

National Planning Holdings Investor Supplemental Guide

As you prepare for tax season, our comprehensive 2017/2018 Tax Season Investor Guide contains all the tools you may need to ensure that you can easily address year-end planning, tax concerns, and questions that you might face. It will help you become familiar with important dates, deadlines, challenges, and opportunities that may arise during tax season.

The LPL Investor Tax Guide is available on [LPL.com | Disclosures | 2017/2018 Tax Season Guide - Investor Edition](#). This supplemental guide provides the most relevant and essential information to begin planning for the months ahead.

Information about Your Tax Information Statement

You could potentially receive two tax statements; one for prior firm reporting and another one for reportable transactions at LPL.

If your account was transferred to LPL during 2017, your LPL Tax Information Statement only includes activity (including income accruals) during the time you conducted business with us. The former financial organization should provide you with Tax Information Statement for activities that occurred before your account was transferred. You will receive two Tax Information Statements for tax year 2017.

If your account is transferred to LPL in 2018, you will not receive any 2017 LPL Tax Information Statement. The former financial organization should provide you with the Tax Information Statement for activity that occurred during tax year 2017.

Preliminary 1099 Consolidated Tax Statement Will Be Available

A preliminary 1099 Consolidated Tax Form Statement will be available on February 15 for accounts that will not receive a final 1099 Consolidated Tax Form Statement until March 1 or March 15. This is an advanced draft copy of the 1099 Consolidated Tax Forms. The preliminary form will be available electronically and will not be mailed. You will be able to access your Preliminary 1099 Consolidated Tax Form on Account View.

Tools Available

Explore Account View to access your tax statements and cost basis reporting. Unrealized Gain/Loss information is available on Account View. Realized and Unrealized Gain/Loss information is available on your quarterly statements.

Additional Year End and Tax Season material is on [LPL.com | Disclosures | 2017/2018 Tax Season Guide - Investor Edition](#).

For the complete Pershing Tax Guide, log on to [mytaxhandbook.com](#)

¹ This information is not intended to be a substitute for specific individualized tax advice. We suggest that you discuss your specific tax issues with a qualified tax advisor.