

E*TRADE SECURITIES LLC
PO BOX 484
JERSEY CITY, NJ 07303-0484

Account No: 45064037
Account Name: UGANDARA REDDY LINGALA
Recipient's TIN: ***-**-3245
Account Executive No:
ORIGINAL: 12/31/2020

CONSOLIDATED 2020 FORMS 1099 AND DETAILS

UGANDARA REDDY LINGALA
675 FLARESTAR AVE UNIT H
COLUMBUS, OH 43240-2288

YEAR-END MESSAGES

CERTAIN EVENTS SUCH AS COST BASIS, ORIGINAL ISSUE DISCOUNT ADJUSTMENTS OR RECLASSIFICATIONS OF AN INCOME PAYMENT RECEIVED FROM A MUTUAL FUND, ETF, REIT, OR RIC MAY RESULT IN AN AMENDED 1099 FOR PRIOR OR CURRENT TAX YEARS. PLEASE SEE INSERT FOR DETAILS OR VISIT WWW.ETRADE.COM/TAXCENTER FOR ANY UPDATES. IF YOU HAVE QUESTIONS PLEASE CALL 800-ETRADE-1 (800-387-2331) OR LOG ON TO YOUR ACCOUNT AND SEND US A SECURE MESSAGE BY CLICKING ON THE CUSTOMER SERVICE LINK AT THE TOP OF THE PAGE

Your Account did not receive the following Forms:

1099-INT
1099-OID

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Account No: 45064037
Account Name: UGANDARA REDDY LINGALA
Recipient's TIN: ***-**-3245

Account Executive No:

ORIGINAL: 12/31/2020

RECIPIENT'S Name, Street Address, City, State, and Zip Code

UGANDARA REDDY LINGALA
675 FLARESTAR AVE UNIT H
COLUMBUS, OH 43240-2288

PAYER'S TIN: 35-2167612

PAYER'S Name, Street, City, State, Zip Code:

E*TRADE SECURITIES LLC
PO BOX 484
JERSEY CITY, NJ 07303-0484

Telephone Number: 800 387 2331

FATCA Filing Requirement

2020 CONSOLIDATED FORMS 1099

2020 FORM 1099-DIV IRS Box	DIVIDENDS AND DISTRIBUTIONS	OMB NO. 1545-0110
1a.	Total ordinary dividends (includes Boxes 1b, 5, 6)	\$378.00
1b.	Qualified dividends	\$0.00
2a.	Total capital gain distributions (includes Boxes 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	\$1,295.67
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 U.S. possession	-
9.	Cash liquidation distributions	\$0.00
10.	Noncash liquidation distributions	\$0.00
11.	Exempt-interest dividends (includes Box 12)	\$0.00
12.	Specified private activity bond interest dividends (AMT)	\$0.00

THIS IS YOUR FORM 1099 (COPY B FOR RECIPIENT). KEEP FOR YOUR RECORDS.

This is important tax information and is being furnished to the IRS. 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.

Form 1099-DIV (OMB NO. 1545-0110)

Recipient's taxpayer identification number (TIN). For your protection, this form may show only the last four digits of your TIN (social security number (SSN), individual taxpayer identification number (ITIN), adoption taxpayer identification number (ATIN), or employer identification number (EIN)). However, the issuer has reported your complete TIN to the IRS. **FATCA filing requirement.** If the FATCA filing requirement box is checked, the payer is reporting on this Form 1099 to satisfy its chapter 4 account reporting requirement. You also may have a filing requirement. See the Instructions for Form 8938. **Account number.** May show an account or other unique number the payer assigned to distinguish your account. **Box 1a.** Shows total ordinary dividends that are taxable. Include this amount on the "Ordinary dividends" line of Form 1040 or 1040-SR. Also, report it on Schedule B (Form 1040 or 1040-SR) if required. **Box 1b.** Shows the portion of the amount in box 1a that may be eligible for reduced capital gains rates. See the Instructions for Forms 1040 and 1040-SR for how to determine this amount and where to report. The amount shown may be dividends a corporation paid directly to you as a participant (or beneficiary of a participant) in an employee stock ownership plan (ESOP). Report it as a dividend on your Form 1040 or 1040-SR but treat it as a plan distribution, not as investment income, for any other purpose. **Box 2a.** Shows total capital gain distributions from a regulated investment company (RIC) or real estate investment trust (REIT). See How To Report in the Instructions for Schedule D (Form 1040 or 1040-SR). But, if no amount is shown in boxes 2c and 2d and your only capital gains and losses are capital gain distributions, you may be able to report the amounts shown in box 2a on your Form 1040 or 1040-SR rather than Schedule D. See the Instructions for Forms 1040 and 1040-SR. **Box 2b.** Shows the portion of the amount in box 2a that is unrecaptured section 1250 gain from certain depreciable real property. See the Unrecaptured Section 1250 Gain Worksheet in the Instructions for Schedule D (Form 1040 or 1040-SR). **Box 2c.** Shows the portion of the amount in box 2a that is section 1202 gain from certain small business stock that may be subject to an exclusion. See the Schedule D (Form 1040 or 1040-SR) instructions. **Box 2d.** Shows 28% rate gain from sales or exchanges of collectibles. If required, use this amount when completing the 28% Rate Gain Worksheet in the Instructions for Schedule D (Form 1040 or 1040-SR). **Box 3.** Shows a return of capital. To the extent of your cost (or other basis) in the stock, the distribution reduces your basis and is not taxable. Any amount received in excess of your basis is taxable to you as capital gain. See Pub. 550. **Box 4.** Shows backup withholding. A payer must backup withhold on certain payments if you did not give your TIN to the payer. See Form W-9, Request for Taxpayer Identification Number and Certification, for information on backup withholding. Include this amount on your income tax return as tax withheld. **Box 5.** Shows the portion of the amount in box 1a that may be eligible for the 20% qualified business income deduction under section 199A. See the instructions for Form 8995 and Form 8995-A. **Box 6.** Shows your share of expenses of a nonpublicly offered RIC, generally a nonpublicly offered mutual fund. This amount is included in box 1a. **Box 7.** Shows the foreign tax that you may be able to claim as a deduction or a credit on Form 1040 or 1040-SR. See the Instructions for Forms 1040 and 1040-SR. **Box 8.** This box should be left blank if a RIC reported the foreign tax shown in box 7. **Boxes 9 and 10.** Show cash and non-cash liquidation distributions. **Box 11.** Shows exempt-interest dividends from a mutual fund or other RIC paid to you during the calendar year. See the Instructions for Forms 1040 and 1040-SR for where to report. This amount may be subject to backup withholding. See Box 4 above. **Box 12.** Shows exempt-interest dividends subject to the alternative minimum tax. This amount is included in box 11. See the Instructions for Form 6251. **Boxes 13-15.** State income tax withheld reporting boxes. **Nominees.** If this form includes amounts belonging to another person, you are considered a nominee recipient. You must file Form 1099-DIV (with a Form 1096) with the IRS for each of the other owners to show their share of the income, and you must furnish a Form 1099-DIV to each. A spouse is not required to file a nominee return to show amounts owned by the other spouse. See the 2020 General Instructions for Certain Information Returns. **Future developments.** For the latest information about developments related to Form 1099-DIV and its instructions, such as legislation enacted after they were published, go to www.irs.gov/Form1099DIV.

Form 1099-INT (OMB NO. 1545-0112)

The information provided may be different for covered and noncovered securities. For a description of covered securities, see the Instructions for Form 8949. For a taxable covered security acquired at a premium, unless you notified the payer in writing in accordance with Regulations section 1.6045-1(n)(5) that you did not want to amortize the premium under section 171, or for a tax-exempt covered security acquired at a premium, your payer generally must report either (1) a net amount of interest that reflects the offset of the amount of interest paid to you by the amount of premium amortization allocable to the payment(s), or (2) a gross amount for both the interest paid to you and the premium amortization allocable to the payment(s). If you did notify your payer that you did not want to amortize the premium on a taxable covered security, then your payer will only report the gross amount of interest paid to you. For a noncovered security acquired at a premium, your payer is only required to report the gross amount of interest paid to you. **Recipient's taxpayer identification number (TIN).** For your protection, this form may show only the last four digits of your TIN (social security number (SSN), individual taxpayer identification number (ITIN), adoption taxpayer identification number (ATIN), or employer identification number (EIN)). However, the issuer has reported your complete TIN to the IRS. **FATCA filing requirement.** If the FATCA filing requirement box is checked, the payer is reporting on this Form 1099 to satisfy its chapter 4 account reporting requirement. You also may have a filing requirement. See the Instructions for Form 8938. **Account number.** May show an account or other unique number the payer assigned to distinguish your account. **Box 1.** Shows taxable interest paid to you during the calendar year by the payer. This does not include interest shown in box 3. May also show the total amount of the credits from clean renewable energy bonds, new clean renewable energy bonds, qualified energy conservation bonds, qualified zone academy bonds, qualified school construction bonds, and build America bonds that must be included in your interest income. These amounts were treated as paid to you during 2020 on the credit allowance dates (March 15, June 15, September 15, and December 15). For more information, see Form 8912. See the instructions above for a taxable covered security acquired at a premium. **Box 2.** Shows interest or principal forfeited because of early withdrawal of time savings. You may deduct this amount to figure your adjusted gross income on your income tax return. See the Instructions for Forms 1040 and 1040-SR to see where to take the deduction. **Box 3.** Shows interest on U.S. Savings Bonds, Treasury bills, Treasury bonds, and Treasury notes. This may or may not all be taxable. See Pub. 550. This interest is exempt from state and local income taxes. This interest is not included in box 1. See the instructions above for a taxable covered security acquired at a premium. **Box 4.** Shows backup withholding. Generally, a payer must backup withhold if you did not furnish your TIN or you did not furnish the correct TIN to the payer. See Form W-9. Include this amount on your income tax return as tax withheld. **Box 5.** Any amount shown is your share of investment expenses of a single class REMIC. This amount is included in box 1. **Note:** This amount is not deductible. **Box 6.** Shows foreign tax paid. You may be able to claim this tax as a deduction or a credit on your Form 1040 or 1040-SR. See your tax return instructions. **Box 7.** Shows the country or U.S. possession to which the foreign tax was paid. **Box 8.** Shows tax-exempt interest paid to you during the calendar year by the payer. See how to report this amount in the Instructions for Forms 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 Forms 1040 and 1040-SR. Market discount on a tax-exempt security is includible in taxable income as interest income. **Box 11.** For a taxable covered security (other than a U.S. Treasury obligation), shows the amount of premium amortization allocable to the interest payment(s), unless you notified the payer in writing in accordance with Regulations section 1.6045-1(n)(5) that you did not want to amortize bond premium under section 171. If an amount is reported in this box, see the Instructions for Schedule B (Form 1040 or 1040-SR) to determine the net amount of interest includible in income on Form 1040 or 1040-SR with respect to the security. If an amount is not reported in this box for a taxable covered security acquired at a premium and the payer is reporting premium amortization, the payer has reported a net amount of interest in box 1. If the amount in box 11 is greater than the amount of interest paid on the covered security, see Regulations section 1.171-2(a)(4). **Box 12.** For a U.S. Treasury obligation that is a covered security, shows the amount of premium amortization allocable to the interest payment(s), unless you notified the payer in writing in accordance with Regulations section 1.6045-1(n)(5) that you did not want to amortize bond premium under section 171. If an amount is reported in this box, see the Instructions for Schedule B (Form 1040 or 1040-SR) to determine the net amount of interest includible in income on Form 1040 or 1040-SR with respect to the U.S. Treasury obligation. If an amount is not reported in this box for a U.S. Treasury obligation that is a covered security acquired at a premium and the payer is reporting premium amortization, the payer has reported a net amount of interest in box 3. If the amount in box 12 is greater than the amount of interest paid on the U.S. Treasury obligation, see Regulations section 1.171-2(a)(4). **Box 13.** For a tax-exempt covered security, shows the amount of premium amortization allocable to the interest payment(s). If an amount is reported in this box, see Pub. 550 to determine the net amount of tax-exempt interest reportable on Form 1040 or 1040-SR. If an amount is not reported in this box for a tax-exempt covered security acquired at a premium, the payer has reported a net amount of interest in box 8 or 9, whichever is applicable. If the amount in box 13 is greater than the amount of interest paid on the tax-exempt covered security, the excess is a nondeductible loss. See Regulations section 1.171-2(a)(4)(ii). **Box 14.** Shows CUSIP number(s) for tax-exempt bond(s) on which tax-exempt interest was paid, or tax credit bond(s) on which taxable interest was paid or tax credit was allowed, to you during the calendar year. If blank, no CUSIP number was issued for the bond(s). **Boxes 15-17.** State tax withheld reporting boxes. **Nominees.** If this form includes amounts belonging to another person(s), you are considered a nominee recipient. Complete a Form 1099-INT for each of the other owners showing the income allocable to each. File Copy A of the form with the IRS. Furnish Copy B to each owner. List yourself as the "payer" and the other owner(s) as the "recipient." File Form(s) 1099-INT with Form 1096 with the Internal Revenue Service Center for your area. On Form 1096, list yourself as the "filer." A spouse is not required to file a nominee return to show amounts owned by the other spouse. **Future developments.** For the latest information about developments related to Form 1099-INT and its instructions, such as legislation enacted after they were published, go to www.irs.gov/Form1099INT.

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 ORIGINAL: 12/31/2020

FORM 1099-B TOTALS SUMMARY

REALIZED GAIN / LOSS SUMMARY

Refer to Proceeds from Broker and Barter Exchange Transactions for detailed information regarding these summary values. The amounts shown below are for informational purposes only.

SHORT-TERM GAINS OR (LOSSES) – REPORT ON FORM 8949, PART I	PROCEEDS	COST BASIS	MARKET DISCOUNT	WASH SALE LOSS DISALLOWED	REALIZED GAIN OR (LOSS)
Box A (basis reported to IRS)	\$732,857.04	\$782,238.97	\$0.00	\$13,972.36	(\$49,381.93)
Box A – Ordinary – (basis reported to IRS)	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00
Box B (basis not reported to IRS)	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00
Box B – Ordinary – (basis not reported to IRS)	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00
Total Short-Term	\$732,857.04	\$782,238.97	\$0.00	\$13,972.36	(\$49,381.93)
LONG-TERM GAINS OR (LOSSES) – REPORT ON FORM 8949, PART II					
Box D (basis reported to IRS)	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00
Box D – Ordinary – (basis reported to IRS)	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00
Box E (basis not reported to IRS)	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00
Box E – Ordinary – (basis not reported to IRS)	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00
Total Long-Term	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00
UNKNOWN TERM – CODE (X) REPORT ON FORM 8949 PART I OR PART II					
Box B or Box E (basis not reported to IRS)	\$1,556.67	\$0.00	\$0.00	\$0.00	\$0.00
Box B or Box E – Ordinary – (basis not reported to IRS)	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00
Total Unknown Term	\$1,556.67	\$0.00	\$0.00	\$0.00	\$0.00

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ORIGINAL: 12/31/2020

RECIPIENT'S Name, Street Address, City, State, and Zip Code

UGANDARA REDDY LINGALA
 675 FLARESTAR AVE UNIT H
 COLUMBUS, OH 43240-2288

PAYER'S TIN: 35-2167612

PAYER'S Name, Street, City, State, and Zip Code:

E*TRADE SECURITIES LLC
 PO BOX 484
 JERSEY CITY, NJ 07303-0484

Telephone Number: 800 387 2331

FATCA Filing Requirement

2020 FORM 1099-B: PROCEEDS FROM BROKER AND BARTER EXCHANGE TRANSACTIONS

OMB NO. 1545-0715

The information provided below is in accordance with Federal tax regulations and the IRS instructions that govern our reporting requirements. You should review this information carefully when completing your Form 8949 and Schedule D. There may be instances where our reporting requirements will not be consistent with your particular tax accounting position or elections. For these reasons, the IRS requires us to provide you with this reminder: **Taxpayers are ultimately responsible for the accuracy of their tax returns.**

Covered Short-Term Gains or Losses on Gross Proceeds

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

Box 6: Gross Proceeds

Box 5: Box Not Checked (Covered Security)

Box 12: Basis Reported to the IRS

Box 2: Type of Gain or Loss – **Short-Term**

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.

Description of property CUSIP (Box 1a)	Quantity Sold	Date Acquired (Box 1b)	Date Sold or Disposed (Box 1c)	Proceeds (Box 1d)	Cost or Other Basis (Box 1e)	Accrued Market Discount (Box 1f)	Wash Sale Loss Disallowed (Box 1g)	Gain/Loss Amount	Additional Information
AG MORTGAGE INVESTMENT TRUST INC CUSIP: 001228105	1,490.00000	07/21/2020	07/21/2020	\$4,756.24	\$4,842.50	\$0.00	\$0.00	(\$86.26)	
	10.00000	07/21/2020	07/21/2020	\$31.93	\$32.98	\$0.00	\$0.00	(\$1.05)	
	1,490.00000	07/21/2020	07/21/2020	\$4,758.03	\$4,842.50	\$0.00	\$0.00	(\$84.47)	
	10.00000	07/21/2020	07/21/2020	\$31.92	\$32.40	\$0.00	\$0.48	(\$0.48)	
Subtotals	3,000.00000			\$9,578.12	\$9,750.38	\$0.00	\$0.48	(\$172.26)	
ADIAL PHARMACEUTICALS INC COMMON STOCK CUSIP: 00688A106	300.00000	09/29/2020	10/12/2020	\$578.95	\$1,122.02	\$0.00	\$0.00	(\$543.07)	
	1,500.00000	09/29/2020	10/12/2020	\$2,894.75	\$5,295.00	\$0.00	\$0.00	(\$2,400.25)	
	300.00000	09/29/2020	10/12/2020	\$578.95	\$1,523.99	\$0.00	\$0.00	(\$945.04)	
	500.00000	09/29/2020	10/12/2020	\$964.92	\$1,869.98	\$0.00	\$0.00	(\$905.06)	
	1,500.00000	09/29/2020	10/12/2020	\$2,879.90	\$5,295.00	\$0.00	\$1,771.07	(\$2,415.10)	

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2020 FORM 1099-B: PROCEEDS FROM BROKER AND BARTER EXCHANGE TRANSACTIONS, CONTINUED

OMB NO. 1545-0715

Covered Short-Term Gains or Losses on Gross Proceeds

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

Box 6: Gross Proceeds

Box 5: Box Not Checked (Covered Security)

Box 12: Basis Reported to the IRS

Box 2: Type of Gain or Loss –**Short-Term**

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.

Description of property CUSIP (Box 1a)	Quantity Sold	Date Acquired (Box 1b)	Date Sold or Disposed (Box 1c)	Proceeds (Box 1d)	Cost or Other Basis (Box 1e)	Accrued Market Discount (Box 1f)	Wash Sale Loss Disallowed (Box 1g)	Gain/Loss Amount	Additional Information
ADIAL PHARMACEUTICALS INC COMMON STOCK CUSIP: 00688A106									
Subtotals	4,100.00000			\$7,897.47	\$15,105.99	\$0.00	\$1,771.07	(\$7,208.52)	
AGILE THERAPEUTICS INC COM CUSIP: 00847L100									
	200.00000	02/18/2020	06/05/2020	\$573.96	\$767.30	\$0.00	\$0.00	(\$193.34)	
	1,000.00000	02/18/2020	06/16/2020	\$2,892.91	\$3,836.50	\$0.00	\$0.00	(\$943.59)	
	500.00000	02/18/2020	06/16/2020	\$1,439.95	\$1,956.85	\$0.00	\$0.00	(\$516.90)	
	1,000.00000	02/18/2020	06/16/2020	\$2,893.81	\$3,836.50	\$0.00	\$0.00	(\$942.69)	
	260.00000	02/18/2020	06/17/2020	\$749.27	\$997.49	\$0.00	\$0.00	(\$248.22)	
	240.00000	02/18/2020	06/17/2020	\$691.63	\$939.29	\$0.00	\$0.00	(\$247.66)	
	600.00000	02/18/2020	06/17/2020	\$1,705.21	\$2,348.22	\$0.00	\$0.00	(\$643.01)	
	1,060.00000	02/18/2020	06/17/2020	\$3,010.31	\$4,148.52	\$0.00	\$0.00	(\$1,138.21)	
	198.00000	03/26/2020	06/05/2020	\$568.22	\$394.02	\$0.00	\$0.00	\$174.20	
	302.00000	03/26/2020	06/17/2020	\$857.65	\$597.93	\$0.00	\$0.00	\$259.72	
	2.00000	04/03/2020	06/05/2020	\$5.74	\$3.73	\$0.00	\$0.00	\$2.01	
	460.00000	04/03/2020	06/12/2020	\$1,285.11	\$857.90	\$0.00	\$0.00	\$427.21	
	38.00000	04/03/2020	06/17/2020	\$107.92	\$70.87	\$0.00	\$0.00	\$37.05	
Subtotals	5,860.00000			\$16,781.69	\$20,755.12	\$0.00	\$0.00	(\$3,973.43)	
AMPIO PHARMACEUTICALS INC CUSIP: 03209T109									
	300.00000	06/19/2020	07/06/2020	\$198.04	\$189.00	\$0.00	\$0.00	\$9.04	
	432.00000	06/19/2020	07/06/2020	\$285.06	\$272.16	\$0.00	\$0.00	\$12.90	
	268.00000	06/19/2020	07/06/2020	\$180.75	\$167.50	\$0.00	\$0.00	\$13.25	
	200.00000	06/19/2020	07/06/2020	\$132.97	\$125.80	\$0.00	\$0.00	\$7.17	
	100.00000	06/19/2020	07/06/2020	\$67.38	\$62.50	\$0.00	\$0.00	\$4.88	
	300.00000	06/19/2020	07/06/2020	\$202.16	\$187.53	\$0.00	\$0.00	\$14.63	
	668.00000	06/19/2020	07/06/2020	\$444.13	\$420.84	\$0.00	\$0.00	\$23.29	
	132.00000	06/19/2020	07/06/2020	\$87.76	\$82.50	\$0.00	\$0.00	\$5.26	
	700.00000	06/22/2020	07/06/2020	\$461.91	\$413.00	\$0.00	\$0.00	\$48.91	
	1,000.00000	07/20/2020	07/20/2020	\$829.86	\$800.00	\$0.00	\$0.00	\$29.86	

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 ORIGINAL: 12/31/2020

2020 FORM 1099-B: PROCEEDS FROM BROKER AND BARTER EXCHANGE TRANSACTIONS, CONTINUED

OMB NO. 1545-0715

Covered Short-Term Gains or Losses on Gross Proceeds

Report on Form 8949, Part I with Box A checked

Box 6: Gross Proceeds

Box 5: Box Not Checked (Covered Security)

Box 12: Basis Reported to the IRS

Box 2: Type of Gain or Loss -Short-Term

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.

