

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

JAYAKKUMAR THIRUNAVUKKARASU  
4400 COLLEGE PARK DRIVE  
CONROE, TX 77384-4566

IN ACCOUNT WITH  
**WEBULL FINANCIAL LLC**  
**917-725-2448**

**IMPORTANT YEAR END MESSAGES**

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

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

This page is intentionally left blank.

|   |   |                            |             |
|---|---|----------------------------|-------------|
| <b>APEX CLEARING</b><br>ONE DALLAS CENTER<br>350 NORTH ST PAUL SUITE 1300<br>DALLAS, TX 75201<br>Customer Service: 214-765-1009<br><br>PAYER'S Federal ID No: 13-2967453<br><br>IN ACCOUNT WITH<br><b>WEBULL FINANCIAL LLC</b><br><b>(917) 725-2448</b> | <b>Account 5MQ16480</b>   | <b>Form 1099 Composite</b> | <b>2020</b> |
|   | JAYAKKUMAR THIRUNAVUKKARASU<br>4400 COLLEGE PARK DRIVE<br>CONROE, TX 77384-4566<br><br>RECIPIENT'S ID No: XXX-XX-1278 | Statement Date: 01/23/2021 |             |

FATCA filing requirement [ ]

### Tax Reporting Statement

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

| INTEREST INCOME  | 2020 Form 1099-INT* | OMB No. 1545-0112 |
|--|---------------------|-------------------|
| 1- Interest Income                                       | 0.00                |                   |
| 2- Early Withdrawal penalty                              | 0.00                |                   |
| 3- Interest on U.S. Savings Bonds & Treasury Obligations | 0.00                |                   |
| <b>4- Federal Income Tax Withheld</b>                    | <b>0.00</b>         |                   |
| 5- Investment Expenses                                   | 0.00                |                   |
| 6- Foreign Tax Paid                                      | 0.00                |                   |
| 7- Foreign Country or U.S. Possession                    |                     |                   |
| 8- Tax-Exempt Interest (includes box 9)                  | <b>0.00</b>         |                   |
| 9- Specified Private Activity Bond Interest              | 0.00                |                   |
| 10- Market Discount                                      | 0.00                |                   |
| 11- Bond Premium   | 0.00                |                   |
| 12- Bond Premium on Treasury Obligations                 | 0.00                |                   |
| 13- Bond Premium on Tax-Exempt Bonds                     | 0.00                |                   |
| 14- Tax-Exempt and Tax Credit Bond CUSIP no.             |                     |                   |

| MISCELLANEOUS INCOME                                    | 2020 Form 1099-MISC* | OMB No. 1545-0115 |
|---|----------------------|-------------------|
| 2- Royalties  | 0.00                 |                   |
| 3- Other Income   | 265.19               |                   |
| <b>4- Federal Income Tax Withheld</b>                   | <b>0.00</b>          |                   |
| 8- Substitute Payments in Lieu of Dividends or Interest | 0.00                 |                   |

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

\* This is important tax information and is being furnished to the Internal Revenue Service. If you are required to file a return, a negligence penalty or other sanction may be imposed on you if this income is taxable and the IRS determines that it has not been reported. Taxpayers are reminded that they are ultimately responsible for the accuracy of their tax returns.  
 Dividends may be reclassified for tax purposes after the original Form 1099 is sent in certain cases where information from issuers is received late. This may require us to provide you an amended tax form.

APEX CLEARING

**Tax Summary**

2020

5MQ16480

01/23/2021

**Summary Of Sale Proceeds**

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

| Section   | Total Proceeds      | Total Cost Basis    | Total Market Discount | Wash Sale Loss Disallowed | Total Net Gain or Loss(-) |
|---|---------------------|---------------------|-----------------------|---------------------------|---------------------------|
| Short term transactions for covered tax lots      | 1,777,318.82        | 1,819,837.18        | 0.00                  | 55,690.42                 | 13,172.06                 |
| Short term transactions for noncovered tax lots   | 6,973.21            | 7,002.78            | 0.00                  | 26.13                     | -3.44                     |
| <b>Total Short-term</b>                           | <b>1,784,292.03</b> | <b>1,826,839.96</b> | <b>0.00</b>           | <b>55,716.55</b>          | <b>13,168.62</b>          |
| Long-term transactions for covered tax lots       | 11.96               | 12.04               | 0.00                  | 0.00                      | -0.08                     |
| Long-term transactions for noncovered tax lots    | 0.00                | 0.00                | 0.00                  | 0.00                      | 0.00                      |
| <b>Total Long-term</b>                            | <b>11.96</b>        | <b>12.04</b>        | <b>0.00</b>           | <b>0.00</b>               | <b>-0.08</b>              |
| Undetermined transactions for noncovered tax lots | 0.00                | 0.00                | 0.00                  | 0.00                      | 0.00                      |
| <b>Total Undetermined-term</b>                    | <b>0.00</b>         | <b>0.00</b>         | <b>0.00</b>           | <b>0.00</b>               | <b>0.00</b>               |

**ORIGINAL ISSUE DISCOUNT SUMMARY**

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

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

**FEDERAL TAX WITHHELD**

| Form                      | Federal Income Tax Withheld |
|---------------------------|-----------------------------|
| 1099-B Total (aggregate): | <b>0.00</b>                 |
| 1099-DIV Total:           | <b>0.00</b>                 |
| 1099-INT Total:           | <b>0.00</b>                 |
| 1099-MISC Total:          | <b>0.00</b>                 |
| 1099-OID Total:           | <b>0.00</b>                 |

APEX CLEARING

## Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B\*

OMB No. 1545-0715

5MQ16480

01/23/2021

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

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

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

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

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

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

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

FATCA filing requirement [ ]

## SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

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

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

**Box 5:** Box Not Checked (Covered Security)

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

**Box 12:** Basis Reported to the IRS

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

### 1a - Description of property | CUSIP | Symbol

| 1c - Date Sold or Disposed  | Quantity | 1d - Proceeds | 1b - Date Acquired | 1e - Cost or Other Basis | 1f - Accrued Market Discount (M) & 1g - Wash Sale Loss Disallowed (D) | Gain or Loss (-) | Additional Notes |
|---|----------|---------------|--------------------|--------------------------|---|------------------|------------------|
| SENECA BIOPHARMA INC COMMON STOCK   CUSIP: 81689B103   Symbol: SNCA                         |          |               |                    |                          |   |                  |                  |
| 06/18/2020  | 474.00   | 392.54        | Various            | 396.16                   | 0.00  | -3.62            | Sale             |
| CALL SPLK 12/31/20 160 SPLUNK INC   CUSIP:   Symbol: SPLK201231C00160000                    |          |               |                    |                          |   |                  |                  |
| 12/07/2020  | 1.00     | 514.89        | 12/07/2020         | 520.08                   | 0.00  | -5.19            | Sell to Close    |
| CALL MSFT 01/15/21 227.50 MICROSOFT CORP   CUSIP:   Symbol: MSFT210115C00227500             |          |               |                    |                          |   |                  |                  |
| 12/30/2020  | 1.00     | 369.90        | 12/29/2020         | 395.08                   | 0.00  | -25.18           | Sell to Close    |
| CALL JMIA 08/21/20 21 JUMIA TECHNOLOGIES AG   CUSIP:   Symbol: JMIA200821C00021000          |          |               |                    |                          |   |                  |                  |
| 08/21/2020  | 1.00     | 0.00          | 08/10/2020         | 330.09                   | 0.00  | -330.09          | Expiration       |
| CALL BABA 12/18/20 275 ALIBABA GROUP HOLDING LIMITED   CUSIP:   Symbol: BABA201218C00275000 |          |               |                    |                          |   |                  |                  |
| 12/04/2020  | 1.00     | 539.89        | 12/03/2020         | 460.08                   | 0.00  | 79.81            | Sell to Close    |

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

APEX CLEARING

## Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B\*

OMB No. 1545-0715

5MQ16480

(continued)

01/23/2021

## SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

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

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

## 1a - Description of property | CUSIP | Symbol

| 1c - Date Sold or Disposed   | Quantity | 1d - Proceeds   | 1b - Date Acquired | 1e - Cost or Other Basis | 1f - Accrued Market Discount (M) & 1g - Wash Sale Loss Disallowed (D) | Gain or Loss (-) | Additional Notes   |
|--|----------|-----------------|--------------------|--------------------------|---|------------------|--------------------|
| ***XPENG INC ADS EACH REPRESENTING TWO CLASS A ORDINARY SHARES   CUSIP: 98422D105   Symbol: XPEV     |          |                 |                    |                          |   |                  |                    |
| 08/27/2020   | 100.00   | 2,199.94        | 08/27/2020         | 2,441.00                 | 0.00  | -241.06          | Sale               |
| CALL FB 12/11/20 275 FACEBOOK INC CL A   CUSIP:   Symbol: FB201211C00275000                          |          |                 |                    |                          |   |                  |                    |
| 11/30/2020   | 1.00     | 689.89          | 11/30/2020         | 610.08                   | 0.00  | 79.81            | Sell to Close      |
| PUT TSLA 08/28/20 1800 TESLA INC   CUSIP:   Symbol: TSLA200828P01800000                              |          |                 |                    |                          |   |                  |                    |
| 08/25/2020   | 1.00     | 1,099.87        | 08/25/2020         | 1,000.09                 | 0.00  | 99.78            | Sell to Close      |
| 08/25/2020   | 1.00     | 999.87          | 08/25/2020         | 940.09                   | 0.00  | 59.78            | Sell to Close      |
| <b>Security Totals:</b>  |          | <b>2,099.74</b> |                    | <b>1,940.18</b>          |   | <b>159.56</b>    |                    |
| ***NABORS INDUSTRIES LTD COMMON SHARES   CUSIP: G6359F137   Symbol: NBR                              |          |                 |                    |                          |   |                  |                    |
| 05/22/2020   | 1.00     | 26.46           | 05/22/2020         | 25.77                    | 0.00  | 0.69             | Sale               |
| 05/22/2020   | 49.00    | 1,289.61        | 05/22/2020         | 1,262.73                 | 0.00  | 26.88            | Sale               |
| 05/27/2020   | 1.00     | 26.30           | 05/22/2020         | 26.50                    | 0.00  | -0.20            | Buy to Cover Short |
| <b>Security Totals:</b>  |          | <b>1,342.37</b> |                    | <b>1,315.00</b>          |   | <b>27.37</b>     |                    |
| CALL RH 09/18/20 420 RH   CUSIP:   Symbol: RH200918C00420000   |          |                 |                    |                          |   |                  |                    |
| 09/18/2020   | 2.00     | 0.00            | 09/14/2020         | 90.18                    | 0.00  | -90.18           | Expiration         |
| CALL PFE1 01/21/22 45 PFIZER INC DIST D:100 PFE,12 VTRS & CIL   CUSIP:   Symbol: PFE1220121C00045000 |          |                 |                    |                          |   |                  |                    |
| 12/07/2020   | 1.00     | 429.90          | 07/01/2020         | 76.09                    | 0.00  | 353.81           | Sell to Close      |
| DELTA AIR LINES INC DEL COM   CUSIP: 247361702   Symbol: DAL   |          |                 |                    |                          |   |                  |                    |
| 06/01/2020   | 50.00    | 1,319.71        | 06/01/2020         | 1,276.50                 | 0.00  | 43.21            | Sale               |
| CALL NET 01/15/21 83.50 CLOUDFLARE INC CL A   CUSIP:   Symbol: NET210115C00083500                    |          |                 |                    |                          |   |                  |                    |
| 12/30/2020   | 1.00     | 179.90          | 12/30/2020         | 170.08                   | 0.00  | 9.82             | Sell to Close      |
| CALL CHWY 12/11/20 80 CHEWY INC CLASS A   CUSIP:   Symbol: CHWY201211C00080000                       |          |                 |                    |                          |   |                  |                    |
| 12/08/2020   | 1.00     | 355.90          | 12/07/2020         | 265.08                   | 0.00  | 90.82            | Sell to Close      |
| 12/09/2020   | 1.00     | 149.90          | 12/08/2020         | 350.08                   | 0.00  | -200.18          | Sell to Close      |
| <b>Security Totals:</b>  |          | <b>505.80</b>   |                    | <b>615.16</b>            |   | <b>-109.36</b>   |                    |
| ***ATIF HOLDINGS LIMITED ORDINARY SHARES   CUSIP: G0602B100   Symbol: ATIF                           |          |                 |                    |                          |   |                  |                    |
| 06/23/2020   | 500.00   | 1,219.91        | Various            | 1,102.00                 | 0.00  | 117.91           | Sale               |
| 06/23/2020   | 500.00   | 1,184.91        | 06/23/2020         | 1,200.00                 | 15.09 D   | 0.00             | Sale               |
| 06/23/2020   | 500.00   | 1,189.91        | 06/23/2020         | 1,180.00                 | 0.00  | 9.91             | Sale               |
| 06/29/2020   | 97.00    | 183.31          | 06/23/2020         | 228.94                   | 45.63 D   | 0.00             | Sale               |

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

APEX CLEARING

## Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B\*

OMB No. 1545-0715

5MQ16480

(continued)

01/23/2021

**SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS**

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

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

| 1c - Date Sold or Disposed | Quantity  | 1d - Proceeds   | 1b - Date Acquired   | 1e - Cost or Other Basis | 1f - Accrued Market Discount (M) & 1g - Wash Sale Loss Disallowed (D) | Gain or Loss (-) | Additional Notes |
|----------------------------|---|-----------------|--|--------------------------|---|------------------|------------------|
| 06/29/2020                 | 653.00  | 1,222.94        | Various  | 1,544.28                 | 0.00  | -321.34          | Sale             |
| <b>Security Totals:</b>    |   | <b>5,000.98</b> |  | <b>5,255.22</b>          |   | <b>-193.52</b>   |                  |
| ALTERYX INC                | CLASS A COMMON STOCK   CUSIP: 02156B103   Symbol: AYX |                 |  |                          |   |                  |                  |
| 07/08/2020                 | 5.00  | 880.02          | 07/06/2020   | 885.00                   | 0.00  | -4.98            | Sale             |
| CALL WORK                  | 06/26/20  | 32              | SLACK TECHNOLOGIES INC CL A   CUSIP:   Symbol: WORK200626C00032000   |                          |   |                  |                  |
| 06/11/2020                 | 1.00  | 144.89          | 06/05/2020   | 240.09                   | 95.2 D  | 0.00             | Sell to Close    |
| 06/11/2020                 | 5.00  | 719.51          | Various  | 1,345.66                 | 0.00  | -626.15          | Sell to Close    |
| <b>Security Totals:</b>    |   | <b>864.40</b>   |  | <b>1,585.75</b>          |   | <b>-626.15</b>   |                  |
| PUT DIS                    | 08/07/20  | 116             | WALT DISNEY CO   CUSIP:   Symbol: DIS200807P00116000                 |                          |   |                  |                  |
| 08/07/2020                 | 1.00  | 0.00            | 08/03/2020   | 280.09                   | 0.00  | -280.09          | Expiration       |
| PUT WORK                   | 06/26/20  | 32              | SLACK TECHNOLOGIES INC CL A   CUSIP:   Symbol: WORK200626P00032000   |                          |   |                  |                  |
| 06/05/2020                 | 1.00  | 232.89          | 06/05/2020   | 238.09                   | 0.00  | -5.20            | Sell to Close    |
| CALL AAPL                  | 11/20/20  | 130             | APPLE INC ADJ 4:1 STOCK SPLIT   CUSIP:   Symbol: AAPL201120C00130000 |                          |   |                  |                  |
| 09/14/2020                 | 1.00  | 429.89          | 09/04/2020   | 1,647.29                 | 0.00  | -1,217.40        | Sell to Close    |
| 09/14/2020                 | 1.00  | 392.89          | 09/02/2020   | 1,300.09                 | 907.2 D   | 0.00             | Sell to Close    |
| <b>Security Totals:</b>    |   | <b>822.78</b>   |  | <b>2,947.38</b>          |   | <b>-1,217.40</b> |                  |
| CALL MSFT                  | 10/02/20  | 205             | MICROSOFT CORP   CUSIP:   Symbol: MSFT201002C00205000                |                          |   |                  |                  |
| 09/14/2020                 | 1.00  | 689.88          | 09/11/2020   | 700.09                   | 0.00  | -10.21           | Sell to Close    |
| CALL NVDA                  | 08/28/20  | 515             | NVIDIA CORP   CUSIP:   Symbol: NVDA200828C00515000                   |                          |   |                  |                  |
| 08/18/2020                 | 1.00  | 1,359.86        | 08/17/2020   | 1,350.09                 | 0.00  | 9.77             | Sell to Close    |
| CALL LKNCY                 | 07/02/20  | 5               | LUCKIN COFFEE INC ADS   CUSIP:   Symbol: LKNCY200702C00005000        |                          |   |                  |                  |
| 07/02/2020                 | 2.00  | 0.00            | 06/16/2020   | 164.59                   | 0.00  | -164.59          | Expiration       |
| CALL TSLA                  | 01/15/21  | 730             | TESLA INC   CUSIP:   Symbol: TSLA210115C00730000                     |                          |   |                  |                  |
| 12/31/2020                 | 1.00  | 1,894.86        | 12/31/2020   | 1,780.08                 | 0.00  | 114.78           | Sell to Close    |
| PUT NKE                    | 07/02/20  | 91.50           | NIKE INC CLASS B   CUSIP:   Symbol: NKE200702P00091500               |                          |   |                  |                  |
| 07/02/2020                 | 2.00  | 0.00            | 06/29/2020   | 130.19                   | 0.00  | -130.19          | Expiration       |
| CALL LK                    | 07/02/20  | 5               | LUCKIN COFFEE INC ADS   CUSIP:   Symbol: LK200702C00005000           |                          |   |                  |                  |
| 06/18/2020                 | 2.00  | 55.79           | 06/15/2020   | 124.19                   | 68.4 D  | 0.00             | Sell to Close    |
| CALL NBIX                  | 12/18/20  | 100             | NEUROCRINE BIOSCIENCES INC   CUSIP:   Symbol: NBIX201218C00100000    |                          |   |                  |                  |
| 12/03/2020                 | 1.00  | 239.90          | 12/03/2020   | 260.08                   | 0.00  | -20.18           | Sell to Close    |

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

APEX CLEARING

## Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B\*

OMB No. 1545-0715

5MQ16480

(continued)

01/23/2021

**SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS**

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

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

| 1c - Date Sold or Disposed   | Quantity  | 1d - Proceeds   | 1b - Date Acquired | 1e - Cost or Other Basis | 1f - Accrued Market Discount (M) & 1g - Wash Sale Loss Disallowed (D) | Gain or Loss (-) | Additional Notes |
|--|-----------|-----------------|--------------------|--------------------------|---|------------------|------------------|
| CALL LULU 12/18/20 375 LULULEMON ATHLETICA INC   CUSIP:   Symbol: LULU201218C00375000      |           |                 |                    |                          |   |                  |                  |
| 12/09/2020   | 1.00      | 1,599.87        | 12/07/2020         | 1,520.08                 | 0.00  | 79.79            | Sell to Close    |
| 12/10/2020   | 1.00      | 1,114.88        | 12/09/2020         | 1,150.08                 | 0.00  | -35.20           | Sell to Close    |
| <b>Security Totals:</b>  |           | <b>2,714.75</b> |                    | <b>2,670.16</b>          |   | <b>44.59</b>     |                  |
| CALL LAZR 01/15/21 35 LUMINAR TECHNOLOGIES INC CL A   CUSIP:   Symbol: LAZR210115C00035000 |           |                 |                    |                          |   |                  |                  |
| 12/30/2020   | 1.00      | 390.90          | 12/29/2020         | 370.08                   | 0.00  | 20.82            | Sell to Close    |
| CALL BIDU 12/31/20 225 BAIDU INC   CUSIP:   Symbol: BIDU201231C00225000                    |           |                 |                    |                          |   |                  |                  |
| 12/31/2020   | 1.00      | 179.90          | 12/31/2020         | 127.08                   | 0.00  | 52.82            | Sell to Close    |
| CALL V 09/18/20 215 VISA INC   CUSIP:   Symbol: V200918C00215000                           |           |                 |                    |                          |   |                  |                  |
| 08/05/2020   | 1.00      | 139.89          | 07/31/2020         | 86.10                    | 0.00  | 53.79            | Sell to Close    |
| 08/11/2020   | 1.00      | 179.89          | 07/31/2020         | 86.09                    | 0.00  | 93.80            | Sell to Close    |
| <b>Security Totals:</b>  |           | <b>319.78</b>   |                    | <b>172.19</b>            |   | <b>147.59</b>    |                  |
| URBAN ONE INC CLASS A COMMON STOCK   CUSIP: 91705J105   Symbol: UONE                       |           |                 |                    |                          |   |                  |                  |
| 06/17/2020   | 80.00     | 1,279.96        | 06/17/2020         | 1,288.00                 | 1 D   | -7.04            | Sale             |
| 06/18/2020   | 10.00     | 261.38          | 06/18/2020         | 256.30                   | 0.00  | 5.08             | Sale             |
| <b>Security Totals:</b>  |           | <b>1,541.34</b> |                    | <b>1,544.30</b>          |   | <b>-1.96</b>     |                  |
| CALL CODX 07/17/20 18 CO DIAGNOSTICS INC   CUSIP:   Symbol: CODX200717C00018000            |           |                 |                    |                          |   |                  |                  |
| 06/24/2020   | 1.00      | 303.89          | 06/23/2020         | 140.09                   | 0.00  | 163.80           | Sell to Close    |
| CALL NVDA 10/02/20 560 NVIDIA CORP   CUSIP:   Symbol: NVDA201002C00560000                  |           |                 |                    |                          |   |                  |                  |
| 09/01/2020   | 1.00      | 3,209.82        | 09/01/2020         | 3,300.09                 | 0.00  | -90.27           | Sell to Close    |
| ***ZOMEDICA PHARMACEUTICALS CORP COM   CUSIP: 98979F107   Symbol: ZOM                      |           |                 |                    |                          |   |                  |                  |
| 06/05/2020   | 10,000.00 | 1,748.77        | 06/04/2020         | 1,756.04                 | 2.18 D  | -5.09            | Sale             |
| 07/02/2020   | 3,000.00  | 524.92          | 07/02/2020         | 540.38                   | 0.00  | -15.46           | Sale             |
| <b>Security Totals:</b>  |           | <b>2,273.69</b> |                    | <b>2,296.42</b>          |   | <b>-20.55</b>    |                  |
| CALL FB 12/18/20 300 FACEBOOK INC CL A   CUSIP:   Symbol: FB201218C00300000                |           |                 |                    |                          |   |                  |                  |
| 08/10/2020   | 1.00      | 1,479.86        | 08/10/2020         | 1,500.09                 | 0.00  | -20.23           | Sell to Close    |
| CALL NIO 01/22/21 50 NIO INC ADS   CUSIP:   Symbol: NIO210122C00050000                     |           |                 |                    |                          |   |                  |                  |
| 12/31/2020   | 1.00      | 524.89          | 12/31/2020         | 530.08                   | 0.00  | -5.19            | Sell to Close    |
| PUT SPY 01/15/21 355 STANDARD & POORS DEPOSITORY   CUSIP:   Symbol: SPY210115P00355000     |           |                 |                    |                          |   |                  |                  |
| 12/30/2020   | 1.00      | 167.90          | 12/30/2020         | 163.08                   | 0.00  | 4.82             | Sell to Close    |

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



APEX CLEARING

## Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B\*

OMB No. 1545-0715

5MQ16480

(continued)

01/23/2021

**SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS**

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

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

| 1c - Date Sold or Disposed  | Quantity | 1d - Proceeds  | 1b - Date Acquired | 1e - Cost or Other Basis | 1f - Accrued Market Discount (M) & 1g - Wash Sale Loss Disallowed (D) | Gain or Loss (-) | Additional Notes |
|---|----------|--|--------------------|--------------------------|---|------------------|------------------|
| CALL NVDA 01/29/21  | 550      | NVIDIA CORP   CUSIP:   Symbol: NVDA210129C00550000     |                    |                          |   |                  |                  |
| 12/30/2020  | 1.00     | 1,164.88   | 12/29/2020         | 1,050.08                 | 0.00  | 114.80           | Sell to Close    |
| CALL PFE 12/18/20   | 42       | PFIZER INC   CUSIP:   Symbol: PFE201218C00042000       |                    |                          |   |                  |                  |
| 12/10/2020  | 1.00     | 160.90   | 12/09/2020         | 167.08                   | 0.00  | -6.18            | Sell to Close    |
| 12/18/2020  | 1.00     | 0.00   | 12/09/2020         | 167.08                   | 0.00  | -167.08          | Expiration       |
| <b>Security Totals:</b>   |          | <b>160.90</b>  |                    | <b>334.16</b>            |   | <b>-173.26</b>   |                  |
| CALL ADT 08/21/20   | 15       | ADT INC   CUSIP:   Symbol: ADT200821C00015000          |                    |                          |   |                  |                  |
| 08/03/2020  | 1.00     | 174.89   | 08/03/2020         | 185.09                   | 0.00  | -10.20           | Sell to Close    |
| ***KINIKSA PHARMACEUTICALS LTD CLASS A COMMON STOCK   CUSIP: G5269C101   Symbol: KNSA |          |  |                    |                          |   |                  |                  |
| 06/09/2020  | 50.00    | 1,195.96   | 06/08/2020         | 1,149.98                 | 0.00  | 45.98            | Sale             |
| CALL NVDA 09/04/20  | 500      | NVIDIA CORP   CUSIP:   Symbol: NVDA200904C00500000     |                    |                          |   |                  |                  |
| 08/18/2020  | 1.00     | 1,969.85   | 08/18/2020         | 1,950.09                 | 0.00  | 19.76            | Sell to Close    |
| CALL DOCU 10/02/20  | 250      | DOCUSIGN INC   CUSIP:   Symbol: DOCU201002C00250000    |                    |                          |   |                  |                  |
| 09/09/2020  | 1.00     | 529.88   | 09/04/2020         | 1,300.09                 | 0.00  | -770.21          | Sell to Close    |
| CALL FB 12/24/20  | 275      | FACEBOOK INC CL A   CUSIP:   Symbol: FB201224C00275000 |                    |                          |   |                  |                  |
| 12/14/2020  | 1.00     | 664.89   | 12/11/2020         | 610.08                   | 0.00  | 54.81            | Sell to Close    |
| CALL AZN 01/15/21   | 65       | ASTRAZENECA PLC   CUSIP:   Symbol: AZN210115C00065000  |                    |                          |   |                  |                  |
| 09/09/2020  | 1.00     | 145.89   | 07/01/2020         | 155.09                   | 0.00  | -9.20            | Sell to Close    |
| 09/09/2020  | 1.00     | 146.89   | 07/01/2020         | 150.09                   | 0.00  | -3.20            | Sell to Close    |
| <b>Security Totals:</b>   |          | <b>292.78</b>  |                    | <b>305.18</b>            |   | <b>-12.40</b>    |                  |
| BEYOND MEAT INC   |          | COMMON STOCK   CUSIP: 08862E109   Symbol: BYND         |                    |                          |   |                  |                  |
| 06/10/2020  | 10.00    | 1,598.11   | 06/10/2020         | 1,551.30                 | 0.00  | 46.81            | Sale             |
| 06/17/2020  | 10.00    | 1,609.95   | 06/17/2020         | 1,625.00                 | 15.05 D   | 0.00             | Sale             |
| 06/17/2020  | 15.00    | 2,447.18   | Various            | 2,356.75                 | 0.00  | 90.43            | Sale             |
| 06/17/2020  | 10.00    | 1,539.85   | 06/15/2020         | 1,506.00                 | 0.00  | 33.85            | Sale             |
| 06/17/2020  | 20.00    | 3,296.51   | Various            | 3,289.67                 | 0.00  | 6.84             | Sale             |
| 06/17/2020  | 50.00    | 8,159.80   | 06/17/2020         | 8,134.48                 | 0.00  | 25.32            | Sale             |
| 08/05/2020  | 30.00    | 3,913.90   | Various            | 4,077.58                 | 0.00  | -163.68          | Sale             |
| <b>Security Totals:</b>   |          | <b>22,565.30</b>                                       |                    | <b>22,540.78</b>         |   | <b>39.57</b>     |                  |

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

APEX CLEARING

## Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B\*

OMB No. 1545-0715

5MQ16480

(continued)

01/23/2021

**SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS**

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

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

| <b>1c - Date Sold or Disposed</b>                                 | <b>Quantity</b> | <b>1d - Proceeds</b> | <b>1b - Date Acquired</b> | <b>1e - Cost or Other Basis</b> | <b>1f - Accrued Market Discount (M) &amp; 1g - Wash Sale Loss Disallowed (D)</b> | <b>Gain or Loss (-)</b> | <b>Additional Notes</b> |
|---|-----------------|----------------------|---------------------------|---------------------------------|--|-------------------------|-------------------------|
| NIKOLA CORPORATION COMMON STOCK   CUSIP: 654110105   Symbol: NKLA |                 |                      |                           |                                 |  |                         |                         |
| 06/08/2020  | 25.00           | 1,842.63             | 06/08/2020                | 1,850.00                        | 7.37 D   | 0.00                    | Sale                    |
| 06/09/2020  | 30.00           | 1,997.28             | Various                   | 2,396.47                        | 399.19 D   | 0.00                    | Sale                    |
| 06/09/2020  | 30.00           | 2,339.93             | Various                   | 2,709.19                        | 369.26 D   | 0.00                    | Sale                    |
| 06/09/2020  | 30.00           | 2,429.93             | Various                   | 2,679.26                        | 249.33 D   | 0.00                    | Sale                    |
| 06/10/2020  | 25.00           | 1,715.95             | Various                   | 2,171.14                        | 455.19 D   | 0.00                    | Sale                    |
| 06/10/2020  | 50.00           | 3,854.90             | Various                   | 4,059.13                        | 306.39 D   | 102.16                  | Sale                    |
| 06/11/2020  | 25.00           | 1,513.20             | Various                   | 2,222.91                        | 709.71 D   | 0.00                    | Sale                    |
| 06/11/2020  | 15.00           | 872.97               | Various                   | 1,247.84                        | 374.87 D   | 0.00                    | Sale                    |
| 06/11/2020  | 25.00           | 1,475.20             | Various                   | 2,164.78                        | 689.58 D   | 0.00                    | Sale                    |
| 06/11/2020  | 50.00           | 3,382.41             | Various                   | 3,998.10                        | 615.69 D   | 0.00                    | Sale                    |
| 06/11/2020  | 25.00           | 1,608.20             | Various                   | 2,135.43                        | 527.23 D   | 0.00                    | Sale                    |
| 06/11/2020  | 50.00           | 3,277.41             | Various                   | 3,929.69                        | 652.28 D   | 0.00                    | Sale                    |
| 06/12/2020  | 25.00           | 1,649.95             | Various                   | 2,208.42                        | 558.47 D   | 0.00                    | Sale                    |
| 06/15/2020  | 25.00           | 1,667.45             | Various                   | 1,819.65                        | 152.20 D   | 0.00                    | Sale                    |
| 06/15/2020  | 50.00           | 3,126.92             | Various                   | 3,850.83                        | 723.91 D   | 0.00                    | Sale                    |
| 06/16/2020  | 25.00           | 1,774.95             | Various                   | 2,390.01                        | 615.06 D   | 0.00                    | Sale                    |
| 06/17/2020  | 25.00           | 1,598.95             | Various                   | 1,727.95                        | 116.61 D   | -12.39                  | Sale                    |
| 06/26/2020  | 25.00           | 1,799.95             | Various                   | 2,417.56                        | 0.00   | -617.61                 | Sale                    |
| 07/02/2020  | 20.00           | 1,235.36             | Various                   | 1,363.41                        | 0.00   | -128.05                 | Sale                    |
| <b>Security Totals:</b>   |                 | <b>39,163.54</b>     |                           | <b>47,341.77</b>                |  | <b>-655.89</b>          |                         |
| MICROSOFT CORP   CUSIP: 594918104   Symbol: MSFT                  |                 |                      |                           |                                 |  |                         |                         |
| 05/07/2020  | 10.00           | 1,836.45             | 05/06/2020                | 1,834.50                        | 0.00   | 1.95                    | Sale                    |
| 05/19/2020  | 10.00           | 1,860.25             | 05/14/2020                | 1,778.69                        | 0.00   | 81.56                   | Sale                    |
| 05/22/2020  | 10.00           | 1,834.94             | 05/21/2020                | 1,835.00                        | 0.06 D   | 0.00                    | Sale                    |
| 05/28/2020  | 30.00           | 5,505.76             | Various                   | 5,478.26                        | 27.31 D  | 54.81                   | Sale                    |
| 06/02/2020  | 10.00           | 1,844.79             | 05/29/2020                | 1,865.22                        | 20.43 D  | 0.00                    | Sale                    |
| 06/12/2020  | 10.00           | 1,900.74             | 06/10/2020                | 1,975.43                        | 74.69 D  | 0.00                    | Sale                    |
| 06/15/2020  | 9.00            | 1,649.90             | 06/12/2020                | 1,754.89                        | 104.99 D   | 0.00                    | Sale                    |

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

APEX CLEARING

## Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B\*

OMB No. 1545-0715

5MQ16480

(continued)

01/23/2021

**SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS**

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

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

| 1c - Date Sold or Disposed  | Quantity | 1d - Proceeds    | 1b - Date Acquired | 1e - Cost or Other Basis | 1f - Accrued Market Discount (M) & 1g - Wash Sale Loss Disallowed (D) | Gain or Loss (-) | Additional Notes |
|---|----------|------------------|--------------------|--------------------------|---|------------------|------------------|
| MICROSOFT CORP   CUSIP: 594918104   Symbol: MSFT  |          |                  |                    |                          |   |                  |                  |
| 06/15/2020  | 1.00     | 183.31           | 06/12/2020         | 194.99                   | 11.68 D   | 0.00             | Sale             |
| 06/17/2020  | 5.00     | 971.96           | 06/17/2020         | 1,030.82                 | 58.86 D   | 0.00             | Sale             |
| 06/26/2020  | 15.00    | 2,955.52         | Various            | 3,038.15                 | 94.15 D   | 11.52            | Sale             |
| 07/15/2020  | 6.00     | 1,247.60         | Various            | 1,312.03                 | 64.43 D   | 0.00             | Sale             |
| 07/22/2020  | 5.00     | 1,031.16         | Various            | 1,083.43                 | 0.00  | -52.27           | Sale             |
| 07/23/2020  | 5.00     | 1,016.47         | Various            | 1,080.96                 | 0.00  | -64.49           | Sale             |
| 11/24/2020  | 6.00     | 1,286.24         | Various            | 1,326.74                 | 0.00  | -40.50           | Sale             |
| <b>Security Totals:</b>   |          | <b>25,125.09</b> |                    | <b>25,589.11</b>         |   | <b>-7.42</b>     |                  |
| CALL FB 12/31/20 285 FACEBOOK INC CL A   CUSIP:   Symbol: FB201231C00285000                 |          |                  |                    |                          |   |                  |                  |
| 12/09/2020  | 1.00     | 974.88           | 12/08/2020         | 890.08                   | 0.00  | 84.80            | Sell to Close    |
| 12/09/2020  | 1.00     | 659.89           | 12/09/2020         | 660.08                   | 0.00  | -0.19            | Sell to Close    |
| <b>Security Totals:</b>   |          | <b>1,634.77</b>  |                    | <b>1,550.16</b>          |   | <b>84.61</b>     |                  |
| PUT BABA 01/08/21 225 ALIBABA GROUP HOLDING LIMITED   CUSIP:   Symbol: BABA210108P00225000  |          |                  |                    |                          |   |                  |                  |
| 12/31/2020  | 1.00     | 227.90           | 12/29/2020         | 270.08                   | 0.00  | -42.18           | Sell to Close    |
| CHEWY INC CLASS A COMMON STOCK PAR VALUE \$0.01 PER SHARE   CUSIP: 16679L109   Symbol: CHWY |          |                  |                    |                          |   |                  |                  |
| 05/29/2020  | 45.00    | 1,971.39         | 05/29/2020         | 1,971.00                 | 0.00  | 0.39             | Sale             |
| CALL TSLA 12/31/20 680 TESLA INC   CUSIP:   Symbol: TSLA201231C00680000                     |          |                  |                    |                          |   |                  |                  |
| 12/29/2020  | 1.00     | 430.90           | 12/29/2020         | 440.08                   | 0.00  | -9.18            | Sell to Close    |
| ***UBS GROUP AG SHS   CUSIP: H42097107   Symbol: UBS  |          |                  |                    |                          |   |                  |                  |
| 09/08/2020  | 10.00    | 121.38           | Various            | 117.10                   | 0.00  | 4.28             | Sale             |
| CALL SRNE 01/15/21 10 SORRENTO THERAPEUTICS INC   CUSIP:   Symbol: SRNE210115C00010000      |          |                  |                    |                          |   |                  |                  |
| 07/13/2020  | 1.00     | 289.89           | 07/09/2020         | 266.09                   | 0.00  | 23.80            | Sell to Close    |
| PUT NFLX 12/31/20 525 NETFLIX INC   CUSIP:   Symbol: NFLX201231P00525000                    |          |                  |                    |                          |   |                  |                  |
| 12/31/2020  | 1.00     | 0.00             | 12/29/2020         | 290.08                   | 0.00  | -290.08          | Expiration       |
| ***CUREVAC N V ORDINARY SHARES   CUSIP: N2451R105   Symbol: CVAC                            |          |                  |                    |                          |   |                  |                  |
| 08/14/2020  | 50.00    | 2,049.44         | 08/14/2020         | 1,950.00                 | 0.00  | 99.44            | Sale             |
| CALL OXY 01/15/21 21 OCCIDENTAL PETROLEUM CORP   CUSIP:   Symbol: OXY210115C00021000        |          |                  |                    |                          |   |                  |                  |
| 12/04/2020  | 2.00     | 183.82           | 08/20/2020         | 112.18                   | 0.00  | 71.64            | Sell to Close    |
| 12/04/2020  | 5.00     | 464.57           | Various            | 577.45                   | 0.00  | -112.88          | Sell to Close    |

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

APEX CLEARING

## Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B\*

OMB No. 1545-0715

5MQ16480

(continued)

01/23/2021

**SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS**

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

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

| 1c - Date Sold or Disposed                    | Quantity | 1d - Proceeds   | 1b - Date Acquired | 1e - Cost or Other Basis | 1f - Accrued Market Discount (M) & 1g - Wash Sale Loss Disallowed (D) | Gain or Loss (-) | Additional Notes  |
|---|----------|-----------------|--------------------|--------------------------|---|------------------|---|
| 12/09/2020                                    | 1.00     | 142.90          | 08/20/2020         | 55.09                    | 0.00  | 87.81            | Sell to Close   |
| <b>Security Totals:</b>                       |          | <b>791.29</b>   |                    | <b>744.72</b>            |   | <b>46.57</b>     |   |
| CALL NVDA 09/04/20 510                        |          |                 |                    |                          |   |                  | NVIDIA CORP   CUSIP:   Symbol: NVDA200904C00510000                  |
| 08/17/2020                                    | 1.00     | 1,730.86        | 08/17/2020         | 1,600.09                 | 0.00  | 130.77           | Sell to Close   |
| CALL BA 07/31/20 195                          |          |                 |                    |                          |   |                  | BOEING CO   CUSIP:   Symbol: BA200731C00195000                      |
| 06/19/2020                                    | 1.00     | 1,755.86        | 06/19/2020         | 1,900.09                 | 144.23 D  | 0.00             | Sell to Close   |
| 06/29/2020                                    | 1.00     | 1,424.86        | 06/22/2020         | 3,264.76                 | 0.00  | -1,839.90        | Sell to Close   |
| 06/29/2020                                    | 1.00     | 969.87          | 06/22/2020         | 2,689.54                 | 1719.67 D   | 0.00             | Sell to Close   |
| 06/29/2020                                    | 1.00     | 1,009.87        | 06/19/2020         | 1,959.32                 | 949.45 D  | 0.00             | Sell to Close   |
| <b>Security Totals:</b>                       |          | <b>5,160.46</b> |                    | <b>9,813.71</b>          |   | <b>-1,839.90</b> |   |
| CALL TLT 12/24/20 158                         |          |                 |                    |                          |   |                  | ISHS 20 PLUS YEAR TREASURY BD   CUSIP:   Symbol: TLT201224C00158000 |
| 12/17/2020                                    | 1.00     | 107.90          | 12/16/2020         | 85.08                    | 0.00  | 22.82            | Sell to Close   |
| CALL WMT 09/18/20 150                         |          |                 |                    |                          |   |                  | WALMART INC   CUSIP:   Symbol: WMT200918C00150000                   |
| 08/17/2020                                    | 1.00     | 77.89           | 07/31/2020         | 56.29                    | 0.00  | 21.60            | Sell to Close   |
| 08/17/2020                                    | 2.00     | 159.80          | 07/08/2020         | 184.19                   | 24.39 D   | 0.00             | Sell to Close   |
| 08/27/2020                                    | 1.00     | 77.89           | 08/18/2020         | 38.09                    | 0.00  | 39.80            | Sell to Close   |
| 08/27/2020                                    | 1.00     | 98.89           | 07/31/2020         | 51.28                    | 0.00  | 47.61            | Sell to Close   |
| <b>Security Totals:</b>                       |          | <b>414.47</b>   |                    | <b>329.85</b>            |   | <b>109.01</b>    |   |
| CALL BYND 12/31/20 138                        |          |                 |                    |                          |   |                  | BEYOND MEAT INC   CUSIP:   Symbol: BYND201231C00138000              |
| 12/08/2020                                    | 1.00     | 769.89          | 12/07/2020         | 710.08                   | 0.00  | 59.81            | Sell to Close   |
| TWITTER INC   CUSIP: 90184L102   Symbol: TWTR |          |                 |                    |                          |   |                  |   |
| 06/01/2020                                    | 50.00    | 1,594.50        | 06/01/2020         | 1,587.50                 | 0.00  | 7.00             | Sale  |
| CALL BIDU 12/31/20 220                        |          |                 |                    |                          |   |                  | BAIDU INC   CUSIP:   Symbol: BIDU201231C00220000                    |
| 12/30/2020                                    | 1.00     | 284.90          | 12/30/2020         | 250.08                   | 0.00  | 34.82            | Sell to Close   |
| ***CASTOR MARITIME INC                        |          |                 |                    |                          |   |                  | COMMON STOCK   CUSIP: Y1146L109   Symbol: CTRM                      |
| 06/29/2020                                    | 1,000.00 | 424.87          | 06/26/2020         | 470.00                   | 0.00  | -45.13           | Sale  |
| ROCKET COMPANIES INC                          |          |                 |                    |                          |   |                  | CLASS A COMMON STOCK   CUSIP: 77311W101   Symbol: RKT               |
| 08/06/2020                                    | 50.00    | 899.97          | 08/06/2020         | 900.00                   | 0.00  | -0.03            | Sale  |
| 08/06/2020                                    | 50.00    | 905.46          | 08/06/2020         | 900.00                   | 0.00  | 5.46             | Sale  |
| <b>Security Totals:</b>                       |          | <b>1,805.43</b> |                    | <b>1,800.00</b>          |   | <b>5.43</b>      |   |

