

 Member FINRA/SIPC PO BOX 2209 OMAHA, NE 68103-2209 Client Services: 800-669-3900	<b>Tax Information</b> <b>Account 275227586</b>	Statement Date: 02/04/2021 CORRECTED Document ID: 52Q3 68T 3F18	2020
	MANIKANTH NALLAMALA 13673 LEGACY CIR K HERNDON, VA 20171-4758		
PAYER'S TIN: 47-0533629	RECIPIENT'S TIN: XXX-XX-7216		

**Summary Information**

<p><b>DIVIDENDS AND DISTRIBUTIONS</b>      <b>2020 1099-DIV*</b>      OMB No. 1545-0110</p> <p>1a- Total ordinary dividends (includes lines 1b, 5)      0.00</p> <p>1b- Qualified dividends      0.00</p> <p>2a- Total capital gain distributions (includes lines 2b, 2c, 2d)      0.00</p> <p>2b- Unrecaptured Section 1250 gain      0.00</p> <p>2c- Section 1202 gain      0.00</p> <p>2d- Collectibles (28%) gain      0.00</p> <p>3- Nondividend distributions      0.00</p> <p><b>4- Federal income tax withheld</b>      <b>0.00</b></p> <p>5- Section 199A dividends      0.00</p> <p>6- Investment expenses      0.00</p> <p>8- Foreign country or US possession:      0.00</p> <p>7- Foreign tax paid:      0.00</p> <p>9- Cash liquidation distributions      0.00</p> <p>10- Noncash liquidation distributions      0.00</p> <p>11- Exempt-interest dividends (includes line 12)      0.00</p> <p>12- Specified private activity bond interest dividends (AMT)      0.00</p>	<p><b>MISCELLANEOUS INCOME</b>      <b>2020 1099-MISC*</b>      OMB No. 1545-0115</p> <p>2- Royalties      0.00</p> <p>3- Other income      50.00</p> <p><b>4- Federal income tax withheld</b>      <b>0.00</b></p> <p>8- Substitute payments in lieu of dividends or interest      0.00</p> <p><b>SECTION 1256 CONTRACTS</b>      <b>2020 1099-B*</b>      OMB No. 1545-0715</p> <p>8- Profit or (loss) realized in 2020 on closed contracts      0.00</p> <p>9- Unrealized profit or (loss) on open contracts-12/31/2019      0.00</p> <p>10- Unrealized profit or (loss) on open contracts-12/31/2020      0.00</p> <p>11- Aggregate profit or (loss) on contracts      0.00</p> <p style="text-align: center;"><i>If applicable, proceeds from sale transactions appear summarized below and are detailed in subsequent sections of this document.</i></p>
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**SUMMARY OF PROCEEDS, GAINS & LOSSES, ADJUSTMENTS AND WITHHOLDING**

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

Term	Form 8949 type	Proceeds	Cost basis	Market discount	Wash sale loss disallowed	Net gain or loss(-)
Short	A (basis reported to the IRS)	2,754,299.86	2,830,026.87	0.00	73,437.46	-2,289.55 C
Short	B (basis not reported to the IRS)	26,499.40	29,500.50	0.00	0.00	-3,001.10 C
Short	C (Form 1099-B not received)	0.00	0.00	0.00	0.00	0.00
<b>Total Short-term</b>		<b>2,780,799.26</b>	<b>2,859,527.37</b>	<b>0.00</b>	<b>73,437.46</b>	<b>-5,290.65</b>
Long	D (basis reported to the IRS)	0.00	0.00	0.00	0.00	0.00
Long	E (basis not reported to the IRS)	0.00	0.00	0.00	0.00	0.00
Long	F (Form 1099-B not received)	0.00	0.00	0.00	0.00	0.00
<b>Total Long-term</b>		<b>0.00</b>	<b>0.00</b>	<b>0.00</b>	<b>0.00</b>	<b>0.00</b>
Undetermined	B or E (basis not reported to the IRS)	0.00	0.00	0.00	0.00	0.00
Undetermined	C or F (Form 1099-B not received)	0.00	0.00	0.00	0.00	0.00
<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>
<b>Grand total</b>		<b>2,780,799.26</b>	<b>2,859,527.37</b>	<b>0.00</b>	<b>73,437.46</b>	<b>-5,290.65</b>

Withholding	Amount
Federal income tax withheld	0.00

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

TD Ameritrade Clearing, Inc.

Account 275227586

**Summary Information**

2020

(continued)

02/04/2021 CORRECTED

**INTEREST INCOME**

**2020 1099-INT**

OMB No. 1545-0112

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1- Interest income (not included in line 3)	0.32
2- Early withdrawal penalty	0.00
3- Interest on US Savings Bonds & Treasury obligations	0.00
<b>4- Federal income tax withheld</b>	<b>0.00</b>
5- Investment expenses	0.00
7- Foreign country or US possession: 6- Foreign tax paid:	0.00
8- Tax-exempt interest (includes line 9)	0.00
9- Specified private activity bond interest (AMT)	0.00
10- Market discount (covered lots)	0.00
11- Bond premium (covered lots)	0.00
12- Bond premium on Treasury obligations (covered lots)	0.00
13- Bond premium on tax-exempt bonds (categorized below)	0.00
<i>Tax-exempt obligations (covered lots)</i>	0.00
<i>Tax-exempt private activity obligations (AMT, covered lots)</i>	0.00
14- Tax-exempt and tax credit bond CUSIP number	See detail

