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Lead Counsel for Plaintiff

UNITED STATES DISTRICT COURT  
NORTHERN DISTRICT OF CALIFORNIA  
SAN FRANCISCO DIVISION

In re ALPHABET, INC. SECURITIES  
LITIGATION

) Master File No. 3:18-cv-06245-TLT  
)

) CLASS ACTION  
)

\_\_\_\_\_  
This Document Relates To:

ALL ACTIONS.  
\_\_\_\_\_

) SUPPLEMENTAL DECLARATION OF  
) ROSS D. MURRAY REGARDING NOTICE  
) DISSEMINATION AND REQUESTS FOR  
) EXCLUSION AND OBJECTIONS  
) RECEIVED TO DATE

DATE: September 24, 2024

TIME: 2:00 p.m.

CTRM: 9, 19th Floor

JUDGE: Honorable Trina L. Thompson

1 I, ROSS D. MURRAY, declare and state as follows:

2 1. I am employed as a Vice President of Securities by Gilardi & Co. LLC (“Gilardi”),  
3 located at 1 McInnis Parkway, Suite 250, San Rafael, California. Pursuant to this Court’s April 9,  
4 2024 Order Preliminarily Approving Settlement and Providing for Notice (“Notice Order”) (ECF  
5 232), Gilardi was appointed as the Claims Administrator in connection with the proposed  
6 Settlement of the above-captioned action (the “Action”).<sup>1</sup> I oversaw the notice services that Gilardi  
7 provided in accordance with the Notice Order.

8 2. I submit this declaration as a supplement to my earlier declaration, the Declaration  
9 of Ross D. Murray Regarding Notice Dissemination, Publication, and Requests for Exclusion and  
10 Objections Received to Date (the “Initial Mailing Declaration”) (ECF 236). The following  
11 statements are based on my personal knowledge and information provided to me by other Gilardi  
12 employees and if called to testify I could and would do so competently.

13 **UPDATE ON DISSEMINATION OF NOTICE AND CLAIMS RECEIVED**

14 3. As more fully detailed in the Initial Mailing Declaration, as of July 18, 2024, Gilardi  
15 had mailed or emailed a total of over 1.2 million Summary Notices and 225 copies of the Notice  
16 of Pendency and Proposed Settlement of Class Action and Proof of Claim and Release form  
17 (collectively, the “Claim Package”) to potential Settlement Class Members and their nominees.  
18 Additionally, Gilardi received messages from two institutions noting that they anticipated sending  
19 Summary Notices via email to 524,996 potential Settlement Class Members. *See* Initial Mailing  
20 Declaration, ¶11.

21 4. Since July 18, 2024, Gilardi has mailed or emailed an additional 5,113 Summary  
22 Notices and 29 Claim Packages in response to requests from potential Settlement Class Members,  
23 brokers, and nominees and as a result of mail returned as undeliverable for which new addresses  
24 were identified and re-mailed to those new addresses. Therefore, as of September 4, 2024, Gilardi

25  
26  
27 <sup>1</sup> Any capitalized terms used that are not otherwise defined herein shall have the meanings  
ascribed to them in the Stipulation of Settlement (ECF 222-2).

1 has mailed or emailed a total of over 1.2 million Summary Notices and 254 Claim Packages to  
2 potential Settlement Class Members and nominees.

3 5. As of September 5, 2024, Gilardi has received 948,245 claims from potential  
4 Settlement Class Members. Of these, 6,952 were filed by mail, 15,107 were filed online at the  
5 website established for this Settlement, and 926,186 were filed electronically by institutional and  
6 third-party filers.

#### 7 **REQUESTS FOR EXCLUSION AND OBJECTIONS RECEIVED TO DATE**

8 6. Pursuant to the Notice Order, the Notice informs potential Settlement Class  
9 Members that written requests for exclusion from the Settlement Class must be mailed to *Alphabet*  
10 *Securities Settlement*, Claims Administrator, c/o Gilardi & Co. LLC, ATTN: EXCLUSIONS, P.O.  
11 Box 5100, Larkspur, CA 94977-5100, such that they are postmarked no later than August 23, 2024.  
12 At the time of the Initial Mailing Declaration, Gilardi reported that it had received 31 requests for  
13 exclusion in connection with this Settlement. *See* Initial Mailing Declaration, ¶16.


14 6. Since the Initial Mailing Declaration was executed, and as of the date of this  
15 declaration, Gilardi has received an additional 27 requests for exclusion, 13 of which do not  
16 provide the required information. Gilardi is attempting to contact those individuals to validate  
17 their requests for exclusion. Gilardi has also received two requests for exclusion that were  
18 postmarked after the August 23, 2024 deadline. The 58 timely requests for exclusion represent  
19 5,983 shares of Alphabet common stock, while the two late requests for exclusion represent 37  
20 shares.

21 7. The Notice also informs potential Settlement Class Members that any objections to  
22 the proposed Settlement must be mailed to *Alphabet Securities Settlement*, Claims Administrator,  
23 c/o Gilardi & Co. LLC, P.O. Box 301175, Los Angeles, CA 90030-1175, and be postmarked on  
24 or before August 23, 2024. The Notice also sets forth the information that must be included in  
25 each objection. Gilardi has monitored and will continue to monitor all mail delivered to this  
26 address. As of the date of this declaration, there are three objections to the proposed Settlement,  
27 redacted versions of which are attached hereto as Exhibit A. Preliminary calculations performed

1 using transaction details provided by the three objectors, whether in a submitted claim or with the  
2 objection, show that these objectors' transactions do not result in a Recognized Claim according  
3 to the proposed Plan of Allocation, and therefore the objectors would not be eligible to receive any  
4 payment from the Net Settlement Fund. Specifically, the objectors' transactions, as reported,  
5 resulted in "Market Gains" during the Settlement Class Period according to the calculations  
6 specified on page 13 of the Notice of Pendency and Proposed Settlement of Class Action.

7 I declare under penalty of perjury that the foregoing is true and correct and that this  
8 declaration was executed this 5th day of September, 2024, at San Rafael, California.

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ROSS D. MURRAY



## EXHIBIT A

**OBJECTION TO SETTLEMENT**

07/01/2024

Case Name: In re Alphabet, Inc. Securities Litigation

Case Number: 3: 18-cv-06245-TLT

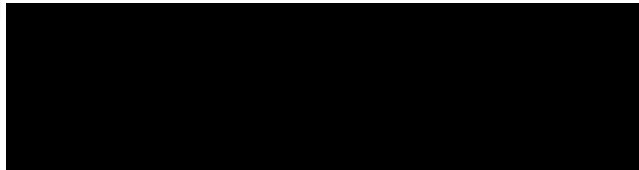
Dear sir/madam,

I traded Alphabet (Google, class C) stock during the settlement class period. The number of shares traded was around 450-500 shares per trade. I approve the settlement amount of \$350 million but object to the lead counsel's request to receive no more than 19% of the settlement amount plus \$1.75 million dollars in expenses. I believe that the lead counsel is asking for too much. I'm concerned that if the lead counsel is awarded the amount they desire that not much will be left to the shareholders, like myself. According to the "Notice of Pendency and proposed settlement of class action" document; class C shareholder pay will drop from \$2.85 per share to \$0.56.

I don't intend to appear at the settlement hearing. Further, I have never filed an objection to any other class action settlement in the past 2 years. I have included copies of my 2018 and 2019 1099-B tax forms which detail all my trading activity in Alphabet stock. I was the sole owner of all Alphabet stock that was traded during the settlement class period.

Thank you,

Faris Sabri Azzouni



A handwritten signature in blue ink, appearing to read 'Faris Sabri Azzouni'.

Official  
Office  
Use  
Only

UNITED STATES DISTRICT COURT  
NORTHERN DISTRICT OF CALIFORNIA

*In re Alphabet, Inc. Securities Litigation*

Master File No. 3:18-cv-06245-TLT

**PROOF OF CLAIM AND RELEASE FORM**

**Must Be Postmarked (if Mailed)  
or Received (if Submitted Online)  
No Later Than July 25, 2024**

**ALPA**

Please Type or Print in the Boxes Below  
Must use Black or Blue Ink or your claim  
may be deemed deficient.

**REMEMBER TO ATTACH COPIES OF BROKER CONFIRMATIONS OR OTHER DOCUMENTATION OF YOUR TRANSACTIONS  
IN ALPHABET CLASS A AND/OR CLASS C STOCK. FAILURE TO PROVIDE THIS DOCUMENTATION COULD DELAY  
VERIFICATION OF YOUR CLAIM OR RESULT IN REJECTION OF YOUR CLAIM.**

**PART I. CLAIMANT IDENTIFICATION**

Last Name

M.I.

First Name

A Z Z O U N I

S

F A R I S

Last Name (Co-Beneficial Owner)

M.I.

First Name (Co-Beneficial Owner)

☐ IRA

☐ Joint Tenancy

☐ Employee

☒ Individual

☐ Other

Company Name (Beneficial Owner - If Claimant is not an Individual) or Custodian Name if an IRA

(specify)

Trustee/Asset Manager/Nominee/Record Owner's Name (If Different from Beneficial Owner Listed Above)

Account#/Fund# (Not Necessary for Individual Filers)

Last Four Digits of Social Security Number

Taxpayer Identification Number

or

Telephone Number (Primary Daytime)

Telephone Number (Alternate)

Email Address

**MAILING INFORMATION**

Address

Address (cont.)

City

State

ZIP Code

Foreign Province

Foreign Postal Code

Foreign Country Name/Abbreviation

FOR CLAIMS  
PROCESSING  
ONLY

OB

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☐ DR  
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☐ ND

☐ OP  
☐ RE  
☐ SH

M/M / D/D / Y/Y/Y/Y

FOR CLAIMS  
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Exhibit A

-2-



**PART II. SCHEDULE OF TRANSACTIONS IN ALPHABET CLASS A STOCK**

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B. Purchases or acquisitions of Alphabet Class A stock between April 23, 2018 and July 26, 2019, inclusive:<sup>2</sup>

## PURCHASES

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**IMPORTANT:** (i) If any purchase listed covered a "short sale," please mark Yes: ☒ Yes

(ii) If you received shares through an acquisition or merger, please identify the date, the share amount and the company acquired:

M	M		D	D		Y	Y	Y	Y	Merger Shares:		Company:	
		/			/								

C. Sales of Alphabet Class A stock between April 23, 2018 and July 26, 2019, inclusive:

## SALES

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If you require additional space, attach extra schedules in the same format as above. Sign and print your name on each additional page.

**YOU MUST READ AND SIGN THE RELEASE ON PAGE 7. FAILURE TO SIGN THE RELEASE MAY RESULT IN A DELAY IN PROCESSING OR THE REJECTION OF YOUR CLAIM.**

<sup>2</sup> Information requested about your purchases or acquisitions on May 1, 2019, through and including the close of trading on July 26, 2019, is needed only in order for the Claims Administrator to confirm that you have reported all relevant transactions. Purchases or acquisitions during this period are not eligible for a recovery because they were made outside the Settlement Class Period.

