



Schwab One® Account of  
**JOHN C NORRIS**  
**DESIGNATED BENE PLAN/TOD**

Account Number  
**1735-6424**

**TAX YEAR 2020**  
**FORM 1099 COMPOSITE**

## INSTRUCTIONS FOR RECIPIENTS OF FORM 1099 1099-B: Proceeds from Broker Transactions

Brokers and barter exchanges must report proceeds from (and in some cases, basis for) transactions to you and the IRS on Form 1099-B. Reporting is also required when your broker knows or has reason to know that a corporation in which you own stock has had a reportable change in control or capital structure. You may be required to recognize gain from the receipt of cash, stock, or other property that was exchanged for the corporation's stock. If your broker reported this type of transaction to you, the corporation is identified in box 1a.

**Recipient's taxpayer identification number (TIN).** For your protection, this form may show only the last four digits of your TIN (social security number (SSN), individual taxpayer identification number (ITIN), adoption taxpayer identification number (ATIN), or employer identification number (EIN)). However, the issuer has reported your complete TIN to the IRS.

**Account number.** May show an account or other unique number the payer assigned to distinguish your account.

**CUSIP number.** Shows the CUSIP (Committee on Uniform Security Identification Procedures) number or other applicable identifying number.

**FATCA filing requirement.** If the FATCA filing requirement box is checked, the payer is reporting on this Form 1099 to satisfy its chapter 4 account reporting requirement. You may also have a filing requirement. See the Instructions for Form 8938.

**Applicable checkbox on Form 8949.** Indicates where to report this transaction on Form 8949 and Schedule D (Form 1040 or 1040-SR), and which checkbox is applicable. See the instructions for your Schedule D (Form 1040 or 1040-SR) and/or Form 8949.

**Box 1a.** Shows a brief description of the item or service for which amounts are being reported. For a corporation that had a reportable change in control or capital structure, this box may show the class of stock as C (common), P (preferred), or O (other).

**Box 1b.** This box may be blank if box 5 is checked or if the securities sold were acquired on a variety of dates. For short sales, the date shown is the date you acquired the security delivered to close the short sale.

**Box 1c.** Shows the trade date of the sale or exchange. For short sales, the date shown is the date the security was delivered to close the short sale. For aggregate reporting in boxes 8 through 11, no entry will be present.

**Box 1d.** Shows the cash proceeds, reduced by any commissions or transfer taxes related to the sale, for transactions involving stocks, debt, commodities, forward contracts, non-Section 1256 option contracts, or securities futures contracts. May show the proceeds from the disposition of your interest(s) in a widely held fixed investment trust. May also show the aggregate amount of cash and the fair market value of any stock or other property received in a reportable change in control or capital structure arising from the corporate transfer of property to a foreign corporation. Losses on forward contracts or non-Section 1256 option contracts are shown in parentheses. This box does not include proceeds from regulated futures contracts or Section 1256 option contracts. Report this amount on Form 8949 or on Schedule D (Form 1040 or 1040-SR) (whichever is applicable) as explained in the Instructions for Schedule D (Form 1040 or 1040-SR).

**Box 1e.** Shows the cost or other basis of securities sold. If the securities were acquired through the exercise of a noncompensatory option granted or acquired on or after January 1, 2014, the basis has been adjusted to reflect your option premium. If the securities were acquired through the exercise of a noncompensatory option granted or acquired before January 1, 2014, your broker is permitted, but not required, to adjust the basis to

reflect your option premium. If the securities were acquired through the exercise of a compensatory option, the basis has not been adjusted to include any amount related to the option that was reported to you on a Form W-2. If box 5 is checked, box 1e may be blank. See the Instructions for Form 8949, Instructions for Schedule D (Form 1040 or 1040-SR), or Pub. 550 for details.

**Box 1f.** Shows the amount of accrued market discount. For details on market discount, see the Schedule D (Form 1040 or 1040-SR) instructions, the Instructions for Form 8949, and Pub. 550. If box 5 is checked, box 1f may be blank.

**Box 1g.** Shows the amount of nondeductible loss in a wash sale transaction. For details on wash sales, see the Schedule D (Form 1040 or 1040-SR) instructions, the Instructions for Form 8949, and Pub. 550. If box 5 is checked, box 1g may be blank.

**Box 2.** The short-term and long-term boxes pertain to short-term gain or loss and long-term gain or loss. If the "Ordinary" box is checked, your security may be subject to special rules. For example, gain on a contingent payment debt instrument subject to the noncontingent bond method generally is treated as ordinary interest income rather than as capital gain. See the Instructions for Form 8949, Pub. 550, or Pub. 1212 for more details on whether there are any special rules or adjustments that might apply to your security. If box 5 is checked, box 2 may be blank.

**Box 3.** If checked, proceeds are from a transaction involving collectibles or from a Qualified Opportunity Fund(QOF).

**Box 4.** Shows backup withholding. Generally, a payer must backup withhold if you did not furnish 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.** If checked, the securities sold were noncovered securities and boxes 1b, 1e, 1f, 1g, and 2 may be blank. Generally, a noncovered security means: stock purchased before 2011, stock in most mutual funds purchased before 2012, stock purchased in or transferred to a dividend reinvestment plan before 2012, debt acquired before 2014, options granted or acquired before 2014, and securities futures contracts entered into before 2014.

**Box 6.** If the exercise of a noncompensatory option resulted in a sale of a security, a checked "net proceeds" box indicates whether the amount in box 1d was adjusted for option premium.

**Box 7.** If checked, you cannot take a loss on your tax return based on gross proceeds from a reportable change in control or capital structure reported in box 1d. See the Form 8949 and Schedule D (Form 1040 or 1040-SR) instructions. The broker should advise you of any losses on a separate statement.

**Box 12.** If checked, the basis in box 1e has been reported to the IRS and either the short-term or the long-term gain or loss box in box 2 will be checked. If box 12 is checked on Form(s) 1099-B and NO adjustment is required, see the instructions for your Schedule D (Form 1040 or 1040-SR) as you may be able to report your transaction directly on Schedule D (Form 1040 or 1040-SR). If the "Ordinary" box in box 2 is checked, an adjustment may be required.

**Boxes 14-16.** Show state(s)/local income tax information.

**Future developments.** For the latest information about any developments related to Form 1099-B and its instructions, such as legislation enacted after they were published, go to [www.irs.gov/Form1099B](http://www.irs.gov/Form1099B).



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**TAX YEAR 2020**  
**FORM 1099 COMPOSITE**

Date Prepared: February 12, 2021

## Notes for Your Form 1099-B

**Box 1b-Date acquired:** If there is more than one lot in a sell transaction, the acquisition date for the individual lot in the transaction can be found in the Realized Gain or (Loss) section of the Year-End Summary.

- (1) If **Box 1b-Date acquired** displays as VARIOUS, your sell transaction included multiple tax lots purchased on different acquisition dates within the same holding period and covered/non-covered status. The lots in the transaction are rolled up into a single sell transaction.
- (2) If the cost basis is missing or not provided, a short-term holding period may have been applied for a position that may have been held long term.

**Box 1d-Proceeds/Box 6-Reported to IRS: Gross proceeds (except where indicated):**

- (1) Gross proceeds from each of your security transactions are reported individually to the IRS.
- (2) Gross proceeds in aggregate are not reported to the IRS and should not be reported on your tax return.
- (3) Net proceeds will only be displayed if the proceeds on a trade have been adjusted for an option premium.

**Box 1e-Cost or other basis:** Schwab has provided cost basis information whenever possible for most investments. Cost basis data may be incomplete or unavailable for some of your holdings. When value for the report is unavailable, it is noted as follows:

- |                     |   |
|---------------------|---|
| <b>Not Provided</b> | Schwab is not providing Cost Basis on this security type.   |
| <b>Missing</b>      | <ol style="list-style-type: none"><li>(1) Cost Basis data may not be available for a number of reasons (for example, the security was purchased outside of Schwab and we did not receive cost basis from the transferring firm).</li><li>(2) The security was purchased more than 10 years ago.</li></ol> |

**Realized Gain or (Loss):** Realized Gain or (Loss) is not reported to the IRS.

**Box 2-Short-term gain or loss, Long-term gain or loss, or Ordinary:** Only if you have both long-term and short-term transactions will you receive both long-term and short-term sections of the 1099-B:

**Long-term gain or loss** has a holding period greater than one year.

**Short-term gain or loss** has a holding period of one year or less.

### Other Cost Basis Notes:

- (1) The cost basis and basis adjustments for covered securities are reported to the IRS.
- (2) If "BASIS IS REPORTED TO THE IRS" appears in the section heading, this indicates **Box 12-If checked, basis reported to IRS** is checked. If "BASIS IS AVAILABLE BUT NOT REPORTED" or "BASIS IS MISSING AND NOT REPORTED" appears, this indicates **Box 5-If checked, noncovered security** is checked. These boxes are not displayed on the 1099-B but the boxes are reported to the IRS and included in the download for TurboTax and H&R Block.
- (3) For non-covered securities appearing in sections of the 1099-B which include the headings "BASIS IS AVAILABLE BUT NOT REPORTED TO THE IRS" or "BASIS IS MISSING AND NOT REPORTED TO THE IRS", **Box 1b-Date acquired**, **1e-Cost or other basis**, **1f-Accrued Market Discount** and **1g-Wash Sale Loss Disallowed** are not reported to the IRS.

### \*\*Activity Codes (Not reported to the IRS)

<b>C</b> = Cash in Lieu	<b>E</b> = Exchange	<b>P</b> = Principal	<b>S</b> = Sale	<b>T</b> = Tender	<b>BC</b> = Buy to Close	<b>X</b> = Expiration
<b>CV</b> = Conversion	<b>M</b> = Cash Merger	<b>MT</b> = Maturity	<b>R</b> = Redemption	<b>SS</b> = Short Sale	<b>SC</b> = Sell to Close	

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.



Schwab One® Account of  
**JOHN C NORRIS**  
**DESIGNATED BENE PLAN/TOD**

Account Number  
**1735-6424**

**TAX YEAR 2020**  
**YEAR-END SUMMARY**

**YEAR-END SUMMARY INFORMATION IS NOT PROVIDED TO THE IRS.**

Date Prepared: February 12, 2021

The information in this and all subsequent sections is not provided to the IRS by Charles Schwab. It is provided to you as additional tax reporting information you may need to complete your tax return.

**SUPPLEMENTAL INFORMATION**

**Foreign Tax Paid and Income Summary**

Please note: This section only includes securities that had foreign tax paid.

Description	CUSIP Number	Country		Foreign Tax Paid	Dividends Amount	Interest Amount
BNY MELLON INTERNATIONAL	09661L500	RIC	\$	(2.40) \$	19.85 \$	0.00
<b>Total Foreign Tax Paid and Income</b>			\$	<b>(2.40) \$</b>	<b>19.85 \$</b>	<b>0.00</b>



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Account Number  
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**TAX YEAR 2020**  
**FORM 1099 COMPOSITE**  
**& YEAR-END SUMMARY**

Date Prepared: February 12, 2021

## COST BASIS DISCLOSURE

### Changes to Cost Basis Reporting Requirements

Starting with the 2011 tax year, Charles Schwab & Co. will begin reporting adjusted cost basis to you and the IRS on your Form 1099-B for covered securities in your taxable brokerage accounts that you sell and that are covered by the new Emergency Stabilization Act regulations. In the event of transfers of securities, we are also required to report adjusted cost basis information to other custodians for covered securities transferred to them.

Schwab will treat securities as covered when they are acquired on or after the following effective dates:

- January 1, 2011 for stocks and other equities
- January 1, 2012 for mutual funds, ETFs, and Dividend Reinvestment Plan ("DRIP") shares
- January 1, 2014 for less complex fixed income and options, rights and warrants
- January 1, 2016 for more complex fixed income

Because these new reporting requirements could impact the cost basis used to compute your taxable gains and losses, it's important to understand when and how they will apply to you. The information in this document is intended as informational only and is not individualized tax advice. Schwab does not provide tax advice and encourages you to consult with your tax professional to understand how the new reporting requirements will affect you and your tax situation.

### What Does This Mean for You

1. When you sell covered securities, as described above, Schwab will be required to report details about your cost basis to you and the IRS on Form 1099-B. You will continue to be responsible for reporting all cost basis information for both covered and uncovered securities to the IRS on your tax returns.
2. Unless you've indicated otherwise, Schwab will calculate your gains and losses using the IRS default cost basis method of Average Cost for mutual funds and FIFO (First In, First Out) for all other securities. It is your responsibility to choose the cost basis method appropriate to your tax situation. See "Cost Basis Methods" for the methods offered by Schwab.
3. When you sell a security, the cost basis method used to calculate your gain or loss cannot be changed after your trade settles. So it's important to consider the tax implications at the time of trade.

### What is Cost Basis?

Cost basis is the original purchase price you paid for a security plus commissions and any fees. Adjusted cost basis includes any other adjustments to the price. Adjusted cost basis also includes any adjustments due to wash sales, amortization, accretion and corporate actions.

Your realized gain/loss on a security is determined by subtracting the adjusted cost basis from the sale proceeds in an account less commissions and fees.

For covered securities that were not both purchased and sold at Schwab, Schwab calculates cost basis using data that you have provided to us or that we have obtained from third-party sources

such as your prior custodian or another third-party source. Because the accuracy of cost basis data depends upon these third-party inputs, we are not able to guarantee the availability, accuracy, or completeness of such cost basis data on transactions that did not occur at Schwab. If we are not provided with adequate information to report cost basis data for covered securities that were not both purchased and sold at Schwab, those securities will be considered uncovered and the cost basis will not be reported to the IRS even if acquired after the effective date.

### Cost Basis Methods

It is your responsibility to choose the cost basis method appropriate to your tax situation. Failure to select the proper cost basis method may cause you to pay more tax than necessary. Schwab does not provide tax advice and encourages you to consult with your tax professional regarding this decision.

To view and change your default cost basis method on your brokerage account, go to the Service tab on schwab.com, then the Cost Basis Method page in Account Settings. You can also make a change by calling 800-435-4000. If your account is managed by an investment advisor, please call your advisor to make a change.

### Default Cost Basis Methods

We apply the IRS default method of Average Cost for your mutual funds and the default method of FIFO (First In, First Out) to all other securities unless you inform us of a preferred method.

FIFO	Shares you acquired first are sold first
Average Cost	Cost is derived by dividing the total dollar amount invested in a particular fund position by the number of shares held prior to the trade date. Shares are removed in FIFO order.

### Cost Basis Methods Offered by Schwab:

You may select a different cost basis method for your brokerage account other than the default methods described above. The following cost basis methods are offered by Schwab:

<b>FIFO (First In, First Out)</b>	Shares you acquired first are sold first
<b>LIFO (Last In, First Out)</b>	Shares you acquired last are sold first
<b>HCOST (High Cost)</b>	Shares with the highest cost are sold first
<b>LCOST (Low Cost)</b>	Shares with lowest cost are sold first
<b>Average Cost (mutual funds only)</b>	Cost is derived by dividing the total dollar amount invested in a particular fund position by the number of shares held prior to the trade date. Shares are removed in FIFO order.
<b>Specific Identification</b>	The IRS allows taxpayers to identify specific lots to be sold. Such identification must be made with the broker at the time of trade and no later than close of business on the day the trade settles.



Schwab One® Trust Account of  
JOHN C NORRIS TTEE  
JOHN C NORRIS TRUST  
U/A DTD 08/22/2006

Account Number  
3409-7695

TAX YEAR 2020  
FORM 1099 COMPOSITE

## INSTRUCTIONS FOR RECIPIENTS OF FORM 1099 1099-B: Proceeds from Broker Transactions

Brokers and barter exchanges must report proceeds from (and in some cases, basis for) transactions to you and the IRS on Form 1099-B. Reporting is also required when your broker knows or has reason to know that a corporation in which you own stock has had a reportable change in control or capital structure. You may be required to recognize gain from the receipt of cash, stock, or other property that was exchanged for the corporation's stock. If your broker reported this type of transaction to you, the corporation is identified in box 1a.

**Recipient's taxpayer identification number (TIN).** For your protection, this form may show only the last four digits of your TIN (social security number (SSN), individual taxpayer identification number (ITIN), adoption taxpayer identification number (ATIN), or employer identification number (EIN)). However, the issuer has reported your complete TIN to the IRS.

