



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

Account Number  
**1735-6424**

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

Date Prepared: February 12, 2021

## Recipient's Name and Address

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02/12-89032-YECD0612 \*1  
JOHN C NORRIS  
DESIGNATED BENE PLAN/TOD  
379 SW ASHBY LANE  
PALM CITY FL 34990

## Your Independent Investment Manager and/or Advisor

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HBKS WEALTH ADVISORS  
S.SCHRAMM/S.SWINDLER  
1000 SE MONTEREY COMMONS BLVD  
STUART FL 34996  
(772) 287-4110

*The custodian of your brokerage account is Charles Schwab & Co., Inc.*

## Items for Attention

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- Schwab provides your Form 1099 tax information as early and as accurately as possible. However, some issuers may provide new information about their securities after the IRS Form 1099 mailing deadline. If Schwab receives updated information from issuers of securities you hold, we are required by the IRS to send you a CORRECTED Form 1099 with changes clearly highlighted. Please plan your tax preparation accordingly.
- Please refer to the enclosed insert(s) for additional information.

## Important Official IRS Form(s) 1099 Enclosed

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The report in this package contains your income tax return documents and year-end summary. Please retain this package for tax preparation purposes.

For tax advice, please consult with a qualified tax advisor, CPA, financial planner, or investment manager. Except as noted in the Terms and Conditions, your Investment Advisors are not affiliated with, or supervised by Schwab.

### To contact Schwab:

If you have any questions or need additional information about your Form(s) 1099 or your year-end summary, please call your advisor directly, or call Schwab Alliance™ at 1-800-515-2157.

### To contact the IRS:

Tax questions for individuals: 1-800-829-1040  
Tax questions for businesses: 1-800-829-4933  
To order tax forms or publications: 1-800-829-3676  
To pay taxes by credit card: 1-888-272-9829  
For additional information and to print forms and publications, visit [www.irs.gov](http://www.irs.gov).



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Your Form 1099 Composite may include the following Internal Revenue Service (IRS) forms: 1099-DIV, 1099-INT, 1099-MISC, 1099-B and 1099-OID. You'll only receive the form(s) that apply to your particular financial situation and please keep for your records. Please note that information in the Year-End Summary is not provided to the IRS. It is provided to you as additional tax reporting information you may need to complete your tax return.

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Date Prepared: February 12, 2021

**Recipient's Name and Address**

JOHN C NORRIS  
DESIGNATED BENE PLAN/TOD  
379 SW ASHBY LANE  
PALM CITY FL 34990

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

**Account Number:** 1735-6424

**Payer's Name and Address**

CHARLES SCHWAB & CO., INC.  
211 MAIN STREET  
SAN FRANCISCO, CA 94105

**Telephone Number:** (800) 515-2157

**Federal ID Number:** 94-1737782

**Dividends and Distributions — 2020**

**Form 1099-DIV**

Department of the Treasury-Internal Revenue Service

Copy B for Recipient (OMB No. 1545-0110)

Box	Description	Amount	Total
1a	Total Ordinary Dividends (Includes amount shown in box 1b)	\$	1,942.33
1b	Qualified Dividends	\$ 1,541.32	
2a	Total Capital Gain Distributions (Includes amounts shown in boxes 2b, 2c and 2d)	\$	112.11
2b	Unrecap. Sec. 1250 Gain	\$ 0.00	
2c	Section 1202 Gain	\$ 0.00	
2d	Collectibles (28%) Gain	\$ 0.00	
3	Nondividend Distributions	\$	134.68
4	<b>Federal Income Tax Withheld</b>	<b>\$</b>	<b>0.00</b>
5	Section 199A Dividends	\$	80.18
6	Investment Expenses	\$	0.00
7	Foreign Tax Paid	\$	2.40
8	Foreign Country or U.S. Possession		
9	Cash Liquidation Distributions	\$	0.00
10	Noncash Liquidation Distributions	\$	0.00
11	Exempt-interest Dividends	\$	0.00
12	Specified Private Activity Bond Interest Dividends	\$	0.00
13	State		
14	State Identification No.		
15	State Tax Withheld	\$	0.00
	FATCA Filing Requirement <input type="checkbox"/>		

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**

## INSTRUCTIONS FOR RECIPIENTS OF FORM 1099

### 1099-DIV: Dividends and Distributions

**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.

**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 also may have a filing requirement. See the Instructions for Form 8938.

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

**Box 1a.** Shows total ordinary dividends that are taxable. Include this amount on the "Ordinary dividends" line of Form 1040 or 1040-SR. Also, report it on Schedule B (Form 1040 or 1040-SR), if required.

**Box 1b.** Shows the portion of the amount in box 1a that may be eligible for reduced capital gains rates. See the Instructions for Forms 1040 and 1040-SR for how to determine this amount and where to report.

The amount shown may be dividends a corporation paid directly to you as a participant (or beneficiary of a participant) in an employee stock ownership plan (ESOP). Report it as a dividend on your Form 1040 or 1040-SR but treat it as a plan distribution, not as investment income, for any other purpose.

**Box 2a.** Shows total capital gain distributions from a regulated investment company (RIC) or real estate investment trust (REIT). See How To Report in the Instructions for Schedule D (Form 1040 or 1040-SR). But, if no amount is shown in boxes 2c and 2d and your only capital gains and losses are capital gain distributions, you may be able to report the amounts shown in box 2a on your Form 1040 or 1040-SR rather than Schedule D. See the Instructions for Forms 1040 and 1040-SR.

**Box 2b.** Shows the portion of the amount in box 2a that is unrecaptured section 1250 gain from certain depreciable real property. See the Unrecaptured Section 1250 Gain Worksheet in the Instructions for Schedule D (Form 1040 or 1040-SR).

**Box 2c.** Shows the portion of the amount in box 2a that is section 1202 gain from certain small business stock that may be subject to an exclusion. See the Schedule D (Form 1040 or 1040-SR) instructions.

**Box 2d.** Shows 28% rate gain from sales or exchanges of collectibles. If required, use this amount when completing the 28% Rate Gain Worksheet in the Instructions for Schedule D (Form 1040 or 1040-SR).

**Box 3.** Shows a return of capital. To the extent of your cost (or other basis) in the stock, the distribution reduces your basis and is not taxable. Any amount received in excess of your basis is taxable to you as capital gain. See Pub. 550.

**Box 4.** Shows backup withholding. A payer must backup withhold on certain payments if you did not give your TIN to the payer. See Form W-9, Request for Taxpayer Identification Number and Certification, for information on backup withholding. Include this amount on your income tax return as tax withheld.

**Box 5.** Shows the portion of the amount in box 1a that may be eligible for the 20% qualified business income deduction under section 199A. See the instructions for Form 8995 and Form 8995-A.

**Box 6.** Shows your share of expenses of a nonpublicly offered RIC, generally a nonpublicly offered mutual fund. This amount is included in box 1a.

**Box 7.** Shows the foreign tax that you may be able to claim as a deduction or a credit on Form 1040 or 1040-SR. See the Instructions for Forms 1040 and 1040-SR.

**Box 8.** This box should be left blank if a RIC reported the foreign tax shown in box 7.

**Boxes 9 and 10.** Show cash and noncash liquidation distributions.

**Box 11.** Shows exempt-interest dividends from a mutual fund or other RIC paid to you during the calendar year. See the Instructions for Forms 1040 and 1040-SR for where to report. This amount may be subject to backup withholding. See Box 4 above.

**Box 12.** Shows exempt-interest dividends subject to the alternative minimum tax. This amount is included in box 11. See the Instructions for Form 6251.

**Boxes 13-15.** State income tax withheld reporting boxes.

**Nominees.** If this form includes amounts belonging to another person, you are considered a nominee recipient. You must file Form 1099-DIV (with a Form 1096) with the IRS for each of the other owners to show their share of the income, and you must furnish a Form 1099-DIV to each. A spouse is not required to file a nominee return to show amounts owned by the other spouse. See the 2020 General Instructions for Certain Information Returns.

**Future developments.** For the latest information about developments related to Form 1099-DIV and its instructions, such as legislation enacted after they were published, go to [www.irs.gov/Form1099DIV](http://www.irs.gov/Form1099DIV).



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379 SW ASHBY LANE  
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**Taxpayer ID Number:** \*\*\*-\*\*-6282

**Account Number:** 1735-6424

**Payer's Name and Address**

CHARLES SCHWAB & CO., INC.  
211 MAIN STREET  
SAN FRANCISCO, CA 94105

**Telephone Number:** (800) 515-2157

**Federal ID Number:** 94-1737782

**Interest Income — 2020**

**Form 1099-INT**

Department of the Treasury-Internal Revenue Service

Copy B for Recipient (OMB No. 1545-0112)

Box	Description	Total
1	Interest Income	\$ 1.43
3	Interest on U.S. Savings Bonds and Treasury Obligations	\$ 0.00
4	<b>Federal Income Tax Withheld</b>	<b>\$ 0.00</b>
5	Investment Expenses	\$ 0.00
6	Foreign Tax Paid	\$ 0.00
7	Foreign Country or U.S. Possession	
8	Tax-Exempt Interest	\$ 0.00
9	Specified Private Activity Bond Interest	\$ 0.00
10	Market Discount	\$ 0.00
11	Bond Premium	\$ 0.00
12	Bond Premium on Treasury Obligations	\$ 0.00
13	Bond Premium on Tax-Exempt Bond	\$ 0.00
14	Tax-Exempt and Tax Credit Bond CUSIP No.	
15	State	
16	State Identification No.	
17	State Tax Withheld	\$ 0.00
FATCA Filing Requirement <input type="checkbox"/>		

Amount in Box 9 Specified Private Activity Bond Interest subject to Alternative Minimum Tax is already included in Box 8 Tax-Exempt Interest. Both market discount and bond premium reported for covered taxable and tax-exempt bonds. Market discount is only reported if you submitted a written election to include in income currently.

**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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## INSTRUCTIONS FOR RECIPIENTS OF FORM 1099

### 1099-INT: Interest Income

The information provided may be different for covered and noncovered securities. For a description of covered securities, see the Instructions for Form 8949. For a taxable covered security acquired at a premium, unless you notified the payer in writing in accordance with Regulations section 1.6045-1(n)(5) that you did not want to amortize the premium under section 171, or for a tax-exempt covered security acquired at a premium, your payer generally must report either (1) a net amount of interest that reflects the offset of the amount of interest paid to you by the amount of premium amortization allocable to the payment(s), or (2) a gross amount for both the interest paid to you and the premium amortization allocable to the payment(s). If you did notify your payer that you did not want to amortize the premium on a taxable covered security, then your payer will only report the gross amount of interest paid to you. For a noncovered security acquired at a premium, your payer is only required to report the gross amount of interest paid to you.

**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.

**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 also may have a filing requirement. See the Instructions for Form 8938.

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

**Box 1.** Shows taxable interest paid to you during the calendar year by the payer. This does not include interest shown in box 3. May also show the total amount of the credits from clean renewable energy bonds, new clean renewable energy bonds, qualified energy conservation bonds, qualified zone academy bonds, qualified school construction bonds, and build America bonds that must be included in your interest income. These amounts were treated as paid to you during 2020 on the credit allowance dates (March 15, June 15, September 15, and December 15). For more information, see Form 8912. See the instructions above for a taxable covered security acquired at a premium.

**Box 3.** Shows interest on U.S. Savings Bonds, Treasury bills, Treasury bonds, and Treasury notes. This may or may not all be taxable. See Pub. 550. This interest is exempt from state and local income taxes. This interest is not included in box 1. See the instructions above for a taxable covered security acquired at a premium.

**Box 4.** Shows backup withholding. Generally, a payer must backup withhold if you did not furnish your TIN or you did not furnish the correct TIN to the payer. See Form W-9. Include this amount on your income tax return as tax withheld.

**Box 5.** Any amount shown is your share of investment expenses of a single-class REMIC. This amount is included in box 1. Note: This amount is not deductible.

**Box 6.** Shows foreign tax paid. You may be able to claim this tax as a deduction or a credit on your Form 1040 or 1040-SR. See your tax return instructions.

**Box 7.** Shows the country or U.S. possession to which the foreign tax was paid.

**Box 8.** Shows tax-exempt interest paid to you during the calendar year by the payer. See how to report this amount in the Instructions for Form 1040 and 1040-SR. This amount may be subject to backup withholding. See Box 4 above. See the instructions above for a tax-exempt covered security acquired at a premium.

**Box 9.** Shows tax-exempt interest subject to the alternative minimum tax. This amount is included in box 8. See the Instructions for Form 6251. See the instructions above for a tax-exempt covered security acquired at a premium.

**Box 10.** For a taxable or tax-exempt covered security, if you made an election under section 1278(b) to include market discount in income as it accrues and you notified your payer of the election in writing in accordance with Regulations section 1.6045-1(n)(5), shows the market discount that accrued on the debt instrument during the year while held by you, unless it was reported on Form 1099-OID. For a taxable or tax-exempt covered security acquired on or after January 1, 2015, accrued market discount will be calculated on a constant yield basis unless you notified your payer in writing in accordance with Regulations section 1.6045-1(n)(5) that you did not want to make a constant yield election for market discount under section 1276(b). Report the accrued market discount on your income tax return as directed in the Instructions for Form 1040 and 1040-SR. Market discount on a tax-exempt security is includible in taxable income as interest income.

**Box 11.** For a taxable covered security (other than a U.S. Treasury obligation), shows the amount of premium amortization allocable to the interest payment(s), unless you notified the payer in writing in accordance with Regulations section 1.6045-1(n)(5) that you did not want to amortize bond premium under section 171. If an amount is reported in this box, see the Instructions for Schedule B (Form 1040 or 1040-SR) to determine the net amount of interest includible in income on Form 1040 or 1040-SR with respect to the security. If an amount is not reported in this box for a taxable covered security acquired at a premium and the payer is reporting premium amortization, the payer has reported a net amount of interest in box 1. If the amount in box 11 is greater than the amount of interest paid on the covered security, see Regulations section 1.171-2(a)(4).

**Box 12.** For a U.S. Treasury obligation that is a covered security, shows the amount of premium amortization allocable to the interest payment(s), unless you notified the payer in writing in accordance with Regulations section 1.6045-1(n)(5) that you did not want to amortize bond premium under section 171. If an amount is reported in this box, see the Instructions for Schedule B (Form 1040 or 1040-SR) to determine the net amount of interest includible in income on Form 1040 or 1040-SR with respect to the U.S. Treasury obligation. If an amount is not reported in this box for a U.S. Treasury obligation that is a covered security acquired at a premium and the payer is reporting premium amortization, the payer has reported a net amount of interest in box 3. If the amount in box 12 is greater than the amount of interest paid on the U.S. Treasury obligation, see Regulations section 1.171-2(a)(4).

**Box 13.** For a tax-exempt covered security, shows the amount of premium amortization allocable to the interest payment(s). If an amount is reported in this box, see Pub. 550 to determine the net amount of tax-exempt interest reportable on Form 1040 or 1040-SR. If an amount is not reported in this box for a tax-exempt covered security acquired at a premium, the payer has reported a net amount of interest in box 8 or 9, whichever is applicable. If the amount in box 13 is greater than the amount of interest paid on the tax-exempt covered security, the excess is a nondeductible loss. See Regulations section 1.171-2(a)(4)(ii).

**Box 14.** Shows CUSIP number(s) for tax-exempt bond(s) on which tax-exempt interest was paid, or tax credit bond(s) on which taxable interest was paid or tax credit was allowed, to you during the calendar year. If blank, no CUSIP number was issued for the bond(s).

**Boxes 15-17.** State tax withheld reporting boxes.

**Nominees.** If this form includes amounts belonging to another person(s), you are considered a nominee recipient. Complete a Form 1099-INT for each of the other owners showing the income allocable to each. File Copy A of the form with the IRS. Furnish Copy B to each owner. List yourself as the "payer" and the other owner(s) as the "recipient." File Form(s) 1099-INT with Form 1096 with the Internal Revenue Service Center for your area. On Form 1096, list yourself as the "filer." A spouse is not required to file a nominee return to show amounts owned by the other spouse.

**Future developments.** For the latest information about developments related to Form 1099-INT and its instructions, such as legislation enacted after they were published, go to [www.irs.gov/Form1099INT](http://www.irs.gov/Form1099INT).



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**TAX YEAR 2020**  
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## INSTRUCTIONS FOR RECIPIENTS OF FORM 1099

### 1099-INT: Interest Income

The information provided may be different for covered and noncovered securities. For a description of covered securities, see the Instructions for Form 8949. For a taxable covered security acquired at a premium, unless you notified the payer in writing in accordance with Regulations section 1.6045-1(n)(5) that you did not want to amortize the premium under section 171, or for a tax-exempt covered security acquired at a premium, your payer generally must report either (1) a net amount of interest that reflects the offset of the amount of interest paid to you by the amount of premium amortization allocable to the payment(s), or (2) a gross amount for both the interest paid to you and the premium amortization allocable to the payment(s). If you did notify your payer that you did not want to amortize the premium on a taxable covered security, then your payer will only report the gross amount of interest paid to you. For a noncovered security acquired at a premium, your payer is only required to report the gross amount of interest paid to you.

**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.

**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 also may have a filing requirement. See the Instructions for Form 8938.

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

**Box 1.** Shows taxable interest paid to you during the calendar year by the payer. This does not include interest shown in box 3. May also show the total amount of the credits from clean renewable energy bonds, new clean renewable energy bonds, qualified energy conservation bonds, qualified zone academy bonds, qualified school construction bonds, and build America bonds that must be included in your interest income. These amounts were treated as paid to you during 2020 on the credit allowance dates (March 15, June 15, September 15, and December 15). For more information, see Form 8912. See the instructions above for a taxable covered security acquired at a premium.

**Box 3.** Shows interest on U.S. Savings Bonds, Treasury bills, Treasury bonds, and Treasury notes. This may or may not all be taxable. See Pub. 550. This interest is exempt from state and local income taxes. This interest is not included in box 1. See the instructions above for a taxable covered security acquired at a premium.

**Box 4.** Shows backup withholding. Generally, a payer must backup withhold if you did not furnish your TIN or you did not furnish the correct TIN to the payer. See Form W-9. Include this amount on your income tax return as tax withheld.

**Box 5.** Any amount shown is your share of investment expenses of a single-class REMIC. This amount is included in box 1. Note: This amount is not deductible.

**Box 6.** Shows foreign tax paid. You may be able to claim this tax as a deduction or a credit on your Form 1040 or 1040-SR. See your tax return instructions.

**Box 7.** Shows the country or U.S. possession to which the foreign tax was paid.

**Box 8.** Shows tax-exempt interest paid to you during the calendar year by the payer. See how to report this amount in the Instructions for Form 1040 and 1040-SR. This amount may be subject to backup withholding. See Box 4 above. See the instructions above for a tax-exempt covered security acquired at a premium.

**Box 9.** Shows tax-exempt interest subject to the alternative minimum tax. This amount is included in box 8. See the Instructions for Form 6251. See the instructions above for a tax-exempt covered security acquired at a premium.

**Box 10.** For a taxable or tax-exempt covered security, if you made an election under section 1278(b) to include market discount in income as it accrues and you notified your payer of the election in writing in accordance with Regulations section 1.6045-1(n)(5), shows the market discount that accrued on the debt instrument during the year while held by you, unless it was reported on Form 1099-OID. For a taxable or tax-exempt covered security acquired on or after January 1, 2015, accrued market discount will be calculated on a constant yield basis unless you notified your payer in writing in accordance with Regulations section 1.6045-1(n)(5) that you did not want to make a constant yield election for market discount under section 1276(b). Report the accrued market discount on your income tax return as directed in the Instructions for Form 1040 and 1040-SR. Market discount on a tax-exempt security is includible in taxable income as interest income.

**Box 11.** For a taxable covered security (other than a U.S. Treasury obligation), shows the amount of premium amortization allocable to the interest payment(s), unless you notified the payer in writing in accordance with Regulations section 1.6045-1(n)(5) that you did not want to amortize bond premium under section 171. If an amount is reported in this box, see the Instructions for Schedule B (Form 1040 or 1040-SR) to determine the net amount of interest includible in income on Form 1040 or 1040-SR with respect to the security. If an amount is not reported in this box for a taxable covered security acquired at a premium and the payer is reporting premium amortization, the payer has reported a net amount of interest in box 1. If the amount in box 11 is greater than the amount of interest paid on the covered security, see Regulations section 1.171-2(a)(4).

**Box 12.** For a U.S. Treasury obligation that is a covered security, shows the amount of premium amortization allocable to the interest payment(s), unless you notified the payer in writing in accordance with Regulations section 1.6045-1(n)(5) that you did not want to amortize bond premium under section 171. If an amount is reported in this box, see the Instructions for Schedule B (Form 1040 or 1040-SR) to determine the net amount of interest includible in income on Form 1040 or 1040-SR with respect to the U.S. Treasury obligation. If an amount is not reported in this box for a U.S. Treasury obligation that is a covered security acquired at a premium and the payer is reporting premium amortization, the payer has reported a net amount of interest in box 3. If the amount in box 12 is greater than the amount of interest paid on the U.S. Treasury obligation, see Regulations section 1.171-2(a)(4).

**Box 13.** For a tax-exempt covered security, shows the amount of premium amortization allocable to the interest payment(s). If an amount is reported in this box, see Pub. 550 to determine the net amount of tax-exempt interest reportable on Form 1040 or 1040-SR. If an amount is not reported in this box for a tax-exempt covered security acquired at a premium, the payer has reported a net amount of interest in box 8 or 9, whichever is applicable. If the amount in box 13 is greater than the amount of interest paid on the tax-exempt covered security, the excess is a nondeductible loss. See Regulations section 1.171-2(a)(4)(ii).

**Box 14.** Shows CUSIP number(s) for tax-exempt bond(s) on which tax-exempt interest was paid, or tax credit bond(s) on which taxable interest was paid or tax credit was allowed, to you during the calendar year. If blank, no CUSIP number was issued for the bond(s).

**Boxes 15-17.** State tax withheld reporting boxes.

**Nominees.** If this form includes amounts belonging to another person(s), you are considered a nominee recipient. Complete a Form 1099-INT for each of the other owners showing the income allocable to each. File Copy A of the form with the IRS. Furnish Copy B to each owner. List yourself as the "payer" and the other owner(s) as the "recipient." File Form(s) 1099-INT with Form 1096 with the Internal Revenue Service Center for your area. On Form 1096, list yourself as the "filer." A spouse is not required to file a nominee return to show amounts owned by the other spouse.

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**FORM 1099 COMPOSITE**

Date Prepared: February 12, 2021

**Recipient's Name and Address**

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DESIGNATED BENE PLAN/TOD  
379 SW ASHBY LANE  
PALM CITY FL 34990

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

Account Number: 1735-6424

**Payer's Name and Address**

CHARLES SCHWAB & CO., INC.  
211 MAIN STREET  
SAN FRANCISCO, CA 94105

Telephone Number: (800) 515-2157

Federal ID Number: 94-1737782

**Proceeds from Broker Transactions — 2020**

**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
565 PRINCIPAL DIVERSIFIED REAL ASSET 74254V182 / PRDAX	S	02/01/17 03/26/20	\$ 5,311.93	\$ 6,250.00	--	\$	(938.07) \$	0.00
<b>Security Subtotal</b>			<b>\$ 5,311.93</b>	<b>\$ 6,250.00</b>	<b>--</b>	<b>\$</b>	<b>(938.07) \$</b>	<b>0.00</b>
<b>Total Long-Term (Cost basis is reported to the IRS)</b>			<b>\$ 5,311.93</b>	<b>\$ 6,250.00</b>	<b>--</b>	<b>\$</b>	<b>(938.07) \$</b>	<b>0.00</b>
<b>Total Long-Term Sales Price of Stocks, Bonds, etc.</b>			<b>\$ 5,311.93</b>	<b>\$ 6,250.00</b>	<b>--</b>	<b>\$</b>	<b>(938.07) \$</b>	<b>0.00</b>
<b>Total Sales Price of Stocks, Bonds, etc.</b>			<b>\$ 5,311.93</b>					
<b>Total Federal Income Tax Withheld</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® Account of  
**JOHN C NORRIS**  
DESIGNATED BENE PLAN/TOD

Account Number  
**1735-6424**

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

Date Prepared: February 12, 2021

**Recipient's Name and Address**

JOHN C NORRIS  
DESIGNATED BENE PLAN/TOD  
379 SW ASHBY LANE  
PALM CITY FL 34990

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

Account Number: 1735-6424

**Payer's Name and Address**

CHARLES SCHWAB & CO., INC.  
211 MAIN STREET  
SAN FRANCISCO, CA 94105

Telephone Number: (800) 515-2157

Federal ID Number: 94-1737782

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

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

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**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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**1735-6424**

**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	

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## 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.

## INTEREST & DIVIDENDS

The information in the following sections may be helpful for, but not limited to, Schedule B. Please consult with your tax advisor or financial advisor regarding specific questions.

### Detail Information of Dividends and Distributions

Description	Symbol	CUSIP Number	Paid in 2020	Paid/Adjusted in 2021 for 2020	Amount
<b>Ordinary Dividends</b>					
<b>Non-Qualified Dividends</b>					
COLUMBIA LARGE CAP INDEX	NINDX	19765H321	\$ 0.00	\$ 5.87	\$ 5.87
DOUBLELINE CORE FIXED	DLFNX	258620400	\$ 206.13	\$ 0.00	\$ 206.13
FIDELITY ADV REAL ESTATE	FRINX	316389477	\$ 25.67	\$ 139.10	\$ 164.77
JPMORGAN STRATEGIC INCOM	JSOAX	4812A4385	\$ 2.76	\$ 0.00	\$ 2.76
LOOMIS SAYLES STRATEGIC	LABAX	63872T646	\$ 5.85	\$ (0.18)	\$ 5.67
TORTOISE MLP & PIPELINE	TORTX	56166Y305	\$ 0.00	\$ 14.13	\$ 14.13
<b>Total Non-Qualified Dividends (Included in Box 1a)</b>			<b>\$ 240.41</b>	<b>\$ 158.92</b>	<b>\$ 399.33</b>
<b>Short-Term Capital Gains</b>					
COLUMBIA LARGE CAP INDEX	NINDX	19765H321	\$ 10.85	\$ (9.17)	\$ 1.68
<b>Total Short-Term Capital Gains (Included in Box 1a)</b>			<b>\$ 10.85</b>	<b>\$ (9.17)</b>	<b>\$ 1.68</b>
<b>Qualified Dividends</b>					
BNY MELLON INTERNATIONAL	DIISX	09661L500	\$ 17.45	\$ 2.40	\$ 19.85
COLUMBIA LARGE CAP INDEX	NINDX	19765H321	\$ 31.62	\$ 3.30	\$ 34.92
FIDELITY ADV REAL ESTATE	FRINX	316389477	\$ 143.42	\$ (139.10)	\$ 4.32
LOOMIS SAYLES STRATEGIC	LABAX	63872T646	\$ 0.00	\$ 0.18	\$ 0.18
NEXTERA ENERGY INC	NEE	65339F101	\$ 840.00	\$ 0.00	\$ 840.00



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**Detail Information of Dividends and Distributions (continued)**

Supplemental Information of Dividends and Distributions (continued)							
Description	Symbol	CUSIP Number	Paid in 2020		Paid/Adjusted in 2021 for 2020		Amount
<b>Qualified Dividends (continued)</b>							
THE COCA-COLA CO	KO	191216100	\$	582.20	\$	0.00	\$ 582.20
TORTOISE MLP & PIPELINE	TORTX	56166Y305	\$	208.66	\$	(148.81)	\$ 59.85
<b>Total Qualified Dividends (Box 1b and included in Box 1a)</b>			\$	<b>1,823.35</b>	\$	<b>(282.03)</b>	\$ <b>1,541.32</b>
<b>Total Ordinary Dividends (Box 1a)</b>			\$	<b>2,074.61</b>	\$	<b>(132.28)</b>	\$ <b>1,942.33</b>
<b>(Total Non-Qualified Dividends, Short-Term Capital Gains and Qualified Dividends)</b>							
<b>Capital Gain Distributions</b>							
<b>Long-Term Gain</b>							
COLUMBIA LARGE CAP INDEX	NINDX	19765H321	\$	100.31	\$	0.00	\$ 100.31
DOUBLELINE CORE FIXED IN	DLFNX	258620400	\$	11.80	\$	0.00	\$ 11.80
<b>Total Long-Term Gain (Included in Box 2a)</b>			\$	<b>112.11</b>	\$	<b>0.00</b>	\$ <b>112.11</b>
<b>Total Capital Gain Distributions (Box 2a)</b>			\$	<b>112.11</b>	\$	<b>0.00</b>	\$ <b>112.11</b>
<b>Nondividend Distributions (Return of Capital)</b>							
TORTOISE MLP & PIPELINE	TORTX	56166Y305	\$	0.00	\$	134.68	\$ 134.68
<b>Total Nondividend Distributions (Box 3)</b>			\$	<b>0.00</b>	\$	<b>134.68</b>	\$ <b>134.68</b>
<b>Section 199A Dividends</b>							
COLUMBIA LARGE CAP INDEX	NINDX	19765H321	\$	0.00	\$	0.97	\$ 0.97
FIDELITY ADVISOR REAL ES	FRINX	316389477	\$	0.00	\$	79.21	\$ 79.21
<b>Total Section 199A Dividends (Box 5)</b>			\$	<b>0.00</b>	\$	<b>80.18</b>	\$ <b>80.18</b>



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**Detail Information of Dividends and Distributions (continued)**

Description	Symbol	CUSIP Number	Paid in 2020		Paid/Adjusted in 2021 for 2020		Amount
<b>Foreign Tax Paid</b>	<b>Country</b>						
BNY MELLON INTERNATIONAL	RIC	09661L500	\$	0.00	\$	(2.40)	\$ (2.40)
<b>Total Foreign Tax Paid (Box 7)</b>			\$	<b>0.00</b>	\$	<b>(2.40)</b>	\$ <b>(2.40)</b>

**Detail Information of Interest Income**

Description	CUSIP Number	Paid in 2020		Paid/Adjusted in 2021 for 2020		Amount
<b>Interest Income</b>						
DEPOSIT INTEREST		\$	1.43	\$	0.00	\$ 1.43
<b>Total Interest Income (Included in Box 1)</b>		\$	<b>1.43</b>	\$	<b>0.00</b>	\$ <b>1.43</b>
<b>Total Interest Income (Box 1)</b>		\$	<b>1.43</b>	\$	<b>0.00</b>	\$ <b>1.43</b>





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**Detail Information of Dividends and Distributions (continued)**

Description	Symbol	CUSIP Number	Paid in 2020		Paid/Adjusted in 2021 for 2020		Amount
<b>Foreign Tax Paid</b>	<b>Country</b>						
BNY MELLON INTERNATIONAL	RIC	09661L500	\$	0.00	\$	(2.40)	\$ (2.40)
<b>Total Foreign Tax Paid (Box 7)</b>			\$	<b>0.00</b>	\$	<b>(2.40)</b>	\$ <b>(2.40)</b>

**Detail Information of Interest Income**

Description	CUSIP Number	Paid in 2020		Paid/Adjusted in 2021 for 2020		Amount
<b>Interest Income</b>						
DEPOSIT INTEREST		\$	1.43	\$	0.00	\$ 1.43
<b>Total Interest Income (Included in Box 1)</b>		\$	<b>1.43</b>	\$	<b>0.00</b>	\$ <b>1.43</b>
<b>Total Interest Income (Box 1)</b>		\$	<b>1.43</b>	\$	<b>0.00</b>	\$ <b>1.43</b>



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**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)
PRINCIPAL DIVERSIFIED REAL ASSET A	74254V182	565.09	02/01/17	03/26/20	\$ 5,311.93	\$ 6,250.00	-- \$	(938.07)
<b>Security Subtotal</b>					<b>\$ 5,311.93</b>	<b>\$ 6,250.00</b>	<b>-- \$</b>	<b>(938.07)</b>
<b>Total Long-Term</b> <i>(Cost basis is reported to the IRS)</i>					<b>\$ 5,311.93</b>	<b>\$ 6,250.00</b>	<b>-- \$</b>	<b>(938.07)</b>
<b>Total Long-Term</b>					<b>\$ 5,311.93</b>	<b>\$ 6,250.00</b>	<b>-- \$</b>	<b>(938.07)</b>



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**Realized Gain or (Loss) Summary**

**Total Realized Gain or (Loss)**

Description	Total Proceeds		(-)Cost Basis		(+)Wash Sale Loss Disallowed	(=)Realized Gain or (Loss)
<b>Total Long-Term Realized Gain or (Loss)</b> <i>(Cost basis is reported to the IRS. Report on Form 8949, Part II, with Box D checked.)</i>	\$	5,311.93	\$	6,250.00	-- \$	(938.07)
<b>Total Long-Term Realized Gain or (Loss)</b>	\$	5,311.93	\$	6,250.00	-- \$	(938.07)
<b>TOTAL REALIZED GAIN OR (LOSS)</b>	\$	5,311.93	\$	6,250.00	-- \$	(938.07)



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**Notes for Your Realized Gain or (Loss)**

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Schwab has provided realized gain and loss information whenever possible for most investments. Cost basis data may be incomplete or unavailable for some of your holdings. See Terms and Conditions.

