

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

ASISH NAYAK
4311 DEERMONT CIR
TAMPA, FL 33624-5413

IN ACCOUNT WITH

M1 FINANCE
312-600-2883

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 M1 FINANCE (312) 600-2883	Account 5QJ92824	Form 1099 Composite	2020
	ASISH NAYAK 4311 DEERMONT CIR TAMPA, FL 33624-5413 RECIPIENT'S ID No: XXX-XX-2470	Statement Date: 02/03/2021	

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)	41.33	
1b- Qualified Dividends	31.11	
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	

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

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

5QJ92824

02/03/2021

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	164,455.25	167,022.37	0.00	1,645.15	-921.97
Short term transactions for noncovered tax lots	4,786.11	5,273.41	0.00	90.48	-396.82
Total Short-term	169,241.36	172,295.78	0.00	1,735.63	-1,318.79
Long-term transactions for covered tax lots	0.00	0.00	0.00	0.00	0.00
Long-term transactions for noncovered tax lots	0.00	0.00	0.00	0.00	0.00
Total Long-term	0.00	0.00	0.00	0.00	0.00
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

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
BROADCOM INC COMMON STOCK CUSIP: 11135F101 Symbol: AVGO							
01/21/2020	0.22901	70.36	Various	72.06	1.75 D	0.05	Sale
01/24/2020	0.01721	5.64	Various	5.59	0.00	0.05	Sale
02/20/2020	0.00358	1.11	Various	1.17	0.06 D	0.00	Sale
02/21/2020	0.3343	101.62	Various	104.94	2.21 D	-1.11	Sale
02/25/2020	0.44229	128.39	Various	137.39	0.00	-9.00	Sale
Security Totals:		307.12		321.15		-10.01	
VANGUARD MEGA CAP GROWTH ETF CRSP U S MEGA CAP GROWTH INDEX CUSIP: 921910816 Symbol: MGK							
01/21/2020	0.005	0.75	01/16/2020	0.76	0.01 D	0.00	Sale

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APEX CLEARING

Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B*

OMB No. 1545-0715

5QJ92824

(continued)

02/03/2021

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
VANGUARD MEGA CAP GROWTH ETF CRSP U S MEGA CAP GROWTH INDEX CUSIP: 921910816 Symbol: MGK							
02/18/2020	2.72401	437.73	Various	421.34	0.00	16.39	Sale
02/20/2020	0.75226	121.96	01/24/2020	116.25	0.00	5.71	Sale
02/21/2020	0.24513	38.87	01/24/2020	37.88	0.00	0.99	Sale
02/28/2020	4.71044	646.10	Various	718.61	0.00	-72.51	Sale
Security Totals:		1,245.41		1,294.84		-49.42	
INVESCO CURRENCYSHARES JAPANESE YEN TRUST CUSIP: 46138W107 Symbol: FXY							
03/11/2020	4.16629	377.53	Various	385.21	7.68 D	0.00	Sale
03/12/2020	8.97146	811.17	Various	801.91	1.89 D	11.15	Sale
03/16/2020	2.50794	224.14	Various	219.56	0.00	4.58	Sale
03/17/2020	16.71182	1,481.79	Various	1,440.19	0.00	41.60	Sale
Security Totals:		2,894.63		2,846.87		57.33	
WORKDAY INC CLASS A COMMON STOCK CUSIP: 98138H101 Symbol: WDAY							
01/21/2020	0.19647	35.65	Various	35.48	0.00	0.17	Sale
01/24/2020	0.00401	0.73	01/16/2020	0.72	0.00	0.01	Sale
01/28/2020	0.00257	0.46	01/27/2020	0.47	0.01 D	0.00	Sale
02/04/2020	0.00073	0.12	01/27/2020	0.13	0.01 D	0.00	Sale
02/21/2020	0.5361	100.21	Various	106.99	5.27 D	-1.51	Sale
02/25/2020	0.71905	127.82	Various	137.84	0.00	-10.02	Sale
Security Totals:		264.99		281.63		-11.35	
VANGUARD SECTOR INDEX FDS VANGUARD INFORMATION TECHNOLOGY ETF CUSIP: 92204A702 Symbol: VGT							
02/18/2020	1.60248	432.57	Various	422.29	0.00	10.28	Sale
02/20/2020	0.45344	123.87	01/24/2020	119.45	0.00	4.42	Sale
02/25/2020	2.10549	534.43	Various	558.97	4.45 D	-20.09	Sale
02/28/2020	1.40688	320.65	Various	373.84	0.00	-53.19	Sale
Security Totals:		1,411.52		1,474.55		-58.58	
MOTOROLA SOLUTIONS INC CUSIP: 620076307 Symbol: MSI							
01/21/2020	0.6438	113.83	Various	109.65	0.00	4.18	Sale
01/28/2020	0.00435	0.76	01/27/2020	0.77	0.01 D	0.00	Sale

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APEX CLEARING

Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B*

OMB No. 1545-0715

5QJ92824

(continued)

02/03/2021

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
MOTOROLA SOLUTIONS INC CUSIP: 620076307 Symbol: MSI							
02/19/2020	1.9744	366.03	Various	343.82	0.00	22.21	Sale
Security Totals:		480.62		454.24		26.39	
VANGUARD S&P 500 ETF CUSIP: 922908363 Symbol: VOO							
01/16/2020	1.23453	374.18	Various	350.08	0.00	24.10	Sale
01/21/2020	0.20709	63.01	10/04/2019	55.59	0.00	7.42	Sale
02/04/2020	0.03011	9.07	01/24/2020	9.17	0.1 D	0.00	Sale
02/18/2020	1.3816	427.38	Various	421.09	0.00	6.29	Sale
02/20/2020	0.11382	35.39	01/24/2020	34.68	0.00	0.71	Sale
02/28/2020	4.62026	1,222.62	Various	1,401.88	100.86 D	-78.40	Sale
03/02/2020	2.66954	728.06	Various	885.58	0.00	-157.52	Sale
Security Totals:		2,859.71		3,158.07		-197.40	
***B2GOLD CORP CUSIP: 11777Q209 Symbol: BTG							
02/04/2020	285.49043	1,176.16	Various	1,222.94	0.00	-46.78	Sale
***SPOTIFY TECHNOLOGY S A SHS SPOTIFY TECH SA ORD REG CUSIP: L8681T102 Symbol: SPOT							
01/21/2020	1.11079	162.39	Various	169.25	6.86 D	0.00	Sale
01/24/2020	0.04596	6.85	12/23/2019	7.24	0.39 D	0.00	Sale
02/05/2020	0.22259	32.71	Various	35.12	2.41 D	0.00	Sale
02/21/2020	0.81674	116.88	Various	125.56	4.01 D	-4.67	Sale
02/25/2020	1.16857	170.97	Various	170.84	0.00	0.13	Sale
Security Totals:		489.80		508.01		-4.54	
VANECK VECTORS ETF TR GOLD MINERS ETF CUSIP: 92189F106 Symbol: GDV							
02/18/2020	2.49146	71.46	Various	69.98	0.00	1.48	Sale
02/20/2020	0.33601	10.02	02/04/2020	9.43	0.00	0.59	Sale
03/02/2020	66.48603	1,794.41	Various	1,891.16	0.00	-96.75	Sale
Security Totals:		1,875.89		1,970.57		-94.68	
ZENDESK INC COM CUSIP: 98936J101 Symbol: ZEN							
01/21/2020	0.67614	57.52	Various	56.60	0.00	0.92	Sale
01/24/2020	0.03624	3.17	Various	2.75	0.00	0.42	Sale

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APEX CLEARING

Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B*

OMB No. 1545-0715

5QJ92824

(continued)

02/03/2021

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
ZENDESK INC COM CUSIP: 98936J101 Symbol: ZEN							
02/05/2020	0.13032	11.42	02/04/2020	11.58	0.16 D	0.00	Sale
02/19/2020	1.04502	95.16	Various	88.93	0.00	6.23	Sale
Security Totals:		167.27		159.86		7.57	
DELTA AIR LINES INC DEL COM CUSIP: 247361702 Symbol: DAL							
02/20/2020	1.40227	82.63	02/18/2020	83.20	0.57 D	0.00	Sale
02/21/2020	1.54491	88.38	02/18/2020	91.66	3.28 D	0.00	Sale
02/25/2020	6.66375	355.62	Various	394.62	0.00	-39.00	Sale
Security Totals:		526.63		569.48		-39.00	
ISHARES MORNINGSTAR LARGE CAP GROWTH ETF CUSIP: 464287119 Symbol: JKE							
02/18/2020	0.63448	147.89	Various	142.02	0.00	5.87	Sale
02/20/2020	0.05496	12.91	01/24/2020	12.25	0.00	0.66	Sale
02/25/2020	1.62186	358.98	Various	368.16	0.00	-9.18	Sale
Security Totals:		519.78		522.43		-2.65	
SQUARE INC CLASS A COM CUSIP: 852234103 Symbol: SQ							
01/21/2020	1.45863	101.37	Various	102.67	1.3 D	0.00	Sale
01/24/2020	0.04126	2.94	Various	2.86	0.00	0.08	Sale
01/28/2020	0.07293	5.35	01/27/2020	5.22	0.00	0.13	Sale
01/30/2020	0.02026	1.50	01/27/2020	1.45	0.00	0.05	Sale
02/04/2020	0.15649	12.62	01/27/2020	11.20	0.00	1.42	Sale
02/20/2020	1.57969	137.24	02/18/2020	130.15	0.00	7.09	Sale
02/21/2020	1.20704	101.13	Various	88.96	0.00	12.17	Sale
02/25/2020	1.60857	126.77	Various	103.58	0.00	23.19	Sale
Security Totals:		488.92		446.09		44.13	
LIBERTY BROADBAND CORPORATION CLASS C COMMON STOCK CUSIP: 530307305 Symbol: LBRDK							
01/21/2020	1.8423	238.43	01/16/2020	239.89	1.46 D	0.00	Sale
01/24/2020	0.02862	3.75	01/16/2020	3.73	0.00	0.02	Sale
02/04/2020	0.02626	3.55	01/27/2020	3.44	0.00	0.11	Sale
02/21/2020	3.10304	425.47	Various	428.38	0.43 D	-2.48	Sale

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Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B*

OMB No. 1545-0715

5QJ92824

(continued)

