

2021 TAX REPORTING STATEMENT

ORIGINAL 1099 02/10/2022

RIYA SHAH
508 MURRAY ST
AVENEL NJ 07001-1619

<u>Table of Contents</u>	<u>Page</u>
Summary Pages.....	3
Sale Proceeds and Gain/Loss Details.....	7
Dividend Income Activity.....	14



We would like you to note the following item(s) which may affect your tax return. Please discuss these matters with your Tax Advisor prior to completing your tax return.

IMPORTANT ITEMS FOR YOUR ATTENTION

For tax year 2021, the IRS updated the Form 1099-DIV to include: Line 2e Section 897 ordinary dividends (portion of the amount reported in box 1a) and 2f Section 897 Capital Gain (portion of the amount reported in box 2a). This information applies to foreign person and entities. Please consult your tax advisor for more information.

Qualified dividends distributions include dividends paid by most U.S. corporations, American Depositary Receipts (ADR), select foreign securities, mutual funds, REITs and UITs. An amount shown on Line 1b of Form 1099DIV as a qualified dividend indicates that the dividend is qualified at the issuer level. Please consult your tax advisor to determine the holding period for your specific investments and whether you meet the requirements for qualified dividend treatment.

Merrill is only required to revise 1099 tax reporting statements when a change results in an individual tax form impact that is greater than \$100. If your impact does not meet this threshold, you will not receive a revised tax statement. If you would like to receive a revised tax statement regardless of dollar impact, contact your advisor to opt out of automatic suppression.

To view additional tax resources available online, please visit our Tax Center on mymerrill.com or merrilledge.com.



Account No.
56X-91372

Taxpayer No.
XXX-XX-6390

Page
2 of 15

RIYA SHAH

2021 TAX REPORTING STATEMENT

THIS PAGE WAS INTENTIONALLY LEFT BLANK

ORIGINAL 1099 02/10/2022

RIYA SHAH
508 MURRAY ST
AVENEL NJ 07001-1619

Your Financial Advisor 1000
ML DIRECT
P.O. BOX 1527
PENNINGTON, NJ 08534-4125

Payer:
Merrill Lynch, Pierce, Fenner & Smith Inc
1500 American Boulevard, NJ2-150-01-13
Pennington, NJ 08534-4129
Federal Identification Number 13-5674085

2021 TAX REPORTING STATEMENT

Form 1099-DIV	2021 Dividends and Distributions	(OMB NO. 1545-0110)
1a	Total Ordinary Dividends	Sched. B, Line 5 &/or Form 1040, Line 3b 186.45
1b	Qualified Dividends	Form 1040, Line 3a 186.36
2a	Total Capital Gain Distributions	Sched. D, Line 13 or Form 1040, Line 13 0.00
2b	Unrecap. Sec. 1250 Gain	Sched. D, Line 19 0.00
2c	Section 1202 Gain	See Sched. D Instructions 0.00
2d	Collectibles (28%) Gain	Sched. D, Line 18 0.00
2e	Section 897 Ordinary Dividends	See Instructions 0.00
2f	Section 897 Capital Gain	See Instructions 0.00
3	Nondividend Distributions	See Publication 550 0.00
4	Federal Income Tax Withheld	Form 1040, Line 17 0.00
5	Section 199A Dividends	See Instructions 0.00
6	Investment Expenses	See Instructions 0.00
7	Foreign Tax Paid	Form 1116 &/or Sched. 3, Line 1 0.03
8	Foreign Country or U.S. Possession	See Instructions Various
9	Liquidation Distributions Cash	See Instructions 0.00
10	Liquidation Distributions Non-Cash	See Instructions 0.00
11	Exempt-Interest Dividends	Form 1040, Line 2a 0.00
12	Spec. Private Activity Bond Int. Div.	See Instructions for Form 6251 0.00
13	State	See Instructions NJ
14	State Identification No.	See Instructions 135674085/000
15	State Tax Withheld	See Instructions 0.00

Form 1099-INT	2021 Interest Income	(OMB NO. 1545-0112)
1	Interest Income	Sched. B, Line 1 &/or Form 1040, Line 2b 0.00
2	Early Withdrawal Penalty	Sched. 1, Line 17 0.00
3	Int. on U.S. Savings Bonds & Treas.	See Publication 550 0.00
4	Federal Income Tax Withheld	Form 1040, Line 17 0.00
5	Investment Expenses	See Instructions 0.00
6	Foreign Tax Paid	Form 1116 &/or Sched. 3, Line 1 0.00
7	Foreign Country or U.S. Possession	See Instructions
8	Tax-Exempt Interest	Form 1040, Line 2a 0.00
9	Specified Private Activity Bond Interest	See Instructions for Form 6251 0.00
10	Market Discount	See Instructions 0.00
11	Bond Premium	See Instructions 0.00
12	Bond Premium on Treas. Obligations	See Instructions 0.00
13	Bond Premium on Tax-Exempt Bond	See Instructions 0.00
14	Tax-Exempt/Tax Credit Bond CUSIP No.	See Instructions
15	State	See Instructions NJ
16	State Identification No.	See Instructions 135674085/000
17	State Tax Withheld	See Instructions 0.00

Summary of 2021 Original Issue Discount Items		
Original Issue Discount	See Publication 1212	0.00
Market Discount	See Publication 1212	0.00
Acquisition Premium	See Publication 1212	0.00
OID on U.S. Treasury Obligations	See Publication 1212	0.00
Tax-Exempt Original Issue Discount	See Publication 1212	0.00
Amounts of Original Issue Discount are individually reported to the IRS. Refer to the 2021 Original Issue Discount detail section of this statement.		

