



Getting Started on the ESPP Application

INTRODUCTION

Whether you are an experienced ESPP plan administrator on the EM platform or just starting to learn the system, this guide can help you to do the following in the system:

- [ACCESS](#) – log in with your ESPP Plan Admin role
- [NAVIGATE](#) – learn where important data tables and processes are located
- [CUSTOMIZE](#) – set pages to display the information you need to do your work
- [REPORT](#) – set up parameters and run reports efficiently
- [GET HELP](#) – see how the help system can provide answers to your questions quickly

So, let's get started! Just click one of the links above to go directly to the topic or scroll down to read topics in order.

ACCESS the EM Platform

Using Microsoft Explorer version 11 or higher or Google Chrome, copy and paste this link, <https://em.certent.com/em/>, into the browser window to launch the login page as shown below:



Enter your user name and password and click Log In. Your user name is not case-sensitive but your password is.

Note: If you are logging into the system for the first time, you are prompted to change your password. Your new password must be at least ten characters long and contain three of these four character types – number, uppercase letter, lowercase letter, and special character.

You can change your password at any time but must change it every 45 days to comply with Certent's SOC 1 audit requirements. The system reminds you that your password is nearing expiration.

Select ESPP Plan Admin for your role. These roles are also supported:

- Accounting Anonymous
- Accounting Setup (formerly FAS 123R Setup)
- HR Admin
- HR with Exercises
- Modeling
- Reports Only (includes Batch Reporting)
- Stock Option Admin (SOA)
- Security Admin

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Dashboard

When you have successfully logged in, the **Dashboard** page displays as shown below. It is your source for important Certent announcements, news, and alerts such as upcoming training, webinars, and system software updates.

The screenshot shows the Certent Dashboard interface. At the top is a navigation bar with a hamburger menu icon, the word "Dashboard", and dropdown menus for "Administration", "Reports", and "Settings". On the right side of the navigation bar are icons for search, notifications, help, and a user profile labeled "ABCC Sample Company". Below the navigation bar, the page title is "Dashboard - Certent CSR Testing".

The dashboard is divided into several panels:

- Announcements:** Features a "Welcome to the ESPP Platform!" message with a logo and a list of key features: upcoming events list, workflow-based menu structure, dynamic help system, and report quick looks.
- Milestones:** A list of dates and corresponding events, such as "9/30/2018 End date for OP Sales2018, PP 3".
- News:** A list of recent news items, including a webinar registration link, a training video link, and an industry conference link.
- Alerts:** A list of system alerts, including a "SCHEDULED MAINTENANCE" notice for the Equity Management platform and a SOC 1 report availability notice.
- Upload Status:** A table showing the status of uploaded files, including file names, record counts, error counts, and completion times.

FILE NAME	RECORDS	ERRORS	ENDED
espppayroll_347.txt	100	1	07/12/2018 13:40:39
espppayroll_347.txt	100	1	07/12/2018 13:39:38
espppayroll_347.txt	100	1	07/12/2018 13:32:38
espppayroll_347.txt	100	1	07/12/2018 13:28:37
espppayroll_347.txt	1	0	07/12/2018 13:24:36

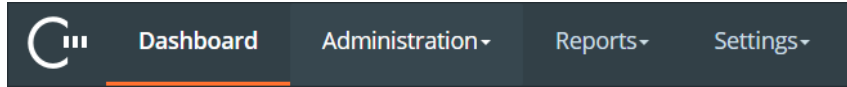
The Milestones panel shows upcoming offering period and purchase period events and provides links to navigate directly to the details.

The Upload Status panel lists files uploaded to the system using importer templates and provides links to the Upload Status page.

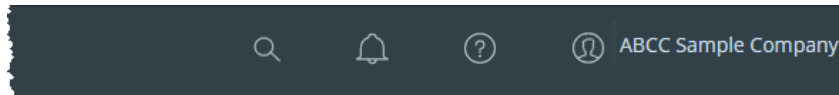
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NAVIGATE the ESPP Application


The menu bar at the top of each page provides access to all functionality in the system. Click each menu category to view and access the submenus.





