

 Member FINRA/SIPC PO BOX 2209 OMAHA, NE 68103-2209 Client Services: 800-669-3900	<b>Tax Information</b> <b>Account 497253492</b>	Statement Date: 01/14/2021 Document ID: CW77 TP6 32T3	2020
	HARINATH REDDY NUSSAM 4701 MONTEREY OAKS BLVD APT 126 AUSTIN, TX 78749-1075	PAYER'S TIN: 47-0533629	

[ ] FATCA filing requirement (see instructions)		Summary Information			
DIVIDENDS AND DISTRIBUTIONS	2020 1099-DIV*	OMB No. 1545-0110	MISCELLANEOUS INCOME	2020 1099-MISC*	OMB No. 1545-0115
1a- Total ordinary dividends (includes lines 1b, 5)	0.02		2- Royalties	0.00	
1b- Qualified dividends	0.02		3- Other income	100.00	
2a- Total capital gain distributions (includes lines 2b, 2c, 2d)	0.00		<b>4- Federal income tax withheld</b>	<b>0.00</b>	
2b- Unrecaptured Section 1250 gain	0.00		8- Substitute payments in lieu of dividends or interest	0.00	
2c- Section 1202 gain	0.00				
2d- Collectibles (28%) gain	0.00		<b>SECTION 1256 CONTRACTS</b>	<b>2020 1099-B*</b>	OMB No. 1545-0715
3- Nondividend distributions	0.00		8- Profit or (loss) realized in 2020 on closed contracts	0.00	
<b>4- Federal income tax withheld</b>	<b>0.00</b>		9- Unrealized profit or (loss) on open contracts-12/31/2019	0.00	
5- Section 199A dividends	0.00		10- Unrealized profit or (loss) on open contracts-12/31/2020	0.00	
6- Investment expenses	0.00		11- Aggregate profit or (loss) on contracts	0.00	
8- Foreign country or US possession:	0.00				
7- Foreign tax paid:	0.00				
9- Cash liquidation distributions	0.00				
10- Noncash liquidation distributions	0.00				
11- Exempt-interest dividends (includes line 12)	0.00				
12- Specified private activity bond interest dividends (AMT)	0.00				

If applicable, proceeds from sale transactions appear summarized below and are detailed in subsequent sections of this document.

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### SUMMARY OF PROCEEDS, GAINS & LOSSES, ADJUSTMENTS AND WITHHOLDING

Refer to the 1099-B and Proceeds not reported to the IRS pages to ensure that you consider all relevant items and to determine the correct gains and losses. The amounts shown below are for informational purposes.

Term	Form 8949 type	Proceeds	Cost basis	Market discount	Wash sale loss disallowed	Net gain or loss(-)
Short	A (basis reported to the IRS)	3,928,134.16	4,095,031.02	0.00	147,724.18	-19,172.68
Short	B (basis not reported to the IRS)	1,602,978.99	1,721,666.25	0.00	119,908.69	1,221.43
Short	C (Form 1099-B not received)	0.00	0.00	0.00	0.00	0.00
	<b>Total Short-term</b>	<b>5,531,113.15</b>	<b>5,816,697.27</b>	<b>0.00</b>	<b>267,632.87</b>	<b>-17,951.25</b>
Long	D (basis reported to the IRS)	0.00	0.00	0.00	0.00	0.00
Long	E (basis not reported to the IRS)	0.00	0.00	0.00	0.00	0.00
Long	F (Form 1099-B not received)	0.00	0.00	0.00	0.00	0.00
	<b>Total Long-term</b>	<b>0.00</b>	<b>0.00</b>	<b>0.00</b>	<b>0.00</b>	<b>0.00</b>
Undetermined	B or E (basis not reported to the IRS)	0.00	0.00	0.00	0.00	0.00
Undetermined	C or F (Form 1099-B not received)	0.00	0.00	0.00	0.00	0.00
	<b>Total Undetermined-term</b>	<b>0.00</b>	<b>0.00</b>	<b>0.00</b>	<b>0.00</b>	<b>0.00</b>
	<b>Grand total</b>	<b>5,531,113.15</b>	<b>5,816,697.27</b>	<b>0.00</b>	<b>267,632.87</b>	<b>-17,951.25</b>
<b>Withholding</b>		<b>Amount</b>				
	Federal income tax withheld	0.00				

Changes to dividend tax classifications processed after your original tax form is issued for 2020 may require an amended tax form.

TD Ameritrade Clearing, Inc.

Account 497253492

**Summary Information**

2020

(continued)

01/14/2021

**INTEREST INCOME**

**2020 1099-INT**

OMB No. 1545-0112

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1- Interest income (not included in line 3)	0.10
2- Early withdrawal penalty	0.00
3- Interest on US Savings Bonds & Treasury obligations	0.00
<b>4- Federal income tax withheld</b>	<b>0.00</b>
5- Investment expenses	0.00
7- Foreign country or US possession: 6- Foreign tax paid:	0.00
8- Tax-exempt interest (includes line 9)	0.00
9- Specified private activity bond interest (AMT)	0.00
10- Market discount (covered lots)	0.00
11- Bond premium (covered lots)	0.00
12- Bond premium on Treasury obligations (covered lots)	0.00
13- Bond premium on tax-exempt bonds (categorized below)	0.00
<i>Tax-exempt obligations (covered lots)</i>	0.00
<i>Tax-exempt private activity obligations (AMT, covered lots)</i>	0.00
14- Tax-exempt and tax credit bond CUSIP number	See detail

*The following amounts are not reported to the IRS. They are presented here for your reference when preparing your tax return(s).*

Taxable accrued interest paid	0.00
Taxable accrued Treasury interest paid	0.00
Tax-exempt accrued interest paid	0.00
Tax-exempt accrued interest paid (AMT)	0.00
Taxable accrued nonqualified interest paid	0.00
Tax-exempt accrued nonqualified interest paid	0.00
Tax-exempt accrued nonqualified interest paid (AMT)	0.00
Nonqualified interest	0.00
Tax-exempt nonqualified interest	0.00
Tax-exempt nonqualified interest (AMT)	0.00
Interest shortfall on contingent payment debt	0.00
Bond premium- Non Treasury obligations (noncovered lots)	0.00
Bond premium- Treasury obligations (noncovered lots)	0.00
Bond premium- Tax-exempt obligations (noncovered lots)	0.00
Bond premium- Tax-exempt obligations (AMT, noncovered lots)	0.00
Market discount (noncovered lots)	0.00

**STATE TAX WITHHELD**

*Use the details of the State Tax Withholding page(s) to determine the appropriate amounts for your income tax return(s). The amounts shown in this section are for your reference.*

1099-DIV total withheld	0.00
1099-INT total withheld	0.00
1099-OID total withheld	0.00
1099-MISC total withheld	0.00
1099-B total withheld	0.00

**ORIGINAL ISSUE DISCOUNT AND ADJUSTMENTS**

*Use bond-by-bond details from the Form 1099-OID page(s) to determine amounts of Original Issue Discount income for your income tax return(s). The amounts shown in this section are for your reference when preparing your income tax return(s).*

Original issue discount for the year	0.00
Acquisition premium (covered lots)	0.00
Acquisition premium (noncovered lots)	0.00
Original issue discount on Treasury obligations	0.00
Acquisition premium, Treasury obligations (covered lots)	0.00
Acquisition premium, Treasury obligations (noncovered lots)	0.00
Tax-exempt OID	0.00
Tax-exempt OID (lots not reported)	0.00
Acquisition premium (covered)	0.00
Acquisition premium (lots not reported)	0.00
Tax-exempt OID on private activity bonds	0.00
Tax-exempt OID on private activity bonds (lots not reported)	0.00
Acquisition premium (AMT, covered)	0.00
Acquisition premium (AMT, lots not reported)	0.00
Market discount (all lots)	0.00
Early withdrawal penalty	0.00
Investment expenses	0.00

**RECONCILIATIONS, FEES, EXPENSES AND EXPENDITURES**

*The amounts in this section are not reported to the IRS. They are presented here for your reference when preparing your income tax return(s).*

Other Receipts & Reconciliations- Partnership distributions	0.00
Other Receipts & Reconciliations- Foreign tax paid- partnership	0.00
Other Receipts & Reconciliations- Return of principal	0.00
Other Receipts & Reconciliations- Deferred income payment	0.00
Other Receipts & Reconciliations- Deemed premium	0.00
Other Receipts & Reconciliations- Income accrual- UIT	0.00
Other Receipts & Reconciliations- Basis adjustments	0.00
Other Receipts & Reconciliations- Foreign tax pd beyond treaty	0.00
Fees & Expenses- Margin interest	316.66
Fees & Expenses- Dividends paid on short position	0.00
Fees & Expenses- Interest paid on short position	0.00
Fees & Expenses- Non reportable distribution expense	0.00
Fees & Expenses- Other expenses	0.00
Fees & Expenses- Severance tax	0.00
Fees & Expenses- Organizational expense	0.00
Fees & Expenses- Miscellaneous fees	0.00
Fees & Expenses- Tax-exempt investment expense	0.00
Foreign Exchange Gains & Losses- Foreign currency gain/loss	0.00

TD Ameritrade Clearing, Inc.

Account 497253492

**Proceeds from Broker and Barter Exchange Transactions**

2020 1099-B\* OMB No. 1545-0715

01/14/2021

Sales transactions are grouped by their term (long, short or undetermined) and covered status (covered or noncovered). For tax lots whose term is undetermined, use your historical documents to establish the cost basis and date of purchase. Tax lots with an additional notation of "Ordinary" represent neither short- nor long-term capital transactions. You may wish to consult with your tax advisor, the IRS or your state tax authority regarding the proper treatment.

Closing of written options is presented in a distinct manner in accordance with IRS regulation. For these transactions the Cost or other basis (column 1e) is always presented as \$0.00 and the Proceeds (column 1d) is the net of proceeds received when the option was written and the cost to close the position.

Several column headings describe two related items: a quantity and a qualifier. For example, proceeds and, if the sale is the result of an option exercise or assignment, whether the proceeds are gross or net (adjusted for any option premium). When these conditions exist, the qualifier is shown to the right of the amount.

Long positions are reported based on the trade date and short positions are reported based on the settlement date of the trade.

FATCA filing requirement [ ]

**SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS [Ordinary gains or losses are identified in the Additional information column] (Lines 2 & 5)**

Report on Form 8949, Part I with Box A checked. Basis is provided to the IRS. (Line 12)

"Gain or loss (-)" is NOT reported to the IRS.

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

1c- Date sold or disposed	Quantity	1d- Proceeds & 6- Reported (G)ross or (N)et	1b- Date acquired	1e- Cost or other basis	1f- Accrued mkt disc (D) & 1g- Wash sale loss disallowed (W)	Gain or loss(-) & 7- Loss not allowed (X) also not reported (Z)	Additional information
AT&T INC COM / CUSIP: 00206R102 / Symbol: T							
04/02/20	50.000	1,409.96	04/01/20	1,483.04	...	-73.08	Sale
04/02/20	100.000	2,809.92	03/31/20	2,962.00	76.04 W	-76.04	Sale
	<b>Security total:</b>	<b>4,219.88</b>		<b>4,445.04</b>	<b>76.04 W</b>	<b>-149.12</b>	
ARCA BIOPHARMA INC COM / CUSIP: 00211Y506 / Symbol: ABIO							
05/28/20	200.000	2,619.93	Various	2,503.00	...	116.93	Total of 2 transactions
ACORDA THERAPEUTICS INC 1:6 R/S 1/4/21 00484M601 / CUSIP: 00484M106 / Symbol:							
06/08/20	16,000.000	17,277.72	06/08/20	17,116.20	...	161.52	Sale
06/11/20	1,000.000	869.86	06/10/20	990.00	...	-120.14	Sale
	<b>Security total:</b>	<b>18,147.58</b>		<b>18,106.20</b>	...	<b>41.38</b>	
ADAPTIMMUNE THERAPEUTICS PLC ADR / CUSIP: 00653A107 / Symbol: ADAP							
05/29/20	2,200.000	21,329.27	Various	20,902.00	...	427.27	Total of 2 transactions
ADVAXIS INC COM / CUSIP: 007624307 / Symbol: ADXS							
02/21/20	1,500.000	1,451.79	02/20/20	1,635.00	...	-183.21	Sale
AEMETIS INC COM / CUSIP: 00770K202 / Symbol: AMTX							
12/23/20	600.000	1,916.89	12/22/20	2,276.00	...	-359.11	Sale

