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1099 Brochure for Tax Year 2016

Please visit www.tdameritrade.com/1099brochure to access our helpful **1099 Information Brochure**.



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Ameritrade Member FINRA/SIPC PO BOX 2209 OMAHA, NE 68103-2209 Customer Service: 800-669-3900	Tax Information Account 866733665 CLAUDE SIMON & CAROLYN JANE SIMON JT TEN 534 W 42ND ST APT 8 NEW YORK, NY 10036-6221	Statement Date: 02/06/2017 Document ID: 02U2 VDS S2GH	2016
	PAYER'S Federal ID No: 47-0533629 RECIPIENT'S ID No: XXX-XX-1158		

[] FATCA filing requirement (see instructions)

Summary Information

DIVIDENDS AND DISTRIBUTIONS	2016 1099-DIV*	OMB No. 1545-0110	MISCELLANEOUS INCOME	2016 1099-MISC*	OMB No. 1545-0115
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1a- Total ordinary dividends (includes line 1b)	0.40	2- Royalties	0.00
1b- Qualified dividends	0.40	3- Other income	0.00
2a- Total capital gain distributions (includes lines 2b, 2c, 2d)	4,608.10	4- Federal income tax withheld	0.00
2b- Unrecaptured Section 1250 gain	0.00	8- Substitute payments in lieu of dividends or interest	0.00
2c- Section 1202 gain	0.00		
2d- Collectibles (28%) gain	0.00		
3- Nondividend distributions	0.00		
4- Federal income tax withheld	0.00	REGULATED FUTURES CONTRACTS 2016 1099-B*	OMB No. 1545-0715
5- Investment expenses	0.00	8- Profit or (loss) realized in 2016 on closed contracts	0.00
7- Foreign country or US possession:	0.00	9- Unrealized profit or (loss) on open contracts-12/31/2015	0.00
8- Cash liquidation distributions	0.00	10- Unrealized profit or (loss) on open contracts-12/31/2016	0.00
9- Noncash liquidation distributions	0.00	11- Aggregate profit or (loss) on contracts	0.00
10- Exempt-interest dividends (includes line 11)	0.00		
11- Specified private activity bond interest dividends (AMT)	0.00		

If applicable, proceeds from sale transactions appear summarized below and are detailed in subsequent sections of this document.

* This is important tax information and is being furnished to the Internal Revenue Service. 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 PROCEEDS, GAINS & LOSSES, ADJUSTMENTS AND WITHHOLDING

Refer to the 1099-B and Proceeds not reported to the IRS pages to ensure that you consider all relevant items and to determine the correct gains and losses. The amounts shown below are for informational purposes.

Term	Form 8949 type	Proceeds	Cost basis	Market discount	Wash sale loss disallowed	Net gain or loss(-)
Short	A (basis reported to the IRS)	6,831.11	7,046.29	0.00	0.00	-215.18
Short	B (basis not reported to the IRS)	0.00	0.00	0.00	0.00	0.00
Short	C (Form 1099-B not received)	0.00	0.00	0.00	0.00	0.00
	Total Short-term	6,831.11	7,046.29	0.00	0.00	-215.18
Long	D (basis reported to the IRS)	18,453.81	21,638.67	0.00	0.00	-3,184.86
Long	E (basis not reported to the IRS)	0.00	0.00	0.00	0.00	0.00
Long	F (Form 1099-B not received)	0.00	0.00	0.00	0.00	0.00
	Total Long-term	18,453.81	21,638.67	0.00	0.00	-3,184.86
Undetermined	B or E (basis not reported to the IRS)	0.00	0.00	0.00	0.00	0.00
Undetermined	C or F (Form 1099-B not received)	0.00	0.00	0.00	0.00	0.00
	Total Undetermined-term	0.00	0.00	0.00	0.00	0.00
	Grand total	25,284.92	28,684.96	0.00	0.00	-3,400.04
Withholding		Amount				
Federal income tax withheld		0.00				

Changes to dividend tax classifications processed after your original tax form is issued for 2016 may require an amended tax form.

TD AMERITRADE CLEARING INC

Account 866733665

2016

02/06/2017

Summary Information
(continued)

INTEREST INCOME 2016 1099-INT

OMB No. 1545-0112

This is important tax information and is being furnished to the Internal Revenue Service. 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.