Description of property CUSIP (Box 1a)	Quantity Sold	Date Acquired (Box 1b)	Date Sold or Disposed (Box 1c)	Proceeds (Box 1d)	Cost or Other Basis (Box 1e)	Accrued Market Discount (Box 1f)	Wash Sale Loss Disallowed (Box 1g)	Gain/Loss Amount	Additional Information
AMPIO PHARMACEUTICALS INC CUSIP: 03209T109	3,000.00000	07/29/2020	07/29/2020	\$3,181.96	\$3,125.40	\$0.00	\$0.00	\$56.56	
	600.00000	09/21/2020	09/22/2020	\$590.08	\$671.40	\$0.00	\$0.00	(\$81.32)	
	600.00000	09/21/2020	09/22/2020	\$590.08	\$675.00	\$0.00	\$0.00	(\$84.92)	
	3,000.00000	09/21/2020	09/22/2020	\$2,950.41	\$3,525.00	\$0.00	\$0.00	(\$574.59)	
	700.00000	09/21/2020	09/22/2020	\$688.43	\$731.50	\$0.00	\$0.00	(\$43.07)	
	900.00000	09/21/2020	09/22/2020	\$885.12	\$1,003.50	\$0.00	\$0.00	(\$118.38)	
Subtotals	12,900.00000			\$11,776.10	\$12,452.63	\$0.00	\$0.00	(\$676.53)	
***ARBUTUS BIOPHARMA CORP COM CUSIP: 03879J100	4,000.00000	08/11/2020	08/19/2020	\$13,999.21	\$16,880.00	\$0.00	\$252.07	(\$2,880.79)	
	500.00000	08/11/2020	08/19/2020	\$1,749.90	\$2,206.85	\$0.00	\$456.95	(\$456.95)	
	500.00000	08/11/2020	09/22/2020	\$1,502.41	\$2,001.90	\$0.00	\$0.00	(\$499.49)	
	150.00000	08/11/2020	09/22/2020	\$450.72	\$550.53	\$0.00	\$0.00	(\$99.81)	
	200.00000	08/11/2020	09/22/2020	\$600.96	\$754.02	\$0.00	\$0.00	(\$153.06)	
	500.00000	08/12/2020	08/18/2020	\$1,722.40	\$1,814.25	\$0.00	\$91.85	(\$91.85)	
Subtotals	5,850.00000			\$20,025.60	\$24,207.55	\$0.00	\$800.87	(\$4,181.95)	
***AURORA CANNABIS INC COM NEW CUSIP: 05156X884	80.00000	05/18/2020	05/18/2020	\$1,552.75	\$1,520.00	\$0.00	\$0.00	\$32.75	
AVINGER INC COMMON STOCK CUSIP: 053734604	1,000.00000	06/01/2020	06/11/2020	\$459.87	\$366.50	\$0.00	\$0.00	\$93.37	
	50.00000	06/01/2020	06/11/2020	\$23.03	\$17.80	\$0.00	\$0.00	\$5.23	
	1,000.00000	06/01/2020	06/11/2020	\$460.06	\$366.50	\$0.00	\$0.00	\$93.56	
	602.00000	06/01/2020	06/11/2020	\$276.84	\$214.31	\$0.00	\$0.00	\$62.53	
	1,000.00000	06/12/2020	06/15/2020	\$458.86	\$435.50	\$0.00	\$0.00	\$23.36	
	2,500.00000	06/12/2020	06/15/2020	\$1,147.42	\$1,088.75	\$0.00	\$0.00	\$58.67	
	5,850.00000	06/23/2020	07/20/2020	\$2,456.25	\$2,252.25	\$0.00	\$0.00	\$204.00	
	4,000.00000	06/23/2020	07/20/2020	\$1,679.49	\$1,500.00	\$0.00	\$0.00	\$179.49	
	4,150.00000	06/23/2020	07/20/2020	\$1,732.10	\$1,597.75	\$0.00	\$0.00	\$134.35	
	5,000.00000	07/20/2020	07/20/2020	\$2,099.36	\$1,922.27	\$0.00	\$0.00	\$177.09	
	2,500.00000	07/20/2020	07/20/2020	\$1,049.68	\$986.68	\$0.00	\$0.00	\$63.00	
	2,000.00000	07/20/2020	07/20/2020	\$839.74	\$766.00	\$0.00	\$0.00	\$73.74	

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E*TRADE SECURITIES LLC
 PO BOX 484
 JERSEY CITY, NJ 07303-0484

Account No: 45064037
 Account Name: UGANDARA REDDY LINGALA
 Recipient's TIN: ***-**-3245

Account Executive No:

ORIGINAL: 12/31/2020

2020 FORM 1099-B: PROCEEDS FROM BROKER AND BARTER EXCHANGE TRANSACTIONS, CONTINUED

OMB NO. 1545-0715

Covered Short-Term Gains or Losses on Gross Proceeds

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

Box 6: Gross Proceeds

Box 5: Box Not Checked (Covered Security)

Box 12: Basis Reported to the IRS

Box 2: Type of Gain or Loss –**Short-Term**

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Description of property CUSIP (Box 1a)	Quantity Sold	Date Acquired (Box 1b)	Date Sold or Disposed (Box 1c)	Proceeds (Box 1d)	Cost or Other Basis (Box 1e)	Accrued Market Discount (Box 1f)	Wash Sale Loss Disallowed (Box 1g)	Gain/Loss Amount	Additional Information
AVINGER INC COMMON STOCK CUSIP: 053734604	2,500.00000	07/20/2020	07/20/2020	\$1,049.67	\$1,000.25	\$0.00	\$0.00	\$49.42	
	650.00000	07/20/2020	07/20/2020	\$272.92	\$252.29	\$0.00	\$0.00	\$20.63	
	2,300.00000	07/21/2020	07/31/2020	\$1,092.43	\$998.20	\$0.00	\$0.00	\$94.23	
	200.00000	07/21/2020	07/31/2020	\$94.79	\$86.80	\$0.00	\$0.00	\$7.99	
	4,900.00000	07/21/2020	07/31/2020	\$2,327.35	\$2,101.61	\$0.00	\$0.00	\$225.74	
	600.00000	08/11/2020	08/11/2020	\$316.42	\$315.00	\$0.00	\$0.00	\$1.42	
	5,000.00000	08/11/2020	08/11/2020	\$2,636.85	\$2,700.00	\$0.00	\$63.15	(\$63.15)	
	10,000.00000	08/11/2020	08/11/2020	\$5,273.69	\$5,350.00	\$0.00	\$76.31	(\$76.31)	
	500.00000	08/11/2020	08/11/2020	\$263.73	\$270.00	\$0.00	\$6.27	(\$6.27)	
	4,000.00000	08/11/2020	08/11/2020	\$2,109.48	\$2,136.00	\$0.00	\$26.52	(\$26.52)	
	500.00000	08/11/2020	08/11/2020	\$263.68	\$276.27	\$0.00	\$12.59	(\$12.59)	
	9,500.00000	08/11/2020	08/11/2020	\$5,010.01	\$5,130.00	\$0.00	\$119.99	(\$119.99)	
	9,500.00000	08/11/2020	08/11/2020	\$5,010.01	\$5,130.00	\$0.00	\$119.99	(\$119.99)	
	100.00000	08/11/2020	08/19/2020	\$72.99	\$68.52	\$0.00	\$0.00	\$4.47	
	400.00000	08/11/2020	08/19/2020	\$291.95	\$280.07	\$0.00	\$0.00	\$11.88	
	1,000.00000	08/11/2020	08/19/2020	\$729.86	\$710.63	\$0.00	\$0.00	\$19.23	
	1,300.00000	08/11/2020	08/19/2020	\$948.82	\$901.46	\$0.00	\$0.00	\$47.36	
	500.00000	08/11/2020	08/19/2020	\$364.93	\$334.47	\$0.00	\$0.00	\$30.46	
	1,400.00000	08/11/2020	08/19/2020	\$1,021.81	\$962.68	\$0.00	\$0.00	\$59.13	
	900.00000	08/11/2020	08/19/2020	\$656.88	\$605.37	\$0.00	\$0.00	\$51.51	
	700.00000	08/11/2020	08/19/2020	\$510.91	\$477.91	\$0.00	\$0.00	\$33.00	
	3,000.00000	08/11/2020	08/19/2020	\$2,189.59	\$2,077.89	\$0.00	\$0.00	\$111.70	
	1,000.00000	08/11/2020	08/19/2020	\$729.86	\$694.63	\$0.00	\$0.00	\$35.23	
	2,500.00000	08/11/2020	08/19/2020	\$1,824.66	\$1,731.58	\$0.00	\$0.00	\$93.08	
	300.00000	08/11/2020	08/19/2020	\$218.96	\$208.09	\$0.00	\$0.00	\$10.87	
	5,000.00000	08/11/2020	09/14/2020	\$1,649.37	\$3,588.16	\$0.00	\$0.00	(\$1,938.79)	
	1,400.00000	08/11/2020	09/14/2020	\$461.82	\$1,011.68	\$0.00	\$0.00	(\$549.86)	
	3,600.00000	08/11/2020	09/14/2020	\$1,187.55	\$2,601.47	\$0.00	\$0.00	(\$1,413.92)	
	1,400.00000	08/11/2020	09/14/2020	\$461.82	\$997.68	\$0.00	\$0.00	(\$535.86)	
	6,400.00000	08/11/2020	09/14/2020	\$2,111.19	\$4,624.83	\$0.00	\$0.00	(\$2,513.64)	

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Account No: 45064037
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 Recipient's TIN: ***-**-3245
 Account Executive No:
 ORIGINAL: 12/31/2020

2020 FORM 1099-B: PROCEEDS FROM BROKER AND BARTER EXCHANGE TRANSACTIONS, CONTINUED

OMB NO. 1545-0715

Covered Short-Term Gains or Losses on Gross Proceeds

Report on Form 8949, Part I with Box A checked

Box 6: Gross Proceeds

Box 5: Box Not Checked (Covered Security)

Box 12: Basis Reported to the IRS

Box 2: Type of Gain or Loss -Short-Term

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Description of property CUSIP (Box 1a)	Quantity Sold	Date Acquired (Box 1b)	Date Sold or Disposed (Box 1c)	Proceeds (Box 1d)	Cost or Other Basis (Box 1e)	Accrued Market Discount (Box 1f)	Wash Sale Loss Disallowed (Box 1g)	Gain/Loss Amount	Additional Information
AVINGER INC COMMON STOCK CUSIP: 053734604	3,600.00000	08/11/2020	09/14/2020	\$1,187.55	\$2,583.47	\$0.00	\$0.00	(\$1,395.92)	
	1,000.00000	08/11/2020	09/14/2020	\$329.87	\$706.63	\$0.00	\$0.00	(\$376.76)	
	300.00000	08/11/2020	09/14/2020	\$98.96	\$213.49	\$0.00	\$0.00	(\$114.53)	
	2,700.00000	08/11/2020	09/14/2020	\$890.66	\$1,247.75	\$0.00	\$0.00	(\$357.09)	
	1,700.00000	08/24/2020	09/14/2020	\$560.79	\$766.70	\$0.00	\$0.00	(\$205.91)	
	1,300.00000	08/24/2020	09/14/2020	\$428.83	\$592.15	\$0.00	\$0.00	(\$163.32)	
Subtotals	121,302.00000			\$57,333.36	\$65,248.04	\$0.00	\$424.82	(\$7,914.68)	
BIONANO GENOMICS INC COMMON STOCK CUSIP: 09075F107	100.00000	08/07/2020	08/18/2020	\$67.98	\$116.07	\$0.00	\$0.00	(\$48.09)	
	140.00000	08/07/2020	08/18/2020	\$95.18	\$162.62	\$0.00	\$0.00	(\$67.44)	
	500.00000	08/07/2020	08/18/2020	\$339.98	\$465.00	\$0.00	\$0.00	(\$125.02)	
	1,000.00000	08/07/2020	08/18/2020	\$679.97	\$848.00	\$0.00	\$0.00	(\$168.03)	
	100.00000	08/07/2020	08/18/2020	\$68.00	\$91.85	\$0.00	\$0.00	(\$23.85)	
	240.00000	08/07/2020	08/18/2020	\$163.19	\$215.28	\$0.00	\$0.00	(\$52.09)	
	500.00000	08/07/2020	08/18/2020	\$339.98	\$460.00	\$0.00	\$0.00	(\$120.02)	
	500.00000	08/07/2020	08/18/2020	\$339.98	\$462.75	\$0.00	\$0.00	(\$122.77)	
	100.00000	08/07/2020	08/18/2020	\$68.00	\$99.37	\$0.00	\$31.37	(\$31.37)	
	360.00000	08/07/2020	08/18/2020	\$244.79	\$304.92	\$0.00	\$0.00	(\$60.13)	
	1,400.00000	08/07/2020	08/18/2020	\$951.95	\$1,386.28	\$0.00	\$0.00	(\$434.33)	
	1,900.00000	08/07/2020	08/18/2020	\$1,291.93	\$1,889.55	\$0.00	\$44.04	(\$597.62)	
Subtotals	6,840.00000			\$4,650.93	\$6,501.69	\$0.00	\$75.41	(\$1,850.76)	
BOEING CO CUSIP: 097023105	2.00000	06/12/2020	06/16/2020	\$399.60	\$364.60	\$0.00	\$0.00	\$35.00	
	8.00000	06/12/2020	06/16/2020	\$1,598.40	\$1,479.76	\$0.00	\$0.00	\$118.64	
Subtotals	10.00000			\$1,998.00	\$1,844.36	\$0.00	\$0.00	\$153.64	
BOXLIGHT CORPORATION CLASS A COMMON STOCK CUSIP: 103197109	500.00000	07/14/2020	07/14/2020	\$1,149.91	\$955.00	\$0.00	\$0.00	\$194.91	
	600.00000	07/14/2020	07/15/2020	\$1,499.89	\$1,338.00	\$0.00	\$0.00	\$161.89	
	200.00000	07/15/2020	07/15/2020	\$509.96	\$445.00	\$0.00	\$0.00	\$64.96	
	750.00000	07/15/2020	07/15/2020	\$1,912.37	\$1,710.00	\$0.00	\$0.00	\$202.37	
	50.00000	07/15/2020	07/15/2020	\$127.49	\$111.75	\$0.00	\$0.00	\$15.74	

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2020 FORM 1099-B: PROCEEDS FROM BROKER AND BARTER EXCHANGE TRANSACTIONS, CONTINUED

OMB NO. 1545-0715

Covered Short-Term Gains or Losses on Gross Proceeds

Report on Form 8949, Part I with Box A checked

Box 6: Gross Proceeds

Box 5: Box Not Checked (Covered Security)

Box 12: Basis Reported to the IRS

Box 2: Type of Gain or Loss -Short-Term

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Description of property CUSIP (Box 1a)	Quantity Sold	Date Acquired (Box 1b)	Date Sold or Disposed (Box 1c)	Proceeds (Box 1d)	Cost or Other Basis (Box 1e)	Accrued Market Discount (Box 1f)	Wash Sale Loss Disallowed (Box 1g)	Gain/Loss Amount	Additional Information
BOXLIGHT CORPORATION CLASS A COMMON STOCK CUSIP: 103197109	145.00000	07/15/2020	07/16/2020	\$487.17	\$355.25	\$0.00	\$0.00	\$131.92	
	500.00000	07/15/2020	07/16/2020	\$1,679.90	\$1,230.00	\$0.00	\$0.00	\$449.90	
	155.00000	07/15/2020	07/16/2020	\$520.79	\$379.75	\$0.00	\$0.00	\$141.04	
	300.00000	07/15/2020	07/16/2020	\$1,007.97	\$729.00	\$0.00	\$0.00	\$278.97	
	500.00000	07/15/2020	07/16/2020	\$1,679.90	\$1,215.00	\$0.00	\$0.00	\$464.90	
	200.00000	07/15/2020	07/16/2020	\$671.98	\$443.00	\$0.00	\$0.00	\$228.98	
	200.00000	07/15/2020	07/16/2020	\$671.98	\$472.00	\$0.00	\$0.00	\$199.98	
	300.00000	07/16/2020	07/16/2020	\$1,220.93	\$1,131.00	\$0.00	\$0.00	\$89.93	
	280.00000	07/16/2020	07/16/2020	\$1,139.54	\$1,058.40	\$0.00	\$0.00	\$81.14	
	1,000.00000	07/16/2020	07/16/2020	\$3,749.79	\$3,720.00	\$0.00	\$0.00	\$29.79	
	166.00000	07/16/2020	07/20/2020	\$512.90	\$627.48	\$0.00	\$114.58	(\$114.58)	
	334.00000	07/16/2020	07/20/2020	\$1,033.19	\$1,262.52	\$0.00	\$229.33	(\$229.33)	
	166.00000	07/16/2020	07/31/2020	\$350.23	\$853.28	\$0.00	\$0.00	(\$503.05)	
	334.00000	07/16/2020	07/31/2020	\$704.68	\$1,715.63	\$0.00	\$0.00	(\$1,010.95)	
	40.00000	07/16/2020	07/31/2020	\$84.39	\$162.00	\$0.00	\$0.00	(\$77.61)	
	125.00000	07/16/2020	07/31/2020	\$263.73	\$472.50	\$0.00	\$0.00	(\$208.77)	
	800.00000	07/16/2020	07/31/2020	\$1,687.87	\$3,560.00	\$0.00	\$0.00	(\$1,872.13)	
	200.00000	07/16/2020	07/31/2020	\$421.97	\$850.00	\$0.00	\$0.00	(\$428.03)	
	400.00000	07/23/2020	07/31/2020	\$843.93	\$1,262.32	\$0.00	\$0.00	(\$418.39)	
	35.00000	07/23/2020	07/31/2020	\$73.84	\$111.56	\$0.00	\$0.00	(\$37.72)	
	200.00000	07/23/2020	07/31/2020	\$421.97	\$635.00	\$0.00	\$0.00	(\$213.03)	
	200.00000	07/23/2020	07/31/2020	\$421.97	\$635.54	\$0.00	\$0.00	(\$213.57)	
Subtotals	8,680.00000			\$24,850.24	\$27,440.98	\$0.00	\$343.91	(\$2,590.74)	
CENTURY CASINOS INC CUSIP: 156492100	19.00000	03/26/2020	04/08/2020	\$56.90	\$54.72	\$0.00	\$0.00	\$2.18	
	33.00000	03/26/2020	04/08/2020	\$98.82	\$95.22	\$0.00	\$0.00	\$3.60	
	58.00000	03/26/2020	04/08/2020	\$173.49	\$167.36	\$0.00	\$0.00	\$6.13	
	390.00000	03/26/2020	04/08/2020	\$1,167.08	\$1,125.39	\$0.00	\$0.00	\$41.69	
	610.00000	03/27/2020	04/08/2020	\$1,825.43	\$1,565.75	\$0.00	\$0.00	\$259.68	
	500.00000	04/03/2020	04/08/2020	\$1,496.26	\$1,185.00	\$0.00	\$0.00	\$311.26	

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2020 FORM 1099-B: PROCEEDS FROM BROKER AND BARTER EXCHANGE TRANSACTIONS, CONTINUED

OMB NO. 1545-0715

Covered Short-Term Gains or Losses on Gross Proceeds

Report on Form 8949, Part I with Box A checked

Box 6: Gross Proceeds

Box 5: Box Not Checked (Covered Security)

Box 12: Basis Reported to the IRS

Box 2: Type of Gain or Loss -Short-Term

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CENTURY CASINOS INC CUSIP: 156492100	1,685.00000	04/08/2020	04/14/2020	\$5,779.22	\$4,819.10	\$0.00	\$0.00	\$960.12	
	155.00000	04/16/2020	04/27/2020	\$541.69	\$494.12	\$0.00	\$0.00	\$47.57	
	324.00000	04/21/2020	04/27/2020	\$1,132.32	\$1,001.16	\$0.00	\$0.00	\$131.16	
	3.00000	06/04/2020	06/05/2020	\$19.73	\$17.93	\$0.00	\$0.00	\$1.80	
Subtotals	3,777.00000			\$12,290.94	\$10,525.75	\$0.00	\$0.00	\$1,765.19	
***CIELO S A SPONSORED ADR CUSIP: 171778202	1,000.00000	06/15/2020	06/23/2020	\$1,009.11	\$1,093.54	\$0.00	\$0.00	(\$84.43)	
	1,000.00000	06/15/2020	06/23/2020	\$1,013.21	\$1,064.95	\$0.00	\$51.74	(\$51.74)	
	1,000.00000	06/15/2020	06/23/2020	\$1,009.11	\$1,041.80	\$0.00	\$0.00	(\$32.69)	
	2,000.00000	06/15/2020	06/23/2020	\$2,018.21	\$2,179.34	\$0.00	\$0.00	(\$161.13)	
	2,000.00000	06/15/2020	06/23/2020	\$2,026.41	\$2,083.60	\$0.00	\$57.19	(\$57.19)	
	2,600.00000	06/15/2020	06/23/2020	\$2,623.68	\$2,758.80	\$0.00	\$0.00	(\$135.12)	
Subtotals	9,600.00000			\$9,699.73	\$10,222.03	\$0.00	\$108.93	(\$522.30)	
CISCO SYSTEMS INC CUSIP: 17275R102	200.00000	02/12/2020	02/18/2020	\$9,292.49	\$9,969.00	\$0.00	\$0.00	(\$676.51)	
	200.00000	02/12/2020	02/18/2020	\$9,278.39	\$9,969.00	\$0.00	\$0.00	(\$690.61)	
	100.00000	02/12/2020	02/20/2020	\$4,635.11	\$4,984.50	\$0.00	\$0.00	(\$349.39)	
Subtotals	500.00000			\$23,205.99	\$24,922.50	\$0.00	\$0.00	(\$1,716.51)	
CLEAR CHANNEL OUTDOOR HOLDIN INC COMMON STOCK CUSIP: 18453H106	1,700.00000	05/18/2020	05/20/2020	\$1,648.76	\$1,632.00	\$0.00	\$0.00	\$16.76	
***CREDIT SUISSE AG X LNKS MNTHLY PY 2X LVRGD MT REIT EXCHANGE TRADED NOTES CUSIP: 22539T282	250.00000	09/29/2020	10/05/2020	\$1,021.19	\$969.30	\$0.00	\$0.00	\$51.89	
DIREXION SHS ETF TR DAILY S&P OIL & GAS EXPL & P BULL 2X SHARES CUSIP: 25460G500	13.00000	05/21/2020	05/26/2020	\$508.93	\$489.53	\$0.00	\$0.00	\$19.40	
DONNELLEY R R & SONS CO COM NEW CUSIP: 257867200	400.00000	05/26/2020	06/11/2020	\$567.94	\$520.00	\$0.00	\$0.00	\$47.94	

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Recipient's TIN: ***-**-3245
Account Executive No:
ORIGINAL: 12/31/2020

2020 FORM 1099-B: PROCEEDS FROM BROKER AND BARTER EXCHANGE TRANSACTIONS, CONTINUED

OMB NO. 1545-0715

Covered Short-Term Gains or Losses on Gross Proceeds

Report on Form 8949, Part I with Box A checked

Box 6: Gross Proceeds

Box 5: Box Not Checked (Covered Security)

Box 12: Basis Reported to the IRS

Box 2: Type of Gain or Loss -Short-Term

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Description of property CUSIP (Box 1a)	Quantity Sold	Date Acquired (Box 1b)	Date Sold or Disposed (Box 1c)	Proceeds (Box 1d)	Cost or Other Basis (Box 1e)	Accrued Market Discount (Box 1f)	Wash Sale Loss Disallowed (Box 1g)	Gain/Loss Amount	Additional Information
DONNELLEY R R & SONS CO COM NEW CUSIP: 257867200	345.00000 643.00000 500.00000 300.00000	05/28/2020 06/01/2020 09/15/2020 09/15/2020	06/11/2020 06/11/2020 09/17/2020 09/17/2020	\$489.84 \$912.96 \$710.72 \$426.43	\$400.20 \$698.04 \$693.17 \$416.31	\$0.00 \$0.00 \$0.00 \$0.00	\$0.00 \$0.00 \$0.00 \$0.00	\$89.64 \$214.92 \$17.55 \$10.12	
Subtotals	2,188.00000			\$3,107.89	\$2,727.72	\$0.00	\$0.00	\$380.17	
EASTMAN KODAK COMPANY COM NEW CUSIP: 277461406	80.00000	07/29/2020	07/29/2020	\$3,359.91	\$3,194.39	\$0.00	\$0.00	\$165.52	
***FENNEC PHARMACEUTICALS IN COMMON STOCK CUSIP: 31447P100	180.00000 200.00000	08/10/2020 08/10/2020	08/11/2020 08/11/2020	\$1,169.97 \$1,279.95	\$1,719.05 \$1,910.06	\$0.00 \$0.00	\$0.00 \$0.00	(\$549.08) (\$630.11)	
Subtotals	380.00000			\$2,449.92	\$3,629.11	\$0.00	\$0.00	(\$1,179.19)	
***GENETIC TECHNOLOGIES LTD SPONSORED ADR CUSIP: 37185R307	100.00000 100.00000 100.00000 100.00000	07/15/2020 07/15/2020 07/15/2020 09/15/2020	07/20/2020 07/20/2020 07/20/2020 09/22/2020	\$447.60 \$447.59 \$447.60 \$352.98	\$546.00 \$540.00 \$543.00 \$399.33	\$0.00 \$0.00 \$0.00 \$0.00	\$0.00 \$0.00 \$0.00 \$0.00	(\$98.40) (\$92.41) (\$95.40) (\$46.35)	
Subtotals	400.00000			\$1,695.77	\$2,028.33	\$0.00	\$0.00	(\$332.56)	
GENIUS BRANDS INTERNATIONAL INC COMMON STOCK CUSIP: 37229T301	500.00000	06/18/2020	06/18/2020	\$1,394.90	\$1,395.00	\$0.00	\$0.00	(\$0.10)	
GRAN TIERRA ENERGY INC CUSIP: 38500T101	3,800.00000 500.00000 280.00000 3,500.00000	08/11/2020 08/11/2020 08/11/2020 08/11/2020	09/15/2020 09/15/2020 09/15/2020 09/15/2020	\$869.60 \$114.42 \$64.08 \$800.94	\$1,249.82 \$160.00 \$89.57 \$1,151.15	\$0.00 \$0.00 \$0.00 \$0.00	\$0.00 \$0.00 \$0.00 \$0.00	(\$380.22) (\$45.58) (\$25.49) (\$350.21)	
Subtotals	8,080.00000			\$1,849.04	\$2,650.54	\$0.00	\$0.00	(\$801.50)	