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**Proceeds from Broker and Barter Exchange Transactions**

2020 1099-B\* OMB No. 1545-0715

(continued)

01/14/2021

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1c- Date sold or disposed	Quantity	1d- Proceeds & 6- Reported (G)ross or (N)et	1b- Date acquired	1e- Cost or other basis	1f- Accrued mkt disc (D) & 1g- Wash sale loss disallowed (W)	7- Loss not allowed (X) also not reported (Z)	Gain or loss(-) & Additional information
AERPIO PHARMACEUTICALS INC COM / CUSIP: 00810B105 / Symbol: ARPO							
05/27/20	4,000.000	4,039.43	05/27/20	3,850.00	0.14 W	189.57	Sale
05/28/20	1,000.000	1,049.86	05/28/20	1,010.14	...	39.72	Sale
	<b>Security total:</b>	<b>5,089.29</b>		<b>4,860.14</b>	<b>0.14 W</b>	<b>229.29</b>	
AIKIDO PHARMA INC COM / CUSIP: 008875106 / Symbol: AIKI							
04/22/20	1,500.000	1,100.87	Various	1,150.95	50.08 W	0.00	Total of 2 transactions
04/27/20	2,000.000	1,549.93	04/24/20	1,454.08	...	95.85	Sale
	<b>Security total:</b>	<b>2,650.80</b>		<b>2,605.03</b>	<b>50.08 W</b>	<b>95.85</b>	
AIM IMMUNOTECH INC COM / CUSIP: 00901B105 / Symbol: AIM							
02/12/20	6,400.000	9,064.50	Various	8,458.00	...	606.50	Total of 3 transactions
AKORN INC BANKRUPTCY 10/2/20 / CUSIP: 009728106 / Symbol:							
05/29/20	10,000.000	1,398.78	05/29/20	1,596.21	...	-197.43	Sale
ALIBABA GROUP HOLDING LTD ADR SPONSORED / CUSIP: 01609W102 / Symbol: BABA							
05/26/20	25.000	5,124.89	05/22/20	5,109.65	...	15.24	Sale
11/20/20	60.000	15,851.65	11/19/20	15,570.00	...	281.65	Sale
12/17/20	30.000	7,952.82	12/09/20	7,959.00	...	-6.18	Sale
	<b>Security total:</b>	<b>28,929.36</b>		<b>28,638.65</b>	...	<b>290.71</b>	
ALLEGRO MERGER CORP LIQUIDATION 4/21/20 / CUSIP: 01749N129 / Symbol:							
04/20/20	3,000.000	65.64	04/17/20	203.10	...	-137.46	Sale
AMAZON COM INC COM / CUSIP: 023135106 / Symbol: AMZN							
12/10/20	5.000	15,669.65	12/09/20	15,650.00	...	19.65	Sale
12/11/20	5.000	15,529.66	12/10/20	15,521.40	...	8.26	Sale
12/23/20	5.000	15,991.45	12/17/20	16,150.00	...	-158.55	Sale
	<b>Security total:</b>	<b>47,190.76</b>		<b>47,321.40</b>	...	<b>-130.64</b>	
AMERI HOLDINGS INC 1:4 R/S 12/31/20 29405E109 / CUSIP: 02362F302 / Symbol:							
06/02/20	3,000.000	11,799.38	Various	11,764.23	...	35.15	Total of 2 transactions
06/02/20	1,100.000	4,583.77	Various	5,008.00	424.23 W	0.00	Total of 2 transactions
	<b>Security total:</b>	<b>16,383.15</b>		<b>16,772.23</b>	<b>424.23 W</b>	<b>35.15</b>	

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TD Ameritrade Clearing, Inc.

Account 497253492

**Proceeds from Broker and Barter Exchange Transactions**

2020 1099-B\* OMB No. 1545-0715

(continued)

01/14/2021

**SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS [Ordinary gains or losses are identified in the Additional information column] (Lines 2 & 5)**

Report on Form 8949, Part I with Box A checked. Basis is provided to the IRS. (Line 12)

"Gain or loss (-)" is NOT reported to the IRS.

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

1c- Date sold or disposed	Quantity	1d- Proceeds & 6- Reported (G)ross or (N)et	1b- Date acquired	1e- Cost or other basis	1f- Accrued mkt disc (D) & 1g- Wash sale loss disallowed (W)	Gain or loss(-) & 7- Loss not allowed (X) also not reported (Z)	Additional information
AMERICAN AIRLINES GROUP INC COM / CUSIP: 02376R102 / Symbol: AAL							
03/27/20	100.000	1,563.96	03/26/20	1,563.00	...	0.96	Sale
03/27/20	360.000	5,500.23	Various	5,528.80	59.73 W	31.16	Total of 2 transactions
04/02/20	250.000	2,625.36	03/27/20	3,712.45	1,087.09 W	0.00	Sale
04/07/20	270.000	2,942.90	Various	4,564.07	1,621.17 W	0.00	Sale
04/28/20	10.000	106.41	04/27/20	101.10	...	5.31	Sale
04/28/20	1,390.000	14,153.62	Various	17,793.35	3,668.75 W	29.02	Total of 2 transactions
04/30/20	2,100.000	25,364.17	Various	27,877.17	3,242.50 W	729.50	Total of 2 transactions
05/08/20	200.000	1,963.94	Various	3,147.69	1,183.75 W	0.00	Sale
05/14/20	1,000.000	9,154.69	Various	11,538.25	2,383.56 W	0.00	Total of 2 transactions
05/21/20	1,000.000	10,079.66	Various	12,254.94	2,175.48 W	0.20	Sale
05/26/20	5,500.000	61,285.68	Various	65,312.11	4,689.99 W	663.56	Total of 4 transactions
05/28/20	1,000.000	12,069.61	05/26/20	11,157.70	5.88 W	917.79	Sale
06/03/20	2,200.000	25,387.17	Various	28,379.76	3,061.98 W	69.39	Total of 2 transactions
06/04/20	400.000	4,847.85	06/03/20	6,320.16	1,485.09 W	12.78	Sale
06/05/20	100.000	1,869.95	Various	2,296.62	426.67 W	0.00	Sale
06/10/20	19,000.000	320,183.68	Various	341,869.14	22,105.21 W	419.75	Total of 9 transactions
06/11/20	1,188.000	18,221.49	Various	20,959.78	...	-2,738.29	Total of 3 transactions
06/11/20	3,800.000	57,798.37	Various	70,254.50	9,228.26 W	-3,227.87	Total of 4 transactions
10/14/20	1.000	12.37	06/11/20	17.82	...	-5.45	Sale
	<b>Security total:</b>	<b>575,131.11</b>		<b>634,648.41</b>	<b>56,425.11 W</b>	<b>-3,092.19</b>	
APACHE CORP COM / CUSIP: 037411105 / Symbol: APA							
11/20/20	600.000	6,822.98	11/20/20	6,798.00	...	24.98	Sale
APHRIA INC COM / CUSIP: 03765K104 / Symbol: APHA							
12/16/20	1,000.000	8,419.69	12/16/20	8,400.00	...	19.69	Sale
APPLE INC COM / CUSIP: 037833100 / Symbol: AAPL							
11/27/20	140.000	16,367.02	11/25/20	16,129.40	...	237.62	Sale
ART'S-WAY MANUFACTURING CO INC COM / CUSIP: 043168103 / Symbol: ARTW							
06/12/20	6,905.000	16,639.86	06/12/20	22,893.03	...	-6,253.17	Sale
06/12/20	2,635.000	6,809.17	Various	8,642.80	1,833.63 W	0.00	Total of 4 transactions
	<b>Security total:</b>	<b>23,449.03</b>		<b>31,535.83</b>	<b>1,833.63 W</b>	<b>-6,253.17</b>	

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TD Ameritrade Clearing, Inc.

Account 497253492

## Proceeds from Broker and Barter Exchange Transactions

2020 1099-B\* OMB No. 1545-0715

(continued)

01/14/2021

**SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS [Ordinary gains or losses are identified in the Additional information column] (Lines 2 & 5)**

Report on Form 8949, Part I with Box A checked. Basis is provided to the IRS. (Line 12)

"Gain or loss (-)" is NOT reported to the IRS.

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

1c- Date sold or disposed	Quantity	1d- Proceeds & 6- Reported (G)ross or (N)et	1b- Date acquired	1e- Cost or other basis	1f- Accrued mkt disc (D) & 1g- Wash sale loss disallowed (W)	Gain or loss(-) & 7- Loss not allowed (X) also not reported (Z)	Additional information
AURORA CANNABIS INC COM / CUSIP: 05156X884 / Symbol: ACB							
05/15/20	100.000	819.97	05/14/20	779.00	...	40.97	Sale
05/21/20	500.000	8,526.76	Various	7,875.00	...	651.76	Total of 3 transactions
05/22/20	100.000	1,602.95	05/22/20	1,560.00	...	42.95	Sale
05/27/20	100.000	1,589.95	05/22/20	1,577.00	...	12.95	Sale
<b>Security total:</b>		<b>12,539.63</b>		<b>11,791.00</b>	...	<b>748.63</b>	
AVALON GLOBOCARE CORP COM / CUSIP: 05344R104 / Symbol: AVCO							
02/18/20	1,000.000	1,629.84	02/14/20	1,510.00	...	119.84	Sale
BAIDU INC ADR / CUSIP: 056752108 / Symbol: BIDU							
12/16/20	180.000	34,235.22	12/16/20	34,052.00	...	183.22	Sale
12/18/20	50.000	9,641.34	Various	9,305.00	...	336.34	Total of 2 transactions
<b>Security total:</b>		<b>43,876.56</b>		<b>43,357.00</b>	...	<b>519.56</b>	
BANK OF AMERICA CORPORATION COM / CUSIP: 060505104 / Symbol: BAC							
03/19/20	100.000	2,077.94	03/18/20	2,077.00	...	0.94	Sale
03/24/20	500.000	9,824.72	03/23/20	9,750.00	...	74.72	Sale
03/30/20	100.000	2,143.17	Various	2,180.00	36.83 W	0.00	Total of 2 transactions
04/23/20	100.000	2,189.44	04/22/20	2,215.83	...	-26.39	Sale
<b>Security total:</b>		<b>16,235.27</b>		<b>16,222.83</b>	<b>36.83 W</b>	<b>49.27</b>	
BEYOND MEAT INC COM / CUSIP: 08862E109 / Symbol: BYND							
11/10/20	20.000	2,369.95	11/09/20	2,188.40	...	181.55	Sale
BIOMERICA INC COM / CUSIP: 09061H307 / Symbol: BMRA							
04/06/20	600.000	4,313.83	04/02/20	5,274.99	...	-961.16	Sale
BIOCEPT INC 1:10 R/S 9/8/20 09072V501 / CUSIP: 09072V402 / Symbol:							
04/21/20	800.000	339.89	04/13/20	433.60	...	-93.71	Sale
06/08/20	2,000.000	1,139.93	06/08/20	1,064.00	...	75.93	Sale
<b>Security total:</b>		<b>1,479.82</b>		<b>1,497.60</b>	...	<b>-17.78</b>	
BLINK CHARGING CO COM / CUSIP: 09354A100 / Symbol: BLNK							
12/24/20	300.000	13,859.65	12/23/20	13,035.10	...	824.55	Sale
12/29/20	300.000	12,686.69	12/29/20	12,240.00	...	446.69	Sale
<b>Security total:</b>		<b>26,546.34</b>		<b>25,275.10</b>	...	<b>1,271.24</b>	

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TD Ameritrade Clearing, Inc.

