

EQUATEPLUS +

RELEASE NOTES

65

July 13th 2024



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A person with long dark hair, wearing a white t-shirt, is sitting at a wooden desk. They are holding a smartphone in their hands, looking at the screen. In front of them is an open silver laptop. To the right of the laptop is a white coffee cup on a saucer. The background is a bright, out-of-focus window with greenery outside. A semi-transparent grey banner is overlaid on the center of the image, containing the word "Introduction" in white text. Two small purple triangles are positioned on the left and right sides of the banner.

Introduction



1. Introduction

1.1 When is it happening?

This document details system enhancements to EquatePlus and our other offerings taking place in the coming weeks.

While certain features are not available to all system users, the improvements will benefit plan participants, corporate plan administrators and Computershare users.

If you have any questions related to the new features, functionality, or information outlined in this document, please contact your relationship manager.

Offering	Release #	Date	System Availability
EquatePlus*	65	Start: 13 July 2024 @ 07:00 CET End: 14 July 2024 @ 16:00 CET	EquatePlus, EquateMobile, EquateAPI and EquateInsights unavailable

Offering	Release #	Date	System Availability
EquateMobile	3.16	15 July 2024	No impact
EquateAPI	2.3	10 July 2024	No impact
EquateInsights	1.0.5	24 July 2024	EquateInsights unavailable

*During this scheduled downtime of EquatePlus, users attempting to access the system will be presented with the system unavailable message in their preferred language.



A man with a beard and glasses is sitting at a desk, working on a laptop. He is wearing a dark grey t-shirt. The background shows a living room with a sofa and a window. A purple banner with white text is overlaid on the image.

Participant Experience

2. Participant experience

The upcoming release includes the following enhancements for participants:

2.1 EquateAccess fully integrated with EquateMobile

EquateAccess is our authentication app, used to complete two step verification. Depending on your setup, participants may be required to use this extra level of security on login, on transactions and on banking and personal detail changes. Two step verification is also used for online password resets.

EquatePlus supports two step verification using either EquateAccess or SMS/voice callback. Up until now EquateMobile could only support SMS/voice callback.

With this latest release, EquateAccess is fully integrated in EquateMobile. How it works:

- › When a participant does something on EquateMobile that requires two step verification, the app automatically switches to, and opens, EquateAccess.
- › The participant completes confirmation and authentication on EquateAccess and is then seamlessly returned to EquateMobile.

The apps can “talk” to each other as they are on the same smartphone. It’s an easy process with no QR codes to scan or other codes to input.

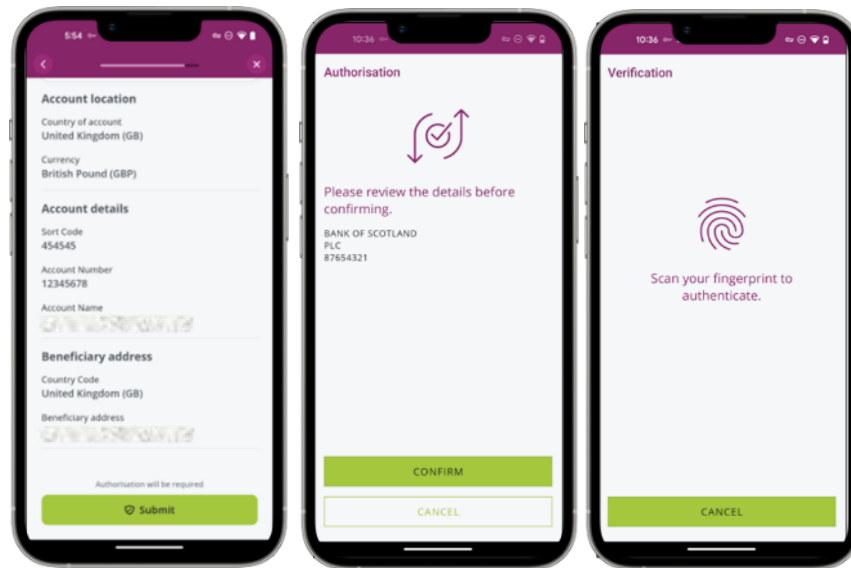


Illustration: Entering bank account on EquateMobile – submitting will trigger 2 step verification

Illustration: EquateAccess opens and asks the user to confirm the change

Illustration: the user then authenticates to complete the verification step

2. Participant experience

The upcoming release includes the following enhancements for participants:

2.1 EquateAccess fully integrated with EquateMobile - continued

To benefit from EquateAccess, participants will first need to install it on their smartphone. Once EquateAccess has been enabled for your company, your participants will get prompted to download it when they next log in to EquateMobile. They can skip this step and continue to use SMS/voice callback if they prefer.