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2020 FORM 1099-B: PROCEEDS FROM BROKER AND BARTER EXCHANGE TRANSACTIONS, CONTINUED

OMB NO. 1545-0715

Covered Short-Term Gains or Losses on Gross Proceeds

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

Box 6: Gross Proceeds

Box 5: Box Not Checked (Covered Security)

Box 12: Basis Reported to the IRS

Box 2: Type of Gain or Loss –**Short-Term**

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GROUPON INC COMMON STOCK CUSIP: 399473107	1,600.00000	04/24/2020	04/28/2020	\$2,239.76	\$1,725.92	\$0.00	\$0.00	\$513.84	
HERTZ GLOBAL HOLDINGS INC COMMON STOCK CUSIP: 42806J106	430.00000	10/20/2020	12/29/2020	\$642.13	\$786.90	\$0.00	\$0.00	(\$144.77)	
***IMMURON LIMITED AMERICAN DEPOSITARY SHARES CUSIP: 45254U101	200.00000	07/21/2020	07/23/2020	\$2,769.91	\$3,899.98	\$0.00	\$0.00	(\$1,130.07)	
INOVIO PHARMACEUTICALS INC COM CUSIP: 45773H201	188.00000	04/07/2020	04/09/2020	\$1,519.04	\$1,621.82	\$0.00	\$0.00	(\$102.78)	
	300.00000	09/15/2020	09/16/2020	\$4,799.85	\$4,320.00	\$0.00	\$0.00	\$479.85	
	50.00000	09/15/2020	09/16/2020	\$799.98	\$641.45	\$0.00	\$0.00	\$158.53	
	50.00000	09/15/2020	09/16/2020	\$799.97	\$735.00	\$0.00	\$0.00	\$64.97	
	50.00000	09/15/2020	09/16/2020	\$799.98	\$645.50	\$0.00	\$0.00	\$154.48	
	50.00000	09/15/2020	09/16/2020	\$799.98	\$650.66	\$0.00	\$0.00	\$149.32	
	142.00000	09/15/2020	09/16/2020	\$2,271.93	\$2,071.78	\$0.00	\$0.00	\$200.15	
	158.00000	09/15/2020	09/16/2020	\$2,527.92	\$2,306.80	\$0.00	\$0.00	\$221.12	
	150.00000	09/16/2020	09/16/2020	\$2,723.92	\$2,784.00	\$0.00	\$0.00	(\$60.08)	
	50.00000	09/16/2020	09/16/2020	\$902.70	\$873.50	\$0.00	\$0.00	\$29.20	
	400.00000	09/16/2020	09/16/2020	\$7,399.78	\$7,252.00	\$0.00	\$0.00	\$147.78	
	150.00000	09/16/2020	09/16/2020	\$2,723.91	\$2,793.09	\$0.00	\$0.00	(\$69.18)	
	30.00000	09/16/2020	09/16/2020	\$541.62	\$526.35	\$0.00	\$0.00	\$15.27	
	300.00000	09/16/2020	09/16/2020	\$5,459.83	\$5,568.00	\$0.00	\$98.80	(\$108.17)	
	50.00000	09/16/2020	09/16/2020	\$902.70	\$871.75	\$0.00	\$0.00	\$30.95	
	200.00000	09/16/2020	09/16/2020	\$3,610.79	\$3,516.53	\$0.00	\$0.00	\$94.26	
	15.00000	09/16/2020	09/28/2020	\$166.34	\$270.10	\$0.00	\$0.00	(\$103.76)	
	105.00000	09/16/2020	09/28/2020	\$1,165.46	\$1,890.71	\$0.00	\$0.00	(\$725.25)	
	4.00000	09/16/2020	09/28/2020	\$44.36	\$71.16	\$0.00	\$0.00	(\$26.80)	

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2020 FORM 1099-B: PROCEEDS FROM BROKER AND BARTER EXCHANGE TRANSACTIONS, CONTINUED

OMB NO. 1545-0715

Covered Short-Term Gains or Losses on Gross Proceeds

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

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Box 5: Box Not Checked (Covered Security)

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INOVIO PHARMACEUTICALS INC COM CUSIP: 45773H201									
Subtotals	2,442.00000			\$39,960.06	\$39,410.20	\$0.00	\$98.80	\$549.86	
INVESCO MORTGAGE CAPITAL INC CUSIP: 46131B100	1,000.00000	05/18/2020	06/09/2020	\$5,749.75	\$2,349.90	\$0.00	\$0.00	\$3,399.85	
	500.00000	05/19/2020	06/09/2020	\$2,874.88	\$1,355.70	\$0.00	\$0.00	\$1,519.18	
	1,000.00000	05/19/2020	06/09/2020	\$5,749.75	\$2,741.40	\$0.00	\$0.00	\$3,008.35	
	350.00000	05/20/2020	06/09/2020	\$2,012.41	\$871.97	\$0.00	\$0.00	\$1,140.44	
	700.00000	06/11/2020	06/11/2020	\$3,264.72	\$3,091.20	\$0.00	\$0.00	\$173.52	
	550.00000	06/11/2020	06/11/2020	\$2,565.13	\$2,513.50	\$0.00	\$0.00	\$51.63	
	269.00000	06/11/2020	06/12/2020	\$1,318.04	\$1,167.46	\$0.00	\$0.00	\$150.58	
	1,971.00000	06/11/2020	06/15/2020	\$8,652.26	\$8,554.14	\$0.00	\$0.00	\$98.12	
	110.00000	06/18/2020	07/20/2020	\$361.31	\$501.15	\$0.00	\$0.00	(\$139.84)	
	637.00000	06/18/2020	07/21/2020	\$2,122.61	\$2,902.13	\$0.00	\$0.00	(\$779.52)	
	1,500.00000	06/18/2020	07/30/2020	\$4,844.86	\$6,833.91	\$0.00	\$0.00	(\$1,989.05)	
	253.00000	06/18/2020	07/30/2020	\$817.14	\$1,152.65	\$0.00	\$0.00	(\$335.51)	
	500.00000	06/18/2020	07/30/2020	\$1,614.90	\$2,242.97	\$0.00	\$0.00	(\$628.07)	
	147.00000	07/01/2020	07/30/2020	\$474.78	\$665.83	\$0.00	\$0.00	(\$191.05)	
	100.00000	07/01/2020	08/06/2020	\$312.98	\$452.94	\$0.00	\$0.00	(\$139.96)	
	0.60647	07/01/2020	08/06/2020	\$1.90	\$2.75	\$0.00	\$0.00	(\$0.85)	
	500.00000	07/07/2020	07/09/2020	\$1,659.90	\$1,587.50	\$0.00	\$0.00	\$72.40	
	80.00000	07/07/2020	07/09/2020	\$265.58	\$253.60	\$0.00	\$0.00	\$11.98	
Subtotals	10,167.60647			\$44,662.90	\$39,240.70	\$0.00	\$0.00	\$5,422.20	
***LOMA NEGRA COMPANIA INDUSTRIAL ARGENTINA SOCIEDA ANONIMA AMERICAN DEPOSITARY CUSIP: 54150E104	1,000.00000	04/29/2020	04/29/2020	\$3,645.39	\$3,657.70	\$0.00	\$7.39	(\$12.31)	
	300.00000	04/29/2020	05/05/2020	\$1,002.65	\$1,097.31	\$0.00	\$0.00	(\$94.66)	
	1,100.00000	04/29/2020	05/18/2020	\$4,557.84	\$4,023.47	\$0.00	\$0.00	\$534.37	
	600.00000	04/29/2020	05/18/2020	\$2,486.09	\$2,200.39	\$0.00	\$0.00	\$285.70	

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2020 FORM 1099-B: PROCEEDS FROM BROKER AND BARTER EXCHANGE TRANSACTIONS, CONTINUED

OMB NO. 1545-0715

Covered Short-Term Gains or Losses on Gross Proceeds

Report on Form 8949, Part I with Box A checked

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***LOMA NEGRA COMPANIA INDUSTRIAL ARGENTINA SOCIEDA ANONIMA AMERICAN DEPOSITARY CUSIP: 54150E104									
Subtotals	3,000.00000			\$11,691.97	\$10,978.87	\$0.00	\$7.39	\$713.10	
MFA FINANCIAL INC CUSIP: 55272X102	1,497.00000	04/09/2020	04/28/2020	\$2,741.51	\$2,916.90	\$0.00	\$175.39	(\$175.39)	
	1,497.00000	04/09/2020	04/29/2020	\$2,874.00	\$2,855.02	\$0.00	\$0.00	\$18.98	
	1,500.00000	04/14/2020	04/28/2020	\$2,747.01	\$2,737.50	\$0.00	\$0.00	\$9.51	
	1,500.00000	04/15/2020	04/28/2020	\$2,747.01	\$2,515.65	\$0.00	\$0.00	\$231.36	
	3,103.00000	04/28/2020	04/29/2020	\$5,957.25	\$5,554.37	\$0.00	\$0.00	\$402.88	
	1,000.00000	05/20/2020	05/21/2020	\$1,663.84	\$1,626.50	\$0.00	\$0.00	\$37.34	
Subtotals	10,097.00000			\$18,730.62	\$18,205.94	\$0.00	\$175.39	\$524.68	
MARINUS PHARMACEUTICALS INC COM CUSIP: 56854Q101	500.00000	04/14/2020	04/24/2020	\$960.66	\$951.50	\$0.00	\$0.00	\$9.16	
	300.00000	04/14/2020	04/24/2020	\$577.44	\$570.00	\$0.00	\$0.00	\$7.44	
	700.00000	04/14/2020	04/24/2020	\$1,344.94	\$1,330.00	\$0.00	\$0.00	\$14.94	
	95.00000	04/14/2020	04/24/2020	\$182.53	\$181.17	\$0.00	\$0.00	\$1.36	
	1,000.00000	05/07/2020	05/07/2020	\$2,171.73	\$2,070.00	\$0.00	\$0.00	\$101.73	
	400.00000	08/06/2020	08/07/2020	\$779.93	\$770.06	\$0.00	\$0.00	\$9.87	
	240.00000	08/06/2020	08/07/2020	\$467.96	\$462.00	\$0.00	\$0.00	\$5.96	
	300.00000	08/06/2020	08/07/2020	\$584.95	\$576.00	\$0.00	\$0.00	\$8.95	
	149.00000	08/06/2020	08/07/2020	\$290.53	\$278.06	\$0.00	\$0.00	\$12.47	
	160.00000	08/06/2020	08/07/2020	\$311.97	\$311.58	\$0.00	\$0.00	\$0.39	
	251.00000	08/06/2020	08/07/2020	\$489.41	\$491.41	\$0.00	\$0.00	(\$2.00)	
	200.00000	08/06/2020	08/07/2020	\$389.97	\$385.48	\$0.00	\$0.00	\$4.49	
Subtotals	4,295.00000			\$8,552.02	\$8,377.26	\$0.00	\$0.00	\$174.76	

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NANOVIRICIDES INC COMMON STOCK CUSIP: 630087302	285.00000	04/06/2020	04/07/2020	\$1,597.36	\$1,486.28	\$0.00	\$0.00	\$111.08	
NEW YORK MORTGAGE TRUST INC CUSIP: 649604501	600.00000	06/10/2020	06/15/2020	\$1,799.95	\$1,708.80	\$0.00	\$0.00	\$91.15	
9 METERS BIOPHARMA INC COMMON STOCK CUSIP: 654405109	1,000.00000	08/19/2020	09/22/2020	\$688.46	\$1,004.94	\$0.00	\$0.00	(\$316.48)	
	400.00000	08/19/2020	09/22/2020	\$275.66	\$395.24	\$0.00	\$0.00	(\$119.58)	
	2,100.00000	08/19/2020	09/22/2020	\$1,447.03	\$2,075.01	\$0.00	\$598.08	(\$627.98)	
	4,500.00000	08/19/2020	09/22/2020	\$3,086.39	\$4,770.00	\$0.00	\$0.00	(\$1,683.61)	
	400.00000	08/19/2020	09/22/2020	\$274.35	\$402.26	\$0.00	\$0.00	(\$127.91)	
	100.00000	08/19/2020	09/22/2020	\$68.78	\$100.56	\$0.00	\$0.00	(\$31.78)	
	500.00000	08/19/2020	09/22/2020	\$344.23	\$497.77	\$0.00	\$0.00	(\$153.54)	
	758.00000	08/19/2020	09/22/2020	\$519.95	\$748.98	\$0.00	\$0.00	(\$229.03)	
	42.00000	08/19/2020	09/22/2020	\$28.88	\$41.50	\$0.00	\$0.00	(\$12.62)	
	1,550.00000	08/19/2020	09/22/2020	\$1,063.09	\$1,531.56	\$0.00	\$0.00	(\$468.47)	
	150.00000	08/19/2020	09/22/2020	\$103.25	\$148.21	\$0.00	\$0.00	(\$44.96)	
Subtotals	11,500.00000			\$7,900.07	\$11,716.03	\$0.00	\$598.08	(\$3,815.96)	
***NOKIA CORPORATION SPONSORED ADR REPSTG 1 SER A CUSIP: 654902204	1,000.00000	02/13/2020	02/20/2020	\$4,171.28	\$4,365.00	\$0.00	\$0.00	(\$193.72)	
OCEAN POWER TECHNOLOGIES INC COMMON STOCK CUSIP: 674870506	720.00000	10/07/2020	10/08/2020	\$1,630.68	\$2,066.40	\$0.00	\$0.00	(\$435.72)	
	280.00000	10/07/2020	10/08/2020	\$634.15	\$800.80	\$0.00	\$0.00	(\$166.65)	
	100.00000	10/07/2020	10/08/2020	\$226.48	\$297.00	\$0.00	\$0.00	(\$70.52)	
Subtotals	1,100.00000			\$2,491.31	\$3,164.20	\$0.00	\$0.00	(\$672.89)	
PIONEER POWER SOLUTIONS INC CUSIP: 723836300	200.00000	10/07/2020	10/08/2020	\$1,099.95	\$1,000.00	\$0.00	\$0.00	\$99.95	
	50.00000	10/07/2020	10/08/2020	\$275.24	\$249.50	\$0.00	\$0.00	\$25.74	
	200.00000	10/07/2020	10/08/2020	\$1,100.94	\$1,000.00	\$0.00	\$0.00	\$100.94	
	150.00000	10/07/2020	10/08/2020	\$824.96	\$750.00	\$0.00	\$0.00	\$74.96	

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E*TRADE SECURITIES LLC
 PO BOX 484
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Account No: 45064037
 Account Name: UGANDARA REDDY LINGALA
 Recipient's TIN: ***-**-3245

Account Executive No:

ORIGINAL: 12/31/2020

2020 FORM 1099-B: PROCEEDS FROM BROKER AND BARTER EXCHANGE TRANSACTIONS, CONTINUED

OMB NO. 1545-0715

Covered Short-Term Gains or Losses on Gross Proceeds

Report on Form 8949, Part I with Box A checked

Box 6: Gross Proceeds

Box 5: Box Not Checked (Covered Security)

Box 12: Basis Reported to the IRS

Box 2: Type of Gain or Loss -Short-Term

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Description of property CUSIP (Box 1a)	Quantity Sold	Date Acquired (Box 1b)	Date Sold or Disposed (Box 1c)	Proceeds (Box 1d)	Cost or Other Basis (Box 1e)	Accrued Market Discount (Box 1f)	Wash Sale Loss Disallowed (Box 1g)	Gain/Loss Amount	Additional Information
PIONEER POWER SOLUTIONS INC CUSIP: 723836300	50.00000	10/07/2020	10/08/2020	\$275.48	\$249.50	\$0.00	\$0.00	\$25.98	
Subtotals	650.00000			\$3,576.57	\$3,249.00	\$0.00	\$0.00	\$327.57	
QUALIGEN THERAPEUTICS INC COMMON STOCK CUSIP: 74754R103	80.00000	05/18/2020	06/01/2020	\$475.98	\$1,220.00	\$0.00	\$0.00	(\$744.02)	
	200.00000	05/18/2020	06/01/2020	\$1,189.95	\$3,125.00	\$0.00	\$0.00	(\$1,935.05)	
	300.00000	07/20/2020	07/21/2020	\$1,688.92	\$1,539.00	\$0.00	\$0.00	\$149.92	
	100.00000	07/29/2020	08/07/2020	\$546.97	\$665.00	\$0.00	\$118.03	(\$118.03)	
	50.00000	07/29/2020	08/07/2020	\$273.49	\$484.52	\$0.00	\$211.03	(\$211.03)	
	100.00000	07/29/2020	08/07/2020	\$546.97	\$797.02	\$0.00	\$250.05	(\$250.05)	
	300.00000	07/29/2020	08/07/2020	\$1,670.92	\$2,391.05	\$0.00	\$720.13	(\$720.13)	
	100.00000	07/29/2020	08/11/2020	\$567.47	\$848.03	\$0.00	\$0.00	(\$280.56)	
	50.00000	07/29/2020	08/11/2020	\$283.74	\$576.03	\$0.00	\$0.00	(\$292.29)	
	250.00000	07/29/2020	08/11/2020	\$1,418.69	\$2,425.11	\$0.00	\$0.00	(\$1,006.42)	
	100.00000	07/29/2020	08/11/2020	\$567.47	\$980.05	\$0.00	\$0.00	(\$412.58)	
	400.00000	07/30/2020	08/06/2020	\$2,271.89	\$2,799.96	\$0.00	\$528.07	(\$528.07)	
	100.00000	07/30/2020	08/11/2020	\$567.48	\$720.00	\$0.00	\$0.00	(\$152.52)	
	215.00000	07/30/2020	08/11/2020	\$1,220.07	\$1,526.50	\$0.00	\$0.00	(\$306.43)	
	400.00000	07/30/2020	08/11/2020	\$2,269.90	\$2,848.00	\$0.00	\$0.00	(\$578.10)	
	600.00000	07/30/2020	08/11/2020	\$3,404.85	\$4,283.94	\$0.00	\$0.00	(\$879.09)	
	50.00000	07/30/2020	08/11/2020	\$283.74	\$365.00	\$0.00	\$0.00	(\$81.26)	
	50.00000	07/30/2020	08/11/2020	\$283.74	\$352.50	\$0.00	\$0.00	(\$68.76)	
	85.00000	07/30/2020	08/11/2020	\$482.35	\$603.49	\$0.00	\$0.00	(\$121.14)	
Subtotals	3,530.00000			\$20,014.59	\$28,550.20	\$0.00	\$1,827.31	(\$8,535.61)	
QURATE RETAIL INC SERIES A COMMON STOCK CUSIP: 74915M100	800.00000	09/16/2020	09/18/2020	\$5,505.53	\$5,470.80	\$0.00	\$0.00	\$34.73	
RAVE RESTAURANT GROUP INC COM CUSIP: 754198109	2,000.00000	10/07/2020	10/07/2020	\$1,880.31	\$5,400.00	\$0.00	\$0.00	(\$3,519.69)	

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2020 FORM 1099-B: PROCEEDS FROM BROKER AND BARTER EXCHANGE TRANSACTIONS, CONTINUED

OMB NO. 1545-0715

Covered Short-Term Gains or Losses on Gross Proceeds

Report on Form 8949, Part I with Box A checked

Box 6: Gross Proceeds

Box 5: Box Not Checked (Covered Security)

Box 12: Basis Reported to the IRS

Box 2: Type of Gain or Loss -Short-Term

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Description of property CUSIP (Box 1a)	Quantity Sold	Date Acquired (Box 1b)	Date Sold or Disposed (Box 1c)	Proceeds (Box 1d)	Cost or Other Basis (Box 1e)	Accrued Market Discount (Box 1f)	Wash Sale Loss Disallowed (Box 1g)	Gain/Loss Amount	Additional Information
RAYONIER ADVANCED MATERIALS INC CUSIP: 75508B104	1,445.00000	04/27/2020	05/07/2020	\$2,340.67	\$1,686.60	\$0.00	\$0.00	\$654.07	
REMARK HOLDINGS INC COMMON STOCK CUSIP: 75955K102	3,000.00000	05/15/2020	05/19/2020	\$5,699.51	\$4,275.00	\$0.00	\$0.00	\$1,424.51	
	1,200.00000	06/16/2020	07/06/2020	\$3,239.78	\$3,186.00	\$0.00	\$0.00	\$53.78	
	400.00000	06/16/2020	07/06/2020	\$1,079.93	\$1,014.00	\$0.00	\$0.00	\$65.93	
	1,000.00000	06/16/2020	07/06/2020	\$2,699.82	\$2,511.50	\$0.00	\$0.00	\$188.32	
	550.00000	06/17/2020	07/06/2020	\$1,484.90	\$1,419.00	\$0.00	\$0.00	\$65.90	
	600.00000	06/17/2020	07/06/2020	\$1,619.89	\$1,404.00	\$0.00	\$0.00	\$215.89	
	70.00000	06/29/2020	07/06/2020	\$188.99	\$164.33	\$0.00	\$0.00	\$24.66	
	200.00000	06/30/2020	07/06/2020	\$539.97	\$465.56	\$0.00	\$0.00	\$74.41	
	100.00000	06/30/2020	07/06/2020	\$269.98	\$234.00	\$0.00	\$0.00	\$35.98	
	200.00000	06/30/2020	07/06/2020	\$539.96	\$470.00	\$0.00	\$0.00	\$69.96	
	200.00000	06/30/2020	07/06/2020	\$539.96	\$472.00	\$0.00	\$0.00	\$67.96	
	80.00000	07/01/2020	07/06/2020	\$215.99	\$185.60	\$0.00	\$0.00	\$30.39	
	800.00000	07/02/2020	07/06/2020	\$2,159.86	\$1,824.00	\$0.00	\$0.00	\$335.86	
	350.00000	07/06/2020	07/30/2020	\$472.45	\$857.50	\$0.00	\$330.04	(\$385.05)	
	2,000.00000	07/06/2020	07/30/2020	\$2,699.70	\$5,300.00	\$0.00	\$2,600.30	(\$2,600.30)	
	2,000.00000	07/06/2020	07/30/2020	\$2,699.70	\$5,300.00	\$0.00	\$2,600.30	(\$2,600.30)	
	1,000.00000	07/06/2020	07/30/2020	\$1,349.85	\$2,630.00	\$0.00	\$1,280.15	(\$1,280.15)	
	500.00000	07/06/2020	07/30/2020	\$674.93	\$1,205.00	\$0.00	\$0.00	(\$530.07)	
	1,000.00000	07/06/2020	07/31/2020	\$1,599.84	\$2,830.15	\$0.00	\$0.00	(\$1,230.31)	
	910.00000	07/06/2020	07/31/2020	\$1,683.35	\$2,782.10	\$0.00	\$0.00	(\$1,098.75)	
	90.00000	07/06/2020	07/31/2020	\$166.49	\$274.51	\$0.00	\$0.00	(\$108.02)	
	1,000.00000	07/06/2020	07/31/2020	\$1,849.83	\$3,050.15	\$0.00	\$0.00	(\$1,200.32)	
	300.00000	07/06/2020	08/06/2020	\$498.06	\$825.04	\$0.00	\$0.00	(\$326.98)	
	1,000.00000	07/06/2020	08/10/2020	\$1,929.84	\$3,100.15	\$0.00	\$0.00	(\$1,170.31)	
	500.00000	07/06/2020	08/10/2020	\$964.92	\$1,508.63	\$0.00	\$0.00	(\$543.71)	
	500.00000	07/06/2020	08/10/2020	\$964.91	\$1,502.57	\$0.00	\$0.00	(\$537.66)	
	50.00000	07/09/2020	07/30/2020	\$67.49	\$87.00	\$0.00	\$0.00	(\$19.51)	

