carta

Onboarding guide

Helpful resources to get your cap table up and running.
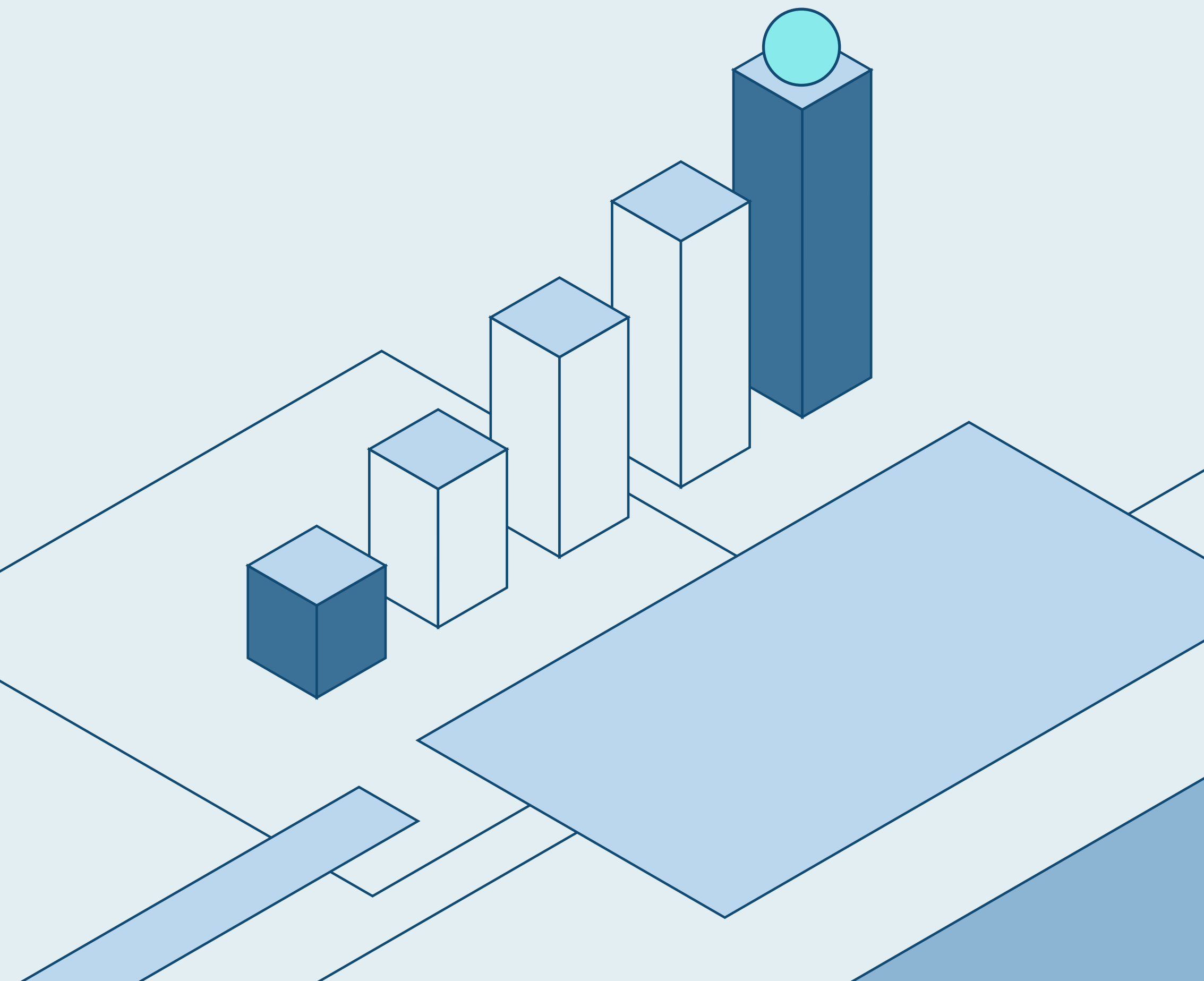
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Want to learn from other Carta users? ——————————— Visit Carta Community

Onboarding process

Getting up and running on Carta is easy. We just need a few documents and basic company information to get started. Keep an eye on your inbox for a series of emails with instructions and key steps. For answers to common questions, read through this helpful article, or reach out to your implementation manager.

Carta cap table onboarding process

1 **You add your equity and company information**

→ Upload your cap table and your original certificate of incorporation.

→ Update your company information. Add company admins and your law firm (if you have one).

