

# Frequently Asked Questions

## STOCK TRACKER™

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**Q** *When I try to start the program, I get an error message that says I have to join the StockTracker Workgroup.*

**A** At the Windows desktop, click on the Start button, then Run. In the Run dialog box, type **wrkgadm**. This will bring up the Workgroup Administrator dialog. Click on the **Join...** button, and in the next window, click the **Browse...** button and locate the StockTracker directory. Select the **stwrkgrp.mdw** file and click on **OK**, then **OK** again. You will see a message that you have successfully joined the workgroup. Click on **OK**, then Exit.

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**Q** *I joined the Workgroup, so now what do I do?*

**A** If you have just installed StockTracker, the next step is to establish a User ID for security purposes. Only the Admin User is allowed to create a User ID, but the Admin User may not process transactions. When you open StockTracker, you will be asked to log on. Type in **admin** as the User, and **temppassword** as the Password. When you click on OK, the Main Menu will open. Select the Security tab and click on **Add New User**. There are four blanks on the form. Type in the user name in the first box. The second box requests a User PID. This is a series of 4-20 characters that you make up. It is not necessary to remember the PID. Finally enter a password in the third box and again in the fourth box for verification. Click on the **Create** button to set up the user. Repeat as necessary to establish other users. When you are finished, close StockTracker and then reopen and log on with a User ID. You are now ready to process transactions.

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**Q** *StockTracker won't let me process a transaction. It says I can't access the file because it is read only.*

A When StockTracker is installed, the files in the StockTracker directory may be copied with the read-only flag on. If this occurs, close StockTracker and open your Windows Explorer. Locate the StockTracker directory. The default location is c:\Program Files\StockTracker. There is a file in this folder named readonly.bat. Open this file by double-clicking on it. This is a short program that will run in a DOS window. When the caption in the title bar of the DOS window says Finished, close the window and restart StockTracker.

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**Q** *Can I set up a faster way to access the program?*

A The basic way to open the program is to click on Start...Programs...StockTracker to get to the StockTracker shortcut. As an option, you may create a desktop shortcut to make it easier to access the program. Using your Windows Explorer, locate the copysc.mdb file in the StockTracker directory. Open this file. The program will run, creating a StockTracker icon on the desktop, and then close automatically.

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**Q** *Can I print certificates?*

A Yes. First, you must enable certificate printing. From the Main Menu, select Maintenance...Classes tab...Maintain Class. Select Common Stock and click on Edit. Click on the Print box for the common stock class for which you want to print certificates (normally there is only the one default class). When you are finished, return to the Maintenance Menu, select the General tab, and click on Certificate Print Fields. This allows you to select which, if any, optional fields will be printed. Normally, these fields will be preprinted. Finally, from the Maintenance Menu, click on Select Certificate Form to select which printing format you require.

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**Q** *When I print a certificate, it doesn't print in the right position. What can I do?*

A Various printers may act differently when outputting the field data to the certificate. Print a sample and check each of the print positions to determine if all the fields need to be moved or only selected, and by how much. From the Maintenance Menu, select the Certificates tab and click on Adjust Print Positions. From here you can opt to move all fields by an amount up to .25" at a time: up, down, left or right. Then click on the **Move Now** button. Or you can elect to select a new position for one or more individual fields. Note that this option requires the absolute measurement from the left and top margins. Simply add or subtract the distance you want to move a field from the existing measurements and click on the **OK** button. Print another test and make further adjustments if necessary.

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**Q** *What if my certificate form is not included in the list of forms?*

A The GOS 50 is a standard form available in Office Supply stores. If you use a different form and wish to have StockTracker print them for you, send five blank forms to Market ID. Indicate what information is to be printed in each blank. Your form will be set up for printing and included in the list of available forms. A program update will be available to you in a few days.

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***Q What is Safekeeping?***

A This is a service performed by a number of stock brokerage and independent companies to hold certificates for their customers. This will occur in almost all cases for certificates in a retirement account, such as an IRA or SEP. Other certificates as well may be held by a brokerage. This is fairly common after the initial offering is closed. Shares of stock will naturally be bought and sold. Sometimes sales will be processed through a stock broker, and the broker may hold the certificates in safekeeping.

