

**Recipient's Name and Address:**

|||  
JOHN Q. PUBLIC  
1234 TOWNLINE STREET  
APT. #1234  
SOMEWHERE, ME 00000-0000

**Your Financial Professional Is:**

ROBERT "CONTACT" ADVISOR  
1234 MAIN STREET  
BOX 1234  
SOMEWHERE, ME 00000-0000  
(XXX) XXX-XXXX  
ID: 123  
Rreemailaddress@flinv.com

**Account Holder Information:**

Account Number: 123-456789  
Account Description:

**General Information**

The following information may be included in this tax statement based on the investments and activity in your account.

- **Reportable Information:** IRS Form 1099-B, 1099-DIV, 1099-INT, 1099-MISC and 1099-OID.
- **Cost Basis:** Realized gains and losses may be displayed on your investments.
- **Non-Reportable Information:** Non-Reportable Information may be provided based on the activity within your account. This additional information is provided to assist you with your tax preparation, but it is not reported to the IRS.
- **Asset Management Account Activity:** Features checking, debit card and electronic transactions posted to your account.

**What's New:**

- **Regulatory Changes:** For 2023, the IRS has not implemented any changes to the 1099-B, DIV, INT, OID nor MISC.
- **TurboTax and H&R BlockTax Preparation Software:** Please wait until the mail by date, located in the top right corner of your tax information statement, before downloading your 1099 data.

**Mail Dates:** You and members of your household may receive tax statements at different times based on the activity and/or holdings within your account. If final tax information is pending from an issuer or pending processing when tax statements are prepared, impacted tax statements will be held until the information is complete. Tax statement mailings are scheduled to occur in four phases this year: January 31, February 15, February 29 and March 15.

**Go Digital with eDelivery:** Our eDelivery solution provides access to your account information electronically – statements, trade confirmations, account notifications, shareholder communications and tax documents. Benefits of eDelivery include:

- Faster access to account information and documents
- Increased security and safety of personal information
- Less mail and paper to manage

**eDelivery:** Your eDelivery selections for account communications are:

- (X) = Not Enrolled      (✓) = Enrolled
- (✓) Statements and Reports      (✓) Trade Confirmations      (✓) Tax Documents
- (✓) Notifications      (✓) Prospectus      (✓) Proxy/Shareholder Communications

Please log in to your account or contact your financial professional to make any changes to your eDelivery preferences.

**This Tax Information May Be Revised:** You may receive a corrected tax statement. Some issuers provide new information about their securities after we prepare and mail your tax statement. If your tax information needs to be updated, we may be required by the IRS to send you a corrected 1099. Please plan your tax preparation accordingly.

Visit [www.irs.gov](http://www.irs.gov) for IRS Forms, publications and other resources or you may call (800) 829-1040 (individuals), (800) 829-4933 (businesses).  
Visit [www.bny.mn/taxresources](http://www.bny.mn/taxresources) for information and a reference guide to this 1099 tax statement.

All amounts and transactions displayed in this sample Tax and Year-End Statement are for illustration only and do not represent actual transactions. Accordingly, no guidance should be inferred as to any specific transaction from the illustrations in this sample Tax and Year-End Statement.

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 JOHN Q. PUBLIC  
 1234 TOWNLINE STREET  
 APT. #1234  
 SOMEWHERE, ME 00000-0000

**Your Financial Professional Is:**

ROBERT "CONTACT" ADVISOR  
 1234 MAIN STREET  
 BOX 1234  
 SOMEWHERE, ME 00000-0000  
 (XXX) XXX-XXXX  
 ID: 123

**Payer Information:**

PERSHING LLC  
**Federal Identification Number:** 13-2741729

**Table of Contents**

**This tax statement may include the following IRS forms: 1099-B, 1099-INT, 1099-DIV, 1099-MISC and 1099-OID. Only the forms that pertain to the activity in this account are included in this tax statement. Please retain this document for tax preparation purposes.**

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**Recipient's Name and Address:**

JOHN Q. PUBLIC

**Account Number: 123-456789**

Recipient's Identification  
Number: \*\*\*-\*\*-9999

**2023 TAX AND YEAR-END STATEMENT**

As of 02/02/2024  
Mailed by 02/15/2024

**Payer Information:** PERSHING LLC

**Federal Identification Number:** 13-2741729

**This is important tax information and is being furnished to the IRS (except as indicated). 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.**

**Summary of Form 1099-B**

Details are reported to the IRS. Refer to the 1099-B section of this statement for those details.

