

 Member FINRA/SIPC PO BOX 2209 OMAHA, NE 68103-2209 Client Services: 800-669-3900	Tax Information Account 454980322	Statement Date: 01/14/2021 Document ID: 7524 R9B 595S	2020
	JAYAKKUMAR THIRUNAVUKKARASU 4400 COLLEGE PARK DR 718 THE WOODLANDS, TX 77384		
PAYER'S TIN: 47-0533629	RECIPIENT'S TIN: XXX-XX-1278		

Summary Information

<p>DIVIDENDS AND DISTRIBUTIONS 2020 1099-DIV* OMB No. 1545-0110</p> <p>1a- Total ordinary dividends (includes lines 1b, 5) 26.00</p> <p>1b- Qualified dividends 26.00</p> <p>2a- Total capital gain distributions (includes lines 2b, 2c, 2d) 0.00</p> <p>2b- Unrecaptured Section 1250 gain 0.00</p> <p>2c- Section 1202 gain 0.00</p> <p>2d- Collectibles (28%) gain 0.00</p> <p>3- Nondividend distributions 0.00</p> <p>4- Federal income tax withheld 0.00</p> <p>5- Section 199A dividends 0.00</p> <p>6- Investment expenses 0.00</p> <p>8- Foreign country or US possession: See detail 3.90</p> <p>9- Cash liquidation distributions 0.00</p> <p>10- Noncash liquidation distributions 0.00</p> <p>11- Exempt-interest dividends (includes line 12) 0.00</p> <p>12- Specified private activity bond interest dividends (AMT) 0.00</p>	<p style="text-align: center;">MISCELLANEOUS INCOME 2020 1099-MISC* OMB No. 1545-0115</p> <p>2- Royalties 0.00</p> <p>3- Other income 0.00</p> <p>4- Federal income tax withheld 0.00</p> <p>8- Substitute payments in lieu of dividends or interest 0.00</p> <p style="text-align: center;">SECTION 1256 CONTRACTS 2020 1099-B* OMB No. 1545-0715</p> <p>8- Profit or (loss) realized in 2020 on closed contracts 0.00</p> <p>9- Unrealized profit or (loss) on open contracts-12/31/2019 0.00</p> <p>10- Unrealized profit or (loss) on open contracts-12/31/2020 0.00</p> <p>11- Aggregate profit or (loss) on contracts 0.00</p> <p style="text-align: center;"><i>If applicable, proceeds from sale transactions appear summarized below and are detailed in subsequent sections of this document.</i></p>
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SUMMARY OF PROCEEDS, GAINS & LOSSES, ADJUSTMENTS AND WITHHOLDING

Refer to the 1099-B and Proceeds not reported to the IRS pages to ensure that you consider all relevant items and to determine the correct gains and losses. The amounts shown below are for informational purposes.

Term	Form 8949 type	Proceeds	Cost basis	Market discount	Wash sale loss disallowed	Net gain or loss(-)
Short	A (basis reported to the IRS)	712,927.95	720,120.96	0.00	5,578.28	-1,614.73
Short	B (basis not reported to the IRS)	19,040.72	19,593.70	0.00	381.80	-171.18
Short	C (Form 1099-B not received)	0.00	0.00	0.00	0.00	0.00
Total Short-term		731,968.67	739,714.66	0.00	5,960.08	-1,785.91
Long	D (basis reported to the IRS)	0.00	0.00	0.00	0.00	0.00
Long	E (basis not reported to the IRS)	0.00	0.00	0.00	0.00	0.00
Long	F (Form 1099-B not received)	0.00	0.00	0.00	0.00	0.00
Total Long-term		0.00	0.00	0.00	0.00	0.00
Undetermined	B or E (basis not reported to the IRS)	0.00	0.00	0.00	0.00	0.00
Undetermined	C or F (Form 1099-B not received)	0.00	0.00	0.00	0.00	0.00
Total Undetermined-term		0.00	0.00	0.00	0.00	0.00
Grand total		731,968.67	739,714.66	0.00	5,960.08	-1,785.91

Withholding	Amount
Federal income tax withheld	0.00

Changes to dividend tax classifications processed after your original tax form is issued for 2020 may require an amended tax form.

TD Ameritrade Clearing, Inc.

Account 454980322

Summary Information

2020

(continued)

01/14/2021

INTEREST INCOME

2020 1099-INT

OMB No. 1545-0112

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.

1- Interest income (not included in line 3)	0.53
2- Early withdrawal penalty	0.00
3- Interest on US Savings Bonds & Treasury obligations	0.00
4- Federal income tax withheld	0.00
5- Investment expenses	0.00
7- Foreign country or US possession: 6- Foreign tax paid:	0.00
8- Tax-exempt interest (includes line 9)	0.00
9- Specified private activity bond interest (AMT)	0.00
10- Market discount (covered lots)	0.00
11- Bond premium (covered lots)	0.00
12- Bond premium on Treasury obligations (covered lots)	0.00
13- Bond premium on tax-exempt bonds (categorized below)	0.00
<i>Tax-exempt obligations (covered lots)</i>	0.00
<i>Tax-exempt private activity obligations (AMT, covered lots)</i>	0.00
14- Tax-exempt and tax credit bond CUSIP number	See detail

The following amounts are not reported to the IRS. They are presented here for your reference when preparing your tax return(s).

Taxable accrued interest paid	0.00
Taxable accrued Treasury interest paid	0.00
Tax-exempt accrued interest paid	0.00
Tax-exempt accrued interest paid (AMT)	0.00
Taxable accrued nonqualified interest paid	0.00
Tax-exempt accrued nonqualified interest paid	0.00
Tax-exempt accrued nonqualified interest paid (AMT)	0.00
Nonqualified interest	0.00
Tax-exempt nonqualified interest	0.00
Tax-exempt nonqualified interest (AMT)	0.00
Interest shortfall on contingent payment debt	0.00
Bond premium- Non Treasury obligations (noncovered lots)	0.00
Bond premium- Treasury obligations (noncovered lots)	0.00
Bond premium- Tax-exempt obligations (noncovered lots)	0.00
Bond premium- Tax-exempt obligations (AMT, noncovered lots)	0.00
Market discount (noncovered lots)	0.00

STATE TAX WITHHELD

Use the details of the State Tax Withholding page(s) to determine the appropriate amounts for your income tax return(s). The amounts shown in this section are for your reference.

1099-DIV total withheld	0.00
1099-INT total withheld	0.00
1099-OID total withheld	0.00
1099-MISC total withheld	0.00
1099-B total withheld	0.00

ORIGINAL ISSUE DISCOUNT AND ADJUSTMENTS

Use bond-by-bond details from the Form 1099-OID page(s) to determine amounts of Original Issue Discount income for your income tax return(s). The amounts shown in this section are for your reference when preparing your income tax return(s).

Original issue discount for the year	0.00
Acquisition premium (covered lots)	0.00
Acquisition premium (noncovered lots)	0.00
Original issue discount on Treasury obligations	0.00
Acquisition premium, Treasury obligations (covered lots)	0.00
Acquisition premium, Treasury obligations (noncovered lots)	0.00
Tax-exempt OID	0.00
Tax-exempt OID (lots not reported)	0.00
Acquisition premium (covered)	0.00
Acquisition premium (lots not reported)	0.00
Tax-exempt OID on private activity bonds	0.00
Tax-exempt OID on private activity bonds (lots not reported)	0.00
Acquisition premium (AMT, covered)	0.00
Acquisition premium (AMT, lots not reported)	0.00
Market discount (all lots)	0.00
Early withdrawal penalty	0.00
Investment expenses	0.00

RECONCILIATIONS, FEES, EXPENSES AND EXPENDITURES

The amounts in this section are not reported to the IRS. They are presented here for your reference when preparing your income tax return(s).

Other Receipts & Reconciliations- Partnership distributions	0.00
Other Receipts & Reconciliations- Foreign tax paid- partnership	0.00
Other Receipts & Reconciliations- Return of principal	0.00
Other Receipts & Reconciliations- Deferred income payment	0.00
Other Receipts & Reconciliations- Deemed premium	0.00
Other Receipts & Reconciliations- Income accrual- UIT	0.00
Other Receipts & Reconciliations- Basis adjustments	0.00
Other Receipts & Reconciliations- Foreign tax pd beyond treaty	0.00
Fees & Expenses- Margin interest	0.00
Fees & Expenses- Dividends paid on short position	0.00
Fees & Expenses- Interest paid on short position	0.00
Fees & Expenses- Non reportable distribution expense	0.00
Fees & Expenses- Other expenses	0.00
Fees & Expenses- Severance tax	0.00
Fees & Expenses- Organizational expense	0.00
Fees & Expenses- Miscellaneous fees	0.00
Fees & Expenses- Tax-exempt investment expense	0.00
Foreign Exchange Gains & Losses- Foreign currency gain/loss	0.00

TD Ameritrade Clearing, Inc.

Account 454980322

Proceeds from Broker and Barter Exchange Transactions

2020 1099-B* OMB No. 1545-0715

01/14/2021

Sales transactions are grouped by their term (long, short or undetermined) and covered status (covered or noncovered). For tax lots whose term is undetermined, use your historical documents to establish the cost basis and date of purchase. Tax lots with an additional notation of "Ordinary" represent neither short- nor long-term capital transactions. You may wish to consult with your tax advisor, the IRS or your state tax authority regarding the proper treatment.

