

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

RANJITH KUDUMULA
9I GARDEN TERRACE
NORTH ARLINGTON, NJ 07031-8208

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. If you own Mutual Funds, Real Estate Trusts (REITs), REMIC Securities or certain fixed investment trusts (WHFITs), income distributions may be reclassified by the issuer after the original 1099 is sent. If you hold these securities or another security that is subject to a reclassification event, you may receive a corrected Form 1099.

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APEX CLEARING 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 WEBULL FINANCIAL LLC (917) 725-2448	Account 5MQ65389	Form 1099 Composite	2020
	RANJITH KUDUMULA 9I GARDEN TERRACE NORTH ARLINGTON, NJ 07031-8208 RECIPIENT'S ID No: XXX-XX-2818	Statement Date: 02/23/2021 [X] Corrected	

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	
4- Federal Income Tax Withheld	0.00	
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	

INTEREST INCOME	2020 Form 1099-INT*	OMB No. 1545-0112
1- Interest Income	66.70	
2- Early Withdrawal penalty	0.00	
3- Interest on U.S. Savings Bonds & Treasury Obligations	0.00	
4- Federal Income Tax Withheld	0.00	
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)	0.00	
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.		

MISCELLANEOUS INCOME	2020 Form 1099-MISC*	OMB No. 1545-0115
2- Royalties	0.00	
3- Other Income	338.22	
4- Federal Income Tax Withheld	0.00	
8- Substitute Payments in Lieu of Dividends or Interest	23.65	

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>		

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APEX CLEARING

Tax Summary

2020

5MQ65389

02/23/2021

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	Market Discount	Total Wash Sale Loss Disallowed	Total Net Gain or Loss(-)
Short term transactions for covered tax lots	402,836.95	407,788.83	0.00	22,004.86	17,052.98 C
Short term transactions for noncovered tax lots	542.02	537.57	0.00	0.00	4.45
Total Short-term	403,378.97	408,326.40	0.00	22,004.86	17,057.43
Long-term transactions for covered tax lots	40.93	36.63	0.00	0.00	4.30
Long-term transactions for noncovered tax lots	0.00	0.00	0.00	0.00	0.00
Total Long-term	40.93	36.63	0.00	0.00	4.30
Undetermined transactions for noncovered tax lots	0.00	0.00	0.00	0.00	0.00
Total Undetermined-term	0.00	0.00	0.00	0.00	0.00

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):	0.00
1099-DIV Total:	0.00
1099-INT Total:	0.00
1099-MISC Total:	0.00
1099-OID Total:	0.00

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
SENECA BIOPHARMA INC COMMON STOCK CUSIP: 81689B103 Symbol: SNCA							
05/21/2020	100.00	169.98	05/21/2020	171.00	0.00	-1.02	Sale
DIREXION SHS ETF TR DAILY S&P OIL & GAS EXPL & PRO BULL 2X SHARES CUSIP: 25460G500 Symbol: GUSH							
04/14/2020	6.00	143.86	04/13/2020	161.34	17.48 D	0.00	Sale
04/14/2020	11.00	271.25	04/13/2020	295.79	24.54 D	0.00	Sale
04/14/2020	4.00	97.78	04/13/2020	107.56	9.78 D	0.00	Sale
04/20/2020	30.00	791.07	Various	819.75	17.18 D	-11.50	Sale
04/21/2020	4.00	103.02	04/15/2020	85.48	0.00	17.54	Sale
05/01/2020	1.00	36.93	04/29/2020	36.67	0.00	0.26	Sale

APEX CLEARING

Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B*

OMB No. 1545-0715

5MQ65389

(continued)

02/23/2021

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
DIREXION SHS ETF TR DAILY S&P OIL & GAS EXPL & PRO BULL 2X SHARES CUSIP: 25460G500 Symbol: GUSH							
05/01/2020	9.00	334.38	04/29/2020	330.03	0.00	4.35	Sale
07/02/2020	25.00	854.72	06/26/2020	782.50	0.00	72.22	Sale
07/13/2020	10.00	291.58	07/09/2020	321.60	30.02 D	0.00	Sale
07/14/2020	15.00	465.42	Various	472.63	0.00	-7.21	Sale
10/06/2020	49.00	1,175.77	10/01/2020	980.49	0.00	195.28	Sale
10/09/2020	45.00	1,089.41	Various	1,017.89	0.00	71.52	Sale
10/14/2020	20.00	492.57	Various	472.49	0.00	20.08	Sale
10/20/2020	25.00	550.72	Various	595.70	44.98 D	0.00	Sale
10/21/2020	100.00	2,233.94	Various	2,301.22	0.00	-67.28	Sale
Security Totals:		8,932.42		8,781.14		295.26	
***IMMUNOVACCINE INC COM NEW CUSIP: 44974L103 Symbol: IMV							
09/04/2020	650.00	2,664.86	Various	3,378.25	713.39 D	0.00	Sale
09/17/2020	500.00	2,415.38	Various	2,885.85	470.47 D	0.00	Sale
09/17/2020	100.00	481.97	Various	542.98	70.48 D	9.47	Sale
09/30/2020	150.00	676.46	Various	767.00	90.54 D	0.00	Sale
10/16/2020	100.00	353.52	Various	546.44	192.92 D	0.00	Sale
10/16/2020	500.00	1,769.90	Various	2,360.62	590.72 D	0.00	Sale
10/19/2020	500.00	1,770.45	Various	2,597.94	827.49 D	0.00	Sale
10/22/2020	600.00	2,045.88	Various	2,960.46	914.58 D	0.00	Sale
10/23/2020	450.00	1,520.91	Various	2,250.83	116.68 D	-613.24	Sale
10/26/2020	50.00	159.04	10/21/2020	261.35	0.00	-102.31	Sale
10/28/2020	50.00	159.48	Various	210.95	0.00	-51.47	Sale
11/16/2020	100.00	353.98	Various	509.13	0.00	-155.15	Sale
Security Totals:		14,371.83		19,271.80		-912.70	
NOVUS CAPITAL CORPORATION COMMON STOCK CUSIP: 67012U108 Symbol: NOVUS							
10/15/2020	2.00	20.90	10/05/2020	21.50	0.00	-0.60	Sale
CALL GME 01/15/21 11 GAMESTOP CORP CUSIP: Symbol: GME210115C00011000							
10/08/2020	1.00	379.90	10/06/2020	188.08	0.00	191.82	Sell to Close

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APEX CLEARING

Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B*

OMB No. 1545-0715

5MQ65389

(continued)

02/23/2021

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 GME 01/15/21 11							
GAMESTOP CORP CUSIP: Symbol: GME210115C00011000							
10/08/2020	2.00	759.81	09/25/2020	576.18	0.00	183.63	Sell to Close
10/09/2020	1.00	394.90	10/06/2020	188.08	0.00	206.82	Sell to Close
Security Totals:		1,534.61		952.34		582.27	
JUPITER WELLNESS INC							
COMMON STOCK CUSIP: 48208F105 Symbol: JUPW							
12/17/2020	17.00	100.28	12/17/2020	114.92	0.00	-14.64	Sale
***MER TELEMAGEMENT							
SOLUTIONS LTD COMMON SHARES CUSIP: M69676209 Symbol: MTSL							
07/14/2020	100.00	130.88	07/06/2020	158.00	27.12 D	0.00	Sale
07/21/2020	200.00	275.97	Various	341.12	0.00	-65.15	Sale
Security Totals:		406.85		499.12		-65.15	
LEVI STRAUSS & CO							
CLASS A COMMON STOCK CUSIP: 52736R102 Symbol: LEVI							
05/26/2020	2.00	27.90	Various	24.18	0.00	3.72	Sale
06/04/2020	2.00	30.70	Various	28.56	0.00	2.14	Sale
07/14/2020	3.00	38.00	Various	41.10	0.00	-3.10	Sale
09/11/2020	2.00	26.66	Various	25.66	0.00	1.00	Sale
Security Totals:		123.26		119.50		3.76	
CALL PLTR 12/24/20 27							
PALANTIR TECHNOLOGIES INC CL A CUSIP: Symbol: PLTR201224C00027000							
12/11/2020	1.00	211.90	12/11/2020	252.08	0.00	-40.18	Sell to Close
***XPENG INC							
ADS EACH REPRESENTING TWO CLASS A ORDINARY SHARES CUSIP: 98422D105 Symbol: XPEV							
12/07/2020	5.00	245.38	11/27/2020	322.00	76.62 D	0.00	Sale
12/09/2020	5.00	235.93	Various	319.86	0.00	-83.93	Sale
Security Totals:		481.31		641.86		-83.93	
DATASEA INC							
COMMON STOCK CUSIP: 238116206 Symbol: DTSS							
08/03/2020	50.00	200.98	08/03/2020	237.50	0.00	-36.52	Sale
MICROVISION INC DEL CUSIP: 594960304 Symbol: MVIS							
05/12/2020	200.00	201.97	Various	196.69	0.00	5.28	Sale
08/27/2020	800.00	1,351.87	Various	1,282.82	45.04 D	114.09	Sale
08/27/2020	200.00	320.97	Various	313.79	0.00	7.18	Sale
Security Totals:		1,874.81		1,793.30		126.55	

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APEX CLEARING

Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B*

OMB No. 1545-0715

5MQ65389

(continued)

02/23/2021

SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

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CALL SBE 02/19/21 60	SWITCHBACK ENRGY ACQSTN CORP CUSIP: Symbol: SBE210219C00060000						
12/24/2020	1.00	544.89	12/22/2020	330.08	0.00	214.81	Sell to Close
PRECIPIO INC	COMMON STOCK CUSIP: 74019L503 Symbol: PRPO						
08/04/2020	50.00	206.98	08/04/2020	213.00	0.00	-6.02	Sale
10/08/2020	400.00	951.92	Various	1,039.85	0.00	-87.93	Sale
Security Totals:		1,158.90		1,252.85		-93.95	
CALL ABBV 08/07/20 105	ABBVIE INC CUSIP: Symbol: ABBV200807C00105000						
08/07/2020	2.00	0.00	07/30/2020	30.19	0.00	-30.19	Expiration
DELCATH SYS INC	COMMON STOCK CUSIP: 24661P807 Symbol: DCTH						
06/29/2020	50.00	444.98	06/26/2020	442.50	0.00	2.48	Sale
NANOVIBRONIX INC	COMMON STOCK CUSIP: 63008J108 Symbol: NAOV						
07/07/2020	39.00	113.47	Various	131.07	0.00	-17.60	Sale
***NORWEGIAN CRUISE LINE	HOLDINGS LTD ORDINARY SHARES CUSIP: G66721104 Symbol: NCLH						
04/13/2020	40.00	445.18	Various	369.83	10.07 D	85.42	Sale
04/20/2020	3.00	35.95	04/16/2020	38.55	2.6 D	0.00	Sale
04/21/2020	5.00	54.78	Various	63.46	8.68 D	0.00	Sale
05/05/2020	32.00	369.58	Various	515.16	145.58 D	0.00	Sale
05/07/2020	50.00	586.47	Various	734.53	148.06 D	0.00	Sale
05/08/2020	25.00	313.86	Various	407.94	7.29 D	-86.79	Sale
05/15/2020	2.00	22.00	05/11/2020	28.52	0.00	-6.52	Sale
05/19/2020	24.00	310.78	Various	299.06	0.00	11.72	Sale
Security Totals:		2,138.60		2,457.05		3.83	
CALL GPS 07/02/20 15	GAP INC CUSIP: Symbol: GPS200702C00015000						
06/30/2020	4.00	15.60	Various	272.37	0.00	-256.77	Sell to Close
GRITSTONE ONCOLOGY INC	COMMON STOCK CUSIP: 39868T105 Symbol: GRTS						
08/03/2020	100.00	331.98	Various	325.00	0.00	6.98	Sale
***SEANERGY MARITIME HOLDINGS	CORP COMMON STOCK CUSIP: Y73760301 Symbol: SHIP						
06/22/2020	1,000.00	195.47	06/18/2020	181.90	0.00	13.57	Sale
06/22/2020	2,000.00	390.75	06/18/2020	363.80	0.00	26.95	Sale
Security Totals:		586.22		545.70		40.52	

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APEX CLEARING

Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B*

OMB No. 1545-0715

5MQ65389

(continued)

02/23/2021

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
IDEAL POWER INC COMMON STOCK CUSIP: 451622203 Symbol: IPWR							
06/29/2020	30.00	172.48	Various	173.90	0.00	-1.42	Sale
CALL AAPL 07/31/20 412.50 APPLE INC CUSIP: Symbol: AAPL200731C00412500							
07/24/2020	1.00	49.89	07/23/2020	154.09	0.00	-104.20	Sell to Close
***MOGU INC AMERICAN DEPOSITARY SHARES ECH REPRESENTING 25 CL A ORD SHS CUSIP: 608012100 Symbol: MOGU							
07/30/2020	50.00	184.98	07/30/2020	187.50	0.00	-2.52	Sale
***CELLECT BIOTECHNOLOGY LTD AMERICAN DEPOSITARY SHARES CUSIP: 15116C201 Symbol: APOP							
06/23/2020	100.00	336.53	06/23/2020	320.00	0.00	16.53	Sale
NXT ID INC COM NEW CUSIP: 67091J206 Symbol: NXTD							
12/30/2020	100.00	167.09	12/28/2020	164.00	0.00	3.09	Sale
***HIGHWAY HOLDINGS LTD CUSIP: G4481U106 Symbol: HIHO							
08/03/2020	20.00	141.98	08/03/2020	101.60	0.00	40.38	Sale
08/03/2020	5.00	35.08	08/03/2020	25.40	0.00	9.68	Sale
08/03/2020	10.00	35.08	08/03/2020	49.70	0.00	-14.62	Sale
08/03/2020	25.00	160.73	08/03/2020	127.00	0.00	33.73	Sale
08/03/2020	20.00	70.18	08/03/2020	109.21	0.00	-39.03	Sale
08/03/2020	50.00	264.48	08/03/2020	275.00	6.31 D	-4.21	Sale
Security Totals:		707.53		687.91		25.93	
ORION GROUP HOLDINGS INC CUSIP: 68628V308 Symbol: ORN							
06/17/2020	50.00	192.98	06/17/2020	219.50	0.00	-26.52	Sale
***SCORPIO TANKERS INC COMMON SHARES CUSIP: Y7542C130 Symbol: STNG							
05/01/2020	10.00	223.08	04/29/2020	223.50	0.00	-0.42	Sale
MY SIZE INC COMMON STOCK CUSIP: 62844N208 Symbol: MYSZ							
06/17/2020	100.00	125.98	06/17/2020	131.00	5.02 D	0.00	Sale
07/08/2020	100.00	121.98	07/06/2020	119.60	0.00	2.38	Sale
Security Totals:		247.96		250.60		2.38	
CALL KO 07/31/20 50 COCA COLA CO CUSIP: Symbol: KO200731C00050000							
07/31/2020	5.00	0.00	07/30/2020	45.46	0.00	-45.46	Expiration
MOSYS INC COMMON STOCK CUSIP: 619718307 Symbol: MOSY							
07/15/2020	260.00	462.75	Various	498.80	0.00	-36.05	Sale

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APEX CLEARING

Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B*

OMB No. 1545-0715

5MQ65389

(continued)

02/23/2021

SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

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

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PROSHARES TR PROSHARES ULTRAPRO SHORT QQQ CUSIP: 74347G408 Symbol: SQQQ							
06/12/2020	50.00	446.98	06/11/2020	446.25	0.00	0.73	Sale
CBL & ASSOCIATES PROPERTIES INC COMMON STOCK CUSIP: 124830100 Symbol: CBL							
07/17/2020	2,000.00	399.55	07/15/2020	530.00	32.61 D	-97.84	Sale
08/06/2020	500.00	165.58	08/06/2020	209.17	0.00	-43.59	Sale
Security Totals:		565.13		739.17		-141.43	
GROUPON INC COMMON STOCK CUSIP: 399473107 Symbol: GRPN							
04/08/2020	350.00	306.24	Various	298.92	6.65 D	13.97	Sale
04/13/2020	50.00	43.48	Various	45.65	0.00	-2.17	Sale
06/10/2020	50.00	70.67	06/10/2020	75.00	0.00	-4.33	Sale
06/10/2020	200.00	280.97	06/10/2020	300.00	0.00	-19.03	Sale
06/10/2020	250.00	353.66	06/10/2020	375.00	0.00	-21.34	Sale
Security Totals:		1,055.02		1,094.57		-32.90	
VERRICA PHARMACEUTICALS INC COMMON STOCK CUSIP: 92511W108 Symbol: VRCA							
08/06/2020	25.00	164.73	08/03/2020	159.75	0.00	4.98	Sale
***ARBUTUS BIOPHARMA CORP COM CUSIP: 03879J100 Symbol: ABUS							
08/05/2020	100.00	424.98	08/04/2020	375.00	0.00	49.98	Sale
09/17/2020	300.00	873.27	Various	913.87	26.46 D	-14.14	Sale
10/08/2020	50.00	168.98	Various	183.46	0.00	-14.48	Sale
Security Totals:		1,467.23		1,472.33		21.36	
BOQI INTERNATIONAL MEDICAL INC COMMON STOCK CUSIP: 099501108 Symbol: BIM1							
06/11/2020	250.00	704.95	06/09/2020	715.00	10.05 D	0.00	Sale
07/17/2020	100.00	202.98	06/24/2020	324.02	121.04 D	0.00	Sale
08/03/2020	500.00	959.91	Various	1,252.41	0.00	-292.50	Sale
Security Totals:		1,867.84		2,291.43		-292.50	
AVIS BUDGET GROUP INC CUSIP: 053774105 Symbol: CAR							
05/15/2020	12.00	142.18	Various	147.12	0.00	-4.94	Sale
SMILEDIRECTCLUB INC CLASS A COMMON STOCK CUSIP: 83192H106 Symbol: SDC							
12/07/2020	60.00	666.57	Various	730.78	0.00	-64.21	Sale