EquateAccess is being enabled region by region from August through October. You will be informed of your exact date closer to the time.

- ✓ Easy to use and fast
- ✓ Seamless integration between the apps
- ✓ Reliable across geographies

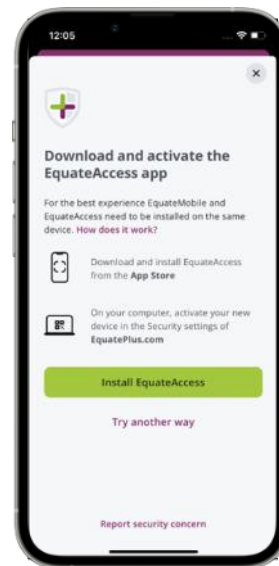


Illustration: Prompt to download EquateAccess

2. Participant experience

The upcoming release includes the following enhancements for participants:

2.2 EquateMobile: personal details

EquateMobile now includes a “Personal Details” screen for easy maintenance of personal information.

Previously, participants could only provide missing personal details on EquateMobile during the initial onboarding. If they needed to make changes after that, they had to log in to EquatePlus.

By providing the input screens on EquateMobile, the participant can now use the app to:

- > add, change and delete details (in line with your configuration settings),
- > define their default contact details, and
- > view and edit their Natural Person Identifier, NPI, used in our MiFID II reporting.

Personal details are accessed via the “More” link.

NOTE: as a security measure, personal details are anonymized with asterisks if the user has not logged in with two step verification.

✓ Fast and easy access to update personal details

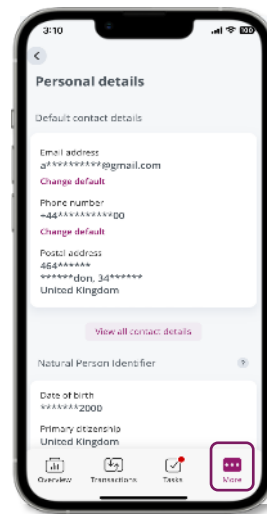


Illustration: Personal details screens on EquateMobile

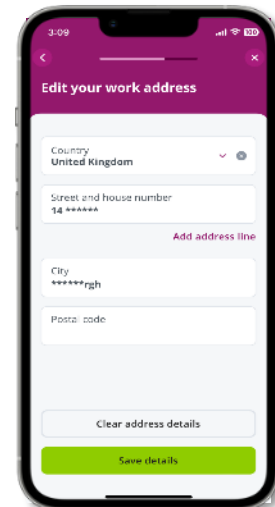


Illustration: Editing work address (where company configuration allows).

2. Participant experience

The upcoming release includes the following enhancements for participants:

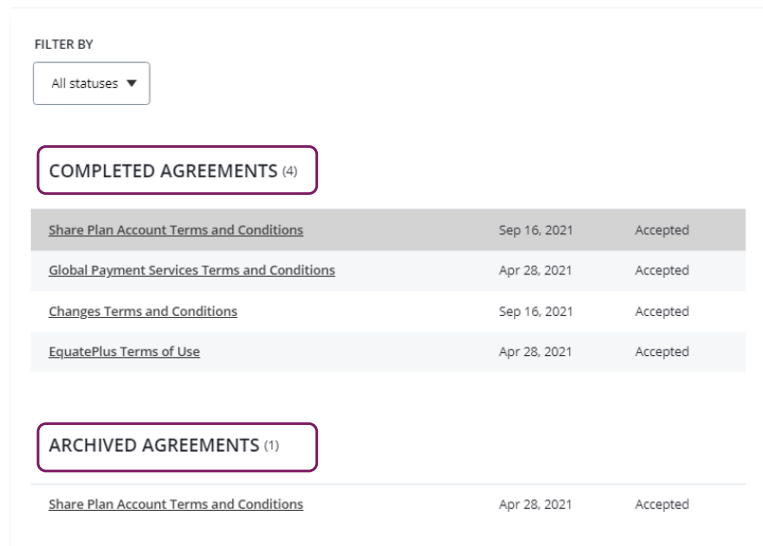
2.3 Archived agreements in the Library

Participants are asked to review and accept multiple service agreements during initial onboarding. If any of these agreements is then later substantially revised, the participant will be prompted to accept the updated agreement when they next log in.

