

00 ASM1990020435169
Kartik Kaurav
690 Claridad Loop
Milpitas CA 95035

Plan Number: 5KQ
Account Number: 78536074794
Tax ID Number: XXX-XX-5295

*Important income tax return document enclosed. For tax advice,
please consult your tax advisor.*

*For online account information:
Visit www.shareworks.com/login*

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Copy B for Recipient

Account number: 78536074794

SS # XXX-XX-5295

Kartik Kaurav
690 Claridad Loop
Milpitas CA 95035

Payer

MORGAN STANLEY DOMESTIC HOLDINGS, INC.
MORGAN STANLEY SMITH BARNEY, LLC.
1 NEW YORK PLAZA, 12TH FLOOR
NEW YORK, NY 10004

TAX ID NUMBER: 20-8764829

Security Description

FIRST REPUBLIC BANK

Form 1099-DIV Dividends and Distributions

(OMB No. 1545-0110)

Total ordinary dividends	Qualified dividends	Total capital gain distributions	Unrecaptured sect. 1250 gain	Section 1202 gain	Collectibles (28%) gain	
Box 1a \$13.37	Box 1b \$13.37	Box 2a	Box 2b	Box 2c	Box 2d	
Nondividend distributions	Federal Income Tax Withheld	Section 199A dividends	Investment Expenses	Foreign Tax Paid	Foreign country or US possession	
Box 3	Box 4	Box 5	Box 6	Box 7	Box 8	
Cash liquidation distributions	Non cash liquidation distributions	Exempt-Interest dividends	Specified private activity bond interest dividends	State	State Identification no.	State Tax Withheld
Box 9	Box 10	Box 11	Box 12	Box 13	Box 14	Box 15

This is important tax information and is being furnished to the Internal Revenue Service. If you are required to file a return, a negligence penalty or other sanction may be imposed on you if this income is taxable and the IRS determines that it has not been reported.

See instructions on reverse side for further information.

Instructions for Recipient Form 1099-DIV

Recipient's taxpayer identification number (TIN). For your protection, this form may show only the last four digits of your TIN (social security number (SSN), individual taxpayer identification number (ITIN), adoption taxpayer identification number (ATIN), or employer identification number (EIN)). However, the issuer has reported your complete TIN to the IRS.

Account number. May show an account or other unique number the payer assigned to distinguish your account.

Box 1a. Shows total ordinary dividends that are taxable. Include this amount on the "Ordinary dividends" line of Form 1040 or 1040-SR. Also, report it on Schedule B (Form 1040 or 1040-SR), if required.

Box 1b. Shows the portion of the amount in box 1a that may be eligible for reduced capital gains rates. See the Instructions for Forms 1040 and 1040-SR for how to determine this amount and where to report.

The amount shown may be dividends a corporation paid directly to you as a participant (or beneficiary of a participant) in an employee stock ownership plan (ESOP). Report it as a dividend on your Form 1040 or 1040-SR but treat it as a plan distribution, not as investment income, for any other purpose.

Box 2a. Shows total capital gain distributions from a regulated investment company (RIC) or real estate investment trust (REIT). See How To Report in the Instructions for Schedule D (Form 1040 or 1040-SR). But, if no amount is shown in boxes 2c and 2d and your only capital gains and losses are capital gain distributions, you may be able to report the amounts shown in box 2a on your Form 1040 or 1040-SR rather than Schedule D. See the Instructions for Forms 1040 or 1040-SR.

Box 2b. Shows the portion of the amount in box 2a that is unrecaptured section 1250 gain from certain depreciable real property. See the Unrecaptured Section 1250 Gain Worksheet in the Instructions for Schedule D (Form 1040 or 1040-SR).

Box 2c. Shows the portion of the amount in box 2a that is section 1202 gain from certain small business stock that may be subject to an exclusion. See the Schedule D (Form 1040 or 1040-SR) instructions.

Box 2d. Shows 28% rate gain from sales or exchanges of collectibles. If required, use this amount when completing the 28% Rate Gain Worksheet in the Instructions for Schedule D (Form 1040 or 1040-SR).

Box 3. Shows a return of capital. To the extent of your cost (or other basis) in the stock, the distribution reduces your basis and is not taxable. Any amount received in excess of your basis is taxable to you as capital gain. See Pub. 550.

