



Schwab One® Account of  
APURV KAMALAPURI

Account Number  
4184-5079

**TAX YEAR 2020  
FORM 1099 COMPOSITE  
& YEAR-END SUMMARY**

Date Prepared: February 12, 2021

## Recipient's Name and Address

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02/12-00000-YEIK1820 \*1  
APURV KAMALAPURI  
775 OAKLAND HILLS CIR APT 213  
LAKE MARY FL 32746

## Items for Attention

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- Schwab provides your Form 1099 tax information as early and as accurately as possible. However, some issuers may provide new information about their securities after the IRS Form 1099 mailing deadline. If Schwab receives updated information from issuers of securities you hold, we are required by the IRS to send you a CORRECTED Form 1099 with changes clearly highlighted. Please plan your tax preparation accordingly.
- Please refer to the enclosed insert(s) for additional information.

## Important Official IRS Form(s) 1099 Enclosed

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The report in this package contains your income tax return documents and year-end summary. Please retain this package for tax preparation purposes.

For tax advice, please consult with a qualified tax advisor, CPA, or financial planner.

### To contact Schwab:

If you have any questions or need additional information about your Form(s) 1099 or your year-end summary, please call 1-800-435-4000, 24 hours a day, 7 days a week. We're always here for you.

### To contact the IRS:

Tax questions for individuals: 1-800-829-1040

Tax questions for businesses: 1-800-829-4933

To order tax forms or publications: 1-800-829-3676

To pay taxes by credit card: 1-888-272-9829

For additional information and to print forms and publications, visit [www.irs.gov](http://www.irs.gov).



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**TAX YEAR 2020  
FORM 1099 COMPOSITE  
& YEAR-END SUMMARY**

Date Prepared: February 12, 2021

Your Form 1099 Composite may include the following Internal Revenue Service (IRS) forms: 1099-DIV, 1099-INT, 1099-MISC, 1099-B and 1099-OID. You'll only receive the form(s) that apply to your particular financial situation and please keep for your records. Please note that information in the Year-End Summary is not provided to the IRS. It is provided to you as additional tax reporting information you may need to complete your tax return.

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**TAX YEAR 2020**  
**FORM 1099 COMPOSITE**

Date Prepared: February 12, 2021

**Recipient's Name and Address**

APURV KAMALAPURI  
775 OAKLAND HILLS CIR APT 213  
LAKE MARY FL 32746

Taxpayer ID Number: \*\*\*-\*\*-5661

Account Number: 4184-5079

**Payer's Name and Address**

CHARLES SCHWAB & CO., INC.  
211 MAIN STREET  
SAN FRANCISCO, CA 94105

Telephone Number: (800) 435-4000

Federal ID Number: 94-1737782

**Dividends and Distributions — 2020**

**Form 1099-DIV**

Department of the Treasury-Internal Revenue Service

Copy B for Recipient (OMB No. 1545-0110)

Box	Description	Amount	Total
1a	Total Ordinary Dividends (Includes amount shown in box 1b)	\$	15.79
1b	Qualified Dividends	\$ 15.79	
2a	Total Capital Gain Distributions (Includes amounts shown in boxes 2b, 2c and 2d)	\$	0.00
2b	Unrecap. Sec. 1250 Gain	\$ 0.00	
2c	Section 1202 Gain	\$ 0.00	
2d	Collectibles (28%) Gain	\$ 0.00	
3	Nondividend Distributions	\$	0.00
4	<b>Federal Income Tax Withheld</b>	<b>\$</b>	<b>0.00</b>
5	Section 199A Dividends	\$	0.00
6	Investment Expenses	\$	0.00
7	Foreign Tax Paid	\$	0.00
8	Foreign Country or U.S. Possession		
9	Cash Liquidation Distributions	\$	0.00
10	Noncash Liquidation Distributions	\$	0.00
11	Exempt-interest Dividends	\$	0.00
12	Specified Private Activity Bond Interest Dividends	\$	0.00
13	State		
14	State Identification No.		
15	State Tax Withheld	\$	0.00
	FATCA Filing Requirement <input type="checkbox"/>		

This is important tax information and is being furnished to the Internal Revenue Service. If you are required to file a return, a negligence penalty or other sanction may be imposed on you if this income is taxable and the IRS determines that it has not been reported.



## INSTRUCTIONS FOR RECIPIENTS OF FORM 1099 1099-DIV: Dividends and Distributions

**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.

**Box 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.

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

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

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

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

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

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

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

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

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

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

**Box 7.** Shows the foreign tax that you may be able to claim as a deduction or a credit on Form 1040 or 1040-SR. See the Instructions for Forms 1040 and 1040-SR.

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

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

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

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

**Boxes 13-15.** State income tax withheld reporting boxes.

**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).



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**Recipient's Name and Address**

APURV KAMALAPURI  
775 OAKLAND HILLS CIR APT 213  
LAKE MARY FL 32746

Taxpayer ID Number: \*\*\*-\*\*-5661

Account Number: 4184-5079

**Payer's Name and Address**

CHARLES SCHWAB & CO., INC.  
211 MAIN STREET  
SAN FRANCISCO, CA 94105

Telephone Number: (800) 435-4000

Federal ID Number: 94-1737782

**Interest Income — 2020**

**Form 1099-INT**

Department of the Treasury-Internal Revenue Service

Copy B for Recipient (OMB No. 1545-0112)

Box	Description		Total
1	Interest Income	\$	0.11
3	Interest on U.S. Savings Bonds and Treasury Obligations	\$	0.00
4	<b>Federal Income Tax Withheld</b>	<b>\$</b>	<b>0.00</b>
5	Investment Expenses	\$	0.00
6	Foreign Tax Paid	\$	0.00
7	Foreign Country or U.S. Possession		
8	Tax-Exempt Interest	\$	0.00
9	Specified Private Activity Bond Interest	\$	0.00
10	Market Discount	\$	0.00
11	Bond Premium	\$	0.00
12	Bond Premium on Treasury Obligations	\$	0.00
13	Bond Premium on Tax-Exempt Bond	\$	0.00
14	Tax-Exempt and Tax Credit Bond CUSIP No.		
15	State		
16	State Identification No.		
17	State Tax Withheld	\$	0.00
	FATCA Filing Requirement <input type="checkbox"/>		

Amount in Box 9 Specified Private Activity Bond Interest subject to Alternative Minimum Tax is already included in Box 8 Tax-Exempt Interest. Both market discount and bond premium reported for covered taxable and tax-exempt bonds. Market discount is only reported if you submitted a written election to include in income currently.

**This is important tax information and is being furnished to the Internal Revenue Service. If you are required to file a return, a negligence penalty or other sanction may be imposed on you if this income is taxable and the IRS determines that it has not been reported.**



## INSTRUCTIONS FOR RECIPIENTS OF FORM 1099

### 1099-INT: Interest Income

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 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.

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

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

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

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

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

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

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

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

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

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

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

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

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

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

**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).



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TAX YEAR 2020  
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775 OAKLAND HILLS CIR APT 213  
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Taxpayer ID Number: \*\*\*-\*\*-5661

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**Payer's Name and Address**

CHARLES SCHWAB & CO., INC.  
211 MAIN STREET  
SAN FRANCISCO, CA 94105

Telephone Number: (800) 435-4000

Federal ID Number: 94-1737782

**Proceeds from Broker Transactions — 2020**

**Form 1099-B**

Department of the Treasury-Internal Revenue Service

Copy B for Recipient (OMB No. 1545-0715)

**SHORT-TERM TRANSACTIONS FOR WHICH BASIS IS REPORTED TO THE IRS** - Report on Form 8949, Part I, with **Box A** checked.

1a-Description of property (Example 100 sh. XYZ Co.) CUSIP Number / Symbol	**	1b-Date acquired  1c-Date sold or disposed	1d-Proceeds  6-Reported to IRS: Gross Proceeds (except where indicated)	1e-Cost or other basis	1f-Accrued Market Discount  1g-Wash Sale Loss Disallowed	Realized Gain or (Loss)	4-Federal Income tax withheld
10 ALPHA PRO TECH LTD 020772109 / APT	S	07/17/20 07/17/20	\$ 211.20	\$ 209.40	-- \$ --	1.80 \$	0.00
<b>Security Subtotal</b>			<b>\$ 211.20</b>	<b>\$ 209.40</b>	<b>-- \$</b>	<b>1.80 \$</b>	<b>0.00</b>
1 ALPINE IMMUNE SCIENCES I 02083G100 / ALPN	S	06/18/20 06/18/20	\$ 10.65	\$ 11.05	\$ -- \$ 0.40	0.00 \$	0.00
1 ALPINE IMMUNE SCIENCES I 02083G100 / ALPN	S	06/18/20 06/18/20	\$ 11.95	\$ 12.34	\$ -- \$ 0.39	0.00 \$	0.00
9 ALPINE IMMUNE SCIENCES I 02083G100 / ALPN	S	06/18/20 06/18/20	\$ 98.60	\$ 100.70	\$ -- \$ 2.10	0.00 \$	0.00
1 ALPINE IMMUNE SCIENCES I 02083G100 / ALPN	S	06/19/20 06/19/20	\$ 12.65	\$ 13.43	\$ -- \$ 0.78	0.00 \$	0.00
1 ALPINE IMMUNE SCIENCES I 02083G100 / ALPN	S	06/19/20 06/19/20	\$ 13.00	\$ 12.91	-- \$ --	0.09 \$	0.00

FATCA Filing Requirement

Please see the "Notes for Your Form 1099-B" section for additional explanation of this Form 1099-B report.

This is important tax information and is being furnished to the Internal Revenue Service. If you are required to file a return, a negligence penalty or other sanction may be imposed on you if this income is taxable and the IRS determines that it has not been reported.



## INSTRUCTIONS FOR RECIPIENTS OF FORM 1099 1099-B: Proceeds from Broker Transactions

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

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

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

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

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

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

**Box 1a.** Shows a brief description of the item or service for which amounts are being reported. For a corporation that had a reportable change in control or capital structure, this box may show the class of stock as C (common), P (preferred), or O (other).

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

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

**Box 1d.** Shows the cash proceeds, reduced by any commissions or transfer taxes related to the sale, for transactions involving stocks, debt, commodities, forward contracts, non-Section 1256 option contracts, or securities futures contracts. May show the proceeds from the disposition of your interest(s) in a widely held fixed investment trust. May also show the aggregate amount of cash and the fair market value of any stock or other property received in a reportable change in control or capital structure arising from the corporate transfer of property to a foreign corporation. Losses on forward contracts or non-Section 1256 option contracts are shown in parentheses. This box does not include proceeds from regulated futures contracts or Section 1256 option contracts. Report this amount on Form 8949 or on Schedule D (Form 1040 or 1040-SR) (whichever is applicable) as explained in the Instructions for Schedule D (Form 1040 or 1040-SR).

**Box 1e.** Shows the cost or other basis of securities sold. If the securities were acquired through the exercise of a noncompensatory option granted or acquired on or after January 1, 2014, the basis has been adjusted to reflect your option premium. If the securities were acquired through the exercise of a noncompensatory option granted or acquired before January 1, 2014, your broker is permitted, but not required, to adjust the basis to

reflect your option premium. If the securities were acquired through the exercise of a compensatory option, the basis has not been adjusted to include any amount related to the option that was reported to you on a Form W-2. If box 5 is checked, box 1e may be blank. See the Instructions for Form 8949, Instructions for Schedule D (Form 1040 or 1040-SR), or Pub. 550 for details.

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

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

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

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

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

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

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

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

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

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

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





Schwab One® Account of  
APURV KAMALAPURI

Account Number  
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TAX YEAR 2020  
FORM 1099 COMPOSITE

Taxpayer ID Number: \*\*\*-\*\*-5661

Date Prepared: February 12, 2021

Proceeds from Broker Transactions — 2020 (continued)

Form 1099-B

Department of the Treasury-Internal Revenue Service

Copy B for Recipient (OMB No. 1545-0715)

SHORT-TERM TRANSACTIONS FOR WHICH BASIS IS REPORTED TO THE IRS - Report on Form 8949, Part I, with **Box A** checked.

1a-Description of property (Example 100 sh. XYZ Co.) CUSIP Number / Symbol	**	1b-Date acquired	1c-Date sold or disposed	1d-Proceeds 6-Reported to IRS: Gross Proceeds (except where indicated)	1e-Cost or other basis	1f-Accrued Market Discount 1g-Wash Sale Loss Disallowed	Realized Gain or (Loss)	4-Federal Income tax withheld
4 ALPINE IMMUNE SCIENCES I 02083G100 / ALPN	S	06/19/20	06/19/20	\$ 51.80	\$ 52.90	\$ -- 1.10	\$ 0.00	\$ 0.00
10 ALPINE IMMUNE SCIENCES I 02083G100 / ALPN	S	06/19/20	06/19/20	\$ 129.44	\$ 135.35	\$ -- 5.91	\$ 0.00	\$ 0.00
20 ALPINE IMMUNE SCIENCES I 02083G100 / ALPN	S	06/19/20	06/19/20	\$ 255.69	\$ 262.13	\$ -- --	\$ (6.44)	\$ 0.00
<b>Security Subtotal</b>				<b>\$ 583.78</b>	<b>\$ 600.81</b>	<b>\$ -- 10.68</b>	<b>\$ (6.35)</b>	<b>\$ 0.00</b>
5 APPLE INC 037833100 / AAPL	S	06/22/20	06/22/20	\$ 1,789.96	\$ 1,790.08	\$ -- --	\$ (0.12)	\$ 0.00
36 APPLE INC 037833100 / AAPL	S	06/22/20	06/22/20	\$ 12,887.72	\$ 12,888.54	\$ -- --	\$ (0.82)	\$ 0.00
<b>Security Subtotal</b>				<b>\$ 14,677.68</b>	<b>\$ 14,678.62</b>	<b>\$ -- --</b>	<b>\$ (0.94)</b>	<b>\$ 0.00</b>
100 ATLAS FINL HOLDINGS IN F G06207115 / AFHIF	S	06/17/20	06/17/20	\$ 103.00	\$ 118.43	\$ -- --	\$ (15.43)	\$ 0.00
751 ATLAS FINL HOLDINGS IN F G06207115 / AFHIF	S	06/17/20	06/17/20	\$ 913.42	\$ 1,123.55	\$ -- --	\$ (210.13)	\$ 0.00
1,033 ATLAS FINL HOLDINGS IN F G06207115 / AFHIF	S	06/17/20	06/17/20	\$ 938.67	\$ 1,130.88	\$ -- 158.29	\$ (33.92)	\$ 0.00

FATCA Filing Requirement

Please see the "Notes for Your Form 1099-B" section for additional explanation of this Form 1099-B report.

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Schwab One® Account of  
APURV KAMALAPURI

Account Number  
4184-5079

TAX YEAR 2020  
FORM 1099 COMPOSITE

Taxpayer ID Number: \*\*\*-\*\*-5661

Date Prepared: February 12, 2021

Proceeds from Broker Transactions — 2020 (continued)

Form 1099-B

Department of the Treasury-Internal Revenue Service

Copy B for Recipient (OMB No. 1545-0715)

SHORT-TERM TRANSACTIONS FOR WHICH BASIS IS REPORTED TO THE IRS - Report on Form 8949, Part I, with **Box A** checked.

1a-Description of property (Example 100 sh. XYZ Co.) CUSIP Number / Symbol	**	1b-Date acquired	1c-Date sold or disposed	1d-Proceeds 6-Reported to IRS: Gross Proceeds (except where indicated)	1e-Cost or other basis	1f-Accrued Market Discount 1g-Wash Sale Loss Disallowed	Realized Gain or (Loss)	4-Federal Income tax withheld
1,033 ATLAS FINL HOLDINGS IN F G06207115 / AFHIF	S	06/17/20	06/17/20	\$ 961.70	\$ 1,091.08	\$ -- 129.38	\$ 0.00	\$ 0.00
1,033 ATLAS FINL HOLDINGS IN F G06207115 / AFHIF	S	06/17/20	06/17/20	\$ 971.00	\$ 1,032.90	\$ -- 61.90	\$ 0.00	\$ 0.00
<b>Security Subtotal</b>				<b>\$ 3,887.79</b>	<b>\$ 4,496.84</b>	<b>\$ -- 349.57</b>	<b>\$ (259.48)</b>	<b>\$ 0.00</b>
2,000 AYRO INC 054748108 / AYRO	S	07/06/20	07/06/20	\$ 11,068.16	\$ 11,019.80	\$ -- --	\$ 48.36	\$ 0.00
<b>Security Subtotal</b>				<b>\$ 11,068.16</b>	<b>\$ 11,019.80</b>	<b>\$ -- --</b>	<b>\$ 48.36</b>	<b>\$ 0.00</b>
10 BLINK CHARGING CO 09354A100 / BLNK	S	11/24/20	12/17/20	\$ 324.49	\$ 284.25	\$ -- --	\$ 40.24	\$ 0.00
<b>Security Subtotal</b>				<b>\$ 324.49</b>	<b>\$ 284.25</b>	<b>\$ -- --</b>	<b>\$ 40.24</b>	<b>\$ 0.00</b>
10 BOXLIGHT CORP 00500 CLASS 103197109 / BOXL	S	07/14/20	07/14/20	\$ 22.32	\$ 22.39	\$ -- 0.07	\$ 0.00	\$ 0.00
10 BOXLIGHT CORP 00500 CLASS 103197109 / BOXL	S	07/16/20	07/16/20	\$ 38.75	\$ 38.31	\$ -- 0.06	\$ 0.50	\$ 0.00
10 BOXLIGHT CORP 00500 CLASS 103197109 / BOXL	S	07/16/20	07/16/20	\$ 41.55	\$ 40.82	\$ -- --	\$ 0.73	\$ 0.00

FATCA Filing Requirement

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Schwab One® Account of  
APURV KAMALAPURI

Account Number  
4184-5079

TAX YEAR 2020  
FORM 1099 COMPOSITE

Taxpayer ID Number: \*\*\*-\*\*-5661

Date Prepared: February 12, 2021

Proceeds from Broker Transactions — 2020 (continued)

Form 1099-B

Department of the Treasury-Internal Revenue Service

Copy B for Recipient (OMB No. 1545-0715)

SHORT-TERM TRANSACTIONS FOR WHICH BASIS IS REPORTED TO THE IRS - Report on Form 8949, Part I, with **Box A** checked.

1a-Description of property (Example 100 sh. XYZ Co.) CUSIP Number / Symbol	**	1b-Date acquired	1c-Date sold or disposed	1d-Proceeds 6-Reported to IRS: Gross Proceeds (except where indicated)	1e-Cost or other basis	1f-Accrued Market Discount 1g-Wash Sale Loss Disallowed	Realized Gain or (Loss)	4-Federal Income tax withheld
10 BOXLIGHT CORP 00500 CLASS 103197109 / BOXL	S	07/16/20	07/16/20	\$ 45.23	\$ 44.45	-- \$	0.78 \$	0.00
10 BOXLIGHT CORP 00500 CLASS 103197109 / BOXL	S	07/16/20	07/16/20	\$ 45.40	\$ 44.90	-- \$	0.50 \$	0.00
11 BOXLIGHT CORP 00500 CLASS 103197109 / BOXL	S	07/16/20	07/16/20	\$ 40.15	\$ 39.89	\$ -- \$ 0.11	0.37 \$	0.00
<b>Security Subtotal</b>				<b>\$ 233.40</b>	<b>\$ 230.76</b>	<b>\$ -- \$ 0.24</b>	<b>2.88 \$</b>	<b>0.00</b>
1 BROADWAY FINL CORP 111444105 / BYFC	S	06/19/20	06/19/20	\$ 5.16	\$ 4.87	-- \$	0.29 \$	0.00
10 BROADWAY FINL CORP 111444105 / BYFC	S	06/19/20	06/19/20	\$ 53.50	\$ 53.30	-- \$	0.20 \$	0.00
10 BROADWAY FINL CORP 111444105 / BYFC	S	06/19/20	06/19/20	\$ 70.55	\$ 69.60	-- \$	0.95 \$	0.00
<b>Security Subtotal</b>				<b>\$ 129.21</b>	<b>\$ 127.77</b>	<b>\$ -- \$</b>	<b>1.44 \$</b>	<b>0.00</b>
53 CARVER BANCORP INC 146875604 / CARV	S	06/17/20	06/17/20	\$ 807.17	\$ 1,000.69	\$ -- \$ 193.52	0.00 \$	0.00
53 CARVER BANCORP INC 146875604 / CARV	S	06/17/20	06/17/20	\$ 1,020.44	\$ 1,184.28	\$ -- \$ 45.42	(118.42) \$	0.00

FATCA Filing Requirement

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Schwab One® Account of  
APURV KAMALAPURI

Account Number  
4184-5079

TAX YEAR 2020  
FORM 1099 COMPOSITE

Taxpayer ID Number: \*\*\*-\*\*-5661

Date Prepared: February 12, 2021

Proceeds from Broker Transactions — 2020 (continued)

Form 1099-B

Department of the Treasury-Internal Revenue Service

Copy B for Recipient (OMB No. 1545-0715)

SHORT-TERM TRANSACTIONS FOR WHICH BASIS IS REPORTED TO THE IRS - Report on Form 8949, Part I, with **Box A** checked.

