CERTENT

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 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.
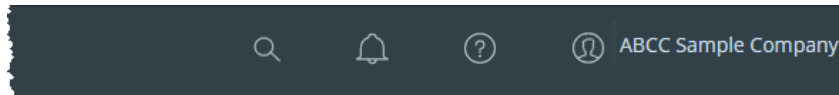
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NAVIGATE the ESPP Application

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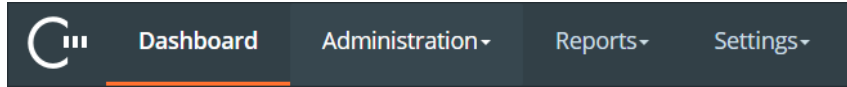
The right side of the menu bar displays icons used for the functions described below.


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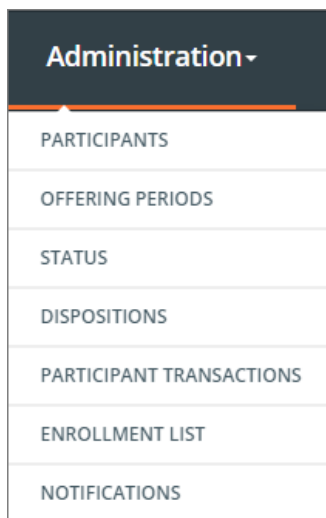
When you click the **Administration** tab, these submenu items display:

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.
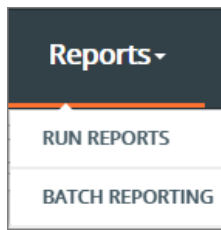
Enrollment List displays participants enrolled in all offering periods.

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 **ACTIONS** 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.

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.
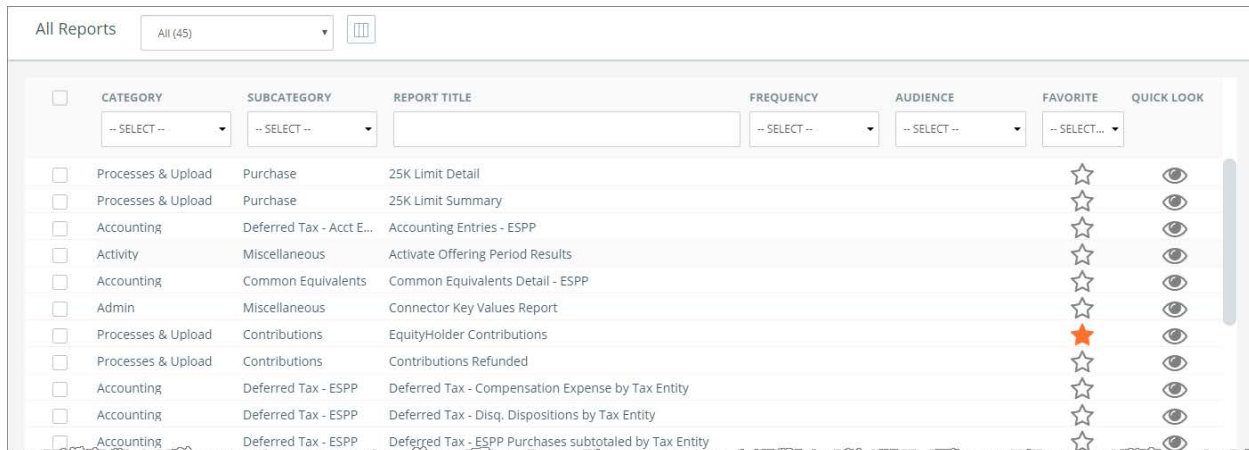
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REPORT Using the ESPP Application

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.

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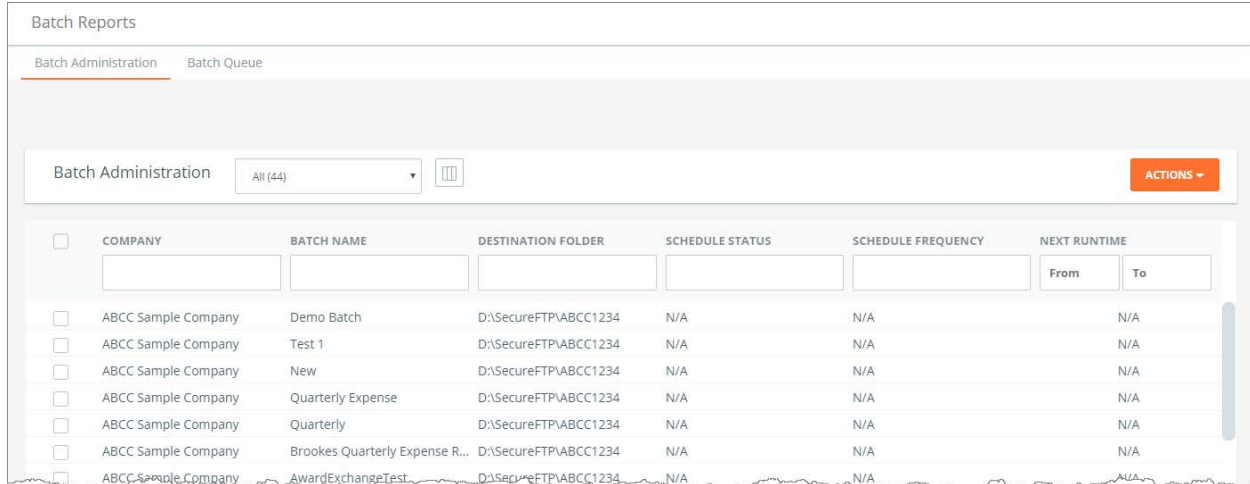
There are several ways to locate a report in this list:

