



## Matrix of Brokerage Statements Data Type

The purpose of this document is to illustrate for TY 2021, the type of data picked up from each broker statement (or related broker formats) viz. Sch D transactions, foreign gross incomes, tax exempt income allocations, accrued interest paid, investment expenses, & etc.

U N I Q U E  F O R M A T S	Brokerage houses using unique format	1099-B Summary			1099-B Detail			RGL Summary			RGL Detail		
	Brokerage Statements	Covered (Code A or D)	Noncovered (Code B or E)	Not Reported on 1099-B (Code C or F)	Covered (Code A or D)	Noncovered (Code B or E)	Not Reported on 1099-B (Code C or F)	Covered (Code A or D)	Noncovered (Code B or E)	Not Reported on 1099-B (Code C or F)	Covered (Code A or D)	Noncovered (Code B or E)	Not Reported on 1099-B (Code C or F)
	Betterment Securities	Yes	Yes	N/A	Yes	Yes	N/A	N/A	N/A	N/A	N/A	N/A	N/A
	Brown Brothers Harriman	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A
	Charles Schwab & Co., Inc.*	Yes	Yes	Yes	Yes	Yes	Yes	Yes	Yes	Yes	Yes	Yes	Yes
	Citigroup Global Mkts Inc.	Yes	Yes	N/A	Yes	Yes	N/A	N/A	N/A	N/A	N/A	N/A	N/A
	Edward Jones	Yes	Yes	N/A	Yes	Yes	N/A	N/A	N/A	N/A	N/A	N/A	N/A
	Fidelity Distributors Corp	Yes	Yes	N/A	Yes	Yes	N/A	N/A	N/A	N/A	N/A	N/A	N/A
	Goldman Sachs And Co.*	Yes	Yes	N/A	Yes	Yes	N/A	Yes	Yes	Yes	Yes	Yes	Yes
	Ingalls And Snyder LLC	N/A	Yes	N/A	N/A	Yes	N/A	N/A	N/A	N/A	N/A	N/A	N/A
	Interactive Brokers LLC	Yes	Yes	N/A	Yes	Yes	N/A	N/A	N/A	N/A	N/A	N/A	N/A
	JPMorgan Chase Bank, N.A.	Yes	Yes	Yes	Yes	Yes	Yes	N/A	N/A	N/A	N/A	N/A	N/A
	Lending Club Corporation	Yes	Yes	N/A	Yes	Yes	N/A	N/A	N/A	N/A	N/A	N/A	N/A
	Merrill Lynch	Yes	Yes	N/A	Yes	Yes	N/A	N/A	N/A	N/A	N/A	N/A	N/A
	Morgan Stanley & Co. Incorporated	Yes	Yes	N/A	Yes	Yes	N/A	N/A	N/A	N/A	N/A	N/A	N/A
	Putnam Investment*	N/A	N/A	N/A	Yes	Yes	N/A	N/A	N/A	N/A	N/A	N/A	N/A
	RBC Capital Markets*	Yes	Yes	N/A	Yes	Yes	N/A	N/A	N/A	N/A	Yes	Yes	N/A
	Sanford C Bernstein & Co. LLC.	N/A	N/A	N/A	N/A	N/A	N/A	Yes	Yes	N/A	Yes	Yes	N/A
	Southwest Securities Inc	Yes	Yes	N/A	Yes	Yes	N/A	N/A	N/A	N/A	N/A	N/A	N/A
	Stephens Inc	Yes	Yes	N/A	Yes	Yes	N/A	N/A	N/A	N/A	N/A	N/A	N/A
	Trust Company of America	Yes	Yes	N/A	Yes	Yes	N/A	N/A	N/A	N/A	N/A	N/A	N/A
	UBS Swiss Financial*	Yes	Yes	N/A	Yes	Yes	N/A	Yes	Yes	N/A	Yes	Yes	N/A
	The Vanguard Group*	N/A	N/A	N/A	Yes	Yes	N/A	N/A	N/A	N/A	N/A	N/A	N/A
	Vanguard Market Corporation	Yes	Yes	N/A	Yes	Yes	N/A	N/A	N/A	N/A	N/A	N/A	N/A

**Important points for the Broker houses are indicated with distinct colors:**

**Yes** - Appears on the document and captured by OCR

**N/A** - Does not appear on the document.

**No** - Information available on document BUT not captured by OCR.

\* **Brokerage houses with Blue color:**

1) When binder qualifies for 'Detail transactions without 8949 option', OCR will capture all the infomation related to Schedule D transactions from the document.