The participant can view their agreements in the Library's Agreements section.

Previously, this section presented all agreements in a single list. We have now split them out into the current, active agreements "Completed Agreements" and the earlier variations that the participant had accepted, "Archived Agreements".

This gives the participant a clear view of which agreements they have accepted and what is now in force.



FILTER BY

All statuses ▼

COMPLETED AGREEMENTS (4)

Share Plan Account Terms and Conditions	Sep 16, 2021	Accepted
Global Payment Services Terms and Conditions	Apr 28, 2021	Accepted
Changes Terms and Conditions	Sep 16, 2021	Accepted
EquatePlus Terms of Use	Apr 28, 2021	Accepted

ARCHIVED AGREEMENTS (1)

Share Plan Account Terms and Conditions	Apr 28, 2021	Accepted
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Illustration: Completed and archived agreements in the Library

- ✓ Improved user experience
- ✓ Clarity on which agreements are in force



Corporate Experience

The below details some new features now available to you.

3.1 Management Transaction notification includes the ISIN

Many jurisdictions require the disclosure of "management transactions" as part of investor protection and market abuse measures. "Management" in this context refers to board members, executive management committees, and others who may have insider knowledge. Our Management Transaction notification functionality is intended to help you manage these obligations.

We have added the ISIN of the respective stock directly to the management transaction notification email so you / your team can more readily process and dispatch it.

This change is particularly relevant if you have multiple stocks and different processes or teams taking care of their Management Transactions reporting.

The ISIN itself is pulled from the plan's configuration details on EquatePlus.

- ✓ Facilitates time-critical transaction reporting processing for companies with multiple stock lines

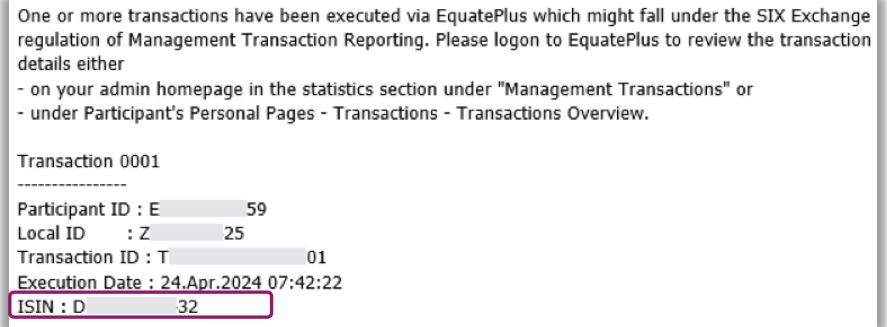


Illustration: Management transaction notification e-mail with the ISIN

The below details some new features now available to you.

3.2 Enhanced date logic in R1310 tax report

EquatePlus' report R1310 is used to report on US tax residents' Year-To-Date Income data.

The "Date loaded" column in the report was leading to confusion: it reflected the date a participant's account was created but many users expected it to reflect the date the year-to-date income record was created.

As the participant's account creation date is not relevant in this tax report, the column has been revised to show the expected YTD income record creation date.