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

APEX CLEARING

Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B\*

OMB No. 1545-0715

5MQ16480

(continued)

01/23/2021

SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

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

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

Box 5: Box Not Checked (Covered Security)

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

Box 12: Basis Reported to the IRS

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

1a - Description of property | CUSIP | Symbol

| 1c - Date Sold or Disposed  | Quantity | 1d - Proceeds    | 1b - Date Acquired | 1e - Cost or Other Basis | 1f - Accrued Market Discount (M) & 1g - Wash Sale Loss Disallowed (D) | Gain or Loss (-) | Additional Notes |
|---|----------|------------------|--------------------|--------------------------|---|------------------|------------------|
| ***CREDIT SUISSE AG NASSAU BRH VELOCITY SHS DAILY 2X SHORT TERM ETN   CUSIP: 22542D258   Symbol: TVIX |          |                  |                    |                          |   |                  |                  |
| 06/19/2020  | 35.00    | 5,559.61         | Various            | 5,251.90                 | 0.00  | 307.71           | Sale             |
| 06/22/2020  | 25.00    | 3,999.90         | Various            | 3,877.50                 | 0.00  | 122.40           | Sale             |
| 07/02/2020  | 10.00    | 1,145.56         | 06/29/2020         | 1,367.50                 | 0.00  | -221.94          | Sale             |
| <b>Security Totals:</b>   |          | <b>10,705.07</b> |                    | <b>10,496.90</b>         |   | <b>208.17</b>    |                  |
| CALL NFLX 09/11/20 505 NETFLIX INC   CUSIP:   Symbol: NFLX200911C00505000                             |          |                  |                    |                          |   |                  |                  |
| 09/11/2020  | 1.00     | 93.89            | 09/11/2020         | 81.09                    | 0.00  | 12.80            | Sell to Close    |
| CALL CRM 12/04/20 260 SALESFORCE.COM INC   CUSIP:   Symbol: CRM201204C00260000                        |          |                  |                    |                          |   |                  |                  |
| 11/27/2020  | 1.00     | 659.89           | 11/25/2020         | 740.08                   | 80.19 D   | 0.00             | Sell to Close    |
| 11/30/2020  | 1.00     | 394.90           | 11/27/2020         | 640.27                   | 0.00  | -245.37          | Sell to Close    |
| <b>Security Totals:</b>   |          | <b>1,054.79</b>  |                    | <b>1,380.35</b>          |   | <b>-245.37</b>   |                  |
| CALL NFLX 01/15/21 560 NETFLIX INC   CUSIP:   Symbol: NFLX210115C00560000                             |          |                  |                    |                          |   |                  |                  |
| 08/07/2020  | 1.00     | 3,299.82         | 08/07/2020         | 3,300.09                 | 0.00  | -0.27            | Sell to Close    |
| CALL KNDI 08/21/20 6 KANDI TECHNOLOGIES CORP   CUSIP:   Symbol: KNDI200821C00006000                   |          |                  |                    |                          |   |                  |                  |
| 07/31/2020  | 1.00     | 184.89           | 07/31/2020         | 200.09                   | 0.00  | -15.20           | Sell to Close    |
| CALL FUTU 02/19/21 45 FUTU HOLDINGS LTD ADS   CUSIP:   Symbol: FUTU210219C00045000                    |          |                  |                    |                          |   |                  |                  |
| 12/30/2020  | 1.00     | 389.90           | 12/30/2020         | 380.08                   | 0.00  | 9.82             | Sell to Close    |
| CALL BABA 04/16/21 230 ALIBABA GROUP HOLDING LIMITED   CUSIP:   Symbol: BABA210416C00230000           |          |                  |                    |                          |   |                  |                  |
| 12/24/2020  | 1.00     | 1,639.87         | 12/24/2020         | 1,600.08                 | 0.00  | 39.79            | Sell to Close    |
| CALL CRM 12/18/20 225 SALESFORCE.COM INC   CUSIP:   Symbol: CRM201218C00225000                        |          |                  |                    |                          |   |                  |                  |
| 12/02/2020  | 1.00     | 724.89           | 12/02/2020         | 605.08                   | 0.00  | 119.81           | Sell to Close    |
| CALL FB 12/18/20 290 FACEBOOK INC CL A   CUSIP:   Symbol: FB201218C00290000                           |          |                  |                    |                          |   |                  |                  |
| 08/19/2020  | 1.00     | 1,439.86         | 08/10/2020         | 1,550.09                 | 110.23 D  | 0.00             | Sell to Close    |
| 08/20/2020  | 1.00     | 1,499.86         | 08/13/2020         | 1,440.32                 | 0.00  | 59.54            | Sell to Close    |
| <b>Security Totals:</b>   |          | <b>2,939.72</b>  |                    | <b>2,990.41</b>          |   | <b>59.54</b>     |                  |
| PUT ROKU 07/10/20 150 ROKU INC   CUSIP:   Symbol: ROKU200710P00150000                                 |          |                  |                    |                          |   |                  |                  |
| 07/10/2020  | 1.00     | 16.89            | 07/10/2020         | 29.09                    | 0.00  | -12.20           | Sell to Close    |
| CALL JD 12/31/20 89 JD.COM INC   CUSIP:   Symbol: JD201231C00089000                                   |          |                  |                    |                          |   |                  |                  |
| 12/30/2020  | 1.00     | 60.90            | 12/30/2020         | 63.08                    | 0.00  | -2.18            | Sell to Close    |

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

APEX CLEARING

## Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B\*

OMB No. 1545-0715

5MQ16480

(continued)

01/23/2021

**SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS**

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

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

| 1c - Date Sold or Disposed | Quantity                              | 1d - Proceeds  | 1b - Date Acquired   | 1e - Cost or Other Basis | 1f - Accrued Market Discount (M) & 1g - Wash Sale Loss Disallowed (D) | Gain or Loss (-) | Additional Notes |
|----------------------------|---------------------------------------|--|--|--------------------------|---|------------------|------------------|
| PUT TRVN 01/21/22          | 2.50                                  | TREVENA INC   CUSIP:   Symbol: TRVN220121P00002500                   |  |                          |   |                  |                  |
| 11/20/2020                 | 1.00                                  | 147.90   | 11/18/2020   | 145.08                   | 0.00  | 2.82             | Sell to Close    |
| REVLON INC                 | CL A   CUSIP: 761525609   Symbol: REV |  |  |                          |   |                  |                  |
| 05/22/2020                 | 150.00                                | 1,590.94   | 05/22/2020   | 1,560.00                 | 0.00  | 30.94            | Sale             |
| PUT BIDU 12/31/20          | 215                                   | BAIDU INC   CUSIP:   Symbol: BIDU201231P00215000                     |  |                          |   |                  |                  |
| 12/30/2020                 | 1.00                                  | 209.90   | 12/30/2020   | 215.08                   | 0.00  | -5.18            | Sell to Close    |
| CALL KR 07/02/20           | 34                                    | KROGER CO   CUSIP:   Symbol: KR200702C00034000                       |  |                          |   |                  |                  |
| 06/17/2020                 | 1.00                                  | 106.89   | 06/17/2020   | 122.09                   | 0.00  | -15.20           | Sell to Close    |
| CALL TDOC 12/04/20         | 200                                   | TELADOC HEALTH INC   CUSIP:   Symbol: TDOC201204C00200000            |  |                          |   |                  |                  |
| 12/02/2020                 | 1.00                                  | 216.90   | 12/01/2020   | 270.08                   | 0.00  | -53.18           | Sell to Close    |
| CALL AAPL 10/16/20         | 135                                   | APPLE INC  | ADJ 4:1 STOCK SPLIT   CUSIP:   Symbol: AAPL201016C00135000 |                          |   |                  |                  |
| 09/09/2020                 | 2.00                                  | 459.79   | Various  | 1,540.18                 | 0.00  | -1,080.39        | Sell to Close    |
| CALL BABA 04/16/21         | 225                                   | ALIBABA GROUP HOLDING LIMITED   CUSIP:   Symbol: BABA210416C00225000 |  |                          |   |                  |                  |
| 12/28/2020                 | 1.00                                  | 2,134.86   | 12/24/2020   | 1,850.08                 | 0.00  | 284.78           | Sell to Close    |
| CALL BLUE 02/19/21         | 50                                    | BLUEBIRD BIO INC   CUSIP:   Symbol: BLUE210219C00050000              |  |                          |   |                  |                  |
| 12/22/2020                 | 1.00                                  | 361.90   | 12/21/2020   | 330.08                   | 0.00  | 31.82            | Sell to Close    |
| CALL NVDA 09/11/20         | 555                                   | NVIDIA CORP   CUSIP:   Symbol: NVDA200911C00555000                   |  |                          |   |                  |                  |
| 09/02/2020                 | 1.00                                  | 3,699.81   | 09/01/2020   | 1,655.09                 | 0.00  | 2,044.72         | Sell to Close    |
| CALL TSLA 12/31/20         | 700                                   | TESLA INC   CUSIP:   Symbol: TSLA201231C00700000                     |  |                          |   |                  |                  |
| 12/31/2020                 | 1.00                                  | 259.90   | 12/31/2020   | 395.08                   | 0.00  | -135.18          | Sell to Close    |
| CALL AAPL 12/18/20         | 120                                   | APPLE INC  | ADJ 4:1 STOCK SPLIT   CUSIP:   Symbol: AAPL201218C00120000 |                          |   |                  |                  |
| 09/04/2020                 | 3.00                                  | 2,807.65   | 08/03/2020   | 1,350.07                 | 0.00  | 1,457.58         | Sell to Close    |
| 09/04/2020                 | 1.00                                  | 922.87   | 08/03/2020   | 450.02                   | 0.00  | 472.85           | Sell to Close    |
| 09/14/2020                 | 1.00                                  | 834.88   | 09/09/2020   | 1,050.09                 | 0.00  | -215.21          | Sell to Close    |
| <b>Security Totals:</b>    |                                       | <b>4,565.40</b>  |  | <b>2,850.18</b>          |   | <b>1,715.22</b>  |                  |
| CALL TSLA 12/31/20         | 690                                   | TESLA INC   CUSIP:   Symbol: TSLA201231C00690000                     |  |                          |   |                  |                  |
| 12/30/2020                 | 1.00                                  | 424.90   | 12/30/2020   | 314.08                   | 0.00  | 110.82           | Sell to Close    |
| CALL DBX 01/15/21          | 28                                    | DROPBOX INC   CUSIP:   Symbol: DBX210115C00028000                    |  |                          |   |                  |                  |
| 12/01/2020                 | 1.00                                  | 12.90  | 08/04/2020   | 155.09                   | 0.00  | -142.19          | Sell to Close    |
| ***AIRNET TECHNOLOGY INC   |                                       | AMERICAN DEPOSITARY SHARES   CUSIP: 00941Q104   Symbol: ANTE         |  |                          |   |                  |                  |
| 06/22/2020                 | 494.00                                | 484.04   | 06/19/2020   | 494.00                   | 0.00  | -9.96            | Sale             |

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

APEX CLEARING

## Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B\*

OMB No. 1545-0715

5MQ16480

(continued)

01/23/2021

**SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS**

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

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

| 1c - Date Sold or Disposed                         | Quantity                                       | 1d - Proceeds  | 1b - Date Acquired   | 1e - Cost or Other Basis | 1f - Accrued Market Discount (M) & 1g - Wash Sale Loss Disallowed (D) | Gain or Loss (-) | Additional Notes |
|--|--|--|--|--------------------------|---|------------------|------------------|
| 06/22/2020   | 506.00   | 480.62   | 06/19/2020   | 506.00                   | 0.00  | -25.38           | Sale             |
| <b>Security Totals:</b>                            |  | <b>964.66</b>  |  | <b>1,000.00</b>          |   | <b>-35.34</b>    |                  |
| VAXART INC   | COMMON STOCK   CUSIP: 92243A200   Symbol: VXRT |  |  |                          |   |                  |                  |
| 07/06/2020   | 150.00   | 977.95   | 07/06/2020   | 944.25                   | 0.00  | 33.70            | Sale             |
| PUT COST   | 12/11/20 370                                   | COSTCO WHOLESALE CORPORATION   | ADJ CASH DISTRIBUTION   CUSIP:   Symbol: COST201211P00370000 |                          |   |                  |                  |
| 12/11/2020   | 1.00   | 0.00   | 12/10/2020   | 315.08                   | 0.00  | -315.08          | Expiration       |
| CALL CRM   | 01/15/21 280                                   | SALESFORCE.COM INC   CUSIP:   Symbol: CRM210115C00280000             |  |                          |   |                  |                  |
| 08/26/2020   | 1.00   | 2,489.84   | 08/26/2020   | 2,700.09                 | 0.00  | -210.25          | Sell to Close    |
| PFIZER INC   CUSIP: 717081103   Symbol: PFE        |  |  |  |                          |   |                  |                  |
| 06/17/2020   | 30.00  | 1,009.46   | 06/16/2020   | 996.00                   | 0.00  | 13.46            | Sale             |
| 12/02/2020   | 200.00   | 8,221.79   | 12/02/2020   | 8,200.00                 | 0.00  | 21.79            | Sale             |
| 12/02/2020   | 300.00   | 12,299.68  | Various  | 12,222.78                | 0.05 D  | 76.95            | Sale             |
| <b>Security Totals:</b>                            |  | <b>21,530.93</b>   |  | <b>21,418.78</b>         |   | <b>112.20</b>    |                  |
| CALL BABA  | 01/15/21 235                                   | ALIBABA GROUP HOLDING LIMITED   CUSIP:   Symbol: BABA210115C00235000 |  |                          |   |                  |                  |
| 12/29/2020   | 1.00   | 629.89   | 12/29/2020   | 650.08                   | 0.00  | -20.19           | Sell to Close    |
| ***STRATASYS LTD   CUSIP: M85548101   Symbol: SSYS |  |  |  |                          |   |                  |                  |
| 06/17/2020   | 60.00  | 1,024.16   | 06/17/2020   | 1,028.24                 | 0.00  | -4.08            | Sale             |
| CALL AAPL  | 09/04/20 130                                   | APPLE INC  | ADJ 4:1 STOCK SPLIT   CUSIP:   Symbol: AAPL200904C00130000   |                          |   |                  |                  |
| 08/31/2020   | 1.00   | 339.89   | 08/31/2020   | 250.09                   | 0.00  | 89.80            | Sell to Close    |
| REMARK HOLDINGS INC                                | COMMON STOCK   CUSIP: 75955K102   Symbol: MARK |  |  |                          |   |                  |                  |
| 06/16/2020   | 11.00  | 28.47  | 06/16/2020   | 27.39                    | 0.00  | 1.08             | Sale             |
| 06/16/2020   | 439.00   | 1,117.18   | 06/16/2020   | 1,093.11                 | 0.00  | 24.07            | Sale             |
| <b>Security Totals:</b>                            |  | <b>1,145.65</b>  |  | <b>1,120.50</b>          |   | <b>25.15</b>     |                  |
| PUT ZM   | 12/04/20 385                                   | ZOOM VIDEO COMMUNICATIONS INC   CUSIP:   Symbol: ZM201204P00385000   |  |                          |   |                  |                  |
| 11/25/2020   | 1.00   | 1,041.88   | 11/25/2020   | 980.08                   | 0.00  | 61.80            | Sell to Close    |
| CALL BE  | 08/21/20 24                                    | BLOOM ENERGY CORP   CUSIP:   Symbol: BE200821C00024000               |  |                          |   |                  |                  |
| 08/21/2020   | 1.00   | 0.00   | 07/22/2020   | 140.09                   | 0.00  | -140.09          | Expiration       |
| CALL SDC   | 01/15/21 14                                    | SMILEDIRECTCLUB INC CL A   CUSIP:   Symbol: SDC210115C00014000       |  |                          |   |                  |                  |
| 12/23/2020   | 1.00   | 98.90  | 12/23/2020   | 105.08                   | 0.00  | -6.18            | Sell to Close    |

APEX CLEARING

## Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B\*

OMB No. 1545-0715

5MQ16480

(continued)

01/23/2021

**SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS**

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

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

| 1c - Date Sold or Disposed  | Quantity | 1d - Proceeds  | 1b - Date Acquired | 1e - Cost or Other Basis | 1f - Accrued Market Discount (M) & 1g - Wash Sale Loss Disallowed (D) | Gain or Loss (-) | Additional Notes |
|---|----------|--|--------------------|--------------------------|---|------------------|------------------|
| CALL AAPL 12/31/20  | 123      | APPLE INC   CUSIP:   Symbol: AAPL201231C00123000                     |                    |                          |   |                  |                  |
| 12/10/2020  | 1.00     | 344.90   | 12/09/2020         | 336.08                   | 0.00  | 8.82             | Sell to Close    |
| CALL AMD 07/31/20   | 59       | ADVANCED MICRO DEVICES INC   CUSIP:   Symbol: AMD200731C00059000     |                    |                          |   |                  |                  |
| 07/22/2020  | 1.00     | 394.89   | 07/20/2020         | 195.09                   | 0.00  | 199.80           | Sell to Close    |
| NAVISTAR INTERNATIONAL CORP   CUSIP: 63934E108   Symbol: NAV  |          |  |                    |                          |   |                  |                  |
| 06/01/2020  | 50.00    | 1,267.46   | 05/29/2020         | 1,266.00                 | 0.00  | 1.46             | Sale             |
| ***JUMIA TECHNOLOGIES AG AMERICAN DEPOSITARY SHARES ECH REPRESENTING TWO ORDINARY SHS   CUSIP: 48138M105   Symbol: JMIA |          |  |                    |                          |   |                  |                  |
| 05/21/2020  | 300.00   | 1,439.98   | 05/21/2020         | 1,401.00                 | 0.00  | 38.98            | Sale             |
| 08/10/2020  | 75.00    | 1,597.45   | Various            | 1,488.75                 | 0.00  | 108.70           | Sale             |
| <b>Security Totals:</b>   |          | <b>3,037.43</b>  |                    | <b>2,889.75</b>          |   | <b>147.68</b>    |                  |
| PUT CRM 08/28/20  | 265      | SALESFORCE.COM INC   CUSIP:   Symbol: CRM200828P00265000             |                    |                          |   |                  |                  |
| 08/26/2020  | 1.00     | 379.89   | 08/26/2020         | 360.09                   | 0.00  | 19.80            | Sell to Close    |
| CALL CLSN 07/17/20  | 2.50     | CELSION CORPORATION   CUSIP:   Symbol: CLSN200717C00002500           |                    |                          |   |                  |                  |
| 07/10/2020  | 1.00     | 124.89   | 07/02/2020         | 190.09                   | 0.00  | -65.20           | Sell to Close    |
| CALL AAPL 09/04/20  | 131.25   | APPLE INC ADJ 4:1 STOCK SPLIT   CUSIP:   Symbol: AAPL200904C00131250 |                    |                          |   |                  |                  |
| 09/01/2020  | 1.00     | 291.89   | 08/31/2020         | 264.09                   | 0.00  | 27.80            | Sell to Close    |
| GILEAD SCIENCES INC   CUSIP: 375558103   Symbol: GILD   |          |  |                    |                          |   |                  |                  |
| 05/01/2020  | 10.00    | 799.97   | 05/01/2020         | 802.40                   | 2.43 D  | 0.00             | Sale             |
| 05/06/2020  | 15.00    | 1,169.96   | Various            | 1,192.34                 | 0.00  | -22.38           | Sale             |
| <b>Security Totals:</b>   |          | <b>1,969.93</b>  |                    | <b>1,994.74</b>          |   | <b>-22.38</b>    |                  |
| CALL NVDA 08/28/20  | 470      | NVIDIA CORP   CUSIP:   Symbol: NVDA200828C00470000                   |                    |                          |   |                  |                  |
| 08/17/2020  | 1.00     | 2,899.84   | 08/14/2020         | 1,600.09                 | 0.00  | 1,299.75         | Sell to Close    |
| PUT DIS 08/07/20  | 127      | WALT DISNEY CO   CUSIP:   Symbol: DIS200807P00127000                 |                    |                          |   |                  |                  |
| 08/05/2020  | 1.00     | 105.89   | 08/05/2020         | 125.09                   | 0.00  | -19.20           | Sell to Close    |
| CALL DK 07/17/20  | 25       | DELEK US HOLDINGS INC   CUSIP:   Symbol: DK200717C00025000           |                    |                          |   |                  |                  |
| 06/11/2020  | 1.00     | 29.89  | 06/05/2020         | 140.09                   | 0.00  | -110.20          | Sell to Close    |
| CALL MRNA 12/24/20  | 165      | MODERNA INC   CUSIP:   Symbol: MRNA201224C00165000                   |                    |                          |   |                  |                  |
| 12/14/2020  | 1.00     | 1,299.88   | 12/11/2020         | 1,070.08                 | 0.00  | 229.80           | Sell to Close    |
| PUT MRNA 12/24/20   | 160      | MODERNA INC   CUSIP:   Symbol: MRNA201224P00160000                   |                    |                          |   |                  |                  |
| 12/11/2020  | 1.00     | 1,549.87   | 12/11/2020         | 1,500.08                 | 0.00  | 49.79            | Sell to Close    |



APEX CLEARING

## Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B\*

OMB No. 1545-0715

5MQ16480

(continued)

01/23/2021

**SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS**

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

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

| 1c - Date Sold or Disposed               | Quantity   | 1d - Proceeds   | 1b - Date Acquired | 1e - Cost or Other Basis | 1f - Accrued Market Discount (M) & 1g - Wash Sale Loss Disallowed (D) | Gain or Loss (-) | Additional Notes |
|--|--|---|--------------------|--------------------------|---|------------------|------------------|
| CALL AAPL 12/31/20                       | 120  | APPLE INC   CUSIP:   Symbol: AAPL201231C00120000                |                    |                          |   |                  |                  |
| 11/30/2020                               | 1.00   | 379.90  | 11/27/2020         | 292.08                   | 0.00  | 87.82            | Sell to Close    |
| GUARDANT HEALTH INC                      | COMMON STOCK   CUSIP: 40131M109   Symbol: GH         |   |                    |                          |   |                  |                  |
| 07/08/2020                               | 10.00  | 868.87  | 07/06/2020         | 840.00                   | 0.00  | 28.87            | Sale             |
| CALL PDD 12/31/20                        | 180  | PINDUODUO INC ADS   CUSIP:   Symbol: PDD201231C00180000         |                    |                          |   |                  |                  |
| 12/30/2020                               | 1.00   | 203.90  | 12/30/2020         | 206.08                   | 0.00  | -2.18            | Sell to Close    |
| CALL PFE 12/24/20                        | 41   | PFIZER INC   CUSIP:   Symbol: PFE201224C00041000                |                    |                          |   |                  |                  |
| 12/09/2020                               | 2.00   | 439.82  | 12/07/2020         | 350.16                   | 0.00  | 89.66            | Sell to Close    |
| ***CARNIVAL CORP                         | COMMON PAIRED STOCK   CUSIP: 143658300   Symbol: CCL |   |                    |                          |   |                  |                  |
| 06/01/2020                               | 75.00  | 1,245.85  | 06/01/2020         | 1,203.00                 | 0.00  | 42.85            | Sale             |
| 07/09/2020                               | 100.00   | 1,587.52  | 07/09/2020         | 1,561.00                 | 0.00  | 26.52            | Sale             |
| 07/10/2020                               | 50.00  | 774.97  | 07/09/2020         | 804.50                   | 0.00  | -29.53           | Sale             |
| 07/10/2020                               | 50.00  | 796.47  | 07/09/2020         | 804.50                   | 0.00  | -8.03            | Sale             |
| <b>Security Totals:</b>                  |  | <b>4,404.81</b>   |                    | <b>4,373.00</b>          |   | <b>31.81</b>     |                  |
| DIAMONDBACK ENERGY INC                   | COM   CUSIP: 25278X109   Symbol: FANG                |   |                    |                          |   |                  |                  |
| 06/23/2020                               | 15.00  | 708.72  | 06/18/2020         | 703.47                   | 0.00  | 5.25             | Sale             |
| PUT DOCU 12/04/20                        | 215  | DOCUSIGN INC   CUSIP:   Symbol: DOCU201204P00215000             |                    |                          |   |                  |                  |
| 12/04/2020                               | 1.00   | 0.00  | 12/03/2020         | 500.08                   | 0.00  | -500.08          | Expiration       |
| MACYS INC   CUSIP: 55616P104   Symbol: M |  |   |                    |                          |   |                  |                  |
| 06/01/2020                               | 200.00   | 1,304.95  | 05/29/2020         | 1,275.66                 | 0.00  | 29.29            | Sale             |
| 07/07/2020                               | 200.00   | 1,279.95  | 07/02/2020         | 1,329.80                 | 0.00  | -49.85           | Sale             |
| <b>Security Totals:</b>                  |  | <b>2,584.90</b>   |                    | <b>2,605.46</b>          |   | <b>-20.56</b>    |                  |
| CALL MSFT 12/18/20                       | 215  | MICROSOFT CORP   CUSIP:   Symbol: MSFT201218C00215000           |                    |                          |   |                  |                  |
| 12/02/2020                               | 1.00   | 439.90  | 12/02/2020         | 400.08                   | 0.00  | 39.82            | Sell to Close    |
| CALL MSFT 12/18/20                       | 220  | MICROSOFT CORP   CUSIP:   Symbol: MSFT201218C00220000           |                    |                          |   |                  |                  |
| 09/04/2020                               | 1.00   | 1,649.86  | 09/04/2020         | 1,700.09                 | 0.00  | -50.23           | Sell to Close    |
| CALL DG 08/28/20                         | 212.50   | DOLLAR GENERAL CORPORATION   CUSIP:   Symbol: DG200828C00212500 |                    |                          |   |                  |                  |
| 08/28/2020                               | 1.00   | 0.00  | 08/27/2020         | 135.09                   | 0.00  | -135.09          | Expiration       |
| CALL ETSY 12/31/20                       | 165  | ETSY INC   CUSIP:   Symbol: ETSY201231C00165000                 |                    |                          |   |                  |                  |
| 12/09/2020                               | 1.00   | 684.89  | 12/09/2020         | 670.08                   | 0.00  | 14.81            | Sell to Close    |

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

APEX CLEARING

## Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B\*

OMB No. 1545-0715

5MQ16480

(continued)

01/23/2021

**SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS**

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

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

| 1c - Date Sold or Disposed  | Quantity | 1d - Proceeds   | 1b - Date Acquired | 1e - Cost or Other Basis | 1f - Accrued Market Discount (M) & 1g - Wash Sale Loss Disallowed (D) | Gain or Loss (-) | Additional Notes |
|---|----------|-----------------|--------------------|--------------------------|---|------------------|------------------|
| CALL MSFT 01/15/21 230  |          |                 |                    |                          |   |                  |                  |
| MICROSOFT CORP   CUSIP:   Symbol: MSFT210115C00230000                 |          |                 |                    |                          |   |                  |                  |
| 08/10/2020  | 1.00     | 1,099.87        | 08/10/2020         | 1,100.09                 | 0.00  | -0.22            | Sell to Close    |
| ***INTEC PHARMA LTD   |          |                 |                    |                          |   |                  |                  |
| ORDINARY SHARES   CUSIP: M53644106   Symbol: NTEC                     |          |                 |                    |                          |   |                  |                  |
| 06/03/2020  | 3,000.00 | 1,157.61        | Various            | 1,181.79                 | 25.27 D   | 1.09             | Sale             |
| 06/03/2020  | 4,000.00 | 1,495.64        | Various            | 1,576.51                 | 80.87 D   | 0.00             | Sale             |
| 06/03/2020  | 4,323.00 | 1,625.42        | 06/02/2020         | 1,690.29                 | 64.87 D   | 0.00             | Sale             |
| 06/04/2020  | 5,677.00 | 2,340.62        | Various            | 2,283.02                 | 24.65 D   | 82.25            | Sale             |
| 06/04/2020  | 1,000.00 | 441.07          | Various            | 454.27                   | 0.00  | -13.20           | Sale             |
| 06/08/2020  | 300.00   | 119.95          | 06/04/2020         | 135.70                   | 0.00  | -15.75           | Sale             |
| 06/09/2020  | 700.00   | 309.41          | Various            | 318.03                   | 0.00  | -8.62            | Sale             |
| <b>Security Totals:</b>   |          | <b>7,489.72</b> |                    | <b>7,639.61</b>          |   | <b>45.77</b>     |                  |
| CALL NUGT 01/15/21 99   |          |                 |                    |                          |   |                  |                  |
| DIREXION DLY GLD MNRS INDX BUL   CUSIP:   Symbol: NUGT210115C00099000 |          |                 |                    |                          |   |                  |                  |
| 08/13/2020  | 1.00     | 1,999.85        | 08/13/2020         | 1,985.09                 | 0.00  | 14.76            | Sell to Close    |
| INOVIO PHARMACEUTICALS INC  |          |                 |                    |                          |   |                  |                  |
| COM   CUSIP: 45773H201   Symbol: INO                                  |          |                 |                    |                          |   |                  |                  |
| 04/24/2020  | 5.00     | 70.68           | 04/24/2020         | 73.15                    | 0.00  | -2.47            | Sale             |
| 04/24/2020  | 73.00    | 1,033.64        | 04/24/2020         | 1,067.99                 | 0.00  | -34.35           | Sale             |
| 06/30/2020  | 50.00    | 1,357.95        | 06/30/2020         | 1,250.00                 | 0.00  | 107.95           | Sale             |
| 06/30/2020  | 50.00    | 1,485.54        | Various            | 1,368.25                 | 0.00  | 117.29           | Sale             |
| 07/01/2020  | 50.00    | 1,155.96        | 07/01/2020         | 1,172.49                 | 0.00  | -16.53           | Sale             |
| <b>Security Totals:</b>   |          | <b>5,103.77</b> |                    | <b>4,931.88</b>          |   | <b>171.89</b>    |                  |
| CALL CRM 12/04/20 225   |          |                 |                    |                          |   |                  |                  |
| SALESFORCE.COM INC   CUSIP:   Symbol: CRM201204C00225000              |          |                 |                    |                          |   |                  |                  |
| 12/02/2020  | 1.00     | 359.90          | 12/02/2020         | 280.08                   | 0.00  | 79.82            | Sell to Close    |
| ***NANO DIMENSION LTD   |          |                 |                    |                          |   |                  |                  |
| AMERICAN DEPOSITARY SHARES   CUSIP: 63008G203   Symbol: NNDM          |          |                 |                    |                          |   |                  |                  |
| 05/21/2020  | 16.00    | 40.62           | 05/21/2020         | 46.76                    | 0.00  | -6.14            | Sale             |
| 05/21/2020  | 1,984.00 | 5,114.19        | Various            | 5,481.80                 | 3.56 D  | -364.05          | Sale             |
| <b>Security Totals:</b>   |          | <b>5,154.81</b> |                    | <b>5,528.56</b>          |   | <b>-370.19</b>   |                  |
| PUT CRM 12/04/20 230  |          |                 |                    |                          |   |                  |                  |
| SALESFORCE.COM INC   CUSIP:   Symbol: CRM201204P00230000              |          |                 |                    |                          |   |                  |                  |
| 12/02/2020  | 1.00     | 1,334.88        | 12/01/2020         | 300.08                   | 0.00  | 1,034.80         | Sell to Close    |
| CALL AMZN 01/08/21 3175   |          |                 |                    |                          |   |                  |                  |
| AMAZON.COM INC   CUSIP:   Symbol: AMZN210108C03175000                 |          |                 |                    |                          |   |                  |                  |
| 12/28/2020  | 1.00     | 7,511.74        | 12/24/2020         | 7,062.08                 | 0.00  | 449.66           | Sell to Close    |

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

APEX CLEARING

## Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B\*

OMB No. 1545-0715

5MQ16480

(continued)

01/23/2021

**SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS**

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

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

| 1c - Date Sold or Disposed | Quantity | 1d - Proceeds   | 1b - Date Acquired   | 1e - Cost or Other Basis | 1f - Accrued Market Discount (M) & 1g - Wash Sale Loss Disallowed (D) | Gain or Loss (-) | Additional Notes |
|----------------------------|----------|---|--|--------------------------|---|------------------|------------------|
| CALL CRM 12/04/20          | 230      | SALESFORCE.COM INC   CUSIP:   Symbol: CRM201204C00230000            |  |                          |   |                  |                  |
| 12/04/2020                 | 1.00     | 47.90   | 12/02/2020   | 170.08                   | 0.00  | -122.18          | Sell to Close    |
| CALL ZM 12/04/20           | 410      | ZOOM VIDEO COMMUNICATIONS INC   CUSIP:   Symbol: ZM201204C00410000  |  |                          |   |                  |                  |
| 12/03/2020                 | 1.00     | 619.89  | 12/03/2020   | 620.08                   | 0.00  | -0.19            | Sell to Close    |
| PUT TSLA 12/31/20          | 560      | TESLA INC   CUSIP:   Symbol: TSLA201231P00560000                    |  |                          |   |                  |                  |
| 12/31/2020                 | 1.00     | 0.00  | 12/18/2020   | 1,756.08                 | 0.00  | -1,756.08        | Expiration       |
| CALL TDOC 12/24/20         | 195      | TELADOC HEALTH INC   CUSIP:   Symbol: TDOC201224C00195000           |  |                          |   |                  |                  |
| 12/09/2020                 | 1.00     | 609.89  | 12/09/2020   | 580.08                   | 0.00  | 29.81            | Sell to Close    |
| CALL TSLA 10/02/20         | 500      | TESLA INC   | ADJ 5:1 STOCK SPLIT   CUSIP:   Symbol: TSLA201002C00500000 |                          |   |                  |                  |
| 08/31/2020                 | 1.00     | 5,589.77  | 08/31/2020   | 5,200.09                 | 0.00  | 389.68           | Sell to Close    |
| 08/31/2020                 | 1.00     | 6,349.75  | 08/31/2020   | 6,000.09                 | 0.00  | 349.66           | Sell to Close    |
| 08/31/2020                 | 1.00     | 5,799.77  | 08/31/2020   | 5,500.09                 | 0.00  | 299.68           | Sell to Close    |
| 09/08/2020                 | 1.00     | 1,029.87  | 09/01/2020   | 5,500.09                 | 4470.22 D   | 0.00             | Sell to Close    |
| 09/08/2020                 | 1.00     | 999.87  | 09/08/2020   | 5,720.31                 | 0.00  | -4,720.44        | Sell to Close    |
| <b>Security Totals:</b>    |          | <b>19,769.03</b>  |  | <b>27,920.67</b>         |   | <b>-3,681.42</b> |                  |
| CALL SSYS 07/02/20         | 19       | STRATASYS LTD   CUSIP:   Symbol: SSYS200702C00019000                |  |                          |   |                  |                  |
| 07/02/2020                 | 1.00     | 0.00  | 06/17/2020   | 31.09                    | 0.00  | -31.09           | Expiration       |
| CALL BA 03/19/21           | 250      | BOEING CO   CUSIP:   Symbol: BA210319C00250000                      |  |                          |   |                  |                  |
| 12/31/2020                 | 1.00     | 819.89  | 12/30/2020   | 820.08                   | 0.00  | -0.19            | Sell to Close    |
| LIVONGO HEALTH INC         |          | COMMON STOCK   CUSIP: 539183103   Symbol: LVGO                      |  |                          |   |                  |                  |
| 07/06/2020                 | 10.00    | 810.87  | 07/06/2020   | 745.00                   | 0.00  | 65.87            | Sale             |
| PUT ZM 12/04/20            | 382.50   | ZOOM VIDEO COMMUNICATIONS INC   CUSIP:   Symbol: ZM201204P00382500  |  |                          |   |                  |                  |
| 11/25/2020                 | 1.00     | -62.20  | 11/25/2020   | 0.00                     | 0.00  | -62.20           | Buy to Close     |
| CALL MSFT 12/18/20         | 250      | MICROSOFT CORP   CUSIP:   Symbol: MSFT201218C00250000               |  |                          |   |                  |                  |
| 08/04/2020                 | 3.00     | 1,664.68  | Various  | 973.27                   | 0.00  | 691.41           | Sell to Close    |
| 08/20/2020                 | 1.00     | 474.88  | 07/31/2020   | 247.09                   | 0.00  | 227.79           | Sell to Close    |
| 08/20/2020                 | 1.00     | 480.88  | 08/11/2020   | 430.09                   | 0.00  | 50.79            | Sell to Close    |
| <b>Security Totals:</b>    |          | <b>2,620.44</b>   |  | <b>1,650.45</b>          |   | <b>969.99</b>    |                  |
| CALL SPCE 07/17/20         | 22       | VIRGIN GALACTIC HOLDINGS INC   CUSIP:   Symbol: SPCE200717C00022000 |  |                          |   |                  |                  |
| 07/10/2020                 | 1.00     | 99.89   | 07/10/2020   | 113.09                   | 0.00  | -13.20           | Sell to Close    |

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

APEX CLEARING

## Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B\*

OMB No. 1545-0715

5MQ16480

(continued)