When value for the report is unavailable, it is noted as follows: "Missing" or "Not Provided"

<b>Not Provided</b>	Schwab is not providing Cost Basis on this security type.
<b>Missing</b>	Cost Basis may be missing due to one of the following reasons: <ul style="list-style-type: none"><li>• 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>• The security was purchased more than 10 years ago.</li></ul>
<b>Date Acquired</b>	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.
<b>Total Proceeds</b>	The amount displayed in this column has been adjusted for option premiums, if applicable.
<b>Cost Basis</b>	The amount displayed in this column may differ from your original cost basis as adjustments may have been made to reflect applicable option premiums, corporate actions and/or wash sales.
<b>Wash Sale Loss Disallowed</b>	The disallowed amount displayed in this column has been added to the cost basis of other share lots with the same CUSIP owned in the same account at the time the loss was disallowed.
<b>Realized Gain or (Loss)</b>	The calculation for gain or (loss) displayed in this column is Total Proceeds - Cost Basis + Wash Sale Loss Disallowed - Market Discount =Realized Gain or (Loss)

For sales of short-term debt issued after January 1, 2014, talk to your tax advisor as to how to report the income.



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**SUMMARY OF FEES & EXPENSES**

The information in the following sections may be helpful for, but not limited to, calculating your itemized deductions for Schedule A. The summary is limited to fees paid out of this account. Please consult with your tax advisor regarding specific questions.

**Fees—2020**

Description	Amount	
ADVISOR FEES	\$	(620.89)
<b>Total of Fees—2020</b>	<b>\$</b>	<b>(620.89)</b>



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**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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## 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.



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## COST BASIS DISCLOSURE

### Changes to Cost Basis Reporting Requirements

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- 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

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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.

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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:

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<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.





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## TERMS AND CONDITIONS

### GENERAL INFORMATION

#### Form 1099-Composite

For U.S. taxpayers, the information reported to you on Form 1099 is given to the Internal Revenue Service (IRS). Form 1099-Composite is comprised of the following substitute forms: 1099-DIV, 1099-INT, 1099-MISC, 1099-OID, and 1099-B. The form(s) you receive in Form 1099 Composite depends on the income reportable to the IRS.

#### Year-End Summary

The information in the Year-End Summary is provided to you as a courtesy, should you need additional information when completing your tax return. When relevant, IRS box numbers are referenced to indicate individual items that make up the totals appearing on your Form(s) 1099. With the exception of the totals reported in the IRS box numbers referenced, Charles Schwab does not provide the details of the Year-End Summary to the IRS.

We recommend that all customers consult their investment and tax advisors prior to using this information.

#### Corrected Form 1099 and Year-End Summary

We are required to send you a corrected form with the revisions clearly marked when we receive updates or revisions to information contained in the form. This generally occurs if one or more of the issuers of the securities in your account reallocated certain income distribution (e.g., dividends or capital gains) after we mailed your original Form 1099. As a result, the supplemental information in Year-End Summary may be updated.

Upon receiving a corrected form, you may want to consider filing an amended return based on the changes in your taxable income as reported on your corrected Form 1099. We suggest that you consult with a qualified tax advisor, CPA, financial planner, or investment manager before you proceed.

#### Duplicate Form 1099 and Year-End Summary

If you request a duplicate Form 1099, please be aware that Schwab uses the most up-to-date information available at the time of the production. Thus, your duplicate Form 1099 and Year-End Summary may have more up-to-date information than the original Form 1099.

#### Realized Gain or (Loss) in Year-End Summary

The Realized Gain or (Loss) section provides information for all your realized gain or (loss) transactions during the tax year. It contains all transactions included in the Form 1099-B as well as transactions that are not reported on Form 1099-B (for example; sales and expirations of noncovered option activities, cash in lieu under \$20, bankruptcy, and worthless securities). This supplemental information is believed to be accurate as of the date the data was compiled but they may not be updated for any corrections after the data was initially compiled.

**IN CASE OF QUESTIONS:** If you have questions about this report or about specific Schwab accounts or Schwab One transactions (other than wire transfers or check transactions), contact Schwab at 1-800-435-4000. If you have a complaint regarding your Schwab statement or our products and services, please write to the Client Advocacy Team at Charles Schwab & Co., Inc., Attention: Client Advocacy Team, 211 Main St., San Francisco, CA 94105. Outside of the U.S., call +1-415-667-5009.

#### For Clients of Investment Advisors

The Year-End Summary in this report is furnished solely by Charles Schwab & Co., Inc. ("Schwab") for your account at Schwab ("Account"). Schwab Advisor Services<sup>TM</sup> is a division of Charles Schwab & Co., Inc. and provides back-office brokerage and related services to investment advisors and retirement plan providers. Unless otherwise defined herein, capitalized terms have the same meanings as in your Account Agreement. Schwab is a registered broker-dealer and, except in the case of an affiliated company that may act as the investment advisor for the Sweep Funds, Windhaven Investment Management, Inc. ("Windhaven®"), ThomasPartners, Inc. ("ThomasPartner"), Charles Schwab Investment Advisory, Inc. is not affiliated with your Investment Advisor, whose name appears on this report ("Advisors"). Advisors are independently owned and operated. Schwab neither endorses nor recommends any particular Advisor or investment strategy and has no responsibility to monitor trading by any Advisor in your Account. Advisors provide investment advisory services for your Account. Schwab provides brokerage and custody for your Account. Schwab has agreements with Advisors under which Schwab provides Advisors with institutional trading, custody and related services, and products. Not all of these products and services may benefit your Account, and Schwab may provide them to Advisors on the Advisors' commitment to place a certain amount of its clients' assets in brokerage accounts at Schwab within a certain period of time. This commitment could influence an Advisor's recommendation or requirement that its clients establish brokerage accounts at Schwab.



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

## Recipient's Name and Address

---

02/12-89032-YECD0612 \*1

JOHN C NORRIS TTEE  
JOHN C NORRIS TRUST  
U/A DTD 08/22/2006  
379 SW ASHBY LANE  
PALM CITY FL 34990

## Your Independent Investment Manager and/or Advisor

---

HBKS WEALTH ADVISORS  
S.SCHRAMM/S.SWINDLER  
1000 SE MONTEREY COMMONS BLVD  
STUART FL 34996  
(772) 287-4110

*The custodian of your brokerage account is Charles Schwab & Co., Inc.*

## Items for Attention

---

- Schwab provides your Form 1099 tax information as early and as accurately as possible. However, some issuers may provide new information about their securities after the IRS Form 1099 mailing deadline. If Schwab receives updated information from issuers of securities you hold, we are required by the IRS to send you a CORRECTED Form 1099 with changes clearly highlighted. Please plan your tax preparation accordingly.
- Please refer to the enclosed insert(s) for additional information.

## Important Official IRS Form(s) 1099 Enclosed

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The report in this package contains your income tax return documents and year-end summary. Please retain this package for tax preparation purposes.

For tax advice, please consult with a qualified tax advisor, CPA, financial planner, or investment manager. Except as noted in the Terms and Conditions, your Investment Advisors are not affiliated with, or supervised by Schwab.

### To contact Schwab:

If you have any questions or need additional information about your Form(s) 1099 or your year-end summary, please call your advisor directly, or call Schwab Alliance™ at 1-800-515-2157.

### To contact the IRS:

Tax questions for individuals: 1-800-829-1040  
Tax questions for businesses: 1-800-829-4933  
To order tax forms or publications: 1-800-829-3676  
To pay taxes by credit card: 1-888-272-9829  
For additional information and to print forms and publications, visit [www.irs.gov](http://www.irs.gov).



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**& YEAR-END SUMMARY**

Date Prepared: February 12, 2021

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

Date Prepared: February 12, 2021

Your Form 1099 Composite may include the following Internal Revenue Service (IRS) forms: 1099-DIV, 1099-INT, 1099-MISC, 1099-B and 1099-OID. You'll only receive the form(s) that apply to your particular financial situation and please keep for your records. Please note that information in the Year-End Summary is not provided to the IRS. It is provided to you as additional tax reporting information you may need to complete your tax return.

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U/A DTD 08/22/2006

Account Number  
**3409-7695**

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

Date Prepared: February 12, 2021

**Recipient's Name and Address**

JOHN C NORRIS TTEE  
JOHN C NORRIS TRUST  
U/A DTD 08/22/2006  
379 SW ASHBY LANE  
PALM CITY FL 34990

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

**Account Number:** 3409-7695

**Payer's Name and Address**

CHARLES SCHWAB & CO., INC.  
211 MAIN STREET  
SAN FRANCISCO, CA 94105

**Telephone Number:** (800) 515-2157

**Federal ID Number:** 94-1737782

**Dividends and Distributions — 2020**

**Form 1099-DIV**

Department of the Treasury-Internal Revenue Service

Copy B for Recipient (OMB No. 1545-0110)

Box	Description	Amount	Total
1a	Total Ordinary Dividends (Includes amount shown in box 1b)	\$	7,922.40
1b	Qualified Dividends	\$ 7,778.80	
2a	Total Capital Gain Distributions (Includes amounts shown in boxes 2b, 2c and 2d)	\$	76.91
2b	Unrecap. Sec. 1250 Gain	\$ 0.00	
2c	Section 1202 Gain	\$ 0.00	
2d	Collectibles (28%) Gain	\$ 0.00	
3	Nondividend Distributions	\$	0.00
4	<b>Federal Income Tax Withheld</b>	<b>\$</b>	<b>0.00</b>
5	Section 199A Dividends	\$	26.37
6	Investment Expenses	\$	0.00
7	Foreign Tax Paid	\$	122.66
8	Foreign Country or U.S. Possession		
9	Cash Liquidation Distributions	\$	0.00
10	Noncash Liquidation Distributions	\$	0.00
11	Exempt-interest Dividends	\$	1,126.25
12	Specified Private Activity Bond Interest Dividends	\$	47.06
13	State		
14	State Identification No.		
15	State Tax Withheld	\$	0.00
	FATCA Filing Requirement <input type="checkbox"/>		

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

Date Prepared: February 12, 2021

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U/A DTD 08/22/2006

Account Number  
**3409-7695**

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

## INSTRUCTIONS FOR RECIPIENTS OF FORM 1099

### 1099-DIV: Dividends and Distributions

**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.

**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 also may have a filing requirement. See the Instructions for Form 8938.

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

**Box 1a.** Shows total ordinary dividends that are taxable. Include this amount on the "Ordinary dividends" line of Form 1040 or 1040-SR. Also, report it on Schedule B (Form 1040 or 1040-SR), if required.

**Box 1b.** Shows the portion of the amount in box 1a that may be eligible for reduced capital gains rates. See the Instructions for Forms 1040 and 1040-SR for how to determine this amount and where to report.

The amount shown may be dividends a corporation paid directly to you as a participant (or beneficiary of a participant) in an employee stock ownership plan (ESOP). Report it as a dividend on your Form 1040 or 1040-SR but treat it as a plan distribution, not as investment income, for any other purpose.

**Box 2a.** Shows total capital gain distributions from a regulated investment company (RIC) or real estate investment trust (REIT). See How To Report in the Instructions for Schedule D (Form 1040 or 1040-SR). But, if no amount is shown in boxes 2c and 2d and your only capital gains and losses are capital gain distributions, you may be able to report the amounts shown in box 2a on your Form 1040 or 1040-SR rather than Schedule D. See the Instructions for Forms 1040 and 1040-SR.

**Box 2b.** Shows the portion of the amount in box 2a that is unrecaptured section 1250 gain from certain depreciable real property. See the Unrecaptured Section 1250 Gain Worksheet in the Instructions for Schedule D (Form 1040 or 1040-SR).

**Box 2c.** Shows the portion of the amount in box 2a that is section 1202 gain from certain small business stock that may be subject to an exclusion. See the Schedule D (Form 1040 or 1040-SR) instructions.

**Box 2d.** Shows 28% rate gain from sales or exchanges of collectibles. If required, use this amount when completing the 28% Rate Gain Worksheet in the Instructions for Schedule D (Form 1040 or 1040-SR).

**Box 3.** Shows a return of capital. To the extent of your cost (or other basis) in the stock, the distribution reduces your basis and is not taxable. Any amount received in excess of your basis is taxable to you as capital gain. See Pub. 550.

**Box 4.** Shows backup withholding. A payer must backup withhold on certain payments if you did not give your TIN to the payer. See Form W-9, Request for Taxpayer Identification Number and Certification, for information on backup withholding. Include this amount on your income tax return as tax withheld.

**Box 5.** Shows the portion of the amount in box 1a that may be eligible for the 20% qualified business income deduction under section 199A. See the instructions for Form 8995 and Form 8995-A.

**Box 6.** Shows your share of expenses of a nonpublicly offered RIC, generally a nonpublicly offered mutual fund. This amount is included in box 1a.

**Box 7.** Shows the foreign tax that you may be able to claim as a deduction or a credit on Form 1040 or 1040-SR. See the Instructions for Forms 1040 and 1040-SR.

**Box 8.** This box should be left blank if a RIC reported the foreign tax shown in box 7.

**Boxes 9 and 10.** Show cash and noncash liquidation distributions.

**Box 11.** Shows exempt-interest dividends from a mutual fund or other RIC paid to you during the calendar year. See the Instructions for Forms 1040 and 1040-SR for where to report. This amount may be subject to backup withholding. See Box 4 above.

**Box 12.** Shows exempt-interest dividends subject to the alternative minimum tax. This amount is included in box 11. See the Instructions for Form 6251.

**Boxes 13-15.** State income tax withheld reporting boxes.

**Nominees.** If this form includes amounts belonging to another person, you are considered a nominee recipient. You must file Form 1099-DIV (with a Form 1096) with the IRS for each of the other owners to show their share of the income, and you must furnish a Form 1099-DIV to each. A spouse is not required to file a nominee return to show amounts owned by the other spouse. See the 2020 General Instructions for Certain Information Returns.

**Future developments.** For the latest information about developments related to Form 1099-DIV and its instructions, such as legislation enacted after they were published, go to [www.irs.gov/Form1099DIV](http://www.irs.gov/Form1099DIV).





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U/A DTD 08/22/2006

Account Number  
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**TAX YEAR 2020**  
**FORM 1099 COMPOSITE**

## INSTRUCTIONS FOR RECIPIENTS OF FORM 1099

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Account Number  
3409-7695

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

Date Prepared: February 12, 2021

**Recipient's Name and Address**

JOHN C NORRIS TTEE  
JOHN C NORRIS TRUST  
U/A DTD 08/22/2006  
379 SW ASHBY LANE  
PALM CITY FL 34990

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

Account Number: 3409-7695

**Payer's Name and Address**

CHARLES SCHWAB & CO., INC.  
211 MAIN STREET  
SAN FRANCISCO, CA 94105

Telephone Number: (800) 515-2157

Federal ID Number: 94-1737782

**Interest Income — 2020**

**Form 1099-INT**

Department of the Treasury-Internal Revenue Service

Copy B for Recipient (OMB No. 1545-0112)

Box	Description	Total
1	Interest Income	\$ 4.51
3	Interest on U.S. Savings Bonds and Treasury Obligations	\$ 0.00
4	<b>Federal Income Tax Withheld</b>	<b>\$ 0.00</b>
5	Investment Expenses	\$ 0.00
6	Foreign Tax Paid	\$ 0.00
7	Foreign Country or U.S. Possession	
8	Tax-Exempt Interest	\$ 0.00
9	Specified Private Activity Bond Interest	\$ 0.00
10	Market Discount	\$ 0.00
11	Bond Premium	\$ 0.00
12	Bond Premium on Treasury Obligations	\$ 0.00
13	Bond Premium on Tax-Exempt Bond	\$ 0.00
14	Tax-Exempt and Tax Credit Bond CUSIP No.	
15	State	
16	State Identification No.	
17	State Tax Withheld	\$ 0.00
FATCA Filing Requirement <input type="checkbox"/>		

Amount in Box 9 Specified Private Activity Bond Interest subject to Alternative Minimum Tax is already included in Box 8 Tax-Exempt Interest. Both market discount and bond premium reported for covered taxable and tax-exempt bonds. Market discount is only reported if you submitted a written election to include in income currently.

**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  
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**Form 1099-INT**

Department of the Treasury-Internal Revenue Service

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15	State	
16	State Identification No.	
17	State Tax Withheld	\$ 0.00
FATCA Filing Requirement <input type="checkbox"/>		

Amount in Box 9 Specified Private Activity Bond Interest subject to Alternative Minimum Tax is already included in Box 8 Tax-Exempt Interest. Both market discount and bond premium reported for covered taxable and tax-exempt bonds. Market discount is only reported if you submitted a written election to include in income currently.

**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**

## INSTRUCTIONS FOR RECIPIENTS OF FORM 1099

### 1099-INT: Interest Income

The information provided may be different for covered and noncovered securities. For a description of covered securities, see the Instructions for Form 8949. For a taxable covered security acquired at a premium, unless you notified the payer in writing in accordance with Regulations section 1.6045-1(n)(5) that you did not want to amortize the premium under section 171, or for a tax-exempt covered security acquired at a premium, your payer generally must report either (1) a net amount of interest that reflects the offset of the amount of interest paid to you by the amount of premium amortization allocable to the payment(s), or (2) a gross amount for both the interest paid to you and the premium amortization allocable to the payment(s). If you did notify your payer that you did not want to amortize the premium on a taxable covered security, then your payer will only report the gross amount of interest paid to you. For a noncovered security acquired at a premium, your payer is only required to report the gross amount of interest paid to you.

**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.

**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 also may have a filing requirement. See the Instructions for Form 8938.

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

**Box 1.** Shows taxable interest paid to you during the calendar year by the payer. This does not include interest shown in box 3. May also show the total amount of the credits from clean renewable energy bonds, new clean renewable energy bonds, qualified energy conservation bonds, qualified zone academy bonds, qualified school construction bonds, and build America bonds that must be included in your interest income. These amounts were treated as paid to you during 2020 on the credit allowance dates (March 15, June 15, September 15, and December 15). For more information, see Form 8912. See the instructions above for a taxable covered security acquired at a premium.

**Box 3.** Shows interest on U.S. Savings Bonds, Treasury bills, Treasury bonds, and Treasury notes. This may or may not all be taxable. See Pub. 550. This interest is exempt from state and local income taxes. This interest is not included in box 1. See the instructions above for a taxable covered security acquired at a premium.

**Box 4.** Shows backup withholding. Generally, a payer must backup withhold if you did not furnish your TIN or you did not furnish the correct TIN to the payer. See Form W-9. Include this amount on your income tax return as tax withheld.

**Box 5.** Any amount shown is your share of investment expenses of a single-class REMIC. This amount is included in box 1. Note: This amount is not deductible.

**Box 6.** Shows foreign tax paid. You may be able to claim this tax as a deduction or a credit on your Form 1040 or 1040-SR. See your tax return instructions.

**Box 7.** Shows the country or U.S. possession to which the foreign tax was paid.

**Box 8.** Shows tax-exempt interest paid to you during the calendar year by the payer. See how to report this amount in the Instructions for Form 1040 and 1040-SR. This amount may be subject to backup withholding. See Box 4 above. See the instructions above for a tax-exempt covered security acquired at a premium.

**Box 9.** Shows tax-exempt interest subject to the alternative minimum tax. This amount is included in box 8. See the Instructions for Form 6251. See the instructions above for a tax-exempt covered security acquired at a premium.

**Box 10.** For a taxable or tax-exempt covered security, if you made an election under section 1278(b) to include market discount in income as it accrues and you notified your payer of the election in writing in accordance with Regulations section 1.6045-1(n)(5), shows the market discount that accrued on the debt instrument during the year while held by you, unless it was reported on Form 1099-OID. For a taxable or tax-exempt covered security acquired on or after January 1, 2015, accrued market discount will be calculated on a constant yield basis unless you notified your payer in writing in accordance with Regulations section 1.6045-1(n)(5) that you did not want to make a constant yield election for market discount under section 1276(b). Report the accrued market discount on your income tax return as directed in the Instructions for Form 1040 and 1040-SR. Market discount on a tax-exempt security is includible in taxable income as interest income.

**Box 11.** For a taxable covered security (other than a U.S. Treasury obligation), shows the amount of premium amortization allocable to the interest payment(s), unless you notified the payer in writing in accordance with Regulations section 1.6045-1(n)(5) that you did not want to amortize bond premium under section 171. If an amount is reported in this box, see the Instructions for Schedule B (Form 1040 or 1040-SR) to determine the net amount of interest includible in income on Form 1040 or 1040-SR with respect to the security. If an amount is not reported in this box for a taxable covered security acquired at a premium and the payer is reporting premium amortization, the payer has reported a net amount of interest in box 1. If the amount in box 11 is greater than the amount of interest paid on the covered security, see Regulations section 1.171-2(a)(4).

**Box 12.** For a U.S. Treasury obligation that is a covered security, shows the amount of premium amortization allocable to the interest payment(s), unless you notified the payer in writing in accordance with Regulations section 1.6045-1(n)(5) that you did not want to amortize bond premium under section 171. If an amount is reported in this box, see the Instructions for Schedule B (Form 1040 or 1040-SR) to determine the net amount of interest includible in income on Form 1040 or 1040-SR with respect to the U.S. Treasury obligation. If an amount is not reported in this box for a U.S. Treasury obligation that is a covered security acquired at a premium and the payer is reporting premium amortization, the payer has reported a net amount of interest in box 3. If the amount in box 12 is greater than the amount of interest paid on the U.S. Treasury obligation, see Regulations section 1.171-2(a)(4).

**Box 13.** For a tax-exempt covered security, shows the amount of premium amortization allocable to the interest payment(s). If an amount is reported in this box, see Pub. 550 to determine the net amount of tax-exempt interest reportable on Form 1040 or 1040-SR. If an amount is not reported in this box for a tax-exempt covered security acquired at a premium, the payer has reported a net amount of interest in box 8 or 9, whichever is applicable. If the amount in box 13 is greater than the amount of interest paid on the tax-exempt covered security, the excess is a nondeductible loss. See Regulations section 1.171-2(a)(4)(ii).

**Box 14.** Shows CUSIP number(s) for tax-exempt bond(s) on which tax-exempt interest was paid, or tax credit bond(s) on which taxable interest was paid or tax credit was allowed, to you during the calendar year. If blank, no CUSIP number was issued for the bond(s).

**Boxes 15-17.** State tax withheld reporting boxes.

**Nominees.** If this form includes amounts belonging to another person(s), you are considered a nominee recipient. Complete a Form 1099-INT for each of the other owners showing the income allocable to each. File Copy A of the form with the IRS. Furnish Copy B to each owner. List yourself as the "payer" and the other owner(s) as the "recipient." File Form(s) 1099-INT with Form 1096 with the Internal Revenue Service Center for your area. On Form 1096, list yourself as the "filer." A spouse is not required to file a nominee return to show amounts owned by the other spouse.

**Future developments.** For the latest information about developments related to Form 1099-INT and its instructions, such as legislation enacted after they were published, go to [www.irs.gov/Form1099INT](http://www.irs.gov/Form1099INT).



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-INT: Interest Income

The information provided may be different for covered and noncovered securities. For a description of covered securities, see the Instructions for Form 8949. For a taxable covered security acquired at a premium, unless you notified the payer in writing in accordance with Regulations section 1.6045-1(n)(5) that you did not want to amortize the premium under section 171, or for a tax-exempt covered security acquired at a premium, your payer generally must report either (1) a net amount of interest that reflects the offset of the amount of interest paid to you by the amount of premium amortization allocable to the payment(s), or (2) a gross amount for both the interest paid to you and the premium amortization allocable to the payment(s). If you did notify your payer that you did not want to amortize the premium on a taxable covered security, then your payer will only report the gross amount of interest paid to you. For a noncovered security acquired at a premium, your payer is only required to report the gross amount of interest paid to you.

**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.

**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 also may have a filing requirement. See the Instructions for Form 8938.

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

**Box 1.** Shows taxable interest paid to you during the calendar year by the payer. This does not include interest shown in box 3. May also show the total amount of the credits from clean renewable energy bonds, new clean renewable energy bonds, qualified energy conservation bonds, qualified zone academy bonds, qualified school construction bonds, and build America bonds that must be included in your interest income. These amounts were treated as paid to you during 2020 on the credit allowance dates (March 15, June 15, September 15, and December 15). For more information, see Form 8912. See the instructions above for a taxable covered security acquired at a premium.

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**Box 4.** Shows backup withholding. Generally, a payer must backup withhold if you did not furnish your TIN or you did not furnish the correct TIN to the payer. See Form W-9. Include this amount on your income tax return as tax withheld.

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**Box 7.** Shows the country or U.S. possession to which the foreign tax was paid.

**Box 8.** Shows tax-exempt interest paid to you during the calendar year by the payer. See how to report this amount in the Instructions for Form 1040 and 1040-SR. This amount may be subject to backup withholding. See Box 4 above. See the instructions above for a tax-exempt covered security acquired at a premium.

**Box 9.** Shows tax-exempt interest subject to the alternative minimum tax. This amount is included in box 8. See the Instructions for Form 6251. See the instructions above for a tax-exempt covered security acquired at a premium.

**Box 10.** For a taxable or tax-exempt covered security, if you made an election under section 1278(b) to include market discount in income as it accrues and you notified your payer of the election in writing in accordance with Regulations section 1.6045-1(n)(5), shows the market discount that accrued on the debt instrument during the year while held by you, unless it was reported on Form 1099-OID. For a taxable or tax-exempt covered security acquired on or after January 1, 2015, accrued market discount will be calculated on a constant yield basis unless you notified your payer in writing in accordance with Regulations section 1.6045-1(n)(5) that you did not want to make a constant yield election for market discount under section 1276(b). Report the accrued market discount on your income tax return as directed in the Instructions for Form 1040 and 1040-SR. Market discount on a tax-exempt security is includible in taxable income as interest income.

**Box 11.** For a taxable covered security (other than a U.S. Treasury obligation), shows the amount of premium amortization allocable to the interest payment(s), unless you notified the payer in writing in accordance with Regulations section 1.6045-1(n)(5) that you did not want to amortize bond premium under section 171. If an amount is reported in this box, see the Instructions for Schedule B (Form 1040 or 1040-SR) to determine the net amount of interest includible in income on Form 1040 or 1040-SR with respect to the security. If an amount is not reported in this box for a taxable covered security acquired at a premium and the payer is reporting premium amortization, the payer has reported a net amount of interest in box 1. If the amount in box 11 is greater than the amount of interest paid on the covered security, see Regulations section 1.171-2(a)(4).

**Box 12.** For a U.S. Treasury obligation that is a covered security, shows the amount of premium amortization allocable to the interest payment(s), unless you notified the payer in writing in accordance with Regulations section 1.6045-1(n)(5) that you did not want to amortize bond premium under section 171. If an amount is reported in this box, see the Instructions for Schedule B (Form 1040 or 1040-SR) to determine the net amount of interest includible in income on Form 1040 or 1040-SR with respect to the U.S. Treasury obligation. If an amount is not reported in this box for a U.S. Treasury obligation that is a covered security acquired at a premium and the payer is reporting premium amortization, the payer has reported a net amount of interest in box 3. If the amount in box 12 is greater than the amount of interest paid on the U.S. Treasury obligation, see Regulations section 1.171-2(a)(4).

**Box 13.** For a tax-exempt covered security, shows the amount of premium amortization allocable to the interest payment(s). If an amount is reported in this box, see Pub. 550 to determine the net amount of tax-exempt interest reportable on Form 1040 or 1040-SR. If an amount is not reported in this box for a tax-exempt covered security acquired at a premium, the payer has reported a net amount of interest in box 8 or 9, whichever is applicable. If the amount in box 13 is greater than the amount of interest paid on the tax-exempt covered security, the excess is a nondeductible loss. See Regulations section 1.171-2(a)(4)(ii).