Closing of written options is presented in a distinct manner in accordance with IRS regulation. For these transactions the Cost or other basis (column 1e) is always presented as \$0.00 and the Proceeds (column 1d) is the net of proceeds received when the option was written and the cost to close the position.

Several column headings describe two related items: a quantity and a qualifier. For example, proceeds and, if the sale is the result of an option exercise or assignment, whether the proceeds are gross or net (adjusted for any option premium). When these conditions exist, the qualifier is shown to the right of the amount.

Long positions are reported based on the trade date and short positions are reported based on the settlement date of the trade.

FATCA filing requirement []

SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS [Ordinary gains or losses are identified in the Additional information column] (Lines 2 & 5)

Report on Form 8949, Part I with Box A checked. Basis is provided to the IRS. (Line 12)

"Gain or loss (-)" is NOT reported to the IRS.

1a- Description of property/CUSIP/Symbol

1c- Date sold or disposed	Quantity	1d- Proceeds & 6- Reported (G)ross or (N)et	1b- Date acquired	1e- Cost or other basis	1f- Accrued mkt disc (D) & 1g- Wash sale loss disallowed (W)	Gain or loss(-) & 7- Loss not allowed (X) also not reported (Z)	Additional information
AMC ENTERTAINMENT HOLDINGS INC COM CL A / CUSIP: 00165C104 / Symbol: AMC							
05/11/20	100.000	534.48	05/11/20	673.51	...	-139.03	Sale
05/11/20	100.000	591.98	05/11/20	655.00	31.51 W	-31.51	Sale
	Security total:	1,126.46		1,328.51	31.51 W	-170.54	
AGORA INC ADR / CUSIP: 00851L103 / Symbol: API							
07/01/20	25.000	1,107.48	Various	1,112.50	...	-5.02	Total of 2 transactions
ALBERTSONS COMPANIES INC COM / CUSIP: 013091103 / Symbol: ACI							
06/26/20	300.000	4,709.86	06/26/20	4,763.00	60.09 W	6.95	Sale
06/29/20	200.000	3,149.91	06/26/20	3,190.09	...	-40.18	Sale
	Security total:	7,859.77		7,953.09	60.09 W	-33.23	
ALIBABA GROUP HOLDING LTD ADR SPONSORED / CUSIP: 01609W102 / Symbol: BABA							
05/27/20	15.000	3,049.43	05/22/20	3,103.50	...	-54.07	Sale
07/13/20	5.000	1,322.47	07/09/20	1,290.40	...	32.07	Sale
	Security total:	4,371.90		4,393.90	...	-22.00	
ALPHA PRO TECH COM / CUSIP: 020772109 / Symbol: APT							
05/13/20	50.000	702.97	04/28/20	681.75	...	21.22	Sale
05/27/20	100.000	1,215.90	05/22/20	1,345.76	...	-129.86	Sale
	Security total:	1,918.87		2,027.51	...	-108.64	

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Account 454980322

Proceeds from Broker and Barter Exchange Transactions

2020 1099-B* OMB No. 1545-0715

(continued)

01/14/2021

SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS [Ordinary gains or losses are identified in the Additional information column] (Lines 2 & 5)

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1a- Description of property/CUSIP/Symbol

1c- Date sold or disposed	Quantity	1d- Proceeds & 6- Reported (G)ross or (N)et	1b- Date acquired	1e- Cost or other basis	1f- Accrued mkt disc (D) & 1g- Wash sale loss disallowed (W)	Gain or loss(-) & 7- Loss not allowed (X) also not reported (Z)	Additional information
ALPHABET INC COM CL A / CUSIP: 02079K305 / Symbol: GOOGL							
06/29/20	2.000	2,720.18	Various	2,847.37	...	-127.19	Sale
AMARIN CORP ADR SPONSORED / CUSIP: 023111206 / Symbol: AMRN							
05/08/20	100.000	781.73	05/08/20	780.00	...	1.73	Sale
AMAZON COM INC COM / CUSIP: 023135106 / Symbol: AMZN							
05/27/20	1.000	2,409.31	05/26/20	2,441.53	...	-32.22	Sale
07/07/20	1.000	3,005.93	07/07/20	3,000.00	...	5.93	Sale
07/20/20	1.000	3,143.33	07/10/20	3,150.00	...	-6.67	Sale
	Security total:	8,558.57		8,591.53	...	-32.96	
AMERICAN AIRLINES GROUP INC COM / CUSIP: 02376R102 / Symbol: AAL							
05/05/20	100.000	950.97	05/01/20	1,101.00	...	-150.03	Sale
APPLE INC COM / CUSIP: 037833100 / Symbol: AAPL							
06/09/20	10.000	3,418.02	06/09/20	3,314.00	...	104.02	Sale
06/25/20	7.000	2,531.14	06/24/20	2,517.62	...	13.52	Sale
09/04/20	34.000	4,113.91	Various	4,151.48	...	-37.57	Sale
	Security total:	10,063.07		9,983.10	...	79.97	
BJS WHSL CLUB HLDGS INC COM / CUSIP: 05550J101 / Symbol: BJ							
06/25/20	50.000	1,828.00	06/22/20	1,825.00	...	3.00	Sale
BANK OF AMERICA CORPORATION COM / CUSIP: 060505104 / Symbol: BAC							
06/18/20	100.000	2,502.58	06/18/20	2,492.99	...	9.59	Sale
06/25/20	75.000	1,841.22	Various	1,841.75	20.27 W	19.74	Sale
06/29/20	100.000	2,339.96	06/26/20	2,420.27	...	-80.31	Sale
	Security total:	6,683.76		6,755.01	20.27 W	-50.98	
BARRICK GOLD CORPORATION COM / CUSIP: 067901108 / Symbol: GOLD							
05/15/20	84.000	2,301.54	Various	2,210.70	...	90.84	Sale
06/01/20	400.000	9,812.74	Various	10,068.25	319.78 W	64.27	Total of 2 transactions
06/08/20	400.000	9,407.94	Various	9,984.01	576.07 W	0.00	Total of 2 transactions
06/09/20	250.000	6,053.27	Various	6,109.73	93.02 W	36.56	Sale
06/10/20	150.000	3,613.40	06/05/20	3,580.20	...	33.20	Sale
06/10/20	100.000	2,408.44	06/05/20	2,454.27	66.92 W	21.09	Sale

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Account 454980322

Proceeds from Broker and Barter Exchange Transactions

2020 1099-B* OMB No. 1545-0715

(continued)

01/14/2021

SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS [Ordinary gains or losses are identified in the Additional information column] (Lines 2 & 5)

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1c- Date sold or disposed	Quantity	1d- Proceeds & 6- Reported (G)ross or (N)et	1b- Date acquired	1e- Cost or other basis	1f- Accrued mkt disc (D) & 1g- Wash sale loss disallowed (W)	Gain or loss(-) & 7- Loss not allowed (X) also not reported (Z)	Additional information
BARRICK GOLD CORPORATION COM / CUSIP: 067901108 / Symbol: GOLD (cont'd)							
06/22/20	50.000	1,267.46	06/22/20	1,299.11	...	-31.65	Sale
06/22/20	50.000	1,268.21	06/22/20	1,321.91	53.70 W	0.00	Sale
06/24/20	50.000	1,296.96	06/24/20	1,366.92	...	-69.96	Sale
06/25/20	50.000	1,283.46	06/25/20	1,338.70	...	-55.24	Sale
Security total:		38,713.42		39,733.80	1,109.49 W	89.11	
BED BATH AND BEYOND COM / CUSIP: 075896100 / Symbol: BBBY							
05/08/20	100.000	603.98	05/01/20	592.82	...	11.16	Sale
BEYOND MEAT INC COM / CUSIP: 08862E109 / Symbol: BYND							
06/09/20	10.000	1,532.82	06/09/20	1,542.40	9.58 W	0.00	Sale
07/10/20	10.000	1,342.07	07/09/20	1,386.18	...	-44.11	Sale
Security total:		2,874.89		2,928.58	9.58 W	-44.11	
BOEING CO COM / CUSIP: 097023105 / Symbol: BA							
06/09/20	20.000	4,516.90	Various	4,720.45	203.55 W	0.00	Total of 2 transactions
07/10/20	10.000	1,784.16	07/09/20	1,923.10	...	-138.94	Sale
Security total:		6,301.06		6,643.55	203.55 W	-138.94	
CARNIVAL CORP UNITS / CUSIP: 143658300 / Symbol: CCL							
07/10/20	50.000	749.97	07/09/20	768.55	...	-18.58	Sale
07/10/20	50.000	750.98	07/09/20	767.00	1.60 W	-14.42	Sale
Security total:		1,500.95		1,535.55	1.60 W	-33.00	
CHEGG INC COM / CUSIP: 163092109 / Symbol: CHGG							
06/29/20	30.000	1,974.26	Various	2,038.15	...	-63.89	Sale
CHICO'S FAS INC COM / CUSIP: 168615102 / Symbol: CHS							
05/08/20	820.000	1,102.78	Various	1,077.26	...	25.52	Sale
CHINA JO-JO DRUGSTORES INC COM / CUSIP: 16949A206 / Symbol: CJJD							
06/09/20	800.000	1,317.37	Various	1,352.00	...	-34.63	Total of 2 transactions

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Account 454980322

Proceeds from Broker and Barter Exchange Transactions

2020 1099-B* OMB No. 1545-0715

(continued)