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2020 Form 1099-B*

OMB No. 1545-0715

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(continued)

02/23/2021

SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

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RAYTHEON TECHNOLOGIES CORPORATION COMMON STOCK CUSIP: 75513E101 Symbol: RTX							
04/29/2020	10.00	676.17	Various	656.76	0.00	19.41	Sale
SUNRUN INC COM CUSIP: 86771W105 Symbol: RUN							
10/13/2020	30.00	2,024.04	Various	2,175.79	151.75 D	0.00	Sale
10/20/2020	25.00	1,594.95	Various	1,809.19	214.24 D	0.00	Sale
10/20/2020	25.00	1,606.45	Various	1,824.83	218.38 D	0.00	Sale
10/28/2020	43.00	2,354.18	Various	2,837.88	0.00	-483.70	Sale
Security Totals:		7,579.62		8,647.69		-483.70	
ICONIX BRAND GROUP INC COMMON STOCK CUSIP: 451055305 Symbol: ICON							
08/04/2020	50.00	59.48	08/04/2020	66.50	0.00	-7.02	Sale
URBAN ONE INC CLASS A COMMON STOCK CUSIP: 91705J105 Symbol: UONE							
09/28/2020	100.00	924.96	Various	899.50	0.00	25.46	Sale
09/29/2020	50.00	308.48	09/29/2020	306.50	0.00	1.98	Sale
Security Totals:		1,233.44		1,206.00		27.44	
CALL BBY 12/18/20 26 BED BATH & BEYOND INC CUSIP: Symbol: BBY201218C00026000							
12/07/2020	4.00	19.66	Various	125.32	0.00	-105.66	Sell to Close
URBAN ONE INC CLASS D COMMON STOCK CUSIP: 91705J204 Symbol: UONEK							
08/05/2020	50.00	80.49	08/03/2020	79.00	0.00	1.49	Sale
09/28/2020	100.00	154.09	Various	184.50	0.00	-30.41	Sale
Security Totals:		234.58		263.50		-28.92	
ADVANCED MICRO DEVICES INC COM CUSIP: 007903107 Symbol: AMD							
10/13/2020	5.00	421.53	10/09/2020	416.29	0.00	5.24	Sale
EXTRACTION OIL & GAS INC COM CUSIP: 30227M105 Symbol: XOG							
06/22/2020	2,324.00	741.06	Various	798.67	0.00	-57.61	Sale
PUT SPLK 10/16/20 200 SPLUNK INC CUSIP: Symbol: SPLK201016P00200000							
10/14/2020	1.00	32.90	10/14/2020	104.08	0.00	-71.18	Sell to Close
BRIGGS & STRATTON CORP CUSIP: 109043109 Symbol: BGG							
06/26/2020	250.00	335.62	06/24/2020	321.35	0.00	14.27	Sale
CINEDIGM CORP CLASS A COMMON STOCK CUSIP: 172406209 Symbol: CIDM							
06/11/2020	200.00	535.96	06/11/2020	453.00	0.00	82.96	Sale

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APEX CLEARING

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2020 Form 1099-B*

OMB No. 1545-0715

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02/23/2021

SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

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06/22/2020	100.00	230.98	Various	231.98	0.00	-1.00	Sale
Security Totals:		766.94		684.98		81.96	
CALL FB 09/25/20	267.50	FACEBOOK INC CL A CUSIP: Symbol: FB200925C00267500					
09/22/2020	1.00	69.89	09/22/2020	66.09	0.00	3.80	Sell to Close
***WIMI HOLOGRAM CLOUD INC		AMERICAN DEPOSITARY SHARE CUSIP: 97264L100 Symbol: WIMI					
07/28/2020	50.00	402.98	07/28/2020	401.00	0.00	1.98	Sale
PHASEBIO PHARMACEUTICALS INC		COMMON STOCK CUSIP: 717224109 Symbol: PHAS					
07/17/2020	10.00	50.98	07/17/2020	52.90	0.00	-1.92	Sale
***ZOMEDICA PHARMACEUTICALS		CORP COM CUSIP: 98979F107 Symbol: ZOM					
04/22/2020	200.00	29.59	04/14/2020	26.44	0.00	3.15	Sale
05/01/2020	100.00	17.54	04/29/2020	18.97	1.43 D	0.00	Sale
05/12/2020	1,000.00	282.67	Various	262.93	0.00	19.74	Sale
05/29/2020	1,000.00	159.87	05/27/2020	154.60	0.00	5.27	Sale
07/01/2020	250.00	58.41	06/29/2020	59.88	1.47 D	0.00	Sale
07/15/2020	400.00	62.18	Various	94.68	0.00	-32.50	Sale
07/15/2020	2,000.00	310.95	Various	428.74	74.92 D	-42.87	Sale
07/16/2020	600.00	92.92	Various	135.13	0.00	-42.21	Sale
Security Totals:		1,014.13		1,181.37		-89.42	
CALL AMRN 08/14/20	8.50	AMARIN CORP PLC CUSIP: Symbol: AMRN200814C00008500					
08/04/2020	1.00	1.89	08/03/2020	8.09	0.00	-6.20	Sell to Close
ADMA BIOLOGICS INC		COMMON STOCK CUSIP: 000899104 Symbol: ADMA					
04/09/2020	7.00	18.92	04/07/2020	20.42	0.00	-1.50	Sale
04/09/2020	30.00	87.62	04/07/2020	87.53	0.00	0.09	Sale
04/09/2020	13.00	37.57	04/07/2020	37.93	0.00	-0.36	Sale
08/10/2020	100.00	306.23	08/05/2020	314.00	7.77 D	0.00	Sale
08/12/2020	100.00	286.39	08/06/2020	293.77	0.00	-7.38	Sale
Security Totals:		736.73		753.65		-9.15	
***LION GROUP HOLDING LTD		AMERICAN DEPOSITARY SHARE CUSIP: 53620U102 Symbol: LGHL					
07/16/2020	10.00	51.78	07/16/2020	50.35	0.00	1.43	Sale

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2020 Form 1099-B*

OMB No. 1545-0715

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(continued)

02/23/2021

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SEACOR MARINE HOLDINGS INC COMMON STOCK CUSIP: 78413P101 Symbol: SMHI							
06/02/2020	127.00	190.47	Various	190.47	0.00	0.00	Sale
CLOVIS ONCOLOGY INC COM CUSIP: 189464100 Symbol: CLVS							
08/05/2020	25.00	158.76	08/05/2020	161.25	0.00	-2.49	Sale
NOVABAY PHARMACEUTICALS INC COM CUSIP: 66987P201 Symbol: NBY							
07/08/2020	500.00	589.92	06/29/2020	580.00	0.00	9.92	Sale
08/07/2020	100.00	113.98	08/04/2020	140.00	0.00	-26.02	Sale
Security Totals:		703.90		720.00		-16.10	
JAGUAR HEALTH INC COMMON STOCK CUSIP: 47010C409 Symbol: JAGX							
07/16/2020	250.00	169.99	07/16/2020	170.00	0.00	-0.01	Sale
11/24/2020	500.00	106.08	11/19/2020	104.80	0.00	1.28	Sale
Security Totals:		276.07		274.80		1.27	
CALL DIS 12/18/20 175 WALT DISNEY CO CUSIP: Symbol: DIS201218C00175000							
12/11/2020	5.00	1,174.56	12/11/2020	1,115.40	0.00	59.16	Sell to Close
NET ELEMENT INC COMMON STOCK CUSIP: 64111R300 Symbol: NETE							
07/17/2020	10.00	148.48	Various	140.42	3.81 D	11.87	Sale
08/05/2020	25.00	507.47	Various	504.31	2.69 D	5.85	Sale
09/23/2020	250.00	1,746.35	Various	3,054.60	1308.25 D	0.00	Sale
09/24/2020	250.00	3,249.89	Various	2,900.41	211.81 D	561.29	Sale
09/24/2020	500.00	6,499.79	Various	3,972.68	0.00	2,527.11	Sale
09/24/2020	250.00	3,999.88	09/17/2020	1,427.50	0.00	2,572.38	Sale
09/30/2020	45.00	395.98	09/29/2020	297.90	0.00	98.08	Sale
09/30/2020	200.00	1,783.94	Various	1,434.00	0.00	349.94	Sale
09/30/2020	250.00	1,810.92	09/23/2020	1,600.00	0.00	210.92	Sale
09/30/2020	250.00	2,224.92	Various	1,677.00	0.00	547.92	Sale
10/14/2020	250.00	2,109.92	Various	1,911.75	30.77 D	228.94	Sale
10/14/2020	100.00	829.97	Various	746.78	0.00	83.19	Sale
11/09/2020	50.00	310.03	10/12/2020	353.00	42.97 D	0.00	Sale
11/12/2020	200.00	1,529.94	Various	1,565.02	35.08 D	0.00	Sale

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NET ELEMENT INC COMMON STOCK CUSIP: 64111R300 Symbol: NETE							
11/16/2020	800.00	5,729.77	Various	5,368.06	61.89 D	423.60	Sale
11/17/2020	200.00	1,765.94	Various	1,221.89	0.00	544.05	Sale
11/19/2020	250.00	2,436.42	11/16/2020	1,827.50	0.00	608.92	Sale
11/20/2020	150.00	1,664.58	Various	1,235.50	0.00	429.08	Sale
11/23/2020	150.00	1,907.93	Various	1,324.00	0.00	583.93	Sale
12/07/2020	700.00	7,568.75	Various	7,579.48	153.28 D	142.55	Sale
Security Totals:		48,220.87		40,141.80		9,929.62	
ALLIED HEALTHCARE PRODUCTS INC COMMON STOCK CUSIP: 019222207 Symbol: AHPI							
09/22/2020	100.00	607.97	Various	1,116.38	508.41 D	0.00	Sale
09/29/2020	250.00	1,492.43	Various	2,314.26	821.83 D	0.00	Sale
10/02/2020	250.00	1,499.93	Various	2,295.21	795.28 D	0.00	Sale
10/02/2020	500.00	2,999.87	Various	4,341.61	1341.74 D	0.00	Sale
10/19/2020	500.00	2,644.88	Various	4,163.68	1518.80 D	0.00	Sale
10/23/2020	101.00	497.90	Various	964.55	466.65 D	0.00	Sale
10/26/2020	100.00	510.97	Various	826.39	315.42 D	0.00	Sale
11/12/2020	150.00	958.45	Various	1,249.10	330.77 D	40.12	Sale
11/12/2020	100.00	772.60	Various	795.21	43.92 D	21.31	Sale
11/12/2020	250.00	1,654.21	Various	1,397.85	4.86 D	261.22	Sale
11/12/2020	500.00	3,324.86	Various	4,437.01	1112.15 D	0.00	Sale
11/27/2020	600.00	3,035.86	Various	3,877.34	0.00	-841.48	Sale
Security Totals:		19,999.93		27,778.59		-518.83	
CALL TSLA 10/09/20 500 TESLA INC ADJ 5:1 STOCK SPLIT CUSIP: Symbol: TSLA201009C00500000							
10/02/2020	2.00	669.81	Various	548.16	0.00	121.65	Sell to Close
10/02/2020	2.00	443.82	Various	651.50	0.00	-207.68	Sell to Close
10/02/2020	5.00	1,249.56	Various	1,481.40	145.34 D	-86.50	Sell to Close
Security Totals:		2,363.19		2,681.06		-172.53	
TAILORED BRANDS INC COM CUSIP: 87403A107 Symbol: TLRD							
06/26/2020	250.00	249.96	Various	262.00	12.04 D	0.00	Sale

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TAILORED BRANDS INC COM CUSIP: 87403A107 Symbol: TLRD							
06/26/2020	750.00	742.39	Various	703.43	8.16 D	47.12	Sale
06/29/2020	500.00	474.92	Various	429.86	0.00	45.06	Sale
Security Totals:		1,467.27		1,395.29		92.18	
BEYOND MEAT INC COMMON STOCK CUSIP: 08862E109 Symbol: BYND							
12/02/2020	20.00	2,706.53	Various	2,534.61	0.00	171.92	Sale
***BANCO SANTANDER S A SPONSORED ADR CUSIP: 05964H105 Symbol: SAN							
04/13/2020	10.00	23.48	Various	22.14	0.00	1.34	Sale
NIKOLA CORPORATION COMMON STOCK CUSIP: 654110105 Symbol: NKLA							
07/21/2020	15.00	601.02	Various	600.70	0.36 D	0.68	Sale
08/03/2020	20.00	715.17	Various	648.76	0.00	66.41	Sale
09/22/2020	10.00	269.88	09/21/2020	251.20	0.00	18.68	Sale
Security Totals:		1,586.07		1,500.66		85.77	
KOHLS CORP CUSIP: 500255104 Symbol: KSS							
05/12/2020	20.00	357.88	05/08/2020	360.40	0.00	-2.52	Sale
05/12/2020	30.00	534.27	05/08/2020	540.60	0.00	-6.33	Sale
Security Totals:		892.15		901.00		-8.85	
CLEANSPARK INC COMMON STOCK CUSIP: 18452B209 Symbol: CLSK							
05/21/2020	100.00	287.98	05/19/2020	181.00	0.00	106.98	Sale
SENSEONICS HOLDINGS INC COMMON STOCK \$0.001 PAR VALUE CUSIP: 81727U105 Symbol: SENS							
06/17/2020	500.00	214.08	Various	196.73	0.00	17.35	Sale
CASTLIGHT HEALTH INC CL B CUSIP: 14862Q100 Symbol: CSLT							
05/22/2020	400.00	347.94	Various	333.62	0.03 D	14.35	Sale
06/01/2020	100.00	78.85	05/22/2020	76.07	0.00	2.78	Sale
06/02/2020	150.00	115.73	Various	114.58	0.00	1.15	Sale
Security Totals:		542.52		524.27		18.28	
***UBS GROUP AG SHS CUSIP: H42097107 Symbol: UBS							
08/25/2020	2.00	24.41	Various	24.06	0.00	0.35	Sale
***AC IMMUNE SA COMMON STOCK CUSIP: H00263105 Symbol: ACIU							
07/16/2020	10.00	102.78	07/16/2020	112.00	0.00	-9.22	Sale

APEX CLEARING

Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B*

OMB No. 1545-0715

5MQ65389

(continued)

02/23/2021

SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

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

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SPARTAN ENERGY ACQUISITION CORP CLASS A COMMON STOCK CUSIP: 846784106 Symbol: SPAQ							
07/30/2020	100.00	1,399.95	Various	1,388.14	18.35 D	30.16	Sale
08/10/2020	50.00	626.47	Various	675.15	52.65 D	3.97	Sale
08/12/2020	100.00	1,232.96	Various	1,247.65	39.28 D	24.59	Sale
08/20/2020	25.00	306.73	08/14/2020	344.03	0.00	-37.30	Sale
10/09/2020	50.00	717.72	Various	794.70	76.98 D	0.00	Sale
10/09/2020	100.00	1,427.45	Various	1,438.98	64.25 D	52.72	Sale
10/14/2020	50.00	710.97	Various	725.25	27.64 D	13.36	Sale
Security Totals:		6,422.25		6,613.90		87.50	
CALL ZS 12/24/20 200 ZSCALER INC CUSIP: Symbol: ZS201224C00200000							
12/16/2020	1.00	87.90	12/14/2020	190.08	0.00	-102.18	Sell to Close
ARCA BIOPHARMA INC COMMON STOCK CUSIP: 00211Y506 Symbol: ABIO							
06/10/2020	200.00	1,817.93	06/10/2020	1,469.50	0.00	348.43	Sale
06/22/2020	100.00	737.82	Various	707.45	0.00	30.37	Sale
07/09/2020	50.00	330.98	07/06/2020	340.00	9.02 D	0.00	Sale
07/30/2020	50.00	351.98	07/30/2020	369.02	0.00	-17.04	Sale
Security Totals:		3,238.71		2,885.97		361.76	
SORRENTO THERAPEUTICS INC CUSIP: 83587F202 Symbol: SRNE							
06/08/2020	500.00	2,250.54	Various	2,067.14	0.00	183.40	Sale
06/08/2020	716.00	3,221.83	Various	3,223.96	63.11 D	60.98	Sale
07/17/2020	25.00	169.98	07/15/2020	169.25	0.00	0.73	Sale
07/28/2020	10.00	77.96	07/24/2020	77.25	0.00	0.71	Sale
08/05/2020	5.00	67.93	08/05/2020	65.00	0.00	2.93	Sale
08/05/2020	20.00	273.68	08/05/2020	275.01	1.33 D	0.00	Sale
08/05/2020	75.00	1,016.96	Various	1,029.10	37.63 D	25.49	Sale
08/20/2020	20.00	229.78	Various	216.00	0.00	13.78	Sale
08/20/2020	30.00	336.88	Various	321.45	0.00	15.43	Sale
08/27/2020	21.00	165.46	Various	165.48	0.00	-0.02	Sale
10/07/2020	90.00	1,005.36	Various	976.99	0.47 D	28.84	Sale