**Box 14.** Shows CUSIP number(s) for tax-exempt bond(s) on which tax-exempt interest was paid, or tax credit bond(s) on which taxable interest was paid or tax credit was allowed, to you during the calendar year. If blank, no CUSIP number was issued for the bond(s).

**Boxes 15-17.** State tax withheld reporting boxes.

**Nominees.** If this form includes amounts belonging to another person(s), you are considered a nominee recipient. Complete a Form 1099-INT for each of the other owners showing the income allocable to each. File Copy A of the form with the IRS. Furnish Copy B to each owner. List yourself as the "payer" and the other owner(s) as the "recipient." File Form(s) 1099-INT with Form 1096 with the Internal Revenue Service Center for your area. On Form 1096, list yourself as the "filer." A spouse is not required to file a nominee return to show amounts owned by the other spouse.

**Future developments.** For the latest information about developments related to Form 1099-INT and its instructions, such as legislation enacted after they were published, go to [www.irs.gov/Form1099INT](http://www.irs.gov/Form1099INT).



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

**Recipient's Name and Address**

JOHN C NORRIS TTEE  
JOHN C NORRIS TRUST  
U/A DTD 08/22/2006  
379 SW ASHBY LANE  
PALM CITY FL 34990

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

Account Number: 3409-7695

**Payer's Name and Address**

CHARLES SCHWAB & CO., INC.  
211 MAIN STREET  
SAN FRANCISCO, CA 94105

Telephone Number: (800) 515-2157

Federal ID Number: 94-1737782

**Proceeds from Broker Transactions — 2020**

**Form 1099-B**

Department of the Treasury-Internal Revenue Service

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

**SHORT-TERM TRANSACTIONS FOR WHICH BASIS IS REPORTED TO THE IRS** - Report on Form 8949, Part I, with **Box A** checked.

1a-Description of property (Example 100 sh. XYZ Co.) CUSIP Number / Symbol		1b-Date acquired	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
		1c-Date sold or disposed						
37 SCHWAB US BROAD MARKET ETF	S	03/19/20	\$ 3,039.21	\$ 2,106.26	--	\$	932.95 \$	0.00
808524102 / SCHB		10/21/20			--			
<b>Security Subtotal</b>			<b>\$ 3,039.21</b>	<b>\$ 2,106.26</b>	--	<b>\$</b>	<b>932.95 \$</b>	<b>0.00</b>
1,351 VANGUARD INTERM-TERM TX-EX AD	S	04/06/20	\$ 19,985.00	\$ 19,141.30	--	\$	843.70 \$	0.00
922907878 / VWIUX		08/04/20			--			
<b>Security Subtotal</b>			<b>\$ 19,985.00</b>	<b>\$ 19,141.30</b>	--	<b>\$</b>	<b>843.70 \$</b>	<b>0.00</b>
<b>Total Short-Term (Cost basis is reported to the IRS)</b>			<b>\$ 23,024.21</b>	<b>\$ 21,247.56</b>	--	<b>\$</b>	<b>1,776.65 \$</b>	<b>0.00</b>
<b>Total Short-Term Sales Price of Stocks, Bonds, etc.</b>			<b>\$ 23,024.21</b>	<b>\$ 21,247.56</b>	--	<b>\$</b>	<b>1,776.65 \$</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  
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

**Recipient's Name and Address**

JOHN C NORRIS TTEE  
JOHN C NORRIS TRUST  
U/A DTD 08/22/2006  
379 SW ASHBY LANE  
PALM CITY FL 34990

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

Account Number: 3409-7695

**Payer's Name and Address**

CHARLES SCHWAB & CO., INC.  
211 MAIN STREET  
SAN FRANCISCO, CA 94105

Telephone Number: (800) 515-2157

Federal ID Number: 94-1737782

**Proceeds from Broker Transactions — 2020**

**Form 1099-B**

Department of the Treasury-Internal Revenue Service

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

**SHORT-TERM TRANSACTIONS FOR WHICH BASIS IS REPORTED TO THE IRS** - Report on Form 8949, Part I, with **Box A** checked.

1a-Description of property (Example 100 sh. XYZ Co.) CUSIP Number / Symbol	**	1b-Date acquired	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
		1c-Date sold or disposed						
37 SCHWAB US BROAD MARKET ETF 808524102 / SCHB	S	03/19/20 10/21/20	\$ 3,039.21	\$ 2,106.26	--	\$	932.95 \$	0.00
<b>Security Subtotal</b>			<b>\$ 3,039.21</b>	<b>\$ 2,106.26</b>	--	\$	<b>932.95 \$</b>	<b>0.00</b>
1,351 VANGUARD INTERM-TERM TX-EX AD 922907878 / VWIUX	S	04/06/20 08/04/20	\$ 19,985.00	\$ 19,141.30	--	\$	843.70 \$	0.00
<b>Security Subtotal</b>			<b>\$ 19,985.00</b>	<b>\$ 19,141.30</b>	--	\$	<b>843.70 \$</b>	<b>0.00</b>
<b>Total Short-Term (Cost basis is reported to the IRS)</b>			<b>\$ 23,024.21</b>	<b>\$ 21,247.56</b>	--	\$	<b>1,776.65 \$</b>	<b>0.00</b>
<b>Total Short-Term Sales Price of Stocks, Bonds, etc.</b>			<b>\$ 23,024.21</b>	<b>\$ 21,247.56</b>	--	\$	<b>1,776.65 \$</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  
JOHN C NORRIS TTEE  
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Account Number  
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TAX YEAR 2020  
FORM 1099 COMPOSITE

Date Prepared: February 12, 2021

Recipient's Name and Address

JOHN C NORRIS TTEE  
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U/A DTD 08/22/2006  
379 SW ASHBY LANE  
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Proceeds from Broker Transactions — 2020

Form 1099-B

Department of the Treasury-Internal Revenue Service

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

SHORT-TERM TRANSACTIONS FOR WHICH BASIS IS REPORTED TO THE IRS - Report on Form 8949, Part I, with **Box A** checked.

1a-Description of property (Example 100 sh. XYZ Co.) CUSIP Number / Symbol	**	1b-Date acquired	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
		1c-Date sold or disposed						
37 SCHWAB US BROAD MARKET ETF 808524102 / SCHB	S	03/19/20 10/21/20	\$ 3,039.21	\$ 2,106.26	--	\$	932.95 \$	0.00
<b>Security Subtotal</b>			<b>\$ 3,039.21</b>	<b>\$ 2,106.26</b>	--	\$	<b>932.95 \$</b>	<b>0.00</b>
1,351 VANGUARD INTERM-TERM TX-EX AD 922907878 / VWIUX	S	04/06/20 08/04/20	\$ 19,985.00	\$ 19,141.30	--	\$	843.70 \$	0.00
<b>Security Subtotal</b>			<b>\$ 19,985.00</b>	<b>\$ 19,141.30</b>	--	\$	<b>843.70 \$</b>	<b>0.00</b>
<b>Total Short-Term (Cost basis is reported to the IRS)</b>			<b>\$ 23,024.21</b>	<b>\$ 21,247.56</b>	--	\$	<b>1,776.65 \$</b>	<b>0.00</b>
<b>Total Short-Term Sales Price of Stocks, Bonds, etc.</b>			<b>\$ 23,024.21</b>	<b>\$ 21,247.56</b>	--	\$	<b>1,776.65 \$</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  
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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  
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).

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**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.

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**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).

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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

## 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.

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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.



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
<b>Security Subtotal</b>			<b>\$ 57,416.53</b>	<b>\$ 57,500.00</b>	-- \$	<b>(83.47) \$</b>	<b>0.00</b>
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
<b>Security Subtotal</b>			<b>\$ 11,108.10</b>	<b>\$ 11,250.00</b>	-- \$	<b>(141.90) \$</b>	<b>0.00</b>
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
<b>Security Subtotal</b>			<b>\$ 12,838.63</b>	<b>\$ 11,250.00</b>	-- \$	<b>1,588.63 \$</b>	<b>0.00</b>
276 JPMORGAN STRATEGIC INCOME OPP 4812A4385 / JSOAX	S	12/21/18 03/12/20	\$ 3,116.05	\$ 3,132.63	-- \$	(16.58) \$	0.00
<b>Security Subtotal</b>			<b>\$ 3,116.05</b>	<b>\$ 3,132.63</b>	-- \$	<b>(16.58) \$</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.

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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 ☐

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Schwab One® Trust Account of  
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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 ☐

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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
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.





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
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 ☐

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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
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.

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Schwab One® Trust Account of  
JOHN C NORRIS TTEE  
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Account Number  
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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 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.

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Schwab One® Trust Account of  
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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
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.

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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 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
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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.

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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 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		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)	1e-Cost or other basis	1g-Wash Sale Loss Disallowed			
82 NEXTERA ENERGY INC 65339F101 / NEE	S	07/12/01 11/25/20	\$ 6,119.69	\$ 589.48	--	\$ 5,530.21	\$ 0.00	
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.

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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

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**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		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)	1e-Cost or other basis	1g-Wash Sale Loss Disallowed			
82 NEXTERA ENERGY INC 65339F101 / NEE	S	07/12/01 11/25/20	\$ 6,119.69	\$ 589.48	--	\$ 5,530.21	\$ 0.00	
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 ☐

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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 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		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)	1e-Cost or other basis	1g-Wash Sale Loss Disallowed			
82 NEXTERA ENERGY INC 65339F101 / NEE	S	07/12/01 11/25/20	\$ 6,119.69	\$ 589.48	--	\$ 5,530.21	\$ 0.00	
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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 ☐

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Schwab One® Trust Account of  
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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	

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Schwab One® Trust Account of  
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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  
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## TAX YEAR 2020 YEAR-END SUMMARY

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

Date Prepared: February 12, 2021

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## INTEREST & DIVIDENDS

The information in the following sections may be helpful for, but not limited to, Schedule B. Please consult with your tax advisor or financial advisor regarding specific questions.

### Detail Information of Dividends and Distributions

Description	Symbol	CUSIP Number	Paid in 2020	Paid/Adjusted in 2021 for 2020	Amount
<b>Ordinary Dividends</b>					
<b>Non-Qualified Dividends</b>					
INVESCO RUSSELL 1000	OMFL	46138J619	\$ 202.88	\$ (187.97)	\$ 14.91
ISHARES MICRO CAP ETF	IWC	464288869	\$ 267.05	\$ (209.52)	\$ 57.53
ISHARES MSCI EAFE ETF	EFA	464287465	\$ 1,100.11	\$ (1,057.89)	\$ 42.22
JPMORGAN STRATEGIC INCM	JSOAX	4812A4385	\$ 9.05	\$ 0.00	\$ 9.05
SCHWAB US BROAD MARKET	SCHB	808524102	\$ 123.11	\$ (112.45)	\$ 10.66
SCHWAB US LARGE CAP ETF	SCHX	808524201	\$ 502.75	\$ (493.52)	\$ 9.23
<b>Total Non-Qualified Dividends (Included in Box 1a)</b>			<b>\$ 2,204.95</b>	<b>\$ (2,061.35)</b>	<b>\$ 143.60</b>
<b>Qualified Dividends</b>					
ALICO INC	ALCO	016230104	\$ 108.00	\$ 0.00	\$ 108.00
GATEWAY FUND CL A	GATEX	367829207	\$ 15.30	\$ 0.00	\$ 15.30
INVESCO RUSSELL 1000	OMFL	46138J619	\$ 0.00	\$ 187.97	\$ 187.97
ISHARES MICRO CAP ETF	IWC	464288869	\$ 0.00	\$ 209.52	\$ 209.52
ISHARES MSCI EAFE ETF	EFA	464287465	\$ 0.00	\$ 1,145.16	\$ 1,145.16
JPMORGAN EMERGING MARKET	JMIEX	4812A0631	\$ 68.69	\$ 35.39	\$ 104.08
NEXTERA ENERGY INC	NEE	65339F101	\$ 2,760.80	\$ 0.00	\$ 2,760.80
SCHWAB US BROAD MARKET	SCHB	808524102	\$ 0.00	\$ 112.45	\$ 112.45
SCHWAB US LARGE CAP ETF	SCHX	808524201	\$ 0.00	\$ 493.52	\$ 493.52



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## INTEREST & DIVIDENDS

The information in the following sections may be helpful for, but not limited to, Schedule B. Please consult with your tax advisor or financial advisor regarding specific questions.

### Detail Information of Dividends and Distributions

Description	Symbol	CUSIP Number	Paid in 2020	Paid/Adjusted in 2021 for 2020	Amount
<b>Ordinary Dividends</b>					
<b>Non-Qualified Dividends</b>					
INVESCO RUSSELL 1000	OMFL	46138J619	\$ 202.88	\$ (187.97)	\$ 14.91
ISHARES MICRO CAP ETF	IWC	464288869	\$ 267.05	\$ (209.52)	\$ 57.53
ISHARES MSCI EAFE ETF	EFA	464287465	\$ 1,100.11	\$ (1,057.89)	\$ 42.22
JPMORGAN STRATEGIC INCM	JSOAX	4812A4385	\$ 9.05	\$ 0.00	\$ 9.05
SCHWAB US BROAD MARKET	SCHB	808524102	\$ 123.11	\$ (112.45)	\$ 10.66
SCHWAB US LARGE CAP ETF	SCHX	808524201	\$ 502.75	\$ (493.52)	\$ 9.23
<b>Total Non-Qualified Dividends (Included in Box 1a)</b>			<b>\$ 2,204.95</b>	<b>\$ (2,061.35)</b>	<b>\$ 143.60</b>
<b>Qualified Dividends</b>					
ALICO INC	ALCO	016230104	\$ 108.00	\$ 0.00	\$ 108.00
GATEWAY FUND CL A	GATEX	367829207	\$ 15.30	\$ 0.00	\$ 15.30
INVESCO RUSSELL 1000	OMFL	46138J619	\$ 0.00	\$ 187.97	\$ 187.97
ISHARES MICRO CAP ETF	IWC	464288869	\$ 0.00	\$ 209.52	\$ 209.52
ISHARES MSCI EAFE ETF	EFA	464287465	\$ 0.00	\$ 1,145.16	\$ 1,145.16
JPMORGAN EMERGING MARKET	JMIEX	4812A0631	\$ 68.69	\$ 35.39	\$ 104.08
NEXTERA ENERGY INC	NEE	65339F101	\$ 2,760.80	\$ 0.00	\$ 2,760.80
SCHWAB US BROAD MARKET	SCHB	808524102	\$ 0.00	\$ 112.45	\$ 112.45
SCHWAB US LARGE CAP ETF	SCHX	808524201	\$ 0.00	\$ 493.52	\$ 493.52



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**TAX YEAR 2020  
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**Detail Information of Dividends and Distributions (continued)**

Description	Symbol	CUSIP Number	Paid in 2020		Paid/Adjusted in 2021 for 2020		Amount
Qualified Dividends (continued)							
T. ROWE PRICE DIVIDEND G	PDGIX	779546308	\$	134.44	\$	0.00	\$ 134.44
THE COCA-COLA CO	KO	191216100	\$	2,507.56	\$	0.00	\$ 2,507.56
Total Qualified Dividends (Box 1b and included in Box 1a)			\$	5,594.79	\$	2,184.01	\$ 7,778.80
Total Ordinary Dividends (Box 1a)			\$	7,799.74	\$	122.66	\$ 7,922.40
(Total Non-Qualified Dividends, Short-Term Capital Gains and Qualified Dividends)							
Capital Gain Distributions							
Long-Term Gain							
NATIONWIDE GENEVA SMALL	NWKDX	63868B658	\$	76.91	\$	0.00	\$ 76.91
Total Long-Term Gain (Included in Box 2a)			\$	76.91	\$	0.00	\$ 76.91
Total Capital Gain Distributions (Box 2a)			\$	76.91	\$	0.00	\$ 76.91
Section 199A Dividends							
ISHARES MICRO CAP ETF IV	IWC	464288869	\$	0.00	\$	26.37	\$ 26.37
Total Section 199A Dividends (Box 5)			\$	0.00	\$	26.37	\$ 26.37
Foreign Tax Paid							
Country							
ISHARES MSCI EAFE ETF	RIC	464287465	\$	0.00	\$	(87.27)	\$ (87.27)
JPMORGAN EMERGING MARKET	RIC	4812A0631	\$	0.00	\$	(35.39)	\$ (35.39)
Total Foreign Tax Paid (Box 7)			\$	0.00	\$	(122.66)	\$ (122.66)



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**TAX YEAR 2020  
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**Detail Information of Dividends and Distributions (continued)**

Description	Symbol	CUSIP Number	Paid in 2020		Paid/Adjusted in 2021 for 2020		Amount
Qualified Dividends (continued)							
T. ROWE PRICE DIVIDEND G	PDGIX	779546308	\$	134.44	\$	0.00	\$ 134.44
THE COCA-COLA CO	KO	191216100	\$	2,507.56	\$	0.00	\$ 2,507.56
Total Qualified Dividends (Box 1b and included in Box 1a)			\$	5,594.79	\$	2,184.01	\$ 7,778.80
Total Ordinary Dividends (Box 1a)			\$	7,799.74	\$	122.66	\$ 7,922.40
(Total Non-Qualified Dividends, Short-Term Capital Gains and Qualified Dividends)							
Capital Gain Distributions							
Long-Term Gain							
NATIONWIDE GENEVA SMALL	NWKDX	63868B658	\$	76.91	\$	0.00	\$ 76.91
Total Long-Term Gain (Included in Box 2a)			\$	76.91	\$	0.00	\$ 76.91
Total Capital Gain Distributions (Box 2a)			\$	76.91	\$	0.00	\$ 76.91
Section 199A Dividends							
ISHARES MICRO CAP ETF IV	IWC	464288869	\$	0.00	\$	26.37	\$ 26.37
Total Section 199A Dividends (Box 5)			\$	0.00	\$	26.37	\$ 26.37
Foreign Tax Paid							
Country							
ISHARES MSCI EAFE ETF	RIC	464287465	\$	0.00	\$	(87.27)	\$ (87.27)
JPMORGAN EMERGING MARKET	RIC	4812A0631	\$	0.00	\$	(35.39)	\$ (35.39)
Total Foreign Tax Paid (Box 7)			\$	0.00	\$	(122.66)	\$ (122.66)



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## TAX YEAR 2020 YEAR-END SUMMARY

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### Detail Information of Dividends and Distributions (continued)

Description	Symbol	CUSIP Number	Paid in 2020		Paid/Adjusted in 2021 for 2020		Amount
Exempt-Interest Dividends							
DWS INTERM TAX FREE S	SCMTX	25159H405	\$	471.26	\$	0.00	\$ 471.26
VANGUARD INTERM-TERM TX-	VWIUX	922907878	\$	654.99	\$	0.00	\$ 654.99
Total Exempt-Interest Dividends (Box 11)			\$	1,126.25	\$	0.00	\$ 1,126.25
Specified Private Activity Bond Interest Dividends							
DWS INTERM TAX FREE S	SCMTX	25159H405	\$	0.00	\$	47.06	\$ 47.06
Total Specified Private Activity Bond Interest Dividends (Box 12)			\$	0.00	\$	47.06	\$ 47.06

### Detail Information of Interest Income

Description	CUSIP Number	Paid in 2020		Paid/Adjusted in 2021 for 2020		Amount
Interest Income						
DEPOSIT INTEREST		\$	4.51	\$	0.00	\$ 4.51
Total Interest Income (Included in Box 1)		\$	4.51	\$	0.00	\$ 4.51
Total Interest Income (Box 1)		\$	4.51	\$	0.00	\$ 4.51



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### Detail Information of Dividends and Distributions (continued)

Description	Symbol	CUSIP Number	Paid in 2020		Paid/Adjusted in 2021 for 2020		Amount
Exempt-Interest Dividends							
DWS INTERM TAX FREE S	SCMTX	25159H405	\$	471.26	\$	0.00	\$ 471.26
VANGUARD INTERM-TERM TX-	VWIUX	922907878	\$	654.99	\$	0.00	\$ 654.99
Total Exempt-Interest Dividends (Box 11)			\$	1,126.25	\$	0.00	\$ 1,126.25
Specified Private Activity Bond Interest Dividends							
DWS INTERM TAX FREE S	SCMTX	25159H405	\$	0.00	\$	47.06	\$ 47.06
Total Specified Private Activity Bond Interest Dividends (Box 12)			\$	0.00	\$	47.06	\$ 47.06

### Detail Information of Interest Income

Description	CUSIP Number	Paid in 2020		Paid/Adjusted in 2021 for 2020		Amount
Interest Income						
DEPOSIT INTEREST		\$	4.51	\$	0.00	\$ 4.51
Total Interest Income (Included in Box 1)		\$	4.51	\$	0.00	\$ 4.51
Total Interest Income (Box 1)		\$	4.51	\$	0.00	\$ 4.51





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## 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.

### Short-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 I, with Box A 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)
Schwab US Broad Market ETF	808524102	37.00	03/19/20	10/21/20	\$ 3,039.21	\$ 2,106.26	-- \$	932.95
<b>Security Subtotal</b>					<b>\$ 3,039.21</b>	<b>\$ 2,106.26</b>	<b>-- \$</b>	<b>932.95</b>
Vanguard Inter-Term TX-EX ADM	922907878	1,351.35	04/06/20	08/04/20	\$ 19,985.00	\$ 19,141.30	-- \$	843.70
<b>Security Subtotal</b>					<b>\$ 19,985.00</b>	<b>\$ 19,141.30</b>	<b>-- \$</b>	<b>843.70</b>
<b>Total Short-Term</b> (Cost basis is reported to the IRS)					<b>\$ 23,024.21</b>	<b>\$ 21,247.56</b>	<b>-- \$</b>	<b>1,776.65</b>
<b>Total Short-Term</b>					<b>\$ 23,024.21</b>	<b>\$ 21,247.56</b>	<b>-- \$</b>	<b>1,776.65</b>

### 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)
DWS Intermediate Tax-Free S	25159H405	472.50	12/21/18	03/12/20	\$ 5,500.00	\$ 5,448.03	-- \$	51.97

Please see the "Endnotes for Your Realized Gain or (Loss)" for an explanation of the codes and symbols in this Realized Gain or (Loss) section.



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**TAX YEAR 2020  
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**Long-Term Realized Gain or (Loss) (continued)**

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)
DWS INTERMEDIATE TAX-FREE S	25159H405	4,514.48	12/21/18	04/03/20	\$ 51,916.53	\$ 52,051.97	-- \$	(135.44)
<b>Security Subtotal</b>					<b>\$ 57,416.53</b>	<b>\$ 57,500.00</b>	<b>-- \$</b>	<b>(83.47)</b>
GATEWAY A	367829207	173.02	11/20/18	03/19/20	\$ 5,291.07	\$ 5,625.02	-- \$	(333.95)
GATEWAY A	367829207	173.02	11/20/18	06/22/20	\$ 5,817.03	\$ 5,624.98	-- \$	192.05
<b>Security Subtotal</b>					<b>\$ 11,108.10</b>	<b>\$ 11,250.00</b>	<b>-- \$</b>	<b>(141.90)</b>
HARDING LOEVNER INTERNATIONAL EQ INV	412295503	563.34	11/20/18	06/22/20	\$ 12,838.63	\$ 11,250.00	-- \$	1,588.63
<b>Security Subtotal</b>					<b>\$ 12,838.63</b>	<b>\$ 11,250.00</b>	<b>-- \$</b>	<b>1,588.63</b>
JPMORGAN STRATEGIC INCOME OPPORTS A	4812A4385	276.24	12/21/18	03/12/20	\$ 3,116.05	\$ 3,132.63	-- \$	(16.58)
<b>Security Subtotal</b>					<b>\$ 3,116.05</b>	<b>\$ 3,132.63</b>	<b>-- \$</b>	<b>(16.58)</b>
SCHWAB US LARGE CAP ETF	808524201	250.00	01/08/16	08/04/20	\$ 19,799.59	\$ 11,454.05	-- \$	8,345.54
<b>Security Subtotal</b>					<b>\$ 19,799.59</b>	<b>\$ 11,454.05</b>	<b>-- \$</b>	<b>8,345.54</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>

Please see the "Endnotes for Your Realized Gain or (Loss)" for an explanation of the codes and symbols in this Realized Gain or (Loss) section.



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**TAX YEAR 2020  
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**Long-Term Realized Gain or (Loss) (continued)**

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)
DWS INTERMEDIATE TAX-FREE S	25159H405	4,514.48	12/21/18	04/03/20	\$ 51,916.53	\$ 52,051.97	-- \$	(135.44)
<b>Security Subtotal</b>					<b>\$ 57,416.53</b>	<b>\$ 57,500.00</b>	<b>-- \$</b>	<b>(83.47)</b>
GATEWAY A	367829207	173.02	11/20/18	03/19/20	\$ 5,291.07	\$ 5,625.02	-- \$	(333.95)
GATEWAY A	367829207	173.02	11/20/18	06/22/20	\$ 5,817.03	\$ 5,624.98	-- \$	192.05
<b>Security Subtotal</b>					<b>\$ 11,108.10</b>	<b>\$ 11,250.00</b>	<b>-- \$</b>	<b>(141.90)</b>
HARDING LOEVNER INTERNATIONAL EQ INV	412295503	563.34	11/20/18	06/22/20	\$ 12,838.63	\$ 11,250.00	-- \$	1,588.63
<b>Security Subtotal</b>					<b>\$ 12,838.63</b>	<b>\$ 11,250.00</b>	<b>-- \$</b>	<b>1,588.63</b>
JPMORGAN STRATEGIC INCOME OPPORTS A	4812A4385	276.24	12/21/18	03/12/20	\$ 3,116.05	\$ 3,132.63	-- \$	(16.58)
<b>Security Subtotal</b>					<b>\$ 3,116.05</b>	<b>\$ 3,132.63</b>	<b>-- \$</b>	<b>(16.58)</b>
SCHWAB US LARGE CAP ETF	808524201	250.00	01/08/16	08/04/20	\$ 19,799.59	\$ 11,454.05	-- \$	8,345.54
<b>Security Subtotal</b>					<b>\$ 19,799.59</b>	<b>\$ 11,454.05</b>	<b>-- \$</b>	<b>8,345.54</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>

Please see the "Endnotes for Your Realized Gain or (Loss)" for an explanation of the codes and symbols in this Realized Gain or (Loss) section.



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

This section is for noncovered securities and corresponds to transactions reported on your 1099-B as "cost basis is available but not reported to the IRS." Report on Form 8949, Part II, with Box E 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)
HARDING LOEVNER EMERGING MARKETS ADVISOR	412295305	328.90	07/17/09	06/22/20	\$ 16,600.00	\$ 11,427.47	-- \$	5,172.53
HARDING LOEVNER EMERGING MARKETS ADVISOR	412295305	573.35	07/17/09	08/05/20	\$ 31,396.97	\$ 19,920.50	-- \$	11,476.47
HARDING LOEVNER EMERGING MARKETS ADVISOR	412295305	9.62	12/17/10	08/05/20	\$ 527.01	\$ 334.37	-- \$	192.64
<b>Security Subtotal</b>					<b>\$ 48,523.98</b>	<b>\$ 31,682.34</b>	<b>-- \$</b>	<b>16,841.64</b>
ISHARES MICRO CAP ETF	464288869	67.00	05/28/09	10/21/20	\$ 6,453.64	\$ 2,102.08	-- \$	4,351.56
<b>Security Subtotal</b>					<b>\$ 6,453.64</b>	<b>\$ 2,102.08</b>	<b>-- \$</b>	<b>4,351.56</b>
ISHARES MSCI EAFE ETF	464287465	204.00	03/26/09	10/21/20	\$ 13,191.37	\$ 7,974.47	-- \$	5,216.90
<b>Security Subtotal</b>					<b>\$ 13,191.37</b>	<b>\$ 7,974.47</b>	<b>-- \$</b>	<b>5,216.90</b>
NEXTERA ENERGY INC	65339F101	82.00	07/12/01	11/25/20	\$ 6,119.69	\$ 589.48 <sup>†</sup>	-- \$	5,530.21
<b>Security Subtotal</b>					<b>\$ 6,119.69</b>	<b>\$ 589.48</b>	<b>-- \$</b>	<b>5,530.21</b>
<b>Total Long-Term</b> (Cost basis is available but not reported to the IRS)					<b>\$ 74,288.68</b>	<b>\$ 42,348.37</b>	<b>-- \$</b>	<b>31,940.31</b>
<b>Total Long-Term</b>					<b>\$ 178,567.58</b>	<b>\$ 136,935.05</b>	<b>-- \$</b>	<b>41,632.53</b>



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 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.

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

This section is for noncovered securities and corresponds to transactions reported on your 1099-B as "cost basis is available but not reported to the IRS." Report on Form 8949, Part II, with Box E 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)
HARDING LOEVNER EMERGING MARKETS ADVISOR	412295305	328.90	07/17/09	06/22/20	\$ 16,600.00	\$ 11,427.47	-- \$	5,172.53
HARDING LOEVNER EMERGING MARKETS ADVISOR	412295305	573.35	07/17/09	08/05/20	\$ 31,396.97	\$ 19,920.50	-- \$	11,476.47
HARDING LOEVNER EMERGING MARKETS ADVISOR	412295305	9.62	12/17/10	08/05/20	\$ 527.01	\$ 334.37	-- \$	192.64
<b>Security Subtotal</b>					<b>\$ 48,523.98</b>	<b>\$ 31,682.34</b>	<b>-- \$</b>	<b>16,841.64</b>
ISHARES MICRO CAP ETF	464288869	67.00	05/28/09	10/21/20	\$ 6,453.64	\$ 2,102.08	-- \$	4,351.56
<b>Security Subtotal</b>					<b>\$ 6,453.64</b>	<b>\$ 2,102.08</b>	<b>-- \$</b>	<b>4,351.56</b>
ISHARES MSCI EAFE ETF	464287465	204.00	03/26/09	10/21/20	\$ 13,191.37	\$ 7,974.47	-- \$	5,216.90
<b>Security Subtotal</b>					<b>\$ 13,191.37</b>	<b>\$ 7,974.47</b>	<b>-- \$</b>	<b>5,216.90</b>
NEXTERA ENERGY INC	65339F101	82.00	07/12/01	11/25/20	\$ 6,119.69	\$ 589.48 <sup>†</sup>	-- \$	5,530.21
<b>Security Subtotal</b>					<b>\$ 6,119.69</b>	<b>\$ 589.48</b>	<b>-- \$</b>	<b>5,530.21</b>
<b>Total Long-Term</b> (Cost basis is available but not reported to the IRS)					<b>\$ 74,288.68</b>	<b>\$ 42,348.37</b>	<b>-- \$</b>	<b>31,940.31</b>
<b>Total Long-Term</b>					<b>\$ 178,567.58</b>	<b>\$ 136,935.05</b>	<b>-- \$</b>	<b>41,632.53</b>



Schwab One® Trust Account of  
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## TAX YEAR 2020 YEAR-END SUMMARY

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### Realized Gain or (Loss) Summary

#### Total Realized Gain or (Loss)

Description	Total Proceeds	(-)Cost Basis	(+)Wash Sale Loss Disallowed	(=)Realized Gain or (Loss)
<b>Total Short-Term Realized Gain or (Loss)</b> <i>(Cost basis is reported to the IRS. Report on Form 8949, Part I, with Box A checked.)</i>	\$ 23,024.21	\$ 21,247.56	-- \$	1,776.65
<b>Total Short-Term Realized Gain or (Loss)</b>	\$ 23,024.21	\$ 21,247.56	-- \$	1,776.65
<b>Total Long-Term Realized Gain or (Loss)</b> <i>(Cost basis is reported to the IRS. Report on Form 8949, Part II, with Box D checked.)</i>	\$ 104,278.90	\$ 94,586.68	-- \$	9,692.22
<b>Total Long-Term Realized Gain or (Loss)</b> <i>(Cost basis is available but not reported to the IRS. Report on Form 8949, Part II, with Box E checked.)</i>	\$ 74,288.68	\$ 42,348.37	-- \$	31,940.31
<b>Total Long-Term Realized Gain or (Loss)</b>	\$ 178,567.58	\$ 136,935.05	-- \$	41,632.53
<b>TOTAL REALIZED GAIN OR (LOSS)</b>	\$ 201,591.79	\$ 158,182.61	-- \$	43,409.18



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 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.