Summary of 2021 Sales Proceeds		
Sales Proceeds	See Form 8949	81,382.40
Federal Income Tax Withheld	Form 1040, Line 17	0.00
Gross Proceeds from each of your 2021 securities trades are individually reported to the IRS. Refer to the 2021 Proceeds from Broker and Barter Exchange Transactions detail section of this statement.		

This is important tax information and is being furnished to the Internal Revenue Service. If you are required to file a return, a negligence penalty or other sanction may be imposed on you if this income is taxable and the IRS determines that it has not been reported. Additional tax resources are available at MyMerrill.com or you may reach a service representative at 800.637.6326.

RIYA SHAH

2021 TAX REPORTING STATEMENT

Form 1099-MISC	2021 Miscellaneous Information	(OMB NO. 1545-0115)
2	Royalties	Sched. E, Line 4 0.00
3	Other Income	Sched. 1, Line 8 0.00
4	Federal Income Tax Withheld	Form 1040, Line 17 0.00
8	Sub. Payments in Lieu of Div. or Int.	Sched. 1, Line 8 0.00
15	State Tax Withheld	See Instructions 0.00
16	State/Payer's State No.	See Instructions NJ/135674085/000

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

Distributions and Charges*	
Limited Partnership Income	0.00
Non-Reportable Dividends and Interest	0.00
Non-Reportable Tax-Exempt Interest	0.00
Taxable Muni Accrued Int. Paid	0.00
Non-Tax Muni Accrued Int. Paid	0.00
Other Accrued Interest Paid	0.00
Margin Interest	0.00
Non-Reportable Distribution Expenses	0.00
Excess Bond Premium	0.00
Additional Bond Premium	0.00

*Dollar amounts above may reflect as net, please review the detail section to determine impact. This information is not reported to the IRS, consult with your Tax Advisor for more information.

INSTRUCTIONS FOR RECIPIENT OF FORMS 1099, COPY B - READ CAREFULLY

The amounts listed on Forms 1099-DIV, 1099-INT, 1099-MISC, 1099-OID and 1099-B represent dividends, interest, miscellaneous information, original issue discount and/or gross proceeds payments made or credited to your account during the calendar year.

If you are an investor in a limited partnership, information concerning your distributive share of the partnership's taxable income or loss (Form 1065, Schedule K-1) will not appear on the Tax Reporting Statement. Such information will be sent to you directly from the limited partnership, for inclusion on your income tax return.

Nominees - If your federal Taxpayer Identification Number is shown on this form and includes amounts belonging to another person, you are considered a nominee recipient. You must file and furnish Form 1099-DIV, 1099-INT, 1099-MISC, 1099-OID or 1099-B, as applicable, with the IRS, for each of the other owners to show their share of the income. A husband or wife is not required to file a nominee return to show amounts owned by the other. See the 2021 General Instructions for Certain Information Returns.

Foreign Tax Paid - You may be able to claim this foreign tax as a deduction or a credit on Form 1040. See the Instructions for Form 1040. **Foreign country or U.S. possession** will always be displayed as various.

Backup Withholding - Persons not furnishing their taxpayer identification number (TIN) to the payer become subject to backup withholding on certain payments at a rate of 24%, including dividends, interest, and gross proceeds from dispositions of securities. See Form W-9 for information on backup withholding. **Include this amount on your income tax return as tax withheld.**

1099-MISC - MISCELLANEOUS INFORMATION (OMB No. 1545-0115)

Each royalty trust is required to provide their shareholders with detailed information regarding items of trust income and deductions. Because the information reported to shareholders by the royalty trust includes the information we report to you on Form 1099-MISC, you should be careful not to report this income on your tax return twice.

Line 1 - Shows the income received from rental property. **Report on Schedule E (Form 1040).** See Publication 527
Line 2 - Shows the royalty trust income paid to your account during the tax year. **Report on Schedule E (Form 1040).**

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

Line 8 - Shows substitute payments in lieu of dividends or tax-exempt interest received by your broker on your behalf as a result of a loan of your securities. Report on the "Other Income" line of Form 1040.

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

1099-DIV - DIVIDENDS AND DISTRIBUTIONS (OMB No. 1545-0110)

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

Line 1b - Shows the portion of the amount on line 1a that may be eligible for reduced capital gains rates. See the Instructions for Form 1040 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 but treat it as a plan distribution, not as investment income, for any other purpose.

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

Line 2b - Shows the portion of the amount on line 2a that is unrecaptured section 1250 gain from certain depreciable real property. See the **Unrecaptured Section 1250 Gain Worksheet-Line 19** in the Instructions for Schedule D (Form 1040).

Line 2c - Shows the portion of the amount on line 2a that is section 1202 gain from certain small business stock that may be subject to an exclusion. See the Instructions for Schedule D (Form 1040).

Line 2d - Shows 28% rate gain from sales or exchanges of collectibles. If required, use this amount when completing the **28% Rate Gain Worksheet-Line 18** in the Instructions for Schedule D (Form 1040).