2) When binder qualifies for 'Summary transactions without 8949 option', 'Summary transactions with 8949 option' and 'Detail transactions with 8949 option', OCR will capture DETAIL information of only **Proceeds, Cost, Term code (If applicable) and Form 8949 type** from the document.

\* **Brokerage house with Salmon color:**

1) When binder qualifies for Summary transactions, OCR will capture all the information related to covered/non-covered from the 1099-B summary and NOT from the Realized gain/loss statement summary. This is because the realized gain/loss schedule does not provide summary information of covered/non-covered transactions.

2) When binder qualifies for Detail transactions, OCR will capture all the information related to covered/non-covered from its respective schedules i.e., 1099-B details from 1099-B statement and Realized gain/loss detail from realized gain/loss statement.

\* **Brokerage houses with Dark Gray color:**

OCR captures data from both Form 1099-B and Realized Gain/Loss statements, however information from the statements that are highlighted in the Dark Gray color will be exported to the tax software.

C O M M O N  F O R M A T S	Brokerage houses using common format	1099-B Summary			1099-B Detail			RGL Summary			RGL Detail		
	Brokerage Statements	Covered	Noncovered	Not Reported on 1099-B	Covered	Noncovered	Not Reported on 1099-B	Covered	Noncovered	Not Reported on 1099-B	Covered	Noncovered	Not Reported on 1099-B
	Apex Clearing and other brokerages with same format.	Yes	Yes	N/A	Yes	Yes	N/A	N/A	N/A	N/A	N/A	N/A	N/A
	E-Trade Financial and other brokerages with same format	Yes	Yes	N/A	Yes	Yes	N/A	N/A	N/A	N/A	N/A	N/A	N/A
	Fifth Third Bank and other brokerages with same format	Yes	Yes	Yes	Yes	Yes	Yes	N/A	N/A	N/A	N/A	N/A	N/A
	First Clearing, LLC and other brokerages with same format	Yes	Yes	Yes	Yes	Yes	Yes	N/A	N/A	N/A	N/A	N/A	N/A
	GreenLeaf and other brokerages with same format	Yes	Yes	N/A	Yes	Yes	N/A	N/A	N/A	N/A	N/A	N/A	N/A
	Grantor Letter and other brokerages with same format	Yes	Yes	N/A	Yes	Yes	N/A	Yes	Yes	N/A	N/A	N/A	N/A
	ML Sterns and other brokerages with same format*	N/A	N/A	N/A	Yes	Yes	N/A	N/A	N/A	N/A	N/A	N/A	N/A
	National Financial Services LLC and other brokerages with same format	Yes	Yes	N/A	Yes	Yes	N/A	N/A	N/A	N/A	N/A	N/A	N/A
	Pershing LLC and other brokerages with same format	Yes	Yes	Yes	Yes	Yes	Yes	N/A	N/A	N/A	N/A	N/A	N/A
	PNC Investments and other brokerages with same format*	N/A	N/A	N/A	Yes	Yes	N/A	N/A	N/A	N/A	N/A	N/A	N/A
	Raymond James Financial Services and other brokerages with same format	Yes	Yes	Yes	Yes	Yes	Yes	N/A	N/A	N/A	N/A	N/A	N/A
	Stifel Nicolaus and other brokerages with same format	Yes	Yes	Yes	Yes	Yes	Yes	N/A	N/A	N/A	N/A	N/A	N/A
	SentinelTrust and other with same format	Yes	Yes	N/A	Yes	Yes	N/A	N/A	N/A	N/A	N/A	N/A	N/A
	TaxWorksheet and other with same format*	N/A	N/A	N/A	Yes	Yes	N/A	N/A	N/A	N/A	N/A	N/A	N/A
	US Trust and other brokerages with same format	Yes	Yes	Yes	Yes	Yes	Yes	N/A	N/A	N/A	N/A	N/A	N/A

