

Stock Plan Transactions Supplement

This document provides you with additional information about your 2021 Stock Plan Transactions that is not reported to the IRS on your Form 1099-B.

SRINIVASA RAO BALLE

Account number ending in: **7281**

Reporting Period: January 1, 2021 - December 31, 2021

Download Date: 03/09/2022

Symbol	Qty.	Date Acquired	Date Sold or Disposed	Total Proceeds	Cost Basis	Adjustment Amount (Ordinary Income)	Adjusted Cost Basis	Adjusted Gain (Loss)	Capital Gain Status	Covered / Non-Covered	Grant Type	Grant Number
COF	0.7517	12/31/2020	03/03/2021	\$94.39	\$74.31	\$0.00	\$74.31	\$20.09	Short	Covered	ESPP	EP02
COF	28	12/31/2020	03/03/2021	\$3,512.93	\$2,767.80	\$0.00	\$2,767.80	\$745.13	Short	Covered	ESPP	EP02
COF	18	01/31/2021	03/03/2021	\$2,258.31	\$1,876.68	\$0.00	\$1,876.68	\$381.63	Short	Covered	ESPP	EP02
COF	0.1732	01/31/2021	03/03/2021	\$21.75	\$18.06	\$0.00	\$18.06	\$3.69	Short	Covered	ESPP	EP02
COF	0.0603	02/28/2021	03/03/2021	\$7.57	\$7.25	\$0.00	\$7.25	\$0.32	Short	Covered	ESPP	EP02
COF	16	02/28/2021	03/03/2021	\$2,007.39	\$1,923.04	\$0.00	\$1,923.04	\$84.35	Short	Covered	ESPP	EP02
COF	15	03/31/2021	10/20/2021	\$2,591.48	\$1,908.45	\$0.00	\$1,908.45	\$683.03	Short	Covered	ESPP	EP02
COF	0.451	03/31/2021	10/20/2021	\$77.95	\$57.38	\$0.00	\$57.38	\$20.57	Short	Covered	ESPP	EP02
COF	13	04/30/2021	10/20/2021	\$2,245.95	\$1,938.04	\$0.00	\$1,938.04	\$307.91	Short	Covered	ESPP	EP02
COF	0.1864	04/30/2021	10/20/2021	\$32.22	\$27.79	\$0.00	\$27.79	\$4.43	Short	Covered	ESPP	EP02
COF	0.2268	05/31/2021	10/20/2021	\$39.20	\$36.46	\$0.00	\$36.46	\$2.74	Short	Covered	ESPP	EP02
COF	12	05/31/2021	10/20/2021	\$2,073.18	\$1,929.36	\$0.00	\$1,929.36	\$143.82	Short	Covered	ESPP	EP02
COF	0.7082	06/30/2021	10/20/2021	\$122.41	\$109.55	\$0.00	\$109.55	\$12.85	Short	Covered	ESPP	EP02

Symbol	Qty.	Date Acquired	Date Sold or Disposed	Total Proceeds	Cost Basis	Adjustment Amount (Ordinary Income)	Adjusted Cost Basis	Adjusted Gain (Loss)	Capital Gain Status	Covered / Non-Covered	Grant Type	Grant Number
COF	12	06/30/2021	10/20/2021	\$2,073.18	\$1,856.28	\$0.00	\$1,856.28	\$216.90	Short	Covered	ESPP	EP02
COF	18	07/31/2021	10/20/2021	\$3,109.77	\$2,910.60	\$0.00	\$2,910.60	\$199.17	Short	Covered	ESPP	EP02
COF	0.2359	07/31/2021	10/20/2021	\$40.77	\$38.15	\$0.00	\$38.15	\$2.63	Short	Covered	ESPP	EP02
COF	0.5551	08/31/2021	10/20/2021	\$95.94	\$92.13	\$0.00	\$92.13	\$3.81	Short	Covered	ESPP	EP02
COF	12	08/31/2021	10/20/2021	\$2,073.18	\$1,991.64	\$0.00	\$1,991.64	\$81.54	Short	Covered	ESPP	EP02
COF	12	09/30/2021	10/20/2021	\$2,073.18	\$1,943.64	\$0.00	\$1,943.64	\$129.54	Short	Covered	ESPP	EP02
COF	0.8652	09/30/2021	10/20/2021	\$149.54	\$140.14	\$0.00	\$140.14	\$9.40	Short	Covered	ESPP	EP02
COF	13	10/31/2021	11/17/2021	\$2,000.62	\$1,963.39	\$0.00	\$1,963.39	\$37.23	Short	Covered	ESPP	EP02
COF	0.7971	10/31/2021	11/17/2021	\$123.10	\$120.39	\$0.00	\$120.39	\$2.71	Short	Covered	ESPP	EP02
COF	14	11/30/2021	12/06/2021	\$2,050.12	\$1,967.42	\$0.00	\$1,967.42	\$82.70	Short	Covered	ESPP	EP02
COF	0.828	11/30/2021	12/06/2021	\$121.66	\$116.36	\$0.00	\$116.36	\$5.30	Short	Covered	ESPP	EP02
				\$28,995.79	\$25,814.29	\$0.00	\$25,814.31	\$3,181.49				

About This Document

This document is designed to assist you in reviewing information that may be important when reporting your 2021 Stock Plan Transactions on your federal and state income tax returns. The document provides additional information about your 2021 Stock Plan Transactions that is not reported to the IRS on your Form 1099-B due to IRS reporting requirements.

