



Transfer Agent Excellence:

Elevating Shareholder Value

In today's competitive investment environment,

companies must deliver shareholder communication that is transparent and consistent in order to further build trust and maintain investor confidence. Stakeholders who feel informed and invested in the company's strategy and performance are more likely to support company proposals in proxy voting, pay, directors and management.

Across the lifecycle of a company, there are many corporate events that require specific, strategic interactions with key stakeholders. When you work with a transfer agent that has extensive expertise and deep operational knowledge, you gain an advisor who can help with much more than stock transfer and registry services. EQ can enhance both issuer and shareholder satisfaction across key events when the relationship management (RM) and shareholder services support teams collaborate to support business goals and maximize shareholder value.



When Choosing a Transfer Agent

Issuers should consider:

- Seamless, accurate and timely execution of key transfer agent services.
- Comprehensive support for your shareholders' inquiries.
- Unique insights and strategies for the preparation and execution of your annual general meeting.
- Dedicated experienced relationship management.
- Best-in-class issuer and shareholder recordkeeping system.
- Expertise in complex corporate actions.

Key Considerations

When considering a transfer agent provider, key criteria to keep in mind are:

- **Depth of knowledge**, both regulatory and industry-specific, that only years of experience can deliver.
- **Reputation**, measured by credentials like excellent customer service, client retention and high satisfaction scores from clients.
- **Strategic use of technology-based solutions**, including best-in-class data and web platform solutions, cybersecurity, fraud prevention and disaster recovery.

From an operations perspective, look for performance, both in terms of impeccable transaction execution and regulatory knowledge.

An experienced transfer agent should also be committed to understanding your business and anticipating your needs. In addition, look for a provider that can deliver proactive guidance from dedicated experts your team can turn to with questions or challenges.

Few companies have an in-house, full-time employee who is solely focused on shareholder services, so keeping abreast of fast-moving industry changes and market trends can be difficult. A dedicated transfer agent serves that role, combining an understanding of your business and priorities with expertise in navigating interactions with all outside teams including brokers, lawyers, investment banks and more.

Three important features to consider when choosing a transfer agent are:

Seamless execution

From accurate recordkeeping to dividend disbursement, a transfer agent ensures all aspects of shareholder support services are handled with precision and care.

Responsiveness

Direct access to a representative with deep client-specific knowledge, including historical behavior and preferences, is a must.

Value

Clients want best practices delivered through transparent pricing and communications.



Why EQ Is the Right Transfer Agent

EQ has been a trusted advisor providing transfer agent services for over 95 years. We deliver expert guidance with a collaborative, consultative and high-touch approach that drives your business forward.



Seamless execution

EQ seamlessly delivers a smooth shareholder experience where our team can handle large volumes of transactions with accuracy and timeliness.

- **500+** U.S. corporate actions handled annually
- **99.2%** processing accuracy in the U.S.
- **\$264B** in U.S. dividends paid annually
- **9.8M** U.S. transactions processed for shareholders annually



Shareholder support

Your shareholders are supported by our professional, in-house, shareholder service teams.

- **90%** first-call resolution
- **2.2M+** calls managed annually by our call center
- **24/7** access to the shareholder portal to manage stock accounts and perform transactions
- Serving **12M+** shareholders in the U.S.

EQ BY THE NUMBERS

~6,700
clients globally

40M
shareholders served

#1
Transfer Agent in
Client Satisfaction*

35%
of the S&P work with EQ

*Group Five Shareholder Services
Benchmarking Study, 2023

EQ EXPERIENCE

15+ years

(average industry experience of our RM team)

25+ years

(average industry experience of our shareholder services support team)

Diverse experience across transfer agent operations, equity plans, corporate actions and shareholder engagement throughout all critical events across your company lifecycle



Dedicated relationship management

EQ supports your company with a relationship management team that has 15+ years of industry experience. Ongoing communication and regular check-ins help ensure your transfer agent service needs continue to be met.



Issuer and shareholder recordkeeping

Your historical data can be seamlessly transitioned to our recordkeeping system. We also provide tax reporting and abandoned property service, processing of dividend disbursements and support for dividend reinvestment or direct stock purchase plans. EQ has 99.2% processing accuracy in the U.S.



Complex corporate actions

EQ handles 500+ corporate actions annually. Get expert guidance for mergers and acquisitions, Dutch auctions, tender offers, spin-offs, cross-border redomiciliations, reorgs, reverse stock splits and rights offerings.