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2) When binder qualifies for 'Summary transactions without 8949 option', 'Summary transactions with 8949 option' and 'Detail transactions with 8949 option', OCR will capture DETAIL information of only Proceeds, Cost, Term code (If applicable) and Form 8949 type from the document.

\*\* In Grantor Letters OCR does captures the summary and detail transactions of Section 1202 Gain (Qualified Small Business Stock).

	Brokerage houses using unique format	SUMMARY													
	Brokerage Statements	1099 INT	1099 DIV	1099 MISC	1099 OID	Covered / Noncovered Information	1099B Summary	Realized Gain loss Summary	Investment Expenses	Margin Interest	Foreign Dividend Income	US Obligation on Dividend	State Taxable/Sta te Non Taxable INT Summary	State Taxable/Sta te Non Taxable DIV Summary	State Taxable/State Non Taxable OID Summary
U N I Q U E  F O R M A T S	Betterment Securities*	Yes	Yes	N/A	N/A	Yes	Yes	N/A	N/A	N/A	Yes	Yes	N/A	Yes	N/A
	Brown Brothers Harriman	Yes	Yes	Yes	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A
	Charles Schwab & Co., Inc	Yes	Yes	Yes	Yes	Yes	Yes	Yes	Yes	Yes	N/A	N/A	N/A	N/A	N/A
	Citigroup Global Mkts Inc.	Yes	Yes	Yes	Yes	Yes	Yes	N/A	Yes	Yes	N/A	N/A	N/A	N/A	N/A
	Edward Jones	Yes	Yes	N/A	Yes	Yes	Yes	N/A	Yes	Yes	N/A	Yes	Yes	N/A	N/A
	Fidelity Distributors Corp	N/A	Yes	N/A	N/A	Yes	Yes	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A
	Goldman Sachs And Co.*	Yes	Yes	Yes	Yes	Yes	Yes	Yes	Yes	Yes	Yes	N/A	N/A	N/A	N/A
	Ingalls And Snyder LLC	Yes	Yes	N/A	Yes	Yes	Yes	N/A	Yes	Yes	N/A	N/A	N/A	N/A	N/A
	Interactive Brokers LLC	Yes	Yes	Yes	Yes	Yes	Yes	N/A	Yes	Yes	N/A	N/A	N/A	N/A	N/A
	JPMorgan Chase Bank, N.A. *	Yes	Yes	Yes	Yes	Yes	Yes	N/A	Yes	N/A	Yes	N/A	N/A	N/A	N/A
	Lending Club Corporation	N/A	N/A	N/A	Yes	Yes	Yes	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A
	Merrill Lynch	Yes	Yes	Yes	Yes	Yes	Yes	N/A	Yes	Yes	N/A	N/A	N/A	N/A	N/A
	Morgan Stanley & Co. Incorporated*	Yes	Yes	Yes	Yes	Yes	Yes	N/A	Yes	Yes	Yes	N/A	N/A	N/A	N/A
	Putnam Investment	N/A	Yes	N/A	N/A	Yes	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A
	RBC Capital Markets	Yes	Yes	Yes	Yes	Yes	Yes	N/A	Yes	Yes	N/A	N/A	N/A	N/A	N/A
	Sanford C Bernstein & Co. LLC.	Yes	Yes	Yes	Yes	Yes	N/A	Yes	Yes	Yes	N/A	Yes	N/A	Yes	N/A
	Southwest Securities Inc	Yes	Yes	Yes	Yes	Yes	Yes	N/A	Yes	Yes	N/A	N/A	N/A	N/A	N/A
	Stephens Inc	Yes	Yes	Yes	Yes	Yes	Yes	N/A	N/A	Yes	N/A	N/A	N/A	N/A	N/A
	Trust Company of America	Yes	Yes	N/A	N/A	Yes	Yes	N/A	Yes	N/A	N/A	N/A	N/A	N/A	N/A
	UBS Swiss Financial	Yes	Yes	N/A	N/A	Yes	Yes	Yes	Yes	N/A	N/A	N/A	N/A	N/A	N/A
	The Vanguard Group	Yes	Yes	N/A	N/A	Yes	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A
	Vanguard Market Corporation*	Yes	Yes	Yes	Yes	Yes	Yes	N/A	Yes	Yes	Yes	N/A	N/A	N/A	N/A

