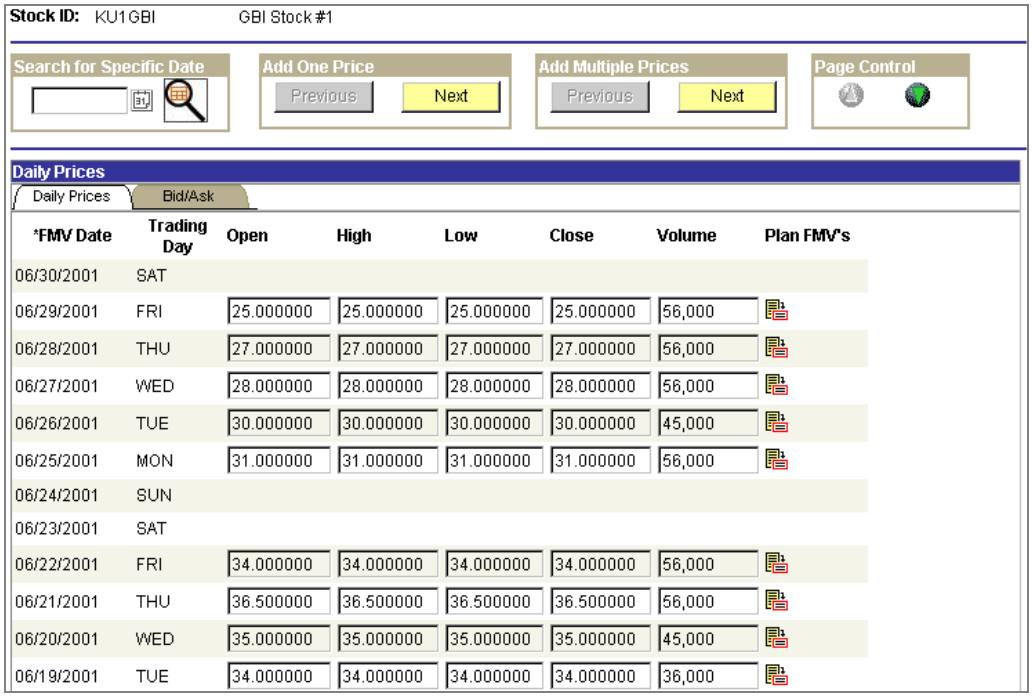
Specifying Daily Prices

All companies, either public or private, must establish a fair market value (FMV) for their common stock. The various prices reported daily by the stock exchanges are indications of that value. Each company decides the price, or combination of prices, to use in calculating the FMV for the various stock transactions.

The Daily Prices Tracking page is where you enter the various daily prices tracked for a specific stock ID.

Daily Prices Tracking Page

Usage	Use the Daily Prices Tracking page to enter the various daily prices tracked for a specific stock ID.
Object Name	ST_DAILY_PRICES
Navigation	**Compensate Employees, Administer Stock, Use, Daily Prices Tracking, Daily Prices Table**
Prerequisites	You must first define: • Stock ID on the Stock Table setup page. • FMV methods on the FMV Method Table setup page. • FMV method on the Stock Details - Common Rules setup page. If the stock plan FMV differs from the defaults defined on the Stock Details - Common Rules setup page, you must further define the stock plan FMV on the Stock Option Plan Rules setup component for option plans and Stock Purchase Plan Rules setup component for stock purchase plans.
Access Requirements	Select a stock ID.



Daily Prices Tracking: Daily Prices page

Note. Multiple views of this page are available by clicking the tabs in the scroll area. We document fields common to all views first.

Common Page Information

Stock ID The system displays the stock ID.

Search for Specific Date

To find a specific date within the table, enter the date and click the **Search for Specific Date** button.

Add One Price Click **Next** to enter a daily price for the next trading day. Click **Previous** to enter a daily price for the day prior to the first day you entered a daily price. If the next or prior trading day spans a weekend or holiday, the system automatically enters those rows.

Add Multiple Prices Click **Next** to skip to a future date, enter FMV data for that date, and have the same price populate all the prior dates until a date already entered is reached. Click **Previous** to skip to the day prior to the first date you entered a daily price, enter FMV data for that date and have the same price populate all the previous dates. This is useful for private companies that want to enter the same price for a range of dates.

Page Control

Use the up and down arrows to scroll through the daily price rows.

FMV Date The system displays the date of the FMVs in the row.

Trading Day The system displays the day of the week. If the day is a non-trading day such as a holiday, Saturday, or Sunday, there is no data for that day.

Daily Prices Tab

See the exhibit above for a view of this tab.

Open Enter the open price for the day.

High Enter the high price for the day.

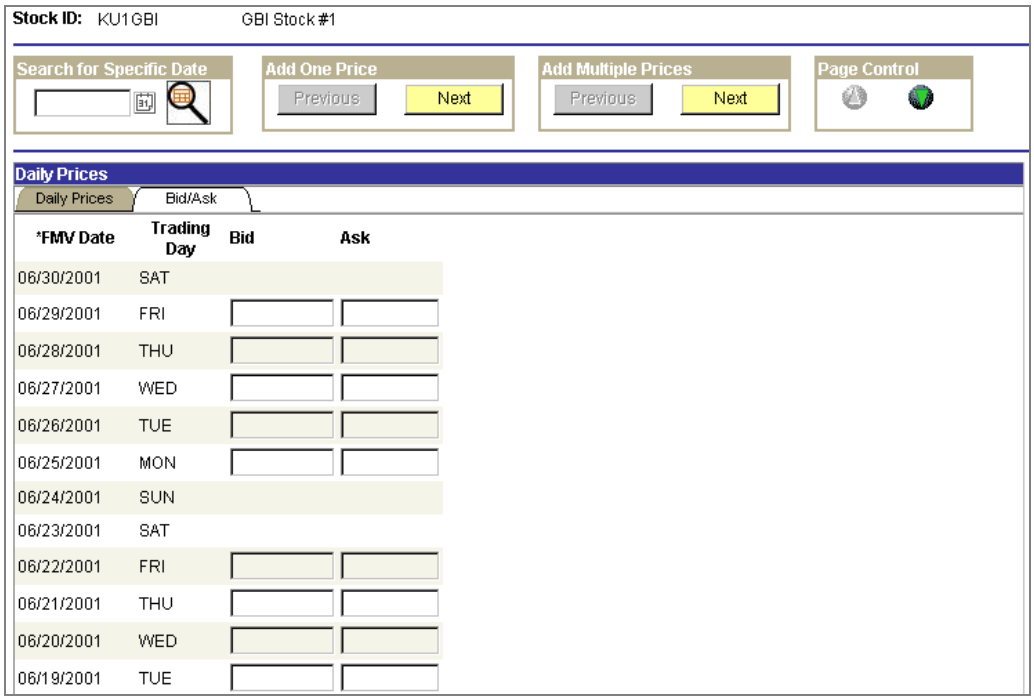
Low Enter the low price for the day.

Close Enter the close price for the day.

Volume Enter the volume of shares traded on the exchange for this trading day. This is for informational purposes only.

Plan FMVs Click the fair market value button access the Plan FMVs Page where you can specify a stock plan and view the various FMV methods for the stock plan.

Bid/Ask Tab



Daily Prices Tracking: Bid/Ask page

Bid Enter the bid price for the day.

Ask Enter the ask price for the day.

Plan FMVs Page

Usage	Use the Plan FMV page to view the FMV prices for the day selected.
Object Name	ST_DAILY_PLNPRC
Navigation	Click the Fair Market Value button on the Daily Prices Tracking page

Plan FMVs page

Stock ID The system displays the stock ID.

Plan Type Select **Option Plan** or **Stock Purchase Plan.**

FMV Date The system displays the FMV date selected from the primary page.

Stock Plan Select the stock plan from the available options.

(calculate) Click the calculate FMV prices button to display the price indicators and plan FMVs for the FMV day.

Price Indicators

Bid Price The system displays the bid price for the day.

Ask Price The system displays the ask price for the day.

Open Price The system displays the open price for the day.

Close Price The system displays the close price for the day.

Low Price The system displays the low price for the day.

High Price The system displays the high price for the day.

Stock Volume The system displays the stock volume for the day.

Plan FMVs

The system displays only the FMVs that relate to the stock plan and the date selected.

Company FMV The system displays the FMV based on the FMV date and the rules defined on the Stock Details - Common Rules page.

Grant FMV	The system displays the FMV based on the FMV date and the rules defined on the Stock Option Plan Rules - FMV Rules page.
Exercise FMV	The system displays the FMV based on the FMV date and the rules defined on the Stock Option Plan Rules - FMV Rules page.
Swap/Trade FMV	The system displays the FMV based on the FMV date and the rules defined on the Stock Option Plan Rules - FMV Rules page.
Release FMV	The system displays the FMV based on the FMV date and the rules defined on the Stock Option Plan Rules - FMV Rules page.
Repurchase FMV	The system displays the FMV based on the FMV date and the rules defined on the Stock Option Plan Rules - FMV Rules page.
Offer FMV	The system displays the FMV based on the FMV date and the rules defined on the Stock Purchase Plan Rules - FMV Rules page.
Stock Purchase FMV	The system displays the FMV based on the FMV date and the rules defined on the Stock Purchase Plan Rules - FMV Rules page.

Calculating Stock Balances

As a stock administrator, you must have accurate records of the number of shares that are allocated to your treasury, stock classes, and stock plans. The intricate balance tracking and share allocation functionality of PeopleSoft Stock Administration captures online transactions and batch processes and provides reports that you can use for financial disclosure, auditing, and regulatory reporting. By entering an “As of Date” on the share balance inquiry pages and selecting the calculator button, you can see the share balances as of the date that you entered.

Once you set up your balance tables, the share accounting is derived real-time off the options and stock purchase transaction tables. This enables you to define effective-dated rules for the return of shares to the treasury or stock plans for transactions such as cancellations, expirations, repurchases, swaps, trades, and SAR exercises.

In this section we’ll describe the high-level, comprehensive share balance and allocation processing that runs throughout PeopleSoft Stock Administration, and provide details for each of the stock balance processes.

Treasury pool and stock plan funding follow a typical allocation process with each action altering pool and plan balances. A typical allocation flow is:

1. **Fund Treasury:** A company files an initial registration statement with a regulatory agency, such as the SEC, that lists the number and type of shares allocated to the treasury. Later on, a company may increase the number of shares allocated by filing appropriate documents with the SEC to create a new treasury pool or increase the allocation levels of the current pool.

2. **Create Class Pools:** Different pools can be created for different types of shares. For example, you may create one class pool for common shares outstanding prior to implementation and another class pool for preferred shares outstanding. The common share pool for a stock ID increases and decreases depending upon stock transactions such as exercises, purchases, swaps, trades, and repurchases.

3. **Fund Stock Plans:** The Board of Directors or the shareholders approves allocating shares to a stock plan from a designated treasury pool. If you use variable compensation, you can allocate shares from your stock option plan to be used by your variable compensation plan. The variable compensation allocation doesn't affect the plan balance.

For more information about stock variable compensation plans, see ZAdministering Variable Compensation Grants.

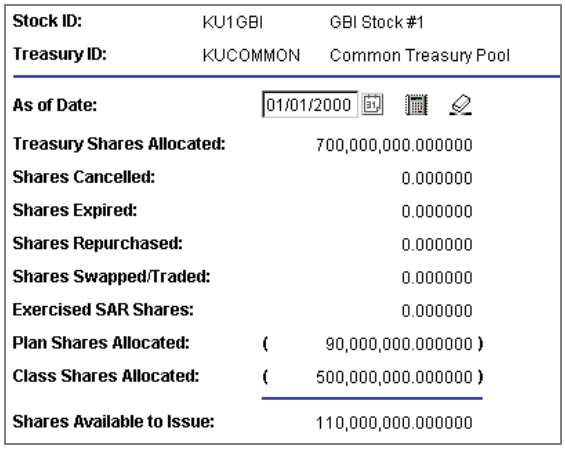
1. **Process Stock Plan Transactions:** After the stock plan allocation, daily transactions affect plan balances. Stock option plan transactions include grants, exercises, cancellations, expirations, repurchases, sales, and releases. Stock purchase plan transactions include purchases and sales.

2. **Monitor Treasury and Stock Plan Balances:** All these stock plan transactions may affect the treasury pool and stock plan balances, and may affect common shares outstanding. The system needs to accurately record the effects of these transactions and to update share balances.

Stock Treasury Balance Inquiry Page

Usage	Use the Stock Treasury Balance inquiry page to calculate treasury shares available to issue based on a specific date.
Object Name	ST_TREASURY_BAL
Navigation	• **Compensate Employees, Administer Stock, Inquire, Stock Treasury Balance, Treasury Balance** • **Compensate Employees, Administer Stock Options, Inquire, Stock Treasury Balance, Treasury Balance** • **Compensate Employees, Administer Stock Purchases, Inquire, Stock Treasury Balance, Treasury Balance**
Prerequisites	You must first allocate shares on the Stock Treasury Table - General setup page.
Access	Select a stock ID and treasury ID.

Requirements	



Stock Treasury Balance inquiry page

Stock ID The system displays the stock ID.

Treasury ID The system displays the treasury ID.

As of Date Enter the date that you want to use to calculate your treasury balance. Today's date is the default if you don't enter a date.

(calculate) Click the calculate balance button to run the ST_TRSR_BAL process. The system generates balances based on the as of date entered. If no as of date is entered, the default is today's date.

(clear) Click the clear balance button to clear the share balance values for the page.

Treasury Shares Allocated The system displays the amount of shares allocated to the treasury for all allocations.

Shares Cancelled The system displays the amount of shares cancelled from an active stock option grant that are returned to the treasury. The Cancel Shares Method must be set to Return to Treasury on the Stock Option Plan Rules - Shares page for shares to be allocated back to the treasury.

Shares Expired The system displays the amount of shares expired from an active stock option grant that are returned to the treasury. The Expired Shares Method must be set to Return to Treasury on the Stock Option Plan Rules - Shares page for shares to be allocated back into the treasury.

Shares Repurchased The system displays the amount of shares repurchased that are returned to the treasury where the repurchase is active. The Repurchase Shares Method must be set to Return to Treasury on the Stock Option Plan Rules - Shares page for shares to be allocated back to the treasury.

Shares Swapped/Traded The system displays the amount of shares swapped or traded for exercises that are returned to the treasury. The amount of shares traded for release is also added to the Shares Swapped/Traded balance. The Shares Swapped Method must be set to Return to Treasury on the Stock Option Plan Rules - Shares page for shares to be allocated back to the treasury.

Exercised SAR Shares The system displays the amount of exercised SAR shares that are returned to the treasury. The Exercise SAR Shares Method must be set to Return to Treasury on the Stock Option Plan Rules - Shares page for shares to be allocated back to the treasury.

Plan Shares Allocated The system displays the amount of plan shares allocated that decrease the treasury balance.

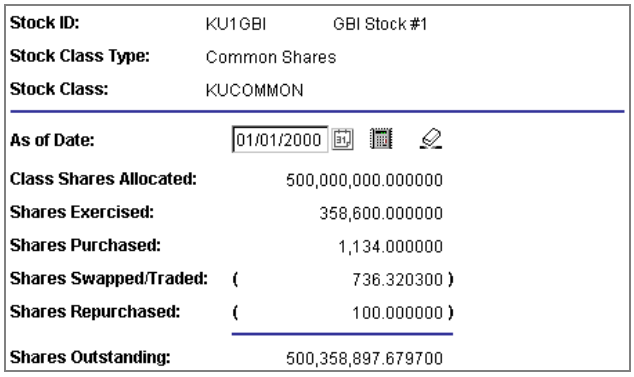
Class Shares Allocated The system displays the amount of class shares allocated that decrease the treasury balance.

Shares Available to Issue The system displays the sum of the Treasury Shares Allocated, Shares Cancelled, Shares Expired, Shares Repurchased, Shares Swapped/Traded, and Exercised SAR Shares, less the Plan and Class Shares Allocated.

Stock Class Balance Inquiry Page

Usage	Use the Stock Class Balance inquiry page to calculate class shares outstanding based on a specific date.
Object Name	STOCK_CLASS_BAL
Navigation	• **Compensate Employees, Administer Stock, Inquire, Stock Class Balance, Class Balance** • **Compensate Employees, Administer Stock Options, Inquire, Stock Class Balance, Class Balance** • **Compensate Employees, Administer Stock Purchases, Inquire, Stock Class Balance, Class Balance**
Prerequisites	You must first allocate shares on the Stock Class Table setup page.
Access	Select a stock ID, stock class type, and stock class ID.

Requirements	



Stock Class Balance inquiry page

Stock ID The system displays the stock ID.

Stock Class Type The system displays the stock class type.

Stock Class The system displays the stock class.

As of Date Enter the date that you want to use to calculate your class balance. Today's date is the default.

(calculate) Click the calculate balance button to run the ST_CLASS_BAL process. The system generates balances based on the as of date entered. If no as of date is entered, the default is today's date.

(clear) Click the clear balance button to clear the share balance values for the page.

Class Shares Allocated The system displays the amount of class shares allocated.

Shares Exercised The system displays the amount of shares from active option exercises. This does not include SAR exercises.

Shares Purchased The system displays the amount of shares issued from confirmed stock purchases.

Shares Swapped/Traded The system displays the amount of shares swapped or traded from active option exercises. The amount of shares traded for release is also added to the shares swapped.

Shares Repurchased The system displays the amount of shares repurchased.

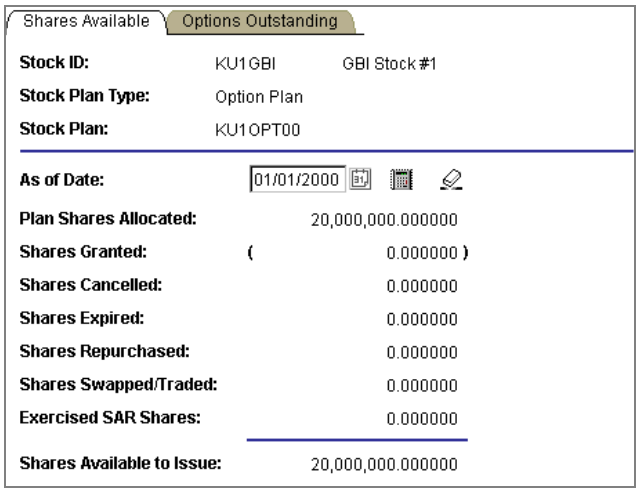
Shares Outstanding The system displays the sum of Class Shares Allocated, Shares Exercised, and Shares Purchased, less the Shares Swapped and Shares Repurchased.

Stock Option Balance

You'll use the Shares Available and Options Outstanding inquiry pages to view your stock option plan share balances.

Stock Option Balance - Shares Available Inquiry Page

Usage	Use the Stock Option Balance - Shares Available inquiry page to calculate the stock option shares available to issue based on an as of date.
Object Name	STOCK_PLAN_BAL1
Navigation	• **Compensate Employees, Administer Stock, Inquire, Stock Option Balance, Shares Available** • **Compensate Employees, Administer Stock Options, Inquire, Stock Option Plan Balance, Shares Available**
Prerequisites	You must first define a stock ID on the Stock Table setup page and allocate shares to a stock option plan on the Stock Plan Table setup page.
Access Requirements	Select a stock ID and a stock plan.



Stock Option Balance - Shares Available inquiry page

Stock ID The system displays the stock ID.

Stock Plan Type The system displays the stock plan type of option.

Stock Plan The system displays the stock plan.

As of Date Enter the date that you want to use to calculate your stock option plan balance. Today's date is the default.

(calculate) Click the calculate balance button to run the ST_OPTN_BAL process. The system generates balances based on the as of date entered. If no as of date is entered, the default is today's date.

(clear) Click the clear balance button to clear the share balance values for the page.

Plan Shares Allocated The system displays the amount of plan shares allocated.

Shares Granted The system displays the amount of shares granted from the stock plan where the grant is active.

Shares Cancelled The system displays the amount of shares cancelled from an active stock option grant that are returned to the plan. The Cancel Shares Method must be set to Return to Plan on the Stock Option Plan Rules - Shares page for shares to be allocated back to the plan.

Shares Expired The system displays the amount of shares expired from an active stock option grant that are returned to the plan. The Expired Shares Method must be set to Return to Plan on the Stock Option Plan Rules - Shares page for shares to be allocated back into the plan.

Shares Repurchased The system displays the amount of shares repurchased that are returned to the plan where the repurchase is active. The Repurchase Shares Method must be set to Return to Plan on the Stock Option Plan Rules - Shares page for shares to be allocated back to the plan.

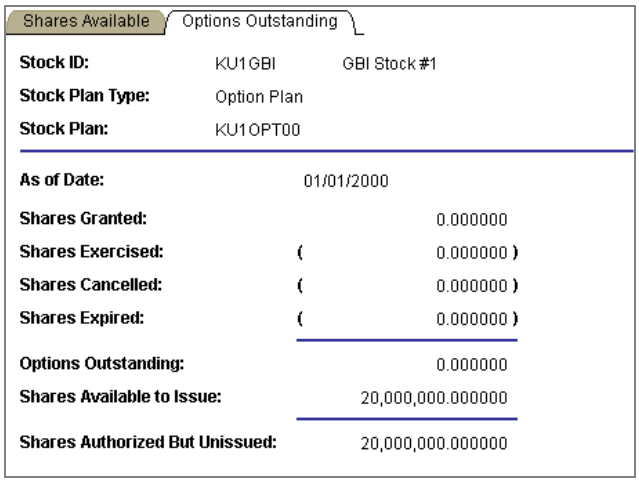
Shares Swapped/Traded The system displays the amount of shares swapped or traded for exercises that are returned to the plan. The amount of shares traded for release is also added to the shares swapped balance. The Shares Swapped Method must be set to Return to Plan on the Stock Option Plan Rules - Shares page for shares to be allocated back to the plan.

Exercised SAR Shares The system displays the amount of exercised SAR shares that are returned to the plan where the Share Payment Method is equal to SAR Exercise. The Exercise SAR Shares Method must be set to Return to Plan on the Stock Option Plan Rules - Shares page for shares to be allocated back to the plan.

Shares Available to Issue The system displays the sum of the Plan Shares Allocated, Shares Cancelled, Shares Expired, Shares Repurchased, Shares Swapped, and Exercised SAR Shares, less the Shares Granted.

Stock Option Balance - Options Outstanding Inquiry Page

Usage	Use the Stock Option Balance - Shares Available inquiry page to calculate the Stock Option shares available to issue, options outstanding, and shares authorized but unissued based on an as of date.
Object Name	STOCK_PLAN_BAL2
Navigation	• **Compensate Employees, Administer Stock, Inquire, Stock Option Balance, Options Outstanding** • **Compensate Employees, Administer Stock Options, Inquire, Stock Option Plan Balance, Options Outstanding**
Prerequisites	The Stock Option Balance - Shares Available inquiry page is the second page in the Stock Option Balance component. You must first enter data on the previous page.
Access Requirements	Select a stock ID and a stock plan.



Stock Option Balance - Options Outstanding inquiry page

Stock ID The system displays the stock ID.

Stock Plan Type The system displays the stock plan type of option.

Stock Plan The system displays the stock plan.

As of Date The system displays the as of date.

Shares Granted The system displays the amount of shares granted from the stock plan where the grant is active.

Shares Exercised The system displays the amount of shares from active option exercises. This does not include SAR exercises.

Shares Cancelled The system displays the amount of shares cancelled from an active stock option grant that are returned to the plan. The Cancel Shares Method must be set to Return to Plan on the Stock Option Plan Rules - Shares page for shares to be allocated back to the plan.

Shares Expired The system displays the amount of shares expired from an active stock option grant that is returned to the plan. The Expired Shares Method must be set to Return to Plan on the Stock Option Plan Rules - Shares page for shares to be allocated back into the plan.

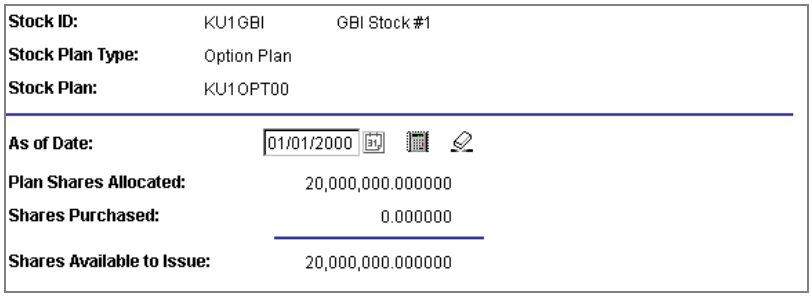
Options Outstanding The system displays the sum of shares granted less the shares exercised, shares cancelled, and shares expired.

Shares Available to Issue The system displays the sum of the Plan Shares Allocated, Shares Cancelled, Shares Expired, Shares Repurchased, Shares Swapped, and Exercised SAR Shares, less the Shares Granted.

Shares Authorized But Unissued The system displays the sum of Options Outstanding and Shares Available to Issue.

Stock Purchase Balance Inquiry Page

Usage	Use the Stock Purchase Balance inquiry page to calculate the stock purchase shares available to issue based on an as of date.
Object Name	STOCK_ESPP_BAL
Navigation	• **Compensate Employees, Administer Stock, Inquire, Stock Purchase Balance, Shares Available** • **Compensate Employees, Administer Stock Purchases, Inquire, Stock Purchase Balance, Shares Available**
Prerequisites	You must first define a stock ID on the Stock Table setup page and allocate shares to a stock purchase plan on the Stock Plan Table setup page.
Access Requirements	Select a stock ID and a stock plan.



Stock Purchase Balance inquiry page

Stock ID The system displays the stock ID.

Stock Plan Type The system displays the stock plan type of stock purchase plan.

Stock Plan The system displays the stock plan.

As of Date Enter the date that you want to use to calculate your stock purchase plan balance. Today's date is the default.

(calculate) Click the calculate balance button to run the ST_ESPP_BAL process. The system generates balances based on the as of date entered. If no as of date is entered, the default is today's date.

(clear)	Click the clear balance button to clear the share balance values for the page.
Plan Shares Allocated	The system displays the amount of plan shares allocated.
Shares Purchased	The system displays the amount of shares issued from active stock purchases.
Shares Available to Issue	The system displays the sum of the Plan Shares Allocated less the Shares Purchased.

Managing Stock Splits

There are many reasons why a company decides to split its stock. Investors may perceive lower-priced stock as more affordable. Or a company may want to make more shares available, thereby broadening its shareholder base. Less common is a reverse split, where a company substitutes one share of stock for a fixed number of shares.

Whatever the reason, your shareholders may declare a stock split and you will be faced with the task of guiding your company through the process. A stock split is a far-reaching change that touches all stock shares in your stock administration system. You must split not only your outstanding stock but your outstanding stock options. Historic records must be split and the split must be thoroughly documented on all records.

There are some things to consider before you start the stock split process:

- What split ratio will you use? Companies commonly split stock in a 2 for 1 ratio. That is, for each share of stock shareholders own they receive two shares while the price for the individual shares is cut in half. Other popular ratios are 3 for 1, 3 for 2, and 5 for 4. Regardless of the ratio, the same principle holds. The stock price declines, the par value declines, and the amount of shares outstanding increases. This is not true for reverse splits.

- How are you going to handle transactions that occur between the record date and the payable date, and the record date and the process date? All FMVs and grants that occur between these dates must be adjusted to account for the stock split before you enter information into the system.

The first step in the stock split process is to use the Stock Split setup page to define the split parameters, including the stock ID, the split conversion ratio for shares and stock prices, and the record date of the split. The next step in the stock split process is to use the Stock Split process page to run the split process. You can run only stock splits with a split status of unprocessed. Once the stock split process is complete, the AE process will update the split status to processed.

You should run the Stock Split report before and after you process a stock split. You can use these reports to reconcile your balances. You should run the Shares Granted SQR and select grants with a pending status. Then run all the SQRs for all your stock option plans and stock purchase plans. You should also run and print all balance inquiry pages just before you run the split process.

The steps you should take to split the stock are:

To split your stock:

1. Define the split parameters.

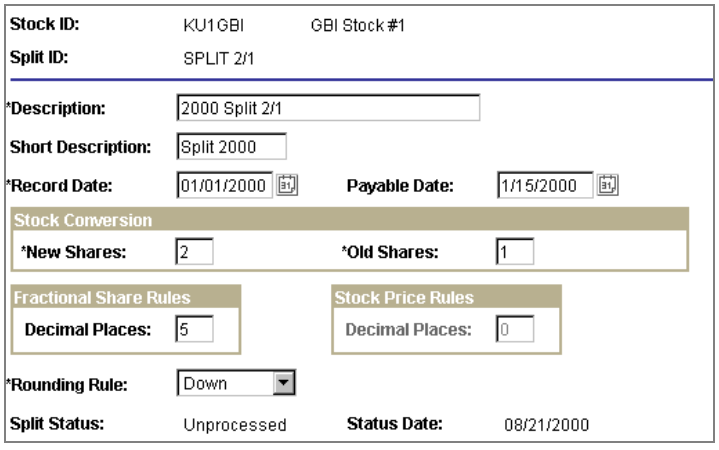
   Define the stock split parameters, including the stock ID, the split conversion ratio for shares and stock prices, and the record date of the split, using the Stock Split Setup Page.

2. Run the stock split process.

   Run the stock split process using the Stock Split Process Page. You can run only stock splits with a split status of unprocessed.

Stock Split Setup Page

Usage	Use the Stock Split setup page to define the parameters of the stock split.
Object Name	ST_SPLIT
Navigation	**Compensate Employees, Administer Stock, Setup, Stock Splits, Parameters**
Prerequisites	None
Access Requirements	Select a stock ID and enter a split ID to associate with the split.



Stock Split - Split Parameters setup page

The following fields are common to multiple pages and are defined in the preface of this PeopleBook in PeopleBooks Standard Page Element Definitions: **Description** and **Short Description.**

Stock ID The system displays the stock ID.

Split ID The system displays the split ID.

Record Date Enter the date on which an individual must officially own the stock in order to derive an adjustment resulting from a stock split or a stock dividend. Options granted after the record date are not adjusted.

Payable Date Enter the date that the split shares will be distributed to the stockholders.

Split Conversion

Enter the conversion ratio for splitting stock shares and prices. All share fields will be multiplied by new/old. All field prices will be multiplied by old/new.

New Shares Enter the number of new shares.

Old Shares Enter the number of old shares.

Fractional Share Rules

If fractional shares are allowed at the Stock Detail level, these fields become available and the fractional share rules defined on the Stock Details - Rules page are the default. You can make them more restrictive. If fractional shares are not allowed, the value in **Decimal Places** is ***0.***

Decimal Places Enter a number, between 0 and 6, to determine the number of decimal places to round.

Stock Price Rules

The price rounding rules defined on the Stock Details - Rules page are the default. You can make them more restrictive.

Decimal Places Enter a number, between 0 and 6, to determine the number of decimal places to round.

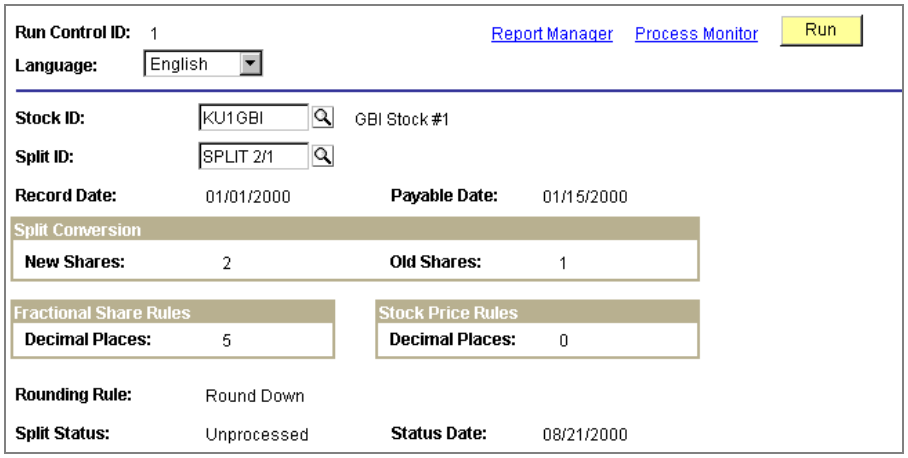
Rounding Rule Select a rounding rule to use for fractional shares. Valid values include ***Standard, Up,*** and ***Down.*** The default value is ***Down.***

Split Status The system displays the status of the stock split. The status is either ***Unprocessed*** or ***Processed.***

Status Date The system displays the last date that the split status changed.

Stock Split Process Page

Usage	Use the Stock Split process page to process a stock split.
Object Name	ST_RUNCTL_SPLIT
Navigation	**Compensate Employees, Administer Stock, Process, Stock Split, Stock Split**
Prerequisites	You must first define a stock split ID on the Stock Spit setup page.
Access Requirements	Enter a run control ID.



Stock Split process page

The following fields are common to multiple pages and are defined in the preface of this PeopleBook in PeopleBooks Standard Page Element Definitions: **Run Control ID,** and **Language.**

Stock ID

Select the stock ID from available options.

Split ID Select the split ID from available options. Once the stock ID and the stock split ID are selected, all related fields are displayed.

Record Date The system displays the date on which an individual must officially own the stock in order to derive an adjustment resulting from a stock split or a stock dividend. Options granted after the record date are not adjusted.

Payable Date Enter the date that the split shares will be distributed to the stockholders.

Split Conversion

The system displays the conversion ratio for splitting stock shares and prices.

New Shares The system displays the number of new shares.

Old Shares The system displays the number of old shares.

Fractional Share Rules

Decimal Places The system displays the number of decimal places.

Stock Price Rules

Decimal Places The system displays the number of decimal places.

Rounding Rule The system displays the rounding rule.

Split Status The system displays the status of the stock split. The status is either ***Unprocessed*** or ***Processed.***

Status Date The system displays the last date the split status changed.

Report Manager Click **Report Manager** to access the Report List page, where you can view report content, check the status of a report, and see content detail messages (which show you a description of the report and the distribution list).

Process Monitor Click **Process Monitor** to access the Process List page, where you can view the status of submitted process requests.

Run Click **Run** to access the Process Scheduler request page, where you can specify where a process or job runs and the process output format.

For more information about the Report List page, the Process List page, and the Process Scheduler, see PeopleSoft Payroll PeopleBooks.

CHAPTER 4

Overview of Your Stock Options System

With PeopleSoft Stock Administration stock option functionality, you can create and manage a variety of stock option plans. You can grant options individually or through a variable compensation program according to your company's business rules, and track exercise, release, repurchase, and disposition transactions.

Creating the Stock Option Plans

The stock option plan process starts with the design of a stock program by management, frequently assisted by outside consultants and legal counsel. Once management finishes the plan it is presented to the company's Board of Directors for adoption. The Board of Directors or a Compensation Committee decides on the number of shares to place in the stock option pool. Following adoption by the Board of Directors, a stock option plan is often submitted to the company's shareholders for approval at the company's annual shareholder meeting. State corporate law may require such approval or it may be required by the company's charter documents, or by the stock exchange on which the company stock is traded.

Usually you're not required, to obtain the approval of the Securities and Exchange Commission (SEC) before you implement an employee stock plan. However, if the stock is publicly traded, the plan must be registered with the SEC before offers or sales of securities under the plan may commence. For state securities law purposes, you may have to register the stock plan with the appropriate state agency before the plan can be used, unless an exemption from qualification or registration is available.

A stock option plan typically allows the company to set the terms and conditions of its program on a company-wide basis, thereby avoiding individual negotiations with each employee. Besides the Plan Document, a company may have written policies and procedures addressing who, when, and how stock options are granted; how and when stock options are exercised, as well as the procedures for handling an approval process and the flow of documents between various corporate departments and participants.

Depending upon the provisions within the stock option plan, a company may need several different plans to accommodate their needs. For example, they may have an Incentive Stock Option Plan just for employees and a Non-Qualified Stock Option Plan for employees, consultants, and outside Board of Directors. A stock option plan can allow for a variation of stock option types to be granted from the same plan, such as: Incentive Stock Options (ISOs), Non-Qualified Stock Options (NQs) and Restricted Stock Awards (RSAs). This type of plan, commonly referred to as an "Omnibus Plan", typically allows for a high degree of flexibility under one Plan Document.

Stock Option Types

Before you create your stock options plans and grant stock you must decide the type of stock options you want to grant to your optionees. The most common stock options are either non-qualified stock options (NQ) or incentive stock options (ISO). However, PeopleSoft Stock Administration 8 supports the granting of restricted stock awards (RSA) and tandem stock appreciation rights with an ISO or NQ (ISO/SAR or NQ/SAR). The following is a brief overview of the stock option types PeopleSoft Stock Administration supports.

Non-Qualified Stock Options

Non-Qualified Stock Options (NQ) allow an optionee to purchase stock directly from the company. The grant price for an NQ may be less than the fair market value on the date the option is granted. When the option is exercised, the optionee, if a US resident, is generally taxed at ordinary income tax rate, on the difference between the option price and the fair market value at exercise. The company is entitled to a corresponding tax deduction, a key advantage of NQs.

Incentive Stock Options

An Incentive Stock Option (ISO) gives a person the right to purchase shares of company stock without incurring any federal tax consequences at the time of the exercise. There are many restrictions on how the option is granted and exercised. In order to maintain the preferential tax treatment the current IRS rules state the following:

- ISO options can only be granted to employees of the company.
- The grant price must not be less than fair market value on the date of the grant. If an employee owns more than 10% of the company's outstanding stock then the option price must be at lease 110% of the grant FMV.
- The number of shares first exercisable in each calendar year may not exceed an aggregate value of $100,000.
- The option term may not exceed 10 years from the date of the grant. However, if an employee owns more than 10% of the company's outstanding stock then the option term may not exceed five years.

These rules are set up and maintained on the Governing Body Rules component.

Tandem Stock Appreciation Rights

Tandem Stock Appreciation Right (NQ/SAR and ISO/SAR) is a contractual right granted in conjunction with a stock option which allows the optionee to receive either the cash value equal to the appreciation on the specified number of shares exercised, or the shares of stock. If the distribution is made in stock the exercise is treated like a stock option exercise for the option type granted. The appreciation value is based on the difference between the grant price and the fair market value at exercise. When the cash appreciation is paid out, estimated income taxes are usually due on the gain.

Restricted Stock Awards

Restricted Stock Awards (RSA) are generally given by companies to their key employees but can be granted to any individual like NQ stock options. RSAs are usually granted below the current fair market value and often the grant price is set to the par value of the common stock. The optionee can exercise the shares before they vest. The shares are typically held in escrow until they vest and are released. If the optionee terminates before the rights to the shares are vested the company will in most cases exercise their right to repurchase the shares. In this case, the shares are usually repurchased at the option price.

Because of the risk of forfeiture, ordinary income and taxes are not calculated until the shares vest. The ordinary income is equal to the difference between the grant price and the fair market value on the vesting date. The optionee may elect to pay taxes at the time of issuance (exercise) by filing an 83(b) election. However, since the shares are subject to forfeiture until they vest, optionees normally do not make this election.

Granting Options

Once a stock option plan is in place, the company may begin granting stock options from the plan. A stock option grant typically permits the optionee the right to purchase a specified number of shares of stock for a specified price (determined at the time of grant) over a specified period of time. Usually the right to purchase shares is detailed in the grant agreement and is contingent on the employee's continued service or contribution to the company for a period of time.

The most common types of stock options granted by companies do not require a cash investment until the optionee elects to purchase the option shares. The purchase of the shares subject to the option is referred to as an "exercise." The optionee "exercises" the right to purchase the option shares. At no time is the optionee required to purchase the option shares; nor are they required to put any cash at risk. The grant price (their purchase price for the shares) is defined in the grant agreement and if the stock appreciates over time the value of the stock option increases.

Validating ISO Limits

There is no limitation on the total number of option shares that can be granted as an ISO. However, only the first $100,000 in aggregate fair market value of shares (determined on the date of grant) covered by a stock option, which is exercisable for the first time during any calendar year, qualify as an incentive stock option and receive preferential tax treatment. Any amounts first exercisable in excess of $100,000 in value are treated as non-qualified stock options. If an individual quits and returns to the same company within the same calendar year, the pre-termination ISO shares exercisable in that calendar year count against the $100,000 limit even though they are not longer exercisable. The $100,000 limit is defined in the governing body rules and can be changed.

The following examples show the two ways PeopleSoft Stock Administration interprets the $100.000 limit rule.

Maximum Rule Example

Grant Date: 3/6/1995

Grant FMV: 50

Number of Shares Granted: 12,500

Vest Date	*Shares Vested*	*Vest Value*	*Value Over Limit*	*Shares Over the Limit*	*% Over the Limit*	*NQ Shares Granted*	*ISO Shares Granted*
3/6/1996	5,000	250,000	150,000	3,000	60.00%	3,000	2,000
3/6/1997	2,500	125,000	25,000	500	20.00%	500	2,000
3/6/1998	2,500	125,000	25,000	500	20.00%	500	2,000
3/6/1999	2,500	125,000	25,000	500	20.00%	500	2,000
	12,500					**4,500**	**8,000**

The NQ shares are calculated by multiplying the corresponding percentage over the limit by the number of shares vested in each calendar year. In the above example, 60 percent of 5000 shares is 3000 shares and 20 percent of 2,500 shares is 500 shares. The ISO shares granted is determined by subtracting the NQ shares from the shares vested each year.

In the case of stock option repricing, the double counting only needs to occurs in the year of the repricing. Shares exercisable in the years prior to the repricing and in subsequent years after the repricing, do not need to be double-counted. The reprice rules are first exercisable in all years or first exercisable as of the reprice. Many companies choose to count all periods with which shares are first exercisable from the repriced option, although this may limit the amount of shares that can be granted as ISO in future years. You can choose which method your company wants to use.

Even Rule Example

Grant Date: 3/6/1995

Grant FMV: 50

Number of Shares Granted: 12,500

Vest Date	*Shares Vested*	*Vest Value*	*Value Over Limit*	*Shares Over the Limit*	*% Over the Limit*	*NQ Shares Granted*	*ISO Shares Granted*
3/6/1996	5,000	250,000	150,000	3,000	60.00%	3,000	2,000
3/6/1997	2,500	125,000	25,000	500	20.00%	1,500	1,000
3/6/1998	2,500	125,000	25,000	500	20.00%	1,500	1,000
3/6/1999	2,500	125,000	25,000	500	20.00%	1,500	1,000
	12,500					**7,500**	**5,000**

The NQ shares are calculated by multiplying the highest percentage over the limit by the number of shares vested in each year. In the above example, 60 percent of 5000 shares is 3000 shares and 60 percent of 2,500 shares is 1,500 shares. The ISO shares granted is determined by subtracting the NQ shares from the shares vested each year.

Exercising and Releasing Options

Stock Options usually are not exercisable until the shares vest unless the rules associated with the stock option plan allow for exercise before vest. When exercising stock options, optionees need to decide how many shares to exercise; how to pay for the shares exercised, related taxes and fees; and, how they should be issued. Once the shares are exercised, depending on the option type, optionees may incur ordinary income and have to pay taxes at the time of exercise.

Some companies grant stock options that allow the shares to be exercised prior to the date that the option shares become vested. The optionee pays for the shares at the time of exercise, however since vesting has not yet occurred, the optionee has not acquired full ownership rights to the shares. These shares are typically held in escrow until the vesting date occurs. Upon the vesting date, or shortly thereafter, the vested shares are released and become fully tradable by the optionee. While the shares are held in escrow, the company typically has full repurchase rights to the unvested shares.

For vested stock options exercises, depending upon the option type, ordinary income or alternative minimum tax (AMT) income will be calculated at the time exercise. When an option is exercises prior to vest the income calculation will generally occur at the time the shares are released, free of restrictions. However an optionee may choose to file an 83(b) Election if they want to accelerate the time at which the applicable ordinary income or AMT income will be recognized. Using the Administer Exercise – Exercise page you can indicate whether or not an 83(b) Election was filed for a restricted exercise (exercise of unvested shares).

When you calculate ordinary income PeopleSoft Stock Administration enables you to calculate taxes by integrating with PeopleSoft Payroll for North America, using Load Default taxes or by manually entering taxes into the system for the exercise. The tax page is not available when AMT income is calculated or when ordinary income is zero. PeopleSoft Stock Administration does not support the calculation and collection of taxes based upon AMT income pursuant to the IRS guidelines under circular E. Please consult your payroll administrator or tax advisor for further information.

AMT Income is calculated at exercise or release (if a restricted exercise) for ISOs and ISO/SARs exercised for shares. Ordinary Income is calculated at exercise or release (if a restricted exercise) for NQs, RSAs, NQ/SARs and ISO/SARs exercised for cash (SAR Exercise). ISOs exercised after the regulatory period for termination and disability are treated as NQs and therefore ordinary income is calculated.

The share and tax payment methods supported by PeopleSoft Stock Administration are cash, loan, pay deduction, swap, trade, same day sale, and sell to cover. The different share and tax payment methods affect how the system calculates the ordinary income. If a payment method involves a sale, such as Same Day Sale or Sell to Cover, then the system must first look to the Stock Option Plan rules for Sale Income Methods. The methods available for each option type are FMV, Sales Price or Lesser of FMV or Sales Price. The method chosen for the option type determines what price is used when calculating the ordinary income. If only some of the shares

are sold then the Sale Income Method is used only to calculate the ordinary income for the shares sold. The remaining shares (exercised but not sold) will use the FMV to calculate the remaining ordinary income.

Here are some tables comparing the different income calculations for the various share and tax payment methods at the time of exercise and at the time of release.

Calculating AMT Income at Exercise

Share and Tax Payment Method	*Calculation*
Independent of whether shares are sold at the time of the exercise (Cash, Loan, Pay Deduction, Swap, Trade, Same Day Sale, Sell To Cover)	AMT Income = Exercise Value – Cost of Shares Where: Exercise Value = Exercise FMV x Shares Exercised Cost of Shares = Grant Price x Shares Exercised

Calculating Ordinary Income at Exercise

Share and Tax Payment Method	*Calculation*
No Sale Involved (Cash, Loan, Pay Deduction, Swap, Trade)	Ordinary Income = Exercise Value – Cost of Shares Where: Exercise Value = Exercise FMV x Shares Exercised Cost of Shares = Grant Price x Shares Exercised
Sale Involved (Same Day Sale or Sell to Cover)	Ordinary Income = Exercise Value – Cost of Shares Where: Exercise Value = (Income Method Rule x Shares Sold) + (Exercise FMV x (Shares Exercised – Shares Sold)) Cost of Shares = Grant Price x Shares Exercised Income Method Rule = FMV, Sale Price or Lower of FMV or Sale Price

Calculating AMT Income at Release

ATM is calculated at Release if unvested shares are exercised and an Election 83(b) was not filed.

Share and Tax Payment Method	*Calculation*
Independent of whether shares are sold at the time of the release (Cash, Loan, Pay Deduction, Trade, Same Day Sale, Sell To Cover)	AMT Income = Release Value – Cost of Shares Where: Release Value = Release FMV x Shares Released Cost of Shares = Grant Price x Shares Released

Calculating Ordinary Income at Release

Share and Tax Payment Method	*Calculation*
No Sale Involved (Cash, Loan, Pay Deduction, Trade)	Ordinary Income = Release Value – Cost of Shares Where: Release Value = Release FMV x Shares Released Cost of Shares = Grant Price x Shares Released
Sale Involved (Same Day Sale or Sell to Cover)	Ordinary Income = Release Value – Cost of Shares Where: Release Value = (Income Method Rule x Shares Sold) + (Release FMV x (Shares Released – Shares Sold)) Cost of Shares = Grant Price x Shares Released Income Method Rule = FMV, Sale Price or Lower of FMV or Sale Price (FMV used determined by 83(b) filing)

When ordinary income is recognized at exercise or release you calculate and collect the withholding taxes for US employees. You need to define the Stock Tax Types, percentages, and limits to enable the Load Default Tax process to calculate the appropriate withholding. When you set up the various Stock Tax Types you need to define the Country Code associated with the tax you are setting up. This enables you to set up the various taxes associated with different countries.

When you click the Load Default Tax the system calculates taxes based on what is set up in the tables for the country and state code at the locality for the individual. If you use PeopleSoft Payroll for North America you can use the Calculate Tax and Update Payroll functionality to calculate the withholding due at the exercise or the release. You need to set up stock tax types for integration with PeopleSoft Payroll for North America in order to correlate tax class to tax type.

Payroll Integration Issues

If you use PeopleSoft Payroll for North America you can take advantage of integrated processes to calculate taxes and send tax and ordinary income directly to payroll. If you do not use PeopleSoft Payroll for North America you can generate the Options Income and Tax report to send to your payroll administrator.

Tax considerations (IRS)

Currently, PeopleSoft Stock Administration supports only IRS tax regulations, consequently the tax calculations and discussions are based on the IRS tax code.

Stock Option Exercise and Release Payment Methods

There are several methods optionees can use to pay for the cost of the shares and related taxes. The following is a brief discussion of each of these methods with examples showing how they work with different transactions.

Cash

A common form of payment for a stock option exercise is cash. At the time of exercise, the employee is required to pay the total option price plus any withholding taxes due to the company in cash.

Below are several examples of cash exercises for different option types:

ISO Exercise Example

On August 22, 1998, an optionee was granted an ISO option to purchase 500 shares vesting in five annual increments beginning one year from the date of grant. The option price was $3.40 per share. On November 1, 1999, the optionee exercised the stock option for the first 100 option shares. The FMV on the date of exercise was $12 per share. The calculation is:

Grant Price x Shares Exercised = Option Cost	$3.40 x 100 shares = $340
Exercise FMV x Shares Exercised = Exercise Value	$12 x 100 shares = $1,200
Exercise Value – Cost of Shares = AMT Income	$1,200 - $340 = $860

No withholding taxes are calculated at exercise. The optionee owes the company the cost of shares ($340.00) and receives 100 shares.

NQ Exercise Example

On September 22, 1998, an optionee was granted an NQ option to purchase 500 shares that vest in five annual increments, beginning one year from the date of grant. The option price was $3.40 per share. On November 1, 1999, the optionee exercised the stock option for the first 100 option shares. The FMV on the date of exercise was $12 per share. The optionee resides in the state of California for income tax purposes. The calculation is:

Grant Price x Shares Exercised = Option Cost	$3.40 x 100 shares = $340
Exercise FMV x Shares Exercised = Exercise Value	$12 x 100 shares = $1,200
Exercise Value – Cost of Shares = Ordinary Income	$1,200 - $340 = $860

Taxes are based on your setup and whether you are integrated with PeopleSoft Payroll for North America. Taxes might be calculated as follows:

Federal	$860 x 28% = $240.80
State	$860 x 6% = 51.60
Social Security	$860 x 6.2% = 53.32
Medicare	$860 x 1.45% = 12.47
SDI	$860 x .5% = 4.30
Total Taxes Due	$362.49

The optionee owes the company the sum of the cost of shares ($340.00) and the total taxes due ($362.49). The optionee pays the company $702.49 and receives 100 shares.

Loan

Loans are another form of a cash exercise. They typically require a loan agreement and a promissory note. You can select “Loan “ as a payment method at the time of exercise, but all other aspects of loan administration is handled outside of the PeopleSoft Stock Administration system.

See the examples for cash exercises above. All aspects of processing the exercise with payment method of loan will be the same as exercises with payment method of cash.

Payroll Deduction

Payroll deduction is another form of a cash exercise; however, the optionee elects to pay option price and applicable taxes from deductions taken directly from the payroll check. You can select Payroll Deduction as a payment method at the time of exercise, but all other aspects of collecting the funds through payroll are handled outside of the PeopleSoft Stock Administration system.

See the examples for cash exercises above. All aspects of processing exercises with payment method of payroll deduction will be the same as exercises with payment method of cash.

Stock Swaps

When optionees elect to exercise stock options by means of a stock swap, they are exchanging shares they already own for option shares. The shares exchanged are usually valued at the fair market value of the company's stock on the date of exercise.

In the case of a stock swap, the ordinary income or AMT income is calculated in the same manner as a cash exercise. If an optionee exercises a non-qualified stock option, ordinary income is recognized on the option shares acquired and taxes may be withheld. The shares required for the swap/trade are cancelled and sent back to either the stock plan or the treasury, according to the stock option plan rules.

The formula for calculating stock swaps is:

Cost of Share = Shares Exercised x Grant Price

Shares Required for Swap = Cost of Shares/Swap FMV

ISO Stock Swap Exercise Example

On September 22, 1998, an optionee was granted an ISO to purchase 500 shares that vest in five annual increments beginning one year from the date of grant. The option price was $3.40 per share. On November 1, 1999 the optionee exercised the stock option for the first 100 option shares via a Stock Swap. The FMV for both the exercise and swap was $12 per share. The swap rounding rule is equal to round down. The transaction is:

Cost of Shares	100 x $3.40 = $340
Shares Required for Swap	$340/$12 = 28.333
Swap Value	$12 x 28 = $336
Additional Cash Required	$340 - $336 = $4
AMT Income	($12 - $3.4) x 100 = $860
Total Shares Exercised	100
Shares Required for Swap	28

Cost of Shares	100 x $3.40 = $340
Net Shares Issued	72

This assumes constructive delivery of swapped shares. The optionee owes the company $4.00 and receives 72 shares. The number of shares cancelled is 28.

NQ Stock Swap Exercise Example

On September 22, 1998, an optionee was granted an NQ option to purchase 500 shares that vest in five annual increments beginning one year from the date of grant. The option price was $3.40 per share. On November 1, 1999, the optionee exercised the stock option for the first 100 option shares using a Stock Swap and Trade for Taxes. The FMV for both the exercise and swap was $12 per share. The swap rounding rule is equal to round down. The optionee is resides in California and has not met the limits for Social Security or SDI. The swap transaction is:

Cost of Shares	100 x $3.40 = $340
Shares Required for Swap	$340/$12 = 28
Value of Swapped Shares	$12 x 28 = $336
Additional Cash Required	$340 - $336 = $4
Ordinary Income	($12 - $3.4) x 100 = $860

Taxes are calculated as follows:

Federal	$860 x 28% = $240.80
State	$860 x 6% = 51.60
Social Security	$860 x 6.2% = 53.32
Medicare	$860 x 1.45% = 12.47
SDI	$860 x .5% = 4.30
Total Taxes Due	$362.49

The trade transaction is:

Shares Required for Trade	$362.49/$12 = 30
Value of Trade	$12 x 30 = $360

Additional Cash Required	$362.49 - $360 = $2.49

Recap of Exercise Transaction:

The total shares need in the swap	28+30=58
Optionee owes the company	$4+$2.49=$6.49
Total Shares Exercised	100 shares
Total Shares Returned to Plan or Retired to Treasury	58 shares
Optionee receives	42 shares

This assumes constructive delivery of swapped shares.

For a Tandem SAR, only the exercise of shares could use a stock swap. If the optionee exercises the SAR shares using a stock swap, the transaction would be handled in exactly the same manner as for the corresponding ISO or NQ option shown above.

An option that allows unvested shares to be exercised before they are vested, such as an RSA, does not allow the use of a swap at the time of exercise. A trade is only allowed at the time the shares are released when payment is needed to cover tax liability that might be due.

Same-Day-Sales

A Same Day Sale is when the optionee finances the exercise of a stock option by immediately selling 100 percent of the shares exercised or released.

ISO Same-Day-Sale Exercise (All Shares Sold) Example

On September 22, 1998, an optionee was granted an ISO to purchase 500 shares that vest in five annual increments, beginning one year from the date of grant. The option price was $3.40 per share. On November 1, 1999, the optionee exercised the stock option for the first 100 option shares and sold all 100 shares at $12.50 per share. The FMV on the date of exercise was $12 per share. The sale income method for the stock plan is the lesser of the FMV or the sale price. The calculation is:

Grant Price x Shares Exercised = Cost of Shares	$3.40 x 100 shares = $340
(Lesser of FMV or Sale Price x Shares Sold) + (Shares Exercised –Shares Sold x FMV) = Exercise Value	($12 x 100 shares) + ((100-100) x 12) = $1,200
Exercise Value – Option Cost = AMT Income	$1,200 - $340 = $860

Total Due Company = $340.00

The company instructs the transfer agent to issue 100 shares and deliver them to the stockbroker. The company also bills the stockbroker for the cost of shares ($340.00). The optionee receives the difference between the Total Sale Price less the Total Due Company and any brokerage fees.

NQ Same-Day-Sale Exercise (All Shares Sold) Example

On September 22, 1998, an optionee was granted an NQ to purchase 500 shares that vest in five annual increments, beginning one year from the date of grant. The option price was $3.40 per share. On November 1, 1999, the optionee exercised the stock option for the first 100 option shares. The FMV on the date of exercise was $12 per share. The optionee resides in the state of California for income tax purposes. The calculation is:

Grant Price x Shares Exercised = Option Cost	$3.40 x 100 shares = $340
Exercise FMV x Shares Exercised = Exercise Value	$12 x 100 shares = $1,200
Exercise Value – Option Cost = Ordinary Income	$1,200 - $340 = $860

Taxes are calculated as follows:

Federal	$860 x 28% = $240.80
State	$860 x 6% = 51.60
Social Security	$860 x 6.2% = 53.32
Medicare	$860 x 1.45% = 12.47
SDI	$860 x .5% = 4.30
Taxes Due at Exercise	$362.49

Total Due Company = $340.00 + $362.49 = $702.49

The company instructs the transfer agent to issue 100 shares and deliver them to the stockbroker. The company also bills the stockbroker for the cost of shares and taxes ($702.49). The optionee receives the difference between the Total Sales Price less the Total Due Company and any brokerage fees.

Sell to Cover

Sometimes the optionee only wants to sell a portion of the option shares to cover the exercise cost. Many times the optionee contacts the company to have them estimate using the current FMV, the total shares that would have to be sold to cover the cost of the exercise and applicable taxes. The following examples show how these types of transactions would be handled.

NQ Sale to Cover Exercise Example

On September 22, 1998, an optionee was granted an NQ to purchase 500 shares that vest in five annual increments, beginning one year from the date of grant. The option price was $3.40 per share. On November 1, 1999, the optionee sells enough stock (60 shares at a sale price of $12.50) to cover the exercise of 100 shares. The optionee wants to have the remaining 40 shares issued and delivered to the optionee. The FMV on the date of exercise was $12 per share. The sale income method for the stock plan is set to the sale price. The optionee resides in the state of California for income tax purposes. The calculation is:

Grant Price x Shares Exercised = Cost of Shares	$3.40 x 100 shares = $340
(Sale Price x Shares Sold) + ((Shares Exercised – Shares Sold) x Exercise FMV) = Exercise Value	(60 x $12.50) + ((100-60) x 12= $1,230.00
Exercise Value – Cost of Shares = Ordinary Income	$1,230 - $340 = $890

Taxes are calculated as follows:

Federal	$890 x 28% = $249.20
State	$890 x 6% = 53.40
Social Security	$890 x 6.2% = 55.18
Medicare	$890 x 1.45% = 12.91
SDI	$890 x .5% = 4.45
Taxes Due at Exercise	$375.14

Total Due Company = $340.00 + $375.14 = $715.14

The company instructs the transfer agent to issue 60 shares and deliver them to the stockbroker, and issue 40 shares and deliver them to the optionee. The company also bills the stockbroker for the option price and taxes ($702.49). The optionee receives the difference between the Total Sales Price less the Total Due Company and any brokerage fees.

SAR Exercise

This method is only allowed if the option type is a Tandem SAR (ISO/SAR or NQ/SAR). When you select this payment method, the underlying shares of the option are valued using the SAR FMV and the optionee is paid out the cash rights on these shares by subtracting the Grant Price from the SAR FMV determined on the date of the exercise. Taxes are typically due on the income at the time of the exercise for both ISO/SAR and NQ/SAR option types. Only when the individual exercises the right to the ISO shares can the preferential tax treatment be taken. The underlying shares that are used to value the cash rights are then cancelled and sent back to either the Stock Plan or the Treasury, according to the rules set up on the Stock Option Plan Rules.

ISO/SAR or NQ/SAR - SAR Exercise Example

On September 22, 1998, an optionee was granted an ISO/SAR to purchase 500 shares that vest in five annual increments, beginning one year from the date of grant. The option price was $3.40 per share. On November 1, 1999, the optionee chose to exercise the cash right of the tandem SAR for the first 100 option shares. The SAR FMV on the date of exercise was $12 per share. The calculation is:

Grant Price x Shares Exercised = SAR Cost	$3.40 x 100 shares = $340
SAR FMV x Shares Exercised = Exercise Value	$12 x 100 shares = $1,200
Exercise Value – Cost of Shares = Ordinary Income	$1,200 - $340 = $860

Withholding taxes are due on all SAR Exercises. The funds paid to the Optionee are treated as compensation and taxed accordingly for both ISO/SAR and NQ/SAR.

Taxes are calculated as follows:

Federal	$860 x 28% = $240.80
State	$860 x 6% = 51.60
Social Security	$860 x 6.2% = 53.32
Medicare	$860 x 1.45% = 12.47
SDI	$860 x .5% = 4.30
Total Taxes Due	$362.49

Recap of SAR Exercise Transaction:

Gain on SAR Exercise	$860.00
Taxes Due	$362.49
Total Due Optionee	$497.51
Shares Cancelled on SAR Exercise	100
Optionee receives	42 shares

CHAPTER 5

Setting Up Stock Option Plans

One of the first steps in building your stock option plan is to specify the vesting schedules used for exercising options. Then, you define your basic stock options plan rules including option types allowed, payment and income methods, share rules, FMV rules, and other option parameters. Finally, you define stock actions, changes in optionees' status that can effect how they participate in your stock plan.

Depending on how your organization administers its stock option plans, the majority of this setup phase is a one-time event requiring periodic maintenance on your part.

Before You Begin

Before you begin setting up your stock option plans you should:

- Define your stock administration business rules and create the common setup tables.

For more information about creating up the common setup tables, see Defining Stock Administration Business Rules.

- Review your application integration decisions.

For more information about PeopleSoft Stock Administration's integration with other PeopleSoft HRMS applications, see Integrating With Other PeopleSoft HRMS Applications.

Overview of Stock Option Plans

To set up stock option plans:

1. Define the vesting schedules.

   Define the vesting schedules used for processing stock options using the Vesting Schedule Setup Page.

2. Define the stock fiscal year.

Define your fiscal year calendars using the Stock Fiscal Year Setup Page.

3. Define the stock option plan rules.

   Define the various plan choices you offer using the Stock Option Plan Rules – General Setup Page.

4. Define the tax rules.

   Define the various default tax percentages and amounts using the Stock Tax Types Setup Page, the Stock Country Tax Setup Page, the Stock State Tax Setup Page, and the Stock Local Tax Setup Page.

5. Define the grant reasons.

   Define the various reasons why you grant stock options using the Grant Reason Table Setup Page.

6. Define the stock actions that integrate with PeopleSoft Human Resources actions.

   First, define a stock action and associate the stock action with a stock action type using the Stock Action Table Setup Page. Then, using the Stock Action Reason Table Setup Page, define the correlation between the Action/Action Reason combinations and a Stock Action. Finally, define the rules by which existing grants and vesting schedules should be modified due to Stock Actions with the Stock Action Rules Setup Page.

Creating Vesting Schedules

The first step in setting up your stock options system is to create your vesting schedules. The Vesting Schedules established here are used by the PeopleSoft Stock Administration system when it processes stock option grants. You create Vesting Schedules that govern over a period of time, when and in what proportions shares become available to optionees. Examples of common vesting schedules, and how you would enter them in the Vesting Schedule setup page follow.

Example 1: Shares Vest Equally Over Three Years Beginning One Year From Hire Date

You grant an option on 04/01/99 for 1,000 shares and want it to vest equally over 3 years, starting one year from the optionee's hire date of 03/15/99. You could define a vesting schedule in the Vesting Schedule setup page that looks like this:

Vesting Schedule ID: 3at33%-Service

Description: Shares vest in three equal increments beginning one year from the Service Date.

Uneven Share Rule: Last Vest Period

Vesting Begin Code: Start/Hire Date

Sequence	Vesting Frequency	Vesting Months	Vesting Percent	Period Count
1	Annually	12	33.00	1
2	Annually	12	33.00	1
3	Annually	12	34.00	1

Or you can create one entry of:

Sequence	Vesting Frequency	Vesting Months	Vesting Percent	Period Count
1	Annually	36	100.00	3

Because you specified the uneven shares load at the end of the vesting schedule, the fractional one-percent share is included in the last period. The shares vest as follows:

03/15/00 - 333 shares vest.

03/15/01 - 333 shares vest.

03/15/02 - 334 shares vest.

Example 2: All Shares Vest at Grant

You grant an option on 04/01/99 for 1,000 shares and want it to vest 100% on the date of grant. You could define a vesting schedule in the Vesting Schedule setup page that looks like this:

Vesting Schedule ID: 100%atGrnt

Description: All shares vest on the date they are granted.

Uneven Share Rule: First Full Share

Vesting Begin Code: Grant Date

Sequence	Vesting Frequency	Vesting Months	Vesting Percent	Period Count
1	Vest Date	0	100.00	1

Example 3: Shares Vest Equally Over Four Years Starting One Year -From a Random Date.

You grant an option on 04/01/99 for 1,000 shares and want it to vest at 25% per year over four years starting one year from a random date of 10/01/98. You could define a vesting schedule in the Vesting Schedule setup page that looks like this:

Vesting Schedule ID: 4at25%-Random

Description: Shares vest in four equal increments beginning one year from a random date.

Uneven Share Rule: First Full Share

Vesting Begin Code: Other Date

Sequence	*Vesting Frequency*	*Vesting Months*	*Vesting Percent*	*Period Count*
1	Annually	12	25.00	1
2	Annually	12	25.00	1
3	Annually	12	25.00	1
4	Annually	12	25.00	1

Or you can create one entry of:

Sequence	*Vesting Frequency*	*Vesting Months*	*Vesting Percent*	*Period Count*
1	Annually	48	100.00	4

When you grant the shares, you specify the date the shares start vesting on the Stock Option Grants - Vesting page. The shares vest as follows:

On 10/01/99 - 250 shares vest.

On 10/01/00 - 250 shares vest.

On 10/01/01 - 250 shares vest.

On 10/01/01 - 250 shares vest.

Example 4: Quarter of the Shares Vest After One Year Then Monthly for Three Years

You grant an option on 04/01/99 for 1,000 shares and want it to vest at 25% after one year from the date of grant and then monthly thereafter for the next year. You want to accumulate fractional shares over the vesting periods until they add up to one full share, then add them to the vesting period where that occurs. You could define a vesting schedule in the Vesting Schedule setup page that looks like this:

Vesting Schedule ID: 4YrCombo

Description: Shares vest 25% after 1 year and monthly thereafter for 3 years (36 months).

Uneven Share Rule: First Full Share

Vesting Begin Code: Grant Date

Sequence	Vesting Frequency	Vesting Months	Vesting Percent	Period Count
1	Annually	12	25.00	1
2	Monthly	36	75.00	36

The shares vest as follows:

On 04/01/00- 250 shares vest.

On 05/01/00 - 62 shares vest.

On 06/01/00 - 63 shares vest.

On 07/01/00 - 62 shares vest.

On 08/01/00 - 63 shares vest.

On 09/01/00 - 62 shares vest.

On 10/01/00 - 63 shares vest.

On 11/01/00 - 62 shares vest.

On 12/01/00 - 63 shares vest.

On 01/01/01 - 62 shares vest.

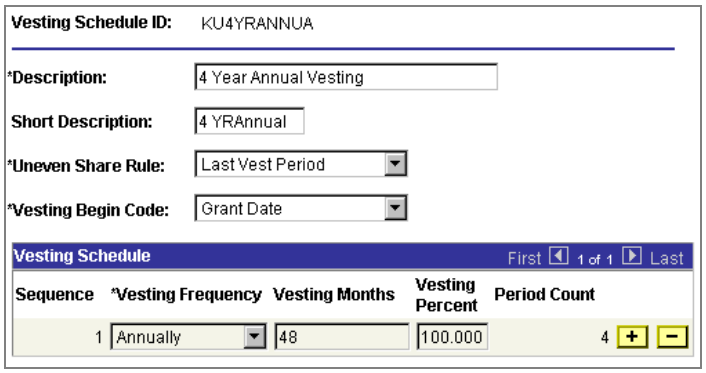
On 02/01/01 - 63 shares vest.

On 03/01/01 - 62 shares vest.

On 04/01/01 - 63 shares vest.

Vesting Schedule Setup Page

Usage	Use the Vesting Schedule setup page to define the vesting schedules used for processing stock options.
Object Name	ST_VEST_SCHED
Navigation	**Define Business Rules, Define Stock Option Plans, Setup, Vesting Schedule, Vesting Schedule**
Prerequisites	None
Access Requirements	Enter a Vesting Schedule ID to associate with a vesting schedule.



Vesting Schedule setup page

The following fields are common to multiple pages and are defined in the preface of this PeopleBook in PeopleBooks Standard Page Element Definitions: **Description** and **Short Description.**

Vesting Schedule ID The system displays the Vesting Schedule ID.

Uneven Share Rule Select ***Last Vest Period*** to allocate fractional shares to the last vesting period. Select ***First Vest Period*** to allocate fractional shares to the first vesting period. Select ***First Full Share*** to accumulate fractional shares over the vesting periods until they add up to one full share unit, then add them to the vesting period where that occurs. The default is ***Last Vest Period.***

Vesting Begin Code Select ***Grant Date*** if you want vesting to start on the date of the grant. Select ***Start/Hire Date*** if you want vesting to start on the effective date of the Action of Hire. Select ***Other Date*** if you want to enter a random date at the time of the grant on the Stock Option Grant – Vesting page. The default is ***Grant Date***.

Sequence Displays the row number in the vesting period sequence. Vesting schedules frequently have more than one sequence. For example, you can vest 25 percent of the grant after one year and then vest in quarterly increments over the next three years.

Vesting Frequency Select how frequent the shares will vest over each vesting sequence. You can select different vesting frequencies for different sequences within one vesting schedule. For each, the first vest date depends on the Vesting Begin Date selection. All other vest dates (excluding the first vest date) depend on the previous period vest date. The vesting frequency must logically match the vesting months.

Select ***Vest Date*** if you want all the shares in this sequence to vest as of the **Vesting Begin Code** date.

Select ***Monthly*** if you want the shares in this sequence to vest in even monthly increments. Increments vest every month during the period.

Select ***Quarterly*** if you want the shares in this sequence to vest in even quarterly increments. Increments vest every three months during the period.

Select ***SemiAnnual*** if you want the share in this sequence to vest twice a year. Increments vest every six months during the period.

Select ***Annually*** if you want the shares in this sequence to vest in even annual increments. Increments vest every 12 months during the period.

Vesting Months Enter the number of months in each vesting period. The vesting months must logically match the vesting frequency.

Vesting Percent Enter the percentage of shares vested during each vesting period. The sum of the percentages must total 100%.

Period Count Displays the number of vest periods relative to the Vesting Frequency you selected and the number of Vesting Months you entered for the sequence. For example, if you select a Vest Frequency of Quarterly and enter 36 in the Vesting Months field, the system calculates a Period Count of 12 (the number of quarters in 36 months).

Defining Additional Stock Option Tables

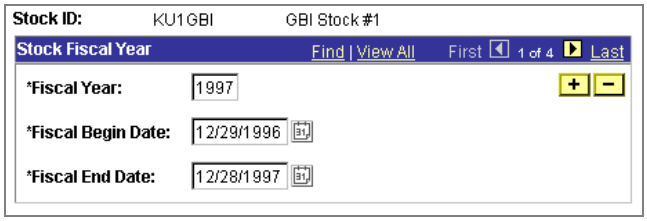
Stock Fiscal Year setup page is where you set up your fiscal year calendar. You'll need to set up fiscal year calendars if you selected Fiscal as the Year Rule on the Stock Details Stock Options setup page. This rule determines how the Stock Option Share Limits will be calculated. For example, let's say you have a stock option plan that limits grants to a maximum of 50,000 shares per optionee in a fiscal year. At the time of a grant the system validates that the number of shares granted does not exceed the Share Limit for the fiscal year as defined under the Stock Details – Rules setup page and the Stock Option Plan Rules – Shares setup page. If the grant exceeds the share limit you receive a warning.

Grant Reason Table setup page is where you define the reasons why you give participants grants. Stock option grants are given for a variety of reasons. You may grant options at the time of hire, for exceptional performance, or as part of an annual compensation review. The grant reasons are used at the time of grant and the setup is optional.

Stock Fiscal Year Setup Page

Usage	Use the Stock Fiscal Year setup page to define your fiscal year

	calendars.
Object Name	STOCK_FISCAL_YR1
Navigation	**Define Business Rules, Define Stock Option Plans, Setup, Stock Fiscal Year**
Prerequisites	You must first define a Stock ID on the Stock Table setup page.
Access Requirements	Select a Stock ID.



Stock Fiscal Year setup page

Stock ID The system displays the Stock ID.

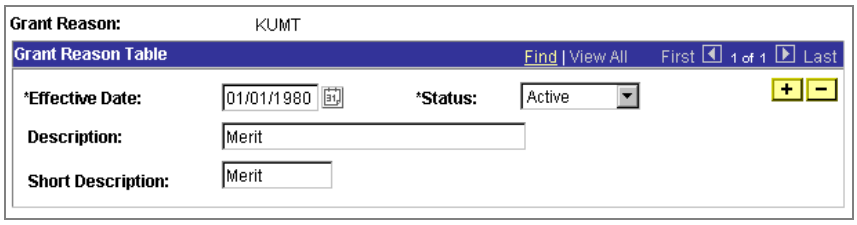
Fiscal Year Enter the four-digit year of the fiscal year you are defining.

Fiscal Begin Date Enter the first date of the fiscal year you are defining. The date should equal the previous fiscal year's end date plus one day.

Fiscal End Date Enter the last date of the fiscal year you are defining.

Grant Reason Table Setup Page

Usage	Use the Grant Reason Table setup page to define the various reasons why you grant stock options.
Object Name	ST_GRNT_RSN_TBL
Navigation	**Define Business Rules, Define Stock Option Plans, Setup, Grant Reason Table, Stock Grant Reason**
Prerequisites	None
Access Requirements	Enter a Grant Reason to describe why you would issue a grant to a participant. For example, reasons can include New Hire, Performance Award, Compensation Review, and so on.



Grant Reason Table setup page

The following fields are common to multiple pages and are defined in the preface of this PeopleBook in PeopleBooks Standard Page Element Definitions: **Effective Date, Status, Description,** and **Short Description.**

Grant Reason The system displays the Grant Reason.

Defining Stock Option Plan Rules

After you've set up your vesting schedules you can define the various option plans you offer. The option types you can have within your stock plans are NQ, ISO, RSA, NQ/SAR, and ISO/SAR (non qualified, incentive stock options, restricted stock awards, non qualified/stock appreciation right, and incentive stock options/stock appreciation right). You'll use the Stock Option Plan Rules component to define the various plan choices.

For more information about these option types, see Stock Option Types.

The General page is where you define what option types are allowed in the plan, whether shares can be exercised before vest, and if the plan allows options to be transferred. You also select the repurchase rules and governing body rules.

The Payment/Income Methods page is where you select all payment methods allowed within a plan. You define how income is calculated for the various option types allowed under a plan. You also select payment methods for two payment categories: Payment for Shares and Payment for Taxes. The payment methods are:

- Cash: The optionee pays cash for the cost of the shares exercised and taxes.
- Loan: The optionee obtains a loan from the company to pay for the cost of the shares exercised and/or taxes.
- Pay Deduction: The cost of the shares exercised and/or taxes is deducted from the optionees' paycheck.
- SAR Exercise: The optionee uses the appreciation on the shares exercised to pay for the cost of the taxes. This is available only for NQ/SARs and ISO/SARs option types.
- Same Day Sale: The optionee pays for the cost of the shares exercised and taxes by having the broker immediately sell 100% of the shares exercised, and deduct the amount due from the proceeds. This is sometimes known as a cashless exercise.

- Sell to Cover: The broker sells enough shares to cover the exercise cost and taxes.
- Swap for Shares: The optionee surrenders already-owned shares to pay for the cost of shares exercised.
- Trade for Taxes: The optionee surrenders already-owned shares to pay for the cost of the taxes.

The Share page is where you define how to account for shares that are never issued or are reacquired by your company. The Share Handling Methods choices are:

- Return Shares to Plan: Shares return to the plan pool where they are available for grant. This is the default share method.
- Retire Shares to Treasury: Shares return to the treasury and are not available for grant unless allocated to a plan by the Board of Directors, or the shareholders.

You define which FMV method you use for various transactions on the FMV (full market value) Rules page. You may choose to use different methods for different types of transactions. You also define your non-trading day rules here.

For more information about the different FMV methods, see FMV Method Table.

For more information about the non-trading day choices, see the Stock Details - Common Rules Setup Page.

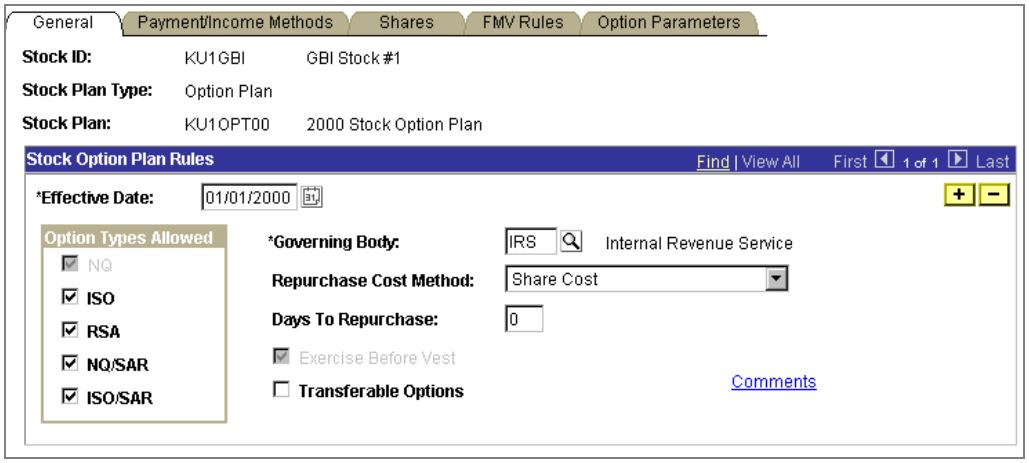
You enter text information about the plan on the Plan Comment page. For example, you can record a list of amendments made to the plan by the Board of Directors or shareholders.

You define various combinations of option features that you may use when granting options on the Options Parameters page. This page is optional, but can help with data entry when you are administering grants.

Stock Option Plan Rules – General Setup Page

Usage	Use the Stock Option Plan Rules – General setup page to define various option plan choices such as option types allowed, governing body, transferability, exercise before vest, and repurchase alternatives.
Object Name	ST_OPTION_PLAN1
Navigation	**Define Business Rules, Define Stock Option Plans, Setup, Stock Option Plan Rules, General**
Prerequisites	You must first define a Stock ID on the Stock Table setup page and a Stock Plan on the Stock Plan Table setup page.
Access	Select a Stock ID and a Stock Plan.

Requirements	



Stock Option Plan Rules – General setup page

The following fields are common to multiple pages and are defined in the preface of this PeopleBook in PeopleBooks Standard Page Element Definitions: **Effective Date.**

Stock ID The system displays the Stock ID.

Stock Plan Type The system displays the Stock Plan Type of Option Plan.

Stock Plan The system displays the Stock Plan.

Option Types Allowed Select any option type your stock plan allows. Option Types available are: **NQ, ISO, RSA, NQ/SAR,** and **ISO/SAR.** You are able to grant options and set up Option Parameters for only those option types you select here. If you select **ISO** then **NQ** is automatically selected. If you select **ISO/SAR** then **NQ/SAR** is automatically selected. One option type must be selected. When **RSA** is selected **Exercise Before Vest** is automatically selected.

Governing Body Select a Governing Body from available options.

Repurchase Cost Method If you select **Exercise Before Vest,** this option is available. This value determines what your company will pay for shares repurchased from an optionee. Select ***Grant Price*** if you want your company to pay the cost the optionee originally paid for the stock. Select ***Fair Market Value*** if you want your company to pay the Fair Market Value as defined on the FMV Rules page.

Days to Repurchase If you selected **Exercise Before Vest,** this option is available. Enter the number of days the company has to repurchase from optionees' shares exercised but unvested.

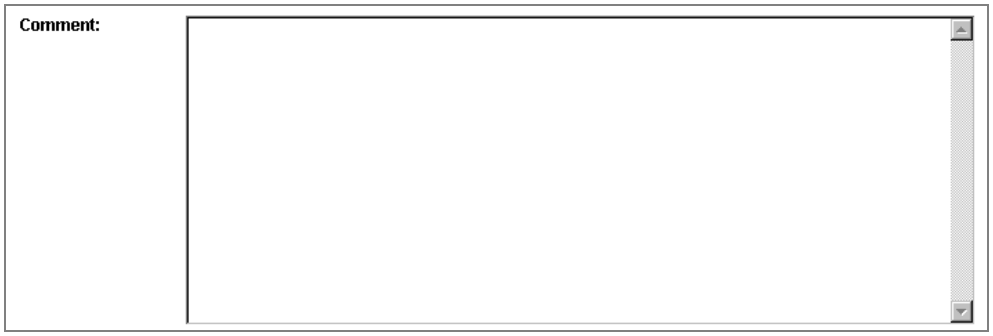
Exercise Before Vest If you selected the option types of NQ or ISO this choice is available. If you selected the option type of RSA, this option is automatically selected.

Transferable Options Select this choice if you want to allow options to be transferred to another individual. This is informational only.

Comments Click **Comments** to access the Comments Page where you can add comments about the stock option plan.

Comments Page

Usage	Use the Comments page to add comments about the stock option plan.
Object Name	ST_OPTION_PLAN5
Navigation	Click **Comments** on the Stock Option Plan Rules –- General setup page.



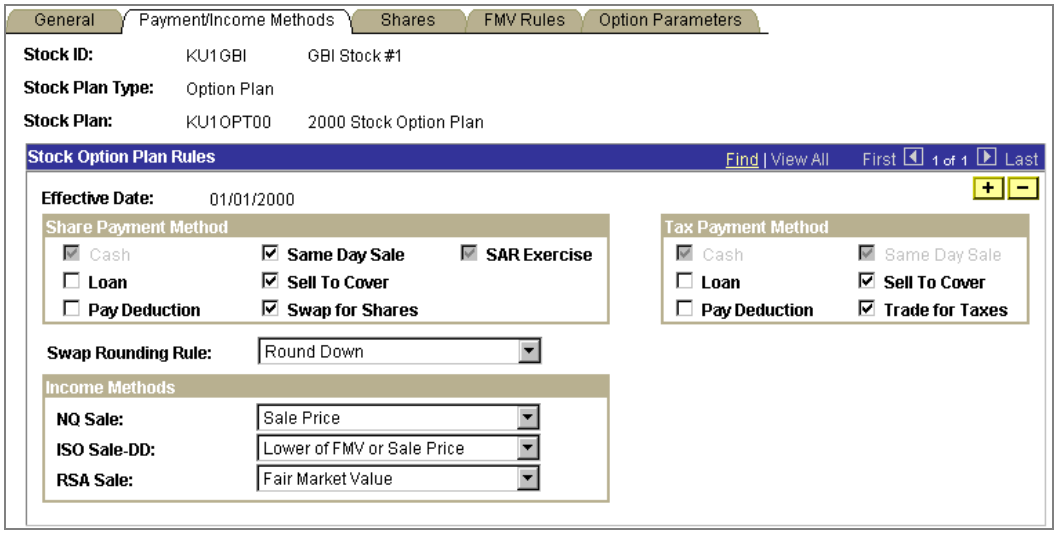
Comments page

The following fields are common to multiple pages and are defined in the preface of this PeopleBook in PeopleBooks Standard Page Element Definitions: **Comment.**

Stock Option Plan Rules – Payment/Income Methods Setup Page

Usage	Use the Stock Option Plan Rules – Payment/Income Methods setup page to select all payment and income methods allowed within the plan.
Object Name	ST_OPTION_PLAN2
Navigation	**Define Business Rules, Define Stock Option Plans, Setup, Stock Option Plan Rules, Payment/Income Methods**
Prerequisites	The Stock Option Plan Rules – Payment/Income Methods setup page is the second page in the Stock Option Plan Rules component. You must

	first enter data on the previous pages.
Access Requirements	Select a Stock ID and a Stock Plan.



Stock Option Plan Rules – Payment/Income Methods setup page

The following fields are common to multiple pages and are defined in the preface of this PeopleBook in PeopleBooks Standard Page Element Definitions: **Effective Date.**

Stock ID The system displays the Stock ID.

Stock Plan Type The system displays the Stock Plan Type of Option Plan.

Stock Plan The system displays the Stock Plan.

Share Payment Method Select any share payment method your stock plan allows. Share payment methods available are: **Cash, Loan, Pay Deduction, Same Day Sale, Sell to Cover, Swap for Shares,** and **SAR Exercise**. If you selected an SAR option type on the General page **SAR Exercise** is automatically selected.

Tax Payment Method Select any tax payment method your stock plan allows. Tax payment methods available are: **Cash, Loan, Pay Deduction, Same Day Sale, Sell to Cover,** and **Trade for Taxes. Same Day Sale** is automatically selected here if you selected it as a share payment method. Only the tax payment methods defined here are allowed during exercise and release transactions.

Swap Rounding Rule If you selected **Swap for Shares** or **Trade for Taxes** this option is available. This rule determines how fractional shares are calculated during swap exercises. Select ***Round Up, Round Down, Standard Rounding,*** or ***Keep Fractions. Keep Fractions*** is available only if fractional shares are allowed at the Stock Details level. The Rounding Rule defined on the Stock Details – Common Rules page is the default.

Income Methods

Depending on the option type selected, you use these methods to calculate income on Same Day Sales, Sell to Cover exercises, and disqualifying dispositions.

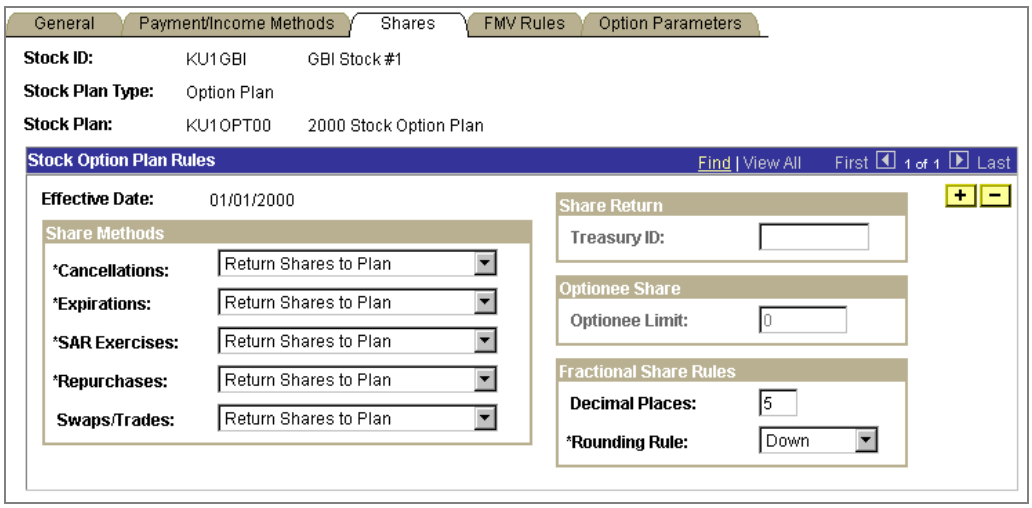
NQ Sale Select ***Fair Market Value, Lower of FMV*** or ***Sale Price,*** or ***Sale Price.*** The default is ***Fair Market Value.***

ISO Sale - DD Select ***Fair Market Value, Lower of FMV*** or ***Sale Price,*** or ***Sale Price.*** The default is ***Fair Market Value.***

RSA Sale Select ***Fair Market Value, Lower of FMV*** or ***Sale Price,*** or ***Sale Price.*** The default is ***Fair Market Value.***

Stock Option Plan Rules – Shares Setup Page

Usage	Use the Stock Option Plan Rules – Shares setup page to define how shares that are reacquired are accounted for in the system.
Object Name	ST_OPTION_PLAN3
Navigation	**Define Business Rules, Define Stock Option Plans, Setup, Stock Option Plan Rules, Shares**
Prerequisites	The Stock Option Plan Rules – Shares setup page is the third page in the Stock Option Plan Rules component. You must first enter data on the previous pages.
Access Requirements	Select a Stock ID and a Stock Plan.