The right side of the menu bar displays icons used for the functions described below.



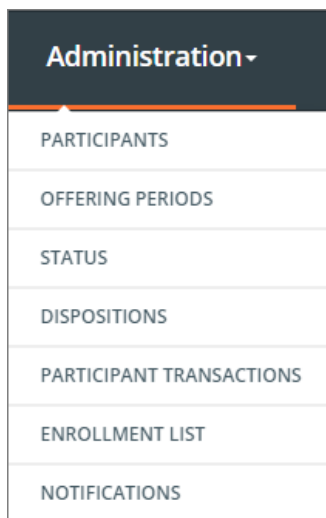
 Enter a minimum of three characters and click the Search icon and to locate a report or participant in the system; for example, entering **par** displays a list of matches for the keyword characters such as Participant Transactions report and Alan Parsons (participant).

 The Alert icon is reserved for future use.

 Click the Help icon and choose Help from the drop-down list to launch the help system in a separate window or choose Support from the drop-down list to open new and access existing support cases.

 Click the User icon to choose an action – Switch Profile (change role and/or company), Change Password, Classic Experience (does not display if switch to new experience is final), and Logout.

Administration Menu



When you click the **Administration** tab, these submenu items display:

Participants enables you to enter, edit, and delete participant records and take other participant-related actions.

Offering Periods enables you to enter and maintain offering periods and related items such as enrollment periods and purchase periods.

Status provides status of uploaded files and errors.

Dispositions enables you to enter and delete dispositions.

Participant Transactions displays transactions by participant across offering periods and purchase periods.

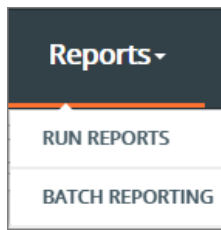
Enrollment List displays participants enrolled in all offering periods.

Notifications provides access to the notification center to create and send notifications about system activities.

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Reports Menu

When you click the **Reports** tab, these submenu items display:



Run Reports enables you to run reports in standard, interactive, and hands-free modes.

Batch Reporting provides access to the batch reporting console where you can enter and edit report batches and schedule them to run at a specific time, one time only or on a regularly-scheduled basis. You can also monitor batch job status.

Click [here](#) for more information about the powerful reporting capabilities of the EM platform.

Settings Menu

When you click the **Settings** tab, the submenu items display as shown below. They enable you to set up and maintain ESPP plans, update participant salaries, view securities prices, and update other system database tables.



In the **Plans** submenu, you set up new plans and maintain settings for existing plans such as accounting rules, fair market value, and reserve shares.

Participant Portal enables you to enter ESPP-related settings for the portal.

Salaries allows you to enter salary records for participants.


Forfeiture Percentage enables you to enter forfeiture rates the system uses for accounting purposes.

Volatility Rates allows you to enter volatility rates that the system uses to calculate fair market values (FMV).

You can view company securities market prices in **Securities**.

The **Accounting** submenu provides access to accounting setup, corporate tax entities, and valuation assumptions parameters.

Utilities provides access to lookup tables and the importer templates you use to upload bulk participant and ESPP database table records.


Note: The  button that appears on most user interface pages shows you the available commands based on the page you are viewing.

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CUSTOMIZE the ESPP Application

There are several ways to customize the way information displays on the system list pages. The sample page below shows the list of participants that displays when you select **Administration > Participants**. It is laid out similarly to other list pages.

