

EMPLOYEE STOCK OPTION SCHEME – 2010

USER MANUAL

From the Desk of General Manager & HR Head, Shri Thampy Kurian

New Software for ESOS

Employee Stock Option Scheme was announced in our Bank in the year 2010 with an objective to share the ownership of the Bank among its employees. Hitherto we have been using a software which was supported by an external vendor, for managing the Employee Stock Option Scheme of the Bank.



It is my proud privilege to announce the glad news that a new

software has been developed by us for in-house management of the Employee Stock Option Scheme 2010. The new system comes with not just the advantage of being user friendly, but the ease and convenience of data management. I am sure these pages will take you through all the information regarding ESOS.

As proud owners of Federal Bank, let each one of us be the real ambassadors of the Bank and guarantee quality, concern and care through our products and services.

Thampy Kurian General Manager

Message from Shri Girish Kumar G, Addl. GM cum Company Secretary

Dear Federals,

We, Federal Bank is one of the pioneer organisation which has implemented ESOS for all the employees of the Bank. At the time of ESOS 2010 scheme, the concept was all new for us. Hence we took the help of an external vendor to implement and administer the Scheme.



As time has passed, at this juncture, I am proud that we have gained

expertise and skill, and are capable of taking care of the whole system of ESOS. Hence we have developed a new software- ESOS Online, presented before you, which will be handled by our own team.

Let us together enjoy the sense of ownership of our Bank.....

Regards,

Girish Kumar G Addl. GM & Company Secretary

Contents

1. Login

- 2. Home
 - Allocation Dashlet
 - Quick Links
 - ✤ Alerts
 - Stock Trend
- 3. Exercise of Options
- 4. Nomination
- 5. Forgot Password

5 | Page

<u>Login</u>

New ESOS Online module can be accessed using the following Navigations:-



All the eligible Grantees under ESOS-2010 can login in to the system by using the following credentials in the initial login as detailed below:-

Login ID	:	PF No without mentioning FB (Eg. 1234)
Password	:	First four letters of your name and Date of Birth without any space
(Eg: If the name	e is ANISI	H JOHN and DOB is 01-05-1982, then the Password will be anis01051982)

Immediately after first login, system will request to change password. New Password shall contain minimum **8 alpha numeric characters** (minimum two numeric and one special character)

Password wrongly entered five times consecutively will lock the account. To re-activate the user login, please contact with the administrator through e-mail: <a href="https://www.trustedisconterlation-content-conte

<u>Home</u>

Users can login to the system by using the above referred login credentials.

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Home Screen consists of the following:-

- 1) Allocation Dashlet
- 2) Quick Links
- 3) Alerts
- 4) Stock Trend

Allocation Dashlet

In the Allocation Dashlet, Grantees can view the following details such as Grant Name, Number of Options Granted, Vested & Exercisable Options, Unvested Options, Options Exercised, Options Cancelled, Options Lapsed, Grant Price, Notional Gain as on date, Vesting Details, Expiry date etc...

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Quick Links

Quick Links consist of the following:-

- 1. **Exercise Details:** Grantees can generate Exercise reports from here. Exercise reports can be generated only on the next day of exercising the Options.
- 2. **Employee Profile Update:** Employee can update his/her profile by visiting this page. Personal information include Demat particulars, Address, Phone Number etc. On scrolling this page, employees are given the facility to submit their Nomination for ESOS.
- 3. Nomination Form: After submitting the Nomination, the user shall visit this page to take the print out of the Nomination Form. Duly signed Nomination Form shall be forwarded to HR-Employee Relations & Operations for approval. If the user selects the relation as 'Others', necessary documentary proof supporting the relation shall be submitted along with Nomination Form.
- 4. **Download Scheme Document:** Users can view the Federal Bank Employee Stock Option Scheme 2010.

