



Luke and Jen Smith

STOCK OPTIONS
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Stock Options / Grants

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Stock Options/Grants Value

Base Facts

Prepared for Luke and Jen Smith

The Stock Options/Grants Value report shows, for the specified period, the value of the vested shares for Incentive Stock Options, Non-Qualified Stock Options and Restricted Stock Plans. The report reflects the exercise/sell strategy chosen for the option plan upon selection of a calendar year.

STOCK OPTION PLAN - GE (TICKER: GE - MARKET PRICE: \$15.76)

Market Price is based on an initial price of \$15.76 with an assumed growth rate of 3.52%.

Owner: Luke Smith

Grant Number	Grant Type	Grant Date	Expiration Date	Exercise Price	Shares Granted	Shares Vested	Shares Exercised	Shares Exercisable	Market Value	Exercise Cost	Profit Before Tax
GE 1234	ISO	1/1/2009	1/1/2019	\$5.00	4,000	1,000	0	1,000	\$15,760	\$5,000	\$10,760
GE 5678	ISO	1/1/2010	1/1/2020	\$6.00	4,000	0	0	0	\$0	\$0	\$0
Totals:					8,000	1,000	0	1,000	\$15,760	\$5,000	\$10,760

Values reported as "--" denotes shares that are "underwater".

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Stock Options/Grants Vesting Schedule

Base Facts

Prepared for Luke and Jen Smith

The Stock Options/Grants Vesting Schedule report shows the vesting schedule for Incentive Stock Options, Non-Qualified Stock Options and Restricted Stock Plans. This vesting schedule also shows, for the period specified, shares exercised and shares exercisable according to the exercise/sell strategy you have chosen.

STOCK OPTION PLAN - GE (TICKER: GE - MARKET PRICE: \$15.76)

Market Price is based on an initial price of \$15.76 with an assumed growth rate of 3.52%.

Owner: Luke Smith

Grant Number	Grant Type	Grant Date	Expiration Date	Shares Granted	Shares	Shares	2011	2012	2013	2014
					Exercised as of 12/31/2010	Exercisable as of 12/31/2010				
GE 1234	ISO	1/1/2009	1/1/2019	4,000	0	1,000	1,000	1,000	1,000	0
GE 5678	ISO	1/1/2010	1/1/2020	4,000	0	0	1,000	1,000	1,000	1,000
Totals:				8,000	0	1,000	2,000	2,000	2,000	1,000

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Stock Options/Grants Activity Forecast

Base Facts (All Years)

Prepared for Luke and Jen Smith

The Stock Options Activity Forecast report shows the projected exercise of options and sale of stock according to the strategy you have chosen for your Incentive Stock Options, Non-Qualified Stock Options and Restricted Stock Plans.

Year	Owner	Plan Name	Grant Number	Grant Type	Grant Date	Shares Exercised	Exercise Price	Exercise Costs	Shares Sold	Sale Price	Proceeds	Net Cash
2010	Luke Smith	Stock Option Plan - GE (GE)	GE 1234	ISO	1/1/2009	1,000	\$5.00	\$5,000	0	\$16.31	\$0	(\$5,000)
Totals:								\$5,000			\$0	(\$5,000)
Total Option Income Tax:												\$0
Total After Tax:												(\$5,000)

Year	Owner	Plan Name	Grant Number	Grant Type	Grant Date	Shares Exercised	Exercise Price	Exercise Costs	Shares Sold	Sale Price	Proceeds	Net Cash
2011	Luke Smith	Stock Option Plan - GE (GE)	GE 1234	ISO	1/1/2009	1,000	\$5.00	\$5,000	1,000	\$16.88	\$16,880	\$11,880
	Luke Smith	Stock Option Plan - GE (GE)	GE 5678	ISO	1/1/2010	1,000	\$6.00	\$6,000	0	\$16.88	\$0	(\$6,000)
Totals:								\$11,000			\$16,880	\$5,880
Total Option Income Tax:												(\$9,223)
Total After Tax:												(\$3,343)

Year	Owner	Plan Name	Grant Number	Grant Type	Grant Date	Shares Exercised	Exercise Price	Exercise Costs	Shares Sold	Sale Price	Proceeds	Net Cash
2012	Luke Smith	Stock Option Plan - GE (GE)	GE 1234	ISO	1/1/2009	1,000	\$5.00	\$5,000	1,000	\$17.47	\$17,470	\$12,470
	Luke Smith	Stock Option Plan - GE (GE)	GE 5678	ISO	1/1/2010	1,000	\$6.00	\$6,000	1,000	\$17.47	\$17,470	\$11,470

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Totals: \$11,000 \$34,940 \$23,940
Total Option Income Tax: **(\$12,448)**

Total After Tax: **\$11,492**

Year	Owner	Plan Name	Grant Number	Grant Type	Grant Date	Shares Exercised	Exercise Price	Exercise Costs	Shares Sold	Sale Price	Proceeds	Net Cash
2013	Luke Smith	Stock Option Plan - GE (GE)	GE 1234	ISO	1/1/2009	1,000	\$5.00	\$5,000	1,000	\$18.08	\$18,080	\$13,080
	Luke Smith	Stock Option Plan - GE (GE)	GE 5678	ISO	1/1/2010	1,000	\$6.00	\$6,000	1,000	\$18.08	\$18,080	\$12,080

