



FIDELITY BROKERAGE SERVICES LLC  
P.O. Box 28019  
Albuquerque, NM 87125-8019

# 2020 TAX REPORTING STATEMENT

SHASHANK THAPLIYAL

Account No. **X91-690343** Customer Service: 800-544-6666  
Recipient ID No. **\*\*\*-\*\*-8898** Payer's Fed ID Number: 04-3523567

eDelivered

SHASHANK THAPLIYAL  
56A MARA RD BLDG 37  
LAKE HIAWATHA NJ 07034-1393

Payer's Name and Address:  
NATIONAL FINANCIAL SERVICES LLC  
499 WASHINGTON BLVD  
JERSEY CITY, NJ 07310

**Form 1099-DIV \*** **2020 Dividends and Distributions** Copy B for Recipient  
(OMB No. 1545-0110)

1a Total Ordinary Dividends .....	48.45	7 Foreign Tax Paid.....	0.00
1b Qualified Dividends .....	8.06	8 Foreign Country or U.S. Possession.....	
2a Total Capital Gain Distributions .....	1.09	9 Cash Liquidation Distributions.....	0.00
2b Unrecap. Sec 1250 Gain.....	0.12	10 Non-Cash Liquidation Distributions.....	0.00
2c Section 1202 Gain.....	0.00	11 Exempt Interest Dividends .....	0.00
2d Collectibles (28%) Gain.....	0.00	12 Specified Private Activity Bond Interest Dividends.....	0.00
3 Nondividend Distributions .....	1.77	13 State .....	
<b>4 Federal Income Tax Withheld .....</b>	<b>0.00</b>	14 State Identification No. ....	
5 Section 199A Dividends .....	40.04	15 State Tax Withheld.....	0.00
6 Investment Expenses.....	0.00		

**Form 1099-INT \*** **2020 Interest Income** Copy B for Recipient  
(OMB No. 1545-0112)

1 Interest Income .....	0.00	10 Market Discount .....	0.00
2 Early Withdrawal Penalty .....	0.00	11 Bond Premium .....	0.00
3 Interest on U.S. Savings Bonds and Treas. Obligations .....	0.00	12 Bond Premium on U.S. Treasury Obligations .....	0.00
<b>4 Federal Income Tax Withheld .....</b>	<b>0.00</b>	13 Bond Premium on Tax-Exempt Bond .....	0.00
5 Investment Expenses .....	0.00	14 Tax-Exempt Bond CUSIP no. ....	
6 Foreign Tax Paid .....	0.00	15 State .....	
7 Foreign Country or U.S. Possession .....		16 State Identification No .....	
8 Tax-Exempt Interest .....	0.00	17 State Tax Withheld .....	0.00
9 Specified Private Activity Bond Interest .....	0.00		

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## Form 1099-MISC \*

## 2020 Miscellaneous Income

Copy B for Recipient  
(OMB No. 1545-0115)

2 Royalties .....	0.00	15 State Tax Withheld .....	0.00
3 Other Income .....	0.00	16 State/Payer's State No. ....	
<b>4 Federal Income Tax Withheld .....</b>	<b>0.00</b>	17 State Income .....	0.00
8 Substitute Payments in Lieu of Dividends or Interest .....	0.00		

## Summary of 2020 Proceeds From Broker and Barter Exchange Transactions

1099-B Section	Total Proceeds	Total Cost Basis	Total Market Discount	Total Wash Sales	Realized Gain/Loss	Federal Income Tax Withheld
Short-term transactions for which basis is <u>reported</u> to the IRS	351,606.40	370,313.43	0.00	19,722.79	-18,707.03	0.00
Short-term transactions for which basis is <u>not reported</u> to the IRS	0.00	0.00	0.00	0.00	0.00	0.00
Long-term transactions for which basis is <u>reported</u> to the IRS	0.00	0.00	0.00	0.00	0.00	0.00
Long-term transactions for which basis is <u>not reported</u> to the IRS	0.00	0.00	0.00	0.00	0.00	0.00
Transactions for which basis is not reported to the IRS and Term is Unknown	0.00	0.00	0.00	0.00	0.00	0.00
	351,606.40	370,313.43	0.00	19,722.79	-18,707.03	0.00

1099-B amounts are reported individually to the IRS. Refer to the Form 1099-B sections in this statement, if applicable.

## Summary of 2020 Original Issue Discount

Total Original Issue Discount .....	0.00	Total Original Issue Discount - REMIC .....	0.00
Total Original Issue Discount on U.S. Treasury Obligations .....	0.00		
Total Original Issue Discount on Tax-Exempt Obligations .....	0.00		

Original Issue Discount (OID) amounts are reported individually to the IRS. Refer to the Form 1099-OID pages in this statement, if applicable.

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FORM 1099-B\*

## 2020 Proceeds from Broker and Barter Exchange Transactions

Copy B for Recipient OMB No. 1545-0715

**Short-term transactions for which basis is reported to the IRS** --report on Form 8949 with Box A checked and/or Schedule D, Part I  
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(IRS Form 1099-B box numbers are shown below in **bold** type)

1a Description of property, Stock or Other Symbol, CUSIP	Quantity	1b Date Acquired	1c Date Sold or Disposed	1d Proceeds	1e Cost or Other Basis (b)	1f Accrued Market Discount	1g Wash Sale Loss Disallowed	Gain/Loss (-)	4 Federal Income Tax Withheld	14 State Tax Withheld
ACTIVISION BLIZZARD INC COM USD0.000001, ATVI, 00507V109										
Sale	42.000	08/04/20	08/05/20	3,538.16	3,572.94		0.35	-34.78		
Sale	0.417	08/04/20	08/05/20	35.11	35.83			-0.72		
<b>Subtotals</b>				<b>3,573.27</b>	<b>3,608.77</b>		<b>0.35</b>			
AKEBIA THERAPEUTICS INC COM, AKBA, 00972D105										
Sale	1,270.000	09/03/20	09/17/20	3,809.91	3,435.35			374.56		
Sale	2.000	09/03/20	09/17/20	5.87	5.41			0.46		
Sale	2.485	09/03/20	09/17/20	7.29	6.71			0.58		
Sale	1,373.515	09/17/20	09/17/20	4,031.18	3,983.19			47.99		
Sale	0.485	09/17/20	09/17/20	1.41	1.41			0.00		
Sale	0.020	09/17/20	09/17/20	0.06	0.06			0.00		
Sale	0.549	09/25/20	09/30/20	1.32	1.40		0.08	-0.08		
Sale	2,999.451	09/25/20	09/30/20	7,228.82	7,648.60		117.91	-419.78		
Sale	24.000	09/25/20	11/05/20	59.76	61.20			-1.44		
Sale	0.549	09/25/20	11/05/20	1.37	1.48			-0.11		
Sale	825.451	10/22/20	11/05/20	2,055.32	2,074.98			-19.66		
Sale	14.549	10/22/20	12/03/20	45.42	36.57			8.85		
Sale	2.451	10/22/20	12/03/20	7.65	6.15			1.50		
Sale	0.083	10/22/20	12/03/20	0.26	0.21			0.05		
<b>Subtotals</b>				<b>17,255.64</b>	<b>17,262.72</b>		<b>117.99</b>			
AKERNA CORP COM, KERN, 00973W102										
Sale	400.000	11/06/20	11/06/20	1,839.95	1,739.28			100.67		
Sale	100.000	11/06/20	11/06/20	459.99	435.00			24.99		