**PART III. SCHEDULE OF TRANSACTIONS IN ALPHABET CLASS C STOCK**

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Proof Enclosed?  
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B. Purchases or acquisitions of Alphabet Class C stock between April 23, 2018 and July 26, 2019, inclusive:

## PURCHASES

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IMPORTANT: (i) If any purchase listed covered a "short sale," please mark Yes: ☒ Yes

(ii) If you received shares through an acquisition or merger, please identify the date, the share amount and the company acquired:

**Merger Shares:**

Company:

C. Sales of Alphabet Class C stock between April 23, 2018 and July 26, 2019, inclusive:

## SALES

SALES											Total Sales Price (Excluding commissions, taxes and fees) Please round off to the nearest whole dollar				Proof of Sales Enclosed?														
Trade Date(s) (List Chronologically)								Number of Shares Sold																					
	M	M		D	D	Y	Y	Y	Y																				
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If you require additional space, attach extra schedules in the same format as above. Sign and print your name on each additional page.

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B. Purchases or acquisitions of Alphabet Class C stock between April 23, 2018 and July 26, 2019, inclusive:

PURCHASES		Total Purchase or

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(ii) If you received shares through an acquisition or merger, please identify the date, the share amount and the company acquired:

Merger Shares:

Company:

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C. Sales of Alphabet Class C stock between April 23, 2018 and July 26, 2019, inclusive:

SALES \_\_\_\_\_

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### PART III. SCHEDULE OF TRANSACTIONS IN ALPHABET CLASS C STOCK

Proof Enclosed?  
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**B. Purchases or acquisitions of Alphabet Class C stock between April 23, 2018 and July 26, 2019, inclusive:**

## PURCHASES

PURCHASES										Total Purchase or Acquisition Price (Excluding commissions, taxes and fees)										Proof of Purchase Enclosed?												
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IMPORTANT: (i) If any purchase listed covered a "short sale," please mark Yes: ☒ Yes

(ii) If you received shares through an acquisition or merger, please identify the date, the share amount and the company acquired:

[illegible]

C. Sales of Alphabet Class C stock between April 23, 2018 and July 26, 2019, inclusive:

## SALES

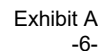
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### PART III. SCHEDULE OF TRANSACTIONS IN ALPHABET CLASS C STOCK

Proof Enclosed?  
☒ Y ☐ N

B. Purchases or acquisitions of Alphabet Class C stock between April 23, 2018 and July 26, 2019, inclusive:

## PURCHASES

PURCHASES										Total Purchase or Acquisition Price (Excluding commissions, taxes and fees)										Proof of Purchase Enclosed?											
Trade Date(s) (List Chronologically)										Number of Shares Purchased or Acquired																					
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2.	0	5	/	1	0	/	2	0	1	9						443	\$					506,566	.	00	<input checked="" type="checkbox"/> Y <input type="checkbox"/> N						
3.	0	5	/	1	7	/	2	0	1	9						17	\$					19,620	.	00	<input checked="" type="checkbox"/> Y <input type="checkbox"/> N						
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IMPORTANT: (i) If any purchase listed covered a "short sale," please mark Yes: ☒ Yes

(ii) If you received shares through an acquisition or merger, please identify the date, the share amount and the company acquired:

[illegible]

C. Sales of Alphabet Class C stock between April 23, 2018 and July 26, 2019, inclusive:

## SALES

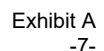
SALES										Total Sales Price (Excluding commissions, taxes and fees) Please round off to the nearest whole dollar										Proof of Sales Enclosed?																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																														
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Proof Enclosed?  
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Proof Enclosed?  
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If you require additional space, attach extra schedules in the same format as above. Sign and print your name on each additional page.

**YOU MUST READ AND SIGN THE RELEASE ON PAGE 7. FAILURE TO SIGN THE RELEASE MAY RESULT IN A DELAY IN PROCESSING OR THE REJECTION OF YOUR CLAIM.**





#### IV. SUBMISSION TO JURISDICTION OF COURT AND ACKNOWLEDGMENTS

I (We) submit this Proof of Claim under the terms of the Stipulation described in the Notice. I (We) also submit to the jurisdiction of the United States District Court for the Northern District of California with respect to my (our) claim as a Settlement Class Member and for purposes of enforcing the releases set forth herein. I (We) further acknowledge that I am (we are) bound by and subject to the terms of the Stipulation and any judgment that may be entered in the Action, including the releases and the covenants set forth herein. I (We) agree to furnish additional information to the Claims Administrator to support this claim if requested to do so. I (We) have not submitted any other claim covering the same purchases, acquisitions, or sales of Alphabet Class A and/or Class C stock during the Settlement Class Period and know of no other Person having done so on my (our) behalf.

#### V. RELEASES

1. I (We) hereby acknowledge full and complete satisfaction of, and do hereby fully, finally, and forever waive, compromise, settle, discharge, extinguish and release from the "Released Claims" (as defined below) each and all of the "Released Defendant Parties" (as defined below).

2. "Released Claims" means any and all claims and causes of action of every nature and description, whether known or unknown, asserted or unasserted, accrued or unaccrued, fixed or contingent, liquidated or unliquidated, whether arising under federal, state, local, common or foreign law, or any other law, rule or regulation, whether class or individual in nature, based on, arising out of, or in connection with both: (i) the purchase or acquisition of Alphabet Class A and/or Class C common stock during the period from April 23, 2018 through April 30, 2019, inclusive, and (ii) the allegations, acts, facts, matters, occurrences, disclosures, filings, representations, statements, or omissions that were or could have been alleged by Lead Plaintiff and other members of the Settlement Class in the Action. The definition of Released Claims includes, but is not limited to, claims arising out of Alphabet's results in the fourth quarter of 2018 or the first quarter of 2019. Notwithstanding the foregoing, "Released Claims" does not include claims relating to the enforcement of the Settlement.

3. "Released Defendant Parties" means each and all of the Defendants, and each and all of their Related Persons.

4. "Released Defendants' Claims" means all claims and causes of action of every nature and description, including both known claims and Unknown Claims (as defined below), whether arising under federal, state, common or foreign law, or any other law, that Defendants could have asserted against any of the "Released Plaintiff Parties" (as defined below), including Lead Counsel and Settlement Class Members, that arise out of or relate in any way to the institution, prosecution, or settlement of the claims in the Action, except for claims relating to the enforcement of the Settlement.

5. "Released Parties" means the Released Defendant Parties and the Released Plaintiff Parties.

6. "Released Plaintiff Parties" means the Lead Plaintiff, each and every Settlement Class Member, Lead Counsel, and each of their respective past or present trustees, officers, directors, partners, employees, contractors, auditors, principals, agents, attorneys, predecessors, successors, assigns, insurers, parents, subsidiaries, general or limited partners or partnerships, and limited liability companies; and the spouses, members of the immediate families, representatives, and heirs of any Released Plaintiff Party who is an individual, as well as any trust of which any Released Plaintiff Party is the settlor or which is for the benefit of any of their immediate family members. Released Plaintiff Parties does not include any Person who timely and validly seeks exclusion from the Settlement Class.

7. "Unknown Claims" means any and all Released Claims of every nature and description against the Released Defendant Parties that Lead Plaintiff or any other Settlement Class Member does not know or suspect to exist in his, her, or its favor at the time of the release of the Released Defendant Parties, and any and all Released Defendants' Claims of every nature and description against the Released Plaintiff Parties that any Defendant does not know or suspect to exist in his, her or its favor at the time of the release of the Released Defendants' Claims, and including, without limitation, those that, if known by him, her or it, might have affected his, her or its decision to enter into this Settlement, execute the Stipulation, and agree to all the various releases set forth herein, or might have affected his, her or its decision not to object to this Settlement or not exclude itself, herself or himself from the Settlement Class. Unknown Claims include, without limitation, those claims in which some or all of the facts composing the claim may be unsuspected, undisclosed, concealed, or hidden. With respect to any and all Released Claims and Released Defendants' Claims, the Released Parties stipulate and agree that, upon the Effective Date, Lead Plaintiff and Settlement Class Members (as regards the Released Claims) and the Defendants (as regards the Released Defendants' Claims) shall expressly waive and relinquish, and each Settlement Class Member shall be deemed to have and by operation of law and of the Judgment shall have, expressly waived and relinquished, to the fullest extent permitted by law, any and all provisions, rights and benefits conferred by California Civil Code §1542, or any law of any state or territory of the United States, or principle of common law or of international or foreign law, which is similar, comparable, or equivalent to Cal. Civ. Code §1542, which provides:

**A general release does not extend to claims that the creditor or releasing party does not know or suspect to exist in his or her favor at the time of executing the release and that, if known by him or her, would have materially affected his or her settlement with the debtor or released party.**

The Released Parties may hereafter discover facts in addition to or different from those that he, she, or it now knows or believes to be true with respect to the subject matter of Released Claims or Released Defendants' Claims, but they stipulate and agree that, upon the Effective Date of the Settlement, the Released Parties shall expressly waive and by operation of the Judgment, or Alternative Judgment, if applicable, shall have, fully, finally, and forever settled and released, any and all Released Claims or Released Defendants' Claims, known or unknown, suspected or unsuspected, contingent or non-contingent, whether or not concealed or hidden, that now exist, or heretofore have existed, upon any theory of law or equity now existing or coming into existence in the future, including, but not limited to, conduct that is negligent, intentional, with or without malice, or a breach of fiduciary duty, law or rule, without regard to the subsequent discovery or existence of such different or additional facts. The Parties acknowledge, and each of the Settlement Class Members shall be deemed by operation of law to have acknowledged, that the foregoing waiver was separately bargained for and a key element of the Settlement.

8. These releases shall be of no force or effect unless and until the Court approves the Stipulation and the Settlement becomes effective on the Effective Date.

9. I (We) hereby warrant and represent that I (we) have not assigned or transferred or purported to assign or transfer, voluntarily or involuntarily, any claim or matter released pursuant to this release or any other part or portion thereof.

10. I (We) hereby warrant and represent that I (we) have included information about all of my (our) purchases, acquisitions, and sales of Alphabet Class A and/or Class C stock during the Settlement Class Period and the number of Alphabet Class A and/or Class C shares held by me (us) at the close of trading on April 22, 2018, April 30, 2019, and July 26, 2019.

I (We) declare under penalty of perjury under the laws of the United States of America that the foregoing information supplied by the undersigned is true and correct.