01/23/2021

**SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS**

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

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

| <b>1c - Date Sold or Disposed</b>   | <b>Quantity</b> | <b>1d - Proceeds</b> | <b>1b - Date Acquired</b> | <b>1e - Cost or Other Basis</b> | <b>1f - Accrued Market Discount (M) &amp; 1g - Wash Sale Loss Disallowed (D)</b> | <b>Gain or Loss (-)</b> | <b>Additional Notes</b> |
|---|-----------------|----------------------|---------------------------|---------------------------------|--|-------------------------|-------------------------|
| <b>***ALIBABA GROUP HOLDING LTD SPONSORED ADR   CUSIP: 01609W102   Symbol: BABA</b>                           |                 |                      |                           |                                 |  |                         |                         |
| 05/22/2020  | 10.00           | 2,085.54             | 05/22/2020                | 2,099.00                        | 13.46 D  | 0.00                    | Sale                    |
| 05/27/2020  | 5.00            | 992.46               | 05/27/2020                | 999.23                          | 6.77 D   | 0.00                    | Sale                    |
| 05/28/2020  | 10.00           | 2,010.54             | Various                   | 1,998.20                        | 0.00   | 12.34                   | Sale                    |
| 06/30/2020  | 10.00           | 2,153.34             | 06/30/2020                | 2,155.00                        | 0.00   | -1.66                   | Sale                    |
| 12/29/2020  | 10.00           | 2,293.63             | 12/24/2020                | 2,288.40                        | 0.00   | 5.23                    | Sale                    |
| <b>Security Totals:</b>   |                 | <b>9,535.51</b>      |                           | <b>9,539.83</b>                 |  | <b>15.91</b>            |                         |
| <b>***NABRIVA THERAPEUTICS PLC ORDINARY SHARES   CUSIP: G63637105   Symbol: NBRV</b>                          |                 |                      |                           |                                 |  |                         |                         |
| 06/17/2020  | 500.00          | 474.92               | 06/16/2020                | 477.44                          | 0.00   | -2.52                   | Sale                    |
| <b>CALL INO 11/20/20 30 INOVIO PHARMACEUTICALS INC   CUSIP:   Symbol: INO201120C00030000</b>                  |                 |                      |                           |                                 |  |                         |                         |
| 09/11/2020  | 1.00            | 74.89                | 07/13/2020                | 720.09                          | 0.00   | -645.20                 | Sell to Close           |
| <b>***NIO INC AMERICAN DEPOSITARY SHARES ECH RPRSNTNG ONE CL A ORD SHARE   CUSIP: 62914V106   Symbol: NIO</b> |                 |                      |                           |                                 |  |                         |                         |
| 07/06/2020  | 50.00           | 593.72               | 07/06/2020                | 536.50                          | 0.00   | 57.22                   | Sale                    |
| 07/06/2020  | 50.00           | 541.47               | 07/06/2020                | 536.50                          | 0.00   | 4.97                    | Sale                    |
| 07/07/2020  | 50.00           | 654.97               | 07/07/2020                | 592.50                          | 0.00   | 62.47                   | Sale                    |
| 07/08/2020  | 50.00           | 649.97               | 07/08/2020                | 700.50                          | 50.53 D  | 0.00                    | Sale                    |
| 07/09/2020  | 50.00           | 683.47               | 07/09/2020                | 691.06                          | 6.83 D   | -0.76                   | Sale                    |
| 07/09/2020  | 50.00           | 709.47               | 07/08/2020                | 713.03                          | 3.56 D   | 0.00                    | Sale                    |
| 07/17/2020  | 45.00           | 493.17               | Various                   | 700.88                          | 0.00   | -207.71                 | Sale                    |
| <b>Security Totals:</b>   |                 | <b>4,326.24</b>      |                           | <b>4,470.97</b>                 |  | <b>-83.81</b>           |                         |
| <b>NETFLIX COM INC   CUSIP: 64110L106   Symbol: NFLX</b>  |                 |                      |                           |                                 |  |                         |                         |
| 05/21/2020  | 5.00            | 2,178.79             | 05/21/2020                | 2,183.86                        | 0.00   | -5.07                   | Sale                    |
| <b>HOME DEPOT INC   CUSIP: 437076102   Symbol: HD</b>   |                 |                      |                           |                                 |  |                         |                         |
| 05/20/2020  | 7.00            | 1,677.64             | 05/19/2020                | 1,679.23                        | 0.00   | -1.59                   | Sale                    |
| <b>JPMORGAN CHASE &amp; CO   CUSIP: 46625H100   Symbol: JPM</b>   |                 |                      |                           |                                 |  |                         |                         |
| 06/30/2020  | 15.00           | 1,402.45             | 06/29/2020                | 1,398.15                        | 0.00   | 4.30                    | Sale                    |
| <b>CALL SPCE 07/31/20 17.50 VIRGIN GALACTIC HOLDINGS INC   CUSIP:   Symbol: SPCE200731C00017500</b>           |                 |                      |                           |                                 |  |                         |                         |
| 07/14/2020  | 1.00            | 212.89               | 07/14/2020                | 185.09                          | 0.00   | 27.80                   | Sell to Close           |
| <b>CALL AAPL 01/08/21 132 APPLE INC   CUSIP:   Symbol: AAPL210108C00132000</b>                                |                 |                      |                           |                                 |  |                         |                         |
| 12/28/2020  | 1.00            | 430.90               | 12/24/2020                | 350.08                          | 0.00   | 80.82                   | Sell to Close           |

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

APEX CLEARING

## Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B\*

OMB No. 1545-0715

5MQ16480

(continued)

01/23/2021

**SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS**

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

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

| 1c - Date Sold or Disposed | Quantity  | 1d - Proceeds    | 1b - Date Acquired | 1e - Cost or Other Basis | 1f - Accrued Market Discount (M) & 1g - Wash Sale Loss Disallowed (D) | Gain or Loss (-) | Additional Notes |
|----------------------------|---|------------------|--------------------|--------------------------|---|------------------|------------------|
| CALL SPCE 01/15/21 25      | VIRGIN GALACTIC HOLDINGS INC   CUSIP:   Symbol: SPCE210115C00025000 |                  |                    |                          |   |                  |                  |
| 08/06/2020                 | 1.00  | 329.89           | 08/05/2020         | 355.09                   | 0.00  | -25.20           | Sell to Close    |
| CALL MRNA 12/04/20 165     | MODERNA INC   CUSIP:   Symbol: MRNA201204C00165000                  |                  |                    |                          |   |                  |                  |
| 12/01/2020                 | 1.00  | 699.89           | 12/01/2020         | 860.08                   | 0.00  | -160.19          | Sell to Close    |
| CALL AAPL 12/18/20 560     | APPLE INC   CUSIP:   Symbol: AAPL201218C00560000                    |                  |                    |                          |   |                  |                  |
| 08/27/2020                 | 1.00  | 3,049.83         | 08/24/2020         | 3,100.09                 | 50.26 D   | 0.00             | Sell to Close    |
| 08/27/2020                 | 1.00  | 2,934.83         | 08/24/2020         | 2,850.35                 | 0.00  | 84.48            | Sell to Close    |
| <b>Security Totals:</b>    |   | <b>5,984.66</b>  |                    | <b>5,950.44</b>          |   | <b>84.48</b>     |                  |
| NOVAN INC                  | COM   CUSIP: 66988N106   Symbol: NOVN                               |                  |                    |                          |   |                  |                  |
| 05/21/2020                 | 9.00  | 3.67             | 05/21/2020         | 3.72                     | 0.00  | -0.05            | Sale             |
| 05/21/2020                 | 991.00  | 406.68           | 05/21/2020         | 409.28                   | 0.00  | -2.60            | Sale             |
| 06/23/2020                 | 4,000.00  | 2,439.85         | 06/23/2020         | 2,400.00                 | 0.00  | 39.85            | Sale             |
| 06/23/2020                 | 4,600.00  | 2,807.54         | Various            | 2,759.47                 | 0.00  | 48.07            | Sale             |
| 06/23/2020                 | 5,000.00  | 3,049.33         | Various            | 3,000.00                 | 0.00  | 49.33            | Sale             |
| 06/23/2020                 | 7,000.00  | 4,237.57         | Various            | 3,681.50                 | 0.00  | 556.07           | Sale             |
| 06/23/2020                 | 10,000.00   | 6,197.67         | 06/23/2020         | 5,999.52                 | 0.00  | 198.15           | Sale             |
| 06/24/2020                 | 5,000.00  | 2,668.34         | Various            | 3,117.63                 | 0.00  | -449.29          | Sale             |
| 06/24/2020                 | 10,000.00   | 5,199.74         | Various            | 6,173.71                 | 600.28 D  | -373.69          | Sale             |
| 06/25/2020                 | 1,500.00  | 779.80           | Various            | 940.15                   | 0.00  | -160.35          | Sale             |
| <b>Security Totals:</b>    |   | <b>27,790.19</b> |                    | <b>28,484.98</b>         |   | <b>-94.51</b>    |                  |
| CALL AMZN 12/24/20 3175    | AMAZON.COM INC   CUSIP:   Symbol: AMZN201224C03175000               |                  |                    |                          |   |                  |                  |
| 12/09/2020                 | 1.00  | 6,934.75         | 12/09/2020         | 6,600.08                 | 0.00  | 334.67           | Sell to Close    |
| 12/14/2020                 | 1.00  | 6,589.76         | 12/09/2020         | 6,800.08                 | 0.00  | -210.32          | Sell to Close    |
| <b>Security Totals:</b>    |   | <b>13,524.51</b> |                    | <b>13,400.16</b>         |   | <b>124.35</b>    |                  |
| CALL MRNA 12/04/20 180     | MODERNA INC   CUSIP:   Symbol: MRNA201204C00180000                  |                  |                    |                          |   |                  |                  |
| 12/01/2020                 | 1.00  | 854.89           | 12/01/2020         | 815.08                   | 0.00  | 39.81            | Sell to Close    |
| 12/01/2020                 | 1.00  | 884.89           | 12/01/2020         | 815.08                   | 0.00  | 69.81            | Sell to Close    |
| 12/01/2020                 | 1.00  | 879.89           | 12/01/2020         | 825.08                   | 0.00  | 54.81            | Sell to Close    |
| 12/01/2020                 | 1.00  | 799.89           | 12/01/2020         | 820.08                   | 20.19 D   | 0.00             | Sell to Close    |

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

APEX CLEARING

## Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B\*

OMB No. 1545-0715

5MQ16480

(continued)

01/23/2021

**SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS**

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

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

| 1c - Date Sold or Disposed | Quantity | 1d - Proceeds  | 1b - Date Acquired | 1e - Cost or Other Basis | 1f - Accrued Market Discount (M) & 1g - Wash Sale Loss Disallowed (D) | Gain or Loss (-) | Additional Notes |
|----------------------------|----------|--|--------------------|--------------------------|---|------------------|------------------|
| CALL MRNA 12/04/20         | 180      | MODERNA INC   CUSIP:   Symbol: MRNA201204C00180000                   |                    |                          |   |                  |                  |
| 12/01/2020                 | 1.00     | 614.89   | 12/01/2020         | 820.27                   | 0.00  | -205.38          | Sell to Close    |
| <b>Security Totals:</b>    |          | <b>4,034.45</b>  |                    | <b>4,095.59</b>          |   | <b>-40.95</b>    |                  |
| CALL TSLA 09/25/20         | 500      | TESLA INC ADJ 5:1 STOCK SPLIT   CUSIP:   Symbol: TSLA200925C00500000 |                    |                          |   |                  |                  |
| 09/10/2020                 | 1.00     | 744.88   | 09/10/2020         | 750.09                   | 5.21 D  | 0.00             | Sell to Close    |
| 09/11/2020                 | 1.00     | 849.88   | 09/10/2020         | 755.30                   | 0.00  | 94.58            | Sell to Close    |
| 09/14/2020                 | 1.00     | 749.88   | 09/11/2020         | 725.09                   | 0.00  | 24.79            | Sell to Close    |
| <b>Security Totals:</b>    |          | <b>2,344.64</b>  |                    | <b>2,230.48</b>          |   | <b>119.37</b>    |                  |
| CALL TSLA 09/25/20         | 520      | TESLA INC ADJ 5:1 STOCK SPLIT   CUSIP:   Symbol: TSLA200925C00520000 |                    |                          |   |                  |                  |
| 09/01/2020                 | 1.00     | 4,569.79   | 09/01/2020         | 4,600.09                 | 0.00  | -30.30           | Sell to Close    |
| CALL TSLA 08/14/20         | 1450     | TESLA INC   CUSIP:   Symbol: TSLA200814C01450000                     |                    |                          |   |                  |                  |
| 08/07/2020                 | 1.00     | 4,049.81   | 08/07/2020         | 3,600.09                 | 0.00  | 449.72           | Sell to Close    |
| 08/07/2020                 | 1.00     | 3,899.81   | 08/07/2020         | 3,800.09                 | 0.00  | 99.72            | Sell to Close    |
| <b>Security Totals:</b>    |          | <b>7,949.62</b>  |                    | <b>7,400.18</b>          |   | <b>549.44</b>    |                  |
| CALL ZM 09/11/20           | 410      | ZOOM VIDEO COMMUNICATIONS INC   CUSIP:   Symbol: ZM200911C00410000   |                    |                          |   |                  |                  |
| 09/11/2020                 | 4.00     | 34.22  | Various            | 0.00                     | 0.00  | 34.22            | Buy to Close     |
| CALL NVDA 08/28/20         | 520      | NVIDIA CORP   CUSIP:   Symbol: NVDA200828C00520000                   |                    |                          |   |                  |                  |
| 08/20/2020                 | 1.00     | 649.88   | 08/19/2020         | 770.09                   | 0.00  | -120.21          | Sell to Close    |
| CALL AAPL 01/15/21         | 490      | APPLE INC   CUSIP:   Symbol: AAPL210115C00490000                     |                    |                          |   |                  |                  |
| 08/17/2020                 | 1.00     | 3,204.82   | 08/11/2020         | 2,500.09                 | 0.00  | 704.73           | Sell to Close    |
| CALL BBBY 07/31/20         | 11.50    | BED BATH & BEYOND INC   CUSIP:   Symbol: BBBY200731C00011500         |                    |                          |   |                  |                  |
| 07/10/2020                 | 2.00     | 19.79  | Various            | 118.18                   | 100.19 D  | 1.80             | Sell to Close    |
| 07/27/2020                 | 4.00     | 39.60  | Various            | 132.57                   | 0.00  | -92.97           | Sell to Close    |
| <b>Security Totals:</b>    |          | <b>59.39</b>   |                    | <b>250.75</b>            |   | <b>-91.17</b>    |                  |
| CALL TSLA 08/14/20         | 1440     | TESLA INC   CUSIP:   Symbol: TSLA200814C01440000                     |                    |                          |   |                  |                  |
| 08/10/2020                 | 1.00     | 2,899.83   | 08/10/2020         | 2,900.09                 | 0.26 D  | 0.00             | Sell to Close    |
| 08/11/2020                 | 1.00     | 2,199.85   | 08/10/2020         | 2,650.35                 | 0.00  | -450.50          | Sell to Close    |
| <b>Security Totals:</b>    |          | <b>5,099.68</b>  |                    | <b>5,550.44</b>          |   | <b>-450.50</b>   |                  |
| PUT WDAY 11/27/20          | 200      | WORKDAY INC   CUSIP:   Symbol: WDAY201127P00200000                   |                    |                          |   |                  |                  |
| 11/24/2020                 | 2.00     | 22.82  | Various            | 24.16                    | 0.00  | -1.34            | Sell to Close    |

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

APEX CLEARING

## Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B\*

OMB No. 1545-0715

5MQ16480

(continued)

01/23/2021

**SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS**

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

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

| <b>1c - Date Sold or Disposed</b>   | <b>Quantity</b> | <b>1d - Proceeds</b> | <b>1b - Date Acquired</b> | <b>1e - Cost or Other Basis</b> | <b>1f - Accrued Market Discount (M) &amp; 1g - Wash Sale Loss Disallowed (D)</b> | <b>Gain or Loss (-)</b> | <b>Additional Notes</b> |
|---|-----------------|----------------------|---------------------------|---------------------------------|--|-------------------------|-------------------------|
| ELDORADO RESORTS INC COM   CUSIP: 28470R102   Symbol: ERI                   |                 |                      |                           |                                 |  |                         |                         |
| 06/02/2020  | 50.00           | 1,818.44             | 06/01/2020                | 1,805.00                        | 0.00   | 13.44                   | Sale                    |
| ACTINIUM PHARMACEUTICALS INC   CUSIP: 00507W107   Symbol: ATNM              |                 |                      |                           |                                 |  |                         |                         |
| 06/08/2020  | 3,000.00        | 984.21               | 06/08/2020                | 1,005.30                        | 21.09 D  | 0.00                    | Sale                    |
| 06/08/2020  | 4,000.00        | 1,359.08             | Various                   | 1,239.50                        | 0.00   | 119.58                  | Sale                    |
| 06/09/2020  | 3,000.00        | 1,285.41             | 06/09/2020                | 1,299.99                        | 0.00   | -14.58                  | Sale                    |
| <b>Security Totals:</b>   |                 | <b>3,628.70</b>      |                           | <b>3,544.79</b>                 |  | <b>105.00</b>           |                         |
| PUT WDAY 11/27/20 202.50 WORKDAY INC   CUSIP:   Symbol: WDAY201127P00202500 |                 |                      |                           |                                 |  |                         |                         |
| 11/24/2020  | 2.00            | -3.36                | Various                   | 0.00                            | 0.00   | -3.36                   | Buy to Close            |
| CALL TSLA 12/24/20 700 TESLA INC   CUSIP:   Symbol: TSLA201224C00700000     |                 |                      |                           |                                 |  |                         |                         |
| 12/14/2020  | 1.00            | 2,799.84             | 12/14/2020                | 2,800.08                        | 0.24 D   | 0.00                    | Sell to Close           |
| 12/15/2020  | 1.00            | 2,074.86             | 12/15/2020                | 1,900.32                        | 0.00   | 174.54                  | Sell to Close           |
| 12/16/2020  | 1.00            | 1,374.87             | 12/16/2020                | 1,520.08                        | 0.00   | -145.21                 | Sell to Close           |
| <b>Security Totals:</b>   |                 | <b>6,249.57</b>      |                           | <b>6,220.48</b>                 |  | <b>29.33</b>            |                         |
| GAP INC   CUSIP: 364760108   Symbol: GPS                                    |                 |                      |                           |                                 |  |                         |                         |
| 06/01/2020  | 150.00          | 1,483.73             | 05/29/2020                | 1,375.50                        | 0.00   | 108.23                  | Sale                    |
| CALL TSLA 08/14/20 1430 TESLA INC   CUSIP:   Symbol: TSLA200814C01430000    |                 |                      |                           |                                 |  |                         |                         |
| 08/10/2020  | 1.00            | 3,399.82             | 08/10/2020                | 3,200.09                        | 0.00   | 199.73                  | Sell to Close           |
| CALL MRNA 01/15/21 135 MODERNA INC   CUSIP:   Symbol: MRNA210115C00135000   |                 |                      |                           |                                 |  |                         |                         |
| 12/23/2020  | 1.00            | 979.88               | 12/22/2020                | 1,000.08                        | 0.00   | -20.20                  | Sell to Close           |
| CALL PFE 01/15/21 40 PFIZER INC   CUSIP:   Symbol: PFE210115C00040000       |                 |                      |                           |                                 |  |                         |                         |
| 12/03/2020  | 1.00            | 232.90               | 12/01/2020                | 230.08                          | 0.00   | 2.82                    | Sell to Close           |
| CALL NVDA 09/18/20 555 NVIDIA CORP   CUSIP:   Symbol: NVDA200918C00555000   |                 |                      |                           |                                 |  |                         |                         |
| 09/14/2020  | 1.00            | 108.79               | 09/14/2020                | 0.00                            | 0.00   | 108.79                  | Buy to Close            |
| CALL MRNA 12/31/20 160 MODERNA INC   CUSIP:   Symbol: MRNA201231C00160000   |                 |                      |                           |                                 |  |                         |                         |
| 12/10/2020  | 1.00            | 1,874.86             | 12/10/2020                | 1,600.08                        | 0.00   | 274.78                  | Sell to Close           |
| 12/15/2020  | 1.00            | 1,034.88             | 12/15/2020                | 1,000.08                        | 0.00   | 34.80                   | Sell to Close           |
| <b>Security Totals:</b>   |                 | <b>2,909.74</b>      |                           | <b>2,600.16</b>                 |  | <b>309.58</b>           |                         |
| BANK OF AMERICA CORP   CUSIP: 060505104   Symbol: BAC                       |                 |                      |                           |                                 |  |                         |                         |
| 06/30/2020  | 50.00           | 1,163.46             | 06/29/2020                | 1,167.50                        | 0.00   | -4.04                   | Sale                    |

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

APEX CLEARING

## Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B\*

OMB No. 1545-0715

5MQ16480

(continued)

01/23/2021

**SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS**

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

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

| 1c - Date Sold or Disposed  | Quantity | 1d - Proceeds    | 1b - Date Acquired | 1e - Cost or Other Basis | 1f - Accrued Market Discount (M) & 1g - Wash Sale Loss Disallowed (D) | Gain or Loss (-) | Additional Notes |
|---|----------|------------------|--------------------|--------------------------|---|------------------|------------------|
| CALL AMZN 12/24/20 3200 AMAZON.COM INC   CUSIP:   Symbol: AMZN201224C03200000               |          |                  |                    |                          |   |                  |                  |
| 12/04/2020  | 1.00     | 7,299.74         | 12/04/2020         | 7,150.08                 | 0.00  | 149.66           | Sell to Close    |
| 12/07/2020  | 1.00     | 7,499.74         | 12/04/2020         | 7,150.08                 | 0.00  | 349.66           | Sell to Close    |
| 12/08/2020  | 1.00     | 6,699.76         | 12/07/2020         | 6,725.08                 | 0.00  | -25.32           | Sell to Close    |
| <b>Security Totals:</b>   |          | <b>21,499.24</b> |                    | <b>21,025.24</b>         |   | <b>474.00</b>    |                  |
| CALL MRNA 12/04/20 150 MODERNA INC   CUSIP:   Symbol: MRNA201204C00150000                   |          |                  |                    |                          |   |                  |                  |
| 12/01/2020  | 1.00     | 434.90           | 12/01/2020         | 450.08                   | 15.18 D   | 0.00             | Sell to Close    |
| 12/02/2020  | 1.00     | 434.90           | 12/02/2020         | 350.26                   | 0.00  | 84.64            | Sell to Close    |
| <b>Security Totals:</b>   |          | <b>869.80</b>    |                    | <b>800.34</b>            |   | <b>84.64</b>     |                  |
| CLOUDERA INC COMMON STOCK   CUSIP: 18914U100   Symbol: CLDR                                 |          |                  |                    |                          |   |                  |                  |
| 06/23/2020  | 100.00   | 1,276.97         | 06/22/2020         | 1,267.78                 | 0.00  | 9.19             | Sale             |
| GROUPON INC COMMON STOCK   CUSIP: 399473206   Symbol: GRPN                                  |          |                  |                    |                          |   |                  |                  |
| 06/11/2020  | 52.00    | 1,073.76         | Various            | 1,571.10                 | 497.34 D  | 0.00             | Sale             |
| 06/19/2020  | 100.00   | 2,229.94         | Various            | 2,596.68                 | 426.56 D  | 59.82            | Sale             |
| 06/19/2020  | 110.00   | 2,375.93         | Various            | 2,870.06                 | 0.00  | -494.13          | Sale             |
| 06/19/2020  | 115.00   | 2,498.88         | Various            | 2,916.34                 | 464.18 D  | 46.72            | Sale             |
| <b>Security Totals:</b>   |          | <b>8,178.51</b>  |                    | <b>9,954.18</b>          |   | <b>-387.59</b>   |                  |
| CALL QQQ 01/15/21 310 INVESCO QQQ TRUST SERIES 1   CUSIP:   Symbol: QQQ210115C00310000      |          |                  |                    |                          |   |                  |                  |
| 12/28/2020  | 1.00     | 747.89           | 12/24/2020         | 630.08                   | 0.00  | 117.81           | Sell to Close    |
| PUT AAPL 09/25/20 115 APPLE INC ADJ 4:1 STOCK SPLIT   CUSIP:   Symbol: AAPL200925P00115000  |          |                  |                    |                          |   |                  |                  |
| 09/10/2020  | 1.00     | 639.88           | 09/10/2020         | 560.09                   | 0.00  | 79.79            | Sell to Close    |
| PROSHARES TRUST II PROSHARES ULTRA BLOOMBERG CRUDE OIL   CUSIP: 74347Y888   Symbol: UCO     |          |                  |                    |                          |   |                  |                  |
| 06/09/2020  | 50.00    | 1,380.45         | 06/08/2020         | 1,540.50                 | 0.00  | -160.05          | Sale             |
| CALL AAPL 09/25/20 115 APPLE INC ADJ 4:1 STOCK SPLIT   CUSIP:   Symbol: AAPL200925C00115000 |          |                  |                    |                          |   |                  |                  |
| 09/11/2020  | 1.00     | 459.88           | 09/10/2020         | 430.09                   | 0.00  | 29.79            | Sell to Close    |
| PUT AAPL 12/31/20 134 APPLE INC   CUSIP:   Symbol: AAPL201231P00134000                      |          |                  |                    |                          |   |                  |                  |
| 12/30/2020  | 1.00     | 97.90            | 12/30/2020         | 94.58                    | 0.00  | 3.32             | Sell to Close    |
| 12/30/2020  | 1.00     | 99.90            | 12/30/2020         | 94.58                    | 0.00  | 5.32             | Sell to Close    |
| <b>Security Totals:</b>   |          | <b>197.80</b>    |                    | <b>189.16</b>            |   | <b>8.64</b>      |                  |

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



APEX CLEARING

## Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B\*

OMB No. 1545-0715

5MQ16480

(continued)

01/23/2021

**SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS**

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

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

| 1c - Date Sold or Disposed | Quantity | 1d - Proceeds   | 1b - Date Acquired | 1e - Cost or Other Basis | 1f - Accrued Market Discount (M) & 1g - Wash Sale Loss Disallowed (D) | Gain or Loss (-) | Additional Notes |
|----------------------------|----------|---|--------------------|--------------------------|---|------------------|------------------|
| CALL TSLA 12/31/20         | 695      | TESLA INC   CUSIP:   Symbol: TSLA201231C00695000                |                    |                          |   |                  |                  |
| 12/30/2020                 | 1.00     | 359.90  | 12/30/2020         | 423.08                   | 0.00  | -63.18           | Sell to Close    |
| ALBERTSONS COMPANIES INC   |          | CLASS A COMMON STOCK   CUSIP: 013091103   Symbol: ACI           |                    |                          |   |                  |                  |
| 06/26/2020                 | 600.00   | 9,335.72  | Various            | 9,351.00                 | 22.09 D   | 6.81             | Sale             |
| 06/29/2020                 | 200.00   | 3,200.35  | 06/26/2020         | 3,128.09                 | 0.00  | 72.26            | Sale             |
| <b>Security Totals:</b>    |          | <b>12,536.07</b>  |                    | <b>12,479.09</b>         |   | <b>79.07</b>     |                  |
| CALL NFLX 01/15/21         | 520      | NETFLIX INC   CUSIP:   Symbol: NFLX210115C00520000              |                    |                          |   |                  |                  |
| 08/12/2020                 | 1.00     | 3,949.81  | 08/11/2020         | 3,900.09                 | 0.00  | 49.72            | Sell to Close    |
| CALL CCL 01/15/21          | 27.50    | CARNIVAL CORP   CUSIP:   Symbol: CCL210115C00027500             |                    |                          |   |                  |                  |
| 12/03/2020                 | 1.00     | 109.90  | 07/07/2020         | 105.09                   | 0.00  | 4.81             | Sell to Close    |
| CHINA JO-JO DRUGSTORES INC |          | CUSIP: 16949A206   Symbol: CJJD                                 |                    |                          |   |                  |                  |
| 06/23/2020                 | 700.00   | 1,281.03  | 06/22/2020         | 1,113.00                 | 0.00  | 168.03           | Sale             |
| BOX INC                    |          | CL A   CUSIP: 10316T104   Symbol: BOX                           |                    |                          |   |                  |                  |
| 06/02/2020                 | 75.00    | 1,502.95  | 06/01/2020         | 1,500.75                 | 0.00  | 2.20             | Sale             |
| CALL RKT 02/19/21          | 22       | ROCKET COMPANIES INC CL A   CUSIP:   Symbol: RKT210219C00022000 |                    |                          |   |                  |                  |
| 12/30/2020                 | 1.00     | 139.90  | 12/29/2020         | 154.08                   | 0.00  | -14.18           | Sell to Close    |
| CALL TDOC 12/04/20         | 195      | TELADOC HEALTH INC   CUSIP:   Symbol: TDOC201204C00195000       |                    |                          |   |                  |                  |
| 12/01/2020                 | 1.00     | 519.89  | 12/01/2020         | 470.08                   | 0.00  | 49.81            | Sell to Close    |
| CALL TGT 06/05/20          | 120      | TARGET CORP   CUSIP:   Symbol: TGT200605C00120000               |                    |                          |   |                  |                  |
| 06/02/2020                 | 1.00     | 65.89   | 06/01/2020         | 170.09                   | 0.00  | -104.20          | Sell to Close    |
| ***LI AUTO INC             |          | AMERICAN DEPOSITARY SHARES   CUSIP: 50202M102   Symbol: LI      |                    |                          |   |                  |                  |
| 07/30/2020                 | 50.00    | 824.97  | 07/30/2020         | 775.00                   | 0.00  | 49.97            | Sale             |
| 07/30/2020                 | 50.00    | 850.97  | 07/30/2020         | 775.00                   | 0.00  | 75.97            | Sale             |
| 07/31/2020                 | 50.00    | 877.47  | 07/30/2020         | 825.00                   | 0.00  | 52.47            | Sale             |
| 07/31/2020                 | 50.00    | 815.97  | 07/31/2020         | 825.00                   | 0.00  | -9.03            | Sale             |
| <b>Security Totals:</b>    |          | <b>3,369.38</b>   |                    | <b>3,200.00</b>          |   | <b>169.38</b>    |                  |
| PUT DIS 07/24/20           | 113      | WALT DISNEY CO   CUSIP:   Symbol: DIS200724P00113000            |                    |                          |   |                  |                  |
| 07/24/2020                 | 1.00     | 0.00  | 06/23/2020         | 338.09                   | 0.00  | -338.09          | Expiration       |
| WALT DISNEY CO             |          | CUSIP: 254687106   Symbol: DIS                                  |                    |                          |   |                  |                  |
| 06/15/2020                 | 20.00    | 2,225.54  | 06/11/2020         | 2,259.80                 | 0.00  | -34.26           | Sale             |

APEX CLEARING

## Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B\*

OMB No. 1545-0715

5MQ16480

(continued)

01/23/2021

**SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS**

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

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

| 1c - Date Sold or Disposed | Quantity | 1d - Proceeds  | 1b - Date Acquired | 1e - Cost or Other Basis | 1f - Accrued Market Discount (M) & 1g - Wash Sale Loss Disallowed (D) | Gain or Loss (-) | Additional Notes |
|----------------------------|----------|--|--------------------|--------------------------|---|------------------|------------------|
| CALL ZM 12/31/20           | 375      | ZOOM VIDEO COMMUNICATIONS INC   CUSIP:   Symbol: ZM201231C00375000   |                    |                          |   |                  |                  |
| 12/29/2020                 | 1.00     | 149.90   | 12/28/2020         | 300.08                   | 0.00  | -150.18          | Sell to Close    |
| CALL PFE 01/22/21          | 41       | PFIZER INC   CUSIP:   Symbol: PFE210122C00041000                     |                    |                          |   |                  |                  |
| 12/09/2020                 | 1.00     | 354.90   | 12/07/2020         | 235.08                   | 0.00  | 119.82           | Sell to Close    |
| CALL AMZN 12/24/20         | 3205     | AMAZON.COM INC   CUSIP:   Symbol: AMZN201224C03205000                |                    |                          |   |                  |                  |
| 12/02/2020                 | 2.00     | 19,427.40  | 12/02/2020         | 19,630.16                | 202.76 D  | 0.00             | Sell to Close    |
| 12/03/2020                 | 2.00     | 21,699.35  | 12/02/2020         | 19,818.92                | 0.00  | 1,880.43         | Sell to Close    |
| <b>Security Totals:</b>    |          | <b>41,126.75</b>   |                    | <b>39,449.08</b>         |   | <b>1,880.43</b>  |                  |
| CALL JPM 01/15/21          | 115      | JPMORGAN CHASE & CO   CUSIP:   Symbol: JPM210115C00115000            |                    |                          |   |                  |                  |
| 09/04/2020                 | 1.00     | 484.88   | 07/07/2020         | 270.09                   | 0.00  | 214.79           | Sell to Close    |
| PUT BABA 12/31/20          | 220      | ALIBABA GROUP HOLDING LIMITED   CUSIP:   Symbol: BABA201231P00220000 |                    |                          |   |                  |                  |
| 12/24/2020                 | 1.00     | 964.88   | 12/24/2020         | 545.08                   | 0.00  | 419.80           | Sell to Close    |
| CALL VXX 07/10/20          | 36       | IPATH SER B S&P 500 VIX SHORT   CUSIP:   Symbol: VXX200710C00036000  |                    |                          |   |                  |                  |
| 06/24/2020                 | 1.00     | 374.89   | 06/23/2020         | 245.09                   | 0.00  | 129.80           | Sell to Close    |
| 06/26/2020                 | 1.00     | 349.89   | 06/25/2020         | 345.09                   | 0.00  | 4.80             | Sell to Close    |
| <b>Security Totals:</b>    |          | <b>724.78</b>  |                    | <b>590.18</b>            |   | <b>134.60</b>    |                  |
| CALL MRNA 12/18/20         | 75       | MODERNA INC   CUSIP:   Symbol: MRNA201218C00075000                   |                    |                          |   |                  |                  |
| 08/26/2020                 | 1.00     | 1,514.86   | 08/18/2020         | 1,450.09                 | 0.00  | 64.77            | Sell to Close    |
| CALL MRNA 12/18/20         | 70       | MODERNA INC   CUSIP:   Symbol: MRNA201218C00070000                   |                    |                          |   |                  |                  |
| 09/03/2020                 | 1.00     | 1,649.86   | 08/28/2020         | 1,650.09                 | 0.00  | -0.23            | Sell to Close    |
| CALL GS 12/31/20           | 265      | GOLDMAN SACHS GROUP INC   CUSIP:   Symbol: GS201231C00265000         |                    |                          |   |                  |                  |
| 12/30/2020                 | 1.00     | 30.90  | 12/29/2020         | 50.08                    | 0.00  | -19.18           | Sell to Close    |
| NEW PROVIDENCE ACQUISITION |          | CORP CLASS A COMMON STOCK   CUSIP: 64822P106   Symbol: NPA           |                    |                          |   |                  |                  |
| 12/28/2020                 | 100.00   | 1,539.95   | 12/28/2020         | 1,460.00                 | 0.00  | 79.95            | Sale             |
| CALL WORK 12/04/20         | 40       | SLACK TECHNOLOGIES INC CL A   CUSIP:   Symbol: WORK201204C00040000   |                    |                          |   |                  |                  |
| 11/25/2020                 | 1.00     | 259.90   | 11/25/2020         | 250.08                   | 0.00  | 9.82             | Sell to Close    |
| CALL AAPL 01/15/21         | 500      | APPLE INC   CUSIP:   Symbol: AAPL210115C00500000                     |                    |                          |   |                  |                  |
| 08/07/2020                 | 1.00     | 2,299.84   | 08/07/2020         | 2,300.09                 | 0.25 D  | 0.00             | Sell to Close    |
| 08/10/2020                 | 1.00     | 2,499.84   | 08/07/2020         | 2,300.34                 | 0.00  | 199.50           | Sell to Close    |

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

APEX CLEARING

## Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B\*

OMB No. 1545-0715

5MQ16480

(continued)

01/23/2021

**SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS**

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

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

| 1c - Date Sold or Disposed | Quantity | 1d - Proceeds   | 1b - Date Acquired | 1e - Cost or Other Basis | 1f - Accrued Market Discount (M) & 1g - Wash Sale Loss Disallowed (D) | Gain or Loss (-) | Additional Notes   |
|----------------------------|----------|-----------------|--------------------|--------------------------|---|------------------|--|
| 08/19/2020                 | 1.00     | 2,909.83        | 08/18/2020         | 2,600.09                 | 0.00  | 309.74           | Sell to Close  |
| <b>Security Totals:</b>    |          | <b>7,709.51</b> |                    | <b>7,200.52</b>          |   | <b>509.24</b>    |  |
| CALL IWM 07/17/20 140      |          |                 |                    |                          |   |                  | ISHARES RUSSELL 2000 ETF   CUSIP:   Symbol: IWM200717C00140000       |
| 07/09/2020                 | 1.00     | 249.89          | 07/09/2020         | 220.09                   | 0.00  | 29.80            | Sell to Close  |
| CALL MRNA 12/31/20 175     |          |                 |                    |                          |   |                  | MODERNA INC   CUSIP:   Symbol: MRNA201231C00175000                   |
| 12/09/2020                 | 1.00     | 1,259.88        | 12/09/2020         | 1,282.08                 | 0.00  | -22.20           | Sell to Close  |
| CALL TSLA 09/25/20 480     |          |                 |                    |                          |   |                  | TESLA INC ADJ 5:1 STOCK SPLIT   CUSIP:   Symbol: TSLA200925C00480000 |
| 09/08/2020                 | 1.00     | 889.88          | 09/08/2020         | 4,920.31                 | 4030.43 D   | 0.00             | Sell to Close  |
| 09/08/2020                 | 1.00     | 854.88          | 09/08/2020         | 5,130.52                 | 0.00  | -4,275.64        | Sell to Close  |
| 09/08/2020                 | 1.00     | 1,179.87        | 09/02/2020         | 5,000.09                 | 3820.22 D   | 0.00             | Sell to Close  |
| <b>Security Totals:</b>    |          | <b>2,924.63</b> |                    | <b>15,050.92</b>         |   | <b>-4,275.64</b> |  |
| AIM IMMUNOTECH INC         |          |                 |                    |                          |   |                  | COMMON STOCK   CUSIP: 00901B105   Symbol: AIM                        |
| 06/30/2020                 | 400.00   | 987.92          | 06/30/2020         | 980.00                   | 0.00  | 7.92             | Sale   |
| CALL ZM 12/31/20 350       |          |                 |                    |                          |   |                  | ZOOM VIDEO COMMUNICATIONS INC   CUSIP:   Symbol: ZM201231C00350000   |
| 12/31/2020                 | 1.00     | 0.00            | 12/31/2020         | 149.08                   | 0.00  | -149.08          | Expiration   |
| CALL NVDA 09/18/20 560     |          |                 |                    |                          |   |                  | NVIDIA CORP   CUSIP:   Symbol: NVDA200918C00560000                   |
| 09/14/2020                 | 1.00     | 405.89          | 09/14/2020         | 500.09                   | 0.00  | -94.20           | Sell to Close  |
| CALL ZM 09/11/20 412.50    |          |                 |                    |                          |   |                  | ZOOM VIDEO COMMUNICATIONS INC   CUSIP:   Symbol: ZM200911C00412500   |
| 09/11/2020                 | 4.00     | 127.62          | Various            | 174.36                   | 0.00  | -46.74           | Sell to Close  |
| CALL AMZN 12/31/20 3350    |          |                 |                    |                          |   |                  | AMAZON.COM INC   CUSIP:   Symbol: AMZN201231C03350000                |
| 12/30/2020                 | 1.00     | 414.90          | 12/30/2020         | 425.08                   | 10.18 D   | 0.00             | Sell to Close  |
| 12/31/2020                 | 1.00     | 0.00            | 12/30/2020         | 375.26                   | 0.00  | -375.26          | Expiration   |
| <b>Security Totals:</b>    |          | <b>414.90</b>   |                    | <b>800.34</b>            |   | <b>-375.26</b>   |  |
| ALPHABET INC               |          |                 |                    |                          |   |                  | CLASS C CAPITAL STOCK   CUSIP: 02079K107   Symbol: GOOG              |
| 05/19/2020                 | 2.00     | 2,771.48        | 05/14/2020         | 2,660.00                 | 0.00  | 111.48           | Sale   |
| 05/21/2020                 | 3.00     | 4,206.52        | Various            | 4,134.83                 | 0.00  | 71.69            | Sale   |
| 07/16/2020                 | 2.00     | 3,012.76        | 07/06/2020         | 2,962.00                 | 0.00  | 50.76            | Sale   |
| 08/03/2020                 | 1.00     | 1,468.22        | 08/03/2020         | 1,471.75                 | 3.53 D  | 0.00             | Sale   |
| 08/04/2020                 | 1.00     | 1,474.40        | 08/03/2020         | 1,478.53                 | 0.00  | -4.13            | Sale   |

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

APEX CLEARING

## Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B\*

OMB No. 1545-0715

5MQ16480

(continued)