1- Interest income (not included in line 3)	0.71
2- Early withdrawal penalty	0.00
3- Interest on US Savings Bonds & Treasury obligations	0.00
4- Federal income tax withheld	0.00
5- Investment expenses	0.00
7- Foreign country or US possession:	0.00
6- Foreign tax paid:	0.00
8- Tax-exempt interest (includes line 9)	0.00
9- Specified private activity bond interest (AMT)	0.00
10- Market discount (covered lots)	0.00
11- Bond premium (covered lots)	0.00
12- Bond premium on Treasury obligations (covered lots)	0.00
13- Bond premium on tax-exempt bonds (categorized below)	0.00
Tax-exempt obligations (covered lots)	0.00
Tax-exempt private activity obligations (AMT, covered lots)	0.00
Tax-exempt and tax credit bond CUSIP number	See detail
The following amounts of tax-exempt original issue discount are not reported to the IRS.	
Tax-exempt original issue discount (includes the line below)	0.00
Tax-exempt original issue discount private activity bonds (AMT)	0.00

ADJUSTMENTS TO INTEREST AND ORIGINAL ISSUE DISCOUNT

The amounts in this section are not reported to the IRS. They are presented here for your reference when preparing your income tax return(s).

Taxable accrued interest paid	0.00
Taxable accrued Treasury interest paid	0.00
Tax-exempt accrued interest paid	0.00
Tax-exempt accrued interest paid (AMT)	0.00
Taxable accrued nonqualified interest paid	0.00
Tax-exempt accrued nonqualified interest paid	0.00
Tax-exempt accrued nonqualified interest paid (AMT)	0.00
Nonqualified interest	0.00
Tax-exempt nonqualified interest	0.00
Tax-exempt nonqualified interest (AMT)	0.00
Interest shortfall on contingent payment debt	0.00
Bond premium- Non Treasury obligations (noncovered lots)	0.00
Bond premium- Treasury obligations (noncovered lots)	0.00
Bond premium- Tax-exempt obligations (noncovered lots)	0.00
Bond premium- Tax-exempt obligations (AMT, noncovered lots)	0.00
Acquisition premium- Non Treasury obligations (noncovered lots)	0.00
Acquisition premium- Treasury obligations (noncovered lots)	0.00
Acquisition premium- Tax-exempt obligations (all lots)	0.00
Acquisition premium- Tax-exempt obligations (AMT, all lots)	0.00
Market discount (noncovered lots)	0.00

ORIGINAL ISSUE DISCOUNT SUMMARY

Use bond-by-bond details from the Form 1099-OID page(s) to determine amounts of Original Issue Discount income for your income tax return(s). The amounts shown in this section are for your reference when preparing your income tax return(s).

Original issue discount for 2016	0.00
Early withdrawal penalty	0.00
Federal income tax withheld	0.00
Market discount (covered lots)	0.00
Acquisition premium (total for covered lots, categorized below)	0.00
Non Treasury obligations	0.00
Treasury obligations	0.00
Original issue discount on Treasury obligations	0.00
Investment expenses	0.00

STATE TAX WITHHELD

Use the details of the State Tax Withholding page(s) to determine the appropriate amounts for your income tax return(s). The amounts shown in this section are for your reference.

1099-DIV total withheld	0.00
1099-INT total withheld	0.00
1099-OID total withheld	0.00
1099-MISC total withheld	0.00
1099-B total withheld	0.00

RECONCILIATIONS, FEES, EXPENSES AND EXPENDITURES

The amounts in this section are not reported to the IRS. They are presented here for your reference when preparing your income tax return(s).

Other Receipts & Reconciliations- Partnership distributions	166.00
Other Receipts & Reconciliations- Foreign tax paid- partnership	0.00
Other Receipts & Reconciliations- Return of principal	0.00
Other Receipts & Reconciliations- Deferred income payment	0.00
Other Receipts & Reconciliations- Deemed premium	0.00
Other Receipts & Reconciliations- Income accrual- UIT	0.00
Other Receipts & Reconciliations- Basis adjustments	0.00
Other Receipts & Reconciliations- Foreign tax pd beyond treaty	0.00
Fees & Expenses- Margin interest	0.00
Fees & Expenses- Dividends paid on short position	0.00
Fees & Expenses- Interest paid on short position	0.00
Fees & Expenses- Non reportable distribution expense	0.00
Fees & Expenses- Other expenses	0.00
Fees & Expenses- Severance tax	0.00
Fees & Expenses- Organizational expense	0.00
Fees & Expenses- Miscellaneous fees	20.00
Fees & Expenses- Tax-exempt investment expense	0.00
Foreign Exchange Gains & Losses- Foreign currency gain/loss	0.00