- 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:

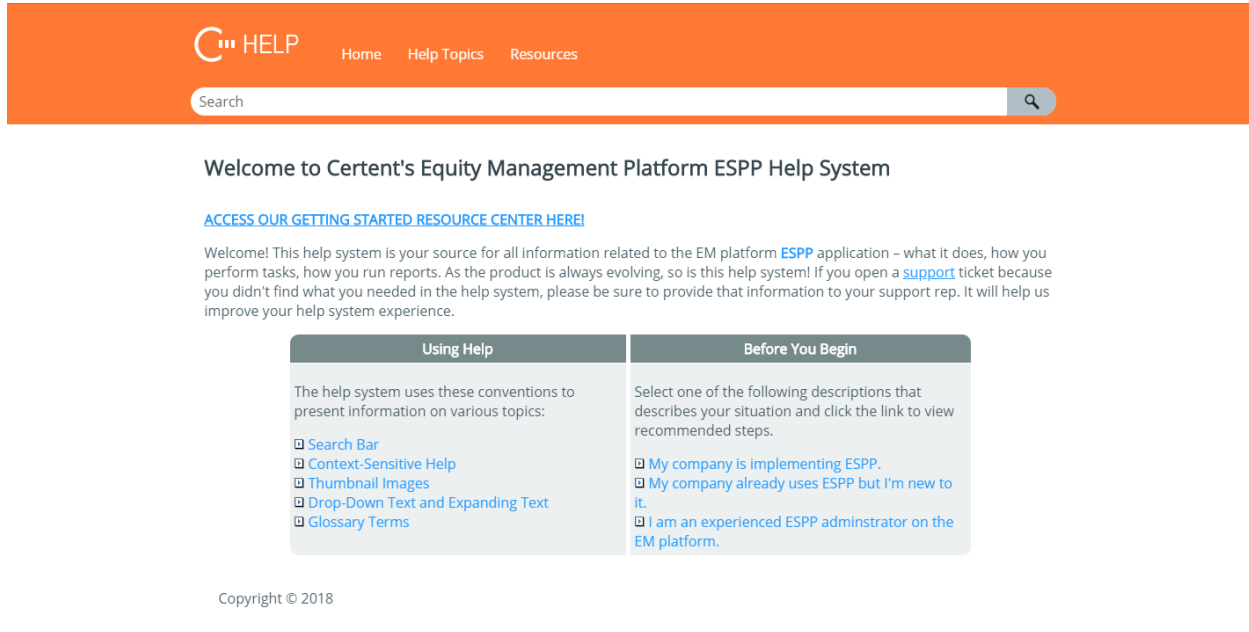|	COMPANY	BATCH NAME	DESTINATION FOLDER	SCHEDULE STATUS	SCHEDULE FREQUENCY	NEXT RUNTIME	
						From	To
☐	ABCC Sample Company	Demo Batch	D:\SecureFTP\ABCC1234	N/A	N/A	N/A	
☐	ABCC Sample Company	Test 1	D:\SecureFTP\ABCC1234	N/A	N/A	N/A	
☐	ABCC Sample Company	New	D:\SecureFTP\ABCC1234	N/A	N/A	N/A	
☐	ABCC Sample Company	Quarterly Expense	D:\SecureFTP\ABCC1234	N/A	N/A	N/A	
☐	ABCC Sample Company	Quarterly	D:\SecureFTP\ABCC1234	N/A	N/A	N/A	
☐	ABCC Sample Company	Brookes Quarterly Expense R...	D:\SecureFTP\ABCC1234	N/A	N/A	N/A	
☐	ABCC Sample Company	AwardExchangeTest	D:\SecureFTP\ABCC1234	N/A	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.

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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