

 Member FINRA/SIPC PO BOX 2209 OMAHA, NE 68103-2209 Client Services: 800-669-3900	<b>Tax Information</b> <b>Account 270666902</b>	Statement Date: 01/14/2021 Document ID: 6572 04B 3BJ4	2020
	SRI KANTH SANAGAPALLI 4261 STEVENSON BLVD APT 174 FREMONT, CA 94538-2727		
PAYER'S TIN: 47-0533629	RECIPIENT'S TIN: XXX-XX-8660		

**Summary Information**

<p><b>DIVIDENDS AND DISTRIBUTIONS</b>      <b>2020 1099-DIV*</b>      OMB No. 1545-0110</p> <p>1a- Total ordinary dividends (includes lines 1b, 5)      0.00</p> <p>1b- Qualified dividends      0.00</p> <p>2a- Total capital gain distributions (includes lines 2b, 2c, 2d)      0.00</p> <p>2b- Unrecaptured Section 1250 gain      0.00</p> <p>2c- Section 1202 gain      0.00</p> <p>2d- Collectibles (28%) gain      0.00</p> <p>3- Nondividend distributions      0.00</p> <p><b>4- Federal income tax withheld</b>      <b>0.00</b></p> <p>5- Section 199A dividends      0.00</p> <p>6- Investment expenses      0.00</p> <p>8- Foreign country or US possession:      0.00</p> <p>7- Foreign tax paid:      0.00</p> <p>9- Cash liquidation distributions      0.00</p> <p>10- Noncash liquidation distributions      0.00</p> <p>11- Exempt-interest dividends (includes line 12)      0.00</p> <p>12- Specified private activity bond interest dividends (AMT)      0.00</p>	<p><b>MISCELLANEOUS INCOME</b>      <b>2020 1099-MISC*</b>      OMB No. 1545-0115</p> <p>2- Royalties      0.00</p> <p>3- Other income      0.00</p> <p><b>4- Federal income tax withheld</b>      <b>0.00</b></p> <p>8- Substitute payments in lieu of dividends or interest      0.00</p> <p><b>SECTION 1256 CONTRACTS</b>      <b>2020 1099-B*</b>      OMB No. 1545-0715</p> <p>8- Profit or (loss) realized in 2020 on closed contracts      0.00</p> <p>9- Unrealized profit or (loss) on open contracts-12/31/2019      0.00</p> <p>10- Unrealized profit or (loss) on open contracts-12/31/2020      0.00</p> <p>11- Aggregate profit or (loss) on contracts      0.00</p> <p style="text-align: center;"><i>If applicable, proceeds from sale transactions appear summarized below and are detailed in subsequent sections of this document.</i></p>
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**SUMMARY OF PROCEEDS, GAINS & LOSSES, ADJUSTMENTS AND WITHHOLDING**

Refer to the 1099-B and Proceeds not reported to the IRS pages to ensure that you consider all relevant items and to determine the correct gains and losses. The amounts shown below are for informational purposes.

Term	Form 8949 type	Proceeds	Cost basis	Market discount	Wash sale loss disallowed	Net gain or loss(-)
Short	A (basis reported to the IRS)	12,111.88	14,146.22	0.00	44.36	-1,989.98
Short	B (basis not reported to the IRS)	0.00	0.00	0.00	0.00	0.00
Short	C (Form 1099-B not received)	0.00	0.00	0.00	0.00	0.00
	<b>Total Short-term</b>	<b>12,111.88</b>	<b>14,146.22</b>	<b>0.00</b>	<b>44.36</b>	<b>-1,989.98</b>
Long	D (basis reported to the IRS)	0.00	0.00	0.00	0.00	0.00
Long	E (basis not reported to the IRS)	0.00	0.00	0.00	0.00	0.00
Long	F (Form 1099-B not received)	0.00	0.00	0.00	0.00	0.00
	<b>Total Long-term</b>	<b>0.00</b>	<b>0.00</b>	<b>0.00</b>	<b>0.00</b>	<b>0.00</b>
Undetermined	B or E (basis not reported to the IRS)	0.00	0.00	0.00	0.00	0.00
Undetermined	C or F (Form 1099-B not received)	0.00	0.00	0.00	0.00	0.00
	<b>Total Undetermined-term</b>	<b>0.00</b>	<b>0.00</b>	<b>0.00</b>	<b>0.00</b>	<b>0.00</b>
	<b>Grand total</b>	<b>12,111.88</b>	<b>14,146.22</b>	<b>0.00</b>	<b>44.36</b>	<b>-1,989.98</b>

Withholding	Amount
Federal income tax withheld	0.00

Changes to dividend tax classifications processed after your original tax form is issued for 2020 may require an amended tax form.

TD Ameritrade Clearing, Inc.

Account 270666902

**Summary Information**

2020

(continued)

01/14/2021

**INTEREST INCOME**

**2020 1099-INT**

OMB No. 1545-0112

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1- Interest income (not included in line 3)	0.01
2- Early withdrawal penalty	0.00
3- Interest on US Savings Bonds & Treasury obligations	0.00
<b>4- Federal income tax withheld</b>	<b>0.00</b>
5- Investment expenses	0.00
7- Foreign country or US possession: 6- Foreign tax paid:	0.00
8- Tax-exempt interest (includes line 9)	0.00
9- Specified private activity bond interest (AMT)	0.00
10- Market discount (covered lots)	0.00
11- Bond premium (covered lots)	0.00
12- Bond premium on Treasury obligations (covered lots)	0.00
13- Bond premium on tax-exempt bonds (categorized below)	0.00
<i>Tax-exempt obligations (covered lots)</i>	0.00
<i>Tax-exempt private activity obligations (AMT, covered lots)</i>	0.00
14- Tax-exempt and tax credit bond CUSIP number	See detail

*The following amounts are not reported to the IRS. They are presented here for your reference when preparing your tax return(s).*

Taxable accrued interest paid	0.00
Taxable accrued Treasury interest paid	0.00
Tax-exempt accrued interest paid	0.00
Tax-exempt accrued interest paid (AMT)	0.00
Taxable accrued nonqualified interest paid	0.00
Tax-exempt accrued nonqualified interest paid	0.00
Tax-exempt accrued nonqualified interest paid (AMT)	0.00
Nonqualified interest	0.00
Tax-exempt nonqualified interest	0.00
Tax-exempt nonqualified interest (AMT)	0.00
Interest shortfall on contingent payment debt	0.00
Bond premium- Non Treasury obligations (noncovered lots)	0.00
Bond premium- Treasury obligations (noncovered lots)	0.00
Bond premium- Tax-exempt obligations (noncovered lots)	0.00
Bond premium- Tax-exempt obligations (AMT, noncovered lots)	0.00
Market discount (noncovered lots)	0.00

**STATE TAX WITHHELD**

*Use the details of the State Tax Withholding page(s) to determine the appropriate amounts for your income tax return(s). The amounts shown in this section are for your reference.*

1099-DIV total withheld	0.00
1099-INT total withheld	0.00
1099-OID total withheld	0.00
1099-MISC total withheld	0.00
1099-B total withheld	0.00