01/14/2021

SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS [Ordinary gains or losses are identified in the Additional information column] (Lines 2 & 5)

Report on Form 8949, Part I with Box A checked. Basis is provided to the IRS. (Line 12)

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1a- Description of property/CUSIP/Symbol

1c- Date sold or disposed	Quantity	1d- Proceeds & 6- Reported (G)ross or (N)et	1b- Date acquired	1e- Cost or other basis	1f- Accrued mkt disc (D) & 1g- Wash sale loss disallowed (W)	7- Loss not allowed (X) also not reported (Z)	Gain or loss(-) & Additional information
CITIGROUP INC COM / CUSIP: 172967424 / Symbol: C							
06/18/20	50.000	2,660.68	06/18/20	2,642.94	...	17.74	Sale
07/14/20	20.000	1,043.98	07/14/20	1,060.00	...	-16.02	Sale
	Security total:	3,704.66		3,702.94	...	1.72	
COCA-COLA CO COM / CUSIP: 191216100 / Symbol: KO							
05/18/20	20.000	904.13	05/08/20	924.80	...	-20.67	Sale
CROWDSTRIKE HOLDINGS INC COM CL A / CUSIP: 22788C105 / Symbol: CRWD							
05/01/20	15.000	1,028.01	04/30/20	1,025.15	...	2.86	Sale
DELTA AIR LINES INC COM / CUSIP: 247361702 / Symbol: DAL							
04/29/20	30.000	809.98	04/28/20	717.00	...	92.98	Sale
05/05/20	50.000	1,119.08	05/04/20	1,094.14	...	24.94	Sale
05/12/20	50.000	1,113.98	05/11/20	1,102.00	...	11.98	Sale
06/09/20	30.000	1,018.03	06/09/20	1,036.52	...	-18.49	Sale
06/09/20	30.000	1,043.68	06/09/20	1,056.60	12.92 W	0.00	Sale
	Security total:	5,104.75		5,006.26	12.92 W	111.41	
DIREXION SHARES ETF TRUST DIREXION DLY GLD MIN IDX 2X / CUSIP: 25460G781 / Symbol: NUGT							
04/30/20	10.000	680.78	04/28/20	673.60	...	7.18	Sale
06/26/20	20.000	1,407.05	06/26/20	1,382.80	...	24.25	Sale
07/14/20	15.000	1,244.97	Various	1,245.06	...	-0.09	Sale
	Security total:	3,332.80		3,301.46	...	31.34	
WALT DISNEY COMPANY (THE) COM / CUSIP: 254687106 / Symbol: DIS							
06/05/20	25.000	3,162.68	06/05/20	3,167.50	...	-4.82	Sale
06/08/20	25.000	3,153.93	06/05/20	3,167.50	...	-13.57	Sale
	Security total:	6,316.61		6,335.00	...	-18.39	
DOCUSIGN INC COM / CUSIP: 256163106 / Symbol: DOCU							
06/24/20	15.000	2,550.18	06/22/20	2,501.33	...	48.85	Sale
06/26/20	10.000	1,729.65	06/26/20	1,650.80	...	78.85	Sale
07/13/20	5.000	1,059.98	07/09/20	1,051.00	...	8.98	Sale
07/20/20	9.000	1,790.96	07/13/20	1,795.97	...	-5.01	Sale
07/20/20	1.000	199.03	07/13/20	205.25	6.22 W	0.00	Sale
	Security total:	7,329.80		7,204.35	6.22 W	131.67	

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Proceeds from Broker and Barter Exchange Transactions

2020 1099-B* OMB No. 1545-0715

(continued)

01/14/2021

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DOLLAR GENERAL CORP COM / CUSIP: 256677105 / Symbol: DG							
07/07/20	10.000	1,884.36	07/06/20	1,865.00	...	19.36	Sale
ETF MANAGERS TRUST ETFMG TRATMNTS TSTNG AND AD / CUSIP: 26924G763 / Symbol: GERM							
06/26/20	30.000	835.55	Various	855.00	...	-19.45	Total of 4 transactions
06/29/20	20.000	559.99	06/26/20	570.00	...	-10.01	Sale
	Security total:	1,395.54		1,425.00	...	-29.46	
EHEALTH INC COM / CUSIP: 28238P109 / Symbol: EHTH							
06/10/20	15.000	1,655.14	06/10/20	1,694.25	...	-39.11	Sale
EXXON MOBIL CORPORATION COM / CUSIP: 30231G102 / Symbol: XOM							
06/09/20	25.000	1,334.28	06/09/20	1,340.25	...	-5.97	Sale
FACEBOOK INC COM CL A / CUSIP: 30303M102 / Symbol: FB							
05/20/20	20.000	4,579.90	05/20/20	4,442.00	...	137.90	Sale
06/09/20	10.000	2,389.95	06/09/20	2,304.10	...	85.85	Sale
06/10/20	10.000	2,368.85	06/09/20	2,391.30	22.45 W	0.00	Sale
06/25/20	7.000	1,653.50	06/24/20	1,652.69	...	0.81	Sale
06/29/20	10.000	2,081.95	06/26/20	2,274.83	...	-192.88	Sale
	Security total:	13,074.15		13,064.92	22.45 W	31.68	
FASTLY INC COM CL A / CUSIP: 31188V100 / Symbol: FSLY							
07/09/20	20.000	1,939.96	07/09/20	1,899.61	...	40.35	Sale
07/09/20	5.000	467.49	07/09/20	470.00	2.51 W	0.00	Sale
	Security total:	2,407.45		2,369.61	2.51 W	40.35	
GENIUS BRANDS INTL INC COM / CUSIP: 37229T301 / Symbol: GNUS							
06/04/20	300.000	2,267.92	Various	2,177.98	...	89.94	Total of 2 transactions
GOHEALTH INC COM CL A / CUSIP: 38046W105 / Symbol: GOCO							
07/15/20	100.000	1,941.81	07/15/20	1,945.00	...	-3.19	Sale
INGERSOLL RAND INC COM / CUSIP: 45687V106 / Symbol: IR							
05/08/20	25.000	720.73	05/07/20	697.25	...	23.48	Sale

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INOVIO PHARMACEUTICALS INC COM / CUSIP: 45773H201 / Symbol: INO							
05/20/20	300.000	5,391.09	Various	5,364.00	...	27.09	Total of 2 transactions
07/09/20	100.000	2,351.42	Various	2,364.00	...	-12.58	Total of 2 transactions
	Security total:	7,742.51		7,728.00	...	14.51	
JP MORGAN CHASE & CO COM / CUSIP: 46625H100 / Symbol: JPM							
06/25/20	10.000	971.76	06/25/20	944.40	...	27.36	Sale
06/26/20	60.000	5,579.88	Various	5,736.60	156.72 W	0.00	Total of 2 transactions
07/08/20	10.000	929.98	07/07/20	954.07	...	-24.09	Sale
07/08/20	10.000	929.98	07/07/20	954.87	12.45 W	-12.44	Sale
07/13/20	15.000	1,457.67	07/09/20	1,407.02	...	50.65	Sale
	Security total:	9,869.27		9,996.96	169.17 W	41.48	
JUMIA TECHNOLOGIES AG ADR SPONSORED / CUSIP: 48138M105 / Symbol: JMIA							
05/13/20	150.000	779.96	05/12/20	811.47	...	-31.51	Sale
KINROSS GOLD CORP COM / CUSIP: 496902404 / Symbol: KGC							
05/13/20	200.000	1,363.85	05/13/20	1,354.00	...	9.85	Sale
06/01/20	200.000	1,348.63	Various	1,357.98	...	-9.35	Sale
06/01/20	300.000	2,022.55	Various	2,056.29	47.68 W	13.94	Sale
	Security total:	4,735.03		4,768.27	47.68 W	14.44	
KOHLS CORPORATION COM / CUSIP: 500255104 / Symbol: KSS							
05/19/20	100.000	1,899.95	05/18/20	1,899.00	...	0.95	Sale
LIMELIGHT NETWORKS INC COM / CUSIP: 53261M104 / Symbol: LLNW							
05/18/20	175.000	940.59	05/05/20	869.75	...	70.84	Sale
LIVONGO HEALTH INC MRG \$4.24/SH & .592:1 11/2/20 / CUSIP: 539183103 / Symbol:							
07/07/20	35.000	3,135.00	Various	2,963.54	...	171.46	Total of 2 transactions
07/10/20	5.000	532.49	07/09/20	534.10	...	-1.61	Sale
	Security total:	3,667.49		3,497.64	...	169.85	