02/03/2021

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
LIBERTY BROADBAND CORPORATION CLASS C COMMON STOCK CUSIP: 530307305 Symbol: LBRDK							
02/25/2020	3.90694	534.24	Various	486.71	0.00	47.53	Sale
Security Totals:		1,205.44		1,162.15		45.18	
SPDR SERIES TRUST S&P AEROSPACE & DEFENSE ETF CUSIP: 78464A631 Symbol: XAR							
02/18/2020	4.51905	533.67	Various	525.43	0.00	8.24	Sale
02/20/2020	0.11967	14.07	01/24/2020	13.91	0.00	0.16	Sale
02/28/2020	9.67195	948.20	Various	1,098.21	0.00	-150.01	Sale
Security Totals:		1,495.94		1,637.55		-141.61	
SNAP INC CLASS A COMMON STOCK CUSIP: 83304A106 Symbol: SNAP							
01/21/2020	4.04439	76.50	Various	73.79	0.00	2.71	Sale
01/24/2020	0.03373	0.63	01/13/2020	0.59	0.00	0.04	Sale
01/28/2020	0.06041	1.12	01/27/2020	1.12	0.00	0.00	Sale
02/21/2020	6.11171	101.74	Various	106.98	3.58 D	-1.66	Sale
02/25/2020	8.14913	131.34	Various	133.73	0.00	-2.39	Sale
Security Totals:		311.33		316.21		-1.30	
INTUIT INC CUSIP: 461202103 Symbol: INTU							
01/21/2020	0.13214	37.28	Various	36.61	0.02 D	0.69	Sale
01/24/2020	0.0024	0.68	Various	0.66	0.00	0.02	Sale
02/19/2020	0.39766	121.24	Various	113.53	0.00	7.71	Sale
Security Totals:		159.20		150.80		8.42	
***PRUDENTIAL PLC SPONS ADR CUSIP: 74435K204 Symbol: PUK							
01/24/2020	7.45417	277.72	01/21/2020	273.27	0.00	4.45	Sale
VANGUARD ADMIRAL FDS INC S&P 500 GROWTH INDEX FD ETF SHS CUSIP: 921932505 Symbol: VOO							
01/21/2020	1.50057	273.91	Various	272.03	0.00	1.88	Sale
01/24/2020	1.4955	274.14	01/16/2020	271.10	0.00	3.04	Sale
Security Totals:		548.05		543.13		4.92	
SCHWAB STRATEGIC TR US LCAP GR ETF CUSIP: 808524300 Symbol: SCHG							
01/21/2020	0.00635	0.60	Various	0.62	0.02 D	0.00	Sale
02/18/2020	5.19168	527.03	Various	509.12	0.00	17.91	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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(continued)

02/03/2021

SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

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SCHWAB STRATEGIC TR US LCAP GR ETF CUSIP: 808524300 Symbol: SCHG							
02/20/2020	0.30369	31.06	02/04/2020	29.74	0.00	1.32	Sale
02/25/2020	5.59075	539.59	Various	560.41	6.37 D	-14.45	Sale
03/02/2020	0.07973	7.10	02/04/2020	8.12	0.00	-1.02	Sale
03/10/2020	0.1477	12.70	02/04/2020	15.04	0.00	-2.34	Sale
03/13/2020	4.46108	350.58	Various	426.08	0.00	-75.50	Sale
Security Totals:		1,468.66		1,549.13		-74.08	
FLEETCOR TECHNOLOGIES INC CUSIP: 339041105 Symbol: FLT							
01/21/2020	0.56188	175.40	Various	171.85	0.28 D	3.83	Sale
01/24/2020	0.03016	9.56	Various	9.06	0.00	0.50	Sale
02/05/2020	0.11487	37.34	02/04/2020	37.27	0.00	0.07	Sale
02/21/2020	0.35433	109.36	Various	114.07	1.45 D	-3.26	Sale
02/25/2020	0.54001	159.63	Various	166.20	0.00	-6.57	Sale
Security Totals:		491.29		498.45		-5.43	
LIBERTY MEDIA CORPORATION SERIES A LIBERTY SIRIUSXM COM CUSIP: 531229409 Symbol: LSXMA							
02/21/2020	2.01653	102.44	02/20/2020	102.44	0.00	0.00	Sale
02/25/2020	7.48483	371.60	Various	372.57	0.00	-0.97	Sale
Security Totals:		474.04		475.01		-0.97	
ISHARES TRUST ISHARES CORE S&P U S GROWTH ETF CUSIP: 464287671 Symbol: IUSG							
01/21/2020	0.00212	0.13	Various	0.15	0.01 D	-0.01	Sale
01/24/2020	3.8654	274.27	Various	271.40	0.00	2.87	Sale
Security Totals:		274.40		271.55		2.86	
SERVICENOW INC COM CUSIP: 81762P102 Symbol: NOW							
01/21/2020	0.8927	279.94	Various	273.50	0.00	6.44	Sale
01/24/2020	0.00864	2.70	01/13/2020	2.61	0.00	0.09	Sale
01/28/2020	0.00759	2.34	01/27/2020	2.32	0.00	0.02	Sale
01/30/2020	0.05242	17.58	01/27/2020	16.05	0.00	1.53	Sale
02/21/2020	0.98136	338.61	Various	349.79	2.22 D	-8.96	Sale

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OMB No. 1545-0715

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SERVICENOW INC COM CUSIP: 81762P102 Symbol: NOW							
02/25/2020	1.32578	445.71	Various	374.60	0.00	71.11	Sale
Security Totals:		1,086.88		1,018.87		70.23	
DEXCOM INC CUSIP: 252131107 Symbol: DXCM							
01/21/2020	0.14644	34.27	Various	34.66	0.39 D	0.00	Sale
01/28/2020	0.00253	0.58	Various	0.60	0.02 D	0.00	Sale
02/19/2020	0.41927	123.41	Various	102.93	0.00	20.48	Sale
Security Totals:		158.26		138.19		20.48	
***STONECO LTD CLASS A COMMON SHARES CUSIP: G85158106 Symbol: STNE							
01/21/2020	0.82624	34.74	Various	34.99	0.25 D	0.00	Sale
01/24/2020	0.06234	2.74	01/16/2020	2.66	0.00	0.08	Sale
01/28/2020	0.00286	0.10	01/16/2020	0.12	0.02 D	0.00	Sale
01/30/2020	0.02798	1.20	01/16/2020	1.20	0.00	0.00	Sale
02/20/2020	0.08566	3.72	Various	3.71	0.02 D	0.03	Sale
02/21/2020	1.24755	53.50	Various	52.49	0.03 D	1.04	Sale
02/25/2020	1.56313	66.13	Various	61.88	0.00	4.25	Sale
Security Totals:		162.13		157.05		5.40	
***INTERCONTINENTAL HOTELS GROUP PLC AMERICAN DEPOSITARY SHARE ECH RPRSNTNG ONE ORD SH CUSIP: 45857P806 Symbol: IHG							
01/24/2020	4.22169	266.79	01/21/2020	273.27	0.00	-6.48	Sale
ANAPLAN INC COMMON STOCK CUSIP: 03272L108 Symbol: PLAN							
01/21/2020	2.97764	169.11	01/16/2020	171.33	2.22 D	0.00	Sale
01/24/2020	0.16168	9.45	01/13/2020	9.34	0.00	0.11	Sale
01/28/2020	0.12697	7.29	01/13/2020	7.33	0.04 D	0.00	Sale
02/04/2020	0.19634	12.02	Various	11.34	0.00	0.68	Sale
02/20/2020	1.55851	98.26	02/18/2020	98.40	0.12 D	-0.02	Sale
02/21/2020	3.73282	221.71	Various	234.76	0.00	-13.05	Sale
02/25/2020	5.49393	315.55	Various	292.68	0.00	22.87	Sale
Security Totals:		833.39		825.18		10.59	

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RH COM CUSIP: 74967X103 Symbol: RH							
02/21/2020	0.3114	73.89	02/19/2020	78.45	4.56 D	0.00	Sale
02/25/2020	1.61488	352.85	Various	408.36	0.00	-55.51	Sale
Security Totals:		426.74		486.81		-55.51	
***XENON PHARMACEUTICALS INC CUSIP: 98420N105 Symbol: XENE							
01/29/2020	6.5175	99.89	01/24/2020	104.28	0.00	-4.39	Sale
***ALIBABA GROUP HOLDING LTD SPONSORED ADR CUSIP: 01609W102 Symbol: BABA							
01/21/2020	1.44817	320.75	Various	327.79	7.04 D	0.00	Sale
01/27/2020	1.48817	305.07	Various	338.53	33.46 D	0.00	Sale
01/28/2020	0.04683	9.77	01/24/2020	11.39	1.62 D	0.00	Sale
02/05/2020	0.08394	18.31	Various	21.30	2.99 D	0.00	Sale
02/20/2020	0.71995	158.86	Various	178.76	15.25 D	-4.65	Sale
02/21/2020	2.36999	505.87	Various	552.14	7.76 D	-38.51	Sale
02/25/2020	3.23753	674.87	Various	660.23	0.00	14.64	Sale
Security Totals:		1,993.50		2,090.14		-28.52	
SUNRUN INC COM CUSIP: 86771W105 Symbol: RUN							
01/21/2020	10.95664	189.53	Various	172.48	0.98 D	18.03	Sale
01/24/2020	0.36609	6.20	12/23/2019	5.91	0.00	0.29	Sale
01/30/2020	0.21636	3.80	01/27/2020	3.57	0.00	0.23	Sale
02/05/2020	2.38494	44.34	02/04/2020	42.64	0.00	1.70	Sale
02/20/2020	4.59482	106.58	02/18/2020	101.18	0.00	5.40	Sale
02/21/2020	3.21768	70.93	Various	61.86	0.00	9.07	Sale
02/25/2020	5.08687	107.31	Various	70.13	0.00	37.18	Sale
Security Totals:		528.69		457.77		71.90	
INSULET CORPORATION CUSIP: 45784P101 Symbol: PODD							
01/21/2020	0.1908	36.32	Various	35.99	0.00	0.33	Sale
01/28/2020	0.00191	0.35	01/27/2020	0.37	0.02 D	0.00	Sale
02/21/2020	0.50762	107.46	Various	110.10	1.68 D	-0.96	Sale

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INSULET CORPORATION CUSIP: 45784P101 Symbol: PODD							
02/25/2020	0.62736	130.16	Various	124.88	0.00	5.28	Sale
Security Totals:		274.29		271.34		4.65	
NETFLIX COM INC CUSIP: 64110L106 Symbol: NFLX							
01/21/2020	1.01626	340.55	Various	344.05	3.51 D	0.01	Sale
01/24/2020	0.06581	23.55	01/13/2020	22.33	0.00	1.22	Sale
01/28/2020	0.00339	1.16	01/27/2020	1.19	0.03 D	0.00	Sale
02/05/2020	0.00903	3.28	02/04/2020	3.31	0.03 D	0.00	Sale
02/21/2020	1.0072	384.28	Various	391.19	0.00	-6.91	Sale
02/25/2020	1.3123	484.34	Various	414.40	0.00	69.94	Sale
Security Totals:		1,237.16		1,176.47		64.26	
DAVITA INC CUSIP: 23918K108 Symbol: DVA							
02/20/2020	2.76177	235.20	02/19/2020	236.68	1.48 D	0.00	Sale
02/21/2020	1.12122	94.23	02/18/2020	96.43	0.59 D	-1.61	Sale
02/25/2020	4.53627	376.67	Various	389.26	0.00	-12.59	Sale
Security Totals:		706.10		722.37		-14.20	
JPMORGAN CHASE & CO CUSIP: 46625H100 Symbol: JPM							
02/20/2020	1.73653	238.91	02/19/2020	238.30	0.00	0.61	Sale
02/21/2020	0.71083	96.44	Various	97.10	0.25 D	-0.41	Sale
02/25/2020	2.80168	368.79	Various	382.46	0.00	-13.67	Sale
Security Totals:		704.14		717.86		-13.47	
SELECT SECTOR SPDR TRUST THE TECHNOLOGY SELECT SECTOR SPDR FUND CUSIP: 81369Y803 Symbol: XLK							
01/24/2020	1.25035	123.24	01/21/2020	121.65	0.00	1.59	Sale
02/18/2020	4.24857	431.21	Various	415.74	0.00	15.47	Sale
02/20/2020	1.20726	123.99	01/21/2020	117.45	0.00	6.54	Sale
02/25/2020	5.59725	534.06	Various	558.29	1.92 D	-22.31	Sale
03/02/2020	4.06484	361.47	Various	393.44	0.00	-31.97	Sale
Security Totals:		1,573.97		1,606.57		-30.68	