**Account number.** May show an account or other unique number the payer assigned to distinguish your account.

**CUSIP number.** Shows the CUSIP (Committee on Uniform Security Identification Procedures) number or other applicable identifying number.

**FATCA filing requirement.** If the FATCA filing requirement box is checked, the payer is reporting on this Form 1099 to satisfy its chapter 4 account reporting requirement. You may also have a filing requirement. See the Instructions for Form 8938.

**Applicable checkbox on Form 8949.** Indicates where to report this transaction on Form 8949 and Schedule D (Form 1040 or 1040-SR), and which checkbox is applicable. See the instructions for your Schedule D (Form 1040 or 1040-SR) and/or Form 8949.

**Box 1a.** Shows a brief description of the item or service for which amounts are being reported. For a corporation that had a reportable change in control or capital structure, this box may show the class of stock as C (common), P (preferred), or O (other).

**Box 1b.** This box may be blank if box 5 is checked or if the securities sold were acquired on a variety of dates. For short sales, the date shown is the date you acquired the security delivered to close the short sale.

**Box 1c.** Shows the trade date of the sale or exchange. For short sales, the date shown is the date the security was delivered to close the short sale. For aggregate reporting in boxes 8 through 11, no entry will be present.

**Box 1d.** Shows the cash proceeds, reduced by any commissions or transfer taxes related to the sale, for transactions involving stocks, debt, commodities, forward contracts, non-Section 1256 option contracts, or securities futures contracts. May show the proceeds from the disposition of your interest(s) in a widely held fixed investment trust. May also show the aggregate amount of cash and the fair market value of any stock or other property received in a reportable change in control or capital structure arising from the corporate transfer of property to a foreign corporation. Losses on forward contracts or non-Section 1256 option contracts are shown in parentheses. This box does not include proceeds from regulated futures contracts or Section 1256 option contracts. Report this amount on Form 8949 or on Schedule D (Form 1040 or 1040-SR) (whichever is applicable) as explained in the Instructions for Schedule D (Form 1040 or 1040-SR).

**Box 1e.** Shows the cost or other basis of securities sold. If the securities were acquired through the exercise of a noncompensatory option granted or acquired on or after January 1, 2014, the basis has been adjusted to reflect your option premium. If the securities were acquired through the exercise of a noncompensatory option granted or acquired before January 1, 2014, your broker is permitted, but not required, to adjust the basis to

reflect your option premium. If the securities were acquired through the exercise of a compensatory option, the basis has not been adjusted to include any amount related to the option that was reported to you on a Form W-2. If box 5 is checked, box 1e may be blank. See the Instructions for Form 8949, Instructions for Schedule D (Form 1040 or 1040-SR), or Pub. 550 for details.

**Box 1f.** Shows the amount of accrued market discount. For details on market discount, see the Schedule D (Form 1040 or 1040-SR) instructions, the Instructions for Form 8949, and Pub. 550. If box 5 is checked, box 1f may be blank.

**Box 1g.** Shows the amount of nondeductible loss in a wash sale transaction. For details on wash sales, see the Schedule D (Form 1040 or 1040-SR) instructions, the Instructions for Form 8949, and Pub. 550. If box 5 is checked, box 1g may be blank.

**Box 2.** The short-term and long-term boxes pertain to short-term gain or loss and long-term gain or loss. If the "Ordinary" box is checked, your security may be subject to special rules. For example, gain on a contingent payment debt instrument subject to the noncontingent bond method generally is treated as ordinary interest income rather than as capital gain. See the Instructions for Form 8949, Pub. 550, or Pub. 1212 for more details on whether there are any special rules or adjustments that might apply to your security. If box 5 is checked, box 2 may be blank.

**Box 3.** If checked, proceeds are from a transaction involving collectibles or from a Qualified Opportunity Fund(QOF).

**Box 4.** Shows backup withholding. Generally, a payer must backup withhold if you did not furnish 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.** If checked, the securities sold were noncovered securities and boxes 1b, 1e, 1f, 1g, and 2 may be blank. Generally, a noncovered security means: stock purchased before 2011, stock in most mutual funds purchased before 2012, stock purchased in or transferred to a dividend reinvestment plan before 2012, debt acquired before 2014, options granted or acquired before 2014, and securities futures contracts entered into before 2014.

**Box 6.** If the exercise of a noncompensatory option resulted in a sale of a security, a checked "net proceeds" box indicates whether the amount in box 1d was adjusted for option premium.

**Box 7.** If checked, you cannot take a loss on your tax return based on gross proceeds from a reportable change in control or capital structure reported in box 1d. See the Form 8949 and Schedule D (Form 1040 or 1040-SR) instructions. The broker should advise you of any losses on a separate statement.

**Box 12.** If checked, the basis in box 1e has been reported to the IRS and either the short-term or the long-term gain or loss box in box 2 will be checked. If box 12 is checked on Form(s) 1099-B and NO adjustment is required, see the instructions for your Schedule D (Form 1040 or 1040-SR) as you may be able to report your transaction directly on Schedule D (Form 1040 or 1040-SR). If the "Ordinary" box in box 2 is checked, an adjustment may be required.

**Boxes 14-16.** Show state(s)/local income tax information.

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Schwab One® Trust Account of  
**JOHN C NORRIS TTEE**  
**JOHN C NORRIS TRUST**  
U/A DTD 08/22/2006

Account Number  
**3409-7695**

**TAX YEAR 2020**  
**FORM 1099 COMPOSITE**

Taxpayer ID Number: \*\*\*-\*\*-6282

Date Prepared: February 12, 2021

**Proceeds from Broker Transactions — 2020 (continued)**

**Form 1099-B**

Department of the Treasury-Internal Revenue Service

Copy B for Recipient (OMB No. 1545-0715)

**LONG-TERM TRANSACTIONS FOR WHICH BASIS IS REPORTED TO THE IRS** - Report on Form 8949, Part II, with **Box D** checked.

1a-Description of property (Example 100 sh. XYZ Co.) CUSIP Number / Symbol	**	1b-Date acquired 1c-Date sold or disposed	1d-Proceeds 6-Reported to IRS: Gross Proceeds (except where indicated)	1e-Cost or other basis	1f-Accrued Market Discount 1g-Wash Sale Loss Disallowed	Realized Gain or (Loss)	4-Federal Income tax withheld
472 DWS INTERMEDIATE TAX-FREE S 25159H405 / SCMTX	S	12/21/18 03/12/20	\$ 5,500.00	\$ 5,448.03	-- \$	51.97 \$	0.00
4,514 DWS INTERMEDIATE TAX-FREE S 25159H405 / SCMTX	S	12/21/18 04/03/20	\$ 51,916.53	\$ 52,051.97	-- \$	(135.44) \$	0.00
Security Subtotal			\$ 57,416.53	\$ 57,500.00	-- \$	(83.47) \$	0.00
173 GATEWAY A 367829207 / GATEX	S	11/20/18 03/19/20	\$ 5,291.07	\$ 5,625.02	-- \$	(333.95) \$	0.00
173 GATEWAY A 367829207 / GATEX	S	11/20/18 06/22/20	\$ 5,817.03	\$ 5,624.98	-- \$	192.05 \$	0.00
Security Subtotal			\$ 11,108.10	\$ 11,250.00	-- \$	(141.90) \$	0.00
563 HARDING LOEVNER INTERNATIONAL E 412295503 / HLMNX	S	11/20/18 06/22/20	\$ 12,838.63	\$ 11,250.00	-- \$	1,588.63 \$	0.00
Security Subtotal			\$ 12,838.63	\$ 11,250.00	-- \$	1,588.63 \$	0.00
276 JPMORGAN STRATEGIC INCOME OPP 4812A4385 / JSOAX	S	12/21/18 03/12/20	\$ 3,116.05	\$ 3,132.63	-- \$	(16.58) \$	0.00
Security Subtotal			\$ 3,116.05	\$ 3,132.63	-- \$	(16.58) \$	0.00

FATCA Filing Requirement ☐

Please see the "Notes for Your Form 1099-B" section for additional explanation of this Form 1099-B report.

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.



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**TAX YEAR 2020**  
**FORM 1099 COMPOSITE**

Taxpayer ID Number: \*\*\*-\*\*-6282

Date Prepared: February 12, 2021

**Proceeds from Broker Transactions — 2020 (continued)**

**Form 1099-B**

Department of the Treasury-Internal Revenue Service

Copy B for Recipient (OMB No. 1545-0715)

**LONG-TERM TRANSACTIONS FOR WHICH BASIS IS REPORTED TO THE IRS** - Report on Form 8949, Part II, with **Box D** checked.

1a-Description of property (Example 100 sh. XYZ Co.) CUSIP Number / Symbol	1b-Date acquired  1c-Date sold or disposed	1d-Proceeds 6-Reported to IRS: Gross Proceeds (except where indicated)	1e-Cost or other basis	1f-Accrued Market Discount  1g-Wash Sale Loss Disallowed	Realized Gain or (Loss)	4-Federal Income tax withheld
250 SCHWAB US LARGE CAP ETF 808524201 / SCHX	S 01/08/16 08/04/20	\$ 19,799.59	\$ 11,454.05	-- \$ --	8,345.54 \$	0.00
<b>Security Subtotal</b>		<b>\$ 19,799.59</b>	<b>\$ 11,454.05</b>	<b>-- \$</b>	<b>8,345.54 \$</b>	<b>0.00</b>
<b>Total Long-Term (Cost basis is reported to the IRS)</b>		<b>\$ 104,278.90</b>	<b>\$ 94,586.68</b>	<b>-- \$</b>	<b>9,692.22 \$</b>	<b>0.00</b>

FATCA Filing Requirement ☐

Please see the "Notes for Your Form 1099-B" section for additional explanation of this Form 1099-B report.

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.



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Taxpayer ID Number: \*\*\*-\*\*-6282

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**Proceeds from Broker Transactions — 2020 (continued)**

**Form 1099-B**

Department of the Treasury-Internal Revenue Service

Copy B for Recipient (OMB No. 1545-0715)

**LONG-TERM TRANSACTIONS FOR WHICH BASIS IS AVAILABLE BUT NOT REPORTED TO THE IRS** - Report on Form 8949, Part II, with **Box E** checked.

1a-Description of property (Example 100 sh. XYZ Co.)		1b-Date acquired	1d-Proceeds			1f-Accrued Market Discount			
CUSIP Number / Symbol	**	1c-Date sold or disposed	6-Reported to IRS: Gross Proceeds (except where indicated)		1e-Cost or other basis	1g-Wash Sale Loss Disallowed		Realized Gain or (Loss)	4-Federal Income tax withheld
328 HARDING LOEVNER EMERGING MARK 412295305 / HLEMX	S	07/17/09 06/22/20	\$ 16,600.00	\$	11,427.47	--	\$	5,172.53	\$ 0.00
582 HARDING LOEVNER EMERGING MARK 412295305 / HLEMX	S	VARIOUS 08/05/20	\$ 31,923.98	\$	20,254.87	--	\$	11,669.11	\$ 0.00
Security Subtotal			\$ 48,523.98	\$	31,682.34	--	\$	16,841.64	\$ 0.00
67 ISHARES MICRO CAP ETF 464288869 / IWC	S	05/28/09 10/21/20	\$ 6,453.64	\$	2,102.08	--	\$	4,351.56	\$ 0.00
Security Subtotal			\$ 6,453.64	\$	2,102.08	--	\$	4,351.56	\$ 0.00
204 ISHARES MSCI EAFE ETF 464287465 / EFA	S	03/26/09 10/21/20	\$ 13,191.37	\$	7,974.47	--	\$	5,216.90	\$ 0.00
Security Subtotal			\$ 13,191.37	\$	7,974.47	--	\$	5,216.90	\$ 0.00

FATCA Filing Requirement ☐

Please see the "Notes for Your Form 1099-B" section for additional explanation of this Form 1099-B report.

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.





Schwab One® Trust Account of  
JOHN C NORRIS TTEE  
JOHN C NORRIS TRUST  
U/A DTD 08/22/2006

Account Number  
3409-7695

**TAX YEAR 2020**  
**FORM 1099 COMPOSITE**

Taxpayer ID Number: \*\*\*-\*\*-6282

Date Prepared: February 12, 2021

**Proceeds from Broker Transactions — 2020 (continued)**

**Form 1099-B**

Department of the Treasury-Internal Revenue Service

Copy B for Recipient (OMB No. 1545-0715)

**LONG-TERM TRANSACTIONS FOR WHICH BASIS IS AVAILABLE BUT NOT REPORTED TO THE IRS** - Report on Form 8949, Part II, with **Box E** checked.

1a-Description of property (Example 100 sh. XYZ Co.)		1b-Date acquired	1d-Proceeds		1f-Accrued Market Discount				
CUSIP Number / Symbol	**	1c-Date sold or disposed	6-Reported to IRS: Gross Proceeds (except where indicated)		1e-Cost or other basis	1g-Wash Sale Loss Disallowed		Realized Gain or (Loss)	4-Federal Income tax withheld
82NEXTERA ENERGY INC	S	07/12/01	\$ 6,119.69	\$	589.48	--	\$	5,530.21	\$ 0.00
65339F101 / NEE		11/25/20				--			
Security Subtotal			\$ 6,119.69	\$	589.48	--	\$	5,530.21	\$ 0.00
						--			
Total Long-Term (Cost basis is available but not reported to the IRS)			\$ 74,288.68	\$	42,348.37	--	\$	31,940.31	\$ 0.00
						--			
Total Long-Term Sales Price of Stocks, Bonds, etc.			\$ 178,567.58	\$	136,935.05	--	\$	41,632.53	\$ 0.00
						--			
Total Sales Price of Stocks, Bonds, etc.			\$ 201,591.79						
Total Federal Income Tax Withheld			\$ 0.00						

FATCA Filing Requirement ☐

Please see the "Notes for Your Form 1099-B" section for additional explanation of this Form 1099-B report.

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.



Schwab One® Trust Account of  
**JOHN C NORRIS TTEE**  
**JOHN C NORRIS TRUST**  
U/A DTD 08/22/2006

Account Number  
**3409-7695**

**TAX YEAR 2020**  
**FORM 1099 COMPOSITE**

Date Prepared: February 12, 2021

## Notes for Your Form 1099-B

**Box 1b-Date acquired:** If there is more than one lot in a sell transaction, the acquisition date for the individual lot in the transaction can be found in the Realized Gain or (Loss) section of the Year-End Summary.

- (1) If **Box 1b-Date acquired** displays as VARIOUS, your sell transaction included multiple tax lots purchased on different acquisition dates within the same holding period and covered/non-covered status. The lots in the transaction are rolled up into a single sell transaction.
- (2) If the cost basis is missing or not provided, a short-term holding period may have been applied for a position that may have been held long term.

**Box 1d-Proceeds/Box 6-Reported to IRS: Gross proceeds (except where indicated):**

- (1) Gross proceeds from each of your security transactions are reported individually to the IRS.
- (2) Gross proceeds in aggregate are not reported to the IRS and should not be reported on your tax return.
- (3) Net proceeds will only be displayed if the proceeds on a trade have been adjusted for an option premium.