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2020 FORM 1099-B: PROCEEDS FROM BROKER AND BARTER EXCHANGE TRANSACTIONS, CONTINUED

OMB NO. 1545-0715

Covered Short-Term Gains or Losses on Gross Proceeds

Report on Form 8949, Part I with Box A checked

Box 6: Gross Proceeds

Box 5: Box Not Checked (Covered Security)

Box 12: Basis Reported to the IRS

Box 2: Type of Gain or Loss -Short-Term

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REMARK HOLDINGS INC COMMON STOCK CUSIP: 75955K102	50.00000	07/09/2020	07/30/2020	\$67.49	\$86.00	\$0.00	\$0.00	(\$18.51)	
	500.00000	07/09/2020	07/30/2020	\$674.92	\$910.00	\$0.00	\$0.00	(\$235.08)	
	500.00000	07/09/2020	07/30/2020	\$674.93	\$905.00	\$0.00	\$0.00	(\$230.07)	
Subtotals	20,650.00000			\$39,317.24	\$50,778.79	\$0.00	\$6,810.79	(\$11,461.55)	
RIGEL PHARMACEUTICALS INC CUSIP: 766559603	500.00000	07/15/2020	07/15/2020	\$1,614.95	\$1,657.95	\$0.00	\$0.00	(\$43.00)	
RITTER PHARMACEUTICALS INC COMMON STOCK CUSIP: 767836307	1,670.00000	05/05/2020	05/12/2020	\$1,202.17	\$1,002.00	\$0.00	\$0.00	\$200.17	
	430.00000	05/07/2020	05/12/2020	\$309.54	\$178.45	\$0.00	\$0.00	\$131.09	
	220.00000	05/07/2020	05/12/2020	\$157.29	\$91.30	\$0.00	\$0.00	\$65.99	
	4,000.00000	05/08/2020	05/12/2020	\$2,859.86	\$1,852.00	\$0.00	\$0.00	\$1,007.86	
	7,560.00000	05/13/2020	05/15/2020	\$4,875.95	\$4,384.80	\$0.00	\$0.00	\$491.15	
	240.00000	05/13/2020	05/15/2020	\$154.88	\$139.20	\$0.00	\$0.00	\$15.68	
Subtotals	14,120.00000			\$9,559.69	\$7,647.75	\$0.00	\$0.00	\$1,911.94	
ROSEHILL RESOURCES INC CLASS A COMMON STOCK CUSIP: 777385105	450.00000	07/06/2020	07/13/2020	\$180.03	\$259.66	\$0.00	\$0.00	(\$79.63)	
	1,300.00000	07/06/2020	07/13/2020	\$519.96	\$635.70	\$0.00	\$12.46	(\$115.74)	
	450.00000	07/06/2020	07/13/2020	\$179.99	\$220.50	\$0.00	\$40.51	(\$40.51)	
	610.00000	07/06/2020	07/13/2020	\$243.98	\$297.07	\$0.00	\$0.00	(\$53.09)	
	140.00000	07/06/2020	07/13/2020	\$56.01	\$80.64	\$0.00	\$0.00	(\$24.63)	
Subtotals	2,950.00000			\$1,179.97	\$1,493.57	\$0.00	\$52.97	(\$313.60)	
***SHOPIFY INC CL A CUSIP: 82509L107	33.00000	01/27/2020	01/27/2020	\$15,020.12	\$15,057.71	\$0.00	\$0.00	(\$37.59)	
SMITH MICRO SOFTWARE INC COMMON STOCK CUSIP: 832154207	300.00000	02/20/2020	04/21/2020	\$1,524.76	\$1,747.68	\$0.00	\$159.76	(\$222.92)	
	40.00000	02/20/2020	04/23/2020	\$209.11	\$233.02	\$0.00	\$0.00	(\$23.91)	
	60.00000	02/20/2020	06/11/2020	\$266.39	\$349.54	\$0.00	\$0.00	(\$83.15)	
	400.00000	02/20/2020	06/11/2020	\$1,775.91	\$2,330.24	\$0.00	\$0.00	(\$554.33)	
	484.00000	02/20/2020	06/11/2020	\$2,110.13	\$2,816.93	\$0.00	\$0.00	(\$706.80)	

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2020 FORM 1099-B: PROCEEDS FROM BROKER AND BARTER EXCHANGE TRANSACTIONS, CONTINUED

OMB NO. 1545-0715

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SMITH MICRO SOFTWARE INC COMMON STOCK CUSIP: 832154207	16.00000 199.00000 240.00000 180.00000	02/20/2020 02/20/2020 02/20/2020 02/24/2020	06/11/2020 06/11/2020 06/11/2020 06/11/2020	\$69.76 \$865.60 \$1,065.57 \$782.96	\$76.90 \$956.47 \$1,396.82 \$1,004.40	\$0.00 \$0.00 \$0.00 \$0.00	\$0.00 \$0.00 \$0.00 \$0.00	(\$7.14) (\$90.87) (\$331.25) (\$221.44)	
Subtotals	1,919.00000			\$8,670.19	\$10,912.00	\$0.00	\$159.76	(\$2,241.81)	
SORRENTO THERAPEUTICS INC CUSIP: 83587F202	50.00000 300.00000 30.00000 500.00000 400.00000 200.00000 850.00000 50.00000 1,000.00000 100.00000 50.00000 200.00000 300.00000 40.00000 100.00000 350.00000	09/22/2020 09/22/2020 09/22/2020 09/22/2020 09/22/2020 09/22/2020 09/22/2020 09/22/2020 09/22/2020 09/22/2020 09/22/2020 09/22/2020 09/22/2020 09/22/2020 09/22/2020 09/22/2020	09/22/2020 09/22/2020 09/22/2020 09/22/2020 09/22/2020 09/22/2020 09/22/2020 09/22/2020 09/29/2020 09/30/2020 09/30/2020 10/05/2020 10/05/2020 10/05/2020 10/05/2020 10/05/2020	\$525.09 \$3,269.89 \$326.99 \$5,449.82 \$4,359.85 \$2,179.93 \$8,926.57 \$544.98 \$11,656.02 \$1,163.96 \$581.47 \$2,162.93 \$3,244.39 \$432.59 \$1,081.46 \$3,785.12	\$511.29 \$3,225.00 \$316.96 \$5,374.95 \$4,231.00 \$2,119.00 \$8,580.75 \$533.38 \$11,000.00 \$1,100.00 \$550.00 \$2,136.00 \$3,206.52 \$424.70 \$1,086.90 \$3,850.00	\$0.00 \$0.00 \$0.00 \$0.00 \$0.00 \$0.00 \$0.00 \$0.00 \$0.00 \$0.00 \$0.00 \$0.00 \$0.00 \$0.00 \$0.00 \$0.00	\$0.00 \$0.00 \$0.00 \$0.00 \$0.00 \$0.00 \$0.00 \$0.00 \$0.00 \$0.00 \$0.00 \$0.00 \$0.00 \$0.00 \$0.00 \$0.00	\$13.80 \$44.89 \$10.03 \$74.87 \$128.85 \$60.93 \$345.82 \$11.60 \$656.02 \$63.96 \$31.47 \$26.93 \$37.87 \$7.89 (\$5.44) (\$64.88)	
Subtotals	4,520.00000			\$49,691.06	\$48,246.45	\$0.00	\$0.00	\$1,444.61	
SPRINT CORPORATION COM SER 1 CUSIP: 85207U105	3,300.00000 200.00000	02/06/2020 02/06/2020	02/11/2020 02/11/2020	\$27,629.27 \$1,673.96	\$15,344.67 \$929.98	\$0.00 \$0.00	\$0.00 \$0.00	\$12,284.60 \$743.98	
Subtotals	3,500.00000			\$29,303.23	\$16,274.65	\$0.00	\$0.00	\$13,028.58	

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STREAMLINE HEALTH SOLUTIONS INC CUSIP: 86323X106	400.00000	02/19/2020	02/19/2020	\$567.93	\$540.00	\$0.00	\$0.00	\$27.93	
	600.00000	02/19/2020	02/19/2020	\$857.91	\$810.00	\$0.00	\$0.00	\$47.91	
Subtotals	1,000.00000			\$1,425.84	\$1,350.00	\$0.00	\$0.00	\$75.84	
TARONIS TECHNOLOGIES INC COMMON STOCK CUSIP: 876214206	80.00000	04/23/2020	05/15/2020	\$8.12	\$19.20	\$0.00	\$11.08	(\$11.08)	
	820.00000	04/23/2020	05/15/2020	\$83.24	\$206.63	\$0.00	\$123.39	(\$123.39)	
	820.00000	04/23/2020	05/15/2020	\$85.06	\$377.59	\$0.00	\$0.00	(\$292.53)	
	80.00000	04/23/2020	05/15/2020	\$8.30	\$35.88	\$0.00	\$0.00	(\$27.58)	
	734.00000	04/24/2020	05/15/2020	\$76.14	\$380.57	\$0.00	\$0.00	(\$304.43)	
	734.00000	04/24/2020	05/15/2020	\$74.51	\$227.54	\$0.00	\$153.03	(\$153.03)	
	2,000.00000	04/24/2020	05/15/2020	\$207.45	\$1,036.96	\$0.00	\$0.00	(\$829.51)	
	2,000.00000	04/24/2020	05/15/2020	\$203.04	\$620.00	\$0.00	\$416.96	(\$416.96)	
	2,366.00000	04/24/2020	05/15/2020	\$245.42	\$733.46	\$0.00	\$0.00	(\$488.04)	
	366.00000	04/24/2020	05/15/2020	\$37.96	\$113.46	\$0.00	\$0.00	(\$75.50)	
Subtotals	10,000.00000			\$1,029.24	\$3,751.29	\$0.00	\$704.46	(\$2,722.05)	
THERAPEUTICSMD INC COMMON STOCK CUSIP: 88338N107	2,000.00000	04/29/2020	07/15/2020	\$3,262.12	\$3,239.80	\$0.00	\$0.00	\$22.32	
	324.00000	04/30/2020	07/15/2020	\$528.46	\$511.24	\$0.00	\$0.00	\$17.22	
	1,100.00000	07/20/2020	07/20/2020	\$2,056.82	\$2,029.62	\$0.00	\$0.00	\$27.20	
Subtotals	3,424.00000			\$5,847.40	\$5,780.66	\$0.00	\$0.00	\$66.74	
TONIX PHARMACEUTICALS HOLDIN CORP COMMON STOCK CUSIP: 890260706	1,950.00000	07/20/2020	07/20/2020	\$2,963.70	\$2,925.00	\$0.00	\$0.00	\$38.70	
	500.00000	07/20/2020	07/20/2020	\$759.92	\$720.00	\$0.00	\$0.00	\$39.92	
	1,000.00000	07/20/2020	07/20/2020	\$1,519.85	\$1,450.00	\$0.00	\$0.00	\$69.85	
	1,200.00000	07/20/2020	07/20/2020	\$1,439.82	\$1,378.80	\$0.00	\$0.00	\$61.02	
	50.00000	07/20/2020	07/20/2020	\$75.99	\$73.50	\$0.00	\$0.00	\$2.49	
	1,000.00000	07/21/2020	08/11/2020	\$1,039.86	\$1,700.00	\$0.00	\$0.00	(\$660.14)	
	450.00000	07/21/2020	08/11/2020	\$467.94	\$754.11	\$0.00	\$0.00	(\$286.17)	
	4.00000	07/21/2020	08/11/2020	\$4.16	\$10.62	\$0.00	\$0.00	(\$6.46)	

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E*TRADE SECURITIES LLC
 PO BOX 484
 JERSEY CITY, NJ 07303-0484

Account No: 45064037
 Account Name: UGANDARA REDDY LINGALA
 Recipient's TIN: ***-**-3245

Account Executive No:

ORIGINAL: 12/31/2020

2020 FORM 1099-B: PROCEEDS FROM BROKER AND BARTER EXCHANGE TRANSACTIONS, CONTINUED

OMB NO. 1545-0715

Covered Short-Term Gains or Losses on Gross Proceeds

Report on Form 8949, Part I with Box A checked

Box 6: Gross Proceeds

Box 5: Box Not Checked (Covered Security)

Box 12: Basis Reported to the IRS

Box 2: Type of Gain or Loss -Short-Term

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Description of property CUSIP (Box 1a)	Quantity Sold	Date Acquired (Box 1b)	Date Sold or Disposed (Box 1c)	Proceeds (Box 1d)	Cost or Other Basis (Box 1e)	Accrued Market Discount (Box 1f)	Wash Sale Loss Disallowed (Box 1g)	Gain/Loss Amount	Additional Information
TONIX PHARMACEUTICALS HOLDIN CORP COMMON STOCK CUSIP: 890260706	1,896.00000	07/21/2020	08/11/2020	\$1,971.57	\$3,537.94	\$0.00	\$0.00	(\$1,566.37)	
	1,796.00000	07/21/2020	08/11/2020	\$1,867.58	\$3,427.67	\$0.00	\$0.00	(\$1,560.09)	
	800.00000	07/21/2020	08/11/2020	\$831.89	\$1,480.00	\$0.00	\$0.00	(\$648.11)	
	4.00000	07/21/2020	08/11/2020	\$4.47	\$7.46	\$0.00	\$2.99	(\$2.99)	
	100.00000	07/27/2020	08/11/2020	\$103.99	\$133.00	\$0.00	\$0.00	(\$29.01)	
	500.00000	07/31/2020	08/11/2020	\$519.93	\$704.80	\$0.00	\$0.00	(\$184.87)	
	1,000.00000	07/31/2020	08/11/2020	\$1,039.86	\$1,420.00	\$0.00	\$0.00	(\$380.14)	
	1,000.00000	07/31/2020	08/11/2020	\$1,039.85	\$1,406.54	\$0.00	\$0.00	(\$366.69)	
	1,000.00000	07/31/2020	08/11/2020	\$1,039.85	\$1,298.50	\$0.00	\$0.00	(\$258.65)	
Subtotals	14,250.00000			\$16,690.23	\$22,427.94	\$0.00	\$2.99	(\$5,737.71)	
TREVENA INC CUSIP: 89532E109	3,300.00000	06/19/2020	06/22/2020	\$5,378.49	\$5,208.39	\$0.00	\$0.00	\$170.10	
	1,150.00000	06/25/2020	07/07/2020	\$1,989.31	\$1,972.25	\$0.00	\$0.00	\$17.06	
	200.00000	07/16/2020	07/16/2020	\$374.97	\$368.00	\$0.00	\$0.00	\$6.97	
	627.00000	07/20/2020	07/21/2020	\$1,322.87	\$1,251.12	\$0.00	\$0.00	\$71.75	
	873.00000	07/20/2020	07/21/2020	\$1,767.69	\$1,741.98	\$0.00	\$0.00	\$25.71	
Subtotals	6,150.00000			\$10,833.33	\$10,541.74	\$0.00	\$0.00	\$291.59	
TWO HARBORS INVESTMENT CORP COMMON STOCK CUSIP: 90187B408	700.00000	06/09/2020	07/20/2020	\$3,618.90	\$4,133.50	\$0.00	\$0.00	(\$514.60)	
	300.00000	06/09/2020	07/20/2020	\$1,550.96	\$1,772.97	\$0.00	\$0.00	(\$222.01)	
	700.00000	06/09/2020	07/20/2020	\$3,622.33	\$4,136.93	\$0.00	\$0.00	(\$514.60)	
	1,000.00000	06/09/2020	07/21/2020	\$5,231.26	\$5,909.90	\$0.00	\$0.00	(\$678.64)	
Subtotals	2,700.00000			\$14,023.45	\$15,953.30	\$0.00	\$0.00	(\$1,929.85)	
URBAN ONE INC CLASS D COMMON STOCK CUSIP: 91705J204	39.00000	06/17/2020	06/18/2020	\$144.29	\$134.55	\$0.00	\$0.00	\$9.74	
	61.00000	06/17/2020	06/18/2020	\$225.69	\$211.05	\$0.00	\$0.00	\$14.64	
	300.00000	06/17/2020	06/18/2020	\$1,109.94	\$1,035.00	\$0.00	\$0.00	\$74.94	
	400.00000	06/17/2020	06/18/2020	\$1,479.92	\$1,240.00	\$0.00	\$0.00	\$239.92	
	500.00000	06/17/2020	06/18/2020	\$1,840.40	\$1,729.95	\$0.00	\$0.00	\$110.45	
	1,000.00000	06/17/2020	06/18/2020	\$3,849.79	\$3,459.90	\$0.00	\$0.00	\$389.89	
	100.00000	06/17/2020	06/18/2020	\$368.08	\$345.00	\$0.00	\$0.00	\$23.08	

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 Account Executive No:
 ORIGINAL: 12/31/2020

2020 FORM 1099-B: PROCEEDS FROM BROKER AND BARTER EXCHANGE TRANSACTIONS, CONTINUED

OMB NO. 1545-0715

Covered Short-Term Gains or Losses on Gross Proceeds

Report on Form 8949, Part I with Box A checked

Box 6: Gross Proceeds

Box 5: Box Not Checked (Covered Security)

Box 12: Basis Reported to the IRS

Box 2: Type of Gain or Loss -Short-Term

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Description of property CUSIP (Box 1a)	Quantity Sold	Date Acquired (Box 1b)	Date Sold or Disposed (Box 1c)	Proceeds (Box 1d)	Cost or Other Basis (Box 1e)	Accrued Market Discount (Box 1f)	Wash Sale Loss Disallowed (Box 1g)	Gain/Loss Amount	Additional Information
URBAN ONE INC CLASS D COMMON STOCK CUSIP: 91705J204	580.00000	06/22/2020	06/25/2020	\$1,478.90	\$1,780.60	\$0.00	\$0.00	(\$301.70)	
	120.00000	06/22/2020	06/25/2020	\$305.98	\$367.20	\$0.00	\$0.00	(\$61.22)	
	600.00000	06/22/2020	06/25/2020	\$1,529.89	\$1,783.62	\$0.00	\$0.00	(\$253.73)	
	300.00000	06/22/2020	06/25/2020	\$764.95	\$880.92	\$0.00	\$0.00	(\$115.97)	
	500.00000	06/22/2020	06/25/2020	\$1,274.91	\$1,493.20	\$0.00	\$0.00	(\$218.29)	
Subtotals	4,500.00000			\$14,372.74	\$14,460.99	\$0.00	\$0.00	(\$88.25)	
VAXART INC COMMON STOCK CUSIP: 92243A200	800.00000	09/16/2020	09/22/2020	\$6,997.10	\$6,615.92	\$0.00	\$0.00	\$381.18	
	50.00000	09/16/2020	09/22/2020	\$437.32	\$404.00	\$0.00	\$0.00	\$33.32	
	100.00000	09/16/2020	09/22/2020	\$874.64	\$815.00	\$0.00	\$0.00	\$59.64	
	50.00000	09/22/2020	09/22/2020	\$437.32	\$436.00	\$0.00	\$0.00	\$1.32	
Subtotals	1,000.00000			\$8,746.38	\$8,270.92	\$0.00	\$0.00	\$475.46	
WESTERN ASSET MORTGAGE CAPIT CORPORATION CUSIP: 95790D105	2,839.00000	06/10/2020	06/18/2020	\$8,034.13	\$9,226.75	\$0.00	\$0.00	(\$1,192.62)	
	1.00000	06/10/2020	06/18/2020	\$2.86	\$3.25	\$0.00	\$0.00	(\$0.39)	
Subtotals	2,840.00000			\$8,036.99	\$9,230.00	\$0.00	\$0.00	(\$1,193.01)	
XPRESSPA GROUP INC COMMON STOCK CUSIP: 98420U604	1.00000	05/21/2020	06/10/2020	\$1.73	\$0.52	\$0.00	\$0.00	\$1.21	
XPRESSPA GROUP INC COMMON STOCK CUSIP: 98420U703	500.00000	05/21/2020	06/19/2020	\$2,431.38	\$780.00	\$0.00	\$0.00	\$1,651.38	
	583.00000	05/21/2020	06/19/2020	\$2,839.07	\$909.48	\$0.00	\$0.00	\$1,929.59	
Subtotals	1,083.00000			\$5,270.45	\$1,689.48	\$0.00	\$0.00	\$3,580.97	
***ZOMEDICA PHARMACEUTICALS CORP COM CUSIP: 98979F107	1,250.00000	05/08/2020	06/04/2020	\$209.22	\$321.25	\$0.00	\$0.00	(\$112.03)	
	115.00000	05/27/2020	06/04/2020	\$19.25	\$17.02	\$0.00	\$0.00	\$2.23	

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Recipient's TIN: ***-**-3245

Account Executive No:

ORIGINAL: 12/31/2020

2020 FORM 1099-B: PROCEEDS FROM BROKER AND BARTER EXCHANGE TRANSACTIONS, CONTINUED

OMB NO. 1545-0715

Covered Short-Term Gains or Losses on Gross Proceeds

Report on Form 8949, Part I with Box A checked

Box 6: Gross Proceeds

Box 5: Box Not Checked (Covered Security)

Box 12: Basis Reported to the IRS

Box 2: Type of Gain or Loss -Short-Term

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Description of property CUSIP (Box 1a)	Quantity Sold	Date Acquired (Box 1b)	Date Sold or Disposed (Box 1c)	Proceeds (Box 1d)	Cost or Other Basis (Box 1e)	Accrued Market Discount (Box 1f)	Wash Sale Loss Disallowed (Box 1g)	Gain/Loss Amount	Additional Information
***ZOMEDICA PHARMACEUTICALS CORP COM CUSIP: 98979F107									
Subtotals	1,365.00000			\$228.47	\$338.27	\$0.00	\$0.00	(\$109.80)	
ZUORA INC CLASS A COMMON STOCK CUSIP: 98983V106	549.00000	07/12/2019	01/13/2020	\$8,495.37	\$8,255.89	\$0.00	\$0.00	\$239.48	
	416.00000	12/10/2019	01/13/2020	\$6,437.30	\$6,230.27	\$0.00	\$0.00	\$207.03	
	983.00000	01/21/2020	01/22/2020	\$15,150.64	\$14,921.94	\$0.00	\$0.00	\$228.70	
	1,010.00000	01/27/2020	02/04/2020	\$16,435.36	\$15,115.05	\$0.00	\$0.00	\$1,320.31	
	500.00000	09/14/2020	09/15/2020	\$4,744.88	\$4,612.10	\$0.00	\$0.00	\$132.78	
	500.00000	09/14/2020	09/15/2020	\$4,744.88	\$4,612.10	\$0.00	\$0.00	\$132.78	
	1,200.00000	09/16/2020	09/16/2020	\$11,393.60	\$11,082.00	\$0.00	\$0.00	\$311.60	
Subtotals	5,158.00000			\$67,402.03	\$64,829.35	\$0.00	\$0.00	\$2,572.68	
***APTORUM GROUP LIMITED CLASS A ORDINARY SHARES CUSIP: G6096M106									
	100.00000	09/29/2020	09/29/2020	\$797.97	\$1,218.00	\$0.00	\$0.00	(\$420.03)	
***VALARIS PLC CLASS A ORDINARY SHARES CUSIP: G9402V109									
	300.00000	06/18/2020	06/25/2020	\$176.95	\$276.00	\$0.00	\$0.00	(\$99.05)	
	1,400.00000	06/18/2020	06/25/2020	\$826.51	\$1,288.00	\$0.00	\$0.00	(\$461.49)	
Subtotals	1,700.00000			\$1,003.46	\$1,564.00	\$0.00	\$0.00	(\$560.54)	
***TRANSOCEAN LTD US LISTED CUSIP: H8817H100									
	500.00000	04/23/2020	04/24/2020	\$479.85	\$495.00	\$0.00	\$0.00	(\$15.15)	
	1,060.00000	04/23/2020	04/24/2020	\$1,017.23	\$1,049.40	\$0.00	\$0.00	(\$32.17)	
Subtotals	1,560.00000			\$1,497.08	\$1,544.40	\$0.00	\$0.00	(\$47.32)	
***INTEC PHARMA LTD ORDINARY SHARES CUSIP: M53644106									
	1,800.00000	06/04/2020	06/23/2020	\$557.77	\$790.20	\$0.00	\$0.00	(\$232.43)	
	646.00000	06/04/2020	06/23/2020	\$200.18	\$242.90	\$0.00	\$0.00	(\$42.72)	
	487.00000	06/05/2020	06/23/2020	\$150.91	\$180.19	\$0.00	\$0.00	(\$29.28)	

