

Jay Sheth  
2100 3RD AVE APT 1001  
SEATTLE, WA 98121-2302

Plan Number: 1HH  
Account Number: XXX-XX-0669  
Tax ID Number: XXX-XX-0669

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

*The enclosed applies to transactions in your company stock plan account. For a complete Historical Transaction Summary please refer to the Document Library on [www.stockplanconnect.com](http://www.stockplanconnect.com). You may also reference our Tax Planning Guide online.*

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Copy B for Recipient

Account number: 1HH-XXX-XX-0669

SS # XXX-XX-0669

Jay Sheth  
APT 1001  
2100 3RD AVE  
SEATTLE WA 981212302

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

Questions call: 1-877-772-1099

*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.*

**Multiple Global Stock Plan Services Tax Documents**

In 2020, Morgan Stanley upgraded to a new version of StockPlan Connect. As a result, some of your 2020 StockPlan Connect transactions may be reported on one or more tax documents, which you will receive separately within the next 5-7 business days.

**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 – Noncovered Securities\*** (Consider Box 5 (Noncovered Security) as being checked and Box 12 (Basis Reported to IRS) as not being checked for this section.

These transactions should be reported on Form 8949 Part I with Box B 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)
AMAZON COM INC 023135106	2.000000	11/21/20	11/23/20	\$6,184.53	\$6,184.67		<input type="checkbox"/>			
AMAZON COM INC 023135106	6.000000	02/15/20	02/18/20	\$12,847.86	\$12,858.10		<input type="checkbox"/>			
AMAZON COM INC 023135106	2.000000	11/21/20	11/23/20	\$6,174.58	\$6,184.67		<input type="checkbox"/>			

(continued)

### Instructions for Recipient Form 1099-B

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, 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 schedule D (Form 1040 or 1040-SR) instructions, 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](http://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**

**STOCK PLAN ACCOUNT**  
**FORM 1099-B FOR 2020**

Account number: 1HH-XXX-XX-0669

SS # XXX-XX-0669

**Short Term – Noncovered Securities\* (continued)** (Consider Box 5 (Noncovered Security) as being checked and Box 12 (Basis Reported to IRS) as not being checked for this section. These transactions should be reported on Form 8949 Part I with Box B 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)	<b>Federal Income tax withheld (Box 4)</b>	State Name (Box 14)/ State ID No. (Box 15)	State tax withheld (Box 16)
<b>Total Short Term – Noncovered Securities</b>				<b>\$25,206.97</b>	<b>\$25,227.44</b>					

\* Noncovered securities are not subject to the IRS cost basis reporting regulations; therefore, their date of acquisition, cost basis, short- or long-term designation and any disallowed loss resulting from a wash sale or market discount will not be reported to the IRS. The cost basis is provided for informational purposes only and may not reflect all adjustments you may be required to make under the tax laws. Please consult your tax advisor regarding any such adjustments.

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