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

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

**STATE TAX WITHHELD**

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

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

**ORIGINAL ISSUE DISCOUNT AND ADJUSTMENTS**

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

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

**RECONCILIATIONS, FEES, EXPENSES AND EXPENDITURES**

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

Other Receipts & Reconciliations- Partnership distributions	0.00
Other Receipts & Reconciliations- Foreign tax paid- partnership	0.00
Other Receipts & Reconciliations- Return of principal	0.00
Other Receipts & Reconciliations- Deferred income payment	0.00
Other Receipts & Reconciliations- Deemed premium	0.00
Other Receipts & Reconciliations- Income accrual- UIT	0.00
Other Receipts & Reconciliations- Basis adjustments	0.00
Other Receipts & Reconciliations- Foreign tax pd beyond treaty	0.00
Fees & Expenses- Margin interest	314.01
Fees & Expenses- Dividends paid on short position	0.00
Fees & Expenses- Interest paid on short position	0.00
Fees & Expenses- Non reportable distribution expense	0.00
Fees & Expenses- Other expenses	0.00
Fees & Expenses- Severance tax	0.00
Fees & Expenses- Organizational expense	0.00
Fees & Expenses- Miscellaneous fees	0.00
Fees & Expenses- Tax-exempt investment expense	0.00
Foreign Exchange Gains & Losses- Foreign currency gain/loss	0.00

TD Ameritrade Clearing, Inc.

Account 275227586

**Proceeds from Broker and Barter Exchange Transactions**

2020 1099-B\* OMB No. 1545-0715

02/04/2021 CORRECTED

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

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

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

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

FATCA filing requirement [ ]

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

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

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

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

1c- Date sold or disposed	Quantity	1d- Proceeds & 6- Reported (G)ross or (N)et	1b- Date acquired	1e- Cost or other basis	1f- Accrued mkt disc (D) & 1g- Wash sale loss disallowed (W)	7- Gain or loss(-) & Loss not allowed (X) also not reported (Z)	Additional information
ACUITY BRANDS INC COM / CUSIP: 00508Y102 / Symbol: AYI							
10/13/20	210.000	23,777.45	Various	23,312.10	...	465.35	Total of 2 transactions
ADVANCED MICRO DEVICES INC COM / CUSIP: 007903107 / Symbol: AMD							
08/10/20	73.000	6,233.46	08/06/20	6,205.00	...	28.46	Short sale closed
08/17/20	190.000	15,686.39	Various	15,443.05	...	243.34	Total of 2 transactions
09/14/20	295.000	22,797.06	09/11/20	22,496.70	...	300.36	Sale
	<b>Security total:</b>	<b>44,716.91</b>		<b>44,144.75</b>	...	<b>572.16</b>	
ALBIREO PHARMA INC COM / CUSIP: 01345P106 / Symbol: ALBO							
09/08/20	100.000	3,889.89	09/08/20	3,939.07	...	-49.18	Sale
09/08/20	200.000	7,779.85	09/08/20	7,830.00	20.07 W	-30.08	Sale
09/10/20	12.000	466.79	09/08/20	468.00	1.21 W	0.00	Short sale closed
09/11/20	250.000	9,729.97	09/09/20	11,151.46	...	-1,421.49	Short sale closed
09/11/20	400.000	15,559.60	09/09/20	16,701.21	713.96 W	-427.65	Short sale closed
	<b>Security total:</b>	<b>37,426.10</b>		<b>40,089.74</b>	<b>735.24 W</b>	<b>-1,928.40</b>	
ALTERYX INC COM CL A / CUSIP: 02156B103 / Symbol: AYY							
08/12/20	26.000	2,799.29	Various	3,065.49	...	-266.20	Total of 3 transactions
08/12/20	146.000	15,767.63	Various	17,493.57	1,016.95 W	-708.99	Total of 2 transactions
	<b>Security total:</b>	<b>18,566.92</b>		<b>20,559.06</b>	<b>1,016.95 W</b>	<b>-975.19</b>	

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Account 275227586

## Proceeds from Broker and Barter Exchange Transactions

2020 1099-B\* OMB No. 1545-0715

(continued)

02/04/2021 CORRECTED

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AMERICAN WOODMARK CORP COM / CUSIP: 030506109 / Symbol: AMWD							
08/27/20	51.000	4,852.08	Various	4,837.14	...	14.94	Total of 2 transactions
10/14/20	285.000	26,904.65	10/12/20	26,106.00	...	798.65	Short sale closed
	<b>Security total:</b>	<b>31,756.73</b>		<b>30,943.14</b>	...	<b>813.59</b>	
APPLE INC COM / CUSIP: 037833100 / Symbol: AAPL							
08/31/20	148.000	19,257.40	Various	18,525.90	...	731.50	Total of 2 transactions
09/02/20	100.000	13,139.70	08/27/20	12,517.50	...	622.20	Sale
09/03/20	352.000	42,598.62	Various	45,959.49	3,360.87 W	0.00	Total of 2 transactions
09/08/20	490.000	55,853.82	Various	67,511.85	11,658.03 W	0.00	Total of 5 transactions
09/14/20	300.000	34,433.20	09/11/20	39,140.04	4,988.57 W	281.73	Sale
09/17/20	200.000	22,052.50	Various	26,117.53	4,065.03 W	0.00	Total of 2 transactions
09/18/20	50.000	5,352.37	09/16/20	7,058.54	1,706.17 W	0.00	Sale
09/22/20	40.000	4,416.73	09/18/20	4,386.10	...	30.63	Sale
09/22/20	505.000	56,430.19	Various	65,376.12	9,183.18 W	237.25	Total of 6 transactions
09/24/20	100.000	10,762.75	09/23/20	12,054.53	...	-1,291.78	Sale
09/24/20	400.000	43,061.00	Various	49,741.12	4,890.84 W	-1,789.28	Total of 2 transactions
	<b>Security total:</b>	<b>307,358.28</b>		<b>348,388.72</b>	<b>39,852.69 W</b>	<b>-1,177.75</b>	
ARCHER-DANIELS-MIDLAND CO COM / CUSIP: 039483102 / Symbol: ADM							
10/28/20	645.000	33,768.66	Various	33,456.15	...	312.51	Total of 2 transactions
AT HOME GROUP INC COM / CUSIP: 04650Y100 / Symbol: HOME							
09/03/20	700.000	16,388.57	09/01/20	14,707.00	...	1,681.57	Short sale closed
AURORA CANNABIS INC COM / CUSIP: 05156X884 / Symbol: ACB							
11/24/20	2,750.000	24,352.88	Various	23,512.50	...	840.38	Total of 5 transactions
BAIDU INC ADR / CUSIP: 056752108 / Symbol: BIDU							
12/16/20	240.000	46,954.95	Various	46,200.00	...	754.95	Total of 3 transactions
BAOZUN INC ADR / CUSIP: 06684L103 / Symbol: BZUN							
08/24/20	400.000	16,179.59	Various	16,457.00	...	-277.41	Sale
BEST BUY CO INC COM / CUSIP: 086516101 / Symbol: BBY							
08/27/20	250.000	29,283.91	Various	27,502.50	...	1,781.41	Total of 3 transactions

