



November 2020

YOUR E*TRADE SECURITIES STOCK PLAN ACCOUNT

NETGEAR, Inc.

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E*TRADE Securities LLC

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Disclosures

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Consult with a tax advisor or financial planner for your specific tax-related information.

Plan provisions and equity types vary by company. Some examples and scenarios may not apply to your specific equity compensation program. Consult your company plan documents for specifics.

Agenda

Your company stock plan benefits

- Restricted Stock
- Employee Stock Purchase Plan

Your E*TRADE Securities stock plan account

- Account Activation
- Your Account Features
- Placing Orders
- Online Tax Center
- Working with E*TRADE

Restricted stock

What are Restricted Stock Units (RSUs)



Restricted Stock Units convert to shares of your company's stock at a future time.

Granting

RSUs give you the right to acquire shares in your company, typically at no cost to you.

RSUs are placed in your E*TRADE Securities stock plan account until vested. Each RSU converts to one share upon vesting.

Vesting

RSUs typically vest over time. Units may be cancelled if you leave your company.

Action

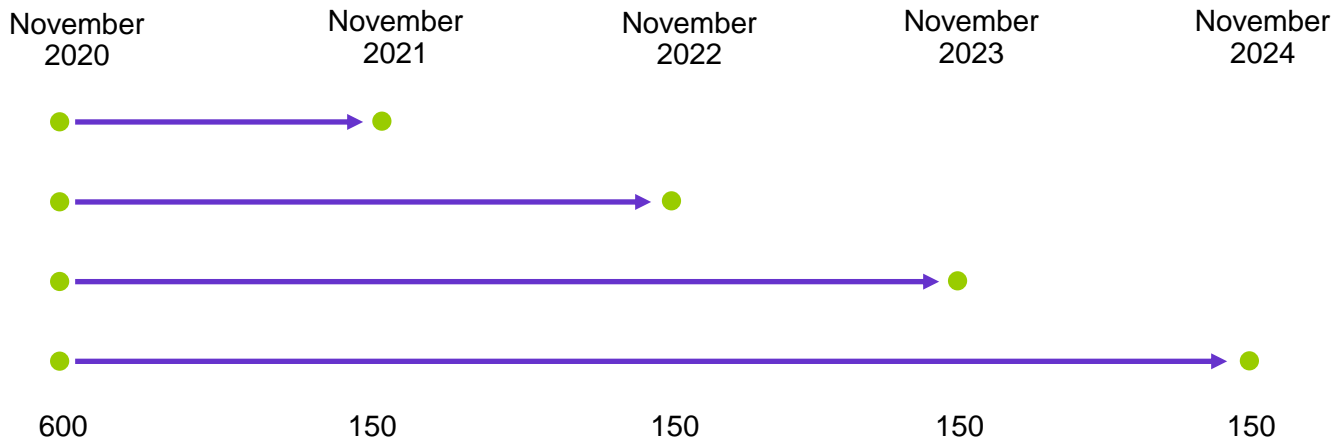
Once your RSUs vest, company shares—net of taxes—are deposited in your account.

They are fully owned by you and you can decide to hold, sell, transfer, or gift the shares according to your company's plan guidelines and insider trading policy.

Restricted stock vesting

After your restricted stock is awarded you may have to wait before you can sell your shares. The details of this waiting period, referred to as a “vesting schedule,” are described in your grant agreement. This can be found in your company’s plan documents and in the “**Holdings**” section of your E*TRADE Securities stock plan account on etrade.com.

For example, your vesting schedule might look like this:



Shares received from restricted stock



**Shares acquired through your
Restricted Stock grants are similar to
shares purchased on the open market.**

The after-tax shares are fully owned by you. When you are ready to sell, you may sell them on the open market similar to other shares of stock. Keep in mind, you must comply with your company's blackout and insider trading policies.

Restricted stock tax considerations

Grant date

On the grant date, you are awarded Restricted Stock and the vesting period begins.

Typically, Restricted Stock is **not taxable** on the grant date and is granted at no cost to you.

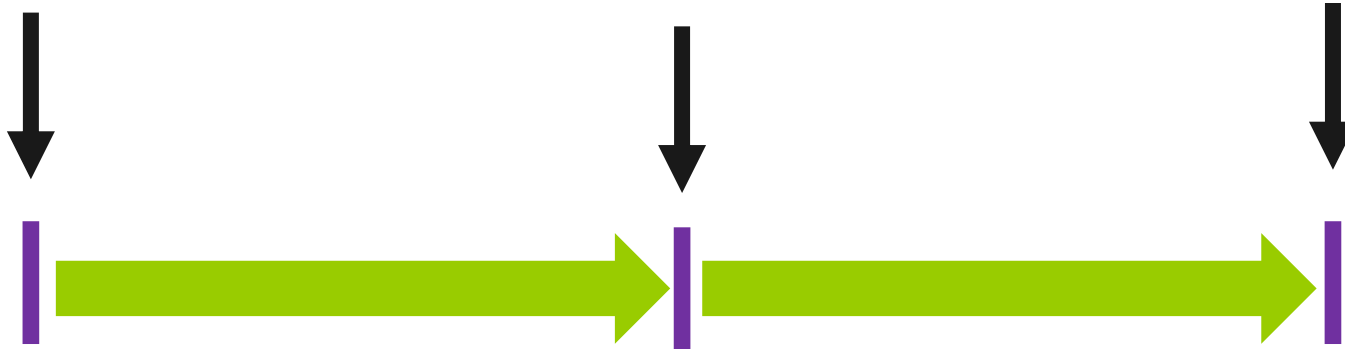
Vest date

A taxable event typically happens on the vest date.

You are considered to have received **ordinary income** effective the day of vest equal to the cash value of the shares that vest.

Sale date

The difference between the price of the stock on the vest date and the price when you sell will be considered a **capital gain or loss**.



Tax payment method at vesting

Withhold shares or trade for taxes

A portion of the shares are used to pay taxes; remaining shares are deposited to your account.

Taxation of ordinary income

Compensation

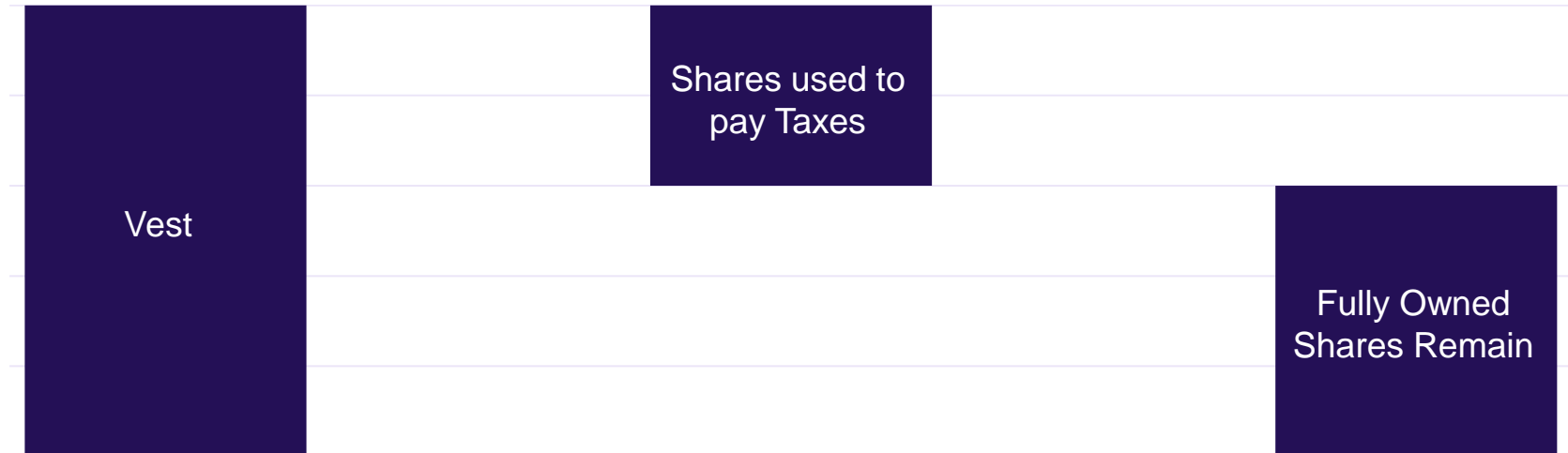
At the time of vest, you will recognize ordinary income equal to the cash value of the shares that vest.

Tax liability

Your tax obligation will be based on current tax rates due at the time of vest. A portion of the shares are used to pay your tax liability.

Remaining shares

The remaining shares are fully owned by you and deposited in your E*TRADE Securities stock plan account.



Taxation of ordinary income

Compensation

At the time of vest, you will recognize ordinary income equal to the cash value of the shares that vest.

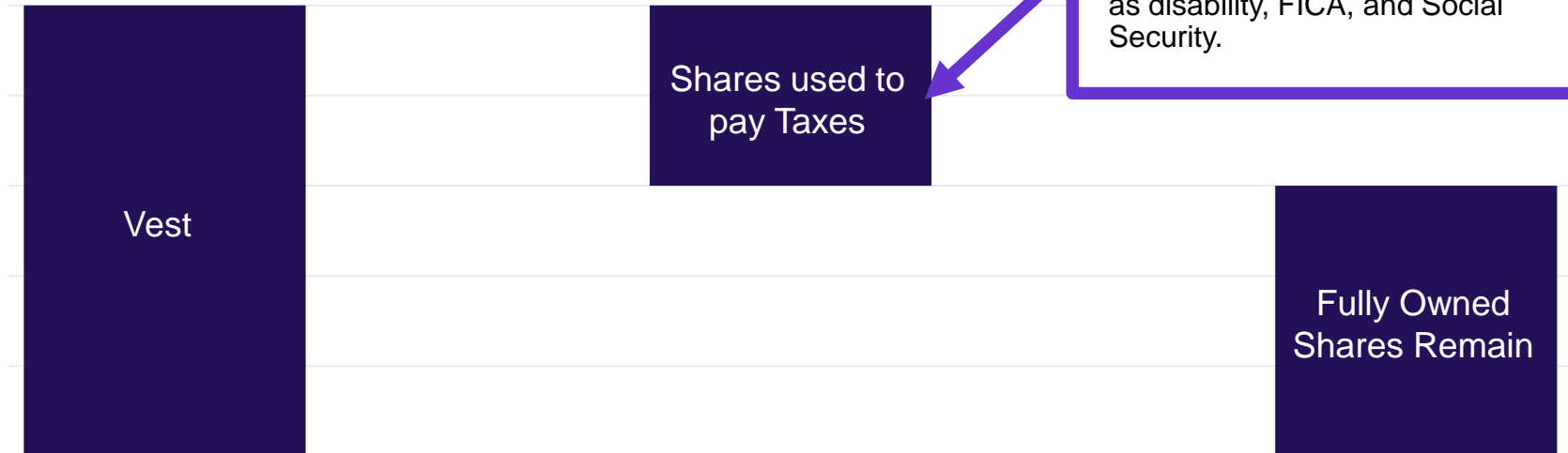
Tax liability

Your tax obligation will be based on current tax rates due at the time of vest. A portion of the shares are used to pay your tax liability.

Remaining shares

What is the total tax due?

Tax withholding at the time of vest is computed using your federal supplemental tax rate (a fixed percentage), plus state and local and other applicable taxes—such as disability, FICA, and Social Security.