<input type="checkbox"/>	NAME ▲	PARTICIPANT ID	RELATIONSHIP	STATUS	DEPARTMENT	HIRE DATE		TERMINATION DATE		SECTION 16 INSIDER
<input type="checkbox"/>	<input type="text"/>	<input type="text"/>	--SELECT--	--SELECT--	--SELECT--	From	To	From	To	--SELECT--
<input type="checkbox"/>	Aaron Burr	41520	Non-Employee	Terminated	Engineering	01/01/0101		02/22/2018		No
<input type="checkbox"/>	Akai, Thad M.	41335	Employee	Active	Engineering	01/01/2000				No
<input type="checkbox"/>	Akaka, Jeff S.	41147	Non-Employee	Terminated	Engineering	01/01/2000		03/01/2014		No
<input type="checkbox"/>	Alessi, Vince	VA1234	Employee	Active		01/01/2000				No
<input type="checkbox"/>	Alexander, Jon R.	41184	Employee	Active	Consultants	01/01/2000				No
<input type="checkbox"/>	Andrews, Carter G.	41788	Employee	Active	Finance	05/01/2014				No
<input type="checkbox"/>	Ash, Deborah	3115	Non-Employee	Active	Finance	01/01/2000				No
<input type="checkbox"/>	Barrasso, Mark F.	41244	Non-Employee	Active	Finance	01/01/2000				No
<input type="checkbox"/>	Baucus, Debbie V.	41466	Employee	Terminated	Administration	01/01/2000		06/15/2016		No
<input type="checkbox"/>	Bayh, James	41087	Non-Employee	Active	Engineering	01/01/2000				No
<input type="checkbox"/>	Begich, Jim D.	41306	Employee	Terminated	Engineering	01/01/2000		12/30/2013		No

Click the column chooser icon  to open a window in which you can select and deselect the columns to display on the page and change the order in which they are presented. Note that your settings are saved in the system so that when you next access the page, the same columns display until you change them.

You can also fine-tune the records that are displayed on the page by using the filter text boxes below the column headers. Enter your filter criteria or select from a pull-down list (when available) to display records that match the filter criteria. You can use more than one filter to view only the records you require. Remove the filtering by deleting the filter criteria in the boxes or by selecting All (number of records) from the pull-down list at the top of the page to remove all filters.

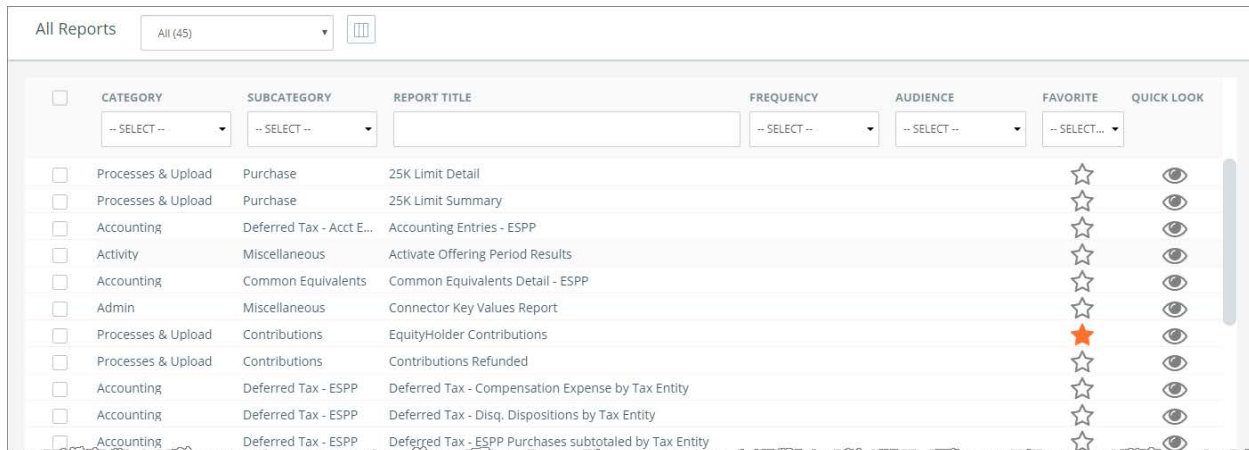
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REPORT Using the ESPP Application

There are two submenu selections when you click the **Reports** tab – Run Reports and Batch Reporting.


Run Reports


The system has a comprehensive suite of reports that are listed in alphabetical order when you click **Reports > Run Reports**.