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TD Ameritrade Clearing, Inc.

Account 275227586

## Proceeds from Broker and Barter Exchange Transactions

2020 1099-B\* OMB No. 1545-0715

(continued)

02/04/2021 CORRECTED

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

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

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

1c- Date sold or disposed	Quantity	1d- Proceeds & 6- Reported (G)ross or (N)et	1b- Date acquired	1e- Cost or other basis	1f- Accrued mkt disc (D) & 1g- Wash sale loss disallowed (W)	Gain or loss(-) & 7- Loss not allowed (X) also not reported (Z)	Additional information
BIOXCEL THERAPEUTICS INC COM / CUSIP: 09075P105 / Symbol: BTAI							
08/18/20	70.000	3,132.42	Various	2,631.10	...	501.32	Total of 3 transactions
08/19/20	239.000	10,697.08	Various	9,160.00	...	1,537.08	Total of 2 transactions
	<b>Security total:</b>	<b>13,829.50</b>		<b>11,791.10</b>	...	<b>2,038.40</b>	
CHURCHILL DOWNS INC COM / CUSIP: 171484108 / Symbol: CHDN							
09/30/20	100.000	16,998.61	09/28/20	17,470.00	...	-471.39	Short sale closed
CLOUDFLARE INC COM CL A / CUSIP: 18915M107 / Symbol: NET							
08/11/20	140.000	5,897.85	Various	5,600.00	...	297.85	Total of 2 transactions
CONSTELLATION BRANDS INC COM CL A / CUSIP: 21036P108 / Symbol: STZ							
10/01/20	150.000	27,690.87	09/30/20	29,086.14	...	-1,395.27	Sale
10/01/20	200.000	36,923.07	Various	37,992.31	874.95 W	-194.29	Total of 3 transactions
	<b>Security total:</b>	<b>64,613.94</b>		<b>67,078.45</b>	<b>874.95 W</b>	<b>-1,589.56</b>	
CORCEPT THERAPEUTICS INC COM / CUSIP: 218352102 / Symbol: CORT							
09/08/20	300.000	6,524.83	09/03/20	5,700.00	...	824.83	Short sale closed
CRACKER BARREL OLD COM / CUSIP: 22410J106 / Symbol: CBRL							
09/17/20	338.000	46,661.93	Various	44,819.38	...	1,842.55	Total of 2 transactions
CREE INC COM / CUSIP: 225447101 / Symbol: CREE							
08/21/20	200.000	13,634.68	Various	12,550.00	...	1,084.68	Total of 2 transactions
DADA NEXUS LTD ADR / CUSIP: 23344D108 / Symbol: DADA							
12/04/20	300.000	13,064.68	Various	13,680.00	...	-615.32	Total of 2 transactions
12/09/20	500.000	19,749.50	12/03/20	22,800.00	...	-3,050.50	Sale
	<b>Security total:</b>	<b>32,814.18</b>		<b>36,480.00</b>	...	<b>-3,665.82</b>	
DICERNA PHARMACEUTICALS INC COM / CUSIP: 253031108 / Symbol: DRNA							
10/19/20	450.000	9,272.72	10/15/20	9,112.50	...	160.22	Short sale closed

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**Proceeds from Broker and Barter Exchange Transactions**

2020 1099-B\* OMB No. 1545-0715

(continued)