Exercise Details

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Employee Profile Update

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	First Name:	PAPPACHAN THEKKEKARA	PF Number:	305		
Allocation Dashlet	Designation :		Scale :	S4-CHIEF MANAGER		
	Permanent Address :					
Grant						F A A
Pending Acceptance-Waiting for Accepta				ii.		
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> Alerts

Alerts such as next vesting date, expiry of vested Grants etc. will be displayed here

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Stock Price Trend

This graph will show the **daily price** trend of Federal Bank Stock in **NSE and BSE**

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Exercise of Options

All the eligible employees, who have accepted the Grant can exercise their Stock Options except whose options were cancelled subsequently as per the scheme. Stock Options granted shall be exercised subject to Vesting of Options.

How to Exercise the options?

1. Click on "Exercise Now" (marked on top) or exercise icons given for each Grants (marked on the right side)

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2. If you start from "Exercise Now" options, select the Grant year and click Continue

3. Enter the number of shares to be exercised and Click *Continue*

DERAL BANK	Home	C Exercise Now	Contact	() Sign Out											
		You have a	total notional ga	in of 58531 INR.	NS	E: 145.6 (19/01/201) E: 145.65 (19/01/201	5) 5)								
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Grant	Options Granted	Options Vested & Exercisable	Options Unvested	Options Exercised	Options Cancelled	Options Lapsed	Grant Price	Notional Gain	Status						1
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GRANT FOR THE YEAR 2013	1250	315	935	0	0	0	57.25	27562	Active	0			ß	2	
GRANT FOR THE YEAR 2012	1250	620	630	0	0	0	94.8	30969	Active	0	婜	圜	B	\square	
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uick Links			Alerts	Quantity:	500 Continue	Cancel	Stock	c Trend		Page	:[1 •	P P	age S	ize : (5	

4. The tentative tax details appears as shown below, Click continue

EDERAL BANK	Home Home	C Exercise Now	Contact () Sign Out) Неір								
		You have a b	otal notional gain of 58531 INR.	NSE: 145.6 (19/01/2015) BSE: 145.65 (19/01/2015)								
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Grant	Granted	Options Vested & Exercisable	This is a trail exercise please click "Co	ntinue" to proceed with your exercise	Notional Gain							
GRANT FOR THE YEAR 2014	400	0	Dear UMESH N P			Active	-		M	0	2	1
GRANT FOR THE YEAR 2013	1250	315 :	We wish to inform you that you have exer	cised options as per details mentioned	7562	Active		国	1	P.		
GRANT FOR THE YEAR 2012	1250	620 1	Delow.	05/11/2012	0969	Active	-	1	Ē	B	3	
GRANT FOR THE YEAR 2011	1000	0 1	Total Number of Options Exercised:	500		Active	-	E	圖	R		
Pending Acceptance-Waiting for	Acceptance from th	e Grantee, Accepted-Gran	Perquisite tax payable on Cash exercise Exercise/Grant Price of Options: Date Of Exercise: You are required to pay tax as mentioned	e of options 94.80 19/01/2015 t below	vesting		Page	e:[1	P P	age S	ize : (5	
Quick Links			Tentative Fair Market value as on Date of Exercise:	144.45	end							
			Tax Rate Applicable:	20.60 %								
Exercise Details Employee Profile Upda	ite		Tentative Taxable Value[(Fair Market Value-Grant Price)*number of options Exercised]:Rs	24825.00)			1		-		1
 Nomination Form 			Tentative Tax Payable:Rs	5114	3	1		/				
 Download Scheme Do 	cument			Continue Cancel	3 7 146							

5. The following screen appears, enter the details correctly

ட்பட் Home	Exercise	Now Contact	(¹) Sign Out	(?) Help		_					
	You	Profile Update			×						
		Please verify the following in	formation.Witho	out these you cannot exe	ercise option						
otions anted	Options Vested & Exercisable	Nationality :	India		*	ıl Gain	Status				
	0	Name Of Depository:	Select		▼*		Active	•	B	Ē	ß
	190	Name Of Depository			*		Active	•		Į.	ß
	0	Participant(DP) :					Cancelled	•	E.	,	ß
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tance from	the Grantee, Accept	client id/Demat A/c No :			*	ject to ve	sting				
		Email-Id :			*			Page	:[1 •	P	age Siz
		Phone number:	89889		*	ıd	_				
		PAN number:	CFJPS5881R		*						
		Demat Account Type:	Select		*			_	_	_	
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ent				OK	Cancel			-			