Line 2e - Shows the portion of the amount in 1A that is section 897 gain attributable to disposition of USRPI

Line 2f - Shows the portion of the amount in 2A that is section 897 gain attributable to disposition of USRPI

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

Line 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 1040.

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

Lines 9 and 10 - Shows cash and noncash liquidation distributions.

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

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

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

RIYA SHAH

2021 TAX REPORTING STATEMENT

1099-INT - INTEREST INCOME

(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 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.

Line 1 - Shows taxable interest paid to you during the calendar year by the payer. This does not include interest shown on line 3. May also show the total amount of the credits from clean renewable energy bonds, new clean renewable energy bonds, qualified energy conservation bonds, qualified zone academy bonds, qualified school construction bonds, and build America bonds that must be included in your interest income. These amounts were treated as paid to you during 2021 on the credit allowance dates (March 15, June 15, September 15, and December 15). For more information, see Form 8912.

Line 3 - Shows interest on U.S. Savings Bonds, Treasury bills, Treasury bonds, and Treasury notes. This may or may not be all taxable. See Publication 550. This interest is exempt from state and local income taxes. **This interest is not included on line 1.**

Line 5 - Any amount shown is your share of investment expenses of a single-class REMIC. This amount is included on line 1.

Line 8 - Shows tax-exempt interest paid to you during the calendar year by the payer. See how to report this amount in the Instructions for Form 1040. This amount may be subject to backup withholding. See line 4.

Line 9 - Shows tax-exempt interest subject to the alternative minimum tax. This amount is included on line 8. See the Instructions for Form 6251.

Line 10 - For a taxable or tax-exempt covered security, if you made an election under section 1278(b) to include market discount in income as it accrues and you notified your payer of the election in writing in accordance with Regulations section 1.6045-1(n)(5), shows the market discount that accrued on the debt instrument during the year while held by you, unless it was reported on Form 1099-OID. Report the accrued market discount on your income tax return as directed in the Instructions for Form 1040. Market discount on a tax-exempt security is includible in taxable income as interest income.

Line 11 - For a taxable 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 on this line, see the Instructions for Form 1040 (Schedule B). If the amount on this line is greater than the amount of interest paid on the covered security, see Regulations section 1.171-2(a)(4).

Line 12 - For a U.S. Treasury obligation that is a covered security, shows the amount of premium amortization allocable to the interest payment(s), unless you notified the payer in writing in accordance with Regulations section 1.6045-1(n)(5) that you did not want to amortize bond premium under section 171. If an amount is reported on this line, see the Instructions for Form 1040 (Schedule B). If the amount on this line is greater than the amount of interest paid on the U.S. Treasury obligation, see Regulations section 1.171-2(a)(4).

Line 13 - For a tax-exempt covered security, shows the amount of premium amortization allocable to the interest payment(s). If the amount on this line is greater than the amount of interest paid on the tax-exempt covered security, the excess is a nondeductible loss. See Regulations section 1.171-2(a)(4)(ii).

Line 14 - Shows CUSIP number(s) for tax-exempt bond(s) on which tax-exempt interest was paid, or tax credit bond(s) on which taxable interest was paid or tax credit was allowed, to you during the calendar year.

Lines 15-17 - State tax withheld reporting lines

1099-OID - ORIGINAL ISSUE DISCOUNT

(OMB No. 1545-0117)

The information provided may be different for covered and noncovered securities. For a description of covered securities, see the Instructions for Form 8949. For a covered security acquired with acquisition premium, your payer generally must report a gross amount for both the OID and the acquisition premium amortization for the year. For a noncovered security acquired with acquisition premium, your payer is only required to report the gross amount of OID.

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

Line 5 - For a covered security acquired with OID, if you made an election under section 1278(b) to include market discount in income as it accrues and you notified your payer of the election in writing in accordance with Regulations section 1.6045-1(n)(5), shows the market discount that accrued on the debt instrument during the year while held by you. For a tax-exempt obligation that is a covered security acquired on or after January 1, 2017, and issued with OID, shows the market discount that accrued on the obligation during the year while held by you. Report the accrued market discount on your income tax return as directed in the Instructions for Form 1040. Market discount on a tax-exempt security is includible in taxable income as interest income.

Line 6 - For a taxable covered security, shows the amount of acquisition premium amortization for the year that reduces the amount of OID that is included as interest on your income tax return. If an amount is reported on this line, see the Instructions for Form 1040 (Schedule B). If there is an amount on both lines 6 and 11, for a tax-exempt obligation that is a covered security acquired on or after January 1, 2017, and issued with OID, the amount on line 6 shows the amount of acquisition premium amortization for the year that reduces the amount of your tax-exempt OID for the year.

Line 8 - Shows OID on a U.S. Treasury obligation for the part of the year you owned it. Report this amount as interest income on your federal income tax return, and see Publication 1212 to figure any appropriate adjustments to this amount. This OID is exempt from state and local income taxes and is not included on line 1.

Line 11 - For a tax-exempt obligation that is a covered security acquired on or after January 1, 2017, shows the tax-exempt OID on the obligation for the part of the year you owned it. In general, report the amount of tax-exempt OID on Form 1040.

1099-B - PROCEEDS FROM BROKER AND BARTER EXCHANGE TRANSACTIONS

(OMB-1545-0715)

Applicable check box on Form 8949. Indicates where to report this transaction on Form 8949 and Schedule D, and which check box is applicable. See the Instructions for Schedule D and/or Form 8949.