Stock Option Plan Rules – Shares setup page

The following fields are common to multiple pages and are defined in the preface of this PeopleBook in PeopleBooks Standard Page Element Definitions: **Effective Date.**

Stock ID The system displays the Stock ID.

Stock Plan Type The system displays the Stock Plan Type of Option Plan.

Stock Plan The system displays the Stock Plan.

Share Methods

Cancellations Select ***Return Shares to Plan*** or ***Retire Shares to Treasury.*** This field determines how cancelled shares are handled. Shares are usually cancelled by a specific event, such as termination of employment or a stock option reprice or rescind. The cancelled shares are no longer available for exercise. The default is ***Return Shares to Plan.***

Expirations Select ***Return Shares to Plan*** or ***Retire Shares to Treasury.*** This field determines how expired shares are handled. Unexercised shares cease to be exercisable at the end of the option term. The default is ***Return Shares to Plan.***

SAR Exercises Select ***Return Shares to Plan*** or ***Retire Shares to Treasury.*** When a SAR is exercised for cash rights the individual receives the cash amount of appreciation that has occurred on the option shares rather than receiving the option shares. This field determines how the unused SAR shares are handled during an exercise. The default is ***Return Shares to Plan.***

Repurchases Select ***Return Shares to Plan*** or ***Retire Shares to Treasury.*** A company typically repurchases shares from an individual when an individual exercises an option before it is vested and then terminates before the vest date. This field determines how repurchased shares are handled. The default is ***Return Shares to Plan.***

Swaps/Trades Select ***Return Shares to Plan*** or ***Retire Shares to Treasury.*** When an individual elects to exercise an option with a stock swap, they surrender the already-owned shares of stock to pay the total required option price or taxes for the option they are purchasing. This field determines how swapped shares are handled. The default is ***Return Shares to Plan.***

Share Return

Treasury ID Select a Treasury ID from available options. If you selected ***Retire Shares to Treasury*** for any Share Method indicate to what treasury they are to be returned.

Optionee Share

Optionee Limit Enter the maximum number of shares that can be granted to an optionee from the stock option plan. If this field is defined on the Stock Details – Stock Options page the values default and the field is unavailable. This field is not required.

Fractional Share Rules

If you allowed fractional shares on the Stock Details – Common Rules page you can further restrict the number of decimal places here. Your selections on the Stock Details – Common Rules page goes to the default values here, but you can change them as long as you make them more restrictive.

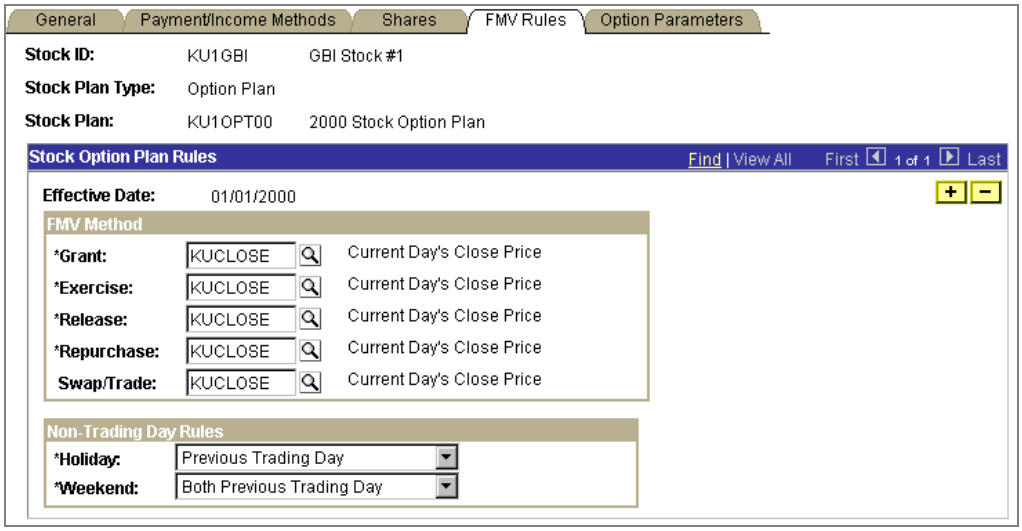
Decimal Places Enter a number, between 0 and 6, to round. The number must be less than or equal to the decimal places defined on the Stock Details – Common Rules setup page.

Rounding Rule Select a rounding rule to use after a conversion. Valid values include ***Standard, Up,*** and ***Down.***

Stock Option Plan Rules – FMV Rules Setup Page

Usage	Use the Stock Option Plan Rules – FMV Rules setup page to define the FMV methods that are used for various types of transactions.
Object Name	ST_OPTION_PLAN4

Navigation	**Define Business Rules, Define Stock Option Plans, Setup, Stock Option Plan Rules, FMV Rules**
Prerequisites	The Stock Option Plan Rules – FMV Rules setup page is the fourth page in the Stock Option Plan Rules component. You must first enter data on the previous pages.
Access Requirements	Select a Stock ID and a Stock Plan.



Stock Option Plan Rules – FMV Rules setup page

The following fields are common to multiple pages and are defined in the preface of this PeopleBook in PeopleBooks Standard Page Element Definitions: **Effective Date.**

Stock ID The system displays the Stock ID.

Stock Plan Type The system displays the Stock Plan Type of Option Plan.

Stock Plan The system displays the Stock Plan.

FMV Method

The method defined on the Stock Details – Common Rules page defaults.

Grant Select an FMV method from available options.

Exercise Select an FMV method from available options.

Release Select an FMV method from available options.

Repurchase Select an FMV method from available options.

Swap/Trade Select an FMV method from available options.

Non-Trading Day Rules

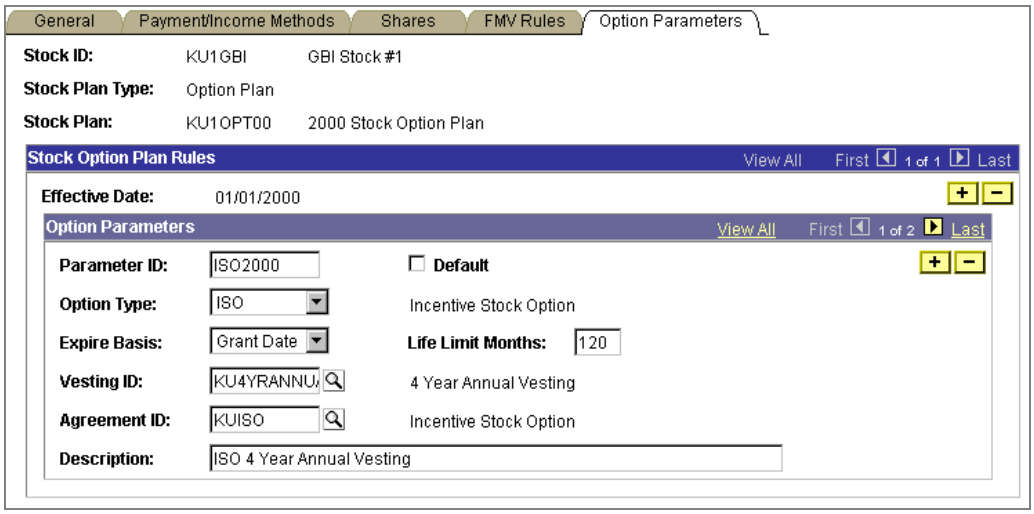
The method defined on the Stock Details – Common Rules page selects the default value.

Holiday Select a Non-Trading Day Rule from available options.

Weekend Select a Non-Trading Day Rule from available options.

Stock Option Plan Rules – Option Parameters Setup Page

Usage	Use the Stock Option Plan Rules – Option Parameters setup page to define by Parameter ID various combinations of option features that you may use when granting options.
Object Name	ST_OPTION_PARMS
Navigation	**Define Business Rules, Define Stock Option Plans, Setup, Stock Option Plan Rules, Option Parameters**
Prerequisites	The Stock Option Plan Rules – Option Parameters setup page is the sixth page in the Stock Option Plan Rules component. You must first enter data on the previous pages.
Access Requirements	Select a Stock ID and a Stock Plan.



Stock Option Plan Rules – Option Parameters setup page

The following fields are common to multiple pages and are defined in the preface of this PeopleBook in PeopleBooks Standard Page Element Definitions: **Effective Date and Description.**

Stock ID The system displays the Stock ID.

Stock Plan Type The system displays the Stock Plan Type of Option Plan.

Stock Plan The system displays the Stock Plan.

Option Parameters

Parameter ID Enter an ID to identify the various combinations of option features that you may use when granting options.

Default Select this choice if you want to make this Parameter ID the default option. There can be only one default for each option plan. You'll use the default parameter ID when using the Administer Grants page.

Option Type Select an option type from available options.

Expire Basis Select a date rule to use when calculating the expiration date on the vesting schedule. Valid values are ***Grant Date, Grant Date – 1, Vest Date,*** and ***Vest Date – 1.***

Life Limit Months Enter the number of months before the option expires. This can not be more permissive than the Life Limit Years defined on `

Vesting ID Select a Vesting Schedule from available options.

Agreement ID Select an Agreement ID from available options.

Defining Stock Action Rules

Your stock plan participants' lives are dynamic. People leave to take other jobs. They take leaves of absence, then return from leave. These changes can have an effect on how they participate in your stock plan. You need to define how your stock option plan processes changes to your optionees' human resources status.

For more information about how the stock action rules you define here integrate with PeopleSoft Human Resources, see Integrating With Other PeopleSoft HRMS Applications.

The Stock Action Table defines all unique stock actions that automatically integrate with PeopleSoft Human Resources. The effective-dated table describes each stock action and the type of each stock action. There are three types of stock actions that the system recognizes: termination, leave of absence, or return from leave. The stock action type determines the type of automated processing performed when a particular type of stock action is processed for an

employee. These actions have an effect on existing stock option grants and vesting schedules. You define the stock actions using the Stock Action Table setup page.

Examples of stock actions you can set up and their related types are:

Stock Action	*Stock Action Type*
DEA (Death)	T (Termination)
DIS (Disability)	T (Termination)
LOA (Leave of Absence)	L (Leave of Absence)
RET (Retirement)	T (Termination)
RFL (Return from Leave	R (Return from Leave)
TER (Termination)	T (Termination)

The Stock Action Reason Table defines the correlation between Action and Action/Reason combinations and a stock action. You use this table to determine whether the system should issue a workflow notification to the stock administrator. Online PeopleCode looks for an occurrence of the Action and Action/Reason entered on the JOB row for a match on this table. If a match is found, the system sends a workflow with information about that job change and the stock action to the stock administrator. Multiple Action and Action/Reason combinations can correlate to the same stock action. You can leave the Action/Reason blank and let it serve as a wild card. You define the correlation with the Stock Action Reason Table setup page.

Some of the Action/Action Reasons that might be associated with the Stock Actions are:

Action	*Action Reason*	*Stock Action*
COM		TER
FSC	DEA	DEA
LOA		LOA
RET		RET
RFL		RFL
TER		TER
TER	DEA	DEA
TER	DIS	DIS

The Stock Action Rules Table defines the rules that modify existing grants and vesting schedules when there is a termination, a leave of absence, or return from leave stock action. There are some changes that you do not define and always occur such as setting cancel date and cancel reason for a termination. Such changes are not defined in the rules table but are coded in the process that applies “corrective action” for a stock action. The rules you define are effective-dated. You define these rules using the Stock Action Rules setup page.

Examples of termination stock action rules are:

Stock Action	*Stock Action Type*	*Vest Immediately*	*Expire Grace Period*	*ISO to NQ Governing Body Rule*
			months	T/D/N
TER	T	No	1	T
DIS	T	No	3	D
DEA	T	Yes	12	N
RET	T	No	1	T
LOA	L	No	0	N

Examples of leave of absence stock action rules are:

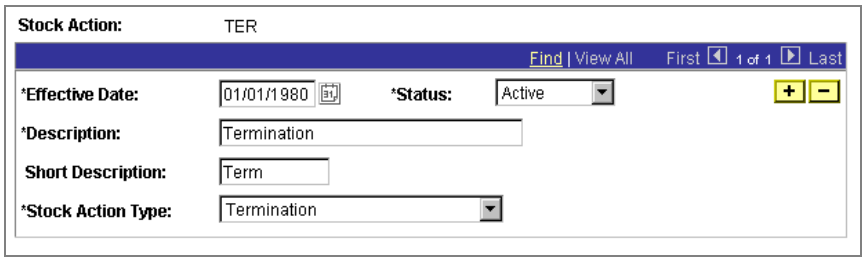
Stock Action	*Stock Action Type*	*Suspend vesting*	*Vest Defer Grace Period*	*Vest Defer Grace Period Service Rule*	*Exercise Suspend Rule*	*Exercise Suspend Period*
			months	months	N/D/R	months
TER	T	No	0	0	N	0
DIS	T	No	0	0	N	0
DEA	T	No	0	0	N	0
RET	T	No	0	0	N	0
LOA	L	Yes	12	3	D	3

ISO To NQ Governing Body Rule
T (Termination)
D (Disability)
N (None)

Exercise Suspend Rule
D (Defined)
R (Return from Leave)
N (None)

Stock Action Table Setup Page

Usage	Use the Stock Action Table setup page to define a stock action and associate it with a stock action type.
Object Name	STOCK_ACTN_TBL
Navigation	**Define Business Rules, Define Stock Option Plans, Setup, Stock Action Table, Stock Action**
Prerequisites	None
Access Requirements	Enter a Stock Action, a three-digit code to uniquely identify an action associated with changes in an employee's job.



Stock Action Table setup page

The following fields are common to multiple pages and are defined in the preface of this PeopleBook in PeopleBooks Standard Page Element Definitions: **Effective Date, Status, Description,** and **Short Description.**

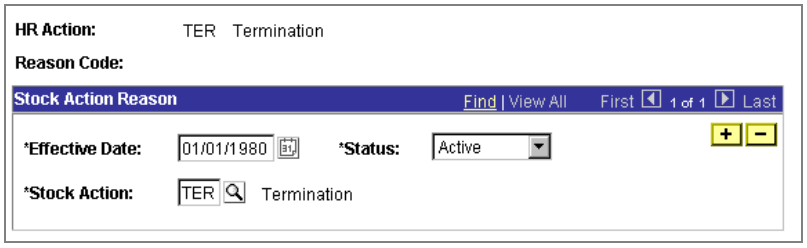
Stock Action The system displays the Stock Action.

Stock Action Type Select ***Leave of Absence, Return from Leave***, or ***Termination*** to indicate the type of stock action.

Stock Action Reason Table Setup Page

Usage	Use the Stock Action Reason Table setup page to define the correlation between Action/Action Reason combinations and a Stock Action.
Object Name	ST_ACTN_RSN_TBL
Navigation	**Define Business Rules, Define Stock Option Plans, Setup, Stock Action Reason Table, Stock Action Reason**
Prerequisites	You must first define a Stock Action on the Stock Action Table setup

	page
Access Requirements	Select an Action, a value associated with a job change, and a Reason Code, a reason for the job change action.



Stock Action Reason Table setup page

The following fields are common to multiple pages and are defined in the preface of this PeopleBook in PeopleBooks Standard Page Element Definitions: **Effective Date** and **Status.**

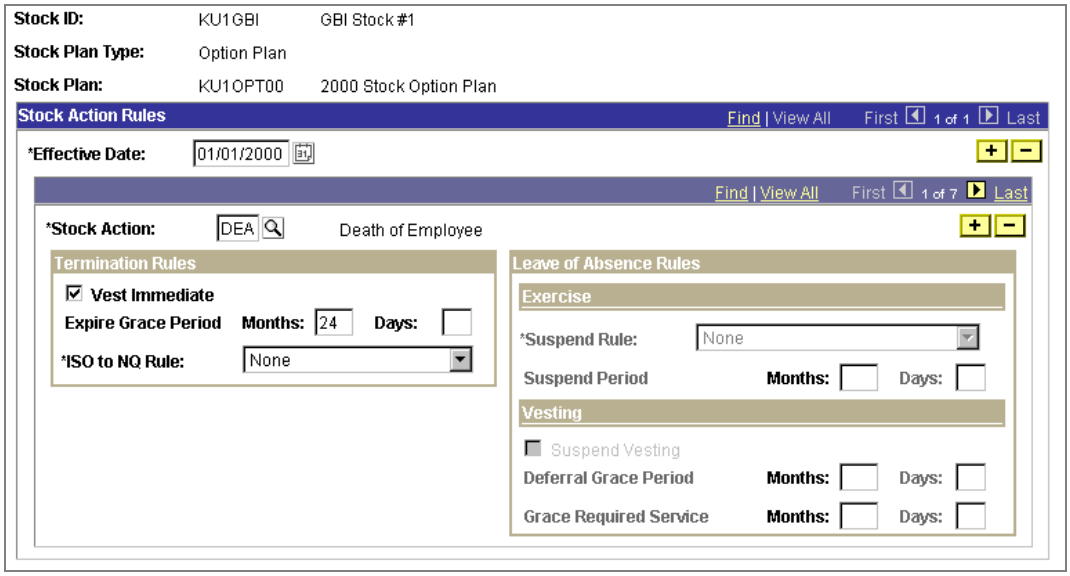
HR Action The system displays the HR Action.

Reason Code The system displays the Reason Code.

Stock Action Select a Stock Action from available options.

Stock Action Rules Setup Page

Usage	Use the Stock Action Rules setup page to define the rules by which existing grants and vesting schedules should be modified due to Stock Actions.
Object Name	ST_ACTN_RULE
Navigation	**Define Business Rules, Define Stock Option Plans, Setup, Stock Action Rules, Stock Action Rules**
Prerequisites	You must first define a Stock Action on the Stock Action Table setup page and relate an Action and a Reason Code to a Stock Action on the Stock Action Reason Table setup page.
Access Requirements	Select a Stock ID and a Stock Plan.



Stock Action Rules setup page

The following fields are common to multiple pages and are defined in the preface of this PeopleBook in PeopleBooks Standard Page Element Definitions: **Effective Date.**

Stock ID The system displays the Stock ID.

Stock Plan Type The system displays the Stock Plan Type that relates to the Stock Plan selected.

Stock Plan The system displays the Stock Plan.

Stock Action Select a Stock Action from available options.

Termination Rules

If the Stock Plan Type is Termination these fields become available.

Vest Immediate Select this choice if you want all unvested shares to vest as of the day prior to the date of termination.

Expire Grace Period Enter the number of days or month's grace period the employee is allowed to exercise vested shares after a termination. The termination expiration date is populated on the vesting schedule with a date equal to the stock action date plus the exercise grace period.

ISO to NQ Rule Defines the governing body rule for calculating the grace period for an ISO exercise after which the exercise is treated as an NQ. Select ***Disability, Termination,*** or ***None. None,*** which means always exercise as an ISO, is the default value and is the type commonly used for a termination because of death.

Leave Of Absence – Exercise

If the Stock Plan Type is Leave of Absence these fields become available.

Suspend Rule Identifies the way in which the right to exercise is suspended during a leave of absence. Select ***Until RFL*** if you want the right to exercise options suspended until the optionee returns from leave. Select ***Defined*** if you want the right to exercise options suspended for a defined period of time. Select ***None*** if you want the optionee to be able to exercise grants while on leave. ***None*** is the default value.

Suspend Period This field is available if you selected a **Suspend Rule** of ***Defined.*** Enter the number of days or months you want to suspend the right to exercise options.

Leave of Absence – Vesting

Suspend Vesting Select this choice if you want to suspend vesting of the unvested shares during the leave of absence.

Deferral Grace Period Enter the number of days or months before which an optionee must return from leave so that the vesting schedule is not deferred by the amount of time the optionee was on leave. This field is available if you selected **Suspend Vesting.**

Grace Required Service Enter the number of days or month's service required for an optionee to be eligible for the vest deferral grace period. This field is available if you selected **Suspend Vesting** and the **Deferral Grace** is greater than 0.

Note. If the stock action type is Return from Leave, none of the Leave of Absence Rules fields are available. You must enter a new row to enter data in these fields.

Setting Up Tax Rules

By setting up default tax percentages and amounts you can limit the amount of manual tax calculation you need to perform when participants exercise options. You can override the defaults at the time of exercise depending on an individual employee's particular tax situation. However, by entering default tax information you get from your payroll administrator, you can help ensure that you don't take taxes above certain limits. If you use PeopleSoft Payroll for North America, at a minimum, the tax types must be set up to integrate with the payroll system.

For more information about integration with PeopleSoft Payroll for North America, see Integrating With Other PeopleSoft HRMS Applications.

Important! The tax codes and data you enter here should be directly mapped from your payroll department. You will need to contact your Payroll Administrator to get and maintain the information stored in these pages.

Warning! You are responsible for maintaining the default tax tables.

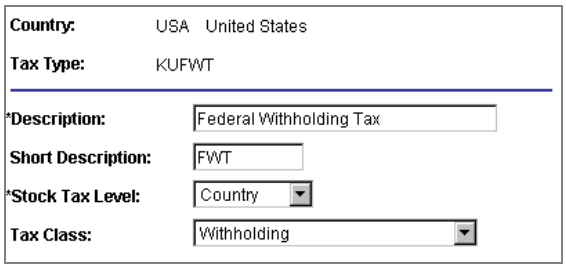
Stock Tax Types

The Stock Tax tables enable you to set up and maintain the Federal, state, and local tax percentages and limits needed to calculate taxes for option exercise and releases.

For more information about Tax Types and Tax Classes, see Defining Your Payroll Taxes.

Stock Tax Types Setup Page

Usage	Use the Stock Tax Types setup page to define the tax classes used by your payroll department.
Object Name	ST_TAX_TYPE
Navigation	**Define Business Rules, Define Stock Option Plans, Setup, Stock Tax Types, Stock Tax Type**
Prerequisites	None
Access Requirements	Select a Country Code and enter a Tax Type.



Stock Tax Types setup page

The following fields are common to multiple pages and are defined in the preface of this PeopleBook in PeopleBooks Standard Page Element Definitions: **Country, Description,** and **Short Description.**

Tax Type The system displays the Tax Type.

Stock Tax Level Select ***Country, State,*** or ***Local*** tax level.

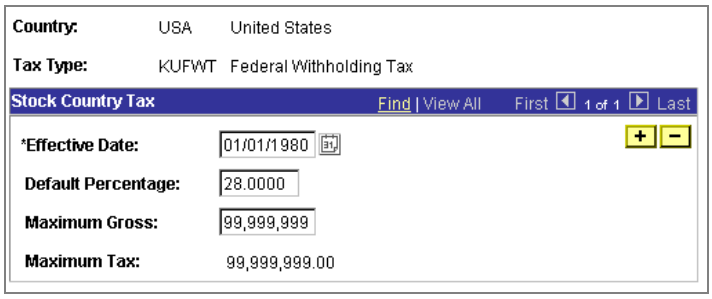
Tax Class Select the Tax Class from available options. If you're integrated with PeopleSoft Payroll for North America, the Tax Class is set up in your payroll department. You need to work with your Payroll Administrator to find out the classes that are set up for payroll purposes to ensure the classes map correctly.

Stock Default Taxes

Here's where you define the country, state and local taxes and relate them to your tax types.

Stock Country Tax Setup Page

Usage	Use the Stock Country Tax setup page to define default country tax types.
Object Name	ST_COUNTRY_TAX
Navigation	**Define Business Rules, Define Stock Option Plans, Setup, Stock Country Tax, Stock Country Tax**
Prerequisites	You must first define Tax Types on the Stock Tax Types setup page.
Access Requirements	Select a Country code and a Tax Type.



Stock Country Tax setup page

The following fields are common to multiple pages and are defined in the preface of this PeopleBook in PeopleBooks Standard Page Element Definitions: **Country** and **Effective Date.**

Tax Type The system displays the Tax Type.

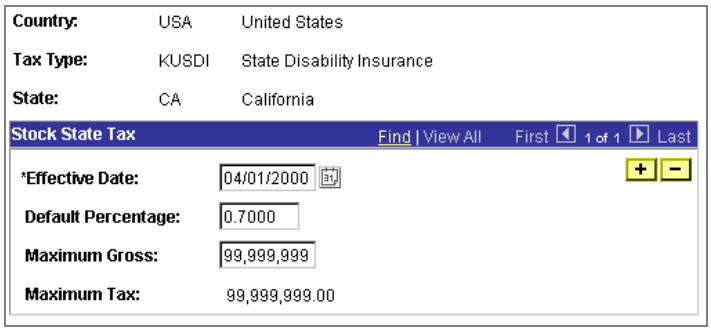
Default Percentage Enter a percentage you want to use as default when calculating the tax due at the country level. You can override the percentage at the time of exercise or release.

Maximum Gross Enter a maximum gross income. If you want to indicate there is no limit, enter **99,999,999.**

Maximum Tax The system calculates and displays the Maximum Tax based on data you entered in Default Percentage and Maximum Gross. For example, ***1.45%*** (Default Percentage) of ***$30,000*** (Maximum Gross) is ***$435.00*** (Maximum Tax).

Stock State Tax Setup Page

Usage	Use the Stock State Tax setup page to define default state tax types.
Object Name	ST_STATE_TAX
Navigation	**Define Business Rules, Define Stock Option Plans, Setup, Stock State Tax, Stock State Tax**
Prerequisites	You must first define Tax Types on the Stock Tax Types setup page.
Access Requirements	Select a Country code, Tax Type and State.



Stock State Tax setup page

The following fields are common to multiple pages and are defined in the preface of this PeopleBook in PeopleBooks Standard Page Element Definitions: **Country, State,** and **Effective Date.**

Tax Type The system displays the Tax Type.

Default Percentage Enter a percentage you want to use as default when calculating the tax due at the state level. You can override the percentage at the time of exercise or release.

Maximum Gross Enter a maximum gross income. If you want to indicate there is no limit, enter 99,999,999.

Maximum Tax The system calculates and displays the Maximum Tax based on data you entered in Default Percentage and Maximum Gross. For example, ***1.45%*** (Default Percentage) of ***$30,000*** (Maximum Gross) is ***$435.00*** (Maximum Tax).

Stock Local Tax Setup Page

Usage	Use the Stock Local Tax setup page to define default local tax types.
Object Name	ST_LOCAL_TAX
Navigation	**Define Business Rules, Define Stock Option Plans, Setup, Stock Local Tax, Stock Local Tax**
Prerequisites	You must first define Tax Types on the Stock Tax Types setup page.
Access Requirements	Select a Country code, Tax Type, State, and Locality.

Stock Local Tax setup page

The following fields are common to multiple pages and are defined in the preface of this PeopleBook in PeopleBooks Standard Page Element Definitions: **Country, State,** and **Effective Date.**

Tax Type The system displays the Tax Type.

Locality The system displays the Locality.

Default Percentage Enter a percentage you want to use as default when calculating the tax due at the local level. You can override the percentage at the time of exercise or release.

Maximum Gross Enter a maximum gross income. If you want to indicate there is no limit, enter **99,999,999.**

Maximum Tax The system calculates and displays the Maximum Tax based on data you entered in Default Percentage and Maximum Gross. For example, ***1.45%*** (Default Percentage) of ***$30,000*** (Maximum Gross) is ***$435.00*** (Maximum Tax).

CHAPTER 6

Administering Variable Compensation Grants

Variable compensation (VC or variable comp) is pay that is not included in base pay. Variable compensation generally varies according to performance, and can include non-monetary awards such as stock.

Before You Begin

Before you begin administering your variable compensation grants you should:

- Define your rounding rules.
- Set up your stock option plans.
- Allocate stock to stock option plans.

Overview of Variable Compensation Grants

To administer stock through Variable Comp, use these steps and responsibilities:

1. Set up Variable Comp tables and plans for stock awards.

   Responsibility: Variable Comp Administrator.

   Your VC administrator needs to set up variable comp plans that correlate to the stock option plan types you offer. The VC system supports five stock plan types: ISO, NQ, NSAR, RSA, and ISAR. Before the VC administrator sets up the variable compensation plan you need to define within PeopleSoft Stock Administration some of the data elements used to define the specifics of each plan such as Stock ID, stock plans, and stock plan rules.

   In setting up the VC plan, your VC administrator defines the following:

   - VC Plan ID.
   - Stock plan and Stock ID.
   - Plan payout periods.
   - Plan membership on an Ad Hoc, individual, or group basis.

- Valuation of a unit of stock. Stock grant valuation is based on your company's policy and business rules, and is for reporting purpose only.
- Payout formulas at the target and optional minimum and maximum level.
- Optional weighted or matrix goals.
- Optional eligibility proration and proration period duration.
- Optional plan approval and identification of the approver at the plan or group level.

For more information about setting up the variable comp tables, see Setting Up Variable Compensation Plans.

For more information about the group build process, see Setting Up and Managing Plan Member Eligibility.

2. Allocate stock units from PeopleSoft Stock Administration Stock Option Plan to the Variable Comp Stock Fund.

   Responsibility: Stock Administrator.

   This step occurs in the PeopleSoft Stock Administration application. You allocate stock units from your Stock Option stock plans to the Variable Comp stock fund. From this allocation the VC administrator can fund multiple VC stock plans that have the same stock plan and stock ID. You can anticipate a future fund allocation and allocate those stock units now because the Stock Balances are adjusted when the grants are generated, not when the stock units are allocated.

3. Allocate funds from the Variable Comp Stock Fund to the Variable Comp Stock Plan.

   Responsibility: Variable Comp Administrator.

   From the Stock Administrator's allocation of shares by stock plan and stock ID, the Variable Compensation administrator can fund multiple stock plans that have the same stock plan and stock ID. If the VC plan is a group plan, the funds must be allocated among the groups.

For more information about allocating funds, see Funding VC Plans and Groups.

4. Allocate the stock awards.

   Responsibility: Variable Comp Administrator.

   An employee's managers can allocate grants on an Ad Hoc basis without any eligibility or award calculation processes if the plan is set up with Ad Hoc Awards as the plan member

rule. Otherwise various calculation processes are required, depending upon how the VC plan is defined.

For non- Ad Hoc plans, the VC system performs the following calculations:

- Calculates eligibility and a proration factor according to the plan member rules and proration rules defined in the plan.
- Calculates a performance factor if the plan uses goals.
- Calculates the target awards and adjusts them with the proration factor, performance factor, and specified minimums and maximums as appropriate.
- Calculates and applies an adjustment factor if funding falls short of calculated payouts.
- Calculates the award unit by applying stock rounding rules.
- Calculates the award value by applying valuation and VC rounding rules to the award unit.

Managers can adjust the calculated individual awards of their direct reports. When the manager or approver finalizes the awards, they are automatically published to PeopleSoft Stock Administration for grant generation.

For more information about allocating stock awards, see Calculating Allocations and Awards.

For more information about award approval and submittal to PeopleSoft Stock Administration, see Managing Awards Approval and Payout.

5. Generate the grants in PeopleSoft Stock Administration.

Responsibility: Stock Administrator.

Now we're back in PeopleSoft Stock Administration. After Variable Comp publishes the stock awards, you can view them using the Generate Grants inquiry page, and run an Application Engine program to generate grants using the Generate Grants page. You can run multiple runs of the same Variable Comp stock plan, pay out period, and group, to pick up any stock award that have not been processed.

As each stock grant is created during the Generate Grants process, each Variable Comp stock award record is updated with the grant number and grant value. Each grant created during this process adds a new record to the Grant table, using values in the award record and in the run control. The Variable Comp Plan ID is stored with each grant. You can select Reject All on the Generate Grants – VC Criteria process page if you want to reject all grants within a group ID.

For more information about generating grants, including Variable Comp grants, see Administering Grants.

6. Make appropriate adjustments for cancellations due to data entry errors.

   Responsibility: Stock Administrator.

   Once awards are generated, you may need to make changes to the grants that were automatically generated. Changes to the grant date, or grant price, may affect the award value in Variable Comp. These modifications need to be transmitted back to Variable Comp to maintain constancy between the two systems. You use the Modify Grant page to modify grants generated by the Generate Grant process or modify the grants manually using the Administer Grants component.

   You can modify grants created from Variable Comp awards, similar to the way you do for grants you create manually online, only the number of shares granted cannot be changed. This also applies if the grant was split between an ISO and an NQ grant. The total number of shares granted cannot be changed. If the modification involves a change in the grant price, which in turn modifies the award value or the grant date, the modified grant information will be transmitted to Variable Comp. If you need to change the number of shares, you must void the grant and allocate a new award.

For more information about modifying grants, including Variable Comp grants, see Administering Grants.

7. Make proper adjustments in Variable Comp Stock Funding, Stock Plans, and Stock Awards for stock splits and stock repricing.

   Responsibility: Stock Administrator.

   Some stock adjustments affect the valuation of the stock units in the Variable Comp plan, the stock price for all stock awards, or the number of shares available to allocate.

   Stock splits change the number of shares available in the Variable Comp stock plan, stock funding, and awards. They also change the values in stock awards and in the valuation table. The stock split processing that occurs in the PeopleSoft Stock Administration system, also splits the stock in any Variable Comp stock plans, stock funding, and stock awards.

For more information about stock splits, see Managing Stock Splits.

   When you reprice your stock, the values in stock awards and the valuation table change. You need to recalculate the value in stock awards and also in the valuation table.

For more information about repricing stock, see Administering Reprice.

8. Expire Variable Comp plans.

Responsibility: Stock Administrator.

A Variable Comp funding period expires when the period end date is reached. You should run the Expire Variable Comp process regularly to process the expired funding periods. Unused shares are returned to the Stock Plan from where they were originally allocated. The Expire Variable Comp process page uses the standard run control page to expire Variable Comp plans.

Integrating with Variable Compensation

PeopleSoft Stock Administration uses two Enterprise Integration Points (EIPs) to Grant and Award variable compensation grants. The system uses the following application messages to transfer award and grant data between PeopleSoft Stock Administration and the Variable Compensation module.

EIP Name	*Message Name*	*Message Definition*
Award Data	AWARD_GRANT_ISSUE	VC publishes award data to PeopleSoft Stock Administration and PeopleSoft Stock Administration subscribes to the award data.
Grant Data	GRANT_AWARD_UPDATE	PeopleSoft Stock Administration publishes grant data to VC and VC subscribes to the grant data.

For more information about the technical details of these EIPs, see Award Data and Grant Data. For more information about enterprise integration points, see PeopleSoft Enterprise Integration PeopleBook.

Activating EIP Messages and Channels

All EIP messages are delivered inactive. In PeopleTools Application Designer you must activate the AWARD_GRANT_ISSUE and GRANT_AWARD_UPDATE messages. Make sure that you set the status of each selected message to *Active,* and set the status of the corresponding message channel to *Run.*

For more information about activating messages and channels, see PeopleSoft Application Messaging.

Third-party Stock Administration Subscription to EIP Messages

Through the use of Web server extension mechanisms such as Java servlets, a third-party application can accept and process an XML post from a PeopleSoft message. Third-party applications can publish data to the PeopleSoft database by means of an XML data post directly to PeopleSoft's Application Messaging Gateway.

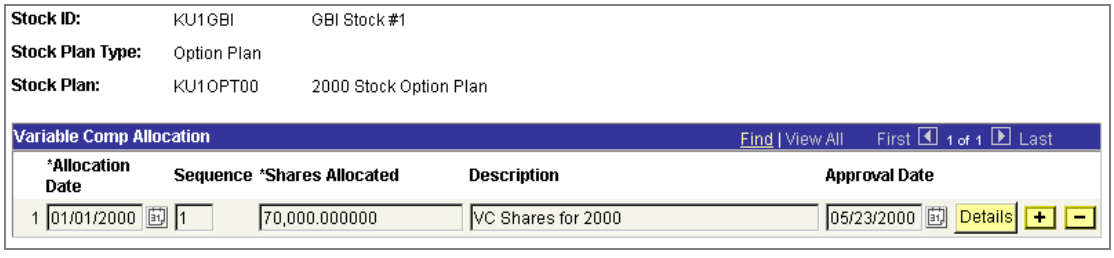
For more information about how to integrate PeopleSoft application messaging to a third-party application, see Third Party Integration.

Setting Up Variable Comp Allocations

The Variable Comp Allocation setup page is where you allocate stock units from your stock option plans, to the variable comp stock fund. You can anticipate a future fund allocation and allocate those stock units now. Stock balances are adjusted when the grants are generated, not when the stock units are allocated.

Variable Comp Allocation Setup Page

Usage	Use the Variable Comp Allocation setup page to capture the stock funding units from Variable Comp.
Object Name	ST_VC_ALLOC
Navigation	**Define Business Rules, Define Stock Option Plans, Setup, Variable Comp Allocation, Variable Comp Allocation**
Prerequisites	You must first define a Stock ID on the Stock Table setup page and a Stock Plan on the Stock Plan Table setup page.
Access Requirements	Select a Stock ID and Stock Plan.



Variable Comp Allocation setup page

The following field is common to multiple pages and is defined in the preface of this PeopleBook in PeopleBooks Standard Page Element Definitions: **Description.**

Stock ID The system displays the **Stock ID.**

Stock Plan Type The system displays the **Stock Plan Type** of option plan.

Stock Plan The system displays the **Stock Plan.**

Allocation Date Enter the date the shares are allocated.

Sequence Enter the **Sequence** number for the allocation. If you have multiple allocations in a single day, the sequence number differentiates the transactions.

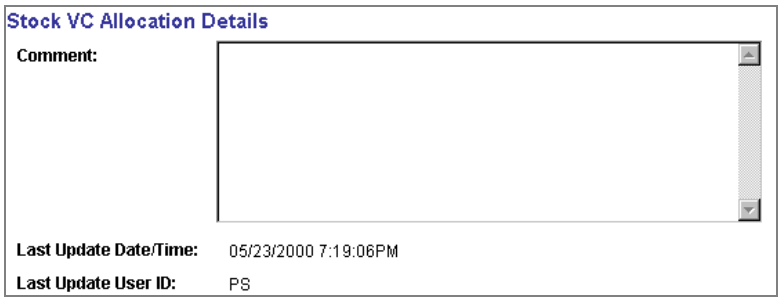
Shares Allocated Enter the number of **Shares Allocated** to the plan. You can allocate more shares than are currently in the plan if you anticipate future funding.

Approval Date Enter the date management approved the allocation.

Details Click **Details** to access the Stock VC Allocation Details Page where you can add comments about the VC allocation.

Stock VC Allocation Details Page

Usage	Use the Stock VC Allocation Details page to add comments about the VC allocation.
Object Name	ST_VC_PLAN_SEC
Navigation	Click Details on the Variable Comp Allocation setup page.



Stock VC Allocation Details page

The following element is common to multiple pages in this application and is defined in the preface of this PeopleBook in PeopleBooks Standard Page Element Definitions: **Comment.**

Last Update Date/Time The system displays the date of the last change.

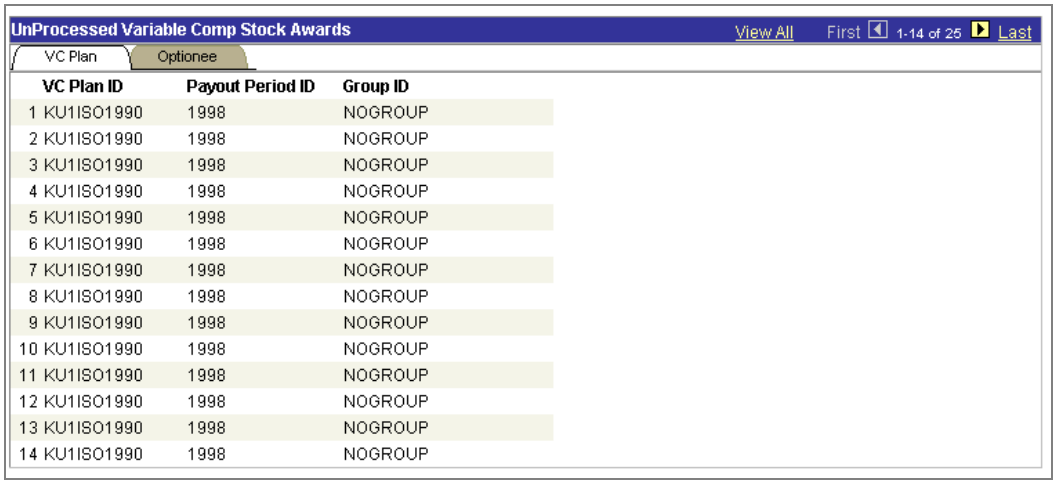
Last Update User ID The system displays the EmplID of the person who made the last change.

Viewing Unprocessed Variable Comp Stock Awards

The Unprocessed VC Stock Awards inquiry page is where you view unprocessed variable comp awards after they have been published to stock administration.

Unprocessed VC Stock Awards Inquiry Page

Usage	Use the Unprocessed VC Stock Awards inquiry page to view unprocessed Variable Comp awards.
Object Name	VC_ST_AWARD
Navigation	**Compensate Employees, Administer Stock Options, Inquire, Unprocessed VC Stock Awards, Vc St Award**
Prerequisites	Variable Compensation must first publish an award to PeopleSoft Stock Administration.
Access Requirements	None



UnProcessed Variable Comp Stock Awards View All First 1-14 of 25 Last

VC Plan | Optionee

	VC Plan ID	Payout Period ID	Group ID
1	KU1ISO1990	1998	NOGROUP
2	KU1ISO1990	1998	NOGROUP
3	KU1ISO1990	1998	NOGROUP
4	KU1ISO1990	1998	NOGROUP
5	KU1ISO1990	1998	NOGROUP
6	KU1ISO1990	1998	NOGROUP
7	KU1ISO1990	1998	NOGROUP
8	KU1ISO1990	1998	NOGROUP
9	KU1ISO1990	1998	NOGROUP
10	KU1ISO1990	1998	NOGROUP
11	KU1ISO1990	1998	NOGROUP
12	KU1ISO1990	1998	NOGROUP
13	KU1ISO1990	1998	NOGROUP
14	KU1ISO1990	1998	NOGROUP

Unprocessed VC Stock Awards: VC Plan inquiry page

The following fields are common to multiple pages and are defined in the preface of this PeopleBook in PeopleBooks Standard Page Element Definitions: **EmplID and Name.**

Note. Multiple views of this page are available by clicking the tabs in the scroll area. We document fields common to all views first.

VC Plan Tab

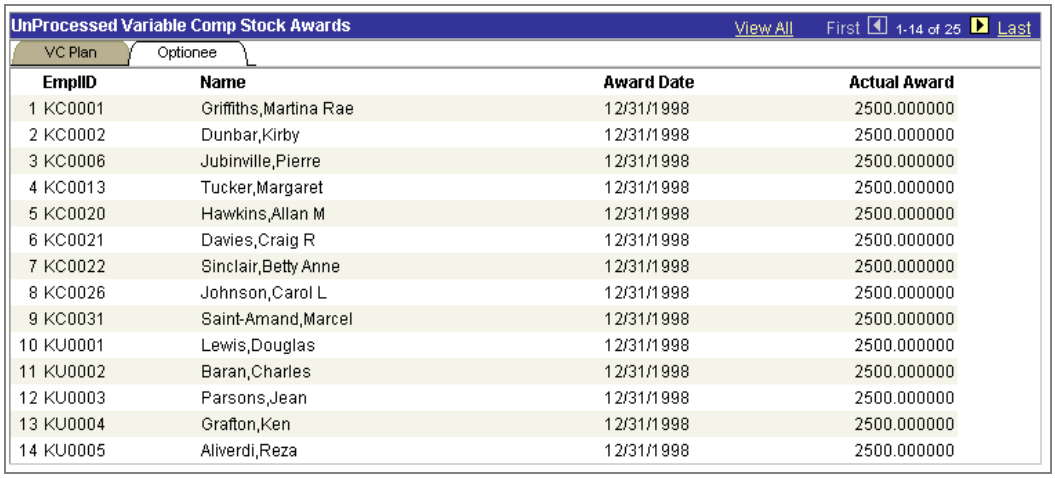
See the exhibit above for a view of this tab.

VC Plan ID The system displays the **VC Plan ID.**

Payout Period ID The system displays the **Payout Period ID.**

Group ID The system displays the **Group ID.**

Optionee Tab



UnProcessed Variable Comp Stock Awards — View All — First 1-14 of 25 Last

VC Plan | Optionee

	EmplID	Name	Award Date	Actual Award
1	KC0001	Griffiths,Martina Rae	12/31/1998	2500.000000
2	KC0002	Dunbar,Kirby	12/31/1998	2500.000000
3	KC0006	Jubinville,Pierre	12/31/1998	2500.000000
4	KC0013	Tucker,Margaret	12/31/1998	2500.000000
5	KC0020	Hawkins,Allan M	12/31/1998	2500.000000
6	KC0021	Davies,Craig R	12/31/1998	2500.000000
7	KC0022	Sinclair,Betty Anne	12/31/1998	2500.000000
8	KC0026	Johnson,Carol L	12/31/1998	2500.000000
9	KC0031	Saint-Amand,Marcel	12/31/1998	2500.000000
10	KU0001	Lewis,Douglas	12/31/1998	2500.000000
11	KU0002	Baran,Charles	12/31/1998	2500.000000
12	KU0003	Parsons,Jean	12/31/1998	2500.000000
13	KU0004	Grafton,Ken	12/31/1998	2500.000000
14	KU0005	Aliverdi,Reza	12/31/1998	2500.000000

Unprocessed Variable Comp Stock Awards: Optionee Tab inquiry page

Award Date The system displays the **Award Date.**

Actual Award The system displays **Actual Award** Amount.

Running the Expire Variable Comp Plans Process

When the Variable Comp plans or funding periods expire, you should return the shares back to the stock plan. You should schedule this process to run periodically. When you use the Expire Variable Comp Plans process page to run the ST_VC_EXPIRE process, the AE program checks the expiration of the Variable Comp plans. If any plans are expired, the system inserts a row into the Variable Comp Funding page to decrease the balance to zero. The Expire Variable Comp Plans process uses the standard PRSCRUNCTL run control page.

For more information about variable comp funding see Funding VC Plans and Groups.

Expire Variable Comp Plans Process Page

Usage	Use the Expire Variable Comp Plans process page to expire Variable Comp plans.
Navigation	**Define Business Rules, Define Stock Option Plans, Process, Expire Variable Comp Plans**
Prerequisites	None

Access Requirements	Enter a Run Control ID.

Expire Variable Comp Plans process page

The following field is common to multiple pages and is defined in the preface of this PeopleBook in PeopleBooks Standard Page Element Definitions: **Run Control ID.**

Report Manager Click to access the Report List page, where you can view report content, check the status of a report, and see content detail messages (which show you a description of the report and the distribution list).

Process Monitor Click to access the Process List page, where you can view the status of submitted process requests.

Run Click to access the Process Scheduler request page, where you can specify where a process or job runs and the process output format.

For more information about the Report List page, the Process List page, and the Process Scheduler, see PeopleSoft Payroll PeopleBooks.

CHAPTER 7

Administering Grants

Once you've established your stock option plans and allocated funds to the plans, you're ready to grant stock options to your optionees. By using variable compensation, much of the process is automated. But you can still make adjustments and grant individual grants as necessary.

Before You Begin

Before you begin granting stock options, you should:

- Create the vesting schedules.
- Set up your stock option plans.
- Create your grant reasons.
- Set up agreements.
- Set up the default tax tables.
- Add insider data.
- Add issuance instructions.
- Enter daily prices.
- Allocate shares to the stock option plan and variable compensation plan.
- Receive variable compensation awards.

Creating Grants

You can grant stock options to your participants in three ways:

- Process grants awarded through your variable compensation plan.
- Award grants from an individual stock option plan through an online transaction.
- Replace an existing grant with a new grant during a reprice.

You use the Grants component to view the details of an existing grant or enter a new grant online. The Grants - General page is where you view or enter the basic parameters of the grant. You select the stock plan and enter the grant date, number of shares granted, and the grant price. If you specify an Option Parameter ID many of the details default from the predefined option parameters.

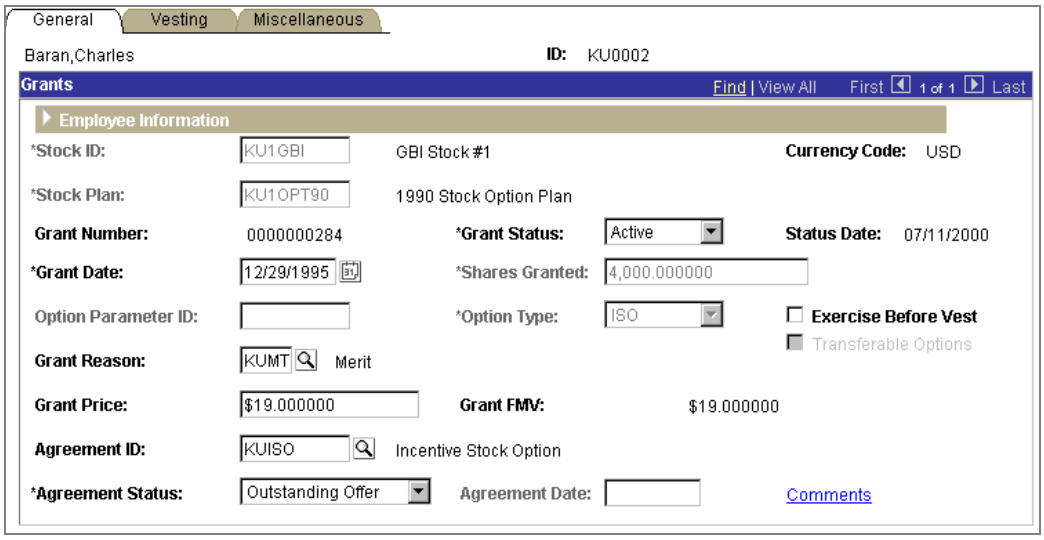
The Grants - Vesting page is where you generate the vesting schedule for the grant. You can create the schedule automatically by selecting a vesting schedule ID or manually by defining the vesting periods individually. You can also adjust an existing grant's vesting schedule, if necessary, although you cannot modify it in such a way that it invalidates previously exercised transactions. If the option type is ISO, you can determine if the value of the shares first exercisable exceeds the 100K limit. Once you've entered the vesting schedule, you have to run the validate ISO AE process by clicking **Validate ISO** prior to saving the transaction. Any shares that exceed the ISO limit are displayed as an NQ grant and you get a message that the limit is exceeded. When you save the grant transaction, if the grant exceeds the ISO limit, the system creates two grants: one ISO grant up to the limit and one NQ grant for the amount over the limit. If you do not want this to happen, cancel the grant transaction without saving. These values vary according to the ISO method used.

For more information about ISO limits, see Validating ISO Limits.

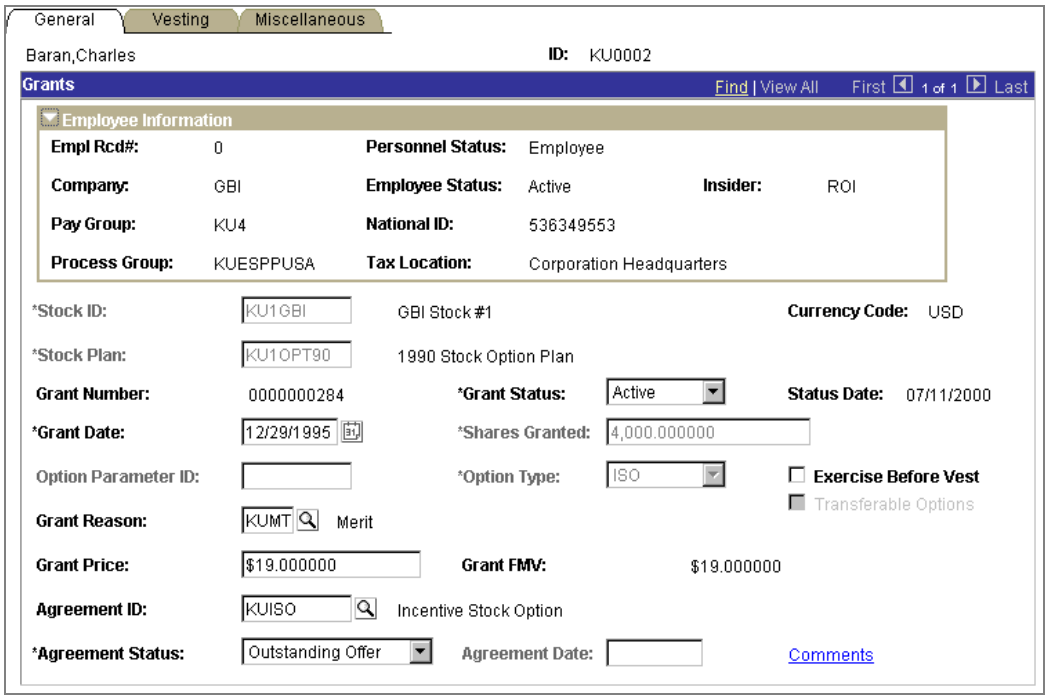
The Grants - Miscellaneous page is where you view fields that are related to cancellations, variable compensation, and reprice. You can make adjustments in all but the variable compensation fields.

Grants - General Page

Usage	Use the Grants - General page to award a new or update an existing grant from an individual plan to an optionee.
Object Name	ST_GRANT
Navigation	**Compensate Employees, Administer Stock Options, Use, Grants, General**
Prerequisites	You must first set up and allocated stock to your stock option plans.
Access Requirements	Select an Empl ID (employee identification) and a stock ID.



Grants - General page (1 of 2)



Grants - General page (2 of 2)

The following fields are common to multiple pages and are defined in the preface of this PeopleBook in PeopleBooks Standard Page Element Definitions: **ID Empl Rcd#, Company,** and **National ID.**

The system displays the employee's name.

Employee Information

This information displays on all pages in the component. The information is as of the grant date.

Personnel Status The system displays the personnel status.

Person Type If the optionee is a non-employee, the system displays the person type.

Employee Status The system displays the employee status.

Insider If the optionee is an insider, the system displays the insider status.

Pay Group The system displays the pay group of the primary job.

Process Group The system displays the process group.

Tax Location The system displays the tax location of the primary job.

Grant Information

Stock ID Select the stock ID from available choices.

Currency Code The system displays the currency code associated with the stock ID.

Stock Plan Select the stock plan from where you want to grant the options. Once you save the grant and it is active, the unallocated plan shares balance on the Stock Option Plan Balance component changes to reflect the grant.

For more information about stock option plan balances, see Stock Administration, "Managing Stock Administration".

Grant Number The system displays ***NEW*** when you enter a grant. When you save, the system generates a sequential grant number from the last grant number stored on the Stock table.

Grant Status Select the grant status. Valid values are ***Active, Void,*** and ***Pending,*** which is the default.

Status Date The system displays the date that the status was last changed and saved.

Grant Date Enter the grant date. You get a warning if the individual is not active as of this date.

Shares Granted Enter the number of shares that you want to grant to the individual.

ISO Limit Grant Number The system displays the ISO limit grant number if the ISO grant is over the ISO limit and an NQ grant is created. This number represents the associated grant number of the ISO and NQ pair of grants. If this is the ISO grant, the NQ grant number displays. If this is the NQ grant, the ISO grant number displays.

Total Shares The system displays the total shares of the two grants if the ISO limit is reached and two grants, one ISO and one NQ, are created.

Option Parameter ID Select an option parameter ID from the available choices. This field is defined on the Stock Option Plan Rules - Option Parameters setup page. The predefined values default to the following fields: **Option Type, Expire Basis, Life Months, Vesting Schedule,** and **Agreement ID.** You can change the default values. This field is not required and can only be entered for a new grant.

Option Type Select the type of option. The system default is the option type associated with the option parameter ID, if entered, which you can change.

Exercise Before Vest If the option plan allows exercise before vest, this check box is available. Select this check box if you want to enable the optionee to exercise the shares granted before they are vested. If the option type is RSA this check box is selected.

Transfer Options If the option plan allows options to be transferred, this field is available. If you want to allow the options to be transferred, select this check box. This field is not available if the option type is ISO or ISO/SAR. This field is for information only.

Grant Reason Select a grant reason from the available choices.

Grant Price The system default is the Grant FMV (fair market value) calculated based on the Daily Prices table and defined in the Stock Option Plan Rules – FMV Rules page. You can change this amount.

If the option type is ***ISO,*** the grant price cannot be less than the FMV on the grant date.

If the optionee is a 10% shareholder, the grant price of an ISO/ISAR grant has to be at least the Grant FMV multiplied by the 10% shareholder FMV rule on the governing body rules table.

Grant FMV The system displays the Grant FMV calculated based on the Daily Prices table and defined using the Stock Option Plan Rules - FMV Rules page.

Agreement ID Select a grant agreement to use for this grant. If you selected a Parameter ID its agreement ID is the default. You can select another from the available options.

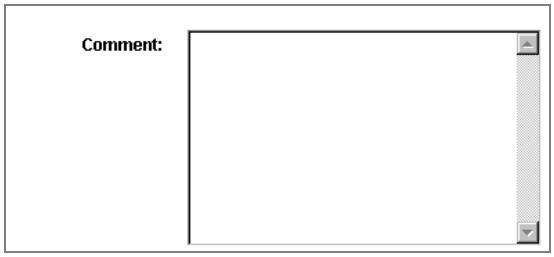
Agreement Status Select ***Accepted Offer, Outstanding Offer,*** or ***Rescinded Offer*** to indicate the status of the agreement. If you select ***Rescinded Offer,*** you must set the cancel reason to ***Rescind*** and enter a cancellation reason on the Stock Option Grants - Miscellaneous page.

Agreement Date Enter the date that the agreement was accepted or the date when the grant was rescinded.

Comments Click **Comments** to access the Comments Page, where you can add comments about the stock option grant.

Comments Page

Usage	Use the Comments page to add comments about the stock option grant.
Object Name	ST_GRANT_CMT_SEC
Navigation	Click **Comments** on the Stock Option Grants - General page.



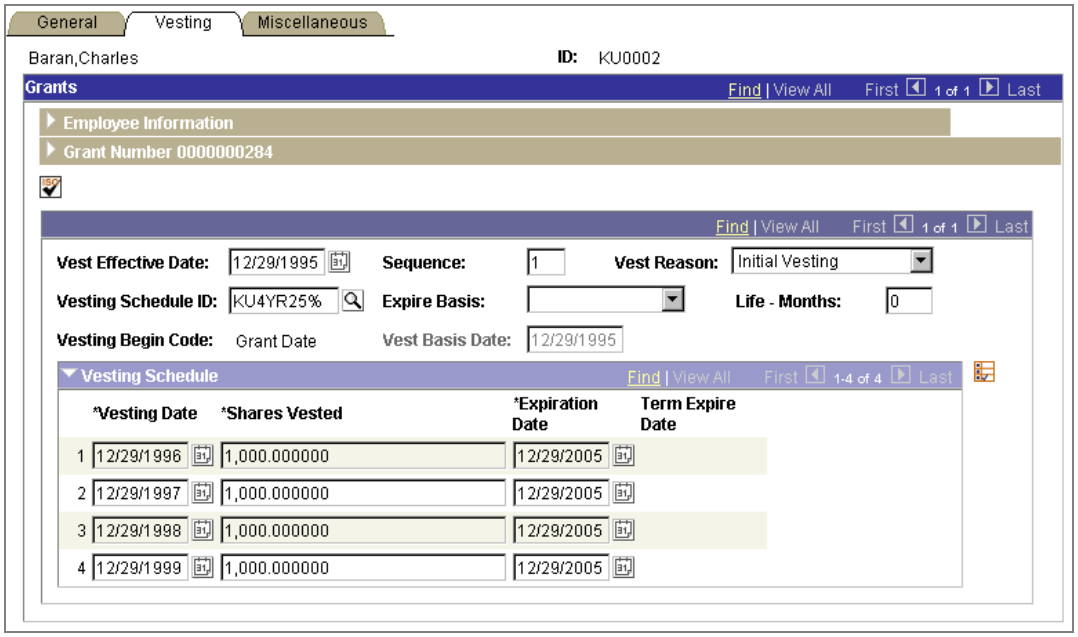
Comments page

The following field is common to multiple pages and is defined in the preface of this PeopleBook in PeopleBooks Standard Page Element Definitions: **Comment.**

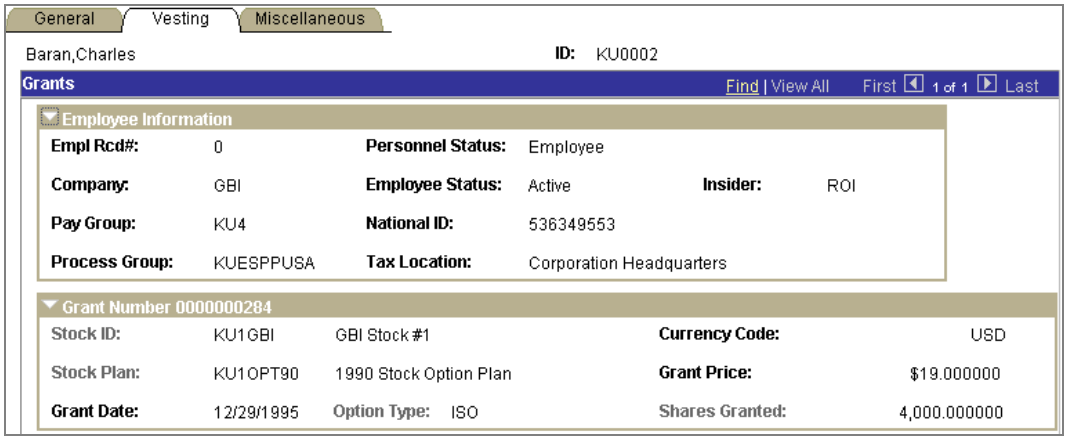
Grants - Vesting Page

Usage	Use the Grants - Vesting page to create a new or update an existing vesting schedule associated with the grant and validate ISO limits.
Object Name	ST_GRANT_VEST
Navigation	**Compensate Employees, Administer Stock Options, Use, Grants, Vesting**

Prerequisites	The Grants - Vesting page is the second page in the Grants component. You must first enter data on the previous page.
Access Requirements	Select an Empl ID and a stock ID.



Grants - Vesting page (1 of 2)



Grants - Vesting page (2 of 2)

The following fields are common to multiple pages and are defined in the preface of this PeopleBook in PeopleBooks Standard Page Element Definitions: **ID, Empl Rcd# , Company,** and **National ID.**

The system displays the employee's name.

Employee Information

These fields display on all pages in the component and are defined on the Grants - General page.

Grant Information

Grant Number The system displays ***NEW*** when you enter a grant. When you save, the system generates a sequential grant number from the last grant number stored on the Stock table.

Stock ID The system displays the stock ID.

Currency Code The system displays the currency code.

Stock Plan The system displays the option stock plan.

Grant Price The system displays the grant price.

Grant Date The system displays the grant date.

Option Type The system displays the option type.

Shares Granted The system displays the number of shares granted.

ISO Click the button to run the ISO validation process. This choice is available if the option type is ISO or ISO/SAR. You must run the ISO validation process before you can save pending and active grants.

Vesting Information

The Option Parameters values are the default, which you can change.

Vest Effective Date When you enter a new grant, the system default is the grant date. When you later make an adjustment, you enter a new vest effective date.

Sequence The system displays a sequence number if you make a change to the vesting schedule.

Vest Reason When you enter a new grant, the system default is the vesting reason ***Initial Vesting.*** If you need to change the vesting schedule after the grant is saved, you need to enter a new set of rows and select a different Vest Reason. Valid values are ***Initial Vesting, Correction, Merger/Acquisition, Return from Leave, Performance Vesting, Reprice,*** and ***Termination.***

Vesting Schedule ID If you defined an option parameter, the value defined in the Stock Options Plan Rules component is the default. Otherwise the default is ***MANUAL.*** You can change the value.

Expire Basis If you defined an option parameter, the value defined in the Stock Options Plan Rules component is the default, which you can change. Otherwise, select ***Grant Date, Grant Date - 1, Vest Date,*** or ***Vest Date - 1*** to indicate the date used to calculate the start of the option life months.

Life - Months If you defined an option parameter, the value defined in the Stock Options Plan Rules component is the default, which you can change. Otherwise, enter the number of months the option remains outstanding.

If the optionee is a 10% shareholder, the maximum life months is defined on the governing body rules table.

Vesting Begin Code The system displays the vesting begin code defined on the vesting schedule.

Vest Basis Date Enter a date for the starting point for vesting if the vest begin code define on the vesting schedule is Other. Otherwise, the vest begin code on the vesting schedule defaults.

Vesting Schedule

The vesting schedule associated with the stock option plan is the default.

(vesting) If you entered a vesting schedule ID, you can click the **Create Vesting Schedule** button to create the vesting schedule.

Vesting Date The system displays the vesting date for each period. You can change the date, however, the date cannot exceed the life of the option or be before the date of the grant or after the expiration date.

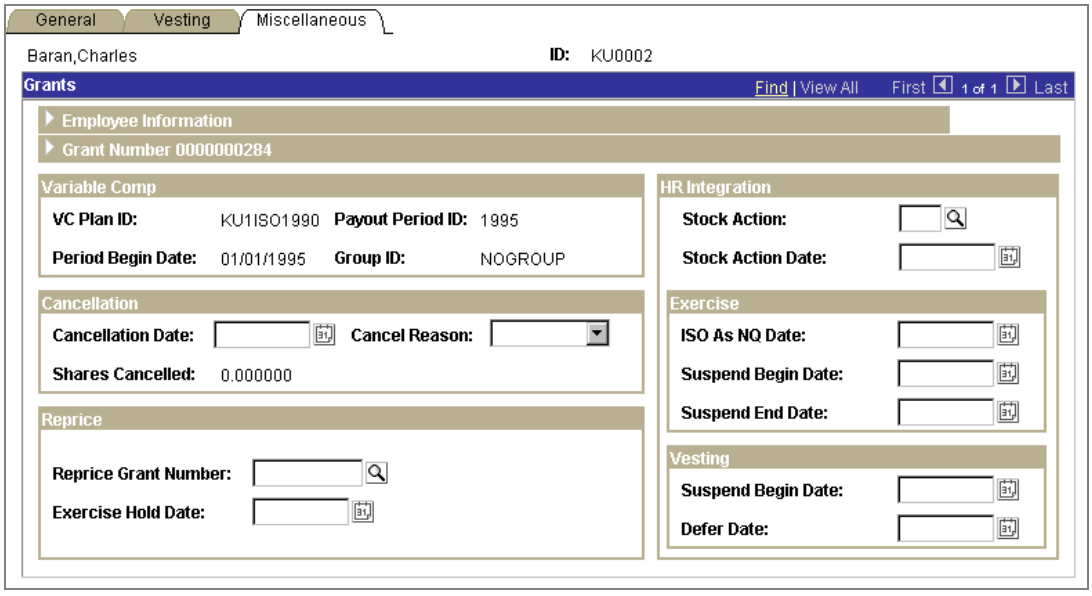
Shares Vested The system displays the number of shares that vest in each period. You can change the number of shares, but the total of all the shares must equal the total shares granted.

Expiration Date The system displays the expiration date calculated from the **Expire Basis** and **Life Months** fields. You can change the date, however, if the option type is ***ISO,*** the date cannot exceed the option life limit set up on the Governing Body Rules - Stock Option Rules page.

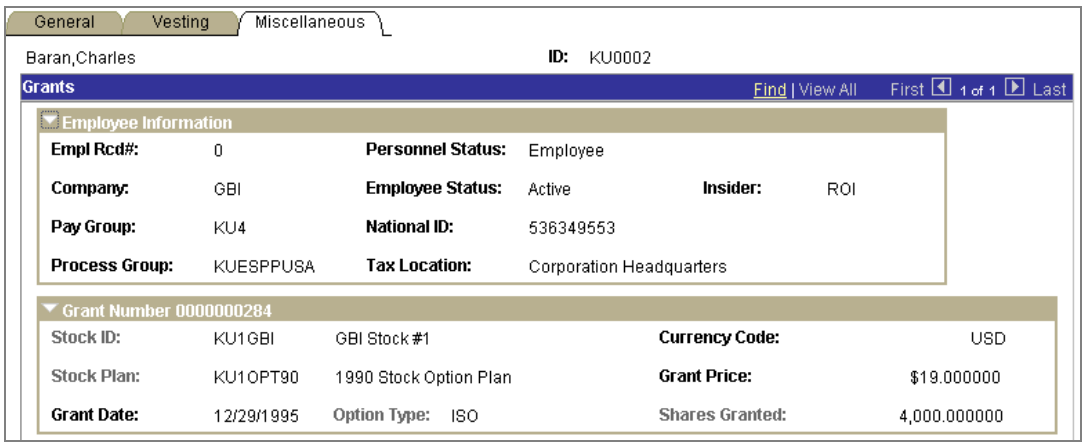
Term Expire Date This field is available when the option is cancelled due to termination. Enter the grant expiration date.

Grants - Miscellaneous Page

Usage	Use the Grants - Miscellaneous page to view and enter information about cancellations, human resources, variable compensation, and reprice.
Object Name	ST_GRANT_MISC
Navigation	**Compensate Employees, Administer Stock Options, Use, Grants, Miscellaneous**
Prerequisites	The Grants - Miscellaneous page is the third page in the Grants component. You must first enter data on the previous pages.
Access Requirements	Select an Empl ID and a stock ID.



Grants - Miscellaneous page (1 of 2)



Grants - Miscellaneous page (2 of 2)

The following fields are common to multiple pages and are defined in the preface of this PeopleBook in PeopleBooks Standard Page Element Definitions: **ID, Empl Rcd#, Company,** and **National ID.**

The system displays the employee's name.

Employee Information

These fields display on all pages in the component and are defined on the Grants - General page.

Grant Information

Grant Number The system displays ***NEW*** when you enter a grant. When you save, the system generates a sequential grant number from the last grant number stored on the Stock table.

Stock ID The system displays the stock ID.

Currency Code The system displays the currency code.

Stock Plan The system displays the option stock plan.

Grant Price The system displays the grant price.

Grant Date The system displays the grant date.

Option Type The system displays the option type.

Shares Granted The system displays the number of shares granted.

Variable Comp

These fields are populated if the grant was awarded through variable compensation. They are display only.

VC Plan ID The system displays the VC plan ID.

Payout Period ID The system displays the payout period ID.

Period Begin Date The system displays the period begin date.

Group ID The system displays the group ID.

Cancellation

Occasionally you may need to cancel a grant. Use these fields to enter the cancellation information. This may occur automatically as a result of a reprice or processing of a termination stock action, or you can manually enter the information for a rescinded grant.

Cancellation Date Enter the date that the grant is cancelled.

Cancel Reason Select a reason for the cancellation. Valid values are ***Reprice, Rescind,*** and ***Terminated.*** If you select ***Rescind,*** the **Agreement Status** field must be ***Rescind*** also.

Shares Cancelled The system displays the number of shares cancelled.

Reprice

If this grant is the result of a stock reprice, the following fields are populated. You can also enter the information manually if the grant was repriced manually. If you enter the information manually you need to ensure that both the grant that is repriced and the new grant are updated correctly as would have been done by the Reprice process.

Reprice Grant Number The system enters the number of the grant that was repriced and replaced by this grant.

Exercise Hold Date Enter an exercise hold date.

HR Integration

If the grant is changed because of a stock action, these fields are populated. You can change the default values. If you enter the information manually you need to ensure that the correct fields are modified and the correct validation is performed as would have been done by the Stock Action process.

Stock Action The system enters the stock action.

Stock Action Date The system enters the date of the stock action.

Exercise - ISO as NQ Date The system enters the ISO exercise as NQ date if the stock action is termination and the grant is ISO.

Exercise - Suspend Begin Date The system enters the exercise suspend begin date.

Exercise - Suspend End Date The system enters the exercise suspend end date.

Vesting - Suspend Begin Date	The system enters the vesting suspend date.
Vesting - Defer Date	The system enters the vesting deferral date.

Generating Grants

The Generate Grants - VC Criteria process page defines the basic parameters of the grant generation process including the VC plan ID. You can enter the VC plan, payout period, and group ID, if any, for any unprocessed awards you want to generate.

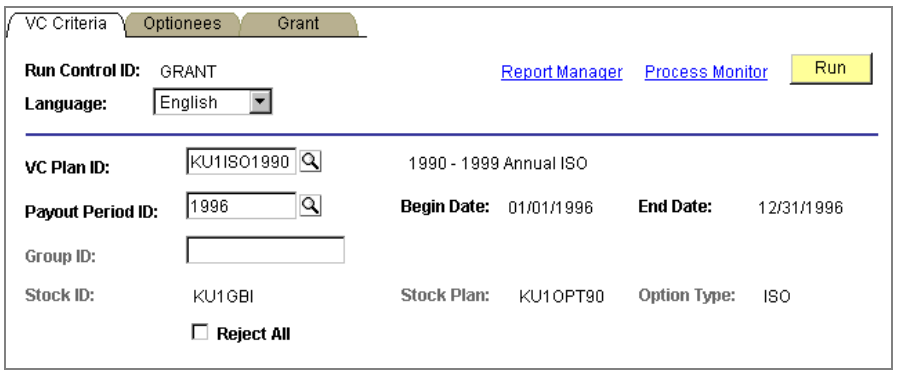
The Generate Grants - Optionees process page enables you to select or exclude individuals. The default is to include all individual and you select individuals to exclude.

The Generate Grants - Grant process page is where you add additional grant information. During the process the vesting routine is used and the ISO validation occurs if the grant is ISO/SAR.

For more information about ISO limits, see Validating ISO Limits.

Generate Grants - VC Criteria Process Page

Usage	Use the Generate Grants - VC Criteria process page to specify variable compensation information.
Object Name	ST_RUNCTL_GEN_GRNT
Navigation	**Compensate Employees, Administer Stock Options, Process, Generate Grants, VC Criteria**
Prerequisites	You must first award grants to the optionees through variable compensation.
Access Requirements	Enter a run control ID.



Generate Grants - VC Criteria process page

The following fields are common to multiple pages and are defined in the preface of this PeopleBook in PeopleBooks Standard Page Element Definitions: **Run Control ID** and **Language.**

VC Plan ID Select a VC plan ID.

Payout Period ID Select a payout period ID.

Begin Date The system displays the begin date.

End Date The system displays the end date.

Group ID If you use groups, this field is available. Select a group ID or leave the field blank to process all groups.

Stock ID The system displays the stock ID that is associated with the VC plan ID.

Stock Plan The system displays the stock plan that is associated with the VC plan ID.

Option Type The system displays the option type that is associated with the VC plan ID.

Reject All Select **Reject All** if you want to reject all VC grants. If you entered a group ID, the system will reject all grants within the group ID.

Note. Important! If you reject VC grants, you cannot recalculate them on the VC side for the same period. You will have to calculate new awards in the following period.

Report Manager Click **Report Manager** to access the Report List page, where you can view report content, check the status of a report, and see content detail messages (which show you a description of the report and the distribution list).

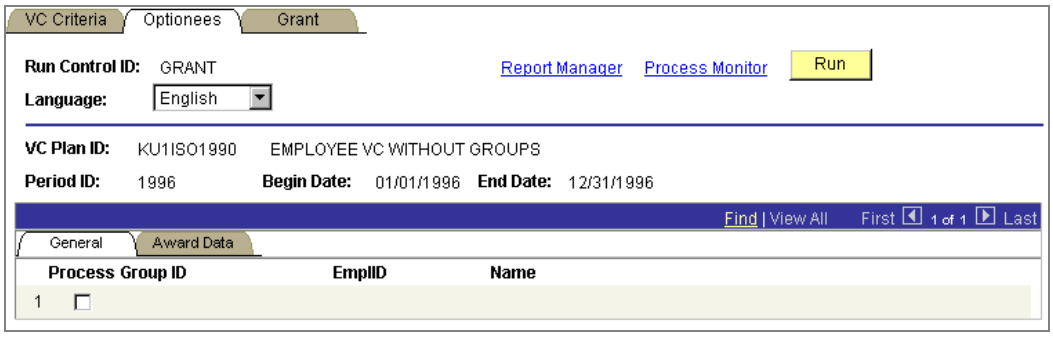
Process Monitor Click **Process Monitor** to access the Process List page, where you can view the status of submitted process requests.

Run Click **Run** to access the Process Scheduler request page, where you can specify where a process or job runs and the process output format.

For more information about the Report List page, the Process List page, and the Process Scheduler, see PeopleSoft Payroll PeopleBooks.

Generate Grants - Optionees Process Page

Usage	Use the Generate Grants - Optionees process page to exclude individuals in the process.
Object Name	ST_GEN_OPTIONEES
Navigation	**Compensate Employees, Administer Stock Options, Process, Generate Grants, Optionees**
Prerequisites	The Generate Grants - Optionees page is the second page in the Generate Grants component. You must first enter data on the previous page.
Access Requirements	Enter a run control ID.



Generate Grants - Optionees: General process page

The following fields are common to multiple pages and are defined in the preface of this PeopleBook in PeopleBooks Standard Page Element Definitions: **Run Control ID, Language, EmplID, Name,** and **Empl Rcd#.**

Note. Multiple views of this page are available by clicking the tabs in the scroll area. We document fields common to all views first.

Common Page Information

VC Plan ID The system displays the VC plan ID.

Period ID The system displays the payout period ID.

Begin Date The system displays the begin date.

End Date The system displays the end date.

Process The system selects **Process**, indicating this group will be processed. Clear this check box if you want to exclude the group or individual, if they are ad hoc.

Group ID The system displays the group ID. If the VC plan is ad-hoc, NOGROUP displays.

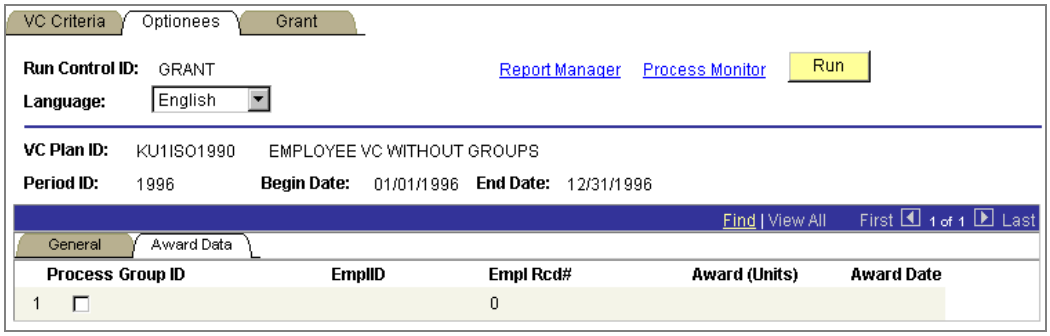
General Tab

See the exhibit above for a view of this tab.

EmplID The system displays the optionee's employee ID.

Name The system displays the optionee's name.

Award Date Tab



Generate Grants - Optionees: Award Date process page

Award (Units) The system displays the number of units awarded.

Award Date The system displays the award date.

Report Manager Click **Report Manager** to access the Report List page, where you can view report content, check the status of a report, and see content detail messages (which show you a description of the report and the distribution list).

Process Monitor Click **Process Monitor** to access the Process List page, where you can view the status of submitted process requests.

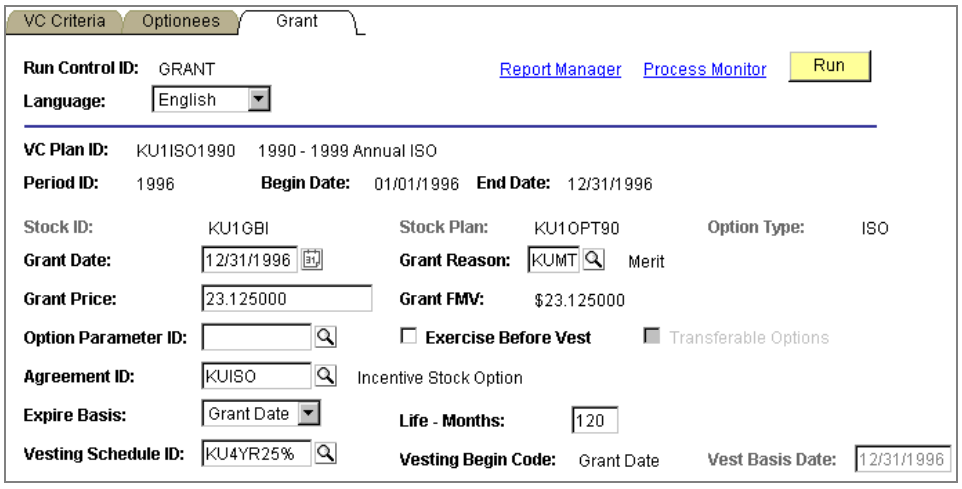
Run Click **Run** to access the Process Scheduler request page, where you can specify where a process or job runs and the process output format.

For more information about the Report List page, the Process List page, and the Process Scheduler, see PeopleSoft Payroll PeopleBooks.

Generate Grants - Grant Process Page

Usage	Use the Generate Grants - Grant process page to add grant information.
Object Name	ST_GEN_GRANT
Navigation	**Compensate Employees, Administer Stock Options, Process, Generate Grants, Grant**

Prerequisites	The Generate Grants - Grant page is the third page in the Generate Grants component. You must first enter data on the previous pages.
Access Requirements	Enter a run control ID.



Generate Grants - Grant process page

The following fields are common to multiple pages and are defined in the preface of this PeopleBook in PeopleBooks Standard Page Element Definitions: **Run Control ID** and **Language.**

VC Plan ID The system displays the VC plan ID.

Period ID The system displays the payout period ID.

Begin Date The system displays the begin date.

End Date The system displays the end date.

Stock ID The system displays the stock ID that is associated with the VC plan ID.

Stock Plan The system displays the stock plan that is associated with the VC Plan ID.

Option Type The system displays the option type that is associated with the VC plan ID.

Grant Date The grant date defaults to the payout period's end date associated with the payout period ID or the VC plan ID. You can change it, but the date must be between the payout period's begin date and the end date.

Grant Reason Select a grant reason from the available choices.

Grant Price The grant price defaults to the grant FMV of the grant date.

Grant FMV The system displays the grant FMV associated with the grant date.

Option Parameter ID Select an option parameter ID from the available choices.

Exercise Before Vest If the option plan allows exercise before vesting, you can select this check box. If the option type is RSA this check box is selected.

Transferable Options If the option plan allows options to be transferred, this field is available. If you want to allow the options to be transferred, select this check box. This field is not available if the option type is ISO or ISO/SAR. This field is for information only.

Agreement ID The system default is the value that is associated with the option parameter ID, which you can change. Otherwise, select an agreement ID from the available choices.

Expire Basis The system default is the value that is associated with the option parameter ID, which you can change. Otherwise, select ***Grant Date, Grant Date - 1, Vest Date,*** or ***Vest Date - 1*** to indicate the date used to calculate the start of the option life months.

Life - Months The system default is the value associated with the option parameter ID, which you can change. Otherwise, enter the number of months that the option remains outstanding.

Vesting Schedule ID The system default is the value associated with the option parameter ID, which you can change. Otherwise, select a vesting schedule ID from the available choices.

Vesting Begin Code The system displays the value that is associated with the vesting ID.

Vesting Basis Date If the system displays a vesting begin code, enter a vesting basis date.

Report Manager Click **Report Manager** to access the Report List page, where you can view report content, check the status of a report, and see content detail messages (which show you a description of the report and the distribution list).

Process Monitor Click **Process Monitor** to access the Process List page, where you can view the status of submitted process requests.

Run Click **Run** to access the Process Scheduler request page, where you can specify where a process or job runs and the process output format.

For more information about the Report List page, the Process List page, and the Process Scheduler, see PeopleSoft Payroll PeopleBooks.

Modifying Grants

Occasionally you have to make adjustments to granted options. The types of modifications that are allowed depend on the source of the grant, the option type granted, and the transactions that have occurred since the option was granted. You use the Modify Grants process component to modify a group of grants using a batch process. Use the Stock Option Grants component to modify an individual grant.

Pending grants are counted toward the ISO limit if the pending grant is the grant being generated. During the modify grants, or an online process of changing the grant status from Pending to Active, the ISO validation occurs again, which may change the ISO/NQ split if an employee has more than one ISO grant in Pending status.

For more information about ISO limits, see Validating ISO Limits.

The Modify Grants - Criteria process page is where you enter the criteria to select the grant or grants you want to modify.

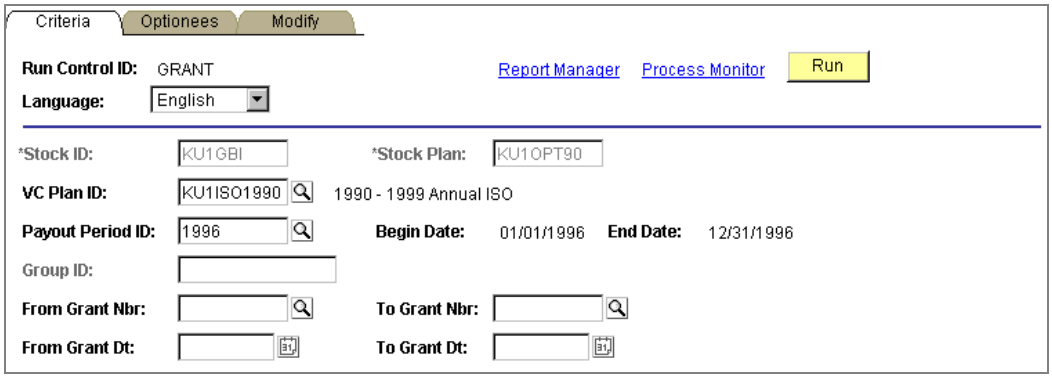
The Modify Grants - Optionees process page is where you select the optionees whose grants you want to modify.

The Modify Grants - Modify process page is where you enter the modified data.

Modify Grants - Criteria Process Page

Usage	Use the Modify Grants - Criteria process page to modify a previously generated grant.
Object Name	ST_RUNCTL_MOD_GRNT
Navigation	**Compensate Employees, Administer Stock Options, Process, Modify Grants, Criteria**
Prerequisites	You must first run the Generate Grants process.

Access Requirements	Enter a run control ID.



Modify Grants - Criteria process page

The following fields are common to multiple pages and are defined in the preface of this PeopleBook in PeopleBooks Standard Page Element Definitions: **Run Control ID** and **Language.**

Select only the fields that you want to use to modify the grant or grants. For example, you may want to modify all the grants in a stock ID. You would select only the stock ID and leave the other fields unselected. All the grants in the stock ID are modified.

Stock ID Select a stock ID from the available choices.

Stock Plan Select a stock plan from the available choices.

VC Plan ID Select a VC plan ID from the available choices.

Payout Period ID Select a payout period ID from the available choices.

Begin Date The system displays the begin date associated with the payout period.

End Date The system displays the end date associated with the payout period.

Group ID Select a group ID from the available choices.