Restricted stock capital gains and losses

Capital gain

When selling your shares, if the sale price is higher than the price at vest, the difference may be treated as a

Capital loss

When selling your shares, if the sale price is lower than the price at vest, the difference may be treated as a

You should always consult your own tax advisor concerning how holding periods, capital gains and losses, and your personal circumstances may affect your taxes, and before taking any action that may have tax consequences. Your actual taxes paid will vary depending upon your personal circumstances. The tax information shown is provided for informational purposes only and pertains to federal rates. There is no guarantee regarding the accuracy or completeness of the information and it may be subject to change.

*Typically a taxpayer's short-term rate will equal the ordinary income rate.

Restricted stock capital gains and losses

Capital gain

When selling your shares, if the sale price is higher than the price at vest, the difference may be treated as a capital gain.

Capital loss

When selling your shares, if the sale price is lower than the price at vest, the difference may be treated as a capital loss.



Different tax rates apply to short-term and long-term capital gains.

2020 Ordinary Income Tax Brackets*	Long-Term Capital Gains Tax Rates
10%, 12%	0%
22%, 24%, 32%, 35%	15%
37%	20%

Some taxpayers may be required to pay an additional 3.8% net investment income tax in addition to the applicable long-term capital gains tax rate.

*Typically a taxpayer's short-term rate will equal the ordinary income rate.

You should always consult your own tax advisor concerning how holding periods, capital gains and losses, and your personal circumstances may affect your taxes, and before taking any action that may have tax consequences. Your actual taxes paid will vary depending upon your personal circumstances. The tax information above is provided for informational purposes only and pertains to federal rates. There is no guarantee regarding the accuracy or completeness of the information, and it may be subject to change.

Employee stock purchase plan

What is an employee stock purchase plan (ESPP)?



An employee stock purchase plan is a company benefit that allows you to buy company stock at a discount through automatic payroll deduction.

Enroll

You elect to participate, choosing a contribution amount for every pay period. You may be required to enroll during a specific window of time known as an “enrollment period.”

Contribute

Your contributions will accumulate in your payroll system during a specific period of time known as an “offering period” or “subscription period.”

Your plan may allow only limited changes to your contribution amount during the offering period.

Purchase

On specific dates, stock will be purchased on your behalf at a discount, and the shares will be deposited into your E*TRADE Securities stock plan account.

Your company plan



Your employee stock purchase plan is structured as follows:

Enrollment period	February and August
Contribution	1–10% of eligible compensation
Offering period	February 16 – August 15 and August 16 – February 15
Grant Dates	February 16 and August 16
Purchase date	On or before February 15 or August 15
Purchase price	85% of the lower of the stock price on the grant date and the stock price on the purchase date
Purchase limits	IRS limit of \$25,000 grant date share value

Making changes to your contribution amount



Once the offering or purchase period has begun, you may be able to modify your contribution amount.

Increase	Only during enrollment period prior to an offering or purchase period.
Withdrawal	Allowed during each offering or purchase period. Your company may impose a withdrawal deadline prior to the purchase. If your employment terminates for any reason, you will be withdrawn from the program and no purchase will occur. After withdrawal, you will receive a refund of your contributions without interest but not subject to further taxation.

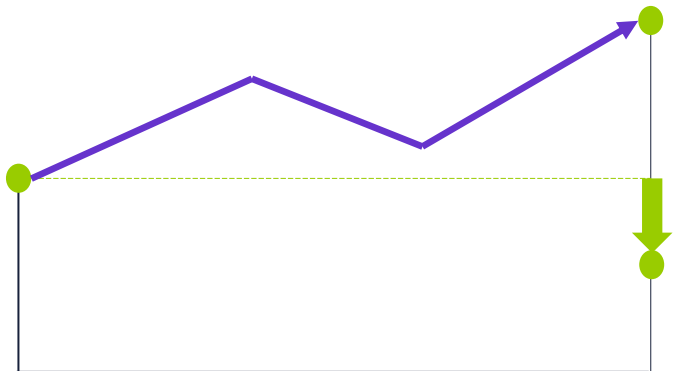
Determining your stock purchase price

On the purchase date, the money accumulated from your contributions will be used to purchase shares. The price you pay will be determined using a two-step process:

Lookback

Your company has a “**lookback provision**,” which allows you to purchase at a price based on the stock price on either the grant date or purchase date—whichever is lower.

If your company stock price goes up



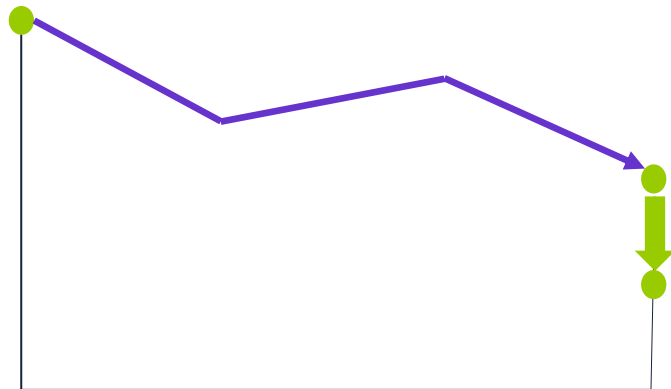
Grant date

Purchase date

Discount

You get a discount applied to the lower of the stock price on either the grant date or purchase date.

If your company stock price goes down



Grant date

Purchase date

Shares received from an employee stock purchase program



Shares acquired through your ESPP are similar to shares purchased on the open market.

After purchase, the shares are fully owned by you. When you are ready to sell, you may sell them—similar to any other share of stock. Keep in mind, you must comply with your company's blackout and insider trading policies.

ESPP tax considerations

For specific advice concerning your situation, consult with a tax advisor.



Not deductible

Contributions into your ESPP are not deductible from your income; they are made with after-tax dollars.

Taxes may apply when you sell

When you sell shares of stock acquired through your ESPP, the amount of taxes will depend on the timing of the sale.

Ordinary income

When you sell your shares, you may recognize ordinary income and/or capital gain or loss. The type of tax recognized depends on the timing of your sale. Note that any ordinary income recognized from the sale of your ESPP shares will NOT be subject to withholding.

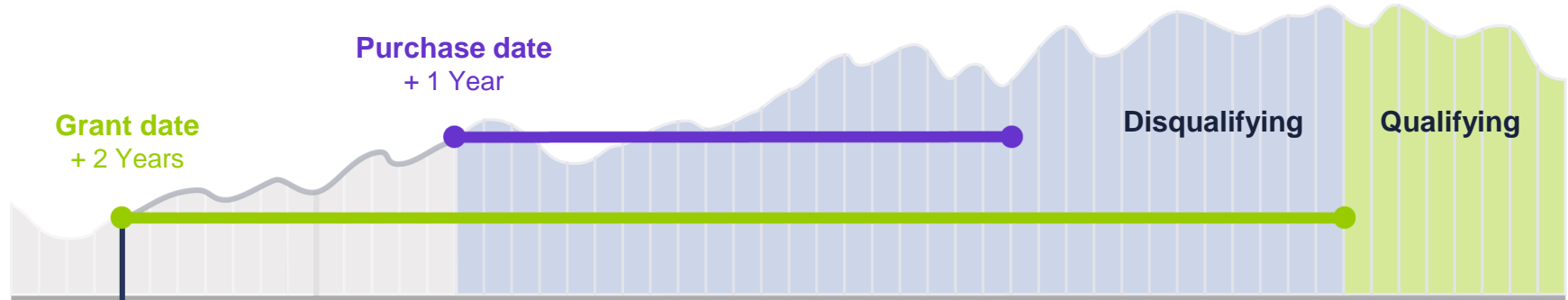
Qualifying and disqualifying dispositions

Your company ESPP is eligible for preferential tax treatment. The type of disposition will determine how much (if any) ordinary income is recognized at the time of sale. To qualify for preferential tax treatment, the sale must meet **two holding period requirements**:

Hold the shares more than two years after the **grant date** (the start of the offering period)

and

Hold the shares more than one year after the **purchase date**



The graphic is for illustrative purposes only and does not represent actual results or suggested courses of action. All stocks are subject to market fluctuations.

If the sale meets both holding period requirements, the sale is considered a **qualifying disposition**.

If the sale does not meet either holding period requirement, the sale is considered a **disqualifying disposition**.

ESPP capital gains and losses

Capital gain

When selling your shares, if the sale price is higher than the price at purchase, the difference may be treated as a capital gain.

Capital loss

When selling your shares, if the sale price is lower than the price at purchase, the difference may be treated as a capital loss.

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ESPP capital gains and losses

Capital gain

When selling your shares, if the sale price is higher than the price at purchase, the difference may be treated as a capital gain.

Capital loss

When selling your shares, if the sale price is lower than the price at purchase, the difference may be treated as a capital loss.

Purchase
Date

Short-term

One Year
After Purchase

Long-term

One year or less

Greater than one year

Different tax rates apply to short-term and long-term capital gains.

2020 Ordinary Income Tax Brackets*	Long-Term Capital Gains Tax Rates
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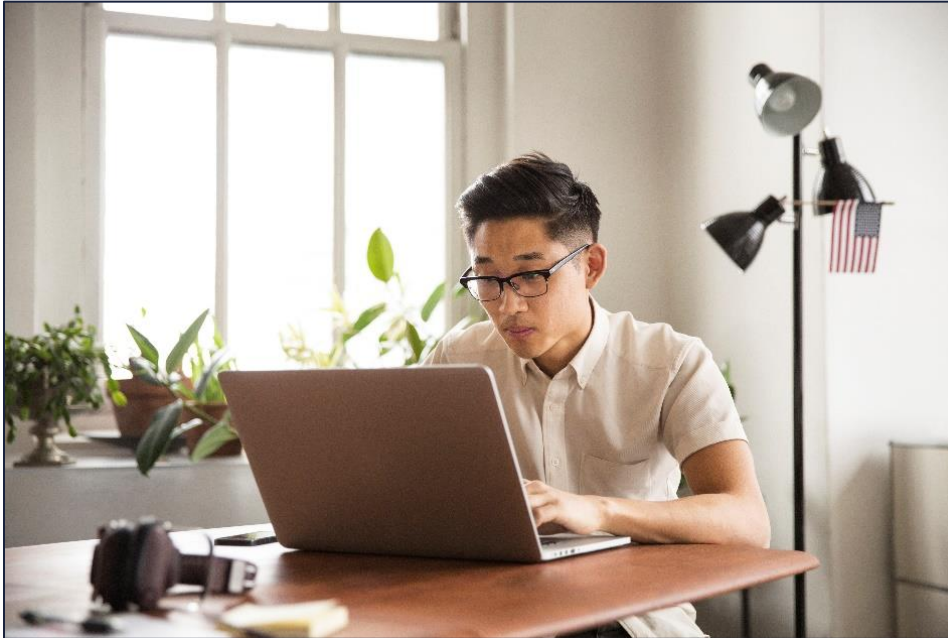
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Activating your new E*TRADE Securities stock plan account

Activating your account

When you participate in your company's equity compensation program for the first time, E*TRADE Securities will create a fully-functional brokerage account on your behalf. To activate your new account:



Enter required personal information in the account.