Executed this 2nd day of July in [REDACTED]  
(Month/Year) (City/State/Country)

[Signature]  
(Sign your name here)

(Sign your name here)

FARIS S. AZZOUNI  
(Type or print your name here)

(Type or print your name here)

Individual owner  
(Capacity of person(s) signing, e.g.,  
Beneficial Purchaser or Acquirer, Executor or Administrator)

(Capacity of person(s) signing, e.g.,  
Beneficial Purchaser or Acquirer, Executor or Administrator)

**ACCURATE CLAIMS PROCESSING TAKES A SIGNIFICANT AMOUNT OF TIME.  
THANK YOU FOR YOUR PATIENCE.**

Reminder Checklist:

1. Please sign the above release and declaration.
2. If this Claim is being made on behalf of Joint Claimants, then both must sign.
3. Remember to attach copies of supporting documentation, if available.
4. **Do not send** originals of certificates.
5. Keep a copy of your Claim Form and all supporting documentation for your records.
6. If you desire an acknowledgment of receipt of your Proof of Claim, please send it Certified Mail, Return Receipt Requested.
7. If you move after submitting this Claim Form, please notify the Claims Administrator of the change in your address, otherwise you may not receive additional notices or payment.
8. **Do not use red pen or highlighter** on the Proof of Claim or supporting documentation. You must use Black or Blue Ink or your claim may be deemed deficient.

**THIS CLAIM FORM MUST BE SUBMITTED ONLINE OR MAILED  
NO LATER THAN JULY 25, 2024, ADDRESSED AS FOLLOWS:**

*Alphabet Securities Settlement*

Claims Administrator

c/o Gilardi & Co. LLC

P.O. Box 301175

Los Angeles, CA 90030-1175

Online submissions: [www.AlphabetSecuritiesSettlement.com](http://www.AlphabetSecuritiesSettlement.com)

QuestQuantum™

UNITED STATES DISTRICT COURT  
NORTHERN DISTRICT OF CALIFORNIA  
SAN FRANCISCO DIVISION

In re ALPHABET, INC. SECURITIES LITIGATION	)	Master File No. 3:18-cv-06245-TLT
	)	
	)	<u>CLASS ACTION</u>
_____	)	
This Document Relates To:	)	
	)	
ALL ACTIONS.	)	
_____	)	

**PROOF OF CLAIM AND RELEASE****I. GENERAL INSTRUCTIONS**

1. To recover as a member of the Settlement Class based on your claims in the action entitled *In re Alphabet, Inc. Securities Litigation*, No. 3:18-cv-06245-TLT (the "Action"), you must complete and, on page 7 hereof, sign this Proof of Claim and Release ("Proof of Claim" or "Claim Form"). If you fail to submit a properly addressed (as set forth in paragraph 3 below) Claim Form, postmarked or received by the date shown below, your claim may be rejected and you may be precluded from any recovery from the Net Settlement Fund created in connection with the proposed settlement of the Action (the "Settlement").<sup>1</sup>

2. Submission of this Claim Form, however, does not assure that you will share in the proceeds of the Settlement.

3. YOU MUST MAIL OR SUBMIT ONLINE YOUR COMPLETED AND SIGNED CLAIM FORM, ACCOMPANIED BY COPIES OF THE DOCUMENTS REQUESTED HEREIN, NO LATER THAN JULY 25, 2024, TO THE COURT-APPOINTED CLAIMS ADMINISTRATOR IN THIS CASE, AT THE FOLLOWING ADDRESS:

*Alphabet Securities Settlement*  
Claims Administrator  
c/o Gilardi & Co. LLC  
P.O. Box 301175  
Los Angeles, CA 90030-1175

Online Submissions: [www.AlphabetSecuritiesSettlement.com](http://www.AlphabetSecuritiesSettlement.com)

Do not mail or deliver your Claim Form to the Court, the Parties to the Action, or their counsel. Submit your Claim Form only to the Claims Administrator at the address set forth above. If you are NOT a member of the Settlement Class (as defined below and in the Notice of Pendency and Proposed Settlement of Class Action (the "Notice")), DO NOT submit a Claim Form.

4. If you are a member of the Settlement Class and you do not request exclusion, you will be bound by the terms of any judgment entered in the Action, including the releases provided therein, WHETHER OR NOT YOU SUBMIT A CLAIM FORM.

5. It is important that you completely read and understand the Notice that is available at [www.AlphabetSecuritiesSettlement.com](http://www.AlphabetSecuritiesSettlement.com), including the Plan of Allocation of the Net Settlement Fund set forth in the Notice. The Notice describes the proposed Settlement, how Settlement Class Members are affected by the Settlement, and the manner in which the Net Settlement Fund will be distributed if the Settlement and Plan of Allocation are approved by the Court. The Notice (as well as the Stipulation) also contains the definitions of many of the defined terms (which are indicated by initial capital letters) used in this Claim Form.

**II. CLAIMANT IDENTIFICATION**

You are a member of the Settlement Class if you purchased or otherwise acquired Alphabet, Inc. ("Alphabet") Class A and/or Class C stock during the period from April 23, 2018, through April 30, 2019, inclusive (the "Settlement Class Period"). Excluded from the Settlement Class are Defendants and their families, the officers, directors, and affiliates of Defendants, at all relevant times, members of their immediate families and their legal representatives, heirs, successors, or assigns, and any entity in which Defendants have or had a controlling interest. Also excluded from the Settlement Class is any Person who would otherwise be a member of the Settlement Class but who validly and timely requests exclusion in accordance with the requirements set by the Court.

<sup>1</sup> This Claim Form incorporates by reference the definitions in the Stipulation of Settlement ("Stipulation"), which can be obtained at [www.AlphabetSecuritiesSettlement.com](http://www.AlphabetSecuritiesSettlement.com).



Use Part I of this Claim Form entitled "Claimant Identification" to identify each purchaser or acquirer of record ("nominee"), if different from the beneficial purchaser or acquirer of the Alphabet Class A or Class C stock which forms the basis of this claim. THIS CLAIM MUST BE FILED BY THE ACTUAL BENEFICIAL PURCHASER(S) OR ACQUIRER(S) OR THE LEGAL REPRESENTATIVE OF SUCH PURCHASER(S) OR ACQUIRER(S) OF THE ALPHABET CLASS A OR CLASS C STOCK UPON WHICH THIS CLAIM IS BASED.

All joint purchasers or acquirers must sign this Claim Form. Executors, administrators, guardians, conservators, and trustees must complete and sign this Claim Form on behalf of persons represented by them and their authority must accompany this Claim Form and their titles or capacities must be stated. The last four digits of the Social Security Number (or full Taxpayer Identification Number) and telephone number of the beneficial owner may be used in verifying the claim. Failure to provide the foregoing information could delay verification of your claim or result in rejection of the claim.

If you are acting in a representative capacity on behalf of a Settlement Class Member (for example, as an executor, administrator, trustee, or other representative), you must submit evidence of your current authority to act on behalf of that Settlement Class Member. Such evidence would include, for example, letters testamentary, letters of administration, or a copy of the trust documents.

One Proof of Claim should be submitted for each separate legal entity. Separate Proofs of Claim should be submitted for each separate legal entity (e.g., a claim from joint owners should not include separate transactions of just one of the joint owners, and an individual should not combine his or her IRA transactions with transactions made solely in the individual's name). Conversely, a single Proof of Claim should be submitted on behalf of one legal entity, including all transactions made by that entity on one Proof of Claim, no matter how many separate accounts that entity has (e.g., a corporation with multiple brokerage accounts should include all transactions made in all accounts on one Proof of Claim).

NOTICE REGARDING ELECTRONIC FILES: Certain Claimants with large numbers of transactions may request to, or may be requested to, submit information regarding their transactions in electronic files. All Claimants MUST submit a manually signed paper Proof of Claim listing all their transactions whether or not they also submit electronic copies. If you wish to file your Proof of Claim electronically, you must contact the Claims Administrator at [edata@gilardi.com](mailto:edata@gilardi.com) to obtain the mandatory file layout. Any file not in accordance with the required electronic filing format will be subject to rejection. Only one Proof of Claim should be submitted for each legal entity (see above) and the **complete** name of the beneficial owner(s) of the securities must be entered where called for. Distribution payments must be made by check or electronic payment payable to the Authorized Claimant (beneficial account owner). The Third-Party Filer shall not be the payee of any distribution payment check or electronic distribution payment. No electronic files will be considered to have been properly submitted unless the Claims Administrator issues to the Claimant a written acknowledgement of receipt and acceptance of electronically submitted data. Do not assume that your file has been received until you receive this notification. If you do not receive such an email within 10 days of your submission you should contact the electronic filing department at [edata@gilardi.com](mailto:edata@gilardi.com) to inquire about your file and confirm it was received.

### III. PROOF OF CLAIM

Use Part II of this form entitled "Schedule of Transactions in Alphabet Class A Stock," and Part III of this form entitled "Schedule of Transactions in Alphabet Class C Stock" to supply all required details of your transaction(s) in Alphabet Class A and/or Class C stock. If you need more space or additional schedules, attach separate sheets giving all of the required information in substantially the same form. Sign and print or type your name on each additional sheet.

On the schedules, provide all of the requested information with respect to **all** of your holdings, purchases or acquisitions and **all** of your sales of Alphabet Class A and/or Class C stock, whether such transactions resulted in a profit or a loss. Failure to report all such transactions may result in the rejection of your claim.

List these transactions separately and in chronological order, by trade date, beginning with the earliest. You must accurately provide the month, day, and year of each transaction you list.

For short-sale transactions, the date of covering a "short sale" is deemed to be the date of purchase of Alphabet stock, and the date of a "short sale" is deemed to be the date of sale of Alphabet stock.

For each transaction, you must provide, together with this Proof of Claim, copies of stockbroker confirmation slips, stockbroker statements, or other documents adequately evidencing your transactions in Alphabet Class A and/or Class C stock. If any such documents are not in your possession, please obtain a copy or equivalent documents from your broker because these documents are necessary to prove and process your claim. Failure to provide this documentation could delay verification of your claim or result in rejection of your claim. **THE PARTIES DO NOT HAVE INFORMATION ABOUT YOUR TRANSACTIONS IN ALPHABET STOCK.**

PLEASE NOTE: As set forth in the Plan of Allocation, each Authorized Claimant shall receive his, her, or its *pro rata* share of the Net Settlement Fund. If the prorated payment to any Authorized Claimant calculates to less than \$10.00, it will not be included in the calculation and no distribution will be made to that Authorized Claimant.

Account No.Taxpayer No.Page

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**2019 TAX REPORTING STATEMENT**

ORIGINAL 1099 02/13/2020

MR FARIS SABRI AZZOUNI

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Interest Income Activity .....	32
Other Distributions and Charges .....	33

We would like you to note the following item(s) which may affect your tax return. Please discuss these matters with your Tax Advisor prior to completing your tax return.

**IMPORTANT ITEMS FOR YOUR ATTENTION**

Your Visa and Checking Statement is produced separately from your Tax Reporting Statement and is only available on MyMerrill.com or MerrillEdge.com. Online enrollment is necessary to access the statement. For more information, including how to download your Visa and Checking details into Microsoft Excel or other software, visit the Tax Education and Planning Center on MyMerrill.com or MerrillEdge.com.

QuestQuantum™

Account No.

[REDACTED]

Taxpayer No.

