

APEX CLEARING  
ONE DALLAS CENTER  
350 NORTH ST PAUL SUITE 1300  
DALLAS, TX 75201

SANDEEP KUMAR BACJALA  
9601 VALLEY RANCH PARKWAY EAST  
IRVING, TX 75063-4906

IN ACCOUNT WITH  
**WEBULL FINANCIAL LLC**  
**917-725-2448**

**IMPORTANT YEAR END MESSAGES**

This document includes your Consolidated Form 1099 that we are required to provide to you and contains information that we are providing to the Internal Revenue Service and additional information that may be helpful to you for filing your tax return. You may wish to seek the advice of a tax professional when preparing your return.

Please verify your personal information for accuracy and contact us to correct any discrepancies.

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<b>APEX CLEARING</b> ONE DALLAS CENTER 350 NORTH ST PAUL SUITE 1300 DALLAS, TX 75201 Customer Service: 214-765-1009  PAYER'S Federal ID No: 13-2967453  IN ACCOUNT WITH <b>WEBULL FINANCIAL LLC</b> <b>(917) 725-2448</b>	<b>Account 5MU25572</b>	<b>Form 1099 Composite</b>	<b>2020</b>
	SANDEEP KUMAR BACJALA 9601 VALLEY RANCH PARKWAY EAST IRVING, TX 75063-4906  RECIPIENT'S ID No: XXX-XX-1139	Statement Date: 01/24/2021	

FATCA filing requirement [ ]

### Tax Reporting Statement

DIVIDENDS AND DISTRIBUTIONS	2020 Form 1099-DIV*	OMB No. 1545-0110
1a- Total Ordinary Dividends (includes amount shown on 1b)	0.00	
1b- Qualified Dividends	0.00	
2a- Total Capital Gain Distributions (includes lines 2b, 2c, 2d)	0.00	
2b- Unrecaptured Section 1250 gain	0.00	
2c- Section 1202 Gain	0.00	
2d- Collectibles (28%) Gain	0.00	
3- Nondividend Distributions	0.00	
<b>4- Federal Income Tax Withheld</b>	<b>0.00</b>	
5- Section 199A Dividends	0.00	
6- Investment Expenses	0.00	
7- Foreign tax Paid	0.00	
8- Foreign country or US Possession		
9- Cash Liquidation Distributions	0.00	
10- Noncash Liquidation Distribution	0.00	
11- Exempt-Interest Dividends	0.00	
12- Specified Private Activity Bond Interest Dividends	0.00	

MISCELLANEOUS INCOME	2020 Form 1099-MISC*	OMB No. 1545-0115
2- Royalties	0.00	
3- Other Income	0.00	
<b>4- Federal Income Tax Withheld</b>	<b>0.00</b>	
8- Substitute Payments in Lieu of Dividends or Interest	0.00	

INTEREST INCOME	2020 Form 1099-INT*	OMB No. 1545-0112
1- Interest Income	0.00	
2- Early Withdrawal penalty	0.00	
3- Interest on U.S. Savings Bonds & Treasury Obligations	0.00	
<b>4- Federal Income Tax Withheld</b>	<b>0.00</b>	
5- Investment Expenses	0.00	
6- Foreign Tax Paid	0.00	
7- Foreign Country or U.S. Possession		
8- Tax-Exempt Interest (includes box 9)	<b>0.00</b>	
9- Specified Private Activity Bond Interest	0.00	
10- Market Discount	0.00	
11- Bond Premium	0.00	
12- Bond Premium on Treasury Obligations	0.00	
13- Bond Premium on Tax-Exempt Bonds	0.00	
14- Tax-Exempt and Tax Credit Bond CUSIP no.		

REGULATED FUTURES CONTRACTS & SECTION 1256 OPTIONS	2020 Form 1099-B*	OMB No. 1545-0715
8- Profit or (loss) realized in 2020 on closed contracts	0.00	
9- Unrealized profit or (loss) on open contracts - 12/31/2019	0.00	
10- Unrealized profit or (loss) on open contracts - 12/31/2020	0.00	
11- Aggregate profit or (loss) on contracts	0.00	
<i>As applicable, proceeds from other sale transactions are summarized below and details are provided in subsequent sections of this document. More details on futures and section 1256 options transactions are also provided in other sections of this document.</i>		

\* 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. Taxpayers are reminded that they are ultimately responsible for the accuracy of their tax returns. Dividends may be reclassified for tax purposes after the original Form 1099 is sent in certain cases where information from issuers is received late. This may require us to provide you an amended tax form.

APEX CLEARING

## Tax Summary

2020

5MU25572

01/24/2021

### Summary Of Sale Proceeds

Proceeds from sales of securities are reported individually by trade to the Internal Revenue Service. Please refer to the Proceeds from Broker and Barter Exchange Transactions details sections to determine correct amounts to include in your tax return. The summary transaction amounts shown below are for informational purposes.

Section	Total Proceeds	Total Cost Basis	Total Market Discount	Wash Sale Loss Disallowed	Total Net Gain or Loss(-)
Short term transactions for covered tax lots	145,133.95	151,627.89	0.00		-5,181.97
Short term transactions for noncovered tax lots	0.00	0.00	0.00	1,311.97	0.00
<b>Total Short-term</b>	<b>145,133.95</b>	<b>151,627.89</b>	<b>0.00</b>	<b>1,311.97</b>	<b>-5,181.97</b>
Long-term transactions for covered tax lots	0.00	0.00	0.00		0.00
Long-term transactions for noncovered tax lots	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 transactions for noncovered tax lots	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>

#### ORIGINAL ISSUE DISCOUNT SUMMARY

Original Issue Discount (Non-US Treasury Obligations)	0.00
Original Issue Discount on U.S. Treasury Obligations	0.00
Other Periodic Interest	0.00
Market Discount – Covered Positions	0.00
Acquisition Premium – Covered Positions	0.00
Bond Premium – Covered Positions	0.00
Tax-Exempt OID – Covered Positions	0.00
Tax Exempt OID – Specified Private Activity Bonds – Covered Positions	0.00
Investment Expenses	0.00

*Amounts shown in this section are summary totals for your reference. For bond-by-bond detail, use the Form 1099-OID section of this document.*

#### FEDERAL TAX WITHHELD

Form	Federal Income Tax Withheld
1099-B Total (aggregate):	<b>0.00</b>
1099-DIV Total:	<b>0.00</b>
1099-INT Total:	<b>0.00</b>
1099-MISC Total:	<b>0.00</b>
1099-OID Total:	<b>0.00</b>

The following information is being provided to assist in your review and the preparation of your tax return.

This Form 1099-B – Proceeds from Broker and Barter Exchange Transactions provides information relating to sales of securities in your account. The sales details are organized into potentially five separate sections depending on your holding period in the security for the sale (short-term vs long-term) and whether the security is considered a “covered security” for tax reporting purpose. For covered securities, cost basis (adjusted as required under tax regulations) is being reported to the Internal Revenue Service (IRS), whereas for noncovered securities, cost basis if set forth below is provided only for your information.

A separate category is provided for sales of securities for which we do not know your holding period. For such tax lots, you will need to use your historical documents to determine your holding period (whether short-term or long-term) and your tax basis.

Unless noted otherwise under the column “Additional Notes”, cost basis and corresponding gain or loss is determined by treating tax lots acquired first as being sold first. We have also assumed that you have made an election to amortize premium on the purchase of taxable bonds.

As brokers, we are only required to apply wash sales loss disallowance rules to securities with the same CUSIP or identifier and purchased and sold within the same account. We are also not required to apply wash sales rules across covered and noncovered securities. You as the taxpayer, however, generally have broader obligations under the wash sales rules to determine disallowed losses, and you may wish to consult with a tax adviser as to the application of such rules to you.

Sales of certain contingent payment debt instruments give rise to ordinary income rather than short-term or long-term capital gain or loss. Such ordinary income treatment is indicated in the Additional Notes column as “Box 2 – Ordinary.” In addition, certain assets classified as collectibles are subject to special tax treatment. Any such classification is noted in the Additional Notes column as “Box 3 – Collectibles Box Checked.” Loss disallowed for certain transactions involving change in control or capital structure is noted in the Additional Notes column as “Box 7 – Loss Disallowed Box Checked.” Disposition of a QOF investment is noted in the Additional Notes column as “Box 3 – QOF.”

Information in the transaction detail sections below that have a Box number is being transmitted to the IRS, whereas additional information that is not being transmitted to the IRS is not headed by a Box number. Such additional information may be helpful to you in the preparation of your tax return. Remember that taxpayers are ultimately responsible for the accuracy of their tax returns.

FATCA filing requirement [ ]

## SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

Report on Form 8949, Part I with Box A checked.

**Box 2:** Type of Gain or Loss - Short-Term (unless indicated as Ordinary in Additional Notes Column)

**Box 5:** Box Not Checked (Covered Security)

**Box 6:** Gross (unless indicated as Net in Additional Notes Column)

**Box 12:** Basis Reported to the IRS

**The 1099-B data referenced by a Box Number is reported to the IRS. The additional information not referenced by a Box Number is not reported to the IRS but may be helpful to complete your return.**

### 1a - Description of property | CUSIP | Symbol

1c - Date Sold or Disposed	Quantity	1d - Proceeds	1b - Date Acquired	1e - Cost or Other Basis	1f - Accrued Market Discount (M) & 1g - Wash Sale Loss Disallowed (D)	Gain or Loss (-)	Additional Notes
PUT BA 08/21/20	172.50	BOEING CO   CUSIP:   Symbol: BA200821P00172500					
08/17/2020	1.00	419.89	08/17/2020	329.09	0.00	90.80	Sell to Close
CALL BA 08/21/20	177.50	BOEING CO   CUSIP:   Symbol: BA200821C00177500					
08/17/2020	1.00	249.89	08/17/2020	266.09	0.00	-16.20	Sell to Close
PUT SPY 08/14/20	336	STANDARD & POORS DEPOSITORY   CUSIP:   Symbol: SPY200814P00336000					
08/12/2020	1.00	128.90	08/12/2020	142.09	0.00	-13.19	Sell to Close
PUT ROKU 08/14/20	143	ROKU INC   CUSIP:   Symbol: ROKU200814P00143000					
08/11/2020	1.00	319.89	08/11/2020	373.09	0.00	-53.20	Sell to Close
CALL BABA 07/02/20	217.50	ALIBABA GROUP HOLDING LIMITED   CUSIP:   Symbol: BABA200702C00217500					
06/29/2020	2.00	435.79	Various	1,085.58	0.00	-649.79	Sell to Close

APEX CLEARING

## Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B\*

OMB No. 1545-0715

5MU25572

(continued)

01/24/2021

**SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS**

Report on Form 8949, Part I with Box A checked.

**Box 2:** Type of Gain or Loss - Short-Term (unless indicated as Ordinary in Additional Notes Column)**Box 5:** Box Not Checked (Covered Security)**Box 6:** Gross (unless indicated as Net in Additional Notes Column)**Box 12:** Basis Reported to the IRS**The 1099-B data referenced by a Box Number is reported to the IRS. The additional information not referenced by a Box Number is not reported to the IRS but may be helpful to complete your return.****1a - Description of property | CUSIP | Symbol**

1c - Date Sold or Disposed	Quantity	1d - Proceeds	1b - Date Acquired	1e - Cost or Other Basis	1f - Accrued Market Discount (M) & 1g - Wash Sale Loss Disallowed (D)	Gain or Loss (-)	Additional Notes
06/29/2020	2.00	399.79	06/26/2020	810.19	410.4 D	0.00	Sell to Close
<b>Security Totals:</b>		<b>835.58</b>		<b>1,895.77</b>		<b>-649.79</b>	
ROKU INC	CLASS A COMMON STOCK   CUSIP: 77543R102   Symbol: ROKU						
07/31/2020	1.00	155.38	07/31/2020	155.16	0.00	0.22	Sale
PUT BABA	07/02/20	215	ALIBABA GROUP HOLDING LIMITED   CUSIP:   Symbol: BABA200702P00215000				
06/26/2020	1.00	384.89	06/26/2020	380.09	0.00	4.80	Sell to Close
06/30/2020	2.00	449.79	06/30/2020	520.19	0.00	-70.40	Sell to Close
<b>Security Totals:</b>		<b>834.68</b>		<b>900.28</b>		<b>-65.60</b>	
CALL HD	08/21/20	285	HOME DEPOT INC   CUSIP:   Symbol: HD200821C00285000				
08/12/2020	1.00	399.89	08/12/2020	418.09	0.00	-18.20	Sell to Close
CALL MU	08/28/20	51.50	MICRON TECHNOLOGY INC   CUSIP:   Symbol: MU200828C00051500				
07/21/2020	1.00	329.89	07/20/2020	270.09	0.00	59.80	Sell to Close
PUT BABA	07/02/20	217.50	ALIBABA GROUP HOLDING LIMITED   CUSIP:   Symbol: BABA200702P00217500				
06/26/2020	2.00	759.78	06/26/2020	730.19	0.00	29.59	Sell to Close
CALL DIS	08/14/20	133	WALT DISNEY CO   CUSIP:   Symbol: DIS200814C00133000				
08/11/2020	2.00	177.80	08/11/2020	280.18	0.00	-102.38	Sell to Close
PUT BABA	07/02/20	220	ALIBABA GROUP HOLDING LIMITED   CUSIP:   Symbol: BABA200702P00220000				
06/25/2020	1.00	389.89	06/25/2020	380.09	0.00	9.80	Sell to Close
CALL DOCU	07/17/20	240	DOCUSIGN INC   CUSIP:   Symbol: DOCU200717C00240000				
07/09/2020	2.00	439.79	07/09/2020	370.19	0.00	69.60	Sell to Close
07/09/2020	2.00	285.79	07/09/2020	360.19	0.00	-74.40	Sell to Close
<b>Security Totals:</b>		<b>725.58</b>		<b>730.38</b>		<b>-4.80</b>	
CALL NVAX	08/21/20	155	NOVAVAX INC   CUSIP:   Symbol: NVAX200821C00155000				
08/14/2020	2.00	1,709.77	Various	1,710.18	0.00	-0.41	Sell to Close
PUT CAR	06/19/20	26	AVIS BUDGET GROUP INC   CUSIP:   Symbol: CAR200619P00026000				
06/04/2020	1.00	137.89	06/04/2020	123.09	0.00	14.80	Sell to Close
PUT SPY	09/30/20	330	STANDARD & POORS DEPOSITORY   CUSIP:   Symbol: SPY200930P00330000				
09/28/2020	1.00	121.90	09/28/2020	130.08	0.00	-8.18	Sell to Close
CALL DISH	10/16/20	45	DISH NETWORK CORP CL A   CUSIP:   Symbol: DISH201016C00045000				
06/15/2020	1.00	164.89	06/15/2020	150.09	0.00	14.80	Sell to Close

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**SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS**

Report on Form 8949, Part I with Box A checked.