Code A - Indicates a short-term transaction for which the cost or other basis is being reported to the IRS.

Code B - Indicates a short-term transaction for which the cost or other basis is not being reported to the IRS.

Code D - Indicates a long-term transaction for which the cost or other basis is being reported to the IRS.

Code E - Indicates a long-term transaction for which the cost or other basis is not being reported to the IRS.

Code X - Indicates a transaction for which the holding period is unknown.

Line 1a - Shows a brief description of the item or service for which amounts are being reported.

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

Line 1c - Shows the trade date of the sale or exchange. For short sales, the date shown is the date the security was delivered to close the short sale.

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

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

Line 1f - Shows the amount of accrued market discount. For details on market discount, see the Instructions for Schedule D (Form 1040), Instructions for Form 8949, and Publication 550. If line 5 is noted, line 1f may be blank.

Line 1g - Shows the amount of nondeductible loss in a wash sale transaction. For details on wash sales, see the Instructions for Schedule D (Form 1040), Instructions for Form 8949, and Publication 550. If line 5 is noted, line 1g may be blank.

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

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

Line 6 - If the exercise of a noncompensatory option resulted in a sale of a security, indicates whether the amount on line 1d was adjusted for option premium.

Line 7 - If noted, you cannot take a loss on your tax return based on gross proceeds from a reportable change in control or capital structure reported on line 1d. See the Form 8949 and the Instructions for Schedule D. The broker should advise you of any losses on a separate statement.

Line 12 - If applicable, this is noted on Form(s) 1099-B.



Account No.
56X-91372

Taxpayer No.
XXX-XX-6390

Page
6 of 15

RIYA SHAH

2021 TAX REPORTING STATEMENT

THIS PAGE WAS INTENTIONALLY LEFT BLANK

RIYA SHAH

2021 TAX REPORTING STATEMENT

The following sections are provided to facilitate your review and the preparation of your tax return.

The 2021 Proceeds from Broker and Barter Exchange Transactions section includes both sales of positions for "covered securities" and "noncovered securities." A covered security includes securities when the purchase date of the security occurred within the following timeline: Equities acquired on or after January 1, 2011, Mutual Funds acquired on or after January 1, 2012, Option Transactions and less complex debt securities acquired on or after January 1, 2014, and more complex debt securities and options issued as part of a debt instrument acquired on or after January 1, 2016. Legislation requires reporting the gross proceeds of the sales of "covered" and "noncovered" securities and the adjusted cost basis for "covered securities." Any sale of a security that is considered a "noncovered security" will still be included in this section with the adjusted cost basis (where available) but the adjusted basis will not be transmitted to the IRS.

In calculating gain (loss), unless otherwise noted, it was assumed that the oldest position was liquidated first, and that you have made an election to amortize the premium paid on the purchase of taxable bonds. Under the Cost Basis Reporting Regulations, brokers need not track wash sale activity for substantially identical securities, transactions across accounts, or between covered and noncovered securities. However, you as a taxpayer still have to track and report wash sales as you have in the past which would include all of the aforementioned transaction types. Securities distributed from a retirement account reflect the tax basis on the date of distribution. Other methods for calculating gain (loss) are available. The cost basis for most Original Issue Discount ("OID") obligations includes the accretion of OID.

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

Form 1099-B 2021 PROCEEDS FROM BROKER & BARTER EXCHANGE TRANSACTIONS (OMB NO. 1545-0715)

1a. Description of Property	1b. Date Acquired	1c. Date Sold or Disposed	1d. Proceeds	1e. Cost Basis	1f. Accrued Market Discount	1g. Wash Sale Loss Disallowed	Gain or Loss
SHORT TERM CAPITAL GAINS AND LOSSES - 1099-B Line 2 - Box 6 Net Proceeds							
COVERED TRANSACTIONS - Cost basis reported to IRS - Form 8949, Part I, (A)							
CALL NVDA JAN 00175.000 NVIDIA EXP 01-21-2022							
		CUSIP Number					
2.0000 Sale	02/22/21	08/06/21	7,748.66	3,375.33	0.00	0.00	4,373.33
1.0000 Sale	02/22/21	10/27/21	7,571.31	1,687.66	0.00	0.00	5,883.65
1.0000 Sale	02/22/21	11/18/21	14,599.28	1,687.66	0.00	0.00	12,911.62
Security Subtotal			29,919.25	6,750.65	0.00	0.00	23,168.60
CALL NNDM DEC 00020.000 NANO DIMENSION LTD EXP 12-17-2021							
		CUSIP Number					
10.0000 Expired	01/26/21	12/20/21	0.00	8,106.50	0.00	0.00	(8,106.50)
CALL MP JUL 00040.000 MP MATERIALS CORP REG EXP 07-16-2021							
		CUSIP Number					
2.0000 Expired	07/01/21	07/19/21	0.00	191.30	0.00	0.00	(191.30)
CALL APHA APR 00030.000 APHRIA INC SHS EXP 04-16-2021							
		CUSIP Number					
1.0000 Expired	02/10/21	04/19/21	0.00	975.65	0.00	0.00	(975.65)

RIYA SHAH

2021 TAX REPORTING STATEMENT

Form 1099-B 2021 PROCEEDS FROM BROKER & BARTER EXCHANGE TRANSACTIONS (OMB NO. 1545-0715)