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Action	Quantity	1b Date Acquired	1c Date Sold or Disposed	1d Proceeds	1e Cost or Other Basis (b)	1f Accrued Market Discount	1g Wash Sale Loss Disallowed	Gain/Loss (-)	4 Federal Income Tax Withheld	14 State Tax Withheld
AKERNA CORP COM, KERN, 00973W102										
Sale	500.000	11/06/20	11/06/20	2,244.95	2,254.00		9.05	-9.05		
Sale	200.000	11/06/20	11/06/20	799.98	826.22		26.24	-26.24		
Sale	300.000	11/06/20	11/06/20	1,199.97	1,241.43		41.46	-41.46		
Sale	500.000	11/06/20	11/06/20	1,898.45	2,055.20		156.75	-156.75		
Sale	99.000	11/09/20	11/09/20	398.96	427.81		28.85	-28.85		
Sale	210.000	11/09/20	11/09/20	844.18	841.05			3.13		
Sale	401.000	11/09/20	11/09/20	1,611.98	1,731.44		119.46	-119.46		
Sale	790.000	11/09/20	11/09/20	3,159.93	3,163.95		4.02	-4.02		
Sale	99.000	11/09/20	11/09/20	420.74	443.10		22.36	-22.36		
Sale	401.000	11/09/20	11/09/20	1,704.21	1,797.36		93.15	-93.15		
Sale	730.000	11/09/20	11/09/20	3,102.43	3,058.26			44.17		
Sale	310.000	11/09/20	11/09/20	1,314.37	1,297.13			17.24		
Sale	60.000	11/09/20	11/09/20	254.39	251.36			3.03		
Sale	1,200.000	11/09/20	11/09/20	5,039.89	4,841.28			198.61		
Sale	500.000	11/09/20	11/09/20	2,099.95	2,132.71		32.76	-32.76		
Sale	978.000	11/09/20	11/09/20	4,029.27	4,063.00		33.73	-33.73		
Sale	500.000	11/09/20	11/09/20	2,059.95	2,109.96		50.01	-50.01		
Sale	222.000	11/09/20	11/09/20	912.39	922.28		9.89	-9.89		
Sale	1,388.000	11/09/20	11/09/20	5,899.14	5,979.64		80.50	-80.50		
Sale	90.000	11/09/20	11/09/20	382.52	385.61		3.09	-3.09		
Sale	222.000	11/09/20	11/09/20	943.52	953.41		9.89	-9.89		
Sale	70.000	11/09/20	11/09/20	296.09	305.13		9.04	-9.04		
Sale	1,400.000	11/09/20	11/09/20	5,949.86	6,034.41		84.55	-84.55		

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FORM 1099-B\*

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AKERNA CORP COM, KERN, 00973W102										
Sale	100.000	11/09/20	11/09/20	421.99	428.88		6.89	-6.89		
Sale	130.000	11/09/20	11/09/20	547.28	557.54		10.26	-10.26		
Sale	70.000	11/09/20	11/09/20	307.64	306.54			1.10		
Sale	100.000	11/09/20	11/09/20	439.99	435.91			4.08		
Sale	830.000	11/09/20	11/09/20	3,643.61	3,582.86			60.75		
Sale	60.000	11/09/20	11/10/20	244.19	257.33		13.14	-13.14		
Sale	110.000	11/09/20	11/10/20	447.69	477.28		29.59	-29.59		
Sale	100.000	11/09/20	11/10/20	406.99	436.89		29.90	-29.90		
Sale	130.000	11/09/20	11/10/20	529.09	569.26		40.17	-40.17		
Sale	900.000	11/09/20	11/10/20	3,644.92	3,870.00		225.08	-225.08		
Sale	300.000	11/09/20	11/10/20	1,214.97	1,301.67		86.70	-86.70		
Sale	60.000	11/09/20	11/10/20	242.99	271.14		28.15	-28.15		
Sale	340.000	12/01/20	12/02/20	1,346.37	1,369.32		22.95	-22.95		
Sale	1,260.000	12/01/20	12/02/20	4,989.48	5,045.15		54.18	-55.67		
Sale	2.803	12/01/20	12/04/20	11.12	11.16		0.04	-0.04		
Sale	2.803	12/01/20	12/04/20	11.18	10.51			0.67		
Sale	1.197	12/02/20	12/04/20	4.75	4.47			0.28		
Sale	35.000	12/02/20	12/04/20	139.65	130.70			8.95		
Sale	1,333.000	12/03/20	12/04/20	5,318.54	5,567.70			-249.16		
Sale	125.197	12/03/20	12/04/20	499.53	519.37			-19.84		
<b>Subtotals</b>				<b>73,279.03</b>	<b>74,443.70</b>		<b>1,361.85</b>			

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AMERICAN AIRLINES GROUP INC COM USD0.01, AAL, 02376R102										
Sale	0.565	04/29/20	06/04/20	9.89	7.09			2.80		
Sale	107.000	04/29/20	06/04/20	1,872.46	1,342.40			530.06		
Sale	45.000	06/02/20	06/04/20	787.48	495.00			292.48		
Sale	0.435	06/02/20	06/04/20	7.61	4.78			2.83		
Sale	0.019	06/02/20	06/04/20	0.33	0.21			0.12		
Sale	28.000	07/01/20	08/05/20	348.47	359.38			-10.91		
Sale	0.457	07/01/20	08/05/20	5.68	5.87			-0.19		
Sale	178.000	10/27/20	11/05/20	2,039.83	1,997.16			42.67		
Sale	0.252	10/27/20	11/05/20	2.88	2.83			0.05		
<b>Subtotals</b>				<b>5,074.63</b>	<b>4,214.72</b>					
AURORA CANNABIS INC COM NPV POST REV SPL, ACB, 05156X884										
Sale	680.000	11/24/20	11/25/20	5,943.06	7,924.61		1,661.68	-1,981.55		
Sale	7.000	11/24/20	11/30/20	78.03	76.14			1.89		
Sale	0.285	11/24/20	11/30/20	3.18	3.10			0.08		
Sale	107.430	11/29/20	11/30/20	1,197.47	1,381.39			-183.92		
Sale	435.285	11/29/20	11/30/20	4,851.98	6,172.55			-1,320.57		
Sale	468.000	11/06/20	11/06/20	4,282.10	4,193.28			88.82		
Sale	82.000	11/06/20	11/06/20	750.28	733.90			16.38		
Sale	18.000	11/06/20	11/06/20	178.02	161.10			16.92		
Sale	1.000	11/06/20	11/06/20	9.89	8.96			0.93		
Sale	0.056	11/06/20	11/06/20	0.54	0.50			0.04		
Sale	200.000	11/06/20	11/06/20	2,299.94	2,131.28			168.66		