01/23/2021

**SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS**

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

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

| 1c - Date Sold or Disposed | Quantity | 1d - Proceeds    | 1b - Date Acquired  | 1e - Cost or Other Basis | 1f - Accrued Market Discount (M) & 1g - Wash Sale Loss Disallowed (D) | Gain or Loss (-) | Additional Notes |
|----------------------------|----------|------------------|---|--------------------------|---|------------------|------------------|
| 11/09/2020                 | 1.00     | 1,795.16         | 11/09/2020  | 1,790.00                 | 0.00  | 5.16             | Sale             |
| <b>Security Totals:</b>    |          | <b>14,728.54</b> |   | <b>14,497.11</b>         |   | <b>234.96</b>    |                  |
| PUT BYND 12/24/20 140      |          |                  | BEYOND MEAT INC   CUSIP:   Symbol: BYND201224P00140000                                |                          |   |                  |                  |
| 12/07/2020                 | 1.00     | 804.89           | 12/07/2020  | 815.08                   | 0.00  | -10.19           | Sell to Close    |
| CALL NFLX 09/11/20 510     |          |                  | NETFLIX INC   CUSIP:   Symbol: NFLX200911C00510000                                    |                          |   |                  |                  |
| 09/11/2020                 | 1.00     | -7.20            | 09/11/2020  | 0.00                     | 0.00  | -7.20            | Buy to Close     |
| CALL WORK 09/18/20 27      |          |                  | SLACK TECHNOLOGIES INC CL A   CUSIP:   Symbol: WORK200918C00027000                    |                          |   |                  |                  |
| 09/10/2020                 | 1.00     | 46.89            | 09/10/2020  | 50.09                    | 0.00  | -3.20            | Sell to Close    |
| 09/10/2020                 | 1.00     | 49.89            | 09/10/2020  | 50.09                    | 0.00  | -0.20            | Sell to Close    |
| <b>Security Totals:</b>    |          | <b>96.78</b>     |   | <b>100.18</b>            |   | <b>-3.40</b>     |                  |
| CALL ZM 12/31/20 360       |          |                  | ZOOM VIDEO COMMUNICATIONS INC   CUSIP:   Symbol: ZM201231C00360000                    |                          |   |                  |                  |
| 12/30/2020                 | 1.00     | 214.90           | 12/30/2020  | 220.08                   | 0.00  | -5.18            | Sell to Close    |
| PUT HTZ 06/19/20 2         |          |                  | HERTZ GLOBAL HOLDINGS INC ADJ RIGHTS EXPIRATION   CUSIP:   Symbol: HTZ200619P00002000 |                          |   |                  |                  |
| 06/19/2020                 | 1.00     | 27.89            | 06/16/2020  | 45.09                    | 0.00  | -17.20           | Sell to Close    |
| CALL AMC 08/21/20 4        |          |                  | AMC ENTERTAINMENT HOLDINGS INC   CUSIP:   Symbol: AMC200821C00004000                  |                          |   |                  |                  |
| 08/07/2020                 | 1.00     | 99.89            | 07/08/2020  | 80.09                    | 0.00  | 19.80            | Sell to Close    |
| CALL IWM 08/21/20 140      |          |                  | ISHARES RUSSELL 2000 ETF   CUSIP:   Symbol: IWM200821C00140000                        |                          |   |                  |                  |
| 07/08/2020                 | 1.00     | 691.88           | 07/08/2020  | 695.09                   | 0.00  | -3.21            | Sell to Close    |
| PUT IWM 08/21/20 140       |          |                  | ISHARES RUSSELL 2000 ETF   CUSIP:   Symbol: IWM200821P00140000                        |                          |   |                  |                  |
| 07/08/2020                 | 1.00     | 639.88           | 07/08/2020  | 675.09                   | 0.00  | -35.21           | Sell to Close    |
| CALL TDOC 01/08/21 200     |          |                  | TELADOC HEALTH INC   CUSIP:   Symbol: TDOC210108C00200000                             |                          |   |                  |                  |
| 12/16/2020                 | 1.00     | 429.90           | 12/16/2020  | 370.08                   | 0.00  | 59.82            | Sell to Close    |
| 12/16/2020                 | 1.00     | 409.90           | 12/16/2020  | 390.08                   | 0.00  | 19.82            | Sell to Close    |
| <b>Security Totals:</b>    |          | <b>839.80</b>    |   | <b>760.16</b>            |   | <b>79.64</b>     |                  |
| XPRESSPA GROUP INC         |          |                  | COMMON STOCK   CUSIP: 98420U604   Symbol: XSPA  |                          |   |                  |                  |
| 06/04/2020                 | 900.00   | 1,439.85         | 06/04/2020  | 1,426.00                 | 0.00  | 13.85            | Sale             |
| 06/05/2020                 | 2,000.00 | 5,419.64         | Various   | 4,980.00                 | 0.00  | 439.64           | Sale             |
| 06/05/2020                 | 2,000.00 | 5,959.62         | 06/05/2020  | 5,600.00                 | 0.00  | 359.62           | Sale             |
| 06/05/2020                 | 2,000.00 | 5,699.63         | 06/05/2020  | 5,420.00                 | 0.00  | 279.63           | Sale             |
| 06/09/2020                 | 2,000.00 | 4,019.67         | 06/05/2020  | 6,100.00                 | 2080.33 D   | 0.00             | Sale             |

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

APEX CLEARING

## Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B\*

OMB No. 1545-0715

5MQ16480

(continued)

01/23/2021

**SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS**

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

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

| 1c - Date Sold or Disposed   | Quantity | 1d - Proceeds    | 1b - Date Acquired | 1e - Cost or Other Basis | 1f - Accrued Market Discount (M) & 1g - Wash Sale Loss Disallowed (D) | Gain or Loss (-) | Additional Notes |
|--|----------|------------------|--------------------|--------------------------|---|------------------|------------------|
| 06/10/2020   | 3,000.00 | 4,802.73         | Various            | 8,300.33                 | 533.78 D  | -2,963.82        | Sale             |
| <b>Security Totals:</b>  |          | <b>27,341.14</b> |                    | <b>31,826.33</b>         |   | <b>-1,871.08</b> |                  |
| CALL AMZN 01/08/21 3180 AMAZON.COM INC   CUSIP:   Symbol: AMZN210108C03180000                                    |          |                  |                    |                          |   |                  |                  |
| 12/28/2020   | 1.00     | -429.33          | 12/24/2020         | 0.00                     | 0.00  | -429.33          | Buy to Close     |
| CALL MRNA 12/11/20 160 MODERNA INC   CUSIP:   Symbol: MRNA201211C00160000  |          |                  |                    |                          |   |                  |                  |
| 12/07/2020   | 1.00     | 604.89           | 12/03/2020         | 1,224.08                 | 0.00  | -619.19          | Sell to Close    |
| SUNESIS PHARMACEUTICALS INC COM PAR\$.0001   CUSIP: 867328700   Symbol: SNSS                                     |          |                  |                    |                          |   |                  |                  |
| 06/18/2020   | 1,500.00 | 1,034.79         | 06/18/2020         | 956.28                   | 0.00  | 78.51            | Sale             |
| 06/22/2020   | 4,000.00 | 2,399.46         | Various            | 2,407.56                 | 0.00  | -8.10            | Sale             |
| 08/12/2020   | 2,000.00 | 599.74           | 08/12/2020         | 599.92                   | 0.00  | -0.18            | Sale             |
| <b>Security Totals:</b>  |          | <b>4,033.99</b>  |                    | <b>3,963.76</b>          |   | <b>70.23</b>     |                  |
| ***SASOL LTD- SPONSORED ADR   CUSIP: 803866300   Symbol: SSL   |          |                  |                    |                          |   |                  |                  |
| 06/09/2020   | 300.00   | 3,071.89         | 06/08/2020         | 2,865.00                 | 0.00  | 206.89           | Sale             |
| 06/11/2020   | 300.00   | 2,230.41         | Various            | 2,924.99                 | 694.58 D  | 0.00             | Sale             |
| 06/18/2020   | 200.00   | 1,553.94         | Various            | 2,105.05                 | 551.11 D  | 0.00             | Sale             |
| 06/18/2020   | 500.00   | 4,129.84         | Various            | 4,535.64                 | 0.00  | -405.80          | Sale             |
| <b>Security Totals:</b>  |          | <b>10,986.08</b> |                    | <b>12,430.68</b>         |   | <b>-198.91</b>   |                  |
| CHAPARRAL ENERGY INC CLASS A COMMON STOCK   CUSIP: 15942R208   Symbol: CHAP                                      |          |                  |                    |                          |   |                  |                  |
| 06/08/2020   | 3,500.00 | 5,144.46         | Various            | 5,152.60                 | 0.00  | -8.14            | Sale             |
| 06/08/2020   | 1,500.00 | 1,844.77         | 06/08/2020         | 1,711.77                 | 0.00  | 133.00           | Sale             |
| 06/08/2020   | 1,500.00 | 2,159.77         | 06/08/2020         | 1,711.77                 | 0.00  | 448.00           | Sale             |
| <b>Security Totals:</b>  |          | <b>9,149.00</b>  |                    | <b>8,576.14</b>          |   | <b>572.86</b>    |                  |
| PUT CCL 08/07/20 12.50 CARNIVAL CORP   CUSIP:   Symbol: CCL200807P00012500                                       |          |                  |                    |                          |   |                  |                  |
| 08/07/2020   | 2.00     | 0.00             | 08/03/2020         | 44.18                    | 0.00  | -44.18           | Expiration       |
| CALL AZN 01/08/21 55 ASTRAZENECA PLC   CUSIP:   Symbol: AZN210108C00055000                                       |          |                  |                    |                          |   |                  |                  |
| 12/09/2020   | 1.00     | 149.90           | 12/09/2020         | 190.08                   | 0.00  | -40.18           | Sell to Close    |
| 12/09/2020   | 1.00     | 174.90           | 12/09/2020         | 190.08                   | 0.00  | -15.18           | Sell to Close    |
| <b>Security Totals:</b>  |          | <b>324.80</b>    |                    | <b>380.16</b>            |   | <b>-55.36</b>    |                  |
| CALL COST 12/18/20 385 COSTCO WHOLESALE CORPORATION ADJ CASH DISTRIBUTION   CUSIP:   Symbol: COST201218C00385000 |          |                  |                    |                          |   |                  |                  |
| 12/08/2020   | 1.00     | 434.90           | 12/07/2020         | 345.08                   | 0.00  | 89.82            | Sell to Close    |

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

APEX CLEARING

## Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B\*

OMB No. 1545-0715

5MQ16480

(continued)

01/23/2021

**SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS**

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

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

| 1c - Date Sold or Disposed  | Quantity | 1d - Proceeds | 1b - Date Acquired   | 1e - Cost or Other Basis | 1f - Accrued Market Discount (M) & 1g - Wash Sale Loss Disallowed (D) | Gain or Loss (-) | Additional Notes |
|---|----------|---------------|--|--------------------------|---|------------------|------------------|
| 12/10/2020  | 1.00     | 254.90        | 12/09/2020   | 380.08                   | 0.00  | -125.18          | Sell to Close    |
| <b>Security Totals:</b>   |          | <b>689.80</b> |  | <b>725.16</b>            |   | <b>-35.36</b>    |                  |
| PUT TSLA 09/25/20 300 TESLA INC   |          |               | ADJ 5:1 STOCK SPLIT   CUSIP:   Symbol: TSLA200925P00300000 |                          |   |                  |                  |
| 09/10/2020  | 1.00     | 759.88        | 09/10/2020   | 700.09                   | 0.00  | 59.79            | Sell to Close    |
| CALL VRM 07/17/20 50 VROOM INC   CUSIP:   Symbol: VRM200717C00050000              |          |               |  |                          |   |                  |                  |
| 06/23/2020  | 1.00     | 684.88        | 06/23/2020   | 560.09                   | 0.00  | 124.79           | Sell to Close    |
| CALL AMZN 12/31/20 3400 AMAZON.COM INC   CUSIP:   Symbol: AMZN201231C03400000     |          |               |  |                          |   |                  |                  |
| 12/30/2020  | 1.00     | 169.90        | 12/30/2020   | 200.08                   | 0.00  | -30.18           | Sell to Close    |
| SYNOPSIS INC   CUSIP: 871607107   Symbol: SNPS                                    |          |               |  |                          |   |                  |                  |
| 06/16/2020  | 5.00     | 930.56        | 06/16/2020   | 944.80                   | 0.00  | -14.24           | Sale             |
| PUT FCX 01/15/21 25 FREEPORT MCMORAN INC   CUSIP:   Symbol: FCX210115P00025000    |          |               |  |                          |   |                  |                  |
| 12/30/2020  | 1.00     | 56.90         | 12/30/2020   | 56.08                    | 0.00  | 0.82             | Sell to Close    |
| 12/30/2020  | 1.00     | 51.90         | 12/30/2020   | 56.08                    | 0.00  | -4.18            | Sell to Close    |
| <b>Security Totals:</b>   |          | <b>108.80</b> |  | <b>112.16</b>            |   | <b>-3.36</b>     |                  |
| PUT DAL 07/10/20 26 DELTA AIR LINES INC DEL   CUSIP:   Symbol: DAL200710P00026000 |          |               |  |                          |   |                  |                  |
| 07/09/2020  | 1.00     | 54.89         | 06/23/2020   | 73.09                    | 0.00  | -18.20           | Sell to Close    |
| WORKHORSE GROUP INC COM   CUSIP: 98138J206   Symbol: WKHS                         |          |               |  |                          |   |                  |                  |
| 06/30/2020  | 25.00    | 472.22        | 06/30/2020   | 447.25                   | 0.00  | 24.97            | Sale             |
| 07/07/2020  | 25.00    | 410.98        | 07/06/2020   | 522.75                   | 0.00  | -111.77          | Sale             |
| <b>Security Totals:</b>   |          | <b>883.20</b> |  | <b>970.00</b>            |   | <b>-86.80</b>    |                  |
| CALL GE 01/15/21 11 GENERAL ELECTRIC CO   CUSIP:   Symbol: GE210115C00011000      |          |               |  |                          |   |                  |                  |
| 11/24/2020  | 5.00     | 269.58        | 07/24/2020   | 70.46                    | 0.00  | 199.12           | Sell to Close    |
| 12/01/2020  | 3.00     | 131.75        | Various  | 38.28                    | 0.00  | 93.47            | Sell to Close    |
| 12/08/2020  | 1.00     | 62.90         | 07/30/2020   | 10.10                    | 0.00  | 52.80            | Sell to Close    |
| <b>Security Totals:</b>   |          | <b>464.23</b> |  | <b>118.84</b>            |   | <b>345.39</b>    |                  |
| CALL NTN 08/21/20 25 NUTANIX INC   CUSIP:   Symbol: NTN200821C00025000            |          |               |  |                          |   |                  |                  |
| 07/28/2020  | 1.00     | 55.89         | 07/21/2020   | 95.10                    | 0.00  | -39.21           | Sell to Close    |
| 08/21/2020  | 1.00     | 0.00          | 07/21/2020   | 95.09                    | 0.00  | -95.09           | Expiration       |
| <b>Security Totals:</b>   |          | <b>55.89</b>  |  | <b>190.19</b>            |   | <b>-134.30</b>   |                  |

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

APEX CLEARING

## Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B\*

OMB No. 1545-0715

5MQ16480

(continued)

01/23/2021

**SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS**

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

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

| 1c - Date Sold or Disposed | Quantity   | 1d - Proceeds   | 1b - Date Acquired | 1e - Cost or Other Basis | 1f - Accrued Market Discount (M) & 1g - Wash Sale Loss Disallowed (D) | Gain or Loss (-) | Additional Notes |
|----------------------------|--|---|--------------------|--------------------------|---|------------------|------------------|
| CALL XSPA 10/16/20         | 2.50   | XPRESSPA GROUP INC   CUSIP:   Symbol: XSPA201016C00002500                                 |                    |                          |   |                  |                  |
| 08/18/2020                 | 1.00   | 124.89  | 08/13/2020         | 135.09                   | 0.00  | -10.20           | Sell to Close    |
| CARVANA CO                 | CLASS A COMMON STOCK   CUSIP: 146869102   Symbol: CVNA |   |                    |                          |   |                  |                  |
| 06/10/2020                 | 15.00  | 1,732.90  | 06/10/2020         | 1,725.00                 | 0.00  | 7.90             | Sale             |
| CALL AAPL 01/15/21         | 125  | APPLE INC ADJ 4:1 STOCK SPLIT   CUSIP:   Symbol: AAPL210115C00125000                      |                    |                          |   |                  |                  |
| 11/25/2020                 | 1.00   | 246.90  | 11/19/2020         | 325.08                   | 78.18 D   | 0.00             | Sell to Close    |
| 11/27/2020                 | 1.00   | 257.90  | 11/24/2020         | 248.26                   | 0.00  | 9.64             | Sell to Close    |
| 12/03/2020                 | 1.00   | 474.89  | 12/03/2020         | 480.08                   | 0.00  | -5.19            | Sell to Close    |
| <b>Security Totals:</b>    |  | <b>979.69</b>   |                    | <b>1,053.42</b>          |   | <b>4.45</b>      |                  |
| CALL ZM 12/31/20           | 400  | ZOOM VIDEO COMMUNICATIONS INC   CUSIP:   Symbol: ZM201231C00400000                        |                    |                          |   |                  |                  |
| 12/23/2020                 | 1.00   | 809.89  | 12/23/2020         | 850.08                   | 0.00  | -40.19           | Sell to Close    |
| CALL COST 12/18/20         | 390  | COSTCO WHOLESALE CORPORATION ADJ CASH DISTRIBUTION   CUSIP:   Symbol: COST201218C00390000 |                    |                          |   |                  |                  |
| 12/08/2020                 | 1.00   | 269.90  | 12/08/2020         | 295.08                   | 0.00  | -25.18           | Sell to Close    |
| SLACK TECHNOLOGIES INC     | CLASS A COMMON STOCK   CUSIP: 83088V102   Symbol: WORK |   |                    |                          |   |                  |                  |
| 06/05/2020                 | 100.00   | 3,279.91  | Various            | 3,216.00                 | 0.00  | 63.91            | Sale             |
| CALL NVDA 01/15/21         | 540  | NVIDIA CORP   CUSIP:   Symbol: NVDA210115C00540000  |                    |                          |   |                  |                  |
| 12/22/2020                 | 1.00   | 1,579.87  | 12/22/2020         | 1,550.08                 | 0.00  | 29.79            | Sell to Close    |
| CALL LVGO 01/15/21         | 160  | LIVONGO HEALTH INC   CUSIP:   Symbol: LVGO210115C00160000                                 |                    |                          |   |                  |                  |
| 08/06/2020                 | 1.00   | 1,759.86  | 08/05/2020         | 1,750.09                 | 0.00  | 9.77             | Sell to Close    |
| CALL AMD 09/18/20          | 90   | ADVANCED MICRO DEVICES INC   CUSIP:   Symbol: AMD200918C00090000                          |                    |                          |   |                  |                  |
| 09/10/2020                 | 1.00   | 63.89   | 09/10/2020         | 85.09                    | 0.00  | -21.20           | Sell to Close    |
| 09/14/2020                 | 1.00   | 7.89  | 09/10/2020         | 85.09                    | 0.00  | -77.20           | Sell to Close    |
| <b>Security Totals:</b>    |  | <b>71.78</b>  |                    | <b>170.18</b>            |   | <b>-98.40</b>    |                  |
| ROKU INC                   | CLASS A COMMON STOCK   CUSIP: 77543R102   Symbol: ROKU |   |                    |                          |   |                  |                  |
| 05/26/2020                 | 15.00  | 1,664.10  | Various            | 1,662.00                 | 10.2 D  | 12.30            | Sale             |
| 06/10/2020                 | 15.00  | 1,704.25  | Various            | 1,714.65                 | 10.40 D   | 0.00             | Sale             |
| 06/18/2020                 | 10.00  | 1,247.91  | 06/18/2020         | 1,246.73                 | 0.00  | 1.18             | Sale             |
| 06/18/2020                 | 10.00  | 1,246.36  | Various            | 1,238.47                 | 0.00  | 7.89             | Sale             |
| 06/19/2020                 | 10.00  | 1,306.16  | 06/19/2020         | 1,292.80                 | 0.00  | 13.36            | Sale             |
| 06/26/2020                 | 20.00  | 2,510.73  | 06/24/2020         | 2,526.25                 | 15.52 D   | 0.00             | Sale             |

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

APEX CLEARING

## Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B\*

OMB No. 1545-0715

5MQ16480

(continued)

01/23/2021

## SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

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

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

## 1a - Description of property | CUSIP | Symbol

| 1c - Date Sold or Disposed   | Quantity | 1d - Proceeds    | 1b - Date Acquired | 1e - Cost or Other Basis | 1f - Accrued Market Discount (M) & 1g - Wash Sale Loss Disallowed (D) | Gain or Loss (-) | Additional Notes   |
|--|----------|------------------|--------------------|--------------------------|---|------------------|--------------------|
| ROKU INC CLASS A COMMON STOCK   CUSIP: 77543R102   Symbol: ROKU                          |          |                  |                    |                          |   |                  |                    |
| 06/29/2020   | 15.00    | 1,725.10         | 06/29/2020         | 1,711.14                 | 0.00  | 13.96            | Sale               |
| 07/06/2020   | 10.00    | 1,353.08         | Various            | 1,316.38                 | 0.00  | 36.70            | Sale               |
| 07/08/2020   | 15.00    | 1,977.84         | Various            | 1,973.75                 | 0.00  | 4.09             | Sale               |
| <b>Security Totals:</b>  |          | <b>14,735.53</b> |                    | <b>14,682.17</b>         |   | <b>89.48</b>     |                    |
| CALL AMD 01/15/21 95 ADVANCED MICRO DEVICES INC   CUSIP:   Symbol: AMD210115C00095000    |          |                  |                    |                          |   |                  |                    |
| 12/30/2020   | 1.00     | 205.90           | 12/29/2020         | 193.08                   | 0.00  | 12.82            | Sell to Close      |
| CALL NIO 01/15/21 45 NIO INC ADS   CUSIP:   Symbol: NIO210115C00045000                   |          |                  |                    |                          |   |                  |                    |
| 12/29/2020   | 1.00     | 482.89           | 12/28/2020         | 380.08                   | 0.00  | 102.81           | Sell to Close      |
| WORKDAY INC CLASS A COMMON STOCK   CUSIP: 98138H101   Symbol: WDAY                       |          |                  |                    |                          |   |                  |                    |
| 05/28/2020   | 10.00    | 1,840.24         | 05/27/2020         | 1,805.00                 | 0.00  | 35.24            | Sale               |
| 06/04/2020   | 25.00    | 4,538.13         | Various            | 4,498.65                 | 0.00  | 39.48            | Sale               |
| <b>Security Totals:</b>  |          | <b>6,378.37</b>  |                    | <b>6,303.65</b>          |   | <b>74.72</b>     |                    |
| ***NORWEGIAN CRUISE LINE HOLDINGS LTD ORDINARY SHARES   CUSIP: G66721104   Symbol: NCLH  |          |                  |                    |                          |   |                  |                    |
| 05/08/2020   | 100.00   | 1,268.96         | 05/08/2020         | 1,302.00                 | 0.00  | -33.04           | Sale               |
| 05/12/2020   | 100.00   | 1,282.96         | 05/08/2020         | 1,257.00                 | 0.00  | 25.96            | Buy to Cover Short |
| <b>Security Totals:</b>  |          | <b>2,551.92</b>  |                    | <b>2,559.00</b>          |   | <b>-7.08</b>     |                    |
| CALL AAPL 12/18/20 490 APPLE INC   CUSIP:   Symbol: AAPL201218C00490000                  |          |                  |                    |                          |   |                  |                    |
| 08/10/2020   | 1.00     | 2,416.84         | 08/10/2020         | 2,305.09                 | 0.00  | 111.75           | Sell to Close      |
| 08/12/2020   | 1.00     | 2,474.84         | 08/10/2020         | 2,500.09                 | 0.00  | -25.25           | Sell to Close      |
| <b>Security Totals:</b>  |          | <b>4,891.68</b>  |                    | <b>4,805.18</b>          |   | <b>86.50</b>     |                    |
| CALL CRM 12/11/20 225 SALESFORCE.COM INC   CUSIP:   Symbol: CRM201211C00225000           |          |                  |                    |                          |   |                  |                    |
| 12/04/2020   | 1.00     | 684.89           | 12/02/2020         | 500.08                   | 0.00  | 184.81           | Sell to Close      |
| CALL AZN 08/21/20 65 ASTRAZENECA PLC   CUSIP:   Symbol: AZN200821C00065000               |          |                  |                    |                          |   |                  |                    |
| 08/21/2020   | 3.00     | 0.00             | Various            | 325.27                   | 0.00  | -325.27          | Expiration         |
| CALL WORK 12/11/20 45 SLACK TECHNOLOGIES INC CL A   CUSIP:   Symbol: WORK201211C00045000 |          |                  |                    |                          |   |                  |                    |
| 11/30/2020   | 1.00     | 209.90           | 11/30/2020         | 245.08                   | 35.18 D   | 0.00             | Sell to Close      |
| 12/01/2020   | 1.00     | 194.90           | 11/30/2020         | 210.26                   | 15.36 D   | 0.00             | Sell to Close      |
| 12/11/2020   | 1.00     | 0.00             | 11/30/2020         | 215.44                   | 0.00  | -215.44          | Expiration         |
| <b>Security Totals:</b>  |          | <b>404.80</b>    |                    | <b>670.78</b>            |   | <b>-215.44</b>   |                    |

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



APEX CLEARING

## Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B\*

OMB No. 1545-0715

5MQ16480

(continued)

01/23/2021

**SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS**

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

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

| 1c - Date Sold or Disposed   | Quantity | 1d - Proceeds   | 1b - Date Acquired | 1e - Cost or Other Basis | 1f - Accrued Market Discount (M) & 1g - Wash Sale Loss Disallowed (D) | Gain or Loss (-) | Additional Notes |
|--|----------|-----------------|--------------------|--------------------------|---|------------------|------------------|
| ***SEANERGY MARITIME HOLDINGS CORP COMMON STOCK   CUSIP: Y73760301   Symbol: SHIP                    |          |                 |                    |                          |   |                  |                  |
| 06/05/2020   | 5,000.00 | 890.88          | 06/05/2020         | 895.00                   | 4.12 D  | 0.00             | Sale             |
| 06/16/2020   | 5,000.00 | 887.38          | 06/16/2020         | 893.12                   | 0.00  | -5.74            | Sale             |
| <b>Security Totals:</b>  |          | <b>1,778.26</b> |                    | <b>1,788.12</b>          |   | <b>-5.74</b>     |                  |
| CALL FB 01/15/21 300 FACEBOOK INC CL A   CUSIP:   Symbol: FB210115C00300000                          |          |                 |                    |                          |   |                  |                  |
| 12/21/2020   | 1.00     | 197.90          | 12/21/2020         | 205.08                   | 0.00  | -7.18            | Sell to Close    |
| CALL BP 09/04/20 26 BP P L C SPONSORED ADR   CUSIP:   Symbol: BP200904C00026000                      |          |                 |                    |                          |   |                  |                  |
| 08/11/2020   | 2.00     | 41.80           | 08/04/2020         | 56.18                    | 0.00  | -14.38           | Sell to Close    |
| 09/04/2020   | 2.00     | 0.00            | 08/04/2020         | 56.18                    | 0.00  | -56.18           | Expiration       |
| <b>Security Totals:</b>  |          | <b>41.80</b>    |                    | <b>112.36</b>            |   | <b>-70.56</b>    |                  |
| CALL CHGG 07/17/20 75 CHEGG INC   CUSIP:   Symbol: CHGG200717C00075000                               |          |                 |                    |                          |   |                  |                  |
| 06/29/2020   | 1.00     | 77.89           | 06/23/2020         | 187.09                   | 0.00  | -109.20          | Sell to Close    |
| CALL NIO 08/21/20 14 NIO INC ADS   CUSIP:   Symbol: NIO200821C00014000                               |          |                 |                    |                          |   |                  |                  |
| 08/17/2020   | 1.00     | 43.89           | 08/17/2020         | 39.42                    | 0.00  | 4.47             | Sell to Close    |
| 08/17/2020   | 3.00     | 116.71          | 08/17/2020         | 114.27                   | 0.00  | 2.44             | Sell to Close    |
| 08/17/2020   | 1.00     | 35.89           | 08/17/2020         | 39.42                    | 0.00  | -3.53            | Sell to Close    |
| 08/18/2020   | 1.00     | 73.89           | 08/17/2020         | 39.42                    | 0.00  | 34.47            | Sell to Close    |
| <b>Security Totals:</b>  |          | <b>270.38</b>   |                    | <b>232.53</b>            |   | <b>37.85</b>     |                  |
| CALL PFE1 01/15/21 39 PFIZER INC DIST D:100 PFE,12 VTRS & CIL   CUSIP:   Symbol: PFE1210115C00039000 |          |                 |                    |                          |   |                  |                  |
| 12/03/2020   | 1.00     | 409.90          | 07/02/2020         | 97.09                    | 0.00  | 312.81           | Sell to Close    |
| CALL TDOC 12/11/20 195 TELADOC HEALTH INC   CUSIP:   Symbol: TDOC201211C00195000                     |          |                 |                    |                          |   |                  |                  |
| 11/30/2020   | 1.00     | 679.89          | 11/30/2020         | 650.08                   | 0.00  | 29.81            | Sell to Close    |
| 3M COMPANY   CUSIP: 88579Y101   Symbol: MMM  |          |                 |                    |                          |   |                  |                  |
| 05/29/2020   | 10.00    | 1,544.05        | 05/29/2020         | 1,541.60                 | 0.00  | 2.45             | Sale             |
| WELLS FARGO & CO   CUSIP: 949746101   Symbol: WFC  |          |                 |                    |                          |   |                  |                  |
| 06/30/2020   | 50.00    | 1,267.96        | 06/29/2020         | 1,268.39                 | 0.00  | -0.43            | Sale             |
| CALL TSLA 09/04/20 2300 TESLA INC   CUSIP:   Symbol: TSLA200904C02300000                             |          |                 |                    |                          |   |                  |                  |
| 08/18/2020   | 1.00     | 3,799.81        | 08/17/2020         | 3,000.09                 | 0.00  | 799.72           | Sell to Close    |
| CALL LULU 12/11/20 400 LULULEMON ATHLETICA INC   CUSIP:   Symbol: LULU201211C00400000                |          |                 |                    |                          |   |                  |                  |
| 12/11/2020   | 1.00     | 0.00            | 12/10/2020         | 285.08                   | 0.00  | -285.08          | Expiration       |

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

APEX CLEARING

## Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B\*

OMB No. 1545-0715

5MQ16480

(continued)

01/23/2021

## SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

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

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

## 1a - Description of property | CUSIP | Symbol

| 1c - Date Sold or Disposed   | Quantity | 1d - Proceeds    | 1b - Date Acquired | 1e - Cost or Other Basis | 1f - Accrued Market Discount (M) & 1g - Wash Sale Loss Disallowed (D) | Gain or Loss (-) | Additional Notes |
|--|----------|------------------|--------------------|--------------------------|---|------------------|------------------|
| BAKER HUGHES COMPANY   CUSIP: 05722G100   Symbol: BKR  |          |                  |                    |                          |   |                  |                  |
| 05/07/2020   | 100.00   | 1,381.95         | 05/05/2020         | 1,369.00                 | 0.00  | 12.95            | Sale             |
| CALL DAL 03/19/21 40 DELTA AIR LINES INC DEL   CUSIP:   Symbol: DAL210319C00040000                           |          |                  |                    |                          |   |                  |                  |
| 08/27/2020   | 2.00     | 639.79           | Various            | 410.18                   | 0.00  | 229.61           | Sell to Close    |
| 09/04/2020   | 1.00     | 359.89           | 07/31/2020         | 125.09                   | 0.00  | 234.80           | Sell to Close    |
| <b>Security Totals:</b>  |          | <b>999.68</b>    |                    | <b>535.27</b>            |   | <b>464.41</b>    |                  |
| CALL HTZ 01/15/21 3.50 HERTZ GLOBAL HOLDINGS INC ADJ RIGHTS EXPIRATION   CUSIP:   Symbol: HTZ210115C00003500 |          |                  |                    |                          |   |                  |                  |
| 10/16/2020   | 2.00     | 117.82           | Various            | 35.18                    | 0.00  | 82.64            | Sell to Close    |
| CALL VXX 09/11/20 28 IPATH SER B S&P 500 VIX SHORT   CUSIP:   Symbol: VXX200911C00028000                     |          |                  |                    |                          |   |                  |                  |
| 09/09/2020   | 1.00     | 59.89            | 09/09/2020         | 65.09                    | 5.2 D   | 0.00             | Sell to Close    |
| 09/10/2020   | 1.00     | 42.89            | 09/09/2020         | 65.09                    | 22.2 D  | 0.00             | Sell to Close    |
| 09/11/2020   | 2.00     | 0.00             | Various            | 137.58                   | 0.00  | -137.58          | Expiration       |
| <b>Security Totals:</b>  |          | <b>102.78</b>    |                    | <b>267.76</b>            |   | <b>-137.58</b>   |                  |
| CALL VAL 06/19/20 2 VALARIS PLC CLASS A   CUSIP:   Symbol: VAL200619C00002000                                |          |                  |                    |                          |   |                  |                  |
| 06/08/2020   | 1.00     | 76.89            | 06/08/2020         | 85.09                    | 0.00  | -8.20            | Sell to Close    |
| GROUPON INC COMMON STOCK   CUSIP: 399473107   Symbol: GRPN   |          |                  |                    |                          |   |                  |                  |
| 06/04/2020   | 1,500.00 | 2,034.77         | 06/03/2020         | 1,920.00                 | 0.00  | 114.77           | Sale             |
| HEWLETT PACKARD ENTERPRISE COMPANY COM   CUSIP: 42824C109   Symbol: HPE                                      |          |                  |                    |                          |   |                  |                  |
| 09/08/2020   | 15.00    | 140.68           | Various            | 136.05                   | 0.00  | 4.63             | Sale             |
| CALL TDOC 01/15/21 220 TELADOC HEALTH INC   CUSIP:   Symbol: TDOC210115C00220000                             |          |                  |                    |                          |   |                  |                  |
| 08/10/2020   | 1.00     | 2,312.84         | 08/10/2020         | 2,300.09                 | 0.00  | 12.75            | Sell to Close    |
| CALL ETSY 12/24/20 160 ETSY INC   CUSIP:   Symbol: ETSY201224C00160000                                       |          |                  |                    |                          |   |                  |                  |
| 12/07/2020   | 1.00     | 589.89           | 12/04/2020         | 570.08                   | 0.00  | 19.81            | Sell to Close    |
| CALL AMZN 12/24/20 3210 AMAZON.COM INC   CUSIP:   Symbol: AMZN201224C03210000                                |          |                  |                    |                          |   |                  |                  |
| 12/02/2020   | 2.00     | 195.24           | 12/02/2020         | 0.00                     | 0.00  | 195.24           | Buy to Close     |
| 12/03/2020   | 2.00     | -2,052.76        | 12/02/2020         | 0.00                     | 0.00  | -2,052.76        | Buy to Close     |
| <b>Security Totals:</b>  |          | <b>-1,857.52</b> |                    | <b>0.00</b>              |   | <b>-1,857.52</b> |                  |
| OCUGEN INC COMMON STOCK   CUSIP: 67577C105   Symbol: OCGN  |          |                  |                    |                          |   |                  |                  |
| 06/29/2020   | 2,941.00 | 650.17           | Various            | 886.14                   | 79.04 D   | -156.93          | Sale             |
| 07/21/2020   | 500.00   | 194.93           | 07/21/2020         | 243.51                   | 0.00  | -48.58           | Sale             |

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

APEX CLEARING

## Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B\*

OMB No. 1545-0715

5MQ16480

(continued)

01/23/2021

**SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS**

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

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

| 1c - Date Sold or Disposed  | Quantity | 1d - Proceeds   | 1b - Date Acquired | 1e - Cost or Other Basis | 1f - Accrued Market Discount (M) & 1g - Wash Sale Loss Disallowed (D) | Gain or Loss (-) | Additional Notes |
|---|----------|-----------------|--------------------|--------------------------|---|------------------|------------------|
| 07/28/2020  | 500.00   | 421.78          | Various            | 483.63                   | 0.00  | -61.85           | Sale             |
| <b>Security Totals:</b>   |          | <b>1,266.88</b> |                    | <b>1,613.28</b>          |   | <b>-267.36</b>   |                  |
| ALPHA PRO TECH LTD   CUSIP: 020772109   Symbol: APT   |          |                 |                    |                          |   |                  |                  |
| 06/26/2020  | 60.00    | 1,040.96        | 06/26/2020         | 1,048.20                 | 0.00  | -7.24            | Sale             |
| PUT HTZ 07/02/20 1.50 HERTZ GLOBAL HOLDINGS INC ADJ RIGHTS EXPIRATION   CUSIP:   Symbol: HTZ200702P00001500 |          |                 |                    |                          |   |                  |                  |
| 06/16/2020  | 1.00     | 39.89           | 06/16/2020         | 50.09                    | 0.00  | -10.20           | Sell to Close    |
| CALL TDOC 12/11/20 200 TELADOC HEALTH INC   CUSIP:   Symbol: TDOC201211C00200000                            |          |                 |                    |                          |   |                  |                  |
| 11/30/2020  | 1.00     | 679.89          | 11/30/2020         | 620.08                   | 0.00  | 59.81            | Sell to Close    |
| CALL FB 10/02/20 280 FACEBOOK INC CL A   CUSIP:   Symbol: FB201002C00280000                                 |          |                 |                    |                          |   |                  |                  |
| 09/10/2020  | 1.00     | 949.87          | 09/10/2020         | 950.09                   | 0.00  | -0.22            | Sell to Close    |
| CALL NIO 08/14/20 14 NIO INC ADS   CUSIP:   Symbol: NIO200814C00014000                                      |          |                 |                    |                          |   |                  |                  |
| 08/14/2020  | 1.00     | 0.00            | 08/10/2020         | 140.09                   | 0.00  | -140.09          | Expiration       |
| THERAPEUTICSMD INC COMMON STOCK   CUSIP: 88338N107   Symbol: TXMD   |          |                 |                    |                          |   |                  |                  |
| 06/10/2020  | 1,000.00 | 1,341.65        | 06/10/2020         | 1,450.00                 | 0.00  | -108.35          | Sale             |
| CINEDIGM CORP CLASS A COMMON STOCK   CUSIP: 172406209   Symbol: CIDM  |          |                 |                    |                          |   |                  |                  |
| 06/04/2020  | 500.00   | 1,304.91        | 06/04/2020         | 1,085.00                 | 0.00  | 219.91           | Sale             |
| 06/08/2020  | 500.00   | 1,729.90        | Various            | 1,718.00                 | 0.00  | 11.90            | Sale             |
| <b>Security Totals:</b>   |          | <b>3,034.81</b> |                    | <b>2,803.00</b>          |   | <b>231.81</b>    |                  |
| SALESFORCE.COM INC   CUSIP: 79466L302   Symbol: CRM   |          |                 |                    |                          |   |                  |                  |
| 05/27/2020  | 15.00    | 2,633.18        | Various            | 2,724.10                 | 74.95 D   | -15.97           | Sale             |
| 05/28/2020  | 10.00    | 1,752.45        | 05/28/2020         | 1,832.95                 | 0.00  | -80.50           | Sale             |
| <b>Security Totals:</b>   |          | <b>4,385.63</b> |                    | <b>4,557.05</b>          |   | <b>-96.47</b>    |                  |
| COSTCO WHOLESALE CORP-NEW   CUSIP: 22160K105   Symbol: COST   |          |                 |                    |                          |   |                  |                  |
| 05/19/2020  | 10.00    | 3,083.12        | Various            | 2,984.30                 | 0.00  | 98.82            | Sale             |
| 05/28/2020  | 10.00    | 3,091.46        | Various            | 3,054.37                 | 0.00  | 37.09            | Sale             |
| <b>Security Totals:</b>   |          | <b>6,174.58</b> |                    | <b>6,038.67</b>          |   | <b>135.91</b>    |                  |
| EHEALTH INC   CUSIP: 28238P109   Symbol: EHTH   |          |                 |                    |                          |   |                  |                  |
| 04/30/2020  | 5.00     | 541.62          | 04/27/2020         | 534.20                   | 0.00  | 7.42             | Sale             |
| 05/05/2020  | 10.00    | 1,102.04        | 05/05/2020         | 1,054.70                 | 0.00  | 47.34            | Sale             |
| 05/22/2020  | 2.00     | 269.78          | 05/21/2020         | 265.09                   | 0.00  | 4.69             | Sale             |

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

APEX CLEARING

## Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B\*

OMB No. 1545-0715

5MQ16480

(continued)