**ORIGINAL ISSUE DISCOUNT AND ADJUSTMENTS**

*Use bond-by-bond details from the Form 1099-OID page(s) to determine amounts of Original Issue Discount income for your income tax return(s). The amounts shown in this section are for your reference when preparing your income tax return(s).*

Original issue discount for the year	0.00
Acquisition premium (covered lots)	0.00
Acquisition premium (noncovered lots)	0.00
Original issue discount on Treasury obligations	0.00
Acquisition premium, Treasury obligations (covered lots)	0.00
Acquisition premium, Treasury obligations (noncovered lots)	0.00
Tax-exempt OID	0.00
Tax-exempt OID (lots not reported)	0.00
Acquisition premium (covered)	0.00
Acquisition premium (lots not reported)	0.00
Tax-exempt OID on private activity bonds	0.00
Tax-exempt OID on private activity bonds (lots not reported)	0.00
Acquisition premium (AMT, covered)	0.00
Acquisition premium (AMT, lots not reported)	0.00
Market discount (all lots)	0.00
Early withdrawal penalty	0.00
Investment expenses	0.00

**RECONCILIATIONS, FEES, EXPENSES AND EXPENDITURES**

*The amounts in this section are not reported to the IRS. They are presented here for your reference when preparing your income tax return(s).*

Other Receipts & Reconciliations- Partnership distributions	0.00
Other Receipts & Reconciliations- Foreign tax paid- partnership	0.00
Other Receipts & Reconciliations- Return of principal	0.00
Other Receipts & Reconciliations- Deferred income payment	0.00
Other Receipts & Reconciliations- Deemed premium	0.00
Other Receipts & Reconciliations- Income accrual- UIT	0.00
Other Receipts & Reconciliations- Basis adjustments	0.00
Other Receipts & Reconciliations- Foreign tax pd beyond treaty	0.00
Fees & Expenses- Margin interest	0.00
Fees & Expenses- Dividends paid on short position	0.00
Fees & Expenses- Interest paid on short position	0.00
Fees & Expenses- Non reportable distribution expense	0.00
Fees & Expenses- Other expenses	0.00
Fees & Expenses- Severance tax	0.00
Fees & Expenses- Organizational expense	0.00
Fees & Expenses- Miscellaneous fees	0.00
Fees & Expenses- Tax-exempt investment expense	0.00
Foreign Exchange Gains & Losses- Foreign currency gain/loss	0.00

TD Ameritrade Clearing, Inc.

Account 270666902

**Proceeds from Broker and Barter Exchange Transactions**

2020 1099-B\* OMB No. 1545-0715

01/14/2021

Sales transactions are grouped by their term (long, short or undetermined) and covered status (covered or noncovered). For tax lots whose term is undetermined, use your historical documents to establish the cost basis and date of purchase. Tax lots with an additional notation of "Ordinary" represent neither short- nor long-term capital transactions. You may wish to consult with your tax advisor, the IRS or your state tax authority regarding the proper treatment.

Closing of written options is presented in a distinct manner in accordance with IRS regulation. For these transactions the Cost or other basis (column 1e) is always presented as \$0.00 and the Proceeds (column 1d) is the net of proceeds received when the option was written and the cost to close the position.

Several column headings describe two related items: a quantity and a qualifier. For example, proceeds and, if the sale is the result of an option exercise or assignment, whether the proceeds are gross or net (adjusted for any option premium). When these conditions exist, the qualifier is shown to the right of the amount.

Long positions are reported based on the trade date and short positions are reported based on the settlement date of the trade.

FATCA filing requirement [ ]

**SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS [Ordinary gains or losses are identified in the Additional information column] (Lines 2 & 5)**

Report on Form 8949, Part I with Box A checked. Basis is provided to the IRS. (Line 12)

"Gain or loss (-)" is NOT reported to the IRS.

**1a- Description of property/CUSIP/Symbol**

1c- Date sold or disposed	Quantity	1d- Proceeds & 6- Reported (G)ross or (N)et	1b- Date acquired	1e- Cost or other basis	1f- Accrued mkt disc (D) & 1g- Wash sale loss disallowed (W)	7- Loss not allowed (X) also not reported (Z)	Gain or loss(-) & 7- Loss not allowed (X) also not reported (Z)	Additional information
NETFLIX INC COM / CUSIP: 64110L106 / Symbol: NFLX								
07/17/20	1.000	492.99	07/13/20	561.17	...		-68.18	Sale
APPLE INC AAPL Jul 24 2020 410.0 Call / CUSIP: / Symbol: AAPL 07/24/20 C 410.000								
07/20/20	1.000	79.33	07/20/20	69.67	...		9.66	Option sale
APPLE INC AAPL Jul 31 2020 405.0 Call / CUSIP: / Symbol: AAPL 07/31/20 C 405.000								
07/29/20	1.000	51.33	07/28/20	77.67	...		-26.34	Option sale
ADVANCED MICRO DEVICES INC AMD Jul 24 2020 58.0 Call / CUSIP: / Symbol: AMD 07/24/20 C 58.000								
07/20/20	1.000	90.33	07/20/20	77.67	...		12.66	Option sale
07/21/20	1.000	95.33	07/21/20	77.01	...		18.32	Option sale
07/21/20	1.000	60.33	07/21/20	64.67	4.34 W		0.00	Option sale
	<b>Security total:</b>	<b>245.99</b>		<b>219.35</b>	<b>4.34 W</b>		<b>30.98</b>	
ADVANCED MICRO DEVICES INC AMD Jul 24 2020 59.0 Call / CUSIP: / Symbol: AMD 07/24/20 C 59.000								
07/22/20	1.000	163.33	07/22/20	86.67	...		76.66	Option sale
ADVANCED MICRO DEVICES INC AMD Jul 24 2020 62.0 Call / CUSIP: / Symbol: AMD 07/24/20 C 62.000								
07/22/20	1.000	93.33	07/22/20	85.67	...		7.66	Option sale
ADVANCED MICRO DEVICES INC AMD Jul 31 2020 73.0 Call / CUSIP: / Symbol: AMD 07/31/20 C 73.000								
07/27/20	1.000	315.32	07/27/20	331.67	...		-16.35	Option sale

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Account 270666902

**Proceeds from Broker and Barter Exchange Transactions**

2020 1099-B\* OMB No. 1545-0715

(continued)