Totals: \$11,000 \$36,160 \$25,160
Total Option Income Tax: **(\$14,038)**

Total After Tax: **\$11,122**

Year	Owner	Plan Name	Grant Number	Grant Type	Grant Date	Shares Exercised	Exercise Price	Exercise Costs	Shares Sold	Sale Price	Proceeds	Net Cash
2014	Luke Smith	Stock Option Plan - GE (GE)	GE 1234	ISO	1/1/2009	0	\$5.00	\$0	1,000	\$18.72	\$18,720	\$18,720
	Luke Smith	Stock Option Plan - GE (GE)	GE 5678	ISO	1/1/2010	1,000	\$6.00	\$6,000	1,000	\$18.72	\$18,720	\$12,720

Totals: \$6,000 \$37,440 \$31,440
Total Option Income Tax: **(\$10,912)**

Total After Tax: **\$20,528**

Year	Owner	Plan Name	Grant Number	Grant Type	Grant Date	Shares Exercised	Exercise Price	Exercise Costs	Shares Sold	Sale Price	Proceeds	Net Cash
2015	Luke Smith	Stock Option Plan - GE (GE)	GE 5678	ISO	1/1/2010	0	\$6.00	\$0	1,000	\$19.38	\$19,380	\$19,380

Totals: \$0 \$19,380 \$19,380
Total Option Income Tax: **(\$3,721)**

Total After Tax: **\$15,659**

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Stock Options/Grants ISO Limitation

Base Facts

Prepared for Luke and Jen Smith

The Stock Options ISO Limitation report shows your future ISO grants, and illustrates how the ISO Limitation rule affects the status of those grants. You are allowed to receive a maximum of \$100,000 in ISO grants in any calendar year, determined on the date of the grant.

Year	Plan Name	Grant Name	Grant Date	Vest Date	Exercise Price	ISO Shares	DQ Shares	ISO Grant Value
2010	Stock Option Plan - GE	GE 1234	1/1/2009	1/1/2010	\$5.00	1,000	0	\$5,000
2011	Stock Option Plan - GE	GE 1234	1/1/2009	1/1/2011	\$5.00	1,000	0	\$5,000
2011	Stock Option Plan - GE	GE 5678	1/1/2010	1/1/2011	\$6.00	1,000	0	\$6,000
2012	Stock Option Plan - GE	GE 1234	1/1/2009	1/1/2012	\$5.00	1,000	0	\$5,000
2012	Stock Option Plan - GE	GE 5678	1/1/2010	1/1/2012	\$6.00	1,000	0	\$6,000
2013	Stock Option Plan - GE	GE 1234	1/1/2009	1/1/2013	\$5.00	1,000	0	\$5,000
2013	Stock Option Plan - GE	GE 5678	1/1/2010	1/1/2013	\$6.00	1,000	0	\$6,000
2014	Stock Option Plan - GE	GE 5678	1/1/2010	1/1/2014	\$6.00	1,000	0	\$6,000

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Stock Options/Grants Tax Impact

Base Facts

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The Stock Options Tax Impact report illustrates the projected income and capital gains generated by your Incentive Stock Options, Non-Qualified Stock Options and Restricted Stock Plans, and the impact upon your projected federal income, state and local taxes.

Year	Earned Income from Options / Grants	Capital Gains from Options / Grants	Total Income & Capital Gains from Options / Grants	ISO	Federal	State	Local	Capital	Total	Net Option
				Exercise	Income Tax	Income Tax	Income Tax	Gains Tax	Option Income Tax	Income
2010	\$0	\$0	\$0	\$11,310	\$0	\$0	\$0	\$0	\$0	\$0
2011	0	11,880	11,880	22,760	6,372	356	119	2,376	9,223	2,657
2012	0	23,940	23,940	23,940	6,703	718	239	4,788	12,448	11,492
2013	0	25,160	25,160	25,160	7,045	755	252	5,032	14,038	11,122
2014	0	26,440	26,440	12,720	3,562	793	264	5,288	10,912	15,528
2015	0	13,380	13,380	0	0	401	134	2,676	3,721	9,659
Totals:			100,800						50,342	50,458

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Stock Options/Grants Strategy Details

Base Facts

Prepared for Luke and Jen Smith

The Stock Options/Grants Strategy Details report provides a high-level view of your overall strategy relating to your option plan. It reflects the vest date, exercise year, and sale year for each of your grants. If a grant has multiple vesting periods, the report reflects the information for each vesting period.

STOCK OPTION PLAN - GE

GE 1234: ISO

Total Shares: 4,000

Grant Date: 1/1/2009 Exercise Price: \$5.00

Date Vested	Shares	Shares Exercised	Shares Sold	Exercisable Shares	Exercise *	Sell *
1/1/2010	1,000	0	0	1,000	As soon as possible	As soon as possible, as qualified
1/1/2011	1,000	0	0	1,000	As soon as possible	As soon as possible, as qualified
1/1/2012	1,000	0	0	1,000	As soon as possible	As soon as possible, as qualified
1/1/2013	1,000	0	0	1,000	As soon as possible	As soon as possible, as qualified

GE 5678: ISO

Total Shares: 4,000

Grant Date: 1/1/2010 Exercise Price: \$6.00

Date Vested	Shares	Shares Exercised	Shares Sold	Exercisable Shares	Exercise *	Sell *
1/1/2011	1,000	0	0	1,000	As soon as possible	As soon as possible, as qualified
1/1/2012	1,000	0	0	1,000	As soon as possible	As soon as possible, as qualified
1/1/2013	1,000	0	0	1,000	As soon as possible	As soon as possible, as qualified
1/1/2014	1,000	0	0	1,000	As soon as possible	As soon as possible, as qualified

* Please discuss exercise and sell strategy considerations specific to your financial situation with your tax advisor.

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