

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

JYOTHIKUMAR VEPANGERI  
3550 GRANDVIEW PKWY  
BIRMINGHAM, AL 35243-1949

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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<b>APEX CLEARING</b> ONE DALLAS CENTER 350 NORTH ST PAUL SUITE 1300 DALLAS, TX 75201 Customer Service: 214-765-1009  PAYER'S Federal ID No: 13-2967453  IN ACCOUNT WITH <b>WEBULL FINANCIAL LLC</b> <b>(917) 725-2448</b>	<b>Account 5MV78515</b>	<b>Form 1099 Composite</b>	<b>2020</b>
	JYOTHIKUMAR VEPANGERI 3550 GRANDVIEW PKWY BIRMINGHAM, AL 35243-1949  RECIPIENT'S ID No: XXX-XX-4757	Statement Date: 02/27/2021 [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	
<b>4- Federal Income Tax Withheld</b>	<b>0.00</b>	
5- Section 199A Dividends	0.00	
6- Investment Expenses	0.00	
7- Foreign tax Paid	0.00	
8- Foreign country or US Possession		
9- Cash Liquidation Distributions	0.00	
10- Noncash Liquidation Distribution	0.00	
11- Exempt-Interest Dividends	0.00	
12- Specified Private Activity Bond Interest Dividends	0.00	

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

MISCELLANEOUS INCOME	2020 Form 1099-MISC*	OMB No. 1545-0115
2- Royalties	0.00	
3- Other Income	35.31	
<b>4- Federal Income Tax Withheld</b>	<b>0.00</b>	
8- Substitute Payments in Lieu of Dividends or Interest	0.00	

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>		

APEX CLEARING

**Tax Summary**

2020

5MV78515

02/27/2021

**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	113,560.04	127,411.99	0.00	549.88	-13,302.07 C
Short term transactions for noncovered tax lots	0.00	0.00	0.00	0.00	0.00
<b>Total Short-term</b>	<b>113,560.04</b>	<b>127,411.99</b>	<b>0.00</b>	<b>549.88</b>	<b>-13,302.07</b>
Long-term transactions for covered tax lots	21.36	22.26	0.00	0.00	-0.90
Long-term transactions for noncovered tax lots	0.00	0.00	0.00	0.00	0.00
<b>Total Long-term</b>	<b>21.36</b>	<b>22.26</b>	<b>0.00</b>	<b>0.00</b>	<b>-0.90</b>
Undetermined transactions for noncovered tax lots	10.60	0.00	0.00	0.00	0.00
<b>Total Undetermined-term</b>	<b>10.60</b>	<b>0.00</b>	<b>0.00</b>	<b>0.00</b>	<b>0.00</b>

**ORIGINAL ISSUE DISCOUNT SUMMARY**

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

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

**FEDERAL TAX WITHHELD**

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

APEX CLEARING

## Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B\*

OMB No. 1545-0715

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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
CALL TTD 11/06/20	900	TRADE DESK INC CLASS A   CUSIP:   Symbol: TTD201106C00900000	11/06/2020	35.08	0.00	-35.08	Expiration
PUT TSLA 07/24/20	825	TESLA INC   CUSIP:   Symbol: TSLA200724P00825000	07/22/2020	61.09	0.00	-61.09	Expiration
CALL JMIA 08/21/20	21	JUMIA TECHNOLOGIES AG   CUSIP:   Symbol: JMIA200821C00021000	08/04/2020	372.09	0.00	-372.09	Expiration
CALL ADBE 09/18/20	600	ADOBE INC   CUSIP:   Symbol: ADBE200918C00600000	09/03/2020	410.09	0.00	-410.09	Expiration
CALL QCOM 07/31/20	95	QUALCOMM INC   CUSIP:   Symbol: QCOM200731C00095000	07/27/2020	127.09	0.00	14.80	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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(continued)

02/27/2021

**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 QCOM 07/31/20	95	QUALCOMM INC   CUSIP:   Symbol: QCOM200731C00095000					
07/27/2020	1.00	142.89	07/27/2020	124.09	0.00	18.80	Sell to Close
07/27/2020	1.00	142.89	07/27/2020	125.09	0.00	17.80	Sell to Close
07/30/2020	1.00	714.88	07/29/2020	150.09	0.00	564.79	Sell to Close
<b>Security Totals:</b>		<b>1,142.55</b>		<b>526.36</b>		<b>616.19</b>	
CALL ZM 08/07/20	267.50	ZOOM VIDEO COMMUNICATIONS INC   CUSIP:   Symbol: ZM200807C00267500					
08/03/2020	1.00	549.88	08/03/2020	455.09	0.00	94.79	Sell to Close
TRXADE GROUP INC		COMMON STOCK   CUSIP: 89846A207   Symbol: MEDS					
07/31/2020	5.00	33.33	07/27/2020	46.45	0.00	-13.12	Sale
CALL NIO 01/15/21	40	NIO INC ADS   CUSIP:   Symbol: NIO210115C00040000					
10/29/2020	2.00	501.81	10/29/2020	490.16	0.00	11.65	Sell to Close
CALL TMUS 09/11/20	120	T MOBILE US INC   CUSIP:   Symbol: TMUS200911C00120000					
09/02/2020	2.00	295.80	09/01/2020	176.18	0.00	119.62	Sell to Close
CALL AAPL 09/11/20	117.50	APPLE INC	ADJ 4:1 STOCK SPLIT   CUSIP:   Symbol: AAPL200911C00117500				
09/11/2020	2.00	0.00	09/10/2020	78.18	0.00	-78.18	Expiration
CALL GOOGL 10/30/20	1600	ALPHABET INC CLASS A   CUSIP:   Symbol: GOOGL201030C01600000					
09/28/2020	1.00	1,699.87	09/25/2020	1,310.09	0.00	389.78	Sell to Close
CALL ADBE 10/02/20	520	ADOBE INC   CUSIP:   Symbol: ADBE201002C00520000					
10/02/2020	1.00	0.00	10/01/2020	35.08	0.00	-35.08	Expiration
CALL MSFT 09/11/20	250	MICROSOFT CORP   CUSIP:   Symbol: MSFT200911C00250000					
09/11/2020	3.00	0.00	09/03/2020	99.27	0.00	-99.27	Expiration
CALL JMIA 08/21/20	23	JUMIA TECHNOLOGIES AG   CUSIP:   Symbol: JMIA200821C00023000					
08/21/2020	1.00	0.00	08/04/2020	280.09	0.00	-280.09	Expiration
CALL ABT 08/28/20	120	ABBOTT LABORATORIES   CUSIP:   Symbol: ABT200828C00120000					
08/28/2020	1.00	0.00	08/27/2020	144.09	0.00	-144.09	Expiration
CALL INTC 08/14/20	50	INTEL CORP   CUSIP:   Symbol: INTC200814C00050000					
08/14/2020	1.00	0.00	08/05/2020	64.09	0.00	-64.09	Expiration
CALL SPY 07/24/20	340	STANDARD & POORS DEPOSITORY   CUSIP:   Symbol: SPY200724C00340000					
07/24/2020	1.00	0.00	07/13/2020	22.09	0.00	-22.09	Expiration
GOGO INC   CUSIP: 38046C109   Symbol: GOGO							
09/23/2020	100.00	899.97	09/23/2020	932.86	0.00	-32.89	Sale

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APEX CLEARING

## Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B\*

OMB No. 1545-0715

5MV78515

(continued)

02/27/2021

**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 ROKU 10/09/20	230	ROKU INC   CUSIP:   Symbol: ROKU201009C00230000					
10/09/2020	5.00	0.00	Various	1,703.40	0.00	-1,703.40	Expiration
CALL BA 01/15/21	200	BOEING CO   CUSIP:   Symbol: BA210115C00200000					
11/09/2020	1.00	649.89	11/02/2020	241.08	0.00	408.81	Sell to Close
PUT SPY 08/12/20	335	STANDARD & POORS DEPOSITORY   CUSIP:   Symbol: SPY200812P00335000					
08/12/2020	1.00	0.00	08/12/2020	63.09	0.00	-63.09	Expiration
CALL OSTK 11/20/20	85	OVERSTOCK.COM INC   CUSIP:   Symbol: OSTK201120C00085000					
11/20/2020	1.00	0.00	10/07/2020	1,370.08	0.00	-1,370.08	Expiration
CALL DOCU 09/04/20	400	DOCUSIGN INC   CUSIP:   Symbol: DOCU200904C00400000					
09/03/2020	1.00	134.89	09/03/2020	90.09	0.00	44.80	Sell to Close
09/04/2020	1.00	0.00	09/03/2020	80.09	0.00	-80.09	Expiration
<b>Security Totals:</b>		<b>134.89</b>		<b>170.18</b>		<b>-35.29</b>	
CALL ZM 07/24/20	280	ZOOM VIDEO COMMUNICATIONS INC   CUSIP:   Symbol: ZM200724C00280000					
07/20/2020	1.00	389.89	07/20/2020	260.09	0.00	129.80	Sell to Close
GLOBAL EAGLE ENTERTAINMENT INC COMMON STOCK		CUSIP: 37951D300   Symbol: ENT					
07/24/2020	10.00	56.18	07/24/2020	59.90	0.00	-3.72	Sale
CALL MSI 12/18/20	180	MOTOROLA SOLUTIONS INC   CUSIP:   Symbol: MSI201218C00180000					
11/09/2020	2.00	939.80	Various	1,015.16	0.00	-75.36	Sell to Close
CALL TTEK 10/16/20	105	TETRA TECH INC NEW   CUSIP:   Symbol: TTEK201016C00105000					
10/06/2020	1.00	154.90	10/05/2020	135.08	0.00	19.82	Sell to Close C
CALL AMZN 11/20/20	3300	AMAZON.COM INC   CUSIP:   Symbol: AMZN201120C03300000					
11/20/2020	1.00	0.00	11/13/2020	930.08	0.00	-930.08	Expiration
SALEM MEDIA GROUP INC		CLASS A   CUSIP: 794093104   Symbol: SALM					
10/08/2020	500.00	594.92	10/07/2020	585.00	0.00	9.92	Sale
PUT TSLA 09/25/20	375	TESLA INC	ADJ 5:1 STOCK SPLIT   CUSIP:   Symbol: TSLA200925P00375000				
09/24/2020	1.00	389.89	09/24/2020	330.09	0.00	59.80	Sell to Close
CALL BABA 07/31/20	270	ALIBABA GROUP HOLDING LIMITED   CUSIP:   Symbol: BABA200731C00270000					
07/31/2020	1.00	0.00	07/20/2020	287.09	0.00	-287.09	Expiration
CALL QCOM 12/04/20	155	QUALCOMM INC   CUSIP:   Symbol: QCOM201204C00155000					
11/18/2020	1.00	273.90	11/18/2020	237.08	0.00	36.82	Sell to Close

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APEX CLEARING

## Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B\*

OMB No. 1545-0715

5MV78515

(continued)

