

Executive Stock Plan Services of Wells Fargo Advisors FiNet

Executive Stock Plan Services of Wells Fargo Advisors Financial Network

A program designed to meet the complex needs of today's executives and directors. We partner with senior leaders of public companies to deliver white glove support for exercising options, managing restricted stock sales, regulatory filings, and optimizing your broader financial picture. The 9 person NYC based team has been in place at Wells Fargo Advisors since 2001 and is a leading team for executive stock plan services, providing you direct access to experienced knowledge and execution.



Certent: Flexible Equity Compensation

To deliver a seamless and scalable executive stock plan experience, we partner with Certent, a recognized leader in equity compensation administration, accounting, and reporting technology. Certent's comprehensive platform manages the critical back-end functions of plan administration—recordkeeping, accounting, tax reporting, and participant portals—while our team and Wells Fargo Advisors provide white-glove execution, compliance, education, and strategic guidance for executives and issuers. Together, we offer a fully integrated service model that simplifies every stage of the equity-compensation lifecycle—from plan design and implementation to exercise, settlement, and reporting.

Unlike traditional one-stop brokerage models that restrict issuers to in-house systems, the solution provides choice and flexibility. Certent supports multiple service models—from full-service outsourcing to self-service and hybrid options—so each issuer can align administration and cost with its internal resources and growth stage. Certent's team oversees day-to-day operations and data integrity, while our team delivers specialized executive services. Certent and Wells Fargo combine to give clients the best of both worlds: institutional-quality administration and personal, high-touch execution support all in a flexible model.

Education



From the first time optionee to the veteran CEO, we provide ongoing education at all levels, tailored to your company's needs. With flexible delivery options, we offer guidance on various executive compensation benefits and evaluate strategic approaches, including overall exposure to company stock while considering regulatory concerns and issuer policies. Common topics: What is the difference between ISOs and NSOs? What common pitfalls should I avoid? How do I create a 10b5-1 plan including full strategy? How do I comply with SEC requirements for insiders?

10b5-1 Planning



Karp Executive Stock Plan Services can educate, design and implement trading plans under Rule 10b5-1, helping executives execute transactions systematically, reduce regulatory risk, and maintain compliance even during blackout windows. Partnering with our executive services team in St. Louis using a proprietary platform, we have successfully executed thousands of 10b5-1 plans while closely following industry-best standards. Our service is one-on-one from start to finish with a turnkey platform backed by Wells Fargo Advisors compliance.

Comprehensive Transaction and Trading Support



From option exercises and cashless trades to block sales, we coordinate every step. Executing transactions via Wells Fargo's agency trading desk, Karp Executive Stock Plan Services offers large block trade capabilities, careful market impact control, and full discretion in all executions. Various algorithms and trading strategies are available for best execution. We offer a full program for cashless exercises and stock sales, and provide advice & knowledge as needed.

Compliance and Regulatory Guidance: Rule 144 + Form 4



Executives are held to high standards. Our team's deep experience working with legal, corporate, and regulatory frameworks work within the guidelines to meet insider trading rules, corporate policy, and disclosure obligations. We file Form 144 electronically with the SEC via the Electronic Data Gathering, Analysis, and Retrieval System (EDGAR) on the day of the transaction and provide all data for Form 4 filings on trade day.

Continued, Personalized Support



More than just a one time service. We build long term relationships to help you identify goals, analyze options, structure transactions, and monitor outcomes with ongoing reviews.

No Cost Tailored Planning



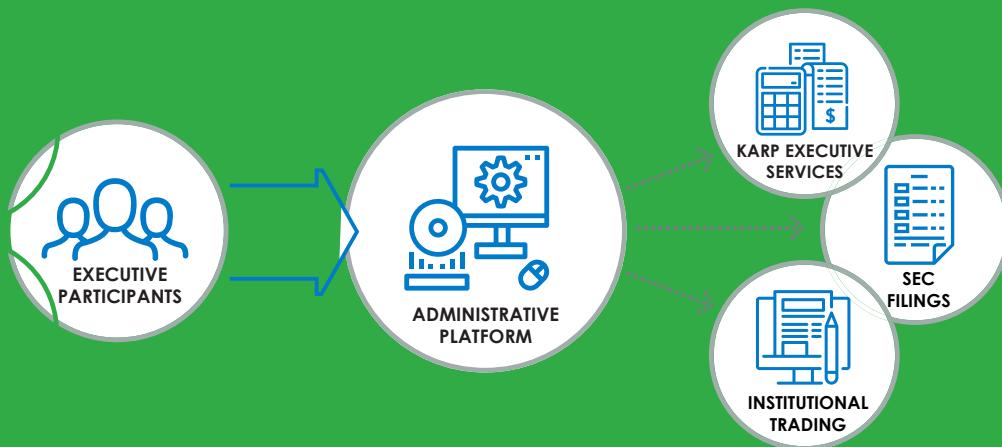
Our focus on planning sets us apart. Life events matter: promotions, retirement transitions, company events. We offer scenario modeling, education, concentrated position analysis, and real time support as your professional and personal circumstances change. All of these services are done by our in house certified FINANCIAL PLANNING.

The Strength of Wells Fargo



Karp Executive is the leading equity compensation team within Wells Fargo Advisors Financial Network (FiNet), which is a subsidiary of Wells Fargo & Company — one of the largest and most trusted financial institutions in the U.S. Wells Fargo Advisors manages one of the largest brokerage and advisory operations in the U.S., managing over \$2.3 trillion total in assets as of 2024. Clients benefit from robust infrastructure, compliance, research capabilities, and the financial strength of a major bank — all paired with the tailored, high-touch service of a specialized executive team.

Equity Compensation Management Platform



Potential benefits to the issuer:

- Reduce the workload and confusion associated with exercising through numerous, individual stockbrokers — many of whom may not be familiar with the procedures and requirements for processing stock option transactions.
- Transactions are processed with special attention paid to the impact on the stock price — rarely traded “at the market.”
- No cost to your firm to appoint our team as Broker of Record for your plans. The only cost is the transaction fee charged to the employees — which is typically an institutional, “cents per share”. No annual account fee for specialized Wells Fargo account.
- Education and best practices on demand and tailored to unique needs of each issuer and executive/participant base.

Executive Benefits

“Our clients value our robust planning, timely market and economic insights, as well as our disciplined approach, stewardship and thorough reviews, all while utilizing Wells Fargo’s vast resources.”

Robert Karp, CEO and Co-Founder at AKD Wealth Partners of Wells Fargo Advisors Financial Network

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Corporate and executive services include:

- 10b5-1 Trading Plans
- Institutional Stock Plan execution
- Accredited Investment Fiduciary (AIF)
- CERTIFIED FINANCIAL PLANNER® Certification
- Chartered Retirement Planning Counselor CRCP®
- Trusts & Estate Planning Strategies*
- Philanthropic Services
- Regulatory and compliance oversight
- Total compensation and work place analysis
- Tailor education programs
- Stock option scenario modeling
- Personalized guidance
- White glove service
- Award lifestyle management
- Concentrated stock strategies
- Liquidity event preparation
- Executive benefit integration

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