01/23/2021

**SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS**

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

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

| <b>1c - Date Sold or Disposed</b>   | <b>Quantity</b> | <b>1d - Proceeds</b> | <b>1b - Date Acquired</b> | <b>1e - Cost or Other Basis</b> | <b>1f - Accrued Market Discount (M) &amp; 1g - Wash Sale Loss Disallowed (D)</b> | <b>Gain or Loss (-)</b> | <b>Additional Notes</b> |
|---|-----------------|----------------------|---------------------------|---------------------------------|--|-------------------------|-------------------------|
| EHEALTH INC   CUSIP: 28238P109   Symbol: EHTH   |                 |                      |                           |                                 |  |                         |                         |
| 05/22/2020  | 8.00            | 1,068.76             | 05/21/2020                | 1,060.34                        | 0.00   | 8.42                    | Sale                    |
| 06/05/2020  | 20.00           | 2,333.93             | Various                   | 2,155.20                        | 0.00   | 178.73                  | Sale                    |
| 06/23/2020  | 10.00           | 1,089.56             | 06/19/2020                | 1,115.30                        | 25.74 D  | 0.00                    | Sale                    |
| 06/23/2020  | 10.00           | 1,090.06             | 06/22/2020                | 1,086.94                        | 0.00   | 3.12                    | Sale                    |
| <b>Security Totals:</b>   |                 | <b>7,495.75</b>      |                           | <b>7,271.77</b>                 |  | <b>249.72</b>           |                         |
| CLOVIS ONCOLOGY INC COM   CUSIP: 189464100   Symbol: CLVS                             |                 |                      |                           |                                 |  |                         |                         |
| 08/26/2020  | 200.00          | 1,235.95             | Various                   | 1,158.00                        | 0.00   | 77.95                   | Sale                    |
| 08/27/2020  | 100.00          | 599.97               | 08/26/2020                | 619.00                          | 0.00   | -19.03                  | Sale                    |
| <b>Security Totals:</b>   |                 | <b>1,835.92</b>      |                           | <b>1,777.00</b>                 |  | <b>58.92</b>            |                         |
| CALL GOLD 06/18/21 23 BARRICK GOLD CORPORATION   CUSIP:   Symbol: GOLD210618C00023000 |                 |                      |                           |                                 |  |                         |                         |
| 11/27/2020  | 1.00            | 219.90               | 11/24/2020                | 243.08                          | 0.00   | -23.18                  | Sell to Close           |
| 11/30/2020  | 1.00            | 244.90               | 11/24/2020                | 243.08                          | 0.00   | 1.82                    | Sell to Close           |
| <b>Security Totals:</b>   |                 | <b>464.80</b>        |                           | <b>486.16</b>                   |  | <b>-21.36</b>           |                         |
| CALL MRNA 01/15/21 85 MODERNA INC   CUSIP:   Symbol: MRNA210115C00085000              |                 |                      |                           |                                 |  |                         |                         |
| 07/07/2020  | 1.00            | 1,054.87             | 07/02/2020                | 1,005.31                        | 0.00   | 49.56                   | Sell to Close           |
| 07/07/2020  | 2.00            | 2,049.75             | Various                   | 2,230.18                        | 180.43 D   | 0.00                    | Sell to Close           |
| 07/07/2020  | 1.00            | 1,049.87             | 07/02/2020                | 1,195.30                        | 145.43 D   | 0.00                    | Sell to Close           |
| 09/11/2020  | 1.00            | 734.88               | 07/02/2020                | 1,125.52                        | 0.00   | -390.64                 | Sell to Close           |
| 09/14/2020  | 2.00            | 1,859.76             | Various                   | 1,950.18                        | 0.00   | -90.42                  | Sell to Close           |
| <b>Security Totals:</b>   |                 | <b>6,749.13</b>      |                           | <b>7,506.49</b>                 |  | <b>-431.50</b>          |                         |
| CALL ETSY 12/04/20 157.50 ETSY INC   CUSIP:   Symbol: ETSY201204C00157500             |                 |                      |                           |                                 |  |                         |                         |
| 12/02/2020  | 1.00            | 224.90               | 12/01/2020                | 275.08                          | 0.00   | -50.18                  | Sell to Close           |
| CALL NIO 07/31/20 14 NIO INC ADS   CUSIP:   Symbol: NIO200731C00014000                |                 |                      |                           |                                 |  |                         |                         |
| 07/17/2020  | 1.00            | 74.89                | 07/14/2020                | 170.09                          | 0.00   | -95.20                  | Sell to Close           |
| CALL WMT 12/18/20 140 WALMART INC   CUSIP:   Symbol: WMT201218C00140000               |                 |                      |                           |                                 |  |                         |                         |
| 08/27/2020  | 1.00            | 759.88               | 08/27/2020                | 775.09                          | 0.00   | -15.21                  | Sell to Close           |
| CALL PLSE 01/15/21 12.50 PULSE BIOSCIENCES INC   CUSIP:   Symbol: PLSE210115C00012500 |                 |                      |                           |                                 |  |                         |                         |
| 09/14/2020  | 1.00            | 189.89               | 08/04/2020                | 250.09                          | 0.00   | -60.20                  | Sell to Close           |

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

APEX CLEARING

## Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B\*

OMB No. 1545-0715

5MQ16480

(continued)

01/23/2021

**SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS**

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

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

| 1c - Date Sold or Disposed   | Quantity | 1d - Proceeds   | 1b - Date Acquired | 1e - Cost or Other Basis | 1f - Accrued Market Discount (M) & 1g - Wash Sale Loss Disallowed (D) | Gain or Loss (-) | Additional Notes |
|--|----------|-----------------|--------------------|--------------------------|---|------------------|------------------|
| CALL INO 12/04/20 13   |          |                 |                    |                          |   |                  |                  |
| INOVIO PHARMACEUTICALS INC   CUSIP:   Symbol: INO201204C00013000     |          |                 |                    |                          |   |                  |                  |
| 12/03/2020   | 5.00     | 104.58          | 12/03/2020         | 90.40                    | 0.00  | 14.18            | Sell to Close    |
| 12/03/2020   | 1.00     | 21.91           | 12/03/2020         | 18.08                    | 0.00  | 3.83             | Sell to Close    |
| <b>Security Totals:</b>  |          | <b>126.49</b>   |                    | <b>108.48</b>            |   | <b>18.01</b>     |                  |
| PUT SPY 08/21/20 311   |          |                 |                    |                          |   |                  |                  |
| STANDARD & POORS DEPOSITORY   CUSIP:   Symbol: SPY200821P00311000    |          |                 |                    |                          |   |                  |                  |
| 07/14/2020   | 1.00     | 884.88          | 07/14/2020         | 865.09                   | 0.00  | 19.79            | Sell to Close    |
| CALL CRM 01/08/21 270  |          |                 |                    |                          |   |                  |                  |
| SALESFORCE.COM INC   CUSIP:   Symbol: CRM210108C00270000             |          |                 |                    |                          |   |                  |                  |
| 11/25/2020   | 1.00     | 669.89          | 11/25/2020         | 710.08                   | 0.00  | -40.19           | Sell to Close    |
| PUT DIS 07/10/20 107   |          |                 |                    |                          |   |                  |                  |
| WALT DISNEY CO   CUSIP:   Symbol: DIS200710P00107000                 |          |                 |                    |                          |   |                  |                  |
| 06/26/2020   | 1.00     | 309.89          | 06/25/2020         | 325.09                   | 0.00  | -15.20           | Sell to Close    |
| CLEANS PARK INC  |          |                 |                    |                          |   |                  |                  |
| COMMON STOCK   CUSIP: 18452B209   Symbol: CLSK                       |          |                 |                    |                          |   |                  |                  |
| 05/21/2020   | 500.00   | 1,214.91        | 05/21/2020         | 1,215.00                 | 0.00  | -0.09            | Sale             |
| CALL FAS 07/10/20 31.50  |          |                 |                    |                          |   |                  |                  |
| DIREXION DAILY FIN BULL 3X SHS   CUSIP:   Symbol: FAS200710C00031500 |          |                 |                    |                          |   |                  |                  |
| 07/07/2020   | 1.00     | 78.89           | 06/30/2020         | 190.09                   | 0.00  | -111.20          | Sell to Close    |
| CALL CRM 08/28/20 200  |          |                 |                    |                          |   |                  |                  |
| SALESFORCE.COM INC   CUSIP:   Symbol: CRM200828C00200000             |          |                 |                    |                          |   |                  |                  |
| 08/18/2020   | 1.00     | 759.88          | 08/17/2020         | 505.09                   | 0.00  | 254.79           | Sell to Close    |
| CALL AAPL 12/18/20 500   |          |                 |                    |                          |   |                  |                  |
| APPLE INC   CUSIP:   Symbol: AAPL201218C00500000                     |          |                 |                    |                          |   |                  |                  |
| 08/28/2020   | 1.00     | 5,269.78        | 08/27/2020         | 4,900.09                 | 0.00  | 369.69           | Sell to Close    |
| ***AMARIN CORPORATION PLC  |          |                 |                    |                          |   |                  |                  |
| SPONSORED ADR   CUSIP: 023111206   Symbol: AMRN                      |          |                 |                    |                          |   |                  |                  |
| 05/11/2020   | 135.00   | 1,059.70        | 05/07/2020         | 1,017.90                 | 0.00  | 41.80            | Sale             |
| 05/21/2020   | 200.00   | 1,465.94        | 05/21/2020         | 1,465.74                 | 0.00  | 0.20             | Sale             |
| 05/22/2020   | 350.00   | 2,551.86        | Various            | 2,545.60                 | 0.00  | 6.26             | Sale             |
| <b>Security Totals:</b>  |          | <b>5,077.50</b> |                    | <b>5,029.24</b>          |   | <b>48.26</b>     |                  |
| CALL FB 01/15/21 270   |          |                 |                    |                          |   |                  |                  |
| FACEBOOK INC CL A   CUSIP:   Symbol: FB210115C00270000               |          |                 |                    |                          |   |                  |                  |
| 12/28/2020   | 1.00     | 944.88          | 12/24/2020         | 795.08                   | 0.00  | 149.80           | Sell to Close    |
| CALL GFI 01/15/21 13   |          |                 |                    |                          |   |                  |                  |
| GOLD FIELDS LTD NEW   CUSIP:   Symbol: GFI210115C00013000            |          |                 |                    |                          |   |                  |                  |
| 10/12/2020   | 3.00     | 494.73          | 09/23/2020         | 420.27                   | 0.00  | 74.46            | Sell to Close    |
| ***VALARIS PLC   |          |                 |                    |                          |   |                  |                  |
| ORDINARY SHARES   CUSIP: G9402V109   Symbol: VAL                     |          |                 |                    |                          |   |                  |                  |
| 06/08/2020   | 500.00   | 1,099.91        | 06/08/2020         | 1,040.00                 | 0.00  | 59.91            | Sale             |
| 06/08/2020   | 500.00   | 1,114.91        | 06/08/2020         | 1,050.00                 | 0.00  | 64.91            | Sale             |

APEX CLEARING

## Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B\*

OMB No. 1545-0715

5MQ16480

(continued)

01/23/2021

**SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS**

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

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

| <b>1c - Date Sold or Disposed</b>   | <b>Quantity</b> | <b>1d - Proceeds</b> | <b>1b - Date Acquired</b> | <b>1e - Cost or Other Basis</b> | <b>1f - Accrued Market Discount (M) &amp; 1g - Wash Sale Loss Disallowed (D)</b> | <b>Gain or Loss (-)</b> | <b>Additional Notes</b> |
|---|-----------------|----------------------|---------------------------|---------------------------------|--|-------------------------|-------------------------|
| ***VALARIS PLC ORDINARY SHARES   CUSIP: G9402V109   Symbol: VAL                         |                 |                      |                           |                                 |  |                         |                         |
| 06/08/2020  | 1,000.00        | 1,652.69             | 06/08/2020                | 1,400.20                        | 0.00   | 252.49                  | Sale                    |
| <b>Security Totals:</b>   |                 | <b>3,867.51</b>      |                           | <b>3,490.20</b>                 |  | <b>377.31</b>           |                         |
| SORRENTO THERAPEUTICS INC   CUSIP: 83587F202   Symbol: SRNE                             |                 |                      |                           |                                 |  |                         |                         |
| 05/15/2020  | 75.00           | 524.97               | 05/15/2020                | 512.15                          | 0.00   | 12.82                   | Sale                    |
| 05/15/2020  | 75.00           | 524.97               | 05/15/2020                | 525.00                          | 0.03 D   | 0.00                    | Sale                    |
| 05/21/2020  | 300.00          | 1,556.92             | Various                   | 1,645.77                        | 0.00   | -88.85                  | Sale                    |
| 06/22/2020  | 250.00          | 1,215.99             | 06/22/2020                | 1,215.00                        | 0.00   | 0.99                    | Sale                    |
| 06/23/2020  | 250.00          | 1,232.77             | 06/22/2020                | 1,230.00                        | 0.00   | 2.77                    | Sale                    |
| 06/24/2020  | 200.00          | 1,002.50             | 06/23/2020                | 1,020.00                        | 0.00   | -17.50                  | Sale                    |
| <b>Security Totals:</b>   |                 | <b>6,058.12</b>      |                           | <b>6,147.92</b>                 |  | <b>-89.77</b>           |                         |
| CALL ZM 01/15/21 350 ZOOM VIDEO COMMUNICATIONS INC   CUSIP:   Symbol: ZM210115C00350000 |                 |                      |                           |                                 |  |                         |                         |
| 08/25/2020  | 1.00            | 2,499.84             | 08/24/2020                | 2,570.09                        | 0.00   | -70.25                  | Sell to Close           |
| 12/30/2020  | 1.00            | 1,709.88             | 12/30/2020                | 1,700.08                        | 0.00   | 9.80                    | Sell to Close           |
| <b>Security Totals:</b>   |                 | <b>4,209.72</b>      |                           | <b>4,270.17</b>                 |  | <b>-60.45</b>           |                         |
| CALL RIOT 12/31/20 18 RIOT BLOCKCHAIN INC   CUSIP:   Symbol: RIOT201231C00018000        |                 |                      |                           |                                 |  |                         |                         |
| 12/30/2020  | 1.00            | 74.90                | 12/30/2020                | 70.08                           | 0.00   | 4.82                    | Sell to Close           |
| 12/30/2020  | 1.00            | 79.90                | 12/30/2020                | 70.08                           | 0.00   | 9.82                    | Sell to Close           |
| <b>Security Totals:</b>   |                 | <b>154.80</b>        |                           | <b>140.16</b>                   |  | <b>14.64</b>            |                         |
| EASTMAN KODAK COMPANY COM NEW   CUSIP: 277461406   Symbol: KODK                         |                 |                      |                           |                                 |  |                         |                         |
| 07/28/2020  | 50.00           | 549.97               | 07/28/2020                | 527.50                          | 0.00   | 22.47                   | Sale                    |
| 07/28/2020  | 50.00           | 466.47               | 07/28/2020                | 464.05                          | 0.00   | 2.42                    | Sale                    |
| 07/28/2020  | 50.00           | 523.47               | 07/28/2020                | 527.50                          | 4.03 D   | 0.00                    | Sale                    |
| 07/28/2020  | 50.00           | 399.98               | 07/28/2020                | 414.03                          | 14.05 D  | 0.00                    | Sale                    |
| 07/28/2020  | 50.00           | 504.97               | 07/28/2020                | 483.00                          | 0.00   | 21.97                   | Sale                    |
| 07/29/2020  | 100.00          | 1,249.96             | Various                   | 1,303.50                        | 0.00   | -53.54                  | Sale                    |
| <b>Security Totals:</b>   |                 | <b>3,694.82</b>      |                           | <b>3,719.58</b>                 |  | <b>-6.68</b>            |                         |
| ZOOM VIDEO COMMUNICATIONS INC CLASS A COMMON STOCK   CUSIP: 98980L101   Symbol: ZM      |                 |                      |                           |                                 |  |                         |                         |
| 06/02/2020  | 20.00           | 4,059.90             | Various                   | 4,149.85                        | 99.69 D  | 9.74                    | Sale                    |

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

APEX CLEARING

## Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B\*

OMB No. 1545-0715

5MQ16480

(continued)

01/23/2021

**SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS**

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

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

| 1c - Date Sold or Disposed  | Quantity | 1d - Proceeds    | 1b - Date Acquired | 1e - Cost or Other Basis | 1f - Accrued Market Discount (M) & 1g - Wash Sale Loss Disallowed (D) | Gain or Loss (-) | Additional Notes |
|---|----------|------------------|--------------------|--------------------------|---|------------------|------------------|
| ZOOM VIDEO COMMUNICATIONS INC CLASS A COMMON STOCK   CUSIP: 98980L101   Symbol: ZM                          |          |                  |                    |                          |   |                  |                  |
| 06/02/2020  | 20.00    | 4,027.90         | Various            | 4,152.75                 | 124.85 D  | 0.00             | Sale             |
| 06/11/2020  | 10.00    | 2,172.94         | 06/10/2020         | 2,275.10                 | 102.16 D  | 0.00             | Sale             |
| 06/17/2020  | 5.00     | 1,181.56         | 06/17/2020         | 1,231.58                 | 50.02 D   | 0.00             | Sale             |
| 06/17/2020  | 5.00     | 1,180.02         | 06/17/2020         | 1,199.09                 | 19.07 D   | 0.00             | Sale             |
| 06/30/2020  | 10.00    | 2,524.93         | Various            | 2,541.75                 | 0.00  | -16.82           | Sale             |
| 07/20/2020  | 5.00     | 1,299.06         | 07/06/2020         | 1,365.02                 | 0.00  | -65.96           | Sale             |
| 11/25/2020  | 6.00     | 2,600.69         | Various            | 2,724.16                 | 0.00  | -123.47          | Sale             |
| <b>Security Totals:</b>   |          | <b>19,047.00</b> |                    | <b>19,639.30</b>         |   | <b>-196.51</b>   |                  |
| CALL KGC 01/15/21 15 KINROSS GOLD CORP   CUSIP:   Symbol: KGC210115C00015000                                |          |                  |                    |                          |   |                  |                  |
| 09/11/2020  | 1.00     | 17.89            | 07/10/2020         | 14.09                    | 0.00  | 3.80             | Sell to Close    |
| DIREXION SHARES ETF TRUST DIREXION DAILY GOLD MINERS INDEX BULL 2X SHARES   CUSIP: 25460G781   Symbol: NUGT |          |                  |                    |                          |   |                  |                  |
| 06/19/2020  | 25.00    | 1,650.45         | 06/19/2020         | 1,621.00                 | 0.00  | 29.45            | Sale             |
| 07/06/2020  | 15.00    | 1,181.21         | 07/06/2020         | 1,177.50                 | 0.00  | 3.71             | Sale             |
| <b>Security Totals:</b>   |          | <b>2,831.66</b>  |                    | <b>2,798.50</b>          |   | <b>33.16</b>     |                  |
| CALL AAPL 12/11/20 125 APPLE INC   CUSIP:   Symbol: AAPL201211C00125000                                     |          |                  |                    |                          |   |                  |                  |
| 12/07/2020  | 1.00     | 142.90           | 12/01/2020         | 185.08                   | 0.00  | -42.18           | Sell to Close    |
| CALL FUTU 01/15/21 45 FUTU HOLDINGS LTD ADS   CUSIP:   Symbol: FUTU210115C00045000                          |          |                  |                    |                          |   |                  |                  |
| 12/31/2020  | 1.00     | 234.90           | 12/30/2020         | 215.08                   | 0.00  | 19.82            | Sell to Close    |
| CALL VRM 08/21/20 70 VROOM INC   CUSIP:   Symbol: VRM200821C00070000  |          |                  |                    |                          |   |                  |                  |
| 07/29/2020  | 1.00     | 104.89           | 07/13/2020         | 125.09                   | 20.2 D  | 0.00             | Sell to Close    |
| 07/30/2020  | 1.00     | 129.89           | 07/14/2020         | 130.29                   | 0.00  | -0.40            | Sell to Close    |
| <b>Security Totals:</b>   |          | <b>234.78</b>    |                    | <b>255.38</b>            |   | <b>-0.40</b>     |                  |
| CALL EHTH 02/19/21 80 EHEALTH INC   CUSIP:   Symbol: EHTH210219C00080000                                    |          |                  |                    |                          |   |                  |                  |
| 11/17/2020  | 1.00     | 689.89           | 11/17/2020         | 700.08                   | 0.00  | -10.19           | Sell to Close    |
| BIO KEY INTERNATIONAL INC COMMON STOCK   CUSIP: 09060C309   Symbol: BKYI                                    |          |                  |                    |                          |   |                  |                  |
| 08/12/2020  | 1,000.00 | 759.86           | 08/12/2020         | 779.60                   | 0.00  | -19.74           | Sale             |
| CALL KNDI 08/21/20 10 KANDI TECHNOLOGIES CORP   CUSIP:   Symbol: KNDI200821C00010000                        |          |                  |                    |                          |   |                  |                  |
| 08/17/2020  | 1.00     | 73.89            | 08/17/2020         | 75.09                    | 0.00  | -1.20            | Sell to Close    |

APEX CLEARING

## Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B\*

OMB No. 1545-0715

5MQ16480

(continued)

01/23/2021

**SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS**

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

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

| 1c - Date Sold or Disposed    | Quantity  | 1d - Proceeds  | 1b - Date Acquired | 1e - Cost or Other Basis | 1f - Accrued Market Discount (M) & 1g - Wash Sale Loss Disallowed (D) | Gain or Loss (-) | Additional Notes |
|-------------------------------|-----------|--|--------------------|--------------------------|---|------------------|------------------|
| CALL C 01/15/21               | 62.50     | CITIGROUP INC   CUSIP:   Symbol: C210115C00062500            |                    |                          |   |                  |                  |
| 12/09/2020                    | 1.00      | 155.90   | 07/14/2020         | 240.09                   | 0.00  | -84.19           | Sell to Close    |
| 12/10/2020                    | 1.00      | 175.90   | 07/20/2020         | 170.09                   | 0.00  | 5.81             | Sell to Close    |
| <b>Security Totals:</b>       |           | <b>331.80</b>  |                    | <b>410.18</b>            |   | <b>-78.38</b>    |                  |
| VIR BIOTECHNOLOGY INC         |           | COMMON STOCK   CUSIP: 92764N102   Symbol: VIR                |                    |                          |   |                  |                  |
| 06/29/2020                    | 30.00     | 1,109.96   | 06/26/2020         | 1,339.50                 | 0.00  | -229.54          | Sale             |
| VISLINK TECHNOLOGIES INC      |           | COMMON STOCK   CUSIP: 92836Y201   Symbol: VISL               |                    |                          |   |                  |                  |
| 06/03/2020                    | 10,000.00 | 4,348.41   | Various            | 3,525.50                 | 0.00  | 822.91           | Sale             |
| 06/03/2020                    | 13,000.00 | 5,915.22   | Various            | 5,904.00                 | 159.83 D  | 171.05           | Sale             |
| 06/04/2020                    | 1,000.00  | 1,219.85   | 06/04/2020         | 1,164.75                 | 0.00  | 55.10            | Sale             |
| 06/04/2020                    | 2,000.00  | 2,764.69   | 06/04/2020         | 1,878.82                 | 0.00  | 885.87           | Sale             |
| 06/04/2020                    | 2,000.00  | 2,659.70   | 06/04/2020         | 2,749.50                 | 89.8 D  | 0.00             | Sale             |
| 06/04/2020                    | 2,000.00  | 2,599.70   | Various            | 2,419.80                 | 0.00  | 179.90           | Sale             |
| 06/04/2020                    | 3,000.00  | 2,683.98   | 06/04/2020         | 2,818.23                 | 134.25 D  | 0.00             | Sale             |
| 06/04/2020                    | 8,000.00  | 7,918.87   | Various            | 4,802.83                 | 0.00  | 3,116.04         | Sale             |
| 06/04/2020                    | 9,000.00  | 5,271.53   | Various            | 4,346.80                 | 0.00  | 924.73           | Sale             |
| 06/05/2020                    | 1,000.00  | 1,419.84   | 06/05/2020         | 1,360.00                 | 0.00  | 59.84            | Sale             |
| 06/05/2020                    | 2,000.00  | 2,599.70   | 06/04/2020         | 2,440.00                 | 0.00  | 159.70           | Sale             |
| 06/05/2020                    | 3,000.00  | 2,761.07   | Various            | 3,680.00                 | 769.28 D  | -149.65          | Sale             |
| 06/08/2020                    | 1,000.00  | 1,119.85   | Various            | 1,779.64                 | 0.00  | -659.79          | Sale             |
| 06/18/2020                    | 1,000.00  | 845.86   | 06/18/2020         | 953.44                   | 0.00  | -107.58          | Sale             |
| <b>Security Totals:</b>       |           | <b>44,128.27</b>   |                    | <b>39,823.31</b>         |   | <b>5,458.12</b>  |                  |
| DIFFUSION PHARMACEUTICALS INC |           | COMMON STOCK   CUSIP: 253748305   Symbol: DFFN               |                    |                          |   |                  |                  |
| 07/08/2020                    | 500.00    | 449.93   | 07/07/2020         | 482.50                   | 0.00  | -32.57           | Sale             |
| CALL BA 09/18/20              | 160       | BOEING CO   CUSIP:   Symbol: BA200918C00160000               |                    |                          |   |                  |                  |
| 09/09/2020                    | 1.00      | 559.88   | 09/09/2020         | 500.09                   | 0.00  | 59.79            | Sell to Close    |
| CALL STM 02/19/21             | 40        | STMICROELECTRONICS N V   CUSIP:   Symbol: STM210219C00040000 |                    |                          |   |                  |                  |
| 12/30/2020                    | 1.00      | 160.90   | 12/28/2020         | 145.08                   | 0.00  | 15.82            | Sell to Close    |
| BIODELIVERY SCIENCES          |           | INTERNATIONAL INC   CUSIP: 09060J106   Symbol: BDSI          |                    |                          |   |                  |                  |
| 06/11/2020                    | 200.00    | 902.34   | 06/08/2020         | 1,035.60                 | 0.00  | -133.26          | Sale             |

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



APEX CLEARING

## Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B\*

OMB No. 1545-0715

5MQ16480

(continued)

01/23/2021

**SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS**

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

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

| 1c - Date Sold or Disposed  | Quantity | 1d - Proceeds    | 1b - Date Acquired | 1e - Cost or Other Basis | 1f - Accrued Market Discount (M) & 1g - Wash Sale Loss Disallowed (D) | Gain or Loss (-) | Additional Notes |
|---|----------|------------------|--------------------|--------------------------|---|------------------|------------------|
| NIKE INC CLASS B COM   CUSIP: 654106103   Symbol: NKE                                   |          |                  |                    |                          |   |                  |                  |
| 06/25/2020  | 5.00     | 491.17           | 06/25/2020         | 491.86                   | 0.00  | -0.69            | Sale             |
| 06/25/2020  | 20.00    | 1,997.94         | Various            | 2,004.69                 | 1.86 D  | -4.89            | Sale             |
| <b>Security Totals:</b>   |          | <b>2,489.11</b>  |                    | <b>2,496.55</b>          |   | <b>-5.58</b>     |                  |
| BOEING CO   CUSIP: 097023105   Symbol: BA   |          |                  |                    |                          |   |                  |                  |
| 06/09/2020  | 20.00    | 4,430.69         | Various            | 4,405.00                 | 0.00  | 25.69            | Sale             |
| 06/10/2020  | 10.00    | 1,988.74         | 06/10/2020         | 2,121.35                 | 0.00  | -132.61          | Sale             |
| 06/10/2020  | 20.00    | 4,365.89         | 06/09/2020         | 4,379.58                 | 13.69 D   | 0.00             | Sale             |
| 06/11/2020  | 10.00    | 1,877.94         | 06/11/2020         | 1,915.34                 | 0.00  | -37.40           | Sale             |
| <b>Security Totals:</b>   |          | <b>12,663.26</b> |                    | <b>12,821.27</b>         |   | <b>-144.32</b>   |                  |
| CALL BAC 01/15/21 28 BANK OF AMERICA CORP   CUSIP:   Symbol: BAC210115C00028000         |          |                  |                    |                          |   |                  |                  |
| 09/04/2020  | 1.00     | 184.89           | 07/07/2020         | 95.09                    | 0.00  | 89.80            | Sell to Close    |
| 09/04/2020  | 1.00     | 189.89           | 07/07/2020         | 95.09                    | 0.00  | 94.80            | Sell to Close    |
| <b>Security Totals:</b>   |          | <b>374.78</b>    |                    | <b>190.18</b>            |   | <b>184.60</b>    |                  |
| CALL KGC 01/15/21 10 KINROSS GOLD CORP   CUSIP:   Symbol: KGC210115C00010000            |          |                  |                    |                          |   |                  |                  |
| 09/11/2020  | 5.00     | 454.52           | 09/09/2020         | 510.45                   | 0.00  | -55.93           | Sell to Close    |
| CALL DG 09/04/20 202.50 DOLLAR GENERAL CORPORATION   CUSIP:   Symbol: DG200904C00202500 |          |                  |                    |                          |   |                  |                  |
| 09/02/2020  | 1.00     | 181.89           | 08/27/2020         | 410.09                   | 0.00  | -228.20          | Sell to Close    |
| CALL GFI 01/15/21 14 GOLD FIELDS LTD NEW   CUSIP:   Symbol: GFI210115C00014000          |          |                  |                    |                          |   |                  |                  |
| 09/11/2020  | 1.00     | 154.89           | 07/07/2020         | 75.09                    | 0.00  | 79.80            | Sell to Close    |
| CALL VSTM 07/17/20 2 VERASTEM INC   CUSIP:   Symbol: VSTM200717C00002000                |          |                  |                    |                          |   |                  |                  |
| 07/17/2020  | 5.00     | 0.00             | 06/23/2020         | 75.46                    | 0.00  | -75.46           | Expiration       |
| LABORATORY CORP AMER HLDGS   CUSIP: 50540R409   Symbol: LH                              |          |                  |                    |                          |   |                  |                  |
| 07/02/2020  | 10.00    | 1,692.95         | 07/02/2020         | 1,691.70                 | 0.00  | 1.25             | Sale             |
| CALL NVDA 08/28/20 500 NVIDIA CORP   CUSIP:   Symbol: NVDA200828C00500000               |          |                  |                    |                          |   |                  |                  |
| 08/21/2020  | 1.00     | 1,199.87         | 08/19/2020         | 1,550.09                 | 0.00  | -350.22          | Sell to Close    |
| PUT NVDA 08/21/20 450 NVIDIA CORP   CUSIP:   Symbol: NVDA200821P00450000                |          |                  |                    |                          |   |                  |                  |
| 08/19/2020  | 1.00     | 339.89           | 08/18/2020         | 315.09                   | 0.00  | 24.80            | Sell to Close    |
| 08/21/2020  | 1.00     | 0.00             | 08/19/2020         | 300.09                   | 0.00  | -300.09          | Expiration       |
| <b>Security Totals:</b>   |          | <b>339.89</b>    |                    | <b>615.18</b>            |   | <b>-275.29</b>   |                  |

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

APEX CLEARING

## Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B\*

OMB No. 1545-0715

5MQ16480

(continued)

01/23/2021

**SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS**

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

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

| 1c - Date Sold or Disposed   | Quantity | 1d - Proceeds   | 1b - Date Acquired | 1e - Cost or Other Basis | 1f - Accrued Market Discount (M) & 1g - Wash Sale Loss Disallowed (D) | Gain or Loss (-) | Additional Notes |
|--|----------|-----------------|--------------------|--------------------------|---|------------------|------------------|
| ADT INC COMMON STOCK   CUSIP: 00090Q103   Symbol: ADT                            |          |                 |                    |                          |   |                  |                  |
| 08/04/2020   | 100.00   | 1,348.96        | 08/03/2020         | 1,323.00                 | 0.00  | 25.96            | Sale             |
| 12/01/2020   | 50.00    | 392.54          | 08/04/2020         | 660.00                   | 0.00  | -267.46          | Sale             |
| <b>Security Totals:</b>  |          | <b>1,741.50</b> |                    | <b>1,983.00</b>          |   | <b>-241.50</b>   |                  |
| CALL SLV 01/15/21 29 ISHARES SILVER SHARES   CUSIP:   Symbol: SLV210115C00029000 |          |                 |                    |                          |   |                  |                  |
| 08/28/2020   | 3.00     | 653.70          | Various            | 740.27                   | 94.38 D   | 7.81             | Sell to Close    |
| CALL LVGO 01/15/21 140 LIVONGO HEALTH INC   CUSIP:   Symbol: LVGO210115C00140000 |          |                 |                    |                          |   |                  |                  |
| 09/01/2020   | 1.00     | 2,149.85        | 08/28/2020         | 1,900.09                 | 0.00  | 249.76           | Sell to Close    |
| ***SHOPIFY INC CL A   CUSIP: 82509L107   Symbol: SHOP                            |          |                 |                    |                          |   |                  |                  |
| 07/21/2020   | 2.00     | 2,059.94        | 07/08/2020         | 2,041.04                 | 0.00  | 18.90            | Sale             |
| 07/22/2020   | 1.00     | 952.76          | 07/21/2020         | 952.50                   | 0.00  | 0.26             | Sale             |
| 07/27/2020   | 2.00     | 1,894.44        | 07/22/2020         | 1,894.00                 | 0.00  | 0.44             | Sale             |
| 08/06/2020   | 1.00     | 1,089.06        | 08/05/2020         | 1,084.45                 | 0.00  | 4.61             | Sale             |
| <b>Security Totals:</b>  |          | <b>5,996.20</b> |                    | <b>5,971.99</b>          |   | <b>24.21</b>     |                  |
| JAMF HOLDING CORP COMMON STOCK   CUSIP: 47074L105   Symbol: JAMF                 |          |                 |                    |                          |   |                  |                  |
| 07/22/2020   | 50.00    | 2,191.34        | 07/22/2020         | 2,318.50                 | 127.16 D  | 0.00             | Sale             |
| 07/22/2020   | 50.00    | 2,139.94        | Various            | 2,411.91                 | 0.00  | -271.97          | Sale             |
| <b>Security Totals:</b>  |          | <b>4,331.28</b> |                    | <b>4,730.41</b>          |   | <b>-271.97</b>   |                  |
| KROGER CO (THE)   CUSIP: 501044101   Symbol: KR                                  |          |                 |                    |                          |   |                  |                  |
| 06/19/2020   | 50.00    | 1,597.95        | Various            | 1,621.25                 | 23.30 D   | 0.00             | Sale             |
| 06/22/2020   | 50.00    | 1,602.95        | Various            | 1,680.30                 | 0.00  | -77.35           | Sale             |
| <b>Security Totals:</b>  |          | <b>3,200.90</b> |                    | <b>3,301.55</b>          |   | <b>-77.35</b>    |                  |
| CALL MRNA 12/31/20 113 MODERNA INC   CUSIP:   Symbol: MRNA201231C00113000        |          |                 |                    |                          |   |                  |                  |
| 12/30/2020   | 1.00     | 158.90          | 12/30/2020         | 164.08                   | 0.00  | -5.18            | Sell to Close    |
| CALL MSFT 12/31/20 215 MICROSOFT CORP   CUSIP:   Symbol: MSFT201231C00215000     |          |                 |                    |                          |   |                  |                  |
| 12/07/2020   | 1.00     | 544.89          | 12/04/2020         | 500.08                   | 0.00  | 44.81            | Sell to Close    |
| 12/09/2020   | 1.00     | 409.90          | 12/09/2020         | 415.26                   | 0.00  | -5.36            | Sell to Close    |
| 12/09/2020   | 1.00     | 419.90          | 12/09/2020         | 425.08                   | 5.18 D  | 0.00             | Sell to Close    |
| <b>Security Totals:</b>  |          | <b>1,374.69</b> |                    | <b>1,340.42</b>          |   | <b>39.45</b>     |                  |

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

APEX CLEARING

## Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B\*

OMB No. 1545-0715

5MQ16480

(continued)

01/23/2021

**SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS**

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

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

| <b>1c - Date Sold or Disposed</b>   | <b>Quantity</b> | <b>1d - Proceeds</b> | <b>1b - Date Acquired</b> | <b>1e - Cost or Other Basis</b> | <b>1f - Accrued Market Discount (M) &amp; 1g - Wash Sale Loss Disallowed (D)</b> | <b>Gain or Loss (-)</b> | <b>Additional Notes</b> |
|---|-----------------|----------------------|---------------------------|---------------------------------|--|-------------------------|-------------------------|
| <b>ZSCALER INC</b> COMMON STOCK   CUSIP: 98980G102   Symbol: ZS                           |                 |                      |                           |                                 |  |                         |                         |
| 06/30/2020  | 10.00           | 1,071.36             | 06/29/2020                | 1,038.90                        | 0.00   | 32.46                   | Sale                    |
| 07/08/2020  | 10.00           | 1,180.96             | 07/06/2020                | 1,170.00                        | 0.00   | 10.96                   | Sale                    |
| 07/17/2020  | 5.00            | 600.42               | 07/08/2020                | 605.00                          | 0.00   | -4.58                   | Sale                    |
| <b>Security Totals:</b>   |                 | <b>2,852.74</b>      |                           | <b>2,813.90</b>                 |  | <b>38.84</b>            |                         |
| <b>***KITOV PHARMA LTD</b> AMERICAN DEPOSITARY SHARES   CUSIP: 49803V107   Symbol: KTOV   |                 |                      |                           |                                 |  |                         |                         |
| 06/22/2020  | 1,000.00        | 784.86               | 06/22/2020                | 785.00                          | 0.14 D   | 0.00                    | Sale                    |
| 06/22/2020  | 1,000.00        | 873.74               | 06/22/2020                | 900.15                          | 26.41 D  | 0.00                    | Sale                    |
| 06/23/2020  | 471.00          | 532.15               | 06/23/2020                | 541.73                          | 9.58 D   | 0.00                    | Sale                    |
| 06/23/2020  | 500.00          | 589.92               | 06/23/2020                | 600.00                          | 10.08 D  | 0.00                    | Sale                    |
| 06/23/2020  | 1,029.00        | 1,194.13             | Various                   | 1,202.93                        | 9.35 D   | 0.55                    | Sale                    |
| 06/23/2020  | 2,000.00        | 2,279.70             | Various                   | 1,840.21                        | 0.00   | 439.49                  | Sale                    |
| 06/25/2020  | 18.00           | 20.86                | 06/25/2020                | 20.88                           | 0.02 D   | 0.00                    | Sale                    |
| 06/25/2020  | 982.00          | 1,138.97             | 06/25/2020                | 1,139.12                        | 0.15 D   | 0.00                    | Sale                    |
| 06/25/2020  | 1,000.00        | 1,209.85             | 06/25/2020                | 1,210.00                        | 0.15 D   | 0.00                    | Sale                    |
| 06/25/2020  | 1,000.00        | 1,164.85             | 06/25/2020                | 1,120.00                        | 0.00   | 44.85                   | Sale                    |
| 06/25/2020  | 1,000.00        | 1,203.55             | Various                   | 1,160.17                        | 0.00   | 43.38                   | Sale                    |
| 06/25/2020  | 4,000.00        | 4,449.82             | Various                   | 4,294.35                        | 0.00   | 155.47                  | Sale                    |
| 06/26/2020  | 500.00          | 580.06               | 06/26/2020                | 585.08                          | 5.02 D   | 0.00                    | Sale                    |
| 07/08/2020  | 500.00          | 461.07               | 07/08/2020                | 461.22                          | 0.00   | -0.15                   | Sale                    |
| 07/09/2020  | 500.00          | 464.92               | 07/08/2020                | 466.17                          | 0.00   | -1.25                   | Sale                    |
| <b>Security Totals:</b>   |                 | <b>16,948.45</b>     |                           | <b>16,327.01</b>                |  | <b>682.34</b>           |                         |
| <b>CALL FB</b> 12/18/20 270 <b>FACEBOOK INC CL A</b>   CUSIP:   Symbol: FB201218C00270000 |                 |                      |                           |                                 |  |                         |                         |
| 07/31/2020  | 1.00            | 1,449.86             | 07/22/2020                | 1,180.09                        | 0.00   | 269.77                  | Sell to Close           |
| 07/31/2020  | 1.00            | 1,464.86             | 07/22/2020                | 1,140.09                        | 0.00   | 324.77                  | Sell to Close           |
| 07/31/2020  | 5.00            | 7,849.35             | Various                   | 6,685.45                        | 0.00   | 1,163.90                | Sell to Close           |
| <b>Security Totals:</b>   |                 | <b>10,764.07</b>     |                           | <b>9,005.63</b>                 |  | <b>1,758.44</b>         |                         |
| <b>PUT PEP</b> 01/15/21 145 <b>PEPSICO INC</b>   CUSIP:   Symbol: PEP210115P00145000      |                 |                      |                           |                                 |  |                         |                         |
| 12/29/2020  | 1.00            | 155.90               | 12/29/2020                | 157.08                          | 0.00   | -1.18                   | Sell to Close           |

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

APEX CLEARING

## Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B\*

OMB No. 1545-0715

5MQ16480

(continued)

