

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

AJAY KUMAR BIKKI
575 JEFFERSON DR
DEERFIELD BCH, FL 33442-9540

IN ACCOUNT WITH
WEBULL FINANCIAL LLC
917-725-2448

IMPORTANT YEAR END MESSAGES

This document includes your Consolidated Form 1099 that we are required to provide to you and contains information that we are providing to the Internal Revenue Service and additional information that may be helpful to you for filing your tax return. You may wish to seek the advice of a tax professional when preparing your return.

Please verify your personal information for accuracy and contact us to correct any discrepancies.

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APEX CLEARING ONE DALLAS CENTER 350 NORTH ST PAUL SUITE 1300 DALLAS, TX 75201 Customer Service: 214-765-1009 PAYER'S Federal ID No: 13-2967453 IN ACCOUNT WITH WEBULL FINANCIAL LLC (917) 725-2448	Account 5MX50722	Form 1099 Composite	2020
	AJAY KUMAR BIKKI 575 JEFFERSON DR DEERFIELD BCH, FL 33442-9540 RECIPIENT'S ID No: XXX-XX-9670	Statement Date: 01/23/2021	

FATCA filing requirement []

Tax Reporting Statement

DIVIDENDS AND DISTRIBUTIONS	2020 Form 1099-DIV*	OMB No. 1545-0110
1a- Total Ordinary Dividends (includes amount shown on 1b)	0.00	
1b- Qualified Dividends	0.00	
2a- Total Capital Gain Distributions (includes lines 2b, 2c, 2d)	0.00	
2b- Unrecaptured Section 1250 gain	0.00	
2c- Section 1202 Gain	0.00	
2d- Collectibles (28%) Gain	0.00	
3- Nondividend Distributions	0.00	
4- Federal Income Tax Withheld	0.00	
5- Section 199A Dividends	0.00	
6- Investment Expenses	0.00	
7- Foreign tax Paid	0.00	
8- Foreign country or US Possession		
9- Cash Liquidation Distributions	0.00	
10- Noncash Liquidation Distribution	0.00	
11- Exempt-Interest Dividends	0.00	
12- Specified Private Activity Bond Interest Dividends	0.00	

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

MISCELLANEOUS INCOME	2020 Form 1099-MISC*	OMB No. 1545-0115
2- Royalties	0.00	
3- Other Income	37.22	
4- Federal Income Tax Withheld	0.00	
8- Substitute Payments in Lieu of Dividends or Interest	0.00	

REGULATED FUTURES CONTRACTS & SECTION 1256 OPTIONS	2020 Form 1099-B*	OMB No. 1545-0715
8- Profit or (loss) realized in 2020 on closed contracts	0.00	
9- Unrealized profit or (loss) on open contracts - 12/31/2019	0.00	
10- Unrealized profit or (loss) on open contracts - 12/31/2020	0.00	
11- Aggregate profit or (loss) on contracts	0.00	
<i>As applicable, proceeds from other sale transactions are summarized below and details are provided in subsequent sections of this document. More details on futures and section 1256 options transactions are also provided in other sections of this document.</i>		

APEX CLEARING

Tax Summary

2020

5MX50722

01/23/2021

Summary Of Sale Proceeds

Proceeds from sales of securities are reported individually by trade to the Internal Revenue Service. Please refer to the Proceeds from Broker and Barter Exchange Transactions details sections to determine correct amounts to include in your tax return. The summary transaction amounts shown below are for informational purposes.

Section	Total Proceeds	Total Cost Basis	Total Market Discount	Wash Sale Loss Disallowed	Total Net Gain or Loss(-)
Short term transactions for covered tax lots	124,050.54	143,086.87	0.00	2,667.21	-16,369.12
Short term transactions for noncovered tax lots	0.00	0.00	0.00	0.00	0.00
Total Short-term	124,050.54	143,086.87	0.00	2,667.21	-16,369.12
Long-term transactions for covered tax lots	9.33	8.38	0.00	0.00	0.95
Long-term transactions for noncovered tax lots	0.00	0.00	0.00	0.00	0.00
Total Long-term	9.33	8.38	0.00	0.00	0.95
Undetermined transactions for noncovered tax lots	0.00	0.00	0.00	0.00	0.00
Total Undetermined-term	0.00	0.00	0.00	0.00	0.00

ORIGINAL ISSUE DISCOUNT SUMMARY

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

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

FEDERAL TAX WITHHELD

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

APEX CLEARING

Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B*

OMB No. 1545-0715

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The following information is being provided to assist in your review and the preparation of your tax return.

This Form 1099-B – Proceeds from Broker and Barter Exchange Transactions provides information relating to sales of securities in your account. The sales details are organized into potentially five separate sections depending on your holding period in the security for the sale (short-term vs long-term) and whether the security is considered a “covered security” for tax reporting purpose. For covered securities, cost basis (adjusted as required under tax regulations) is being reported to the Internal Revenue Service (IRS), whereas for noncovered securities, cost basis if set forth below is provided only for your information.

A separate category is provided for sales of securities for which we do not know your holding period. For such tax lots, you will need to use your historical documents to determine your holding period (whether short-term or long-term) and your tax basis.

Unless noted otherwise under the column “Additional Notes”, cost basis and corresponding gain or loss is determined by treating tax lots acquired first as being sold first. We have also assumed that you have made an election to amortize premium on the purchase of taxable bonds.

As brokers, we are only required to apply wash sales loss disallowance rules to securities with the same CUSIP or identifier and purchased and sold within the same account. We are also not required to apply wash sales rules across covered and noncovered securities. You as the taxpayer, however, generally have broader obligations under the wash sales rules to determine disallowed losses, and you may wish to consult with a tax adviser as to the application of such rules to you.

Sales of certain contingent payment debt instruments give rise to ordinary income rather than short-term or long-term capital gain or loss. Such ordinary income treatment is indicated in the Additional Notes column as “Box 2 – Ordinary.” In addition, certain assets classified as collectibles are subject to special tax treatment. Any such classification is noted in the Additional Notes column as “Box 3 – Collectibles Box Checked.” Loss disallowed for certain transactions involving change in control or capital structure is noted in the Additional Notes column as “Box 7 – Loss Disallowed Box Checked.” Disposition of a QOF investment is noted in the Additional Notes column as “Box 3 – QOF.”

Information in the transaction detail sections below that have a Box number is being transmitted to the IRS, whereas additional information that is not being transmitted to the IRS is not headed by a Box number. Such additional information may be helpful to you in the preparation of your tax return. Remember that taxpayers are ultimately responsible for the accuracy of their tax returns.

FATCA filing requirement []

SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

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

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

Box 5: Box Not Checked (Covered Security)

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

Box 12: Basis Reported to the IRS

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

1a - Description of property | CUSIP | Symbol

1c - Date Sold or Disposed	Quantity	1d - Proceeds	1b - Date Acquired	1e - Cost or Other Basis	1f - Accrued Market Discount (M) & 1g - Wash Sale Loss Disallowed (D)	Gain or Loss (-)	Additional Notes
PUT TSLA 09/25/20	391	TESLA INC	ADJ 5:1 STOCK SPLIT CUSIP: Symbol: TSLA200925P00391000				
09/25/2020	3.00	0.00	Various	256.27	0.00	-256.27	Expiration
***LIZHI INC		AMERICAN DEPOSITARY SHARES CUSIP: 53933L104 Symbol: LIZI					
10/12/2020	98.00	361.11	10/12/2020	407.68	0.00	-46.57	Sale
10/12/2020	101.00	454.47	10/12/2020	440.36	0.00	14.11	Sale
12/03/2020	133.00	595.14	12/03/2020	595.84	0.00	-0.70	Sale
Security Totals:		1,410.72		1,443.88		-33.16	
ROKU INC		CLASS A COMMON STOCK CUSIP: 77543R102 Symbol: ROKU					
08/24/2020	5.00	743.72	08/12/2020	753.50	0.00	-9.78	Sale

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Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B*

OMB No. 1545-0715

5MX50722

(continued)