02/27/2021

**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 AAPL 10/16/20	122	APPLE INC   CUSIP:   Symbol: AAPL201016C00122000					
10/16/2020	2.00	0.00	10/14/2020	260.16	0.00	-260.16	Expiration
CALL STMP 10/30/20	300	STAMPS.COM INC   CUSIP:   Symbol: STMP201030C00300000					
10/14/2020	1.00	909.88	10/14/2020	950.08	0.00	-40.20	Sell to Close
CALL SHOP 10/09/20	1100	SHOPIFY INC   CUSIP:   Symbol: SHOP201009C01100000					
10/09/2020	1.00	174.90	10/09/2020	170.08	0.00	4.82	Sell to Close
ANNOVIS BIO INC		COMMON STOCK   CUSIP: 03615A108   Symbol: ANVS					
07/07/2020	10.00	79.98	07/07/2020	96.80	0.00	-16.82	Sale
PUT NIO 10/30/20	20.50	NIO INC ADS   CUSIP:   Symbol: NIO201030P00020500					
09/30/2020	1.00	209.90	09/29/2020	268.08	0.00	-58.18	Sell to Close
***WIMI HOLOGRAM CLOUD INC		AMERICAN DEPOSITARY SHARE   CUSIP: 97264L100   Symbol: WIMI					
07/10/2020	5.00	45.48	07/10/2020	38.50	0.00	6.98	Sale
CALL BIDU 10/16/20	137	BAIDU INC   CUSIP:   Symbol: BIDU201016C00137000					
10/14/2020	2.00	145.82	10/14/2020	104.16	0.00	41.66	Sell to Close C
CALL ZM 11/27/20	462.50	ZOOM VIDEO COMMUNICATIONS INC   CUSIP:   Symbol: ZM201127C00462500					
11/27/2020	1.00	301.90	11/27/2020	200.08	0.00	101.82	Sell to Close
CALL IWM 09/11/20	151	ISHARES RUSSELL 2000 ETF   CUSIP:   Symbol: IWM200911C00151000					
09/04/2020	1.00	317.89	09/04/2020	280.09	0.00	37.80	Sell to Close
CALL PINS 08/21/20	40	PINTEREST INC CLASS A   CUSIP:   Symbol: PINS200821C00040000					
08/21/2020	4.00	0.00	08/19/2020	88.36	0.00	-88.36	Expiration
CALL BA 08/14/20	205	BOEING CO   CUSIP:   Symbol: BA200814C00205000					
08/14/2020	1.00	0.00	08/11/2020	156.09	0.00	-156.09	Expiration
CALL YRCW 11/20/20	5	YRC WORLDWIDE INC   CUSIP:   Symbol: YRCW201120C00005000					
11/17/2020	5.00	49.58	11/02/2020	100.40	0.00	-50.82	Sell to Close
CALL MS 10/02/20	52.50	MORGAN STANLEY   CUSIP:   Symbol: MS201002C00052500					
10/02/2020	1.00	0.00	09/04/2020	222.09	0.00	-222.09	Expiration
CALL TSLA 11/13/20	440	TESLA INC   CUSIP:   Symbol: TSLA201113C00440000					
11/13/2020	1.00	0.00	11/12/2020	95.08	0.00	-95.08	Expiration
***BANCO SANTANDER S A		SPONSORED ADR   CUSIP: 05964H105   Symbol: SAN					
07/31/2020	1.00	2.12	06/29/2020	2.45	0.00	-0.33	Sale



APEX CLEARING

## Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B\*

OMB No. 1545-0715

5MV78515

(continued)

02/27/2021

**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 AA 12/04/20 17	ALCOA CORPORATION   CUSIP:   Symbol: AA201204C00017000						
11/16/2020	1.00	77.90	11/13/2020	68.08	0.00	9.82	Sell to Close
CALL AMD 11/20/20 92.50	ADVANCED MICRO DEVICES INC   CUSIP:   Symbol: AMD201120C00092500						
11/19/2020	10.00	99.16	11/19/2020	50.81	0.00	48.35	Sell to Close
11/20/2020	10.00	0.00	11/19/2020	50.80	0.00	-50.80	Expiration
<b>Security Totals:</b>		<b>99.16</b>		<b>101.61</b>		<b>-2.45</b>	
CALL BABA 10/09/20 300	ALIBABA GROUP HOLDING LIMITED   CUSIP:   Symbol: BABA201009C00300000						
10/06/2020	8.00	2,175.28	10/06/2020	2,368.65	0.00	-193.37	Sell to Close
10/06/2020	2.00	555.81	10/06/2020	592.16	0.00	-36.35	Sell to Close
<b>Security Totals:</b>		<b>2,731.09</b>		<b>2,960.81</b>		<b>-229.72</b>	
CALL BABA 08/28/20 285	ALIBABA GROUP HOLDING LIMITED   CUSIP:   Symbol: BABA200828C00285000						
08/24/2020	1.00	404.89	08/24/2020	271.09	0.00	133.80	Sell to Close
CALL TSLA 07/31/20 1570	TESLA INC   CUSIP:   Symbol: TSLA200731C01570000						
07/31/2020	1.00	0.00	07/30/2020	875.09	0.00	-875.09	Expiration
CALL JD 12/24/20 86	JD.COM INC   CUSIP:   Symbol: JD201224C00086000						
12/23/2020	1.00	78.90	12/15/2020	36.08	0.00	42.82	Sell to Close
CALL AMAT 12/04/20 75	APPLIED MATERIALS INC   CUSIP:   Symbol: AMAT201204C00075000						
11/13/2020	3.00	530.73	11/13/2020	480.24	0.00	50.49	Sell to Close
CALL FLEX 12/04/20 16	FLEX LTD   CUSIP:   Symbol: FLEX201204C00016000						
11/16/2020	2.00	139.82	11/13/2020	138.16	0.00	1.66	Sell to Close
CALL AAPL 08/14/20 460	APPLE INC   CUSIP:   Symbol: AAPL200814C00460000						
08/14/2020	1.00	0.00	08/11/2020	332.09	0.00	-332.09	Expiration
CALL BIDU 10/16/20 140	BAIDU INC   CUSIP:   Symbol: BIDU201016C00140000						
10/14/2020	1.00	92.90	10/14/2020	102.08	0.00	-9.18	Sell to Close
CALL TTD 07/24/20 470	TRADE DESK INC CLASS A   CUSIP:   Symbol: TTD200724C00470000						
07/24/2020	1.00	0.00	07/21/2020	450.09	0.00	-450.09	Expiration
SPARTAN ENERGY ACQUISITION CORP CLASS A COMMON STOCK   CUSIP: 846784106   Symbol: SPAQ							
09/02/2020	25.00	352.23	09/01/2020	346.25	0.00	5.98	Sale
CALL SPCE 12/18/20 30	VIRGIN GALACTIC HOLDINGS INC   CUSIP:   Symbol: SPCE201218C00030000						
12/18/2020	2.00	0.00	12/14/2020	234.16	0.00	-234.16	Expiration

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APEX CLEARING

## Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B\*

OMB No. 1545-0715

5MV78515

(continued)

02/27/2021

**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 O 10/16/20	62.50	REALTY INCOME CORP   CUSIP:   Symbol: O201016C00062500					
10/16/2020	10.00	0.00	10/15/2020	100.81	0.00	-100.81	Expiration
CALL AVGO 09/04/20	405	BROADCOM INC   CUSIP:   Symbol: AVGO200904C00405000					
09/04/2020	1.00	0.00	09/03/2020	85.09	0.00	-85.09	Expiration
SORRENTO THERAPEUTICS INC   CUSIP: 83587F202   Symbol: SRNE							
09/17/2020	50.00	466.47	09/16/2020	418.00	0.00	48.47	Sale
09/17/2020	50.00	468.99	09/16/2020	418.00	0.00	50.99	Sale
<b>Security Totals:</b>		<b>935.46</b>		<b>836.00</b>		<b>99.46</b>	
CALL BBBY 10/16/20	26	BED BATH & BEYOND INC   CUSIP:   Symbol: BBBY201016C00026000					
10/16/2020	3.00	29.74	10/14/2020	30.24	0.00	-0.50	Sell to Close C
CALL SPY 08/26/20	347	STANDARD & POORS DEPOSITORY   CUSIP:   Symbol: SPY200826C00347000					
08/26/2020	1.00	65.89	08/26/2020	32.09	0.00	33.80	Sell to Close
CALL LRCX 07/17/20	350	LAM RESEARCH CORP   CUSIP:   Symbol: LRCX200717C00350000					
07/17/2020	1.00	0.00	07/10/2020	525.09	0.00	-525.09	Expiration
CALL NFLX 10/09/20	545	NETFLIX INC   CUSIP:   Symbol: NFLX201009C00545000					
10/09/2020	1.00	279.90	10/09/2020	265.08	0.00	14.82	Sell to Close
10/09/2020	1.00	0.00	10/09/2020	250.08	0.00	-250.08	Expiration
<b>Security Totals:</b>		<b>279.90</b>		<b>515.16</b>		<b>-235.26</b>	
CALL BA 12/11/20	250	BOEING CO   CUSIP:   Symbol: BA201211C00250000					
12/11/2020	1.00	0.00	12/07/2020	435.08	0.00	-435.08	Expiration
PUT PLAY 12/04/20	15	DAVE & BUSTERS ENTERTAINMENT   CUSIP:   Symbol: PLAY201204P00015000					
11/12/2020	4.00	79.66	11/10/2020	80.32	0.00	-0.66	Sell to Close
12/04/2020	1.00	0.00	11/10/2020	20.08	0.00	-20.08	Expiration
<b>Security Totals:</b>		<b>79.66</b>		<b>100.40</b>		<b>-20.74</b>	
CALL PENN 11/06/20	72	PENN NATIONAL GAMING INC   CUSIP:   Symbol: PENN201106C00072000					
10/16/2020	2.00	1,139.80	10/15/2020	1,020.16	0.00	119.64	Sell to Close
CALL FB 10/23/20	287.50	FACEBOOK INC CL A   CUSIP:   Symbol: FB201023C00287500					
10/23/2020	1.00	0.00	10/21/2020	204.08	0.00	-204.08	Expiration
CALL TLRV 09/04/20	7	TILRAY INC   CUSIP:   Symbol: TLRV200904C00007000					
08/31/2020	4.00	143.62	08/31/2020	60.36	0.00	83.26	Sell to Close

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APEX CLEARING

## Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B\*

OMB No. 1545-0715

5MV78515

(continued)

02/27/2021

**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 JD 01/15/21	92.50	JD.COM INC   CUSIP:   Symbol: JD210115C00092500					
12/30/2020	1.00	175.90	12/07/2020	172.08	0.00	3.82	Sell to Close
CALL TSLA 12/04/20	600	TESLA INC   CUSIP:   Symbol: TSLA201204C00600000					
12/04/2020	1.00	21.90	12/03/2020	968.08	0.00	-946.18	Sell to Close
CALL PD 12/18/20	40	PAGERDUTY INC   CUSIP:   Symbol: PD201218C00040000					
12/04/2020	1.00	159.90	12/04/2020	190.08	0.00	-30.18	Sell to Close
CALL HIBB 01/15/21	70	HIBBETT SPORTS INC   CUSIP:   Symbol: HIBB210115C00070000					
10/09/2020	1.00	409.90	10/08/2020	201.08	0.00	208.82	Sell to Close C
10/09/2020	2.00	679.81	10/08/2020	402.16	0.00	277.65	Sell to Close C
<b>Security Totals:</b>		<b>1,089.71</b>		<b>603.24</b>		<b>486.47</b>	
CALL AMZN 10/30/20	4000	AMAZON.COM INC   CUSIP:   Symbol: AMZN201030C04000000					
10/15/2020	1.00	1,399.87	10/15/2020	1,390.08	0.00	9.79	Sell to Close
CALL TSLA 07/31/20	1750	TESLA INC   CUSIP:   Symbol: TSLA200731C01750000					
07/27/2020	1.00	809.88	07/27/2020	715.09	0.00	94.79	Sell to Close
07/28/2020	1.00	859.88	07/28/2020	530.09	0.00	329.79	Sell to Close
<b>Security Totals:</b>		<b>1,669.76</b>		<b>1,245.18</b>		<b>424.58</b>	
CALL NFLX 10/09/20	540	NETFLIX INC   CUSIP:   Symbol: NFLX201009C00540000					
10/07/2020	1.00	489.89	10/07/2020	465.08	0.00	24.81	Sell to Close
PUT SPY 09/04/20	335	STANDARD & POORS DEPOSITORY   CUSIP:   Symbol: SPY200904P00335000					
09/04/2020	1.00	232.89	09/04/2020	120.09	0.00	112.80	Sell to Close
CALL AAPL 07/31/20	410	APPLE INC   CUSIP:   Symbol: AAPL200731C00410000					
07/31/2020	2.00	499.78	Various	332.18	0.00	167.60	Sell to Close
CALL CHWY 08/21/20	60	CHEWY INC CLASS A   CUSIP:   Symbol: CHWY200821C00060000					
08/21/2020	1.00	0.00	08/04/2020	200.09	0.00	-200.09	Expiration
CALL FB 10/16/20	275	FACEBOOK INC CL A   CUSIP:   Symbol: FB201016C00275000					
10/12/2020	1.00	286.90	10/12/2020	265.08	0.00	21.82	Sell to Close
10/12/2020	2.00	479.81	10/12/2020	530.16	0.00	-50.35	Sell to Close
10/12/2020	1.00	244.90	10/12/2020	265.08	0.00	-20.18	Sell to Close
<b>Security Totals:</b>		<b>1,011.61</b>		<b>1,060.32</b>		<b>-48.71</b>	