**Box 2:** Type of Gain or Loss - Short-Term (unless indicated as Ordinary in Additional Notes Column)

**Box 5:** Box Not Checked (Covered Security)

**Box 6:** Gross (unless indicated as Net in Additional Notes Column)

**Box 12:** Basis Reported to the IRS

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

1c - Date Sold or Disposed	Quantity	1d - Proceeds	1b - Date Acquired	1e - Cost or Other Basis	1f - Accrued Market Discount (M) & 1g - Wash Sale Loss Disallowed (D)	Gain or Loss (-)	Additional Notes
CALL ABBV 07/17/20	100	ABBVIE INC   CUSIP:   Symbol: ABBV200717C00100000					
06/09/2020	1.00	129.89	06/08/2020	120.09	0.00	9.80	Sell to Close
CALL DKNG 07/24/20	34.50	DRAFTKINGS INC CL A   CUSIP:   Symbol: DKNG200724C00034500					
07/16/2020	1.00	214.89	07/16/2020	235.09	0.00	-20.20	Sell to Close
PUT BA 06/12/20	152.50	BOEING CO   CUSIP:   Symbol: BA200612P00152500					
06/11/2020	2.00	239.79	06/11/2020	240.19	0.00	-0.40	Sell to Close
CALL BA 08/14/20	190	BOEING CO   CUSIP:   Symbol: BA200814C00190000					
08/11/2020	1.00	439.89	08/11/2020	480.09	0.00	-40.20	Sell to Close
CALL AAPL 08/07/20	440	APPLE INC   CUSIP:   Symbol: AAPL200807C00440000					
07/31/2020	1.00	199.89	07/31/2020	214.09	0.00	-14.20	Sell to Close
CALL BA 08/14/20	192.50	BOEING CO   CUSIP:   Symbol: BA200814C00192500					
08/11/2020	1.00	289.89	08/11/2020	400.09	0.00	-110.20	Sell to Close
CALL NFLX 07/17/20	650	NETFLIX INC   CUSIP:   Symbol: NFLX200717C00650000					
07/10/2020	2.00	969.77	Various	800.18	0.00	169.59	Sell to Close
07/10/2020	1.00	504.88	07/10/2020	470.09	0.00	34.79	Sell to Close
07/10/2020	1.00	429.89	07/10/2020	315.09	0.00	114.80	Sell to Close
<b>Security Totals:</b>		<b>1,904.54</b>		<b>1,585.36</b>		<b>319.18</b>	
CALL NVDA 06/26/20	370	NVIDIA CORP   CUSIP:   Symbol: NVDA200626C00370000					
06/18/2020	2.00	1,719.76	Various	1,640.18	0.00	79.58	Sell to Close
CALL DKNG 07/24/20	34	DRAFTKINGS INC CL A   CUSIP:   Symbol: DKNG200724C00034000					
07/16/2020	1.00	247.89	07/16/2020	220.09	0.00	27.80	Sell to Close
PUT ROKU 07/17/20	147	ROKU INC   CUSIP:   Symbol: ROKU200717P00147000					
07/14/2020	1.00	619.88	07/14/2020	600.09	0.00	19.79	Sell to Close
CALL CLDR 06/19/20	13	CLOUDERA INC   CUSIP:   Symbol: CLDR200619C00013000					
06/18/2020	2.00	119.79	06/18/2020	80.19	0.00	39.60	Sell to Close
CALL TXN 06/05/20	121	TEXAS INSTRUMENTS INC   CUSIP:   Symbol: TXN200605C00121000					
06/02/2020	1.00	130.89	06/02/2020	165.09	0.00	-34.20	Sell to Close
CALL NFLX 06/26/20	465	NETFLIX INC   CUSIP:   Symbol: NFLX200626C00465000					
06/24/2020	1.00	319.89	06/24/2020	437.09	0.00	-117.20	Sell to Close
CALL WMT 07/10/20	128	WALMART INC   CUSIP:   Symbol: WMT200710C00128000					
07/08/2020	1.00	129.89	07/07/2020	101.09	0.00	28.80	Sell to Close

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APEX CLEARING

## Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B\*

OMB No. 1545-0715

5MU25572

(continued)

01/24/2021

**SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS**

Report on Form 8949, Part I with Box A checked.

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<b>1c - Date Sold or Disposed</b>	<b>Quantity</b>	<b>1d - Proceeds</b>	<b>1b - Date Acquired</b>	<b>1e - Cost or Other Basis</b>	<b>1f - Accrued Market Discount (M) &amp; 1g - Wash Sale Loss Disallowed (D)</b>	<b>Gain or Loss (-)</b>	<b>Additional Notes</b>
CALL QCOM 08/21/20	115	QUALCOMM INC   CUSIP:   Symbol: QCOM200821C00115000					
08/12/2020	2.00	387.80	08/12/2020	464.18	0.00	-76.38	Sell to Close
CALL FB 06/19/20	232.50	FACEBOOK INC CL A   CUSIP:   Symbol: FB200619C00232500					
06/17/2020	1.00	319.89	06/17/2020	310.09	0.00	9.80	Sell to Close
PUT TSLA 07/10/20	1260	TESLA INC   CUSIP:   Symbol: TSLA200710P01260000					
07/07/2020	1.00	1,129.87	07/07/2020	1,400.09	0.00	-270.22	Sell to Close
CALL NKLA 06/26/20	69	NIKOLA CORPORATION   CUSIP:   Symbol: NKLA200626C00069000					
06/23/2020	3.00	869.69	06/23/2020	840.28	0.00	29.41	Sell to Close
CALL SPY 08/03/20	325	STANDARD & POORS DEPOSITORY   CUSIP:   Symbol: SPY200803C00325000					
07/31/2020	1.00	110.89	07/31/2020	124.09	0.00	-13.20	Sell to Close
CALL HD 07/24/20	265	HOME DEPOT INC   CUSIP:   Symbol: HD200724C00265000					
07/16/2020	1.00	266.89	07/16/2020	250.09	0.00	16.80	Sell to Close
07/16/2020	1.00	264.89	07/16/2020	250.10	0.00	14.79	Sell to Close
<b>Security Totals:</b>		<b>531.78</b>		<b>500.19</b>		<b>31.59</b>	
CALL NVDA 07/17/20	450	NVIDIA CORP   CUSIP:   Symbol: NVDA200717C00450000					
07/13/2020	1.00	115.89	07/10/2020	280.09	0.00	-164.20	Sell to Close
PUT TSLA 07/02/20	1045	TESLA INC   CUSIP:   Symbol: TSLA200702P01045000					
06/30/2020	1.00	1,457.86	06/30/2020	2,485.09	0.00	-1,027.23	Sell to Close
CALL ZM 07/24/20	280	ZOOM VIDEO COMMUNICATIONS INC   CUSIP:   Symbol: ZM200724C00280000					
07/20/2020	1.00	399.89	07/20/2020	390.09	0.00	9.80	Sell to Close
CALL BA 08/14/20	177.50	BOEING CO   CUSIP:   Symbol: BA200814C00177500					
08/06/2020	1.00	509.88	08/06/2020	540.09	30.21 D	0.00	Sell to Close
08/10/2020	1.00	394.89	08/10/2020	465.30	70.41 D	0.00	Sell to Close
08/10/2020	1.00	489.88	08/10/2020	520.50	0.00	-30.62	Sell to Close
<b>Security Totals:</b>		<b>1,394.65</b>		<b>1,525.89</b>		<b>-30.62</b>	
CALL DGLY 08/21/20	4	DIGITAL ALLY INC   CUSIP:   Symbol: DGLY200821C00004000					
07/16/2020	3.00	314.70	07/16/2020	309.28	0.00	5.42	Sell to Close
PUT SPY 09/25/20	321	STANDARD & POORS DEPOSITORY   CUSIP:   Symbol: SPY200925P00321000					
09/23/2020	1.00	208.89	09/23/2020	204.09	0.00	4.80	Sell to Close
CALL NVDA 07/10/20	402.50	NVIDIA CORP   CUSIP:   Symbol: NVDA200710C00402500					
07/07/2020	1.00	649.88	07/07/2020	634.09	0.00	15.79	Sell to Close

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APEX CLEARING

## Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B\*

OMB No. 1545-0715

5MU25572

(continued)

01/24/2021

**SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS**

Report on Form 8949, Part I with Box A checked.

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1c - Date Sold or Disposed	Quantity	1d - Proceeds	1b - Date Acquired	1e - Cost or Other Basis	1f - Accrued Market Discount (M) & 1g - Wash Sale Loss Disallowed (D)	Gain or Loss (-)	Additional Notes
INTEL CORP   CUSIP: 458140100   Symbol: INTC							
07/29/2020	3.00	144.16	07/24/2020	154.23	0.00	-10.07	Sale
PUT OKTA 07/02/20 197.50 OKTA INC   CUSIP:   Symbol: OKTA200702P00197500							
06/26/2020	1.00	499.88	06/26/2020	480.09	0.00	19.79	Sell to Close
CALL BA 08/14/20 187.50 BOEING CO   CUSIP:   Symbol: BA200814C00187500							
08/11/2020	1.00	544.88	08/11/2020	465.09	0.00	79.79	Sell to Close
CALL CRON 08/07/20 7 CRONOS GROUP INC   CUSIP:   Symbol: CRON200807C00007000							
07/15/2020	2.00	123.79	07/15/2020	110.19	0.00	13.60	Sell to Close
07/15/2020	2.00	119.79	07/15/2020	110.19	0.00	9.60	Sell to Close
<b>Security Totals:</b>		<b>243.58</b>		<b>220.38</b>		<b>23.20</b>	
ADVANCED MICRO DEVICES INC COM   CUSIP: 007903107   Symbol: AMD							
07/30/2020	2.00	156.32	07/30/2020	156.14	0.00	0.18	Sale
CALL ZM 07/02/20 255 ZOOM VIDEO COMMUNICATIONS INC   CUSIP:   Symbol: ZM200702C00255000							
06/30/2020	1.00	459.88	06/30/2020	440.09	0.00	19.79	Sell to Close
CALL ROKU 06/26/20 129 ROKU INC   CUSIP:   Symbol: ROKU200626C00129000							
06/23/2020	2.00	779.78	06/23/2020	730.19	0.00	49.59	Sell to Close
CALL SNAP 08/21/20 24 SNAP INC   CUSIP:   Symbol: SNAP200821C00024000							
06/30/2020	2.00	387.79	06/29/2020	366.19	0.00	21.60	Sell to Close
CALL QCOM 07/17/20 94 QUALCOMM INC   CUSIP:   Symbol: QCOM200717C00094000							
07/13/2020	1.00	103.89	07/13/2020	168.09	0.00	-64.20	Sell to Close
PUT BA 06/19/20 75 BOEING CO   CUSIP:   Symbol: BA200619P00075000							
06/12/2020	3.00	17.70	06/11/2020	60.28	0.00	-42.58	Sell to Close
CALL BYND 07/31/20 165 BEYOND MEAT INC   CUSIP:   Symbol: BYND200731C00165000							
07/31/2020	1.00	0.00	07/21/2020	192.09	0.00	-192.09	Expiration
CALL NVDA 07/10/20 440 NVIDIA CORP   CUSIP:   Symbol: NVDA200710C00440000							
06/10/2020	2.00	467.78	06/10/2020	420.19	0.00	47.59	Sell to Close
CALL XOM 06/26/20 60 EXXON MOBIL CORP   CUSIP:   Symbol: XOM200626C00060000							
06/26/2020	1.00	0.00	06/08/2020	70.09	0.00	-70.09	Expiration
CALL SPY 06/15/20 303 STANDARD & POORS DEPOSITORY   CUSIP:   Symbol: SPY200615C00303000							
06/12/2020	1.00	439.89	06/12/2020	420.09	0.00	19.80	Sell to Close

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**SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS**

Report on Form 8949, Part I with Box A checked.

**Box 2:** Type of Gain or Loss - Short-Term (unless indicated as Ordinary in Additional Notes Column)

**Box 5:** Box Not Checked (Covered Security)

**Box 6:** Gross (unless indicated as Net in Additional Notes Column)

**Box 12:** Basis Reported to the IRS

The 1099-B data referenced by a Box Number is reported to the IRS. The additional information not referenced by a Box Number is not reported to the IRS but may be helpful to complete your return.

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

1c - Date Sold or Disposed	Quantity	1d - Proceeds	1b - Date Acquired	1e - Cost or Other Basis	1f - Accrued Market Discount (M) & 1g - Wash Sale Loss Disallowed (D)	Gain or Loss (-)	Additional Notes
CALL ROKU 07/17/20	162.50	ROKU INC   CUSIP:   Symbol: ROKU200717C00162500					
07/15/2020	1.00	229.89	07/15/2020	268.09	0.00	-38.20	Sell to Close
CALL BABA 07/10/20	227.50	ALIBABA GROUP HOLDING LIMITED   CUSIP:   Symbol: BABA200710C00227500					
07/02/2020	1.00	230.89	07/02/2020	208.09	0.00	22.80	Sell to Close
CALL IWM 06/19/20	155	ISHARES RUSSELL 2000 ETF   CUSIP:   Symbol: IWM200619C00155000					
06/10/2020	2.00	281.79	06/10/2020	232.19	0.00	49.60	Sell to Close
PUT NFLX 07/10/20	475	NETFLIX INC   CUSIP:   Symbol: NFLX200710P00475000					
07/02/2020	1.00	714.88	07/02/2020	840.09	0.00	-125.21	Sell to Close
CALL EBAY 08/28/20	60	EBAY INC   CUSIP:   Symbol: EBAY200828C00060000					
08/13/2020	1.00	38.89	08/13/2020	44.09	0.00	-5.20	Sell to Close
CALL ROKU 07/17/20	167.50	ROKU INC   CUSIP:   Symbol: ROKU200717C00167500					
07/13/2020	2.00	1,439.76	07/13/2020	1,400.19	0.00	39.57	Sell to Close
CALL VIPS 07/10/20	22.50	VIPSHOP HOLDINGS LIMITED   CUSIP:   Symbol: VIPS200710C00022500					
07/08/2020	1.00	34.89	07/08/2020	50.09	0.00	-15.20	Sell to Close
CALL RCL 08/14/20	55	ROYAL CARIBBEAN GROUP   CUSIP:   Symbol: RCL200814C00055000					
08/10/2020	1.00	259.89	08/10/2020	196.09	0.00	63.80	Sell to Close
CALL JPM 07/24/20	100	JPMORGAN CHASE & CO   CUSIP:   Symbol: JPM200724C00100000					
07/20/2020	1.00	88.89	07/20/2020	97.09	0.00	-8.20	Sell to Close
PUT SBUX 06/19/20	76	STARBUCKS CORPORATION   CUSIP:   Symbol: SBUX200619P00076000					
06/10/2020	2.00	187.79	06/10/2020	168.19	0.00	19.60	Sell to Close
CALL JPM 08/14/20	102	JPMORGAN CHASE & CO   CUSIP:   Symbol: JPM200814C00102000					
08/10/2020	1.00	152.89	08/10/2020	167.09	0.00	-14.20	Sell to Close
CALL SQ 07/24/20	128	SQUARE INC   CUSIP:   Symbol: SQ200724C00128000					
07/20/2020	1.00	349.89	07/20/2020	305.09	0.00	44.80	Sell to Close
CALL JPM 07/24/20	99.50	JPMORGAN CHASE & CO   CUSIP:   Symbol: JPM200724C00099500					
07/14/2020	2.00	629.78	07/14/2020	602.19	0.00	27.59	Sell to Close
CALL ROKU 07/17/20	152.50	ROKU INC   CUSIP:   Symbol: ROKU200717C00152500					
07/15/2020	2.00	1,061.77	07/15/2020	960.19	0.00	101.58	Sell to Close
CALL AAL 06/19/20	22	AMERICAN AIRLINES GROUP INC   CUSIP:   Symbol: AAL200619C00022000					
06/05/2020	1.00	339.89	06/05/2020	310.09	0.00	29.80	Sell to Close

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**SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS**

Report on Form 8949, Part I with Box A checked.