Account 497253492

## Proceeds from Broker and Barter Exchange Transactions

2020 1099-B\* OMB No. 1545-0715

(continued)

01/14/2021

**SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS [Ordinary gains or losses are identified in the Additional information column] (Lines 2 & 5)**

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BOEING CO COM / CUSIP: 097023105 / Symbol: BA							
09/14/20	20.000	3,306.33	09/11/20	3,140.00	...	166.33	Sale
BRIDGELINE DIGITAL INC COM / CUSIP: 10807Q700 / Symbol: BLIN							
02/28/20	1,000.000	1,079.87	02/27/20	1,130.00	...	-50.13	Sale
05/22/20	500.000	879.92	05/22/20	880.00	...	-0.08	Sale
	<b>Security total:</b>	<b>1,959.79</b>		<b>2,010.00</b>	...	<b>-50.21</b>	
CAMBER ENERGY INC COM / CUSIP: 13200M508 / Symbol: CEI							
06/05/20	2,336.000	5,122.41	Various	5,019.44	...	102.97	Total of 2 transactions
06/05/20	5.000	11.10	06/05/20	11.45	0.35 W	0.00	Sale
06/08/20	2,659.000	5,716.40	06/05/20	5,629.46	...	86.94	Sale
	<b>Security total:</b>	<b>10,849.91</b>		<b>10,660.35</b>	<b>0.35 W</b>	<b>189.91</b>	
CAPRICOR THERAPEUTICS INC COM / CUSIP: 14070B309 / Symbol: CAPR							
03/24/20	1,600.000	2,943.75	03/24/20	2,716.00	...	227.75	Sale
CASSAVA SCIENCES INC COM / CUSIP: 14817C107 / Symbol: SAVA							
05/19/20	1,000.000	2,309.83	05/18/20	2,220.00	...	89.83	Sale
06/03/20	1,000.000	2,449.82	06/03/20	2,519.90	...	-70.08	Sale
	<b>Security total:</b>	<b>4,759.65</b>		<b>4,739.90</b>	...	<b>19.75</b>	
CELLECT BIOTECHNOLOGY LTD ADR SPONSORED / CUSIP: 15116C201 / Symbol: APOP							
05/12/20	1.000	3.56	05/11/20	4.72	...	-1.16	Sale
CELLECTAR BIOSCIENCES INC COM / CUSIP: 15117F500 / Symbol: CLRB							
05/26/20	3,500.000	7,069.42	05/26/20	6,969.50	...	99.92	Sale
CENTRIC BRANDS INC BANKRUPTCY 10/13/20 / CUSIP: 15644G104 / Symbol:							
05/27/20	4,599.000	965.22	05/27/20	965.79	...	-0.57	Sale
05/28/20	5,401.000	640.52	05/27/20	1,134.21	...	-493.69	Sale
	<b>Security total:</b>	<b>1,605.74</b>		<b>2,100.00</b>	...	<b>-494.26</b>	
CHEESECAKE FACTORY COM / CUSIP: 163072101 / Symbol: CAKE							
03/27/20	100.000	1,993.95	03/26/20	1,701.00	...	292.95	Sale

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2020 1099-B\* OMB No. 1545-0715

(continued)

01/14/2021

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CHEMED CORP COM / CUSIP: 16359R103 / Symbol: CHE							
02/18/20	8.000	3,911.91	02/14/20	3,920.00	...	-8.09	Sale
CHESAPEAKE ENERGY CORP COM / CUSIP: 165167743 / Symbol: CHKAQ							
05/11/20	1.000	14.00	04/30/20	18.26	...	-4.26	Sale
CHINA RECYCLING ENERGY CORP COM / CUSIP: 168913309 / Symbol: CREG							
05/20/20	1,000.000	2,679.92	Various	2,650.00	...	29.92	Total of 2 transactions
CHINA XD PLASTICS COM / CUSIP: 16948F107 / Symbol: CXDC							
06/11/20	500.000	499.93	06/10/20	500.00	...	-0.07	Sale
CHINA HGS REAL ESTATE INC 1:2 R/S 9/2/20 16948W209 / CUSIP: 16948W100 / Symbol:							
05/20/20	4,104.000	2,193.34	Various	2,955.42	...	-762.08	Total of 3 transactions
05/20/20	20,000.000	11,597.36	05/20/20	13,361.36	821.34 W	-942.66	Sale
	<b>Security total:</b>	<b>13,790.70</b>		<b>16,316.78</b>	<b>821.34 W</b>	<b>-1,704.74</b>	
CHINA JO-JO DRUGSTORES INC COM / CUSIP: 16949A206 / Symbol: CJJD							
06/05/20	1,000.000	1,700.04	06/05/20	1,544.00	...	156.04	Sale
CINEDIGM CORPORATION COM / CUSIP: 172406209 / Symbol: CIDM							
05/20/20	5,000.000	12,699.12	05/20/20	12,400.00	...	299.12	Sale
05/20/20	10,200.000	18,686.38	Various	18,308.14	220.98 W	599.22	Total of 2 transactions
06/04/20	2,000.000	4,839.66	Various	4,820.64	...	19.02	Total of 2 transactions
	<b>Security total:</b>	<b>36,225.16</b>		<b>35,528.78</b>	<b>220.98 W</b>	<b>917.36</b>	
CINEMARK HOLDINGS INC COM / CUSIP: 17243V102 / Symbol: CNK							
12/08/20	970.000	14,627.17	12/03/20	14,626.00	...	1.17	Sale
CLEANSPARK INC COM / CUSIP: 18452B209 / Symbol: CLSK							
05/21/20	1,000.000	3,029.81	05/21/20	2,945.00	...	84.81	Sale
CO DIAGNOSTICS INC COM / CUSIP: 189763105 / Symbol: CODX							
05/18/20	500.000	8,724.75	05/18/20	8,210.00	...	514.75	Sale
05/20/20	100.000	1,855.45	05/20/20	1,862.00	6.55 W	0.00	Sale
05/27/20	200.000	3,261.91	05/27/20	3,210.55	...	51.36	Sale
	<b>Security total:</b>	<b>13,842.11</b>		<b>13,282.55</b>	<b>6.55 W</b>	<b>566.11</b>	

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**Proceeds from Broker and Barter Exchange Transactions**

2020 1099-B\* OMB No. 1545-0715

(continued)

01/14/2021

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COCRYSTAL PHARMA INC COM / CUSIP: 19188J300 / Symbol: COCP							
02/24/20	900.000	1,439.86	02/24/20	1,044.00	...	395.86	Sale
COSTCO WHOLESALE CORP COM / CUSIP: 22160K105 / Symbol: COST							
05/28/20	70.000	21,419.52	Various	21,400.50	...	19.02	Sale
12/07/20	50.000	18,729.59	Various	18,712.50	...	17.09	Sale
	<b>Security total:</b>	<b>40,149.11</b>		<b>40,113.00</b>	...	<b>36.11</b>	
COUNTERPATH CORPORATION COM / CUSIP: 22228P302 / Symbol: CPAH							
02/13/20	500.000	1,581.48	Various	1,515.00	...	66.48	Total of 2 transactions
CUMBERLAND PHARMACEUTICALS INC COM / CUSIP: 230770109 / Symbol: CPIX							
05/28/20	596.000	1,953.82	Various	3,481.68	...	-1,527.86	Total of 2 transactions
05/28/20	1,104.000	3,629.28	Various	5,269.58	1,424.38 W	-215.92	Total of 2 transactions
	<b>Security total:</b>	<b>5,583.10</b>		<b>8,751.26</b>	<b>1,424.38 W</b>	<b>-1,743.78</b>	
DIGITAL ALLY INC COM / CUSIP: 25382P208 / Symbol: DGLY							
06/09/20	1,000.000	5,899.73	06/09/20	5,739.41	...	160.32	Sale
DOCUSIGN INC COM / CUSIP: 256163106 / Symbol: DOCU							
06/08/20	399.000	55,703.67	Various	57,877.92	...	-2,174.25	Total of 2 transactions
06/08/20	350.000	48,701.38	Various	50,903.40	2,202.02 W	0.00	Sale
	<b>Security total:</b>	<b>104,405.05</b>		<b>108,781.32</b>	<b>2,202.02 W</b>	<b>-2,174.25</b>	
DOLPHIN ENTERTAINMENT INC 1:5 R/S 11/27/20 25686H209 / CUSIP: 25686H100 / Symbol:							
06/04/20	7,000.000	13,648.87	Various	13,320.00	...	328.87	Total of 2 transactions
DROPCAR INC 1:10 R/S 5/29/20 054748108 / CUSIP: 26210U203 / Symbol:							
05/22/20	1,000.000	1,229.84	05/22/20	1,220.00	...	9.84	Sale
DYNATRONICS CORP COM / CUSIP: 268157401 / Symbol: DYNT							
03/04/20	3,300.000	6,401.47	03/04/20	7,891.00	...	-1,489.53	Sale
06/11/20	1,000.000	860.06	06/10/20	965.00	...	-104.94	Sale
	<b>Security total:</b>	<b>7,261.53</b>		<b>8,856.00</b>	...	<b>-1,594.47</b>	

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2020 1099-B\* OMB No. 1545-0715

(continued)

01/14/2021

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ELECTRAMECCANICA VEHS CORP COM / CUSIP: 284849205 / Symbol: SOLO							
11/13/20	1,000.000	6,599.73	11/13/20	6,250.00	...	349.73	Sale
12/28/20	1,100.000	7,776.81	Various	9,104.00	1.57 W	-1,325.62	Sale
	<b>Security total:</b>	<b>14,376.54</b>		<b>15,354.00</b>	<b>1.57 W</b>	<b>-975.89</b>	
ENERGOUS CORP COM / CUSIP: 29272C103 / Symbol: WATT							
04/21/20	700.000	1,560.89	04/21/20	1,390.00	...	170.89	Sale
ENOCHIAN BIOSCIENCES INC COM / CUSIP: 29350E104 / Symbol: ENOB							
06/08/20	3,700.000	25,459.00	Various	34,989.91	...	-9,530.91	Total of 2 transactions
06/08/20	3,600.000	21,887.09	06/08/20	30,568.00	8,680.91 W	0.00	Sale
	<b>Security total:</b>	<b>47,346.09</b>		<b>65,557.91</b>	<b>8,680.91 W</b>	<b>-9,530.91</b>	
EVOFEM BIOSCIENCES INC COM / CUSIP: 30048L104 / Symbol: EVFM							
05/22/20	500.000	3,699.87	05/22/20	3,514.13	...	185.74	Sale
05/22/20	700.000	4,575.82	Various	4,879.00	419.13 W	115.95	Total of 2 transactions
05/26/20	2,700.000	17,747.30	Various	17,534.15	...	213.15	Total of 3 transactions
05/26/20	1,800.000	10,781.54	05/26/20	10,735.00	15.15 W	61.69	Sale
	<b>Security total:</b>	<b>36,804.53</b>		<b>36,662.28</b>	<b>434.28 W</b>	<b>576.53</b>	
FTS INTERNATIONAL INC 1:20 R/S 5/12/20 30283W203 / CUSIP: 30283W104 / Symbol:							
02/13/20	2,000.000	2,199.70	02/13/20	2,020.00	...	179.70	Sale
FANGDD NETWORK GROUP LTD ADR / CUSIP: 30712L109 / Symbol: DUO							
06/10/20	10.000	620.44	Various	597.90	...	22.54	Total of 2 transactions
FEDEX CORP COM / CUSIP: 31428X106 / Symbol: FDX							
12/22/20	20.000	5,445.88	12/21/20	5,410.00	...	35.88	Sale
FUBOTV INC COM / CUSIP: 35953D104 / Symbol: FUBO							
12/24/20	300.000	14,699.64	12/24/20	14,176.00	...	523.64	Sale
12/28/20	500.000	18,894.52	Various	21,645.00	2,750.48 W	0.00	Sale
	<b>Security total:</b>	<b>33,594.16</b>		<b>35,821.00</b>	<b>2,750.48 W</b>	<b>523.64</b>	

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(continued)