APEX CLEARING

## Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B\*

OMB No. 1545-0715

5MV78515

(continued)

02/27/2021

**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 MSFT 09/04/20	232.50	MICROSOFT CORP   CUSIP:   Symbol: MSFT200904C00232500					
09/02/2020	1.00	339.89	09/02/2020	263.09	0.00	76.80	Sell to Close
CALL FB 10/16/20	280	FACEBOOK INC CL A   CUSIP:   Symbol: FB201016C00280000					
10/12/2020	2.00	649.81	10/12/2020	520.16	0.00	129.65	Sell to Close
CALL MIK 09/18/20	12.50	MICHAELS COMPANIES INC (THE)   CUSIP:   Symbol: MIK200918C00012500					
09/18/2020	5.00	0.00	09/03/2020	100.45	0.00	-100.45	Expiration
CALL TSLA 11/27/20	500	TESLA INC   CUSIP:   Symbol: TSLA201127C00500000					
11/18/2020	1.00	1,499.87	11/17/2020	365.08	0.00	1,134.79	Sell to Close
CALL JD 01/15/21	90	JD.COM INC   CUSIP:   Symbol: JD210115C00090000					
11/24/2020	1.00	589.89	11/23/2020	450.08	0.00	139.81	Sell to Close
CALL SNOW 11/20/20	250	SNOWFLAKE INC CLASS A   CUSIP:   Symbol: SNOW201120C00250000					
11/16/2020	1.00	399.90	11/16/2020	320.08	0.00	79.82	Sell to Close
CALL AMZN 09/04/20	3330	AMAZON.COM INC   CUSIP:   Symbol: AMZN200904C03330000					
09/04/2020	1.00	749.88	09/04/2020	255.09	0.00	494.79	Sell to Close
IDERA PHARMACEUTICALS INC		COMMON STOCK   CUSIP: 45168K405   Symbol: IDRA					
07/20/2020	1.00	2.57	07/17/2020	3.00	0.00	-0.43	Sale
07/31/2020	9.00	17.53	07/17/2020	27.00	0.00	-9.47	Sale
<b>Security Totals:</b>		<b>20.10</b>		<b>30.00</b>		<b>-9.90</b>	
CALL NIO 11/20/20	20	NIO INC ADS   CUSIP:   Symbol: NIO201120C00020000					
09/29/2020	2.00	809.81	09/29/2020	720.16	0.00	89.65	Sell to Close
CALL NFLX 10/09/20	510	NETFLIX INC   CUSIP:   Symbol: NFLX201009C00510000					
09/30/2020	1.00	944.88	09/30/2020	850.08	0.00	94.80	Sell to Close
10/01/2020	1.00	1,399.87	09/30/2020	925.08	0.00	474.79	Sell to Close
<b>Security Totals:</b>		<b>2,344.75</b>		<b>1,775.16</b>		<b>569.59</b>	
CALL NFLX 10/09/20	502.50	NETFLIX INC   CUSIP:   Symbol: NFLX201009C00502500					
09/30/2020	1.00	944.88	09/30/2020	1,130.08	0.00	-185.20	Sell to Close
CALL TWLO 11/20/20	300	TWILIO INC   CUSIP:   Symbol: TWLO201120C00300000					
11/19/2020	1.00	284.90	11/19/2020	265.08	0.00	19.82	Sell to Close
CALL NFLX 10/09/20	520	NETFLIX INC   CUSIP:   Symbol: NFLX201009C00520000					
10/05/2020	1.00	899.89	10/05/2020	740.08	0.00	159.81	Sell to Close

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## Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B\*

OMB No. 1545-0715

5MV78515

(continued)

02/27/2021

**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 TLRX 11/20/20 9 TILRAY INC   CUSIP:   Symbol: TLRX201120C00009000							
11/11/2020	12.00	610.99	Various	840.97	0.00	-229.98	Sell to Close
CALL GS 08/14/20 232.50 GOLDMAN SACHS GROUP INC   CUSIP:   Symbol: GS200814C00232500							
08/14/2020	1.00	0.00	08/11/2020	20.09	0.00	-20.09	Expiration
CALL KTOS 08/21/20 22.50 KRATOS DEFENSE & SEC SOLUTIONS   CUSIP:   Symbol: KTOS200821C00022500							
08/21/2020	2.00	0.00	08/05/2020	40.18	0.00	-40.18	Expiration
CALL NFLX 10/02/20 515 NETFLIX INC   CUSIP:   Symbol: NFLX201002C00515000							
10/01/2020	2.00	1,039.80	Various	646.16	0.00	393.64	Sell to Close
CALL FB 08/28/20 275 FACEBOOK INC CL A   CUSIP:   Symbol: FB200828C00275000							
08/24/2020	1.00	634.88	08/24/2020	459.09	0.00	175.79	Sell to Close
08/25/2020	1.00	554.88	08/25/2020	350.09	0.00	204.79	Sell to Close
<b>Security Totals:</b>		<b>1,189.76</b>		<b>809.18</b>		<b>380.58</b>	
CALL AAPL 08/14/20 475 APPLE INC   CUSIP:   Symbol: AAPL200814C00475000							
08/14/2020	1.00	0.00	08/13/2020	136.09	0.00	-136.09	Expiration
CALL AAPL 10/16/20 123.75 APPLE INC ADJ 4:1 STOCK SPLIT   CUSIP:   Symbol: AAPL201016C00123750							
10/13/2020	2.00	629.81	10/13/2020	498.16	0.00	131.65	Sell to Close
10/13/2020	4.00	1,175.64	10/13/2020	996.33	0.00	179.31	Sell to Close
10/13/2020	2.00	367.82	10/13/2020	498.16	0.00	-130.34	Sell to Close
<b>Security Totals:</b>		<b>2,173.27</b>		<b>1,992.65</b>		<b>180.62</b>	
CALL NIO 11/20/20 60 NIO INC ADS   CUSIP:   Symbol: NIO201120C00060000							
11/20/2020	2.00	0.00	Various	526.16	0.00	-526.16	Expiration
CALL ZM 10/16/20 550 ZOOM VIDEO COMMUNICATIONS INC   CUSIP:   Symbol: ZM201016C00550000							
10/15/2020	1.00	460.89	10/14/2020	245.08	0.00	215.81	Sell to Close
CALL WKHS 10/30/20 22.50 WORKHORSE GROUP INC   CUSIP:   Symbol: WKHS201030C00022500							
09/25/2020	1.00	549.88	09/24/2020	480.09	0.00	69.79	Sell to Close
CALL SHOP 07/31/20 1150 SHOPIFY INC   CUSIP:   Symbol: SHOP200731C01150000							
07/31/2020	1.00	0.00	07/29/2020	1,386.09	0.00	-1,386.09	Expiration
CALL TSLA 11/20/20 585 TESLA INC   CUSIP:   Symbol: TSLA201120C00585000							
11/18/2020	1.00	89.90	11/18/2020	99.08	0.00	-9.18	Sell to Close
CALL AAPL 09/04/20 125 APPLE INC ADJ 4:1 STOCK SPLIT   CUSIP:   Symbol: AAPL200904C00125000							
09/04/2020	1.00	0.00	09/03/2020	142.09	0.00	-142.09	Expiration

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**SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS**

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

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

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

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

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

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

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

1c - Date Sold or Disposed	Quantity	1d - Proceeds	1b - Date Acquired	1e - Cost or Other Basis	1f - Accrued Market Discount (M) & 1g - Wash Sale Loss Disallowed (D)	Gain or Loss (-)	Additional Notes
CALL SPG 07/17/20	65	SIMON PROPERTY GROUP INC   CUSIP:   Symbol: SPG200717C00065000					
07/10/2020	1.00	194.89	07/09/2020	140.09	0.00	54.80	Sell to Close
CALL HOG 12/11/20	36	HARLEY DAVIDSON INC   CUSIP:   Symbol: HOG201211C00036000					
11/18/2020	1.00	184.90	11/16/2020	160.08	0.00	24.82	Sell to Close
CALL SHOP 07/31/20	1100	SHOPIFY INC   CUSIP:   Symbol: SHOP200731C01100000					
07/28/2020	1.00	1,279.87	07/28/2020	1,275.09	0.00	4.78	Sell to Close
CALL NVDA 09/04/20	550	NVIDIA CORP   CUSIP:   Symbol: NVDA200904C00550000					
08/31/2020	1.00	975.87	08/31/2020	762.09	0.00	213.78	Sell to Close
CALL AAPL 09/04/20	130	APPLE INC ADJ 4:1 STOCK SPLIT   CUSIP:   Symbol: AAPL200904C00130000					
08/31/2020	1.00	256.89	08/31/2020	252.09	0.00	4.80	Sell to Close
CALL SPY 10/02/20	335	STANDARD & POORS DEPOSITORY   CUSIP:   Symbol: SPY201002C00335000					
09/30/2020	1.00	220.90	09/30/2020	284.08	0.00	-63.18	Sell to Close
CALL ZM 10/02/20	490	ZOOM VIDEO COMMUNICATIONS INC   CUSIP:   Symbol: ZM201002C00490000					
09/28/2020	1.00	1,689.87	09/28/2020	1,680.08	0.00	9.79	Sell to Close
CALL TSM 09/11/20	85	TAIWAN SEMICONDUCTOR MFG CO   CUSIP:   Symbol: TSM200911C00085000					
09/11/2020	2.00	0.00	09/01/2020	200.18	0.00	-200.18	Expiration
CALL TTD 11/06/20	820	TRADE DESK INC CLASS A   CUSIP:   Symbol: TTD201106C00820000					
11/06/2020	1.00	159.90	11/06/2020	55.08	0.00	104.82	Sell to Close
CALL DOCU 11/20/20	250	DOCUSIGN INC   CUSIP:   Symbol: DOCU201120C00250000					
10/01/2020	1.00	934.88	10/01/2020	990.08	0.00	-55.20	Sell to Close
10/01/2020	1.00	1,001.88	10/01/2020	970.08	0.00	31.80	Sell to Close
<b>Security Totals:</b>		<b>1,936.76</b>		<b>1,960.16</b>		<b>-23.40</b>	
***CHINA FINANCE ONLINE CO		LIMITED AMERICAN DEPOSITORY SHARES   CUSIP: 169379203   Symbol: JRJC					
07/15/2020	2.00	53.98	07/15/2020	54.48	0.00	-0.50	Sale
CALL SPLK 12/04/20	165	SPLUNK INC   CUSIP:   Symbol: SPLK201204C00165000					
12/03/2020	1.00	219.90	12/03/2020	300.08	0.00	-80.18	Sell to Close
CALL REGN 10/09/20	605	REGENERON PHARMACEUTICALS INC   CUSIP:   Symbol: REGN201009C00605000					
10/09/2020	1.00	69.90	10/09/2020	100.08	0.00	-30.18	Sell to Close C
CALL LVGO 10/02/20	141	LIVONGO HEALTH INC   CUSIP:   Symbol: LVGO201002C00141000					
09/29/2020	1.00	399.90	09/25/2020	460.09	60.19 D	0.00	Sell to Close