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DIGITAL TURBINE INC COM / CUSIP: 25400W102 / Symbol: APPS							
08/17/20	40.000	1,039.20	08/14/20	992.00	...	47.20	Sale
10/19/20	600.000	23,815.40	Various	23,160.00	...	655.40	Total of 3 transactions
10/19/20	900.000	32,966.16	10/16/20	34,721.99	1,755.83 W	0.00	Sale
10/22/20	1,600.000	55,488.59	Various	56,491.83	...	-1,003.24	Total of 3 transactions
	<b>Security total:</b>	<b>113,309.35</b>		<b>115,365.82</b>	<b>1,755.83 W</b>	<b>-300.64</b>	
ENPHASE ENERGY INC COM / CUSIP: 29355A107 / Symbol: ENPH							
10/30/20	700.000	72,098.33	10/28/20	71,960.00	...	138.33	Short sale closed
FASTLY INC COM CL A / CUSIP: 31188V100 / Symbol: FSLY							
08/07/20	45.000	4,874.40	08/05/20	4,455.00	...	419.40	Short sale closed
FEDEX CORP COM / CUSIP: 31428X106 / Symbol: FDX							
09/18/20	140.000	34,669.22	09/16/20	36,302.93	...	-1,633.71	Short sale closed
09/18/20	100.000	23,699.47	09/16/20	25,001.00	1,301.53 W	0.00	Short sale closed
	<b>Security total:</b>	<b>58,368.69</b>		<b>61,303.93</b>	<b>1,301.53 W</b>	<b>-1,633.71</b>	
FOOT LOCKER INC COM / CUSIP: 344849104 / Symbol: FL							
08/25/20	6.000	166.32	08/21/20	166.50	...	-0.18	Short sale closed
08/25/20	300.000	8,274.79	08/21/20	8,265.00	1.20 W	10.99	Short sale closed
	<b>Security total:</b>	<b>8,441.11</b>		<b>8,431.50</b>	<b>1.20 W</b>	<b>10.81</b>	
FULLER (HB) CO COM / CUSIP: 359694106 / Symbol: FUL							
09/24/20	200.000	9,383.77	09/23/20	9,233.00	...	150.77	Sale
GENERAL MILLS INC COM / CUSIP: 370334104 / Symbol: GIS							
09/25/20	1,069.000	62,141.70	09/23/20	62,012.69	...	129.01	Short sale closed
GENESCO INC COM / CUSIP: 371532102 / Symbol: GCO							
09/08/20	100.000	2,185.94	09/03/20	2,186.00	...	-0.06	Short sale closed
GUESS INC COM / CUSIP: 401617105 / Symbol: GES							
09/04/20	750.000	9,465.30	09/02/20	10,076.25	...	-610.95	Short sale closed
HARPOON THERAPEUTICS INC COM / CUSIP: 41358P106 / Symbol: HARP							
08/26/20	1,000.000	16,068.35	Various	13,655.00	...	2,413.35	Total of 3 transactions

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TD Ameritrade Clearing, Inc.

Account 275227586

**Proceeds from Broker and Barter Exchange Transactions**

2020 1099-B\* OMB No. 1545-0715

(continued)

02/04/2021 CORRECTED

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

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

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

1c- Date sold or disposed	Quantity	1d- Proceeds & 6- Reported (G)ross or (N)et	1b- Date acquired	1e- Cost or other basis	1f- Accrued mkt disc (D) & 1g- Wash sale loss disallowed (W)	Gain or loss(-) & 7- Loss not allowed (X) also not reported (Z)	Additional information
HASBRO INC COM / CUSIP: 418056107 / Symbol: HAS							
10/26/20	189.000	16,820.61	10/23/20	17,416.90	...	-596.29	Sale
HEALTH EQUITY INC COM / CUSIP: 42226A107 / Symbol: HQY							
09/10/20	300.000	18,097.58	Various	17,549.51	...	548.07	Total of 2 transactions
HYLIION HOLDINGS CORP COM / CUSIP: 449109107 / Symbol: HYLN							
10/02/20	200.000	8,129.80	10/01/20	10,781.70	...	-2,651.90	Sale
10/02/20	300.000	12,180.20	Various	14,250.00	1,379.70 W	-690.10	Total of 2 transactions
	<b>Security total:</b>	<b>20,310.00</b>		<b>25,031.70</b>	<b>1,379.70 W</b>	<b>-3,342.00</b>	
IROBOT CORP COM / CUSIP: 462726100 / Symbol: IRBT							
10/23/20	450.000	43,288.99	Various	39,700.91	...	3,588.08	Total of 4 transactions
JOHN BEAN TECH COR COM / CUSIP: 477839104 / Symbol: JBT							
10/30/20	4.000	359.99	10/28/20	326.00	...	33.99	Short sale closed
JUMIA TECHNOLOGIES AG ADR SPONSORED / CUSIP: 48138M105 / Symbol: JMIA							
11/30/20	654.000	21,765.45	Various	19,748.10	...	2,017.35	Total of 5 transactions
12/10/20	50.000	1,859.95	12/09/20	1,650.50	...	209.45	Sale
12/11/20	650.000	24,728.37	Various	21,456.50	...	3,271.87	Total of 2 transactions
12/14/20	454.000	17,841.76	12/11/20	17,256.54	...	585.22	Sale
12/15/20	900.000	32,234.16	Various	33,939.00	1,704.84 W	0.00	Total of 3 transactions
12/18/20	900.000	38,789.03	12/17/20	36,687.84	...	2,101.19	Sale
12/21/20	450.000	18,801.89	Various	19,306.05	504.16 W	0.00	Total of 2 transactions
12/23/20	20.000	994.98	12/21/20	838.20	...	156.78	Sale
12/24/20	880.000	39,599.01	Various	37,277.41	...	2,321.60	Total of 2 transactions
12/29/20	1,000.000	40,448.98	Various	43,750.00	3,164.48 W	-136.54	Total of 2 transactions
12/30/20	58.000	2,453.34	12/29/20	2,496.96	...	-43.62	Sale
	<b>Security total:</b>	<b>239,516.92</b>		<b>234,407.10</b>	<b>5,373.48 W</b>	<b>10,483.30</b>	
KOHLS CORPORATION COM / CUSIP: 500255104 / Symbol: KSS							
08/20/20	428.000	10,122.15	Various	8,978.20	...	1,143.95	Total of 3 transactions

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TD Ameritrade Clearing, Inc.