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SELECT SECTOR SPDR TRUST THE INDUSTRIAL SELECT SECTOR SPDR FUND CUSIP: 81369Y704 Symbol: XLI							
02/18/2020	0.83352	70.33	Various	68.79	0.00	1.54	Sale
02/20/2020	0.06408	5.40	02/04/2020	5.29	0.00	0.11	Sale
02/28/2020	4.44487	319.03	Various	364.38	0.00	-45.35	Sale
Security Totals:		394.76		438.46		-43.70	
SIRIUS XM HOLDINGS INC COM CUSIP: 82968B103 Symbol: SIRI							
02/20/2020	22.32789	164.09	02/19/2020	162.32	0.00	1.77	Sale
02/21/2020	13.75102	100.50	Various	99.75	0.00	0.75	Sale
02/25/2020	51.96332	367.88	02/18/2020	375.18	0.00	-7.30	Sale
Security Totals:		632.47		637.25		-4.78	
TRANSDIGM GROUP INCORPORATED CUSIP: 893641100 Symbol: TDG							
01/21/2020	0.55521	354.80	Various	339.61	0.01 D	15.20	Sale
01/24/2020	0.03406	22.61	Various	19.39	0.00	3.22	Sale
02/05/2020	0.08864	56.18	Various	58.47	2.29 D	0.00	Sale
02/21/2020	0.3611	226.10	Various	237.00	6.01 D	-4.89	Sale
02/25/2020	0.53534	320.90	Various	325.50	0.00	-4.60	Sale
Security Totals:		980.59		979.97		8.93	
INVESCO EXCHANGE TRADED FD TR II S&P GLOBAL WATER INDEX ETF CUSIP: 46138E263 Symbol: CGW							
01/13/2020	20.40791	840.98	Various	812.20	0.02 D	28.80	Sale
01/16/2020	0.06631	2.77	12/02/2019	2.63	0.00	0.14	Sale
01/24/2020	3.69435	157.84	Various	146.33	0.00	11.51	Sale
02/07/2020	3.55018	151.36	Various	149.89	0.02 D	1.49	Sale
02/25/2020	4.31154	180.72	Various	187.70	4.35 D	-2.63	Sale
03/02/2020	9.14665	354.87	Various	382.44	0.00	-27.57	Sale
Security Totals:		1,688.54		1,681.19		11.74	
INDEXIQ ETF TR IQ ARB MERGER ARBITRAGE ETF CUSIP: 45409B800 Symbol: MNA							
03/09/2020	22.75202	710.40	03/06/2020	731.25	0.00	-20.85	Sale
NVIDIA CORP CUSIP: 67066G104 Symbol: NVDA							
02/21/2020	0.49688	148.25	Various	155.87	5.09 D	-2.53	Sale

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NVIDIA CORP CUSIP: 67066G104 Symbol: NVDA							
02/25/2020	0.673	181.91	Various	214.32	0.00	-32.41	Sale
Security Totals:		330.16		370.19		-34.94	
TG THERAPEUTICS INC CUSIP: 88322Q108 Symbol: TGTX							
01/30/2020	0.13966	1.92	01/29/2020	1.99	0.07 D	0.00	Sale
02/04/2020	15.29654	232.33	Various	210.88	0.00	21.45	Sale
Security Totals:		234.25		212.87		21.45	
VANGUARD INDEX FUNDS VANGUARD SMALL-CAP ETF CUSIP: 922908751 Symbol: VB							
01/16/2020	1.36436	231.65	Various	217.46	0.00	14.19	Sale
01/21/2020	0.22346	37.66	Various	33.70	0.00	3.96	Sale
01/24/2020	0.2262	38.05	10/04/2019	34.11	0.00	3.94	Sale
Security Totals:		307.36		285.27		22.09	
SALESFORCE.COM INC CUSIP: 79466L302 Symbol: CRM							
01/21/2020	0.62258	114.99	Various	112.27	0.00	2.72	Sale
01/24/2020	0.03568	6.57	Various	5.79	0.00	0.78	Sale
02/05/2020	0.12692	23.52	02/04/2020	23.78	0.26 D	0.00	Sale
02/20/2020	0.49848	97.01	Various	95.40	0.00	1.61	Sale
02/21/2020	0.1957	36.86	Various	35.79	0.00	1.07	Sale
02/25/2020	0.29635	55.17	Various	45.74	0.00	9.43	Sale
Security Totals:		334.12		318.77		15.61	
VANGUARD INTERMEDIATE TERM CORPORATE BOND ETF CUSIP: 92206C870 Symbol: VCIT							
01/16/2020	4.73931	435.76	Various	433.06	0.00	2.70	Sale
01/21/2020	0.80075	73.77	Various	72.70	0.00	1.07	Sale
01/24/2020	0.80163	74.13	Various	72.74	0.00	1.39	Sale
03/17/2020	13.84004	1,203.91	Various	1,196.36	0.00	7.55	Sale
Security Totals:		1,787.57		1,774.86		12.71	
***DESPEGAR COM CORP ORDINARY SHARES CUSIP: G27358103 Symbol: DESP							
01/21/2020	4.04209	54.71	Various	56.63	1.92 D	0.00	Sale
01/24/2020	0.08618	1.09	12/18/2019	1.15	0.06 D	0.00	Sale

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***DESPEGAR COM CORP ORDINARY SHARES CUSIP: G27358103 Symbol: DESP							
01/28/2020	0.2153	2.85	Various	2.87	0.02 D	0.00	Sale
01/30/2020	0.11712	1.71	01/27/2020	1.54	0.00	0.17	Sale
02/05/2020	0.76506	11.15	02/04/2020	11.88	0.73 D	0.00	Sale
02/20/2020	0.17223	2.61	02/18/2020	2.70	0.00	-0.09	Sale
02/21/2020	2.58058	39.05	Various	39.41	0.05 D	-0.31	Sale
02/25/2020	3.67211	52.56	Various	47.78	0.00	4.78	Sale
Security Totals:		165.73		163.96		4.55	
COSTCO WHOLESALE CORP-NEW CUSIP: 22160K105 Symbol: COST							
02/21/2020	0.312	101.29	02/20/2020	101.06	0.00	0.23	Sale
02/25/2020	1.1774	372.13	Various	380.28	0.00	-8.15	Sale
Security Totals:		473.42		481.34		-7.92	
***MIZUHO FINANCIAL GROUP INC SPONSORED ADR CUSIP: 60687Y109 Symbol: MFG							
01/24/2020	90.48675	272.35	01/21/2020	273.27	0.00	-0.92	Sale
INVESCO QQQ TR UNIT SER 1 CUSIP: 46090E103 Symbol: QQQ							
01/24/2020	3.67413	827.27	01/21/2020	819.81	0.00	7.46	Sale
NEW RELIC INC COM CUSIP: 64829B100 Symbol: NEWR							
01/21/2020	0.78519	55.47	Various	56.36	1.28 D	0.39	Sale
01/24/2020	0.02141	1.48	12/23/2019	1.50	0.02 D	0.00	Sale
01/28/2020	0.00132	0.07	12/23/2019	0.09	0.02 D	0.00	Sale
02/05/2020	0.14905	9.64	02/04/2020	10.64	1 D	0.00	Sale
02/19/2020	1.54337	93.92	Various	100.54	0.00	-6.62	Sale
Security Totals:		160.58		169.13		-6.23	
ACTIVISION BLIZZARD INC CUSIP: 00507V109 Symbol: ATVI							
01/21/2020	1.80925	110.96	Various	108.66	0.00	2.30	Sale
01/28/2020	0.02625	1.54	12/23/2019	1.56	0.02 D	0.00	Sale
02/10/2020	0.01785	1.08	01/13/2020	1.07	0.00	0.01	Sale
02/21/2020	2.55658	162.63	Various	161.61	0.4 D	1.42	Sale

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APEX CLEARING

Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B*

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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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ACTIVISION BLIZZARD INC CUSIP: 00507V109 Symbol: ATVI							
02/25/2020	3.17252	195.69	Various	179.54	0.00	16.15	Sale
Security Totals:		471.90		452.44		19.88	
ELECTRONIC ARTS INC CUSIP: 285512109 Symbol: EA							
01/21/2020	0.32764	36.87	Various	36.13	0.00	0.74	Sale
02/21/2020	0.50736	54.78	Various	55.70	0.28 D	-0.64	Sale
02/25/2020	0.61901	67.44	Various	64.55	0.00	2.89	Sale
Security Totals:		159.09		156.38		2.99	
ISHARES TRUST ISHARES U S TREASURY BOND ETF CUSIP: 46429B267 Symbol: GOVT							
02/18/2020	2.62	69.41	Various	69.20	0.00	0.21	Sale
02/20/2020	0.22012	5.82	02/04/2020	5.81	0.00	0.01	Sale
03/06/2020	23.19906	644.44	03/02/2020	633.33	0.00	11.11	Sale
03/10/2020	13.90837	390.11	Various	380.22	0.14 D	10.03	Sale
03/11/2020	0.07496	2.07	03/02/2020	2.05	0.00	0.02	Sale
03/16/2020	13.09318	361.09	Various	361.51	1.71 D	1.29	Sale
03/17/2020	87.05127	2,422.57	Various	2,346.26	0.00	76.31	Sale
Security Totals:		3,895.51		3,798.38		98.98	
ALLIED HEALTHCARE PRODUCTS INC COMMON STOCK CUSIP: 019222207 Symbol: AHPI							
01/30/2020	2.34408	6.52	01/27/2020	9.17	2.65 D	0.00	Sale
02/04/2020	26.93082	65.15	Various	83.03	0.00	-17.88	Sale
Security Totals:		71.67		92.20		-17.88	
RINGCENTRAL INC CL A CUSIP: 76680R206 Symbol: RNG							
01/21/2020	0.60615	120.26	Various	113.00	0.00	7.26	Sale
01/24/2020	0.02823	5.65	Various	4.72	0.00	0.93	Sale
01/28/2020	0.00478	0.93	01/27/2020	0.93	0.00	0.00	Sale
02/05/2020	0.1131	23.24	02/04/2020	23.62	0.38 D	0.00	Sale
02/21/2020	1.07039	253.00	02/19/2020	268.26	14.5 D	-0.76	Sale
02/25/2020	1.56563	367.01	Various	370.91	0.00	-3.90	Sale
Security Totals:		770.09		781.44		3.53	

