



Recipient's Name and Address:



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

Your Financial Advisor Is:

ROBERT "CONTACT" ADVISOR
1234 MAIN STREET
BOX 1234
SOMEWHERE, ME 00000-0000
IP: 123

Account Holder Information:

Account Number: 123-456789
Recipient's Identification
Number: ***.**-9999

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 Service:** Realized gains and losses may be displayed for 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.

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.

Asset Management Account Activity: Features checking, debit card and electronic transactions posted to your account.

Methods of Delivery: We offer two ways to receive your tax statement:

- **e-Delivery:** The IRS allows for the electronic delivery of 1099 forms, and Pershing offers electronic delivery of this Tax Information Statement. If you would like to receive electronic delivery, please speak with your investment professional for more information.
- **Physical Mail:** There are two dates on this document: The "As of" date is when the form was generated and the date through which all activity in this document was processed. The "Mailed by" date is the date by which this document was mailed to you.

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 for IRS Forms, Publications and other resources or you may call (800) 829-1040 (individuals), (800) 829-4933 (businesses).

Visit www.mytaxhandbook.com for information and a reference guide to this 1099 tax statement.

Client Service Information

Contact Information

Telephone Number: (999) 999-9999
Fax Number: (999) 999-9999
Email Address: name@yourwebsite.com

Client Service Information

Service Hours: Weekdays 8:30 a.m. – 5 p.m. (ET)
Client Service Telephone Number: (999) 999-9999
Website: www.yourwebsite.com

To report a lost or stolen debit card or check, call (999) 999-9999, 24 hours a day, 7 days a week.

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.



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

Recipient's Name and Address:

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

Your Financial Advisor Is:

ROBERT "CONTACT" ADVISOR
 1234 MAIN STREET
 BOX 1234
 SOMEWHERE, ME 00000-0000
 IP: 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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2019 TAX AND YEAR-END STATEMENT

As of 02/07/2020
Mailed by 02/15/2020

Payer Information: PERSHING LLC

Federal Identification Number: 13-2741729

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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.

	Amount
Gross Proceeds (For Covered and Noncovered Transactions).....	65,797.56
Cost or Other Basis (For Covered Transactions Only).....	54,437.90
Federal Income Tax Withheld – Proceeds.....	840.00
State Tax Withheld – Proceeds.....	150.00
<i>Regulated Futures and Currency Forward Contracts:</i>	
Profit or (Loss) Realized in 2019.....	(401.38)
Unrealized Profit or (Loss) on Open Contracts – 12/31/2018.....	161.12
Unrealized Profit or (Loss) on Open Contracts – 12/31/2019.....	(995.00)
Aggregate Profit or (Loss).....	(1,557.50)
Federal Income Tax Withheld – Reg. Futures and Foreign Curr. Forward Contracts.....	0.00
State Tax Withheld – Reg. Futures and Foreign Curr. Forward Contracts.....	0.00

2019 1099-DIV

Dividends and Distributions

OMB No. 1545-0110

Box		Amount
1a	Total Ordinary Dividends.....	27,578.36
1b	Qualified Dividends.....	8,202.91
2a	Total Capital Gain Distributions.....	728.22
2b	Unrecaptured Section 1250 Gain.....	175.00
2c	Section 1202 Gain.....	350.00
2d	Collectibles (28%) Gain.....	0.00
3	Nondividend Distributions.....	272.95
4	Federal Income Tax Withheld.....	2,520.00
5	Section 199A Dividends.....	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	Exempt Interest Dividends.....	3,000.00
12	Specified Private Activity Bond Interest Dividends.....	1,000.00
13/14/15	State/State ID #/State Tax Withheld.....	ME/123456789/450.00
	FATCA Filing Requirement.....	

