Form 8937

(December 2017)
Department of the Treasury
Internal Revenue Service

Report of Organizational Actions Affecting Basis of Securities

► See separate instructions.

OMB No. 1545-0123

Part I Reporting Is	ssuer	indeno elli el	4 Alberta milita fatherinamente, in	to difference number (EIN)
1 Issuer's name			Control of the Contro	2 Issuer's employer identification number (EIN)
Applied UV Inc.				84-4373308
3 Name of contact for additi	onal information	4 Telephon	e No. of contact	5 Email address of contact
Michael Riccio		914-665-61	00	mike.riccio@sterilumen.com
6 Number and street (or P.0	D. box if mail is not	delivered to s	treet address) of contact	7 City, town, or post office, state, and ZIP code of contact
150 N Macquesten Parkwa	y			Mount Vernon, NY 10550
8 Date of action				
August 16, 2021 - Present			10.5% Series A Preferred Stock	
10 CUSIP number 11 Serial number(s)			12 Ticker symbol	13 Account number(s)
03828V303			AUVIP	
	nal Action Atta	ch addition:	al statements if needed. Se	ee back of form for additional questions.
per IRC 301 and IRC	301(c)2.			company does not have positive earnings and profits, as
15 Describe the quantital share or as a percent.	tive effect of the org age of old basis ►	anizational ac	tion on the basis of the securi	ty in the hands of a U.S. taxpayer as an adjustment per
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16 Describe the calculation valuation dates •	on of the change in b	basis and the	data that supports the calcula	ation, such as the market values of securities and the
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Report of Organizational Actions