



#BWNJGWM

SAURABH GUPTA  
1826 ANCHOR WAY  
SAN JOSE CA 95132



**1099 Consolidated Tax Statement  
Tax Year 2023 - ORIGINAL**

**Date Issued**  
February 05, 2024

**Account Number**  
889 290512 203

**Account Mailing Address**

**Account Owner**  
SAURABH GUPTA  
1826 ANCHOR WAY  
SAN JOSE CA 95132

**Legal Name and Address Reported  
to IRS and State Taxing Authorities**

SAURABH GUPTA  
1826 ANCHOR WAY  
SAN JOSE CA 95132

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

**What's included in this packet:**

<b>Reportable to the IRS</b>	<b>Page</b>
1099-DIV Dividends and Distributions.....	2
1099-INT Interest Income.....	2
1099-MISC Miscellaneous Income.....	2
1099-OID Original Issue Discount.....	2
1099-B Proceeds from Transactions.....	2
Details of 1099-DIV Dividends and Distributions.....	4
Details of 1099-INT Interest Income.....	4
1099-B Totals Summary.....	5
Details of 1099-B Proceeds from Transactions.....	6

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. It is further important to note that if your E\*TRADE account was transferred to Morgan Stanley Smith Barney LLC in 2023 you may receive a separate 1099 consolidated tax statement from E\*TRADE that covers activity in your account prior to the transfer, which is not included in this 1099 Consolidated Tax Statement. You and your tax advisor should consider and review both consolidated tax statements when preparing your 2023 income tax return. Please note there may be a slight timing difference in the availability of the two forms. For more information on what to expect, visit [etrade.com/taxyear2023](http://etrade.com/taxyear2023).

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](http://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: XXX-XX-3816
Account Number: 889 290512 203

Name Reported to the IRS: SAURABH GUPTA
1826 ANCHOR WAY
SAN JOSE CA 95132

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. Includes sections for Dividends and Distributions, Interest Income, and Federal Income Tax Withheld.

Table with 2 columns: Description and Amount. Includes sections for Miscellaneous Information, Original Issue Discount, and 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
SHELTON NASDAQ 100 INDEX INV	82301Q726	09/29/23	\$0.73	\$0.28	\$0.00	\$0.00
SHELTON NASDAQ 100 INDEX INV	82301Q726	11/30/23	\$9.33	\$3.56	\$0.00	\$0.00
SHELTON NASDAQ 100 INDEX INV	82301Q726	12/29/23	\$1.29	\$0.49	\$0.00	\$0.00
<b>Total Ordinary Dividends</b> 1099-DIV box 1a			<b>\$11.35</b>			
<b>Total Qualified Dividends</b> 1099-DIV box 1b				<b>\$4.33</b>		
<b>Total Section 199A Dividends</b> 1099-DIV box 5						<b>\$0.00</b>

**Capital Gain Distributions**

DESCRIPTION	CUSIP	PAY DATE	CAPITAL GAIN DISTRIBUTIONS	UNRECAPTURED 1250 GAIN	FEDERAL INCOME TAX WITHHELD	COLLECTIBLE 28% GAIN
SHELTON NASDAQ 100 INDEX INV	82301Q726	11/30/23	\$43.95	\$0.00	\$0.00	\$0.00
<b>Total Capital Gain Distributions</b> 1099-DIV box 2a			<b>\$43.95</b>			
<b>Total Unrecaptured 1250 Gain</b> 1099-DIV box 2b				<b>\$0.00</b>		
<b>Total Collectible 28% Gain</b> 1099-DIV box 2d						<b>\$0.00</b>
<b>Total Federal Income Tax Withheld</b> 1099-DIV box 4					<b>\$0.00</b>	

**1099-INT INTEREST INCOME**

**Interest Income**

DESCRIPTION	CUSIP	PAY DATE	AMOUNT	FEDERAL INCOME TAX WITHHELD
MORGAN STANLEY BANK N.A.	061870903	09/29/23	\$0.01	\$0.00
<b>Total Interest Income</b> 1099-INT box 1			<b>\$0.01</b>	
<b>Total Federal Income Tax Withheld</b> 1099-INT box 4				<b>\$0.00</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.



**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: XXX-XX-3816  
Account Number: 889 290512 203

Name Reported to the IRS: SAURABH GUPTA  
1826 ANCHOR WAY  
SAN JOSE CA 95132

**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.

<b>SHORT -TERM GAIN OR (LOSSES) - REPORT ON FORM 8949, PART I</b>	<b>PROCEEDS</b>	<b>COST BASIS</b>	<b>MARKET DISCOUNT</b>	<b>WASH SALE LOSS DISALLOWED</b>	<b>REALIZED GAIN OR (LOSS)</b>
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)	\$5,856.94	\$0.00	\$0.00	\$0.00	\$5,856.94
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>\$5,856.94</b>	<b>\$0.00</b>	<b>\$0.00</b>	<b>\$0.00</b>	<b>\$5,856.94</b>

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

Box D (basis reported to the IRS)	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00
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)	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00
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>\$0.00</b>	<b>\$0.00</b>	<b>\$0.00</b>	<b>\$0.00</b>	<b>\$0.00</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: XXX-XX-3816  
Account Number: 889 290512 203

Name Reported to the IRS: SAURABH GUPTA  
1826 ANCHOR WAY  
SAN JOSE CA 95132

**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.

**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)	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)
PALO ALTO NETWORKS INC									
		CUSIP: 697435105			Symbol: PANW				
	20.000	12/01/23	12/01/23	\$5,856.94	\$0.00	0.00	\$0.00	\$5,856.94	\$0.00
<b>Total Short Term Noncovered Securities</b>				<b>\$5,856.94</b>	<b>\$0.00</b>	<b>\$0.00</b>	<b>\$0.00</b>	<b>\$5,856.94</b>	<b>\$0.00</b>
<b>Total Covered and Noncovered Securities</b>				<b>\$5,856.94</b>	<b>\$0.00</b>	<b>\$0.00</b>	<b>\$0.00</b>	<b>\$5,856.94</b>	<b>\$0.00</b>

**Form 1099-B Total Reportable Amounts** - 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>\$5,856.94</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>\$0.00</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 required adjustments under the applicable tax regulations. Please consult your tax advisor regarding any adjustments to your original cost basis.

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