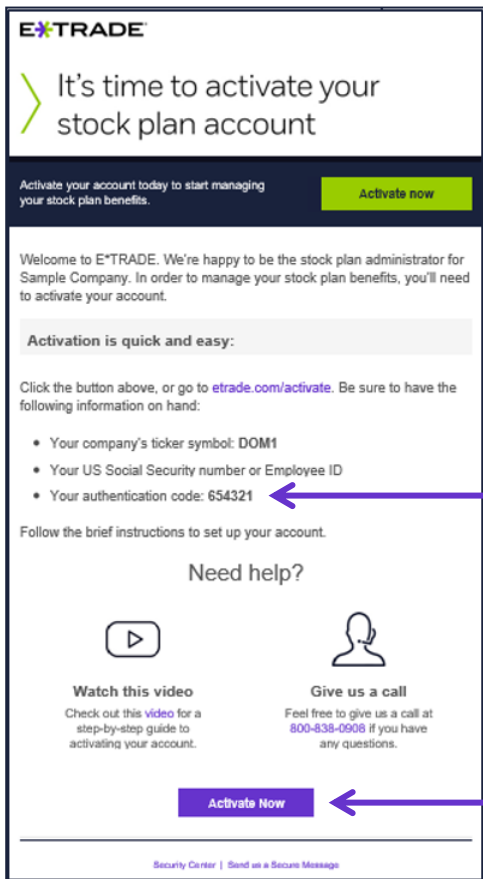


Create a user ID and password to access the account, if you don't have one already.



Set up the account to meet the needs of your personal situation.

Activation email



You will receive an email from E*TRADE Securities to activate your account. This email will contain information you need for activation.

Your authentication code

Link to the activation site

Activate your account

Enter your employer's stock
ticker symbol (Company
Ticker symbol)

Enter your Social Security
number or employee ID

Enter the authentication code
provided to you

Click "Continue" to go to next
page

The screenshot shows the E*TRADE account activation process. At the top, there is a progress bar with three steps: 1. VERIFY & START YOUR APPLICATION (highlighted in green), 2. PERSONAL INFORMATION, and 3. ACCOUNT PREFERENCES. Below the progress bar, the heading "Welcome to E*TRADE!" is followed by the text "Let's set up your Employee Stock Plan Account." and a subtext "Setting up your stock plan account should only take a few minutes. But before we start, we'll first need to confirm your identity". A prompt asks the user to "Please start by entering your company's name or ticker symbol as listed on the Stock Exchange:". Below this is a text input field labeled "Company Name / Ticker" with a question mark icon. Another prompt asks the user to "Please enter your U.S. Social Security Number (SSN). If you do not have an SSN, use your Employee ID instead:". Below this are two text input fields: "Social Security Number" and "Employee ID", both with question mark icons. The word "Or" is placed between these two fields. A third prompt asks the user to "Please enter the authentication code you received by email or U.S. mail:". Below this is a text input field labeled "Authentication Code" with a question mark icon, and a link "Request a new code" below it. At the bottom of the form is a green button labeled "CONTINUE". Four purple arrows point from the instructional text on the left to the corresponding input fields and the "CONTINUE" button: from "Enter your employer's stock ticker symbol..." to the "Company Name / Ticker" field; from "Enter your Social Security number or employee ID" to the "Social Security Number" field; from "Enter the authentication code provided to you" to the "Authentication Code" field; and from "Click 'Continue' to go to next page" to the "CONTINUE" button.

1 VERIFY & START YOUR APPLICATION 2 PERSONAL INFORMATION 3 ACCOUNT PREFERENCES

Welcome to E*TRADE!

Let's set up your Employee Stock Plan Account.

Setting up your stock plan account should only take a few minutes. But before we start, we'll first need to confirm your identity

Please start by entering your company's name or ticker symbol as listed on the Stock Exchange:

Company Name / Ticker ?

Please enter your U.S. Social Security Number (SSN). If you do not have an SSN, use your Employee ID instead:

Social Security Number ?

Or

Employee ID ?

Please enter the authentication code you received by email or U.S. mail:

Authentication Code ?

[Request a new code](#)

CONTINUE

Account preferences

Personal information:

As you activate your account, feel free to edit your home address or email address as necessary.

Account registration:

You can set up the account to be individual or joint.

**Cash management
features:**

You can add cash management features such as bill pay, ATM card, and check writing. Keep in mind that the addition of some of these features may require you to deposit cash into the account. Refer to the specific terms and conditions of each feature.

Sweep account:

You will need to choose a “sweep account” which tells E*TRADE Securities how to manage your uninvested cash. There are several accounts to choose from. Please review the terms and conditions of each choice carefully.

User ID and password:

You will be asked to create a user ID and password to access your account on *etrade.com* and on the mobile app. A user ID will not be assigned to you. If you forget your user ID or password, you will need to contact E*TRADE Securities or use *etrade.com* to recover. If you have other E*TRADE Securities brokerage accounts, you can link them using the same user ID and password.

Market Data Agreement:

The Market Data Agreement is required if you wish to subscribe to real-time market data.

Confirm and submit

1 VERIFY & START YOUR APPLICATION

2 PERSONAL INFORMATION

3 ACCOUNT PREFERENCES

4 CONFIRM & SUBMIT

You're Almost Done!

Please review your application information below. You can also edit your information here as needed. Once you confirm your information, click the 'Submit Application' button.

Account Details

Residence Status: U.S. Citizen	Country of Legal Residence: United States	Account Registration Type: Individual
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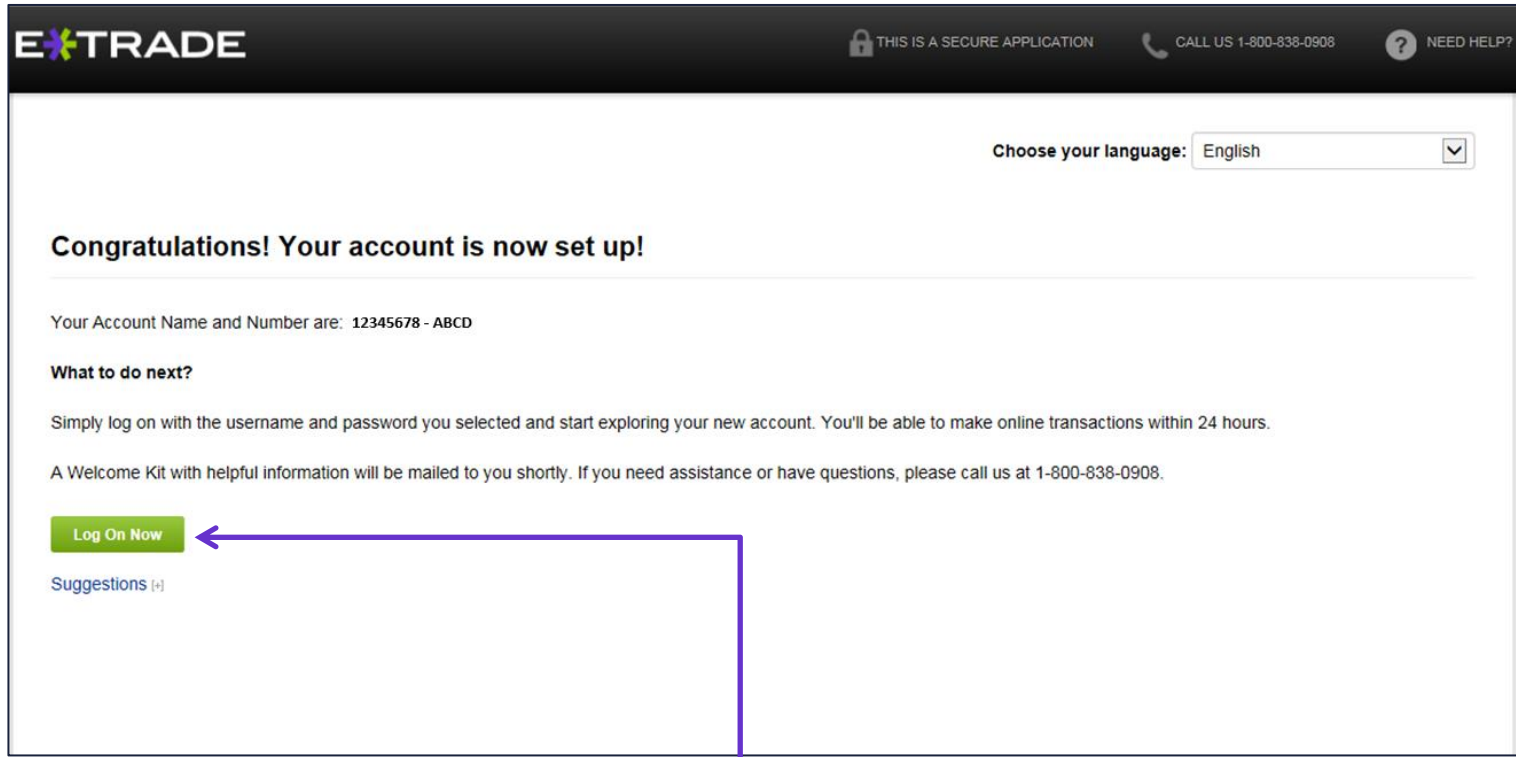
Primary Account Holder Personal Information Edit

Name: TRY CDEFG	Social Security Number: XXX-XX-4-23	Occupation: Banking
Permanent Address: 12345 team atlanta Georgia 30341 United States	Date of Birth: 01/02/1978	Employer Name: home
	Marital Status: Single	Employer Address: 9876 test

Before you submit information to activate your account, check that everything is accurate.

Once you have reviewed everything, submit your application so that we can process the activation.

Confirmation



Confirmation

You will be given an account number. Your next step is to log on to your account using the Log On Now button.

Login at *etrade.com*

The screenshot shows the E*TRADE website's login interface. At the top, there's a navigation bar with links for E*TRADE Bank, Stock Plans, and various service links. A purple banner below the navigation bar contains a message about COVID-19 support. The main content area features a large headline 'When the bell rings, come out swinging' and a sub-headline 'Welcome back to the original place to invest online. Now, where were we?'. Overlaid on the right side is a 'Sign in' form with fields for 'User ID' and 'Password', a 'Remember User ID' checkbox, a 'Go to:' dropdown menu set to 'Accounts', and a 'Log on' button. Below the form are links for 'Forgot User ID or Password?', 'Need more help logging on?', and a 'Security Center' link. A blue line with arrows connects the 'Forgot User ID or Password?' link to the explanatory text at the bottom left, and the 'Need more help logging on?' link to the explanatory text at the bottom right. The footer of the page displays market indices: DOW 28430.05 (-0.78%), NASDAQ 11775.45 (+0.68%), S&P 3500.31 (-0.22%), and 10 YR. T-NOTE 0.69 (-4.94%).

E*TRADE Bank Stock Plans Refer a Friend Contact Us

E*TRADE Account Types Investment Choices New to Investing Trading Pricing Knowledge [Open an account](#)

Our response to COVID-19.

We are here to support you. For details on our preparedness plan and insights into what COVID-19 may mean for the markets and your investments please reference our COVID-19 resource center. If you are looking for support on inquiries like understanding when deposited funds will clear, accessing tax documents, and submitting documents online, see our online FAQs.

When the bell rings, come out swinging

Welcome back to the original place to invest online. Now, where were we?

