



## **Matrix of Brokerage Statements Data Type**

The purpose of this document is to illustrate for TY 2023, the type of data captured from each broker statement (or related broker formats) viz. Schedule D transactions, foreign gross incomes, tax-exempt income allocations, accrued interest paid, investment expenses, etc.

	Brokerage houses using unique format	1099-B Summary			1099-B Detail			RGL Summary			RGL Detail		
		Covered (Code A or D)	Non-covered (Code B or E)	Not Reported on 1099-B (Code C or F)	Covered (Code A or D)	Non-covered (Code B or E)	Not Reported on 1099-B (Code C or F)	Covered (Code A or D)	Non-covered (Code B or E)	Not Reported on 1099-B (Code C or F)	Covered (Code A or D)	Non-covered (Code B or E)	Not Reported on 1099-B (Code C or F)
U N I Q U E	Brokerage Statements	Yes	Yes	N/A	Yes	Yes	N/A	N/A	N/A	N/A	N/A	N/A	N/A
	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									
	Charles Schwab & Co., Inc	Yes	Yes	Yes									
	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
F O R M A T S	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 Domestic Holdings, Inc.	Yes	Yes	N/A	Yes	Yes	N/A	N/A	N/A	N/A	N/A	N/A	N/A
	Morgan Stanley Domestic Holdings, Inc. (Stock Plan Account)	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
	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									
	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

Important points for the Brokerage houses on this page are indicated with distinct colors:

**Yes** - Appears on the document and captured by OCR. **N/A** - Does not appear on the document.

Brokerage house in **blue** color:

1. When the binder qualifies for Detail transactions without 8949 option, OCR will capture all the information related to Schedule D transactions from the document.
2. When the 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 in **pink** color:

1. When the 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 gains/loss statement summary. This is because the realized gain/loss schedule does not provide summary information of covered/non-covered transactions.
2. When the 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 house in **brown** color:

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

Brokerage houses using common format		1099-B Summary			1099-B Detail			RGL Summary			RGL Detail		
C O M M O N  F O R M A T S	Brokerage Statements	Covered	Non-covered	Not Reported on 1099-B	Covered	Non-covered	Not Reported on 1099-B	Covered	Non-covered	Not Reported on 1099-B	Covered	Non-covered	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
	<b>ML Sterns and other brokerages with same format</b>	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
	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
	SentinelTrust 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
	<b>TaxWorksheet and other brokerages with same format</b>	N/A	N/A	N/A	Yes	Yes	N/A	N/A	N/A	N/A	N/A	N/A	N/A
	<b>TaxInformationWorksheet and other brokerages with same format</b>	N/A	N/A	N/A	N/A	N/A	N/A	Yes	Yes	N/A	Yes	Yes	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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Brokerage house in **blue** color:

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2. When the 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 houses using unique format		Summary														
		1099-INT	1099-DIV	1099-MISC	1099-OID	Covered/ Non-covered Information	1099-B Summary	Realized Gain/Loss Summary	Investment Expenses	Margin Interest	Foreign Dividend Income	US Obligation on Dividend	State Taxable/ State Non-Taxable INT Summary	State Taxable/ State Non-Taxable DIV Summary	State Taxable/ State Non-Taxable OID Summary	
U N I Q U E  F O R M A T S	Brokerage Statements	Yes	Yes	N/A	N/A	Yes	Yes	N/A	N/A	N/A	Yes	Yes	N/A	Yes	N/A	N/A
	Betterment Securities	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	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	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	N/A
	Edward Jones	Yes	Yes	N/A	Yes	Yes	Yes	N/A	Yes	Yes	N/A	Yes	Yes	N/A	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	N/A
	Goldman Sachs and Co.	Yes	Yes	Yes	Yes	Yes	Yes	Yes	Yes	Yes	Yes	N/A	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	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	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	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	N/A
	Merrill Lynch	Yes	Yes	Yes	Yes	Yes	Yes	N/A	Yes	Yes	N/A	N/A	N/A	N/A	N/A	N/A
	Morgan Stanley Domestic Holdings, Inc.	Yes	Yes	Yes	Yes	Yes	Yes	N/A	Yes	Yes	Yes	N/A	N/A	N/A	N/A	N/A
	Morgan Stanley Domestic Holdings, Inc. (Stock Plan Account)	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	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	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	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	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	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	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	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	N/A

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**Yes** - Appears on the document and captured by OCR. **N/A** - Does not appear on the document.

Brokerage house in **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 capture the total amount of FOI and FQI as Foreign Source Income.
2. If summary information is not available, then OCR will capture the Foreign Source Incomes from 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 captures the detail transactions, but priority is provided to summary.