1a-Description of property (Example 100 sh. XYZ Co.) CUSIP Number / Symbol	**	1b-Date acquired 1c-Date sold or disposed	1d-Proceeds 6-Reported to IRS: Gross Proceeds (except where indicated)	1e-Cost or other basis	1f-Accrued Market Discount 1g-Wash Sale Loss Disallowed	Realized Gain or (Loss)	4-Federal Income tax withheld
1 CARVER BANCORP INC 146875604 / CARV	S	06/18/20 06/18/20	\$ 13.43	\$ 16.42	-- \$	(2.99) \$	0.00
2 CARVER BANCORP INC 146875604 / CARV	S	06/18/20 06/18/20	\$ 26.46	\$ 32.27	-- \$	(5.81) \$	0.00
2 CARVER BANCORP INC 146875604 / CARV	S	06/18/20 06/18/20	\$ 29.04	\$ 34.94	-- \$	(5.90) \$	0.00
10 CARVER BANCORP INC 146875604 / CARV	S	06/18/20 06/18/20	\$ 143.55	\$ 171.03	-- \$	(27.48) \$	0.00
<b>Security Subtotal</b>			<b>\$ 2,040.09</b>	<b>\$ 2,439.63</b>	<b>-- \$</b> <b>\$ 238.94</b>	<b>(160.60) \$</b>	<b>0.00</b>
10 CELLEX THERAPEUTICS 15117B202 / CLDX	S	06/19/20 06/19/20	\$ 120.75	\$ 121.60	-- \$	(0.85) \$	0.00
<b>Security Subtotal</b>			<b>\$ 120.75</b>	<b>\$ 121.60</b>	<b>-- \$</b>	<b>(0.85) \$</b>	<b>0.00</b>
10 CHEGG INC 163092109 / CHGG	S	06/19/20 06/19/20	\$ 686.18	\$ 685.70	-- \$	0.48 \$	0.00
<b>Security Subtotal</b>			<b>\$ 686.18</b>	<b>\$ 685.70</b>	<b>-- \$</b>	<b>0.48 \$</b>	<b>0.00</b>
100 CHINA RAPID FIN LIMITXXXNAME CHA 16953Q204	S	06/23/20 06/23/20	\$ 365.99	\$ 392.00	-- \$	(26.01) \$	0.00

FATCA Filing Requirement

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Schwab One® Account of  
APURV KAMALAPURI

Account Number  
4184-5079

TAX YEAR 2020  
FORM 1099 COMPOSITE

Taxpayer ID Number: \*\*\*-\*\*-5661

Date Prepared: February 12, 2021

Proceeds from Broker Transactions — 2020 (continued)

Form 1099-B

Department of the Treasury-Internal Revenue Service

Copy B for Recipient (OMB No. 1545-0715)

SHORT-TERM TRANSACTIONS FOR WHICH BASIS IS REPORTED TO THE IRS - Report on Form 8949, Part I, with **Box A** checked.

1a-Description of property (Example 100 sh. XYZ Co.) CUSIP Number / Symbol	**	1b-Date acquired	1c-Date sold or disposed	1d-Proceeds 6-Reported to IRS: Gross Proceeds (except where indicated)	1e-Cost or other basis	1f-Accrued Market Discount 1g-Wash Sale Loss Disallowed	Realized Gain or (Loss)	4-Federal Income tax withheld
250 CHINA RAPID FIN LIMITXXXNAME CHA 16953Q204	S	06/23/20	06/23/20	\$ 909.98	\$ 920.00	\$ -- 10.02	\$ 0.00	\$ 0.00
750 CHINA RAPID FIN LIMITXXXNAME CHA 16953Q204	S	06/23/20	06/23/20	\$ 2,737.44	\$ 2,756.29	\$ -- 20.00	\$ 1.15	\$ 0.00
1,000 CHINA RAPID FIN LIMITXXXNAME CH 16953Q204	S	06/23/20	06/23/20	\$ 3,900.11	\$ 3,869.32	\$ -- --	\$ 30.79	\$ 0.00
<b>Security Subtotal</b>				<b>\$ 7,913.52</b>	<b>\$ 7,937.61</b>	<b>\$ -- 30.02</b>	<b>\$ 5.93</b>	<b>\$ 0.00</b>
2,000 CITIUS PHARMACEUTICALS I 17322U207 / CTXR	S	06/26/20	06/26/20	\$ 2,969.33	\$ 3,192.60	\$ -- 223.27	\$ 0.00	\$ 0.00
2,000 CITIUS PHARMACEUTICALS I 17322U207 / CTXR	S	06/26/20	06/26/20	\$ 3,169.93	\$ 3,383.27	\$ -- 213.34	\$ 0.00	\$ 0.00
2,000 CITIUS PHARMACEUTICALS I 17322U207 / CTXR	S	06/26/20	06/26/20	\$ 3,320.13	\$ 3,513.34	\$ -- 193.21	\$ 0.00	\$ 0.00
2,000 CITIUS PHARMACEUTICALS I 17322U207 / CTXR	S	06/26/20	06/26/20	\$ 3,719.92	\$ 3,797.28	\$ -- --	\$ (77.36)	\$ 0.00
2,000 CITIUS PHARMACEUTICALS I 17322U207 / CTXR	S	06/26/20	06/26/20	\$ 3,869.91	\$ 3,967.19	\$ -- 97.28	\$ 0.00	\$ 0.00

FATCA Filing Requirement

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Account Number  
4184-5079

TAX YEAR 2020  
FORM 1099 COMPOSITE

Taxpayer ID Number: \*\*\*-\*\*-5661

Date Prepared: February 12, 2021

Proceeds from Broker Transactions — 2020 (continued)

Form 1099-B

Department of the Treasury-Internal Revenue Service

Copy B for Recipient (OMB No. 1545-0715)

SHORT-TERM TRANSACTIONS FOR WHICH BASIS IS REPORTED TO THE IRS - Report on Form 8949, Part I, with **Box A** checked.

1a-Description of property (Example 100 sh. XYZ Co.) CUSIP Number / Symbol	**	1b-Date acquired	1c-Date sold or disposed	1d-Proceeds 6-Reported to IRS: Gross Proceeds (except where indicated)	1e-Cost or other basis	1f-Accrued Market Discount 1g-Wash Sale Loss Disallowed	Realized Gain or (Loss)	4-Federal Income tax withheld
4,000 CITIUS PHARMACEUTICALS I 17322U207 / CTXR	S	06/26/20	06/26/20	\$ 6,507.86	\$ 6,647.41	\$ -- 239.28	\$ 99.73	\$ 0.00
<b>Security Subtotal</b>				<b>\$ 23,557.08</b>	<b>\$ 24,501.09</b>	<b>\$ -- 966.38</b>	<b>\$ 22.37</b>	<b>\$ 0.00</b>
500 CLEANSARK INC 18452B209 / CLSK	S	06/29/20	06/29/20	\$ 1,742.06	\$ 1,745.00	\$ -- --	\$ (2.94)	\$ 0.00
1,500 CLEANSARK INC 18452B209 / CLSK	S	06/29/20	06/29/20	\$ 5,219.88	\$ 5,221.00	\$ -- --	\$ (1.12)	\$ 0.00
<b>Security Subtotal</b>				<b>\$ 6,961.94</b>	<b>\$ 6,966.00</b>	<b>\$ -- --</b>	<b>\$ (4.06)</b>	<b>\$ 0.00</b>
1 CLEARSIGN TECHNOLOGIES C 185064102 / CLIR	S	06/16/20	06/16/20	\$ 2.52	\$ 2.57	\$ -- 0.05	\$ 0.00	\$ 0.00
33 CLEARSIGN TECHNOLOGIES C 185064102 / CLIR	S	06/16/20	06/16/20	\$ 89.22	\$ 97.42	\$ -- 8.20	\$ 0.00	\$ 0.00
352 CLEARSIGN TECHNOLOGIES C 185064102 / CLIR	S	06/16/20	06/16/20	\$ 911.66	\$ 996.21	\$ -- 84.55	\$ 0.00	\$ 0.00
353 CLEARSIGN TECHNOLOGIES C 185064102 / CLIR	S	06/16/20	06/16/20	\$ 935.47	\$ 1,110.55	\$ -- 175.08	\$ 0.00	\$ 0.00
353 CLEARSIGN TECHNOLOGIES C 185064102 / CLIR	S	06/16/20	06/16/20	\$ 988.42	\$ 1,178.43	\$ -- 190.01	\$ 0.00	\$ 0.00

FATCA Filing Requirement

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Schwab One® Account of  
APURV KAMALAPURI

Account Number  
4184-5079

TAX YEAR 2020  
FORM 1099 COMPOSITE

Taxpayer ID Number: \*\*\*-\*\*-5661

Date Prepared: February 12, 2021

Proceeds from Broker Transactions — 2020 (continued)

Form 1099-B

Department of the Treasury-Internal Revenue Service

Copy B for Recipient (OMB No. 1545-0715)

SHORT-TERM TRANSACTIONS FOR WHICH BASIS IS REPORTED TO THE IRS - Report on Form 8949, Part I, with **Box A** checked.

1a-Description of property (Example 100 sh. XYZ Co.) CUSIP Number / Symbol	**	1b-Date acquired	1c-Date sold or disposed	1d-Proceeds 6-Reported to IRS: Gross Proceeds (except where indicated)	1e-Cost or other basis	1f-Accrued Market Discount 1g-Wash Sale Loss Disallowed	Realized Gain or (Loss)	4-Federal Income tax withheld
367 CLEARSIGN TECHNOLOGIES C 185064102 / CLIR	S	06/16/20	06/16/20	\$ 1,007.40	\$ 1,186.36	\$ -- 178.96	\$ 0.00	0.00
384 CLEARSIGN TECHNOLOGIES C 185064102 / CLIR	S	06/16/20	06/16/20	\$ 1,029.10	\$ 1,093.09	\$ -- 65.71	\$ 1.72	0.00
384 CLEARSIGN TECHNOLOGIES C 185064102 / CLIR	S	06/16/20	06/16/20	\$ 1,079.02	\$ 1,148.59	\$ -- 69.57	\$ 0.00	0.00
386 CLEARSIGN TECHNOLOGIES C 185064102 / CLIR	S	06/16/20	06/16/20	\$ 1,015.24	\$ 1,173.70	\$ -- 158.46	\$ 0.00	0.00
100 CLEARSIGN TECHNOLOGIES C 185064102 / CLIR	S	06/17/20	06/17/20	\$ 335.49	\$ 393.74	\$ -- --	\$ (58.25)	0.00
196 CLEARSIGN TECHNOLOGIES C 185064102 / CLIR	S	06/17/20	06/17/20	\$ 657.45	\$ 749.21	\$ -- --	\$ (91.76)	0.00
292 CLEARSIGN TECHNOLOGIES C 185064102 / CLIR	S	06/17/20	06/17/20	\$ 1,029.28	\$ 1,146.20	\$ -- 116.92	\$ 0.00	0.00
516 CLEARSIGN TECHNOLOGIES C 185064102 / CLIR	S	06/17/20	06/17/20	\$ 2,027.84	\$ 2,187.28	\$ -- 127.67	\$ (31.77)	0.00
<b>Security Subtotal</b>				<b>\$ 11,108.11</b>	<b>\$ 12,463.35</b>	<b>\$ -- \$ 1,175.18</b>	<b>\$ (180.06)</b>	<b>0.00</b>
300 CLEVELAND BIOLABS 185860202 / CBLI	S	06/26/20	06/26/20	\$ 1,324.47	\$ 1,326.43	\$ -- --	\$ (1.96)	0.00

FATCA Filing Requirement

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Schwab One® Account of  
APURV KAMALAPURI

Account Number  
4184-5079

TAX YEAR 2020  
FORM 1099 COMPOSITE

Taxpayer ID Number: \*\*\*-\*\*-5661

Date Prepared: February 12, 2021

Proceeds from Broker Transactions — 2020 (continued)

Form 1099-B

Department of the Treasury-Internal Revenue Service

Copy B for Recipient (OMB No. 1545-0715)

SHORT-TERM TRANSACTIONS FOR WHICH BASIS IS REPORTED TO THE IRS - Report on Form 8949, Part I, with **Box A** checked.

1a-Description of property (Example 100 sh. XYZ Co.) CUSIP Number / Symbol	**	1b-Date acquired	1c-Date sold or disposed	1d-Proceeds 6-Reported to IRS: Gross Proceeds (except where indicated)	1e-Cost or other basis	1f-Accrued Market Discount 1g-Wash Sale Loss Disallowed	Realized Gain or (Loss)	4-Federal Income tax withheld
1,700 CLEVELAND BIOLABS 185860202 / CBLI	S	06/26/20	06/26/20	\$ 7,480.00	\$ 7,527.76	-- \$	(47.76) \$	0.00
2,000 CLEVELAND BIOLABS 185860202 / CBLI	S	06/26/20	06/26/20	\$ 8,519.81	\$ 8,636.00	-- \$ 116.19	0.00 \$	0.00
<b>Security Subtotal</b>				<b>\$ 17,324.28</b>	<b>\$ 17,490.19</b>	<b>-- \$ \$ 116.19</b>	<b>(49.72) \$</b>	<b>0.00</b>
10 CYMABAY THERAPEUTICS 23257D103 / CBAY	S	07/23/20	07/23/20	\$ 48.24	\$ 44.37	-- \$	3.87 \$	0.00
<b>Security Subtotal</b>				<b>\$ 48.24</b>	<b>\$ 44.37</b>	<b>-- \$</b>	<b>3.87 \$</b>	<b>0.00</b>
1 DIREXION DAILY S&P 50XXXREVERSE SP 25460E885	S	06/18/20	06/18/20	\$ 7.84	\$ 7.83	-- \$	0.01 \$	0.00
125 DIREXION DAILY S&P 50XXXREVERSE 25460E885	S	06/19/20	06/19/20	\$ 997.49	\$ 995.98	-- \$	1.51 \$	0.00
1,267 DIREXION DAILY S&P 50XXXREVERS 25460E885	S	06/19/20	06/19/20	\$ 9,997.68	\$ 9,995.36	-- \$	2.32 \$	0.00
2,000 DIREXION DAILY S&P 50XXXREVERS 25460E885	S	06/25/20	06/25/20	\$ 16,885.83	\$ 16,879.80	-- \$	6.03 \$	0.00
<b>Security Subtotal</b>				<b>\$ 27,888.84</b>	<b>\$ 27,878.97</b>	<b>-- \$</b>	<b>9.87 \$</b>	<b>0.00</b>

FATCA Filing Requirement

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Account Number  
4184-5079

TAX YEAR 2020  
FORM 1099 COMPOSITE

Taxpayer ID Number: \*\*\*-\*\*-5661

Date Prepared: February 12, 2021

Proceeds from Broker Transactions — 2020 (continued)

Form 1099-B

Department of the Treasury-Internal Revenue Service

Copy B for Recipient (OMB No. 1545-0715)

SHORT-TERM TRANSACTIONS FOR WHICH BASIS IS REPORTED TO THE IRS - Report on Form 8949, Part I, with **Box A** checked.

1a-Description of property (Example 100 sh. XYZ Co.) CUSIP Number / Symbol	**	1b-Date acquired	1c-Date sold or disposed	1d-Proceeds 6-Reported to IRS: Gross Proceeds (except where indicated)	1e-Cost or other basis	1f-Accrued Market Discount 1g-Wash Sale Loss Disallowed	Realized Gain or (Loss)	4-Federal Income tax withheld
88 DYNATRONICS CORP 268157401 / DYNT	S	06/18/20	06/18/20	\$ 100.76	\$ 99.01	-- \$	1.75 \$	0.00
<b>Security Subtotal</b>				<b>\$ 100.76</b>	<b>\$ 99.01</b>	<b>-- \$</b>	<b>1.75 \$</b>	<b>0.00</b>
10 EASTMAN KODAK CO 277461406 / KODK	S	07/28/20	07/28/20	\$ 93.01	\$ 97.30	\$ -- \$ 4.29	0.00 \$	0.00
10 EASTMAN KODAK CO 277461406 / KODK	S	07/28/20	07/28/20	\$ 100.60	\$ 98.87	-- \$	1.73 \$	0.00
10 EASTMAN KODAK CO 277461406 / KODK	S	07/28/20	07/28/20	\$ 109.21	\$ 114.14	\$ -- \$ 3.95	(0.98) \$	0.00
20 EASTMAN KODAK CO 277461406 / KODK	S	07/28/20	07/28/20	\$ 192.20	\$ 194.44	\$ -- \$ 6.74	4.50 \$	0.00
8 EASTMAN KODAK CO 277461406 / KODK	S	07/29/20	07/29/20	\$ 151.47	\$ 153.22	-- \$	(1.75) \$	0.00
<b>Security Subtotal</b>				<b>\$ 646.49</b>	<b>\$ 657.97</b>	<b>-- \$</b> <b>\$ 14.98</b>	<b>3.50 \$</b>	<b>0.00</b>
10 ELECTROMECCANICA VEHIC F 284849205 / SOLO	S	07/06/20	07/06/20	\$ 44.30	\$ 44.08	-- \$	0.22 \$	0.00
967 ELECTROMECCANICA VEHIC F 284849205 / SOLO	S	07/06/20	07/06/20	\$ 4,283.72	\$ 4,262.54	-- \$	21.18 \$	0.00

FATCA Filing Requirement

Please see the "Notes for Your Form 1099-B" section for additional explanation of this Form 1099-B report.

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Schwab One® Account of  
APURV KAMALAPURI

Account Number  
4184-5079

TAX YEAR 2020  
FORM 1099 COMPOSITE

Taxpayer ID Number: \*\*\*-\*\*-5661

Date Prepared: February 12, 2021

Proceeds from Broker Transactions — 2020 (continued)

Form 1099-B

Department of the Treasury-Internal Revenue Service

Copy B for Recipient (OMB No. 1545-0715)

SHORT-TERM TRANSACTIONS FOR WHICH BASIS IS REPORTED TO THE IRS - Report on Form 8949, Part I, with **Box A** checked.

1a-Description of property (Example 100 sh. XYZ Co.) CUSIP Number / Symbol	**	1b-Date acquired	1c-Date sold or disposed	1d-Proceeds 6-Reported to IRS: Gross Proceeds (except where indicated)	1e-Cost or other basis	1f-Accrued Market Discount 1g-Wash Sale Loss Disallowed	Realized Gain or (Loss)	4-Federal Income tax withheld
1.023 ELECTRAMECANICA VEHIC F 284849205 / SOLO	S	07/06/20	07/06/20	\$ 4,521.56	\$ 4,509.38	-- \$	12.18 \$	0.00
<b>Security Subtotal</b>				<b>\$ 8,849.58</b>	<b>\$ 8,816.00</b>	-- \$	<b>33.58 \$</b>	<b>0.00</b>
1 EMAGIN CORP 29076N206 / EMAN	S	07/24/20	07/24/20	\$ 1.16	\$ 1.15	-- \$	0.01 \$	0.00
1 EMAGIN CORP 29076N206 / EMAN	S	07/24/20	07/24/20	\$ 1.24	\$ 1.24	-- \$	0.00 \$	0.00
<b>Security Subtotal</b>				<b>\$ 2.40</b>	<b>\$ 2.39</b>	-- \$	<b>0.01 \$</b>	<b>0.00</b>
20 ENTERA BIO LTD F M40527109 / ENTX	S	07/23/20	07/23/20	\$ 55.40	\$ 58.40	-- \$	(3.00) \$	0.00
<b>Security Subtotal</b>				<b>\$ 55.40</b>	<b>\$ 58.40</b>	-- \$	<b>(3.00) \$</b>	<b>0.00</b>
30 FSD PHARMA INC FSD PHA F 35954B206 / HUGE	S	07/30/20	07/30/20	\$ 160.50	\$ 192.18	-- \$	(31.68) \$	0.00
<b>Security Subtotal</b>				<b>\$ 160.50</b>	<b>\$ 192.18</b>	-- \$	<b>(31.68) \$</b>	<b>0.00</b>
900 G E E GROUP INC 36165A102 / JOB	S	07/02/20	07/02/20	\$ 1,403.97	\$ 1,404.00	-- \$	(0.03) \$	0.00

FATCA Filing Requirement

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Schwab One® Account of  
APURV KAMALAPURI

Account Number  
4184-5079

TAX YEAR 2020  
FORM 1099 COMPOSITE

Taxpayer ID Number: \*\*\*-\*\*-5661

Date Prepared: February 12, 2021

Proceeds from Broker Transactions — 2020 (continued)

Form 1099-B

Department of the Treasury-Internal Revenue Service

Copy B for Recipient (OMB No. 1545-0715)

SHORT-TERM TRANSACTIONS FOR WHICH BASIS IS REPORTED TO THE IRS - Report on Form 8949, Part I, with **Box A** checked.