01/14/2021

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ADVANCED MICRO DEVICES INC AMD Jul 31 2020		78.0	Call / CUSIP: / Symbol: AMD 07/31/20	C 78.000			
07/28/20	1.000	70.33	07/28/20	76.67	...	-6.34	Option sale
ADVANCED MICRO DEVICES INC AMD Jul 31 2020		79.0	Call / CUSIP: / Symbol: AMD 07/31/20	C 79.000			
07/29/20	1.000	103.33	07/29/20	105.67	...	-2.34	Option sale
ADVANCED MICRO DEVICES INC AMD Aug 14 2020		85.0	Call / CUSIP: / Symbol: AMD 08/14/20	C 85.000			
08/12/20	1.000	41.33	08/10/20	122.67	...	-81.34	Option sale
ADVANCED MICRO DEVICES INC AMD Aug 28 2020		85.0	Call / CUSIP: / Symbol: AMD 08/28/20	C 85.000			
08/24/20	1.000	88.33	08/24/20	104.67	...	-16.34	Option sale
AVANTOR INC AVTR Sep 18 2020		22.5	Call / CUSIP: / Symbol: AVTR 09/18/20	C 22.500			
08/24/20	1.000	56.33	08/21/20	90.67	...	-34.34	Option sale
ASTRAZENECA AZN Jul 17 2020		59.0	Call / CUSIP: / Symbol: AZN 07/17/20	C 59.000			
07/17/20	1.000	37.33	07/15/20	100.67	...	-63.34	Option sale
ASTRAZENECA AZN Jul 24 2020		63.0	Call / CUSIP: / Symbol: AZN 07/24/20	C 63.000			
07/20/20	1.000	104.33	07/20/20	142.67	...	-38.34	Option sale
ASTRAZENECA AZN Jul 24 2020		64.0	Call / CUSIP: / Symbol: AZN 07/24/20	C 64.000			
07/20/20	1.000	194.33	07/20/20	165.67	...	28.66	Option sale
BOEING CO BA Jul 31 2020		175.0	Call / CUSIP: / Symbol: BA 07/31/20	C 175.000			
07/29/20	1.000	67.33	07/29/20	78.67	...	-11.34	Option sale
BOEING CO BA Jul 31 2020		180.0	Call / CUSIP: / Symbol: BA 07/31/20	C 180.000			
07/29/20	1.000	54.33	07/29/20	68.67	...	-14.34	Option sale
BOEING CO BA Jul 31 2020		192.5	Call / CUSIP: / Symbol: BA 07/31/20	C 192.500			
07/28/20	1.000	102.33	07/27/20	94.67	...	7.66	Option sale
BANK OF AMERICA CORPORATION BAC Jul 24 2020		24.5	Call / CUSIP: / Symbol: BAC 07/24/20	C 24.500			
07/21/20	1.000	32.33	07/21/20	40.67	...	-8.34	Option sale
BEYOND MEAT INC BYND Jul 24 2020		152.5	Call / CUSIP: / Symbol: BYND 07/24/20	C 152.500			
07/21/20	1.000	50.33	07/21/20	83.67	...	-33.34	Option sale

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Account 270666902

**Proceeds from Broker and Barter Exchange Transactions**

2020 1099-B\* OMB No. 1545-0715

(continued)

01/14/2021

**SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS [Ordinary gains or losses are identified in the Additional information column] (Lines 2 & 5)**

Report on Form 8949, Part I with Box A checked. Basis is provided to the IRS. (Line 12)

"Gain or loss (-)" is NOT reported to the IRS.

**1a- Description of property/CUSIP/Symbol**

1c- Date sold or disposed	Quantity	1d- Proceeds & 6- Reported (G)ross or (N)et	1b- Date acquired	1e- Cost or other basis	1f- Accrued mkt disc (D) & 1g- Wash sale loss disallowed (W)	Gain or loss(-) & 7- Loss not allowed (X) also not reported (Z)	Additional information
CAPRICOR THERAPEUTICS INC CAPR Aug 21 2020 12.5 Call / CUSIP: / Symbol: CAPR 08/21/20 C 12.500							
07/27/20	1.000	139.33	07/27/20	145.67	...	-6.34	Option sale
CLOROX CO CLX Jul 24 2020 232.5 Call / CUSIP: / Symbol: CLX 07/24/20 C 232.500							
07/20/20	1.000	92.33	07/20/20	113.67	21.34 W	0.00	Option sale
07/21/20	1.000	77.33	07/21/20	101.01	...	-23.68	Option sale
	<b>Security total:</b>	<b>169.66</b>		<b>214.68</b>	<b>21.34 W</b>	<b>-23.68</b>	
CLOROX CO CLX Jul 31 2020 232.5 Call / CUSIP: / Symbol: CLX 07/31/20 C 232.500							
07/24/20	1.000	104.33	07/24/20	116.67	...	-12.34	Option sale
CLOROX CO CLX Aug 07 2020 245.0 Call / CUSIP: / Symbol: CLX 08/07/20 C 245.000							
07/17/20	2.000	493.64	Various	421.34	...	72.30	Total of 2 transactions
CLOROX CO CLX Aug 14 2020 225.0 Call / CUSIP: / Symbol: CLX 08/14/20 C 225.000							
08/11/20	1.000	184.33	08/11/20	155.67	...	28.66	Option sale
DRAFTKINGS INC DKNG Jul 24 2020 38.5 Call / CUSIP: / Symbol: DKNG 07/24/20 C 38.500							
07/21/20	1.000	109.33	07/21/20	103.67	...	5.66	Option sale
DRAFTKINGS INC DKNG Jul 24 2020 40.0 Call / CUSIP: / Symbol: DKNG 07/24/20 C 40.000							
07/21/20	1.000	77.33	07/21/20	107.67	...	-30.34	Option sale
DRAFTKINGS INC DKNG Jul 31 2020 35.0 Call / CUSIP: / Symbol: DKNG 07/31/20 C 35.000							
07/29/20	1.000	79.33	07/29/20	73.67	...	5.66	Option sale
EHEALTH INC EHTH Aug 21 2020 70.0 Call / CUSIP: / Symbol: EHTH 08/21/20 C 70.000							
07/30/20	1.000	554.32	07/30/20	715.67	...	-161.35	Option sale
EHEALTH INC EHTH Aug 21 2020 85.0 Call / CUSIP: / Symbol: EHTH 08/21/20 C 85.000							
07/30/20	1.000	149.33	07/30/20	130.67	...	18.66	Option sale
EHEALTH INC EHTH Aug 21 2020 90.0 Call / CUSIP: / Symbol: EHTH 08/21/20 C 90.000							
07/30/20	1.000	109.33	07/30/20	100.67	...	8.66	Option sale
ETSY INC ETSY Aug 21 2020 141.0 Call / CUSIP: / Symbol: ETSY 08/21/20 C 141.000							
08/18/20	1.000	81.33	08/18/20	86.67	...	-5.34	Option sale

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**Proceeds from Broker and Barter Exchange Transactions**

2020 1099-B\* OMB No. 1545-0715

(continued)

01/14/2021

**SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS [Ordinary gains or losses are identified in the Additional information column] (Lines 2 & 5)**

Report on Form 8949, Part I with Box A checked. Basis is provided to the IRS. (Line 12)