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FORM 1099-B\*

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AURORA CANNABIS INC COM NPV POST REV SPL, ACB, 05156X884										
Sale	200.000	11/06/20	11/06/20	2,181.95	2,407.00		225.05	-225.05		
Sale	450.000	11/06/20	11/06/20	4,724.89	5,058.00		333.11	-333.11		
Sale	200.000	11/06/20	11/06/20	2,099.95	2,473.05		373.10	-373.10		
Sale	450.000	11/06/20	11/06/20	4,949.89	4,831.45			118.44		
Sale	200.000	11/06/20	11/06/20	2,199.95	2,372.36		172.41	-172.41		
Sale	200.000	11/06/20	11/06/20	2,199.95	2,330.41		130.46	-130.46		
Sale	200.000	11/06/20	11/06/20	2,199.95	2,311.62		111.67	-111.67		
Sale	100.000	11/06/20	11/06/20	1,074.98	1,142.34		67.36	-67.36		
Sale	100.000	11/06/20	11/06/20	1,074.97	1,142.83		67.86	-67.86		
Sale	200.000	11/06/20	11/06/20	2,119.95	2,193.18		73.23	-73.23		
Sale	200.000	11/06/20	11/06/20	2,039.95	2,185.23		145.28	-145.28		
Sale	200.000	11/06/20	11/06/20	2,039.95	2,181.28		141.33	-141.33		
Sale	200.000	11/06/20	11/06/20	1,939.95	2,119.33		179.38	-179.38		
Sale	100.000	11/06/20	11/06/20	954.98	1,056.92		101.94	-101.94		
Sale	100.000	11/06/20	11/06/20	954.97	1,055.46		100.49	-100.49		
Sale	200.000	11/09/20	11/09/20	2,399.94	3,000.39		600.45	-600.45		
Sale	550.000	11/10/20	11/10/20	5,004.88	4,805.57			199.31		
Sale	200.000	11/10/20	11/10/20	1,819.96	2,347.93		527.97	-527.97		
Sale	100.000	11/10/20	11/10/20	874.98	1,168.21		293.23	-293.23		
Sale	550.000	11/10/20	11/10/20	4,812.39	4,969.69		157.30	-157.30		
Sale	100.000	11/10/20	11/10/20	874.98	1,166.84		291.86	-291.86		
Sale	50.000	11/10/20	11/10/20	420.49	428.75		8.26	-8.26		
Sale	750.000	11/10/20	11/10/20	6,307.36	7,173.64		866.28	-866.28		

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AURORA CANNABIS INC COM NPV POST REV SPL, ACB, 05156X884										
Sale	800.000	11/10/20	11/11/20	5,330.60	7,562.22		2,231.62	-2,231.62		
<b>Subtotals</b>				<b>80,196.30</b>	<b>90,270.51</b>		<b>8,861.32</b>			
BEYOND MEAT INC COM, BYND, 08862E109										
Sale	0.021	07/14/20	07/15/20	2.73	2.66			0.07		
Sale	7.979	07/14/20	07/15/20	1,037.24	1,011.10			26.14		
Sale	0.021	07/14/20	07/15/20	2.73	2.66			0.07		
<b>Subtotals</b>				<b>1,042.70</b>	<b>1,016.42</b>					
CENTURY CASINOS INC, CNTY, 156492100										
Sale	0.638	08/09/20	09/09/20	4.01	3.93			0.08		
Sale	24.585	08/11/20	09/09/20	154.48	152.33			2.15		
Sale	284.777	09/09/20	09/09/20	1,789.30	1,741.42			47.88		
Sale	1.000	09/09/20	09/09/20	6.27	6.12			0.15		
Sale	0.084	09/09/20	09/09/20	0.52	0.51			0.01		
Sale	200.000	06/24/20	06/29/20	856.98	860.00		3.02	-3.02		
Sale	250.000	06/24/20	06/29/20	1,069.97	1,075.00		5.03	-5.03		
Sale	58.000	06/24/20	06/29/20	247.65	249.40		1.75	-1.75		
Sale	0.371	06/24/20	06/29/20	1.60	1.61		0.01	-0.01		
Sale	20.000	06/24/20	06/29/20	86.00	85.10			0.90		
Sale	79.629	06/24/20	06/29/20	342.39	338.04			4.35		
Sale	25.371	06/24/20	07/13/20	96.41	107.70		11.29	-11.29		
Sale	0.130	06/26/20	07/13/20	0.49	0.54		0.05	-0.05		

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# 2020 TAX REPORTING STATEMENT

SHASHANK THAPLIYAL

Account No. **X91-690343** Customer Service: 800-544-6666

Recipient ID No. **\*\*\*-\*\*-8898** Payer's Fed ID Number: 04-3523567

FORM 1099-B\*

## 2020 Proceeds from Broker and Barter Exchange Transactions

Copy B for Recipient OMB No. 1545-0715

**Short-term transactions for which basis is reported to the IRS** --report on Form 8949 with Box A checked and/or Schedule D, Part I  
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(IRS Form 1099-B box numbers are shown below in **bold type**)

1a Description of property, Stock or Other Symbol, CUSIP										
Action	Quantity	1b Date Acquired	1c Date Sold or Disposed	1d Proceeds	1e Cost or Other Basis (b)	1f Accrued Market Discount	1g Wash Sale Loss Disallowed	Gain/Loss (-)	4 Federal Income Tax Withheld	14 State Tax Withheld
CENTURY CASINOS INC, CNTY, 156492100										
Sale	73.998	06/26/20	07/13/20	281.18	306.72		25.54	-25.54		
Sale	167.501	06/26/20	07/13/20	636.49	695.15		58.66	-58.66		
Sale	0.501	06/26/20	07/13/20	1.90	2.08		0.18	-0.18		
Sale	0.779	07/02/20	07/22/20	3.50	3.63		0.13	-0.13		
Sale	0.779	07/02/20	07/22/20	3.51	3.42			0.09		
Sale	6.474	07/02/20	07/22/20	29.04	29.75		0.71	-0.71		
Sale	0.474	07/02/20	07/22/20	2.11	2.16		0.05	-0.05		
Sale	266.221	07/04/20	07/22/20	1,197.96	1,218.65		20.69	-20.69		
Sale	0.501	07/04/20	07/22/20	2.25	2.29		0.04	-0.04		
Sale	266.722	07/04/20	07/22/20	1,197.55	1,207.64		10.09	-10.09		
Sale	82.499	07/16/20	07/22/20	371.24	349.81			21.43		
Sale	58.000	07/16/20	07/22/20	260.99	246.51			14.48		
Sale	0.371	07/16/20	07/22/20	1.67	1.58			0.09		
Sale	901.629	07/21/20	07/22/20	4,057.23	3,804.87			252.36		
Sale	3.000	07/21/20	07/22/20	13.51	12.66			0.85		
Sale	133.278	07/22/20	07/22/20	598.41	593.09			5.32		
Sale	921.526	07/22/20	07/22/20	4,132.95	4,100.79			32.16		
Sale	6.000	07/11/20	08/03/20	24.00	24.80		0.80	-0.80		
Sale	0.474	07/11/20	08/03/20	1.90	1.96		0.06	-0.06		
Sale	260.248	07/13/20	08/03/20	1,040.96	1,056.44		15.48	-15.48		
Sale	131.278	07/31/20	08/03/20	525.10	528.22		3.12	-3.12		
Sale	102.000	07/31/20	08/03/20	408.84	410.42		1.58	-1.58		
Sale	0.638	07/21/20	08/21/20	3.79	3.82		0.03	-0.03		

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Recipient ID No. **\*\*\*-\*\*-8898** Payer's Fed ID Number: 04-3523567

FORM 1099-B\*

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Copy B for Recipient OMB No. 1545-0715

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(IRS Form 1099-B box numbers are shown below in **bold** type)