1a. Description of Property	1b. Date Acquired	1c. Date Sold or Disposed	1d. Proceeds	1e. Cost Basis	1f. Accrued Market Discount	1g. Wash Sale Loss Disallowed	Gain or Loss
<i>CUSIP Number</i>							
CALL BNGO AUG 00020.000 BIONANO GENOMICS INC EXP 08-20-2021							
4.0000 Expired	02/04/21	08/23/21	0.00	1,682.60	0.00	0.00	(1,682.60)
<i>CUSIP Number</i>							
PUT GME NOV 00040.000 GAMESTOP CORP NEW CL A EXP 11-19-2021							
3.0000 Expired	03/08/21	11/22/21	0.00	3,211.95	0.00	0.00	(3,211.95)
2.0000 Expired	03/09/21	11/22/21	0.00	2,021.30	0.00	0.00	(2,021.30)
Security Subtotal			0.00	5,233.25	0.00	0.00	(5,233.25)
<i>CUSIP Number</i>							
CALL MARA APR 00045.000 MARATHON DIGITAL HLDGS EXP 04-16-2021							
1.0000 Expired	03/02/21	04/19/21	0.00	890.65	0.00	0.00	(890.65)
<i>CUSIP Number</i>							
CALL NIO DEC 00070.000 NIO INC EXP 12-16-2022							
1.0000 Sale	02/02/21	07/20/21	619.34	2,300.65	0.00	0.00	(1,681.31)
<i>CUSIP Number</i>							
CALL ARKG DEC 00149.210 ARK GENOMIC REVOLUTION EXP 12-17-2021							
2.0000 Expired	01/29/21	12/20/21	0.00	2,601.30	0.00	0.00	(2,601.30)
<i>CUSIP Number</i>							
PUT MVIS JAN 00012.000 MICROVISION INC EXP 01-21-2022							
1.0000 Sale	02/22/21	10/20/21	311.34	614.65	0.00	0.00	(303.31)
1.0000 Sale	02/22/21	11/11/21	379.34	614.65	0.00	0.00	(235.31)
Security Subtotal			690.68	1,229.30	0.00	0.00	(538.62)
<i>CUSIP Number</i>							
CALL PNFP MAY 00080.000 PINNACLE FINL PARTNERS EXP 05-21-2021							
5.0000 Sale	01/15/21	02/17/21	2,646.69	1,753.25	0.00	0.00	893.44
<i>CUSIP Number</i>							
CALL CRDF MAY 00030.000 CARDIFF ONCOLOGY INC EXP 05-21-2021							
10.0000 Expired	02/11/21	05/24/21	0.00	1,156.50	0.00	0.00	(1,156.50)

RIYA SHAH

2021 TAX REPORTING STATEMENT

Form 1099-B 2021 PROCEEDS FROM BROKER & BARTER EXCHANGE TRANSACTIONS (OMB NO. 1545-0715)

1a. Description of Property	1b. Date Acquired	1c. Date Sold or Disposed	1d. Proceeds	1e. Cost Basis	1f. Accrued Market Discount	1g. Wash Sale Loss Disallowed	Gain or Loss
<i>PUT GME JAN 00050.000</i>							
<i>GAMESTOP CORP NEW CL A</i>							
<i>EXP 01-21-2022</i>							
2.0000 Sale	02/05/21	11/11/21	106.69	5,681.30	0.00	0.00	(5,574.61)
<i>ATOSSA THERAPEUTICS INC</i>							
200.0000 Sale	01/26/21	06/07/21	1,175.99	744.00	0.00	0.00	431.99
200.0000 Sale	01/26/21	06/21/21	1,115.99	744.00	0.00	0.00	371.99
200.0000 Sale	01/26/21	06/24/21	1,556.99	744.00	0.00	0.00	812.99
50.0000 Sale	01/26/21	06/28/21	342.24	186.00	0.00	0.00	156.24
300.0000 Sale	01/26/21	06/28/21	2,080.99	1,116.00	0.00	0.00	964.99
50.0000 Sale	01/26/21	06/30/21	316.54	186.00	0.00	0.00	130.54
Security Subtotal			6,588.74	3,720.00	0.00	0.00	2,868.74
<i>AMESITE OPERATING CO REG SHS</i>							
100.0000 Sale	02/16/21	02/16/21	719.64	793.00	0.00	0.00	(73.36)
10.0000 Sale	02/16/21	03/17/21	53.14	79.30	0.00	0.00	(26.16)
90.0000 Sale	02/16/21	10/15/21	160.41	713.70	0.00	0.00	(553.29)
Security Subtotal			933.19	1,586.00	0.00	0.00	(652.81)
<i>AMC ENTMT HLDGS INC CL A</i>							
50.0000 Sale	01/27/21	01/27/21	947.98	865.00	0.00	0.00	82.98
20.0000 Sale	01/27/21	06/17/21	1,264.19	346.00	0.00	0.00	918.19
Security Subtotal			2,212.17	1,211.00	0.00	0.00	1,001.17
<i>BIT DIGITAL INC</i>							
30.0000 Sale	02/12/21	02/16/21	824.86	767.38	0.00	0.00	57.48
<i>BEST INC SHS SPONSORED ADR</i>							
100.0000 Sale	02/10/21	06/07/21	143.49	275.00	0.00	0.00	(131.51)
<i>RIOT BLOCKCHAIN INC</i>							
100.0000 Sale	02/23/21	02/23/21	5,319.97	5,256.50	0.00	0.00	63.47
15.0000 Sale	08/23/21	11/11/21	584.99	546.00	0.00	0.00	38.99
Security Subtotal			5,904.96	5,802.50	0.00	0.00	102.46
<i>BAIDU INC SPON ADR</i>							
8.0000 Sale	02/10/21	02/19/21	2,518.91	2,429.48	0.00	0.00	89.43
<i>COMSOVEREIGN HLDG CORP REG SHS</i>							
200.0000 Sale	02/18/21	08/10/21	422.99	1,028.80	0.00	0.00	(605.81)