	<b>Amount</b>
Gross Proceeds (For Covered and Noncovered Transactions).....	\$65,797.56
Cost or Other Basis (For Covered Transactions Only).....	\$54,437.90
<b>Federal Income Tax Withheld – Proceeds.....</b>	<b>\$840.00</b>
State Tax Withheld – Proceeds.....	\$150.00
<i>Regulated Futures and Currency Forward Contracts:</i>	
Profit or (Loss) Realized in 2023.....	(\$401.38)
Unrealized Profit or (Loss) on Open Contracts – 12/31/2022.....	\$161.12
Unrealized Profit or (Loss) on Open Contracts – 12/31/2023.....	(\$995.00)
Aggregate Profit or (Loss).....	(\$1,557.50)
<b>Federal Income Tax Withheld – Reg. Futures and Foreign Curr. Forward Contracts .....</b>	<b>\$0.00</b>
State Tax Withheld – Reg. Futures and Foreign Curr. Forward Contracts.....	\$0.00

**2023 1099-INT**

**Interest Income**

**OMB No. 1545-0112**

<b>Box</b>		<b>Amount</b>
1	Interest Income.....	\$59,232.99
3	Interest on U.S. Savings Bonds & Treasury Obligations.....	\$90.63
<b>4</b>	<b>Federal Income Tax Withheld .....</b>	<b>\$1,996.76</b>
5	Investment Expenses.....	\$50.00
6	Foreign Tax Paid.....	\$600.00
8	Tax-Exempt Interest.....	\$2,918.76
9	Specified Private Activity Bond Interest (Included in Box 8).....	\$0.00
10	Market Discount (For Covered Transactions Only).....	\$35.00
11	Bond Premium (For Covered Transactions Only).....	\$40.00
12	Bond Premium on Treasury obligations (For Covered Transactions Only).....	\$1.24
13	Bond Premium on Tax-Exempt Bond (For Covered Transactions Only).....	\$0.00
14	Tax-Exempt Bond CUSIP No. ....	Various
15/16/17	State/State ID #/State Tax Withheld .....	ME/123456789/\$356.55
	FATCA Filing Requirement.....	

**2023 1099-DIV**

**Dividends and Distributions**

**OMB No. 1545-0110**

<b>Box</b>		<b>Amount</b>
1a	Total Ordinary Dividends.....	\$27,578.36
1b	Qualified Dividends (Included in Box 1a).....	\$8,202.91
2a	Total Capital Gain Distributions.....	\$728.22
2b	Unrecaptured Section 1250 Gain (Included in Box 2a).....	\$175.00
2c	Section 1202 Gain (Included in Box 2a).....	\$350.00
2d	Collectibles (28%) Gain (Included in Box 2a).....	\$0.00
2e	Section 897 Ordinary Dividends (Included in Box 1a).....	\$52.00
2f	Section 897 Capital Gain (Included in Box 2a).....	\$50.00
3	Nondividend Distributions.....	\$272.95
<b>4</b>	<b>Federal Income Tax Withheld.....</b>	<b>\$2,280.00</b>
5	Section 199A Dividends (Included in Box 1a).....	\$115.00
6	Investment Expenses.....	\$0.00
7	Foreign Tax Paid.....	\$1,797.08
9	Cash Liquidation Distributions.....	\$100.00
10	Noncash Liquidation Distributions.....	\$0.00
11	FATCA Filing Requirement .....	
12	Exempt Interest Dividends.....	\$13,197.84
13	Specified Private Activity Bond Interest Dividends (Included in Box 12).....	\$1,057.15
14/15/16	State/State ID #/State Tax Withheld.....	ME/123456789/\$300.00

**Summary of Form 1099-OID**

Details are reported to the IRS. Refer to the 1099-OID section of this statement for those details.

