

E\*TRADE SECURITIES LLC  
PO BOX 484  
JERSEY CITY, NJ 07303-0484

Account No: 36962650  
Account Name: PRAVEEN KUMAR RAWAT  
Recipient's TIN: \*\*\*-\*\*-6634

Account Executive No:

ORIGINAL: 12/31/2020

## CONSOLIDATED 2020 FORMS 1099 AND DETAILS

PRAVEEN KUMAR RAWAT  
4261 TURNWORTH ARCH  
VIRGINIA BEACH, VA 23456-7792

### YEAR-END MESSAGES

CERTAIN EVENTS SUCH AS COST BASIS, ORIGINAL ISSUE DISCOUNT ADJUSTMENTS OR RECLASSIFICATIONS OF AN INCOME PAYMENT RECEIVED FROM A MUTUAL FUND, ETF, REIT, OR RIC MAY RESULT IN AN AMENDED 1099 FOR PRIOR OR CURRENT TAX YEARS. PLEASE SEE INSERT FOR DETAILS OR VISIT [WWW.ETRADE.COM/TAXCENTER](http://WWW.ETRADE.COM/TAXCENTER) FOR ANY UPDATES. IF YOU HAVE QUESTIONS PLEASE CALL 800-ETRADE-1 (800-387-2331) OR LOG ON TO YOUR ACCOUNT AND SEND US A SECURE MESSAGE BY CLICKING ON THE CUSTOMER SERVICE LINK AT THE TOP OF THE PAGE

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Your Account did not receive the following Forms:

1099-DIV  
1099-INT  
1099-OID  
1099-MISC

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**FORM 1099-B TOTALS SUMMARY**

**REALIZED GAIN / LOSS SUMMARY**

Refer to Proceeds from Broker and Barter Exchange Transactions for detailed information regarding these summary values. The amounts shown below are for informational purposes only.

<b>SHORT-TERM GAINS OR (LOSSES) – REPORT ON FORM 8949, PART I</b>	<b>PROCEEDS</b>	<b>COST BASIS</b>	<b>MARKET DISCOUNT</b>	<b>WASH SALE LOSS DISALLOWED</b>	<b>REALIZED GAIN OR (LOSS)</b>
Box A (basis reported to IRS)	\$60,428.26	\$59,373.48	\$0.00	\$1,987.66	\$1,054.78
Box A – Ordinary – (basis reported to IRS)	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00
Box B (basis not reported to IRS)	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00
Box B – Ordinary – (basis not reported to IRS)	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00
<b>Total Short-Term</b>	<b>\$60,428.26</b>	<b>\$59,373.48</b>	<b>\$0.00</b>	<b>\$1,987.66</b>	<b>\$1,054.78</b>
<b>LONG-TERM GAINS OR (LOSSES) – REPORT ON FORM 8949, PART II</b>					
Box D (basis reported to IRS)	\$13,012.94	\$13,034.58	\$0.00	\$0.00	(\$21.64)
Box D – Ordinary – (basis reported to IRS)	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00
Box E (basis not reported to IRS)	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00
Box E – Ordinary – (basis not reported to IRS)	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00
<b>Total Long-Term</b>	<b>\$13,012.94</b>	<b>\$13,034.58</b>	<b>\$0.00</b>	<b>\$0.00</b>	<b>(\$21.64)</b>
<b>UNKNOWN TERM – CODE (X) REPORT ON FORM 8949 PART I OR PART II</b>					
Box B or Box E (basis not reported to IRS)	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00
Box B or Box E – Ordinary – (basis not reported to IRS)	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00
<b>Total Unknown Term</b>	<b>\$0.00</b>	<b>\$0.00</b>	<b>\$0.00</b>	<b>\$0.00</b>	<b>\$0.00</b>

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**RECIPIENT'S Name, Street Address, City, State, and Zip Code**  
 PRAVEEN KUMAR RAWAT  
 4261 TURNWORTH ARCH  
 VIRGINIA BEACH, VA 23456-7792

**PAYER'S TIN:** 35-2167612  
**PAYER'S Name, Street, City, State, Zip Code:**  
 E\*TRADE SECURITIES LLC  
 PO BOX 484  
 JERSEY CITY, NJ 07303-0484  
**Telephone Number:** 800 387 2331

FATCA Filing Requirement

**2020 FORM 1099-B: PROCEEDS FROM BROKER AND BARTER EXCHANGE TRANSACTIONS**

**OMB NO. 1545-0715**

The information provided below is in accordance with Federal tax regulations and the IRS instructions that govern our reporting requirements. You should review this information carefully when completing your Form 8949 and Schedule D. There may be instances where our reporting requirements will not be consistent with your particular tax accounting position or elections. For these reasons, the IRS requires us to provide you with this reminder: **Taxpayers are ultimately responsible for the accuracy of their tax returns.**