1a-Description of property (Example 100 sh. XYZ Co.) CUSIP Number / Symbol	**	1b-Date acquired	1c-Date sold or disposed	1d-Proceeds 6-Reported to IRS: Gross Proceeds (except where indicated)	1e-Cost or other basis	1f-Accrued Market Discount 1g-Wash Sale Loss Disallowed	Realized Gain or (Loss)	4-Federal Income tax withheld
1,100 G E E GROUP INC 36165A102 / JOB	S	07/02/20	07/02/20	\$ 1,704.96	\$ 1,716.00	-- \$	(11.04) \$	0.00
<b>Security Subtotal</b>				<b>\$ 3,108.93</b>	<b>\$ 3,120.00</b>	<b>-- \$</b>	<b>(11.07) \$</b>	<b>0.00</b>
1 GENETIC TECHS LTD FUNSPONSORE 37185R307 / GENE	S	07/15/20	07/15/20	\$ 3.40	\$ 3.22	-- \$	0.18 \$	0.00
1 GENETIC TECHS LTD FUNSPONSORE 37185R307 / GENE	S	07/15/20	07/15/20	\$ 3.64	\$ 3.58	-- \$	0.06 \$	0.00
10 GENETIC TECHS LTD FUNSPONSOR 37185R307 / GENE	S	07/15/20	07/15/20	\$ 33.75	\$ 33.49	-- \$	0.26 \$	0.00
31 GENETIC TECHS LTD FUNSPONSOR 37185R307 / GENE	S	07/15/20	07/15/20	\$ 106.56	\$ 106.55	-- \$	0.01 \$	0.00
<b>Security Subtotal</b>				<b>\$ 147.35</b>	<b>\$ 146.84</b>	<b>-- \$</b>	<b>0.51 \$</b>	<b>0.00</b>
1 GENIUS BRANDS INTL 37229T301 / GNUS	S	06/19/20	06/19/20	\$ 2.93	\$ 2.92	-- \$	0.01 \$	0.00
100 GENIUS BRANDS INTL 37229T301 / GNUS	S	06/23/20	06/23/20	\$ 293.10	\$ 284.50	-- \$	8.60 \$	0.00
394 GENIUS BRANDS INTL 37229T301 / GNUS	S	06/23/20	06/23/20	\$ 1,142.57	\$ 1,158.36	-- \$	(15.79) \$	0.00

FATCA Filing Requirement

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Schwab One® Account of  
APURV KAMALAPURI

Account Number  
4184-5079

TAX YEAR 2020  
FORM 1099 COMPOSITE

Taxpayer ID Number: \*\*\*-\*\*-5661

Date Prepared: February 12, 2021

Proceeds from Broker Transactions — 2020 (continued)

Form 1099-B

Department of the Treasury-Internal Revenue Service

Copy B for Recipient (OMB No. 1545-0715)

SHORT-TERM TRANSACTIONS FOR WHICH BASIS IS REPORTED TO THE IRS - Report on Form 8949, Part I, with **Box A** checked.

1a-Description of property (Example 100 sh. XYZ Co.) CUSIP Number / Symbol	**	1b-Date acquired	1c-Date sold or disposed	1d-Proceeds 6-Reported to IRS: Gross Proceeds (except where indicated)	1e-Cost or other basis	1f-Accrued Market Discount 1g-Wash Sale Loss Disallowed	Realized Gain or (Loss)	4-Federal Income tax withheld
606 GENIUS BRANDS INTL 37229T301 / GNUS	S	06/23/20	06/23/20	\$ 1,757.42	\$ 1,781.64	-- \$	(24.22) \$	0.00
<b>Security Subtotal</b>				<b>\$ 3,196.02</b>	<b>\$ 3,227.42</b>	-- \$	<b>(31.40) \$</b>	<b>0.00</b>
5 GLOBAL EAGLE ENTMNT 37951D300 / GEENQ	S	07/24/20	07/24/20	\$ 30.00	\$ 29.80	-- \$	0.20 \$	0.00
5 GLOBAL EAGLE ENTMNT 37951D300 / GEENQ	S	07/24/20	07/24/20	\$ 32.85	\$ 30.90	-- \$	1.95 \$	0.00
5 GLOBAL EAGLE ENTMNT 37951D300 / GEENQ	S	07/24/20	07/24/20	\$ 33.51	\$ 30.90	-- \$	2.61 \$	0.00
<b>Security Subtotal</b>				<b>\$ 96.36</b>	<b>\$ 91.60</b>	-- \$	<b>4.76 \$</b>	<b>0.00</b>
100 HEAT BIOLOGICS INC XXXREVERSE 42237K300	S	07/17/20	07/17/20	\$ 276.99	\$ 275.00	-- \$	1.99 \$	0.00
10 HEAT BIOLOGICS INC XXXREVERSE 42237K300	S	07/29/20	07/29/20	\$ 26.80	\$ 26.50	-- \$	0.30 \$	0.00
20 HEAT BIOLOGICS INC XXXREVERSE 42237K300	S	07/29/20	07/29/20	\$ 52.10	\$ 51.80	-- \$	0.30 \$	0.00
<b>Security Subtotal</b>				<b>\$ 355.89</b>	<b>\$ 353.30</b>	-- \$	<b>2.59 \$</b>	<b>0.00</b>

FATCA Filing Requirement

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Schwab One® Account of  
APURV KAMALAPURI

Account Number  
4184-5079

TAX YEAR 2020  
FORM 1099 COMPOSITE

Taxpayer ID Number: \*\*\*-\*\*-5661

Date Prepared: February 12, 2021

Proceeds from Broker Transactions — 2020 (continued)

Form 1099-B

Department of the Treasury-Internal Revenue Service

Copy B for Recipient (OMB No. 1545-0715)

SHORT-TERM TRANSACTIONS FOR WHICH BASIS IS REPORTED TO THE IRS - Report on Form 8949, Part I, with **Box A** checked.

1a-Description of property (Example 100 sh. XYZ Co.) CUSIP Number / Symbol	**	1b-Date acquired	1c-Date sold or disposed	1d-Proceeds 6-Reported to IRS: Gross Proceeds (except where indicated)	1e-Cost or other basis	1f-Accrued Market Discount 1g-Wash Sale Loss Disallowed	Realized Gain or (Loss)	4-Federal Income tax withheld
440 HERTZ RENTAL CAR HOLDING 42806J106 / HTZGQ	S	06/17/20	06/17/20	\$ 967.98	\$ 926.20	-- \$	41.78 \$	0.00
100 HERTZ RENTAL CAR HOLDING 42806J106 / HTZGQ	S	06/24/20	06/24/20	\$ 208.00	\$ 206.00	-- \$	2.00 \$	0.00
1,000 HERTZ RENTAL CAR HOLDING 42806J106 / HTZGQ	S	06/24/20	06/24/20	\$ 2,269.95	\$ 2,234.10	-- \$	35.85 \$	0.00
10 HERTZ RENTAL CAR HOLDING 42806J106 / HTZGQ	S	07/22/20	07/22/20	\$ 18.04	\$ 18.05	-- \$	(0.01) \$	0.00
<b>Security Subtotal</b>				<b>\$ 3,463.97</b>	<b>\$ 3,384.35</b>	-- \$	<b>79.62 \$</b>	<b>0.00</b>
1 IDEANOMICS INC 45166V106 / IDEX	S	06/18/20	06/18/20	\$ 2.15	\$ 2.15	-- \$	0.00 \$	0.00
1 IDEANOMICS INC 45166V106 / IDEX	S	06/19/20	06/19/20	\$ 2.13	\$ 2.13	-- \$	0.00 \$	0.00
10 IDEANOMICS INC 45166V106 / IDEX	S	06/19/20	06/19/20	\$ 21.20	\$ 21.30	\$ -- \$ 0.10	0.00 \$	0.00
1 IDEANOMICS INC 45166V106 / IDEX	S	06/22/20	06/22/20	\$ 3.27	\$ 3.26	-- \$	0.01 \$	0.00
1 IDEANOMICS INC 45166V106 / IDEX	S	06/22/20	06/22/20	\$ 3.82	\$ 3.80	-- \$	0.02 \$	0.00

FATCA Filing Requirement

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Schwab One® Account of  
APURV KAMALAPURI

Account Number  
4184-5079

TAX YEAR 2020  
FORM 1099 COMPOSITE

Taxpayer ID Number: \*\*\*-\*\*-5661

Date Prepared: February 12, 2021

Proceeds from Broker Transactions — 2020 (continued)

Form 1099-B

Department of the Treasury-Internal Revenue Service

Copy B for Recipient (OMB No. 1545-0715)

SHORT-TERM TRANSACTIONS FOR WHICH BASIS IS REPORTED TO THE IRS - Report on Form 8949, Part I, with **Box A** checked.

1a-Description of property (Example 100 sh. XYZ Co.) CUSIP Number / Symbol	**	1b-Date acquired	1c-Date sold or disposed	1d-Proceeds 6-Reported to IRS: Gross Proceeds (except where indicated)	1e-Cost or other basis	1f-Accrued Market Discount 1g-Wash Sale Loss Disallowed	Realized Gain or (Loss)	4-Federal Income tax withheld
200 IDEANOMICS INC 45166V106 / IDEX	S	06/22/20	06/22/20	\$ 592.89	\$ 590.70	-- \$	2.19 \$	0.00
300 IDEANOMICS INC 45166V106 / IDEX	S	06/22/20	06/22/20	\$ 1,121.08	\$ 1,113.00	-- \$	8.08 \$	0.00
600 IDEANOMICS INC 45166V106 / IDEX	S	06/22/20	06/22/20	\$ 1,951.94	\$ 1,944.00	-- \$	7.94 \$	0.00
600 IDEANOMICS INC 45166V106 / IDEX	S	06/22/20	06/22/20	\$ 1,979.96	\$ 1,978.02	-- \$	1.94 \$	0.00
600 IDEANOMICS INC 45166V106 / IDEX	S	06/22/20	06/22/20	\$ 2,015.96	\$ 1,991.94	-- \$	24.02 \$	0.00
600 IDEANOMICS INC 45166V106 / IDEX	S	06/22/20	06/22/20	\$ 2,070.01	\$ 2,078.87	\$ -- \$ 8.86	0.00 \$	0.00
600 IDEANOMICS INC 45166V106 / IDEX	S	06/22/20	06/22/20	\$ 2,093.95	\$ 2,117.94	\$ -- \$ 23.99	0.00 \$	0.00
600 IDEANOMICS INC 45166V106 / IDEX	S	06/22/20	06/22/20	\$ 2,141.95	\$ 2,108.48	-- \$	33.47 \$	0.00
600 IDEANOMICS INC 45166V106 / IDEX	S	06/22/20	06/22/20	\$ 2,357.95	\$ 2,322.00	-- \$	35.95 \$	0.00
2,000 IDEANOMICS INC 45166V106 / IDEX	S	06/29/20	06/29/20	\$ 3,986.31	\$ 4,000.00	-- \$	(13.69) \$	0.00

FATCA Filing Requirement

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Schwab One® Account of  
APURV KAMALAPURI

Account Number  
4184-5079

TAX YEAR 2020  
FORM 1099 COMPOSITE

Taxpayer ID Number: \*\*\*-\*\*-5661

Date Prepared: February 12, 2021

Proceeds from Broker Transactions — 2020 (continued)

Form 1099-B

Department of the Treasury-Internal Revenue Service

Copy B for Recipient (OMB No. 1545-0715)

SHORT-TERM TRANSACTIONS FOR WHICH BASIS IS REPORTED TO THE IRS - Report on Form 8949, Part I, with **Box A** checked.

1a-Description of property (Example 100 sh. XYZ Co.) CUSIP Number / Symbol	**	1b-Date acquired 1c-Date sold or disposed	1d-Proceeds 6-Reported to IRS: Gross Proceeds (except where indicated)	1e-Cost or other basis	1f-Accrued Market Discount 1g-Wash Sale Loss Disallowed	Realized Gain or (Loss)	4-Federal Income tax withheld
10 IDEANOMICS INC 45166V106 / IDEX	S	07/30/20 07/30/20	\$ 16.20	\$ 16.00	-- \$ --	0.20 \$	0.00
<b>Security Subtotal</b>			<b>\$ 20,360.77</b>	<b>\$ 20,293.59</b>	<b>-- \$ \$ 32.95</b>	<b>100.13 \$</b>	<b>0.00</b>
300 INVITAE CORP 46185L103 / NVTA	S	06/22/20 06/22/20	\$ 7,950.33	\$ 7,933.32	-- \$ --	17.01 \$	0.00
<b>Security Subtotal</b>			<b>\$ 7,950.33</b>	<b>\$ 7,933.32</b>	<b>-- \$ --</b>	<b>17.01 \$</b>	<b>0.00</b>
1 JAKKS PACIFIC INC XXXREVERSE SPLI 47012E106	S	06/24/20 06/24/20	\$ 1.19	\$ 1.17	-- \$ --	0.02 \$	0.00
1 JAKKS PACIFIC INC XXXREVERSE SPLI 47012E106	S	06/24/20 06/24/20	\$ 1.19	\$ 1.18	-- \$ --	0.01 \$	0.00
<b>Security Subtotal</b>			<b>\$ 2.38</b>	<b>\$ 2.35</b>	<b>-- \$ --</b>	<b>0.03 \$</b>	<b>0.00</b>
854 KITOV PHARMA LTD XXXREVERSE S 49803V107	S	06/23/20 06/23/20	\$ 1,073.89	\$ 990.64	-- \$ --	83.25 \$	0.00
<b>Security Subtotal</b>			<b>\$ 1,073.89</b>	<b>\$ 990.64</b>	<b>-- \$ --</b>	<b>83.25 \$</b>	<b>0.00</b>
150 L M FUNDING AMERICA INC 502074305 / LMFA	S	06/17/20 06/17/20	\$ 664.49	\$ 658.50	-- \$ --	5.99 \$	0.00

FATCA Filing Requirement

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Schwab One® Account of  
APURV KAMALAPURI

Account Number  
4184-5079

TAX YEAR 2020  
FORM 1099 COMPOSITE

Taxpayer ID Number: \*\*\*-\*\*-5661

Date Prepared: February 12, 2021

Proceeds from Broker Transactions — 2020 (continued)

Form 1099-B

Department of the Treasury-Internal Revenue Service

Copy B for Recipient (OMB No. 1545-0715)

SHORT-TERM TRANSACTIONS FOR WHICH BASIS IS REPORTED TO THE IRS - Report on Form 8949, Part I, with **Box A** checked.

1a-Description of property (Example 100 sh. XYZ Co.) CUSIP Number / Symbol	**	1b-Date acquired	1c-Date sold or disposed	1d-Proceeds 6-Reported to IRS: Gross Proceeds (except where indicated)	1e-Cost or other basis	1f-Accrued Market Discount 1g-Wash Sale Loss Disallowed	Realized Gain or (Loss)	4-Federal Income tax withheld
1 L M FUNDING AMERICA INC 502074305 / LMFA	S	06/19/20	06/19/20	\$ 2.10	\$ 2.10	-- \$	0.00 \$	0.00
100 L M FUNDING AMERICA INC 502074305 / LMFA	S	06/19/20	06/19/20	\$ 252.99	\$ 280.25	-- \$	(27.26) \$	0.00
310 L M FUNDING AMERICA INC 502074305 / LMFA	S	06/19/20	06/19/20	\$ 716.08	\$ 746.25	\$ -- \$ 21.26	(8.91) \$	0.00
<b>Security Subtotal</b>				<b>\$ 1,635.66</b>	<b>\$ 1,687.10</b>	<b>\$ -- \$ 21.26</b>	<b>(30.18) \$</b>	<b>0.00</b>
10 MEXCO ENERGY CORP 592770101 / MXC	S	07/22/20	07/22/20	\$ 142.55	\$ 145.15	-- \$	(2.60) \$	0.00
<b>Security Subtotal</b>				<b>\$ 142.55</b>	<b>\$ 145.15</b>	<b>-- \$</b>	<b>(2.60) \$</b>	<b>0.00</b>
20 MICROVISION INC 594960304 / MVIS	S	07/17/20	07/17/20	\$ 58.14	\$ 57.76	\$ -- \$ 0.11	0.49 \$	0.00
50 MICROVISION INC 594960304 / MVIS	S	07/17/20	07/17/20	\$ 145.75	\$ 158.32	\$ -- \$ 12.57	0.00 \$	0.00
50 MICROVISION INC 594960304 / MVIS	S	07/17/20	07/17/20	\$ 146.25	\$ 144.36	-- \$	1.89 \$	0.00
50 MICROVISION INC 594960304 / MVIS	S	07/17/20	07/17/20	\$ 147.50	\$ 168.82	\$ -- \$ 21.32	0.00 \$	0.00

FATCA Filing Requirement

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Schwab One® Account of  
APURV KAMALAPURI

Account Number  
4184-5079

TAX YEAR 2020  
FORM 1099 COMPOSITE

Taxpayer ID Number: \*\*\*-\*\*-5661

Date Prepared: February 12, 2021

Proceeds from Broker Transactions — 2020 (continued)

Form 1099-B

Department of the Treasury-Internal Revenue Service

Copy B for Recipient (OMB No. 1545-0715)

SHORT-TERM TRANSACTIONS FOR WHICH BASIS IS REPORTED TO THE IRS - Report on Form 8949, Part I, with **Box A** checked.

1a-Description of property (Example 100 sh. XYZ Co.) CUSIP Number / Symbol	**	1b-Date acquired	1c-Date sold or disposed	1d-Proceeds 6-Reported to IRS: Gross Proceeds (except where indicated)	1e-Cost or other basis	1f-Accrued Market Discount 1g-Wash Sale Loss Disallowed	Realized Gain or (Loss)	4-Federal Income tax withheld
160 MICROVISION INC 594960304 / MVIS	S	07/17/20	07/17/20	\$ 467.19	\$ 498.79	-- \$	(31.60) \$	0.00
<b>Security Subtotal</b>				<b>\$ 964.83</b>	<b>\$ 1,028.05</b>	<b>-- \$</b>	<b>(29.22) \$</b>	<b>0.00</b>
						<b>\$ 34.00</b>		
1 MIDATECH PHARMA PLC FUNSPONSO 59564R302 / MTP	S	07/21/20	07/21/20	\$ 3.87	\$ 3.93	-- \$ 0.06	0.00 \$	0.00
10 MIDATECH PHARMA PLC FUNSPONSO 59564R302 / MTP	S	07/21/20	07/21/20	\$ 45.35	\$ 44.59	-- \$	0.76 \$	0.00
13 MIDATECH PHARMA PLC FUNSPONSO 59564R302 / MTP	S	07/21/20	07/21/20	\$ 68.80	\$ 74.38	-- \$	(5.58) \$	0.00
20 MIDATECH PHARMA PLC FUNSPONSO 59564R302 / MTP	S	07/21/20	07/21/20	\$ 99.72	\$ 94.89	-- \$	4.83 \$	0.00
20 MIDATECH PHARMA PLC FUNSPONSO 59564R302 / MTP	S	07/21/20	07/21/20	\$ 129.34	\$ 129.25	-- \$	0.09 \$	0.00
20 MIDATECH PHARMA PLC FUNSPONSO 59564R302 / MTP	S	07/21/20	07/21/20	\$ 136.02	\$ 138.27	-- \$ 2.25	0.00 \$	0.00
40 MIDATECH PHARMA PLC FUNSPONSO 59564R302 / MTP	S	07/21/20	07/21/20	\$ 262.59	\$ 257.59	-- \$ 0.62	5.62 \$	0.00
<b>Security Subtotal</b>				<b>\$ 745.69</b>	<b>\$ 742.90</b>	<b>-- \$</b>	<b>5.72 \$</b>	<b>0.00</b>
						<b>\$ 2.93</b>		

FATCA Filing Requirement

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Schwab One® Account of  
APURV KAMALAPURI

Account Number  
4184-5079

TAX YEAR 2020  
FORM 1099 COMPOSITE

Taxpayer ID Number: \*\*\*-\*\*-5661

Date Prepared: February 12, 2021

Proceeds from Broker Transactions — 2020 (continued)

Form 1099-B

Department of the Treasury-Internal Revenue Service

Copy B for Recipient (OMB No. 1545-0715)

SHORT-TERM TRANSACTIONS FOR WHICH BASIS IS REPORTED TO THE IRS - Report on Form 8949, Part I, with **Box A** checked.

1a-Description of property (Example 100 sh. XYZ Co.) CUSIP Number / Symbol	**	1b-Date acquired	1c-Date sold or disposed	1d-Proceeds 6-Reported to IRS: Gross Proceeds (except where indicated)	1e-Cost or other basis	1f-Accrued Market Discount 1g-Wash Sale Loss Disallowed	Realized Gain or (Loss)	4-Federal Income tax withheld
1 MILESTONE PHARMACEUTIC F 59935V107 / MIST	S	07/24/20	07/24/20	\$ 10.63	\$ 10.54	-- \$	0.09 \$	0.00
<b>Security Subtotal</b>				<b>\$ 10.63</b>	<b>\$ 10.54</b>	-- \$	<b>0.09 \$</b>	<b>0.00</b>
10 MOLECULIN BIOTECH INCXXXREVERSE 60855D101	S	07/21/20	07/21/20	\$ 14.27	\$ 15.17	-- \$	(0.90) \$	0.00
10 MOLECULIN BIOTECH INCXXXREVERSE 60855D101	S	07/21/20	07/21/20	\$ 14.64	\$ 15.36	\$ -- \$ 0.72	0.00 \$	0.00
10 MOLECULIN BIOTECH INCXXXREVERSE 60855D101	S	07/21/20	07/21/20	\$ 15.45	\$ 15.43	-- \$	0.02 \$	0.00
<b>Security Subtotal</b>				<b>\$ 44.36</b>	<b>\$ 45.96</b>	-- \$ <b>\$ 0.72</b>	<b>(0.88) \$</b>	<b>0.00</b>
1,700 MYOS RENS INC XXXMANDATOR 62857P108	S	07/01/20	07/01/20	\$ 5,821.52	\$ 5,913.13	\$ -- \$ 91.61	0.00 \$	0.00
2,300 MYOS RENS INC XXXMANDATOR 62857P108	S	07/01/20	07/01/20	\$ 7,842.83	\$ 7,764.61	-- \$	78.22 \$	0.00
<b>Security Subtotal</b>				<b>\$ 13,664.35</b>	<b>\$ 13,677.74</b>	-- \$ <b>\$ 91.61</b>	<b>78.22 \$</b>	<b>0.00</b>
14 N I O INC FSPONSORED ADR 62914V106 / NIO	S	06/18/20	06/18/20	\$ 98.93	\$ 98.92	-- \$	0.01 \$	0.00

FATCA Filing Requirement

Please see the "Notes for Your Form 1099-B" section for additional explanation of this Form 1099-B report.