PARTICIPANT ID	PARTICIPANT LOCAL ID	PAYROLL ID	DATE LOADED	AS OF DATE	CURRENCY	YTD CATEGORY	YTD VALUE
ETRN980617123	123345456456	CH01	31.May.2013 10:26:13 CEST	31.May.2013	USD	COUNTRY	10
ETRN980617123	123345456456	CH01	31.May.2013 10:30:29 CEST	31.May.2013	USD	Cash	16
ETRN981573143	04121989	BG01	10.Sep.2013 13:19:58 CEST	11.Sep.2013	AUD	011355	4543
ETRN981573143	04121989	BG01	10.Sep.2013 13:18:06 CEST	10.Sep.2013	CHF	123	122
ETRN981573143	04121989	BG01	10.Sep.2013 13:23:46 CEST	11.Sep.2013	CAD	1244	1212
ETRN981573143	04121989	BG01	28.Oct.2013 06:35:36 CET	29.Oct.2013	AUD	CUSTOM	1358698

Illustration: Sample R1310 with Date Loaded and As Of Date

- ✓ Improved relevance and clarity on dates in the report
- ✓ Easier to use report in addressing tax withholding queries

The below details some new features now available to you.

3.3 CDI file upload confirmation

The confirmation message you see when you upload a data file through the CDI, has been adjusted to be more user-friendly:

- > The wording indicates the file was accepted, not (yet) processed
- > A link to the "Review Results / Approve Datasets" screen is included to make it easy to monitor the progress of the file and take action if needed

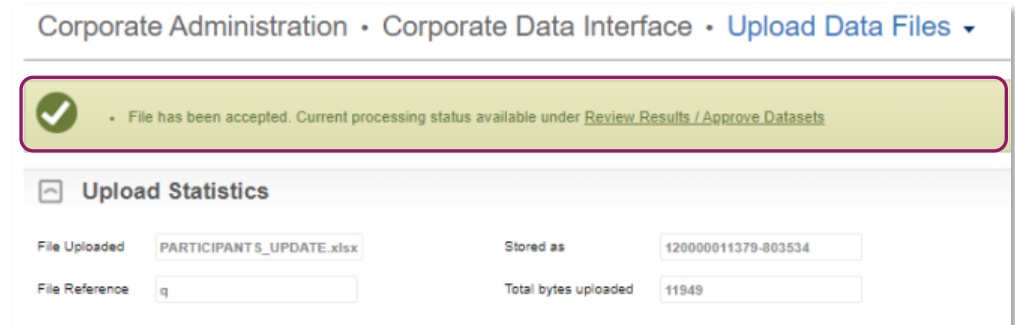


Illustration: Improved confirmation message with CDI file upload

✓ Clearer message with easy link to relevant progress screen



3. Corporate Experience

The below details some new features now available to you.

3.4 EquateAPI: improved output of load results

A key aspect of EquateAPI is that it completes a data load even if it encounters errors on individual records. The load's error messages are returned to the sending HR system in a standard JSON output format so that they can be addressed as needed. This information is also available to administrators through the EquatePlus Advanced Search screen where you can monitor statistics and load results.

While the JSON output format is standard - and intelligible to IT systems and IT teams - it can be challenging for non-technical users. With that in mind, we added an error table to the Advanced Search screen with more business user-friendly information.

This new table provides:

- > Error messages in "business user"-friendly format
- > Detailed attributes of the faulty data
- > Information on configuration mismatches and unknown parameters

- ✓ Enhanced clarity of error messages makes it easier and faster for you to take corrective action
- ✓ Clear and robust error messaging provides peace of mind while your HR system talks directly with EquatePlus through EquateAPI

Update date: May 9, 2024, 9:38:51 AM EqAPI load ID: 1384484

API Response Message		Formatted Message Table					
Package Data	Message	Message Type	Object Type	Attribute	Code	Message	Value
...	...	Error	PARTICIPANT	name	114	value is not in the collection of allowed values: name	EMPLOYEE

Message Type	Object Type	Attribute	Code	Message	Value
Error	PARTICIPANT	birthdate	120	the attribute birthDate is not a recognised field	1930-10-31
Error	PARTICIPANT_ORGANISATION	orgType	123	organisation structure orgType: banana not found in the company database	banana
Error	PARTICIPANT_ORGANISATION	baseOrgUnit	140	organisation structure baseOrgUnit: 12345 not found in the company database for orgType: FUNCTION	12345
Error	PARTICIPANT_CORPORATE_INFO	attribute	124	participant corporate info attribute: UK_123 not found in the company database (international values)	UK_123
Error	PARTICIPANT_CORPORATE_INFO	attributeCode	141	participant corporate info attributeCode: TAX_123 not found in the company database (international values) for attribute: UK_TAX_WITHHOLDING	TAX_123

Illustration: Statistic and load results along with the new user-friendly error table

+ 3. Corporate Experience

The below details some new features now available to you.

