

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
Remailaddress@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. Noncovered cost basis can be located on the December statement.
- **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

- IRS Form 1099-DIV: The Foreign Account Tax Compliance Act (FATCA) filing requirement checkbox has been assigned to Box 11. Subsequently, Boxes 11 through 15 have been renumbered 12 through 16, respectively.
- IRS Form 1099-MISC: Box 13 has been assigned to the FATCA filing requirement checkbox. Subsequently, old Boxes 13 through 17 have been renumbered to new Boxes 14 through 18, respectively.

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

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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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2022 TAX AND YEAR-END STATEMENT

As of 02/04/2023
Mailed by 02/15/2023

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.

	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 2022.....	(\$401.38)
Unrealized Profit or (Loss) on Open Contracts – 12/31/2021.....	\$161.12
Unrealized Profit or (Loss) on Open Contracts – 12/31/2022.....	(\$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

2022 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 (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.....	

2022 1099-DIV

Dividends and Distributions

OMB No. 1545-0110

Box		Amount
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
4	Federal Income Tax Withheld.....	\$2,280.00
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.

	Amount
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
Federal Income Tax Withheld.....	\$280.00
State Tax Withheld.....	\$50.00



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2022 TAX AND YEAR-END STATEMENT

As of 02/04/2023
Mailed by 02/15/2023

Payer Information: PERSHING LLC

Federal Identification Number: 13-2741729

2022 1099-MISC		Miscellaneous Information	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
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
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
	Realized Gain or Loss.....	\$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
	Realized Gain or Loss.....	\$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
	Realized Gain or Loss.....	\$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



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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2022 TAX AND YEAR-END STATEMENT

As of 02/04/2023
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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

Other Deposits Summary

Total Other Deposits

Checking Activity Summary

Total Checking Activity

Debit Card Activity Summary

Total Debit Card Activity.....

Electronic Withdrawals Summary

Total Electronic Withdrawals

Other Withdrawals Summary

Total Other Withdrawals.....

Margin Interest Expense Charged to Your Account. Margin interest expense, if characterized as a deductible investment interest expense and if paid during 2022, should be reported on IRS Form 1040, Schedule A.



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2022 TAX AND YEAR-END STATEMENT

As of 02/04/2023
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Payer Information: PERSHING LLC

Federal Identification Number: 13-2741729

2022 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	<u>500.00</u>	<u>100.00</u>		<u>400.00</u>
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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2022 TAX AND YEAR-END STATEMENT

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Payer Information: PERSHING LLC

Federal Identification Number: 13-2741729

2022 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>		0.02		
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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2022 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