[REDACTED]

Page

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MR FARIS SABRI AZZOUNI

## 2019 TAX REPORTING STATEMENT

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Account No.  
[REDACTED]Taxpayer No.  
[REDACTED]Page  
3 of 33

ORIGINAL 1099 02/13/2020

MR FARIS SABRI AZZOUNI  
[REDACTED]Your Financial Advisor 1000  
ML DIRECT  
P.O. BOX 1527  
PENNINGTON, NJ 08534-4125Payer:  
Merrill Lynch, Pierce, Fenner & Smith Inc  
1500 American Boulevard, NJ2-150-01-13  
Pennington, NJ 08534-4129  
Federal Identification Number 13-5674085

## 2019 TAX REPORTING STATEMENT

Form 1099-DIV			2019 Dividends and Distributions	(OMB NO. 1545-0110)
			Amount	
1a	Total Ordinary Dividends	Sched. B, Line 5 &/or Form 1040, Line 3b	14,535.00	
1b	Qualified Dividends	Form 1040, Line 3a	14,535.00	
2a	Total Capital Gain Distributions	Sched. D, Line 13 or Form 1040, Line 13	0.00	
2b	Unrecap. Sec. 1250 Gain	Sched. D, Line 19	0.00	
2c	Section 1202 Gain	See Sched. D Instructions	0.00	
2d	Collectibles (28%) Gain	Sched. D, Line 18	0.00	
3	Nondividend Distributions	See Publication 550	0.00	
4	<b>Federal Income Tax Withheld</b>	<b>Form 1040, Line 17</b>	<b>0.00</b>	
5	Section 199A Dividends	See Instructions	0.00	
6	Investment Expenses	See Instructions	0.00	
7	Foreign Tax Paid	Form 1116 &/or Sched. 3, Line 1	0.00	
8	Foreign Country or U.S. Possession	See Instructions		
9	Liquidation Distributions Cash	See Instructions	0.00	
10	Liquidation Distributions Non-Cash	See Instructions	0.00	
11	Exempt-Interest Dividends	Form 1040, Line 2a	0.00	
12	Spec. Private Activity Bond Int. Div.	See Instructions for Form 6251	0.00	
13	State	See Instructions	KY	
14	State Identification No.	See Instructions	[REDACTED]	
15	State Tax Withheld	See Instructions	0.00	

Form 1099-INT			2019 Interest Income	(OMB NO. 1545-0112)
			Amount	
1	Interest Income	Sched. B, Line 1 &/or Form 1040, Line 2b	264.22	
2	Early Withdrawal Penalty	Sched. 1, Line 17	0.00	
3	Int. on U.S. Savings Bonds & Treas.	See Publication 550	0.00	
4	<b>Federal Income Tax Withheld</b>	<b>Form 1040, Line 17</b>	<b>0.00</b>	
5	Investment Expenses	See Instructions	0.00	
6	Foreign Tax Paid	Form 1116 &/or Sched. 3, Line 1	0.00	
7	Foreign Country or U.S. Possession	See Instructions		
8	Tax-Exempt Interest	Form 1040, Line 2a	0.00	
9	Specified Private Activity Bond Interest	See Instructions for Form 6251	0.00	
10	Market Discount	See Instructions	0.00	
11	Bond Premium	See Instructions	0.00	
12	Bond Premium on Treas. Obligations	See Instructions	0.00	
13	Bond Premium on Tax-Exempt Bond	See Instructions	0.00	
14	Tax-Exempt/Tax Credit Bond CUSIP No.	See Instructions		
15	State	See Instructions	KY	
16	State Identification No.	See Instructions	[REDACTED]	
17	State Tax Withheld	See Instructions	0.00	

Summary of 2019 Original Issue Discount Items			Amount
Original Issue Discount	See Publication 1212		0.00
Market Discount	See Publication 1212		0.00
Acquisition Premium	See Publication 1212		0.00
OID on U.S. Treasury Obligations	See Publication 1212		0.00
Tax-Exempt Original Issue Discount	See Publication 1212		0.00
Amounts of Original Issue Discount are individually reported to the IRS. Refer to the 2019 Original Issue Discount detail section of this statement.			

Summary of 2019 Sales Proceeds			Amount
Sales Proceeds	See Form 8949		82,202,535.17
<b>Federal Income Tax Withheld</b>	<b>Form 1040, Line 17</b>		<b>0.00</b>
Gross Proceeds from each of your 2019 securities trades are individually reported to the IRS. Refer to the 2019 Proceeds from Broker and Barter Exchange Transactions detail section of this statement.			

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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.

You may reach a Tax Representative at 800.637.6326.

Merrill Lynch, Pierce, Fenner & Smith Incorporated (MLPF&S or Merrill) is a registered broker-dealer and wholly owned subsidiary of Bank of America Corporation Member, Securities Investor Protection Corporation (SIPC)



Account No.Taxpayer No.Page

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MR FARIS SABRI AZZOUNI

## 2019 TAX REPORTING STATEMENT

Form 1099-MISC	2019 Miscellaneous Income	(OMB NO. 1545-0115)	Amount
2	Royalties	Sched. E, Line 4	0.00
3	Other Income	Sched. 1, Line 8	1,200.00
4	<b>Federal Income Tax Withheld</b>	<b>Form 1040, Line 17</b>	<b>0.00</b>
8	Sub. Payments in Lieu of Div. or Int.	Sched. 1, Line 8	0.00
16	State Tax Withheld	See Instructions	0.00
17	State/Payer's State No.	See Instructions	

**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.**

Distributions and Charges*		Amount
Limited Partnership Income	.....	0.00
Non-Reportable Dividends and Interest	.....	0.00
Non-Reportable Tax-Exempt Interest	.....	0.00
Taxable Muni Accrued Int. Paid	.....	0.00
Non-Tax Muni Accrued Int. Paid	.....	0.00
Other Accrued Interest Paid	.....	0.00
Margin Interest	.....	26,956.46
Non-Reportable Distribution Expenses	.....	0.00
Excess Bond Premium	.....	0.00
Additional Bond Premium	.....	0.00

**\*Dollar amounts above may reflect as net, please review the detail section to determine impact. This information is not reported to the IRS, consult with your Tax Advisor for more information.**

## INSTRUCTIONS FOR RECIPIENT OF FORMS 1099, COPY B - READ CAREFULLY

The amounts listed on Forms 1099-DIV, 1099-INT, 1099-MISC, 1099-OID and 1099-B represent dividends, interest, miscellaneous income, original issue discount and/or gross proceeds payments made or credited to your account during the calendar year.

If you are an investor in a limited partnership, information concerning your distributive share of the partnership's taxable income or loss (Form 1065, Schedule K-1) will not appear on the Tax Reporting Statement. Such information will be sent to you directly from the limited partnership, for inclusion on your income tax return.

**Nominees** - If your federal Taxpayer Identification Number is shown on this form and includes amounts belonging to another person, you are considered a nominee recipient. You must file and furnish Form 1099-DIV, 1099-INT, 1099-MISC, 1099-OID or 1099-B, as applicable, with the IRS, for each of the other owners to show their share of the income. A husband or wife is not required to file a nominee return to show amounts owned by the other. See the 2019 General Instructions for Certain Information Returns.

**Foreign Tax Paid** - You may be able to claim this foreign tax as a deduction or a credit on Form 1040. See the Instructions for Form 1040. **Foreign country or U.S. possession** will always be displayed as **various**.

**Backup Withholding** - Persons not furnishing their taxpayer identification number (TIN) to the payer become subject to backup withholding on certain payments at a rate of 24%, including dividends, interest, and gross proceeds from dispositions of securities. See Form W-9 for information on backup withholding. **Include this amount on your income tax return as tax withheld.**

**1099-MISC - MISCELLANEOUS INCOME** (OMB No. 1545-0115)

Each royalty trust is required to provide their shareholders with detailed information regarding items of trust income and deductions. Because the information reported to shareholders by the royalty trust includes the information we report to you on Form 1099-MISC, you should be careful not to report this income on your tax return twice.

**Line 1** - Shows the income received from rental property. **Report on Schedule E (Form 1040).** See Publication 527.

**Line 2** - Shows the royalty trust income paid to your account during the tax year. **Report on Schedule E (Form 1040).**

**Line 3** - Generally, report this amount on the "Other Income" line of Form 1040 and identify the payment. The amount shown may be payments you received as the beneficiary of a deceased employee, prizes, awards, taxable damages, or other taxable income. See Publication 525. If it is trade or business income, report this amount on Schedule C or F (Form 1040).

**Line 8** - Shows substitute payments in lieu of dividends or tax-exempt interest received by your broker on your behalf as a result of a loan of your securities. Report on the "Other Income" line of Form 1040.

**Line 16-18** Show state or local income tax withheld from the payments.

(OMB No. 1545-0110)

## 1099-DIV - DIVIDENDS AND DISTRIBUTIONS

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

**Line 1b** - Shows the portion of the amount on line 1a that may be eligible for reduced capital gains rates. See the Instructions for Form 1040 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 but treat it as a plan distribution, not as investment income, for any other purpose.

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

**Line 2b** - Shows the portion of the amount on line 2a that is unrecaptured section 1250 gain from certain depreciable real property. See the **Unrecaptured Section 1250 Gain Worksheet-Line 19** in the Instructions for Schedule D (Form 1040).

**Line 2c** - Shows the portion of the amount on line 2a that is section 1202 gain from certain small business stock that may be subject to an exclusion. See the Instructions for Schedule D (Form 1040).

**Line 2d** - Shows 28% rate gain from sales or exchanges of collectibles. If required, use this amount when completing the **28% Rate Gain Worksheet-Line 18** in the Instructions for Schedule D (Form 1040).

**Line 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 Publication 550.

**Line 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 1040.

**Line 6** - Shows your share of expenses of a nonpublicly offered RIC, generally a nonpublicly offered mutual fund. This amount is included on line 1a.

**Lines 9 and 10** - Shows cash and noncash liquidation distributions.

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

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

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

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MR FARIS SABRI AZZOUNI

## 2019 TAX REPORTING STATEMENT

(OMB No. 1545-0112)

## 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 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.

**Line 1** - Shows taxable interest paid to you during the calendar year by the payer. This does not include interest shown on line 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 2019 on the credit allowance dates (March 15, June 15, September 15, and December 15). For more information, see Form 8912.

**Line 3** - Shows interest on U.S. Savings Bonds, Treasury bills, Treasury bonds, and Treasury notes. This may or may not be all taxable. See Publication 550. This interest is exempt from state and local income taxes. **This interest is not included on line 1.**

**Line 5** - Any amount shown is your share of investment expenses of a single-class REMIC. This amount is included on line 1.

**Line 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. This amount may be subject to backup withholding. See line 4.

**Line 9** - Shows tax-exempt interest subject to the alternative minimum tax. This amount is included on line 8. See the Instructions for Form 6251.

**Line 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. Report the accrued market discount on your income tax return as directed in the Instructions for Form 1040. Market discount on a tax-exempt security is includible in taxable income as interest income.

**Line 11** - For a taxable 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 on this line, see the Instructions for Form 1040 (Schedule B). If the amount on this line is greater than the amount of interest paid on the covered security, see Regulations section 1.171-2(a)(4).

**Line 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 on this line, see the Instructions for Form 1040 (Schedule B). If the amount on this line is greater than the amount of interest paid on the U.S. Treasury obligation, see Regulations section 1.171-2(a)(4).