2019 1099-INT

Interest Income

OMB No. 1545-0112

Box		Amount
1	Interest Income.....	59,232.99
3	Interest on U.S. Savings Bonds & Treasury Obligations.....	90.63
4	Federal Income Tax Withheld.....	1,996.76
5	Investment Expenses.....	50.00
6	Foreign Tax Paid.....	600.00
8	Tax-Exempt Interest.....	2,918.76
9	Specified Private Activity Bond Interest.....	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.....	

Summary of Form 1099-OID

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

	Amount
Original Issue Discount (Non-U.S. Treasury Obligations).....	9,221.98
Other Periodic Interest.....	1,000.00
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
Federal Income Tax Withheld.....	280.00
State Tax Withheld.....	50.00



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Payer Information: PERSHING LLC

Federal Identification Number: 13-2741729

2019 1099-MISC		Miscellaneous Income	OMB-1545-0115
Box			Amount
1	Rents.....		3,000.00
2	Royalties.....		648.45
3	Other Income.....		0.00
4	Federal Income Tax Withheld.....		840.00
8	Substitute Payments in Lieu of Dividends or Interest.....		25.00
16	State Tax Withheld.....		150.00
17	State/Payer's State Number.....	ME/123456789	
18	State Income.....		
	FATCA Filing Requirement.....		

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
Short-Term Transactions Not Reported to the IRS on Form 1099-B (Informational Only)		
	Proceeds.....	3,000.00
	Cost or Other Basis.....	2,700.00
	Difference.....	300.00
Long-Term Transactions Not Reported to the IRS on Form 1099-B (Informational Only)		
	Proceeds.....	300.00
	Cost or Other Basis.....	150.00
	Difference.....	150.00
Other Transactions Not Reported to the IRS on Form 1099-B, Holding Period Unknown (Informational Only)		
	Proceeds.....	3,000.00
	Cost or Other Basis.....	0.00
	Difference.....	0.00
Non-Reportable Transactions		
	Partnership Cash Distributions.....	0.00
	Shortfalls.....	0.00
	Return of Principal Distributions and Non-Qualified Stated Interest.....	8,675.50
	Total Non-Reportable Transactions.....	8,675.50



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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 Deposits2,699.25

Other Deposits Summary

Total Other Deposits 54,997.66

Checking Activity Summary

Total Checking Activity(3,299.69)

Debit Card Activity Summary

Total Debit Card Activity.....(9,162.98)

Electronic Withdrawals Summary

Total Electronic Withdrawals(4,898.25)

Other Withdrawals Summary

Total Other Withdrawals.....(28,750.00)

Margin Interest Expense Charged to Your Account. Margin interest expense, if characterized as a deductible investment interest expense and if paid during 2019, should be reported on IRS Form 1040, Schedule A.



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2019 TAX AND YEAR-END STATEMENT

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Payer Information: PERSHING LLC

Federal Identification Number: 13-2741729

2019 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)
Short-Term Transactions for Which Basis Is Reported to the IRS – Report on Form 8949, Part I, With Box A Checked Covered (Box 12)							
Description (Box 1a): CAPITAL COMPANY					CUSIP: 1456CAP12		
SELL	100	01/01/20XX	06/01/20XX	1,000.00	1,200.00	200.00 ^W	0.00
SELL	200	01/01/20XX	06/02/20XX	<u>2,000.00</u>	<u>1,600.00</u>		<u>400.00</u>
SECURITY TOTAL				3,000.00	2,800.00	200.00^W	400.00
Description (Box 1a): GLOBAL INCOME FUND					CUSIP: 123456GIF		
SELL	26.82	04/20/20XX	09/07/20XX	274.66	264.21		10.45
SELL	0.02	04/29/20XX	09/07/20XX	0.20	0.20		0.00
SELL	0.06	05/31/20XX	09/07/20XX	0.63	0.62		0.01
SELL	0.06	06/30/20XX	09/07/20XX	0.57	0.56		0.01
SELL	2.03	07/29/20XX	09/07/20XX	20.77	20.44		0.33
SELL	0.06	07/29/20XX	09/07/20XX	0.56	0.55		0.01
Sale Date Total	29.05	VARIOUS	09/07/20XX	297.39	286.58		10.81
SELL	4.97	08/22/20XX	10/07/20XX	50.84	50.79		0.05
SELL	0.05	08/31/20XX	10/08/20XX	<u>0.55</u>	<u>0.53</u>		<u>0.02</u>
SECURITY TOTAL				348.78	337.90		10.88
Description (Box 1a): ALPHA EQUITY OPTION					CUSIP: ABC123456		
BUY TO COVER	50	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	03/15/20XX	04/15/20XX	500.00	100.00		400.00
SECURITY TOTAL				600.00	100.00		500.00
Description (Box 1a): CONTINGENT DEBT					CUSIP: 123456XYZ		
SELL	5,000	01/15/20XX	08/15/20XX	49,500.00**	49,000.00	20.00 ^D	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.							
Short-Term Covered Total				53,448.78	52,237.90	20.00^D 200.00^W	1,410.88