TD AMERITRADE CLEARING INC

Proceeds from Broker and Barter Exchange Transactions

Account 866733665

2016 1099-B* OMB No. 1545-0715

02/06/2017

FATCA filing requirement []

SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS [Ordinary gains or losses are identified in the Additional information column] (Lines 2 & 5)

Report on Form 8949, Part I with Box A checked. Basis is provided to the IRS. (Line 3)

*Gain or loss (-) is NOT reported to the IRS.

1a- Description of property/CUSIP/Symbol

1c- Date sold or disposed	Quantity	1d- Proceeds & 6- Reported (G)ross or (N)et	1b- Date acquired	1e- Cost or other basis	1f- Accrued mkt disc (D) & 1g- Wash sale loss disallowed (W)	7- Loss not allowed (X) also not reported (Z)	Additional information
HENNESSY FDS CORNERSTONE MID CAP 30 / CUSIP: 425888609 / Symbol: HIMDX							
10/06/16	347.796	6,831.11	Various	7,046.29	...	-215.18	Sale
Totals :		6,831.11		7,046.29		-215.18	

LONG TERM TRANSACTIONS FOR COVERED TAX LOTS [Ordinary gains or losses are identified in the Additional information column] (Lines 2 & 5)

Report on Form 8949, Part II with Box D checked. Basis is provided to the IRS. (Line 3)

*Gain or loss (-) is NOT reported to the IRS.

1a- Description of property/CUSIP/Symbol

1c- Date sold or disposed	Quantity	1d- Proceeds & 6- Reported (G)ross or (N)et	1b- Date acquired	1e- Cost or other basis	1f- Accrued mkt disc (D) & 1g- Wash sale loss disallowed (W)	7- Loss not allowed (X) also not reported (Z)	Additional information
HENNESSY FDS CORNERSTONE MID CAP 30 / CUSIP: 425888609 / Symbol: HIMDX							
10/06/16	939.547	18,453.81	Various	21,638.67	...	-3,184.86	Sale
Totals :		18,453.81		21,638.67		-3,184.86	

* This is important tax information and is being furnished to the Internal Revenue Service. 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. Remember, taxpayers are ultimately responsible for the accuracy of their tax return(s).

TD AMERITRADE CLEARING INC

Account 866733665

Detail for Dividends and Distributions

2016

02/06/2017

Security description	CUSIP and/or symbol	State	Date	Amount	Transaction type	Notes
PJT PARTNERS INC COM CL A	69343T107	PJT	03/23/16	0.10	Qualified dividend	
			06/22/16	0.10	Qualified dividend	
			09/21/16	0.10	Qualified dividend	
			12/21/16	0.10	Qualified dividend	
				0.40	Total Dividends & distributions	
WESTPORT FDS CL R SEE 425888609	961323102		09/21/16	4,608.10	Long-term capital gain	
				4,608.50	Total Dividends & distributions	

TD AMERITRADE CLEARING INC

Account 866733665

Detail for Interest Income

2016

02/06/2017

Security description	CUSIP and/or symbol	Date	Amount	Transaction type	Notes
FDIC INSURED DEPOSIT ACCOUNT CORE	9ZZZFD104 MMDA1	01/31/16	0.01	Interest- money mkt	
NOT COVERED BY SIPC		02/29/16	0.01	Interest- money mkt	
		03/31/16	0.01	Interest- money mkt	
		04/30/16	0.01	Interest- money mkt	
		05/31/16	0.01	Interest- money mkt	
		06/30/16	0.01	Interest- money mkt	
		07/31/16	0.01	Interest- money mkt	
		08/31/16	0.01	Interest- money mkt	
		09/30/16	0.01	Interest- money mkt	
		10/31/16	0.18	Interest- money mkt	
		11/30/16	0.22	Interest- money mkt	
		12/31/16	0.22	Interest- money mkt	
			0.71	Total Interest	
			0.71	Total Interest	