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APEX CLEARING

Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B*

OMB No. 1545-0715

5MQ65389

(continued)

02/23/2021

SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

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SORRENTO THERAPEUTICS INC CUSIP: 83587F202 Symbol: SRNE							
11/12/2020	750.00	4,589.80	Various	6,282.89	1614.78 D	-78.31 Sale	
11/19/2020	100.00	761.97	Various	1,004.27	0.00	-242.30 Sale	
11/30/2020	150.00	1,167.12	Various	1,322.46	0.00	-155.34 Sale	
11/30/2020	300.00	2,255.91	Various	2,521.48	0.00	-265.57 Sale	
Security Totals:		17,591.16		19,717.73		-409.25	
DIREXION SHARES ETF TRUST DIREXION DAILY GOLD MINERS INDEX BEAR 2X SHARES CUSIP: 25460G880 Symbol: DUST							
05/01/2020	3.00	99.34	Various	117.41	18.07 D	0.00 Sale	C
05/01/2020	4.00	133.30	Various	145.18	0.00	-11.88 Sale	C
Security Totals:		232.64		262.59		-11.88	
AT HOME GROUP INC COMMON STOCK PAR VALUE \$0.01 PER SHARE CUSIP: 04650Y100 Symbol: HOME							
12/07/2020	100.00	1,663.95	Various	1,840.80	124.02 D	-52.83 Sale	
12/09/2020	50.00	817.93	Various	968.62	0.00	-150.69 Sale	
Security Totals:		2,481.88		2,809.42		-203.52	
ADVANCED EMISSIONS SOLUTIONS INC COM CUSIP: 00770C101 Symbol: ADES							
10/01/2020	50.00	277.48	10/01/2020	275.50	0.00	1.98 Sale	
CALL FSLR 10/09/20 81 FIRST SOLAR INC CUSIP: Symbol: FSLR201009C00081000							
10/08/2020	10.00	719.15	10/08/2020	540.81	0.00	178.34 Sell to Close	C
10/08/2020	30.00	1,797.48	Various	1,682.43	21.65 D	136.70 Sell to Close	C
10/08/2020	10.00	659.15	10/08/2020	482.46	0.00	176.69 Sell to Close	C
Security Totals:		3,175.78		2,705.70		491.73	
EVOFEM BIOSCIENCES INC COMMON STOCK CUSIP: 30048L104 Symbol: EVFM							
05/27/2020	100.00	557.97	05/22/2020	501.90	0.00	56.07 Sale	
VIACOMCBS INC CLASS B COMMON STOCK CUSIP: 92556H206 Symbol: VIAC							
05/01/2020	3.00	48.19	Various	47.40	0.00	0.79 Sale	
CALL COST 01/08/21 375 COSTCO WHOLESALE CORPORATION ADJ CASH DISTRIBUTION CUSIP: Symbol: COST210108C00375000							
12/30/2020	1.00	429.90	12/28/2020	232.08	0.00	197.82 Sell to Close	
FISKER INC CLASS A COMMON STOCK CUSIP: 33813J106 Symbol: FSR							
11/02/2020	75.00	845.97	Various	1,071.39	225.42 D	0.00 Sale	
11/09/2020	900.00	12,644.61	Various	10,840.10	215.97 D	2,020.48 Sale	

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2020 Form 1099-B*

OMB No. 1545-0715

5MQ65389

(continued)

02/23/2021

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FISKER INC CLASS A COMMON STOCK CUSIP: 33813J106 Symbol: FSR							
11/16/2020	100.00	1,652.95	Various	1,287.57	0.00	365.38	Sale
11/23/2020	200.00	3,099.91	Various	2,993.00	163.05 D	269.96	Sale
11/25/2020	50.00	981.46	11/19/2020	929.53	0.00	51.93	Sale
11/27/2020	50.00	1,132.46	11/23/2020	879.52	0.00	252.94	Sale
12/07/2020	400.00	6,857.79	Various	7,122.45	0.00	-264.66	Sale
Security Totals:		27,215.15		25,123.56		2,696.03	
CALL FSLR 11/06/20 85 FIRST SOLAR INC CUSIP: Symbol: FSLR201106C00085000							
10/06/2020	5.00	1,034.56	10/06/2020	877.40	0.00	157.16	Sell to Close
10/08/2020	4.00	1,479.63	10/06/2020	764.32	0.00	715.31	Sell to Close
10/08/2020	2.00	729.81	Various	566.16	0.00	163.65	Sell to Close
10/09/2020	1.00	309.90	10/08/2020	375.08	0.00	-65.18	Sell to Close
Security Totals:		3,553.90		2,582.96		970.94	
EASTMAN KODAK COMPANY COM NEW CUSIP: 277461406 Symbol: KODK							
07/28/2020	50.00	350.98	07/28/2020	251.00	0.00	99.98	Sale
07/28/2020	50.00	342.48	07/28/2020	244.50	0.00	97.98	Sale
07/28/2020	50.00	418.98	07/28/2020	334.00	0.00	84.98	Sale
07/28/2020	50.00	409.98	07/28/2020	432.50	22.52 D	0.00	Sale
07/30/2020	10.00	292.28	07/30/2020	296.80	4.52 D	0.00	Sale
08/03/2020	20.00	343.38	Various	368.51	25.13 D	0.00	Sale
08/18/2020	25.00	274.98	Various	225.02	0.00	49.96	Sale
08/19/2020	50.00	412.98	Various	410.52	14.34 D	16.80	Sale
08/19/2020	50.00	397.98	Various	407.96	0.00	-9.98	Sale
09/29/2020	50.00	451.04	09/29/2020	446.50	0.00	4.54	Sale
10/09/2020	20.00	200.38	10/09/2020	205.00	4.62 D	0.00	Sale
10/09/2020	50.00	514.97	10/02/2020	422.00	0.00	92.97	Sale
10/20/2020	40.00	365.98	Various	385.79	8.26 D	-11.55	Sale
10/21/2020	10.00	87.08	Various	95.95	0.00	-8.87	Sale

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5MQ65389

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11/30/2020	62.00	486.05	Various	443.71	0.00	42.34	Sale
Security Totals:		5,349.52		4,969.76		459.15	
***BORR DRILLING LIMITED COM ON SHARES OF PAR VALUE \$0.05 PER SHARE CUSIP: G1466R207 Symbol: BORR							
08/03/2020	50.00	54.48	08/03/2020	58.00	0.00	-3.52	Sale
CALL NIO 10/02/20 20 NIO INC ADS CUSIP: Symbol: NIO201002C00020000							
09/22/2020	1.00	97.89	09/22/2020	83.09	0.00	14.80	Sell to Close
HERTZ GLOBAL HOLDINGS INC COMMON STOCK CUSIP: 42806J106 Symbol: HTZ							
06/17/2020	100.00	180.98	06/17/2020	204.00	0.00	-23.02	Sale
08/12/2020	200.00	322.97	Various	337.00	0.00	-14.03	Sale
Security Totals:		503.95		541.00		-37.05	
***NAKED BRAND GROUP LIMITED ORDINARY SHARES CUSIP: Q6519T117 Symbol: NAKD							
06/17/2020	105.00	88.18	Various	103.81	15.63 D	0.00	Sale
06/22/2020	145.00	135.11	Various	130.26	10.21 D	15.06	Sale
07/15/2020	1,000.00	563.06	Various	669.23	106.17 D	0.00	Sale
07/24/2020	1,000.00	579.86	Various	645.27	54.68 D	-10.73	Sale
07/28/2020	100.00	63.30	Various	81.83	0.00	-18.53	Sale
07/28/2020	500.00	285.88	Various	345.95	0.00	-60.07	Sale
Security Totals:		1,715.39		1,976.35		-74.27	
***LITHIUM AMERICAS CORP COM CUSIP: 53680Q207 Symbol: LAC							
10/05/2020	9.00	149.56	10/01/2020	112.05	0.00	37.51	Sale
10/15/2020	13.00	159.88	Various	182.01	0.00	-22.13	Sale
10/19/2020	2.00	25.54	10/09/2020	28.26	0.00	-2.72	Sale
Security Totals:		334.98		322.32		12.66	
PUT PLTR 12/11/20 26 PALANTIR TECHNOLOGIES INC CL A CUSIP: Symbol: PLTR201211P00026000							
12/09/2020	1.00	49.90	12/09/2020	59.08	0.00	-9.18	Sell to Close
BARNWELL INDUSTRIES INC CUSIP: 068221100 Symbol: BRN							
06/23/2020	8.00	12.26	06/23/2020	12.36	0.00	-0.10	Sale
ACELRX PHARMACEUTICALS INC CUSIP: 00444T100 Symbol: ACRX							
05/27/2020	250.00	417.46	05/22/2020	382.50	0.00	34.96	Sale

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***IMMURON LIMITED AMERICAN DEPOSITARY SHARES CUSIP: 45254U101 Symbol: IMRN							
07/01/2020	25.00	186.23	Various	196.50	10.11 D	-0.16	Sale
07/21/2020	10.00	192.48	07/21/2020	242.11	0.00	-49.63	Sale
Security Totals:		378.71		438.61		-49.79	
BIO KEY INTERNATIONAL INC COMMON STOCK CUSIP: 09060C309 Symbol: BKYI							
06/10/2020	200.00	204.17	06/10/2020	232.00	0.00	-27.83	Sale
CARVER BANCORP INC CUSIP: 146875604 Symbol: CARV							
06/17/2020	10.00	188.58	06/17/2020	206.00	17.42 D	0.00	Sale
06/30/2020	50.00	418.48	Various	478.42	0.00	-59.94	Sale
08/04/2020	25.00	148.73	08/04/2020	150.75	0.00	-2.02	Sale
09/28/2020	7.00	50.52	09/25/2020	47.60	0.00	2.92	Sale
09/28/2020	32.00	255.98	09/25/2020	216.96	0.00	39.02	Sale
09/28/2020	47.00	347.78	09/25/2020	318.66	0.00	29.12	Sale
09/28/2020	61.00	442.05	Various	414.38	0.00	27.67	Sale
09/28/2020	100.00	656.97	Various	676.24	0.00	-19.27	Sale
Security Totals:		2,509.09		2,509.01		17.50	
***MIDATECH PHARMA PLC SPONSORED ADR NO PAR CUSIP: 59564R302 Symbol: MTP							
06/02/2020	100.00	149.98	Various	147.00	0.00	2.98	Sale
07/21/2020	10.00	52.18	07/21/2020	63.00	0.00	-10.82	Sale
07/21/2020	80.00	228.78	07/17/2020	122.40	0.00	106.38	Sale
07/21/2020	120.00	349.18	07/17/2020	183.60	0.00	165.58	Sale
Security Totals:		780.12		516.00		264.12	
SPAR GROUP INC CUSIP: 784933103 Symbol: SGRP							
07/30/2020	300.00	295.00	Various	281.23	0.00	13.77	Sale
08/10/2020	250.00	242.46	Various	245.71	0.00	-3.25	Sale
Security Totals:		537.46		526.94		10.52	
FORD MOTOR CO PAR \$0.01 CUSIP: 345370860 Symbol: F							
05/13/2020	20.00	95.78	05/11/2020	102.34	0.00	-6.56	Sale

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05/13/2020	30.00	143.98	05/11/2020	153.52	0.00	-9.54	Sale
Security Totals:		239.76		255.86		-16.10	
IFRESH INC	COMMON STOCK CUSIP: 449538107 Symbol: IFMK						
08/10/2020	35.00	34.98	08/10/2020	37.10	0.00	-2.12	Sale
CALL TSLA	09/25/20	550	TESLA INC CUSIP: Symbol: TSLA200925C00550000				
09/22/2020	1.00	229.89	09/22/2020	242.09	0.00	-12.20	Sell to Close
TRANSETERIX INC	COMMON STOCK CUSIP: 89366M300 Symbol: TRXC						
05/08/2020	100.00	40.10	05/06/2020	39.48	0.00	0.62	Sale
06/09/2020	500.00	489.92	06/05/2020	310.05	0.00	179.87	Sale
07/24/2020	15,000.00	5,098.09	Various	6,589.16	1236.54	-254.53	Sale D
07/27/2020	2,500.00	1,000.57	Various	1,702.78	0.00	-702.21	Sale
08/11/2020	750.00	350.98	Various	536.31	0.00	-185.33	Sale
08/24/2020	100.00	41.48	08/19/2020	65.55	0.00	-24.07	Sale
08/25/2020	400.00	163.98	Various	253.98	0.00	-90.00	Sale
10/07/2020	100.00	38.99	10/01/2020	34.50	0.00	4.49	Sale
10/07/2020	900.00	431.43	Various	318.00	0.00	113.43	Sale
10/13/2020	500.00	255.35	Various	193.62	0.00	61.73	Sale
10/14/2020	400.00	167.94	10/12/2020	142.00	0.00	25.94	Sale
10/19/2020	99.00	43.31	10/12/2020	35.15	0.00	8.16	Sale
10/20/2020	1.00	0.43	10/12/2020	0.35	0.00	0.08	Sale
Security Totals:		8,122.57		10,220.93		-861.82	
RIGNET INC	CUSIP: 766582100 Symbol: RNET						
07/23/2020	20.00	44.78	07/23/2020	49.00	0.00	-4.22	Sale
PENNSYLVANIA REAL ESTATE	INVESTMENT TRUST-SBI CUSIP: 709102107 Symbol: PEI						
06/26/2020	300.00	417.07	Various	415.89	0.00	1.18	Sale
ALLIED ESPORTS ENTERTAINMENT	INC COMMON STOCK CUSIP: 019170109 Symbol: AESE						
06/18/2020	50.00	134.48	06/17/2020	111.00	0.00	23.48	Sale
NINE ENERGY SERVICE INC	COMMON STOCK CUSIP: 65441V101 Symbol: NINE						
05/05/2020	24.00	28.78	Various	30.12	1.34	0.00	Sale D
05/08/2020	101.00	124.21	Various	105.87	0.00	18.34	Sale

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NINE ENERGY SERVICE INC COMMON STOCK CUSIP: 65441V101 Symbol: NINE							
07/15/2020	100.00	183.98	07/01/2020	205.00	10.51 D	-10.51	Sale
07/16/2020	50.00	96.48	Various	91.71	0.00	4.77	Sale
Security Totals:		433.45		432.70		12.60	
***DOUYU INTERNATIONAL HOLDINGS LIMITED ADS CUSIP: 25985W105 Symbol: DOYU							
07/31/2020	10.00	135.52	07/30/2020	130.80	0.00	4.72	Sale
MFA FINANCIAL INC CUSIP: 55272X102 Symbol: MFA							
04/14/2020	10.00	17.81	04/13/2020	20.60	2.79 D	0.00	Sale
04/29/2020	266.00	500.03	Various	459.17	7.02 D	47.88	Sale
05/05/2020	100.00	173.98	Various	184.02	10.04 D	0.00	Sale
05/14/2020	200.00	269.97	Various	326.04	2.21 D	-53.86	Sale
05/15/2020	4.00	6.10	Various	7.94	0.00	-1.84	Sale
Security Totals:		967.89		997.77		-7.82	
SONIM TECHNOLOGIES INC COMMON STOCK CUSIP: 83548F101 Symbol: SONIM							
05/14/2020	100.00	79.98	05/11/2020	100.50	20.52 D	0.00	Sale
05/21/2020	100.00	116.48	05/13/2020	99.78	0.00	16.70	Sale
Security Totals:		196.46		200.28		16.70	
HEPION PHARMACEUTICALS INC COMMON STOCK CUSIP: 426897104 Symbol: HEPA							
08/05/2020	100.00	553.97	Various	553.26	0.00	0.71	Sale
PUT AMRN 08/07/20 6 AMARIN CORP PLC CUSIP: Symbol: AMRN200807P00006000							
08/04/2020	1.00	1.89	08/03/2020	9.09	0.00	-7.20	Sell to Close
CALL SPXS 07/17/20 9 DIREXION DAILY S&P 500 BEAR 3X CUSIP: Symbol: SPXS200717C00009000							
06/24/2020	1.00	45.89	06/19/2020	54.09	0.00	-8.20	Sell to Close
CALL CRM 11/20/20 300 SALESFORCE.COM INC CUSIP: Symbol: CRM201120C00300000							
10/06/2020	1.00	374.90	10/06/2020	415.08	40.18 D	0.00	Sell to Close
10/07/2020	1.00	389.90	10/06/2020	375.26	0.00	14.64	Sell to Close
Security Totals:		764.80		790.34		14.64	
ADT INC COMMON STOCK CUSIP: 00090Q103 Symbol: ADT							
08/03/2020	25.00	386.23	Various	405.30	0.00	-19.07	Sale