**Box 1e-Cost or other basis:** Schwab has provided cost basis information whenever possible for most investments. Cost basis data may be incomplete or unavailable for some of your holdings. When value for the report is unavailable, it is noted as follows:

- |                     |   |
|---------------------|---|
| <b>Not Provided</b> | Schwab is not providing Cost Basis on this security type.   |
| <b>Missing</b>      | <ol style="list-style-type: none"><li>(1) Cost Basis data may not be available for a number of reasons (for example, the security was purchased outside of Schwab and we did not receive cost basis from the transferring firm).</li><li>(2) The security was purchased more than 10 years ago.</li></ol> |

**Realized Gain or (Loss):** Realized Gain or (Loss) is not reported to the IRS.

**Box 2-Short-term gain or loss, Long-term gain or loss, or Ordinary:** Only if you have both long-term and short-term transactions will you receive both long-term and short-term sections of the 1099-B:

**Long-term gain or loss** has a holding period greater than one year.

**Short-term gain or loss** has a holding period of one year or less.

**Other Cost Basis Notes:**

- (1) The cost basis and basis adjustments for covered securities are reported to the IRS.
- (2) If "BASIS IS REPORTED TO THE IRS" appears in the section heading, this indicates **Box 12-If checked, basis reported to IRS** is checked. If "BASIS IS AVAILABLE BUT NOT REPORTED" or "BASIS IS MISSING AND NOT REPORTED" appears, this indicates **Box 5-If checked, noncovered security** is checked. These boxes are not displayed on the 1099-B but the boxes are reported to the IRS and included in the download for TurboTax and H&R Block.
- (3) For non-covered securities appearing in sections of the 1099-B which include the headings "BASIS IS AVAILABLE BUT NOT REPORTED TO THE IRS" or "BASIS IS MISSING AND NOT REPORTED TO THE IRS", **Box 1b-Date acquired**, **1e-Cost or other basis**, **1f-Accrued Market Discount** and **1g-Wash Sale Loss Disallowed** are not reported to the IRS.

**\*\*Activity Codes (Not reported to the IRS)**

<b>C</b> = Cash in Lieu	<b>E</b> = Exchange	<b>P</b> = Principal	<b>S</b> = Sale	<b>T</b> = Tender	<b>BC</b> = Buy to Close	<b>X</b> = Expiration
<b>CV</b> = Conversion	<b>M</b> = Cash Merger	<b>MT</b> = Maturity	<b>R</b> = Redemption	<b>SS</b> = Short Sale	<b>SC</b> = Sell to Close	

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.



Schwab One® Trust Account of  
**JOHN C NORRIS TTEE**  
**JOHN C NORRIS TRUST**  
U/A DTD 08/22/2006

Account Number  
**3409-7695**

**TAX YEAR 2020**  
**FORM 1099 COMPOSITE**  
**& YEAR-END SUMMARY**

Date Prepared: February 12, 2021

## COST BASIS DISCLOSURE

### Changes to Cost Basis Reporting Requirements

Starting with the 2011 tax year, Charles Schwab & Co. will begin reporting adjusted cost basis to you and the IRS on your Form 1099-B for covered securities in your taxable brokerage accounts that you sell and that are covered by the new Emergency Stabilization Act regulations. In the event of transfers of securities, we are also required to report adjusted cost basis information to other custodians for covered securities transferred to them.

Schwab will treat securities as covered when they are acquired on or after the following effective dates:

- January 1, 2011 for stocks and other equities
- January 1, 2012 for mutual funds, ETFs, and Dividend Reinvestment Plan ("DRIP") shares
- January 1, 2014 for less complex fixed income and options, rights and warrants
- January 1, 2016 for more complex fixed income

Because these new reporting requirements could impact the cost basis used to compute your taxable gains and losses, it's important to understand when and how they will apply to you. The information in this document is intended as informational only and is not individualized tax advice. Schwab does not provide tax advice and encourages you to consult with your tax professional to understand how the new reporting requirements will affect you and your tax situation.

### What Does This Mean for You

1. When you sell covered securities, as described above, Schwab will be required to report details about your cost basis to you and the IRS on Form 1099-B. You will continue to be responsible for reporting all cost basis information for both covered and uncovered securities to the IRS on your tax returns.
2. Unless you've indicated otherwise, Schwab will calculate your gains and losses using the IRS default cost basis method of Average Cost for mutual funds and FIFO (First In, First Out) for all other securities. It is your responsibility to choose the cost basis method appropriate to your tax situation. See "Cost Basis Methods" for the methods offered by Schwab.
3. When you sell a security, the cost basis method used to calculate your gain or loss cannot be changed after your trade settles. So it's important to consider the tax implications at the time of trade.

### What is Cost Basis?

Cost basis is the original purchase price you paid for a security plus commissions and any fees. Adjusted cost basis includes any other adjustments to the price. Adjusted cost basis also includes any adjustments due to wash sales, amortization, accretion and corporate actions.

Your realized gain/loss on a security is determined by subtracting the adjusted cost basis from the sale proceeds in an account less commissions and fees.

For covered securities that were not both purchased and sold at Schwab, Schwab calculates cost basis using data that you have provided to us or that we have obtained from third-party sources

such as your prior custodian or another third-party source. Because the accuracy of cost basis data depends upon these third-party inputs, we are not able to guarantee the availability, accuracy, or completeness of such cost basis data on transactions that did not occur at Schwab. If we are not provided with adequate information to report cost basis data for covered securities that were not both purchased and sold at Schwab, those securities will be considered uncovered and the cost basis will not be reported to the IRS even if acquired after the effective date.

### Cost Basis Methods

It is your responsibility to choose the cost basis method appropriate to your tax situation. Failure to select the proper cost basis method may cause you to pay more tax than necessary. Schwab does not provide tax advice and encourages you to consult with your tax professional regarding this decision.

To view and change your default cost basis method on your brokerage account, go to the Service tab on schwab.com, then the Cost Basis Method page in Account Settings. You can also make a change by calling 800-435-4000. If your account is managed by an investment advisor, please call your advisor to make a change.

### Default Cost Basis Methods

We apply the IRS default method of Average Cost for your mutual funds and the default method of FIFO (First In, First Out) to all other securities unless you inform us of a preferred method.

FIFO	Shares you acquired first are sold first
Average Cost	Cost is derived by dividing the total dollar amount invested in a particular fund position by the number of shares held prior to the trade date. Shares are removed in FIFO order.

### Cost Basis Methods Offered by Schwab:

You may select a different cost basis method for your brokerage account other than the default methods described above. The following cost basis methods are offered by Schwab:

<b>FIFO (First In, First Out)</b>	Shares you acquired first are sold first
<b>LIFO (Last In, First Out)</b>	Shares you acquired last are sold first
<b>HCOST (High Cost)</b>	Shares with the highest cost are sold first
<b>LCOST (Low Cost)</b>	Shares with lowest cost are sold first
<b>Average Cost (mutual funds only)</b>	Cost is derived by dividing the total dollar amount invested in a particular fund position by the number of shares held prior to the trade date. Shares are removed in FIFO order.
<b>Specific Identification</b>	The IRS allows taxpayers to identify specific lots to be sold. Such identification must be made with the broker at the time of trade and no later than close of business on the day the trade settles.



## INSTRUCTIONS FOR RECIPIENTS OF FORM 1099 1099-B: Proceeds from Broker Transactions

Brokers and barter exchanges must report proceeds from (and in some cases, basis for) transactions to you and the IRS on Form 1099-B. Reporting is also required when your broker knows or has reason to know that a corporation in which you own stock has had a reportable change in control or capital structure. You may be required to recognize gain from the receipt of cash, stock, or other property that was exchanged for the corporation's stock. If your broker reported this type of transaction to you, the corporation is identified in box 1a.

**Recipient's taxpayer identification number (TIN).** For your protection, this form may show only the last four digits of your TIN (social security number (SSN), individual taxpayer identification number (ITIN), adoption taxpayer identification number (ATIN), or employer identification number (EIN)). However, the issuer has reported your complete TIN to the IRS.

**Account number.** May show an account or other unique number the payer assigned to distinguish your account.

**CUSIP number.** Shows the CUSIP (Committee on Uniform Security Identification Procedures) number or other applicable identifying number.

**FATCA filing requirement.** If the FATCA filing requirement box is checked, the payer is reporting on this Form 1099 to satisfy its chapter 4 account reporting requirement. You may also have a filing requirement. See the Instructions for Form 8938.

**Applicable checkbox on Form 8949.** Indicates where to report this transaction on Form 8949 and Schedule D (Form 1040 or 1040-SR), and which checkbox is applicable. See the instructions for your Schedule D (Form 1040 or 1040-SR) and/or Form 8949.

**Box 1a.** Shows a brief description of the item or service for which amounts are being reported. For a corporation that had a reportable change in control or capital structure, this box may show the class of stock as C (common), P (preferred), or O (other).

**Box 1b.** This box may be blank if box 5 is checked or if the securities sold were acquired on a variety of dates. For short sales, the date shown is the date you acquired the security delivered to close the short sale.

**Box 1c.** Shows the trade date of the sale or exchange. For short sales, the date shown is the date the security was delivered to close the short sale. For aggregate reporting in boxes 8 through 11, no entry will be present.

**Box 1d.** Shows the cash proceeds, reduced by any commissions or transfer taxes related to the sale, for transactions involving stocks, debt, commodities, forward contracts, non-Section 1256 option contracts, or securities futures contracts. May show the proceeds from the disposition of your interest(s) in a widely held fixed investment trust. May also show the aggregate amount of cash and the fair market value of any stock or other property received in a reportable change in control or capital structure arising from the corporate transfer of property to a foreign corporation. Losses on forward contracts or non-Section 1256 option contracts are shown in parentheses. This box does not include proceeds from regulated futures contracts or Section 1256 option contracts. Report this amount on Form 8949 or on Schedule D (Form 1040 or 1040-SR) (whichever is applicable) as explained in the Instructions for Schedule D (Form 1040 or 1040-SR).

**Box 1e.** Shows the cost or other basis of securities sold. If the securities were acquired through the exercise of a noncompensatory option granted or acquired on or after January 1, 2014, the basis has been adjusted to reflect your option premium. If the securities were acquired through the exercise of a noncompensatory option granted or acquired before January 1, 2014, your broker is permitted, but not required, to adjust the basis to

reflect your option premium. If the securities were acquired through the exercise of a compensatory option, the basis has not been adjusted to include any amount related to the option that was reported to you on a Form W-2. If box 5 is checked, box 1e may be blank. See the Instructions for Form 8949, Instructions for Schedule D (Form 1040 or 1040-SR), or Pub. 550 for details.

**Box 1f.** Shows the amount of accrued market discount. For details on market discount, see the Schedule D (Form 1040 or 1040-SR) instructions, the Instructions for Form 8949, and Pub. 550. If box 5 is checked, box 1f may be blank.

**Box 1g.** Shows the amount of nondeductible loss in a wash sale transaction. For details on wash sales, see the Schedule D (Form 1040 or 1040-SR) instructions, the Instructions for Form 8949, and Pub. 550. If box 5 is checked, box 1g may be blank.

**Box 2.** The short-term and long-term boxes pertain to short-term gain or loss and long-term gain or loss. If the "Ordinary" box is checked, your security may be subject to special rules. For example, gain on a contingent payment debt instrument subject to the noncontingent bond method generally is treated as ordinary interest income rather than as capital gain. See the Instructions for Form 8949, Pub. 550, or Pub. 1212 for more details on whether there are any special rules or adjustments that might apply to your security. If box 5 is checked, box 2 may be blank.

**Box 3.** If checked, proceeds are from a transaction involving collectibles or from a Qualified Opportunity Fund(QOF).

**Box 4.** Shows backup withholding. Generally, a payer must backup withhold if you did not furnish 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.** If checked, the securities sold were noncovered securities and boxes 1b, 1e, 1f, 1g, and 2 may be blank. Generally, a noncovered security means: stock purchased before 2011, stock in most mutual funds purchased before 2012, stock purchased in or transferred to a dividend reinvestment plan before 2012, debt acquired before 2014, options granted or acquired before 2014, and securities futures contracts entered into before 2014.

**Box 6.** If the exercise of a noncompensatory option resulted in a sale of a security, a checked "net proceeds" box indicates whether the amount in box 1d was adjusted for option premium.

**Box 7.** If checked, you cannot take a loss on your tax return based on gross proceeds from a reportable change in control or capital structure reported in box 1d. See the Form 8949 and Schedule D (Form 1040 or 1040-SR) instructions. The broker should advise you of any losses on a separate statement.

**Box 12.** If checked, the basis in box 1e has been reported to the IRS and either the short-term or the long-term gain or loss box in box 2 will be checked. If box 12 is checked on Form(s) 1099-B and NO adjustment is required, see the instructions for your Schedule D (Form 1040 or 1040-SR) as you may be able to report your transaction directly on Schedule D (Form 1040 or 1040-SR). If the "Ordinary" box in box 2 is checked, an adjustment may be required.

**Boxes 14-16.** Show state(s)/local income tax information.

**Future developments.** For the latest information about any developments related to Form 1099-B and its instructions, such as legislation enacted after they were published, go to [www.irs.gov/Form1099B](http://www.irs.gov/Form1099B).



Schwab One® Account of  
**JOHN C NORRIS**  
**DESIGNATED BENE PLAN/TOD**

Account Number  
**5401-6590**

**TAX YEAR 2020**  
**FORM 1099 COMPOSITE**

Date Prepared: February 12, 2021

## Notes for Your Form 1099-B

**Box 1b-Date acquired:** If there is more than one lot in a sell transaction, the acquisition date for the individual lot in the transaction can be found in the Realized Gain or (Loss) section of the Year-End Summary.

- (1) If **Box 1b-Date acquired** displays as VARIOUS, your sell transaction included multiple tax lots purchased on different acquisition dates within the same holding period and covered/non-covered status. The lots in the transaction are rolled up into a single sell transaction.
- (2) If the cost basis is missing or not provided, a short-term holding period may have been applied for a position that may have been held long term.

**Box 1d-Proceeds/Box 6-Reported to IRS: Gross proceeds (except where indicated):**

- (1) Gross proceeds from each of your security transactions are reported individually to the IRS.
- (2) Gross proceeds in aggregate are not reported to the IRS and should not be reported on your tax return.
- (3) Net proceeds will only be displayed if the proceeds on a trade have been adjusted for an option premium.

**Box 1e-Cost or other basis:** Schwab has provided cost basis information whenever possible for most investments. Cost basis data may be incomplete or unavailable for some of your holdings. When value for the report is unavailable, it is noted as follows:

- |                     |   |
|---------------------|---|
| <b>Not Provided</b> | Schwab is not providing Cost Basis on this security type.   |
| <b>Missing</b>      | <ol style="list-style-type: none"><li>(1) Cost Basis data may not be available for a number of reasons (for example, the security was purchased outside of Schwab and we did not receive cost basis from the transferring firm).</li><li>(2) The security was purchased more than 10 years ago.</li></ol> |

**Realized Gain or (Loss):** Realized Gain or (Loss) is not reported to the IRS.

**Box 2-Short-term gain or loss, Long-term gain or loss, or Ordinary:** Only if you have both long-term and short-term transactions will you receive both long-term and short-term sections of the 1099-B:

**Long-term gain or loss** has a holding period greater than one year.

**Short-term gain or loss** has a holding period of one year or less.

### Other Cost Basis Notes:

- (1) The cost basis and basis adjustments for covered securities are reported to the IRS.
- (2) If "BASIS IS REPORTED TO THE IRS" appears in the section heading, this indicates **Box 12-If checked, basis reported to IRS** is checked. If "BASIS IS AVAILABLE BUT NOT REPORTED" or "BASIS IS MISSING AND NOT REPORTED" appears, this indicates **Box 5-If checked, noncovered security** is checked. These boxes are not displayed on the 1099-B but the boxes are reported to the IRS and included in the download for TurboTax and H&R Block.
- (3) For non-covered securities appearing in sections of the 1099-B which include the headings "BASIS IS AVAILABLE BUT NOT REPORTED TO THE IRS" or "BASIS IS MISSING AND NOT REPORTED TO THE IRS", **Box 1b-Date acquired**, **1e-Cost or other basis**, **1f-Accrued Market Discount** and **1g-Wash Sale Loss Disallowed** are not reported to the IRS.

### \*\*Activity Codes (Not reported to the IRS)

<b>C</b> = Cash in Lieu	<b>E</b> = Exchange	<b>P</b> = Principal	<b>S</b> = Sale	<b>T</b> = Tender	<b>BC</b> = Buy to Close	<b>X</b> = Expiration
<b>CV</b> = Conversion	<b>M</b> = Cash Merger	<b>MT</b> = Maturity	<b>R</b> = Redemption	<b>SS</b> = Short Sale	<b>SC</b> = Sell to Close	

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.



Schwab One® Account of  
**JOHN C NORRIS**  
**DESIGNATED BENE PLAN/TOD**

Account Number  
**5401-6590**

**TAX YEAR 2020**  
**YEAR-END SUMMARY**

**YEAR-END SUMMARY INFORMATION IS NOT PROVIDED TO THE IRS.**

Date Prepared: February 12, 2021

The information in this and all subsequent sections is not provided to the IRS by Charles Schwab. It is provided to you as additional tax reporting information you may need to complete your tax return.

