

### Recipient's Name and Address:



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

### Your Financial Advisor Is:

ROBERT "CONTACT" ADVISOR  
1234 MAIN STREET  
BOX 1234  
SOMEWHERE, CA 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, 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.

**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.

**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.

For more information, please see the *Tax Guide* at [mytaxhandbook.com](http://mytaxhandbook.com).

## Client Service Information

### Contact Information

**Telephone Number:** (999) 999-9999  
**Fax Number:** (999) 999-9999  
**Email Address:** [name@yourwebsite.com](mailto: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](http://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.

**Account Number: 123-456789**

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**2016 TAX AND YEAR-END STATEMENT**

As of 02/10/2017  
Mailed by 02/15/2017

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**Your Financial Advisor Is:**

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1234 MAIN STREET  
BOX 1234  
SOMEWHERE, CA 00000-0000  
IP: 123

**Payer Information:**

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

**Final Tax Information Is Pending for Your 2016 1099 Form(s)**

**We are waiting for final tax information from the issuers noted below.** We may need to send you revised 1099 forms if an issuer provides final tax information after the mailing of this tax statement. If we have not received final information from the issuer, we have denoted certain income with a symbol (\*\*) within the tax statement and have listed the securities below. Further information is available to assist you in the *Tax Guide* at mytaxhandbook.com.

CUSIP <sup>®</sup>	Description	CUSIP	Description	CUSIP	Description
123ABC456	ABC FUND	123DEF456	DEF FUND	123JKL456	JKL FUND
123MNO456	MNO FUND	123VWX456	VWX FUND		

**Message for Owners of Collateralized Debt Obligations (CDOs):** Our records indicate that you held CDOs—i.e., a real estate mortgage investment conduit (REMIC), a collateralized mortgage obligation (CMO) or a financial asset securitization trust (FASIT)—during the tax year of this statement. This statement may not include all information related to these types of investments. If we receive additional information from the issuers of the securities listed below, we will promptly forward a revised tax statement to you.

CUSIP	Description	CUSIP	Description	CUSIP	Description
7654REMIC	REMIC #1	8765REMIC	REMIC #2	9876REMIC	REMIC #3

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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.**

<b>1099 Form or Tax Statement Section</b>	<b>Starting Page Number</b>
<b>Summary of Form 1099-B</b> .....	<b>1</b>
<b>1099-INT Form: Interest Income</b> .....	<b>1</b>
<b>1099-DIV Form: Dividends and Distributions</b> .....	<b>1</b>
<b>Summary of Form 1099-OID</b> .....	<b>1</b>
<b>1099-MISC Form: Miscellaneous Income</b> .....	<b>2</b>
<b>Summary of Transactions We Do Not Report to the IRS</b> .....	<b>3</b>
<b>1099-B Forms: Proceeds From Broker and Barter Exchange Transactions</b> .....	<b>4</b>
Short-Term Covered Transactions .....	4
Long-Term Covered Transactions.....	5
Short-Term Noncovered Transactions .....	5
Long-Term Noncovered Transactions.....	6
Other Noncovered Transactions—No Holding Period .....	6
Income Tax Withholding.....	8
Regulated Futures and Foreign Currency Forward Contracts.....	9
<b>Interest Income (Details of Form 1099-INT)</b> .....	<b>13</b>
<b>Tax-Exempt Interest (Details of Form 1099-INT)</b> .....	<b>19</b>
<b>Dividends and Distributions (Details of Form 1099-DIV)</b> .....	<b>21</b>
<b>Tax-Exempt Dividends (Details of Form 1099-DIV)</b> .....	<b>24</b>
<b>Capital Gain Distributions (Details of Form 1099-DIV)</b> .....	<b>24</b>
<b>Liquidation Distributions (Details of Form 1099-DIV)</b> .....	<b>25</b>
<b>1099-OID Forms: Original Issue Discount</b> .....	<b>26</b>
<b>Original Issue Discount: Income Tax Withholding</b> .....	<b>28</b>

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**2016 TAX AND YEAR-END STATEMENT**

As of 02/10/2017  
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**Payer Information:** PERSHING LLC

**Federal Identification Number:** 13-2741729

**Table of Contents** *(continued)*

<b>1099 Form or Tax Statement Section</b>	<b>Starting Page Number</b>
<b>Miscellaneous Income (Details of Form 1099-MISC)</b> .....	<b>29</b>
<b>Details for Transactions We Do Not Report to the IRS</b> .....	<b>30</b>
Non-Reportable Proceeds and Cost Basis Information .....	30
Municipal Original Issue Discount .....	31
Non-Reportable Transactions .....	32
Advisory Fees and Other Expenses .....	32
Electronic Deposits .....	33
Other Deposits .....	33
Checking Activity .....	33
Debit Card Activity .....	34
Electronic Withdrawals .....	34
Other Withdrawals .....	34
<b>Additional Written Statement: Collateralized Debt Obligations</b> .....	<b>35</b>
<b>Additional Written Statement: Widely Held Mortgage Trusts (WHMTs) and Widely Held Fixed Investment Trusts (WHFITs)</b> .....	<b>36</b>
<b>Royalty Trust and HOLDRS Trusts—Supplemental Information</b> .....	<b>37</b>