**Box 2:** Type of Gain or Loss - Short-Term (unless indicated as Ordinary in Additional Notes Column)

**Box 5:** Box Not Checked (Covered Security)

**Box 6:** Gross (unless indicated as Net in Additional Notes Column)

**Box 12:** Basis Reported to the IRS

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

1c - Date Sold or Disposed	Quantity	1d - Proceeds	1b - Date Acquired	1e - Cost or Other Basis	1f - Accrued Market Discount (M) & 1g - Wash Sale Loss Disallowed (D)	Gain or Loss (-)	Additional Notes
MICROSOFT CORP   CUSIP: 594918104   Symbol: MSFT							
07/29/2020	1.00	203.96	07/24/2020	201.48	0.00	2.48	Sale
CALL SPY 09/08/20 350 STANDARD & POORS DEPOSITORY   CUSIP:   Symbol: SPY200908C00350000							
09/03/2020	1.00	218.89	09/03/2020	282.09	0.00	-63.20	Sell to Close
CALL MSFT 07/17/20 217.50 MICROSOFT CORP   CUSIP:   Symbol: MSFT200717C00217500							
07/09/2020	1.00	324.89	07/09/2020	305.09	0.00	19.80	Sell to Close
07/13/2020	1.00	204.89	07/13/2020	263.09	0.00	-58.20	Sell to Close
<b>Security Totals:</b>		<b>529.78</b>		<b>568.18</b>		<b>-38.40</b>	
CALL AAPL 08/14/20 455 APPLE INC   CUSIP:   Symbol: AAPL200814C00455000							
08/10/2020	1.00	759.88	08/10/2020	855.09	0.00	-95.21	Sell to Close
CALL BA 06/19/20 205 BOEING CO   CUSIP:   Symbol: BA200619C00205000							
06/15/2020	1.00	299.89	06/15/2020	300.09	0.00	-0.20	Sell to Close
CALL AAPL 08/14/20 460 APPLE INC   CUSIP:   Symbol: AAPL200814C00460000							
08/10/2020	1.00	644.88	08/10/2020	590.09	0.00	54.79	Sell to Close
CALL BA 08/21/20 180 BOEING CO   CUSIP:   Symbol: BA200821C00180000							
08/14/2020	1.00	454.88	08/14/2020	433.09	0.00	21.79	Sell to Close
CALL KO 08/21/20 47.50 COCA COLA CO   CUSIP:   Symbol: KO200821C00047500							
06/25/2020	2.00	175.79	06/23/2020	256.19	0.00	-80.40	Sell to Close
CALL TSLA 08/21/20 1885 TESLA INC   CUSIP:   Symbol: TSLA200821C01885000							
08/17/2020	1.00	1,399.86	08/17/2020	1,354.09	0.00	45.77	Sell to Close
CALL NVDA 07/10/20 415 NVIDIA CORP   CUSIP:   Symbol: NVDA200710C00415000							
07/09/2020	1.00	424.89	07/09/2020	425.09	0.00	-0.20	Sell to Close
CALL ROKU 07/10/20 122 ROKU INC   CUSIP:   Symbol: ROKU200710C00122000							
07/01/2020	1.00	539.88	07/01/2020	382.09	0.00	157.79	Sell to Close
07/01/2020	1.00	469.88	07/01/2020	382.10	0.00	87.78	Sell to Close
<b>Security Totals:</b>		<b>1,009.76</b>		<b>764.19</b>		<b>245.57</b>	
CALL ROKU 07/10/20 139 ROKU INC   CUSIP:   Symbol: ROKU200710C00139000							
07/09/2020	1.00	399.89	07/09/2020	400.09	0.00	-0.20	Sell to Close
CALL CLF 07/17/20 6 CLEVELAND CLIFFS INC   CUSIP:   Symbol: CLF200717C00006000							
07/13/2020	5.00	134.52	07/10/2020	105.46	0.00	29.06	Sell to Close

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APEX CLEARING

## Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B\*

OMB No. 1545-0715

5MU25572

(continued)

01/24/2021

**SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS**

Report on Form 8949, Part I with Box A checked.

**Box 2:** Type of Gain or Loss - Short-Term (unless indicated as Ordinary in Additional Notes Column)**Box 5:** Box Not Checked (Covered Security)**Box 6:** Gross (unless indicated as Net in Additional Notes Column)**Box 12:** Basis Reported to the IRS**The 1099-B data referenced by a Box Number is reported to the IRS. The additional information not referenced by a Box Number is not reported to the IRS but may be helpful to complete your return.****1a - Description of property | CUSIP | Symbol**

1c - Date Sold or Disposed	Quantity	1d - Proceeds	1b - Date Acquired	1e - Cost or Other Basis	1f - Accrued Market Discount (M) & 1g - Wash Sale Loss Disallowed (D)	Gain or Loss (-)	Additional Notes
CALL AAPL 07/17/20	420	APPLE INC   CUSIP:   Symbol: AAPL200717C00420000					
07/13/2020	2.00	185.79	07/13/2020	224.19	0.00	-38.40	Sell to Close
CALL NFLX 07/10/20	465	NETFLIX INC   CUSIP:   Symbol: NFLX200710C00465000					
07/01/2020	1.00	1,039.87	07/01/2020	1,010.09	0.00	29.78	Sell to Close
CALL BA 06/19/20	300	BOEING CO   CUSIP:   Symbol: BA200619C00300000					
06/10/2020	1.00	151.89	06/10/2020	172.09	20.2 D	0.00	Sell to Close
06/11/2020	1.00	31.89	06/10/2020	136.29	104.4 D	0.00	Sell to Close
06/17/2020	1.00	4.90	06/10/2020	207.49	0.00	-202.59	Sell to Close
<b>Security Totals:</b>		<b>188.68</b>		<b>515.87</b>		<b>-202.59</b>	
CALL BABA 07/10/20	270	ALIBABA GROUP HOLDING LIMITED   CUSIP:   Symbol: BABA200710C00270000					
07/08/2020	2.00	211.79	07/08/2020	206.19	0.00	5.60	Sell to Close
PUT ROKU 06/26/20	131	ROKU INC   CUSIP:   Symbol: ROKU200626P00131000					
06/19/2020	1.00	689.88	06/19/2020	675.09	0.00	14.79	Sell to Close
CALL SPY 09/25/20	326	STANDARD & POORS DEPOSITORY   CUSIP:   Symbol: SPY200925C00326000					
09/24/2020	2.00	237.80	Various	289.18	0.00	-51.38	Sell to Close
CALL DAL 07/24/20	28	DELTA AIR LINES INC DEL   CUSIP:   Symbol: DAL200724C00028000					
07/15/2020	2.00	337.79	07/15/2020	310.19	0.00	27.60	Sell to Close
CALL WKHS 08/21/20	15.50	WORKHORSE GROUP INC   CUSIP:   Symbol: WKHS200821C00015500					
08/18/2020	1.00	107.89	08/18/2020	105.09	0.00	2.80	Sell to Close
CALL NIO 08/07/20	14	NIO INC ADS   CUSIP:   Symbol: NIO200807C00014000					
08/03/2020	1.00	45.89	08/03/2020	51.09	0.00	-5.20	Sell to Close
CALL ROKU 08/07/20	157.50	ROKU INC   CUSIP:   Symbol: ROKU200807C00157500					
07/31/2020	1.00	1,097.87	07/31/2020	955.09	0.00	142.78	Sell to Close
EASTMAN KODAK COMPANY		COM NEW   CUSIP: 277461406   Symbol: KODK					
07/29/2020	5.00	219.98	07/29/2020	207.75	0.00	12.23	Sale
CALL AZN 07/31/20	62	ASTRAZENECA PLC   CUSIP:   Symbol: AZN200731C00062000					
07/17/2020	1.00	299.89	07/17/2020	300.09	0.00	-0.20	Sell to Close
CALL NIO 10/02/20	20	NIO INC ADS   CUSIP:   Symbol: NIO201002C00020000					
09/22/2020	1.00	91.89	09/22/2020	84.09	0.00	7.80	Sell to Close
PUT ROKU 08/07/20	157.50	ROKU INC   CUSIP:   Symbol: ROKU200807P00157500					
08/03/2020	1.00	1,019.87	08/03/2020	1,015.09	0.00	4.78	Sell to Close

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APEX CLEARING

## Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B\*

OMB No. 1545-0715

5MU25572

(continued)

01/24/2021

**SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS**

Report on Form 8949, Part I with Box A checked.

**Box 2:** Type of Gain or Loss - Short-Term (unless indicated as Ordinary in Additional Notes Column)**Box 5:** Box Not Checked (Covered Security)**Box 6:** Gross (unless indicated as Net in Additional Notes Column)**Box 12:** Basis Reported to the IRS**The 1099-B data referenced by a Box Number is reported to the IRS. The additional information not referenced by a Box Number is not reported to the IRS but may be helpful to complete your return.****1a - Description of property | CUSIP | Symbol**

1c - Date Sold or Disposed	Quantity	1d - Proceeds	1b - Date Acquired	1e - Cost or Other Basis	1f - Accrued Market Discount (M) & 1g - Wash Sale Loss Disallowed (D)	Gain or Loss (-)	Additional Notes
PUT WORK 06/19/20 30.50 SLACK TECHNOLOGIES INC CL A   CUSIP:   Symbol: WORK200619P00030500							
06/09/2020	1.00	105.89	06/08/2020	170.10	0.00	-64.21	Sell to Close
06/09/2020	1.00	105.89	06/08/2020	170.09	0.00	-64.20	Sell to Close
<b>Security Totals:</b>		<b>211.78</b>		<b>340.19</b>		<b>-128.41</b>	
PUT XOM 06/26/20 47 EXXON MOBIL CORP   CUSIP:   Symbol: XOM200626P00047000							
06/11/2020	1.00	199.89	06/11/2020	204.09	0.00	-4.20	Sell to Close
CALL SOLO 07/17/20 4 ELECTRAMECANICA VEHICLES CORP   CUSIP:   Symbol: SOLO200717C00004000							
07/15/2020	3.00	44.70	Various	145.28	0.00	-100.58	Sell to Close
PUT ROKU 07/02/20 123 ROKU INC   CUSIP:   Symbol: ROKU200702P00123000							
06/26/2020	1.00	459.88	06/26/2020	440.09	0.00	19.79	Sell to Close
CALL SQ 08/21/20 130 SQUARE INC   CUSIP:   Symbol: SQ200821C00130000							
06/15/2020	3.00	245.70	06/11/2020	174.28	0.00	71.42	Sell to Close
CALL NIO 07/24/20 17 NIO INC ADS   CUSIP:   Symbol: NIO200724C00017000							
07/13/2020	2.00	289.79	07/13/2020	456.19	0.00	-166.40	Sell to Close
CALL NVDA 07/31/20 450 NVIDIA CORP   CUSIP:   Symbol: NVDA200731C00450000							
07/22/2020	2.00	649.78	07/22/2020	780.19	0.00	-130.41	Sell to Close
CALL FB 06/19/20 237.50 FACEBOOK INC CL A   CUSIP:   Symbol: FB200619C00237500							
06/19/2020	1.00	143.89	06/19/2020	140.09	0.00	3.80	Sell to Close
CALL ZS 06/12/20 110 ZSCALER INC   CUSIP:   Symbol: ZS200612C00110000							
06/03/2020	1.00	288.89	06/03/2020	275.09	0.00	13.80	Sell to Close
CALL WORK 08/21/20 34 SLACK TECHNOLOGIES INC CL A   CUSIP:   Symbol: WORK200821C00034000							
06/10/2020	1.00	304.89	06/09/2020	275.09	0.00	29.80	Sell to Close
PUT FB 06/19/20 237.50 FACEBOOK INC CL A   CUSIP:   Symbol: FB200619P00237500							
06/19/2020	3.00	125.70	06/19/2020	198.28	0.00	-72.58	Sell to Close
CALL AMD 07/24/20 56 ADVANCED MICRO DEVICES INC   CUSIP:   Symbol: AMD200724C00056000							
07/17/2020	2.00	213.79	07/17/2020	308.19	0.00	-94.40	Sell to Close
PUT TSLA 07/24/20 1460 TESLA INC   CUSIP:   Symbol: TSLA200724P01460000							
07/23/2020	1.00	799.88	07/23/2020	1,200.09	0.00	-400.21	Sell to Close
CALL ZM 07/10/20 267.50 ZOOM VIDEO COMMUNICATIONS INC   CUSIP:   Symbol: ZM200710C00267500							
07/07/2020	1.00	529.88	07/07/2020	450.09	0.00	79.79	Sell to Close

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APEX CLEARING

## Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B\*

OMB No. 1545-0715

5MU25572

(continued)

01/24/2021

**SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS**

Report on Form 8949, Part I with Box A checked.

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<b>1c - Date Sold or Disposed</b>	<b>Quantity</b>	<b>1d - Proceeds</b>	<b>1b - Date Acquired</b>	<b>1e - Cost or Other Basis</b>	<b>1f - Accrued Market Discount (M) &amp; 1g - Wash Sale Loss Disallowed (D)</b>	<b>Gain or Loss (-)</b>	<b>Additional Notes</b>
CALL NVDA 06/19/20	365						
NVIDIA CORP   CUSIP:   Symbol: NVDA200619C00365000							
06/16/2020	1.00	669.88	06/16/2020	610.09	0.00	59.79	Sell to Close
CALL BYND 07/02/20	137						
BEYOND MEAT INC   CUSIP:   Symbol: BYND200702C00137000							
06/25/2020	1.00	819.88	06/25/2020	770.09	0.00	49.79	Sell to Close
CALL NIO 10/09/20	20						
NIO INC ADS   CUSIP:   Symbol: NIO201009C00020000							
09/29/2020	1.00	127.90	09/29/2020	140.08	0.00	-12.18	Sell to Close
BOEING CO   CUSIP: 097023105   Symbol: BA							
07/29/2020	2.00	332.44	07/29/2020	333.80	0.00	-1.36	Sale
07/29/2020	3.00	491.19	07/29/2020	494.10	1.94 D	-0.97	Sale
<b>Security Totals:</b>		<b>823.63</b>		<b>827.90</b>		<b>-2.33</b>	
CALL DKNG 07/31/20	38.50						
DRAFTKINGS INC CL A   CUSIP:   Symbol: DKNG200731C00038500							
07/22/2020	1.00	129.89	07/21/2020	235.09	105.2 D	0.00	Sell to Close
07/22/2020	1.00	189.89	07/22/2020	290.29	0.00	-100.40	Sell to Close
<b>Security Totals:</b>		<b>319.78</b>		<b>525.38</b>		<b>-100.40</b>	
CALL HAL 07/24/20	15						
HALLIBURTON CO   CUSIP:   Symbol: HAL200724C00015000							
07/21/2020	2.00	49.79	07/20/2020	38.19	0.00	11.60	Sell to Close
PUT SBUX 06/26/20	50						
STARBUCKS CORPORATION   CUSIP:   Symbol: SBUX200626P00050000							
06/11/2020	50.00	395.20	06/11/2020	304.69	0.00	90.51	Sell to Close
CALL BA 06/19/20	250						
BOEING CO   CUSIP:   Symbol: BA200619C00250000							
06/05/2020	1.00	217.89	06/05/2020	158.09	0.00	59.80	Sell to Close
CALL AAPL 07/17/20	385						
APPLE INC   CUSIP:   Symbol: AAPL200717C00385000							
07/08/2020	1.00	519.88	07/08/2020	460.09	0.00	59.79	Sell to Close
07/08/2020	1.00	504.88	07/08/2020	475.09	0.00	29.79	Sell to Close
<b>Security Totals:</b>		<b>1,024.76</b>		<b>935.18</b>		<b>89.58</b>	
CALL BA 08/28/20	200						
BOEING CO   CUSIP:   Symbol: BA200828C00200000							
08/12/2020	1.00	284.89	08/12/2020	290.09	0.00	-5.20	Sell to Close
08/12/2020	1.00	302.89	08/12/2020	290.09	0.00	12.80	Sell to Close
<b>Security Totals:</b>		<b>587.78</b>		<b>580.18</b>		<b>7.60</b>	
CALL BAC 08/14/20	27						
BANK OF AMERICA CORP   CUSIP:   Symbol: BAC200814C00027000							
08/10/2020	4.00	123.62	08/10/2020	132.36	0.00	-8.74	Sell to Close

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APEX CLEARING

## Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B\*

OMB No. 1545-0715

5MU25572

(continued)

01/24/2021

**SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS**

Report on Form 8949, Part I with Box A checked.