Account 275227586

## Proceeds from Broker and Barter Exchange Transactions

2020 1099-B\* OMB No. 1545-0715

(continued)

02/04/2021 CORRECTED

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

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

1c- Date sold or disposed	Quantity	1d- Proceeds & 6- Reported (G)ross or (N)et	1b- Date acquired	1e- Cost or other basis	1f- Accrued mkt disc (D) & 1g- Wash sale loss disallowed (W)	Gain or loss(-) & 7- Loss not allowed (X) also not reported (Z)	Additional information
LIMITED BRANDS INC COM / CUSIP: 501797104 / Symbol: LB							
08/21/20	100.000	3,000.92	08/19/20	3,010.00	9.08 W	0.00	Short sale closed
08/24/20	235.000	7,095.32	Various	6,967.18	...	128.14	Total of 2 transactions
08/24/20	300.000	8,904.77	Various	8,954.23	90.38 W	40.92	Total of 2 transactions
	<b>Security total:</b>	<b>19,001.01</b>		<b>18,931.41</b>	<b>99.46 W</b>	<b>169.06</b>	
LA-Z-BOY INC COM / CUSIP: 505336107 / Symbol: LZB							
08/24/20	200.000	6,481.84	08/20/20	6,580.00	...	-98.16	Short sale closed
LAMB WESTON HLDGS INC COM / CUSIP: 513272104 / Symbol: LW							
10/13/20	196.000	14,474.26	10/08/20	14,902.21	...	-427.95	Short sale closed
10/13/20	200.000	14,505.06	10/08/20	14,840.00	333.53 W	-1.41	Short sale closed
	<b>Security total:</b>	<b>28,979.32</b>		<b>29,742.21</b>	<b>333.53 W</b>	<b>-429.36</b>	
LANDS END INC COM / CUSIP: 51509F105 / Symbol: LE							
09/04/20	548.000	8,114.91	09/02/20	8,115.88	...	-0.97	Short sale closed
LAUREATE EDUCATION INC COM CL A / CUSIP: 518613203 / Symbol: LAUR							
09/16/20	200.000	2,899.92	09/14/20	2,670.00	...	229.92	Short sale closed
MAXLINEAR INC COM / CUSIP: 57776J100 / Symbol: MXL							
10/27/20	2,000.000	53,198.58	Various	55,345.00	...	-2,146.42	Total of 4 transactions
MAXAR TECHNOLOGIES INC COM / CUSIP: 57778K105 / Symbol: MAXR							
08/11/20	100.000	2,504.92	08/07/20	2,455.00	...	49.92	Short sale closed
MICHAELS CO INC COM / CUSIP: 59408Q106 / Symbol: MIK							
09/08/20	300.000	3,374.91	09/03/20	3,375.00	...	-0.09	Short sale closed
HERMAN MILLER INC COM / CUSIP: 600544100 / Symbol: MLHR							
09/22/20	200.000	6,309.84	09/18/20	9,061.29	...	-2,751.45	Short sale closed
09/22/20	1,000.000	29,447.26	Various	37,140.36	4,836.65 W	-2,856.45	Total of 2 transactions
	<b>Security total:</b>	<b>35,757.10</b>		<b>46,201.65</b>	<b>4,836.65 W</b>	<b>-5,607.90</b>	
NIO INC ADR / CUSIP: 62914V106 / Symbol: NIO							
12/17/20	496.000	22,237.62	Various	22,260.48	...	-22.86	Total of 2 transactions

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TD Ameritrade Clearing, Inc.

Account 275227586

## Proceeds from Broker and Barter Exchange Transactions

2020 1099-B\* OMB No. 1545-0715

(continued)

02/04/2021 CORRECTED

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

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1c- Date sold or disposed	Quantity	1d- Proceeds & 6- Reported (G)ross or (N)et	1b- Date acquired	1e- Cost or other basis	1f- Accrued mkt disc (D) & 1g- Wash sale loss disallowed (W)	Gain or loss(-) & 7- Loss not allowed (X) also not reported (Z)	Additional information
NEW ORIENTAL EDUCATION AND TEC ADR / CUSIP: 647581107 / Symbol: EDU							
10/15/20	175.000	29,912.16	Various	28,682.25	...	1,229.91	Total of 2 transactions
NOVAVAX INC COM / CUSIP: 670002401 / Symbol: NVAX							
08/13/20	15.000	2,044.45	08/12/20	2,027.76	...	16.69	Sale
08/13/20	75.000	10,159.77	Various	11,507.82	1,310.48 W	-37.57	Total of 4 transactions
	<b>Security total:</b>	<b>12,204.22</b>		<b>13,535.58</b>	<b>1,310.48 W</b>	<b>-20.88</b>	
ORASURE TECHNOLOGIES INC COM / CUSIP: 68554V108 / Symbol: OSUR							
09/16/20	100.000	1,164.96	09/14/20	1,095.00	...	69.96	Short sale closed
OWENS & MINOR INC COM / CUSIP: 690732102 / Symbol: OMI							
09/29/20	250.000	5,099.86	09/25/20	5,100.00	...	-0.14	Short sale closed
PALO ALTO NETWORKS INC COM / CUSIP: 697435105 / Symbol: PANW							
08/26/20	148.000	39,399.01	08/24/20	38,480.00	...	919.01	Short sale closed
PAYCHEX INC COM / CUSIP: 704326107 / Symbol: PAYX							
10/08/20	607.000	49,452.15	Various	49,056.90	...	395.25	Total of 4 transactions
PENUMBRA INC COM / CUSIP: 70975L107 / Symbol: PEN							
11/02/20	202.000	50,110.87	Various	53,862.60	...	-3,751.73	Total of 2 transactions
11/02/20	70.000	17,359.61	10/29/20	18,452.33	156.10 W	-936.62	Short sale closed
	<b>Security total:</b>	<b>67,470.48</b>		<b>72,314.93</b>	<b>156.10 W</b>	<b>-4,688.35</b>	
PINTEREST INC COM CL A / CUSIP: 72352L106 / Symbol: PINS							
08/24/20	100.000	3,497.91	08/20/20	3,425.00	...	72.91	Short sale closed
10/30/20	1,000.000	56,498.63	10/28/20	64,010.00	...	-7,511.37	Short sale closed
	<b>Security total:</b>	<b>59,996.54</b>		<b>67,435.00</b>	...	<b>-7,438.46</b>	
PREMIER INC COM CL A / CUSIP: 74051N102 / Symbol: PINC							
08/27/20	100.000	3,369.92	08/25/20	3,243.00	...	126.92	Short sale closed
PURPLE INNOVATION INC COM / CUSIP: 74640Y106 / Symbol: PRPL							
08/17/20	550.000	13,511.46	Various	11,523.00	...	1,988.46	Total of 3 transactions
QIWI PLC ADR / CUSIP: 74735M108 / Symbol: QIWI							
08/21/20	200.000	4,016.30	08/19/20	3,960.00	...	56.30	Short sale closed