The Cost Basis that appears on your Form 1099-B reflects the amount paid to acquire shares, including brokerage commissions and fees. The Form 1099-B Cost Basis amount does not include amounts related to your 2021 Stock Plan Transactions that your employer reported to the IRS as ordinary income. As a result, **an adjustment to the Cost Basis amount may be required** to determine the basis amount that you need to report on your tax return(s).

This document includes the ordinary income amount(s) associated with your 2021 Stock Plan Transactions that your employer provided to E*TRADE. Those amounts are reflected in the Adjustment Amount (Ordinary Income) column. The Adjusted Cost Basis field reflects both the Cost Basis reported on Form 1099-B and the Adjustment Amount. It is your responsibility to validate these amounts against the Form W-2 or other documents provided by your employer before you determine to include them in your tax return filing.¹

This document includes information about transactions relating to your stock plan shares only.

Please consult your tax advisor for further information.



Helpful Links

Tax Documents: etrade.com/tax

Employee Stock Plan Tax Center: etrade.com/stockplantax

Stock Plan Gains & Losses: etrade.com/spgains

Stock Plan Confirmations: etrade.com/spconfirms



Customer Service

etrade.com/service

800-838-0908 or +1 650 599 0125 from outside the US

Definitions

Stock Plan Transactions	These are the sale or disposition transactions conducted in your stock plan account during the tax year.
Date Acquired	This is the date you acquired the shares. For restricted stock or performance shares, this is typically either the vest or release date. For shares purchased through an Employee Stock Purchase Plan, this is the purchase date. For shares acquired through exercise of a stock option or stock appreciation right, this is the exercise date. (Note: Dates are formatted as mm/dd/yyyy).
Date Sold	This is the date you sold or otherwise disposed of the shares. (Note: Dates are formatted as mm/dd/yyyy).
Total Proceeds	This is the dollar value of the transaction, after the deduction of any commissions and fees associated with the sale.
Cost Basis	This is the price you paid (if any) to acquire the shares. It does not include the ordinary income that your employer may have reported to the IRS as a result of acquiring or selling the shares. For restricted stock and performance shares, this is your award price. For shares acquired through an Employee Stock Purchase Plan, this is your actual purchase price, which may be different from the stock price on the purchase date. For shares acquired through the exercise of a stock option or stock appreciation right, this is the exercise price (also sometimes referred to as strike price or grant price). It does not include the ordinary income that your employer may have reported to the IRS as a result of the acquisition of the stock option or stock appreciation rights that were exercised. For Non-Covered securities such as restricted stock and performance shares, Form 1099-B may display Cost Basis but this information will not be reported to the IRS. Consult your employer and/or tax advisor for further information regarding Cost Basis of both Covered and Non-Covered securities.
Adjustment Amount (Ordinary Income)	This is the total amount that your employer reported to E*TRADE as ordinary income from the acquisition and/or sale of the shares. Rules for recognition of ordinary income vary by benefit type. Consult your employer and/or tax advisor for further information about the ordinary income recognition rules.
Adjusted Cost Basis	This is the Cost Basis amount plus the Adjustment Amount (Ordinary Income) reported to E*TRADE by your employer.
Adjusted Gain/Loss	This value represents your Total Proceeds minus your Adjusted Cost Basis.
Capital Gains Status	This indicates the type of gain or loss for the transaction. Capital gains or losses are generally considered long-term if the shares are held for at least one year and one day before sale and short-term if held for a year or less. Capital gains status is also indicated in Box 2 of Form 1099-B.
Covered/Non-Covered	This indicates whether E*TRADE is required to report cost basis to the IRS for these shares. Tax reporting regulations from the IRS require brokers to report cost basis for covered securities for US taxpayers. Shares that are acquired at no cost—like most restricted stock and performance shares—are considered non-covered securities, and cost basis is not reported to the IRS. Covered/non-covered status is also indicated in Box 5 of Form 1099-B.
Grant Type	This is the type of grant under which the shares were acquired: ESPP = Employee Stock Purchase Plan ISO = Incentive Stock Option NQ = Non-Qualified Stock Option PSA = Performance Shares Award PSU = Performance Share Unit RSA = Restricted Stock Award RSU = Restricted Stock Unit SAR = Stock Appreciation Right
Grant Number	This is the number assigned by your company to the grant under which the shares were acquired.

1. Ordinary Income and Adjusted Cost Basis information may not be available for all securities, including (but not limited to): securities purchased prior to 2011; securities purchased elsewhere and later transferred to E*TRADE Securities LLC ("E*TRADE"); Non-Covered securities and securities whose cost basis may have been adjusted through a merger, spin-off, or other corporate action. Please consult your employer and/or tax advisor for further information regarding treatment of these securities.

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Some of the information contained in this document is based on information typically reported to US taxpayers on Form W-2. If you have any questions concerning the information on your Form W-2, you should consult your employer and/or tax advisor.

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