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2020 FORM 1099-B: PROCEEDS FROM BROKER AND BARTER EXCHANGE TRANSACTIONS, CONTINUED

OMB NO. 1545-0715

Covered Short-Term Gains or Losses on Gross Proceeds

Report on Form 8949, Part I with Box A checked

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Box 5: Box Not Checked (Covered Security)

Box 12: Basis Reported to the IRS

Box 2: Type of Gain or Loss -Short-Term

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***INTEC PHARMA LTD ORDINARY SHARES CUSIP: M53644106	1,113.00000 1,530.00000 6,000.00000	06/05/2020 06/05/2020 06/16/2020	06/23/2020 06/23/2020 06/23/2020	\$344.89 \$474.11 \$1,859.24	\$411.14 \$573.75 \$2,226.00	\$0.00 \$0.00 \$0.00	\$0.00 \$0.00 \$0.00	(\$66.25) (\$99.64) (\$366.76)	
Subtotals	11,576.00000			\$3,587.10	\$4,424.18	\$0.00	\$0.00	(\$837.08)	
***SEANERGY MARITIME HOLDING CORP COMMON STOCK CUSIP: Y73760194	312.50000 187.50000 250.00000 187.50000 125.00000 187.00000 187.50000 125.00000 187.50000 125.00000 187.50000	06/24/2020 06/24/2020 06/24/2020 06/24/2020 06/24/2020 06/24/2020 06/25/2020 06/25/2020 06/25/2020 06/25/2020 06/25/2020	07/29/2020 07/29/2020 07/29/2020 07/29/2020 07/29/2020 07/29/2020 07/29/2020 07/29/2020 07/29/2020 07/29/2020 07/29/2020	\$473.39 \$284.03 \$378.71 \$284.03 \$189.36 \$283.28 \$284.03 \$189.36 \$284.03 \$189.36 \$284.03	\$1,400.00 \$900.00 \$1,180.00 \$870.00 \$570.00 \$921.54 \$810.00 \$420.00 \$810.00 \$540.00 \$746.70	\$0.00 \$0.00 \$0.00 \$0.00 \$0.00 \$0.00 \$0.00 \$0.00 \$0.00 \$0.00 \$0.00	\$0.00 \$0.00 \$0.00 \$0.00 \$0.00 \$0.00 \$0.00 \$0.00 \$0.00 \$0.00 \$0.00	(\$926.61) (\$615.97) (\$801.29) (\$585.97) (\$380.64) (\$638.26) (\$525.97) (\$230.64) (\$525.97) (\$350.64) (\$462.67)	
Subtotals	2,062.00000			\$3,123.61	\$9,168.24	\$0.00	\$0.00	(\$6,044.63)	
***SEANERGY MARITIME HOLDING CORP COMMON STOCK CUSIP: Y73760301	700.00000 6,300.00000 1,000.00000 3,000.00000 11,000.00000 1,800.00000 10,000.00000	06/16/2020 06/16/2020 06/23/2020 06/23/2020 06/23/2020 06/23/2020 06/25/2020	06/17/2020 06/17/2020 06/24/2020 06/24/2020 06/24/2020 06/24/2020 06/25/2020	\$124.51 \$1,120.63 \$299.87 \$899.62 \$3,298.61 \$539.78 \$2,800.74	\$118.86 \$1,070.37 \$235.00 \$810.00 \$3,058.00 \$475.20 \$2,720.00	\$0.00 \$0.00 \$0.00 \$0.00 \$0.00 \$0.00 \$0.00	\$0.00 \$0.00 \$0.00 \$0.00 \$0.00 \$0.00 \$0.00	\$5.65 \$50.26 \$64.87 \$89.62 \$240.61 \$64.58 \$80.74	
Subtotals	33,800.00000			\$9,083.76	\$8,487.43	\$0.00	\$0.00	\$596.33	
***TOP SHIPS INC COMMON STOCK CUSIP: Y8897Y164	4,000.00000 7,480.00000 3,000.00000 5,520.00000	06/23/2020 06/23/2020 06/23/2020 06/23/2020	06/24/2020 06/24/2020 06/24/2020 06/24/2020	\$705.51 \$1,319.30 \$529.13 \$973.60	\$708.00 \$1,323.96 \$495.00 \$975.38	\$0.00 \$0.00 \$0.00 \$0.00	\$2.49 \$4.66 \$0.00 \$1.78	(\$2.49) (\$4.66) \$34.13 (\$1.78)	

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2020 FORM 1099-B: PROCEEDS FROM BROKER AND BARTER EXCHANGE TRANSACTIONS, CONTINUED

OMB NO. 1545-0715

Covered Short-Term Gains or Losses on Gross Proceeds

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

Box 6: Gross Proceeds

Box 5: Box Not Checked (Covered Security)

Box 12: Basis Reported to the IRS

Box 2: Type of Gain or Loss –**Short-Term**

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Description of property CUSIP (Box 1a)	Quantity Sold	Date Acquired (Box 1b)	Date Sold or Disposed (Box 1c)	Proceeds (Box 1d)	Cost or Other Basis (Box 1e)	Accrued Market Discount (Box 1f)	Wash Sale Loss Disallowed (Box 1g)	Gain/Loss Amount	Additional Information
***TOP SHIPS INC COMMON STOCK CUSIP: Y8897Y164	3,000.00000	06/23/2020	06/24/2020	\$436.64	\$436.87	\$0.00	\$0.00	(\$0.23)	
	3,000.00000	06/23/2020	06/30/2020	\$407.63	\$450.97	\$0.00	\$0.00	(\$43.34)	
	1,000.00000	06/23/2020	06/30/2020	\$135.88	\$150.62	\$0.00	\$0.00	(\$14.74)	
	2,520.00000	06/23/2020	06/30/2020	\$342.41	\$386.37	\$0.00	\$0.00	(\$43.96)	
	7,480.00000	06/23/2020	06/30/2020	\$1,016.36	\$1,149.10	\$0.00	\$0.00	(\$132.74)	
	3,000.00000	06/24/2020	06/24/2020	\$428.63	\$427.50	\$0.00	\$0.00	\$1.13	
Subtotals	40,000.00000			\$6,295.09	\$6,503.77	\$0.00	\$8.93	(\$208.68)	
459 ITEMS – TOTAL				\$732,857.04	\$782,238.97	\$0.00	\$13,972.36	(\$49,381.93)	

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2020 FORM 1099-B: PROCEEDS FROM BROKER AND BARTER EXCHANGE TRANSACTIONS, CONTINUED

OMB NO. 1545-0715

Unknown Term Gains or Losses on Gross Proceeds

Report on **Form 8949, Code X**** –Either **Part I** or **Part II** with **Box B** or **Box E** checked

Box 6: Gross Proceeds

Box 5: Box Checked (Noncovered Security)

Box 12: Basis Not Reported to the IRS

Box 2: Type of Gain or Loss –~~Short-Term~~or ~~Long-Term~~

The 1099-B data referenced by a Box Number is reported to the IRS. Taxpayers must identify missing data to determine what box to check on Form 8949. The additional information not referenced by a Box Number is not reported to the IRS, but may be helpful to complete your return.

Description of property CUSIP (Box 1a)	Quantity Sold	Date Acquired	Date Sold or Disposed (Box 1c)	Proceeds/ Reported to IRS (Box 1d)	Cost or Other Basis	Accrued Market Discount	Wash Sale Loss Disallowed	Gain/Loss Amount	Additional Information
UNITED STATES OIL FUND LP UNITS ETF CUSIP: 91232N108	583.00000	N/A	04/23/2020	\$1,556.67	N/A	N/A	N/A	N/A	
1 ITEMS – TOTAL				\$1,556.67	N/A	N/A	N/A	N/A	

FOOTNOTES

** IRS Instructions require Unknown Term transactions to be assigned Code X for reporting on Form 8949. Please refer to your Tax Advisor for further advice.

N/A – Information marked as N/A is not available to your broker. This may happen if you purchased the securities outside of the firm and/or transferred them from another account. Please consult your own records to determine whether you have any additional information about these transactions.

SHORT SALE – Short sales covered in December that settle in January will be reported on your Form 1099-B in the year they are settled.

END OF 2020 FORM 1099-B

THIS IS YOUR FORM 1099 (COPY B FOR RECIPIENT). KEEP FOR YOUR RECORDS.
 This is important tax information and is being furnished to the IRS. 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.

Form 1099-B (OMB NO. 1545-0715)

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

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

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

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

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

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

Box 1a. Shows a brief description of the item or service for which amounts are being reported. For 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, the Instructions for Schedule D (Form 1040 or 1040-SR), or Pub. 550 for details.

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

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

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

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

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

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

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

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

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

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. Show state(s)/local income tax information.

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

Form 1099-B (OMB NO. 1545-0715)**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.

E*TRADE SECURITIES LLC
PO BOX 484
JERSEY CITY, NJ 07303-0484

Account No: 45064037
Account Name: UGANDARA REDDY LINGALA
Recipient's TIN: ***-**-3245
Account Executive No:
ORIGINAL: 12/31/2020

RECIPIENT'S Name, Street Address, City, State, and Zip Code

UGANDARA REDDY LINGALA
675 FLARESTAR AVE UNIT H
COLUMBUS, OH 43240-2288

PAYER'S TIN: 35-2167612

PAYER'S Name, Street, City, State, Zip Code:

E*TRADE SECURITIES LLC
PO BOX 484
JERSEY CITY, NJ 07303-0484

Telephone Number: 800 387 2331

FATCA Filing Requirement

2020 FORMS 1099 FOR MISCELLANEOUS INCOME

2020 FORM 1099-MISC		OMB NO. 1545-0115
IRS Box	MISCELLANEOUS INCOME	Amount
1.	Rents	-
2.	Royalties	-
3.	Other income	-
4.	Federal income tax withheld	-
8.	Substitute payments in lieu of dividends or interest	\$19.28
10.	Gross proceeds paid to an attorney	-

END OF 2020 FORM 1099-MISC

END OF 2020 CONSOLIDATED FORMS 1099

THIS IS YOUR FORM 1099 (COPY B FOR RECIPIENT). KEEP FOR YOUR RECORDS.
This is important tax information and is being furnished to the IRS. 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.

Form 1099-MISC (OMB NO. 1545-0115)

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

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

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

Amounts shown may be subject to self-employment (SE) tax. If your net income from SE is \$400 or more, you must file a return and compute your SE tax on Schedule SE (Form 1040 or 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 1040-SR). However, report rents on Schedule C (Form 1040 or 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 1040-SR). However, report payments for a working interest as explained in the Schedule E (Form 1040 or 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 1040-SR), or Form 1040-NR 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 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 1040-SR). See Pub. 334.

Box 6. For individuals, report 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 1040-SR), or Form 1040-NR.

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

Boxes 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.

E*TRADE SECURITIES LLC
PO BOX 484
JERSEY CITY, NJ 07303-0484

Account No: 45064037
Account Name: UGANDARA REDDY LINGALA
Recipient's TIN: ***-**-3245
Account Executive No:
ORIGINAL: 12/31/2020

DETAILS OF 2020 FEES & CHARGES

Date	Description	CUSIP	Transaction Description	Amount	Foreign Tax Paid	Additional Information
06/26/20	FROM 05/26 THRU 06/25 @ 8.950%		MARGIN INTEREST CHRG	\$31.09		
07/27/20	FROM 06/26 THRU 07/25 @ 8.950%		MARGIN INTEREST CHRG	\$43.84		
10/26/20	FROM 09/26 THRU 10/25 @ 8.950%		MARGIN INTEREST CHRG	\$7.73		
	Subtotals			\$82.66		
	Total Margin Interest			\$82.66		

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Account Executive No:
ORIGINAL: 12/31/2020

DETAILS OF 2020 FORM 1099-DIV

Date	Security Description	CUSIP	Transaction Description	Amount	Foreign Tax Paid	Federal Tax Withheld	Additional information
07/29/20	TWO HARBORS INVESTMENT CORP COMMON	90187B408	NONQUALIFIED DIVIDEND	\$378.00	-	-	
Total Non-Qualified Dividends (included in Box 1a)				\$378.00			
Total Ordinary Dividends (Box 1a)				\$378.00			
06/30/20	INVESCO MORTGAGE CAPITAL INC	46131B100	RETURN OF CAPITAL	\$1,250.00	-	-	
07/28/20	INVESCO MORTGAGE CAPITAL INC	46131B100	RETURN OF CAPITAL	\$45.67	-	-	
Total Nondividend Distributions (Box 3)				\$1,295.67			

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Recipient's TIN: ***-**-3245
Account Executive No:
ORIGINAL: 12/31/2020

DETAILS OF 2020 FORM 1099-MISC

Date	Security Description	CUSIP	Transaction Description	Amount	Federal Tax Withheld	Additional information
07/28/20	INVESCO MORTGAGE CAPITAL INC	46131B100	SUB PAYMENT, DIV	\$19.28	-	
Total Sub Payments (Box 8)				\$19.28		

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 Account Executive No:
 ORIGINAL: 12/31/2020

2020 INVESTMENT DETAILS

DETAILS OF 2020 INVESTMENT ACTIVITY

Date	Security Description	CUSIP	Transaction Description	Quantity	Price	Amount	Additional Information
07/21/20	AG MORTGAGE INVESTMENT TRUST INC	001228105	PURCHASE	10.000	\$3.24	\$32.40	
07/21/20	AG MORTGAGE INVESTMENT TRUST INC	001228105	PURCHASE	2,990.000	\$3.25	\$9,717.50	
07/21/20	AG MORTGAGE INVESTMENT TRUST INC	001228105	SELL	1,500.000	\$3.19	\$4,788.16	
07/21/20	AG MORTGAGE INVESTMENT TRUST INC	001228105	SELL	1,500.000	\$3.19	\$4,789.96	
09/29/20	ADIAL PHARMACEUTICALS INC COMMON STOCK	00688A106	PURCHASE	300.000	\$3.47	\$1,040.97	
09/29/20	ADIAL PHARMACEUTICALS INC COMMON STOCK	00688A106	PURCHASE	3,000.000	\$3.53	\$10,590.00	
10/05/20	ADIAL PHARMACEUTICALS INC COMMON STOCK	00688A106	PURCHASE	300.000	\$2.13	\$639.00	
10/05/20	ADIAL PHARMACEUTICALS INC COMMON STOCK	00688A106	PURCHASE	500.000	\$2.13	\$1,064.95	
10/12/20	ADIAL PHARMACEUTICALS INC COMMON STOCK	00688A106	SELL	1,500.000	\$1.92	\$2,879.90	
10/12/20	ADIAL PHARMACEUTICALS INC COMMON STOCK	00688A106	SELL	2,600.000	\$1.93	\$5,017.57	
02/18/20	AGILE THERAPEUTICS INC COM	00847L100	PURCHASE	2,400.000	\$3.91	\$9,392.88	
02/18/20	AGILE THERAPEUTICS INC COM	00847L100	PURCHASE	2,460.000	\$3.84	\$9,437.79	
03/26/20	AGILE THERAPEUTICS INC COM	00847L100	PURCHASE	198.000	\$1.99	\$394.02	
03/26/20	AGILE THERAPEUTICS INC COM	00847L100	PURCHASE	302.000	\$1.98	\$597.93	
04/03/20	AGILE THERAPEUTICS INC COM	00847L100	PURCHASE	500.000	\$1.86	\$932.50	
06/05/20	AGILE THERAPEUTICS INC COM	00847L100	SELL	200.000	\$2.87	\$573.96	
06/05/20	AGILE THERAPEUTICS INC COM	00847L100	SELL	200.000	\$2.87	\$573.96	
06/12/20	AGILE THERAPEUTICS INC COM	00847L100	SELL	460.000	\$2.79	\$1,285.11	
06/16/20	AGILE THERAPEUTICS INC COM	00847L100	SELL	500.000	\$2.88	\$1,439.95	
06/16/20	AGILE THERAPEUTICS INC COM	00847L100	SELL	1,000.000	\$2.89	\$2,893.81	
06/16/20	AGILE THERAPEUTICS INC COM	00847L100	SELL	1,000.000	\$2.89	\$2,892.91	
06/17/20	AGILE THERAPEUTICS INC COM	00847L100	SELL	500.000	\$2.88	\$1,440.90	
06/17/20	AGILE THERAPEUTICS INC COM	00847L100	SELL	600.000	\$2.84	\$1,705.21	
06/17/20	AGILE THERAPEUTICS INC COM	00847L100	SELL	1,400.000	\$2.84	\$3,975.88	
06/19/20	AMPIO PHARMACEUTICALS INC	03209T109	PURCHASE	200.000	\$0.63	\$125.80	
06/19/20	AMPIO PHARMACEUTICALS INC	03209T109	PURCHASE	300.000	\$0.63	\$187.53	
06/19/20	AMPIO PHARMACEUTICALS INC	03209T109	PURCHASE	500.000	\$0.63	\$312.50	
06/19/20	AMPIO PHARMACEUTICALS INC	03209T109	PURCHASE	1,400.000	\$0.63	\$882.00	
06/22/20	AMPIO PHARMACEUTICALS INC	03209T109	PURCHASE	700.000	\$0.59	\$413.00	
07/06/20	AMPIO PHARMACEUTICALS INC	03209T109	SELL	268.000	\$0.67	\$180.75	
07/06/20	AMPIO PHARMACEUTICALS INC	03209T109	SELL	300.000	\$0.66	\$198.04	
07/06/20	AMPIO PHARMACEUTICALS INC	03209T109	SELL	400.000	\$0.67	\$269.54	
07/06/20	AMPIO PHARMACEUTICALS INC	03209T109	SELL	1,000.000	\$0.67	\$664.86	
07/06/20	AMPIO PHARMACEUTICALS INC	03209T109	SELL	1,132.000	\$0.66	\$746.97	

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Account No: 45064037
 Account Name: UGANDARA REDDY LINGALA
 Recipient's TIN: ***-**-3245
 Account Executive No:
 ORIGINAL: 12/31/2020

DETAILS OF 2020 INVESTMENT ACTIVITY, CONTINUED

Date	Security Description	CUSIP	Transaction Description	Quantity	Price	Amount	Additional Information
07/20/20	AMPIO PHARMACEUTICALS INC	03209T109	PURCHASE	1,000.000	\$0.80	\$800.00	
07/20/20	AMPIO PHARMACEUTICALS INC	03209T109	SELL	1,000.000	\$0.83	\$829.86	
07/29/20	AMPIO PHARMACEUTICALS INC	03209T109	PURCHASE	3,000.000	\$1.04	\$3,125.40	
07/29/20	AMPIO PHARMACEUTICALS INC	03209T109	SELL	3,000.000	\$1.06	\$3,181.96	
09/21/20	AMPIO PHARMACEUTICALS INC	03209T109	PURCHASE	600.000	\$1.13	\$675.00	
09/21/20	AMPIO PHARMACEUTICALS INC	03209T109	PURCHASE	600.000	\$1.12	\$671.40	
09/21/20	AMPIO PHARMACEUTICALS INC	03209T109	PURCHASE	700.000	\$1.05	\$731.50	
09/21/20	AMPIO PHARMACEUTICALS INC	03209T109	PURCHASE	900.000	\$1.11	\$1,003.50	
09/21/20	AMPIO PHARMACEUTICALS INC	03209T109	PURCHASE	3,000.000	\$1.18	\$3,525.00	
09/22/20	AMPIO PHARMACEUTICALS INC	03209T109	SELL	5,800.000	\$0.98	\$5,704.12	
08/11/20	***ARBUTUS BIOPHARMA CORP COM	03879J100	PURCHASE	500.000	\$4.23	\$2,115.00	
08/11/20	***ARBUTUS BIOPHARMA CORP COM	03879J100	PURCHASE	4,000.000	\$4.22	\$16,880.00	
08/12/20	***ARBUTUS BIOPHARMA CORP COM	03879J100	PURCHASE	500.000	\$3.63	\$1,814.25	
08/18/20	***ARBUTUS BIOPHARMA CORP COM	03879J100	SELL	500.000	\$3.45	\$1,722.40	
08/19/20	***ARBUTUS BIOPHARMA CORP COM	03879J100	SELL	4,500.000	\$3.50	\$15,749.11	
09/15/20	***ARBUTUS BIOPHARMA CORP COM	03879J100	PURCHASE	150.000	\$2.95	\$442.50	
09/15/20	***ARBUTUS BIOPHARMA CORP COM	03879J100	PURCHASE	200.000	\$3.05	\$609.98	
09/15/20	***ARBUTUS BIOPHARMA CORP COM	03879J100	PURCHASE	500.000	\$3.09	\$1,544.95	
09/22/20	***ARBUTUS BIOPHARMA CORP COM	03879J100	SELL	850.000	\$3.01	\$2,554.09	
05/18/20	***AURORA CANNABIS INC COM NEW	05156X884	PURCHASE	80.000	\$19.00	\$1,520.00	
05/18/20	***AURORA CANNABIS INC COM NEW	05156X884	SELL	80.000	\$19.41	\$1,552.75	
06/01/20	AVINGER INC COMMON STOCK	053734604	PURCHASE	652.000	\$0.36	\$232.11	
06/01/20	AVINGER INC COMMON STOCK	053734604	PURCHASE	2,000.000	\$0.37	\$733.00	
06/11/20	AVINGER INC COMMON STOCK	053734604	SELL	50.000	\$0.46	\$23.03	
06/11/20	AVINGER INC COMMON STOCK	053734604	SELL	1,000.000	\$0.46	\$460.06	
06/11/20	AVINGER INC COMMON STOCK	053734604	SELL	1,602.000	\$0.46	\$736.71	
06/12/20	AVINGER INC COMMON STOCK	053734604	PURCHASE	3,500.000	\$0.44	\$1,524.25	
06/15/20	AVINGER INC COMMON STOCK	053734604	SELL	1,000.000	\$0.46	\$458.86	
06/15/20	AVINGER INC COMMON STOCK	053734604	SELL	2,500.000	\$0.46	\$1,147.42	
06/23/20	AVINGER INC COMMON STOCK	053734604	PURCHASE	4,000.000	\$0.38	\$1,500.00	
06/23/20	AVINGER INC COMMON STOCK	053734604	PURCHASE	10,000.000	\$0.39	\$3,850.00	
07/20/20	AVINGER INC COMMON STOCK	053734604	PURCHASE	650.000	\$0.39	\$252.29	
07/20/20	AVINGER INC COMMON STOCK	053734604	PURCHASE	2,000.000	\$0.38	\$766.00	
07/20/20	AVINGER INC COMMON STOCK	053734604	PURCHASE	2,500.000	\$0.39	\$986.68	
07/20/20	AVINGER INC COMMON STOCK	053734604	PURCHASE	2,500.000	\$0.40	\$1,000.25	
07/20/20	AVINGER INC COMMON STOCK	053734604	PURCHASE	5,000.000	\$0.38	\$1,922.27	

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E*TRADE SECURITIES LLC
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Account No: 45064037
 Account Name: UGANDARA REDDY LINGALA
 Recipient's TIN: ***-**-3245
 Account Executive No:
 ORIGINAL: 12/31/2020