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<b>1c - Date Sold or Disposed</b>	<b>Quantity</b>	<b>1d - Proceeds</b>	<b>1b - Date Acquired</b>	<b>1e - Cost or Other Basis</b>	<b>1f - Accrued Market Discount (M) &amp; 1g - Wash Sale Loss Disallowed (D)</b>	<b>Gain or Loss (-)</b>	<b>Additional Notes</b>
CALL AAPL 07/17/20	395						
06/23/2020	2.00	379.79	06/17/2020	336.19	0.00	43.60	Sell to Close
CALL TSLA 08/21/20	2400						
08/18/2020	1.00	369.89	08/18/2020	685.09	0.00	-315.20	Sell to Close
PUT AMD 06/05/20	52						
06/02/2020	1.00	65.89	06/02/2020	87.09	0.00	-21.20	Sell to Close
CALL BAC 08/14/20	27.50						
08/12/2020	2.00	27.80	08/12/2020	32.18	0.00	-4.38	Sell to Close
CALL ROKU 07/10/20	135						
07/08/2020	1.00	359.89	07/08/2020	360.09	0.00	-0.20	Sell to Close
PUT SPY 07/22/20	325						
07/21/2020	1.00	119.89	07/21/2020	105.09	0.00	14.80	Sell to Close
CALL CLF 07/17/20	5.50						
07/13/2020	2.00	97.79	07/10/2020	42.19	0.00	55.60	Sell to Close
CALL DAL 07/02/20	38						
06/10/2020	2.00	227.79	06/10/2020	220.19	0.00	7.60	Sell to Close
CALL INTC 01/15/21	60						
09/02/2020	1.00	194.89	08/28/2020	122.09	0.00	72.80	Sell to Close
CALL INTC 10/09/20	52.50						
09/30/2020	1.00	69.90	09/30/2020	69.08	0.00	0.82	Sell to Close
PUT AZN 07/24/20	56.50						
07/16/2020	1.00	239.89	07/16/2020	250.09	0.00	-10.20	Sell to Close
CALL APA 08/21/20	15						
07/27/2020	1.00	82.89	07/21/2020	169.09	0.00	-86.20	Sell to Close
CALL AMZN 07/24/20	3830						
07/20/2020	1.00	452.88	07/20/2020	430.09	0.00	22.79	Sell to Close
CALL FB 08/21/20	267.50						
08/12/2020	1.00	454.88	08/12/2020	476.09	0.00	-21.21	Sell to Close
PUT BAC 07/31/20	23.50						
07/16/2020	2.00	119.79	07/16/2020	156.19	0.00	-36.40	Sell to Close

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APEX CLEARING

## Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B\*

OMB No. 1545-0715

5MU25572

(continued)

01/24/2021

**SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS**

Report on Form 8949, Part I with Box A checked.

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PUT BABA 07/02/20	212.50	ALIBABA GROUP HOLDING LIMITED   CUSIP:   Symbol: BABA200702P00212500					
06/29/2020	1.00	376.89	06/29/2020	350.09	0.00	26.80	Sell to Close
GRUBHUB INC	COM   CUSIP: 400110102   Symbol: GRUB						
06/03/2020	3.00	176.56	06/01/2020	175.83	0.00	0.73	Sale
CALL AMD 07/24/20	60	ADVANCED MICRO DEVICES INC   CUSIP:   Symbol: AMD200724C00060000					
07/21/2020	2.00	53.79	Various	104.18	0.00	-50.39	Sell to Close
PUT ROKU 07/10/20	126	ROKU INC   CUSIP:   Symbol: ROKU200710P00126000					
07/02/2020	2.00	879.78	07/02/2020	940.19	0.00	-60.41	Sell to Close
PUT FB 07/17/20	240	FACEBOOK INC CL A   CUSIP:   Symbol: FB200717P00240000					
07/10/2020	1.00	584.88	07/10/2020	560.09	0.00	24.79	Sell to Close
CALL LVS 08/14/20	48	LAS VEGAS SANDS CORP   CUSIP:   Symbol: LVS200814C00048000					
08/10/2020	1.00	112.89	08/10/2020	119.09	0.00	-6.20	Sell to Close
CALL MSFT 07/31/20	212.50	MICROSOFT CORP   CUSIP:   Symbol: MSFT200731C00212500					
07/23/2020	1.00	309.89	07/23/2020	300.09	0.00	9.80	Sell to Close
07/23/2020	2.00	339.79	Various	538.18	0.00	-198.39	Sell to Close
<b>Security Totals:</b>		<b>649.68</b>		<b>838.27</b>		<b>-188.59</b>	
PUT AAPL 06/12/20	320	APPLE INC   CUSIP:   Symbol: AAPL200612P00320000					
06/12/2020	1.00	1.89	06/12/2020	4.09	0.00	-2.20	Sell to Close
PUT TSLA 06/19/20	515	TESLA INC   CUSIP:   Symbol: TSLA200619P00515000					
06/12/2020	1.00	139.89	06/12/2020	150.09	0.00	-10.20	Sell to Close
CALL AFL 11/20/20	42.50	AFLAC INCORPORATED   CUSIP:   Symbol: AFL201120C00042500					
09/22/2020	2.00	49.80	09/01/2020	120.18	0.00	-70.38	Sell to Close
CALL INTC 08/28/20	61.50	INTEL CORP   CUSIP:   Symbol: INTC200828C00061500					
07/21/2020	1.00	230.89	07/20/2020	225.09	0.00	5.80	Sell to Close
CALL BA 06/19/20	280	BOEING CO   CUSIP:   Symbol: BA200619C00280000					
06/05/2020	1.00	173.89	06/05/2020	412.09	238.2 D	0.00	Sell to Close
06/11/2020	2.00	99.79	Various	434.39	0.00	-334.60	Sell to Close
<b>Security Totals:</b>		<b>273.68</b>		<b>846.48</b>		<b>-334.60</b>	
CALL UPS 07/24/20	125	UNITED PARCEL SVC INC   CUSIP:   Symbol: UPS200724C00125000					
07/15/2020	1.00	71.89	07/15/2020	65.10	0.00	6.79	Sell to Close
07/15/2020	1.00	70.89	07/15/2020	65.09	0.00	5.80	Sell to Close

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APEX CLEARING

## Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B\*

OMB No. 1545-0715

5MU25572

(continued)

01/24/2021

**SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS**

Report on Form 8949, Part I with Box A checked.

**Box 2:** Type of Gain or Loss - Short-Term (unless indicated as Ordinary in Additional Notes Column)**Box 5:** Box Not Checked (Covered Security)**Box 6:** Gross (unless indicated as Net in Additional Notes Column)**Box 12:** Basis Reported to the IRS**The 1099-B data referenced by a Box Number is reported to the IRS. The additional information not referenced by a Box Number is not reported to the IRS but may be helpful to complete your return.****1a - Description of property | CUSIP | Symbol**

1c - Date Sold or Disposed	Quantity	1d - Proceeds	1b - Date Acquired	1e - Cost or Other Basis	1f - Accrued Market Discount (M) & 1g - Wash Sale Loss Disallowed (D)	Gain or Loss (-)	Additional Notes
07/15/2020	2.00	135.79	07/15/2020	108.19	0.00	27.60	Sell to Close
<b>Security Totals:</b>		<b>278.57</b>		<b>238.38</b>		<b>40.19</b>	
CALL BA 06/19/20 275			BOEING CO   CUSIP:   Symbol: BA200619C00275000				
06/05/2020	1.00	319.89	06/05/2020	269.09	0.00	50.80	Sell to Close
CALL SPY 06/19/20 313			STANDARD & POORS DEPOSITORY   CUSIP:   Symbol: SPY200619C00313000				
06/19/2020	1.00	87.89	06/19/2020	88.09	0.00	-0.20	Sell to Close
PUT LUV 07/10/20 33			SOUTHWEST AIRLINES CO   CUSIP:   Symbol: LUV200710P00033000				
07/07/2020	2.00	119.79	07/07/2020	120.19	0.00	-0.40	Sell to Close
PUT BA 06/26/20 195			BOEING CO   CUSIP:   Symbol: BA200626P00195000				
06/19/2020	1.00	919.87	06/19/2020	830.09	0.00	89.78	Sell to Close
CALL BAC 06/05/20 25.50			BANK OF AMERICA CORP   CUSIP:   Symbol: BAC200605C00025500				
06/02/2020	4.00	135.60	06/02/2020	160.38	0.00	-24.78	Sell to Close
CALL SPCE 06/05/20 16.50			VIRGIN GALACTIC HOLDINGS INC   CUSIP:   Symbol: SPCE200605C00016500				
06/04/2020	1.00	19.89	06/03/2020	64.09	0.00	-44.20	Sell to Close
CALL UAL 08/14/20 34			UNITED AIRLINES HOLDINGS INC   CUSIP:   Symbol: UAL200814C00034000				
08/06/2020	1.00	151.89	08/06/2020	155.09	0.00	-3.20	Sell to Close
CALL HD 06/19/20 237.50			HOME DEPOT INC   CUSIP:   Symbol: HD200619C00237500				
06/15/2020	1.00	379.89	06/15/2020	380.09	0.00	-0.20	Sell to Close
CALL ROKU 07/10/20 129			ROKU INC   CUSIP:   Symbol: ROKU200710C00129000				
07/02/2020	1.00	444.89	07/02/2020	445.09	0.00	-0.20	Sell to Close
CALL AMD 07/31/20 60			ADVANCED MICRO DEVICES INC   CUSIP:   Symbol: AMD200731C00060000				
07/09/2020	1.00	179.89	07/09/2020	168.09	0.00	11.80	Sell to Close
07/09/2020	1.00	187.89	07/09/2020	168.10	0.00	19.79	Sell to Close
07/22/2020	2.00	619.78	07/22/2020	618.19	0.00	1.59	Sell to Close
<b>Security Totals:</b>		<b>987.56</b>		<b>954.38</b>		<b>33.18</b>	
CALL AZN 08/21/20 75			ASTRAZENECA PLC   CUSIP:   Symbol: AZN200821C00075000				
07/20/2020	2.00	399.79	07/17/2020	230.19	0.00	169.60	Sell to Close
PUT ROKU 07/10/20 129			ROKU INC   CUSIP:   Symbol: ROKU200710P00129000				
07/06/2020	1.00	389.89	07/06/2020	355.09	0.00	34.80	Sell to Close

APEX CLEARING

## Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B\*

OMB No. 1545-0715

5MU25572

(continued)

01/24/2021

**SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS**

Report on Form 8949, Part I with Box A checked.

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1c - Date Sold or Disposed	Quantity	1d - Proceeds	1b - Date Acquired	1e - Cost or Other Basis	1f - Accrued Market Discount (M) & 1g - Wash Sale Loss Disallowed (D)	Gain or Loss (-)	Additional Notes
07/06/2020	1.00	399.89	07/06/2020	355.10	0.00	44.79	Sell to Close
<b>Security Totals:</b>		<b>789.78</b>		<b>710.19</b>		<b>79.59</b>	
CALL ROKU 06/19/20 111	ROKU INC   CUSIP:   Symbol: ROKU200619C00111000						
06/12/2020	1.00	282.90	06/12/2020	400.09	0.00	-117.19	Sell to Close
CALL ROKU 07/02/20 124	ROKU INC   CUSIP:   Symbol: ROKU200702C00124000						
06/26/2020	1.00	419.89	06/26/2020	410.09	0.00	9.80	Sell to Close
CALL BYND 06/26/20 157.50	BEYOND MEAT INC   CUSIP:   Symbol: BYND200626C00157500						
06/23/2020	3.00	1,469.67	Various	1,345.27	0.00	124.40	Sell to Close
CALL HD 06/26/20 250	HOME DEPOT INC   CUSIP:   Symbol: HD200626C00250000						
06/19/2020	2.00	939.77	06/19/2020	850.19	0.00	89.58	Sell to Close
CALL TLT 07/17/20 160	ISHS 20 PLUS YEAR TREASURY BD   CUSIP:   Symbol: TLT200717C00160000						
06/05/2020	1.00	134.89	06/04/2020	254.09	0.00	-119.20	Sell to Close
PUT BA 07/17/20 175	BOEING CO   CUSIP:   Symbol: BA200717P00175000						
07/09/2020	1.00	669.88	07/09/2020	720.09	0.00	-50.21	Sell to Close
CALL NFLX 06/19/20 445	NETFLIX INC   CUSIP:   Symbol: NFLX200619C00445000						
06/18/2020	1.00	494.88	06/18/2020	410.09	0.00	84.79	Sell to Close
CALL GLUU 06/19/20 10	GLU MOBILE INC   CUSIP:   Symbol: GLUU200619C00010000						
06/04/2020	2.00	139.79	06/04/2020	140.19	0.00	-0.40	Sell to Close
PUT ROKU 08/14/20 157.50	ROKU INC   CUSIP:   Symbol: ROKU200814P00157500						
08/05/2020	1.00	604.88	08/05/2020	615.09	0.00	-10.21	Sell to Close
CALL SAVE 07/17/20 30	SPIRIT AIRLINES INC   CUSIP:   Symbol: SAVE200717C00030000						
06/05/2020	1.00	139.89	06/05/2020	320.09	0.00	-180.20	Sell to Close
CALL SPY 08/28/20 343	STANDARD & POORS DEPOSITORY   CUSIP:   Symbol: SPY200828C00343000						
08/25/2020	1.00	201.89	08/25/2020	195.09	0.00	6.80	Sell to Close
CALL ROKU 08/07/20 160	ROKU INC   CUSIP:   Symbol: ROKU200807C00160000						
08/03/2020	1.00	1,149.87	08/03/2020	1,190.09	0.00	-40.22	Sell to Close
CALL SNAP 07/24/20 30	SNAP INC   CUSIP:   Symbol: SNAP200724C00030000						
07/08/2020	2.00	187.79	07/08/2020	168.19	0.00	19.60	Sell to Close
CALL WMT 07/24/20 134	WALMART INC   CUSIP:   Symbol: WMT200724C00134000						
07/15/2020	1.00	233.89	07/15/2020	279.09	0.00	-45.20	Sell to Close

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## Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B\*

OMB No. 1545-0715

5MU25572

(continued)

01/24/2021

**SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS**

Report on Form 8949, Part I with Box A checked.