01/23/2021

SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

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

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1c - Date Sold or Disposed	Quantity	1d - Proceeds	1b - Date Acquired	1e - Cost or Other Basis	1f - Accrued Market Discount (M) & 1g - Wash Sale Loss Disallowed (D)	Gain or Loss (-)	Additional Notes
LEVI STRAUSS & CO CLASS A COMMON STOCK CUSIP: 52736R102 Symbol: LEVI							
08/31/2020	1.00	12.49	08/03/2020	12.08	0.00	0.41	Sale
PUT SPY 11/02/20 328 STANDARD & POORS DEPOSITORY CUSIP: Symbol: SPY201102P00328000							
11/02/2020	1.00	105.90	11/02/2020	97.08	0.00	8.82	Sell to Close
11/02/2020	1.00	137.90	11/02/2020	97.08	0.00	40.82	Sell to Close
Security Totals:		243.80		194.16		49.64	
CALL UPS 10/30/20 200 UNITED PARCEL SVC INC CUSIP: Symbol: UPS201030C00200000							
10/30/2020	5.00	0.00	10/27/2020	380.40	0.00	-380.40	Expiration
***XPENG INC ADS EACH REPRESENTING TWO CLASS A ORDINARY SHARES CUSIP: 98422D105 Symbol: XPEV							
08/31/2020	22.00	474.54	08/27/2020	547.14	0.00	-72.60	Sale
CALL UPS 11/06/20 170 UNITED PARCEL SVC INC CUSIP: Symbol: UPS201106C00170000							
10/30/2020	3.00	182.74	Various	2,681.24	0.00	-2,498.50	Sell to Close
CALL ROKU 11/20/20 250 ROKU INC CUSIP: Symbol: ROKU201120C00250000							
11/11/2020	2.00	567.81	11/11/2020	357.16	0.00	210.65	Sell to Close
CALL MSFT 09/11/20 225 MICROSOFT CORP CUSIP: Symbol: MSFT200911C00225000							
09/11/2020	1.00	0.00	09/08/2020	54.09	0.00	-54.09	Expiration
***NORWEGIAN CRUISE LINE HOLDINGS LTD ORDINARY SHARES CUSIP: G66721104 Symbol: NCLH							
08/11/2020	395.00	6,398.80	Various	5,665.48	0.00	733.32	Sale
08/17/2020	150.00	2,332.42	Various	2,264.50	0.00	67.92	Sale
Security Totals:		8,731.22		7,929.98		801.24	
CALL AAL 12/11/20 17 AMERICAN AIRLINES GROUP INC CUSIP: Symbol: AAL201211C00017000							
12/07/2020	10.00	559.15	Various	795.80	0.00	-236.65	Sell to Close
STITCH FIX INC CLASS A COMMON STOCK CUSIP: 860897107 Symbol: SFIX							
08/24/2020	50.00	1,257.46	08/20/2020	1,206.50	0.00	50.96	Sale
CALL BABA 11/06/20 292.50 ALIBABA GROUP HOLDING LIMITED CUSIP: Symbol: BABA201106C00292500							
11/05/2020	1.00	132.90	11/05/2020	152.08	0.00	-19.18	Sell to Close
CALL AAPL 11/20/20 125 APPLE INC ADJ 4:1 STOCK SPLIT CUSIP: Symbol: AAPL201120C00125000							
10/28/2020	1.00	177.90	10/12/2020	620.08	0.00	-442.18	Sell to Close
PUT AMZN 09/11/20 3000 AMAZON.COM INC CUSIP: Symbol: AMZN200911P03000000							
09/11/2020	1.00	0.00	09/11/2020	57.09	0.00	-57.09	Expiration

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APEX CLEARING

Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B*

OMB No. 1545-0715

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(continued)

01/23/2021

SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

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

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

1c - Date Sold or Disposed	Quantity	1d - Proceeds	1b - Date Acquired	1e - Cost or Other Basis	1f - Accrued Market Discount (M) & 1g - Wash Sale Loss Disallowed (D)	Gain or Loss (-)	Additional Notes
CALL NIO 11/20/20	49	NIO INC ADS CUSIP: Symbol: NIO201120C00049000					
11/17/2020	1.00	299.90	11/17/2020	276.08	0.00	23.82	Sell to Close
CALL AMGN 11/20/20	225	AMGEN INC CUSIP: Symbol: AMGN201120C00225000					
11/20/2020	1.00	0.00	11/19/2020	100.08	0.00	-100.08	Expiration
SCOPUS BIOPHARMA INC	COMMON STOCK CUSIP: 809171101 Symbol: SCPS						
12/21/2020	10.00	172.58	12/17/2020	310.00	0.00	-137.42	Sale
CALL AMD 11/13/20	85	ADVANCED MICRO DEVICES INC CUSIP: Symbol: AMD201113C00085000					
11/06/2020	2.00	347.82	11/06/2020	290.16	0.00	57.66	Sell to Close
CALL ZM 11/20/20	495	ZOOM VIDEO COMMUNICATIONS INC CUSIP: Symbol: ZM201120C00495000					
11/20/2020	5.00	0.00	Various	480.40	0.00	-480.40	Expiration
PUT TSLA 09/11/20	350	TESLA INC ADJ 5:1 STOCK SPLIT CUSIP: Symbol: TSLA200911P00350000					
09/11/2020	1.00	0.00	09/11/2020	71.09	0.00	-71.09	Expiration
CALL AMZN 10/16/20	3600	AMAZON.COM INC CUSIP: Symbol: AMZN201016C03600000					
10/15/2020	1.00	160.90	10/13/2020	1,300.08	0.00	-1,139.18	Sell to Close
PUT SPY 11/20/20	350	STANDARD & POORS DEPOSITORY CUSIP: Symbol: SPY201120P00350000					
11/20/2020	8.00	31.32	Various	311.64	78.33 D	-201.99	Sell to Close
11/20/2020	2.00	0.00	Various	140.49	0.00	-140.49	Expiration
Security Totals:		31.32		452.13		-342.48	
CALL NIO 11/13/20	43	NIO INC ADS CUSIP: Symbol: NIO201113C00043000					
11/09/2020	1.00	314.90	11/09/2020	180.08	0.00	134.82	Sell to Close
CALL NIO 11/13/20	42	NIO INC ADS CUSIP: Symbol: NIO201113C00042000					
11/06/2020	1.00	309.90	11/06/2020	279.08	0.00	30.82	Sell to Close
11/06/2020	1.00	329.90	11/06/2020	217.08	0.00	112.82	Sell to Close
Security Totals:		639.80		496.16		143.64	
PUT TSLA 11/06/20	412.50	TESLA INC CUSIP: Symbol: TSLA201106P00412500					
11/06/2020	1.00	46.90	11/05/2020	99.58	52.68 D	0.00	Sell to Close
11/06/2020	2.00	0.00	Various	186.34	0.00	-186.34	Expiration
Security Totals:		46.90		285.92		-186.34	
CALL BA 11/20/20	215	BOEING CO CUSIP: Symbol: BA201120C00215000					
11/20/2020	2.00	0.00	11/19/2020	100.16	0.00	-100.16	Expiration

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Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B*

OMB No. 1545-0715

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01/23/2021

SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

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1c - Date Sold or Disposed	Quantity	1d - Proceeds	1b - Date Acquired	1e - Cost or Other Basis	1f - Accrued Market Discount (M) & 1g - Wash Sale Loss Disallowed (D)	Gain or Loss (-)	Additional Notes
DRAFTKINGS INC CLASS A COMMON STOCK CUSIP: 26142R104 Symbol: DKNK							
08/19/2020	74.00	2,774.92	08/17/2020	2,516.74	0.00	258.18	Sale
CALL AAPL 12/24/20 132 APPLE INC CUSIP: Symbol: AAPL201224C00132000							
12/23/2020	2.00	129.82	Various	227.16	0.00	-97.34	Sell to Close
CALL AAPL 12/24/20 131 APPLE INC CUSIP: Symbol: AAPL201224C00131000							
12/22/2020	1.00	199.90	12/22/2020	166.08	0.00	33.82	Sell to Close
CALL FB 10/30/20 300 FACEBOOK INC CL A CUSIP: Symbol: FB201030C00300000							
10/30/2020	1.00	4.90	10/29/2020	241.08	0.00	-236.18	Sell to Close
CALL TSLA 10/02/20 800 TESLA INC ADJ 5:1 STOCK SPLIT CUSIP: Symbol: TSLA201002C00800000							
10/02/2020	1.00	0.00	09/08/2020	277.09	0.00	-277.09	Expiration
CALL TGT 11/20/20 170 TARGET CORP CUSIP: Symbol: TGT201120C00170000							
11/18/2020	1.00	182.90	11/18/2020	132.08	0.00	50.82	Sell to Close
***WIMI HOLOGRAM CLOUD INC AMERICAN DEPOSITARY SHARE CUSIP: 97264L100 Symbol: WIMI							
10/12/2020	125.00	864.35	10/12/2020	942.50	0.00	-78.15	Sale
CALL NIO 11/13/20 44 NIO INC ADS CUSIP: Symbol: NIO201113C00044000							
11/09/2020	1.00	249.90	11/09/2020	240.08	0.00	9.82	Sell to Close
CALL PENN 11/13/20 67 PENN NATIONAL GAMING INC CUSIP: Symbol: PENN201113C00067000							
11/11/2020	1.00	29.90	11/09/2020	200.08	0.00	-170.18	Sell to Close
CALL NIO 12/18/20 40 NIO INC ADS CUSIP: Symbol: NIO201218C00040000							
11/05/2020	2.00	1,029.80	11/04/2020	780.16	0.00	249.64	Sell to Close
PUT FSLY 10/30/20 60 FASTLY INC CLASS A CUSIP: Symbol: FSLY201030P00060000							
10/30/2020	2.00	19.82	10/30/2020	20.16	0.00	-0.34	Sell to Close
CLOVIS ONCOLOGY INC COM CUSIP: 189464100 Symbol: CLVS							
08/17/2020	199.00	1,022.81	08/14/2020	969.13	0.00	53.68	Sale
PUT SPY 11/20/20 353 STANDARD & POORS DEPOSITORY CUSIP: Symbol: SPY201120P00353000							
11/20/2020	1.00	0.00	11/20/2020	25.08	0.00	-25.08	Expiration
CALL SNAP 10/16/20 27 SNAP INC CUSIP: Symbol: SNAP201016C00027000							
10/13/2020	3.00	167.74	10/12/2020	150.24	0.00	17.50	Sell to Close
CALL ROKU 11/20/20 200 ROKU INC CUSIP: Symbol: ROKU201120C00200000							
09/23/2020	1.00	2,430.84	09/16/2020	1,010.09	0.00	1,420.75	Sell to Close