DETAILS OF 2020 INVESTMENT ACTIVITY, CONTINUED

Date	Security Description	CUSIP	Transaction Description	Quantity	Price	Amount	Additional Information
07/20/20	AVINGER INC COMMON STOCK	053734604	SELL	4,150.000	\$0.42	\$1,732.10	
07/20/20	AVINGER INC COMMON STOCK	053734604	SELL	22,500.000	\$0.42	\$9,447.11	
07/21/20	AVINGER INC COMMON STOCK	053734604	PURCHASE	2,500.000	\$0.43	\$1,085.00	
07/21/20	AVINGER INC COMMON STOCK	053734604	PURCHASE	4,900.000	\$0.43	\$2,101.61	
07/31/20	AVINGER INC COMMON STOCK	053734604	SELL	200.000	\$0.47	\$94.79	
07/31/20	AVINGER INC COMMON STOCK	053734604	SELL	7,200.000	\$0.48	\$3,419.78	
08/11/20	AVINGER INC COMMON STOCK	053734604	PURCHASE	600.000	\$0.53	\$315.00	
08/11/20	AVINGER INC COMMON STOCK	053734604	PURCHASE	4,000.000	\$0.53	\$2,136.00	
08/11/20	AVINGER INC COMMON STOCK	053734604	PURCHASE	5,000.000	\$0.54	\$2,700.00	
08/11/20	AVINGER INC COMMON STOCK	053734604	PURCHASE	10,000.000	\$0.54	\$5,400.00	
08/11/20	AVINGER INC COMMON STOCK	053734604	PURCHASE	10,000.000	\$0.54	\$5,400.00	
08/11/20	AVINGER INC COMMON STOCK	053734604	PURCHASE	10,000.000	\$0.54	\$5,350.00	
08/11/20	AVINGER INC COMMON STOCK	053734604	SELL	500.000	\$0.53	\$263.73	
08/11/20	AVINGER INC COMMON STOCK	053734604	SELL	39,100.000	\$0.53	\$20,620.14	
08/18/20	AVINGER INC COMMON STOCK	053734604	PURCHASE	300.000	\$0.68	\$204.30	
08/18/20	AVINGER INC COMMON STOCK	053734604	PURCHASE	500.000	\$0.66	\$328.15	
08/18/20	AVINGER INC COMMON STOCK	053734604	PURCHASE	1,000.000	\$0.68	\$682.00	
08/18/20	AVINGER INC COMMON STOCK	053734604	PURCHASE	1,000.000	\$0.70	\$698.00	
08/18/20	AVINGER INC COMMON STOCK	053734604	PURCHASE	1,000.000	\$0.66	\$660.00	
08/18/20	AVINGER INC COMMON STOCK	053734604	PURCHASE	1,300.000	\$0.68	\$885.04	
08/18/20	AVINGER INC COMMON STOCK	053734604	PURCHASE	1,800.000	\$0.68	\$1,215.00	
08/18/20	AVINGER INC COMMON STOCK	053734604	PURCHASE	2,500.000	\$0.68	\$1,700.00	
08/18/20	AVINGER INC COMMON STOCK	053734604	PURCHASE	3,000.000	\$0.68	\$2,040.00	
08/19/20	AVINGER INC COMMON STOCK	053734604	PURCHASE	700.000	\$0.67	\$469.07	
08/19/20	AVINGER INC COMMON STOCK	053734604	PURCHASE	1,000.000	\$0.70	\$700.00	
08/19/20	AVINGER INC COMMON STOCK	053734604	PURCHASE	1,700.000	\$0.71	\$1,198.50	
08/19/20	AVINGER INC COMMON STOCK	053734604	PURCHASE	5,000.000	\$0.71	\$3,550.00	
08/19/20	AVINGER INC COMMON STOCK	053734604	PURCHASE	5,000.000	\$0.71	\$3,550.00	
08/19/20	AVINGER INC COMMON STOCK	053734604	PURCHASE	10,000.000	\$0.71	\$7,100.00	
08/19/20	AVINGER INC COMMON STOCK	053734604	SELL	13,100.000	\$0.73	\$9,561.22	
08/24/20	AVINGER INC COMMON STOCK	053734604	PURCHASE	1,700.000	\$0.45	\$766.70	
08/24/20	AVINGER INC COMMON STOCK	053734604	PURCHASE	4,000.000	\$0.46	\$1,822.00	
09/14/20	AVINGER INC COMMON STOCK	053734604	SELL	28,400.000	\$0.33	\$9,368.41	
08/07/20	BIONANO GENOMICS INC COMMON STOCK	09075F107	PURCHASE	100.000	\$0.99	\$99.37	
08/07/20	BIONANO GENOMICS INC COMMON STOCK	09075F107	PURCHASE	100.000	\$0.92	\$91.85	
08/07/20	BIONANO GENOMICS INC COMMON STOCK	09075F107	PURCHASE	240.000	\$0.90	\$215.28	

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 Recipient's TIN: ***-**-3245
 Account Executive No:
 ORIGINAL: 12/31/2020

DETAILS OF 2020 INVESTMENT ACTIVITY, CONTINUED

Date	Security Description	CUSIP	Transaction Description	Quantity	Price	Amount	Additional Information
08/07/20	BIONANO GENOMICS INC COMMON STOCK	09075F107	PURCHASE	500.000	\$0.93	\$465.00	
08/07/20	BIONANO GENOMICS INC COMMON STOCK	09075F107	PURCHASE	500.000	\$0.92	\$460.00	
08/07/20	BIONANO GENOMICS INC COMMON STOCK	09075F107	PURCHASE	500.000	\$0.93	\$462.75	
08/07/20	BIONANO GENOMICS INC COMMON STOCK	09075F107	PURCHASE	600.000	\$0.85	\$508.20	
08/07/20	BIONANO GENOMICS INC COMMON STOCK	09075F107	PURCHASE	1,000.000	\$0.85	\$848.00	
08/07/20	BIONANO GENOMICS INC COMMON STOCK	09075F107	PURCHASE	1,400.000	\$0.99	\$1,386.28	
08/07/20	BIONANO GENOMICS INC COMMON STOCK	09075F107	PURCHASE	1,900.000	\$0.99	\$1,889.55	
08/18/20	BIONANO GENOMICS INC COMMON STOCK	09075F107	SELL	240.000	\$0.68	\$163.16	
08/18/20	BIONANO GENOMICS INC COMMON STOCK	09075F107	SELL	6,600.000	\$0.68	\$4,487.77	
06/12/20	BOEING CO	097023105	PURCHASE	2.000	\$182.30	\$364.60	
06/12/20	BOEING CO	097023105	PURCHASE	8.000	\$184.97	\$1,479.76	
06/16/20	BOEING CO	097023105	SELL	10.000	\$199.81	\$1,998.00	
07/14/20	BOXLIGHT CORPORATION CLASS A COMMON STO	103197109	PURCHASE	500.000	\$1.91	\$955.00	
07/14/20	BOXLIGHT CORPORATION CLASS A COMMON STO	103197109	PURCHASE	600.000	\$2.23	\$1,338.00	
07/14/20	BOXLIGHT CORPORATION CLASS A COMMON STO	103197109	SELL	500.000	\$2.30	\$1,149.91	
07/15/20	BOXLIGHT CORPORATION CLASS A COMMON STO	103197109	PURCHASE	50.000	\$2.24	\$111.75	
07/15/20	BOXLIGHT CORPORATION CLASS A COMMON STO	103197109	PURCHASE	200.000	\$2.22	\$443.00	
07/15/20	BOXLIGHT CORPORATION CLASS A COMMON STO	103197109	PURCHASE	200.000	\$2.23	\$445.00	
07/15/20	BOXLIGHT CORPORATION CLASS A COMMON STO	103197109	PURCHASE	200.000	\$2.36	\$472.00	
07/15/20	BOXLIGHT CORPORATION CLASS A COMMON STO	103197109	PURCHASE	300.000	\$2.45	\$735.00	
07/15/20	BOXLIGHT CORPORATION CLASS A COMMON STO	103197109	PURCHASE	300.000	\$2.43	\$729.00	
07/15/20	BOXLIGHT CORPORATION CLASS A COMMON STO	103197109	PURCHASE	500.000	\$2.46	\$1,230.00	
07/15/20	BOXLIGHT CORPORATION CLASS A COMMON STO	103197109	PURCHASE	500.000	\$2.43	\$1,215.00	
07/15/20	BOXLIGHT CORPORATION CLASS A COMMON STO	103197109	PURCHASE	750.000	\$2.28	\$1,710.00	
07/15/20	BOXLIGHT CORPORATION CLASS A COMMON STO	103197109	SELL	600.000	\$2.50	\$1,499.89	
07/15/20	BOXLIGHT CORPORATION CLASS A COMMON STO	103197109	SELL	1,000.000	\$2.55	\$2,549.82	
07/16/20	BOXLIGHT CORPORATION CLASS A COMMON STO	103197109	PURCHASE	40.000	\$4.05	\$162.00	
07/16/20	BOXLIGHT CORPORATION CLASS A COMMON STO	103197109	PURCHASE	200.000	\$4.25	\$850.00	
07/16/20	BOXLIGHT CORPORATION CLASS A COMMON STO	103197109	PURCHASE	280.000	\$3.78	\$1,058.40	
07/16/20	BOXLIGHT CORPORATION CLASS A COMMON STO	103197109	PURCHASE	300.000	\$3.77	\$1,131.00	
07/16/20	BOXLIGHT CORPORATION CLASS A COMMON STO	103197109	PURCHASE	625.000	\$3.78	\$2,362.50	
07/16/20	BOXLIGHT CORPORATION CLASS A COMMON STO	103197109	PURCHASE	1,000.000	\$3.72	\$3,720.00	
07/16/20	BOXLIGHT CORPORATION CLASS A COMMON STO	103197109	PURCHASE	1,300.000	\$4.45	\$5,785.00	
07/16/20	BOXLIGHT CORPORATION CLASS A COMMON STO	103197109	SELL	580.000	\$4.07	\$2,360.47	
07/16/20	BOXLIGHT CORPORATION CLASS A COMMON STO	103197109	SELL	855.000	\$3.36	\$2,872.72	
07/16/20	BOXLIGHT CORPORATION CLASS A COMMON STO	103197109	SELL	1,000.000	\$3.75	\$3,749.79	

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 Account Executive No:
 ORIGINAL: 12/31/2020

DETAILS OF 2020 INVESTMENT ACTIVITY, CONTINUED

Date	Security Description	CUSIP	Transaction Description	Quantity	Price	Amount	Additional Information
07/16/20	BOXLIGHT CORPORATION CLASS A COMMON STO	103197109	SELL	1,145.000	\$3.36	\$3,846.97	
07/20/20	BOXLIGHT CORPORATION CLASS A COMMON STO	103197109	SELL	166.000	\$3.09	\$512.90	
07/20/20	BOXLIGHT CORPORATION CLASS A COMMON STO	103197109	SELL	334.000	\$3.09	\$1,033.19	
07/23/20	BOXLIGHT CORPORATION CLASS A COMMON STO	103197109	PURCHASE	35.000	\$3.19	\$111.56	
07/23/20	BOXLIGHT CORPORATION CLASS A COMMON STO	103197109	PURCHASE	200.000	\$3.18	\$635.00	
07/23/20	BOXLIGHT CORPORATION CLASS A COMMON STO	103197109	PURCHASE	200.000	\$3.18	\$635.54	
07/23/20	BOXLIGHT CORPORATION CLASS A COMMON STO	103197109	PURCHASE	400.000	\$3.16	\$1,262.32	
07/31/20	BOXLIGHT CORPORATION CLASS A COMMON STO	103197109	SELL	2,500.000	\$2.11	\$5,274.58	
03/26/20	CENTURY CASINOS INC	156492100	PURCHASE	19.000	\$2.88	\$54.72	
03/26/20	CENTURY CASINOS INC	156492100	PURCHASE	481.000	\$2.89	\$1,387.97	
03/27/20	CENTURY CASINOS INC	156492100	PURCHASE	610.000	\$2.57	\$1,565.75	
04/03/20	CENTURY CASINOS INC	156492100	PURCHASE	500.000	\$2.37	\$1,185.00	
04/08/20	CENTURY CASINOS INC	156492100	PURCHASE	1,685.000	\$2.86	\$4,819.10	
04/08/20	CENTURY CASINOS INC	156492100	SELL	52.000	\$3.00	\$155.72	
04/08/20	CENTURY CASINOS INC	156492100	SELL	58.000	\$2.99	\$173.49	
04/08/20	CENTURY CASINOS INC	156492100	SELL	1,500.000	\$2.99	\$4,488.77	
04/14/20	CENTURY CASINOS INC	156492100	SELL	1,685.000	\$3.43	\$5,779.22	
04/16/20	CENTURY CASINOS INC	156492100	PURCHASE	155.000	\$3.19	\$494.12	
04/21/20	CENTURY CASINOS INC	156492100	PURCHASE	324.000	\$3.09	\$1,001.16	
04/27/20	CENTURY CASINOS INC	156492100	SELL	479.000	\$3.50	\$1,674.01	
06/04/20	CENTURY CASINOS INC	156492100	PURCHASE	3.000	\$5.98	\$17.93	
06/05/20	CENTURY CASINOS INC	156492100	SELL	3.000	\$6.58	\$19.73	
06/15/20	***CIELO S A SPONSORED ADR	171778202	PURCHASE	1,000.000	\$1.06	\$1,064.95	
06/15/20	***CIELO S A SPONSORED ADR	171778202	PURCHASE	4,000.000	\$1.04	\$4,167.20	
06/15/20	***CIELO S A SPONSORED ADR	171778202	PURCHASE	4,600.000	\$1.06	\$4,880.95	
06/23/20	***CIELO S A SPONSORED ADR	171778202	SELL	3,000.000	\$1.02	\$3,039.62	
06/23/20	***CIELO S A SPONSORED ADR	171778202	SELL	6,600.000	\$1.01	\$6,660.11	
02/12/20	CISCO SYSTEMS INC	17275R102	PURCHASE	500.000	\$49.84	\$24,922.50	
02/18/20	CISCO SYSTEMS INC	17275R102	SELL	200.000	\$46.46	\$9,292.49	
02/18/20	CISCO SYSTEMS INC	17275R102	SELL	200.000	\$46.39	\$9,278.39	
02/20/20	CISCO SYSTEMS INC	17275R102	SELL	100.000	\$46.35	\$4,635.11	
05/18/20	CLEAR CHANNEL OUTDOOR HOLDINGS INC COMM	18453H106	PURCHASE	1,700.000	\$0.96	\$1,632.00	
05/20/20	CLEAR CHANNEL OUTDOOR HOLDINGS INC COMM	18453H106	SELL	1,700.000	\$0.97	\$1,648.76	
09/29/20	***CREDIT SUISSE AG X LNKS MNTHLY PY 2X	22539T282	PURCHASE	250.000	\$3.88	\$969.30	
10/05/20	***CREDIT SUISSE AG X LNKS MNTHLY PY 2X	22539T282	SELL	250.000	\$4.08	\$1,021.19	
05/21/20	DIREXION SHS ETF TR DAILY S&P OIL & GAS	25460G500	PURCHASE	13.000	\$37.66	\$489.53	

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Account No: 45064037
 Account Name: UGANDARA REDDY LINGALA
 Recipient's TIN: ***-**-3245
 Account Executive No:
 ORIGINAL: 12/31/2020

DETAILS OF 2020 INVESTMENT ACTIVITY, CONTINUED

Date	Security Description	CUSIP	Transaction Description	Quantity	Price	Amount	Additional Information
05/26/20	DIREXION SHS ETF TR DAILY S&P OIL & GAS	25460G500	SELL	13.000	\$39.15	\$508.93	
05/26/20	DONNELLEY R R & SONS CO COM NEW	257867200	PURCHASE	400.000	\$1.30	\$520.00	
05/28/20	DONNELLEY R R & SONS CO COM NEW	257867200	PURCHASE	345.000	\$1.16	\$400.20	
06/01/20	DONNELLEY R R & SONS CO COM NEW	257867200	PURCHASE	643.000	\$1.09	\$698.04	
06/11/20	DONNELLEY R R & SONS CO COM NEW	257867200	SELL	1,388.000	\$1.42	\$1,970.74	
09/15/20	DONNELLEY R R & SONS CO COM NEW	257867200	PURCHASE	300.000	\$1.39	\$416.31	
09/15/20	DONNELLEY R R & SONS CO COM NEW	257867200	PURCHASE	500.000	\$1.39	\$693.17	
09/17/20	DONNELLEY R R & SONS CO COM NEW	257867200	SELL	800.000	\$1.42	\$1,137.15	
07/29/20	EASTMAN KODAK COMPANY COM NEW	277461406	PURCHASE	80.000	\$39.93	\$3,194.39	
07/29/20	EASTMAN KODAK COMPANY COM NEW	277461406	SELL	80.000	\$42.00	\$3,359.91	
08/10/20	***FENNEC PHARMACEUTICALS INC COMMON ST	31447P100	PURCHASE	380.000	\$9.55	\$3,629.11	
08/11/20	***FENNEC PHARMACEUTICALS INC COMMON ST	31447P100	SELL	180.000	\$6.50	\$1,169.97	
08/11/20	***FENNEC PHARMACEUTICALS INC COMMON ST	31447P100	SELL	200.000	\$6.40	\$1,279.95	
07/15/20	***GENETIC TECHNOLOGIES LTD SPONSORED A	37185R307	PURCHASE	100.000	\$5.46	\$546.00	
07/15/20	***GENETIC TECHNOLOGIES LTD SPONSORED A	37185R307	PURCHASE	100.000	\$5.43	\$543.00	
07/15/20	***GENETIC TECHNOLOGIES LTD SPONSORED A	37185R307	PURCHASE	100.000	\$5.40	\$540.00	
07/20/20	***GENETIC TECHNOLOGIES LTD SPONSORED A	37185R307	SELL	300.000	\$4.48	\$1,342.79	
09/15/20	***GENETIC TECHNOLOGIES LTD SPONSORED A	37185R307	PURCHASE	100.000	\$3.99	\$399.33	
09/22/20	***GENETIC TECHNOLOGIES LTD SPONSORED A	37185R307	SELL	100.000	\$3.53	\$352.98	
06/18/20	GENIUS BRANDS INTERNATIONAL INC COMMON	37229T301	PURCHASE	500.000	\$2.79	\$1,395.00	
06/18/20	GENIUS BRANDS INTERNATIONAL INC COMMON	37229T301	SELL	500.000	\$2.79	\$1,394.90	
12/29/20	GEVO INC COMMON STOCK	374396406	PURCHASE	125.000	\$4.99	\$623.61	
08/11/20	GRAN TIERRA ENERGY INC	38500T101	PURCHASE	280.000	\$0.32	\$89.57	
08/11/20	GRAN TIERRA ENERGY INC	38500T101	PURCHASE	500.000	\$0.32	\$160.00	
08/11/20	GRAN TIERRA ENERGY INC	38500T101	PURCHASE	3,500.000	\$0.33	\$1,151.15	
08/11/20	GRAN TIERRA ENERGY INC	38500T101	PURCHASE	3,800.000	\$0.33	\$1,249.82	
09/15/20	GRAN TIERRA ENERGY INC	38500T101	SELL	8,080.000	\$0.23	\$1,849.04	
04/24/20	GROUPON INC COMMON STOCK	399473107	PURCHASE	1,600.000	\$1.08	\$1,725.92	
04/28/20	GROUPON INC COMMON STOCK	399473107	SELL	1,600.000	\$1.40	\$2,239.76	
10/20/20	HERTZ GLOBAL HOLDINGS INC COM	42806J106	PURCHASE	430.000	\$1.83	\$786.90	
12/29/20	HERTZ GLOBAL HOLDINGS INC COMMON STOCK	42806J106	SELL	430.000	\$1.51	\$642.13	
07/21/20	***IMMURON LIMITED AMERICAN DEPOSITARY	45254U101	PURCHASE	200.000	\$19.50	\$3,899.98	
07/23/20	***IMMURON LIMITED AMERICAN DEPOSITARY	45254U101	SELL	200.000	\$13.85	\$2,769.91	
04/07/20	INOVIO PHARMACEUTICALS INC COM	45773H201	PURCHASE	188.000	\$8.63	\$1,621.82	
04/09/20	INOVIO PHARMACEUTICALS INC COM	45773H201	SELL	188.000	\$8.08	\$1,519.04	
09/15/20	INOVIO PHARMACEUTICALS INC COM	45773H201	PURCHASE	50.000	\$14.70	\$735.00	

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DETAILS OF 2020 INVESTMENT ACTIVITY, CONTINUED

Date	Security Description	CUSIP	Transaction Description	Quantity	Price	Amount	Additional Information
09/15/20	INOVIO PHARMACEUTICALS INC COM	45773H201	PURCHASE	50.000	\$12.83	\$641.45	
09/15/20	INOVIO PHARMACEUTICALS INC COM	45773H201	PURCHASE	50.000	\$12.91	\$645.50	
09/15/20	INOVIO PHARMACEUTICALS INC COM	45773H201	PURCHASE	50.000	\$13.01	\$650.66	
09/15/20	INOVIO PHARMACEUTICALS INC COM	45773H201	PURCHASE	142.000	\$14.59	\$2,071.78	
09/15/20	INOVIO PHARMACEUTICALS INC COM	45773H201	PURCHASE	158.000	\$14.60	\$2,306.80	
09/15/20	INOVIO PHARMACEUTICALS INC COM	45773H201	PURCHASE	300.000	\$14.40	\$4,320.00	
09/16/20	INOVIO PHARMACEUTICALS INC COM	45773H201	PURCHASE	30.000	\$17.55	\$526.35	
09/16/20	INOVIO PHARMACEUTICALS INC COM	45773H201	PURCHASE	50.000	\$17.47	\$873.50	
09/16/20	INOVIO PHARMACEUTICALS INC COM	45773H201	PURCHASE	50.000	\$17.44	\$871.75	
09/16/20	INOVIO PHARMACEUTICALS INC COM	45773H201	PURCHASE	150.000	\$18.26	\$2,739.00	
09/16/20	INOVIO PHARMACEUTICALS INC COM	45773H201	PURCHASE	200.000	\$17.58	\$3,516.53	
09/16/20	INOVIO PHARMACEUTICALS INC COM	45773H201	PURCHASE	400.000	\$18.13	\$7,252.00	
09/16/20	INOVIO PHARMACEUTICALS INC COM	45773H201	PURCHASE	450.000	\$18.56	\$8,352.00	
09/16/20	INOVIO PHARMACEUTICALS INC COM	45773H201	SELL	300.000	\$18.20	\$5,459.83	
09/16/20	INOVIO PHARMACEUTICALS INC COM	45773H201	SELL	300.000	\$18.16	\$5,447.83	
09/16/20	INOVIO PHARMACEUTICALS INC COM	45773H201	SELL	330.000	\$18.05	\$5,957.81	
09/16/20	INOVIO PHARMACEUTICALS INC COM	45773H201	SELL	400.000	\$18.50	\$7,399.78	
09/16/20	INOVIO PHARMACEUTICALS INC COM	45773H201	SELL	800.000	\$16.00	\$12,799.61	
09/22/20	INOVIO PHARMACEUTICALS INC COM	45773H201	PURCHASE	4.000	\$17.43	\$69.72	
09/22/20	INOVIO PHARMACEUTICALS INC COM	45773H201	PURCHASE	120.000	\$17.65	\$2,117.54	
09/28/20	INOVIO PHARMACEUTICALS INC COM	45773H201	SELL	19.000	\$11.09	\$210.70	
09/28/20	INOVIO PHARMACEUTICALS INC COM	45773H201	SELL	105.000	\$11.10	\$1,165.46	
05/18/20	INVESCO MORTGAGE CAPITAL INC	46131B100	PURCHASE	1,000.000	\$2.79	\$2,788.50	
05/19/20	INVESCO MORTGAGE CAPITAL INC	46131B100	PURCHASE	500.000	\$3.15	\$1,575.00	
05/19/20	INVESCO MORTGAGE CAPITAL INC	46131B100	PURCHASE	1,000.000	\$3.18	\$3,180.00	
05/20/20	INVESCO MORTGAGE CAPITAL INC	46131B100	PURCHASE	350.000	\$2.93	\$1,025.47	
06/09/20	INVESCO MORTGAGE CAPITAL INC	46131B100	SELL	2,850.000	\$5.75	\$16,386.79	
06/11/20	INVESCO MORTGAGE CAPITAL INC	46131B100	PURCHASE	550.000	\$4.57	\$2,513.50	
06/11/20	INVESCO MORTGAGE CAPITAL INC	46131B100	PURCHASE	700.000	\$4.42	\$3,091.20	
06/11/20	INVESCO MORTGAGE CAPITAL INC	46131B100	PURCHASE	2,240.000	\$4.34	\$9,721.60	
06/11/20	INVESCO MORTGAGE CAPITAL INC	46131B100	SELL	1,250.000	\$4.66	\$5,829.85	
06/12/20	INVESCO MORTGAGE CAPITAL INC	46131B100	SELL	269.000	\$4.90	\$1,318.04	
06/15/20	INVESCO MORTGAGE CAPITAL INC	46131B100	SELL	1,971.000	\$4.39	\$8,652.26	
06/18/20	INVESCO MORTGAGE CAPITAL INC	46131B100	PURCHASE	500.000	\$4.50	\$2,250.00	
06/18/20	INVESCO MORTGAGE CAPITAL INC	46131B100	PURCHASE	2,500.000	\$4.57	\$11,425.00	
07/07/20	INVESCO MORTGAGE CAPITAL INC	46131B100	PURCHASE	80.000	\$3.17	\$253.60	