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CALL SPOT 07/17/20	270	SPOTIFY TECHNOLOGY S A   CUSIP:   Symbol: SPOT200717C00270000					
07/14/2020	1.00	389.89	07/14/2020	470.09	0.00	-80.20	Sell to Close
CALL MSFT 07/10/20	212.50	MICROSOFT CORP   CUSIP:   Symbol: MSFT200710C00212500					
07/08/2020	1.00	194.89	07/08/2020	191.09	0.00	3.80	Sell to Close
CALL ROKU 08/14/20	157.50	ROKU INC   CUSIP:   Symbol: ROKU200814C00157500					
08/07/2020	1.00	474.88	08/07/2020	470.09	0.00	4.79	Sell to Close
CALL FB 08/14/20	267.50	FACEBOOK INC CL A   CUSIP:   Symbol: FB200814C00267500					
08/06/2020	1.00	339.89	08/06/2020	310.09	0.00	29.80	Sell to Close
CALL JNJ 07/24/20	152.50	JOHNSON & JOHNSON   CUSIP:   Symbol: JNJ200724C00152500					
07/21/2020	1.00	49.89	07/21/2020	55.09	0.00	-5.20	Sell to Close
CALL ROKU 08/07/20	170	ROKU INC   CUSIP:   Symbol: ROKU200807C00170000					
08/05/2020	1.00	804.88	08/05/2020	805.09	0.00	-0.21	Sell to Close
CALL CRM 10/09/20	272.50	SALESFORCE.COM INC   CUSIP:   Symbol: CRM201009C00272500					
10/07/2020	2.00	15.82	Various	220.16	0.00	-204.34	Sell to Close
PUT SQ 07/17/20	126	SQUARE INC   CUSIP:   Symbol: SQ200717P00126000					
07/10/2020	1.00	459.88	07/10/2020	460.09	0.00	-0.21	Sell to Close
CALL AAPL 09/25/20	122.50	APPLE INC ADJ 4:1 STOCK SPLIT   CUSIP:   Symbol: AAPL200925C00122500					
09/15/2020	1.00	189.89	09/15/2020	213.09	0.00	-23.20	Sell to Close
KANDI TECHNOLOGIES GROUP INC   CUSIP: 483709101   Symbol: KNDI							
07/30/2020	7.00	108.41	07/29/2020	57.45	0.00	50.96	Sale
PUT OMI 08/21/20	12.50	OWENS & MINOR INC HOLDING CO   CUSIP:   Symbol: OMI200821P00012500					
07/21/2020	2.00	287.79	07/21/2020	290.19	0.00	-2.40	Sell to Close
CALL JNJ 07/24/20	147	JOHNSON & JOHNSON   CUSIP:   Symbol: JNJ200724C00147000					
07/14/2020	2.00	599.78	07/14/2020	600.19	0.00	-0.41	Sell to Close
CALL AAPL 08/21/20	490	APPLE INC   CUSIP:   Symbol: AAPL200821C00490000					
08/18/2020	2.00	131.80	08/18/2020	130.18	0.00	1.62	Sell to Close
08/18/2020	1.00	52.89	08/18/2020	56.09	0.00	-3.20	Sell to Close
<b>Security Totals:</b>		<b>184.69</b>		<b>186.27</b>		<b>-1.58</b>	
CALL HD 07/31/20	280	HOME DEPOT INC   CUSIP:   Symbol: HD200731C00280000					
07/28/2020	2.00	27.79	07/22/2020	98.19	0.00	-70.40	Sell to Close

APEX CLEARING

## Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B\*

OMB No. 1545-0715

5MU25572

(continued)

01/24/2021

**SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS**

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CALL ERI 06/19/20	55	ELDORADO RESORTS INC   CUSIP:   Symbol: ERI200619C00055000					
06/17/2020	1.00	4.89	06/05/2020	80.10	0.00	-75.21	Sell to Close
06/19/2020	1.00	0.00	06/05/2020	80.09	0.00	-80.09	Expiration
<b>Security Totals:</b>		<b>4.89</b>		<b>160.19</b>		<b>-155.30</b>	
CALL BA 07/02/20	185	BOEING CO   CUSIP:   Symbol: BA200702C00185000					
06/29/2020	1.00	674.88	06/29/2020	625.09	0.00	49.79	Sell to Close
CALL CRWD 07/17/20	120	CROWDSTRIKE HOLDINGS INC CL A   CUSIP:   Symbol: CRWD200717C00120000					
07/09/2020	1.00	309.89	07/09/2020	287.10	0.00	22.79	Sell to Close
07/09/2020	1.00	319.89	07/09/2020	287.09	0.00	32.80	Sell to Close
<b>Security Totals:</b>		<b>629.78</b>		<b>574.19</b>		<b>55.59</b>	
CALL INO 07/24/20	30	INOVIO PHARMACEUTICALS INC   CUSIP:   Symbol: INO200724C00030000					
07/17/2020	1.00	164.89	07/17/2020	163.09	0.00	1.80	Sell to Close
CALL SHOP 07/24/20	1310	SHOPIFY INC   CUSIP:   Symbol: SHOP200724C01310000					
07/13/2020	1.00	799.88	07/13/2020	580.09	0.00	219.79	Sell to Close
CALL GLD 09/11/20	184	SPDR GOLD TR   CUSIP:   Symbol: GLD200911C00184000					
09/08/2020	1.00	37.89	09/04/2020	84.09	0.00	-46.20	Sell to Close
PUT ROKU 08/07/20	155	ROKU INC   CUSIP:   Symbol: ROKU200807P00155000					
07/31/2020	1.00	1,039.87	07/31/2020	1,025.09	0.00	14.78	Sell to Close
PUT ROKU 07/10/20	132	ROKU INC   CUSIP:   Symbol: ROKU200710P00132000					
07/06/2020	2.00	899.78	07/06/2020	960.19	0.00	-60.41	Sell to Close
CALL BA 07/02/20	190	BOEING CO   CUSIP:   Symbol: BA200702C00190000					
07/01/2020	1.00	449.89	07/01/2020	435.09	0.00	14.80	Sell to Close
CALL ROKU 07/10/20	134	ROKU INC   CUSIP:   Symbol: ROKU200710C00134000					
07/06/2020	2.00	799.78	07/06/2020	980.19	180.41 D	0.00	Sell to Close
07/07/2020	3.00	1,109.68	Various	1,280.69	0.00	-171.01	Sell to Close
<b>Security Totals:</b>		<b>1,909.46</b>		<b>2,260.88</b>		<b>-171.01</b>	
CALL NFLX 07/17/20	620	NETFLIX INC   CUSIP:   Symbol: NFLX200717C00620000					
07/15/2020	1.00	419.89	07/15/2020	450.09	0.00	-30.20	Sell to Close
PUT BA 07/10/20	177.50	BOEING CO   CUSIP:   Symbol: BA200710P00177500					
07/08/2020	1.00	359.89	07/08/2020	350.09	0.00	9.80	Sell to Close

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APEX CLEARING

## Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B\*

OMB No. 1545-0715

5MU25572

(continued)

01/24/2021

**SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS**

Report on Form 8949, Part I with Box A checked.

**Box 2:** Type of Gain or Loss - Short-Term (unless indicated as Ordinary in Additional Notes Column)**Box 5:** Box Not Checked (Covered Security)**Box 6:** Gross (unless indicated as Net in Additional Notes Column)**Box 12:** Basis Reported to the IRS**The 1099-B data referenced by a Box Number is reported to the IRS. The additional information not referenced by a Box Number is not reported to the IRS but may be helpful to complete your return.****1a - Description of property | CUSIP | Symbol**

1c - Date Sold or Disposed	Quantity	1d - Proceeds	1b - Date Acquired	1e - Cost or Other Basis	1f - Accrued Market Discount (M) & 1g - Wash Sale Loss Disallowed (D)	Gain or Loss (-)	Additional Notes
CALL AAPL 08/28/20	520	APPLE INC   CUSIP:   Symbol: AAPL200828C00520000					
08/21/2020	1.00	338.89	08/21/2020	255.09	0.00	83.80	Sell to Close
CALL BA 07/10/20	187.50	BOEING CO   CUSIP:   Symbol: BA200710C00187500					
07/01/2020	2.00	1,519.76	Various	1,590.18	0.00	-70.42	Sell to Close
CALL SONO 07/17/20	12.50	SONOS INC   CUSIP:   Symbol: SONO200717C00012500					
06/09/2020	1.00	137.89	06/08/2020	133.09	0.00	4.80	Sell to Close
CALL GLD 07/17/20	162	SPDR GOLD TR   CUSIP:   Symbol: GLD200717C00162000					
06/04/2020	1.00	329.89	06/03/2020	287.09	0.00	42.80	Sell to Close
PUT ROKU 08/14/20	152.50	ROKU INC   CUSIP:   Symbol: ROKU200814P00152500					
08/10/2020	1.00	369.89	08/10/2020	365.09	0.00	4.80	Sell to Close
PUT BA 07/10/20	180	BOEING CO   CUSIP:   Symbol: BA200710P00180000					
07/02/2020	2.00	1,009.77	07/02/2020	1,000.19	0.00	9.58	Sell to Close
CALL AAPL 07/24/20	395	APPLE INC   CUSIP:   Symbol: AAPL200724C00395000					
07/16/2020	1.00	554.88	07/16/2020	555.09	0.00	-0.21	Sell to Close
CALL NVDA 07/31/20	445	NVIDIA CORP   CUSIP:   Symbol: NVDA200731C00445000					
07/22/2020	1.00	459.88	07/22/2020	440.09	0.00	19.79	Sell to Close
PUT TSLA 06/19/20	745	TESLA INC   CUSIP:   Symbol: TSLA200619P00745000					
06/12/2020	1.00	204.89	06/12/2020	198.09	0.00	6.80	Sell to Close
CALL AMD 07/24/20	62	ADVANCED MICRO DEVICES INC   CUSIP:   Symbol: AMD200724C00062000					
07/10/2020	2.00	235.79	07/10/2020	200.19	0.00	35.60	Sell to Close
07/10/2020	1.00	95.89	07/10/2020	100.09	0.00	-4.20	Sell to Close
<b>Security Totals:</b>		<b>331.68</b>		<b>300.28</b>		<b>31.40</b>	
CALL AAL 07/31/20	12.50	AMERICAN AIRLINES GROUP INC   CUSIP:   Symbol: AAL200731C00012500					
07/15/2020	1.00	159.89	07/15/2020	153.09	0.00	6.80	Sell to Close
CALL BA 07/02/20	195	BOEING CO   CUSIP:   Symbol: BA200702C00195000					
06/29/2020	1.00	409.89	06/29/2020	294.09	0.00	115.80	Sell to Close
CALL DOCU 06/12/20	150	DOCUSIGN INC   CUSIP:   Symbol: DOCU200612C00150000					
06/11/2020	1.00	244.89	06/11/2020	240.09	0.00	4.80	Sell to Close
CALL WMT 09/25/20	139	WALMART INC   CUSIP:   Symbol: WMT200925C00139000					
09/22/2020	1.00	129.89	09/22/2020	129.09	0.00	0.80	Sell to Close

APEX CLEARING

## Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B\*

OMB No. 1545-0715

5MU25572

(continued)

01/24/2021

**SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS**

Report on Form 8949, Part I with Box A checked.

**Box 2:** Type of Gain or Loss - Short-Term (unless indicated as Ordinary in Additional Notes Column)**Box 5:** Box Not Checked (Covered Security)**Box 6:** Gross (unless indicated as Net in Additional Notes Column)**Box 12:** Basis Reported to the IRS**The 1099-B data referenced by a Box Number is reported to the IRS. The additional information not referenced by a Box Number is not reported to the IRS but may be helpful to complete your return.****1a - Description of property | CUSIP | Symbol**

1c - Date Sold or Disposed	Quantity	1d - Proceeds	1b - Date Acquired	1e - Cost or Other Basis	1f - Accrued Market Discount (M) & 1g - Wash Sale Loss Disallowed (D)	Gain or Loss (-)	Additional Notes
PUT SPY 06/29/20	303	STANDARD & POORS DEPOSITORY   CUSIP:   Symbol: SPY200629P00303000					
06/25/2020	1.00	368.89	06/25/2020	350.09	0.00	18.80	Sell to Close
CALL BYND 07/02/20	150	BEYOND MEAT INC   CUSIP:   Symbol: BYND200702C00150000					
07/01/2020	1.00	539.88	07/01/2020	480.09	0.00	59.79	Sell to Close
CALL AMD 07/02/20	53	ADVANCED MICRO DEVICES INC   CUSIP:   Symbol: AMD200702C00053000					
06/30/2020	7.00	461.32	06/30/2020	461.65	0.00	-0.33	Sell to Close
CALL SPY 06/29/20	303	STANDARD & POORS DEPOSITORY   CUSIP:   Symbol: SPY200629C00303000					
06/26/2020	2.00	479.78	06/26/2020	584.19	0.00	-104.41	Sell to Close
CALL WMT 08/14/20	140	WALMART INC   CUSIP:   Symbol: WMT200814C00140000					
07/13/2020	2.00	409.79	07/10/2020	296.19	0.00	113.60	Sell to Close
PUT SPY 08/12/20	333	STANDARD & POORS DEPOSITORY   CUSIP:   Symbol: SPY200812P00333000					
08/11/2020	1.00	100.89	08/11/2020	134.09	0.00	-33.20	Sell to Close
CALL AAPL 08/14/20	440	APPLE INC   CUSIP:   Symbol: AAPL200814C00440000					
08/04/2020	1.00	1,009.87	08/04/2020	1,035.09	0.00	-25.22	Sell to Close
CALL QCOM 10/02/20	115	QUALCOMM INC   CUSIP:   Symbol: QCOM201002C00115000					
09/25/2020	1.00	207.89	09/25/2020	230.09	0.00	-22.20	Sell to Close
CALL SPCE 07/24/20	21.50	VIRGIN GALACTIC HOLDINGS INC   CUSIP:   Symbol: SPCE200724C00021500					
07/16/2020	1.00	151.89	07/16/2020	150.09	0.00	1.80	Sell to Close
CALL AAPL 08/07/20	455	APPLE INC   CUSIP:   Symbol: AAPL200807C00455000					
08/03/2020	1.00	474.88	08/03/2020	595.09	0.00	-120.21	Sell to Close
CALL ROKU 07/02/20	118	ROKU INC   CUSIP:   Symbol: ROKU200702C00118000					
07/01/2020	1.00	219.89	07/01/2020	220.09	0.00	-0.20	Sell to Close
CALL BA 06/26/20	182.50	BOEING CO   CUSIP:   Symbol: BA200626C00182500					
06/22/2020	1.00	794.88	06/22/2020	725.09	0.00	69.79	Sell to Close
CALL WMT 07/31/20	133	WALMART INC   CUSIP:   Symbol: WMT200731C00133000					
07/21/2020	1.00	239.89	07/20/2020	238.09	0.00	1.80	Sell to Close
CALL DNKN 07/17/20	90	DUNKIN BRANDS GROUP INC   CUSIP:   Symbol: DNKN200717C00090000					
07/17/2020	7.00	0.00	06/08/2020	105.65	0.00	-105.65	Expiration
CALL BA 06/26/20	187.50	BOEING CO   CUSIP:   Symbol: BA200626C00187500					
06/23/2020	2.00	979.77	06/23/2020	980.19	0.00	-0.42	Sell to Close

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APEX CLEARING

## Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B\*

OMB No. 1545-0715

5MU25572

(continued)

01/24/2021

**SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS**

Report on Form 8949, Part I with Box A checked.

**Box 2:** Type of Gain or Loss - Short-Term (unless indicated as Ordinary in Additional Notes Column)**Box 5:** Box Not Checked (Covered Security)**Box 6:** Gross (unless indicated as Net in Additional Notes Column)**Box 12:** Basis Reported to the IRS**The 1099-B data referenced by a Box Number is reported to the IRS. The additional information not referenced by a Box Number is not reported to the IRS but may be helpful to complete your return.****1a - Description of property | CUSIP | Symbol**

1c - Date Sold or Disposed	Quantity	1d - Proceeds	1b - Date Acquired	1e - Cost or Other Basis	1f - Accrued Market Discount (M) & 1g - Wash Sale Loss Disallowed (D)	Gain or Loss (-)	Additional Notes
CALL SBUX 07/24/20	78	STARBUCKS CORPORATION   CUSIP:   Symbol: SBUX200724C00078000					
07/22/2020	1.00	44.89	07/21/2020	45.09	0.00	-0.20	Sell to Close
CALL BABA 06/05/20	217.50	ALIBABA GROUP HOLDING LIMITED   CUSIP:   Symbol: BABA200605C00217500					
06/03/2020	1.00	231.89	06/03/2020	224.09	0.00	7.80	Sell to Close
CALL MVIS 08/21/20	4	MICROVISION INC   CUSIP:   Symbol: MVIS200821C00004000					
07/29/2020	2.00	19.79	07/17/2020	106.19	0.00	-86.40	Sell to Close
CALL WKHS 07/24/20	17	WORKHORSE GROUP INC   CUSIP:   Symbol: WKHS200724C00017000					
07/22/2020	3.00	119.70	Various	320.28	0.00	-200.58	Sell to Close
CALL DIS 07/17/20	117	WALT DISNEY CO   CUSIP:   Symbol: DIS200717C00117000					
07/09/2020	1.00	227.89	07/09/2020	233.09	0.00	-5.20	Sell to Close
HOUGHTON MIFFLIN HARCOURT COMPANY		CUSIP: 44157R109   Symbol: HMHC					
07/29/2020	100.00	274.98	07/28/2020	255.50	0.00	19.48	Sale
PUT BA 07/02/20	180	BOEING CO   CUSIP:   Symbol: BA200702P00180000					
06/30/2020	1.00	479.88	06/30/2020	465.09	0.00	14.79	Sell to Close
06/30/2020	1.00	505.88	06/30/2020	485.09	0.00	20.79	Sell to Close
<b>Security Totals:</b>		<b>985.76</b>		<b>950.18</b>		<b>35.58</b>	
CALL INTC 08/28/20	52	INTEL CORP   CUSIP:   Symbol: INTC200828C00052000					
08/17/2020	4.00	79.62	Various	80.36	0.00	-0.74	Sell to Close
08/18/2020	3.00	41.71	08/17/2020	63.27	0.00	-21.56	Sell to Close
<b>Security Totals:</b>		<b>121.33</b>		<b>143.63</b>		<b>-22.30</b>	
PUT TSLA 08/14/20	1530	TESLA INC   CUSIP:   Symbol: TSLA200814P01530000					
08/13/2020	1.00	1,019.87	08/13/2020	980.09	0.00	39.78	Sell to Close
CALL ZM 07/10/20	265	ZOOM VIDEO COMMUNICATIONS INC   CUSIP:   Symbol: ZM200710C00265000					
07/08/2020	1.00	431.89	07/08/2020	420.09	0.00	11.80	Sell to Close
CALL ZM 07/10/20	270	ZOOM VIDEO COMMUNICATIONS INC   CUSIP:   Symbol: ZM200710C00270000					
07/06/2020	2.00	1,399.76	07/06/2020	1,140.19	0.00	259.57	Sell to Close
CALL LYFT 06/26/20	33	LYFT INC CLASS A   CUSIP:   Symbol: LYFT200626C00033000					
06/22/2020	2.00	289.79	06/22/2020	302.19	0.00	-12.40	Sell to Close
CALL XOM 09/25/20	37	EXXON MOBIL CORP   CUSIP:   Symbol: XOM200925C00037000					
09/16/2020	2.00	223.80	Various	182.18	0.00	41.62	Sell to Close

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APEX CLEARING

## Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B\*

OMB No. 1545-0715

5MU25572

(continued)

01/24/2021

**SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS**

Report on Form 8949, Part I with Box A checked.