### **Notes for Your Realized Gain or (Loss)**

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Schwab has provided realized gain and loss information whenever possible for most investments. Cost basis data may be incomplete or unavailable for some of your holdings. See Terms and Conditions.

When value for the report is unavailable, it is noted as follows: "Missing" or "Not Provided"

<b>Not Provided</b>	Schwab is not providing Cost Basis on this security type.
<b>Missing</b>	Cost Basis may be missing due to one of the following reasons: <ul style="list-style-type: none"><li>• 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>• The security was purchased more than 10 years ago.</li></ul>
<b>Date Acquired</b>	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.
<b>Total Proceeds</b>	The amount displayed in this column has been adjusted for option premiums, if applicable.
<b>Cost Basis</b>	The amount displayed in this column may differ from your original cost basis as adjustments may have been made to reflect applicable option premiums, corporate actions and/or wash sales.
<b>Wash Sale Loss Disallowed</b>	The disallowed amount displayed in this column has been added to the cost basis of other share lots with the same CUSIP owned in the same account at the time the loss was disallowed.
<b>Realized Gain or (Loss)</b>	The calculation for gain or (loss) displayed in this column is Total Proceeds - Cost Basis + Wash Sale Loss Disallowed - Market Discount =Realized Gain or (Loss)

For sales of short-term debt issued after January 1, 2014, talk to your tax advisor as to how to report the income.

### **Endnotes for Your Realized Gain or (Loss)**

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<b>Symbol</b>	<b>Endnote Legend</b>
t	Data for this holding has been edited or provided by a third party.



Schwab One® Trust Account of  
JOHN C NORRIS TTEE  
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**TAX YEAR 2020  
YEAR-END SUMMARY**

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

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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.

**SUMMARY OF FEES & EXPENSES**

The information in the following sections may be helpful for, but not limited to, calculating your itemized deductions for Schedule A. The summary is limited to fees paid out of this account. Please consult with your tax advisor regarding specific questions.

**Fees—2020**

Description	Amount
ADVISOR FEES	\$ (3,748.26)
<b>Total of Fees—2020</b>	<b>\$ (3,748.26)</b>

**Margin Interest**

Description	Amount
<b>Total Margin Interest Charged</b>	<b>\$ (5.46)</b>





Schwab One® Trust Account of  
**JOHN C NORRIS TTEE**  
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**TAX YEAR 2020**  
**YEAR-END SUMMARY**

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Date Prepared: February 12, 2021

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**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
ISHARES MSCI EAFE ETF	464287465	RIC	\$ (87.27)	\$ 1,187.38	\$ 0.00
JPMORGAN EMERGING MARKET	4812A0631	RIC	\$ (35.39)	\$ 104.08	\$ 0.00
<b>Total Foreign Tax Paid and Income</b>			<b>\$ (122.66)</b>	<b>\$ 1,291.46</b>	<b>\$ 0.00</b>



Schwab One® Trust Account of  
**JOHN C NORRIS TTEE**  
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**TAX YEAR 2020**  
**YEAR-END SUMMARY**

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

Date Prepared: February 12, 2021

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**SUPPLEMENTAL INFORMATION**

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ISHARES MSCI EAFE ETF	464287465	RIC	\$ (87.27)	\$ 1,187.38	\$ 0.00
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<b>Total Foreign Tax Paid and Income</b>			<b>\$ (122.66)</b>	<b>\$ 1,291.46</b>	<b>\$ 0.00</b>



Schwab One® Trust Account of  
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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

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**3409-7695**

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

Date Prepared: February 12, 2021

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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.

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<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**  
**& YEAR-END SUMMARY**

Date Prepared: February 12, 2021

## TERMS AND CONDITIONS

### GENERAL INFORMATION

#### Form 1099-Composite

For U.S. taxpayers, the information reported to you on Form 1099 is given to the Internal Revenue Service (IRS). Form 1099-Composite is comprised of the following substitute forms: 1099-DIV, 1099-INT, 1099-MISC, 1099-OID, and 1099-B. The form(s) you receive in Form 1099 Composite depends on the income reportable to the IRS.

#### Year-End Summary

The information in the Year-End Summary is provided to you as a courtesy, should you need additional information when completing your tax return. When relevant, IRS box numbers are referenced to indicate individual items that make up the totals appearing on your Form(s) 1099. With the exception of the totals reported in the IRS box numbers referenced, Charles Schwab does not provide the details of the Year-End Summary to the IRS.

We recommend that all customers consult their investment and tax advisors prior to using this information.

#### Corrected Form 1099 and Year-End Summary

We are required to send you a corrected form with the revisions clearly marked when we receive updates or revisions to information contained in the form. This generally occurs if one or more of the issuers of the securities in your account reallocated certain income distribution (e.g., dividends or capital gains) after we mailed your original Form 1099. As a result, the supplemental information in Year-End Summary may be updated.

Upon receiving a corrected form, you may want to consider filing an amended return based on the changes in your taxable income as reported on your corrected Form 1099. We suggest that you consult with a qualified tax advisor, CPA, financial planner, or investment manager before you proceed.

#### Duplicate Form 1099 and Year-End Summary

If you request a duplicate Form 1099, please be aware that Schwab uses the most up-to-date information available at the time of the production. Thus, your duplicate Form 1099 and Year-End Summary may have more up-to-date information than the original Form 1099.

#### Realized Gain or (Loss) in Year-End Summary

The Realized Gain or (Loss) section provides information for all your realized gain or (loss) transactions during the tax year. It contains all transactions included in the Form 1099-B as well as transactions that are not reported on Form 1099-B (for example; sales and expirations of noncovered option activities, cash in lieu under \$20, bankruptcy, and worthless securities). This supplemental information is believed to be accurate as of the date the data was compiled but they may not be updated for any corrections after the data was initially compiled.

**IN CASE OF QUESTIONS:** If you have questions about this report or about specific Schwab accounts or Schwab One transactions (other than wire transfers or check transactions), contact Schwab at 1-800-435-4000. If you have a complaint regarding your Schwab statement or our products and services, please write to the Client Advocacy Team at Charles Schwab & Co., Inc., Attention: Client Advocacy Team, 211 Main St., San Francisco, CA 94105. Outside of the U.S., call +1-415-667-5009.

#### For Clients of Investment Advisors

The Year-End Summary in this report is furnished solely by Charles Schwab & Co., Inc. ("Schwab") for your account at Schwab ("Account"). Schwab Advisor Services<sup>TM</sup> is a division of Charles Schwab & Co., Inc. and provides back-office brokerage and related services to investment advisors and retirement plan providers. Unless otherwise defined herein, capitalized terms have the same meanings as in your Account Agreement. Schwab is a registered broker-dealer and, except in the case of an affiliated company that may act as the investment advisor for the Sweep Funds, Windhaven Investment Management, Inc. ("Windhaven®"), ThomasPartners, Inc. ("ThomasPartner"), Charles Schwab Investment Advisory, Inc. is not affiliated with your Investment Advisor, whose name appears on this report ("Advisors"). Advisors are independently owned and operated. Schwab neither endorses nor recommends any particular Advisor or investment strategy and has no responsibility to monitor trading by any Advisor in your Account. Advisors provide investment advisory services for your Account. Schwab provides brokerage and custody for your Account. Schwab has agreements with Advisors under which Schwab provides Advisors with institutional trading, custody and related services, and products. Not all of these products and services may benefit your Account, and Schwab may provide them to Advisors on the Advisors' commitment to place a certain amount of its clients' assets in brokerage accounts at Schwab within a certain period of time. This commitment could influence an Advisor's recommendation or requirement that its clients establish brokerage accounts at Schwab.



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

## Recipient's Name and Address

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02/12-89032-YECD0612 \*1  
JOHN C NORRIS  
DESIGNATED BENE PLAN/TOD  
379 SW ASHBY LANE  
PALM CITY FL 34990

## Your Independent Investment Manager and/or Advisor

---

HBKS WEALTH ADVISORS  
S.SCHRAMM/S.SWINDLER  
1000 SE MONTEREY COMMONS BLVD  
STUART FL 34996  
(772) 287-4110

*The custodian of your brokerage account is Charles Schwab & Co., Inc.*

## Items for Attention

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- Schwab provides your Form 1099 tax information as early and as accurately as possible. However, some issuers may provide new information about their securities after the IRS Form 1099 mailing deadline. If Schwab receives updated information from issuers of securities you hold, we are required by the IRS to send you a CORRECTED Form 1099 with changes clearly highlighted. Please plan your tax preparation accordingly.
- Please refer to the enclosed insert(s) for additional information.

## Important Official IRS Form(s) 1099 Enclosed

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The report in this package contains your income tax return documents and year-end summary. Please retain this package for tax preparation purposes.

For tax advice, please consult with a qualified tax advisor, CPA, financial planner, or investment manager. Except as noted in the Terms and Conditions, your Investment Advisors are not affiliated with, or supervised by Schwab.

### To contact Schwab:

If you have any questions or need additional information about your Form(s) 1099 or your year-end summary, please call your advisor directly, or call Schwab Alliance™ at 1-800-515-2157.

### To contact the IRS:

Tax questions for individuals: 1-800-829-1040  
Tax questions for businesses: 1-800-829-4933  
To order tax forms or publications: 1-800-829-3676  
To pay taxes by credit card: 1-888-272-9829  
For additional information and to print forms and publications, visit [www.irs.gov](http://www.irs.gov).



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

Your Form 1099 Composite may include the following Internal Revenue Service (IRS) forms: 1099-DIV, 1099-INT, 1099-MISC, 1099-B and 1099-OID. You'll only receive the form(s) that apply to your particular financial situation and please keep for your records. Please note that information in the Year-End Summary is not provided to the IRS. It is provided to you as additional tax reporting information you may need to complete your tax return.

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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

**Recipient's Name and Address**

JOHN C NORRIS  
DESIGNATED BENE PLAN/TOD  
379 SW ASHBY LANE  
PALM CITY FL 34990

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

**Account Number:** 5401-6590

**Payer's Name and Address**

CHARLES SCHWAB & CO., INC.  
211 MAIN STREET  
SAN FRANCISCO, CA 94105

**Telephone Number:** (800) 515-2157

**Federal ID Number:** 94-1737782

**Dividends and Distributions — 2020**

**Form 1099-DIV**

Department of the Treasury-Internal Revenue Service

Copy B for Recipient (OMB No. 1545-0110)

Box	Description	Amount	Total
1a	Total Ordinary Dividends (Includes amount shown in box 1b)	\$	2,028.09
1b	Qualified Dividends	\$ 1,625.57	
2a	Total Capital Gain Distributions (Includes amounts shown in boxes 2b, 2c and 2d)	\$	110.43
2b	Unrecap. Sec. 1250 Gain	\$ 0.00	
2c	Section 1202 Gain	\$ 0.00	
2d	Collectibles (28%) Gain	\$ 0.00	
3	Nondividend Distributions	\$	134.68
4	<b>Federal Income Tax Withheld</b>	<b>\$</b>	<b>0.00</b>
5	Section 199A Dividends	\$	97.11
6	Investment Expenses	\$	0.00
7	Foreign Tax Paid	\$	8.55
8	Foreign Country or U.S. Possession		
9	Cash Liquidation Distributions	\$	0.00
10	Noncash Liquidation Distributions	\$	0.00
11	Exempt-interest Dividends	\$	0.00
12	Specified Private Activity Bond Interest Dividends	\$	0.00
13	State		
14	State Identification No.		
15	State Tax Withheld	\$	0.00
	FATCA Filing Requirement <input type="checkbox"/>		

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**  
**FORM 1099 COMPOSITE**

## INSTRUCTIONS FOR RECIPIENTS OF FORM 1099

### 1099-DIV: Dividends and Distributions

**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.

**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 also may have a filing requirement. See the Instructions for Form 8938.

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

**Box 1a.** Shows total ordinary dividends that are taxable. Include this amount on the "Ordinary dividends" line of Form 1040 or 1040-SR. Also, report it on Schedule B (Form 1040 or 1040-SR), if required.

**Box 1b.** Shows the portion of the amount in box 1a that may be eligible for reduced capital gains rates. See the Instructions for Forms 1040 and 1040-SR for how to determine this amount and where to report.

The amount shown may be dividends a corporation paid directly to you as a participant (or beneficiary of a participant) in an employee stock ownership plan (ESOP). Report it as a dividend on your Form 1040 or 1040-SR but treat it as a plan distribution, not as investment income, for any other purpose.

**Box 2a.** Shows total capital gain distributions from a regulated investment company (RIC) or real estate investment trust (REIT). See How To Report in the Instructions for Schedule D (Form 1040 or 1040-SR). But, if no amount is shown in boxes 2c and 2d and your only capital gains and losses are capital gain distributions, you may be able to report the amounts shown in box 2a on your Form 1040 or 1040-SR rather than Schedule D. See the Instructions for Forms 1040 and 1040-SR.

**Box 2b.** Shows the portion of the amount in box 2a that is unrecaptured section 1250 gain from certain depreciable real property. See the Unrecaptured Section 1250 Gain Worksheet in the Instructions for Schedule D (Form 1040 or 1040-SR).

**Box 2c.** Shows the portion of the amount in box 2a that is section 1202 gain from certain small business stock that may be subject to an exclusion. See the Schedule D (Form 1040 or 1040-SR) instructions.

**Box 2d.** Shows 28% rate gain from sales or exchanges of collectibles. If required, use this amount when completing the 28% Rate Gain Worksheet in the Instructions for Schedule D (Form 1040 or 1040-SR).

**Box 3.** Shows a return of capital. To the extent of your cost (or other basis) in the stock, the distribution reduces your basis and is not taxable. Any amount received in excess of your basis is taxable to you as capital gain. See Pub. 550.

**Box 4.** Shows backup withholding. A payer must backup withhold on certain payments if you did not give your TIN to the payer. See Form W-9, Request for Taxpayer Identification Number and Certification, for information on backup withholding. Include this amount on your income tax return as tax withheld.

**Box 5.** Shows the portion of the amount in box 1a that may be eligible for the 20% qualified business income deduction under section 199A. See the instructions for Form 8995 and Form 8995-A.

**Box 6.** Shows your share of expenses of a nonpublicly offered RIC, generally a nonpublicly offered mutual fund. This amount is included in box 1a.

**Box 7.** Shows the foreign tax that you may be able to claim as a deduction or a credit on Form 1040 or 1040-SR. See the Instructions for Forms 1040 and 1040-SR.

**Box 8.** This box should be left blank if a RIC reported the foreign tax shown in box 7.

**Boxes 9 and 10.** Show cash and noncash liquidation distributions.

**Box 11.** Shows exempt-interest dividends from a mutual fund or other RIC paid to you during the calendar year. See the Instructions for Forms 1040 and 1040-SR for where to report. This amount may be subject to backup withholding. See Box 4 above.

**Box 12.** Shows exempt-interest dividends subject to the alternative minimum tax. This amount is included in box 11. See the Instructions for Form 6251.

**Boxes 13-15.** State income tax withheld reporting boxes.

**Nominees.** If this form includes amounts belonging to another person, you are considered a nominee recipient. You must file Form 1099-DIV (with a Form 1096) with the IRS for each of the other owners to show their share of the income, and you must furnish a Form 1099-DIV to each. A spouse is not required to file a nominee return to show amounts owned by the other spouse. See the 2020 General Instructions for Certain Information Returns.

**Future developments.** For the latest information about developments related to Form 1099-DIV and its instructions, such as legislation enacted after they were published, go to [www.irs.gov/Form1099DIV](http://www.irs.gov/Form1099DIV).



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

### Recipient's Name and Address

JOHN C NORRIS  
DESIGNATED BENE PLAN/TOD  
379 SW ASHBY LANE  
PALM CITY FL 34990

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

Account Number: 5401-6590

### Payer's Name and Address

CHARLES SCHWAB & CO., INC.  
211 MAIN STREET  
SAN FRANCISCO, CA 94105

Telephone Number: (800) 515-2157

Federal ID Number: 94-1737782

### Interest Income — 2020

### Form 1099-INT

Department of the Treasury-Internal Revenue Service

Copy B for Recipient (OMB No. 1545-0112)

Box	Description	Total
1	Interest Income	\$ 1.21
3	Interest on U.S. Savings Bonds and Treasury Obligations	\$ 0.00
4	<b>Federal Income Tax Withheld</b>	<b>\$ 0.00</b>
5	Investment Expenses	\$ 0.00
6	Foreign Tax Paid	\$ 0.00
7	Foreign Country or U.S. Possession	
8	Tax-Exempt Interest	\$ 0.00
9	Specified Private Activity Bond Interest	\$ 0.00
10	Market Discount	\$ 0.00
11	Bond Premium	\$ 0.00
12	Bond Premium on Treasury Obligations	\$ 0.00
13	Bond Premium on Tax-Exempt Bond	\$ 0.00
14	Tax-Exempt and Tax Credit Bond CUSIP No.	
15	State	
16	State Identification No.	
17	State Tax Withheld	\$ 0.00
FATCA Filing Requirement <input type="checkbox"/>		

Amount in Box 9 Specified Private Activity Bond Interest subject to Alternative Minimum Tax is already included in Box 8 Tax-Exempt Interest. Both market discount and bond premium reported for covered taxable and tax-exempt bonds. Market discount is only reported if you submitted a written election to include in income currently.

**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**  
**FORM 1099 COMPOSITE**

## INSTRUCTIONS FOR RECIPIENTS OF FORM 1099

### 1099-INT: Interest Income

The information provided may be different for covered and noncovered securities. For a description of covered securities, see the Instructions for Form 8949. For a taxable covered security acquired at a premium, unless you notified the payer in writing in accordance with Regulations section 1.6045-1(n)(5) that you did not want to amortize the premium under section 171, or for a tax-exempt covered security acquired at a premium, your payer generally must report either (1) a net amount of interest that reflects the offset of the amount of interest paid to you by the amount of premium amortization allocable to the payment(s), or (2) a gross amount for both the interest paid to you and the premium amortization allocable to the payment(s). If you did notify your payer that you did not want to amortize the premium on a taxable covered security, then your payer will only report the gross amount of interest paid to you. For a noncovered security acquired at a premium, your payer is only required to report the gross amount of interest paid to you.

**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.

**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 also may have a filing requirement. See the Instructions for Form 8938.

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

**Box 1.** Shows taxable interest paid to you during the calendar year by the payer. This does not include interest shown in box 3. May also show the total amount of the credits from clean renewable energy bonds, new clean renewable energy bonds, qualified energy conservation bonds, qualified zone academy bonds, qualified school construction bonds, and build America bonds that must be included in your interest income. These amounts were treated as paid to you during 2020 on the credit allowance dates (March 15, June 15, September 15, and December 15). For more information, see Form 8912. See the instructions above for a taxable covered security acquired at a premium.

**Box 3.** Shows interest on U.S. Savings Bonds, Treasury bills, Treasury bonds, and Treasury notes. This may or may not all be taxable. See Pub. 550. This interest is exempt from state and local income taxes. This interest is not included in box 1. See the instructions above for a taxable covered security acquired at a premium.

**Box 4.** Shows backup withholding. Generally, a payer must backup withhold if you did not furnish your TIN or you did not furnish the correct TIN to the payer. See Form W-9. Include this amount on your income tax return as tax withheld.

**Box 5.** Any amount shown is your share of investment expenses of a single-class REMIC. This amount is included in box 1. Note: This amount is not deductible.

**Box 6.** Shows foreign tax paid. You may be able to claim this tax as a deduction or a credit on your Form 1040 or 1040-SR. See your tax return instructions.

**Box 7.** Shows the country or U.S. possession to which the foreign tax was paid.

**Box 8.** Shows tax-exempt interest paid to you during the calendar year by the payer. See how to report this amount in the Instructions for Form 1040 and 1040-SR. This amount may be subject to backup withholding. See Box 4 above. See the instructions above for a tax-exempt covered security acquired at a premium.

**Box 9.** Shows tax-exempt interest subject to the alternative minimum tax. This amount is included in box 8. See the Instructions for Form 6251. See the instructions above for a tax-exempt covered security acquired at a premium.

**Box 10.** For a taxable or tax-exempt covered security, if you made an election under section 1278(b) to include market discount in income as it accrues and you notified your payer of the election in writing in accordance with Regulations section 1.6045-1(n)(5), shows the market discount that accrued on the debt instrument during the year while held by you, unless it was reported on Form 1099-OID. For a taxable or tax-exempt covered security acquired on or after January 1, 2015, accrued market discount will be calculated on a constant yield basis unless you notified your payer in writing in accordance with Regulations section 1.6045-1(n)(5) that you did not want to make a constant yield election for market discount under section 1276(b). Report the accrued market discount on your income tax return as directed in the Instructions for Form 1040 and 1040-SR. Market discount on a tax-exempt security is includible in taxable income as interest income.

**Box 11.** For a taxable covered security (other than a U.S. Treasury obligation), shows the amount of premium amortization allocable to the interest payment(s), unless you notified the payer in writing in accordance with Regulations section 1.6045-1(n)(5) that you did not want to amortize bond premium under section 171. If an amount is reported in this box, see the Instructions for Schedule B (Form 1040 or 1040-SR) to determine the net amount of interest includible in income on Form 1040 or 1040-SR with respect to the security. If an amount is not reported in this box for a taxable covered security acquired at a premium and the payer is reporting premium amortization, the payer has reported a net amount of interest in box 1. If the amount in box 11 is greater than the amount of interest paid on the covered security, see Regulations section 1.171-2(a)(4).

**Box 12.** For a U.S. Treasury obligation that is a covered security, shows the amount of premium amortization allocable to the interest payment(s), unless you notified the payer in writing in accordance with Regulations section 1.6045-1(n)(5) that you did not want to amortize bond premium under section 171. If an amount is reported in this box, see the Instructions for Schedule B (Form 1040 or 1040-SR) to determine the net amount of interest includible in income on Form 1040 or 1040-SR with respect to the U.S. Treasury obligation. If an amount is not reported in this box for a U.S. Treasury obligation that is a covered security acquired at a premium and the payer is reporting premium amortization, the payer has reported a net amount of interest in box 3. If the amount in box 12 is greater than the amount of interest paid on the U.S. Treasury obligation, see Regulations section 1.171-2(a)(4).

**Box 13.** For a tax-exempt covered security, shows the amount of premium amortization allocable to the interest payment(s). If an amount is reported in this box, see Pub. 550 to determine the net amount of tax-exempt interest reportable on Form 1040 or 1040-SR. If an amount is not reported in this box for a tax-exempt covered security acquired at a premium, the payer has reported a net amount of interest in box 8 or 9, whichever is applicable. If the amount in box 13 is greater than the amount of interest paid on the tax-exempt covered security, the excess is a nondeductible loss. See Regulations section 1.171-2(a)(4)(ii).

**Box 14.** Shows CUSIP number(s) for tax-exempt bond(s) on which tax-exempt interest was paid, or tax credit bond(s) on which taxable interest was paid or tax credit was allowed, to you during the calendar year. If blank, no CUSIP number was issued for the bond(s).

**Boxes 15-17.** State tax withheld reporting boxes.

**Nominees.** If this form includes amounts belonging to another person(s), you are considered a nominee recipient. Complete a Form 1099-INT for each of the other owners showing the income allocable to each. File Copy A of the form with the IRS. Furnish Copy B to each owner. List yourself as the "payer" and the other owner(s) as the "recipient." File Form(s) 1099-INT with Form 1096 with the Internal Revenue Service Center for your area. On Form 1096, list yourself as the "filer." A spouse is not required to file a nominee return to show amounts owned by the other spouse.

**Future developments.** For the latest information about developments related to Form 1099-INT and its instructions, such as legislation enacted after they were published, go to [www.irs.gov/Form1099INT](http://www.irs.gov/Form1099INT).



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

Account Number  
**5401-6590**

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

## INSTRUCTIONS FOR RECIPIENTS OF FORM 1099

### 1099-INT: Interest Income

The information provided may be different for covered and noncovered securities. For a description of covered securities, see the Instructions for Form 8949. For a taxable covered security acquired at a premium, unless you notified the payer in writing in accordance with Regulations section 1.6045-1(n)(5) that you did not want to amortize the premium under section 171, or for a tax-exempt covered security acquired at a premium, your payer generally must report either (1) a net amount of interest that reflects the offset of the amount of interest paid to you by the amount of premium amortization allocable to the payment(s), or (2) a gross amount for both the interest paid to you and the premium amortization allocable to the payment(s). If you did notify your payer that you did not want to amortize the premium on a taxable covered security, then your payer will only report the gross amount of interest paid to you. For a noncovered security acquired at a premium, your payer is only required to report the gross amount of interest paid to you.

**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.

**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 also may have a filing requirement. See the Instructions for Form 8938.

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

**Box 1.** Shows taxable interest paid to you during the calendar year by the payer. This does not include interest shown in box 3. May also show the total amount of the credits from clean renewable energy bonds, new clean renewable energy bonds, qualified energy conservation bonds, qualified zone academy bonds, qualified school construction bonds, and build America bonds that must be included in your interest income. These amounts were treated as paid to you during 2020 on the credit allowance dates (March 15, June 15, September 15, and December 15). For more information, see Form 8912. See the instructions above for a taxable covered security acquired at a premium.

**Box 3.** Shows interest on U.S. Savings Bonds, Treasury bills, Treasury bonds, and Treasury notes. This may or may not all be taxable. See Pub. 550. This interest is exempt from state and local income taxes. This interest is not included in box 1. See the instructions above for a taxable covered security acquired at a premium.

**Box 4.** Shows backup withholding. Generally, a payer must backup withhold if you did not furnish your TIN or you did not furnish the correct TIN to the payer. See Form W-9. Include this amount on your income tax return as tax withheld.

**Box 5.** Any amount shown is your share of investment expenses of a single-class REMIC. This amount is included in box 1. Note: This amount is not deductible.

**Box 6.** Shows foreign tax paid. You may be able to claim this tax as a deduction or a credit on your Form 1040 or 1040-SR. See your tax return instructions.

**Box 7.** Shows the country or U.S. possession to which the foreign tax was paid.

**Box 8.** Shows tax-exempt interest paid to you during the calendar year by the payer. See how to report this amount in the Instructions for Form 1040 and 1040-SR. This amount may be subject to backup withholding. See Box 4 above. See the instructions above for a tax-exempt covered security acquired at a premium.

**Box 9.** Shows tax-exempt interest subject to the alternative minimum tax. This amount is included in box 8. See the Instructions for Form 6251. See the instructions above for a tax-exempt covered security acquired at a premium.

**Box 10.** For a taxable or tax-exempt covered security, if you made an election under section 1278(b) to include market discount in income as it accrues and you notified your payer of the election in writing in accordance with Regulations section 1.6045-1(n)(5), shows the market discount that accrued on the debt instrument during the year while held by you, unless it was reported on Form 1099-OID. For a taxable or tax-exempt covered security acquired on or after January 1, 2015, accrued market discount will be calculated on a constant yield basis unless you notified your payer in writing in accordance with Regulations section 1.6045-1(n)(5) that you did not want to make a constant yield election for market discount under section 1276(b). Report the accrued market discount on your income tax return as directed in the Instructions for Form 1040 and 1040-SR. Market discount on a tax-exempt security is includible in taxable income as interest income.

**Box 11.** For a taxable covered security (other than a U.S. Treasury obligation), shows the amount of premium amortization allocable to the interest payment(s), unless you notified the payer in writing in accordance with Regulations section 1.6045-1(n)(5) that you did not want to amortize bond premium under section 171. If an amount is reported in this box, see the Instructions for Schedule B (Form 1040 or 1040-SR) to determine the net amount of interest includible in income on Form 1040 or 1040-SR with respect to the security. If an amount is not reported in this box for a taxable covered security acquired at a premium and the payer is reporting premium amortization, the payer has reported a net amount of interest in box 1. If the amount in box 11 is greater than the amount of interest paid on the covered security, see Regulations section 1.171-2(a)(4).

**Box 12.** For a U.S. Treasury obligation that is a covered security, shows the amount of premium amortization allocable to the interest payment(s), unless you notified the payer in writing in accordance with Regulations section 1.6045-1(n)(5) that you did not want to amortize bond premium under section 171. If an amount is reported in this box, see the Instructions for Schedule B (Form 1040 or 1040-SR) to determine the net amount of interest includible in income on Form 1040 or 1040-SR with respect to the U.S. Treasury obligation. If an amount is not reported in this box for a U.S. Treasury obligation that is a covered security acquired at a premium and the payer is reporting premium amortization, the payer has reported a net amount of interest in box 3. If the amount in box 12 is greater than the amount of interest paid on the U.S. Treasury obligation, see Regulations section 1.171-2(a)(4).

**Box 13.** For a tax-exempt covered security, shows the amount of premium amortization allocable to the interest payment(s). If an amount is reported in this box, see Pub. 550 to determine the net amount of tax-exempt interest reportable on Form 1040 or 1040-SR. If an amount is not reported in this box for a tax-exempt covered security acquired at a premium, the payer has reported a net amount of interest in box 8 or 9, whichever is applicable. If the amount in box 13 is greater than the amount of interest paid on the tax-exempt covered security, the excess is a nondeductible loss. See Regulations section 1.171-2(a)(4)(ii).