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 Recipient's TIN: ***-**-3245
 Account Executive No:
 ORIGINAL: 12/31/2020

DETAILS OF 2020 INVESTMENT ACTIVITY, CONTINUED

Date	Security Description	CUSIP	Transaction Description	Quantity	Price	Amount	Additional Information
07/07/20	INVESCO MORTGAGE CAPITAL INC	46131B100	PURCHASE	500.000	\$3.18	\$1,587.50	
07/09/20	INVESCO MORTGAGE CAPITAL INC	46131B100	SELL	580.000	\$3.32	\$1,925.48	
07/20/20	INVESCO MORTGAGE CAPITAL INC	46131B100	SELL	110.000	\$3.28	\$361.31	
07/21/20	INVESCO MORTGAGE CAPITAL INC	46131B100	SELL	637.000	\$3.33	\$2,122.61	
07/30/20	INVESCO MORTGAGE CAPITAL INC	46131B100	SELL	900.000	\$3.23	\$2,906.82	
07/30/20	INVESCO MORTGAGE CAPITAL INC	46131B100	SELL	1,500.000	\$3.23	\$4,844.86	
08/06/20	INVESCO MORTGAGE CAPITAL INC	46131B100	SELL	0.606	\$3.13	\$1.90	
08/06/20	INVESCO MORTGAGE CAPITAL INC	46131B100	SELL	100.000	\$3.13	\$312.98	
04/29/20	***LOMA NEGRA COMPANIA INDUSTRIAL ARGEN	54150E104	PURCHASE	600.000	\$3.66	\$2,193.00	
04/29/20	***LOMA NEGRA COMPANIA INDUSTRIAL ARGEN	54150E104	PURCHASE	2,400.000	\$3.66	\$8,778.48	
04/29/20	***LOMA NEGRA COMPANIA INDUSTRIAL ARGEN	54150E104	SELL	1,000.000	\$3.65	\$3,645.39	
05/05/20	***LOMA NEGRA COMPANIA INDUSTRIAL ARGEN	54150E104	SELL	300.000	\$3.34	\$1,002.65	
05/18/20	***LOMA NEGRA COMPANIA INDUSTRIAL ARGEN	54150E104	SELL	1,700.000	\$4.14	\$7,043.93	
04/09/20	MFA FINANCIAL INC	55272X102	PURCHASE	1,497.000	\$1.95	\$2,916.90	
04/14/20	MFA FINANCIAL INC	55272X102	PURCHASE	1,500.000	\$1.83	\$2,737.50	
04/15/20	MFA FINANCIAL INC	55272X102	PURCHASE	1,500.000	\$1.68	\$2,515.65	
04/28/20	MFA FINANCIAL INC	55272X102	PURCHASE	4,600.000	\$1.79	\$8,234.00	
04/28/20	MFA FINANCIAL INC	55272X102	SELL	4,497.000	\$1.83	\$8,235.53	
04/29/20	MFA FINANCIAL INC	55272X102	SELL	4,600.000	\$1.92	\$8,831.25	
05/20/20	MFA FINANCIAL INC	55272X102	PURCHASE	1,000.000	\$1.63	\$1,626.50	
05/21/20	MFA FINANCIAL INC	55272X102	SELL	1,000.000	\$1.66	\$1,663.84	
04/14/20	MARINUS PHARMACEUTICALS INC COM	56854Q101	PURCHASE	95.000	\$1.91	\$181.17	
04/14/20	MARINUS PHARMACEUTICALS INC COM	56854Q101	PURCHASE	500.000	\$1.90	\$951.50	
04/14/20	MARINUS PHARMACEUTICALS INC COM	56854Q101	PURCHASE	1,000.000	\$1.90	\$1,900.00	
04/24/20	MARINUS PHARMACEUTICALS INC COM	56854Q101	SELL	300.000	\$1.93	\$577.44	
04/24/20	MARINUS PHARMACEUTICALS INC COM	56854Q101	SELL	1,295.000	\$1.92	\$2,488.13	
05/07/20	MARINUS PHARMACEUTICALS INC COM	56854Q101	PURCHASE	1,000.000	\$2.07	\$2,070.00	
05/07/20	MARINUS PHARMACEUTICALS INC COM	56854Q101	SELL	1,000.000	\$2.17	\$2,171.73	
08/06/20	MARINUS PHARMACEUTICALS INC COM	56854Q101	PURCHASE	149.000	\$1.87	\$278.06	
08/06/20	MARINUS PHARMACEUTICALS INC COM	56854Q101	PURCHASE	160.000	\$1.95	\$311.58	
08/06/20	MARINUS PHARMACEUTICALS INC COM	56854Q101	PURCHASE	200.000	\$1.93	\$385.48	
08/06/20	MARINUS PHARMACEUTICALS INC COM	56854Q101	PURCHASE	240.000	\$1.93	\$462.00	
08/06/20	MARINUS PHARMACEUTICALS INC COM	56854Q101	PURCHASE	251.000	\$1.96	\$491.41	
08/06/20	MARINUS PHARMACEUTICALS INC COM	56854Q101	PURCHASE	300.000	\$1.92	\$576.00	
08/06/20	MARINUS PHARMACEUTICALS INC COM	56854Q101	PURCHASE	400.000	\$1.93	\$770.06	
08/07/20	MARINUS PHARMACEUTICALS INC COM	56854Q101	SELL	1,700.000	\$1.95	\$3,314.72	

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DETAILS OF 2020 INVESTMENT ACTIVITY, CONTINUED

Date	Security Description	CUSIP	Transaction Description	Quantity	Price	Amount	Additional Information
04/06/20	NANOVIRICIDES INC COMMON STOCK	630087302	PURCHASE	285.000	\$5.21	\$1,486.28	
04/07/20	NANOVIRICIDES INC COMMON STOCK	630087302	SELL	285.000	\$5.61	\$1,597.36	
06/10/20	NEW YORK MORTGAGE TRUST INC	649604501	PURCHASE	600.000	\$2.85	\$1,708.80	
06/15/20	NEW YORK MORTGAGE TRUST INC	649604501	SELL	600.000	\$3.00	\$1,799.95	
08/19/209	METERS BIOPHARMA INC COMMON STOCK	654405109	PURCHASE	4,500.000	\$1.06	\$4,770.00	
08/19/209	METERS BIOPHARMA INC COMMON STOCK	654405109	PURCHASE	5,000.000	\$0.99	\$4,940.50	
09/15/209	METERS BIOPHARMA INC COMMON STOCK	654405109	PURCHASE	500.000	\$0.71	\$353.30	
09/15/209	METERS BIOPHARMA INC COMMON STOCK	654405109	PURCHASE	500.000	\$0.70	\$348.25	
09/15/209	METERS BIOPHARMA INC COMMON STOCK	654405109	PURCHASE	1,000.000	\$0.71	\$705.90	
09/22/209	METERS BIOPHARMA INC COMMON STOCK	654405109	SELL	42.000	\$0.69	\$28.88	
09/22/209	METERS BIOPHARMA INC COMMON STOCK	654405109	SELL	100.000	\$0.69	\$68.78	
09/22/209	METERS BIOPHARMA INC COMMON STOCK	654405109	SELL	150.000	\$0.69	\$103.25	
09/22/209	METERS BIOPHARMA INC COMMON STOCK	654405109	SELL	400.000	\$0.69	\$275.66	
09/22/209	METERS BIOPHARMA INC COMMON STOCK	654405109	SELL	758.000	\$0.69	\$519.95	
09/22/209	METERS BIOPHARMA INC COMMON STOCK	654405109	SELL	1,500.000	\$0.69	\$1,032.69	
09/22/209	METERS BIOPHARMA INC COMMON STOCK	654405109	SELL	2,100.000	\$0.69	\$1,447.03	
09/22/209	METERS BIOPHARMA INC COMMON STOCK	654405109	SELL	6,450.000	\$0.69	\$4,423.83	
02/13/20	***NOKIA CORPORATION SPONSORED ADR REPS	654902204	PURCHASE	1,000.000	\$4.37	\$4,365.00	
02/20/20	***NOKIA CORPORATION SPONSORED ADR REPS	654902204	SELL	1,000.000	\$4.17	\$4,171.28	
10/07/20	OCEAN POWER TECHNOLOGIES INC COMMON STO	674870506	PURCHASE	100.000	\$2.97	\$297.00	
10/07/20	OCEAN POWER TECHNOLOGIES INC COMMON STO	674870506	PURCHASE	280.000	\$2.86	\$800.80	
10/07/20	OCEAN POWER TECHNOLOGIES INC COMMON STO	674870506	PURCHASE	720.000	\$2.87	\$2,066.40	
10/08/20	OCEAN POWER TECHNOLOGIES INC COMMON STO	674870506	SELL	1,100.000	\$2.27	\$2,491.31	
10/07/20	PIONEER POWER SOLUTIONS INC	723836300	PURCHASE	100.000	\$4.99	\$499.00	
10/07/20	PIONEER POWER SOLUTIONS INC	723836300	PURCHASE	150.000	\$5.00	\$750.00	
10/07/20	PIONEER POWER SOLUTIONS INC	723836300	PURCHASE	400.000	\$5.00	\$2,000.00	
10/08/20	PIONEER POWER SOLUTIONS INC	723836300	SELL	50.000	\$5.51	\$275.48	
10/08/20	PIONEER POWER SOLUTIONS INC	723836300	SELL	250.000	\$5.50	\$1,376.18	
10/08/20	PIONEER POWER SOLUTIONS INC	723836300	SELL	350.000	\$5.50	\$1,924.91	
06/01/20	QUALIGEN THERAPEUTICS INC COMMON STOCK	74754R103	SELL	280.000	\$5.95	\$1,665.93	
07/20/20	QUALIGEN THERAPEUTICS INC COMMON STOCK	74754R103	PURCHASE	300.000	\$5.13	\$1,539.00	
07/21/20	QUALIGEN THERAPEUTICS INC COMMON STOCK	74754R103	SELL	300.000	\$5.63	\$1,688.92	
07/29/20	QUALIGEN THERAPEUTICS INC COMMON STOCK	74754R103	PURCHASE	500.000	\$6.65	\$3,325.00	
07/30/20	QUALIGEN THERAPEUTICS INC COMMON STOCK	74754R103	PURCHASE	50.000	\$7.29	\$364.50	
07/30/20	QUALIGEN THERAPEUTICS INC COMMON STOCK	74754R103	PURCHASE	50.000	\$7.05	\$352.50	
07/30/20	QUALIGEN THERAPEUTICS INC COMMON STOCK	74754R103	PURCHASE	85.000	\$7.10	\$603.49	

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DETAILS OF 2020 INVESTMENT ACTIVITY, CONTINUED

Date	Security Description	CUSIP	Transaction Description	Quantity	Price	Amount	Additional Information
07/30/20	QUALIGEN THERAPEUTICS INC COMMON STOCK	74754R103	PURCHASE	100.000	\$7.20	\$720.00	
07/30/20	QUALIGEN THERAPEUTICS INC COMMON STOCK	74754R103	PURCHASE	215.000	\$7.10	\$1,526.50	
07/30/20	QUALIGEN THERAPEUTICS INC COMMON STOCK	74754R103	PURCHASE	400.000	\$7.12	\$2,848.00	
07/30/20	QUALIGEN THERAPEUTICS INC COMMON STOCK	74754R103	PURCHASE	400.000	\$7.00	\$2,799.96	
07/30/20	QUALIGEN THERAPEUTICS INC COMMON STOCK	74754R103	PURCHASE	550.000	\$7.30	\$4,015.00	
07/30/20	QUALIGEN THERAPEUTICS INC COMMON STOCK	74754R103	PURCHASE	600.000	\$7.14	\$4,283.94	
08/06/20	QUALIGEN THERAPEUTICS INC COMMON STOCK	74754R103	SELL	400.000	\$5.68	\$2,271.89	
08/07/20	QUALIGEN THERAPEUTICS INC COMMON STOCK	74754R103	SELL	250.000	\$5.47	\$1,367.43	
08/07/20	QUALIGEN THERAPEUTICS INC COMMON STOCK	74754R103	SELL	300.000	\$5.57	\$1,670.92	
08/11/20	QUALIGEN THERAPEUTICS INC COMMON STOCK	74754R103	SELL	2,000.000	\$5.68	\$11,349.50	
09/16/20	QURATE RETAIL INC SERIES A COMMON STOCK	74915M100	PURCHASE	800.000	\$6.84	\$5,470.80	
09/18/20	QURATE RETAIL INC SERIES A COMMON STOCK	74915M100	SELL	800.000	\$6.88	\$5,505.53	
10/07/20	RAVE RESTAURANT GROUP INC COM	754198109	PURCHASE	2,000.000	\$2.70	\$5,400.00	
10/07/20	RAVE RESTAURANT GROUP INC COM	754198109	SELL	2,000.000	\$0.94	\$1,880.31	
04/27/20	RAYONIER ADVANCED MATERIALS INC	75508B104	PURCHASE	1,445.000	\$1.17	\$1,686.60	
05/07/20	RAYONIER ADVANCED MATERIALS INC	75508B104	SELL	1,445.000	\$1.62	\$2,340.67	
05/15/20	REMARK HOLDINGS INC COMMON STOCK	75955K102	PURCHASE	3,000.000	\$1.43	\$4,275.00	
05/19/20	REMARK HOLDINGS INC COMMON STOCK	75955K102	SELL	3,000.000	\$1.90	\$5,699.51	
06/16/20	REMARK HOLDINGS INC COMMON STOCK	75955K102	PURCHASE	400.000	\$2.54	\$1,014.00	
06/16/20	REMARK HOLDINGS INC COMMON STOCK	75955K102	PURCHASE	1,000.000	\$2.51	\$2,511.50	
06/16/20	REMARK HOLDINGS INC COMMON STOCK	75955K102	PURCHASE	1,200.000	\$2.66	\$3,186.00	
06/17/20	REMARK HOLDINGS INC COMMON STOCK	75955K102	PURCHASE	550.000	\$2.58	\$1,419.00	
06/17/20	REMARK HOLDINGS INC COMMON STOCK	75955K102	PURCHASE	600.000	\$2.34	\$1,404.00	
06/29/20	REMARK HOLDINGS INC COMMON STOCK	75955K102	PURCHASE	70.000	\$2.35	\$164.33	
06/30/20	REMARK HOLDINGS INC COMMON STOCK	75955K102	PURCHASE	100.000	\$2.34	\$234.00	
06/30/20	REMARK HOLDINGS INC COMMON STOCK	75955K102	PURCHASE	200.000	\$2.36	\$472.00	
06/30/20	REMARK HOLDINGS INC COMMON STOCK	75955K102	PURCHASE	200.000	\$2.33	\$465.56	
06/30/20	REMARK HOLDINGS INC COMMON STOCK	75955K102	PURCHASE	200.000	\$2.35	\$470.00	
07/01/20	REMARK HOLDINGS INC COMMON STOCK	75955K102	PURCHASE	80.000	\$2.32	\$185.60	
07/02/20	REMARK HOLDINGS INC COMMON STOCK	75955K102	PURCHASE	800.000	\$2.28	\$1,824.00	
07/06/20	REMARK HOLDINGS INC COMMON STOCK	75955K102	PURCHASE	350.000	\$2.45	\$857.50	
07/06/20	REMARK HOLDINGS INC COMMON STOCK	75955K102	PURCHASE	500.000	\$2.41	\$1,205.00	
07/06/20	REMARK HOLDINGS INC COMMON STOCK	75955K102	PURCHASE	1,000.000	\$2.63	\$2,630.00	
07/06/20	REMARK HOLDINGS INC COMMON STOCK	75955K102	PURCHASE	2,000.000	\$2.65	\$5,300.00	
07/06/20	REMARK HOLDINGS INC COMMON STOCK	75955K102	PURCHASE	2,000.000	\$2.65	\$5,300.00	
07/06/20	REMARK HOLDINGS INC COMMON STOCK	75955K102	SELL	5,400.000	\$2.70	\$14,579.03	

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DETAILS OF 2020 INVESTMENT ACTIVITY, CONTINUED

Date	Security Description	CUSIP	Transaction Description	Quantity	Price	Amount	Additional Information
07/09/20	REMARK HOLDINGS INC COMMON STOCK	75955K102	PURCHASE	50.000	\$1.72	\$86.00	
07/09/20	REMARK HOLDINGS INC COMMON STOCK	75955K102	PURCHASE	50.000	\$1.74	\$87.00	
07/09/20	REMARK HOLDINGS INC COMMON STOCK	75955K102	PURCHASE	500.000	\$1.82	\$910.00	
07/09/20	REMARK HOLDINGS INC COMMON STOCK	75955K102	PURCHASE	500.000	\$1.81	\$905.00	
07/30/20	REMARK HOLDINGS INC COMMON STOCK	75955K102	SELL	6,950.000	\$1.35	\$9,381.46	
07/31/20	REMARK HOLDINGS INC COMMON STOCK	75955K102	PURCHASE	300.000	\$1.65	\$495.00	
07/31/20	REMARK HOLDINGS INC COMMON STOCK	75955K102	PURCHASE	500.000	\$1.73	\$862.50	
07/31/20	REMARK HOLDINGS INC COMMON STOCK	75955K102	PURCHASE	500.000	\$1.74	\$868.55	
07/31/20	REMARK HOLDINGS INC COMMON STOCK	75955K102	PURCHASE	910.000	\$1.76	\$1,598.96	
07/31/20	REMARK HOLDINGS INC COMMON STOCK	75955K102	PURCHASE	1,000.000	\$1.80	\$1,800.00	
07/31/20	REMARK HOLDINGS INC COMMON STOCK	75955K102	PURCHASE	1,000.000	\$1.53	\$1,530.00	
07/31/20	REMARK HOLDINGS INC COMMON STOCK	75955K102	PURCHASE	1,090.000	\$1.75	\$1,907.50	
07/31/20	REMARK HOLDINGS INC COMMON STOCK	75955K102	SELL	1,000.000	\$1.60	\$1,599.84	
07/31/20	REMARK HOLDINGS INC COMMON STOCK	75955K102	SELL	2,000.000	\$1.85	\$3,699.67	
08/06/20	REMARK HOLDINGS INC COMMON STOCK	75955K102	SELL	300.000	\$1.66	\$498.06	
08/10/20	REMARK HOLDINGS INC COMMON STOCK	75955K102	SELL	2,000.000	\$1.93	\$3,859.67	
07/15/20	RIGEL PHARMACEUTICALS INC	766559603	PURCHASE	500.000	\$3.32	\$1,657.95	
07/15/20	RIGEL PHARMACEUTICALS INC	766559603	SELL	500.000	\$3.23	\$1,614.95	
05/05/20	RITTER PHARMACEUTICALS INC COMMON STOCK	767836307	PURCHASE	1,670.000	\$0.60	\$1,002.00	
05/07/20	RITTER PHARMACEUTICALS INC COMMON STOCK	767836307	PURCHASE	650.000	\$0.42	\$269.75	
05/08/20	RITTER PHARMACEUTICALS INC COMMON STOCK	767836307	PURCHASE	4,000.000	\$0.46	\$1,852.00	
05/12/20	RITTER PHARMACEUTICALS INC COMMON STOCK	767836307	SELL	2,100.000	\$0.72	\$1,511.71	
05/12/20	RITTER PHARMACEUTICALS INC COMMON STOCK	767836307	SELL	4,220.000	\$0.72	\$3,017.15	
05/13/20	RITTER PHARMACEUTICALS INC COMMON STOCK	767836307	PURCHASE	7,800.000	\$0.58	\$4,524.00	
05/15/20	RITTER PHARMACEUTICALS INC COMMON STOCK	767836307	SELL	240.000	\$0.65	\$154.88	
05/15/20	RITTER PHARMACEUTICALS INC COMMON STOCK	767836307	SELL	7,560.000	\$0.65	\$4,875.95	
05/18/20	RITTER PHARMACEUTICALS INC COMMON STOCK	767836307	PURCHASE	2,000.000	\$0.61	\$1,220.00	
05/18/20	RITTER PHARMACEUTICALS INC COMMON STOCK	767836307	PURCHASE	5,000.000	\$0.63	\$3,125.00	
07/06/20	ROSEHILL RESOURCES INC CLASS A COMMON S	777385105	PURCHASE	450.000	\$0.49	\$220.50	
07/06/20	ROSEHILL RESOURCES INC CLASS A COMMON S	777385105	PURCHASE	1,200.000	\$0.49	\$584.40	
07/06/20	ROSEHILL RESOURCES INC CLASS A COMMON S	777385105	PURCHASE	1,300.000	\$0.49	\$635.70	
07/13/20	ROSEHILL RESOURCES INC CLASS A COMMON S	777385105	SELL	590.000	\$0.40	\$236.04	
07/13/20	ROSEHILL RESOURCES INC CLASS A COMMON S	777385105	SELL	2,360.000	\$0.40	\$943.93	
01/27/20	***SHOPIFY INC CL A	82509L107	PURCHASE	33.000	\$456.29	\$15,057.71	
01/27/20	***SHOPIFY INC CL A	82509L107	SELL	33.000	\$455.16	\$15,020.12	
02/20/20	SMITH MICRO SOFTWARE INC COMMON STOCK	832154207	PURCHASE	724.000	\$5.82	\$4,213.75	