Sign in

User ID

Password

☐ Remember User ID

Go to:

Accounts

Log on

[Forgot User ID or Password?](#)

[Need more help logging on?](#)

[Security Center](#) 中文

DOW 28430.05 ▼ -223.82 (-0.78%) NASDAQ 11775.45 ▲ +79.82 (+0.68%) S&P 3500.31 ▼ -7.70 (-0.22%) 10 YR. T-NOTE 0.69 ▼ -0.36 (-4.94%)

If you forget your user ID or password, click here or call E*TRADE to reset.

Sign into your new E*TRADE account by going to *etrade.com*. Enter your user ID and password.

Managing your account

View your accounts

When you log on to your account, you will “land” on the Complete View page. This page shows all of your E*TRADE Securities accounts associated with your user ID.

Stock plan

This section of the account is where your company stock and awards will go.

Retail brokerage

Your E*TRADE Securities Stock Plan Account will be linked to a retail brokerage account with the same account number, giving you access to E*TRADE Securities.

The screenshot shows the E*TRADE 'Complete View' page for a user named 'TEST STOCKPLAN'. The page displays account balances and links to various services. A purple arrow points from the 'Stock plan' text to the 'Stock Plan (XLF) ...0114' section. Another purple arrow points from the 'Retail brokerage' text to the 'Individual Brokerage ...0114' section, which is linked to the stock plan.

Market Data: DOW 27,931.02 +34.30 (0.12%), NASDAQ 11,019.30 -23.20 (-0.21%), S&P500 3,372.85 -0.58 (-0.02%), US Markets Closed

Navigation: Accounts, Trading, Markets & Ideas, Stock Plan, What We Offer

Complete View | Portfolios | Watch Lists | Orders | Balances | Transactions | Banking | Transfers | Tax Center | Documents | Dividend Reinvestment | Open Account

Welcome, TEST STOCKPLAN

Last login: Aug 15, 2020, 11:11 PM ET

Net Assets: \$67,388.84
Day's Gain: \$514.56

Stock Plan (XLF) ...0114 Show number

Quick links

Open Orders (0)

Linked to your Stock Plan

Individual Brokerage ...0114 Show number

Quick links

Net Account Value: \$0.00
Day's Gain: \$0.00 (0.00%)
Available for Withdrawal: \$0.00
Cash Purchasing Power: \$0.00

Portfolio snapshot | Open Orders (0)

Live webcast: Mondays at 11 a.m. ET
Kick off your trading week with a live, technical look at the major indexes and market sectors.
Sign up now

Launch Pad

power E*TRADE Launch

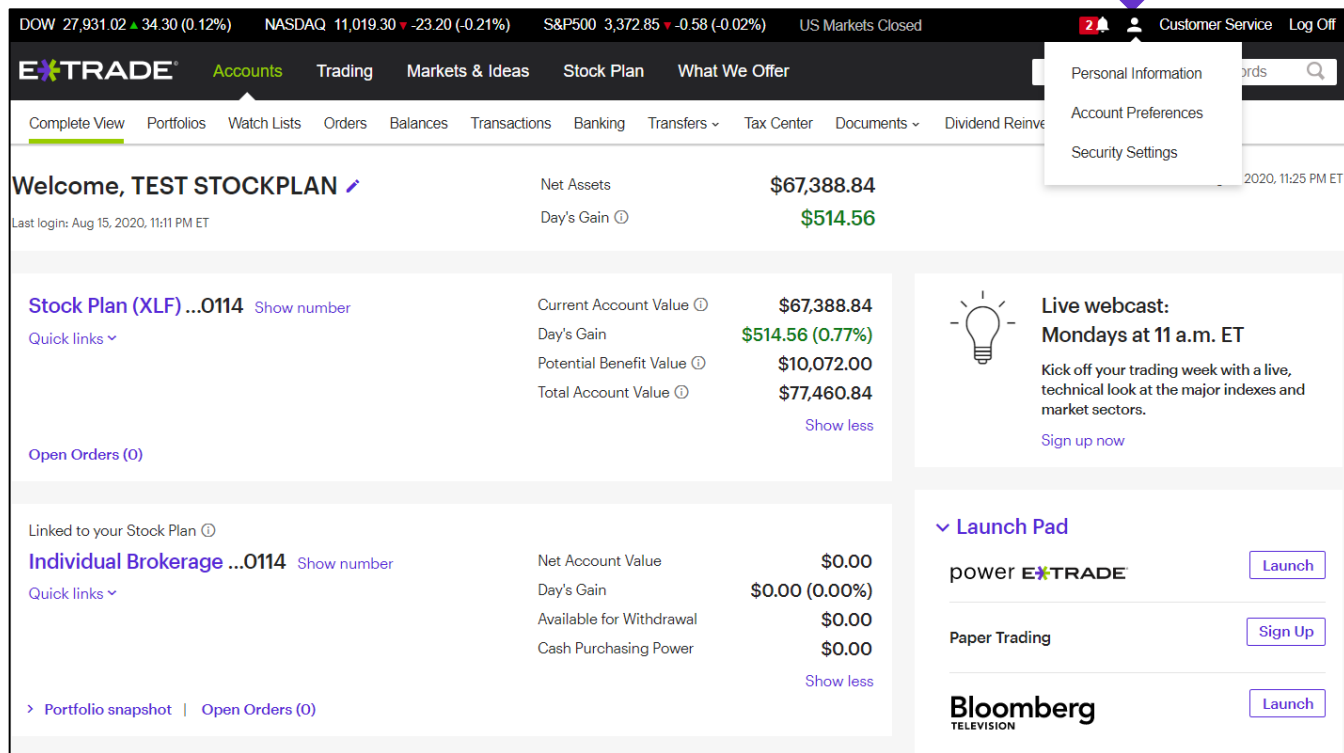
Paper Trading Sign Up

Bloomberg TELEVISION Launch

For illustration only.
Not a
recommendation.

Managing your personal information

In order to keep your personal information on your account up-to-date, you can change your information on etrade.com. Click on the icon on the top right-hand corner of the page to access “Personal Information”, “Account Preferences” and “Security Settings”:



The screenshot displays the E*TRADE website interface. At the top, a black navigation bar contains market indices (DOW, NASDAQ, S&P500) and a user profile icon. A purple arrow points to the user profile icon, which has opened a dropdown menu with three options: "Personal Information", "Account Preferences", and "Security Settings". The main content area shows a "Welcome, TEST STOCKPLAN" message and a table of account balances. Below this, there are sections for "Stock Plan (XLF) ...0114" and "Individual Brokerage ...0114", each with a table of account details. On the right side, there are promotional banners for a "Live webcast" and a "Launch Pad" for power E*TRADE, Paper Trading, and Bloomberg Television.

Account Type	Net Assets	Day's Gain
Stock Plan (XLF) ...0114	\$67,388.84	\$514.56
Individual Brokerage ...0114	\$0.00	\$0.00 (0.00%)

For illustration only. Not a recommendation.

Managing your personal information

Personal information

Use the Personal Information tab to update email address and mailing address

Account preferences

Use the Account Preferences tab to update:

- Investment profile
- Sweep account election
- Beneficiary
- Other account features

Security settings

Use the Security Settings tab to update:

- User ID and password
- Security questions
- Two factor authentication

The screenshot shows the E*TRADE website's 'My Profile' page. At the top, there's a navigation bar with market indices (DOW, NASDAQ, S&P500) and a 'Log Off' button. Below this is a secondary navigation bar with tabs: 'Accounts', 'Trading', 'Markets & Ideas', 'Stock Plan', and 'What We Offer'. The 'Accounts' tab is active. Underneath, there's a row of sub-tabs: 'Complete View', 'Portfolios', 'Watch Lists', 'Orders', 'Balances', 'Transactions', 'Banking', 'Transfers', 'Tax Center', 'Documents', 'Dividend Reinvestment', and 'Open Account'. The 'Orders' sub-tab is selected. The main content area is titled 'My Profile' and has three sub-tabs: 'Personal Information' (selected), 'Account Preferences', and 'Security & Passwords'. Under 'Personal Information', there are three sections: 'Email Address' with an 'Edit' link, 'Phone' with an 'Edit' link, and 'Employment Information' with an 'Edit' link. The 'Email Address' section shows 'Email Address' as 'MICHAEL.PALERMO@ETRADE.COM'. The 'Phone' section shows 'Home phone' as '1-800-387-2331'. The 'Employment Information' section shows 'Employer Name' as 'Unemployed' and 'I am employed by a registered broker-dealer, an exchange, or FINRA' as 'No'.

DOW 27,931.02 ▲ 34.30 (0.12%)		NASDAQ 11,019.30 ▼ -23.20 (-0.21%)		S&P500 3,372.85 ▼ -0.58 (-0.02%)		US Markets Closed		Customer Service Log Off	
E*TRADE Accounts Trading Markets & Ideas Stock Plan What We Offer									
Symbol Keywords									
Complete View Portfolios Watch Lists Orders Balances Transactions Banking Transfers Tax Center Documents Dividend Reinvestment Open Account									
My Profile									
Personal Information Account Preferences Security & Passwords									
Email Address Edit									
Email Address MICHAEL.PALERMO@ETRADE.COM									
Phone Edit									
Home phone 1-800-387-2331									
Work phone									
Mobile phone									
Employment Information Edit									
Employer Name									
Occupation Unemployed									
I am employed by a registered broker-dealer, an exchange, or FINRA. No									

Managing your personal information

Personal information

Use the Personal Information tab to update email address and mailing address

Account preferences

Use the Account Preferences tab to update:

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My Profile		
Personal Information	Account Preferences	Security & Passwords
Individual Brokerage -0114		
Account Information		Edit
Account registration	INDIVIDUAL	
Account nickname		
Account holders	TEST STOCKPLAN TRAINING FIVE TEST ACCOUNT	
Account beneficiaries		View/Edit
Trusted contact person		View/Edit

Managing your personal information

Personal information

Use the Personal Information tab to update email address and mailing address

Account preferences

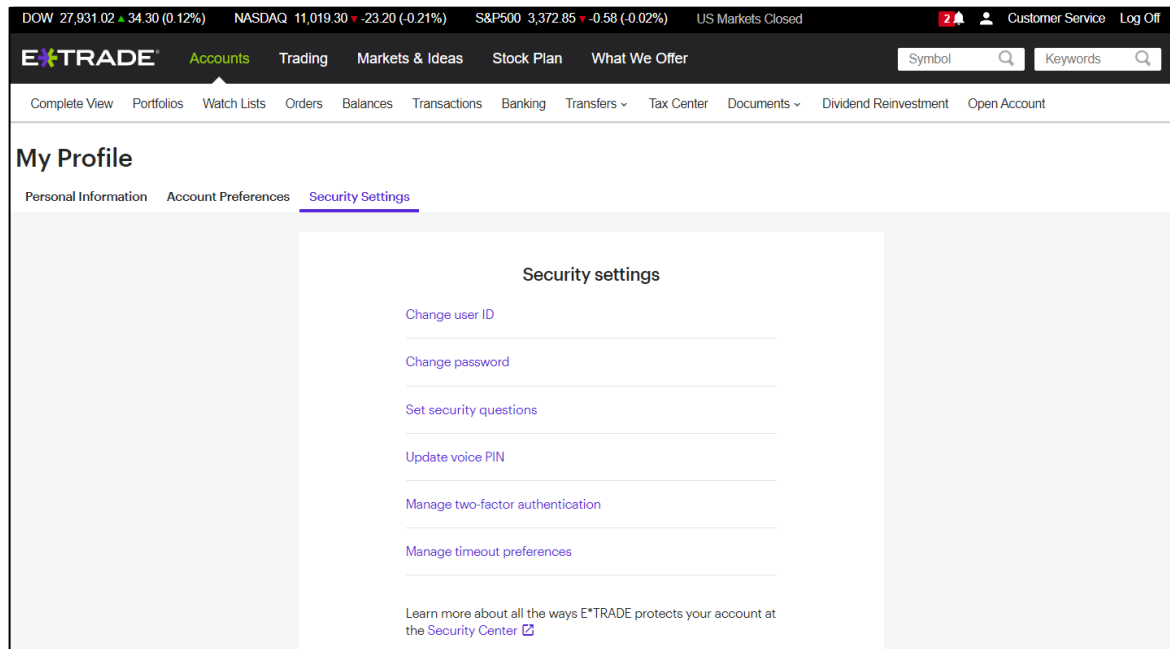
Use the Account Preferences tab to update:

- Investment profile
- Sweep account election
- Beneficiary
- Other account features

Security settings

Use the Security Settings tab to update:

- User ID and password
- Security questions
- Two factor authentication



Viewing your account and your holdings

Accessing your Stock Plan account

The Stock Plan tab

Provides access to your Stock Plan account and current information about your Stock Plan benefits and shares.