From Grant Nbr Select a grant number from the available choices.

To Grant Nbr Select a grant number from the available choices.

From Grant Dt Enter a grant date.

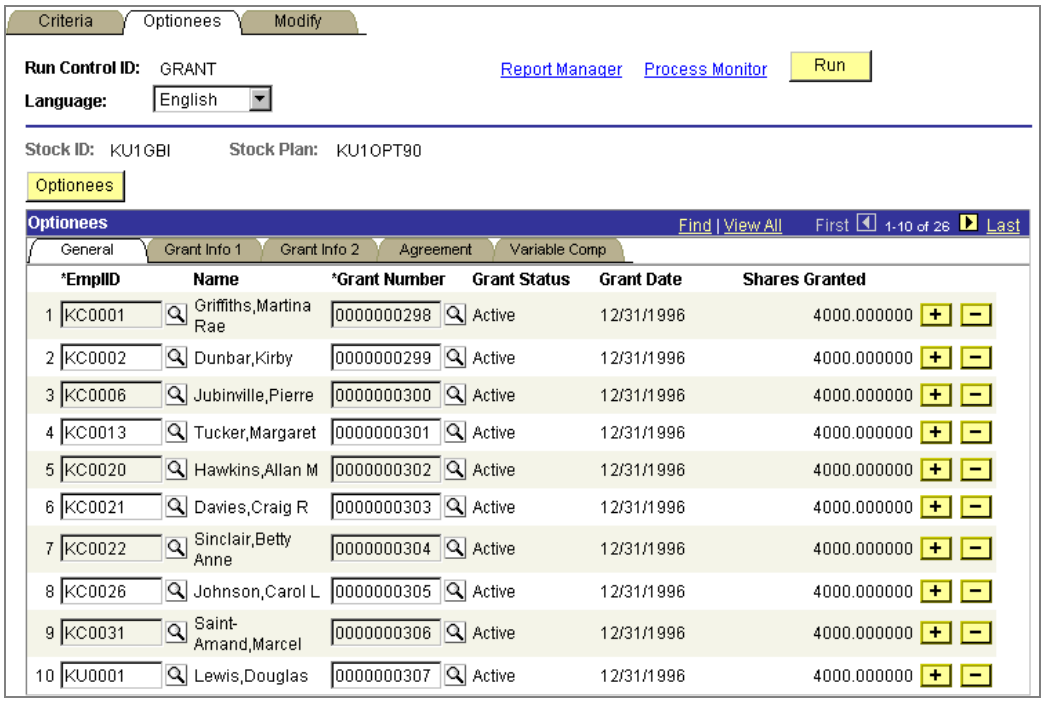
To Grant Dt Enter a grant date.

Report Manager	Click **Report Manager** to access the Report List page, where you can view report content, check the status of a report, and see content detail messages (which show you a description of the report and the distribution list).
Process Monitor	Click **Process Monitor** to access the Process List page, where you can view the status of submitted process requests.
Run	Click **Run** to access the Process Scheduler request page, where you can specify where a process or job runs and the process output format.

For more information about the Report List page, the Process List page, and the Process Scheduler, see PeopleSoft Payroll PeopleBooks.

Modify Grants - Optionees Process Page

Usage	Use the Modify Grants - Optionees process page to specify the optionees that you want to modify.
Object Name	ST_MOD_OPTIONEES
Navigation	**Compensate Employees, Administer Stock Options, Process, Modify Grants, Optionees**
Prerequisites	The Modify Grants - Optionees process page is the second page in the Modify Grants component. You must first enter data on the previous page.
Access Requirements	Enter a run control ID.



Modify Grants - Optionees: General process page

The following fields are common to multiple pages and are defined in the preface of this PeopleBook in PeopleBooks Standard Page Element Definitions: **Run Control ID, Language, EmplID,** and **Name.**

Note. Multiple views of this page are available by clicking the tabs in the scroll area. We document fields common to all views first.

In the Optionee grid you can manually add or delete grants.

Common Page Information

Stock ID The system displays the stock ID.

Stock Plan The system displays the stock plan.

Optionees Click **Optionees** to populate the grid with grant information that matches the criteria entered on the Modify Grants - Criteria process page.

Grant Number Select a grant number from the available choices.

General Tab

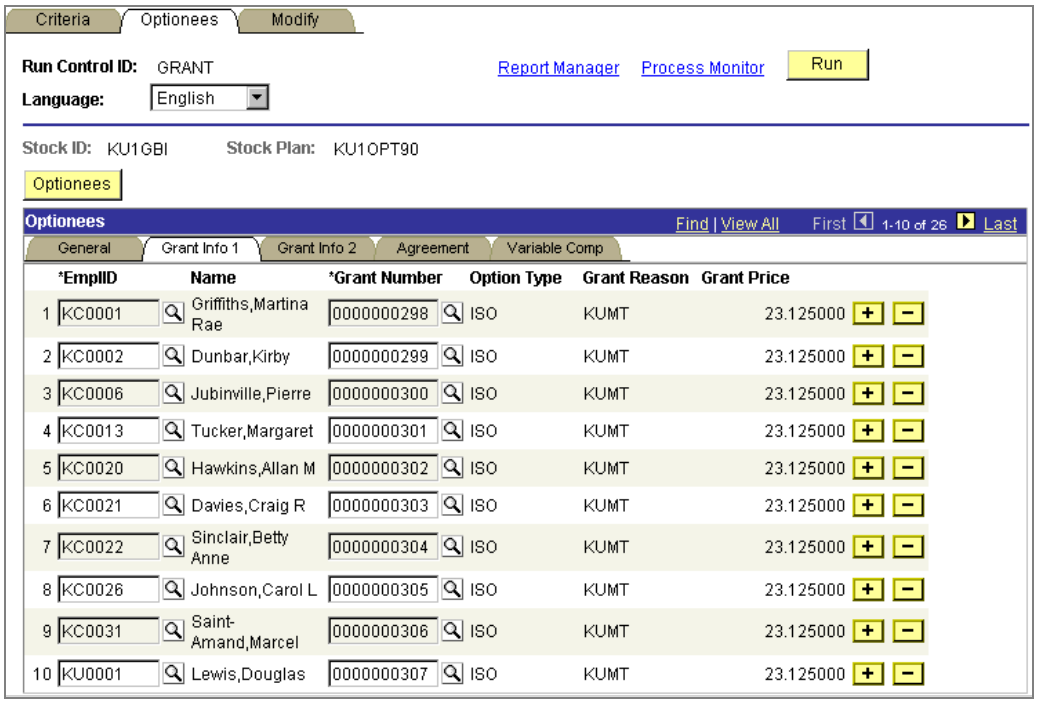
See the exhibit above for a view of this tab.

Grant Status The system displays the grant status.

Grant Date The system displays the grant date.

Shares Granted The system displays the number of shares granted.

Grant Info 1 Tab



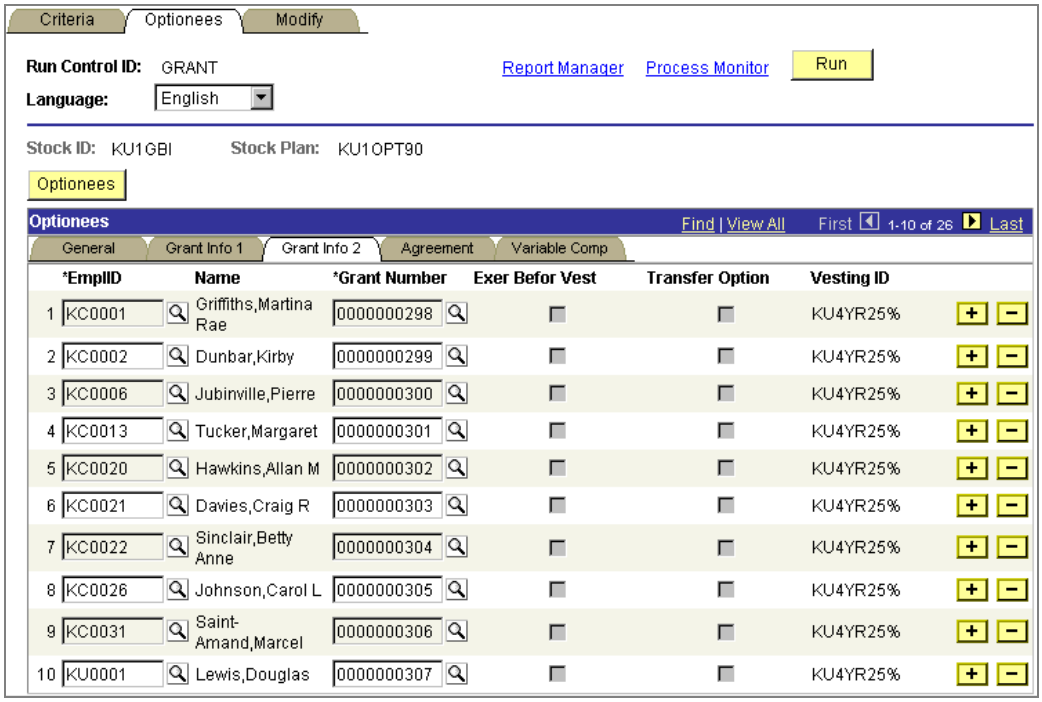
Modify Grants - Optionees: Grant Info 1 process page

Option Type The system displays the option type.

Grant Reason The system displays the grant reason.

Grant Price The system displays the grant price.

Grant Info 2 Tab



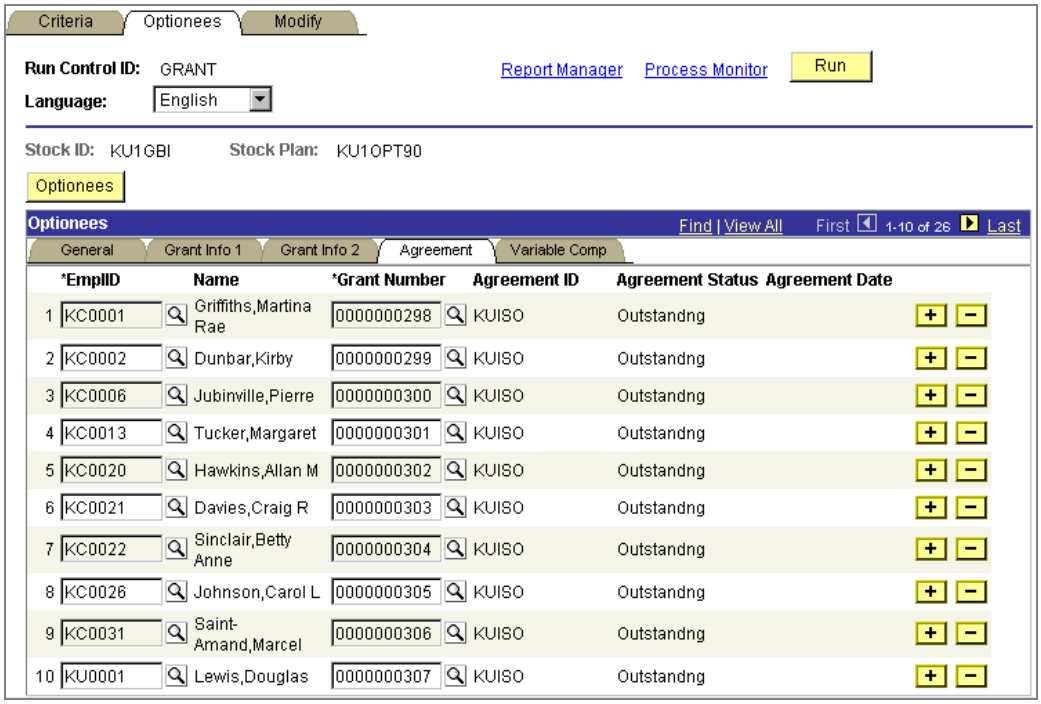
Modify Grants - Optionees: Grant Info 2 process page

Exer Before Vest Select this check box if you want to allow exercise before vest.

Transfer Option Select this check box if you want to allow the options to be transferred.

Vesting ID The system displays the vesting ID.

Agreement Tab



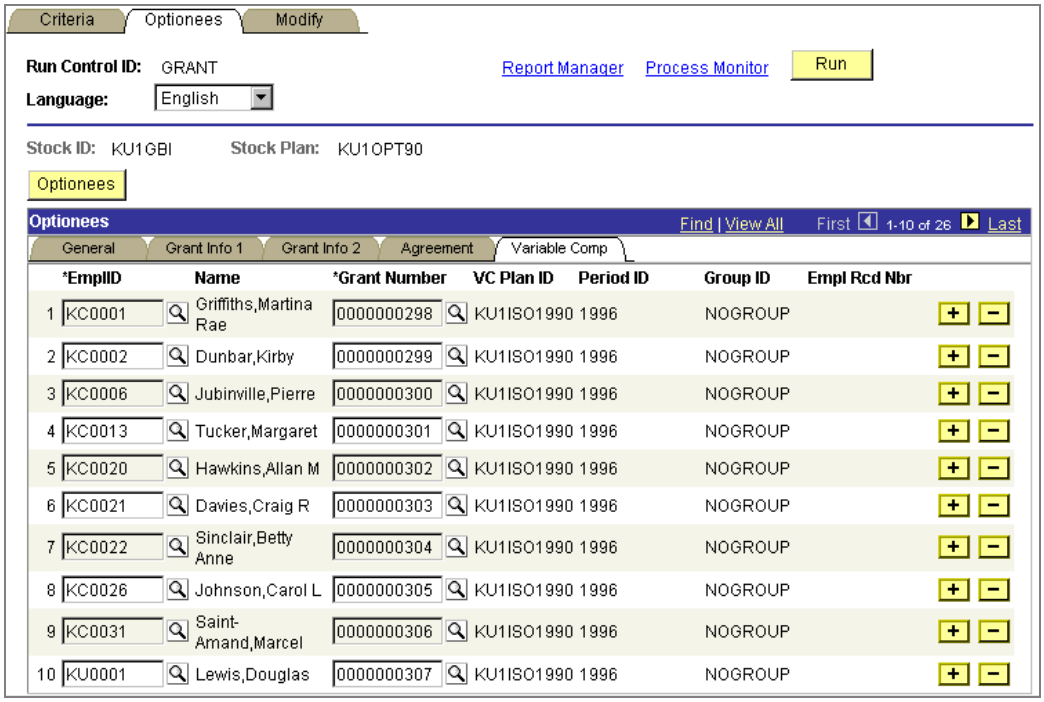
Modify Grants - Optionees: Agreement process page

Agreement ID The system displays the agreement ID.

Agreement Status The system displays the agreement status.

Agreement Date The system displays the agreement date.

Variable Comp Tab



Modify Grants - Optionees: Variable Comp process page

VC Plan ID The system displays the VC plan ID.

Period ID The system displays the payout period ID.

Group ID The system displays the group ID.

Empl Rcd Nbr The system displays the employee record number.

Report Manager Click **Report Manager** to access the Report List page, where you can view report content, check the status of a report, and see content detail messages (which show you a description of the report and the distribution list).

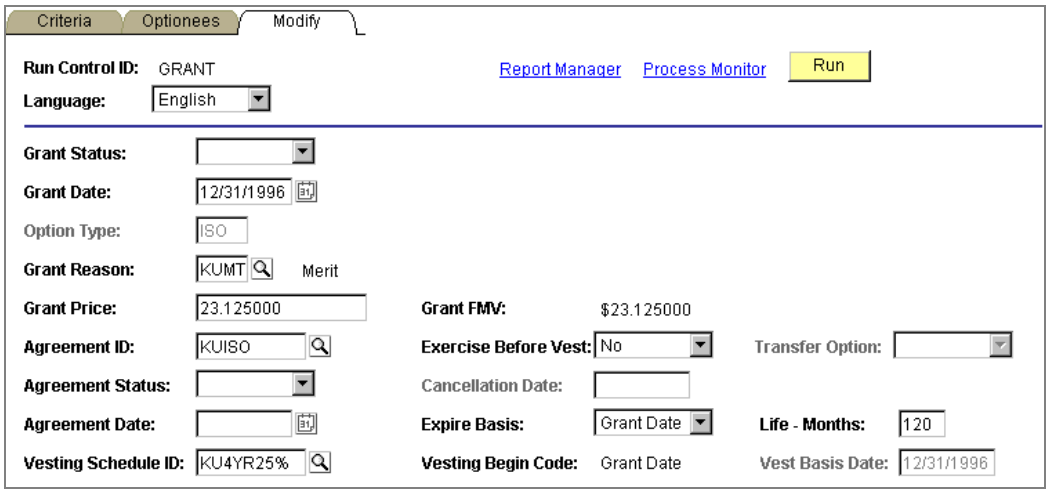
Process Monitor Click **Process Monitor** to access the Process List page, where you can view the status of submitted process requests.

Run Click **Run** to access the Process Scheduler request page, where you can specify where a process or job runs and the process output format.

For more information about the Report List page, the Process List page, and the Process Scheduler, see PeopleSoft Payroll PeopleBooks.

Modify Grants - Modify Process Page

Usage	Use the Modify Grants - Modify process page to modify the grant parameters.
Object Name	ST_MOD_GRANT
Navigation	**Compensate Employees, Administer Stock Options, Process, Modify Grants, Modify**
Prerequisites	The Modify Grants – Modify page is the third page in the Modify Grants component. You must first enter data on the previous pages.
Access Requirements	Enter a run control ID.



Modify Grants - Modify process page

The following fields are common to multiple pages and are defined in the preface of this PeopleBook in PeopleBooks Standard Page Element Definitions: **Run Control ID** and **Language.**

Select and enter only the fields you want the information modified. For example, you may want to change the Agreement ID. Select a new Agreement ID and leave the rest of the fields

unselected. The Agreement ID will be changed for those grants with the criteria you entered on the Criteria page.

Grant Status Select ***Active, Pending,*** or ***Void Error*** to indicate the grant's status.

Grant Date The grant date defaults to the payout period's end date associated with the payout period ID or the VC plan ID. You can change it, but the date must be between the payout period's begin date and the end date.

Option Type Select an option type from the available choices.

Grant Reason Select a grant reason from the available choices.

Grant Price The grant price defaults to the grant FMV of the grant date, which you can change.

Grant FMV The system defaults the grant FMV associated with the grant date, which you can change.

Agreement ID Select an agreement ID from the available choices.

Exercise Before Vest If the option plan allows exercise before vesting, you can select this check box. If the option type is RSA this check box is selected.

Transfer Option If the option plan allows options to be transferred, this field is available. If you want to allow the options to be transferred, select this check box. This field is not available if the option type is ISO or ISO/SAR. This field is for information only.

Agreement Status Select an agreement status from the available choices.

Cancellation Date Enter a cancellation date, if applicable.

Agreement Date Enter an agreement date.

Expire Basis The system default is the value that is associated with the option parameter ID, which you can change. Otherwise, select ***Grant Date, Grant Date - 1, Vest Date,*** or ***Vest Date - 1*** to indicate the date used to calculate the start of the option life months.

Life - Months The system default is the value associated with the option parameter ID, which you can change. Otherwise, enter the number of months that the option remains outstanding.

Vesting Schedule ID The system default is the value associated with the option parameter ID, which you can change. Otherwise, select a vesting schedule ID from the available choices.

Vesting Begin Code The system displays the value that is associated with the vesting schedule ID.

Vest Basis Date If the system displays the vesting begin code, you can enter a vesting basis date.

Report Manager Click **Report Manager** to access the Report List page, where you can view report content, check the status of a report, and see content detail messages (which show you a description of the report and the distribution list).

Process Monitor Click **Process Monitor** to access the Process List page, where you can view the status of submitted process requests.

Run Click **Run** to access the Process Scheduler request page, where you can specify where a process or job runs and the process output format.

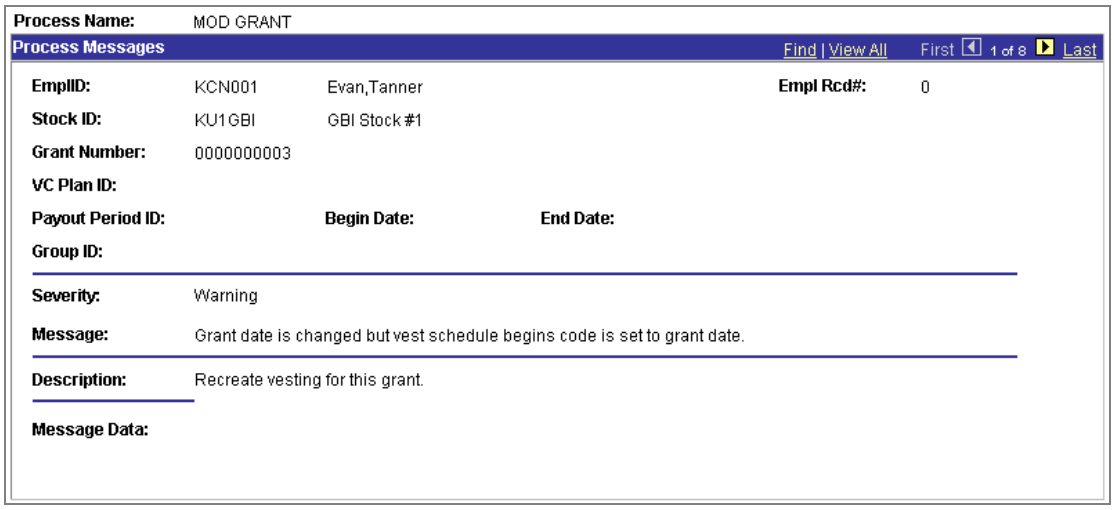
For more information about the Report List page, the Process List page, and the Process Scheduler, see PeopleSoft Payroll PeopleBooks.

Viewing Processing Results

After you've run the Generate Grants process or the Modify Grants process, you can view messages resulting from the processing.

Grant Messages Inquiry Page

Usage	Use the Grant Messages inquiry page to view the messages resulting from a grant processing.
Object Name	ST_GRNT_MESSAGE
Navigation	**Compensate Employees, Administer Stock Options, Inquire, Grant Messages, Grant Message**
Prerequisites	You must first run either the Generate Grants or Modify Grants processes.
Access Requirements	Enter a process name.



Grant Messages inquiry page

The following fields are common to multiple pages and are defined in the preface of this PeopleBook in PeopleBooks Standard Page Element Definitions: **EmplID, Empl Rcd#** and **Description.**

Process Name The system displays the process name.

Stock ID The system displays the stock ID.

Grant Number The system displays the grant number.

VC Plan ID The system displays the VC plan ID.

Payout Period ID The system displays the payout period ID.

Begin Date The system displays the begin date.

End Date The system displays the end date.

Group ID The system displays the group ID.

Severity The system displays the type of message produced. Valid values are ***Error, Warning,*** and ***Message.***

Message Text The system displays the text of the message.

CHAPTER 8

Administering Exercises

When an optionee exercises a grant, there are several administrative functions that must be completed. You need to record the number of shares exercised, the amount of funds, and any applicable taxes due from the optionee, and issue the shares. Depending on the type of option being exercised and the payment method selected, you can issue the shares in a stock certificate, electronically deposit them with a stock broker, or hold in escrow until the optionee meets restrictions, such as vesting. Optionees may exercise their stock options on or after the vesting date, or prior to the vesting date if exercise before vesting is allowed, or at any time during the life of the stock option, depending on the terms of your stock option plan.

Before You Begin

Before you begin administering exercise transactions, you should:

- Set up the various stock tax types and default tax rates.
- Grant options to the optionees.
- Establish issuance instructions for your optionees.
- Make sure that the grants are active and not pending.
- Make sure that daily prices are current.

Administering Exercise Transactions

You view and record exercises by optionee. You select the exercise that you want to view using the Exercise Grant Transactions page. The system displays the optionee's active and pending stock grants along with the number of shares exercisable for that grant. From this page you can access the Exercise Transactions page, where you can view existing exercises for the grant that you selected. If there is an exercise for this grant you can click the exercise number to view details about the exercise using the Exercises component. Or, you can click the **Add** button to add an exercise for the grant and use the Exercises component to add a new exercise. You enter and record exercise transactions using the Exercises component.

The General page is where you define the basic parameters of the exercise. You select the grant, record the number of shares exercised, and select the share and tax payment methods used to calculate the exercise costs and taxes due.

The Taxes page is where you calculate the taxes related to the exercise either by integrating with PeopleSoft Payroll for North America or by using the stock tax tables or entering taxes manually. If you use PeopleSoft Payroll for North America, you can send the tax information to payroll. If you need to reverse a payroll transaction that you sent, you void the exercise and send the information to payroll as a reversal.

The Cost page is where you determine the total cost due to the company for the shares and taxes associated with the exercise. The page also enables you to enter information regarding swaps and trades if selected as a payment method.

The Issuance page is where you designate how the transfer agent is to issue exercised shares. You can enter multiple issuance instructions by entering the number of shares for each issuance requirement, select the issuance type, select the brokerage information, or the address where you want the certificate sent. Once you save the exercise, you can generate the required transfer agent instructions as well as the broker deposit instructions and broker invoices.

The Sale page is where you can record any fees and commission that the optionee pays to exercise the options. This page is only available if the exercise involves a sale.

The Payment page is where you record payments made to the company on the exercise and view outstanding balances.

Exercise Grant Transactions Page

Usage	Use the Exercise Grant Transactions page to select the grant for which you want to view exercise transactions.
Object Name	ST_EXER_SRCH1
Navigation	**Compensate Employees, Administer Stock Options, Use, Exercises, Grant Search**
Prerequisites	You must first have granted active options to the individual.
Access Requirements	Select an EmplID and stock ID.

Locherty,Betty ID: KU0007

Stock ID: KU1GBI GBI Stock #1

Grant Transactions Find | View All First 1-10 of 12 Last

Grant Number	Grant Date	Stock Plan	Option Type	Grant Price	Shares Exercisable
0000000129	04/07/1989	KU1OPT80	RSA	$0.000000	0.000000
0000000149	12/29/1989	KU1OPT80	NQ	$0.200000	4,000.000000
0000000171	12/31/1990	KU1OPT90	NQ	$0.200000	0.000000
0000000198	12/31/1991	KU1OPT90	NQ	$0.200000	4,000.000000
0000000220	12/31/1992	KU1OPT90	NQ	$0.250000	4,000.000000
0000000243	12/31/1993	KU1OPT90	ISO	$2.109000	1,000.000000
0000000262	12/31/1994	KU1OPT90	ISO	$10.375000	4,000.000000
0000000289	12/29/1995	KU1OPT90	ISO	$19.000000	4,000.000000
0000000313	12/31/1996	KU1OPT90	ISO	$23.125000	3,000.000000
0000000346	12/31/1997	KU1OPT90	ISO	$22.125000	2,000.000000

Exercise Grant Transactions page

The system displays the employee's name.

ID Click the ID number to access the Employee Information Page where you can view employee information.

Stock ID The system displays the stock ID.

Grant Number The system displays the grant number. Click the grant number to access the Exercise Transactions Page, where you can view the existing exercise transactions for the grant and access the Exercise component.

Grant Date The system displays the grant date.

Stock Plan The system displays the stock plan.

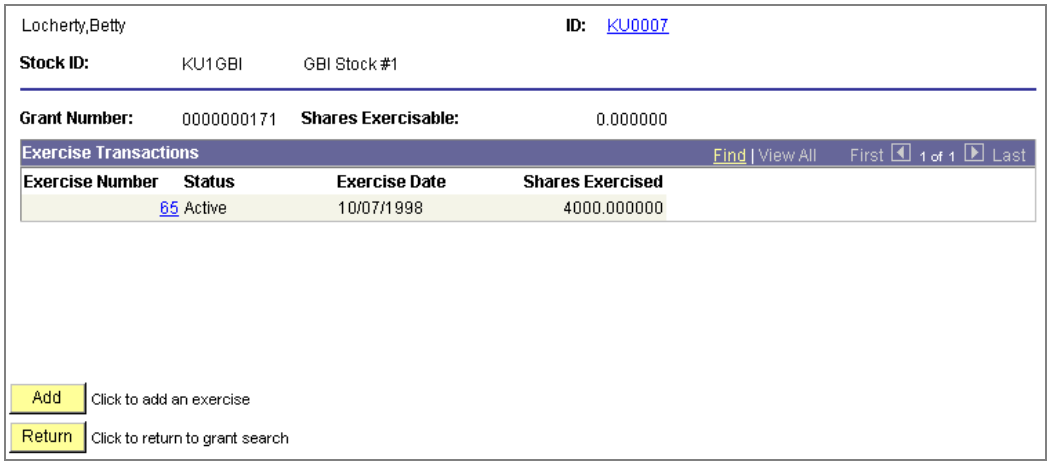
Option Type The system displays the option type.

Grant Price The system displays the grant price.

Shares Exercisable The system displays the shares that are exercisable as of the current date.

Exercise Transactions Page

Usage	Use the Exercise Transactions page to view exercise transactions and access the Exercise component.
Object Name	ST_EXER_SRCH2
Navigation	Click a grant number on the Exercise Grant Transactions page.



Exercise Transactions Page

The following fields are common to multiple pages and are defined in the preface of this PeopleBook in PeopleBooks Standard Page Element Definitions: **Status.**

The system displays the employee's name.

ID Click the ID number to access the Employee Information Page, where you can view employee information.

Stock ID The system displays the stock ID.

Grant Number The system displays the grant number.

Shares Exercisable The system displays the number of shares that are exercisable.

Exercise Number The system displays the exercise number. Click the exercise number to access the Exercises - General Page, where you can view the details of the exercise.

Exercise Date The system displays the exercise date.

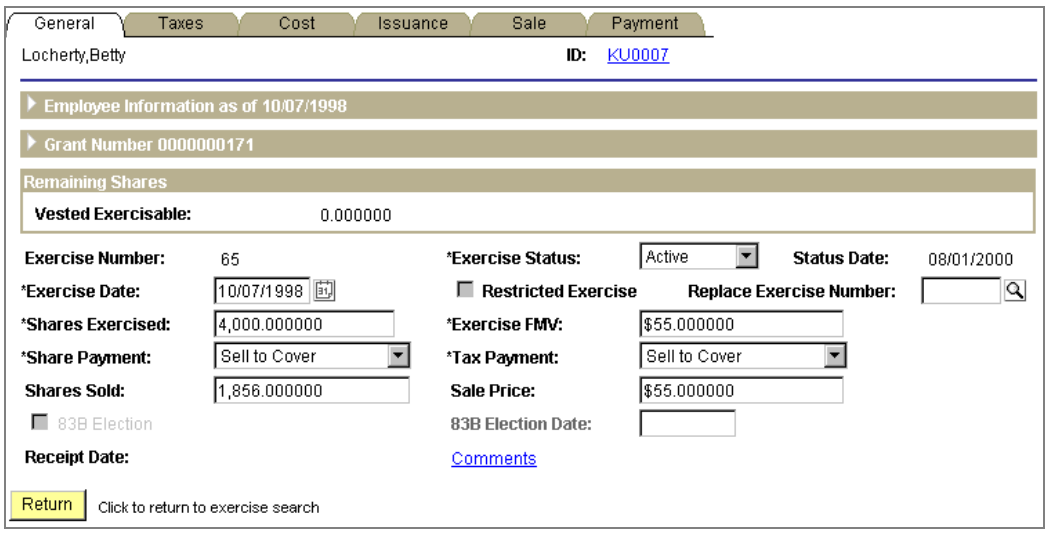
Shares Exercised The system displays the number of shares that were exercised.

Add Click **Add** to access the Exercises - General Page, where you can add an exercise.

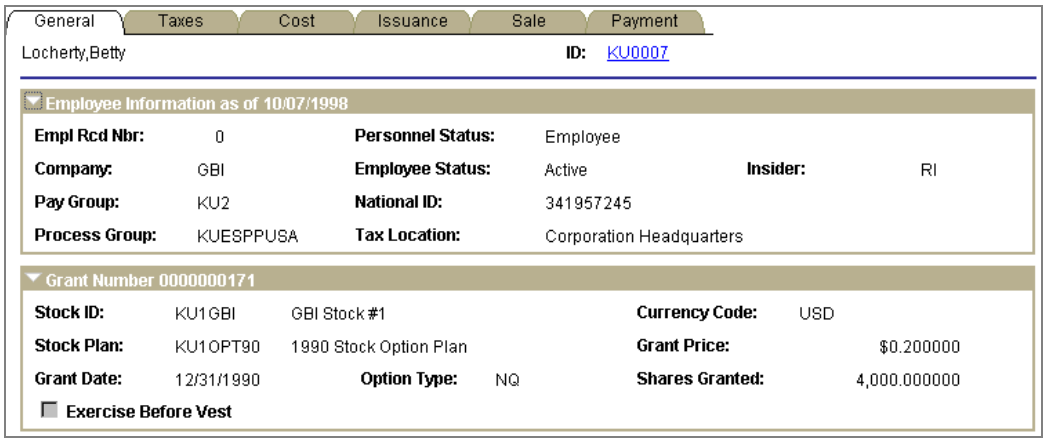
Return Click **Return** to return to the Exercise Grant Transactions Page.

Exercises - General Page

Usage	Use the Exercises - General page to enter or modify exercise information.
Object Name	ST_GRANT_EXER
Navigation	Click an exercise number on the Exercise Transactions page.



Exercises - General page (1 of 2)



Exercises - General page (2 of 2)

The following fields are common to multiple pages and are defined in the preface of this PeopleBook in PeopleBooks Standard Page Element Definitions: **Empl Rcd#**, **Company,** and **National ID.**

The system displays the employee's name.

ID Click the ID number to access the Employee Information Page, where you can view employee information.

Employee Information

This information displays on all pages in the component. The information is as of the exercise date.

Personnel Status The system displays the personnel status.

Person Type If the optionee is a non-employee, the system displays the person type.

Employee Status The system displays the employee status of the primary job.

Insider If the optionee is an insider, the system displays the insider status code(s).

Pay Group The system displays the pay group of the primary job.

Process Group The system displays the process group.

Tax Location The system displays the tax location of the primary job.

Grant Information

Grant Number The system displays the grant number.

Stock ID The system displays the stock ID.

Currency Code The system displays the currency code that is associated with the stock ID.

Stock Plan The system displays the stock option plan.

Grant Price The system displays the option price for the grant.

Grant Date The system displays the grant date.

Option Type The system displays the option type of ***NQ, ISO, RSA, NQ/SAR*** or ***ISO/SAR.***

Shares Granted The system displays the number of shares that were granted for this option.

Exercise Before Vest If exercise before vesting is allowed for this option, this check box is selected.

Remaining Shares

Vested Exercisable The system displays the number of vested shares remaining that are exercisable as of the exercise date entered.

Unvested Exercisable If the plan allows exercise before vesting, the system displays the number of unvested shares remaining that are exercisable as of the exercise date entered.

Exercise Information

Exercise Number The system displays ***NEW*** when you enter an exercise. When you save, the system generates a sequential exercise number from the last exercise number stored on the Stock table.

Exercise Status Select the exercise status. Valid values are ***Pending, Void,*** and ***Active,*** which is the default.

Status Date The system displays the date that the status was last changed and saved.

Exercise Date Enter the exercise date.

Restricted Exercise If the shares exercised are unvested, this is a restricted exercise and the system selects this check box.

Replace Exercise Number If this is a replacement exercise, select a replacement exercise number from the available choices. You must first void the original exercise before you can create a new, replacement exercise. You associate the two exercises with the Replace Exercise Number for audit purposes.

Shares Exercised Enter the number of shares to be exercised. If exercise before vesting is allowed all vested shares must be exercised before unvested shares are exercised. The system will not allow shares exercised to include both vested and unvested amounts.

Exercise FMV The system default is the exercise FMV calculated from the Daily Prices table as of the exercise date that you entered according to your Exercise FMV Rule. You can change this number.

Share Payment Select a method to pay for the share cost. If you select a value not defined on the Stock Option Plan Rules component, you get an error. Cash is the default.

Tax Payment Select a method to pay for the associated taxes. If you select a value that is not defined on the Stock Option Plan Rules component, you get an error. Cash is the default.

Shares Sold If the share or tax payment method is ***Sell to Cover***, this field is available. Enter the number of shares sold. If the **Share Payment** field method is ***Same Day Sale,*** the system displays the total shares exercised.

Sale Price If the share or tax payment method is ***Same Day Sale*** or ***Sell to Cover,*** this field is available. The exercise FMV is the default, but you can enter a different number.

83B Election This field is only available for a restricted exercise. Select **83B Election** if the optionee files an 83(b) election.

83B Election Date If you select the **83B Election** check box, this field becomes available. Enter the date that the optionee filed the 83B election.

Receipt Date The system displays the date that the exercise receipt was run.

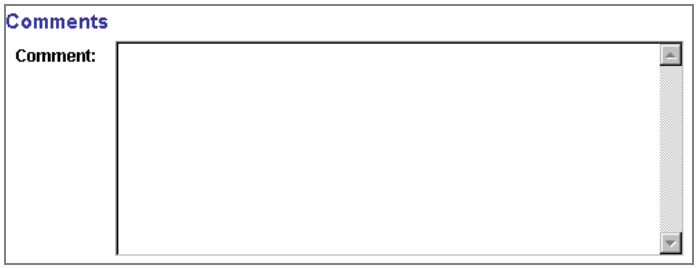
Comments Click **Comments** to access the Comments page, where you can enter comments about the exercise.

Return Click **Return** to access the Exercise Transactions Page, where you can search for another exercise.

Comments page

Usage	Use the Comments page to enter comments about the exercise.
Object Name	ST_GRANT_EXER_SEC

Navigation	Click **Comments** on the Exercise - General page.



Comments page

The following field is common to multiple pages and is defined in the preface of this PeopleBook in PeopleBooks Standard Page Element Definitions: **Comment.**

Exercises - Taxes Page

Usage	Use the Exercises - Taxes page to enter or modify exercise tax information.
Object Name	ST_EXER_TAXES
Navigation	Click an exercise number on the Exercise Transactions page.

Exercises - Taxes page (1 of 2)

Exercises - Taxes page (2 of 2)

The following fields are common to multiple pages and are defined in the preface of this PeopleBook in PeopleBooks Standard Page Element Definitions: **Empl Rcd#, Company, National ID, Country, State,** and **Locality.**

The system displays the employee's name.

ID Click the ID number to access the Employee Information Page, where you can view employee information.

Employee Information

These fields display on all pages in the component and are defined on the Exercises - General page.

Grant Information

Grant Number The system displays the grant number.

Stock ID The system displays the stock ID.

Currency Code The system displays the currency code that is associated with the stock ID.

Stock Plan The system displays the stock option plan.

Grant Price The system displays the option price for the grant.

Grant Date The system displays the grant date.

Option Type The system displays the option type of ***NQ, ISO, RSA, NQ/SAR*** or ***ISO/SAR.***

Shares Granted The system displays the number of shares that were granted.

Exercise Number The system displays ***NEW*** when you enter an exercise. When you save, the system generates a sequential exercise number from the last exercise number stored on the Stock table.

Exercise Date The system displays the exercise date.

Exercise FMV The system displays the exercise FMV.

Exercise Status The system displays the exercise status.

Restricted Exercise If this is a restricted exercise, this check box is selected.

Shares Exercised The system displays the number of shares exercised.

Share Payment The system displays the share payment method.

83B Election If the optionee files an 83(b) election this check box is selected.

Sale Price The system displays the sale price.

Tax Payment The system displays the tax payment method.

Shares Sold The system displays the number of shares that were sold.

Tax Detail

The system populates these fields when you click any of the **Load Default Taxes**, **Copy Previous Taxes**, or **Calculate Taxes** buttons. You can change the values it you want. After you send the transaction to payroll these fields are not available to change.

Tax Type Select the type of tax that you want calculated from available choices. Examples are Federal, State, FICA, SDI, and Medicare.

For more information about tax types, see Stock Administration, "Setting Up Stock Option Plans".

Default Percentage The system enters the default tax percentage based on the tax type selected. You can change the default percentage to modify the current tax amount.

Tax YTD Enter the year to date tax amounts if you want the system to use these values when calculating taxes with limits.

Current Tax The system calculates the current tax based on the ordinary income amount displayed on the page and the default percentage. You can change the current tax amount and the default percentage changes accordingly.

Tax Override If you overrode the default taxes or inserted the tax amounts the system displays ***Manual***. The default is ***None,*** which means no tax override.

Maximum Tax If the tax type has a maximum tax limit, the system displays the maximum tax limit.

Default Tax Calculation

Rather than filling in the tax information for each exercise, you can load the default tax information or copy the tax information from the previous exercise. Use these methods if you don't use PeopleSoft Payroll for North America or for exception processing.

Load Default Taxes Click **Load Default Taxes** to load the default tax rates based upon the country and state associated with the optionee's tax location and the tax rates that you entered on the tax setup pages. The taxes are calculated based upon the ordinary income from the exercise.

Copy Previous Taxes Click **Copy Previous Taxes** to copy the tax percentages used in the last exercise within the last calendar year. If there are no exercises for the current year, the system copies the percentages from the previous year and gives a warning message.

PeopleSoft Payroll for North America

If you use PeopleSoft Payroll for North America, you can calculate the taxes owed and send them directly to payroll.

Calculate Taxes Click **Calculate Taxes** to have PeopleSoft Payroll for North America calculate the taxes due on the ordinary income from the exercise. The system determines the YTD taxes paid and monitors any limit that might be met.

Update Payroll Click **Update Payroll** to send the tax and ordinary income data to payroll. Once the transaction is saved, you receive confirmation that the transaction was sent. If you don't save the exercise, Payroll is not updated.

If you need to reverse taxes that you've already sent to payroll, you need to change the **Exercise Status** to ***Void*** on the Exercises – General page and save. If the transaction has not been processed by payroll the system deletes the transaction.

If the transaction has already been processed by payroll you receive a message that the transaction wasn't found. You can print the Payroll Reversal Report to notify your payroll administrator that the transaction should be reversed.

Sent to Payroll Date The system displays the date the payroll taxes were sent to payroll either through **Update Payroll** or when the payroll report is run. Click the date to access the Exercise Payroll Data Page where you can view payroll details.

Reversal Date The system displays the date, if any, that the Payroll Reversal Report was run.

Calculated Values

Exercise Value The system calculates and displays the exercise value.

Cost of Shares The system calculates and displays the cost of shares.

Ordinary Income The system calculates and displays the ordinary income.

AMT Value The system calculates and displays the alternative minimum tax value, if any.

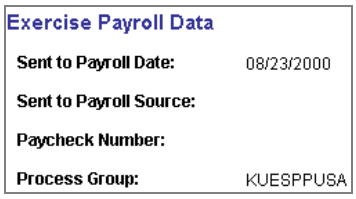
Total Taxes The system totals and displays the sum of all the taxes displayed. These are the taxes that are due on exercise.

Net Due Optionee If this is a SAR exercise that the system calculates and displays the net due Optionee. This amount is the difference between the ordinary income and the total taxes.

Return Click **Return** to access the Exercise Transactions Page, where you can search for another exercise.

Exercise Payroll Data Page

Usage	Use the Exercise Payroll Data page to view payroll details.
Object Name	ST_EXER_PR2_SBP
Navigation	Click the Sent to Payroll Date on the Exercise - Taxes page.



Release Payroll Data page

Sent to Payroll Date The system displays the date that the transaction was sent to payroll or the day the manual report was run.

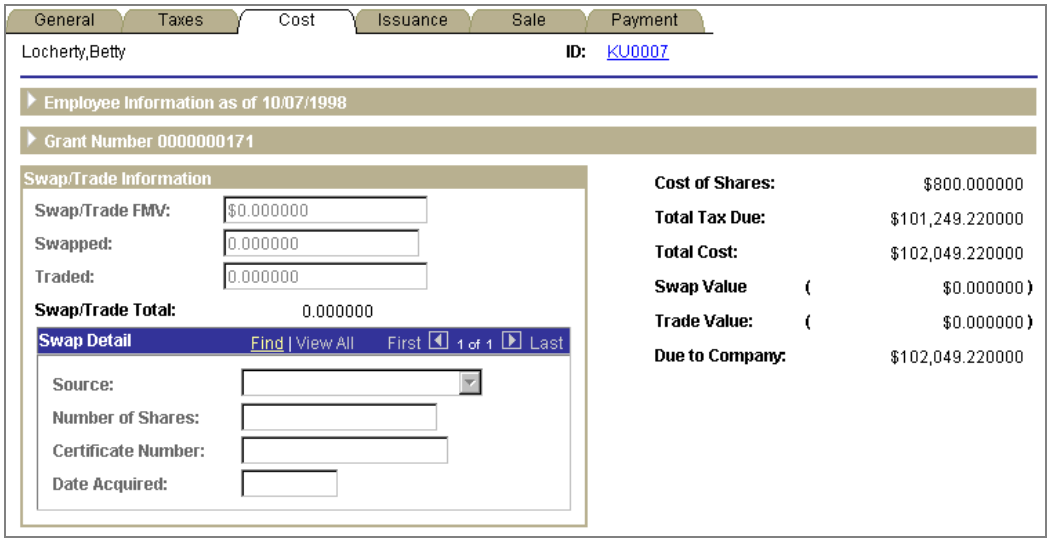
Sent to Payroll Source The system displays the way in which the income/taxes were sent to the payee, either through PeopleSoft Payroll for North America or manual report.

Paycheck Number The system displays the paycheck number when the transaction was processed through PeopleSoft Payroll for North America. This field is blank if a manual report was used.

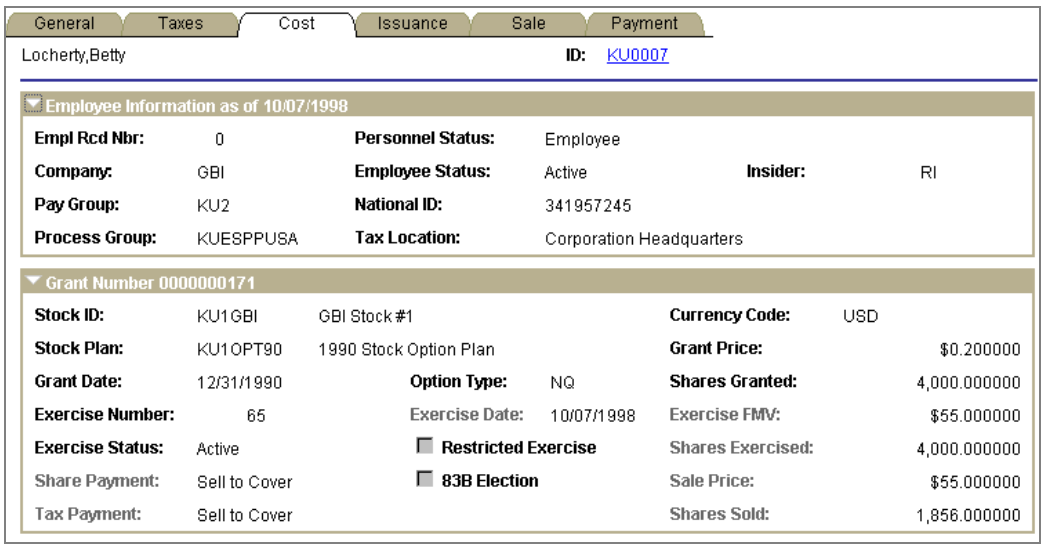
Process Group The system displays the process group.

Exercises - Cost Page

Usage	Use the Exercises - Cost page to enter or modify exercise cost information.
Object Name	ST_EXER_COST
Navigation	Click an exercise number on the Exercise Transactions page.



Exercises - Cost page (1 of 2)



Exercises - Cost page (2 of 2)

The following fields are common to multiple pages and are defined in the preface of this PeopleBook in PeopleBooks Standard Page Element Definitions: **Empl Rcd#, Company,** and **National ID.**

The system displays the employee's name.

ID Click the ID number to access the Employee Information Page, where you can view employee information.

Employee Information

These fields display on all pages in the component and are defined on the Exercises - General page.

Grant Information

Grant Number The system displays the grant number.

Stock ID The system displays the stock ID.

Currency Code The system displays the currency code associated with the stock ID.

Stock Plan The system displays the stock option plan.

Grant Price The system displays the option price for the grant.

Grant Date The system displays the grant date.

Option Type The system displays the option type of ***NQ, ISO, RSA, NQ/SAR*** or ***ISO/SAR.***

Shares Granted The system displays the number of shares granted.

Exercise Number The system displays ***NEW*** when you enter an exercise. When you save, the system generates a sequential exercise number from the last exercise number stored on the Stock table.

Exercise Date The system displays the exercise date.

Exercise FMV The system displays the exercise FMV.

Exercise Status The system displays the exercise status.

Restricted Exercise If this is a restricted exercise, this check box is selected.

Shares Exercised The system displays the number of shares that were exercised.

Share Payment The system displays the share payment method.

83B Election If the optionee files an 83(b) election, this check box is selected.

Sale Price The system displays the sale price.

Tax Payment The system displays the tax payment method.

Shares Sold The system displays the number of shares that were sold.

Swap/Trade Information

If a payment method is Swap for Shares or Trade for Taxes, these fields become available.

Swap/Trade FMV The system displays the swap trade FMV as defined on the Stock Option Plan Rules – FMV Rules setup page.

Swapped The system displays the number of shares required for the swap by dividing the total cost of shares by the swap/trade FMV. You can change the number, if necessary.

Traded If the tax payment method is Trade and taxes were calculated, the system displays the number of shares required for the trade by dividing the **Total Tax Due** field by the **Swap/Trade FMV** field. You can change the number, if necessary.

Swap/Trade Total The system displays the total number of shares required for the swap or trade.

Swap Detail

If a payment method is **Swap for Shares** or **Trade for Taxes,** these fields become available. You can make multiple entries to record the various shares used for the swap or trade, and whether the shares are being surrendered or are to be netted from the exercise.

Source Select ***Constructive Delivery*** if the shares surrendered for the swap/trade are to be netted from the exercise and a physical certificate is not delivered. Select ***Physical Delivery*** if a physical certificate is surrendered for cancellation.

Number of Shares Enter the number of shares that were surrendered. Constructive delivery will reduce the number of shares to be issued by the number of shares that were swapped and/or traded.

Certificate Number Enter the certificate number of the shares that were surrendered for the swap or trade, if any.

Date Acquired Enter the date that the swapped or traded shares were acquired.

Calculated Values

Cost of Shares The system displays the cost of shares (option price multiplied by number of shares exercised).

Total Tax Due The system displays the total taxes due calculated on the Administer Exercises - Exercise Taxes page.

Total Cost The system displays the total cost (cost of shares plus total taxes due).

Swap Value If the share payment method is swap, the system displays the swap value (number of shares swapped multiplied by the swap/trade FMV).

Trade Value If the share payment method is trade, the system displays the trade value (number of shares traded multiplied by the swap/trade FMV).

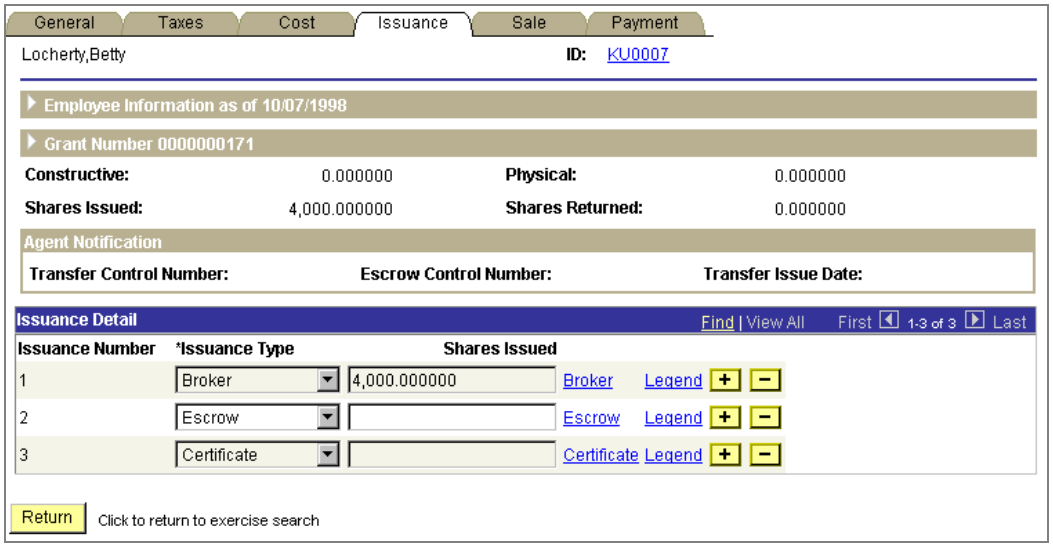
Due to Company The system displays the total amount due to the company. The value is equal to the **Total Cost** field minus the **Swap Value** field or the **Trade Value** field, if any.

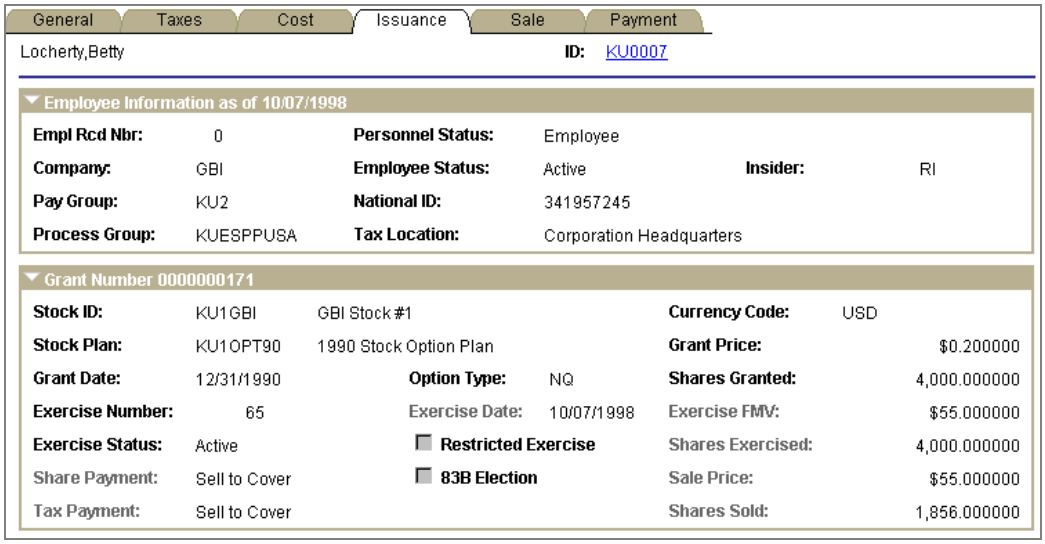
Return Click **Return** to access the Exercise Transactions Page, where you can search for another exercise.

Exercises - Issuance Page

Usage	Use the Exercises - Issuance page to enter or modify exercise issuance information.
Object Name	ST_EXER_ISSUE

Navigation	Click an exercise number on the Exercise Transactions page.





Exercises - Issuance page

The following fields are common to multiple pages and are defined in the preface of this PeopleBook in PeopleBooks Standard Page Element Definitions: **Empl Rcd#, Company, National ID,** and **Short Description.**

The system displays the employee's name.

ID Click the ID number to access the Employee Information Page, where you can view employee information.

Employee Information

These fields display on all pages in the component and are defined on the Exercises - General page.

Grant Information

Grant Number The system displays the grant number.

Stock ID The system displays the stock ID.

Currency Code The system displays the currency code that is associated with the stock ID.

Stock Plan The system displays the stock option plan.

Grant Price The system displays the option price for the grant.

Grant Date The system displays the grant date.

Option Type The system displays the option type of ***NQ, ISO, RSA, NQ/SAR*** or ***ISO/SAR.***

Shares Granted The system displays the number of shares that were granted.

Exercise Number The system displays ***NEW*** when you enter an exercise. When you save, the system generates a sequential exercise number from the last exercise number stored on the Stock table.

Exercise Date The system displays the exercise date.

Exercise FMV The system displays the exercise FMV.

Exercise Status The system displays the exercise status.

Restricted Exercise If this is a restricted exercise, this check box is selected.

Shares Exercised The system displays the number of shares that were exercised.

Share Payment The system displays the share payment method.

83B Election If the optionee files an 83(b) election, this check box is selected.

Sale Price The system displays the sale price.

Tax Payment The system displays the tax payment method.

Shares Sold The system displays the number of shares that were sold.

Shares Swapped/Traded

If shares are swapped or traded as part of the exercise, the system displays these amounts.

Constructive The system displays the total number of constructively swapped/traded shares.

Physical The system displays the total number of physically swapped/traded shares.

Shares Issued The system displays the total number of shares issued from the exercise. It equals the number of shares exercised less the total number of constructive shares swapped or traded.

Shares Returned The system displays the total number of shares that were returned from the swap when a certificate is physically delivered for more shares than required for the swap or trade.

Agent Notification

Transfer Control Number The system displays the transfer control number assigned by the Agent Issuance Instructions report.

Escrow Control Number The system displays the control number assigned by the Issuance Instructions report. This field is populated after you run the Agent Issuance Instructions report if the Escrow Agent was selected as the Issuance Type.

Transfer Issue Date The system displays the date that the Issuance Instructions report was run. This field is populated after you run the Agent Issuance Instructions report.

Issuance Detail

Issuance Number The system displays the number 1 when you first add an exercise. For each subsequent issuance that you create, the system generates a sequential number.

Issuance Type If the exercised shares are unvested, ***Escrow*** is the default. If the exercise is a same day sale or sell to cover, ***Broker*** is the default. If the exercise is any other type, the information on the optionee's Issuance Instructions page defaults. If issuance instructions are not set up for an optionee, ***Certificate*** is the default. You can change the default value.

Shares Issued Enter the number of shares equal to the total number of shares being issued less any swapped or traded shares. The number of shares exercised defaults.

Broker When the Issuance Type is Broker you can click **Broker** to access the Broker Page.

Escrow When the Issuance Type is Escrow you can click **Escrow** to access the Escrow Information Page.

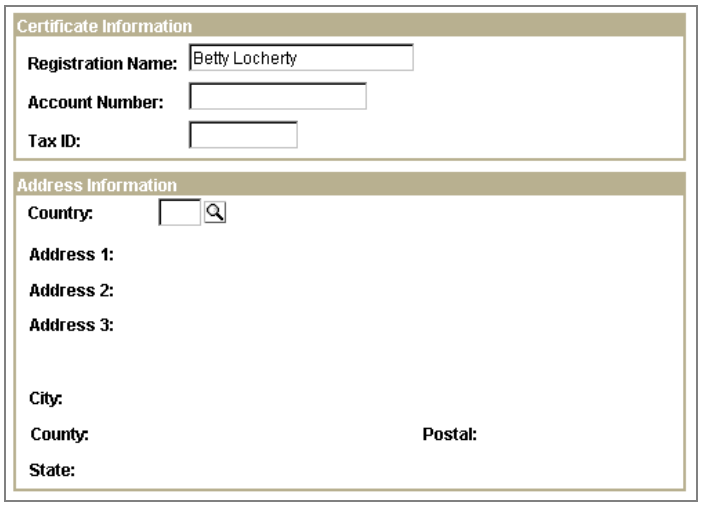
Certificate When the **Issuance Type** field is Certificate, you can click **Certificate** to access the Certificate Page.

Legend Click **Legend** to access the Legend Page.

Return Click **Return** to access the Exercise Transactions Page, where you can search for another exercise.

Certificate Page

Usage	Use the Certificate page to add registration and address information. The Escrow Information Page also uses this object name.
Object Name	ST_EXER_CERT_SEC
Navigation	Click **Certificate** on the Exercise - Issuance page.



Certificate page

The following fields are common to multiple pages and are defined in the preface of this PeopleBook in PeopleBooks Standard Page Element Definitions: **Country, Address 1, Address 2, Address 3, City, County, State,** and **Postal.**

The information from the Issuance Instructions is the default.

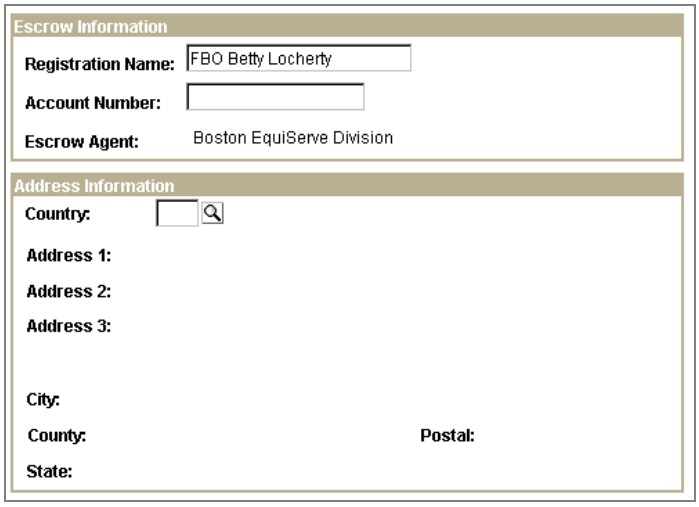
Registration Name The optionee's name defaults. Enter the name that is to appear on the stock certificate.

Account Number Enter the account number.

Tax ID Enter the tax ID of the individual or organization to whom the stock is being issued, if not the optionee.

Escrow Information Page

Usage	Use the Escrow Information page to add escrow information. This page uses the same ST_EXER_CERT_SEC as the Certificate page
Navigation	Click **Escrow** on the Exercise – Issuance page.



Escrow Information Page

The following fields are common to multiple pages and are defined in the preface of this PeopleBook in PeopleBooks Standard Page Element Definitions: **Country, Address 1, Address 2, Address 3, City, County, State,** and **Postal.**

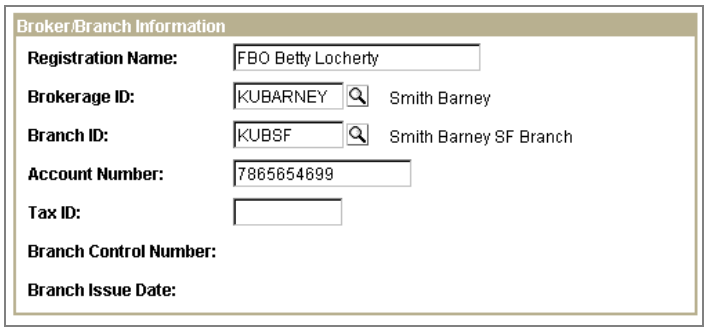
Registration Name The optionee's name defaults. Enter the name that is to appear on the escrow account.

Account Number Enter the account number.

Escrow Agent The system displays the name of the escrow agent.

Broker Page

Usage	Use the Broker/Branch Information page to add brokerage information.
Object Name	ST_EXER_BROKER_SEC
Navigation	Click **Broker** on the Exercise – Issuance page.



Broker Page

Registration Name The optionee's name defaults. Enter the name that is to appear on the brokerage account.

Brokerage ID Select a brokerage ID from available choices.

Branch ID Select a branch ID from available choices.

Account Number Enter the account number.

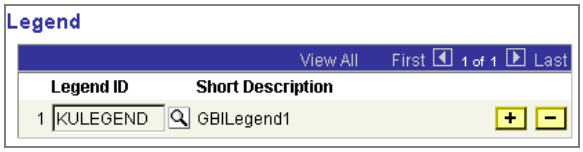
Tax ID Enter the tax ID of the individual or organization to whom the stock is being issued, if not the optionee.

Branch Control Number The system displays the branch control number after you run the Option Broker Deposits report.

Branch Issue Date The system displays the branch issue date after you run the Option Broker Deposits report.

Legend Page

Usage	Use the Legend page to select the legends that you want to display on the issuance instructions.
Object Name	ST_EXER_LEGEND_SEC
Navigation	Click **Legend** on the Exercise - Issuance page.



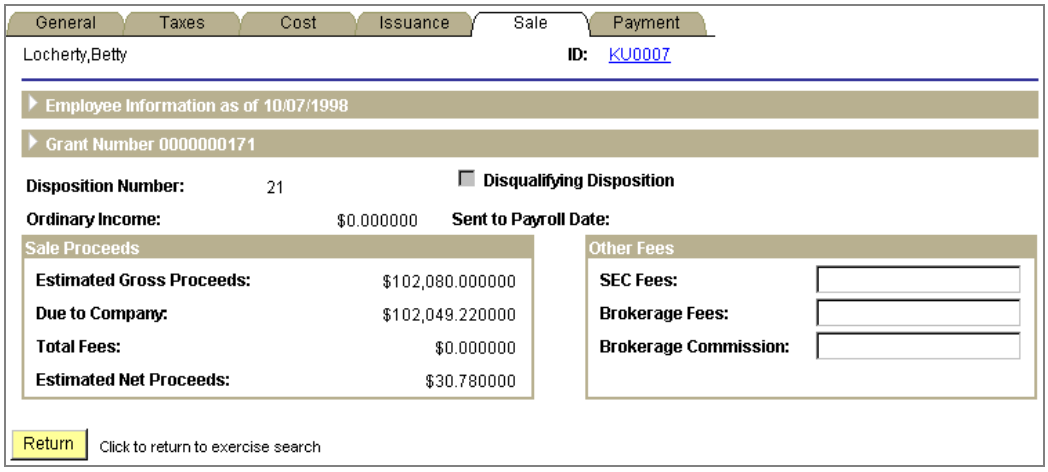
Legend page

The following field is common to multiple pages and is defined in the preface of this PeopleBook in PeopleBooks Standard Page Element Definitions: **Short Description.**

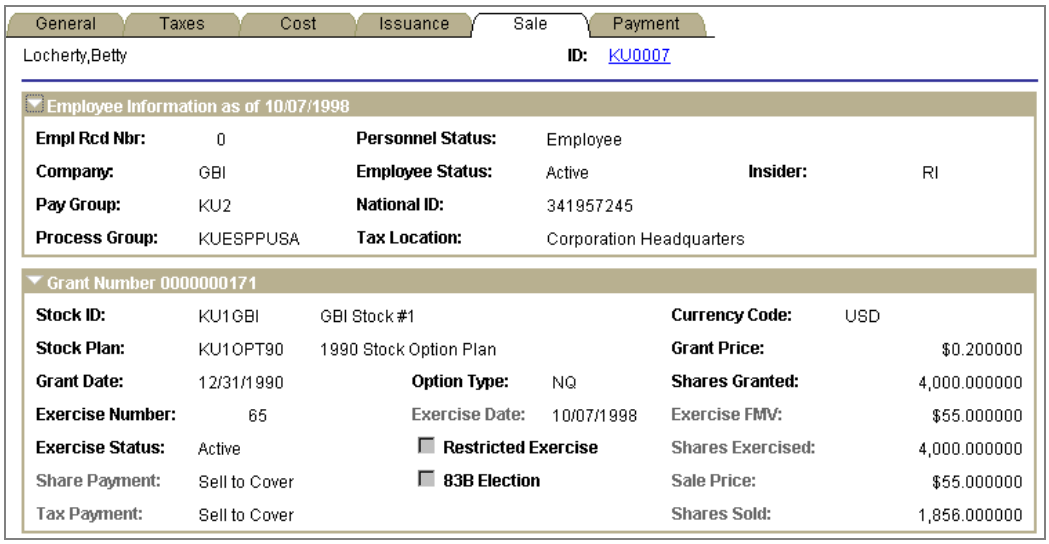
Legend ID Select the legend ID. By selecting a legend ID, you can communicate further instructions to a transfer or escrow agent. The details of the legend ID print on the issuance instructions. You can use it, for example, to notify the transfer agent how to cancel swapped shares or place a specific legend on the back of a certificate. You can select multiple legends.

Exercises - Sale Page

Usage	Use the Exercises - Sale page to enter or modify exercise sale information.
Object Name	ST_EXER_SALE
Navigation	Click an exercise number on the Exercise Transactions page.



Exercises - Sale page (1 of 2)



Exercises - Sale page (2 of 2)

The following fields are common to multiple pages and are defined in the preface of this PeopleBook in PeopleBooks Standard Page Element Definitions: **Empl Rcd#, Company,** and **National ID.**

The system displays the employee's name.

ID Click the ID number to access the Employee Information Page, where you can view employee information.

Employee Information

These fields display on all pages in the component and are defined on the Exercises – General page.

Grant Information

Grant Number The system displays the grant number.

Stock ID The system displays the stock ID.

Currency Code The system displays the currency code associated with the stock ID.

Stock Plan The system displays the stock option plan.

Grant Price The system displays the option price for the grant.

Grant Date The system displays the grant date.

Option Type The system displays the option type of ***NQ, ISO, RSA, NQ/SAR*** or ***ISO/SAR.***

Shares Granted The system displays the number of shares that were granted.

Exercise Number The system displays *NEW* when you enter an exercise. When you save, the system generates a sequential exercise number from the last exercise number stored on the Stock table.

Exercise Date The system displays the exercise date.

Exercise FMV The system displays the exercise FMV.

Exercise Status The system displays the exercise status.

Restricted Exercise If this is a restricted exercise, this check box is selected.

Shares Exercised The system displays the number of shares that were exercised.

Share Payment The system displays the share payment method.

83B Election If the optionee files an 83(b) election, this check box is selected.

Sale Price The system displays the sale price.

Tax Payment The system displays the tax payment method.

Shares Sold The system displays the number of shares that were sold.

Sales Summary Information

Disposition Number The system displays the disposition number assigned when a Same Day Sale or Sell to Cover is saved.

Disqualifying Disposition If the option type is ISO or ISO/SAR and the payment method is SDS or STC the system selects this check box when the transaction is a disqualifying disposition..

Ordinary Income The system displays the disqualifying disposition ordinary income calculated for the exercise when the option type is ISO or ISO/SAR and the payment method is SDS or STC.

Sent to Payroll Date The system displays the date a disqualifying disposition was reported to payroll.

Sale Proceeds

Estimated Gross Proceeds The system displays the gross sales proceeds for the shares that were sold at exercise.

The field is calculated as the sale price multiplied by the number of shares sold.

Due to Company The system displays the amount due the company from the stock broker for the exercise.

Total Fees The system displays the sum of the SEC fees, brokerage fees, and brokerage commission.

Estimated Net Proceeds The system displays the estimated amount that the optionee will receive from the sale after the amount due the company and any applicable fees are deducted from the **Estimated Gross Proceeds** field.

The field is calculated as the **Estimated Gross Proceeds** field less the **Due from Broker** field less the **Total Fees** field.

Other Fees

SEC Fees Enter the SEC fees that are associated with the stock sale.

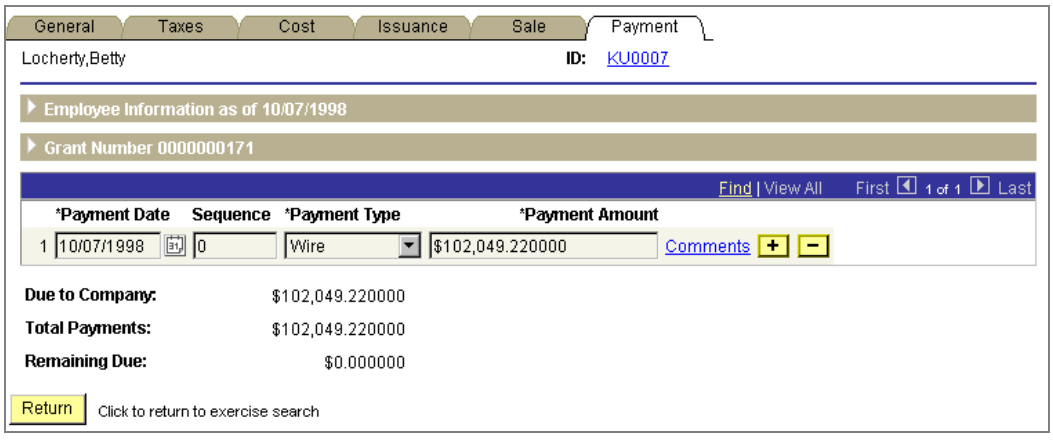
Brokerage Fees Enter the brokerage fees.

Brokerage Commission Enter the brokerage commission.

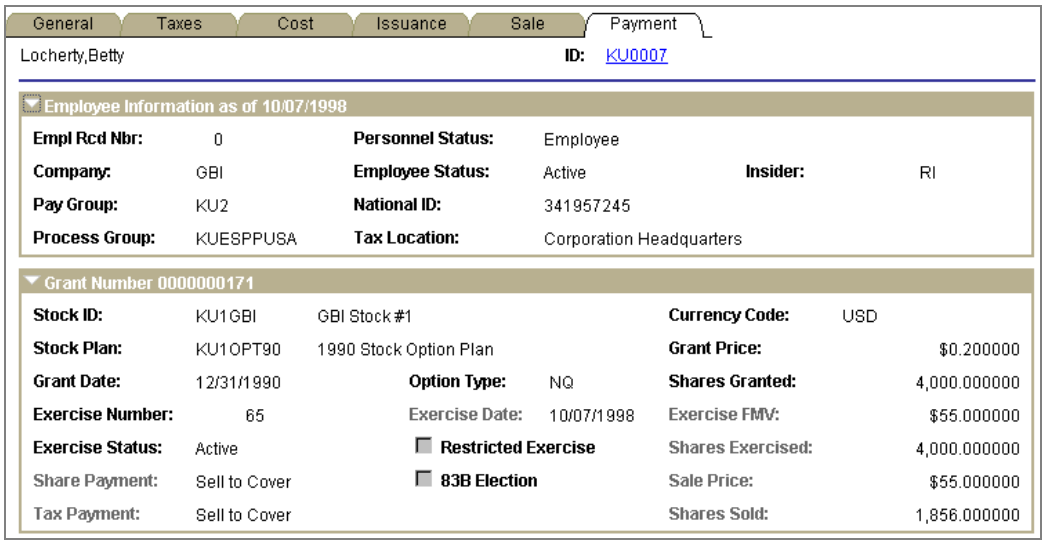
Return Click **Return** to access the Exercise Transactions Page where you can search for another exercise.

Exercises - Payment Page

Usage	Use the Exercises - Payment page to enter or modify exercise payment information.
Object Name	ST_EXER_PAYMENT
Navigation	Click an exercise number on the Exercise Transactions page.



Exercises - Payment page (1 of 2)



Exercises - Payment page (2 of 2)

The following fields are common to multiple pages and are defined in the preface of this PeopleBook in PeopleBooks Standard Page Element Definitions: **Empl Rcd#, Company, National ID,** and **Comment.**

The system displays the employee's name.

ID Click the ID number to access the Employee Information Page, where you can view employee information.

Employee Information

These fields display on all pages in the component and are defined on the Exercises - General page.

Grant Information

Grant Number The system displays the grant number.

Stock ID The system displays the stock ID.

Currency Code The system displays the currency code that is associated with the stock ID.

Stock Plan The system displays the stock option plan.

Grant Price The system displays the option price for the grant.

Grant Date The system displays the grant date.

Option Type The system displays the option type of ***NQ, ISO, RSA, NQ/SAR*** or ***ISO/SAR.***

Shares Granted The system displays the number of shares that were granted.

Exercise Number The system displays ***NEW*** when you enter an exercise. When you save, the system generates a sequential exercise number from the last exercise number stored on the Stock table.

Exercise Date The system displays the exercise date.

Exercise FMV The system displays the exercise FMV.

Exercise Status The system displays the exercise status.

Restricted Exercise If this is a restricted exercise, this check box is selected.

Shares Exercised The system displays the number of shares exercised.

Share Payment The system displays the share payment method.

83B Election If the optionee files an 83(b) election, this check box is selected.

Sale Price The system displays the sale price.

Tax Payment The system displays the tax payment method.

Shares Sold The system displays the number of shares sold.

Payment Information

Record each payment on an individual line.

Payment Date Enter the date that you received the payment. The payment date must be greater than or equal to the exercise date.

Sequence If more than one payment is made in a single day, the system enters a sequence number.

Payment Type Select ***Adjustment, Cash, Check, Loan, Pay Ded,*** or ***Wire.***

Payment Amount Enter the amount that was paid. You can enter a negative amount to reflect an overpayment.

Comments Click **Comments** to access the Comments page where you can add comments about the payment.

Payment Totals

Due to Company The system displays the amount due to the company calculated on the Administer Exercises - Cost page.

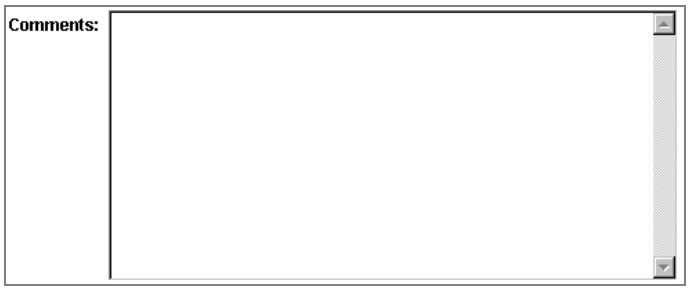
Total Payments The system displays the sum of the payment amounts.

Remaining Due The system displays the amount remaining. This field is calculated by subtracting the **Total Payments** field from the **Due to Company** field.

Return Click **Return** to access the Exercise Transactions Page, where you can search for another exercise.

Comments page

Usage	Use the Comments page to enter comments about the payment.
Object Name	ST_EPYMT_CMT_SEC
Navigation	Click **Comments** on the Exercise - Payments page.



Comments page

The following field is common to multiple pages and is defined in the preface of this PeopleBook in PeopleBooks Standard Page Element Definitions: **Comments.**

CHAPTER 9

Administering Releases

Stock options that are exercised before they are vested are commonly called restricted shares and are typically held in escrow until they vest. As the shares vest, they are released to the optionee. You need to complete several administrative functions to release the shares. You need to record the number of shares released, record the amount of taxes due from the optionee, release the shares from escrow, and deliver them according to the optionee's instructions. Ordinary income and taxes are generally calculated and collected at the time of the release unless the optionee filed an 83(b) Election at the time of exercise.

If your stock plans include restricted stock awards, or the plans allow exercise before vesting, periodically you'll release restricted shares.

Before You Begin

Before you begin releasing restricted shares, you should:

- Grant options or awards that allow exercise before vesting, such as restricted stock awards.
- Exercise unvested shares.

Administering Release Transactions

The process of releasing restricted shares is similar to that of exercising options. You need to identify the shares that are releasable, identify the payment method to be used for the release, identify issuance instructions, and, depending on the optionees 83(b) election, calculate ordinary income, and collect taxes.

For more information about tax considerations and 83(b) election issues, see Overview of Your Stock Options System.

You view and record releases by optionee. You select the exercise that you want to view using the Release Exercise Transactions page. The system displays the optionee's exercises. From this page you can access the Release Transactions page, where you can view existing releases for the exercise that you selected. If there is a release for this exercise you can click the release number to view details about the release using the Releases component. Or, you can click the **Add** button to add a release for the exercise and use the Releases component to add a new release. You set up and record release transactions using the Releases component.

The General page is where you define the basic parameters of the release. You select the exercise, record the number of shares to be released, and select the tax payment methods, if necessary.

The Taxes page is where you calculate the taxes that are related to the release, depending on whether the optionee filed an 83(b) election at the time of exercise. Similar to the exercise process, you can do this by integration with PeopleSoft Payroll for North America by using the stock tax tables or by entering taxes manually. If you use PeopleSoft Payroll for North America, you can send the tax information to payroll from this page. If the optionee filed an 83(b) election at the time of exercise, you should not calculate taxes at the time of release, and the Taxes page is not available.

The Cost page is where you determine the total cost due to the company for the taxes associated with the release if the optionee did not pay taxes at the time of exercise. If you are not calculating taxes on the release, the page displays a total due of zero. The page also enables you to enter information regarding swaps and trades if selected as a payment method.

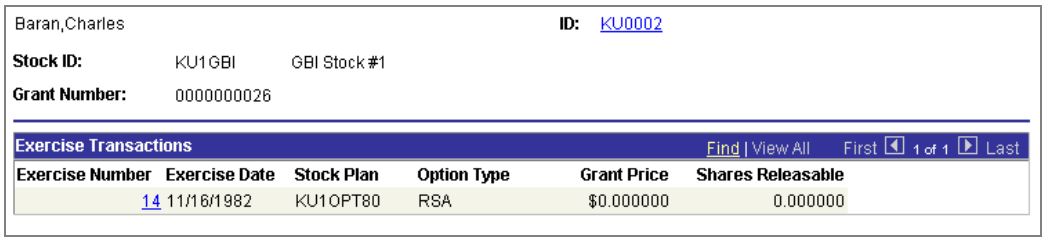
The Issuance page is where you instruct the escrow agent to release the shares from the escrow account and return them to the transfer agent to be reissued. You also need to instruct the transfer agent how the shares released from escrow should be reissued. You can enter multiple issuance instructions by entering the number of shares for each issuance requirement, select the issuance type, select the brokerage information, or the address where you want the certificate sent. Once you save the release you can generate the required transfer agent instructions as well as the broker deposit Instructions and broker invoices.

The Sale page is where you can record any fees and view net proceeds that the optionee receives on a Same Day Sale or Sell to Cover Release. This page is only available if the release involves a sale.

The Payment page is where you record payments made to the company on releases and view outstanding balances.

Release Exercise Transactions Page

Usage	Use the Release Exercise Transactions page to select the exercise for which you want to view releases.
Object Name	ST_REL_SRCH1
Navigation	**Compensate Employees, Administer Stock Options, Use, Releases, Exercise Search**
Prerequisites	You must first have placed exercised shares in an escrow for the individual.
Access Requirements	Select an EmplID and a stock ID.



Release Exercise Transactions page

The system displays the employee's name.

ID Click the ID number to access the Employee Information Page, where you can view employee information.

Stock ID The system displays the stock ID.

Grant Number The system displays the grant number.

Exercise Number The system displays the exercise number. Click the exercise number to access the Release Transactions Page, where you can view the existing release transactions for the grant and access the Releases component.

Exercise Date The system displays the exercise date.

Stock Plan The system displays the stock plan.

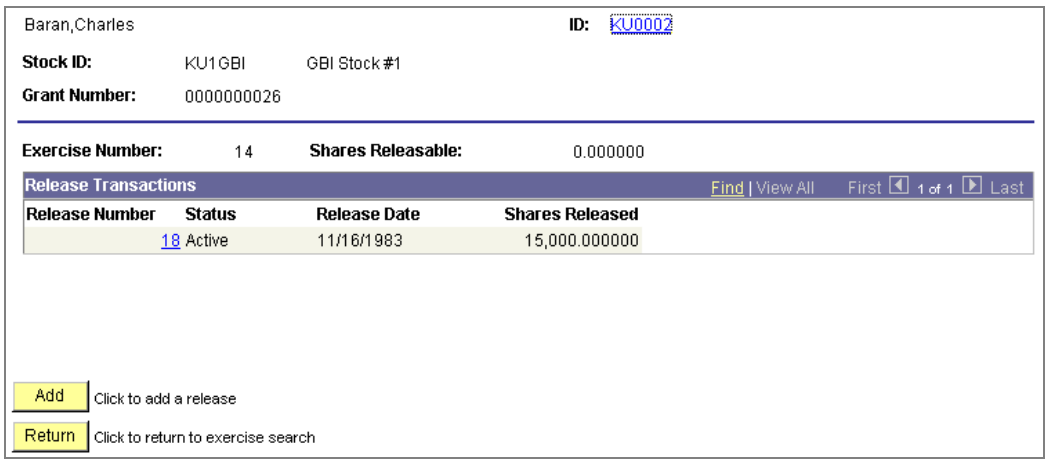
Option Type The system displays the option type.

Grant Price The system displays the grant price.

Shares Releasable The system displays the shares that are releasable.

Release Transactions Page

Usage	Use the Release Transactions page to view release transactions and access the Stock Option Release component.
Object Name	ST_REL_SRCH2
Navigation	Click an exercise number on the Release Exercise Transactions page



Release Transactions page

The following fields are common to multiple pages and are defined in the preface of this PeopleBook in PeopleBooks Standard Page Element Definitions: **Status.**

The system displays the employee's name.

ID Click the ID number to access the Employee Information Page where you can view employee information.

Stock ID The system displays the stock ID.

Grant Number The system displays the grant number.

Exercise Number The system displays the exercise number.

Shares Releasable The system displays the number of shares that are exercisable.

Release Number The system displays the release number. Click the release number to access the Releases - General Page where you can view the details of the release.

Release Date The system displays the release date.

Shares Released The system displays the number of shares that were released.

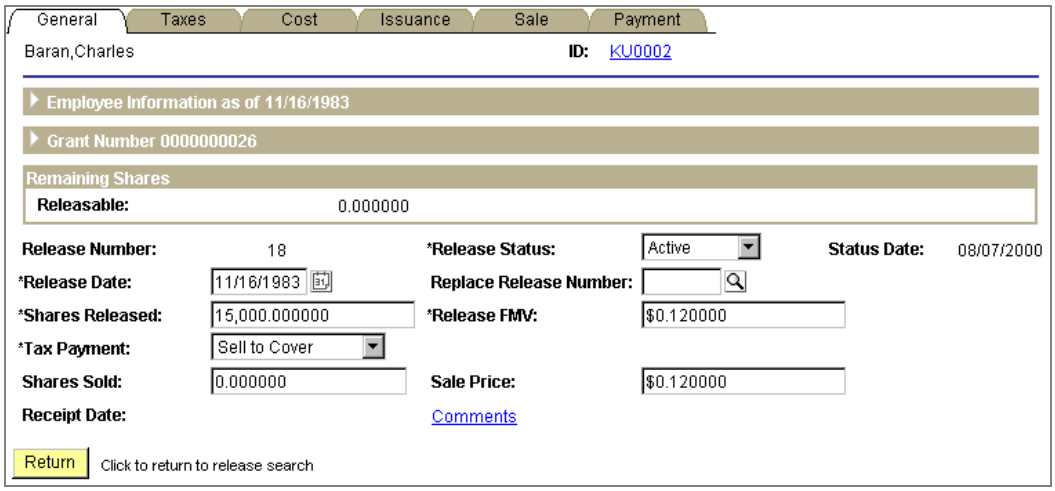
Add Click **Add** to access the Releases - General Page where you can add a new release.

Return Click **Return** to return to the Release Transactions Page.

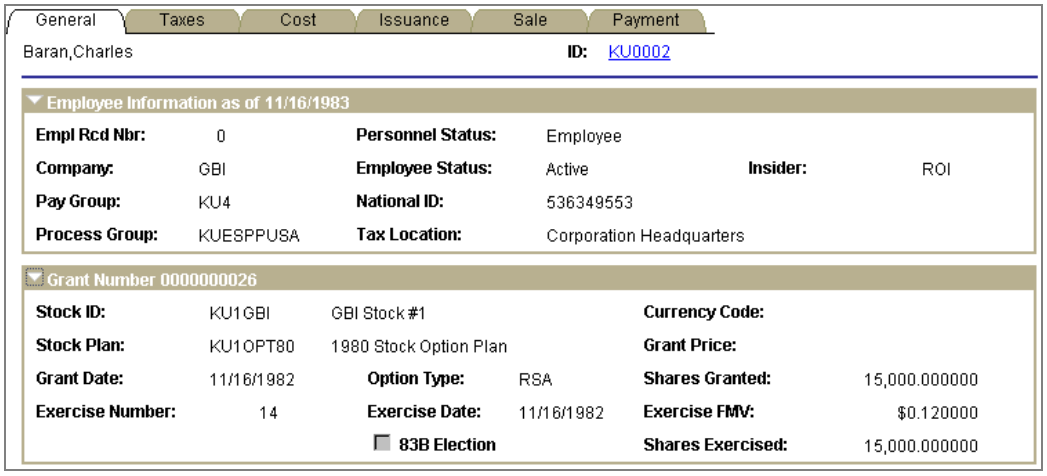
Releases - General Page

Usage	Use the Releases - General page to enter or modify information concerning a release of restricted shares.