	<b>Amount</b>
Original Issue Discount (Non-U.S. Treasury Obligations).....	\$9,221.98
Other Periodic Interest.....	\$5,187.50
Market Discount (For Covered Transactions Only).....	\$237.13
Acquisition Premium (For Covered Transactions Only).....	\$252.23
Original Issue Discount on U.S. Treasury Obligations.....	\$0.00
Bond Premium (For Covered Transactions Only).....	\$0.00
Tax-Exempt OID (For Covered Transactions Only).....	\$5,445.41
Tax-Exempt OID – Specified Private Activity Bonds (For Covered Transactions Only).....	\$949.70
<b>Federal Income Tax Withheld .....</b>	<b>\$280.00</b>
State Tax Withheld.....	\$50.00



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**2023 TAX AND YEAR-END STATEMENT**

As of 02/02/2024  
Mailed by 02/15/2024

**Payer Information:** PERSHING LLC

**Federal Identification Number:** 13-2741729

2023 1099-MISC		Miscellaneous Information	OMB-1545-0115
Box			Amount
1	Rents.....		\$3,000.00
2	Royalties.....		\$648.45
3	Other Income.....		\$0.00
<b>4</b>	<b>Federal Income Tax Withheld.....</b>		<b>\$840.00</b>
8	Substitute Payments in Lieu of Dividends or Interest.....		\$25.00
13	FATCA filing requirement.....		
16	State Tax Withheld.....		\$210.00
17	State/Payer's State Number.....	CA/123456789	
18	State Income.....		0.00

**This is important tax information and is being furnished to the IRS. 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.**

Summary of Transactions We Do Not Report to the IRS (See instructions for additional information)		Amount
<b>Short-Term Transactions Not Reported to the IRS on Form 1099-B (Informational Only)</b>		
Proceeds.....		\$3,000.00
Cost or Other Basis.....		\$2,700.00
Realized Gain or Loss.....		\$300.00
<b>Long-Term Transactions Not Reported to the IRS on Form 1099-B (Informational Only)</b>		
Proceeds.....		\$300.00
Cost or Other Basis.....		\$150.00
Realized Gain or Loss.....		\$150.00
<b>Other Transactions Not Reported to the IRS on Form 1099-B, Holding Period Unknown (Informational Only)</b>		
Proceeds.....		\$3,000.00
Cost or Other Basis.....		\$0.00
Realized Gain or Loss.....		\$0.00
<b>Non-Reportable Transactions</b>		
Partnership Cash Distributions.....		\$0.00
Shortfalls.....		\$0.00
Return of Principal Distributions and Non-Qualified Stated Interest.....		\$8,675.50
<b>Total Non-Reportable Transactions.....</b>		<b>\$8,675.50</b>



Rated Excellent  
BNY Mellon's Pershing Tax Statement  
DALBAR RATED COMMUNICATIONS  
EXCELLENCE

Clearing through Pershing LLC, a subsidiary of  
The Bank of New York Mellon Corporation (BNY Mellon)  
Pershing LLC, member FINRA, NYSE, SIPC

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**2023 TAX AND YEAR-END STATEMENT**

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**Payer Information:** PERSHING LLC

**Federal Identification Number:** 13-2741729

**Summary of Transactions We Do Not Report to the IRS (See instructions for additional information) (continued)**

**Securities Purchased with Accrued Interest Paid**

U.S. Corporations.....	\$25,853.47
Foreign Source .....	\$3,800.00
Tax-Exempt .....	\$441.50
Total Accrued Interest Purchased.....	\$30,094.97

**Advisory Fees and Other Expenses .....** **(\$430.39)**

**Foreign Tax Refunds .....** **\$131.00**

**Margin Interest Expense Charged to Your Account.....** **\$662.60**

**Electronic Deposits Summary**

Total Electronic Deposits .....	\$2,699.25
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**Other Deposits Summary**

