



Best Laid Plans:

A Planning Checklist for Annual Meetings



Planning your company's annual shareholder meeting involves navigating various complexities, from complying with regulatory issues to addressing industry challenges and executing logistics seamlessly.

Milestones and key deliverables require coordination among your transfer agent, the Securities Exchange Commission (SEC), employee stock plan administrator(s) and other third parties. Using an experienced transfer agent can streamline meeting preparation, compliance and meeting execution and make planning your annual meeting simpler and less stressful.

This checklist was created to help you maximize the benefits of your relationship with your transfer agent as you prepare for your annual meeting.



Tip:
Choose a transfer agent that can help you through the entire planning process

When you work with EQ, we serve as your single point of contact to seamlessly address regulatory requirements and mechanical aspects of the meeting as well as highlight any key considerations so that your team can focus on strategic business imperatives.



Meeting goals

As you define the goals for your annual general meeting, your transfer agent can help with this preparation. Typical considerations are ensuring a quorum is obtained, electing the board's nominees and passing board proposals. At EQ, a dedicated relationship manager is assigned to manage the entire process related to your registered, plan and street elements.

Broker search and materials

Your transfer agent will manage the preparation and distribution of search cards to brokers, banks, nominees and record holder/respondent banks in order to determine the amount of material required to be mailed to beneficial holders. This must take place at least 20 business days prior to the record date as required by SEC Rule 14a-13.

EQ's broker search process is automated. Upon client notification, we notify the various brokers, banks and nominees.

DTCC registration and third-party permission

The Depository Trust & Clearing Corporation (DTCC) oversees security positions of banks and brokers. These entities are important to your vote, and issuers must secure critical information online from the DTCC using its Security Position Reports (SPR).

Use www.dtcc.com to register your company to receive securities position listings online, as well as to authorize others within their organizations and third parties (such as your transfer agent and independent solicitors) to view, print and download this data.

Electronic consent and distribution of meeting materials

Your transfer agent can help you increase your shareholders' adoption of this efficient and cost-effective method for fulfilling your annual meeting materials. The more consented investors you have, the greater the savings on traditional stock, printing and postage-related expenses.

Tip:

Consider needs for extra proxy material

You may need to plan for having extra material (e.g., for internal use, to have onsite at the annual meeting, etc.). Talk with your transfer agent to make sure these needs are considered.

File consolidation and integrated voting tabulation of employee data

If you have employee stock plans managed by outsourced plan administrators, see if your transfer agent can help with the coordination and consolidation of these files.

For example, EQ offers what we refer to as a “uni-card” option. This feature combines multiple holdings on a single proxy card. Thus, a shareholder with shares in the common stock, restricted stock plan and 401(k) plan can receive a single proxy card with all three accounts.

Mail consolidation — householding and merging

Opting to consolidate a mailing by sending a single copy of the annual report and proxy statement to multiple accounts can reduce postage expenses as well as printing costs for additional annual reports.

The most comprehensive method of combining packages is known as householding. In this scenario, proxy cards for individuals with the same last name who reside at the same address can be combined into a single package with only one set of materials. Thus, a couple who holds shares in their own names and in the names of their children will receive only one package.