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FIRST TRUST EXCHANGE TRADED FUND TRUST FIRST TRUST WATER ETF CUSIP: 33733B100 Symbol: FIW							
01/16/2020	0.04239	2.61	Various	2.59	0.01 D	0.03	Sale
01/24/2020	2.50479	156.63	Various	147.04	0.01 D	9.60	Sale
02/25/2020	2.99967	184.37	Various	191.07	4.48 D	-2.22	Sale
03/02/2020	6.32092	353.38	Various	385.82	0.00	-32.44	Sale
Security Totals:		696.99		726.52		-25.03	
BEYOND MEAT INC COMMON STOCK CUSIP: 08862E109 Symbol: BYND							
02/04/2020	10.53781	1,150.69	Various	1,302.39	0.00	-151.70	Sale
DIREXION SHARES ETF TRUST DIREXION DAILY MID CAP BEAR 3X SHARES CUSIP: 25460E117 Symbol: MIDZ							
03/17/2020	7.09868	758.04	03/13/2020	682.61	0.00	75.43	Sale
MICROSOFT CORP CUSIP: 594918104 Symbol: MSFT							
01/21/2020	3.30168	552.54	01/16/2020	544.21	0.00	8.33	Sale
01/28/2020	0.01063	1.73	01/24/2020	1.78	0.05 D	0.00	Sale
01/30/2020	0.27028	46.39	01/24/2020	45.20	0.00	1.19	Sale
02/05/2020	0.41632	75.57	02/04/2020	74.16	0.00	1.41	Sale
02/19/2020	4.22259	788.37	Various	790.04	1.71 D	0.04	Sale
02/21/2020	3.84566	690.69	Various	678.72	0.00	11.97	Sale
02/25/2020	6.72299	1,163.17	Various	1,038.67	0.00	124.50	Sale
Security Totals:		3,318.46		3,172.78		147.44	
APOLLO GLOBAL MANAGEMENT INC CLASS A COMMON STOCK CUSIP: 03768E105 Symbol: APO							
01/21/2020	9.33652	468.02	Various	459.22	0.00	8.80	Sale
01/24/2020	0.56706	29.28	Various	25.93	0.00	3.35	Sale
01/28/2020	0.04153	2.09	01/27/2020	2.07	0.00	0.02	Sale
02/05/2020	2.08462	99.50	Various	100.17	1.32 D	0.65	Sale
02/21/2020	8.38349	386.04	Various	393.45	7.76 D	0.35	Sale
02/25/2020	12.12747	545.83	Various	546.80	0.00	-0.97	Sale
Security Totals:		1,530.76		1,527.64		12.20	
ISHARES U S TECHNOLOGY ETF CUSIP: 464287721 Symbol: IYW							
02/18/2020	0.83791	216.02	Various	210.57	0.00	5.45	Sale

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ISHARES U S TECHNOLOGY ETF CUSIP: 464287721 Symbol: IYW							
02/20/2020	0.07491	19.51	01/24/2020	18.82	0.00	0.69	Sale
02/25/2020	2.20888	534.52	Various	556.47	0.00	-21.95	Sale
Security Totals:		770.05		785.86		-15.81	
***SEA LIMITED AMERICAN DEPOSITARY SHS EACH RPRSNTNG ONE CL A ORD SHARE CUSIP: 81141R100 Symbol: SE							
01/21/2020	3.68938	150.47	Various	149.48	0.00	0.99	Sale
01/24/2020	0.41943	19.40	Various	16.34	0.00	3.06	Sale
01/28/2020	0.04022	1.79	01/27/2020	1.76	0.00	0.03	Sale
02/05/2020	0.33758	15.60	02/04/2020	15.73	0.13 D	0.00	Sale
02/21/2020	3.72185	192.40	Various	186.36	0.00	6.04	Sale
02/25/2020	4.76617	225.56	Various	194.14	0.00	31.42	Sale
Security Totals:		605.22		563.81		41.54	
ISHARES S&P 500 GROWTH ETF CUSIP: 464287309 Symbol: IVW							
01/21/2020	0.00148	0.28	01/16/2020	0.30	0.00	-0.02	Sale
01/24/2020	1.34767	274.24	01/16/2020	271.19	0.00	3.05	Sale
Security Totals:		274.52		271.49		3.03	
DIREXION SHARES ETF TRUST DIREXION DAILY S&P OIL & GAS EXP & PROD BEAR 2X SHARES CUSIP: 25460E174 Symbol: DRIP							
03/17/2020	1.10993	327.40	03/13/2020	682.61	0.00	-355.21	Sale
BIOGEN INC CUSIP: 09062X103 Symbol: BIIB							
02/20/2020	0.4697	158.37	02/19/2020	159.02	0.65 D	0.00	Sale
02/21/2020	0.29063	97.86	02/18/2020	98.41	0.41 D	-0.14	Sale
02/25/2020	1.13191	369.46	Various	382.66	0.00	-13.20	Sale
Security Totals:		625.69		640.09		-13.34	
VANGUARD FTSE DEVELOPED MARKETS ETF CUSIP: 921943858 Symbol: VEA							
01/16/2020	7.67154	340.75	Various	325.54	0.00	15.21	Sale
01/21/2020	1.27776	56.70	Various	51.45	0.00	5.25	Sale
02/18/2020	19.30016	843.58	01/24/2020	856.35	10.82 D	-1.95	Sale
02/20/2020	0.37116	16.20	02/07/2020	16.51	0.31 D	0.00	Sale
03/02/2020	9.00637	353.30	Various	397.27	0.00	-43.97	Sale

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VANGUARD FTSE DEVELOPED MARKETS ETF CUSIP: 921943858 Symbol: VEA							
03/06/2020	8.96149	351.90	Various	378.70	0.00	-26.80	Sale
Security Totals:		1,962.43		2,025.82		-52.26	
VANGUARD SPECIALIZED FUNDS VANGUARD REAL ESTATE ETF CUSIP: 922908553 Symbol: VNQ							
01/16/2020	0.34706	32.75	Various	32.81	0.00	-0.06	Sale
01/21/2020	0.05879	5.56	11/14/2019	5.42	0.00	0.14	Sale
01/24/2020	0.05692	5.44	Various	5.24	0.00	0.20	Sale
Security Totals:		43.75		43.47		0.28	
APPLE INC CUSIP: 037833100 Symbol: AAPL							
01/30/2020	0.02017	6.49	01/24/2020	6.49	0.00	0.00	Sale
02/19/2020	2.6518	856.21	Various	852.11	0.00	4.10	Sale
02/21/2020	0.23812	75.36	02/20/2020	77.15	1.79 D	0.00	Sale
02/25/2020	1.0008	299.85	Various	323.99	0.00	-24.14	Sale
Security Totals:		1,237.91		1,259.74		-20.04	
ISHARES CORE S&P 500 ETF CUSIP: 464287200 Symbol: IVV							
01/24/2020	2.46425	820.69	01/21/2020	819.81	0.00	0.88	Sale
TWITTER INC CUSIP: 90184L102 Symbol: TWTR							
01/21/2020	1.11078	37.98	Various	36.91	0.00	1.07	Sale
01/28/2020	0.01444	0.46	01/27/2020	0.47	0.01 D	0.00	Sale
02/10/2020	0.10891	3.95	02/05/2020	3.64	0.00	0.31	Sale
02/21/2020	6.98773	267.68	Various	270.13	2.17 D	-0.28	Sale
02/25/2020	8.7841	317.09	Various	324.88	0.00	-7.79	Sale
Security Totals:		627.16		636.03		-6.69	
***P T TELEKOMUNIKASI INDONESIA SPONSORED ADR CUSIP: 715684106 Symbol: TLK							
01/24/2020	9.62557	277.10	01/21/2020	273.27	0.00	3.83	Sale
***ATLISSIAN CORPORATION PLC CLASS A CUSIP: G06242104 Symbol: TEAM							
02/21/2020	0.24294	35.30	02/19/2020	37.44	1.31 D	-0.83	Sale
02/25/2020	0.38653	55.92	Various	60.46	0.00	-4.54	Sale
Security Totals:		91.22		97.90		-5.37	

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8X8 INC COMMON STOCK CUSIP: 282914100 Symbol: EGHT							
01/21/2020	2.69349	55.87	Various	56.15	1.25 D	0.97	Sale
01/24/2020	0.06623	1.30	Various	1.63	0.33 D	0.00	Sale
01/28/2020	0.01165	0.21	12/23/2019	0.28	0.07 D	0.00	Sale
02/05/2020	0.6605	13.19	Various	13.64	0.49 D	0.04	Sale
02/19/2020	4.66434	95.63	Various	92.80	0.00	2.83	Sale
Security Totals:		166.20		164.50		3.84	
***CREDIT SUISSE AG NASSAU BRH VELOCITY SHS DAILY 2X SHORT TERM ETN CUSIP: 22542D258 Symbol: TVIX							
03/09/2020	6.15015	1,538.16	03/06/2020	1,096.88	0.00	441.28	Sale
DIREXION SHARES ETF TRUST DIREXION DAILY JUNIOR GOLD MINERS INDEX BEAR 2X SHARES CUSIP: 25460E877 Symbol: JDST							
03/17/2020	32.94394	280.00	03/13/2020	610.78	0.00	-330.78	Sale
MERCADOLIBRE INC CUSIP: 58733R102 Symbol: MELI							
01/21/2020	0.08556	55.82	Various	56.31	0.99 D	0.50	Sale
01/24/2020	0.00536	3.59	Various	3.16	0.00	0.43	Sale
01/28/2020	0.00114	0.74	01/27/2020	0.77	0.03 D	0.00	Sale
02/05/2020	0.01984	13.95	Various	14.20	0.29 D	0.04	Sale
02/19/2020	0.12981	95.90	Various	85.91	0.00	9.99	Sale
Security Totals:		170.00		160.35		10.96	
ZOOM VIDEO COMMUNICATIONS INC CLASS A COMMON STOCK CUSIP: 98980L101 Symbol: ZM							
01/21/2020	0.44411	33.44	Various	34.79	1.35 D	0.00	Sale
02/04/2020	0.12737	10.77	Various	10.11	0.03 D	0.69	Sale
02/19/2020	1.25135	127.02	Various	103.36	0.00	23.66	Sale
Security Totals:		171.23		148.26		24.35	
VANGUARD FTSE EMERGING MARKETS ETF FTSE EMERGING INDEX CUSIP: 922042858 Symbol: VWO							
01/16/2020	1.76523	80.51	Various	75.45	0.00	5.06	Sale
01/21/2020	0.29249	13.11	Various	11.79	0.00	1.32	Sale
01/24/2020	0.3032	13.47	10/04/2019	12.21	0.00	1.26	Sale
Security Totals:		107.09		99.45		7.64	