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APEX CLEARING

Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B*

OMB No. 1545-0715

5MX50722

(continued)

01/23/2021

SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

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

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CALL LYFT 11/06/20 30 LYFT INC CLASS A CUSIP: Symbol: LYFT201106C00030000							
11/04/2020	7.00	314.42	Various	653.56	95.17 D	-243.97	Sell to Close
11/05/2020	1.00	30.90	11/04/2020	158.25	0.00	-127.35	Sell to Close
Security Totals:		345.32		811.81		-371.32	
CALL SNAP 12/18/20 56 SNAP INC CUSIP: Symbol: SNAP201218C00056000							
12/11/2020	5.00	394.58	12/11/2020	375.40	0.00	19.18	Sell to Close
12/11/2020	1.00	74.90	12/11/2020	75.08	0.00	-0.18	Sell to Close
Security Totals:		469.48		450.48		19.00	
PDS BIOTECHNOLOGY CORPORATION COMMON STOCK CUSIP: 70465T107 Symbol: PDSB							
08/17/2020	81.00	224.35	08/04/2020	375.03	0.00	-150.68	Sale
CALL SNAP 11/06/20 42.50 SNAP INC CUSIP: Symbol: SNAP201106C00042500							
11/02/2020	1.00	62.90	11/02/2020	62.08	0.00	0.82	Sell to Close
CALL KO 10/02/20 49.50 COCA COLA CO CUSIP: Symbol: KO201002C00049500							
09/30/2020	5.00	189.58	09/28/2020	225.40	0.00	-35.82	Sell to Close
09/30/2020	5.00	184.58	09/28/2020	225.41	0.00	-40.83	Sell to Close
Security Totals:		374.16		450.81		-76.65	
PUT TSLA 12/31/20 680 TESLA INC CUSIP: Symbol: TSLA201231P00680000							
12/31/2020	1.00	86.90	12/30/2020	300.08	0.00	-213.18	Sell to Close
CALL TLRY 01/15/21 10 TILRAY INC CUSIP: Symbol: TLRY210115C00010000							
12/23/2020	5.00	379.58	12/17/2020	470.40	0.00	-90.82	Sell to Close
SPARTAN ENERGY ACQUISITION CORP CLASS A COMMON STOCK CUSIP: 846784106 Symbol: SPAQ							
07/17/2020	37.00	517.97	07/15/2020	512.27	0.00	5.70	Sale
08/14/2020	33.00	403.24	07/15/2020	456.88	0.00	-53.64	Sale
Security Totals:		921.21		969.15		-47.94	
CALL ZM 11/27/20 450 ZOOM VIDEO COMMUNICATIONS INC CUSIP: Symbol: ZM201127C00450000							
11/24/2020	1.00	419.90	11/24/2020	436.08	0.00	-16.18	Sell to Close
CALL NFLX 10/30/20 650 NETFLIX INC CUSIP: Symbol: NFLX201030C00650000							
10/14/2020	1.00	924.88	10/13/2020	585.08	0.00	339.80	Sell to Close
PUT TSLA 11/06/20 350 TESLA INC CUSIP: Symbol: TSLA201106P00350000							
11/02/2020	1.00	206.90	11/02/2020	195.08	0.00	11.82	Sell to Close

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APEX CLEARING

Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B*

OMB No. 1545-0715

5MX50722

(continued)

01/23/2021

SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

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

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

1c - Date Sold or Disposed	Quantity	1d - Proceeds	1b - Date Acquired	1e - Cost or Other Basis	1f - Accrued Market Discount (M) & 1g - Wash Sale Loss Disallowed (D)	Gain or Loss (-)	Additional Notes
CALL CHGG 11/20/20	115	CHEGG INC CUSIP: Symbol: CHGG201120C00115000					
10/26/2020	3.00	374.74	10/22/2020	270.24	0.00	104.50	Sell to Close
10/26/2020	1.00	139.90	10/22/2020	90.08	0.00	49.82	Sell to Close
10/26/2020	1.00	149.90	10/22/2020	90.08	0.00	59.82	Sell to Close
10/26/2020	10.00	1,249.14	Various	900.80	0.00	348.34	Sell to Close
Security Totals:		1,913.68		1,351.20		562.48	
CALL SPY 11/06/20	360	STANDARD & POORS DEPOSITORY CUSIP: Symbol: SPY201106C00360000					
11/06/2020	1.00	0.00	11/05/2020	10.08	0.00	-10.08	Expiration
PUT TSLA 10/23/20	400	TESLA INC CUSIP: Symbol: TSLA201023P00400000					
10/23/2020	1.00	6.90	10/23/2020	39.08	0.00	-32.18	Sell to Close
CALL AAPL 01/21/22	150	APPLE INC ADJ 4:1 STOCK SPLIT CUSIP: Symbol: AAPL220121C00150000					
10/22/2020	2.00	1,819.78	Various	3,210.18	0.00	-1,390.40	Sell to Close
10/22/2020	3.00	2,749.68	Various	4,065.27	0.00	-1,315.59	Sell to Close
Security Totals:		4,569.46		7,275.45		-2,705.99	
CALL BA 11/20/20	220	BOEING CO CUSIP: Symbol: BA201120C00220000					
11/20/2020	2.00	0.00	11/19/2020	56.16	0.00	-56.16	Expiration
CALL PYPL 11/20/20	250	PAYPAL HOLDINGS INC CUSIP: Symbol: PYPL201120C00250000					
10/21/2020	2.00	403.82	10/07/2020	186.16	0.00	217.66	Sell to Close
10/21/2020	8.00	1,695.29	10/07/2020	744.65	0.00	950.64	Sell to Close
11/05/2020	8.00	79.32	Various	630.64	148.33 D	-402.99	Sell to Close
11/20/2020	2.00	0.00	10/26/2020	288.49	0.00	-288.49	Expiration
Security Totals:		2,178.43		1,849.94		476.82	
CALL ROKU 11/13/20	270	ROKU INC CUSIP: Symbol: ROKU201113C00270000					
11/05/2020	1.00	174.90	11/04/2020	118.08	0.00	56.82	Sell to Close
11/06/2020	1.00	131.90	11/04/2020	118.08	0.00	13.82	Sell to Close
Security Totals:		306.80		236.16		70.64	
CALL JD 11/06/20	91	JD.COM INC CUSIP: Symbol: JD201106C00091000					
11/04/2020	1.00	74.91	11/04/2020	60.08	0.00	14.83	Sell to Close
11/04/2020	1.00	72.90	11/04/2020	60.08	0.00	12.82	Sell to Close
Security Totals:		147.81		120.16		27.65	

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SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

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

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

Box 5: Box Not Checked (Covered Security)

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

Box 12: Basis Reported to the IRS

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1a - Description of property | CUSIP | Symbol

1c - Date Sold or Disposed	Quantity	1d - Proceeds	1b - Date Acquired	1e - Cost or Other Basis	1f - Accrued Market Discount (M) & 1g - Wash Sale Loss Disallowed (D)	Gain or Loss (-)	Additional Notes
PLUG POWER INC CUSIP: 72919P202 Symbol: PLUG							
08/03/2020	267.00	2,111.89	07/31/2020	2,018.52	0.00	93.37	Sale
PUT SPY 09/16/20 340 STANDARD & POORS DEPOSITORY CUSIP: Symbol: SPY200916P00340000							
09/16/2020	1.00	87.89	09/16/2020	64.09	0.00	23.80	Sell to Close
PUT NIO 11/20/20 40 NIO INC ADS CUSIP: Symbol: NIO201120P00040000							
11/20/2020	1.00	0.00	11/17/2020	150.08	0.00	-150.08	Expiration
CALL NIO 11/06/20 35 NIO INC ADS CUSIP: Symbol: NIO201106C00035000							
11/02/2020	1.00	219.90	11/02/2020	175.08	0.00	44.82	Sell to Close
CALL C 10/16/20 45.50 CITIGROUP INC CUSIP: Symbol: C201016C00045500							
10/12/2020	1.00	116.90	10/12/2020	93.08	0.00	23.82	Sell to Close
10/13/2020	1.00	79.90	10/12/2020	93.08	0.00	-13.18	Sell to Close
Security Totals:		196.80		186.16		10.64	
CALL TSLA 09/18/20 460 TESLA INC ADJ 5:1 STOCK SPLIT CUSIP: Symbol: TSLA200918C00460000							
09/18/2020	1.00	0.00	09/18/2020	156.09	0.00	-156.09	Expiration
CALL BABA 11/27/20 280 ALIBABA GROUP HOLDING LIMITED CUSIP: Symbol: BABA201127C00280000							
11/25/2020	2.00	181.82	Various	285.16	103.34 D	0.00	Sell to Close
11/27/2020	2.00	149.82	Various	315.50	0.00	-165.68	Sell to Close
Security Totals:		331.64		600.66		-165.68	
CALL ZM 11/06/20 505 ZOOM VIDEO COMMUNICATIONS INC CUSIP: Symbol: ZM201106C00505000							
11/04/2020	1.00	316.90	11/02/2020	197.08	0.00	119.82	Sell to Close
11/04/2020	1.00	339.90	11/03/2020	120.08	0.00	219.82	Sell to Close
Security Totals:		656.80		317.16		339.64	
CALL ZM 10/30/20 520 ZOOM VIDEO COMMUNICATIONS INC CUSIP: Symbol: ZM201030C00520000							
10/30/2020	2.00	0.00	10/30/2020	146.16	0.00	-146.16	Expiration
CALL TWLO 11/20/20 300 TWILIO INC CUSIP: Symbol: TWLO201120C00300000							
11/13/2020	2.00	533.81	Various	690.16	0.00	-156.35	Sell to Close
CALL TSLA 11/06/20 440 TESLA INC CUSIP: Symbol: TSLA201106C00440000							
11/04/2020	1.00	299.90	11/04/2020	299.08	0.00	0.82	Sell to Close
CALL PTON 12/04/20 115 PELOTON INTERACTIVE INC CL A CUSIP: Symbol: PTON201204C00115000							
11/30/2020	2.00	327.82	11/30/2020	546.16	0.00	-218.34	Sell to Close

