

UBS AG
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Tax Year 2016 Combined Form

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.

Recipient's Information



PK65UZ01001147
 011488393
 ANTERVEDI MUKUL
 1023 VALLEY DRIVE
 WEST CHESTER PA 19382

Payer's Information

UBS AG
 Federal ID Number: 98-0186363

Taxpayer ID Number:
 Account Number: ESAP3780945

Form 1099-DIV: Dividends and Distributions

Original

(OMB No. 1545-0110)

Box	Description		Box	Description	
1a.	Total ordinary dividends	\$57.94	7.	Foreign country or U.S. possession	GERMANY
1b.	Qualified dividends	\$57.94			
2a.	Total capital gain distribution (includes lines 2b, 2c, 2d)		8.	Cash liquidation distributions	
2b.	Unrecap. Sec. 1250 gain		9.	Noncash liquidation distributions	
2c.	Section 1202 gain		10.	Exempt-interest dividends	
2d.	Collectibles (28%) gain		11.	Specified private activity bond interest dividends	
3.	Nondividend distributions		12.	State	
4.	Federal income tax withheld	\$16.07	13.	State identification no.	
5.	Investment expenses		14.	State tax withheld	
6.	Foreign tax paid	\$15.28		FATCA filing requirement	No

** See Details

1099-Div

Date	Box 1a. Total ordinary dividends	Box 1b. Qualified dividends	Box 2a. Total capital gain distr.	Box 2b. Unrecap. Sec. 1250 gain	Other
05/13/2016	\$57.94	\$57.94			Box 4. \$16.07 Box 6. \$15.28 Box 7. GERMANY FATCA Fil. Req. No
	\$57.94	\$57.94			

1099-DIV 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), individual taxpayer identification number (ITIN), adoption taxpayer identification number (ATIN), or employer identification number (EIN). However, the issuer has reported your complete identification number to the IRS.

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

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

Box 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 (1040A or 1040), if required.

Box 1b. Shows the portion of the amount in box 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.

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

Box 2b. Shows the portion of the amount in box 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).

Box 2c. Shows the portion of the amount in box 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.

Box 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).

Box 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.

Box 4. Shows backup withholding. A payer must backup withhold on certain payments if you did not give your taxpayer identification number to the payer. See Form W-9, Request for Taxpayer Identification Number and Certification, for information on backup withholding. Include this amount on your income tax return as tax withheld.

Box 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 in box 1a.

Box 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.

Box 7. This box should be left blank if a regulated investment company reported the foreign tax shown in box 6.

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

Box 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 box 4.

Box 11. Shows exempt-interest dividends subject to the alternative minimum tax. This amount is included in box 10. See the Instructions for Form 6251.

Boxes 12-14. State income tax withheld reporting boxes.

Nominees. If this form includes amounts belonging to another person, you are considered a nominee recipient. You must file Form 1099-DIV (with a Form 1096) with the IRS for each of the other owners to show their share of the income, and you must furnish a Form 1099-DIV to each. 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.

Future developments. For the latest information about the developments related to Form 1099-DIV and its instructions, such as legislation enacted after they were published, go to www.irs.gov/form1099div.

Disclaimer Box 1b (Qualified Dividends):

The amounts in box 1b include dividends paid by a qualified foreign corporation that therefore may be eligible for the reduced capital gain rates. The 1099 tax statement provided to you does not include a computation of your holding period. Please note that you must meet the holding period requirement to report these dividends as qualified dividends.

In order to meet the holding period requirements you must have held the stock for more than 60 days during the 121-day period that begins 60 days before the ex-dividend date. In the case of preferred stock, you must have held the stock more than 90 days during the 181-day period that begins 90 days before the ex-dividend date if the dividends are due to periods totalling more than 366 days. Please refer to the IRS Publication 550 (Investment Income and Expenses) or Publication 17 (Federal Income Tax Guide for Individuals) for more details about the holding period requirements.