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1c- Date sold or disposed	Quantity	1d- Proceeds & 6- Reported (G)ross or (N)et	1b- Date acquired	1e- Cost or other basis	1f- Accrued mkt disc (D) & 1g- Wash sale loss disallowed (W)	7- Loss not allowed (X) also not reported (Z)	Gain or loss(-) & Additional information
FACEBOOK INC FB Jul 24 2020 257.5 Call / CUSIP: / Symbol: FB 07/24/20 C 257.500							
07/24/20	1.000	0.00	07/21/20	59.67	...	-59.67	Option expiration
FACEBOOK INC FB Jul 31 2020 250.0 Call / CUSIP: / Symbol: FB 07/31/20 C 250.000							
07/29/20	1.000	124.33	07/29/20	127.67	...	-3.34	Option sale
FACEBOOK INC FB Jul 31 2020 260.0 Call / CUSIP: / Symbol: FB 07/31/20 C 260.000							
07/24/20	1.000	107.33	07/24/20	106.67	...	0.66	Option sale
FACEBOOK INC FB Aug 07 2020 252.5 Call / CUSIP: / Symbol: FB 08/07/20 C 252.500							
08/04/20	1.000	226.32	08/04/20	211.67	...	14.65	Option sale
FIRSTENERGY CORP FE Aug 21 2020 32.0 Call / CUSIP: / Symbol: FE 08/21/20 C 32.000							
07/24/20	1.000	99.33	07/24/20	114.67	...	-15.34	Option sale
GILEAD SCIENCES INC GILD Jul 24 2020 79.0 Call / CUSIP: / Symbol: GILD 07/24/20 C 79.000							
07/20/20	1.000	63.33	07/20/20	75.67	...	-12.34	Option sale
ALPHABET INC GOOG Jul 31 2020 1480.0 Call / CUSIP: / Symbol: GOOG 07/31/20 C 1480.000							
07/31/20	1.000	139.33	07/31/20	978.67	...	-839.34	Option sale
INOVIO PHARMACEUTICALS INC INO Jul 24 2020 30.0 Call / CUSIP: / Symbol: INO 07/24/20 C 30.000							
07/21/20	1.000	82.33	07/21/20	110.67	...	-28.34	Option sale
IQIYI INC IQ Jul 24 2020 23.0 Call / CUSIP: / Symbol: IQ 07/24/20 C 23.000							
07/20/20	1.000	35.33	07/20/20	36.67	...	-1.34	Option sale
LABORATORY CORP AMER HLDGS LH Aug 21 2020 220.0 Call / CUSIP: / Symbol: LH 08/21/20 C 220.000							
07/27/20	1.000	167.33	07/27/20	148.67	...	18.66	Option sale
LI AUTO INC LI Sep 18 2020 20.0 Call / CUSIP: / Symbol: LI 09/18/20 C 20.000							
08/24/20	1.000	152.33	08/21/20	60.67	...	91.66	Option sale
LEMONADE INC LMND Sep 18 2020 70.0 Call / CUSIP: / Symbol: LMND 09/18/20 C 70.000							
09/18/20	1.000	0.00	08/28/20	168.67	...	-168.67	Option expiration
LOVESAC COMPANY LOVE Aug 21 2020 35.0 Call / CUSIP: / Symbol: LOVE 08/21/20 C 35.000							
07/22/20	1.000	134.33	07/22/20	128.67	...	5.66	Option sale

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(continued)

01/14/2021

**SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS [Ordinary gains or losses are identified in the Additional information column] (Lines 2 & 5)**

Report on Form 8949, Part I with Box A checked. Basis is provided to the IRS. (Line 12)

"Gain or loss (-)" is NOT reported to the IRS.

**1a- Description of property/CUSIP/Symbol**

1c- Date sold or disposed	Quantity	1d- Proceeds & 6- Reported (G)ross or (N)et	1b- Date acquired	1e- Cost or other basis	1f- Accrued mkt disc (D) & 1g- Wash sale loss disallowed (W)	Gain or loss(-) & 7- Loss not allowed (X) also not reported (Z)	Additional information
LYFT INC LYFT Aug 21 2020 31.0 Put / CUSIP: / Symbol: LYFT 08/21/20 P 31.000							
08/13/20	1.000	205.33	08/12/20	218.67	...	-13.34	Option sale
MARATHON PATENT GROUP INC MARA Aug 21 2020 2.5 Call / CUSIP: / Symbol: MARA 08/21/20 C 2.500							
07/28/20	1.000	29.33	07/28/20	29.67	...	-0.34	Option sale
MONEYGRAM INTERNATIONAL INC MGI Aug 21 2020 4.0 Call / CUSIP: / Symbol: MGI 08/21/20 C 4.000							
07/29/20	1.000	44.33	07/29/20	45.67	...	-1.34	Option sale
3M COMPANY MMM Jul 31 2020 150.0 Put / CUSIP: / Symbol: MMM 07/31/20 P 150.000							
07/30/20	1.000	56.33	07/30/20	62.67	...	-6.34	Option sale
MODERNA INC MRNA Jul 24 2020 95.0 Call / CUSIP: / Symbol: MRNA 07/24/20 C 95.000							
07/20/20	1.000	283.32	07/20/20	177.67	...	105.65	Option sale
MICROSOFT CORP MSFT Jul 24 2020 225.0 Call / CUSIP: / Symbol: MSFT 07/24/20 C 225.000							
07/24/20	1.000	0.00	07/22/20	108.67	...	-108.67	Option expiration
MICROSOFT CORP MSFT Aug 14 2020 210.0 Call / CUSIP: / Symbol: MSFT 08/14/20 C 210.000							
08/13/20	1.000	80.33	08/13/20	158.67	...	-78.34	Option sale
MICRON TECHNOLOGY INC MU Jul 31 2020 52.0 Call / CUSIP: / Symbol: MU 07/31/20 C 52.000							
07/27/20	1.000	70.33	07/27/20	83.67	...	-13.34	Option sale
NETFLIX INC NFLX Jul 17 2020 670.0 Call / CUSIP: / Symbol: NFLX 07/17/20 C 670.000							
07/17/20	1.000	0.00	07/15/20	207.67	...	-207.67	Option expiration
NETFLIX INC NFLX Jul 31 2020 495.0 Call / CUSIP: / Symbol: NFLX 07/31/20 C 495.000							
07/30/20	1.000	79.33	07/30/20	105.67	...	-26.34	Option sale
NETFLIX INC NFLX Jul 31 2020 525.0 Call / CUSIP: / Symbol: NFLX 07/31/20 C 525.000							
07/28/20	1.000	103.33	07/28/20	117.67	...	-14.34	Option sale
NETFLIX INC NFLX Aug 14 2020 520.0 Call / CUSIP: / Symbol: NFLX 08/14/20 C 520.000							
08/10/20	1.000	48.33	08/10/20	49.67	...	-1.34	Option sale
NETFLIX INC NFLX Aug 14 2020 565.0 Call / CUSIP: / Symbol: NFLX 08/14/20 C 565.000							
08/03/20	1.000	123.33	08/03/20	143.67	...	-20.34	Option sale

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TD Ameritrade Clearing, Inc.

Account 270666902

**Proceeds from Broker and Barter Exchange Transactions**

2020 1099-B\* OMB No. 1545-0715

(continued)

01/14/2021

**SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS [Ordinary gains or losses are identified in the Additional information column] (Lines 2 & 5)**

Report on Form 8949, Part I with Box A checked. Basis is provided to the IRS. (Line 12)

"Gain or loss (-)" is NOT reported to the IRS.