The screenshot shows a web interface for viewing reports. At the top, there is a search bar labeled 'All Reports' with a dropdown menu set to 'All (45)' and a column chooser icon. Below this is a table with the following columns: CATEGORY, SUBCATEGORY, REPORT TITLE, FREQUENCY, AUDIENCE, FAVORITE, and QUICK LOOK. Each column has a filter dropdown menu. The table lists several reports, including '25K Limit Detail', '25K Limit Summary', 'Accounting Entries - ESPP', 'Activate Offering Period Results', 'Common Equivalents Detail - ESPP', 'Connector Key Values Report', 'EquityHolder Contributions', 'Contributions Refunded', 'Deferred Tax - Compensation Expense by Tax Entity', 'Deferred Tax - Disq. Dispositions by Tax Entity', and 'Deferred Tax - ESPP Purchases subtotaled by Tax Entity'. The 'EquityHolder Contributions' report is marked as a favorite with a red star icon.

<input type="checkbox"/>	CATEGORY	SUBCATEGORY	REPORT TITLE	FREQUENCY	AUDIENCE	FAVORITE	QUICK LOOK
<input type="checkbox"/>	Processes & Upload	Purchase	25K Limit Detail	-- SELECT --	-- SELECT --	☆	
<input type="checkbox"/>	Processes & Upload	Purchase	25K Limit Summary	-- SELECT --	-- SELECT --	☆	
<input type="checkbox"/>	Accounting	Deferred Tax - Acct E...	Accounting Entries - ESPP	-- SELECT --	-- SELECT --	☆	
<input type="checkbox"/>	Activity	Miscellaneous	Activate Offering Period Results	-- SELECT --	-- SELECT --	☆	
<input type="checkbox"/>	Accounting	Common Equivalents	Common Equivalents Detail - ESPP	-- SELECT --	-- SELECT --	☆	
<input type="checkbox"/>	Admin	Miscellaneous	Connector Key Values Report	-- SELECT --	-- SELECT --	☆	
<input type="checkbox"/>	Processes & Upload	Contributions	EquityHolder Contributions	-- SELECT --	-- SELECT --	★	
<input type="checkbox"/>	Processes & Upload	Contributions	Contributions Refunded	-- SELECT --	-- SELECT --	☆	
<input type="checkbox"/>	Accounting	Deferred Tax - ESPP	Deferred Tax - Compensation Expense by Tax Entity	-- SELECT --	-- SELECT --	☆	
<input type="checkbox"/>	Accounting	Deferred Tax - ESPP	Deferred Tax - Disq. Dispositions by Tax Entity	-- SELECT --	-- SELECT --	☆	
<input type="checkbox"/>	Accounting	Deferred Tax - ESPP	Deferred Tax - ESPP Purchases subtotaled by Tax Entity	-- SELECT --	-- SELECT --	☆	

Just as you customize the page display on the participant list page and other list pages, click the column chooser icon  to open a window to select the columns to display on the page and put them in the order that suits you.

You probably run a set of reports on a regular basis for month-end or quarter-end close. You can designate reports as frequently-run reports by clicking the Favorite icon . Select Yes in the Favorite filter pull-down list to view only reports marked as favorites.

If you see a report in the list that you think is the one you want to run, click the Quick Look icon  to open a window that shows you the report name, description, a sample report, and other information about the report.