**Box 14.** Shows CUSIP number(s) for tax-exempt bond(s) on which tax-exempt interest was paid, or tax credit bond(s) on which taxable interest was paid or tax credit was allowed, to you during the calendar year. If blank, no CUSIP number was issued for the bond(s).

**Boxes 15-17.** State tax withheld reporting boxes.

**Nominees.** If this form includes amounts belonging to another person(s), you are considered a nominee recipient. Complete a Form 1099-INT for each of the other owners showing the income allocable to each. File Copy A of the form with the IRS. Furnish Copy B to each owner. List yourself as the "payer" and the other owner(s) as the "recipient." File Form(s) 1099-INT with Form 1096 with the Internal Revenue Service Center for your area. On Form 1096, list yourself as the "filer." A spouse is not required to file a nominee return to show amounts owned by the other spouse.

**Future developments.** For the latest information about developments related to Form 1099-INT and its instructions, such as legislation enacted after they were published, go to [www.irs.gov/Form1099INT](http://www.irs.gov/Form1099INT).



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

**Recipient's Name and Address**

JOHN C NORRIS  
DESIGNATED BENE PLAN/TOD  
379 SW ASHBY LANE  
PALM CITY FL 34990

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

Account Number: 5401-6590

**Payer's Name and Address**

CHARLES SCHWAB & CO., INC.  
211 MAIN STREET  
SAN FRANCISCO, CA 94105

Telephone Number: (800) 515-2157

Federal ID Number: 94-1737782

**Proceeds from Broker Transactions — 2020**

**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	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				
565 PRINCIPAL DIVERSIFIED REAL ASSET 74254V182 / PRDAX	S	02/01/17	\$	5,311.93	\$	6,250.00	--	\$	(938.07) \$	0.00
		03/26/20					--			
Security Subtotal			\$	5,311.93	\$	6,250.00	--	\$	(938.07) \$	0.00
							--			
Total Long-Term (Cost basis is reported to the IRS)			\$	5,311.93	\$	6,250.00	--	\$	(938.07) \$	0.00
							--			
Total Long-Term Sales Price of Stocks, Bonds, etc.			\$	5,311.93	\$	6,250.00	--	\$	(938.07) \$	0.00
							--			
Total Sales Price of Stocks, Bonds, etc.			\$	5,311.93						
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® Account of  
**JOHN C NORRIS**  
DESIGNATED BENE PLAN/TOD

Account Number  
**5401-6590**

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

Date Prepared: February 12, 2021

**Recipient's Name and Address**

JOHN C NORRIS  
DESIGNATED BENE PLAN/TOD  
379 SW ASHBY LANE  
PALM CITY FL 34990

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

Account Number: 5401-6590

**Payer's Name and Address**

CHARLES SCHWAB & CO., INC.  
211 MAIN STREET  
SAN FRANCISCO, CA 94105

Telephone Number: (800) 515-2157

Federal ID Number: 94-1737782

**Proceeds from Broker Transactions — 2020**

**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	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
		1c-Date sold or disposed						
565 PRINCIPAL DIVERSIFIED REAL ASSET 74254V182 / PRDAX	S	02/01/17 03/26/20	\$ 5,311.93	\$ 6,250.00	--	\$	(938.07) \$	0.00
<b>Security Subtotal</b>			<b>\$ 5,311.93</b>	<b>\$ 6,250.00</b>	<b>--</b>	<b>\$</b>	<b>(938.07) \$</b>	<b>0.00</b>
<b>Total Long-Term (Cost basis is reported to the IRS)</b>			<b>\$ 5,311.93</b>	<b>\$ 6,250.00</b>	<b>--</b>	<b>\$</b>	<b>(938.07) \$</b>	<b>0.00</b>
<b>Total Long-Term Sales Price of Stocks, Bonds, etc.</b>			<b>\$ 5,311.93</b>	<b>\$ 6,250.00</b>	<b>--</b>	<b>\$</b>	<b>(938.07) \$</b>	<b>0.00</b>
<b>Total Sales Price of Stocks, Bonds, etc.</b>			<b>\$ 5,311.93</b>					
<b>Total Federal Income Tax Withheld</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.



## 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.

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**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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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.

**INTEREST & DIVIDENDS**

The information in the following sections may be helpful for, but not limited to, Schedule B. Please consult with your tax advisor or financial advisor regarding specific questions.

**Detail Information of Dividends and Distributions**

Description	Symbol	CUSIP Number	Paid in 2020	Paid/Adjusted in 2021 for 2020	Amount
<b>Ordinary Dividends</b>					
<b>Non-Qualified Dividends</b>					
COLUMBIA LARGE CAP INDEX	NINDX	19765H321	\$ 0.00	\$ 5.87	\$ 5.87
DOUBLELINE CORE FIXED	DLFNX	258620400	\$ 180.98	\$ 0.00	\$ 180.98
FIDELITY ADVISOR REAL ES	FRINX	316389477	\$ 25.67	\$ 139.10	\$ 164.77
INVESCO S&P SMALLCAP LOW	XSLV	46138G102	\$ 60.78	\$ (34.12)	\$ 26.66
ISHARE EDGE MSCI MIN VOL	EFAV	46429B689	\$ 43.98	\$ (43.98)	\$ 0.00
JPMORGAN STRATEGIC INCOM	JSOAX	4812A4385	\$ 2.76	\$ 0.00	\$ 2.76
LOOMIS SAYLES STRATEGIC	LABAX	63872T646	\$ 5.85	\$ (0.18)	\$ 5.67
TORTOISE MLP & PIPELINE	TORTX	56166Y305	\$ 0.00	\$ 14.13	\$ 14.13
<b>Total Non-Qualified Dividends (Included in Box 1a)</b>			<b>\$ 320.02</b>	<b>\$ 80.82</b>	<b>\$ 400.84</b>
<b>Short-Term Capital Gains</b>					
COLUMBIA LARGE CAP INDEX	NINDX	19765H321	\$ 10.85	\$ (9.17)	\$ 1.68
<b>Total Short-Term Capital Gains (Included in Box 1a)</b>			<b>\$ 10.85</b>	<b>\$ (9.17)</b>	<b>\$ 1.68</b>
<b>Qualified Dividends</b>					
BNY MELLON INTERNATIONAL	DIISX	09661L500	\$ 17.45	\$ 2.40	\$ 19.85
COLUMBIA LARGE CAP INDEX	NINDX	19765H321	\$ 31.62	\$ 3.30	\$ 34.92
FIDELITY ADV REAL ESTATE	FRINX	316389477	\$ 143.42	\$ (139.10)	\$ 4.32
INVESCO S&P SMALLCAP LOW	XSLV	46138G102	\$ 0.00	\$ 34.12	\$ 34.12
ISHARE EDGE MSCI MIN VOL	EFAV	46429B689	\$ 0.00	\$ 50.13	\$ 50.13
LOOMIS SAYLES STRATEGIC	LABAX	63872T646	\$ 0.00	\$ 0.18	\$ 0.18
NEXTERA ENERGY INC	NEE	65339F101	\$ 840.00	\$ 0.00	\$ 840.00



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

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<b>Non-Qualified Dividends</b>					
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FIDELITY ADVISOR REAL ES	FRINX	316389477	\$ 25.67	\$ 139.10	\$ 164.77
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JPMORGAN STRATEGIC INCOM	JSOAX	4812A4385	\$ 2.76	\$ 0.00	\$ 2.76
LOOMIS SAYLES STRATEGIC	LABAX	63872T646	\$ 5.85	\$ (0.18)	\$ 5.67
TORTOISE MLP & PIPELINE	TORTX	56166Y305	\$ 0.00	\$ 14.13	\$ 14.13
<b>Total Non-Qualified Dividends (Included in Box 1a)</b>			<b>\$ 320.02</b>	<b>\$ 80.82</b>	<b>\$ 400.84</b>
<b>Short-Term Capital Gains</b>					
COLUMBIA LARGE CAP INDEX	NINDX	19765H321	\$ 10.85	\$ (9.17)	\$ 1.68
<b>Total Short-Term Capital Gains (Included in Box 1a)</b>			<b>\$ 10.85</b>	<b>\$ (9.17)</b>	<b>\$ 1.68</b>
<b>Qualified Dividends</b>					
BNY MELLON INTERNATIONAL	DIISX	09661L500	\$ 17.45	\$ 2.40	\$ 19.85
COLUMBIA LARGE CAP INDEX	NINDX	19765H321	\$ 31.62	\$ 3.30	\$ 34.92
FIDELITY ADV REAL ESTATE	FRINX	316389477	\$ 143.42	\$ (139.10)	\$ 4.32
INVESCO S&P SMALLCAP LOW	XSLV	46138G102	\$ 0.00	\$ 34.12	\$ 34.12
ISHARE EDGE MSCI MIN VOL	EFAV	46429B689	\$ 0.00	\$ 50.13	\$ 50.13
LOOMIS SAYLES STRATEGIC	LABAX	63872T646	\$ 0.00	\$ 0.18	\$ 0.18
NEXTERA ENERGY INC	NEE	65339F101	\$ 840.00	\$ 0.00	\$ 840.00



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

Account Number  
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**TAX YEAR 2020**  
**YEAR-END SUMMARY**

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

Date Prepared: February 12, 2021

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**Detail Information of Dividends and Distributions (continued)**

Description	Symbol	CUSIP Number	Paid in 2020		Paid/Adjusted in 2021 for 2020		Amount
Qualified Dividends (continued)							
THE COCA-COLA CO	KO	191216100	\$	582.20	\$	0.00	\$ 582.20
TORTOISE MLP & PIPELINE	TORTX	56166Y305	\$	208.66	\$	(148.81)	\$ 59.85
Total Qualified Dividends (Box 1b and included in Box 1a)			\$	1,823.35	\$	(197.78)	\$ 1,625.57
Total Ordinary Dividends (Box 1a)			\$	2,154.22	\$	(126.13)	\$ 2,028.09
(Total Non-Qualified Dividends, Short-Term Capital Gains and Qualified Dividends)							
Capital Gain Distributions							
Long-Term Gain							
COLUMBIA LARGE CAP INDEX	NINDX	19765H321	\$	100.31	\$	0.00	\$ 100.31
DOUBLELINE CORE FIXED IN	DLFNX	258620400	\$	10.12	\$	0.00	\$ 10.12
Total Long-Term Gain (Included in Box 2a)			\$	110.43	\$	0.00	\$ 110.43
Total Capital Gain Distributions (Box 2a)			\$	110.43	\$	0.00	\$ 110.43
Nondividend Distributions (Return of Capital)							
TORTOISE MLP & PIPELINE	TORTX	56166Y305	\$	0.00	\$	134.68	\$ 134.68
Total Nondividend Distributions (Box 3)			\$	0.00	\$	134.68	\$ 134.68
Section 199A Dividends							
COLUMBIA LARGE CAP INDEX	NINDX	19765H321	\$	0.00	\$	0.97	\$ 0.97
FIDELITY ADVISOR REAL ES	FRINX	316389477	\$	0.00	\$	79.21	\$ 79.21
INVESCO S&P SMALLCAP LOW	XSLV	46138G102	\$	0.00	\$	16.93	\$ 16.93
Total Section 199A Dividends (Box 5)			\$	0.00	\$	97.11	\$ 97.11



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**Detail Information of Dividends and Distributions (continued)**

Description	Symbol	CUSIP Number	Paid in 2020		Paid/Adjusted in 2021 for 2020		Amount
<b>Foreign Tax Paid</b>		<b>Country</b>					
BNY MELLON INTERNATIONAL	RIC	09661L500	\$	0.00	\$	(2.40)	\$ (2.40)
ISHARE EDGE MSCI MIN VOL	RIC	46429B689	\$	0.00	\$	(6.15)	\$ (6.15)
<b>Total Foreign Tax Paid (Box 7)</b>			\$	<b>0.00</b>	\$	<b>(8.55)</b>	\$ <b>(8.55)</b>

**Detail Information of Interest Income**

Description	CUSIP Number	Paid in 2020		Paid/Adjusted in 2021 for 2020		Amount
Interest Income						
DEPOSIT INTEREST		\$	1.21	\$	0.00	\$ 1.21
Total Interest Income (Included in Box 1)		\$	1.21	\$	0.00	\$ 1.21
Total Interest Income (Box 1)		\$	1.21	\$	0.00	\$ 1.21



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**TAX YEAR 2020**  
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**Detail Information of Dividends and Distributions (continued)**

Description	Symbol	CUSIP Number	Paid in 2020		Paid/Adjusted in 2021 for 2020		Amount
<b>Foreign Tax Paid</b>		<b>Country</b>					
BNY MELLON INTERNATIONAL	RIC	09661L500	\$	0.00	\$	(2.40)	\$ (2.40)
ISHARE EDGE MSCI MIN VOL	RIC	46429B689	\$	0.00	\$	(6.15)	\$ (6.15)
<b>Total Foreign Tax Paid (Box 7)</b>			\$	<b>0.00</b>	\$	<b>(8.55)</b>	\$ <b>(8.55)</b>

**Detail Information of Interest Income**

Description	CUSIP Number	Paid in 2020		Paid/Adjusted in 2021 for 2020		Amount
Interest Income						
DEPOSIT INTEREST		\$	1.21	\$	0.00	\$ 1.21
Total Interest Income (Included in Box 1)		\$	1.21	\$	0.00	\$ 1.21
Total Interest Income (Box 1)		\$	1.21	\$	0.00	\$ 1.21



Schwab One® Account of  
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**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)
PRINCIPAL DIVERSIFIED REAL ASSET A	74254V182	565.09	02/01/17	03/26/20	\$ 5,311.93	\$ 6,250.00	-- \$	(938.07)
<b>Security Subtotal</b>					<b>\$ 5,311.93</b>	<b>\$ 6,250.00</b>	<b>-- \$</b>	<b>(938.07)</b>
<b>Total Long-Term</b> <i>(Cost basis is reported to the IRS)</i>					<b>\$ 5,311.93</b>	<b>\$ 6,250.00</b>	<b>-- \$</b>	<b>(938.07)</b>
<b>Total Long-Term</b>					<b>\$ 5,311.93</b>	<b>\$ 6,250.00</b>	<b>-- \$</b>	<b>(938.07)</b>





Schwab One® Account of  
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**TAX YEAR 2020**  
**YEAR-END SUMMARY**

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**Realized Gain or (Loss) Summary**

**Total Realized Gain or (Loss)**

Description	Total Proceeds		(-)Cost Basis		(+)Wash Sale Loss Disallowed	(=)Realized Gain or (Loss)
<b>Total Long-Term Realized Gain or (Loss)</b> <i>(Cost basis is reported to the IRS. Report on Form 8949, Part II, with Box D checked.)</i>	\$	5,311.93	\$	6,250.00	-- \$	(938.07)
<b>Total Long-Term Realized Gain or (Loss)</b>	\$	5,311.93	\$	6,250.00	-- \$	(938.07)
<b>TOTAL REALIZED GAIN OR (LOSS)</b>	\$	5,311.93	\$	6,250.00	-- \$	(938.07)



Schwab One® Account of  
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**TAX YEAR 2020**  
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**Notes for Your Realized Gain or (Loss)**

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Schwab has provided realized gain and loss information whenever possible for most investments. Cost basis data may be incomplete or unavailable for some of your holdings. See Terms and Conditions.

When value for the report is unavailable, it is noted as follows: "Missing" or "Not Provided"

<b>Not Provided</b>	Schwab is not providing Cost Basis on this security type.
<b>Missing</b>	Cost Basis may be missing due to one of the following reasons: <ul style="list-style-type: none"><li>• 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>• The security was purchased more than 10 years ago.</li></ul>
<b>Date Acquired</b>	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.
<b>Total Proceeds</b>	The amount displayed in this column has been adjusted for option premiums, if applicable.
<b>Cost Basis</b>	The amount displayed in this column may differ from your original cost basis as adjustments may have been made to reflect applicable option premiums, corporate actions and/or wash sales.
<b>Wash Sale Loss Disallowed</b>	The disallowed amount displayed in this column has been added to the cost basis of other share lots with the same CUSIP owned in the same account at the time the loss was disallowed.
<b>Realized Gain or (Loss)</b>	The calculation for gain or (loss) displayed in this column is Total Proceeds - Cost Basis + Wash Sale Loss Disallowed - Market Discount =Realized Gain or (Loss)

For sales of short-term debt issued after January 1, 2014, talk to your tax advisor as to how to report the income.



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**SUMMARY OF FEES & EXPENSES**

The information in the following sections may be helpful for, but not limited to, calculating your itemized deductions for Schedule A. The summary is limited to fees paid out of this account. Please consult with your tax advisor regarding specific questions.

**Fees—2020**

Description	Amount	
ADVISOR FEES	\$	(651.07)
<b>Total of Fees—2020</b>	<b>\$</b>	<b>(651.07)</b>



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**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>



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## 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  
**5401-6590**

**TAX YEAR 2020**  
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Date Prepared: February 12, 2021

## COST BASIS DISCLOSURE

### Changes to Cost Basis Reporting Requirements

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- January 1, 2014 for less complex fixed income and options, rights and warrants
- January 1, 2016 for more complex fixed income

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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.

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### 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.

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

Date Prepared: February 12, 2021

## TERMS AND CONDITIONS

### GENERAL INFORMATION

#### Form 1099-Composite

For U.S. taxpayers, the information reported to you on Form 1099 is given to the Internal Revenue Service (IRS). Form 1099-Composite is comprised of the following substitute forms: 1099-DIV, 1099-INT, 1099-MISC, 1099-OID, and 1099-B. The form(s) you receive in Form 1099 Composite depends on the income reportable to the IRS.

#### Year-End Summary

The information in the Year-End Summary is provided to you as a courtesy, should you need additional information when completing your tax return. When relevant, IRS box numbers are referenced to indicate individual items that make up the totals appearing on your Form(s) 1099. With the exception of the totals reported in the IRS box numbers referenced, Charles Schwab does not provide the details of the Year-End Summary to the IRS.

We recommend that all customers consult their investment and tax advisors prior to using this information.

#### Corrected Form 1099 and Year-End Summary

We are required to send you a corrected form with the revisions clearly marked when we receive updates or revisions to information contained in the form. This generally occurs if one or more of the issuers of the securities in your account reallocated certain income distribution (e.g., dividends or capital gains) after we mailed your original Form 1099. As a result, the supplemental information in Year-End Summary may be updated.

Upon receiving a corrected form, you may want to consider filing an amended return based on the changes in your taxable income as reported on your corrected Form 1099. We suggest that you consult with a qualified tax advisor, CPA, financial planner, or investment manager before you proceed.

#### Duplicate Form 1099 and Year-End Summary

If you request a duplicate Form 1099, please be aware that Schwab uses the most up-to-date information available at the time of the production. Thus, your duplicate Form 1099 and Year-End Summary may have more up-to-date information than the original Form 1099.

#### Realized Gain or (Loss) in Year-End Summary

The Realized Gain or (Loss) section provides information for all your realized gain or (loss) transactions during the tax year. It contains all transactions included in the Form 1099-B as well as transactions that are not reported on Form 1099-B (for example; sales and expirations of noncovered option activities, cash in lieu under \$20, bankruptcy, and worthless securities). This supplemental information is believed to be accurate as of the date the data was compiled but they may not be updated for any corrections after the data was initially compiled.

**IN CASE OF QUESTIONS:** If you have questions about this report or about specific Schwab accounts or Schwab One transactions (other than wire transfers or check transactions), contact Schwab at 1-800-435-4000. If you have a complaint regarding your Schwab statement or our products and services, please write to the Client Advocacy Team at Charles Schwab & Co., Inc., Attention: Client Advocacy Team, 211 Main St., San Francisco, CA 94105. Outside of the U.S., call +1-415-667-5009.

#### For Clients of Investment Advisors

The Year-End Summary in this report is furnished solely by Charles Schwab & Co., Inc. ("Schwab") for your account at Schwab ("Account"). Schwab Advisor Services<sup>TM</sup> is a division of Charles Schwab & Co., Inc. and provides back-office brokerage and related services to investment advisors and retirement plan providers. Unless otherwise defined herein, capitalized terms have the same meanings as in your Account Agreement. Schwab is a registered broker-dealer and, except in the case of an affiliated company that may act as the investment advisor for the Sweep Funds, Windhaven Investment Management, Inc. ("Windhaven®"), ThomasPartners, Inc. ("ThomasPartner"), Charles Schwab Investment Advisory, Inc. is not affiliated with your Investment Advisor, whose name appears on this report ("Advisors"). Advisors are independently owned and operated. Schwab neither endorses nor recommends any particular Advisor or investment strategy and has no responsibility to monitor trading by any Advisor in your Account. Advisors provide investment advisory services for your Account. Schwab provides brokerage and custody for your Account. Schwab has agreements with Advisors under which Schwab provides Advisors with institutional trading, custody and related services, and products. Not all of these products and services may benefit your Account, and Schwab may provide them to Advisors on the Advisors' commitment to place a certain amount of its clients' assets in brokerage accounts at Schwab within a certain period of time. This commitment could influence an Advisor's recommendation or requirement that its clients establish brokerage accounts at Schwab.



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**  
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## Recipient's Name and Address

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02/12-89032-YECD0612 \*1-5  
N NORRIS & J NORRIS TTEE  
NINA K NORRIS TRUST  
U/A DTD 08/22/2006  
379 SW ASHBY LANE  
PALM CITY FL 34990

## Your Independent Investment Manager and/or Advisor

---

HBKS WEALTH ADVISORS  
S.SCHRAMM/S.SWINDLER  
1000 SE MONTEREY COMMONS BLVD  
STUART FL 34996  
(772) 287-4110

*The custodian of your brokerage account is Charles Schwab & Co., Inc.*

## Items for Attention

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- Schwab provides your Form 1099 tax information as early and as accurately as possible. However, some issuers may provide new information about their securities after the IRS Form 1099 mailing deadline. If Schwab receives updated information from issuers of securities you hold, we are required by the IRS to send you a CORRECTED Form 1099 with changes clearly highlighted. Please plan your tax preparation accordingly.
- Please refer to the enclosed insert(s) for additional information.

## Important Official IRS Form(s) 1099 Enclosed

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The report in this package contains your income tax return documents and year-end summary. Please retain this package for tax preparation purposes.

For tax advice, please consult with a qualified tax advisor, CPA, financial planner, or investment manager. Except as noted in the Terms and Conditions, your Investment Advisors are not affiliated with, or supervised by Schwab.

### To contact Schwab:

If you have any questions or need additional information about your Form(s) 1099 or your year-end summary, please call your advisor directly, or call Schwab Alliance™ at 1-800-515-2157.

### To contact the IRS:

Tax questions for individuals: 1-800-829-1040  
Tax questions for businesses: 1-800-829-4933  
To order tax forms or publications: 1-800-829-3676  
To pay taxes by credit card: 1-888-272-9829  
For additional information and to print forms and publications, visit [www.irs.gov](http://www.irs.gov).





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

## Recipient's Name and Address

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02/12-89032-YECD0612 \*1-5  
N NORRIS & J NORRIS TTEE  
NINA K NORRIS TRUST  
U/A DTD 08/22/2006  
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Account Number  
**9306-1401**

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

Date Prepared: February 12, 2021

Your Form 1099 Composite may include the following Internal Revenue Service (IRS) forms: 1099-DIV, 1099-INT, 1099-MISC, 1099-B and 1099-OID. You'll only receive the form(s) that apply to your particular financial situation and please keep for your records. Please note that information in the Year-End Summary is not provided to the IRS. It is provided to you as additional tax reporting information you may need to complete your tax return.

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**U/A DTD 08/22/2006**

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**FORM 1099 COMPOSITE**  
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**U/A DTD 08/22/2006**

Account Number  
**9306-1401**

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

Date Prepared: February 12, 2021

**Recipient's Name and Address**

N NORRIS & J NORRIS TTEE  
NINA K NORRIS TRUST  
U/A DTD 08/22/2006  
379 SW ASHBY LANE  
PALM CITY FL 34990

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

**Account Number:** 9306-1401

**Payer's Name and Address**

CHARLES SCHWAB & CO., INC.  
211 MAIN STREET  
SAN FRANCISCO, CA 94105

**Telephone Number:** (800) 515-2157

**Federal ID Number:** 94-1737782

**Dividends and Distributions — 2020**

**Form 1099-DIV**

Department of the Treasury-Internal Revenue Service

Copy B for Recipient (OMB No. 1545-0110)

Box	Description	Amount	Total
1a	Total Ordinary Dividends (Includes amount shown in box 1b)	\$	9,205.50
1b	Qualified Dividends	\$ 5,348.36	
2a	Total Capital Gain Distributions (Includes amounts shown in boxes 2b, 2c and 2d)	\$	400.54
2b	Unrecap. Sec. 1250 Gain	\$ 0.00	
2c	Section 1202 Gain	\$ 0.00	
2d	Collectibles (28%) Gain	\$ 0.00	
3	Nondividend Distributions	\$	0.00
4	<b>Federal Income Tax Withheld</b>	<b>\$</b>	<b>0.00</b>
5	Section 199A Dividends	\$	0.00
6	Investment Expenses	\$	0.00
7	Foreign Tax Paid	\$	250.19
8	Foreign Country or U.S. Possession		
9	Cash Liquidation Distributions	\$	0.00
10	Noncash Liquidation Distributions	\$	0.00
11	Exempt-interest Dividends	\$	0.00
12	Specified Private Activity Bond Interest Dividends	\$	0.00
13	State		
14	State Identification No.		
15	State Tax Withheld	\$	0.00
	FATCA Filing Requirement <input type="checkbox"/>		

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**

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**FORM 1099 COMPOSITE**

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Department of the Treasury-Internal Revenue Service

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**U/A DTD 08/22/2006**

Account Number  
**9306-1401**

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

## INSTRUCTIONS FOR RECIPIENTS OF FORM 1099

### 1099-DIV: Dividends and Distributions

**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.

**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 also may have a filing requirement. See the Instructions for Form 8938.

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

**Box 1a.** Shows total ordinary dividends that are taxable. Include this amount on the "Ordinary dividends" line of Form 1040 or 1040-SR. Also, report it on Schedule B (Form 1040 or 1040-SR), if required.

**Box 1b.** Shows the portion of the amount in box 1a that may be eligible for reduced capital gains rates. See the Instructions for Forms 1040 and 1040-SR for how to determine this amount and where to report.

The amount shown may be dividends a corporation paid directly to you as a participant (or beneficiary of a participant) in an employee stock ownership plan (ESOP). Report it as a dividend on your Form 1040 or 1040-SR but treat it as a plan distribution, not as investment income, for any other purpose.

**Box 2a.** Shows total capital gain distributions from a regulated investment company (RIC) or real estate investment trust (REIT). See How To Report in the Instructions for Schedule D (Form 1040 or 1040-SR). But, if no amount is shown in boxes 2c and 2d and your only capital gains and losses are capital gain distributions, you may be able to report the amounts shown in box 2a on your Form 1040 or 1040-SR rather than Schedule D. See the Instructions for Forms 1040 and 1040-SR.

**Box 2b.** Shows the portion of the amount in box 2a that is unrecaptured section 1250 gain from certain depreciable real property. See the Unrecaptured Section 1250 Gain Worksheet in the Instructions for Schedule D (Form 1040 or 1040-SR).

**Box 2c.** Shows the portion of the amount in box 2a that is section 1202 gain from certain small business stock that may be subject to an exclusion. See the Schedule D (Form 1040 or 1040-SR) instructions.

**Box 2d.** Shows 28% rate gain from sales or exchanges of collectibles. If required, use this amount when completing the 28% Rate Gain Worksheet in the Instructions for Schedule D (Form 1040 or 1040-SR).

**Box 3.** Shows a return of capital. To the extent of your cost (or other basis) in the stock, the distribution reduces your basis and is not taxable. Any amount received in excess of your basis is taxable to you as capital gain. See Pub. 550.

**Box 4.** Shows backup withholding. A payer must backup withhold on certain payments if you did not give your TIN to the payer. See Form W-9, Request for Taxpayer Identification Number and Certification, for information on backup withholding. Include this amount on your income tax return as tax withheld.

**Box 5.** Shows the portion of the amount in box 1a that may be eligible for the 20% qualified business income deduction under section 199A. See the instructions for Form 8995 and Form 8995-A.

**Box 6.** Shows your share of expenses of a nonpublicly offered RIC, generally a nonpublicly offered mutual fund. This amount is included in box 1a.

**Box 7.** Shows the foreign tax that you may be able to claim as a deduction or a credit on Form 1040 or 1040-SR. See the Instructions for Forms 1040 and 1040-SR.

**Box 8.** This box should be left blank if a RIC reported the foreign tax shown in box 7.

**Boxes 9 and 10.** Show cash and noncash liquidation distributions.

**Box 11.** Shows exempt-interest dividends from a mutual fund or other RIC paid to you during the calendar year. See the Instructions for Forms 1040 and 1040-SR for where to report. This amount may be subject to backup withholding. See Box 4 above.

**Box 12.** Shows exempt-interest dividends subject to the alternative minimum tax. This amount is included in box 11. See the Instructions for Form 6251.

**Boxes 13-15.** State income tax withheld reporting boxes.

**Nominees.** If this form includes amounts belonging to another person, you are considered a nominee recipient. You must file Form 1099-DIV (with a Form 1096) with the IRS for each of the other owners to show their share of the income, and you must furnish a Form 1099-DIV to each. A spouse is not required to file a nominee return to show amounts owned by the other spouse. See the 2020 General Instructions for Certain Information Returns.

**Future developments.** For the latest information about developments related to Form 1099-DIV and its instructions, such as legislation enacted after they were published, go to [www.irs.gov/Form1099DIV](http://www.irs.gov/Form1099DIV).



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**U/A DTD 08/22/2006**

Account Number  
**9306-1401**

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

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The amount shown may be dividends a corporation paid directly to you as a participant (or beneficiary of a participant) in an employee stock ownership plan (ESOP). Report it as a dividend on your Form 1040 or 1040-SR but treat it as a plan distribution, not as investment income, for any other purpose.