**1a- Description of property/CUSIP/Symbol**

1c- Date sold or disposed	Quantity	1d- Proceeds & 6- Reported (G)ross or (N)et	1b- Date acquired	1e- Cost or other basis	1f- Accrued mkt disc (D) & 1g- Wash sale loss disallowed (W)	7- Loss not allowed (X) also not reported (Z)	Gain or loss(-) & Additional information
NETFLIX INC NFLX Sep 18 2020 795.0 Call / CUSIP: / Symbol: NFLX 09/18/20 C 795.000							
08/13/20	1.000	29.33	07/17/20	159.67	...	-130.34	Option sale
NIO INC NIO Jul 24 2020 12.5 Call / CUSIP: / Symbol: NIO 07/24/20 C 12.500							
07/20/20	2.000	173.66	Various	149.34	...	24.32	Total of 2 transactions
NIO INC NIO Jul 31 2020 12.0 Call / CUSIP: / Symbol: NIO 07/31/20 C 12.000							
07/28/20	1.000	84.33	07/28/20	75.67	...	8.66	Option sale
NIO INC NIO Aug 14 2020 14.5 Call / CUSIP: / Symbol: NIO 08/14/20 C 14.500							
08/12/20	1.000	8.33	08/11/20	25.67	...	-17.34	Option sale
OPKO HEALTH INC OPK Jul 24 2020 6.0 Call / CUSIP: / Symbol: OPK 07/24/20 C 6.000							
07/21/20	1.000	38.33	07/21/20	40.67	...	-2.34	Option sale
PINDUODUO INC PDD Jul 24 2020 87.0 Call / CUSIP: / Symbol: PDD 07/24/20 C 87.000							
07/20/20	1.000	89.33	07/20/20	108.67	...	-19.34	Option sale
PENN NATIONAL GAMING INC PENN Jul 24 2020 37.5 Call / CUSIP: / Symbol: PENN 07/24/20 C 37.500							
07/21/20	1.000	72.33	07/21/20	87.67	...	-15.34	Option sale
PEPSICO INC PEP Jul 24 2020 134.0 Call / CUSIP: / Symbol: PEP 07/24/20 C 134.000							
07/20/20	1.000	68.33	07/20/20	71.67	...	-3.34	Option sale
PFIZER INC PFE Aug 14 2020 37.0 Call / CUSIP: / Symbol: PFE 08/14/20 C 37.000							
08/10/20	1.000	144.33	08/07/20	157.67	...	-13.34	Option sale
PELTON INTERACTIVE INC PTON Jul 31 2020 68.0 Call / CUSIP: / Symbol: PTON 07/31/20 C 68.000							
07/29/20	1.000	59.33	07/29/20	81.67	...	-22.34	Option sale
PAYPAL HOLDINGS INC PYPL Jul 24 2020 182.5 Call / CUSIP: / Symbol: PYPL 07/24/20 C 182.500							
07/23/20	1.000	43.33	07/23/20	107.67	...	-64.34	Option sale
QUALCOMM INC QCOM Jul 31 2020 100.0 Call / CUSIP: / Symbol: QCOM 07/31/20 C 100.000							
07/29/20	1.000	47.33	07/29/20	49.67	...	-2.34	Option sale
INVESCO QQQ TRUST QQQ Jul 31 2020 264.0 Call / CUSIP: / Symbol: QQQ 07/31/20 C 264.000							
07/30/20	1.000	46.33	07/30/20	67.67	...	-21.34	Option sale

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Account 270666902

## Proceeds from Broker and Barter Exchange Transactions

2020 1099-B\* OMB No. 1545-0715

(continued)

01/14/2021

**SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS [Ordinary gains or losses are identified in the Additional information column] (Lines 2 & 5)**

Report on Form 8949, Part I with Box A checked. Basis is provided to the IRS. (Line 12)

"Gain or loss (-)" is NOT reported to the IRS.

**1a- Description of property/CUSIP/Symbol**

1c- Date sold or disposed	Quantity	1d- Proceeds & 6- Reported (G)ross or (N)et	1b- Date acquired	1e- Cost or other basis	1f- Accrued mkt disc (D) & 1g- Wash sale loss disallowed (W)	7- Loss not allowed (X) also not reported (Z)	Gain or loss(-) & also not reported (Z)	Additional information
QURATE RETAIL INC QRTEA Aug 21 2020 12.0 Call / CUSIP: / Symbol: QRTEA 08/21/20 C 12.000								
07/29/20	1.000	49.33	07/29/20	57.67	...		-8.34	Option sale
ROKU INC ROKU Jul 24 2020 180.0 Call / CUSIP: / Symbol: ROKU 07/24/20 C 180.000								
07/21/20	1.000	80.33	07/21/20	89.67	...		-9.34	Option sale
ROKU INC ROKU Jul 31 2020 157.5 Call / CUSIP: / Symbol: ROKU 07/31/20 C 157.500								
07/29/20	1.000	107.33	07/29/20	107.67	...		-0.34	Option sale
ROKU INC ROKU Jul 31 2020 167.5 Call / CUSIP: / Symbol: ROKU 07/31/20 C 167.500								
07/27/20	1.000	110.33	07/27/20	125.67	...		-15.34	Option sale
ROKU INC ROKU Jul 31 2020 170.0 Call / CUSIP: / Symbol: ROKU 07/31/20 C 170.000								
07/24/20	1.000	112.33	07/24/20	119.67	...		-7.34	Option sale
ROKU INC ROKU Aug 07 2020 187.5 Call / CUSIP: / Symbol: ROKU 08/07/20 C 187.500								
08/05/20	1.000	294.32	08/05/20	267.67	...		26.65	Option sale
ROKU INC ROKU Aug 07 2020 205.0 Call / CUSIP: / Symbol: ROKU 08/07/20 C 205.000								
08/03/20	1.000	130.33	08/03/20	188.67	...		-58.34	Option sale
ROSETTA STONE INC RST Aug 21 2020 30.0 Call / CUSIP: / Symbol: RST 08/21/20 C 30.000								
07/21/20	1.000	54.33	07/21/20	45.67	...		8.66	Option sale
SEA LIMITED SE Jul 24 2020 118.0 Call / CUSIP: / Symbol: SE 07/24/20 C 118.000								
07/22/20	1.000	73.33	07/22/20	87.67	...		-14.34	Option sale
SNAP INC SNAP Jul 31 2020 22.0 Call / CUSIP: / Symbol: SNAP 07/31/20 C 22.000								
07/24/20	1.000	67.33	07/24/20	74.67	7.34 W		0.00	Option sale
07/27/20	1.000	88.33	07/27/20	100.01	...		-11.68	Option sale
	<b>Security total:</b>	<b>155.66</b>		<b>174.68</b>	<b>7.34 W</b>		<b>-11.68</b>	
VIRGIN GALACTIC HLDGS INC SPCE Jul 31 2020 24.0 Call / CUSIP: / Symbol: SPCE 07/31/20 C 24.000								
07/29/20	1.000	29.33	07/29/20	80.67	...		-51.34	Option sale
SPDR S&P500 ETF TRUST SPY Aug 14 2020 337.0 Call / CUSIP: / Symbol: SPY 08/14/20 C 337.000								
08/10/20	1.000	136.33	08/10/20	122.67	...		13.66	Option sale