Object Name	ST_EXER_RELEASE
Navigation	Click a release number on the Release Transactions page.



Releases - General page (1 of 2)



Releases - General page (2 of 2)

The following fields are common to multiple pages and are defined in the preface of this PeopleBook in PeopleBooks Standard Page Element Definitions: **Empl Rcd#, Company,** and **National ID.**

The system displays the employee's name.

ID Click the ID number to access the Employee Information Page, where you can view employee information.

Employee Information

This information displays on all pages in the component. The information is as of the release date.

Personnel Status The system displays the personnel status.

Person Type If the optionee is a non-employee, the system displays the person type.

Employee Status The system displays the employee status.

Insider If the optionee is an insider, the system displays the insider status code(s).

Pay Group The system displays the pay group of the primary job.

Process Group The system displays the process group.

Tax Location Code The system displays the tax location of the primary job.

Grant Information

Grant Number The system displays the grant number.

Stock ID The system displays the stock ID.

Currency Code The system displays the currency code associated with the stock ID.

Stock Plan The system displays the stock option plan.

Grant Price The system displays the option price for the grant.

Grant Date The system displays the grant date.

Option Type The system displays the option type of ***NQ, ISO, RSA, NQ/SAR*** or ***ISO/SAR.***

Shares Granted The system displays the number of shares granted.

Exercise Number The system displays the exercise number.

Exercise Date The system displays the exercise date.

Exercise FMV The system displays the exercise FMV.

83B Election If the optionee filed an 83(b) election, the system selects this check box.

Shares Exercised The system displays the number of shares exercised.

Remaining Shares

Releasable The system displays the number of shares that are releasable as of the release date entered.

Release Information

Release Number The system displays ***NEW*** when you enter a release. When you save, the system generates a sequential release number from the last release number stored on the Stock table.

Release Status Select the release status. Valid values are ***Pending, Void,*** and ***Active,*** which is the default.

Status Date The system displays the date that the status was last changed and saved.

Release Date Enter the release date.

Replace Release Number If this is a replacement release, select a replacement release number from available choices. You must first void the original release before you can create a new, replacement release. You associate the two releases with the Replace Release Number for audit purposes.

Shares Released Enter the number of shares to be released. This value cannot exceed the **Remaining Shares Releasable** field amount. Only vested shares are releasable.

Release FMV The system default is the release FMV calculated from the Daily Prices table as of the release date that you entered according to your release FMV rule. You can change this number.

Tax Payment Select a method to pay for any associated taxes. If you select a value not defined on the Stock Option Plan Rules component, you get an error. Cash is the default.

Shares Sold If the tax payment method is Sell to Cover, this field is available. Enter the number of shares sold. If the tax payment method is equal to Same Day Sale, this field in not available and the system displays the total shares released.

Sale Price If the tax payment method is Sell to Cover or Same Day Sale, this field is available. The **Release FMV** field is the default, but you can enter another value.

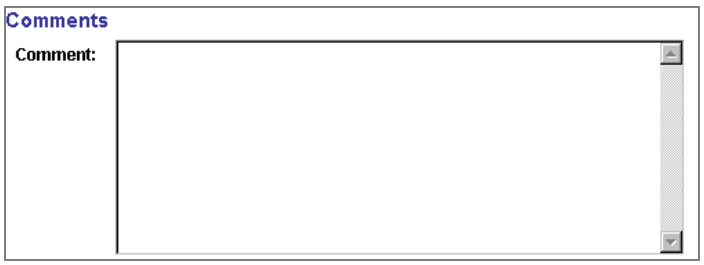
Receipt Date The system displays the date that the release receipt was run.

Comments Click **Comments** to access the Comments Page where you can enter comments about the release.

Return Click **Return** to access the Release Transactions Page where you can search for another release.

Comments Page

Usage	Use the Comments page to enter comments about the release.
Object Name	ST_EXER_REL_SEC
Navigation	Click **Comments** on the Releases - General page.

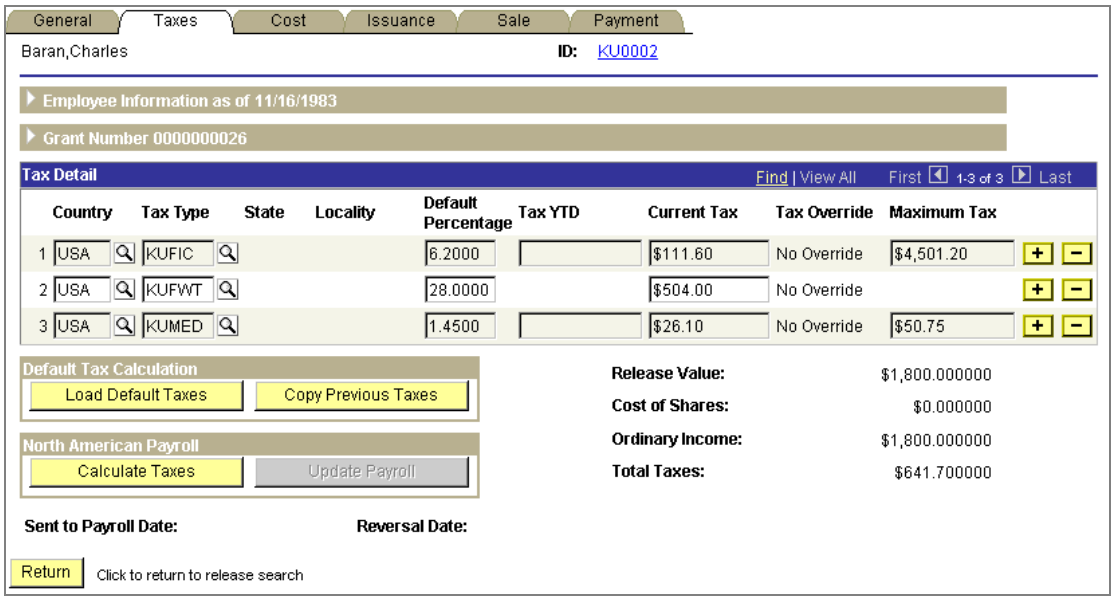


Comments page

The following field is common to multiple pages and is defined in the preface of this PeopleBook in PeopleBooks Standard Page Element Definitions: **Comment.**

Releases - Taxes Page

Usage	Use the Releases - Taxes page to enter or modify tax information concerning a release of restricted shares.
Object Name	ST_REL_TAXES
Navigation	Click a release number on the Release Transactions page.



Releases - Taxes page (1 of 2)

Releases - Taxes page (2 of 2)

The following fields are common to multiple pages and are defined in the preface of this PeopleBook in PeopleBooks Standard Page Element Definitions: **Empl Rcd#, National ID, Company, Country, State,** and **Locality.**

The system displays the employee's name.

ID Click the ID number to access the Employee Information Page, where you can view employee information.

Employee Information

These fields display on all pages in the component and are defined on the Releases - General page.

Grant Information

Grant Number The system displays the grant number.

Stock ID The system displays the stock ID.

Currency Code The system displays the currency code associated with the stock ID.

Stock Plan The system displays the stock option plan.

Grant Price The system displays the option price for the grant.

Grant Date The system displays the grant date.

Option Type The system displays the option type of ***NQ, ISO, RSA, NQ/SAR*** or ***ISO/SAR.***

Shares Granted The system displays the number of shares granted.

Exercise Number The system displays the exercise number.

Exercise Date The system displays the exercise date.

Exercise FMV The system displays the exercise FMV.

83B Election If the optionee filed an 83(b) election, the system selects this check box.

Shares Exercised The system displays the number of shares exercised.

Release Number The system displays ***NEW*** when you enter a release. When you save, the system generates a sequential release number from the last release number stored on the Stock table.

Release Date The system displays the release date.

Release FMV The system displays the release FMV.

Release Status The system displays the release status.

Shares Released The system displays the number of shares released.

Tax Payment The system displays the tax payment method.

Sale Price The system displays the sale price.

Shares Sold The system displays the number of shares sold.

Tax Detail

The system populates these fields when you click any of the **Load Default Taxes**, **Copy Previous Taxes**, or **Calculate Taxes** buttons. You can change the values it you want. If the optionee filed an 83(b) election and paid taxes at the time of exercise, you can not calculate taxes at the time of release.

Tax Type Select the type of tax that you want calculated from available choices. Examples are Federal, State, FICA, SDI, and Medicare.

For more information about tax types, see Stock Administration, "Setting Up Stock Option Plans".

Default Percentage The system enters the default tax percentage based on the tax type selected. You can change the default percentage to modify the current tax amount.

Tax YTD Enter the YTD tax amounts if you want the system to use these values when calculating taxes with limits.

Current Tax The system calculates the current tax based on the ordinary income amount displayed on the page and the default percentage. You can change the current tax amount and the default percentage changes accordingly.

Tax Override If you overrode the default taxes or inserted the tax amounts the system displays ***Manual***. The default is ***None,*** which means no tax override.

Maximum Tax If the **Tax Type** field has a maximum tax limit, the system displays the maximum tax limit.

Default Tax Calculation

Rather than filling in the tax information for each release, you can load the default tax information or copy the tax information from the previous release. Use these methods if you don't use PeopleSoft Payroll for North America.

Load Default Taxes Click **Load Default Taxes** to load the default tax rates based upon the country and state associated with their tax location and the tax rates that you entered on the tax setup pages. The taxes are calculated based upon the ordinary income from the release.

Copy Previous Taxes Click **Copy Previous Taxes** to copy the tax percentages used in the last release within the last calendar year. If there are no releases for the current year, the system copies the percentages from the previous year and gives a warning message.

PeopleSoft Payroll for North America

If you use PeopleSoft Payroll for North America, you can calculate the taxes owed and send them directly to payroll.

Calculate Taxes Click **Calculate Taxes** to have PeopleSoft Payroll for North America calculate the taxes due on the ordinary income from the exercise. The system determines the YTD taxes paid and monitors any limit that might be met.

Update Payroll Click **Update Payroll** to send the tax and ordinary income data to payroll. Once the transaction is saved, you receive confirmation that the transaction was sent. If you don't save the exercise, Payroll is not updated.

If you need to reverse taxes that you've already sent to payroll, you need to change the **Release Status** to ***Void*** on the Releases – General page and save. If the transaction has not been processed by payroll the system deletes the transaction.

If the transaction has already been processed by payroll you receive a message that the transaction wasn't found. You can print the Payroll Reversal Report to notify your payroll administrator that the transaction should be reversed.

Sent to Payroll Date The system displays the date the payroll taxes were sent to payroll either through **Update Payroll** or when the payroll report is run. Click the date to access the Release Payroll Data Page where you can view payroll details.

Reversal Date The system displays the date, if any, that the Payroll Reversal Report was run.

Calculated Values

Release Value The system calculates and displays the release value.

Cost of Shares The system calculates and displays the cost for the shares released.

Ordinary Income The system calculates and displays the ordinary income, if any.

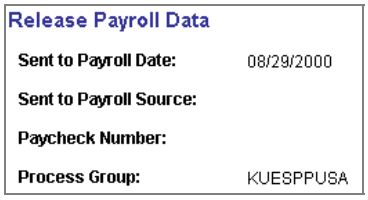
AMT Value The system calculates and displays the alternative minimum tax value, if any.

Total Taxes The system totals and displays the sum of all the taxes displayed. This is the taxes due on the release.

Return Click **Return** to access the Release Transactions Page where you can search for another release.

Release Payroll Data Page

Usage	Use the Release Payroll Data page to view payroll details.
Object Name	ST_EXER_PR3_SBP
Navigation	Click the **Sent to Payroll Date** on the Releases - Taxes page.



Release Payroll Data page.

Sent to Payroll Date The system displays the date that the transaction was sent to payroll or the day the manual report was run.

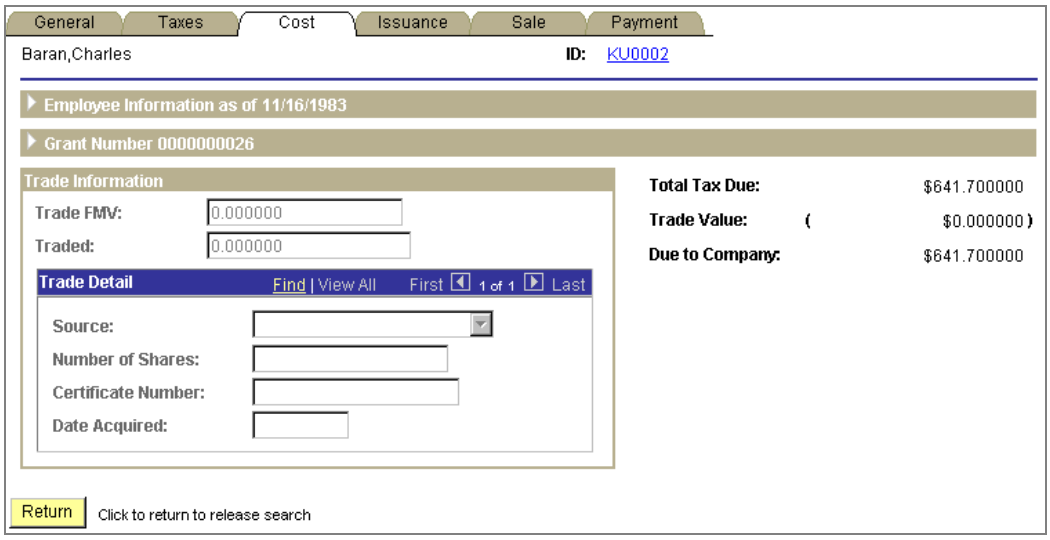
Sent to Payroll Source The system displays the way in which the income/taxes were sent to the payee, either through PeopleSoft Payroll for North America or manual report.

Paycheck Number The system displays the paycheck number when the transaction was processed through PeopleSoft Payroll for North America. This field is blank if a manual report was used.

Process Group The system displays the process group.

Releases - Cost Page

Usage	Use the Releases - Cost page to enter or modify cost information concerning a release of restricted shares.
Object Name	ST_REL_COST
Navigation	Click a release number on the Release Transactions page.



Releases - Cost page (1 of 2)

Releases - Cost page (2 of 2)

The following fields are common to multiple pages and are defined in the preface of this PeopleBook in PeopleBooks Standard Page Element Definitions: **Empl Rcd#, Company,** and **National ID.**

The system displays the employee's name.

ID Click the ID number to access the Employee Information Page, where you can view employee information.

Employee Information

These fields display on all pages in the component and are defined on the Releases - General page.

Grant Information

Grant Number The system displays the grant number.

Stock ID The system displays the stock ID.

Currency Code The system displays the currency code associated with the stock ID.

Stock Plan The system displays the stock option plan.

Grant Price The system displays the option price for the grant.

Grant Date The system displays the grant date.

Option Type The system displays the option type of ***NQ, ISO, RSA, NQ/SAR*** or ***ISO/SAR.***

Shares Granted The system displays the number of shares granted.

Exercise Number The system displays the exercise number.

Exercise Date The system displays the exercise date.

Exercise FMV The system displays the exercise FMV.

83B Election If the optionee filed an 83(b) election, the system selects this check box.

Shares Exercised The system displays the number of shares exercised.

Release Number The system displays ***NEW*** when you enter an release. When you save, the system generates a sequential release number from the last release number stored on the Stock table.

Release Date The system displays the release date.

Release FMV The system displays the release FMV.

Release Status The system displays the release status.

Shares Released The system displays the number of shares released.

Tax Payment The system displays the tax payment method.

Sale Price The system displays the sale price.

Shares Sold The system displays the number of shares sold.

Trade Information

If a payment method is Trade for Taxes, these fields become available.

Trade FMV The system displays the Swap/Trade FMV as defined on the Stock Option Plan Rules - FMV Rules setup page.

Traded The system displays the number of shares required for the trade by dividing the **Total Tax Due** field by the **Swap/Trade FMV** field. You can change the number, if necessary.

Trade Detail

If a payment method is Trade for Taxes, these fields become available. You can make multiple entries to record the various shares used for the trade, and whether the shares are being surrendered or are to be netted from the release.

Source Select ***Constructive Delivery*** if the shares surrendered for the trade are to be netted from the release and a physical certificate is not delivered. Select ***Physical Delivery*** if a physical certificate is surrendered for cancellation.

Number of Shares Enter the number of shares surrendered. Constructive delivery will reduce the number of shares to be issued by the number of shares traded.

Certificate Number Enter the certificate number of the shares surrendered for the trade, if any.

Date Acquired Enter the date the traded shares were acquired.

Calculated Values

Total Tax Due The system displays the total taxes due calculated on the Releases – Taxes page.

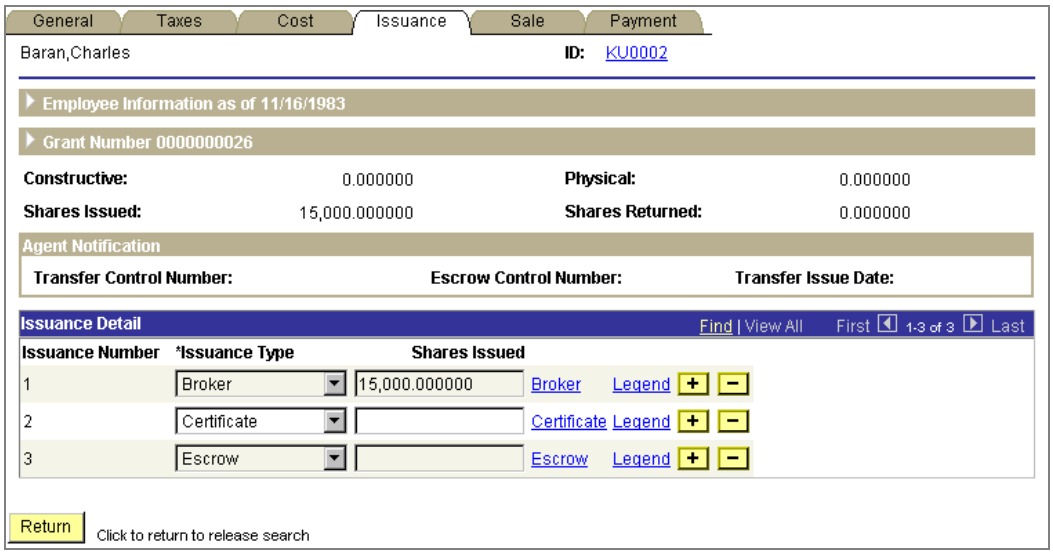
Trade Value If the share payment method is trade, the system displays the trade value (number of shares traded multiplied by the swap/trade FMV).

Due to Company The system displays the total amount due to the company. The value is equal to the total taxes due less the trade value, if any.

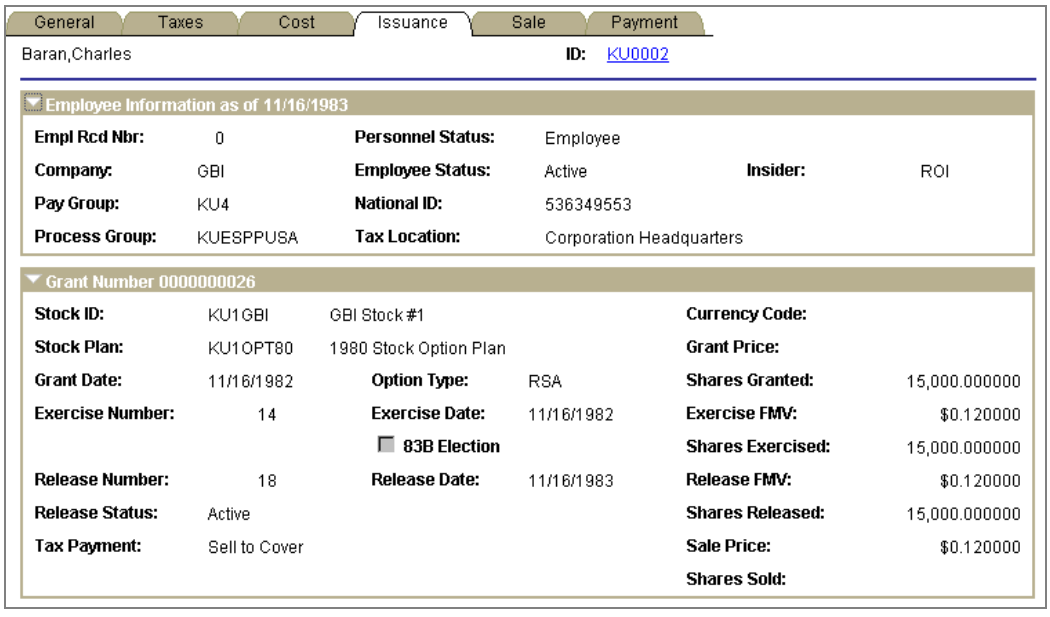
Return Click **Return** to access the Release Transactions Page where you can search for another release.

Releases - Issuance Page

Usage	Use the Releases - Issuance page to enter or modify issuance information concerning a release of restricted shares.
Object Name	ST_REL_ISSUE
Navigation	Click a release number on the Release Transactions page.



Releases - Issuance page (1 of 2)



Releases - Issuance page (2 of 2)

The following fields are common to multiple pages and are defined in the preface of this PeopleBook in PeopleBooks Standard Page Element Definitions: **Empl Rcd#, Company, National ID.**

The system displays the employee's name.

ID Click the ID number to access the Employee Information Page, where you can view employee information.

Grant Information

Grant Number The system displays the grant number.

Stock ID The system displays the stock ID.

Currency Code The system displays the currency code associated with the stock ID.

Stock Plan The system displays the stock option plan.

Grant Price The system displays the option price for the grant.

Grant Date The system displays the grant date.

Option Type The system displays the option type of ***NQ, ISO, RSA, NQ/SAR*** or ***ISO/SAR.***

Shares Granted The system displays the number of shares granted.

Exercise Number The system displays the exercise number.

Exercise Date The system displays the exercise date.

Exercise FMV The system displays the exercise FMV.

83B Election If the optionee filed an 83(b) election, the system selects this check box.

Shares Exercised The system displays the number of shares exercised.

Release Number The system displays ***NEW*** when you enter an release. When you save, the system generates a sequential release number from the last release number stored on the Stock table.

Release Date The system displays the release date.

Release FMV The system displays the release FMV.

Release Status The system displays the release status.

Shares Released The system displays the number of shares released.

Tax Payment The system displays the tax payment method.

Sale Price The system displays the sale price.

Shares Sold The system displays the number of shares sold.

Shares Swapped/Traded

If shares are traded as part of the release, the system displays these amounts.

Constructive The system displays the total number of constructively traded shares.

Physical The system displays the total number of physically traded shares.

Shares Issued The system displays the total number of shares issued from the release. It equals the number of shares released less the total number of constructive shares traded.

Shares Returned The system displays the total number of shares returned from the trade when a certificate is physically delivered for more shares than required for the trade.

Agent Notification

Transfer Control Number The system displays the transfer control number assigned by the Issuance Instructions report.

Escrow Control Number The system displays the control number assigned by the Issuance Instructions report. This field is populated after you run the Agent Issuance Instructions report.

Transfer Issue Date The system displays the date that the Issuance Instructions report was run. This field is populated after you run the Agent Issuance Instructions report.

Issuance Detail

Issuance Number The system displays the number ***1*** when you first add a release. For each subsequent issuance you create the system generates a sequential number.

Issuance Type If the release is a SDS or STC, then ***Broker*** defaults. If the release is any other type the information on the Issuance Instruction page for the optionee defaults. If issuance instructions are not set up for an optionee, ***Certificate*** is the default. You can change the default value.

Shares Issued Enter the number of shares equal to the total number of shares being issued less any traded shares. The number of shares released defaults.

Broker When the Issuance Type is Broker you can click **Broker** to access the Broker/Branch Information Page.

Certificate When the **Issuance Type** field is Certificate, you can click **Certificate** to access the Certificate Information Page.

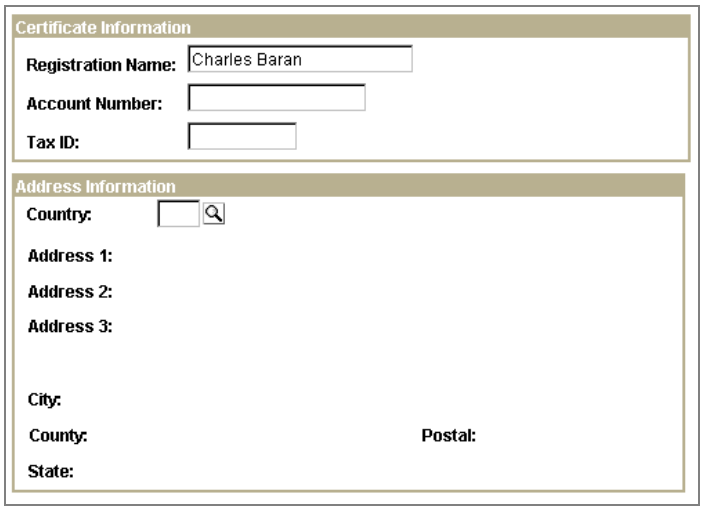
Escrow When the Issuance Type is Escrow you can click **Escrow** to access the Escrow Page.

Legend Click **Legend** to access the Legend Page.

Return Click **Return** to access the Release Transactions Page where you can search for another release.

Certificate Information Page

Usage	Use the Certificate Information page to add registration and address information. The Escrow Page also uses this object name.
Object Name	ST_REL_CERT_SEC
Navigation	Click **Certificate** on the Releases - Issuance page.



Certificate Information page

The following fields are common to multiple pages and are defined in the preface of this PeopleBook in PeopleBooks Standard Page Element Definitions: **Country, Address 1, Address 2, Address 3, City, County, State,** and **Postal.**

The information from the Issuance Instructions is the default.

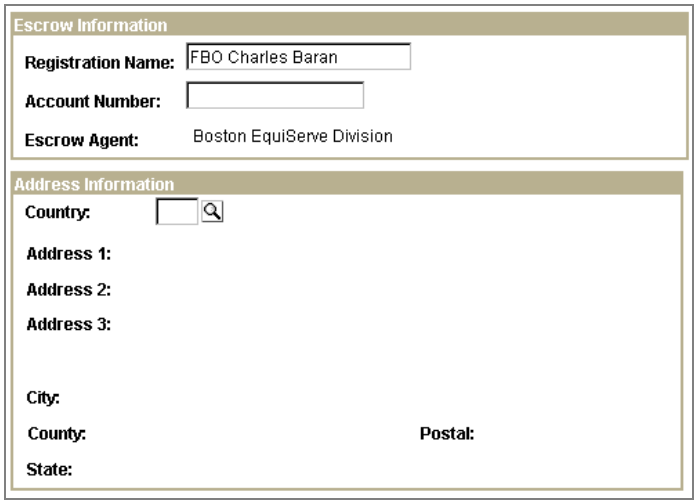
Registration Name The optionee's name defaults. Enter the name that is to appear on the stock certificate.

Account Number Enter the account number.

Tax ID Enter the tax ID of the individual or organization to whom the stock is being issued, if not the optionee.

Escrow Page

Usage	Use the Escrow Information page to add escrow information. This page uses the same ST_REL_CERT_SEC object name as the Certificate page.
Navigation	Click **Escrow** on the Releases – Issuance page.



Escrow Information page

The following fields are common to multiple pages and are defined in the preface of this PeopleBook in PeopleBooks Standard Page Element Definitions: **Country, Address 1, Address 2, Address 3, City, County, State,** and **Postal.**

The information from the Issuance Instructions is the default.

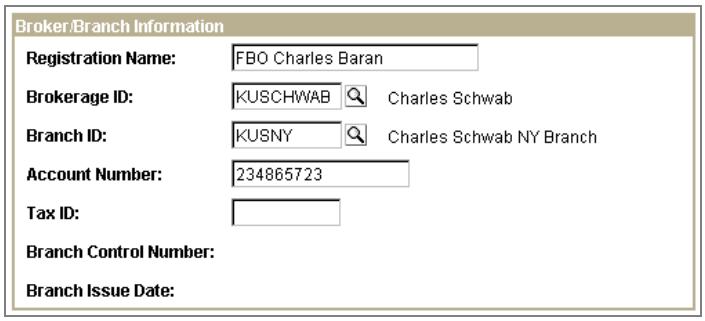
Registration Name The optionee's name defaults. Enter the name that is to appear on the escrow account.

Account Number Enter the account number.

Escrow Agent The system displays the name of the escrow agent.

Broker/Branch Information Page

Usage	Use the Broker/Branch Information page to add brokerage information.
Object Name	ST_REL_BROKER_SEC
Navigation	Click **Broker** on the Release – Issuance page.



Broker/Branch Information page

The information from the Issuance Instructions is the default.

Registration Name The optionee's name defaults. Enter the name that is to appear on the brokerage account.

Brokerage ID Select a Brokerage ID from available choices.

Branch ID Select a Branch ID from available choices.

Account Number Enter the account number.

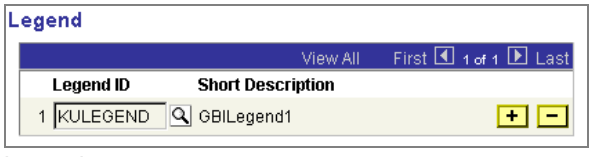
Tax ID Enter the tax ID of the individual or organization to whom the stock is being issued, if not the optionee.

Branch Control Number The system displays the branch control number after you run the Option Broker Deposits report.

Branch Issue Date The system displays the branch issue date after you run the Option Broker Deposits report.

Legend Page

Usage	Use the Legend page to select the legends you want to display on the issuance instructions.
Object Name	ST_REL_LEGEND_SEC
Navigation	Click **Legend** on the Releases - Issuance page.



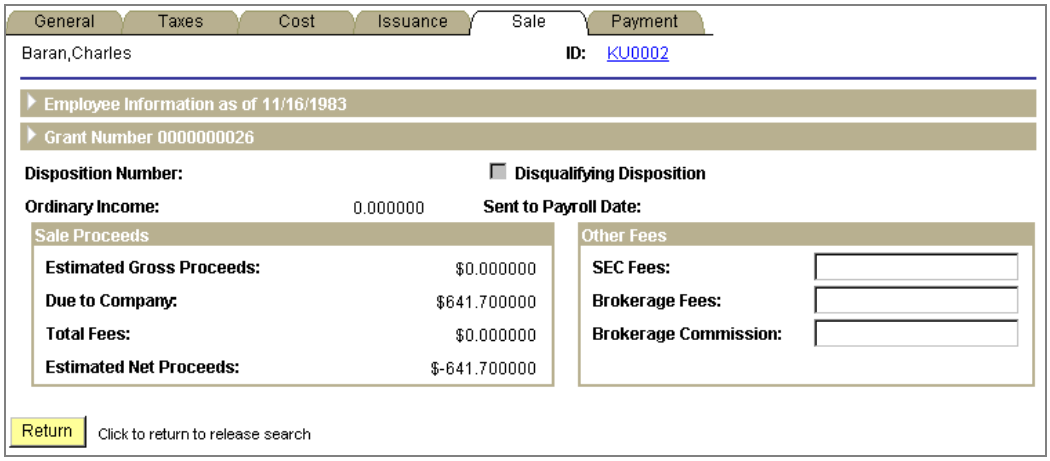
Legend page

The following field is common to multiple pages and is defined in the preface of this PeopleBook in PeopleBooks Standard Page Element Definitions: **Short Description.**

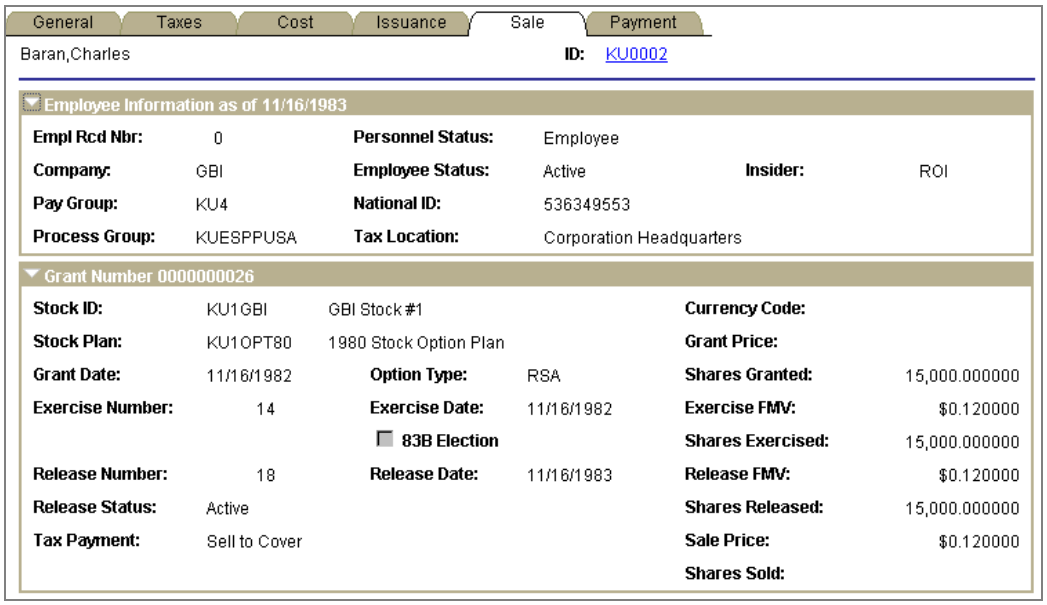
Legend ID Select the legend ID. By selecting a legend ID you can communicate further instruction to a transfer or escrow agent. The details of the legend ID print on the Issuance Instructions. You can use it, for example, to notify the transfer agent how to cancel swapped shares or place a specific legend on the back of a certificate. You can select multiple legends.

Releases - Sale Page

Usage	Use the Releases - Sale page to enter or modify sale information concerning a release of restricted shares.
Object Name	ST_REL_SALE
Navigation	Click a release number on the Release Transactions page.



Releases - Sale page (1 of 2)



Releases - Sale page (2 of 2)

The following fields are common to multiple pages and are defined in the preface of this PeopleBook in PeopleBooks Standard Page Element Definitions: **Empl Rcd#, Company,** and **National ID.**

The system displays the employee's name.

ID Click the ID number to access the Employee Information Page, where you can view employee information.

Employee Information

These fields display on all pages in the component and are defined on the Releases - General page.

Grant Information

Grant Number The system displays the grant number.

Stock ID The system displays the stock ID.

Currency Code The system displays the currency code associated with the stock ID.

Stock Plan The system displays the stock option plan.

Grant Price The system displays the option price for the grant.

Grant Date The system displays the grant date.

Option Type The system displays the option type of ***NQ, ISO, RSA, NQ/SAR*** or ***ISO/SAR.***

Shares Granted The system displays the number of shares granted.

Exercise Number The system displays the exercise number.

Exercise Date The system displays the exercise date.

Exercise FMV The system displays the exercise FMV.

83B Election If the optionee filed an 83(b) election, the system selects this check box.

Shares Exercised The system displays the number of shares exercised.

Release Number The system displays ***NEW*** when you enter an release. When you save, the system generates a sequential release number from the last release number stored on the Stock table.

Release Date The system displays the release date.

Release FMV The system displays the release FMV.

Release Status The system displays the release status.

Shares Released The system displays the number of shares released.

Tax Payment The system displays the tax payment method.

Sale Price The system displays the sale price.

Shares Sold The system displays the number of shares sold.

Sales Summary Information

Disposition Number The system displays the disposition number assigned when a Same Day Sale or Sell to Cover is saved.

Disqualifying Disposition If the option type is ISO and the payment method is SDS or STC the system selects this check box when the transaction is a disqualifying disposition.

Ordinary Income The system displays the disqualifying disposition ordinary income calculated when the option type is ***ISO*** and the payment method is ***SDS*** or ***STC.***

Sent to Payroll Date The system displays the date a disqualifying disposition was reported to payroll.

Sale Proceeds

Estimated Gross Proceeds The system displays the gross sales proceeds for the shares sold at exercise.

The field is calculated as the **Sale Price** field multiplied by the number of **Shares Sold** field.

Due to Company The system displays the amount due the company from the stock broker for the exercise.

Total Fees The system displays the sum of the SEC fees, brokerage fees, and brokerage commission.

Estimated Net Proceeds The system displays the estimated amount the optionee will receive from the sale after the amount due the company and any applicable fees are deducted from the **Estimated Gross Proceeds** field.

The field is calculated as the **Estimated Gross Proceeds** field less the **Due to the Company** field less the **Total Fees** field.

Other Fees

SEC Fees Enter the SEC fees associated with a stock sale.

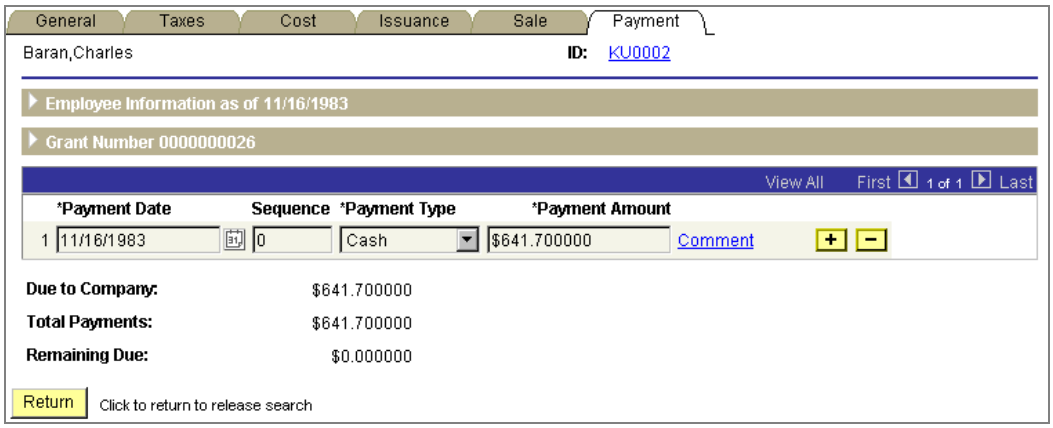
Brokerage Fees Enter the brokerage fees.

Brokerage Commission Enter the brokerage commission.

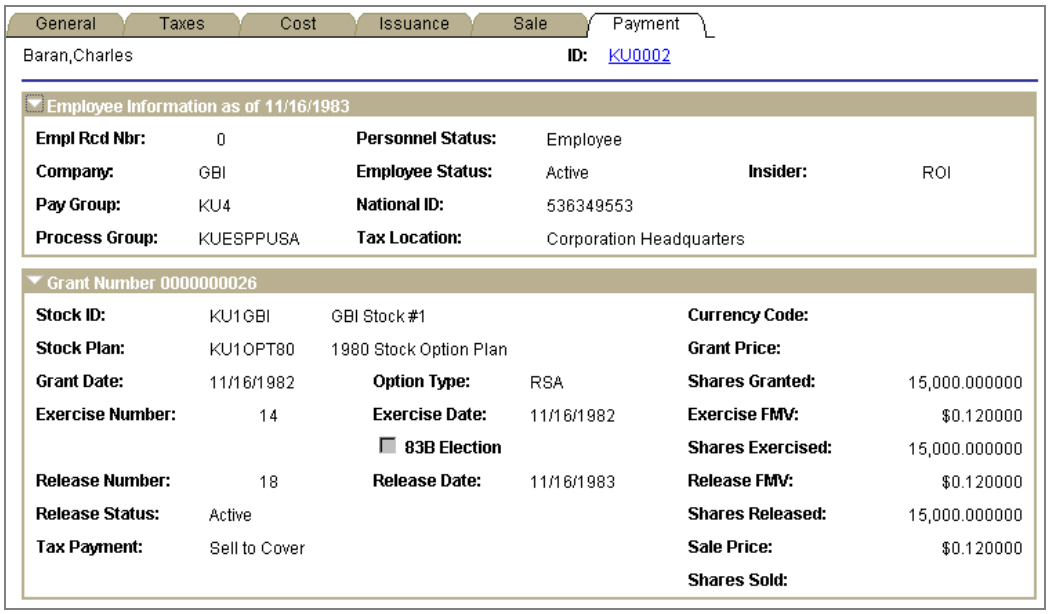
Return Click **Return** to access the Release Transactions Page where you can search for another release.

Releases - Payment Page

Usage	Use the Releases - Payment page to enter or modify payment information concerning a release of restricted shares.
Object Name	ST_REL_PAYMENT
Navigation	Click a release number on the Release Transactions page.



Releases - Payment page (1 of 2)



Releases - Payment page (2 of 2)

The following fields are common to multiple pages and are defined in the preface of this PeopleBook in PeopleBooks Standard Page Element Definitions: **Empl Rcd#, Company,** and **National ID.**

The system displays the employee's name.

ID Click the ID number to access the Employee Information Page, where you can view employee information.

Employee Information

These fields display on all pages in the component and are defined on the Releases - General page.

Grant Information

Grant Number The system displays the grant number.

Stock ID The system displays the stock ID.

Currency Code The system displays the currency code associated with the stock ID.

Stock Plan The system displays the stock option plan.

Grant Price The system displays the option price for the grant.

Grant Date The system displays the grant date.

Option Type The system displays the option type of ***NQ, ISO, RSA, NQ/SAR*** or ***ISO/SAR.***

Shares Granted The system displays the number of shares granted.

Exercise Number The system displays the exercise number.

Exercise Date The system displays the exercise date.

Exercise FMV The system displays the exercise FMV.

83B Election If the optionee filed an 83(b) election, the system selects this check box. If this is not selected, you should calculate the taxes before you save the release.

Shares Exercised The system displays the number of shares exercised.

Release Number The system displays ***NEW*** when you enter an release. When you save, the system generates a sequential release number from the last release number stored on the Stock table.

Release Date The system displays the release date.

Release FMV The system displays the release FMV.

Release Status The system displays the release status.

Shares Released The system displays the number of shares released.

Tax Payment The system displays the tax payment method.

Sale Price The system displays the sale price.

Shares Sold The system displays the number of shares sold.

Payment Information

Record each payment on an individual line.

Payment Date Enter the date you received the payment. The payment date must be greater than or equal to the release date.

Sequence If more than one payment is made in a single day, the system enters a sequence number.

Payment Type Select ***Adjustment, Cash, Check, Loan, Pay Ded,*** or ***Wire.***

Payment Amount Enter the amount paid. You can enter a negative amount to reflect an overpayment.

Comment Click **Comment** to access the Comment page where you can add comments about the payment.

Calculated Values

Due to Company The system displays the amount due to the company calculated on the Releases - Cost page.

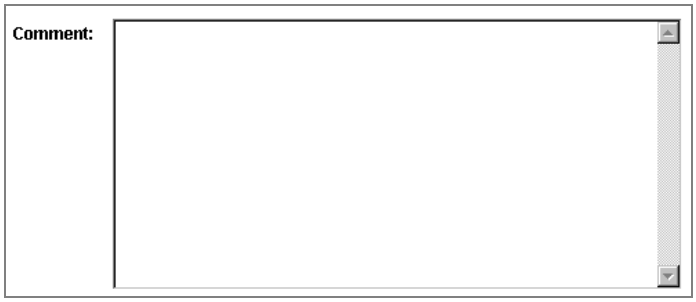
Total Payments The system displays the sum of the payment amounts.

Remaining Due The system displays the amount remaining. This field is calculated by subtracting the **Total Payments** field from the **Due to Company** field.

Return Click **Return** to access the Release Transactions Page where you can search for another release.

Comment page

Usage	Use the Comment page to enter comments about the payment.
Object Name	ST_RPYMT_CMT_SEC
Navigation	Click **Comments** on the Releases - Payments page.



Comment page

The following field is common to multiple pages and is defined in the preface of this PeopleBook in PeopleBooks Standard Page Element Definitions: **Comment.**

CHAPTER 10

Administering Stock Option Dispositions

Once shares are exercised or released an optionee may choose to dispose of those shares by sale or transfer. Depending upon the option type and the holding period requirements, your company may be entitled to a tax deduction equal to the optionee's ordinary income on a disposition.

You can record and track your optionees' sales and transfers, determine if the transactions are disqualified dispositions, and, if you use PeopleSoft Payroll for North America, send the ordinary income calculated on a disqualifying disposition directly to payroll for processing.

Before You Begin

Before you begin recording stock option dispositions you should:

- Process optionee exercises and releases.
- Receive information about disposition from optionees, transfer agents, or brokers.

Overview of Stock Option Dispositions

PeopleSoft Stock Administration enables you to track and record dispositions on all shares issued from your stock option exercises and releases. When you enter a disposition for an ISO or an ISO/SAR, the system looks to the 422 plan rules defined on the Governing Body Rules – Stock Option Rules page to determine if the required holding period is met for preferential tax treatment. If the disposition does not meet the holding period requirements, the system calculates the ordinary income for the shares disposed. If the ordinary income is reported on a Form W-2, a company can take it as a tax deduction. If the disposition date meets the holding period requirements, the system does not calculate ordinary income.

The ordinary income calculated on a disqualifying disposition is based on the Income Method rule set up on the Stock Option Plan Rules – Payment/Income Methods page for ISO sales. This rule determines the price used to calculate the ordinary income on the disposition. The value also depends on whether the transaction is an exercise or release, and if the optionee filed an 83b Election.

The ways disqualifying dispositions are calculated for ISOs and ISO/SARs are:

Exercise of Vested Shares

Holding Period: Calculated from the Exercise Date

Ordinary Income Calculation:

[(Sale Price or Exercise FMV or lesser of the two) x Shares Disposed)] – (Grant Price x Shares Disposed)

Release with No 83b Election Filed

Holding Period: Calculated from the Release Date

Ordinary Income Calculation:

[(Sale Price or Release FMV or lesser of the two)] x Shares Disposed) – (Grant Price x Shares Disposed)

Release with 83b Election Filed

Holding Period: Calculated from the Exercise Date

Ordinary Income Calculation:

[(Sale Price or Exercise FMV or lesser of the two) x Shares Disposed)] – (Grant Price x Shares Disposed)

Processing Dispositions

You may want to survey the transfer agents, brokerages, and the optionees to determine if a transaction represents a true disposition, or just a transfer from one brokerage account to another. You can enter all information received from transfer agents or brokers concerning potential dispositions into the system with a Pending status, then send the Disqualifying Disposition survey to the individuals to verify the transaction occurred.

When the individual, transfer agent, or broker confirms a disposition, you change the status to Confirmed. If the disposition is disqualified (Disqualifying Disposition box is checked) you can send the ordinary income to payroll so it is included on the individuals W-2.

If you use PeopleSoft Payroll for North America you can click the Update Payroll button to send this income to payroll for processing. If you do not use PeopleSoft Payroll for North America, or the optionee is not paid through this system, you need to run the Disqualifying Disposition Payroll Report and send it to your payroll administrator for processing. Once you've sent the ordinary income to payroll, either through the integrated process or the manual report, the Sent to Payroll date indicates the day the transaction was sent or the manual report was run.

If you need to adjust or cancel a disposition after you've sent the ordinary income to payroll, you should change the Status to Void and add a new disposition to the record. If the disposition was created by a Same Day Sale or Sell to Cover transaction you should make the change using the Exercises or Releases components, as appropriate. If you use PeopleSoft Payroll for North America and the transaction has not been processed by Payroll for North America, the system deletes the transaction from the table. You receive a message that the transaction was successfully

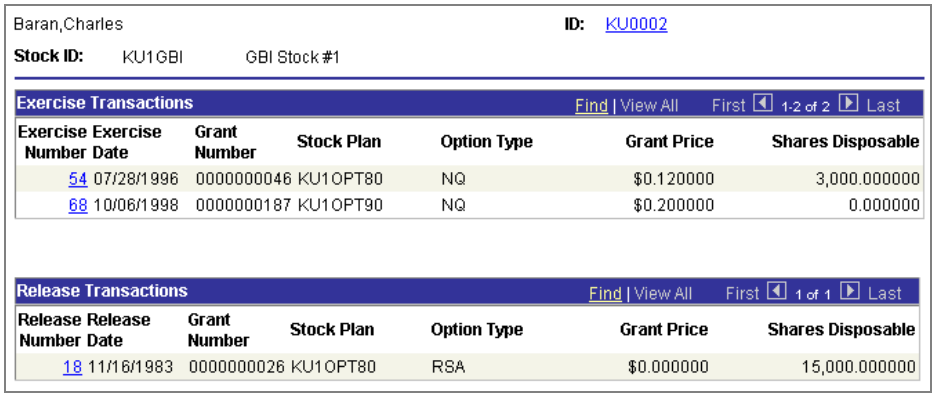
deleted. If PeopleSoft Payroll for North America processed the transaction or the manual payroll report was run, you need to run the Disqualifying Disposition Reversal Report and give it to your payroll administrator.

Tracking Options Dispositions

The Stock Option Dispositions page displays summary information about an optionee's exercises and releases. When you click an exercise number, you access the Exercise Disposition page that displays the details of an optionee's exercise and enables you to enter a disposition for that exercise or view and modify an existing disposition. When you click a release number, you access the Release Disposition page that displays the details of an optionee's release and enables you to enter a disposition for that release or view and modify an existing disposition.

Stock Option Dispositions Page

Usage	Use the Stock Option Dispositions page to view a summary of an optionee's exercises and releases. From this page you can access the Exercise Disposition and Release Disposition pages where you enter dispositions.
Object Name	ST_OPTN_DISPOSN
Navigation	**Compensate Employees, Administer Stock Options, Use, Dispositions, Option Dispositions**
Prerequisites	You must first process an exercise or release for the optionee.
Access Requirements	Select an Empl ID and Stock ID.



Stock Option Dispositions page

The system displays the employee's name.

ID Click the ID number to access the Employee Information Page where you can view employee information.

Stock ID The system displays the stock ID.

Exercise Transactions

Exercise Number The system displays the exercise number. Click the exercise number to access the Exercise Disposition Page where you can view exercise details and enter a disposition for the exercise.

Exercise Date The system displays the exercise date.

Grant Number The system displays the grant number.

Stock Plan The system displays the stock plan.

Option Type The system displays the type of option exercised.

Grant Price The system displays the grant price.

Shares Disposable The system displays the number of shares available to be disposed as of the current system date.

Release Transactions

Release Number The system displays the release number. Click the release number to access the Release Disposition Page where you can view release details and enter a disposition for the release.

Release Date The system displays the release date.

Grant Number The system displays the grant number.

Stock Plan The system displays the stock plan.

Option Type The system displays the type of option released.

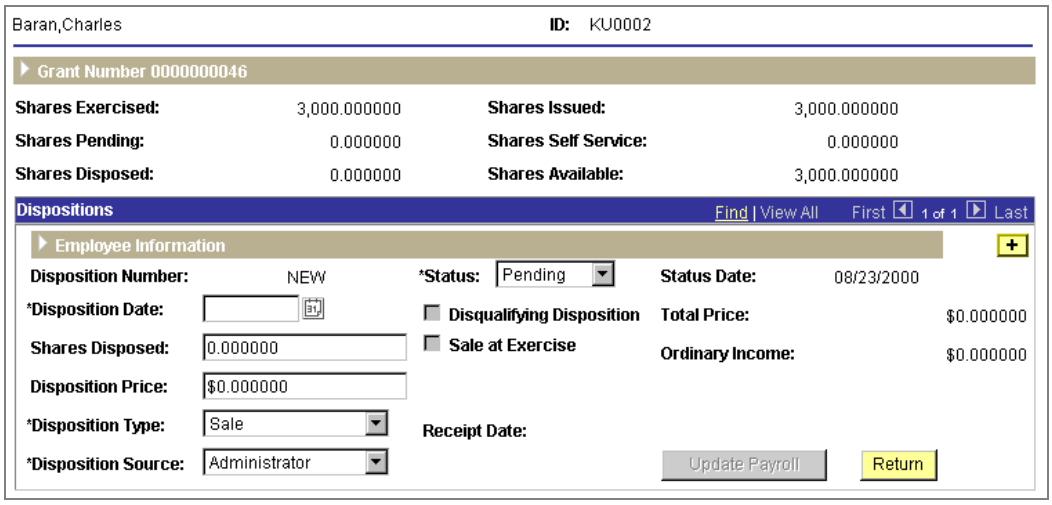
Grant Price The system displays the grant price.

Shares Disposable The system displays the number of shares available to be disposed as of the current system date.

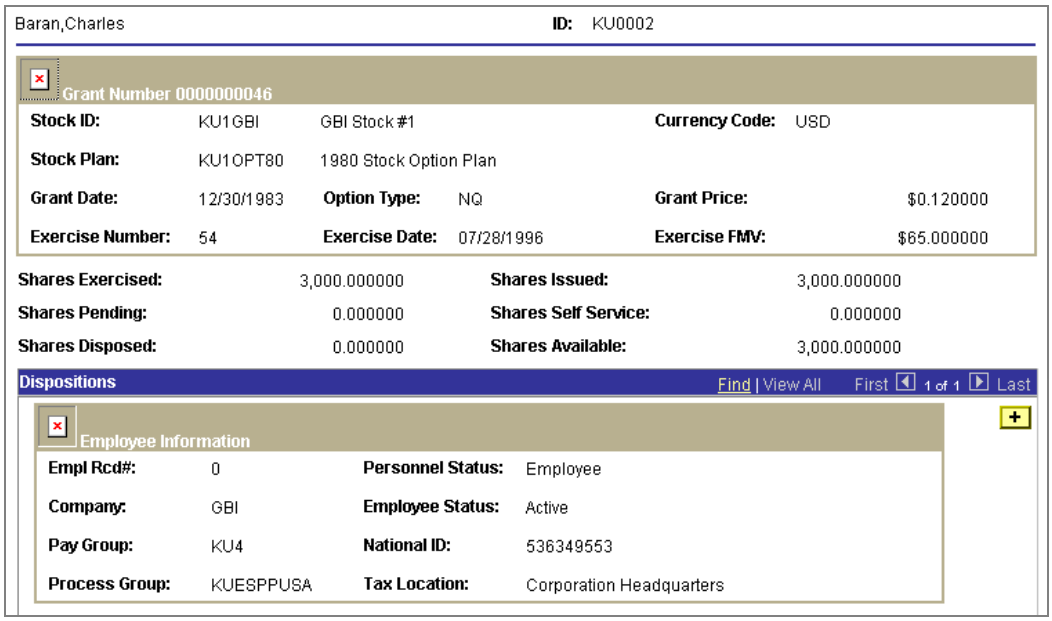
Exercise Disposition Page

Usage	Use the Exercise Disposition page to enter an exercise disposition.
Object Name	ST_EXER_DISPOSN

Navigation	Click an exercise number on the Stock Option Dispositions page.



Exercise Disposition page (1 of 2)



Exercise Disposition page (2 of 2)

The following fields are common to multiple pages and are defined in the preface of this PeopleBook in PeopleBooks Standard Page Element Definitions: **ID, Empl Rcd#, Company,** and **National ID.**

The system displays the employee's name.

Grant Information

The system displays grant information related to the exercise that you selected.

Grant Number The system displays the grant number.

Stock ID The system displays the stock ID.

Currency Code The system displays the currency code.

Stock Plan The system displays the stock plan.

Grant Date The system displays the grant date.

Option Type The system displays the option type.

Grant Price The system displays the grant price.

Exercise Number The system displays the exercise number.

Exercise Date The system displays the exercise date.

Exercise FMV The system displays the FMV for the exercise.

Exercise Information

Shares Exercised The system displays the number of shares exercised.

Shares Issued The system displays the number of shares issued.

Shares Pending The system displays the number of disposed shares in pending status.

Shares Self Service The system displays the number of shares reported disposed through the self-service page in self-service status.

Shares Disposed The system displays the number of shares disposed in confirmed status.

Shares Available The system displays the number of shares available. This is equal to Shares Issued – Share Pending – Shares Self Service – Shares Disposed.

Employee Information

Personnel Status The system displays the personnel status as of the disposition date.

Employee Status The system displays the employee status as of the disposition date.

Pay Group The system displays the pay group as of the disposition date.

Process Group The system displays the process group as of the disposition date.

Tax Location Code The system displays the tax location code as of the disposition date.

Disposition Information

Disposition Number The system displays ***NEW*** when you enter a disposition. When you save, the system generates a sequential disposition number from the last disposition number stored on the Stock Table.

Status Select a disposition status. The default for a new record is ***Pending,*** unless the shares were already sold through a same day sale or sell to cover transaction. Then, the status is ***Confirmed.*** When the status is changed to ***Confirmed*** ordinary income can be sent to PeopleSoft Payroll for North America by a transaction record, if integrated, or displayed on a manual payroll report when saved. If you need to change a transaction that has already been sent to payroll, change the status to ***Void.*** If an optionee reports a disposition through the self-service page, the status is ***Self Srvc*** (self service) until you set it to ***Confirmed***, either by running the Confirm Self Service process or changing the status to ***Confirmed*** online.

Status Date The system displays the date the status was last changed and saved.

Disposition Date The system displays today's date, which you can change. Enter the sale or transfer date. The date must be greater than or equal to the exercise date. If the optionee is an insider and the date is during a black-out period, the system displays a warning.

Disqualifying Disposition This check box is selected if the option type is ISO or ISO/SAR, the option was exercised in shares, and the sale date does not meet the holding period requirements in the governing body rules for IRS 422 plans.

Total Price The system displays the total price. This is the grant price multiplied by the number of shares sold.

Shares Disposed Enter the number of shares disposed.

Sale at Exercise This check box is selected if the shares were sold at exercise, such as in a same day sale or sell to cover transaction. You modify these dispositions, if necessary, using the Exercises component.

Ordinary Income If the transaction is a disqualifying disposition and the **Disqualifying Disposition** check box is selected, the system calculates and displays the ordinary income.

Disposition Price Enter the disposition price. The Exercise FMV, which you can change, is the default.

Disposition Type Select ***Sale*** or ***Transfer. Sale*** is the default.

Receipt Date The system displays the date the disposition receipt was run.

Disposition Source Select how the disposition was reported. Valid values are ***Administrator, Self-Service,*** and ***Third Party. Administrator*** is the default.

Sent to Payroll Date The system displays the date the transaction was sent to PeopleSoft Payroll for North America or the manual payroll report was run for disqualifying dispositions with ordinary income. Click the date to access the Exercise Disposition Payroll Data Page where you can view payroll details.

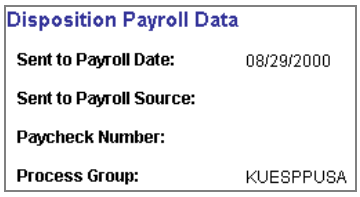
Reversal Date The system displays the date the manual Reverse Disqualifying Disposition report was run.

Update Payroll Click **Update Payroll** to send the transaction to payroll.

Return Click **Return** to return to the Stock Option Dispositions Page.

Exercise Disposition Payroll Data Page

Usage	Use the Exercise Disposition Payroll Data page to view payroll details.
Object Name	ST_EXER_PR_SBP
Navigation	Click the Sent to Payroll Date on the Exercise Disposition page.



Exercise Disposition Payroll Data Page

Sent to Payroll Date The system displays the date that the transaction was sent to payroll or the day the manual report was run.

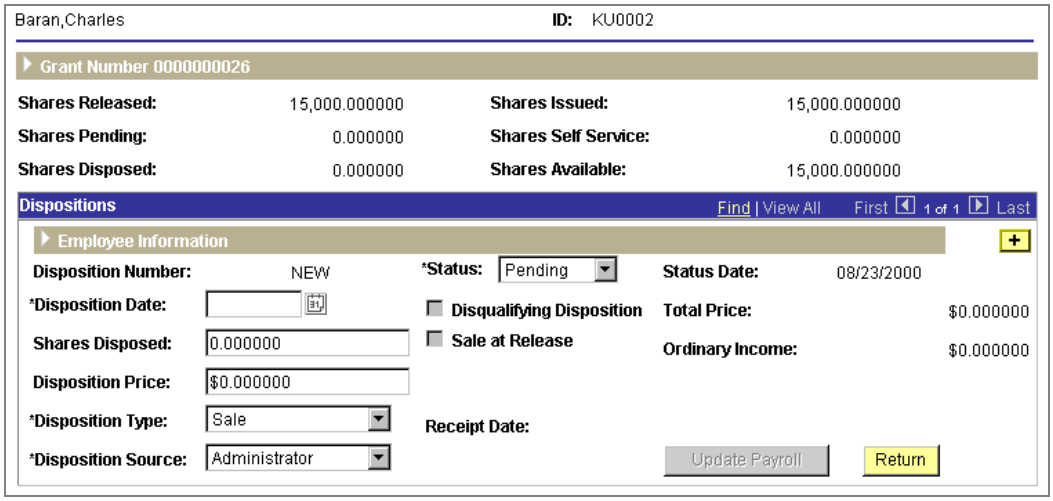
Sent to Payroll Source The system displays the way in which the income/taxes were sent to the payee, either through PeopleSoft Payroll for North America or manual report.

Paycheck Number The system displays the paycheck number when the transaction was processed through PeopleSoft Payroll for North America. This field is blank if a manual report was used.

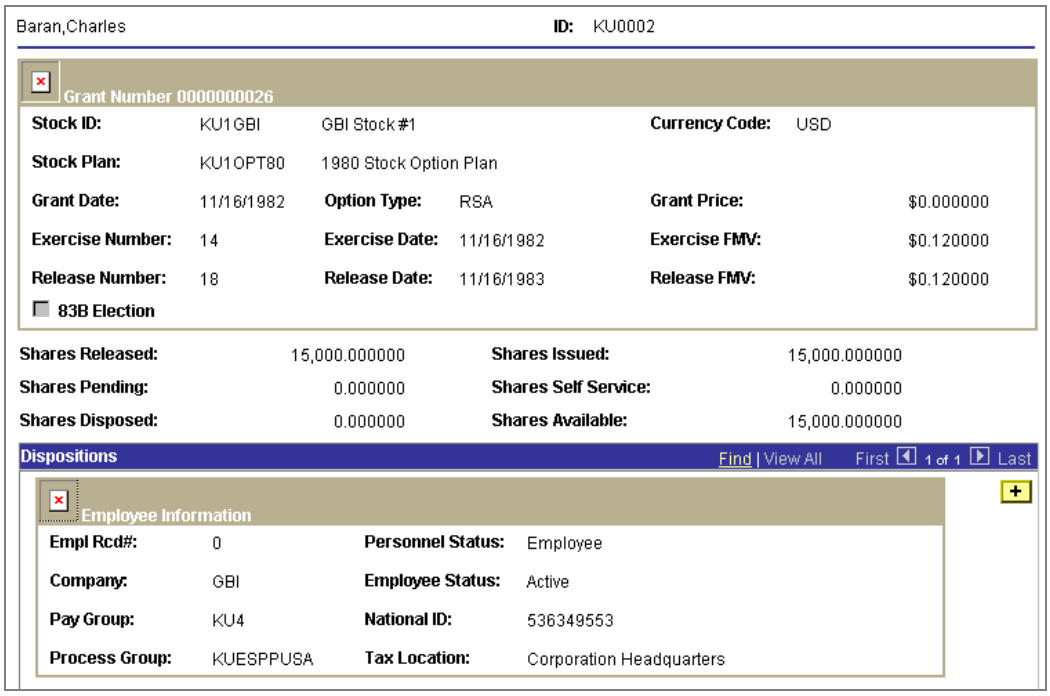
Process Group The system displays the process group.

Release Disposition Page

Usage	Use the Release Disposition page to enter a release disposition.
Object Name	ST_REL_DISPOSN
Navigation	Click a release number on the Stock Option Dispositions page.



Release Dispositions page (1 of 2)



Release Dispositions page (2 of 2)

The following fields are common to multiple pages and are defined in the preface of this PeopleBook in PeopleBooks Standard Page Element Definitions: **ID, Empl Rcd#, Company,** and **National ID.**

The system displays the employee's name.

Grant Information

The system displays stock information related to the release that you selected.

Grant Number The system displays the grant number.

Stock ID The system displays the stock ID.

Currency Code The system displays the currency code.

Stock Plan The system displays the stock plan.

Grant Date The system displays the grant date.

Option Type The system displays the option type.

Grant Price The system displays the grant price.

Exercise Number The system displays the exercise number.

Exercise Date The system displays the exercise date.

Exercise FMV The system displays the FMV for the exercise.

Release Number The system displays the release number.

Release Date The system displays the release date.

Release FMV The system displays the release FMV.

83B Election If the optionee filed an 83B election at the time of exercise the system selects this check box.

Release Information

Shares Released The system displays the number of shares released.

Shares Issued The system displays the number of shares issued to the optionee.

Shares Pending The system displays the number of shares in pending status.

Shares Self Service The system displays the number of shares reported disposed through the self-service page in self-service status.

Shares Disposed The system displays the number of shares disposed in confirmed status.

Shares Available The system displays the number of shares available. This is equal to Shares Issued – Share Pending – Shares Self Service – Shares Disposed.

Employee Information

Personnel Status The system displays the personnel status as of the disposition date.

Employee Status The system displays the employee status as of the disposition date.

Pay Group The system displays the pay group as of the disposition date.

Process Group The system displays the process group as of the disposition date.

Tax Location Code The system displays the tax location code as of the disposition date.

Disposition Information

Disposition Number The system displays ***NEW*** when you enter a disposition. When you save, the system generates a sequential disposition number from the last disposition number stored on the Stock Table.

Status Select a disposition status. The default for a new record is ***Pending,*** unless the shares were already sold through a same day sale or sell to cover transaction. Then, the status is ***Confirmed.*** When the status is changed to ***Confirmed*** ordinary income can be sent to PeopleSoft Payroll for North America by a transaction record, if integrated, or displayed on a manual payroll report when saved. If you need to change a transaction that has already been sent to payroll, change the status to ***Void.*** If an optionee reports a disposition through the self-service page, the status is ***Self Srvc*** (self service) until you set it to ***Confirmed***, either by running the Confirm Self Service process or by changing the status to ***Confirmed*** online.

Status Date The system displays the date the status was last changed and saved.

Disposition Date The system displays today's date, which you can change. Enter the sale or transfer date. The date must be greater than or equal to the release date. If the optionee is an insider and the date is during a black-out period, the system displays a warning.

Disqualifying Disposition This check box is selected if the option type is ISO or ISO/SAR, the option was exercised in shares, and the sale date does not meet the holding period requirements in the governing body rules for IRS 422 plans.

Total Price The system displays the total price.

Shares Disposed Enter the number of shares disposed.

Sale at Release This check box is selected if the shares were sold at release, such as in a same day sale or sell to cover transaction. You modify these dispositions, if necessary, using the Releases component.

Ordinary Income If the transaction is a disqualifying disposition and the **Disqualifying Disposition** check box is selected, the system calculates and displays the ordinary income.

Disposition Price Enter the disposition price. The Exercise FMV, which you can change, is the default.

Disposition Type Select ***Sale*** or ***Transfer. Sale*** is the default.

Receipt Date The system displays the date the disposition receipt was run.

Disposition Source Select how the disposition was reported. Valid values are ***Administrator, Self-Service,*** and ***Third Party.*** ***Administrator*** is the default.

Sent to Payroll Date The system displays the date the transaction was sent to PeopleSoft Payroll for North America or the manual payroll report was run for disqualifying dispositions with ordinary income. Click the date to access the Release Disposition Payroll Data Page where you can view payroll details.

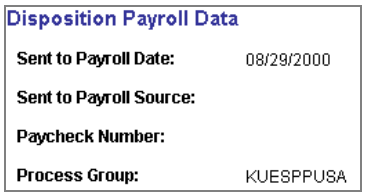
Reversal Date The system displays the date the manual Reverse Disqualifying Disposition report was run.

Update Payroll Click **Update Payroll** to send the transaction to payroll.

Return Click **Return** to return to the Stock Option Dispositions Page.

Release Disposition Payroll Data Page

Usage	Use the Release Disposition Payroll Data page to view payroll details.
Object Name	ST_REL_PR_SBP
Navigation	Click the Sent to Payroll Date on the Release Disposition page.



Release Disposition Payroll Data Page

Sent to Payroll Date The system displays the date that the transaction was sent to payroll or the day the manual report was run.

Sent to Payroll Source The system displays the way in which the income/taxes were sent to the payee, either through PeopleSoft Payroll for North America or manual report.

Paycheck Number The system displays the paycheck number when the transaction was processed through PeopleSoft Payroll for North America. This field is blank if a manual report was used.

Process Group The system displays the process group.

CHAPTER 11

Administering Repurchases

If your stock option plans allow the reacquisition of shares from restricted exercises, you can accurately record the repurchase transactions and send the transaction information to optionees, escrow agents, and transfer agents. Typically, repurchases occur due to a termination prior to vesting.

Before You Begin

Before you begin a stock repurchase, you must:

- Have granted options to an optionee.
- Have exercised unvested shares that have not been released.

Repurchasing Shares

How you handle share repurchases depends on the stock option plan rules that you set up using the Stock Option Plan Rules component. Typically, you repurchase unvested shares, such as those that remain in escrow when an optionee terminates, but you can also repurchased vested shares if you desire. You may choose to return the repurchased shares to the stock plan from where they were granted or retire the shares back to the treasury.

For more information about setting up stock option plan rules, see Defining Stock Option Plan Rules.

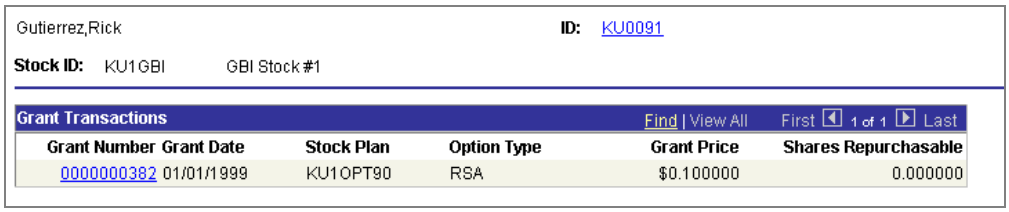
The Stock Option Repurchases page is where you record repurchase information, such as the repurchase date, the numbers of shares repurchased, and the repurchase price. You use this information to generate reports, statements, and transmittals. If you want to repurchase the shares at different prices, you need to enter a separate repurchase transaction for each price.

Finally, you can generate the following necessary statements and transmittals:

- Repurchase Receipt: Given to the optionee stating that the company has repurchased the shares.
- Agent Issuance Instructions: Sent to the transfer and escrow agents so that they can process the stock transaction and record the cancellation of the shares.

Repurchase Grant Transactions Page

Usage	Use the Repurchase Grant Transactions page to select the grant for which you want to view repurchase transactions.
Object Name	ST_REPURCH_SRCH1
Navigation	**Compensate Employees, Administer Stock Options, Use, Repurchases, Grant**
Prerequisites	None
Access Requirements	Select an employee ID and Stock ID.



Repurchase Grant Transactions page

The system displays the employee's name.

ID Click the ID number to access the Employee Information Page where you can view employee information as of the current system date.

Stock ID The system displays the Stock ID.

Grant Number The system displays the grant number. Click the grant number to access the Repurchase Transactions Page where you can view the existing repurchase transactions for the grant and access the Stock Option Repurchases page.

Grant Date The system displays the grant date.

Stock Plan The system displays the stock plan.

Option Type The system displays the option type.

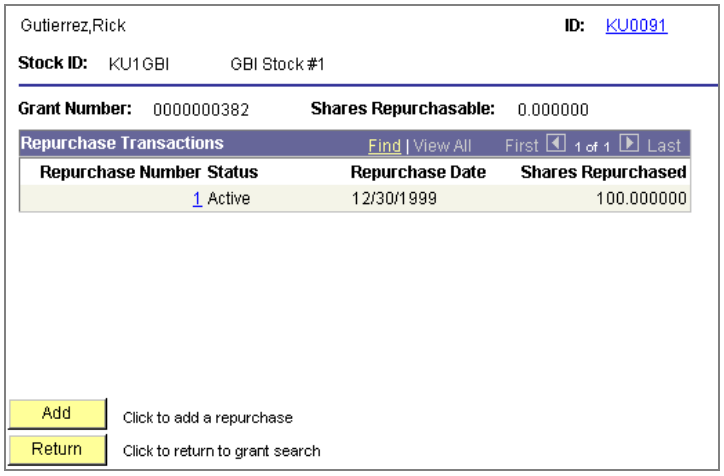
Grant Price The system displays the grant price.

Shares Repurchasable The system displays the shares repurchasable.

Repurchase Transactions Page

Usage	Use the Repurchase Transactions page to view repurchase transactions and access the Repurchases page.
Object Name	ST_REPURCH_SRCH2

Navigation	Click a grant number on the Repurchase Grant Transactions page.



Repurchase Transactions page

The following fields are common to multiple pages and are defined in the preface of this PeopleBook in PeopleBooks Standard Page Element Definitions: **Status.**

The system displays the employee's name.

ID Click the ID number to access the Employee Information Page where you can view employee information.

Stock ID The system displays the Stock ID.

Grant Number The system displays the grant number.

Shares Repurchasable The system displays the number of shares repurchasable as of the current date.

Repurchase Number The system displays the repurchase number. Click the repurchase number to access the Repurchases Page, where you can view the details of the repurchase.

Repurchase Date The system displays the repurchase date.

Shares Repurchased The system displays the number of shares repurchased.

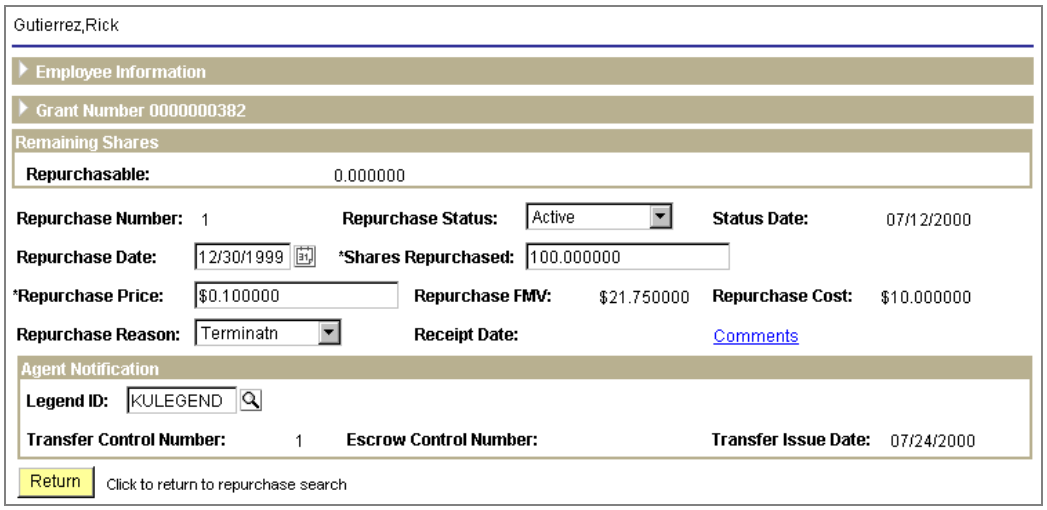
Add Click **Add** to access the Repurchases Page where you can add a new repurchase.

Return Click **Return** to return to the Repurchase Grant Transactions Page.

Repurchases Page

Usage	Use the Repurchases page to record repurchase transactions.

Object Name	ST_GRANT_REPURCH
Navigation	Click a repurchase number on the Repurchase Transactions page.



Repurchases page (1 of 2)

Repurchases page (2 of 2)

The following fields are common to multiple pages and are defined in the preface of this PeopleBook in PeopleBooks Standard Page Element Definitions: **ID, Empl Rcd#, Company,** and **National ID.**

The system displays the employee's name.

Employee Information

The displayed information is as of the repurchase date.

Personnel Status The system displays the Personnel Status.

Person Type If the optionee is a non-employee, the system displays the Person Type.

Employee Status The system displays the Employee Status.

Insider If the optionee is an insider, the system displays the insider status.

Pay Group The system displays the Pay Group of the primary job.

Process Group The system displays the Process Group.

Tax Location The system displays the Tax Location of the primary job.

Grant Information

Grant Number The system displays the grant number.

Stock ID The system displays the stock ID.

Currency Code The system displays the stock currency.

Stock Plan The system displays the stock option plan.

Grant Price The system displays the grant price.

Grant Date The system displays the grant date.

Option Type The system displays the option type.

Shares Granted The system displays the number of shares granted.

Remaining Shares

Shares Repurchasable The system displays the number of shares that are available for repurchase as of the repurchase date. These are derived from the number of restricted exercised options not released from escrow that have not yet been repurchased, cancelled, or expired. These are the maximum number of shares that can be repurchased.

Repurchase Information

Repurchase Number The system displays ***NEW*** when you enter a repurchase. When you save, the system generates a sequential repurchase number from the last repurchase number stored on the Stock Table.

Repurchase Status Select a repurchase status of ***Active*** or ***Void. Active*** is the default.

Status Date The system displays the date when the repurchase status changed.

Repurchase Date Enter a repurchase date. As you change this date the number of Shares Repurchasable may change. If you enter a date that exceeds the Days to Repurchase entry on the Stock Option Plan Rules – General page, the system gives you a warning.

Shares Repurchased Enter the number of shares to be repurchased. The Shares Repurchasable amount is the default.

Repurchase Price The system calculates and defaults the repurchase price based on the share cost method defined on the Stock Option Plan Rules – General page. You can change this value if you want to repurchase shares at a different price.

Repurchase FMV The system displays calculated FMV based on the rule defined on the Stock Option Plan Rules – FMV Rules page.

Repurchase Cost The system calculates and displays the total repurchase cost by multiplying the number of shares that are repurchased by the repurchase price.

Repurchase Reason Select ***Termination***, ***Corporate Repurchase***, or ***Other*** as a repurchase reason.

Receipt Date The system displays the date when the repurchase receipt was generated.

Comments Click **Comments** to access the Comments Page where you can add comments about the repurchase.

Agent Notification

Legend ID Select a legend ID to include with the repurchase issuance instructions.

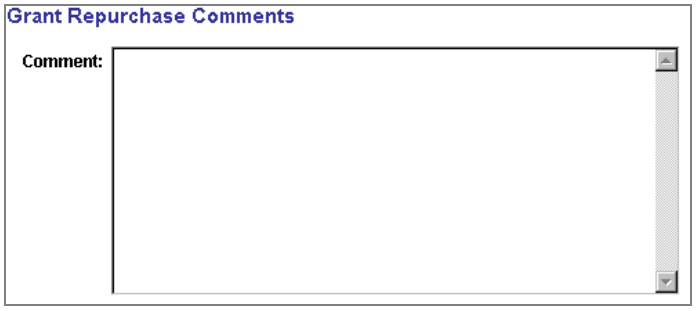
Transfer Control Number The system displays the control number of the issuance instructions that were sent to the transfer agent. This field is populated after you run the Agent Issuance Instructions report.

Escrow Control Number The system displays the control number of the issuance instructions that were sent to the escrow agent. This field is populated after you run the Agent Issuance Instructions report.

Transfer Issue Date The system displays the date when the transfer issuance instructions were generated. This field is populated after you run the Agent Issuance Instructions report.

Comments Page

Usage	Use the Comments page to add comments about the repurchase.
Object Name	ST_REPURCH_CMT_SEC
Navigation	Click Comments on the Stock Option Repurchases page.



Comments page

The following field is common to multiple pages and is defined in the preface of this PeopleBook in PeopleBooks Standard Page Element Definitions: **Comment.**

CHAPTER 12

Processing Stock Actions

When your optionees' human resources status changes, their stock plan participation is often affected. Using the stock action rules you've defined you automatically receive notification from PeopleSoft Human Resources about relevant changes, such as a termination or return from leave of absence.

Before You Begin

Before you begin processing stock actions you should:

- Set up the Stock Action Table using the Stock Action Table setup page.
- Define the correlation between Action/Action Reason combinations using the Stock Action Reason Table setup page.
- Define the rules by which existing grants and vesting schedules are modified using the Stock Action Rules setup page.

Overview of Stock Actions

The Stock Action Table defines all unique stock actions that automatically integrate with PeopleSoft Human Resources. The effective-dated table describes each stock action and the type of each stock action. The Stock Action Reason Table defines the correlation between Action and Action/Reason combinations and a stock action. The Stock Action Rules Table defines the rules that modify existing grants and vesting schedules when there is a termination, or leave of absence, or return from leave stock action.

For more information about these tables, see Defining Stock Action Rules.

You receive a workflow from PeopleSoft Human Resources when:

- The individual is labeled Employee, Non Employee – Stock, Non Employee – Non administered HR employee.
- The action/action reason of a new action or a correction corresponds to a stock action in the Stock Action Reason table.

- The individual has at least one active or pending grant.
- The change is to the HR JOB.

Once you receive the worklist notification, you review the worklist to see what needs to be done. You may want to check with PeopleSoft Human Resources to make sure the job change is still valid before you process the stock action. The system automatically changes existing grants and vesting schedules based on the rules defined in the stock action rules table. Once you've processed the Stock Action, the Work List for the individual is marked worked and is no longer available. If you need to make adjustments, you can use the manual entry page to make corrections. You can reverse the processing or adjust the grant information.

For more information about workflow functionality, see Using Workflow.

Running the Stock Action Process

You use two pages to administer the stock action workflow. The Stock Action (Work List) process page is where you review and process stock action you've received from the worklist. The Stock Action (Manual) process page is where you make adjustments and reverse previously processed stock actions or enter actions manually.

Processing Stock Actions

The type of stock action and the rules defined for that stock action control how the option grants are modified. The system first checks to see if the stock action has not already been processed. Then it processes the stock action according to the rules you defined.

For a Termination stock action the following occurs:

1. Adjust vesting schedule.

   If the grant allows immediate vesting upon termination, then a new vesting schedule is produced with all unvested shares vested as of the employee's last active day. If the grant is an ISO (incentive stock option), you should run the ISO limit report for the optionee. If the termination occurs while the optionee is on leave, the system checks to see if the vesting period should be deferred.

2. Cancel unvested shares.

3. Set the stock option expiration date for the termination.

4. For ISO options, set the ISO exercise as NQ date.

For a Leave of Absence stock action the following occurs:

1. Verify that previous stock action was not a leave of absence.

   If the previous stock action was a leave of absence, the system cannot process another leave of absence stock action. You'll get a message that it could not process this stock action.

2. Suspend vesting, if the plan rules indicate to do so.

3. Suspend exercise, if the plan rules indicate to do so.

4. Stage grant so that vesting is deferred, if required, when the optionee returns from leave or terminates.

For a Return from Leave stock action the following occurs:

1. Verify that previous stock action was a leave of absence.

   If the previous stock action was not a leave of absence, the system cannot process a return from leave of absence stock action. You'll get a message that it could not process this stock action.

2. Adjust vesting schedule.

   If the return from leave occurs after the deferral grace period, calculate the amount of time the employee was on leave by the difference between the leave of absence stock action date and the return from leave stock action dates. The vesting schedule is deferred for the amount of time the optionee was on leave. If the grant is an ISO, you should run the ISO limit report for the optionee.

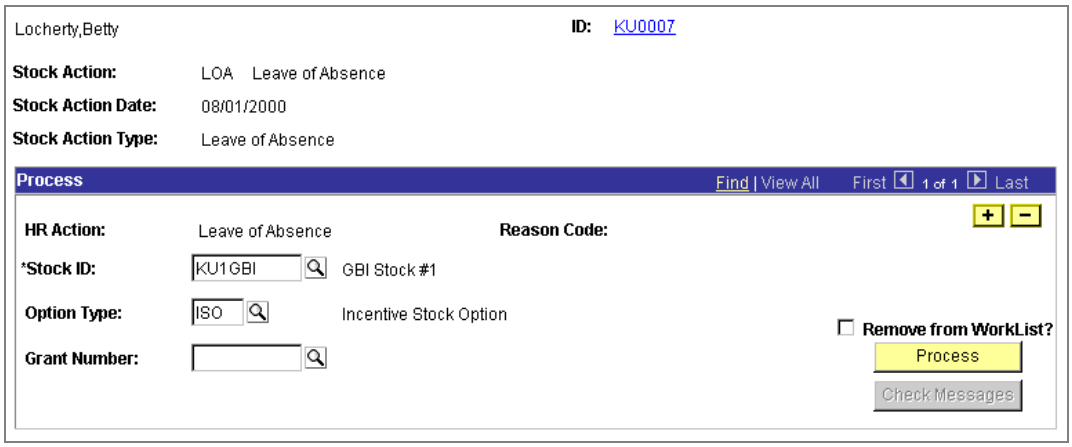
Processing Reversals

Sometimes you have to reverse a process you've already run. The system confirms that the stock action and stock action dates on the processed grant match those of the reversal. If you reverse a Return from Leave or a Termination that occurred while on leave, you are essentially reversing the Leave of Absence as well.

Stock Action (Work List) Process Page

Usage	Use the Stock Action (Work List) process page to evaluate the impact of an optionee's job change on existing grants and process the change.
Object Name	ST_ACTN_PRC_WL
Navigation	**Compensate Employees, Administer Stock Options, Process, Stock Action (Work List), Stock Action Work List Process**
Prerequisites	You must first:

	• Set up your Stock Action process tables and rules. • Grant options to an optionee.
Access Requirements	You can access this page from a worklist created by workflow notification, or open the page directly from the Administer Stock menu by entering an Empl ID (employee identification) and a Stock Action Date.



Stock Action (Work List) process page

The following fields are common to multiple pages and are defined in the preface of this PeopleBook in PeopleBooks Standard Page Element Definitions: **Effective Date.**

The system displays the employee's name.

ID Click the ID number to access the Employee Information Page, where you can view employee information.

Stock Action The system displays the code that associates an action with changes in the employee's job.

Stock Action Date The system displays the date of the stock action.

Stock Action Type The system displays the type of stock action such as Leave of Absence, Return from Leave, or Termination.

Process Information

Select either an Option Type or Grant Number to process, but not both. If you leave both unselected, the system processes all grants related to the Stock ID.

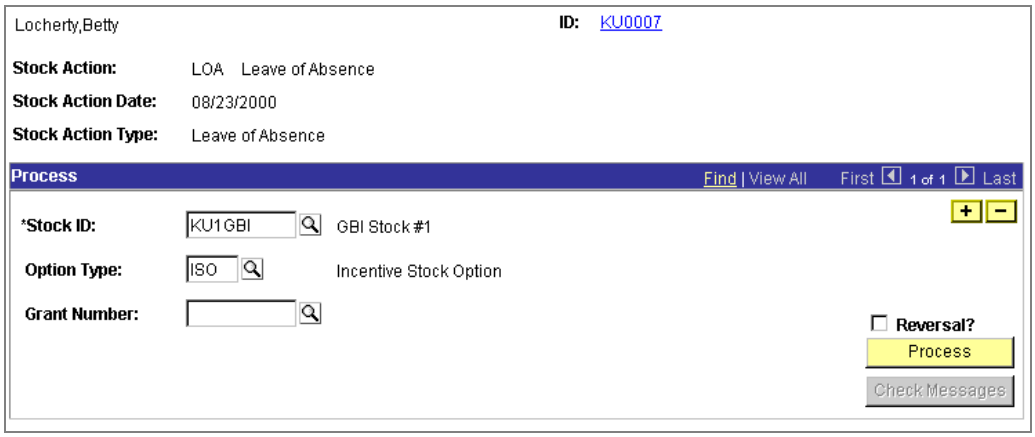
HR Action The system displays the HR Action.

Reason Code The system displays the Reason Code.

Stock ID	Select a **Stock ID** from available choices.
Option Type	Select an **Option Type** from available choices.
Grant Number	Select a **Grant Number** from available choices.
Remove from Worklist?	Select this check box if you want to remove this from the worklist and not process the worklist action.
Process	Click **Process** to process the Stock Action.
Check Messages	Click **Check Messages** to access the Stock Action Messages Inquiry Page where you can view the results of the stock action.