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DETAILS OF 2020 INVESTMENT ACTIVITY, CONTINUED

Date	Security Description	CUSIP	Transaction Description	Quantity	Price	Amount	Additional Information
02/20/20	SMITH MICRO SOFTWARE INC COMMON STOCK	832154207	PURCHASE	800.000	\$5.83	\$4,660.48	
02/24/20	SMITH MICRO SOFTWARE INC COMMON STOCK	832154207	PURCHASE	180.000	\$5.58	\$1,004.40	
04/03/20	SMITH MICRO SOFTWARE INC COMMON STOCK	832154207	PURCHASE	215.000	\$4.06	\$873.61	
04/21/20	SMITH MICRO SOFTWARE INC COMMON STOCK	832154207	SELL	300.000	\$5.08	\$1,524.76	
04/23/20	SMITH MICRO SOFTWARE INC COMMON STOCK	832154207	SELL	40.000	\$5.23	\$209.11	
06/11/20	SMITH MICRO SOFTWARE INC COMMON STOCK	832154207	SELL	300.000	\$4.44	\$1,331.96	
06/11/20	SMITH MICRO SOFTWARE INC COMMON STOCK	832154207	SELL	379.000	\$4.35	\$1,648.56	
06/11/20	SMITH MICRO SOFTWARE INC COMMON STOCK	832154207	SELL	400.000	\$4.44	\$1,775.91	
06/11/20	SMITH MICRO SOFTWARE INC COMMON STOCK	832154207	SELL	500.000	\$4.36	\$2,179.89	
09/22/20	SORRENTO THERAPEUTICS INC	83587F202	PURCHASE	30.000	\$10.57	\$316.96	
09/22/20	SORRENTO THERAPEUTICS INC	83587F202	PURCHASE	40.000	\$10.62	\$424.70	
09/22/20	SORRENTO THERAPEUTICS INC	83587F202	PURCHASE	50.000	\$10.23	\$511.29	
09/22/20	SORRENTO THERAPEUTICS INC	83587F202	PURCHASE	50.000	\$10.67	\$533.38	
09/22/20	SORRENTO THERAPEUTICS INC	83587F202	PURCHASE	100.000	\$10.87	\$1,086.90	
09/22/20	SORRENTO THERAPEUTICS INC	83587F202	PURCHASE	200.000	\$10.60	\$2,119.00	
09/22/20	SORRENTO THERAPEUTICS INC	83587F202	PURCHASE	200.000	\$10.68	\$2,136.00	
09/22/20	SORRENTO THERAPEUTICS INC	83587F202	PURCHASE	300.000	\$10.75	\$3,225.00	
09/22/20	SORRENTO THERAPEUTICS INC	83587F202	PURCHASE	300.000	\$10.69	\$3,206.52	
09/22/20	SORRENTO THERAPEUTICS INC	83587F202	PURCHASE	400.000	\$10.58	\$4,231.00	
09/22/20	SORRENTO THERAPEUTICS INC	83587F202	PURCHASE	500.000	\$10.75	\$5,374.95	
09/22/20	SORRENTO THERAPEUTICS INC	83587F202	PURCHASE	850.000	\$10.10	\$8,580.75	
09/22/20	SORRENTO THERAPEUTICS INC	83587F202	PURCHASE	1,500.000	\$11.00	\$16,500.00	
09/22/20	SORRENTO THERAPEUTICS INC	83587F202	SELL	900.000	\$10.50	\$9,451.66	
09/22/20	SORRENTO THERAPEUTICS INC	83587F202	SELL	1,480.000	\$10.90	\$16,131.46	
09/29/20	SORRENTO THERAPEUTICS INC	83587F202	SELL	1,000.000	\$11.66	\$11,656.02	
09/30/20	SORRENTO THERAPEUTICS INC	83587F202	SELL	50.000	\$11.63	\$581.47	
09/30/20	SORRENTO THERAPEUTICS INC	83587F202	SELL	100.000	\$11.64	\$1,163.96	
10/05/20	SORRENTO THERAPEUTICS INC	83587F202	SELL	990.000	\$10.82	\$10,706.49	
02/06/20	SPRINT CORPORATION COM SER 1	85207U105	PURCHASE	3,500.000	\$4.65	\$16,274.65	
02/11/20	SPRINT CORPORATION COM SER 1	85207U105	SELL	200.000	\$8.37	\$1,673.96	
02/11/20	SPRINT CORPORATION COM SER 1	85207U105	SELL	3,300.000	\$8.37	\$27,629.27	
02/19/20	STREAMLINE HEALTH SOLUTIONS INC	86323X106	PURCHASE	1,000.000	\$1.35	\$1,350.00	
02/19/20	STREAMLINE HEALTH SOLUTIONS INC	86323X106	SELL	400.000	\$1.42	\$567.93	
02/19/20	STREAMLINE HEALTH SOLUTIONS INC	86323X106	SELL	600.000	\$1.43	\$857.91	
04/23/20	TARONIS TECHNOLOGIES INC COMMON STOCK	876214206	PURCHASE	80.000	\$0.24	\$19.20	
04/23/20	TARONIS TECHNOLOGIES INC COMMON STOCK	876214206	PURCHASE	820.000	\$0.25	\$206.63	

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 Account Executive No:
 ORIGINAL: 12/31/2020

DETAILS OF 2020 INVESTMENT ACTIVITY, CONTINUED

Date	Security Description	CUSIP	Transaction Description	Quantity	Price	Amount	Additional Information
04/24/20	TARONIS TECHNOLOGIES INC COMMON STOCK	876214206	PURCHASE	2,000.000	\$0.31	\$620.00	
04/24/20	TARONIS TECHNOLOGIES INC COMMON STOCK	876214206	PURCHASE	3,100.000	\$0.31	\$961.00	
04/24/20	TARONIS TECHNOLOGIES INC COMMON STOCK	876214206	PURCHASE	4,000.000	\$0.31	\$1,240.00	
05/15/20	TARONIS TECHNOLOGIES INC COMMON STOCK	876214206	SELL	3,634.000	\$0.10	\$368.91	
05/15/20	TARONIS TECHNOLOGIES INC COMMON STOCK	876214206	SELL	6,366.000	\$0.10	\$660.33	
04/29/20	THERAPEUTICSMD INC COMMON STOCK	88338N107	PURCHASE	2,000.000	\$1.62	\$3,239.80	
04/30/20	THERAPEUTICSMD INC COMMON STOCK	88338N107	PURCHASE	324.000	\$1.58	\$511.24	
07/15/20	THERAPEUTICSMD INC COMMON STOCK	88338N107	SELL	2,324.000	\$1.63	\$3,790.58	
07/20/20	THERAPEUTICSMD INC COMMON STOCK	88338N107	PURCHASE	1,100.000	\$1.85	\$2,029.62	
07/20/20	THERAPEUTICSMD INC COMMON STOCK	88338N107	SELL	1,100.000	\$1.87	\$2,056.82	
07/20/20	TONIX PHARMACEUTICALS HOLDING CORP COMM	890260706	PURCHASE	50.000	\$1.47	\$73.50	
07/20/20	TONIX PHARMACEUTICALS HOLDING CORP COMM	890260706	PURCHASE	500.000	\$1.44	\$720.00	
07/20/20	TONIX PHARMACEUTICALS HOLDING CORP COMM	890260706	PURCHASE	1,000.000	\$1.45	\$1,450.00	
07/20/20	TONIX PHARMACEUTICALS HOLDING CORP COMM	890260706	PURCHASE	1,200.000	\$1.15	\$1,378.80	
07/20/20	TONIX PHARMACEUTICALS HOLDING CORP COMM	890260706	PURCHASE	1,950.000	\$1.50	\$2,925.00	
07/20/20	TONIX PHARMACEUTICALS HOLDING CORP COMM	890260706	SELL	1,200.000	\$1.20	\$1,439.82	
07/20/20	TONIX PHARMACEUTICALS HOLDING CORP COMM	890260706	SELL	3,500.000	\$1.52	\$5,319.46	
07/21/20	TONIX PHARMACEUTICALS HOLDING CORP COMM	890260706	PURCHASE	450.000	\$1.68	\$754.11	
07/21/20	TONIX PHARMACEUTICALS HOLDING CORP COMM	890260706	PURCHASE	800.000	\$1.85	\$1,480.00	
07/21/20	TONIX PHARMACEUTICALS HOLDING CORP COMM	890260706	PURCHASE	1,000.000	\$1.70	\$1,700.00	
07/21/20	TONIX PHARMACEUTICALS HOLDING CORP COMM	890260706	PURCHASE	1,800.000	\$1.91	\$3,435.30	
07/21/20	TONIX PHARMACEUTICALS HOLDING CORP COMM	890260706	PURCHASE	1,900.000	\$1.87	\$3,545.40	
07/27/20	TONIX PHARMACEUTICALS HOLDING CORP COMM	890260706	PURCHASE	100.000	\$1.33	\$133.00	
07/31/20	TONIX PHARMACEUTICALS HOLDING CORP COMM	890260706	PURCHASE	500.000	\$1.41	\$704.80	
07/31/20	TONIX PHARMACEUTICALS HOLDING CORP COMM	890260706	PURCHASE	1,000.000	\$1.30	\$1,298.50	
07/31/20	TONIX PHARMACEUTICALS HOLDING CORP COMM	890260706	PURCHASE	1,000.000	\$1.42	\$1,420.00	
07/31/20	TONIX PHARMACEUTICALS HOLDING CORP COMM	890260706	PURCHASE	1,000.000	\$1.41	\$1,406.54	
08/11/20	TONIX PHARMACEUTICALS HOLDING CORP COMM	890260706	SELL	4.000	\$1.12	\$4.47	
08/11/20	TONIX PHARMACEUTICALS HOLDING CORP COMM	890260706	SELL	9,546.000	\$1.04	\$9,926.48	
06/19/20	TREVENA INC	89532E109	PURCHASE	3,300.000	\$1.58	\$5,208.39	
06/22/20	TREVENA INC	89532E109	SELL	3,300.000	\$1.63	\$5,378.49	
06/25/20	TREVENA INC	89532E109	PURCHASE	1,150.000	\$1.72	\$1,972.25	
07/07/20	TREVENA INC	89532E109	SELL	1,150.000	\$1.73	\$1,989.31	
07/16/20	TREVENA INC	89532E109	PURCHASE	200.000	\$1.84	\$368.00	
07/16/20	TREVENA INC	89532E109	SELL	200.000	\$1.88	\$374.97	
07/20/20	TREVENA INC	89532E109	PURCHASE	1,500.000	\$2.00	\$2,993.10	

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 ORIGINAL: 12/31/2020

DETAILS OF 2020 INVESTMENT ACTIVITY, CONTINUED

Date	Security Description	CUSIP	Transaction Description	Quantity	Price	Amount	Additional Information
07/21/20	TREVENA INC	89532E109	SELL	627.000	\$2.11	\$1,322.87	
07/21/20	TREVENA INC	89532E109	SELL	873.000	\$2.02	\$1,767.69	
06/09/20	TWO HARBORS INVESTMENT CORP COMMON STOC	90187B408	PURCHASE	700.000	\$5.91	\$4,133.50	
06/09/20	TWO HARBORS INVESTMENT CORP COMMON STOC	90187B408	PURCHASE	2,000.000	\$5.91	\$11,819.80	
07/20/20	TWO HARBORS INVESTMENT CORP COMMON STOC	90187B408	SELL	700.000	\$5.17	\$3,622.33	
07/20/20	TWO HARBORS INVESTMENT CORP COMMON STOC	90187B408	SELL	1,000.000	\$5.17	\$5,169.86	
07/21/20	TWO HARBORS INVESTMENT CORP COMMON STOC	90187B408	SELL	1,000.000	\$5.23	\$5,231.26	
04/21/20	UNITED STATES OIL FUND LP UNITS ETF	91232N108	PURCHASE	583.000	\$2.60	\$1,518.42	
04/23/20	UNITED STATES OIL FUND LP UNITS ETF	91232N108	SELL	583.000	\$2.67	\$1,556.67	
06/17/20	URBAN ONE INC CLASS D COMMON STOCK	91705J204	PURCHASE	39.000	\$3.45	\$134.55	
06/17/20	URBAN ONE INC CLASS D COMMON STOCK	91705J204	PURCHASE	400.000	\$3.10	\$1,240.00	
06/17/20	URBAN ONE INC CLASS D COMMON STOCK	91705J204	PURCHASE	400.000	\$3.45	\$1,380.00	
06/17/20	URBAN ONE INC CLASS D COMMON STOCK	91705J204	PURCHASE	1,561.000	\$3.46	\$5,400.90	
06/18/20	URBAN ONE INC CLASS D COMMON STOCK	91705J204	SELL	100.000	\$3.70	\$369.98	
06/18/20	URBAN ONE INC CLASS D COMMON STOCK	91705J204	SELL	600.000	\$3.68	\$2,208.48	
06/18/20	URBAN ONE INC CLASS D COMMON STOCK	91705J204	SELL	700.000	\$3.70	\$2,589.86	
06/18/20	URBAN ONE INC CLASS D COMMON STOCK	91705J204	SELL	1,000.000	\$3.85	\$3,849.79	
06/22/20	URBAN ONE INC CLASS D COMMON STOCK	91705J204	PURCHASE	120.000	\$3.06	\$367.20	
06/22/20	URBAN ONE INC CLASS D COMMON STOCK	91705J204	PURCHASE	300.000	\$2.94	\$880.92	
06/22/20	URBAN ONE INC CLASS D COMMON STOCK	91705J204	PURCHASE	500.000	\$2.99	\$1,493.20	
06/22/20	URBAN ONE INC CLASS D COMMON STOCK	91705J204	PURCHASE	580.000	\$3.07	\$1,780.60	
06/22/20	URBAN ONE INC CLASS D COMMON STOCK	91705J204	PURCHASE	600.000	\$2.97	\$1,783.62	
06/25/20	URBAN ONE INC CLASS D COMMON STOCK	91705J204	SELL	2,100.000	\$2.55	\$5,354.63	
09/16/20	VAXART INC COMMON STOCK	92243A200	PURCHASE	50.000	\$8.08	\$404.00	
09/16/20	VAXART INC COMMON STOCK	92243A200	PURCHASE	100.000	\$8.15	\$815.00	
09/16/20	VAXART INC COMMON STOCK	92243A200	PURCHASE	800.000	\$8.27	\$6,615.92	
09/22/20	VAXART INC COMMON STOCK	92243A200	PURCHASE	50.000	\$8.72	\$436.00	
09/22/20	VAXART INC COMMON STOCK	92243A200	SELL	1,000.000	\$8.75	\$8,746.38	
06/10/20	WESTERN ASSET MORTGAGE CAPITAL CORPORAT	95790D105	PURCHASE	2,840.000	\$3.25	\$9,230.00	
06/18/20	WESTERN ASSET MORTGAGE CAPITAL CORPORAT	95790D105	SELL	1.000	\$2.87	\$2.86	
06/18/20	WESTERN ASSET MORTGAGE CAPITAL CORPORAT	95790D105	SELL	2,839.000	\$2.83	\$8,034.13	
05/21/20	XPRESSPA GROUP INC COMMON STOCK	98420U604	PURCHASE	3,250.000	\$0.52	\$1,690.00	
06/10/20	XPRESSPA GROUP INC COMMON STOCK	98420U604	SELL	1.000	\$1.74	\$1.73	
06/19/20	XPRESSPA GROUP INC COMMON STOCK	98420U703	SELL	500.000	\$4.86	\$2,431.38	
06/19/20	XPRESSPA GROUP INC COMMON STOCK	98420U703	SELL	583.000	\$4.87	\$2,839.07	
05/08/20	***ZOMEDICA PHARMACEUTICALS CORP COM	98979F107	PURCHASE	1,250.000	\$0.26	\$321.25	

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 Account Name: UGANDARA REDDY LINGALA
 Recipient's TIN: ***-**-3245

Account Executive No:

ORIGINAL: 12/31/2020

DETAILS OF 2020 INVESTMENT ACTIVITY, CONTINUED

Date	Security Description	CUSIP	Transaction Description	Quantity	Price	Amount	Additional Information
05/27/20	***ZOMEDICA PHARMACEUTICALS CORP COM	98979F107	PURCHASE	115.000	\$0.15	\$17.02	
06/04/20	***ZOMEDICA PHARMACEUTICALS CORP COM	98979F107	SELL	1,365.000	\$0.17	\$228.47	
01/13/20	ZUORA INC CLASS A COMMON STOCK	98983V106	SELL	965.000	\$15.47	\$14,932.67	
01/21/20	ZUORA INC CLASS A COMMON STOCK	98983V106	PURCHASE	983.000	\$15.18	\$14,921.94	
01/22/20	ZUORA INC CLASS A COMMON STOCK	98983V106	SELL	983.000	\$15.41	\$15,150.64	
01/27/20	ZUORA INC CLASS A COMMON STOCK	98983V106	PURCHASE	1,010.000	\$14.97	\$15,115.05	
02/04/20	ZUORA INC CLASS A COMMON STOCK	98983V106	SELL	1,010.000	\$16.27	\$16,435.36	
09/14/20	ZUORA INC CLASS A COMMON STOCK	98983V106	PURCHASE	1,000.000	\$9.22	\$9,224.20	
09/15/20	ZUORA INC CLASS A COMMON STOCK	98983V106	SELL	500.000	\$9.49	\$4,744.88	
09/15/20	ZUORA INC CLASS A COMMON STOCK	98983V106	SELL	500.000	\$9.49	\$4,744.88	
09/16/20	ZUORA INC CLASS A COMMON STOCK	98983V106	PURCHASE	1,200.000	\$9.24	\$11,082.00	
09/16/20	ZUORA INC CLASS A COMMON STOCK	98983V106	SELL	1,200.000	\$9.50	\$11,393.60	
09/29/20	***APTORUM GROUP LIMITED CLASS A ORDINA	G6096M106	PURCHASE	100.000	\$12.18	\$1,218.00	
09/29/20	***APTORUM GROUP LIMITED CLASS A ORDINA	G6096M106	SELL	100.000	\$7.98	\$797.97	
06/18/20	***VALARIS PLC CLASS A ORDINARY SHARES	G9402V109	PURCHASE	1,700.000	\$0.92	\$1,564.00	
06/25/20	***VALARIS PLC CLASS A ORDINARY SHARES	G9402V109	SELL	300.000	\$0.59	\$176.95	
06/25/20	***VALARIS PLC CLASS A ORDINARY SHARES	G9402V109	SELL	1,400.000	\$0.59	\$826.51	
04/23/20	***TRANSOCEAN LTD US LISTED	H8817H100	PURCHASE	1,560.000	\$0.99	\$1,544.40	
04/24/20	***TRANSOCEAN LTD US LISTED	H8817H100	SELL	500.000	\$0.96	\$479.85	
04/24/20	***TRANSOCEAN LTD US LISTED	H8817H100	SELL	1,060.000	\$0.96	\$1,017.23	
06/04/20	***INTEC PHARMA LTD ORDINARY SHARES	M53644106	PURCHASE	646.000	\$0.38	\$242.90	
06/04/20	***INTEC PHARMA LTD ORDINARY SHARES	M53644106	PURCHASE	1,800.000	\$0.44	\$790.20	
06/05/20	***INTEC PHARMA LTD ORDINARY SHARES	M53644106	PURCHASE	487.000	\$0.37	\$180.19	
06/05/20	***INTEC PHARMA LTD ORDINARY SHARES	M53644106	PURCHASE	1,113.000	\$0.37	\$411.14	
06/05/20	***INTEC PHARMA LTD ORDINARY SHARES	M53644106	PURCHASE	1,530.000	\$0.38	\$573.75	
06/16/20	***INTEC PHARMA LTD ORDINARY SHARES	M53644106	PURCHASE	6,000.000	\$0.37	\$2,226.00	
06/23/20	***INTEC PHARMA LTD ORDINARY SHARES	M53644106	SELL	11,576.000	\$0.31	\$3,587.10	
07/07/20	***SEANERGY MARITIME HOLDINGS CORP COMM	Y73760194	CASH IN LIEU		-	\$1.08	
07/29/20	***SEANERGY MARITIME HOLDINGS CORP COMM	Y73760194	SELL	2,062.000	\$1.52	\$3,123.61	
06/16/20	***SEANERGY MARITIME HOLDINGS CORP COMM	Y73760301	PURCHASE	700.000	\$0.17	\$118.86	
06/16/20	***SEANERGY MARITIME HOLDINGS CORP COMM	Y73760301	PURCHASE	6,300.000	\$0.17	\$1,070.37	
06/17/20	***SEANERGY MARITIME HOLDINGS CORP COMM	Y73760301	SELL	7,000.000	\$0.18	\$1,245.14	
06/23/20	***SEANERGY MARITIME HOLDINGS CORP COMM	Y73760301	PURCHASE	1,000.000	\$0.24	\$235.00	
06/23/20	***SEANERGY MARITIME HOLDINGS CORP COMM	Y73760301	PURCHASE	1,800.000	\$0.26	\$475.20	
06/23/20	***SEANERGY MARITIME HOLDINGS CORP COMM	Y73760301	PURCHASE	3,000.000	\$0.27	\$810.00	
06/23/20	***SEANERGY MARITIME HOLDINGS CORP COMM	Y73760301	PURCHASE	11,000.000	\$0.28	\$3,058.00	

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DETAILS OF 2020 INVESTMENT ACTIVITY, CONTINUED

Date	Security Description	CUSIP	Transaction Description	Quantity	Price	Amount	Additional Information
06/24/20	***SEANERGY MARITIME HOLDINGS CORP COMM	Y73760301	PURCHASE	2,000.000	\$0.29	\$570.00	
06/24/20	***SEANERGY MARITIME HOLDINGS CORP COMM	Y73760301	PURCHASE	3,000.000	\$0.31	\$924.00	
06/24/20	***SEANERGY MARITIME HOLDINGS CORP COMM	Y73760301	PURCHASE	3,000.000	\$0.30	\$900.00	
06/24/20	***SEANERGY MARITIME HOLDINGS CORP COMM	Y73760301	PURCHASE	3,000.000	\$0.29	\$870.00	
06/24/20	***SEANERGY MARITIME HOLDINGS CORP COMM	Y73760301	PURCHASE	4,000.000	\$0.30	\$1,180.00	
06/24/20	***SEANERGY MARITIME HOLDINGS CORP COMM	Y73760301	PURCHASE	5,000.000	\$0.28	\$1,400.00	
06/24/20	***SEANERGY MARITIME HOLDINGS CORP COMM	Y73760301	SELL	16,800.000	\$0.30	\$5,037.88	
06/25/20	***SEANERGY MARITIME HOLDINGS CORP COMM	Y73760301	PURCHASE	2,000.000	\$0.27	\$540.00	
06/25/20	***SEANERGY MARITIME HOLDINGS CORP COMM	Y73760301	PURCHASE	2,000.000	\$0.21	\$420.00	
06/25/20	***SEANERGY MARITIME HOLDINGS CORP COMM	Y73760301	PURCHASE	3,000.000	\$0.27	\$810.00	
06/25/20	***SEANERGY MARITIME HOLDINGS CORP COMM	Y73760301	PURCHASE	3,000.000	\$0.25	\$746.70	
06/25/20	***SEANERGY MARITIME HOLDINGS CORP COMM	Y73760301	PURCHASE	3,000.000	\$0.27	\$810.00	
06/25/20	***SEANERGY MARITIME HOLDINGS CORP COMM	Y73760301	PURCHASE	10,000.000	\$0.27	\$2,720.00	
06/25/20	***SEANERGY MARITIME HOLDINGS CORP COMM	Y73760301	SELL	10,000.000	\$0.28	\$2,800.74	
06/23/20	***TOP SHIPS INC COMMON STOCK	Y8897Y164	PURCHASE	3,000.000	\$0.17	\$495.00	
06/23/20	***TOP SHIPS INC COMMON STOCK	Y8897Y164	PURCHASE	4,000.000	\$0.18	\$708.00	
06/23/20	***TOP SHIPS INC COMMON STOCK	Y8897Y164	PURCHASE	5,520.000	\$0.18	\$975.38	
06/23/20	***TOP SHIPS INC COMMON STOCK	Y8897Y164	PURCHASE	7,480.000	\$0.18	\$1,323.96	
06/24/20	***TOP SHIPS INC COMMON STOCK	Y8897Y164	PURCHASE	3,000.000	\$0.15	\$435.00	
06/24/20	***TOP SHIPS INC COMMON STOCK	Y8897Y164	PURCHASE	3,000.000	\$0.14	\$427.50	
06/24/20	***TOP SHIPS INC COMMON STOCK	Y8897Y164	PURCHASE	4,000.000	\$0.15	\$600.00	
06/24/20	***TOP SHIPS INC COMMON STOCK	Y8897Y164	PURCHASE	10,000.000	\$0.15	\$1,530.00	
06/24/20	***TOP SHIPS INC COMMON STOCK	Y8897Y164	SELL	3,000.000	\$0.14	\$428.63	
06/24/20	***TOP SHIPS INC COMMON STOCK	Y8897Y164	SELL	3,000.000	\$0.15	\$436.64	
06/24/20	***TOP SHIPS INC COMMON STOCK	Y8897Y164	SELL	20,000.000	\$0.18	\$3,527.54	
06/30/20	***TOP SHIPS INC COMMON STOCK	Y8897Y164	SELL	14,000.000	\$0.14	\$1,902.28	

END OF 2020 DETAILS

THIS STATEMENT IS NOT A SUBSTITUTE FOR FORM 1099 AND IS PROVIDED FOR INFORMATIONAL PURPOSES ONLY.