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**Proceeds from Broker and Barter Exchange Transactions**

2020 1099-B\* OMB No. 1545-0715

(continued)

01/14/2021

**SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS [Ordinary gains or losses are identified in the Additional information column] (Lines 2 & 5)**

Report on Form 8949, Part I with Box A checked. Basis is provided to the IRS. (Line 12)

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**1a- Description of property/CUSIP/Symbol**

1c- Date sold or disposed	Quantity	1d- Proceeds & 6- Reported (G)ross or (N)et	1b- Date acquired	1e- Cost or other basis	1f- Accrued mkt disc (D) & 1g- Wash sale loss disallowed (W)	7- Loss not allowed (X) also not reported (Z)	Gain or loss(-) & Additional information
SQUARE INC SQ Jul 24 2020 129.0 Call / CUSIP: / Symbol: SQ 07/24/20 C 129.000							
07/20/20	1.000	284.32	07/20/20	138.67	...	145.65	Option sale
SQUARE INC SQ Jul 31 2020 134.0 Call / CUSIP: / Symbol: SQ 07/31/20 C 134.000							
07/27/20	1.000	84.33	07/27/20	112.67	...	-28.34	Option sale
TENCENT MUSIC ENTERTAINMENT GR TME Aug 21 2020 17.0 Call / CUSIP: / Symbol: TME 08/21/20 C 17.000							
07/21/20	1.000	83.33	07/21/20	88.67	...	-5.34	Option sale
TESLA INC TSLA Aug 07 2020 1790.0 Call / CUSIP: / Symbol: TSLA 08/07/20 C 1790.000							
08/03/20	1.000	219.33	07/31/20	208.67	...	10.66	Option sale
TAIWAN SEMICONDUCTOR MANUFACTU TSM Jul 31 2020 77.0 Call / CUSIP: / Symbol: TSM 07/31/20 C 77.000							
07/29/20	1.000	429.32	07/29/20	335.67	...	93.65	Option sale
TAIWAN SEMICONDUCTOR MANUFACTU TSM Jul 31 2020 82.0 Call / CUSIP: / Symbol: TSM 07/31/20 C 82.000							
07/29/20	1.000	114.33	07/29/20	113.67	...	0.66	Option sale
TAIWAN SEMICONDUCTOR MANUFACTU TSM Aug 14 2020 80.0 Call / CUSIP: / Symbol: TSM 08/14/20 C 80.000							
08/06/20	1.000	235.32	08/06/20	240.67	...	-5.35	Option sale
TAKE-TWO INTERACTIVE SOFTWARE TTWO Jul 31 2020 157.5 Call / CUSIP: / Symbol: TTWO 07/31/20 C 157.500							
07/24/20	1.000	129.33	07/24/20	110.67	...	18.66	Option sale
TAKE-TWO INTERACTIVE SOFTWARE TTWO Jul 31 2020 160.0 Call / CUSIP: / Symbol: TTWO 07/31/20 C 160.000							
07/24/20	1.000	147.33	07/24/20	93.67	...	53.66	Option sale
TAKE-TWO INTERACTIVE SOFTWARE TTWO Jul 31 2020 162.5 Call / CUSIP: / Symbol: TTWO 07/31/20 C 162.500							
07/27/20	1.000	179.33	07/27/20	190.67	11.34 W	0.00	Option sale
07/29/20	1.000	64.33	07/29/20	77.01	...	-12.68	Option sale
	<b>Security total:</b>	<b>243.66</b>		<b>267.68</b>	<b>11.34 W</b>	<b>-12.68</b>	
TWILIO INC TWLO Jul 24 2020 290.0 Call / CUSIP: / Symbol: TWLO 07/24/20 C 290.000							
07/20/20	1.000	78.33	07/20/20	91.67	...	-13.34	Option sale
UNITED PARCEL SERVICE INC UPS Jul 31 2020 145.0 Call / CUSIP: / Symbol: UPS 07/31/20 C 145.000							
07/30/20	1.000	114.33	07/30/20	131.67	...	-17.34	Option sale

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Account 270666902

**Proceeds from Broker and Barter Exchange Transactions**

2020 1099-B\* OMB No. 1545-0715

(continued)

01/14/2021

**SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS [Ordinary gains or losses are identified in the Additional information column] (Lines 2 & 5)**

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**1a- Description of property/CUSIP/Symbol**

1c- Date sold or disposed	Quantity	1d- Proceeds & 6- Reported (G)ross or (N)et	1b- Date acquired	1e- Cost or other basis	1f- Accrued mkt disc (D) & 1g- Wash sale loss disallowed (W)	7- Loss not allowed (X) also not reported (Z)	Gain or loss(-) & Additional information
WALMART INC WMT Jul 31 2020 133.0 Call / CUSIP: / Symbol: WMT 07/31/20 C 133.000							
07/28/20	1.000	69.33	07/28/20	75.67	...	-6.34	Option sale
WALMART INC WMT Aug 28 2020 139.0 Call / CUSIP: / Symbol: WMT 08/28/20 C 139.000							
08/28/20	1.000	151.33	08/27/20	185.67	...	-34.34	Option sale
XPERI HOLDING CORP XPER Aug 21 2020 18.0 Call / CUSIP: / Symbol: XPER 08/21/20 C 18.000							
07/27/20	1.000	70.33	07/27/20	90.67	...	-20.34	Option sale
YRC WORLDWIDE INC YRCW Aug 21 2020 3.0 Call / CUSIP: / Symbol: YRCW 08/21/20 C 3.000							
08/04/20	1.000	41.33	08/04/20	55.67	...	-14.34	Option sale
ZILLOW GROUP INC Z Jul 24 2020 67.5 Call / CUSIP: / Symbol: Z 07/24/20 C 67.500							
07/20/20	1.000	108.33	07/20/20	118.67	...	-10.34	Option sale
ZOOM VIDEO COMMUNICATIONS INC ZM Aug 14 2020 277.5 Call / CUSIP: / Symbol: ZM 08/14/20 C 277.500							
08/07/20	1.000	119.33	08/07/20	115.67	...	3.66	Option sale
<b>Totals :</b>		<b>12,111.88</b>		<b>14,146.22</b>	<b>44.36 W</b>	<b>-1,989.98</b>	

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TD Ameritrade Clearing, Inc.

Account 270666902

**Detail for Interest Income****2020**

01/14/2021

*This section of your tax information statement contains the payment level detail of taxable interest and associated bond premium. Market discount will be shown here only if you have elected to recognize it currently rather than at the time of sale or maturity. Bond premium and market discount for covered tax lots are totaled on Form 1099-INT and reported to the IRS. For noncovered tax lots, they are totaled in the Adjustments to Interest and Original Issue Discount and are not reported to the IRS.*

*To provide a complete picture of activity for each investment, we also include here nonreportable transactions such as accrued interest paid on purchases and payment or receipt of nonqualified interest. Other amounts, such as federal, state and foreign tax withheld and investment expenses are shown as negative amounts but do not net against the reportable income totals.*

<b>Security description</b>	<b>CUSIP and/or symbol</b>	<b>Date</b>	<b>Amount</b>	<b>Transaction type</b>	<b>Notes</b>
FDIC INSURED DEPOSIT ACCOUNT CORE NOT COVERED BY SIPC	9ZZZFD104 MMDA1	07/31/20	0.01	Interest- money mkt	
			<b>0.01</b>	<b>Total Interest</b>	

**Common Instructions for Recipient**

**Recipient's taxpayer identification number (TIN).** For your protection, this form may show only the last four digits of your TIN (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 TIN to the IRS.