**Covered Short-Term Gains or Losses on Gross Proceeds**  
 Report on **Form 8949, Part I** with **Box A** checked

**Box 6:** Gross Proceeds

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

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

**Box 2:** Type of Gain or Loss – **Short-Term**

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Description of property CUSIP (Box 1a)	Quantity Sold	Date Acquired (Box 1b)	Date Sold or Disposed (Box 1c)	Proceeds (Box 1d)	Cost or Other Basis (Box 1e)	Accrued Market Discount (Box 1f)	Wash Sale Loss Disallowed (Box 1g)	Gain/Loss Amount	Additional Information
ADVAXIS INC COMMON STOCK CUSIP: 007624307	880.00000 20.00000	02/26/2020 02/26/2020	03/10/2020 03/10/2020	\$657.86 \$14.99	\$793.58 \$18.04	\$0.00 \$0.00	\$0.00 \$0.00	(\$135.72) (\$3.05)	
<b>Subtotals</b>	<b>900.00000</b>			<b>\$672.85</b>	<b>\$811.62</b>	<b>\$0.00</b>	<b>\$0.00</b>	<b>(\$138.77)</b>	
AVEO PHARMACEUTICALS INC CUSIP: 053588109	399.00000 1,601.00000	05/28/2019 05/28/2019	02/10/2020 02/10/2020	\$217.44 \$872.49	\$288.01 \$1,120.78	\$0.00 \$0.00	\$0.00 \$0.00	(\$70.57) (\$248.29)	
<b>Subtotals</b>	<b>2,000.00000</b>			<b>\$1,089.93</b>	<b>\$1,408.79</b>	<b>\$0.00</b>	<b>\$0.00</b>	<b>(\$318.86)</b>	
AYTU BIOSCIENCE INC COMMON STOCK CUSIP: 054754700	1,000.00000 400.00000 600.00000 2,000.00000 100.00000	03/19/2020 03/19/2020 05/11/2020 05/22/2020 06/22/2020	10/19/2020 10/19/2020 10/19/2020 10/19/2020 10/19/2020	\$1,020.66 \$408.26 \$612.39 \$2,041.32 \$101.99	\$1,745.00 \$555.76 \$939.00 \$2,950.00 \$149.65	\$0.00 \$0.00 \$0.00 \$0.00 \$0.00	\$0.00 \$0.00 \$0.00 \$0.00 \$0.00	(\$724.34) (\$147.50) (\$326.61) (\$908.68) (\$47.66)	

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**2020 FORM 1099-B: PROCEEDS FROM BROKER AND BARTER EXCHANGE TRANSACTIONS, CONTINUED**

**OMB NO. 1545-0715**

**Covered Short-Term Gains or Losses on Gross Proceeds**

Report on Form 8949, Part I with Box A checked

Box 6: Gross Proceeds

Box 5: Box Not Checked (Covered Security)

Box 12: Basis Reported to the IRS

Box 2: Type of Gain or Loss -Short-Term

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AYTU BIOSCIENCE INC COMMON STOCK CUSIP: 054754700	900.00000	06/22/2020	10/19/2020	\$918.59	\$1,346.85	\$0.00	\$0.00	(\$428.26)	
<b>Subtotals</b>	<b>5,000.00000</b>			<b>\$5,103.21</b>	<b>\$7,686.26</b>	<b>\$0.00</b>	<b>\$0.00</b>	<b>(\$2,583.05)</b>	
BIOCEPT INC COMMON STOCK CUSIP: 09072V402	1,162.00000	02/28/2020	05/27/2020	\$551.79	\$491.39	\$0.00	\$0.00	\$60.40	
	38.00000	02/28/2020	05/27/2020	\$17.89	\$16.07	\$0.00	\$0.00	\$1.82	
	3,800.00000	02/28/2020	05/27/2020	\$1,785.50	\$1,606.97	\$0.00	\$0.00	\$178.53	
	5,000.00000	04/24/2020	05/27/2020	\$2,349.35	\$1,922.00	\$0.00	\$0.00	\$427.35	
<b>Subtotals</b>	<b>10,000.00000</b>			<b>\$4,704.53</b>	<b>\$4,036.43</b>	<b>\$0.00</b>	<b>\$0.00</b>	<b>\$668.10</b>	
DIREXION SHARES ETF TRUST DIREXION DAILY JUNIOR GOLD MINERS INDEX BULL 2X SHARES CUSIP: 25460E166	100.00000	03/16/2020	04/21/2020	\$662.25	\$702.50	\$0.00	\$0.00	(\$40.25)	
	400.00000	03/19/2020	04/21/2020	\$2,649.01	\$1,558.00	\$0.00	\$0.00	\$1,091.01	
<b>Subtotals</b>	<b>500.00000</b>			<b>\$3,311.26</b>	<b>\$2,260.50</b>	<b>\$0.00</b>	<b>\$0.00</b>	<b>\$1,050.76</b>	
DIREXION SHS ETF TR DAILY S&P OIL & GAS EXPL & P BULL 2X SHARES CUSIP: 25460G500	27.00000	03/10/2020	05/05/2020	\$1,122.23	\$1,088.64	\$0.00	\$0.00	\$33.59	
GD ENTERTAINMENT & TECHNOLOG INC COM CUSIP: 36830V200	100,000.00000	05/26/2020	07/08/2020	\$56.77	\$146.95	\$0.00	\$0.00	(\$90.18)	
	300,000.00000	05/26/2020	07/08/2020	\$170.32	\$426.95	\$0.00	\$0.00	(\$256.63)	
<b>Subtotals</b>	<b>400,000.00000</b>			<b>\$227.09</b>	<b>\$573.90</b>	<b>\$0.00</b>	<b>\$0.00</b>	<b>(\$346.81)</b>	
GUARDION HEALTH SCIENCES INC COMMON STOCK CUSIP: 40145Q203	8,000.00000	01/03/2020	01/07/2020	\$2,879.79	\$2,009.60	\$0.00	\$0.00	\$870.19	
	200.00000	02/12/2020	02/20/2020	\$57.31	\$57.18	\$0.00	\$0.00	\$0.13	
	4,500.00000	02/12/2020	02/20/2020	\$1,286.43	\$1,286.55	\$0.00	\$0.00	(\$0.12)	
	300.00000	02/12/2020	02/20/2020	\$85.76	\$85.80	\$0.00	\$0.00	(\$0.04)	

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**2020 FORM 1099-B: PROCEEDS FROM BROKER AND BARTER EXCHANGE TRANSACTIONS, CONTINUED**