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SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

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

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***SEANERGY MARITIME HOLDINGS CORP COMMON STOCK CUSIP: Y73760194 Symbol: SHIP							
07/28/2020	1,000.00	1,499.84	Various	1,794.50	275.88 D	-18.78	Sale
08/20/2020	750.00	357.73	Various	780.83	0.00	-423.10	Sale
Security Totals:		1,857.57		2,575.33		-441.88	
***GENETIC TECHNOLOGIES LTD SPONSORED ADR CUSIP: 37185R307 Symbol: GENE							
07/09/2020	100.00	238.98	07/06/2020	244.00	2.26 D	-2.76	Sale
07/29/2020	45.00	198.66	07/29/2020	192.84	0.00	5.82	Sale
Security Totals:		437.64		436.84		3.06	
CAMBER ENERGY INC COMMON STOCK CUSIP: 13200M508 Symbol: CEI							
06/26/2020	50.00	64.99	06/23/2020	73.00	1.6 D	-6.41	Sale
06/26/2020	10.00	12.58	06/24/2020	15.40	0.00	-2.82	Sale
Security Totals:		77.57		88.40		-9.23	
CUMULUS MEDIA INC CLASS A COMMON STOCK CUSIP: 231082801 Symbol: CMLS							
04/22/2020	10.00	35.38	04/20/2020	36.90	0.00	-1.52	Sale
04/24/2020	40.00	152.40	04/20/2020	147.60	0.00	4.80	Sale
Security Totals:		187.78		184.50		3.28	
INNERWORKINGS INC CUSIP: 45773Y105 Symbol: INWK							
07/01/2020	200.00	253.97	Various	264.37	0.00	-10.40	Sale
***MMTEC INC COMMON SHARES CUSIP: G6181K106 Symbol: MTC							
06/24/2020	500.00	740.32	Various	737.00	20.87 D	24.19	Sale
06/24/2020	500.00	720.32	Various	659.37	0.00	60.95	Sale
Security Totals:		1,460.64		1,396.37		85.14	
ELECTROCORE INC COMMON STOCK CUSIP: 28531P103 Symbol: ECOR							
07/30/2020	10.00	29.28	07/30/2020	22.00	0.00	7.28	Sale
07/30/2020	40.00	112.78	07/30/2020	88.00	0.00	24.78	Sale
Security Totals:		142.06		110.00		32.06	
CALL Z 12/11/20 120 ZILLOW GROUP INC CLASS C CUSIP: Symbol: Z201211C00120000							
12/09/2020	1.00	187.90	12/09/2020	155.08	0.00	32.82	Sell to Close
CALL XPEV 12/04/20 100 XPENG INC ADR CLASS A CUSIP: Symbol: XPEV201204C00100000							
12/04/2020	1.00	0.00	11/24/2020	193.08	0.00	-193.08	Expiration

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SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

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CALL PTON 10/16/20	110	PELTON INTERACTIVE INC CL A CUSIP: Symbol: PTON201016C00110000					
09/29/2020	2.00	649.81	Various	544.16	0.00	105.65	Sell to Close
CHF SOLUTIONS INC	COMMON STOCK CUSIP: 12542Q706 Symbol: CHFS						
07/22/2020	500.00	327.73	Various	322.40	0.00	5.33	Sale
10/01/2020	100.00	34.94	09/30/2020	30.00	0.00	4.94	Sale
10/01/2020	900.00	311.28	09/30/2020	270.00	0.00	41.28	Sale
Security Totals:		673.95		622.40		51.55	
CHF SOLUTIONS INC	COMMON STOCK CUSIP: 12542Q870 Symbol: CHFS						
11/30/2020	100.00	690.43	Various	650.50	0.00	39.93	Sale
CALL XPEV 12/24/20	47	XPENG INC ADR CLASS A CUSIP: Symbol: XPEV201224C00047000					
12/11/2020	1.00	217.90	12/11/2020	315.08	0.00	-97.18	Sell to Close
FASTLY INC	CLASS A COMMON STOCK CUSIP: 31188V100 Symbol: FSLY						
12/02/2020	25.00	1,940.19	11/12/2020	1,893.25	0.00	46.94	Sale
CLOUDFLARE INC	CLASS A COMMON STOCK PAR VALUE \$0.001 PER SHARE CUSIP: 18915M107 Symbol: NET						
05/12/2020	5.00	140.28	05/08/2020	133.48	0.00	6.80	Sale
***O2MICRO INTERNATIONAL	LIMITED AMERICAN DEPOSITARY SHARES CUSIP: 67107W100 Symbol: OIIM						
08/03/2020	50.00	161.48	08/03/2020	219.50	0.00	-58.02	Sale
***TANTECH HOLDINGS LTD	COM CUSIP: G8675X107 Symbol: TANH						
11/24/2020	200.00	437.97	11/20/2020	252.02	0.00	185.95	Sale
REMARK HOLDINGS INC	COMMON STOCK CUSIP: 75955K102 Symbol: MARK						
07/31/2020	150.00	258.72	Various	280.93	0.00	-22.21	Sale
10/07/2020	1,000.00	1,209.85	Various	1,180.00	0.00	29.85	Sale
Security Totals:		1,468.57		1,460.93		7.64	
CALL NIO 10/16/20	20.50	NIO INC ADS CUSIP: Symbol: NIO201016C00020500					
09/29/2020	2.00	499.81	09/29/2020	398.16	0.00	101.65	Sell to Close
09/30/2020	1.00	309.90	09/29/2020	199.08	0.00	110.82	Sell to Close
Security Totals:		809.71		597.24		212.47	
PIONEER POWER SOLUTIONS INC	CUSIP: 723836300 Symbol: PPSI						
10/06/2020	50.00	347.48	10/06/2020	272.50	0.00	74.98	Sale
10/06/2020	100.00	544.97	10/06/2020	640.00	0.00	-95.03	Sale

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SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

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PIONEER POWER SOLUTIONS INC CUSIP: 723836300 Symbol: PPSI							
10/06/2020	100.00	659.97	10/06/2020	623.00	0.00	36.97	Sale
10/06/2020	200.00	1,154.95	Various	816.50	0.00	338.45	Sale
Security Totals:		2,707.37		2,352.00		355.37	
***BORQS TECHNOLOGIES INC ORDINARY SHARES CUSIP: G1466B103 Symbol: BRQS							
07/15/2020	350.00	311.45	Various	566.00	45.51 D	-209.04	Sale
07/16/2020	50.00	46.99	07/14/2020	101.76	0.00	-54.77	Sale
Security Totals:		358.44		667.76		-263.81	
KOSS CORP CUSIP: 500692108 Symbol: KOSS							
06/17/2020	100.00	176.98	06/17/2020	178.00	0.00	-1.02	Sale
INVIVO THERAPEUTICS HOLDINGS CORP COMMON STOCK CUSIP: 46186M506 Symbol: NVIV							
11/30/2020	1,000.00	602.86	Various	577.45	0.00	25.41	Sale
12/24/2020	1,000.00	662.66	Various	620.30	0.00	42.36	Sale
Security Totals:		1,265.52		1,197.75		67.77	
SOLIGENIX INC COMMON STOCK CUSIP: 834223307 Symbol: SNGX							
07/28/2020	100.00	354.98	07/28/2020	295.00	0.00	59.98	Sale
XPRESSPA GROUP INC COMMON STOCK CUSIP: 98420U703 Symbol: XSPA							
06/24/2020	100.00	508.97	06/22/2020	490.00	0.00	18.97	Sale
06/26/2020	100.00	423.98	Various	423.00	0.00	0.98	Sale
Security Totals:		932.95		913.00		19.95	
GREENPRO CAPITAL CORP COMMON STOCK CUSIP: 39540F101 Symbol: GRNQ							
10/05/2020	100.00	231.98	10/05/2020	231.00	0.00	0.98	Sale
MODERNA INC COMMON STOCK CUSIP: 60770K107 Symbol: MRNA							
08/11/2020	10.00	681.37	Various	767.25	85.88 D	0.00	Sale
08/12/2020	10.00	699.87	Various	804.98	0.00	-105.11	Sale
Security Totals:		1,381.24		1,572.23		-105.11	
TATTOOED CHEF INC CLASS A COMMON STOCK CUSIP: 87663X102 Symbol: TTCF							
12/03/2020	50.00	787.47	11/23/2020	783.25	0.00	4.22	Sale
12/07/2020	50.00	802.97	11/23/2020	783.25	0.00	19.72	Sale
12/22/2020	20.00	496.37	12/14/2020	384.80	0.00	111.57	Sale

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SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

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TATTOOED CHEF INC CLASS A COMMON STOCK CUSIP: 87663X102 Symbol: TTCF							
12/22/2020	15.00	374.38	12/14/2020	288.60	0.00	85.78	Sale
12/23/2020	10.00	255.98	12/14/2020	192.40	0.00	63.58	Sale
12/23/2020	5.00	128.28	12/14/2020	96.20	0.00	32.08	Sale
Security Totals:		2,845.45		2,528.50		316.95	
LM FUNDING AMERICA INC COMMON STOCK CUSIP: 502074305 Symbol: LMFA							
06/22/2020	10.00	20.88	06/22/2020	15.50	0.00	5.38	Sale
APPLIED DNA SCIENCES INC COMMON STOCK CUSIP: 03815U300 Symbol: APDN							
06/22/2020	75.00	586.47	Various	553.25	0.00	33.22	Sale
06/22/2020	25.00	199.73	Various	183.72	0.00	16.01	Sale
06/25/2020	100.00	911.96	Various	761.00	0.00	150.96	Sale
07/17/2020	10.00	133.78	07/17/2020	130.20	0.00	3.58	Sale
Security Totals:		1,831.94		1,628.17		203.77	
HEAT BIOLOGICS INC COMMON STOCK CUSIP: 42237K300 Symbol: HTBX							
07/30/2020	100.00	246.98	07/28/2020	224.00	0.00	22.98	Sale
***TOP SHIPS INC COMMON STOCK CUSIP: Y8897Y164 Symbol: TOPS							
03/30/2020	100.00	39.63	03/30/2020	38.15	0.00	1.48	Sale
04/07/2020	500.00	159.93	Various	146.69	22.67 D	35.91	Sale
04/13/2020	600.00	164.02	Various	195.60	31.58 D	0.00	Sale
04/21/2020	200.00	58.35	Various	76.34	19.77 D	1.78	Sale
05/01/2020	1,000.00	215.77	Various	248.45	0.00	-32.68	Sale
Security Totals:		637.70		705.23		6.49	
PUT TWTR 06/26/20 28.50 TWITTER INC CUSIP: Symbol: TWTR200626P00028500							
06/26/2020	2.00	19.79	06/26/2020	30.19	0.00	-10.40	Sell to Close
CALL ZM 08/14/20 287.50 ZOOM VIDEO COMMUNICATIONS INC CUSIP: Symbol: ZM200814C00287500							
08/05/2020	1.00	519.88	08/05/2020	314.09	0.00	205.79	Sell to Close
ENOCHIAN BIOSCIENCES INC COMMON SHARES CUSIP: 29350E104 Symbol: ENOB							
06/26/2020	150.00	568.46	Various	567.88	0.00	0.58	Sale
***LIQUID MEDIA GROUP LTD COM NEW CUSIP: 53634Q204 Symbol: YVR							
06/17/2020	100.00	163.98	06/17/2020	164.00	0.02 D	0.00	Sale

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***LIQUID MEDIA GROUP LTD COM NEW CUSIP: 53634Q204 Symbol: YVR							
07/22/2020	200.00	333.97	Various	325.02	0.00	8.95	Sale
07/23/2020	20.00	49.18	07/23/2020	47.60	0.00	1.58	Sale
Security Totals:		547.13		536.62		10.53	
***FIVERR INTERNATIONAL LTD ORDINARY SHARES NO PAR VALUE CUSIP: M4R82T106 Symbol: FVRR							
11/13/2020	4.00	697.01	Various	528.36	0.00	168.65	Sale
12/02/2020	4.00	762.53	Various	651.67	0.00	110.86	Sale
Security Totals:		1,459.54		1,180.03		279.51	
***NATUZZI S P A AMERICAN DEPOSITARY SHARES ECH REPRESENTING FIVE ORDINARY SHS CUSIP: 63905A200 Symbol: NTZ							
07/17/2020	600.00	731.91	Various	735.13	39.02 D	35.80	Sale
07/24/2020	100.00	212.98	Various	288.02	0.00	-75.04	Sale
Security Totals:		944.89		1,023.15		-39.24	
CALL BB 12/11/20 10 BLACKBERRY LIMITED CUSIP: Symbol: BB201211C00010000							
12/07/2020	1.00	9.90	12/01/2020	58.08	0.00	-48.18	Sell to Close
CALL COOP 08/21/20 17.50 MR COOPER GROUP INC CUSIP: Symbol: COOP200821C00017500							
07/30/2020	1.00	49.89	07/30/2020	35.09	0.00	14.80	Sell to Close
TETRA TECHNOLOGIES INC-DEL CUSIP: 88162F105 Symbol: TTI							
05/04/2020	200.00	81.97	04/30/2020	72.00	0.00	9.97	Sale
05/13/2020	500.00	224.93	Various	234.68	9.75 D	0.00	Sale
06/10/2020	400.00	224.02	06/10/2020	194.80	0.00	29.22	Sale
06/10/2020	1,000.00	580.76	Various	496.75	0.00	84.01	Sale
06/12/2020	600.00	313.78	06/10/2020	292.20	0.00	21.58	Sale
Security Totals:		1,425.46		1,290.43		144.78	
ALTIMMUNE INC COMMON STOCK CUSIP: 02155H200 Symbol: ALT							
12/04/2020	50.00	642.47	11/30/2020	631.50	0.00	10.97	Sale
12/07/2020	100.00	1,250.96	Various	1,206.88	0.00	44.08	Sale
Security Totals:		1,893.43		1,838.38		55.05	
TREVENA INC CUSIP: 89532E109 Symbol: TRVN							
08/10/2020	20.00	67.58	08/10/2020	74.00	0.00	-6.42	Sale

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NEOPHOTONICS CORPORATION CUSIP: 64051T100 Symbol: NPTN							
05/19/2020	22.00	173.78	Various	165.16	0.00	8.62	Sale
LMP AUTOMOTIVE HOLDINGS INC COMMON STOCK CUSIP: 53952P101 Symbol: LMPX							
08/14/2020	100.00	968.96	Various	724.90	0.00	244.06	Sale
08/14/2020	227.00	2,133.72	Various	1,862.73	3.02 D	274.01	Sale
Security Totals:		3,102.68		2,587.63		518.07	
SECOND SIGHT MEDICAL PRODUCTS INC COMMON STOCK CUSIP: 81362J209 Symbol: EYES							
06/10/2020	200.00	247.97	06/08/2020	300.00	52.03 D	0.00	Sale
07/14/2020	200.00	166.17	07/06/2020	250.03	0.00	-83.86	Sale
Security Totals:		414.14		550.03		-83.86	
***COLOR STAR TECHNOLOGY CO LTD ORDINARY SHARES CUSIP: G2287A100 Symbol: HHT							
06/24/2020	100.00	101.98	06/16/2020	79.00	0.00	22.98	Sale
06/24/2020	150.00	142.47	06/16/2020	118.50	0.00	23.97	Sale
Security Totals:		244.45		197.50		46.95	
COCRYSTAL PHARMA INC COMMON STOCK CUSIP: 19188J300 Symbol: COCP							
06/16/2020	100.00	140.98	06/15/2020	138.00	0.00	2.98	Sale
06/22/2020	70.00	94.13	Various	90.00	0.00	4.13	Sale
Security Totals:		235.11		228.00		7.11	
CALL LB 12/18/20 45 L BRANDS INC CUSIP: Symbol: LB201218C00045000							
11/19/2020	5.00	244.58	Various	345.40	0.00	-100.82	Sell to Close
CALL SNAP 01/15/21 25 SNAP INC CUSIP: Symbol: SNAP210115C00025000							
08/12/2020	1.00	203.89	08/03/2020	180.09	0.00	23.80	Sell to Close
CHINA HGS REAL ESTATE INC CUSIP: 16948W100 Symbol: HGSH							
07/14/2020	200.00	147.97	07/09/2020	156.00	8.03 D	0.00	Sale
07/15/2020	200.00	149.97	07/13/2020	157.99	0.00	-8.02	Sale
Security Totals:		297.94		313.99		-8.02	
AIKIDO PHARMA INC COMMON STOCK CUSIP: 008875106 Symbol: AIKI							
06/11/2020	250.00	176.96	06/11/2020	177.50	0.00	-0.54	Sale
CALL NIO 01/15/21 50 NIO INC ADS CUSIP: Symbol: NIO210115C00050000							
12/15/2020	1.00	389.90	12/14/2020	305.08	0.00	84.82	Sell to Close