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Schwab One® Account of  
APURV KAMALAPURI

Account Number  
4184-5079

TAX YEAR 2020  
FORM 1099 COMPOSITE

Taxpayer ID Number: \*\*\*-\*\*-5661

Date Prepared: February 12, 2021

Proceeds from Broker Transactions — 2020 (continued)

Form 1099-B

Department of the Treasury-Internal Revenue Service

Copy B for Recipient (OMB No. 1545-0715)

SHORT-TERM TRANSACTIONS FOR WHICH BASIS IS REPORTED TO THE IRS - Report on Form 8949, Part I, with **Box A** checked.

1a-Description of property (Example 100 sh. XYZ Co.) CUSIP Number / Symbol	**	1b-Date acquired	1c-Date sold or disposed	1d-Proceeds 6-Reported to IRS: Gross Proceeds (except where indicated)	1e-Cost or other basis	1f-Accrued Market Discount 1g-Wash Sale Loss Disallowed	Realized Gain or (Loss)	4-Federal Income tax withheld
14 N I O INC FSPONSORED ADR 62914V106 / NIO	S	06/18/20	06/18/20	\$ 99.18	\$ 99.33	\$ -- 0.15	\$ 0.00	\$ 0.00
136 N I O INC FSPONSORED ADR 62914V106 / NIO	S	06/18/20	06/18/20	\$ 997.54	\$ 996.16	\$ -- --	\$ 1.38	\$ 0.00
<b>Security Subtotal</b>				<b>\$ 1,195.65</b>	<b>\$ 1,194.41</b>	<b>\$ -- 0.15</b>	<b>\$ 1.39</b>	<b>\$ 0.00</b>
1 NABRIVA THERAPEUTICS XXXREVERSE G63637105	S	07/16/20	07/16/20	\$ 1.00	\$ 1.01	\$ -- --	\$ (0.01)	\$ 0.00
1 NABRIVA THERAPEUTICS XXXREVERSE G63637105	S	07/16/20	07/16/20	\$ 1.10	\$ 1.07	\$ -- --	\$ 0.03	\$ 0.00
1 NABRIVA THERAPEUTICS XXXREVERSE G63637105	S	07/16/20	07/16/20	\$ 1.12	\$ 1.14	\$ -- 0.02	\$ 0.00	\$ 0.00
<b>Security Subtotal</b>				<b>\$ 3.22</b>	<b>\$ 3.22</b>	<b>\$ -- 0.02</b>	<b>\$ 0.02</b>	<b>\$ 0.00</b>
400 NANTKWEST INC 63016Q102 / NK	S	06/22/20	06/22/20	\$ 5,014.09	\$ 4,906.00	\$ -- --	\$ 108.09	\$ 0.00
<b>Security Subtotal</b>				<b>\$ 5,014.09</b>	<b>\$ 4,906.00</b>	<b>\$ -- --</b>	<b>\$ 108.09</b>	<b>\$ 0.00</b>
22 NETFLIX INC 64110L106 / NFLX	S	06/18/20	06/18/20	\$ 9,812.00	\$ 9,823.77	\$ -- --	\$ (11.77)	\$ 0.00

FATCA Filing Requirement

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Schwab One® Account of  
APURV KAMALAPURI

Account Number  
4184-5079

TAX YEAR 2020  
FORM 1099 COMPOSITE

Taxpayer ID Number: \*\*\*-\*\*-5661

Date Prepared: February 12, 2021

Proceeds from Broker Transactions — 2020 (continued)

Form 1099-B

Department of the Treasury-Internal Revenue Service

Copy B for Recipient (OMB No. 1545-0715)

SHORT-TERM TRANSACTIONS FOR WHICH BASIS IS REPORTED TO THE IRS - Report on Form 8949, Part I, with **Box A** checked.

1a-Description of property (Example 100 sh. XYZ Co.) CUSIP Number / Symbol	**	1b-Date acquired 1c-Date sold or disposed	1d-Proceeds 6-Reported to IRS: Gross Proceeds (except where indicated)	1e-Cost or other basis	1f-Accrued Market Discount 1g-Wash Sale Loss Disallowed	Realized Gain or (Loss)	4-Federal Income tax withheld
1 <sup>s</sup> NETFLIX INC 64110L106 / NFLX	SS	06/22/20 06/22/20	\$ 444.15	\$ 443.91	-- \$	0.24 \$	0.00
<b>Security Subtotal</b>			<b>\$ 10,256.15</b>	<b>\$ 10,267.68</b>	-- \$	<b>(11.53) \$</b>	<b>0.00</b>
1 ORAGENICS INC 684023302 / OGEN	S	07/09/20 07/09/20	\$ 1.02	\$ 1.02	-- \$	0.00 \$	0.00
<b>Security Subtotal</b>			<b>\$ 1.02</b>	<b>\$ 1.02</b>	-- \$	<b>0.00 \$</b>	<b>0.00</b>
578 PHUNWARE INC 71948P100 / PHUN	S	06/16/20 06/16/20	\$ 982.58	\$ 997.05	-- \$	(14.47) \$	0.00
<b>Security Subtotal</b>			<b>\$ 982.58</b>	<b>\$ 997.05</b>	-- \$	<b>(14.47) \$</b>	<b>0.00</b>
10 RIGEL PHARMA INC 766559603 / RIGL	S	07/14/20 07/14/20	\$ 39.84	\$ 39.49	-- \$	0.35 \$	0.00
100 RIGEL PHARMA INC 766559603 / RIGL	S	07/14/20 07/14/20	\$ 495.00	\$ 488.50	-- \$	6.50 \$	0.00
1 <sup>s</sup> RIGEL PHARMA INC 766559603 / RIGL	SS	07/16/20 07/16/20	\$ 3.88	\$ 3.82	-- \$	0.06 \$	0.00
<b>Security Subtotal</b>			<b>\$ 538.72</b>	<b>\$ 531.81</b>	-- \$	<b>6.91 \$</b>	<b>0.00</b>

FATCA Filing Requirement

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Schwab One® Account of  
APURV KAMALAPURI

Account Number  
4184-5079

TAX YEAR 2020  
FORM 1099 COMPOSITE

Taxpayer ID Number: \*\*\*-\*\*-5661

Date Prepared: February 12, 2021

Proceeds from Broker Transactions — 2020 (continued)

Form 1099-B

Department of the Treasury-Internal Revenue Service

Copy B for Recipient (OMB No. 1545-0715)

SHORT-TERM TRANSACTIONS FOR WHICH BASIS IS REPORTED TO THE IRS - Report on Form 8949, Part I, with **Box A** checked.

1a-Description of property (Example 100 sh. XYZ Co.) CUSIP Number / Symbol	**	1b-Date acquired	1c-Date sold or disposed	1d-Proceeds 6-Reported to IRS: Gross Proceeds (except where indicated)	1e-Cost or other basis	1f-Accrued Market Discount 1g-Wash Sale Loss Disallowed	Realized Gain or (Loss)	4-Federal Income tax withheld
4,000 SENMIAO TECHNOLOGY LIMIT 817225105 / AIHS	S	07/09/20	07/09/20	\$ 8,079.82	\$ 8,966.82	-- \$	(887.00) \$	0.00
<b>Security Subtotal</b>				<b>\$ 8,079.82</b>	<b>\$ 8,966.82</b>	-- \$	<b>(887.00) \$</b>	<b>0.00</b>
1 SERES THERAPEUTICS 81750R102 / MCRB	S	06/19/20	06/19/20	\$ 5.01	\$ 4.99	-- \$	0.02 \$	0.00
<b>Security Subtotal</b>				<b>\$ 5.01</b>	<b>\$ 4.99</b>	-- \$	<b>0.02 \$</b>	<b>0.00</b>
100 SINTX TECHNOLOGIES INC 829392307 / SINT	S	06/22/20	06/22/20	\$ 262.99	\$ 306.00	\$ -- \$ 43.01	0.00 \$	0.00
150 SINTX TECHNOLOGIES INC 829392307 / SINT	S	06/22/20	06/22/20	\$ 394.52	\$ 474.07	\$ -- \$ 79.55	0.00 \$	0.00
326 SINTX TECHNOLOGIES INC 829392307 / SINT	S	06/22/20	06/22/20	\$ 959.46	\$ 1,026.58	\$ -- \$ 67.12	0.00 \$	0.00
326 SINTX TECHNOLOGIES INC 829392307 / SINT	S	06/22/20	06/22/20	\$ 1,010.97	\$ 1,072.06	\$ -- \$ 61.09	0.00 \$	0.00
343 SINTX TECHNOLOGIES INC 829392307 / SINT	S	06/22/20	06/22/20	\$ 955.24	\$ 1,030.20	\$ -- \$ 74.96	0.00 \$	0.00
400 SINTX TECHNOLOGIES INC 829392307 / SINT	S	06/22/20	06/22/20	\$ 1,051.98	\$ 1,194.87	\$ -- \$ 142.89	0.00 \$	0.00

FATCA Filing Requirement

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Schwab One® Account of  
APURV KAMALAPURI

Account Number  
4184-5079

TAX YEAR 2020  
FORM 1099 COMPOSITE

Taxpayer ID Number: \*\*\*-\*\*-5661

Date Prepared: February 12, 2021

Proceeds from Broker Transactions — 2020 (continued)

Form 1099-B

Department of the Treasury-Internal Revenue Service

Copy B for Recipient (OMB No. 1545-0715)

SHORT-TERM TRANSACTIONS FOR WHICH BASIS IS REPORTED TO THE IRS - Report on Form 8949, Part I, with **Box A** checked.

1a-Description of property (Example 100 sh. XYZ Co.) CUSIP Number / Symbol	**	1b-Date acquired	1c-Date sold or disposed	1d-Proceeds 6-Reported to IRS: Gross Proceeds (except where indicated)	1e-Cost or other basis	1f-Accrued Market Discount 1g-Wash Sale Loss Disallowed	Realized Gain or (Loss)	4-Federal Income tax withheld
500 SINTX TECHNOLOGIES INC 829392307 / SINT	S	06/22/20	06/22/20	\$ 1,085.03	\$ 1,277.48	\$ -- 192.45	\$ 0.00	\$ 0.00
201 SINTX TECHNOLOGIES INC 829392307 / SINT	S	06/24/20	06/24/20	\$ 395.98	\$ 502.15	\$ -- 106.17	\$ 0.00	\$ 0.00
799 SINTX TECHNOLOGIES INC 829392307 / SINT	S	06/24/20	06/24/20	\$ 1,574.00	\$ 1,673.37	\$ -- 99.37	\$ 0.00	\$ 0.00
1,000 SINTX TECHNOLOGIES INC 829392307 / SINT	S	06/24/20	06/24/20	\$ 2,029.96	\$ 2,202.14	\$ -- 183.78	\$ 11.60	\$ 0.00
1,000 SINTX TECHNOLOGIES INC 829392307 / SINT	S	06/24/20	06/24/20	\$ 2,239.95	\$ 2,381.42	\$ -- 10.67	\$ (130.80)	\$ 0.00
1 SINTX TECHNOLOGIES INC 829392307 / SINT	S	07/23/20	07/23/20	\$ 2.36	\$ 2.84	\$ -- --	\$ (0.48)	\$ 0.00
10 SINTX TECHNOLOGIES INC 829392307 / SINT	S	07/23/20	07/23/20	\$ 23.75	\$ 28.58	\$ -- --	\$ (4.83)	\$ 0.00
10 SINTX TECHNOLOGIES INC 829392307 / SINT	S	07/23/20	07/23/20	\$ 24.76	\$ 29.58	\$ -- --	\$ (4.82)	\$ 0.00
<b>Security Subtotal</b>				<b>\$ 12,010.95</b>	<b>\$ 13,201.34</b>	<b>\$ -- 1,061.06</b>	<b>\$ (129.33)</b>	<b>\$ 0.00</b>
4,000 SORRENTO THERAPEUTCS 83587F202 / SRNE	S	06/25/20	06/25/20	\$ 26,395.02	\$ 26,345.40	\$ -- --	\$ 49.62	\$ 0.00

FATCA Filing Requirement

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Schwab One® Account of  
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Account Number  
4184-5079

TAX YEAR 2020  
FORM 1099 COMPOSITE

Taxpayer ID Number: \*\*\*-\*\*-5661

Date Prepared: February 12, 2021

Proceeds from Broker Transactions — 2020 (continued)

Form 1099-B

Department of the Treasury-Internal Revenue Service

Copy B for Recipient (OMB No. 1545-0715)

SHORT-TERM TRANSACTIONS FOR WHICH BASIS IS REPORTED TO THE IRS - Report on Form 8949, Part I, with **Box A** checked.

1a-Description of property (Example 100 sh. XYZ Co.) CUSIP Number / Symbol	**	1b-Date acquired	1c-Date sold or disposed	1d-Proceeds 6-Reported to IRS: Gross Proceeds (except where indicated)	1e-Cost or other basis	1f-Accrued Market Discount 1g-Wash Sale Loss Disallowed	Realized Gain or (Loss)	4-Federal Income tax withheld
10 SORRENTO THERAPEUTCS 83587F202 / SRNE	S	07/31/20	07/31/20	\$ 101.77	\$ 101.55	-- \$	0.22 \$	0.00
<b>Security Subtotal</b>				<b>\$ 26,496.79</b>	<b>\$ 26,446.95</b>	-- \$	<b>49.84 \$</b>	<b>0.00</b>
15 SPDR S&P 500 ETF 78462F103 / SPY	S	10/28/20	11/09/20	\$ 5,403.56	\$ 4,928.74	-- \$	474.82 \$	0.00
<b>Security Subtotal</b>				<b>\$ 5,403.56</b>	<b>\$ 4,928.74</b>	-- \$	<b>474.82 \$</b>	<b>0.00</b>
10 SUNDANCE ENERGY INC 86725N102 / SNDE	S	07/22/20	07/22/20	\$ 41.64	\$ 45.43	\$ -- \$ 3.79	0.00 \$	0.00
10 SUNDANCE ENERGY INC 86725N102 / SNDE	S	07/22/20	07/22/20	\$ 41.65	\$ 47.82	-- \$	(6.17) \$	0.00
10 SUNDANCE ENERGY INC 86725N102 / SNDE	S	07/22/20	07/22/20	\$ 43.70	\$ 43.10	-- \$	0.60 \$	0.00
20 SUNDANCE ENERGY INC 86725N102 / SNDE	S	07/22/20	07/22/20	\$ 74.60	\$ 81.62	\$ -- \$ 7.02	0.00 \$	0.00
20 SUNDANCE ENERGY INC 86725N102 / SNDE	S	07/22/20	07/22/20	\$ 76.27	\$ 87.27	\$ -- \$ 11.00	0.00 \$	0.00
20 SUNDANCE ENERGY INC 86725N102 / SNDE	S	07/22/20	07/22/20	\$ 78.20	\$ 90.25	-- \$	(12.05) \$	0.00

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Schwab One® Account of  
APURV KAMALAPURI

Account Number  
4184-5079

TAX YEAR 2020  
FORM 1099 COMPOSITE

Taxpayer ID Number: \*\*\*-\*\*-5661

Date Prepared: February 12, 2021

Proceeds from Broker Transactions — 2020 (continued)

Form 1099-B

Department of the Treasury-Internal Revenue Service

Copy B for Recipient (OMB No. 1545-0715)

SHORT-TERM TRANSACTIONS FOR WHICH BASIS IS REPORTED TO THE IRS - Report on Form 8949, Part I, with **Box A** checked.

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30 SUNDANCE ENERGY INC 86725N102 / SNDE	S	07/22/20	07/22/20	\$ 118.64	\$ 133.07	\$ -- 14.43	\$ 0.00	0.00
<b>Security Subtotal</b>				<b>\$ 474.70</b>	<b>\$ 528.56</b>	<b>\$ -- 36.24</b>	<b>\$ (17.62)</b>	<b>0.00</b>
20 TESLA INC 88160R101 / TSLA	S	VARIOUS	11/03/20	\$ 8,306.88	\$ 7,937.60	\$ -- --	\$ 369.28	0.00
3 TESLA INC 88160R101 / TSLA	S	10/30/20	11/05/20	\$ 1,306.54	\$ 1,151.00	\$ -- --	\$ 155.54	0.00
12 TESLA INC 88160R101 / TSLA	S	11/10/20	11/17/20	\$ 5,523.00	\$ 4,770.74	\$ -- --	\$ 752.26	0.00
3 TESLA INC 88160R101 / TSLA	S	11/10/20	11/18/20	\$ 1,419.22	\$ 1,192.69	\$ -- --	\$ 226.53	0.00
10 TESLA INC 88160R101 / TSLA	S	12/09/20	12/18/20	\$ 6,794.78	\$ 6,060.54	\$ -- --	\$ 734.24	0.00
<b>Security Subtotal</b>				<b>\$ 23,350.42</b>	<b>\$ 21,112.57</b>	<b>\$ -- --</b>	<b>\$ 2,237.85</b>	<b>0.00</b>
11 URBAN ONE INC CLASS 91705J105 / UONE	S	06/17/20	06/17/20	\$ 197.01	\$ 196.35	\$ -- --	\$ 0.66	0.00
29 URBAN ONE INC CLASS 91705J105 / UONE	S	06/17/20	06/17/20	\$ 483.71	\$ 498.22	\$ -- 14.51	\$ 0.00	0.00

FATCA Filing Requirement

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Taxpayer ID Number: \*\*\*-\*\*-5661

Date Prepared: February 12, 2021

Proceeds from Broker Transactions — 2020 (continued)

Form 1099-B

Department of the Treasury-Internal Revenue Service

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SHORT-TERM TRANSACTIONS FOR WHICH BASIS IS REPORTED TO THE IRS - Report on Form 8949, Part I, with **Box A** checked.

1a-Description of property (Example 100 sh. XYZ Co.) CUSIP Number / Symbol	**	1b-Date acquired	1c-Date sold or disposed	1d-Proceeds 6-Reported to IRS: Gross Proceeds (except where indicated)	1e-Cost or other basis	1f-Accrued Market Discount 1g-Wash Sale Loss Disallowed	Realized Gain or (Loss)	4-Federal Income tax withheld
1 URBAN ONE INC CLASS 91705J105 / UONE	S	06/18/20	06/18/20	\$ 27.13	\$ 27.50	\$ -- 0.37	\$ 0.00	0.00
1 URBAN ONE INC CLASS 91705J105 / UONE	S	06/18/20	06/18/20	\$ 28.23	\$ 29.09	\$ -- 0.86	\$ 0.00	0.00
1 URBAN ONE INC CLASS 91705J105 / UONE	S	06/18/20	06/18/20	\$ 28.49	\$ 28.35	\$ -- --	\$ 0.14	0.00
1 URBAN ONE INC CLASS 91705J105 / UONE	S	06/18/20	06/18/20	\$ 29.39	\$ 29.87	\$ -- 0.48	\$ 0.00	0.00
1 URBAN ONE INC CLASS 91705J105 / UONE	S	06/18/20	06/18/20	\$ 32.24	\$ 32.47	\$ -- 0.23	\$ 0.00	0.00
1 URBAN ONE INC CLASS 91705J105 / UONE	S	06/18/20	06/18/20	\$ 33.08	\$ 33.76	\$ -- 0.68	\$ 0.00	0.00
1 URBAN ONE INC CLASS 91705J105 / UONE	S	06/18/20	06/18/20	\$ 33.61	\$ 33.83	\$ -- 0.22	\$ 0.00	0.00
1 URBAN ONE INC CLASS 91705J105 / UONE	S	06/18/20	06/18/20	\$ 33.80	\$ 33.84	\$ -- 0.04	\$ 0.00	0.00
1 URBAN ONE INC CLASS 91705J105 / UONE	S	06/18/20	06/18/20	\$ 33.84	\$ 34.21	\$ -- 0.37	\$ 0.00	0.00
2 URBAN ONE INC CLASS 91705J105 / UONE	S	06/18/20	06/18/20	\$ 59.59	\$ 59.30	\$ -- 0.18	\$ 0.47	0.00
3 URBAN ONE INC CLASS 91705J105 / UONE	S	06/18/20	06/18/20	\$ 73.11	\$ 81.33	\$ -- 8.22	\$ 0.00	0.00

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APURV KAMALAPURI

Account Number  
4184-5079

TAX YEAR 2020  
FORM 1099 COMPOSITE

Taxpayer ID Number: \*\*\*-\*\*-5661

Date Prepared: February 12, 2021

Proceeds from Broker Transactions — 2020 (continued)

Form 1099-B

Department of the Treasury-Internal Revenue Service

Copy B for Recipient (OMB No. 1545-0715)

SHORT-TERM TRANSACTIONS FOR WHICH BASIS IS REPORTED TO THE IRS - Report on Form 8949, Part I, with **Box A** checked.