**SUPPLEMENTAL INFORMATION**

**Foreign Tax Paid and Income Summary**

Please note: This section only includes securities that had foreign tax paid.

Description	CUSIP Number	Country		Foreign Tax Paid	Dividends Amount	Interest Amount
BNY MELLON INTERNATIONAL	09661L500	RIC	\$	(2.40) \$	19.85 \$	0.00
ISHARE EDGE MSCI MIN VOL	46429B689	RIC	\$	(6.15) \$	50.13 \$	0.00
<b>Total Foreign Tax Paid and Income</b>			<b>\$</b>	<b>(8.55) \$</b>	<b>69.98 \$</b>	<b>0.00</b>



Schwab One® Account of  
**JOHN C NORRIS**  
**DESIGNATED BENE PLAN/TOD**

Account Number  
**5401-6590**

**TAX YEAR 2020**  
**FORM 1099 COMPOSITE**  
**& YEAR-END SUMMARY**

Date Prepared: February 12, 2021

## COST BASIS DISCLOSURE

### Changes to Cost Basis Reporting Requirements

Starting with the 2011 tax year, Charles Schwab & Co. will begin reporting adjusted cost basis to you and the IRS on your Form 1099-B for covered securities in your taxable brokerage accounts that you sell and that are covered by the new Emergency Stabilization Act regulations. In the event of transfers of securities, we are also required to report adjusted cost basis information to other custodians for covered securities transferred to them.

Schwab will treat securities as covered when they are acquired on or after the following effective dates:

- January 1, 2011 for stocks and other equities
- January 1, 2012 for mutual funds, ETFs, and Dividend Reinvestment Plan ("DRIP") shares
- January 1, 2014 for less complex fixed income and options, rights and warrants
- January 1, 2016 for more complex fixed income

Because these new reporting requirements could impact the cost basis used to compute your taxable gains and losses, it's important to understand when and how they will apply to you. The information in this document is intended as informational only and is not individualized tax advice. Schwab does not provide tax advice and encourages you to consult with your tax professional to understand how the new reporting requirements will affect you and your tax situation.

### What Does This Mean for You

1. When you sell covered securities, as described above, Schwab will be required to report details about your cost basis to you and the IRS on Form 1099-B. You will continue to be responsible for reporting all cost basis information for both covered and uncovered securities to the IRS on your tax returns.
2. Unless you've indicated otherwise, Schwab will calculate your gains and losses using the IRS default cost basis method of Average Cost for mutual funds and FIFO (First In, First Out) for all other securities. It is your responsibility to choose the cost basis method appropriate to your tax situation. See "Cost Basis Methods" for the methods offered by Schwab.
3. When you sell a security, the cost basis method used to calculate your gain or loss cannot be changed after your trade settles. So it's important to consider the tax implications at the time of trade.

### What is Cost Basis?

Cost basis is the original purchase price you paid for a security plus commissions and any fees. Adjusted cost basis includes any other adjustments to the price. Adjusted cost basis also includes any adjustments due to wash sales, amortization, accretion and corporate actions.

Your realized gain/loss on a security is determined by subtracting the adjusted cost basis from the sale proceeds in an account less commissions and fees.

For covered securities that were not both purchased and sold at Schwab, Schwab calculates cost basis using data that you have provided to us or that we have obtained from third-party sources

such as your prior custodian or another third-party source. Because the accuracy of cost basis data depends upon these third-party inputs, we are not able to guarantee the availability, accuracy, or completeness of such cost basis data on transactions that did not occur at Schwab. If we are not provided with adequate information to report cost basis data for covered securities that were not both purchased and sold at Schwab, those securities will be considered uncovered and the cost basis will not be reported to the IRS even if acquired after the effective date.

### Cost Basis Methods

It is your responsibility to choose the cost basis method appropriate to your tax situation. Failure to select the proper cost basis method may cause you to pay more tax than necessary. Schwab does not provide tax advice and encourages you to consult with your tax professional regarding this decision.

To view and change your default cost basis method on your brokerage account, go to the Service tab on schwab.com, then the Cost Basis Method page in Account Settings. You can also make a change by calling 800-435-4000. If your account is managed by an investment advisor, please call your advisor to make a change.

### Default Cost Basis Methods

We apply the IRS default method of Average Cost for your mutual funds and the default method of FIFO (First In, First Out) to all other securities unless you inform us of a preferred method.

FIFO	Shares you acquired first are sold first
Average Cost	Cost is derived by dividing the total dollar amount invested in a particular fund position by the number of shares held prior to the trade date. Shares are removed in FIFO order.

### Cost Basis Methods Offered by Schwab:

You may select a different cost basis method for your brokerage account other than the default methods described above. The following cost basis methods are offered by Schwab:

<b>FIFO (First In, First Out)</b>	Shares you acquired first are sold first
<b>LIFO (Last In, First Out)</b>	Shares you acquired last are sold first
<b>HCOST (High Cost)</b>	Shares with the highest cost are sold first
<b>LCOST (Low Cost)</b>	Shares with lowest cost are sold first
<b>Average Cost (mutual funds only)</b>	Cost is derived by dividing the total dollar amount invested in a particular fund position by the number of shares held prior to the trade date. Shares are removed in FIFO order.
<b>Specific Identification</b>	The IRS allows taxpayers to identify specific lots to be sold. Such identification must be made with the broker at the time of trade and no later than close of business on the day the trade settles.



Schwab One® Trust Account of  
**N NORRIS & J NORRIS TTEE**  
**NINA K NORRIS TRUST**  
**U/A DTD 08/22/2006**

**Account Number**  
**9306-1401**

**TAX YEAR 2020**  
**FORM 1099 COMPOSITE**

## INSTRUCTIONS FOR RECIPIENTS OF FORM 1099

### 1099-B: Proceeds from Broker Transactions

Brokers and barter exchanges must report proceeds from (and in some cases, basis for) transactions to you and the IRS on Form 1099-B. Reporting is also required when your broker knows or has reason to know that a corporation in which you own stock has had a reportable change in control or capital structure. You may be required to recognize gain from the receipt of cash, stock, or other property that was exchanged for the corporation's stock. If your broker reported this type of transaction to you, the corporation is identified in box 1a.

**Recipient's taxpayer identification number (TIN).** For your protection, this form may show only the last four digits of your TIN (social security number (SSN), individual taxpayer identification number (ITIN), adoption taxpayer identification number (ATIN), or employer identification number (EIN)). However, the issuer has reported your complete TIN to the IRS.

**Account number.** May show an account or other unique number the payer assigned to distinguish your account.

**CUSIP number.** Shows the CUSIP (Committee on Uniform Security Identification Procedures) number or other applicable identifying number.

**FATCA filing requirement.** If the FATCA filing requirement box is checked, the payer is reporting on this Form 1099 to satisfy its chapter 4 account reporting requirement. You may also have a filing requirement. See the Instructions for Form 8938.

**Applicable checkbox on Form 8949.** Indicates where to report this transaction on Form 8949 and Schedule D (Form 1040 or 1040-SR), and which checkbox is applicable. See the instructions for your Schedule D (Form 1040 or 1040-SR) and/or Form 8949.

**Box 1a.** Shows a brief description of the item or service for which amounts are being reported. For a corporation that had a reportable change in control or capital structure, this box may show the class of stock as C (common), P (preferred), or O (other).

**Box 1b.** This box may be blank if box 5 is checked or if the securities sold were acquired on a variety of dates. For short sales, the date shown is the date you acquired the security delivered to close the short sale.

**Box 1c.** Shows the trade date of the sale or exchange. For short sales, the date shown is the date the security was delivered to close the short sale. For aggregate reporting in boxes 8 through 11, no entry will be present.

**Box 1d.** Shows the cash proceeds, reduced by any commissions or transfer taxes related to the sale, for transactions involving stocks, debt, commodities, forward contracts, non-Section 1256 option contracts, or securities futures contracts. May show the proceeds from the disposition of your interest(s) in a widely held fixed investment trust. May also show the aggregate amount of cash and the fair market value of any stock or other property received in a reportable change in control or capital structure arising from the corporate transfer of property to a foreign corporation. Losses on forward contracts or non-Section 1256 option contracts are shown in parentheses. This box does not include proceeds from regulated futures contracts or Section 1256 option contracts. Report this amount on Form 8949 or on Schedule D (Form 1040 or 1040-SR) (whichever is applicable) as explained in the Instructions for Schedule D (Form 1040 or 1040-SR).

**Box 1e.** Shows the cost or other basis of securities sold. If the securities were acquired through the exercise of a noncompensatory option granted or acquired on or after January 1, 2014, the basis has been adjusted to reflect your option premium. If the securities were acquired through the exercise of a noncompensatory option granted or acquired before January 1, 2014, your broker is permitted, but not required, to adjust the basis to

reflect your option premium. If the securities were acquired through the exercise of a compensatory option, the basis has not been adjusted to include any amount related to the option that was reported to you on a Form W-2. If box 5 is checked, box 1e may be blank. See the Instructions for Form 8949, Instructions for Schedule D (Form 1040 or 1040-SR), or Pub. 550 for details.

**Box 1f.** Shows the amount of accrued market discount. For details on market discount, see the Schedule D (Form 1040 or 1040-SR) instructions, the Instructions for Form 8949, and Pub. 550. If box 5 is checked, box 1f may be blank.

**Box 1g.** Shows the amount of nondeductible loss in a wash sale transaction. For details on wash sales, see the Schedule D (Form 1040 or 1040-SR) instructions, the Instructions for Form 8949, and Pub. 550. If box 5 is checked, box 1g may be blank.

**Box 2.** The short-term and long-term boxes pertain to short-term gain or loss and long-term gain or loss. If the "Ordinary" box is checked, your security may be subject to special rules. For example, gain on a contingent payment debt instrument subject to the noncontingent bond method generally is treated as ordinary interest income rather than as capital gain. See the Instructions for Form 8949, Pub. 550, or Pub. 1212 for more details on whether there are any special rules or adjustments that might apply to your security. If box 5 is checked, box 2 may be blank.

**Box 3.** If checked, proceeds are from a transaction involving collectibles or from a Qualified Opportunity Fund(QOF).

**Box 4.** Shows backup withholding. Generally, a payer must backup withhold if you did not furnish 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.** If checked, the securities sold were noncovered securities and boxes 1b, 1e, 1f, 1g, and 2 may be blank. Generally, a noncovered security means: stock purchased before 2011, stock in most mutual funds purchased before 2012, stock purchased in or transferred to a dividend reinvestment plan before 2012, debt acquired before 2014, options granted or acquired before 2014, and securities futures contracts entered into before 2014.

**Box 6.** If the exercise of a noncompensatory option resulted in a sale of a security, a checked "net proceeds" box indicates whether the amount in box 1d was adjusted for option premium.

**Box 7.** If checked, you cannot take a loss on your tax return based on gross proceeds from a reportable change in control or capital structure reported in box 1d. See the Form 8949 and Schedule D (Form 1040 or 1040-SR) instructions. The broker should advise you of any losses on a separate statement.

**Box 12.** If checked, the basis in box 1e has been reported to the IRS and either the short-term or the long-term gain or loss box in box 2 will be checked. If box 12 is checked on Form(s) 1099-B and NO adjustment is required, see the instructions for your Schedule D (Form 1040 or 1040-SR) as you may be able to report your transaction directly on Schedule D (Form 1040 or 1040-SR). If the "Ordinary" box in box 2 is checked, an adjustment may be required.

**Boxes 14-16.** Show state(s)/local income tax information.

**Future developments.** For the latest information about any developments related to Form 1099-B and its instructions, such as legislation enacted after they were published, go to [www.irs.gov/Form1099B](http://www.irs.gov/Form1099B).





Schwab One® Trust Account of  
**N NORRIS & J NORRIS TTEE**  
**NINA K NORRIS TRUST**  
**U/A DTD 08/22/2006**

Account Number  
**9306-1401**

**TAX YEAR 2020**  
**FORM 1099 COMPOSITE**

Taxpayer ID Number: \*\*\*-\*\*-8247

Date Prepared: February 12, 2021

**Proceeds from Broker Transactions — 2020 (continued)**

**Form 1099-B**

Department of the Treasury-Internal Revenue Service

Copy B for Recipient (OMB No. 1545-0715)

**LONG-TERM TRANSACTIONS FOR WHICH BASIS IS REPORTED TO THE IRS** - Report on Form 8949, Part II, with **Box D** checked.

1a-Description of property (Example 100 sh. XYZ Co.) CUSIP Number / Symbol	1b-Date acquired  1c-Date sold or disposed	1d-Proceeds 6-Reported to IRS: Gross Proceeds (except where indicated)	1e-Cost or other basis	1f-Accrued Market Discount  1g-Wash Sale Loss Disallowed	Realized Gain or (Loss)	4-Federal Income tax withheld
195 SCHWAB US AGGREGATE BONDETF 808524839 / SCHZ	S 12/18/18 03/12/20	\$ 10,078.36	\$ 9,823.40	-- \$ --	254.96 \$	0.00
<b>Security Subtotal</b>		<b>\$ 10,078.36</b>	<b>\$ 9,823.40</b>	<b>-- \$</b>	<b>254.96 \$</b>	<b>0.00</b>
<b>Total Long-Term (Cost basis is reported to the IRS)</b>		<b>\$ 49,529.99</b>	<b>\$ 49,896.89</b>	<b>-- \$</b>	<b>(366.90) \$</b>	<b>0.00</b>

FATCA Filing Requirement ☐

Please see the "Notes for Your Form 1099-B" section for additional explanation of this Form 1099-B report.

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.



Schwab One® Trust Account of  
N NORRIS & J NORRIS TTEE  
NINA K NORRIS TRUST  
U/A DTD 08/22/2006

Account Number  
9306-1401

**TAX YEAR 2020**  
**FORM 1099 COMPOSITE**

Taxpayer ID Number: \*\*\*-\*\*-8247

Date Prepared: February 12, 2021

**Proceeds from Broker Transactions — 2020 (continued)**

**Form 1099-B**

Department of the Treasury-Internal Revenue Service

Copy B for Recipient (OMB No. 1545-0715)

**LONG-TERM TRANSACTIONS FOR WHICH BASIS IS AVAILABLE BUT NOT REPORTED TO THE IRS** - Report on Form 8949, Part II, with **Box E** checked.

1a-Description of property (Example 100 sh. XYZ Co.) CUSIP Number / Symbol	**	1b-Date acquired	1d-Proceeds		1e-Cost or other basis	1f-Accrued Market Discount		Realized Gain or (Loss)	4-Federal Income tax withheld		
		1c-Date sold or disposed	6-Reported to IRS: Gross Proceeds (except where indicated)	1g-Wash Sale Loss Disallowed							
294 SCHWAB US SMALL CAP ETF	S	08/25/11	\$	21,484.20	\$	8,846.17	--	\$	12,638.03	\$	0.00
808524607 / SCHA		10/21/20					--				
Security Subtotal			\$	21,484.20	\$	8,846.17	--	\$	12,638.03	\$	0.00
							--				
Total Long-Term (Cost basis is available but not reported to the IRS)			\$	21,484.20	\$	8,846.17	--	\$	12,638.03	\$	0.00
							--				
Total Long-Term Sales Price of Stocks, Bonds, etc.			\$	71,014.19	\$	58,743.06	--	\$	12,271.13	\$	0.00
							--				
Total Sales Price of Stocks, Bonds, etc.			\$	71,014.19							
Total Federal Income Tax Withheld			\$	0.00							

FATCA Filing Requirement ☐

Please see the "Notes for Your Form 1099-B" section for additional explanation of this Form 1099-B report.

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.



Schwab One® Trust Account of  
**N NORRIS & J NORRIS TTEE**  
**NINA K NORRIS TRUST**  
**U/A DTD 08/22/2006**

Account Number  
**9306-1401**

**TAX YEAR 2020**  
**FORM 1099 COMPOSITE**

Date Prepared: February 12, 2021

## Notes for Your Form 1099-B

**Box 1b-Date acquired:** If there is more than one lot in a sell transaction, the acquisition date for the individual lot in the transaction can be found in the Realized Gain or (Loss) section of the Year-End Summary.