Yes - Appears on the document and captured by OCR

N/A - Does not appear on the document.

No - Information available on document BUT not captured by OCR.

\*Brokerage houses with Blue color:

- 1) In these broker statements, summary information for the Foreign Ordinary Dividend Income (FOI) and Foreign Qualified Dividend Income (FQI) is provided, hence OCR will pick-up the total amount of FOI and FQI as Foreign Source Income.
- 2) If summary information is not avaiable, then OCR will capture the Foreign Source Incomes from the Details of Dividend Income statements.

Note : OCR captures the summarized information for Tax-Exempt Interest, Tax-Exempt Dividend and Tax-Exempt OID income. These amounts are further bifurcated in resident state taxable and state non-taxable. OCR even captures the detail transactions too. But priortiy is provided to summary.

	Brokerage houses using unique format	DETAILS													
	Brokerage Statements	1099B Details	Realized Gain loss Details	Interest Income Details	Interest on US Bond Obligaiton Details	Tax Exempt Interest Income	Bond Premium on Tax Exempt	Bond Premium on Tax Exempt OID income	Foreign Dividend Income	Tax exempt Dividend Income	Accrued Interest on Box 1	Accrued Interest on Box 3	Accrued Interest paid on Tax exempt interest	Tax exempt OID	Tax exempt OID subj. to AMT
U N I Q U E  F O R M A T S	Betterment Securities*	Yes	N/A	Yes	N/A	N/A	N/A	N/A	Yes	Yes	N/A	N/A	N/A	N/A	N/A
	Brown Brothers Harriman	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A
	Charles Schwab & Co., Inc	Yes	Yes	Yes	Yes	Yes	Yes	Yes	Yes	Yes	Yes	Yes	Yes	Yes	N/A
	Citigroup Global Mkts Inc.	Yes	N/A	Yes	Yes	Yes	N/A	N/A	Yes	Yes	Yes	Yes	Yes	Yes	N/A
	Edward Jones	Yes	N/A	Yes	Yes	Yes	Yes	Yes	Yes	Yes	Yes	Yes	Yes	Yes	N/A
	Fidelity Distributors Corp	Yes	N/A	N/A	N/A	N/A	N/A	N/A	Yes	Yes	N/A	N/A	N/A	N/A	N/A
	Goldman Sachs And Co.*	Yes	Yes	Yes	Yes	Yes	Yes	Yes	Yes	Yes	Yes	Yes	Yes	Yes	N/A
	Ingalls And Snyder LLC	Yes	N/A	N/A	N/A	Yes	N/A	N/A	Yes	Yes	N/A	N/A	N/A	N/A	N/A
	Interactive Brokers LLC	Yes	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A
	JPMorgan Chase Bank, N.A.*	Yes	N/A	Yes	Yes	Yes	Yes	Yes	Yes	Yes	Yes	Yes	Yes	Yes	N/A
	Lending Club Corporation	Yes	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A
	Merrill Lynch	Yes	N/A	Yes	Yes	Yes	Yes	Yes	Yes	Yes	Yes	Yes	Yes	Yes	N/A
	Morgan Stanley & Co. Incorporated*	Yes	N/A	Yes	Yes	Yes	Yes	Yes	Yes	Yes	Yes	Yes	Yes	Yes	N/A
	Putnam Investment	Yes	N/A	N/A	N/A	Yes	N/A	N/A	Yes	Yes	N/A	N/A	N/A	N/A	N/A
	RBC Capital Markets	Yes	Yes	Yes	Yes	Yes	Yes	Yes	Yes	Yes	Yes	Yes	Yes	Yes	N/A
	Sanford C Bernstein & Co. LLC.	N/A	Yes	No	No	Yes	N/A	N/A	Yes	Yes	Yes	Yes	No	Yes	N/A
	Southwest Securities Inc	Yes	N/A	Yes	Yes	Yes	Yes	N/A	Yes	Yes	Yes	Yes	Yes	N/A	N/A
	Stephens Inc	Yes	N/A	Yes	Yes	Yes	Yes	Yes	Yes	Yes	N/A	N/A	Yes	N/A	N/A
	Trust Company of America	Yes	N/A	Yes	Yes	Yes	Yes	Yes	Yes	Yes	N/A	N/A	N/A	N/A	N/A
	UBS Swiss Financial	Yes	Yes	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A
	The Vanguard Group	Yes	N/A	N/A	N/A	Yes	N/A	N/A	Yes	Yes	N/A	N/A	N/A	N/A	N/A
	Vanguard Market Corporation*	Yes	N/A	Yes	Yes	Yes	Yes	No	Yes	Yes	Yes	Yes	Yes	Yes	Yes