The screenshot displays the E*TRADE website's 'Stock Plan' section for a user named 'TEST STOCKPLAN'. The top navigation bar includes market indices (DOW, NASDAQ, S&P500), a search bar, and links for 'Customer Service' and 'Log Off'. The 'Stock Plan' tab is highlighted in the main navigation menu. A dropdown menu is open, showing options: Overview, Holdings, Sell, Exercise, Planning, My Account, Knowledge, Tax Information, and Orders. The 'Overview' section shows a balance of \$67,388.84 and a gain of \$514.56 (0.77%). Below this, there are sections for 'Stock Plan (XLF) ...0114', 'Individual Brokerage ...0114', and a 'Launch Pad' with links to 'power E*TRADE', 'Paper Trading', and 'Bloomberg TELEVISION'. A 'Live webcast' section is also visible, advertising a Monday morning session at 11 a.m. ET.

WELCOME, TEST STOCKPLAN

Last login: Aug 15, 2020, 11:25 PM ET

Stock Plan (XLF) ...0114 [Show number](#)

[Quick links](#)

Open Orders (0)

Linked to your Stock Plan

Individual Brokerage ...0114 [Show number](#)

[Quick links](#)

Net Account Value \$0.00

Day's Gain \$0.00 (0.00%)

Available for Withdrawal \$0.00

Cash Purchasing Power \$0.00

[Show less](#)

[Portfolio snapshot](#) | [Open Orders \(0\)](#)

Live webcast:
Mondays at 11 a.m. ET

Kick off your trading week with a live, technical look at the major indexes and market sectors.

[Sign up now](#)

Launch Pad

power E*TRADE [Launch](#)

Paper Trading [Sign Up](#)

Bloomberg TELEVISION [Launch](#)

For illustration only.
Not a
recommendation.



Overview

My Stock Plan

On the My Stock Plan pages, you can easily access all facets of your stock plan account.



Review Your Action Items

See important items that require your attention.



My Stock Plan

Stock Plan (XLF) - 0114

Last Refresh: October 01, 2020 11:42 AM ET

Quick Links English USD Action Items (5) Help

Total Account Value ⓘ	Current Account Value ⓘ	Potential Benefit Value ⓘ
\$71,582.54 (+0.39%)	\$61,934.54	\$9,648.00

DemoCorp Symbol XLF Last Price \$24.12 ⬇ Today's Change \$0.05 (+0.21%)

Message from your company
Custom messaging for your company can be updated in real time and communicate to participants through this section. It can be visible on all pages or unique to each page.

Welcome back, Teststockplan.

You own:

5,146 shares

Their current value is \$61,934.54 ⓘ

Have questions?

[View award FAQs & guides](#)

[Access tax resources & tools](#)

[View your vesting schedule](#)

▼ **Action Items (5)**

Enrollment Period
End Date Dec 31, 2020

Enroll in your ESPP [Enroll](#)

Grant Date Jan 01, 2015

Accept your new grant [Accept](#)

Grant Date Jan 01, 2016

Accept your new grant [Accept](#)

Grant Date Mar 01, 2016

Accept your new grant [Accept](#)

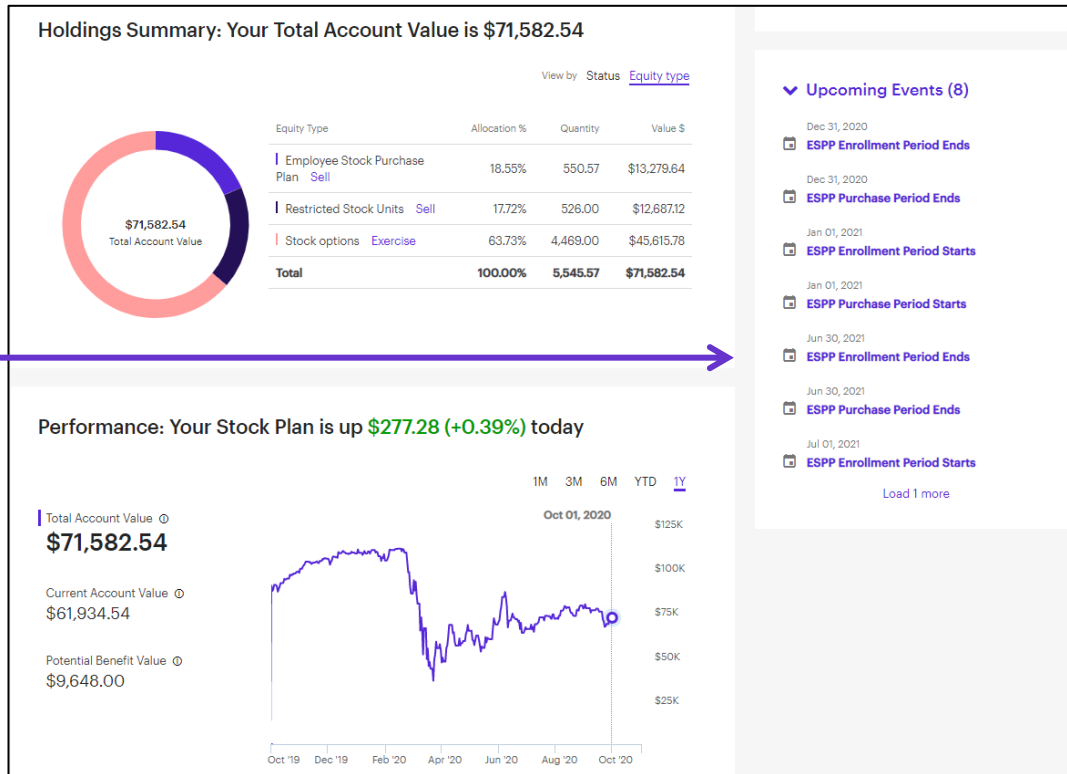
Overview

My Stock Plan (cont.)

On the My Stock Plan pages, you can easily access all facets of your stock plan account.

Scheduled Upcoming events

Dates for important actions that may impact your account.



Holdings

DOW 27,931.02 ▲ 34.30 (0.12%) NASDAQ 11,019.30 ▼ -23.20 (-0.21%) S&P500 3,372.85 ▼ -0.58 (-0.02%) US Markets Closed

E*TRADE Accounts Trading Markets & Ideas **Stock Plan** What We Offer

Symbol 🔍 Keywords 🔍

Complete View Portfolios Watch Lists Orders Balances Transactions

Welcome, TEST STOCKPLAN ✎
Last login: Aug 15, 2020, 11:25 PM ET

Stock Plan (XLF) ...0114 Show number
Quick links ▼

Open Orders (0)

Linked to your Stock Plan ⓘ

Individual Brokerage ...0114 Show number
Quick links ▼

Net Account Value \$0.00
Day's Gain \$0.00 (0.00%)
Available for Withdrawal \$0.00
Cash Purchasing Power \$0.00
Show less

> Portfolio snapshot | Open Orders (0)

Overview
Holdings
Sell
Exercise
Planning
My Account
Knowledge
Tax Information
Orders

\$67,388.84
\$514.56
Refresh Aug 15, 2020, 11:51 PM ET

\$67,388.84
\$514.56 (0.77%)
\$10,072.00
\$77,460.84
Show less

Live webcast:
Mondays at 11 a.m. ET
Kick off your trading week with a live, technical look at the major indexes and market sectors.
Sign up now

▼ Launch Pad

power E*TRADE Launch

Paper Trading Sign Up

Bloomberg TELEVISION Launch

For illustration only.
Not a recommendation.

Holdings

Here you will find information on the quantity and value of awards that have been deposited to your account.

Holdings

View By Type or Status

Displays the same information organized differently.

Stock plan benefits

Your stock plan benefits can be found here.

Details

You can drill down on individual benefits to see specific details.

My Stock Plan Last Refresh: September 20, 2018 12:48 PM ET

Stock Plan (XLF)-0114 English USD Review Your Action Items (4) Help

Total Account Value [?]	Current Account Value [?]	Potential Benefit Value [?]	DemoCorp	Symbol	Last Price	Today's Change
\$98,502.93 (+1.40%)	\$69,795.46	\$28,707.47		XLF	\$28.97	\$0.24 (+0.85%)

Message from your company
Please advise xxxxx

[View By Type](#) [View By Status](#) [Print](#) [Download](#)

Employee Stock Purchase Plan (ESPP) Current Value \$15,952.30
[Edit Enrollment Elections](#) | [Set Up Quicksale](#) | [Reinvest Dividends](#) | [Benefit History](#)

Restricted Stock (RS) Current Value \$3,650.77 Potential Benefit Value \$11,589.76
[Accept Grant](#) | [Edit Elections](#) | [Reinvest Dividends](#) | [Benefit History](#)

Stock Options & Related Shares Current Value \$50,192.38 Potential Benefit Value \$17,117.71
[Accept Grant](#) | [Reinvest Dividends](#) | [Benefit History](#)

Company Snapshot [Open Orders \(0\)](#)

Open Orders
You currently have no open orders.
[View Order History](#)

KNOWLEDGE | ARTICLE
 [6 Ways to Put Your Stock Plan to Work with E*TRADE](#)

KNOWLEDGE | CHECKLIST
 [Initiate a rollover from a former employer plan](#)

CALCULATOR | TOOL
 [Stock Plan Calculators](#)

For illustration only. Not a recommendation.

Making plan elections

Plan elections

The screenshot shows the E*TRADE website's 'Stock Plan' section. A dropdown menu is open under the 'Stock Plan' tab, with 'My Account' highlighted. A purple arrow points from the 'My Account' option in the dropdown to the 'Individual Brokerage ...0114' section on the left. The main content area displays account balances and a 'Launch Pad' with links to 'power E*TRADE', 'Paper Trading', and 'Bloomberg TELEVISION'.