1a Description of property, Stock or Other Symbol, CUSIP	Quantity	1b Date Acquired	1c Date Sold or Disposed	1d Proceeds	1e Cost or Other Basis (b)	1f Accrued Market Discount	1g Wash Sale Loss Disallowed	Gain/Loss (-)	4 Federal Income Tax Withheld	14 State Tax Withheld
CENTURY CASINOS INC, CNTY, 156492100										
Sale	25.223	07/23/20	08/21/20	150.39	152.45		2.06	-2.06		
Sale	372.777	08/10/20	08/21/20	2,222.41	2,215.22			7.19		
Sale	102.000	08/10/20	08/21/20	608.10	603.37			4.73		
Sale	53.000	08/13/20	08/21/20	315.95	312.70			3.25		
<b>Subtotals</b>				<b>22,749.00</b>	<b>22,511.90</b>		<b>160.37</b>			
CHESAPEAKE ENERGY CORP COM, CHKAQ, 165167743										
Cash In Lieu	0.710	12/12/19	04/15/20	11.54	113.46		101.92	-101.92		
Sale	0.710	12/25/19	04/30/20	10.40	122.51		76.27	-112.11		
Sale	33.290	04/28/20	04/30/20	487.53	965.41			-477.88		
Sale	0.483	12/25/19	06/16/20	7.92	90.27		82.35	-82.35		
Sale	0.483	12/25/19	06/16/20	7.92	115.68			-107.76		
Sale	6.517	06/08/20	06/16/20	106.87	449.67		12.94	-342.80		
Sale	0.246	06/08/20	06/16/20	4.03	29.91			-25.88		
<b>Subtotals</b>				<b>636.21</b>	<b>1,886.91</b>		<b>273.48</b>			
CONSTELLIUM SE (FRANCE) EUR0.02 CLASS A, CSTM, F21107101										
Sale	59.000	05/28/20	07/17/20	530.99	517.43			13.56		
Sale	0.576	05/28/20	07/17/20	5.18	5.05			0.13		
Sale	100.000	06/29/20	07/17/20	899.98	772.10			127.88		
Sale	74.424	07/01/20	07/17/20	669.80	546.27			123.53		
Sale	0.576	07/01/20	07/17/20	5.18	4.23			0.95		
Sale	200.000	07/21/20	07/21/20	1,827.95	1,850.00		22.05	-22.05		

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FORM 1099-B\*

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Copy B for Recipient OMB No. 1545-0715

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1a Description of property, Stock or Other Symbol, CUSIP	Quantity	1b Date Acquired	1c Date Sold or Disposed	1d Proceeds	1e Cost or Other Basis (b)	1f Accrued Market Discount	1g Wash Sale Loss Disallowed	Gain/Loss (-)	4 Federal Income Tax Withheld	14 State Tax Withheld
CONSTELLIUM SE (FRANCE) EUR0.02 CLASS A, CSTM, F21107101										
Sale	100.000	07/21/20	07/21/20	913.99	925.00		11.01	-11.01		
Sale	300.000	07/21/20	07/21/20	2,744.93	2,775.00		30.07	-30.07		
Sale	9.000	07/21/20	07/22/20	81.94	83.25		1.31	-1.31		
Sale	0.757	07/21/20	07/22/20	6.89	7.08		0.19	-0.19		
Sale	9.757	07/21/20	07/22/20	88.79	91.10		2.31	-2.31		
Sale	9.757	07/21/20	07/22/20	88.59	91.25		2.66	-2.66		
Sale	90.243	07/22/20	07/22/20	821.64	838.73		17.09	-17.09		
Sale	109.000	07/22/20	07/22/20	991.87	1,013.05		21.18	-21.18		
Sale	100.000	07/22/20	07/22/20	909.98	929.39		19.41	-19.41		
Sale	81.243	07/22/20	07/22/20	739.29	754.26		14.97	-14.97		
Sale	21.486	07/22/20	07/22/20	195.09	197.32		2.23	-2.23		
Sale	218.757	07/22/20	07/22/20	1,986.26	2,030.95		44.69	-44.69		
Sale	9.757	07/21/20	07/23/20	90.00	92.27		2.27	-2.27		
Sale	7.757	07/22/20	07/23/20	71.56	71.24			0.32		
Sale	0.974	07/22/20	07/23/20	8.98	9.13		0.15	-0.15		
Sale	62.755	07/22/20	07/23/20	578.91	584.20		5.29	-5.29		
Sale	218.757	07/22/20	07/23/20	2,017.98	2,038.66		20.68	-20.68		
Sale	1.026	07/22/20	07/23/20	9.45	9.35			0.10		
Sale	89.269	07/22/20	07/23/20	823.04	830.60		7.56	-7.56		
Sale	227.488	07/22/20	07/23/20	2,097.39	2,116.92		19.53	-19.53		
Sale	21.486	07/22/20	07/23/20	198.10	198.08			0.02		
Sale	10.731	07/22/20	07/23/20	98.94	100.23		1.29	-1.29		
Sale	5.731	07/22/20	07/29/20	49.74	52.24		2.50	-2.50		

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Recipient ID No. **\*\*\*-\*\*-8898** Payer's Fed ID Number: 04-3523567

FORM 1099-B\*

## 2020 Proceeds from Broker and Barter Exchange Transactions

Copy B for Recipient OMB No. 1545-0715

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(IRS Form 1099-B box numbers are shown below in **bold** type)

1a Description of property, Stock or Other Symbol, CUSIP	Quantity	1b Date Acquired	1c Date Sold or Disposed	1d Proceeds	1e Cost or Other Basis (b)	1f Accrued Market Discount	1g Wash Sale Loss Disallowed	Gain/Loss (-)	4 Federal Income Tax Withheld	14 State Tax Withheld
CONSTELLIUM SE (FRANCE) EUR0.02 CLASS A, CSTM, F21107101										
Sale	1.416	07/22/20	07/29/20	12.29	13.04		0.75	-0.75		
Sale	280.096	07/28/20	07/29/20	2,431.18	2,528.50		97.32	-97.32		
Sale	327.488	07/28/20	07/29/20	2,842.53	2,954.49		111.96	-111.96		
Sale	23.416	07/29/20	07/29/20	203.25	209.22		5.97	-5.97		
Sale	0.853	07/29/20	07/29/20	7.40	7.62		0.22	-0.22		
Sale	0.756	07/22/20	07/31/20	6.05	7.09		1.04	-1.04		
Sale	450.000	07/30/20	07/31/20	3,599.93	3,689.03		55.74	-89.10		
Sale	0.244	07/30/20	07/31/20	1.94	2.00			-0.06		
Sale	0.068	07/30/20	07/31/20	0.53	0.56			-0.03		
Sale	275.068	08/12/20	09/02/20	2,309.14	2,423.38			-114.24		
Sale	1.847	08/12/20	09/02/20	15.51	16.24			-0.73		
Sale	187.085	08/13/20	09/02/20	1,570.54	1,671.01			-100.47		
Sale	0.847	08/13/20	09/02/20	7.10	7.50			-0.40		
<b>Subtotals</b>				<b>32,559.82</b>	<b>33,064.06</b>		<b>521.44</b>			
COOTEK CAYMAN INC SPON ADS EACH REP 50OR, CTK, 21718L102										
Sale	80.000	12/15/20	12/15/20	343.99	340.00			3.99		
Sale	120.000	12/15/20	12/15/20	512.38	510.00			2.38		
<b>Subtotals</b>				<b>856.37</b>	<b>850.00</b>					
CORBUS PHARMACEUTICALS HLDGS I COM, CRBP, 21833P103										
Sale	1.020	09/08/20	09/08/20	2.26	2.17			0.09		
Sale	933.980	09/08/20	09/08/20	2,069.74	1,997.79			71.95		