Total Other Deposits .....	\$54,997.66
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**Checking Activity Summary**

Total Checking Activity .....	(\$3,299.69)
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**Debit Card Activity Summary**

Total Debit Card Activity.....	(\$9,162.98)
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**Electronic Withdrawals Summary**

Total Electronic Withdrawals .....	(\$4,898.25)
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**Other Withdrawals Summary**

Total Other Withdrawals.....	(\$28,750.00)
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**Margin Interest Expense Charged to Your Account.** Margin interest expense, if characterized as a deductible investment interest expense and if paid during 2023, should be reported on IRS Form 1040, Schedule A.



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**2023 TAX AND YEAR-END STATEMENT**

As of 02/02/2024  
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**Payer Information:** PERSHING LLC

**Federal Identification Number:** 13-2741729

**2023 Form 1099-B**

**Proceeds From Broker and Barter Exchange Transactions**

**OMB No. 1545-0715**

(Report details on Form 8949 or Schedule D)

**This is important tax information and is being furnished to the Internal Revenue Service (except as indicated). 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.**

Disposition Transaction	Quantity (Box 1a)	Date Acquired (Box 1b)	Date Sold or Disposed (Box 1c)	Proceeds (Box 1d)	Cost or Other Basis (Box 1e)	D = Market Discount (1f) O = Option Premium W = Wash Sale Loss (1g)	Realized Gain or (Loss)
<b>Short-Term Transactions for Which Basis Is Reported to the IRS – Report on Form 8949, Part I, With Box A Checked Covered (Box 12)</b>							
<b>Description (Box 1a): CAPITAL COMPANY</b>				<b>CUSIP: 1456CAP12</b>			
SELL	100.0000	01/01/20XX	06/01/20XX	1,000.00	1,200.00	200.00 <sup>W</sup>	0.00
SELL	200.0000	01/01/20XX	06/02/20XX	<u>2,000.00</u>	<u>1,600.00</u>		<u>400.00</u>
<b>SECURITY TOTAL</b>				<b>3,000.00</b>	<b>2,800.00</b>	<b>200.00<sup>W</sup></b>	<b>400.00</b>
<b>Description (Box 1a): GLOBAL INCOME FUND</b>				<b>CUSIP: 123456GIF</b>			
SELL	26.8200	04/20/20XX	09/07/20XX	274.66	264.21		10.45
SELL	0.0200	04/29/20XX	09/07/20XX	0.20	0.20		0.00
SELL	0.0600	05/31/20XX	09/07/20XX	0.63	0.62		0.01
SELL	0.0600	06/30/20XX	09/07/20XX	0.57	0.56		0.01
SELL	2.0300	07/29/20XX	09/07/20XX	20.77	20.44		0.33
SELL	0.0600	07/29/20XX	09/07/20XX	0.56	0.55		0.01
<b>Sale Date Total</b>	<b>29.0500</b>	<b>VARIOUS</b>	<b>09/07/20XX</b>	<b>297.39</b>	<b>286.58</b>		<b>10.81</b>
SELL	4.9700	08/22/20XX	10/07/20XX	50.84	50.79		0.05
SELL	0.0500	08/31/20XX	10/08/20XX	<u>0.55</u>	<u>0.53</u>		<u>0.02</u>
<b>SECURITY TOTAL</b>				<b>348.78</b>	<b>337.90</b>		<b>10.88</b>
<b>Description (Box 1a): ALPHA EQUITY OPTION</b>				<b>CUSIP: ABC123456</b>			
BUY TO COVER	50.0000	01/15/20XX	02/15/20XX	100.00*	0.00*		100.00
*Actual Proceeds: 300.00, Original Cost: 200.00, RGL: 100.00. The IRS requires reporting as displayed above. Please see the instructions of this section for more information.							
SELL	10.0000	03/15/20XX	04/15/20XX	<u>500.00</u>	<u>100.00</u>		<u>400.00</u>
<b>SECURITY TOTAL</b>				<b>600.00</b>	<b>100.00</b>		<b>500.00</b>
<b>Description (Box 1a): CONTINGENT DEBT</b>				<b>CUSIP: 123456XYZ</b>			
SELL	5,000.0000	01/15/20XX	08/15/20XX	49,500.00**	49,000.00	20.00 <sup>D</sup>	500.00
**Gain or loss on the disposition of a contingent debt instrument may be treated as Ordinary Income. Please see the instructions of this section for more information.							
<b>Short-Term Covered Total</b>				<b>\$53,448.78</b>	<b>\$52,237.90</b>	<b>\$20.00<sup>D</sup></b> <b>\$200.00<sup>W</sup></b>	<b>\$1,410.88</b>