**OMB NO. 1545-0715**

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<b>Subtotals</b>	<b>13,000.00000</b>			<b>\$4,309.29</b>	<b>\$3,439.13</b>	<b>\$0.00</b>	<b>\$0.00</b>	<b>\$870.16</b>	
HERTZ GLOBAL HOLDINGS INC COM CUSIP: 42806J106	1,000.00000	04/24/2020	05/26/2020	\$1,009.85	\$3,597.80	\$0.00	\$0.00	(\$2,587.95)	
IBIO INC COMMON STOCK CUSIP: 451033203	1,000.00000 250.00000 750.00000 2,000.00000	03/19/2020 05/11/2020 05/11/2020 05/28/2020	05/19/2020 05/19/2020 05/19/2020 06/22/2020	\$1,589.84 \$397.46 \$1,194.63 \$2,879.89	\$1,476.70 \$252.13 \$756.37 \$3,160.00	\$0.00 \$0.00 \$0.00 \$0.00	\$0.00 \$0.00 \$0.00 \$0.00	\$113.14 \$145.33 \$438.26 (\$280.11)	
<b>Subtotals</b>	<b>4,000.00000</b>			<b>\$6,061.82</b>	<b>\$5,645.20</b>	<b>\$0.00</b>	<b>\$0.00</b>	<b>\$416.62</b>	
INSPIREMD INC COMMON STOCK CUSIP: 45779A853	1,000.00000 500.00000	06/08/2020 06/22/2020	07/06/2020 07/06/2020	\$474.27 \$237.13	\$540.00 \$229.05	\$0.00 \$0.00	\$0.00 \$0.00	(\$65.73) \$8.08	
<b>Subtotals</b>	<b>1,500.00000</b>			<b>\$711.40</b>	<b>\$769.05</b>	<b>\$0.00</b>	<b>\$0.00</b>	<b>(\$57.65)</b>	
OASIS PETROLEUM INC COMMON STOCK CUSIP: 674215108	200.00000 301.00000 4,000.00000 499.00000	03/17/2020 03/17/2020 03/17/2020 03/17/2020	04/24/2020 04/24/2020 04/24/2020 04/24/2020	\$121.23 \$182.39 \$2,425.46 \$302.42	\$88.12 \$132.62 \$1,762.40 \$219.86	\$0.00 \$0.00 \$0.00 \$0.00	\$0.00 \$0.00 \$0.00 \$0.00	\$33.11 \$49.77 \$663.06 \$82.56	
<b>Subtotals</b>	<b>5,000.00000</b>			<b>\$3,031.50</b>	<b>\$2,203.00</b>	<b>\$0.00</b>	<b>\$0.00</b>	<b>\$828.50</b>	
ONCONOVA THERAPEUTICS INC COMMON STOCK CUSIP: 68232V405	5,000.00000 700.00000 300.00000 4,000.00000 5,000.00000	12/16/2019 12/26/2019 12/26/2019 12/26/2019 02/21/2020	11/05/2020 12/09/2020 12/09/2020 12/14/2020 12/14/2020	\$1,312.88 \$218.45 \$93.58 \$1,292.30 \$1,615.37	\$1,600.50 \$224.00 \$96.00 \$1,280.00 \$2,600.00	\$0.00 \$0.00 \$0.00 \$0.00 \$0.00	\$0.00 \$0.00 \$0.00 \$0.00 \$0.00	(\$287.62) (\$5.55) (\$2.42) \$12.30 (\$984.63)	
<b>Subtotals</b>	<b>15,000.00000</b>			<b>\$4,532.58</b>	<b>\$5,800.50</b>	<b>\$0.00</b>	<b>\$0.00</b>	<b>(\$1,267.92)</b>	

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**2020 FORM 1099-B: PROCEEDS FROM BROKER AND BARTER EXCHANGE TRANSACTIONS, CONTINUED**

**OMB NO. 1545-0715**

**Covered Short-Term Gains or Losses on Gross Proceeds**

Report on Form 8949, Part I with Box A checked

Box 6: Gross Proceeds

Box 5: Box Not Checked (Covered Security)