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APEX CLEARING

## Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B\*

OMB No. 1545-0715

5MV78515

(continued)

02/27/2021

**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
10/02/2020	1.00	409.90	09/25/2020	510.28	0.00	-100.38	Sell to Close
<b>Security Totals:</b>		<b>809.80</b>		<b>970.37</b>		<b>-100.38</b>	
CALL SIX 08/21/20	22.50	SIX FLAGS ENTERTAINMENT CORP   CUSIP:   Symbol: SIX200821C00022500					
08/10/2020	1.00	24.89	08/06/2020	15.09	0.00	9.80	Sell to Close
CALL AAPL 07/31/20	415	APPLE INC   CUSIP:   Symbol: AAPL200731C00415000					
07/31/2020	1.00	84.89	07/31/2020	80.09	0.00	4.80	Sell to Close
MODERNA INC		COMMON STOCK   CUSIP: 60770K107   Symbol: MRNA					
07/15/2020	1.00	85.56	07/14/2020	83.90	0.00	1.66	Sale
CALL MSFT 09/04/20	227.50	MICROSOFT CORP   CUSIP:   Symbol: MSFT200904C00227500					
08/27/2020	1.00	764.88	08/26/2020	224.09	0.00	540.79	Sell to Close
09/02/2020	1.00	419.89	08/31/2020	350.09	0.00	69.80	Sell to Close
<b>Security Totals:</b>		<b>1,184.77</b>		<b>574.18</b>		<b>610.59</b>	
CALL FB 10/23/20	270	FACEBOOK INC CL A   CUSIP:   Symbol: FB201023C00270000					
10/20/2020	1.00	207.90	10/20/2020	238.08	0.00	-30.18	Sell to Close
CALL BGFV 11/20/20	7.50	BIG 5 SPORTING GOODS CORP   CUSIP:   Symbol: BGFV201120C00007500					
09/30/2020	1.00	149.90	09/30/2020	143.08	0.00	6.82	Sell to Close
CALL VZ 01/15/21	62.50	VERIZON COMMUNICATIONS   CUSIP:   Symbol: VZ210115C00062500					
12/03/2020	3.00	230.74	12/02/2020	228.24	0.00	2.50	Sell to Close
CALL TSLA 11/06/20	450	TESLA INC   CUSIP:   Symbol: TSLA201106C00450000					
11/06/2020	1.00	0.00	11/05/2020	165.08	0.00	-165.08	Expiration
CALL NVDA 11/27/20	550	NVIDIA CORP   CUSIP:   Symbol: NVDA201127C00550000					
11/19/2020	1.00	854.89	11/19/2020	620.08	0.00	234.81	Sell to Close
CALL FB 10/23/20	280	FACEBOOK INC CL A   CUSIP:   Symbol: FB201023C00280000					
10/21/2020	1.00	484.89	10/21/2020	299.08	0.00	185.81	Sell to Close
CALL AMD 07/31/20	76	ADVANCED MICRO DEVICES INC   CUSIP:   Symbol: AMD200731C00076000					
07/29/2020	1.00	199.89	07/29/2020	182.09	0.00	17.80	Sell to Close
CALL SHOP 11/27/20	1000	SHOPIFY INC   CUSIP:   Symbol: SHOP201127C01000000					
11/18/2020	1.00	439.90	11/18/2020	360.08	0.00	79.82	Sell to Close
CALL FB 11/06/20	300	FACEBOOK INC CL A   CUSIP:   Symbol: FB201106C00300000					
11/04/2020	3.00	113.74	11/02/2020	60.24	0.00	53.50	Sell to Close

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APEX CLEARING

## Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B\*

OMB No. 1545-0715

5MV78515

(continued)

02/27/2021

**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
11/05/2020	2.00	149.82	11/02/2020	40.16	0.00	109.66	Sell to Close
<b>Security Totals:</b>		<b>263.56</b>		<b>100.40</b>		<b>163.16</b>	
CALL AMAT 08/21/20 71			APPLIED MATERIALS INC   CUSIP:   Symbol: AMAT200821C00071000				
08/21/2020	1.00	0.00	08/13/2020	50.09	0.00	-50.09	Expiration
CALL FB 10/16/20 300			FACEBOOK INC CL A   CUSIP:   Symbol: FB201016C00300000				
09/30/2020	3.00	119.74	09/30/2020	144.24	0.00	-24.50	Sell to Close
CALL MSFT 08/28/20 227.50			MICROSOFT CORP   CUSIP:   Symbol: MSFT200828C00227500				
08/27/2020	1.00	374.89	08/27/2020	283.09	0.00	91.80	Sell to Close
CALL AMD 08/07/20 84			ADVANCED MICRO DEVICES INC   CUSIP:   Symbol: AMD200807C00084000				
08/04/2020	1.00	159.89	08/04/2020	206.09	0.00	-46.20	Sell to Close
CALL MSFT 08/28/20 230			MICROSOFT CORP   CUSIP:   Symbol: MSFT200828C00230000				
08/28/2020	1.00	0.00	08/27/2020	310.09	0.00	-310.09	Expiration
PUT NVDA 10/09/20 547.50			NVIDIA CORP   CUSIP:   Symbol: NVDA201009P00547500				
10/08/2020	1.00	359.90	10/06/2020	900.08	0.00	-540.18	Sell to Close C
CALL ZM 12/11/20 500			ZOOM VIDEO COMMUNICATIONS INC   CUSIP:   Symbol: ZM201211C00500000				
12/11/2020	1.00	0.00	12/07/2020	101.08	0.00	-101.08	Expiration
CALL AAPL 08/21/20 505			APPLE INC   CUSIP:   Symbol: AAPL200821C00505000				
08/21/2020	1.00	0.89	08/20/2020	6.09	0.00	-5.20	Sell to Close
CALL CRM 09/11/20 300			SALESFORCE.COM INC   CUSIP:   Symbol: CRM200911C00300000				
09/11/2020	1.00	0.00	09/01/2020	310.09	0.00	-310.09	Expiration
CALL ADBE 09/11/20 560			ADOBE INC   CUSIP:   Symbol: ADBE200911C00560000				
09/11/2020	1.00	0.00	09/01/2020	410.09	0.00	-410.09	Expiration
CALL DOCU 12/04/20 252.50			DOCUSIGN INC   CUSIP:   Symbol: DOCU201204C00252500				
12/04/2020	1.00	519.89	12/04/2020	460.08	0.00	59.81	Sell to Close
CALL BABA 10/02/20 300			ALIBABA GROUP HOLDING LIMITED   CUSIP:   Symbol: BABA201002C00300000				
10/01/2020	1.00	113.90	09/30/2020	208.08	0.00	-94.18	Sell to Close
CALL YRCW 08/21/20 3			YRC WORLDWIDE INC   CUSIP:   Symbol: YRCW200821C00003000				
08/03/2020	4.00	147.62	07/31/2020	100.38	0.00	47.24	Sell to Close
08/07/2020	5.00	224.53	07/31/2020	130.46	0.00	94.07	Sell to Close
<b>Security Totals:</b>		<b>372.15</b>		<b>230.84</b>		<b>141.31</b>	

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APEX CLEARING

## Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B\*

OMB No. 1545-0715

5MV78515

(continued)

02/27/2021

**SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS**

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

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

<b>1c - Date Sold or Disposed</b>	<b>Quantity</b>	<b>1d - Proceeds</b>	<b>1b - Date Acquired</b>	<b>1e - Cost or Other Basis</b>	<b>1f - Accrued Market Discount (M) &amp; 1g - Wash Sale Loss Disallowed (D)</b>	<b>Gain or Loss (-)</b>	<b>Additional Notes</b>
AYRO INC	COMMON STOCK   CUSIP: 054748108   Symbol: AYRO						
07/06/2020	10.00	63.98	07/06/2020	62.00	0.00	1.98	Sale
07/06/2020	50.00	374.98	07/06/2020	345.00	0.00	29.98	Sale
<b>Security Totals:</b>		<b>438.96</b>		<b>407.00</b>		<b>31.96</b>	
CALL RH	10/16/20	400	RH   CUSIP:   Symbol: RH201016C00400000				
10/13/2020	1.00	549.89	10/13/2020	490.08	0.00	59.81	Sell to Close
CALL LRCX	07/31/20	370	LAM RESEARCH CORP   CUSIP:   Symbol: LRCX200731C00370000				
07/29/2020	1.00	529.88	07/29/2020	441.09	0.00	88.79	Sell to Close
CALL SPG	01/15/21	65	SIMON PROPERTY GROUP INC   CUSIP:   Symbol: SPG210115C00065000				
11/09/2020	1.00	1,799.87	10/28/2020	455.08	0.00	1,344.79	Sell to Close
CALL AMZN	12/11/20	3510	AMAZON.COM INC   CUSIP:   Symbol: AMZN201211C03510000				
12/11/2020	1.00	0.00	12/04/2020	290.08	0.00	-290.08	Expiration
CALL NVDA	11/27/20	540	NVIDIA CORP   CUSIP:   Symbol: NVDA201127C00540000				
11/27/2020	1.00	0.00	11/27/2020	135.08	0.00	-135.08	Expiration
CALL NFLX	10/30/20	550	NETFLIX INC   CUSIP:   Symbol: NFLX201030C00550000				
10/30/2020	1.00	0.00	10/29/2020	20.08	0.00	-20.08	Expiration
CALL AMZN	11/06/20	3500	AMAZON.COM INC   CUSIP:   Symbol: AMZN201106C03500000				
11/05/2020	1.00	289.90	11/02/2020	37.08	0.00	252.82	Sell to Close
11/06/2020	5.00	0.00	Various	185.40	0.00	-185.40	Expiration
<b>Security Totals:</b>		<b>289.90</b>		<b>222.48</b>		<b>67.42</b>	
CALL SPY	07/20/20	324	STANDARD & POORS DEPOSITORY   CUSIP:   Symbol: SPY200720C00324000				
07/20/2020	1.00	55.89	07/20/2020	32.09	0.00	23.80	Sell to Close
CALL NIO	10/16/20	24	NIO INC ADS   CUSIP:   Symbol: NIO201016C00024000				
10/14/2020	2.00	251.82	10/14/2020	136.83	0.00	114.99	Sell to Close
10/14/2020	1.00	138.90	10/14/2020	68.41	0.00	70.49	Sell to Close
<b>Security Totals:</b>		<b>390.72</b>		<b>205.24</b>		<b>185.48</b>	
CALL TSLA	07/24/20	3000	TESLA INC   CUSIP:   Symbol: TSLA200724C03000000				
07/24/2020	1.00	0.00	07/22/2020	100.09	0.00	-100.09	Expiration
CALL JMIA	08/21/20	17	JUMIA TECHNOLOGIES AG   CUSIP:   Symbol: JMIA200821C00017000				
08/03/2020	1.00	297.89	08/03/2020	180.09	0.00	117.80	Sell to Close

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APEX CLEARING

## Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B\*

OMB No. 1545-0715

5MV78515

(continued)