01/23/2021

**SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS**

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

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

| 1c - Date Sold or Disposed  | Quantity | 1d - Proceeds    | 1b - Date Acquired | 1e - Cost or Other Basis | 1f - Accrued Market Discount (M) & 1g - Wash Sale Loss Disallowed (D) | Gain or Loss (-) | Additional Notes |
|---|----------|------------------|--------------------|--------------------------|---|------------------|------------------|
| WALGREEN BOOTS ALLIANCE INC COM   CUSIP: 931427108   Symbol: WBA                            |          |                  |                    |                          |   |                  |                  |
| 07/13/2020  | 15.00    | 601.83           | 07/09/2020         | 636.00                   | 0.00  | -34.17           | Sale             |
| CALL F 01/15/21 11 FORD MOTOR COMPANY   CUSIP:   Symbol: F210115C00011000                   |          |                  |                    |                          |   |                  |                  |
| 12/01/2020  | 5.00     | 54.58            | 07/10/2020         | 45.47                    | 0.00  | 9.11             | Sell to Close    |
| FASTLY INC CLASS A COMMON STOCK   CUSIP: 31188V100   Symbol: FSLY                           |          |                  |                    |                          |   |                  |                  |
| 07/07/2020  | 10.00    | 876.87           | 07/06/2020         | 854.00                   | 0.00  | 22.87            | Sale             |
| CALL TSLA 10/02/20 520 TESLA INC ADJ 5:1 STOCK SPLIT   CUSIP:   Symbol: TSLA201002C00520000 |          |                  |                    |                          |   |                  |                  |
| 09/01/2020  | 1.00     | 5,369.78         | 09/01/2020         | 5,200.09                 | 0.00  | 169.69           | Sell to Close    |
| 09/01/2020  | 1.00     | 5,629.77         | 09/01/2020         | 5,500.09                 | 0.00  | 129.68           | Sell to Close    |
| 09/01/2020  | 1.00     | 5,699.77         | 08/31/2020         | 5,600.09                 | 0.00  | 99.68            | Sell to Close    |
| <b>Security Totals:</b>   |          | <b>16,699.32</b> |                    | <b>16,300.27</b>         |   | <b>399.05</b>    |                  |
| FORTINET INC   CUSIP: 34959E109   Symbol: FTNT  |          |                  |                    |                          |   |                  |                  |
| 06/17/2020  | 8.00     | 1,091.22         | 06/16/2020         | 1,091.26                 | 0.00  | -0.04            | Sale             |
| VIRGIN GALACTIC HLDGS INC COMMON STOCK   CUSIP: 92766K106   Symbol: SPCE                    |          |                  |                    |                          |   |                  |                  |
| 05/07/2020  | 50.00    | 946.46           | 05/06/2020         | 898.00                   | 0.00  | 48.46            | Sale             |
| 05/20/2020  | 100.00   | 1,532.18         | 05/20/2020         | 1,507.00                 | 0.00  | 25.18            | Sale             |
| <b>Security Totals:</b>   |          | <b>2,478.64</b>  |                    | <b>2,405.00</b>          |   | <b>73.64</b>     |                  |
| XPRESSPA GROUP INC COMMON STOCK   CUSIP: 98420U703   Symbol: XSPA                           |          |                  |                    |                          |   |                  |                  |
| 06/11/2020  | 200.00   | 1,073.95         | Various            | 1,092.87                 | 18.92 D   | 0.00             | Sale             |
| 06/11/2020  | 200.00   | 961.95           | Various            | 1,596.00                 | 634.05 D  | 0.00             | Sale             |
| 06/12/2020  | 193.00   | 1,080.75         | Various            | 1,499.52                 | 418.77 D  | 0.00             | Sale             |
| 06/12/2020  | 200.00   | 1,105.95         | Various            | 1,443.43                 | 337.57 D  | 0.09             | Sale             |
| 06/12/2020  | 500.00   | 2,649.88         | Various            | 3,037.05                 | 554.10 D  | 166.93           | Sale             |
| 06/12/2020  | 707.00   | 3,640.88         | Various            | 4,261.17                 | 622.26 D  | 1.97             | Sale             |
| 06/15/2020  | 1.00     | 5.36             | 06/12/2020         | 5.70                     | 0.34 D  | 0.00             | Sale             |
| 06/15/2020  | 199.00   | 1,096.44         | Various            | 1,134.31                 | 37.87 D   | 0.00             | Sale             |
| 06/18/2020  | 200.00   | 946.95           | Various            | 1,102.64                 | 156.19 D  | 0.50             | Sale             |
| 06/18/2020  | 350.00   | 1,798.92         | Various            | 1,886.83                 | 164.29 D  | 76.38            | Sale             |
| 06/19/2020  | 200.00   | 990.95           | Various            | 1,157.87                 | 160.38 D  | -6.54            | Sale             |
| 07/08/2020  | 200.00   | 851.96           | Various            | 1,122.67                 | 278.55 D  | 7.84             | Sale             |

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

APEX CLEARING

## Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B\*

OMB No. 1545-0715

5MQ16480

(continued)

01/23/2021

**SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS**

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

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

| 1c - Date Sold or Disposed  | Quantity | 1d - Proceeds    | 1b - Date Acquired | 1e - Cost or Other Basis | 1f - Accrued Market Discount (M) & 1g - Wash Sale Loss Disallowed (D) | Gain or Loss (-) | Additional Notes |
|---|----------|------------------|--------------------|--------------------------|---|------------------|------------------|
| XPRESSPA GROUP INC COMMON STOCK   CUSIP: 98420U703   Symbol: XSPA                           |          |                  |                    |                          |   |                  |                  |
| 07/29/2020  | 100.00   | 369.98           | Various            | 646.55                   | 0.00  | -276.57          | Sale             |
| <b>Security Totals:</b>   |          | <b>16,573.92</b> |                    | <b>19,986.61</b>         |   | <b>-29.40</b>    |                  |
| FACEBOOK INC CL A   CUSIP: 30303M102   Symbol: FB   |          |                  |                    |                          |   |                  |                  |
| 05/19/2020  | 9.00     | 1,936.30         | Various            | 1,827.66                 | 0.00  | 108.64           | Sale             |
| 05/21/2020  | 24.00    | 5,611.06         | Various            | 5,269.61                 | 0.00  | 341.45           | Sale             |
| 05/22/2020  | 10.00    | 2,334.63         | 05/21/2020         | 2,318.12                 | 0.00  | 16.51            | Sale             |
| 05/28/2020  | 20.00    | 4,598.48         | Various            | 4,586.55                 | 50.41 D   | 62.34            | Sale             |
| 06/02/2020  | 10.00    | 2,327.93         | Various            | 2,304.21                 | 0.00  | 23.72            | Sale             |
| 06/08/2020  | 10.00    | 2,309.43         | 06/08/2020         | 2,309.60                 | 0.17 D  | 0.00             | Sale             |
| 06/15/2020  | 10.00    | 2,229.94         | 06/10/2020         | 2,360.17                 | 130.23 D  | 0.00             | Sale             |
| 06/17/2020  | 5.00     | 1,178.96         | 06/17/2020         | 1,242.46                 | 63.5 D  | 0.00             | Sale             |
| 06/18/2020  | 10.00    | 2,352.13         | Various            | 2,482.02                 | 65.75 D   | -64.14           | Sale             |
| 07/15/2020  | 5.00     | 1,200.52         | 07/06/2020         | 1,244.75                 | 0.00  | -44.23           | Sale             |
| 11/24/2020  | 5.00     | 1,371.45         | 11/24/2020         | 1,345.00                 | 0.00  | 26.45            | Sale             |
| <b>Security Totals:</b>   |          | <b>27,450.83</b> |                    | <b>27,290.15</b>         |   | <b>470.74</b>    |                  |
| CALL PFE 12/31/20 42 PFIZER INC   CUSIP:   Symbol: PFE201231C00042000                       |          |                  |                    |                          |   |                  |                  |
| 12/10/2020  | 1.00     | 231.90           | 12/09/2020         | 230.08                   | 0.00  | 1.82             | Sell to Close    |
| 12/31/2020  | 1.00     | 0.00             | 12/10/2020         | 268.08                   | 0.00  | -268.08          | Expiration       |
| <b>Security Totals:</b>   |          | <b>231.90</b>    |                    | <b>498.16</b>            |   | <b>-266.26</b>   |                  |
| CALL TSLA 10/02/20 600 TESLA INC ADJ 5:1 STOCK SPLIT   CUSIP:   Symbol: TSLA201002C00600000 |          |                  |                    |                          |   |                  |                  |
| 08/31/2020  | 1.00     | 2,619.84         | 08/31/2020         | 2,500.09                 | 0.00  | 119.75           | Sell to Close    |
| CALL FSLY 01/15/21 115 FASTLY INC CLASS A   CUSIP:   Symbol: FSLY210115C00115000            |          |                  |                    |                          |   |                  |                  |
| 08/06/2020  | 1.00     | 1,499.86         | 08/06/2020         | 1,500.09                 | 0.00  | -0.23            | Sell to Close    |
| MODERNA INC COMMON STOCK   CUSIP: 60770K107   Symbol: MRNA                                  |          |                  |                    |                          |   |                  |                  |
| 05/18/2020  | 25.00    | 2,088.69         | 05/14/2020         | 1,555.00                 | 0.00  | 533.69           | Sale             |
| 05/20/2020  | 25.00    | 1,807.37         | 05/20/2020         | 1,857.50                 | 50.13 D   | 0.00             | Sale             |
| 06/11/2020  | 100.00   | 6,359.84         | Various            | 6,082.07                 | 0.00  | 277.77           | Sale             |
| 06/12/2020  | 50.00    | 3,130.72         | 06/11/2020         | 3,034.50                 | 0.00  | 96.22            | Sale             |

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

**SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS**

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

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

**Box 5:** Box Not Checked (Covered Security)

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

**Box 12:** Basis Reported to the IRS

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

**1a - Description of property | CUSIP | Symbol**

| 1c - Date Sold or Disposed                                 | Quantity | 1d - Proceeds | 1b - Date Acquired | 1e - Cost or Other Basis | 1f - Accrued Market Discount (M) & 1g - Wash Sale Loss Disallowed (D) | Gain or Loss (-) | Additional Notes |
|--|----------|---------------|--------------------|--------------------------|---|------------------|------------------|
| MODERNA INC COMMON STOCK   CUSIP: 60770K107   Symbol: MRNA |          |               |                    |                          |   |                  |                  |
| 06/12/2020   | 50.00    | 3,151.49      | 06/12/2020         | 3,089.00                 | 0.00  | 62.49            | Sale             |
| 06/15/2020   | 25.00    | 1,649.95      | 06/12/2020         | 1,512.75                 | 0.00  | 137.20           | Sale             |
| 06/17/2020   | 50.00    | 3,189.91      | Various            | 3,187.10                 | 17.29 D   | 20.10            | Sale             |
| 06/17/2020   | 50.00    | 3,268.41      | Various            | 3,229.82                 | 0.00  | 38.59            | Sale             |
| 06/18/2020   | 50.00    | 3,229.91      | 06/18/2020         | 3,255.00                 | 25.09 D   | 0.00             | Sale             |
| 06/18/2020   | 50.00    | 3,239.91      | 06/18/2020         | 3,236.96                 | 0.00  | 2.95             | Sale             |
| 06/18/2020   | 75.00    | 4,862.13      | Various            | 4,780.09                 | 0.00  | 82.04            | Sale             |
| 06/22/2020   | 50.00    | 3,243.41      | Various            | 3,300.00                 | 56.59 D   | 0.00             | Sale             |
| 06/24/2020   | 100.00   | 6,359.14      | Various            | 6,340.68                 | 14 D  | 32.46            | Sale             |
| 06/25/2020   | 50.00    | 3,066.92      | Various            | 3,071.00                 | 9.04 D  | 4.96             | Sale             |
| 06/29/2020   | 100.00   | 6,114.21      | Various            | 6,096.54                 | 0.00  | 17.67            | Sale             |
| 06/30/2020   | 25.00    | 1,574.70      | 06/29/2020         | 1,552.50                 | 0.00  | 22.20            | Sale             |
| 07/01/2020   | 50.00    | 3,079.92      | 07/01/2020         | 3,125.00                 | 45.08 D   | 0.00             | Sale             |
| 07/02/2020   | 75.00    | 4,619.88      | Various            | 4,589.83                 | 20.08 D   | 50.13            | Sale             |
| 07/13/2020   | 50.00    | 3,521.92      | Various            | 3,572.61                 | 50.69 D   | 0.00             | Sale             |
| 07/14/2020   | 25.00    | 2,142.44      | Various            | 2,155.75                 | 16.80 D   | 3.49             | Sale             |
| 07/14/2020   | 75.00    | 6,393.59      | Various            | 6,451.09                 | 71.56 D   | 14.06            | Sale             |
| 07/14/2020   | 50.00    | 3,637.40      | Various            | 3,684.54                 | 47.14 D   | 0.00             | Sale             |
| 07/14/2020   | 20.00    | 1,789.95      | 07/14/2020         | 1,792.54                 | 2.59 D  | 0.00             | Sale             |
| 07/14/2020   | 50.00    | 3,742.40      | Various            | 3,786.64                 | 44.24 D   | 0.00             | Sale             |
| 07/14/2020   | 95.00    | 8,241.05      | Various            | 8,153.30                 | 1.47 D  | 89.22            | Sale             |
| 07/14/2020   | 100.00   | 8,569.80      | Various            | 8,541.56                 | 30.75 D   | 58.99            | Sale             |
| 07/15/2020   | 55.00    | 5,018.12      | Various            | 4,779.97                 | 0.00  | 238.15           | Sale             |
| 07/15/2020   | 150.00   | 13,255.18     | Various            | 13,452.10                | 225.45 D  | 28.53            | Sale             |
| 07/15/2020   | 100.00   | 8,889.79      | 07/15/2020         | 8,758.00                 | 0.00  | 131.79           | Sale             |
| 07/16/2020   | 25.00    | 2,084.20      | Various            | 2,281.35                 | 197.15 D  | 0.00             | Sale             |
| 07/16/2020   | 50.00    | 4,149.39      | Various            | 4,439.60                 | 290.21 D  | 0.00             | Sale             |

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

APEX CLEARING

## Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B\*

OMB No. 1545-0715

5MQ16480

(continued)

01/23/2021

## SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

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

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

## 1a - Description of property | CUSIP | Symbol

| 1c - Date Sold or Disposed  | Quantity  | 1d - Proceeds     | 1b - Date Acquired | 1e - Cost or Other Basis | 1f - Accrued Market Discount (M) & 1g - Wash Sale Loss Disallowed (D) | Gain or Loss (-) | Additional Notes |
|---|-----------|-------------------|--------------------|--------------------------|---|------------------|------------------|
| MODERNA INC COMMON STOCK   CUSIP: 60770K107   Symbol: MRNA                                  |           |                   |                    |                          |   |                  |                  |
| 07/17/2020  | 100.00    | 8,786.79          | Various            | 8,838.54                 | 104.35 D  | 52.60            | Sale             |
| 07/20/2020  | 50.00     | 4,867.38          | Various            | 4,964.67                 | 101.71 D  | 4.42             | Sale             |
| 07/20/2020  | 58.00     | 4,697.88          | Various            | 4,799.71                 | 0.00  | -101.83          | Sale             |
| <b>Security Totals:</b>   |           | <b>153,823.79</b> |                    | <b>153,347.31</b>        |   | <b>1,897.89</b>  |                  |
| ***TOP SHIPS INC COMMON STOCK   CUSIP: Y8897Y164   Symbol: TOPS                             |           |                   |                    |                          |   |                  |                  |
| 06/05/2020  | 10,000.00 | 2,265.75          | 06/05/2020         | 2,380.00                 | 0.00  | -114.25          | Sale             |
| ETSY INC COM   CUSIP: 29786A106   Symbol: ETSY  |           |                   |                    |                          |   |                  |                  |
| 09/08/2020  | 25.00     | 2,899.92          | 09/04/2020         | 2,937.00                 | 0.00  | -37.08           | Sale             |
| CALL NCLH 08/14/20 15 NORWEIGIAN CRUISE LINE HOLDING   CUSIP:   Symbol: NCLH200814C00015000 |           |                   |                    |                          |   |                  |                  |
| 08/10/2020  | 1.00      | 78.89             | 07/30/2020         | 67.09                    | 0.00  | 11.80            | Sell to Close    |
| 08/10/2020  | 1.00      | 77.89             | 07/30/2020         | 67.10                    | 0.00  | 10.79            | Sell to Close    |
| <b>Security Totals:</b>   |           | <b>156.78</b>     |                    | <b>134.19</b>            |   | <b>22.59</b>     |                  |
| CALL AAPL 12/04/20 120 APPLE INC   CUSIP:   Symbol: AAPL201204C00120000                     |           |                   |                    |                          |   |                  |                  |
| 11/30/2020  | 1.00      | 199.90            | 11/30/2020         | 154.26                   | 0.00  | 45.64            | Sell to Close    |
| 11/30/2020  | 1.00      | 203.90            | 11/30/2020         | 156.08                   | 0.00  | 47.82            | Sell to Close    |
| 11/30/2020  | 1.00      | 129.90            | 11/30/2020         | 156.08                   | 26.18 D   | 0.00             | Sell to Close    |
| <b>Security Totals:</b>   |           | <b>533.70</b>     |                    | <b>466.42</b>            |   | <b>93.46</b>     |                  |
| CALL PLTR 01/15/21 29 PALANTIR TECHNOLOGIES INC CL A   CUSIP:   Symbol: PLTR210115C00029000 |           |                   |                    |                          |   |                  |                  |
| 12/23/2020  | 1.00      | 289.91            | 12/23/2020         | 296.08                   | 0.00  | -6.17            | Sell to Close    |
| CALL VZ 01/15/21 60 VERIZON COMMUNICATIONS   CUSIP:   Symbol: VZ210115C00060000             |           |                   |                    |                          |   |                  |                  |
| 12/29/2020  | 1.00      | 35.90             | 12/28/2020         | 35.08                    | 0.00  | 0.82             | Sell to Close    |
| CALL AAPL 12/04/20 121 APPLE INC   CUSIP:   Symbol: AAPL201204C00121000                     |           |                   |                    |                          |   |                  |                  |
| 12/01/2020  | 1.00      | 144.90            | 11/30/2020         | 125.08                   | 0.00  | 19.82            | Sell to Close    |
| 12/01/2020  | 1.00      | 173.90            | 11/30/2020         | 125.08                   | 0.00  | 48.82            | Sell to Close    |
| <b>Security Totals:</b>   |           | <b>318.80</b>     |                    | <b>250.16</b>            |   | <b>68.64</b>     |                  |
| CALL CRM 10/02/20 250 SALESFORCE.COM INC   CUSIP:   Symbol: CRM201002C00250000              |           |                   |                    |                          |   |                  |                  |
| 09/14/2020  | 1.00      | 749.88            | 09/11/2020         | 680.09                   | 0.00  | 69.79            | Sell to Close    |
| CALL RUTH 02/19/21 10 RUTHS HOSPITALITY GROUP INC   CUSIP:   Symbol: RUTH210219C00010000    |           |                   |                    |                          |   |                  |                  |
| 07/27/2020  | 2.00      | 239.79            | Various            | 315.18                   | 50.19 D   | -25.20           | Sell to Close    |

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

APEX CLEARING

## Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B\*

OMB No. 1545-0715

5MQ16480

(continued)

01/23/2021

**SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS**

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

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

| 1c - Date Sold or Disposed   | Quantity | 1d - Proceeds   | 1b - Date Acquired | 1e - Cost or Other Basis | 1f - Accrued Market Discount (M) & 1g - Wash Sale Loss Disallowed (D) | Gain or Loss (-) | Additional Notes |
|--|----------|-----------------|--------------------|--------------------------|---|------------------|------------------|
| 09/04/2020   | 1.00     | 294.89          | 07/08/2020         | 175.28                   | 0.00  | 119.61           | Sell to Close    |
| <b>Security Totals:</b>  |          | <b>534.68</b>   |                    | <b>490.46</b>            |   | <b>94.41</b>     |                  |
| CALL MSFT 01/08/21 220 MICROSOFT CORP   CUSIP:   Symbol: MSFT210108C00220000                   |          |                 |                    |                          |   |                  |                  |
| 12/18/2020   | 1.00     | 499.89          | 12/18/2020         | 455.08                   | 0.00  | 44.81            | Sell to Close    |
| ***KINROSS GOLD CORP   CUSIP: 496902404   Symbol: KGC  |          |                 |                    |                          |   |                  |                  |
| 05/13/2020   | 150.00   | 1,064.95        | 05/05/2020         | 1,012.50                 | 0.00  | 52.45            | Sale             |
| 05/21/2020   | 200.00   | 1,422.02        | Various            | 1,407.00                 | 0.00  | 15.02            | Sale             |
| 06/15/2020   | 199.00   | 1,220.08        | 06/15/2020         | 1,228.14                 | 4.05 D  | -4.01            | Sale             |
| 06/15/2020   | 1.00     | 6.50            | 06/15/2020         | 6.17                     | 0.00  | 0.33             | Sale             |
| 06/15/2020   | 300.00   | 1,847.91        | 06/15/2020         | 1,851.47                 | 3.56 D  | 0.00             | Sale             |
| 06/17/2020   | 200.00   | 1,268.21        | Various            | 1,274.98                 | 0.00  | -6.77            | Sale             |
| 06/17/2020   | 200.00   | 1,267.95        | 06/17/2020         | 1,272.37                 | 0.00  | -4.42            | Sale             |
| <b>Security Totals:</b>  |          | <b>8,097.62</b> |                    | <b>8,052.63</b>          |   | <b>52.60</b>     |                  |
| NOVAVAX INC COMMON STOCK   CUSIP: 670002401   Symbol: NVAX                                     |          |                 |                    |                          |   |                  |                  |
| 05/26/2020   | 50.00    | 2,787.42        | 05/26/2020         | 2,796.75                 | 9.33 D  | 0.00             | Sale             |
| 05/26/2020   | 70.00    | 3,813.90        | Various            | 3,807.48                 | 0.00  | 6.42             | Sale             |
| <b>Security Totals:</b>  |          | <b>6,601.32</b> |                    | <b>6,604.23</b>          |   | <b>6.42</b>      |                  |
| CALL NIO 01/15/21 50 NIO INC ADS   CUSIP:   Symbol: NIO210115C00050000                         |          |                 |                    |                          |   |                  |                  |
| 12/31/2020   | 1.00     | 451.90          | 12/31/2020         | 450.08                   | 0.00  | 1.82             | Sell to Close    |
| 12/31/2020   | 1.00     | 454.89          | 12/30/2020         | 360.08                   | 0.00  | 94.81            | Sell to Close    |
| <b>Security Totals:</b>  |          | <b>906.79</b>   |                    | <b>810.16</b>            |   | <b>96.63</b>     |                  |
| PUT AAPL 12/31/20 127 APPLE INC   CUSIP:   Symbol: AAPL201231P00127000                         |          |                 |                    |                          |   |                  |                  |
| 12/18/2020   | 1.00     | 309.90          | 12/18/2020         | 314.08                   | 0.00  | -4.18            | Sell to Close    |
| CALL AAPL 12/31/20 127 APPLE INC   CUSIP:   Symbol: AAPL201231C00127000                        |          |                 |                    |                          |   |                  |                  |
| 12/21/2020   | 1.00     | 299.90          | 12/18/2020         | 287.08                   | 0.00  | 12.82            | Sell to Close    |
| CALL NCLH 01/15/21 27.50 NORWEIGIAN CRUISE LINE HOLDING   CUSIP:   Symbol: NCLH210115C00027500 |          |                 |                    |                          |   |                  |                  |
| 12/03/2020   | 1.00     | 186.90          | 07/08/2020         | 170.09                   | 0.00  | 16.81            | Sell to Close    |
| CALL ETSY 12/11/20 162.50 ETSY INC   CUSIP:   Symbol: ETSY201211C00162500                      |          |                 |                    |                          |   |                  |                  |
| 11/30/2020   | 1.00     | 560.89          | 11/30/2020         | 560.08                   | 0.00  | 0.81             | Sell to Close    |

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



APEX CLEARING

## Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B\*

OMB No. 1545-0715

5MQ16480

(continued)

01/23/2021

**SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS**

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

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

| 1c - Date Sold or Disposed  | Quantity | 1d - Proceeds    | 1b - Date Acquired | 1e - Cost or Other Basis | 1f - Accrued Market Discount (M) & 1g - Wash Sale Loss Disallowed (D) | Gain or Loss (-) | Additional Notes |
|---|----------|------------------|--------------------|--------------------------|---|------------------|------------------|
| ***OZON HOLDINGS PLC AMERICAN DEPOSITARY SHARES ECH ADS REPSTG ONE ORDINARY SHARE   CUSIP: 69269L104   Symbol: OZON |          |                  |                    |                          |   |                  |                  |
| 11/24/2020  | 50.00    | 2,018.94         | 11/24/2020         | 2,058.93                 | 39.99 D   | 0.00             | Sale             |
| 11/25/2020  | 50.00    | 2,029.94         | Various            | 2,077.74                 | 0.00  | -47.80           | Sale             |
| <b>Security Totals:</b>   |          | <b>4,048.88</b>  |                    | <b>4,136.67</b>          |   | <b>-47.80</b>    |                  |
| CALL NIO 01/15/21 47 NIO INC ADS   CUSIP:   Symbol: NIO210115C00047000  |          |                  |                    |                          |   |                  |                  |
| 12/30/2020  | 1.00     | 444.90           | 12/30/2020         | 413.08                   | 0.00  | 31.82            | Sell to Close    |
| CALL AAPL 12/31/20 124 APPLE INC   CUSIP:   Symbol: AAPL201231C00124000   |          |                  |                    |                          |   |                  |                  |
| 12/09/2020  | 1.00     | 339.90           | 12/09/2020         | 350.08                   | 10.18 D   | 0.00             | Sell to Close    |
| 12/09/2020  | 1.00     | 291.90           | 12/09/2020         | 300.26                   | 0.00  | -8.36            | Sell to Close    |
| <b>Security Totals:</b>   |          | <b>631.80</b>    |                    | <b>650.34</b>            |   | <b>-8.36</b>     |                  |
| CALL PFE 12/24/20 42 PFIZER INC   CUSIP:   Symbol: PFE201224C00042000   |          |                  |                    |                          |   |                  |                  |
| 12/09/2020  | 1.00     | 233.90           | 12/09/2020         | 190.08                   | 0.00  | 43.82            | Sell to Close    |
| 12/09/2020  | 1.00     | 228.90           | 12/09/2020         | 190.08                   | 0.00  | 38.82            | Sell to Close    |
| <b>Security Totals:</b>   |          | <b>462.80</b>    |                    | <b>380.16</b>            |   | <b>82.64</b>     |                  |
| ***AGORA INC AMERICAN DEPOSITARY SHARES   CUSIP: 00851L103   Symbol: API  |          |                  |                    |                          |   |                  |                  |
| 06/26/2020  | 50.00    | 2,480.93         | 06/26/2020         | 2,480.00                 | 0.00  | 0.93             | Sale             |
| 06/26/2020  | 100.00   | 5,127.87         | 06/26/2020         | 5,000.00                 | 0.00  | 127.87           | Sale             |
| 06/29/2020  | 50.00    | 2,575.93         | 06/26/2020         | 2,505.00                 | 0.00  | 70.93            | Sale             |
| 06/30/2020  | 57.00    | 2,735.92         | 06/29/2020         | 2,679.00                 | 0.00  | 56.92            | Sale             |
| <b>Security Totals:</b>   |          | <b>12,920.65</b> |                    | <b>12,664.00</b>         |   | <b>256.65</b>    |                  |
| PUT GME 12/11/20 16.50 GAMESTOP CORP   CUSIP:   Symbol: GME201211P00016500  |          |                  |                    |                          |   |                  |                  |
| 12/09/2020  | 1.00     | 289.90           | 12/07/2020         | 185.08                   | 0.00  | 104.82           | Sell to Close    |
| CALL AAPL 12/31/20 125 APPLE INC   CUSIP:   Symbol: AAPL201231C00125000   |          |                  |                    |                          |   |                  |                  |
| 12/07/2020  | 1.00     | 359.90           | 12/04/2020         | 260.08                   | 0.00  | 99.82            | Sell to Close    |
| PUT FDX 12/31/20 260 FEDEX CORP   CUSIP:   Symbol: FDX201231P00260000   |          |                  |                    |                          |   |                  |                  |
| 12/29/2020  | 1.00     | 131.90           | 12/29/2020         | 135.08                   | 0.00  | -3.18            | Sell to Close    |
| CALL AAPL 01/08/21 130 APPLE INC   CUSIP:   Symbol: AAPL210108C00130000   |          |                  |                    |                          |   |                  |                  |
| 12/16/2020  | 1.00     | 334.90           | 12/16/2020         | 300.08                   | 0.00  | 34.82            | Sell to Close    |
| 12/22/2020  | 1.00     | 479.89           | 12/17/2020         | 350.08                   | 0.00  | 129.81           | Sell to Close    |
| <b>Security Totals:</b>   |          | <b>814.79</b>    |                    | <b>650.16</b>            |   | <b>164.63</b>    |                  |

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

APEX CLEARING

## Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B\*

OMB No. 1545-0715

5MQ16480

(continued)

01/23/2021

## SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

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

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

## 1a - Description of property | CUSIP | Symbol

| 1c - Date Sold or Disposed | Quantity | 1d - Proceeds  | 1b - Date Acquired | 1e - Cost or Other Basis | 1f - Accrued Market Discount (M) & 1g - Wash Sale Loss Disallowed (D) | Gain or Loss (-) | Additional Notes |
|----------------------------|----------|--|--------------------|--------------------------|---|------------------|------------------|
| CALL TDOC 09/18/20         | 250      | TELADOC HEALTH INC   CUSIP:   Symbol: TDOC200918C00250000                                  |                    |                          |   |                  |                  |
| 08/06/2020                 | 1.00     | 929.87   | 08/05/2020         | 780.09                   | 0.00  | 149.78           | Sell to Close    |
| ***SPOTIFY TECHNOLOGY S A  |          | SHS SPOTIFY TECH SA ORD REG   CUSIP: L8681T102   Symbol: SPOT                              |                    |                          |   |                  |                  |
| 07/16/2020                 | 5.00     | 1,338.96   | 07/08/2020         | 1,349.85                 | 0.00  | -10.89           | Sale             |
| PUT ZM 12/18/20            | 380      | ZOOM VIDEO COMMUNICATIONS INC   CUSIP:   Symbol: ZM201218P00380000                         |                    |                          |   |                  |                  |
| 12/18/2020                 | 1.00     | 0.00   | 12/14/2020         | 360.08                   | 0.00  | -360.08          | Expiration       |
| CALL TWTR 07/17/20         | 35       | TWITTER INC   CUSIP:   Symbol: TWTR200717C00035000   |                    |                          |   |                  |                  |
| 07/10/2020                 | 1.00     | 129.89   | 07/09/2020         | 141.09                   | 0.00  | -11.20           | Sell to Close    |
| CALL AMC 01/15/21          | 3.45     | AMC ENTERTAINMENT HOLDINGS INC ADJ CASH DISTRIBUTION   CUSIP:   Symbol: AMC210115C00003450 |                    |                          |   |                  |                  |
| 09/02/2020                 | 1.00     | 339.89   | 07/08/2020         | 148.09                   | 0.00  | 191.80           | Sell to Close    |
| CALL MRNA 07/02/20         | 63       | MODERNA INC   CUSIP:   Symbol: MRNA200702C00063000   |                    |                          |   |                  |                  |
| 06/24/2020                 | 1.00     | 459.88   | 06/24/2020         | 470.09                   | 10.21 D   | 0.00             | Sell to Close    |
| 06/25/2020                 | 1.00     | 319.89   | 06/24/2020         | 460.30                   | 0.00  | -140.41          | Sell to Close    |
| <b>Security Totals:</b>    |          | <b>779.77</b>  |                    | <b>930.39</b>            |   | <b>-140.41</b>   |                  |
| PUT BIDU 12/31/20          | 210      | BAIDU INC   CUSIP:   Symbol: BIDU201231P00210000   |                    |                          |   |                  |                  |
| 12/30/2020                 | 1.00     | 149.90   | 12/30/2020         | 163.08                   | 0.00  | -13.18           | Sell to Close    |
| AIRBNB INC                 |          | CLASS A COMMON STOCK   CUSIP: 009066101   Symbol: ABNB                                     |                    |                          |   |                  |                  |
| 12/11/2020                 | 3.00     | 421.57   | 12/11/2020         | 422.73                   | 1.16 D  | 0.00             | Sale             |
| 12/11/2020                 | 20.00    | 2,977.92   | Various            | 2,891.42                 | 0.00  | 86.50            | Sale             |
| 12/16/2020                 | 20.00    | 2,674.93   | Various            | 2,816.93                 | 142.00 D  | 0.00             | Sale             |
| 12/16/2020                 | 25.00    | 3,422.05   | Various            | 3,459.48                 | 0.00  | -37.43           | Sale             |
| <b>Security Totals:</b>    |          | <b>9,496.47</b>  |                    | <b>9,590.56</b>          |   | <b>49.07</b>     |                  |
| CALL WORK 01/08/21         | 35       | SLACK TECHNOLOGIES INC CL A   CUSIP:   Symbol: WORK210108C00035000                         |                    |                          |   |                  |                  |
| 11/25/2020                 | 1.00     | 699.89   | 11/25/2020         | 595.26                   | 0.00  | 104.63           | Sell to Close    |
| 11/25/2020                 | 1.00     | 399.90   | 11/25/2020         | 600.08                   | 200.18 D  | 0.00             | Sell to Close    |
| <b>Security Totals:</b>    |          | <b>1,099.79</b>  |                    | <b>1,195.34</b>          |   | <b>104.63</b>    |                  |
| BIOCEPT INC                |          | COMMON STOCK   CUSIP: 09072V402   Symbol: BIOC   |                    |                          |   |                  |                  |
| 06/18/2020                 | 1,000.00 | 800.10   | Various            | 822.68                   | 0.00  | -22.58           | Sale             |
| 06/18/2020                 | 1,000.00 | 729.46   | Various            | 750.03                   | 20.57 D   | 0.00             | Sale             |
| 06/18/2020                 | 1,026.00 | 766.18   | Various            | 780.49                   | 14.31 D   | 0.00             | Sale             |

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

APEX CLEARING

## Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B\*

OMB No. 1545-0715

5MQ16480

(continued)

01/23/2021

**SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS**

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

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

| <b>1c - Date Sold or Disposed</b>   | <b>Quantity</b> | <b>1d - Proceeds</b> | <b>1b - Date Acquired</b> | <b>1e - Cost or Other Basis</b> | <b>1f - Accrued Market Discount (M) &amp; 1g - Wash Sale Loss Disallowed (D)</b> | <b>Gain or Loss (-)</b> | <b>Additional Notes</b> |
|---|-----------------|----------------------|---------------------------|---------------------------------|--|-------------------------|-------------------------|
| BIOCEPT INC COMMON STOCK   CUSIP: 09072V402   Symbol: BIOC                                  |                 |                      |                           |                                 |  |                         |                         |
| 06/18/2020  | 2,024.00        | 1,513.14             | Various                   | 1,473.00                        | 1.26 D   | 41.40                   | Sale                    |
| 07/13/2020  | 500.00          | 350.43               | 07/08/2020                | 391.29                          | 0.00   | -40.86                  | Sale                    |
| <b>Security Totals:</b>   |                 | <b>4,159.31</b>      |                           | <b>4,217.49</b>                 |  | <b>-22.04</b>           |                         |
| CALL M 07/24/20 7.50 MACYS INC   CUSIP:   Symbol: M200724C00007500                          |                 |                      |                           |                                 |  |                         |                         |
| 07/15/2020  | 1.00            | 25.89                | 07/07/2020                | 35.09                           | 0.00   | -9.20                   | Sell to Close           |
| CALL BABA 03/19/21 235 ALIBABA GROUP HOLDING LIMITED   CUSIP:   Symbol: BABA210319C00235000 |                 |                      |                           |                                 |  |                         |                         |
| 12/31/2020  | 1.00            | 1,583.87             | 12/31/2020                | 1,575.08                        | 0.00   | 8.79                    | Sell to Close           |
| SIX FLAGS ENTERTAINMENT CORPORATION NEW   CUSIP: 83001A102   Symbol: SIX                    |                 |                      |                           |                                 |  |                         |                         |
| 06/02/2020  | 75.00           | 1,751.20             | 06/02/2020                | 1,747.50                        | 0.00   | 3.70                    | Sale                    |
| CALL CAT 12/31/20 182.50 CATERPILLAR INC   CUSIP:   Symbol: CAT201231C00182500              |                 |                      |                           |                                 |  |                         |                         |
| 12/30/2020  | 1.00            | 46.90                | 12/30/2020                | 60.08                           | 0.00   | -13.18                  | Sell to Close           |
| ***ROYALTY PHARMA PLC CLASS A ORDINARY SHARES   CUSIP: G7709Q104   Symbol: RPRX             |                 |                      |                           |                                 |  |                         |                         |
| 06/16/2020  | 50.00           | 2,212.44             | 06/16/2020                | 2,234.06                        | 0.00   | -21.62                  | Sale                    |
| 06/16/2020  | 100.00          | 4,431.89             | 06/16/2020                | 4,475.00                        | 21.56 D  | -21.55                  | Sale                    |
| <b>Security Totals:</b>   |                 | <b>6,644.33</b>      |                           | <b>6,709.06</b>                 |  | <b>-43.17</b>           |                         |
| SINTX TECHNOLOGIES INC COMMON STOCK   CUSIP: 829392307   Symbol: SINT                       |                 |                      |                           |                                 |  |                         |                         |
| 06/18/2020  | 1,000.00        | 749.86               | 06/18/2020                | 754.80                          | 4.94 D   | 0.00                    | Sale                    |
| 06/19/2020  | 500.00          | 399.93               | 06/18/2020                | 378.67                          | 0.00   | 21.26                   | Sale                    |
| 06/22/2020  | 35.00           | 113.73               | 06/22/2020                | 96.25                           | 0.00   | 17.48                   | Sale                    |
| 06/22/2020  | 965.00          | 2,701.83             | 06/22/2020                | 2,653.75                        | 0.00   | 48.08                   | Sale                    |
| 06/22/2020  | 500.00          | 1,264.91             | 06/22/2020                | 1,295.00                        | 0.00   | -30.09                  | Sale                    |
| 06/22/2020  | 500.00          | 1,374.90             | 06/18/2020                | 378.67                          | 0.00   | 996.23                  | Sale                    |
| <b>Security Totals:</b>   |                 | <b>6,605.16</b>      |                           | <b>5,557.14</b>                 |  | <b>1,052.96</b>         |                         |
| CALL TSLA 09/04/20 600 TESLA INC ADJ 5:1 STOCK SPLIT   CUSIP:   Symbol: TSLA200904C00600000 |                 |                      |                           |                                 |  |                         |                         |
| 08/31/2020  | 1.00            | 189.89               | 08/26/2020                | 104.02                          | 0.00   | 85.87                   | Sell to Close           |
| 08/31/2020  | 1.00            | 164.89               | 08/26/2020                | 104.02                          | 0.00   | 60.87                   | Sell to Close           |
| 08/31/2020  | 1.00            | 189.89               | 08/26/2020                | 104.01                          | 0.00   | 85.88                   | Sell to Close           |
| 08/31/2020  | 2.00            | 382.80               | 08/26/2020                | 208.04                          | 0.00   | 174.76                  | Sell to Close           |
| <b>Security Totals:</b>   |                 | <b>927.47</b>        |                           | <b>520.09</b>                   |  | <b>407.38</b>           |                         |

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

APEX CLEARING

## Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B\*

OMB No. 1545-0715

5MQ16480

(continued)

01/23/2021

**SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS**

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

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

| <b>1c - Date Sold or Disposed</b>  | <b>Quantity</b> | <b>1d - Proceeds</b> | <b>1b - Date Acquired</b> | <b>1e - Cost or Other Basis</b> | <b>1f - Accrued Market Discount (M) &amp; 1g - Wash Sale Loss Disallowed (D)</b> | <b>Gain or Loss (-)</b> | <b>Additional Notes</b> |
|--|-----------------|----------------------|---------------------------|---------------------------------|--|-------------------------|-------------------------|
| CALL NIO 12/31/20 47.50 NIO INC ADS   CUSIP:   Symbol: NIO201231C00047500        |                 |                      |                           |                                 |  |                         |                         |
| 12/30/2020   | 1.00            | 104.90               | 12/30/2020                | 70.08                           | 0.00   | 34.82                   | Sell to Close           |
| 12/30/2020   | 1.00            | 88.90                | 12/30/2020                | 70.08                           | 0.00   | 18.82                   | Sell to Close           |
| <b>Security Totals:</b>  |                 | <b>193.80</b>        |                           | <b>140.16</b>                   |  | <b>53.64</b>            |                         |
| NVIDIA CORP   CUSIP: 67066G104   Symbol: NVDA                                    |                 |                      |                           |                                 |  |                         |                         |
| 05/21/2020   | 5.00            | 1,740.70             | 05/21/2020                | 1,764.64                        | 0.00   | -23.94                  | Sale                    |
| 05/21/2020   | 10.00           | 3,484.91             | Various                   | 3,540.62                        | 55.71 D  | 0.00                    | Sale                    |
| 05/21/2020   | 10.00           | 3,554.11             | Various                   | 3,545.06                        | 7.83 D   | 16.88                   | Sale                    |
| 05/21/2020   | 20.00           | 6,971.83             | Various                   | 7,054.43                        | 82.60 D  | 0.00                    | Sale                    |
| 05/22/2020   | 10.00           | 3,627.20             | Various                   | 3,529.16                        | 0.00   | 98.04                   | Sale                    |
| 05/27/2020   | 5.00            | 1,701.35             | 05/27/2020                | 1,730.74                        | 0.00   | -29.39                  | Sale                    |
| 07/16/2020   | 5.00            | 2,014.94             | 07/06/2020                | 1,961.75                        | 0.00   | 53.19                   | Sale                    |
| <b>Security Totals:</b>  |                 | <b>23,095.04</b>     |                           | <b>23,126.40</b>                |  | <b>114.78</b>           |                         |
| CALL RCL 01/15/21 70 ROYAL CARIBBEAN GROUP   CUSIP:   Symbol: RCL210115C00070000 |                 |                      |                           |                                 |  |                         |                         |
| 07/14/2020   | 1.00            | 559.88               | 07/14/2020                | 565.09                          | 0.00   | -5.21                   | Sell to Close           |
| OCCIDENTAL PETE CORP   CUSIP: 674599105   Symbol: OXY                            |                 |                      |                           |                                 |  |                         |                         |
| 06/10/2020   | 50.00           | 992.81               | 06/10/2020                | 1,080.92                        | 0.00   | -88.11                  | Sale                    |
| CALL LUV 01/15/21 45 SOUTHWEST AIRLINES CO   CUSIP:   Symbol: LUV210115C00045000 |                 |                      |                           |                                 |  |                         |                         |
| 08/27/2020   | 1.00            | 264.89               | 07/27/2020                | 140.09                          | 0.00   | 124.80                  | Sell to Close           |
| 08/27/2020   | 2.00            | 519.79               | Various                   | 385.18                          | 0.00   | 134.61                  | Sell to Close           |
| 09/04/2020   | 1.00            | 369.89               | 07/31/2020                | 109.09                          | 0.00   | 260.80                  | Sell to Close           |
| <b>Security Totals:</b>  |                 | <b>1,154.57</b>      |                           | <b>634.36</b>                   |  | <b>520.21</b>           |                         |
| CALL BYND 01/15/21 165 BEYOND MEAT INC   CUSIP:   Symbol: BYND210115C00165000    |                 |                      |                           |                                 |  |                         |                         |
| 08/27/2020   | 1.00            | 1,339.87             | 08/25/2020                | 710.09                          | 0.00   | 629.78                  | Sell to Close           |
| 08/27/2020   | 3.00            | 3,269.64             | Various                   | 3,260.27                        | 210.21 D   | 219.58                  | Sell to Close           |
| 08/27/2020   | 1.00            | 1,169.87             | 08/17/2020                | 1,010.30                        | 0.00   | 159.57                  | Sell to Close           |
| 08/27/2020   | 1.00            | 1,159.87             | 08/18/2020                | 750.09                          | 0.00   | 409.78                  | Sell to Close           |
| <b>Security Totals:</b>  |                 | <b>6,939.25</b>      |                           | <b>5,730.75</b>                 |  | <b>1,418.71</b>         |                         |