Box 12: Basis Reported to the IRS

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OPTEC INTERNATIONAL INC COMMON STOCK CUSIP: 68386M102	10.00000	08/10/2020	12/31/2020	\$0.68	\$0.82	\$0.00	\$0.00	(\$0.14)	
	10.00000	08/10/2020	12/31/2020	\$0.68	\$1.03	\$0.00	\$0.35	(\$0.35)	
	20,000.00000	08/10/2020	12/31/2020	\$1,355.59	\$2,566.95	\$0.00	\$1,211.36	(\$1,211.36)	
	10,000.00000	08/10/2020	12/31/2020	\$681.81	\$1,076.33	\$0.00	\$394.52	(\$394.52)	
	9,990.00000	08/10/2020	12/31/2020	\$681.12	\$1,029.60	\$0.00	\$348.48	(\$348.48)	
	10,000.00000	08/26/2020	12/31/2020	\$677.79	\$706.45	\$0.00	\$28.66	(\$28.66)	
	10,000.00000	08/26/2020	12/31/2020	\$681.81	\$499.31	\$0.00	\$0.00	\$182.50	
	19,500.00000	09/24/2020	12/31/2020	\$1,321.70	\$582.03	\$0.00	\$0.00	\$739.67	
	500.00000	09/24/2020	12/31/2020	\$34.09	\$14.92	\$0.00	\$0.00	\$19.17	
	7,489.00000	11/05/2020	12/31/2020	\$510.60	\$441.85	\$0.00	\$0.00	\$68.75	
	12,501.00000	11/05/2020	12/31/2020	\$852.33	\$736.88	\$0.00	\$0.00	\$115.45	
<b>Subtotals</b>	<b>100,000.00000</b>			<b>\$6,798.20</b>	<b>\$7,656.17</b>	<b>\$0.00</b>	<b>\$1,983.37</b>	<b>(\$857.97)</b>	
TITAN PHARMACEUTICALS INC COMMON STOCK CUSIP: 888314507	90.00000	01/09/2020	01/28/2020	\$25.92	\$19.42	\$0.00	\$0.00	\$6.50	
	9,600.00000	01/09/2020	01/28/2020	\$2,763.59	\$2,073.60	\$0.00	\$0.00	\$689.99	
	35.00000	01/09/2020	01/28/2020	\$10.04	\$7.55	\$0.00	\$0.00	\$2.49	
	275.00000	01/09/2020	01/28/2020	\$79.17	\$59.35	\$0.00	\$0.00	\$19.82	
<b>Subtotals</b>	<b>10,000.00000</b>			<b>\$2,878.72</b>	<b>\$2,159.92</b>	<b>\$0.00</b>	<b>\$0.00</b>	<b>\$718.80</b>	
TORTOISE ACQUISITION CORP CLASS A COMMON STOCK CUSIP: 89154L100	150.00000	06/22/2020	07/09/2020	\$4,012.39	\$2,599.55	\$0.00	\$0.00	\$1,412.84	
VISLINK TECHNOLOGIES INC COMMON STOCK CUSIP: 92836Y201	6,800.00000	01/28/2020	02/20/2020	\$1,410.83	\$2,220.88	\$0.00	\$0.00	(\$810.05)	
	200.00000	01/28/2020	02/20/2020	\$41.51	\$65.32	\$0.00	\$0.00	(\$23.81)	
<b>Subtotals</b>	<b>7,000.00000</b>			<b>\$1,452.34</b>	<b>\$2,286.20</b>	<b>\$0.00</b>	<b>\$0.00</b>	<b>(\$833.86)</b>	
VIVEVE MEDICAL INC COMMON STOCK CUSIP: 92852W303	2,000.00000	06/03/2020	06/22/2020	\$1,210.33	\$1,240.00	\$0.00	\$4.29	(\$29.67)	
	289.00000	06/03/2020	06/22/2020	\$175.27	\$183.50	\$0.00	\$0.00	(\$8.23)	
	611.00000	06/03/2020	06/22/2020	\$369.76	\$378.88	\$0.00	\$0.00	(\$9.12)	

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VIVEVE MEDICAL INC COMMON STOCK CUSIP: 92852W303									
<b>Subtotals</b>	<b>2,900.00000</b>			<b>\$1,755.36</b>	<b>\$1,802.38</b>	<b>\$0.00</b>	<b>\$4.29</b>	<b>(\$47.02)</b>	
XPRESSPA GROUP INC COMMON STOCK CUSIP: 98420U604	1,000.00000	05/26/2020	06/03/2020	\$954.95	\$921.50	\$0.00	\$0.00	\$33.45	
***CHINA SXT PHARMACEUTICALS INC ORDINARY SHARES CUSIP: G2161P108	1,000.00000	03/09/2020	05/26/2020	\$412.04	\$969.99	\$0.00	\$0.00	(\$557.95)	
***RELIEF THERAPEUTICS HLDG AG NAMEN AKT CUSIP: H6759S100	10,000.00000	08/05/2020	08/07/2020	\$6,276.72	\$1,656.95	\$0.00	\$0.00	\$4,619.77	
<b>63 ITEMS - TOTAL</b>				<b>\$60,428.26</b>	<b>\$59,373.48</b>	<b>\$0.00</b>	<b>\$1,987.66</b>	<b>\$1,054.78</b>	

THIS IS YOUR FORM 1099 (COPY B FOR RECIPIENT). KEEP FOR YOUR RECORDS.  
 This is important tax information and is being furnished to the IRS. 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.

E\*TRADE SECURITIES LLC  
 PO BOX 484  
 JERSEY CITY, NJ 07303-0484

Account No: 36962650  
 Account Name: PRAVEEN KUMAR RAWAT  
 Recipient's TIN: \*\*\*-\*\*-6634  
 Account Executive No:  
 ORIGINAL: 12/31/2020

**2020 FORM 1099-B: PROCEEDS FROM BROKER AND BARTER EXCHANGE TRANSACTIONS, CONTINUED**

**OMB NO. 1545-0715**

**Covered Long-Term Gains or Losses on Gross Proceeds**

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

**Box 6:** Gross Proceeds

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

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

**Box 2:** Type of Gain or Loss -Long-Term

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.