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MICROSOFT CORP COM / CUSIP: 594918104 / Symbol: MSFT							
05/18/20	10.000	1,849.81	05/11/20	1,829.00	...	20.81	Sale
06/09/20	15.000	2,834.64	06/09/20	2,809.20	...	25.44	Sale
06/10/20	20.000	3,890.54	Various	3,856.80	...	33.74	Total of 2 transactions
	Security total:	8,574.99		8,495.00	...	79.99	
MODERNA INC COM / CUSIP: 60770K107 / Symbol: MRNA							
05/13/20	20.000	1,297.77	05/13/20	1,311.40	13.63 W	0.00	Sale
05/19/20	50.000	3,901.65	05/19/20	3,833.52	...	68.13	Sale
05/27/20	24.000	1,317.83	Various	1,401.60	83.77 W	0.00	Total of 2 transactions
05/28/20	75.000	4,261.03	05/27/20	3,961.76	...	299.27	Sale
07/09/20	175.000	11,327.97	Various	11,258.28	...	69.69	Total of 4 transactions
07/13/20	175.000	12,275.87	Various	12,347.71	102.56 W	30.72	Total of 4 transactions
07/14/20	50.000	3,734.91	07/13/20	3,769.10	34.19 W	0.00	Sale
07/15/20	50.000	4,054.90	07/15/20	4,407.20	...	-352.30	Sale
07/15/20	400.000	33,669.22	Various	34,928.79	352.30 W	-907.27	Total of 2 transactions
	Security total:	75,841.15		77,219.36	586.45 W	-791.76	
MOHAWK INDUSTRIES COM / CUSIP: 608190104 / Symbol: MHK							
07/13/20	10.000	705.98	07/10/20	698.90	...	7.08	Sale
NANO DIMENSION LTD ADR SPONSORED / CUSIP: 63008G203 / Symbol: NNDM							
05/21/20	2,000.000	5,605.39	Various	5,500.00	...	105.39	Total of 3 transactions
NETFLIX INC COM / CUSIP: 64110L106 / Symbol: NFLX							
05/28/20	10.000	4,171.16	05/28/20	4,159.80	...	11.36	Sale
07/13/20	3.000	1,686.33	Various	1,558.47	0.36 W	128.22	Sale
07/27/20	2.000	994.27	Various	1,060.07	...	-65.80	Total of 2 transactions
07/27/20	3.000	1,483.19	07/13/20	1,650.54	111.33 W	-56.02	Sale
	Security total:	8,334.95		8,428.88	111.69 W	17.76	

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NIKOLA CORPORATION COM / CUSIP: 654110105 / Symbol: NKLA							
06/08/20	97.000	8,336.99	Various	8,475.09	177.29 W	39.19	Total of 2 transactions
06/09/20	80.000	6,391.78	Various	6,764.12	300.43 W	-71.91	Total of 2 transactions
07/02/20	25.000	1,450.79	Various	1,570.34	...	-119.55	Total of 4 transactions
07/10/20	10.000	552.24	07/09/20	607.48	...	-55.24	Sale
	Security total:	16,731.80		17,417.03	477.72 W	-207.51	
NOVAN INC COM / CUSIP: 66988N106 / Symbol: NOVN							
05/21/20	2,000.000	829.74	05/21/20	829.90	...	-0.16	Sale
NVIDIA CORP COM / CUSIP: 67066G104 / Symbol: NVDA							
05/27/20	10.000	3,393.03	05/26/20	3,662.00	268.97 W	0.00	Sale
06/29/20	10.000	3,671.72	Various	3,965.22	...	-293.50	Sale
	Security total:	7,064.75		7,627.22	268.97 W	-293.50	
OKTA INC COM CL A / CUSIP: 679295105 / Symbol: OKTA							
06/09/20	10.000	1,844.81	06/08/20	1,800.60	...	44.21	Sale
06/10/20	10.000	1,740.56	06/10/20	1,781.00	40.44 W	0.00	Sale
07/08/20	20.000	4,271.10	Various	4,224.14	...	46.96	Total of 2 transactions
07/13/20	5.000	1,100.48	07/09/20	1,101.00	0.52 W	0.00	Sale
07/14/20	7.000	1,447.22	07/13/20	1,448.82	...	-1.60	Sale
	Security total:	10,404.17		10,355.56	40.96 W	89.57	
ONCONOVA THERAPEUTICS INC COM / CUSIP: 68232V405 / Symbol: ONTX							
04/30/20	3,000.000	1,019.92	04/28/20	943.60	...	76.32	Sale
05/04/20	3,000.000	903.78	Various	933.70	29.92 W	0.00	Total of 3 transactions
05/12/20	2,000.000	779.73	05/12/20	799.68	19.95 W	0.00	Sale
05/15/20	2,000.000	835.74	05/12/20	770.85	...	64.89	Sale
05/18/20	8,000.000	2,988.68	Various	2,982.97	16.54 W	22.25	Total of 2 transactions
05/19/20	8,000.000	2,897.48	Various	3,016.20	90.35 W	-28.37	Total of 2 transactions
05/21/20	3,000.000	1,248.41	Various	1,299.19	...	-50.78	Total of 3 transactions
	Security total:	10,673.74		10,746.19	156.76 W	84.31	
OPTEC INTERNATIONAL INC COM / CUSIP: 68386M102 / Symbol: OPTI							
07/13/20	5,000.000	212.45	07/13/20	230.45	...	-18.00	Sale

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PINTEREST INC COM CL A / CUSIP: 72352L106 / Symbol: PINS							
05/07/20	75.000	1,382.05	05/06/20	1,335.00	...	47.05	Sale
QUEST DIAGNOSTICS INC COM / CUSIP: 74834L100 / Symbol: DGX							
05/08/20	10.000	1,110.58	05/06/20	1,080.00	...	30.58	Sale
RITE AID CORP COM / CUSIP: 767754872 / Symbol: RAD							
05/08/20	80.000	1,085.17	05/05/20	1,067.60	...	17.57	Sale
ROKU INC COM CL A / CUSIP: 77543R102 / Symbol: ROKU							
05/18/20	13.000	1,546.09	05/18/20	1,497.60	...	48.49	Sale
06/24/20	20.000	2,584.73	06/22/20	2,613.70	21.73 W	-7.24	Sale
07/09/20	5.000	732.88	07/09/20	723.84	...	9.04	Sale
07/20/20	10.000	1,503.17	07/13/20	1,575.79	...	-72.62	Sale
	Security total:	6,366.87		6,410.93	21.73 W	-22.33	
RUMBLEON INC 1:20 R/S 5/20/20 781386305 / CUSIP: 781386206 / Symbol:							
04/30/20	1,250.000	414.84	04/29/20	422.88	...	-8.04	Sale
RUTHS HOSPITALITY GROUP INC COM / CUSIP: 783332109 / Symbol: RUTH							
06/23/20	200.000	1,719.94	06/22/20	1,798.00	78.06 W	0.00	Sale
06/29/20	250.000	1,874.93	06/22/20	2,132.24	...	-257.31	Sale
	Security total:	3,594.87		3,930.24	78.06 W	-257.31	
SPDR S&P500 ETF TRUST TR UNIT ETF / CUSIP: 78462F103 / Symbol: SPY							
05/14/20	5.000	1,403.67	05/14/20	1,406.70	...	-3.03	Sale
SALESFORCE.COM INC COM / CUSIP: 79466L302 / Symbol: CRM							
07/13/20	5.000	1,002.48	07/09/20	984.15	...	18.33	Sale
SASOL ADR SPONSORED / CUSIP: 803866300 / Symbol: SSL							
05/15/20	750.000	3,127.34	05/14/20	3,143.75	...	-16.41	Sale
SERVICENOW INC COM / CUSIP: 81762P102 / Symbol: NOW							
07/13/20	2.000	847.99	07/09/20	836.84	...	11.15	Sale

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SHOPIFY INC COM CL A / CUSIP: 82509L107 / Symbol: SHOP							
07/06/20	1.000	988.30	07/06/20	1,003.00	14.70 W	0.00	Sale
07/07/20	3.000	3,097.93	Various	2,980.70	...	117.23	Total of 2 transactions
07/08/20	3.000	3,092.95	Various	3,068.00	...	24.95	Total of 2 transactions
	Security total:	7,179.18		7,051.70	14.70 W	142.18	
SILVERCORP METALS INC COM / CUSIP: 82835P103 / Symbol: SVM							
06/04/20	960.000	4,528.98	Various	4,483.20	...	45.78	Total of 2 transactions
SINTX TECHNOLOGIES INC COM / CUSIP: 829392307 / Symbol: SINT							
06/22/20	500.000	1,154.91	06/22/20	1,100.00	...	54.91	Sale
SMILEDIRECTCLUB INC COM CL A / CUSIP: 83192H106 / Symbol: SDC							
05/07/20	150.000	1,164.70	05/06/20	1,138.49	...	26.21	Sale
05/19/20	460.000	3,353.28	05/19/20	3,311.38	...	41.90	Sale
	Security total:	4,517.98		4,449.87	...	68.11	
SORRENTO THERAPEUTICS INC COM / CUSIP: 83587F202 / Symbol: SRNE							
05/15/20	765.000	4,801.80	Various	4,559.00	...	242.80	Total of 2 transactions
SQUARE INC COM CL A / CUSIP: 852234103 / Symbol: SQ							
07/09/20	5.000	649.89	07/09/20	644.25	...	5.64	Sale
07/13/20	10.000	1,307.97	07/10/20	1,263.00	...	44.97	Sale
	Security total:	1,957.86		1,907.25	...	50.61	
TECK RESOURCES LIMITED COM CL B / CUSIP: 878742204 / Symbol: TECK							
05/18/20	100.000	906.67	Various	880.00	...	26.67	Total of 2 transactions
TELADOC HEALTH INC COM / CUSIP: 87918A105 / Symbol: TDOC							
07/20/20	10.000	2,254.76	07/13/20	2,267.35	...	-12.59	Sale
TESLA INC COM / CUSIP: 88160R101 / Symbol: TSLA							
06/01/20	2.000	1,729.43	06/01/20	1,713.33	...	16.10	Sale
06/10/20	1.000	1,001.00	06/10/20	995.50	...	5.50	Sale
06/12/20	3.000	2,800.77	06/12/20	2,802.60	1.83 W	0.00	Sale
07/06/20	1.000	1,416.97	07/06/20	1,375.61	...	41.36	Sale
07/07/20	2.000	2,773.40	Various	2,761.69	...	11.71	Total of 2 transactions