Brokerage houses using unique format		Details													
U N I Q U E  F O R M A T S	Brokerage Statements	1099-B Details	Realized Gain/Loss Details	Interest Income Details	Interest on US Bond Obligation Details	Tax-Exempt Interest Income	Bond Premium on Tax-Exempt	Bond Premium on Tax-Exempt OID	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
	<b>Betterment Securities</b>	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
	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
	<b>Goldman Sachs and Co.</b>	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	Yes	Yes	N/A	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
	<b>JPMorgan Chase Bank, N.A.</b>	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
	<b>Morgan Stanley Domestic Holdings, Inc.</b>	Yes	N/A	Yes	Yes	Yes	Yes	Yes	Yes	Yes	Yes	Yes	Yes	Yes	N/A
	Morgan Stanley Domestic Holdings, Inc. (Stock Plan Account)	Yes	N/A	N/A	N/A	N/A	N/A	N/A	Yes	N/A	N/A	N/A	N/A	N/A	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
	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

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Brokerage houses using common format		Summary													
C O M M O N F O R M A T S	Brokerage Statements	1099-INT	1099-DIV	1099-MISC	1099-OID	Covered/ Non-covered Information	1099-B Summary	Realized Gain/Loss Summary	Investment Expenses	Margin Interest	Foreign Dividend Income	US Obligation on Dividend	State Taxable/ State Non-taxable INT Summary	State Taxable/ State Non-taxable DIV Summary	State Taxable/ State 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	Yes
	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
	SentinelTrust and other brokerages 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 brokerages with same format	Yes	Yes	N/A	N/A	Yes	N/A	N/A	Yes	N/A	Yes	Yes	N/A	Yes	N/A
	TaxInformationWorksheet and other brokerages with same format	Yes	Yes	N/A	N/A	N/A	N/A	N/A	Yes	N/A	Yes	Yes	Yes	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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1. In these broker statements, summary information of the Foreign Ordinary Dividend Income (FOI) and Foreign Qualified Dividend Income (FQI) is provided, hence OCR will capture the total amount of FOI and FQI as Foreign Source Income.
2. If summary information is not available, then OCR will capture the Foreign Source Income 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 exempt and state taxable. OCR will capture the detail transactions, but priority is provided to summary.

Brokerage houses using common format		Details														
C O M M O N  F O R M A T S	Brokerage Statements	1099-B Details	Realized Gain/Loss Details	Interest Income Details	Interest on US Bond Obligation Details	Tax-Exempt Interest Income	Bond Premium on Tax-Exempt	Bond Premium on Tax-Exempt OID	Foreign Dividend Income	Tax-Exempt Dividend Income	Accrued Interest on Box 1	Accrued Interest on Box 3	Accrued Interest paid on Tax-Exempt	Tax-Exempt OID	Tax-Exempt OID subj. to AMT	
	Apex Clearing and other brokerages with same format	Yes	N/A	Yes	Yes	Yes	Yes	Yes	Yes	Yes	Yes	Yes	Yes	Yes	Yes	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	Yes	N/A
	<b>Fifth Third Bank and other brokerages with same format</b>	Yes	N/A	No	No	No	Yes	Yes	No	No	N/A	N/A	N/A	No	No	N/A
	<b>First Clearing, LLC and other brokerages with same format</b>	Yes	N/A	Yes	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	Yes	N/A	N/A
	<b>Grantor Letter and other brokerages with same format</b>	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	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	N/A
	<b>National Financial Services LLC and other brokerages with same format</b>	Yes	N/A	Yes	Yes	Yes	Yes	Yes	Yes	Yes	Yes	Yes	Yes	Yes	Yes	N/A
	<b>Pershing LLC and other brokerages with same format</b>	Yes	N/A	Yes	Yes	Yes	Yes	Yes	Yes	Yes	Yes	Yes	Yes	Yes	Yes	Yes
	<b>Raymond James Financial Services and other brokerages with same format</b>	Yes	N/A	Yes	Yes	Yes	Yes	Yes	Yes	Yes	Yes	Yes	Yes	Yes	Yes	N/A
	SentinelTrust and other brokerages with same format	Yes	N/A	Yes	N/A	Yes	N/A	N/A	Yes	Yes	N/A	N/A	N/A	N/A	N/A	N/A
	<b>TaxWorksheet and other brokerages with same format</b>	Yes	N/A	No	No	Yes	N/A	N/A	N/A	Yes	N/A	N/A	N/A	N/A	N/A	N/A
	<b>TaxInformationWorksheet and other brokerages with same format</b>	N/A	Yes	No	No	No	N/A	N/A	No	No	N/A	N/A	N/A	N/A	N/A	N/A
	<b>US Trust and other brokerages with same format</b>	Yes	N/A	No	No	No	Yes	N/A	No	No	N/A	N/A	N/A	No	No	N/A

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Brokerage house in **blue** color:

In such type of broker statements summary information for the Foreign Ordinary as well as Qualified dividend is provided, hence the system will capture the total amount of Foreign Ordinary and Qualified Dividend as Foreign Source Income. If summary is not available, then the system will capture the Foreign Source Income from the Details of Dividend Income.