Description of property CUSIP (Box 1a)	Quantity Sold	Date Acquired (Box 1b)	Date Sold or Disposed (Box 1c)	Proceeds (Box 1d)	Cost or Other Basis (Box 1e)	Accrued Market Discount (Box 1f)	Wash Sale Loss Disallowed (Box 1g)	Gain/Loss Amount	Additional Information
PAVMED INC COM CUSIP: 70387R106	1,000.00000	06/25/2018	08/05/2020	\$2,001.33	\$968.38	\$0.00	\$0.00	\$1,032.95	
	500.00000	06/25/2018	08/05/2020	\$996.41	\$484.19	\$0.00	\$0.00	\$512.22	
	500.00000	06/25/2018	08/26/2020	\$962.42	\$484.18	\$0.00	\$0.00	\$478.24	
	1,000.00000	06/27/2018	08/26/2020	\$1,924.84	\$982.05	\$0.00	\$0.00	\$942.79	
	300.00000	06/28/2018	08/26/2020	\$577.45	\$296.42	\$0.00	\$0.00	\$281.03	
	50.00000	08/03/2018	08/26/2020	\$96.24	\$82.82	\$0.00	\$0.00	\$13.42	
	163.00000	08/03/2018	08/26/2020	\$313.75	\$247.14	\$0.00	\$0.00	\$66.61	
	487.00000	08/03/2018	08/26/2020	\$937.39	\$747.19	\$0.00	\$0.00	\$190.20	
	1,000.00000	07/10/2019	08/26/2020	\$1,924.84	\$1,101.45	\$0.00	\$0.00	\$823.39	
<b>Subtotals</b>	<b>5,000.00000</b>			<b>\$9,734.67</b>	<b>\$5,393.82</b>	<b>\$0.00</b>	<b>\$0.00</b>	<b>\$4,340.85</b>	
TREVENA INC CUSIP: 89532E109	750.00000	08/31/2018	02/28/2020	\$495.72	\$1,323.88	\$0.00	\$0.00	(\$828.16)	
	250.00000	09/07/2018	02/28/2020	\$165.24	\$425.38	\$0.00	\$0.00	(\$260.14)	
	460.00000	10/03/2018	02/28/2020	\$304.05	\$1,492.19	\$0.00	\$0.00	(\$1,188.14)	
	40.00000	10/03/2018	02/28/2020	\$26.14	\$129.76	\$0.00	\$0.00	(\$103.62)	
	2,000.00000	10/09/2018	02/28/2020	\$1,306.93	\$2,345.75	\$0.00	\$0.00	(\$1,038.82)	
	1,500.00000	10/09/2018	02/28/2020	\$980.19	\$1,923.80	\$0.00	\$0.00	(\$943.61)	
<b>Subtotals</b>	<b>5,000.00000</b>			<b>\$3,278.27</b>	<b>\$7,640.76</b>	<b>\$0.00</b>	<b>\$0.00</b>	<b>(\$4,362.49)</b>	
<b>15 ITEMS - TOTAL</b>				<b>\$13,012.94</b>	<b>\$13,034.58</b>	<b>\$0.00</b>	<b>\$0.00</b>	<b>(\$21.64)</b>	

**FOOTNOTES**

**SHORT SALE** - Short sales covered in December that settle in January will be reported on your Form 1099-B in the year they are settled.

**END OF 2020 FORM 1099-B**

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 This is important tax information and is being furnished to the IRS. 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.

**Form 1099-B (OMB NO. 1545-0715)**

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

**Recipient's taxpayer identification number (TIN).** For your protection, this form may show only the last four digits of your TIN (social security number (SSN), individual taxpayer identification number (ITIN), adoption taxpayer identification number (ATIN), or employer identification number (EIN)). However, the issuer has reported your complete TIN to the IRS.

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

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

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

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

**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, the Instructions for Schedule D (Form 1040 or 1040-SR), or Pub. 550 for details.

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

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

**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 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.** 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.

**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.** Show state(s)/local income tax information.

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

**Form 1099-B (OMB NO. 1545-0715)****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.

E\*TRADE SECURITIES LLC  
 PO BOX 484  
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Account No: 36962650  
 Account Name: PRAVEEN KUMAR RAWAT  
 Recipient's TIN: \*\*\*-\*\*-6634

Account Executive No:

ORIGINAL: 12/31/2020

## 2020 INVESTMENT DETAILS

### DETAILS OF 2020 INVESTMENT ACTIVITY

Date	Security Description	CUSIP	Transaction Description	Quantity	Price	Amount	Additional Information
02/26/20	ADVAXIS INC COMMON STOCK	007624307	PURCHASE	900.000	\$0.90	\$811.62	
03/10/20	ADVAXIS INC COMMON STOCK	007624307	SELL	20.000	\$0.75	\$14.99	
03/10/20	ADVAXIS INC COMMON STOCK	007624307	SELL	880.000	\$0.75	\$657.86	
12/28/20	ATOSSA THERAPEUTICS INC COMMON STOCK	04962H506	PURCHASE	1,000.000	\$0.90	\$902.20	
02/10/20	AVEO PHARMACEUTICALS INC	053588109	SELL	2,000.000	\$0.55	\$1,089.93	
03/19/20	AYTU BIOSCIENCE INC COMMON STOCK	054754700	PURCHASE	400.000	\$1.39	\$555.76	
03/19/20	AYTU BIOSCIENCE INC COMMON STOCK	054754700	PURCHASE	1,000.000	\$1.75	\$1,745.00	
05/11/20	AYTU BIOSCIENCE INC COMMON STOCK	054754700	PURCHASE	600.000	\$1.57	\$939.00	
05/22/20	AYTU BIOSCIENCE INC COMMON STOCK	054754700	PURCHASE	2,000.000	\$1.48	\$2,950.00	
06/22/20	AYTU BIOSCIENCE INC COMMON STOCK	054754700	PURCHASE	1,000.000	\$1.50	\$1,496.50	
10/19/20	AYTU BIOSCIENCE INC COMMON STOCK	054754700	SELL	100.000	\$1.02	\$101.99	
10/19/20	AYTU BIOSCIENCE INC COMMON STOCK	054754700	SELL	4,900.000	\$1.02	\$5,001.22	
02/28/20	BIOCEPT INC COMMON STOCK	09072V402	PURCHASE	5,000.000	\$0.42	\$2,114.43	
04/24/20	BIOCEPT INC COMMON STOCK	09072V402	PURCHASE	5,000.000	\$0.38	\$1,922.00	
05/27/20	BIOCEPT INC COMMON STOCK	09072V402	SELL	38.000	\$0.47	\$17.89	
05/27/20	BIOCEPT INC COMMON STOCK	09072V402	SELL	1,162.000	\$0.48	\$551.79	
05/27/20	BIOCEPT INC COMMON STOCK	09072V402	SELL	8,800.000	\$0.47	\$4,134.85	
03/16/20	DIREXION SHARES ETF TRUST DIREXION DAIL	25460E166	PURCHASE	100.000	\$7.03	\$702.50	
03/19/20	DIREXION SHARES ETF TRUST DIREXION DAIL	25460E166	PURCHASE	400.000	\$3.90	\$1,558.00	
04/21/20	DIREXION SHARES ETF TRUST DIREXION DAIL	25460E166	SELL	500.000	\$6.62	\$3,311.26	
03/10/20	DIREXION SHS ETF TRUST DIREXION DAILY S	25460G104	PURCHASE	1,100.000	\$1.01	\$1,108.80	
04/02/20	DIREXION SHS ETF TR DAILY S&P OIL & GAS	25460G500	CASH IN LIEU		-	\$6.52	
05/05/20	DIREXION SHS ETF TR DAILY S&P OIL & GAS	25460G500	SELL	27.000	\$41.57	\$1,122.23	
12/30/20	EWELLNESS HEALTHCARE CORP COMMON STOCK	30051D205	PURCHASE	500,000.000	\$0.00	\$154.95	
12/31/20	FG NEW AMERICA ACQUISITION CORP CLASS A	30259V106	PURCHASE	200.000	\$10.27	\$2,054.00	
12/31/20	FG NEW AMERICA ACQUISITION CORP CLASS A	30259V106	PURCHASE	300.000	\$10.25	\$3,075.00	
08/10/20	GALAXY NEXT GENERATION INC COMMON STOCK	36320A104	PURCHASE	50,000.000	\$0.02	\$931.95	
08/25/20	GALAXY NEXT GENERATION INC COMMON STOCK	36320A104	PURCHASE	8,000.000	\$0.04	\$314.15	
08/26/20	GALAXY NEXT GENERATION INC COMMON STOCK	36320A104	PURCHASE	10,000.000	\$0.05	\$475.95	
08/26/20	GALAXY NEXT GENERATION INC COMMON STOCK	36320A104	PURCHASE	32,000.000	\$0.05	\$1,494.95	
09/11/20	GALAXY NEXT GENERATION INC COMMON STOCK	36320A104	PURCHASE	50,000.000	\$0.03	\$1,481.95	
11/05/20	GALAXY NEXT GENERATION INC COMMON STOCK	36320A104	PURCHASE	20,000.000	\$0.01	\$231.95	
11/05/20	GALAXY NEXT GENERATION INC COMMON STOCK	36320A104	PURCHASE	30,000.000	\$0.01	\$351.00	
12/14/20	GALAXY NEXT GENERATION INC COMMON STOCK	36320A104	PURCHASE	37,500.000	\$0.01	\$273.08	