1a-Description of property (Example 100 sh. XYZ Co.) CUSIP Number / Symbol	**	1b-Date acquired	1c-Date sold or disposed	1d-Proceeds 6-Reported to IRS: Gross Proceeds (except where indicated)	1e-Cost or other basis	1f-Accrued Market Discount 1g-Wash Sale Loss Disallowed	Realized Gain or (Loss)	4-Federal Income tax withheld
3 URBAN ONE INC CLASS 91705J105 / UONE	S	06/18/20	06/18/20	\$ 82.62	\$ 85.83	\$ -- 3.21	\$ 0.00	\$ 0.00
3 URBAN ONE INC CLASS 91705J105 / UONE	S	06/18/20	06/18/20	\$ 83.13	\$ 83.87	\$ -- 0.74	\$ 0.00	\$ 0.00
2 URBAN ONE INC CLASS 91705J105 / UONE	S	06/19/20	06/19/20	\$ 78.02	\$ 81.23	\$ -- --	\$ (3.21)	\$ 0.00
200 URBAN ONE INC CLASS 91705J105 / UONE	S	06/19/20	06/19/20	\$ 7,811.83	\$ 7,772.83	\$ -- 5.72	\$ 44.72	\$ 0.00
<b>Security Subtotal</b>				<b>\$ 9,148.83</b>	<b>\$ 9,141.88</b>	<b>\$ -- 35.83</b>	<b>\$ 42.78</b>	<b>\$ 0.00</b>
2,000 VAXART INC 92243A200 / VXRT	S	06/25/20	06/25/20	\$ 8,389.81	\$ 8,315.20	\$ -- --	\$ 74.61	\$ 0.00
2,000 VAXART INC 92243A200 / VXRT	S	06/25/20	06/25/20	\$ 9,659.79	\$ 9,650.00	\$ -- --	\$ 9.79	\$ 0.00
10 VAXART INC 92243A200 / VXRT	S	07/13/20	07/13/20	\$ 94.55	\$ 93.35	\$ -- --	\$ 1.20	\$ 0.00
<b>Security Subtotal</b>				<b>\$ 18,144.15</b>	<b>\$ 18,058.55</b>	<b>\$ -- --</b>	<b>\$ 85.60</b>	<b>\$ 0.00</b>

FATCA Filing Requirement

Please see the "Notes for Your Form 1099-B" section for additional explanation of this Form 1099-B report.

This is important tax information and is being furnished to the Internal Revenue Service. If you are required to file a return, a negligence penalty or other sanction may be imposed on you if this income is taxable and the IRS determines that it has not been reported.



Schwab One® Account of  
APURV KAMALAPURI

Account Number  
4184-5079

TAX YEAR 2020  
FORM 1099 COMPOSITE

Taxpayer ID Number: \*\*\*-\*\*-5661

Date Prepared: February 12, 2021

Proceeds from Broker Transactions — 2020 (continued)

Form 1099-B

Department of the Treasury-Internal Revenue Service

Copy B for Recipient (OMB No. 1545-0715)

SHORT-TERM TRANSACTIONS FOR WHICH BASIS IS REPORTED TO THE IRS - Report on Form 8949, Part I, with **Box A** checked.

1a-Description of property (Example 100 sh. XYZ Co.) CUSIP Number / Symbol	**	1b-Date acquired	1c-Date sold or disposed	1d-Proceeds 6-Reported to IRS: Gross Proceeds (except where indicated)	1e-Cost or other basis	1f-Accrued Market Discount 1g-Wash Sale Loss Disallowed	Realized Gain or (Loss)	4-Federal Income tax withheld
1 VERONA PHARMA PLC FUNSPONSOR 925050106 / VRNA	S	07/17/20	07/17/20	\$ 11.77	\$ 11.89	-- \$	(0.12) \$	0.00
<b>Security Subtotal</b>				<b>\$ 11.77</b>	<b>\$ 11.89</b>	<b>-- \$</b>	<b>(0.12) \$</b>	<b>0.00</b>
100 WAH FU EDUCATION GROUP F G94184101 / WAFU	S	07/10/20	07/10/20	\$ 816.48	\$ 914.00	-- \$	(97.52) \$	0.00
<b>Security Subtotal</b>				<b>\$ 816.48</b>	<b>\$ 914.00</b>	<b>-- \$</b>	<b>(97.52) \$</b>	<b>0.00</b>
2,000 WORKHORSE GROUP INC 98138J206 / WKHS	S	06/30/20	06/30/20	\$ 35,755.21	\$ 35,238.62	-- \$	516.59 \$	0.00
<b>Security Subtotal</b>				<b>\$ 35,755.21</b>	<b>\$ 35,238.62</b>	<b>-- \$</b>	<b>516.59 \$</b>	<b>0.00</b>
<b>Total Short-Term (Cost basis is reported to the IRS)</b>				<b>\$ 353,232.95</b>	<b>\$ 355,339.66</b>	<b>-- \$</b>	<b>2,112.24 \$</b>	<b>0.00</b>
						<b>\$ 4,218.95</b>		
<b>Total Short-Term Sales Price of Stocks, Bonds, etc.</b>				<b>\$ 353,232.95</b>	<b>\$ 355,339.66</b>	<b>-- \$</b>	<b>2,112.24 \$</b>	<b>0.00</b>
						<b>\$ 4,218.95</b>		
<b>Total Sales Price of Stocks, Bonds, etc.</b>				<b>\$ 353,232.95</b>				
<b>Total Federal Income Tax Withheld</b>				<b>\$ 0.00</b>				

FATCA Filing Requirement

Please see the "Notes for Your Form 1099-B" section for additional explanation of this Form 1099-B report.

This is important tax information and is being furnished to the Internal Revenue Service. If you are required to file a return, a negligence penalty or other sanction may be imposed on you if this income is taxable and the IRS determines that it has not been reported.



Date Prepared: February 12, 2021

## Notes for Your Form 1099-B

**Box 1b-Date acquired:** If there is more than one lot in a sell transaction, the acquisition date for the individual lot in the transaction can be found in the Realized Gain or (Loss) section of the Year-End Summary.

- (1) If **Box 1b-Date acquired** displays as VARIOUS, your sell transaction included multiple tax lots purchased on different acquisition dates within the same holding period and covered/non-covered status. The lots in the transaction are rolled up into a single sell transaction.
- (2) If the cost basis is missing or not provided, a short-term holding period may have been applied for a position that may have been held long term.

**Box 1d-Proceeds/Box 6-Reported to IRS: Gross proceeds (except where indicated):**

- (1) Gross proceeds from each of your security transactions are reported individually to the IRS.
- (2) Gross proceeds in aggregate are not reported to the IRS and should not be reported on your tax return.
- (3) Net proceeds will only be displayed if the proceeds on a trade have been adjusted for an option premium.

**Box 1e-Cost or other basis:** Schwab has provided cost basis information whenever possible for most investments. Cost basis data may be incomplete or unavailable for some of your holdings. When value for the report is unavailable, it is noted as follows:

- Not Provided** Schwab is not providing Cost Basis on this security type.
- Missing**
  - (1) Cost Basis data may not be available for a number of reasons (for example, the security was purchased outside of Schwab and we did not receive cost basis from the transferring firm).
  - (2) The security was purchased more than 10 years ago.

**Realized Gain or (Loss):** Realized Gain or (Loss) is not reported to the IRS.

**Box 2-Short-term gain or loss, Long-term gain or loss, or Ordinary:** Only if you have both long-term and short-term transactions will you receive both long-term and short-term sections of the 1099-B:

**Long-term gain or loss** has a holding period greater than one year.

**Short-term gain or loss** has a holding period of one year or less.

**Other Cost Basis Notes:**

- (1) The cost basis and basis adjustments for covered securities are reported to the IRS.
- (2) If "BASIS IS REPORTED TO THE IRS" appears in the section heading, this indicates **Box 12-If checked, basis reported to IRS** is checked. If "BASIS IS AVAILABLE BUT NOT REPORTED" or "BASIS IS MISSING AND NOT REPORTED" appears, this indicates **Box 5-If checked, noncovered security** is checked. These boxes are not displayed on the 1099-B but the boxes are reported to the IRS and included in the download for TurboTax and H&R Block.
- (3) For non-covered securities appearing in sections of the 1099-B which include the headings "BASIS IS AVAILABLE BUT NOT REPORTED TO THE IRS" or "BASIS IS MISSING AND NOT REPORTED TO THE IRS", **Box 1b-Date acquired**, **1e-Cost or other basis**, **1f-Accrued Market Discount** and **1g-Wash Sale Loss Disallowed** are not reported to the IRS.

**\*\*Activity Codes** (Not reported to the IRS)

<b>C</b> = Cash in Lieu	<b>E</b> = Exchange	<b>P</b> = Principal	<b>S</b> = Sale	<b>T</b> = Tender	<b>BC</b> = Buy to Close	<b>X</b> = Expiration
<b>CV</b> = Conversion	<b>M</b> = Cash Merger	<b>MT</b> = Maturity	<b>R</b> = Redemption	<b>SS</b> = Short Sale	<b>SC</b> = Sell to Close	

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**YEAR-END SUMMARY INFORMATION IS NOT PROVIDED TO THE IRS.**

Date Prepared: February 12, 2021

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**INTEREST & DIVIDENDS**

The information in the following sections may be helpful for, but not limited to, Schedule B. Please consult with your tax advisor or financial advisor regarding specific questions.

**Detail Information of Dividends and Distributions**

Description	Symbol	CUSIP Number	Paid in 2020	Paid/Adjusted in 2021 for 2020	Amount
<b>Ordinary Dividends</b>					
<b>Qualified Dividends</b>					
APPLE INC	AAPL	037833100	\$ 15.79	\$ 0.00	\$ 15.79
<b>Total Qualified Dividends (Box 1b and included in Box 1a)</b>			<b>\$ 15.79</b>	<b>\$ 0.00</b>	<b>\$ 15.79</b>
<b>Total Ordinary Dividends (Box 1a)</b>			<b>\$ 15.79</b>	<b>\$ 0.00</b>	<b>\$ 15.79</b>
<b>(Total Non-Qualified Dividends, Short-Term Capital Gains and Qualified Dividends)</b>					

**Detail Information of Interest Income**

Description	CUSIP Number	Paid in 2020	Paid/Adjusted in 2021 for 2020	Amount
<b>Interest Income</b>				
DEPOSIT INTEREST		\$ 0.11	\$ 0.00	\$ 0.11
<b>Total Interest Income (Included in Box 1)</b>		<b>\$ 0.11</b>	<b>\$ 0.00</b>	<b>\$ 0.11</b>
<b>Total Interest Income (Box 1)</b>		<b>\$ 0.11</b>	<b>\$ 0.00</b>	<b>\$ 0.11</b>



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Date Prepared: February 12, 2021

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**REALIZED GAIN OR (LOSS)**

The information in the following sections include all your realized gain or (loss) transactions during the tax year. They may be helpful for, but not limited to, Schedule D. Please consult with your tax advisor or financial advisor regarding specific questions.

**Short-Term Realized Gain or (Loss)**

This section is for covered securities and corresponds to transactions reported on your 1099-B as "cost basis is reported to the IRS." Report on Form 8949, Part I, with Box A checked.

Description OR Option Symbol	CUSIP Number	Quantity/Par	Date Acquired	Date Sold	Total Proceeds	(-)Cost Basis	(+)Wash Sale Loss Disallowed	(=)Realized Gain or (Loss)
ALPHA PRO TECH LTD	020772109	10.00	07/17/20	07/17/20	\$ 211.20	\$ 209.40	-- \$	1.80
<b>Security Subtotal</b>					<b>\$ 211.20</b>	<b>\$ 209.40</b>	<b>-- \$</b>	<b>1.80</b>
ALPINE IMMUNE SCIENCES I	02083G100	1.00	06/18/20	06/18/20	\$ 10.65	\$ 11.05	\$ 0.40	0.00
ALPINE IMMUNE SCIENCES I	02083G100	1.00	06/18/20	06/18/20	\$ 11.95	\$ 12.34	\$ 0.39	0.00
ALPINE IMMUNE SCIENCES I	02083G100	9.00	06/18/20	06/18/20	\$ 98.60	\$ 100.70	\$ 2.10	0.00
ALPINE IMMUNE SCIENCES I	02083G100	1.00	06/19/20	06/19/20	\$ 12.65	\$ 13.43	\$ 0.78	0.00
ALPINE IMMUNE SCIENCES I	02083G100	1.00	06/19/20	06/19/20	\$ 12.78	\$ 12.66	-- \$	0.12
ALPINE IMMUNE SCIENCES I	02083G100	1.00	06/19/20	06/19/20	\$ 12.95	\$ 13.07	\$ 0.12	0.00
ALPINE IMMUNE SCIENCES I	02083G100	1.00	06/19/20	06/19/20	\$ 12.95	\$ 13.07	\$ 0.12	0.00
ALPINE IMMUNE SCIENCES I	02083G100	1.00	06/19/20	06/19/20	\$ 13.00	\$ 12.91	-- \$	0.09
ALPINE IMMUNE SCIENCES I	02083G100	2.00	06/19/20	06/19/20	\$ 25.90	\$ 26.76	\$ 0.86	0.00
ALPINE IMMUNE SCIENCES I	02083G100	9.00	06/19/20	06/19/20	\$ 115.09	\$ 113.94	-- \$	1.15
ALPINE IMMUNE SCIENCES I	02083G100	10.00	06/19/20	06/19/20	\$ 127.82	\$ 135.53	-- \$	(7.71)
ALPINE IMMUNE SCIENCES I	02083G100	10.00	06/19/20	06/19/20	\$ 129.44	\$ 135.35	\$ 5.91	0.00
<b>Security Subtotal</b>					<b>\$ 583.78</b>	<b>\$ 600.81</b>	<b>\$ 10.68</b>	<b>(6.35)</b>
APPLE INC	037833100	5.00	06/22/20	06/22/20	\$ 1,789.96	\$ 1,790.08	-- \$	(0.12)

Please see the "Endnotes for Your Realized Gain or (Loss)" for an explanation of the codes and symbols in this Realized Gain or (Loss) section.



**YEAR-END SUMMARY INFORMATION IS NOT PROVIDED TO THE IRS.**

Date Prepared: February 12, 2021

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**Short-Term Realized Gain or (Loss) (continued)**

This section is for covered securities and corresponds to transactions reported on your 1099-B as "cost basis is reported to the IRS." Report on Form 8949, Part I, with Box A checked.

Description OR Option Symbol	CUSIP Number	Quantity/Par	Date Acquired	Date Sold	Total Proceeds	(-)Cost Basis	(+)Wash Sale Loss Disallowed	(=)Realized Gain or (Loss)
APPLE INC	037833100	36.00	06/22/20	06/22/20	\$ 12,887.72	\$ 12,888.54	-- \$	(0.82)
<b>Security Subtotal</b>					<b>\$ 14,677.68</b>	<b>\$ 14,678.62</b>	<b>-- \$</b>	<b>(0.94)</b>
ATLAS FINL HOLDINGS IN F	G06207115	100.00	06/17/20	06/17/20	\$ 103.00	\$ 118.43	-- \$	(15.43)
ATLAS FINL HOLDINGS IN F	G06207115	333.00	06/17/20	06/17/20	\$ 302.59	\$ 364.35	\$ 61.76	0.00
ATLAS FINL HOLDINGS IN F	G06207115	700.00	06/17/20	06/17/20	\$ 636.08	\$ 766.53	\$ 96.53	(33.92)
ATLAS FINL HOLDINGS IN F	G06207115	751.00	06/17/20	06/17/20	\$ 913.42	\$ 1,123.55	-- \$	(210.13)
ATLAS FINL HOLDINGS IN F	G06207115	1,033.00	06/17/20	06/17/20	\$ 961.70	\$ 1,091.08	\$ 129.38	0.00
ATLAS FINL HOLDINGS IN F	G06207115	1,033.00	06/17/20	06/17/20	\$ 971.00	\$ 1,032.90	\$ 61.90	0.00
<b>Security Subtotal</b>					<b>\$ 3,887.79</b>	<b>\$ 4,496.84</b>	<b>\$ 349.57</b>	<b>(259.48)</b>
AYRO INC	054748108	2,000.00	07/06/20	07/06/20	\$ 11,068.16	\$ 11,019.80	-- \$	48.36
<b>Security Subtotal</b>					<b>\$ 11,068.16</b>	<b>\$ 11,019.80</b>	<b>-- \$</b>	<b>48.36</b>
BLINK CHARGING CO	09354A100	10.00	11/24/20	12/17/20	\$ 324.49	\$ 284.25	-- \$	40.24
<b>Security Subtotal</b>					<b>\$ 324.49</b>	<b>\$ 284.25</b>	<b>-- \$</b>	<b>40.24</b>
BOXLIGHT CORP A	00500 CLASS 103197109	10.00	07/14/20	07/14/20	\$ 22.32	\$ 22.39	\$ 0.07	0.00
BOXLIGHT CORP A	00500 CLASS 103197109	1.00	07/16/20	07/16/20	\$ 3.65	\$ 3.76	\$ 0.11	0.00
BOXLIGHT CORP A	00500 CLASS 103197109	10.00	07/16/20	07/16/20	\$ 36.50	\$ 36.13	-- \$	0.37
BOXLIGHT CORP A	00500 CLASS 103197109	10.00	07/16/20	07/16/20	\$ 38.75	\$ 38.31	\$ 0.06	0.50

Please see the "Endnotes for Your Realized Gain or (Loss)" for an explanation of the codes and symbols in this Realized Gain or (Loss) section.



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Date Prepared: February 12, 2021

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**Short-Term Realized Gain or (Loss) (continued)**

This section is for covered securities and corresponds to transactions reported on your 1099-B as "cost basis is reported to the IRS." Report on Form 8949, Part I, with Box A checked.

Description OR Option Symbol	CUSIP Number	Quantity/Par	Date Acquired	Date Sold	Total Proceeds	(-)Cost Basis	(+)Wash Sale Loss Disallowed	(=)Realized Gain or (Loss)
BOXLIGHT CORP A	00500 CLASS 103197109	10.00	07/16/20	07/16/20	\$ 41.55	\$ 40.82	-- \$	0.73
BOXLIGHT CORP A	00500 CLASS 103197109	10.00	07/16/20	07/16/20	\$ 45.23	\$ 44.45	-- \$	0.78
BOXLIGHT CORP A	00500 CLASS 103197109	10.00	07/16/20	07/16/20	\$ 45.40	\$ 44.90	-- \$	0.50
<b>Security Subtotal</b>					<b>\$ 233.40</b>	<b>\$ 230.76</b>	<b>\$ 0.24</b>	<b>\$ 2.88</b>
BROADWAY FINL CORP	111444105	1.00	06/19/20	06/19/20	\$ 5.16	\$ 4.87	-- \$	0.29
BROADWAY FINL CORP	111444105	10.00	06/19/20	06/19/20	\$ 53.50	\$ 53.30	-- \$	0.20
BROADWAY FINL CORP	111444105	10.00	06/19/20	06/19/20	\$ 70.55	\$ 69.60	-- \$	0.95
<b>Security Subtotal</b>					<b>\$ 129.21</b>	<b>\$ 127.77</b>	<b>-- \$</b>	<b>\$ 1.44</b>
CARVER BANCORP INC	146875604	1.00	06/17/20	06/17/20	\$ 19.25	\$ 22.32	-- \$	(3.07)
CARVER BANCORP INC	146875604	15.00	06/17/20	06/17/20	\$ 288.80	\$ 334.22	\$ 45.42	0.00
CARVER BANCORP INC	146875604	37.00	06/17/20	06/17/20	\$ 712.39	\$ 827.74	-- \$	(115.35)
CARVER BANCORP INC	146875604	53.00	06/17/20	06/17/20	\$ 807.17	\$ 1,000.69	\$ 193.52	0.00
CARVER BANCORP INC	146875604	1.00	06/18/20	06/18/20	\$ 13.43	\$ 16.42	-- \$	(2.99)
CARVER BANCORP INC	146875604	2.00	06/18/20	06/18/20	\$ 26.46	\$ 32.27	-- \$	(5.81)
CARVER BANCORP INC	146875604	2.00	06/18/20	06/18/20	\$ 29.04	\$ 34.94	-- \$	(5.90)
CARVER BANCORP INC	146875604	10.00	06/18/20	06/18/20	\$ 143.55	\$ 171.03	-- \$	(27.48)
<b>Security Subtotal</b>					<b>\$ 2,040.09</b>	<b>\$ 2,439.63</b>	<b>\$ 238.94</b>	<b>\$ (160.60)</b>
CELLEX THERAPEUTICS	15117B202	1.00	06/19/20	06/19/20	\$ 12.08	\$ 12.16	-- \$	(0.08)

Please see the "Endnotes for Your Realized Gain or (Loss)" for an explanation of the codes and symbols in this Realized Gain or (Loss) section.





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Date Prepared: February 12, 2021

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**Short-Term Realized Gain or (Loss) (continued)**

This section is for covered securities and corresponds to transactions reported on your 1099-B as "cost basis is reported to the IRS." Report on Form 8949, Part I, with Box A checked.