TD AMERITRADE CLEARING INC

Account 866733665

Other Receipts and Reconciliations

2016

02/06/2017

Security description	CUSIP and/or symbol	Date	Amount	Transaction type	Notes
THE BLACKSTONE GROUP LP COM	09253U108 BX	02/16/16	61.00	Partnership distribution	
		05/09/16	28.00	Partnership distribution	
		08/08/16	36.00	Partnership distribution	
		11/14/16	13.80	Partnership distribution	
		11/14/16	12.00	Partnership distribution	
		11/14/16	8.50	Partnership distribution	
		11/14/16	2.40	Partnership distribution	
		11/14/16	1.70	Partnership distribution	
		11/14/16	1.30	Partnership distribution	
		11/14/16	0.70	Partnership distribution	
		11/14/16	0.60	Partnership distribution	
			166.00	Total Partnership distribution	
			166.00	Total Partnership distribution	

TD AMERITRADE CLEARING INC

2016

Fees and Expenses

Account 866733665

02/06/2017

Description	CUSIP and/or symbol	Date	Amount	Transaction type	Notes
REORG FEE		09/26/16	-20.00	Miscellaneous fee	
			-20.00	Total Miscellaneous fee	

Common Instructions for Recipient

Recipient's identification number. For your protection, this form may show only the last four digits of your social security number (SSN), your taxpayer identification number (TIN), adoption taxpayer identification number (ATIN), or employer identification number (EIN). However, the issuer has reported your complete identification number to the IRS.

Account number. May show an account or other unique number the payer assigned to distinguish your account.

Backup withholding. Shows backup withholding. Generally, a payer must backup withhold if you did not furnish your taxpayer identification number. See Form W-9 and Pub. 505 for more information. Report this amount on your income tax return as tax withheld.

Nonliens. If this 1099 form includes amounts belonging to another person, you are considered a nominee recipient. You must file as the "payer" the respective Form 1099 (DIV, INT, or QID) Copy A (with a Form 1096) to the IRS for each of the other owners as recipient(s) to show their allocable share of the income and you must furnish the respective Copy B Form(s) and amounts to each owner. A spouse is not required to file a nominee return to show amounts owned by the other spouse. See the 2016 General Instructions for Certain Information Returns.

FATCA filing requirement. If the FATCA filing requirement box is checked, the payer is reporting on Form 1099 to satisfy its chapter 4 account reporting requirement. You also may have a filing requirement. See the Instructions for Form 8938.

Keep tax documents for your records.

1099-DIV Instructions for Recipient

Line 1a. Shows total ordinary dividends that are taxable. Include this amount on line 9a of Form 1040 or 1040A. Also, report it on Schedule B (Form 1040 or 1040A), if required.

Line 1b. Shows the portion of the amount on line 1a that may be eligible for reduced capital gains rates. See Form 1040/1040A instructions for how to determine this amount. Report the eligible amount on line 9b, Form 1040 or 1040A. The amount shown may be dividends a corporation paid directly to you as a participant (or beneficiary of a participant) in an employee stock ownership plan (ESOP). Report it as a dividend on your Form 1040/1040A but treat it as a plan distribution, not as investment income, for any other purpose.

Line 2a. Shows total capital gain distributions from a regulated investment company or real estate investment trust. Report the amounts shown on line 2a on Schedule D (Form 1040), line 13. But, if no amount is shown on lines 2c-2d and your only capital gains and losses are capital gain distributions, you may be able to report the amounts shown on line 2a on line 13 of Form 1040 (line 10 of Form 1040A) rather than Schedule D. See the Form 1040/1040A instructions.

Line 2b. Shows the portion of the amount on line 2a that is unrecaptured section 1250 gain from certain depreciable real property. Report this amount on the Unrecaptured Section 1250 Gain Worksheet-Line 19 in the Schedule D instructions (Form 1040).

Line 2c. Shows the portion of the amount on line 2a that is section 1202 gain from certain small business stock that may be subject to an exclusion. See the Schedule D (Form 1040) instructions.

Line 2d. Shows 28% rate gain from sales or exchanges of collectibles. If required, use this amount when completing the 28% Rate Gain Worksheet-Line 18 in the Instructions for Schedule D (Form 1040).

Line 3. Shows the part of the distribution that is nontaxable because it is a return of your cost (or other basis). You must reduce your cost (or other basis) by this amount for figuring gain or loss when you sell your stock. But if you get back all your cost (or other basis), report future distributions as capital gains. See Pub. 550.