02/27/2021

**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 HIBB 11/20/20	60	HIBBETT SPORTS INC   CUSIP:   Symbol: HIBB201120C00060000					
11/20/2020	2.00	0.00	10/13/2020	740.16	0.00	-740.16	Expiration
CALL AMZN 10/16/20	3500	AMAZON.COM INC   CUSIP:   Symbol: AMZN201016C03500000					
10/12/2020	1.00	2,754.84	10/09/2020	785.08	0.00	1,969.76	Sell to Close
CALL DKNG 11/20/20	55	DRAFTKINGS INC CL A   CUSIP:   Symbol: DKNG201120C00055000					
11/20/2020	3.00	0.00	Various	1,135.24	0.00	-1,135.24	Expiration
CALL AMZN 08/28/20	3450	AMAZON.COM INC   CUSIP:   Symbol: AMZN200828C03450000					
08/28/2020	1.00	0.00	08/28/2020	800.09	0.00	-800.09	Expiration
CALL EQIX 11/20/20	900	EQUINIX INC REIT   CUSIP:   Symbol: EQIX201120C00900000					
11/20/2020	1.00	0.00	10/13/2020	630.08	0.00	-630.08	Expiration
CALL SPCE 07/24/20	28	VIRGIN GALACTIC HOLDINGS INC   CUSIP:   Symbol: SPCE200724C00028000					
07/21/2020	1.00	89.89	07/21/2020	98.09	0.00	-8.20	Sell to Close
CALL CRM 09/04/20	285	SALESFORCE.COM INC   CUSIP:   Symbol: CRM200904C00285000					
09/01/2020	1.00	459.88	08/31/2020	252.09	0.00	207.79	Sell to Close
CALL BABA 07/17/20	290	ALIBABA GROUP HOLDING LIMITED   CUSIP:   Symbol: BABA200717C00290000					
07/17/2020	2.00	0.00	Various	277.18	0.00	-277.18	Expiration
CALL TSLA 10/02/20	500	TESLA INC ADJ 5:1 STOCK SPLIT   CUSIP:   Symbol: TSLA201002C00500000					
10/02/2020	1.00	0.00	10/01/2020	135.08	0.00	-135.08	Expiration
CALL ZM 11/20/20	600	ZOOM VIDEO COMMUNICATIONS INC   CUSIP:   Symbol: ZM201120C00600000					
11/20/2020	1.00	0.00	11/06/2020	160.08	0.00	-160.08	Expiration
CALL QCOM 07/31/20	106	QUALCOMM INC   CUSIP:   Symbol: QCOM200731C00106000					
07/30/2020	1.00	123.89	07/30/2020	90.09	0.00	33.80	Sell to Close
CALL NIO 11/06/20	39	NIO INC ADS   CUSIP:   Symbol: NIO201106C00039000					
11/05/2020	1.00	168.90	11/04/2020	68.08	0.00	100.82	Sell to Close
11/05/2020	2.00	243.82	11/04/2020	136.16	0.00	107.66	Sell to Close
11/05/2020	2.00	319.82	11/04/2020	136.16	0.00	183.66	Sell to Close
<b>Security Totals:</b>		<b>732.54</b>		<b>340.40</b>		<b>392.14</b>	
CALL DG 08/28/20	200	DOLLAR GENERAL CORPORATION   CUSIP:   Symbol: DG200828C00200000					
08/26/2020	1.00	559.88	08/24/2020	490.09	0.00	69.79	Sell to Close
PUT SPY 10/30/20	320	STANDARD & POORS DEPOSITORY   CUSIP:   Symbol: SPY201030P00320000					
10/30/2020	2.00	0.00	10/30/2020	140.16	0.00	-140.16	Expiration

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APEX CLEARING

## Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B\*

OMB No. 1545-0715

5MV78515

(continued)

02/27/2021

**SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS**

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

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CALL FUBO 02/19/21	22.50	FUBOTV INC   CUSIP:   Symbol: FUBO210219C00022500					
11/20/2020	1.00	559.89	11/19/2020	420.08	0.00	139.81	Sell to Close
CALL NVDA 10/30/20	630	NVIDIA CORP   CUSIP:   Symbol: NVDA201030C00630000					
10/06/2020	1.00	519.89	10/06/2020	520.08	0.00	-0.19	Sell to Close
CALL AAPL 08/21/20	500	APPLE INC   CUSIP:   Symbol: AAPL200821C00500000					
08/21/2020	1.00	0.00	08/20/2020	8.09	0.00	-8.09	Expiration
CALL BABA 10/23/20	315	ALIBABA GROUP HOLDING LIMITED   CUSIP:   Symbol: BABA201023C00315000					
10/19/2020	1.00	319.90	10/19/2020	370.08	0.00	-50.18	Sell to Close
CALL NKLA 09/18/20	65	NIKOLA CORPORATION   CUSIP:   Symbol: NKLA200918C00065000					
09/18/2020	1.00	0.00	09/08/2020	360.09	0.00	-360.09	Expiration
CALL NVDA 10/02/20	535	NVIDIA CORP   CUSIP:   Symbol: NVDA201002C00535000					
09/29/2020	1.00	1,049.88	09/29/2020	965.08	0.00	84.80	Sell to Close
CALL TSLA 09/04/20	600	TESLA INC ADJ 5:1 STOCK SPLIT   CUSIP:   Symbol: TSLA200904C00600000					
09/04/2020	1.00	0.00	08/31/2020	245.09	0.00	-245.09	Expiration
CALL JNJ 09/04/20	152.50	JOHNSON & JOHNSON   CUSIP:   Symbol: JNJ200904C00152500					
09/04/2020	1.00	0.00	09/03/2020	37.09	0.00	-37.09	Expiration
CALL NYMT 01/15/21	2.50	NEW YORK MORTGAGE TRUST INC   CUSIP:   Symbol: NYMT210115C00002500					
08/17/2020	2.00	109.80	07/10/2020	120.19	0.00	-10.39	Sell to Close
CALL TSM 09/18/20	100	TAIWAN SEMICONDUCTOR MFG CO   CUSIP:   Symbol: TSM200918C00100000					
09/02/2020	5.00	129.53	09/02/2020	160.46	30.93 D	0.00	Sell to Close
09/15/2020	2.00	11.80	09/02/2020	64.18	52.38 D	0.00	Sell to Close
09/18/2020	58.00	0.00	Various	1,174.56	0.00	-1,174.56	Expiration
<b>Security Totals:</b>		<b>141.33</b>		<b>1,399.20</b>		<b>-1,174.56</b>	
CALL AMZN 11/27/20	3250	AMAZON.COM INC   CUSIP:   Symbol: AMZN201127C03250000					
11/27/2020	1.00	0.00	11/20/2020	1,215.08	0.00	-1,215.08	Expiration
CALL CVNA 10/23/20	235	CARVANA COMPANY   CUSIP:   Symbol: CVNA201023C00235000					
10/23/2020	3.00	0.00	Various	628.24	0.00	-628.24	Expiration C
CALL ABT 11/13/20	110	ABBOTT LABORATORIES   CUSIP:   Symbol: ABT201113C00110000					
10/14/2020	3.00	1,064.72	10/14/2020	1,020.24	0.00	44.48	Sell to Close
HOUSTON AMERN ENERGY CORP		COMMON STOCK   CUSIP: 44183U209   Symbol: HUSA					
08/17/2020	50.00	67.48	08/03/2020	100.00	0.00	-32.52	Sale

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APEX CLEARING

## Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B\*

OMB No. 1545-0715

5MV78515

(continued)

02/27/2021

**SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS**

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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
DPW HOLDINGS INC COMMON STOCK   CUSIP: 26140E600   Symbol: DPW							
07/20/2020	5.00	24.48	07/20/2020	22.20	0.00	2.28	Sale
CALL CGC 12/04/20 28 CANOPY GROWTH CORPORATION   CUSIP:   Symbol: CGC201204C00028000							
12/03/2020	1.00	77.90	12/02/2020	93.08	0.00	-15.18	Sell to Close
CALL GOOGL 10/09/20 1505 ALPHABET INC CLASS A   CUSIP:   Symbol: GOOGL201009C01505000							
10/09/2020	1.00	319.90	10/09/2020	290.08	0.00	29.82	Sell to Close
CALL AAPL 12/24/20 120 APPLE INC   CUSIP:   Symbol: AAPL201224C00120000							
12/01/2020	1.00	519.89	11/25/2020	246.08	0.00	273.81	Sell to Close
12/01/2020	1.00	509.89	11/25/2020	246.08	0.00	263.81	Sell to Close
<b>Security Totals:</b>		<b>1,029.78</b>		<b>492.16</b>		<b>537.62</b>	
CALL NFLX 10/02/20 530 NETFLIX INC   CUSIP:   Symbol: NFLX201002C00530000							
10/01/2020	1.00	270.90	10/01/2020	145.08	0.00	125.82	Sell to Close
CALL JMIA 11/20/20 18 JUMIA TECHNOLOGIES AG   CUSIP:   Symbol: JMIA201120C00018000							
10/23/2020	1.00	289.90	10/23/2020	275.08	0.00	14.82	Sell to Close
PUT SPY 11/13/20 349 STANDARD & POORS DEPOSITORY   CUSIP:   Symbol: SPY201113P00349000							
11/12/2020	1.00	112.90	11/12/2020	110.08	0.00	2.82	Sell to Close
PUT TLT 09/11/20 160 ISHS 20 PLUS YEAR TREASURY BD   CUSIP:   Symbol: TLT200911P00160000							
09/04/2020	2.00	83.80	09/04/2020	72.18	0.00	11.62	Sell to Close
CALL SAVE 10/16/20 20 SPIRIT AIRLINES INC   CUSIP:   Symbol: SAVE201016C00020000							
10/16/2020	1.00	0.00	09/08/2020	180.09	0.00	-180.09	Expiration
CALL RUN 12/18/20 75 SUNRUN INC   CUSIP:   Symbol: RUN201218C00075000							
12/18/2020	3.00	0.00	Various	889.24	0.00	-889.24	Expiration
CALL OSTK 08/28/20 120 OVERSTOCK.COM INC   CUSIP:   Symbol: OSTK200828C00120000							
08/28/2020	1.00	0.00	08/25/2020	350.09	0.00	-350.09	Expiration
CALL AAPL 09/25/20 111.25 APPLE INC ADJ 4:1 STOCK SPLIT   CUSIP:   Symbol: AAPL200925C00111250							
09/22/2020	4.00	963.60	09/21/2020	856.36	0.00	107.24	Sell to Close
CALL ZM 09/11/20 500 ZOOM VIDEO COMMUNICATIONS INC   CUSIP:   Symbol: ZM200911C00500000							
09/11/2020	1.00	0.00	09/02/2020	450.09	0.00	-450.09	Expiration
CALL JD 10/30/20 74 JD.COM INC   CUSIP:   Symbol: JD201030C00074000							
09/24/2020	1.00	409.89	09/24/2020	380.09	0.00	29.80	Sell to Close

APEX CLEARING

## Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B\*

OMB No. 1545-0715

5MV78515

(continued)