RIYA SHAH

2021 TAX REPORTING STATEMENT

Form 1099-B 2021 PROCEEDS FROM BROKER & BARTER EXCHANGE TRANSACTIONS (OMB NO. 1545-0715)

1a. Description of Property	1b. Date Acquired	1c. Date Sold or Disposed	1d. Proceeds	1e. Cost Basis	1f. Accrued Market Discount	1g. Wash Sale Loss Disallowed	Gain or Loss
<i>CELSIUS HOLDINGS INC NEW</i>							
	CUSIP Number 15118V207						
5.0000 Sale	02/22/21	05/27/21	327.17	315.88	0.00	0.00	11.29
5.0000 Sale	02/22/21	06/01/21	330.71	315.87	0.00	0.00	14.84
Security Subtotal			657.88	631.75	0.00	0.00	26.13
<i>CITIUS PHARMACEUTICALS INC</i>							
	CUSIP Number 17322U207						
300.0000 Sale	02/19/21	02/19/21	575.99	568.50	0.00	0.00	7.49
<i>EBANG INTL HLDGS INC HKD0.001 A</i>							
	CUSIP Number G3R33A106						
50.0000 Sale	01/29/21	02/04/21	303.49	277.00	0.00	0.00	26.49
30.0000 Sale	01/29/21	02/17/21	272.99	166.20	0.00	0.00	106.79
15.0000 Sale	01/29/21	02/18/21	181.11	83.10	0.00	0.00	98.01
15.0000 Sale	01/29/21	03/02/21	115.97	83.10	0.00	0.00	32.87
Security Subtotal			873.56	609.40	0.00	0.00	264.16
<i>FIRST MAJESTIC SILVER CORP</i>							
	CUSIP Number 32076V103						
15.0000 Sale	02/01/21	06/01/21	276.93	370.50	0.00	0.00	(93.57)
26.0000 Sale	02/01/21	06/21/21	415.60	642.20	0.00	0.00	(226.60)
Security Subtotal			692.53	1,012.70	0.00	0.00	(320.17)
<i>GAMESTOP CORP NEW CL A</i>							
	CUSIP Number 36467W109						
1.0000 Sale	01/29/21	02/22/21	44.01	340.00	0.00	295.99 (w)	0.00
1.0000 Sale	01/31/21	03/08/21	204.11	492.00	0.00	0.00 (y)	(287.89)
2.0000 Sale	02/24/21	03/09/21	460.41	392.02	0.00	0.00	68.39
Security Subtotal			708.53	1,224.02	0.00	295.99	(219.50)
<i>IT TECH PACKAGING INC REG SHS</i>							
	CUSIP Number 46527C100						
500.0000 Sale	02/16/21	06/21/21	221.47	730.00	0.00	0.00	(508.53)
<i>INSPIREMD INC REG SHS</i>							
	CUSIP Number 45779A846						
134.0000 Sale	02/11/21	10/15/21	548.05	2,700.00	0.00	0.00	(2,151.95)
<i>IZEA WORLDWIDE INC</i>							
	CUSIP Number 46604H105						
50.0000 Sale	02/16/21	06/24/21	132.79	253.31	0.00	0.00	(120.52)
250.0000 Sale	02/16/21	10/15/21	483.74	1,266.55	0.00	0.00	(782.81)
Security Subtotal			616.53	1,519.86	0.00	0.00	(903.33)
<i>KIRKLANDS INC</i>							
	CUSIP Number 497498105						
10.0000 Sale	02/22/21	03/01/21	290.82	268.97	0.00	0.00	21.85

RIYA SHAH

2021 TAX REPORTING STATEMENT

Form 1099-B 2021 PROCEEDS FROM BROKER & BARTER EXCHANGE TRANSACTIONS (OMB NO. 1545-0715)

