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HARLIK CHANDRAKANT SHAH  
800 S ABEL ST UNIT 403  
MILPITAS CA 95035



1099 Consolidated Tax Statement
Tax Year 2023 - ORIGINAL

Date Issued
February 12, 2024

Account Mailing Address

Account Owner
HARLIK CHANDRAKANT SHAH
800 S ABEL ST UNIT 403
MILPITAS CA 95035

Legal Name and Address Reported
to IRS and State Taxing Authorities
HARLIK CHANDRAKANT SHAH
800 S ABEL ST UNIT 403
MILPITAS CA 95035

Account Number
120 315074 204

Customer Service: 866-324-6088

What's included in this packet:

Table with 2 columns: Reportable to the IRS, Page. Includes items like 1099-DIV Dividends and Distributions, 1099-INT Interest Income, etc.

Table with 2 columns: Non-Reportable to the IRS, Page. Includes Fees and Expenses, California Withholding Tax Statement (CA Form 592-B).

This E\*TRADE from Morgan Stanley 1099 Consolidated Tax Statement for 2023 provides your official tax information for use when preparing your tax return. It is important to note that the income information that was reported on your December account statement will not have included certain adjustments occurring after year-end that are reflected on your 1099 and that are necessary for tax reporting purposes.

The following tax documents are not included in this statement and are sent individually in separate mailings, if required: Forms 1099-Q, 1042-S, 2439, 5498, 5498-ESA, REMIC Information Statement, Schedule K-1 and Puerto Rico Forms 480.6A, 480.6B, 480.6C and 480.6D.

E\*TRADE from Morgan Stanley is pleased to provide you with the ability to download your tax information into the following individual tax preparation software applications: TurboTax® and H&R Block Tax Software®. To view gains and losses, simply go to the Gains & Losses page on etrade.com where you can find historical information for the current year and prior two years.

TurboTax® is a registered trademark of Intuit, Inc. H&R Block Tax Software® is a registered trademark of H&R Block, Inc.



\*\*\* WARNING - CORRECTED TAX FORMS POSSIBLE \*\*\*

The Forms 1099 included in your E\*TRADE from Morgan Stanley Consolidated Tax Statement were prepared based upon information provided by the issuer of each security. The issuer may change the tax status of a distribution reported to you subsequent to the issuance of this 1099 Consolidated Tax Statement. In that case, we are required to send you one or more corrections.



from Morgan Stanley

1099 Consolidated Tax Statement
Tax Year 2023 Copy B For Recipient

Morgan Stanley Capital Management, LLC
Morgan Stanley Smith Barney, LLC
1 New York Plaza
7th Floor
New York, NY 10004
Identification Number: 11-3658445
Taxpayer ID Number:
Account Number: 120 315074 204

Name Reported to the IRS: HARLIK CHANDRAKANT SHAH
800 S ABEL ST UNIT 403
MILPITAS CA 95035

Customer Service: 866-324-6088

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.

Table with 2 columns: Description and Amount. Section 1: IRS 2023 FORM 1099-DIV - DIVIDENDS AND DISTRIBUTIONS. Section 2: IRS 2023 FORM 1099-INT - INTEREST INCOME.

Table with 2 columns: Description and Amount. Section 3: IRS 2023 FORM 1099-MISC - MISCELLANEOUS INFORMATION. Section 4: IRS 2023 FORM 1099-OID - ORIGINAL ISSUE DISCOUNT. Section 5: IRS 2023 FORM 1099-B - PROCEEDS FROM BROKER AND BARTER EXCHANGE TRANSACTIONS.

IMPORTANT TAX INFORMATION -- PLEASE RETAIN FOR YOUR RECORDS





**1099-DIV DIVIDENDS & DISTRIBUTIONS**

**Ordinary Dividends**

DESCRIPTION	CUSIP	PAY DATE	ORDINARY DIVIDENDS	QUALIFIED DIVIDENDS	FEDERAL INCOME TAX WITHHELD	SECTION 199A DIVIDENDS
BROADCOM INC	11135F101	12/29/23	\$183.75	\$183.75	\$44.10	\$0.00
<b>Total Ordinary Dividends</b> 1099-DIV box 1a			<b>\$183.75</b>			
<b>Total Qualified Dividends</b> 1099-DIV box 1b				<b>\$183.75</b>		
<b>Total Federal Income Tax Withheld</b> 1099-DIV box 4					<b>\$44.10</b>	
<b>Total Section 199A Dividends</b> 1099-DIV box 5						<b>\$0.00</b>