Market Data: DOW 27,931.02 ▲ 34.30 (0.12%) | NASDAQ 11,019.30 ▼ -23.20 (-0.21%) | S&P500 3,372.85 ▼ -0.58 (-0.02%) | US Markets Closed

Navigation: Accounts | Trading | Markets & Ideas | **Stock Plan** | What We Offer

Search: Symbol [] Keywords []

Stock Plan Overview:

- Complete View | Portfolios | Watch Lists | Orders | Balances | Transactions
- Overview | Holdings | Sell | Exercise | Planning | **My Account** | Knowledge | Tax Information | Orders

Welcome, TEST STOCKPLAN
Last login: Aug 15, 2020, 11:25 PM ET

Stock Plan (XLF) ...0114 [Show number](#)
[Quick links](#)

Open Orders (0)

Linked to your Stock Plan

- Individual Brokerage ...0114** [Show number](#)
[Quick links](#)

Account Balances:

Net Account Value	\$67,388.84
Day's Gain	\$514.56 (0.77%)
Available for Withdrawal	\$10,072.00
Cash Purchasing Power	\$77,460.84

[Show less](#)

Launch Pad:

- power E*TRADE** [Launch](#)
- Paper Trading** [Sign Up](#)
- Bloomberg TELEVISION** [Launch](#)

[Refresh](#) Aug 15, 2020, 11:51 PM ET

[Live webcast: Mondays at 11 a.m. ET](#)
Kick off your trading week with a live, technical look at the major indexes and market sectors.
[Sign up now](#)

[Portfolio snapshot](#) | [Open Orders \(0\)](#)

Plan elections

As allowed by your company plan, make plan elections at Stock Plan > My Account.

For illustration only. Not a recommendation.



Grant acceptance

Elections

From the Plan Elections section under My Account, you can find grants requiring your acceptance.

Acceptance

Click the Accept button and follow the instructions on the following page to accept the grant.

The screenshot shows the E*TRADE 'My Stock Plan' interface. At the top, there's a navigation bar with 'My Account' highlighted. Below it, the 'Plan Elections' section is visible. A message from the company is displayed. The 'Plan Elections' section includes a 'Grant Acceptance' subsection. Under 'Grants Awaiting Your Acceptance (3)', there is a table with the following data:

Grant Date	Grant Number	Type	Price	Granted Qty.	Status	Action
01/01/2015	IS00005	ISO	\$13.50	4,059	Requires Acceptance	Accept

An arrow points from the 'Accept' button in the table to the 'Acceptance' section header.

For illustration only. Not a recommendation.

View and accept grant


Review grant

When you select Accept, a new window will appear. Review the documents for details on your grant.

Accept

After you review your grant documents, the Accept and Decline buttons will become active. Click the Accept button to accept the award.

Accept Your Grant



Message From Your Company
Optional Message. Employees will see this message when viewing a grant related to this grant package.

Please review the grant details below.

Grant Date	Number	Type	Price	Granted Qty.
01/01/2005	EX1111	NQ	\$100.00	100

I acknowledge that I have reviewed and understand the following grant document(s):
[Sales Demo Dynamic Award Agreement](#)
[Broad Based Plan](#)
*** Note:** Acknowledgement required to accept grant.

Decline

Accept

Placing orders

Placing orders



You can place an order online in a few easy steps.

Insider trading policy

Read your company's trading policy and check with internal resources prior to placing an order.

Blackouts

Be aware that under certain circumstances you may be restricted from selling shares or exercising options.

Selling shares

Sell

Sell shares from your Stock Plan account by selecting Sell under Stock Plan.

The screenshot shows the E*TRADE website interface. At the top, there's a navigation bar with links for Accounts, Trading, Markets & Ideas, Stock Plan, and What We Offer. The 'Stock Plan' link is highlighted, and a dropdown menu is open, showing options: Overview, Holdings, Sell, Exercise, Planning, My Account, Knowledge, Tax Information, and Orders. A purple arrow points from the 'Sell' option in the dropdown to the 'Stock Plan (XLF) ...0114' link in the main content area. The main content area also displays 'Welcome, TEST STOCKPLAN', account balances, and various service links like 'Live webinar' and 'Launch Pad'.

Market Data: DOW 27,931.02 ▲ 34.30 (0.12%) NASDAQ 11,019.30 ▼ -23.20 (-0.21%) S&P500 3,372.85 ▼ -0.58 (-0.02%) US Markets Closed

Navigation: Accounts Trading Markets & Ideas **Stock Plan** What We Offer

Search: Symbol Keywords

Complete View Portfolios Watch Lists Orders Balances Transactions

Welcome, TEST STOCKPLAN ✓
Last login: Aug 15, 2020, 11:25 PM ET

Stock Plan (XLF) ...0114 Show number
Quick links ▼

Overview Holdings **Sell** Exercise Planning My Account Knowledge Tax Information Orders

Account Summary:
\$67,388.84
\$514.56
\$67,388.84
\$514.56 (0.77%)
\$10,072.00
\$77,460.84
Show less

Open Orders (0)

Linked to your Stock Plan ⓘ
Individual Brokerage ...0114 Show number
Quick links ▼

Net Account Value \$0.00
Day's Gain \$0.00 (0.00%)
Available for Withdrawal \$0.00
Cash Purchasing Power \$0.00
Show less

> Portfolio snapshot | Open Orders (0)

Live webinar: Mondays at 11 a.m. ET
Kick off your trading week with a live, technical look at the major indexes and market sectors.
Sign up now

Launch Pad
power E*TRADE Launch
Paper Trading Sign Up
Bloomberg TELEVISION Launch

For illustration only. Not a recommendation.

Selling shares

Create an Order

You can also click on the Sell tab on the Stock Plan page

For illustration only.
Not a recommendation.


My Stock Plan

Stock Plan (XLF)-0112

English USD Review Your Action Items (1) Help

Last Refresh: September 24, 2018 3:16 PM ET

Total Account Value	Current Account Value	Potential Benefit Value
\$9,296.28 (-1.03%)	\$9,296.28	\$0.00



Symbol	Last Price	Today's Change
XLF	\$28.45	-\$0.30 (-1.03%)

Message from your company

Australia 0011 800 3338 7233 (toll-free) China 00 800 3338 7233 (toll-free, fixed phones only) 00 1 650 599 0125 (mobile phones, toll charges may apply) Hong Kong 001 800 3338 7233 (toll-free)

[Read More](#)

1 CREATE

2 PREVIEW

3 CONFIRM

Create an Order

Would you like to sell at the market price or when the stock reaches a specific price?

"I'd like to sell at the next available market price"

Market

"I'm willing to wait until the stock reaches a specific price"

Limit

Last Price (Size) Exch	Bid (Size) Exch	\$28.44 (x 250800) P	A market order executes at the next available market price. Your order will be estimated using the Last Price. If you enter a market order when the market is closed, you will receive the current price when the market opens on the next trading day.
\$28.45 (200)D	Ask (Size) Exch	\$28.45 (x 233000) P	
-\$0.30 (-1.03%)	Volume	34.86M	

Last Refresh: September 24, 2018 3:16 PM ET
Real-Time Quote

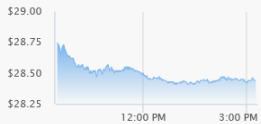
Company Snapshot

Open Orders (0)

FINANCIAL SELECT SECTOR SPDR FUND (XLF)

Last Price	Today's Change	Volume
\$28.45	-\$0.30 (-1.03%)	34.86M


1d 5d 3m 1y 3y 5y



Last Refresh: September 24, 2018 3:16 PM ET
Real-Time Quote

[Show More Quote Info](#)

[Show Company News](#)



KNOWLEDGE | ARTICLE
6 Ways to Put Your Stock Plan to Work with E*TRADE

E*TRADE

52

Choosing price type

1 CREATE

2 PREVIEW

3 CONFIRM

Create an Order

Would you like to sell at the market price or when the stock reaches a specific price?

"I'd like to sell at the next available market price"

Market

"I'm willing to wait until the stock reaches a specific price"

Limit

Last Price (Size) Exch ?
\$28.36 (0)
-\$0.13 (-0.46%)
Last Refresh: September 06, 2018 4:10 PM ET
Real-Time Quote

Bid (Size) Exch
Ask (Size) Exch
Volume

\$28.31 (x 4900)
\$28.33 (x 200)
38.31M

A market order executes at the next available market price. Your order will be estimated using the Last Price. If you enter a market order when the market is closed, you will receive the current price when the market opens on the next trading day.

For illustration only.
Not a
recommendation.

Market order

After your order is placed, your shares will be sold as soon as possible at the current price.

This does not guarantee a specific price.

Limit order

You are specifying a minimum price. Shares will be sold when that price (or a higher price) is reached.

This results in a minimum price to sell your shares, but your order will not execute until that price is reached and may not execute in full.

Choosing shares to sell and preview

Choose shares to sell

Tell us which shares and what quantity you want to sell.

Preview your order

Click Preview Order and confirm it on the next page.

What would you like to sell?

Proceeds are typically available in your account 2-4 business days after execution.

	Date Acquired	Benefit Type	Est. Cost Basis (per share)	Sellable Qty.	Select All <input type="checkbox"/>	Enter Number of Shares to Sell	Est. Gross Proceeds	Capital Gains Status	Expected Gain/Loss
	06/30/2016	ESPP	\$25.00	326.8159	<input type="checkbox"/>	<input type="text" value="150"/>	\$4,236.00	Long Term	+\$486.00
Totals				326.82		150	\$4,236.00		+\$486.00

Order Totals

Total Shares to Sell	Estimated Gross Proceeds	Total Estimated Cost	Estimated Net Proceeds
150	\$4,236.00	\$20.05	\$4,215.95

For illustration only. Not a recommendation.

Place your order

Review your order

Verify that your order is correct.

Delete or change your order

You can modify or delete your order

Place your order

Click Place Order to submit your trade request.

Your Order Preview:
Sell Restricted Stock

[Delete Order](#)

Order Type	Total Shares to Sell	Price Type	Term	Limit Price	All-or-None Order
Sell Restricted Stock	75	Limit	Good for Day	\$30.00	No
Disbursement Method	E*TRADE Account				

Last Price (Size) Exch	Bid (Size) Exch	Ask (Size) Exch	Volume
\$28.49 (100) Y	\$28.49 (140200) P	\$28.50 (349700) P	14,541,953

Estimated Gross Proceeds	Total Estimated Cost	Estimated Net Proceeds
\$2,250.00	\$18.52	\$2,231.48

Date Acquired	Benefit Type	Est. Cost Basis (per share)	Sellable Qty.	Shares to Sell	Est. Gross Proceeds	Capital Gains Status	Expected Gain/Loss
03/01/2017	Rest. Stock	\$25.24	126	75	\$2,250.00	Long Term	\$357.00

Order Totals

Total Shares to Sell	Estimated Gross Proceeds	Total Estimated Cost	Estimated Net Proceeds
75	\$2,250.00	\$18.52	\$2,231.48

Delete Order

Change Order

Place Order

We'll send your confirmation to your Alerts inbox

[Send my confirmation to my email address](#)

After your trade

Settled cash

After the trade settles, the cash will be deposited into your linked brokerage account. Once the cash is available, you can keep the cash in your brokerage account, use it to invest in other securities or transfer to another account using the Transfer Money section.