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APEX CLEARING

Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B*

OMB No. 1545-0715

5MX50722

(continued)

01/23/2021

SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

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

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

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1c - Date Sold or Disposed	Quantity	1d - Proceeds	1b - Date Acquired	1e - Cost or Other Basis	1f - Accrued Market Discount (M) & 1g - Wash Sale Loss Disallowed (D)	Gain or Loss (-)	Additional Notes
PUT TSLA 10/30/20	395	TESLA INC CUSIP: Symbol: TSLA201030P00395000					
10/30/2020	2.00	231.82	10/30/2020	160.16	0.00	71.66	Sell to Close
PUT SPY 11/02/20	330	STANDARD & POORS DEPOSITORY CUSIP: Symbol: SPY201102P00330000					
11/02/2020	1.00	144.90	11/02/2020	125.08	0.00	19.82	Sell to Close
PUT UBER 11/13/20	47	UBER TECHNOLOGIES INC CUSIP: Symbol: UBER201113P00047000					
11/09/2020	1.00	60.90	11/09/2020	62.08	1.18 D	0.00	Sell to Close
11/10/2020	1.00	99.90	11/09/2020	62.26	0.00	37.64	Sell to Close
11/10/2020	1.00	108.90	11/09/2020	62.08	0.00	46.82	Sell to Close
Security Totals:		269.70		186.42		84.46	
PUT TSLA 11/06/20	367.50	TESLA INC CUSIP: Symbol: TSLA201106P00367500					
11/03/2020	1.00	88.90	11/03/2020	99.26	0.00	-10.36	Sell to Close
11/03/2020	1.00	90.90	11/03/2020	105.08	14.18 D	0.00	Sell to Close
Security Totals:		179.80		204.34		-10.36	
CALL BABA 09/18/20	272.50	ALIBABA GROUP HOLDING LIMITED CUSIP: Symbol: BABA200918C00272500					
09/18/2020	1.00	56.89	09/18/2020	45.09	0.00	11.80	Sell to Close
PUT SPY 11/02/20	320	STANDARD & POORS DEPOSITORY CUSIP: Symbol: SPY201102P00320000					
11/02/2020	1.00	7.90	11/02/2020	8.08	0.00	-0.18	Sell to Close
CALL ZM 10/23/20	600	ZOOM VIDEO COMMUNICATIONS INC CUSIP: Symbol: ZM201023C00600000					
10/23/2020	3.00	0.00	10/20/2020	438.24	0.00	-438.24	Expiration
CALL ZM 10/16/20	550	ZOOM VIDEO COMMUNICATIONS INC CUSIP: Symbol: ZM201016C00550000					
10/15/2020	1.00	199.90	10/14/2020	160.08	0.00	39.82	Sell to Close
CALL AAPL 10/16/20	125	APPLE INC ADJ 4:1 STOCK SPLIT CUSIP: Symbol: AAPL201016C00125000					
10/13/2020	1.00	205.91	10/13/2020	229.08	0.00	-23.17	Sell to Close
CALL BABA 10/30/20	320	ALIBABA GROUP HOLDING LIMITED CUSIP: Symbol: BABA201030C00320000					
10/26/2020	1.00	266.90	10/23/2020	167.08	0.00	99.82	Sell to Close
PUT SPY 11/09/20	344	STANDARD & POORS DEPOSITORY CUSIP: Symbol: SPY201109P00344000					
11/09/2020	1.00	0.00	11/06/2020	58.08	0.00	-58.08	Expiration
VIRGIN GALACTIC HLDGS INC		COMMON STOCK CUSIP: 92766K106 Symbol: SPCE					
08/31/2020	64.00	1,142.36	08/07/2020	1,198.72	0.00	-56.36	Sale
CALL MSFT 11/27/20	217.50	MICROSOFT CORP CUSIP: Symbol: MSFT201127C00217500					
11/27/2020	2.00	0.00	Various	85.16	0.00	-85.16	Expiration

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APEX CLEARING

Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B*

OMB No. 1545-0715

5MX50722

(continued)

01/23/2021

SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

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

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1c - Date Sold or Disposed	Quantity	1d - Proceeds	1b - Date Acquired	1e - Cost or Other Basis	1f - Accrued Market Discount (M) & 1g - Wash Sale Loss Disallowed (D)	Gain or Loss (-)	Additional Notes
PUT NVDA 10/30/20	500						
10/29/2020	1.00	51.90	10/29/2020	94.08	0.00	-42.18	Sell to Close
CALL MU 11/20/20	52						
11/04/2020	1.00	171.90	11/03/2020	172.08	0.00	-0.18	Sell to Close
CALL SPY 11/13/20	360						
11/13/2020	1.00	0.00	11/11/2020	69.08	0.00	-69.08	Expiration
CALL SQ 11/20/20	200						
10/14/2020	1.00	1,269.88	10/09/2020	1,165.08	0.00	104.80	Sell to Close
PUT GM 12/04/20	38						
11/24/2020	1.00	2.90	11/18/2020	33.08	0.00	-30.18	Sell to Close
CALL UPS 11/06/20	180						
10/30/2020	5.00	59.58	Various	2,225.40	0.00	-2,165.82	Sell to Close
CALL NIO 10/16/20	21.50						
10/14/2020	1.00	291.90	10/09/2020	97.08	0.00	194.82	Sell to Close
CALL CGC 12/04/20	19.50						
11/04/2020	2.00	301.82	11/04/2020	362.16	0.00	-60.34	Sell to Close
CALL TSLA 10/02/20	505						
10/01/2020	2.00	83.82	09/25/2020	142.18	0.00	-58.36	Sell to Close
CALL PLUG 01/15/21	20						
11/04/2020	1.00	129.90	11/03/2020	180.08	0.00	-50.18	Sell to Close
CALL SPY 11/04/20	346						
11/03/2020	1.00	77.90	11/03/2020	98.08	0.00	-20.18	Sell to Close
PUT AZUL 11/20/20	7.50						
11/20/2020	5.00	0.00	10/28/2020	75.40	0.00	-75.40	Expiration
CALL SPY 11/09/20	354						
11/06/2020	1.00	83.90	11/06/2020	61.08	0.00	22.82	Sell to Close
11/09/2020	1.00	945.88	11/06/2020	75.08	0.00	870.80	Sell to Close
11/09/2020	1.00	938.88	11/06/2020	75.08	0.00	863.80	Sell to Close
Security Totals:		1,968.66		211.24		1,757.42	
CALL ATVI 11/20/20	95						
10/28/2020	10.00	409.16	Various	731.81	322.65 D	0.00	Sell to Close

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Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B*

OMB No. 1545-0715

5MX50722

(continued)

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SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