Stock Action (Manual) Process Page

Usage	Use the Stock Action (Manual) process page to evaluate the impact of an optionee's job change on existing grants.
Object Name	ST_ACTN_PRC_MNL
Navigation	**Compensate Employees, Administer Stock Options, Process, Stock Action (Manual), Stock Action Manual Process**
Prerequisites	You must first: • Set up your Stock Action process tables and rules. • Grant options to an optionee.
Access Requirements	Select an ID, Stock Action, and Stock Action Date.



Stock Action (Manual) process page

The system displays the employee's name.

ID Click the ID number to access the Employee Information Page, where you can view employee information.

Stock Action The system displays the code that associates an action with changes in the employee's job.

Stock Action Date The system displays the date of the stock action.

Stock Action Type The system displays the type of stock action such as Leave of Absence, Return from Leave, or Termination.

Process Information

Select either an Option Type or Grant Number to process, but not both. If you leave both unselected, the system processes all grants related to the Stock ID.

Stock ID Select a **Stock ID** from available choices.

Option Type Select an **Option Type** from available choices.

Grant Number Select a **Grant Number** from available choices.

Reversal? Select this check box if you want to reverse a previously processed Stock Action.

Process Click **Process** to process the Stock Action.

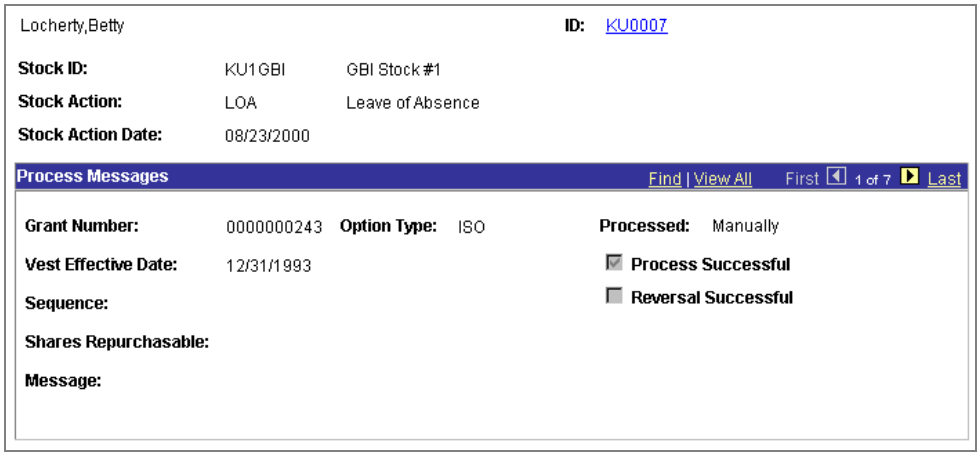
Check Messages Click **Check Messages** to access the Stock Action Messages Inquiry Page where you can view the results of the stock action.

Viewing Stock Action Results

The Stock Action Messages inquiry page is where you view the results of the stock action process. Grants that were skipped or ones that require manual intervention are displayed along with any processing messages produced. After reviewing the processing results you can make adjustments using the Stock Action (Manual) process page.

Stock Action Messages Inquiry Page

Usage	Use the Stock Action Messages inquiry page to view the results of the stock action processing. Grants that were corrected and grants that were skipped and require manual intervention are listed on this page.
Object Name	ST_ACTN_PRC_MSG
Navigation	**Compensate Employees, Administer Stock Options, Inquire, Stock Action Messages, Stock Action Messages**
Prerequisites	You must first run the stock action process using the Stock Action (Work List) or Stock Action (Manual) process pages.
Access Requirements	Select an EmplID, Stock Action, and Stock Action Date or click Check Messages on the Stock Action (Manual) page or the Stock Action (Work List) page.



Stock Action Messages inquiry page

The system displays the employee's name.

ID Click the **ID** number to access the Employee Information Page where you can view employee information.

Stock ID The system displays the **Stock ID.**

Stock Action	The system displays the code that associates an action with changes in the employee's job.
Stock Action Date	The system displays the date of the **Stock Action.**

Process Messages

Grant Number	The system displays the **Grant Number.**
Option Type	The system displays the **Option Type.**
Processed	The system displays how the stock action was processed, either Worklist or Manually.
Vest Effective Date	The system displays the **Vest Effective Date.**
Process Successful	The system selects this check box if the process was successful.
Sequence	The system displays the **Sequence.**
Reversal Successful	The system selects this check box if the reversal was successful.
Shares Repurchasable	The system displays the number of **Shares Repurchasable.**
Message	The system displays any processing messages that occurred.

CHAPTER 13

Administering Reprice

If the value of a company's stock declines such that the current fair market value of the stock is less than the option price of outstanding stock options, the company may decide to "reprice" some or all of the options. Optionee's may chose not to participate in the repricing, and you may want to exclude individuals and groups such as insiders or foreign offices.

Before You Begin

Before you begin repricing your stock you should back up all of your data before you run the Reprice Grants process.

Overview of Reprice

When the option price of an outstanding stock option is higher than the current fair market value of the company's stock, the option is considered to be "underwater." If stock options are a significant percentage of a company's compensation package and the value of the stock declines, a company may choose to reprice the options to retain key talent within the company. It is not a step taken lightly. The stock price may recover on its own, making the repricing unnecessary, or the price may continue to fall below the repriced amount.

When a stock is repriced, optionees surrender their higher-priced stock options in exchange for lower-priced options. Repricings affect stock options with option prices that exceed a specified break price. A repricing cancels the shares that remain outstanding on the original grant and creates a new grant for the outstanding shares at a new, lower option price on a specific date. The new stock option, granted as a result of the repricing, usually retains many of the characteristics of the old stock option. The number of shares in the new stock option grant is equal to the number of outstanding shares in the old stock option grant as of the cancel date of the option. All transactions that occurred before the repricing remain with the repriced option.

Repricing the Stock

To reprice your stock:

1. Set up the reprice parameters.

   Define the reprice parameters, including Stock ID, eligibility, and vesting, using the Stock Reprice- Eligibility Setup Page.

2. Run the reprice eligibility process.

   Determine the individuals eligible to participate in the reprice using the Reprice Eligibility Process Page.

3. Check processing messages.

   Check for processing messages using the Reprice Messages Inquiry Page.

4. Run the Reprice Election Forms

   Print the Reprice Election forms using the Reprice Election Forms Report Page and send to your plan participants for their acceptance. This step is optional.

5. Enter participant reprice elections.

   Enter participant's elections to be included or excluded in the stock repricing using the Reprice Participation Page.

6. Run the reprice process.

   Run the reprice process using the Reprice Grants Process Page.

7. Check processing messages.

   Check for processing messages using the Reprice Messages Inquiry Page.

8. Run the reverse reprice process, if necessary.

   If you need to correct errors, reverse the reprice process using the Reverse Reprice Grants Process Page.

9. Check processing messages.

   Check for processing messages using the Reprice Messages Inquiry Page.

Setting Up Stock Reprice

You set up the stock reprice parameters using the Stock Reprice component.

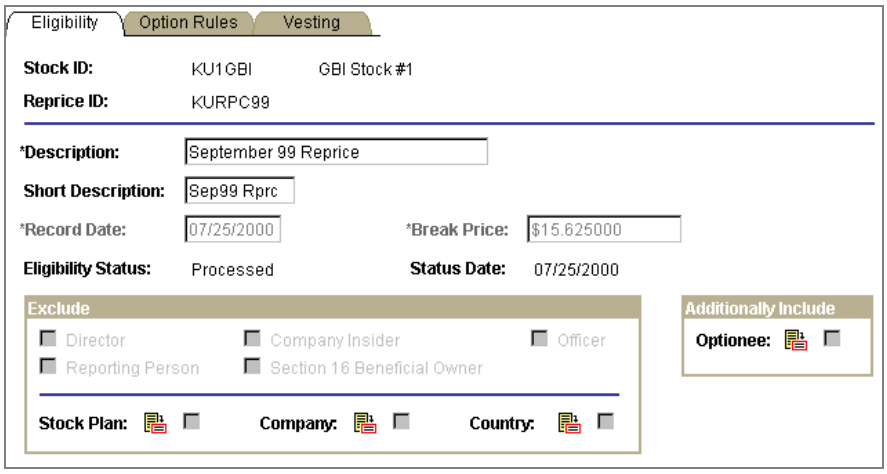
Stock Reprice – Eligibility setup page is where you define the basic parameters of the stock split. You select the Stock ID, define the reprice ID, enter the record date and break price, and exclude any groups of individuals or stock plans that should not be repriced.

Stock Reprice – Option Rules setup page is where you enter the new grant date, specify the features of the new grant, and set up how the option types will be converted.

Stock Reprice – Vesting setup page is where you define the various vesting features of the new grant.

Stock Reprice- Eligibility Setup Page

Usage	Use the Stock Reprice – Eligibility setup page to exclude or include stock reprice participants.
Object Name	ST_REPRC1
Navigation	**Compensate Employees, Administer Stock Options, Setup, Stock Reprice, Eligibility**
Prerequisites	You need to have active grants in the system.
Access Requirements	Select a Stock ID and enter a Stock Reprice ID to associate with the reprice.



Stock Reprice – Eligibility setup page

The following fields are common to multiple pages and are defined in the preface of this PeopleBook in PeopleBooks Standard Page Element Definitions: **Description** and **Short Description.**

Stock ID The system displays the Stock ID.

Reprice ID The system displays the Reprice ID.

Record Date Enter the cut-off date for determining eligible options. Each grant date must be less than or equal to this date.

Break Price Enter the price for determining the eligible options. Each stock option selected during the Reprice Eligibility process will be greater than or equal to this price.

Eligibility Status The system displays the status of the reprice process. Valid values are ***Unprocessed,*** and ***Processed.***

Status Date The system displays the date the reprice eligibility status was updated.

Exclude

Select these check boxes to exclude individuals set up on the Insider Table or groups with these designations.

Director Select this field if you want to exclude Directors.

Reporting Person Select this field if you want to exclude Reporting Persons.

Company Insider Select this field if you want to exclude Company Insiders.

Section 16 Beneficial Owner Select this field if you want to exclude Beneficial Owners.

Officer Select this field if you want to exclude Officers.

Stock Plan Select this field if you want to exclude specific stock plans. Click to search for available stock plans to exclude.

Company Select this field if you want to exclude specific companies. Click to search for available companies to exclude.

Country Select this field if you want to exclude specific countries. Click to search for available countries to exclude.

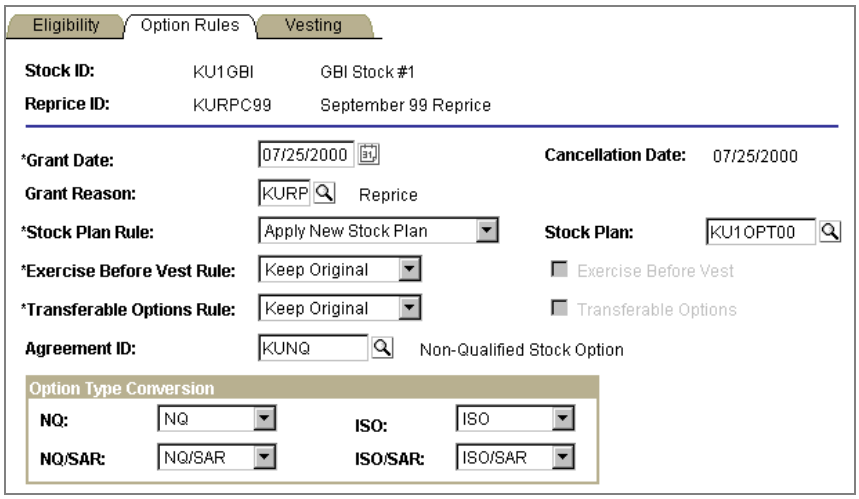
Additionally Include

You can include individuals excluded from the reprice by the Exclude rules you selected.

Optionee Select this field if you want to include specific individuals. Click to search for available individuals to include.

Stock Reprice – Option Rules Setup Page

Usage	Use the Stock Reprice – Option Rules setup page to indicate the stock reprice parameters.
Object Name	ST_REPRC2
Navigation	**Compensate Employees, Administer Stock Options, Setup, Stock Reprice, Option Rules**
Prerequisites	The Stock Reprice – Option Rules setup page is the second page in the Stock Reprice component. You must first enter data on the previous page.
Access Requirements	Select a Stock ID and enter a Stock Reprice ID to associate with the reprice.



Stock Reprice – Option Rules setup page

Stock ID The system displays the Stock ID.

Reprice ID The system displays the Reprice ID.

Grant Date Enter a date to use as the new options grant date.

Cancellation Date The system displays the grant date, which is used to cancel the original options.

Grant Reason Select a grant reason from available choices.

Stock Plan Rule Select ***Keep Original Stock Plan*** or ***Apply New Stock Plan.***

Stock Plan If you selected a **Stock Plan Rule** of ***Apply New Stock Plan*** this field becomes available. Select a new stock plan ID used to generate the new grants.

Exercise Before Vest Rule Select ***Keep Original*** if you want to keep the original rule or ***Override*** if you want to change it.

Exercise Before Vest If you selected the **Exercise Before Vest Rule** of ***Override*** this field becomes available. Select this check box if you want to allow exercise before vest for the new grants.

Transferable Options Rule Select ***Keep Original*** if you want to keep the original rule or ***Override*** if you want to change it.

Transferable Options If you selected the **Transferable Options Rule** of ***Override*** this field becomes available. Select this check box if you want to allow transferable options for the new grants.

Agreement ID Select an Agreement ID.

Option Type Conversation

Select a conversion method for the different option types.

NQ Select the option type you want NQ grants to convert to during the reprice process. ***NQ*** defaults.

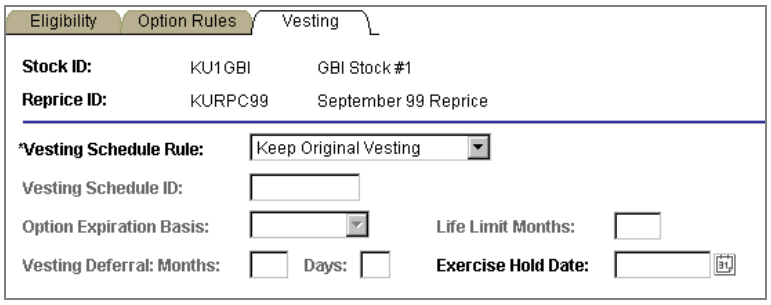
ISO Select the option type you want ISO grants to convert to during the reprice process. ***ISO*** defaults.

NQ/SAR Select the option type you want NQ/SAR grants to convert to during the reprice process. ***NQ/SAR*** defaults.

ISO/SAR Select the option type you want ISO/SAR grants to convert to during the reprice process. ***ISO/SAR*** defaults.

Stock Reprice – Vesting Setup Page

Usage	Use the Stock Reprice – Vesting setup page to indicate the stock reprice vesting parameters.
Object Name	ST_REPRC3
Navigation	**Compensate Employees, Administer Stock Options, Setup, Stock Reprice, Vesting**
Prerequisites	The Stock Reprice – Vesting setup page is the third page in the Stock Reprice component. You must first enter data on the previous pages.
Access Requirements	Select a Stock ID and enter a Stock Reprice ID to associate with the reprice.



Stock Reprice – Vesting setup page

Stock ID The system displays the Stock ID.

Reprice ID The system displays the Reprice ID.

Vesting Schedule Rule Select ***Keep Original Vesting, Defer Original Vesting,*** or ***New Vesting.***

Vesting Schedule ID If you select a **Vesting Schedule Rule** of ***New Vesting*** this field becomes available. Select a vesting schedule ID for the new grants.

Option Expiration Basis If you select a Vesting Schedule Rule of ***New Vesting*** this field becomes available. ***Select Grant Date*** *(Dt)****, Grant Dt – 1, Vest Date,*** or ***Vest Dt – 1.***

Life Limit Months If you select a **Vesting Schedule Rule** of ***New Vesting*** this field becomes available. Enter the number of months from the Option Expire Basis to set the expiration date for the Vesting Schedule.

Vesting Deferral Months/Days If you select a **Vesting Schedule Rule** of ***Defer Original Vesting*** this field becomes available. Enter the months and days to defer the vesting schedule for new grants.

Exercise Hold Date Enter the date before which no shares can be exercised from the new grant.

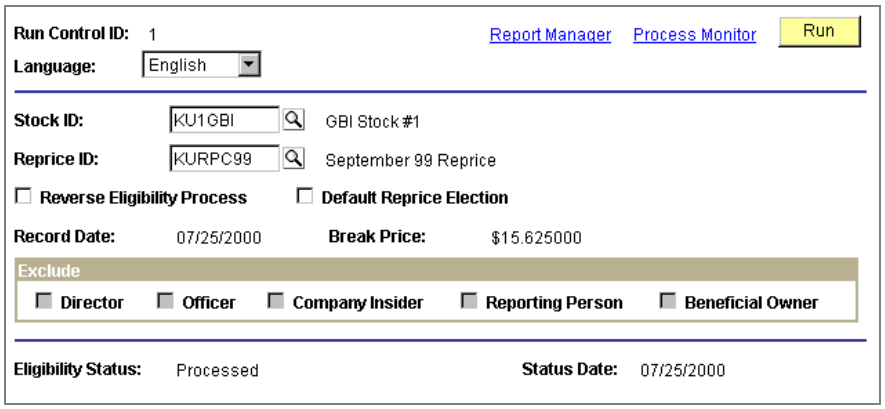
Determining Reprice Eligibility

The Reprice Eligibility process page is where you run the reprice eligibility process using the Reprice ID parameters set up using the Stock Reprice setup component.

Reprice Participation page is where you enter the participants' choices to be included or excluded in the stock repricing.

Reprice Eligibility Process Page

Usage	Use the Reprice Eligibility process page to run the reprice eligibility process.
Object Name	ST_RUNCTL_REPRC1
Navigation	**Compensate Employees, Administer Stock Options, Process, Reprice Eligibility, Reprice Eligibility**
Prerequisites	You must first set up the stock reprice.
Access Requirements	Enter a Run Control ID.



Reprice Eligibly process page

The following fields are common to multiple pages and are defined in the preface of this PeopleBook in PeopleBooks Standard Page Element Definitions: **Run Control, and Language.**

Stock ID Select a stock ID from available choices.

Reprice ID Select a reprice ID from available choices.

Reverse Eligibility Process If you want to reverse the eligibility process select this check box.

Default Reprice Election If you want the default for the reprice election for all participants to be "yes," select this check box.

Record Date The system displays the record date.

Break Price The system displays the break price.

Exclude

The system displays the choices you selected on the Stock Reprice – Eligibility setup page.

Director The system selects this field if you chose to exclude Directors.

Officer The system selects this field if you chose to exclude Officers.

Company Insider The system selects this field if you chose to exclude Company Insiders.

Reporting Person The system selects this field if you chose to exclude Reporting Persons

Beneficial Owner The system selects this field if you chose to exclude Beneficial Owners.

Reprice Status

Reprice Eligibility Status The system displays the status of the reprice process. Valid values are ***Unprocessed*** and ***Processed.***

Status Date The system displays the date the reprice status was updated.

Report Manager Click to access the Report List page, where you can view report content, check the status of a report, and see content detail messages (which show you a description of the report and the distribution list).

Process Monitor Click to access the Process List page, where you can view the status of submitted process requests.

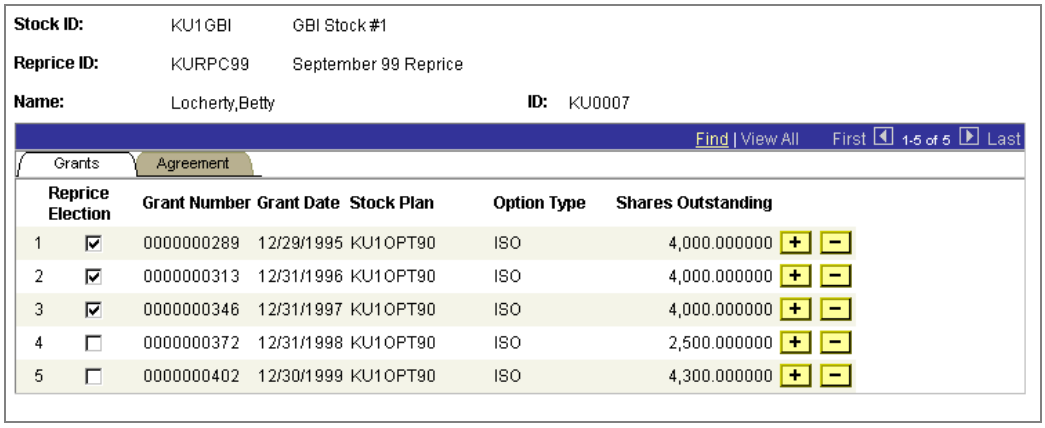
Run Click to access the Process Scheduler request page, where you can specify where a process or job runs and the process output format.

For more information about the Report List page, the Process List page, and the Process Scheduler, see PeopleSoft Payroll PeopleBooks.

Reprice Participation Page

Usage	Use the Reprice Participation page to enter participants' elections to be included or excluded in the stock repricing.

Object Name	ST_REPRC_PARTIC
Navigation	**Compensate Employees, Administer Stock Options, Use, Reprice Participation**
Prerequisites	You must first set up the reprice, run the Reprice Eligibility process, and run the Reprice Election forms.
Access Requirements	Select a Stock ID, Stock Reprice ID, and EmplID.



Reprice Participation: Grants page

The following fields are common to multiple pages and are defined in the preface of this PeopleBook in PeopleBooks Standard Page Element Definitions: **Name,** and **ID.**

Common Field Definitions

Stock ID The system displays the Stock ID.

Reprice ID The system displays the Reprice ID.

Grants Tab

Reprice Election If the participant elects to participate in the reprice select this check box.

Grant Number The system displays the grant number.

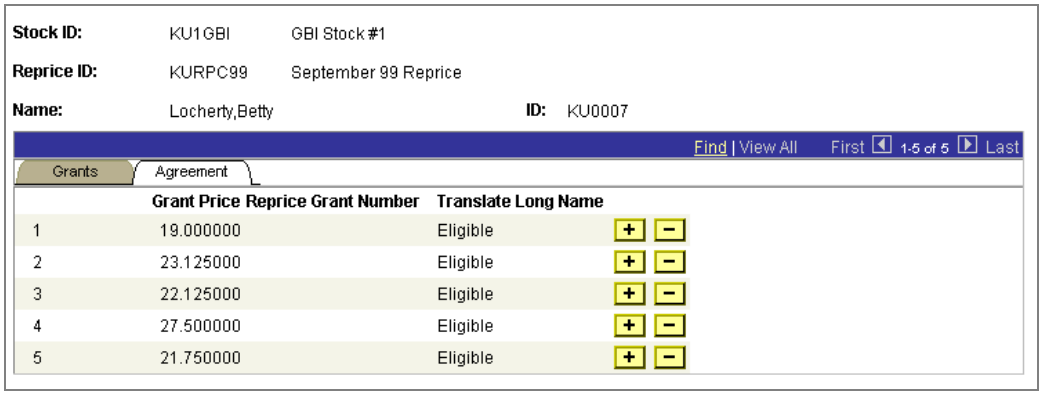
Grant Date The system displays the grant date.

Stock Plan The system displays the stock plan.

Option Type The system displays the option type.

Shares Outstanding The system displays the number of shares outstanding.

Agreement Tab



Reprice Participation: Agreement page

Grant Price The system displays the grant price.

Reprice Grant Number The system displays the reprice grant number.

Translate Long Name The system displays the status of the optionee's eligible grant for the stock reprice process. Valid values are Eligible, Notified, and Finalized.

Running the Reprice Process

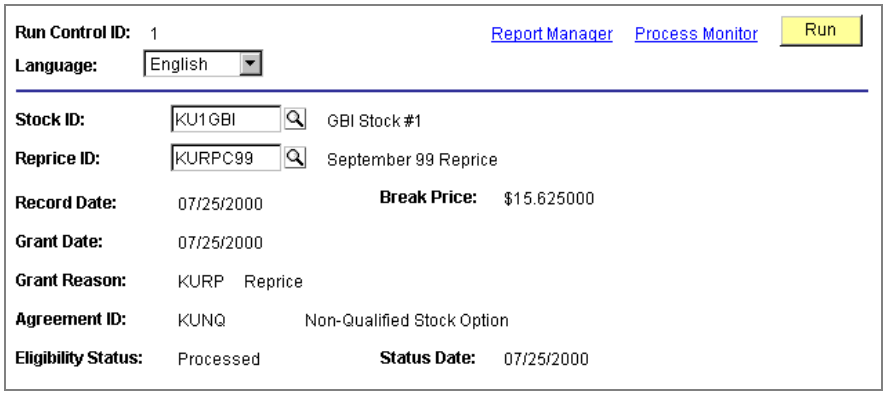
The Reprice Grants Process page is where you run the reprice grants process. You can run the process as soon as you receive the elections and update participants' records. You can run this process continuously as you update the participants' records.

The Reverse Reprice Grants process page is where you reverse the results of a previously run reprice processing, so you can correct errors.

Reprice Grants Process Page

Usage	Use the Reprice Grants process page to run the reprice grants process.
Object Name	ST_RUNCTL_REPRC3
Navigation	**Compensate Employees, Administer Stock Options, Process, Reprice Grants, Reprice Grants**
Prerequisites	You must first run the Reprice Eligibly process and enter participants' elections.
Access	Enter a Run Control ID.

Requirements	



Reprice Grants process page

The following fields are common to multiple pages and are defined in the preface of this PeopleBook in PeopleBooks Standard Page Element Definitions: **Run Control, and Language.**

Stock ID Select a stock ID from available choices.

Reprice ID Select a reprice ID from available choices.

Record Date The system displays the record date.

Break Price The system displays the break price.

Grant Date The system displays the grant date.

Grant Reason The system displays the grant reason.

Agreement ID The system displays the agreement ID.

Eligibility Status The system displays the status of the reprice process. Valid values are ***Unprocessed*** and ***Processed.***

Status Date The system displays the date the reprice status was updated.

Report Manager Click to access the Report List page, where you can view report content, check the status of a report, and see content detail messages (which show you a description of the report and the distribution list).

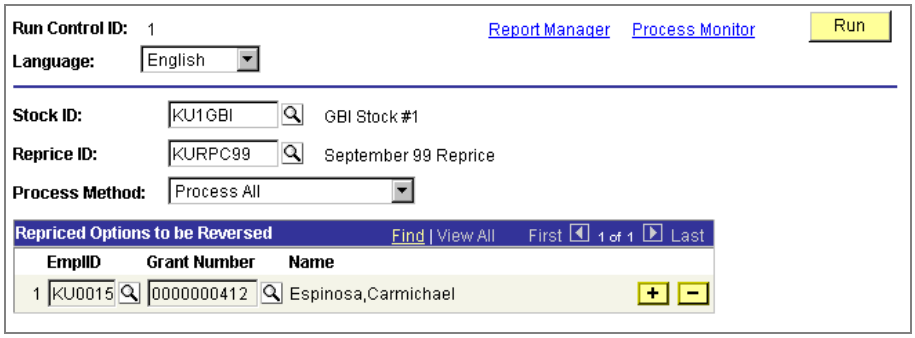
Process Monitor Click to access the Process List page, where you can view the status of submitted process requests.

Run Click to access the Process Scheduler request page, where you can specify where a process or job runs and the process output format.

For more information about the Report List page, the Process List page, and the Process Scheduler, see PeopleSoft Payroll PeopleBooks.

Reverse Reprice Grants Process Page

Usage	Use the Reverse Reprice Grants process page to undo the results of a previously run reprice processing so you can correct errors.
Object Name	ST_RUNCTL_REPRC4
Navigation	**Compensate Employees, Administer Stock Options, Process, Reverse Reprice Grants, Reverse Reprice Grants**
Prerequisites	You must first run a Reprice Grants process.
Access Requirements	Enter a Run Control ID.



Reverse Reprice Grants process page

The following fields are common to multiple pages and are defined in the preface of this PeopleBook in PeopleBooks Standard Page Element Definitions: **Run Control ID, Language, EmplID,** and **Name.**

Stock ID Select a stock ID from available choices.

Reprice ID Select a reprice ID from available choices.

Process Method Select ***Process All*** or ***Process by Individual.***

Repriced Options to be Reversed

Grant Number Select a grant number.

Report Manager Click to access the Report List page, where you can view report content, check the status of a report, and see content detail messages (which show you a description of the report and the distribution list).

Process Monitor Click to access the Process List page, where you can view the status of submitted process requests.

Run Click to access the Process Scheduler request page, where you can specify where a process or job runs and the process output format.

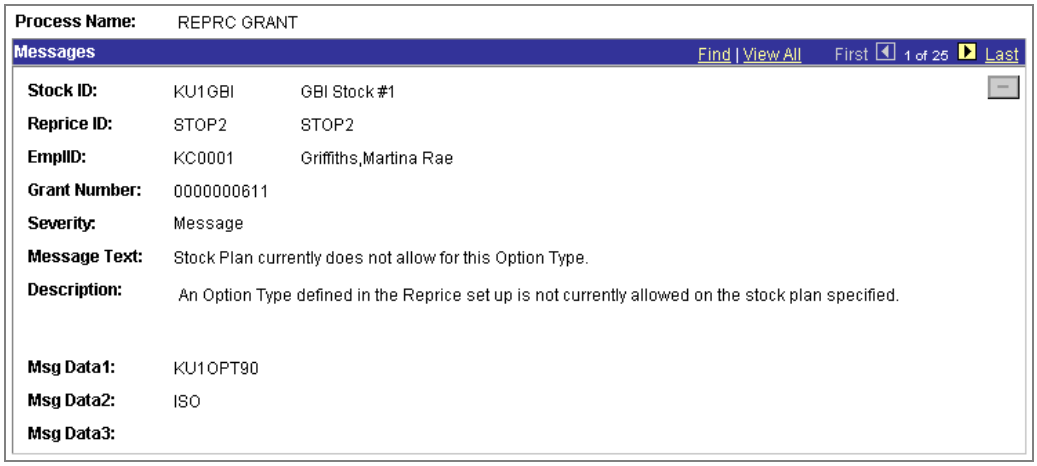
For more information about the Report List page, the Process List page, and the Process Scheduler, see PeopleSoft Payroll PeopleBooks.

Viewing Reprice Messages

The Reprice Messages inquiry page is where you can view messages after you've run the Reprice Eligibility, Reprice Grants, or Reverse Reprice Grants processes.

Reprice Messages Inquiry Page

Usage	Use the Reprice Messages inquiry page to view messages produced by the Reprice Eligibility, Reprice Grants, and Reverse Reprice Grants processes.
Object Name	ST_REPRC_MESSAGE
Navigation	**Compensate Employees, Administer Stock Options, Inquire, Reprice Messages**
Prerequisites	You must first run a reprice process.
Access Requirements	Enter a Process Name. Valid values are REPRC ELIG, REPRC GRANT, and REV REPRC.



Reprice Messages inquiry page

The following fields are common to multiple pages and are defined in the preface of this PeopleBook in PeopleBooks Standard Page Element Definitions: **EmplID,** and **Description.**

Process Name The system displays the Process Name.

Stock ID The system displays the Stock ID.

Reprice ID The system displays the Reprice ID.

Grant Number The system displays the Grant Number.

Severity The system displays the type of message produced. Valid values are ***Error, Warning,*** and ***Message***.

Message Text The system displays the text of the message.

Msg (Message) Data The system displays the field values associated with the message. Up to four fields can display.

CHAPTER 14

Overview of Your Stock Purchase System

Today's marketplace presents the human resources professional with many different challenges. Not only is it challenging to recruit skilled workers and keep them motivated, but also to keep them in your organization. And when it comes to keeping and motivating quality employees, many organizations use incentive programs in the form of employee stock purchase plans to reward employees for quality performance and link their compensation to the well-being of the company.

With PeopleSoft Stock Administration stock purchase functionality, you can create and manage your company's employee stock purchase plan. This incentive plan enables eligible employees to enroll during certain periods or intervals. You can set up your plan to track several IRS and SEC rules, including Section 423 annual maximum purchase amount, share discount amount, purchase holding periods and offering holding periods to ensure that your program complies with IRS regulations.

Stock Purchase Business Process

Employee stock purchase plans enable eligible employees to purchase stock at a discounted price. Employees enroll in a company's plan during certain periods or intervals. They authorize the company to collect the funds through payroll deductions and put the funds in trust towards the purchase of company stock. If the collected funds are in a foreign currency, they must be converted into the stock currency for purchase. Most stock purchase plans are qualified stock purchase plans. Only company employees, including employees not administered by PeopleSoft Human Resources, participate in these stock purchase plans.

At certain points, the company determines the discounted price based on the fair market value of the stock, and purchases stock for the enrolled employees. The value of the stock and the amount of funds collected determine the amount of stock purchased. Employees can sell or transfer shares purchased through a stock purchase program. When they sell shares, the income or loss information is sent to payroll.

Section 423 (IRC) Plans

The majority of stock purchase plans in the United States are qualified IRC 423 Plans. In general, the participants do not recognize ordinary income when they purchase stock, but do at the time of sale. The following IRS Section 423 eligibility rules are supported in the Governing Body Rules table:

- Only employees of the company are eligible to participate in Section 423 plans. This includes employees that are not administered by PeopleSoft Human Resources.
- Major shareholders (those who hold 5% or more of the company's stock at the time of purchase) cannot purchase shares from a qualified stock purchase plan. Their purchases are held until their ownership falls below the limit.
- The maximum purchase value for an individual participant is $25,000.
- The maximum purchase discount is no more than 15%.
- The maximum offering length is no more than 27 months.

There are two common interpretations of the IRC 423 maximum purchase value limit. One interpretation is that the $25,000 limit applies to purchases within a calendar year. Another interpretation is that the limit applies to the years that the offering is outstanding. You select one of the purchase limit rules when you define the stock purchase plan rules.

Example: Calendar Year Interpretation of $25K Rule

This interpretation is fairly straight forward. The system calculates the value of purchases made by a participant in a calendar year and applies the purchase limit to any amount over the $25,000. It adjusts the value to come under the limit. Here's an example:

Offering Period: 12 months

Begin: 01/01/1999

End: 12/31/1999

Purchase Periods: 6 months

Begin: 01/01/1999

End: 06/30/1999

Begin 07/01/1999

End 12/31/1999

Date	*Activity*	*Value*	*Adjusted Value*
06/30/1999	Purchase #1	$17,500	$17,500
12/31/1999	Purchase #2	$8,500	$7,500
Calculated Totals		**$26,000**	**$25,000**

The second purchase exceeds the $25,000 limit so the purchase is adjusted.

Example: Years Offering is Outstanding Interpretation of $25K Rule

The Years Offering is Outstanding interpretation is more complex and allows the participant to accumulate the $25,000 value per year the offering is outstanding. This allows a participant to purchase stock up to a $25,000 value for each year the offering remains outstanding. If the offering crosses over a calendar year, then the unused portion of the limit is added to the next year limit. It also allows a participant who may have a large amount of contributions in an offering period that remains outstanding for multiple years, to accumulate the total value for all years, and purchase the total value in the first purchase period of the offering. However, such an occurrence would not allow future purchases in the offering period. Here's an example:

Offering Period: 24 months

Begin: 7/1/1998

End: 6/30/2000

Purchase Periods: 6 months

Begin: 7/1/1998

End: 12/31/1998

Begin: 1/1/1999

End: 6/30/1999

Begin: 7/1/1999

End: 12/31/1999

Begin: 1/1/2000

End: 6/30/2000

Date	*Activity*	*Value*
12/31/1998	Purchase #1	$17,500
6/30/1999	Purchase #2	$18,500
12/31/1999	Purchase #3	$12,000
6/30/2000	Purchase #4	$17,500

Year 1998 Calculation

Limit	$25,000
Value	$(17,500)
Remaining	**$7,500**

Year 1999 Calculation

Limit	$25,000
Remaining from 1998	$7,500
	$32,500
06/30/1999 Value	$(18,500)
12/31/1999 Value	$(12,000)
Remaining	**$2,000**

Year 2000 Calculation

Limit	$25,000
Remaining from 1999	$2000
	$27,000
06/30/2000 Value	$(17,500)
Remaining	**$9,500**

Anti Dilution Issues

There's a potential for a stock purchase to flood the market with newly issued shares if the purchase fair market value (FMV) is much lower than the grant FMV. To protect shareholders, the IRS limits the amount of shares that an individual participant can purchase. The IRS limit is $25,000, but corporations may implement additional rules to limit the number of shares that participants can purchase. One of the ways that a corporation can limit the potential diluting effect of their stock purchase plans is to implement an Anti-Dilution Rule, which is used when the purchase FMV is much lower than the grant FMV. There many ways to define an Anti-Dilution rule, but all are designed to determine a price to use in calculating the maximum number of shares to purchase.

CHAPTER 15

Setting Up Stock Purchase Plans

In this first step, you specify the basic building blocks that control how your stock purchase plan works, including linking your stock purchase plan to an existing benefit plan, selecting fair market value methods, defining offering and purchase limits, defining purchase and contribution rules, and specifying disposition restrictions. Next, you define the rules specific to your offering and purchase periods, such as grant dates and purchase periods. Finally, you establish how the contributions are deducted from payroll.

Depending on how your organization administers its stock purchase plans, the majority of this setup phase is a one-time event requiring periodic maintenance on your part.

Before You Begin

Before you begin to set up your stock purchase plans you should:

- Review and decide how your stock administration application will integrate with other PeopleSoft HRMS applications. Specific steps you should take are:
  - Have your benefits administrator establish a stock purchase Benefit Plan ID. If you offer more than one stock purchase plan, for example a domestic plan and an international plan, you have to define an individual Benefit Plan for each.
  - Have your benefits administrator establish a stock purchase Savings Plan.
  - If you use PeopleSoft Payroll for North America, have your payroll administrator set up payroll for processing stock purchase contributions by setting up deductions.

For more information about PeopleSoft Stock Administration's integration with other PeopleSoft HRMS applications, see Integrating With Other PeopleSoft HRMS Applications.

- Define your stock administration business rules, then set up the tables that are common to, and used by, both stock purchase and stock option plans. Specific steps you should take are:
  - Establish the Section 423 rules using the Governing Body Rules - Stock Purchase Rules setup page.
  - Define Fair Market Values (FMV) using the FMV Method Table Setup Page.
  - Set up earning codes using the Stock Details - Stock Purchases Setup Page.

- Set up the stock purchase plans and allocate funds using the Stock Plan Table - General Setup Page.
- Define blackout periods using the Stock Blackout Setup Page.
- Set up the stock exchange using the Stock Exchange Table - General Setup Page.
- Set up the transfer agents and escrow agents using the Transfer/Escrow Agency - General Setup Page.
- Set up the stock brokerages and stock branches using the Brokerage Table Setup Page, the Brokerage/Branch Table Setup Page and the Stock Branch Table - General Setup Page.
- Set up the process groups using the Process Groups Setup Page.
- Set up issuance instructions using the Issuance Instructions Page.
- Indicate your insiders using the Insider Data Page.
- Specify the daily prices using the Daily Prices Tracking Page.

For more information about setting up the common setup tables, see Defining Stock Administration Business Rules and Managing Stock Administration.

Defining Stock Purchase Plans

The steps you take to set up your stock purchase plans are:

To set up your stock purchase plans:

1. Define your stock purchase plan rules.

   Define the various plan choices for each stock purchase plan you offer using the Stock Purchase Plan Rules - General Setup Page.

2. Define the offering periods and the purchase periods for each stock purchase plan.

   Define the range of dates in which a stock purchase offering is valid, the grant dates for an offering period, and the purchase period range of dates using the Offering/Purchase Periods - Offering Period Setup Page.

3. Define the Process Groups that you'll use for batch processing.

   Define the process groups and specify the paygroups within the process groups using the Process Groups Setup Page.

For more information about Process Groups, see Process Groups.

4. Define the reasons for holding a purchase.

   Define the reasons why you would hold a participant's purchase using the Hold Reason Table Setup Page.

5. Define stock purchase processing messages.

   Create messages that are used in processing using the Message Table Setup Page.

6. Define the details of the stock purchase.

   Define the detail of the purchase including process groups, currency conversions, and other processing parameters using the Stock Purchase - General Setup Page.

Defining Stock Purchase Plan Rules

The Stock Purchase Plan Rules setup component defines the details of the stock purchase plan that can change over time. You'll use the effective-dated table to define plan level details for each stock purchase plan you offer.

The General page is where you link the Stock ID to a Benefit Plan ID. You also define the details of the plan such as governing body, offering type, and when participants enroll in the plan.

The FMV Rules page is where you define which FMV method you use for various transactions. There are several methods for calculating the stock FMV. You may chose to use different methods for different types of transactions. You also define your non-trading day rules on this page.

The Limits page is where you define the offering and purchase period length as well as various share and value limits. The limits default is the value specified on the Governing Body Rules component, but the system enables you to make them more restrictive. If your purchase periods overlap different calendar years, you should check with your payroll administrator to make sure that your payroll system doesn't deduct contributions over the limit.

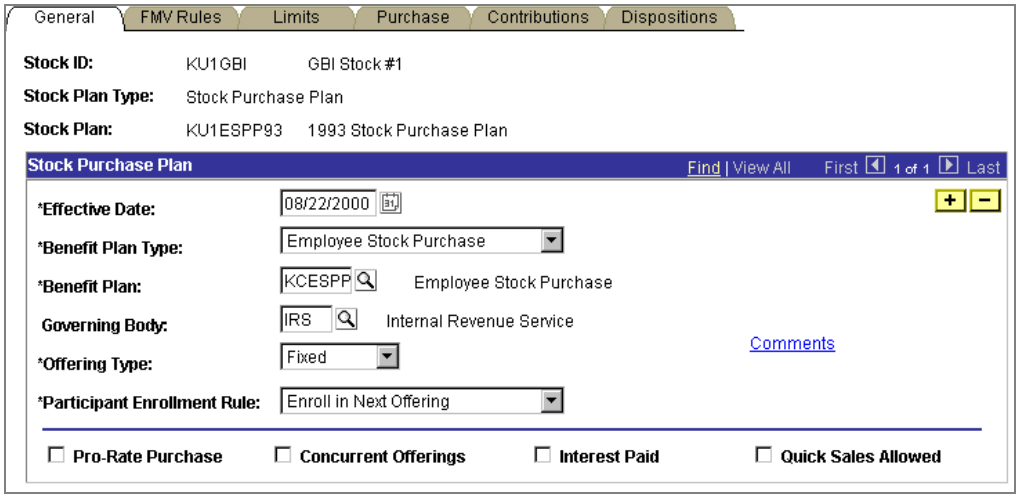
The Purchase page is where you define the purchase rules of your plan such as purchase price calculation and share and price rounding rules.

The Contributions page is where you define the contribution source, currency conversion, and what happens to residual contributions. The system gathers the contributions in the local currency based on the participant's pay group. It converts the contributions to the stock currency for the purchase, then back to the local currency for refunds.

The Dispositions page is where you define the number of months participants must hold the stock before they sell it. This is an optional company-specific holding period that is independent of the IRS holding requirements for qualified Section 423 plans.

Stock Purchase Plan Rules - General Setup Page

Usage	Use the Stock Purchase Plan Rules – General setup page to define basic plan level details.
Object Name	ST_ESPP_PLAN1
Navigation	**Define Business Rules, Define Stock Purchase Plans, Setup, Stock Purchase Plan Rules, General**
Prerequisites	You must first define a Stock Plan ID using the Stock Plan setup page and a stock plan on the Stock Plan Table. You must also have the benefits administrator define a Benefit Plan ID.
Access Requirements	Select a Stock ID and a Stock Plan.



Stock Purchase Plan Rules - General setup page

The following field is common to multiple pages and is defined in the preface of this PeopleBook in PeopleBooks Standard Page Element Definitions: **Effective Date.**

Stock ID The system displays the **Stock ID.**

Stock Plan Type The system displays a **Stock Plan Type** of stock purchase plan.

Stock Plan The system displays the **Stock Plan.**

Benefit Plan Type Select a **Benefit Plan Type** from available choices.

Benefit Plan Select a **Benefit Plan** that matches the Stock Plan you selected. This is where you link the two plan codes.

Governing Body

Select a **Governing Body** from available choices. The default is ***IRS.***

Offering Type

Select either ***Fixed*** or ***Rolling*** to indicate the **Offering Type.** If you select ***Fixed,*** the offering end date for all the participants is the same no matter when they enrolled in the offering. If you select ***Rolling*** the offering end date is measured from the date the participant's enrolls with multiple offerings outstanding.

For both offering types, the offering begin date of a subsequent offering can't be earlier than the offering end date of the previous offering.

Participant Enrollment Rule

Select one of the following rules that governs when new participants enroll in a stock purchase plan:

Enroll in Next Purchase Period enrolls the participant in the first purchase period where the Period Begin Date for the Purchase Period is greater than or equal to the Coverage Begin Date, regardless of the offering. Once you've identified the purchase period, the system assigns the offering of that purchase period, as well as the first grant date, before the purchase period begin date of the offering.

Enroll in Next Offering enrolls the participant in the first offering period where the Period Begin Date for the Offering Period is greater than or equal to the Coverage Begin Date. Once you've identified the offering period, the system assigns the first purchase period within the offering, as well as the first grant date within the offering period.

Enroll in Current Offer/Pur Pd enrolls the participant in the current offering and purchase period. The system determines the current offering and purchase period by finding the first grant date greater than or equal to the Coverage Begin Date. It assigns the Offering based on the grant date and then the purchase period within the offering by selecting the first purchase period where the Purchase Period Begin Date greater than or equal to the Grant Date

User Defined does not enroll participants. You can use this to import enrollments, modify the update participants process, or manually enter the enrollments.

The rule defined at the governing body level is the default. The Update Participants process uses this rule to determine what offering and purchase period to enroll a participant.

Comments Select **Comments** to access the Plan Comments Page where you can add comments.

Pro-Rate Purchase Select this option if you want to **Pro-Rate Purchases.** If you select this field here, you can enter a Pro-Rate Factor on the Stock Purchase – General setup page.

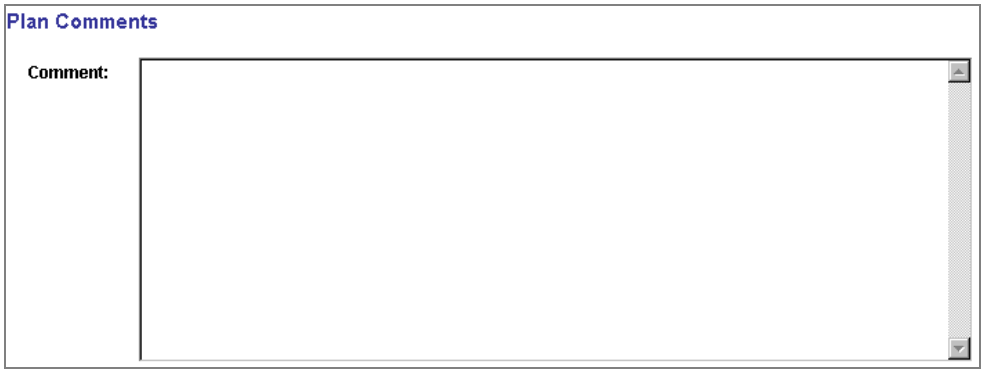
Concurrent Offerings Select this option if your plan allows more than one active offering at a given time.

Interest Paid Select this option if you pay interest on contributions. This field is informational only.

Quick Sales Allowed Select this option if you want to enable Quick Sales at the individual issuance level. This field is informational only.

Plan Comments Page

Usage	Use the Plan Comments page to add comments about the stock purchase plan.
Object Name	ST_ESPP_PLAN7
Navigation	**Click Comments on the Stock Purchase Plan Rules - General setup page.**



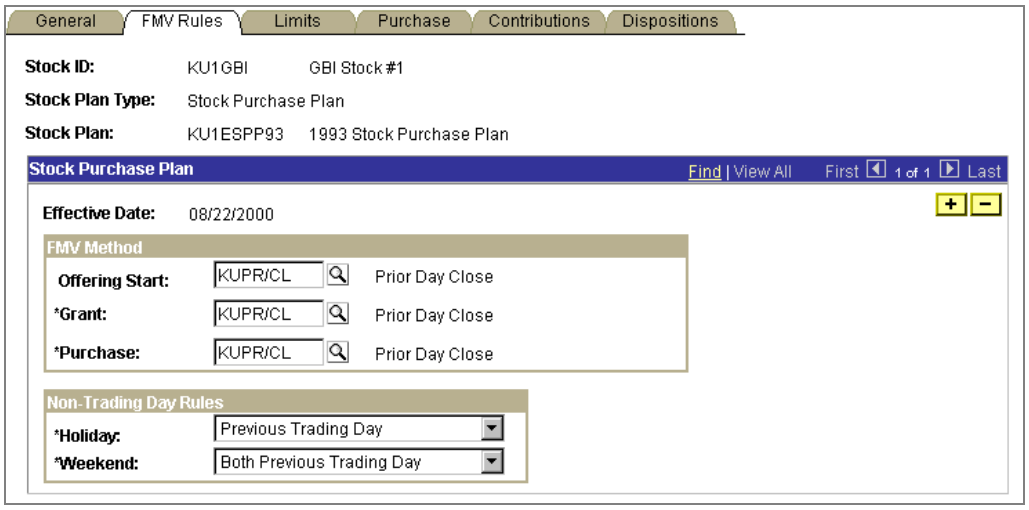
Plan Comments page

The following field is common to multiple pages and is defined in the preface of this PeopleBook in PeopleBooks Standard Page Element Definitions: **Comment.**

Stock Purchase Plan Rules - FMV Rules Setup Page

Usage	Use the Stock Purchase Plan Rules - FMV Rules setup page to define the FMV rules.
Object Name	ST_ESPP_PLAN2
Navigation	**Define Business Rules, Define Stock Purchase Plans, Setup, Stock**

	Purchase Plan Rules, FMV Rules
Prerequisites	The Stock Purchase Plan Rules - FMV Rules page is the second page in the Stock Purchase Plan Rules component. You must first enter data on the previous page.
Access Requirements	Select a Stock ID and a Stock Plan.



Stock Purchase Plan Rules - FMV Rules setup page

The following field is common to multiple pages and is defined in the preface of this PeopleBook in PeopleBooks Standard Page Element Definitions: **Effective Date.**

Stock ID The system displays the **Stock ID.**

Stock Plan Type The system displays a **Stock Plan Type** of stock purchase plan.

Stock Plan The system displays the **Stock Plan.**

FMV Method

You need to define a method to determine the stock values at various points in the stock purchase process. You define the FMV Methods using the FMV Method Table setup page. These methods supercede the FMV defined on the Stock Details component for these specific events.

Offering Start Select an FMV method from available choices. This field is informational only.

Grant Select an FMV method from available choices. This field represents the grant FMV based on a participant's grant date. It may be used to determine the purchase price.

Purchase Select an FMV method from available choices. This field is used to calculate the ordinary income for dispositions. It may be used to determine the purchase price.

Non-Trading Day Rules

The system accounts for all days in a calendar year. The days that are not market trading days need to be identified as such. Therefore, you need to define a method to account for these non-trading days. The methods below supersede the Holiday and Weekend FMV rules defined on the Stock Details setup component.

For more information about the non-trading day choices, see Stock Details.

Holiday When a FMV calculation includes a **Holiday**, select ***Previous Trading Day*** if you want to use the previous trading day's price, or ***Next Trading Day*** if you want to use the next trading day's price.

Weekend When a FMV calculation includes a **Weekend,** select one of the following:

Both Previous Trading Day if you want to use the previous trading day's price for both weekend days.

Both Next Trading Day if you want to use the next trading day's price for both weekend days.

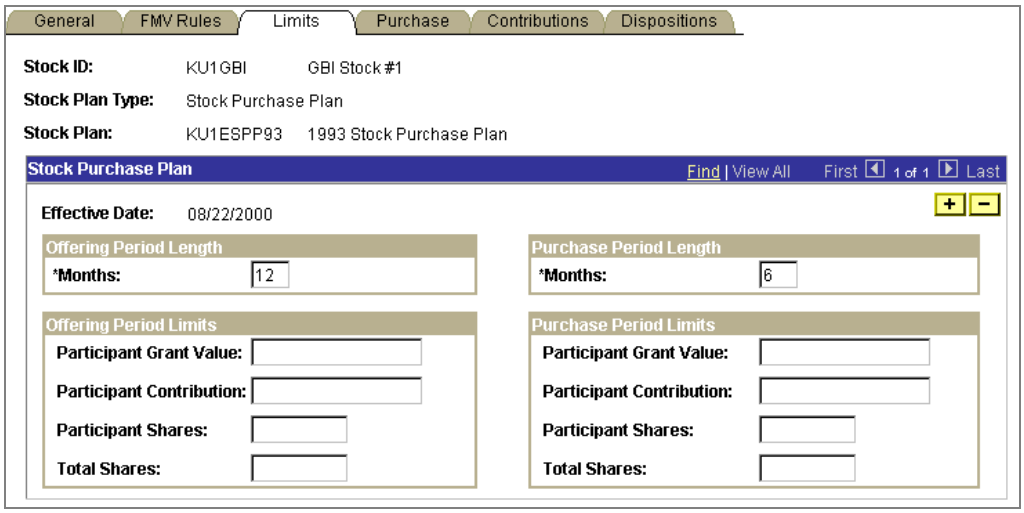
Saturday Previous and ***Sunday Next*** if you want to use the previous trading day's price for Saturday and the next trading day's price for Sunday.

Saturday Next and ***Sunday Previous*** if you want to use the next trading day's price for Saturday and the previous trading day's price for Sunday.

Stock Purchase Plan Rules - Limits Setup Page

Usage	Use the Stock Purchase Plan Rules - Limits setup page to define the offering and purchase periods limits.
Object Name	ST_ESPP_PLAN3
Navigation	**Define Business Rules, Define Stock Purchase Plans, Setup, Stock Purchase Plan Rules, Limits**
Prerequisites	The Stock Purchase Plan Rules - Limits page is the third page in the

	Stock Purchase Plan Rules component. You must first enter data on the previous pages.
Access Requirements	Select a Stock ID and a Stock Plan.



Stock Purchase Plan Rules - Limits setup page

The following field is common to multiple pages and is defined in the preface of this PeopleBook in PeopleBooks Standard Page Element Definitions: **Effective Date.**

Stock ID The system displays the **Stock ID.**

Stock Plan Type The system displays a **Stock Plan Type** of stock purchase plan.

Stock Plan The system displays the **Stock Plan.**

Offering Period Length Enter the number of months in the offering period. However, you cannot exceed the Governing Body rules. The offering period you define here is used to calculate the default offering period end date.

Purchase Period Length Enter the number of months in the purchase period. The purchase period length cannot be longer than the offering period. You cannot exceed the Governing Body Rules.

Offering Period Limits

Optional: You can make the offering period limits more restrictive than the purchase value limit defined on the Governing Body Rules – Stock Purchase Rules setup page. You cannot make the limits more permissive.

Participant Grant Value Enter the maximum grant value a participant can purchase during an offering period. The grant value is the number of shares purchased multiplied by the grant FMV.

Participant Contribution Enter a limit of the total contribution an individual participant can make in an offering period.

Participant Shares Enter a limit of the number of shares a participant can purchase in an offering period.

Total Shares Enter a limit of the total number of shares for all participants that may be issued in an offering period.

Purchase Period Limits

Optional: You can make the purchase period limits more restrictive than the purchase value limit defined on the Governing Body Rules – Stock Purchase Rules setup page. You cannot make the limits more permissive. The purchase period values cannot exceed the offering period values.

Participant Grant Value Enter the maximum grant value a participant can purchase during a purchase period. The grant value is the number of shares purchased multiplied by the grant FMV.

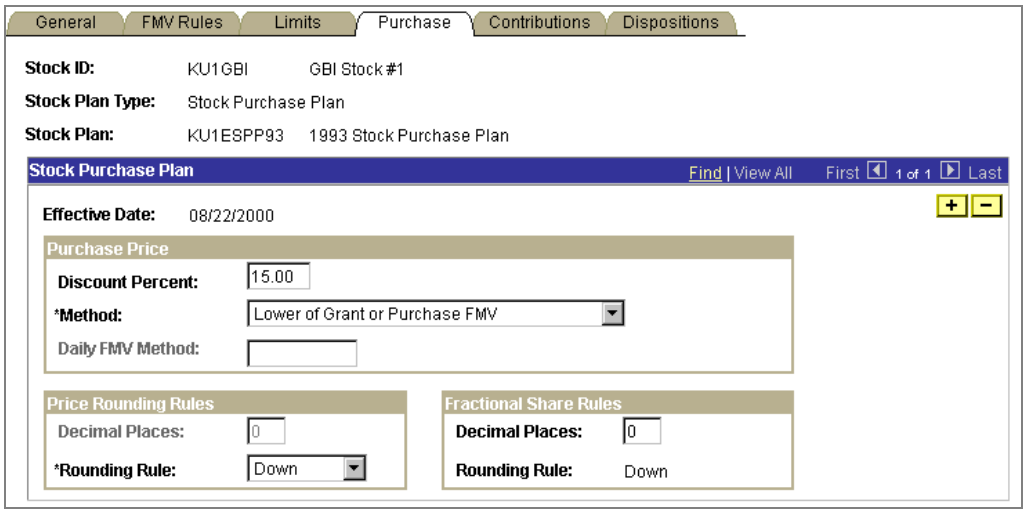
Participant Contribution Enter a limit of the total contribution an individual participant can make in a purchase period.

Participant Shares Enter a limit of the number of shares a participant can purchase in a purchase period.

Total Shares Enter a limit of the total number of shares for all participants that may be issued in a purchase period.

Stock Purchase Plan Rules - Purchase Setup Page

Usage	Use the Stock Purchase Plan Rules - Purchase setup page to define the purchase rules.
Object Name	ST_ESPP_PLAN4
Navigation	**Define Business Rules, Define Stock Purchase Plans, Setup, Stock Purchase Plan Rules, Purchase**
Prerequisites	The Stock Purchase Plan Rules - Purchase page is the fourth page in the Stock Purchase Plan Rules component. You must first enter data on the previous pages.
Access Requirements	Select a Stock ID and a Stock Plan.



Stock Purchase Plan Rules - Purchase setup page

The following field is common to multiple pages and is defined in the preface of this PeopleBook in PeopleBooks Standard Page Element Definitions: **Effective Date.**

Stock ID The system displays the **Stock ID.**

Stock Plan Type The system displays a **Stock Plan Type** of stock purchase plan.

Stock Plan The system displays the **Stock Plan.**

Purchase Price

Discount Percent Enter a discount percentage. The Calculate Prices process uses the discount percent when calculating the purchase price for the stock.

Method Select how you want the Calculate Prices process to calculate the participants' purchase price:

Average Daily FMV in Purch PD, if you want to average the daily FMV throughout the purchase period.

Grant FMV, if you want to use the FMV on the day of the grant.

Lower of Grant or ***Purchase FMV,*** if you want to use the lower of the grant or purchase FMV. This is the default.

Purchase FMV, if you want to use the stock FMV on the day of the purchase.

User Defined, if you want to use some other method.

Daily FMV Method If you selected a purchase price method of Average Daily FMV in Purch PD, this field is available. Select a method to determine what type of price is used for each day. Valid values are defined on the FMV Method Table.

Price Rounding Rules

The price rounding rules defined on the Stock Details - Common Rules setup page is the default. You can make them more restrictive.

Decimal Places Enter a number between 0 and 6 to determine the number of **Decimal Places** when calculating a price or FMV in the Calculate Prices process.

Rounding Rule Select a rounding rule to use when calculating a price or FMV in the Calculate Prices process. Valid values include ***Standard, Up,*** and ***Down.***

Fractional Share Rules

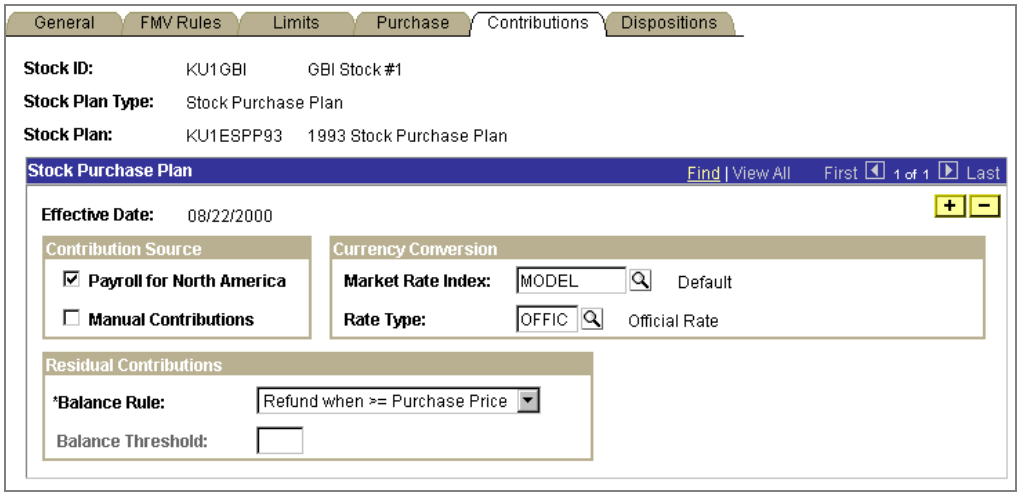
These fields become available if fractional shares are allowed at the Stock Detail level. The fractional share rules defined on the Stock Details - Common Rules setup page are the default. You can make them more restrictive. If fractional shares are not allowed, Decimal Places is 0 and the Rounding Rule displays Down.

Decimal Places Enter a number, between 0 and 6, to determine the number of decimal places to round when calculating the number of shares purchased.

Rounding Rule The system displays ***Down,*** the method of rounding when calculating the number of shares to purchase.

Stock Purchase Plan Rules - Contributions Setup Page

Usage	Use the Stock Purchase Plan Rules - Contributions setup page to define the contribution rules.
Object Name	ST_ESPP_PLAN5
Navigation	**Define Business Rules, Define Stock Purchase Plans, Setup, Stock Purchase Plan Rules, Contributions**
Prerequisites	The Stock Purchase Plan Rules - Contributions page is the fifth page in the Stock Purchase Plan Rules component. You must first enter data on the previous pages.
Access Requirements	Select a Stock ID and a Stock Plan.



Stock Purchase Plan Rules - Contributions setup page

The following field is common to multiple pages and is defined in the preface of this PeopleBook in PeopleBooks Standard Page Element Definitions: **Effective Date.**

Stock ID The system displays the **Stock ID.**

Stock Plan Type The system displays a **Stock Plan Type** of stock purchase plan.

Stock Plan The system displays the **Stock Plan.**

Contribution Source Select **Payroll for North America** if you receive stock purchase contributions from PeopleSoft Payroll for North America. If Payroll for North America is not installed, this option is not available. Select **Manual Contributions** if you receive stock purchase contributions from any other source. If you use PeopleSoft Payroll for North America as your primary contribution source, you may want to also select **Manual Contributions** to allow for adjustments. This field determines what contributions are processed in the Gather Contributions process.

Currency Conversion

If you use the system to convert local currency to the currency defined at the Stock ID level, you need to select the currency conversion parameters for the Currency Conversion process.

For more information about Market Rate Indexes and Rate Types, see Working with Currencies.

Market Rate Index Select a **Market Rate Index** for the Convert Currencies process to use to convert participant contributions from a local currency to the stock currency. The **Market Rate Index** defined in Define General Options is the default.

Rate Type Select a currency conversion **Rate Type** from available choices to indicate the type of rate used to convert the local currency to the **Stock ID** currency.

Residual Contributions

After a stock purchase is processed and confirmed, some of the participants' contributions may be left over. The balance may be less than the purchase price of the stock or the participant may have reached an offering period, or purchase period limit, which left more than the purchase price unused. You need to indicate a method of handling these residual contributions.

Balance Rule

Select ***Carry Forward Balance*** and no **Balance Threshold** amount if you want the system to carry forward any amount. Select this option and enter a **Balance Threshold** amount if you want the system to carry forward any amount less than or equal to the threshold amount and refund the rest.

Select ***Carry Fwd when <= Purchase Price*** if you want the system to carry forward any amount less than or equal to the participant's purchase price. If the amount is greater than the purchase price it is refunded.

Select ***Refund Balance*** and no **Balance Threshold** amount if you want the system to refund any amount. Select this option and enter a **Balance Threshold** amount if you want the system to refund any amount greater than or equal to the threshold amount. If the amount is less than the threshold amount it is carried forward to the next purchase.

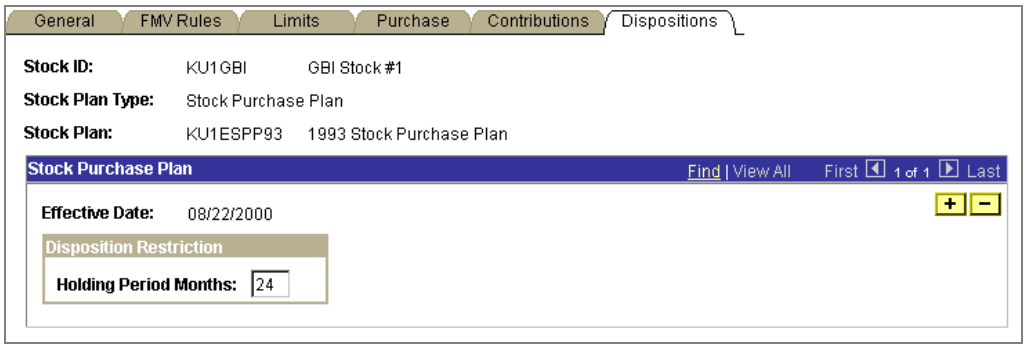
Select ***Refund when >= Purchase Price*** if you want the system to refund any amount greater than or equal to the participant's purchase price after a purchase. If the amount is less than the purchase price, it is carried forward to the next purchase. This is the default.

Balance Threshold

If you selected a **Balance Rule** of ***Carry Forward Balance*** or ***Refund Balance*** this field becomes available. Enter an amount you want to use as a minimum amount needed to order to either carry forward or refund.

Stock Purchase Plan Rules - Dispositions Setup Page

Usage	Use the Stock Purchase Plan Rules - Dispositions setup page to define the disposition rules.
Object Name	ST_ESPP_PLAN6
Navigation	**Define Business Rules, Define Stock Purchase Plans, Setup, Stock Purchase Plan Rules, Dispositions**
Prerequisites	The Stock Purchase Plan Rules - Dispositions page is the sixth page in the Stock Purchase Plan Rules component. You must first enter data on the previous pages.
Access Requirements	Select a Stock ID and a Stock Plan.



Stock Purchase Plan Rules - Dispositions setup page

The following field is common to multiple pages and is defined in the preface of this PeopleBook in PeopleBooks Standard Page Element Definitions: **Effective Date.**

Stock ID The system displays the **Stock ID.**

Stock Plan Type The system displays a **Stock Plan Type** of stock purchase plan.

Stock Plan The system displays the **Stock Plan.**

Disposition Restriction

Holding Period Months Enter the number of months after the purchase date a participant must hold the stock before selling the shares. If you enter a disposition for less than the months you specify here you will receive a warning.

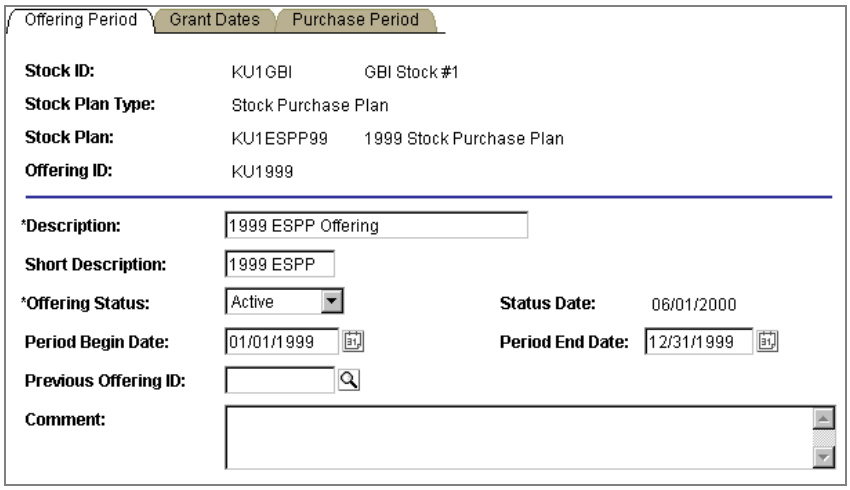
Defining Offering/Purchase Periods

Once you've defined your stock purchase plan rules, you can set up the offering period and purchase periods with the plan. You'll use the Offering/Purchase Periods component to define the offering and purchase period begin and end dates, as well as the valid grant dates within the offering period. If you allow rolling plans, you link the previous offering periods here.

Offering/Purchase Periods - Offering Period Setup Page

Usage	Use the Offering/Purchase Periods –--Offering Period setup page to define offering period begin and end dates.
Object Name	ST_OFFERING_PD
Navigation	**Define Business Rules, Define Stock Purchase Plans, Setup, Offering/Purchase Periods, Offering Period**

Prerequisites	You must first define a Stock Plan ID on the Stock Plan setup page. You must define the stock purchase plan rules on the Stock Purchase Plan Rules component.
Access Requirements	Select a Stock ID and Stock Plan, and enter an Offering ID to associate with the offering.



Offering/Purchase Periods - Offering Period setup page

The following fields are common to multiple pages and are defined in the preface of this PeopleBook in PeopleBooks Standard Page Element Definitions: **Description, Short Description,** and **Comment.**

Stock ID The system displays the **Stock ID.**

Stock Plan Type The system displays a **Stock Plan Type** of stock purchase plan.

Stock Plan The system displays the **Stock Plan.**

Offering ID Enter a unique ID to associate with the offering.

Offering Status Select ***Active*** if the offering is available for enrollment. Select ***Cancelled*** if the offering was cancelled before its expiration date. Select ***Expired*** if the offering has ended.

Status Date The system displays the date you made the Offering Status selection.

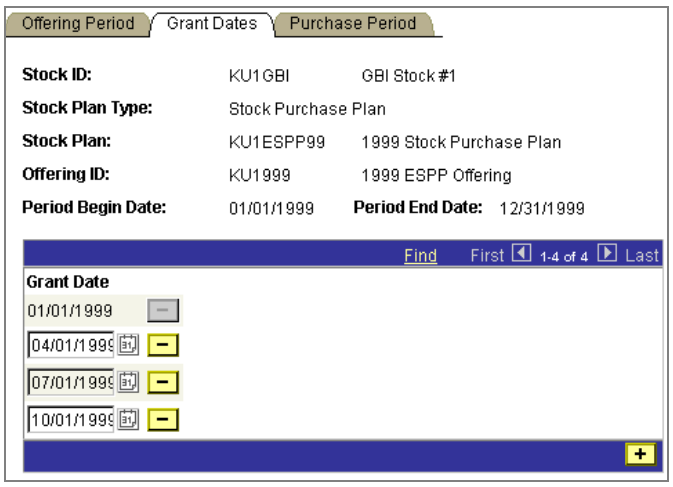
Period Begin Date Enter the date the offering period begins. The date cannot be less than the earliest effective date of the Stock Plan ID. The current system date is the default. The Period Begin Date determines the Purchase Period Begin Date, and in turn the Grant Date.

Period End Date The system calculates a default offering period end date based on the Period Begin Date and the Offering Period Length Months defined on the Stock Purchase Plan Rules – Limits page. You can enter a different date, but the system displays a warning if you do. You also get a warning if you try to enter an offering period that exceeds the IRS limits defined at the governing body level if the stock purchase plan is an IRS 423 plan.

Previous Offering ID Select a Previous Offering ID if you want to link multiple offerings together in a sequence. You can use this field for rolling plans, or if you want your participants to be automatically enrolled in another offering when the current offering expires. If you don't specify a previous offering ID, then participants won't be enrolled once the previous offering expires or is cancelled.

Offering/Purchase Periods - Grant Dates Setup Page

Usage	Use the Offering/Purchase Periods - Grant Dates setup page to define grant dates.
Object Name	ST_OFFER_GRANT
Navigation	**Define Business Rules, Define Stock Purchase Plans, Setup, Offering/Purchase Periods, Grant Dates**
Prerequisites	The Offering/Purchase Periods - Grant Dates page is the second page in the Offering/Purchase Periods component. You must first enter data on the previous page.
Access Requirements	Select a Stock ID and Stock Plan, and enter an Offering ID to associate with the offering.



Offering/Purchase Periods - Grant Dates setup page

Stock ID The system displays the **Stock ID.**

Stock Plan Type The system displays a **Stock Plan Type** of stock purchase plan.

Stock Plan The system displays the **Stock Plan.**

Offering ID The system displays the **Offering ID.**

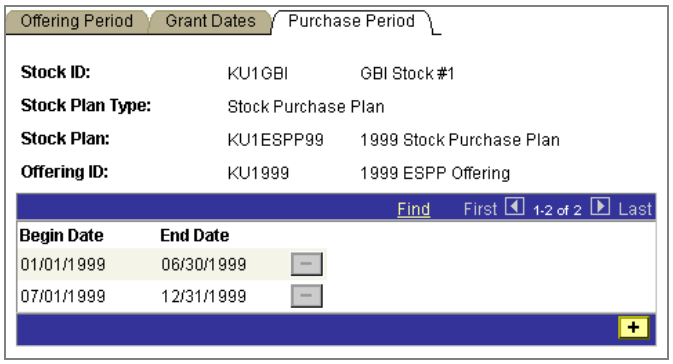
Period Begin Date The system displays the offering period begin date.

Period End Date The system displays the offering period end date.

Grant Date Enter all valid **Grant Dates** within this offering period. The **Grant Date** determines the price of the stock.

Offering/Purchase Periods - Purchase Period Setup Page

Usage	Use the Offering/Purchase Periods - Purchase Period setup page to define purchase period begin and end dates.
Object Name	ST_PURCHASE_PD
Navigation	**Define Business Rules, Define Stock Purchase Plans, Setup, Offering/Purchase Periods, Purchase Period**
Prerequisites	The Offering/Purchase Periods - Purchase Period page is the third page in the Offering/Purchase Periods component. You must first enter data on the previous pages.
Access Requirements	Select a Stock ID and Stock Plan, and enter an Offering ID to associate with the offering.



Offering/Purchase Periods - Purchase Period setup page

Stock ID The system displays the **Stock ID.**

Stock Plan Type The system displays a **Stock Plan Type** of stock purchase plan.

Stock Plan The system displays the **Stock Plan.**

Offering ID The system displays the **Offering ID.**

Begin Date Enter the date the purchase period begins. The date cannot be earlier than the Offering Period **Begin Date.** The Offering Period Begin Date is the default.

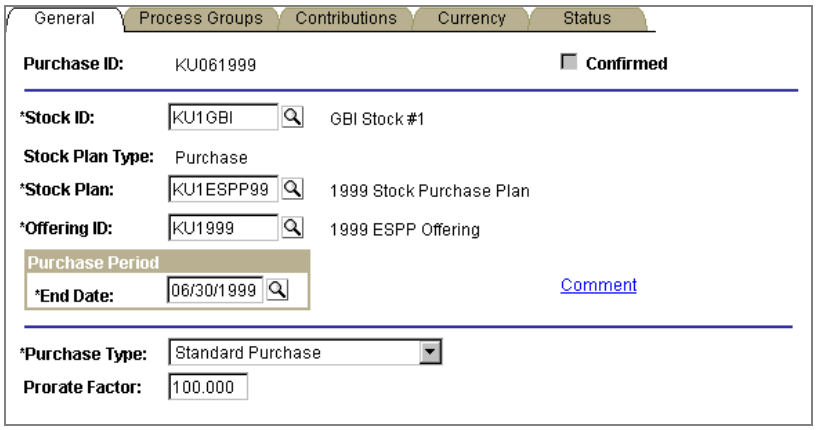
End Date The system calculates a default purchase period **End Date** based on the purchase Period **Begin Date** and the Purchase Period Length Months defined on the Stock Purchase Plan Rules – Limits page. You can enter a different date, but the system displays a warning if you enter a date that is greater than or less than the number of months entered at the plan level.

Defining Stock Purchases

The next step in the stock purchase setup process, is to define a unique Purchase ID. Using the Stock Purchase setup component, you relate the Purchase ID with the stock, stock plan, offering, and purchase periods used by the stock purchase process. You specify purchase details such as process groups included in the purchase, payroll contribution parameters, and currency conversation details. Throughout the purchase process, you can view the processing status of the purchase.

Stock Purchase - General Setup Page

Usage	Use the Stock Purchase - General page to define basic purchase details.
Object Name	ST_PURCHASE_TBL1
Navigation	**Compensate Employees, Administer Stock Purchases, Setup, Stock Purchase, General**
Prerequisites	You must first define an Offering ID and purchase period end dates on the Offering/Purchase Periods component.
Access Requirements	Enter a Purchase ID to associate with a purchase period.



Stock Purchase - General setup page

Purchase ID The system displays the **Purchase ID.**

Confirmed The system selects this check box when all processes for this Purchase ID have been confirmed.

Stock ID Select a **Stock ID** from available choices.

Stock Plan Type The system displays a **Stock Plan Type** of stock purchase plan.

Stock Plan Select a **Stock Plan** from available choices.

Offering ID Select an **Offering ID** from available choices.

Purchase Period End Date Select a **Purchase Period End Date** from available choices.

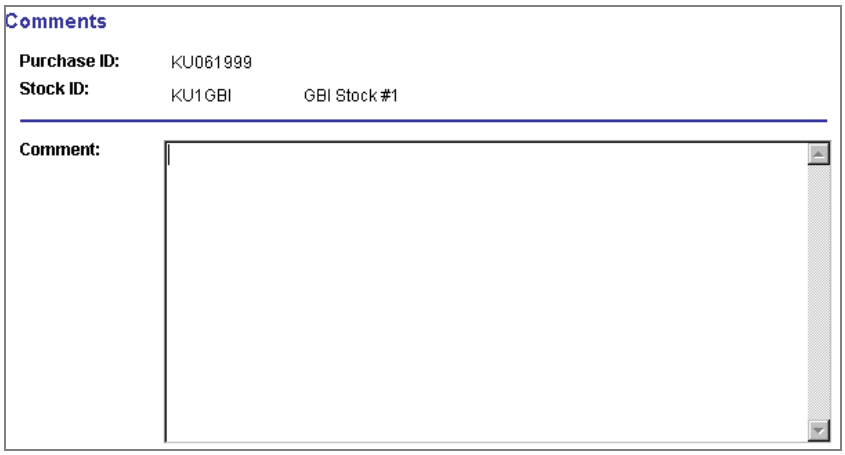
Comment Click **Comment** to access the Purchase Table Comments Page where you can add comments about the purchase.

Purchase Type Select the type of purchase you want to process. Valid values are ***Standard Purchase*** or ***Anti Dilution Purchase.***

Prorate Factor If you selected ***Pro Rate Purchase*** on the Stock Purchase Plan Rules – General page, the Prorate Factor 100% is the default.

Purchase Table Comments Page

Usage	Use the Purchase Table Comments page to add comments about the purchase.
Object Name	ST_PURCHASE_TBL5
Navigation	**Click Comments on the Stock Purchase - General setup page.**



Purchase Table Comments page

The following field is common to multiple pages and is defined in the preface of this PeopleBook in PeopleBooks Standard Page Element Definitions: **Comment.**

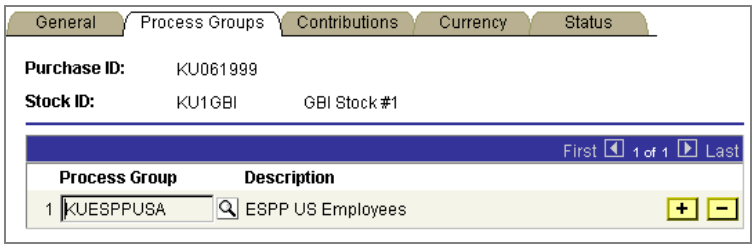
Purchase ID The system displays the **Purchase ID.**

Stock ID The system displays the **Stock ID.**

Stock Purchase - Process Groups Setup Page

Usage	Use the Stock Purchase - Process Groups setup page to define the process groups within the purchase.

Object Name	ST_PURCHASE_TBL2
Navigation	**Compensate Employees, Administer Stock Purchases, Setup, Stock Purchase, Process Groups**
Prerequisites	The Stock Purchase - Process Group page is the second page in the Stock Purchase component. You must first enter data on the previous pages.
Access Requirements	Enter a Purchase ID to associate with a purchase period.



Stock Purchase - Process Groups setup page

The following field is common to multiple pages and is defined in the preface of this PeopleBook in PeopleBooks Standard Page Element Definitions: **Description.**

Purchase ID The system displays the **Purchase ID.**

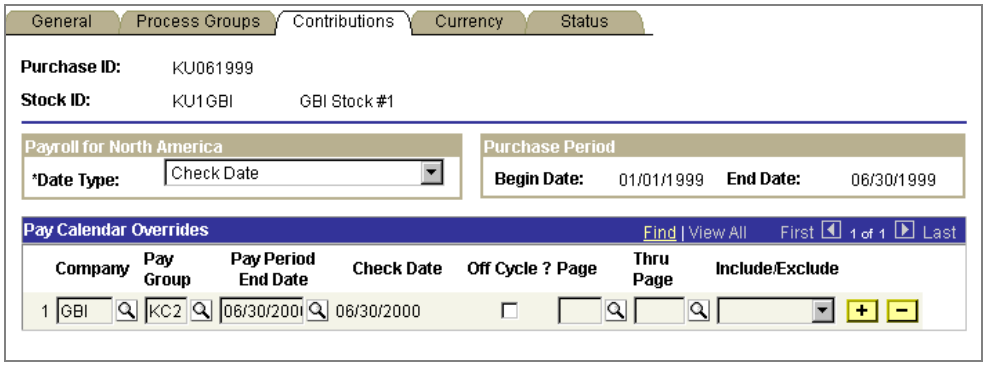
Stock ID The system displays the **Stock ID.**

Process Group Select the **Process Group(s)** you want to include in this processing from available choices. Process Groups are set up on the Process Groups setup page.

Stock Purchase Contributions Setup Page

Usage	Use the Stock Purchase - Contributions setup page to define the process contributions.
Object Name	ST_PURCHASE_TBL3
Navigation	**Compensate Employees, Administer Stock Purchases, Setup, Stock Purchase, Contributions**
Prerequisites	The Stock Purchase - Contributions page is the third page in the Stock Purchase component. You must first enter data on the previous pages.

Access Requirements	Enter a Purchase ID to associate with a purchase period.



Stock Purchase - Contributions setup page

The following field is common to multiple pages and is defined in the preface of this PeopleBook in PeopleBooks Standard Page Element Definitions: **Company.**

Purchase ID The system displays the **Purchase ID.**

Stock ID The system displays the **Stock ID.**

Payroll for North America

Date Type Select ***Check Date*** to indicate the check date for the deduction. It must fall between the purchase period begin and end dates. Select ***Pay Period End Date*** to indicate the pay period end date. It must fall between the purchase period begin and end dates.

Purchase Period

Begin Date The system displays the beginning date of the purchase period.

End Date The system displays the ending date of the purchase period.

Pay Calendar Overrides

When deductions for a pay period fall outside the range of the Purchase Period Begin and End Dates, you may need to include or exclude a pay calendar. For example, if you selected ***Check Date*** as the **Date Type** for the purchase on September 30, 1998, then processed a bonus run with a check date of July 2, 1998, the bonus run is not included in the purchase period contributions. However, the bonus is for the period ending September 30, 1998, and should be included in the contributions for the current purchase period. To include the bonus contributions in the current

purchase period, you must enter a **Pay Calendar Override** specifying the **Company, Pay Group, Pay Period End Date, On-Cycle/Off-Cycle**, and select **Include.** This overrides the date, and includes the deductions for the pay calendar selected in the current purchase period.

You can also specify a beginning and ending **Page** number for the pay calendar. This enables you to select a range of employees to include or exclude in the purchase period contributions. This feature is useful for off-cycle checks since you assign the page number.

Pay Group Select the **Pay Group** of the pay calendar to process.

Pay Period End Date Select the **Pay Period End Date** of the pay calendar to process.

Check Date The system displays the **Check Date** for the pay calendar selected.

Off Cycle? Select **Off Cycle?** if you want to include the calendar in an off cycle check.

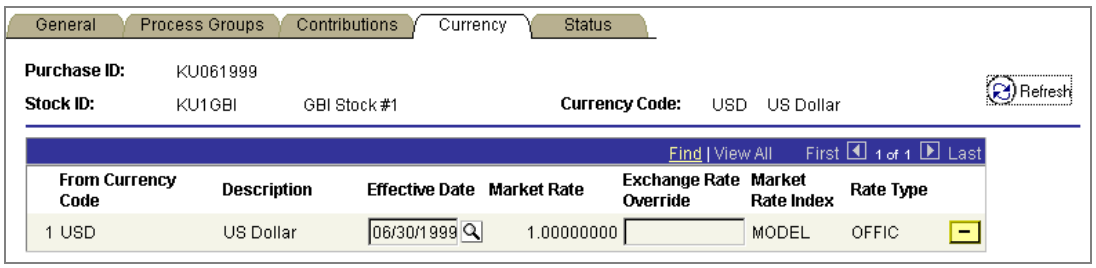
Page Select the beginning **Page** number of an off cycle to be ***Included*** or ***Excluded.***

Thru Page Select the ending Page number of an off cycle to be ***Included*** or ***Excluded.***

Include/Exclude Select ***Include*** if you want to **Include** the pay calendar in the Gather Contributions process. Select ***Exclude*** if you want to **Exclude** the pay calendar in the Gather Contributions process.

Stock Purchase - Currency Setup Page

Usage	Use the Stock Purchase - Currency setup page to define the currency parameters.
Object Name	ST_PURCHASE_TBL4
Navigation	**Compensate Employees, Administer Stock Purchases, Setup, Stock Purchase, Currency Conversion**
Prerequisites	The Stock Purchase - Currency page is the fourth page in the Stock Purchase component. You must first enter data on the previous pages.
Access Requirements	Enter a Purchase ID to associate with a purchase period.



Stock Purchase - Currency setup page

The following fields are common to multiple pages and are defined in the preface of this PeopleBook in PeopleBooks Standard Page Element Definitions: **Description** and **Effective Date.**

Purchase ID The system displays the **Purchase ID.**

Stock ID The system displays the **Stock ID.**

Currency Code The system displays the **Currency Code** associated with the **Stock ID.**

Refresh Click the **Refresh** button to execute the Convert Contributions process. The system gets the exchange rates for each currency contribution that exists in the gathered contributions. A batch process refreshes the data on the page.

From Currency Code The system displays the contribution source Currency Code.

Market Rate The system displays the calculated Exchange Rate for the **Market Rate Index, Rate Type**, and currency specified.

Exchange Rate Override If you want to use a different rate than the Convert Currencies process, you can enter an override rate here. The default is zero.