Description OR Option Symbol	CUSIP Number	Quantity/Par	Date Acquired	Date Sold	Total Proceeds	(-)Cost Basis	(+)Wash Sale Loss Disallowed	(=)Realized Gain or (Loss)
CELLEX THERAPEUTICS	15117B202	9.00	06/19/20	06/19/20	\$ 108.67	\$ 109.44	-- \$	(0.77)
<b>Security Subtotal</b>					<b>\$ 120.75</b>	<b>\$ 121.60</b>	<b>-- \$</b>	<b>(0.85)</b>
CHEGG INC	163092109	10.00	06/19/20	06/19/20	\$ 686.18	\$ 685.70	-- \$	0.48
<b>Security Subtotal</b>					<b>\$ 686.18</b>	<b>\$ 685.70</b>	<b>-- \$</b>	<b>0.48</b>
CHINA RAPID FIN LIMITXXXNAME CHANGE	16953Q204	1.00	06/23/20	06/23/20	\$ 3.65	\$ 3.64	-- \$	0.01
CHINA RAPID FIN LIMITXXXNAME CHANGE	16953Q204	2.00	06/23/20	06/23/20	\$ 7.30	\$ 7.34	0.04 \$	0.00
CHINA RAPID FIN LIMITXXXNAME CHANGE	16953Q204	40.00	06/23/20	06/23/20	\$ 146.00	\$ 146.40	0.40 \$	0.00
CHINA RAPID FIN LIMITXXXNAME CHANGE	16953Q204	57.00	06/23/20	06/23/20	\$ 208.05	\$ 206.91	-- \$	1.14
CHINA RAPID FIN LIMITXXXNAME CHANGE	16953Q204	100.00	06/23/20	06/23/20	\$ 365.99	\$ 392.00	-- \$	(26.01)
CHINA RAPID FIN LIMITXXXNAME CHANGE	16953Q204	250.00	06/23/20	06/23/20	\$ 909.98	\$ 920.00	10.02 \$	0.00
CHINA RAPID FIN LIMITXXXNAME CHANGE	16953Q204	650.00	06/23/20	06/23/20	\$ 2,372.44	\$ 2,392.00	19.56 \$	0.00
CHINA RAPID FIN LIMITXXXNAME CHANGE	16953Q204	1,000.00	06/23/20	06/23/20	\$ 3,900.11	\$ 3,869.32	-- \$	30.79
<b>Security Subtotal</b>					<b>\$ 7,913.52</b>	<b>\$ 7,937.61</b>	<b>\$ 30.02</b>	<b>\$ 5.93</b>
CITIUS PHARMACEUTICALS I	17322U207	700.00	06/26/20	06/26/20	\$ 1,354.47	\$ 1,395.33	40.86 \$	0.00
CITIUS PHARMACEUTICALS I	17322U207	740.00	06/26/20	06/26/20	\$ 1,098.65	\$ 1,176.60	77.95 \$	0.00
CITIUS PHARMACEUTICALS I	17322U207	1,260.00	06/26/20	06/26/20	\$ 1,870.68	\$ 2,016.00	145.32 \$	0.00

Please see the "Endnotes for Your Realized Gain or (Loss)" for an explanation of the codes and symbols in this Realized Gain or (Loss) section.



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Date Prepared: February 12, 2021

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**Short-Term Realized Gain or (Loss) (continued)**

This section is for covered securities and corresponds to transactions reported on your 1099-B as "cost basis is reported to the IRS." Report on Form 8949, Part I, with Box A checked.

Description OR Option Symbol	CUSIP Number	Quantity/Par	Date Acquired	Date Sold	Total Proceeds	(-)Cost Basis	(+)Wash Sale Loss Disallowed	(=)Realized Gain or (Loss)
CITIUS PHARMACEUTICALS I	17322U207	1,300.00	06/26/20	06/26/20	\$ 2,515.44	\$ 2,571.86	\$ 56.42	0.00
CITIUS PHARMACEUTICALS I	17322U207	2,000.00	06/26/20	06/26/20	\$ 3,169.93	\$ 3,383.27	\$ 213.34	0.00
CITIUS PHARMACEUTICALS I	17322U207	2,000.00	06/26/20	06/26/20	\$ 3,253.93	\$ 3,154.20	\$ --	99.73
CITIUS PHARMACEUTICALS I	17322U207	2,000.00	06/26/20	06/26/20	\$ 3,253.93	\$ 3,493.21	\$ 239.28	0.00
CITIUS PHARMACEUTICALS I	17322U207	2,000.00	06/26/20	06/26/20	\$ 3,320.13	\$ 3,513.34	\$ 193.21	0.00
CITIUS PHARMACEUTICALS I	17322U207	2,000.00	06/26/20	06/26/20	\$ 3,719.92	\$ 3,797.28	\$ --	(77.36)
<b>Security Subtotal</b>					<b>\$ 23,557.08</b>	<b>\$ 24,501.09</b>	<b>\$ 966.38</b>	<b>\$ 22.37</b>
CLEANSARK INC	18452B209	100.00	06/29/20	06/29/20	\$ 347.99	\$ 349.00	\$ --	(1.01)
CLEANSARK INC	18452B209	500.00	06/29/20	06/29/20	\$ 1,742.06	\$ 1,745.00	\$ --	(2.94)
CLEANSARK INC	18452B209	1,400.00	06/29/20	06/29/20	\$ 4,871.89	\$ 4,872.00	\$ --	(0.11)
<b>Security Subtotal</b>					<b>\$ 6,961.94</b>	<b>\$ 6,966.00</b>	<b>\$ --</b>	<b>(4.06)</b>
CLEARSIGN TECHNOLOGIES C	185064102	1.00	06/16/20	06/16/20	\$ 2.52	\$ 2.57	\$ 0.05	0.00
CLEARSIGN TECHNOLOGIES C	185064102	33.00	06/16/20	06/16/20	\$ 86.80	\$ 100.42	\$ 13.62	0.00
CLEARSIGN TECHNOLOGIES C	185064102	33.00	06/16/20	06/16/20	\$ 89.22	\$ 97.42	\$ 8.20	0.00
CLEARSIGN TECHNOLOGIES C	185064102	352.00	06/16/20	06/16/20	\$ 911.66	\$ 996.21	\$ 84.55	0.00
CLEARSIGN TECHNOLOGIES C	185064102	353.00	06/16/20	06/16/20	\$ 928.44	\$ 1,073.28	\$ 144.84	0.00
CLEARSIGN TECHNOLOGIES C	185064102	353.00	06/16/20	06/16/20	\$ 935.47	\$ 1,110.55	\$ 175.08	0.00
CLEARSIGN TECHNOLOGIES C	185064102	353.00	06/16/20	06/16/20	\$ 988.42	\$ 1,178.43	\$ 190.01	0.00
CLEARSIGN TECHNOLOGIES C	185064102	367.00	06/16/20	06/16/20	\$ 1,007.40	\$ 1,186.36	\$ 178.96	0.00
CLEARSIGN TECHNOLOGIES C	185064102	384.00	06/16/20	06/16/20	\$ 1,029.10	\$ 1,093.09	\$ 65.71	1.72
CLEARSIGN TECHNOLOGIES C	185064102	384.00	06/16/20	06/16/20	\$ 1,079.02	\$ 1,148.59	\$ 69.57	0.00
CLEARSIGN TECHNOLOGIES C	185064102	100.00	06/17/20	06/17/20	\$ 335.49	\$ 393.74	\$ --	(58.25)

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**Short-Term Realized Gain or (Loss) (continued)**

This section is for covered securities and corresponds to transactions reported on your 1099-B as "cost basis is reported to the IRS." Report on Form 8949, Part I, with Box A checked.

Description OR Option Symbol	CUSIP Number	Quantity/Par	Date Acquired	Date Sold	Total Proceeds	(-)Cost Basis	(+)Wash Sale Loss Disallowed	(=)Realized Gain or (Loss)
CLEARSIGN TECHNOLOGIES C	185064102	196.00	06/17/20	06/17/20	\$ 657.45	\$ 749.21	-- \$	(91.76)
CLEARSIGN TECHNOLOGIES C	185064102	292.00	06/17/20	06/17/20	\$ 1,029.28	\$ 1,146.20	\$ 116.92	0.00
CLEARSIGN TECHNOLOGIES C	185064102	516.00	06/17/20	06/17/20	\$ 2,027.84	\$ 2,187.28	\$ 127.67	(31.77)
<b>Security Subtotal</b>					<b>\$ 11,108.11</b>	<b>\$ 12,463.35</b>	<b>\$ 1,175.18</b>	<b>(180.06)</b>
CLEVELAND BIOLABS	185860202	100.00	06/26/20	06/26/20	\$ 441.49	442.81	-- \$	(1.32)
CLEVELAND BIOLABS	185860202	200.00	06/26/20	06/26/20	\$ 882.98	883.62	-- \$	(0.64)
CLEVELAND BIOLABS	185860202	1,700.00	06/26/20	06/26/20	\$ 7,480.00	7,527.76	-- \$	(47.76)
CLEVELAND BIOLABS	185860202	2,000.00	06/26/20	06/26/20	\$ 8,519.81	\$ 8,636.00	\$ 116.19	0.00
<b>Security Subtotal</b>					<b>\$ 17,324.28</b>	<b>\$ 17,490.19</b>	<b>\$ 116.19</b>	<b>(49.72)</b>
CYMABAY THERAPEUTICS	23257D103	10.00	07/23/20	07/23/20	\$ 48.24	44.37	-- \$	3.87
<b>Security Subtotal</b>					<b>\$ 48.24</b>	<b>\$ 44.37</b>	<b>-- \$</b>	<b>3.87</b>
DIREXION DAILY S&P 50XXXREVERSE SPLIT	25460E885	1.00	06/18/20	06/18/20	\$ 7.84	7.83	-- \$	0.01
DIREXION DAILY S&P 50XXXREVERSE SPLIT	25460E885	125.00	06/19/20	06/19/20	\$ 997.49	995.98	-- \$	1.51
DIREXION DAILY S&P 50XXXREVERSE SPLIT	25460E885	1,267.00	06/19/20	06/19/20	\$ 9,997.68	9,995.36	-- \$	2.32
DIREXION DAILY S&P 50XXXREVERSE SPLIT	25460E885	2,000.00	06/25/20	06/25/20	\$ 16,885.83	16,879.80	-- \$	6.03
<b>Security Subtotal</b>					<b>\$ 27,888.84</b>	<b>\$ 27,878.97</b>	<b>-- \$</b>	<b>9.87</b>
DYNATRONICS CORP	268157401	10.00	06/18/20	06/18/20	\$ 11.45	11.26	-- \$	0.19

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**Short-Term Realized Gain or (Loss) (continued)**

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Description OR Option Symbol	CUSIP Number	Quantity/Par	Date Acquired	Date Sold	Total Proceeds	(-)Cost Basis	(+)Wash Sale Loss Disallowed	(=)Realized Gain or (Loss)
DYNATRONICS CORP	268157401	78.00	06/18/20	06/18/20	\$ 89.31	\$ 87.75	-- \$	1.56
<b>Security Subtotal</b>					<b>\$ 100.76</b>	<b>\$ 99.01</b>	<b>-- \$</b>	<b>1.75</b>
EASTMAN KODAK CO	277461406	10.00	07/28/20	07/28/20	\$ 93.01	\$ 97.30	\$ 4.29	0.00
EASTMAN KODAK CO	277461406	10.00	07/28/20	07/28/20	\$ 96.10	\$ 91.60	-- \$	4.50
EASTMAN KODAK CO	277461406	10.00	07/28/20	07/28/20	\$ 96.10	\$ 102.84	\$ 6.74	0.00
EASTMAN KODAK CO	277461406	10.00	07/28/20	07/28/20	\$ 100.60	\$ 98.87	-- \$	1.73
EASTMAN KODAK CO	277461406	10.00	07/28/20	07/28/20	\$ 109.21	\$ 114.14	\$ 3.95	(0.98)
EASTMAN KODAK CO	277461406	2.00	07/29/20	07/29/20	\$ 37.86	\$ 36.59	-- \$	1.27
EASTMAN KODAK CO	277461406	2.00	07/29/20	07/29/20	\$ 37.87	\$ 37.51	-- \$	0.36
EASTMAN KODAK CO	277461406	2.00	07/29/20	07/29/20	\$ 37.87	\$ 38.97	-- \$	(1.10)
EASTMAN KODAK CO	277461406	2.00	07/29/20	07/29/20	\$ 37.87	\$ 40.15	-- \$	(2.28)
<b>Security Subtotal</b>					<b>\$ 646.49</b>	<b>\$ 657.97</b>	<b>\$ 14.98</b>	<b>\$ 3.50</b>
ELECTRAMECCANICA VEHIC F	284849205	10.00	07/06/20	07/06/20	\$ 44.30	\$ 44.08	-- \$	0.22
ELECTRAMECCANICA VEHIC F	284849205	967.00	07/06/20	07/06/20	\$ 4,283.72	\$ 4,262.54	-- \$	21.18
ELECTRAMECCANICA VEHIC F	284849205	1,023.00	07/06/20	07/06/20	\$ 4,521.56	\$ 4,509.38	-- \$	12.18
<b>Security Subtotal</b>					<b>\$ 8,849.58</b>	<b>\$ 8,816.00</b>	<b>-- \$</b>	<b>33.58</b>
EMAGIN CORP	29076N206	1.00	07/24/20	07/24/20	\$ 1.16	\$ 1.15	-- \$	0.01
EMAGIN CORP	29076N206	1.00	07/24/20	07/24/20	\$ 1.24	\$ 1.24	-- \$	0.00
<b>Security Subtotal</b>					<b>\$ 2.40</b>	<b>\$ 2.39</b>	<b>-- \$</b>	<b>0.01</b>
ENTERA BIO LTD F	M40527109	10.00	07/23/20	07/23/20	\$ 27.70	\$ 28.90	-- \$	(1.20)

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**Short-Term Realized Gain or (Loss) (continued)**

This section is for covered securities and corresponds to transactions reported on your 1099-B as "cost basis is reported to the IRS." Report on Form 8949, Part I, with Box A checked.

Description OR Option Symbol	CUSIP Number	Quantity/Par	Date Acquired	Date Sold	Total Proceeds	(-)Cost Basis	(+)Wash Sale Loss Disallowed	(=)Realized Gain or (Loss)
ENTERA BIO LTD F	M40527109	10.00	07/23/20	07/23/20	\$ 27.70	\$ 29.50	-- \$	(1.80)
<b>Security Subtotal</b>					<b>\$ 55.40</b>	<b>\$ 58.40</b>	<b>-- \$</b>	<b>(3.00)</b>
FSD PHARMA INC FSD PHA F	35954B206	10.00	07/30/20	07/30/20	\$ 53.50	\$ 61.16	-- \$	(7.66)
FSD PHARMA INC FSD PHA F	35954B206	10.00	07/30/20	07/30/20	\$ 53.50	\$ 62.94	-- \$	(9.44)
FSD PHARMA INC FSD PHA F	35954B206	10.00	07/30/20	07/30/20	\$ 53.50	\$ 68.08	-- \$	(14.58)
<b>Security Subtotal</b>					<b>\$ 160.50</b>	<b>\$ 192.18</b>	<b>-- \$</b>	<b>(31.68)</b>
G E E GROUP INC	36165A102	900.00	07/02/20	07/02/20	\$ 1,403.97	\$ 1,404.00	-- \$	(0.03)
G E E GROUP INC	36165A102	1,100.00	07/02/20	07/02/20	\$ 1,704.96	\$ 1,716.00	-- \$	(11.04)
<b>Security Subtotal</b>					<b>\$ 3,108.93</b>	<b>\$ 3,120.00</b>	<b>-- \$</b>	<b>(11.07)</b>
GENETIC TECHS LTD FUNSPONSORED ADR	37185R307	1.00	07/15/20	07/15/20	\$ 3.40	\$ 3.22	-- \$	0.18
GENETIC TECHS LTD FUNSPONSORED ADR	37185R307	1.00	07/15/20	07/15/20	\$ 3.44	\$ 3.66	-- \$	(0.22)
GENETIC TECHS LTD FUNSPONSORED ADR	37185R307	1.00	07/15/20	07/15/20	\$ 3.64	\$ 3.58	-- \$	0.06
GENETIC TECHS LTD FUNSPONSORED ADR	37185R307	10.00	07/15/20	07/15/20	\$ 33.75	\$ 33.49	-- \$	0.26
GENETIC TECHS LTD FUNSPONSORED ADR	37185R307	10.00	07/15/20	07/15/20	\$ 34.37	\$ 33.95	-- \$	0.42
GENETIC TECHS LTD FUNSPONSORED ADR	37185R307	10.00	07/15/20	07/15/20	\$ 34.37	\$ 35.19	-- \$	(0.82)

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**Short-Term Realized Gain or (Loss) (continued)**

This section is for covered securities and corresponds to transactions reported on your 1099-B as "cost basis is reported to the IRS." Report on Form 8949, Part I, with Box A checked.

Description OR Option Symbol	CUSIP Number	Quantity/Par	Date Acquired	Date Sold	Total Proceeds	(-)Cost Basis	(+)Wash Sale Loss Disallowed	(=)Realized Gain or (Loss)
GENETIC TECHS LTD FUNSPONSORED ADR	37185R307	10.00	07/15/20	07/15/20	\$ 34.38	\$ 33.75	-- \$	0.63
<b>Security Subtotal</b>					<b>\$ 147.35</b>	<b>\$ 146.84</b>	<b>-- \$</b>	<b>0.51</b>
GENIUS BRANDS INTL	37229T301	1.00	06/19/20	06/19/20	\$ 2.93	\$ 2.92	-- \$	0.01
GENIUS BRANDS INTL	37229T301	100.00	06/23/20	06/23/20	\$ 293.10	\$ 284.50	-- \$	8.60
GENIUS BRANDS INTL	37229T301	394.00	06/23/20	06/23/20	\$ 1,142.57	\$ 1,158.36	-- \$	(15.79)
GENIUS BRANDS INTL	37229T301	606.00	06/23/20	06/23/20	\$ 1,757.42	\$ 1,781.64	-- \$	(24.22)
<b>Security Subtotal</b>					<b>\$ 3,196.02</b>	<b>\$ 3,227.42</b>	<b>-- \$</b>	<b>(31.40)</b>
GLOBAL EAGLE ENTMNT	37951D300	5.00	07/24/20	07/24/20	\$ 30.00	\$ 29.80	-- \$	0.20
GLOBAL EAGLE ENTMNT	37951D300	5.00	07/24/20	07/24/20	\$ 32.85	\$ 30.90	-- \$	1.95
GLOBAL EAGLE ENTMNT	37951D300	5.00	07/24/20	07/24/20	\$ 33.51	\$ 30.90	-- \$	2.61
<b>Security Subtotal</b>					<b>\$ 96.36</b>	<b>\$ 91.60</b>	<b>-- \$</b>	<b>4.76</b>
HEAT BIOLOGICS INC SPLIT	XXXREVERSE 42237K300	100.00	07/17/20	07/17/20	\$ 276.99	\$ 275.00	-- \$	1.99
HEAT BIOLOGICS INC SPLIT	XXXREVERSE 42237K300	10.00	07/29/20	07/29/20	\$ 26.05	\$ 25.65	-- \$	0.40
HEAT BIOLOGICS INC SPLIT	XXXREVERSE 42237K300	10.00	07/29/20	07/29/20	\$ 26.05	\$ 26.15	-- \$	(0.10)
HEAT BIOLOGICS INC SPLIT	XXXREVERSE 42237K300	10.00	07/29/20	07/29/20	\$ 26.80	\$ 26.50	-- \$	0.30
<b>Security Subtotal</b>					<b>\$ 355.89</b>	<b>\$ 353.30</b>	<b>-- \$</b>	<b>2.59</b>
HERTZ RENTAL CAR HOLDING	42806J106	440.00	06/17/20	06/17/20	\$ 967.98	\$ 926.20	-- \$	41.78

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**Short-Term Realized Gain or (Loss) (continued)**

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Description OR Option Symbol	CUSIP Number	Quantity/Par	Date Acquired	Date Sold	Total Proceeds	(-)Cost Basis	(+)Wash Sale Loss Disallowed	(=)Realized Gain or (Loss)
HERTZ RENTAL CAR HOLDING	42806J106	100.00	06/24/20	06/24/20	\$ 208.00	\$ 206.00	-- \$	2.00
HERTZ RENTAL CAR HOLDING	42806J106	1,000.00	06/24/20	06/24/20	\$ 2,269.95	\$ 2,234.10	-- \$	35.85
HERTZ RENTAL CAR HOLDING	42806J106	10.00	07/22/20	07/22/20	\$ 18.04	\$ 18.05	-- \$	(0.01)
<b>Security Subtotal</b>					<b>\$ 3,463.97</b>	<b>\$ 3,384.35</b>	<b>-- \$</b>	<b>79.62</b>
IDEANOMICS INC	45166V106	1.00	06/18/20	06/18/20	\$ 2.15	\$ 2.15	-- \$	0.00
IDEANOMICS INC	45166V106	1.00	06/19/20	06/19/20	\$ 2.13	\$ 2.13	-- \$	0.00
IDEANOMICS INC	45166V106	10.00	06/19/20	06/19/20	\$ 21.20	\$ 21.30	\$ 0.10	0.00
IDEANOMICS INC	45166V106	1.00	06/22/20	06/22/20	\$ 3.27	\$ 3.26	-- \$	0.01
IDEANOMICS INC	45166V106	1.00	06/22/20	06/22/20	\$ 3.82	\$ 3.80	-- \$	0.02
IDEANOMICS INC	45166V106	100.00	06/22/20	06/22/20	\$ 356.99	\$ 351.15	-- \$	5.84
IDEANOMICS INC	45166V106	200.00	06/22/20	06/22/20	\$ 592.89	\$ 590.70	-- \$	2.19
IDEANOMICS INC	45166V106	300.00	06/22/20	06/22/20	\$ 1,121.08	\$ 1,113.00	-- \$	8.08
IDEANOMICS INC	45166V106	500.00	06/22/20	06/22/20	\$ 1,784.96	\$ 1,757.33	-- \$	27.63
IDEANOMICS INC	45166V106	600.00	06/22/20	06/22/20	\$ 1,951.94	\$ 1,944.00	-- \$	7.94
IDEANOMICS INC	45166V106	600.00	06/22/20	06/22/20	\$ 1,979.96	\$ 1,978.02	-- \$	1.94
IDEANOMICS INC	45166V106	600.00	06/22/20	06/22/20	\$ 2,015.96	\$ 1,991.94	-- \$	24.02
IDEANOMICS INC	45166V106	600.00	06/22/20	06/22/20	\$ 2,070.01	\$ 2,078.87	\$ 8.86	0.00
IDEANOMICS INC	45166V106	600.00	06/22/20	06/22/20	\$ 2,093.95	\$ 2,117.94	\$ 23.99	0.00
IDEANOMICS INC	45166V106	600.00	06/22/20	06/22/20	\$ 2,357.95	\$ 2,322.00	-- \$	35.95
IDEANOMICS INC	45166V106	2,000.00	06/29/20	06/29/20	\$ 3,986.31	\$ 4,000.00	-- \$	(13.69)
IDEANOMICS INC	45166V106	10.00	07/30/20	07/30/20	\$ 16.20	\$ 16.00	-- \$	0.20
<b>Security Subtotal</b>					<b>\$ 20,360.77</b>	<b>\$ 20,293.59</b>	<b>\$ 32.95</b>	<b>100.13</b>