02/27/2021

**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**

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CALL NIO 10/30/20	30	NIO INC ADS   CUSIP:   Symbol: NIO201030C00030000					
10/29/2020	1.00	86.90	10/27/2020	31.08	0.00	55.82	Sell to Close
10/29/2020	2.00	155.82	10/27/2020	62.16	0.00	93.66	Sell to Close
<b>Security Totals:</b>		<b>242.72</b>		<b>93.24</b>		<b>149.48</b>	
CALL SPCE 09/04/20	21	VIRGIN GALACTIC HOLDINGS INC   CUSIP:   Symbol: SPCE200904C00021000					
09/04/2020	2.00	0.00	08/31/2020	30.18	0.00	-30.18	Expiration
CALL JD 10/30/20	73	JD.COM INC   CUSIP:   Symbol: JD201030C00073000					
09/24/2020	2.00	919.78	09/21/2020	886.18	0.00	33.60	Sell to Close
09/28/2020	2.00	1,019.80	Various	820.18	0.00	199.62	Sell to Close
<b>Security Totals:</b>		<b>1,939.58</b>		<b>1,706.36</b>		<b>233.22</b>	
CALL BABA 08/21/20	295	ALIBABA GROUP HOLDING LIMITED   CUSIP:   Symbol: BABA200821C00295000					
08/21/2020	4.00	0.00	08/18/2020	104.36	0.00	-104.36	Expiration
CALL FB 10/09/20	265	FACEBOOK INC CL A   CUSIP:   Symbol: FB201009C00265000					
09/29/2020	1.00	454.89	09/29/2020	445.08	0.00	9.81	Sell to Close
PUT TTD 11/13/20	700	TRADE DESK INC CLASS A   CUSIP:   Symbol: TTD201113P00700000					
11/06/2020	1.00	369.90	11/06/2020	410.08	0.00	-40.18	Sell to Close
CALL FB 08/28/20	300	FACEBOOK INC CL A   CUSIP:   Symbol: FB200828C00300000					
08/26/2020	1.00	524.88	08/26/2020	219.09	0.00	305.79	Sell to Close
PUT SPY 09/08/20	342	STANDARD & POORS DEPOSITORY   CUSIP:   Symbol: SPY200908P00342000					
09/04/2020	1.00	573.88	09/04/2020	300.09	0.00	273.79	Sell to Close
CALL SPG 01/15/21	60	SIMON PROPERTY GROUP INC   CUSIP:   Symbol: SPG210115C00060000					
09/24/2020	1.00	879.88	09/24/2020	775.09	0.00	104.79	Sell to Close
CALL SQ 10/02/20	165	SQUARE INC   CUSIP:   Symbol: SQ201002C00165000					
09/28/2020	1.00	439.90	09/28/2020	432.08	0.00	7.82	Sell to Close
CALL JPM 08/21/20	102	JPMORGAN CHASE & CO   CUSIP:   Symbol: JPM200821C00102000					
08/11/2020	1.00	399.89	08/10/2020	196.09	0.00	203.80	Sell to Close
CALL TDOC 08/14/20	200	TELADOC HEALTH INC   CUSIP:   Symbol: TDOC200814C00200000					
08/14/2020	1.00	0.00	08/12/2020	145.09	0.00	-145.09	Expiration
PUT GOOGL 11/06/20	1600	ALPHABET INC CLASS A   CUSIP:   Symbol: GOOGL201106P01600000					
11/06/2020	1.00	0.00	11/04/2020	50.08	0.00	-50.08	Expiration

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APEX CLEARING

## Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B\*

OMB No. 1545-0715

5MV78515

(continued)

02/27/2021

**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 AMZN 08/28/20	3500	AMAZON.COM INC   CUSIP:   Symbol: AMZN200828C03500000					
08/28/2020	1.00	176.89	08/28/2020	320.09	0.00	-143.20	Sell to Close
CALL ZM 11/13/20	450	ZOOM VIDEO COMMUNICATIONS INC   CUSIP:   Symbol: ZM201113C00450000					
11/13/2020	1.00	0.00	11/12/2020	380.08	0.00	-380.08	Expiration
CALL ILMN 10/16/20	300	ILLUMINA INC   CUSIP:   Symbol: ILMN201016C00300000					
09/24/2020	1.00	609.88	09/23/2020	400.09	0.00	209.79	Sell to Close
CALL SNOW 12/18/20	450	SNOWFLAKE INC CLASS A   CUSIP:   Symbol: SNOW201218C00450000					
12/18/2020	1.00	0.00	12/14/2020	75.08	0.00	-75.08	Expiration
CALL AMZN 10/09/20	3300	AMAZON.COM INC   CUSIP:   Symbol: AMZN201009C03300000					
10/09/2020	1.00	108.90	10/08/2020	73.08	0.00	35.82	Sell to Close
CALL ROKU 09/04/20	185	ROKU INC   CUSIP:   Symbol: ROKU200904C00185000					
09/01/2020	1.00	624.88	09/01/2020	492.59	0.00	132.29	Sell to Close
09/04/2020	1.00	0.00	09/01/2020	492.59	0.00	-492.59	Expiration
<b>Security Totals:</b>		<b>624.88</b>		<b>985.18</b>		<b>-360.30</b>	
CALL TSLA 10/16/20	500	TESLA INC ADJ 5:1 STOCK SPLIT   CUSIP:   Symbol: TSLA201016C00500000					
10/16/2020	1.00	0.00	10/12/2020	96.08	0.00	-96.08	Expiration
CALL NVDA 11/06/20	575	NVIDIA CORP   CUSIP:   Symbol: NVDA201106C00575000					
11/06/2020	1.00	209.90	11/06/2020	172.08	0.00	37.82	Sell to Close
CALL TSLA 09/04/20	500	TESLA INC ADJ 5:1 STOCK SPLIT   CUSIP:   Symbol: TSLA200904C00500000					
09/04/2020	1.00	0.00	09/04/2020	24.09	0.00	-24.09	Expiration
CALL ZM 10/02/20	505	ZOOM VIDEO COMMUNICATIONS INC   CUSIP:   Symbol: ZM201002C00505000					
10/02/2020	1.00	0.00	10/02/2020	100.08	0.00	-100.08	Expiration
CALL TDOC1 11/20/20	170	TELADOC HEALTH INC CONTRACT ADJ D:59 TDOC & CIL   CUSIP:   Symbol: TDOC1201120C00170000					
11/20/2020	1.00	0.00	10/01/2020	620.08	0.00	-620.08	Expiration
CALL AAPL 08/21/20	475	APPLE INC   CUSIP:   Symbol: AAPL200821C00475000					
08/21/2020	1.00	749.88	08/19/2020	229.09	0.00	520.79	Sell to Close
***BELLUS HEALTH INC		COM   CUSIP: 07987C204   Symbol: BLU					
08/17/2020	100.00	251.98	07/06/2020	358.00	0.00	-106.02	Sale
CALL AMZN 10/09/20	3280	AMAZON.COM INC   CUSIP:   Symbol: AMZN201009C03280000					
10/09/2020	1.00	1,099.88	10/09/2020	823.08	0.00	276.80	Sell to Close

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APEX CLEARING

## Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B\*

OMB No. 1545-0715

5MV78515

(continued)

02/27/2021

**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 NIO 11/13/20 48	NIO INC ADS   CUSIP:   Symbol: NIO201113C00048000						
11/12/2020	1.00	68.90	11/09/2020	112.08	0.00	-43.18	Sell to Close
CALL SHOP 07/17/20 950	SHOPIFY INC   CUSIP:   Symbol: SHOP200717C00950000						
07/17/2020	1.00	4.89	07/16/2020	700.09	0.00	-695.20	Sell to Close
CALL AAPL 01/15/21 135	APPLE INC						
			ADJ 4:1 STOCK SPLIT   CUSIP:   Symbol: AAPL210115C00135000				
10/28/2020	2.00	509.81	10/26/2020	504.16	0.00	5.65	Sell to Close
CALL TSLA 09/04/20 540	TESLA INC						
			ADJ 5:1 STOCK SPLIT   CUSIP:   Symbol: TSLA200904C00540000				
09/04/2020	2.00	0.00	Various	1,735.18	0.00	-1,735.18	Expiration
PUT UPS 10/30/20 155	UNITED PARCEL SVC INC   CUSIP:   Symbol: UPS201030P00155000						
10/30/2020	1.00	49.90	10/30/2020	20.08	0.00	29.82	Sell to Close
***WAVE LIFE SCIENCES LTD	ORDINARY SHARES   CUSIP: Y95308105   Symbol: WVE						
10/06/2020	100.00	879.97	10/05/2020	848.00	0.00	31.97	Sale
CALL TSLA 11/20/20 500	TESLA INC						
			ADJ 5:1 STOCK SPLIT   CUSIP:   Symbol: TSLA201120C00500000				
11/18/2020	1.00	442.90	11/18/2020	530.26	0.00	-87.36	Sell to Close
11/18/2020	1.00	149.90	11/09/2020	536.08	386.18 D	0.00	Sell to Close
<b>Security Totals:</b>		<b>592.80</b>		<b>1,066.34</b>		<b>-87.36</b>	
CALL ZI 08/21/20 60	ZOOMINFO TECHNOLOGIES INC   CUSIP:   Symbol: ZI200821C00060000						
08/21/2020	1.00	0.00	08/05/2020	35.09	0.00	-35.09	Expiration
GROWGENERATION CORP	COMMON STOCK   CUSIP: 39986L109   Symbol: GRWG						
09/16/2020	50.00	852.47	09/15/2020	776.00	0.00	76.47	Sale
10/07/2020	100.00	1,795.73	10/06/2020	1,643.00	0.00	152.73	Sale
<b>Security Totals:</b>		<b>2,648.20</b>		<b>2,419.00</b>		<b>229.20</b>	
CALL NKE 11/20/20 145	NIKE INC CLASS B   CUSIP:   Symbol: NKE201120C00145000						
11/20/2020	2.00	0.00	10/21/2020	152.16	0.00	-152.16	Expiration
CALL TSLA 11/06/20 500	TESLA INC   CUSIP:   Symbol: TSLA201106C00500000						
11/06/2020	2.00	0.00	11/03/2020	50.16	0.00	-50.16	Expiration
CALL AMZN 10/30/20 3260	AMAZON.COM INC   CUSIP:   Symbol: AMZN201030C03260000						
10/30/2020	1.00	0.00	10/30/2020	51.08	0.00	-51.08	Expiration
CALL EQIX 12/18/20 960	EQUINIX INC REIT   CUSIP:   Symbol: EQIX201218C00960000						
10/14/2020	2.00	521.81	Various	890.16	0.00	-368.35	Sell to Close

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APEX CLEARING

## Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B\*

OMB No. 1545-0715

5MV78515

(continued)

02/27/2021

**SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS**

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

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CALL FB 09/04/20	305	FACEBOOK INC CL A   CUSIP:   Symbol: FB200904C00305000					
09/02/2020	1.00	414.89	09/02/2020	365.09	0.00	49.80	Sell to Close
CALL ROKU 07/17/20	155	ROKU INC   CUSIP:   Symbol: ROKU200717C00155000					
07/17/2020	1.00	0.00	07/16/2020	315.09	0.00	-315.09	Expiration
CALL AMZN 11/13/20	3300	AMAZON.COM INC   CUSIP:   Symbol: AMZN201113C03300000					
11/13/2020	1.00	0.00	11/11/2020	230.08	0.00	-230.08	Expiration
CALL NVDA 10/09/20	570	NVIDIA CORP   CUSIP:   Symbol: NVDA201009C00570000					
10/06/2020	1.00	699.89	10/06/2020	609.08	0.00	90.81	Sell to Close
CALL NVDA 11/06/20	550	NVIDIA CORP   CUSIP:   Symbol: NVDA201106C00550000					
11/03/2020	1.00	177.90	11/03/2020	117.08	0.00	60.82	Sell to Close
CALL PINS 09/11/20	39	PINTEREST INC CLASS A   CUSIP:   Symbol: PINS200911C00039000					
09/02/2020	1.00	149.89	09/01/2020	144.09	0.00	5.80	Sell to Close
CALL AMZN 10/09/20	3260	AMAZON.COM INC   CUSIP:   Symbol: AMZN201009C03260000					
10/09/2020	1.00	940.88	10/09/2020	818.08	0.00	122.80	Sell to Close
CALL NVDA 09/25/20	487.50	NVIDIA CORP   CUSIP:   Symbol: NVDA200925C00487500					
09/21/2020	1.00	1,614.86	09/18/2020	1,355.09	0.00	259.77	Sell to Close
CALL EBS 10/16/20	125	EMERGENT BIOSOLUTIONS INC   CUSIP:   Symbol: EBS201016C00125000					
10/16/2020	1.00	0.00	10/13/2020	10.08	0.00	-10.08	Expiration
CALL JPM 08/28/20	102	JPMORGAN CHASE & CO   CUSIP:   Symbol: JPM200828C00102000					
08/27/2020	1.00	76.89	08/25/2020	149.09	0.00	-72.20	Sell to Close
PUT SPY 07/15/20	320	STANDARD & POORS DEPOSITORY   CUSIP:   Symbol: SPY200715P00320000					
07/15/2020	1.00	0.00	07/15/2020	127.09	0.00	-127.09	Expiration
CALL NET 12/04/20	65	CLOUDFLARE INC CL A   CUSIP:   Symbol: NET201204C00065000					
11/17/2020	1.00	369.90	11/16/2020	275.08	0.00	94.82	Sell to Close
CALL FSLY 09/04/20	100	FASTLY INC CLASS A   CUSIP:   Symbol: FSLY200904C00100000					
09/01/2020	1.00	309.89	09/01/2020	295.09	0.00	14.80	Sell to Close
CALL ROKU 07/17/20	180	ROKU INC   CUSIP:   Symbol: ROKU200717C00180000					
07/17/2020	1.00	0.00	07/13/2020	380.09	0.00	-380.09	Expiration
***JUST ENERGY GROUP INC		COMMON SHARES   CUSIP: 48213W408   Symbol: JE					
10/09/2020	100.00	729.97	10/08/2020	553.50	0.00	176.47	Sale