- (1) If **Box 1b-Date acquired** displays as VARIOUS, your sell transaction included multiple tax lots purchased on different acquisition dates within the same holding period and covered/non-covered status. The lots in the transaction are rolled up into a single sell transaction.
- (2) If the cost basis is missing or not provided, a short-term holding period may have been applied for a position that may have been held long term.

**Box 1d-Proceeds/Box 6-Reported to IRS: Gross proceeds (except where indicated):**

- (1) Gross proceeds from each of your security transactions are reported individually to the IRS.
- (2) Gross proceeds in aggregate are not reported to the IRS and should not be reported on your tax return.
- (3) Net proceeds will only be displayed if the proceeds on a trade have been adjusted for an option premium.

**Box 1e-Cost or other basis:** Schwab has provided cost basis information whenever possible for most investments. Cost basis data may be incomplete or unavailable for some of your holdings. When value for the report is unavailable, it is noted as follows:

- |                     |   |
|---------------------|---|
| <b>Not Provided</b> | Schwab is not providing Cost Basis on this security type.   |
| <b>Missing</b>      | <ol style="list-style-type: none"><li>(1) Cost Basis data may not be available for a number of reasons (for example, the security was purchased outside of Schwab and we did not receive cost basis from the transferring firm).</li><li>(2) The security was purchased more than 10 years ago.</li></ol> |

**Realized Gain or (Loss):** Realized Gain or (Loss) is not reported to the IRS.

**Box 2-Short-term gain or loss, Long-term gain or loss, or Ordinary:** Only if you have both long-term and short-term transactions will you receive both long-term and short-term sections of the 1099-B:

**Long-term gain or loss** has a holding period greater than one year.

**Short-term gain or loss** has a holding period of one year or less.

**Other Cost Basis Notes:**

- (1) The cost basis and basis adjustments for covered securities are reported to the IRS.
- (2) If "BASIS IS REPORTED TO THE IRS" appears in the section heading, this indicates **Box 12-If checked, basis reported to IRS** is checked. If "BASIS IS AVAILABLE BUT NOT REPORTED" or "BASIS IS MISSING AND NOT REPORTED" appears, this indicates **Box 5-If checked, noncovered security** is checked. These boxes are not displayed on the 1099-B but the boxes are reported to the IRS and included in the download for TurboTax and H&R Block.
- (3) For non-covered securities appearing in sections of the 1099-B which include the headings "BASIS IS AVAILABLE BUT NOT REPORTED TO THE IRS" or "BASIS IS MISSING AND NOT REPORTED TO THE IRS", **Box 1b-Date acquired**, **1e-Cost or other basis**, **1f-Accrued Market Discount** and **1g-Wash Sale Loss Disallowed** are not reported to the IRS.

**\*\*Activity Codes (Not reported to the IRS)**

<b>C</b> = Cash in Lieu	<b>E</b> = Exchange	<b>P</b> = Principal	<b>S</b> = Sale	<b>T</b> = Tender	<b>BC</b> = Buy to Close	<b>X</b> = Expiration
<b>CV</b> = Conversion	<b>M</b> = Cash Merger	<b>MT</b> = Maturity	<b>R</b> = Redemption	<b>SS</b> = Short Sale	<b>SC</b> = Sell to Close	

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.



Schwab One® Trust Account of  
N NORRIS & J NORRIS TTEE  
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U/A DTD 08/22/2006

Account Number  
9306-1401

## TAX YEAR 2020 YEAR-END SUMMARY

### YEAR-END SUMMARY INFORMATION IS NOT PROVIDED TO THE IRS.

Date Prepared: February 12, 2021

The information in this and all subsequent sections is not provided to the IRS by Charles Schwab. It is provided to you as additional tax reporting information you may need to complete your tax return.

### Detail Information of Interest Income

Description	CUSIP Number	Paid in 2020	Paid/Adjusted in 2021 for 2020	Amount
<b>Interest Income</b>				
DEPOSIT INTEREST		\$ 4.19	\$ 0.00	\$ 4.19
<b>Total Interest Income (Included in Box 1)</b>		<b>\$ 4.19</b>	<b>\$ 0.00</b>	<b>\$ 4.19</b>
<b>Total Interest Income (Box 1)</b>		<b>\$ 4.19</b>	<b>\$ 0.00</b>	<b>\$ 4.19</b>

### REALIZED GAIN OR (LOSS)

The information in the following sections include all your realized gain or (loss) transactions during the tax year. They may be helpful for, but not limited to, Schedule D. Please consult with your tax advisor or financial advisor regarding specific questions.

### Long-Term Realized Gain or (Loss)

This section is for covered securities and corresponds to transactions reported on your 1099-B as "cost basis is reported to the IRS." Report on Form 8949, Part II, with Box D checked.

Description OR Option Symbol	CUSIP Number	Quantity/Par	Date Acquired	Date Sold	Total Proceeds	(-)Cost Basis	(+)Wash Sale Loss Disallowed	(=)Realized Gain or (Loss)
GATEWAY A	367829207	115.27	05/04/18	03/19/20	\$ 3,525.08	\$ 3,786.75	-- \$	(261.67)
GATEWAY A	367829207	115.27	05/04/18	06/22/20	\$ 3,875.51	\$ 3,786.74	-- \$	88.77
<b>Security Subtotal</b>					<b>\$ 7,400.59</b>	<b>\$ 7,573.49</b>	<b>-- \$</b>	<b>(172.90)</b>
JPMORGAN STRATEGIC INCOME OPPORTS I	4812A4351	1,364.87	12/27/18	04/03/20	\$ 14,985.00	\$ 15,471.20	-- \$	(486.20)



Schwab One® Trust Account of  
**N NORRIS & J NORRIS TTEE**  
**NINA K NORRIS TRUST**  
**U/A DTD 08/22/2006**

Account Number  
**9306-1401**

**TAX YEAR 2020**  
**FORM 1099 COMPOSITE**  
**& YEAR-END SUMMARY**

Date Prepared: February 12, 2021

## COST BASIS DISCLOSURE

### Changes to Cost Basis Reporting Requirements

Starting with the 2011 tax year, Charles Schwab & Co. will begin reporting adjusted cost basis to you and the IRS on your Form 1099-B for covered securities in your taxable brokerage accounts that you sell and that are covered by the new Emergency Stabilization Act regulations. In the event of transfers of securities, we are also required to report adjusted cost basis information to other custodians for covered securities transferred to them.

Schwab will treat securities as covered when they are acquired on or after the following effective dates:

- January 1, 2011 for stocks and other equities
- January 1, 2012 for mutual funds, ETFs, and Dividend Reinvestment Plan ("DRIP") shares
- January 1, 2014 for less complex fixed income and options, rights and warrants
- January 1, 2016 for more complex fixed income

Because these new reporting requirements could impact the cost basis used to compute your taxable gains and losses, it's important to understand when and how they will apply to you. The information in this document is intended as informational only and is not individualized tax advice. Schwab does not provide tax advice and encourages you to consult with your tax professional to understand how the new reporting requirements will affect you and your tax situation.

### What Does This Mean for You

1. When you sell covered securities, as described above, Schwab will be required to report details about your cost basis to you and the IRS on Form 1099-B. You will continue to be responsible for reporting all cost basis information for both covered and uncovered securities to the IRS on your tax returns.
2. Unless you've indicated otherwise, Schwab will calculate your gains and losses using the IRS default cost basis method of Average Cost for mutual funds and FIFO (First In, First Out) for all other securities. It is your responsibility to choose the cost basis method appropriate to your tax situation. See "Cost Basis Methods" for the methods offered by Schwab.
3. When you sell a security, the cost basis method used to calculate your gain or loss cannot be changed after your trade settles. So it's important to consider the tax implications at the time of trade.

### What is Cost Basis?

Cost basis is the original purchase price you paid for a security plus commissions and any fees. Adjusted cost basis includes any other adjustments to the price. Adjusted cost basis also includes any adjustments due to wash sales, amortization, accretion and corporate actions.

Your realized gain/loss on a security is determined by subtracting the adjusted cost basis from the sale proceeds in an account less commissions and fees.

For covered securities that were not both purchased and sold at Schwab, Schwab calculates cost basis using data that you have provided to us or that we have obtained from third-party sources

such as your prior custodian or another third-party source. Because the accuracy of cost basis data depends upon these third-party inputs, we are not able to guarantee the availability, accuracy, or completeness of such cost basis data on transactions that did not occur at Schwab. If we are not provided with adequate information to report cost basis data for covered securities that were not both purchased and sold at Schwab, those securities will be considered uncovered and the cost basis will not be reported to the IRS even if acquired after the effective date.

### Cost Basis Methods

It is your responsibility to choose the cost basis method appropriate to your tax situation. Failure to select the proper cost basis method may cause you to pay more tax than necessary. Schwab does not provide tax advice and encourages you to consult with your tax professional regarding this decision.

To view and change your default cost basis method on your brokerage account, go to the Service tab on schwab.com, then the Cost Basis Method page in Account Settings. You can also make a change by calling 800-435-4000. If your account is managed by an investment advisor, please call your advisor to make a change.

### Default Cost Basis Methods

We apply the IRS default method of Average Cost for your mutual funds and the default method of FIFO (First In, First Out) to all other securities unless you inform us of a preferred method.

FIFO	Shares you acquired first are sold first
Average Cost	Cost is derived by dividing the total dollar amount invested in a particular fund position by the number of shares held prior to the trade date. Shares are removed in FIFO order.

### Cost Basis Methods Offered by Schwab:

You may select a different cost basis method for your brokerage account other than the default methods described above. The following cost basis methods are offered by Schwab:

<b>FIFO (First In, First Out)</b>	Shares you acquired first are sold first
<b>LIFO (Last In, First Out)</b>	Shares you acquired last are sold first
<b>HCOST (High Cost)</b>	Shares with the highest cost are sold first
<b>LCOST (Low Cost)</b>	Shares with lowest cost are sold first
<b>Average Cost (mutual funds only)</b>	Cost is derived by dividing the total dollar amount invested in a particular fund position by the number of shares held prior to the trade date. Shares are removed in FIFO order.
<b>Specific Identification</b>	The IRS allows taxpayers to identify specific lots to be sold. Such identification must be made with the broker at the time of trade and no later than close of business on the day the trade settles.



Schwab One® Account of  
**JOHN C NORRIS**  
**DESIGNATED BENE PLAN/TOD**

Account Number  
**9935-6660**

**TAX YEAR 2020**  
**FORM 1099 COMPOSITE**

## INSTRUCTIONS FOR RECIPIENTS OF FORM 1099 1099-B: Proceeds from Broker Transactions

Brokers and barter exchanges must report proceeds from (and in some cases, basis for) transactions to you and the IRS on Form 1099-B. Reporting is also required when your broker knows or has reason to know that a corporation in which you own stock has had a reportable change in control or capital structure. You may be required to recognize gain from the receipt of cash, stock, or other property that was exchanged for the corporation's stock. If your broker reported this type of transaction to you, the corporation is identified in box 1a.

**Recipient's taxpayer identification number (TIN).** For your protection, this form may show only the last four digits of your TIN (social security number (SSN), individual taxpayer identification number (ITIN), adoption taxpayer identification number (ATIN), or employer identification number (EIN)). However, the issuer has reported your complete TIN to the IRS.

**Account number.** May show an account or other unique number the payer assigned to distinguish your account.

**CUSIP number.** Shows the CUSIP (Committee on Uniform Security Identification Procedures) number or other applicable identifying number.

**FATCA filing requirement.** If the FATCA filing requirement box is checked, the payer is reporting on this Form 1099 to satisfy its chapter 4 account reporting requirement. You may also have a filing requirement. See the Instructions for Form 8938.

**Applicable checkbox on Form 8949.** Indicates where to report this transaction on Form 8949 and Schedule D (Form 1040 or 1040-SR), and which checkbox is applicable. See the instructions for your Schedule D (Form 1040 or 1040-SR) and/or Form 8949.

**Box 1a.** Shows a brief description of the item or service for which amounts are being reported. For a corporation that had a reportable change in control or capital structure, this box may show the class of stock as C (common), P (preferred), or O (other).

**Box 1b.** This box may be blank if box 5 is checked or if the securities sold were acquired on a variety of dates. For short sales, the date shown is the date you acquired the security delivered to close the short sale.

**Box 1c.** Shows the trade date of the sale or exchange. For short sales, the date shown is the date the security was delivered to close the short sale. For aggregate reporting in boxes 8 through 11, no entry will be present.

**Box 1d.** Shows the cash proceeds, reduced by any commissions or transfer taxes related to the sale, for transactions involving stocks, debt, commodities, forward contracts, non-Section 1256 option contracts, or securities futures contracts. May show the proceeds from the disposition of your interest(s) in a widely held fixed investment trust. May also show the aggregate amount of cash and the fair market value of any stock or other property received in a reportable change in control or capital structure arising from the corporate transfer of property to a foreign corporation. Losses on forward contracts or non-Section 1256 option contracts are shown in parentheses. This box does not include proceeds from regulated futures contracts or Section 1256 option contracts. Report this amount on Form 8949 or on Schedule D (Form 1040 or 1040-SR) (whichever is applicable) as explained in the Instructions for Schedule D (Form 1040 or 1040-SR).

**Box 1e.** Shows the cost or other basis of securities sold. If the securities were acquired through the exercise of a noncompensatory option granted or acquired on or after January 1, 2014, the basis has been adjusted to reflect your option premium. If the securities were acquired through the exercise of a noncompensatory option granted or acquired before January 1, 2014, your broker is permitted, but not required, to adjust the basis to

reflect your option premium. If the securities were acquired through the exercise of a compensatory option, the basis has not been adjusted to include any amount related to the option that was reported to you on a Form W-2. If box 5 is checked, box 1e may be blank. See the Instructions for Form 8949, Instructions for Schedule D (Form 1040 or 1040-SR), or Pub. 550 for details.

**Box 1f.** Shows the amount of accrued market discount. For details on market discount, see the Schedule D (Form 1040 or 1040-SR) instructions, the Instructions for Form 8949, and Pub. 550. If box 5 is checked, box 1f may be blank.

**Box 1g.** Shows the amount of nondeductible loss in a wash sale transaction. For details on wash sales, see the Schedule D (Form 1040 or 1040-SR) instructions, the Instructions for Form 8949, and Pub. 550. If box 5 is checked, box 1g may be blank.

**Box 2.** The short-term and long-term boxes pertain to short-term gain or loss and long-term gain or loss. If the "Ordinary" box is checked, your security may be subject to special rules. For example, gain on a contingent payment debt instrument subject to the noncontingent bond method generally is treated as ordinary interest income rather than as capital gain. See the Instructions for Form 8949, Pub. 550, or Pub. 1212 for more details on whether there are any special rules or adjustments that might apply to your security. If box 5 is checked, box 2 may be blank.

**Box 3.** If checked, proceeds are from a transaction involving collectibles or from a Qualified Opportunity Fund(QOF).

**Box 4.** Shows backup withholding. Generally, a payer must backup withhold if you did not furnish 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.** If checked, the securities sold were noncovered securities and boxes 1b, 1e, 1f, 1g, and 2 may be blank. Generally, a noncovered security means: stock purchased before 2011, stock in most mutual funds purchased before 2012, stock purchased in or transferred to a dividend reinvestment plan before 2012, debt acquired before 2014, options granted or acquired before 2014, and securities futures contracts entered into before 2014.

**Box 6.** If the exercise of a noncompensatory option resulted in a sale of a security, a checked "net proceeds" box indicates whether the amount in box 1d was adjusted for option premium.

**Box 7.** If checked, you cannot take a loss on your tax return based on gross proceeds from a reportable change in control or capital structure reported in box 1d. See the Form 8949 and Schedule D (Form 1040 or 1040-SR) instructions. The broker should advise you of any losses on a separate statement.

**Box 12.** If checked, the basis in box 1e has been reported to the IRS and either the short-term or the long-term gain or loss box in box 2 will be checked. If box 12 is checked on Form(s) 1099-B and NO adjustment is required, see the instructions for your Schedule D (Form 1040 or 1040-SR) as you may be able to report your transaction directly on Schedule D (Form 1040 or 1040-SR). If the "Ordinary" box in box 2 is checked, an adjustment may be required.