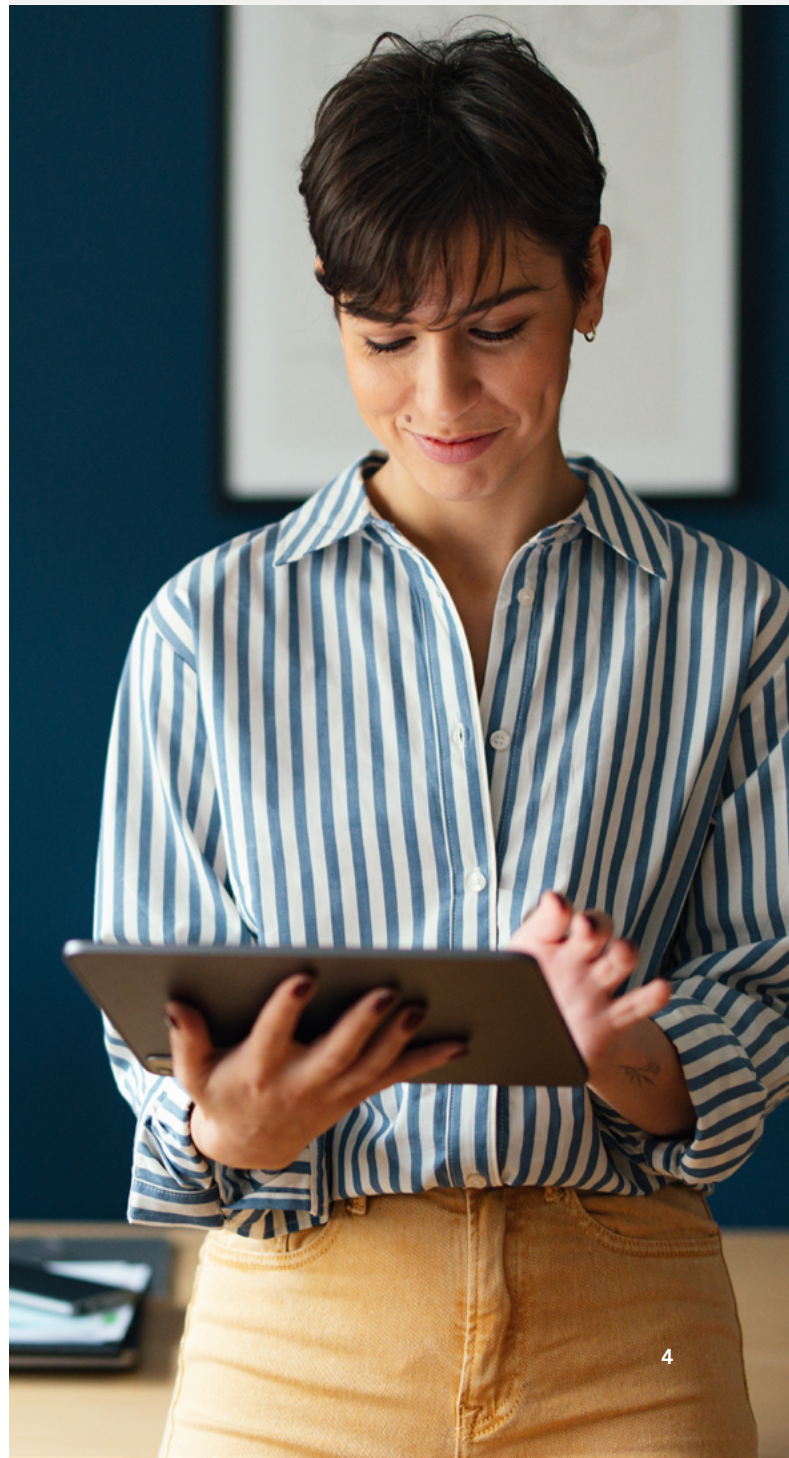
Physical material fulfillment

Inquire whether your current transfer agent has access to sophisticated postal discounts to minimize postage expenses for first-class domestic mail, expedited flat mail, etc.

At EQ, our Mail Services Group oversees the entire process, ensuring strict control points and quality assurance protocols, as well as the management of our network of state-of-the-art equipment and capacity planning.

Tip: Plan for the consent deadline

The letter of authorization to consent to householding must be mailed no fewer than 60 days prior to the annual meeting.



Tip:

Expect benefits beyond compliance

EQ also offers hosting, electronic voting (by phone or Internet) and fulfillment processing.

Electronic voting

To realize benefits from a quicker return of votes, reduction of material and postage expenses, and increased shareowner satisfaction, see if your current transfer agent offers turnkey electronic voting options that can broaden your registered and employee shareowners' proxy voting options.

Notice and access compliant solution

The transfer agent should be compliant with the SEC's "Notice and Access" model for proxy material. This allows shareholders to view nominees' names and proposal text exactly as they appear on the proxy card and in your proxy statement.

Integrated proxy tabulation

Inquire how your current transfer agency handles this process and how its technology works. With EQ, proxy votes are seamlessly integrated as they're scanned, received electronically (by phone and internet) and received by transmission from the beneficial holder providers.

Management reporting

Check to see if your transfer agent has an automated platform to deploy management reports. At EQ, proxy tabulation reports are sent automatically to designated company personnel via email each morning beginning two weeks prior to your shareholder meeting. The platform should be able to provide a number of standard reporting options.

Inspector of election and onsite annual meeting support

You'll need an inspector of election at your annual meeting, and your transfer agent should be able to fill this role. The inspector is available to answer election-related questions as well as to certify any last-minute ballots, accept and validate same-day ballots, and finalize the preliminary or actual vote totals.

Why Choose EQ For Your Transfer Agent Needs?

At EQ, our **Transfer Agent Services** team provides dedicated support and solutions carefully built around what you and your shareholders need.

Dive into deeper details and access timelines and worksheets for planning your next shareholder meeting with EQ's **[comprehensive guide to meeting planning](#)**.

If you're wondering whether your current transfer agent is still the right fit for your company, explore our tip sheet, "Do You Have the Right Transfer Agent? 7 Questions to Ask Before Choosing a Provider" to decide.

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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