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 PO BOX 484  
 JERSEY CITY, NJ 07303-0484

Account No: 36962650  
 Account Name: PRAVEEN KUMAR RAWAT  
 Recipient's TIN: \*\*\*-\*\*-6634

Account Executive No:

ORIGINAL: 12/31/2020

**DETAILS OF 2020 INVESTMENT ACTIVITY, CONTINUED**

Date	Security Description	CUSIP	Transaction Description	Quantity	Price	Amount	Additional Information
12/14/20	GALAXY NEXT GENERATION INC COMMON STOCK	36320A104	PURCHASE	62,500.000	\$0.01	\$450.00	
05/26/20	GD ENTERTAINMENT & TECHNOLOGY INC COM	36830V200	PURCHASE	100,000.000	\$0.00	\$146.95	
05/26/20	GD ENTERTAINMENT & TECHNOLOGY INC COM	36830V200	PURCHASE	300,000.000	\$0.00	\$426.95	
07/08/20	GD ENTERTAINMENT & TECHNOLOGY INC COM	36830V200	SELL	400,000.000	\$0.00	\$227.09	
06/29/20	GENTECH HOLDINGS INC COMMON STOCK	37253Y101	PURCHASE	250,000.000	\$0.00	\$306.95	
07/06/20	GENTECH HOLDINGS INC COMMON STOCK	37253Y101	PURCHASE	10,000.000	\$0.00	\$18.95	
07/06/20	GENTECH HOLDINGS INC COMMON STOCK	37253Y101	PURCHASE	140,000.000	\$0.00	\$202.95	
07/06/20	GENTECH HOLDINGS INC COMMON STOCK	37253Y101	PURCHASE	250,000.000	\$0.00	\$306.95	
07/08/20	GENTECH HOLDINGS INC COMMON STOCK	37253Y101	PURCHASE	150,000.000	\$0.00	\$201.95	
07/10/20	GENTECH HOLDINGS INC COMMON STOCK	37253Y101	PURCHASE	200,000.000	\$0.00	\$226.95	
07/16/20	GENTECH HOLDINGS INC COMMON STOCK	37253Y101	PURCHASE	500,000.000	\$0.00	\$506.95	
08/03/20	GENTECH HOLDINGS INC COMMON STOCK	37253Y101	PURCHASE	437,000.000	\$0.00	\$400.25	
08/04/20	GENTECH HOLDINGS INC COMMON STOCK	37253Y101	PURCHASE	25,500.000	\$0.00	\$25.50	
08/04/20	GENTECH HOLDINGS INC COMMON STOCK	37253Y101	PURCHASE	37,500.000	\$0.00	\$42.58	
12/09/20	GENTECH HOLDINGS INC COMMON STOCK	37253Y101	PURCHASE	1,000,000.000	\$0.00	\$304.95	
12/14/20	GENTECH HOLDINGS INC COMMON STOCK	37253Y101	PURCHASE	1,000,000.000	\$0.00	\$304.95	
12/16/20	GENTECH HOLDINGS INC COMMON STOCK	37253Y101	PURCHASE	1,500,000.000	\$0.00	\$454.95	
01/03/20	GUARDION HEALTH SCIENCES INC COMMON STO	40145Q203	PURCHASE	8,000.000	\$0.25	\$2,009.60	
01/07/20	GUARDION HEALTH SCIENCES INC COMMON STO	40145Q203	SELL	8,000.000	\$0.36	\$2,879.79	
02/12/20	GUARDION HEALTH SCIENCES INC COMMON STO	40145Q203	PURCHASE	300.000	\$0.29	\$85.80	
02/12/20	GUARDION HEALTH SCIENCES INC COMMON STO	40145Q203	PURCHASE	4,700.000	\$0.29	\$1,343.73	
02/20/20	GUARDION HEALTH SCIENCES INC COMMON STO	40145Q203	SELL	200.000	\$0.29	\$57.31	
02/20/20	GUARDION HEALTH SCIENCES INC COMMON STO	40145Q203	SELL	4,800.000	\$0.29	\$1,372.19	
04/24/20	HERTZ GLOBAL HOLDINGS INC COM	42806J106	PURCHASE	1,000.000	\$3.60	\$3,597.80	
05/26/20	HERTZ GLOBAL HOLDINGS INC COM	42806J106	SELL	1,000.000	\$1.01	\$1,009.85	
03/19/20	IBIO INC COMMON STOCK	451033203	PURCHASE	1,000.000	\$1.48	\$1,476.70	
05/11/20	IBIO INC COMMON STOCK	451033203	PURCHASE	1,000.000	\$1.01	\$1,008.50	
05/19/20	IBIO INC COMMON STOCK	451033203	SELL	750.000	\$1.59	\$1,194.63	
05/19/20	IBIO INC COMMON STOCK	451033203	SELL	1,250.000	\$1.59	\$1,987.30	
05/28/20	IBIO INC COMMON STOCK	451033203	PURCHASE	2,000.000	\$1.58	\$3,160.00	
06/22/20	IBIO INC COMMON STOCK	451033203	SELL	2,000.000	\$1.44	\$2,879.89	
06/08/20	INSPIREMD INC COMMON STOCK	45779A853	PURCHASE	1,000.000	\$0.54	\$540.00	
06/22/20	INSPIREMD INC COMMON STOCK	45779A853	PURCHASE	500.000	\$0.46	\$229.05	
07/06/20	INSPIREMD INC COMMON STOCK	45779A853	SELL	1,500.000	\$0.47	\$711.40	
03/17/20	OASIS PETROLEUM INC COMMON STOCK	674215108	PURCHASE	5,000.000	\$0.44	\$2,203.00	
04/24/20	OASIS PETROLEUM INC COMMON STOCK	674215108	SELL	200.000	\$0.61	\$121.23	