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CALL ATVI 11/20/20	95	ACTIVISION BLIZZARD INC CUSIP: Symbol: ATVI201120C00095000					
10/28/2020	10.00	399.16	Various	853.45	0.00	-454.29	Sell to Close
Security Totals:		808.32		1,585.26		-454.29	
PUT TSLA 10/30/20	385	TESLA INC CUSIP: Symbol: TSLA201030P00385000					
10/30/2020	1.00	273.90	10/30/2020	432.26	0.00	-158.36	Sell to Close
10/30/2020	1.00	249.90	10/30/2020	400.08	150.18 D	0.00	Sell to Close
Security Totals:		523.80		832.34		-158.36	
CALL AAPL 03/19/21	137.50	APPLE INC ADJ 4:1 STOCK SPLIT CUSIP: Symbol: AAPL210319C00137500					
10/07/2020	1.00	564.89	09/04/2020	1,120.09	0.00	-555.20	Sell to Close
CALL SQ 10/09/20	170	SQUARE INC CUSIP: Symbol: SQ201009C00170000					
09/15/2020	2.00	699.80	09/09/2020	576.18	0.00	123.62	Sell to Close
***ELECTRAMECCANICA VEHICLES CORP LTD CUSIP: 284849205 Symbol: SOLO							
10/14/2020	157.00	480.57	10/12/2020	439.60	0.00	40.97	Sale
CALL BABA 10/16/20	310	ALIBABA GROUP HOLDING LIMITED CUSIP: Symbol: BABA201016C00310000					
10/13/2020	1.00	299.90	10/13/2020	277.08	0.00	22.82	Sell to Close
CALL SNAP 11/20/20	42.50	SNAP INC CUSIP: Symbol: SNAP201120C00042500					
10/30/2020	1.00	201.90	10/29/2020	255.08	0.00	-53.18	Sell to Close
PUT AMZN 10/23/20	3000	AMAZON.COM INC CUSIP: Symbol: AMZN201023P03000000					
10/21/2020	1.00	419.90	10/21/2020	330.08	0.00	89.82	Sell to Close
SPIRIT AEROSYSTEMS HOLDINGS INC CL A CUSIP: 848574109 Symbol: SPR							
08/31/2020	50.00	1,045.96	08/20/2020	1,014.50	0.00	31.46	Sale
CALL FB 12/11/20	290	FACEBOOK INC CL A CUSIP: Symbol: FB201211C00290000					
12/04/2020	1.00	280.90	12/04/2020	244.08	0.00	36.82	Sell to Close
12/04/2020	1.00	284.90	12/04/2020	244.08	0.00	40.82	Sell to Close
Security Totals:		565.80		488.16		77.64	
CALL TWTR 11/20/20	43	TWITTER INC CUSIP: Symbol: TWTR201120C00043000					
11/17/2020	4.00	359.66	11/17/2020	284.32	0.00	75.34	Sell to Close
***CARNIVAL PLC AMERICAN DEPOSITARY SHARES CUSIP: 14365C103 Symbol: CUK							
08/25/2020	149.00	2,027.82	08/20/2020	1,799.92	0.00	227.90	Sale
CALL SPCE 12/11/20	30	VIRGIN GALACTIC HOLDINGS INC CUSIP: Symbol: SPCE201211C00030000					
12/07/2020	2.00	261.82	12/07/2020	242.16	0.00	19.66	Sell to Close

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APEX CLEARING

Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B*

OMB No. 1545-0715

5MX50722

(continued)

01/23/2021

SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

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

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1c - Date Sold or Disposed	Quantity	1d - Proceeds	1b - Date Acquired	1e - Cost or Other Basis	1f - Accrued Market Discount (M) & 1g - Wash Sale Loss Disallowed (D)	Gain or Loss (-)	Additional Notes
CALL SPCE 12/11/20	35	VIRGIN GALACTIC HOLDINGS INC CUSIP: Symbol: SPCE201211C00035000					
12/09/2020	4.00	543.65	12/09/2020	424.32	0.00	119.33	Sell to Close
CALL CGC 12/18/20	20	CANOPY GROWTH CORPORATION CUSIP: Symbol: CGC201218C00020000					
11/05/2020	2.00	523.81	11/04/2020	362.16	0.00	161.65	Sell to Close
11/05/2020	2.00	609.81	11/04/2020	354.16	0.00	255.65	Sell to Close
Security Totals:		1,133.62		716.32		417.30	
CALL AAPL 12/04/20	124	APPLE INC CUSIP: Symbol: AAPL201204C00124000					
12/03/2020	1.00	34.90	12/03/2020	52.08	17.18 D	0.00	Sell to Close
12/03/2020	5.00	174.58	Various	285.58	0.00	-111.00	Sell to Close
Security Totals:		209.48		337.66		-111.00	
PUT MRNA 12/04/20	130	MODERNA INC CUSIP: Symbol: MRNA201204P00130000					
12/01/2020	1.00	587.89	12/01/2020	320.08	0.00	267.81	Sell to Close
CALL VALE 01/21/22	20	VALE S A CUSIP: Symbol: VALE220121C00020000					
12/30/2020	8.00	1,143.30	Various	1,256.64	0.00	-113.34	Sell to Close
CALL DKNG 01/15/21	55	DRAFTKINGS INC CL A CUSIP: Symbol: DKNG210115C00055000					
12/23/2020	1.00	359.90	12/17/2020	419.08	0.00	-59.18	Sell to Close
CALL BAC 11/27/20	28.50	BANK OF AMERICA CORP CUSIP: Symbol: BAC201127C00028500					
11/24/2020	2.00	77.82	Various	42.16	0.00	35.66	Sell to Close
11/24/2020	3.00	119.74	Various	77.24	0.00	42.50	Sell to Close
Security Totals:		197.56		119.40		78.16	
PUT QQQ 11/06/20	287	INVESCO QQQ TRUST SERIES 1 CUSIP: Symbol: QQQ201106P00287000					
11/06/2020	1.00	18.90	11/05/2020	50.08	0.00	-31.18	Sell to Close
CALL SQQQ 12/31/20	15.50	PROSHARES ULTRAPRO SHORT QQQ CUSIP: Symbol: SQQQ201231C00015500					
12/31/2020	40.00	0.00	Various	283.22	0.00	-283.22	Expiration
CALL ROKU 12/18/20	350	ROKU INC CUSIP: Symbol: ROKU201218C00350000					
12/17/2020	1.00	699.89	12/14/2020	280.08	0.00	419.81	Sell to Close
CALL JNJ 11/20/20	145	JOHNSON & JOHNSON CUSIP: Symbol: JNJ201120C00145000					
11/05/2020	2.00	161.82	11/05/2020	196.16	0.00	-34.34	Sell to Close
CALL ROKU 11/27/20	280	ROKU INC CUSIP: Symbol: ROKU201127C00280000					
11/24/2020	1.00	364.90	11/24/2020	271.08	0.00	93.82	Sell to Close

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APEX CLEARING

Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B*

OMB No. 1545-0715

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01/23/2021

SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

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

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

1c - Date Sold or Disposed	Quantity	1d - Proceeds	1b - Date Acquired	1e - Cost or Other Basis	1f - Accrued Market Discount (M) & 1g - Wash Sale Loss Disallowed (D)	Gain or Loss (-)	Additional Notes
CALL NKLA 11/27/20	35	NIKOLA CORPORATION CUSIP: Symbol: NKLA201127C00035000					
11/24/2020	4.00	639.65	11/24/2020	460.32	0.00	179.33	Sell to Close
T2 BIOSYSTEMS INC	COM CUSIP: 89853L104 Symbol: TTOO						
09/02/2020	66.00	91.81	08/31/2020	123.42	0.00	-31.61	Sale
PUT AAPL 11/06/20	100	APPLE INC CUSIP: Symbol: AAPL201106P00100000					
11/06/2020	100.00	0.00	Various	158.08	0.00	-158.08	Expiration
CALL SQQQ 11/13/20	21	PROSHARES ULTRAPRO SHORT QQQ CUSIP: Symbol: SQQQ201113C00021000					
11/13/2020	1.00	0.00	11/06/2020	35.08	0.00	-35.08	Expiration
PUT NIO 11/20/20	32	NIO INC ADS CUSIP: Symbol: NIO201120P00032000					
11/13/2020	1.00	53.90	11/13/2020	53.08	0.00	0.82	Sell to Close
CALL BA 11/27/20	225	BOEING CO CUSIP: Symbol: BA201127C00225000					
11/24/2020	4.00	1,075.64	11/24/2020	816.32	0.00	259.32	Sell to Close
***NIO INC	AMERICAN DEPOSITARY SHARES ECH RPRSNTNG ONE CL A ORD SHARE CUSIP: 62914V106 Symbol: NIO						
08/17/2020	101.00	1,378.60	08/14/2020	1,318.05	0.00	60.55	Sale
IMMUNOMEDICS INC CUSIP: 452907108 Symbol: IMMU							
09/17/2020	1.00	85.64	09/14/2020	86.92	0.00	-1.28	Sale
CALL ROKU 10/23/20	250	ROKU INC CUSIP: Symbol: ROKU201023C00250000					
10/19/2020	5.00	469.57	10/16/2020	360.40	0.00	109.17	Sell to Close
CALL MITT 12/18/20	3.50	AG MORTGAGE INVESTMENT TRUST CUSIP: Symbol: MITT201218C00003500					
12/03/2020	1.00	9.90	11/30/2020	14.08	0.00	-4.18	Sell to Close
CALL BAC 09/11/20	27	BANK OF AMERICA CORP CUSIP: Symbol: BAC200911C00027000					
09/11/2020	3.00	0.00	09/04/2020	114.27	0.00	-114.27	Expiration
CALL GS 09/18/20	215	GOLDMAN SACHS GROUP INC CUSIP: Symbol: GS200918C00215000					
09/09/2020	2.00	219.80	09/08/2020	356.18	0.00	-136.38	Sell to Close
CALL TTWO 11/20/20	200	TAKE TWO INTERACTIVE SOFTWARE CUSIP: Symbol: TTWO201120C00200000					
10/28/2020	5.00	349.58	10/22/2020	806.23	0.00	-456.65	Sell to Close
10/28/2020	10.00	839.15	Various	1,225.81	405.83 D	19.17	Sell to Close
Security Totals:		1,188.73		2,032.04		-437.48	
CALL SPY 11/13/20	361	STANDARD & POORS DEPOSITORY CUSIP: Symbol: SPY201113C00361000					
11/13/2020	2.00	0.00	Various	100.16	0.00	-100.16	Expiration