**Boxes 14-16.** Show state(s)/local income tax information.

**Future developments.** For the latest information about any developments related to Form 1099-B and its instructions, such as legislation enacted after they were published, go to [www.irs.gov/Form1099B](http://www.irs.gov/Form1099B).



Schwab One® Account of  
**JOHN C NORRIS**  
**DESIGNATED BENE PLAN/TOD**

Account Number  
**9935-6660**

**TAX YEAR 2020**  
**FORM 1099 COMPOSITE**

Date Prepared: February 12, 2021

## Notes for Your Form 1099-B

**Box 1b-Date acquired:** If there is more than one lot in a sell transaction, the acquisition date for the individual lot in the transaction can be found in the Realized Gain or (Loss) section of the Year-End Summary.

- (1) If **Box 1b-Date acquired** displays as VARIOUS, your sell transaction included multiple tax lots purchased on different acquisition dates within the same holding period and covered/non-covered status. The lots in the transaction are rolled up into a single sell transaction.
- (2) If the cost basis is missing or not provided, a short-term holding period may have been applied for a position that may have been held long term.

**Box 1d-Proceeds/Box 6-Reported to IRS: Gross proceeds (except where indicated):**

- (1) Gross proceeds from each of your security transactions are reported individually to the IRS.
- (2) Gross proceeds in aggregate are not reported to the IRS and should not be reported on your tax return.
- (3) Net proceeds will only be displayed if the proceeds on a trade have been adjusted for an option premium.

**Box 1e-Cost or other basis:** Schwab has provided cost basis information whenever possible for most investments. Cost basis data may be incomplete or unavailable for some of your holdings. When value for the report is unavailable, it is noted as follows:

- |                     |   |
|---------------------|---|
| <b>Not Provided</b> | Schwab is not providing Cost Basis on this security type.   |
| <b>Missing</b>      | <ol style="list-style-type: none"><li>(1) Cost Basis data may not be available for a number of reasons (for example, the security was purchased outside of Schwab and we did not receive cost basis from the transferring firm).</li><li>(2) The security was purchased more than 10 years ago.</li></ol> |

**Realized Gain or (Loss):** Realized Gain or (Loss) is not reported to the IRS.

**Box 2-Short-term gain or loss, Long-term gain or loss, or Ordinary:** Only if you have both long-term and short-term transactions will you receive both long-term and short-term sections of the 1099-B:

**Long-term gain or loss** has a holding period greater than one year.

**Short-term gain or loss** has a holding period of one year or less.

### Other Cost Basis Notes:

- (1) The cost basis and basis adjustments for covered securities are reported to the IRS.
- (2) If "BASIS IS REPORTED TO THE IRS" appears in the section heading, this indicates **Box 12-If checked, basis reported to IRS** is checked. If "BASIS IS AVAILABLE BUT NOT REPORTED" or "BASIS IS MISSING AND NOT REPORTED" appears, this indicates **Box 5-If checked, noncovered security** is checked. These boxes are not displayed on the 1099-B but the boxes are reported to the IRS and included in the download for TurboTax and H&R Block.
- (3) For non-covered securities appearing in sections of the 1099-B which include the headings "BASIS IS AVAILABLE BUT NOT REPORTED TO THE IRS" or "BASIS IS MISSING AND NOT REPORTED TO THE IRS", **Box 1b-Date acquired**, **1e-Cost or other basis**, **1f-Accrued Market Discount** and **1g-Wash Sale Loss Disallowed** are not reported to the IRS.

### \*\*Activity Codes (Not reported to the IRS)

<b>C</b> = Cash in Lieu	<b>E</b> = Exchange	<b>P</b> = Principal	<b>S</b> = Sale	<b>T</b> = Tender	<b>BC</b> = Buy to Close	<b>X</b> = Expiration
<b>CV</b> = Conversion	<b>M</b> = Cash Merger	<b>MT</b> = Maturity	<b>R</b> = Redemption	<b>SS</b> = Short Sale	<b>SC</b> = Sell to Close	

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.



Schwab One® Account of  
**JOHN C NORRIS**  
**DESIGNATED BENE PLAN/TOD**

Account Number  
**9935-6660**

**TAX YEAR 2020**  
**YEAR-END SUMMARY**

**YEAR-END SUMMARY INFORMATION IS NOT PROVIDED TO THE IRS.**

Date Prepared: February 12, 2021

The information in this and all subsequent sections is not provided to the IRS by Charles Schwab. It is provided to you as additional tax reporting information you may need to complete your tax return.

**SUPPLEMENTAL INFORMATION**

**Foreign Tax Paid and Income Summary**

Please note: This section only includes securities that had foreign tax paid.

Description	CUSIP Number	Country		Foreign Tax Paid	Dividends Amount	Interest Amount
BNY MELLON INTERNATIONAL	09661L500	RIC	\$	(2.40) \$	19.85 \$	0.00
<b>Total Foreign Tax Paid and Income</b>			\$	<b>(2.40) \$</b>	<b>19.85 \$</b>	<b>0.00</b>





Schwab One® Account of  
**JOHN C NORRIS**  
**DESIGNATED BENE PLAN/TOD**

Account Number  
**9935-6660**

**TAX YEAR 2020**  
**FORM 1099 COMPOSITE**  
**& YEAR-END SUMMARY**

Date Prepared: February 12, 2021

## COST BASIS DISCLOSURE

### Changes to Cost Basis Reporting Requirements

Starting with the 2011 tax year, Charles Schwab & Co. will begin reporting adjusted cost basis to you and the IRS on your Form 1099-B for covered securities in your taxable brokerage accounts that you sell and that are covered by the new Emergency Stabilization Act regulations. In the event of transfers of securities, we are also required to report adjusted cost basis information to other custodians for covered securities transferred to them.

Schwab will treat securities as covered when they are acquired on or after the following effective dates:

- January 1, 2011 for stocks and other equities
- January 1, 2012 for mutual funds, ETFs, and Dividend Reinvestment Plan ("DRIP") shares
- January 1, 2014 for less complex fixed income and options, rights and warrants
- January 1, 2016 for more complex fixed income

Because these new reporting requirements could impact the cost basis used to compute your taxable gains and losses, it's important to understand when and how they will apply to you. The information in this document is intended as informational only and is not individualized tax advice. Schwab does not provide tax advice and encourages you to consult with your tax professional to understand how the new reporting requirements will affect you and your tax situation.

### What Does This Mean for You

1. When you sell covered securities, as described above, Schwab will be required to report details about your cost basis to you and the IRS on Form 1099-B. You will continue to be responsible for reporting all cost basis information for both covered and uncovered securities to the IRS on your tax returns.
2. Unless you've indicated otherwise, Schwab will calculate your gains and losses using the IRS default cost basis method of Average Cost for mutual funds and FIFO (First In, First Out) for all other securities. It is your responsibility to choose the cost basis method appropriate to your tax situation. See "Cost Basis Methods" for the methods offered by Schwab.
3. When you sell a security, the cost basis method used to calculate your gain or loss cannot be changed after your trade settles. So it's important to consider the tax implications at the time of trade.

### What is Cost Basis?

Cost basis is the original purchase price you paid for a security plus commissions and any fees. Adjusted cost basis includes any other adjustments to the price. Adjusted cost basis also includes any adjustments due to wash sales, amortization, accretion and corporate actions.

Your realized gain/loss on a security is determined by subtracting the adjusted cost basis from the sale proceeds in an account less commissions and fees.

For covered securities that were not both purchased and sold at Schwab, Schwab calculates cost basis using data that you have provided to us or that we have obtained from third-party sources

such as your prior custodian or another third-party source. Because the accuracy of cost basis data depends upon these third-party inputs, we are not able to guarantee the availability, accuracy, or completeness of such cost basis data on transactions that did not occur at Schwab. If we are not provided with adequate information to report cost basis data for covered securities that were not both purchased and sold at Schwab, those securities will be considered uncovered and the cost basis will not be reported to the IRS even if acquired after the effective date.

### Cost Basis Methods

It is your responsibility to choose the cost basis method appropriate to your tax situation. Failure to select the proper cost basis method may cause you to pay more tax than necessary. Schwab does not provide tax advice and encourages you to consult with your tax professional regarding this decision.

To view and change your default cost basis method on your brokerage account, go to the Service tab on schwab.com, then the Cost Basis Method page in Account Settings. You can also make a change by calling 800-435-4000. If your account is managed by an investment advisor, please call your advisor to make a change.

### Default Cost Basis Methods

We apply the IRS default method of Average Cost for your mutual funds and the default method of FIFO (First In, First Out) to all other securities unless you inform us of a preferred method.

FIFO	Shares you acquired first are sold first
Average Cost	Cost is derived by dividing the total dollar amount invested in a particular fund position by the number of shares held prior to the trade date. Shares are removed in FIFO order.

### Cost Basis Methods Offered by Schwab:

You may select a different cost basis method for your brokerage account other than the default methods described above. The following cost basis methods are offered by Schwab:

<b>FIFO (First In, First Out)</b>	Shares you acquired first are sold first
<b>LIFO (Last In, First Out)</b>	Shares you acquired last are sold first
<b>HCOST (High Cost)</b>	Shares with the highest cost are sold first
<b>LCOST (Low Cost)</b>	Shares with lowest cost are sold first
<b>Average Cost (mutual funds only)</b>	Cost is derived by dividing the total dollar amount invested in a particular fund position by the number of shares held prior to the trade date. Shares are removed in FIFO order.
<b>Specific Identification</b>	The IRS allows taxpayers to identify specific lots to be sold. Such identification must be made with the broker at the time of trade and no later than close of business on the day the trade settles.

The Northern Trust Company  
Benefit Payment Services  
50 S LaSalle St. C2N  
Chicago, IL 60603-1003



01071059774 089192 1 0110 22441 44885 1/1 BIN:0



JOHN C NORRIS  
379 SW ASHBY LN  
PALM CITY FL 34990-1761



☐ Corrected (if checked)

PAYER'S name, street address, city or town, state or province, country, ZIP or foreign postal code, and phone no. <b>The Northern Trust Company</b> <i>Benefit Payment Services C-2N 50 S. LaSalle St. Chicago, Illinois 60603</i> <i>As Paying Agent for:</i>  <b>0053 CCT</b> <b>COCA-COLA COMPANY</b> <b>THE COCA-COLA COMPANY MASTER</b> <b>877-676-7656</b>			1 Gross distribution <b>\$22,392.00</b>		OMB No. 1545-0119 <b>2020</b> Form 1099-R		Distributions From Pensions, Annuities, Retirement or Profit-Sharing Plans, IRAs, Insurance Contracts, etc.  Copy B Report this income on your federal tax return. If this form shows federal income tax withheld in box 4, attach this copy to your return.  This information is being furnished to the IRS					
PAYER'S TIN <b>36-3046063</b>			2a Taxable amount <b>\$22,392.00</b>		2b Taxable amount not determined <input type="checkbox"/> Total distribution <input type="checkbox"/>							
RECIPIENT'S TIN <b>***-**-6282</b>			3 Capital gain (included in box 2a) <b>\$0.00</b>		4 Federal income tax withheld <b>\$0.00</b>							
RECIPIENT'S name, street address (including apt. no.), city or town, state or province, country, and ZIP or foreign postal code  <b>JOHN C NORRIS</b> <b>379 SW ASHBY LN</b> <b>PALM CITY FL 34990-1761</b>			5 Employee contributions/ Designated Roth contributions or insurance premiums <b>\$0.00</b>		6 Net unrealized appreciation in employer's securities <b>\$0.00</b>							
14 State tax withheld <b>\$0.00</b>			15 State/Payer's state no.		16 State distribution <b>\$0.00</b>		17 Local tax withheld <b>\$0.00</b>		18 Name of locality		19 Local distribution <b>\$0.00</b>	

Substitute Form 1099-R

☐ Corrected (if checked)

PAYER'S name, street address, city or town, state or province, country, ZIP or foreign postal code, and phone no. <b>The Northern Trust Company</b> <i>Benefit Payment Services C-2N 50 S. LaSalle St. Chicago, Illinois 60603</i> <i>As Paying Agent for:</i>  <b>0053 CCT</b> <b>COCA-COLA COMPANY</b> <b>THE COCA-COLA COMPANY MASTER</b> <b>877-676-7656</b>			1 Gross distribution <b>\$22,392.00</b>		OMB No. 1545-0119 <b>2020</b> Form 1099-R		Distributions From Pensions, Annuities, Retirement or Profit-Sharing Plans, IRAs, Insurance Contracts, etc.  Copy C For Recipient's Records  This information is being furnished to the IRS					
PAYER'S TIN <b>36-3046063</b>			2a Taxable amount <b>\$22,392.00</b>		2b Taxable amount not determined <input type="checkbox"/> Total distribution <input type="checkbox"/>							
RECIPIENT'S TIN <b>***-**-6282</b>			3 Capital gain (included in box 2a) <b>\$0.00</b>		4 Federal income tax withheld <b>\$0.00</b>							
RECIPIENT'S name, street address (including apt. no.), city or town, state or province, country, and ZIP or foreign postal code  <b>JOHN C NORRIS</b> <b>379 SW ASHBY LN</b> <b>PALM CITY FL 34990-1761</b>			5 Employee contributions/ Designated Roth contributions or insurance premiums <b>\$0.00</b>		6 Net unrealized appreciation in employer's securities <b>\$0.00</b>							
14 State tax withheld <b>\$0.00</b>			15 State/Payer's state no.		16 State distribution <b>\$0.00</b>		17 Local tax withheld <b>\$0.00</b>		18 Name of locality		19 Local distribution <b>\$0.00</b>	

Substitute Form 1099-R

☐ Corrected (if checked)

PAYER'S name, street address, city or town, state or province, country, ZIP or foreign postal code, and phone no. <b>The Northern Trust Company</b> <i>Benefit Payment Services C-2N 50 S. LaSalle St. Chicago, Illinois 60603</i> <i>As Paying Agent for:</i>  <b>0053 CCT</b> <b>COCA-COLA COMPANY</b> <b>THE COCA-COLA COMPANY MASTER</b> <b>877-676-7656</b>			1 Gross distribution <b>\$22,392.00</b>		OMB No. 1545-0119 <b>2020</b> Form 1099-R		Distributions From Pensions, Annuities, Retirement or Profit-Sharing Plans, IRAs, Insurance Contracts, etc.  Copy 2 File this copy with your state, city, or local income tax return, when required.					
PAYER'S TIN <b>36-3046063</b>			2a Taxable amount <b>\$22,392.00</b>		2b Taxable amount not determined <input type="checkbox"/> Total distribution <input type="checkbox"/>							
RECIPIENT'S TIN <b>***-**-6282</b>			3 Capital gain (included in box 2a) <b>\$0.00</b>		4 Federal income tax withheld <b>\$0.00</b>							
RECIPIENT'S name, street address (including apt. no.), city or town, state or province, country, and ZIP or foreign postal code  <b>JOHN C NORRIS</b> <b>379 SW ASHBY LN</b> <b>PALM CITY FL 34990-1761</b>			5 Employee contributions/ Designated Roth contributions or insurance premiums <b>\$0.00</b>		6 Net unrealized appreciation in employer's securities <b>\$0.00</b>							
14 State tax withheld <b>\$0.00</b>			15 State/Payer's state no.		16 State distribution <b>\$0.00</b>		17 Local tax withheld <b>\$0.00</b>		18 Name of locality		19 Local distribution <b>\$0.00</b>	

Substitute Form 1099-R

F  
R  
O  
M

HILL, BARTH & KING LLC  
1000 SE MONTEREY COMMONS BLVD. STE 101  
STUART, FL 34996-3327

only

## 2020 TAX ORGANIZER

T  
O

JOHN C. & NINA K. NORRIS  
379 SW ASHBY LANE  
PALM CITY, FL 34990-1761

✓✓ Stimulus payments

\$1,200 \* MARCH/  
APRIL  
ONE

none for 2<sup>nd</sup>

Rachel

Formulation WD'S

\$4,000 - RCMA

ELSE - St. Mary's

- HRK

This tax organizer has been prepared for your use in gathering the information needed for your 2020 tax return.