Box 4. Shows backup withholding. A payer must backup withhold on certain payments if you did not give your TIN to the payer. See Form W-9, Request for Taxpayer Identification Number and Certification, for information on backup withholding. Include this amount on your income tax return as tax withheld.

Box 5. Shows the portion of the amount in box 1a that may be eligible for the 20% qualified business income deduction under section 199A. See the instructions for Form 8995 and Form 8995-A.

Box 6. Shows your share of expenses of a nonpublicly offered RIC, generally a nonpublicly offered mutual fund. This amount is included in box 1a.

Box 7 Shows the foreign tax that you may be able to claim as a deduction or a credit on Form 1040 or 1040-SR. See the Instructions for Forms 1040 or 1040-SR.

Box 8 This box should be left blank if a RIC reported the foreign tax shown in box 7.

Boxes 9 and 10 Show cash and noncash liquidation distributions.

Box 11 Shows exempt-interest dividends from a mutual fund or other RIC paid to you during the calendar year. See the Instructions for Form 1040 and 1040-SR for where to report. This amount may be subject to backup withholding. See Box 4 above.

Box 12 Shows exempt-interest dividends subject to the alternative minimum tax. This amount is included in box 11. See the Instructions for Form 6251.

Nominees. If this form includes amounts belonging to another person, you are considered a nominee recipient. You must file Form 1099-DIV (with a Form 1096) with the IRS for each of the other owners to show their share of the income, and you must furnish a Form 1099-DIV to each. A spouse is not required to file a nominee return to show amounts owned by the other spouse. See the 2020 General Instructions for Certain Information Returns.

Future developments. For the latest information about developments related to Form 1099-DIV and its instructions, such as legislation enacted after they were published, go to www.irs.gov/Form1099DIV.

STOCK PLAN ACCOUNT FORM 1099-B FOR 2020

Copy B for Recipient

Account number: 78536074794

SS # XXX-XX-5295

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Payer
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TAX ID NUMBER: 20-8764829

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Form 1099-B Proceeds From Broker and Barter Exchange Transactions

(OMB No. 1545-0715)

This section shows your proceeds from security trades and tenders during the year. The gross proceeds from each transaction are reported individually to the IRS after deduction of commissions.

Short Term – Covered Securities (Consider Box 12 (Basis Reported to IRS) as being checked for this section. These transactions should be reported on Form 8949 Part I with Box A checked.)

Description (Box 1a)/ CUSIP Number	Quantity	Date Acquired (Box 1b)	Date Sold (Box 1c)	Gross proceeds less commissions (Box 1d)	Cost or other basis (Box 1e)	Wash sale loss disallowed (Box 1g)	Check if loss not allowed based on amount in Box 1d (Box 7)	Federal Income tax withheld (Box 4)	State Name (Box 14)/ State ID No. (Box 15)	State tax withheld (Box 16)
FIRST REPUBLIC BANK 33616C100	34.000000	VARIOUS	10/12/20	\$4,190.90	\$2,950.96		<input type="checkbox"/>			
Total Short Term – Covered Securities				\$4,190.90	\$2,950.96					

Shareworks

by Morgan Stanley

Instructions for Recipient Form 1099-B

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Brokers and barter exchanges must report proceeds from (and in some cases, basis for) transactions to you and the IRS on Form 1099-B. Reporting also is required when your broker knows or has reason to know that a corporation in which you own stock has had a reportable change in control or capital structure. You may be required to recognize gain from the receipt of cash, stock, or other property that was exchanged for the corporation's stock. If your broker reported this type of transaction to you, the corporation is identified in box 1a.

Recipient's taxpayer identification number (TIN). For your protection, this form may show only the last four digits of your TIN (social security number (SSN), individual taxpayer identification number (ITIN), adoption taxpayer identification number (ATIN), or employer identification number (EIN)). However, the issuer has reported your complete TIN to the IRS.

Account number. May show an account or other unique number the payer assigned to distinguish your account.

CUSIP number. Shows the CUSIP (Committee on Uniform Security Identification Procedures) number or other applicable identifying number.

Applicable checkbox on Form 8949. Indicates where to report this transaction on Form 8949 and Schedule D (Form 1040 or 1040-SR), and which checkbox is applicable. See the instructions for your Schedule D (Form 1040 or 1040-SR) and/or Form 8949.