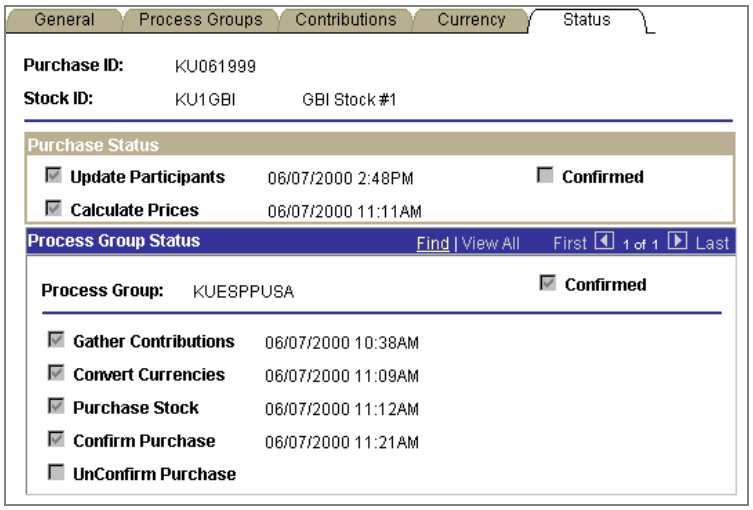
Market Rate Index The system displays the **Market Rate Index** used in the Convert Currencies process. The index specified on the Stock Purchase Plan Rule – Contribution page.

Rate Type The system displays the **Rate Type** used in the Convert Currencies process. The **Rate Type** specified on the Stock Purchase Plan Rule – Contribution page.

Stock Purchase - Status Setup Page

Usage	Use the Stock Purchase - Status setup page to view the status of the

	overall purchase and the status of each process group.
Object Name	ST_PURCHASE_TBL6
Navigation	**Compensate Employees, Administer Stock Purchases, Setup, Stock Purchase, Status**
Prerequisites	The Stock Purchase - Status page is the sixth page in the Stock Purchase component. You must first enter data on the previous pages.
Access Requirements	Enter a Purchase ID to associate with a purchase period.



Stock Purchase - Status setup page

Purchase ID The system displays the **Purchase ID.**

Stock ID The system displays the **Stock ID.**

Purchase Status

The system displays the status of the purchase process. If a process has been run, the check box is selected displaying the date and time it was processed.

Update Participants The system displays the status of the **Update Participants** process.

Calculate Prices The system displays the status of the **Calculate Prices** process.

Confirmed The system selects this check box when all processes have been **Confirmed** for all process groups.

Process Group Status

Process Group The system displays the **Process Group(s)** within the **Purchase ID.**

Confirmed The system selects this check box when all processes for this Process Group have been **Confirmed.**

Gather Contributions The system displays the status of the **Gather Contributions** process. This process determines the **Process Groups** based on the participant's company and pay group.

Convert Currencies The system displays the status of the **Convert Currencies** process.

Purchase Stock The system displays the status of the **Purchase Stock** process.

Confirm Purchase The system displays the status of the **Confirm Purchase process.**

UnConfirm Purchase The system displays the status of the **UnConfirm Purchase** process.

Checking Stock Purchase Data

The Hold Reason Table setup page is where you define additional reasons for holding a purchase. There are many reasons why you would want to hold a purchase for an individual. The participant may have withdrawn from the program or may be out on leave of absence.

The Message Table setup page is where you set up specific text messages that relate to the system codes for processing messages.

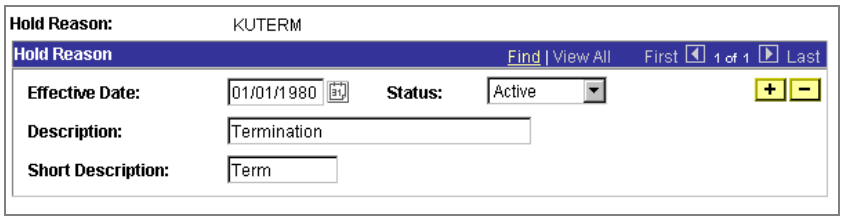
The processing messages delivered with PeopleSoft Stock Administration are:

000001	Employee is terminated.
000002	Purchase FMV method not found.
000003	Purchase ID not found.
000004	Daily Prices data missing for the purchase period.
000005	Purchase Period not found.
000006	Average Days for FMV method is invalid.
000007	The stock exchange is not found.
000008	Holiday Schedule not found.

000009	Grant FMV could not be calculated.
000010	The exchange is not defined.
000011	Holiday has not been defined on Holiday Schedule.
000012	Contributions exceed Purchase Period limit.
000013	Contributions exceed Offering Period limit.
000014	Participant Shares exceed Purchase Period Limit.
000015	Participant Shares exceed Offering Period Limit.
000016	Grant Value Limit exceeded for Purchase Period.
000017	Grant value exceeded for Offering Period.
000018	Purchase Price Missing for Grant Date.
000019	Anti-Dilution Price Missing for Grant Date.
000020	Total Share Limit exceeded for purchase period.
000021	Total Share Limit exceeded for offering period.
000022	Participant has exceeded Purchase Value Limit.
000023	Processing halted as purchase is “Confirmed”.
000024	Reversal process halted as purchase is “Confirmed.”
000025	Exchange Rate has not been defined for currency code.
000026	Contribution currency mismatch.
000027	Purchase Prices do not exist for purchase period.
000028	Stock purchase plan rules do not exist.
000029	Participant is defined as a major shareholder.
000030	Contributions exist for multiple process groups.
000031	Preliminary purchase in progress. Purchase removed.
000032	Contributions to be refunded. Participant had a status change.
000033	Negative Contributions ignored.
000034	Warning: Check reversal gathered for participant.
000035	Holiday has not been defined on Daily Prices Table.
000036	Participant withdrew from plan during purchase period.
000037	Disposition exists for purchase being UnConfirmed.

Hold Reason Table Setup Page

Usage	Use the Hold Reason Table setup page to define the reasons for holding a purchase.
Object Name	ST_HOLD_REASON_TBL
Navigation	**Define Business Rules, Define Stock Purchase Plans, Setup, Hold Reason Table, Hold Reason**
Prerequisites	None
Access Requirements	Enter a Hold Reason code to associate with a reason for holding a purchase.



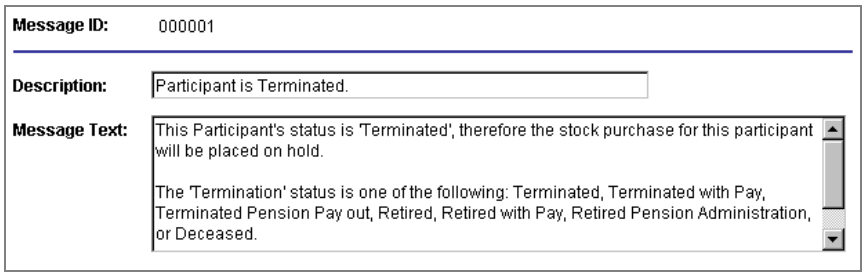
Hold Reason Table setup page

The following fields are common to multiple pages and are defined in the preface of this PeopleBook in PeopleBooks Standard Page Element Definitions: **Effective Date, Status, Description,** and **Short Description.**

Hold Reason The system displays the **Hold Reason.**

Message Table Setup Page

Usage	Use the Message Table setup page to define stock purchase processing messages.
Object Name	ST_ESPP_MSG_TABLE
Navigation	**Compensate Employees, Administer Stock Purchases, Setup, Message Table**
Prerequisites	None
Access Requirements	Enter a Message ID to associate with a system generated message.



Message Table setup page

The following field is common to multiple pages and is defined in the preface of this PeopleBook in PeopleBooks Standard Page Element Definitions: **Description.**

Message ID The system displays the **Message ID.**

Message Text Enter a text description of the system-generated message.

CHAPTER 16

Administering Enrollment

After you've set up your stock purchase plans, the next step is to enroll your participants into the plans through PeopleSoft Base Benefits. Then you'll enroll your participants in offering and purchase periods using the update participants process. After you've run the update participants process, you can view and adjust the enrollment records, or manually add participants not administered in PeopleSoft Base Benefits.

Before You Begin

Before you enroll your participants you should:

- Set up your stock purchase plans.

For more information about how to set up your stock purchase plans, see Setting Up Stock Purchase Plans.

- Have your benefits administrator define the stock purchase benefit plan and deduction codes.

For more information about defining stock purchase benefit plans see Setting Up Benefit Plans. For more information about setting up deduction codes see Setting Up Benefit Providers and Deduction Codes.

- Have your benefits administrator enroll stock purchase plan participants.

For more information about enrolling participants in benefit plans, see Enrolling Participants

- If you use PeopleSoft Payroll for North America, have your payroll administrator set up payroll for processing stock purchase contributions by setting up deductions.

For more information about setting up payroll for processing stock purchase contributions see Defining Deductions.

Running the Update Participants Process

The Update Participants process (ESPP_PARTIC) enrolls participants into a stock offering and purchase period, and assigns a grant date. The system looks at the Benefit Plan and Participant Enrollment Rule defined on the Stock Purchase Plan Rules - General page to determine appropriate participants. If the enrollment rule is:

- 'O' for "Next Offering", the system finds the first offering which has not begun where the offering begin date is greater than or equal to the coverage begin date of the participant from the savings plan table.
- 'P' for "Next Purchase Period", the system finds the next purchase period which has not begun, regardless of the offering period, where the purchase begin date is greater then or equal to the coverage begin date.
- 'C' for "Enroll in Current", the system finds the first available grant date greater than or equal to the coverage begin date.
- 'User defined' the system skips all processes. You need to manually enter, import the participants or modify this program.

For anyone who does not have a participation record, the system checks the employee' status at the time of processing. If the participant has terminated or has elected to withdraw (waive) from the plan, it removes them from the current enrollment.

To run the Update Participants process, complete the following steps:

1. Set up stock purchase plan rules using the Stock Purchase Plan Rules - General Setup Page.

   The system looks at the **Benefit Plan Type, Benefit Plan,** and **Participant Enrollment** fields.

2. Have the benefits administrator enroll participants.
3. Set up the purchase ID using the Stock Purchase - General Setup Page and the offering ID using the Offering/Purchase Periods - Offering Period Setup Page.
4. Run the Update Participants process using the Purchase Stock Process Page.

   Select the Update Participants Purchase Process flag.

5. View enrollment records and make manual adjustments, if needed using the Purchase Participation Page.

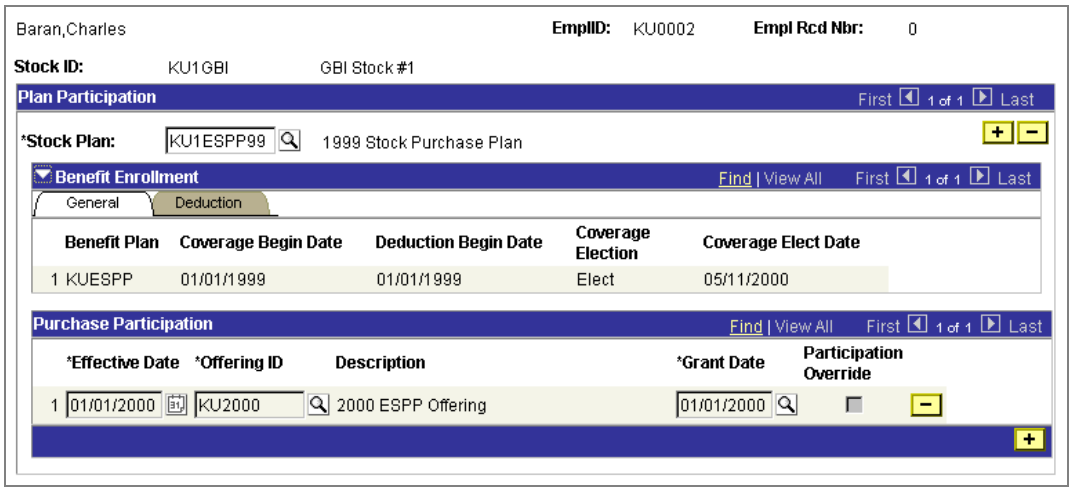
Adjusting Enrollment Records

Once you've enrolled your employees in savings plans and executed the Update Participants process, you can view your participant's enrollment records and make adjustments using the Purchase Participation page. If necessary, you can manually enter participants.

For more information about executing the Update Participants process, see Running the Update Participants Process.

Purchase Participation Page

Usage	Use the Purchase Participation page to view enrollment records. You can manually enter participant information here.
Object Name	ST_ESPP_PARTIC
Navigation	**Compensate Employees, Administer Stock Purchases, Use, Purchase Participation, ESPP Participation**
Prerequisites	You must first run the Update Participants process using the Purchase Stock process page.
Access Requirements	Select an EmplID, stock ID, and stock plan.



Purchase Participation: General page

The following fields are common to multiple pages and are defined in the preface of this PeopleBook in PeopleBooks Standard Page Element Definitions: **EmplID, Empl Rcd Nbr, Effective Date,** and **Description.**

The system displays the employee's name.

Note. Multiple views of this page are available by clicking the tabs in the scroll area. We document fields common to all views first.

Common Page Information

Stock ID The system displays the stock ID.

Stock Plan The system displays the stock plan.

Offering ID Select an offering ID from available choices.

Grant Date Select a grant date from available choices.

Participation Override The system selects **Participant Override** when you make an online entry or change to participation. The system clears the check box when the stock purchase participation is populated using the Update Participants process.

Benefit Plan The system displays the participant's benefit plan.

Coverage Begin Date The system displays the date that the participant's coverage begins.

General Tab

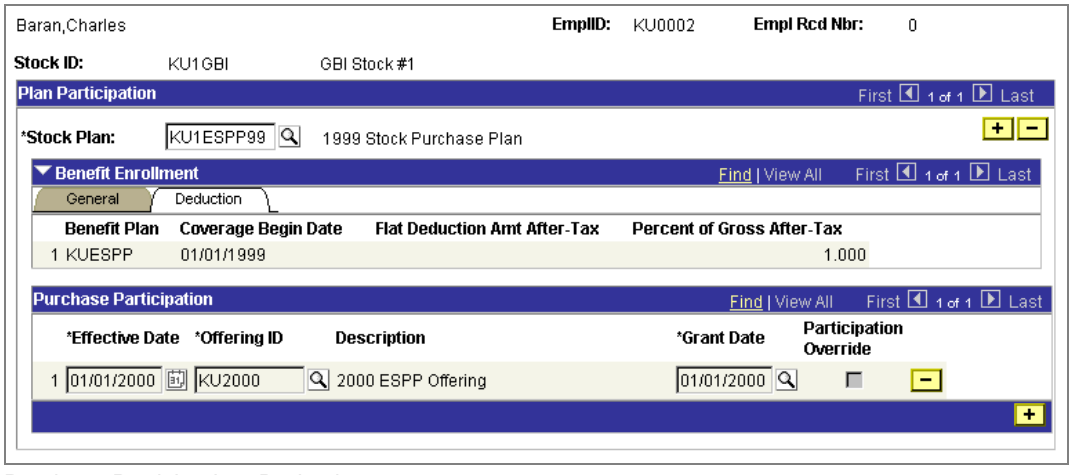
See the exhibit above for a view of this tab.

Deduction Begin Date The system displays the date that the deductions begin for the participant.

Coverage Election The system displays the participant's coverage election.

Coverage Elect Date The system displays the date of the coverage election.

Deduction Tab



Purchase Participation: Deduction page

Flat Deduction Amt After-Tax	If the participant selected the deduction method of Flat Deduction Amount After-Tax, the system displays the amount.
Percent of Gross After-Tax	If the participant selected the deduction method of Percent of Gross After-Tax, the system displays the percent.

CHAPTER 17

Administering Participant Contributions

One of the more routine administrative tasks you face is gathering your participants' contributions. You may have contributions from different sources collected at different times during the purchase period, manual adjustments to the contributions, and contributions left over from a previous purchase. PeopleSoft Stock Administration enables to you process and adjust these contributions with ease.

Before You Begin

Before you administer your employee contributions you should do the following:

- Set up your stock purchase plans using the Stock Purchase Plan Rules - General Setup Page.
- Set up the offering ID using the Offering/Purchase Periods - Offering Period Setup Page.
- Set up the purchase ID using the Stock Purchase - General Setup Page.
- Run the Update Participants process using the Purchase Stock Process Page.

For more information about PeopleSoft Stock Administration's integration with other PeopleSoft Human Resource Management applications see Integrating With Other PeopleSoft HRMS Applications.

Running the Gather Contributions Process

The Gather Contributions process (ESPP_CONTRIB) gathers all contributions for participants based on how you set up your stock purchase plan and the deductions taken during the purchase period. The system also looks at how you set up your process groups within a purchase ID. The Gather Contributions process obtains contributions from three sources:

- PeopleSoft Payroll for North America (USA and Canadian employees).
- Manual contributions (adjustments and foreign contributions).
- Residual contributions (unused contributions carried forward from previous stock purchase periods)

You can select to have contributions gathered from PeopleSoft Payroll for North America, manual, or both. Residual contributions are always gathered in the process. Contributions outside of PeopleSoft Payroll for North America need to be manual entered for the process to gather the contributions.

The system stores the different types of contributions in the tables and changes the status in the following ways:

- PeopleSoft Payroll for North America contributions are flagged in payroll as “Gathered” so as not to gather them again.
- Manual contributions are changed to “Processed” from “New”.
- Residual contributions are changed to “Processed Residual” from “New Residual”.

PeopleSoft Payroll for North America

PeopleSoft Payroll for North America groups employees by company and pay group for reporting, accounting, and other payroll objectives. The system defines the company and pay group for each employee’s job on the effective-dated job record. The company definition ranges from simple to fairly complex. PeopleSoft Payroll for North America defines pay groups within companies and uses the division for payroll processing. You define the pay groups that typically fall into one or more of the following criteria:

- The frequency of pay.
- The currency in which they are paid.
- The country or location in which they are paid.
- The employee type (hourly, exception hourly, salaried, etc.).

In PeopleSoft Payroll for North America, employees are paid according to a pay calendar. The pay calendar defines the company, pay group, pay period begin and end dates, and check date.

If you selected to gather contributions based on check date or pay period, it gathers only the appropriate contributions. If you selected “Check Date” it gathers contributions on check dates that fall between the purchase period begin and end dates. If you selected “Pay Period End Date” the process gathers contributions for pay period end dates that fall within the purchase period begin and end dates. Within the purchase ID set up you can include or exclude specific pages or page ranges from the gather contributions process. You should work with your payroll administrator to determine the best setup for your process.

PeopleSoft Payroll for North America stores deduction data on the PAY_DEDUCTION table by pay calendar/pay period. It contains all deductions for an employee by company, pay group, benefit plan, and benefit plan type. The unique combination of benefit plan type and benefit plan defined for each stock purchase plan controls the deduction gathering process.

Once a payroll is processed and the pay calendar is confirmed, the Gather Contributions process collects the payroll deduction data for employees. The Gather Contributions process collects deductions that match the benefit plan type and benefit plan defined for a participant. Once it processes a deduction for a participant, it sets a flag (ESPP_PROCESS_FLAG) on the PAY_DEDUCTION table. This flag prevents the Gather Contributions process from processing a

deduction multiple times. You specify the parameters that control the Gather Contributions process for PeopleSoft Payroll for North America on the Purchase table.

Manual Contributions

Contributions not gathered by PeopleSoft Payroll for North America are processed as manual contributions. Using the Manual Contributions page you may adjust a participant's contribution or you may manually enter the contributions of your employees not administered through PeopleSoft Payroll for North America. Alternatively, if you don't use PeopleSoft Payroll for North America, you may decide to import all your contribution data through an import process.

Residual Contributions

Residual contributions are contributions left over (unused) from a previous purchase. The Gather Contributions process collects residual contributions with a residual type of *C* (carry forward) from the Residual Contributions table (ST_CONTRIB_RSDL). Once the residual contributions are processed, the contribution status is updated from *N* (new) to *P* (processed). The residual contribution's stock ID, stock plan type, stock plan, and process group must match those of the current offering for the residual contributions to be carried forward into the current offering.

Negative Contributions

The process doesn't gather negative contributions, other than reversals. These contributions are ignored and the system generates a warning message.

The steps you take to run the Gather Contributions process are the following:

To Gather Contributions:

1. Working with you Payroll Administrator, make sure the payroll is executed and the pay calendar is confirmed.

   Payroll must be run in order to make sure the payroll check and deduction data is available for the Gather Contributions processing.

2. Enter manual contributions or view the results of a data import using the Manual Contributions Page.

3. Run the Gather Contributions process using the Purchase Stock Process Page.

   Select the Gather Contributions Purchase process flag.

4. If you want to hold a purchase for an individual, select a hold reason on the Participant Contributions Page.

5. View participant contributions and make manual adjustments, if needed, using the Participant Contributions Page and the Residual Contributions Inquiry Page.

Viewing Participant Contributions

After you've run the Gather Contributions process, you can view the processing results and, if necessary, make manual adjustments. Using the Participant Contributions page, you can check the details of a participant's contributions and place a hold on the purchase if you don't want to process the purchase because, for example, the participant is terminated or on leave. You can check contributions left over from a purchase on the Residual Contributions inquiry page and see if they are carried forward to the next purchase or refunded to the participant.

Participant Contributions Page

Usage	Use the Participant Contributions page to make adjustments to participants' contributions.
Object Name	ST_CONTRIB_PARTIC
Navigation	**Compensate Employees, Administer Stock Purchases, Use, Participant Contributions, Participant Contributions**
Prerequisites	You must first run the Gather Contributions process.
Access Requirements	Select an employee ID, stock ID, stock plan, offering ID, and period end date.

Participant Contributions: Contributions page

Note. Multiple views of this page are available by selecting the tabs in the scroll area. We document fields common to all views first.

The following fields are common to multiple pages and are defined in the preface of this PeopleBook in PeopleBooks Standard Page Element Definitions: **Company.**

The system displays the employee's name.

Common Page Information

ID Click the ID number to access the Employee Information Page where you can view employee information.

Stock ID The system displays the stock ID.

Stock Plan The system displays the stock plan.

Offering ID The system displays the offering ID.

Period End Date The system displays the period end date.

Process Group The system displays the process group.

Hold Purchase If you have not confirmed the purchase, this field is available. If you want to hold this individual's purchase, select a hold reason from available choices. If you don't want to hold the purchase, leave the default value of ***None.*** The Gather Contributions process automatically generates a Hold Purchase flag for Terminated employees and participants identified as major shareholders on the Insider page.

Note. If you select a hold reason for a participant and have already run the purchase process but not confirmed the purchase, the purchase is invalidated and must be recalculated. The system issues a warning message. If you accept it, the system removes the participant's calculated purchase records.

Purchase Process Flags If you've run the Gather Contributions, Convert Currencies, Purchase Stock, or Confirm Purchase processes, the system selects the appropriate check box.

Contributions Tab

See the exhibit above for a view of this tab

Gather Date The system displays the date the contributions were gathered.

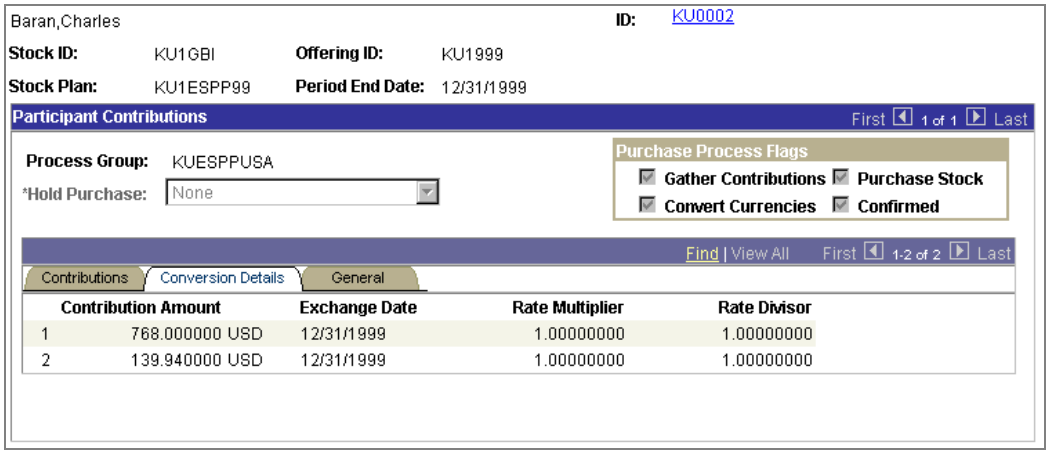
Contribution Source The system displays the source of the contribution. Valid values are ***PeopleSoft Payroll for North America, Manual, Carry Forward,*** or ***Residual Contribution.***

Stock Contribution Amount The system displays the contribution amount converted to the stock currency.

Status The system displays the processing status. Valid values are ***Processed, Refunded, New,*** and ***Other.***

Status Date The system displays the date of the process status.

Conversion Details Tab



Participant Contributions: Conversion Details page

The system calculates the contribution amount by multiplying the contribution amount by the rate multiplier then dividing by the rate divisor for the market rate index, rate type, and exchange date specified.

Contribution Amount The system displays the amount contributed by the participant.

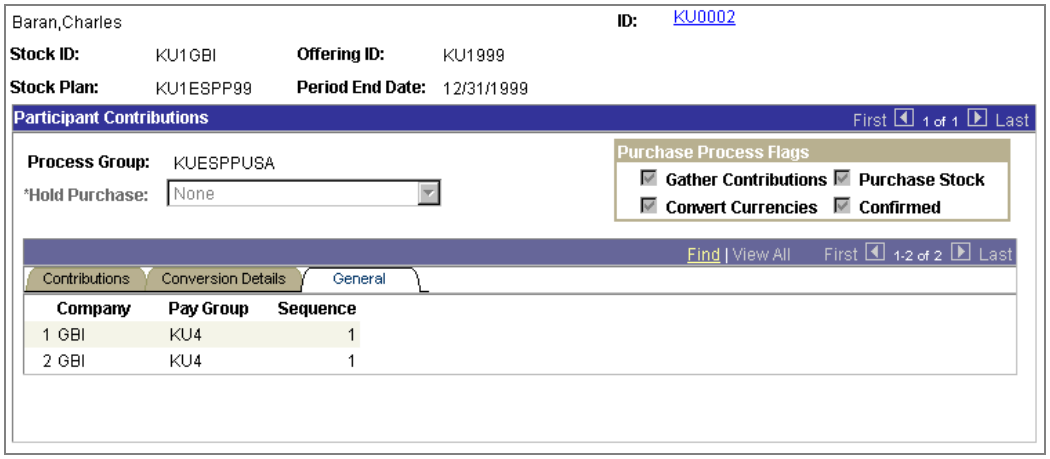
Exchange Date The system displays the currency exchange date.

Rate Multiplier The system displays the rate multiplier used.

Rate Divisor The system displays the rate divisor used.

For more information about the rate multiplier and the rate divisor see Working with Currencies.

General Tab



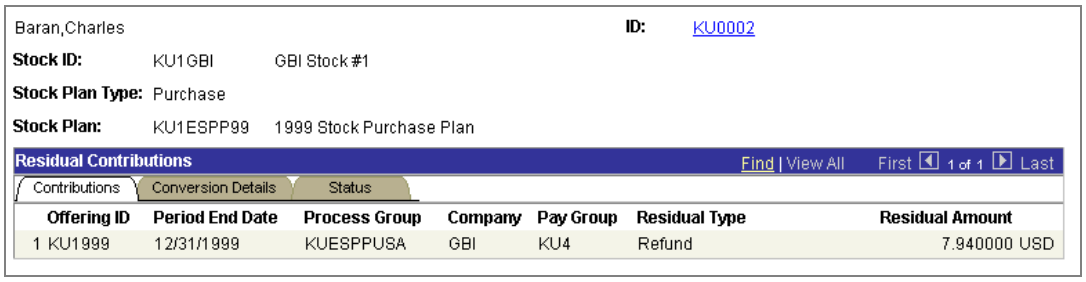
Participant Contributions: General page

Pay Group The system displays the pay group.

Sequence The system displays the sequence number for the purchase. If you have multiple transactions in a single day, the system generates a sequence number for the transactions.

Residual Contributions Inquiry Page

Usage	Use the Residual Contributions inquiry page to view participants' contributions that are left over from a previous purchase.
Object Name	ST_CONTRIB_RSDL
Navigation	**Compensate Employees, Administer Stock Purchases, Inquire, Residual Contributions, Residual Contributions**
Prerequisites	You must first run and confirm a purchase that results in residual contributions for a participant.
Access Requirements	Select an employee ID, stock ID, and stock plan.



Residual Contributions: Contributions page

Note. Multiple views of this page are available by clicking the tabs in the scroll area. We document fields common to all views first.

The following fields are common to multiple pages and are defined in the preface of this PeopleBook in PeopleBooks Standard Page Element Definitions: **Company.**

The system displays the employee's name.

Common Page Information

ID Click the **ID** number to access the Employee Information Page where you can view employee information.

Stock ID The system displays the stock ID.

Stock Plan Type The system displays the stock plan type.

Stock Plan The system displays the stock plan.

Contributions Tab

See the exhibit above for a view of this tab.

Offering ID The system displays the offering ID.

Period End Date The system displays the period end date.

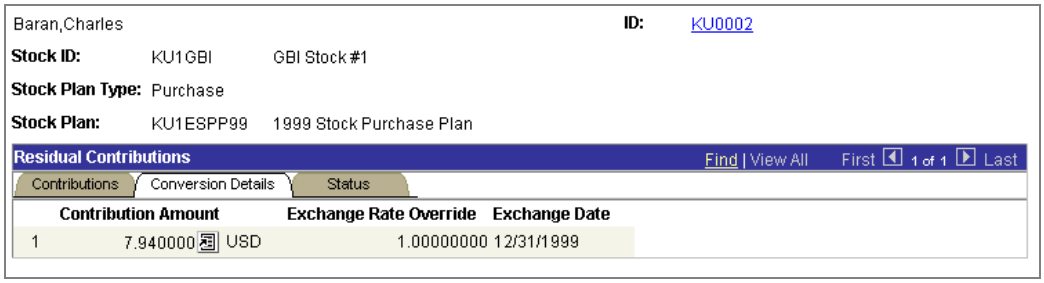
Process Group The system displays the Process Group.

Pay Group The system displays the pay group.

Residual Type The system displays Carry Forward or Refund.

Residual Amount The system displays the amount of the residual contribution.

Currency Conversion Tab



Residual Contributions: Currency Conversion page

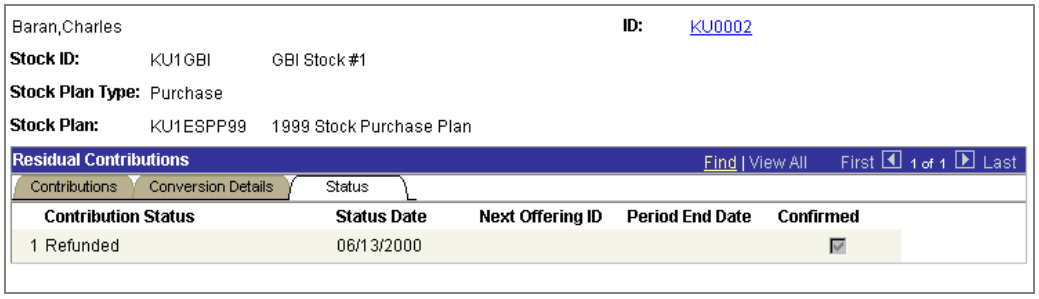
Contribution Amount The system displays the amount contributed in the original purchase.

Click the **Currency Conversation** button to access the Display In Other Currency Page where you can change the currency.

Exchange Rate Override The system displays the exchange rate when the currency was converted.

Exchange Date The system displays the date the currency was converted.

Status Tab



Residual Contributions: Status page

Contribution Status The system displays the contribution status. Once the residual contributions are process through the Gather Contributions process the status is updated from ***New Contribution*** to ***Process Contributions***. Once the system processes a contribution it cannot be edited or deleted.

Status Date The system displays the date of the last processing.

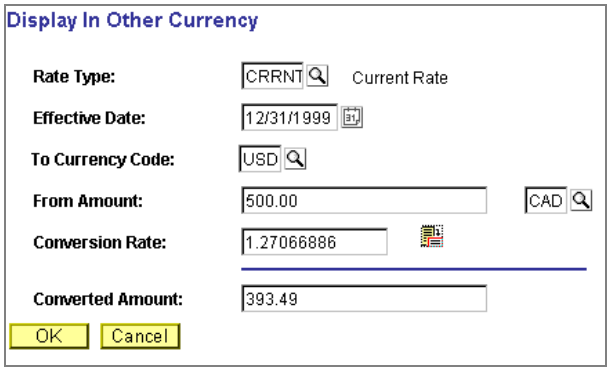
Next Offering ID The system displays the next offering ID, if any.

Period End Date The system displays the period end date of the next offering.

Confirmed If the process is confirmed, the system selects the check box.

Display In Other Currency Page

Usage	Use the Display In Other Currency page to change the currency amount to a different currency amount.
Object Name	CURRENCY_OTHER
Navigation	Click the Currency Conversions button on the Residual Contributions: Currency Conversion Tab page or the Manual Contributions: Contributions 1 Tab page.



Display In Other Currency page

The following elements are common to multiple pages in this application and are defined in the preface of this PeopleBook in PeopleBooks Standard Page Element Definitions: **Effective Date.**

Rate Type Select a Rate Type from available choices.

To Currency Code Select a currency code you want to change the amount to from available choices.

From Amount Enter the amount and select a currency code you want to change the amount from.

Conversion Rate Click the Exchange Rate Detail button to calculate and display the exchange rate.

Converted Amount The system displays the amount in the changed currency rate.

Processing Manual Contributions

If you don't use PeopleSoft Payroll for North America you'll have to enter your contribution data either manually or through an import process you create. Any contribution not processed through PeopleSoft Payroll for North America is considered a manual contribution. The manually entered contributions are gathered to be used in a purchase during the Gather Contributions process.

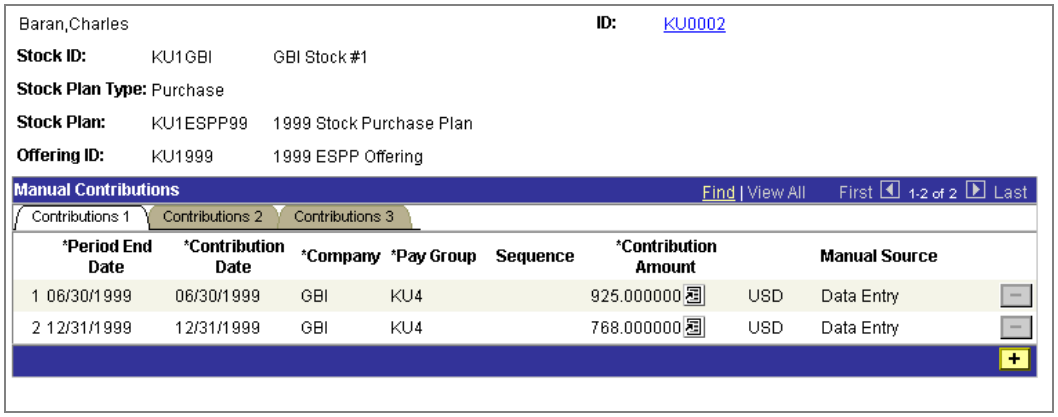
If you import your contributions you can use the Import Number and Import Date fields to reconcile the imported contributions as well as correct errors which arise during import. If you import your contributions you should follow these guidelines when importing your data into the manual contributions table:

Field Name	*Type*	*Notes*
Emplid (Required)	Char(11)	The employee ID to be processed.
Stock_ID (Required)	Char(10)	The stock identifier from stock_tbl.
Stock_Plan_Type	Char(1)	'E'
Stock_Plan	Char(10)	The stock plan identifier from stock_plan_tbl
Offering_ID	Char(10)	The offering identifier for the offering period in which the contributions should be processed.
Period_End_Dt	Date	The purchase period end date.
Company	Char(3)	The company from where the deduction came.
PayGroup	Char(3)	The pay group or pay center from where the deduction came.
ESPP_Contrib_Dt	Date	The date of the contribution.
SeqNum	Nbr (3)	Increment contributions for the same date and employee by 1.
ESPP_Contrib_Amt	Nbr (12.6)	The amount of unconverted contributions.
From_Cur	Char(3)	The currency code (from currency_cd_tbl) of the contributions.
ESPP_Contrib_Sts	Char(1)	'N' for New.
ESPP_Manual_Source	Char(1)	'I' for Import.

ESPP_Refund_Sts	Char(1)	'U' for Unprocessed.
Status_Dt	Date	The date of the contribution.
Last_Updt_Oprid	Char(8)	BATCH.
Last_Updt_Dttm	DateTime	Current DateTime.
ST_Import_Nbr	Nbr (3)	Uniquely assigned number to distinguish batches of contributions.
ST_Import_Dt	Date	Today's date.

Manual Contributions Page

Usage	Use the Manual Contributions page to enter participants' contributions that are not automatically provided through PeopleSoft Payroll for North America.
Object Name	ST_CONTRIB_MANUAL
Navigation	**Compensate Employees, Administer Stock Purchases, Use, Manual Contributions, Contributions**
Prerequisites	You must first enroll participants.
Access Requirements	Select an employee ID, stock ID, stock plan type, and offering ID.



Manual Contributions: Contributions page

Note. Multiple views of this page are available by selecting the tabs in the scroll area. We document fields common to all views first.

The following fields are common to multiple pages and are defined in the preface of this PeopleBook in PeopleBooks Standard Page Element Definitions: **Company** and **Description.**

The system displays the employee's name.

Common Page Information

ID Click the ID number to access the Employee Information Page where you can view employee information.

Stock ID The system displays the stock ID.

Stock Plan Type The system displays the stock plan type of stock purchase.

Stock Plan The system displays the stock plan.

Offering ID The system displays the offering ID.

Period End Date Select a period end date from available choices.

Contribution Date Enter the contribution date. The current system date is the default value.

Contributions 1 Tab

See the exhibit above for a view of this tab

Pay Group Select a pay group from available choices.

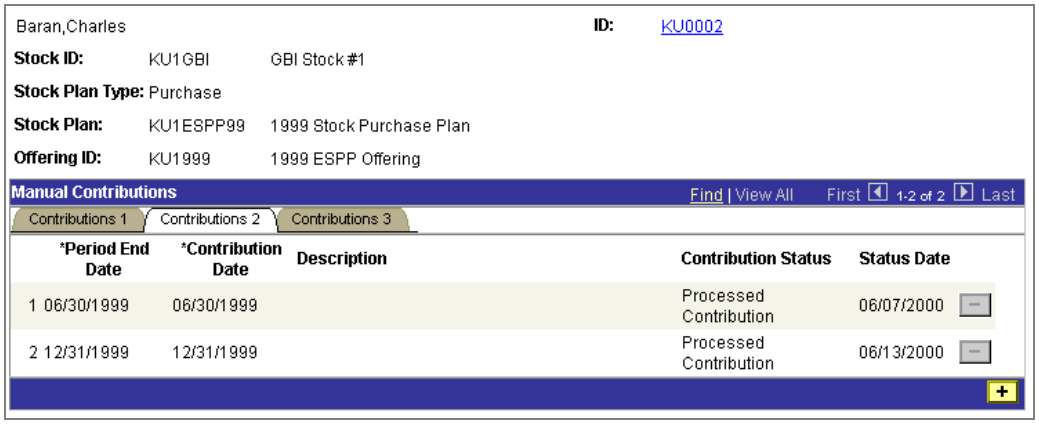
Sequence Enter a sequence number if you are entering multiple contributions for the same date.

Contribution Amount

Enter the amount contributed in the original currency. If you want to change it to a different currency click the Currency Conversation button to access the Display In Other Currency Page where you can change the currency.

Manual Source If you entered the data online using the Manual Contributions page, the system displays ***Data Entry.*** If you imported your data, the system displays ***Import.***

Contributions 2 Tab

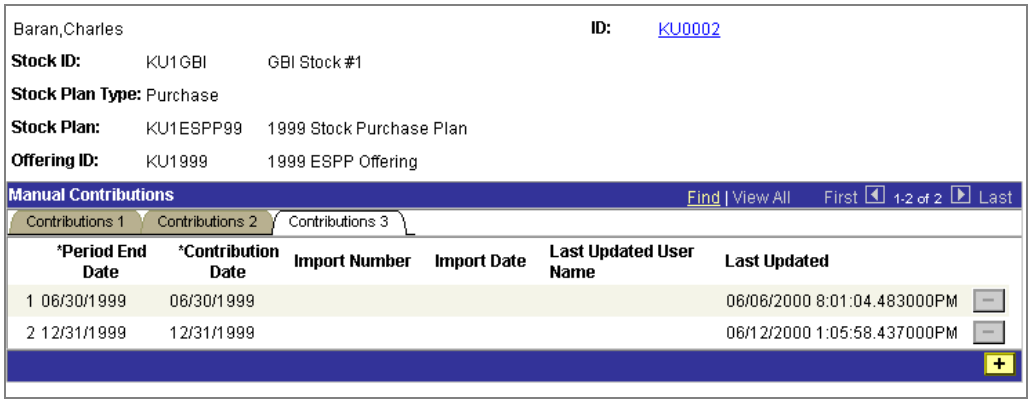


Manual Contributions: Contributions 2 page

Contribution Status The system displays the contribution status. Once the manual contributions are process through the Gather Contributions process, the status is updated from ***New Contribution*** to ***Process Contributions.*** Once the system processes a contribution, it cannot be edited or deleted.

Status Date The system displays the date of the last processing.

Contributions 3 Tab



Manual Contributions: Contributions 3 page

Import Number If the contribution was made using an import process the system displays the import number.

Import Date If the contribution was made using an import process, the system displays the import date.

Last Updated User Name	The system displays the name of the last person who created a change for this record.
Last Updated	The system displays the date and time of the last modification for this record.

CHAPTER 18

Administering Purchases

The stock purchase process is a multi-step process. The steps are broken out into separate processes so you may control when and how the purchase is processed. Once you are satisfied with the results, you confirm the purchase.

Before You Begin

Before you administer participant purchases you should do the following:

- Make sure your system administrator set up the currency related General Option tables. Specific steps the system administrator should take are the following:
  - Define the market rate index.
  - Define the rate type.
  - Define the exchange rates.
  - Define the rate definitions.
- Run the Update Participants and Gather Contributions processes using the Purchase Stock Process Page.

For more information about these currency related general options, see Working with Currencies.

Overview of Purchases

The stock purchase process consists of several separate steps. They need to be performed in the following order:

1. Update participants.
2. Gather contributions.
3. Convert currencies.
4. Calculate prices.

5. Purchase stock.

You can run the Calculate Prices process at any time but you must execute it before you run the Purchase Stock process. Once you are satisfied with the results of the purchase, you run a separate process, the Confirm Purchase process, to complete the stock purchase. If you want to correct errors in a confirmed run you must run the UnConfirm Purchase process, make your corrections, then run the Confirm Purchase process again.

Running the Convert Currencies Process

If your company administers its plan globally, some of your participants may make contributions in a foreign currency. Before you run the Purchase Stock process you must convert the foreign contributions into the stock currency.

PeopleSoft Stock Administration relies on several PeopleSoft Human Resources Management general option tables in the currency conversion process. Your system administrator defines these tables based on your company's business rules and enterprise-wide requirements. You need to work with your system administrator to understand the parameters defined for your company and to make sure they are adequate for your stock purchase plans.

For more information about the general option tables, see Working with Currencies.

The exchange rate for each currency to the stock currency is the key component of the Convert Currencies process. You define the exchange rate used in the process on the Stock Purchase - Currency page. For each currency combination, the calculated market rate (based on the market rate index, rate type, and exchange date) as well as an actual exchange rate used in the process appears, providing an audit trail of the conversion process.

The Convert Currency process (ESPP_CONVERT) uses the currency conversion index and rate types you set up for the plan. The process finds all the currency codes loaded in your contribution table that need to be converted. Based on the exchange currency set up at on the trading exchange, the system multiplies the contribution amount by the multiplier factor set up in the currency exchange index. You see both the original contribution currency amount as well as the converted stock currency.

The Convert Currency process occurs in three stages.

Refresh Process

The first stage is a refresh process that compares, then refreshes, the existing rows of data for currency conversion to the most current data. The process identifies all of the valid From and To currency combinations for the specified offering and purchase period end date. If it finds any new combinations, it inserts the new combinations into the currency table for the purchase definition. If there are any updates that change the data in the currency table, such as a rate change, then the system updates the existing data to reflect the most current market rate data. Since you can override the actual exchange rate, this field is updated only if the previous market rate and previous actual exchange rate are identical. If the rates differ, you get a warning message to review and verify the exchange rate data prior to the execution of the Purchase Stock process.

You can run the refresh process by either of two methods:

- Click the Refresh button on the Stock Purchase - Currency Conversion page. This enables you to view the most up to date information for the Convert Currencies process. Once you click the Refresh button, a batch process refreshes the data on the page.
- Select the Convert Currency Purchase process flag on the Purchase Stock process page. This process runs each time the Convert Currencies process executes.

Conversion Process

The second stage of the conversion process is converting the contributions. This process runs each time the Convert Currencies process executes. The system calculates the stock contribution amount by multiplying the contribution amount by the rate multiplier and then dividing by the rate divisor for the market rate index, rate type, and exchange date specified.

Rounding of Converted Contributions

The third stage of the conversion process is rounding the converted contributions to the number of decimal places specified for the currency code. You specify the number of decimal places on the Currency Code table. For example, Canadian dollars have two decimal places ($5.00 CAD) whereas Italian lira has zero decimal places (L. 500).

The steps you take to run the Convert Currencies process are the following:

To convert currencies:

1. Run the Convert Contributions process.

   You can run the Convert Contributions process two ways. Either click the Refresh button on the Stock Purchase - Currency Setup Page or select the Convert Currency Purchase process flag on the Purchase Stock Process Page.

2. View participant contributions and make manual adjustments, if needed, using the Participant Contributions Page and the Residual Contributions Inquiry Page.

Running the Calculate Prices Process

You can run the Calculate Prices process (ESPP_PRICE) at any time. It doesn't have to be the fourth in the process, but you have to execute the Calculate Prices process before you run the Purchase Stock process.

When the Calculate Prices process runs it calculates the Grant FMV, Purchase FMV, Purchase Price before Discount and Purchase Price based on the rules defined for the plan. The process also does various error checking such as verifying that the trading days and holidays in the Stock Daily Price and Holiday Schedule tables are in sync, and other setup features are logical before it proceeds.

Grant dates determine the beginning price for a participant's stock in an offering period. You define grant dates on the Offering/Purchase Periods - Grant Dates setup page. The price rounding

rules, as well as the number of decimals, are defined on the Stock Purchase Plan Rules - Purchase setup page.

The purchase period defines the length of time in which participants make contributions towards the stock purchase. The system maintains five types of prices for each grant date within a purchase period:

- Grant FMV: The fair market value of the stock on the grant date.
- Purchase FMV: The fair market value of the stock as of the purchase period end date.
- Calculated Price before discount: The system calculated purchase price, before discount, based on the purchase price method defined at the stock purchase plan level.
- Calculated purchase price after discount: The system calculated purchase price based on the purchase price method and discount defined at the stock purchase plan level.
- Anti-dilution price: The anti-dilution price, if the purchase is an anti-dilution purchase.

You can view the current purchase prices using the Purchase Period Prices page and change the purchase price and anti-dilution price, if necessary.

You can calculate prices by either of two methods:

- Click the Calculate button on the Purchase Prices page. This enables you to view the most up to date information for the Calculate Prices process. Once you click the Calculate button, a batch process recalculates the prices for all grant dates within the purchase period.
- Select the Calculate Prices Purchase process flag on the Purchase Stock process page. This process runs each time the Calculate Prices process executes.

The steps you take to run the Calculate Prices process are the following:

To calculate prices:

1. Run the Calculate Prices process.

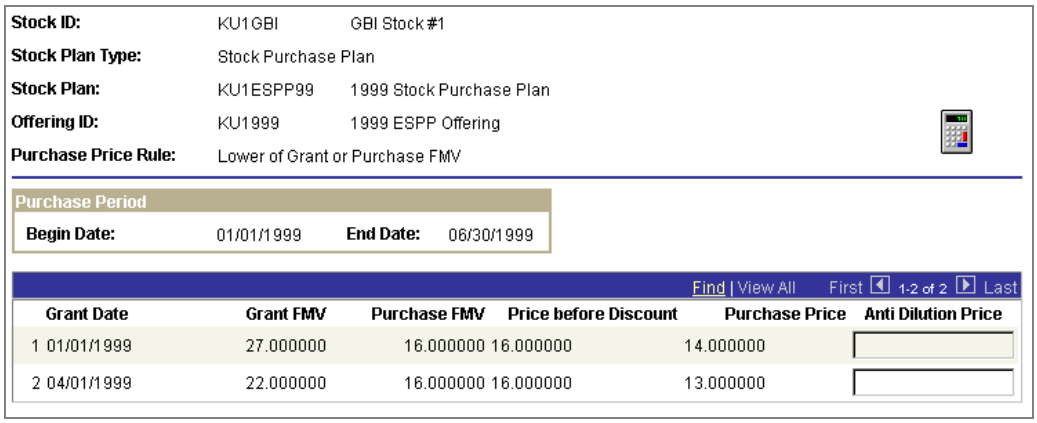
   You can run the Calculate Prices process two ways. Either click Calculate button on the Purchase Prices Page or select the Calculate Prices Purchase process flag on the Purchase Stock Process Page.

2. View purchase prices and make manual adjustments, if needed, using the Purchase Prices Page.

Purchase Prices Page

Usage	Use the Purchase Prices page to view and calculate the various prices associated with a stock purchase.

Object Name	ST_PURCHASE_PRC
Navigation	**Compensate Employees, Administer Stock Purchases, Use, Purchase Prices, Purchase Price**
Prerequisites	You must first define the plan rules on the ESPP Plan Rules component and enter daily prices for the purchase period on the Daily Prices Tracking page.
Access Requirements	Select a stock ID, stock plan, offering ID, and period end date.



Purchase Prices page

Stock ID The system displays the stock ID.

Stock Plan Type The system displays the stock plan type of stock purchase.

Stock Plan The system displays the stock plan.

Offering ID The system displays the offering ID.

Purchase Price Rule The system displays the purchase price rule.

(Calculate)

Click the **Calculate** button to run the Calculate Prices process. The system recalculates prices for all grant dates within the purchase period. The new calculate purchase price is the purchase price by default, unless you previously changed the purchase price.

Purchase Period Begin Date The system displays the period begin date.

Purchase Period End Date The system displays the period end date.

Grant Date The system displays the grant date.

Grant FMV	The system displays the FMV as of the grant date. The price is calculated based on the grant FMV method defined on the Stock Purchase Plan Rules - FMV Rules setup page.
Purchase FMV	The system displays the FMV as of the purchase period end date. The price is calculated based on the purchase FMV method defined on the Stock Purchase Plan Rules - FMV Rules setup page.
Price before Discount	The system displays the purchase price before any applicable discount is calculated.
Purchase Price	The system calculates and displays the purchase price calculated based on the purchase price method and discount defined on the Stock Purchase Plan Rules - Purchase setup page.
Anti Dilution Price	If this is an anti-dilution purchase, you can enter the anti-dilution price. Zero populates this field by default.

Running the Purchase Stock Process

The Purchase Stock process (ESPP_PURCHASE) is the final calculation in the stock purchase process. The purchase process calculates the number of shares which may be purchased by the participants identified in the Update Participants process for the contributions collected by the Gather Contributions process at the price identified by the Calculate Prices process for the grant date in the offering period. The purchase ID defines the purchase details. You define the purchase ID on the Stock Purchase component.

The stock purchase plan defines the rules for the purchase of stock in the stock purchase process. The rules that affect the number of shares that a participant can purchase and the contributions that can be used towards the purchase of stock are the purchase period limits, offering period limits, purchase grant value limits, and Residual Contribution rules. The purchase process derives the number of shares a participant may purchase based on the contributions gathered and the share, contribution, and value limits defined. If the process encounters a participant who will exceed a defined limit, it adjusts the contribution to allow the purchase to adhere to the limit defined. Contributions over the limit are set to residual contributions and are processed according to plan definition.

The purchase remains pending until you confirm the purchase. You can rerun the purchase process numerous times. Each time the process recalculates and captures any changes made by other processes such as calculate prices or gather contributions.

Employee issuance instructions define whether a certificate is issued or the stock is deposited with a brokerage firm. You record issuance instructions on the Issuance Instructions page.

Process Groups

The purchase process executes by process group in the order defined on the Stock Purchase - Process Groups setup page. You can process all groups, process by an individual group, or process by an individual participant. The order of the process groups is important in the purchase process when a participant spans multiple process groups. This usually occurs when a participant (employee) transfers from one organization to another, and therefore has multiple sets of contributions. Although the system supports this structure, the best practice is that you report the participant's contributions with the primary process group.

Why is this important? The order you run the process groups impacts a participant's limits. The first purchase you process absorbs the majority of the limits. Since the purchase process enables you to run preliminary calculations for both all groups and individual groups, there's a potential that the system may not calculate the limits properly unless you rerun all process groups that contain the same participant. In a subsequent processing, the system bases the calculations for a participant on the previous process group. If you recalculate the initial process group without recalculating other process groups that contain the same participant, then the calculations may be incorrect if the participant reaches a defined limit.

The system generates a message for all participants who have contributions in multiple process groups. You can select those participants who are in multiple process groups and process them separately by selecting the Run Method of Process by Participant.

Purchase Calculations

The Gather Contributions process identifies each participant's contributions that are available to the purchase process. The system performs several calculations for each participant that determines the number of shares a participant may purchase.

By process group and stock plan for the purchase period:

Calculation	***Method***
Total contributions	Sum of all the participant contributions from ST_CONTRIB_PART for the process group and stock offering / purchase period and plan
Shares purchased	Total contributions / (purchase price * pro-ration %) For an anti-dilution purchase this is total contributions / anti-dilution price
Purchase value	purchase price * shares purchased
Residual contributions	Total contributions - purchase value

Across all process groups and stock plans for the purchase period within the current purchase period:

Calculation	*Method*
Shares purchased	Sum of all shares purchased for the stock offering and plan which are outside of the current process group but within the stock offering / purchase period and plan
Grant value	shares purchased * grant FMV

Across all process groups and stock plan for the purchase period outside the current purchase period but within the same offering period:

Calculation	*Method*
Shares purchased	Sum of all shares purchased for the stock offering and plan which are within the current stock offering and plan but outside the purchase period + shares purchased (purchase period) (see above)
Grant value	Sum of (shares purchased for the stock offering and plan which are within the current stock offering and plan but outside the purchase period * individual grant FMVs) + sum (shares purchased (purchase period) * grant FMV)

Across all process groups for the same stock regardless of stock plan:

Calculation	*Method*
Grant value – calendar year	Sum (shares purchased for the stock * grant FMV) where the purchase period end date is between ‘01/01’ of the year of the purchase period end date and ‘12/31’ of the year of the purchase period end date
Grant value - years outstanding	Sum (shares purchased for the stock * grant FMV) where the purchase period end date is between ‘01/01’ of the year of the offering period begin date and ‘12/31’ of the year of the offering period end date

Order of Limits

Since you define multiple limits for a stock purchase plan, the order in which the system processes the limits is important. The limit processing order is:

1. Purchase period contribution limit.

2. Offering period contribution limit.

3. Purchase period participant share limit
4. Purchase period grant value limit.
5. Offering period participant share limit.
6. Offering period grant value limit.
7. Purchase value limit (IRS section 423).

As a participant reaches these limits the system recalculates the following based on the limit:

1. Contributions available to purchase stock.
2. Shares purchased.
3. Grant value.
4. Purchase value.
5. Residual contributions.

Processing Results

The system holds all contributions gathered for participants that you've selected with a Hold Purchase flag. These contributions are either carried forward or refunded depending on the stock purchase plan setup rules.

Once you've calculated the final shares for a process group, you can view each participant's final shares using the Participant Contributions page.

The participant issuance instructions determine whether the Purchase process issues a certificate or makes a deposit to a brokerage firm.

If no issuance instructions exist for a participant, then the default option is to issue a certificate. If a certificate is issued, the mailing address established for the employee is used. If no mailing address is established, then the home address is used.

Residual Contributions

The contributions left over from the purchase are called residual contributions. The residual contributions are either refunded to the participant or carried forward to a future purchase. Contributions are typically leftover due to rounding, fractional shares, participant limits, or a Hold Purchase flag.

The stock purchase plan rules define the handling of residual contributions in the Purchase process. The leftover residual contributions are converted back to the currency code of the process group. The exchange rate used is the reverse of the exchange rate used to convert from the source currency to the stock currency. The price is rounded according to the number of decimal places defined for the currency code. You can view a participant's residual contributions using the Residual Contributions inquiry page.

The steps you take to run the Purchase Stock process are the following:

To purchase stock:

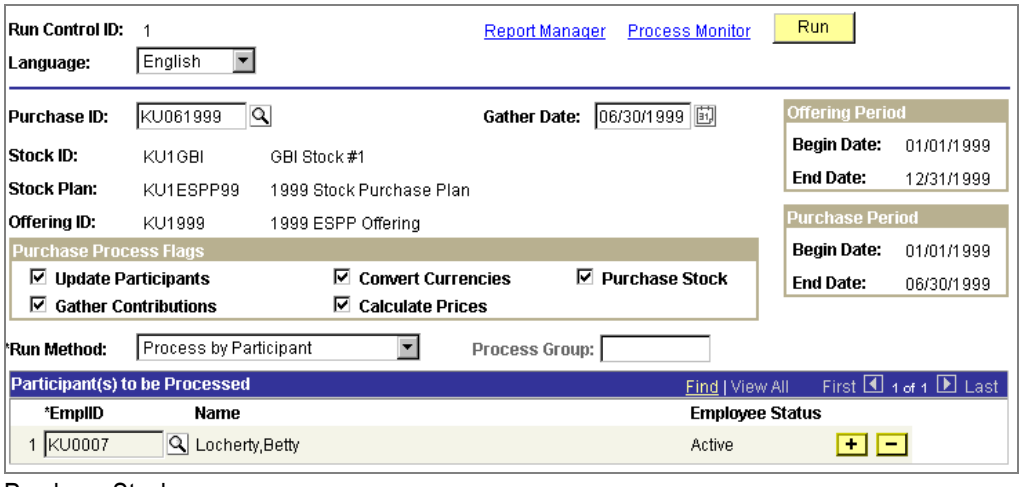
1. Run the Purchase Stock process using the Purchase Stock Process Page.

   You must first run the other purchase process before you run the Purchase Stock process.

2. View purchase results using the Participant Contributions Page and the Residual Contributions Inquiry Page.

Purchase Stock Process Page

Usage	Use the Purchase Stock process page to specify the purchase ID definition you want to use and the processes you want to execute.
Object Name	ST_RUNCTL_PURCH
Navigation	**Compensate Employees, Administer Stock Purchases, Process, Purchase Stock, Parameters 1**
Prerequisites	You must first define a purchase ID on the Stock Purchase component.
Access Requirements	Enter a run control ID.



Purchase Stock process page

The following fields are common to multiple pages and are defined in the preface of this PeopleBook in PeopleBooks Standard Page Element Definitions: **Run Control ID,** and **Language.**

Purchase ID Select a purchase ID.

Stock ID The system displays the stock ID associated with the purchase ID.

Stock Plan The system displays the stock plan associated with the purchase ID.

Offering ID The system displays the offering ID associated with the purchase ID.

Gather Date Enter the date the contributions were gathered.

Offering Period

Begin Date The system displays the offering period begin date associated with the purchase ID.

End Date The system displays the offering period end date associated with the purchase ID.

Purchase Period

Begin Date The system displays the purchase period end date associated with the purchase ID.

End Date The system displays the purchase period end date associated with the purchase ID.

Purchase Process Flags

Each of these processes can be run separately or in a combined sequence.

Update Participants Select **Update Participants** check box if you want to run the Update Participants process. This can be done at any time.

Gather Contributions Select **Gather Contributions** check box if you want to run the Gather Contributions process. If you have PeopleSoft Payroll for North America, you must run the payroll process first.

Convert Currencies Select **Convert Currencies** check box if you want to run the Convert Currencies process. This should be done after your gather contributions.

Calculate Prices Select **Calculate Prices** check box if you want to run the Calculate Prices process. This should be done after you gather contributions and convert currencies.

Purchase Stock Select **Purchase Stock** check box if you want to run the Purchase Stock process. You should have run all the other processes first.

Run Method Select a run method. If you select ***Process All,*** all process groups and individuals defined in the purchase ID are processed. If you select ***Process by Group,*** the **Process Group** field becomes available. The **Process Group** field is where you specify the individual process groups to process. If you select ***Process by Participant,*** the **Participant(s) to be Processed** grid appears. The **Participant(s) to be Processed** grid is where you specify the individual participants to process.

Process Group If you selected the run method of ***Process by Group,*** this field is available. Select the process group you want to process from the available choices.

Participant(s) to be Processed

If you selected a run method of ***Process by Participant,*** this grid becomes available.

EmplID Select the employee ID of the participant you want to process.

Name The system displays the participant's name

Employee Status The system displays the participant's employee status.

Report Manager Click to access the Report List page, where you can view report content, check the status of a report, and see content detail messages (which show you a description of the report and the distribution list).

Process Monitor Click to access the Process List page, where you can view the status of submitted process requests.

Run Click to access the Process Scheduler request page, where you can specify where a process or job runs and the process output format.

For more information about the Report List page, the Process List page, and Process Scheduler, see PeopleSoft Payroll PeopleBooks.

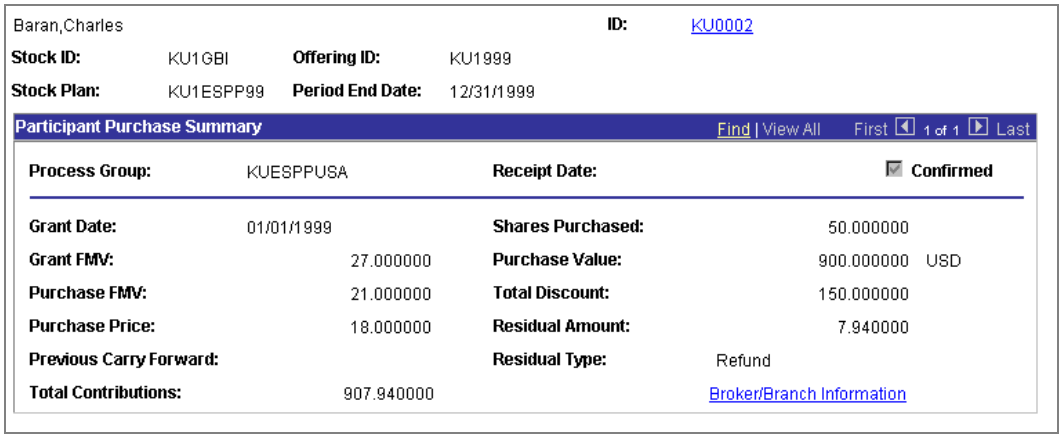
Viewing Stock Purchase Participant Summaries

Once you've executed the Purchase Stock process using the Purchase Stock process page and the system calculates the final shares, you can view the purchase results using the Participant Summary inquiry page.

For more information about executing the Purchase Stock process see Running the Purchase Stock Process.

Participant Summary Inquiry Page

Usage	Use the Participant Summary inquiry page to view the results of a participant's purchase once you've calculated the final shares.
Object Name	ST_PARTIC_PURCH
Navigation	**Compensate Employees, Administer Stock Purchases, Inquire, Participant Summary, Summary**
Prerequisites	You must first run the Purchase Stock process using the Purchase Stock process page.
Access Requirements	Select an employee ID, stock ID, stock plan, offering ID, and period end date.



Participant Summary inquiry page

The system displays the employee's name.

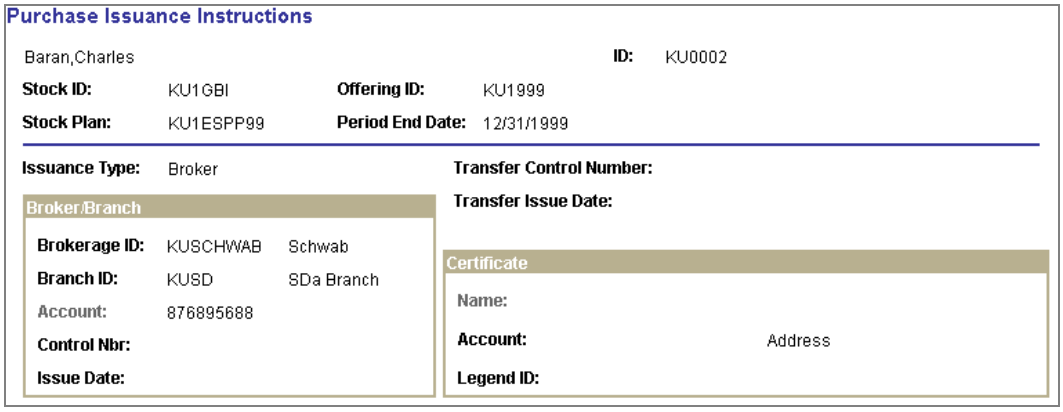
ID Click the ID number to access the Employee Information Page where you can view employee information.

Stock ID	The system displays the stock ID
Stock Plan	The system displays the stock plan.
Offering ID	The system displays the offering ID.
Period End Date	The system displays the offering period end date.
Process Group	The system displays the participant's process group.
Receipt Date	The system displays the receipt date.
Confirmed	If the purchase is confirmed, this check box is selected.
Grant Date	The system displays the grant date.
Grant FMV	The system displays the grant FMV.
Purchase FMV	The system displays the purchase FMV.
Purchase Price	The system displays the purchase price.
Previous Carry Forward	The system displays the amounts carried forward, if any.
Total Contributions	The system displays the total contribution.
Shares Purchased	The system displays the shares purchased.
Purchase Value	The system displays the purchase value. It is calculated by multiplying the number of shares purchased by the purchase FMV.
Total Discount	The system displays the purchase discount.
Residual Amount	The system displays the amount remaining after the purchase.
Residual Type	The system displays how the residual amount is handled. Valid values are ***Refund*** or ***Carry Forward.***
Broker/Branch Information	Click **Broker/Branch Information** to access the Purchase Issuance Instructions page where you can view the participant's issuance instructions.

Purchase Issuance Instructions page

Usage	Use the Purchase Issuance Instructions page to view a participant's issuance instructions.
Object Name	ST_PARTIC_PURCH2

Navigation	Click Broker/Branch Information on the Participant Purchase Summary inquiry page.



Purchase Issuance Instructions page

The following fields are common to multiple pages and are defined in the preface of this PeopleBook in PeopleBooks Standard Page Element Definitions: **ID** and **Name.**

The system displays the employee's name.

Stock ID The system displays the stock ID.

Stock Plan The system displays the stock plan.

Offering ID The system displays the offering ID.

Period End Date The system displays the offering period end date.

Issuance Type The system displays either ***Broker*** or ***Certificate.***

Transfer Control Number The system displays the control number generated when the Transfer Agent Instructions report has run.

Transfer Issue Date The system displays the date the transaction is sent to the transfer agent.

Broker/Branch

If the issuance type is ***Broker,*** the following fields display data:

Brokerage ID The system displays the brokerage ID.

Branch ID The system displays the branch ID.

Account The system displays the brokerage account number.

Control Nbr The system displays the control number generated at issuance

Issue Date The system displays the date of the issuance once the Broker Deposits report has run.

Certificate

If the issuance type is ***Certificate,*** the following fields display data:

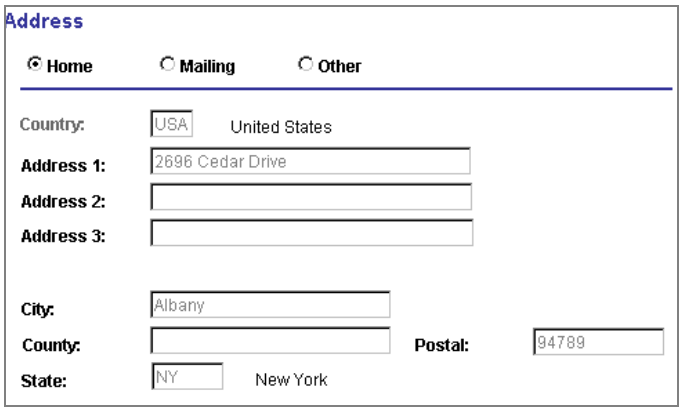
Account The system displays the account number.

Legend ID The system displays the legend ID.

Address Click **Address** to access the Address Page where you can view the address where the stock certificate should be mailed.

Address Page

Usage	Use the Address page to indicate the address where you should mail the stock certificate.
Object Name	ST_EMPL_PURCH_SEC
Navigation	Click **Address** on the Purchase Issuance Instructions page



Address page

The following fields are common to multiple pages and are defined in the preface of this PeopleBook in PeopleBooks Standard Page Element Definitions: **Country, Address 1, Address 2, Address 3, City, County, Postal,** and **State.**

The system displays the address information from the participant's issuance instructions. If there are no issuance instructions, the system displays the information from the participant's personal data.

Running the Confirm Purchase Process

You can do preliminary runs of all the stock purchase processes. Your purchase is preliminary until you execute the Confirm Purchase process (ESPP_CONFIRM). When you confirm a purchase for a process group, the system confirms all calculations for the purchase, including any carry forward or refund, and marks as *Processed* the contribution status of all gathered contributions in a purchase ID. It also changes the preliminary system status to *Confirm*. You can no longer process the purchase period and you cannot make future adjustments.

If your participants have residual amounts that are to be refunded through PeopleSoft Payroll for North America, the system creates a payroll transaction for each refund.

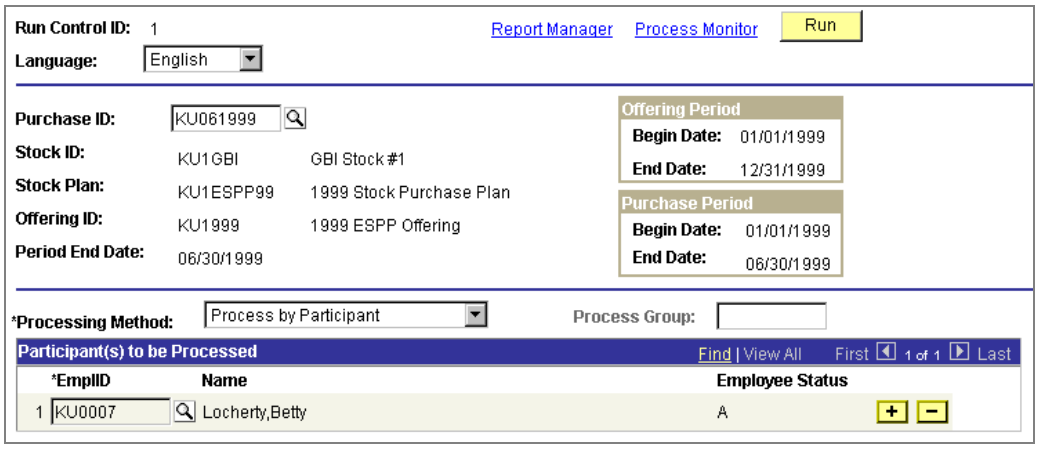
You can confirm the purchase for the following:

- All process groups for the purchase period.
- An individual process group for the purchase period.
- A individual participant for the purchase period.
- A group/list of participants for the purchase period.

The step you take to run the Confirm Purchase process is to run the Confirm Purchase process using the Confirm Purchase process page.

Confirm Purchase Process Page

Usage	User the Confirm Purchase process page to confirm a stock purchase.
Object Name	ST_RUNCTL_CNFRM
Navigation	**Compensate Employees, Administer Stock Purchases, Process, Confirm Purchase, Confirm Purchase**
Prerequisites	You must first run the Purchase Stock process.
Access Requirements	Enter a run control ID.



Confirm Purchase process page

The following fields are common to multiple pages and are defined in the preface of this PeopleBook in PeopleBooks Standard Page Element Definitions: **Run Control ID,** and **Language.**

Purchase ID Select a purchase ID.

Stock ID The system displays the stock ID associated with the purchase ID.

Stock Plan The system displays the stock plan associated with the purchase ID.

Offering ID The system displays the offering ID associated with the purchase ID.

Period End Date Enter a period end date.

Offering Period

Begin Date The system displays the offering period begin date associated with the purchase ID.

End Date The system displays the offering period end date associated with the purchase ID.

Purchase Period

Begin Date The system displays the purchase period end date associated with the purchase ID.

End Date The system displays the purchase period end date associated with the purchase ID.

Processing Method Select a processing method. If you select ***Process All,*** all process groups and individuals defined in the purchase ID are processed. If you select ***Process by Group,*** the **Process Group** field becomes available. The **Process Group** field is where you specify the individual process groups to process. If you select ***Process by Participant,*** the **Participant(s) to be Processed** grid appears. The **Participant(s) to be Processed** field is where you specify the individual participants to process.

Process Group If you selected the processing method of ***Process by Group,*** this field is available. Select the process groups you want to process from the available choices.

Participant(s) to be Processed

If you selected a processing method of ***Process by Participant,*** this grid becomes available.

EmplID Select the employee ID of the participant you want to process.

Name The system displays the participant's name

Employee Status The system displays the participant's employee status.

Report Manager Click to access the Report List page, where you can view report content, check the status of a report, and see content detail messages (which show you a description of the report and the distribution list).

Process Monitor Click to access the Process List page, where you can view the status of submitted process requests.

Run Click to access the Process Scheduler request page, where you can specify where a process or job runs and the process output format.

For more information about the Report List page, the Process List page, and the Process Scheduler, see PeopleSoft Payroll PeopleBooks.

Running the UnConfirm Purchase Process

Once a process group has been confirmed, you can't process it again. Occasionally you may notice errors you want to correct a confirmed run. You can use the UnConfirm Purchase process to unconfirm a process, correct errors, and subsequently confirm again. When you execute the UnConfirm Purchase process for a process group, all of the confirmations for the purchase including any carry forward or refund are unconfirmed.

The purchase may be unconfirmed for the following:

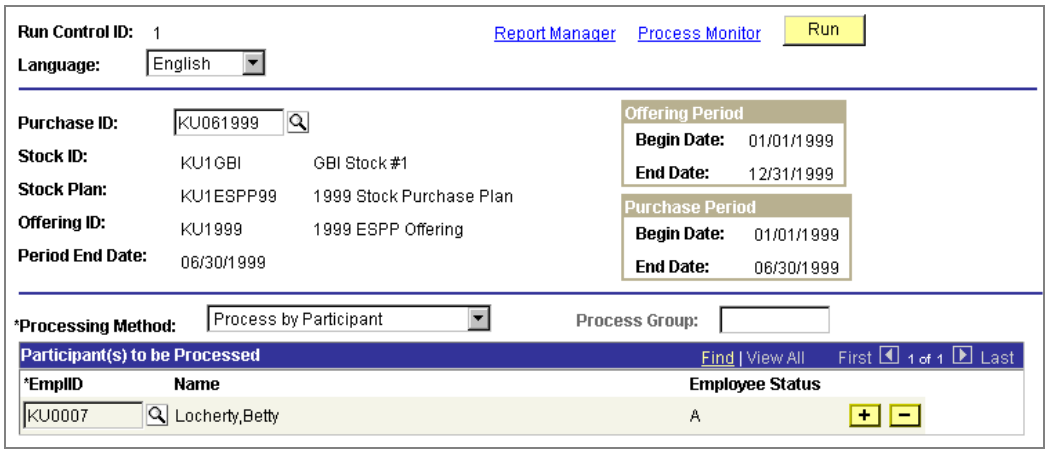
- All process groups for the purchase period.
- An individual process group for the purchase period.
- A individual participant for the purchase period.
- A group/list of participants for the purchase period.

If you unconfirm a refund that has been sent to PeopleSoft Payroll for North America, you have to do additional processing. If PeopleSoft Payroll for North America has not processed the transaction, it is removed from the payroll transaction table (PSHUP_TXN). If the system has processed the transaction, then the refund must manually be reversed. You process the reversal manually using the Payroll Reverse Refunds report. You cannot unconfirm a purchase from which there is a disposition.

The step you take to run the UnConfirm Purchase process is to run the UnConfirm Purchase process using the UnConfirm Purchase process page.

UnConfirm Purchase Process Page

Usage	Use the UnConfirm Purchase process page to undo the results of a previous confirmed processing so you can correct errors.
Object Name	ST_RUNCTL_UNCNFRM
Navigation	**Compensate Employees, Administer Stock Purchases, Process, UnConfirm Purchase, Parameters 1**
Prerequisites	You must have confirmed the purchase.
Access Requirements	Enter a run control ID.



UnConfirm Purchase process page

The following fields are common to multiple pages and are defined in the preface of this PeopleBook in PeopleBooks Standard Page Element Definitions: **Run Control ID,** and **Language.**

Purchase ID Select a purchase ID.

Stock ID The system displays the stock ID associated with the purchase ID.

Stock Plan The system displays the stock plan associated with the purchase ID.

Offering ID The system displays the offering ID associated with the purchase ID.

Period End Date Enter a period end date.

Offering Period

Begin Date The system displays the offering period begin date associated with the purchase ID.

End Date The system displays the offering period end date associated with the purchase ID.

Purchase Period

Begin Date The system displays the purchase period end date associated with the purchase ID.

End Date The system displays the purchase period end date associated with the purchase ID.

Processing Method Select a processing method. If you select ***Process All,*** all process groups and individuals defined in the purchase ID are processed. If you select ***Process by Group,*** the **Process Group** field becomes available. The **Process Group** field is where you specify the individual process groups to process. If you select ***Process by Participant,*** the **Participant(s) to be Processed** grid appears. The **Participant(s) to be Processed** field is where you specify the individual participants to process.

Process Group If you selected the processing method of ***Process by Group,*** this field is available. Select the process groups you want to process from the available choices.

Participant(s) to be Processed

If you selected a processing method of ***Process by Participant,*** this grid becomes available.

EmplID Select the employee ID of the participant you want to process.

Name The system displays the participant's name

Employee Status The system displays the participant's employee status.

Report Manager Click to access the Report List page, where you can view report content, check the status of a report, and see content detail messages (which show you a description of the report and the distribution list).

Process Monitor Click to access the Process List page, where you can view the status of submitted process requests.

Run Click to access the Process Scheduler request page, where you can specify where a process or job runs and the process output format.

For more information about the Report List page, the Process List page, and the Process Scheduler, see PeopleSoft Payroll PeopleBooks.

Viewing Purchase Results

Sometimes the system cannot finish a processing for a group or individual. After you've run a process you can view the resulting processing messages using the Stock Purchase Message Inquiry page. Several common processing messages are delivered with PeopleSoft Stock Administration and you can set up additional messages using the stock purchase Message Table setup page.

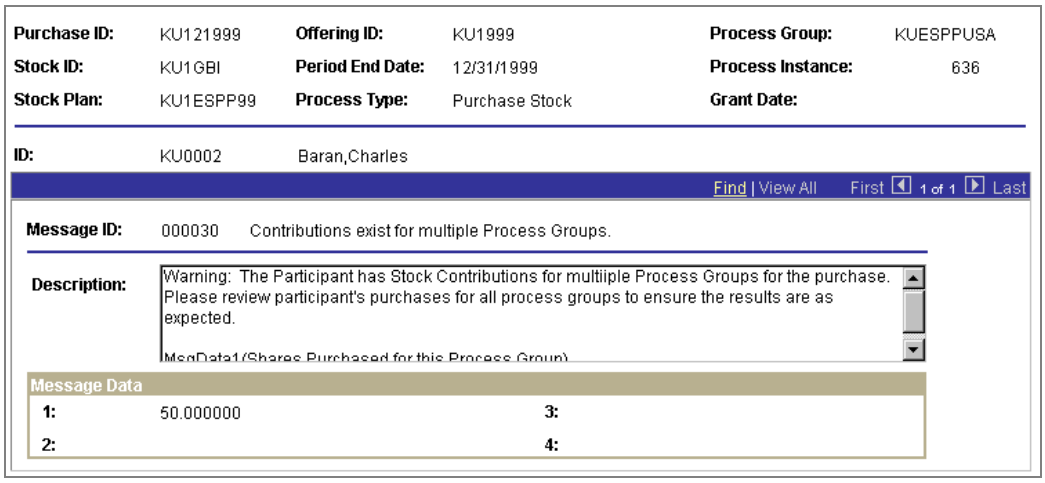
For more information about setting up processing messages and the delivered messages, see: Checking Stock Purchase Data.

You can use the stock purchase Offering Periods inquiry page to view all of the offering periods and the related purchase periods for a selected stock ID and stock plan. The offering and purchase periods are set up on the Offering/Purchase Periods setup component.

For more information about offering and purchase periods, see: Defining Offering/Purchase Periods.

Stock Purchase Messages Inquiry Page

Usage	Use the Stock Purchase Messages inquiry page to view any messages that resulted from a stock purchase process.
Object Name	ST_ESPP_MESSAGES
Navigation	**Compensate Employees, Administer Stock Purchases, Inquire, Messages**
Prerequisites	You must first run a process using the Purchase Stock process page.
Access Requirements	Select a purchase ID, processing group, process type, employee ID, and grant date.



Stock Purchase Messages inquiry page

The following fields are common to multiple pages and are defined in the preface of this PeopleBook in PeopleBooks Standard Page Element Definitions: **ID** and **Description.**

Purchase ID The system displays the purchase ID.

Stock ID The system displays the stock ID.

Stock Plan The system displays the stock plan.

Offering ID The system displays the offering ID.

Period End Date The system displays the purchase period end date.

Process Type The system displays the type of process that produced the message.

Process Group The system displays the process group.

Process Instance The system displays the process instance.

Grant Date The system displays grant date.

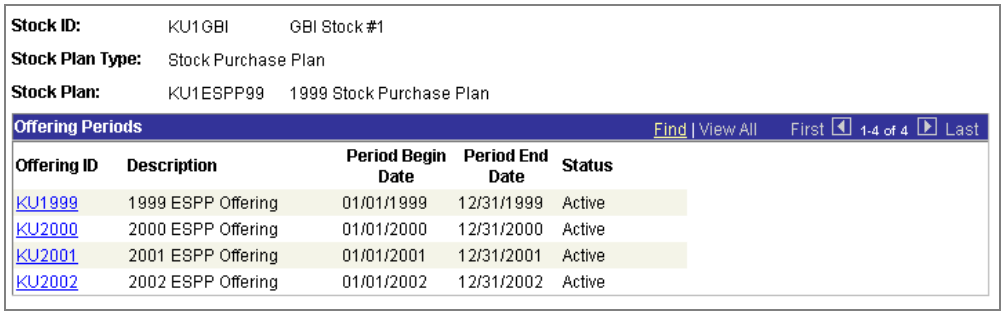
Message ID The system displays message ID and name. The system may produce multiple messages per participant.

Message Data The system displays the field values associated with the message. Up to four field values can appear.

Offering Periods Inquiry Page

Usage	Use the Offering Periods inquiry page to view all of the offering periods for a selected stock ID and stock plan and their related purchase periods.

Object Name	ST_OFFERING_INQ
Navigation	**Define Business Rules, Define Stock Purchase Plans, Inquire, Offering Periods, Plan Offering Periods**
Prerequisites	You must first define the offering and purchase periods on the Offering/Purchase Periods component.
Access Requirements	Select a stock ID and stock plan.



Offering Periods inquiry page

The following fields are common to multiple pages and are defined in the preface of this PeopleBook in PeopleBooks Standard Page Element Definitions: **Description** and **Status.**

Stock ID The system displays the stock ID

Stock Plan Type The system displays a stock plan type of stock purchase plan.

Stock Plan The system displays the stock plan.

Offering ID The system displays the offering IDs defined for the stock ID and stock plan. Click the offering ID to access the Purchase Period Inquiry Page where you can view the purchase period begin and end dates within the offering ID and related price information.

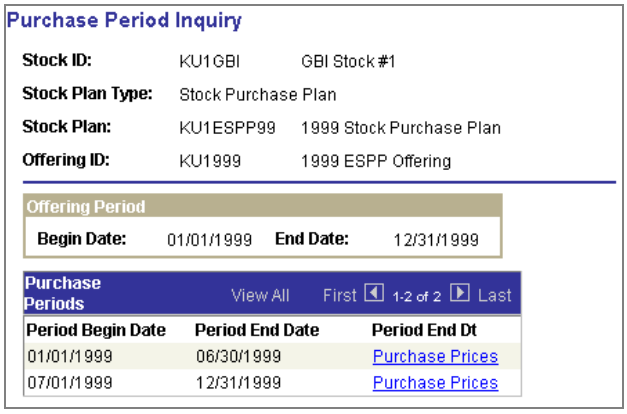
Period Begin Date The system displays the date the offering period begins.

Period End Date The system displays the date the offering period ends.

Purchase Period Inquiry Page

Usage	Use the Purchase Period Inquiry page to view the purchase period begin

	and end dates.
Object Name	ST_PURCH_PD_INQ
Navigation	Click the offering ID on the Offering Periods inquiry page.



Purchase Period Inquiry page

Stock ID The system displays the stock ID.

Stock Plan Type The system displays a stock plan type of stock purchase plan.

Stock Plan The system displays the stock plan.

Offering ID The system displays the offering ID.

Offering Period The system displays the offering period begin and end dates.

Period Begin Date The system displays the purchase period begin dates within the offering period.

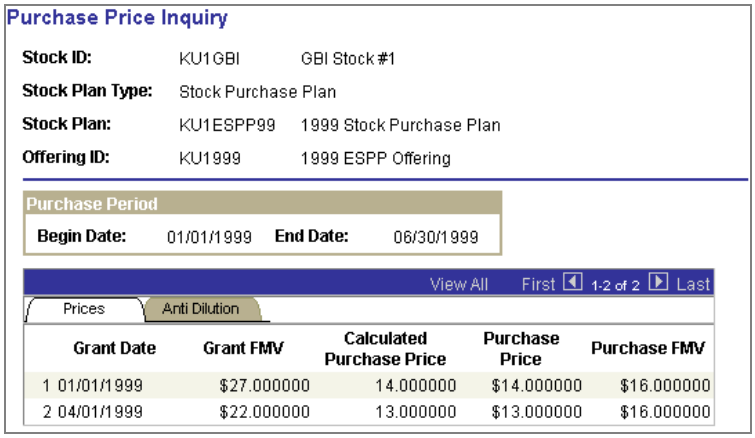
Period End Date The system displays the purchase period end dates within the offering period.

Period End Dt Click to access the Purchase Price Inquiry Page where you can view the purchase price information for the purchase periods.

Purchase Price Inquiry Page

Usage	Use the Purchase Price Inquiry page to view the purchase price

	information for the purchase periods.
Object Name	ST_PURCH_PRC_INQ
Navigation	Click the period end date on the Purchase Period Inquiry page.



Purchase Price Inquiry: Prices page

Note. Multiple views of this page are available by clicking the tabs in the scroll area. We document fields common to all views first.

Common Page Information

Stock ID The system displays the stock ID.

Stock Plan Type The system displays a stock plan type of stock purchase plan.

Stock Plan The system displays the stock plan.

Offering ID The system displays the offering ID.

Purchase Period The system displays the purchase period begin and end dates.

Grant Date The system displays the grant dates for the purchase period selected.

Prices Tab

See the exhibit above for a view of this tab.

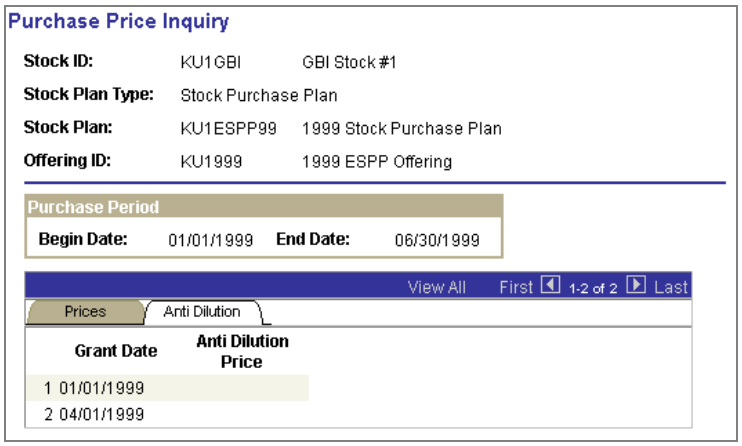
Grant FMV The system displays the grant FMV for the grant.