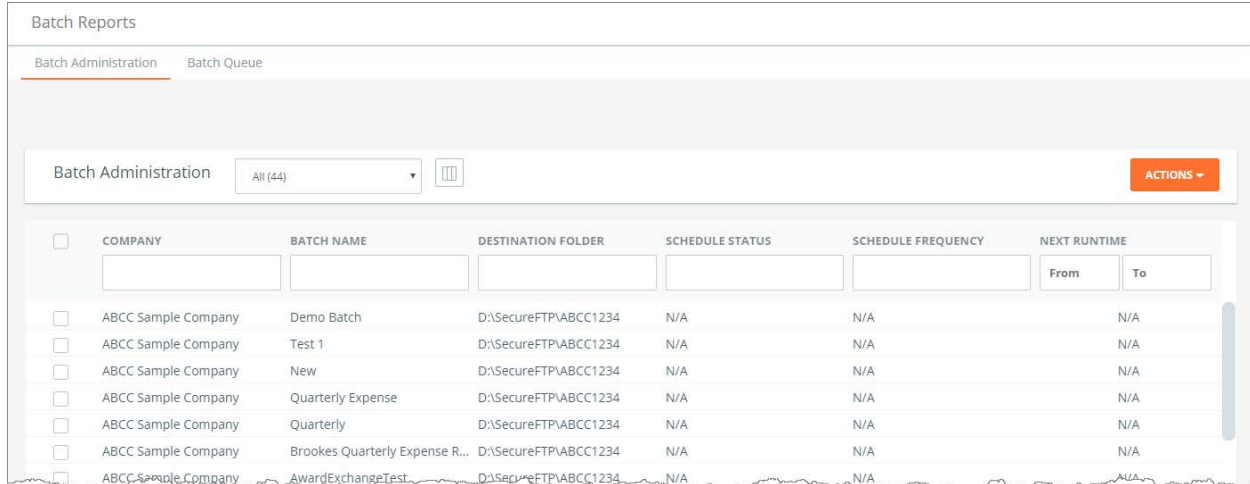
There are several ways to locate a report in this list:

- If you know the name or part of the name of the report, enter it in the Report Title filter box at the top of the column.
- If you know the category that the report belongs to, select it from the Category filter drop-down list; for example, Activity or Processes & Upload.
- You can filter the list further if you know the subcategory to which the report belongs by selecting it in the Subcategory filter drop-down list; for example, Expense Accrual – ESPP or Dispositions.

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Batch Reporting

Batch reporting enables you to select reports, group them together in a report batch, schedule them to run at a specified time, and notify one or more people upon completion via email. When you select **Reports** > Batch Reporting, a list of batch report jobs displays as shown below:



The screenshot shows the 'Batch Reports' interface. At the top, there are two tabs: 'Batch Administration' (selected) and 'Batch Queue'. Below the tabs, there is a search bar with the text 'Batch Administration' and a dropdown menu showing 'All (44)'. To the right of the search bar is an 'ACTIONS' button. Below the search bar is a table with the following columns: 'COMPANY', 'BATCH NAME', 'DESTINATION FOLDER', 'SCHEDULE STATUS', 'SCHEDULE FREQUENCY', and 'NEXT RUNTIME'. The 'NEXT RUNTIME' column has sub-columns for 'From' and 'To'. The table contains several rows of data, all with 'N/A' in the 'SCHEDULE STATUS' and 'SCHEDULE FREQUENCY' columns.


<input type="checkbox"/>	COMPANY	BATCH NAME	DESTINATION FOLDER	SCHEDULE STATUS	SCHEDULE FREQUENCY	NEXT RUNTIME	
						From	To
<input type="checkbox"/>	ABCC Sample Company	Demo Batch	D:\SecureFTP\ABCC1234	N/A	N/A		
<input type="checkbox"/>	ABCC Sample Company	Test 1	D:\SecureFTP\ABCC1234	N/A	N/A		
<input type="checkbox"/>	ABCC Sample Company	New	D:\SecureFTP\ABCC1234	N/A	N/A		
<input type="checkbox"/>	ABCC Sample Company	Quarterly Expense	D:\SecureFTP\ABCC1234	N/A	N/A		
<input type="checkbox"/>	ABCC Sample Company	Quarterly	D:\SecureFTP\ABCC1234	N/A	N/A		
<input type="checkbox"/>	ABCC Sample Company	Brookes Quarterly Expense R...	D:\SecureFTP\ABCC1234	N/A	N/A		
<input type="checkbox"/>	ABCC Sample Company	AwardExchangeTest	D:\SecureFTP\ABCC1234	N/A	N/A		