Box 1a. Shows a brief description of the item or service for which amounts are being reported. For regulated futures contracts and forward contracts, "RFC" or other appropriate description may be shown. For Section 1256 option contracts, "Section 1256 option" or other appropriate description may be shown. For a corporation that had a reportable change in control or capital structure, this box may show the class of stock as C (common), P (preferred), or O (other).

Box 1b. This box may be blank if box 5 is checked or if the securities sold were acquired on a variety of dates. For short sales, the date shown is the date you acquired the security delivered to close the short sale.

Box 1c. Shows the trade date of the sale or exchange. For short sales, the date shown is the date the security was delivered to close the short sale. For aggregate reporting in boxes 8 through 11, no entry will be present.

Box 1d. Shows the cash proceeds, reduced by any commissions or transfer taxes related to the sale, for transactions involving stocks, debt, commodities, forward contracts, non-Section 1256 option contracts, or securities futures contracts. May show the proceeds from the disposition of your interest(s) in a widely held fixed investment trust. May also show the aggregate amount of cash and the fair market value of any stock or other property received in a reportable change in control or capital structure arising from the corporate transfer of property to a foreign corporation. Losses on forward contracts or non-Section 1256 option contracts are shown in parentheses. This box does not include proceeds from regulated futures contracts or Section 1256 option contracts. Report this amount on Form 8949 or on Schedule D (Form 1040 or 1040-SR) (whichever is applicable) as explained in the Instructions for Schedule D (Form 1040 or 1040-SR).

Box 1e. Shows the cost or other basis of securities sold. If the securities were acquired through the exercise of a noncompensatory option granted or acquired on or after January 1, 2014, the basis has been adjusted to reflect your option premium. If the securities were acquired through the exercise of a noncompensatory option granted or acquired before January 1, 2014, your broker is permitted, but not required, to adjust the basis to reflect your option premium. If the securities were acquired through the exercise of a compensatory option, the basis has not been adjusted to include any amount related to the option that was reported to you on a Form W-2. If box 5 is checked, box 1e may be blank. See the Instructions for Form 8949, the Instructions for Schedule D (Form 1040 or 1040-SR), or Pub. 550 for details.

Box 1g. Shows the amount of nondeductible loss in a wash sale transaction. For details on wash sales, see the schedule D (Form 1040 or 1040-SR) instructions, the Instructions for Form 8949, and Pub. 550. If box 5 is checked, box 1g may be blank.

Box 4. Shows backup withholding. Generally, a payer must backup withhold if you did not furnish your TIN to the payer. See Form W-9 for information on backup withholding. Include this amount on your income tax return as tax withheld.

Box 5. If checked, the securities sold were noncovered securities and boxes 1b, 1e, and 2 may be blank. Generally, a noncovered security means: stock purchased before 2011, stock in most mutual funds purchased before 2012, stock purchased in or transferred to a dividend reinvestment plan before 2012, debt acquired before 2014, options granted or acquired before 2014, and securities futures contracts entered into before 2014.

Box 7. If checked, you cannot take a loss on your tax return based on gross proceeds from a reportable change in control or capital structure reported in box 1d. See the Form 8949 and Schedule D (Form 1040 or 1040-SR) instructions. The broker should advise you of any losses on a separate statement.

Box 12. If checked, the basis in box 1e has been reported to the IRS and either the short-term or the long-term gain or loss box in box 2 will be checked. If box 12 is checked on Form(s) 1099-B and NO adjustment is required, see the instructions for your Schedule D (Form 1040 or 1040-SR) as you may be able to report your transaction directly on Schedule D (Form 1040 or 1040-SR). If the Ordinary box in box 2 is checked, an adjustment may be required.

Boxes 14-16. Shows state(s)/local income tax information.

Future developments. Future developments. For the latest information about any developments related to Form 1099-B and its instructions, such as legislation enacted after they were published, go to www.irs.gov/Form1099.

NOTE: If shares sold were from your Company's Equity Compensation Plan, the Cost Basis for those shares may need to be adjusted on Form 8949 to include any compensation income associated with the transaction. Please seek advice from a tax advisor to ensure any applicable compensation/income is included when preparing your tax return.

IMPORTANT TAX INFORMATION - PLEASE RETAIN FOR YOUR RECORDS