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TESLA INC COM / CUSIP: 88160R101 / Symbol: TSLA (cont'd)							
07/07/20	4.000	5,584.55	Various	5,610.22	36.03 W	10.36	Total of 2 transactions
07/08/20	1.000	1,399.98	07/08/20	1,404.34	...	-4.36	Sale
08/24/20	1.000	1,985.36	08/18/20	1,860.00	...	125.36	Sale
08/24/20	1.000	1,984.44	08/21/20	2,042.00	57.56 W	0.00	Sale
08/25/20	1.000	1,999.97	08/24/20	2,057.56	57.59 W	0.00	Sale
08/26/20	1.000	2,135.95	08/25/20	2,035.81	...	100.14	Sale
09/03/20	5.000	2,089.95	09/03/20	2,160.00	...	-70.05	Sale
09/03/20	5.000	2,130.00	08/28/20	2,200.00	70.00 W	0.00	Sale
	Security total:	29,031.77		29,018.66	223.01 W	236.12	
3M COMPANY COM / CUSIP: 88579Y101 / Symbol: MMM							
05/18/20	10.000	1,459.42	05/11/20	1,480.00	...	-20.58	Sale
VIRGIN GALACTIC HLDGS INC COM / CUSIP: 92766K106 / Symbol: SPCE							
05/20/20	25.000	375.00	05/20/20	373.25	...	1.75	Sale
VISA INC COM CL A / CUSIP: 92826C839 / Symbol: V							
07/10/20	5.000	951.03	07/09/20	952.50	...	-1.47	Sale
VISLINK TECHNOLOGIES INC 1:6 /RS 8/3/20 92836Y300 / CUSIP: 92836Y201 / Symbol:							
06/03/20	3,600.000	1,592.53	06/03/20	1,598.04	5.51 W	0.00	Sale
06/04/20	10,000.000	8,218.63	Various	7,677.56	...	541.07	Total of 2 transactions
06/04/20	10,000.000	7,738.24	Various	7,584.61	115.18 W	268.81	Total of 2 transactions
	Security total:	17,549.40		16,860.21	120.69 W	809.88	
VROOM INC COM / CUSIP: 92918V109 / Symbol: VRM							
06/09/20	1,000.000	47,089.87	Various	45,583.56	...	1,506.31	Total of 5 transactions
06/09/20	400.000	18,107.59	06/09/20	18,137.75	103.31 W	73.15	Sale
06/10/20	150.000	8,699.79	06/09/20	7,427.50	...	1,272.29	Sale
06/10/20	100.000	5,487.87	Various	5,805.07	317.20 W	0.00	Total of 2 transactions
06/23/20	60.000	3,113.92	06/22/20	3,037.13	...	76.79	Sale
06/25/20	50.000	2,586.46	Various	2,472.61	...	113.85	Sale
06/29/20	50.000	2,689.93	06/26/20	2,715.00	25.07 W	0.00	Sale
07/06/20	50.000	2,942.92	07/06/20	2,935.09	...	7.83	Sale
07/06/20	25.000	1,427.47	07/06/20	1,427.50	0.03 W	0.00	Sale
07/20/20	50.000	2,457.44	Various	2,798.68	341.24 W	0.00	Sale

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VROOM INC COM / CUSIP: 92918V109 / Symbol: VRM (cont'd)							
07/27/20	28.000	1,399.88	07/07/20	1,724.81	...	-324.93	Sale
07/28/20	22.000	1,135.47	Various	1,272.43	...	-136.96	Total of 2 transactions
	Security total:	97,138.61		95,337.13	786.85 W	2,588.33	
WALMART INC COM / CUSIP: 931142103 / Symbol: WMT							
05/18/20	15.000	1,909.76	05/18/20	1,912.50	...	-2.74	Sale
WARNER MUSIC GROUP CORP COM CL A / CUSIP: 934550203 / Symbol: WMG							
06/03/20	50.000	1,538.46	06/03/20	1,497.50	...	40.96	Sale
06/04/20	50.000	1,513.46	06/03/20	1,497.50	...	15.96	Sale
06/24/20	50.000	1,581.97	06/22/20	1,665.00	83.03 W	0.00	Sale
06/29/20	75.000	2,324.94	06/22/20	2,531.03	...	-206.09	Sale
	Security total:	6,958.83		7,191.03	83.03 W	-149.17	
WELLS FARGO & COMPANY COM / CUSIP: 949746101 / Symbol: WFC							
05/18/20	100.000	2,455.95	Various	2,424.50	14.52 W	45.97	Sale
05/26/20	50.000	1,243.97	05/22/20	1,219.27	...	24.70	Sale
06/18/20	100.000	2,737.93	06/18/20	2,730.00	...	7.93	Sale
06/25/20	75.000	2,023.61	Various	2,019.00	18.43 W	23.04	Sale
06/29/20	100.000	2,552.97	Various	2,643.43	...	-90.46	Total of 2 transactions
	Security total:	11,014.43		11,036.20	32.95 W	11.18	
WIMI HOLOGRAM CLOUD INC ADR / CUSIP: 97264L100 / Symbol: WIMI							
07/13/20	50.000	1,103.47	07/13/20	1,005.00	...	98.47	Sale
WORKDAY INC COM CL A / CUSIP: 98138H101 / Symbol: WDAY							
06/08/20	10.000	1,803.71	06/08/20	1,795.90	...	7.81	Sale
XPRESSPA GROUP INC 1:3 R/S 6/11/20 98420U703 / CUSIP: 98420U604 / Symbol:							
06/05/20	205.000	578.07	06/05/20	497.53	...	80.54	Sale
06/05/20	1,045.000	2,570.52	06/05/20	2,624.44	101.13 W	47.21	Sale
	Security total:	3,148.59		3,121.97	101.13 W	127.75	

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XPRESSPA GROUP INC COM / CUSIP: 98420U703 / Symbol: XSPA							
06/18/20	1,200.000	5,977.75	Various	6,108.90	158.96 W	27.81	Total of 4 transactions
06/19/20	500.000	2,489.88	06/19/20	2,579.07	7.75 W	-81.44	Sale
07/08/20	100.000	411.98	07/08/20	421.11	...	-9.13	Sale
	Security total:	8,879.61		9,109.08	166.71 W	-62.76	
ZOOMINFO TECHNOLOGIES INC COM CL A / CUSIP: 98980F104 / Symbol: ZI							
06/04/20	100.000	3,477.91	06/04/20	3,650.00	...	-172.09	Sale
ZSCALER INC COM / CUSIP: 98980G102 / Symbol: ZS							
06/25/20	20.000	2,242.05	06/23/20	2,197.50	...	44.55	Sale
06/26/20	10.000	1,073.24	06/26/20	1,079.10	...	-5.86	Sale
	Security total:	3,315.29		3,276.60	...	38.69	
ZOOM VIDEO COMMUNICATIONS INC COM CL A / CUSIP: 98980L101 / Symbol: ZM							
06/09/20	10.000	2,066.55	06/08/20	2,006.90	...	59.65	Sale
06/09/20	25.000	5,139.43	Various	5,141.98	2.55 W	0.00	Total of 2 transactions
06/10/20	10.000	2,148.05	06/10/20	2,153.46	5.41 W	0.00	Sale
06/24/20	10.000	2,539.64	06/22/20	2,491.03	...	48.61	Sale
06/26/20	7.000	1,796.24	Various	1,771.72	...	24.52	Total of 2 transactions
	Security total:	13,689.91		13,565.09	7.96 W	132.78	
APPLE INC AAPL Aug 28 2020 505.0 Call / CUSIP: / Symbol: AAPL 08/28/20 C 505.000							
08/28/20	1.000	399.32	08/27/20	600.67	...	-201.35	Option sale
APPLE INC AAPL Dec 18 2020 125.0 Call / CUSIP: / Symbol: AAPL 12/18/20 C 125.000							
09/09/20	1.000	899.31	09/08/20	900.67	...	-1.36	Option sale
ASTRAZENECA AZN Aug 21 2020 65.0 Call / CUSIP: / Symbol: AZN 08/21/20 C 65.000							
07/17/20	1.000	153.33	07/17/20	153.67	...	-0.34	Option sale
BOEING CO BA Aug 07 2020 180.0 Call / CUSIP: / Symbol: BA 08/07/20 C 180.000							
08/05/20	1.000	173.33	07/16/20	1,361.67	...	-1,188.34	Option sale
BOEING CO BA Oct 16 2020 195.0 Call / CUSIP: / Symbol: BA 10/16/20 C 195.000							
08/05/20	1.000	1,029.31	07/20/20	1,470.67	...	-441.36	Option sale