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Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B*

OMB No. 1545-0715

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01/23/2021

SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

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CALL COTY 01/15/21 10	COTY INC CUSIP: Symbol: COTY210115C00010000						
12/23/2020	5.00	74.58	12/22/2020	100.40	0.00	-25.82	Sell to Close
CALL JPM 10/16/20 105	JPMORGAN CHASE & CO CUSIP: Symbol: JPM201016C00105000						
10/12/2020	1.00	98.90	10/12/2020	85.08	0.00	13.82	Sell to Close
10/13/2020	1.00	29.90	10/12/2020	85.08	0.00	-55.18	Sell to Close
Security Totals:		128.80		170.16		-41.36	
CALL NIO 12/11/20 48	NIO INC ADS CUSIP: Symbol: NIO201211C00048000						
12/09/2020	4.00	347.66	Various	624.32	0.00	-276.66	Sell to Close
PUT TTD 11/13/20 700	TRADE DESK INC CLASS A CUSIP: Symbol: TTD201113P00700000						
11/11/2020	1.00	219.90	11/11/2020	264.26	0.00	-44.36	Sell to Close
11/11/2020	1.00	200.90	11/11/2020	230.08	29.18 D	0.00	Sell to Close
11/13/2020	1.00	0.00	11/11/2020	235.08	0.00	-235.08	Expiration
Security Totals:		420.80		729.42		-279.44	
PUT SPY 11/20/20 360	STANDARD & POORS DEPOSITORY CUSIP: Symbol: SPY201120P00360000						
11/17/2020	1.00	339.90	11/17/2020	293.08	0.00	46.82	Sell to Close
11/17/2020	2.00	615.81	11/17/2020	600.16	0.00	15.65	Sell to Close
Security Totals:		955.71		893.24		62.47	
CALL AMZN 09/18/20 3070	AMAZON.COM INC CUSIP: Symbol: AMZN200918C03070000						
09/18/2020	1.00	148.89	09/18/2020	319.09	0.00	-170.20	Sell to Close
CLOUDERA INC	COMMON STOCK CUSIP: 18914U100 Symbol: CLDR						
08/31/2020	98.00	1,296.50	08/03/2020	1,101.52	0.00	194.98	Sale
CALL FCEL 12/18/20 9	FUELCELL ENERGY INC CUSIP: Symbol: FCEL201218C00009000						
12/16/2020	10.00	149.16	12/09/2020	890.81	0.00	-741.65	Sell to Close
APPLE INC CUSIP: 037833100 Symbol: AAPL							
09/02/2020	27.00	3,620.92	08/31/2020	3,466.80	0.00	154.12	Sale
09/04/2020	2.00	242.12	Various	272.76	30.64 D	0.00	Sale
09/04/2020	14.00	1,708.88	08/31/2020	1,797.60	88.72 D	0.00	Sale
09/04/2020	16.00	1,936.58	Various	2,220.35	193.49 D	-90.28	Sale
09/04/2020	28.00	3,373.91	Various	3,691.36	317.45 D	0.00	Sale
09/09/2020	1.00	117.76	09/02/2020	150.05	0.00	-32.29	Sale

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APEX CLEARING

Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B*

OMB No. 1545-0715

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SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

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

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APPLE INC CUSIP: 037833100 Symbol: AAPL							
09/09/2020	10.00	1,176.01	09/02/2020	1,500.50	0.00	-324.49	Sale
09/10/2020	9.00	1,025.51	Various	1,356.26	0.00	-330.75	Sale
10/09/2020	5.00	582.02	09/02/2020	754.37	0.00	-172.35	Sale
Security Totals:		13,783.71		15,210.05		-796.04	
CALL OPK 03/19/21 5 OPKO HEALTH INC CUSIP: Symbol: OPK210319C00005000							
12/23/2020	4.00	203.66	12/17/2020	256.32	0.00	-52.66	Sell to Close
***MEDIGUS LTD AMERICAN DEPOSITARY SHARES SPONSORED CUSIP: 58471G300 Symbol: MDGS							
10/13/2020	51.00	165.73	10/13/2020	163.46	0.00	2.27	Sale
10/13/2020	54.00	184.12	10/13/2020	173.07	0.00	11.05	Sale
10/13/2020	118.00	379.94	10/13/2020	378.19	0.00	1.75	Sale
Security Totals:		729.79		714.72		15.07	
SOLID BIOSCIENCES INC COMMON STOCK CUSIP: 83422E105 Symbol: SLDB							
10/01/2020	88.00	395.98	10/01/2020	426.60	0.00	-30.62	Sale
CALL ZM 11/13/20 445 ZOOM VIDEO COMMUNICATIONS INC CUSIP: Symbol: ZM201113C00445000							
11/12/2020	1.00	589.89	11/12/2020	620.08	0.00	-30.19	Sell to Close
CALL ZM 11/06/20 550 ZOOM VIDEO COMMUNICATIONS INC CUSIP: Symbol: ZM201106C00550000							
11/05/2020	4.00	31.66	Various	122.32	22.17 D	-68.49	Sell to Close
11/06/2020	1.00	0.00	11/05/2020	53.25	0.00	-53.25	Expiration
Security Totals:		31.66		175.57		-121.74	
CALL AMD 12/18/20 90 ADVANCED MICRO DEVICES INC CUSIP: Symbol: AMD201218C00090000							
10/27/2020	2.00	509.81	Various	1,377.66	435.17 D	-432.68	Sell to Close
10/28/2020	1.00	206.90	10/13/2020	1,122.75	0.00	-915.85	Sell to Close
Security Totals:		716.71		2,500.41		-1,348.53	
PUT KO 11/13/20 54 COCA COLA CO CUSIP: Symbol: KO201113P00054000							
11/11/2020	2.00	137.82	Various	104.16	0.00	33.66	Sell to Close
CALL ZM 11/20/20 500 ZOOM VIDEO COMMUNICATIONS INC CUSIP: Symbol: ZM201120C00500000							
11/18/2020	2.00	231.82	11/13/2020	250.16	18.34 D	0.00	Sell to Close
11/20/2020	9.00	0.00	Various	809.06	0.00	-809.06	Expiration
Security Totals:		231.82		1,059.22		-809.06	

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Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B*

OMB No. 1545-0715

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SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

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1c - Date Sold or Disposed	Quantity	1d - Proceeds	1b - Date Acquired	1e - Cost or Other Basis	1f - Accrued Market Discount (M) & 1g - Wash Sale Loss Disallowed (D)	Gain or Loss (-)	Additional Notes
CALL ZS 10/16/20	145	ZSCALER INC CUSIP: Symbol: ZS201016C00145000					
10/12/2020	1.00	819.89	09/30/2020	455.08	0.00	364.81	Sell to Close
GENIUS BRANDS INTERNATIONAL INC COMMON STOCK CUSIP: 37229T301 Symbol: GNUS							
08/25/2020	297.00	320.71	Various	588.06	0.00	-267.35	Sale
TESLA INC COMMON STOCK CUSIP: 88160R101 Symbol: TSLA							
09/04/2020	5.00	1,904.44	08/03/2020	1,450.21	0.00	454.23	Sale
09/08/2020	5.00	1,792.50	08/31/2020	2,368.45	0.00	-575.95	Sale
Security Totals:		3,696.94		3,818.66		-121.72	
CALL AAPL 01/15/21	135	APPLE INC ADJ 4:1 STOCK SPLIT CUSIP: Symbol: AAPL210115C00135000					
12/28/2020	1.00	499.89	12/22/2020	374.08	0.00	125.81	Sell to Close
CALL PYPL 12/04/20	220	PAYPAL HOLDINGS INC CUSIP: Symbol: PYPL201204C00220000					
12/01/2020	1.00	266.90	12/01/2020	389.25	0.00	-122.35	Sell to Close
12/01/2020	3.00	887.73	Various	1,030.24	49.17 D	-93.34	Sell to Close
Security Totals:		1,154.63		1,419.49		-215.69	
PUT AMC 01/15/21	1	AMC ENTERTAINMENT HOLDINGS INC CUSIP: Symbol: AMC210115P00001000					
11/17/2020	1.00	7.90	10/29/2020	16.08	0.00	-8.18	Sell to Close
CALL SPY 10/16/20	350	STANDARD & POORS DEPOSITORY CUSIP: Symbol: SPY201016C00350000					
10/15/2020	1.00	44.90	10/15/2020	39.08	0.00	5.82	Sell to Close
10/16/2020	4.00	419.66	10/15/2020	156.32	0.00	263.34	Sell to Close
Security Totals:		464.56		195.40		269.16	
CALL TSLA 09/18/20	410	TESLA INC ADJ 5:1 STOCK SPLIT CUSIP: Symbol: TSLA200918C00410000					
09/10/2020	1.00	694.88	09/10/2020	929.09	0.00	-234.21	Sell to Close
CALL TSLA 11/20/20	500	TESLA INC ADJ 5:1 STOCK SPLIT CUSIP: Symbol: TSLA201120C00500000					
11/17/2020	1.00	399.90	11/17/2020	281.08	0.00	118.82	Sell to Close
11/18/2020	1.00	75.90	11/17/2020	279.08	0.00	-203.18	Sell to Close
Security Totals:		475.80		560.16		-84.36	
CALL AAPL 01/15/21	150	APPLE INC ADJ 4:1 STOCK SPLIT CUSIP: Symbol: AAPL210115C00150000					
10/07/2020	3.00	524.73	09/04/2020	1,815.27	0.00	-1,290.54	Sell to Close
PUT SPY 10/23/20	334	STANDARD & POORS DEPOSITORY CUSIP: Symbol: SPY201023P00334000					
10/23/2020	2.00	0.00	10/20/2020	122.16	0.00	-122.16	Expiration