Sample

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**2016 TAX AND YEAR-END STATEMENT**

As of 02/10/2017  
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**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>
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 .....	240.00
<i>Regulated Futures and Currency Forward Contracts:</i>	
Profit or (Loss) Realized in 20XX .....	(401.38)
Unrealized Profit or (Loss) on Open Contracts – 12/31/20XX .....	161.12
Unrealized Profit or (Loss) on Open Contracts – 12/31/20XX .....	(995.00)
Aggregate Profit or (Loss) .....	(1,396.38)
<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

**2016 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 .....	8,208.91
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 .....	67.55
<b>4</b>	<b>Federal Income Tax Withheld</b> .....	<b>2,520.00</b>
5	Investment Expenses .....	0.00
6	Foreign Tax Paid .....	1,797.08
8	Cash Liquidation Distributions .....	100.00
9	Noncash Liquidation Distributions .....	0.00
10	Exempt Interest Dividends .....	3,000.00
11	Specified Private Activity Bond Interest Dividends .....	1,000.00
12/13/14	State/State ID #/State Tax Withheld .....	CA/123456789/630.00
	FATCA Filing Requirement .....	

**2016 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 .....	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 .....	CA/123456789/210.44
	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.

	<b>Amount</b>
Original Issue Discount (Non-U.S. Treasury Obligations) .....	9,221.98
Other Periodic Interest .....	1,000.00
Market Discount (For Covered Transactions Only) .....	224.45
Acquisition Premium (For Covered Transactions Only) .....	165.01
Original Issue Discount on U.S. Treasury Obligations .....	0.00
Bond Premium (For Covered Transactions Only) .....	0.00
<b>Federal Income Tax Withheld</b> .....	<b>280.00</b>
State Tax Withheld .....	0.00

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**2016 TAX AND YEAR-END STATEMENT**

As of 02/10/2017  
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**Payer Information:** PERSHING LLC

**Federal Identification Number:** 13-2741729

2016 1099-MISC		Miscellaneous Income	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
16	State Tax Withheld.....		210.00
17	State/Payer's State Number.....	CA/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.**

Sample

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**2016 TAX AND YEAR-END STATEMENT**

As of 02/10/2017  
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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)**

	<u>Amount</u>
<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>Municipal Original Issue Discount</b>	
Original Issue Discount – Subject to Alternative Minimum Tax .....	0.00
Original Issue Discount – Not Subject to Alternative Minimum Tax .....	724.65
<b>Total Municipal Original Issue Discount .....</b>	<b>724.65</b>
<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>
<b>Advisory Fees and Other Expenses .....</b>	<b>(430.39)</b>
<b>Margin Interest Expense Charged to Your Account.....</b>	<b>662.60</b>
<b>Electronic Deposits Summary</b>	
Total Electronic Deposits .....	2,699.25
<b>Other Deposits Summary</b>	
Total Other Deposits .....	54,997.66
<b>Checking Activity Summary</b>	
Total Checking Activity .....	(3,299.69)
<b>Debit Card Activity Summary</b>	
Total Debit Card Activity.....	(9,162.98)
<b>Electronic Withdrawals Summary</b>	
Total Electronic Withdrawals .....	(4,898.25)
<b>Other Withdrawals Summary</b>	
Total Other Withdrawals.....	(28,750.00)

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**2016 TAX AND YEAR-END STATEMENT**

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**Payer Information:** PERSHING LLC

**Federal Identification Number:** 13-2741729

**2016 Form 1099-B**

**Proceeds From Broker and Barter Exchange Transactions**

**OMB No. 1545-0715**

(For individuals, report details on Form 8949)