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**U/A DTD 08/22/2006**

Account Number  
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**TAX YEAR 2020**  
**FORM 1099 COMPOSITE**

Date Prepared: February 12, 2021

**Recipient's Name and Address**

N NORRIS & J NORRIS TTEE  
NINA K NORRIS TRUST  
U/A DTD 08/22/2006  
379 SW ASHBY LANE  
PALM CITY FL 34990

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

**Account Number:** 9306-1401

**Payer's Name and Address**

CHARLES SCHWAB & CO., INC.  
211 MAIN STREET  
SAN FRANCISCO, CA 94105

**Telephone Number:** (800) 515-2157

**Federal ID Number:** 94-1737782

**Interest Income — 2020**

**Form 1099-INT**

Department of the Treasury-Internal Revenue Service

Copy B for Recipient (OMB No. 1545-0112)

Box	Description	Total
1	Interest Income	\$ 4.19
3	Interest on U.S. Savings Bonds and Treasury Obligations	\$ 0.00
4	<b>Federal Income Tax Withheld</b>	<b>\$ 0.00</b>
5	Investment Expenses	\$ 0.00
6	Foreign Tax Paid	\$ 0.00
7	Foreign Country or U.S. Possession	
8	Tax-Exempt Interest	\$ 0.00
9	Specified Private Activity Bond Interest	\$ 0.00
10	Market Discount	\$ 0.00
11	Bond Premium	\$ 0.00
12	Bond Premium on Treasury Obligations	\$ 0.00
13	Bond Premium on Tax-Exempt Bond	\$ 0.00
14	Tax-Exempt and Tax Credit Bond CUSIP No.	
15	State	
16	State Identification No.	
17	State Tax Withheld	\$ 0.00
FATCA Filing Requirement <input type="checkbox"/>		

Amount in Box 9 Specified Private Activity Bond Interest subject to Alternative Minimum Tax is already included in Box 8 Tax-Exempt Interest. Both market discount and bond premium reported for covered taxable and tax-exempt bonds. Market discount is only reported if you submitted a written election to include in income currently.

**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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## INSTRUCTIONS FOR RECIPIENTS OF FORM 1099

### 1099-INT: Interest Income

The information provided may be different for covered and noncovered securities. For a description of covered securities, see the Instructions for Form 8949. For a taxable covered security acquired at a premium, unless you notified the payer in writing in accordance with Regulations section 1.6045-1(n)(5) that you did not want to amortize the premium under section 171, or for a tax-exempt covered security acquired at a premium, your payer generally must report either (1) a net amount of interest that reflects the offset of the amount of interest paid to you by the amount of premium amortization allocable to the payment(s), or (2) a gross amount for both the interest paid to you and the premium amortization allocable to the payment(s). If you did notify your payer that you did not want to amortize the premium on a taxable covered security, then your payer will only report the gross amount of interest paid to you. For a noncovered security acquired at a premium, your payer is only required to report the gross amount of interest paid to you.

**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.

**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 also may have a filing requirement. See the Instructions for Form 8938.

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

**Box 1.** Shows taxable interest paid to you during the calendar year by the payer. This does not include interest shown in box 3. May also show the total amount of the credits from clean renewable energy bonds, new clean renewable energy bonds, qualified energy conservation bonds, qualified zone academy bonds, qualified school construction bonds, and build America bonds that must be included in your interest income. These amounts were treated as paid to you during 2020 on the credit allowance dates (March 15, June 15, September 15, and December 15). For more information, see Form 8912. See the instructions above for a taxable covered security acquired at a premium.

**Box 3.** Shows interest on U.S. Savings Bonds, Treasury bills, Treasury bonds, and Treasury notes. This may or may not all be taxable. See Pub. 550. This interest is exempt from state and local income taxes. This interest is not included in box 1. See the instructions above for a taxable covered security acquired at a premium.

**Box 4.** Shows backup withholding. Generally, a payer must backup withhold if you did not furnish your TIN or you did not furnish the correct TIN to the payer. See Form W-9. Include this amount on your income tax return as tax withheld.

**Box 5.** Any amount shown is your share of investment expenses of a single-class REMIC. This amount is included in box 1. Note: This amount is not deductible.

**Box 6.** Shows foreign tax paid. You may be able to claim this tax as a deduction or a credit on your Form 1040 or 1040-SR. See your tax return instructions.

**Box 7.** Shows the country or U.S. possession to which the foreign tax was paid.

**Box 8.** Shows tax-exempt interest paid to you during the calendar year by the payer. See how to report this amount in the Instructions for Form 1040 and 1040-SR. This amount may be subject to backup withholding. See Box 4 above. See the instructions above for a tax-exempt covered security acquired at a premium.

**Box 9.** Shows tax-exempt interest subject to the alternative minimum tax. This amount is included in box 8. See the Instructions for Form 6251. See the instructions above for a tax-exempt covered security acquired at a premium.

**Box 10.** For a taxable or tax-exempt covered security, if you made an election under section 1278(b) to include market discount in income as it accrues and you notified your payer of the election in writing in accordance with Regulations section 1.6045-1(n)(5), shows the market discount that accrued on the debt instrument during the year while held by you, unless it was reported on Form 1099-OID. For a taxable or tax-exempt covered security acquired on or after January 1, 2015, accrued market discount will be calculated on a constant yield basis unless you notified your payer in writing in accordance with Regulations section 1.6045-1(n)(5) that you did not want to make a constant yield election for market discount under section 1276(b). Report the accrued market discount on your income tax return as directed in the Instructions for Form 1040 and 1040-SR. Market discount on a tax-exempt security is includible in taxable income as interest income.

**Box 11.** For a taxable covered security (other than a U.S. Treasury obligation), shows the amount of premium amortization allocable to the interest payment(s), unless you notified the payer in writing in accordance with Regulations section 1.6045-1(n)(5) that you did not want to amortize bond premium under section 171. If an amount is reported in this box, see the Instructions for Schedule B (Form 1040 or 1040-SR) to determine the net amount of interest includible in income on Form 1040 or 1040-SR with respect to the security. If an amount is not reported in this box for a taxable covered security acquired at a premium and the payer is reporting premium amortization, the payer has reported a net amount of interest in box 1. If the amount in box 11 is greater than the amount of interest paid on the covered security, see Regulations section 1.171-2(a)(4).

**Box 12.** For a U.S. Treasury obligation that is a covered security, shows the amount of premium amortization allocable to the interest payment(s), unless you notified the payer in writing in accordance with Regulations section 1.6045-1(n)(5) that you did not want to amortize bond premium under section 171. If an amount is reported in this box, see the Instructions for Schedule B (Form 1040 or 1040-SR) to determine the net amount of interest includible in income on Form 1040 or 1040-SR with respect to the U.S. Treasury obligation. If an amount is not reported in this box for a U.S. Treasury obligation that is a covered security acquired at a premium and the payer is reporting premium amortization, the payer has reported a net amount of interest in box 3. If the amount in box 12 is greater than the amount of interest paid on the U.S. Treasury obligation, see Regulations section 1.171-2(a)(4).

**Box 13.** For a tax-exempt covered security, shows the amount of premium amortization allocable to the interest payment(s). If an amount is reported in this box, see Pub. 550 to determine the net amount of tax-exempt interest reportable on Form 1040 or 1040-SR. If an amount is not reported in this box for a tax-exempt covered security acquired at a premium, the payer has reported a net amount of interest in box 8 or 9, whichever is applicable. If the amount in box 13 is greater than the amount of interest paid on the tax-exempt covered security, the excess is a nondeductible loss. See Regulations section 1.171-2(a)(4)(ii).

**Box 14.** Shows CUSIP number(s) for tax-exempt bond(s) on which tax-exempt interest was paid, or tax credit bond(s) on which taxable interest was paid or tax credit was allowed, to you during the calendar year. If blank, no CUSIP number was issued for the bond(s).

**Boxes 15-17.** State tax withheld reporting boxes.

**Nominees.** If this form includes amounts belonging to another person(s), you are considered a nominee recipient. Complete a Form 1099-INT for each of the other owners showing the income allocable to each. File Copy A of the form with the IRS. Furnish Copy B to each owner. List yourself as the "payer" and the other owner(s) as the "recipient." File Form(s) 1099-INT with Form 1096 with the Internal Revenue Service Center for your area. On Form 1096, list yourself as the "filer." A spouse is not required to file a nominee return to show amounts owned by the other spouse.

**Future developments.** For the latest information about developments related to Form 1099-INT and its instructions, such as legislation enacted after they were published, go to [www.irs.gov/Form1099INT](http://www.irs.gov/Form1099INT).



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-INT: Interest Income

The information provided may be different for covered and noncovered securities. For a description of covered securities, see the Instructions for Form 8949. For a taxable covered security acquired at a premium, unless you notified the payer in writing in accordance with Regulations section 1.6045-1(n)(5) that you did not want to amortize the premium under section 171, or for a tax-exempt covered security acquired at a premium, your payer generally must report either (1) a net amount of interest that reflects the offset of the amount of interest paid to you by the amount of premium amortization allocable to the payment(s), or (2) a gross amount for both the interest paid to you and the premium amortization allocable to the payment(s). If you did notify your payer that you did not want to amortize the premium on a taxable covered security, then your payer will only report the gross amount of interest paid to you. For a noncovered security acquired at a premium, your payer is only required to report the gross amount of interest paid to you.

**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.

**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 also may have a filing requirement. See the Instructions for Form 8938.

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

**Box 1.** Shows taxable interest paid to you during the calendar year by the payer. This does not include interest shown in box 3. May also show the total amount of the credits from clean renewable energy bonds, new clean renewable energy bonds, qualified energy conservation bonds, qualified zone academy bonds, qualified school construction bonds, and build America bonds that must be included in your interest income. These amounts were treated as paid to you during 2020 on the credit allowance dates (March 15, June 15, September 15, and December 15). For more information, see Form 8912. See the instructions above for a taxable covered security acquired at a premium.

**Box 3.** Shows interest on U.S. Savings Bonds, Treasury bills, Treasury bonds, and Treasury notes. This may or may not all be taxable. See Pub. 550. This interest is exempt from state and local income taxes. This interest is not included in box 1. See the instructions above for a taxable covered security acquired at a premium.

**Box 4.** Shows backup withholding. Generally, a payer must backup withhold if you did not furnish your TIN or you did not furnish the correct TIN to the payer. See Form W-9. Include this amount on your income tax return as tax withheld.

**Box 5.** Any amount shown is your share of investment expenses of a single-class REMIC. This amount is included in box 1. Note: This amount is not deductible.

**Box 6.** Shows foreign tax paid. You may be able to claim this tax as a deduction or a credit on your Form 1040 or 1040-SR. See your tax return instructions.

**Box 7.** Shows the country or U.S. possession to which the foreign tax was paid.

**Box 8.** Shows tax-exempt interest paid to you during the calendar year by the payer. See how to report this amount in the Instructions for Form 1040 and 1040-SR. This amount may be subject to backup withholding. See Box 4 above. See the instructions above for a tax-exempt covered security acquired at a premium.

**Box 9.** Shows tax-exempt interest subject to the alternative minimum tax. This amount is included in box 8. See the Instructions for Form 6251. See the instructions above for a tax-exempt covered security acquired at a premium.

**Box 10.** For a taxable or tax-exempt covered security, if you made an election under section 1278(b) to include market discount in income as it accrues and you notified your payer of the election in writing in accordance with Regulations section 1.6045-1(n)(5), shows the market discount that accrued on the debt instrument during the year while held by you, unless it was reported on Form 1099-OID. For a taxable or tax-exempt covered security acquired on or after January 1, 2015, accrued market discount will be calculated on a constant yield basis unless you notified your payer in writing in accordance with Regulations section 1.6045-1(n)(5) that you did not want to make a constant yield election for market discount under section 1276(b). Report the accrued market discount on your income tax return as directed in the Instructions for Form 1040 and 1040-SR. Market discount on a tax-exempt security is includible in taxable income as interest income.

**Box 11.** For a taxable covered security (other than a U.S. Treasury obligation), shows the amount of premium amortization allocable to the interest payment(s), unless you notified the payer in writing in accordance with Regulations section 1.6045-1(n)(5) that you did not want to amortize bond premium under section 171. If an amount is reported in this box, see the Instructions for Schedule B (Form 1040 or 1040-SR) to determine the net amount of interest includible in income on Form 1040 or 1040-SR with respect to the security. If an amount is not reported in this box for a taxable covered security acquired at a premium and the payer is reporting premium amortization, the payer has reported a net amount of interest in box 1. If the amount in box 11 is greater than the amount of interest paid on the covered security, see Regulations section 1.171-2(a)(4).

**Box 12.** For a U.S. Treasury obligation that is a covered security, shows the amount of premium amortization allocable to the interest payment(s), unless you notified the payer in writing in accordance with Regulations section 1.6045-1(n)(5) that you did not want to amortize bond premium under section 171. If an amount is reported in this box, see the Instructions for Schedule B (Form 1040 or 1040-SR) to determine the net amount of interest includible in income on Form 1040 or 1040-SR with respect to the U.S. Treasury obligation. If an amount is not reported in this box for a U.S. Treasury obligation that is a covered security acquired at a premium and the payer is reporting premium amortization, the payer has reported a net amount of interest in box 3. If the amount in box 12 is greater than the amount of interest paid on the U.S. Treasury obligation, see Regulations section 1.171-2(a)(4).

**Box 13.** For a tax-exempt covered security, shows the amount of premium amortization allocable to the interest payment(s). If an amount is reported in this box, see Pub. 550 to determine the net amount of tax-exempt interest reportable on Form 1040 or 1040-SR. If an amount is not reported in this box for a tax-exempt covered security acquired at a premium, the payer has reported a net amount of interest in box 8 or 9, whichever is applicable. If the amount in box 13 is greater than the amount of interest paid on the tax-exempt covered security, the excess is a nondeductible loss. See Regulations section 1.171-2(a)(4)(ii).

**Box 14.** Shows CUSIP number(s) for tax-exempt bond(s) on which tax-exempt interest was paid, or tax credit bond(s) on which taxable interest was paid or tax credit was allowed, to you during the calendar year. If blank, no CUSIP number was issued for the bond(s).

**Boxes 15-17.** State tax withheld reporting boxes.

**Nominees.** If this form includes amounts belonging to another person(s), you are considered a nominee recipient. Complete a Form 1099-INT for each of the other owners showing the income allocable to each. File Copy A of the form with the IRS. Furnish Copy B to each owner. List yourself as the "payer" and the other owner(s) as the "recipient." File Form(s) 1099-INT with Form 1096 with the Internal Revenue Service Center for your area. On Form 1096, list yourself as the "filer." A spouse is not required to file a nominee return to show amounts owned by the other spouse.

**Future developments.** For the latest information about developments related to Form 1099-INT and its instructions, such as legislation enacted after they were published, go to [www.irs.gov/Form1099INT](http://www.irs.gov/Form1099INT).



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

**Recipient's Name and Address**

N NORRIS & J NORRIS TTEE  
NINA K NORRIS TRUST  
U/A DTD 08/22/2006  
379 SW ASHBY LANE  
PALM CITY FL 34990

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

Account Number: 9306-1401

**Payer's Name and Address**

CHARLES SCHWAB & CO., INC.  
211 MAIN STREET  
SAN FRANCISCO, CA 94105

Telephone Number: (800) 515-2157

Federal ID Number: 94-1737782

**Proceeds from Broker Transactions — 2020**

**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
115 GATEWAY A 367829207 / GATEX	S	05/04/18 03/19/20	\$ 3,525.08	\$ 3,786.75	-- \$	(261.67) \$	0.00
115 GATEWAY A 367829207 / GATEX	S	05/04/18 06/22/20	\$ 3,875.51	\$ 3,786.74	-- \$	88.77 \$	0.00
<b>Security Subtotal</b>			<b>\$ 7,400.59</b>	<b>\$ 7,573.49</b>	-- \$	<b>(172.90) \$</b>	<b>0.00</b>
1,364 JPMORGAN STRATEGIC INCOME OP 4812A4351 / JSOSX	S	12/27/18 04/03/20	\$ 14,985.00	\$ 15,471.20	-- \$	(486.20) \$	0.00
1,502 JPMORGAN STRATEGIC INCOME OP 4812A4351 / JSOSX	S	12/27/18 06/22/20	\$ 17,066.04	\$ 17,028.80	-- \$	37.24 \$	0.00
<b>Security Subtotal</b>			<b>\$ 32,051.04</b>	<b>\$ 32,500.00</b>	-- \$	<b>(448.96) \$</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**

Date Prepared: February 12, 2021

**Recipient's Name and Address**

N NORRIS & J NORRIS TTEE  
NINA K NORRIS TRUST  
U/A DTD 08/22/2006  
379 SW ASHBY LANE  
PALM CITY FL 34990

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

Account Number: 9306-1401

**Payer's Name and Address**

CHARLES SCHWAB & CO., INC.  
211 MAIN STREET  
SAN FRANCISCO, CA 94105

Telephone Number: (800) 515-2157

Federal ID Number: 94-1737782

**Proceeds from Broker Transactions — 2020**

**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
115 GATEWAY A 367829207 / GATEX	S	05/04/18	03/19/20	\$ 3,525.08	\$ 3,786.75	-- \$	(261.67) \$	0.00
115 GATEWAY A 367829207 / GATEX	S	05/04/18	06/22/20	\$ 3,875.51	\$ 3,786.74	-- \$	88.77 \$	0.00
<b>Security Subtotal</b>				<b>\$ 7,400.59</b>	<b>\$ 7,573.49</b>	-- \$	<b>(172.90) \$</b>	<b>0.00</b>
1,364 JPMORGAN STRATEGIC INCOME OP 4812A4351 / JSOSX	S	12/27/18	04/03/20	\$ 14,985.00	\$ 15,471.20	-- \$	(486.20) \$	0.00
1,502 JPMORGAN STRATEGIC INCOME OP 4812A4351 / JSOSX	S	12/27/18	06/22/20	\$ 17,066.04	\$ 17,028.80	-- \$	37.24 \$	0.00
<b>Security Subtotal</b>				<b>\$ 32,051.04</b>	<b>\$ 32,500.00</b>	-- \$	<b>(448.96) \$</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**

Date Prepared: February 12, 2021

**Recipient's Name and Address**

N NORRIS & J NORRIS TTEE  
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379 SW ASHBY LANE  
PALM CITY FL 34990

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

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CHARLES SCHWAB & CO., INC.  
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SAN FRANCISCO, CA 94105

Telephone Number: (800) 515-2157

Federal ID Number: 94-1737782

**Proceeds from Broker Transactions — 2020**

**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
115 GATEWAY A	S	05/04/18	03/19/20	\$ 3,525.08	\$	3,786.75	--	\$	(261.67) \$	0.00
367829207 / GATEX							--			
115 GATEWAY A	S	05/04/18	06/22/20	\$ 3,875.51	\$	3,786.74	--	\$	88.77 \$	0.00
367829207 / GATEX							--			
<b>Security Subtotal</b>				<b>\$ 7,400.59</b>	<b>\$</b>	<b>7,573.49</b>	--	<b>\$</b>	<b>(172.90) \$</b>	<b>0.00</b>
							--			
1,364 JPMORGAN STRATEGIC INCOME OP	S	12/27/18	04/03/20	\$ 14,985.00	\$	15,471.20	--	\$	(486.20) \$	0.00
4812A4351 / JSOSX							--			
1,502 JPMORGAN STRATEGIC INCOME OP	S	12/27/18	06/22/20	\$ 17,066.04	\$	17,028.80	--	\$	37.24 \$	0.00
4812A4351 / JSOSX							--			
<b>Security Subtotal</b>				<b>\$ 32,051.04</b>	<b>\$</b>	<b>32,500.00</b>	--	<b>\$</b>	<b>(448.96) \$</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**

## 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**

## 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.

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**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.

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Schwab One® Trust Account of  
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**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.

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

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**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).

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

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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 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.

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

Account Number  
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**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 BONDEF S 808524839 / SCHZ	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  
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Account Number  
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**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.

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Schwab One® Trust Account of  
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**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 808524607 / SCHA	S	08/25/11 10/21/20	\$ 21,484.20	\$	8,846.17	-- --	\$ 12,638.03	\$ 0.00	
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.



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**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 808524607 / SCHA	S	08/25/11 10/21/20	\$ 21,484.20	\$	8,846.17	-- --	\$ 12,638.03	\$ 0.00	
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.

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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 808524607 / SCHA	S	08/25/11 10/21/20	\$ 21,484.20	\$	8,846.17	-- --	\$ 12,638.03	\$ 0.00	
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	

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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.

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- |                     |   |
|---------------------|---|
| <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	

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

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**INTEREST & DIVIDENDS**

The information in the following sections may be helpful for, but not limited to, Schedule B. Please consult with your tax advisor or financial advisor regarding specific questions.

**Detail Information of Dividends and Distributions**

Description	Symbol	CUSIP Number	Paid in 2020	Paid/Adjusted in 2021 for 2020	Amount
<b>Ordinary Dividends</b>					
<b>Non-Qualified Dividends</b>					
BLACKROCK SYSTEMATIC MUL	BIMBX	09260C307	\$ 0.00	\$ 192.76	\$ 192.76
ISHARES MSCI EAFE ETF	EFA	464287465	\$ 1,334.92	\$ (1,274.00)	\$ 60.92
JPMORGAN STRATEGIC INCM	JSOSX	4812A4351	\$ 199.74	\$ 0.00	\$ 199.74
METROPOLITAN WEST TOTAL	MWTIX	592905509	\$ 417.35	\$ 0.00	\$ 417.35
SCHWAB US AGGREGATE BOND	SCHZ	808524839	\$ 1,537.45	\$ 0.00	\$ 1,537.45
SCHWAB US BROAD MARKET	SCHB	808524102	\$ 90.57	\$ (82.74)	\$ 7.83
SCHWAB US LARGE CAP ETF	SCHX	808524201	\$ 2,469.59	\$ (2,424.16)	\$ 45.43
SCHWAB US SMALL CAP ETF	SCHA	808524607	\$ 657.79	\$ (498.95)	\$ 158.84
<b>Total Non-Qualified Dividends (Included in Box 1a)</b>			<b>\$ 6,707.41</b>	<b>\$ (4,087.09)</b>	<b>\$ 2,620.32</b>
<b>Short-Term Capital Gains</b>					
BLACKROCK SYSTEMATIC	BIMBX	09260C307	\$ 0.00	\$ 0.58	\$ 0.58
METROPOLITAN WEST TOTAL	MWTIX	592905509	\$ 1,236.24	\$ 0.00	\$ 1,236.24
<b>Total Short-Term Capital Gains (Included in Box 1a)</b>			<b>\$ 1,236.24</b>	<b>\$ 0.58</b>	<b>\$ 1,236.82</b>
<b>Qualified Dividends</b>					
BLACKROCK SYSTEMATIC MUL	BIMBX	09260C307	\$ 203.92	\$ (193.34)	\$ 10.58
FIDELITY ADVISOR INTL SM	FIXIX	315910679	\$ 166.76	\$ 35.62	\$ 202.38
GATEWAY FUND CL A	GATEX	367829207	\$ 10.19	\$ 0.00	\$ 10.19
HARDING LOEVNER INTERNAT	HLMIX	412295107	\$ 630.79	\$ 118.98	\$ 749.77
ISHARES MSCI EAFE ETF	EFA	464287465	\$ 0.00	\$ 1,369.59	\$ 1,369.59
SCHWAB US BROAD MARKET	SCHB	808524102	\$ 0.00	\$ 82.74	\$ 82.74



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

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

Date Prepared: February 12, 2021

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**INTEREST & DIVIDENDS**

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**Detail Information of Dividends and Distributions**

Description	Symbol	CUSIP Number	Paid in 2020	Paid/Adjusted in 2021 for 2020	Amount
<b>Ordinary Dividends</b>					
<b>Non-Qualified Dividends</b>					
BLACKROCK SYSTEMATIC MUL	BIMBX	09260C307	\$ 0.00	\$ 192.76	\$ 192.76
ISHARES MSCI EAFE ETF	EFA	464287465	\$ 1,334.92	\$ (1,274.00)	\$ 60.92
JPMORGAN STRATEGIC INCM	JSOSX	4812A4351	\$ 199.74	\$ 0.00	\$ 199.74
METROPOLITAN WEST TOTAL	MWTIX	592905509	\$ 417.35	\$ 0.00	\$ 417.35
SCHWAB US AGGREGATE BOND	SCHZ	808524839	\$ 1,537.45	\$ 0.00	\$ 1,537.45
SCHWAB US BROAD MARKET	SCHB	808524102	\$ 90.57	\$ (82.74)	\$ 7.83
SCHWAB US LARGE CAP ETF	SCHX	808524201	\$ 2,469.59	\$ (2,424.16)	\$ 45.43
SCHWAB US SMALL CAP ETF	SCHA	808524607	\$ 657.79	\$ (498.95)	\$ 158.84
<b>Total Non-Qualified Dividends (Included in Box 1a)</b>			<b>\$ 6,707.41</b>	<b>\$ (4,087.09)</b>	<b>\$ 2,620.32</b>
<b>Short-Term Capital Gains</b>					
BLACKROCK SYSTEMATIC	BIMBX	09260C307	\$ 0.00	\$ 0.58	\$ 0.58
METROPOLITAN WEST TOTAL	MWTIX	592905509	\$ 1,236.24	\$ 0.00	\$ 1,236.24
<b>Total Short-Term Capital Gains (Included in Box 1a)</b>			<b>\$ 1,236.24</b>	<b>\$ 0.58</b>	<b>\$ 1,236.82</b>
<b>Qualified Dividends</b>					
BLACKROCK SYSTEMATIC MUL	BIMBX	09260C307	\$ 203.92	\$ (193.34)	\$ 10.58
FIDELITY ADVISOR INTL SM	FIXIX	315910679	\$ 166.76	\$ 35.62	\$ 202.38
GATEWAY FUND CL A	GATEX	367829207	\$ 10.19	\$ 0.00	\$ 10.19
HARDING LOEVNER INTERNAT	HLMIX	412295107	\$ 630.79	\$ 118.98	\$ 749.77
ISHARES MSCI EAFE ETF	EFA	464287465	\$ 0.00	\$ 1,369.59	\$ 1,369.59
SCHWAB US BROAD MARKET	SCHB	808524102	\$ 0.00	\$ 82.74	\$ 82.74



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

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

Date Prepared: February 12, 2021

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**Detail Information of Dividends and Distributions (continued)**

Description			Symbol	CUSIP Number	Paid in 2020		Paid/Adjusted in 2021 for 2020		Amount
Qualified Dividends (continued)									
SCHWAB US LARGE CAP ETF			SCHX	808524201	\$	0.00	\$	2,424.16	\$ 2,424.16
SCHWAB US SMALL CAP ETF			SCHA	808524607	\$	0.00	\$	498.95	\$ 498.95
Total Qualified Dividends (Box 1b and included in Box 1a)					\$	1,011.66	\$	4,336.70	\$ 5,348.36
Total Ordinary Dividends (Box 1a)					\$	8,955.31	\$	250.19	\$ 9,205.50
(Total Non-Qualified Dividends, Short-Term Capital Gains and Qualified Dividends)									
Capital Gain Distributions									
Long-Term Gain									
METROPOLITAN WEST TOTAL			MWTIX	592905509	\$	400.54	\$	0.00	\$ 400.54
Total Long-Term Gain (Included in Box 2a)					\$	400.54	\$	0.00	\$ 400.54
Total Capital Gain Distributions (Box 2a)					\$	400.54	\$	0.00	\$ 400.54
Foreign Tax Paid									
FIDELITY ADVISOR INTL SM			Country	RIC	315910679	\$	0.00	\$	(35.62)
HARDING LOEVNER INTERNAT			RIC	412295107	\$	0.00	\$	(118.98)	\$ (118.98)
ISHARES MSCI EAFE ETF			RIC	464287465	\$	0.00	\$	(95.59)	\$ (95.59)
Total Foreign Tax Paid (Box 7)					\$	0.00	\$	(250.19)	\$ (250.19)



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

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Date Prepared: February 12, 2021

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**Detail Information of Dividends and Distributions (continued)**

Description			Symbol	CUSIP Number	Paid in 2020		Paid/Adjusted in 2021 for 2020		Amount
Qualified Dividends (continued)									
SCHWAB US LARGE CAP ETF			SCHX	808524201	\$	0.00	\$	2,424.16	\$ 2,424.16
SCHWAB US SMALL CAP ETF			SCHA	808524607	\$	0.00	\$	498.95	\$ 498.95
Total Qualified Dividends (Box 1b and included in Box 1a)					\$	1,011.66	\$	4,336.70	\$ 5,348.36
Total Ordinary Dividends (Box 1a)					\$	8,955.31	\$	250.19	\$ 9,205.50
(Total Non-Qualified Dividends, Short-Term Capital Gains and Qualified Dividends)									
Capital Gain Distributions									
Long-Term Gain									
METROPOLITAN WEST TOTAL			MWTIX	592905509	\$	400.54	\$	0.00	\$ 400.54
Total Long-Term Gain (Included in Box 2a)					\$	400.54	\$	0.00	\$ 400.54
Total Capital Gain Distributions (Box 2a)					\$	400.54	\$	0.00	\$ 400.54
Foreign Tax Paid									
FIDELITY ADVISOR INTL SM			Country	RIC	315910679	\$	0.00	\$	(35.62)
HARDING LOEVNER INTERNAT			RIC	412295107	\$	0.00	\$	(118.98)	\$ (118.98)
ISHARES MSCI EAFE ETF			RIC	464287465	\$	0.00	\$	(95.59)	\$ (95.59)
Total Foreign Tax Paid (Box 7)					\$	0.00	\$	(250.19)	\$ (250.19)



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## 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)



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## TAX YEAR 2020 YEAR-END SUMMARY

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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.