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Account 275227586

**Proceeds from Broker and Barter Exchange Transactions**

2020 1099-B\* OMB No. 1545-0715

(continued)

02/04/2021 CORRECTED

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REGENXBIO INC COM / CUSIP: 75901B107 / Symbol: RGNX							
11/05/20	5.000	144.85	11/04/20	155.05	...	-10.20	Sale
REPLIGEN CORP COM / CUSIP: 759916109 / Symbol: RGEN							
11/04/20	110.000	18,719.57	11/02/20	18,672.50	...	47.07	Short sale closed
ROSS STORES INC COM / CUSIP: 778296103 / Symbol: ROST							
08/25/20	85.000	7,450.06	08/21/20	7,413.70	...	36.36	Short sale closed
08/26/20	165.000	14,489.41	Various	14,415.97	...	73.44	Total of 2 transactions
	<b>Security total:</b>	<b>21,939.47</b>		<b>21,829.67</b>	...	<b>109.80</b>	
SCANSOURCE INC COM / CUSIP: 806037107 / Symbol: SCSC							
09/03/20	794.000	19,650.49	Various	16,426.94	...	3,223.55	Total of 2 transactions
SHARP COMPLIANCE CORP COM / CUSIP: 820017101 / Symbol: SMED							
08/21/20	171.000	1,446.61	08/19/20	1,369.71	...	76.90	Short sale closed
SKYLINE CHAMPION CORPORATION COM / CUSIP: 830830105 / Symbol: SKY							
10/30/20	1,372.000	36,509.33	Various	33,671.00	...	2,838.33	Total of 3 transactions
SLEEP NUMBER CORPORATION COM / CUSIP: 83125X103 / Symbol: SNBR							
10/19/20	400.000	25,399.40	Various	25,204.00	...	195.40	Total of 2 transactions
SMARTSHEET INC COM CL A / CUSIP: 83200N103 / Symbol: SMAR							
09/04/20	500.000	29,682.29	09/02/20	27,750.00	...	1,932.29	Short sale closed
SONOS INC COM / CUSIP: 83570H108 / Symbol: SONO							
08/10/20	118.000	1,654.32	08/07/20	1,626.60	...	27.72	Sale
SUPERNUS PHARMACEUTICALS INC COM / CUSIP: 868459108 / Symbol: SUPN							
08/24/20	400.000	9,618.74	08/20/20	9,260.00	...	358.74	Short sale closed
SYNNEX CORP COM / CUSIP: 87162W100 / Symbol: SNX							
09/30/20	300.000	42,549.03	Various	40,145.00	...	2,404.03	Total of 3 transactions

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**Proceeds from Broker and Barter Exchange Transactions**

2020 1099-B\* OMB No. 1545-0715

(continued)

02/04/2021 CORRECTED

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TOLL BROS INC COM / CUSIP: 889478103 / Symbol: TOL							
08/28/20	200.000	9,224.78	08/26/20	9,621.23	...	-396.45	Short sale closed
08/28/20	300.000	13,834.67	Various	14,321.43	486.76 W	0.00	Total of 7 transactions
	<b>Security total:</b>	<b>23,059.45</b>		<b>23,942.66</b>	<b>486.76 W</b>	<b>-396.45</b>	
TRAVELERS COMPANIES INC COM / CUSIP: 89417E109 / Symbol: TRV							
10/22/20	289.000	32,297.35	10/20/20	34,871.21	...	-2,573.86	Short sale closed
10/22/20	200.000	22,347.48	10/20/20	23,660.00	682.51 W	-630.01	Short sale closed
	<b>Security total:</b>	<b>54,644.83</b>		<b>58,531.21</b>	<b>682.51 W</b>	<b>-3,203.87</b>	
UNITED NATURAL FOODS COM / CUSIP: 911163103 / Symbol: UNFI							
09/29/20	400.000	6,619.80	09/28/20	8,142.20	...	-1,522.40	Sale
09/29/20	1,000.000	16,524.52	Various	18,970.14	1,320.34 W	-1,125.28	Total of 2 transactions
	<b>Security total:</b>	<b>23,144.32</b>		<b>27,112.34</b>	<b>1,320.34 W</b>	<b>-2,647.68</b>	
URBAN OUTFITTERS INC COM / CUSIP: 917047102 / Symbol: URBN							
08/31/20	1,000.000	20,880.41	08/27/20	24,010.00	1,690.81 W	-1,438.78	Short sale closed
09/01/20	525.000	12,783.69	Various	13,999.06	...	-1,215.37	Total of 2 transactions
	<b>Security total:</b>	<b>33,664.10</b>		<b>38,009.06</b>	<b>1,690.81 W</b>	<b>-2,654.15</b>	
URBAN ONE INC COM CL A / CUSIP: 91705J105 / Symbol: UONE							
09/28/20	500.000	2,994.87	09/25/20	7,368.52	...	-4,373.65	Sale
09/28/20	2,000.000	11,869.48	Various	19,642.78	7,773.30 W	0.00	Total of 4 transactions
	<b>Security total:</b>	<b>14,864.35</b>		<b>27,011.30</b>	<b>7,773.30 W</b>	<b>-4,373.65</b>	
VAIL RESORTS INC COM / CUSIP: 91879Q109 / Symbol: MTN							
09/29/20	270.000	61,698.60	Various	60,052.70	...	1,645.90	Total of 2 transactions
VARONIS SYSTEMS INC COM / CUSIP: 922280102 / Symbol: VRNS							
10/29/20	451.000	59,419.04	Various	57,836.01	...	1,583.03	Total of 2 transactions
VERINT SYSTEMS INC COM / CUSIP: 92343X100 / Symbol: VRNT							
09/14/20	400.000	19,540.85	Various	22,425.69	...	-2,884.84	Total of 2 transactions
09/14/20	600.000	29,004.29	Various	31,460.24	2,455.95 W	0.00	Total of 2 transactions
	<b>Security total:</b>	<b>48,545.14</b>		<b>53,885.93</b>	<b>2,455.95 W</b>	<b>-2,884.84</b>	