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FORM 1099-B\*

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CORBUS PHARMACEUTICALS HLDGS I COM, CRBP, 21833P103										
Sale	0.020	09/08/20	09/08/20	0.04	0.04			0.00		
Sale	3,000.000	09/22/20	09/23/20	4,709.89	4,950.00		95.65	-240.11		
Sale	1,192.000	10/01/20	10/27/20	1,130.94	2,319.67		1,188.73	-1,188.73		
Sale	3.000	10/01/20	10/27/20	2.85	5.84		2.99	-2.99		
Sale	0.167	10/01/20	10/27/20	0.16	0.33		0.17	-0.17		
Sale	949.000	10/07/20	11/02/20	933.22	1,895.40		962.18	-962.18		
Sale	246.000	10/18/20	11/13/20	319.79	566.74		246.95	-246.95		
Sale	0.167	10/18/20	11/13/20	0.22	0.39		0.17	-0.17		
Sale	949.000	10/18/20	11/13/20	1,233.67	2,202.14		968.47	-968.47		
Sale	3,002.833	11/13/20	11/13/20	3,903.59	3,923.51		1.93	-19.92		
Sale	2.000	11/13/20	11/13/20	2.60	2.60			0.00		
Sale	9.000	10/18/20	12/03/20	11.88	20.91		9.03	-9.03		
Sale	0.435	10/18/20	12/03/20	0.56	1.01		0.45	-0.45		
Sale	0.508	11/12/20	12/17/20	0.66	1.20		0.54	-0.54		
Sale	255.000	11/12/20	12/17/20	335.32	603.21		267.89	-267.89		
Sale	748.492	11/12/20	12/17/20	984.24	1,769.50		785.26	-785.26		
Sale	466.000	12/08/20	12/17/20	612.77	811.51		198.74	-198.74		
Sale	5.508	12/08/20	12/17/20	7.25	7.47		0.22	-0.22		
Sale	9.000	11/05/20	12/21/20	13.05	22.66		9.61	-9.61		
Sale	0.435	11/05/20	12/21/20	0.63	1.11		0.48	-0.48		
Sale	0.508	11/16/20	12/21/20	0.74	1.31		0.57	-0.57		
Sale	255.000	11/16/20	12/21/20	369.74	654.22		284.48	-284.48		
Sale	1,220.000	12/12/20	12/21/20	1,768.97	2,832.52		1,063.55	-1,063.55		

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FORM 1099-B\*

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CORBUS PHARMACEUTICALS HLDGS I COM, CRBP, 21833P103										
Sale	615.057	12/21/20	12/21/20	891.80	931.81		40.01	-40.01		
<b>Subtotals</b>				<b>19,306.58</b>	<b>25,525.06</b>		<b>6,128.07</b>			
DISCOVER FINL SVCS, DFS, 254709108										
Sale	0.726	05/05/20	06/05/20	44.65	30.86			13.79		
Sale	10.274	05/05/20	06/05/20	631.83	436.65			195.18		
Sale	0.726	05/05/20	06/05/20	44.64	30.85			13.79		
<b>Subtotals</b>				<b>721.12</b>	<b>498.36</b>					
FISERV INC, FISV, 337738108										
Sale	27.319	03/29/19	03/02/20	3,059.69	2,049.98(e)			1,009.71		
Sale	22.681	06/28/19	03/02/20	2,540.18	1,757.44(e)			782.74		
Sale	6.293	06/28/19	03/09/20	628.42	487.58(e)			140.84		
Sale	24.134	09/30/19	03/09/20	2,410.17	2,125.02(e)			285.15		
Sale	19.574	12/31/19	03/09/20	1,954.79	1,923.83(e)			30.96		
Sale	2.047	12/31/19	05/21/20	212.88	201.19(e)			11.69		
Sale	17.953	03/31/20	05/21/20	1,867.07	1,534.82(e)			332.25		
Sale	5.000	03/31/20	05/27/20	522.48	427.45(e)			95.03		
Sale	0.542	03/31/20	07/17/20	54.73	46.34(e)			8.39		
Sale	1.362	03/31/20	07/17/20	137.53	116.41(e)			21.12		
Sale	22.638	06/30/20	07/17/20	2,286.41	2,209.95(e)			76.46		
Sale	0.001	06/30/20	11/06/20	0.09	0.09(e)			0.00		
Sale	20.999	09/30/20	11/06/20	2,164.01	2,163.96(e)			0.05		

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Copy B for Recipient OMB No. 1545-0715

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(IRS Form 1099-B box numbers are shown below in **bold** type)

1a Description of property, Stock or Other Symbol, CUSIP	Quantity	1b Date Acquired	1c Date Sold or Disposed	1d Proceeds	1e Cost or Other Basis (b)	1f Accrued Market Discount	1g Wash Sale Loss Disallowed	Gain/Loss (-)	4 Federal Income Tax Withheld	14 State Tax Withheld
FISERV INC, FISV, 337738108										
Sale	0.447	09/30/20	11/06/20	46.05	46.06(e)			-0.01		
<b>Subtotals</b>				<b>17,884.50</b>	<b>15,090.12</b>					
HALL OF FAME RESORT & ENTMT CO COM, HOFV, 40619L102										
Sale	1.000	11/09/20	11/09/20	2.46	2.63		0.17	-0.17		
Sale	57.000	11/09/20	11/09/20	142.49	149.91		7.42	-7.42		
Sale	400.000	11/09/20	11/09/20	995.97	1,052.00		56.03	-56.03		
Sale	492.000	11/09/20	11/09/20	1,210.29	1,293.96		83.67	-83.67		
Sale	50.000	11/09/20	11/09/20	123.99	131.50		7.51	-7.51		
Sale	3,752.000	11/17/20	11/23/20	4,934.89	4,407.47			527.42		
Sale	1.000	11/17/20	11/23/20	1.32	1.34		0.02	-0.02		
Sale	57.000	11/17/20	11/23/20	74.97	74.38			0.59		
Sale	400.000	11/17/20	11/23/20	526.11	525.91			0.20		
Sale	492.000	11/17/20	11/23/20	647.11	661.62		14.51	-14.51		
Sale	50.000	11/17/20	11/23/20	65.76	66.25		0.49	-0.49		
Sale	22.000	11/17/20	11/23/20	28.94	25.74			3.20		
Sale	0.951	11/17/20	11/23/20	1.24	1.14			0.10		
Sale	150.000	12/02/20	12/17/20	204.74	218.17		13.43	-13.43		
Sale	392.049	12/02/20	12/17/20	533.17	569.24		36.07	-36.07		
Sale	2.760	12/02/20	12/17/20	3.75	4.17		0.42	-0.42		
Sale	147.240	12/02/20	12/17/20	200.24	213.38		13.14	-13.14		
Sale	156.951	12/08/20	12/17/20	213.45	223.66		10.21	-10.21		

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# 2020 TAX REPORTING STATEMENT

SHASHANK THAPLIYAL

Account No. **X91-690343** Customer Service: 800-544-6666  
Recipient ID No. **\*\*\*-\*\*-8898** Payer's Fed ID Number: 04-3523567

FORM 1099-B\*

## 2020 Proceeds from Broker and Barter Exchange Transactions

Copy B for Recipient OMB No. 1545-0715

**Short-term transactions for which basis is reported to the IRS** --report on Form 8949 with Box A checked and/or Schedule D, Part I  
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(IRS Form 1099-B box numbers are shown below in **bold** type)