**Line 13** - For a tax-exempt covered security, shows the amount of premium amortization allocable to the interest payment(s). If the amount on this line 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).

**Line 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.

**Lines 15-17** - State tax withheld reporting lines

## 1099-OID - ORIGINAL ISSUE DISCOUNT

(OMB No. 1545-0117)

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 covered security acquired with acquisition premium, your payer generally must report a gross amount for both the OID and the acquisition premium amortization for the year. For a noncovered security acquired with acquisition premium, your payer is only required to report the gross amount of OID.

**Line 1** - Shows the OID on a taxable obligation for the part of the year you owned it. Report the amount on line 1 as interest income on your income tax return. However, depending on the type of debt instrument, the issue or acquisition date, and other factors (for example, if you paid acquisition or bond premium, or the obligation is a stripped bond or coupon), you may have to figure the correct amount of OID to report on your return. See Publication 1212 for details on how to figure the correct OID.

**Line 5** - For a covered security acquired with OID, 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. For a tax-exempt obligation that is a covered security acquired on or after January 1, 2017, and issued with OID, shows the market discount that accrued on the obligation during the year while held by you. Report the accrued market discount on your income tax return as directed in the Instructions for Form 1040. Market discount on a tax-exempt security is includible in taxable income as interest income.

**Line 6** - For a taxable covered security, shows the amount of acquisition premium amortization for the year that reduces the amount of OID that is included as interest on your income tax return. If an amount is reported on this line, see the Instructions for Form 1040 (Schedule B). If there is an amount on both lines 6 and 11, for a tax-exempt obligation that is a covered security acquired on or after January 1, 2017, and issued with OID, the amount on line 6 shows the amount of acquisition premium amortization for the year that reduces the amount of your tax-exempt OID for the year.

**Line 8** - Shows OID on a U.S. Treasury obligation for the part of the year you owned it. Report this amount as interest income on your federal income tax return, and see Publication 1212 to figure any appropriate adjustments to this amount. This OID is exempt from state and local income taxes and is not included on line 1.

**Line 11** - For a tax-exempt obligation that is a covered security acquired on or after January 1, 2017, shows the tax-exempt OID on the obligation for the part of the year you owned it. In general, report the amount of tax-exempt OID on Form 1040.

## 1099-B - PROCEEDS FROM BROKER AND BARTER EXCHANGE TRANSACTIONS

(OMB-1545-0715)

**Applicable check box on Form 8949.** Indicates where to report this transaction on Form 8949 and Schedule D, and which check box is applicable. See the Instructions for Schedule D and/or Form 8949.

**Code A** - Indicates a short-term transaction for which the cost or other basis is being reported to the IRS.

**Code B** - Indicates a short-term transaction for which the cost or other basis is not being reported to the IRS.

**Code D** - Indicates a long-term transaction for which the cost or other basis is being reported to the IRS.

**Code E** - Indicates a long-term transaction for which the cost or other basis is not being reported to the IRS.

**Code X** - Indicates a transaction for which the holding period is unknown.

**Line 1a** - Shows a brief description of the item or service for which amounts are being reported.

**Line 1b** - This line may be blank if line 5 is noted 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.

**Line 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.

**Line 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 line does not include proceeds from regulated futures contracts or Section 1256 option contracts. Report this amount on Form 8949 or on Schedule D (whichever is applicable) as explained in the Instructions for Schedule D.

**Line 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 line 5 is noted, line 1e may be blank. See the Instructions for Form 8949, Instructions for Schedule D, or Publication 550 for details.

**Line 1f** - Shows the amount of accrued market discount. For details on market discount, see the Instructions for Schedule D (Form 1040), Instructions for Form 8949, and Publication 550. If line 5 is noted, line 1f may be blank.

**Line 1g** - Shows the amount of nondeductible loss in a wash sale transaction. For details on wash sales, see the Instructions for Schedule D (Form 1040), Instructions for Form 8949, and Publication 550. If line 5 is noted, line 1g may be blank.

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

**Line 5** - If noted, the securities sold were noncovered securities and lines 1b, 1c, 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.

**Line 6** - If the exercise of a noncompensatory option resulted in a sale of a security, indicates whether the amount on line 1d was adjusted for option premium.

**Line 7** - If noted, you cannot take a loss on your tax return based on gross proceeds from a reportable change in control or capital structure reported on line 1d. See the Form 8949 and the Instructions for Schedule D. The broker should advise you of any losses on a separate statement.

**Line 12** - If applicable, this is noted on Form(s) 1099-B.

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MR FARIS SABRI AZZOUNI

## 2019 TAX REPORTING STATEMENT

## Form 1099-B 2019 PROCEEDS FROM BROKER &amp; BARTER EXCHANGE TRANSACTIONS (OMB NO. 1545-0715)

1a. Description of Property	1b. Date Acquired	1c. Date Sold or Disposed	1d. Proceeds	1e. Cost Basis	1f. Accrued Market Discount	1g. Wash Sale Loss Disallowed	Gain or Loss
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ALPHABET INC SHS	CL C	CUSIP Number	02079K107				
500.0000	Sale	12/31/18	01/02/19	522,493.21	517,500.00	0.00	4,993.21
13.0000	Sale	01/11/19	01/11/19	13,740.82	13,715.00	0.00	25.82
82.0000	Sale	01/11/19	01/11/19	86,672.87	86,510.00	0.00	162.87
18.0000	Sale	01/11/19	01/11/19	19,025.75	18,990.00	0.00	35.75
2.0000	Sale	01/11/19	01/11/19	2,113.97	2,110.00	0.00	3.97
2.0000	Sale	01/11/19	01/11/19	2,113.97	2,110.00	0.00	3.97

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MR FARIS SABRI AZZOUNI

**2019 TAX REPORTING STATEMENT**

Form 1099-B

**2019 PROCEEDS FROM BROKER & BARTER EXCHANGE TRANSACTIONS**

(OMB NO. 1545-0715)

1a. Description of Property	1b. Date Acquired	1c. Date Sold or Disposed	1d. Proceeds	1e. Cost Basis	1f. Accrued Market Discount	1g. Wash Sale Loss Disallowed	Gain or Loss
ALPHABET INC SHS CL C	CUSIP Number	02079K107					
87.0000 Sale	01/11/19	01/11/19	91,957.80	91,785.00	0.00	0.00	172.80
13.0000 Sale	01/11/19	01/11/19	13,740.82	13,715.00	0.00	0.00	25.82
5.0000 Sale	01/11/19	01/11/19	5,284.93	5,275.00	0.00	0.00	9.93
82.0000 Sale	01/11/19	01/11/19	86,672.87	86,510.00	0.00	0.00	162.87
18.0000 Sale	01/11/19	01/11/19	19,025.75	18,990.00	0.00	0.00	35.75
178.0000 Sale	01/11/19	01/15/19	188,143.55	187,790.00	0.00	0.00	353.55
333.0000 Sale	03/25/19	04/04/19	404,589.73	399,600.00	0.00	0.00	4,989.73
167.0000 Sale	03/29/19	04/04/19	202,902.36	195,390.00	0.00	0.00	7,512.36
500.0000 Sale	04/02/19	04/04/19	607,492.11	594,000.00	0.00	0.00	13,492.11
500.0000 Sale	04/10/19	04/10/19	600,492.19	600,000.00	0.00	0.00	492.19
400.0000 Sale	05/01/19	05/03/19	471,190.25	469,600.00	0.00	0.00	1,590.25
7.0000 Sale	05/10/19	05/17/19	8,133.83	8,109.27	0.00	0.00	24.56
443.0000 Sale	05/10/19	07/01/19	485,074.95	513,200.88	0.00	28,125.93 (w)	0.00
7.0000 Sale	05/17/19	07/01/19	7,664.85	8,122.10	0.00	457.25 (w)	0.00
40.0000 Sale	05/10/19	07/25/19	48,758.99	45,739.59	0.00	0.00 (v)	3,019.40
100.0000 Sale	05/10/19	07/25/19	121,897.48	114,348.97	0.00	0.00 (v)	7,548.51
100.0000 Sale	05/10/19	07/25/19	121,897.48	114,348.96	0.00	0.00 (v)	7,548.52
96.0000 Sale	05/10/19	07/25/19	117,021.58	109,775.00	0.00	0.00 (v)	7,246.58
30.0000 Sale	05/10/19	07/25/19	36,569.24	34,304.69	0.00	0.00 (v)	2,264.55
74.0000 Sale	05/10/19	07/25/19	90,204.13	84,618.23	0.00	0.00 (v)	5,585.90
3.0000 Sale	05/10/19	07/25/19	3,656.92	3,430.47	0.00	0.00 (v)	226.45
10.0000 Sale	05/17/19	07/25/19	12,189.74	11,603.00	0.00	0.00	586.74
7.0000 Sale	05/17/19	07/25/19	8,532.82	8,017.27	0.00	0.00 (v)	515.55
80.0000 Sale	07/12/19	07/25/19	97,518.00	91,200.00	0.00	0.00	6,318.00
370.0000 Sale	07/12/19	07/25/19	451,020.66	421,800.00	0.00	0.00	29,220.66
500.0000 Sale	07/31/19	08/05/19	580,251.42	607,500.00	0.00	27,248.58 (w)	0.00
500.0000 Sale	08/01/19	08/06/19	583,487.92	610,159.38	0.00	0.00 (v)	(26,671.46)
<b>Security Subtotal</b>			<b>6,111,532.96</b>	<b>6,089,867.81</b>	<b>0.00</b>	<b>55,831.76</b>	<b>77,496.91</b>

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**2018 TAX REPORTING STATEMENT**

ORIGINAL 1099 02/11/2019

MR FARIS SABRI AZZOUNI

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Other Distributions and Charges .....	34



Merrill Lynch would like you to note the following item(s) which may affect your tax return. Please discuss these matters with your Tax Advisor prior to completing your tax return.

**IMPORTANT ITEMS FOR YOUR ATTENTION**

Your Visa and Checking Statement is produced separately from your Tax Reporting Statement and is only available on MyMerrill.com or MerrillEdge.com. Online enrollment is necessary to access the statement. For more information, including how to download your Visa and Checking details into Microsoft Excel or other software, visit the Tax Education and Planning Center on MyMerrill.com or MerrillEdge.com.

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Account No.