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Account 275227586

## Proceeds from Broker and Barter Exchange Transactions

2020 1099-B\* OMB No. 1545-0715

(continued)

02/04/2021 CORRECTED

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

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

1c- Date sold or disposed	Quantity	1d- Proceeds & 6- Reported (G)ross or (N)et	1b- Date acquired	1e- Cost or other basis	1f- Accrued mkt disc (D) & 1g- Wash sale loss disallowed (W)	Gain or loss(-) & 7- Loss not allowed (X) also not reported (Z)	Additional information
APPLE INC AAPL Sep 04 2020 122.5 Call / CUSIP: / Symbol: AAPL 09/04/20 C 122.500							
09/04/20	4.000	97.32	09/04/20	0.00	...	97.32	Option expiration short position
ALKERMES PLC COM / CUSIP: G01767105 / Symbol: ALKS							
10/14/20	1,000.000	19,609.45	Various	17,790.40	...	1,819.05	Total of 6 transactions
CAMBIUM NETWORKS CORPORATION COM / CUSIP: G17766109 / Symbol: CMBM							
10/20/20	3,000.000	59,701.07	Various	63,102.50	...	-3,401.43	Total of 7 transactions
FABRINET COM / CUSIP: G3323L100 / Symbol: FN							
08/20/20	300.000	22,447.47	Various	21,277.00	...	1,170.47	Total of 2 transactions
JUMIA TECHNOLOGIES AG JMIA Dec 18 2020 40.0 Call / CUSIP: / Symbol: JMIA 12/18/20 C 40.000							
12/21/20	9.000	-2,351.99	12/18/20	0.00	...	-2,351.99	Short sale closed- option
ASML HOLDING NV ADR SPONSORED / CUSIP: N07059210 / Symbol: ASML							
10/16/20	150.000	60,973.63	Various	60,001.50	...	972.13	Total of 2 transactions
NXP SEMICONDUCTORS N V COM / CUSIP: N6596X109 / Symbol: NXPI							
10/14/20	355.000	50,841.33	Various	50,413.55	...	427.78	Total of 2 transactions
MAKEMYTRIP LTD COM / CUSIP: V5633W109 / Symbol: MMYT							
08/25/20	201.000	2,848.09	08/21/20	2,884.35	...	-36.26	Short sale closed
<b>Totals :</b>		<b>2,754,299.86</b>		<b>2,830,026.87</b>	<b>73,437.46 W</b>	<b>-2,289.55</b>	

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

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

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

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

1c- Date sold or disposed	Quantity	1d- Proceeds & 6- Reported (G)ross or (N)et	Date acquired	Cost or other basis	Accrued mkt disc (D) & Wash sale loss disallowed (W)	Gain or loss(-) & 7- Loss not allowed (X) also not reported (Z)	Additional information
TEXAS PACIFIC LAND TRUST 1:1 EXC 1/11/21 88262P102 / CUSIP: 882610108 / Symbol:							
11/12/20	50.000	26,499.40	11/09/20	29,500.50	...	-3,001.10	Short sale closed
<b>Totals :</b>		<b>26,499.40</b>		<b>29,500.50</b>		<b>-3,001.10</b>	

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Account 275227586

**Detail for Interest Income**

2020

02/04/2021 CORRECTED

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

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

<b>Security description</b>	<b>CUSIP and/or symbol</b>	<b>Date</b>	<b>Amount</b>	<b>Transaction type</b>	<b>Notes</b>
Interest Credited		08/31/20	0.07	Credit interest	
		09/30/20	0.07	Credit interest	
		10/30/20	0.10	Credit interest	
		11/30/20	0.06	Credit interest	
		12/31/20	0.02	Credit interest	
			0.32	Total Interest	
			<b>0.32</b>	<b>Total Interest</b>	

TD Ameritrade Clearing, Inc.

