



# Selling Shares in Your Stock Plan Account



Follow the steps below for requesting a transaction to sell your company shares.\*

## Before you place your sale transaction

We recommend that you establish instructions with Fidelity for how you would like to receive your future proceeds. This process takes about four to seven days, so doing this in advance of any future stock sales will save you time. [Click here](#) to review the instructions.

## Requesting a transaction to sell stock

Fidelity  
NetBenefits

Welcome

U.S. Employees   **Outside U.S. Employees**

Username

Password

Remember Me   [Forgot login?](#)

Log In

[Register as a new user](#) | [FAQs](#)

1. Go to **NetBenefits.com** to log in.

*Note: Shares are sold on a first-in, first-out ("FIFO") basis (meaning the oldest shares are sold first) unless, before settlement, you make specific identification of shares to be sold.*

theta Powered by Fidelity

MENU THETA CORP. Profile Contact Us Logout

## Stock Plans Help/Glossary

Language: English | Display Currency: Select Currency

**NEW RSU GRANT ALERT**  
 You have a RSU grant to accept.  
 Accept your grant(s). Post Msg test!!!

Summary Plan & Grant Documents Statements / Records

**Total Value \$283,120.39**

<b>TOTAL GRANT VALUE</b> \$254,670.68	<b>STOCK PLAN ACCOUNT</b> Participant I Number XXXXXXXXX \$28,449.71 ... <a href="#" style="color: white; text-decoration: none; font-size: small;">View Positions &amp; Sell Shares</a>
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2. From the home page, click *Stock Plan Account*.

Screenshots are for illustrative purposes only.

Account Details Withdrawal Preferences Stock Sell History Documents Statements & Records

AS OF 1:04 AM ET FEB/03/2018

**Stock Plan Account Total Assets \$28,449.71 USD**

<b>Total Value of Securities</b> \$18,352.10 USD	<b>Cash</b> \$10,097.61 USD	<b>Credit Balances from Unsettled Activity</b> \$0.00 USD
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Position Summary/Cost Basis Total Number of Positions: 2 AS OF 6:04 AM ET FEB/03/2018

Symbol	Description	Quantity	Closing Price	Closing Mkt Value	Total Cost Basis	Unrealized Gain/Loss	Unrealized	Action
XXXXX	THETA CORP	10,097.6100	\$1.0000 USD	\$10,097.61 USD	Cost basis information is currently unavailable for this			<a href="#" style="color: #0056b3; text-decoration: none;">Withdraw</a>
XXXXX	THETA CORP	130.0000 <a href="#" style="color: #0056b3; text-decoration: none; font-size: small;">View Lots</a>	\$141.1700 USD	\$18,352.10 USD	\$8,000.00 USD	+\$10,352.10 USD		<a href="#" style="color: #0056b3; text-decoration: none;">Sell Request</a> <small>Order status</small>

3. On the *Stock Plan Account Detail* page, select *Sell Request* on the right side of your screen.

Screenshots are for illustrative purposes only.

*Note: Only whole shares will be depleted from each lot. Fractional shares can be held or pooled with other shares to make a whole share.*

THETA CORP. STOCK

\$ **141.17** USD [-] Bid 141.17 x 0  
Ask 141.18 x 0  
Vol 0

+6.35 (-4.30%)

AS OF 4:00 PM ET FEB/02/2018 [C](#)

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**Sell Shares**

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How many?

Enter Quantity ▼

1 Shares

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How do you want to sell?

Market ▼

This is usually the quickest way to cash out.  
Your shares will be sold at the next available

4. Fill in the quantity and order type.  
**Note:** Your company stock symbol will automatically fill into the *Symbol* field.

See [Understanding the Language of Stock Trading](#) on page 6 for helpful information.

**Quantity:** The amount of shares you want to sell. This must be in whole shares only.

**Symbol:** Your company stock ticker symbol will populate automatically.

**Type:** The method that will be used for the transaction.

**Time in Force:** The time limit you want for the transaction.

**Money Transfer:** You can choose to keep the sale proceeds in your stock plan account, or transfer the proceeds.

**Choose Specific Shares:** For tax purposes, you can choose to sell specific shares or "lots." Check this box to advance to that page.

Estimated Value  
**\$141.17 USD**

Fees and commissions will apply.

How do you want your money?

Keep as cash in this account

Transfer to your bank after the shares are sold.  
Transfer fees will apply.

[Preview Order](#)

[Cancel](#)

5. Proceed options will become available based on order type you select.

Screenshots are for illustrative purposes only.

*Note:* Only whole shares will be depleted from each lot. Fractional shares can be held or pooled with other shares to make a whole share.

THETA CORP. STOCK

\$ <b>141.17</b> USD [-]	Bid	141.17 x 0
<b>+ 5.35 (-4.30%)</b>	Ask	141.18 x 0
	Vol	0

AS OF 4:00 PM ET FEB/02/2018

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**Preview**

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**Sell 1 Shares**

Order Type **Market**

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Estimated Value **\$141.17 USD**

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Estimated Sale Fees and Commissions **-\$7.95 USD**

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Estimated Net Value  
**\$133.22 USD**

You'll be able to choose how much to transfer after you place the order.

[Edit order](#)

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**Place Order** 

[Cancel](#)

6. Review information and click *Place Order*.

Screenshots are for illustrative purposes only.