Line 4. See "Backup Withholding" section.

Line 5. Shows your share of expenses of a nonpublicly offered regulated investment company, generally a nonpublicly offered mutual fund. If you file Form 1040, you may deduct these expenses on the "Other expenses" line on Schedule A (Form 1040) subject to the 2% limit. This amount is included on line 1a.

Line 6. Shows the foreign tax that you may be able to claim as a deduction or a credit on Form 1040. See the Form 1040 instructions.

Line 7. This line should be left blank if a regulated investment company reported the foreign tax shown on line 6.

Lines 8 and 9. Shows cash and noncash liquidation distributions.

Line 10. Shows exempt-interest dividends from a mutual fund or other regulated investment company paid to you during the calendar year. Include this amount on line 8b of Form 1040 or 1040A as tax-exempt interest. This amount may be subject to backup withholding. See line 4.

Line 11. Shows exempt-interest dividends subject to the alternative minimum tax. This amount is included in line 10. See the instructions for Form 6251.

Lines 12-14. State income tax withheld reporting lines.

Instructions for Recipient

1099-INT Instructions for Recipient

The information provided may be different for covered and noncovered securities. For a description of covered securities, see the Instructions for Form 8949. For a taxable covered security acquired at a premium, unless you notified the payer in writing in accordance with Regulations section 1.6045-1(n)(5) that you did not want to amortize the premium under section 171, or for a tax-exempt covered security acquired at a premium, your payer may report either (1) a net amount of interest that reflects the offset of the amount of interest paid to you by the amount of premium amortization allocable to the payment(s), or (2) a gross amount for both the interest paid to you and the premium amortization allocable to the payment(s). If you did notify your payer that you did not want to amortize the premium on a taxable covered security, then your payer will only report the gross amount of interest paid to you. For a noncovered security acquired at a premium, your payer is only required to report the gross amount of interest paid to you.

Line 1. Shows taxable interest paid to you during the calendar year by the payer. This does not include interest shown on line 3. May also show the total amount of the credits from clean renewable energy bonds, new clean renewable energy bonds, qualified energy conservation bonds, qualified zone academy bonds, qualified school construction bonds, and build America bonds that must be included in your interest income. These amounts were treated as paid to you during 2016 on the credit allowance dates (March 15, June 15, September 15, and December 15). For more information, see Form 8912. See the instructions above for a taxable covered security acquired at a premium.

Line 2. Shows interest or principal forfeited because of early withdrawal of time savings. You may deduct this amount to figure your adjusted gross income on your income tax return. See the Instructions for Form 1040 to see where to take the deduction.

Line 3. Shows interest on US Savings Bonds, Treasury bills, Treasury bonds, and Treasury notes. This may or may not all be taxable. See Pub. 550. This interest is exempt from state and local income taxes. This interest is not included on line 1. See the instructions above for a taxable covered security acquired at a premium.

Line 4. See "Backup Withholding" section.

Line 5. Any amount shown is your share of investment expenses of a single-class REMIC. If you file Form 1040, you may deduct these expenses on the "Other expenses" line of Schedule A (Form 1040) subject to the 2% limit. This amount is included on line 1.

Line 6. Shows foreign tax paid. You may be able to claim this tax as a deduction or a credit on your Form 1040. See your Form 1040 instructions.

Line 7. Shows the country or US possession to which the foreign tax was paid.

Line 8. Shows tax-exempt interest paid to you during the calendar year by the payer. Report this amount on line 8b of Form 1040 or Form 1040A. This amount may be subject to backup withholding. See line 4. See the instructions above for a tax-exempt covered security acquired at a premium.

Line 9. Shows tax-exempt interest subject to the alternative minimum tax. This amount is included on line 8. See the Instructions for Form 6251. See the instructions above for a tax-exempt covered security acquired at a premium.

Line 10. For a taxable or tax-exempt covered security, if you made an election under section 1278(b) to include market discount in income as it accrues and you notified your payer of the election in writing in accordance with Regulations section 1.6045-1(n)(5), shows the market discount that accrued on the debt instrument during the year while held by you, unless it was reported on Form 1099-OID. For a taxable or tax-exempt covered security, accrued market discount will be calculated on a constant yield basis unless you notified your payer in writing in accordance with Regulations section 1.6045-1(n)(5) that you did not want to make a constant yield election for market discount under section 1278(b). Report the accrued market discount on your income tax return as directed in the instructions for Form 1040 or 1040A. Market discount on a tax-exempt security is includible in taxable income as interest income.