Yes - Appears on the document and captured by OCR

N/A - Does not appear on the document.

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\*Brokerage houses with Blue color:

In such type of broker statements summary information for the Foreign Ordinary as well as Qualified dividend is provided, hence system will pick-up the total amount of foreign ordinary and qualified dividend as foreign source income. If Summary is not availaible, then system will captures the foreign source income from the details of dividend income.

\*\* The Tax-Exmpt Div details , Tax-Exmpt Dividend Summary , Accrued Interest box 1 and Box 3 captured by OCR in Sanford C Bernstein & Co. LLC are only updated on Development , But they will be on production after extension season.

C O M M O N  F O R M A T S	Brokerage houses using common format	SUMMARY													
	Brokerage Statements	1099 INT	1099 DIV	1099 MISC	1099 OID	Covered / Noncovered Information	1099B Summary	Realized Gain loss Summary	Investment Expenses	Margin interest	Foreign Dividend Income	US Obligation on Dividend	State Taxable/Stat e Non Taxable INT Summary	State Taxable/Stat e Non Taxable DIV Summary	State Taxable/Stat e Non Taxable OID Summary
	Apex Clearing and other brokerages with same format.	Yes	Yes	Yes	Yes	Yes	Yes	N/A	Yes	Yes	Yes	N/A	N/A	N/A	N/A
	E-Trade Financial and other brokerages with same format	Yes	Yes	Yes	Yes	Yes	Yes	N/A	Yes	Yes	N/A	Yes	N/A	N/A	N/A
	Fifth Third Bank and other brokerages with same format*	Yes	Yes	Yes	Yes	Yes	Yes	N/A	Yes	Yes	Yes	Yes	Yes	Yes	Yes
	First Clearing, LLC and other brokerages with same format*	Yes	Yes	Yes	Yes	Yes	Yes	N/A	Yes	Yes	Yes	N/A	N/A	N/A	N/A
	GreenLeaf and other brokerages with same format	Yes	Yes	Yes	Yes	Yes	Yes	N/A	Yes	N/A	Yes	Yes	Yes	N/A	N/A
	Grantor Letter and other brokerages with same format*	Yes	Yes	Yes	N/A	N/A	N/A	Yes	Yes	Yes	Yes	Yes	Yes	Yes	N/A
	ML Sterns and other brokerages with same format	Yes	Yes	N/A	Yes	Yes	N/A	N/A	N/A	Yes	N/A	N/A	N/A	N/A	N/A
	National Financial Services LLC and other brokerages with same format *	Yes	Yes	Yes	Yes	Yes	Yes	N/A	Yes	Yes	Yes	N/A	N/A	N/A	N/A
	Pershing LLC and other brokerages with same format*	Yes	Yes	Yes	Yes	Yes	Yes	N/A	Yes	Yes	Yes	N/A	N/A	N/A	N/A
	PNC Investments and other brokerages with same format	Yes	Yes	Yes	Yes	Yes	N/A	Yes	Yes	Yes	N/A	N/A	N/A	N/A	N/A
	Raymond James Financial Services and other brokerages with same format*	Yes	Yes	Yes	Yes	Yes	Yes	N/A	Yes	Yes	Yes	N/A	Yes	N/A	Yes
	Stifel Nicolaus and other brokerages with same format	Yes	Yes	Yes	Yes	Yes	Yes	N/A	Yes	Yes	N/A	N/A	N/A	N/A	N/A
	SentinelTrust and other with same format	Yes	Yes	N/A	N/A	Yes	Yes	N/A	Yes	N/A	N/A	N/A	N/A	N/A	N/A
	TaxWorksheet and other with same format*	Yes	Yes	N/A	N/A	Yes	N/A	N/A	Yes	N/A	Yes	Yes	N/A	Yes	N/A
	US Trust and other brokerages with same format*	Yes	Yes	Yes	Yes	Yes	Yes	N/A	Yes	Yes	Yes	Yes	Yes	Yes	Yes