→ Schedule a kickoff call with your implementation manager.

2 **We set up your cap table**

→ You don't need to worry about a thing in this stage. We'll follow up if we need any additional information from you.

3 **You review and approve your cap table**

→ Confirm everything looks accurate.

→ Once verified, the digital securities will be sent to your company signatory for signing (usually a founder).

→ Request activation.

4 **Account activated and securities issued**

→ We'll do a final technical review and then your account will be activated.

→ Upon activation, welcome emails will be sent to stakeholders telling them to log in or register to accept their holdings. (The email will look something like this.)

Onboarding documents checklist

Upload the required documents below to Carta's secure data room, so that we have what we need to set up your cap table.

Required to get started

☐ **Certificates of incorporation**

Provide filed copies.

☐ **Cap table/Stock ledger**

Upload an updated cap table with all historical data. If you don't have a cap table ledger, upload your Purchase Agreements to help your implementation manager start the data migration.

☐ **Board approved equity/stock option plan (if applicable)**

This outlines the terms and conditions in which equity is granted to employees, directors, consultants and others.

Required before final activation

☐ **Shareholder contact list**

Share a list of everyone on your cap table, preferably with personal emails, so we can send updates to shareholders even after they leave your company.

Optional information

If you have any of the following documents, please upload them to assist us in making sure your information is complete when setting up your cap table and issuing securities.

☐ List of unexercised warrants

☐ Warrant forms or templates

☐ List of unconverted SAFEs and/or convertible notes

☐ SAFE/Notes forms or templates

☐ Option agreement and exercise forms (templates or executed)

☐ Previous 409A valuation

☐ Termination dates from HR or payroll system

Resources

☐ **Onboarding FAQ**

☐ **Onboarding sample documents**

Frequently asked questions

Adding company & equity information

What documents do I need to upload, and where do I find them?

You will need to provide your cap table and a copy of the original certificate of incorporation, which you would have received from the secretary of state upon founding your company. Your lawyer or CPA may also have access to a copy. You'll also need to upload a contact list containing the emails and relationships for all current stakeholders. Learn more about the required documents here, and see sample documents here.

When I upload my company docs, does my cap table need to be in a specific format?

No, you can upload any file type. We just need it to show:

- **Ownership:** Who owns shares in the company and how many shares do they own? (includes founders, investors, employees, advisors, etc.)
- **Share classes:** What kind of equity was issued to each person?
- **Option pools:** Shares set aside to issue to future employees

Why do I need to provide email addresses for stakeholders?

Legally, we need all stakeholders' email addresses as an SEC-registered transfer agent. When your account is activated, everyone who currently has equity in your company will be re-issued their equity electronically through Carta and notified via email. Stakeholders will need to click the link in the email to accept their securities and see their holdings on Carta. (Don't worry, we won't spam them! You can see a full list of emails stakeholders will receive here.)

Why do I need to provide templated blank documents and agreements?

Providing templated documents ensures that all the necessary details required to process equity-related transactions are included. This helps reduce the potential for human error and streamlines the process of recording and managing equity transactions.

Frequently asked questions

Final review and approval

Why does the company signatory need to sign securities if they have already been signed outside of Carta?

Those previously issued certificates will be voided and re-issued on Carta, requiring that the signatory provide an electronic signature.

Why are electronic certificates being sent out if everyone's already been issued securities?

We have a fiduciary duty to ensure that stakeholders have an opportunity to accept their equity through our platform and must follow up until all securities are accepted. For those that issued paper securities, electronic certificates will replace previous paper ones. During the acceptance workflow, holders will sign an affidavit of loss that will void their previously issued certificates.

Activating account and issuing securities

What do the stakeholders see once onboarding is completed?

After activating your cap table on Carta, stakeholders will receive a welcome email with instructions for accepting their security. We recommend sending an explainer video and heads-up email to employees and investors in advance, explaining that you are migrating to the Carta platform.

Once they accept their security, they'll be able to view their personal holdings. They won't be able to see your company's cap table, their fully diluted ownership, or the holdings of other stakeholders. Learn how to manage account and permission settings here.

I don't want to bug investors. Why do I have to send them anything?

We need your existing shareholders (including investors) to review and accept the accuracy of the information uploaded to Carta. Don't worry; we won't spam them. They'll only receive emails that guide them through accepting their securities on Carta. Prior to activation, we strongly recommend using this templated "heads-up" email to inform investors and stakeholders of what to expect.