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

APEX CLEARING

## Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B\*

OMB No. 1545-0715

5MQ16480

(continued)

01/23/2021

**SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS**

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

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

| 1c - Date Sold or Disposed | Quantity | 1d - Proceeds   | 1b - Date Acquired | 1e - Cost or Other Basis | 1f - Accrued Market Discount (M) & 1g - Wash Sale Loss Disallowed (D) | Gain or Loss (-) | Additional Notes |
|----------------------------|----------|---|--------------------|--------------------------|---|------------------|------------------|
| CALL AAL 08/21/20          | 15       | AMERICAN AIRLINES GROUP INC   CUSIP:   Symbol: AAL200821C00015000 |                    |                          |   |                  |                  |
| 08/10/2020                 | 1.00     | 56.89   | 08/10/2020         | 40.09                    | 0.00  | 16.80            | Sell to Close    |
| 08/11/2020                 | 1.00     | 52.89   | 08/10/2020         | 40.09                    | 0.00  | 12.80            | Sell to Close    |
| <b>Security Totals:</b>    |          | <b>109.78</b>   |                    | <b>80.18</b>             |   | <b>29.60</b>     |                  |
| CALL TLRV 07/17/20         | 7.50     | TILRAY INC   CUSIP:   Symbol: TLRV200717C00007500                 |                    |                          |   |                  |                  |
| 07/06/2020                 | 1.00     | 49.89   | 07/06/2020         | 50.09                    | 0.00  | -0.20            | Sell to Close    |
| CALL DOCU 12/04/20         | 220      | DOCUSIGN INC   CUSIP:   Symbol: DOCU201204C00220000               |                    |                          |   |                  |                  |
| 12/01/2020                 | 1.00     | 834.89  | 12/01/2020         | 800.08                   | 0.00  | 34.81            | Sell to Close    |
| CALL GOLD 01/15/21         | 32       | BARRICK GOLD CORPORATION   CUSIP:   Symbol: GOLD210115C00032000   |                    |                          |   |                  |                  |
| 08/17/2020                 | 2.00     | 539.79  | Various            | 435.18                   | 0.00  | 104.61           | Sell to Close    |
| 08/31/2020                 | 1.00     | 259.89  | 08/12/2020         | 150.09                   | 0.00  | 109.80           | Sell to Close    |
| 09/04/2020                 | 1.00     | 234.89  | 08/25/2020         | 190.09                   | 0.00  | 44.80            | Sell to Close    |
| 09/09/2020                 | 2.00     | 519.79  | 09/04/2020         | 400.18                   | 0.00  | 119.61           | Sell to Close    |
| 09/11/2020                 | 1.00     | 224.89  | 09/08/2020         | 200.09                   | 0.00  | 24.80            | Sell to Close    |
| 12/01/2020                 | 1.00     | 7.90  | 09/08/2020         | 200.09                   | 0.00  | -192.19          | Sell to Close    |
| <b>Security Totals:</b>    |          | <b>1,787.15</b>   |                    | <b>1,575.72</b>          |   | <b>211.43</b>    |                  |
| INPIXON                    |          | COMMON STOCK   CUSIP: 45790J800   Symbol: INPX                    |                    |                          |   |                  |                  |
| 06/09/2020                 | 1,000.00 | 1,851.23  | Various            | 1,937.12                 | 85.89 D   | 0.00             | Sale             |
| 06/09/2020                 | 1,000.00 | 1,849.83  | Various            | 1,955.89                 | 46.48 D   | -59.58           | Sale             |
| 06/10/2020                 | 600.00   | 1,172.90  | Various            | 1,216.48                 | 0.00  | -43.58           | Sale             |
| <b>Security Totals:</b>    |          | <b>4,873.96</b>   |                    | <b>5,109.49</b>          |   | <b>-103.16</b>   |                  |
| CALL CODX 07/02/20         | 19.50    | CO DIAGNOSTICS INC   CUSIP:   Symbol: CODX200702C00019500         |                    |                          |   |                  |                  |
| 06/29/2020                 | 1.00     | 54.89   | 06/25/2020         | 150.09                   | 0.00  | -95.20           | Sell to Close    |
| PUT NIO 12/31/20           | 45       | NIO INC ADS   CUSIP:   Symbol: NIO201231P00045000                 |                    |                          |   |                  |                  |
| 12/28/2020                 | 1.00     | 214.90  | 12/28/2020         | 145.08                   | 0.00  | 69.82            | Sell to Close    |
| CALL AAPL 12/31/20         | 140      | APPLE INC   CUSIP:   Symbol: AAPL201231C00140000                  |                    |                          |   |                  |                  |
| 12/29/2020                 | 1.00     | 99.90   | 12/28/2020         | 75.08                    | 0.00  | 24.82            | Sell to Close    |
| CALL AAPL 12/24/20         | 125      | APPLE INC   CUSIP:   Symbol: AAPL201224C00125000                  |                    |                          |   |                  |                  |
| 12/09/2020                 | 1.00     | 324.90  | 12/07/2020         | 290.08                   | 0.00  | 34.82            | Sell to Close    |

APEX CLEARING

## Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B\*

OMB No. 1545-0715

5MQ16480

(continued)

01/23/2021

**SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS**

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

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

| 1c - Date Sold or Disposed  | Quantity | 1d - Proceeds | 1b - Date Acquired | 1e - Cost or Other Basis | 1f - Accrued Market Discount (M) & 1g - Wash Sale Loss Disallowed (D) | Gain or Loss (-) | Additional Notes |
|---|----------|---------------|--------------------|--------------------------|---|------------------|------------------|
| ***SILVERCORP METALS INC   CUSIP: 82835P103   Symbol: SVM                               |          |               |                    |                          |   |                  |                  |
| 05/28/2020  | 600.00   | 2,513.87      | Various            | 2,510.22                 | 0.00  | 3.65             | Sale             |
| CALL SPY 12/30/20 372 STANDARD & POORS DEPOSITORY   CUSIP:   Symbol: SPY201230C00372000 |          |               |                    |                          |   |                  |                  |
| 12/30/2020  | 1.00     | 110.90        | 12/29/2020         | 96.08                    | 0.00  | 14.82            | Sell to Close    |
| CALL AAPL 12/31/20 135 APPLE INC   CUSIP:   Symbol: AAPL201231C00135000                 |          |               |                    |                          |   |                  |                  |
| 12/30/2020  | 1.00     | 83.90         | 12/30/2020         | 80.08                    | 0.00  | 3.82             | Sell to Close    |
| APPLE INC   CUSIP: 037833100   Symbol: AAPL   |          |               |                    |                          |   |                  |                  |
| 04/30/2020  | 3.00     | 868.62        | 04/22/2020         | 821.31                   | 0.00  | 47.31            | Sale             |
| 05/19/2020  | 8.00     | 2,539.85      | Various            | 2,422.25                 | 0.00  | 117.60           | Sale             |
| 05/21/2020  | 10.00    | 3,183.71      | 05/19/2020         | 3,131.40                 | 0.00  | 52.31            | Sale             |
| 05/22/2020  | 7.00     | 2,224.13      | 05/21/2020         | 2,223.48                 | 0.00  | 0.65             | Sale             |
| 05/28/2020  | 15.00    | 4,840.08      | Various            | 4,776.55                 | 5.34 D  | 68.87            | Sale             |
| 06/02/2020  | 10.00    | 3,223.61      | Various            | 3,193.34                 | 0.00  | 30.27            | Sale             |
| 06/10/2020  | 10.00    | 3,491.41      | 06/09/2020         | 3,439.00                 | 0.00  | 52.41            | Sale             |
| 06/15/2020  | 15.00    | 4,954.68      | Various            | 5,206.15                 | 251.47 D  | 0.00             | Sale             |
| 06/17/2020  | 5.00     | 1,758.90      | 06/17/2020         | 1,864.49                 | 105.59 D  | 0.00             | Sale             |
| 06/19/2020  | 2.00     | 696.09        | 06/19/2020         | 736.95                   | 40.86 D   | 0.00             | Sale             |
| 06/19/2020  | 3.00     | 1,044.16      | 06/19/2020         | 1,105.43                 | 61.27 D   | 0.00             | Sale             |
| 06/29/2020  | 10.00    | 3,548.21      | Various            | 3,774.38                 | 145.63 D  | -80.54           | Sale             |
| 07/16/2020  | 10.00    | 3,843.90      | Various            | 3,949.66                 | 0.00  | -105.76          | Sale             |
| 08/24/2020  | 4.00     | 2,005.67      | 08/24/2020         | 2,024.00                 | 18.33 D   | 0.00             | Sale             |
| 08/31/2020  | 25.00    | 3,139.92      | Various            | 3,159.84                 | 19.92 D   | 0.00             | Sale             |
| 08/31/2020  | 40.00    | 5,039.87      | Various            | 5,039.93                 | 9.21 D  | 9.15             | Sale             |
| 08/31/2020  | 42.00    | 5,265.41      | 08/31/2020         | 5,292.00                 | 26.59 D   | 0.00             | Sale             |
| 09/02/2020  | 50.00    | 6,848.83      | Various            | 6,883.25                 | 3.88 D  | -30.54           | Sale             |
| 09/08/2020  | 10.00    | 1,159.96      | Various            | 1,208.06                 | 0.00  | -48.10           | Sale             |
| 09/11/2020  | 10.00    | 1,139.96      | Various            | 1,136.95                 | 0.00  | 3.01             | Sale             |
| 11/30/2020  | 9.00     | 1,067.54      | 11/09/2020         | 1,093.95                 | 26.41 D   | 0.00             | Sale             |

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

APEX CLEARING

## Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B\*

OMB No. 1545-0715

5MQ16480

(continued)

01/23/2021

**SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS**

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

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

| 1c - Date Sold or Disposed  | Quantity | 1d - Proceeds    | 1b - Date Acquired | 1e - Cost or Other Basis | 1f - Accrued Market Discount (M) & 1g - Wash Sale Loss Disallowed (D) | Gain or Loss (-) | Additional Notes |
|---|----------|------------------|--------------------|--------------------------|---|------------------|------------------|
| 12/21/2020  | 25.00    | 3,297.41         | Various            | 3,322.66                 | 0.00  | -25.25           | Sale             |
| <b>Security Totals:</b>   |          | <b>65,181.92</b> |                    | <b>65,805.03</b>         |   | <b>91.39</b>     |                  |
| PUT TGT 06/05/20 118 TARGET CORP   CUSIP:   Symbol: TGT200605P00118000                  |          |                  |                    |                          |   |                  |                  |
| 06/05/2020  | 1.00     | 0.00             | 06/01/2020         | 172.09                   | 0.00  | -172.09          | Expiration       |
| PUT BA 08/07/20 165 BOEING CO   CUSIP:   Symbol: BA200807P00165000                      |          |                  |                    |                          |   |                  |                  |
| 08/07/2020  | 2.00     | 0.00             | Various            | 116.18                   | 0.00  | -116.18          | Expiration       |
| AUTOWEB INC COMMON STOCK   CUSIP: 05335B100   Symbol: AUTO                              |          |                  |                    |                          |   |                  |                  |
| 06/18/2020  | 480.00   | 722.42           | 06/18/2020         | 552.00                   | 0.00  | 170.42           | Sale             |
| 06/18/2020  | 500.00   | 799.92           | 06/18/2020         | 825.00                   | 25.08 D   | 0.00             | Sale             |
| 06/18/2020  | 20.00    | 31.98            | 06/18/2020         | 23.00                    | 0.00  | 8.98             | Sale             |
| 06/18/2020  | 500.00   | 794.92           | 06/18/2020         | 810.08                   | 15.16 D   | 0.00             | Sale             |
| 06/18/2020  | 1,000.00 | 1,569.84         | Various            | 1,525.16                 | 0.00  | 44.68            | Sale             |
| 06/19/2020  | 1,000.00 | 1,499.84         | Various            | 1,460.00                 | 0.00  | 39.84            | Sale             |
| <b>Security Totals:</b>   |          | <b>5,418.92</b>  |                    | <b>5,195.24</b>          |   | <b>263.92</b>    |                  |
| CALL KGC 02/19/21 15 KINROSS GOLD CORP   CUSIP:   Symbol: KGC210219C00015000            |          |                  |                    |                          |   |                  |                  |
| 08/20/2020  | 1.00     | 34.89            | 08/20/2020         | 37.89                    | 3 D   | 0.00             | Sell to Close    |
| 08/28/2020  | 3.00     | 89.71            | 08/20/2020         | 113.67                   | 0.00  | -23.96           | Sell to Close    |
| 08/28/2020  | 5.00     | 149.53           | Various            | 169.21                   | 0.00  | -19.68           | Sell to Close    |
| 08/28/2020  | 5.00     | 149.53           | 08/20/2020         | 189.46                   | 23.96 D   | -15.97           | Sell to Close    |
| <b>Security Totals:</b>   |          | <b>423.66</b>    |                    | <b>510.23</b>            |   | <b>-59.61</b>    |                  |
| PUT UAL 07/10/20 31 UNITED AIRLINES HOLDINGS INC   CUSIP:   Symbol: UAL200710P00031000  |          |                  |                    |                          |   |                  |                  |
| 07/08/2020  | 1.00     | 66.89            | 07/08/2020         | 75.09                    | 0.00  | -8.20            | Sell to Close    |
| CALL BJ 07/17/20 40 BJ S WHOLESALE CLUB HLDNGS INC   CUSIP:   Symbol: BJ200717C00040000 |          |                  |                    |                          |   |                  |                  |
| 06/29/2020  | 1.00     | 54.89            | 06/23/2020         | 50.09                    | 0.00  | 4.80             | Sell to Close    |
| 06/29/2020  | 1.00     | 54.89            | 06/23/2020         | 50.10                    | 0.00  | 4.79             | Sell to Close    |
| <b>Security Totals:</b>   |          | <b>109.78</b>    |                    | <b>100.19</b>            |   | <b>9.59</b>      |                  |
| ***PACIFIC DRILLING S A ORDINARY SHARES PAR \$0.01   CUSIP: L7257P205   Symbol: PACD    |          |                  |                    |                          |   |                  |                  |
| 06/05/2020  | 2,000.00 | 925.33           | 06/05/2020         | 917.97                   | 0.00  | 7.36             | Sale             |
| 06/05/2020  | 3,000.00 | 1,527.80         | 06/05/2020         | 1,376.96                 | 0.00  | 150.84           | Sale             |

APEX CLEARING

## Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B\*

OMB No. 1545-0715

5MQ16480

(continued)

01/23/2021

## SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

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

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

## 1a - Description of property | CUSIP | Symbol

| 1c - Date Sold or Disposed   | Quantity | 1d - Proceeds   | 1b - Date Acquired | 1e - Cost or Other Basis | 1f - Accrued Market Discount (M) & 1g - Wash Sale Loss Disallowed (D) | Gain or Loss (-) | Additional Notes |
|--|----------|-----------------|--------------------|--------------------------|---|------------------|------------------|
| 06/05/2020   | 3,000.00 | 1,552.10        | Various            | 1,567.80                 | 0.00  | -15.70           | Sale             |
| <b>Security Totals:</b>  |          | <b>4,005.23</b> |                    | <b>3,862.73</b>          |   | <b>142.50</b>    |                  |
| CALL SE 01/15/21 220 SEA LTD   CUSIP:   Symbol: SE210115C00220000              |          |                 |                    |                          |   |                  |                  |
| 12/30/2020   | 1.00     | 163.90          | 12/30/2020         | 153.08                   | 0.00  | 10.82            | Sell to Close    |
| CALL DOCU 10/02/20 285 DOCUSIGN INC   CUSIP:   Symbol: DOCU201002C00285000     |          |                 |                    |                          |   |                  |                  |
| 09/08/2020   | 1.00     | 179.89          | 09/02/2020         | 3,300.09                 | 0.00  | -3,120.20        | Sell to Close    |
| PUT NIO 01/29/21 46 NIO INC ADS   CUSIP:   Symbol: NIO210129P00046000          |          |                 |                    |                          |   |                  |                  |
| 12/24/2020   | 1.00     | 584.89          | 12/24/2020         | 600.08                   | 0.00  | -15.19           | Sell to Close    |
| CALL ETSY 12/18/20 165 ETSY INC   CUSIP:   Symbol: ETSY201218C00165000         |          |                 |                    |                          |   |                  |                  |
| 11/30/2020   | 1.00     | 780.89          | 11/27/2020         | 520.08                   | 0.00  | 260.81           | Sell to Close    |
| CALL GRUB 12/31/20 71.50 GRUBHUB INC   CUSIP:   Symbol: GRUB201231C00071500    |          |                 |                    |                          |   |                  |                  |
| 12/21/2020   | 1.00     | 199.90          | 12/09/2020         | 325.08                   | 0.00  | -125.18          | Sell to Close    |
| CATALENT INC COM   CUSIP: 148806102   Symbol: CTLT                             |          |                 |                    |                          |   |                  |                  |
| 09/04/2020   | 20.00    | 1,703.75        | 09/04/2020         | 1,710.00                 | 0.00  | -6.25            | Sale             |
| GENIUS BRANDS INTERNATIONAL INC COMMON STOCK   CUSIP: 37229T301   Symbol: GNUS |          |                 |                    |                          |   |                  |                  |
| 06/02/2020   | 500.00   | 1,389.90        | 06/02/2020         | 1,410.00                 | 20.1 D  | 0.00             | Sale             |
| 06/02/2020   | 500.00   | 1,494.90        | 06/02/2020         | 1,410.00                 | 0.00  | 84.90            | Sale             |
| 06/02/2020   | 1,000.00 | 3,719.79        | 06/02/2020         | 3,770.41                 | 50.62 D   | 0.00             | Sale             |
| 06/02/2020   | 1,000.00 | 3,689.79        | 06/02/2020         | 3,740.20                 | 50.41 D   | 0.00             | Sale             |
| 06/02/2020   | 2,000.00 | 7,159.60        | Various            | 7,069.95                 | 0.00  | 89.65            | Sale             |
| 06/02/2020   | 2,000.00 | 7,239.59        | 06/02/2020         | 7,120.00                 | 0.00  | 119.59           | Sale             |
| 06/02/2020   | 2,000.00 | 7,279.59        | 06/02/2020         | 7,220.00                 | 0.00  | 59.59            | Sale             |
| 06/02/2020   | 2,000.00 | 7,479.59        | 06/02/2020         | 7,420.00                 | 0.00  | 59.59            | Sale             |
| 06/02/2020   | 2,000.00 | 7,092.40        | Various            | 7,390.41                 | 298.01 D  | 0.00             | Sale             |
| 06/02/2020   | 3,000.00 | 10,859.39       | Various            | 11,060.00                | 200.61 D  | 0.00             | Sale             |
| 06/03/2020   | 150.00   | 1,144.45        | 06/03/2020         | 1,338.72                 | 194.27 D  | 0.00             | Sale             |
| 06/03/2020   | 500.00   | 3,424.86        | 06/03/2020         | 4,005.45                 | 580.59 D  | 0.00             | Sale             |
| 06/03/2020   | 500.00   | 2,339.88        | 06/03/2020         | 2,327.01                 | 0.00  | 12.87            | Sale             |
| 06/03/2020   | 500.00   | 3,539.86        | 06/03/2020         | 3,297.00                 | 0.00  | 242.86           | Sale             |
| 06/03/2020   | 500.00   | 3,449.86        | 06/03/2020         | 4,167.27                 | 717.41 D  | 0.00             | Sale             |

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



APEX CLEARING

## Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B\*

OMB No. 1545-0715

5MQ16480

(continued)

01/23/2021

**SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS**

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

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

| <b>1c - Date Sold or Disposed</b>  | <b>Quantity</b> | <b>1d - Proceeds</b> | <b>1b - Date Acquired</b> | <b>1e - Cost or Other Basis</b> | <b>1f - Accrued Market Discount (M) &amp; 1g - Wash Sale Loss Disallowed (D)</b> | <b>Gain or Loss (-)</b> | <b>Additional Notes</b> |
|--|-----------------|----------------------|---------------------------|---------------------------------|--|-------------------------|-------------------------|
| GENIUS BRANDS INTERNATIONAL INC COMMON STOCK   CUSIP: 37229T301   Symbol: GNUS         |                 |                      |                           |                                 |  |                         |                         |
| 06/03/2020   | 500.00          | 3,499.86             | 06/03/2020                | 3,880.59                        | 380.73 D   | 0.00                    | Sale                    |
| 06/03/2020   | 500.00          | 3,724.85             | 06/03/2020                | 3,697.00                        | 0.00   | 27.85                   | Sale                    |
| 06/03/2020   | 500.00          | 3,184.86             | 06/03/2020                | 3,150.31                        | 0.00   | 34.55                   | Sale                    |
| 06/03/2020   | 500.00          | 3,349.86             | 06/03/2020                | 3,967.13                        | 617.27 D   | 0.00                    | Sale                    |
| 06/03/2020   | 1,000.00        | 6,479.73             | Various                   | 7,737.31                        | 1257.58 D  | 0.00                    | Sale                    |
| 06/04/2020   | 2.00            | 18.38                | 06/04/2020                | 17.94                           | 0.00   | 0.44                    | Sale                    |
| 06/04/2020   | 298.00          | 2,601.44             | 06/04/2020                | 2,673.40                        | 71.96 D  | 0.00                    | Sale                    |
| 06/04/2020   | 300.00          | 2,474.90             | Various                   | 1,824.11                        | 0.00   | 650.79                  | Sale                    |
| 06/05/2020   | 300.00          | 1,706.95             | Various                   | 2,402.12                        | 695.17 D   | 0.00                    | Sale                    |
| 06/09/2020   | 200.00          | 763.96               | Various                   | 1,465.66                        | 701.70 D   | 0.00                    | Sale                    |
| 06/09/2020   | 200.00          | 801.96               | Various                   | 1,075.53                        | 273.57 D   | 0.00                    | Sale                    |
| 06/11/2020   | 200.00          | 697.96               | Various                   | 979.47                          | 3.36 D   | -278.15                 | Sale                    |
| 06/11/2020   | 200.00          | 654.96               | Various                   | 972.28                          | 0.00   | -317.32                 | Sale                    |
| 06/11/2020   | 600.00          | 1,955.88             | Various                   | 3,139.62                        | 1183.74 D  | 0.00                    | Sale                    |
| 06/16/2020   | 100.00          | 429.98               | Various                   | 749.34                          | 0.00   | -319.36                 | Sale                    |
| 07/09/2020   | 200.00          | 509.96               | Various                   | 831.11                          | 0.00   | -321.15                 | Sale                    |
| <b>Security Totals:</b>  |                 | <b>104,158.94</b>    |                           | <b>111,309.34</b>               |  | <b>146.70</b>           |                         |
| CALL SRNE 12/18/20 14 SORRENTO THERAPEUTICS INC   CUSIP:   Symbol: SRNE201218C00014000 |                 |                      |                           |                                 |  |                         |                         |
| 09/16/2020   | 2.00            | 379.80               | Various                   | 786.18                          | 0.00   | -406.38                 | Sell to Close           |
| TESLA INC COMMON STOCK   CUSIP: 88160R101   Symbol: TSLA                               |                 |                      |                           |                                 |  |                         |                         |
| 06/01/2020   | 2.00            | 1,704.07             | 06/01/2020                | 1,704.32                        | 0.25 D   | 0.00                    | Sale                    |
| 06/01/2020   | 2.00            | 1,711.95             | 06/01/2020                | 1,706.25                        | 0.00   | 5.70                    | Sale                    |
| 06/01/2020   | 2.00            | 1,760.27             | 06/01/2020                | 1,713.00                        | 0.00   | 47.27                   | Sale                    |
| 06/11/2020   | 1.00            | 966.96               | 06/11/2020                | 967.41                          | 0.45 D   | 0.00                    | Sale                    |
| 06/15/2020   | 6.00            | 5,399.87             | Various                   | 5,692.66                        | 234.61 D   | -58.18                  | Sale                    |
| 07/13/2020   | 2.00            | 3,398.61             | Various                   | 2,863.82                        | 0.00   | 534.79                  | Sale                    |
| 07/22/2020   | 1.00            | 1,587.06             | 07/13/2020                | 1,729.47                        | 142.41 D   | 0.00                    | Sale                    |
| 07/22/2020   | 2.00            | 3,393.57             | Various                   | 3,292.29                        | 0.00   | 101.28                  | Sale                    |

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

APEX CLEARING

## Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B\*

OMB No. 1545-0715

5MQ16480

(continued)

01/23/2021

**SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS**

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

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

| <b>1c - Date Sold or Disposed</b>  | <b>Quantity</b> | <b>1d - Proceeds</b> | <b>1b - Date Acquired</b> | <b>1e - Cost or Other Basis</b> | <b>1f - Accrued Market Discount (M) &amp; 1g - Wash Sale Loss Disallowed (D)</b> | <b>Gain or Loss (-)</b> | <b>Additional Notes</b> |
|--|-----------------|----------------------|---------------------------|---------------------------------|--|-------------------------|-------------------------|
| TESLA INC COMMON STOCK   CUSIP: 88160R101   Symbol: TSLA                                 |                 |                      |                           |                                 |  |                         |                         |
| 07/22/2020   | 2.00            | 3,204.33             | Various                   | 3,341.02                        | 136.69 D   | 0.00                    | Sale                    |
| 07/23/2020   | 3.00            | 5,030.87             | Various                   | 4,993.92                        | 0.00   | 36.95                   | Sale                    |
| 08/12/2020   | 1.00            | 1,457.95             | 08/11/2020                | 1,457.74                        | 0.00   | 0.21                    | Sale                    |
| 08/18/2020   | 1.00            | 1,884.74             | 08/18/2020                | 1,875.00                        | 0.00   | 9.74                    | Sale                    |
| 08/31/2020   | 15.00           | 6,882.13             | Various                   | 6,819.23                        | 0.00   | 62.90                   | Sale                    |
| 08/31/2020   | 35.00           | 15,924.63            | Various                   | 15,938.64                       | 38.28 D  | 24.27                   | Sale                    |
| 08/31/2020   | 30.00           | 13,679.98            | Various                   | 13,582.13                       | 32.14 D  | 129.99                  | Sale                    |
| 09/01/2020   | 10.00           | 4,932.18             | Various                   | 4,517.15                        | 0.00   | 415.03                  | Sale                    |
| 09/01/2020   | 10.00           | 4,944.48             | 09/01/2020                | 4,950.00                        | 0.00   | -5.52                   | Sale                    |
| 11/17/2020   | 5.00            | 2,294.93             | 11/09/2020                | 2,210.00                        | 0.00   | 84.93                   | Sale                    |
| 11/17/2020   | 5.00            | 2,306.53             | Various                   | 2,130.72                        | 0.00   | 175.81                  | Sale                    |
| 11/30/2020   | 5.00            | 2,852.92             | 11/30/2020                | 2,848.50                        | 0.00   | 4.42                    | Sale                    |
| 12/02/2020   | 6.00            | 3,304.11             | 12/02/2020                | 3,318.42                        | 0.00   | -14.31                  | Sale                    |
| <b>Security Totals:</b>  |                 | <b>88,622.14</b>     |                           | <b>87,651.69</b>                |  | <b>1,555.28</b>         |                         |
| CALL NVDA 10/02/20 580 NVIDIA CORP   CUSIP:   Symbol: NVDA201002C00580000                |                 |                      |                           |                                 |  |                         |                         |
| 09/02/2020   | 1.00            | 3,599.82             | 09/02/2020                | 3,300.09                        | 0.00   | 299.73                  | Sell to Close           |
| CALL SRNE 09/18/20 12 SORRENTO THERAPEUTICS INC   CUSIP:   Symbol: SRNE200918C00012000   |                 |                      |                           |                                 |  |                         |                         |
| 07/31/2020   | 1.00            | 209.89               | 07/24/2020                | 95.09                           | 0.00   | 114.80                  | Sell to Close           |
| PUT TSLA 01/15/21 710 TESLA INC   CUSIP:   Symbol: TSLA210115P00710000                   |                 |                      |                           |                                 |  |                         |                         |
| 12/31/2020   | 1.00            | 3,797.82             | 12/31/2020                | 3,294.08                        | 0.00   | 503.74                  | Sell to Close           |
| CALL EXPR 07/17/20 2 EXPRESS INC   CUSIP:   Symbol: EXPR200717C00002000                  |                 |                      |                           |                                 |  |                         |                         |
| 07/17/2020   | 13.00           | 0.00                 | Various                   | 47.21                           | 0.00   | -47.21                  | Expiration              |
| ***VBI VACCINES INC CDA COM   CUSIP: 91822J103   Symbol: VBIV                            |                 |                      |                           |                                 |  |                         |                         |
| 07/09/2020   | 100.00          | 410.98               | 07/08/2020                | 423.00                          | 0.00   | -12.02                  | Sale                    |
| CALL VRM 01/15/21 35 VROOM INC   CUSIP:   Symbol: VRM210115C00035000                     |                 |                      |                           |                                 |  |                         |                         |
| 12/09/2020   | 1.00            | 299.90               | 12/09/2020                | 310.08                          | 0.00   | -10.18                  | Sell to Close           |
| CALL WORK 12/18/20 40 SLACK TECHNOLOGIES INC CL A   CUSIP:   Symbol: WORK201218C00040000 |                 |                      |                           |                                 |  |                         |                         |
| 11/25/2020   | 1.00            | 319.90               | 11/25/2020                | 335.08                          | 0.00   | -15.18                  | Sell to Close           |

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

APEX CLEARING

## Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B\*

OMB No. 1545-0715

5MQ16480

(continued)

01/23/2021

**SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS**

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

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

| 1c - Date Sold or Disposed   | Quantity | 1d - Proceeds   | 1b - Date Acquired | 1e - Cost or Other Basis | 1f - Accrued Market Discount (M) & 1g - Wash Sale Loss Disallowed (D) | Gain or Loss (-) | Additional Notes |
|--|----------|-----------------|--------------------|--------------------------|---|------------------|------------------|
| CALL CRM 01/15/21 240 SALESFORCE.COM INC   CUSIP:   Symbol: CRM210115C00240000           |          |                 |                    |                          |   |                  |                  |
| 08/26/2020   | 1.00     | 4,779.79        | 08/26/2020         | 4,925.09                 | 0.00  | -145.30          | Sell to Close    |
| 08/26/2020   | 1.00     | 4,821.79        | 08/25/2020         | 1,095.09                 | 0.00  | 3,726.70         | Sell to Close    |
| <b>Security Totals:</b>  |          | <b>9,601.58</b> |                    | <b>6,020.18</b>          |   | <b>3,581.40</b>  |                  |
| CALL WORK 12/18/20 45 SLACK TECHNOLOGIES INC CL A   CUSIP:   Symbol: WORK201218C00045000 |          |                 |                    |                          |   |                  |                  |
| 11/30/2020   | 1.00     | 254.90          | 11/27/2020         | 150.08                   | 0.00  | 104.82           | Sell to Close    |
| 11/30/2020   | 1.00     | 254.90          | 11/27/2020         | 150.08                   | 0.00  | 104.82           | Sell to Close    |
| <b>Security Totals:</b>  |          | <b>509.80</b>   |                    | <b>300.16</b>            |   | <b>209.64</b>    |                  |
| CALL VXX 08/07/20 32 IPATH SER B S&P 500 VIX SHORT   CUSIP:   Symbol: VXX200807C00032000 |          |                 |                    |                          |   |                  |                  |
| 08/07/2020   | 4.00     | 0.00            | Various            | 149.36                   | 0.00  | -149.36          | Expiration       |
| CALL JD 01/08/21 90 JD.COM INC   CUSIP:   Symbol: JD210108C00090000                      |          |                 |                    |                          |   |                  |                  |
| 12/30/2020   | 1.00     | 187.90          | 12/30/2020         | 173.08                   | 0.00  | 14.82            | Sell to Close    |
| EXELA TECHNOLOGIES INC COMMON STOCK   CUSIP: 30162V102   Symbol: XELA                    |          |                 |                    |                          |   |                  |                  |
| 05/22/2020   | 6,000.00 | 2,098.64        | Various            | 2,052.00                 | 0.00  | 46.64            | Sale             |
| 06/29/2020   | 2,000.00 | 1,159.73        | Various            | 1,261.70                 | 0.00  | -101.97          | Sale             |
| <b>Security Totals:</b>  |          | <b>3,258.37</b> |                    | <b>3,313.70</b>          |   | <b>-55.33</b>    |                  |
| CALL NFLX 01/15/21 540 NETFLIX INC   CUSIP:   Symbol: NFLX210115C00540000                |          |                 |                    |                          |   |                  |                  |
| 08/10/2020   | 1.00     | 3,839.81        | 08/10/2020         | 3,900.09                 | 0.00  | -60.28           | Sell to Close    |
| ALPHABET INC CLASS A COMMON STOCK   CUSIP: 02079K305   Symbol: GOOGL                     |          |                 |                    |                          |   |                  |                  |
| 06/15/2020   | 1.00     | 1,382.48        | 06/12/2020         | 1,398.99                 | 0.00  | -16.51           | Sale             |
| CALL TSLA 08/28/20 1870 TESLA INC   CUSIP:   Symbol: TSLA200828C01870000                 |          |                 |                    |                          |   |                  |                  |
| 08/17/2020   | 1.00     | 8,499.71        | 08/17/2020         | 8,200.09                 | 0.00  | 299.62           | Sell to Close    |
| MGM RESORTS INTERNATIONAL   CUSIP: 552953101   Symbol: MGM                               |          |                 |                    |                          |   |                  |                  |
| 06/02/2020   | 100.00   | 1,816.94        | 06/02/2020         | 1,816.00                 | 0.00  | 0.94             | Sale             |
| LIMELIGHT NETWORKS INC   CUSIP: 53261M104   Symbol: LLNW                                 |          |                 |                    |                          |   |                  |                  |
| 05/21/2020   | 100.00   | 553.10          | 05/21/2020         | 544.70                   | 0.00  | 8.40             | Sale             |
| 05/21/2020   | 400.00   | 2,172.42        | 05/21/2020         | 2,178.80                 | 0.00  | -6.38            | Sale             |
| <b>Security Totals:</b>  |          | <b>2,725.52</b> |                    | <b>2,723.50</b>          |   | <b>2.02</b>      |                  |
| CALL TDOC 01/15/21 260 TELADOC HEALTH INC   CUSIP:   Symbol: TDOC210115C00260000         |          |                 |                    |                          |   |                  |                  |
| 08/17/2020   | 1.00     | 1,579.86        | 08/05/2020         | 2,200.09                 | 620.23 D  | 0.00             | Sell to Close    |

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

APEX CLEARING

## Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B\*

OMB No. 1545-0715

5MQ16480

(continued)

01/23/2021

**SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS**

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

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

| 1c - Date Sold or Disposed  | Quantity | 1d - Proceeds   | 1b - Date Acquired | 1e - Cost or Other Basis | 1f - Accrued Market Discount (M) & 1g - Wash Sale Loss Disallowed (D) | Gain or Loss (-) | Additional Notes |
|---|----------|-----------------|--------------------|--------------------------|---|------------------|------------------|
| CALL TDOC 01/15/21 260 TELADOC HEALTH INC   CUSIP:   Symbol: TDOC210115C00260000        |          |                 |                    |                          |   |                  |                  |
| 08/17/2020  | 1.00     | 1,579.86        | 08/10/2020         | 2,120.32                 | 540.46 D  | 0.00             | Sell to Close    |
| 08/17/2020  | 1.00     | 1,779.86        | 08/12/2020         | 1,740.55                 | 0.00  | 39.31            | Sell to Close    |
| <b>Security Totals:</b>   |          | <b>4,939.58</b> |                    | <b>6,060.96</b>          |   | <b>39.31</b>     |                  |
| CALL TSLA 09/04/20 2500 TESLA INC   CUSIP:   Symbol: TSLA200904C02500000                |          |                 |                    |                          |   |                  |                  |
| 08/20/2020  | 1.00     | 2,279.84        | 08/18/2020         | 2,000.09                 | 0.00  | 279.75           | Sell to Close    |
| HP INC COM   CUSIP: 40434L105   Symbol: HPQ   |          |                 |                    |                          |   |                  |                  |
| 06/01/2020  | 80.00    | 1,218.36        | 05/29/2020         | 1,198.26                 | 0.00  | 20.10            | Sale             |
| CALL VXRT 08/21/20 25 VAXART INC   CUSIP:   Symbol: VXRT200821C00025000                 |          |                 |                    |                          |   |                  |                  |
| 07/27/2020  | 2.00     | 89.79           | 07/24/2020         | 90.19                    | 0.2 D   | -0.20            | Sell to Close    |
| 07/27/2020  | 1.00     | 44.89           | 07/27/2020         | 30.29                    | 0.00  | 14.60            | Sell to Close    |
| <b>Security Totals:</b>   |          | <b>134.68</b>   |                    | <b>120.48</b>            |   | <b>14.40</b>     |                  |
| PUT TSLA 12/31/20 580 TESLA INC   CUSIP:   Symbol: TSLA201231P00580000                  |          |                 |                    |                          |   |                  |                  |
| 12/18/2020  | 1.00     | 2,504.85        | 12/18/2020         | 2,000.08                 | 0.00  | 504.77           | Sell to Close    |
| CALL FAZ 06/19/20 16 DIREXION DAILY FNNCL BEAR 3X   CUSIP:   Symbol: FAZ200619C00016000 |          |                 |                    |                          |   |                  |                  |
| 06/09/2020  | 1.00     | 63.89           | 06/05/2020         | 55.10                    | 0.00  | 8.79             | Sell to Close    |
| 06/09/2020  | 1.00     | 63.89           | 06/05/2020         | 55.09                    | 0.00  | 8.80             | Sell to Close    |
| <b>Security Totals:</b>   |          | <b>127.78</b>   |                    | <b>110.19</b>            |   | <b>17.59</b>     |                  |
| CALL MSFT 12/11/20 215 MICROSOFT CORP   CUSIP:   Symbol: MSFT201211C00215000            |          |                 |                    |                          |   |                  |                  |
| 11/30/2020  | 1.00     | 314.90          | 11/30/2020         | 265.08                   | 0.00  | 49.82            | Sell to Close    |
| 12/01/2020  | 1.00     | 389.90          | 12/01/2020         | 320.08                   | 0.00  | 69.82            | Sell to Close    |
| <b>Security Totals:</b>   |          | <b>704.80</b>   |                    | <b>585.16</b>            |   | <b>119.64</b>    |                  |
| CALL ROKU 01/15/21 170 ROKU INC   CUSIP:   Symbol: ROKU210115C00170000                  |          |                 |                    |                          |   |                  |                  |
| 08/18/2020  | 1.00     | 1,699.86        | 08/17/2020         | 1,510.09                 | 0.00  | 189.77           | Sell to Close    |
| CALL AMZN 12/31/20 3250 AMAZON.COM INC   CUSIP:   Symbol: AMZN201231C03250000           |          |                 |                    |                          |   |                  |                  |
| 12/28/2020  | 1.00     | 1,009.88        | 12/28/2020         | 1,000.08                 | 0.00  | 9.80             | Sell to Close    |
| CALL AAPL 12/18/20 430 APPLE INC   CUSIP:   Symbol: AAPL201218C00430000                 |          |                 |                    |                          |   |                  |                  |
| 07/17/2020  | 1.00     | 1,599.86        | 07/17/2020         | 1,660.09                 | 60.23 D   | 0.00             | Sell to Close    |
| 07/20/2020  | 1.00     | 1,569.86        | 07/17/2020         | 1,655.32                 | 85.46 D   | 0.00             | Sell to Close    |
| 07/20/2020  | 1.00     | 1,559.86        | 07/17/2020         | 1,645.55                 | 85.69 D   | 0.00             | Sell to Close    |