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**2023 TAX AND YEAR-END STATEMENT**

As of 02/02/2024

Mailed by 02/15/2024

**Payer Information:** PERSHING LLC

**Federal Identification Number:** 13-2741729

**2023 Form 1099-B**

**Proceeds From Broker and Barter Exchange Transactions**

**OMB No. 1545-0715**

(Report details on Form 8949 or Schedule D) (continued)

Disposition Transaction	Quantity (Box 1a)	Date Acquired (Box 1b)	Date Sold or Disposed (Box 1c)	Proceeds (Box 1d)	Cost or Other Basis (Box 1e)	D = Market Discount (1f) O = Option Premium W = Wash Sale Loss (1g)	Realized Gain or (Loss)
<b>Long-Term Transactions for Which Basis Is Reported to the IRS: Report on Form 8949, Part II, With Box D Checked Covered (Box 12) (continued)</b>							
<b>Description (Box 1a):</b> BEACH COMPANY				<b>CUSIP:</b> 234567ABC			
SELL	100.0000	01/01/20XX	06/01/20XX	1,000.00	600.00	100.00 °	400.00
SELL	200.0000	01/02/20XX	06/02/20XX	<u>2,000.00</u>	<u>1,600.00</u>	<u>200.00</u> °	<u>400.00</u>
				3,000.00	2,200.00	300.00 °	800.00
<b>Long-Term Covered Total</b>				<b>\$3,000.00</b>	<b>\$2,200.00</b>	<b>\$300.00 °</b>	<b>\$800.00</b>
<b>Covered Total</b>				<b>\$56,448.78</b>	<b>\$54,437.90</b>	<b>\$20.00 °</b> <b>\$300.00 °</b> <b>\$200.00 °</b>	<b>\$2,210.8</b>

**Short-Term Transactions for Which Basis Is Not Reported to the IRS: Report on Form 8949, Part I, With Box B Checked Noncovered (Box 5)**

<b>Description (Box 1a):</b> BEACH COMPANY				<b>CUSIP:</b> 234567ABC			
SELL	100.0000	12/15/20XX	06/01/20XX	1,000.00	1,200.00	200.00 °	0.00
SELL	225.0000	12/16/20XX	06/02/20XX	<u>2,000.00</u>	<u>1,600.00</u>	<u>100.00</u> °	<u>400.00</u>
<b>SECURITY TOTAL</b>				<b>3,000.00</b>	<b>2,800.00</b>	<b>100.00 °</b> <b>200.00 °</b>	<b>400.00</b>

<b>Description (Box 1a):</b> COND-UIT COMPANY				<b>CUSIP:</b> 1234NCGIF					
SELL	26.8200	06/20/20XX	01/07/20XX	274.66	264.21		10.45		
SELL	0.0200	06/29/20XX	01/07/20XX	0.20	0.20		0.00		
SELL	0.0600	06/30/20XX	01/07/20XX	0.63	0.62		0.01		
SELL	0.0600	06/30/20XX	01/07/20XX	0.57	0.56		0.01		
SELL	2.0300	07/29/20XX	01/07/20XX	20.77	20.44		0.33		
SELL	0.0600	07/29/20XX	01/07/20XX	0.56	0.55		0.01		
SELL	4.9700	08/22/20XX	01/07/20XX	50.84	50.79		0.05		
SELL	0.0500	08/31/20XX	01/07/20XX	<u>0.55</u>	<u>0.53</u>		0.02		
<b>SALE DATE TOTAL</b>				<b>34.0700</b>	<b>VARIOUS</b>	<b>01/07/20XX</b>	<b>348.78</b>	<b>337.90</b>	<b>10.88</b>
<b>Short-Term Noncovered Total</b>				<b>\$3,348.78</b>	<b>\$3,137.90</b>	<b>\$100.00 °</b> <b>\$200.00 °</b>	<b>\$410.88</b>		