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APEX CLEARING

Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B*

OMB No. 1545-0715

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SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

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

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SG BLOCKS INC COMMON STOCK CUSIP: 78418A505 Symbol: SGBX							
06/16/2020	197.00	563.38	Various	534.28	0.00	29.10	Sale
06/17/2020	208.00	594.84	06/15/2020	538.72	0.00	56.12	Sale
06/22/2020	150.00	410.97	Various	448.50	0.00	-37.53	Sale
07/23/2020	50.00	149.73	07/23/2020	141.50	0.00	8.23	Sale
Security Totals:		1,718.92		1,663.00		55.92	
PARETEUM CORPORATION COMMON STOCK CUSIP: 69946T207 Symbol: TEUM							
06/03/2020	4,000.00	1,849.87	Various	1,840.60	3.31 D	12.58	Sale
06/11/2020	200.00	169.97	06/09/2020	247.31	77.34 D	0.00	Sale
07/13/2020	200.00	124.99	Various	202.47	0.00	-77.48	Sale
08/24/2020	100.00	57.39	08/19/2020	71.00	0.00	-13.61	Sale
Security Totals:		2,202.22		2,361.38		-78.51	
CALL TWLO 10/09/20 300 TWILIO INC CUSIP: Symbol: TWLO201009C00300000							
10/06/2020	1.00	481.89	10/06/2020	290.08	0.00	191.81	Sell to Close
CALL UPS 08/21/20 160 UNITED PARCEL SVC INC CUSIP: Symbol: UPS200821C00160000							
08/04/2020	5.00	124.53	Various	169.46	0.00	-44.93	Sell to Close
***ATLAS FINANCIAL HOLDINGS INC SHS CUSIP: G06207115 Symbol: AFH							
07/23/2020	200.00	119.17	07/23/2020	124.00	0.00	-4.83	Sale
FLUIDIGM CORPORATION CUSIP: 34385P108 Symbol: FLDM							
05/08/2020	50.00	189.48	05/06/2020	183.00	0.00	6.48	Sale
ESPORTS ENTERTAINMENT GROUP INC COMMON STOCK CUSIP: 29667K306 Symbol: GMBL							
06/18/2020	2.00	14.00	06/18/2020	13.54	0.00	0.46	Sale
07/31/2020	50.00	316.48	07/31/2020	322.00	0.00	-5.52	Sale
Security Totals:		330.48		335.54		-5.06	
IDEANOMICS INC COMMON STOCK CUSIP: 45166V106 Symbol: IDEX							
05/22/2020	200.00	83.85	05/22/2020	86.01	0.00	-2.16	Sale
05/22/2020	500.00	214.98	05/22/2020	225.00	4.01 D	-6.01	Sale
06/24/2020	100.00	292.48	Various	277.75	7.63 D	22.36	Sale
07/30/2020	400.00	633.93	Various	578.63	5.89 D	61.19	Sale

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IDEANOMICS INC COMMON STOCK CUSIP: 45166V106 Symbol: IDEX							
07/30/2020	100.00	145.98	Various	139.89	0.00	6.09	Sale
Security Totals:		1,371.22		1,307.28		81.47	
AYTU BIOSCIENCE INC COMMON STOCK CUSIP: 054754700 Symbol: AYTU							
04/16/2020	8.00	11.98	Various	12.29	0.31 D	0.00	Sale
04/16/2020	90.00	134.98	Various	130.44	0.87 D	5.41	Sale
04/24/2020	50.00	63.02	04/17/2020	70.50	0.00	-7.48	Sale
04/24/2020	50.00	63.98	Various	71.64	4.66 D	-3.00	Sale
04/27/2020	30.00	53.38	Various	43.63	0.00	9.75	Sale
07/14/2020	150.00	193.47	Various	230.10	0.00	-36.63	Sale
Security Totals:		520.81		558.60		-31.95	
U S WELL SERVICES INC CLASS A COMMON STOCK CUSIP: 91274U101 Symbol: USWS							
04/21/2020	300.00	144.25	Various	142.76	0.00	1.49	Sale
INOVIO PHARMACEUTICALS INC COM CUSIP: 45773H201 Symbol: INO							
04/09/2020	5.00	41.98	04/03/2020	38.90	0.00	3.08	Sale
09/29/2020	10.00	113.28	09/28/2020	122.30	0.00	-9.02	Sale
Security Totals:		155.26		161.20		-5.94	
***NANO DIMENSION LTD AMERICAN DEPOSITARY SHARES CUSIP: 63008G203 Symbol: NNDM							
03/30/2020	50.00	72.73	03/30/2020	56.25	0.00	16.48	Sale
04/20/2020	50.00	60.48	04/20/2020	62.50	2.02 D	0.00	Sale
04/29/2020	50.00	37.48	04/21/2020	54.52	0.00	-17.04	Sale
07/15/2020	500.00	932.41	Various	1,112.00	0.00	-179.59	Sale
10/12/2020	75.00	228.73	10/12/2020	202.42	0.00	26.31	Sale
10/13/2020	25.00	77.48	10/12/2020	67.47	0.00	10.01	Sale
Security Totals:		1,409.31		1,555.16		-143.83	
U S ENERGY CORP COMMON STOCK CUSIP: 911805307 Symbol: USEG							
09/30/2020	100.00	556.47	Various	628.68	0.00	-72.21	Sale
SENESTECH INC COMMON STOCK CUSIP: 81720R208 Symbol: SNES							
05/13/2020	14.00	34.14	05/11/2020	34.86	0.46 D	-0.26	Sale

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05/21/2020	9.00	13.75	Various	17.67	0.00	-3.92	Sale
Security Totals:		47.89		52.53		-4.18	
CALL SDC 01/15/21 15 SMILEDIRECTCLUB INC CL A CUSIP: Symbol: SDC210115C00015000							
12/07/2020	1.00	24.90	11/30/2020	57.08	0.00	-32.18	Sell to Close
***EROS STX GLOBAL CORPORATION A ORDINARY SHARES GBP 0.30 PAR VALUE CUSIP: G3788M114 Symbol: EROS							
04/22/2020	1.00	2.66	04/20/2020	4.12	1.46 D	0.00	Sale
04/22/2020	50.00	127.98	04/20/2020	205.75	77.77 D	0.00	Sale
04/29/2020	325.00	883.94	Various	1,070.80	70.81 D	-116.05	Sale
05/04/2020	50.00	121.13	Various	191.31	0.00	-70.18	Sale
10/07/2020	95.00	253.81	10/02/2020	236.55	0.00	17.26	Sale
10/08/2020	5.00	13.43	10/02/2020	12.45	0.00	0.98	Sale
Security Totals:		1,402.95		1,720.98		-167.99	
ARTELO BIOSCIENCES INC COMMON STOCK CUSIP: 04301G201 Symbol: ARTL							
11/20/2020	250.00	184.96	11/18/2020	136.50	0.00	48.46	Sale
CALL Z 08/21/20 75 ZILLOW GROUP INC CLASS C CUSIP: Symbol: Z200821C00075000							
07/22/2020	1.00	289.89	07/21/2020	244.09	0.00	45.80	Sell to Close
TELIGENT INC COMMON STOCK CUSIP: 87960W203 Symbol: TLGT							
06/16/2020	25.00	76.73	06/15/2020	70.63	0.00	6.10	Sale
07/24/2020	150.00	346.47	07/20/2020	369.75	0.00	-23.28	Sale
10/08/2020	1,000.00	710.06	10/02/2020	718.92	6.21 D	-2.65	Sale
10/19/2020	700.00	486.61	Various	480.76	0.00	5.85	Sale
11/27/2020	500.00	270.78	11/20/2020	287.50	0.00	-16.72	Sale
Security Totals:		1,890.65		1,927.56		-30.70	
SUMMIT WIRELESS TECHNOLOGIES INC COMMON STOCK CUSIP: 86633R203 Symbol: WISA							
06/01/2020	50.00	119.98	05/27/2020	119.25	0.00	0.73	Sale
06/15/2020	1.00	2.13	06/12/2020	2.21	0.00	-0.08	Sale
07/22/2020	100.00	262.98	07/17/2020	236.50	0.00	26.48	Sale
Security Totals:		385.09		357.96		27.13	

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2020 Form 1099-B*

OMB No. 1545-0715

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SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

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ASTRONOVA INC COMMON STOCK CUSIP: 04638F108 Symbol: ALOT							
07/14/2020	40.00	270.58	Various	306.58	0.00	-36.00	Sale
CALL AAPL 10/02/20 115 APPLE INC ADJ 4:1 STOCK SPLIT CUSIP: Symbol: AAPL201002C00115000							
09/23/2020	1.00	164.89	09/23/2020	152.09	0.00	12.80	Sell to Close
CALL IMMU 08/21/20 40 IMMUNOMEDICS INC CUSIP: Symbol: IMMU200821C00040000							
07/06/2020	1.00	319.89	06/19/2020	195.09	0.00	124.80	Sell to Close
***YATRA ONLINE INC ORDINARY SHARES CUSIP: G98338109 Symbol: YTRA							
07/01/2020	500.00	334.43	Various	372.05	0.00	-37.62	Sale
TRACON PHARMACEUTICALS INC COMMON STOCK CUSIP: 89237H209 Symbol: TCON							
11/16/2020	50.00	383.48	11/12/2020	336.00	0.00	47.48	Sale
11/19/2020	50.00	419.98	11/18/2020	370.00	0.00	49.98	Sale
Security Totals:		803.46		706.00		97.46	
VIKING THERAPEUTICS INC COMMON STOCK CUSIP: 92686J106 Symbol: VKTX							
05/05/2020	100.00	656.97	Various	588.74	0.00	68.23	Sale
BIOCEPT INC COMMON STOCK CUSIP: 09072V402 Symbol: BIOC							
04/28/2020	700.00	284.67	Various	283.98	11.17 D	11.86	Sale
05/08/2020	100.00	41.60	05/06/2020	44.53	2.93 D	0.00	Sale
06/03/2020	800.00	342.71	Various	361.75	6.7 D	-12.34	Sale
06/18/2020	100.00	73.98	06/16/2020	76.90	0.00	-2.92	Sale
07/30/2020	500.00	391.93	07/30/2020	362.50	0.00	29.43	Sale
Security Totals:		1,134.89		1,129.66		26.03	
AG MORTGAGE INVESTMENT TRUST INC CUSIP: 001228105 Symbol: MITT							
05/05/2020	214.00	652.65	Various	710.92	61.54 D	3.27	Sale
05/13/2020	100.00	206.98	Various	287.39	27.64 D	-52.77	Sale
05/13/2020	50.00	103.73	Various	97.26	0.00	6.47	Sale
05/13/2020	100.00	206.98	Various	333.62	126.64 D	0.00	Sale
05/14/2020	50.00	97.98	Various	159.50	0.00	-61.52	Sale
Security Totals:		1,268.32		1,588.69		-104.55	
T2 BIOSYSTEMS INC COM CUSIP: 89853L104 Symbol: TTOO							
07/13/2020	250.00	329.96	Various	355.48	10.51 D	-15.01	Sale

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T2 BIOSYSTEMS INC COM CUSIP: 89853L104 Symbol: TTOO							
07/13/2020	43.00	63.62	07/01/2020	65.79	2.17 D	0.00	Sale
07/15/2020	50.00	74.98	Various	76.59	0.00	-1.61	Sale
Security Totals:		468.56		497.86		-16.62	
***ALIBABA GROUP HOLDING LTD SPONSORED ADR CUSIP: 01609W102 Symbol: BABA							
10/09/2020	2.00	599.97	10/01/2020	579.72	0.00	20.25	Sale
12/02/2020	5.00	1,302.46	11/13/2020	1,303.00	0.22 D	-0.32	Sale
12/31/2020	2.00	469.33	12/24/2020	435.97	0.00	33.36	Sale
Security Totals:		2,371.76		2,318.69		53.29	
NTN BUZZTIME INC COM CUSIP: 629410606 Symbol: NTN							
06/23/2020	50.00	107.49	06/23/2020	122.00	0.00	-14.51	Sale
OPKO HEALTH INC CUSIP: 68375N103 Symbol: OPK							
07/21/2020	20.00	114.78	07/21/2020	116.00	0.00	-1.22	Sale
***NABRIVA THERAPEUTICS PLC ORDINARY SHARES CUSIP: G63637105 Symbol: NBRV							
06/04/2020	600.00	472.17	Various	487.81	17.22 D	1.58	Sale
06/05/2020	400.00	323.94	Various	319.62	0.00	4.32	Sale
Security Totals:		796.11		807.43		5.90	
LAREDO PETROLEUM INC CUSIP: 516806106 Symbol: LPI							
05/04/2020	200.00	192.01	04/30/2020	190.20	0.00	1.81	Sale
05/08/2020	100.00	100.23	05/06/2020	93.68	0.00	6.55	Sale
05/26/2020	500.00	470.07	Various	461.54	6.05 D	14.58	Sale
06/01/2020	200.00	179.97	05/27/2020	185.05	0.00	-5.08	Sale
Security Totals:		942.28		930.47		17.86	
MINERVA NEUROSCIENCES INC COM CUSIP: 603380106 Symbol: NERV							
06/17/2020	300.00	1,124.93	Various	1,094.38	0.00	30.55	Sale
CALL AAPL 08/07/20 450 APPLE INC CUSIP: Symbol: AAPL200807C00450000							
07/31/2020	1.00	50.89	07/30/2020	31.09	0.00	19.80	Sell to Close
SINTX TECHNOLOGIES INC COMMON STOCK CUSIP: 829392307 Symbol: SINT							
07/30/2020	100.00	208.04	07/24/2020	246.00	0.00	-37.96	Sale

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***NIO INC AMERICAN DEPOSITARY SHARES ECH RPRSNTNG ONE CL A ORD SHARE CUSIP: 62914V106 Symbol: NIO							
06/25/2020	35.00	247.43	Various	247.10	0.00	0.33	Sale
11/13/2020	5.00	259.53	11/10/2020	208.74	0.00	50.79	Sale
11/17/2020	5.00	228.68	11/13/2020	228.10	0.00	0.58	Sale
12/07/2020	65.00	2,951.67	Various	2,833.31	0.42 D	118.78	Sale
Security Totals:		3,687.31		3,517.25		170.48	
CALL SONO 07/17/20 15 SONOS INC CUSIP: Symbol: SONO200717C00015000							
06/22/2020	3.00	284.70	06/22/2020	210.28	0.00	74.42	Sell to Close
06/22/2020	2.00	287.79	06/22/2020	140.18	0.00	147.61	Sell to Close
Security Totals:		572.49		350.46		222.03	
***CHINA RAPID FINANCE LIMITED AMERICAN DEPOSITARY SHRS ECH RPRSNTNG TEN CL A ORD SHS CUSIP: 16953Q204 Symbol: XRF							
06/23/2020	25.00	76.73	06/23/2020	68.75	0.00	7.98	Sale
06/23/2020	75.00	236.98	06/23/2020	206.25	0.00	30.73	Sale
07/01/2020	100.00	282.98	Various	310.40	0.00	-27.42	Sale
Security Totals:		596.69		585.40		11.29	
CPS TECHNOLOGIES CORP CUSIP: 12619F104 Symbol: CPSH							
10/06/2020	100.00	187.98	10/06/2020	189.00	0.00	-1.02	Sale
HOUSTON AMERN ENERGY CORP COMMON STOCK CUSIP: 44183U209 Symbol: HUSA							
09/29/2020	25.00	101.48	09/29/2020	105.76	0.00	-4.28	Sale
09/29/2020	50.00	205.73	09/29/2020	205.51	0.00	0.22	Sale
09/29/2020	100.00	388.98	09/29/2020	403.00	10.52 D	-3.50	Sale
Security Totals:		696.19		714.27		-7.56	
DPW HOLDINGS INC COMMON STOCK CUSIP: 26140E600 Symbol: DPW							
07/31/2020	50.00	148.73	07/28/2020	139.01	0.00	9.72	Sale
07/31/2020	150.00	412.47	Various	417.00	13.02 D	8.49	Sale
08/03/2020	50.00	178.98	08/03/2020	205.51	26.53 D	0.00	Sale
08/03/2020	50.00	144.98	08/03/2020	186.33	0.00	-41.35	Sale
Security Totals:		885.16		947.85		-23.14	