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ISHARES RUSSELL TOP 200 GROWTH ETF CUSIP: 464289438 Symbol: IWY							
02/18/2020	2.05434	216.20	Various	209.19	0.00	7.01	Sale
02/20/2020	0.17823	18.89	01/24/2020	18.14	0.00	0.75	Sale
02/25/2020	1.78203	177.97	02/21/2020	185.37	7.4 D	0.00	Sale
03/10/2020	0.76022	68.56	02/04/2020	80.45	11.89 D	0.00	Sale
03/11/2020	4.02892	360.73	Various	416.20	55.47 D	0.00	Sale
03/12/2020	7.71521	629.84	Various	760.23	130.39 D	0.00	Sale
03/13/2020	12.65499	1,044.76	Various	1,261.59	0.00	-216.83	Sale
Security Totals:		2,516.95		2,931.17		-209.07	
***PETROCHINA CO LTD ADR EACH REPR 100 ORD HKD0 CUSIP: 71646E100 Symbol: PTR							
01/24/2020	5.58605	266.10	01/21/2020	273.27	0.00	-7.17	Sale
INVESCO EXCHANGE TRADED FUND TRUST INVESCO WATER RESOURCES ETF CUSIP: 46137V142 Symbol: PHO							
01/16/2020	0.04624	1.81	Various	1.80	0.00	0.01	Sale
01/21/2020	0.00651	0.24	01/13/2020	0.25	0.01 D	0.00	Sale
01/24/2020	3.91074	157.27	Various	148.20	0.00	9.07	Sale
02/07/2020	3.75553	150.99	Various	149.28	0.00	1.71	Sale
02/25/2020	4.68345	185.07	Various	191.16	4.07 D	-2.02	Sale
03/02/2020	9.83811	353.07	Various	386.01	0.00	-32.94	Sale
Security Totals:		848.45		876.70		-24.17	
ISHARES RUSSELL 1000 GROWTH ETF CUSIP: 464287614 Symbol: IWF							
02/18/2020	1.13847	217.27	Various	210.92	0.00	6.35	Sale
02/20/2020	0.09627	18.50	01/24/2020	17.83	0.00	0.67	Sale
02/25/2020	0.98543	178.63	02/21/2020	185.91	7.28 D	0.00	Sale
03/02/2020	0.17801	29.97	02/04/2020	34.18	4.21 D	0.00	Sale
03/10/2020	0.40754	66.28	Various	81.86	15.58 D	0.00	Sale
03/12/2020	4.22105	621.90	Various	743.33	95.89 D	-25.54	Sale
03/13/2020	7.03367	1,045.20	Various	1,242.35	0.00	-197.15	Sale
Security Totals:		2,177.75		2,516.38		-215.67	

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SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

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SPDR SERIES TRUST SPDR BLOOMBERG BARCLAYS 1 3 MNTH T BILL ETF NEW CUSIP: 78468R663 Symbol: BIL							
03/17/2020	13.08965	1,199.36	Various	1,199.53	0.00	-0.17	Sale
ISHARES TRUST ISHARES 3 TO 7 YEAR TREASURY BOND ETF CUSIP: 464288661 Symbol: IEI							
03/17/2020	9.07151	1,198.76	Various	1,198.84	0.00	-0.08	Sale
AMERICAN EXPRESS COMPANY CUSIP: 025816109 Symbol: AXP							
02/20/2020	0.60005	82.74	02/19/2020	81.96	0.00	0.78	Sale
02/21/2020	0.66584	89.35	02/19/2020	90.95	1.6 D	0.00	Sale
02/25/2020	2.83259	357.62	Various	387.09	0.00	-29.47	Sale
Security Totals:		529.71		560.00		-28.69	
***JD.COM INC SPONSORED ADR REPSTG COM CL A CUSIP: 47215P106 Symbol: JD							
01/21/2020	11.53598	458.42	Various	453.49	1.37 D	6.30	Sale
01/24/2020	0.48553	19.62	Various	16.65	0.00	2.97	Sale
02/05/2020	2.20237	87.04	Various	90.83	3.79 D	0.00	Sale
02/21/2020	8.51806	344.11	Various	366.14	4.39 D	-17.64	Sale
02/25/2020	13.79788	548.57	Various	517.96	0.00	30.61	Sale
Security Totals:		1,457.76		1,445.07		22.24	
SPDR S&P 500 ETF TRUST CUSIP: 78462F103 Symbol: SPY							
01/16/2020	13.16661	4,343.30	Various	4,159.41	0.01 D	183.90	Sale
02/04/2020	2.37921	781.47	Various	788.05	6.58 D	0.00	Sale
02/18/2020	0.79096	266.32	Various	265.27	0.01 D	1.06	Sale
02/20/2020	0.1053	35.63	Various	35.32	0.01 D	0.32	Sale
02/28/2020	4.24097	1,223.82	Various	1,407.46	113.09 D	-70.55	Sale
03/02/2020	0.0868	25.74	Various	32.14	0.00	-6.40	Sale
03/06/2020	2.37046	706.06	Various	872.73	0.00	-166.67	Sale
Security Totals:		7,382.34		7,560.38		-58.34	
***KB FINANCIAL GROUP INC SPONSORED ADR REPSTG 1 COM SH CUSIP: 48241A105 Symbol: KB							
01/24/2020	6.80283	270.32	01/21/2020	273.27	0.00	-2.95	Sale
SMARTSHEET INC CLASS A COMMON STOCK CUSIP: 83200N103 Symbol: SMAR							
01/21/2020	1.23984	57.05	Various	56.37	0.00	0.68	Sale
01/24/2020	0.09439	4.54	Various	4.13	0.00	0.41	Sale

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2020 Form 1099-B*

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SMARTSHEET INC CLASS A COMMON STOCK CUSIP: 83200N103 Symbol: SMAR							
01/30/2020	0.01468	0.69	01/27/2020	0.67	0.00	0.02	Sale
02/05/2020	0.21076	10.40	02/04/2020	10.82	0.42 D	0.00	Sale
02/21/2020	2.72925	130.22	Various	139.51	7.85 D	-1.44	Sale
02/25/2020	4.01428	181.18	Various	204.49	0.00	-23.31	Sale
Security Totals:		384.08		415.99		-23.64	
ISHARES TRUST ISHARES SHORT TREASURY BOND ETF CUSIP: 464288679 Symbol: SHV							
03/17/2020	10.80785	1,198.66	Various	1,199.16	0.00	-0.50	Sale
ISHARES S&P GLOBAL CLEAN ENERGY INDEX FUND CUSIP: 464288224 Symbol: ICLN							
03/13/2020	35.78395	353.88	03/12/2020	347.82	0.00	6.06	Sale
D R HORTON INC COMMON STOCK CUSIP: 23331A109 Symbol: DHI							
01/28/2020	0.00539	0.31	01/27/2020	0.32	0.00	-0.01	Sale
01/30/2020	1.29459	78.29	01/27/2020	78.03	0.00	0.26	Sale
Security Totals:		78.60		78.35		0.25	
***NEW ORIENTAL EDUCATION AND TECHNOLOGY GROUP INC SPONSORED ADR CUSIP: 647581107 Symbol: EDU							
01/21/2020	0.78789	103.88	Various	108.43	4.81 D	0.26	Sale
01/27/2020	8.36827	1,001.14	Various	1,076.64	13.12 D	-62.38	Sale
01/28/2020	0.14269	17.95	01/24/2020	18.28	0.00	-0.33	Sale
02/05/2020	0.18014	23.44	Various	26.63	0.45 D	-2.74	Sale
02/20/2020	0.67693	95.82	Various	103.29	0.00	-7.47	Sale
02/21/2020	0.26511	36.16	Various	36.42	0.00	-0.26	Sale
02/25/2020	0.41017	55.73	Various	49.43	0.00	6.30	Sale
Security Totals:		1,334.12		1,419.12		-66.62	
SCHWAB STRATEGIC TR US BROAD MKT ETF CUSIP: 808524102 Symbol: SCHB							
02/28/2020	32.7172	2,252.85	Various	2,567.24	0.00	-314.39	Sale
***ELASTIC N V ORDINARY SHARES CUSIP: N14506104 Symbol: ESTC							
02/21/2020	1.00821	72.39	Various	74.40	1.26 D	-0.75	Sale
02/25/2020	1.56064	107.79	Various	115.91	0.00	-8.12	Sale
Security Totals:		180.18		190.31		-8.87	

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TROVAGENE INC COMMON STOCK CUSIP: 897238606 Symbol: TROV							
01/30/2020	0.64885	1.09	01/27/2020	1.27	0.18 D	0.00	Sale
02/04/2020	43.15867	77.67	Various	78.52	0.00	-0.85	Sale
Security Totals:		78.76		79.79		-0.85	
ISHARES TRUST ISHARES MSCI USA QUALITY FACTOR ETF CUSIP: 46432F339 Symbol: QUAL							
01/24/2020	4.46649	465.21	01/21/2020	465.50	0.14 D	-0.15	Sale
02/05/2020	0.47302	48.90	01/21/2020	49.30	0.4 D	0.00	Sale
02/07/2020	2.50163	259.75	01/21/2020	260.72	0.63 D	-0.34	Sale
02/18/2020	0.67684	70.94	Various	70.18	0.00	0.76	Sale
02/20/2020	0.05501	5.77	02/04/2020	5.65	0.00	0.12	Sale
03/02/2020	3.85467	355.30	Various	389.92	0.00	-34.62	Sale
Security Totals:		1,205.87		1,241.27		-34.23	
ALPHABET INC CLASS A COMMON STOCK CUSIP: 02079K305 Symbol: GOOGL							
02/21/2020	0.02552	38.23	02/19/2020	39.00	0.43 D	-0.34	Sale
02/25/2020	0.03717	53.06	Various	57.18	0.00	-4.12	Sale
Security Totals:		91.29		96.18		-4.46	
***VODAFONE GROUP PLC SPONSORED ADR NO PAR CUSIP: 92857W308 Symbol: VOD							
01/24/2020	13.54833	275.28	01/21/2020	273.27	0.00	2.01	Sale
INTUITIVE SURGICAL INC COM CUSIP: 46120E602 Symbol: ISRG							
01/21/2020	0.17466	104.78	Various	105.12	0.38 D	0.04	Sale
01/28/2020	0.00027	0.13	01/16/2020	0.16	0.03 D	0.00	Sale
02/20/2020	0.40388	248.42	Various	242.59	0.01 D	5.84	Sale
02/21/2020	0.08864	54.05	Various	51.09	0.01 D	2.97	Sale
02/25/2020	0.10996	63.73	Various	60.59	0.00	3.14	Sale
Security Totals:		471.11		459.55		11.99	
VANECK VECTORS ETF TR BIOTECH ETF CUSIP: 92189F726 Symbol: BBH							
03/10/2020	0.44664	58.08	Various	61.03	2.95 D	0.00	Sale
03/12/2020	2.14434	253.87	Various	288.10	34.23 D	0.00	Sale
03/16/2020	1.86869	217.59	Various	274.93	57.34 D	0.00	Sale