**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	Disposition Method	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 3)</b>								
<b>Description (Box 1a): CAPITAL COMPANY</b>						<b>CUSIP: 1456CAP12</b>		
SELL	FIRST IN FIRST OUT	100	01/01/20XX	06/01/20XX	1,000.00	1,200.00	200.00 <sup>W</sup>	0.00
SELL	FIRST IN FIRST OUT	200	01/01/20XX	06/02/20XX	2,000.00	1,600.00		400.00
<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	FIRST IN FIRST OUT	26.82	04/20/20XX	09/07/20XX	274.66	264.21		10.45
SELL	FIRST IN FIRST OUT	0.02	04/29/20XX	09/07/20XX	0.20	0.20		0.00
SELL	FIRST IN FIRST OUT	0.06	05/31/20XX	09/07/20XX	0.63	0.62		0.01
SELL	FIRST IN FIRST OUT	0.06	06/30/20XX	09/07/20XX	0.57	0.56		0.01
SELL	FIRST IN FIRST OUT	2.03	07/29/20XX	09/07/20XX	20.77	20.44		0.33
SELL	FIRST IN FIRST OUT	0.06	07/29/20XX	09/07/20XX	0.56	0.55		0.01
<b>Sale Date Total</b>		<b>29.05</b>	<b>VARIOUS</b>	<b>09/07/20XX</b>	<b>297.39</b>	<b>286.58</b>		<b>10.81</b>
SELL	FIRST IN FIRST OUT	4.97	08/22/20XX	10/07/20XX	50.84	50.79		0.05
SELL	FIRST IN FIRST OUT	0.05	08/31/20XX	10/08/20XX	0.55	0.53		0.02
<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	FIRST IN FIRST OUT	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	FIRST IN FIRST OUT	10	03/15/20XX	04/15/20XX	500.00	100.00		400.00
<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	FIRST IN FIRST OUT	5,000	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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**2016 TAX AND YEAR-END STATEMENT**

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Mailed by 02/15/2017

**Payer Information:** PERSHING LLC

**Federal Identification Number:** 13-2741729

**2016 Form 1099-B**

**Proceeds From Broker and Barter Exchange Transactions**

**OMB No. 1545-0715**

(For individuals, report details on Form 8949) (continued)

Disposition Transaction	Disposition Method	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 3) (continued)</b>								
<b>Description (Box 1a):</b> BEACH COMPANY						<b>CUSIP:</b> 234567ABC		
SELL	FIRST IN FIRST OUT	100	01/01/20XX	06/01/20XX	1,000.00	600.00	100.00 °	400.00
SELL	FIRST IN FIRST OUT	200	01/02/20XX	06/02/20XX	2,000.00	1,600.00	200.00 °	400.00
					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>2,210.88</b>

<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>								
<b>Description (Box 1a):</b> BEACH COMPANY						<b>CUSIP:</b> 234567ABC		
SELL	FIRST IN FIRST OUT	100	12/15/20XX	06/01/20XX	1,000.00	1,200.00	200.00 °	0.00
SELL	FIRST IN FIRST OUT	225	12/16/20XX	06/02/20XX	2,000.00	1,600.00	100.00 °	400.00
<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	FIRST IN FIRST OUT	26.82	06/20/20XX	01/07/20XX	274.66	264.21		10.45
SELL	FIRST IN FIRST OUT	0.02	06/29/20XX	01/07/20XX	0.20	0.20		0.00
SELL	FIRST IN FIRST OUT	0.06	06/30/20XX	01/07/20XX	0.63	0.62		0.01
SELL	FIRST IN FIRST OUT	0.06	06/30/20XX	01/07/20XX	0.57	0.56		0.01
SELL	FIRST IN FIRST OUT	2.03	07/29/20XX	01/07/20XX	20.77	20.44		0.33
SELL	FIRST IN FIRST OUT	0.06	07/29/20XX	01/07/20XX	0.56	0.55		0.01
SELL	FIRST IN FIRST OUT	4.97	08/22/20XX	01/07/20XX	50.84	50.79		0.05
SELL	FIRST IN FIRST OUT	0.05	08/31/20XX	01/07/20XX	0.55	0.53		0.02
<b>SALE DATE TOTAL</b>		<b>34.07</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>

**Recipient's Name and Address:**

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Number: \*\*\*-\*\*-9999

**2016 TAX AND YEAR-END STATEMENT**

As of 02/10/2017  
Mailed by 02/15/2017

**Payer Information:** PERSHING LLC

**Federal Identification Number:** 13-2741729

**2016 Form 1099-B**

**Proceeds From Broker and Barter Exchange Transactions**

**OMB No. 1545-0715**

(For individuals, report details on Form 8949) (continued)

Disposition Transaction	Disposition Method	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) (continued)</b>								
<b>Description (Box 1a):</b> AURORA COMPANY						<b>CUSIP:</b> 123456ABC		
SELL	FIRST IN FIRST OUT	100.00	01/01/20XX	06/01/20XX	1,000.00	400.00		600.00
SELL	FIRST IN FIRST OUT	200.00	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):</b> HAPPY BANNER INC COM						<b>CUSIP:</b> 123BAN456		
Proceeds	FIRST IN FIRST OUT	100.00		06/01/20XX	1,000.00			
Proceeds	FIRST IN FIRST OUT	200.00		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>

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