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BOEING CO BA Jan 15 2021 190.0 Call / CUSIP: / Symbol: BA 01/15/21 C 190.000							
08/05/20	1.000	2,109.28	07/29/20	1,739.67	...	369.61	Option sale
BOX INC BOX Aug 21 2020 19.0 Call / CUSIP: / Symbol: BOX 08/21/20 C 19.000							
07/20/20	1.000	144.33	07/20/20	140.67	...	3.66	Option sale
CITIGROUP INC C Jul 17 2020 52.0 Put / CUSIP: / Symbol: C 07/17/20 P 52.000							
07/14/20	1.000	146.33	07/13/20	162.67	...	-16.34	Option sale
CLOUDERA INC CLDR Sep 04 2020 14.0 Call / CUSIP: / Symbol: CLDR 09/04/20 C 14.000							
09/01/20	2.000	243.66	Various	233.33	...	10.33	Total of 2 transactions
COSTCO WHOLESALE CORP COST Sep 25 2020 370.0 Call / CUSIP: / Symbol: COST 09/25/20 C 370.000							
09/03/20	1.000	559.32	09/03/20	540.67	...	18.65	Option sale
SALESFORCE.COM INC CRM Oct 02 2020 270.0 Call / CUSIP: / Symbol: CRM 10/02/20 C 270.000							
08/31/20	1.000	1,399.30	08/31/20	1,305.67	...	93.63	Option sale
SALESFORCE.COM INC CRM Oct 02 2020 272.5 Call / CUSIP: / Symbol: CRM 10/02/20 C 272.500							
09/02/20	1.000	1,639.29	09/02/20	1,400.67	...	238.62	Option sale
SALESFORCE.COM INC CRM Oct 02 2020 275.0 Call / CUSIP: / Symbol: CRM 10/02/20 C 275.000							
09/08/20	1.000	299.32	09/02/20	1,475.67	...	-1,176.35	Option sale
SALESFORCE.COM INC CRM Oct 16 2020 280.0 Call / CUSIP: / Symbol: CRM 10/16/20 C 280.000							
09/02/20	1.000	1,626.29	09/02/20	1,650.67	...	-24.38	Option sale
SALESFORCE.COM INC CRM Nov 20 2020 280.0 Call / CUSIP: / Symbol: CRM 11/20/20 C 280.000							
08/31/20	1.000	1,919.29	08/31/20	1,790.67	...	128.62	Option sale
SALESFORCE.COM INC CRM Jan 15 2021 270.0 Call / CUSIP: / Symbol: CRM 01/15/21 C 270.000							
08/27/20	1.000	2,799.27	08/27/20	2,790.67	...	8.60	Option sale
CROWDSTRIKE HOLDINGS INC CRWD Sep 11 2020 145.0 Call / CUSIP: / Symbol: CRWD 09/11/20 C 145.000							
09/02/20	1.000	1,199.30	09/01/20	1,230.67	...	-31.37	Option sale
CROWDSTRIKE HOLDINGS INC CRWD Sep 18 2020 150.0 Call / CUSIP: / Symbol: CRWD 09/18/20 C 150.000							
09/09/20	1.000	79.33	09/02/20	1,650.67	...	-1,571.34	Option sale

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DELTA AIR LINES INC DAL Jul 17 2020 27.0 Put / CUSIP: / Symbol: DAL 07/17/20 P 27.000							
07/14/20	1.000	152.33	07/13/20	123.67	...	28.66	Option sale
DOLLAR GENERAL CORP DG Sep 04 2020 200.0 Call / CUSIP: / Symbol: DG 09/04/20 C 200.000							
08/26/20	1.000	629.32	08/24/20	530.67	...	98.65	Option sale
DOLLAR GENERAL CORP DG Sep 04 2020 205.0 Call / CUSIP: / Symbol: DG 09/04/20 C 205.000							
09/02/20	1.000	89.33	08/26/20	550.67	...	-461.34	Option sale
DOCUSIGN INC DOCU Sep 25 2020 265.0 Call / CUSIP: / Symbol: DOCU 09/25/20 C 265.000							
09/02/20	1.000	4,099.24	09/01/20	3,100.67	...	998.57	Option sale
DOCUSIGN INC DOCU Oct 02 2020 225.0 Call / CUSIP: / Symbol: DOCU 10/02/20 C 225.000							
09/01/20	1.000	3,029.26	08/31/20	1,770.67	...	1,258.59	Option sale
DOCUSIGN INC DOCU Dec 18 2020 230.0 Call / CUSIP: / Symbol: DOCU 12/18/20 C 230.000							
08/31/20	1.000	2,759.27	08/31/20	2,630.67	...	128.60	Option sale
ETSY INC ETSY Jan 15 2021 120.0 Call / CUSIP: / Symbol: ETSY 01/15/21 C 120.000							
08/31/20	1.000	1,704.29	08/28/20	1,700.67	...	3.62	Option sale
FACEBOOK INC FB Oct 02 2020 295.0 Call / CUSIP: / Symbol: FB 10/02/20 C 295.000							
08/31/20	1.000	1,659.29	08/31/20	1,540.67	...	118.62	Option sale
FACEBOOK INC FB Oct 16 2020 300.0 Call / CUSIP: / Symbol: FB 10/16/20 C 300.000							
09/02/20	1.000	1,939.29	09/02/20	1,800.67	...	138.62	Option sale
FACEBOOK INC FB Dec 18 2020 300.0 Call / CUSIP: / Symbol: FB 12/18/20 C 300.000							
08/26/20	1.000	2,304.28	08/25/20	1,850.67	...	453.61	Option sale
09/02/20	1.000	3,399.25	09/02/20	3,200.67	...	198.58	Option sale
	Security total:	5,703.53		5,051.34	...	652.19	
FACEBOOK INC FB Dec 18 2020 320.0 Call / CUSIP: / Symbol: FB 12/18/20 C 320.000							
09/03/20	1.000	2,004.29	09/03/20	2,000.67	...	3.62	Option sale
NABORS INDUSTRIES LTD COM / CUSIP: G6359F137 / Symbol: NBR							
04/30/20	75.000	952.47	04/29/20	940.40	...	12.07	Sale

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NORDIC AMER TANKERS LTD COM / CUSIP: G65773106 / Symbol: NAT							
04/29/20	100.000	616.97	04/29/20	615.56	...	1.41	Sale
ROYALTY PHARMA PLC COM / CUSIP: G7709Q104 / Symbol: RPRX							
06/16/20	300.000	13,333.67	Various	13,295.09	...	38.58	Total of 3 transactions
06/16/20	200.000	8,785.81	06/16/20	8,679.48	7.09 W	113.42	Sale
	Security total:	22,119.48		21,974.57	7.09 W	152.00	
GENIUS BRANDS INTL INC GNUS Sep 18 2020 2.0 Call / CUSIP: / Symbol: GNUS 09/18/20 C 2.000							
09/18/20	2.000	0.00	07/22/20	139.33	...	-139.33	Option expiration
IDEANOMICS INC IDEX Aug 21 2020 1.0 Call / CUSIP: / Symbol: IDEX 08/21/20 C 1.000							
07/20/20	2.000	110.67	07/17/20	111.33	...	-0.66	Option sale
SPOTIFY TECHNOLOGY S.A. COM / CUSIP: L8681T102 / Symbol: SPOT							
07/07/20	7.000	1,842.71	07/06/20	1,823.50	...	19.21	Sale
MACY'S INC M Sep 18 2020 9.5 Call / CUSIP: / Symbol: M 09/18/20 C 9.500							
09/04/20	5.000	46.66	09/04/20	43.33	...	3.33	Option sale
MACY'S INC M Sep 25 2020 8.5 Call / CUSIP: / Symbol: M 09/25/20 C 8.500							
09/04/20	4.000	117.32	09/04/20	94.66	...	22.66	Option sale
MACY'S INC M Oct 16 2020 9.0 Call / CUSIP: / Symbol: M 10/16/20 C 9.000							
09/03/20	4.000	183.34	Various	90.67	...	92.67	Total of 2 transactions
INTEC PHARMA LTD 1:20 R/S 10/30/20 M53644148 / CUSIP: M53644106 / Symbol:							
05/18/20	2,000.000	472.74	05/04/20	612.00	...	-139.26	Sale
MODERNA INC MRNA Aug 14 2020 85.0 Call / CUSIP: / Symbol: MRNA 08/14/20 C 85.000							
08/14/20	1.000	0.00	07/16/20	800.67	...	-800.67	Option expiration
MODERNA INC MRNA Aug 21 2020 105.0 Call / CUSIP: / Symbol: MRNA 08/21/20 C 105.000							
07/17/20	2.000	1,668.62	Various	1,822.70	154.08 W	0.00	Total of 2 transactions
08/21/20	3.000	0.00	Various	1,744.73	...	-1,744.73	Option expiration
	Security total:	1,668.62		3,567.43	154.08 W	-1,744.73	

