## 10b5-1 Trading Plan Automation

Benefit from increased flexibility and control



### A major advance for administering 10b5-1 plans

Since their introduction, 10b5-1 trading plans have been an important stock plan administration tool for executives. Until now, companies have had to balance the benefits of 10b5-1 plans with manually administering and tracking them. Not anymore.

With end-to-end automation tools from E\*TRADE Financial Corporate Services, Inc. and E\*TRADE Securities LLC, you can seamlessly implement 10b5-1 trading plans, save time, and reduce paperwork—while helping to minimize risk and potentially expanding the reach of your 10b5-1 program. Plus, your participants benefit from easier online setup and approval as well as automated communications throughout the life of the plan.

## Making it easier for plan administrators

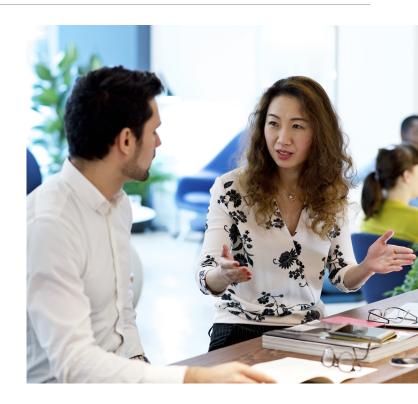
With our suite of tools, 10b5-1 trading plan administration is now easier than ever before. You can review and approve participant plans online and track plans through the execution cycle. You also have the flexibility to set blackout periods or 10b5-1 parameters for different employee groups.

### Our automated solution for 10b5-1 administration provides new visibility and includes:

- A 10b5-1 dashboard to set plan parameters and manage eligibility
- Automated messaging to administrators for plans pending review, trade execution, and other key events
- Systematic management by E\*TRADE Securities of 10b5-1 trading blocks for participants with active 10b5-1 plans

# Raising the bar for eligible participants

Automation of 10b5-1 plans doesn't just help streamline administration. It also vastly improves the participant experience—saving time, and giving participants clear insight into plan-related events as they happen.



### Your 10b5-1 eligible participants will be able to:

- Create and submit trading plans for review online (and make updates to rejected plans)
- View and track plan status at etrade.com
- Receive an automated alert for important plan-related events
- Execution and cancellation of trades based on effective and expiration dates (when applicable)



#### Want to know more?

Discover a more effective way to administer your 10b5-1 plans. Contact your Relationship Manager today or call us at 800-783-3388.

#### E\*TRADE Financial Corporate Services, Inc. is located at 4005 Windward Plaza Drive, Alpharetta, GA 30005.

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