3.5 EquateAccess: supports Production and UAT login

EquateAccess is our authentication app, used to complete two step verification. Company administrators log in to the EquatePlus administrator interface through Single Sign-On (SSO) or with EquateAccess*.

EquateAccess has now been enhanced to let you log in to both the Production version of EquatePlus and the User Acceptance Testing version (UAT) from the same smartphone. This avoids you having to use two different authentication methods when you need to access UAT, e.g. to review a new plan implementation.

*Hard tokens were previously used for two step verification but are being phased out.

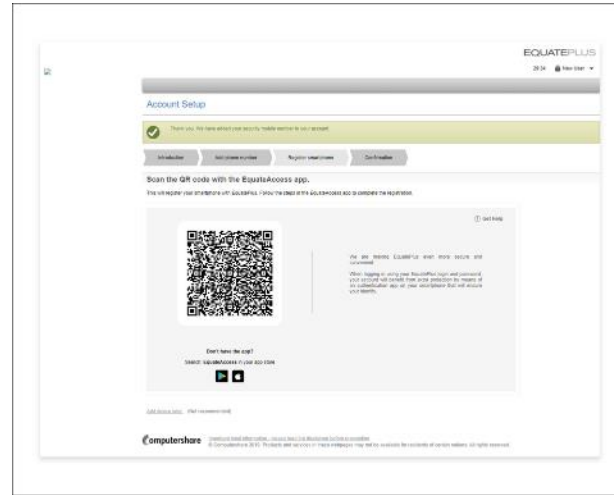


Illustration: Admin being presented with the QR code on screen to authenticate using EquateAccess



Illustration: image of active accounts in EquateAccess, showing both a Production and UAT account

✓ Easy, secure access to both UAT and production environments from the same smartphone

+ 3. Corporate Experience

The below details some new features now available to you.

3.6 EquateInsights: Notification centre

EquateInsights is the new plan reporting solution for EquatePlus. It is being rolled out in stages as features and plan coverage are completed. The enhancements described here are available to clients using EquateInsights.

One of the aims of EquateInsights is to make our plan reporting solution intuitive and user-friendly. With that in mind, we have now introduced a notification centre.

Notifications alert you of scheduled activity, when a report is ready for download, and when a report has been shared with you. You are made aware of any new messages through the bell icon in the upper righthand corner of the EquateInsights screen.

The new feature will be available to all EquateInsights users in the upcoming release.

- ✓ Good user experience with relevant report notifications
- ✓ Notifications alleviate the need to follow up on pending events

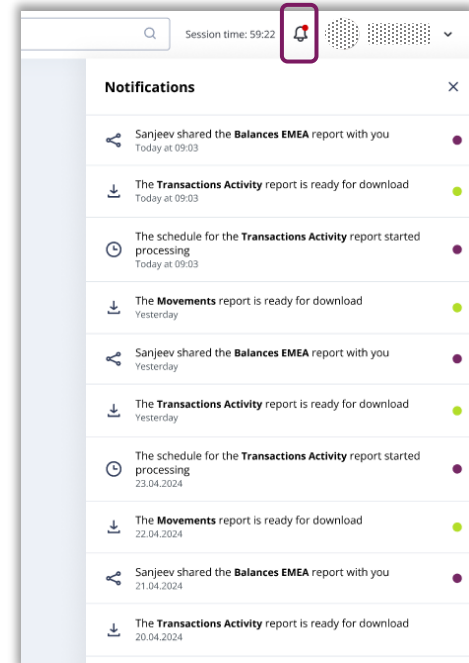


Illustration: the new EquateInsights notification centre

+ 3. Corporate Experience

The below details some new features now available to you.

3.7 EquateInsights: enhanced Period Movement report

Period Movement reporting has been enhanced with five new period movement templates. Each of the templates gives access to data summarized at a different level. The report has also been extended with additional attributes including participant details, allocation information, vehicle data and plan identifiers. These different templates and new attributes are intended to give you wide-ranging flexibility to cover your needs.