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VANECK VECTORS ETF TR BIOTECH ETF CUSIP: 92189F726 Symbol: BBH							
03/17/2020	12.82362	1,492.49	Various	1,770.52	0.00	-278.03	Sale
Security Totals:		2,022.03		2,394.58		-278.03	
***NETEASE INC SPONSORED ADR CUSIP: 64110W102 Symbol: NTES							
01/21/2020	0.19494	66.16	01/16/2020	67.94	1.78 D	0.00	Sale
02/04/2020	0.01138	3.90	01/13/2020	4.06	0.16 D	0.00	Sale
02/10/2020	0.00073	0.24	01/16/2020	0.26	0.02 D	0.00	Sale
02/19/2020	0.687	244.13	Various	229.03	0.00	15.10	Sale
Security Totals:		314.43		301.29		15.10	
***PINDUODUO INC AMERICAN DEPOSITARY SHARES CUSIP: 722304102 Symbol: PDD							
02/21/2020	1.00628	35.21	Various	37.17	1.12 D	-0.84	Sale
02/25/2020	1.5696	52.84	Various	59.02	0.00	-6.18	Sale
Security Totals:		88.05		96.19		-7.02	
***TRIP.COM GROUP LIMITED AMERICAN DEPOSITARY SHARES CUSIP: 89677Q107 Symbol: TCOM							
01/28/2020	0.04635	1.47	01/27/2020	1.45	0.00	0.02	Sale
01/30/2020	2.45365	78.82	01/27/2020	76.90	0.00	1.92	Sale
Security Totals:		80.29		78.35		1.94	
FIDELITY COVINGTON TR MSCI INFORMATION TECHNOLOGY INDEX ETF CUSIP: 316092808 Symbol: FTEC							
02/18/2020	2.70636	216.11	Various	211.03	0.00	5.08	Sale
02/20/2020	0.24752	19.99	01/24/2020	19.29	0.00	0.70	Sale
02/25/2020	7.122	534.40	Various	556.84	0.00	-22.44	Sale
Security Totals:		770.50		787.16		-16.66	
***FIAT CHRYSLER AUTOMOBILES N V CUSIP: N31738102 Symbol: FCAU							
01/21/2020	20.48832	280.67	Various	298.79	18.12 D	0.00	Sale
01/24/2020	0.68178	9.15	Various	12.31	3.16 D	0.00	Sale
02/05/2020	4.68056	62.84	Various	72.67	9.83 D	0.00	Sale
02/19/2020	35.82645	473.95	Various	495.45	0.00	-21.50	Sale
Security Totals:		826.61		879.22		-21.50	

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SPDR SER TR S&P BIOTECH ETF CUSIP: 78464A870 Symbol: XBI							
03/02/2020	0.18976	16.83	02/25/2020	17.71	0.88 D	0.00	Sale
03/10/2020	4.3176	360.50	02/25/2020	403.01	25.81 D	-16.70	Sale
03/12/2020	3.28621	234.55	Various	314.25	64.55 D	-15.15	Sale
03/16/2020	1.2342	85.14	Various	146.64	0.00	-61.50	Sale
03/17/2020	13.02873	858.30	Various	1,248.67	0.00	-390.37	Sale
Security Totals:		1,555.32		2,130.28		-483.72	
INVESCO EXCHANGE TRADED FD TR II INVESCO SOLAR ETF CUSIP: 46138G706 Symbol: TAN							
03/10/2020	56.23485	1,874.81	Various	2,007.68	132.87 D	0.00	Sale
03/12/2020	57.17007	1,539.54	Various	1,982.07	0.00	-442.53	Sale
Security Totals:		3,414.35		3,989.75		-442.53	
***CHINA LIFE INSURANCE COMPANY LIMITED ADS EACH REPRESENTING 15 H ORDINARY SHS CUSIP: 16939P106 Symbol: LFC							
01/24/2020	20.07861	264.42	01/21/2020	273.27	0.00	-8.85	Sale
***SHOPIFY INC CL A CUSIP: 82509L107 Symbol: SHOP							
01/21/2020	0.164	77.03	Various	73.63	0.00	3.40	Sale
01/30/2020	0.00376	1.76	01/27/2020	1.71	0.00	0.05	Sale
02/04/2020	0.00014	0.05	01/27/2020	0.06	0.01 D	0.00	Sale
02/21/2020	0.1904	99.05	Various	100.73	0.55 D	-1.13	Sale
02/25/2020	0.25878	127.04	Various	95.87	0.00	31.17	Sale
Security Totals:		304.93		272.00		33.49	
KROGER CO (THE) CUSIP: 501044101 Symbol: KR							
02/21/2020	3.61233	109.47	02/18/2020	110.43	0.96 D	0.00	Sale
02/25/2020	12.61789	382.18	Various	377.77	0.00	4.41	Sale
Security Totals:		491.65		488.20		4.41	
***AXALTA COATING SYSTEMS LTD COM CUSIP: G0750C108 Symbol: AXTA							
02/20/2020	5.2505	156.13	02/18/2020	156.78	0.65 D	0.00	Sale
02/21/2020	3.20061	93.47	02/19/2020	95.78	2.31 D	0.00	Sale
02/25/2020	13.02279	363.06	Various	391.14	0.00	-28.08	Sale
Security Totals:		612.66		643.70		-28.08	

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ALPHABET INC CLASS C CAPITAL STOCK CUSIP: 02079K107 Symbol: GOOG							
02/10/2020	0.00303	4.52	01/24/2020	4.51	0.00	0.01	Sale
02/19/2020	0.21262	324.77	Various	315.63	0.00	9.14	Sale
02/20/2020	0.10273	156.82	Various	151.83	0.00	4.99	Sale
02/21/2020	0.06247	93.75	02/07/2020	92.00	0.00	1.75	Sale
02/25/2020	0.2533	362.41	Various	366.61	0.00	-4.20	Sale
Security Totals:		942.27		930.58		11.69	
WISDOMTREE TRUST WISDOMTREE U S MIDCAP DIVIDEND FUND CUSIP: 97717W505 Symbol: DON							
01/16/2020	12.93514	498.62	Various	486.98	0.00	11.64	Sale
01/21/2020	1.84982	70.70	Various	68.74	0.00	1.96	Sale
Security Totals:		569.32		555.72		13.60	
ISHARES TRUST ISHARES 7 10 YEAR TREASURY BOND ETF CUSIP: 464287440 Symbol: IEF							
03/17/2020	10.04626	1,204.81	Various	1,200.61	0.00	4.20	Sale
XEROX HOLDINGS CORPORATION COMMON STOCK CUSIP: 98421M106 Symbol: XRX							
02/21/2020	1.49355	54.42	02/19/2020	55.82	0.85 D	-0.55	Sale
02/25/2020	1.83878	66.01	Various	69.27	0.00	-3.26	Sale
Security Totals:		120.43		125.09		-3.81	
***TOYOTA MOTOR CORPORATION ADS CUSIP: 892331307 Symbol: TM							
01/24/2020	1.91835	274.99	01/21/2020	273.27	0.00	1.72	Sale
ISHARES TRUST ISHARES 1 3 YEAR TREASURY BOND ETF CUSIP: 464287457 Symbol: SHY							
03/17/2020	13.86178	1,198.59	Various	1,198.94	0.00	-0.35	Sale
MONGODB INC CLASS A COMMON STOCK CUSIP: 60937P106 Symbol: MDB							
01/21/2020	0.36725	55.52	Various	56.00	0.62 D	0.14	Sale
01/24/2020	0.02507	3.82	Various	3.61	0.00	0.21	Sale
01/30/2020	0.00912	1.47	01/27/2020	1.40	0.00	0.07	Sale
02/05/2020	0.08089	13.33	Various	13.48	0.15 D	0.00	Sale
02/21/2020	0.39811	67.54	Various	72.22	1.94 D	-2.74	Sale
02/25/2020	0.65279	100.44	Various	108.04	0.00	-7.60	Sale
Security Totals:		242.12		254.75		-9.92	

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CHARTER COMMUNICATIONS INC NEW CL A CUSIP: 16119P108 Symbol: CHTR							
02/21/2020	0.177	94.40	02/20/2020	95.98	1.58 D	0.00	Sale
02/25/2020	0.71028	376.73	Various	384.88	0.00	-8.15	Sale
Security Totals:		471.13		480.86		-8.15	
ISHARES TR CORE MSCI EAFE ETF CUSIP: 46432F842 Symbol: IEFA							
02/18/2020	1.06728	68.98	Various	68.89	0.02 D	0.11	Sale
02/20/2020	0.08566	5.52	Various	5.55	0.03 D	0.00	Sale
03/10/2020	1.09689	60.32	Various	70.77	10.45 D	0.00	Sale
03/16/2020	2.02202	89.02	Various	139.60	50.58 D	0.00	Sale
03/17/2020	34.34889	1,537.06	Various	2,017.76	0.00	-480.70	Sale
Security Totals:		1,760.90		2,302.57		-480.59	
ISHARES 20 PLUS YEAR TREASURY BOND ETF CUSIP: 464287432 Symbol: TLT							
02/18/2020	0.48131	70.04	Various	69.19	0.00	0.85	Sale
02/20/2020	0.04224	6.15	02/04/2020	6.07	0.00	0.08	Sale
03/06/2020	0.15846	26.05	03/02/2020	24.77	0.00	1.28	Sale
03/09/2020	0.67512	118.37	03/02/2020	105.55	0.00	12.82	Sale
03/16/2020	2.64006	421.44	Various	449.25	27.81 D	0.00	Sale
03/17/2020	16.90819	2,785.21	Various	2,604.21	0.00	181.00	Sale
Security Totals:		3,427.26		3,259.04		196.03	
PIMCO 25+ YEAR ZERO COUPON U S TREASURY INDEX EXCHANGE TRADED FUND CUSIP: 72201R882 Symbol: ZROZ							
03/06/2020	0.48266	85.02	Various	78.06	0.00	6.96	Sale
03/16/2020	3.94792	654.18	Various	741.10	86.92 D	0.00	Sale
03/17/2020	14.4629	2,506.35	Various	2,386.40	0.00	119.95	Sale
Security Totals:		3,245.55		3,205.56		126.91	
ISHARES TR ISHARES MSCI USA MOMENTUM FACTOR ETF CUSIP: 46432F396 Symbol: MTUM							
02/21/2020	1.07872	146.04	Various	147.81	1.77 D	0.00	Sale
03/02/2020	2.95164	360.97	Various	389.94	0.00	-28.97	Sale
Security Totals:		507.01		537.75		-28.97	

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

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***SONY CORPORATION ADR CUSIP: 835699307 Symbol: SNE							
01/24/2020	3.77444	272.76	01/21/2020	273.27	0.00	-0.51	Sale
DYNATRACE INC COMMON STOCK CUSIP: 268150109 Symbol: DT							
02/21/2020	2.77536	93.26	Various	99.02	3.52 D	-2.24	Sale
02/25/2020	3.99634	131.26	Various	146.03	0.00	-14.77	Sale
Security Totals:		224.52		245.05		-17.01	
ISHARES CORE U S AGGREGATE BD ETF CUSIP: 464287226 Symbol: AGG							
02/18/2020	0.60709	69.48	Various	69.22	0.00	0.26	Sale
02/20/2020	0.04995	5.70	02/04/2020	5.70	0.00	0.00	Sale
03/10/2020	3.30549	388.21	Various	386.26	0.41 D	2.36	Sale
03/12/2020	0.34264	38.61	Various	39.90	1.29 D	0.00	Sale
03/17/2020	18.70942	2,118.59	Various	2,163.58	0.00	-44.99	Sale
Security Totals:		2,620.59		2,664.66		-42.37	
***ASTRAZENECA PLC AMERICAN DEPOSITARY SHARES CUSIP: 046353108 Symbol: AZN							
01/24/2020	5.36876	269.92	01/21/2020	273.27	0.00	-3.35	Sale
SPDR SERIES TRUST SPDR PORTFOLIO SHORT TERM TREASURY ETF CUSIP: 78468R101 Symbol: SPTS							
03/17/2020	39.19299	1,199.27	Various	1,198.84	0.00	0.43	Sale
INNOVATIVE INDUSTRIAL PROPERTIES INC COMMON STOCK CUSIP: 45781V101 Symbol: IIPR							
01/28/2020	0.0335	2.99	01/27/2020	2.75	0.00	0.24	Sale
01/30/2020	0.33398	31.09	01/27/2020	27.38	0.00	3.71	Sale
Security Totals:		34.08		30.13		3.95	
***HSBC HOLDINGS PLC SPONSORED ADR CUSIP: 404280406 Symbol: HSBC							
01/24/2020	7.16304	271.60	01/21/2020	273.27	0.00	-1.67	Sale
INVESCO EXCHANGE TRADED FD TR INVESCO S&P 500 GARP ETF CUSIP: 46137V431 Symbol: SPGP							
02/18/2020	3.36495	216.38	01/24/2020	216.13	0.00	0.25	Sale
02/20/2020	0.27904	18.10	01/24/2020	17.92	0.00	0.18	Sale
02/25/2020	2.8777	175.52	Various	184.56	6.52 D	-2.52	Sale
02/28/2020	5.87876	320.25	Various	379.82	0.00	-59.57	Sale
Security Totals:		730.25		798.43		-61.66	