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2020 Form 1099-B*

OMB No. 1545-0715

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02/23/2021

SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

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

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WESTWATER RESOURCES INC COMMON STOCK CUSIP: 961684206 Symbol: WWR							
10/12/2020	100.00	752.97	10/09/2020	731.00	0.00	21.97	Sale
11/16/2020	100.00	501.97	11/16/2020	451.00	0.00	50.97	Sale
Security Totals:		1,254.94		1,182.00		72.94	
NOVAN INC COM CUSIP: 66988N106 Symbol: NOVN							
06/25/2020	200.00	120.01	06/23/2020	102.80	0.00	17.21	Sale
CALL TSLA 09/25/20 500 TESLA INC ADJ 5:1 STOCK SPLIT CUSIP: Symbol: TSLA200925C00500000							
09/23/2020	5.00	129.53	09/23/2020	165.45	0.00	-35.92	Sell to Close
IZEA WORLDWIDE INC COMMON STOCK CUSIP: 46604H105 Symbol: IZEA							
04/22/2020	200.00	37.47	04/20/2020	40.00	1.26 D	-1.27	Sale
04/23/2020	100.00	20.75	04/21/2020	19.67	0.00	1.08	Sale
05/29/2020	250.00	152.46	05/27/2020	146.88	0.00	5.58	Sale
07/09/2020	180.00	189.87	Various	195.52	0.00	-5.65	Sale
Security Totals:		400.55		402.07		-0.26	
***SPI ENERGY CO LTD ORDINARY SHARES CUSIP: G8651P110 Symbol: SPI							
10/05/2020	25.00	169.22	10/01/2020	143.75	0.00	25.47	Sale
10/06/2020	20.00	157.98	10/01/2020	115.00	0.00	42.98	Sale
10/14/2020	25.00	185.98	Various	181.35	3.82 D	8.45	Sale
10/15/2020	4.00	37.18	10/12/2020	28.20	0.00	8.98	Sale
10/15/2020	20.00	167.98	Various	152.01	0.00	15.97	Sale
10/20/2020	4.00	34.86	Various	32.19	0.00	2.67	Sale
Security Totals:		753.20		652.50		104.52	
CALL NVDA 07/17/20 420 NVIDIA CORP CUSIP: Symbol: NVDA200717C00420000							
07/17/2020	2.00	19.79	Various	56.18	17.19 D	-19.20	Sell to Close
07/17/2020	1.00	7.89	07/17/2020	23.28	0.00	-15.39	Sell to Close
Security Totals:		27.68		79.46		-34.59	
CALL FB 09/25/20 255 FACEBOOK INC CL A CUSIP: Symbol: FB200925C00255000							
09/22/2020	4.00	1,175.60	Various	1,173.36	0.00	2.24	Sell to Close
CALL NKE 12/24/20 150 NIKE INC CLASS B CUSIP: Symbol: NKE201224C00150000							
12/22/2020	1.00	6.90	12/21/2020	49.08	0.00	-42.18	Sell to Close

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SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

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CALL BBY 01/15/21 26 BED BATH & BEYOND INC CUSIP: Symbol: BBY210115C00026000							
12/07/2020	2.00	117.82	Various	250.16	0.00	-132.34	Sell to Close
***EDESA BIOTECH INC COM CUSIP: 27966L108 Symbol: EDSA							
07/30/2020	10.00	119.88	07/30/2020	102.50	0.00	17.38	Sale
BOXLIGHT CORPORATION CLASS A COMMON STOCK CUSIP: 103197109 Symbol: BOXL							
09/29/2020	100.00	160.98	09/28/2020	159.50	0.00	1.48	Sale
10/06/2020	100.00	195.98	10/05/2020	206.00	0.00	-10.02	Sale
Security Totals:		356.96		365.50		-8.54	
NUTANIX INC CL A CUSIP: 67059N108 Symbol: NTN							
10/09/2020	10.00	232.58	Various	229.41	0.00	3.17	Sale
TPG RE FINANCE TRUST INC COMMON STOCK CUSIP: 87266M107 Symbol: TRTX							
04/29/2020	193.00	1,538.15	Various	1,052.98	0.00	485.17	Sale
05/05/2020	150.00	1,177.45	Various	1,166.69	22.52 D	33.28	Sale
05/06/2020	120.00	909.56	Various	869.79	0.00	39.77	Sale
05/08/2020	101.00	749.39	Various	712.00	0.00	37.39	Sale
05/19/2020	300.00	2,030.91	Various	1,885.53	14.01 D	159.39	Sale
05/21/2020	33.00	230.32	Various	187.37	0.00	42.95	Sale
05/22/2020	50.00	356.48	05/22/2020	346.50	0.00	9.98	Sale
05/27/2020	50.00	384.23	05/22/2020	346.50	0.00	37.73	Sale
07/13/2020	100.00	776.97	Various	770.70	0.00	6.27	Sale
Security Totals:		8,153.46		7,338.06		851.93	
CALL FSLR 01/15/21 95 FIRST SOLAR INC CUSIP: Symbol: FSLR210115C00095000							
12/15/2020	1.00	281.90	12/14/2020	244.08	0.00	37.82	Sell to Close
EKSO BIONICS HOLDINGS INC COMMON STOCK CUSIP: 282644301 Symbol: EKSO							
07/09/2020	25.00	184.98	07/06/2020	183.75	0.00	1.23	Sale
ACTINIUM PHARMACEUTICALS INC CUSIP: 00507W107 Symbol: ATNM							
06/10/2020	1,000.00	550.34	06/08/2020	330.00	0.00	220.34	Sale
06/22/2020	2,000.00	849.34	Various	822.20	35.33 D	62.47	Sale
07/07/2020	2,500.00	927.17	Various	942.43	13.62 D	-1.64	Sale

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2020 Form 1099-B*

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SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

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ACTINIUM PHARMACEUTICALS INC CUSIP: 00507W107 Symbol: ATNM							
08/10/2020	250.00	104.96	08/05/2020	124.62	0.00	-19.66	Sale
Security Totals:		2,431.81		2,219.25		261.51	
FUBOTV INC COMMON STOCK CUSIP: 35953D104 Symbol: FUBO							
11/23/2020	10.00	272.32	11/19/2020	223.00	0.00	49.32	Sale
11/23/2020	10.00	257.98	11/19/2020	223.00	0.00	34.98	Sale
11/27/2020	3.00	81.49	11/24/2020	74.49	0.00	7.00	Sale
Security Totals:		611.79		520.49		91.30	
PUT BLNK 12/24/20 35 BLINK CHARGING CO CUSIP: Symbol: BLNK201224P00035000							
12/24/2020	2.00	0.00	12/22/2020	40.16	0.00	-40.16	Expiration
***INTEGRATED MEDIA TECHNOLOGY LIMITED ORDINARY SHARES CUSIP: Q49376108 Symbol: IMTE							
07/23/2020	3.00	10.75	07/22/2020	10.65	0.00	0.10	Sale
07/28/2020	7.00	24.55	Various	24.97	0.42 D	0.00	Sale
08/07/2020	90.00	391.48	Various	321.72	0.00	69.76	Sale
08/12/2020	50.00	195.98	Various	198.50	6.02 D	3.50	Sale
08/13/2020	50.00	206.48	Various	202.02	0.00	4.46	Sale
08/27/2020	300.00	1,001.93	Various	1,113.50	45.02 D	-66.55	Sale
09/02/2020	100.00	371.98	Various	389.52	0.00	-17.54	Sale
11/27/2020	100.00	448.98	11/20/2020	488.80	0.00	-39.82	Sale
Security Totals:		2,652.13		2,749.68		-46.09	
CHIASMA INC COM CUSIP: 16706W102 Symbol: CHMA							
07/15/2020	200.00	865.96	Various	1,089.24	0.00	-223.28	Sale
***INFLARX N V COMMON STOCK CUSIP: N44821101 Symbol: IFRX							
07/21/2020	50.00	261.98	07/21/2020	292.50	0.00	-30.52	Sale
CALL PLAY 11/20/20 25 DAVE & BUSTERS ENTERTAINMENT CUSIP: Symbol: PLAY201120C00025000							
11/18/2020	1.00	78.90	11/16/2020	64.08	0.00	14.82	Sell to Close
ACHIEVE LIFE SCIENCES INC COMMON SHARES CUSIP: 004468500 Symbol: ACHV							
07/31/2020	45.00	602.52	Various	764.50	0.00	-161.98	Sale
***CHINA SXT PHARMACEUTICALS INC ORDINARY SHARES CUSIP: G2161P108 Symbol: SXTC							
06/26/2020	500.00	270.93	Various	247.01	0.00	23.92	Sale

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2020 Form 1099-B*

OMB No. 1545-0715

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SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

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***CHINA SXT PHARMACEUTICALS INC ORDINARY SHARES CUSIP: G2161P108 Symbol: SXTC							
07/07/2020	50.00	29.98	07/06/2020	28.00	0.00	1.98	Sale
07/07/2020	200.00	114.97	07/06/2020	112.00	0.00	2.97	Sale
08/25/2020	500.00	162.48	08/19/2020	191.65	26.25 D	-2.92	Sale
08/26/2020	450.00	149.90	08/24/2020	173.76	0.00	-23.86	Sale
Security Totals:		728.26		752.42		2.09	
CALL JD 09/04/20 70 JD.COM INC CUSIP: Symbol: JD200904C00070000							
08/18/2020	3.00	836.70	Various	561.27	0.00	275.43	Sell to Close
08/19/2020	2.00	679.79	08/17/2020	196.18	0.00	483.61	Sell to Close
Security Totals:		1,516.49		757.45		759.04	
AMERICAN AIRLINES GROUP INC CUSIP: 02376R102 Symbol: AAL							
05/08/2020	50.00	490.97	05/05/2020	493.75	0.00	-2.78	Sale
***KBS FASHION GROUP LIMITED COMMON STOCK CUSIP: Y46002203 Symbol: KBSF							
06/12/2020	24.00	116.14	06/12/2020	124.56	0.00	-8.42	Sale
CALL DIS 12/18/20 200 WALT DISNEY CO CUSIP: Symbol: DIS201218C00200000							
12/16/2020	16.00	30.67	Various	412.29	0.00	-381.62	Sell to Close
***NORTHERN DYNASTY MINERALS LTD CUSIP: 66510M204 Symbol: NAK							
08/17/2020	1,700.00	2,863.04	Various	2,739.66	0.00	123.38	Sale
12/02/2020	500.00	171.42	Various	203.68	0.00	-32.26	Sale
Security Totals:		3,034.46		2,943.34		91.12	
REGIONS FINANCIAL CORP CUSIP: 7591EP100 Symbol: RF							
07/13/2020	5.00	52.84	Various	52.57	0.00	0.27	Sale
08/25/2020	3.00	34.54	Various	32.91	0.00	1.63	Sale
Security Totals:		87.38		85.48		1.90	
DISCOVER FINANCIAL SERVICES CUSIP: 254709108 Symbol: DFS							
04/21/2020	1.00	34.27	04/20/2020	33.75	0.00	0.52	Sale
04/21/2020	9.00	309.85	04/20/2020	303.75	0.00	6.10	Sale
05/04/2020	5.00	200.18	04/30/2020	210.00	0.00	-9.82	Sale
Security Totals:		544.30		547.50		-3.20	

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ATHERSYS INC CUSIP: 04744L106 Symbol: ATHX							
08/06/2020	100.00	262.98	07/29/2020	262.81	0.00	0.17	Sale
10/07/2020	250.00	487.45	09/29/2020	507.00	0.00	-19.55	Sale
Security Totals:		750.43		769.81		-19.38	
***ALTERITY THERAPEUTICS LIMITED AMERICAN DEPOSITARY SHARES CUSIP: 02155X106 Symbol: ATHE							
05/21/2020	200.00	159.97	05/21/2020	166.60	0.00	-6.63	Sale
APPLE INC CUSIP: 037833100 Symbol: AAPL							
11/30/2020	10.00	1,208.56	11/27/2020	1,168.60	0.00	39.96	Sale
***APTORUM GROUP LIMITED CLASS A ORDINARY SHARES CUSIP: G6096M106 Symbol: APM							
09/29/2020	50.00	394.98	09/29/2020	417.50	22.52 D	0.00	Sale
09/29/2020	52.00	374.38	Various	441.99	0.00	-67.61	Sale
Security Totals:		769.36		859.49		-67.61	
CALL AAPL 09/25/20 115 APPLE INC ADJ 4:1 STOCK SPLIT CUSIP: Symbol: AAPL200925C00115000							
09/22/2020	2.00	151.80	Various	116.18	0.00	35.62	Sell to Close
***ECMOHO LIMITED AMERICAN DEPOSITARY SHARES CUSIP: 27888P104 Symbol: MOHO							
07/09/2020	150.00	353.97	Various	373.17	14.68 D	-4.52	Sale
07/13/2020	50.00	115.98	Various	132.43	0.00	-16.45	Sale
Security Totals:		469.95		505.60		-20.97	
NEW RESIDENTIAL INVESTMENT CORP CUSIP: 64828T201 Symbol: NRZ							
04/21/2020	19.00	99.54	Various	94.44	0.00	5.10	Sale
SOLID BIOSCIENCES INC COMMON STOCK CUSIP: 83422E105 Symbol: SLDB							
10/01/2020	50.00	232.48	10/01/2020	251.01	3.71 D	-14.82	Sale
10/01/2020	60.00	256.18	Various	287.61	0.00	-31.43	Sale
10/01/2020	400.00	1,851.90	Various	1,810.00	26.02 D	67.92	Sale
Security Totals:		2,340.56		2,348.62		21.67	
TONIX PHARMACEUTICALS HOLDING CORP COMMON STOCK CUSIP: 890260706 Symbol: TNXP							
06/17/2020	250.00	159.96	06/15/2020	153.50	0.00	6.46	Sale
07/08/2020	500.00	328.03	06/24/2020	302.02	0.00	26.01	Sale
07/08/2020	3,000.00	1,964.59	Various	1,917.80	10.14 D	56.93	Sale
07/09/2020	500.00	316.63	06/24/2020	297.02	0.00	19.61	Sale

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TONIX PHARMACEUTICALS HOLDING CORP COMMON STOCK CUSIP: 890260706 Symbol: TNXP							
07/20/2020	100.00	124.98	07/16/2020	64.50	0.00	60.48	Sale
07/20/2020	100.00	116.98	07/16/2020	64.50	0.00	52.48	Sale
Security Totals:		3,011.17		2,799.34		221.97	
CURIS INC COMMON STOCK CUSIP: 231269200 Symbol: CRIS							
06/23/2020	200.00	273.97	Various	272.45	0.00	1.52	Sale
***PACIFIC DRILLING S A ORDINARY SHARES PAR \$0.01 CUSIP: L7257P205 Symbol: PACD							
10/15/2020	500.00	127.48	10/12/2020	140.90	0.00	-13.42	Sale
SONNET BIOTHERAPEUTICS HOLDINGS INC COMMON STOCK CUSIP: 83548R105 Symbol: SONN							
06/24/2020	150.00	577.46	06/22/2020	570.00	0.00	7.46	Sale
CHINA JO-JO DRUGSTORES INC CUSIP: 16949A206 Symbol: CJJD							
06/24/2020	50.00	96.99	06/23/2020	93.25	0.00	3.74	Sale
TARONIS TECHNOLOGIES INC COMMON STOCK CUSIP: 876214206 Symbol: TRNX							
04/27/2020	241.00	72.81	Various	64.36	0.00	8.45	Sale
05/01/2020	100.00	20.47	04/29/2020	26.01	5.54 D	0.00	Sale
05/04/2020	400.00	56.38	Various	81.18	0.00	-24.80	Sale
Security Totals:		149.66		171.55		-16.35	
***SCHLUMBERGER LTD CUSIP: 806857108 Symbol: SLB							
04/21/2020	2.00	30.10	Various	29.82	0.00	0.28	Sale
LEXICON PHARMACEUTICALS INC COM CUSIP: 528872302 Symbol: LXRX							
07/21/2020	50.00	105.57	07/21/2020	122.50	16.93 D	0.00	Sale
07/30/2020	200.00	507.96	Various	519.93	0.00	-11.97	Sale
Security Totals:		613.53		642.43		-11.97	
BIOHITECH GLOBAL INC COMMON STOCK CUSIP: 09074B107 Symbol: BHTG							
07/09/2020	200.00	408.17	07/07/2020	370.00	0.00	38.17	Sale
07/13/2020	85.00	162.33	Various	166.65	0.00	-4.32	Sale
Security Totals:		570.50		536.65		33.85	
DOLPHIN ENTERTAINMENT INC COMMON STOCK CUSIP: 25686H100 Symbol: DLPN							
06/26/2020	100.00	89.98	06/19/2020	106.00	16.02 D	0.00	Sale
07/01/2020	150.00	134.73	Various	165.54	30.81 D	0.00	Sale

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SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