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**Account Number: 123-456789**

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**2023 TAX AND YEAR-END STATEMENT**

As of 02/02/2024  
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**Payer Information:** PERSHING LLC

**Federal Identification Number:** 13-2741729

**2023 Form 1099-B**

**Proceeds From Broker and Barter Exchange Transactions**

**OMB No. 1545-0715**

(Report details on Form 8949 or Schedule D) *(continued)*

Disposition Transaction	Quantity (Box 1a)	Date Acquired (Box 1b)	Date Sold or Disposed (Box 1c)	Proceeds (Box 1d)	Cost or Other Basis (Box 1e)	D = Market Discount (1f) O = Option Premium W = Wash Sale Loss (1g)	Realized Gain or (Loss)
<b>Long-Term Transactions for Which Basis Is Not Reported to the IRS: Report on Form 8949, Part II, With Box E Checked Noncovered (Box 5) <i>(continued)</i></b>							
<b>Description (Box 1a): AURORA COMPANY</b>				<b>CUSIP: 123456ABC</b>			
SELL	100.0000	01/01/20XX	06/01/20XX	1,000.00	400.00		600.00
SELL	200.0000	01/02/20XX	06/02/20XX	<u>2,000.00</u>	<u>1,600.00</u>		<u>400.00</u>
<b>SECURITY TOTAL</b>				<b>3,000.00</b>	<b>2,000.00</b>		<b>1,000.00</b>
<b>Long-Term Noncovered Total</b>				<b>\$3,000.00</b>	<b>\$2,000.00</b>		<b>\$1,000.00</b>
<b>Transactions for Which Basis Is Not Reported to the IRS and for Which Short-Term or Long-Term Determination Is Unknown (to Broker)—You Must Determine Short-Term or Long-Term Based on Your Records and Report on Form 8949, Part I, With Box B Checked, or on Form 8949, Part II, With Box E Checked, as Appropriate Noncovered (Box 5)</b>							
<b>Description (Box 1a): HAPPY BANNER INC COM</b>				<b>CUSIP: 123BAN456</b>			
SELL	100.0000		06/01/20XX	1,000.00			
SELL	200.0000		06/02/20XX	<u>2,000.00</u>			
<b>SECURITY TOTAL</b>				<b>3,000.00</b>			
<b>Other Noncovered Total</b>				<b>\$3,000.00</b>			
<b>Noncovered Total</b>				<b>\$9,348.78</b>	<b>\$5,137.90</b>	<b>\$100.00<sup>o</sup></b> <b>\$200.00<sup>w</sup></b>	<b>\$1,410.88</b>
<b>Total</b>				<b>\$65,797.56</b>	<b>\$59,575.80</b>	<b>\$20.00<sup>d</sup></b> <b>\$400.00<sup>o</sup></b> <b>\$400.00<sup>w</sup></b>	<b>\$3,621.76</b>

To receive more information regarding your Tax Information Statement and the *Tax Guide*, including illustrations on how to report your income, visit [bny.mn/taxresources](http://bny.mn/taxresources).

The instructions contained in this Tax Information Statement are not intended to provide tax advisory services. We suggest that you consult with your tax professional to discuss the appropriate federal, foreign, state and local tax treatment of your transactions. These instructions, as well as your Tax Information Statement, are solely intended to help you accumulate data to prepare your income tax return and should not be interpreted or relied upon as tax advice.

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