- Nationality
- Name of Depository
- Name of Depository Participant
- DP ID (leave it blank in case depository is CDSL)
- Client ID (full Demat Account No. in case depository is CDSL)
- Email ID
- Phone Number
- Demat Account Type

Click **OK**, the following screen appears, for confirming the exercise.

llocation Dashlet															
Grant	Options Granted	Options Vested & Exercisable	Options Unvested	Options Exercised	Options Cancelled	Options Lapsed	Grant Price	Notional Gain	Status						
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GRANT FOR THE YEAR 2013	750	190	Exercise De	tail				×	Active	8		Ē	ß	2	
GRANT FOR THE YEAR 2012	750	0	Dear SREED	EVIAV					Cancelleo	0			ß		
GRANT FOR THE YEAR 2011	1000	0	You are abou	it to exercise 125	options and total	exercise price is	Rs 7156.25.		Accepted	•			ß		
Pending Acceptance-Waiting	for Acceptance fro	m the Grantee, Accep	t Are you sure,	, do you want to e	xercise?	Contin	ue Can	cel	vesting	Page	:1	P	age S	ize : 5	•
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6. Click *Continue* to confirm the Exercise. Once exercised, it cannot be reversed. The following message screen appears.

Allocation Dashlet															
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GRANT FOR THE YEAR 2014	300	0	300	Exercised	~	2	···· 🗸	0	Active	0	B	ļ	ß		Û
GRANT FOR THE YEAR 2013	750	65	560	You have successful	v exercised 125	stock options Ple	ase login	5681	Active	8		Ē	Ŀ.		
GRANT FOR THE YEAR 2012	750	0	0	tomorrow and general Secretarial Departme	te the Exercise F Int and then remi	Reports to be sub	mitted to	0	Cancelled	0			Ŀ.		
GRANT FOR THE YEAR 2011	1000	0	1000	00350036130002 wi perguisite tax, as per	h application Nu the report gener	imber and PF nui ated, need to be	mber. The remitted to	0	Accepted	0			ß.		
Pending Acceptance-Waiting	for Acceptance from	n the Grantee, Accep	ited-Grantee	TDS payable staff ac	ount.			cisable subject to v	esting	Page	1 •	Pa	ige Si	ze : 5	Ŧ
uick Links							ок ОК	tock Trend							
 Evercise Details 				 The next date t 	for vesting the Gr	ant GRANT FOR	THE	150							

7. Click OK. The Exercise is complete.

Grantees shall take the print out of the forms from the system on the next day of exercise.

Navigation to download the forms:-

Quick Links → Exercise Details

The forms can be saved as PDF and printed.

Points to remember while exercising Stock Options:

- Grantee shall hold a valid Demat Account for crediting the ESOS shares and the same should be in his/her single name only (Single Holder Account).
- Options must be exercised for minimum of 125 or more, at a time. At last, the Options available is less than 125, the same shall be exercised at once.
- At present there is no limit is fixed for the number of times a person can exercise his/her Stock Options.
- Perquisite Tax should not be remitted in the Share Application Account. It shall be remitted to the **TDS PAYABLE STAFF A/c** only

Perquisite Tax implication

Tax is applicable for the perquisite value.

(Perquisite Value – The difference between fair market value of the share and the option price, calculated at the close of the option exercise day)

TDS applicable while exercising the Stock Options based on the present cadre /scale of the Grantee is as follows:-

SI. No.	Cadre/ Scale	Tax Slab
1.	PTS & Bankman	0%
2.	Clerk & Scale 1	20.6%
3.	All Others	30.9%
I	n the case of Retirees, TDS shall be deducted a	t 30.9% rate.

Process of collecting tax and issuing Form No.16

A) For existing Employees

Perquisite tax shall be remitted as per the slab indicated above which will be indicated in Perquisite Tax Report generated on the next day of exercise. Branches collecting the Application money shall ensure the collection of Tax also.