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Federal Identification Number: 13-2741729

2019 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)
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)							
Description (Box 1a): BEACH COMPANY				CUSIP: 234567ABC			
SELL	100	01/01/20XX	06/01/20XX	1,000.00	600.00	100.00 °	400.00
SELL	200	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
Long-Term Covered Total				3,000.00	2,200.00	300.00 °	800.00
Covered Total				56,448.78	54,437.90	20.00 ° 300.00 ° 200.00 w	2,210.8

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)							
Description (Box 1a): BEACH COMPANY				CUSIP: 234567ABC			
SELL	100	12/15/20XX	06/01/20XX	1,000.00	1,200.00	200.00 w	0.00
SELL	225	12/16/20XX	06/02/20XX	<u>2,000.00</u>	<u>1,600.00</u>	<u>100.00</u> °	<u>400.00</u>
SECURITY TOTAL				3,000.00	2,800.00	100.00 ° 200.00 w	400.00

Description (Box 1a): COND-UIT COMPANY				CUSIP: 1234NCGIF			
SELL	26.82	06/20/20XX	01/07/20XX	274.66	264.21		10.45
SELL	0.02	06/29/20XX	01/07/20XX	0.20	0.20		0.00
SELL	0.06	06/30/20XX	01/07/20XX	0.63	0.62		0.01
SELL	0.06	06/30/20XX	01/07/20XX	0.57	0.56		0.01
SELL	2.03	07/29/20XX	01/07/20XX	20.77	20.44		0.33
SELL	0.06	07/29/20XX	01/07/20XX	0.56	0.55		0.01
SELL	4.97	08/22/20XX	01/07/20XX	50.84	50.79		0.05
SELL	0.05	08/31/20XX	01/07/20XX	<u>0.55</u>	<u>0.53</u>		<u>0.02</u>
SALE DATE TOTAL		34.07	VARIOUS	01/07/20XX	348.78	337.90	10.88
Short-Term Noncovered Total				3,348.78	3,137.90	100.00 ° 200.00 w	410.88



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2019 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)
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) (continued)							
Description (Box 1a): AURORA COMPANY				CUSIP: 123456ABC			
SELL	100.00	01/01/20XX	06/01/20XX	1,000.00	400.00	600.00	
SELL	200.00	01/02/20XX	06/02/20XX	<u>2,000.00</u>	<u>1,600.00</u>	<u>400.00</u>	
SECURITY TOTAL				3,000.00	2,000.00		1,000.00
Long-Term Noncovered Total				3,000.00	2,000.00		1,000.00
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)							
Description (Box 1a): HAPPY BANNER INC COM				CUSIP: 123BAN456			
SELL	100.00		06/01/20XX	1,000.00			
SELL	200.00		06/02/20XX	<u>2,000.00</u>			
SECURITY TOTAL				3,000.00			
Other Noncovered Total				3,000.00			
Noncovered Total				9,348.78	5,137.90	100.00^o 200.00^w	1,410.88
Total				65,797.56	59,575.80	20.00^d 400.00^o 400.00^w	3,621.76