1a Description of property, Stock or Other Symbol, CUSIP	Quantity	1b Date Acquired	1c Date Sold or Disposed	1d Proceeds	1e Cost or Other Basis (b)	1f Accrued Market Discount	1g Wash Sale Loss Disallowed	Gain/Loss (-)	4 Federal Income Tax Withheld	14 State Tax Withheld
HALL OF FAME RESORT & ENTMT CO COM, HOFV, 40619L102										
Sale	151.000	12/14/20	12/17/20	205.36	205.32			0.04		
<b>Subtotals</b>				<b>10,116.25</b>	<b>9,827.79</b>		<b>243.09</b>			
ICLICK INTERACTIVE ASIA GROUP LTD SPON A, ICLK, 45113Y104										
Sale	804.000	03/09/20	04/13/20	3,537.52	3,931.56			-394.04		
Sale	10.000	03/09/20	04/13/20	43.99	48.90			-4.91		
Sale	3.000	03/09/20	04/13/20	13.20	14.73			-1.53		
Sale	0.979	03/09/20	04/13/20	4.30	4.81			-0.51		
<b>Subtotals</b>				<b>3,599.01</b>	<b>4,000.00</b>					
INMODE LTD COM ILS0.01, INMD, M5425M103										
Sale	100.000	04/14/20	04/28/20	2,349.94	2,500.00		1.44	-150.06		
Sale	43.000	04/14/20	06/03/20	1,418.96	1,075.00			343.96		
Sale	0.960	04/14/20	06/03/20	31.67	25.44			6.23		
Sale	100.000	07/21/20	07/21/20	3,374.92	3,340.00			34.92		
Sale	0.275	07/21/20	07/21/20	9.27	9.19			0.08		
Sale	62.725	07/21/20	07/21/20	2,116.92	2,095.01			21.91		
Sale	1.275	07/21/20	07/21/20	43.03	42.65			0.38		
<b>Subtotals</b>				<b>9,344.71</b>	<b>9,087.29</b>		<b>1.44</b>			
ITERUM THERAPEUTICS PLC COM USD0.01, ITRM, G6333L101										
Sale	9.657	10/02/20	10/27/20	4.68	11.03		6.35	-6.35		
Sale	1,737.343	10/02/20	10/27/20	842.60	1,988.22		224.86	-1,145.62		
Sale	0.657	10/02/20	10/27/20	0.32	1.18			-0.86		

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Recipient ID No. **\*\*\*-\*\*-8898** Payer's Fed ID Number: 04-3523567

FORM 1099-B\*

## 2020 Proceeds from Broker and Barter Exchange Transactions

Copy B for Recipient OMB No. 1545-0715

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(IRS Form 1099-B box numbers are shown below in **bold** type)

1a Description of property, Stock or Other Symbol, CUSIP	Quantity	1b Date Acquired	1c Date Sold or Disposed	1d Proceeds	1e Cost or Other Basis (b)	1f Accrued Market Discount	1g Wash Sale Loss Disallowed	Gain/Loss (-)	4 Federal Income Tax Withheld	14 State Tax Withheld
ITERUM THERAPEUTICS PLC COM USD0.01, ITRM, G6333L101										
Sale	350.000	10/31/20	12/03/20	321.99	510.78			-188.79		
<b>Subtotals</b>				<b>1,169.59</b>	<b>2,511.21</b>		<b>231.21</b>			
MODERNA INC COM, MRNA, 60770K107										
Sale	6.000	12/08/20	12/15/20	881.98	991.03		0.98	-109.05		
MYOS RENS TECHNOLOGY INC COM, 62857P108										
Sale	1,123.000	08/05/20	08/06/20	2,077.50	1,987.71			89.79		
Sale	7.000	08/05/20	08/06/20	12.95	12.43			0.52		
Sale	0.391	08/05/20	08/06/20	0.71	0.69			0.02		
Sale	736.000	08/10/20	08/11/20	1,162.85	1,262.24		0.02	-99.39		
Sale	3,860.000	08/10/20	08/11/20	6,098.66	6,639.20			-540.54		
Sale	3.000	08/10/20	08/11/20	4.74	5.16			-0.42		
Sale	0.133	08/10/20	08/11/20	0.21	0.25			-0.04		
<b>Subtotals</b>				<b>9,357.62</b>	<b>9,907.68</b>		<b>0.02</b>			
NIKOLA CORP COM, NKLA, 654110105										
Sale	50.000	12/08/20	12/11/20	875.23	937.30		0.43	-62.07		
QUANTUMSCAPE CORP COM CL A, QS, 74767V109										
Sale	25.000	12/17/20	12/21/20	2,274.94	1,599.25			675.69		
Sale	2.000	12/17/20	12/21/20	189.99	127.94			62.05		
Sale	0.168	12/17/20	12/21/20	15.95	10.75			5.20		

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# 2020 TAX REPORTING STATEMENT

SHASHANK THAPLIYAL

Account No. **X91-690343** Customer Service: 800-544-6666  
Recipient ID No. **\*\*\*-\*\*-8898** Payer's Fed ID Number: 04-3523567

FORM 1099-B\*

## 2020 Proceeds from Broker and Barter Exchange Transactions

Copy B for Recipient OMB No. 1545-0715

**Short-term transactions for which basis is reported to the IRS** --report on Form 8949 with Box A checked and/or Schedule D, Part I  
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(IRS Form 1099-B box numbers are shown below in **bold** type)

1a Description of property, Stock or Other Symbol, CUSIP	Quantity	1b Date Acquired	1c Date Sold or Disposed	1d Proceeds	1e Cost or Other Basis (b)	1f Accrued Market Discount	1g Wash Sale Loss Disallowed	Gain/Loss (-)	4 Federal Income Tax Withheld	14 State Tax Withheld
QUANTUMSCAPE CORP COM CL A, QS, 74767V109										
Sale	49.000	12/23/20	12/23/20	5,732.87	5,488.49			244.38		
<b>Subtotals</b>				<b>8,213.75</b>	<b>7,226.43</b>					
SATSUMA PHARMACEUTICALS INC COM, STSA, 80405P107										
Sale	800.000	09/11/20	09/11/20	3,799.91	3,968.00		168.09	-168.09		
Sale	10.000	09/11/20	09/15/20	48.30	49.60		1.30	-1.30		
Sale	1.816	09/11/20	09/15/20	8.77	9.41		0.64	-0.64		
Sale	15.000	09/15/20	09/15/20	72.45	69.73			2.72		
Sale	798.184	09/15/20	09/15/20	3,855.14	3,878.39		22.25	-23.25		
Sale	3.816	09/11/20	10/27/20	14.60	18.24			-3.64		
Sale	0.379	09/11/20	10/27/20	1.45	1.81			-0.36		
Sale	769.000	10/02/20	10/27/20	2,942.35	3,013.90			-71.55		
Sale	1.805	10/02/20	10/27/20	6.91	7.07			-0.16		
Sale	0.679	10/02/20	10/27/20	2.57	2.66			-0.09		
<b>Subtotals</b>				<b>10,752.45</b>	<b>11,018.81</b>		<b>192.28</b>			
SIMON PPTY GRP INC, SPG, 828806109										
Sale	39.000	06/16/20	06/29/20	2,612.16	2,944.50		249.73	-332.34		
Sale	0.735	06/16/20	07/28/20	46.04	61.75			-15.71		
Sale	28.000	06/18/20	07/28/20	1,754.01	2,198.60			-444.59		
Sale	0.265	06/18/20	07/28/20	16.60	20.81			-4.21		
Sale	0.306	06/18/20	07/28/20	19.15	24.03			-4.88		
<b>Subtotals</b>				<b>4,447.96</b>	<b>5,249.69</b>		<b>249.73</b>			

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FORM 1099-B\*

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SOLAREEDGE TECHNOLOGIES INC, SEDG, 83417M104										
Sale	15.000	09/22/20	09/23/20	2,848.61	2,756.48			92.13		
Sale	0.811	09/22/20	09/23/20	153.92	149.06			4.86		
Sale	4.000	11/03/20	11/05/20	938.41	859.42			78.99		
Sale	0.345	11/03/20	12/03/20	94.50	74.07			20.43		
Sale	8.000	03/09/20	05/29/20	1,119.97	923.63			196.34		
Sale	0.604	03/09/20	05/29/20	84.55	69.71			14.84		
<b>Subtotals</b>				<b>5,239.96</b>	<b>4,832.37</b>					
STORE CAP CORP COM, STOR, 862121100										
Sale	0.004	06/01/20	08/05/20	0.10	0.08			0.02		
Sale	21.996	06/01/20	08/05/20	548.21	448.05			100.16		
Sale	0.004	06/01/20	08/05/20	0.10	0.08			0.02		
<b>Subtotals</b>				<b>548.41</b>	<b>448.21</b>					
WILHELMINA INTERNATIONAL INC, WHLM, 968235200										
Sale	0.488	08/23/20	08/31/20	1.55	4.61			-3.06		
Sale	119.000	08/26/20	08/31/20	390.91	591.68		3.08	-200.77		
Sale	236.000	08/26/20	08/31/20	775.24	975.14			-199.90		
Sale	0.190	08/26/20	08/31/20	0.62	1.03			-0.41		
Sale	420.000	08/28/20	08/31/20	1,379.67	1,320.90			58.77		
Sale	239.810	08/28/20	08/31/20	787.76	1,179.55			-391.79		
Sale	34.000	08/28/20	08/31/20	111.69	106.93			4.76		
Sale	1.229	07/27/20	07/27/20	11.68	12.41		0.73	-0.73		