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2020 Form 1099-B*

OMB No. 1545-0715

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01/23/2021

SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

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CALL AMZN 12/31/20	3410	AMAZON.COM INC CUSIP: Symbol: AMZN201231C03410000					
12/29/2020	1.00	814.89	12/29/2020	490.08	0.00	324.81	Sell to Close
CALL BABA 12/18/20	300	ALIBABA GROUP HOLDING LIMITED CUSIP: Symbol: BABA201218C00300000					
11/30/2020	5.00	464.57	11/25/2020	1,450.40	0.00	-985.83	Sell to Close
CALL AMD 12/04/20	92	ADVANCED MICRO DEVICES INC CUSIP: Symbol: AMD201204C00092000					
12/01/2020	2.00	467.81	12/01/2020	342.16	0.00	125.65	Sell to Close
PUT SPY 11/18/20	355	STANDARD & POORS DEPOSITORY CUSIP: Symbol: SPY201118P00355000					
11/18/2020	2.00	1.82	Various	42.16	0.00	-40.34	Sell to Close
CATABASIS PHARMACEUTICALS INC COMMON STOCK CUSIP: 14875P206 Symbol: CATB							
12/02/2020	200.00	509.96	12/02/2020	446.00	0.00	63.96	Sale
12/02/2020	50.00	124.98	12/02/2020	111.50	0.00	13.48	Sale
12/02/2020	202.00	454.46	12/02/2020	435.34	0.00	19.12	Sale
Security Totals:		1,089.40		992.84		96.56	
CALL VALE 10/16/20	11	VALE S A CUSIP: Symbol: VALE201016C00011000					
09/23/2020	3.00	83.71	09/21/2020	135.27	0.00	-51.56	Sell to Close
CALL RKT 10/30/20	21	ROCKET COMPANIES INC CL A CUSIP: Symbol: RKT201030C00021000					
10/28/2020	4.00	47.66	10/27/2020	144.32	0.00	-96.66	Sell to Close
CALL TSLA 01/15/21	800	TESLA INC ADJ 5:1 STOCK SPLIT CUSIP: Symbol: TSLA210115C00800000					
10/09/2020	1.00	709.89	09/23/2020	1,550.09	0.00	-840.20	Sell to Close
CALL AAPL 11/20/20	150	APPLE INC ADJ 4:1 STOCK SPLIT CUSIP: Symbol: AAPL201120C00150000					
10/22/2020	18.00	448.50	10/14/2020	1,280.35	0.00	-831.85	Sell to Close
10/28/2020	2.00	35.82	10/14/2020	142.26	0.00	-106.44	Sell to Close
Security Totals:		484.32		1,422.61		-938.29	
CALL AMD 11/20/20	82.50	ADVANCED MICRO DEVICES INC CUSIP: Symbol: AMD201120C00082500					
11/16/2020	2.00	339.82	11/16/2020	282.16	0.00	57.66	Sell to Close
11/16/2020	2.00	311.82	11/16/2020	282.16	0.00	29.66	Sell to Close
Security Totals:		651.64		564.32		87.32	
CALL ZM 10/30/20	575	ZOOM VIDEO COMMUNICATIONS INC CUSIP: Symbol: ZM201030C00575000					
10/26/2020	1.00	287.90	10/26/2020	420.08	0.00	-132.18	Sell to Close

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2020 Form 1099-B*

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SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

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10/26/2020	1.00	469.89	10/23/2020	240.08	0.00	229.81	Sell to Close
Security Totals:		757.79		660.16		97.63	
MICRON TECHNOLOGY INC CUSIP: 595112103 Symbol: MU							
08/31/2020	10.00	454.87	08/14/2020	458.08	0.00	-3.21	Sale
CINEMARK HLDGS INC CUSIP: 17243V102 Symbol: CNK							
08/31/2020	19.00	283.84	07/20/2020	245.29	0.00	38.55	Sale
CALL QCOM 11/06/20 150 QUALCOMM INC CUSIP: Symbol: QCOM201106C00150000							
11/05/2020	1.00	79.90	11/05/2020	72.08	0.00	7.82	Sell to Close
11/05/2020	2.00	157.82	11/05/2020	144.16	0.00	13.66	Sell to Close
11/05/2020	2.00	137.82	11/05/2020	144.16	0.00	-6.34	Sell to Close
Security Totals:		375.54		360.40		15.14	
CALL HD 11/27/20 310 HOME DEPOT INC CUSIP: Symbol: HD201127C00310000							
11/09/2020	10.00	829.15	11/06/2020	850.81	21.66 D	0.00	Sell to Close
11/16/2020	20.00	438.34	Various	1,273.28	0.00	-834.94	Sell to Close
Security Totals:		1,267.49		2,124.09		-834.94	
CALL BYND 10/09/20 200 BEYOND MEAT INC CUSIP: Symbol: BYND201009C00200000							
10/08/2020	1.00	152.90	10/08/2020	200.08	0.00	-47.18	Sell to Close
CALL AMD 11/20/20 80 ADVANCED MICRO DEVICES INC CUSIP: Symbol: AMD201120C00080000							
11/04/2020	1.00	304.90	11/03/2020	213.08	0.00	91.82	Sell to Close
CALL ULTA 12/11/20 272.50 ULTA BEAUTY INC CUSIP: Symbol: ULTA201211C00272500							
12/08/2020	3.00	989.72	12/08/2020	1,029.24	0.00	-39.52	Sell to Close
CALL TSLA 11/20/20 550 TESLA INC ADJ 5:1 STOCK SPLIT CUSIP: Symbol: TSLA201120C00550000							
11/19/2020	2.00	479.81	11/19/2020	394.16	0.00	85.65	Sell to Close
CALL BAC 01/22/21 31 BANK OF AMERICA CORP CUSIP: Symbol: BAC210122C00031000							
12/21/2020	5.00	344.58	12/17/2020	200.41	0.00	144.17	Sell to Close
12/21/2020	5.00	279.58	12/17/2020	200.40	0.00	79.18	Sell to Close
Security Totals:		624.16		400.81		223.35	
PUT SPY 10/09/20 342 STANDARD & POORS DEPOSITORY CUSIP: Symbol: SPY201009P00342000							
10/09/2020	1.00	0.00	10/08/2020	136.08	0.00	-136.08	Expiration

APEX CLEARING

Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B*

OMB No. 1545-0715

5MX50722

(continued)

01/23/2021

SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

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

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

1c - Date Sold or Disposed	Quantity	1d - Proceeds	1b - Date Acquired	1e - Cost or Other Basis	1f - Accrued Market Discount (M) & 1g - Wash Sale Loss Disallowed (D)	Gain or Loss (-)	Additional Notes
***OXBRIDGE RE HOLDINGS LIMITED CUSIP: G6856M106 Symbol: OXBR							
09/28/2020	302.00	887.82	Various	1,698.76	0.00	-810.94	Sale
CALL SPY 11/06/20 357 STANDARD & POORS DEPOSITORY CUSIP: Symbol: SPY201106C00357000							
11/06/2020	3.00	0.00	Various	95.24	0.00	-95.24	Expiration
PUT AMZN 10/30/20 3000 AMAZON.COM INC CUSIP: Symbol: AMZN201030P03000000							
10/30/2020	1.00	159.90	10/30/2020	266.25	0.00	-106.35	Sell to Close
10/30/2020	2.00	225.82	10/30/2020	370.16	72.17 D	-72.17	Sell to Close
Security Totals:		385.72		636.41		-178.52	
CALL AMD 09/18/20 76 ADVANCED MICRO DEVICES INC CUSIP: Symbol: AMD200918C00076000							
09/18/2020	1.00	0.00	09/17/2020	102.09	0.00	-102.09	Expiration
CALL WORK 11/06/20 25 SLACK TECHNOLOGIES INC CL A CUSIP: Symbol: WORK201106C00025000							
11/02/2020	2.00	143.83	11/02/2020	170.16	0.00	-26.33	Sell to Close
LYFT INC CLASS A COMMON STOCK CUSIP: 55087P104 Symbol: LYFT							
08/19/2020	127.00	3,619.40	08/17/2020	3,448.05	0.00	171.35	Sale
CALL HD 11/27/20 300 HOME DEPOT INC CUSIP: Symbol: HD201127C00300000							
11/16/2020	5.00	274.58	11/12/2020	420.40	0.00	-145.82	Sell to Close
CALL FB 11/06/20 290 FACEBOOK INC CL A CUSIP: Symbol: FB201106C00290000							
11/04/2020	1.00	202.90	11/04/2020	124.08	0.00	78.82	Sell to Close
PUT AMC 12/11/20 1 AMC ENTERTAINMENT HOLDINGS INC CUSIP: Symbol: AMC201211P00001000							
11/02/2020	1.00	11.90	10/29/2020	20.08	0.00	-8.18	Sell to Close
11/17/2020	1.00	1.90	10/29/2020	20.08	0.00	-18.18	Sell to Close
Security Totals:		13.80		40.16		-26.36	
PUT ROKU 09/18/20 160 ROKU INC CUSIP: Symbol: ROKU200918P00160000							
09/18/2020	1.00	21.89	09/18/2020	130.09	0.00	-108.20	Sell to Close
PUT XPEV 11/27/20 50 XPENG INC ADR CLASS A CUSIP: Symbol: XPEV201127P00050000							
11/27/2020	1.00	0.00	11/23/2020	57.08	0.00	-57.08	Expiration
CALL BYND 11/13/20 170 BEYOND MEAT INC CUSIP: Symbol: BYND201113C00170000							
11/09/2020	1.00	709.89	11/09/2020	579.08	0.00	130.81	Sell to Close
CALL NIO 11/27/20 50 NIO INC ADS CUSIP: Symbol: NIO201127C00050000							
11/23/2020	2.00	609.81	11/20/2020	600.16	0.00	9.65	Sell to Close