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

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)
JPMORGAN STRATEGIC INCOME OPPORTS I	4812A4351	1,502.29	12/27/18	06/22/20	\$ 17,066.04	\$ 17,028.80	-- \$	37.24
<b>Security Subtotal</b>					<b>\$ 32,051.04</b>	<b>\$ 32,500.00</b>	<b>-- \$</b>	<b>(448.96)</b>
SCHWAB US AGGREGATE BONDETF	808524839	195.00	12/18/18	03/12/20	\$ 10,078.36	\$ 9,823.40	-- \$	254.96
<b>Security Subtotal</b>					<b>\$ 10,078.36</b>	<b>\$ 9,823.40</b>	<b>-- \$</b>	<b>254.96</b>
<b>Total Long-Term</b> (Cost basis is reported to the IRS)					<b>\$ 49,529.99</b>	<b>\$ 49,896.89</b>	<b>-- \$</b>	<b>(366.90)</b>

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

This section is for noncovered securities and corresponds to transactions reported on your 1099-B as "cost basis is available but not reported to the IRS." Report on Form 8949, Part II, with Box E 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)
SCHWAB US SMALL CAP ETF	808524607	294.00	08/25/11	10/21/20	\$ 21,484.20	\$ 8,846.17	-- \$	12,638.03
<b>Security Subtotal</b>					<b>\$ 21,484.20</b>	<b>\$ 8,846.17</b>	<b>-- \$</b>	<b>12,638.03</b>
<b>Total Long-Term</b> (Cost basis is available but not reported to the IRS)					<b>\$ 21,484.20</b>	<b>\$ 8,846.17</b>	<b>-- \$</b>	<b>12,638.03</b>
<b>Total Long-Term</b>					<b>\$ 71,014.19</b>	<b>\$ 58,743.06</b>	<b>-- \$</b>	<b>12,271.13</b>





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

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)
JPMORGAN STRATEGIC INCOME OPPORTS I	4812A4351	1,502.29	12/27/18	06/22/20	\$ 17,066.04	\$ 17,028.80	-- \$	37.24
<b>Security Subtotal</b>					<b>\$ 32,051.04</b>	<b>\$ 32,500.00</b>	<b>-- \$</b>	<b>(448.96)</b>
SCHWAB US AGGREGATE BONDETF	808524839	195.00	12/18/18	03/12/20	\$ 10,078.36	\$ 9,823.40	-- \$	254.96
<b>Security Subtotal</b>					<b>\$ 10,078.36</b>	<b>\$ 9,823.40</b>	<b>-- \$</b>	<b>254.96</b>
<b>Total Long-Term</b> (Cost basis is reported to the IRS)					<b>\$ 49,529.99</b>	<b>\$ 49,896.89</b>	<b>-- \$</b>	<b>(366.90)</b>

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

This section is for noncovered securities and corresponds to transactions reported on your 1099-B as "cost basis is available but not reported to the IRS." Report on Form 8949, Part II, with Box E 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)
SCHWAB US SMALL CAP ETF	808524607	294.00	08/25/11	10/21/20	\$ 21,484.20	\$ 8,846.17	-- \$	12,638.03
<b>Security Subtotal</b>					<b>\$ 21,484.20</b>	<b>\$ 8,846.17</b>	<b>-- \$</b>	<b>12,638.03</b>
<b>Total Long-Term</b> (Cost basis is available but not reported to the IRS)					<b>\$ 21,484.20</b>	<b>\$ 8,846.17</b>	<b>-- \$</b>	<b>12,638.03</b>
<b>Total Long-Term</b>					<b>\$ 71,014.19</b>	<b>\$ 58,743.06</b>	<b>-- \$</b>	<b>12,271.13</b>



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  
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.

**Realized Gain or (Loss) Summary**

**Total Realized Gain or (Loss)**

Description	Total Proceeds	(-)Cost Basis	(+)Wash Sale Loss Disallowed	(=)Realized Gain or (Loss)
<b>Total Long-Term Realized Gain or (Loss)</b> <i>(Cost basis is reported to the IRS. Report on Form 8949, Part II, with Box D checked.)</i>	\$ 49,529.99	\$ 49,896.89	-- \$	(366.90)
<b>Total Long-Term Realized Gain or (Loss)</b> <i>(Cost basis is available but not reported to the IRS. Report on Form 8949, Part II, with Box E checked.)</i>	\$ 21,484.20	\$ 8,846.17	-- \$	12,638.03
<b>Total Long-Term Realized Gain or (Loss)</b>	\$ 71,014.19	\$ 58,743.06	-- \$	12,271.13
<b>TOTAL REALIZED GAIN OR (LOSS)</b>	\$ 71,014.19	\$ 58,743.06	-- \$	12,271.13



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 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.

### **Notes for Your Realized Gain or (Loss)**

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Schwab has provided realized gain and loss information whenever possible for most investments. Cost basis data may be incomplete or unavailable for some of your holdings. See Terms and Conditions.

When value for the report is unavailable, it is noted as follows: "Missing" or "Not Provided"

<b>Not Provided</b>	Schwab is not providing Cost Basis on this security type.
<b>Missing</b>	Cost Basis may be missing due to one of the following reasons: <ul style="list-style-type: none"><li>• 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>• The security was purchased more than 10 years ago.</li></ul>
<b>Date Acquired</b>	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.
<b>Total Proceeds</b>	The amount displayed in this column has been adjusted for option premiums, if applicable.
<b>Cost Basis</b>	The amount displayed in this column may differ from your original cost basis as adjustments may have been made to reflect applicable option premiums, corporate actions and/or wash sales.
<b>Wash Sale Loss Disallowed</b>	The disallowed amount displayed in this column has been added to the cost basis of other share lots with the same CUSIP owned in the same account at the time the loss was disallowed.
<b>Realized Gain or (Loss)</b>	The calculation for gain or (loss) displayed in this column is Total Proceeds - Cost Basis + Wash Sale Loss Disallowed - Market Discount =Realized Gain or (Loss)

For sales of short-term debt issued after January 1, 2014, talk to your tax advisor as to how to report the income.



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**TAX YEAR 2020  
YEAR-END SUMMARY**

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**SUMMARY OF FEES & EXPENSES**

The information in the following sections may be helpful for, but not limited to, calculating your itemized deductions for Schedule A. The summary is limited to fees paid out of this account. Please consult with your tax advisor regarding specific questions.

**Fees—2020**

Description	Amount	
ADVISOR FEES	\$	(3,573.97)
<b>Total of Fees—2020</b>	<b>\$</b>	<b>(3,573.97)</b>



Schwab One® Trust Account of  
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**TAX YEAR 2020**  
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**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
FIDELITY ADVISOR INTL SM	315910679	RIC	\$	(35.62) \$	202.38 \$	0.00
HARDING LOEVNER INTERNAT	412295107	RIC	\$	(118.98) \$	749.77 \$	0.00
ISHARES MSCI EAFE ETF	464287465	RIC	\$	(95.59) \$	1,430.51 \$	0.00
<b>Total Foreign Tax Paid and Income</b>			<b>\$</b>	<b>(250.19) \$</b>	<b>2,382.66 \$</b>	<b>0.00</b>



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**TAX YEAR 2020**  
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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.



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**TAX YEAR 2020**  
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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

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

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**9306-1401**

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

Date Prepared: February 12, 2021

## TERMS AND CONDITIONS

### GENERAL INFORMATION

#### Form 1099-Composite

For U.S. taxpayers, the information reported to you on Form 1099 is given to the Internal Revenue Service (IRS). Form 1099-Composite is comprised of the following substitute forms: 1099-DIV, 1099-INT, 1099-MISC, 1099-OID, and 1099-B. The form(s) you receive in Form 1099 Composite depends on the income reportable to the IRS.

#### Year-End Summary

The information in the Year-End Summary is provided to you as a courtesy, should you need additional information when completing your tax return. When relevant, IRS box numbers are referenced to indicate individual items that make up the totals appearing on your Form(s) 1099. With the exception of the totals reported in the IRS box numbers referenced, Charles Schwab does not provide the details of the Year-End Summary to the IRS.

We recommend that all customers consult their investment and tax advisors prior to using this information.

#### Corrected Form 1099 and Year-End Summary

We are required to send you a corrected form with the revisions clearly marked when we receive updates or revisions to information contained in the form. This generally occurs if one or more of the issuers of the securities in your account reallocated certain income distribution (e.g., dividends or capital gains) after we mailed your original Form 1099. As a result, the supplemental information in Year-End Summary may be updated.

Upon receiving a corrected form, you may want to consider filing an amended return based on the changes in your taxable income as reported on your corrected Form 1099. We suggest that you consult with a qualified tax advisor, CPA, financial planner, or investment manager before you proceed.

#### Duplicate Form 1099 and Year-End Summary

If you request a duplicate Form 1099, please be aware that Schwab uses the most up-to-date information available at the time of the production. Thus, your duplicate Form 1099 and Year-End Summary may have more up-to-date information than the original Form 1099.

#### Realized Gain or (Loss) in Year-End Summary

The Realized Gain or (Loss) section provides information for all your realized gain or (loss) transactions during the tax year. It contains all transactions included in the Form 1099-B as well as transactions that are not reported on Form 1099-B (for example; sales and expirations of noncovered option activities, cash in lieu under \$20, bankruptcy, and worthless securities). This supplemental information is believed to be accurate as of the date the data was compiled but they may not be updated for any corrections after the data was initially compiled.

**IN CASE OF QUESTIONS:** If you have questions about this report or about specific Schwab accounts or Schwab One transactions (other than wire transfers or check transactions), contact Schwab at 1-800-435-4000. If you have a complaint regarding your Schwab statement or our products and services, please write to the Client Advocacy Team at Charles Schwab & Co., Inc., Attention: Client Advocacy Team, 211 Main St., San Francisco, CA 94105. Outside of the U.S., call +1-415-667-5009.

#### For Clients of Investment Advisors

The Year-End Summary in this report is furnished solely by Charles Schwab & Co., Inc. ("Schwab") for your account at Schwab ("Account"). Schwab Advisor Services<sup>TM</sup> is a division of Charles Schwab & Co., Inc. and provides back-office brokerage and related services to investment advisors and retirement plan providers. Unless otherwise defined herein, capitalized terms have the same meanings as in your Account Agreement. Schwab is a registered broker-dealer and, except in the case of an affiliated company that may act as the investment advisor for the Sweep Funds, Windhaven Investment Management, Inc. ("Windhaven®"), ThomasPartners, Inc. ("ThomasPartner"), Charles Schwab Investment Advisory, Inc. is not affiliated with your Investment Advisor, whose name appears on this report ("Advisors"). Advisors are independently owned and operated. Schwab neither endorses nor recommends any particular Advisor or investment strategy and has no responsibility to monitor trading by any Advisor in your Account. Advisors provide investment advisory services for your Account. Schwab provides brokerage and custody for your Account. Schwab has agreements with Advisors under which Schwab provides Advisors with institutional trading, custody and related services, and products. Not all of these products and services may benefit your Account, and Schwab may provide them to Advisors on the Advisors' commitment to place a certain amount of its clients' assets in brokerage accounts at Schwab within a certain period of time. This commitment could influence an Advisor's recommendation or requirement that its clients establish brokerage accounts at Schwab.



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

## Recipient's Name and Address

---

02/12-89032-YECD0612 \*1  
JOHN C NORRIS  
DESIGNATED BENE PLAN/TOD  
379 SW ASHBY LANE  
PALM CITY FL 34990

## Your Independent Investment Manager and/or Advisor

---

HBKS WEALTH ADVISORS  
S.SCHRAMM/S.SWINDLER  
1000 SE MONTEREY COMMONS BLVD  
STUART FL 34996  
(772) 287-4110

*The custodian of your brokerage account is Charles Schwab & Co., Inc.*

## Items for Attention

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- Schwab provides your Form 1099 tax information as early and as accurately as possible. However, some issuers may provide new information about their securities after the IRS Form 1099 mailing deadline. If Schwab receives updated information from issuers of securities you hold, we are required by the IRS to send you a CORRECTED Form 1099 with changes clearly highlighted. Please plan your tax preparation accordingly.
- Please refer to the enclosed insert(s) for additional information.

## Important Official IRS Form(s) 1099 Enclosed

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The report in this package contains your income tax return documents and year-end summary. Please retain this package for tax preparation purposes.

For tax advice, please consult with a qualified tax advisor, CPA, financial planner, or investment manager. Except as noted in the Terms and Conditions, your Investment Advisors are not affiliated with, or supervised by Schwab.

### To contact Schwab:

If you have any questions or need additional information about your Form(s) 1099 or your year-end summary, please call your advisor directly, or call Schwab Alliance™ at 1-800-515-2157.

### To contact the IRS:

Tax questions for individuals: 1-800-829-1040  
Tax questions for businesses: 1-800-829-4933  
To order tax forms or publications: 1-800-829-3676  
To pay taxes by credit card: 1-888-272-9829  
For additional information and to print forms and publications, visit [www.irs.gov](http://www.irs.gov).



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

Account Number  
**9935-6660**

**TAX YEAR 2020**  
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Date Prepared: February 12, 2021

Your Form 1099 Composite may include the following Internal Revenue Service (IRS) forms: 1099-DIV, 1099-INT, 1099-MISC, 1099-B and 1099-OID. You'll only receive the form(s) that apply to your particular financial situation and please keep for your records. Please note that information in the Year-End Summary is not provided to the IRS. It is provided to you as additional tax reporting information you may need to complete your tax return.

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Schwab One® Account of  
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Account Number  
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**TAX YEAR 2020**  
**FORM 1099 COMPOSITE**

Date Prepared: February 12, 2021

**Recipient's Name and Address**

JOHN C NORRIS  
DESIGNATED BENE PLAN/TOD  
379 SW ASHBY LANE  
PALM CITY FL 34990

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

Account Number: 9935-6660

**Payer's Name and Address**

CHARLES SCHWAB & CO., INC.  
211 MAIN STREET  
SAN FRANCISCO, CA 94105

Telephone Number: (800) 515-2157

Federal ID Number: 94-1737782

**Dividends and Distributions — 2020**

**Form 1099-DIV**

Department of the Treasury-Internal Revenue Service

Copy B for Recipient (OMB No. 1545-0110)

Box	Description	Amount	Total
1a	Total Ordinary Dividends (Includes amount shown in box 1b)	\$	1,942.33
1b	Qualified Dividends	\$ 1,541.32	
2a	Total Capital Gain Distributions (Includes amounts shown in boxes 2b, 2c and 2d)	\$	112.11
2b	Unrecap. Sec. 1250 Gain	\$ 0.00	
2c	Section 1202 Gain	\$ 0.00	
2d	Collectibles (28%) Gain	\$ 0.00	
3	Nondividend Distributions	\$	134.68
4	<b>Federal Income Tax Withheld</b>	<b>\$</b>	<b>0.00</b>
5	Section 199A Dividends	\$	80.18
6	Investment Expenses	\$	0.00
7	Foreign Tax Paid	\$	2.40
8	Foreign Country or U.S. Possession		
9	Cash Liquidation Distributions	\$	0.00
10	Noncash Liquidation Distributions	\$	0.00
11	Exempt-interest Dividends	\$	0.00
12	Specified Private Activity Bond Interest Dividends	\$	0.00
13	State		
14	State Identification No.		
15	State Tax Withheld	\$	0.00
	FATCA Filing Requirement <input type="checkbox"/>		

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**  
**FORM 1099 COMPOSITE**

## INSTRUCTIONS FOR RECIPIENTS OF FORM 1099

### 1099-DIV: Dividends and Distributions

**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.

**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 also may have a filing requirement. See the Instructions for Form 8938.

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

**Box 1a.** Shows total ordinary dividends that are taxable. Include this amount on the "Ordinary dividends" line of Form 1040 or 1040-SR. Also, report it on Schedule B (Form 1040 or 1040-SR), if required.

**Box 1b.** Shows the portion of the amount in box 1a that may be eligible for reduced capital gains rates. See the Instructions for Forms 1040 and 1040-SR for how to determine this amount and where to report.

The amount shown may be dividends a corporation paid directly to you as a participant (or beneficiary of a participant) in an employee stock ownership plan (ESOP). Report it as a dividend on your Form 1040 or 1040-SR but treat it as a plan distribution, not as investment income, for any other purpose.

**Box 2a.** Shows total capital gain distributions from a regulated investment company (RIC) or real estate investment trust (REIT). See How To Report in the Instructions for Schedule D (Form 1040 or 1040-SR). But, if no amount is shown in boxes 2c and 2d and your only capital gains and losses are capital gain distributions, you may be able to report the amounts shown in box 2a on your Form 1040 or 1040-SR rather than Schedule D. See the Instructions for Forms 1040 and 1040-SR.

**Box 2b.** Shows the portion of the amount in box 2a that is unrecaptured section 1250 gain from certain depreciable real property. See the Unrecaptured Section 1250 Gain Worksheet in the Instructions for Schedule D (Form 1040 or 1040-SR).

**Box 2c.** Shows the portion of the amount in box 2a that is section 1202 gain from certain small business stock that may be subject to an exclusion. See the Schedule D (Form 1040 or 1040-SR) instructions.

**Box 2d.** Shows 28% rate gain from sales or exchanges of collectibles. If required, use this amount when completing the 28% Rate Gain Worksheet in the Instructions for Schedule D (Form 1040 or 1040-SR).

**Box 3.** Shows a return of capital. To the extent of your cost (or other basis) in the stock, the distribution reduces your basis and is not taxable. Any amount received in excess of your basis is taxable to you as capital gain. See Pub. 550.

**Box 4.** Shows backup withholding. A payer must backup withhold on certain payments if you did not give your TIN to the payer. See Form W-9, Request for Taxpayer Identification Number and Certification, for information on backup withholding. Include this amount on your income tax return as tax withheld.

**Box 5.** Shows the portion of the amount in box 1a that may be eligible for the 20% qualified business income deduction under section 199A. See the instructions for Form 8995 and Form 8995-A.

**Box 6.** Shows your share of expenses of a nonpublicly offered RIC, generally a nonpublicly offered mutual fund. This amount is included in box 1a.

**Box 7.** Shows the foreign tax that you may be able to claim as a deduction or a credit on Form 1040 or 1040-SR. See the Instructions for Forms 1040 and 1040-SR.

**Box 8.** This box should be left blank if a RIC reported the foreign tax shown in box 7.

**Boxes 9 and 10.** Show cash and noncash liquidation distributions.

**Box 11.** Shows exempt-interest dividends from a mutual fund or other RIC paid to you during the calendar year. See the Instructions for Forms 1040 and 1040-SR for where to report. This amount may be subject to backup withholding. See Box 4 above.

**Box 12.** Shows exempt-interest dividends subject to the alternative minimum tax. This amount is included in box 11. See the Instructions for Form 6251.

**Boxes 13-15.** State income tax withheld reporting boxes.

**Nominees.** If this form includes amounts belonging to another person, you are considered a nominee recipient. You must file Form 1099-DIV (with a Form 1096) with the IRS for each of the other owners to show their share of the income, and you must furnish a Form 1099-DIV to each. A spouse is not required to file a nominee return to show amounts owned by the other spouse. See the 2020 General Instructions for Certain Information Returns.

**Future developments.** For the latest information about developments related to Form 1099-DIV and its instructions, such as legislation enacted after they were published, go to [www.irs.gov/Form1099DIV](http://www.irs.gov/Form1099DIV).



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

### Recipient's Name and Address

JOHN C NORRIS  
DESIGNATED BENE PLAN/TOD  
379 SW ASHBY LANE  
PALM CITY FL 34990

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

Account Number: 9935-6660

### Payer's Name and Address

CHARLES SCHWAB & CO., INC.  
211 MAIN STREET  
SAN FRANCISCO, CA 94105

Telephone Number: (800) 515-2157

Federal ID Number: 94-1737782

### Interest Income — 2020

### Form 1099-INT

Department of the Treasury-Internal Revenue Service

Copy B for Recipient (OMB No. 1545-0112)

Box	Description	Total
1	Interest Income	\$ 1.43
3	Interest on U.S. Savings Bonds and Treasury Obligations	\$ 0.00
4	<b>Federal Income Tax Withheld</b>	<b>\$ 0.00</b>
5	Investment Expenses	\$ 0.00
6	Foreign Tax Paid	\$ 0.00
7	Foreign Country or U.S. Possession	
8	Tax-Exempt Interest	\$ 0.00
9	Specified Private Activity Bond Interest	\$ 0.00
10	Market Discount	\$ 0.00
11	Bond Premium	\$ 0.00
12	Bond Premium on Treasury Obligations	\$ 0.00
13	Bond Premium on Tax-Exempt Bond	\$ 0.00
14	Tax-Exempt and Tax Credit Bond CUSIP No.	
15	State	
16	State Identification No.	
17	State Tax Withheld	\$ 0.00
FATCA Filing Requirement <input type="checkbox"/>		

Amount in Box 9 Specified Private Activity Bond Interest subject to Alternative Minimum Tax is already included in Box 8 Tax-Exempt Interest. Both market discount and bond premium reported for covered taxable and tax-exempt bonds. Market discount is only reported if you submitted a written election to include in income currently.

**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**  
**FORM 1099 COMPOSITE**

## INSTRUCTIONS FOR RECIPIENTS OF FORM 1099

### 1099-INT: Interest Income

The information provided may be different for covered and noncovered securities. For a description of covered securities, see the Instructions for Form 8949. For a taxable covered security acquired at a premium, unless you notified the payer in writing in accordance with Regulations section 1.6045-1(n)(5) that you did not want to amortize the premium under section 171, or for a tax-exempt covered security acquired at a premium, your payer generally must report either (1) a net amount of interest that reflects the offset of the amount of interest paid to you by the amount of premium amortization allocable to the payment(s), or (2) a gross amount for both the interest paid to you and the premium amortization allocable to the payment(s). If you did notify your payer that you did not want to amortize the premium on a taxable covered security, then your payer will only report the gross amount of interest paid to you. For a noncovered security acquired at a premium, your payer is only required to report the gross amount of interest paid to you.

**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.

**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 also may have a filing requirement. See the Instructions for Form 8938.

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

**Box 1.** Shows taxable interest paid to you during the calendar year by the payer. This does not include interest shown in box 3. May also show the total amount of the credits from clean renewable energy bonds, new clean renewable energy bonds, qualified energy conservation bonds, qualified zone academy bonds, qualified school construction bonds, and build America bonds that must be included in your interest income. These amounts were treated as paid to you during 2020 on the credit allowance dates (March 15, June 15, September 15, and December 15). For more information, see Form 8912. See the instructions above for a taxable covered security acquired at a premium.

**Box 3.** Shows interest on U.S. Savings Bonds, Treasury bills, Treasury bonds, and Treasury notes. This may or may not all be taxable. See Pub. 550. This interest is exempt from state and local income taxes. This interest is not included in box 1. See the instructions above for a taxable covered security acquired at a premium.

**Box 4.** Shows backup withholding. Generally, a payer must backup withhold if you did not furnish your TIN or you did not furnish the correct TIN to the payer. See Form W-9. Include this amount on your income tax return as tax withheld.

**Box 5.** Any amount shown is your share of investment expenses of a single-class REMIC. This amount is included in box 1. Note: This amount is not deductible.

**Box 6.** Shows foreign tax paid. You may be able to claim this tax as a deduction or a credit on your Form 1040 or 1040-SR. See your tax return instructions.

**Box 7.** Shows the country or U.S. possession to which the foreign tax was paid.

**Box 8.** Shows tax-exempt interest paid to you during the calendar year by the payer. See how to report this amount in the Instructions for Form 1040 and 1040-SR. This amount may be subject to backup withholding. See Box 4 above. See the instructions above for a tax-exempt covered security acquired at a premium.

**Box 9.** Shows tax-exempt interest subject to the alternative minimum tax. This amount is included in box 8. See the Instructions for Form 6251. See the instructions above for a tax-exempt covered security acquired at a premium.

**Box 10.** For a taxable or tax-exempt covered security, if you made an election under section 1278(b) to include market discount in income as it accrues and you notified your payer of the election in writing in accordance with Regulations section 1.6045-1(n)(5), shows the market discount that accrued on the debt instrument during the year while held by you, unless it was reported on Form 1099-OID. For a taxable or tax-exempt covered security acquired on or after January 1, 2015, accrued market discount will be calculated on a constant yield basis unless you notified your payer in writing in accordance with Regulations section 1.6045-1(n)(5) that you did not want to make a constant yield election for market discount under section 1276(b). Report the accrued market discount on your income tax return as directed in the Instructions for Form 1040 and 1040-SR. Market discount on a tax-exempt security is includible in taxable income as interest income.

**Box 11.** For a taxable covered security (other than a U.S. Treasury obligation), shows the amount of premium amortization allocable to the interest payment(s), unless you notified the payer in writing in accordance with Regulations section 1.6045-1(n)(5) that you did not want to amortize bond premium under section 171. If an amount is reported in this box, see the Instructions for Schedule B (Form 1040 or 1040-SR) to determine the net amount of interest includible in income on Form 1040 or 1040-SR with respect to the security. If an amount is not reported in this box for a taxable covered security acquired at a premium and the payer is reporting premium amortization, the payer has reported a net amount of interest in box 1. If the amount in box 11 is greater than the amount of interest paid on the covered security, see Regulations section 1.171-2(a)(4).

**Box 12.** For a U.S. Treasury obligation that is a covered security, shows the amount of premium amortization allocable to the interest payment(s), unless you notified the payer in writing in accordance with Regulations section 1.6045-1(n)(5) that you did not want to amortize bond premium under section 171. If an amount is reported in this box, see the Instructions for Schedule B (Form 1040 or 1040-SR) to determine the net amount of interest includible in income on Form 1040 or 1040-SR with respect to the U.S. Treasury obligation. If an amount is not reported in this box for a U.S. Treasury obligation that is a covered security acquired at a premium and the payer is reporting premium amortization, the payer has reported a net amount of interest in box 3. If the amount in box 12 is greater than the amount of interest paid on the U.S. Treasury obligation, see Regulations section 1.171-2(a)(4).

**Box 13.** For a tax-exempt covered security, shows the amount of premium amortization allocable to the interest payment(s). If an amount is reported in this box, see Pub. 550 to determine the net amount of tax-exempt interest reportable on Form 1040 or 1040-SR. If an amount is not reported in this box for a tax-exempt covered security acquired at a premium, the payer has reported a net amount of interest in box 8 or 9, whichever is applicable. If the amount in box 13 is greater than the amount of interest paid on the tax-exempt covered security, the excess is a nondeductible loss. See Regulations section 1.171-2(a)(4)(ii).

**Box 14.** Shows CUSIP number(s) for tax-exempt bond(s) on which tax-exempt interest was paid, or tax credit bond(s) on which taxable interest was paid or tax credit was allowed, to you during the calendar year. If blank, no CUSIP number was issued for the bond(s).

**Boxes 15-17.** State tax withheld reporting boxes.

**Nominees.** If this form includes amounts belonging to another person(s), you are considered a nominee recipient. Complete a Form 1099-INT for each of the other owners showing the income allocable to each. File Copy A of the form with the IRS. Furnish Copy B to each owner. List yourself as the "payer" and the other owner(s) as the "recipient." File Form(s) 1099-INT with Form 1096 with the Internal Revenue Service Center for your area. On Form 1096, list yourself as the "filer." A spouse is not required to file a nominee return to show amounts owned by the other spouse.

**Future developments.** For the latest information about developments related to Form 1099-INT and its instructions, such as legislation enacted after they were published, go to [www.irs.gov/Form1099INT](http://www.irs.gov/Form1099INT).



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-INT: Interest Income

The information provided may be different for covered and noncovered securities. For a description of covered securities, see the Instructions for Form 8949. For a taxable covered security acquired at a premium, unless you notified the payer in writing in accordance with Regulations section 1.6045-1(n)(5) that you did not want to amortize the premium under section 171, or for a tax-exempt covered security acquired at a premium, your payer generally must report either (1) a net amount of interest that reflects the offset of the amount of interest paid to you by the amount of premium amortization allocable to the payment(s), or (2) a gross amount for both the interest paid to you and the premium amortization allocable to the payment(s). If you did notify your payer that you did not want to amortize the premium on a taxable covered security, then your payer will only report the gross amount of interest paid to you. For a noncovered security acquired at a premium, your payer is only required to report the gross amount of interest paid to you.

**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.

**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 also may have a filing requirement. See the Instructions for Form 8938.

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

**Box 1.** Shows taxable interest paid to you during the calendar year by the payer. This does not include interest shown in box 3. May also show the total amount of the credits from clean renewable energy bonds, new clean renewable energy bonds, qualified energy conservation bonds, qualified zone academy bonds, qualified school construction bonds, and build America bonds that must be included in your interest income. These amounts were treated as paid to you during 2020 on the credit allowance dates (March 15, June 15, September 15, and December 15). For more information, see Form 8912. See the instructions above for a taxable covered security acquired at a premium.

**Box 3.** Shows interest on U.S. Savings Bonds, Treasury bills, Treasury bonds, and Treasury notes. This may or may not all be taxable. See Pub. 550. This interest is exempt from state and local income taxes. This interest is not included in box 1. See the instructions above for a taxable covered security acquired at a premium.

**Box 4.** Shows backup withholding. Generally, a payer must backup withhold if you did not furnish your TIN or you did not furnish the correct TIN to the payer. See Form W-9. Include this amount on your income tax return as tax withheld.

**Box 5.** Any amount shown is your share of investment expenses of a single-class REMIC. This amount is included in box 1. Note: This amount is not deductible.

**Box 6.** Shows foreign tax paid. You may be able to claim this tax as a deduction or a credit on your Form 1040 or 1040-SR. See your tax return instructions.

**Box 7.** Shows the country or U.S. possession to which the foreign tax was paid.

**Box 8.** Shows tax-exempt interest paid to you during the calendar year by the payer. See how to report this amount in the Instructions for Form 1040 and 1040-SR. This amount may be subject to backup withholding. See Box 4 above. See the instructions above for a tax-exempt covered security acquired at a premium.

**Box 9.** Shows tax-exempt interest subject to the alternative minimum tax. This amount is included in box 8. See the Instructions for Form 6251. See the instructions above for a tax-exempt covered security acquired at a premium.

**Box 10.** For a taxable or tax-exempt covered security, if you made an election under section 1278(b) to include market discount in income as it accrues and you notified your payer of the election in writing in accordance with Regulations section 1.6045-1(n)(5), shows the market discount that accrued on the debt instrument during the year while held by you, unless it was reported on Form 1099-OID. For a taxable or tax-exempt covered security acquired on or after January 1, 2015, accrued market discount will be calculated on a constant yield basis unless you notified your payer in writing in accordance with Regulations section 1.6045-1(n)(5) that you did not want to make a constant yield election for market discount under section 1276(b). Report the accrued market discount on your income tax return as directed in the Instructions for Form 1040 and 1040-SR. Market discount on a tax-exempt security is includible in taxable income as interest income.

**Box 11.** For a taxable covered security (other than a U.S. Treasury obligation), shows the amount of premium amortization allocable to the interest payment(s), unless you notified the payer in writing in accordance with Regulations section 1.6045-1(n)(5) that you did not want to amortize bond premium under section 171. If an amount is reported in this box, see the Instructions for Schedule B (Form 1040 or 1040-SR) to determine the net amount of interest includible in income on Form 1040 or 1040-SR with respect to the security. If an amount is not reported in this box for a taxable covered security acquired at a premium and the payer is reporting premium amortization, the payer has reported a net amount of interest in box 1. If the amount in box 11 is greater than the amount of interest paid on the covered security, see Regulations section 1.171-2(a)(4).