If you are familiar with the current EquatePlus reporting, the new Period Movement templates cover reports R0531, R0532, R0533, R0255 and R0258.

The enhancements will be available with the upcoming EquateInsights release to all users with access to the Period Movement report.

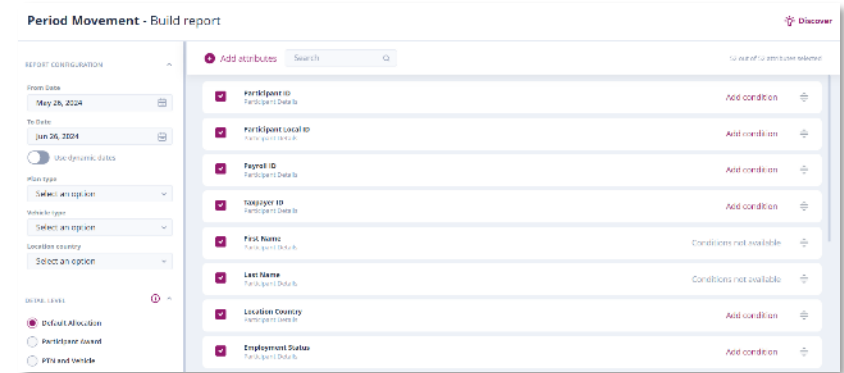


Illustration: New detail levels in the Period Movement report

- ✓ Reporting templates that provide the flexibility to meet a broad range of needs
- ✓ Ability to replicate familiar reports and extend and enhance them

+ 3. Corporate Experience

The below details some new features now available to you.

3.8 EquateInsights: enhanced Trade report

The trade report feature has been enhanced with a new summary-level trade report template. The new template provides trade data summarized at the total transaction level and offers an expanded set of data columns.

The change allows you to meet the same need as report R0425 on the EquatePlus reporting solution with additional column choices for more flexibility.

The update will be available with the release.

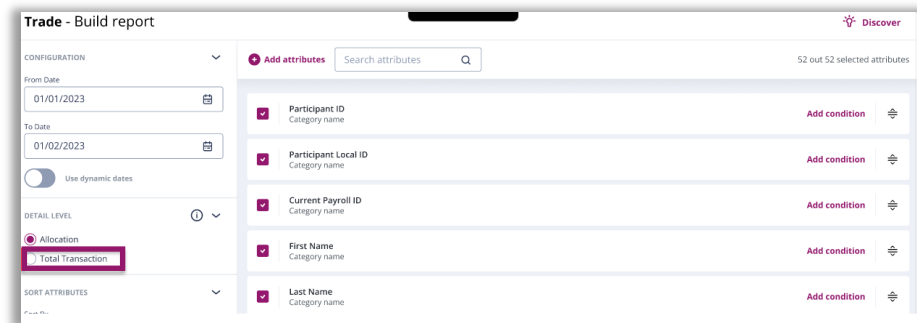


Illustration: Summary-level trade report template

- ✓ Improves usability of the report
- ✓ Ability to replicate a familiar report and extend and enhance it

+ 3. Corporate Experience

The below details some new features now available to you.

3.9 EquateInsights: Global ESPP reporting

EquateInsights has reached an important milestone as it now supports Global ESPP reporting. Several of the existing reports were enhanced for use with ESPP plans and several others were newly added. The following provides an overview for ESPP reporting.

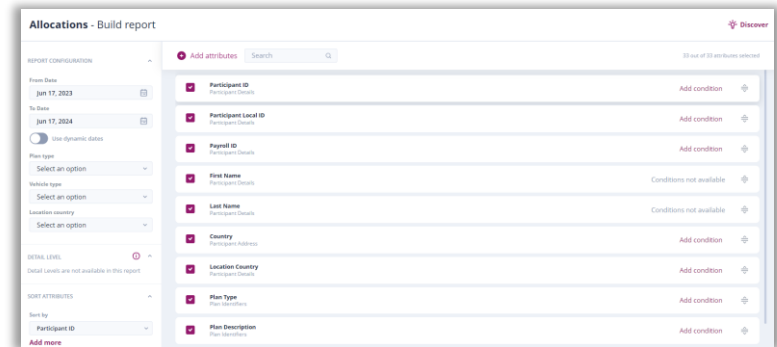
The **Allocations** report gives a breakdown of allocation details between two specified dates.