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

APEX CLEARING

Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B*

OMB No. 1545-0715

5MX50722

(continued)

01/23/2021

SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

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

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

1c - Date Sold or Disposed	Quantity	1d - Proceeds	1b - Date Acquired	1e - Cost or Other Basis	1f - Accrued Market Discount (M) & 1g - Wash Sale Loss Disallowed (D)	Gain or Loss (-)	Additional Notes
11/23/2020	6.00	1,961.46	Various	1,765.48	0.00	195.98	Sell to Close
Security Totals:		2,571.27		2,365.64		205.63	
CALL ZM 11/27/20 500			ZOOM VIDEO COMMUNICATIONS INC CUSIP: Symbol: ZM201127C00500000				
11/24/2020	1.00	119.90	11/23/2020	119.08	0.00	0.82	Sell to Close
***IMMUTEP LIMITED			AMERICAN DEPOSITARY SHARES CUSIP: 45257L108 Symbol: IMMMP				
12/10/2020	16.00	122.54	12/10/2020	115.68	0.00	6.86	Sale
12/10/2020	49.00	316.03	12/10/2020	354.27	0.00	-38.24	Sale
Security Totals:		438.57		469.95		-31.38	
CALL ROKU 12/24/20 350			ROKU INC CUSIP: Symbol: ROKU201224C00350000				
12/17/2020	1.00	1,064.88	12/14/2020	640.08	0.00	424.80	Sell to Close
CALL ROKU 12/11/20 320			ROKU INC CUSIP: Symbol: ROKU201211C00320000				
12/07/2020	2.00	387.82	12/07/2020	328.16	0.00	59.66	Sell to Close
12/07/2020	1.00	216.90	12/07/2020	164.08	0.00	52.82	Sell to Close
12/07/2020	1.00	219.90	12/07/2020	154.08	0.00	65.82	Sell to Close
12/07/2020	2.00	373.82	12/07/2020	328.16	0.00	45.66	Sell to Close
Security Totals:		1,198.44		974.48		223.96	
CALL EA 11/20/20 120			ELECTRONIC ARTS INC CUSIP: Symbol: EA201120C00120000				
11/09/2020	2.00	517.81	Various	554.16	0.00	-36.35	Sell to Close
CALL NFLX 10/02/20 505			NETFLIX INC CUSIP: Symbol: NFLX201002C00505000				
09/30/2020	1.00	489.89	09/30/2020	420.08	0.00	69.81	Sell to Close
FRANCESCA S HOLDINGS			CORPORATION COMMON STOCK CUSIP: 351793203 Symbol: FRAN				
09/15/2020	84.00	309.99	09/10/2020	413.28	0.00	-103.29	Sale
PUT SPY 11/04/20 323			STANDARD & POORS DEPOSITORY CUSIP: Symbol: SPY201104P00323000				
11/03/2020	1.00	101.91	11/03/2020	103.08	0.00	-1.17	Sell to Close
ZYNGA INC			CLASS A CUSIP: 98986T108 Symbol: ZNGA				
10/28/2020	2.00	18.67	Various	16.76	0.00	1.91	Sale
CALL DKNG 10/23/20 44			DRAFTKINGS INC CL A CUSIP: Symbol: DKNG201023C00044000				
09/23/2020	1.00	1,109.87	09/10/2020	540.09	0.00	569.78	Sell to Close

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APEX CLEARING

Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B*

OMB No. 1545-0715

5MX50722

(continued)

01/23/2021

SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

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

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

Box 5: Box Not Checked (Covered Security)

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

Box 12: Basis Reported to the IRS

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

1a - Description of property | CUSIP | Symbol

1c - Date Sold or Disposed	Quantity	1d - Proceeds	1b - Date Acquired	1e - Cost or Other Basis	1f - Accrued Market Discount (M) & 1g - Wash Sale Loss Disallowed (D)	Gain or Loss (-)	Additional Notes
CALL ROKU 10/16/20	230	ROKU INC CUSIP: Symbol: ROKU201016C00230000					
10/13/2020	1.00	407.90	10/13/2020	410.08	0.00	-2.18	Sell to Close
Totals:		124,050.54		143,086.87		-16,369.12	

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

APEX CLEARING

Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B*

OMB No. 1545-0715

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(continued)

01/23/2021

LONG TERM TRANSACTIONS FOR COVERED TAX LOTS

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

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

Box 5: Box Not Checked (Covered Security)

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

Box 12: Basis Reported to the IRS

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

1a - Description of property | CUSIP | Symbol

1c - Date Sold or Disposed	Quantity	1d - Proceeds	1b - Date Acquired	1e - Cost or Other Basis	1f - Accrued Market Discount (M) & 1g - Wash Sale Loss Disallowed (D)	Gain or Loss (-)	Additional Notes
ZYNGA INC	CLASS A CUSIP: 98986T108 Symbol: ZNGA						
10/28/2020	1.00	9.33	09/17/2020	8.38	0.00	0.95	Sale
Totals:		9.33		8.38		0.95	

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

APEX CLEARING

Miscellaneous Income - Details of Form 1099-MISC

2020

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01/23/2021

This section of the information statement provides payment-level details for royalty distributions and substitute payments in lieu of dividends and interest that are reported in aggregate on Form 1099-MISC. Links to tax information booklets for royalty trusts relevant to your account, if any, are provided at the end of this information statement.

Description CUSIP Symbol							
Date	Royalties (Box 2)	Other Income (Box 3)	Substitute Payments in Lieu of Dividends or Interest (Box 8)	Federal Income Tax Withheld (Box 4)	State Tax Withheld (Box 15)	State (Box 13) State Identification No. (Box 14)	
LEVI STRAUSS & CO	CLASS A COMMON STOCK CUSIP: 52736R102 Symbol: LEVI						
08/03/2020	0.00	12.08	0.00	0.00	0.00		
ZYNGA INC	CLASS A CUSIP: 98986T108 Symbol: ZNGA						
09/17/2020	0.00	25.14	0.00	0.00	0.00		
Totals:	0.00	37.22	0.00	0.00	0.00		

APEX CLEARING

Supplemental Information

2020

5MX50722

01/23/2021

The supplemental information provided below contains additional details that may assist in your tax return preparation.

Fees & Expenses

Description	Amount
Date Margin Interest Expense 09/16/2020	1.67
Totals:	1.67

Common Instructions for Recipient

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

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

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

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

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

Keep tax documents for your records.

1099-DIV Instructions for Recipient

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

Future developments. For the latest information about developments related to Form 1099-DIV and its instructions, such as legislation enacted after they were published, go to www.irs.gov/Form1099DIV.

1099-INT Instructions for Recipient

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

Boxes 15-17. State tax withheld reporting boxes.

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

1099-B Instructions for Recipient

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

1099-MISC Instructions for Recipient

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

1099-OID Instructions for Recipient

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

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

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

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

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

Box 2. Shows qualified stated interest on this obligation for the year, which is an amount separate from the OID. If you held the obligation the entire year, report this amount as interest income on your tax return. If you disposed of the obligation or acquired it from another holder during the

year, see Pub. 550 for reporting instructions. If there is an amount in both boxes 2 and 8, the amount in box 2 is interest on a U.S. Treasury obligation and is exempt from state and local income taxes. If there is an amount in both boxes 2 and 11, the amount in box 2 is tax-exempt interest

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

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

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

withheld.

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

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

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

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

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

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

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

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

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

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

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

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

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

Boxes 12–14. State income tax withheld reporting.

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