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FSD PHARMA INC COM CL B / CUSIP: 35954B206 / Symbol: HUGE							
06/03/20	1,000.000	13,999.57	06/03/20	12,110.76	...	1,888.81	Sale
06/03/20	900.000	10,124.67	06/03/20	9,815.00	154.07 W	463.74	Sale
	<b>Security total:</b>	<b>24,124.24</b>		<b>21,925.76</b>	<b>154.07 W</b>	<b>2,352.55</b>	
GAMESTOP CORPORATION COM CL A / CUSIP: 36467W109 / Symbol: GME							
03/31/20	100.000	377.98	03/30/20	371.00	...	6.98	Sale
GENERAL ELECTRIC CO COM / CUSIP: 369604103 / Symbol: GE							
05/04/20	999.000	6,363.38	04/29/20	6,343.65	...	19.73	Sale
06/02/20	2,000.000	13,939.45	Various	13,929.48	90.28 W	100.25	Sale
06/03/20	1,000.000	7,199.72	Various	7,130.02	...	69.70	Sale
10/14/20	1.000	6.82	06/02/20	7.13	...	-0.31	Sale
	<b>Security total:</b>	<b>27,509.37</b>		<b>27,410.28</b>	<b>90.28 W</b>	<b>189.37</b>	
GENERAL MOTORS CO COM / CUSIP: 37045V100 / Symbol: GM							
03/06/20	95.000	2,802.44	03/05/20	2,943.30	...	-140.86	Sale
GENETIC TECHNOLOGIES ADR SPONSORED / CUSIP: 37185R307 / Symbol: GENE							
05/22/20	1,510.000	5,270.70	Various	5,010.90	...	259.80	Total of 2 transactions
05/27/20	4,200.000	8,693.31	Various	10,144.80	...	-1,451.49	Sale
05/27/20	600.000	1,229.90	05/22/20	1,854.00	624.10 W	0.00	Sale
	<b>Security total:</b>	<b>15,193.91</b>		<b>17,009.70</b>	<b>624.10 W</b>	<b>-1,191.69</b>	
GENIUS BRANDS INTL INC COM / CUSIP: 37229T301 / Symbol: GNUS							
06/10/20	2,000.000	11,209.52	Various	11,040.00	...	169.52	Total of 2 transactions
06/10/20	2,400.000	12,279.45	Various	12,452.09	239.37 W	66.73	Total of 3 transactions
06/15/20	5,000.000	23,698.88	06/12/20	20,747.23	...	2,951.65	Sale
	<b>Security total:</b>	<b>47,187.85</b>		<b>44,239.32</b>	<b>239.37 W</b>	<b>3,187.90</b>	
GREENPRO CAP CORP COM / CUSIP: 39540F101 / Symbol: GRNQ							
05/27/20	5,499.000	12,087.13	Various	10,598.58	...	1,488.55	Total of 4 transactions
05/27/20	19,400.000	39,803.84	Various	39,631.38	1,122.79 W	1,295.25	Total of 4 transactions
	<b>Security total:</b>	<b>51,890.97</b>		<b>50,229.96</b>	<b>1,122.79 W</b>	<b>2,783.80</b>	

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GUARDION HEALTH SCIENCES INC COM / CUSIP: 40145Q203 / Symbol: GHSI							
02/27/20	6,400.000	2,367.20	02/26/20	2,099.33	...	267.87	Sale
03/03/20	21,500.000	8,921.89	02/28/20	11,186.40	1,737.37 W	-527.14	Sale
03/05/20	4,000.000	1,718.68	03/04/20	2,744.91	...	-1,026.23	Sale
03/18/20	3,912.000	1,173.10	Various	2,119.20	...	-946.10	Sale
	<b>Security total:</b>	<b>14,180.87</b>		<b>18,149.84</b>	<b>1,737.37 W</b>	<b>-2,231.60</b>	
HTG MOLECULAR DIAGNOSTICS INC 1:15 R/S 11/23/20 40434H203 / CUSIP: 40434H104 / Symbol:							
03/10/20	6,000.000	2,341.64	Various	2,794.50	397.93 W	-54.93	Sale
03/26/20	5,000.000	2,003.73	Various	2,047.93	...	-44.20	Total of 5 transactions
	<b>Security total:</b>	<b>4,345.37</b>		<b>4,842.43</b>	<b>397.93 W</b>	<b>-99.13</b>	
HELIUS MEDICAL TECH INC 1:35 R/S 1/4/21 42328V603 / CUSIP: 42328V504 / Symbol:							
05/12/20	2,001.000	1,386.44	Various	1,359.39	...	27.05	Total of 2 transactions
05/12/20	15,000.000	10,447.98	Various	10,493.77	143.68 W	97.89	Total of 2 transactions
	<b>Security total:</b>	<b>11,834.42</b>		<b>11,853.16</b>	<b>143.68 W</b>	<b>124.94</b>	
HERTZ GLOBAL HOLDINGS INC COM / CUSIP: 42806J106 / Symbol: HTZGQ							
06/12/20	3,000.000	9,359.43	Various	9,220.00	...	139.43	Total of 2 transactions
HEWLETT PACKARD ENTERPRISE CO COM / CUSIP: 42824C109 / Symbol: HPE							
05/26/20	200.000	1,884.93	Various	1,830.00	...	54.93	Total of 2 transactions
HEXINDAI INC 1:3 R/S 8/24/20 428295208 / CUSIP: 428295109 / Symbol:							
05/28/20	6,000.000	7,947.75	Various	7,350.00	...	597.75	Total of 5 transactions
IFRESH INC COM / CUSIP: 449538107 / Symbol: IFMK							
03/06/20	1,500.000	1,253.50	03/06/20	1,168.80	...	84.70	Sale
IBIO INC COM / CUSIP: 451033203 / Symbol: IBIO							
03/18/20	680.000	1,121.91	03/18/20	1,191.60	72.08 W	2.39	Sale
04/02/20	1,000.000	1,089.87	04/01/20	1,182.08	92.21 W	0.00	Sale
04/21/20	2,991.000	2,751.30	04/09/20	3,168.57	...	-417.27	Sale
04/21/20	1,009.000	928.64	04/09/20	1,052.52	123.88 W	0.00	Sale
06/10/20	8,129.000	12,855.36	Various	12,925.11	...	-69.75	Total of 3 transactions
	<b>Security total:</b>	<b>18,747.08</b>		<b>19,519.88</b>	<b>288.17 W</b>	<b>-484.63</b>	

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Account 497253492

## Proceeds from Broker and Barter Exchange Transactions

2020 1099-B\* OMB No. 1545-0715

(continued)

01/14/2021

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IDEAL POWER INC COM / CUSIP: 451622203 / Symbol: IPWR							
06/04/20	222.000	554.96	05/27/20	559.44	...	-4.48	Sale
IDEANOMICS INC COM / CUSIP: 45166V106 / Symbol: IDEX							
06/05/20	2,000.000	906.14	06/05/20	852.00	...	54.14	Sale
IMMURON LIMITED ADR SPONSORED / CUSIP: 45254U101 / Symbol: IMRN							
06/09/20	200.000	3,299.91	06/09/20	3,117.00	...	182.91	Sale
INOVIO PHARMACEUTICALS INC COM / CUSIP: 45773H201 / Symbol: INO							
02/26/20	950.000	3,704.81	Various	3,699.50	...	5.31	Sale
04/22/20	200.000	2,325.93	04/22/20	2,258.07	...	67.86	Sale
04/22/20	600.000	6,977.78	04/22/20	7,053.00	26.07 W	-49.15	Sale
	<b>Security total:</b>	<b>13,008.52</b>		<b>13,010.57</b>	<b>26.07 W</b>	<b>24.02</b>	
INSPIREMD INC COM / CUSIP: 45779A853 / Symbol: NSPR							
05/29/20	1,000.000	835.87	Various	950.00	...	-114.13	Total of 2 transactions
INPIXON COM / CUSIP: 45790J800 / Symbol: INPX							
06/02/20	2,000.000	3,959.67	06/02/20	3,930.00	...	29.67	Sale
INNSUITES HOSPITALITY TRUST SBI NPV / CUSIP: 457919108 / Symbol: IHT							
06/12/20	1,000.000	1,338.37	Various	1,810.00	...	-471.63	Total of 3 transactions
INTEL CORP COM / CUSIP: 458140100 / Symbol: INTC							
04/24/20	100.000	5,764.86	04/23/20	5,580.00	...	184.86	Sale
INVESCO MORTGAGE CAPITAL INC COM USD0.01 / CUSIP: 46131B100 / Symbol: IVR							
05/11/20	1,000.000	2,769.82	05/11/20	2,630.00	...	139.82	Sale
JOYY INC ADR / CUSIP: 46591M109 / Symbol: YY							
11/19/20	100.000	8,675.80	11/18/20	7,500.00	...	1,175.80	Sale
IZEA WORLDWIDE INC COM / CUSIP: 46604H105 / Symbol: IZEA							
06/08/20	17,000.000	26,827.39	Various	25,330.00	...	1,497.39	Total of 2 transactions
J JILL INC 1:5 R/S 11/10/20 46620W201 / CUSIP: 46620W102 / Symbol:							
06/09/20	2,000.000	1,899.72	06/09/20	1,970.00	...	-70.28	Sale

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JAGUAR HEALTH INC COM / CUSIP: 47010C409 / Symbol: JAGX							
05/29/20	3,000.000	1,713.21	Various	1,587.52	...	125.69	Total of 2 transactions
JIAYIN GROUP INC ADR / CUSIP: 47737C104 / Symbol: JFIN							
06/10/20	1,100.000	26,288.29	Various	24,714.00	...	1,574.29	Total of 2 transactions
JUMIA TECHNOLOGIES AG ADR SPONSORED / CUSIP: 48138M105 / Symbol: JMIA							
12/07/20	200.000	7,019.82	12/07/20	6,500.00	...	519.82	Sale
KINGOLD JEWELRY INC COM / CUSIP: 49579A303 / Symbol: KGJI							
06/11/20	3,000.000	3,209.56	06/11/20	3,098.02	...	111.54	Sale
06/11/20	500.000	606.98	06/11/20	615.00	8.02 W	0.00	Sale
	<b>Security total:</b>	<b>3,816.54</b>		<b>3,713.02</b>	<b>8.02 W</b>	<b>111.54</b>	
LIMITED BRANDS INC COM / CUSIP: 501797104 / Symbol: LB							
04/23/20	500.000	4,941.32	Various	4,605.00	...	336.32	Total of 2 transactions
LI AUTO INC ADR / CUSIP: 50202M102 / Symbol: LI							
11/13/20	200.000	7,600.81	11/13/20	7,550.00	...	50.81	Sale
LATAM AIRLINES GROUP SA ADR SPONSORED / CUSIP: 51817R106 / Symbol: LTMAQ							
05/29/20	6,000.000	6,719.13	Various	8,292.45	1,580.43 W	7.11	Sale
06/02/20	2,000.000	3,539.68	Various	4,845.29	...	-1,305.61	Total of 2 transactions
06/04/20	1,000.000	2,059.83	06/03/20	2,230.14	...	-170.31	Sale
	<b>Security total:</b>	<b>12,318.64</b>		<b>15,367.88</b>	<b>1,580.43 W</b>	<b>-1,468.81</b>	
LOVESAC COMPANY COM / CUSIP: 54738L109 / Symbol: LOVE							
06/09/20	700.000	16,797.56	Various	16,250.50	...	547.06	Total of 2 transactions
LUBYS INC COM / CUSIP: 549282101 / Symbol: LUB							
06/04/20	6.000	11.22	06/04/20	7.32	...	3.90	Sale
LUCKIN COFFEE INC ADR SPONSORED / CUSIP: 54951L109 / Symbol: LKNCY							
05/26/20	2,000.000	3,139.69	Various	3,039.55	...	100.14	Sale

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LYFT INC COM CL A / CUSIP: 55087P104 / Symbol: LYFT							
11/04/20	500.000	14,861.62	Various	14,595.00	...	266.62	Total of 2 transactions
11/05/20	200.000	5,903.85	11/04/20	5,664.00	...	239.85	Sale
	<b>Security total:</b>	<b>20,765.47</b>		<b>20,259.00</b>	...	<b>506.47</b>	
MACY'S INC COM / CUSIP: 55616P104 / Symbol: M							
04/24/20	1,000.000	4,902.28	Various	4,800.00	...	102.28	Total of 2 transactions
06/09/20	3,000.000	26,579.05	06/09/20	27,211.89	...	-632.84	Sale
06/09/20	8,000.000	70,917.48	Various	72,001.26	1,113.15 W	29.37	Total of 2 transactions
	<b>Security total:</b>	<b>102,398.81</b>		<b>104,013.15</b>	<b>1,113.15 W</b>	<b>-501.19</b>	
MATINAS BIOPHARMA HOLDINGS INC COM / CUSIP: 576810105 / Symbol: MTNB							
04/09/20	3,000.000	1,634.80	Various	1,560.00	...	74.80	Total of 2 transactions
MICROSOFT CORP COM / CUSIP: 594918104 / Symbol: MSFT							
03/10/20	20.000	3,105.93	03/09/20	3,015.96	...	89.97	Sale
03/19/20	27.000	3,807.46	03/18/20	3,731.40	...	76.06	Sale
04/13/20	10.000	1,639.86	04/09/20	1,639.55	...	0.31	Sale
	<b>Security total:</b>	<b>8,553.25</b>		<b>8,386.91</b>	...	<b>166.34</b>	
MITCHAM INDUSTRIES INC N/C 8/5/20 602566101 / CUSIP: 606501104 / Symbol:							
05/26/20	6,942.000	11,730.88	05/26/20	11,636.62	...	94.26	Sale
MODERNA INC COM / CUSIP: 60770K107 / Symbol: MRNA							
05/20/20	260.000	17,601.58	Various	21,030.00	3,428.42 W	0.00	Sale
05/22/20	800.000	55,738.68	Various	64,334.85	7,590.01 W	-1,006.16	Total of 3 transactions
05/27/20	300.000	14,714.65	Various	17,443.29	...	-2,728.64	Total of 2 transactions
12/21/20	50.000	6,920.84	12/18/20	6,890.00	...	30.84	Sale
	<b>Security total:</b>	<b>94,975.75</b>		<b>109,698.14</b>	<b>11,018.43 W</b>	<b>-3,703.96</b>	
MOLECULAR DATA INC ADR / CUSIP: 60852L106 / Symbol: MKD							
11/25/20	2,000.000	2,899.70	11/25/20	2,820.00	...	79.70	Sale
MOLECULIN BIOTECH INC COM / CUSIP: 60855D101 / Symbol: MBRX							
04/08/20	1,000.000	1,464.84	Various	1,300.00	...	164.84	Total of 2 transactions