**1099-INT INTEREST INCOME**

**Interest Income**

DESCRIPTION	CUSIP	PAY DATE	AMOUNT	FEDERAL INCOME TAX WITHHELD
MORGAN STANLEY PRIVATE BANK NA	061871976	11/30/23	\$0.02	\$0.00
MORGAN STANLEY PRIVATE BANK NA	061871976	12/29/23	\$0.10	\$0.02
<b>Total Interest Income</b> 1099-INT box 1			<b>\$0.12</b>	
<b>Total Federal Income Tax Withheld</b> 1099-INT box 4				<b>\$0.02</b>

The amount of tax-exempt interest paid to you must be reported on the applicable Form 1040, U.S. Individual Income Tax Return. The amount of tax-exempt AMT interest paid to you must be taken into account in computing the Alternative Minimum Tax reported on Form 1040.



from Morgan Stanley

1099 Consolidated Tax Statement  
Tax Year 2023 Copy B For Recipient

Morgan Stanley Capital Management, LLC  
Morgan Stanley Smith Barney, LLC  
1 New York Plaza  
7th Floor  
New York, NY 10004  
Identification Number: 11-3658445  
Taxpayer ID Number:  
Account Number: 120 315074 204

Name Reported to the IRS: HARLIK CHANDRAKANT SHAH  
800 S ABEL ST UNIT 403  
MILPITAS CA 95035

Customer Service: 866-324-6088

FORM 1099-B TOTALS SUMMARY

REALIZED GAIN/LOSS SUMMARY

Refer to Proceeds from Broker and Barter Exchange Transactions for detailed information regarding these summary values. The amounts shown below are for informational purposes only.

SHORT -TERM GAIN OR (LOSSES) - REPORT ON FORM 8949, PART I	PROCEEDS	COST BASIS	MARKET DISCOUNT	WASH SALE LOSS DISALLOWED	REALIZED GAIN OR (LOSS)
Box A (basis reported to the IRS)	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00
Box A - Ordinary - (basis reported to the IRS)	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00
Box B (basis not reported to the IRS)	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00
Box B - Ordinary - (basis not reported to the IRS)	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00
<b>Total Short - Term</b>	<b>\$0.00</b>	<b>\$0.00</b>	<b>\$0.00</b>	<b>\$0.00</b>	<b>\$0.00</b>

LONG -TERM GAIN OR (LOSSES) - REPORT ON FORM 8949, PART II

Box D (basis reported to the IRS)	\$5,172.54	\$0.00	\$0.00	\$0.00	\$5,172.54
Box D - Ordinary - (basis reported to the IRS)	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00
Box E (basis not reported to the IRS)	\$13,320.80	\$0.00	\$0.00	\$0.00	\$13,320.80
Box E - Ordinary - (basis not reported to the IRS)	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00
<b>Total Long - Term</b>	<b>\$18,493.34</b>	<b>\$0.00</b>	<b>\$0.00</b>	<b>\$0.00</b>	<b>\$18,493.34</b>

UNKNOWN TERM - CODE (X) REPORT ON FORM 8949, PART I OR PART II

Box B or Box E (basis not reported to the IRS)	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00
Box B or Box E - Ordinary - (basis not reported to the IRS)	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00
<b>Total Unknown Term</b>	<b>\$0.00</b>	<b>\$0.00</b>	<b>\$0.00</b>	<b>\$0.00</b>	<b>\$0.00</b>

REGULATED FUTURES CONTRACTS

AMOUNT

Profit or (loss) realized in 2023 - closed contracts	\$0.00
Unrealized Profit or (loss) on open contracts 12/31/2022	\$0.00
Unrealized Profit or (loss) on open contracts 12/31/2023	\$0.00
<b>Aggregate profit or (loss) on contracts</b>	<b>\$0.00</b>