Calculated Purchase Price The system displays the calculated purchase price for the grant.

Purchase Price The system displays the purchase price for the grant.

Purchase FMV The system displays the purchase FMV for the grant.

Anti Dilution Tab



Purchase Price Inquiry: Anti Dilution page

Anti-Dilution Price The system displays the anti-dilution price for the grant.

CHAPTER 19

Administering Refunds

At various times you'll have to refund participant contributions. First, you must identify contributions that are eligible for refund, then process them. Any contributions not already used by a confirmed purchase process can be refunded, if necessary.

Before You Begin

Before you begin refunding participant contribution you should do the following:

- Have your benefits administrator enroll stock purchase plan participants.
- Gather participant contributions.

For more information about gathering contributions, see Administering Participant Contributions.

For more information about PeopleSoft Stock Administration's integration with other PeopleSoft Human Resources Management applications, see Integrating With Other PeopleSoft HRMS Applications.

Overview of Refunds

There are many reasons why you may need to return your participants' contributions: a participant is no longer enrolled in your stock purchase plan, but has made contributions; you need to refund the entire contribution; a carry forward amount from a previous purchase is too large and must be refunded. Your stock purchase plan rules may require that you refund any funds remaining after the purchase of the shares.

You can refund contributions as long as you haven't run the Confirm Purchase process. The types of contributions you can refund are the following:

- Unprocessed manual contributions that haven't been gathered by the Gather Contributions process.
- Processed contributions that have been gathered by the Gather Contributions process, but have

not been used to make a stock purchase.

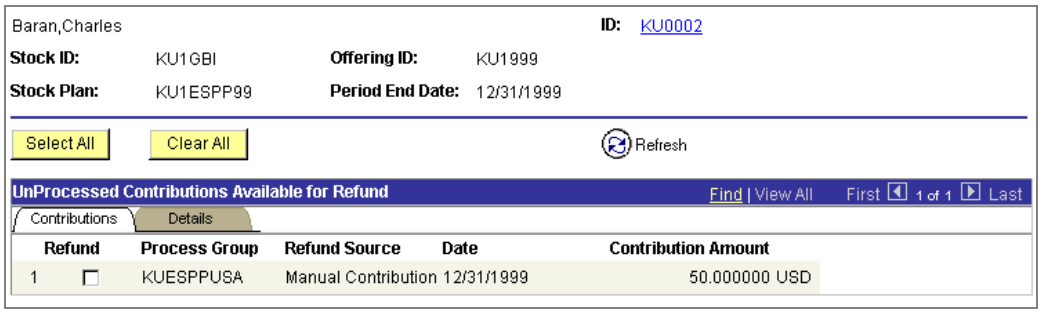
- Unused contributions left over from a previous stock purchase.

Identifying Refunds

The first step is to identify the contributions you need to refund. You use the Refunds page to identify the participant's unprocessed contributions available for refund. After you've run the process you can view the status of your refunds using the Stock Purchase Refunds Inquiry page.

Refunds Page

Usage	Use the Refunds page to select unprocessed contributions for refund.
Object Name	ST_CONTRIB_REFUND
Navigation	**Compensate Employees, Administer Stock Purchases, Use, Refunds, Contributions**
Prerequisites	You must first enroll participants and gather participant contributions.
Access Requirements	Select a employee ID, stock ID, stock plan, offering ID, and period end date.



Refunds: Contributions page

Note. Multiple views of this page are available by selecting the tabs in the scroll area. We document fields common to all views first.

The following fields are common to multiple pages and are defined in the preface of this PeopleBook in PeopleBooks Standard Page Element Definitions: **Company.**

The system displays the employee's name.

Common Page Information

ID Click the ID number to access the Employee Information page where you can view employee information.

Stock ID The system displays the stock ID.

Stock Plan The system displays the stock plan.

Offering ID The system displays the offering ID.

Period End Date The system displays the offering period end date.

Select All Click the **Select All** button to refund all available contributions. The system selects all **Refund** fields.

Clear All Click the **Clear All** button to undo all the selections.

Refresh Click the **Refresh** button to run the ESPP_REFRESH AE process and refresh the page with all contributions available for refund.

Refund Select the **Refund** check box to refund this individual contribution.

Process Group The system displays the process group.

Refund Source The system displays the source of the refund. Valid values are ***PeopleSoft Payroll for North America, Manual,*** or ***Residual.***

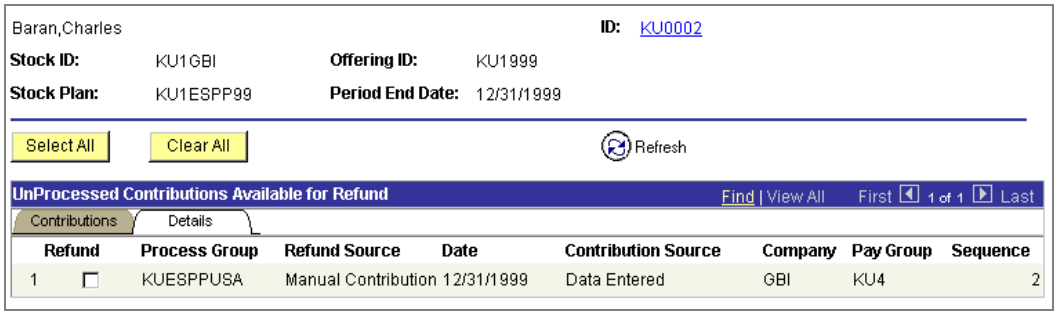
Date The system displays the date of the contribution.

Contributions Tab

See the exhibit above for a view of this tab

Contribution Amount The system displays the amount contributed.

Details Tab



Refunds: Details page

Contribution Source	The system displays the source of the contribution.
Pay Group	The system displays the pay group.
Sequence	The system displays the sequence number.

Running the Refund Contributions Process

The next step is to execute the Refund Contributions process (ESPP_REFUND) using the Refund Contributions Process page. The run control process executes the AE program (ESPP_RFND_RF) which refunds all the selected contributions, updates the refunded contributions status, and writes summary and detail records to the stock purchase refunds tables (ST_REFUND_ESPP and ST_REFUND_DTL). These tables provide a refund history in case you have to reverse the refunds.

Occasionally, you may have to reverse a refund. For refunds processed through PeopleSoft Payroll for North America, the system stores transactions in a temporary payroll transaction file (PSHUP_TXN). When you reverse active refund transactions which haven't been processed by PeopleSoft Payroll for North America, the system deletes them from the transaction file and the populates the reversal date with the current run date.

You can use the Reverse Refunds Process page to reverse an unprocessed refund. When you click the Reverse Refund button the system removes the temporary payroll transaction from PeopleSoft Payroll for North America with an AE process (ESPP_REF_REV).

The steps you take to run the Refund Contributions process are the following:

To refund contributions:

1. Refresh the contributions available for refund using the Refunds Page.
2. Select the contributions you want to refund using the Refunds Page.
3. Run the Refund Contributions process using the Refund Contributions Process Page.
4. View refund results using the Refunds Inquiry Page.
5. If you need to reverse the refund, run the Reverse Refund process using the Reverse Refunds Process Page.

Refund Contributions Process Page

Usage	Use the Refund Contributions process page to refund selected contributions.
Object Name	ST_RUNCTL_RFND
Navigation	**Compensate Employees, Administer Stock Purchases, Process, Refund Contributions, Refund Contributions**

Prerequisites	You must first specify the contributions you want to refund on the Refunds page.
Access Requirements	Enter a run control ID.

Refund Contributions process page

The following fields are common to multiple pages and are defined in the preface of this PeopleBook in PeopleBooks Standard Page Element Definitions: **Run Control ID,** and **Language.**

Stock ID Select the stock ID.

Stock Plan Select the stock plan.

Offering ID Select the offering ID.

Period End Date Select the period end date.

Report Manager Click to access the Report List page, where you can view report content, check the status of a report, and see content detail messages (which show you a description of the report and the distribution list).

Process Monitor Click to access the Process List page, where you can view the status of submitted process requests.

Run Click to access the Process Scheduler request page, where you can specify where a process or job runs and the process output format.

For more information about the Report List page, the Process List page, and the Process Scheduler, see PeopleSoft Payroll PeopleBooks.

Refunds Inquiry Page

Usage	Use the Refunds inquiry page to view the results of a refund.
Object Name	ST_REFUND_ESPP
Navigation	**Compensate Employees, Administer Stock Purchases, Inquire, Refunds, Refunded Contributions**
Prerequisites	You must first run the Refund Contributions process using the Refund Contributions process page.
Access Requirements	Select an employee ID, stock ID, stock plan, offering ID, and period end date.

Refunds: Contributions 1 inquiry page

Note. Multiple views of this page are available by clicking the tabs in the scroll area. We document fields common to all views first.

The following fields are common to multiple pages and are defined in the preface of this PeopleBook in PeopleBooks Standard Page Element Definitions: **ID** and **Company.**

The system displays the employee's name.

Common Page Information

Stock ID The system displays the stock ID.

Stock Plan The system displays the stock plan.

Offering ID The system displays the offering ID.

Period End Date The system displays the period end date.

Refund Source The system displays the source of the refund.

Process Group The system displays the process group.

Refund Status The system displays either ***Reversed*** or ***Refunded.***

Sent to Payroll The system displays the date the refund was sent to payroll, when applicable.

Residual Amount The system displays the amount remaining after a previous purchase.

Payroll Source The system displays the payroll source.

Pay Group The system displays the pay group.

Sequence The system displays the sequence number.

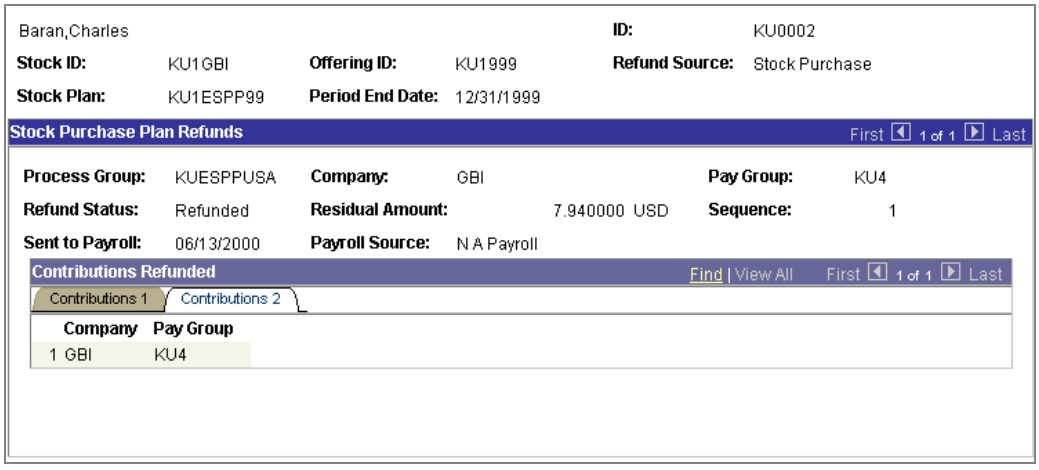
Contributions 1 Tab

See the exhibit above for a view of this tab

Date The system displays the date of the contribution.

Contribution Source The system displays the source of the contribution.

Contribution Amount The system displays the amount contributed.

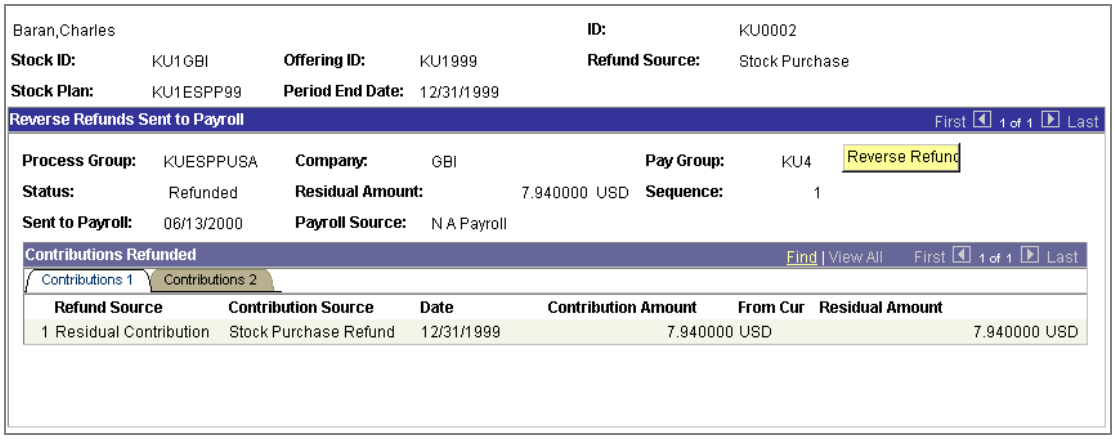


Refunds: Contributions 2 inquiry page

Reverse Refunds Process Page

Usage	Use the Reverse Refunds process page to reverse a participant's previously processed refund.
Object Name	ST_RUNCTL_REVREF
Navigation	**Compensate Employees, Administer Stock Purchases, Process,**

	Reverse Refunds, Reverse Refund
Prerequisites	You must have run the Refund Contributions process.
Access Requirements	Select an employee ID, stock ID, stock plan, offering ID, and period end date.



Reverse Refunds: Contributions 1 process page

Note. Multiple views of this page are available by clicking the tabs in the scroll area. We document fields common to all views first.

The following fields are common to multiple pages and are defined in the preface of this PeopleBook in PeopleBooks Standard Page Element Definitions: **ID** and **Company.**

The system displays the employee's name.

Common Page Information

Stock ID The system displays the stock ID.

Stock Plan The system displays the stock plan.

Offering ID The system displays the offering ID.

Period End Date The system displays the period end date.

Refund Source The system displays the source of the refund.

Process Group The system displays the process group.

Status The system displays either ***Reversed*** or ***Refunded.***

Sent to Payroll After you've clicked the Reverse Refund button, the system displays the date the reversal was sent to payroll.

Residual Amount The system displays the amount remaining after a previous purchase.

Payroll Source The system displays the payroll source.

Pay Group The system displays the pay group.

Sequence The system displays the sequence number.

Reverse Refund Click the **Reverse Refund** button to reverse the refund.

Reversal Date After you've clicked the Reverse Refund button, the system displays the date of the reversal.

Contributions 1 Tab

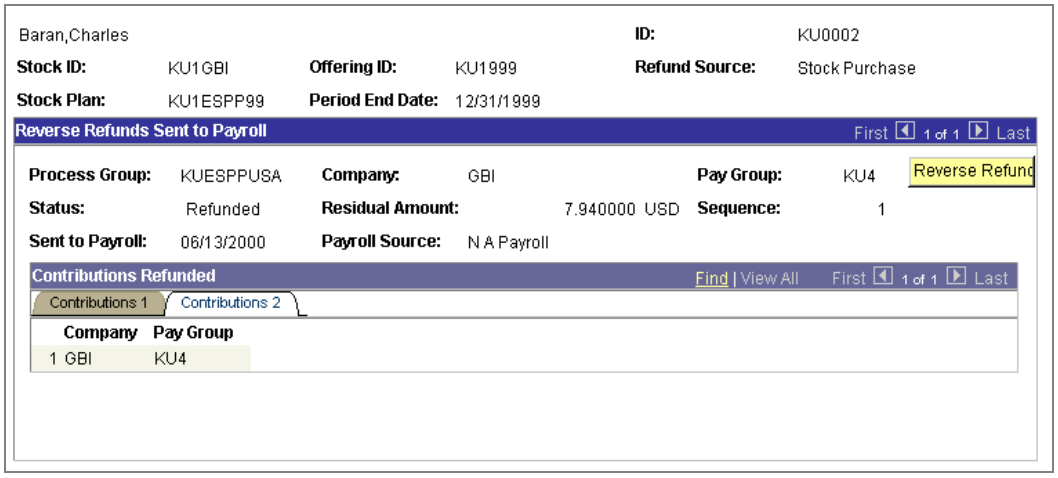
See the exhibit above for a view of this tab

Contribution Source The system displays the source of the contribution.

Date The system displays the date of the contribution.

Contribution Amount The system displays the amount contributed.

From Cur The system displays the source currency.



Reverse Refunds: Contributions 1 process page

CHAPTER 20

Administering Stock Purchase Dispositions

Periodically, you record and track your participants' sales and transfers. Depending on the business rules you've defined, the system determines if the dispositions are qualified dispositions or disqualified dispositions. If you use PeopleSoft Payroll for North America, you can send the disposition information directly to payroll for reporting in the participant's earnings statement.

Before You Begin

Before you begin processing participant dispositions you should do the following:

- Establish disposition holding periods using the Governing Body Rules - Stock Purchase Rules Setup Page.
- Set up earnings codes using the Stock Details - Stock Purchases Setup Page.
- Confirm a stock purchase using the Confirm Purchase Process Page.

Overview of Stock Purchase Dispositions

Eventually, most stock purchase participants choose to sell some or all of the shares they purchase. A sale or transfer of stock purchased through a stock purchase plan is called a disposition. A disposition is either a disqualifying disposition or qualifying disposition, depending on the holding period requirements set up in the governing body rules. For IRS governed plans, a disqualifying disposition is a sale or transfer of stock which has been held less than two years from the grant date and less than one year from the purchase date. A corporation is entitled to a tax deduction equal to the participant's ordinary income on the disqualifying disposition. To claim the tax deduction, a corporation must report the ordinary income on the participant's W-2 form. When the holding period is met the sale is considered a qualifying disposition.

Because companies receive a tax break if the disqualifying disposition holding period is not met, participants are encouraged to report stock sales to their companies. If shares are held at a brokerage firm, a company may require that the brokerage firm report the dispositions. You need to determine the best way to gather information about participant dispositions so that you can track the tax implications of the transactions.

Tracking Dispositions

With PeopleSoft Stock Administration, you record the transaction on the Stock Purchase Dispositions page. Once you've recorded the sale or transfer, the system determines whether the disposition is qualified or not depending upon the holding period rules you've defined on the Governing Body Rules - Stock Purchase Rules setup page.

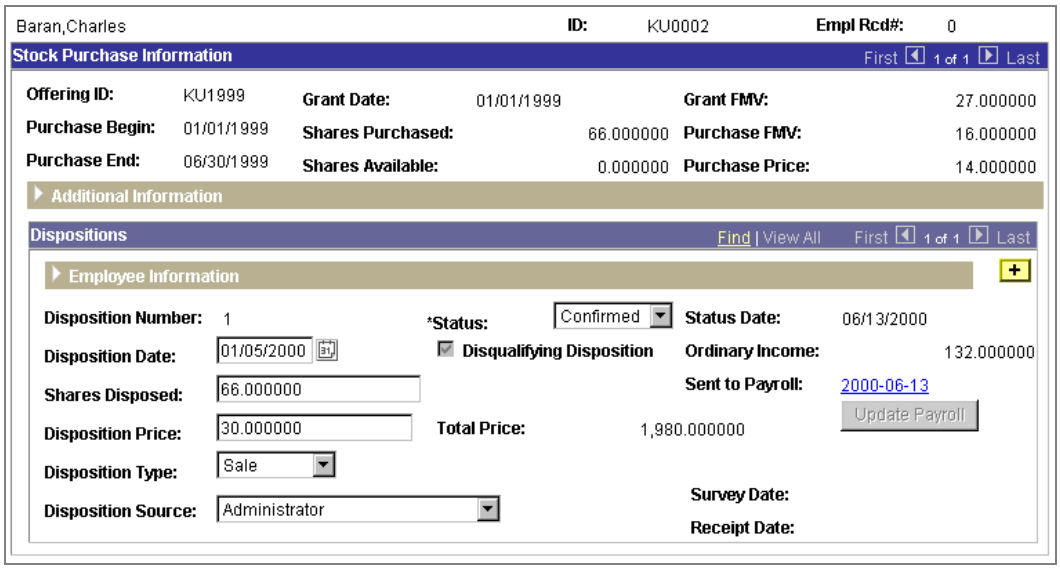
If you use PeopleSoft Payroll for North America and the participant's pay group is USA, you can send the disposition information directly to payroll. The country code must be USA to integrate with PeopleSoft Payroll for North America. Once the disposition is confirmed and you send the disposition to payroll, the system sends the transaction to the payroll transaction table (PSHUP_TXN). When the payroll process executes, it associates the transaction with a particular pay run.

If you do not use PeopleSoft Payroll for North America or the participant's pay group is other than USA, you can send the reconciliation report to your payroll administrator.

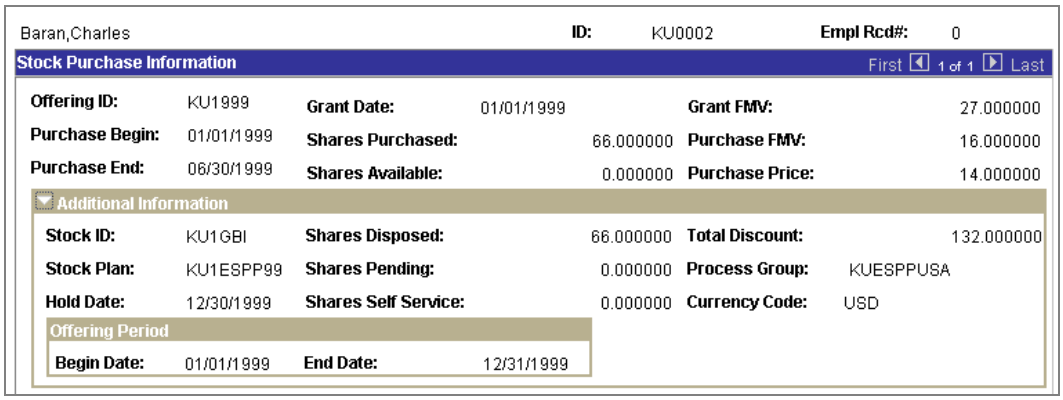
You use the Generate Reporting Table process page to generate a temporary table for query reporting.

Stock Purchase Dispositions Page

Usage	Use the Stock Purchase Dispositions page to report participant stock sales.
Object Name	ST_ESPP_DISPOSN
Navigation	**Compensate Employees, Administer Stock Purchases, Use, Dispositions, Stock Purchase Dispositions**
Prerequisites	You must first have confirmed a purchase.
Access Requirements	Select an employee ID and stock ID.



Stock Purchase Dispositions page (1 of 2)



Stock Purchase Dispositions page (2 of 2)

The following fields are common to multiple pages and are defined in the preface of this PeopleBook in PeopleBooks Standard Page Element Definitions: **ID** and **Empl Rcd#.**

The system displays the employee's name.

Offering ID The system displays the offering ID.

Purchase Begin The system displays the purchase begin date.

Purchase End The system displays the purchase end date.

Grant Date The system displays the grant date of the shares purchased.

Shares Purchased The system displays the number of shares purchased.

Shares Available The system calculates and displays the number of shares remaining which may be sold or transferred. This number is recalculated each time you enter a disposition or when the status of a disposition changes. The number of shares available is equal to the number of shares purchased less the sum of shares disposed and shares self service, if applicable.

Grant FMV The system displays the grant FMV associated with the grant. This field is used for calculating ordinary income.

Purchase FMV The system displays the purchase FMV.

Purchase Price The system displays the purchase price.

Additional Information

Stock ID The system displays the stock ID.

Stock Plan The system displays the stock plan.

Hold Date The system displays the hold date associated with the shares purchased. This date is the purchase period end date plus the holding period number of months specified for the stock purchase plan. The disposition date must be greater than or equal to this date or the system produces a warning message.

Shares Disposed The system displays the number of shares disposed. This number is recalculated each time you enter a disposition or when the status of a disposition changes.

Shares Pending The system displays the number of shares that are pending confirmation.

Shares Self Service The system displays the number of shares entered as disposed through self service.

Total Discount The system displays the discount off the purchase price.

Process Group The system displays the process group at the time of the stock purchase. Process groups are defined on the Process Groups setup page.

Currency Code The system displays the currency code.

Begin Date The system displays the offering period begin date.

End Date The system displays the offering period end date.

Disposition Information

The system displays information about each disposition. When you enter a disposition the system looks to the rules defined on the Governing Body Rules – Stock Purchase Rules page to determine if the required holding period is met for preferential tax treatment. If the disposition does not meet the holding period requirements it is considered a disqualifying disposition.

Disposition Number — The system displays the disposition number. This number is assigned when the page is saved. This number provides an audit trail of all dispositions so it cannot be deleted. The number is obtained from the Stock table.

Disposition Date — Enter the date of the sale or transfer. The date of the disposition is used to determine whether the disposition is qualifying or disqualifying.

Note. This date cannot be earlier than the hold date specified at the stock plan level.

Shares Disposed — Enter the number of shares sold or transferred for the disposition.

Disposition Price — Enter the sale or transfer price of the disposition.

Disposition Type — Select ***Sale*** or ***Transfer.*** The default value is ***Sale.*** You must enter the type once the disposition status is changed to ***Confirmed.***

Disposition Source — Select ***Administrator*** if the source of the disposition information if the stock administrator. Select ***Self Service,*** if the participant reported disposition using the self service page. Select ***Third Party*** if a broker reports the disposition. The default value is ***Administrator.***

Status — Select the disposition's current status. Valid values are ***Confirmed, Pending,*** and ***Void.*** The default value is ***Pending.***

Disqualifying Disposition — If the system determines the sale is a disqualifying disposition, it selects the **Disqualifying Disposition** check box.

Total Price — The system displays the price of the sale. This field is calculated by multiplying the disposition price by the shares disposed.

Status Date — The system displays the date the status changed.

Ordinary Income — The system calculates and displays the ordinary income resulting for the disposition.

Sent to Payroll The system displays the date the transaction was sent to PeopleSoft Payroll for North America or the manual payroll report was run for a disqualifying disposition with ordinary income. Click the date to access the Stock Purchase Disposition Payroll Data Page where you can view payroll details.

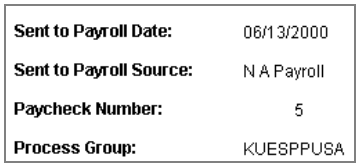
Update Payroll Click the Update Payroll button to send the disposition information to payroll.

Survey Date The system displays the survey date once the stock purchase Disposition Survey report is run and the survey is printed or reprinted.

Receipt Date The system displays the receipt date once the stock purchase Disposition Receipt report is run and the receipt is printed or reprinted.

Stock Purchase Disposition Payroll Data Page

Usage	Use the Stock Purchase Disposition Payroll Data page to view payroll details.
Object Name	ST_PAYROLL_SBP
Navigation	Click the sent to payroll date on the Stock Purchase Dispositions page.



Stock Purchase Disposition Payroll Data page

Sent to Payroll Date The system displays the date that the transaction was sent to payroll or the day the manual report was run.

Sent to Payroll Source The system displays the way in which the income/taxes were sent to the payee, either through PeopleSoft Payroll for North America or manual report.

Paycheck Number The system displays the paycheck number when the transaction was processed through PeopleSoft Payroll for North America. This field is blank if a manual report was used.

Process Group The system displays the process group.

Generate Reporting Table Process Page

Usage	Use the Generate Reporting Table process page to generate a temporary table that consolidates information from ST_ESPP_PURCH and ST_ESPP_DISPOSN tables for query reporting.
Object Name	PRCSRUNCNTL_LC_SBP
Navigation	**Compensate Employees, Administer Stock Purchases, Process, Generate Reporting Table, Prcsruncntl Lc Sbp**
Prerequisites	None.
Access Requirements	Enter a run control ID.

Generate Reporting Table process page

The following elements are common to multiple pages in this application and are defined in the preface of this PeopleBook in PeopleBooks Standard Page Element Definitions: **Run Control ID** and **Language.**

Report Manager Click to access the Report List page, where you can view report content, check the status of a report, and see content detail messages (which show you a description of the report and the distribution list).

Process Monitor Click to access the Process List page, where you can view the status of submitted process requests.

Run Click to access the Process Scheduler request page, where you can specify where a process or job runs and the process output format.

For more information about the Report List page, the Process List page, and the Process Scheduler, see PeopleSoft Payroll PeopleBooks.

CHAPTER 21

PeopleSoft Stock Administration Reports

Warning! These reports are only for stock administration use. If you want to distribute these reports to plan participants or others outside of your stock administration organization you should first consult with your in-house information system security administrator.

Common PeopleSoft Stock Administration System Report Run Control Page

Usage	Use the PRSCRUNCTL run control page to run several stock administration reports.
Prerequisites	None
Access Requirements	Enter a Run Control ID.

Common Run Control Page

Run Control ID The system displays the run control ID you entered.

Report List Click to access the Report List page, where you can view report content, check the status of a report, and see content detail messages (which show you a description of the report and the distribution list).

Process Monitor Click to access the Process List page, where you can view the status of submitted process requests.

Run Click to access the Process Scheduler request page, where you can specify where a process or job runs and the process output format.

For more information about the Report List page, the Process List page, and the Process Scheduler, see PeopleSoft Payroll PeopleBooks.

General PeopleSoft Stock Administration Reports Using the Common Run Control Page

Use the PRSCRUNCTL run control page to run several general stock administration reports.

Governing Body Rules Report

Description	Use this report to view governing body information.
Report ID	STSU001
Type of Report	SQR
Parameters	None
Source	PRSCRUNCTL
Source Records	ST_GOVERN_BODY
Sorted By	Effective Date

For samples of this and other reports in your application, see the PDF files published on CD-ROM with your documentation (for online users) or the *PeopleSoft HRMS Reporting Tools* (for hard copy users).

Exchange Table Report

Description	Use this report to view exchange table information.
Report ID	STSU002
Type of Report	SQR
Parameters	None
Source	PRSCRUNCTL

Source Records	ST_EXCHANGE_TBL
Sorted By	Effective Date

For samples of this and other reports in your application, see the PDF files published on CD-ROM with your documentation (for online users) or the *PeopleSoft HRMS Reporting Tools* (for hard copy users).

Transfer/Escrow Agency Report

Description	Use this report to view transfer and escrow agency information.
Report ID	STSU003
Type of Report	SQR
Parameters	None
Source	PRSCRUNCTL
Source Records	ST_AGENT_TBL, ST_AGENT_DTL
Sorted By	Effective Date

For samples of this and other reports in your application, see the PDF files published on CD-ROM with your documentation (for online users) or the *PeopleSoft HRMS Reporting Tools* (for hard copy users).

Brokerage Table Report

Description	Use this report to view brokerage table information.
Report ID	STSU004
Type of Report	SQR
Parameters	None
Source	PRSCRUNCTL
Source Records	ST_BROKER_TBL, ST_BRKR_BRANCH

Sorted By	Effective Date

For samples of this and other reports in your application, see the PDF files published on CD-ROM with your documentation (for online users) or the *PeopleSoft HRMS Reporting Tools* (for hard copy users).

FMV Method Table Report

Description	Use this report to view FMV Method Table information.
Report ID	STSU006
Type of Report	SQR
Parameters	None
Source	PRSCRUNCTL
Source Records	ST_FMV_MTHD_TBL
Sorted By	FMV Method

For samples of this and other reports in your application, see the PDF files published on CD-ROM with your documentation (for online users) or the *PeopleSoft HRMS Reporting Tools* (for hard copy users).

Process Groups Report

Description	Use this report to view process group information.
Report ID	STSU026
Type of Report	SQR
Parameters	None
Source	PRSCRUNCTL
Source Records	ST_PROCESS_GRP, ST_PRCS_GRP_DTL
Sorted By	Process Group

For samples of this and other reports in your application, see the PDF files published on CD-ROM with your documentation (for online users) or the *PeopleSoft HRMS Reporting Tools* (for hard copy users).

Stock Agent Table Report

Description	Use this report to view stock agent table information.
Report ID	STSU017
Type of Report	SQR
Parameters	None
Source	PRSCRUNCTL
Source Records	ST_STOCK_AGENT, ST_STOCK_AGENT_DTL
Sorted By	Stock ID

For samples of this and other reports in your application, see the PDF files published on CD-ROM with your documentation (for online users) or the *PeopleSoft HRMS Reporting Tools* (for hard copy users).

Stock Branch Table Report

Description	Use this report to view stock branch information.
Report ID	STSU018
Type of Report	SQR
Parameters	None
Source	PRSCRUNCTL
Source Records	STOCK_BRANCH, STOCK_BRANCH_DTL
Sorted By	Stock ID

For samples of this and other reports in your application, see the PDF files published on CD-ROM with your documentation (for online users) or the *PeopleSoft HRMS Reporting Tools* (for hard copy users).

Stock Detail Report

Description	Use this report to view stock detail information.
Report ID	STSU019
Type of Report	SQR
Parameters	None
Source	PRSCRUNCTL
Source Records	STOCK_TBL, STOCK_DTL
Sorted By	Stock ID, Effective Date

For samples of this and other reports in your application, see the PDF files published on CD-ROM with your documentation (for online users) or the *PeopleSoft HRMS Reporting Tools* (for hard copy users).

Stock Exchange Table Report

Description	Use this report to view stock exchange table information.
Report ID	STSU008
Type of Report	SQR
Parameters	None
Source	PRSCRUNCTL
Source Records	STOCK_EXCHANGE
Sorted By	Stock ID, Effective Date

For samples of this and other reports in your application, see the PDF files published on CD-ROM with your documentation (for online users) or the *PeopleSoft HRMS Reporting Tools* (for hard copy users).

Stock Agreement Table Report

Description	Use this report to view stock agreement table information.
Report ID	STSU012
Type of Report	SQR
Parameters	None
Source	PRSCRUNCTL
Source Records	STOCK_AGREEMENT
Sorted By	Stock ID, Effective Date

For samples of this and other reports in your application, see the PDF files published on CD-ROM with your documentation (for online users) or the *PeopleSoft HRMS Reporting Tools* (for hard copy users).

Stock Legend Table Report

Description	Use this report to view stock legend table information.
Report ID	STSU010
Type of Report	SQR
Parameters	None
Source	PRSCRUNCTL
Source Records	STOCK_LEGEND
Sorted By	Stock ID, Effective Date

For samples of this and other reports in your application, see the PDF files published on CD-ROM with your documentation (for online users) or the *PeopleSoft HRMS Reporting Tools* (for hard copy users).

Stock Treasury Table Report

Description	Use this report to view stock treasury table information.
Report ID	STSU015
Type of Report	SQR
Parameters	None
Source	PRSCRUNCTL
Source Records	STOCK_TREASURY, STO_TRSR_ALLOC
Sorted By	Stock ID

For samples of this and other reports in your application, see the PDF files published on CD-ROM with your documentation (for online users) or the *PeopleSoft HRMS Reporting Tools* (for hard copy users).

Stock Plan Table Report

Description	Use this report to view stock plan table information.
Report ID	STSU016
Type of Report	SQR
Parameters	None
Source	PRSCRUNCTL
Source Records	STOCK_PLAN_TBL, ST_PLAN_ALLOC
Sorted By	Stock ID

For samples of this and other reports in your application, see the PDF files published on CD-ROM with your documentation (for online users) or the *PeopleSoft HRMS Reporting Tools* (for hard copy users).

Stock Allocation Report

Description	Use this report to view stock allocation table information.
Report ID	STSU024
Type of Report	SQR
Parameters	None
Source	PRSCRUNCTL
Source Records	STOCK_CLASS_TBL, ST_CLASS_ALLOC
Sorted By	Stock ID

For samples of this and other reports in your application, see the PDF files published on CD-ROM with your documentation (for online users) or the *PeopleSoft HRMS Reporting Tools* (for hard copy users).

Stock Blackout Report

Description	Use this report to view stock blackout information.
Report ID	STSU014
Type of Report	SQR
Parameters	None
Source	PRSCRUNCTL
Source Records	ST_BLACKOUT_TBL, ST_BLACKOUT_LST
Sorted By	Stock ID

For samples of this and other reports in your application, see the PDF files published on CD-ROM with your documentation (for online users) or the *PeopleSoft HRMS Reporting Tools* (for hard copy users).

Stock Split Report

Description	Use this report to view stock split information.
Report ID	STSU013
Type of Report	SQR
Parameters	None
Source	PRSCRUNCTL
Source Records	ST_SPLIT_TBL
Sorted By	Stock ID

For samples of this and other reports in your application, see the PDF files published on CD-ROM with your documentation (for online users) or the *PeopleSoft HRMS Reporting Tools* (for hard copy users).

Stock Option Reports Using the Common Run Control Page

Use the PRSCRUNCTL run control page to run stock option reports.

Tax Information Report

Description	Use this report to view tax information.
Report ID	STSU005
Type of Report	SQR
Parameters	None
Source	PRSCRUNCTL
Source Records	ST_TAX_TYPE_TBL, ST_COUNTRY_TAX, ST_STATE_TAX, ST_LOCAL_TAX

For samples of this and other reports in your application, see the PDF files published on CD-ROM with your documentation (for online users) or the *PeopleSoft HRMS Reporting Tools* (for hard copy users).

Vesting Schedule Report

Description	Use this report to view vesting schedule information.
Report ID	STSU021
Type of Report	SQR
Parameters	None
Source	PRSCRUNCTL
Source Records	ST_VEST_SCHED, ST_VEST_DEFN

For samples of this and other reports in your application, see the PDF files published on CD-ROM with your documentation (for online users) or the *PeopleSoft HRMS Reporting Tools* (for hard copy users).

Stock Fiscal Year Report

Description	Use this report to view stock fiscal year information.
Report ID	STSU011
Type of Report	SQR
Parameters	None
Source	PRSCRUNCTL
Source Records	STOCK_FISCAL_YR
Sorted By	Stock ID, Fiscal Year

For samples of this and other reports in your application, see the PDF files published on CD-ROM with your documentation (for online users) or the *PeopleSoft HRMS Reporting Tools* (for hard copy users).

Stock Option Plan Rules Report

Description	Use this report to view stock option plan rules information.
Report ID	STSU020
Type of Report	SQR
Parameters	None
Source	PRSCRUNCTL
Source Records	ST_OPTION_PLAN, ST_OPTION_PARMS
Sorted By	Stock ID, Stock Plan, Effective Date

For samples of this and other reports in your application, see the PDF files published on CD-ROM with your documentation (for online users) or the *PeopleSoft HRMS Reporting Tools* (for hard copy users).

Grant Reason Table Report

Description	Use this report to view grant reason table information.
Report ID	STSU025
Type of Report	SQR
Parameters	None
Source	PRSCRUNCTL
Source Records	ST_GRNT_RSN_TBL
Sorted By	Grant Reason

For samples of this and other reports in your application, see the PDF files published on CD-ROM with your documentation (for online users) or the *PeopleSoft HRMS Reporting Tools* (for hard copy users).

Stock Reprice Report

Description	Use this report to view stock reprice information.

Report ID	STSU009
Type of Report	SQR
Parameters	None
Source	PRSCRUNCTL
Source Records	ST_REPRC_TBL, ST_REPRC_PLAN
Sorted By	Stock ID, Reprice ID

For samples of this and other reports in your application, see the PDF files published on CD-ROM with your documentation (for online users) or the *PeopleSoft HRMS Reporting Tools* (for hard copy users).

Stock Purchase Reports Using the Common Run Control Page

Use the PRSCRUNCTL run control page to run several stock purchase reports.

Stock Purchase Plan Rules Report

Description	Use this report to view stock purchase plan rules information.
Report ID	STSU022
Type of Report	SQR
Parameters	None
Source	PRSCRUNCTL
Source Records	ST_ESPP_PLAN
Sorted By	Stock ID, Stock Plan, Effective Date

For samples of this and other reports in your application, see the PDF files published on CD-ROM with your documentation (for online users) or the *PeopleSoft HRMS Reporting Tools* (for hard copy users).

Offering/Purchase Periods Report

Description	Use this report to view offering and purchase period information.
Report ID	STSU023
Type of Report	SQR
Parameters	None
Source	PRSCRUNCTL
Source Records	ST_OFFERING_PD, ST_PURCHASE_PD
Sorted By	Stock ID, Stock Plan, Offering ID, Purchase Period End Date

For samples of this and other reports in your application, see the PDF files published on CD-ROM with your documentation (for online users) or the *PeopleSoft HRMS Reporting Tools* (for hard copy users).

Hold Reason Table Report

Description	Use this report to view hold reason table information.
Report ID	STSU027
Type of Report	SQR
Parameters	None
Source	PRSCRUNCTL
Source Records	ST_HOLD_RSN_TBL
Sorted By	Hold Reason

For samples of this and other reports in your application, see the PDF files published on CD-ROM with your documentation (for online users) or the *PeopleSoft HRMS Reporting Tools* (for hard copy users).

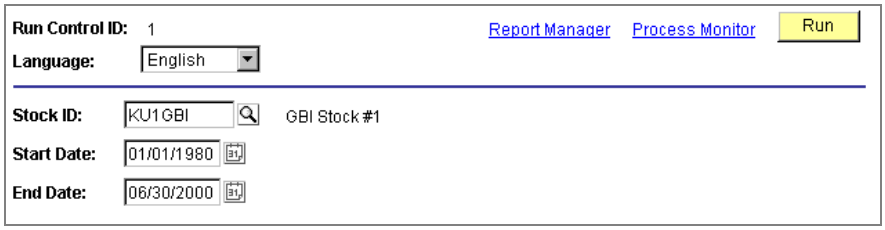
General PeopleSoft Stock Administration Reports

These are pages used by both stock options and stock purchase.

Generating the Daily Prices Report

Daily Prices Report Page

Usage	Use this report page to run the Daily Prices report.
Object Name	ST_RUNCTL_STSU007
Navigation	**Compensate Employees, Administer Stock, Report, Daily Prices, Daily Prices**
Prerequisites	You must first set up and maintain the Daily Prices table for the given Stock ID and within the given date range.
Access Requirements	Enter a Run Control ID.



Daily Prices report page

The following elements are common to multiple pages in this application and are defined in the preface of this PeopleBook in PeopleBooks Standard Page Element Definitions: **Run Control ID** and **Language.**

Stock ID Select a Stock ID from available choices.

Start Date Enter the first date you want to collect stock activity data.

End Date Enter the last date you want to collect stock activity data.

Report List Click to access the Report List page, where you can view report content, check the status of a report, and see content detail messages (which show you a description of the report and the distribution list).

Process Monitor Click to access the Process List page, where you can view the status of submitted process requests.

Run Click to access the Process Scheduler request page, where you can specify where a process or job runs and the process output format.

For more information about the Report List page, the Process List page, and the Process Scheduler, see PeopleSoft Payroll PeopleBooks.

Daily Prices Report

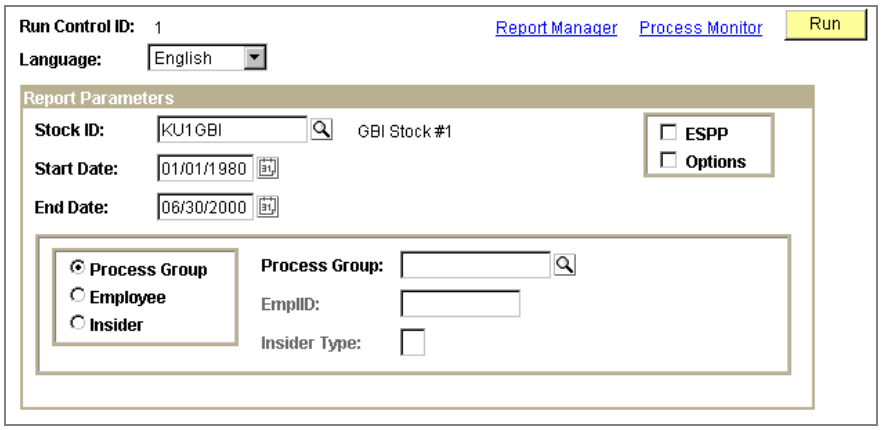
Description	The Daily Prices report shows the daily prices for a given Stock ID and within a given date range.
Report ID	STSU007
Type of Report	SQR
Parameters	Stock ID, Start Date, End Date
Source	ST_RUNCTL_STSU007
Source Records	ST_DAILY_PRICES
Sorted By	Stock ID, FMV date

For samples of this and other reports in your application, see the PDF files published on CD-ROM with your documentation (for online users) or the *PeopleSoft HRMS Reporting Tools* (for hard copy users).

Generating the Stock Activity Details Report

Stock Activity Details Report Page

Usage	Use this report page to run the Stock Activity Details report.
Object Name	ST_RUNCTL_STOK001
Navigation	• **Compensate Employees, Administer Stock Options, Reports, Stock Activity Details** • **Compensate Employees, Administer Stock Purchase, Reports, Stock Activity Details**
Prerequisites	You must first have stock option or stock purchase activity for the selected employees.
Access Requirements	Enter a Run Control ID.



Stock Activity Details report page

The following elements are common to multiple pages in this application and are defined in the preface of this PeopleBook in PeopleBooks Standard Page Element Definitions: **Run Control ID** and **Language.**

Stock ID Select a Stock ID from available choices.

Start Date Enter the first date you want to collect stock activity data.

End Date Enter the last date you want to collect stock activity data.

ESPP Select **ESPP** if you want to collect stock purchase data.

Options Select **Options** if you want to collect stock options data.

Collection Criteria

Select one of the following choices to indicate how you want the data collected.

Process Group Select **Process Group** if you want the data collected by process group.

Employee Select **Employee** if you want the data collected by employee.

Insider Select **Insider** if you want the data collected by insider status.

Process Group If you selected Process Group this field becomes available. Select the process groups you want to include.

EmplID If you selected Employee this field becomes available. Select the employees you want to include.

Insider Type If you selected Insider this field becomes available. Select the insider types you want to include.

Report List Click to access the Report List page, where you can view report content, check the status of a report, and see content detail messages (which show you a description of the report and the distribution list).

Process Monitor Click to access the Process List page, where you can view the status of submitted process requests.

Run Click to access the Process Scheduler request page, where you can specify where a process or job runs and the process output format.

For more information about the Report List page, the Process List page, and the Process Scheduler, see PeopleSoft Payroll PeopleBooks.

Stock Activity Details Report

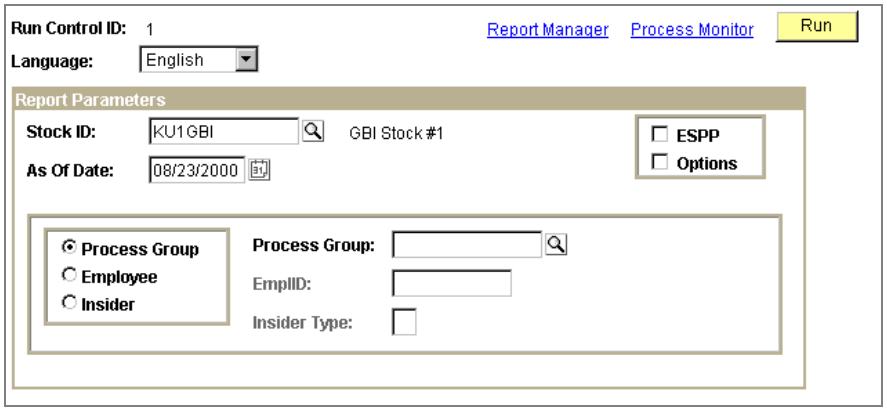
Description	The Stock Activity Details report shows details of stock activity.
Report ID	STOK001
Type of Report	SQR
Parameters	Stock ID, Process Group, EmplID, Insider Type, Start Date, End Date, Options and/or Stock Purchase check boxes.
Source	ST_RUNCTL_STOK001
Source Records	ST_GRANT, ST_GRANT_EXER, ST_EXER_RELEASE, ST_EXER_DISPOSN, ST_REL_DISPOSN, ST_STOK001_TBL, ST_GRNT_REPURCH, ST_ESPP_PURCH, ST_ESPP_DISPOSN.
Sorted By	Process Group, Name.

For samples of this and other reports in your application, see the PDF files published on CD-ROM with your documentation (for online users) or the *PeopleSoft HRMS Reporting Tools* (for hard copy users).

Generating the Stock Activity Summary Report

Stock Activity Summary Report Page

Usage	Use this report page to run the Stock Activity Summary report.
Object Name	ST_RUNCTL_STOK002
Navigation	• **Compensate Employees, Administer Stock Options, Reports, Stock Activity Summary** • **Compensate Employees, Administer Stock Purchase, Reports, Stock Activity Summary**
Prerequisites	You must first have stock option or stock purchase activity for the selected employees.
Access Requirements	Enter a Run Control ID.



Stock Activity Summary report page

The following elements are common to multiple pages in this application and are defined in the preface of this PeopleBook in PeopleBooks Standard Page Element Definitions: **Run Control ID** and **Language.**

Stock ID Select a Stock ID from available choices.

As of Date Enter the date you want to use to calculate the stock activity information.

ESPP Select **ESPP** if you want to collect stock purchase data.

Options Select **Options** if you want to collect stock options data.

Process Criteria

Select one of the following choices to indicate how you want the data processed.

Process Group Select **Process Group** if you want the data processed by process group.

Employee Select **Employee** if you want the data processed by employee.

Insider Select **Insider** if you want the data processed by insider status.

Process Group If you selected Process Group this field becomes available. Select the process groups you want to include.

EmplID If you selected Employee this field becomes available. Select the employees you want to include.

Insider Type If you selected Insider this field becomes available. Select the insider types you want to include.

Report List Click to access the Report List page, where you can view report content, check the status of a report, and see content detail messages (which show you a description of the report and the distribution list).

Process Monitor Click to access the Process List page, where you can view the status of submitted process requests.

Run Click to access the Process Scheduler request page, where you can specify where a process or job runs and the process output format.

For more information about the Report List page, the Process List page, and the Process Scheduler, see PeopleSoft Payroll PeopleBooks.

Stock Activity Summary Report

Description	The Stock Activity Summary report shows a summary of stock activity.
Report ID	ST_RUNCTL_STOK002
Type of Report	SQR
Parameters	Stock ID, Process Group, EmplID, Insider Type, As of Date, Options and/or Stock Purchase check boxes.
Source	STOK002
Source	ST_GRANT, ST_GRANT_EXER, ST_EXER_RELEASE, ST_EXER_DISPOSN, ST_REL_DISPOSN, ST_STOK002_TBL,

Records	ST_GRANT_REPURCH, ST_ESPP_PURCH, ST_ESPP_DISPOSN.
Sorted By	Process Group, EmplID

For samples of this and other reports in your application, see the PDF files published on CD-ROM with your documentation (for online users) or the *PeopleSoft HRMS Reporting Tools* (for hard copy users).

Stock Options Reports

Generating the Message Report – Variable Comp Report

Message Report – Variable Comp Report Page

Usage	Use this report page to run the Message Report – Variable Comp report.
Object Name	ST_RUNCTL_STOPMSG
Navigation	**Compensate Employees, Administer Stock Options, Report, Message Report - Variable Comp, St Runctl Stopmsg**
Prerequisites	You must first run the Generate Grants process.
Access Requirements	Enter a Run Control ID.

Message Report – Variable Comp report page

The following elements are common to multiple pages in this application and are defined in the preface of this PeopleBook in PeopleBooks Standard Page Element Definitions: **Run Control ID** and **Language.**

Report List Click to access the Report List page, where you can view report content, check the status of a report, and see content detail messages (which show you a description of the report and the distribution list).

Process Monitor Click to access the Process List page, where you can view the status of submitted process requests.

Run Click to access the Process Scheduler request page, where you can specify where a process or job runs and the process output format.

For more information about the Report List page, the Process List page, and the Process Scheduler, see PeopleSoft Payroll PeopleBooks.

Message Report – Variable Comp Report

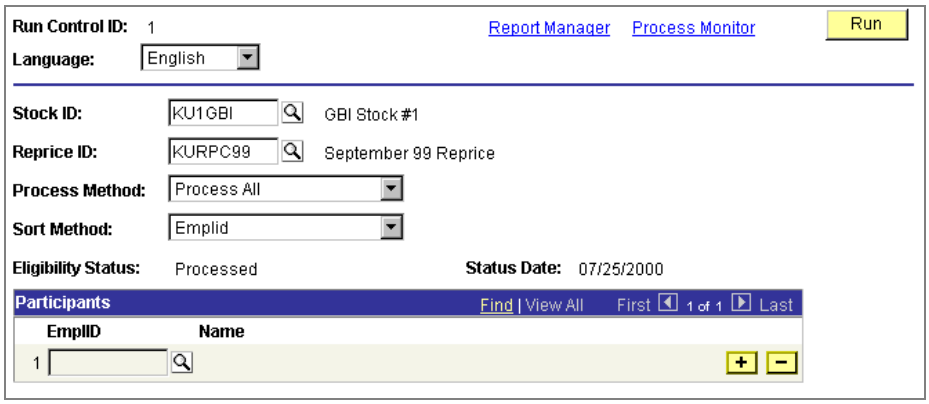
Description	The Message Report – Variable Comp report shows processing messages.
Report ID	STOPMSG
Type of Report	SQR
Parameters	None
Source	ST_RUNCTL_STOPMSG
Source Records	ST_GRNT_MESSAGE, MESSAGE_CATALOG
Sorted By	EmplID

For samples of this and other reports in your application, see the PDF files published on CD-ROM with your documentation (for online users) or the *PeopleSoft HRMS Reporting Tools* (for hard copy users).

Generating the Reprice Election Forms Report

Reprice Election Forms Report Page

Usage	Use this report page to run the Reprice Election Forms report.
Object Name	ST_RUNCTL_REPRC2
Navigation	**Compensate Employees, Administer Stock Options, Report, Reprice Election Forms, Reprice Election Form**
Prerequisites	You must first run the Reprice Eligibility for the Reprice ID.
Access Requirements	Enter a Run Control ID.



Reprice Election Forms report page

The following elements are common to multiple pages in this application and are defined in the preface of this PeopleBook in PeopleBooks Standard Page Element Definitions: **Run Control ID, Language,** and **Name.**

Stock ID Select a Stock ID from available choices.

Reprice ID Select a Reprice ID from available choices

Process Method Select a Process Method from available choices. Valid values are ***Process All*** and ***Process by Individual***.

Sort Method Select a Sort Method from available choices.

Eligibility Status The system displays the Eligibility Status

Status Date The system displays the date the status last changed.

Participants

EmplID Select the EmplID of the participants to include on the reprice election forms.

Report List Click to access the Report List page, where you can view report content, check the status of a report, and see content detail messages (which show you a description of the report and the distribution list).

Process Monitor Click to access the Process List page, where you can view the status of submitted process requests.

Run Click to access the Process Scheduler request page, where you can specify where a process or job runs and the process output format.

For more information about the Report List page, the Process List page, and the Process Scheduler, see PeopleSoft Payroll PeopleBooks.

Reprice Election Forms Report

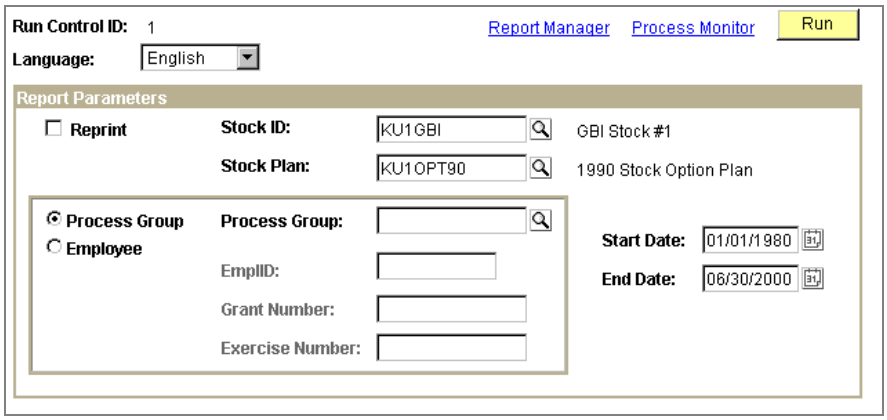
Description	The Reprice Election Forms report creates the election forms for optionees to sign to accept a stock reprice.
Report ID	STOP035
Type of Report	SQR
Parameters	Stock ID, Reprice ID, Process Method, Sort Method, EmplID
Source	ST_RUNCTL_REPRC2
Source Records	ST_REPRC_TBL, ST_GRANT, ST_GRNT_VST_DTL, ST_REPRC_PARTIC, ST_STOP035_TAO, ST_GRANT_EXER, RUN_CTL_ST_RP1_ST_INSIDER_TBL
Sorted By	Based on Sort Method field.

For samples of this and other reports in your application, see the PDF files published on CD-ROM with your documentation (for online users) or the *PeopleSoft HRMS Reporting Tools* (for hard copy users).

Generating the Options Exercise Receipts Report

Options Exercise Receipts Report Page

Usage	Use this report page to run the Options Exercise Receipts report.
Object Name	ST_RUNCTL_STOP009
Navigation	**Compensate Employees, Administer Stock Options, Report, Options Exercise Receipts, Stock Option Exercise Receipts**
Prerequisites	You must first have entered an exercise.
Access Requirements	Enter a Run Control ID.



Options Exercise Receipts report page

The following elements are common to multiple pages in this application and are defined in the preface of this PeopleBook in PeopleBooks Standard Page Element Definitions: **Run Control ID** and **Language.**

Reprint Select Reprint if you are reprinting this report.

Stock ID Select a Stock ID from available choices.

Stock Plan Select a Stock Plan from available choices.

Process Criteria

Select one of the following choices to indicate how you want the data processed.

Process Group Select **Process Group** if you want the data processed by process group.

Employee Select **Employee** if you want the data processed by employee.

Process Group If you selected Process Group this field becomes available. Select the process groups you want to include.

EmplID If you selected Employee this field becomes available. Select the employee you want to include.

Grant Number If you selected Employee this field becomes available. Select the grant number you want to include.

Exercise Number If you selected Employee this field becomes available. Select the exercise number you want to include.

Start Date Enter the first date you want to collect data.

End Date Enter the last date you want to collect data.

Report List	Click to access the Report List page, where you can view report content, check the status of a report, and see content detail messages (which show you a description of the report and the distribution list).
Process Monitor	Click to access the Process List page, where you can view the status of submitted process requests.
Run	Click to access the Process Scheduler request page, where you can specify where a process or job runs and the process output format.
	For more information about the Report List page, the Process List page, and the Process Scheduler, see PeopleSoft Payroll PeopleBooks.

Options Exercise Receipts Report

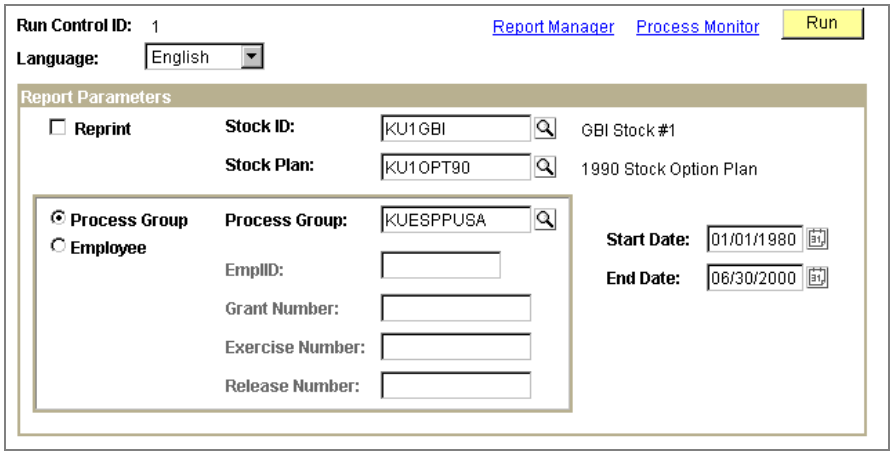
Description	The Option Exercise Receipts report shows detailed information about an exercise. You can send this report to an optionee when you complete the exercise.
Report ID	STOP009
Type of Report	SQR
Parameters	Stock ID, Stock Plan, EmplID, Start Date, End Date, Reprint Indicator, Process Group, Grant Number, Exercise Number
Source	ST_RUNCTL_STOP009
Source Records	STOCK_TBL, PERSONAL_DATA, PERS_NID, JOB, TAX_LOCATION1, ST_GRANT_EXER, ST_GRANT, ST_EXER_TAXES, ST_EXER_ISSUE, ST_OPTION_PLAN, RUN_CNTL_ST, ST_PRCS_GRP_DTL
Sorted By	Stock ID, Stock Plan, Name

For samples of this and other reports in your application, see the PDF files published on CD-ROM with your documentation (for online users) or the *PeopleSoft HRMS Reporting Tools* (for hard copy users).

Generating the Options Release Receipts Report

Options Release Receipts Report Page

Usage	Use this report page to run the Options Release Receipts report.
Object Name	ST_RUNCTL_STOP010
Navigation	**Compensate Employees, Administer Stock Options, Report, Options Release Receipts, Option Release receipts**
Prerequisites	You must first have entered a release.
Access Requirements	Enter a Run Control ID.



Options Release Receipts report page

The following elements are common to multiple pages in this application and are defined in the preface of this PeopleBook in PeopleBooks Standard Page Element Definitions: **Run Control ID** and **Language.**

Reprint Select Reprint if you are reprinting a receipt.

Stock ID Select a Stock ID from available choices.

Stock Plan Select a Stock Plan from available choices.

Process Criteria

Select one of the following choices to indicate how you want the data processed.

Process Group Select **Process Group** if you want the data processed by process group.

Employee Select **Employee** if you want the data processed by employee.

Process Group If you selected Process Group this field becomes available. Select the process groups you want to include.

EmplID If you selected Employee this field becomes available. Select the employee you want to include.

Grant Number If you selected Employee this field becomes available. Select the grant number you want to include.

Exercise Number If you selected Employee this field becomes available. Select the exercise number you want to include.

Release Number If you selected Employee this field becomes available. Select the release number you want to include.

Start Date Enter the first date you want to collect data.

End Date Enter the last date you want to collect data.

Report List Click to access the Report List page, where you can view report content, check the status of a report, and see content detail messages (which show you a description of the report and the distribution list).

Process Monitor Click to access the Process List page, where you can view the status of submitted process requests.

Run Click to access the Process Scheduler request page, where you can specify where a process or job runs and the process output format.

For more information about the Report List page, the Process List page, and the Process Scheduler, see PeopleSoft Payroll PeopleBooks.

Options Release Receipts Report

Description	The Option Release Receipts report shows detailed information about a release. You can send this report to an optionee when you complete the release.
Report ID	STOP010
Type of Report	SQR
Parameters	Stock ID, Stock Plan, EmplID, Start Date, End Date, Reprint Indicator,

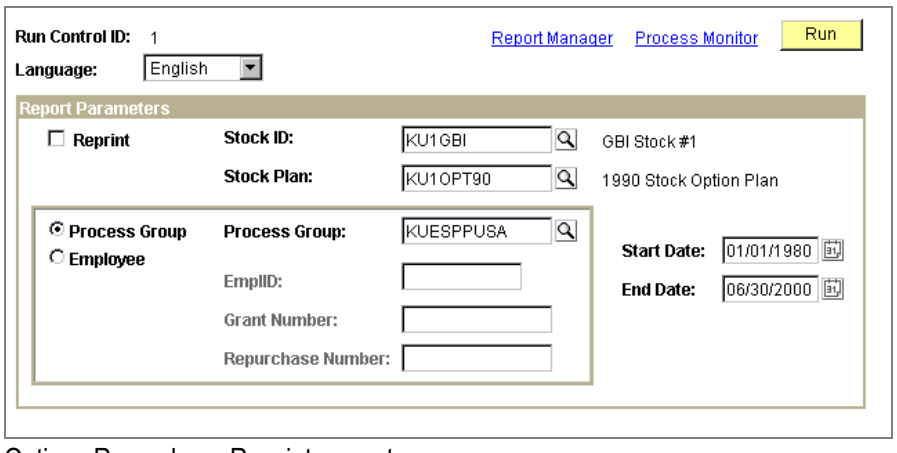
	Process Group, Grant Number, Exercise Number, Release Number.
Source	ST_RUNCTL_STOP010
Source Records	STOCK_TBL, PERSONAL_DATA, PERS_NID, JOB, TAX_LOCATION1, ST_EXER_RELEASE, ST_GRANT_EXER, ST_GRANT, ST_REL-TAXES, ST_REL_ISSUE, ST_OPTION_PLAN, RUN_CNTL_ST, ST_PRCS_GRP_DTL
Sorted By	Stock ID, Stock Plan, Name

For samples of this and other reports in your application, see the PDF files published on CD-ROM with your documentation (for online users) or the *PeopleSoft HRMS Reporting Tools* (for hard copy users).

Generating the Options Repurchase Receipts Report

Options Repurchase Receipts Report Page

Usage	Use this report page to run the Options Repurchase Receipts report.
Object Name	ST_RUNCTL_STOP011
Navigation	**Compensate Employees, Administer Stock Options, Report, Options Repurchase Receipts, Option Repurchase Receipts**
Prerequisites	You must first have entered a repurchase.
Access Requirements	Enter a Run Control ID.



Options Repurchase Receipts report page

The following elements are common to multiple pages in this application and are defined in the preface of this PeopleBook in PeopleBooks Standard Page Element Definitions: **Run Control ID** and **Language.**

Reprint Select Reprint if you are reprinting a receipt.

Stock ID Select a Stock ID from available choices.

Stock Plan Select a Stock Plan from available choices.

Process Criteria

Select one of the following choices to indicate how you want the data processed.

Process Group Select **Process Group** if you want the data processed by process group.

Employee Select **Employee** if you want the data processed by employee.

Process Group If you selected Process Group this field becomes available. Select the process groups you want to include.

EmplID If you selected Employee this field becomes available. Select the employee you want to include.

Grant Number If you selected Employee this field becomes available. Select the grant number you want to include.

Repurchase Number If you selected Employee this field becomes available. Select the repurchase number you want to include.

Start Date Enter the first date you want to collect data.

End Date Enter the last date you want to collect data.

Report List Click to access the Report List page, where you can view report content, check the status of a report, and see content detail messages (which show you a description of the report and the distribution list).

Process Monitor Click to access the Process List page, where you can view the status of submitted process requests.

Run Click to access the Process Scheduler request page, where you can specify where a process or job runs and the process output format.

For more information about the Report List page, the Process List page, and the Process Scheduler, see PeopleSoft Payroll PeopleBooks.

Options Repurchase Receipts Report

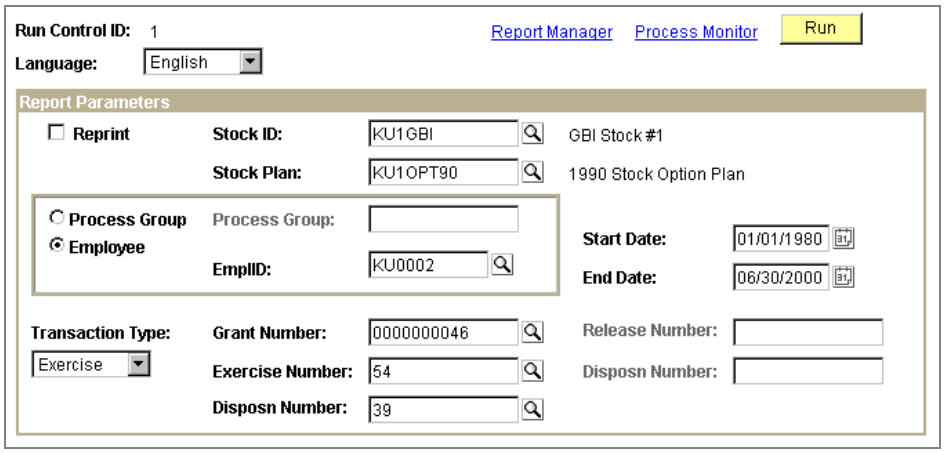
Description	The Option Repurchase Receipts report shows detailed information about a repurchase. You can send this report to an optionee when you complete the repurchase.
Report ID	STOP011
Type of Report	SQR
Parameters	Stock ID, Stock Plan, EmplID, Start Date, End Date, Reprint Indicator, Process Group, Grant Number, and Repurchase Number.
Source	ST_RUNCTL_STOP011
Source Records	STOCK_TBL, PERSONAL_DATA, PERS_NID, JOB, TAX_LOCATION1, ST_GRNT_REPURCH, ST_GRANT, ST_OPTION_PLAN, RUN_CNTL_ST, ST_PRCS_GRP_DTL
Sorted By	Stock ID, Stock Plan, Name

For samples of this and other reports in your application, see the PDF files published on CD-ROM with your documentation (for online users) or the *PeopleSoft HRMS Reporting Tools* (for hard copy users).

Generating the Options Disposition Statement Report

Options Disposition Statement Report Page

Usage	Use this report page to run the Options Disposition Statement report.
Object Name	ST_RUNCTL_STOP023
Navigation	**Compensate Employees, Administer Stock Options, Report, Options Disposition Statement, Disposition Statement**
Prerequisites	You must first have entered a disposition.
Access Requirements	Enter a Run Control ID.



Options Disposition Statement report page

The following elements are common to multiple pages in this application and are defined in the preface of this PeopleBook in PeopleBooks Standard Page Element Definitions: **Run Control ID** and **Language.**

Reprint Select Reprint if you are reprinting a receipt.

Stock ID Select a Stock ID from available choices.

Stock Plan Select a Stock Plan from available choices.

Process Criteria

Select one of the following choices to indicate how you want the data processed.

Process Group Select **Process Group** if you want the data processed by process group.

Employee Select **Employee** if you want the data processed by employee.

Process Group If you selected **Process Group** this field becomes available. Select the process groups you want to include.

EmplID If you selected **Employee** this field becomes available. Select the employee you want to include.

Start Date Enter the first date you want to collect data.

End Date Enter the last date you want to collect data.

Transaction Type If you selected **Employee** this field becomes available. Select a transaction type of ***Exercise*** or ***Release***.

Grant Number If you selected **Employee** and either **Transaction Type** this field becomes available. Select the grant number you want to include.

Exercise Number If you selected **Employee** and either **Transaction Type** this field becomes available. Select the exercise number you want to include.

Disposn Number If you selected **Employee** and ***Exercise*** this field becomes available. Select the exercise disposition number you want to include.

Release Number If you selected **Employee** and ***Release*** this field becomes available. Select the release number you want to include.

Disposn Number If you selected **Employee** and ***Release*** this field becomes available. Select the release disposition number you want to include.

Report List Click to access the Report List page, where you can view report content, check the status of a report, and see content detail messages (which show you a description of the report and the distribution list).

Process Monitor Click to access the Process List page, where you can view the status of submitted process requests.

Run Click to access the Process Scheduler request page, where you can specify where a process or job runs and the process output format.

For more information about the Report List page, the Process List page, and the Process Scheduler, see PeopleSoft Payroll PeopleBooks.

Options Disposition Statement Report

Description	The Options Disposition Statement report shows detailed information about a disqualified disposition. You can send this to an optionee to use with income reported on their W-2 form.
Report ID	STOP023
Type of Report	SQR

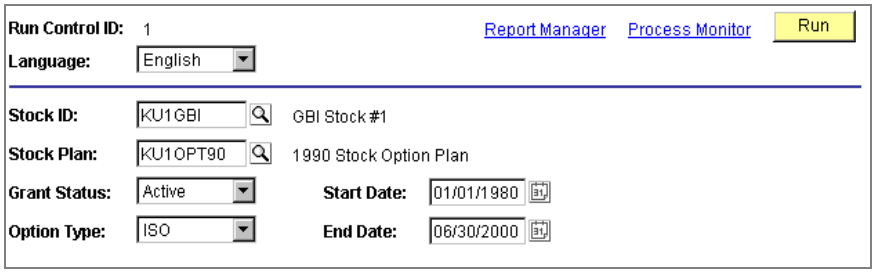
Parameters	Reprint Prompt, Stock ID, Stock Plan, Process Group, EmplID, Start Date, End Date, Disposition Number, Exercise Number, Release Number, Grant Number
Source	ST_RUNCTL_STOP023
Source Records	ST_GRANT, ST_GRANT_EXER, ST_EXER_DISPOSN, ST_EXER_RELEASE, ST_REL_DISPOSN, JOB, PERSONAL_DATA, ST_OPTION_PLAN, PERS_NID, R_PRCS_GRP_DTL, TAX_LOCATION1, STOCK_TBL
Sorted By	EmplID, Disposition Type, and Exercise or Release Date

For samples of this and other reports in your application, see the PDF files published on CD-ROM with your documentation (for online users) or the *PeopleSoft HRMS Reporting Tools* (for hard copy users).

Generating the Options Shares Granted Report

Options Shares Granted Report Page

Usage	Use this report page to run the Options Shares Granted report.
Object Name	ST_RUNCTL_STOP002
Navigation	• **Compensate Employees, Administer Stock Options, Report, Options Shares Granted, St Runctl Stop002**
Prerequisites	You must have entered a grant.
Access Requirements	Enter a Run Control ID.



Options Shares Granted report page

The following elements are common to multiple pages in this application and are defined in the preface of this PeopleBook in PeopleBooks Standard Page Element Definitions: **Run Control ID** and **Language.**

Stock ID	Select a Stock ID from available choices.
Stock Plan	Select a Stock Plan from available choices.
Grant Status	Select a grant status of ***Active, Pending,*** or ***Void***.
Option Type	Select an option type of ***ISO, ISO/SAR, NQ, NQ/SAR,*** or ***RSA***.
Start Date	Enter the first date you want to collect data.
End Date	Enter the last date you want to collect data.

Report List	Click to access the Report List page, where you can view report content, check the status of a report, and see content detail messages (which show you a description of the report and the distribution list).
Process Monitor	Click to access the Process List page, where you can view the status of submitted process requests.
Run	Click to access the Process Scheduler request page, where you can specify where a process or job runs and the process output format. For more information about the Report List page, the Process List page, and the Process Scheduler, see PeopleSoft Payroll PeopleBooks.

Options Shares Granted Report

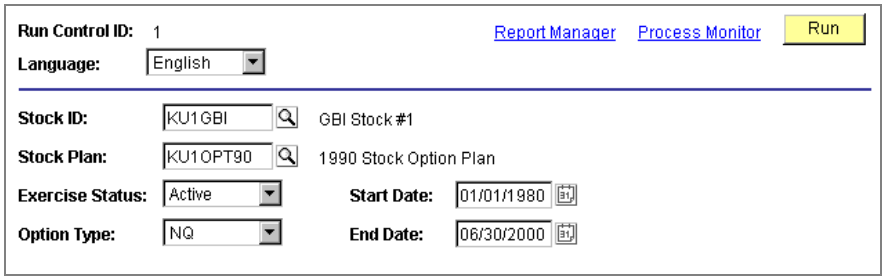
Description	The Option Shares Granted report shows the options granted during a specified date range. You can use it to verify data entry, prepare the annual report, prepare forms 10-K and 10-Q, and to reconcile the plan summary.
Report ID	STOP022
Type of Report	SQR
Parameters	Stock ID, Stock Plan, Grant Status, Option Type, Start Date, End Date
Source	ST_RUNCTL_STOP002
Source Records	ST_GRANT, ST_OPTION_PLAN, PERSONAL_DATA
Sorted By	Name, EmplID, Grant Number, Grant Date, Shares Granted.

For samples of this and other reports in your application, see the PDF files published on CD-ROM with your documentation (for online users) or the *PeopleSoft HRMS Reporting Tools* (for hard copy users).

Generating the Options Shares Exercised Report

Options Shares Exercised Report Page

Usage	Use this report page to run the Options Shares Exercised report.
Object Name	ST_RUNCTL_STOP003
Navigation	**Compensate Employees, Administer Stock Options, Report, Options Shares Exercised, St Runctl Stop003**
Prerequisites	You must have entered an exercise.
Access Requirements	Enter a Run Control ID.



Option Shares Exercised report page

The following elements are common to multiple pages in this application and are defined in the preface of this PeopleBook in PeopleBooks Standard Page Element Definitions: **Run Control ID** and **Language.**

Stock ID Select a Stock ID from available choices.

Stock Plan Select a Stock Plan from available choices.

Exercise Status Select an exercise status of ***Active, Pending,*** or ***Void***.

Option Type Select an option type of ***ISO, ISO/SAR, NQ, NQ/SAR,*** or ***RSA***.

Start Date Enter the first date you want to collect data.

End Date Enter the last date you want to collect data.

Report List	Click to access the Report List page, where you can view report content, check the status of a report, and see content detail messages (which show you a description of the report and the distribution list).
Process Monitor	Click to access the Process List page, where you can view the status of submitted process requests.
Run	Click to access the Process Scheduler request page, where you can specify where a process or job runs and the process output format.

For more information about the Report List page, the Process List page, and the Process Scheduler, see PeopleSoft Payroll PeopleBooks.

Options Shares Exercised Report

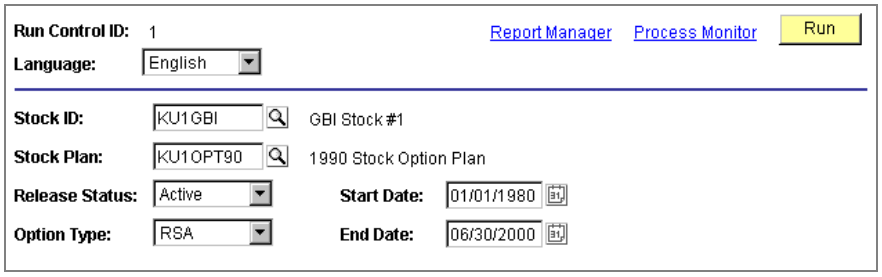
Description	The Option Shares Exercised report shows the options exercised during a specific date range. You can use it to verify data entry, prepare the annual report, prepare forms 10-K and 10-Q, and to reconcile the plan summary.
Report ID	STOP003
Type of Report	SQR
Parameters	Stock ID, Stock Plan, Exercise Status, Option Type, Start Date, End Date
Source	ST_RUNCTL_STOP003
Source Records	ST_GRANT, ST_GRANT_EXER, PERSONAL_DATA
Sorted By	Stock ID, Stock Plan, Option Type, Exercise Status, Name

For samples of this and other reports in your application, see the PDF files published on CD-ROM with your documentation (for online users) or the *PeopleSoft HRMS Reporting Tools* (for hard copy users).

Generating the Option Shares Released Report

Option Shares Released Report Page

Usage	Use this report page to run the Options Shares Released report.
Object Name	ST_RUNCTL_STOP004
Navigation	**Compensate Employees, Administer Stock Options, Report, Options Shares Released, St Runctl Stop004**
Prerequisites	You must have entered a release.
Access Requirements	Enter a Run Control ID.



Options Shares Released report page

The following elements are common to multiple pages in this application and are defined in the preface of this PeopleBook in PeopleBooks Standard Page Element Definitions: **Run Control ID** and **Language.**

Stock ID Select a Stock ID from available choices.

Stock Plan Select a Stock Plan from available choices.

Release Status Select a release status of ***Active, Pending,*** or ***Void***.

Option Type Select an option type of ***ISO, ISO/SAR, NQ, NQ/SAR,*** or ***RSA***.

Start Date Enter the first date you want to collect data.

End Date Enter the last date you want to collect data.

Report List Click to access the Report List page, where you can view report content, check the status of a report, and see content detail messages (which show you a description of the report and the distribution list).

Process Monitor	Click to access the Process List page, where you can view the status of submitted process requests.
Run	Click to access the Process Scheduler request page, where you can specify where a process or job runs and the process output format. For more information about the Report List page, the Process List page, and the Process Scheduler, see PeopleSoft Payroll PeopleBooks.

Option Shares Released Report

Description	The Option Shares Released report shows the options released during a specific date range.
Report ID	STOP004
Type of Report	SQR
Parameters	Stock ID, Stock Plan, Release Status, Option Type, Start Date, End Date
Source	ST_RUNCTL_STOP004
Source Records	ST_GRANT, ST_GRANT_EXER, ST_EXER_RELEASE, PERSONAL_DATA
Sorted By	Stock ID, Stock Plan, Option Type, Release Status, Name

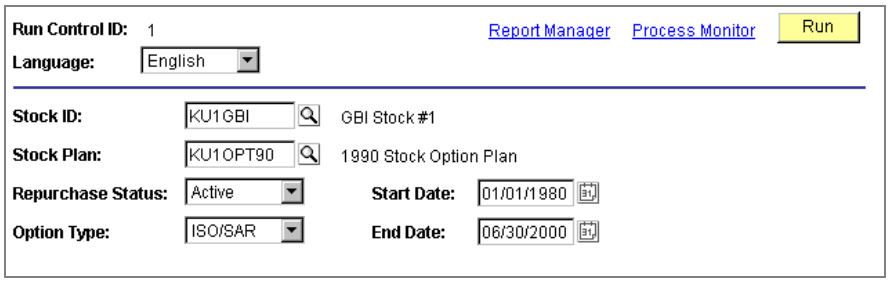
For samples of this and other reports in your application, see the PDF files published on CD-ROM with your documentation (for online users) or the *PeopleSoft HRMS Reporting Tools* (for hard copy users).

Generating the Options Shares Repurchased Report

Option Shares Repurchased Report Page

Usage	Use this report page to run the Option Shares Repurchased report.
Object Name	ST_RUNCTL_STOP006
Navigation	**Compensate Employees, Administer Stock Options, Report, Options Shares Repurchased, St Runctl Stop006**
Prerequisites	You must have entered a repurchase.

Access Requirements	Enter a Run Control ID.



Options Shares Repurchased report page

The following elements are common to multiple pages in this application and are defined in the preface of this PeopleBook in PeopleBooks Standard Page Element Definitions: **Run Control ID** and **Language.**

Stock ID Select a Stock ID from available choices.

Stock Plan Select a Stock Plan from available choices.

Repurchase Status Select a repurchase status of ***Active*** or ***Void***.

Option Type Select an option type of ***ISO, ISO/SAR, NQ, NQ/SAR,*** or ***RSA***.

Start Date Enter the first date you want to collect data.

End Date Enter the last date you want to collect data.

Report List Click to access the Report List page, where you can view report content, check the status of a report, and see content detail messages (which show you a description of the report and the distribution list).

Process Monitor Click to access the Process List page, where you can view the status of submitted process requests.

Run Click to access the Process Scheduler request page, where you can specify where a process or job runs and the process output format.

For more information about the Report List page, the Process List page, and the Process Scheduler, see PeopleSoft Payroll PeopleBooks.

Option Shares Repurchased Report

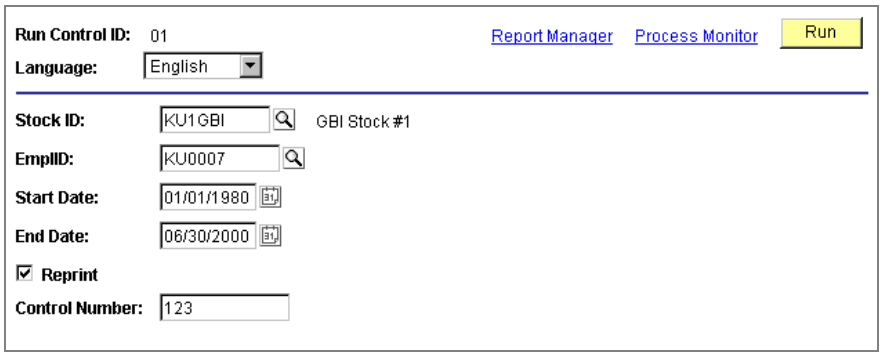
Description	The Option Shares Repurchased report shows options repurchased during a specific date range.
Report ID	STOP006
Type of Report	SQR
Parameters	Stock ID, Stock Plan, Repurchase Status, Option Type, Start Date, End Date
Source	ST_RUNCTL_STOP006
Source Records	ST_GRANT, ST_GRNT_REPURCH, PERSONAL_DATA
Sorted By	Stock ID, Stock Plan, Option Type, Repurchase Status, Name

For samples of this and other reports in your application, see the PDF files published on CD-ROM with your documentation (for online users) or the *PeopleSoft HRMS Reporting Tools* (for hard copy users).

Generating the Options Transfer Agent Instn (Instruction) Report

Options Transfer Agent Instn (Instruction) Report Page

Usage	Use this report page to run the Options Transfer Agent Instn report.
Object Name	ST_RUNCTL_STOP015
Navigation	**Compensate Employees, Administer Stock Options, Report, Options Transfer Agent Instn, Transfer Agent Instructions**
Prerequisites	You must have entered an exercise, release, or repurchase.
Access Requirements	Enter a Run Control ID.



Options Transfer Agent Instn (Instruction) report page

The following elements are common to multiple pages in this application and are defined in the preface of this PeopleBook in PeopleBooks Standard Page Element Definitions: **Run Control ID** and **Language.**

Stock ID Select a Stock ID from available choices.

EmplID Select an EmplID from available choices.

Start Date Enter the first date you want to collect data.

End Date Enter the last date you want to collect data.

Reprint Select Reprint if you are reprinting this report.

Control Number If you selected Reprint, this field is available. Enter a control number.

Report List Click to access the Report List page, where you can view report content, check the status of a report, and see content detail messages (which show you a description of the report and the distribution list).

Process Monitor Click to access the Process List page, where you can view the status of submitted process requests.

Run Click to access the Process Scheduler request page, where you can specify where a process or job runs and the process output format.

For more information about the Report List page, the Process List page, and the Process Scheduler, see PeopleSoft Payroll PeopleBooks.

Options Transfer Agent Instn (Instruction) Exercise Report

Description	The Options Transfer Agent Instn (Instruction) Exercise report shows all option exercises confirmed within a specified date range. It summarizes the information required by your transfer agent for the issuance of stock certificates.
Report ID	STOP015
Type of Report	SQR
Parameters	Stock ID, EmplID, Start Date, End Date, Reprint Prompt, Control Number
Source	ST_RUNCTL_STOP015
Source Records	ST_GRANT, ST_GRANT_EXER, PERSONL_DATA, ST_BRKR_BRANCH, ST_BROKER_TBL, ST_EXER_ISSUE, ST_BROKER_DTL, ST_AGENT_DTL, STOCK_DTL, ST_EXER_SWAP, ST_EXER_LEGEND, STOCK_LEGEND, STOCK_AGENT
Sorted By	Name

For samples of this and other reports in your application, see the PDF files published on CD-ROM with your documentation (for online users) or the *PeopleSoft HRMS Reporting Tools* (for hard copy users).

Options Transfer Agent Instn (Instruction) Repurchase Report

Description	The Options Transfer Agent Instn (Instruction) Repurchase report shows all option repurchase confirmed within a specified date range. It summarizes the information required by your transfer agent for the issuance of stock certificates.
Report ID	STOP016
Type of Report	SQR
Parameters	Stock ID, EmplID, Start Date, End Date, Reprint Prompt, Control Number
Source	ST_RUNCTL_STOP015
Source Records	ST_GRANT, ST_GRANT_EXER, PERSONL_DATA, ST_BRKR_BRANCH, ST_BROKER_TBL, ST_EXER_ISSUE, ST_BROKER_DTL, ST_AGENT_DTL, STOCK_DTL, ST_EXER_SWAP, ST_EXER_LEGEND, STOCK_LEGEND, STOCK_AGENT, ST_GRNT_REPURCH

Sorted By	Name

For samples of this and other reports in your application, see the PDF files published on CD-ROM with your documentation (for online users) or the *PeopleSoft HRMS Reporting Tools* (for hard copy users).