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(continued)

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MONEYGRAM INTERNATIONAL INC COM / CUSIP: 60935Y208 / Symbol: MGI							
06/02/20	1,000.000	4,099.79	06/02/20	3,877.50	...	222.29	Sale
MYOMO INC COM / CUSIP: 62857J201 / Symbol: MYO							
04/08/20	1,300.000	6,759.69	04/08/20	6,525.00	...	234.69	Sale
NIO INC ADR / CUSIP: 62914V106 / Symbol: NIO							
11/16/20	200.000	8,429.79	11/13/20	8,370.00	...	59.79	Sale
12/16/20	100.000	4,421.89	12/15/20	4,180.00	...	241.89	Sale
12/29/20	500.000	22,099.45	12/28/20	22,090.00	...	9.45	Sale
	<b>Security total:</b>	<b>34,951.13</b>		<b>34,640.00</b>	...	<b>311.13</b>	
NANO DIMENSION LTD ADR SPONSORED / CUSIP: 63008G203 / Symbol: NNDM							
05/20/20	2,100.000	8,557.56	Various	8,555.19	...	2.37	Total of 2 transactions
05/20/20	15,700.000	47,732.08	Various	51,254.24	2,298.43 W	-1,223.73	Total of 2 transactions
	<b>Security total:</b>	<b>56,289.64</b>		<b>59,809.43</b>	<b>2,298.43 W</b>	<b>-1,221.36</b>	
NAVIDEA BIOPHARMACEUTICALS INC COM / CUSIP: 63937X202 / Symbol: NAVB							
05/22/20	500.000	1,399.92	05/22/20	1,275.00	...	124.92	Sale
NETFLIX INC COM / CUSIP: 64110L106 / Symbol: NFLX							
04/29/20	60.000	24,389.52	Various	24,362.40	...	27.12	Total of 3 transactions
06/05/20	20.000	8,162.82	06/03/20	8,370.20	...	-207.38	Sale
	<b>Security total:</b>	<b>32,552.34</b>		<b>32,732.60</b>	...	<b>-180.26</b>	
NIKOLA CORPORATION COM / CUSIP: 654110105 / Symbol: NKLA							
06/08/20	400.000	35,439.18	06/08/20	36,950.00	1,510.82 W	0.00	Sale
06/09/20	300.000	23,949.44	Various	24,710.96	...	-761.52	Total of 2 transactions
06/09/20	300.000	21,299.50	Various	21,838.62	605.76 W	66.64	Total of 2 transactions
	<b>Security total:</b>	<b>80,688.12</b>		<b>83,499.58</b>	<b>2,116.58 W</b>	<b>-694.88</b>	
NORDSTROM INC COM / CUSIP: 655664100 / Symbol: JWN							
05/20/20	1,000.000	15,369.54	05/20/20	15,600.00	230.46 W	0.00	Sale
05/21/20	500.000	7,949.76	05/20/20	7,645.23	...	304.53	Sale
06/01/20	900.000	15,686.56	05/28/20	16,936.23	1,249.67 W	0.00	Sale

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NORDSTROM INC COM / CUSIP: 655664100 / Symbol: JWN (cont'd)							
06/02/20	1,000.000	17,329.50	06/02/20	18,469.86	...	-1,140.36	Sale
06/02/20	600.000	10,079.71	06/02/20	10,935.52	855.81 W	0.00	Sale
	<b>Security total:</b>	<b>66,415.07</b>		<b>69,586.84</b>	<b>2,335.94 W</b>	<b>-835.83</b>	
NOVAVAX INC COM / CUSIP: 670002401 / Symbol: NVAX							
05/11/20	300.000	10,376.74	05/11/20	10,235.00	34.09 W	175.83	Sale
05/26/20	100.000	4,831.88	05/26/20	4,855.09	...	-23.21	Sale
	<b>Security total:</b>	<b>15,208.62</b>		<b>15,090.09</b>	<b>34.09 W</b>	<b>152.62</b>	
NVIDIA CORP COM / CUSIP: 67066G104 / Symbol: NVDA							
05/22/20	10.000	3,571.92	05/20/20	3,612.00	...	-40.08	Sale
OOMA INC COM / CUSIP: 683416101 / Symbol: OOMA							
05/26/20	599.000	8,397.72	05/26/20	8,092.49	...	305.23	Sale
OPGEN INC COM / CUSIP: 68373L307 / Symbol: OPGN							
06/09/20	6,120.000	13,493.57	06/09/20	14,987.20	...	-1,493.63	Sale
PUYI INC ADR / CUSIP: 69373Y109 / Symbol: PUYI							
06/10/20	150.000	1,154.95	06/10/20	1,111.50	...	43.45	Sale
PARETEUM CORPORATION COM / CUSIP: 69946T207 / Symbol: TEUM							
06/09/20	1,000.000	1,039.85	Various	1,030.00	...	9.85	Total of 2 transactions
PHASEBIO PHARMACEUTICALS INC COM / CUSIP: 717224109 / Symbol: PHAS							
05/27/20	2,881.000	23,785.49	Various	23,718.76	...	66.73	Total of 4 transactions
05/27/20	1,000.000	7,701.40	Various	7,999.77	298.37 W	0.00	Total of 2 transactions
	<b>Security total:</b>	<b>31,486.89</b>		<b>31,718.53</b>	<b>298.37 W</b>	<b>66.73</b>	
PHIO PHARMACEUTICALS CORP COM / CUSIP: 71880W303 / Symbol: PHIO							
05/29/20	3,100.000	10,415.40	05/29/20	12,200.51	...	-1,785.11	Sale
05/29/20	3,400.000	11,355.35	05/29/20	12,885.92	1,536.51 W	5.94	Sale
	<b>Security total:</b>	<b>21,770.75</b>		<b>25,086.43</b>	<b>1,536.51 W</b>	<b>-1,779.17</b>	
PHUNWARE INC COM / CUSIP: 71948P100 / Symbol: PHUN							
05/20/20	1,000.000	934.86	05/20/20	1,080.00	...	-145.14	Sale

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PLUS THERAPEUTICS INC COM / CUSIP: 72941H400 / Symbol: PSTV							
06/09/20	1,000.000	3,799.80	06/09/20	3,610.00	...	189.80	Sale
06/10/20	1,952.000	5,718.99	06/10/20	5,403.76	...	315.23	Sale
	<b>Security total:</b>	<b>9,518.79</b>		<b>9,013.76</b>	...	<b>505.03</b>	
POLARITYTE INC COM / CUSIP: 731094108 / Symbol: PTE							
02/21/20	1,000.000	1,650.00	Various	1,680.00	...	-30.00	Total of 2 transactions
PROCTER & GAMBLE CO COM / CUSIP: 742718109 / Symbol: PG							
03/20/20	150.000	16,799.61	03/19/20	16,755.00	...	44.61	Sale
PROSHARES TRUST ULTRAPRO SHORT QQQ NEW 2020 / CUSIP: 74347G861 / Symbol: SQQQ							
11/09/20	200.000	3,563.90	11/05/20	3,752.00	...	-188.10	Sale
QEP RESOURCES INC COM / CUSIP: 74733V100 / Symbol: QEP							
05/01/20	1.000	0.92	04/30/20	1.19	...	-0.27	Sale
RECRO PHARMA INC COM / CUSIP: 75629F109 / Symbol: REPH							
05/12/20	800.000	4,127.82	Various	4,172.12	...	-44.30	Total of 2 transactions
05/12/20	1,300.000	6,689.70	Various	6,878.56	269.18 W	80.32	Total of 2 transactions
	<b>Security total:</b>	<b>10,817.52</b>		<b>11,050.68</b>	<b>269.18 W</b>	<b>36.02</b>	
REGULUS THERAPEUTICS INC COM / CUSIP: 75915K200 / Symbol: RGLS							
06/10/20	2,000.000	1,779.86	Various	1,784.00	19.10 W	14.96	Total of 2 transactions
06/11/20	1,000.000	865.46	06/10/20	909.19	...	-43.73	Sale
10/16/20	1.000	0.52	06/10/20	0.91	...	-0.39	Sale
	<b>Security total:</b>	<b>2,645.84</b>		<b>2,694.10</b>	<b>19.10 W</b>	<b>-29.16</b>	
REMARK HOLDINGS INC COM / CUSIP: 75955K102 / Symbol: MARK							
10/08/20	1,500.000	2,219.77	10/08/20	2,160.00	...	59.77	Sale
RICEBRAN TECHNOLOGIES COM / CUSIP: 762831204 / Symbol: RIBT							
02/28/20	1,000.000	1,159.95	02/27/20	1,159.90	...	0.05	Sale
03/25/20	60.000	71.99	03/05/20	71.40	...	0.59	Sale
	<b>Security total:</b>	<b>1,231.94</b>		<b>1,231.30</b>	...	<b>0.64</b>	

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TD Ameritrade Clearing, Inc.

Account 497253492

**Proceeds from Broker and Barter Exchange Transactions**

2020 1099-B\* OMB No. 1545-0715

(continued)

01/14/2021

**SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS [Ordinary gains or losses are identified in the Additional information column] (Lines 2 & 5)**

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RIGNET INC COM / CUSIP: 766582100 / Symbol: RNET							
06/05/20	1,000.000	1,039.86	06/03/20	937.50	...	102.36	Sale
RIOT BLOCKCHAIN INC COM / CUSIP: 767292105 / Symbol: RIOT							
11/27/20	1,000.000	6,394.74	11/27/20	6,150.00	...	244.74	Sale
ROKU INC COM CL A / CUSIP: 77543R102 / Symbol: ROKU							
06/05/20	100.000	10,289.77	06/03/20	10,545.50	...	-255.73	Sale
SEACOR MARINE HOLDINGS INC COM / CUSIP: 78413P101 / Symbol: SMHI							
06/03/20	1,000.000	1,542.35	06/02/20	1,510.00	...	32.35	Sale
SAEXPLORATION HLDGS INC BANKRUPTCY 12/18/20 / CUSIP: 78636X873 / Symbol:							
04/28/20	10.000	18.90	04/22/20	29.70	...	-10.80	Sale
SAFE-T GROUP LTD ADR SPONSORED / CUSIP: 78643B401 / Symbol: SFET							
03/18/20	592.000	828.72	03/10/20	1,584.56	755.84 W	0.00	Sale
03/19/20	1,947.000	2,667.30	Various	4,414.96	...	-1,747.66	Sale
03/19/20	900.000	1,260.21	Various	3,206.75	1,946.54 W	0.00	Total of 3 transactions
05/27/20	4,000.000	6,360.12	Various	5,739.68	...	620.44	Total of 3 transactions
	<b>Security total:</b>	<b>11,116.35</b>		<b>14,945.95</b>	<b>2,702.38 W</b>	<b>-1,127.22</b>	
SCYNEXIS INC 1:10 R/S 7/17/20 811292200 / CUSIP: 811292101 / Symbol:							
04/22/20	540.000	474.82	Various	706.87	...	-232.05	Total of 2 transactions
04/22/20	6,540.000	5,427.30	Various	7,092.50	272.67 W	-1,392.53	Total of 2 transactions
	<b>Security total:</b>	<b>5,902.12</b>		<b>7,799.37</b>	<b>272.67 W</b>	<b>-1,624.58</b>	
SECOO HOLDING LIMITED ADR / CUSIP: 81367P101 / Symbol: SECO							
06/03/20	500.000	2,099.89	06/03/20	2,050.00	...	49.89	Sale
SELLAS LIFE SCIENCES GROUP INC COM / CUSIP: 81642T209 / Symbol: SLS							
02/28/20	1,700.000	3,489.96	Various	3,775.34	250.08 W	-35.30	Total of 2 transactions
03/10/20	1,000.000	2,065.85	Various	2,454.74	...	-388.89	Total of 2 transactions
	<b>Security total:</b>	<b>5,555.81</b>		<b>6,230.08</b>	<b>250.08 W</b>	<b>-424.19</b>	