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DOLPHIN ENTERTAINMENT INC COMMON STOCK CUSIP: 25686H100 Symbol: DLPN							
07/08/2020	200.00	205.97	Various	228.91	0.00	-22.94	Sale
Security Totals:		430.68		500.45		-22.94	
***BELLUS HEALTH INC COM CUSIP: 07987C204 Symbol: BLU							
07/14/2020	1.00	2.49	07/09/2020	3.05	0.56 D	0.00	Sale
08/20/2020	250.00	671.20	Various	762.36	18.26 D	-72.90	Sale
08/24/2020	150.00	384.72	Various	399.12	0.00	-14.40	Sale
Security Totals:		1,058.41		1,164.53		-87.30	
SHILOH INDUSTRIES INC COMMON STOCK CUSIP: 824543102 Symbol: SHLO							
07/06/2020	150.00	332.97	07/06/2020	270.00	0.00	62.97	Sale
07/13/2020	200.00	419.97	07/09/2020	378.00	0.00	41.97	Sale
Security Totals:		752.94		648.00		104.94	
AETHLON MEDICAL INC COMMON STOCK CUSIP: 00808Y307 Symbol: AEMD							
06/18/2020	500.00	1,484.90	Various	1,444.00	0.00	40.90	Sale
GENIUS BRANDS INTERNATIONAL INC COMMON STOCK CUSIP: 37229T301 Symbol: GNUS							
06/11/2020	225.00	713.20	06/11/2020	705.70	0.00	7.50	Sale
06/11/2020	25.00	79.48	06/11/2020	78.41	0.00	1.07	Sale
06/15/2020	100.00	445.98	06/12/2020	376.00	0.00	69.98	Sale
06/16/2020	400.00	1,555.91	06/12/2020	1,660.00	51.53 D	-52.56	Sale
06/23/2020	98.00	278.30	Various	278.79	0.00	-0.49	Sale
07/02/2020	100.00	283.98	06/30/2020	253.52	0.00	30.46	Sale
08/03/2020	100.00	176.98	07/27/2020	179.50	2.52 D	0.00	Sale
08/04/2020	100.00	168.48	07/31/2020	154.52	0.00	13.96	Sale
Security Totals:		3,702.31		3,686.44		69.92	
CALL CLNE 06/18/21 10 CLEAN ENERGY FUELS CORP CUSIP: Symbol: CLNE210618C00010000							
12/22/2020	1.00	125.90	12/18/2020	53.08	0.00	72.82	Sell to Close
PALANTIR TECHNOLOGIES INC CLASS A COMMON STOCK CUSIP: 69608A108 Symbol: PLTR							
10/21/2020	100.00	928.96	Various	938.70	0.00	-9.74	Sale

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2020 Form 1099-B*

OMB No. 1545-0715

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12/09/2020	29.00	805.01	12/07/2020	803.01	0.00	2.00	Sale
Security Totals:		1,733.97		1,741.71		-7.74	
SONOMA PHARMACEUTICALS INC COMMON STOCK CUSIP: 83558L204 Symbol: SNOA							
07/29/2020	20.00	225.18	07/29/2020	228.40	0.00	-3.22	Sale
HOTH THERAPEUTICS INC COMMON STOCK CUSIP: 44148G105 Symbol: HOTH							
06/18/2020	50.00	130.98	06/17/2020	135.50	0.00	-4.52	Sale
08/10/2020	104.00	361.90	Various	397.90	0.00	-36.00	Sale
Security Totals:		492.88		533.40		-40.52	
CALL PTON 10/02/20 100 PELOTON INTERACTIVE INC CL A CUSIP: Symbol: PTON201002C00100000							
09/21/2020	2.00	819.79	Various	582.18	0.00	237.61	Sell to Close
ONEOK INC CUSIP: 682680103 Symbol: OKE							
07/21/2020	10.00	295.58	07/17/2020	286.70	0.00	8.88	Sale
***ITERUM THERAPEUTICS PLC ORDINARY SHARE CUSIP: G6333L101 Symbol: ITRM							
06/26/2020	200.00	307.97	06/26/2020	306.00	0.00	1.97	Sale
07/17/2020	1,000.00	1,079.85	Various	1,101.50	47.15 D	25.50	Sale
07/17/2020	1,100.00	1,209.84	Various	1,340.46	144.61 D	13.99	Sale
08/12/2020	500.00	435.23	Various	604.65	0.00	-169.42	Sale
09/30/2020	100.00	166.98	09/30/2020	174.00	7.02 D	0.00	Sale
09/30/2020	150.00	219.14	Various	231.52	0.00	-12.38	Sale
09/30/2020	100.00	198.98	09/30/2020	180.00	0.00	18.98	Sale
Security Totals:		3,617.99		3,938.13		-121.36	
SALARIUS PHARMACEUTICALS INC COMMON STOCK CUSIP: 79400X107 Symbol: SLRX							
08/05/2020	100.00	121.48	08/05/2020	117.00	0.00	4.48	Sale
10/14/2020	150.00	133.47	10/12/2020	127.50	0.00	5.97	Sale
Security Totals:		254.95		244.50		10.45	
BLINK CHARGING CO COMMON STOCK CUSIP: 09354A100 Symbol: BLNK							
06/29/2020	5.00	16.73	06/29/2020	15.20	0.00	1.53	Sale
06/29/2020	20.00	70.18	06/29/2020	60.80	0.00	9.38	Sale
07/06/2020	100.00	707.97	Various	543.42	0.00	164.55	Sale

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BLINK CHARGING CO COMMON STOCK CUSIP: 09354A100 Symbol: BLNK							
09/29/2020	45.00	445.93	09/24/2020	350.55	0.00	95.38	Sale
09/30/2020	45.00	493.17	Various	462.95	0.00	30.22	Sale
10/02/2020	25.00	270.48	Various	265.86	0.00	4.62	Sale
10/16/2020	100.00	979.96	Various	986.06	14.48 D	8.38	Sale
11/03/2020	50.00	450.98	Various	483.48	32.50 D	0.00	Sale
11/06/2020	47.00	435.03	Various	437.66	0.00	-2.63	Sale
11/06/2020	105.00	982.76	Various	961.07	29.22 D	50.91	Sale
Security Totals:		4,853.19		4,567.05		362.34	
CALL BABA 01/15/21 300 ALIBABA GROUP HOLDING LIMITED CUSIP: Symbol: BABA210115C00300000							
12/07/2020	1.00	241.90	11/27/2020	629.08	0.00	-387.18	Sell to Close
PIVOTAL INVESTMENT CORPORATION II CLASS A COMMON STOCK CUSIP: 72582K100 Symbol: PIC							
10/19/2020	50.00	516.97	Various	541.25	0.00	-24.28	Sale
11/24/2020	50.00	634.97	11/19/2020	544.50	0.00	90.47	Sale
Security Totals:		1,151.94		1,085.75		66.19	
CALL ZM 08/28/20 300 ZOOM VIDEO COMMUNICATIONS INC CUSIP: Symbol: ZM200828C00300000							
08/05/2020	1.00	639.88	08/04/2020	320.09	0.00	319.79	Sell to Close
***RENREN INC AMERICAN DEPOSITARY SHR ECH RPRSNTNG 45 CL A ORD SHR CUSIP: 759892300 Symbol: RENN							
05/29/2020	50.00	218.48	05/27/2020	199.50	0.00	18.98	Sale
EXELA TECHNOLOGIES INC COMMON STOCK CUSIP: 30162V102 Symbol: XELA							
07/28/2020	250.00	177.46	07/28/2020	169.83	0.00	7.63	Sale
JANONE INC COMMON STOCK CUSIP: 47089W104 Symbol: JAN							
07/21/2020	100.00	359.98	Various	417.50	0.00	-57.52	Sale
TOUGHBUILT INDUSTRIES INC COMMON STOCK CUSIP: 89157G504 Symbol: TBLT							
07/01/2020	350.00	270.78	Various	296.26	0.00	-25.48	Sale
***FARMMI INC ORDINARY SHARES CUSIP: G33277107 Symbol: FAMI							
05/22/2020	200.00	98.61	05/21/2020	108.02	9.41 D	0.00	Sale
05/27/2020	406.00	198.92	Various	210.03	0.00	-11.11	Sale
Security Totals:		297.53		318.05		-11.11	

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ACER THERAPEUTICS INC COMMON STOCK CUSIP: 00444P108 Symbol: ACER							
07/28/2020	50.00	194.48	07/28/2020	192.95	0.00	1.53	Sale
CELSION CORPORATION COMMON STOCK CUSIP: 15117N503 Symbol: CLSN							
07/20/2020	250.00	274.96	07/16/2020	274.95	0.00	0.01	Sale
***JIAYIN GROUP INC AMERICAN DEPOSITARY SHARES CUSIP: 47737C104 Symbol: JFIN							
08/06/2020	50.00	180.98	Various	177.30	0.00	3.68	Sale
VACCINEX INC COMMON STOCK CUSIP: 918640103 Symbol: VCNX							
10/15/2020	100.00	204.98	10/12/2020	202.00	0.00	2.98	Sale
ACHIEVE LIFE SCIENCE INC COMMON SHARES CUSIP: 004468203 Symbol: ACHV							
07/29/2020	250.00	202.46	07/29/2020	214.75	0.00	-12.29	Sale
SILVERSUN TECHNOLOGIES INC COMMON STOCK CUSIP: 82846H207 Symbol: SSNT							
08/04/2020	50.00	444.98	08/04/2020	399.00	0.00	45.98	Sale
BROADWAY FINANCIAL CORP-DEL CUSIP: 111444105 Symbol: BYFC							
06/22/2020	50.00	158.48	06/22/2020	191.00	32.52 D	0.00	Sale
08/03/2020	500.00	840.32	Various	1,125.41	0.00	-285.09	Sale
Security Totals:		998.80		1,316.41		-285.09	
AMCI ACQUISITION CORP CLASS A COMMON STOCK CUSIP: 00165R101 Symbol: AMCI							
12/07/2020	45.00	599.82	Various	555.91	0.00	43.91	Sale
DIGITAL ALLY INC COM CUSIP: 25382P208 Symbol: DGLY							
07/16/2020	50.00	189.48	07/16/2020	166.50	0.00	22.98	Sale
08/05/2020	5.00	16.53	08/05/2020	16.45	0.00	0.08	Sale
Security Totals:		206.01		182.95		23.06	
***OXBRIDGE RE HOLDINGS LIMITED CUSIP: G6856M106 Symbol: OXBR							
09/28/2020	50.00	144.98	09/28/2020	194.01	49.03 D	0.00	Sale
09/28/2020	500.00	1,089.91	Various	1,063.00	13.51 D	40.42	Sale
09/29/2020	250.00	525.48	Various	617.53	0.00	-92.05	Sale
Security Totals:		1,760.37		1,874.54		-51.63	
***GLOBUS MARITIME LIMITED COMMON STOCK CUSIP: Y27265407 Symbol: GLBS							
06/23/2020	1,000.00	405.97	06/22/2020	385.00	0.00	20.97	Sale

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***GLOBUS MARITIME LIMITED COMMON STOCK CUSIP: Y27265407 Symbol: GLBS							
07/09/2020	1,000.00	256.87	Various	240.45	0.00	16.42	Sale
Security Totals:		662.84		625.45		37.39	
SHIFT TECHNOLOGIES INC CLASS A COMMON STOCK CUSIP: 82452T107 Symbol: SFT							
12/01/2020	8.00	72.46	11/25/2020	73.20	0.74 D	0.00	Sale
12/07/2020	120.00	1,141.16	Various	1,095.93	0.00	45.23	Sale
Security Totals:		1,213.62		1,169.13		45.23	
CALL KHC 08/28/20 36 KRAFT HEINZ COMPANY (THE) CUSIP: Symbol: KHC200828C00036000							
08/28/2020	1.00	0.00	07/21/2020	110.09	0.00	-110.09	Expiration
CHEMBIO DIAGNOSTICS INC CUSIP: 163572209 Symbol: CEMI							
06/19/2020	107.00	397.32	Various	429.39	32.07 D	0.00	Sale
07/02/2020	200.00	813.96	Various	707.57	0.00	106.39	Sale
07/17/2020	98.00	497.81	07/16/2020	496.86	0.00	0.95	Sale
07/20/2020	2.00	10.16	07/16/2020	10.14	0.00	0.02	Sale
07/30/2020	100.00	533.97	07/28/2020	523.00	0.00	10.97	Sale
07/31/2020	150.00	838.46	Various	776.24	0.00	62.22	Sale
08/03/2020	45.00	263.01	08/03/2020	254.25	0.00	8.76	Sale
08/03/2020	50.00	303.98	07/30/2020	264.00	0.00	39.98	Sale
08/04/2020	50.00	298.98	Various	293.75	0.00	5.23	Sale
09/11/2020	125.00	509.97	Various	662.25	152.28 D	0.00	Sale
09/17/2020	400.00	1,684.35	Various	1,771.19	211.08 D	124.24	Sale
10/13/2020	100.00	481.97	Various	689.89	18.4 D	-189.52	Sale
10/19/2020	33.00	160.40	Various	195.14	0.00	-34.74	Sale
Security Totals:		6,794.34		7,073.67		134.50	
TIMBER PHARMACEUTICALS INC COMMON STOCK CUSIP: 887080109 Symbol: TMBR							
05/28/2020	49.00	140.61	05/26/2020	145.04	4.43 D	0.00	Sale
05/28/2020	50.00	144.98	Various	147.19	2.21 D	0.00	Sale
05/28/2020	1.00	2.70	05/26/2020	2.96	0.26 D	0.00	Sale
05/29/2020	300.00	863.94	Various	800.21	0.00	63.73	Sale

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TIMBER PHARMACEUTICALS INC COMMON STOCK CUSIP: 887080109 Symbol: TMBR							
06/11/2020	250.00	604.95	06/10/2020	672.50	67.55 D	0.00	Sale
06/17/2020	70.00	185.48	Various	170.61	0.00	14.87	Sale
06/17/2020	200.00	535.96	Various	513.54	0.00	22.42	Sale
07/07/2020	200.00	447.97	06/30/2020	436.00	0.00	11.97	Sale
07/23/2020	50.00	105.48	07/23/2020	106.00	0.52 D	0.00	Sale
08/24/2020	100.00	127.98	Various	173.52	0.00	-45.54	Sale
10/08/2020	250.00	254.96	09/30/2020	245.00	0.00	9.96	Sale
Security Totals:		3,415.01		3,412.57		77.41	
TORTOISE ACQUISITION CORP CLASS A COMMON STOCK CUSIP: 89154L100 Symbol: SHLL							
06/29/2020	10.00	284.98	06/25/2020	173.40	0.00	111.58	Sale
07/06/2020	10.00	281.08	06/30/2020	279.00	0.00	2.08	Sale
Security Totals:		566.06		452.40		113.66	
***SUNDIAL GROWERS INC COM CUSIP: 86730L109 Symbol: SNDL							
11/24/2020	1,000.00	353.25	11/20/2020	249.00	0.00	104.25	Sale
BRICKELL BIOTECH INC COMMON STOCK CUSIP: 10802T105 Symbol: BBI							
06/22/2020	100.00	107.48	06/19/2020	104.00	0.00	3.48	Sale
RUMBLEON INC CLASS B COMMON STOCK CUSIP: 781386305 Symbol: RMBL							
06/17/2020	100.00	1,006.96	Various	986.90	0.00	20.06	Sale
OASIS PETROLEUM INC COMMON STOCK CUSIP: 674215108 Symbol: OAS							
06/01/2020	1,000.00	484.86	Various	612.39	127.53 D	0.00	Sale
06/03/2020	3,500.00	2,005.03	Various	1,776.94	0.00	228.09	Sale
07/13/2020	500.00	336.68	Various	357.12	0.00	-20.44	Sale
10/08/2020	5,000.00	816.88	10/06/2020	883.50	0.00	-66.62	Sale
Security Totals:		3,643.45		3,629.95		141.03	
XPRESSPA GROUP INC COMMON STOCK CUSIP: 98420U604 Symbol: XSPA							
05/22/2020	500.00	499.92	05/22/2020	400.00	0.00	99.92	Sale
06/10/2020	200.00	369.97	06/10/2020	320.00	0.00	49.97	Sale
Security Totals:		869.89		720.00		149.89	

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PHUNWARE INC COMMON STOCK CUSIP: 71948P100 Symbol: PHUN							
05/27/2020	547.00	809.52	Various	789.39	0.00	20.13	Sale
GRANITE POINT MORTGAGE TRUST INC COMMON STOCK CUSIP: 38741L107 Symbol: GPMT							
04/28/2020	30.00	145.78	Various	145.94	0.00	-0.16	Sale
CALL ROKU 09/25/20 200 ROKU INC CUSIP: Symbol: ROKU200925C00200000							
09/21/2020	2.00	559.79	Various	525.18	0.00	34.61	Sell to Close
09/21/2020	1.00	259.89	09/21/2020	220.09	0.00	39.80	Sell to Close
09/21/2020	2.00	652.79	09/21/2020	524.18	0.00	128.61	Sell to Close
Security Totals:		1,472.47		1,269.45		203.02	
***FSD PHARMA INC CL B SUB VTG SHS NEW CUSIP: 35954B206 Symbol: HUGE							
08/04/2020	50.00	163.48	08/04/2020	171.00	0.00	-7.52	Sale
BIOMERICA INC COM CUSIP: 09061H307 Symbol: BMRA							
07/01/2020	25.00	189.23	06/29/2020	187.00	0.00	2.23	Sale
10/01/2020	100.00	675.97	09/29/2020	723.00	0.00	-47.03	Sale
Security Totals:		865.20		910.00		-44.80	
CALL TGT 09/18/20 175 TARGET CORP CUSIP: Symbol: TGT200918C00175000							
09/18/2020	7.00	0.00	Various	300.63	0.00	-300.63	Expiration
LONESTAR RESOURCES US INC CLASS A COMMON STOCK CUSIP: 54240F103 Symbol: LONE							
07/28/2020	500.00	204.88	Various	256.92	0.00	-52.04	Sale
SWITCHBACK ENERGY ACQUISITION CORPORATION CLASS A COMMON STOCK CUSIP: 87105M102 Symbol: SBE							
10/05/2020	10.00	147.98	10/02/2020	152.00	0.00	-4.02	Sale
12/07/2020	50.00	1,735.45	12/02/2020	1,283.00	0.00	452.45	Sale
Security Totals:		1,883.43		1,435.00		448.43	
AQUESTIVE THERAPEUTICS INC COMMON STOCK CUSIP: 03843E104 Symbol: AQST							
05/21/2020	25.00	149.24	05/21/2020	158.00	0.00	-8.76	Sale
CALL M 12/04/20 13.50 MACYS INC CUSIP: Symbol: M201204C00013500							
11/25/2020	5.00	24.58	11/23/2020	50.40	0.00	-25.82	Sell to Close
PUT SPCE 08/07/20 19 VIRGIN GALACTIC HOLDINGS INC CUSIP: Symbol: SPCE200807P00019000							
08/04/2020	1.00	12.89	08/03/2020	11.09	0.00	1.80	Sell to Close