**1099 Consolidated Tax Statement  
Tax Year 2023 Copy B For Recipient**

Morgan Stanley Capital Management, LLC  
Morgan Stanley Smith Barney, LLC  
1 New York Plaza  
7th Floor  
New York, NY 10004  
Identification Number: 11-3658445  
Taxpayer ID Number:  
Account Number: 120 315074 204

Name Reported to the IRS: HARLIK CHANDRAKANT SHAH  
800 S ABEL ST UNIT 403  
MILPITAS CA 95035

**Customer Service: 866-324-6088**

**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.**

**1099-B PROCEEDS FROM BROKER AND BARTER EXCHANGE TRANSACTIONS**

**OMB NO. 1545-0715**

**Gross Proceeds less commissions and option premiums on stocks, bonds, etc.** Consider the Net Proceeds box checked in IRS box 6 (Reported to IRS) for all option transactions. Consider IRS box 7(Loss is not allowed based on amount in 1d) as not being checked for any transactions.

**Long 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 II with box D checked.)

DESCRIPTION (Box 1a)	QUANTITY	DATE ACQUIRED (Box 1b)	DATE SOLD (Box 1c)	PROCEEDS (Box 1d)	COST OR OTHER BASIS (Box 1e)	ACCRUED MARKET DISCOUNT (Box 1f)	WASH SALE LOSS DISALLOWED (Box 1g)	GAIN/(LOSS) AMOUNT	FEDERAL INCOME TAX WITHHELD (Box 4)
VMWARE INC CLASS A		CUSIP: 928STK045			Symbol: VMW				
	76.000	08/31/22	11/24/23	\$5,172.54	\$0.00	\$0.00	\$0.00	\$5,172.54	\$0.00
<b>Total Long Term Covered Securities</b>				<b>\$5,172.54</b>	<b>\$0.00</b>	<b>\$0.00</b>	<b>\$0.00</b>	<b>\$5,172.54</b>	<b>\$0.00</b>

**Long 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 II with box E checked.)

DESCRIPTION (Box 1a)	QUANTITY	DATE ACQUIRED (Box 1b)	DATE SOLD (Box 1c)	PROCEEDS (Box 1d)	COST OR OTHER BASIS (Box 1e)	ACCRUED MARKET DISCOUNT (Box 1f)	WASH SALE LOSS DISALLOWED (Box 1g)	GAIN/(LOSS) AMOUNT	FEDERAL INCOME TAX WITHHELD (Box 4)
BROADCOM INC		CUSIP: 11135F101			Symbol: AVGO				
	0.280	08/01/22	11/24/23	\$253.34	\$0.00	\$0.00	\$0.00	\$253.34	\$60.80
VMWARE INC CLASS A		CUSIP: 928STK045			Symbol: VMW				
	192.000	08/01/22	11/24/23	\$13,067.46	\$0.00	\$0.00	\$0.00	\$13,067.46	\$0.00
<b>Total Long Term Noncovered Securities</b>				<b>\$13,320.80</b>	<b>\$0.00</b>	<b>\$0.00</b>	<b>\$0.00</b>	<b>\$13,320.80</b>	<b>\$60.80</b>
<b>Total Long Term Covered and Noncovered Securities</b>				<b>\$18,493.34</b>	<b>\$0.00</b>	<b>\$0.00</b>	<b>\$0.00</b>	<b>\$18,493.34</b>	<b>\$60.80</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.

**IMPORTANT TAX INFORMATION -- PLEASE RETAIN FOR YOUR RECORDS**

**1099-B PROCEEDS FROM BROKER AND BARTER EXCHANGE TRANSACTIONS (continued)**

**OMB NO. 1545-0715**

**Gross Proceeds less commissions and option premiums on stocks, bonds, etc.** Consider the Net Proceeds box checked in IRS box 6 (Reported to IRS) for all option transactions. Consider IRS box 7 (Loss is not allowed based on amount in 1d) as not being checked for any transactions.

**Noncovered Securities with Undetermined Holding Period** # (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 or Part II with box C or E checked.)