Annual general meetings

For the preparation and execution of your annual general meeting, we can deliver a virtual, in-person or phone experience with advanced technology and exceptional pre-meeting preparation and support. Our experienced professionals lead you through the process to ensure a harmonious management and shareholder experience. EQ tabulates thousands of shareholder meetings annually.



Expertise beyond transfer agent services

Companies need expert support throughout many critical events in their company lifecycle. Selecting a transfer agent with comprehensive services allows you to consolidate providers and hone operational efficiencies within your business.

Let's look at two case studies that demonstrate the value of EQ's expertise beyond transfer agent services.

CASE STUDY #1

30-year transfer agent client taps EQ for new equity plan solution



Situation

An existing 30-year client in the technology space needed a new flexible equity plan solution. The client wanted to transfer its plan over as a cash award and allow its employees to see the real-time market value of its stock on its dashboard.

The client was pleased with EQ's transfer agent services knowledge and experience. Because of its status as a trusted advisor, the client approached EQ for this new project.

Solution

EQ worked closely with the client's compensation team to understand their needs. Transfer agent and equity plan solutions (EPS) relationship managers collaborated and determined that the EQ EPS platform could convey the company's compensation awards as needed. The team proposed an employee equity plan set up as a restricted stock unit (RSU) that would be settled in cash which met the company's ask to transfer the plan over as a cash award. This also allowed the company's market stock price to be reflected in real-time on its dashboard to its participants.

Results

EQ's services beyond transfer agency tasks allowed it to be chosen as its client's new equity plan provider. Using a single provider created greater process efficiencies and cost savings for the client, boosting its overall satisfaction.

CASE STUDY #2

EQ's complex corporate actions expertise leads to a successful exchange offer

Situation

A long-standing multinational transfer agent client sought EQ's corporate actions knowledge and experience for a complex exchange offer involving more than 1,000 global shareholder entities, multiple classes of shares and a share value worth billions of dollars. This offer carried unique documentation requirements and had an intricate technical transaction process that required processing large volumes of transactions in a tight timeframe.

Solution

EQ's cross-functional team of experts included transfer agent and information agent teams as well as administrative teams in corporate actions, finance, technology, processing, correspondence and data. They collaborated to create a tailored online platform to simplify submission of required documentation as well as to provide necessary communications. The effort took months of strategic planning and the execution occurred over a four-week transaction period.

Two key elements of the solution were a secure, dedicated online platform and a robust call center. The online platform:

- Provided a secure, end-to-end conduit for shareholders to submit their required documentation and exchange elections.
- Saved time and maintained accuracy and efficiency.
- Eliminated the wait for physically mailed exchange offer letters of transmittal — with more than 200 million shares to be processed in a tight four-week window, this was critical.
- Communicated the details of the complex corporate action and gave explicit instructions on how shareholders could participate, which led to a high shareholder participation rate.

The call center agents were specifically trained and had access to multimedia resources and tools that provided thorough information to shareholders and addressed specific shareholder inquiries such as how to calculate conversion rates, whether there were any trade restrictions and what payment options were available.

The client also hosted a shareholder-facing conference call that included its EQ relationship manager, who addressed questions related to the exchange.

Results

EQ's relationship management team's industry experience, combined with the expertise of the corporate actions team and the execution of the transfer agent operations team, enabled EQ to seamlessly execute this complex transaction.

The client was extremely satisfied with EQ's solution. The exchange offer achieved substantial shareholder participation, including involvement from the client's largest shareholders, and delivered higher shareholder satisfaction.

A transfer agent that delivers efficient and seamless shareholder operations support plays a crucial role in the maximization of shareholder value. With complete public and private transfer and registry services, EQ delivers unique insights, technology-based solutions and informed, strategic recommendations that yield an extraordinary shareholder experience.

As your trusted advisor, we'll deliver expert guidance with a collaborative, consultative and high-touch approach that drives your business. EQ can offer you:

- A comprehensive set of services
- Seamless execution
- Unparalleled shareholder support
- A data-driven approach
- Transparent pricing

[Discover why EQ is the #1 Transfer Agent in Client Satisfaction.](#)

Connect with our team to learn more about EQ's transfer agent offering and full range of services. [Connect with us.](#)



ABOUT EQ

EQ are specialists in helping you better understand and manage the ownership of your company through critical events across the corporate lifecycle. As trusted advisors, we provide strategic insight and operations expertise through our core business units in Private Company Services, Transfer Agent Services, Employee Plan Solutions and Proxy Services. Globally we serve 6,700 clients (49% of the FTSE 100 UK and 35% of the S&P 500), with over 40 million shareholders, through 6,500 employees in 5 markets around the world.

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