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MR FARIS SABRI AZZOUNI

## 2018 TAX REPORTING STATEMENT

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ORIGINAL 1099 02/11/2019

MR FARIS SARRI AZZOUNI

Your Financial Advisor 1000  
ML DIRECT  
P.O. BOX 1527  
PENNINGTON, NJ 08534-4125

Payer:  
Merrill Lynch, Pierce, Fenner & Smith Inc  
1500 American Boulevard, NJ2-150-01-13  
Pennington, NJ 08534-4129  
Federal Identification Number 13-5674085

## 2018 TAX REPORTING STATEMENT

Form 1099-DIV			Form 1099-INT		
2018 Dividends and Distributions			2018 Interest Income		
(OMB NO. 1545-0110)			(OMB NO. 1545-0112)		
		Amount			Amount
1a	Total Ordinary Dividends	Sched. B, Line 5 &/or Form 1040, Line 3b	1	Interest Income	Sched. B, Line 1 &/or Form 1040, Line 2b
1b	Qualified Dividends	Form 1040, Line 3a	2	Early Withdrawal Penalty	Sched. 1, Line 30
2a	Total Capital Gain Distributions	Sched. D, Line 13 or Form 1040, Line 13	3	Int. on U.S. Savings Bonds & Treas.	See Publication 550
2b	Unrecap. Sec. 1250 Gain	Sched. D, Line 19	4	<b>Federal Income Tax Withheld</b>	<b>Form 1040, Line 16</b>
2c	Section 1202 Gain	See Sched. D Instructions	5	Investment Expenses	See Instructions
2d	Collectibles (28%) Gain	Sched. D, Line 18	6	Foreign Tax Paid	Form 1116 &/or Sched. 3, Line 48
3	Nondividend Distributions	See Publication 550	7	Foreign Country or U.S. Possession	See Instructions
4	<b>Federal Income Tax Withheld</b>	<b>Form 1040, Line 16</b>	8	Tax-Exempt Interest	Form 1040, Line 2a
5	Section 199A Dividends	See Instructions	9	Specified Private Activity Bond Interest	See Instructions for Form 6251
6	Investment Expenses	See Instructions	10	Market Discount	See Instructions
7	Foreign Tax Paid	Form 1116 &/or Sched. 3, Line 48	11	Bond Premium	See Instructions
8	Foreign Country or U.S. Possession	See Instructions	12	Bond Premium on Treas. Obligations	See Instructions
9	Liquidation Distributions Cash	See Instructions	13	Bond Premium on Tax-Exempt Bond	See Instructions
10	Liquidation Distributions Non-Cash	See Instructions	14	Tax-Exempt/Tax Credit Bond CUSIP No.	See Instructions
11	Exempt-Interest Dividends	Form 1040, Line 2a			
12	Spec. Private Activity Bond Int. Div.	See Instructions for Form 6251			

Summary of 2018 Original Issue Discount Items			Summary of 2018 Sales Proceeds		
		Amount			Amount
Original Issue Discount	See Publication 1212	0.00	Sales Proceeds	See Form 8949	55,310,197.02
Market Discount	See Publication 1212	0.00	<b>Federal Income Tax Withheld</b>	<b>Form 1040, Line 16</b>	<b>0.00</b>
Acquisition Premium	See Publication 1212	0.00			
OID on U.S. Treasury Obligations	See Publication 1212	0.00			
Tax-Exempt Original Issue Discount	See Publication 1212	0.00			
Amounts of Original Issue Discount are individually reported to the IRS. Refer to the 2018 Original Issue Discount detail section of this statement.			Gross Proceeds from each of your 2018 securities trades are individually reported to the IRS. Refer to the 2018 Proceeds from Broker and Barter Exchange Transactions detail section of this statement.		

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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.

You may reach a Tax Representative at 800.637.6326.

Merrill Lynch, Pierce, Fenner & Smith Incorporated (MLPF&S) is a registered broker-dealer and wholly owned subsidiary of Bank of America Corporation Member, Securities Investor Protection Corporation (SIPC)



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MR FARIS SABRI AZZOUNI

## 2018 TAX REPORTING STATEMENT

Form 1099-MISC	2018 Miscellaneous Income	(OMB NO. 1545-0115)	Amount
2	Royalties	Sched. E, Line 4	0.00
3	Other Income	Sched. 1, Line 21	600.00
4	<b>Federal Income Tax Withheld</b>	<b>Form 1040, Line 16</b>	<b>0.00</b>
8	Sub. Payments in Lieu of Div. or Int.	Sched. 1, Line 21	0.00

Distributions and Charges*		Amount
Limited Partnership Income	.....	0.00
Non-Reportable Dividends and Interest	.....	0.00
Non-Reportable Tax-Exempt Interest	.....	0.00
Taxable Muni Accrued Int. Paid	.....	0.00
Non-Tax Muni Accrued Int. Paid	.....	0.00
Other Accrued Interest Paid	.....	0.00
Margin Interest	.....	15,019.52
Non-Reportable Distribution Expenses	.....	0.00
Excess Bond Premium	.....	0.00
Additional Bond Premium	.....	0.00

\*Dollar amounts above may reflect as net, please review the detail section to determine impact. This information is not reported to the IRS, consult with your Tax Advisor for more information.

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## INSTRUCTIONS FOR RECIPIENT OF FORMS 1099, COPY B - READ CAREFULLY

The amounts listed on Forms 1099-DIV, 1099-INT, 1099-MISC, 1099-OID and 1099-B represent dividends, interest, miscellaneous income, original issue discount and/or gross proceeds payments made or credited to your account during the calendar year.

If you are an investor in a limited partnership, information concerning your distributive share of the partnership's taxable income or loss (Form 1065, Schedule K-1) will not appear on the Tax Reporting Statement. Such information will be sent to you directly from the limited partnership, for inclusion on your income tax return.

**Nominees** - If your federal Taxpayer Identification Number is shown on this form and includes amounts belonging to another person, you are considered a nominee recipient. You must file and furnish Form 1099-DIV, 1099-INT, 1099-MISC, 1099-OID or 1099-B, as applicable, with the IRS, for each of the other owners to show their share of the income. A husband or wife is not required to file a nominee return to show amounts owned by the other. See the 2018 General Instructions for Certain Information Returns.

**Foreign Tax Paid** - You may be able to claim this foreign tax as a deduction or a credit on Form 1040. See the Instructions for Form 1040. **Foreign country or U.S. possession** will always be displayed as **various**.

**Backup Withholding** - Persons not furnishing their taxpayer identification number (TIN) to the payer become subject to backup withholding on certain payments at a rate of 24%, including dividends, interest, and gross proceeds from dispositions of securities. See Form W-9 for information on backup withholding. **Include this amount on your income tax return as tax withheld.**

**1099-MISC - MISCELLANEOUS INCOME** (OMB No. 1545-0115)

Each royalty trust is required to provide their shareholders with detailed information regarding items of trust income and deductions. Because the information reported to shareholders by the royalty trust includes the information we report to you on Form 1099-MISC, you should be careful not to report this income on your tax return twice.

**Line 1** - Shows the income received from rental property. **Report on Schedule E (Form 1040).** See Publication 527.

**Line 2** - Shows the royalty trust income paid to your account during the tax year. **Report on Schedule E (Form 1040).**

**Line 3** - Generally, report this amount on the "Other Income" line of Form 1040 and identify the payment. The amount shown may be payments you received as the beneficiary of a deceased employee, prizes, awards, taxable damages, or other taxable income. See Publication 525. If it is trade or business income, report this amount on Schedule C or F (Form 1040).

**Line 8** - Shows substitute payments in lieu of dividends or tax-exempt interest received by your broker on your behalf as a result of a loan of your securities. Report on the "Other Income" line of Form 1040.

**1099-DIV - DIVIDENDS AND DISTRIBUTIONS** (OMB No. 1545-0110)

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

**Line 1b** - Shows the portion of the amount on line 1a that may be eligible for reduced capital gains rates. See the Instructions for Form 1040 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 but treat it as a plan distribution, not as investment income, for any other purpose.

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

**Line 2b** - Shows the portion of the amount on line 2a that is unrecaptured section 1250 gain from certain depreciable real property. See the **Unrecaptured Section 1250 Gain Worksheet-Line 19** in the Instructions for Schedule D (Form 1040).

**Line 2c** - Shows the portion of the amount on line 2a that is section 1202 gain from certain small business stock that may be subject to an exclusion. See the Instructions for Schedule D (Form 1040).

**Line 2d** - Shows 28% rate gain from sales or exchanges of collectibles. If required, use this amount when completing the **28% Rate Gain Worksheet-Line 18** in the Instructions for Schedule D (Form 1040).

**Line 3** - Shows the part of the distribution that is nontaxable because it is a return of your cost (or other basis). You must reduce your cost (or other basis) by this amount for figuring gain or loss when you sell your stock. But if you get back all your cost (or other basis), report future distributions as capital gains. See Publication 550.

**Line 5** - Shows dividends eligible for the 20% qualified business income deduction under section 199A. See the Instructions for Form 1040.

**Line 6** - Shows your share of expenses of a nonpublicly offered RIC, generally a nonpublicly offered mutual fund. This amount is included on line 1a.

**Lines 9 and 10** - Shows cash and noncash liquidation distributions.

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

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



Account No.Taxpayer No.Page

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MR FARIS SABRI AZZOUNI

**2018 TAX REPORTING STATEMENT****1099-INT - INTEREST INCOME**

(OMB No. 1545-0112)

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 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.

**Line 1** - Shows taxable interest paid to you during the calendar year by the payer. This does not include interest shown on line 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 2018 on the credit allowance dates (March 15, June 15, September 15, and December 15). For more information, see Form 8912.

**Line 3** - Shows interest on U.S. Savings Bonds, Treasury bills, Treasury bonds, and Treasury notes. This may or may not be taxable. See Publication 550. This interest is exempt from state and local income taxes. **This interest is not included on line 1.**

**Line 5** - Any amount shown is your share of investment expenses of a single-class REMIC. This amount is included on line 1.

**Line 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. This amount may be subject to backup withholding. See line 4.

**Line 9** - Shows tax-exempt interest subject to the alternative minimum tax. This amount is included on line 8. See the Instructions for Form 6251.

**Line 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. Report the accrued market discount on your income tax return as directed in the Instructions for Form 1040. Market discount on a tax-exempt security is includible in taxable income as interest income.

**Line 11** - For a taxable 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 on this line, see the Instructions for Form 1040 (Schedule B). If the amount on this line is greater than the amount of interest paid on the covered security, see Regulations section 1.171-2(a)(4).

**Line 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 on this line, see the Instructions for Form 1040 (Schedule B). If the amount on this line is greater than the amount of interest paid on the U.S. Treasury obligation, see Regulations section 1.171-2(a)(4).

**Line 13** - For a tax-exempt covered security, shows the amount of premium amortization allocable to the interest payment(s). If the amount on this line 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).

**Line 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.

**1099-OID - ORIGINAL ISSUE DISCOUNT**

(OMB No. 1545-0117)

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 covered security acquired with acquisition premium, your payer generally must report a gross amount for both the OID and the acquisition premium amortization for the year. For a noncovered security acquired with acquisition premium, your payer is only required to report the gross amount of OID.

**Line 1** - Shows the OID on a taxable obligation for the part of the year you owned it. Report the amount on line 1 as interest income on your income tax return. However, depending on the type of debt instrument, the issue or acquisition date, and other factors (for example, if you paid acquisition or bond premium, or the obligation is a stripped bond or coupon), you may have to figure the correct amount of OID to report on your return. See Publication 1212 for details on how to figure the correct OID.