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

**Backup Withholding.** Shows backup withholding. Generally, a payer must backup withhold if you did not furnish your taxpayer identification number. See Form W-9 and Pub. 505 for more information. Report this amount on your income tax return as tax withheld.

**Nominees.** If this 1099 form includes amounts belonging to another person, you are considered a nominee recipient. You must file as the "payer" the respective Form 1099 (DIV, INT, or OID) Copy A (with a Form 1096) to the IRS for each of the other owners as recipient(s) to show their allocable share of the income and you must furnish the respective Copy B Form(s) and amounts to each owner. A spouse is not required to file a nominee return to show amounts owned by the other spouse. See the 2019 General Instructions for Certain Information Returns.

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

**Keep tax documents for your records.****1099-INT Instructions for Recipient**

The information provided may be different for covered and noncovered securities. For a description of covered securities, see the Instructions for Form 8949. For a taxable covered security acquired at a premium, unless you notified the payer in writing in accordance with Regulations section 1.6045-1(n)(5) that you did not want to amortize the premium under section 171, or for a tax-exempt covered security acquired at a premium, your payer generally must report either (1) a net amount of interest that reflects the offset of the amount of interest paid to you by the amount of premium amortization allocable to the payment(s), or (2) a gross amount for both the interest paid to you and the premium amortization allocable to the payment(s). If you did not notify your payer that you did not want to amortize the premium on a taxable covered security, then your payer will only report the gross amount of interest paid to you. For a noncovered security acquired at a premium, your payer is only required to report the gross amount of interest paid to you.

**Recipient's taxpayer identification number (TIN).** For your protection, this form may show only the last four digits of your TIN (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 TIN to the IRS.

**FATCA filing requirement.** If the FATCA filing requirement line 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.

**Line 1.** Shows taxable interest paid to you during the calendar year by the payer. This does not include interest shown in line 3. May also show the total amount of the credits from clean renewable energy bonds, new clean renewable energy bonds, qualified energy conservation bonds, qualified zone academy bonds, qualified school construction bonds, and build America bonds that must be included in your interest income. These amounts were treated as paid to you during 2020 on the credit allowance dates (March 15, June 15, September 15, and December 15). For more information, see Form 8912. See the instructions above for a taxable covered security acquired at a premium.

**Line 2.** Shows interest or principal forfeited because of early withdrawal of time savings. You may deduct this amount to figure your adjusted gross income on your income tax return. See the Instructions for Forms 1040 and 1040-SR to see where to take the deduction. **Line 3.** Shows interest on U.S. Savings Bonds, Treasury bills, Treasury bonds, and Treasury notes. This may or may not all be taxable. See Pub. 550. This interest is exempt from state and local income taxes. This interest is not included in line 1. See the instructions above for a taxable covered security acquired at a premium.

**Line 4.** Shows backup withholding. Generally, a payer must backup withhold if you did not furnish your TIN or you did not furnish the correct TIN to the payer. See Form W-9. Include this amount on your income tax return as tax withheld.

**Line 5.** Any amount shown is your share of investment expenses of a singleclass REMIC. This amount is included in line 1. Note: This amount is not deductible.

**Line 6.** Shows foreign tax paid. You may be able to claim this tax as a deduction or a credit on your Form 1040 or 1040-SR. See your tax return instructions.

**Instructions for Recipient**

**Line 7.** Shows the country or U.S. possession to which the foreign tax was paid.

**Line 8.** Shows tax-exempt interest paid to you during the calendar year by the payer. See how to report this amount in the Instructions for Forms 1040 and 1040-SR. This amount may be subject to backup withholding. See Line 4 above. See the instructions above for a tax-exempt covered security acquired at a premium.

**Line 9.** Shows tax-exempt interest subject to the alternative minimum tax. This amount is included in line 8. See the Instructions for Form 6251. See the instructions above for a tax-exempt covered security acquired at a premium.

**Line 10.** For a taxable or tax-exempt covered security, if you made an election under section 1278(b) to include market discount in income as it accrues and you notified your payer of the election in writing in accordance with Regulations section 1.6045-1(n)(5), shows the market discount that accrued on the debt instrument during the year while held by you, unless it was reported on Form 1099-OID. For a taxable or tax-exempt covered security acquired on or after January 1, 2015, accrued market discount will be calculated on a constant yield basis unless you notified your payer in writing in accordance with Regulations section 1.6045-1(n)(5) that you did not want to make a constant yield election for market discount under section 1276(b). Report the accrued market discount on your income tax return as directed in the Instructions for Forms 1040 and 1040-SR. Market discount on a tax-exempt security is includable in taxable income as interest income.

**Line 11.** For a taxable covered security (other than a U.S. Treasury obligation), shows the amount of premium amortization allocable to the interest payment(s), unless you notified the payer in writing in accordance with Regulations section 1.6045-1(n)(5) that you did not want to amortize bond premium under section 171. If an amount is reported in this line, see the Instructions for Schedule B (Form 1040 or 1040-SR) to determine the net amount of interest includable in income on Form 1040 or 1040-SR with respect to the security. If an amount is not reported in this line for a taxable covered security acquired at a premium and the payer is reporting premium amortization, the payer has reported a net amount of interest in line 1. If the amount in line 11 is greater than the amount of interest paid on the covered security, see Regulations section 1.171-2(a)(4).

**Line 12.** For a U.S. Treasury obligation that is a covered security, shows the amount of premium amortization allocable to the interest payment(s), unless you notified the payer in writing in accordance with Regulations section 1.6045-1(n)(5) that you did not want to amortize bond premium under section 171. If an amount is reported in this line, see the Instructions for Schedule B (Form 1040 or 1040-SR) to determine the net amount of interest includable in income on Form 1040 or 1040-SR with respect to the U.S. Treasury obligation. If an amount is not reported in this line for a U.S. Treasury obligation that is a covered security acquired at a premium and the payer is reporting premium amortization, the payer has reported a net amount of interest in line 3. If the amount in line 12 is greater than the amount of interest paid on the U.S. Treasury obligation, see Regulations section 1.171-2(a)(4).

**Line 13.** For a tax-exempt covered security, shows the amount of premium amortization allocable to the interest payment(s). If an amount is reported in this line, see Pub. 550 to determine the net amount of tax-exempt interest reportable on Form 1040 or 1040-SR. If an amount is not reported in this line for a tax-exempt covered security acquired at a premium, the payer has reported a net amount of interest in line 8 or 9, whichever is applicable. If the amount in line 13 is greater than the amount of interest paid on the tax-exempt covered security, the excess is a nondeductible loss. See Regulations section 1.171-2(a)(4)(ii).