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**Short-Term Realized Gain or (Loss) (continued)**

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Description OR Option Symbol	CUSIP Number	Quantity/Par	Date Acquired	Date Sold	Total Proceeds	(-)Cost Basis	(+)Wash Sale Loss Disallowed	(=)Realized Gain or (Loss)
INVITAE CORP	46185L103	300.00	06/22/20	06/22/20	\$ 7,950.33	\$ 7,933.32	-- \$	17.01
<b>Security Subtotal</b>					<b>\$ 7,950.33</b>	<b>\$ 7,933.32</b>	<b>-- \$</b>	<b>17.01</b>
JAKKS PACIFIC INC SPLIT	XXXREVERSE 47012E106	1.00	06/24/20	06/24/20	\$ 1.19	\$ 1.17	-- \$	0.02
JAKKS PACIFIC INC SPLIT	XXXREVERSE 47012E106	1.00	06/24/20	06/24/20	\$ 1.19	\$ 1.18	-- \$	0.01
<b>Security Subtotal</b>					<b>\$ 2.38</b>	<b>\$ 2.35</b>	<b>-- \$</b>	<b>0.03</b>
KITOV PHARMA LTD SPLIT	XXXREVERSE 49803V107	854.00	06/23/20	06/23/20	\$ 1,073.89	\$ 990.64	-- \$	83.25
<b>Security Subtotal</b>					<b>\$ 1,073.89</b>	<b>\$ 990.64</b>	<b>-- \$</b>	<b>83.25</b>
L M FUNDING AMERICA INC	502074305	150.00	06/17/20	06/17/20	\$ 664.49	\$ 658.50	-- \$	5.99
L M FUNDING AMERICA INC	502074305	1.00	06/19/20	06/19/20	\$ 2.10	\$ 2.10	-- \$	0.00
L M FUNDING AMERICA INC	502074305	10.00	06/19/20	06/19/20	\$ 23.10	\$ 27.25	\$ 4.15	0.00
L M FUNDING AMERICA INC	502074305	100.00	06/19/20	06/19/20	\$ 230.99	\$ 239.00	-- \$	(8.01)
L M FUNDING AMERICA INC	502074305	100.00	06/19/20	06/19/20	\$ 230.99	\$ 250.00	\$ 17.11	(1.90)
L M FUNDING AMERICA INC	502074305	100.00	06/19/20	06/19/20	\$ 231.00	\$ 230.00	-- \$	1.00
L M FUNDING AMERICA INC	502074305	100.00	06/19/20	06/19/20	\$ 252.99	\$ 280.25	-- \$	(27.26)
<b>Security Subtotal</b>					<b>\$ 1,635.66</b>	<b>\$ 1,687.10</b>	<b>\$ 21.26</b>	<b>(30.18)</b>
MEXCO ENERGY CORP	592770101	10.00	07/22/20	07/22/20	\$ 142.55	\$ 145.15	-- \$	(2.60)
<b>Security Subtotal</b>					<b>\$ 142.55</b>	<b>\$ 145.15</b>	<b>-- \$</b>	<b>(2.60)</b>
MICROVISION INC	594960304	10.00	07/17/20	07/17/20	\$ 29.07	\$ 28.58	-- \$	0.49

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MICROVISION INC	594960304	10.00	07/17/20	07/17/20	\$ 29.07	\$ 29.18	\$ 0.11	0.00
MICROVISION INC	594960304	10.00	07/17/20	07/17/20	\$ 29.20	\$ 29.29	--	(0.09)
MICROVISION INC	594960304	50.00	07/17/20	07/17/20	\$ 145.75	\$ 158.32	\$ 12.57	0.00
MICROVISION INC	594960304	50.00	07/17/20	07/17/20	\$ 145.99	\$ 146.45	--	(0.46)
MICROVISION INC	594960304	50.00	07/17/20	07/17/20	\$ 146.00	\$ 152.32	--	(6.32)
MICROVISION INC	594960304	50.00	07/17/20	07/17/20	\$ 146.00	\$ 170.73	--	(24.73)
MICROVISION INC	594960304	50.00	07/17/20	07/17/20	\$ 146.25	\$ 144.36	--	1.89
MICROVISION INC	594960304	50.00	07/17/20	07/17/20	\$ 147.50	\$ 168.82	\$ 21.32	0.00
<b>Security Subtotal</b>					<b>\$ 964.83</b>	<b>\$ 1,028.05</b>	<b>\$ 34.00</b>	<b>(29.22)</b>
MIDATECH PHARMA PLC FUNSPONSORED ADR	59564R302	1.00	07/21/20	07/21/20	\$ 3.87	\$ 3.93	\$ 0.06	0.00
MIDATECH PHARMA PLC FUNSPONSORED ADR	59564R302	1.00	07/21/20	07/21/20	\$ 5.29	\$ 6.25	--	(0.96)
MIDATECH PHARMA PLC FUNSPONSORED ADR	59564R302	10.00	07/21/20	07/21/20	\$ 45.35	\$ 44.59	--	0.76
MIDATECH PHARMA PLC FUNSPONSORED ADR	59564R302	10.00	07/21/20	07/21/20	\$ 49.86	\$ 46.34	--	3.52
MIDATECH PHARMA PLC FUNSPONSORED ADR	59564R302	10.00	07/21/20	07/21/20	\$ 49.86	\$ 48.55	--	1.31
MIDATECH PHARMA PLC FUNSPONSORED ADR	59564R302	12.00	07/21/20	07/21/20	\$ 63.51	\$ 68.13	--	(4.62)
MIDATECH PHARMA PLC FUNSPONSORED ADR	59564R302	20.00	07/21/20	07/21/20	\$ 129.34	\$ 129.25	--	0.09
MIDATECH PHARMA PLC FUNSPONSORED ADR	59564R302	20.00	07/21/20	07/21/20	\$ 131.29	\$ 125.33	--	5.96

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**Short-Term Realized Gain or (Loss) (continued)**

This section is for covered securities and corresponds to transactions reported on your 1099-B as "cost basis is reported to the IRS." Report on Form 8949, Part I, with Box A checked.

Description OR Option Symbol	CUSIP Number	Quantity/Par	Date Acquired	Date Sold	Total Proceeds	(-)Cost Basis	(+)Wash Sale Loss Disallowed	(=)Realized Gain or (Loss)
MIDATECH PHARMA PLC FUNSPONSORED ADR	59564R302	20.00	07/21/20	07/21/20	\$ 131.30	\$ 132.26	\$ 0.62	(0.34)
MIDATECH PHARMA PLC FUNSPONSORED ADR	59564R302	20.00	07/21/20	07/21/20	\$ 136.02	\$ 138.27	\$ 2.25	0.00
<b>Security Subtotal</b>					<b>\$ 745.69</b>	<b>\$ 742.90</b>	<b>\$ 2.93</b>	<b>5.72</b>
MILESTONE PHARMACEUTIC F	59935V107	1.00	07/24/20	07/24/20	\$ 10.63	10.54	--	0.09
<b>Security Subtotal</b>					<b>\$ 10.63</b>	<b>10.54</b>	<b>--</b>	<b>0.09</b>
MOLECULIN BIOTECH INCXXXREVERSE SPLIT	60855D101	10.00	07/21/20	07/21/20	\$ 14.27	15.17	--	(0.90)
MOLECULIN BIOTECH INCXXXREVERSE SPLIT	60855D101	10.00	07/21/20	07/21/20	\$ 14.64	\$ 15.36	\$ 0.72	0.00
MOLECULIN BIOTECH INCXXXREVERSE SPLIT	60855D101	10.00	07/21/20	07/21/20	\$ 15.45	15.43	--	0.02
<b>Security Subtotal</b>					<b>\$ 44.36</b>	<b>\$ 45.96</b>	<b>\$ 0.72</b>	<b>(0.88)</b>
MYOS RENS INC XXXMANDATORY MERGER	62857P108	100.00	07/01/20	07/01/20	\$ 340.99	332.00	--	8.99
MYOS RENS INC XXXMANDATORY MERGER	62857P108	287.00	07/01/20	07/01/20	\$ 982.81	\$ 995.89	\$ 13.08	0.00
MYOS RENS INC XXXMANDATORY MERGER	62857P108	300.00	07/01/20	07/01/20	\$ 1,022.98	1,044.00	--	(21.02)
MYOS RENS INC XXXMANDATORY MERGER	62857P108	800.00	07/01/20	07/01/20	\$ 2,727.94	2,697.59	--	30.35
MYOS RENS INC XXXMANDATORY MERGER	62857P108	1,100.00	07/01/20	07/01/20	\$ 3,750.92	3,691.02	--	59.90

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**Short-Term Realized Gain or (Loss) (continued)**

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Description OR Option Symbol	CUSIP Number	Quantity/Par	Date Acquired	Date Sold	Total Proceeds	(-)Cost Basis	(+)Wash Sale Loss Disallowed	(=)Realized Gain or (Loss)
MYOS RENS INC XXXMANDATORY MERGER	62857P108	1,413.00	07/01/20	07/01/20	\$ 4,838.71	\$ 4,917.24	\$ 78.53	0.00
<b>Security Subtotal</b>					<b>\$ 13,664.35</b>	<b>\$ 13,677.74</b>	<b>\$ 91.61</b>	<b>78.22</b>
N I O INC FSPONSORED ADR	62914V106	14.00	06/18/20	06/18/20	\$ 98.93	\$ 98.92	\$ --	0.01
N I O INC FSPONSORED ADR	62914V106	14.00	06/18/20	06/18/20	\$ 99.18	\$ 99.33	\$ 0.15	0.00
N I O INC FSPONSORED ADR	62914V106	136.00	06/18/20	06/18/20	\$ 997.54	\$ 996.16	\$ --	1.38
<b>Security Subtotal</b>					<b>\$ 1,195.65</b>	<b>\$ 1,194.41</b>	<b>\$ 0.15</b>	<b>1.39</b>
NABRIVA THERAPEUTICS XXXREVERSE SPLIT	G63637105	1.00	07/16/20	07/16/20	\$ 1.00	\$ 1.01	\$ --	(0.01)
NABRIVA THERAPEUTICS XXXREVERSE SPLIT	G63637105	1.00	07/16/20	07/16/20	\$ 1.10	\$ 1.07	\$ --	0.03
NABRIVA THERAPEUTICS XXXREVERSE SPLIT	G63637105	1.00	07/16/20	07/16/20	\$ 1.12	\$ 1.14	\$ 0.02	0.00
<b>Security Subtotal</b>					<b>\$ 3.22</b>	<b>\$ 3.22</b>	<b>\$ 0.02</b>	<b>0.02</b>
NANTKWEST INC	63016Q102	400.00	06/22/20	06/22/20	\$ 5,014.09	\$ 4,906.00	\$ --	108.09
<b>Security Subtotal</b>					<b>\$ 5,014.09</b>	<b>\$ 4,906.00</b>	<b>\$ --</b>	<b>108.09</b>
NETFLIX INC	64110L106	22.00	06/18/20	06/18/20	\$ 9,812.00	\$ 9,823.77	\$ --	(11.77)
NETFLIX INC	64110L106	1.00 <sup>S</sup>	06/22/20	06/22/20	\$ 444.15	\$ 443.91	\$ --	0.24
<b>Security Subtotal</b>					<b>\$ 10,256.15</b>	<b>\$ 10,267.68</b>	<b>\$ --</b>	<b>(11.53)</b>

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**Short-Term Realized Gain or (Loss) (continued)**

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Description OR Option Symbol	CUSIP Number	Quantity/Par	Date Acquired	Date Sold	Total Proceeds	(-)Cost Basis	(+)Wash Sale Loss Disallowed	(=)Realized Gain or (Loss)
ORAGENICS INC	684023302	1.00	07/09/20	07/09/20	\$ 1.02	\$ 1.02	-- \$	0.00
<b>Security Subtotal</b>					<b>\$ 1.02</b>	<b>\$ 1.02</b>	<b>-- \$</b>	<b>0.00</b>
PHUNWARE INC	71948P100	578.00	06/16/20	06/16/20	\$ 982.58	\$ 997.05	-- \$	(14.47)
<b>Security Subtotal</b>					<b>\$ 982.58</b>	<b>\$ 997.05</b>	<b>-- \$</b>	<b>(14.47)</b>
RIGEL PHARMA INC	766559603	1.00	07/14/20	07/14/20	\$ 3.98	\$ 3.94	-- \$	0.04
RIGEL PHARMA INC	766559603	9.00	07/14/20	07/14/20	\$ 35.86	\$ 35.55	-- \$	0.31
RIGEL PHARMA INC	766559603	100.00	07/14/20	07/14/20	\$ 495.00	\$ 488.50	-- \$	6.50
RIGEL PHARMA INC	766559603	1.00 <sup>S</sup>	07/16/20	07/16/20	\$ 3.88	\$ 3.82	-- \$	0.06
<b>Security Subtotal</b>					<b>\$ 538.72</b>	<b>\$ 531.81</b>	<b>-- \$</b>	<b>6.91</b>
SENMIAO TECHNOLOGY LIMIT	817225105	900.00	07/09/20	07/09/20	\$ 1,817.96	\$ 2,079.99	-- \$	(262.03)
SENMIAO TECHNOLOGY LIMIT	817225105	1,100.00	07/09/20	07/09/20	\$ 2,221.95	\$ 2,546.83	-- \$	(324.88)
SENMIAO TECHNOLOGY LIMIT	817225105	2,000.00	07/09/20	07/09/20	\$ 4,039.91	\$ 4,340.00	-- \$	(300.09)
<b>Security Subtotal</b>					<b>\$ 8,079.82</b>	<b>\$ 8,966.82</b>	<b>-- \$</b>	<b>(887.00)</b>
SERES THERAPEUTICS	81750R102	1.00	06/19/20	06/19/20	\$ 5.01	\$ 4.99	-- \$	0.02
<b>Security Subtotal</b>					<b>\$ 5.01</b>	<b>\$ 4.99</b>	<b>-- \$</b>	<b>0.02</b>
SINTX TECHNOLOGIES INC	829392307	100.00	06/22/20	06/22/20	\$ 262.99	\$ 270.99	\$ 8.00	\$ 0.00
SINTX TECHNOLOGIES INC	829392307	100.00	06/22/20	06/22/20	\$ 262.99	\$ 306.00	\$ 43.01	\$ 0.00
SINTX TECHNOLOGIES INC	829392307	150.00	06/22/20	06/22/20	\$ 394.52	\$ 474.07	\$ 79.55	\$ 0.00
SINTX TECHNOLOGIES INC	829392307	300.00	06/22/20	06/22/20	\$ 788.99	\$ 923.88	\$ 134.89	\$ 0.00
SINTX TECHNOLOGIES INC	829392307	326.00	06/22/20	06/22/20	\$ 959.46	\$ 1,026.58	\$ 67.12	\$ 0.00

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**Short-Term Realized Gain or (Loss) (continued)**

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Description OR Option Symbol	CUSIP Number	Quantity/Par	Date Acquired	Date Sold	Total Proceeds	(-)Cost Basis	(+)Wash Sale Loss Disallowed	(=)Realized Gain or (Loss)
SINTX TECHNOLOGIES INC	829392307	326.00	06/22/20	06/22/20	\$ 1,010.97	\$ 1,072.06	\$ 61.09	0.00
SINTX TECHNOLOGIES INC	829392307	343.00	06/22/20	06/22/20	\$ 955.24	\$ 1,030.20	\$ 74.96	0.00
SINTX TECHNOLOGIES INC	829392307	500.00	06/22/20	06/22/20	\$ 1,085.03	\$ 1,277.48	\$ 192.45	0.00
SINTX TECHNOLOGIES INC	829392307	200.00	06/24/20	06/24/20	\$ 448.00	\$ 487.41	\$ --	(39.41)
SINTX TECHNOLOGIES INC	829392307	201.00	06/24/20	06/24/20	\$ 395.98	\$ 502.15	\$ 106.17	0.00
SINTX TECHNOLOGIES INC	829392307	300.00	06/24/20	06/24/20	\$ 591.00	\$ 685.30	\$ 94.30	0.00
SINTX TECHNOLOGIES INC	829392307	400.00	06/24/20	06/24/20	\$ 895.95	\$ 878.64	\$ --	17.31
SINTX TECHNOLOGIES INC	829392307	400.00	06/24/20	06/24/20	\$ 896.00	\$ 1,015.37	\$ 10.67	(108.70)
SINTX TECHNOLOGIES INC	829392307	499.00	06/24/20	06/24/20	\$ 983.00	\$ 988.07	\$ 5.07	0.00
SINTX TECHNOLOGIES INC	829392307	1,000.00	06/24/20	06/24/20	\$ 2,029.96	\$ 2,202.14	\$ 183.78	11.60
SINTX TECHNOLOGIES INC	829392307	1.00	07/23/20	07/23/20	\$ 2.36	\$ 2.84	\$ --	(0.48)
SINTX TECHNOLOGIES INC	829392307	10.00	07/23/20	07/23/20	\$ 23.75	\$ 28.58	\$ --	(4.83)
SINTX TECHNOLOGIES INC	829392307	10.00	07/23/20	07/23/20	\$ 24.76	\$ 29.58	\$ --	(4.82)
<b>Security Subtotal</b>					<b>\$ 12,010.95</b>	<b>\$ 13,201.34</b>	<b>\$ 1,061.06</b>	<b>(129.33)</b>
SORRENTO THERAPEUTCS	83587F202	2,000.00	06/25/20	06/25/20	\$ 13,197.51	\$ 13,130.00	\$ --	67.51
SORRENTO THERAPEUTCS	83587F202	2,000.00	06/25/20	06/25/20	\$ 13,197.51	\$ 13,215.40	\$ --	(17.89)
SORRENTO THERAPEUTCS	83587F202	10.00	07/31/20	07/31/20	\$ 101.77	\$ 101.55	\$ --	0.22
<b>Security Subtotal</b>					<b>\$ 26,496.79</b>	<b>\$ 26,446.95</b>	<b>\$ --</b>	<b>49.84</b>
SPDR S&P 500 ETF	78462F103	15.00	10/28/20	11/09/20	\$ 5,403.56	\$ 4,928.74	\$ --	474.82
<b>Security Subtotal</b>					<b>\$ 5,403.56</b>	<b>\$ 4,928.74</b>	<b>\$ --</b>	<b>474.82</b>
SUNDANCE ENERGY INC	86725N102	10.00	07/22/20	07/22/20	\$ 39.54	\$ 42.70	\$ 3.16	0.00

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**Short-Term Realized Gain or (Loss) (continued)**

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Description OR Option Symbol	CUSIP Number	Quantity/Par	Date Acquired	Date Sold	Total Proceeds	(-)Cost Basis	(+)Wash Sale Loss Disallowed	(=)Realized Gain or (Loss)
SUNDANCE ENERGY INC	86725N102	10.00	07/22/20	07/22/20	\$ 39.55	\$ 44.15	\$ 4.60	0.00
SUNDANCE ENERGY INC	86725N102	10.00	07/22/20	07/22/20	\$ 39.55	\$ 46.22	\$ 6.67	0.00
SUNDANCE ENERGY INC	86725N102	10.00	07/22/20	07/22/20	\$ 41.64	\$ 45.43	\$ 3.79	0.00
SUNDANCE ENERGY INC	86725N102	10.00	07/22/20	07/22/20	\$ 41.65	\$ 47.82	\$ --	(6.17)
SUNDANCE ENERGY INC	86725N102	10.00	07/22/20	07/22/20	\$ 43.70	\$ 43.10	\$ --	0.60
SUNDANCE ENERGY INC	86725N102	20.00	07/22/20	07/22/20	\$ 74.60	\$ 81.62	\$ 7.02	0.00
SUNDANCE ENERGY INC	86725N102	20.00	07/22/20	07/22/20	\$ 76.27	\$ 87.27	\$ 11.00	0.00
SUNDANCE ENERGY INC	86725N102	20.00	07/22/20	07/22/20	\$ 78.20	\$ 90.25	\$ --	(12.05)
<b>Security Subtotal</b>					<b>\$ 474.70</b>	<b>\$ 528.56</b>	<b>\$ 36.24</b>	<b>(17.62)</b>
TESLA INC	88160R101	10.00	10/28/20	11/03/20	\$ 4,153.44	\$ 4,100.95	\$ --	52.49
TESLA INC	88160R101	10.00	10/30/20	11/03/20	\$ 4,153.44	\$ 3,836.65	\$ --	316.79
TESLA INC	88160R101	3.00	10/30/20	11/05/20	\$ 1,306.54	\$ 1,151.00	\$ --	155.54
TESLA INC	88160R101	12.00	11/10/20	11/17/20	\$ 5,523.00	\$ 4,770.74	\$ --	752.26
TESLA INC	88160R101	3.00	11/10/20	11/18/20	\$ 1,419.22	\$ 1,192.69	\$ --	226.53
TESLA INC	88160R101	10.00	12/09/20	12/18/20	\$ 6,794.78	\$ 6,060.54	\$ --	734.24
<b>Security Subtotal</b>					<b>\$ 23,350.42</b>	<b>\$ 21,112.57</b>	<b>\$ --</b>	<b>2,237.85</b>
URBAN ONE INC A	CLASS 91705J105	11.00	06/17/20	06/17/20	\$ 197.01	\$ 196.35	\$ --	0.66
URBAN ONE INC A	CLASS 91705J105	29.00	06/17/20	06/17/20	\$ 483.71	\$ 498.22	\$ 14.51	0.00
URBAN ONE INC A	CLASS 91705J105	1.00	06/18/20	06/18/20	\$ 27.13	\$ 27.50	\$ 0.37	0.00