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MICROSOFT CORP MSFT Dec 18 2020 230.0 Call / CUSIP: / Symbol: MSFT 12/18/20 C 230.000							
08/25/20	1.000	1,119.31	08/24/20	1,060.67	...	58.64	Option sale
08/26/20	1.000	1,249.30	08/24/20	1,000.67	...	248.63	Option sale
08/31/20	1.000	1,874.29	08/31/20	1,795.67	...	78.62	Option sale
09/02/20	1.000	2,039.28	09/01/20	1,870.67	...	168.61	Option sale
09/03/20	1.000	1,579.30	09/03/20	1,650.67	...	-71.37	Option sale
	Security total:	7,861.48		7,378.35	...	483.13	
MICROSOFT CORP MSFT Dec 18 2020 235.0 Call / CUSIP: / Symbol: MSFT 12/18/20 C 235.000							
09/02/20	1.000	1,999.29	09/02/20	1,900.67	...	98.62	Option sale
MICROSOFT CORP MSFT Dec 18 2020 230.0 Put / CUSIP: / Symbol: MSFT 12/18/20 P 230.000							
08/31/20	1.000	2,234.28	08/31/20	2,250.67	...	-16.39	Option sale
NETFLIX INC NFLX Oct 02 2020 530.0 Call / CUSIP: / Symbol: NFLX 10/02/20 C 530.000							
08/31/20	1.000	3,224.26	08/31/20	3,100.67	...	123.59	Option sale
NETFLIX INC NFLX Oct 02 2020 535.0 Call / CUSIP: / Symbol: NFLX 10/02/20 C 535.000							
09/01/20	1.000	3,206.26	08/31/20	3,050.67	...	155.59	Option sale
NETFLIX INC NFLX Oct 02 2020 560.0 Call / CUSIP: / Symbol: NFLX 10/02/20 C 560.000							
09/02/20	1.000	3,049.26	09/01/20	2,950.67	...	98.59	Option sale
NETFLIX INC NFLX Dec 18 2020 600.0 Call / CUSIP: / Symbol: NFLX 12/18/20 C 600.000							
08/31/20	1.000	3,602.25	08/28/20	3,500.67	...	101.58	Option sale
NIKE INC NKE Jul 02 2020 93.5 Put / CUSIP: / Symbol: NKE 07/02/20 P 93.500							
07/01/20	1.000	15.66	06/30/20	0.00	...	15.66	Short sale closed- option
NIKE INC NKE Jul 02 2020 105.0 Call / CUSIP: / Symbol: NKE 07/02/20 C 105.000							
07/02/20	2.000	0.00	06/25/20	305.33	...	-305.33	Option expiration
NIKOLA CORPORATION NKLA Sep 18 2020 60.0 Call / CUSIP: / Symbol: NKLA 09/18/20 C 60.000							
08/04/20	1.000	224.33	07/20/20	188.67	...	35.66	Option sale
NVIDIA CORP NVDA Oct 02 2020 550.0 Call / CUSIP: / Symbol: NVDA 10/02/20 C 550.000							
09/01/20	1.000	2,899.27	08/31/20	3,000.67	...	-101.40	Option sale

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

TD Ameritrade Clearing, Inc.

Account 454980322

Proceeds from Broker and Barter Exchange Transactions

2020 1099-B* OMB No. 1545-0715

(continued)

01/14/2021

SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS [Ordinary gains or losses are identified in the Additional information column] (Lines 2 & 5)

Report on Form 8949, Part I with Box A checked. Basis is provided to the IRS. (Line 12)

"Gain or loss (-)" is NOT reported to the IRS.

1a- Description of property/CUSIP/Symbol

1c- Date sold or disposed	Quantity	1d- Proceeds & 6- Reported (G)ross or (N)et	1b- Date acquired	1e- Cost or other basis	1f- Accrued mkt disc (D) & 1g- Wash sale loss disallowed (W)	7- Loss not allowed (X) also not reported (Z)	Gain or loss(-) & Additional information
NVIDIA CORP NVDA Oct 02 2020 565.0 Call / CUSIP: / Symbol: NVDA 10/02/20 C 565.000							
09/02/20	1.000	3,999.24	09/01/20	3,400.67	...	598.57	Option sale
NVIDIA CORP NVDA Oct 02 2020 575.0 Call / CUSIP: / Symbol: NVDA 10/02/20 C 575.000							
09/02/20	1.000	3,819.25	09/02/20	3,500.67	...	318.58	Option sale
NVIDIA CORP NVDA Oct 02 2020 580.0 Call / CUSIP: / Symbol: NVDA 10/02/20 C 580.000							
09/02/20	1.000	3,599.25	09/02/20	3,600.67	...	-1.42	Option sale
NVIDIA CORP NVDA Oct 02 2020 585.0 Call / CUSIP: / Symbol: NVDA 10/02/20 C 585.000							
09/09/20	1.000	699.31	09/02/20	3,500.67	...	-2,801.36	Option sale
ROYAL CARIBBEAN CRUISES RCL Jul 24 2020 52.5 Put / CUSIP: / Symbol: RCL 07/24/20 P 52.500							
07/20/20	1.000	264.32	07/16/20	220.67	...	43.65	Option sale
SPDR S&P500 ETF TRUST SPY Jul 17 2020 320.0 Put / CUSIP: / Symbol: SPY 07/17/20 P 320.000							
07/13/20	1.000	296.32	07/13/20	268.67	...	27.65	Option sale
SORRENTO THERAPEUTICS INC SRNE Aug 21 2020 12.0 Put / CUSIP: / Symbol: SRNE 08/21/20 P 12.000							
08/05/20	1.000	149.33	08/05/20	195.67	...	-46.34	Option sale
TELADOC HEALTH INC TDOC Oct 23 2020 200.0 Call / CUSIP: / Symbol: TDOC 10/23/20 C 200.000							
09/04/20	1.000	1,739.29	09/04/20	1,750.67	...	-11.38	Option sale
TESLA INC TSLA Sep 04 2020 480.0 Call / CUSIP: / Symbol: TSLA 09/04/20 C 480.000							
08/31/20	1.000	2,106.28	08/31/20	1,900.67	...	205.61	Option sale
TESLA INC TSLA Sep 11 2020 400.0 Call / CUSIP: / Symbol: TSLA 09/11/20 C 400.000							
09/08/20	1.000	231.32	09/08/20	255.67	24.35 W	0.00	Option sale
09/09/20	1.000	299.32	09/08/20	255.02	...	44.30	Option sale
	Security total:	530.64		510.69	24.35 W	44.30	
TESLA INC TSLA Sep 04 2020 2500.0 Call / CUSIP: / Symbol: TSLA 09/04/20 C 2500.000							
08/19/20	1.000	1,519.30	08/18/20	1,800.67	...	-281.37	Option sale

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TD Ameritrade Clearing, Inc.

Account 454980322

Proceeds from Broker and Barter Exchange Transactions

2020 1099-B* OMB No. 1545-0715

(continued)

01/14/2021

SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS [Ordinary gains or losses are identified in the Additional information column] (Lines 2 & 5)

Report on Form 8949, Part I with Box A checked. Basis is provided to the IRS. (Line 12)

"Gain or loss (-)" is NOT reported to the IRS.

1a- Description of property/CUSIP/Symbol

1c- Date sold or disposed	Quantity	1d- Proceeds & 6- Reported (G)ross or (N)et	1b- Date acquired	1e- Cost or other basis	1f- Accrued mkt disc (D) & 1g- Wash sale loss disallowed (W)	Gain or loss(-) & 7- Loss not allowed (X) also not reported (Z)	Additional information
TESLA INC TSLA Sep 04 2020 3000.0 Call / CUSIP: / Symbol: TSLA 09/04/20 C 3000.000							
08/26/20	1.000	529.32	08/25/20	937.02	...	-407.70	Option sale
08/26/20	1.000	574.32	08/24/20	990.67	416.35 W	0.00	Option sale
	Security total:	1,103.64		1,927.69	416.35 W	-407.70	
TESLA INC TSLA Oct 02 2020 2500.0 Call / CUSIP: / Symbol: TSLA 10/02/20 C 2500.000							
08/19/20	1.000	5,299.21	08/19/20	5,200.67	...	98.54	Option sale
ROYAL CARIBBEAN GROUP COM / CUSIP: V7780T103 / Symbol: RCL							
06/09/20	20.000	1,383.17	06/09/20	1,377.00	...	6.17	Sale
WORKDAY INC WDAY Oct 02 2020 235.0 Call / CUSIP: / Symbol: WDAY 10/02/20 C 235.000							
09/09/20	1.000	249.32	09/02/20	1,150.67	...	-901.35	Option sale
WELLS FARGO & COMPANY WFC Jul 17 2020 25.5 Put / CUSIP: / Symbol: WFC 07/17/20 P 25.500							
07/14/20	1.000	197.33	07/13/20	110.67	...	86.66	Option sale
WALMART INC WMT Sep 25 2020 160.0 Call / CUSIP: / Symbol: WMT 09/25/20 C 160.000							
09/09/20	1.000	74.33	09/03/20	170.67	...	-96.34	Option sale
SELECT SECTOR SPDR TRUST XLF Aug 14 2020 24.0 Call / CUSIP: / Symbol: XLF 08/14/20 C 24.000							
07/20/20	2.000	134.67	07/20/20	139.33	...	-4.66	Option sale
ZOOM VIDEO COMMUNICATIONS INC ZM Sep 04 2020 300.0 Call / CUSIP: / Symbol: ZM 09/04/20 C 300.000							
08/31/20	1.000	2,309.28	08/26/20	1,450.67	...	858.61	Option sale
ZOOM VIDEO COMMUNICATIONS INC ZM Oct 09 2020 450.0 Call / CUSIP: / Symbol: ZM 10/09/20 C 450.000							
09/02/20	1.000	2,919.27	09/02/20	2,900.67	...	18.60	Option sale
ZOOM VIDEO COMMUNICATIONS INC ZM Jan 15 2021 350.0 Call / CUSIP: / Symbol: ZM 01/15/21 C 350.000							
08/26/20	1.000	2,679.27	08/24/20	2,400.67	...	278.60	Option sale
Totals :		712,927.95		720,120.96	5,578.28 W	-1,614.73	

* 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. Remember, taxpayers are ultimately responsible for the accuracy of their tax return(s).