To save you time, selected information from your 2019 tax return has been entered in this organizer. Please line through any information that does not apply to your 2020 tax return.

In some cases, 2019 amounts have been included in a separate column. These amounts are for comparison purposes only. You do not need to change these prior year amounts.

If we may be of further assistance, please contact us at your convenience.

(772) 287-4480

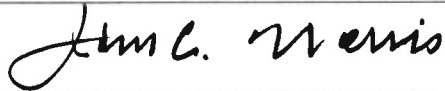

REMOVE THIS SHEET PRIOR TO RETURNING THE COMPLETED ORGANIZER

F  
R  
O  
MJOHN C. & NINA K. NORRIS  
379 SW ASHBY LANE  
PALM CITY, FL 34990-1761

## 2020 TAX ORGANIZER

T  
OHILL, BARTH & KING LLC  
1000 SE MONTEREY COMMONS BLVD. STE 101  
STUART, FL 34996-3327

I (We) have submitted this information for the sole purpose of preparing my (our) tax return(s). Each item can be substantiated by receipts, canceled checks or other documents. This information is true, correct and complete to the best of my (our) knowledge.

Taxpayer Signature		Date	2/26/21
Spouse Signature		Date	2/26/21

**Topic Index****1**

	<b><u>Form</u></b>
Alimony Paid or Received .....	13
Annuity Payments Received .....	9A
Application of Refund .....	20
Business Income and Expenses .....	6, 6A
Business Use of Home:	
Business .....	6D
Employee Business Expenses .....	17B
Farm .....	12E
Itemized Deductions .....	16A
Passthrough .....	11B
Rental .....	10E
Calendar .....	33
Casualty or Theft Losses .....	16
Child and Dependent Care Expenses .....	18
Consolidated Brokerage Statements:	
Interest Income & Foreign Information .....	5E
Dividend Income & Foreign Information .....	5F
Sales of Stocks, Securities, Capital Assets & Misc. Income .....	5G
Contributions .....	15
Dependent Information .....	3A
Depreciable Property and Equipment:	
Business .....	6A
Employee Business Expenses .....	17A
Farm .....	12B
Rental and Royalty .....	10B
Direct Deposit Information .....	4A
Dividend Income .....	5B
Education Expenses .....	18
Educator (Teacher) Expenses .....	13A
Electronic Filing .....	4
Employee Business Expenses .....	17, 17A
Estate Income .....	11
Farm Income and Expenses .....	12, 12A, 12B
Federal, State and City Estimated Taxes .....	20, 20A
Foreign Assets .....	5C, 5D
Foreign Employment Information .....	30, 30A, 30B
Foreign Housing Expenses .....	30C
Foreign Taxes .....	32
Foreign Travel and Workdays .....	30D
Foreign Wages and Other Income .....	31, 31A, 31B

	<b><u>Form</u></b>
Gambling Winnings .....	21
Gifts .....	34, 35
Health Savings Accounts .....	13A
Household Employment Taxes .....	19
Installment Sale Receipts .....	7
Interest Income .....	5A
Interest Paid .....	14A
Investment Interest Expense .....	14A
IRA Contributions .....	9
IRA Distributions .....	9
Keogh Plan Contributions .....	9A
Medical and Dental Expenses .....	14
Ministerial Income .....	13B
Miscellaneous Income and Adjustments .....	13
Miscellaneous Itemized Deductions .....	16
Mortgage Interest Paid .....	14A
Moving Expenses .....	8
Partnership Income .....	11
Pension Income .....	9A
Personal Information .....	3
Railroad Retirement Benefits .....	13
Real Estate Mortgage Investment Conduit Income (REMIC) .....	11
Rental and Royalty Income and Expenses .....	10, 10A
Roth IRA Contributions/Conversions .....	9
S Corporation Income .....	11
Sale of Stock, Securities and Other Capital Assets .....	7
Sale of Your Home .....	8
Savings Bond Purchases .....	4B
SEP/SIMPLE Plan Contributions .....	9A
Social Security Benefits .....	13
State and Local Tax Refunds .....	13
Student Loan Interest .....	13A
Taxes Paid .....	14
Trust Income .....	11
Unemployment Compensation .....	13
Vehicle/Other Listed Property Information:	
Business .....	6B, 6C
Employee Business Expenses .....	17A
Farm .....	12C, 12D
Rental and Royalty .....	10C, 10D
Partnership/S Corporation .....	11A
Wages and Salaries .....	3A

## Questions (Page 1 of 5)

The following questions pertain to the 2020 tax year. For any question answered Yes, include supporting detail or documents.

### Personal Information:

	Yes	No
Did your marital status change?	<input type="checkbox"/>	<input checked="" type="checkbox"/>
Are you married?	<input checked="" type="checkbox"/>	<input type="checkbox"/>
If Yes, do you and your spouse want to file separate returns?	<input type="checkbox"/>	<input checked="" type="checkbox"/>
If No, are you in a domestic partnership, civil union, or other state-defined relationship?	<input type="checkbox"/>	<input type="checkbox"/>
Can you or your spouse be claimed as a dependent by another taxpayer?	<input type="checkbox"/>	<input checked="" type="checkbox"/>
Did you or your spouse serve in the military or were you or your spouse on active duty?	<input checked="" type="checkbox"/>	<input type="checkbox"/>

### Dependents:

Were there any changes in dependents from the prior year?	<input type="checkbox"/>	<input checked="" type="checkbox"/>
Note: Include non-child dependents for whom you provided more than half the support.		
Did you or your spouse pay for child care while you or your spouse worked or looked for work?	<input type="checkbox"/>	<input checked="" type="checkbox"/>
Do you have any children under age 18 with unearned income more than \$1,100?	<input type="checkbox"/>	<input checked="" type="checkbox"/>
Do you have any children age 18 or student children, aged 19 to 23, who did not provide more than half of their cost of support with earned income and that have unearned income of more than \$1,100?	<input type="checkbox"/>	<input checked="" type="checkbox"/>
Did you adopt a child or begin adoption proceedings?	<input type="checkbox"/>	<input checked="" type="checkbox"/>
Are any of your dependents non-U.S. citizens or non-U.S. residents?	<input type="checkbox"/>	<input checked="" type="checkbox"/>

### Healthcare:

Did you obtain healthcare coverage through the Marketplace?	<input checked="" type="checkbox"/>	<input type="checkbox"/>
If Yes, include all Forms 1095-A.		
If you received advance premium tax credit, are married, and are filing separately from your spouse, are you a victim of domestic abuse or spousal abandonment?	<input type="checkbox"/>	<input checked="" type="checkbox"/>
Did you, your spouse, or a dependent have healthcare purchased through the Marketplace and for whom you did not receive Form 1095-A?	<input type="checkbox"/>	<input checked="" type="checkbox"/>
Did you receive Form 1095-A for someone claimed as a dependent on another taxpayer's return or who is filing their own return and is not claimed on another taxpayer's return?	<input type="checkbox"/>	<input checked="" type="checkbox"/>
Are any of your dependents required to file a tax return?	<input type="checkbox"/>	<input checked="" type="checkbox"/>

## Questions (Page 2 of 5)

### Healthcare (continued):

Yes    No

Was anyone covered on your health insurance policy also covered on another health insurance policy for any part of the year? \_\_\_\_\_ ✓

Were you eligible for employer-sponsored healthcare coverage? \_\_\_\_\_ ✓

Did you or your spouse have any transactions pertaining to a health savings account (HSA)? \_\_\_\_\_ ✓

If you received a distribution from an HSA, include all Forms 1099-SA.

Did you or your spouse have any transactions pertaining to a medical savings account (MSA)? \_\_\_\_\_ ✓

If you received a distribution from an MSA, include all Forms 1099-SA.

Did you or your spouse receive any distributions from long-term care insurance contracts? \_\_\_\_\_ ✓

If Yes, include Forms 1099-LTC.

If you or your spouse are self-employed, are you or your spouse eligible to be covered under an employer's health plan at another job? \_\_\_\_\_

If Yes, how many months were you covered? \_\_\_\_\_

If you or your spouse are self-employed, are you or your spouse eligible to be covered under an employer's long-term care plan at another job? \_\_\_\_\_

If Yes, how many months were you covered? \_\_\_\_\_

Did you or your spouse lose your job because of foreign competition and pay for your own health insurance? \_\_\_\_\_

### Education:

Did you, your spouse, or your dependents incur any post-secondary education expenses, such as tuition? \_\_\_\_\_ ✓

Did you or your spouse pay any student loan interest? \_\_\_\_\_ ✓

Did you or your spouse withdraw any amounts from your IRA to pay for higher education expenses incurred by you, your spouse, your children or grandchildren? \_\_\_\_\_ ✓

Did you or your spouse withdraw any amounts from a Coverdell Education Savings Account or Qualified Education Program (Section 529) plan? \_\_\_\_\_ ✓

If Yes, include all Forms 1099-Q.

If Yes, were the amounts withdrawn used for qualified tuition expenses? \_\_\_\_\_

### Deductions and Credits:

Did you or your spouse contribute property (other than cash) with a fair market value of more than \$5,000 to a charitable organization? \_\_\_\_\_ ✓

If Yes, provide the appraisal of property contributed. An appraisal is not required for contributions of publicly traded securities or contributions of non-publicly traded stock of \$10,000 or less.

Did you or your spouse incur any casualty or theft losses? \_\_\_\_\_ ✓

Did you or your spouse make any large purchases, such as motor vehicles and boats? \_\_\_\_\_ ✓

Did you or your spouse incur any casualty or loss attributable to a federally declared disaster? \_\_\_\_\_ ✓

Did you or your spouse purchase a new alternative technology vehicle, including a qualified plug-in electric drive motor vehicle? \_\_\_\_\_ ✓

Did you or your spouse use gasoline or special fuels for business or farm purposes (other than for a highway vehicle)? \_\_\_\_\_ ✓

If Yes, provide the number of gallons or special fuels used for off-highway business purposes.

\_\_\_\_\_ Gallons \_\_\_\_\_ Type

Did you or your spouse install any alternative energy equipment in your residence such as solar water heaters, solar electricity equipment (photovoltaic) or fuel cells? \_\_\_\_\_ ✓

Did you or your spouse install any energy efficiency improvements or energy property in your residence such as exterior doors or windows, insulation, heat pumps, furnaces, central air conditioners, or water heaters? \_\_\_\_\_ ✓

## Questions (Page 3 of 5)

### Investments:

Yes    No

Did you or your spouse have any debts canceled, forgiven or refinanced?

\_\_\_\_\_ ✓

Did you or your spouse start or purchase a business, rental property, or farm, or acquire any new interest in any partnership or S corporation?

\_\_\_\_\_ ✓

Did you or your spouse sell an existing business, rental property, farm, or any existing interest in a partnership or S corporation?

\_\_\_\_\_ ✓

Did you or your spouse sell, exchange, or purchase any real estate?

\_\_\_\_\_ ✓

If Yes, include closing statements.

Did you or your spouse receive grants of stock options from your employer, exercise any stock options granted to you or your spouse or dispose of any stock acquired under a qualified employee stock purchase plan?

\_\_\_\_\_ ✓

Did you or your spouse engage in any put or call transactions?

\_\_\_\_\_ ✓

If Yes, provide the transaction details.

Did you or your spouse close any open short sales?

\_\_\_\_\_ ✓

Did you or your spouse sell any securities not reported on Form 1099-B?

\_\_\_\_\_ ✓

### Retirement or Severance:

Did you or your spouse contribute to a Roth IRA or convert an existing IRA into a Roth IRA?

\_\_\_\_\_ ✓

Did you or your spouse roll into a Roth IRA any distributions from a retirement plan, an annuity plan, tax shelter annuity or deferred compensation plan?

\_\_\_\_\_ ✓

Did you or your spouse make a qualified charitable contribution?

✓ \_\_\_\_\_

Did you or your spouse retire or change jobs?

\_\_\_\_\_ ✓

Did you or your spouse receive deferred, retirement or severance compensation?

\_\_\_\_\_ ✓

If Yes, enter the date received (Mo/Da/Yr). \_\_\_\_\_

### Personal Residence:

Did your address change?

\_\_\_\_\_ ✓

If Yes, provide the new address.

If Yes, did you move to a different home because of a change in the location of your job?

\_\_\_\_\_ ✓

Did you or your spouse claim a homebuyer credit for a home purchased in 2008?

\_\_\_\_\_ ✓

Did you or your spouse withdraw any amounts from your Individual Retirement Account (IRA) or Roth IRA to acquire a principal residence?

\_\_\_\_\_ ✓

Are your total mortgages on your first and/or second residence greater than \$750,000?

\_\_\_\_\_ ✓

If Yes, provide the principal balance and interest rate at the beginning and end of the year. \_\_\_\_\_

Did you or your spouse take out a home equity loan?

\_\_\_\_\_ ✓

Did you or your spouse have an outstanding home equity loan at the end of the year?

\_\_\_\_\_ ✓

If Yes, provide the principal balance and interest rate at the beginning and end of the year. \_\_\_\_\_

Are you claiming a deduction for mortgage interest paid to a financial institution and someone else received the Form 1098?

\_\_\_\_\_ ✓

Did you or your mortgagee receive mortgage assistance payments?

\_\_\_\_\_ ✓

If Yes, include all Forms 1098-MA.



## Questions (Page 4 of 5)

### Sale of Your Home:

Yes    No

Did you sell your home?

\_\_\_\_\_ ✓

Did you receive Form 1099-S?

\_\_\_\_\_

If Yes, include Form 1099-S.

Did you or your spouse own and occupy the home as your principal residence for at least two years of the five-year period prior to the sale?

\_\_\_\_\_

Did you or your spouse ever rent out the property?

\_\_\_\_\_

Did you or your spouse ever use any portion of the home for business purposes?

\_\_\_\_\_

Have you or your spouse sold a principal residence within the last two years?

\_\_\_\_\_

At the time of the sale, the residence was owned by the: \_\_\_\_\_ Taxpayer \_\_\_\_\_ Spouse \_\_\_\_\_ Both

### Gifts:

Did you or your spouse make any gifts, including birthday, holiday, anniversary, graduation, education savings, etc., with a total (aggregate) value in excess of \$15,000 to any individual?

\_\_\_\_\_ ✓

Did you or your spouse make any gifts of difficult-to-value assets (such as non-publicly traded stock) to any person regardless of value?

\_\_\_\_\_ ✓

Did you or your spouse make any gifts to a trust for any amount?

\_\_\_\_\_ ✓

Did you or your spouse have a life insurance trust?

\_\_\_\_\_ ✓

Did you or your spouse assist with the purchase of any asset (auto, home) for any individual?

\_\_\_\_\_ ✓

Did you or your spouse forgive any indebtedness to any individual, trust or entity?

\_\_\_\_\_ ✓

### Foreign Matters:

Did you or your spouse perform any work outside of the U.S. or pay any foreign taxes?

\_\_\_\_\_ ✓

Were you or your spouse grantor or transferor for a foreign trust, have any interest in or a signature authority over a bank account, securities account or other financial account in a foreign country?

\_\_\_\_\_ ✓

Did you or your spouse create or transfer money or property to a foreign trust?

\_\_\_\_\_ ✓

Did you or your spouse own any foreign financial assets?

\_\_\_\_\_ ✓

Were you or your spouse subject to the transition tax on undistributed foreign income and elect to pay the tax in installments?

\_\_\_\_\_ ✓

Did you or your spouse have an interest in an S corporation that had undistributed foreign income subject to the transition tax?

\_\_\_\_\_ ✓

If Yes, did the corporation cease to be an S corporation?

\_\_\_\_\_

If Yes, was there a sale or liquidation of substantially all of the corporation's assets or did the corporation cease business?

\_\_\_\_\_ ✓

If Yes, did you or your spouse transfer any share of stock in the corporation?

