

\*00 ASM1990204494537\*  
Rahul Pandey  
23339 Sandpiper Trail  
Spring TX 77373

Plan Number: 9ER  
Account Number: 56190570084  
Tax ID Number: XXX-XX-4838

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

*For online account information:  
Visit [www.shareworks.com/login](http://www.shareworks.com/login)*

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**Copy B for Recipient**

Account number: 56190570084

SS # XXX-XX-4838

Rahul Pandey  
Apt 423  
1616 W Dallas st  
Houston TX 77019

*Payer*

Morgan Stanley Capital Management, LLC.  
MORGAN STANLEY SMITH BARNEY, LLC  
ONE NEW YORK PLAZA, 7TH FLOOR  
NEW YORK NY 10004

TAX ID NUMBER: 11-3658445

QUESTIONS CALL: 1-877-380-7793 (North America)  
08 082349514 (UK and Europe)  
800 906 061 (Hong Kong)

***This is important tax information and is being furnished to the IRS. 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.***

IRS 2023 FORM 1099 DIV — DIVIDENDS AND DISTRIBUTIONS		
Box OMB NO. 1545-0110		
1a.	TOTAL ORDINARY DIVIDENDS	\$598.53
1b.	QUALIFIED DIVIDENDS	\$598.53
2a.	TOTAL CAPITAL GAIN DISTRIBUTIONS	\$0.00
2b.	UNRECAPTURED SEC. 1250 GAIN	\$0.00
2c.	SECTION 1202 GAIN	\$0.00
2d.	COLLECTIBLES (28%) GAIN	\$0.00
3.	NONDIVIDEND DISTRIBUTIONS	\$0.00
4.	<b>FEDERAL INCOME TAX WITHHELD</b>	<b>\$0.00</b>
5.	SECTION 199A DIVIDENDS	\$0.00
7.	FOREIGN TAX PAID	\$0.00
8.	FOREIGN COUNTRY OR U.S. POSSESSION	
9.	CASH LIQUIDATION DISTRIBUTIONS	\$0.00
10.	NONCASH LIQUIDATION DISTRIBUTIONS	\$0.00
14.	STATE	
15.	STATE IDENTIFICATION NO.	XXX-XX-4838
16.	STATE TAX WITHHELD	

**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 (SSN, ITIN, ATIN, or EIN). However, the issuer has reported your complete TIN to the IRS.

**Account number.** This form 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), 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). But, if no amount is shown in boxes 2b, 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 and 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).

**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) instructions.

**Box 2d.** Shows the portion of the amount in box 2a that is 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).

**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 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 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 and 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 14-16.** State income tax withheld reporting boxes.

**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 current General Instructions for Certain Information Returns.

Account number: 56190570084 SS # XXX-XX-4838

**Supplemental Details\* – Ordinary Dividends**

Description	Security Identifier	Ordinary Dividends	Qualified Dividends	Federal Income Tax Withheld	Foreign Tax Paid	Foreign country or U.S. possession	State	State Tax Withheld
LYONDELLBASELL NV CL-A	N53745100	\$598.53	\$598.53	\$0.00	\$0.00			\$0.00
<b>Totals</b>		<b>\$598.53</b>	<b>\$598.53</b>	<b>\$0.00</b>	<b>\$0.00</b>			

\* Supplemental details are not reported to the IRS.

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