APEX CLEARING

## Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B\*

OMB No. 1545-0715

5MV78515

(continued)

02/27/2021

**SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS**

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

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CALL SDC 09/04/20	10	SMILEDIRECTCLUB INC CL A   CUSIP:   Symbol: SDC200904C00010000					
09/02/2020	2.00	75.80	09/02/2020	24.18	0.00	51.62	Sell to Close
09/02/2020	3.00	83.71	09/02/2020	36.27	0.00	47.44	Sell to Close
<b>Security Totals:</b>		<b>159.51</b>		<b>60.45</b>		<b>99.06</b>	
CALL NVDA 10/09/20	545	NVIDIA CORP   CUSIP:   Symbol: NVDA201009C00545000					
10/01/2020	1.00	1,474.87	09/30/2020	1,440.08	0.00	34.79	Sell to Close
CALL NFLX 10/16/20	555	NETFLIX INC   CUSIP:   Symbol: NFLX201016C00555000					
10/16/2020	1.00	0.00	10/14/2020	570.08	0.00	-570.08	Expiration
CALL DDOG 11/20/20	88	DATADOG INC CL A   CUSIP:   Symbol: DDOG201120C00088000					
11/17/2020	1.00	257.90	11/17/2020	225.08	0.00	32.82	Sell to Close
CALL NVDA 10/09/20	550	NVIDIA CORP   CUSIP:   Symbol: NVDA201009C00550000					
09/30/2020	1.00	1,359.87	09/30/2020	990.08	0.00	369.79	Sell to Close
CALL LULU 09/25/20	330	LULULEMON ATHLETICA INC   CUSIP:   Symbol: LULU200925C00330000					
09/25/2020	1.00	0.00	09/23/2020	345.09	0.00	-345.09	Expiration
CALL PINS 11/06/20	75	PINTEREST INC CLASS A   CUSIP:   Symbol: PINS201106C00075000					
11/06/2020	2.00	0.00	10/29/2020	130.16	0.00	-130.16	Expiration
PUT SPY 07/27/20	320	STANDARD & POORS DEPOSITORY   CUSIP:   Symbol: SPY200727P00320000					
07/27/2020	1.00	0.00	07/27/2020	41.09	0.00	-41.09	Expiration
CALL TSLA 10/16/20	460	TESLA INC ADJ 5:1 STOCK SPLIT   CUSIP:   Symbol: TSLA201016C00460000					
10/14/2020	1.00	1,019.88	10/14/2020	790.08	0.00	229.80	Sell to Close
CALL NKE 11/13/20	129	NIKE INC CLASS B   CUSIP:   Symbol: NKE201113C00129000					
11/09/2020	1.00	629.89	10/19/2020	404.08	0.00	225.81	Sell to Close
CALL CHGG 11/20/20	100	CHEGG INC   CUSIP:   Symbol: CHGG201120C00100000					
10/13/2020	1.00	289.90	10/12/2020	200.08	0.00	89.82	Sell to Close
10/13/2020	2.00	559.81	10/12/2020	400.16	0.00	159.65	Sell to Close
<b>Security Totals:</b>		<b>849.71</b>		<b>600.24</b>		<b>249.47</b>	
CALL TSLA 10/23/20	660	TESLA INC   CUSIP:   Symbol: TSLA201023C00660000					
09/22/2020	1.00	1,344.87	09/08/2020	780.09	0.00	564.78	Sell to Close
CALL AMZN 09/25/20	3100	AMAZON.COM INC   CUSIP:   Symbol: AMZN200925C03100000					
09/22/2020	1.00	3,376.82	09/22/2020	2,750.09	0.00	626.73	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

5MV78515

(continued)

02/27/2021

**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 WORK 09/11/20	51	SLACK TECHNOLOGIES INC CL A   CUSIP:   Symbol: WORK200911C00051000					
09/11/2020	2.00	0.00	09/02/2020	200.18	0.00	-200.18	Expiration
VENUS CONCEPT LTD	COMMON STOCK   CUSIP: 92332W105   Symbol: VERO						
08/07/2020	1.00	3.02	07/01/2020	4.95	0.00	-1.93	Sale
CALL SPG 11/20/20	85	SIMON PROPERTY GROUP INC   CUSIP:   Symbol: SPG201120C00085000					
11/20/2020	1.00	0.00	11/16/2020	130.08	0.00	-130.08	Expiration
CALL NIO 11/06/20	42	NIO INC ADS   CUSIP:   Symbol: NIO201106C00042000					
11/06/2020	1.00	54.90	11/06/2020	32.08	0.00	22.82	Sell to Close
CALL GOGO 01/15/21	10	GOGO INC   CUSIP:   Symbol: GOGO210115C00010000					
10/06/2020	1.00	199.90	10/01/2020	200.08	0.00	-0.18	Sell to Close
CALL TSLA 08/28/20	2400	TESLA INC   CUSIP:   Symbol: TSLA200828C02400000					
08/28/2020	1.00	0.00	08/28/2020	733.09	0.00	-733.09	Expiration
CALL BIDU 10/16/20	129	BAIDU INC   CUSIP:   Symbol: BIDU201016C00129000					
10/12/2020	2.00	329.82	Various	320.16	0.00	9.66	Sell to Close
10/14/2020	1.00	299.90	10/12/2020	160.08	0.00	139.82	Sell to Close
<b>Security Totals:</b>		<b>629.72</b>		<b>480.24</b>		<b>149.48</b>	
PUT TSLA 09/25/20	300	TESLA INC ADJ 5:1 STOCK SPLIT   CUSIP:   Symbol: TSLA200925P00300000					
09/25/2020	1.00	0.00	09/22/2020	51.09	0.00	-51.09	Expiration
CALL SPY 09/08/20	338	STANDARD & POORS DEPOSITORY   CUSIP:   Symbol: SPY200908C00338000					
09/04/2020	1.00	469.88	09/04/2020	370.09	0.00	99.79	Sell to Close
CALL CVNA 10/30/20	230	CARVANA COMPANY   CUSIP:   Symbol: CVNA201030C00230000					
10/30/2020	1.00	0.00	10/30/2020	30.08	0.00	-30.08	Expiration
CALL CHWY 11/06/20	70	CHEWY INC CLASS A   CUSIP:   Symbol: CHWY201106C00070000					
10/28/2020	1.00	344.90	10/16/2020	375.08	0.00	-30.18	Sell to Close
PUT FSLY 09/04/20	70	FASTLY INC CLASS A   CUSIP:   Symbol: FSLY200904P00070000					
09/04/2020	1.00	0.00	09/04/2020	65.09	0.00	-65.09	Expiration
CALL NIO 11/27/20	52	NIO INC ADS   CUSIP:   Symbol: NIO201127C00052000					
11/25/2020	1.00	188.90	11/25/2020	179.08	0.00	9.82	Sell to Close
CALL CSIQ 10/02/20	35	CANADIAN SOLAR INC   CUSIP:   Symbol: CSIQ201002C00035000					
09/30/2020	1.00	129.90	09/30/2020	90.08	0.00	39.82	Sell to Close

APEX CLEARING

## Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B\*

OMB No. 1545-0715

5MV78515

(continued)

02/27/2021

**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 NIO 07/24/20	12.50	NIO INC ADS   CUSIP:   Symbol: NIO200724C00012500					
07/20/2020	1.00	102.89	07/20/2020	76.09	0.00	26.80	Sell to Close
AKERNA CORP	COMMON STOCK   CUSIP: 00973W102   Symbol: KERN						
12/10/2020	100.00	345.98	11/06/2020	335.00	0.00	10.98	Sale
CALL NIO 11/27/20	50	NIO INC ADS   CUSIP:   Symbol: NIO201127C00050000					
11/19/2020	2.00	545.81	11/19/2020	476.16	0.00	69.65	Sell to Close
SIGMA LABS INC	COMMON STOCK   CUSIP: 826598500   Symbol: SGLB						
10/06/2020	250.00	562.45	10/06/2020	580.00	0.00	-17.55	Sale
CALL SPG 11/20/20	95	SIMON PROPERTY GROUP INC   CUSIP:   Symbol: SPG201120C00095000					
11/20/2020	2.00	0.00	11/09/2020	140.16	0.00	-140.16	Expiration
CALL PINS 11/20/20	41	PINTEREST INC CLASS A   CUSIP:   Symbol: PINS201120C00041000					
09/23/2020	1.00	504.88	09/23/2020	500.09	0.00	4.79	Sell to Close
CALL LMND 09/18/20	70	LEMONADE INC   CUSIP:   Symbol: LMND200918C00070000					
08/31/2020	1.00	144.89	08/31/2020	140.09	0.00	4.80	Sell to Close
CALL DIS 08/28/20	136	WALT DISNEY CO   CUSIP:   Symbol: DIS200828C00136000					
08/27/2020	1.00	129.89	08/27/2020	78.09	0.00	51.80	Sell to Close
CALL AAPL 01/15/21	120	APPLE INC ADJ 4:1 STOCK SPLIT   CUSIP:   Symbol: AAPL210115C00120000					
12/02/2020	2.00	1,371.79	11/19/2020	920.16	0.00	451.63	Sell to Close
CALL TLRV 01/15/21	7.50	TILRAY INC   CUSIP:   Symbol: TLRV210115C00007500					
11/24/2020	1.00	198.90	11/20/2020	160.08	0.00	38.82	Sell to Close
11/27/2020	1.00	219.90	11/20/2020	160.08	0.00	59.82	Sell to Close
12/03/2020	1.00	269.90	11/20/2020	160.08	0.00	109.82	Sell to Close
<b>Security Totals:</b>		<b>688.70</b>		<b>480.24</b>		<b>208.46</b>	
CALL BA 10/23/20	180	BOEING CO   CUSIP:   Symbol: BA201023C00180000					
10/23/2020	1.00	0.00	10/16/2020	275.08	0.00	-275.08	Expiration
CALL XPEL 10/16/20	35	XPEL INC   CUSIP:   Symbol: XPEL201016C00035000					
10/16/2020	10.00	0.00	Various	259.80	0.00	-259.80	Expiration
CALL TSLA 08/28/20	2350	TESLA INC   CUSIP:   Symbol: TSLA200828C02350000					
08/28/2020	1.00	2,409.84	08/27/2020	1,065.09	0.00	1,344.75	Sell to Close
CALL AAPL 11/13/20	117	APPLE INC   CUSIP:   Symbol: AAPL201113C00117000					
11/11/2020	1.00	221.90	11/10/2020	184.08	0.00	37.82	Sell to Close