**Line 5** - For a covered security acquired with OID, 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. For a tax-exempt obligation that is a covered security acquired on or after January 1, 2017, and issued with OID, shows the market discount that accrued on the obligation during the year while held by you. Report the accrued market discount on your income tax return as directed in the Instructions for Form 1040. Market discount on a tax-exempt security is includible in taxable income as interest income.

**Line 6** - For a taxable covered security, shows the amount of acquisition premium amortization for the year that reduces the amount of OID that is included as interest on your income tax return. If an amount is reported on this line, see the Instructions for Form 1040 (Schedule B). If there is an amount on both lines 6 and 11, for a tax-exempt obligation that is a covered security acquired on or after January 1, 2017, and issued with OID, the amount on line 6 shows the amount of acquisition premium amortization for the year that reduces the amount of your tax-exempt OID for the year.

**Line 8** - Shows OID on a U.S. Treasury obligation for the part of the year you owned it. Report this amount as interest income on your federal income tax return, and see Publication 1212 to figure any appropriate adjustments to this amount. This OID is exempt from state and local income taxes and is not included on line 1.

**Line 11** - For a tax-exempt obligation that is a covered security acquired on or after January 1, 2017, shows the tax-exempt OID on the obligation for the part of the year you owned it. In general, report the amount of tax-exempt OID on Form 1040.

**1099-B - PROCEEDS FROM BROKER AND BARTER EXCHANGE TRANSACTIONS**

(OMB-1545-0715)

**Applicable check box on Form 8949.** Indicates where to report this transaction on Form 8949 and Schedule D, and which check box is applicable. See the Instructions for Schedule D and/or Form 8949.

**Code A** - Indicates a short-term transaction for which the cost or other basis is being reported to the IRS.

**Code B** - Indicates a short-term transaction for which the cost or other basis is not being reported to the IRS.

**Code D** - Indicates a long-term transaction for which the cost or other basis is being reported to the IRS.

**Code E** - Indicates a long-term transaction for which the cost or other basis is not being reported to the IRS.

**Code X** - Indicates a transaction for which the holding period is unknown.

**Line 1a** - Shows a brief description of the item or service for which amounts are being reported.

**Line 1b** - This line may be blank if line 5 is noted 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.

**Line 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.

**Line 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 line does not include proceeds from regulated futures contracts or Section 1256 option contracts. Report this amount on Form 8949 or on Schedule D (whichever is applicable) as explained in the Instructions for Schedule D.

**Line 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 line 5 is noted, line 1e may be blank. See the Instructions for Form 8949, Instructions for Schedule D, or Publication 550 for details.

**Line 1f** - Shows the amount of accrued market discount. For details on market discount, see the Instructions for Schedule D (Form 1040), Instructions for Form 8949, and Publication 550. If line 5 is noted, line 1f may be blank.

**Line 1g** - Shows the amount of nondeductible loss in a wash sale transaction. For details on wash sales, see the Instructions for Schedule D (Form 1040), Instructions for Form 8949, and Publication 550. If line 5 is noted, line 1g may be blank.

**Line 3** - If noted, the basis on line 1e has been reported to the IRS and line 2 must be noted. If line 3 is noted on Form(s) 1099-B and NO adjustment is required, see the Instructions for your Schedule D as you may be able to report your transaction directly on Schedule D. If Ordinary is noted on line 2, an adjustment may be required.

**Line 5** - If noted, the securities sold were noncovered securities and lines 1b, 1c, 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.

**Line 6** - If the exercise of a noncompensatory option resulted in a sale of a security, indicates whether the amount on line 1d was adjusted for premium.

**Line 7** - If noted, you cannot take a loss on your tax return based on gross proceeds from a reportable change in control or capital structure reported on line 1d. See the Form 8949 and the Instructions for Schedule D. The broker should advise you of any losses on a separate statement.

**Line 12** - If applicable, this is noted on Form(s) 1099-B.

QuestQuantum™

**Taxpayer No.**

Page

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## 2018 TAX REPORTING STATEMENT

**2018 PROCEEDS FROM BROKER & BARTER EXCHANGE TRANSACTIONS**

(OMB.NO. 1545-0715)

a. Description of Property	1b. Date Acquired	1c. Date Sold or Disposed	1d. Proceeds	1e. Cost Basis	1f. Accrued Market Discount	1g. Wash Sale Loss Disallowed	Gain or Loss
ALPHABET INC SHS CL C	CUSIP Number	02079K107					
500.0000 Sale	12/18/18	12/18/18	519,993.24	513,771.34	0.00	0.00	6,221.90
500.0000 Sale	12/18/18	12/18/18	522,493.21	518,500.00	0.00	0.00	3,993.21
500.0000 Sale	12/26/18	12/26/18	506,133.17	505,000.00	0.00	0.00	1,133.17
500.0000 Short Sale	12/28/18	12/28/18(s)	522,493.21	519,928.68	0.00	0.00	2,564.53
500.0000 Sale	12/28/18	12/31/18	521,358.27	520,000.00	0.00	0.00	1,358.27
<b>Security Subtotal</b>			<b>2,592,471.10</b>	<b>2,577,200.02</b>	<b>0.00</b>	<b>0.00</b>	<b>15,271.08</b>

QuestQuantum™

Faris Azzouni

RECEIVED

JUL 08 2024

KURTZMAN CARSON CONSULTANTS

Retail



90030

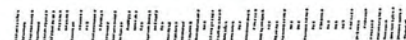
RDC 99

U.S. POSTAGE PAID  
FCM LG ENV  
NEWTON, KS 67114  
JUL 03, 2024

**\$2.35**

S2324E501587-32

ALPHABET SECURITIES  
SETTLEMENT  
Claims Administrator  
c/o Gilardi & Co. LLC  
P.O. Box 301175  
Los Angeles, CA  
90030-1175





June 26, 2024

*Alphabet Securities Settlement*

Claims Administrator  
c/o Gilardi & Co. LLC  
PO Box 301175  
Los Angeles, CA 90030-1175

Re: Claim Number: ALPA-10005711-7, In re Alphabet, Inc. Securities  
Litigation, No. 3:18-cv-06245-TLT

Dear Sir/Madam:

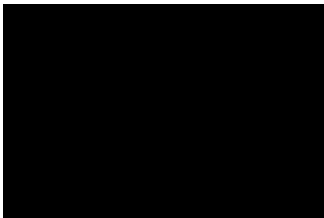
I have submitted a claim but wish to lodge an objection to the proposed award of attorney's fees which I believe to be excessive, unreasonable, and not in the best interest of class members. An award of this amount (19% or \$66.5 million) on its face appears disproportionate to the work necessary to achieve this settlement and, in short, is a windfall. Fees of this magnitude, of course, are of no concern to the Defendant, because they are of no added cost (the same is true for the requested expenses), but they are of immense importance to the class members. These fees will come out of the pockets of the class members. Moreover, an award in the requested amount would be an affront to the civil justice system and further tarnish the reputation of the legal profession.

I urge the Court to exercise its oversight responsibilities and significantly reduce the fees to an appropriate amount.

Respectfully,



Richard A. Hauser



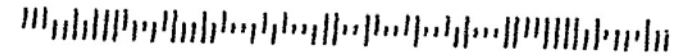
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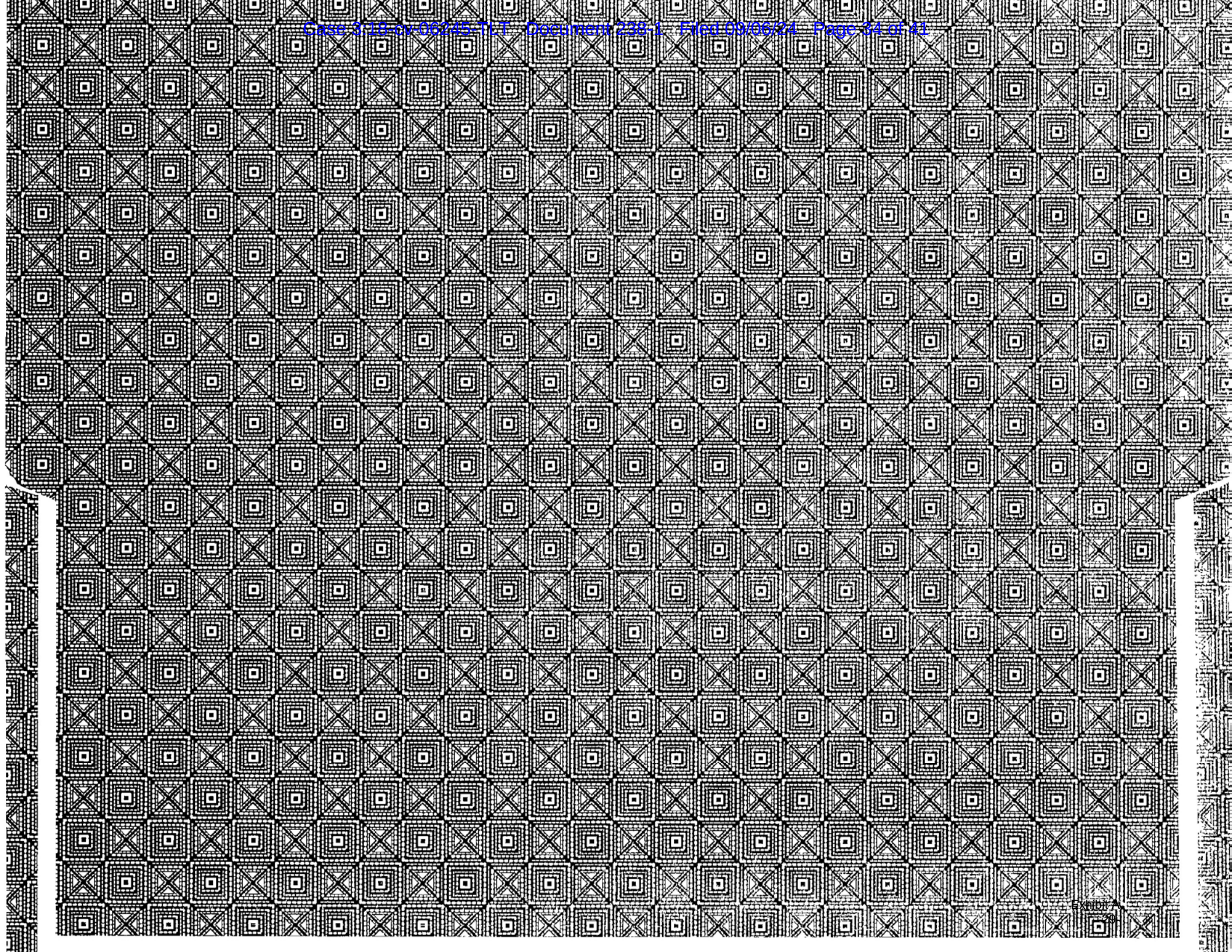
KURTZMAN CARSON CONSULTANTS

Claims Administrator  
Alphabet Securities Settlement  
Gilardi & Co. LLC  
P.O. Box 301175  
Los Angeles, CA 90030-1175

90030-117575









June 27, 2024

Claims Administrator  
Alphabet Securities Settlement  
c/o Gilardi & Co. LLC  
P.O. Box 301175  
Los Angeles, CA 90030-1175  
Priority Mail

Re: In re Alphabet, Inc. Securities Litigation, No. 3:18-cv-06245-TLT  
OBJECTION TO CLAIMED ATTORNEY FEES

**NAME CONTACT DETAILS OF OBJECTOR**

My name is Larry D. Killion, [REDACTED]  
(email), [REDACTED] (mobil).