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OKTA INC CLASS A COMMON STOCK CUSIP: 679295105 Symbol: OKTA							
01/21/2020	0.27181	34.56	Various	35.54	0.98 D	0.00	Sale
01/24/2020	0.00881	1.14	01/16/2020	1.19	0.05 D	0.00	Sale
01/30/2020	0.00915	1.20	01/16/2020	1.23	0.03 D	0.00	Sale
02/20/2020	0.01586	2.20	Various	2.24	0.00	-0.04	Sale
02/21/2020	0.36691	48.42	Various	50.05	0.00	-1.63	Sale
02/25/2020	0.50553	63.79	Various	62.01	0.00	1.78	Sale
Security Totals:		151.31		152.26		0.11	
PROSHARES TRUST ULTRAPRO QQQ CUSIP: 74347X831 Symbol: TQQQ							
02/18/2020	2.78267	317.65	02/07/2020	298.44	0.00	19.21	Sale
02/20/2020	0.27242	32.02	02/07/2020	29.22	0.00	2.80	Sale
02/25/2020	6.79233	651.52	Various	730.59	0.00	-79.07	Sale
Security Totals:		1,001.19		1,058.25		-57.06	
***BARCLAYS BK PLC IPATH SER B S&P 500 VIX SHORT TERM FUTURES ETN CUSIP: 06746P621 Symbol: VXX							
03/02/2020	52.65803	1,219.52	Various	1,094.20	33.18 D	158.50	Sale
03/06/2020	15.72395	478.45	Various	302.00	0.00	176.45	Sale
03/11/2020	26.73291	977.85	Various	759.91	0.00	217.94	Sale
03/12/2020	11.03312	502.97	Various	194.52	0.00	308.45	Sale
03/13/2020	23.87701	1,091.02	02/25/2020	419.75	0.00	671.27	Sale
03/17/2020	15.01806	913.21	02/25/2020	264.02	0.00	649.19	Sale
Security Totals:		5,183.02		3,034.40		2,181.80	
***SANOFI ADR CUSIP: 80105N105 Symbol: SNY							
01/24/2020	5.38038	265.72	01/21/2020	273.27	0.00	-7.55	Sale
VIVINT SOLAR INC COM CUSIP: 92854Q106 Symbol: VSLR							
01/30/2020	1.35562	12.14	01/24/2020	12.17	0.02 D	-0.01	Sale
02/04/2020	27.13109	219.20	Various	243.31	0.00	-24.11	Sale
Security Totals:		231.34		255.48		-24.12	
DIREXION SHARES ETF TRUST DAILY NATURAL GAS RELATED BEAR 3X SHARES CUSIP: 25490K117 Symbol: GASX							
03/17/2020	2.08635	302.56	Various	767.13	0.00	-464.57	Sale

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GLOBAL PAYMENTS INC CUSIP: 37940X102 Symbol: GPN							
01/21/2020	1.12518	224.24	Various	218.44	0.00	5.80	Sale
02/20/2020	1.16991	244.96	02/18/2020	242.42	0.00	2.54	Sale
02/21/2020	1.02771	209.46	Various	204.01	0.00	5.45	Sale
02/25/2020	1.31548	262.21	Various	235.26	0.00	26.95	Sale
Security Totals:		940.87		900.13		40.74	
ADOBE INC COMMON STOCK CUSIP: 00724F101 Symbol: ADBE							
01/21/2020	0.58032	203.10	Various	200.09	0.00	3.01	Sale
01/24/2020	0.00844	2.97	01/13/2020	2.90	0.00	0.07	Sale
02/19/2020	0.2488	94.98	02/18/2020	95.04	0.04 D	-0.02	Sale
02/21/2020	0.55525	205.93	Various	207.85	0.00	-1.92	Sale
02/25/2020	0.71937	258.51	Various	222.98	0.00	35.53	Sale
Security Totals:		765.49		728.86		36.67	
WISDOMTREE TRUST WISDOMTREE U S SMALLCAP DIVIDEND FUND CUSIP: 97717W604 Symbol: DES							
01/16/2020	5.35108	154.68	Various	151.53	0.00	3.15	Sale
01/21/2020	0.76085	21.60	Various	21.18	0.00	0.42	Sale
Security Totals:		176.28		172.71		3.57	
***TAIWAN SEMICONDUCTOR MFG CO LTD- SPONSORED ADR REPSTG 5 COM CUSIP: 874039100 Symbol: TSM							
01/24/2020	4.7002	270.85	01/21/2020	273.27	0.00	-2.42	Sale
TWILIO INC CL A CUSIP: 90138F102 Symbol: TWLO							
01/21/2020	0.76466	91.09	Various	91.45	0.47 D	0.11	Sale
01/24/2020	0.03019	3.69	Various	3.52	0.00	0.17	Sale
01/28/2020	0.01165	1.41	01/27/2020	1.40	0.00	0.01	Sale
02/05/2020	0.03675	4.76	02/04/2020	4.76	0.00	0.00	Sale
02/19/2020	0.93631	120.68	Various	120.03	0.00	0.65	Sale
02/21/2020	0.29093	35.62	Various	31.76	0.00	3.86	Sale
02/25/2020	0.46087	53.15	Various	45.05	0.00	8.10	Sale
Security Totals:		310.40		297.97		12.90	

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JOHNSON & JOHNSON CUSIP: 478160104 Symbol: JNJ							
01/28/2020	0.00033	0.03	01/27/2020	0.05	0.00	-0.02	Sale
01/30/2020	0.24488	36.59	01/27/2020	36.11	0.00	0.48	Sale
Security Totals:		36.62		36.16		0.46	
FACEBOOK INC CL A CUSIP: 30303M102 Symbol: FB							
01/21/2020	3.74155	824.01	Various	828.25	4.42 D	0.18	Sale
02/05/2020	0.10852	22.84	01/24/2020	24.13	1.29 D	0.00	Sale
02/07/2020	1.72213	363.42	Various	380.86	17.44 D	0.00	Sale
02/20/2020	0.41147	89.74	02/18/2020	93.91	0.00	-4.17	Sale
02/21/2020	3.20589	676.35	Various	702.36	4.14 D	-21.87	Sale
02/25/2020	4.53493	916.74	Various	924.72	0.00	-7.98	Sale
Security Totals:		2,893.10		2,954.23		-33.84	
FIRST TR EXCHANGE TRADED FD II UTILS ALPHADDEX FD CUSIP: 33734X184 Symbol: FXU							
03/10/2020	2.13515	59.38	Various	61.91	2.53 D	0.00	Sale
03/12/2020	22.94264	569.98	Various	650.51	65.61 D	-14.92	Sale
03/16/2020	4.63157	109.10	Various	146.92	22.21 D	-15.61	Sale
03/17/2020	52.76191	1,250.42	Various	1,553.44	0.00	-303.02	Sale
Security Totals:		1,988.88		2,412.78		-333.55	
MASTERCARD INCORPORATED CUSIP: 57636Q104 Symbol: MA							
01/21/2020	0.75316	244.08	Various	238.16	0.00	5.92	Sale
02/07/2020	1.95627	642.84	Various	635.73	0.00	7.11	Sale
02/20/2020	0.00375	1.28	02/18/2020	1.28	0.00	0.00	Sale
02/21/2020	0.8919	300.48	Various	303.53	1.08 D	-1.97	Sale
02/25/2020	1.15416	366.88	Various	341.34	0.00	25.54	Sale
Security Totals:		1,555.56		1,520.04		36.60	
INVESCO EXCHANGE TRADED FD TR II INVESCO GLOBAL WATER ETF CUSIP: 46138E651 Symbol: PIO							
01/13/2020	27.15767	840.50	Various	830.35	0.01 D	10.16	Sale
01/21/2020	0.01836	0.56	Various	0.57	0.01 D	0.00	Sale
01/24/2020	4.95023	158.14	Various	146.94	0.00	11.20	Sale

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INVESCO EXCHANGE TRADED FD TR II INVESCO GLOBAL WATER ETF CUSIP: 46138E651 Symbol: PIO							
03/02/2020	12.21251	353.90	Various	375.19	0.00	-21.29	Sale
Security Totals:		1,353.10		1,353.05		0.07	
VANGUARD RUSSELL 1000 GROWTH ETF CUSIP: 92206C680 Symbol: VONG							
02/18/2020	3.58618	703.58	Various	683.07	0.00	20.51	Sale
02/20/2020	0.09572	18.91	01/24/2020	18.23	0.00	0.68	Sale
03/02/2020	6.22545	1,080.45	Various	1,169.26	0.00	-88.81	Sale
Security Totals:		1,802.94		1,870.56		-67.62	
VANGUARD INDEX FUNDS VANGUARD TOTAL STOCK MARKET ETF CUSIP: 922908769 Symbol: VTI							
01/24/2020	4.86794	820.56	01/21/2020	819.81	0.00	0.75	Sale
DIREXION SHARES ETF TRUST DIREXION DAILY ENERGY BEAR 2X SHARES CUSIP: 25460E554 Symbol: ERY							
03/17/2020	3.26623	770.05	03/13/2020	682.61	0.00	87.44	Sale
MODERNA INC COMMON STOCK CUSIP: 60770K107 Symbol: MRNA							
01/30/2020	3.53086	75.43	01/27/2020	78.35	0.00	-2.92	Sale
VANGUARD SPECIALIZED FUNDS VANGUARD DIVIDEND APPRECIATION ETF CUSIP: 921908844 Symbol: VIG							
01/16/2020	24.8136	3,165.64	Various	3,057.41	0.00	108.23	Sale
01/24/2020	3.63515	467.57	Various	460.07	0.00	7.50	Sale
02/07/2020	3.49736	451.28	Various	444.28	0.00	7.00	Sale
02/18/2020	2.73453	356.81	Various	346.34	0.00	10.47	Sale
02/20/2020	0.21051	27.49	01/27/2020	26.66	0.00	0.83	Sale
03/02/2020	15.45835	1,792.96	Various	1,930.14	0.00	-137.18	Sale
Security Totals:		6,261.75		6,264.90		-3.15	
***ICICI BANK LTD SPONSORED ADR CUSIP: 45104G104 Symbol: IBN							
02/04/2020	82.53792	1,226.47	Various	1,226.09	0.00	0.38	Sale
UBER TECHNOLOGIES INC COMMON STOCK CUSIP: 90353T100 Symbol: UBER							
01/21/2020	4.96236	179.32	Various	171.29	0.00	8.03	Sale
01/24/2020	0.16447	6.12	01/13/2020	5.52	0.00	0.60	Sale
02/10/2020	0.26749	10.97	02/04/2020	10.28	0.00	0.69	Sale
02/20/2020	4.12341	168.71	02/19/2020	167.74	0.00	0.97	Sale
02/21/2020	5.10909	205.11	Various	204.06	0.43 D	1.48	Sale

