



Top 5 **Operations** **Best Practices** to Look for in a Transfer Agent



As your organization grows, it's important to choose a transfer agent service provider who can help meet your needs and provide expert guidance.

A transfer agent's operations team is an invaluable resource for helping public companies manage recordkeeping, reporting and communication so they're confident their shareholder transactions are handled efficiently and securely. Here are five considerations to help you select the right transfer agent for your business.

01. Define operational performance measures

Look for a transfer agent that has established service quality guidelines like call center performance, shareholder satisfaction percentages and measuring quality by establishing clear service level agreements (SLAs) and key performance indicators (KPIs). Not only will these performance indicators provide insights into how well the transfer agent is performing their core business, but they also set the stage for transparency.

By leveraging operational performance metrics, the right transfer agent can meet your unique business and shareholder support needs. These metrics will also help you gain insights into how you can improve your own business operations and better serve your shareholders. An experienced transfer agent should have a proven process in place for monitoring KPIs, along with recommendations on how to leverage insights from this data to provide continuous improvements.





02. Look for collaboration and consistent communication between teams

A transfer agent that provides comprehensive services should have several operational teams in place that oversee diverse functions such as recordkeeping, transfer of shares and dividend payments. Teams should also be able to answer shareholder questions, track down lost or dormant shareholders and maintain regulatory compliance.

As your transfer agent is the face of your company to your shareholders, consistent communication between its various teams and your management should be prioritized to minimize possible errors. Integrated and consistent communication helps your shareholders receive cohesive experiences while also helping your company meet its regulatory requirements.

03. Improve collaboration with other stakeholders

For an enhanced shareholder experience, it's important that your transfer agent can easily work across diverse departments, business structures and functions to minimize inaccuracies, delays and shareholder confusion.

An experienced transfer agent's operations leaders should participate in regular monthly meetings with the firm's other teams, such as Relationship Management and Technology and Risk Management. The transfer agent's operations leaders should also participate in regular discussions with your company's internal leaders across legal, finance and investor relations to keep all involved parties on the same page.

04. Understand how your transfer agent impacts shareholder engagement

A key aspect of a transfer agent is how its services affect shareholder engagement. Your transfer agent is responsible for all registered shareholder-related inquiries from the company as well as stock-related inquiries from registered shareholders.

With a transfer agent, quality guidelines such as responsiveness, efficiency and courtesy help to ensure the call center's performance is aligned with your company's goals and shareholder expectations. You should also have access to overall metrics that support established KPIs.

05. Seek dedicated operational resources

Not all transfer agents have the technology, teams or processes in place to handle every organization's shareholder service requirements. For large or international businesses, you may wish to confirm your transfer agent has the necessary operational resources to provide the services shareholders would require.

When selecting the right transfer agent for your business, confirm whether there are dedicated operational resources that can be aligned with your company's processes. This will allow them to seamlessly integrate with your business and provide the specific expertise and tools required to execute large complex transactions with the highest level of accuracy.

Best practices that work

Your transfer agent's operations team should be one of the key considerations when choosing a provider. At EQ, our team brings industry expertise to every interaction. Our relationship management and shareholder services support teams deliver expert guidance with a collaborative, consultative and high-touch approach that helps drive your business.

[Learn more about EQ Transfer Agent Services.](#)

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Shareholders Served

15k+

Organizations Supported

64%

of the S&P 500 Serviced*

*Across EQ and Notified Services



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