Market Data: DOW 27,931.02 ▲ 34.30 (0.12%) | NASDAQ 11,019.30 ▼ -23.20 (-0.21%) | S&P500 3,372.85 ▼ -0.58 (-0.02%) | US Markets Closed

Navigation: E*TRADE Accounts Trading Markets & Ideas Stock Plan What We Offer

Search: Symbol Keywords

Account Overview:

- Complete View | Portfolios | Watch Lists | Orders | Balances | Transactions | Banking | Transfers | Tax Center | Documents | Dividend Reinvestment | Open Account
- Welcome, TEST STOCKPLAN
- Net Assets: \$67,388.84
- Day's Gain: \$514.56
- Last login: Aug 15, 2020, 11:25 PM ET

Stock Plan (XLF) ...0114

- Quick links
- Current Account Value: \$67,388.84
- Day's Gain: \$514.56 (0.77%)
- Potential Benefit Value: \$10,072.00
- Total Account Value: \$77,460.84
- Show less
- Open Orders (0)

Individual Brokerage ...0114

- Quick links
- Linked to your Stock Plan
- Net Account Value: \$0.00
- Day's Gain: \$0.00 (0.00%)
- Available for Withdrawal: \$0.00
- Cash Purchasing Power: \$0.00
- Show less

Live webcast: Mondays at 11 a.m. ET

Kick off your trading week with a live, technical look at the major indexes and market sectors.

[Sign up now](#)

Launch Pad

- power E*TRADE [Launch](#)
- Paper Trading [Sign Up](#)
- Bloomberg TELEVISION [Launch](#)

[Portfolio snapshot](#) | [Open Orders \(0\)](#)

For illustration only. Not a recommendation.

Finding tax information

Tax documents

The screenshot shows the E*TRADE Stock Plan interface. At the top, market indices are displayed: DOW 27,931.02 (+34.30, 0.12%), NASDAQ 11,019.30 (-23.20, -0.21%), S&P500 3,372.85 (-0.58, -0.02%), and US Markets Closed. The navigation bar includes Accounts, Trading, Markets & Ideas, Stock Plan (active), and What We Offer. A search bar is on the right. Below the navigation bar, tabs for Complete View, Portfolios, Watch Lists, Orders, Balances, and Transactions are visible. The main content area shows a welcome message for 'TEST STOCKPLAN' and a 'Stock Plan (XLF) ...0114' section with a 'Show number' link. A dropdown menu is open from the 'Stock Plan' tab, listing options: Overview, Holdings, Sell, Exercise, Planning, My Account, Knowledge, Tax Information (highlighted with a green bar), and Orders. A purple arrow points from the 'Tax documents' text below to the 'Tax Information' option. To the right of the menu, account balances are shown: \$67,388.84, \$514.56, and \$514.56 (0.77%). Below these, a 'Live webcast' section for Mondays at 11 a.m. ET is advertised. At the bottom, a 'Launch Pad' section features links for power E*TRADE, Paper Trading, and Bloomberg Television.

For illustration only.
Not an investment
recommendation

Tax documents

Answers to many of your questions can be found at
Stock Plan > Tax Information.

Tax documents

Tax center

Here, you will find tax-related information for both your E*TRADE Securities stock plan account and, if applicable, your linked E*TRADE Securities brokerage account(s).

The screenshot displays the E*TRADE Tax Center interface. At the top, a navigation bar includes links for Accounts, Trading, Research, Stock Plan, and What We Offer. Below this, a secondary navigation bar lists various account features like Complete View, Portfolios, Watch Lists, Orders, Balances, Transactions, Banking, Transfers, Tax Center (highlighted), Documents, Dividend Reinvestment, and E*TRADE 360. The main content area is titled 'Tax Center' and features a left sidebar with links to Tax Documents, Cost Basis Resources, Gains and Losses, Tax Efficient Investing, Employee Stock Plan, Schedules, Retirement Offerings, and Account Records. The central section, 'My Tax Documents (1)', allows users to filter by Tax Year (2017) and Account (Individual Brokerage & Stock Plan (XLF) -1507). It displays a table of documents, including a 2/10/2018 Brokerage document with links to 1099 Consolidated, Stock Plan Transactions Supplement, and 1099 Insert. To the right, a 'Tax Calendar' shows the current date (September 26, 2018) and a monthly calendar grid. Below the calendar, 'Tax Tools & Resources' lists links to Tax FAQs, Tax Glossary, Tax Reference Guide, and IRS Forms & Instructions. A 'Need Help?' section provides a phone number (800.838.0908) and a link to speak with a representative. At the bottom, 'Tax Preparation Solutions' promotes TurboTax software.

E*TRADE Accounts Trading Research Stock Plan What We Offer

Complete View Portfolios Watch Lists Orders Balances Transactions Banking Transfers **Tax Center** Documents Dividend Reinvestment E*TRADE 360

Tax Center

Tax Documents

My Tax Documents (1) Transactions

Filter By:

Tax Year: 2017 Accounts: Individual Brokerage & Stock Plan (XLF) -1507 Amended Only

Date	Account	Type	Export
2/10/2018	Individual Brokerage & Stock Plan (XLF) -1507	Brokerage	

1099 Consolidated
Stock Plan Transactions Supplement
1099 Insert

Have a question? Send a Secure Message.
Haven't received your documents? Get help.

Tax Document Resources

Articles Videos Calculators

What is FATCA?
What is NRA Withholding Credit?
What is IRC Section 302?
The Alternative Minimum Tax
What You Need to Know About Capital Gains and Taxes
Tax Planning for Specific Types of Investments

Tax Calendar

Click a date to review events, deadlines, etc.

Wednesday Su Mo Tu We Th Fr Sa

26 2 3 4 5 6 7 8
9 10 11 12 13 14 15
16 17 18 19 20 21 22
23 24 25 26 27 28 29
30

Tax Tools & Resources

- Tax FAQs
- Tax Glossary
- Tax Reference Guide
- IRS Forms & Instructions

Need Help?

Speak directly with a representative within the U.S.

Call 800.838.0908

Outside the U.S. and Canada

Tax Preparation Solutions

Visit Tax Software Support to learn how Turbo Tax and other solutions can help assist you in preparing and filing your tax return.

TurboTax

Stock Plan Transactions Supplement

Supplemental information

Your Stock Plan Transactions Supplement is available on *etrade.com* and shows a summary of stock plan sales during the year.

ETRADE

>

Stock Plan Transactions Supplement

This document provides you with additional information about your 2017 Stock Plan Transactions that is not reported to the IRS on your Form 1099-B.

John Smith

Account number ending in: XXXX

Reporting Period: January 1, 2017 - December 31, 2017

Download Date: 02/17/2018

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
JSK	68	05/13/2009	03/15/2017	\$8,897.80	\$4,925.72	---	---	\$3,972.08	Long	Non-Covered	ISO	SO1038094
JSK	5	11/25/2012	05/07/2017	\$605.00	\$433.76	\$0.00	\$433.76	\$221.85	Long	Covered	ISO	SO1038094
JSK	5	11/25/2012	03/15/2017	\$694.25	\$0.00	\$0.00	\$0.00	\$143.95	Long	Non-Covered	PSA	PS136586
JSK	10	11/25/2012	02/23/2017	\$1,355.90	\$0.00	\$1,020.60	\$1,020.60	\$334.90	Long	Non-Covered	RSU	RS176468
JSK	10	11/25/2012	05/07/2017	\$1,311.20	\$0.00	\$1,020.60	\$1,020.60	\$290.60	Long	Non-Covered	RSU	RS176468
JSK	32	10/02/2016	02/12/2017	\$3,975.04	\$3,432.91	\$605.81	\$4,038.72	(\$63.68)	Short	Covered	ESPP	---
JSK	100	11/25/2016	02/23/2017	\$13,555.00	\$0.00	\$10,206.00	\$10,206.00	\$3,349.00	Short	Non-Covered	PSA	PS136586
JSK	88	12/06/2016	01/29/2017	\$12,779.36	\$10,078.05	\$1,779.87	\$11,857.12	\$922.24	Short	Covered	NQ	SO1001293
JSK	100	12/06/2016	02/12/2017	\$12,422.00	\$0.00	\$1,347.40	\$1,347.40	(\$1,052.00)	Short	Non-Covered	PSU	PS123408
				\$25,261.36	\$10,078.05	\$15,252.57	\$25,331.12	-\$129.76				

About This Document

This document is designed to assist you in reviewing information that may be important when reporting your 2017 Stock Plan Transactions on your federal and state income tax returns. The document provides additional information about your 2017 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 2017 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 2017 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/stockplntax](#)
Stock Plan Gains & Losses: [etrade.com/spgainloss](#)
Stock Plan Confirmations: [etrade.com/spconfirms](#)

Customer Service

[etrade.com/service](#)
800-838-0908 or +1 650 599 0125 from outside the U.S.

Page 1 of 3

60

E*TRADE


Working with E*TRADE Securities

Stock plan knowledge

The Knowledge tab

Navigate to Stock Plan > Knowledge to find a variety of educational resources including the following:

- Videos
- Stock plan basics
- Calculators
- “How-to” guides

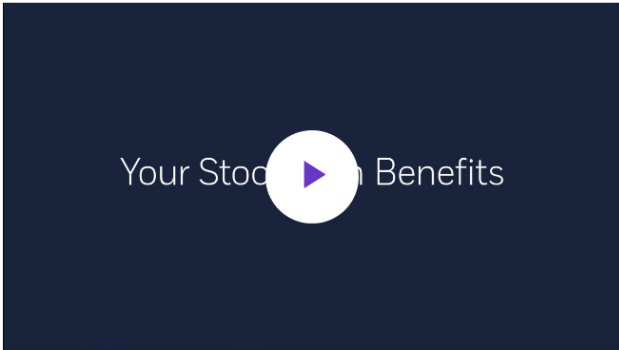


Message from your company

Custom messaging for your company can be updated in real time and communicate to participants through this section. It can be visible on all pages or unique to each page.


Knowledge

Help get the most out of your Stock Plan benefits through our educational resources.