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***Q How are safekeeping transactions recorded?***

A All safekeeping is treated as pools of shares. For example, ABC Safekeeping holds certificates for 15 shareholders and there is a total of 25,000 shares. There is a record for each shareholder in the database showing the number of shares held by each, and there is an indicator showing that the certificate is held by ABC Safekeeping. There is also a record for the safekeeping company indicating the total number of shares held.

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***Q Why is safekeeping treated as a pool?***

A This is a matter partly of convenience in being able to manage these certificates and provide detailed reporting of activity and ownership. Additionally, safekeeping companies typically deal electronically with the total number of shares (pool), not with the paper certificates. It is not unusual for them to request you to process a transaction for a shareholder, but send you a paper certificate that is not related to the correct shareholder. You may try to have the company send you the correct certificate, but experience says that will probably be a waste of time. StockTracker is set up to reflect the way these safekeeping companies do their processing. This is a rather complex topic, so it is best to refer to the detailed description in the User Manual (see Chapter 5: Transfer to Safekeeping section) to become familiar with the procedures. You may also contact Market ID technical support for assistance.

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***Q Can I print statements to send to shareholders?***

A No. This capability is under development and will be available in a future release.

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***Q What about Preferred Stock?***

A Currently, Preferred Stock transactions are not supported, but are planned for a future release, depending on demand.

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***Q My management is asking for a report that I don't find on the Print Menu. What can I do?***

A The immediate way to solve this is to export data from StockTracker and then use another program, Excel for example, to produce a report in your own format. Also, when this situation arises, contact Market ID technical support and describe the requirements for the new report. We will attempt to accommodate requests for additional reports that can be included in the general distribution program.

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**Q** *What if I make a mistake?*

- A Many common errors, such as spelling or other typing errors, or just entering incorrect information, can be corrected by selecting the Transaction Menu...Edits tab and the appropriate area, Legal Owner, Customer or Certificate.

If you make a mistake and need to issue a replacement certificate, you can accomplish this by using the sale and purchase functions. On the Sale confirmation form, be sure to check the **Correction** checkbox. On the Purchase form, select the appropriate Transaction Code, 31 or 32, depending on whether the certificate is held in Safekeeping.

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**Q.** *What if a shareholder wants to sell fewer than the number of shares in a certificate?*

- A The normal way of handling this situation is to sell the original certificate and issue (purchase) a certificate for the new shareholder and a new certificate for the remaining shares retained by the original shareholder. The difficulty arises when the sale price of the shares is not the same as the original purchase. When you select the sale transaction, an input form is displayed for you to enter details about the sale. You are allowed to sell a portion of the shares and enter a sale price for those shares. When you finish the partial sale, you can return to the sale input. When you enter the certificate number, the remaining number of shares will be displayed. At this point you can sell the remaining shares or split the shares again. When you sell the shares that will be retained by the original owner, enter the sale price with the same value as the original purchase. Likewise, when you create the new certificate, be sure to use the correct values for the respective certificates. The original owner's purchase price will be the same as for the original purchase.

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**Q** *How can I tell if I am in balance?*

- A The total number of outstanding shares should be available from your accounting department, although there may be other control methods for your organization. When you obtain the correct number of outstanding shares, you can input this value in the Maintenance Menu. Select the Classes tab, and then click on the Maintain Class button. Select Edit Common Stock. Enter the number of Outstanding Shares and the number of Authorized Shares. These require editing in this same manner anytime there is a change in the Authorized or Outstanding Shares. Outstanding Shares change if there is a stock split, and additional issue of new stock or if shares are repurchased as Treasury Stock.

The Summary of Total Shares query on the Main Menu displays the number of recorded shares and whether there is a difference between that and the Outstanding Shares. When all certificates have been recorded and after completing both sides of subsequent transactions, these numbers should show no Difference. Any discrepancy indicates an incomplete transaction or an error recording the number of shares in a transaction.

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**Q** *How do I get additional help for questions I may have about StockTracker?*

- A If you need more help with questions, call Market ID at 253-862-4470. You are entitled to five phone calls for support per year. This is covered in the annual maintenance fee, along with periodic software updates. Additional calls are billed at \$20 per incident.

***Q*** *What is the maintenance fee?*

A After the first year of ownership, an annual maintenance fee of 20% of the retail value is charged. This covers normal updates to the software as well as the first five phone calls for product support.

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