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

APEX CLEARING

## Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B\*

OMB No. 1545-0715

5MQ16480

(continued)

01/23/2021

**SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS**

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

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

| 1c - Date Sold or Disposed | Quantity | 1d - Proceeds   | 1b - Date Acquired | 1e - Cost or Other Basis | 1f - Accrued Market Discount (M) & 1g - Wash Sale Loss Disallowed (D) | Gain or Loss (-) | Additional Notes |
|----------------------------|----------|---|--------------------|--------------------------|---|------------------|------------------|
| CALL AAPL 12/18/20         | 430      | APPLE INC   CUSIP:   Symbol: AAPL201218C00430000                |                    |                          |   |                  |                  |
| 07/21/2020                 | 1.00     | 1,644.86  | 07/20/2020         | 1,600.78                 | 0.00  | 44.08            | Sell to Close    |
| 07/21/2020                 | 1.00     | 1,589.86  | 07/20/2020         | 1,500.09                 | 0.00  | 89.77            | Sell to Close    |
| 07/22/2020                 | 2.00     | 3,049.73  | Various            | 3,030.18                 | 0.22 D  | 19.77            | Sell to Close    |
| 07/31/2020                 | 1.00     | 1,849.85  | 07/22/2020         | 1,385.09                 | 0.00  | 464.76           | Sell to Close    |
| 07/31/2020                 | 1.00     | 2,049.85  | 07/23/2020         | 1,240.09                 | 0.00  | 809.76           | Sell to Close    |
| 07/31/2020                 | 2.00     | 3,903.71  | Various            | 2,900.40                 | 0.00  | 1,003.31         | Sell to Close    |
| <b>Security Totals:</b>    |          | <b>18,817.44</b>  |                    | <b>16,617.59</b>         |   | <b>2,431.45</b>  |                  |
| CALL SGMO 05/21/21         | 19       | SANGAMO THERAPEUTICS INC   CUSIP:   Symbol: SGMO210521C00019000 |                    |                          |   |                  |                  |
| 12/22/2020                 | 1.00     | 284.90  | 12/21/2020         | 250.08                   | 0.00  | 34.82            | Sell to Close    |
| CALL XOM 01/15/21          | 55       | EXXON MOBIL CORP   CUSIP:   Symbol: XOM210115C00055000          |                    |                          |   |                  |                  |
| 07/21/2020                 | 2.00     | 217.79  | 07/07/2020         | 256.19                   | 38.4 D  | 0.00             | Sell to Close    |
| 07/21/2020                 | 2.00     | 223.79  | Various            | 250.58                   | 26.79 D   | 0.00             | Sell to Close    |
| <b>Security Totals:</b>    |          | <b>441.58</b>   |                    | <b>506.77</b>            |   | <b>0.00</b>      |                  |
| CALL TGT 08/14/20          | 127      | TARGET CORP   CUSIP:   Symbol: TGT200814C00127000               |                    |                          |   |                  |                  |
| 07/22/2020                 | 1.00     | 154.89  | 07/22/2020         | 150.09                   | 0.00  | 4.80             | Sell to Close    |
| ***LUCKIN COFFEE INC       |          | AMERICAN DEPOSITARY SHARES   CUSIP: 54951L109   Symbol: LK      |                    |                          |   |                  |                  |
| 06/04/2020                 | 200.00   | 916.15  | 06/04/2020         | 820.00                   | 0.00  | 96.15            | Sale             |
| 06/08/2020                 | 250.00   | 1,547.43  | Various            | 1,437.40                 | 0.00  | 110.03           | Sale             |
| 06/25/2020                 | 200.00   | 597.96  | 06/25/2020         | 602.00                   | 0.00  | -4.04            | Sale             |
| <b>Security Totals:</b>    |          | <b>3,061.54</b>   |                    | <b>2,859.40</b>          |   | <b>202.14</b>    |                  |
| ***ASTRAZENECA PLC         |          | AMERICAN DEPOSITARY SHARES   CUSIP: 046353108   Symbol: AZN     |                    |                          |   |                  |                  |
| 07/20/2020                 | 50.00    | 2,988.42  | 07/20/2020         | 3,153.57                 | 0.00  | -165.15          | Sale             |
| 07/20/2020                 | 100.00   | 5,898.85  | Various            | 6,113.50                 | 200.57 D  | -14.08           | Sale             |
| <b>Security Totals:</b>    |          | <b>8,887.27</b>   |                    | <b>9,267.07</b>          |   | <b>-179.23</b>   |                  |
| ***BILIBILI INC            |          | AMERICAN DEPOSITARY SHARES   CUSIP: 090040106   Symbol: BILI    |                    |                          |   |                  |                  |
| 05/26/2020                 | 50.00    | 1,679.15  | 05/22/2020         | 1,667.37                 | 0.00  | 11.78            | Sale             |
| LYFT INC                   |          | CLASS A COMMON STOCK   CUSIP: 55087P104   Symbol: LYFT          |                    |                          |   |                  |                  |
| 05/04/2020                 | 50.00    | 1,339.46  | 05/04/2020         | 1,343.00                 | 0.00  | -3.54            | Sale             |

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

APEX CLEARING

## Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B\*

OMB No. 1545-0715

5MQ16480

(continued)

01/23/2021

**SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS**

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

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

| 1c - Date Sold or Disposed   | Quantity | 1d - Proceeds    | 1b - Date Acquired | 1e - Cost or Other Basis | 1f - Accrued Market Discount (M) & 1g - Wash Sale Loss Disallowed (D) | Gain or Loss (-) | Additional Notes |
|--|----------|------------------|--------------------|--------------------------|---|------------------|------------------|
| CALL PFE 08/21/20 40 PFIZER INC   CUSIP:   Symbol: PFE200821C00040000              |          |                  |                    |                          |   |                  |                  |
| 07/27/2020   | 3.00     | 128.70           | 07/27/2020         | 150.28                   | 0.00  | -21.58           | Sell to Close    |
| INDEPENDENCE CONTRACT DRILLING INC COM   CUSIP: 453415606   Symbol: ICD            |          |                  |                    |                          |   |                  |                  |
| 06/05/2020   | 200.00   | 1,359.94         | 06/05/2020         | 1,260.00                 | 0.00  | 99.94            | Sale             |
| OKTA INC CLASS A COMMON STOCK   CUSIP: 679295105   Symbol: OKTA                    |          |                  |                    |                          |   |                  |                  |
| 05/26/2020   | 5.00     | 934.96           | 05/26/2020         | 982.21                   | 47.25 D   | 0.00             | Sale             |
| 05/26/2020   | 10.00    | 1,874.14         | 05/26/2020         | 1,980.00                 | 105.86 D  | 0.00             | Sale             |
| 05/27/2020   | 20.00    | 3,620.30         | Various            | 3,817.26                 | 196.96 D  | 0.00             | Sale             |
| 05/29/2020   | 20.00    | 3,649.90         | Various            | 3,774.26                 | 0.00  | -124.36          | Sale             |
| 06/30/2020   | 7.00     | 1,387.56         | Various            | 1,390.20                 | 0.00  | -2.64            | Sale             |
| <b>Security Totals:</b>  |          | <b>11,466.86</b> |                    | <b>11,943.93</b>         |   | <b>-127.00</b>   |                  |
| ***BARRICK GOLD CORP   CUSIP: 067901108   Symbol: GOLD                             |          |                  |                    |                          |   |                  |                  |
| 04/27/2020   | 20.00    | 536.21           | 04/24/2020         | 540.58                   | 4.37 D  | 0.00             | Sale             |
| 04/30/2020   | 21.00    | 554.37           | 04/24/2020         | 567.61                   | 13.24 D   | 0.00             | Sale             |
| 05/21/2020   | 250.00   | 6,582.82         | Various            | 6,550.61                 | 38.48 D   | 70.69            | Sale             |
| 05/22/2020   | 50.00    | 1,350.46         | Various            | 1,343.04                 | 2.73 D  | 10.15            | Sale             |
| 06/01/2020   | 290.00   | 7,206.31         | Various            | 7,189.37                 | 5.81 D  | 22.75            | Sale             |
| 06/01/2020   | 10.00    | 247.38           | 06/01/2020         | 248.80                   | 1.42 D  | 0.00             | Sale             |
| 06/02/2020   | 300.00   | 7,433.79         | Various            | 7,405.23                 | 0.23 D  | 28.79            | Sale             |
| 06/02/2020   | 300.00   | 7,217.80         | Various            | 7,212.23                 | 0.04 D  | 5.61             | Sale             |
| 06/15/2020   | 1.00     | 24.58            | 06/15/2020         | 23.85                    | 0.00  | 0.73             | Sale             |
| 06/15/2020   | 99.00    | 2,348.21         | 06/15/2020         | 2,361.15                 | 0.00  | -12.94           | Sale             |
| 06/15/2020   | 100.00   | 2,380.43         | Various            | 2,380.04                 | 0.00  | 0.39             | Sale             |
| 08/17/2020   | 50.00    | 1,474.95         | 08/17/2020         | 1,479.50                 | 0.00  | -4.55            | Sale             |
| <b>Security Totals:</b>  |          | <b>37,357.31</b> |                    | <b>37,302.01</b>         |   | <b>121.62</b>    |                  |
| CALL MSFT 10/02/20 210 MICROSOFT CORP   CUSIP:   Symbol: MSFT201002C00210000       |          |                  |                    |                          |   |                  |                  |
| 09/11/2020   | 1.00     | 689.88           | 09/10/2020         | 600.09                   | 0.00  | 89.79            | Sell to Close    |
| PUT SNOW 12/31/20 290 SNOWFLAKE INC CLASS A   CUSIP:   Symbol: SNOW201231P00290000 |          |                  |                    |                          |   |                  |                  |
| 12/31/2020   | 1.00     | 144.90           | 12/31/2020         | 125.08                   | 0.00  | 19.82            | Sell to Close    |

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

APEX CLEARING

## Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B\*

OMB No. 1545-0715

5MQ16480

(continued)

01/23/2021

**SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS**

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

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

| <b>1c - Date Sold or Disposed</b>  | <b>Quantity</b> | <b>1d - Proceeds</b> | <b>1b - Date Acquired</b> | <b>1e - Cost or Other Basis</b> | <b>1f - Accrued Market Discount (M) &amp; 1g - Wash Sale Loss Disallowed (D)</b> | <b>Gain or Loss (-)</b> | <b>Additional Notes</b> |
|--|-----------------|----------------------|---------------------------|---------------------------------|--|-------------------------|-------------------------|
| VROOM INC COMMON STOCK   CUSIP: 92918V109   Symbol: VRM                                |                 |                      |                           |                                 |  |                         |                         |
| 06/10/2020   | 50.00           | 2,742.42             | 06/09/2020                | 2,375.00                        | 0.00   | 367.42                  | Sale                    |
| 06/12/2020   | 100.00          | 4,749.88             | Various                   | 5,111.00                        | 361.12 D   | 0.00                    | Sale                    |
| 06/12/2020   | 100.00          | 4,769.88             | Various                   | 4,890.34                        | 298.34 D   | 177.88                  | Sale                    |
| 06/15/2020   | 75.00           | 3,018.67             | Various                   | 3,608.34                        | 589.67 D   | 0.00                    | Sale                    |
| 06/17/2020   | 5.00            | 214.98               | 06/17/2020                | 276.04                          | 0.00   | -61.06                  | Sale                    |
| 06/17/2020   | 95.00           | 4,105.88             | Various                   | 4,684.87                        | 347.20 D   | -231.79                 | Sale                    |
| 07/06/2020   | 25.00           | 1,513.45             | Various                   | 1,686.46                        | 0.00   | -173.01                 | Sale                    |
| <b>Security Totals:</b>  |                 | <b>21,115.16</b>     |                           | <b>22,632.05</b>                |  | <b>79.44</b>            |                         |
| CALL ZS 06/19/20 108 ZSCALER INC   CUSIP:   Symbol: ZS200619C00108000                  |                 |                      |                           |                                 |  |                         |                         |
| 06/04/2020   | 1.00            | 328.89               | 06/03/2020                | 480.09                          | 0.00   | -151.20                 | Sell to Close           |
| ***NOKIA CORPORATION SPONSORED ADR REPSTG 1 SER A   CUSIP: 654902204   Symbol: NOK     |                 |                      |                           |                                 |  |                         |                         |
| 04/24/2020   | 312.00          | 1,051.99             | 04/24/2020                | 1,063.33                        | 0.00   | -11.34                  | Sale                    |
| PUT SPY 02/19/21 365 STANDARD & POORS DEPOSITORY   CUSIP:   Symbol: SPY210219P00365000 |                 |                      |                           |                                 |  |                         |                         |
| 12/30/2020   | 1.00            | 806.89               | 12/30/2020                | 810.08                          | 3.19 D   | 0.00                    | Sell to Close           |
| CALL MRNA 09/11/20 59 MODERNA INC   CUSIP:   Symbol: MRNA200911C00059000               |                 |                      |                           |                                 |  |                         |                         |
| 09/09/2020   | 1.00            | 69.89                | 09/09/2020                | 90.09                           | 0.00   | -20.20                  | Sell to Close           |
| 09/09/2020   | 1.00            | 69.89                | 09/09/2020                | 90.09                           | 0.00   | -20.20                  | Sell to Close           |
| <b>Security Totals:</b>  |                 | <b>139.78</b>        |                           | <b>180.18</b>                   |  | <b>-40.40</b>           |                         |
| DOCUSIGN INC COMMON STOCK   CUSIP: 256163106   Symbol: DOCU                            |                 |                      |                           |                                 |  |                         |                         |
| 06/02/2020   | 20.00           | 2,995.73             | Various                   | 2,947.70                        | 11.83 D  | 59.86                   | Sale                    |
| 06/02/2020   | 20.00           | 2,935.92             | Various                   | 2,947.03                        | 11.47 D  | 0.36                    | Sale                    |
| 06/03/2020   | 20.00           | 2,957.52             | Various                   | 2,939.56                        | 0.00   | 17.96                   | Sale                    |
| 06/30/2020   | 10.00           | 1,728.75             | 06/29/2020                | 1,707.70                        | 0.00   | 21.05                   | Sale                    |
| 07/07/2020   | 5.00            | 987.61               | 07/06/2020                | 975.00                          | 0.00   | 12.61                   | Sale                    |
| 07/08/2020   | 5.00            | 1,011.21             | Various                   | 961.95                          | 0.00   | 49.26                   | Sale                    |
| <b>Security Totals:</b>  |                 | <b>12,616.74</b>     |                           | <b>12,478.94</b>                |  | <b>161.10</b>           |                         |
| CALL TSLA 08/21/20 1690 TESLA INC   CUSIP:   Symbol: TSLA200821C01690000               |                 |                      |                           |                                 |  |                         |                         |
| 08/17/2020   | 1.00            | 4,999.78             | 08/14/2020                | 4,000.09                        | 0.00   | 999.69                  | Sell to Close           |

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

APEX CLEARING

## Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B\*

OMB No. 1545-0715

5MQ16480

(continued)

01/23/2021

**SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS**

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

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

| 1c - Date Sold or Disposed   | Quantity | 1d - Proceeds   | 1b - Date Acquired | 1e - Cost or Other Basis | 1f - Accrued Market Discount (M) & 1g - Wash Sale Loss Disallowed (D) | Gain or Loss (-) | Additional Notes |
|--|----------|-----------------|--------------------|--------------------------|---|------------------|------------------|
| CALL SPCE 01/15/21 20  |          |                 |                    |                          |   |                  |                  |
| VIRGIN GALACTIC HOLDINGS INC   CUSIP:   Symbol: SPCE210115C00020000  |          |                 |                    |                          |   |                  |                  |
| 09/09/2020   | 1.00     | 384.89          | 08/06/2020         | 470.09                   | 85.2 D  | 0.00             | Sell to Close    |
| 09/09/2020   | 1.00     | 379.89          | 08/24/2020         | 395.29                   | 0.00  | -15.40           | Sell to Close    |
| <b>Security Totals:</b>  |          | <b>764.78</b>   |                    | <b>865.38</b>            |   | <b>-15.40</b>    |                  |
| CALL BAC 12/31/20 30   |          |                 |                    |                          |   |                  |                  |
| BANK OF AMERICA CORP   CUSIP:   Symbol: BAC201231C00030000           |          |                 |                    |                          |   |                  |                  |
| 12/02/2020   | 2.00     | 99.82           | 12/02/2020         | 106.16                   | 0.00  | -6.34            | Sell to Close    |
| CALL TSLA 09/04/20 490   |          |                 |                    |                          |   |                  |                  |
| TESLA INC ADJ 5:1 STOCK SPLIT   CUSIP:   Symbol: TSLA200904C00490000 |          |                 |                    |                          |   |                  |                  |
| 08/31/2020   | 1.00     | 1,689.86        | 08/31/2020         | 1,650.09                 | 0.00  | 39.77            | Sell to Close    |
| UBER TECHNOLOGIES INC  |          |                 |                    |                          |   |                  |                  |
| COMMON STOCK   CUSIP: 90353T100   Symbol: UBER                       |          |                 |                    |                          |   |                  |                  |
| 07/07/2020   | 30.00    | 992.66          | 07/06/2020         | 975.00                   | 0.00  | 17.66            | Sale             |
| 07/07/2020   | 45.00    | 1,494.85        | Various            | 1,455.00                 | 0.00  | 39.85            | Sale             |
| <b>Security Totals:</b>  |          | <b>2,487.51</b> |                    | <b>2,430.00</b>          |   | <b>57.51</b>     |                  |
| CALL FB 01/08/21 275   |          |                 |                    |                          |   |                  |                  |
| FACEBOOK INC CL A   CUSIP:   Symbol: FB210108C00275000               |          |                 |                    |                          |   |                  |                  |
| 12/18/2020   | 1.00     | 924.88          | 12/17/2020         | 880.08                   | 0.00  | 44.80            | Sell to Close    |
| CALL FANG 08/21/20 50  |          |                 |                    |                          |   |                  |                  |
| DIAMONDBACK ENERGY INC   CUSIP:   Symbol: FANG200821C00050000        |          |                 |                    |                          |   |                  |                  |
| 07/21/2020   | 2.00     | 155.79          | 06/18/2020         | 978.19                   | 822.4 D   | 0.00             | Sell to Close    |
| 07/21/2020   | 1.00     | 92.89           | 07/07/2020         | 559.29                   | 466.4 D   | 0.00             | Sell to Close    |
| 08/10/2020   | 1.00     | 38.89           | 07/08/2020         | 531.29                   | 0.00  | -492.40          | Sell to Close    |
| 08/11/2020   | 1.00     | 64.89           | 07/08/2020         | 585.49                   | 0.00  | -520.60          | Sell to Close    |
| <b>Security Totals:</b>  |          | <b>352.46</b>   |                    | <b>2,654.26</b>          |   | <b>-1,013.00</b> |                  |
| PUT BA 07/02/20 170  |          |                 |                    |                          |   |                  |                  |
| BOEING CO   CUSIP:   Symbol: BA200702P00170000                       |          |                 |                    |                          |   |                  |                  |
| 07/02/2020   | 1.00     | 0.00            | 06/30/2020         | 170.09                   | 0.00  | -170.09          | Expiration       |
| PUT TSLA 01/15/21 705  |          |                 |                    |                          |   |                  |                  |
| TESLA INC   CUSIP:   Symbol: TSLA210115P00705000                     |          |                 |                    |                          |   |                  |                  |
| 12/31/2020   | 1.00     | -464.24         | 12/31/2020         | 0.00                     | 0.00  | -464.24          | Buy to Close     |
| CALL MSFT 10/02/20 215   |          |                 |                    |                          |   |                  |                  |
| MICROSOFT CORP   CUSIP:   Symbol: MSFT201002C00215000                |          |                 |                    |                          |   |                  |                  |
| 09/10/2020   | 1.00     | 729.88          | 09/10/2020         | 745.09                   | 0.00  | -15.21           | Sell to Close    |
| ***CHECK CAP LTD   |          |                 |                    |                          |   |                  |                  |
| ORDINARY SHARE   CUSIP: M2361E203   Symbol: CHEK                     |          |                 |                    |                          |   |                  |                  |
| 05/22/2020   | 1,100.00 | 635.65          | 05/21/2020         | 627.11                   | 0.00  | 8.54             | Sale             |
| 05/22/2020   | 1,900.00 | 1,102.31        | 05/21/2020         | 1,083.19                 | 0.00  | 19.12            | Sale             |
| <b>Security Totals:</b>  |          | <b>1,737.96</b> |                    | <b>1,710.30</b>          |   | <b>27.66</b>     |                  |

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



APEX CLEARING

## Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B\*

OMB No. 1545-0715

5MQ16480

(continued)

01/23/2021

**SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS**

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

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

| <b>1c - Date Sold or Disposed</b> | <b>Quantity</b>                                  | <b>1d - Proceeds</b> | <b>1b - Date Acquired</b> | <b>1e - Cost or Other Basis</b> | <b>1f - Accrued Market Discount (M) &amp; 1g - Wash Sale Loss Disallowed (D)</b> | <b>Gain or Loss (-)</b> | <b>Additional Notes</b> |
|-----------------------------------|--|----------------------|---------------------------|---------------------------------|--|-------------------------|-------------------------|
| ZYNGA INC                         | CLASS A   CUSIP: 98986T108   Symbol: ZNGA        |                      |                           |                                 |  |                         |                         |
| 06/17/2020                        | 100.00   | 930.96               | 06/17/2020                | 932.00                          | 0.00   | -1.04                   | Sale                    |
| AMAZON.COM INC                    | CUSIP: 023135106   Symbol: AMZN                  |                      |                           |                                 |  |                         |                         |
| 05/22/2020                        | 1.00   | 2,450.93             | 05/21/2020                | 2,451.00                        | 0.00   | -0.07                   | Sale                    |
| 07/28/2020                        | 1.00   | 3,050.92             | 07/22/2020                | 3,101.00                        | 0.00   | -50.08                  | Sale                    |
| 11/25/2020                        | 2.00   | 6,372.93             | Various                   | 6,686.85                        | 313.92 D   | 0.00                    | Sale                    |
| 11/25/2020                        | 2.00   | 6,373.89             | Various                   | 6,454.64                        | 0.00   | -80.75                  | Sale                    |
| <b>Security Totals:</b>           |  | <b>18,248.67</b>     |                           | <b>18,693.49</b>                |  | <b>-130.90</b>          |                         |
| CALL AAPL 01/08/21 135            | APPLE INC   CUSIP:   Symbol: AAPL210108C00135000 |                      |                           |                                 |  |                         |                         |
| 12/24/2020                        | 1.00   | 274.90               | 12/23/2020                | 260.08                          | 0.00   | 14.82                   | Sell to Close           |
| ONCONOVA THERAPEUTICS INC         | COMMON STOCK   CUSIP: 68232V405   Symbol: ONTX   |                      |                           |                                 |  |                         |                         |
| 05/13/2020                        | 3,000.00   | 1,106.31             | 05/07/2020                | 944.40                          | 0.00   | 161.91                  | Sale                    |
| 05/18/2020                        | 3,000.00   | 1,109.31             | Various                   | 1,079.75                        | 0.00   | 29.56                   | Sale                    |
| 05/21/2020                        | 3,000.00   | 1,216.41             | 05/20/2020                | 1,068.00                        | 0.00   | 148.41                  | Sale                    |
| 05/21/2020                        | 6,000.00   | 2,639.23             | Various                   | 2,572.80                        | 0.00   | 66.43                   | Sale                    |
| 05/21/2020                        | 8,000.00   | 3,517.54             | Various                   | 3,516.60                        | 18.04 D  | 18.98                   | Sale                    |
| 05/26/2020                        | 2,000.00   | 851.74               | 05/22/2020                | 882.35                          | 30.61 D  | 0.00                    | Sale                    |
| 05/26/2020                        | 3,000.00   | 1,151.61             | Various                   | 1,166.04                        | 14.43 D  | 0.00                    | Sale                    |
| 05/26/2020                        | 10,000.00  | 4,258.71             | Various                   | 4,256.35                        | 61.59 D  | 63.95                   | Sale                    |
| 05/27/2020                        | 6,000.00   | 2,347.79             | Various                   | 2,431.29                        | 83.50 D  | 0.00                    | Sale                    |
| 05/27/2020                        | 3,000.00   | 1,175.61             | Various                   | 1,236.79                        | 61.18 D  | 0.00                    | Sale                    |
| 05/27/2020                        | 6,077.00   | 2,250.48             | Various                   | 2,348.96                        | 98.48 D  | 0.00                    | Sale                    |
| 05/28/2020                        | 3,000.00   | 1,226.61             | Various                   | 1,280.37                        | 53.76 D  | 0.00                    | Sale                    |
| 05/28/2020                        | 3,000.00   | 1,229.61             | Various                   | 1,262.68                        | 33.07 D  | 0.00                    | Sale                    |
| 05/29/2020                        | 6,000.00   | 2,612.23             | Various                   | 2,651.53                        | 41.94 D  | 2.64                    | Sale                    |
| 06/01/2020                        | 1,500.00   | 640.30               | Various                   | 654.84                          | 14.54 D  | 0.00                    | Sale                    |
| 06/01/2020                        | 1,500.00   | 640.80               | Various                   | 653.29                          | 12.49 D  | 0.00                    | Sale                    |
| 06/01/2020                        | 2,000.00   | 855.74               | Various                   | 867.23                          | 11.74 D  | 0.25                    | Sale                    |
| 06/01/2020                        | 2,460.00   | 1,048.85             | Various                   | 1,070.75                        | 21.90 D  | 0.00                    | Sale                    |

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

APEX CLEARING

## Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B\*

OMB No. 1545-0715

5MQ16480

(continued)

01/23/2021

**SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS**

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

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

| <b>1c - Date Sold or Disposed</b>  | <b>Quantity</b> | <b>1d - Proceeds</b> | <b>1b - Date Acquired</b> | <b>1e - Cost or Other Basis</b> | <b>1f - Accrued Market Discount (M) &amp; 1g - Wash Sale Loss Disallowed (D)</b> | <b>Gain or Loss (-)</b> | <b>Additional Notes</b> |
|--|-----------------|----------------------|---------------------------|---------------------------------|--|-------------------------|-------------------------|
| ONCONOVA THERAPEUTICS INC COMMON STOCK   CUSIP: 68232V405   Symbol: ONTX |                 |                      |                           |                                 |  |                         |                         |
| 06/01/2020   | 2,500.00        | 1,059.67             | Various                   | 1,110.65                        | 50.98 D  | 0.00                    | Sale                    |
| 06/01/2020   | 2,500.00        | 1,059.67             | Various                   | 1,100.49                        | 40.82 D  | 0.00                    | Sale                    |
| 06/01/2020   | 2,540.00        | 1,084.25             | Various                   | 1,132.52                        | 48.27 D  | 0.00                    | Sale                    |
| 06/02/2020   | 5,000.00        | 2,556.07             | Various                   | 2,539.62                        | 0.15 D   | 16.60                   | Sale                    |
| 06/02/2020   | 10,989.00       | 4,998.57             | Various                   | 5,013.88                        | 114.62 D   | 99.31                   | Sale                    |
| 06/05/2020   | 5,000.00        | 2,448.84             | Various                   | 2,525.15                        | 76.31 D  | 0.00                    | Sale                    |
| 06/08/2020   | 2,500.00        | 1,212.17             | Various                   | 1,284.74                        | 72.57 D  | 0.00                    | Sale                    |
| 06/09/2020   | 2,500.00        | 1,249.67             | 06/03/2020                | 1,255.57                        | 5.9 D  | 0.00                    | Sale                    |
| 06/10/2020   | 1,000.00        | 565.86               | Various                   | 507.62                          | 0.00   | 58.24                   | Sale                    |
| 06/10/2020   | 1,000.00        | 560.96               | 06/10/2020                | 507.46                          | 0.00   | 53.50                   | Sale                    |
| 06/11/2020   | 1,000.00        | 686.36               | Various                   | 612.37                          | 0.00   | 73.99                   | Sale                    |
| 06/11/2020   | 1,500.00        | 959.79               | Various                   | 1,012.59                        | 52.8 D   | 0.00                    | Sale                    |
| 06/11/2020   | 2,000.00        | 1,221.72             | Various                   | 1,243.98                        | 34.24 D  | 11.98                   | Sale                    |
| 06/15/2020   | 1,000.00        | 588.86               | 06/11/2020                | 644.24                          | 55.38 D  | 0.00                    | Sale                    |
| 06/15/2020   | 1.00            | 0.57                 | 06/12/2020                | 0.63                            | 0.06 D   | 0.00                    | Sale                    |
| 06/15/2020   | 999.00          | 591.27               | 06/12/2020                | 629.75                          | 38.48 D  | 0.00                    | Sale                    |
| 06/17/2020   | 585.00          | 343.84               | 06/16/2020                | 353.00                          | 9.16 D   | 0.00                    | Sale                    |
| 06/17/2020   | 1,000.00        | 567.36               | Various                   | 583.87                          | 16.51 D  | 0.00                    | Sale                    |
| 06/19/2020   | 1,000.00        | 583.16               | Various                   | 588.91                          | 10.51 D  | 4.76                    | Sale                    |
| 06/22/2020   | 100.00          | 61.98                | 06/19/2020                | 60.39                           | 0.00   | 1.59                    | Sale                    |
| 06/22/2020   | 500.00          | 310.48               | Various                   | 313.79                          | 3.31 D   | 0.00                    | Sale                    |
| 06/22/2020   | 900.00          | 539.87               | Various                   | 528.72                          | 1.29 D   | 12.44                   | Sale                    |
| 06/24/2020   | 500.00          | 304.93               | Various                   | 307.01                          | 2.08 D   | 0.00                    | Sale                    |
| 07/13/2020   | 1,000.00        | 582.36               | Various                   | 592.08                          | 9.72 D   | 0.00                    | Sale                    |
| 07/21/2020   | 93.00           | 132.97               | 07/21/2020                | 130.20                          | 0.00   | 2.77                    | Sale                    |
| 07/21/2020   | 250.00          | 338.71               | 07/21/2020                | 305.00                          | 0.00   | 33.71                   | Sale                    |
| 07/21/2020   | 250.00          | 339.96               | 07/21/2020                | 317.50                          | 0.00   | 22.46                   | Sale                    |

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

APEX CLEARING

## Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B\*

OMB No. 1545-0715

5MQ16480

(continued)

01/23/2021

**SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS**

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

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

| <b>1c - Date Sold or Disposed</b>  | <b>Quantity</b> | <b>1d - Proceeds</b> | <b>1b - Date Acquired</b> | <b>1e - Cost or Other Basis</b> | <b>1f - Accrued Market Discount (M) &amp; 1g - Wash Sale Loss Disallowed (D)</b> | <b>Gain or Loss (-)</b> | <b>Additional Notes</b> |
|--|-----------------|----------------------|---------------------------|---------------------------------|--|-------------------------|-------------------------|
| ONCONOVA THERAPEUTICS INC COMMON STOCK   CUSIP: 68232V405   Symbol: ONTX |                 |                      |                           |                                 |  |                         |                         |
| 07/21/2020   | 500.00          | 694.92               | 07/21/2020                | 650.00                          | 0.00   | 44.92                   | Sale                    |
| 07/21/2020   | 750.00          | 1,042.38             | Various                   | 997.81                          | 0.00   | 44.57                   | Sale                    |
| 07/21/2020   | 750.00          | 1,004.88             | Various                   | 954.41                          | 0.00   | 50.47                   | Sale                    |
| 07/21/2020   | 750.00          | 1,012.38             | 07/21/2020                | 952.50                          | 0.00   | 59.88                   | Sale                    |
| 07/21/2020   | 1,000.00        | 1,349.85             | Various                   | 1,255.00                        | 0.00   | 94.85                   | Sale                    |
| 07/22/2020   | 1,000.00        | 1,249.85             | 07/22/2020                | 1,249.80                        | 0.00   | 0.05                    | Sale                    |
| 07/23/2020   | 750.00          | 929.88               | Various                   | 905.00                          | 0.00   | 24.88                   | Sale                    |
| 07/27/2020   | 500.00          | 619.92               | 07/23/2020                | 605.00                          | 0.00   | 14.92                   | Sale                    |
| 08/17/2020   | 750.00          | 776.14               | Various                   | 932.99                          | 156.85 D   | 0.00                    | Sale                    |
| 08/24/2020   | 750.00          | 284.90               | Various                   | 884.35                          | 445.14 D   | -154.31                 | Sale                    |
| 09/18/2020   | 500.00          | 184.63               | Various                   | 594.79                          | 0.00   | -410.16                 | Sale                    |
| <b>Security Totals:</b>  |                 | <b>63,978.53</b>     |                           | <b>65,127.40</b>                |  | <b>653.55</b>           |                         |
| <b>Totals:</b>   |                 | <b>1,777,318.82</b>  |                           | <b>1,819,837.18</b>             |  | <b>13,172.06</b>        |                         |

APEX CLEARING

## Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B\*

OMB No. 1545-0715

5MQ16480

(continued)

01/23/2021

**SHORT TERM TRANSACTIONS FOR NONCOVERED TAX LOTS**

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

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

| <b>1c - Date Sold or Disposed</b>                      | <b>Quantity</b> | <b>1d - Proceeds</b> | <b>Date Acquired</b> | <b>Cost or Other Basis</b> | <b>Accrued Market Discount (M) &amp; Wash Sale Loss Disallowed (D)</b> | <b>Gain or Loss (-)</b> | <b>Additional Notes</b>     |
|--|-----------------|----------------------|----------------------|----------------------------|--|-------------------------|-----------------------------|
| ISHARES SILVER SHARES   CUSIP: 46428Q109   Symbol: SLV |                 |                      |                      |                            |  |                         |                             |
| 06/02/2020   | 150.00          | 2,521.42             | 06/02/2020           | 2,506.40                   | 0.00   | 15.02                   | Sale<br>12- [X] Collectible |
| 06/03/2020   | 75.00           | 1,239.71             | 06/03/2020           | 1,250.25                   | 10.54 D  | 0.00                    | Sale<br>12- [X] Collectible |
| 06/15/2020   | 99.00           | 1,590.88             | Various              | 1,609.44                   | 0.00   | -18.56                  | Sale<br>12- [X] Collectible |
| 06/15/2020   | 100.00          | 1,604.95             | Various              | 1,620.54                   | 15.59 D  | 0.00                    | Sale<br>12- [X] Collectible |
| 06/15/2020   | 1.00            | 16.25                | 06/15/2020           | 16.15                      | 0.00   | 0.10                    | Sale<br>12- [X] Collectible |
| <b>Security Totals:</b>                                |                 | <b>6,973.21</b>      |                      | <b>7,002.78</b>            |  | <b>-3.44</b>            |                             |
| <b>Totals:</b>   |                 | <b>6,973.21</b>      |                      | <b>7,002.78</b>            |  | <b>-3.44</b>            |                             |

APEX CLEARING

Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B\*

OMB No. 1545-0715

5MQ16480

(continued)

01/23/2021

**LONG TERM TRANSACTIONS FOR COVERED TAX LOTS**

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

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

**Box 5:** Box Not Checked (Covered Security)

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

**Box 12:** Basis Reported to the IRS

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

1a - Description of property | CUSIP | Symbol

| 1c - Date Sold or Disposed | Quantity   | 1d - Proceeds | 1b - Date Acquired | 1e - Cost or Other Basis | 1f - Accrued Market Discount (M) & 1g - Wash Sale Loss Disallowed (D) | Gain or Loss (-) | Additional Notes |
|----------------------------|--|---------------|--------------------|--------------------------|---|------------------|------------------|
| LEVI STRAUSS & CO          | CLASS A COMMON STOCK   CUSIP: 52736R102   Symbol: LEVI |               |                    |                          |   |                  |                  |
| 05/13/2020                 | 1.00   | 11.96         | 05/05/2020         | 12.04                    | 0.00  | -0.08            | Sale             |
| <b>Totals:</b>             |  | <b>11.96</b>  |                    | <b>12.04</b>             |   | <b>-0.08</b>     |                  |

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

APEX CLEARING

## Miscellaneous Income - Details of Form 1099-MISC

2020

5MQ16480

01/23/2021

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

| Description   CUSIP   Symbol   |                      |                         |  |   |                                |   |
|--|----------------------|-------------------------|--|---|--------------------------------|---|
| Date   | Royalties<br>(Box 2) | Other Income<br>(Box 3) | Substitute Payments in Lieu of<br>Dividends or Interest<br>(Box 8) | Federal Income Tax<br>Withheld<br>(Box 4) | State Tax Withheld<br>(Box 15) | State (Box 13)<br>State Identification No. (Box 14) |
| HEWLETT PACKARD ENTERPRISE COMPANY COM   CUSIP: 42824C109   Symbol: HPE  |                      |                         |  |   |                                |   |
| 07/07/2020   | 0.00                 | 136.05                  | 0.00   | 0.00                                      | 0.00                           |   |
| LEVI STRAUSS & CO CLASS A COMMON STOCK   CUSIP: 52736R102   Symbol: LEVI |                      |                         |  |   |                                |   |
| 05/05/2020   | 0.00                 | 12.04                   | 0.00   | 0.00                                      | 0.00                           |   |
| ***UBS GROUP AG SHS   CUSIP: H42097107   Symbol: UBS                     |                      |                         |  |   |                                |   |
| 07/07/2020   | 0.00                 | 117.10                  | 0.00   | 0.00                                      | 0.00                           |   |
| <b>Totals:</b>   | <b>0.00</b>          | <b>265.19</b>           | <b>0.00</b>  | <b>0.00</b>                               | <b>0.00</b>                    |   |

APEX CLEARING

## Supplemental Information

2020

5MQ16480

01/23/2021

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

**Worthless Removal & Zero Net Sales**

| Description   CUSIP   Symbol                                      |          |             |               |                     |                 |  |             |
|---|----------|-------------|---------------|---------------------|-----------------|--|-------------|
| Date  | Quantity | Proceeds    | Date Acquired | Cost of Other basis | Gain or Loss(-) |  |             |
| XPRESSPA GROUP INC COMMON STOCK   CUSIP: 98420U703   Symbol: XSPA |          |             |               |                     |                 |  |             |
| 06/11/2020  | 0.000001 | 0.00        | 06/11/2020    | 0.00                | 0.00            |  |             |
| 06/12/2020  | 0.000001 | 0.00        | 06/12/2020    | 0.00                | 0.00            |  |             |
| 06/12/2020  | 0.000001 | 0.00        | 06/11/2020    | 0.00                | 0.00            |  |             |
| <b>Security Total:</b>  |          | <b>0.00</b> |               | <b>0.00</b>         | <b>0.00</b>     |  | <b>0.00</b> |
| <b>Totals:</b>  |          | <b>0.00</b> |               | <b>0.00</b>         | <b>0.00</b>     |  | <b>0.00</b> |

## Common Instructions for Recipient

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

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

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

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

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

### Keep tax documents for your records.

#### 1099-DIV Instructions for Recipient

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

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

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

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

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

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

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

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

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

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

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

**Box 7.** Shows the foreign tax that you may be able to claim as a deduction or a credit on Form 1040 or 1040-SR. See the Instructions for Forms 1040 or 104-SR.

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

**Boxes 15-17.** State tax withheld reporting boxes.

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

#### 1099-B Instructions for Recipient

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

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

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

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

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

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

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



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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

#### 1099-MISC Instructions for Recipient

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

#### 1099-OID Instructions for Recipient

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

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

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

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

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

**Box 2.** Shows qualified stated interest on this obligation for the year, which is an amount separate from the OID. If you held the obligation the entire year, report this amount as interest income on your tax return. If you disposed of the obligation or acquired it from another holder during the year, see Pub. 550 for reporting instructions. If there is an amount in both boxes 2 and 8, the amount in box 2 is interest on a U.S. Treasury obligation and is exempt from state and local income taxes. If there is an amount in both boxes 2 and 11, the amount in box 2 is tax-exempt interest

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

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

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

withheld.

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

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

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

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

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

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

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

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

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

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

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

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

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

**Boxes 12–14.** State income tax withheld reporting.

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