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	Apex Clearing and other brokerages with same format	Yes	N/A	Yes	Yes	Yes	Yes	Yes	Yes	Yes	Yes	Yes	Yes	N/A	N/A
	E-Trade Financial and other brokerages with same format	Yes	N/A	Yes	Yes	Yes	Yes	Yes	Yes	Yes	Yes	Yes	Yes	Yes	N/A
	Fifth Third Bank and other brokerages with same format*	Yes	N/A	No	No	No	Yes	Yes	No	No	N/A	N/A	N/A	No	N/A
	First Clearing, LLC and other brokerages with same format*	Yes	N/A	Yes	Yes	Yes	Yes	Yes	Yes	Yes	Yes	Yes	Yes	Yes	N/A
	GreenLeaf and other brokerages with same format	Yes	N/A	No	No	Yes	No	N/A	Yes	Yes	N/A	N/A	N/A	N/A	N/A
	Grantor Letter and other brokerages with same format*	N/A	Yes	N/A	N/A	Yes	N/A	N/A	N/A	Yes	N/A	N/A	N/A	N/A	N/A
	ML Sterns and other brokerages with same format	Yes	N/A	Yes	Yes	Yes	Yes	N/A	Yes	N/A	Yes	Yes	Yes	N/A	N/A
	National Financial Services LLC and other brokerages with same format *	Yes	N/A	Yes	Yes	Yes	Yes	Yes	Yes	Yes	Yes	Yes	Yes	Yes	N/A
	Pershing LLC and other brokerages with same format*	Yes	N/A	Yes	Yes	Yes	Yes	Yes	Yes	Yes	Yes	Yes	Yes	Yes	Yes
	PNC Investments and other brokerages with same format	Yes	Yes	Yes	Yes	Yes	N/A	N/A	Yes	Yes	Yes	Yes	Yes	Yes	Yes
	Raymond James Financial Services and other brokerages with same format*	Yes	N/A	Yes	Yes	Yes	Yes	Yes	Yes	Yes	Yes	Yes	Yes	Yes	N/A
	Stifel Nicolaus and other brokerages with same format	Yes	N/A	Yes	Yes	Yes	N/A	N/A	Yes	Yes	Yes	Yes	Yes	Yes	Yes
	SentinelTrust and other with same format	Yes	N/A	Yes	N/A	Yes	N/A	N/A	N/A	Yes	N/A	N/A	N/A	N/A	N/A
	TaxWorksheet and other with same format*	Yes	N/A	No	No	Yes	N/A	N/A	N/A	Yes	N/A	N/A	N/A	N/A	N/A
	US Trust and other brokerages with same format*	Yes	N/A	No	No	No	Yes	N/A	No	No	N/A	N/A	N/A	No	N/A

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