Form **3922**
(Rev. Oct. 1968)
U.S. Treasury Department
Internal Revenue Service

Transfer of Stock Acquired by Certain Options

(U.S. Information Return Under section 6039(a)(2) of the Internal Revenue Code)

For calendar year 19.....

Copy A
For Internal Revenue Service

1. Corporation Whose Stock is Being Transferred

a. Name and address (including ZIP code)

b. Employer identification number

2. Transferor

a. Name and address (including ZIP code)

b. Identifying number:

3. Date stock was transferred to transferor

4. Number of shares to which title is being transferred

5. Place an "X" in the appropriate box to indicate whether the stock was acquired by option under:

a. Employee stock purchase plan under section 423 . . . . . ☐

b. A restricted stock option under section 424 . . . . . ☐

☆☆☆☆ GPO : 1968—O-319-084

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Copy C
For Corporation's Record

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☆☆☆☆ GPO: 1968—O 319 084

Instructions

Who Must File.—Every corporation which records (or has its agent record) a transfer of the title of stock which was acquired through the exercise, on or after January 1, 1964, of (a) an option which was granted under an employee stock purchase plan described in section 423(b) and to which the rule in section 423(c) (where option price is between 85 percent and 100 percent of value of stock) applies, or (b) a restricted stock option described in section 424(b) and to which the rule in section 424(c)(1) (where option price is between 85 percent and 95 percent of value of stock) applies. A return is only required for this first recorded transfer of stock. When stock is originally issued to the optionee and another person or persons as joint tenants, or as tenants by the entirety and a stock certificate was not previously actually issued to the optionee as a sole owner, a return is required with respect to the first transfer of the title to such stock (or of his interest therein).

Where To File.—See Form 4067 for list of Internal Revenue Service Centers. Form 4067 is a summary report used to transmit Forms 3921 and 3933 to the Service Centers.

When To File.—This return must be filed for the calendar year on or before February 28 of the following year.

Statement to Transferor.—Every corporation making this return shall furnish a copy to each transferor whose name or identifying number is (or should be) shown on such return.

Time for Furnishing Statement.—The statement required to be furnished to any transferor for a calendar year shall be furnished to him on or before January 31 of the following year.

Extension of Time for Furnishing Statement.—Your District Director, or service center director with whom you file your income tax return, may grant an extension of time not exceeding 30 days in which to furnish such statements. The application must contain a full recital of the reasons for requesting the extension to aid the director in determining the period of the extension, if any, which will be granted. A letter to the director signed by the applicant (or its agent) will suffice as an application. The application must be filed on or before January 31 of the year following the calendar year for which the form is filed.

A statement shall be considered to be furnished to a transferor if it is mailed to him at his last known address.

Identification of Stock.—Every corporation which transfers any share of stock pursuant to the exercise of an option described in section 6039 (a)(2), shall identify such stock in a manner sufficient to enable the accurate reporting of the transfer of record title to such shares. Such identification may be accomplished by assigning to the certificates of stock issued pursuant to the exercise of such options a special serial number, or color.

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