

# StockTrack Updates

February 3, 2010

Version 12.4



## ALL LICENSES

### User Defined Fields Criteria

*Letters and Forms, Export/Merge, Mailing Labels* and the *Security Holders/% of Ownership* report can now be selected based on the value of a User Defined Field

The selection can be based on all nonblank, all blank or a specified value in the User Defined Field.

### Export for SIC --SIC Settings

Lost and Canceled certificate information exports can now be generated for SIC.

For information on obtaining a FINS number and registering with the SIC, go to:

[www.secic.com/sic/docs/aboutus/about.html](http://www.secic.com/sic/docs/aboutus/about.html)

**The Change Lost/Stolen Status screen was updated** to add information that can be sent to the SIC with the Export Lost and Cancelled Certificates function. There are four Yes/No flags for information on stolen certificates as well as a place for a short remark regarding "Counterfeit" certificates.

Dates that information was generated to send to SIC for lost, stolen, canceled or recovered certificates are now kept in StockTrack.

### Export Information on Lost and Canceled Certificates for SIC

This function generates a file of Lost, Canceled and Recovered (previously marked as canceled or lost and sent to SIC but no longer marked as canceled or lost) certificates to send to the SIC.

You can generate either a full -- *True Up* -- file or an incremental -- *Update* --file.

### Enter Proxy Votes

Reinvestment votes and other shares are combined for voting.

You can now enter votes for write-in candidates.

### Shareholder Edit List

A *View in Excel* option is now available for this report.

### Shareholders with Certificate Detail

Now includes Basis Date as well as the Issue dates for certificates.

### Shareholder Statement

There are now two formats of the statement available. The *Original Format* is the same as in the last version of StockTrack. While the *New Format* has several new elements.

#### New Format Enhancements

Transfers of partial shares in a lot are displayed as a net reduction. (Example: a shareholder sells 200 shares from a certificate of 500 shares. In the Original format, this will display as a reduction of 500 shares and an addition of 300 shares. In the New format, this is displayed as a reduction of 200 shares.

The Summary of Holdings displays the Stock Class description in place of the *Class ID*.

The Statements have two new optional sections: *Dividend Reinvestment* and *Options/Warrants*

A new check box allows you to set whether to *Exclude ID Number for Book Entry Shares in Outstanding at beginning and end of period*

### Certificate Register

The *Certificate Register* now has an option to generate the report based on *Affiliates*.

### Certificates Issued

This report now includes basis dates and basis price.

### Transaction Journal

This report now includes a separate section for replacement splits. There are no lines between the certificates for the replacement split and all of the shares are totaled at the end of the section.

After a split, the original certificate numbers appear for all non-returned certificates rather than the word "PENDING" on both versions of the Transaction Journal.

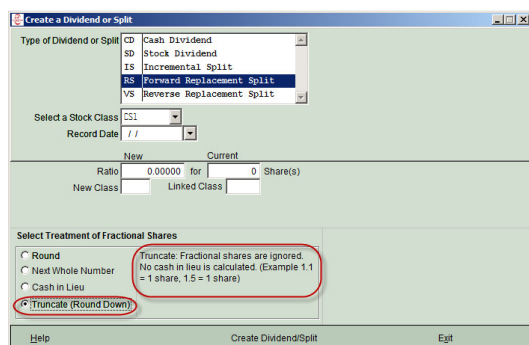
The words "NOT FOUND" no longer appear on the Transaction Journal.

The portrait format now displays the transaction price/share for transfers.

### Create Dividend or Split

An additional type of rounding was added for dividends and splits --Truncate. Fractional shares are ignored and no cash in lieu is calculated for this type of rounding.

The shares are always rounded down. Example: 1.1 = 1 share, 1.85 = 1 share.



### Single Transaction Journal

Transactions for certificates that were split are now available on this report.

### Transaction Journal for one shareholder

This report was simplified so that both shares acquired and shares disposed are included in the same report.

### Certificate History

This report was corrected so that the error message, "Allowed DO nesting or expression eval level exceeded" will no longer appear for any certificate.

### Insider Transaction Journal

This report was simplified so that both shares acquired and shares disposed are included in the same report.

There is a new option to generate this report for Affiliates.

This report now displays the original certificate numbers for unreturned certificates after a split.

### Letters and Forms

This function was simplified to make it more flexible and easier to use. You can now create a new letter/form based on any of the pre-existing forms whether a system form or not.

You can now select based on the value of a User Defined Field.

The User Right to modify letters and forms was split from the user right to print these letters and forms.

A **Change of Address Form**, was added as a new standard form to Letters and Forms for shareholders change of address info.

report displays one line for the combined linked book entry and certificated stock.

### **Retire a Certificate After a Split**

You can now Retire (and Reactivate, if necessary) a certificate that was part of a split.

### **The Screen Print Button was Retired**

This button did not work consistently. There are several ways that you can print the screen with the operating system or using third party utilities.

## **ADVANCED LICENSE ONLY**

### **Generate Lost/Stolen File for SIC**

With the Advanced License, you can generate a single file including data for all issuer companies at one time.

### **Import StockTrack Files**

Importing of StockTrack files through the *Import Wizard* no longer locks users out of all StockTrack companies.

Improvements were made to bring in more information when transferring issuer company data from an older version of StockTrack.

### **Void Check Register**

A column was added for the current check number.

### **Updates on Excel reports**

Report headers for the Excel reports have been improved.

### **Exclude Unprinted Certificates**

Report headers no longer display 'Unprinted Certificates Excluded' unless there are unprinted certificates for the selected criteria.

### **Pro-rata Ownership**

This report now includes the shareholder registration type and address and, optionally, Tax ID's.

### **Affidavit of Lost Stock Certificate**

You can now modify this form, available from the Lost/Stolen Certificate screen, without the use of Crystal Reports.

### **Linked Documents by Shareholder**

This new report displays the list of all documents linked to a shareholder directly and to the shareholder's certificates.

### **Stock Dividend or Stock Split Register**

Linked Book Entry classes are now shown as part of the Certificated class ID. The report displays 'BkEntry' at the beginning of the certif. number column for book entry shares. The summary