\_\_\_\_\_

## Questions (Page 5 of 5)

### Miscellaneous:

	Yes	No
Did you or your spouse pay in excess of \$1,000 in any quarter or \$2,200 during the year for domestic services performed in or around your home to individuals who could be considered household employees?	<input type="checkbox"/>	<input checked="" type="checkbox"/>
Did you or your spouse receive unreported tip income of \$20 or more in any month?	<input type="checkbox"/>	<input checked="" type="checkbox"/>
Have you or your spouse received a punitive damage award for damages other than for physical injuries or illness?	<input type="checkbox"/>	<input checked="" type="checkbox"/>
Did you or your spouse engage in any bartering transactions?	<input type="checkbox"/>	<input checked="" type="checkbox"/>
Were you or your spouse notified by the IRS or other taxing authority of any changes in prior year returns?	<input type="checkbox"/>	<input checked="" type="checkbox"/>
For any trust that you or your spouse created or are trustee, did any beneficiaries, grantors, or trustees die or move?	<input type="checkbox"/>	<input checked="" type="checkbox"/>
Did you or your spouse sell, acquire, or exchange Bitcoin or other virtual currencies or engage in any sales or exchanges denominated in Bitcoin or other virtual currencies?	<input type="checkbox"/>	<input checked="" type="checkbox"/>
Did you or your spouse receive an economic impact payment?	<input type="checkbox"/>	<input checked="" type="checkbox"/>
If Yes, enter the amount of any economic impact payment received. _____		
If Yes, did you or your spouse repay any of the economic impact payment received?	<input type="checkbox"/>	<input type="checkbox"/>
If Yes, enter the amount of the economic impact payment repaid. _____		

Additional state pages have been included at the back of the organizer and should be reviewed.



2020

## Dependents and Wages

3A

### Dependent Information:

	First Name and Initial	Last Name	Social Security Number	Date of Birth (Mo/Da/Yr)	Date of Death (Mo/Da/Yr)	Relationship to Taxpayer
A						
B						
C						
D						
E						
F						
G						
H						

Did dependent have income over \$4,300?



	Months Lived in Your Home	X if Disabled	Yes or No	Identity Protection PIN
A				
B				
C				
D				
E				
F				
G				
H				

Provide the name of any dependent who is not a U.S. citizen or Green Card holder.

Provide the name of any person living with you who is claimed as a dependent on someone else's tax return.

List the years that a release of claim to exemption is given for a dependent child not living with you.

### Wages and Salaries: Include all copies of your current year Forms W-2

Note: Use this section to report any wages and/or salaries for which no Form W-2 was received.

TS	Employer's Name	Taxable Wages	Tax Withheld				
			Federal	FICA/TIER 1	Medicare	State	Local



2020

## Electronic Filing

4

### Electronic Filing:

Electronic filing is the means by which your return is transmitted directly to the IRS and state tax authorities. The IRS has implemented an electronic filing mandate requiring certain preparers, including this firm, to file all returns that they prepare electronically. Some states also require certain preparers to electronically file state returns prepared. The IRS and some states allow taxpayers to elect not to file their returns electronically.

Do not electronically file the federal return ..... ☐

Do not electronically file the state return(s) ..... ☐

**Note:** The IRS and some states that require returns to be electronically filed also impose fees and/or penalties for failure to do so. If you checked either of the boxes above, you may be required to sign an "opt-out" form before we can release your returns. As a follow-up we will contact you to discuss these requirements and your ability to "opt-out" of electronic filing.

The IRS requires, and many states allow, the use of a Personal Identification Number (PIN) in lieu of mailing a signature document when electronically filing.

Would you like to use a randomly generated PIN? Yes ☐ No ☐  
 Taxpayer .....

Spouse ..... ☐ ☐

If No, enter a 5-digit self-selected PIN:

Taxpayer PIN ..... \_\_\_\_\_

Spouse PIN ..... \_\_\_\_\_

OK



2020

## Direct Deposit and Withdrawal

4A

### Direct Deposit and Electronic Funds Withdrawal Account Information:

The IRS and certain states allow refunds to be deposited to and balances due to be paid directly from your financial institution. If you would like to receive your refund or pay a balance due electronically, complete the following information. If you selected either of these options in 2019, your account information may already be included below.

Would you like any refunds owed to you directly deposited? .....	Yes	No
Would you like to pay any amount due on your <u>federal</u> return using electronic withdrawal? .....		
If Yes, what amount would you like withdrawn, if not the entire balance due? .....		
If Yes, when should the withdrawal occur, if other than the due date of the return? .....	(Mo/Da/Yr)	
Would you like to pay any amount due on your <u>state</u> return(s) using electronic withdrawal? .....		
If Yes, what amount would you like withdrawn, if not the entire balance due? .....		
If Yes, when should the withdrawal occur, if other than the due date of the return? .....	(Mo/Da/Yr)	
The IRS and some states allow estimated payments to be electronically withdrawn on the due dates of the estimated payments.		
Would you like to pay any estimated payments due for your <u>federal</u> return using electronic withdrawal? .....		
Would you like to pay any estimated payments due for your <u>state</u> return(s) using electronically withdrawal, if available? .....		

Name of bank or financial institution ..... SEACOAST NATIONAL BANK

Routing Transit Number (RTN) ..... 067005158

Account number ..... XXXXXX2966

Type of account:      ☒ Checking      ☒ Traditional Savings      ☐ IRA Savings  
                                  ☐ Archer MSA Savings      ☐ Coverdell Ed. Savings      ☐ HSA Savings

Is this a business account?      ☐ Yes      ☒ No

Account owner      ☒ Taxpayer      ☒ Spouse      ☒ Joint

I confirm that the bank account information and the direct deposit/electronic withdrawal options selected above are correct. ☐

Would you like any refunds owed to you directly deposited? .....	Yes	No
Would you like to pay any amount due on your <u>federal</u> return using electronic withdrawal? .....	✓	
If Yes, what amount would you like withdrawn, if not the entire balance due? .....		
If Yes, when should the withdrawal occur, if other than the due date of the return? .....	(Mo/Da/Yr)	
Would you like to pay any amount due on your <u>state</u> return(s) using electronic withdrawal? .....		
If Yes, what amount would you like withdrawn, if not the entire balance due? .....		
If Yes, when should the withdrawal occur, if other than the due date of the return? .....	(Mo/Da/Yr)	
The IRS and some states allow estimated payments to be electronically withdrawn on the due dates of the estimated payments.		
Would you like to pay any estimated payments due for your <u>federal</u> return using electronic withdrawal? .....		
Would you like to pay any estimated payments due for your <u>state</u> return(s) using electronically withdrawal, if available? .....		

Name of bank or financial institution ..... \_\_\_\_\_

Routing Transit Number (RTN) ..... \_\_\_\_\_

Account number ..... \_\_\_\_\_

Type of account:      ☐ Checking      ☐ Traditional Savings      ☐ IRA Savings  
                                  ☐ Archer MSA Savings      ☐ Coverdell Ed. Savings      ☐ HSA Savings

Is this a business account?      ☐ Yes      ☐ No

Account owner      ☐ Taxpayer      ☐ Spouse      ☐ Joint

I confirm that the bank account information and the direct deposit/electronic withdrawal options selected above are correct. ☐



2020

# **Sales of Stocks, Securities, Capital Assets & Installment Sales**

7

## **Gains or Losses from Sales of Stocks, Securities and Other Capital Assets:**

**Include all Forms 1099-A, 1099-B, 1099-S and copies of mutual fund statements for the year**

Did you have any of the following during the year?

Mutual fund transactions .....  
 Exchange of any securities or investments for something other than cash .....  
 Sales of inherited property .....  
 Sales of any stock or stock options at a loss and purchases of the same or substantially similar stock or options 30 days  
     before or 30 days after the sale .....  
 Commodity sales, short sales or straddles .....  
 Reinvestment of the proceeds of gains in a qualified opportunity fund .....  
 Sale of any investments in qualified opportunity funds .....  
 Debts that became uncollectible .....  
 Securities that became worthless .....  
 Sale of any property where you will receive payments in future years .....

Yes	No

TSJ	Kind of Property and Description	Quantity	Date Acquired (Mo/Da/Yr)	Date Sold (Mo/Da/Yr)
A				
B				
C				
D				
E				
F				
G				
H				

	Gross Sales Price (Less Commissions)	Cost or Other Basis	Federal Tax Withheld	State Tax Withheld
A				
B				
C				
D				
E				
F				
G				
H				

**Installment Sales:** **Do not include interest received in principal amount**

TSJ	Property Description	Date Sold (Mo/Da/Yr)	2020 Principal Received	2019 Principal Received



2020

## Miscellaneous Adjustments

13A

**Educator Expenses:** Deduction for amounts paid by educators of kindergarten through Grade 12

TS	2020 Amount	2019 Amount

### Health Savings Accounts (HSAs)

TS	Description	2020 Amount	2019 Amount
	Contributions made for 2020		
	Distributions received from all HSAs in 2020		

What type of coverage applies to your high deductible health plan? ☐ Self only ☐ Family

Were any HSA contributions listed above also shown on your Form W-2?

Were all distributions from your HSA for unreimbursed medical expenses?

Did you or your spouse enroll in Medicare?

If Yes, what month did you enroll?

What month did your spouse enroll?

Yes	No

**Other Adjustments to Income:** Include all Forms 1098-E for Student Loan Interest Paid

TSJ	Nature and Source	2020 Amount	2019 Amount



2020

# Itemized Deductions - Medical and Taxes

14

## Medical and Dental Expenses:

Prescription medicines and drugs .....  
 Total medical insurance premiums paid \* ..... **5,107.21**  
 Long-term care expenses .....  
 Total insurance reimbursement .....  
 Number of miles traveled for medical care .....  
 Lodging .....  
 Doctors, dentists, etc. ....  
 Hospitals .....  
 Lab fees .....  
 Eyeglasses and contacts .....

TSJ	2020 Amount	2019 Amount
J	<b>3,637.65</b>	1,900.
J	<b>3,637.65</b>	4,948.
J	<b>3,112.54</b>	4,020.
J	<b>211.35</b>	241.
J		173.

Taxpayer long-term care insurance premiums paid .....  
 Spouse long-term care insurance premiums paid .....

2020 Amount	2019 Amount
<b>1,526.19</b>	4,046.
<b>1,192.63</b>	3,329.

\* Do not include Medicare premiums or premiums deducted in computing taxable wages reported on a W-2.

## Other Medical Expenses:

TSJ	Description	2020 Amount	2019 Amount

## Taxes Paid: Include copies of your tax bills

Personal property taxes paid (include vehicle taxes) .....  
 General sales taxes paid on specified items .....

TSJ	2020 Amount	2019 Amount

Itemize real estate taxes by state.

TSJ	Real Estate Taxes	2020 Amount	2019 Amount
J	REAL ESTATE TAXES	<b>6,936.33</b>	6,856.

## Other Taxes Paid:

TSJ	Description	2020 Amount	2019 Amount

If you purchased or sold your home in 2020, did you include any taxes from your closing statement in the amounts above? ☐ Yes ☐ No





2020

# Itemized Deductions - Contributions

15

## Cash Contributions: Include all Forms 1098-C or other documentation.

You cannot deduct a cash contribution, regardless of the amount, unless you keep as a record of the contribution a bank record (such as a canceled check, a bank copy of a canceled check, or a bank statement containing the name of the charity, the date, and the amount) or a written communication from the charity. The written communication must include the name of the charity, date of the contribution, and amount of the contribution. Clothes and household items donated must be in good, used condition or better in order to be deductible unless the item donated is worth more than \$500 and you have the item's value appraised. Attach a copy of the appraisal. Include any vehicles donated to charity.

TSJ	Organization or Description of Contribution	2020 Amount	2019 Amount
	MISC CHARITIES	4,268.-	3,779.
	* NOT FOUNDATION		

TSJ	Conservation Real Property	2020 Amount	2019 Amount
	100% limit		
	50% limit		

TSJ	Description	2020 Miles	2019 Miles
	Number of miles traveled performing volunteer work for qualified charitable organizations		

## Noncash Contributions Totaling \$500 or Less: Include all documentation.

TSJ	Description of Donated Property	2020 Amount	2019 Amount

## Noncash Contributions Totaling More Than \$500: Include all Forms 1098-C or other documentation.

TSJ	Property Description	Date Acquired	Date of Donation	Cost or Basis
A				
B				
C				

	Fair Market Value (FMV)	Method Used to Determine FMV	Other Method Description	Method of Acquisition
A				
B				
C				

1 - Appraisal 3 - Comparable Sale 5 - Thrift Shop Value  
2 - Catalog 4 - Other (Describe)

1 - Gift 3 - Exchange  
2 - Inheritance 4 - Purchase

	Donee Organization Name	Donee Organization Address
A		
B		
C		



2020

## Federal Tax Payments

20

### Refund Application:

If you have an overpayment of 2020 taxes, do you want the excess:

Refunded ☐ Yes ☐ No  
 Applied to your 2021 estimated tax liability ☐ Yes ☐ No

### Federal Estimated Tax Payments:

2020 1st Quarter Estimate ..... (Due 07-15-2020)  
 2020 2nd Quarter Estimate ..... (Due 07-15-2020)  
 2020 3rd Quarter Estimate ..... (Due 09-15-2020)  
 2020 4th Quarter Estimate ..... (Due 01-15-2021)

Amount Due	Date Paid if Not Date Due (Mo/Da/Yr)	Amount Paid

2019 overpayment applied to 2020 estimate ..... 6,195.

### Tax Planning Information for Tax Year 2021:

Do you expect any of the following to occur in 2021?

	Yes	No
A change in your marital status .....	<input type="checkbox"/>	<input type="checkbox"/>
A change in the number of your dependents .....	<input type="checkbox"/>	<input type="checkbox"/>
A substantial change in your income .....	<input type="checkbox"/>	<input type="checkbox"/>
A substantial change in your withholding .....	<input type="checkbox"/>	<input type="checkbox"/>
A substantial change in deductions .....	<input type="checkbox"/>	<input type="checkbox"/>

If you answered Yes to any of the above questions, provide details.




2020

# State and City Tax Payments

20A

## State and City Estimated Tax Payments:

TSJ _____		
State/City _____		
Amount Due	Date Paid if Not Date Due (Mo/Da/Yr)	Amount Paid

2020 1st Quarter Estimate . . . . .

2020 2nd Quarter Estimate . . . . .

2020 3rd Quarter Estimate . . . . .

2020 4th Quarter Estimate . . . . .

If you have an overpayment of 2020 taxes, do you  
want the excess applied to your 2021 estimated tax liability? . . . . .

☐ Yes ☐ No

2019 overpayment applied to 2020 estimate . . . . .

Balance of prior year(s)' tax paid in 2020 plus  
amount paid with 2019 extensions . . . . .

Estimated tax payments for 2019 paid in 2020 . . . . .


## State and City Estimated Tax Payments:

TSJ _____		
State/City _____		
Amount Due	Date Paid if Not Date Due (Mo/Da/Yr)	Amount Paid

2020 1st Quarter Estimate . . . . .

2020 2nd Quarter Estimate . . . . .

2020 3rd Quarter Estimate . . . . .

2020 4th Quarter Estimate . . . . .

If you have an overpayment of 2020 taxes, do you  
want the excess applied to your 2021 estimated tax liability? . . . . .

☐ Yes ☐ No

2019 overpayment applied to 2020 estimate . . . . .

Balance of prior year(s)' tax paid in 2020 plus  
amount paid with 2019 extensions . . . . .

Estimated tax payments for 2019 paid in 2020 . . . . .


## State and City Estimated Tax Payments:

TSJ _____		
State/City _____		
Amount Due	Date Paid if Not Date Due (Mo/Da/Yr)	Amount Paid

2020 1st Quarter Estimate . . . . .

2020 2nd Quarter Estimate . . . . .

2020 3rd Quarter Estimate . . . . .

2020 4th Quarter Estimate . . . . .

If you have an overpayment of 2020 taxes, do you  
want the excess applied to your 2021 estimated tax liability? . . . . .

☐ Yes ☐ No

2019 overpayment applied to 2020 estimate . . . . .

Balance of prior year(s)' tax paid in 2020 plus  
amount paid with 2019 extensions . . . . .

Estimated tax payments for 2019 paid in 2020 . . . . .


## Foreign Taxes

32

**Foreign Taxes Paid or Accrued:**[illegible]

**Prior Year Foreign Taxes Paid in the Current Year:**

Year	Date Paid (Mo/Da/Yr)	Amount

**Enter Any Additional Foreign Tax Information:**[illegible]