



## Equity Compensation

### The Filing Deadline for IRC 6039 is Just Around the Corner...

If you have Incentive Stock Options or an ESPP, you are required to submit an informational return to your participants as well as to the IRS as explained below. RGP can prepare and file all required paperwork for you, eliminating this burden during the busiest time of your year.

#### IRS RETURN FILING REQUIREMENT FOR 2018 TRANSACTIONS

In addition to the employee statements, corporations must file Forms 3921 and 3922 with the Internal Revenue by February 28, 2019, if filed on paper, or April 1, 2019, if filed electronically.

Note that Forms 3921 and 3922 must be filed electronically by any corporation required to file 250 or more of a particular return and may otherwise be filed either electronically or in paper form.

Section 6039 of the Internal Revenue Code (“Code”) requires a corporation to submit a written statement to any employee or former employee who either (i) transferred stock pursuant to the exercise of an Incentive Stock Option (ISO) under Section 422(b) of the Code during 2018 or (ii) during 2018 transferred stock acquired through an employee stock purchase plan (ESPP) under Section 423(c) of the Code. This requirement applies to both privately held and publicly traded corporations. The corporation must furnish these statements on Forms 3921 and 3922 by January 31, 2019.

#### INCLUDED IN OUR 6039 PROCESSING SERVICE:

- Retrieval of your participant and transactional data
- Completion of forms 3921 & 3922
- Consolidated PDF files for your plan participants
- Mailing inserts, if needed
- Online filing or mailing of returns to IRS
- Status updates, including filing confirmation
- Secure data exchange used for all participant and transactional information
- Project Manager assigned to each account
- Years of experience in 6039 processing and expert knowledge of leading stock administration platforms

#### CONTACT US

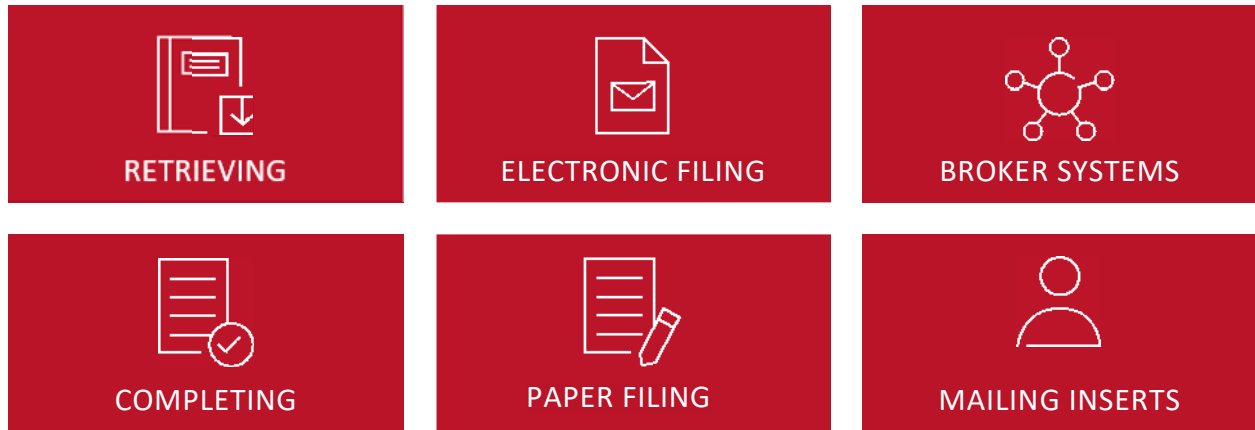
Our pricing is designed to save you money on your own internal costs and our service level is unmatched. Call us at 516.662.0869 or email [dsolomon@rgp.com](mailto:dsolomon@rgp.com) to get started.

#### TIMING IS EVERYTHING

RGP is all about timely delivery so you don't miss a deadline.

We have a team of equity compensation professionals experienced in completing, filing, and mailing Forms 3921 & 3922, so you can focus on your day job.

We work with any stock administration system, whether it's broker-managed or an independent platform, so we can explain how to send us the data—and in some cases, can retrieve it ourselves, just to save you time.



### TESTIMONIALS

"Glad I hired RGP\* to do our 6039 reporting. They are awesome to work with. Incredibly organized, easy to communicate with, data is never inaccurate and superior customer service. For the cost, it would be impossible to find someone who does it better. Wherever I end up, I will always fight to bring them on..."

~ Elias Nader—Sigma Designs

"After contemplating whether or not to outsource our 6039 reporting or do it in house, we decided to partner up with RGP\*. It was one of the best decisions we made as the cost was well worth the work saved on our end. RGP delivered a top-quality product along with top-class service. We would not think twice about using RGP again."

~ Saurabh Agarwal—Quantenna Communications

"We used RGP\* to put together our 3921 forms. They were very cost efficient, proactive in obtaining the data from us, quickly finished preparing the forms, and kept us informed on the appropriate deadlines required for sending the forms to employees and the IRS. We plan to continue to utilize this service in the future."

~ Laura Kuo—Ultragenyx Pharmaceutical, Inc

"We were referred to RGP\* by our equity plan administration partners and couldn't be happier with their services. Before RGP, our 6039 and 1099 reporting processes were cumbersome and manual and resulted in a constraint on resources during busy year-end close activities. Outsourcing these processes to RGP added efficiency and assurance to our compliance process and allowed us to focus resources on day-to-day operations. RGP is capable, professional and responsive, which are qualities that can be hard to find in today's service providers."

~ Mark Murphy—REGENXBIO

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\*A project of Accretive Solutions, whose assets were acquired by RGP in December 2017.

