

# 2012 PRIVATE COMPANY EQUITY COMPENSATION SURVEY RESULTS

## Instructions for using the full database

To purchase this report, visit:  
[www.nceo.org/r/private](http://www.nceo.org/r/private)

### Contents of the Full Database

Customers who purchase the *2012 Private Company Equity Compensation Survey Results* receive an Excel spreadsheet with the following sheets:

- **Data Sheet:** Contains individual responses to each survey question (anonymous)
- **Results Sheet:** Fully customizable tables that easily paste into reports or PowerPoint presentations, customizable by the following demographic categories: number of employees, industry, region, revenues, and S or C corporation.

16	13	501 and over	Manufacturing	West	C corporation	\$501 million or more	20 ye
17	14	101 to 500	Software	West	C corporation	Up to \$10 million	3 t
18	15	1 to 10	Biotechnology	Northeast	LLC	Up to \$10 million	3 t
19	16	1 to 10	Professional services	Midwest	LLC	Up to \$10 million	3 t

Choose which tab you would like to view in the lower left-hand corner, after opening the spreadsheet in Excel.

### Fields Included in the Full Database

- Forms of equity going to each group (Forms: Stock options, restricted stock, restricted stock units, performance shares/units, stock appreciation rights, phantom stock, other. Groups: C suite, other management, supervisors/technical, hourly/non-technical)
- Granting conditions (On hire; annually or more frequently; periodically, but less frequently than annually; on an occasional/discretionary basis; tenure based, performance based; promotion based)
- % of each group that is eligible to receive awards
- % of each group that receives awards
- % of awards that goes to each group
- % of company equity owned by: first 5 employees, first 10 employees, first 20 employees, first 50 employees.
- % of total pay is paid in equity for: CEO/president; COO; top finance/accounting executive; top sales/marketing executive; top manufacturing/ products/ services vice president; top divisional vice president, other management; supervisory and technical employees; hourly and other non-supervisory/ non-technical employees.
- % of total company equity is owned by the following: founders who are not employees, founders who are employees, executives, directors who are not employees, directors who are employees, all other employees, an esop trust, outside investors
- Reasons for starting the plan
- Satisfaction with plan in achieving goals
- Cost to set up plan and annual plan costs
- Whether officers are required to purchase stock
- How stock is valued
- Size of the total equity compensation pool
- How adjustments are made to the equity pool
- How equity awards vest
- Who handles your stock plan administration
- Company exit strategy
- Expected timeline for exit
- Additional initiatives offered by the company

## Using the Data Sheet

The Data Sheet includes the individual, anonymous responses of all responding companies for every field. Sorting the data in the data sheet will not affect the data on the Chart Sheet or Table Sheet.

Description of the field →

Answer choices, if applicable →

Individual company responses that can be sorted using Excel tools →

	A	B	C	D	E	F	G	H
1		Demographics						
2								
3		Number of employees	Industry	Region	S or C corporation	Revenues	Years in business	"C" level executives
4	1	501 and over	Other	Mountains / Plains	S corporation	\$501 million or more	20 years or more	
5	2	11 to 30	Professional services	Northeast	LLC	\$10 million to \$50 million	11 to 20 years	
6	3	31 to 50	Software	Mid-Atlantic / Southeast	S corporation	\$10 million to \$50 million	3 to 5 years	"C" level executi
7	4	11 to 30	Biotechnology	Midwest	C corporation	Up to \$10 million	6 to 10 years	"C" level executi
8	5	51 to 100	Software	West	C corporation	Up to \$10 million	6 to 10 years	"C" level executi
9	6	501 and over	Other	Northeast	C corporation	\$501 million or more	20 years or more	"C" level executi
10	7	1 to 10	Financial services	Northeast	LLC	Up to \$10 million	20 years or more	"C" level executi
11	8	501 and over	Manufacturing	Mountains / Plains	C corporation	\$501 million or more	6 to 10 years	"C" level executi

## Using the Results Sheet

The Results Sheet allows users to customize tables with an easy-to-use customization feature. Just place an "x" next to the types of companies you would like to have included in the charts.



Tables will automatically update to reflect only the data specified in the customization table.



	B	C	D	E	F	G	H	I
1		Customization Chart						
2		There are 164 companies in the dataset you selected.						
3		Employees						
4								
5	x	1 to 10						
6	x	11 to 30						
7	x	31 to 50						
8	x	51 to 100						
9	x	101 to 500						
10	x	501 and over						
11		Industry						
12	x	Software						
13	x	Other computer						
14	x	Biotechnology						
15	x	Manufacturing						
16	x	Financial services						
17	x	Wholesale/Retail						
18	x	Professional services						
19	x	Healthcare industry						
20	x	Other						
21		Region						
22								

  

Please indicate the forms of equity going to each group				
Type of award	% that grant this type of award to at least one group:	"C" level executives	Other management	Supervisory an employ
Stock options	73%	71%	64%	46%
Restricted stock	23%	23%	14%	5%
Restricted stock units	18%	18%	15%	8%
Performance shares/units	21%	19%	10%	6%
Stock appreciation rights	10%	7%	8%	5%
Phantom stock	12%	9%	7%	3%
Other	12%	10%	8%	7%
% that give this group at least one type of award:		99%	88%	64%

  

Please indicate how grants are made to each group			
How awards are granted	"C" level executives	Other management	Supervisory an employ
On hire	64%	52%	35%
Annually or more frequently	42%	36%	18%
Periodically, but less frequently than annually	16%	18%	13%
Occasional/discretionary	26%	21%	21%
Tenure-based	8%	5%	2%



For more information about the 2012 Private Company Equity Compensation Survey or other NCEO research offerings, contact Camille Kerr at [ckerr@nceo.org](mailto:ckerr@nceo.org) or 510-208-1310.