1a. Description of Property	1b. Date Acquired	1c. Date Sold or Disposed	1d. Proceeds	1e. Cost Basis	1f. Accrued Market Discount	1g. Wash Sale Loss Disallowed	Gain or Loss
<i>LLOYDS BANKING GROUP PLC ADR</i>							
	<i>CUSIP Number 539439109</i>						
60.0000 Sale	02/16/21	03/04/21	132.66	128.70	0.00	0.00	3.96
20.0000 Sale	02/16/21	03/19/21	44.89	42.90	0.00	0.00	1.99
Security Subtotal			177.55	171.60	0.00	0.00	5.95
<i>MEREO BIOPHARMA GROUP PL-ADR</i>							
	<i>CUSIP Number 589492107</i>						
200.0000 Sale	02/16/21	02/19/21	859.98	723.72	0.00	0.00	136.26
<i>MAGNITE INC</i>							
	<i>CUSIP Number 55955D100</i>						
20.0000 Sale	01/26/21	02/05/21	1,105.58	767.80	0.00	0.00	337.78
5.0000 Sale	01/26/21	02/05/21	276.39	191.95	0.00	0.00	84.44
30.0000 Sale	01/26/21	02/09/21	1,859.96	1,151.71	0.00	0.00	708.25
45.0000 Sale	01/26/21	02/11/21	2,757.32	1,727.56	0.00	0.00	1,029.76
Security Subtotal			5,999.25	3,839.02	0.00	0.00	2,160.23
<i>MICROSOFT CORP</i>							
	<i>CUSIP Number 594918104</i>						
15.0000 Sale	12/18/20	02/16/21	3,659.10	3,270.00	0.00	0.00	389.10
5.0000 Sale	12/18/20	02/19/21	1,205.60	1,090.00	0.00	0.00	115.60
Security Subtotal			4,864.70	4,360.00	0.00	0.00	504.70
<i>NETGEAR INC</i>							
	<i>CUSIP Number 64111Q104</i>						
30.0000 Sale	02/18/21	02/19/21	1,289.67	1,272.15	0.00	0.00	17.52
<i>OCUGEN INC</i>							
	<i>CUSIP Number 67577C105</i>						
60.0000 Sale	02/10/21	05/04/21	745.49	706.20	0.00	0.00	39.29
20.0000 Sale	02/10/21	06/21/21	143.89	235.40	0.00	0.00	(91.51)
15.0000 Sale	02/10/21	06/24/21	114.20	176.55	0.00	0.00	(62.35)
3.0000 Sale	02/10/21	06/24/21	24.80	35.31	0.00	0.00	(10.51)
2.0000 Sale	02/10/21	09/13/21	17.08	23.54	0.00	0.00	(6.46)
Security Subtotal			1,045.46	1,177.00	0.00	0.00	(131.54)
<i>ORGANIGRAM HOLDINGS INC SHS</i>							
	<i>CUSIP Number 68620P101</i>						
30.0000 Sale	02/10/21	06/24/21	93.44	189.00	0.00	0.00	(95.56)
70.0000 Sale	02/10/21	10/15/21	158.54	441.00	0.00	0.00	(282.46)
Security Subtotal			251.98	630.00	0.00	0.00	(378.02)
<i>PELTON INTERACTIVE INC CL A</i>							
	<i>CUSIP Number 70614W100</i>						
6.0000 Sale	02/12/21	06/21/21	646.91	927.53	0.00	0.00	(280.62)

RIYA SHAH

2021 TAX REPORTING STATEMENT

Form 1099-B 2021 PROCEEDS FROM BROKER & BARTER EXCHANGE TRANSACTIONS (OMB NO. 1545-0715)

1a. Description of Property	1b. Date Acquired	1c. Date Sold or Disposed	1d. Proceeds	1e. Cost Basis	1f. Accrued Market Discount	1g. Wash Sale Loss Disallowed	Gain or Loss
<i>XL FLEET CORP</i>							
<i>CL A ORD</i>							
50.0000 Sale	02/10/21	02/12/21	1,013.09	989.00	0.00	0.00	24.09
<i>RESHAPE LIFESCIENCES INC</i>							
<i>NEW</i>							
30.0000 Sale	06/28/21	06/28/21	221.99	226.20	0.00	0.00	(4.21)
<i>RING ENERGY INC</i>							
<i>CUSIP Number 76680V108</i>							
50.0000 Sale	02/10/21	03/10/21	134.24	117.50	0.00	0.00	16.74
30.0000 Sale	02/10/21	03/11/21	89.44	70.50	0.00	0.00	18.94
15.0000 Sale	02/10/21	04/12/21	32.16	35.25	0.00	0.00	(3.09)
5.0000 Sale	02/10/21	05/03/21	10.65	11.75	0.00	0.00	(1.10)
Security Subtotal			266.49	235.00	0.00	0.00	31.49
<i>SEANERGY MARITIME</i>							
<i>HOLDINGS CORP</i>							
<i>CUSIP Number Y73760194</i>							
800.0000 Sale	02/12/21	02/12/21	1,519.97	1,384.00	0.00	0.00	135.97
50.0000 Sale	02/12/21	05/11/21	53.74	86.50	0.00	0.00	(32.76)
30.0000 Sale	02/12/21	06/01/21	30.74	51.90	0.00	0.00	(21.16)
70.0000 Sale	02/12/21	06/01/21	72.09	121.10	0.00	0.00	(49.01)
50.0000 Sale	02/12/21	10/15/21	63.74	86.50	0.00	0.00	(22.76)
Security Subtotal			1,740.28	1,730.00	0.00	0.00	10.28
<i>SENSEONICS HOLDINGS, INC</i>							
<i>CUSIP Number 81727U105</i>							
60.0000 Sale	02/12/21	06/21/21	192.89	257.70	0.00	0.00	(64.81)
40.0000 Sale	02/12/21	06/29/21	158.59	171.80	0.00	0.00	(13.21)
Security Subtotal			351.48	429.50	0.00	0.00	(78.02)
<i>UNITED STS STL CORP NEW</i>							
<i>CUSIP Number 912909108</i>							
50.0000 Sale	02/16/21	02/16/21	855.78	852.70	0.00	0.00	3.08
<i>URBAN ONE INC CL A</i>							
<i>CUSIP Number 91705J105</i>							
300.0000 Sale	01/27/21	05/27/21	2,230.49	2,595.00	0.00	0.00	(364.51)
<i>VACCINEX INC REG SHS</i>							
<i>CUSIP Number 918640103</i>							
100.0000 Sale	02/19/21	02/19/21	849.98	609.00	0.00	0.00	240.98
Covered Short Term Capital Gains and Losses Subtotal			81,382.40	85,405.68	0.00	295.99	(3,727.29)
NET SHORT TERM CAPITAL GAINS AND LOSSES			81,382.40	85,405.68	0.00	295.99	(3,727.29)
SALES PROCEEDS AND NET GAINS AND LOSSES			81,382.40	85,405.68	0.00	295.99	(3,727.29)