TD Ameritrade Clearing, Inc.

Account 454980322

Proceeds from Broker and Barter Exchange Transactions

2020 1099-B* OMB No. 1545-0715

(continued)

01/14/2021

SHORT TERM TRANSACTIONS FOR NONCOVERED TAX LOTS [Ordinary gains or losses are identified in the Additional information column] (Line 5)

Report on Form 8949, Part I with Box B checked. Basis is NOT provided to the IRS. (Line 12)

"Date acquired," "Cost or other basis," "Accrued market discount," "Wash sale loss disallowed" and "Gain or loss (-)" are NOT reported to the IRS.

1a- Description of property/CUSIP/Symbol

1c- Date sold or disposed	Quantity	1d- Proceeds & 6- Reported (G)ross or (N)et	Date acquired	Cost or other basis	Accrued mkt disc (D) & Wash sale loss disallowed (W)	Gain or loss(-) & 7- Loss not allowed (X) also not reported (Z)	Additional information
CREDIT SUISSE NASSAU ETN / CUSIP: 22542D258 / Symbol: TVIXF							
06/19/20	60.000	9,160.71	Various	8,887.60	...	273.11	Total of 3 transactions
06/19/20	30.000	4,852.89	Various	4,800.93	5.10 W	57.06	Total of 2 transactions
06/26/20	20.000	2,860.74	06/26/20	2,724.47	...	136.27	Sale
07/02/20	10.000	1,081.78	06/30/20	1,719.40	...	-637.62	Sale
07/02/20	10.000	1,084.60	Various	1,461.30	376.70 W	0.00	Total of 2 transactions
	Security total:	19,040.72		19,593.70	381.80 W	-171.18	
Totals :		19,040.72		19,593.70	381.80 W	-171.18	

* 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. Remember, taxpayers are ultimately responsible for the accuracy of their tax return(s).

TD Ameritrade Clearing, Inc.

Account 454980322

Detail for Dividends and Distributions

2020

01/14/2021

This section of your tax information statement contains the payment level detail of your taxable dividends, capital gains distributions, exempt-interest dividends, nondividend distributions and liquidation distributions. Also shown are the fair market values of any taxable stock dividends or noncash liquidation distributions.

Federal, state and foreign tax withheld and investment expenses are presented as negative amounts but do not net against the reportable income totals. All amounts are grouped by security, with the transactions listed in chronological order. Subtotals for each security are provided. For situations in which the tax character of a distribution (or part thereof) is different than at the time it was paid, endnotes are provided for further explanation.

Note that a payment characterized as a "Qualified dividend" is only issuer-qualified. Reallocation of a dividend and its tax character is determined by the issuer.

Security description	CUSIP and/or symbol	State	Date	Amount	Transaction type	Notes
BARRICK GOLD CORPORATION COM	067901108 GOLD		06/15/20	14.00	Qualified dividend	
			06/15/20	-2.10	Foreign tax withheld-CA	
				14.00	Total Dividends & distributions	
				-2.10	Total Foreign tax withheld	
SILVERCORP METALS INC COM	82835P103 SVM		06/26/20	12.00	Qualified dividend	
			06/26/20	-1.80	Foreign tax withheld-CA	
				12.00	Total Dividends & distributions	
				-1.80	Total Foreign tax withheld	
				26.00	Total Dividends & distributions	
				-3.90	Total Foreign tax withheld	

TD Ameritrade Clearing, Inc.

Account 454980322

Detail for Interest Income

2020

01/14/2021

This section of your tax information statement contains the payment level detail of taxable interest and associated bond premium. Market discount will be shown here only if you have elected to recognize it currently rather than at the time of sale or maturity. Bond premium and market discount for covered tax lots are totaled on Form 1099-INT and reported to the IRS. For noncovered tax lots, they are totaled in the Adjustments to Interest and Original Issue Discount and are not reported to the IRS.

To provide a complete picture of activity for each investment, we also include here nonreportable transactions such as accrued interest paid on purchases and payment or receipt of nonqualified interest. Other amounts, such as federal, state and foreign tax withheld and investment expenses are shown as negative amounts but do not net against the reportable income totals.

Security description	CUSIP and/or symbol	Date	Amount	Transaction type	Notes
Interest Credited		06/30/20	0.10	Credit interest	
		07/31/20	0.13	Credit interest	
		08/31/20	0.18	Credit interest	
		09/30/20	0.05	Credit interest	
			0.46	Total Interest	
FDIC INSURED DEPOSIT ACCOUNT CORE NOT COVERED BY SIPC	9ZZZFD104 MMDA1	05/31/20	0.06	Interest- money mkt	
		06/30/20	0.01	Interest- money mkt	
			0.07	Total Interest	
			0.53	Total Interest	

TD Ameritrade Clearing, Inc.

Account 454980322

Foreign Income and Taxes Summary

2020

01/14/2021

This schedule lists all income and foreign tax by country. Mutual Funds and Unit Investment Trusts (UITs) structured as Regulated Investment Companies (RICs) are listed separately with a country designation of "RIC."

Country	Security Description	CUSIP	Nonqualified	Dividends		Interest	Total Income	Tax
				Qualified				
CA	BARRICK GOLD CORPORATION COM	067901108	0.00	14.00		0.00	14.00	-2.10
CA	SILVERCORP METALS INC COM	82835P103	0.00	12.00		0.00	12.00	-1.80
Total CANADA			0.00	26.00		0.00	26.00	-3.90
Grand Total	Total Foreign Source Income*			26.00				
	Qualified Foreign Source Income**			26.00				
	Foreign Tax							-3.90

* Total Foreign Source Income utilizes the "Total" column for RICs which may not always be supplied.

** Qualified Foreign Source Income utilizes the "Qualified" column for RICs which may not always be supplied.

Common Instructions for Recipient

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

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

Backup Withholding. Shows backup withholding. Generally, a payer must backup withhold if you did not furnish your taxpayer identification number. See Form W-9 and Pub. 505 for more information. Report this amount on your income tax return as tax withheld.

Nominees. If this 1099 form includes amounts belonging to another person, you are considered a nominee recipient. You must file as the "payer" the respective Form 1099 (DIV, INT, or OID) Copy A (with a Form 1096) to the IRS for each of the other owners as recipient(s) to show their allocable share of the income and you must furnish the respective Copy B Form(s) and amounts to each owner. A spouse is not required to file a nominee return to show amounts owned by the other spouse. See the 2019 General Instructions for Certain Information Returns.

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

Keep tax documents for your records.**1099-DIV Instructions for Recipient**

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

FATCA filing requirement. If the FATCA filing requirement box is checked, the payer is reporting on 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.

Line 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.

Line 1b. Shows the portion of the amount in line 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.

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 or 1040-SR). But, if no amount is shown in lines 2c and 2d and your only capital gains and losses are capital gain distributions, you may be able to report the amounts shown in line 2a on your Form 1040 or 1040-SR rather than Schedule D. See the Instructions for Forms 1040 and 1040-SR.

Line 2b. Shows the portion of the amount in line 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).

Line 2c. Shows the portion of the amount in line 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.

Line 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).

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 Pub. 550.

Line 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.

Line 5. Shows the portion of the amount in line 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.

Instructions for Recipient

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

Line 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.

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

Lines 9 and 10. Show 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 Forms 1040 and 1040-SR for where to report. This amount may be subject to backup withholding. See line 4 above.

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

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

1099-INT Instructions for Recipient

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

Line 1. Shows taxable interest paid to you during the calendar year by the payer. This does not include interest shown in 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 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.

Line 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.

Line 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 line 1. See the instructions above for a taxable covered security acquired at a premium.

Line 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.

Line 5. Any amount shown is your share of investment expenses of a singleclass REMIC. This amount is included in line 1. Note: This amount is not deductible.

Line 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.

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

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 Forms 1040 and 1040-SR. This

amount may be subject to backup withholding. See Line 4 above. See the instructions above for a tax-exempt covered security acquired at a premium.

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

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. 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 includable in taxable income as interest income.

Line 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 line, see the Instructions for Schedule B (Form 1040 or 1040-SR) to determine the net amount of interest includable in income on Form 1040 or 1040-SR with respect to the security. If an amount is not reported in this line 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 line 1. If the amount in line 11 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 in this line, see the Instructions for Schedule B (Form 1040 or 1040-SR) to determine the net amount of interest includable in income on Form 1040 or 1040-SR with respect to the U.S. Treasury obligation. If an amount is not reported in this line 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 line 3. If the amount in line 12 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 an amount is reported in this line, 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 line for a tax-exempt covered security acquired at a premium, the payer has reported a net amount of interest in line 8 or 9, whichever is applicable. If the amount in line 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).

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. If blank, no CUSIP number was issued for the bond(s). **Lines 15-17.** State tax withheld reporting lines. 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.

1099-B Instructions for Recipient

Brokers and barter exchanges must report proceeds from (and in some cases, basis for) transactions to you and the IRS on Form 1099-B. Reporting 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.

Instructions for Recipient

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.

Line 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).

Line 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.

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. For aggregate reporting in boxes 8 through 11, no entry will be present.

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 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).

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 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.

Line 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.

Line 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.

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

Line 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.

Line 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.

Line 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.

Line 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.

Line 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.

Line 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.

Lines 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.

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