FEATURED VIDEO

- Stock Plan Benefits Overview
- [Account Activation](#)
- [Employee Stock Purchase Plan Essentials](#)
- [Employee Stock Purchase Plan Essentials \(no lookback\)](#)
- [ESPP Tax Considerations](#)
- [Restricted Stock](#)
- [Employee Stock Options Essentials](#)
- [Employee Stock Options Tax Considerations](#)





Learn Stock Plan Basics







Report Taxes for Stock Plans






Stock Plan Calculators






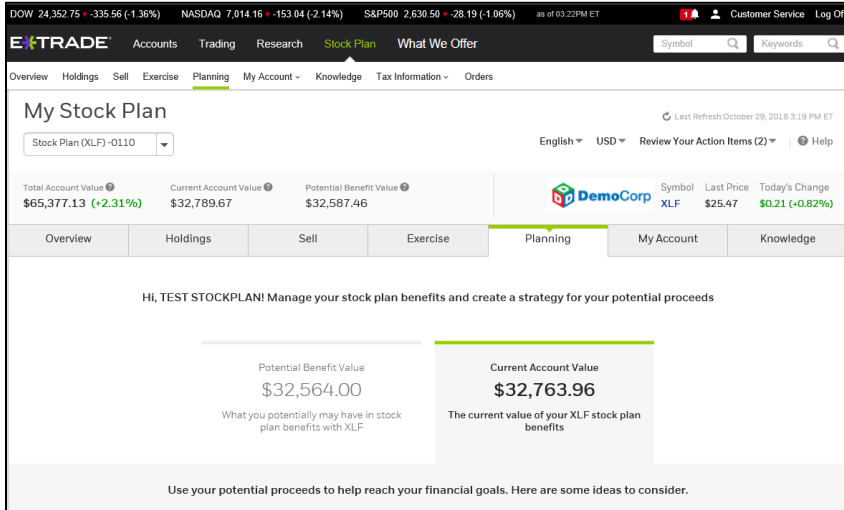
Retirement Info & Tools



62

E*TRADE[®]

Planning resources



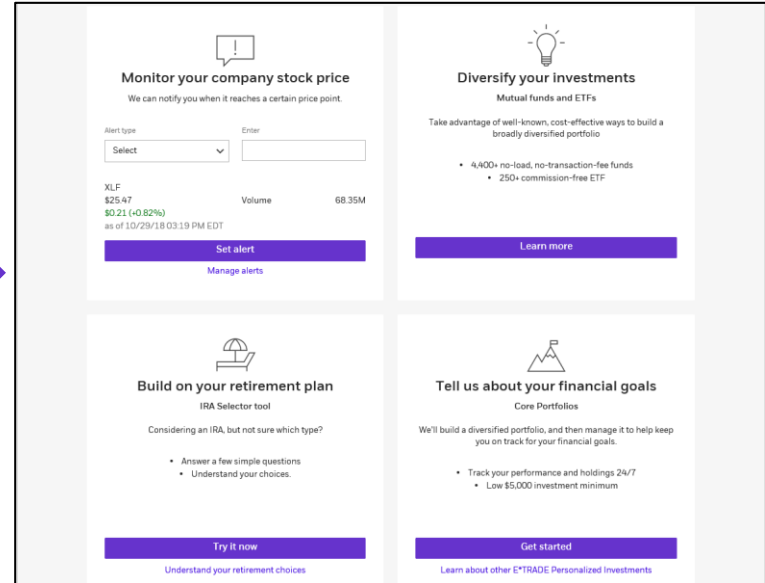
The screenshot shows the E*TRADE website's 'My Stock Plan' page, specifically the 'Planning' tab. The page displays account information for a stock plan (XLF -0110) and provides a summary of the plan's value. A large purple arrow points from this page to the right, indicating a transition to a more detailed planning resource page.

Symbol	Last Price	Today's Change
XLF	\$25.47	\$0.21 (+0.82%)

Overview	Holdings	Sell	Exercise	Planning	My Account	Knowledge
Hi, TEST STOCKPLAN! Manage your stock plan benefits and create a strategy for your potential proceeds						

Potential Benefit Value	Current Account Value
\$32,564.00	\$32,763.96

Use your potential proceeds to help reach your financial goals. Here are some ideas to consider.



The screenshot shows a grid of four planning resources on the E*TRADE website. Each resource includes an icon, a title, a brief description, and a 'Learn more' or 'Try it now' button.

- Monitor your company stock price**: We can notify you when it reaches a certain price point. Includes an alert type dropdown and an enter field.
- Diversify your investments**: Mutual funds and ETFs. Take advantage of well-known, cost-effective ways to build a broadly diversified portfolio. Includes a list of benefits: 4,400+ no-load, no-transaction-fee funds and 250+ commission-free ETF.
- Build on your retirement plan**: IRA Selector tool. Considering an IRA, but not sure which type? Includes a list of benefits: Answer a few simple questions and Understand your choices.
- Tell us about your financial goals**: Core Portfolios. We'll build a diversified portfolio, and then manage it to help keep you on track for your financial goals. Includes a list of benefits: Track your performance and holdings 24/7 and Low \$5,000 investment minimum.

The Planning tab

Navigate to Stock Plan > Planning to find a variety of planning resources, including tools to help you:

- Consider what to do with uninvested cash
- Project the potential value of your stock plan benefits
- Incorporate your stock plan benefits into your overall financial plan

Alerts

Alerts

E*TRADE may use Alerts to communicate to you about important account related information. Alerts are sent to the email you have listed in your account profile.

Access your Alerts

You can access your Alerts on *etrade.com* here.

The screenshot shows the E*TRADE website interface. At the top, there's a navigation bar with market indices (DOW, NASDAQ, S&P500) and a notification bell icon with a red '2' badge. Below the navigation bar, there's a header with 'E*TRADE' and various menu items like 'Accounts', 'Trading', 'Markets & Ideas', etc. A purple line points from the 'Access your Alerts' text to the notification bell icon. The main content area displays account information for 'TEST STOCKPLAN', including 'Net Assets' of \$67,388.84 and 'Day's Gain' of \$514.56. There are also sections for 'Stock Plan (XLF) ...0114' and 'Individual Brokerage ...0114'. On the right, there's a 'Live webcast' section and a 'Launch Pad' section with buttons for 'Launch', 'Sign Up', and 'Launch'.

DOW 27,931.02 ▲ 34.30 (0.12%) NASDAQ 11,019.30 ▼ 23.20 (-0.21%) S&P500 3,372.85 ▼ -0.58 (-0.02%) US Markets Closed

E*TRADE® Accounts Trading Markets & Ideas Stock Plan What We Offer

Symbol 🔍 Keywords 🔍

Complete View Portfolios Watch Lists Orders Balances Transactions Banking Transfers ▾ Tax Center Documents ▾ Dividend Reinvestment Open Account

Welcome, TEST STOCKPLAN ✎

Last login: Aug 15, 2020, 11:25 PM ET

Net Assets \$67,388.84

Day's Gain ⓘ \$514.56

Refresh Aug 16, 2020, 12:51 AM ET

Stock Plan (XLF) ...0114 Show number

Quick links ▾

Open Orders (0)

Current Account Value ⓘ \$67,388.84

Day's Gain \$514.56 (0.77%)

Potential Benefit Value ⓘ \$10,072.00

Total Account Value ⓘ \$77,460.84

Show less

Live webcast: Mondays at 11 a.m. ET

Kick off your trading week with a live, technical look at the major indexes and market sectors.

Sign up now

Linked to your Stock Plan ⓘ

Individual Brokerage ...0114 Show number

Quick links ▾

Net Account Value \$0.00

Day's Gain \$0.00 (0.00%)

Available for Withdrawal \$0.00

Cash Purchasing Power \$0.00

Show less

> Portfolio snapshot | Open Orders (0)

Launch Pad

power E*TRADE Launch

Paper Trading Sign Up

Bloomberg TELEVISION Launch

Alerts

The screenshot shows the E*TRADE website's Alerts inbox. At the top, there's a navigation bar with market indices (DOW, NASDAQ, S&P500), a search bar, and links for Customer Service and Log Off. Below this is a secondary navigation bar with links like Complete View, Portfolios, Watch Lists, Orders, Balances, Transactions, Banking, Transfers, Tax Center, Documents, Dividend Reinvestment, and Open Account. The main content area is titled 'Inbox' and includes links for 'Inbox', 'Set & Manage Alerts', and 'Delivery'. Under 'Account Alerts', there's a table with columns for 'Delete', 'Delivery date', and 'Subject'. Three alerts are listed, each with a 'Subject' link. A purple arrow points from the 'Subject' link of the second alert to the 'Subject' column header of the 'Symbol Alerts' table below. The 'Symbol Alerts' table has columns for 'Delete', 'Delivery date', 'Symbol', 'Subject', and 'Type'. Below the tables, a disclaimer states that stock alerts are deleted 30 days after being sent, and account alerts are deleted 90 days after being sent. It also mentions that the Alerts inbox on the website is the primary and official notification location.

DOW 25,673.46 ▼ -133.17 (-0.52%) NASDAQ 7,505.92 ▼ -70.44 (-0.93%) S&P500 2,771.45 ▼ -18.20 (-0.65%) US Markets Closed

E*TRADE[®] Accounts Trading Research Stock Plan What We Offer

Symbol Search Keywords Search

Complete View Portfolios Watch Lists Orders Balances Transactions Banking Transfers Tax Center Documents Dividend Reinvestment Open Account

Inbox [Inbox](#) [Set & Manage Alerts](#) [Delivery](#)

Account Alerts

[Delete](#)

<input type="checkbox"/>	Delivery date	Subject ⓘ
<input type="checkbox"/>	02/13/19, 4:28 AM EST	Restricted Stock Tax Payment Election
<input type="checkbox"/>	01/30/19, 4:31 AM EST	Shares of Restricted Stock Vesting
<input type="checkbox"/>	01/15/19, 4:27 AM EST	Restricted Stock Tax Payment Election

Symbol Alerts

[Delete](#)

<input type="checkbox"/>	Delivery date	Symbol	Subject ⓘ	Type ⓘ
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Stock alerts will automatically be deleted 30 days after they are sent. Account alerts will be deleted 90 days after they are sent. Be sure to check your Alerts inbox regularly even if you have also requested that your account alerts be sent to your e-mail address. The Alerts inbox on our Web site is our primary and official notification location when you have an account alert message. All times are in Eastern Time.

Read your Alerts

Click the details link to read your Alerts

How to contact us

E*TRADE Securities Customer Service resources

To access the Customer Service page, click on the Customer Service link on the top right-hand corner of every page on *etrade.com*

The screenshot displays the E*TRADE website interface. At the top, a navigation bar includes links for Accounts, Trading, Research, Stock Plan, and What We Offer. A search bar is positioned to the right of these links. In the top right corner, a dropdown menu is open, showing the 'Customer Service' link highlighted by a purple arrow. Below the navigation bar, the user's account information is displayed, including the name 'TEST STOCKPLAN' and the net assets of '\$76,882.40'. The main content area is divided into two sections. The left section, titled 'Customer Service', contains links for 'Call us 24/7', 'Send us mail', and 'Live chat'. The right section, titled 'Send us a Secure Message', contains a form for sending a message, including fields for 'Account', 'Subject', 'Topic', and 'Message'. A purple arrow points to the 'Customer Service' link in the top right corner of the website.

Customer Service

Live chat

Use live chat to talk to a human quickly and resolve any questions you may have.

[Chat with a live representative >](#)

Tax questions?

Need tax documents, tax resources or additional support?

[Visit the tax center >](#)

Branch locator

30+ branches across the country to help you with your financial needs.

[Find a branch near me >](#)

Screen share

Screen share makes it easy to get the real-time support you need.

[Start session >](#)

Send us a Secure Message

Account:

Select Account

Subject:

Select Subject

Topic:

Select Topic

Message:

Notification Method

☐ Use alternate e-mail address on file (None on file)

☐ Add E-Mail Address

☐ Do not send any notification

[Send Message](#)

Contacting E*TRADE Securities Customer Service

How to contact E*TRADE Securities Customer Service

To contact E*TRADE Securities, you can:

- Call us
- Live chat
- Send us a Secure Message

E*TRADE Securities Customer Service phone numbers

E*TRADE Securities has several customer service resources available to you, including:

Questions about your stock plan or retail account

800-838-0908

12 a.m. Monday to 11:59 p.m. Friday ET

Closed holidays

- Activating your account
- Navigating the Stock Plan section of etrade.com
- Finding tax information
- Disbursing cash from and depositing cash to your brokerage account
- Buying and selling securities in your brokerage account

After hours you may call the general customer service line

800-ETRADE-1 (800-387-2331)

24 hours a day, 7 days a week