APEX CLEARING

## Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B\*

OMB No. 1545-0715

5MV78515

(continued)

02/27/2021

**SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS**

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

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

1c - Date Sold or Disposed	Quantity	1d - Proceeds	1b - Date Acquired	1e - Cost or Other Basis	1f - Accrued Market Discount (M) & 1g - Wash Sale Loss Disallowed (D)	Gain or Loss (-)	Additional Notes
PUT TSLA 08/28/20 2000 TESLA INC   CUSIP:   Symbol: TSLA200828P02000000							
08/28/2020	3.00	0.00	08/28/2020	133.27	0.00	-133.27	Expiration
CALL CVNA 10/30/20 200 CARVANA COMPANY   CUSIP:   Symbol: CVNA201030C00200000							
10/30/2020	1.00	849.89	10/29/2020	830.08	0.00	19.81	Sell to Close
PUT SPY 07/31/20 322 STANDARD & POORS DEPOSITORY   CUSIP:   Symbol: SPY200731P00322000							
07/31/2020	1.00	62.89	07/31/2020	106.29	0.00	-43.40	Sell to Close
07/31/2020	1.00	62.89	07/31/2020	83.09	20.2 D	0.00	Sell to Close
<b>Security Totals:</b>		<b>125.78</b>		<b>189.38</b>		<b>-43.40</b>	
CALL GOOGL 10/23/20 1600 ALPHABET INC CLASS A   CUSIP:   Symbol: GOOGL201023C01600000							
10/12/2020	1.00	899.89	10/09/2020	435.08	0.00	464.81	Sell to Close
DAVE & BUSTERS ENTERTAINMENT INC COMMON STOCK   CUSIP: 238337109   Symbol: PLAY							
08/07/2020	33.00	439.87	06/24/2020	491.04	0.00	-51.17	Sale
PUT AMZN 10/30/20 2900 AMAZON.COM INC   CUSIP:   Symbol: AMZN201030P02900000							
10/30/2020	3.00	0.00	Various	25.24	0.00	-25.24	Expiration
CALL ILMN 10/30/20 350 ILLUMINA INC   CUSIP:   Symbol: ILMN201030C00350000							
10/30/2020	1.00	0.00	10/21/2020	190.08	0.00	-190.08	Expiration C
PUT SPY 10/07/20 338 STANDARD & POORS DEPOSITORY   CUSIP:   Symbol: SPY201007P00338000							
10/07/2020	1.00	0.00	10/07/2020	85.08	0.00	-85.08	Expiration
CALL NVDA 09/11/20 600 NVIDIA CORP   CUSIP:   Symbol: NVDA200911C00600000							
09/11/2020	1.00	0.00	09/03/2020	250.09	0.00	-250.09	Expiration
<b>Totals:</b>		<b>113,560.04</b>		<b>127,411.99</b>		<b>-13,302.07</b>	

APEX CLEARING

Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B\*

OMB No. 1545-0715

5MV78515

(continued)

02/27/2021

**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
PHOTRONICS INC   CUSIP: 719405102   Symbol: PLAB							
08/28/2020	1.00	10.16	08/26/2020	11.05	0.00	-0.89	Sale
VONAGE HOLDINGS CORP COMMON STOCK   CUSIP: 92886T201   Symbol: VG							
08/28/2020	1.00	11.20	08/26/2020	11.21	0.00	-0.01	Sale
<b>Totals:</b>		<b>21.36</b>		<b>22.26</b>		<b>-0.90</b>	

\* 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

5MV78515

(continued)

02/27/2021

**UNDETERMINED TERM TRANSACTIONS FOR NONCOVERED TAX LOTS**

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

**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. Consult your investments records for the cost basis and/or the date of acquisition to determine whether the transaction in this section is long- or short-term.

**1a - Description of property | CUSIP | Symbol****1c - Date Sold or  
Disposed****Quantity****1d - Proceeds****Date Acquired****Cost or  
Other Basis****Wash Sale Loss  
Disallowed****Gain or Loss (-)****Additional Notes**

REGIONS FINANCIAL CORP | CUSIP: 7591EP100 | Symbol: RF

07/31/2020

1.00

10.60

Unknown

Unknown

0.00

Unknown Sale

**Totals:****10.60**

APEX CLEARING

## Miscellaneous Income - Details of Form 1099-MISC

2020

5MV78515

02/27/2021

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)
REGIONS FINANCIAL CORP   CUSIP: 7591EP100   Symbol: RF						
07/02/2020	0.00	10.60	0.00	0.00	0.00	
***BANCO SANTANDER S A SPONSORED ADR   CUSIP: 05964H105   Symbol: SAN						
06/29/2020	0.00	2.45	0.00	0.00	0.00	
PHOTRONICS INC   CUSIP: 719405102   Symbol: PLAB						
08/26/2020	0.00	11.05	0.00	0.00	0.00	
VONAGE HOLDINGS CORP COMMON STOCK   CUSIP: 92886T201   Symbol: VG						
08/26/2020	0.00	11.21	0.00	0.00	0.00	
<b>Totals:</b>	<b>0.00</b>	<b>35.31</b>	<b>0.00</b>	<b>0.00</b>	<b>0.00</b>	

## Common Instructions for Recipient

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

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

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

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

**Nominees.** If this form includes amounts belonging to another person, you are considered a nominee recipient. You must file as the "payer" the respective Form 1099 (DIV, INT, or OID) Copy A (with a Form 1096) to the IRS for each of the other owners as recipient(s) to show their allocable share of the income and you must furnish the respective Copy B Form(s) and amounts to each owner. A spouse is not required to file a nominee return to show amounts owned by the other spouse. See the 2020 General Instructions for Certain Information Returns.

### Keep tax documents for your records.

#### 1099-DIV Instructions for Recipient

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

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

The amount shown may be dividends a corporation paid directly to you as a participant (or beneficiary of a participant) in an employee stock ownership plan (ESOP). Report it as a dividend on your Form 1040 or 1040-SR but treat it as a plan distribution, not as investment income, for any other purpose.

**Box 2a.** Shows total capital gain distributions from a regulated investment company (RIC) or real estate investment trust (REIT). See *How To Report in the Instructions for Schedule D (Form 1040 or 1040-SR)*. But, if no amount is shown in boxes 2c and 2d and your only capital gains and losses are capital gain distributions, you may be able to report the amounts shown in box 2a on your Form 1040 or 1040-SR rather than Schedule D. See the Instructions for Forms 1040 or 1040-SR.

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

**Box 2c.** Shows the portion of the amount in box 2a that is section 1202 gain from certain small business stock that may be subject to an exclusion. See the Schedule D (Form 1040 or 1040-SR) instructions.

**Box 2d.** Shows 28% rate gain from sales or exchanges of collectibles. If required, use this amount when completing the 28% Rate Gain Worksheet in the Instructions for Schedule D (Form 1040 or 1040-SR).

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

**Box 4.** Shows backup withholding. A payer must backup withhold on certain payments if you did not give your TIN to the payer. See Form W-9, Request for Taxpayer Identification Number and Certification, for information on backup withholding. Include this amount on your income tax return as tax withheld.

**Box 5.** Shows the portion of the amount in box 1a that may be eligible for the 20% qualified business income deduction under section 199A. See the instructions for Form 8995 and Form 89950-A.

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

**Box 7.** Shows the foreign tax that you may be able to claim as a deduction or a credit on Form 1040 or 1040-SR. See the Instructions for Forms 1040 or 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](http://www.irs.gov/Form1099DIV).

#### 1099-INT Instructions for Recipient

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

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

**Box 2.** Shows interest or principal forfeited because of early withdrawal of time savings. You may deduct this amount to figure your adjusted gross income on your income tax return. See the Instructions for Form 1040 and 1040-SR to see where to take the deduction.

**Box 3.** Shows interest on U.S. Savings Bonds, Treasury bills, Treasury bonds, and Treasury notes. This may or may not all be taxable. See Pub. 550. This interest is exempt from state and local income taxes. This interest is not included in box 1. See the instructions above for a taxable covered security acquired at a premium.

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

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

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

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

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

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

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

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

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

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

**Box 14.** Shows CUSIP number(s) for tax-exempt bond(s) on which tax-exempt interest was paid, or tax credit bond(s) on which taxable interest was paid or tax credit was allowed, to you during the calendar year. If blank, no CUSIP number was issued for the bond(s).

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

**Future developments.** For the latest information about developments related to Form 1099-INT and its instructions, such as legislation enacted after they were published, go to [www.irs.gov/Form1099INT](http://www.irs.gov/Form1099INT).

#### 1099-B Instructions for Recipient

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

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

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

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

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

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

**Box 1d.** Shows the cash proceeds, reduced by any commissions or transfer taxes related to the sale, for transactions involving stocks, debt, commodities, forward contracts, non-Section 1256 option contracts, or securities futures contracts. May show the proceeds



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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

**Boxes 14–16.** Shows state(s)/local income tax information.

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

#### 1099-MISC Instructions for Recipient

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

#### 1099-OID Instructions for Recipient

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

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

If, as the record holder, you receive Form 1099-OID showing amounts belonging to another person, you are considered a nominee recipient. Complete a Form 1099-OID for each of the other owners showing the amounts allocable to each. File Copy A of the form with the IRS. Furnish Copy B to each owner. List yourself as the "payer" and the other owner as the "recipient." File Form(s) 1099-OID with Form 1096, with the Internal Revenue Service Center for your area. On Form 1096, list yourself as the "filer." A spouse is not required to file a nominee return to show amounts owned by the other spouse. If you bought or sold an obligation during the year and you are not a nominee, you are not required to issue or file Form 1099-OID showing the OID or stated interest allocable to the seller/buyer of the obligation.

The information provided may be different for covered and noncovered securities. For a description of covered securities, see the Instructions for Form 8949. For a covered security acquired with acquisition premium, your payer generally must report either (1) a net amount of OID that reflects the offset of OID by the amount of acquisition premium amortization for the year, or (2) a gross amount for both the OID and the acquisition premium amortization for the year. For a noncovered security acquired with acquisition premium, your payer is only required to report the gross amount of OID.

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

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

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

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

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

withheld.

**Box 5.** For a covered security acquired with OID, if you made an election under section 1278(b) to include market discount in income as it accrues and you notified your payer of the election in writing in accordance with Regulations section 1.6045-1(n)(5), shows the market discount that accrued on the debt instrument during the year while held by you. For a tax-exempt obligation that is a covered security acquired on or after January 1, 2017, and issued with OID, shows the market discount that accrued on the obligation during the year while held by you. For a covered

security acquired on or after January 1, 2015, market discount will be calculated on a constant yield basis unless you notified your payer in writing in accordance with Regulations section 1.6045-1(n)(5) that you did not want to make a constant yield election for market discount under section 1276(b). The payer may, but is not required to, report the market discount for a tax-exempt obligation that is a covered security acquired before January 1, 2017. Report the accrued market discount on your income tax return as directed in the Instructions for Form 1040 and 1040-SR. Market discount on a tax-exempt security is includible in taxable income as interest income.

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

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

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

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

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

**Box 10.** For a taxable covered security, including a Treasury inflation-protected security, shows the amount of premium amortization allocable to the interest payment(s), unless you notified the payer in writing in accordance with Regulations section 1.6045-1(n)(5) that you did not want to

amortize bond premium under section 171. If an amount is reported in this box, see the Instructions for Schedule B (Form 1040 or 1040-SR). If an amount is not reported in this box for a taxable covered security acquired at a premium and the payer is reporting premium amortization, the payer has

reported a net amount of interest in box 2. If the amount in this box is greater than the amount of interest paid on the covered security, see Regulations section 1.171-2(a)(4).

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

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

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

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

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