The perquisite value of the Stock Options exercised will be included in the taxable income of the employee concerned for the financial year in which he/she is exercising the Stock Options. Shortfall/Excess in TDS collected shall be adjusted against the total tax liability.

Employees working in Branches

Tax collected shall be credited to the **TDS Payable** - **Staff A/c** of the branch and complete HADM, so that it will be remitted after the month end and will be included in the 24Q (quarterly TDS return for salary) for the quarter. The Perquisite Tax Report shall be forwarded by the Official concerned and the Finacle transaction number shall also be noted in the Report.

Employees working in Offices/Department

Tax collected shall be credited to the **TDS Payable** - **Staff A/c** of the Department/Office and complete the HADM so that it will be remitted after the month end and will be included in the 24Q (quarterly TDS return for salary) for the quarter. The Perquisite Tax Report shall be forwarded by the Official concerned and the Finacle transaction number shall also be noted in the Report.

B) For Retired Employees

TDS applicable to Retirees will be @30.9% (currently), which will be available in the Perquisite Tax Report. Branches collecting Application Money shall ensure the collection of Tax also. The tax collected shall be credited to the **TDS Payable– Staff A/c** at the branch and do the HADM so that it will be remitted after the month end and will be included in the 24Q (quarterly TDS return for salary) for the quarter.

Form No.16 will be issued by the HR Employee Relations & Operations.

Forms to be submitted to Secretarial Department

- a) Share Application
- b) Perquisite Tax Report
- c) Notice of Exercise of Options
- d) Copy of PAN Card

Remittance of Share Application Money & Perquisite Tax

- Employees working in branches shall remit the money from their own Branch and forward the Forms to HO/Secretarial Dept.
- Employees working in Offices / Department shall remit the money and submit the forms to branches from where the money is remitted for onward submission to HO/Secretarial Dept.
- Ex-employees can remit the money and submit the forms in any of the branches of Federal Bank for onward submission to HO/Secretarial Dept.

Account to which share application money is to be remitted

The employee shall remit the application money to the account (**00350036130002 "ESOS 2010 Share application money")** maintained by Secretarial Dept.

In addition to the share application money, perquisite tax collected shall be separately credited to the **TDS payable Staff A/c** only.

Forwarding the Application Form and Other Documents

- The Branches shall send the Application Form, Perquisite Tax Report, copy of PAN card and Notice of Exercise of Options to HO/ Secretarial Department.
- The Branches should write the Finacle transaction number and date in the column provided in the Application Form.

Processing of the Exercise Applications at Secretarial Department

- a) The Secretarial Department will scrutinize the application and if found in order will take necessary steps to allot the shares and credit to the demat account of the employee.
- b) Applications shall reach Secretarial Department by 15th of every month for allotment of shares during the current month itself.

Nomination

- Grantees can submit their Nomination for ESOS through the system by visiting Employee Profile Update.
- > After submitting the Nomination, filled Nomination Form can be generated from Quick Links.
- Print out of the Nomination Form duly signed & witnessed shall be forwarded to HO/ HR Employee Relations & Operations.
- Nominations shall be valid only if the signed Nomination Form is received at HO/ HR Employee Relations & Operations and approved in the system.

Forgot Password

If the Password is lost / forgotten, reset the same by using the 'Forgot Password' link in the Login Page.

	Forgot Password X
YOUR PERFECT BANKING PARTNER Emplo	Ye Login Name:
Option	What is your date of birth?
ESOS	what is your date of joining?
Login	
Forgot Password ? Login	What is your PAN Number?
gar	
7900	mer)
75	Proceed
	Approaction best viewed in resolution 1024 × 708 or above with c553 blows

Answer the following questions correctly and proceed

- 1. Login Name
- 2. Date of birth
- 3. Date of joining in the services of the Bank
- 4. PAN Number

Password will be reset to default password.

(Eg: If the name is ANISH JOHN and DOB is 01-05-1982, then the Password will be anis01051982)

New Password shall contain minimum **8 alpha numeric characters** (*minimum two numeric and one special character*)