APEX CLEARING

Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B*

OMB No. 1545-0715

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(continued)

02/23/2021

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 FSLR 10/09/20	78	FIRST SOLAR INC CUSIP: Symbol: FSLR201009C00078000					
10/06/2020	5.00	194.58	10/06/2020	200.40	0.00	-5.82	Sell to Close C
SHIFTPIXY INC		COMMON STOCK CUSIP: 82452L203 Symbol: PIXY					
06/17/2020	50.00	254.98	06/15/2020	252.00	0.00	2.98	Sale
***RTS ITERUM THERAPEUTICS LTD CONTRA CUSIP RIGHTS CUSIP: G63RGT016 Symbol:							
09/14/2020	500.00	0.01	Various	0.00	0.00	0.01	Sale
NEUROMETRIX INC		COMMON STOCK CUSIP: 641255807 Symbol: NURO					
06/19/2020	400.00	807.93	Various	788.72	0.00	19.21	Sale
REGULUS THERAPEUTICS INC		COMMON STOCK CUSIP: 75915K200 Symbol: RGLS					
07/29/2020	100.00	92.99	07/29/2020	104.00	0.00	-11.01	Sale
CALL AYX 11/20/20	200	ALTERYX INC CUSIP: Symbol: AYX201120C00200000					
10/06/2020	1.00	125.90	10/06/2020	220.08	94.18 D	0.00	Sell to Close
10/07/2020	1.00	157.90	10/06/2020	224.26	0.00	-66.36	Sell to Close
Security Totals:		283.80		444.34		-66.36	
NANTHEALTH INC		COM CUSIP: 630104107 Symbol: NH					
08/05/2020	50.00	259.98	08/04/2020	232.00	0.00	27.98	Sale
JAKKS PACIFIC INC		COMMON STOCK CUSIP: 47012E403 Symbol: JAKK					
08/11/2020	50.00	253.98	07/31/2020	277.00	0.00	-23.02	Sale
INUVO INC CUSIP: 46122W204 Symbol: INUV							
07/30/2020	250.00	148.26	07/30/2020	147.50	0.00	0.76	Sale
CALL TUP 01/15/21	40	TUPPERWARE BRANDS CORPORATION CUSIP: Symbol: TUP210115C00040000					
11/19/2020	1.00	294.90	11/17/2020	240.08	0.00	54.82	Sell to Close
YUNHONG CTI LTD		COMMON STOCK CUSIP: 98873Q100 Symbol: CTIB					
07/01/2020	50.00	129.98	Various	159.13	6.48 D	-22.67	Sale
07/08/2020	5.00	14.58	07/06/2020	19.88	0.00	-5.30	Sale
Security Totals:		144.56		179.01		-27.97	
AGEAGLE AERIAL SYSTEMS INC		COMMON STOCK CUSIP: 00848K101 Symbol: UAVS					
06/25/2020	200.00	247.97	06/24/2020	244.00	0.00	3.97	Sale
CLEAN ENERGY FUELS CORP CUSIP: 184499101 Symbol: CLNE							
12/28/2020	53.00	474.32	Various	418.79	0.00	55.53	Sale

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Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B*

OMB No. 1545-0715

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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 AAPL 08/07/20	470	APPLE INC CUSIP: Symbol: AAPL200807C00470000					
08/03/2020	1.00	100.89	08/03/2020	176.09	0.00	-75.20	Sell to Close
CALL INTC 12/04/20	48	INTEL CORP CUSIP: Symbol: INTC201204C00048000					
11/27/2020	2.00	99.82	11/24/2020	88.16	0.00	11.66	Sell to Close
WORKHORSE GROUP INC		COM CUSIP: 98138J206 Symbol: WKHS					
05/04/2020	100.00	308.98	04/29/2020	310.00	1.02 D	0.00	Sale
05/05/2020	10.00	33.68	Various	27.15	0.00	6.53	Sale
05/08/2020	200.00	605.96	Various	586.92	0.00	19.04	Sale
05/27/2020	100.00	266.08	05/22/2020	264.00	0.00	2.08	Sale
06/29/2020	10.00	114.78	06/25/2020	82.10	0.00	32.68	Sale
07/06/2020	10.00	193.48	07/01/2020	149.47	0.00	44.01	Sale
Security Totals:		1,522.96		1,419.64		104.34	
***CHECK CAP LTD		ORDINARY SHARE CUSIP: M2361E203 Symbol: CHEK					
08/05/2020	500.00	326.33	08/05/2020	305.00	0.00	21.33	Sale
CALL AMD 12/31/20	95	ADVANCED MICRO DEVICES INC CUSIP: Symbol: AMD201231C00095000					
12/11/2020	1.00	285.90	12/09/2020	241.08	0.00	44.82	Sell to Close
ADIAL PHARMACEUTICALS INC		COMMON STOCK CUSIP: 00688A106 Symbol: ADIL					
06/16/2020	250.00	387.46	06/10/2020	397.50	0.00	-10.04	Sale
08/06/2020	100.00	200.98	08/06/2020	213.00	0.00	-12.02	Sale
Security Totals:		588.44		610.50		-22.06	
SURGERY PARTNERS INC		COM CUSIP: 86881A100 Symbol: SGRY					
04/21/2020	5.00	46.06	04/20/2020	50.40	3.47 D	-0.87	Sale
04/23/2020	4.00	37.66	04/21/2020	37.39	0.00	0.27	Sale
Security Totals:		83.72		87.79		-0.60	
ZYNGA INC		CLASS A CUSIP: 98986T108 Symbol: ZNGA					
08/25/2020	5.00	45.58	Various	46.55	0.00	-0.97	Sale
***POLYMET MNG CORP CUSIP: 731916102 Symbol: PLM							
06/16/2020	200.00	62.47	06/15/2020	60.00	0.00	2.47	Sale
CALL CEMI 07/17/20	5	CHEMBIO DIAGNOSTICS INC CUSIP: Symbol: CEMI200717C00005000					
07/02/2020	5.00	254.52	06/22/2020	200.46	0.00	54.06	Sell to Close

* 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.

APEX CLEARING

Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B*

OMB No. 1545-0715

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02/23/2021

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 GUSH 01/15/21	50	DIREXION DLY S&P OIL & GAS EXP CUSIP: Symbol: GUSH210115C00050000					
10/06/2020	3.00	209.74	Various	225.24	0.00	-15.50	Sell to Close
RESTORBIO INC	COMMON STOCK CUSIP: 76133L103 Symbol: TORC						
07/28/2020	400.00	1,195.92	Various	1,076.73	0.00	119.19	Sale
07/30/2020	500.00	1,349.91	Various	1,344.50	28.55 D	33.96	Sale
07/31/2020	200.00	551.96	Various	497.04	0.00	54.92	Sale
08/10/2020	200.00	519.96	Various	512.01	0.00	7.95	Sale
08/11/2020	50.00	127.98	07/31/2020	128.50	0.52 D	0.00	Sale
08/24/2020	250.00	517.78	Various	575.52	0.00	-57.74	Sale
Security Totals:		4,263.51		4,134.30		158.28	
***CANAAN INC	AMERICAN DEPOSITARY SHARES CUSIP: 134748102 Symbol: CAN						
07/20/2020	100.00	206.98	07/15/2020	198.00	0.00	8.98	Sale
07/28/2020	200.00	509.96	07/24/2020	479.00	0.00	30.96	Sale
Security Totals:		716.94		677.00		39.94	
JAKKS PACIFIC INC CUSIP: 47012E106 Symbol: JAKK							
06/16/2020	50.00	47.98	06/16/2020	53.00	0.00	-5.02	Sale
DIREXION SHARES ETF TRUST	DAILY GOLD MINERS INDEX BEAR 2X SHARES CUSIP: 25490K133 Symbol: DUST						
04/14/2020	1.00	1.56	04/09/2020	3.29	1.73 D	0.00	Sale
04/14/2020	9.00	13.93	04/06/2020	20.88	6.95 D	0.00	Sale
04/14/2020	50.00	77.48	Various	112.60	35.12 D	0.00	Sale
04/15/2020	2.00	3.29	04/13/2020	5.42	2.13 D	0.00	Sale
04/15/2020	10.00	16.48	Various	30.10	13.62 D	0.00	Sale
04/15/2020	50.00	82.48	Various	133.28	50.80 D	0.00	Sale
Security Totals:		195.22		305.57		0.00	
FINTECH ACQUISITION CORP IV	CLASS A COMMON STOCK CUSIP: 31810N104 Symbol: FTIV						
12/31/2020	15.00	168.28	12/24/2020	166.35	0.00	1.93	Sale
PUT CCL 07/02/20	15.50	CARNIVAL CORP CUSIP: Symbol: CCL200702P00015500					
06/24/2020	1.00	84.89	06/19/2020	90.09	0.00	-5.20	Sell to Close
ONCONOVA THERAPEUTICS INC	COMMON STOCK CUSIP: 68232V405 Symbol: ONTX						
12/28/2020	500.00	237.53	12/23/2020	304.50	0.00	-66.97	Sale

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APEX CLEARING

Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B*

OMB No. 1545-0715

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02/23/2021

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 FEYE 08/21/20 16	FIREEYE INC CUSIP: Symbol: FEYE200821C00016000						
08/04/2020	2.00	81.80	Various	70.18	0.00	11.62	Sell to Close
CALL JWN 01/22/21 32.50	NORDSTROM INC CUSIP: Symbol: JWN210122C00032500						
12/22/2020	1.00	110.90	12/15/2020	218.08	0.00	-107.18	Sell to Close
***GOLDEN BULL LIMITED	ORDINARY SHARES CUSIP: G4027R104 Symbol: DNJR						
06/17/2020	100.00	172.98	06/15/2020	169.00	0.00	3.98	Sale
Totals:		402,836.95		407,788.83		17,052.98	

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Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B*

OMB No. 1545-0715

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02/23/2021

SHORT TERM TRANSACTIONS FOR NONCOVERED TAX LOTS

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

Box 2: Type of Gain or Loss - Short-Term (unless indicated as Ordinary in Additional Notes Column)**Box 5:** Box Checked (Noncovered Security)**Box 6:** Gross (unless indicated as Net in Additional Notes Column)**Box 12:** Basis Not 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	Date Acquired	Cost or Other Basis	Accrued Market Discount (M) & Wash Sale Loss Disallowed (D)	Gain or Loss (-)	Additional Notes
UNITED STATES OIL FUND LP UNITS ETF CUSIP: 91232N108 Symbol: USO							
04/23/2020	21.00	58.57	Various	60.43	0.00	-1.86	Sale
***CHINA XIANGTAI FOOD CO LTD ORDINARY SHARES CUSIP: G21621100 Symbol: PLIN							
10/15/2020	200.00	145.97	10/12/2020	143.14	0.00	2.83	Sale
***NAVIOS MARITIME PARTNERS LP COMMON UNITS REPRESENTING LIMITED PARTNER INTERESTS CUSIP: Y62267409 Symbol: NMM							
10/06/2020	50.00	337.48	10/06/2020	334.00	0.00	3.48	Sale
Totals:		542.02		537.57		4.45	

APEX CLEARING

Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B*

OMB No. 1545-0715

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LONG TERM TRANSACTIONS FOR COVERED TAX LOTS

Report on Form 8949, Part II with Box D checked.

Box 2: Type of Gain or Loss - Long-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
SNAP INC	CLASS A COMMON STOCK CUSIP: 83304A106 Symbol: SNAP						
05/01/2020	1.00	16.69	04/20/2020	12.98	0.00	3.71	Sale
LEVI STRAUSS & CO	CLASS A COMMON STOCK CUSIP: 52736R102 Symbol: LEVI						
09/28/2020	1.00	13.32	09/23/2020	12.87	0.00	0.45	Sale
***UBS GROUP AG	SHS CUSIP: H42097107 Symbol: UBS						
09/28/2020	1.00	10.92	09/23/2020	10.78	0.00	0.14	Sale
Totals:		40.93		36.63		4.30	

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Miscellaneous Income - Details of Form 1099-MISC

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This section of the information statement provides payment-level details for royalty distributions and substitute payments in lieu of dividends and interest that are reported in aggregate on Form 1099-MISC. Links to tax information booklets for royalty trusts relevant to your account, if any, are provided at the end of this information statement.

Description CUSIP Symbol							
Date	Royalties (Box 2)	Other Income (Box 3)	Substitute Payments in Lieu of Dividends or Interest (Box 8)	Federal Income Tax Withheld (Box 4)	State Tax Withheld (Box 15)	State (Box 13) State Identification No. (Box 14)	
SNAP INC CLASS A COMMON STOCK CUSIP: 83304A106 Symbol: SNAP							
04/17/2020	0.00	12.98	0.00	0.00	0.00		
REGIONS FINANCIAL CORP CUSIP: 7591EP100 Symbol: RF							
06/28/2020	0.00	10.65	0.00	0.00	0.00		
07/01/2020	0.00	21.26	0.00	0.00	0.00		
07/07/2020	0.00	20.66	0.00	0.00	0.00		
08/23/2020	0.00	32.91	0.00	0.00	0.00		
Security Totals:	0.00	85.48	0.00	0.00	0.00		
***BANCO SANTANDER S A SPONSORED ADR CUSIP: 05964H105 Symbol: SAN							
04/01/2020	0.00	2.25	0.00	0.00	0.00		
LEVI STRAUSS & CO CLASS A COMMON STOCK CUSIP: 52736R102 Symbol: LEVI							
05/16/2020	0.00	24.18	0.00	0.00	0.00		
06/02/2020	0.00	28.56	0.00	0.00	0.00		
07/01/2020	0.00	41.10	0.00	0.00	0.00		
09/09/2020	0.00	25.66	0.00	0.00	0.00		
09/23/2020	0.00	0.00	12.87	0.00	0.00		
Security Totals:	0.00	119.50	12.87	0.00	0.00		
ZYNGA INC CLASS A CUSIP: 98986T108 Symbol: ZNGA							
08/23/2020	0.00	46.55	0.00	0.00	0.00		
***UBS GROUP AG SHS CUSIP: H42097107 Symbol: UBS							
08/23/2020	0.00	24.06	0.00	0.00	0.00		
09/23/2020	0.00	0.00	10.78	0.00	0.00		
Security Totals:	0.00	24.06	10.78	0.00	0.00		
VIACOMCBS INC CLASS B COMMON STOCK CUSIP: 92556H206 Symbol: VIAC							
04/08/2020	0.00	15.80	0.00	0.00	0.00		
04/17/2020	0.00	31.60	0.00	0.00	0.00		
Security Totals:	0.00	47.40	0.00	0.00	0.00		
Totals:	0.00	338.22	23.65	0.00	0.00		

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Supplemental Information

2020

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The supplemental information provided below contains additional details that may assist in your tax return preparation.

Worthless Removal & Zero Net Sales

Description CUSIP Symbol					
Date	Quantity	Proceeds	Date Acquired	Cost of Other basis	Gain or Loss(-)
***RTS ITERUM THERAPEUTICS LTD CONTRA CUSIP RIGHTS CUSIP: G63RGT016 Symbol:					
09/14/2020	300.00	0.00	Various	0.00	0.00
Totals:		0.00		0.00	0.00

Cash in Lieu <\$20

Description CUSIP Symbol					
Date	Quantity	Proceeds	Date Acquired	Cost of Other basis	Gain or Loss(-)
DIREXION SHARES ETF TRUST DIREXION DAILY GOLD MINERS INDEX BEAR 2X SHARES CUSIP: 25460G880 Symbol: DUST					
05/06/2020	2.12	73.33	Various	132.85	-59.52 C
Totals:		73.33		132.85	-59.52

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 1040-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.

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.

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.

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.

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.