Options Transfer Agent Instn (Instruction) Releases Report

Description	The Options Transfer Agent Instn (Instruction) Release report shows all option releases confirmed within a specified date range. It summarizes the information required by your transfer agent for the issuance of stock certificates.
Report ID	STOP017
Type of Report	SQR
Parameters	Stock ID, EmplID, Start Date, End Date, Reprint Prompt, Control Number
Source	ST_RUNCTL_STOP015
Source Records	ST_GRANT, ST_GRANT_EXER, ST_EXER_RELEASE, PERSONL_DATA, ST_BRKR_BRANCH, ST_BROKER_TBL, ST_REL_ISSUE, ST_BROKER_DTL, ST_AGENT_DTL, STOCK_DTL, ST_REL_SWAP, ST_EXER_LEGEND, STOCK_LEGEND, STOCK_AGENT, ST_REL_LEGEND
Sorted By	Name

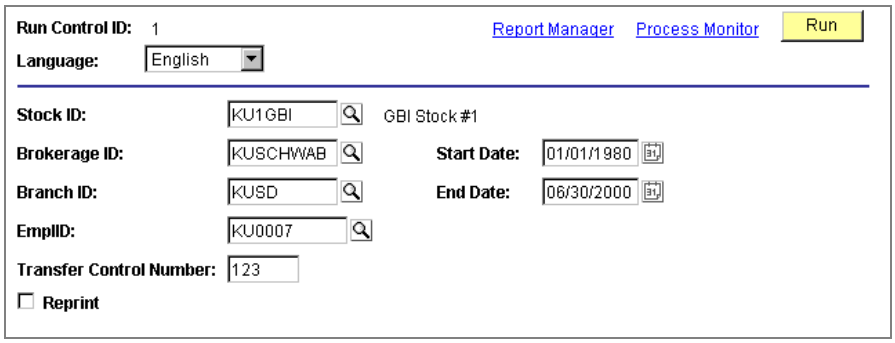
For samples of this and other reports in your application, see the PDF files published on CD-ROM with your documentation (for online users) or the *PeopleSoft HRMS Reporting Tools* (for hard copy users).

Generating the Options Broker Deposits Report

Options Broker Deposits Report Page

Usage	Use this report page to run the Options Broker Deposits report.
Object Name	ST_RUNCTL_STOP018

Navigation	**Compensate Employees, Administer Stock Options, Report, Options Broker Deposits, St Runctl Stop018**
Prerequisites	You must have entered an exercise or release where the shares issued are to be deposited with the stockbroker.
Access Requirements	Enter a Run Control ID.



Options Broker Deposits report page

The following elements are common to multiple pages in this application and are defined in the preface of this PeopleBook in PeopleBooks Standard Page Element Definitions: **Run Control ID** and **Language.**

Stock ID Select a Stock ID from available choices.

Brokerage ID Select a Brokerage ID from available choices.

Branch ID Select a Branch ID from available choices.

EmplID Select an EmplID from available choices.

Transfer Control Number Enter a transfer control number. This number is generated by the Transfer Agent instruction report.

Reprint Select Reprint if you are reprinting this report.

Start Date Enter the first date you want to collect data.

End Date Enter the last date you want to collect data.

Report List Click to access the Report List page, where you can view report content, check the status of a report, and see content detail messages (which show you a description of the report and the distribution list).

Process Monitor Click to access the Process List page, where you can view the status of submitted process requests.

Run Click to access the Process Scheduler request page, where you can specify where a process or job runs and the process output format.

For more information about the Report List page, the Process List page, and the Process Scheduler, see PeopleSoft Payroll PeopleBooks.

Options Broker Deposits Report - Exercises

Description	The Options Broker Deposits - Exercises report lists all exercises confirmed within a specific date range where the shares are to be delivered to the stockbroker.
Report ID	STOP018A
Type of Report	SQR
Parameters	Stock ID, Brokerage ID, Branch ID, EmplID, Transfer Control Number, Reprint Prompt, Start Date, End Date
Source	ST_RUNCTL_STOP018
Source Records	ST_GRANT_EXER, PERSONAL_DATA, PERS_NID_VW, ST_BRKR_BRANCH, ST_BROKER_TBL, ST_EXER_ISSUE, ST_BRKR_DTL, STOCK_BRANCH_DTL, STOCK_BRANCH
Sorted By	Brokerage ID, Branch ID, Name

For samples of this and other reports in your application, see the PDF files published on CD-ROM with your documentation (for online users) or the *PeopleSoft HRMS Reporting Tools* (for hard copy users).

Options Broker Deposits Report - Releases

Description	The Options Broker Deposits - Releases report lists all releases confirmed within a specific date range where the shares are to be delivered to the stockbroker.
Report ID	STOP018B
Type of Report	SQR
Parameters	Stock ID, Brokerage ID, Branch ID, EmplID, Transfer Control Number, Reprint Prompt, Start Date, End Date

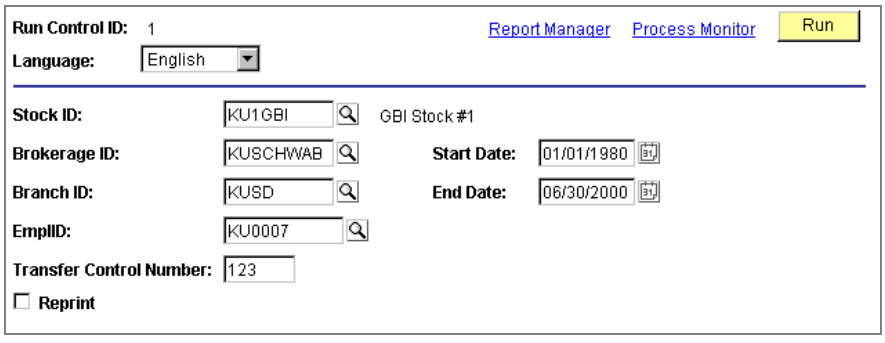
Source	ST_RUNCTL_STOP018
Source Records	ST_EXER_RELEASE, PERSONAL_DATA, PERS_NID_VW, ST_BRKR_BRANCH, ST_BROKER_TBL, ST_REL_ISSUE, ST_BRKR_DTL, STOCK_BRANCH_DTL, STOCK_BRANCH
Sorted By	Brokerage ID, Branch ID, Name

For samples of this and other reports in your application, see the PDF files published on CD-ROM with your documentation (for online users) or the *PeopleSoft HRMS Reporting Tools* (for hard copy users).

Generating the Options Broker Invoices Report

Options Broker Invoices Report Page

Usage	Use this report page to run the Options Broker Invoices report.
Object Name	ST_RUNCTL_STOP019
Navigation	**Compensate Employees, Administer Stock Options, Report, Options Broker Invoices, St Runctl Stop019**
Prerequisites	You must have entered an exercise or release where the payment method was Same Day Sale or Sell to Cover.
Access Requirements	Enter a Run Control ID.



Options Broker Invoices report page

The following elements are common to multiple pages in this application and are defined in the preface of this PeopleBook in PeopleBooks Standard Page Element Definitions: **Run Control ID** and **Language.**

Stock ID Select a Stock ID from available choices.

Brokerage ID	Select a Brokerage ID from available choices.
Branch ID	Select a Branch ID from available choices.
EmplID	Select an EmplID from available choices.
Transfer Control Number	Enter a transfer control number. This number is generated by the Transfer Agent instruction report.
Reprint	Select Reprint if you are reprinting this report.
Start Date	Enter the first date you want to collect data.
End Date	Enter the last date you want to collect data.

Report List	Click to access the Report List page, where you can view report content, check the status of a report, and see content detail messages (which show you a description of the report and the distribution list).
Process Monitor	Click to access the Process List page, where you can view the status of submitted process requests.
Run	Click to access the Process Scheduler request page, where you can specify where a process or job runs and the process output format. For more information about the Report List page, the Process List page, and the Process Scheduler, see PeopleSoft Payroll PeopleBooks.

Options Broker Invoices - Exercises Report

Description	The Options Broker Invoices - Exercises report lists all Same Day Sale and Sell to Cover exercises confirmed within a specified date range. It includes information required by the broker to distribute funds due to the company from the exercise.
Report ID	STOP019A
Type of Report	SQR
Parameters	Stock ID, Brokerage ID, Branch ID, EmplID, Transfer Control Number, Reprint Prompt, Start Date, End Date
Source	ST_RUNCTL_STOP019
Source Records	ST_GRANT_EXER, PERSONAL_DATA, PERS_NID_VW, ST_BRKR_BRANCH, ST_BROKER_TBL, ST_EXER_ISSUE,

	ST_GRANT, ST_EXER_TAXES
Sorted By	Brokerage ID, Branch ID, Name

For samples of this and other reports in your application, see the PDF files published on CD-ROM with your documentation (for online users) or the *PeopleSoft HRMS Reporting Tools* (for hard copy users).

Options Broker Invoices - Releases Report

Description	The Options Broker Invoices - Releases report lists all Same Day Sale and Sell to Cover releases confirmed within a specified date range. It includes information required by the broker to distribute funds due to the company from the release.
Report ID	STOP019B
Type of Report	SQR
Parameters	Stock ID, Brokerage ID, Branch ID, EmplID, Transfer Control Number, Reprint Prompt, Start Date, End Date
Source	ST_RUNCTL_STOP019
Source Records	ST_EXER_RELEASE, PERSONAL_DATA, PERS_NID_VW, ST_BRKR_BRANCH, ST_BROKER_TBL, ST_REL_ISSUE, ST_GRANT, ST_REL_TAXES
Sorted By	Brokerage ID, Branch ID, Name

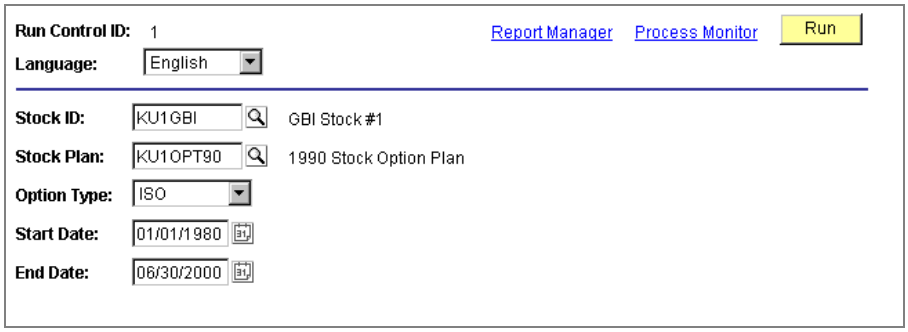
For samples of this and other reports in your application, see the PDF files published on CD-ROM with your documentation (for online users) or the *PeopleSoft HRMS Reporting Tools* (for hard copy users).

Generating the Options Vesting Forecast Report

Options Vesting Forecast Report Page

Usage	Use this report page to run the Options Vesting Forecast report.
Object Name	ST_RUNCTL_STOP007
Navigation	**Compensate Employees, Administer Stock Options, Report, Options**

	Vesting Forecast, St Runctl Stop007
Prerequisites	You must have entered a restricted exercise.
Access Requirements	Enter a Run Control ID.



Options Vesting Forecast report page

The following elements are common to multiple pages in this application and are defined in the preface of this PeopleBook in PeopleBooks Standard Page Element Definitions: **Run Control ID** and **Language.**

Stock ID Select a Stock ID from available choices.

Stock Plan Select a Stock Plan from available choices.

Option Type Select an Option Type from available choices.

Start Date Enter the first date you want to collect data.

End Date Enter the last date you want to collect data.

Report List Click to access the Report List page, where you can view report content, check the status of a report, and see content detail messages (which show you a description of the report and the distribution list).

Process Monitor Click to access the Process List page, where you can view the status of submitted process requests.

Run Click to access the Process Scheduler request page, where you can specify where a process or job runs and the process output format.

For more information about the Report List page, the Process List page, and the Process Scheduler, see PeopleSoft Payroll PeopleBooks.

Options Vesting Forecast Report

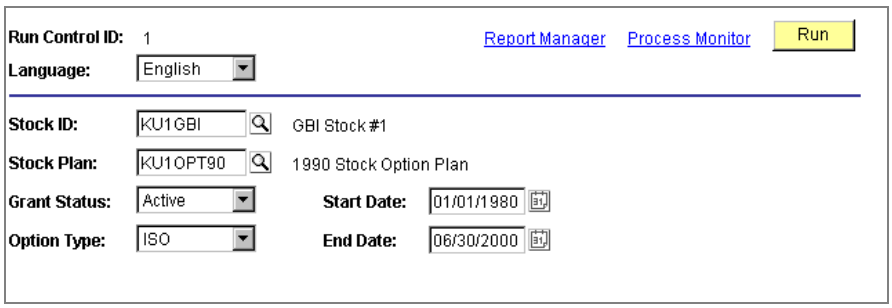
Description	The Options Vesting Forecast report shows the future vest dates for restricted exercises. You can use it to plan when you can release restricted shares.
Report ID	STOP007
Type of Report	SQR
Parameters	Stock ID, Stock Plan, Option Type, Start Date, End Date
Source	ST_RUNCTL_STOP007
Source Records	ST_GRANT_VST_DTL, ST_GRANT_EXER, ST_GRANT, PERSONAL_DATA
Sorted By	Stock Plan, Option Type, Name

For samples of this and other reports in your application, see the PDF files published on CD-ROM with your documentation (for online users) or the *PeopleSoft HRMS Reporting Tools* (for hard copy users).

Generating the Options Shares Cancelled Report

Options Shares Cancelled Report Page

Usage	Use this report page to run the Options Shares Cancelled report.
Object Name	ST_RUNCTL_STOP005
Navigation	**Compensate Employees, Administer Stock Options, Report, Option Shares Cancelled**
Prerequisites	You must have run a HR action process for terminations, repriced options, or manually cancelled options because of termination, reprice, or rescind.
Access Requirements	Enter a Run Control ID.



Options Shares Cancelled report page

The following elements are common to multiple pages in this application and are defined in the preface of this PeopleBook in PeopleBooks Standard Page Element Definitions: **Run Control ID** and **Language.**

Stock ID Select a Stock ID from available choices.

Stock Plan Select a Stock Plan from available choices.

Grant Status Select a grant status of ***Active, Pending,*** or ***Void***.

Option Type Select an option type of ***ISO, ISO/SAR, NQ, NQ/SAR,*** or ***RSA***.

Start Date Enter the first date you want to collect data.

End Date Enter the last date you want to collect data.

Report List Click to access the Report List page, where you can view report content, check the status of a report, and see content detail messages (which show you a description of the report and the distribution list).

Process Monitor Click to access the Process List page, where you can view the status of submitted process requests.

Run Click to access the Process Scheduler request page, where you can specify where a process or job runs and the process output format.

For more information about the Report List page, the Process List page, and the Process Scheduler, see PeopleSoft Payroll PeopleBooks.

Options Shares Cancelled Report

Description	The Options Shares Cancelled report lists all options cancelled during a

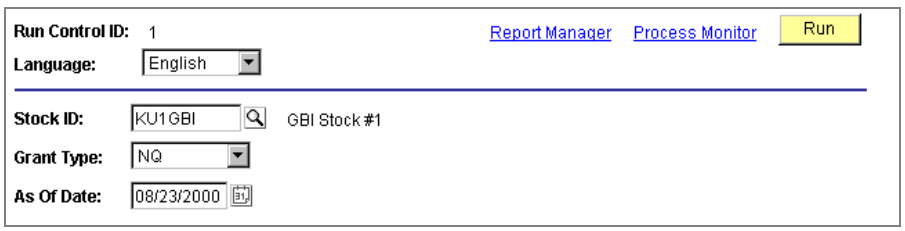
	specified date range. You can use this report to verify data entry, prepare the annual report, prepare forms10-K and 10-Q, and to reconcile the plan summary.
Report ID	STOP005
Type of Report	SQR
Parameters	Stock ID, Stock Plan, Grant Status, Option Type, Start Date, End Date
Source	ST_RUNCTL_STOP005
Source Records	ST_GRANT, ST_GRNT_VST_DTL, ST_GRANT_EXER, ST_STOP005_TBL, PERSONAL_DATA
Sorted By	Stock ID, Stock Plan, Option Type, Cancel Reason, Name

For samples of this and other reports in your application, see the PDF files published on CD-ROM with your documentation (for online users) or the *PeopleSoft HRMS Reporting Tools* (for hard copy users).

Generating the Options Subject to Repurchase Report

Options Subject to Repurchase Report Page

Usage	Use this report page to run the Options Subject to Repurchase report.
Object Name	ST_RUNCTL_STOP008
Navigation	**Compensate Employees, Administer Stock Options, Report, Options Subject to Repurchase, St Runctl Stop008**
Prerequisites	You must first have entered restricted exercises.
Access Requirements	Enter a Run Control ID.



Options Subject to Repurchase report page

The following elements are common to multiple pages in this application and are defined in the preface of this PeopleBook in PeopleBooks Standard Page Element Definitions: **Run Control ID** and **Language.**

Stock ID Select a Stock ID from available choices.

Grant Type Select a grant type of ***Active, Pending,*** or ***Void***,

As of Date Enter the date you want to use to calculate the repurchase information.

Report List Click to access the Report List page, where you can view report content, check the status of a report, and see content detail messages (which show you a description of the report and the distribution list).

Process Monitor Click to access the Process List page, where you can view the status of submitted process requests.

Run Click to access the Process Scheduler request page, where you can specify where a process or job runs and the process output format.

For more information about the Report List page, the Process List page, and the Process Scheduler, see PeopleSoft Payroll PeopleBooks.

Options Subject to Repurchase Report

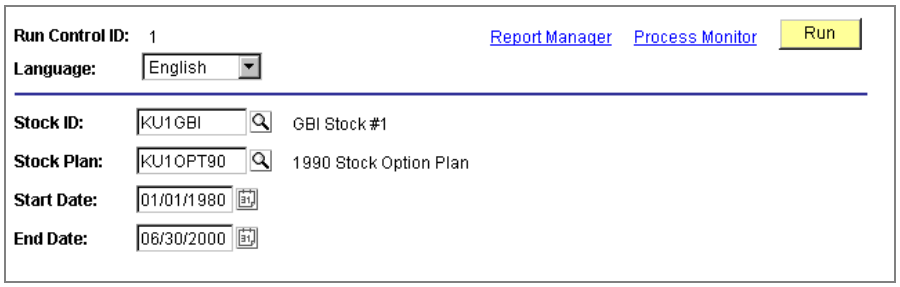
Description	The Options Subject to Repurchase report lists all shares that were exercised before vest but have not been released as of the specified date.
Report ID	STOP008
Type of Report	SQR
Parameters	Stock ID, Option Type, As of Date
Source	ST_RUNCTL_STOP008
Source Records	ST_GRANT, ST_GRNT_VST_DTL, ST_GRANT_EXER, ST_EXER_RELEASE, ST_STOP008_TBL, PERSONAL_DATA
Sorted By	Stock ID, Option Type, Name, EmplID

For samples of this and other reports in your application, see the PDF files published on CD-ROM with your documentation (for online users) or the *PeopleSoft HRMS Reporting Tools* (for hard copy users).

Generating the Options Plan Summary Report

Options Plan Summary Report Page

Usage	Use this report page to run the Option Plan Summary report page. The Plan Activity Summary Report Page also uses this run control page.
Object Name	ST_RUNCTL_STES001
Navigation	• **Compensate Employees, Administer Stock Options, Report, Options Plan Summary, Plan Summaries** • **Compensate Employees, Administer Stock Purchases, Report, Plan Activity Summary, ESPP Plan Activity Summary**
Prerequisites	You must first set up a stock option plan.
Access Requirements	Enter a Run Control ID.



Options Plan Summary report page

The following elements are common to multiple pages in this application and are defined in the preface of this PeopleBook in PeopleBooks Standard Page Element Definitions: **Run Control ID** and **Language.**

Stock ID Select a Stock ID from available choices.

Stock Plan Select a Stock Plan from available choices.

Start Date Enter the first date you want to collect data.

End Date Enter the last date you want to collect data.

Report List	Click to access the Report List page, where you can view report content, check the status of a report, and see content detail messages (which show you a description of the report and the distribution list).
Process Monitor	Click to access the Process List page, where you can view the status of submitted process requests.
Run	Click to access the Process Scheduler request page, where you can specify where a process or job runs and the process output format.

For more information about the Report List page, the Process List page, and the Process Scheduler, see PeopleSoft Payroll PeopleBooks.

Options Plan Summary Report

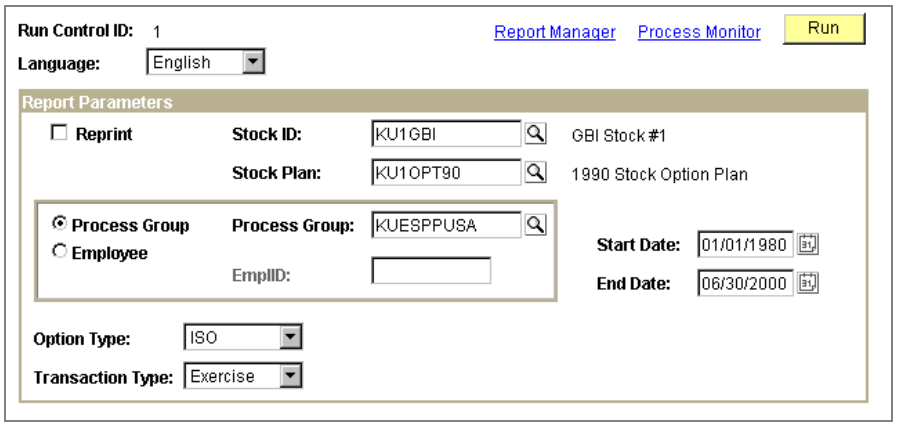
Description	The Options Plan Summary report lists all plan activity that occurred during the specified date range. You can use it to reconcile plan balances and to prepare the annual report proxy and forms 10-K and 10-Q.
Report ID	STOP001
Type of Report	SQR
Parameters	Stock ID, Stock Plan, Start Date, End Date
Source	ST_RUNCTL_STES001
Source Records	ST_GRANT, ST_GRNT_VST_DTL, ST_STOP001_TBL, ST_GRANT_EXER, ST_PLAN_ALLOC, ST_OPTION_PLAN, ST_GRNT_REPURCH, ST_EXER_RELEASE
Sorted By	Stock ID, Stock Plan

For samples of this and other reports in your application, see the PDF files published on CD-ROM with your documentation (for online users) or the *PeopleSoft HRMS Reporting Tools* (for hard copy users).

Generating the Options Income/Taxes Report

Options Income/Taxes Report Page

Usage	Use this report page to run the Options Income/Taxes report. The Options Income/Tax Reversals Report Page also uses this run control page.
Object Name	ST_RUNCTL_STOP012
Navigation	• **Compensate Employees, Administer Stock Options, Report, Options Income/Taxes, Income and Taxes** • **Compensate Employees, Administer Stock Options, Report, Options Income/Tax Reversals, Income and Tax Reversals**
Prerequisites	You must enter an exercise or release where taxes were calculated but were not automatically transferred to PeopleSoft Payroll for North America to update payroll balances.
Access Requirements	Enter a Run Control ID.



Options Income/Taxes report page

The following elements are common to multiple pages in this application and are defined in the preface of this PeopleBook in PeopleBooks Standard Page Element Definitions: **Run Control ID** and **Language.**

Reprint Select Reprint if you are reprinting this report.

Stock ID Select a Stock ID from available choices.

Stock Plan Select a Stock Plan from available choices.

Process Criteria

Select one of the following choices to indicate how you want the data processed.

Process Group Select **Process Group** if you want the data processed by process group.

Employee Select **Employee** if you want the data processed by employee.

Process Group If you selected Process Group this field becomes available. Select the process groups you want to include.

EmplID If you selected Employee this field becomes available. Select the employee you want to include.

Option Type Select an option type of ***ISO, ISO/SAR, NQ, NQ/SAR,*** or ***RSA***.

Transaction Type Select a transaction type of ***Exercise*** or ***Release***.

Start Date Enter the first date you want to collect data.

End Date Enter the last date you want to collect data.

Report List Click to access the Report List page, where you can view report content, check the status of a report, and see content detail messages (which show you a description of the report and the distribution list).

Process Monitor Click to access the Process List page, where you can view the status of submitted process requests.

Run Click to access the Process Scheduler request page, where you can specify where a process or job runs and the process output format.

For more information about the Report List page, the Process List page, and the Process Scheduler, see PeopleSoft Payroll PeopleBooks.

Options Income/Taxes Report

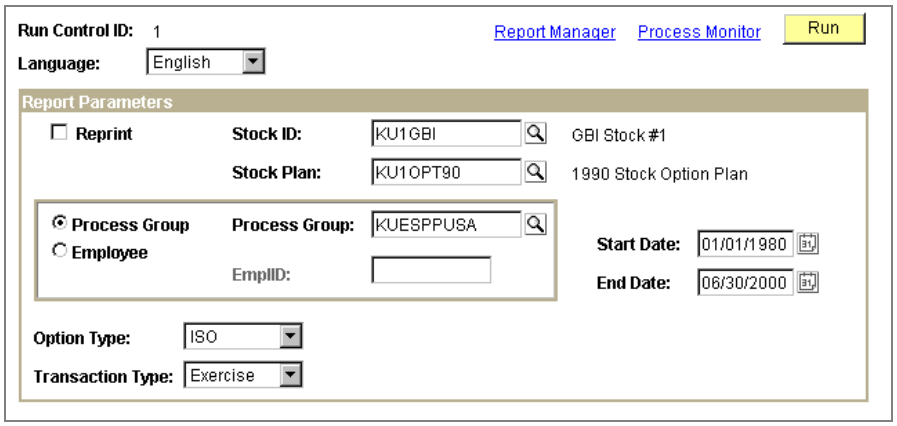
Description	The Options Income/Taxes report lists W-2 income and taxes from an exercise or release when you're not integrated with PeopleSoft Payroll for North America. You can use this report to notify your payroll administrator of the W-2 income and taxes that need to be included on an optionee's W-2.
Report ID	STOP012
Type of Report	SQR
Parameters	Stock ID, Stock Plan, Process Group, EmplID, Reprint Prompt, Start Date, End Date, Transaction Type, Option Type.
Source	ST_RUNCTL_STOP012
Source Records	ST_GRANT, ST_GRANT_EXER, JOB, PERSONAL_DATA, PAYGROUP_TBL, R_PRCS_GRP_DTL, TAX_LOCATION1, ST_EXER_RELEASE, ST_EXER_TAXES, ST_TAX_TYPE_TBL, ST_REL_TAXES
Sorted By	Process Group, Transaction Type, Option Type, Name, Exercise Date or Release Date.

For samples of this and other reports in your application, see the PDF files published on CD-ROM with your documentation (for online users) or the *PeopleSoft HRMS Reporting Tools* (for hard copy users).

Generating the Options Income/Tax Reversals Report

Options Income/Tax Reversals Report Page

Usage	Use this report page to run the Options Income/Tax Reversals report. It uses the ST_RUNCTL_STOP012 run control page.
Navigation	• **Compensate Employees, Administer Stock Options, Report, Options Income/Taxes, Income and Taxes** • **Compensate Employees, Administer Stock Options, Report, Options Income/Tax Reversals, Income and Tax Reversals**
Prerequisites	You must first have voided an exercise or release and set the payroll date.
Access Requirements	Enter a Run Control ID.



Options Income/Tax Reversals report page

The following elements are common to multiple pages in this application and are defined in the preface of this PeopleBook in PeopleBooks Standard Page Element Definitions: **Run Control ID** and **Language.**

Reprint Select Reprint if you are reprinting this report.

Stock ID Select a Stock ID from available choices.

Stock Plan Select a Stock Plan from available choices.

Process Criteria

Select one of the following choices to indicate how you want the data processed.

Process Group Select **Process Group** if you want the data processed by process group.

Employee Select **Employee** if you want the data processed by employee.

Process Group If you selected Process Group this field becomes available. Select the process groups you want to include.

EmplID If you selected Employee this field becomes available. Select the employee you want to include.

Option Type Select an option type of ***ISO, ISO/SAR, NQ, NQ/SAR,*** or ***RSA***.

Transaction Type Select a transaction type of ***Exercise*** or ***Release***.

Start Date	Enter the first date you want to collect data.
End Date	Enter the last date you want to collect data.
Report List	Click to access the Report List page, where you can view report content, check the status of a report, and see content detail messages (which show you a description of the report and the distribution list).
Process Monitor	Click to access the Process List page, where you can view the status of submitted process requests.
Run	Click to access the Process Scheduler request page, where you can specify where a process or job runs and the process output format. For more information about the Report List page, the Process List page, and the Process Scheduler, see PeopleSoft Payroll PeopleBooks.

Options Income/Tax Reversals Report

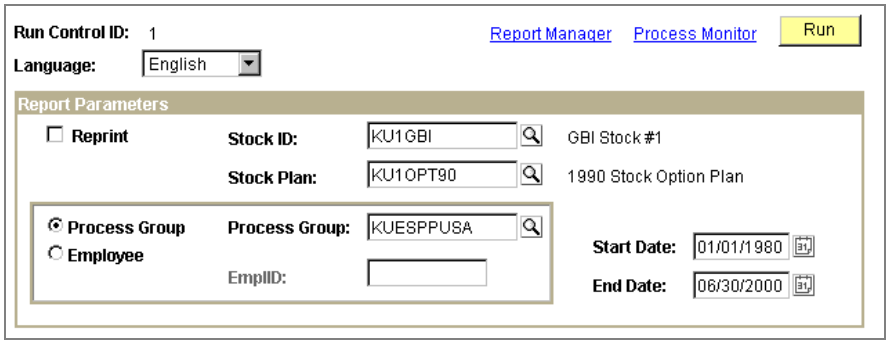
Description	The Options Income/Tax Reversals report lists all voided exercises and releases where you calculated W-2 income and taxes. You can use this report to notify your payroll administrator to reverse previously reported income and taxes.
Report ID	STOP013
Type of Report	SQR
Parameters	Stock ID, Stock Plan, Process Group, EmplID, Reprint Prompt, Start Date, End Date, Transaction Type, Option Type
Source	ST_RUNCTL_STOP012
Source Records	ST_GRANT, ST_GRANT_EXER, JOB, PERSONAL_DATA, PAYGROUP_TBL, R_PRCS_GRP_DTL, TAX_LOCATION1, ST_EXER_RELEASE, ST_EXER_TAXES, ST_TAX_TYPE_TBL, ST_REL_TAXES
Sorted By	Process Group, Transaction Type, Option Type, Name, Exercise Date or Release Date.

For samples of this and other reports in your application, see the PDF files published on CD-ROM with your documentation (for online users) or the *PeopleSoft HRMS Reporting Tools* (for hard copy users).

Generating the ISO DD to Payroll Report

ISO DD to Payroll Report Page

Usage	Use this report page to run the ISO DD to Payroll report. The ISO DD Reversals to Payroll Report Page also uses this run control page.
Object Name	ST_RUNCTL_STOP020
Navigation	• **Compensate Employees, Administer Stock Options, Report, ISO DD to Payroll, ISO DD to Payroll** • **Compensate Employees, Administer Stock Options, Report, ISO DD Reversals to Payroll, ISO DD Reversal to Payroll**
Prerequisites	You must first enter a disqualifying disposition not reported through PeopleSoft Payroll for North America.
Access Requirements	Enter a Run Control ID.



ISO DD to Payroll report page

The following elements are common to multiple pages in this application and are defined in the preface of this PeopleBook in PeopleBooks Standard Page Element Definitions: **Run Control ID** and **Language.**

Reprint Select Reprint if you are reprinting this report.

Stock ID Select a Stock ID from available choices.

Stock Plan Select a Stock Plan from available choices.

Process Criteria

Select one of the following choices to indicate how you want the data processed.

Process Group Select **Process Group** if you want the data processed by process group.

Employee Select **Employee** if you want the data processed by employee.

Process Group If you selected Process Group this field becomes available. Select the process groups you want to include.

EmplID If you selected Employee this field becomes available. Select the employee you want to include.

Start Date Enter the first date you want to collect data.

End Date Enter the last date you want to collect data.

Report List Click to access the Report List page, where you can view report content, check the status of a report, and see content detail messages (which show you a description of the report and the distribution list).

Process Monitor Click to access the Process List page, where you can view the status of submitted process requests.

Run Click to access the Process Scheduler request page, where you can specify where a process or job runs and the process output format.

For more information about the Report List page, the Process List page, and the Process Scheduler, see PeopleSoft Payroll PeopleBooks.

ISO DD to Payroll Report

Description	The ISO DD to Payroll report lists all W-2 income generated from disqualifying dispositions not reported through PeopleSoft Payroll for North America. You can use this report to notify your payroll administrator of disqualifying disposition income that needs to be

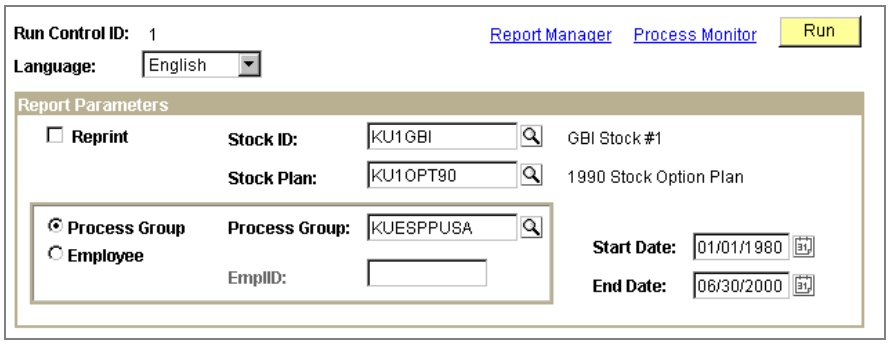
	included in an optionee's W-2.
Report ID	STOP020
Type of Report	SQR
Parameters	Stock ID, Stock Plan, Reprint Prompt, Process Group, EmplID, Start Date, End Date
Source	ST_RUNCTL_STOP020
Source Records	ST_GRANT, ST_GRANT_EXER, ST_EXER_DISPOSN, JOB, PERSONAL_DATA, PAYGROUP_TBL, R_PRCS_GRP_DTL, ST_EXER_RELEASE, ST_REL_DISPOSN
Sorted By	If run by Process Group: Process Group, Name, Grant Date, Exercise or Release Date, Disposition Date. If run by Employee: Name, Grant Date, Exercise or Release Date, Disposition Date.

For samples of this and other reports in your application, see the PDF files published on CD-ROM with your documentation (for online users) or the *PeopleSoft HRMS Reporting Tools* (for hard copy users).

Generating the ISO DD Reversals to Payroll Report

ISO DD Reversals to Payroll Report Page

Usage	Use this report page to run the ISO DD Reversals to Payroll report. This report uses the ST_RUNCTL_STOP020 run control page.
Navigation	• **Compensate Employees, Administer Stock Options, Report, ISO DD to Payroll, ISO DD to Payroll** • **Compensate Employees, Administer Stock Options, Report, ISO DD Reversals to Payroll, ISO DD Reversal to Payroll**
Prerequisites	You must first void a disqualifying disposition and set the payroll date.
Access Requirements	Enter a Run Control ID.



ISO DD Reversal to Payroll report page

The following elements are common to multiple pages in this application and are defined in the preface of this PeopleBook in PeopleBooks Standard Page Element Definitions: **Run Control ID** and **Language.**

Reprint Select Reprint if you are reprinting this report.

Stock ID Select a Stock ID from available choices.

Stock Plan Select a Stock Plan from available choices.

Process Criteria

Select one of the following choices to indicate how you want the data processed.

Process Group Select **Process Group** if you want the data processed by process group.

Employee Select **Employee** if you want the data processed by employee.

Process Group If you selected Process Group this field becomes available. Select the process groups you want to include.

EmplID If you selected Employee this field becomes available. Select the employees you want to include.

Start Date Enter the first date you want to collect data.

End Date Enter the last date you want to collect data.

Report List	Click to access the Report List page, where you can view report content, check the status of a report, and see content detail messages (which show you a description of the report and the distribution list).
Process Monitor	Click to access the Process List page, where you can view the status of submitted process requests.
Run	Click to access the Process Scheduler request page, where you can specify where a process or job runs and the process output format.

For more information about the Report List page, the Process List page, and the Process Scheduler, see PeopleSoft Payroll PeopleBooks.

ISO DD Reversals to Payroll Report

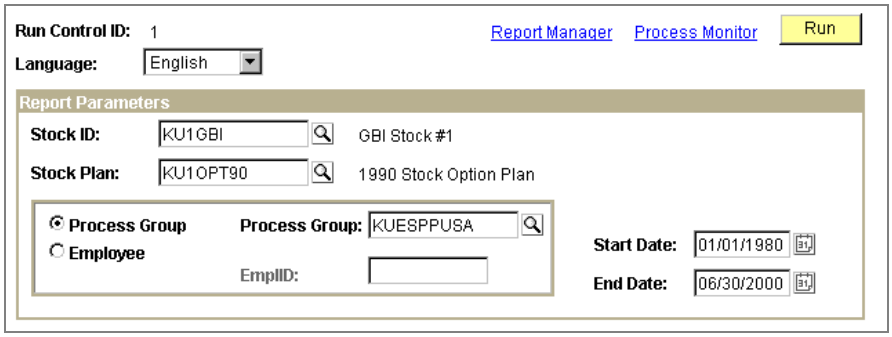
Description	The ISO DD Reversals to Payroll report lists all voided disqualifying dispositions where W-2 income was calculated that was sent to payroll. You can use this report to notify your payroll administrator to reverse a previous entry.
Report ID	STOP021
Type of Report	SQR
Parameters	Stock ID, Stock Plan, Reprint Prompt, Process Group, EmplID, Start Date, End Date
Source	ST_RUNCTL_STOP020
Source Records	ST_GRANT, ST_GRANT_EXER, ST_EXER_DISPOSN, JOB, PERSONAL_DATA, PAYGROUP_TBL, R_PRCS_GRP_DTL, ST_EXER_RELEASE, ST_REL_DISPOSN
Sorted By	If run by Process Group: Process Group, Name, Grant Date, Exercise or Release Date, Disposition Date. If run by Employee: Name, Grant Date, Exercise or Release Date, Disposition Date.

For samples of this and other reports in your application, see the PDF files published on CD-ROM with your documentation (for online users) or the *PeopleSoft HRMS Reporting Tools* (for hard copy users).

Generating the ISO DD to Acctg (Accounting)/Tax Report

ISO DD to Acctg (Accounting)/Tax Report Page

Usage	Use this report page to run the ISO DD to Acctg (Accounting)/Tax report.
Object Name	ST_RUNCTL_STOP022
Navigation	**Compensate Employees, Administer Stock Options, Report, ISO DD to Acctg/Tax, ISO DD to Acctg/Tax**
Prerequisites	You must first enter a disqualifying disposition.
Access Requirements	Enter a Run Control ID.



ISO DD to Acctg (Accounting)/Tax report page

The following elements are common to multiple pages in this application and are defined in the preface of this PeopleBook in PeopleBooks Standard Page Element Definitions: **Run Control ID** and **Language.**

Stock ID Select a Stock ID from available choices.

Stock Plan Select a Stock Plan from available choices.

Process Criteria

Select one of the following choices to indicate how you want the data processed.

Process Group Select **Process Group** if you want the data processed by process group.

Employee Select **Employee** if you want the data processed by employee.

Process Group If you selected Process Group this field becomes available. Select the process groups you want to include.

EmplID If you selected Employee this field becomes available. Select the employees you want to include.

Start Date Enter the first date you want to collect data.

End Date Enter the last date you want to collect data.

Report List Click to access the Report List page, where you can view report content, check the status of a report, and see content detail messages (which show you a description of the report and the distribution list).

Process Monitor Click to access the Process List page, where you can view the status of submitted process requests.

Run Click to access the Process Scheduler request page, where you can specify where a process or job runs and the process output format.

For more information about the Report List page, the Process List page, and the Process Scheduler, see PeopleSoft Payroll PeopleBooks.

ISO DD to Acctg (Accounting)/Tax Report

Description	The ISO DD to Acctg/Tax report lists all disqualifying dispositions processed within the specified date range. You can use it to send to your account and tax departments the potential tax deduction resulting from the disqualifying dispositions.
Report ID	STOP022
Type of Report	SQR
Parameters	Stock ID, Stock Plan, Process Group, EmplID, Start Date, End Date
Source	ST_RUNCTL_STOP022
Source Records	ST_GRANT, ST_GRANT_EXER, ST_EXER_DISPOSN, JOB, PERSONAL_DATA, R_PRCS_GRP_DTL, ST_EXER_RELEASE, ST_REL_DISPOSN
Sorted By	If run by Process Group: Process Group, Name, Grant Date, Exercise or

	Release Date, Disposition Date. If run by Employee: Name, Grant Date, Exercise or Release Date, Disposition Date.

For samples of this and other reports in your application, see the PDF files published on CD-ROM with your documentation (for online users) or the *PeopleSoft HRMS Reporting Tools* (for hard copy users).

Generating the Potential Diluted – Detail Report

Potential Diluted – Detail Report Page

Usage	Use this report page to run the Potential Diluted – Detail report. This report uses the ST_RUNCTL_STRR001 run control page.
Navigation	• **Compensate Employees, Administer Stock Options, Report, Potential Diluted - Detail, Potential Diluted Options** • **Compensate Employees, Administer Stock Options, Report, Potential Diluted - Summary, St Runctl Strr002**
Prerequisites	You must first grant options.
Access Requirements	Enter a Run Control ID.

Potential Diluted – Detail report page

The following elements are common to multiple pages in this application and are defined in the preface of this PeopleBook in PeopleBooks Standard Page Element Definitions: **Run Control ID** and **Language.**

Stock ID Select a Stock ID from available choices.

Start Date Enter the first date you want to collect data.

End Date Enter the last date you want to collect data.

Corporate Tax Rate Enter the corporate tax rate in decimal format.

Report List Click to access the Report List page, where you can view report content, check the status of a report, and see content detail messages (which show you a description of the report and the distribution list).

Process Monitor Click to access the Process List page, where you can view the status of submitted process requests.

Run Click to access the Process Scheduler request page, where you can specify where a process or job runs and the process output format.

For more information about the Report List page, the Process List page, and the Process Scheduler, see PeopleSoft Payroll PeopleBooks.

Potential Diluted – Detail Report

Description	The Potential Diluted – Detail report lists the details of the potential diluted shares outstanding calculation. This report weights the option shares outstanding by the number of days they were outstanding during the period specified and is used to calculate earnings per share.
Report ID	STRROO1
Type of Report	SQR
Parameters	Stock ID, Start Date, End Date, Tax Rate
Source	ST_RUNCTL_STRR001
Source Records	STOCK_DTL, ST_FMV_MTHD_TBL, ST_DAILY_PRICES, ST_GRANT, ST_GRNT_VST_DTL, ST_GRANT_EXER, ST_STRR001_TAO, ST_OPTION_PLAN
Sorted By	Grant Number

For samples of this and other reports in your application, see the PDF files published on CD-ROM with your documentation (for online users) or the *PeopleSoft HRMS Reporting Tools* (for hard copy users).

Generating the Potential Diluted – Summary Report

Potential Diluted – Summary Report Page

Usage	Use this report page to run the Potential Diluted – Summary report. The Potential Diluted – Detail Report Page also uses this run control page.
Object Name	ST_RUNCTL_STRR001
Navigation	• **Compensate Employees, Administer Stock Options, Report, Potential Diluted - Detail, Potential Diluted Options** • **Compensate Employees, Administer Stock Options, Report, Potential Diluted - Summary, St Runctl Strr002**
Prerequisites	You must first grant options.
Access Requirements	Enter a Run Control ID.

Potential Diluted – Summary report page

The following elements are common to multiple pages in this application and are defined in the preface of this PeopleBook in PeopleBooks Standard Page Element Definitions: **Run Control ID** and **Language.**

Stock ID Select a Stock ID from available choices.

Start Date Enter the first date you want to collect data.

End Date Enter the last date you want to collect data.

Corporate Tax Rate Enter the corporate tax rate in decimal format.

Report List Click to access the Report List page, where you can view report content, check the status of a report, and see content detail messages (which show you a description of the report and the distribution list).

Process Monitor	Click to access the Process List page, where you can view the status of submitted process requests.
Run	Click to access the Process Scheduler request page, where you can specify where a process or job runs and the process output format. For more information about the Report List page, the Process List page, and the Process Scheduler, see PeopleSoft Payroll PeopleBooks.

Potential Diluted – Summary Report

Description	The Potential Diluted – Summary report summarizes the potential dilutive option shares outstanding calculation. It displays the dilutive and anti-dilutive values and it used in the earnings per share calculation.
Report ID	STRR002
Type of Report	SQR
Parameters	Stock ID, Start Date, End Date, Tax Rate
Source	ST_RUNCTL_STRR001
Source Records	STOCK_DTL, ST_FMV_MTHD_TBL, ST_DAILY_PRICES, ST_GRANT, ST_GRNT_VST_DTL, ST_GRANT_EXER, ST_STRR001_TAO, ST_OPTION_PLAN
Sorted By	Grant Number

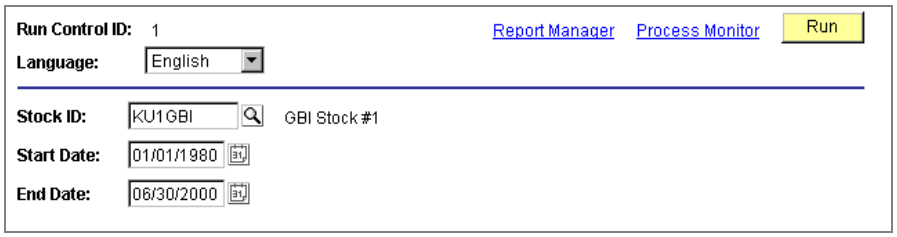
For samples of this and other reports in your application, see the PDF files published on CD-ROM with your documentation (for online users) or the *PeopleSoft HRMS Reporting Tools* (for hard copy users).

Generating the Common Transactions – Detail Report

Common Transactions – Detail Report Page

Usage	Use this report page to run the Common Transactions – Detail report. This report uses the ST_RUNCTL_STRR003 run control page.
Navigation	• **Compensate Employees, Administer Stock Options, Report, Common Transactions - Detail, Common Stock Transactions**

	• **Compensate Employees, Administer Stock Options, Report, Common Transactions - Summary, St Runctl Strr004**
Prerequisites	You must first issue common stock by options or stock purchase issuance.
Access Requirements	Enter a Run Control ID.



Common Transactions – Detail report page

The following elements are common to multiple pages in this application and are defined in the preface of this PeopleBook in PeopleBooks Standard Page Element Definitions: **Run Control ID** and **Language.**

Stock ID Select a Stock ID from available choices.

Start Date Enter the first date you want to collect data.

End Date Enter the last date you want to collect data.

Report List Click to access the Report List page, where you can view report content, check the status of a report, and see content detail messages (which show you a description of the report and the distribution list).

Process Monitor Click to access the Process List page, where you can view the status of submitted process requests.

Run Click to access the Process Scheduler request page, where you can specify where a process or job runs and the process output format.

For more information about the Report List page, the Process List page, and the Process Scheduler, see PeopleSoft Payroll PeopleBooks.

Common Transactions – Detail Report

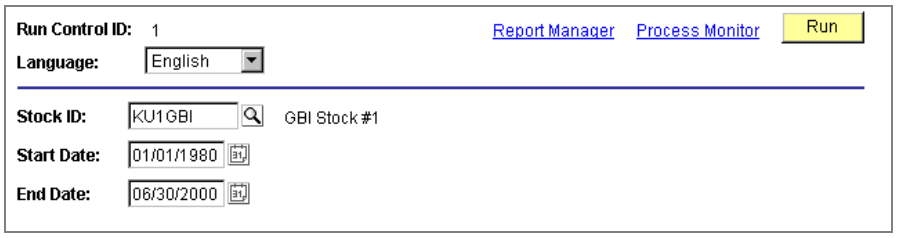
Description	The Common Transactions – Detail report lists the option shares and stock purchase shares issued during the period. It weighs the issued shares according to the amount of time they were issued for the period. You can use this report to help balance the common stock issued during the period.
Report ID	STRR003
Type of Report	SQR
Parameters	Stock ID, Start Date, End Date
Source	ST_RUNCTL_STRR003
Source Records	STOCK_DTL, ST_FMV_MTHD_TBL, ST_DAILY_PRICES, ST_GRANT_EXER, ST_ESPP_PURCH
Sorted By	Transaction Date

For samples of this and other reports in your application, see the PDF files published on CD-ROM with your documentation (for online users) or the *PeopleSoft HRMS Reporting Tools* (for hard copy users).

Generating the Common Transactions – Summary Report

Common Transactions – Summary Report Page

Usage	Use this report page to run the Common Transactions – Summary report. The Common Transactions – Detail Report Page also uses this run control page.
Object Name	ST_RUNCTL_STRR003
Navigation	• **Compensate Employees, Administer Stock Options, Report, Common Transactions - Detail, Common Stock Transactions** • **Compensate Employees, Administer Stock Options, Report, Common Transactions - Summary, St Runctl Strr004**
Prerequisites	You must first issue common stock by options or stock purchase issuance.
Access Requirements	Enter a Run Control ID.



Common Transactions – Summary report page

The following elements are common to multiple pages in this application and are defined in the preface of this PeopleBook in PeopleBooks Standard Page Element Definitions: **Run Control ID** and **Language.**

Stock ID Select a Stock ID from available choices.

Start Date Enter the first date you want to collect data.

End Date Enter the last date you want to collect data.

Report List Click to access the Report List page, where you can view report content, check the status of a report, and see content detail messages (which show you a description of the report and the distribution list).

Process Monitor Click to access the Process List page, where you can view the status of submitted process requests.

Run Click to access the Process Scheduler request page, where you can specify where a process or job runs and the process output format.

For more information about the Report List page, the Process List page, and the Process Scheduler, see PeopleSoft Payroll PeopleBooks.

Common Transactions – Summary Report

Description	The Common Transactions – Summary report summarizes the option shares and stock purchase shares issued during the period. It weights the issued shares according to the amount of time they were issued for the period. You can use this report to help balance the common stock issued during the period.
Report ID	STRR004
Type of Report	SQR

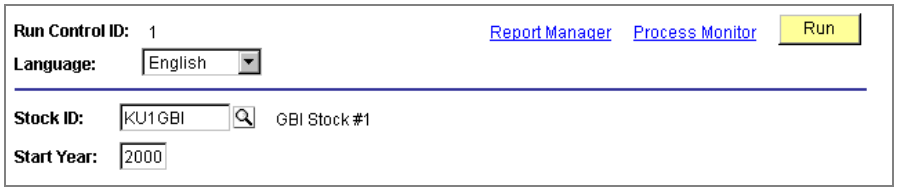
Parameters	Stock ID, Start Date, End Date
Source	ST_RUNCTL_STRR003
Source Records	STOCK_DTL, ST_FMV_MTHD_TBL, ST_DAILY_PRICES, ST_GRANT_EXER, ST_ESPP_PURCH
Sorted By	Transaction Date

For samples of this and other reports in your application, see the PDF files published on CD-ROM with your documentation (for online users) or the *PeopleSoft HRMS Reporting Tools* (for hard copy users).

Generating the ISO Limit Report

ISO Limit Report Page

Usage	Use this report page to run the ISO Limit report.
Object Name	ST_RUNCTL_STRR005
Navigation	**Compensate Employees, Administer Stock Options, Report, ISO Limit, ISO Limit**
Prerequisites	You must first grant active ISO grants.
Access Requirements	Enter a Run Control ID.



ISO Limit report page

The following elements are common to multiple pages in this application and are defined in the preface of this PeopleBook in PeopleBooks Standard Page Element Definitions: **Run Control ID** and **Language.**

Stock ID Select a Stock ID from available choices.

Start Year Enter the year you want to start the ISO limit report.

Report List	Click to access the Report List page, where you can view report content, check the status of a report, and see content detail messages (which show you a description of the report and the distribution list).
Process Monitor	Click to access the Process List page, where you can view the status of submitted process requests.
Run	Click to access the Process Scheduler request page, where you can specify where a process or job runs and the process output format.

For more information about the Report List page, the Process List page, and the Process Scheduler, see PeopleSoft Payroll PeopleBooks.

ISO Limit Report

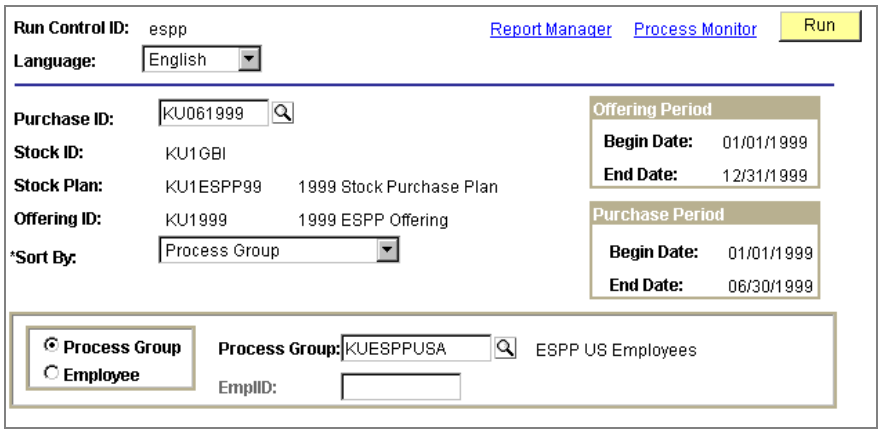
Description	The ISO Limit report lists, by optionee, the amount of the $100,000 ISO limit used each year for every ISO grant and shows the remaining available value for each year. The report lists eight years of exercisable values based upon the start year indicated. You can use this report to identify any options that exceed the limit and should be modified, and to plan for future grant options.
Report ID	STRR005
Type of Report	SQR
Parameters	Stock ID, Start Year
Source	ST_RUNCTL_STRR005
Source Records	ST_GRANT, ST_GRANT_VST_DTL, ST_STRR005_TAO, ST_GOVERN_BODY, PERSONAL_DATA, ST_OPTION_PLAN
Sorted By	EmplID

For samples of this and other reports in your application, see the PDF files published on CD-ROM with your documentation (for online users) or the *PeopleSoft HRMS Reporting Tools* (for hard copy users).

Stock Purchase Reports

Common Stock Purchase Report Run Control Page

Usage	Use this run control page to run several common stock purchase reports.
Object Name	ST_RUNCTL_STESPID
Navigation	• **Compensate Employees, Administer Stock Purchases, Report, Participant Contributions, ESPP Participant Contributions** • **Compensate Employees, Administer Stock Purchases, Report, Currency Conversion, ESPP Currency Conversion** • **Compensate Employees, Administer Stock Purchases, Report, Purchase Summary, ESPP Purchase Summary** • **Compensate Employees, Administer Stock Purchases, Report, Participants w/o Purchase, ESPP Participants w/o Purchase** • **Compensate Employees, Administer Stock Purchases, Report, Messages, ESPP Messages**
Access Requirements	Enter a Run Control ID.



Common Stock Purchase Report Run Control page

The following elements are common to multiple pages in this application and are defined in the preface of this PeopleBook in PeopleBooks Standard Page Element Definitions: **Run Control ID** and **Language.**

Purchase ID Select a Purchase ID from available choices.

Stock ID The system displays the Stock ID associated with the Purchase ID.

Stock Plan The system displays the Stock Plan associated with the Purchase ID.

Offering ID The system displays the Offering ID associated with the Purchase ID.

Sort By Select how you want to sort the data. Valid values are ***Company and Paygroup*** and ***Process Group.***

Process Criteria

Select one of the following choices to indicate how you want the data processed.

Process Group Select **Process Group** if you want the data processed by process group.

Employee Select **Employee** if you want the data processed by employee.

Process Group If you selected Process Group this field becomes available. Select the process groups you want to include.

EmplID If you selected Employee this field becomes available. Select the employees you want to include.

Offering Period

Begin Date The system displays the begin date of the Offering Period.

End Date The system displays the end date of the Offering Period.

Purchase Period

Begin Date The system displays the begin date of the Purchase Period you selected.

End Date The system displays the end date of the Purchase Period you selected.

Report List Click to access the Report List page, where you can view report content, check the status of a report, and see content detail messages (which show you a description of the report and the distribution list).

Process Monitor Click to access the Process List page, where you can view the status of submitted process requests.

Run Click to access the Process Scheduler request page, where you can specify where a process or job runs and the process output format.

For more information about the Report List page, the Process List page, and the Process Scheduler, see PeopleSoft Payroll PeopleBooks.

Stock Purchase Reports Using the Common Run Control Page

Use the ST_RUNCTL_STESPID run control page to run several general stock administration reports.

Messages Report

Description	The Message Report shows processing messages.
Report ID	STES014
Type of Report	SQR
Parameters	Purchase ID
Source	ST_RUNCTL_STESPID
Source Records	ST_ESPP_MESSAGE
Sorted By	Process Group, Process type, EmplID

For samples of this and other reports in your application, see the PDF files published on CD-ROM with your documentation (for online users) or the *PeopleSoft HRMS Reporting Tools* (for hard copy users).

Participant Contributions Report

Description	Use the Participant Contributions report to view contributions for audits and reconciliation.
Report ID	STES002
Type of Report	SQR
Parameters	Purchase ID, Process Group, EmplID
Source	ST_RUNCTL_STESPID

Source Records	ST_CONTRIB_PART
Sorted By	Process Group and Name or Company and Paygroup

For samples of this and other reports in your application, see the PDF files published on CD-ROM with your documentation (for online users) or the *PeopleSoft HRMS Reporting Tools* (for hard copy users).

Currency Conversion Report

Description	Use the Currency Conversion report to view the results of a currency conversion for audit and reconciliation.
Report ID	STES003
Type of Report	SQR
Parameters	Purchase ID, Process Group, EmplID
Source	ST_RUNCTL_STESPID
Source Records	ST_CONTRIB_PART
Sorted By	Process Group and Name or Company and Paygroup

For samples of this and other reports in your application, see the PDF files published on CD-ROM with your documentation (for online users) or the *PeopleSoft HRMS Reporting Tools* (for hard copy users).

Participants w/o Purchase Report

Description	Use the Participants w/o Purchase report to identify participants who are participants in a period by did not purchase stock. You can use this report to audit terminations and leaves of absence.
Report ID	STES005A
Type of Report	SQR
Parameters	Purchase ID
Source	ST_RUNCTL_STESPID

Source Records	ST_STESOO5_TBL, PERSONAL_DATA
Sorted By	Process Group and Name or Company/Pay Group and Name

For samples of this and other reports in your application, see the PDF files published on CD-ROM with your documentation (for online users) or the *PeopleSoft HRMS Reporting Tools* (for hard copy users).

Purchase Summary Report

Description	Use the Purchase Summary report to view the results of preliminary or final purchase process.
Report ID	STES004
Type of Report	SQR
Parameters	Purchase ID, Process Group, EmplID
Source	ST_RUNCTL_STESPID
Source Records	ST_ESPP_PURCH
Sorted By	Process Group and Name

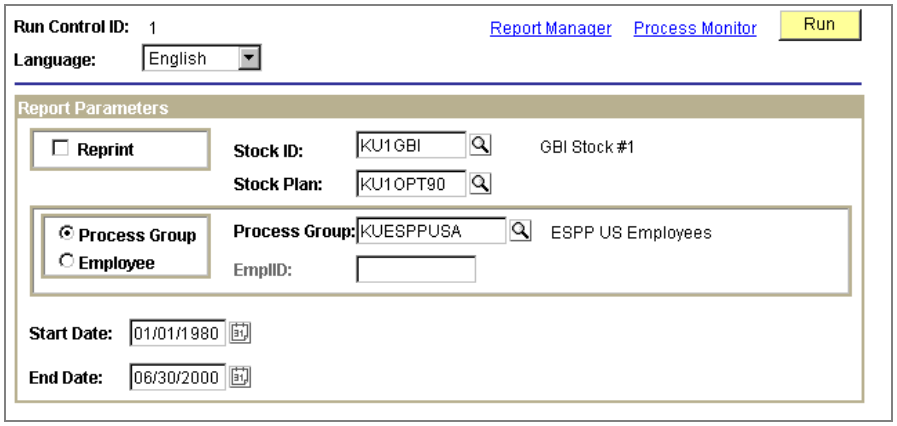
For samples of this and other reports in your application, see the PDF files published on CD-ROM with your documentation (for online users) or the *PeopleSoft HRMS Reporting Tools* (for hard copy users).

Generating the Stock Purchase Payroll Reports

Common Stock Purchase Payroll Reports Page

Usage	Use this report page to run several payroll related stock purchase reports.
Object Name	ST_RUNCTL_STESRC1
Navigation	• **Compensate Employees, Administer Stock Purchases, Report, Refund Reversals, ESPP Payroll Reverse Refunds** • **Compensate Employees, Administer Stock Purchases, Report,**

	Disposition Reconciliation, ESPP Disposn Reconciliatio • **Compensate Employees, Administer Stock Purchases, Report, Disposition Reversals, ESPP Payroll Disposn Reversal** • **Compensate Employees, Administer Stock Purchases, Report, Refunds to Payroll, ESPP Payroll Refunds** • **Compensate Employees, Administer Stock Purchases, Report, Dispositions to Payroll, Dispositions to Payroll**
Access Requirements	Enter a Run Control ID.



Common Stock Purchase Payroll Reports page

The following elements are common to multiple pages in this application and are defined in the preface of this PeopleBook in PeopleBooks Standard Page Element Definitions: **Run Control ID** and **Language.**

Reprint Select Reprint if you are reprinting this report.

Stock ID Select a Stock ID from available choices.

Stock Plan Select a Stock Plan from available choices.

Process Criteria

Select one of the following choices to indicate how you want the data processed.

Process Group Select **Process Group** if you want the data processed by process group.

Employee Select **Employee** if you want the data processed by employee.

Process Group If you selected Process Group this field becomes available. Select the process groups you want to include.

EmplID If you selected Employee this field becomes available. Select the employees you want to include.

Start Date Enter the first date you want to collect data.

End Date Enter the last date you want to collect data.

Report List Click to access the Report List page, where you can view report content, check the status of a report, and see content detail messages (which show you a description of the report and the distribution list).

Process Monitor Click to access the Process List page, where you can view the status of submitted process requests.

Run Click to access the Process Scheduler request page, where you can specify where a process or job runs and the process output format.

For more information about the Report List page, the Process List page, and the Process Scheduler, see PeopleSoft Payroll PeopleBooks.

Stock Purchase Payroll Reports Using the Common Stock Purchase Payroll Report Page

Use the ST_RUNCTL_STESRC1 report page to run several stock purchase payroll related reports.

Refunds to Payroll Report

Description	The Refunds to Payroll Report lists refund that must be processed manually by your payroll administrator.
Report ID	STES018
Type of Report	SQR
Parameters	Stock ID, Stock Plan, Process Group, EmplID, From/End Date
Source	ST_RUNCTL_STESRC1

Source Records	ST_ESPP_PURCH, ST_CONTRIB_RSDL
Sorted By	Process Group, Name

For samples of this and other reports in your application, see the PDF files published on CD-ROM with your documentation (for online users) or the *PeopleSoft HRMS Reporting Tools* (for hard copy users).

Refund Reversals Report

Description	The Refund Reversals report lists refunds you have to reverse that you have to process manually.
Report ID	STES007
Type of Report	SQR
Parameters	Stock ID, Stock Plan, Process Group, EmplID
Source	ST_RUNCTL_STESRC1
Source Records	PERSONAL_DATA, ST_REFUND_ESPP, ST_REFUND_DTL
Sorted By	Stock Plan, Process Group, Name

For samples of this and other reports in your application, see the PDF files published on CD-ROM with your documentation (for online users) or the *PeopleSoft HRMS Reporting Tools* (for hard copy users).

Dispositions to Payroll Report

Description	Use the Dispositions to Payroll report to report disqualifying dispositions and qualifying dispositions to payroll for W2 reportable income.
Report ID	STES020
Type of Report	SQR
Parameters	Stock ID, Stock Plan, Reprint, Process Group, EmplID, From/End Date
Source	ST_RUNCTL_STESRC1

Source Records	ST_ESPP_PURCH, ST_ESPP_DISPOSN
Sorted By	Name

For samples of this and other reports in your application, see the PDF files published on CD-ROM with your documentation (for online users) or the *PeopleSoft HRMS Reporting Tools* (for hard copy users).

Disposition Reversals Report

Description	Use the Disposition Reversals report to report errors sent to payroll that need to be reversed.
Report ID	STES017
Type of Report	SQR
Parameters	Stock ID, Stock Plan, Process Group, EmplID, From/End Date, Reprint
Source	ST_RUNCTL_STESRC1
Source Records	ST_ESPP_PURCH, ST_ESPP_DISPOSN
Sorted By	Stock ID, Stock Plan, Process Group, Name

For samples of this and other reports in your application, see the PDF files published on CD-ROM with your documentation (for online users) or the *PeopleSoft HRMS Reporting Tools* (for hard copy users).

Disposition Reconciliation Report

Description	The Disposition Reconciliation report is a list of the dispositions entered for the purchased stock.
Report ID	STES016
Type of Report	SQR
Parameters	Stock ID, Stock Plan, Process Group, EmplID, From/End Date, Reprint
Source	ST_RUNCTL_STESRC1
Source	ST_ESPP_PURCH, ST_ESPP_DISPSN

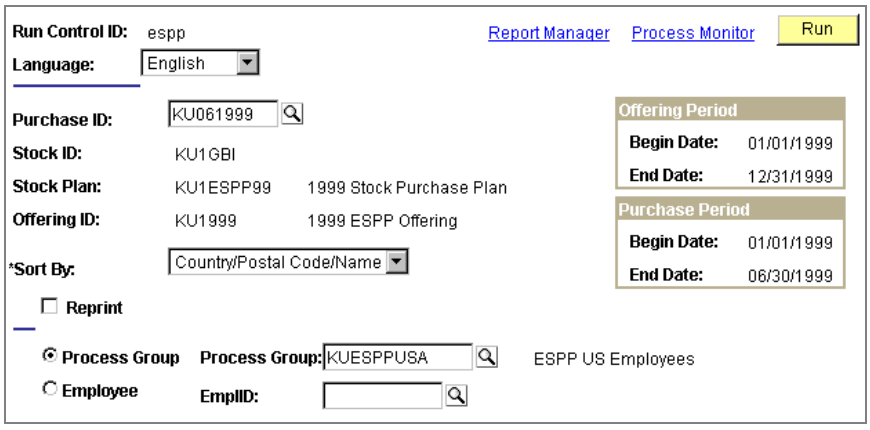
Records	
Sorted By	Process Group, Name

For samples of this and other reports in your application, see the PDF files published on CD-ROM with your documentation (for online users) or the *PeopleSoft HRMS Reporting Tools* (for hard copy users).

Generating the Purchase Receipts Report

Purchase Receipts Report Page

Usage	Use this report page to run the Purchase Receipts report.
Object Name	ST_RUNCTL_STES010
Navigation	**Compensate Employees, Administer Stock Purchases, Report, Purchase Receipts, ESPP Purchase Receipts**
Prerequisites	You must first purchase stock.
Access Requirements	Enter a Run Control ID.



Purchase Receipts report page

The following elements are common to multiple pages in this application and are defined in the preface of this PeopleBook in PeopleBooks Standard Page Element Definitions: **Run Control ID** and **Language.**

Purchase ID Select a Purchase ID from available choices.

Stock ID The system displays the Stock ID associated with the Purchase ID.

Stock Plan The system displays the Stock Plan associated with the Purchase ID.

Offering ID The system displays the Offering ID associated with the Purchase ID.

Sort By Select how you want to sort the data. Valid values are ***Country/Postal Code Name, Name,*** or ***Process Group/Name.***

Reprint Select Reprint if you are reprinting this report.

Process Criteria

Select one of the following choices to indicate how you want the data processed.

Process Group Select **Process Group** if you want the data processed by process group.

Employee Select **Employee** if you want the data processed by employee.

Process Group If you selected Process Group this field becomes available. Select the process groups you want to include.

EmplID If you selected Employee this field becomes available. Select the employees you want to include.

Offering Period

Begin Date The system displays the begin date of the Offering Period.

End Date The system displays the end date of the Offering Period.

Purchase Period

Begin Date The system displays the begin date of the Purchase Period you selected.

End Date The system displays the end date of the Purchase Period you selected.

Report List	Click to access the Report List page, where you can view report content, check the status of a report, and see content detail messages (which show you a description of the report and the distribution list).
Process Monitor	Click to access the Process List page, where you can view the status of submitted process requests.
Run	Click to access the Process Scheduler request page, where you can specify where a process or job runs and the process output format.

For more information about the Report List page, the Process List page, and the Process Scheduler, see PeopleSoft Payroll PeopleBooks.

Purchase Receipts Report

Description	Use the Purchase Receipts report to view a summary of purchases by participant. This is an IRS required statement.
Report ID	STES010
Type of Report	SQR
Parameters	Process Group, EmplID, From/End Date
Source	ST_RUNCTL_STES010
Source Records	ST_ESPP_PURCH, ST_CONTRIB_RSDL
Sorted By	Process Group, Name

For samples of this and other reports in your application, see the PDF files published on CD-ROM with your documentation (for online users) or the *PeopleSoft HRMS Reporting Tools* (for hard copy users).

Generating the Refund/Carry Fwd Report

Refund/Carry Fwd Report Page

Usage	Use this report page to run the Refund/Carry Fwd report.
Object Name	ST_RUNCTL_STES006

Navigation	**Compensate Employees, Administer Stock Purchases, Report, Refund/Carry-Fwd, Run Control**
Prerequisites	You must first purchase stock.
Access Requirements	Enter a Run Control ID.

Refund/Carry – Fwd report page

The following elements are common to multiple pages in this application and are defined in the preface of this PeopleBook in PeopleBooks Standard Page Element Definitions: **Run Control ID** and **Language.**

Stock ID Select a Stock ID from available choices.

Process Group Select a Process Group from available choices.

Start Date Enter the first date you want to collect data.

End Date Enter the last date you want to collect data.

Report List Click to access the Report List page, where you can view report content, check the status of a report, and see content detail messages (which show you a description of the report and the distribution list).

Process Monitor Click to access the Process List page, where you can view the status of submitted process requests.

Run Click to access the Process Scheduler request page, where you can specify where a process or job runs and the process output format.

For more information about the Report List page, the Process List page, and the Process Scheduler, see PeopleSoft Payroll PeopleBooks.

Refund/Carry Fwd Report

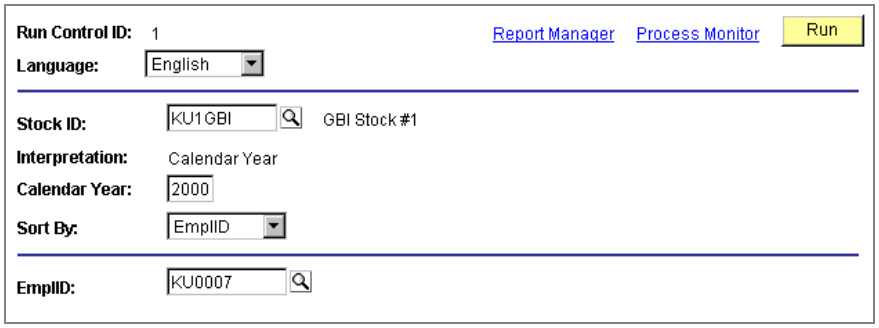
Description	Use the Refund/Carry Fwd to report back to pay groups the unused contributions after a purchase.
Report ID	STES006
Type of Report	SQR
Parameters	Process Group, EmplID, Start Date, End Date
Source	ST_RUNCTL_STES006
Source Records	ST_ESPP_PURCH, ST_CONTRIB_RSDL
Sorted By	Process Group, Name

For samples of this and other reports in your application, see the PDF files published on CD-ROM with your documentation (for online users) or the *PeopleSoft HRMS Reporting Tools* (for hard copy users).

Generating the Grant Value Limit Detail Report

Grant Value Limit Detail Report Page

Usage	Use this report page to run the Grant Value Limit Detail report.
Object Name	ST_RUNCTL_STES015
Navigation	**Compensate Employees, Administer Stock Purchases, Report, Grant Value Limit Detail, Grant Value Limit Detail**
Prerequisites	You must first enroll participants.
Access Requirements	Enter a Run Control ID.



Grant Value Limit Detail report page

The following elements are common to multiple pages in this application and are defined in the preface of this PeopleBook in PeopleBooks Standard Page Element Definitions: **Run Control ID, Language** and **EmplID.**

Stock ID Select a Stock ID from available choices.

Interpretation The system displays the method used to interpret the grant value limit.

Calendar Year Enter the year for which you want to generate the report.

Sort By: Select ***EmplID*** or ***Name***.

EmplID Select an EmplID from available choices.

Report List Click to access the Report List page, where you can view report content, check the status of a report, and see content detail messages (which show you a description of the report and the distribution list).

Process Monitor Click to access the Process List page, where you can view the status of submitted process requests.

Run Click to access the Process Scheduler request page, where you can specify where a process or job runs and the process output format.

For more information about the Report List page, the Process List page, and the Process Scheduler, see PeopleSoft Payroll PeopleBooks.

Grant Value Limit Detail Report

Description	Use the Grant Value Limit Detail report to audit participants for IRS Grant Value Limit by corporate interpretation.

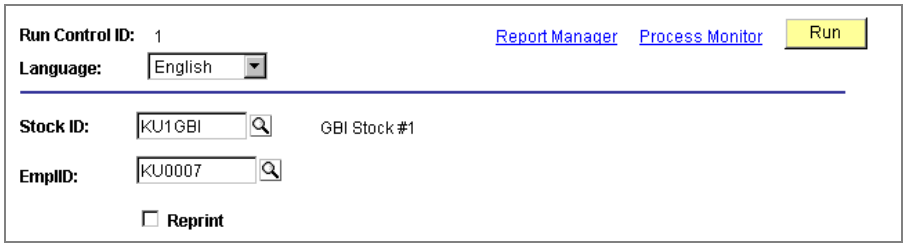
Report ID	STES015
Type of Report	SQR
Parameters	Stock ID, Offering ID, Calendar Year, EmplID
Source	ST_RUNCTL_STES015
Source Records	ST_ESPP_PURCH
Sorted By	Name or EmplID

For samples of this and other reports in your application, see the PDF files published on CD-ROM with your documentation (for online users) or the *PeopleSoft HRMS Reporting Tools* (for hard copy users).

Generating the Transfer Agent Instruct Report

Transfer Agent Instruct Report Page

Usage	Use this report page to run the Transfer Agent Instruct report.
Object Name	ST_RUNCTL_STES008
Navigation	**Compensate Employees, Administer Stock Purchases, Report, Transfer Agent Instruct, TransferAgent**
Prerequisites	You must first purchase stock.
Access Requirements	Enter a Run Control ID.



Transfer Agent Instructions report page

The following elements are common to multiple pages in this application and are defined in the preface of this PeopleBook in PeopleBooks Standard Page Element Definitions: **Run Control ID** and **Language.**

Stock ID	Select a Stock ID from available choices.
EmplID	Select an EmplID from available choices.
Reprint	Select Reprint if you are reprinting this report.
Report List	Click to access the Report List page, where you can view report content, check the status of a report, and see content detail messages (which show you a description of the report and the distribution list).
Process Monitor	Click to access the Process List page, where you can view the status of submitted process requests.
Run	Click to access the Process Scheduler request page, where you can specify where a process or job runs and the process output format. For more information about the Report List page, the Process List page, and the Process Scheduler, see PeopleSoft Payroll PeopleBooks.

Transfer Agent Instruct Report

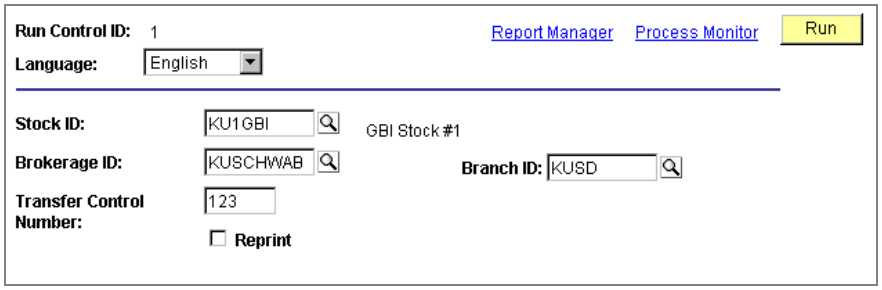
Description	Use the Transfer Agent Instruct report to instruct the transfer agent to issue shares and to adjust the plan balance.
Report ID	STES008
Type of Report	SQR
Parameters	Stock ID, EmplID, Reprint, Control Number
Source	ST_RUNCTL_STES008
Source Records	ST_ESPP_PURCH
Sorted By	Issuance Type, Broker/Branch, Stock Plan, Name

For samples of this and other reports in your application, see the PDF files published on CD-ROM with your documentation (for online users) or the *PeopleSoft HRMS Reporting Tools* (for hard copy users).

Generating the Broker Deposits Report

Broker Deposits Report Page

Usage	Use this report page to run the Broker Deposits report.
Object Name	ST_RUNCTL_STES009
Navigation	**Compensate Employees, Administer Stock Purchases, Report, Broker Deposits, Broker Deposits**
Prerequisites	You must first purchase stock where the issuance instructions is Broker.
Access Requirements	Enter a Run Control ID.



Broker Deposits report page

The following elements are common to multiple pages in this application and are defined in the preface of this PeopleBook in PeopleBooks Standard Page Element Definitions: **Run Control ID** and **Language.**

Stock ID Select a Stock ID from available choices.

Brokerage ID Select a Brokerage ID from available choices.

Branch ID Select a Branch ID from available choices.

Transfer Control Number Enter a transfer control number.

Reprint Select Reprint if you are reprinting this report.

Report List Click to access the Report List page, where you can view report content, check the status of a report, and see content detail messages (which show you a description of the report and the distribution list).

Process Monitor Click to access the Process List page, where you can view the status of submitted process requests.

Run Click to access the Process Scheduler request page, where you can specify where a process or job runs and the process output format.

For more information about the Report List page, the Process List page, and the Process Scheduler, see PeopleSoft Payroll PeopleBooks.

Broker Deposits Report

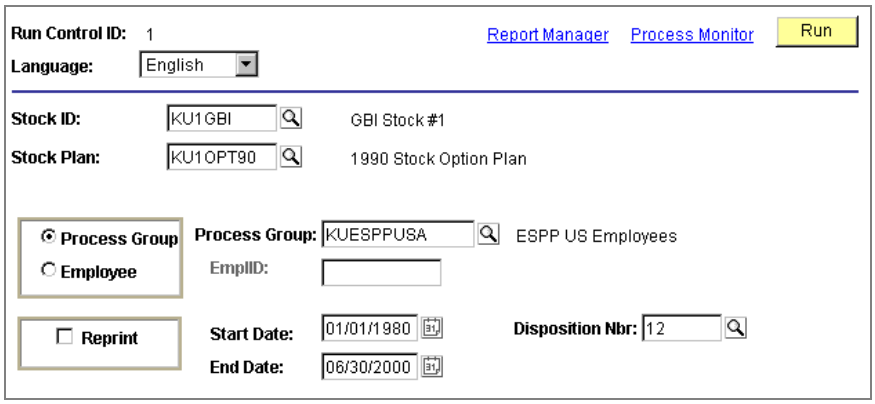
Description	Use the Broker Deposits report to inform brokers of share to be deposited into participants' accounts after a purchase.
Report ID	STES009
Type of Report	SQR
Parameters	Stock ID, Brokerage ID, Branch ID, Transfer Control #, Reprint, Control Number.
Source	ST_RUNCTL_STES009
Source Records	ST_ESPP_PURCH
Sorted By	Broker, Branch, Stock Plan, Name

For samples of this and other reports in your application, see the PDF files published on CD-ROM with your documentation (for online users) or the *PeopleSoft HRMS Reporting Tools* (for hard copy users).

Generating the Disposition Receipt Report

Disposition Receipt Report Page

Usage	Use this report page to run the Disposition Receipt report.
Object Name	ST_RUNCTL_STES013
Navigation	**Compensate Employees, Administer Stock Purchases, Report, Disposition Receipt, Disposition Receipt**
Prerequisites	You must first enter a disposition.
Access Requirements	Enter a Run Control ID.



Disposition Receipt report page

The following elements are common to multiple pages in this application and are defined in the preface of this PeopleBook in PeopleBooks Standard Page Element Definitions: **Run Control ID** and **Language.**

Stock ID Select a Stock ID from available choices.

Stock Plan Select a Stock Plan from available choices.

Process Criteria

Select one of the following choices to indicate how you want the data processed.

Process Group Select **Process Group** if you want the data processed by process group.

Employee Select **Employee** if you want the data processed by employee.

Process Group If you selected Process Group this field becomes available. Select the process groups you want to include.

EmplID If you selected Employee this field becomes available. Select the employees you want to include.

Reprint Select Reprint if you are reprinting this report.

Start Date Enter the first date you want to collect data.

End Date Enter the last date you want to collect data.

Disposition Nbr Select the disposition number from available choices.

Report List Click to access the Report List page, where you can view report content, check the status of a report, and see content detail messages (which show you a description of the report and the distribution list).

Process Monitor Click to access the Process List page, where you can view the status of submitted process requests.

Run Click to access the Process Scheduler request page, where you can specify where a process or job runs and the process output format.

For more information about the Report List page, the Process List page, and the Process Scheduler, see PeopleSoft Payroll PeopleBooks.

Disposition Receipt Report

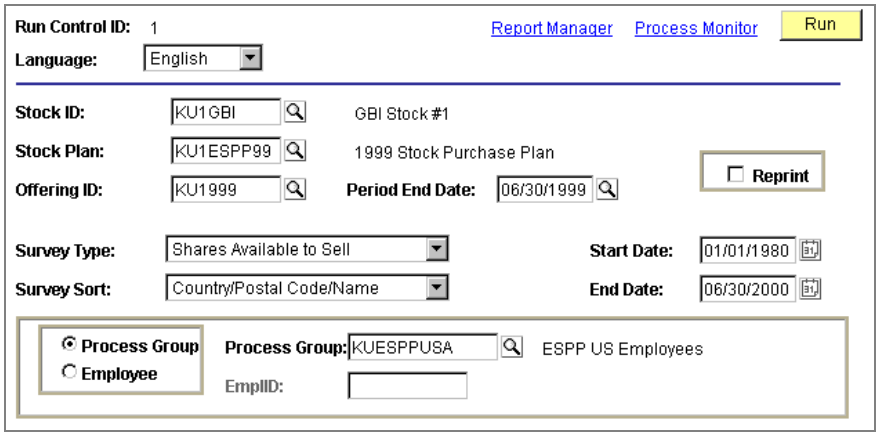
Description	Use the Disposition Receipt report to report a summary of dispositions. This is an IRS required statement.
Report ID	STES013
Type of Report	SQR
Parameters	Stock ID, Stock Plan, Process Group, EmplID, From/End Date, Reprint, Disposition #
Source	ST_RUNCTL_STES013
Source Records	ST_ESPP_PURCH, ST_ESPP_DISPOSN
Sorted By	EmplID

For samples of this and other reports in your application, see the PDF files published on CD-ROM with your documentation (for online users) or the *PeopleSoft HRMS Reporting Tools* (for hard copy users).

Generating the Disposition Survey Report

Disposition Survey Report Page

Usage	Use this report page to run the Disposition Survey report.
Object Name	ST_RUNCTL_STES011
Navigation	**Compensate Employees, Administer Stock Purchases, Report, Disposition Survey, ESPP Disposition Survey**
Prerequisites	You must first purchase stock and have participants who have not reported dispositions.
Access Requirements	Enter a Run Control ID.



Disposition Survey report page

The following elements are common to multiple pages in this application and are defined in the preface of this PeopleBook in PeopleBooks Standard Page Element Definitions: **Run Control ID** and **Language.**

Stock ID Select a Stock ID from available choices.

Stock Plan Select a Stock Plan from available choices.

Offering ID Select an Offering ID from available choices.

Period End Date Select a Period End Date from available choice.

Reprint Select Reprint if you are reprinting this report.

Survey Type Select a survey type from available choices. Valid values are ***Shares Available to Sell*** and ***Survey Pending Sales/Transfers.***

Survey Sort Select a sort sequence from available choices. Valid values are ***Country/Postal Code/Name, Name,*** or ***Process Group/Name.***

Start Date Enter the first date you want to collect data.

End Date Enter the last date you want to collect data.

Process Criteria

Select one of the following choices to indicate how you want the data processed.

Process Group Select **Process Group** if you want the data processed by process group.

Employee Select **Employee** if you want the data processed by employee.

Process Group If you selected Process Group this field becomes available. Select the process groups you want to include.

EmplID If you selected Employee this field becomes available. Select the employees you want to include.

Report List Click to access the Report List page, where you can view report content, check the status of a report, and see content detail messages (which show you a description of the report and the distribution list).

Process Monitor Click to access the Process List page, where you can view the status of submitted process requests.

Run Click to access the Process Scheduler request page, where you can specify where a process or job runs and the process output format.

For more information about the Report List page, the Process List page, and the Process Scheduler, see PeopleSoft Payroll PeopleBooks.

Disposition Survey Report

Description	Use the Disposition Survey report to survey participants about dispositions or to confirm a reported disposition.

Report ID	STES011
Type of Report	SQR
Parameters	Stock ID, Stock Plan, Offering ID, Period End Date, Reprint, From/End Date, Survey Type
Source	ST_RUNCTL_STES011
Source Records	COMPANY_TBL, JOB, PERSONAL_DATA, ST_ESPP_DISPOSN
Sorted By	County/Postal Code/Name, Name, Process Group/Name

For samples of this and other reports in your application, see the PDF files published on CD-ROM with your documentation (for online users) or the *PeopleSoft HRMS Reporting Tools* (for hard copy users).

Generating the Plan Activity Summary Report

Plan Activity Summary Report Page

Usage	Use this report page to run the Plan Activity Summary report. This report uses the ST_RUNCTL_STES001 run control page.
Navigation	• **Compensate Employees, Administer Stock Options, Report, Options Plan Summary, Plan Summaries** • **Compensate Employees, Administer Stock Purchases, Report, Plan Activity Summary, ESPP Plan Activity Summary**
Prerequisites	You must first set up a stock purchase plan.
Access Requirements	Enter a Run Control ID.

Plan Activity Summary report page

The following elements are common to multiple pages in this application and are defined in the preface of this PeopleBook in PeopleBooks Standard Page Element Definitions: **Run Control ID** and **Language.**

Stock ID Select a Stock ID from available choices.

Stock Plan Select a Stock Plan from available choices.

Start Date Enter the first date you want to collect data.

End Date Enter the last date you want to collect data.

Report List Click to access the Report List page, where you can view report content, check the status of a report, and see content detail messages (which show you a description of the report and the distribution list).

Process Monitor Click to access the Process List page, where you can view the status of submitted process requests.

Run Click to access the Process Scheduler request page, where you can specify where a process or job runs and the process output format.

For more information about the Report List page, the Process List page, and the Process Scheduler, see PeopleSoft Payroll PeopleBooks.

Plan Activity Summary Report

Description	Use the Plan Activity Summary report to view a summary of historical purchases and calculate shares available for issue.
Report ID	STES001
Type of Report	SQR
Parameters	Stock ID, Stock Plan, From/End Date
Source	ST_RUNCTL_STES001
Source Records	ST_ESPP_PURCH
Sorted By	Stock Plan, Purchase Period, Grant Date

For samples of this and other reports in your application, see the PDF files published on CD-ROM with your documentation (for online users) or the *PeopleSoft HRMS Reporting Tools* (for hard copy users).

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