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# 2020 TAX REPORTING STATEMENT

SHASHANK THAPLIYAL

Account No. **X91-690343** Customer Service: 800-544-6666  
Recipient ID No. **\*\*\*-\*\*-8898** Payer's Fed ID Number: 04-3523567

FORM 1099-B\*

## 2020 Proceeds from Broker and Barter Exchange Transactions

Copy B for Recipient OMB No. 1545-0715

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(IRS Form 1099-B box numbers are shown below in **bold** type)

1a Description of property, Stock or Other Symbol, CUSIP	Quantity	1b Date Acquired	1c Date Sold or Disposed	1d Proceeds	1e Cost or Other Basis (b)	1f Accrued Market Discount	1g Wash Sale Loss Disallowed	Gain/Loss (-)	4 Federal Income Tax Withheld	14 State Tax Withheld
WILHELMINA INTERNATIONAL INC, WHLM, 968235200										
Sale	296.000	07/27/20	07/27/20	2,811.94	2,995.11		183.17	-183.17		
Sale	100.000	07/27/20	07/27/20	949.98	1,009.00		59.02	-59.02		
Sale	197.771	07/27/20	07/27/20	1,878.77	1,993.53		114.76	-114.76		
Sale	0.682	07/27/20	07/30/20	3.17	7.30		4.13	-4.13		
Sale	1.547	07/27/20	07/30/20	7.33	16.52		9.19	-9.19		
Sale	10.000	07/30/20	07/30/20	47.33	65.99		18.66	-18.66		
Sale	5.453	07/30/20	07/30/20	25.81	35.92		10.11	-10.11		
Sale	296.000	07/30/20	07/30/20	1,401.02	1,926.14		525.12	-525.12		
Sale	0.682	07/31/20	08/05/20	2.57	6.98		4.41	-4.41		
Sale	45.318	08/03/20	08/05/20	170.71	216.18		45.47	-45.47		
Sale	73.000	08/03/20	08/05/20	274.99	442.53		167.54	-167.54		
Sale	236.000	08/03/20	08/05/20	890.88	1,123.80		232.92	-232.92		
Sale	0.190	08/03/20	08/05/20	0.69	1.12		0.43	-0.43		
<b>Subtotals</b>				<b>11,924.31</b>	<b>14,032.37</b>		<b>1,378.74</b>			
<b>TOTALS</b>				<b>351,606.40</b>	<b>370,313.43</b>	<b>0.00</b>	<b>19,722.79</b>		<b>8,760.66</b>	<b>0.00</b>
									<b>Box A Short-Term Realized Gain</b>	
									<b>Box A Short-Term Realized Loss</b>	<b>-27,467.69</b>

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# 2020 TAX REPORTING STATEMENT

SHASHANK THAPLIYAL

Account No. **X91-690343** Customer Service: 800-544-6666  
Recipient ID No. **\*\*\*-\*\*-8898** Payer's Fed ID Number: 04-3523567

FORM 1099-B\*

## 2020 Proceeds from Broker and Barter Exchange Transactions

Copy B for Recipient OMB No. 1545-0715

For any transaction listed on Form 1099-B in a section indicating that "**basis is reported to the IRS**", we are reporting to the IRS: **1a** Description of Property, **2** type of gain or loss (i.e. short-term or long-term), **3** Proceeds from QOF (Qualified Opportunity Fund), **6** Gross or Net Proceeds, **12** basis reported to IRS, and columns **1b, 1c, 1d, 1e, 1f, 1g, 4, 7, 14, 15** and **16**. We are not reporting to the IRS: the Action, the Gain/Loss, and all subtotals and totals.

For any transaction listed on Form 1099-B in a section indicating that "**basis is not reported to the IRS**", we are reporting to the IRS: **1a** Description of Property, **3** Proceeds from QOF (Qualified Opportunity Fund), **5** Noncovered security, **6** Gross or Net Proceeds, and columns **1c, 1d, 4, 14, 15** and **16**. We are not reporting to the IRS: **2** type of gain or loss (i.e. short-term or long-term), the Action, the Gain/Loss, columns **1b, 1e, 1f, 1g, 2, 7** and **12** and all subtotals and totals.

For any section 1256 option contracts we are reporting to the IRS: **1a** Description of Property and totals for boxes **8, 9, 10** and **11**.

Although Fidelity makes every effort to provide accurate information, please bear in mind that you, the taxpayer, are ultimately responsible for the accuracy of your tax returns.

- (b) Cost or other basis provided may include adjustments including, but not limited to, dividend reinvestment, return of capital/principal, wash sale loss disallowed, amortization, accretion, acquisition premium, bond premium, market discount, market premium, and option premium.
- (e) Your 1099-B reflects shares disposed of that were acquired through your employers stock plan. Cost basis associated with these shares may not have been adjusted for any compensation income that was associated with those shares in the year of acquisition or disposal. Please consult a tax advisor for the rules specific to your grant and plan. Refer to the Supplemental Stock Plan Service Lot Detail section of this form for additional detail.

Amortization, accretion, and similar adjustments to cost basis are not provided for short-term instruments and unit investment trusts.

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# 2020 TAX REPORTING STATEMENT

SHASHANK THAPLIYAL

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Recipient ID No. **\*\*\*-\*\*-8898** Payer's Fed ID Number: 04-3523567

## Summary of 2020 Supplemental Information Not Reported to the IRS

Margin Interest Paid .....	0.00	Currency Realized Gain/Loss (USD) .....	0.00
Tax Exempt Investment Expense .....	0.00	Actual Payment Shortfall.....	0.00
Accrued Interest Paid on Purchases .....	0.00	Addition to Basis .....	0.00
Proceeds Investment Expenses .....	0.00	Account Fees.....	0.00
Severance Tax .....	0.00	Short Dividends.....	0.00
Administrative Expenses .....	0.00	Money Market Realized Gain/Loss.....	0.00
Non-deductible Generic Expenses .....	0.00	Short/Long Term Realized Gain/Loss.....	0.00
Deductible Generic Expenses .....	0.00	Mortgage Pool Statement (MBS).....	0.00

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# 2020 SUPPLEMENTAL INFORMATION