**OBJECTOR STATUS AS SETTLEMENT CLASS MEMBER**

I am a member of the Settlement Class in the captioned class action lawsuit settlement by virtue of my ownership in Alphabet shares during the claim period. Such claim and my status as a Class Member is illustrated in copy of my attached Proof of Claim Form (Claim ID ALPA-40006793-5) filed with the Claims Administrator which further illustrates the number of shares of Alphabet Class A and/or Class C shares that I (1) owned as of the opening of trading on April 23, 2018, and (2) purchased, acquired, and/or sold during the Settlement Class Period, as well as the dates and prices for each such purchase, acquisition, and sale.

**NO ATTENDANCE AT SETTLEMENT HEARING**

I nor any representative of me do not plan on attending the Settlement Hearing.

**PRIOR TWO YEAR CLASS ACTION OBJECTION STATEMENT**

I have filed objections to claimed attorney's fees in the past two years to other class action settlements.

**ATTORNEY FEE OBJECTION**

I object to the proposed attorney fee *not to exceed* 19% (\$66,500.00.00) of the Settlement Amount as the high end non-statutory contingency fee claim is unreasonably and unconscionably high (unless the Court substantially reduces this fee structure to a reasonable amount since the request is an "*up to*" submittal).

Counsel should base their fee on defensible court approved reasonable time and hourly rates actually spent on the case and not on the alternative non-statutory contingency fee basis that in non-Class Action lawsuits, counsel's client could otherwise willingly agree as a matter of contract to such fee structure (which I do not so agree).

For each dollar of legal contingency fee requested and paid to counsel, is a dollar less awarded to the victims in the class action suit. Defendant's in this action had no opinion on the attorney fee request since it is taken out of the Settlement Fund, and therefore not an additional cost to Defendants.

The genesis of broadly written securities fraud laws, often such fraud claims based on debatable casual facts and assumptions, were legislatively developed by the people's elected representatives to protect people investor's from securities fraud, find a remedy for the fraud victim, and not as a vehicle to spawn huge attorney fee claims.

Security fraud cases, except in the rare obviously non-contestable factual circumstance, are quantitatively and often qualitatively assessed by non-lawyer experts and not by lawyers. Lead Counsel's additional claim for expenses of \$1,750,000 will undoubtedly encompass the cost of relevant non-lawyer security fraud experts and administrators, which for all practical purposes form the fundamental platform on which the security fraud is assessed. The court is requested to balance as part of it's attorney fee reasonableness assessments, the \$1,750,000 expense price of this essential fundamental and substantively defended expert testimony undertaking against the advocates claim of \$66,500,000.

Lawyers are ethically obligated to charge only "reasonable"—and not excessive—fees. A contingency fee is calculated depends on the written contract between the lawyer and the client. The judiciary's job is to assess the reasonableness of a fee if so challenged. Only in probate and bankruptcy cases are *statutory fees* determined by the court.

U.S.C. 78u-4(a)(4) is not a statutory contingency fee mandate but a conventional obligation for attorney's to charge only reasonable costs (fees) and expenses. Except for a few Class Members (representative plaintiffs), the class action Class Members did not enter into a written contingency fee contract with counsel. To force or cram down Class Members to accept such contingency fee terms as a condition of participating in a class action lawsuit settlement or litigation, is in the nature of a non-statutory fee adhesion contract, take it or leave it, and an unreasonable circumstance to impose on class members. A class member could opt out of the class action and pursue its own claim – but that defeats and is contrary to the statutory merits of a class action lawsuit where small claims are banned together to rationally advance the cause of justice. Class action lawsuits should be about seeking justice...and not about defending the structure of an attorney fee arrangement.

Model Rules of Professional Conduct 1.5(c) requires a contingency fee agreement to be in writing signed by the client, that it state the method by which the fee is to be determined and must clearly notify the client of any expenses for which the client will be liable, among other mandates. Upon the conclusion of a contingent fee matter, the lawyer is required to provide the client with a written statement stating the outcome of the matter. The model rules prohibit such fees agreed between lawyers and their clients in domestic relations and criminal matters. This objector believes such rule should be expanded to include class action law suits.



Advocates of contingency fees contend that contingency fees: (1) improve access for indigent clients by enabling people who could not otherwise afford counsel to assert their claims; (2) provide incentive for attorneys to seek client success; and (3) enable clients to shift risk of losing to the lawyer.

Critics of contingency fees assert that contingency fees: (1) encourage too many frivolous suits; (2) incentivize contingent fee lawyers to settle too soon and for too little; and that (3) contingent fees are usually too high relative to the risks that attorneys bear in a particular case. In addition, in class action lawsuits, the real victims of a case receive a mere pittance compared to fees paid to attorneys.

**INCENTIVE AWARD AND SERVICE AWARD OBJECTION**

I object to the proposed multiple \$10,000 incentive award and Service Award payments as being unfair, discriminatory in relation to all other Settlement Class members and is in the nature of a bounty fee that encourages litigation instead of seeking justice. Also such arrangement is in the nature of a legal fee arrangement with a non-lawyer, which is prohibited by legal ethics rules.

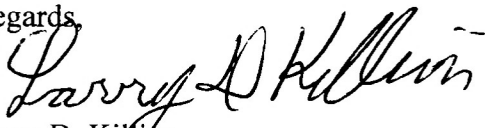
**OBJECTION APPLIES TO ENTIRE SETTLEMENT CLASS**

My objections apply to the entire Settlement Class.

**ETHICAL LEGAL REPRESENTATION OBLIGATIONS**

I request the Court take into account that since Lead Counsel represents me and all Settlement Class members in this matter, that any rebuttable to my objection by Lead Counsel take into account Lead Counsel's legal ethics duty to represent me and all Settlement Class members in regard to our best interests.

Regards,



Larry D. Killion

# Alphabet Securities Settlement Proof of Claim

## Claimant Information:

Claim ID:	ALPA-40006793-5
First Name (Beneficial Owner):	Larry
Last Name (Beneficial Owner):	Killion
First Name (Co-Beneficial Owner):	
Last Name (Co-Beneficial Owner):	
Account Type:	Individual
Company Name:	Consultant/Retired
Trustee/Asset Manager/ Nominee/Record Owner's Name:	Merrill Lynch
Account#/Fund#:	
Social Security Number:	
Taxpayer Identification Number:	
Telephone Number (Work):	
Telephone Number (Home):	
Email Address:	
Claimant Address:	

## Holdings

Date	Number of Shares	Proof of Holding
April 22, 2018	7.0000	Y
April 30, 2019	15.0000	Y
July 26, 2019	15.0000	Y



LARRY D KILLION  
PLEGGED TO ML LENDER

## WEALTH MANAGEMENT REPORT

November 30, 2019 - December 31, 2019

### SUMMARY

December 31

November 29

Month Change

If you have questions on your statement,  
call 24-Hour Assistance:  
(800) MERRILL  
(800) 637-7455

Investment Advice and Guidance:  
Call Your Financial Advisor

Your Financial Advisor:  
JOHANSEN PETRAUSKAS & ASSOCIATES  
9595 SIX PINES DR SUITE 8380  
WOODLANDS TEXAS 77380  
1 800 477-3046

Up to date account information can be viewed  
at [www.mymerrill.com](http://www.mymerrill.com) where your statements

PIA TEMOD

Account Number

24-Hour Assistance: (800) MERRILL

### YOUR CMA ASSETS

November 30, 2019 - December 31, 2019

#### EQUITIES

ALPHABET INC SHS CLA

Symbol Acquired

GOOGL

01/31/19

Quantity Unit  
Cost Basis

8.0000 1,122.2375

Total Estimated  
Cost Basis Market Price

8,977.90 1,339.3900

Estimated  
Market Value

10,715.12

Unrealized  
Gain/(Loss) Annual Income

1,737.22

PIA TEMOD

Account Number: [REDACTED]

24-Hour Assistance: (800) MERRILL

## YOUR CMA ASSETS

May 01, 2018 May 31, 2018

EQUITIES Description	Symbol	Acquired	Quantity	Unit Cost Basis	Total Cost Basis	Estimated Market Price	Estimated Market Value	Unrealized Gain/(Loss)	Estimated Current Annual Income	Yield %
Subtotal			57		5,707.07		7,700.00			
ALPHABET INC SHS CL A	GOOGL	05/10/16	3	739.5633	2,218.69	1,100.0000	3,300.00	1,081.31		
		06/13/17	3	965.8800	2,897.64	1,100.0000	3,300.00	402.36		
		04/02/18	1	998.7900	998.79	1,100.0000	1,100.00	101.21		
Subtotal			7		6,115.12		7,700.00	1,584.88		

GOOGL shares held as of April 12, 2018

GOOGL shares held as of April 30, 2019

PIA TEMOD

Account Number: [REDACTED]

24-Hour Assistance: (800) MERRILL

## YOUR CMA ASSETS

May 01, 2019 May 31, 2019

EQUITIES Description	Symbol	Acquired	Quantity	Unit Cost Basis	Total Cost Basis	Estimated Market Price	Estimated Market Value	Unrealized Gain/(Loss)	Estimated Current Annual Income	Yield %
ALPHABET INC SHS CL A	GOOGL	05/10/16	3	739.5633	2,218.69	1,106.5000	3,319.50	1,100.81		
		06/13/17	3	965.8800	2,897.64	1,106.5000	3,319.50	421.86		
		04/02/18	1	998.7900	998.79	1,106.5000	1,106.50	107.71		
		01/31/19	8	1,122.2375	8,977.90	1,106.5000	8,852.00	(125.90)		
Subtotal			15		15,093.02		16,597.50	1,504.48		

GOOGL shares held as of July 24, 2019

PIA TEMOD

Account Number: [REDACTED]

24-Hour Assistance: (800) MERRILL

## YOUR CMA ASSETS

August 01, 2019 August 30, 2019

EQUITIES Description	Symbol	Acquired	Quantity	Unit Cost Basis	Total Cost Basis	Estimated Market Price	Estimated Market Value	Unrealized Gain/(Loss)	Estimated Current Annual Income	Yield %
ALPHABET INC SHS CL A	GOOGL	05/10/16	3.0000	739.5633	2,218.69	1,190.5300	3,571.59	1,352.90		
		06/13/17	3.0000	965.8800	2,897.64	1,190.5300	3,571.59	673.95		
		04/02/18	1.0000	998.7900	998.79	1,190.5300	1,190.53	191.74		

Exhibit A

PRESS FIRMLY TO SEAL



PRESS FIRMLY TO SEAL

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Mr. Larry Killion

TO:

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