DESCRIPTION (Box 1a)	QUANTITY	DATE ACQUIRED (Box 1b)	DATE SOLD (Box 1c)	PROCEEDS (Box 1d)	COST OR OTHER BASIS (Box 1e)	ACCRUED MARKET DISCOUNT (Box 1f)	WASH SALE LOSS DISALLOWED (Box 1g)	GAIN/(LOSS) AMOUNT	FEDERAL INCOME TAX WITHHELD (Box 4)
VMW SHARES AZH26	128.000		11/24/23	\$0.00					\$4,377.60
CUSIP: 928STK045				Symbol:					
Total Noncovered Securities with Undetermined Holding Period				<b>\$0.00</b>					<b>\$4,377.60</b>
<b>Total Covered and Noncovered Securities</b>				<b>\$18,493.34</b>	<b>\$0.00</b>	<b>\$0.00</b>	<b>\$0.00</b>	<b>\$18,493.34</b>	<b>\$4,438.40</b>
<b>Form 1099-B Total Reportable Amounts</b> - Does not include cost basis, accrued market discount or wash sale loss disallowed amounts for noncovered securities.									
<b>Total IRS Reportable Proceeds (Box 1d)</b>				<b>\$18,493.34</b>					
<b>Total IRS Reportable Cost or Other Basis for Covered Securities (Box 1e)</b>					<b>\$0.00</b>				
<b>Total IRS Reportable Accrued Market Discount (Box 1f)</b>						<b>\$0.00</b>			
<b>Total IRS Reportable Wash Sale Loss Disallowed (Box 1g)</b>							<b>\$0.00</b>		
<b>Total Fed Tax Withheld (Box 4)</b>									<b>\$4,438.40</b>

# Morgan Stanley reports transactions in the Noncovered Securities with Undetermined Holding Period Section of the 1099-B portion of the 1099 Consolidated Tax Statement when the holding period or cost basis is not readily available, and therefore Morgan Stanley is not able to determine the appropriate holding period designation for these transactions. Please consult with your tax advisor.





**FEES AND EXPENSES**

**Fees**

<u>DATE</u>	<u>ACTIVITY</u>	<u>DESCRIPTION</u>	<u>AMOUNT</u>
11/24/23	Charge	VOLUNTARY REORG FEE	\$(38.00)
11/27/23	Charge	CONTRA VMWARE, INC	\$(38.00)
11/28/23	Charge	CONTRA VMWARE, INC	\$38.00
<b>Total Fees</b>			<b>\$(38.00)</b>

Consult your tax advisor regarding whether these fees are deductible in your circumstances. If you received any advisory fee rebates, consult your tax advisor regarding the tax consequences to you of receiving those rebates, including whether they are taxable income to you and the effect, if any, of fees charged to you in other accounts with Morgan Stanley.

Margin interest information is provided for informational purposes only. To review details of interest charged, please refer to the Margin Loan Schedule on your monthly account statements.



Taxable Year: 2023

CA Form 592-B

<p><b>Part I Withholding Agent</b></p> <p>Morgan Stanley Capital Management, LLC                  1 New York Plaza                  7th Floor                  New York, NY 10004  <b>FEIN:</b> 11-3658445  <b>Customer Service:</b> 866-324-6088</p>	<p><b>Part II Recipient</b></p> <p>HARLIK CHANDRAKANT SHAH                  800 S ABEL ST UNIT 403                  MILPITAS CA 95035</p> <p><b>SSN or ITIN:</b>  <b>Account Number: 120 315074 204</b></p>
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<p><b>Part III Type of Income Subject to Withholding</b></p> <p>I <input checked="" type="checkbox"/> Other: <u>Gross Proceeds and Miscellaneous Income</u></p>
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<b>Part IV Tax Withheld</b>	
1 Total income subject to withholding .....	1   \$18,493.34
2 Total California tax withheld (excluding backup withholding) .....	2   \$0.00
3 Total Backup Withholding .....	3   \$1,294.53

\*\*\* END \*\*\*

\*\*\* In 2011 the state of California instituted backup withholding for those who legally reside in the state and who are subject to Federal backup withholding. The withholding rate is 7% for all gross and miscellaneous income. Box 3 above shows the tax year 2023 total California backup withholding for your account and it has also been reported to the California Franchise Tax Board. To determine the individual transactions to which California backup withholding was applied, look at all 1099-MISC or 1099-B transactions that had Federal Income Tax Withheld amounts (IRS Box 4) greater than zero. \*\*\*



## Instructions for Payee

This withholding of tax does not relieve you of the requirement to file a California tax return within three months and fifteen days (two months and fifteen days for a corporation) after the close of your taxable year.