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(continued)

01/14/2021

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SEQUENTIAL BRNDS GROUP INC NEW 1:40 R/S 7/27/20 81734P206 / CUSIP: 81734P107 / Symbol:							
06/09/20	20,000.000	11,049.08	Various	9,846.95	...	1,202.13	Total of 3 transactions
06/09/20	10,000.000	4,893.70	06/09/20	4,913.18	29.69 W	10.21	Sale
	<b>Security total:</b>	<b>15,942.78</b>		<b>14,760.13</b>	<b>29.69 W</b>	<b>1,212.34</b>	
SHIFTPIXY INC COM / CUSIP: 82452L203 / Symbol: PIXY							
05/19/20	400.000	5,719.82	05/19/20	4,648.00	...	1,071.82	Sale
SHILOH INDUSTRIES INC COM / CUSIP: 824543102 / Symbol: SHLOQ							
06/04/20	500.000	644.93	06/03/20	630.00	...	14.93	Sale
SINO-GLOBAL SHIPPI 1:5 R/S 7/7/20 82935V208 / CUSIP: 82935V109 / Symbol:							
06/08/20	3,000.000	3,119.58	06/08/20	2,900.00	...	219.58	Sale
SLACK TECHNOLOGIES INC COM CL A / CUSIP: 83088V102 / Symbol: WORK							
06/04/20	100.000	3,188.92	06/04/20	3,185.00	...	3.92	Sale
SNAP INC COM CL A / CUSIP: 83304A106 / Symbol: SNAP							
11/25/20	350.000	15,559.14	Various	16,275.00	...	-715.86	Total of 2 transactions
SNOWFLAKE INC COM CL A / CUSIP: 833445109 / Symbol: SNOW							
12/14/20	25.000	8,919.80	12/11/20	8,900.00	...	19.80	Sale
12/16/20	120.000	39,709.10	Various	39,632.69	465.57 W	541.98	Total of 2 transactions
12/18/20	40.000	13,231.71	12/16/20	13,414.88	199.10 W	15.93	Sale
12/21/20	50.000	16,649.62	12/18/20	16,824.10	184.33 W	9.85	Sale
12/28/20	39.000	11,966.89	12/23/20	13,111.35	1,144.46 W	0.00	Sale
	<b>Security total:</b>	<b>90,477.12</b>		<b>91,883.02</b>	<b>1,993.46 W</b>	<b>587.56</b>	
SOCKET MOBILE INC COM / CUSIP: 83368E200 / Symbol: SCKT							
06/02/20	1,500.000	2,114.77	06/02/20	2,490.00	...	-375.23	Sale
SONOMA PHARMACEUTICALS INC COM / CUSIP: 83558L204 / Symbol: SNOA							
05/28/20	1,100.000	13,049.58	Various	13,040.04	431.38 W	440.92	Total of 2 transactions
05/29/20	1,000.000	10,849.63	05/29/20	10,876.34	...	-26.71	Sale
05/29/20	1,000.000	14,719.54	Various	14,693.50	461.50 W	487.54	Total of 2 transactions
	<b>Security total:</b>	<b>38,618.75</b>		<b>38,609.88</b>	<b>892.88 W</b>	<b>901.75</b>	

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Account 497253492

**Proceeds from Broker and Barter Exchange Transactions**

2020 1099-B\* OMB No. 1545-0715

(continued)

01/14/2021

**SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS [Ordinary gains or losses are identified in the Additional information column] (Lines 2 & 5)**

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SOUTHWEST AIRLINES CO COM / CUSIP: 844741108 / Symbol: LUV							
05/11/20	700.000	18,703.51	Various	20,579.00	1,875.49 W	0.00	Sale
05/15/20	750.000	18,562.01	Various	20,992.79	2,438.45 W	7.67	Sale
05/18/20	800.000	19,751.46	05/15/20	21,813.78	...	-2,062.32	Sale
	<b>Security total:</b>	<b>57,016.98</b>		<b>63,385.57</b>	<b>4,313.94 W</b>	<b>-2,054.65</b>	
SPHERIX INC N/C 3/13/20 008875106 / CUSIP: 84842R502 / Symbol:							
02/25/20	100.000	302.73	02/25/20	193.00	...	109.73	Sale
SPIRIT AIRLINES INC COM / CUSIP: 848577102 / Symbol: SAVE							
03/26/20	100.000	1,749.95	03/26/20	1,650.00	...	99.95	Sale
06/10/20	8,500.000	170,445.49	Various	168,664.15	...	1,781.34	Total of 5 transactions
06/10/20	600.000	11,974.67	Various	12,498.00	523.33 W	0.00	Total of 2 transactions
06/11/20	7,900.000	133,561.29	Various	155,673.67	22,165.08 W	52.70	Total of 11 transactions
06/12/20	501.000	9,243.57	Various	9,817.56	...	-573.99	Total of 2 transactions
06/12/20	1,900.000	34,807.00	06/12/20	38,424.82	650.58 W	-2,967.24	Sale
	<b>Security total:</b>	<b>361,781.97</b>		<b>386,728.20</b>	<b>23,338.99 W</b>	<b>-1,607.24</b>	
SPLUNK INC COM / CUSIP: 848637104 / Symbol: SPLK							
12/14/20	100.000	15,915.64	12/09/20	15,916.00	...	-0.36	Sale
T-MOBILE US INC 0.10256:1 EXC 4/1/20 872590104 / CUSIP: 85207U105 / Symbol:							
03/25/20	1,000.000	8,019.71	03/24/20	7,730.00	...	289.71	Sale
SQUARE INC COM CL A / CUSIP: 852234103 / Symbol: SQ							
03/31/20	100.000	5,459.07	Various	5,266.00	...	193.07	Total of 2 transactions
STRATA SKIN SCIENCES INC COM / CUSIP: 86272A206 / Symbol: SSKN							
06/10/20	1,400.000	2,169.79	06/10/20	2,126.00	...	43.79	Sale
STREAMLINE HEALTH SOLUTIONS COM / CUSIP: 86323X106 / Symbol: STRM							
06/10/20	300.000	470.95	06/10/20	468.00	...	2.95	Sale
SUNRUN INC COM / CUSIP: 86771W105 / Symbol: RUN							
11/13/20	200.000	10,799.74	11/12/20	10,599.98	...	199.76	Sale
SURFACE ONCOLOGY INC COM / CUSIP: 86877M209 / Symbol: SURF							
05/20/20	300.000	1,095.00	05/20/20	1,128.00	...	-33.00	Sale

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2020 1099-B\* OMB No. 1545-0715

(continued)

01/14/2021

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TARGET CORP COM / CUSIP: 87612E106 / Symbol: TGT							
05/20/20	80.000	9,958.97	05/19/20	9,932.05	...	26.92	Sale
05/22/20	40.000	4,993.68	05/20/20	5,014.80	21.12 W	0.00	Short sale closed
05/26/20	50.000	5,987.36	05/22/20	5,897.12	...	90.24	Sale
	<b>Security total:</b>	<b>20,940.01</b>		<b>20,843.97</b>	<b>21.12 W</b>	<b>117.16</b>	
TECHNICAL COMMUNICATIONS CORP COM / CUSIP: 878409101 / Symbol: TCCO							
05/28/20	3,300.000	14,519.29	05/28/20	14,294.94	...	224.35	Sale
TENAX THERAPEUTICS INC COM / CUSIP: 88032L209 / Symbol: TENX							
06/02/20	100.000	232.98	06/02/20	251.02	...	-18.04	Sale
06/02/20	9,100.000	20,688.80	Various	21,433.44	410.46 W	-334.18	Total of 2 transactions
	<b>Security total:</b>	<b>20,921.78</b>		<b>21,684.46</b>	<b>410.46 W</b>	<b>-352.22</b>	
TESLA INC COM / CUSIP: 88160R101 / Symbol: TSLA							
03/10/20	2.000	1,241.60	03/09/20	1,204.97	...	36.63	Sale
11/18/20	30.000	13,679.70	11/17/20	13,605.00	...	74.70	Sale
11/23/20	25.000	12,602.72	11/20/20	12,300.00	...	302.72	Sale
12/17/20	10.000	6,279.86	12/16/20	6,175.00	...	104.86	Sale
	<b>Security total:</b>	<b>33,803.88</b>		<b>33,284.97</b>	...	<b>518.91</b>	
TETRAPHASE PHARMACEUTICALS INC MRG @\$2/SH & 1 CVR 7/29/20 / CUSIP: 88165N204 / Symbol:							
06/09/20	2,000.000	5,279.64	06/09/20	5,020.00	...	259.64	Sale
THERAPIX BIOSCIENCES LTD 1:70 R/S 10/19/20 88339A302 / CUSIP: 88339A203 / Symbol:							
06/11/20	1,000.000	931.03	Various	870.00	...	61.03	Total of 2 transactions
TITAN MEDICAL INC COM / CUSIP: 88830X819 / Symbol: TMDI							
06/04/20	2,000.000	1,639.72	Various	1,610.00	...	29.72	Total of 2 transactions
TIZIANA LIFE SCIENCES PLC ADR SPONSORED / CUSIP: 88875G101 / Symbol: TLSA							
03/11/20	170.000	1,189.95	03/11/20	1,003.00	...	186.95	Sale

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TONIX PHARMAS HLDG CORP COM / CUSIP: 890260706 / Symbol: TNXP							
02/27/20	6,300.000	10,331.02	02/26/20	6,099.00	...	4,232.02	Sale
03/23/20	2,500.000	2,824.64	03/20/20	2,700.00	...	124.64	Sale
03/30/20	6,363.000	4,644.14	Various	5,889.12	...	-1,244.98	Sale
	<b>Security total:</b>	<b>17,799.80</b>		<b>14,688.12</b>	...	<b>3,111.68</b>	
TOUGHBUILT INDUSTRIES INC 1:10 R/S 4/15/20 89157G504 / CUSIP: 89157G207 / Symbol:							
02/24/20	13,000.000	2,741.39	02/21/20	3,482.40	741.01 W	0.00	Sale
02/28/20	293.000	49.49	02/27/20	62.21	...	-12.72	Sale
02/28/20	9,707.000	1,601.44	02/27/20	2,163.03	433.42 W	-128.17	Sale
03/05/20	10,000.000	1,882.69	Various	2,402.19	...	-519.50	Total of 2 transactions
04/09/20	20,000.000	2,777.55	04/08/20	2,702.00	...	75.55	Sale
	<b>Security total:</b>	<b>9,052.56</b>		<b>10,811.83</b>	<b>1,174.43 W</b>	<b>-584.84</b>	
T2 BIOSYSTEMS INC COM / CUSIP: 89853L104 / Symbol: TTOO							
03/09/20	2,600.000	1,715.65	03/06/20	1,436.50	...	279.15	Sale
05/22/20	1,000.000	859.86	05/22/20	840.00	...	19.86	Sale
	<b>Security total:</b>	<b>2,575.51</b>		<b>2,276.50</b>	...	<b>299.01</b>	
TWITTER INC COM / CUSIP: 90184L102 / Symbol: TWTR							
05/01/20	200.000	5,685.85	04/30/20	5,700.00	...	-14.15	Sale
UPSTART HLDGS INC COM / CUSIP: 91680M107 / Symbol: UPST							
12/22/20	100.000	4,269.90	12/21/20	4,111.00	...	158.90	Sale
VALE S.A. ADR SPONSORED / CUSIP: 91912E105 / Symbol: VALE							
10/05/20	300.000	3,182.89	10/02/20	3,168.00	...	14.89	Sale
VAREX IMAGING CORPORATION COM / CUSIP: 92214X106 / Symbol: VREX							
05/26/20	100.000	1,822.45	Various	1,747.14	...	75.31	Sale
06/05/20	100.000	1,708.96	Various	1,710.37	0.38 W	-1.03	Sale
10/14/20	1.000	13.40	06/04/20	17.48	...	-4.08	Sale
	<b>Security total:</b>	<b>3,544.81</b>		<b>3,474.99</b>	<b>0.38 W</b>	<b>70.20</b>	
VECTOIQ ACQUISITION CORP 1:1 EXC 6/4/14 654110105 / CUSIP: 92243N202 / Symbol:							
03/05/20	100.000	1,944.95	03/04/20	1,941.59	...	3.36	Sale