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UBER TECHNOLOGIES INC COMMON STOCK CUSIP: 90353T100 Symbol: UBER							
02/25/2020	7.21087	275.72	Various	228.23	0.00	47.49	Sale
Security Totals:		845.95		787.12		59.26	
VANGUARD WORLD FUNDS VANGUARD EXTENDED DURATION TREASURY ETF CUSIP: 921910709 Symbol: EDV							
02/28/2020	0.7536	117.09	02/25/2020	113.70	0.00	3.39	Sale
03/06/2020	0.33406	56.04	03/02/2020	52.60	0.00	3.44	Sale
03/09/2020	0.86256	157.76	03/02/2020	135.83	0.00	21.93	Sale
03/16/2020	4.47923	716.73	03/10/2020	791.57	74.84 D	0.00	Sale
03/17/2020	14.79701	2,456.83	Various	2,350.55	0.00	106.28	Sale
Security Totals:		3,504.45		3,444.25		135.04	
VANGUARD TOTAL INTERNATIONAL BOND ETF CUSIP: 92203J407 Symbol: BNDX							
01/16/2020	1.98592	112.86	Various	115.91	0.28 D	-2.77	Sale
01/21/2020	0.33608	19.11	Various	19.52	0.00	-0.41	Sale
01/24/2020	0.33565	19.19	Various	19.36	0.00	-0.17	Sale
Security Totals:		151.16		154.79		-3.35	
***TAL EDUCATION GROUP AMERICAN DEPOSITARY SHRS ECH RPRSNTNG TWO CLSS A CMMN SHRS CUSIP: 874080104 Symbol: TAL							
01/21/2020	1.94606	98.49	Various	107.60	9.74 D	0.63	Sale
01/28/2020	0.03288	1.56	01/27/2020	1.70	0.14 D	0.00	Sale
02/05/2020	0.38274	20.79	Various	23.68	2.89 D	0.00	Sale
02/20/2020	0.06439	3.81	02/18/2020	4.25	0.00	-0.44	Sale
02/21/2020	1.28507	74.90	Various	82.51	0.00	-7.61	Sale
02/25/2020	1.93192	113.23	Various	92.83	0.00	20.40	Sale
Security Totals:		312.78		312.57		12.98	
***GDS HOLDINGS LIMITED ADS CUSIP: 36165L108 Symbol: GDS							
01/21/2020	1.04371	56.56	Various	55.87	0.13 D	0.82	Sale
01/24/2020	0.04236	2.27	Various	2.04	0.00	0.23	Sale
02/05/2020	0.21244	11.71	02/04/2020	11.75	0.04 D	0.00	Sale
02/21/2020	1.2838	75.84	Various	78.37	2.08 D	-0.45	Sale

APEX CLEARING

Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B*

OMB No. 1545-0715

5QJ92824

(continued)

02/03/2021

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
***GDS HOLDINGS LIMITED ADS CUSIP: 36165L108 Symbol: GDS							
02/25/2020	1.87917	110.29	Various	104.99	0.00	5.30	Sale
Security Totals:		256.67		253.02		5.90	
VANGUARD INDEX FUNDS VANGUARD GROWTH ETF CUSIP: 922908736 Symbol: VUG							
01/21/2020	2.92076	560.67	Various	555.93	0.02 D	4.76	Sale
01/24/2020	19.51752	3,764.84	Various	3,565.31	0.01 D	199.54	Sale
02/04/2020	0.62041	119.67	Various	116.99	0.00	2.68	Sale
02/18/2020	4.26795	853.56	Various	754.25	0.00	99.31	Sale
02/20/2020	0.57103	115.21	12/02/2019	100.13	0.00	15.08	Sale
02/25/2020	3.77582	717.72	Various	703.60	0.00	14.12	Sale
Security Totals:		6,131.67		5,796.21		335.49	
VANGUARD INDEX FUNDS VANGUARD MID-CAP ETF CUSIP: 922908629 Symbol: VO							
01/16/2020	0.09006	16.44	Various	15.53	0.00	0.91	Sale
01/21/2020	0.01496	2.72	Various	2.47	0.00	0.25	Sale
01/24/2020	0.01467	2.67	10/04/2019	2.42	0.00	0.25	Sale
Security Totals:		21.83		20.42		1.41	
GUARDANT HEALTH INC COMMON STOCK CUSIP: 40131M109 Symbol: GH							
02/21/2020	0.61034	52.97	Various	53.68	0.68 D	-0.03	Sale
02/25/2020	0.77479	61.06	Various	68.00	0.00	-6.94	Sale
Security Totals:		114.03		121.68		-6.97	
***SUNCOR ENERGY INC CUSIP: 867224107 Symbol: SU							
02/20/2020	2.79653	85.61	02/19/2020	84.57	0.00	1.04	Sale
02/21/2020	3.10387	93.81	02/19/2020	93.86	0.05 D	0.00	Sale
02/25/2020	12.65112	370.03	Various	380.01	0.00	-9.98	Sale
Security Totals:		549.45		558.44		-8.94	
CARVANA CO CLASS A COMMON STOCK CUSIP: 146869102 Symbol: CVNA							
01/21/2020	1.2787	106.33	Various	115.75	9.42 D	0.00	Sale
01/24/2020	0.05566	4.62	Various	5.56	0.94 D	0.00	Sale
01/28/2020	0.01324	1.10	01/16/2020	1.32	0.22 D	0.00	Sale

* 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

5QJ92824

(continued)

02/03/2021

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
CARVANA CO CLASS A COMMON STOCK CUSIP: 146869102 Symbol: CVNA							
02/05/2020	0.2634	22.92	Various	25.90	2.98 D	0.00	Sale
02/21/2020	1.03985	111.12	Various	110.27	2.16 D	3.01	Sale
02/25/2020	1.56231	165.74	Various	145.68	0.00	20.06	Sale
Security Totals:		411.83		404.48		23.07	
VISA INC CL A COMMON STOCK CUSIP: 92826C839 Symbol: V							
02/07/2020	2.59515	525.36	Various	529.73	6.06 D	1.69	Sale
02/19/2020	2.2997	490.15	Various	459.49	0.00	30.66	Sale
Security Totals:		1,015.51		989.22		32.35	
AMAZON.COM INC CUSIP: 023135106 Symbol: AMZN							
01/21/2020	0.13875	259.15	Various	261.44	2.29 D	0.00	Sale
01/30/2020	0.00003	0.05	01/24/2020	0.06	0.01 D	0.00	Sale
02/05/2020	0.01638	33.53	Various	33.25	0.01 D	0.29	Sale
02/10/2020	0.01126	23.77	Various	23.16	0.01 D	0.62	Sale
02/19/2020	0.18652	405.51	Various	400.21	0.00	5.30	Sale
02/20/2020	0.08132	176.49	Various	172.67	0.00	3.82	Sale
02/21/2020	0.24559	518.66	Various	483.77	0.00	34.89	Sale
02/25/2020	0.46546	936.20	Various	846.89	0.00	89.31	Sale
Security Totals:		2,353.36		2,221.45		134.23	
PAYPAL HOLDINGS INC COM CUSIP: 70450Y103 Symbol: PYPL							
01/21/2020	0.91082	105.70	01/16/2020	104.96	0.00	0.74	Sale
01/24/2020	0.02259	2.67	Various	2.61	0.00	0.06	Sale
02/21/2020	1.88534	225.26	Various	233.01	4.81 D	-2.94	Sale
02/25/2020	2.61804	299.61	Various	302.88	0.00	-3.27	Sale
Security Totals:		633.24		643.46		-5.41	
Totals:		164,455.25		167,022.37		-921.97	

APEX CLEARING

Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B*

OMB No. 1545-0715

5QJ92824

(continued)

02/03/2021

SHORT TERM TRANSACTIONS FOR NONCOVERED TAX LOTS

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

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

1c - Date Sold or Disposed	Quantity	1d - Proceeds	Date Acquired	Cost or Other Basis	Accrued Market Discount (M) & Wash Sale Loss Disallowed (D)	Gain or Loss (-)	Additional Notes
SPDR GOLD TR CUSIP: 78463V107 Symbol: GLD							
02/28/2020	0.16441	24.88	02/25/2020	25.57	0.69 D	0.00	Sale 12- [X] Collectible
03/11/2020	0.19105	29.82	Various	30.37	0.55 D	0.00	Sale 12- [X] Collectible
03/12/2020	7.09275	1,055.93	Various	1,103.98	48.05 D	0.00	Sale 12- [X] Collectible
03/16/2020	0.72534	100.23	Various	118.08	17.85 D	0.00	Sale 12- [X] Collectible
03/17/2020	10.88294	1,538.80	Various	1,748.51	0.00	-209.71	Sale 12- [X] Collectible
Security Totals:		2,749.66		3,026.51		-209.71	
ISHARES GOLD TRUST CUSIP: 464285105 Symbol: IAU							
02/28/2020	0.9707	14.89	02/25/2020	15.34	0.45 D	0.00	Sale 12- [X] Collectible
03/10/2020	0.08993	1.40	03/09/2020	1.44	0.04 D	0.00	Sale 12- [X] Collectible
03/11/2020	1.39873	22.15	Various	22.35	0.20 D	0.00	Sale 12- [X] Collectible
03/12/2020	23.53245	355.32	Various	375.66	20.34 D	0.00	Sale 12- [X] Collectible
03/16/2020	7.36635	103.33	02/25/2020	122.77	2.31 D	-17.13	Sale 12- [X] Collectible
03/17/2020	107.20108	1,539.36	Various	1,709.34	0.00	-169.98	Sale 12- [X] Collectible
Security Totals:		2,036.45		2,246.90		-187.11	
Totals:		4,786.11		5,273.41		-396.82	

APEX CLEARING

Supplemental Information

2020

5QJ92824

02/03/2021

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

Worthless Removal & Zero Net Sales

Description CUSIP Symbol						
Date	Quantity	Proceeds	Date Acquired	Cost of Other basis	Gain or Loss(-)	
WISDOMTREE TRUST 01/21/2020	WISDOMTREE U S SMALLCAP 0.00012	DIVIDEND FUND CUSIP: 97717W604 0.00	Symbol: DES 12/03/2019	0.00	0.00	
Totals:		0.00		0.00	0.00	

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 104-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 includible in income on Form 1040 or 1040-SR with respect to the security. If an amount is not reported in this box for a taxable covered security acquired at a premium and the payer is reporting premium amortization, the payer has reported a net amount of interest in box 1. If the amount in box 11 is greater than the amount of interest paid on the covered security, see Regulations section 1.171-2(a)(4).

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

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

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

Boxes 15-17. State tax withheld reporting boxes.

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.