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1c - Date Sold or Disposed	Quantity	1d - Proceeds	1b - Date Acquired	1e - Cost or Other Basis	1f - Accrued Market Discount (M) & 1g - Wash Sale Loss Disallowed (D)	Gain or Loss (-)	Additional Notes
CALL NFLX 07/10/20	485	NETFLIX INC   CUSIP:   Symbol: NFLX200710C00485000					
07/02/2020	1.00	779.88	07/02/2020	845.09	0.00	-65.21	Sell to Close
CALL MRNA 07/31/20	80	MODERNA INC   CUSIP:   Symbol: MRNA200731C00080000					
07/13/2020	1.00	559.88	07/13/2020	477.09	0.00	82.79	Sell to Close
CALL CGC 08/07/20	19.50	CANOPY GROWTH CORPORATION   CUSIP:   Symbol: CGC200807C00019500					
07/28/2020	1.00	97.89	07/28/2020	92.09	0.00	5.80	Sell to Close
CALL SPY 06/22/20	313	STANDARD & POORS DEPOSITORY   CUSIP:   Symbol: SPY200622C00313000					
06/17/2020	1.00	412.89	06/17/2020	399.09	0.00	13.80	Sell to Close
CALL FB 06/26/20	237.50	FACEBOOK INC CL A   CUSIP:   Symbol: FB200626C00237500					
06/22/2020	2.00	869.78	06/22/2020	860.19	0.00	9.59	Sell to Close
CALL ATVI 06/19/20	70.50	ACTIVISION BLIZZARD INC   CUSIP:   Symbol: ATVI200619C00070500					
06/08/2020	1.00	184.89	06/08/2020	174.09	0.00	10.80	Sell to Close
PUT ROKU 07/31/20	150	ROKU INC   CUSIP:   Symbol: ROKU200731P00150000					
07/30/2020	1.00	243.89	07/30/2020	240.09	0.00	3.80	Sell to Close
07/31/2020	1.00	44.89	07/31/2020	84.09	0.00	-39.20	Sell to Close
<b>Security Totals:</b>		<b>288.78</b>		<b>324.18</b>		<b>-35.40</b>	
CALL BABA 06/26/20	222.50	ALIBABA GROUP HOLDING LIMITED   CUSIP:   Symbol: BABA200626C00222500					
06/22/2020	2.00	475.78	06/22/2020	476.19	0.00	-0.41	Sell to Close
APPLE INC   CUSIP: 037833100   Symbol: AAPL							
07/29/2020	2.00	754.41	07/24/2020	730.06	0.00	24.35	Sale
PUT BA 07/02/20	182.50	BOEING CO   CUSIP:   Symbol: BA200702P00182500					
07/02/2020	2.00	309.79	07/02/2020	260.19	0.00	49.60	Sell to Close
CALL MSFT 07/24/20	210	MICROSOFT CORP   CUSIP:   Symbol: MSFT200724C00210000					
07/20/2020	1.00	399.89	07/20/2020	405.09	0.00	-5.20	Sell to Close
CALL DKNG 09/04/20	36.50	DRAFTKINGS INC CL A   CUSIP:   Symbol: DKNG200904C00036500					
08/31/2020	1.00	129.89	08/28/2020	170.09	0.00	-40.20	Sell to Close
CALL SQ 07/10/20	128	SQUARE INC   CUSIP:   Symbol: SQ200710C00128000					
07/06/2020	1.00	299.89	07/06/2020	440.09	0.00	-140.20	Sell to Close
CALL ATVI 06/12/20	71	ACTIVISION BLIZZARD INC   CUSIP:   Symbol: ATVI200612C00071000					
06/08/2020	1.00	103.89	06/08/2020	109.09	0.00	-5.20	Sell to Close



APEX CLEARING

## Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B\*

OMB No. 1545-0715

5MU25572

(continued)

01/24/2021

**SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS**

Report on Form 8949, Part I with Box A checked.

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1c - Date Sold or Disposed	Quantity	1d - Proceeds	1b - Date Acquired	1e - Cost or Other Basis	1f - Accrued Market Discount (M) & 1g - Wash Sale Loss Disallowed (D)	Gain or Loss (-)	Additional Notes
CALL BA 07/10/20	175	BOEING CO   CUSIP:   Symbol: BA200710C00175000					
07/10/2020	1.00	124.89	07/10/2020	222.09	0.00	-97.20	Sell to Close
CALL TSLA 06/26/20	1280	TESLA INC   CUSIP:   Symbol: TSLA200626C01280000					
06/12/2020	1.00	299.89	06/12/2020	380.09	0.00	-80.20	Sell to Close
CALL BA 07/31/20	177.50	BOEING CO   CUSIP:   Symbol: BA200731C00177500					
07/20/2020	1.00	839.88	07/17/2020	1,050.09	0.00	-210.21	Sell to Close
CALL AZN 07/24/20	62	ASTRAZENECA PLC   CUSIP:   Symbol: AZN200724C00062000					
07/20/2020	1.00	189.89	07/20/2020	270.09	0.00	-80.20	Sell to Close
PUT DAL 07/17/20	27	DELTA AIR LINES INC DEL   CUSIP:   Symbol: DAL200717P00027000					
07/07/2020	2.00	281.79	07/07/2020	266.19	0.00	15.60	Sell to Close
TESLA INC		COMMON STOCK   CUSIP: 88160R101   Symbol: TSLA					
07/24/2020	1.00	1,410.44	07/24/2020	1,401.80	0.00	8.64	Sale
CALL ROKU 07/02/20	114	ROKU INC   CUSIP:   Symbol: ROKU200702C00114000					
06/29/2020	2.00	619.78	06/29/2020	650.19	0.00	-30.41	Sell to Close
CALL WMT 07/10/20	124	WALMART INC   CUSIP:   Symbol: WMT200710C00124000					
07/08/2020	1.00	416.89	07/07/2020	187.09	0.00	229.80	Sell to Close
PUT CCL 10/16/20	14	CARNIVAL CORP   CUSIP:   Symbol: CCL201016P00014000					
10/01/2020	1.00	58.90	10/01/2020	54.08	0.00	4.82	Sell to Close
PUT BA 07/31/20	167.50	BOEING CO   CUSIP:   Symbol: BA200731P00167500					
07/29/2020	1.00	339.89	07/29/2020	297.09	0.00	42.80	Sell to Close
CALL NFLX 07/10/20	505	NETFLIX INC   CUSIP:   Symbol: NFLX200710C00505000					
07/08/2020	1.00	654.88	07/08/2020	620.09	0.00	34.79	Sell to Close
CALL FB 08/14/20	260	FACEBOOK INC CL A   CUSIP:   Symbol: FB200814C00260000					
08/06/2020	1.00	429.89	08/06/2020	428.09	0.00	1.80	Sell to Close
CALL BA 06/19/20	360	BOEING CO   CUSIP:   Symbol: BA200619C00360000					
06/05/2020	1.00	32.89	06/05/2020	59.10	0.00	-26.21	Sell to Close
06/08/2020	1.00	105.89	06/05/2020	59.09	0.00	46.80	Sell to Close
<b>Security Totals:</b>		<b>138.78</b>		<b>118.19</b>		<b>20.59</b>	
CALL ROKU 08/28/20	155	ROKU INC   CUSIP:   Symbol: ROKU200828C00155000					
08/20/2020	1.00	200.89	08/20/2020	234.09	0.00	-33.20	Sell to Close

APEX CLEARING

## Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B\*

OMB No. 1545-0715

5MU25572

(continued)

01/24/2021

**SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS**

Report on Form 8949, Part I with Box A checked.

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<b>1c - Date Sold or Disposed</b>	<b>Quantity</b>	<b>1d - Proceeds</b>	<b>1b - Date Acquired</b>	<b>1e - Cost or Other Basis</b>	<b>1f - Accrued Market Discount (M) &amp; 1g - Wash Sale Loss Disallowed (D)</b>	<b>Gain or Loss (-)</b>	<b>Additional Notes</b>
CALL MRNA 07/24/20	80	MODERNA INC   CUSIP:   Symbol: MRNA200724C00080000					
07/14/2020	1.00	479.88	07/14/2020	460.09	0.00	19.79	Sell to Close
07/14/2020	1.00	479.88	07/14/2020	465.09	0.00	14.79	Sell to Close
<b>Security Totals:</b>		<b>959.76</b>		<b>925.18</b>		<b>34.58</b>	
CALL TSLA 08/14/20	1830	TESLA INC   CUSIP:   Symbol: TSLA200814C01830000					
08/13/2020	1.00	489.88	08/13/2020	740.09	0.00	-250.21	Sell to Close
CALL PINS 08/14/20	36	PINTEREST INC CLASS A   CUSIP:   Symbol: PINS200814C00036000					
08/05/2020	1.00	137.89	08/05/2020	138.09	0.00	-0.20	Sell to Close
CALL FB 07/02/20	260	FACEBOOK INC CL A   CUSIP:   Symbol: FB200702C00260000					
06/19/2020	2.00	207.79	06/17/2020	190.19	0.00	17.60	Sell to Close
CALL SQ 06/19/20	115	SQUARE INC   CUSIP:   Symbol: SQ200619C00115000					
06/17/2020	2.00	7.79	06/09/2020	42.19	0.00	-34.40	Sell to Close
CALL MSFT 07/10/20	215	MICROSOFT CORP   CUSIP:   Symbol: MSFT200710C00215000					
07/07/2020	2.00	287.79	07/06/2020	234.19	0.00	53.60	Sell to Close
CALL NFLX 07/02/20	470	NETFLIX INC   CUSIP:   Symbol: NFLX200702C00470000					
06/25/2020	4.00	3,359.53	Various	3,360.36	0.00	-0.83	Sell to Close
CALL GLD 08/28/20	215	SPDR GOLD TR   CUSIP:   Symbol: GLD200828C00215000					
08/06/2020	1.00	59.89	08/06/2020	67.09	0.00	-7.20	Sell to Close
08/07/2020	1.00	31.89	08/06/2020	67.09	0.00	-35.20	Sell to Close
<b>Security Totals:</b>		<b>91.78</b>		<b>134.18</b>		<b>-42.40</b>	
CALL GOOGL 07/31/20	1860	ALPHABET INC CLASS A   CUSIP:   Symbol: GOOGL200731C01860000					
07/30/2020	1.00	4.89	07/21/2020	330.09	0.00	-325.20	Sell to Close
PUT MRNA 07/31/20	76	MODERNA INC   CUSIP:   Symbol: MRNA200731P00076000					
07/23/2020	1.00	419.89	07/23/2020	410.09	0.00	9.80	Sell to Close
CALL DIS 06/05/20	122	WALT DISNEY CO   CUSIP:   Symbol: DIS200605C00122000					
06/03/2020	1.00	122.89	06/03/2020	119.09	0.00	3.80	Sell to Close
PUT WMT 07/10/20	125	WALMART INC   CUSIP:   Symbol: WMT200710P00125000					
07/09/2020	1.00	55.89	07/09/2020	68.09	0.00	-12.20	Sell to Close
CALL AAPL 08/21/20	470	APPLE INC   CUSIP:   Symbol: AAPL200821C00470000					
08/12/2020	1.00	314.89	08/12/2020	310.09	0.00	4.80	Sell to Close

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APEX CLEARING

## Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B\*

OMB No. 1545-0715

5MU25572

(continued)

01/24/2021

**SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS**

Report on Form 8949, Part I with Box A checked.

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1c - Date Sold or Disposed	Quantity	1d - Proceeds	1b - Date Acquired	1e - Cost or Other Basis	1f - Accrued Market Discount (M) & 1g - Wash Sale Loss Disallowed (D)	Gain or Loss (-)	Additional Notes
CALL SPCE 08/21/20	19.50	VIRGIN GALACTIC HOLDINGS INC   CUSIP:   Symbol: SPCE200821C00019500					
08/13/2020	1.00	83.89	08/13/2020	118.09	0.00	-34.20	Sell to Close
CALL BYND 08/14/20	137	BEYOND MEAT INC   CUSIP:   Symbol: BYND200814C00137000					
08/07/2020	1.00	379.89	08/07/2020	400.09	0.00	-20.20	Sell to Close
CALL FB 08/14/20	252.50	FACEBOOK INC CL A   CUSIP:   Symbol: FB200814C00252500					
08/05/2020	1.00	474.88	08/05/2020	510.09	0.00	-35.21	Sell to Close
08/05/2020	1.00	500.88	08/05/2020	460.09	0.00	40.79	Sell to Close
<b>Security Totals:</b>		<b>975.76</b>		<b>970.18</b>		<b>5.58</b>	
CALL WMT 08/21/20	150	WALMART INC   CUSIP:   Symbol: WMT200821C00150000					
07/29/2020	2.00	39.79	07/15/2020	248.19	0.00	-208.40	Sell to Close
CALL TWTR 06/19/20	37	TWITTER INC   CUSIP:   Symbol: TWTR200619C00037000					
06/15/2020	8.00	79.22	06/15/2020	112.75	0.00	-33.53	Sell to Close
CALL DPZ 07/10/20	400	DOMINOS PIZZA INC   CUSIP:   Symbol: DPZ200710C00400000					
07/10/2020	1.00	64.89	07/10/2020	50.09	0.00	14.80	Sell to Close
CALL SPY 06/30/20	303	STANDARD & POORS DEPOSITORY   CUSIP:   Symbol: SPY200630C00303000					
06/29/2020	1.00	206.89	06/29/2020	206.09	0.00	0.80	Sell to Close
DIGITAL ALLY INC	COM	CUSIP: 25382P208   Symbol: DGLY					
07/16/2020	30.00	116.98	07/16/2020	115.20	0.00	1.78	Sale
CALL BABA 07/24/20	250	ALIBABA GROUP HOLDING LIMITED   CUSIP:   Symbol: BABA200724C00250000					
07/16/2020	1.00	344.89	07/16/2020	395.09	0.00	-50.20	Sell to Close
PUT UPS 08/21/20	145	UNITED PARCEL SVC INC   CUSIP:   Symbol: UPS200821P00145000					
08/11/2020	3.00	149.71	08/11/2020	147.27	0.00	2.44	Sell to Close
08/11/2020	4.00	239.62	08/11/2020	200.36	0.00	39.26	Sell to Close
<b>Security Totals:</b>		<b>389.33</b>		<b>347.63</b>		<b>41.70</b>	
PUT BABA 06/19/20	222.50	ALIBABA GROUP HOLDING LIMITED   CUSIP:   Symbol: BABA200619P00222500					
06/18/2020	1.00	116.89	06/18/2020	117.09	0.00	-0.20	Sell to Close
CALL SGMO 06/19/20	12	SANGAMO THERAPEUTICS INC   CUSIP:   Symbol: SGMO200619C00012000					
06/11/2020	1.00	89.89	06/11/2020	125.10	0.00	-35.21	Sell to Close
06/11/2020	1.00	104.89	06/11/2020	125.09	0.00	-20.20	Sell to Close
<b>Security Totals:</b>		<b>194.78</b>		<b>250.19</b>		<b>-55.41</b>	

APEX CLEARING

## Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B\*

OMB No. 1545-0715

5MU25572

(continued)

01/24/2021

**SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS**

Report on Form 8949, Part I with Box A checked.