Account 275227586

**Detail for Miscellaneous Income****2020**

02/04/2021 CORRECTED

*This section of your tax information statement contains various payments and proceeds you received during the year from rents, royalties, and certain other income types. We also call your attention to the varying thresholds for reporting on Form 1099-MISC. In general, if there is an amount of \$10 or more associated with boxes 2 or 8, it is reportable. All other box amounts must be reported if they are \$600 or more. Thus, it is possible to have a \$12 item reported in Box 2 for Royalties, but an amount of \$500 of Other Income not reported in Box 3., although each item is taxable income to you.*

<b>Security description</b>	<b>CUSIP and/or symbol</b>	<b>Date</b>	<b>Amount</b>	<b>Transaction type</b>	<b>Notes</b>
Offers and Promotions		10/06/20	50.00	Other income	
			<b>50.00</b>	<b>Total Miscellaneous income</b>	

TD Ameritrade Clearing, Inc.

Account 275227586

**Fees and Expenses**

2020

02/04/2021 CORRECTED

*This section of your tax information statement contains the detail of fees and investment expenses that are not accounted for in amounts reportable to the IRS on the various Forms 1099. You may wish to consult with your tax advisor, the IRS or your state tax authority regarding the proper treatment.*

*These amounts are provided here to facilitate an accounting of all amounts received during the year and are totaled in the Reconciliations, Fees, Expenses and Expenditures found in the Summary Information at the beginning of the statement.*

Description	CUSIP and/or symbol	Date	Amount	Transaction type	Notes
Interest Charged		08/31/20	-10.72	Margin interest paid	
		09/30/20	-114.22	Margin interest paid	
		10/30/20	-80.57	Margin interest paid	
		11/30/20	-12.40	Margin interest paid	
		12/31/20	-96.10	Margin interest paid	
			-314.01	Total Margin interest paid	
			<b>-314.01</b>	<b>Total Margin interest paid</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.

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

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

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

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

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

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

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

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

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

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

**Line 2.** Shows interest or principal forfeited because of early withdrawal of time savings. You may deduct this amount to figure your adjusted gross income on your income tax return. See the Instructions for Forms 1040 and 1040-SR to see where to take the deduction. **Line 3.** Shows interest on U.S. Savings Bonds, Treasury bills, Treasury bonds, and Treasury notes. This may or may not all be taxable. See Pub. 550. This interest is exempt from state and local income taxes. This interest is not included in line 1. See the instructions above for a taxable covered security acquired at a premium.

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

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

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

**Instructions for Recipient**

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

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

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

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

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

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

Treasury obligation. If an amount is not reported in this line for a U.S. Treasury obligation that is a covered security acquired at a premium and the payer is reporting premium amortization, the payer has reported a net amount of interest in line 3. If the amount in line 12 is greater than the amount of interest paid on the U.S. Treasury obligation, see Regulations section 1.171-2(a)(4).

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

**Line 14.** Shows CUSIP number(s) for tax-exempt bond(s) on which tax-exempt interest was paid, or tax credit bond(s) on which taxable interest was paid or tax credit was allowed, to you during the calendar year. If blank, no CUSIP number was issued for the bond(s). **Lines 15-17.** State tax withheld reporting lines. Nominees. If this form includes amounts belonging to another person(s), you are considered a nominee recipient.

Complete a Form 1099-INT for each of the other owners showing the income allocable to each. File Copy A of the form with the IRS. Furnish Copy B to each owner. List yourself as the "payer" and the other owner(s) as the "recipient." File Form(s) 1099-INT with Form 1096 with the Internal Revenue Service Center for your area. On Form 1096, list yourself as the "filer." A spouse is not required to file a nominee return to show amounts owned by the other spouse. Future developments. For the latest information about developments related to Form 1099-INT and its instructions, such as legislation enacted after they were published, go to [www.irs.gov/Form1099INT](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 is also required when your broker knows or has reason to know that a corporation in which you own stock has had a reportable change in control or capital structure. You may be required to recognize gain from the receipt of cash, stock, or other property that was exchanged for the corporation's stock. If your broker reported this type of transaction to you, the corporation is identified in box 1a.

**Recipient's taxpayer identification number (TIN).** For your protection, this form may show only the last four digits of your TIN (social security number (SSN), individual

taxpayer identification number (ITIN), adoption taxpayer identification number (ATIN), or employer identification number (EIN)). However, the issuer has reported your complete TIN to the IRS.

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

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

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

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

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

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

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

**Line 1d.** Shows the cash proceeds, reduced by any commissions or transfer taxes related to the sale, for transactions involving stocks, debt, commodities, forward contracts, non-Section 1256 option contracts, or securities futures contracts. May show the proceeds from the disposition of your interest(s) in a widely held fixed investment trust. May also show the aggregate amount of cash and the fair market value of any stock or other property received in a reportable change in control or capital structure arising from the corporate transfer of property to a foreign corporation. Losses on forward contracts or non-Section 1256 option contracts are shown in parentheses. This box does not include proceeds from regulated futures contracts or Section 1256 option contracts. Report this amount on Form 8949 or on Schedule D (Form 1040 or 1040-SR) (whichever is applicable) as explained in the Instructions for Schedule D (Form 1040 or 1040-SR).

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

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

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

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

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

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

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



**Instructions for Recipient**

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

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

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

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

**Lines 14-16.** Show state(s)/local income tax information.

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

**1099-MISC Instructions for Recipient**

**Line 2.** Report royalties from oil, gas, or mineral properties, copyrights, and patents on Schedule E (Form 1040). However, report payments for a working interest as explained in the box 7 instructions. For royalties on timber, coal, and iron ore, see Pub. 544.

**Line 3.** Generally, report this amount on the "Other income" line on Form 1040 (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).

**Line 4.** See "Backup Withholding" section.

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

**Lines 16-18.** Show state or local income tax withheld from the payments.

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