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Account No: 36962650  
 Account Name: PRAVEEN KUMAR RAWAT  
 Recipient's TIN: \*\*\*-\*\*-6634  
 Account Executive No:  
 ORIGINAL: 12/31/2020

**DETAILS OF 2020 INVESTMENT ACTIVITY, CONTINUED**

Date	Security Description	CUSIP	Transaction Description	Quantity	Price	Amount	Additional Information
04/24/20	OASIS PETROLEUM INC COMMON STOCK	674215108	SELL	301.000	\$0.61	\$182.39	
04/24/20	OASIS PETROLEUM INC COMMON STOCK	674215108	SELL	499.000	\$0.61	\$302.42	
04/24/20	OASIS PETROLEUM INC COMMON STOCK	674215108	SELL	4,000.000	\$0.61	\$2,425.46	
02/21/20	ONCONOVA THERAPEUTICS INC COMMON STOCK	68232V405	PURCHASE	5,000.000	\$0.52	\$2,600.00	
11/05/20	ONCONOVA THERAPEUTICS INC COMMON STOCK	68232V405	SELL	5,000.000	\$0.26	\$1,312.88	
12/09/20	ONCONOVA THERAPEUTICS INC COMMON STOCK	68232V405	SELL	300.000	\$0.31	\$93.58	
12/09/20	ONCONOVA THERAPEUTICS INC COMMON STOCK	68232V405	SELL	700.000	\$0.31	\$218.45	
12/14/20	ONCONOVA THERAPEUTICS INC COMMON STOCK	68232V405	SELL	9,000.000	\$0.32	\$2,907.67	
08/10/20	OPTEC INTERNATIONAL INC COMMON STOCK	68386M102	PURCHASE	20,000.000	\$0.13	\$2,566.95	
08/26/20	OPTEC INTERNATIONAL INC COMMON STOCK	68386M102	PURCHASE	10,000.000	\$0.07	\$706.45	
09/24/20	OPTEC INTERNATIONAL INC COMMON STOCK	68386M102	PURCHASE	20,000.000	\$0.03	\$596.95	
11/05/20	OPTEC INTERNATIONAL INC COMMON STOCK	68386M102	PURCHASE	12,501.000	\$0.06	\$736.88	
11/05/20	OPTEC INTERNATIONAL INC COMMON STOCK	68386M102	PURCHASE	27,499.000	\$0.06	\$1,622.44	
11/09/20	OPTEC INTERNATIONAL INC COMMON STOCK	68386M102	PURCHASE	10,000.000	\$0.04	\$410.95	
12/09/20	OPTEC INTERNATIONAL INC COMMON STOCK	68386M102	PURCHASE	10,000.000	\$0.04	\$424.95	
12/14/20	OPTEC INTERNATIONAL INC COMMON STOCK	68386M102	PURCHASE	10,000.000	\$0.05	\$462.95	
12/14/20	OPTEC INTERNATIONAL INC COMMON STOCK	68386M102	PURCHASE	30,000.000	\$0.05	\$1,411.95	
12/31/20	OPTEC INTERNATIONAL INC COMMON STOCK	68386M102	SELL	10.000	\$0.07	\$0.68	
12/31/20	OPTEC INTERNATIONAL INC COMMON STOCK	68386M102	SELL	49,500.000	\$0.07	\$3,355.08	
12/31/20	OPTEC INTERNATIONAL INC COMMON STOCK	68386M102	SELL	50,490.000	\$0.07	\$3,442.44	
08/05/20	PAVMED INC COM	70387R106	SELL	500.000	\$1.99	\$996.41	
08/05/20	PAVMED INC COM	70387R106	SELL	1,000.000	\$2.00	\$2,001.33	
08/26/20	PAVMED INC COM	70387R106	SELL	3,500.000	\$1.93	\$6,736.93	
07/06/20	***REVIVE THERAPEUTICS LTD COM	761516103	PURCHASE	5,000.000	\$0.14	\$699.95	
07/09/20	***REVIVE THERAPEUTICS LTD COM	761516103	PURCHASE	2,855.000	\$0.17	\$492.30	
07/09/20	***REVIVE THERAPEUTICS LTD COM	761516103	PURCHASE	12,145.000	\$0.17	\$2,057.85	
08/05/20	***REVIVE THERAPEUTICS LTD COM	761516103	PURCHASE	5,000.000	\$0.27	\$1,356.95	
08/14/20	***REVIVE THERAPEUTICS LTD COM	761516103	PURCHASE	5,000.000	\$0.23	\$1,132.20	
08/26/20	***REVIVE THERAPEUTICS LTD COM	761516103	PURCHASE	10,000.000	\$0.23	\$2,294.95	
10/19/20	***REVIVE THERAPEUTICS LTD COM	761516103	PURCHASE	9,130.000	\$0.19	\$1,722.30	
10/19/20	***REVIVE THERAPEUTICS LTD COM	761516103	PURCHASE	20,870.000	\$0.19	\$3,941.03	
12/28/20	STRIKEFORCE TECHNOLOGIES INC COMMON STO	86332V604	PURCHASE	10,000.000	\$0.07	\$714.95	
12/28/20	SYCAMORE ENTERTAINMENT GROUP INC	871156105	PURCHASE	100,000.000	\$0.02	\$1,984.95	
01/09/20	TITAN PHARMACEUTICALS INC COMMON STOCK	888314507	PURCHASE	400.000	\$0.22	\$86.32	
01/09/20	TITAN PHARMACEUTICALS INC COMMON STOCK	888314507	PURCHASE	9,600.000	\$0.22	\$2,073.60	
01/28/20	TITAN PHARMACEUTICALS INC COMMON STOCK	888314507	SELL	35.000	\$0.29	\$10.04	