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CALL BA 06/12/20	220	BOEING CO   CUSIP:   Symbol: BA200612C00220000					
06/04/2020	1.00	211.89	06/04/2020	171.09	0.00	40.80	Sell to Close
CALL ROKU 07/17/20	180	ROKU INC   CUSIP:   Symbol: ROKU200717C00180000					
07/13/2020	2.00	729.78	07/13/2020	720.19	0.00	9.59	Sell to Close
GENWORTH FINANCIAL INC		COM CL A   CUSIP: 37247D106   Symbol: GNW					
08/05/2020	1.00	2.17	06/02/2020	3.19	0.00	-1.02	Sale
CALL TLRV 06/05/20	10.50	TILRAY INC   CUSIP:   Symbol: TLRV200605C00010500					
06/03/2020	1.00	30.89	06/03/2020	46.09	0.00	-15.20	Sell to Close
06/03/2020	2.00	49.79	06/03/2020	92.19	0.00	-42.40	Sell to Close
<b>Security Totals:</b>		<b>80.68</b>		<b>138.28</b>		<b>-57.60</b>	
CALL BA 06/26/20	285	BOEING CO   CUSIP:   Symbol: BA200626C00285000					
06/11/2020	1.00	129.89	06/10/2020	275.09	0.00	-145.20	Sell to Close
CALL DKNG 07/17/20	50	DRAFTKINGS INC CL A   CUSIP:   Symbol: DKNG200717C00050000					
06/08/2020	1.00	166.89	06/08/2020	147.09	0.00	19.80	Sell to Close
CALL DDOG 07/17/20	105	DATADOG INC CL A   CUSIP:   Symbol: DDOG200717C00105000					
06/09/2020	1.00	54.89	06/08/2020	49.09	0.00	5.80	Sell to Close
CALL WMT 09/11/20	140	WALMART INC   CUSIP:   Symbol: WMT200911C00140000					
08/27/2020	1.00	304.89	08/27/2020	285.09	0.00	19.80	Sell to Close
PUT MRNA 07/17/20	83	MODERNA INC   CUSIP:   Symbol: MRNA200717P00083000					
07/15/2020	1.00	469.88	07/15/2020	440.09	0.00	29.79	Sell to Close
CALL WFC 07/10/20	25.50	WELLS FARGO & CO   CUSIP:   Symbol: WFC200710C00025500					
07/10/2020	1.00	7.89	07/10/2020	7.09	0.00	0.80	Sell to Close
CALL SH 08/21/20	24	PROSHARES SHORT S&P 500   CUSIP:   Symbol: SH200821C00024000					
06/12/2020	1.00	84.89	06/11/2020	108.09	0.00	-23.20	Sell to Close
CALL ROKU 08/14/20	160	ROKU INC   CUSIP:   Symbol: ROKU200814C00160000					
08/07/2020	1.00	649.88	08/07/2020	575.09	0.00	74.79	Sell to Close
PUT ROKU 08/14/20	155	ROKU INC   CUSIP:   Symbol: ROKU200814P00155000					
08/06/2020	1.00	679.88	08/06/2020	680.09	0.00	-0.21	Sell to Close
PUT ROKU 07/02/20	126	ROKU INC   CUSIP:   Symbol: ROKU200702P00126000					
07/02/2020	2.00	189.79	07/02/2020	210.19	0.00	-20.40	Sell to Close

APEX CLEARING

## Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B\*

OMB No. 1545-0715

5MU25572

(continued)

01/24/2021

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CALL JPM 07/17/20	98.50	JPMORGAN CHASE & CO   CUSIP:   Symbol: JPM200717C00098500					
07/14/2020	1.00	159.89	07/14/2020	185.09	0.00	-25.20	Sell to Close
CALL ROKU 07/02/20	125	ROKU INC   CUSIP:   Symbol: ROKU200702C00125000					
06/29/2020	1.00	78.89	06/26/2020	425.09	0.00	-346.20	Sell to Close
CALL V 07/24/20	205	VISA INC   CUSIP:   Symbol: V200724C00205000					
07/16/2020	1.00	56.89	07/15/2020	132.09	0.00	-75.20	Sell to Close
CALL AAPL 06/12/20	347.50	APPLE INC   CUSIP:   Symbol: AAPL200612C00347500					
06/05/2020	1.00	44.89	06/05/2020	26.09	0.00	18.80	Sell to Close
06/12/2020	1.00	0.89	06/12/2020	30.09	0.00	-29.20	Sell to Close
<b>Security Totals:</b>		<b>45.78</b>		<b>56.18</b>		<b>-10.40</b>	
PUT BABA 08/07/20	262.50	ALIBABA GROUP HOLDING LIMITED   CUSIP:   Symbol: BABA200807P00262500					
08/05/2020	1.00	169.89	08/05/2020	187.09	0.00	-17.20	Sell to Close
CALL CVS 07/31/20	66	CVS HEALTH CORPORATION   CUSIP:   Symbol: CVS200731C00066000					
07/20/2020	2.00	93.79	07/17/2020	202.19	0.00	-108.40	Sell to Close
CALL CNX 06/19/20	11	CNX RESOURCES CORPORATION   CUSIP:   Symbol: CNX200619C00011000					
06/05/2020	1.00	46.89	06/05/2020	41.10	0.00	5.79	Sell to Close
06/05/2020	1.00	43.89	06/05/2020	41.09	0.00	2.80	Sell to Close
<b>Security Totals:</b>		<b>90.78</b>		<b>82.19</b>		<b>8.59</b>	
CALL NVDA 08/21/20	530	NVIDIA CORP   CUSIP:   Symbol: NVDA200821C00530000					
08/17/2020	1.00	429.90	08/17/2020	380.09	0.00	49.81	Sell to Close
PUT ROKU 08/14/20	150	ROKU INC   CUSIP:   Symbol: ROKU200814P00150000					
08/06/2020	1.00	524.88	08/06/2020	525.09	0.00	-0.21	Sell to Close
PUT ROKU 07/31/20	149	ROKU INC   CUSIP:   Symbol: ROKU200731P00149000					
07/22/2020	2.00	939.77	07/22/2020	1,060.19	0.00	-120.42	Sell to Close
CALL JNJ 07/17/20	150	JOHNSON & JOHNSON   CUSIP:   Symbol: JNJ200717C00150000					
07/13/2020	2.00	141.79	07/13/2020	178.19	0.00	-36.40	Sell to Close
CALL TSLA 08/14/20	1495	TESLA INC   CUSIP:   Symbol: TSLA200814C01495000					
08/11/2020	1.00	653.88	08/11/2020	855.09	0.00	-201.21	Sell to Close
PUT JPM 07/17/20	97.50	JPMORGAN CHASE & CO   CUSIP:   Symbol: JPM200717P00097500					
07/14/2020	2.00	479.78	07/14/2020	416.19	0.00	63.59	Sell to Close

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APEX CLEARING

## Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B\*

OMB No. 1545-0715

5MU25572

(continued)

01/24/2021

**SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS**

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CALL APT 07/17/20	17.50		ALPHA PRO TECH LIMITED   CUSIP:   Symbol: APT200717C00017500				
07/08/2020	2.00	339.79	07/08/2020	330.19	0.00	9.60	Sell to Close
CALL KR 08/21/20	34		KROGER CO   CUSIP:   Symbol: KR200821C00034000				
08/12/2020	2.00	163.80	08/12/2020	160.18	0.00	3.62	Sell to Close
CALL ZM 07/17/20	277.50		ZOOM VIDEO COMMUNICATIONS INC   CUSIP:   Symbol: ZM200717C00277500				
07/10/2020	1.00	746.88	07/10/2020	730.09	0.00	16.79	Sell to Close
CALL ZM 06/19/20	235		ZOOM VIDEO COMMUNICATIONS INC   CUSIP:   Symbol: ZM200619C00235000				
06/16/2020	1.00	789.88	06/16/2020	670.09	0.00	119.79	Sell to Close
CALL ROKU 07/10/20	116		ROKU INC   CUSIP:   Symbol: ROKU200710C00116000				
06/29/2020	1.00	647.88	06/29/2020	600.09	0.00	47.79	Sell to Close
CALL SPCE 07/24/20	25		VIRGIN GALACTIC HOLDINGS INC   CUSIP:   Symbol: SPCE200724C00025000				
07/17/2020	1.00	167.89	07/17/2020	207.09	0.00	-39.20	Sell to Close
PUT ROKU 07/02/20	114		ROKU INC   CUSIP:   Symbol: ROKU200702P00114000				
06/30/2020	1.00	179.89	06/29/2020	360.09	0.00	-180.20	Sell to Close
CALL ROKU 07/10/20	117		ROKU INC   CUSIP:   Symbol: ROKU200710C00117000				
06/29/2020	2.00	969.77	06/29/2020	1,080.19	0.00	-110.42	Sell to Close
CALL ROKU 08/21/20	152.50		ROKU INC   CUSIP:   Symbol: ROKU200821C00152500				
08/13/2020	2.00	909.78	08/13/2020	892.18	0.00	17.60	Sell to Close
CALL FB 08/14/20	275		FACEBOOK INC CL A   CUSIP:   Symbol: FB200814C00275000				
08/07/2020	1.00	429.89	08/07/2020	375.09	0.00	54.80	Sell to Close
08/07/2020	1.00	790.88	08/07/2020	525.09	0.00	265.79	Sell to Close
08/07/2020	1.00	574.88	08/07/2020	375.09	0.00	199.79	Sell to Close
<b>Security Totals:</b>		<b>1,795.65</b>		<b>1,275.27</b>		<b>520.38</b>	
CALL WMT 07/17/20	131		WALMART INC   CUSIP:   Symbol: WMT200717C00131000				
07/14/2020	2.00	287.79	07/14/2020	306.19	0.00	-18.40	Sell to Close
PUT TSLA 08/21/20	1710		TESLA INC   CUSIP:   Symbol: TSLA200821P01710000				
08/18/2020	1.00	799.88	08/18/2020	879.09	0.00	-79.21	Sell to Close
CALL NIO 07/24/20	12		NIO INC ADS   CUSIP:   Symbol: NIO200724C00012000				
07/20/2020	2.00	199.79	07/20/2020	170.19	0.00	29.60	Sell to Close
CALL PRCP 07/17/20	7.50		PERCEPTRON INC   CUSIP:   Symbol: PRCP200717C00007500				
07/14/2020	2.00	169.79	07/14/2020	140.19	0.00	29.60	Sell to Close

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OMB No. 1545-0715

5MU25572

(continued)

01/24/2021

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CALL AMD 08/28/20	86	ADVANCED MICRO DEVICES INC   CUSIP:   Symbol: AMD200828C00086000					
08/24/2020	1.00	155.89	08/24/2020	174.09	0.00	-18.20	Sell to Close
PUT PRCP 07/17/20	5	PERCEPTRON INC   CUSIP:   Symbol: PRCP200717P00005000					
07/14/2020	2.00	109.79	07/14/2020	120.19	0.00	-10.40	Sell to Close
CALL NKLA 06/19/20	67.50	NIKOLA CORPORATION   CUSIP:   Symbol: NKLA200619C00067500					
06/17/2020	1.00	299.89	06/17/2020	293.09	0.00	6.80	Sell to Close
PUT JPM 07/17/20	96.50	JPMORGAN CHASE & CO   CUSIP:   Symbol: JPM200717P00096500					
07/14/2020	2.00	289.79	07/14/2020	400.19	0.00	-110.40	Sell to Close
CALL WMT 07/17/20	127	WALMART INC   CUSIP:   Symbol: WMT200717C00127000					
07/09/2020	2.00	419.79	Various	418.57	0.00	1.22	Sell to Close
07/09/2020	2.00	343.79	Various	425.18	81.39 D	0.00	Sell to Close
<b>Security Totals:</b>		<b>763.58</b>		<b>843.75</b>		<b>1.22</b>	
PUT SPCE 10/02/20	20	VIRGIN GALACTIC HOLDINGS INC   CUSIP:   Symbol: SPCE201002P00020000					
09/28/2020	1.00	94.90	09/28/2020	91.08	0.00	3.82	Sell to Close
CALL BA 06/26/20	185	BOEING CO   CUSIP:   Symbol: BA200626C00185000					
06/22/2020	1.00	679.88	06/22/2020	749.09	69.21 D	0.00	Sell to Close
06/22/2020	1.00	699.88	06/22/2020	729.30	0.00	-29.42	Sell to Close
<b>Security Totals:</b>		<b>1,379.76</b>		<b>1,478.39</b>		<b>-29.42</b>	
CALL BABA 06/19/20	230	ALIBABA GROUP HOLDING LIMITED   CUSIP:   Symbol: BABA200619C00230000					
06/08/2020	1.00	99.89	06/08/2020	100.09	0.00	-0.20	Sell to Close
CALL ZM 06/19/20	245	ZOOM VIDEO COMMUNICATIONS INC   CUSIP:   Symbol: ZM200619C00245000					
06/17/2020	2.00	701.78	Various	690.18	0.00	11.60	Sell to Close
CALL BABA 06/19/20	225	ALIBABA GROUP HOLDING LIMITED   CUSIP:   Symbol: BABA200619C00225000					
06/16/2020	1.00	239.89	06/16/2020	225.09	0.00	14.80	Sell to Close
06/16/2020	1.00	238.89	06/16/2020	225.10	0.00	13.79	Sell to Close
<b>Security Totals:</b>		<b>478.78</b>		<b>450.19</b>		<b>28.59</b>	
CALL BABA 07/10/20	260	ALIBABA GROUP HOLDING LIMITED   CUSIP:   Symbol: BABA200710C00260000					
07/08/2020	1.00	269.89	07/08/2020	261.09	0.00	8.80	Sell to Close

APEX CLEARING

## Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B\*

OMB No. 1545-0715

5MU25572

(continued)

01/24/2021

**SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS**

Report on Form 8949, Part I with Box A checked.

**Box 2:** Type of Gain or Loss - Short-Term (unless indicated as Ordinary in Additional Notes Column)**Box 5:** Box Not Checked (Covered Security)**Box 6:** Gross (unless indicated as Net in Additional Notes Column)**Box 12:** Basis Reported to the IRS**The 1099-B data referenced by a Box Number is reported to the IRS. The additional information not referenced by a Box Number is not reported to the IRS but may be helpful to complete your return.****1a - Description of property | CUSIP | Symbol**

<b>1c - Date Sold or Disposed</b>	<b>Quantity</b>	<b>1d - Proceeds</b>	<b>1b - Date Acquired</b>	<b>1e - Cost or Other Basis</b>	<b>1f - Accrued Market Discount (M) &amp; 1g - Wash Sale Loss Disallowed (D)</b>	<b>Gain or Loss (-)</b>	<b>Additional Notes</b>
PUT AAPL 06/19/20	352.50		APPLE INC   CUSIP:   Symbol: AAPL200619P00352500				
06/18/2020	1.00	264.89	06/18/2020	257.09	0.00	7.80	Sell to Close
<b>Totals:</b>		<b>145,133.95</b>		<b>151,627.89</b>		<b>-5,181.97</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.