You may be assessed a penalty if:

- You do not file a California tax return.
- You file your tax return late.
- The amount of withholding does not satisfy your tax liability.

### **How to Correct An Error**

If a payee notices an error, the payee should contact the withholding agent. Only withholding agents can complete an amended Form 592-B. Upon completion, the withholding agent should provide a copy of the amended Form 592-B to the payee.

### **How to Claim the Withholding**

If you are an individual, you must claim the withholding credit on either Form 540, California Resident Income Tax Return or Long Form 540NR, California Nonresident or Part-Year Resident Income Tax Return.

If you have backup withholding, you must contact the FTB to provide a valid Taxpayer Identification Number (TIN) before filing a tax return. The following are acceptable TINs: social security number (SSN); individual taxpayer identification number (ITIN); federal employer identification number (FEIN); California corporation number (CA Corp. no.); or California Secretary of State (CA SOS) file number. Failure to provide a valid TIN will result in the denial of the backup withholding credit. Using the information provided on this page, contact us as soon as you receive this form.

Report the income as required and enter the amount from Form 592-B, Part IV, line 2 on your California tax return as real estate and other withholding from Form(s) 592-B or 593. Attach a copy of Form 592-B to your California tax return. If you received a composite statement from a broker, attach only the Form 592-B information. Make a copy for your records. If you are an S corporation, partnership, or LLC, you may either pass-through the entire amount to your shareholders, partners, or members or claim the withholding, to the extent of your outstanding tax liability, on your tax return.

If the withholding exceeds the amount of tax you still owe on your tax return, you must pass-through the excess to your shareholders, partners, or members.

If you do not have an outstanding balance on your tax return, you must pass-through the entire amount to your shareholders, partners, or members. Use Form 592 to pass the withholding to your shareholders, partners or members. Use Form 592-F to pass the withholding to your foreign (non U.S.) partners or members. If you are an estate or trust, you must pass-through the withholding to your beneficiaries if the related income was distributed. Use Form 592 to pass-through the withholding to your beneficiaries. If you did not distribute the income, you must claim the withholding on the fiduciary return, Form 541, California Fiduciary Income Tax Return.

The amount shown as "Total income subject to withholding" may be an estimate or may only reflect how withholding was calculated. Be sure to report your actual taxable California source income. If you are an independent contractor or receive rent, endorsement income, royalties, see your contract and/or federal Form 1099 to determine your California source income. If you are a shareholder of an S-corporation, partner in a partnership, or a member in an LLC, see your California Schedule K-1, Share of Income, Deductions, Credits, etc., issued by that entity to determine your California source income.

## Additional Information

For additional information or to speak to a representative regarding this form, call the Withholding Services and Compliance telephone service at: 888.792.4900 or 916.845.4900.

OR write to:

WITHHOLDING SERVICES AND COMPLIANCE  
 FRANCHISE TAX BOARD  
 PO BOX 942867  
 SACRAMENTO CA 94267-0651

You can download, view, and print California tax forms and publications at [ftb.ca.gov](http://ftb.ca.gov).

OR to get forms by mail, write to:

TAX FORMS REQUEST UNIT  
 FRANCHISE TAX BOARD  
 PO BOX 307  
 RANCHO CORDOVA CA 95741-0307

For all other questions unrelated to withholding or to access the TTY/TDD number, see the information below.

### **Internet and Telephone Assistance**

Website: [ftb.ca.gov](http://ftb.ca.gov)  
 Telephone: 800.852.5711 from within the United States  
 916.845.6500 from outside the United States  
 TTY/TDD: 800.822.6268 for persons with hearing or speech impairments

### **Asistencia Por Internet y Teléfono**

Sitio Web: [ftb.ca.gov](http://ftb.ca.gov)  
 Teléfono: 800.852.5711 dentro de los Estados Unidos  
 916.845.6500 fuera de los Estados Unidos  
 TTY/TDD: 800.822.6268 personas con discapacidades auditivas y del habla