Account No.
56X-91372

Taxpayer No.
XXX-XX-6390

Page
13 of 15

RIYA SHAH

2021 TAX REPORTING STATEMENT

Form 1099-B

2021 PROCEEDS FROM BROKER & BARTER EXCHANGE TRANSACTIONS

(OMB NO. 1545-0715)

1a. Description of Property	1b. Date Acquired	1c. Date Sold or Disposed	1d. Proceeds	1e. Cost Basis	1f. Accrued Market Discount	1g. Wash Sale Loss Disallowed	Gain or Loss
-----------------------------	-------------------	---------------------------	--------------	----------------	-----------------------------	-------------------------------	--------------

COVERED SHORT TERM GAINS/LOSSES

(3,727.29)

(W) This transaction has been identified as a "Wash Sale". The Wash Sale Loss Disallowed column reflects the deferred loss amount. The cost basis of the related transaction(s) has been adjusted by the deferred loss amount from either the cost basis on purchases or proceeds from short sales. Please refer to the instructions for Form 8949 for how to report the deferred loss amount and applicable adjustment code.

(Y) The gain or loss of this transaction includes an adjustment to basis for the deferred loss amount on one or more previous "Wash Sales."

RIYA SHAH

2021 TAX REPORTING STATEMENT

2021 DIVIDENDS, QUALIFIED, 199A AND 897 DISTRIBUTIONS

Security Description	Quantity	Date	Transaction Description	Amount	Qualified	Section 199A	Section 897	Remarks
UNITED STATES								
APPLE INC	110	02/11/21	Dividend	22.55	22.55	0.00	0.00	
	110	05/13/21	Dividend	24.20	24.20	0.00	0.00	
	110	08/12/21	Dividend	24.20	24.20	0.00	0.00	
	110	11/11/21	Dividend	24.20	24.20	0.00	0.00	
			Security Subtotal	95.15	95.15	0.00	0.00	
MICROSOFT CORP	35	03/11/21	Dividend	19.60	19.60	0.00	0.00	
	30	06/10/21	Dividend	16.80	16.80	0.00	0.00	
	30	09/09/21	Dividend	16.80	16.80	0.00	0.00	
	30	12/09/21	Dividend	18.60	18.60	0.00	0.00	
			Security Subtotal	71.80	71.80	0.00	0.00	
NVIDIA	5	12/23/21	Dividend	0.20	0.20	0.00	0.00	
DIVIDENDS FROM UNITED STATES				167.15	167.15	0.00	0.00	
CANADA								
FIRST MAJESTIC SILVER CORP	41	06/04/21	Foreign Dividend	0.18	0.18	0.00	0.00	
		06/04/21	Foreign Tax	(0.03)	0.00	0.00	0.00	
			Security Subtotal	0.15	0.18	0.00	0.00	
DIVIDENDS FROM CANADA				0.18	0.18	0.00	0.00	
FOREIGN TAX PAID FROM CANADA				(0.03)				
NONCLASSIFIED SECURITIES								
ARK GENOMIC REVOLUTION ETF	50	12/31/21	Short Term Capital Gain	19.12	19.03	0.00	0.00	
DIVIDENDS FROM NONCLASSIFIED SECURITIES				19.12	19.03	0.00	0.00	
TOTAL ORDINARY DIVIDENDS (LINE 1A 1099-DIV)				186.45				
TOTAL QUALIFIED DIVIDENDS (LINE 1B 1099-DIV)					186.36			
TOTAL SECTION 199A DIVIDENDS (LINE 5 1099-DIV)						0.00		
TOTAL SECTION 897 ORDINARY DIVIDENDS (LINE 2E 1099-DIV)							0.00	
TOTAL FEDERAL INCOME TAX WITHHELD (INCLUDED IN LINE 4 1099-DIV)				0.00				
TOTAL FOREIGN TAX PAID (INCLUDED IN LINE 7 1099-DIV)				(0.03)				

* Section 897 Ordinary Dividends Line 2e applies only to foreign persons and entities whose income maintains its character when passed through or distributed to its direct or indirect foreign owners or beneficiaries. It is generally treated as effectively connected to a trade or business within the United States. See the instructions for your tax return.



Account No.
56X-91372

Taxpayer No.
XXX-XX-6390

Page
15 of 15

RIYA SHAH

2021 TAX REPORTING STATEMENT

END OF STATEMENT FOR THIS ACCOUNT