Line 11. For a taxable covered security (other than a US Treasury obligation), shows the amount of premium amortization allocable to the interest payment(s), unless you notified the payer in writing in accordance with Regulations section 1.6045-1(n)(5) that you did not want to amortize bond premium under section 171. If an amount is reported on this line, see the Instructions for Form 1040 (Schedule B). If an amount is not reported on this line for a taxable covered security acquired at a premium and the payer is reporting premium amortization, the payer has reported a net amount of interest on line 1. If the amount on this line is greater than the amount of interest paid on the covered security, see Regulations section 1.171-2(a)(4).

Line 12. For a US Treasury obligation that is a covered security, shows the amount of premium amortization allocable to the interest payment(s), unless you notified the payer in writing in accordance with Regulations section 1.6045-1(n)(5) that you did not want to amortize bond premium under section 171. If an amount is reported on this line, see the Instructions for Form 1040 (Schedule B). If an amount is not reported on this line for a taxable covered security acquired at a premium and the payer is reporting premium amortization, the payer has reported a net amount of interest on line 1. If the amount on this line is greater than the amount of interest paid on the covered security, see Regulations section 1.171-2(a)(4).

Line 13. For a US Treasury obligation that is a covered security, shows the amount of premium amortization allocable to the interest payment(s), unless you notified the payer in writing in accordance with Regulations section 1.6045-1(n)(5) that you did not want to amortize bond premium under section 171. If an amount is reported on this line, see the Instructions for Form 1040 (Schedule B). If an amount is not reported on this line for a US Treasury obligation that is a covered security acquired at a premium and the payer is reporting premium amortization, the payer has reported a net amount of interest on

line 3. If the amount on this line is greater than the amount of interest paid on the US Treasury obligation, see Regulations section 1.171-2(a)(4).

Line 13. For a tax-exempt covered security, shows the amount of premium amortization allocable to the interest payment(s). If an amount is not reported on this line for a tax-exempt covered security acquired at a premium, the payer has reported a net amount of interest on line 8 or 9, whichever is applicable. If the amount on this line is greater than the amount of interest paid on the tax-exempt covered security, the excess is a nondeductible loss. See Regulations section 1.171-2(a)(4)(ii).

Line 14. Shows CUSIP number(s) for tax-exempt bond(s) on which tax-exempt interest was paid, or tax credit bond(s) on which taxable interest was paid or tax credit was allowed, to you during the calendar year. If blank, no CUSIP number was issued for the bond(s).

Lines 15-17. State tax withheld reporting lines.

1099-B Instructions for Recipient

Brokers and barter exchanges must report proceeds from (and in some cases, basis for) transactions to you and the IRS on Form 1099-B. Reporting is also required when your broker knows or has reason to know that a corporation in which you own stock has had a reportable change in control or capital structure. You may be required to recognize gain from the receipt of cash, stock, or other property that was exchanged for the corporation's stock. If your broker reported this type of transaction to you, the corporation is identified on line 1a.

CUSIP number. Shows the CUSIP (Committee on Uniform Security Identification Procedures) number or other applicable identifying number.

Applicable check box on Form 8949. Indicates where to report this transaction on Form 8949 and Schedule D, and which check box is applicable. See the instructions for your Schedule D and/or Form 8949.

Column 1a. Shows a brief description of the item or service for which amounts are being reported. For regulated futures contracts and forward contracts, "R-C" or other appropriate description may be shown. For Section 1256 option contracts, "Section 1256 option" or other appropriate description may be shown. For a corporation that had a reportable change in control or capital structure, this line may show the class of stock as C (common), P (preferred), or O (other).

Column 1b. This column may be blank if line 5 indicates noncovered tax lots or if the securities sold were acquired on a variety of dates. For short sales, the date shown is the date you acquired the security delivered to close the short sale.

Column 1c. Shows the trade date of the sale or exchange. For short sales, the date shown is the date the security was delivered to close the short sale. For aggregate reporting on lines 8 through 11, no entry will be present.