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**Short-Term Realized Gain or (Loss) (continued)**

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Description OR Option Symbol	CUSIP Number	Quantity/Par	Date Acquired	Date Sold	Total Proceeds	(-)Cost Basis	(+)Wash Sale Loss Disallowed	(=)Realized Gain or (Loss)
URBAN ONE INC A	CLASS 91705J105	1.00	06/18/20	06/18/20	\$ 28.23	\$ 29.09	\$ 0.86	0.00
URBAN ONE INC A	CLASS 91705J105	1.00	06/18/20	06/18/20	\$ 28.49	28.35	--	0.14
URBAN ONE INC A	CLASS 91705J105	1.00	06/18/20	06/18/20	\$ 29.39	\$ 29.87	\$ 0.48	0.00
URBAN ONE INC A	CLASS 91705J105	1.00	06/18/20	06/18/20	\$ 29.79	29.32	--	0.47
URBAN ONE INC A	CLASS 91705J105	1.00	06/18/20	06/18/20	\$ 29.80	\$ 29.98	\$ 0.18	0.00
URBAN ONE INC A	CLASS 91705J105	1.00	06/18/20	06/18/20	\$ 32.24	\$ 32.47	\$ 0.23	0.00
URBAN ONE INC A	CLASS 91705J105	1.00	06/18/20	06/18/20	\$ 33.08	\$ 33.76	\$ 0.68	0.00
URBAN ONE INC A	CLASS 91705J105	1.00	06/18/20	06/18/20	\$ 33.61	\$ 33.83	\$ 0.22	0.00
URBAN ONE INC A	CLASS 91705J105	1.00	06/18/20	06/18/20	\$ 33.80	\$ 33.84	\$ 0.04	0.00
URBAN ONE INC A	CLASS 91705J105	1.00	06/18/20	06/18/20	\$ 33.84	\$ 34.21	\$ 0.37	0.00
URBAN ONE INC A	CLASS 91705J105	3.00	06/18/20	06/18/20	\$ 73.11	\$ 81.33	\$ 8.22	0.00
URBAN ONE INC A	CLASS 91705J105	3.00	06/18/20	06/18/20	\$ 82.62	\$ 85.83	\$ 3.21	0.00
URBAN ONE INC A	CLASS 91705J105	3.00	06/18/20	06/18/20	\$ 83.13	\$ 83.87	\$ 0.74	0.00
URBAN ONE INC A	CLASS 91705J105	2.00	06/19/20	06/19/20	\$ 78.02	81.23	--	(3.21)

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**Short-Term Realized Gain or (Loss) (continued)**

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Description OR Option Symbol	CUSIP Number	Quantity/Par	Date Acquired	Date Sold	Total Proceeds	(-)Cost Basis	(+)Wash Sale Loss Disallowed	(=)Realized Gain or (Loss)
URBAN ONE INC A	91705J105	2.00	06/19/20	06/19/20	\$ 78.12	\$ 83.84	\$ 5.72	0.00
URBAN ONE INC A	91705J105	98.00	06/19/20	06/19/20	\$ 3,827.78	\$ 3,699.88	--	127.90
URBAN ONE INC A	91705J105	100.00	06/19/20	06/19/20	\$ 3,905.93	\$ 3,989.11	--	(83.18)
<b>Security Subtotal</b>					<b>\$ 9,148.83</b>	<b>\$ 9,141.88</b>	<b>\$ 35.83</b>	<b>\$ 42.78</b>
VAXART INC	92243A200	2,000.00	06/25/20	06/25/20	\$ 8,389.81	\$ 8,315.20	--	74.61
VAXART INC	92243A200	2,000.00	06/25/20	06/25/20	\$ 9,659.79	\$ 9,650.00	--	9.79
VAXART INC	92243A200	10.00	07/13/20	07/13/20	\$ 94.55	\$ 93.35	--	1.20
<b>Security Subtotal</b>					<b>\$ 18,144.15</b>	<b>\$ 18,058.55</b>	<b>--</b>	<b>\$ 85.60</b>
VERONA PHARMA PLC FUNSPONSORED ADR	925050106	1.00	07/17/20	07/17/20	\$ 11.77	\$ 11.89	--	(0.12)
<b>Security Subtotal</b>					<b>\$ 11.77</b>	<b>\$ 11.89</b>	<b>--</b>	<b>(0.12)</b>
WAH FU EDUCATION GROUP F	G94184101	100.00	07/10/20	07/10/20	\$ 816.48	\$ 914.00	--	(97.52)
<b>Security Subtotal</b>					<b>\$ 816.48</b>	<b>\$ 914.00</b>	<b>--</b>	<b>(97.52)</b>
WORKHORSE GROUP INC	98138J206	100.00	06/30/20	06/30/20	\$ 1,787.76	\$ 1,761.00	--	26.76
WORKHORSE GROUP INC	98138J206	1,900.00	06/30/20	06/30/20	\$ 33,967.45	\$ 33,477.62	--	489.83
<b>Security Subtotal</b>					<b>\$ 35,755.21</b>	<b>\$ 35,238.62</b>	<b>--</b>	<b>\$ 516.59</b>
<b>Total Short-Term (Cost basis is reported to the IRS)</b>					<b>\$ 353,232.95</b>	<b>\$ 355,339.66</b>	<b>\$ 4,218.95</b>	<b>\$ 2,112.24</b>
<b>Total Short-Term</b>					<b>\$ 353,232.95</b>	<b>\$ 355,339.66</b>	<b>\$ 4,218.95</b>	<b>\$ 2,112.24</b>





Schwab One® Account of  
**APURV KAMALAPURI**

Account Number  
**4184-5079**

**TAX YEAR 2020  
 YEAR-END SUMMARY**

**YEAR-END SUMMARY INFORMATION IS NOT PROVIDED TO THE IRS.**

Date Prepared: February 12, 2021

The information in this and all subsequent sections is not provided to the IRS by Charles Schwab. It is provided to you as additional tax reporting information you may need to complete your tax return.

**Realized Gain or (Loss) Summary**

**Total Realized Gain or (Loss)**

Description	Total Proceeds	(-)Cost Basis	(+)Wash Sale Loss Disallowed	(=)Realized Gain or (Loss)
<b>Total Short-Term Realized Gain or (Loss)</b> <i>(Cost basis is reported to the IRS. Report on Form 8949, Part I, with Box A checked.)</i>	\$ 353,232.95	\$ 355,339.66	\$ 4,218.95	\$ 2,112.24
<b>Total Short-Term Realized Gain or (Loss)</b>	\$ 353,232.95	\$ 355,339.66	\$ 4,218.95	\$ 2,112.24
<b>TOTAL REALIZED GAIN OR (LOSS)</b>	\$ 353,232.95	\$ 355,339.66	\$ 4,218.95	\$ 2,112.24



**YEAR-END SUMMARY INFORMATION IS NOT PROVIDED TO THE IRS.**

Date Prepared: February 12, 2021

The information in this and all subsequent sections is not provided to the IRS by Charles Schwab. It is provided to you as additional tax reporting information you may need to complete your tax return.

**Notes for Your Realized Gain or (Loss)**

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Schwab has provided realized gain and loss information whenever possible for most investments. Cost basis data may be incomplete or unavailable for some of your holdings. See Terms and Conditions.

When value for the report is unavailable, it is noted as follows: "Missing" or "Not Provided"

<b>Not Provided</b>	Schwab is not providing Cost Basis on this security type.
<b>Missing</b>	Cost Basis may be missing due to one of the following reasons: <ul style="list-style-type: none"> <li>• Cost basis data may not be available for a number of reasons (for example, the security was purchased outside of Schwab and we did not receive cost basis from the transferring firm).</li> <li>• The security was purchased more than 10 years ago.</li> </ul>
<b>Date Acquired</b>	If the cost basis is missing or not provided, a short-term holding period may have been applied for a position that may have been held long term.
<b>Total Proceeds</b>	The amount displayed in this column has been adjusted for option premiums, if applicable.
<b>Cost Basis</b>	The amount displayed in this column may differ from your original cost basis as adjustments may have been made to reflect applicable option premiums, corporate actions and/or wash sales.
<b>Wash Sale Loss Disallowed</b>	The disallowed amount displayed in this column has been added to the cost basis of other share lots with the same CUSIP owned in the same account at the time the loss was disallowed.
<b>Realized Gain or (Loss)</b>	The calculation for gain or (loss) displayed in this column is Total Proceeds - Cost Basis + Wash Sale Loss Disallowed - Market Discount = Realized Gain or (Loss)

For sales of short-term debt issued after January 1, 2014, talk to your tax advisor as to how to report the income.

**Endnotes for Your Realized Gain or (Loss)**

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Symbol	Endnote Legend
S	Short sale. Possible tax modifications of the holding period may be required for covered short positions.



Date Prepared: February 12, 2021

## COST BASIS DISCLOSURE

### Changes to Cost Basis Reporting Requirements

Starting with the 2011 tax year, Charles Schwab & Co. will begin reporting adjusted cost basis to you and the IRS on your Form 1099-B for covered securities in your taxable brokerage accounts that you sell and that are covered by the new Emergency Stabilization Act regulations.

In the event of transfers of securities, we are also required to report adjusted cost basis information to other custodians for covered securities transferred to them.

Schwab will treat securities as covered when they are acquired on or after the following effective dates:

- January 1, 2011 for stocks and other equities
- January 1, 2012 for mutual funds, ETFs, and Dividend Reinvestment Plan ("DRIP") shares
- January 1, 2014 for less complex fixed income and options, rights and warrants
- January 1, 2016 for more complex fixed income

Because these new reporting requirements could impact the cost basis used to compute your taxable gains and losses, it's important to understand when and how they will apply to you. The information in this document is intended as informational only and is not individualized tax advice. Schwab does not provide tax advice and encourages you to consult with your tax professional to understand how the new reporting requirements will affect you and your tax situation.

### What Does This Mean for You

1. When you sell covered securities, as described above, Schwab will be required to report details about your cost basis to you and the IRS on Form 1099-B. You will continue to be responsible for reporting all cost basis information for both covered and uncovered securities to the IRS on your tax returns.
2. Unless you've indicated otherwise, Schwab will calculate your gains and losses using the IRS default cost basis method of Average Cost for mutual funds and FIFO (First In, First Out) for all other securities. It is your responsibility to choose the cost basis method appropriate to your tax situation. See "Cost Basis Methods" for the methods offered by Schwab.
3. When you sell a security, the cost basis method used to calculate your gain or loss cannot be changed after your trade settles. So it's important to consider the tax implications at the time of trade.

### What is Cost Basis?

Cost basis is the original purchase price you paid for a security plus commissions and any fees. Adjusted cost basis includes any other adjustments to the price. Adjusted cost basis also includes any adjustments due to wash sales, amortization, accretion and corporate actions.

Your realized gain/loss on a security is determined by subtracting the adjusted cost basis from the sale proceeds in an account less commissions and fees.

For covered securities that were not both purchased and sold at Schwab, Schwab calculates cost basis using data that you have provided to us or that we have obtained from third-party sources

such as your prior custodian or another third-party source. Because the accuracy of cost basis data depends upon these third-party inputs, we are not able to guarantee the availability, accuracy, or completeness of such cost basis data on transactions that did not occur at Schwab. If we are not provided with adequate information to report cost basis data for covered securities that were not both purchased and sold at Schwab, those securities will be considered uncovered and the cost basis will not be reported to the IRS even if acquired after the effective date.

### Cost Basis Methods

It is your responsibility to choose the cost basis method appropriate to your tax situation. Failure to select the proper cost basis method may cause you to pay more tax than necessary. Schwab does not provide tax advice and encourages you to consult with your tax professional regarding this decision.

To view and change your default cost basis method on your brokerage account, go to the Service tab on schwab.com, then the Cost Basis Method page in Account Settings. You can also make a change by calling 800-435-4000. If your account is managed by an investment advisor, please call your advisor to make a change.

### Default Cost Basis Methods

We apply the IRS default method of Average Cost for your mutual funds and the default method of FIFO (First In, First Out) to all other securities unless you inform us of a preferred method.

FIFO	Shares you acquired first are sold first
Average Cost	Cost is derived by dividing the total dollar amount invested in a particular fund position by the number of shares held prior to the trade date. Shares are removed in FIFO order.

### Cost Basis Methods Offered by Schwab:

You may select a different cost basis method for your brokerage account other than the default methods described above. The following cost basis methods are offered by Schwab:

<b>FIFO (First In, First Out)</b>	Shares you acquired first are sold first
<b>LIFO (Last In, First Out)</b>	Shares you acquired last are sold first
<b>HCOST (High Cost)</b>	Shares with the highest cost are sold first
<b>LCOST (Low Cost)</b>	Shares with lowest cost are sold first
<b>Average Cost (mutual funds only)</b>	Cost is derived by dividing the total dollar amount invested in a particular fund position by the number of shares held prior to the trade date. Shares are removed in FIFO order.
<b>Specific Identification</b>	The IRS allows taxpayers to identify specific lots to be sold. Such identification must be made with the broker at the time of trade and no later than close of business on the day the trade settles.



Date Prepared: February 12, 2021

### COST BASIS DISCLOSURE (continued)

**Tax Lot Optimizer™** Lots are selected and sold with the objective of taking losses first (short-term then long-term) and gains last (long-term then short-term). Lots are sold in this order:

- Short Term Losses      Lots that reflect a short term loss are sold first, beginning with lots that generate the greatest short term loss down to the least short term loss
- Long Term Losses      Lots that reflect a long term loss are sold, beginning with lots that generate the greatest long term loss down to the least long term loss
- Short Term No Gains or Losses      Short term lots that reflect no gain or loss
- Long Term No Gains or Losses      Long term lots that reflect no gain or loss
- Long Term Gains      Lots that reflect a long term gain, beginning with lots that generate the least long term gain up to the greatest long term gain
- Short Term Gains      Lots that reflect a short term gain, beginning with lots that generate the least short term gain up to the greatest short term gain

The cost basis method used to determine the gain/loss of a trade cannot be changed after the trade settles. If Schwab does not receive a specific instruction by the end of settlement date, we will use the current cost basis method you have selected for your account or the default cost basis method if you have made no alternate selection to calculate the gain/loss that is reported to you and the IRS at the end of year.

The Internal Revenue Service does not recognize LIFO, HCOSt, LCOSt and Tax Lot Optimizer as accounting methods, but it does recognize standing instructions to sell lots as adequate identification for reporting gains/losses.

#### Cost Basis Adjustments

Cost basis is generally based on your purchase price plus commissions and any fees; however the original cost basis may be subject to adjustments that increase or decrease your basis.

Schwab will adjust the cost basis of securities in your brokerage account in the following circumstances.

**Wash Sales:** If you sell shares at a loss and buy additional shares in the same security 30 days before or after that date (61-day range), you may not claim the loss on your tax return until you sell the new shares. If a wash sale occurs, the loss is disallowed for federal income tax purposes but may be added to the cost basis of the purchased shares. Schwab will adjust the cost basis and holding period of shares when a wash sale occurs within an account as a result of a purchase of an identical security with the same CUSIP. Schwab will not take into account the impact of options purchases or sales in determining disallowed losses on sales of the underlying securities. It's important to note that the wash reporting requirements for you as a taxpayer are different and broader than the reporting requirements for Schwab. For more details on your wash sale reporting requirements, please see IRS publication 550 or speak with your tax professional.

**Corporate Actions:** In some instances corporate actions can affect cost basis of your securities. Regulations require issuers to provide statements describing the effects of a corporate action on the cost basis of a security. Schwab will adjust cost basis for corporate actions based on the information provided in the issuer statement.

**Return of Capital Payments:** Cost basis will be reduced for any return of capital (principal) distributions.

**Option Adjustments:** Schwab will adjust the cost basis or realized gain/loss (proceeds) of the underlying security for option assignments and exercises (by factoring the premium paid or received).

**Inheritance:** Schwab will adjust the cost basis of securities that have been inherited based on the fair market value on the date of death unless alternate instructions are received from an authorized representative of the estate.

**Gifts:** Shares will be gifted based on your default cost basis method unless otherwise specified with a given purchase date and cost prior to the gift transfer. Schwab will track the fair market value and gift date in addition to the donor's adjusted cost basis and will apply IRS gift rules at the time of sale to determine gain or loss.

You will still be required to track and make adjustments to your securities as it is possible that you could have other situations that require cost basis adjustments that Schwab is not required to report.

**Restricted Stock Awards:** If you filed an election pursuant to IRC Section 83(b) on a Restricted Stock Award issued by your employer, a different cost basis may apply to shares vested from that award than the cost basis reported on this statement. Please consult with your personal tax advisor to understand the tax implications.

**Acquisition date:** If cost basis is missing or not provided, a short-term holding period may have applied for position that may have been held long term.

Please Note: This information is not intended to be a substitute for specific individualized tax, legal or investment planning advice. Where specific advice is necessary or appropriate, Schwab recommends consulting with a qualified tax advisor, CPA, financial planner or investment manager. Except as noted in the Terms and Conditions, your Investment Advisors are not affiliated with, or supervised by Schwab.

Foreign Investors should note that the information provided is from a U.S. tax perspective. The information provided may or may not have relevance in other jurisdictions.

#### Contact Us

If you have any questions or need more information about the cost basis methods or terminology in this Disclosure Statement, please call us at 1-800-435-4000. If your account is managed by an investment advisor, please call Schwab Alliance at 1-800-515-2157.



Schwab One® Account of  
APURV KAMALAPURI

Account Number  
4184-5079

**TAX YEAR 2020  
FORM 1099 COMPOSITE  
& YEAR-END SUMMARY**

Date Prepared: February 12, 2021

## TERMS AND CONDITIONS

### GENERAL INFORMATION

#### Form 1099-Composite

For U.S. taxpayers, the information reported to you on Form 1099 is given to the Internal Revenue Service (IRS). Form 1099-Composite is comprised of the following substitute forms: 1099-DIV, 1099-INT, 1099-MISC, 1099-OID, and 1099-B. The form(s) you receive in Form 1099 Composite depends on the income reportable to the IRS.

#### Year-End Summary

The information in the Year-End Summary is provided to you as a courtesy, should you need additional information when completing your tax return. When relevant, IRS box numbers are referenced to indicate individual items that make up the totals appearing on your Form(s) 1099. With the exception of the totals reported in the IRS box numbers referenced, Charles Schwab does not provide the details of the Year-End Summary to the IRS.

We recommend that all customers consult their investment and tax advisors prior to using this information.

#### Corrected Form 1099 and Year-End Summary

We are required to send you a corrected form with the revisions clearly marked when we receive updates or revisions to information contained in the form. This generally occurs if one or more of the issuers of the securities in your account reallocated certain income distribution (e.g., dividends or capital gains) after we mailed your original Form 1099. As a result, the supplemental information in Year-End Summary may be updated.

Upon receiving a corrected form, you may want to consider filing an amended return based on the changes in your taxable income as reported on your corrected Form 1099. We suggest that you consult with a qualified tax advisor, CPA, financial planner, or investment manager before you proceed.

#### Duplicate Form 1099 and Year-End Summary

If you request a duplicate Form 1099, please be aware that Schwab uses the most up-to-date information available at the time of the production. Thus, your duplicate Form 1099 and Year-End Summary may have more up-to-date information than the original Form 1099.

#### Realized Gain or (Loss) in Year-End Summary

The Realized Gain or (Loss) section provides information for all your realized gain or (loss) transactions during the tax year. It contains all transactions included in the Form 1099-B as well as transactions that are not reported on Form 1099-B (for example; sales and expirations of noncovered option activities, cash in lieu under \$20, bankruptcy, and worthless securities). This supplemental information is believed to be accurate as of the date the data was compiled but they may not be updated for any corrections after the data was initially compiled.

**IN CASE OF QUESTIONS:** If you have questions about this report or about specific Schwab accounts or Schwab One transactions (other than wire transfers or check transactions), contact Schwab at 1-800-435-4000. If you have a complaint regarding your Schwab statement or our products and services, please write to the Client Advocacy Team at Charles Schwab & Co., Inc., Attention: Client Advocacy Team, 211 Main St., San Francisco, CA 94105. Outside of the U.S., call +1-415-667-5009.