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VIRGIN GALACTIC HLDGS INC COM / CUSIP: 92766K106 / Symbol: SPCE							
06/03/20	200.000	3,281.92	06/02/20	3,218.50	...	63.42	Sale
06/05/20	100.000	1,621.97	06/03/20	1,625.00	...	-3.03	Sale
	<b>Security total:</b>	<b>4,903.89</b>		<b>4,843.50</b>	...	<b>60.39</b>	
WAITR HOLDINGS INC COM / CUSIP: 930752100 / Symbol: WTRH							
03/19/20	700.000	1,721.88	03/19/20	2,242.26	...	-520.38	Sale
WESTWATER RESOURCES INC COM / CUSIP: 961684206 / Symbol: WWR							
06/02/20	1,600.000	6,926.74	Various	6,802.98	...	123.76	Total of 4 transactions
WORKDAY INC COM CL A / CUSIP: 98138H101 / Symbol: WDAY							
05/27/20	100.000	18,349.69	Various	18,230.00	...	119.69	Total of 2 transactions
XL FLEET CORP COM CL A / CUSIP: 9837FR100 / Symbol: XL							
12/22/20	80.000	1,608.75	12/21/20	1,564.80	...	43.95	Sale
XTANT MEDICAL HLDGS INC COM / CUSIP: 98420P308 / Symbol: XTNT							
05/21/20	500.000	1,039.92	05/21/20	825.00	...	214.92	Sale
XPRESSPA GROUP INC 1:3 R/S 6/11/20 98420U703 / CUSIP: 98420U604 / Symbol:							
03/27/20	3,000.000	818.62	03/25/20	1,170.00	...	-351.38	Sale
06/02/20	1,000.000	911.86	06/02/20	886.00	...	25.86	Sale
	<b>Security total:</b>	<b>1,730.48</b>		<b>2,056.00</b>	...	<b>-325.52</b>	
XPENG INC ADR / CUSIP: 98422D105 / Symbol: XPEV							
12/09/20	350.000	16,504.19	Various	17,388.18	883.99 W	0.00	Total of 3 transactions
12/11/20	99.000	4,524.19	12/09/20	4,777.92	253.73 W	0.00	Sale
12/14/20	200.000	9,189.78	Various	9,455.37	267.24 W	1.65	Sale
12/18/20	100.000	4,699.89	Various	4,747.50	47.61 W	0.00	Sale
12/28/20	200.000	7,694.61	Various	9,350.79	...	-1,656.18	Sale
	<b>Security total:</b>	<b>42,612.66</b>		<b>45,719.76</b>	<b>1,452.57 W</b>	<b>-1,654.53</b>	
YUNHONG CTI LTD COM / CUSIP: 98873Q100 / Symbol: CTIB							
06/11/20	1,000.000	5,449.76	06/11/20	5,200.00	...	249.76	Sale
ZW DATA ACTION TECHNOLOGS INC COM / CUSIP: 98880R109 / Symbol: CNET							
12/09/20	4,000.000	11,849.25	Various	11,610.00	...	239.25	Total of 2 transactions

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TD Ameritrade Clearing, Inc.

Account 497253492

**Proceeds from Broker and Barter Exchange Transactions**

2020 1099-B\* OMB No. 1545-0715

(continued)

01/14/2021

**SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS [Ordinary gains or losses are identified in the Additional information column] (Lines 2 & 5)**

Report on Form 8949, Part I with Box A checked. Basis is provided to the IRS. (Line 12)

"Gain or loss (-)" is NOT reported to the IRS.

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

1c- Date sold or disposed	Quantity	1d- Proceeds & 6- Reported (G)ross or (N)et	1b- Date acquired	1e- Cost or other basis	1f- Accrued mkt disc (D) & 1g- Wash sale loss disallowed (W)	Gain or loss(-) & 7- Loss not allowed (X) also not reported (Z)	Additional information
ZOMEDICA PHARMACEUTICALS CORP N/C 10/5/20 98980M109 / CUSIP: 98979F107 / Symbol:							
03/03/20	30,000.000	7,650.48	Various	9,240.00	...	-1,589.52	Total of 4 transactions
ZOOM VIDEO COMMUNICATIONS INC COM CL A / CUSIP: 98980L101 / Symbol: ZM							
03/31/20	10.000	1,444.97	03/31/20	1,470.00	25.03 W	0.00	Sale
04/01/20	40.000	5,909.07	03/31/20	5,880.00	...	29.07	Sale
04/02/20	10.000	1,216.87	04/02/20	1,175.43	...	41.44	Sale
04/08/20	22.000	2,433.15	04/07/20	2,549.76	...	-116.61	Sale
04/08/20	30.000	3,321.83	04/07/20	3,465.00	9.54 W	-133.63	Sale
06/02/20	800.000	168,316.19	Various	167,514.47	...	801.72	Total of 9 transactions
06/02/20	770.000	157,087.46	Various	162,109.85	5,065.11 W	42.72	Total of 6 transactions
06/03/20	100.000	20,929.53	06/03/20	21,593.52	...	-663.99	Sale
06/03/20	300.000	63,577.55	Various	65,614.04	1,927.77 W	-108.72	Total of 3 transactions
11/09/20	10.000	4,399.90	11/09/20	4,400.00	0.10 W	0.00	Sale
11/12/20	20.000	8,494.81	11/11/20	7,730.10	...	764.71	Sale
12/22/20	20.000	8,239.82	12/21/20	8,210.00	...	29.82	Sale
	<b>Security total:</b>	<b>445,371.15</b>		<b>451,712.17</b>	<b>7,027.55 W</b>	<b>686.53</b>	
APPLE INC AAPL Sep 18 2020 121.25 Call / CUSIP: / Symbol: AAPL 09/18/20 C 121.250							
09/15/20	24.000	1,063.93	09/15/20	928.01	...	135.92	Option sale
09/16/20	40.000	573.23	09/16/20	826.68	...	-253.45	Option sale
	<b>Security total:</b>	<b>1,637.16</b>		<b>1,754.69</b>	...	<b>-117.53</b>	
ADVANCED MICRO DEVICES INC AMD Oct 16 2020 87.0 Call / CUSIP: / Symbol: AMD 10/16/20 C 87.000							
10/07/20	8.000	2,074.63	10/07/20	2,005.31	...	69.32	Option sale
AMAZON COM INC AMZN Dec 24 2020 3315.0 Call / CUSIP: / Symbol: AMZN 12/24/20 C 3315.000							
12/21/20	1.000	1,129.32	12/18/20	1,520.66	...	-391.34	Option sale
BOEING CO BA Feb 19 2021 300.0 Call / CUSIP: / Symbol: BA 02/19/21 C 300.000							
11/23/20	2.000	558.66	11/20/20	441.33	...	117.33	Option sale
BEYOND MEAT INC BYND Nov 13 2020 123.0 Put / CUSIP: / Symbol: BYND 11/13/20 P 123.000							
11/11/20	1.000	209.34	11/10/20	210.66	...	-1.32	Option sale
BLUE HAT INTERACTIVE ENTERTAIN COM / CUSIP: G1329V106 / Symbol: BHAT							
06/03/20	1,000.000	1,444.35	06/02/20	1,600.00	...	-155.65	Sale

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TD Ameritrade Clearing, Inc.

Account 497253492

**Proceeds from Broker and Barter Exchange Transactions**

2020 1099-B\* OMB No. 1545-0715

(continued)

01/14/2021

**SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS [Ordinary gains or losses are identified in the Additional information column] (Lines 2 & 5)**

Report on Form 8949, Part I with Box A checked. Basis is provided to the IRS. (Line 12)

"Gain or loss (-)" is NOT reported to the IRS.

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

1c- Date sold or disposed	Quantity	1d- Proceeds & 6- Reported (G)ross or (N)et	1b- Date acquired	1e- Cost or other basis	1f- Accrued mkt disc (D) & 1g- Wash sale loss disallowed (W)	7- Loss not allowed (X) also not reported (Z)	Gain or loss(-) & Additional information
BORQS TECHNOLOGIES INC COM / CUSIP: G1466B103 / Symbol: BRQS							
06/11/20	250.000	459.96	06/10/20	550.00	...	-90.04	Sale
CHINA CERAMICS CO LTD 1:3 R/S 9/3/20 G2113X159 / CUSIP: G2113X134 / Symbol:							
05/20/20	2,800.000	2,995.88	05/20/20	3,554.82	...	-558.94	Sale
05/20/20	1,324.000	1,496.18	Various	1,588.67	92.49 W	0.00	Total of 2 transactions
	<b>Security total:</b>	<b>4,492.06</b>		<b>5,143.49</b>	<b>92.49 W</b>	<b>-558.94</b>	
CHINA SXT PHARMACEUTICALS INC COM / CUSIP: G2161P108 / Symbol: SXTC							
06/11/20	1,000.000	453.87	06/10/20	521.60	...	-67.73	Sale
MALLINCKRODT PLC COM / CUSIP: G5785G107 / Symbol: MNKKQ							
02/26/20	389.000	1,890.45	02/25/20	2,069.48	...	-179.03	Sale
NABRIVA THERAPEUTICS PLC 1:10 R/S 12/3/20 G63637113 / CUSIP: G63637105 / Symbol:							
05/29/20	500.000	564.93	05/29/20	445.00	...	119.93	Sale
STONECO LTD COM / CUSIP: G85158106 / Symbol: STNE							
05/26/20	200.000	6,199.83	05/26/20	6,020.00	...	179.83	Sale
WAH FU EDUCATION GROUP LIMITED COM / CUSIP: G94184101 / Symbol: WAFU							
06/11/20	8,400.000	80,380.90	Various	78,034.33	...	2,346.57	Total of 10 transactions
ALPHABET INC GOOG Oct 23 2020 1700.0 Call / CUSIP: / Symbol: GOOG 10/23/20 C 1700.000							
10/01/20	6.000	907.99	Various	858.99	...	49.00	Option sale
SUPERCOM LTD NEW COM / CUSIP: M87095119 / Symbol: SPCB							
06/08/20	1,500.000	3,779.74	Various	3,495.09	...	284.65	Total of 2 transactions
06/08/20	1,500.000	3,734.74	06/08/20	3,720.00	55.09 W	69.83	Sale
	<b>Security total:</b>	<b>7,514.48</b>		<b>7,215.09</b>	<b>55.09 W</b>	<b>354.48</b>	
NIO INC NIO Oct 16 2020 22.0 Call / CUSIP: / Symbol: NIO 10/16/20 C 22.000							
10/12/20	32.000	2,058.64	10/09/20	2,197.25	...	-138.61	Option sale
NVIDIA CORP NVDA Nov 20 2020 610.0 Call / CUSIP: / Symbol: NVDA 11/20/20 C 610.000							
11/18/20	1.000	94.34	11/13/20	180.66	...	-86.32	Option sale

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TD Ameritrade Clearing, Inc.

Account 497253492

## Proceeds from Broker and Barter Exchange Transactions

2020 1099-B\* OMB No. 1545-0715

(continued)

01/14/2021

**SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS [Ordinary gains or losses are identified in the Additional information column] (Lines 2 & 5)**

Report on Form 8949, Part I with Box A checked. Basis is provided to the IRS. (Line 12)

"Gain or loss (-)" is NOT reported to the IRS.