SHASHANK THAPLIYAL

Account No. **X91-690343** Customer Service: 800-544-6666

Recipient ID No. **\*\*\*-\*\*-8898** Payer's Fed ID Number: 04-3523567

**Note: This information is not reported to the IRS. It may assist you in tax return preparation.**

## Details of 1099-DIV Transactions

### Total Ordinary Dividends and Distributions Detail

Description, Symbol, CUSIP									
Date	<b>1a</b> Total Ordinary Dividends (includes 1b and 5)	Dividend Distributions	Short-Term Capital Gains	<b>1b</b> Qualified Dividends	<b>5</b> Section 199A Dividends	<b>11</b> Exempt Interest Dividends	<b>12</b> Specified Private Activity Bond Interest Dividends	<b>7</b> Foreign Tax Paid	
DISCOVER FINANCIAL SERVICES, DFS, 254709108									
06/04/20	5.16			5.16					
FIDELITY GOVERNMENT MONEY MARKET, SPAXX, 31617H102									
03/31/20	0.17	0.17							
06/30/20	0.02	0.02							
07/31/20	0.02	0.02							
08/31/20	0.03	0.03							
09/30/20	0.04	0.04							
10/30/20	0.01	0.01							
11/30/20	0.03	0.03							
12/31/20	0.03	0.03							
<b>Subtotals</b>	<b>0.35</b>	<b>0.35</b>							
SIMON PROPERTY GROUP INC, SPG, 828806109									
07/24/20	37.10			2.90	34.20				
STORE CAP CORP COM, STOR, 862121100									
07/15/20	5.84				5.84				
<b>TOTALS</b>	<b>48.45</b>	<b>0.35</b>	<b>0.00</b>	<b>8.06</b>	<b>40.04</b>	<b>0.00</b>	<b>0.00</b>	<b>0.00</b>	<b>0.00</b>

Short-term capital gain distributions reported on monthly/quarterly account statements are included in **1a** Total Ordinary Dividends on Form 1099-DIV.

To see the **2020** State Percentages of Tax-Exempt Income for Fidelity Federal Tax-Exempt Funds or the Percentage of Income from U.S. Government Securities for applicable Fidelity Funds, visit [Fidelity.com/fundtaxinfo](https://www.fidelity.com/fundtaxinfo).



# 2020 SUPPLEMENTAL INFORMATION

SHASHANK THAPLIYAL

Account No. **X91-690343** Customer Service: 800-544-6666

Recipient ID No. **\*\*\*-\*\*-8898** Payer's Fed ID Number: 04-3523567

**Note: This information is not reported to the IRS. It may assist you in tax return preparation.**

## Details of 1099-DIV Transactions

### Total Capital Gains Distributions Detail

Description, Symbol, CUSIP					
Date	2a Total Capital Gain Distr. (m)	Capital Gain Distributions Subject to Applicable Rate (m)	2b Unrecaptured Section 1250 Gain	2c Section 1202 Gain	2d Collectibles (28%) Gain
SIMON PROPERTY GROUP INC, SPG, 828806109					
07/24/20	1.00	0.90	0.10		
STORE CAP CORP COM, STOR, 862121100					
07/15/20	0.09	0.07	0.02		
<b>TOTALS</b>	<b>1.09</b>	<b>0.97</b>	<b>0.12</b>	<b>0.00</b>	<b>0.00</b>

(m) 2a Total Capital Gain includes 2b, 2c and 2d. The portion of Capital Gain Distributions is subject to Applicable Rate.

### Other Distributions, Tax and Expense Detail

Description, Symbol, CUSIP							
Date	3 Non Dividend Distribution	4 Federal Income Tax Withheld	13 State	15 State Tax Withheld	6 Investment Expenses (n)	9 Cash Liquidation Distribution	10 Noncash Liquidation Distribution
STORE CAP CORP COM, STOR, 862121100							
07/15/20	1.77						
<b>TOTALS</b>	<b>1.77</b>	<b>0.00</b>			<b>0.00</b>	<b>0.00</b>	<b>0.00</b>

Dividends and other distributions sometimes must be reclassified by the issuer. As a result, we may be required to send you a corrected Tax Reporting Statement that may affect the information you report on your tax return.

(n) Reported widely held fixed investment trust dividend amounts include expenses which were not distributed to trust holders. Those amounts are listed separately in 1a Total ordinary dividends. The equivalent expense amounts are also detailed in the supplemental (1099-DIV) Other Distribution, Tax, and Expense Details, column 6. Tax exempt interest dividend expenses are listed as separate entries in column 11 and in the separate Tax-Exempt Interest Expenses section shown later in this statement.







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## Detail Information

## Supplemental Stock Plan Lot Detail

Based on the disposal method you have selected, the lots that appear on your 1099 Supplemental may differ from the lots on the 1099-B.

### Short-Term Transactions

Description of Property, Stock or Other Symbol, Cusip								
Grant Type (w)	Quantity	Date of Acquisition (x)	Date Sold or Disposed	Proceeds	Ordinary Income Reported (y)	Adjusted Cost or Other Basis (z)	Wash Sale Loss Disallowed	Adjusted Gain/Loss
FISERV INC, FISV, 337738108								
QSP	27.319	03/29/19	03/02/20	3,059.69	361.76	2,411.74	0.00	647.95
QSP	22.681	06/28/19	03/02/20	2,540.18	310.14	2,067.58	0.00	472.60
QSP	6.293	06/28/19	03/09/20	628.42	86.04	573.62	0.00	54.80
QSP	24.134	09/30/19	03/09/20	2,410.17	374.99	2,500.01	0.00	-89.84
QSP	19.574	12/31/19	03/09/20	1,954.79	339.49	2,263.32	0.00	-308.53
QSP	2.047	12/31/19	05/21/20	212.88	35.50	236.69	0.00	-23.81
QSP	17.953	03/31/20	05/21/20	1,867.07	170.54	1,705.36	0.00	161.71
QSP	5.000	03/31/20	05/27/20	522.48	47.50	474.95	0.00	47.53
QSP	0.542	03/31/20	07/17/20	54.73	5.15	51.49	0.00	3.24
QSP	1.362	03/31/20	07/17/20	137.53	12.93	129.34	0.00	8.19
QSP	22.638	06/30/20	07/17/20	2,286.41	0.00	2,209.95	0.00	76.46
QSP	0.001	06/30/20	11/06/20	0.09	0.00	0.09	0.00	0.00
QSP	20.999	09/30/20	11/06/20	2,164.01	0.00	2,163.96	0.00	0.05
QSP	0.447	09/30/20	11/06/20	46.05	0.00	46.06	0.00	-0.01
<b>Totals</b>				<b>17,884.50</b>		<b>16,834.16</b>		
				<b>Short-Term Adjusted Realized Gain</b>				<b>1,472.53</b>
				<b>Short-Term Adjusted Realized Loss</b>				<b>-422.19</b>
				<b>Wash Sale Loss Disallowed</b>			<b>0.00</b>	

(w) Grant Type describes the equity award source of the lot you sold this tax year. Please see the Grant Type table for additional description.



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Recipient ID No. **\*\*\*-\*\*-8898** Payer's Fed ID Number: 04-3523567

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## Detail Information

## Supplemental Stock Plan Lot Detail

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Grant Type	Equity Award Type	Acquisition date represents:
DO	Deposit Only Shares	Deposit Date
NQSOP	Non Qualified Stock Option Shares	Exercise Date
NQSP	Non Qualified ESPP Shares	Purchase Date
NSR	Non-Incentive SAR (NSR)	Exercise Date
QSOP	Qualified Stock Option Shares	Exercise Date
QSP	Qualified ESPP Shares	Purchase Date
RSA	Restricted Awards	Vesting Date
RSU	Restricted Units	Distribution Date
RSU	Performance Units	Distribution Date
RSU	Total Shareholder Return Units	Distribution Date
SAR	Stock Appreciation Rights	Exercise Date

- (x) Date of Acquisition is the date that shares were acquired from your Equity Plan and deposited into your brokerage account.
- (y) Fidelity-calculated ordinary income that was reported on the W2 from the year you acquired the shares. Fidelity-calculated ordinary income does not include any adjustments that your company has made. Fidelity is not responsible for any adjustments that your company may have made to this number.
- (z) Adjusted cost or other basis provided may include the following adjustments: ordinary income reported, dividend reinvestment, return of capital/principal and wash sale loss disallowed.

**Important Tax Return Document Enclosed.**