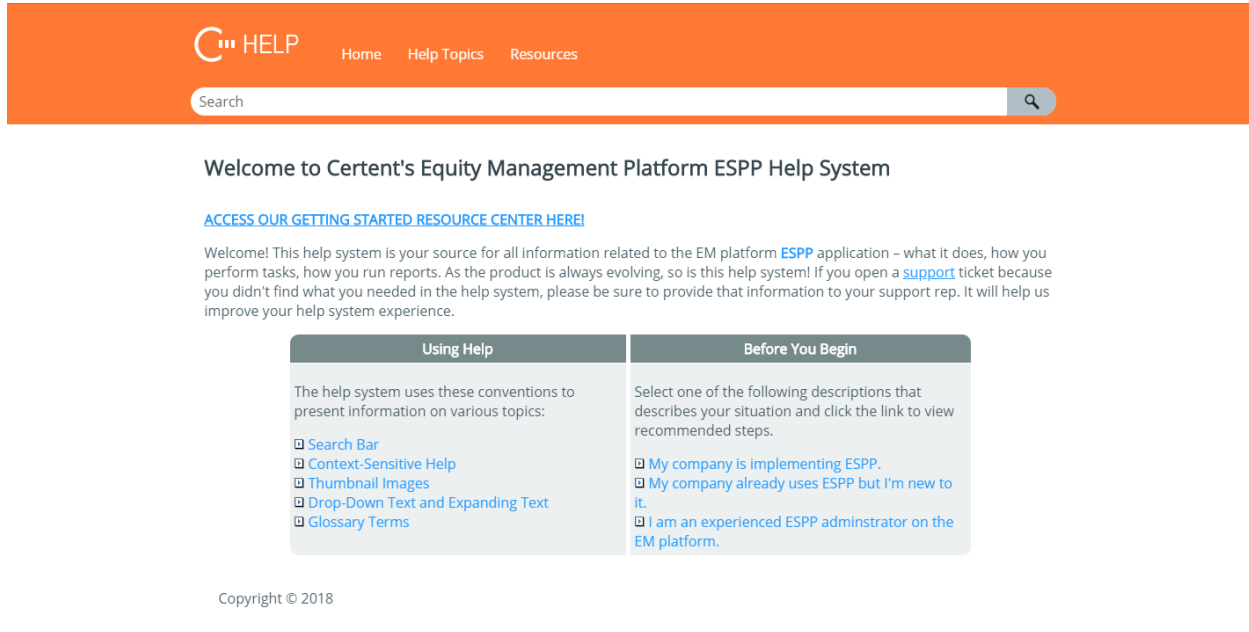
In the Batch Administration tab, you can enter new batches, edit the batches displayed in the list, and delete batch jobs that are no longer needed.

Click the Batch Queue tab to view a list of batch jobs that have completed and those that are in process.

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GET HELP in the ESPP Application

Click  in the menu bar and select Help from the drop-down list to open the help system launch page.



HELP Home Help Topics Resources

Search

Welcome to Certent's Equity Management Platform ESPP Help System

[ACCESS OUR GETTING STARTED RESOURCE CENTER HERE!](#)

Welcome! This help system is your source for all information related to the EM platform **ESPP** application – what it does, how you perform tasks, how you run reports. As the product is always evolving, so is this help system! If you open a [support](#) ticket because you didn't find what you needed in the help system, please be sure to provide that information to your support rep. It will help us improve your help system experience.


Using Help	Before You Begin
<p>The help system uses these conventions to present information on various topics:</p> <ul style="list-style-type: none">Search BarContext-Sensitive HelpThumbnail ImagesDrop-Down Text and Expanding TextGlossary Terms	<p>Select one of the following descriptions that describes your situation and click the link to view recommended steps.</p> <ul style="list-style-type: none">My company is implementing ESPP.My company already uses ESPP but I'm new to it.I am an experienced ESPP administrator on the EM platform.

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The help system is a powerful resource that provides information about the EM platform pages, reports, and processes. Here's how to navigate:

The **Home** tab brings you to the above page from whatever you are viewing in the help system.

The **Help Topics** tab opens a menu of help topics that corresponds to the system user interface. Click on a listing in the menu to view the help topic for that item.

As you access various pages in the user interface, click  > Help to view the topic that matches the page you are viewing.

Your most valuable tool to find what you need in the help system is the **Search** bar. Enter a minimum of three characters or complete keywords and the help system lists the matches to your search criteria. Click the topic link to view the entire help topic.

The **Resources** tab provides access to training videos, release notes, and support information.

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