**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.

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

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

**Nominees.** If this 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 2020 General Instructions for Certain Information Returns.

### Keep tax documents for your records.

#### 1099-DIV Instructions for Recipient

**Box 1a.** Shows total ordinary dividends that are taxable. Include this amount on the "Ordinary dividends" line of 1040 or 1040-SR. Also, report it on Schedule B (1040 or 1040-SR), if required.

**Box 1b.** Shows the portion of the amount in box 1a that may be eligible for reduced capital gains rates. See the Instructions for Forms 1040 and 1040-SR for how to determine this amount and where to report.

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 or 1040-SR 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 (RIC) or real estate investment trust (REIT). See *How To Report in the Instructions for Schedule D (Form 1040 or 1040-SR)*. But, if no amount is shown in boxes 2c and 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 your Form 1040 or 1040-SR rather than Schedule D. See the Instructions for Forms 1040 or 1040-SR.

**Box 2b.** Shows the portion of the amount in box 2a that is unrecaptured section 1250 gain from certain depreciable real property. See the Unrecaptured Section 1250 Gain Worksheet in the Instructions for Schedule D (Form 1040 or 1040-SR).

**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 or 1040-SR) 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 in the Instructions for Schedule D (Form 1040 or 1040-SR).

**Box 3.** Shows a return of capital. To the extent of your cost (or other basis) in the stock, the distribution reduces your basis and is not taxable. Any amount received in excess of your basis is taxable to you as capital gain. See Pub. 550.

**Box 4.** Shows backup withholding. A payer must backup withhold on certain payments if you did not give your TIN 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 the portion of the amount in box 1a that may be eligible for the 20% qualified business income deduction under section 199A. See the instructions for Form 8995 and Form 89950-A.

**Box 6.** Shows your share of expenses of a nonpublicly offered RIC, generally a nonpublicly offered mutual fund. This amount is included in box 1a.

**Box 7.** Shows the foreign tax that you may be able to claim as a deduction or a credit on Form 1040 or 1040-SR. See the Instructions for Forms 1040 or 104-SR.

**Box 8.** This box should be left blank if a RIC reported the foreign tax shown in box 7.

**Boxes 9 and 10.** Show cash and noncash liquidation distributions.

**Box 11.** Shows exempt-interest dividends from a mutual fund or other RIC paid to you during the calendar year. See the Instructions for Form 1040 and 1040-SR for where to report. This amount may be subject to backup withholding. See Box 4 above.

**Box 12.** Shows exempt-interest dividends subject to the alternative minimum tax. This amount is included in box 11. See the Instructions for Form 6251.

**Boxes 13-15.** State income tax withheld reporting boxes.

**Future developments.** For the latest information about developments related to Form 1099-DIV and its instructions, such as legislation enacted after they were published, go to [www.irs.gov/Form1099DIV](http://www.irs.gov/Form1099DIV).

#### 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.

**Box 1.** Shows taxable interest paid to you during the calendar year by the payer. This does not include interest shown in box 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.

**Box 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 Form 1040 and 1040-SR to see where to take the deduction.

**Box 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 box 1. See the instructions above for a taxable covered security acquired at a premium.

**Box 4.** Shows backup withholding. Generally, a payer must backup withhold if you did not furnish your taxpayer identification number (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.

**Box 5.** Any amount shown is your share of investment expenses of a single-class REMIC. This amount is included in box 1. **Note:** This amount is not deductible.

**Box 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.

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

**Box 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 Form 1040 and 1040-SR. This amount may be subject to backup withholding. See Box 4 above. See the instructions above for a tax-exempt covered security acquired at a premium.

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

**Box 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 Form 1040 and 1040-SR. Market discount on a tax-exempt security is includable in taxable income as interest income.

**Box 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 box, 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 box 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 box 1. If the amount in box 11 is greater than the amount of interest paid on the covered security, see Regulations section 1.171-2(a)(4).

**Box 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 box, 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 box 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 box 3. If the amount in box 12 is greater than the amount of interest paid on the U.S. Treasury obligation, see Regulations section 1.171-2(a)(4).

**Box 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 box, 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 box for a tax-exempt covered security acquired at a premium, the payer has reported a net amount of interest in box 8 or 9, whichever is applicable. If the amount in box 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).

**Box 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).

**Boxes 15-17.** State tax withheld reporting boxes.

**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 also is 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.

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

**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 instructions for your Schedule D (Form 1040 or 1040-SR) and/or Form 8949.

**Box 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).

**Box 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.

**Box 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.

**Box 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).

**Box 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, 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 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.

**Box 1g.** Shows the amount of nondeductible loss in a wash sale transaction. For details on wash sales, see 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.

**Box 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.

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

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

**Box 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.

**Box 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.

**Box 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.

#### Regulated Futures Contracts, Foreign Currency Contracts, and Section 1256 Option Contracts (Boxes 8 Through 11)

**Box 8.** Shows the profit or (loss) realized on regulated futures, foreign currency, or Section 1256 option contracts closed during 2020.

**Box 9.** Shows any year-end adjustment to the profit or (loss) shown in box 8 due to open contracts on December 31, 2019.

**Box 10.** Shows the unrealized profit or (loss) on open contracts held in your account on December 31, 2020. These are considered closed out as of that date. This will become an adjustment reported as unrealized profit or (loss) on open contracts—12/31/2020 in 2021.

**Box 11.** Boxes 8, 9, and 10 are all used to figure the aggregate profit or (loss) on regulated futures, foreign currency, or Section 1256 option contracts for the year. Include this amount on your 2020 Form 6781.

**Box 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.

**Box 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.

**Boxes 14–16.** Shows 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).

#### 1099-MISC Instructions for Recipient

**Amounts shown may be subject to self-employment (SE) tax.** If your net income from self-employment is \$400 or more, you must file a return and compute your SE tax on Schedule SE (Form 1040 or Form 1040-SR). See Pub. 334 for more information. **Note:** If you are still receiving payments on which no income, social security, and Medicare taxes are withheld, you should make estimated tax payments. See Form 1040-ES (or Form 1040-ES-NR). Individuals must report these amounts as explained in the box 14 instructions on this page. Corporations, fiduciaries, or partnerships must report the amounts on the proper line of their tax returns.

**Form 1099-MISC incorrect?** If this form is incorrect or has been issued in error, contact the payer. If you cannot get this form corrected, attach an explanation to your tax return and report your income correctly.

**Box 1.** Report rents from real estate on Schedule E (Form 1040 or Form 1040-SR). However, report rents on Schedule C (Form 1040 or Form 1040-SR) if you provided significant services to the tenant, sold real estate as a business, or rented personal property as a business. See Pub. 527.

**Box 2.** Report royalties from oil, gas, or mineral properties, copyrights, and patents on Schedule E (Form 1040 or Form 1040-SR). However, report payments for a working interest as explained in the Schedule E (Form 1040 or Form 1040-SR) instructions. For royalties on timber, coal, and iron ore, see Pub. 544.

**Box 3.** Generally, report this amount on the "Other income" line of Schedule 1 (Form 1040 or Form 1040-SR), or Form 1040NR and identify the payment. The amount shown may be payments received as the beneficiary of a deceased employee, prizes, awards, taxable damages, Indian gaming profits, or other taxable income. See Pub. 525. If it is trade or business income, report this amount on Schedule C or F (Form 1040 or Form 1040-SR).

**Box 4.** Shows backup withholding or withholding on Indian gaming profits. Generally, a payer must backup withhold if you did not furnish your TIN. See Form W-9 and Pub. 505 for more information. Report this amount on your income tax return as tax withheld.

**Box 5.** An amount in this box means the fishing boat operator considers you self-employed. Report this amount on Schedule C (Form 1040 or Form 1040-SR). See Pub. 334.

**Box 6.** For individuals, report on Schedule C (Form 1040 or Form 1040-SR).

**Box 7.** If checked, \$5,000 or more of sales of consumer products was sold to you on buy-sell, deposit-commission, or other basis. A dollar amount does not have to be shown. Generally, report any income from your sale of these products on Schedule C (Form 1040 or 1040-SR).

**Box 8.** Shows substitute payments in lieu of dividends or tax-exempt interest received by your broker on your behalf as a result of a loan of your securities. Report on the "Other income" line of Schedule 1 (Form 1040 or Form 1040-SR), or Form 1040NR.

**Box 9.** Report this amount on Schedule F (Form 1040 or Form 1040-SR).

**Box 10.** Shows gross proceeds paid to an attorney in connection with legal services. Report only the taxable part as income on your return.

**Box 12.** May show current year deferrals as a nonemployee under a nonqualified deferred compensation (NQDC) plan that is subject to the requirements of section 409A, plus any earnings on current and prior year deferrals. The amount is also shown in box 1 of Form 1099-NEC.

**Box 13.** Shows your total compensation of excess golden parachute payments subject to a 20% excise tax. See your tax return instructions for where to report.

**Box 14.** Shows income as a nonemployee under an NQDC plan that does not meet the requirements of section 409A. This amount is also included in box 1, Form 1099-NEC as nonemployee compensation. Any amount included in box 12 that is currently taxable is also included in this box. This income is also subject to a substantial additional tax to be reported on Form 1040, 1040-SR, or 1040-NR. See the Instructions for Forms 1040 and 1040-SR, or the instructions for Form 1040-NR.

**Box 15–17.** Show state or local income tax withheld from the payments.

**Future developments.** For the latest information about developments related to Form 1099-MISC and its instructions, such as legislation enacted after they were published, go to [www.irs.gov/Form1099MISC](http://www.irs.gov/Form1099MISC).

#### 1099-OID Instructions for Recipient

Original issue discount (OID) is the excess of an obligation's stated redemption price at maturity over its issue price (acquisition price for a stripped bond or coupon). OID on a taxable obligation is taxable as interest over the life of the obligation. If you are the holder of a taxable OID

obligation, generally you must include an amount of OID in your gross income each year you hold the obligation. Obligations that may have OID include a bond, debenture, note, certificate, or other evidence of indebtedness having a term of more than 1 year. For example, the OID rules may apply to certificates of deposit (CDs), time deposits, bonus savings plans, and other deposit arrangements, especially if the payment of interest is deferred until maturity. In addition, the OID rules apply to Treasury inflation-protected securities. See Pub. 550 for more information.

If, as the record holder, you receive Form 1099-OID showing amounts belonging to another person, you are considered a nominee recipient. Complete a Form 1099-OID for each of the other owners showing the amounts 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 as the "recipient." File Form(s) 1099-OID 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. If you bought or sold an obligation during the year and you are not a nominee, you are not required to issue or file Form 1099-OID showing the OID or stated interest allocable to the seller/buyer of the obligation.

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 covered security acquired with acquisition premium, your payer generally must report either (1) a net amount of OID that reflects the offset of OID by the amount of acquisition premium amortization for the year, or (2) a gross amount for both the OID and the acquisition premium amortization for the year. For a noncovered security acquired with acquisition premium, your payer is only required to report the gross amount of OID.

**Box 1.** Shows the OID on a taxable obligation for the part of the year you owned it. Report the amount in box 1 as interest income on your income tax return. However, depending on the type of debt instrument, the issue or acquisition date, and other factors (for example, if you paid acquisition or bond premium, or the obligation is a stripped bond or coupon), you may have to figure the correct amount of OID to report on your return. See Pub. 1212 for details on how to figure the correct OID. See the instructions above for a covered security acquired with acquisition premium.

**Box 2.** Shows qualified stated interest on this obligation for the year, which is an amount separate from the OID. If you held the obligation the entire year, report this amount as interest income on your tax return. If you disposed of the obligation or acquired it from another holder during the year, see Pub. 550 for reporting instructions. If there is an amount in both boxes 2 and 8, the amount in box 2 is interest on a U.S. Treasury obligation and is exempt from state and local income taxes. If there is an amount in both boxes 2 and 11, the amount in box 2 is tax-exempt interest

and is not included in interest income on your tax return. In general, see how to report tax-exempt interest in the Instructions for Form 1040 and 1040-SR.

**Box 3.** Shows interest or principal forfeited if you withdrew the money before the maturity date of the obligation, such as from a CD. You may deduct this amount to figure your adjusted gross income on your income tax return. See the Instructions for Form 1040 and 1040-SR to see where to take the deduction.

**Box 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 for information on backup withholding. Include this amount on your income tax return as tax

withheld.

**Box 5.** For a covered security acquired with OID, 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. For a tax-exempt obligation that is a covered security acquired on or after January 1, 2017, and issued with OID, shows the market discount that accrued on the obligation during the year while held by you. For a covered

security acquired on or after January 1, 2015, 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). The payer may, but is not required to, report the market discount for a tax-exempt obligation that is a covered security acquired before January 1, 2017. Report the accrued market discount on your income tax return as directed in the Instructions for Form 1040 and 1040-SR. Market discount on a tax-exempt security is includible in taxable income as interest income.

**Box 6.** For a taxable covered security, shows the amount of acquisition premium amortization for the year that reduces the amount of OID that is included as interest on your income tax return. If an amount is reported in this box, see the Instructions Schedule B (Form 1040 or 1040-SR). If an amount is not reported in this box for a covered security acquired with acquisition premium, the payer has reported a net amount of OID that reflects the offset of OID that is included in income. If the payer has reported a net amount of OID in box 1 or box 8, you must report the net amount of OID on Schedule B (Form 1040 or 1040-SR) and you must not make an adjustment to this amount for acquisition premium on Schedule B (Form 1040 or 1040-SR).

If there is an amount in both boxes 6 and 11, for a tax-exempt obligation that is a covered security acquired on or after January 1, 2017, and issued with OID, the amount in box 6 shows the amount of acquisition premium amortization for the year that reduces the amount of your tax-exempt OID for the year. The payer may, but is not required to, report the acquisition premium for a tax-exempt obligation that is a covered security acquired before January 1, 2017, and issued with OID. See the instructions above for a covered security acquired with acquisition premium.

**Box 7.** Shows the identification (CUSIP) number or description of the obligation (may include the stock exchange, issuer, coupon rate, and year of maturity).

**Box 8.** Shows OID on a U.S. Treasury obligation for the part of the year you owned it. Report this amount as interest income on your federal income tax return, and see Pub. 1212 to figure any appropriate adjustments to this amount. This OID is exempt from state and local income taxes and is not included in box 1. See the instructions above for a covered security acquired with acquisition premium. If the number in this box is negative, it represents a deflation adjustment. See Pub. 550 for further information on accounting for this adjustment.

**Box 9.** Any amount shown is your share of investment expenses of a single-class REMIC. This amount is included in box 2. **Note:** This amount is not deductible.

**Box 10.** For a taxable covered security, including a Treasury inflation-protected 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 box, see the Instructions for Schedule B (Form 1040 or 1040-SR). If an amount is not reported in this box 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 box 2. If the amount in this box is greater than the amount of interest paid on the covered security, see Regulations section 1.171-2(a)(4).

If there is an amount in both boxes 10 and 11, for a tax-exempt obligation that is a covered security acquired on or after January 1, 2017, and issued with OID, the amount in box 10 shows the amount of premium amortization for the year that reduces the amount of your tax-exempt interest for the year. The payer may, but is not required to, report the premium amortization for a tax-exempt obligation that is a covered security acquired before January 1, 2017, and issued with OID.

**Box 11.** For a tax-exempt obligation that is a covered security acquired on or after January 1, 2017, shows the tax-exempt OID on the obligation for the part of the year you owned it. The payer may, but is not required to, report the OID for a tax-exempt obligation that is a covered security

acquired before January 1, 2017. In general, report the amount of tax-exempt OID on Form 1040 or 1040-SR. See the instructions above for a covered security acquired with acquisition premium.

**Boxes 12–14.** State income tax withheld reporting.

**Future developments.** For the latest information about developments related to Form 1099-OID and its instructions, such as legislation enacted after they were published, go to [www.irs.gov/Form1099OID](http://www.irs.gov/Form1099OID).