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E\*TRADE SECURITIES LLC  
 PO BOX 484  
 JERSEY CITY, NJ 07303-0484

Account No: 36962650  
 Account Name: PRAVEEN KUMAR RAWAT  
 Recipient's TIN: \*\*\*-\*\*-6634

Account Executive No:

ORIGINAL: 12/31/2020

**DETAILS OF 2020 INVESTMENT ACTIVITY, CONTINUED**

Date	Security Description	CUSIP	Transaction Description	Quantity	Price	Amount	Additional Information
01/28/20	TITAN PHARMACEUTICALS INC COMMON STOCK	888314507	SELL	90.000	\$0.29	\$25.92	
01/28/20	TITAN PHARMACEUTICALS INC COMMON STOCK	888314507	SELL	9,875.000	\$0.29	\$2,842.76	
06/22/20	TORTOISE ACQUISITION CORP CLASS A COMMO	89154L100	PURCHASE	150.000	\$17.33	\$2,599.55	
07/09/20	TORTOISE ACQUISITION CORP CLASS A COMMO	89154L100	SELL	150.000	\$26.75	\$4,012.39	
02/28/20	TREVENA INC	89532E109	SELL	1,460.000	\$0.66	\$965.01	
02/28/20	TREVENA INC	89532E109	SELL	3,540.000	\$0.65	\$2,313.26	
01/28/20	VISLINK TECHNOLOGIES INC COMMON STOCK	92836Y201	PURCHASE	7,000.000	\$0.33	\$2,286.20	
02/20/20	VISLINK TECHNOLOGIES INC COMMON STOCK	92836Y201	SELL	200.000	\$0.21	\$41.51	
02/20/20	VISLINK TECHNOLOGIES INC COMMON STOCK	92836Y201	SELL	6,800.000	\$0.21	\$1,410.83	
06/03/20	VIVEVE MEDICAL INC COMMON STOCK	92852W303	PURCHASE	900.000	\$0.62	\$558.09	
06/03/20	VIVEVE MEDICAL INC COMMON STOCK	92852W303	PURCHASE	2,000.000	\$0.62	\$1,240.00	
06/22/20	VIVEVE MEDICAL INC COMMON STOCK	92852W303	SELL	289.000	\$0.61	\$175.27	
06/22/20	VIVEVE MEDICAL INC COMMON STOCK	92852W303	SELL	2,611.000	\$0.61	\$1,580.09	
05/26/20	XPRESSPA GROUP INC COMMON STOCK	98420U604	PURCHASE	1,000.000	\$0.92	\$921.50	
06/03/20	XPRESSPA GROUP INC COMMON STOCK	98420U604	SELL	1,000.000	\$0.96	\$954.95	
03/09/20	***CHINA SXT PHARMACEUTICALS INC ORDINA	G2161P108	PURCHASE	1,000.000	\$0.97	\$969.99	
05/26/20	***CHINA SXT PHARMACEUTICALS INC ORDINA	G2161P108	SELL	1,000.000	\$0.41	\$412.04	
08/05/20	***RELIEF THERAPEUTICS HLDG AG NAMEN AK	H6759S100	PURCHASE	10,000.000	\$0.17	\$1,656.95	
08/07/20	***RELIEF THERAPEUTICS HLDG AG NAMEN AK	H6759S100	SELL	10,000.000	\$0.63	\$6,276.72	

**END OF 2020 DETAILS**

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