**Line 14.** Shows CUSIP number(s) for tax-exempt bond(s) on which tax-exempt interest was paid, or tax credit bond(s) on which taxable interest was paid or tax credit was allowed, to you during the calendar year. If blank, no CUSIP number was issued for the bond(s). **Lines 15-17.** State tax withheld reporting lines. Nominees. If this form includes amounts belonging to another person(s), you are considered a nominee recipient.

Complete a Form 1099-INT for each of the other owners showing the income allocable to each. File Copy A of the form with the IRS. Furnish Copy B to each owner. List yourself as the "payer" and the other owner(s) as the "recipient." File Form(s) 1099-INT with Form 1096 with the Internal Revenue Service Center for your area. On Form 1096, list yourself as the "filer." A spouse is not required to file a nominee return to show amounts owned by the other spouse. Future developments. For the latest information about developments related to Form 1099-INT and its instructions, such as legislation enacted after they were published, go to [www.irs.gov/Form1099INT](http://www.irs.gov/Form1099INT).

**1099-B Instructions for Recipient**

Brokers and barter exchanges must report proceeds from (and in some cases, basis for) transactions to you and the IRS on Form 1099-B. Reporting is also required when your broker knows or has reason to know that a corporation in which you own stock has had a reportable change in control or capital structure. You may be required to recognize gain from the receipt of cash, stock, or other property that was exchanged for the corporation's stock. If your broker reported this type of transaction to you, the corporation is identified in box 1a.

**Recipient's taxpayer identification number (TIN).** For your protection, this form may show only the last four digits of your TIN (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 TIN to the IRS.

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

**CUSIP number.** Shows the CUSIP (Committee on Uniform Security Identification Procedures) number or other applicable identifying number.

**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 may also have a filing requirement. See the Instructions for Form 8938.

**Applicable checkbox on Form 8949.** Indicates where to report this transaction on Form 8949 and Schedule D (Form 1040 or 1040-SR), and which checkbox is applicable. See the instructions for your Schedule D (Form 1040 or 1040-SR) and/or Form 8949.

**Line 1a.** Shows a brief description of the item or service for which amounts are being reported. For regulated futures contracts and forward contracts, "RFC" or other appropriate description may be shown. For Section 1256 option contracts, "Section 1256 option" or other appropriate description may be shown. For a corporation that had a reportable change in control or capital structure, this box may show the class of stock as C (common), P (preferred), or O (other).

**Line 1b.** This box may be blank if box 5 is checked or if the securities sold were acquired on a variety of dates. For short sales, the date shown is the date you acquired the security delivered to close the short sale.

**Line 1c.** Shows the trade date of the sale or exchange. For short sales, the date shown is the date the security was delivered to close the short sale. For aggregate reporting in boxes 8 through 11, no entry will be present.

**Line 1d.** Shows the cash proceeds, reduced by any commissions or transfer taxes related to the sale, for transactions involving stocks, debt, commodities, forward contracts, non-Section 1256 option contracts, or securities futures contracts. May show the proceeds from the disposition of your interest(s) in a widely held fixed investment trust. May also show the aggregate amount of cash and the fair market value of any stock or other property received in a reportable change in control or capital structure arising from the corporate transfer of property to a foreign corporation. Losses on forward contracts or non-Section 1256 option contracts are shown in parentheses. This box does not include proceeds from regulated futures contracts or Section 1256 option contracts. Report this amount on Form 8949 or on Schedule D (Form 1040 or 1040-SR) (whichever is applicable) as explained in the Instructions for Schedule D (Form 1040 or 1040-SR).

**Line 1e.** Shows the cost or other basis of securities sold. If the securities were acquired through the exercise of a noncompensatory option granted or acquired on or after January 1, 2014, the basis has been adjusted to reflect your option premium. If the securities were acquired through the exercise of a noncompensatory option granted or acquired before January 1, 2014, your broker is permitted, but not required, to adjust the basis to reflect your option premium. If the securities were acquired through the exercise of a compensatory option, the basis has not been adjusted to include any amount related to the option that was reported to you on a Form W-2. If box 5 is checked, box 1e may be blank. See the Instructions for Form 8949, the Instructions for Schedule D (Form 1040 or 1040-SR), or Pub. 550 for details.

Box 1f. Shows the amount of accrued market discount. For details on market discount, see the Schedule D (Form 1040 or 1040-SR) instructions, the Instructions for Form 8949, and Pub. 550. If box 5 is checked, box 1f may be blank.

**Line 1g.** Shows the amount of nondeductible loss in a wash sale transaction. For details on wash sales, see the Schedule D (Form 1040 or 1040-SR) instructions, the Instructions for Form 8949, and Pub. 550. If box 5 is checked, box 1g may be blank.

**Line 2.** The short-term and long-term boxes pertain to short-term gain or loss and long-term gain or loss. If the "Ordinary" box is checked, your security may be subject to special rules. For example, gain on a contingent payment debt instrument subject to the noncontingent bond method generally is treated as ordinary interest income rather than as capital gain. See the Instructions for Form 8949, Pub. 550, or Pub. 1212 for more details on whether there are any special rules or adjustments that might apply to your security. If box 5 is checked, box 2 may be blank.

**Line 3.** If checked, proceeds are from a transaction involving collectibles or from a Qualified Opportunity Fund (QOF).

**Line 4.** Shows backup withholding. Generally, a payer must backup withhold if you did not furnish your TIN to the payer. See Form W-9 for information on backup withholding. Include this amount on your income tax return as tax withheld.

**Line 5.** If checked, the securities sold were noncovered securities and boxes 1b, 1e, 1f, 1g, and 2 may be blank. Generally, a noncovered security means: stock purchased before 2011, stock in most mutual funds purchased before 2012, stock purchased in or transferred to a dividend reinvestment plan before 2012, debt acquired before 2014, options granted or acquired before 2014, and securities futures contracts entered into before 2014.

**Instructions for Recipient**

**Line 6.** If the exercise of a noncompensatory option resulted in a sale of a security, a checked "net proceeds" box indicates whether the amount in box 1d was adjusted for option premium.

**Line 7.** If checked, you cannot take a loss on your tax return based on gross proceeds from a reportable change in control or capital structure reported in box 1d. See the Form 8949 and Schedule D (Form 1040 or 1040-SR) instructions. The broker should advise you of any losses on a separate statement.

**Line 12.** If checked, the basis in box 1e has been reported to the IRS and either the short-term or the long-term gain or loss box in box 2 will be checked. If box 12 is checked on Form(s) 1099-B and NO adjustment is required, see the instructions for your Schedule D (Form 1040 or 1040-SR) as you may be able to report your transaction directly on Schedule D (Form 1040 or 1040-SR). If the "Ordinary" box in box 2 is checked, an adjustment may be required.

**Line 13.** Shows the cash you received, the fair market value of any property or services you received, and the fair market value of any trade credits or scrip credited to your account by a barter exchange. See Pub. 525.

**Lines 14-16.** Show state(s)/local income tax information.

**Future developments.** For the latest information about any developments related to Form 1099-B and its instructions, such as legislation enacted after they were published, go to [www.irs.gov/Form1099B](http://www.irs.gov/Form1099B).