*Note: Only whole shares will be depleted from each lot. Fractional shares can be held or pooled with other shares to make a whole share.*

**THETA CORP. STOCK**

**\$ 141.17** USD [-] Bid 141.17 x 0  
 ↓ -6.35 (-4.30%) Ask 141.18 x 0  
 Vol 0

AS OF 4:00 PM ET FEB/02/2018

[Print](#)

### Confirmation

✔ **Confirmation # B04BDRMB**

**Your order has been received.**

Once your shares are sold, allow 3 business days to settle, and another 7—10 business days to transfer to your bank.

[Show order details](#)

[Show transfer details](#)

[Close](#)

7. A confirmation number will appear, acknowledging that your transaction has been accepted.

Keep a record of the confirmation number for future reference, should you need it.

**Note:** It will take two business days for your transaction to settle. Proceeds are available thereafter and can take an **additional** seven to ten days to process.

**THETA CORP. STOCK**

**\$ 141.17** USD [-] Bid 141.17 x 0  
 ↓ -6.35 (-4.30%) Ask 141.18 x 0  
 Vol 0

AS OF 4:00 PM ET FEB/02/2018

### Transfer

**Your order has been received.**

Once your shares are sold, allow 3 business days to settle, and another 7—10 business days to transfer to your bank.

[Show order details](#)

**Transfer to bank**

ROYAL BANK OF CANADA  
 XXXXXXXXX  
[Details](#)

8. Log in to **NetBenefits.com** and view order status during settlement.

Screenshots are for illustrative purposes only.

## Understanding the Language of Stock Trading

A **lot** refers to the number of shares you purchased in one transaction. For example, if you bought the same stock a few times during the year, you will have purchased multiple lots.

**Positions** refers to the stock you hold in your account for a particular company. For example, if you hold stock in two different companies within your account, you have “two positions.”



### Types of Transactions

**Market orders**—A *market order* instructs Fidelity to buy or sell securities for your account at the next available price. A market order remains in effect only for the day, and usually results in the prompt purchase or sale of all the shares of stock, options contracts, or bonds in question, as long as the security is actively traded and market conditions permit. In a sense, a market order guarantees the actual purchase or sale but not the specific price.†

**Limit orders**—When you place a *limit order to buy*, the stock is eligible to be purchased at or below your limit price, but never above it. A *limit order to sell* sets a minimum price on the sale, meaning it will never sell below this price; however, it could be sold at a higher price. You could say that a limit order guarantees you a price but doesn't guarantee that the market can actually fill your order.

You may place limit orders either for the day on which they are entered (a day order) or for a period that ends when it is executed or when you cancel (an open order or *good 'til canceled (GTC)* order).

**Stop orders**—*Stop orders* are generally used to protect a profit or to prevent further loss if the price of a security moves against you. They can also be used to establish a position in a security if it reaches a certain price threshold or to close a short position. Not all securities or trading sessions (pre- and post-market) are eligible for stop orders.



### Time Limits of Transactions

You can place a time limit on a stock transaction by selecting one of the following time-in-force types:

**Day**—This limitation has a default expiration time of 4:00 p.m. Eastern time (ET). You may select your own order expiration time between 10:00 a.m. ET and 4:00 p.m. ET in 30-minute increments (e.g., 10:00 a.m., 10:30 a.m., 11:00 a.m., etc.). If all or part of your order is not executed by the time you've selected for expiration, your order will be canceled.

**Good 'til canceled (GTC)**—For orders placed on Fidelity.com, this limitation has a default order expiration date of 180 calendar days from the order entry date at 4:00 p.m. ET. You may select your own order expiration date and/or time, up to 180 calendar days from the order entry date. If all or part of your order is not executed by the date and/or time you've selected for expiration, any open portions of your order will be canceled.

**Fill or kill**—Requires that the order is immediately completed in its entirety or canceled. Fill or kill is used only under very special circumstances. If you do not fully understand how to use fill or kill, talk with a Fidelity representative before placing this limitation on an order.

**Immediate or cancel**—Requires that a broker immediately enter a bid or offer at a limit price you specify. All or a portion of the order can be executed. Any portion of the order not immediately completed is canceled.

For further assistance, call a Fidelity Stock Plan Services Representative. Representatives are available Monday through Friday, from 8 a.m. to 8 p.m. local time, excluding holidays of the New York Stock Exchange, except Good Friday. Calling instructions can be found at **Fidelity.com/globalcall**.

Control and Restricted securities must be sold in accordance with Securities and Exchange Commission (SEC) Rule 144 requirements. Additional documentation, approval, and conditions must be met prior to selling, which may limit your ability to sell at a specified time. Stock markets are volatile and can fluctuate significantly in response to company, industry, political, regulatory, market, or economic developments.

**Investing in stock involves risks, including the loss of principal.**

\*Check your plan documents for any rules that may require you to hold your stock for a specified period.

<sup>†</sup>In order to maintain a fair and orderly market, most market centers generally do not accept cancellation requests after 9:28 a.m. Eastern time (ET) for market orders eligible for execution when the market opens at 9:30 a.m. ET. Acceptance of a cancellation request by Fidelity between 9:28 a.m. and 9:30 a.m. ET does not guarantee an order cancellation. All requests to cancel an order are processed on a best-efforts basis.

**System availability and response times may be subject to market conditions.**

Fees will apply to trades. You will also be charged a processing fee for a wire or check, and this fee will be displayed during the transaction. Additionally, for U.S.-dollar conversions, a currency exchange rate fee will be applied.

You can place your orders when markets are open or closed. However, orders placed when the markets are closed are subject to market conditions existing when the markets reopen, unless transactions are made during an extended-hours session.

Fidelity Stock Plan Services, LLC

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