The **Trade** report provides a breakdown of executed market transactions initiated by participants for a given time period.

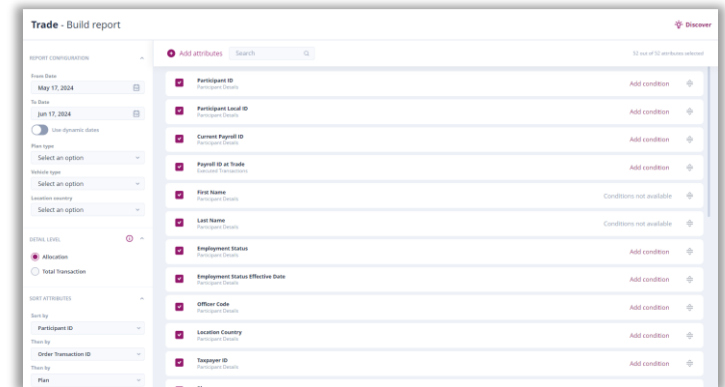
Newly added for ESPP reporting:

- > Linkage between purchased shares and connected matching shares
- > Additional participant details
- > Additional vehicle data

The Allocation report covers R0490 in the current EquatePlus reporting and the Trade report covers report R0430; using the new trade report template to switch to total transaction summary level, it can also replace report R0425.



Illustrations: the enhanced EquateInsights Allocations reporting template (above) and Trade template (below)



+ 3. Corporate Experience

The below details some new features now available to you.

3.9 EquateInsights: Global ESPP reporting – continued

The **Period Movement** report shows balances at the start and end of the stipulated reporting period and the transactional volumes in between at an allocation level.

The **Balance** report gives a complete breakdown of holdings at an individual participant and allocation level. It allows easy reconciliation of outstanding positions and liabilities as of a selected date.

Changes introduced to these reports to support ESPP reporting:

- > Plan identifiers
- > Allocations & allocation balances
- > Additional participant details & organizational data
- > Additional vehicle data

The Period Movement reports covers reports R0530 and R0496 in the existing EquatePlus reporting and if using summary detail templates, also R0531, R0532, R0533, R0255 and R0258. The balance reports covers R0040, R0080, R0083 and R0496 depending on purpose of using the report.

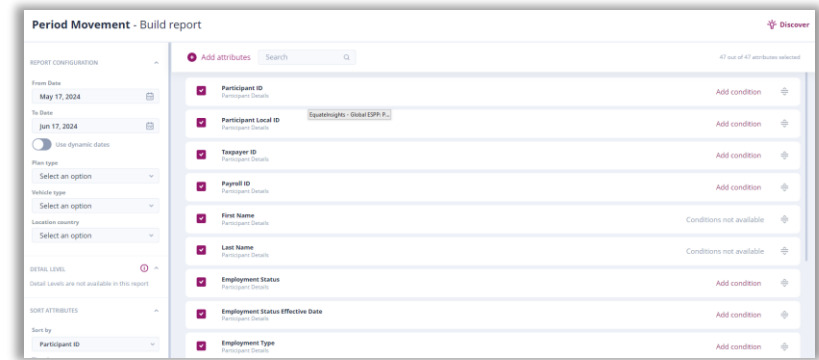


Illustration: the enhanced EquateInsights Period Movement reporting template

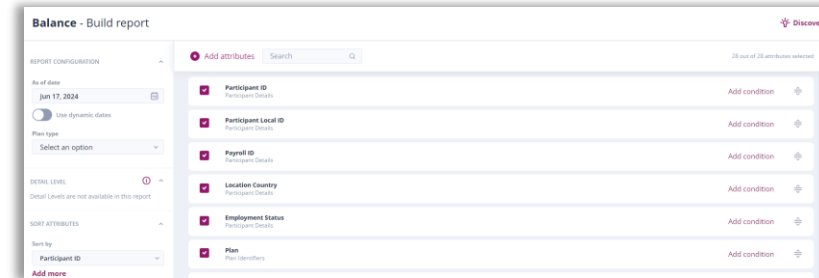


Illustration: the enhanced EquateInsights Balance reporting template

+ 3. Corporate Experience

The below details some new features now available to you.