**Box 12.** For a U.S. Treasury obligation that is a covered security, shows the amount of premium amortization allocable to the interest payment(s), unless you notified the payer in writing in accordance with Regulations section 1.6045-1(n)(5) that you did not want to amortize bond premium under section 171. If an amount is reported in this box, see the Instructions for Schedule B (Form 1040 or 1040-SR) to determine the net amount of interest includible in income on Form 1040 or 1040-SR with respect to the U.S. Treasury obligation. If an amount is not reported in this box for a U.S. Treasury obligation that is a covered security acquired at a premium and the payer is reporting premium amortization, the payer has reported a net amount of interest in box 3. If the amount in box 12 is greater than the amount of interest paid on the U.S. Treasury obligation, see Regulations section 1.171-2(a)(4).

**Box 13.** For a tax-exempt covered security, shows the amount of premium amortization allocable to the interest payment(s). If an amount is reported in this box, see Pub. 550 to determine the net amount of tax-exempt interest reportable on Form 1040 or 1040-SR. If an amount is not reported in this box for a tax-exempt covered security acquired at a premium, the payer has reported a net amount of interest in box 8 or 9, whichever is applicable. If the amount in box 13 is greater than the amount of interest paid on the tax-exempt covered security, the excess is a nondeductible loss. See Regulations section 1.171-2(a)(4)(ii).

**Box 14.** Shows CUSIP number(s) for tax-exempt bond(s) on which tax-exempt interest was paid, or tax credit bond(s) on which taxable interest was paid or tax credit was allowed, to you during the calendar year. If blank, no CUSIP number was issued for the bond(s).

**Boxes 15-17.** State tax withheld reporting boxes.

**Nominees.** If this form includes amounts belonging to another person(s), you are considered a nominee recipient. Complete a Form 1099-INT for each of the other owners showing the income allocable to each. File Copy A of the form with the IRS. Furnish Copy B to each owner. List yourself as the "payer" and the other owner(s) as the "recipient." File Form(s) 1099-INT with Form 1096 with the Internal Revenue Service Center for your area. On Form 1096, list yourself as the "filer." A spouse is not required to file a nominee return to show amounts owned by the other spouse.

**Future developments.** For the latest information about developments related to Form 1099-INT and its instructions, such as legislation enacted after they were published, go to [www.irs.gov/Form1099INT](http://www.irs.gov/Form1099INT).





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

**Recipient's Name and Address**

JOHN C NORRIS  
DESIGNATED BENE PLAN/TOD  
379 SW ASHBY LANE  
PALM CITY FL 34990

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

Account Number: 9935-6660

**Payer's Name and Address**

CHARLES SCHWAB & CO., INC.  
211 MAIN STREET  
SAN FRANCISCO, CA 94105

Telephone Number: (800) 515-2157

Federal ID Number: 94-1737782

**Proceeds from Broker Transactions — 2020**

**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	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				
565 PRINCIPAL DIVERSIFIED REAL ASSET 74254V182 / PRDAX	S	02/01/17	\$	5,311.93	\$	6,250.00	--	\$	(938.07) \$	0.00
		03/26/20					--			
Security Subtotal			\$	5,311.93	\$	6,250.00	--	\$	(938.07) \$	0.00
							--			
Total Long-Term (Cost basis is reported to the IRS)			\$	5,311.93	\$	6,250.00	--	\$	(938.07) \$	0.00
							--			
Total Long-Term Sales Price of Stocks, Bonds, etc.			\$	5,311.93	\$	6,250.00	--	\$	(938.07) \$	0.00
							--			
Total Sales Price of Stocks, Bonds, etc.			\$	5,311.93						
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® Account of  
**JOHN C NORRIS**  
DESIGNATED BENE PLAN/TOD

Account Number  
**9935-6660**

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

Date Prepared: February 12, 2021

**Recipient's Name and Address**

JOHN C NORRIS  
DESIGNATED BENE PLAN/TOD  
379 SW ASHBY LANE  
PALM CITY FL 34990

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

Account Number: 9935-6660

**Payer's Name and Address**

CHARLES SCHWAB & CO., INC.  
211 MAIN STREET  
SAN FRANCISCO, CA 94105

Telephone Number: (800) 515-2157

Federal ID Number: 94-1737782

**Proceeds from Broker Transactions — 2020**

**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	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						
565 PRINCIPAL DIVERSIFIED REAL ASSET 74254V182 / PRDAX	S	02/01/17	\$	5,311.93	\$	6,250.00	--	\$	(938.07) \$	0.00
		03/26/20					--			
Security Subtotal			\$	5,311.93	\$	6,250.00	--	\$	(938.07) \$	0.00
							--			
Total Long-Term (Cost basis is reported to the IRS)			\$	5,311.93	\$	6,250.00	--	\$	(938.07) \$	0.00
							--			
Total Long-Term Sales Price of Stocks, Bonds, etc.			\$	5,311.93	\$	6,250.00	--	\$	(938.07) \$	0.00
							--			
Total Sales Price of Stocks, Bonds, etc.			\$	5,311.93						
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® 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.

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

Account Number  
**9935-6660**

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

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**TAX YEAR 2020**  
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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>      | (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).<br>(2) The security was purchased more than 10 years ago. |

**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.



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## TAX YEAR 2020 YEAR-END SUMMARY

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Date Prepared: February 12, 2021

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## INTEREST & DIVIDENDS

The information in the following sections may be helpful for, but not limited to, Schedule B. Please consult with your tax advisor or financial advisor regarding specific questions.

### Detail Information of Dividends and Distributions

Description	Symbol	CUSIP Number	Paid in 2020	Paid/Adjusted in 2021 for 2020	Amount
<b>Ordinary Dividends</b>					
<b>Non-Qualified Dividends</b>					
COLUMBIA LARGE CAP INDEX	NINDX	19765H321	\$ 0.00	\$ 5.87	\$ 5.87
DOUBLELINE CORE FIXED IN	DLFNX	258620400	\$ 206.13	\$ 0.00	\$ 206.13
FIDELITY ADV REAL ESTATE	FRINX	316389477	\$ 25.67	\$ 139.10	\$ 164.77
JPMORGAN STRATEGIC INCOM	JSOAX	4812A4385	\$ 2.76	\$ 0.00	\$ 2.76
LOOMIS SAYLES STRATEGIC	LABAX	63872T646	\$ 5.85	\$ (0.18)	\$ 5.67
TORTOISE MLP & PIPELINE	TORTX	56166Y305	\$ 0.00	\$ 14.13	\$ 14.13
<b>Total Non-Qualified Dividends (Included in Box 1a)</b>			<b>\$ 240.41</b>	<b>\$ 158.92</b>	<b>\$ 399.33</b>
<b>Short-Term Capital Gains</b>					
COLUMBIA LARGE CAP INDEX	NINDX	19765H321	\$ 10.85	\$ (9.17)	\$ 1.68
<b>Total Short-Term Capital Gains (Included in Box 1a)</b>			<b>\$ 10.85</b>	<b>\$ (9.17)</b>	<b>\$ 1.68</b>
<b>Qualified Dividends</b>					
BNY MELLON INTERNATIONAL	DIISX	09661L500	\$ 17.45	\$ 2.40	\$ 19.85
COLUMBIA LARGE CAP INDEX	NINDX	19765H321	\$ 31.62	\$ 3.30	\$ 34.92
FIDELITY ADV REAL ESTATE	FRINX	316389477	\$ 143.42	\$ (139.10)	\$ 4.32
LOOMIS SAYLES STRATEGIC	LABAX	63872T646	\$ 0.00	\$ 0.18	\$ 0.18
NEXTERA ENERGY INC	NEE	65339F101	\$ 840.00	\$ 0.00	\$ 840.00



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**Detail Information of Dividends and Distributions (continued)**

Supplemental Information of Dividends and Distributions (continued)							
Description	Symbol	CUSIP Number	Paid in 2020		Paid/Adjusted in 2021 for 2020		Amount
Qualified Dividends (continued)							
THE COCA-COLA CO	KO	191216100	\$	582.20	\$	0.00	\$ 582.20
TORTOISE MLP & PIPELINE	TORTX	56166Y305	\$	208.66	\$	(148.81)	\$ 59.85
Total Qualified Dividends (Box 1b and included in Box 1a)			\$	1,823.35	\$	(282.03)	\$ 1,541.32
Total Ordinary Dividends (Box 1a)			\$	2,074.61	\$	(132.28)	\$ 1,942.33
(Total Non-Qualified Dividends, Short-Term Capital Gains and Qualified Dividends)							
Capital Gain Distributions							
Long-Term Gain							
COLUMBIA LARGE CAP INDEX	NINDX	19765H321	\$	100.31	\$	0.00	\$ 100.31
DOUBLELINE CORE FIXED IN	DLFNX	258620400	\$	11.80	\$	0.00	\$ 11.80
Total Long-Term Gain (Included in Box 2a)			\$	112.11	\$	0.00	\$ 112.11
Total Capital Gain Distributions (Box 2a)			\$	112.11	\$	0.00	\$ 112.11
Nondividend Distributions (Return of Capital)							
TORTOISE MLP & PIPELINE	TORTX	56166Y305	\$	0.00	\$	134.68	\$ 134.68
Total Nondividend Distributions (Box 3)			\$	0.00	\$	134.68	\$ 134.68
Section 199A Dividends							
COLUMBIA LARGE CAP INDEX	NINDX	19765H321	\$	0.00	\$	0.97	\$ 0.97
FIDELITY ADVISOR REAL ES	FRINX	316389477	\$	0.00	\$	79.21	\$ 79.21
Total Section 199A Dividends (Box 5)			\$	0.00	\$	80.18	\$ 80.18





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**Detail Information of Dividends and Distributions (continued)**

Description	Symbol	CUSIP Number	Paid in 2020		Paid/Adjusted in 2021 for 2020		Amount
<b>Foreign Tax Paid</b>	<b>Country</b>						
BNY MELLON INTERNATIONAL	RIC	09661L500	\$	0.00	\$	(2.40)	\$ (2.40)
<b>Total Foreign Tax Paid (Box 7)</b>			\$	<b>0.00</b>	\$	<b>(2.40)</b>	\$ <b>(2.40)</b>

**Detail Information of Interest Income**

Description	CUSIP Number	Paid in 2020		Paid/Adjusted in 2021 for 2020		Amount
<b>Interest Income</b>						
DEPOSIT INTEREST		\$	1.43	\$	0.00	\$ 1.43
<b>Total Interest Income (Included in Box 1)</b>		\$	<b>1.43</b>	\$	<b>0.00</b>	\$ <b>1.43</b>
<b>Total Interest Income (Box 1)</b>		\$	<b>1.43</b>	\$	<b>0.00</b>	\$ <b>1.43</b>



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.

**Detail Information of Dividends and Distributions (continued)**

Description	Symbol	CUSIP Number	Paid in 2020		Paid/Adjusted in 2021 for 2020		Amount
<b>Foreign Tax Paid</b>	<b>Country</b>						
BNY MELLON INTERNATIONAL	RIC	09661L500	\$	0.00	\$	(2.40)	\$ (2.40)
<b>Total Foreign Tax Paid (Box 7)</b>			\$	<b>0.00</b>	\$	<b>(2.40)</b>	\$ <b>(2.40)</b>

**Detail Information of Interest Income**

Description	CUSIP Number	Paid in 2020		Paid/Adjusted in 2021 for 2020		Amount
<b>Interest Income</b>						
DEPOSIT INTEREST		\$	1.43	\$	0.00	\$ 1.43
<b>Total Interest Income (Included in Box 1)</b>		\$	<b>1.43</b>	\$	<b>0.00</b>	\$ <b>1.43</b>
<b>Total Interest Income (Box 1)</b>		\$	<b>1.43</b>	\$	<b>0.00</b>	\$ <b>1.43</b>



Schwab One® Account of  
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**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)
PRINCIPAL DIVERSIFIED REAL ASSET A	74254V182	565.09	02/01/17	03/26/20	\$ 5,311.93	\$ 6,250.00	-- \$	(938.07)
<b>Security Subtotal</b>					<b>\$ 5,311.93</b>	<b>\$ 6,250.00</b>	<b>-- \$</b>	<b>(938.07)</b>
<b>Total Long-Term</b> <i>(Cost basis is reported to the IRS)</i>					<b>\$ 5,311.93</b>	<b>\$ 6,250.00</b>	<b>-- \$</b>	<b>(938.07)</b>
<b>Total Long-Term</b>					<b>\$ 5,311.93</b>	<b>\$ 6,250.00</b>	<b>-- \$</b>	<b>(938.07)</b>



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**Realized Gain or (Loss) Summary**

**Total Realized Gain or (Loss)**

Description	Total Proceeds		(-)Cost Basis		(+)Wash Sale Loss Disallowed	(=)Realized Gain or (Loss)
<b>Total Long-Term Realized Gain or (Loss)</b> <i>(Cost basis is reported to the IRS. Report on Form 8949, Part II, with Box D checked.)</i>	\$	5,311.93	\$	6,250.00	-- \$	(938.07)
<b>Total Long-Term Realized Gain or (Loss)</b>	\$	5,311.93	\$	6,250.00	-- \$	(938.07)
<b>TOTAL REALIZED GAIN OR (LOSS)</b>	\$	5,311.93	\$	6,250.00	-- \$	(938.07)



Schwab One® Account of  
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**TAX YEAR 2020**  
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**Notes for Your Realized Gain or (Loss)**

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Schwab has provided realized gain and loss information whenever possible for most investments. Cost basis data may be incomplete or unavailable for some of your holdings. See Terms and Conditions.

When value for the report is unavailable, it is noted as follows: "Missing" or "Not Provided"

<b>Not Provided</b>	Schwab is not providing Cost Basis on this security type.
<b>Missing</b>	Cost Basis may be missing due to one of the following reasons: <ul style="list-style-type: none"><li>• 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>• The security was purchased more than 10 years ago.</li></ul>
<b>Date Acquired</b>	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.
<b>Total Proceeds</b>	The amount displayed in this column has been adjusted for option premiums, if applicable.
<b>Cost Basis</b>	The amount displayed in this column may differ from your original cost basis as adjustments may have been made to reflect applicable option premiums, corporate actions and/or wash sales.
<b>Wash Sale Loss Disallowed</b>	The disallowed amount displayed in this column has been added to the cost basis of other share lots with the same CUSIP owned in the same account at the time the loss was disallowed.
<b>Realized Gain or (Loss)</b>	The calculation for gain or (loss) displayed in this column is Total Proceeds - Cost Basis + Wash Sale Loss Disallowed - Market Discount =Realized Gain or (Loss)

For sales of short-term debt issued after January 1, 2014, talk to your tax advisor as to how to report the income.



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**SUMMARY OF FEES & EXPENSES**

The information in the following sections may be helpful for, but not limited to, calculating your itemized deductions for Schedule A. The summary is limited to fees paid out of this account. Please consult with your tax advisor regarding specific questions.

**Fees—2020**

Description	Amount	
ADVISOR FEES	\$	(620.89)
<b>Total of Fees—2020</b>	<b>\$</b>	<b>(620.89)</b>



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**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
Total Foreign Tax Paid and Income			\$	(2.40) \$	19.85 \$	0.00



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## **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.





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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.

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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:**

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<b>FIFO (First In, First Out)</b>	Shares you acquired first are sold first
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<b>HCOST (High Cost)</b>	Shares with the highest cost are sold first
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<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.



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**JOHN C NORRIS**  
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**FORM 1099 COMPOSITE**  
**& YEAR-END SUMMARY**

Date Prepared: February 12, 2021

## TERMS AND CONDITIONS

### GENERAL INFORMATION

#### Form 1099-Composite

For U.S. taxpayers, the information reported to you on Form 1099 is given to the Internal Revenue Service (IRS). Form 1099-Composite is comprised of the following substitute forms: 1099-DIV, 1099-INT, 1099-MISC, 1099-OID, and 1099-B. The form(s) you receive in Form 1099 Composite depends on the income reportable to the IRS.

#### Year-End Summary

The information in the Year-End Summary is provided to you as a courtesy, should you need additional information when completing your tax return. When relevant, IRS box numbers are referenced to indicate individual items that make up the totals appearing on your Form(s) 1099. With the exception of the totals reported in the IRS box numbers referenced, Charles Schwab does not provide the details of the Year-End Summary to the IRS.

We recommend that all customers consult their investment and tax advisors prior to using this information.

#### Corrected Form 1099 and Year-End Summary

We are required to send you a corrected form with the revisions clearly marked when we receive updates or revisions to information contained in the form. This generally occurs if one or more of the issuers of the securities in your account reallocated certain income distribution (e.g., dividends or capital gains) after we mailed your original Form 1099. As a result, the supplemental information in Year-End Summary may be updated.

Upon receiving a corrected form, you may want to consider filing an amended return based on the changes in your taxable income as reported on your corrected Form 1099. We suggest that you consult with a qualified tax advisor, CPA, financial planner, or investment manager before you proceed.

#### Duplicate Form 1099 and Year-End Summary

If you request a duplicate Form 1099, please be aware that Schwab uses the most up-to-date information available at the time of the production. Thus, your duplicate Form 1099 and Year-End Summary may have more up-to-date information than the original Form 1099.

#### Realized Gain or (Loss) in Year-End Summary

The Realized Gain or (Loss) section provides information for all your realized gain or (loss) transactions during the tax year. It contains all transactions included in the Form 1099-B as well as transactions that are not reported on Form 1099-B (for example; sales and expirations of noncovered option activities, cash in lieu under \$20, bankruptcy, and worthless securities). This supplemental information is believed to be accurate as of the date the data was compiled but they may not be updated for any corrections after the data was initially compiled.

**IN CASE OF QUESTIONS:** If you have questions about this report or about specific Schwab accounts or Schwab One transactions (other than wire transfers or check transactions), contact Schwab at 1-800-435-4000. If you have a complaint regarding your Schwab statement or our products and services, please write to the Client Advocacy Team at Charles Schwab & Co., Inc., Attention: Client Advocacy Team, 211 Main St., San Francisco, CA 94105. Outside of the U.S., call +1-415-667-5009.

#### For Clients of Investment Advisors

The Year-End Summary in this report is furnished solely by Charles Schwab & Co., Inc. ("Schwab") for your account at Schwab ("Account"). Schwab Advisor Services<sup>TM</sup> is a division of Charles Schwab & Co., Inc. and provides back-office brokerage and related services to investment advisors and retirement plan providers. Unless otherwise defined herein, capitalized terms have the same meanings as in your Account Agreement. Schwab is a registered broker-dealer and, except in the case of an affiliated company that may act as the investment advisor for the Sweep Funds, Windhaven Investment Management, Inc. ("Windhaven®"), ThomasPartners, Inc. ("ThomasPartner"), Charles Schwab Investment Advisory, Inc. is not affiliated with your Investment Advisor, whose name appears on this report ("Advisors"). Advisors are independently owned and operated. Schwab neither endorses nor recommends any particular Advisor or investment strategy and has no responsibility to monitor trading by any Advisor in your Account. Advisors provide investment advisory services for your Account. Schwab provides brokerage and custody for your Account. Schwab has agreements with Advisors under which Schwab provides Advisors with institutional trading, custody and related services, and products. Not all of these products and services may benefit your Account, and Schwab may provide them to Advisors on the Advisors' commitment to place a certain amount of its clients' assets in brokerage accounts at Schwab within a certain period of time. This commitment could influence an Advisor's recommendation or requirement that its clients establish brokerage accounts at Schwab.

# FORM SSA-1099 – SOCIAL SECURITY BENEFIT STATEMENT

## 2020

• PART OF YOUR SOCIAL SECURITY BENEFITS SHOWN IN BOX 5 MAY BE TAXABLE INCOME.  
• SEE THE REVERSE FOR MORE INFORMATION.

Box 1. Name

JOHN C NORRIS

Box 2. Beneficiary's Social Security Number

261-58-6282

Box 3. Benefits Paid in 2020

\$26,596.80

Box 4. Benefits Repaid to SSA in 2020

NONE

Box 5. Net Benefits for 2020 (Box 3 minus Box 4)

\$26,596.80

### DESCRIPTION OF AMOUNT IN BOX 3

Paid by check or direct deposit	\$24,021.60
Medicare Part B premiums deducted from your benefits	\$2,428.80
Medicare Prescription Drug Premiums (Part D) deducted from your benefits	\$146.40
Total Additions	\$26,596.80
Benefits for 2020	\$26,596.80

### DESCRIPTION OF AMOUNT IN BOX 4

NONE

Box 6. Voluntary Federal Income Tax Withheld

NONE

Box 7. Address

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

Box 8. Claim Number (Use this number if you need to contact SSA.)

261-58-6282A

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.		7 Distribution code(s) <b>7</b>		8 Other <b>\$0.00</b>
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>
10 Amount allocable to IRR within 5 years <b>0.00</b>			11 1st year of desig. Roth contrib.		12 FATCA filing requirement <input type="checkbox"/>		13 Date of payment

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.		7 Distribution code(s) <b>7</b>		8 Other <b>\$0.00</b>
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>
10 Amount allocable to IRR within 5 years <b>0.00</b>			11 1st year of desig. Roth contrib.		12 FATCA filing requirement <input type="checkbox"/>		13 Date of payment

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>		
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10 Amount allocable to IRR within 5 years <b>0.00</b>			11 1st year of desig. Roth contrib.		12 FATCA filing requirement <input type="checkbox"/>		13 Date of payment

Substitute Form 1099-R



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)

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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"/>		
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Substitute Form 1099-R

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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

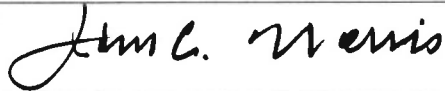

REMOVE THIS SHEET PRIOR TO RETURNING THE COMPLETED ORGANIZER

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

## 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 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

# Personal Information

3

**Taxpayer:**

JOHN C.

First Name and Initial

NORRIS

Last Name

ON FILE

Social Security Number

RETIRED

Occupation

01/29/1935

Date of Birth (Mo/Da/Yr)

Date of Death (Mo/Da/Yr)

Driver's License or State-Issued ID Number

Expiration Date (Mo/Da/Yr)

Issue Date (Mo/Da/Yr)

State

☐

Does not expire

☐

Driver's License

☐

State-Issued ID

☐

No Identification

**Spouse:**

NINA K.

First Name and Initial

NORRIS

Last Name

ON FILE

Social Security Number

RETIRED

Occupation

02/15/1939

Date of Birth (Mo/Da/Yr)

Date of Death (Mo/Da/Yr)

Driver's License or State-Issued ID Number

Expiration Date (Mo/Da/Yr)

Issue Date (Mo/Da/Yr)

State

☐

Does not expire

☐

Driver's License

☐

State-Issued ID

☐

No Identification

**Contact Information:**

379 SW ASHBY LANE

Street Address

Apartment Number

PALM CITY

City

FL

State

34990-1761

ZIP or Postal Code

Foreign Province or County

Foreign Country

(772) 341-5652

Taxpayer Daytime/Work Phone

(772) 288-1295

Taxpayer Evening/Home Phone

Taxpayer Foreign Phone

Taxpayer Cell Phone

Taxpayer Fax Number

~~772 233 8558~~

Spouse Daytime/Work Phone

288 1295

Spouse Evening/Home Phone

Spouse Foreign Phone

772 233 8558

Spouse Cell Phone

Spouse Fax Number

JNOR35@GMAIL.COM

Taxpayer Email Address

Spouse Email Address

Preferred Method of Contact

May the IRS or other taxing authority discuss the return with the preparer?

Is the taxpayer claimed as a dependent on someone else's tax return?

Yes	No
X	
	✓

Are you considered legally blind per IRS regulations?

Do you want to contribute to the Presidential Election Campaign Fund?

Are you a U.S. citizen or Green Card holder?

Taxpayer		Spouse	
Yes	No	Yes	No
	X		X
✓		✓	

**Personal Identification Numbers:**

Code - 1 - Issued by IRS 2 - Issued by State or City

TS	State	City	Code	PIN

**Tax Organizer Legend:**

Throughout the tax organizer, you will find columns with the heading "TSJ". Enter "T" for taxpayer, "S" for spouse or "J" for joint.

Worksheets: Basic Data > General and Return Options > Processing Options

Forms 1, 1A and 2

000131 04-01-20



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

## 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? .....	<input type="checkbox"/>	<input type="checkbox"/>
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? .....	<input type="checkbox"/>	<input type="checkbox"/>
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? .....	<input type="checkbox"/>	<input type="checkbox"/>
Would you like to pay any estimated payments due for your <u>state</u> return(s) using electronically withdrawal, if available? .....	<input type="checkbox"/>	<input type="checkbox"/>

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

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

Account number ..... XXXXXXX2966

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? .....	<input checked="" type="checkbox"/>	<input type="checkbox"/>
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? .....	<input type="checkbox"/>	<input type="checkbox"/>
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? .....	<input type="checkbox"/>	<input type="checkbox"/>
Would you like to pay any estimated payments due for your <u>state</u> return(s) using electronically withdrawal, if available? .....	<input type="checkbox"/>	<input type="checkbox"/>

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

# 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.

	Yes	No
Would you like any refunds owed to you directly deposited?	<input type="checkbox"/>	<input type="checkbox"/>
Would you like to pay any amount due on your <u>federal</u> return using electronic withdrawal?	<input type="checkbox"/>	<input type="checkbox"/>
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?	<input type="checkbox"/>	<input type="checkbox"/>
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?	<input type="checkbox"/>	<input type="checkbox"/>
Would you like to pay any estimated payments due for your <u>state</u> return(s) using electronically withdrawal, if available?	<input type="checkbox"/>	<input type="checkbox"/>

Name of bank or financial institution SEACOAST NATIONAL BANK  
 Routing Transit Number (RTN) 067005158  
 Account number XXXXXXX2966

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. ☐

	Yes	No
Would you like any refunds owed to you directly deposited?	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Would you like to pay any amount due on your <u>federal</u> return using electronic withdrawal?	<input type="checkbox"/>	<input type="checkbox"/>
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?	<input type="checkbox"/>	<input type="checkbox"/>
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?	<input type="checkbox"/>	<input type="checkbox"/>
Would you like to pay any estimated payments due for your <u>state</u> return(s) using electronically withdrawal, if available?	<input type="checkbox"/>	<input type="checkbox"/>

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

# **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

# Individual Retirement Account (IRA) Information

9

**Individual Retirement Account (IRA):** Include all copies of Forms 1099-R and 5498.

TS ..... T

## IRA Questions for 2020:

- Are you covered by an employer's retirement plan? .....
- If no, is your spouse covered by an employer's retirement plan? .....
- Do you want to limit your IRA contribution to the maximum amount deductible on your tax return? .....
- If no, do you want to contribute the maximum allowable amount to your IRA even though you may not qualify for an IRA deduction? .....
- Did you use any IRA as security for a loan this year? .....
- Did you have any transactions with any IRA during the year? .....
- If Yes, explain. ....

Yes	No
<input checked="" type="checkbox"/>	<input type="checkbox"/>
<input type="checkbox"/>	<input checked="" type="checkbox"/>
<input type="checkbox"/>	<input type="checkbox"/>
<input type="checkbox"/>	<input type="checkbox"/>
<input type="checkbox"/>	<input type="checkbox"/>
<input type="checkbox"/>	<input type="checkbox"/>

## IRA Values, Rollovers, and Distributions:

Total value of all traditional IRAs on December 31, 2020 .....

Note: This information or Form 5498 is required if you received a distribution during the year.

Outstanding rollovers on December 31, 2020 .....

Total distributions converted to Roth IRAs .....

Total retirement plans converted to Roth IRAs .....

## Contributions:

IRA:

Contributions in 2020 for the 2020 tax return .....

Contributions in 2021 for the 2020 tax return .....

Amount for 2020 you choose to be treated as nondeductible .....

Roth IRA:

Contributions made for the 2020 tax year .....

## Distributions:

Include all Forms 1099-R and any nontaxable distribution details

Name of Payer	2020 Gross Distributions	Taxable Amount	Federal Tax Withheld	State Tax Withheld	Is this a Rollover?	2019 Gross Distributions
CHARLES SCHWAB & CO., INC.						70,000.
N/A 2020						





2020

# Rental and Royalty Expenses

10A

Location of Property: 652 SW CLEVELAND AVE, STUART, FL 34994

## **Expenses:**

2020 Amount	2019 Amount
1,465	4,661.
4,801.80	1,205.
	675.
2,234.58	2,121.
1,232.33	1,017.

Description	2020 Amount	2019 Amount

MAINTENANCE  
1,465  
TAXES



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

# 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

Yes	No

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?

**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 - Mortgage Interest and Points

14A

## Mortgage Questions for 2020:

If you purchased or sold your home, did you include any mortgage interest from your closing statement in the amount below? . . .

Yes	No
<input type="checkbox"/>	<input type="checkbox"/>

Did you refinance your home? (If Yes, enclose the closing statement.) . . .

<input type="checkbox"/>	<input type="checkbox"/>
--------------------------	--------------------------

If Yes, how many years is your new mortgage loan? . . .

Did you purchase a new home or sell your former home during the year? . . .

<input type="checkbox"/>	<input type="checkbox"/>
--------------------------	--------------------------

If Yes, enclose the closing statements from the purchase and sale of your new and former homes.

If Yes, also, did you (or your spouse, if married) have an ownership interest in a principal residence in the US

during the 3 year period prior to the purchase of this home? . . .

<input type="checkbox"/>	<input type="checkbox"/>
--------------------------	--------------------------

If Yes, did you (and your spouse, if married at the time of purchase) own and use the same home as a principal residence

in the U.S. for any 5 consecutive year period during the 8 year period ending on the purchase date of the new home? . . .

<input type="checkbox"/>	<input type="checkbox"/>
--------------------------	--------------------------

## Home Mortgage Interest Paid To Financial Institutions:

TSJ	Paid To	Did You Receive Form 1098?		2020 Amount	2019 Amount
		Yes	No		

## Other Home Mortgage Interest Paid:

TSJ	Paid To		ID Number	2020 Amount	2019 Amount
	Name	Address			

## Deductible Points:

TSJ	Paid To	Did You Receive Form 1098?		2020 Amount	2019 Amount
		Yes	No		

## Mortgage Insurance Premiums:

Premiums paid or accrued for qualified mortgage insurance.

TSJ	2020 Amount	2019 Amount

## Investment Interest Expense:

Interest paid on money you borrowed that is allocable to property held for investment.

TSJ	Paid To	2020 Amount	2019 Amount
J	MARGIN INTEREST-SCHWAB 1401		44 .



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 . . . . .


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2020

## Foreign Taxes

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Country of residence: UNITED STATES

**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]