

STOCK SALES, RSU, ESPP & ISO

FOR CORPORATE EMPLOYEES, EXECUTIVES, AND TECH PROFESSIONALS

Stock compensation can be one of the most powerful components of your financial strategy—but it also carries some of the most complex tax rules.

To ensure accurate reporting and prevent IRS mismatch notices, please use this worksheet to summarize each type of stock activity and upload the supporting documents listed below.

Infinity will use this information to confirm cost basis, identify qualified vs. nonqualified dispositions, report AMT impact (if applicable), and ensure your stock comp is filed correctly.

📌 **RSUs (Restricted Stock Units)**

RSUs are generally taxed as ordinary income on the vest date. Tracking vesting details helps us confirm income reporting and cost basis for shares sold later.

Use the table below to help track RSUs. (You may also upload your own spreadsheet—clarity is what matters most.)

Purchase Date	Purchase Price	Sale Date	Sale Price	Shares Sold	Notes

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✦ **ESPP (Employee Stock Purchase Plan)**

ESPP sales have two possible tax treatments:

- Qualified disposition (favorable long-term capital gains rules)
- Nonqualified disposition (ordinary income + potential capital gains)

The details below allow Infinity to classify sales correctly.

Purchase Date	Purchase Price	Sale Date	Sale Price	Shares Sold	Notes

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✦ **ISOs (Incentive Stock Options)**

ISOs may trigger Alternative Minimum Tax (AMT) when exercised. We will need full documentation to calculate any AMT impact and confirm whether a later sale is qualifying or disqualifying.

Use the table below to help track ISOs. (You may also upload your own spreadsheet—clarity is what matters most.)

Grant Date	Exercise Date	Exercise Price	FMV at Exercise	Shares Sold	Notes

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WHAT TO UPLOAD

Please upload all pages—even blank or summary pages—as they often include essential tax details.

- ✓ Full 1099-B (showing sales, cost basis, adjustments, and wash sale details)
- ✓ Vesting schedules for RSUs
- ✓ Exercise confirmations for ISOs and NSOs
- ✓ ESPP purchase and sale confirmations
- ✓ Pay stubs showing stock compensation withholding
- ✓ Employer-provided annual stock compensation summary
- ✓ Transaction history from your brokerage (Fidelity, Schwab, E*TRADE, Morgan Stanley, etc.)

IMPORTANT – COST BASIS CLARIFICATION

Brokerage statements often report incomplete or incorrect cost basis for:

- RSU sales
- ESPP sales
- ISO exercises
- Shares transferred between firms
- Older awards with missing historical data

If your cost basis is missing or incorrect, Infinity will calculate the adjusted basis using your documentation.

This helps prevent IRS mismatch notices and avoids overpayment of capital gains tax.