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

1c- Date sold or disposed	Quantity	1d- Proceeds & 6- Reported (G)ross or (N)et	1b- Date acquired	1e- Cost or other basis	1f- Accrued mkt disc (D) & 1g- Wash sale loss disallowed (W)	Gain or loss(-) & 7- Loss not allowed (X) also not reported (Z)	Additional information
PAYPAL HOLDINGS INC PYPL Oct 23 2020 205.0 Call / CUSIP: / Symbol: PYPL 10/23/20 C 205.000							
10/14/20	5.000	2,696.61	10/14/20	2,003.32	...	693.29	Option sale
10/14/20	2.000	668.66	10/14/20	831.33	162.67 W	0.00	Option sale
10/16/20	7.000	3,395.25	Various	2,732.32	...	662.93	Total of 2 transactions
	<b>Security total:</b>	<b>6,760.52</b>		<b>5,566.97</b>	<b>162.67 W</b>	<b>1,356.22</b>	
NAKED BRAND GROUP LTD COM / CUSIP: Q6519T117 / Symbol: NAKD							
06/09/20	2,000.000	3,399.68	06/09/20	3,280.00	...	119.68	Sale
SPDR S&P500 ETF TRUST SPY Oct 09 2020 336.0 Put / CUSIP: / Symbol: SPY 10/09/20 P 336.000							
10/06/20	10.000	1,493.31	10/05/20	2,686.64	...	-1,193.33	Option sale
SORRENTO THERAPEUTICS INC SRNE Sep 18 2020 8.0 Call / CUSIP: / Symbol: SRNE 09/18/20 C 8.000							
09/17/20	5.000	721.64	09/17/20	653.33	...	68.31	Option sale
TESLA INC TSLA Nov 20 2020 505.0 Call / CUSIP: / Symbol: TSLA 11/20/20 C 505.000							
11/17/20	2.000	598.66	11/11/20	161.33	...	437.33	Option sale
TESLA INC TSLA Nov 20 2020 485.0 Put / CUSIP: / Symbol: TSLA 11/20/20 P 485.000							
11/18/20	3.000	3,957.91	11/18/20	7,051.99	...	-3,094.08	Option sale
CASTOR MARITIME INC COM / CUSIP: Y1146L109 / Symbol: CTRM							
02/21/20	1,000.000	1,054.37	Various	1,210.00	155.63 W	0.00	Total of 2 transactions
03/11/20	2,000.000	1,424.73	Various	1,969.63	...	-544.90	Sale
	<b>Security total:</b>	<b>2,479.10</b>		<b>3,179.63</b>	<b>155.63 W</b>	<b>-544.90</b>	
TOP SHIPS INC 1:25 R/S 8/10/20 Y889Y180 / CUSIP: Y889Y164 / Symbol:							
03/04/20	3,468.000	1,248.03	03/03/20	964.10	...	283.93	Sale
03/20/20	4,500.000	517.40	03/05/20	1,012.05	494.65 W	0.00	Sale
04/07/20	4,500.000	1,551.04	04/06/20	1,472.09	...	78.95	Sale
04/07/20	5,000.000	1,649.36	04/06/20	1,404.88	42.07 W	286.55	Sale
	<b>Security total:</b>	<b>4,965.83</b>		<b>4,853.12</b>	<b>536.72 W</b>	<b>649.43</b>	
<b>Totals :</b>		<b>3,928,134.16</b>		<b>4,095,031.02</b>	<b>147,724.18 W</b>	<b>-19,172.68</b>	

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TD Ameritrade Clearing, Inc.

Account 497253492

**Proceeds from Broker and Barter Exchange Transactions**

2020 1099-B\* OMB No. 1545-0715

(continued)

01/14/2021

**SHORT TERM TRANSACTIONS FOR NONCOVERED TAX LOTS [Ordinary gains or losses are identified in the Additional information column] (Line 5)**

Report on Form 8949, Part I with Box B checked. Basis is NOT provided to the IRS. (Line 12)

"Date acquired," "Cost or other basis," "Accrued market discount," "Wash sale loss disallowed" and "Gain or loss (-)" are NOT reported to the IRS.

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

1c- Date sold or disposed	Quantity	1d- Proceeds & 6- Reported (G)ross or (N)et	Date acquired	Cost or other basis	Accrued mkt disc (D) & Wash sale loss disallowed (W)	Gain or loss(-) & 7- Loss not allowed (X) also not reported (Z)	Additional information
CREDIT SUISSE NASSAU ETN / CUSIP: 22542D258 / Symbol: TVIXF							
06/11/20	1,100.000	224,734.89	Various	222,999.46	...	1,735.43	Total of 11 transactions
06/11/20	150.000	31,197.29	Various	31,476.00	278.71 W	0.00	Total of 2 transactions
06/12/20	740.000	156,855.67	Various	155,955.64	...	900.03	Total of 8 transactions
06/12/20	5,924.000	1,190,191.14	Various	1,311,235.15	119,629.98 W	-1,414.03	Total of 64 transactions
<b>Security total:</b>		<b>1,602,978.99</b>		<b>1,721,666.25</b>	<b>119,908.69 W</b>	<b>1,221.43</b>	
<b>Totals :</b>		<b>1,602,978.99</b>		<b>1,721,666.25</b>	<b>119,908.69 W</b>	<b>1,221.43</b>	

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TD Ameritrade Clearing, Inc.

Account 497253492

**Detail for Dividends and Distributions**

2020

01/14/2021

*This section of your tax information statement contains the payment level detail of your taxable dividends, capital gains distributions, exempt-interest dividends, nondividend distributions and liquidation distributions. Also shown are the fair market values of any taxable stock dividends or noncash liquidation distributions.*

*Federal, state and foreign tax withheld and investment expenses are presented as negative amounts but do not net against the reportable income totals. All amounts are grouped by security, with the transactions listed in chronological order. Subtotals for each security are provided. For situations in which the tax character of a distribution (or part thereof) is different than at the time it was paid, endnotes are provided for further explanation.*

*Note that a payment characterized as a "Qualified dividend" is only issuer-qualified. Reallocation of a dividend and its tax character is determined by the issuer.*

Security description	CUSIP and/or symbol	State	Date	Amount	Transaction type	Notes
GENERAL ELECTRIC CO COM	369604103 GE		07/27/20	0.01	Qualified dividend	
			10/26/20	0.01	Qualified dividend	
				<b>0.02</b>	<b>Total Dividends &amp; distributions</b>	
				<b>0.02</b>	<b>Total Dividends &amp; distributions</b>	

TD Ameritrade Clearing, Inc.

Account 497253492

**Detail for Interest Income**

2020

01/14/2021

*This section of your tax information statement contains the payment level detail of taxable interest and associated bond premium. Market discount will be shown here only if you have elected to recognize it currently rather than at the time of sale or maturity. Bond premium and market discount for covered tax lots are totaled on Form 1099-INT and reported to the IRS. For noncovered tax lots, they are totaled in the Adjustments to Interest and Original Issue Discount and are not reported to the IRS.*

*To provide a complete picture of activity for each investment, we also include here nonreportable transactions such as accrued interest paid on purchases and payment or receipt of nonqualified interest. Other amounts, such as federal, state and foreign tax withheld and investment expenses are shown as negative amounts but do not net against the reportable income totals.*

<b>Security description</b>	<b>CUSIP and/or symbol</b>	<b>Date</b>	<b>Amount</b>	<b>Transaction type</b>	<b>Notes</b>
Interest Credited		05/29/20	0.01	Credit interest	
		06/30/20	0.07	Credit interest	
		12/31/20	0.01	Credit interest	
			0.09	Total Interest	
FDIC INSURED DEPOSIT ACCOUNT CORE NOT COVERED BY SIPC	9ZZZFD104 MMDA1	02/29/20	0.01	Interest- money mkt	
			<b>0.10</b>	<b>Total Interest</b>	

TD Ameritrade Clearing, Inc.

Account 497253492

**Detail for Miscellaneous Income**

2020

01/14/2021

*This section of your tax information statement contains various payments and proceeds you received during the year from rents, royalties, and certain other income types. We also call your attention to the varying thresholds for reporting on Form 1099-MISC. In general, if there is an amount of \$10 or more associated with boxes 2 or 8, it is reportable. All other box amounts must be reported if they are \$600 or more. Thus, it is possible to have a \$12 item reported in Box 2 for Royalties, but an amount of \$500 of Other Income not reported in Box 3., although each item is taxable income to you.*

<b>Security description</b>	<b>CUSIP and/or symbol</b>	<b>Date</b>	<b>Amount</b>	<b>Transaction type</b>	<b>Notes</b>
Offers and Promotions		05/19/20	100.00	Other income	
			<b>100.00</b>	<b>Total Miscellaneous income</b>	

TD Ameritrade Clearing, Inc.

Account 497253492

**Fees and Expenses**

2020

01/14/2021

*This section of your tax information statement contains the detail of fees and investment expenses that are not accounted for in amounts reportable to the IRS on the various Forms 1099. You may wish to consult with your tax advisor, the IRS or your state tax authority regarding the proper treatment.*

*These amounts are provided here to facilitate an accounting of all amounts received during the year and are totaled in the Reconciliations, Fees, Expenses and Expenditures found in the Summary Information at the beginning of the statement.*

Description	CUSIP and/or symbol	Date	Amount	Transaction type	Notes
Interest Charged		02/28/20	-0.22	Margin interest paid	
		03/31/20	-12.27	Margin interest paid	
		04/30/20	-26.51	Margin interest paid	
		05/29/20	-62.35	Margin interest paid	
		06/30/20	-66.89	Margin interest paid	
		09/30/20	-0.55	Margin interest paid	
		10/30/20	-0.67	Margin interest paid	
		11/30/20	-32.04	Margin interest paid	
		12/31/20	-115.16	Margin interest paid	
			-316.66	Total Margin interest paid	
			<b>-316.66</b>	<b>Total Margin interest paid</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.

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

**Backup Withholding.** Shows backup withholding. Generally, a payer must backup withhold if you did not furnish your taxpayer identification number. See Form W-9 and Pub. 505 for more information. Report this amount on your income tax return as tax withheld.

**Nominees.** If this 1099 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 2019 General Instructions for Certain Information Returns.

**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.

**Keep tax documents for your records.****1099-DIV 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 this 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.

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

**Line 1b.** Shows the portion of the amount in line 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.

**Line 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 lines 2c and 2d and your only capital gains and losses are capital gain distributions, you may be able to report the amounts shown in line 2a on your Form 1040 or 1040-SR rather than Schedule D. See the Instructions for Forms 1040 and 1040-SR.

**Line 2b.** Shows the portion of the amount in line 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).

**Line 2c.** Shows the portion of the amount in line 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.

**Line 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).

**Line 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.

**Line 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.

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

**Instructions for Recipient**

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

**Line 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 and 1040-SR.

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

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

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

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

**Lines 13-15.** State income tax withheld reporting lines. Nominees. If this form includes amounts belonging to another person, you are considered a nominee recipient. You must file Form 1099-DIV (with a Form 1096) with the IRS for each of the other owners to show their share of the income, and you must furnish a Form 1099-DIV to each. 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. 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 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.

**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 line is checked, the payer is reporting on this 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.

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

**Line 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 Forms 1040 and 1040-SR to see where to take the deduction.

**Line 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 line 1. See the instructions above for a taxable covered security acquired at a premium.

**Line 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. Include this amount on your income tax return as tax withheld.

**Line 5.** Any amount shown is your share of investment expenses of a singleclass REMIC. This amount is included in line 1. Note: This amount is not deductible.

**Line 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.

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

**Line 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 Forms 1040 and 1040-SR. This

amount may be subject to backup withholding. See Line 4 above. See the instructions above for a tax-exempt covered security acquired at a premium.

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

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

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

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

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

**Line 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). **Lines 15-17.** State tax withheld reporting lines. Nominees. If this form includes amounts belonging to another person(s), you are considered a nominee recipient. Complete a Form 1099-INT for each of the other owners showing the income 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(s) as the "recipient." File Form(s) 1099-INT 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. 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 is also required when your broker knows or has reason to know that a corporation in which you own stock has had a reportable change in control or capital structure. You may be required to recognize gain from the receipt of cash, stock, or other property that was exchanged for the corporation's stock. If your broker reported this type of transaction to you, the corporation is identified in box 1a.

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

**Instructions for Recipient**

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

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

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

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

**Line 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).

**Line 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.

**Line 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.

**Line 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).

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

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

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

**Line 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.

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

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

**Line 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.

**Line 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.

**Line 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.

**Line 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.

**Line 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.

**Lines 14-16.** Show state(s)/local income tax information.

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

**1099-MISC Instructions for Recipient**

**Line 2.** Report royalties from oil, gas, or mineral properties, copyrights, and patents on Schedule E (Form 1040). However, report payments for a working interest as explained in the box 7 instructions. For royalties on timber, coal, and iron ore, see Pub. 544.

**Line 3.** Generally, report this amount on the "Other income" line on Form 1040 (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).

**Line 4.** See "Backup Withholding" section.

**Line 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 1040NR).

**Lines 16-18.** Show state or local income tax withheld from the payments.