3.9 EquateInsights: Global ESPP reporting – continued

The **Contribution election report** contains the information you need to produce the contribution files.

Key content in this new report:

- > Contribution and election details including dates
- > References to payroll data
- > Reference data: participant details, plan identifiers & vehicle data.

It covers reports R2102, R2103 and R2104.

And the **Contribution history report** captures a historical overview of participant contributions and elections, detailing critical information such as contribution amounts, currencies and submission dates.

Key content in this new report:

- > Contribution and election details including dates
- > Transaction and currency information
- > Reference data: participant details, plan identifiers & vehicle data.

It meets the same needs as report R2201.

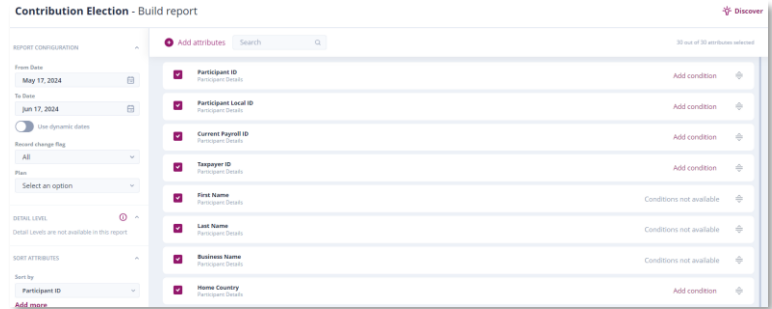


Illustration: the new EquateInsights Contributions Election reporting template

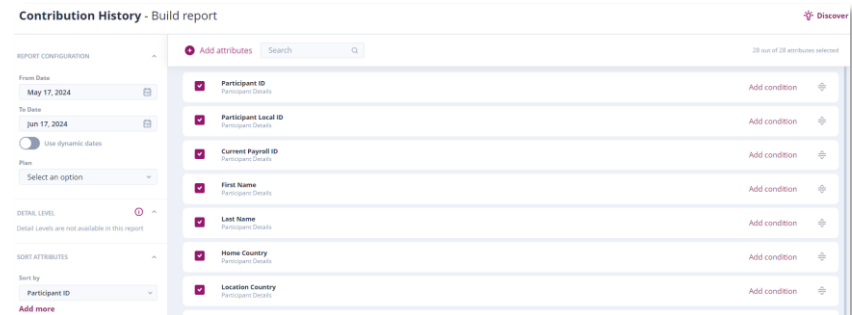


Illustration: the new EquateInsights Contributions History reporting template

+ 3. Corporate Experience

The below details some new features now available to you.

3.9 EquateInsights: Global ESPP reporting – continued

The **Purchase report** contains all relevant details of participants' purchases. It allows tracking of contributions used and any residual cash carried over until the next purchase, as well as the settlement required. Key content in this new report:

- > Purchase transaction details
- > Contribution details
- > Reference data such as participant details, plan identifiers, allocations and vehicles data

It covers report R2305.

All Global ESPP reporting changes and additions are included in the upcoming release.

- ✓ Expanding EquateInsights plan reporting coverage to Global ESPP
- ✓ Demonstrates the flexibility and simplicity of EquateInsights: fewer reporting templates with expanded, carefully chosen attributes to meet a broad range of needs
- ✓ Allows more clients to benefit from EquateInsights

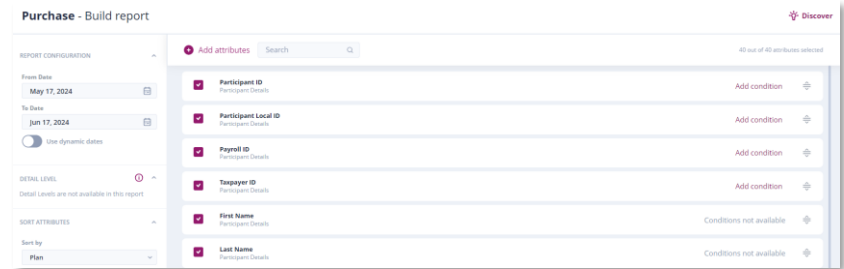


Illustration: the new EquateInsights Purchase reporting template



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