Column 1d. Shows the cash proceeds, reduced by any commissions or transfer taxes related to the sale, for transactions involving stocks, debt, commodities, forward contracts, non-Section 1256 option contracts, or securities futures contracts. May show the proceeds from the disposition of your interest(s) in a widely held fixed investment trust. May also show the aggregate amount of cash and the fair market value of any stock or other property received in a reportable change in control or capital structure arising from the corporate transfer of property to a foreign corporation. Losses on forward contracts or non-Section 1256 option contracts are shown in parentheses. This column does not include proceeds from regulated futures contracts or Section 1256 option contracts. Report this amount on Form 8949 or on Schedule D (whichever is applicable) as explained in the Instructions for Schedule D.

Column 1e. Shows the cost or other basis of securities sold. If the securities were acquired through the exercise of a non-compensatory option granted or acquired on or after January 1, 2014, the basis has been adjusted to reflect your option premium. If the securities were acquired through the exercise of a non-compensatory option granted or acquired before January 1, 2014, your broker is permitted, but not required, to adjust the basis to reflect your option premium. If the securities were acquired through the exercise of a compensatory option, the basis has not been adjusted to include any amount related to the option that was reported to you on a Form W-2. If line 5 indicates noncovered tax lots, column 1e may be blank. See the Instructions for Form 8949, Instructions for Schedule D, or Pub. 550 for details.

Column 1f. Shows the amount of accrued market discount. For details on market discount, see Schedule D (Form 1040) instructions, Instructions for Form 8949, and Pub. 550. If line 5 indicates noncovered, box 1f may be blank.

Column 1g. Shows the amount of nondeductible loss in a wash sale transaction. For details on wash sales, see Schedule D (Form 1040) instructions, Instructions for Form 8949, and Pub. 550. If line 5 indicates noncovered, box 1g may be blank.

Line 2. This indicates that the transaction is either short-term gain or loss, long-term gain or loss, or Undetermined. Additionally, if the transaction is an ordinary gain or loss, it will be noted under the column "Additional information" and your security may be subject to special rules. For example, gain on a contingent payment debt instrument subject to the noncontingent bond method generally is treated as ordinary interest income rather than as capital gain. Please see the Instructions for Form 8949, Pub. 550,

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or Pub. 1212 for more details on whether there are any special rules or adjustments that might apply to your security.

Line 3. If the basis in column 1e has been reported to the IRS, short or long term or ordinary must be indicated on line 2. If line 3 indicates basis is reported to IRS on Form(s) 1099-B and NO adjustment is required, see instructions for your Schedule D as you may be able to report your transaction directly on Schedule D. If Ordinary gain or loss is indicated for the transaction, an adjustment may be required.

Line 4. See "Backup Withholding" section.

Line 5. If the securities sold were noncovered securities columns 1b, 1c, 1f, 1g may be blank and line 2 may indicate short, long or undetermined term. Generally, a noncovered security means: stock purchased before 2011, stock in most mutual funds purchased before 2012, stock purchased in or transferred to a dividend reinvestment plan before 2012, debt acquired before 2014, options granted or acquired before 2014, and securities futures contracts entered into before 2014.

Column 6. If the exercise of a non-compensatory option resulted in a sale of a security, indicates whether the amount in column 1d was adjusted for premium.

Column 7. If checked, you cannot take a loss on your tax return based on gross proceeds from a reportable change in control or capital structure reported in column 1d. See the Form 8949 and Schedule D instructions. The broker should advise you of any losses on a separate statement.

Regulated Futures Contracts, Foreign Currency Contracts, and Section 1256 Option Contracts (Lines 8 through 11):

Line 8. Shows the profit or (loss) realized on regulated futures, foreign currency, or Section 1256 option contracts closed during 2016.

Line 9. Shows any year-end adjustment to the profit or (loss) shown on line 8 due to open contracts on December 31, 2015.

Line 10. Shows the unrealized profit or (loss) on open contracts held in your account on December 31, 2016. These are considered closed out as of that date. This will become an adjustment reported as unrealized profit or (loss) on open contracts-12/31/2016 in 2017.

Line 11. Lines 8, 9, and 10 are all used to figure the aggregate profit or (loss) on regulated futures, foreign currency, or Section 1256 option contracts for the year. Include this amount on your 2016 Form 6781.

Line 12. If checked, proceeds are from a transaction involving collectibles.

Lines 14-16. State income tax withheld reporting lines.

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