

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

RAMESH KUMAR MAVURU  
3801 N MERIDIAN ST  
1208  
INDIANAPOLIS, IN 46208-4029

IN ACCOUNT WITH

**TradeZero America Inc**  
**877-487-2330**

**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.

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<b>APEX CLEARING</b> ONE DALLAS CENTER 350 NORTH ST PAUL SUITE 1300 DALLAS, TX 75201 Customer Service: 214-765-1009  PAYER'S Federal ID No: 13-2967453  IN ACCOUNT WITH <b>TradeZero America Inc</b> <b>(877) 487-2330</b>	<b>Account 2TZ05705</b>	<b>Form 1099 Composite</b>	<b>2020</b>
	RAMESH KUMAR MAVURU 3801 N MERIDIAN ST 1208 INDIANAPOLIS, IN 46208-4029  RECIPIENT'S ID No: XXX-XX-3286	Statement Date: 01/24/2021	

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	

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

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

2TZ05705

01/24/2021

## 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	35,171,304.41	35,985,978.70	0.00	869,919.42	55,245.13
Short term transactions for noncovered tax lots	5,301.56	5,086.59	0.00	0.00	214.97
<b>Total Short-term</b>	<b>35,176,605.97</b>	<b>35,991,065.29</b>	<b>0.00</b>	<b>869,919.42</b>	<b>55,460.10</b>
Long-term transactions for covered tax lots	0.00	0.00	0.00	0.00	0.00
Long-term transactions for noncovered tax lots	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 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

2TZ05705

01/24/2021

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
9 METERS BIOPHARMA INC COMMON STOCK   CUSIP: 654405109   Symbol: NMTR							
08/17/2020	600.00	394.72	08/17/2020	403.20	8.48 D	0.00	Sale
08/17/2020	1,015.00	667.74	08/17/2020	682.08	14.34 D	0.00	Sale
08/17/2020	350.00	230.25	08/17/2020	235.20	4.95 D	0.00	Sale
08/17/2020	3,035.00	1,996.62	Various	2,067.29	70.67 D	0.00	Sale
08/19/2020	100.00	79.97	Various	90.03	10.06 D	0.00	Sale
08/19/2020	550.00	440.13	Various	497.90	57.77 D	0.00	Sale
08/19/2020	1,719.00	1,374.79	Various	1,550.95	176.16 D	0.00	Sale
08/19/2020	2,500.00	1,994.65	Various	2,229.07	31.48 D	-202.94	Sale

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APEX CLEARING

## Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B\*

OMB No. 1545-0715

2TZ05705

(continued)

01/24/2021

**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>
9 METERS BIOPHARMA INC COMMON STOCK   CUSIP: 654405109   Symbol: NMTR							
08/19/2020	2,631.00	2,105.48	Various	2,350.50	245.02 D	0.00	Sale
08/19/2020	2,500.00	1,994.65	Various	2,212.93	0.00	-218.28	Sale
<b>Security Totals:</b>		<b>11,279.00</b>		<b>12,319.15</b>		<b>-421.22</b>	
AMPIO PHARMACEUTICALS INC   CUSIP: 03209T109   Symbol: AMPE							
09/09/2020	100.00	75.80	09/09/2020	79.20	3.4 D	0.00	Sale
09/09/2020	500.00	379.03	09/09/2020	396.00	16.97 D	0.00	Sale
09/09/2020	716.00	542.75	09/09/2020	567.07	24.32 D	0.00	Sale
09/09/2020	1,000.00	757.86	09/09/2020	792.00	34.14 D	0.00	Sale
09/09/2020	2,684.00	2,034.10	Various	2,204.56	0.00	-170.46	Sale
<b>Security Totals:</b>		<b>3,789.54</b>		<b>4,038.83</b>		<b>-170.46</b>	
***XPENG INC ADS EACH REPRESENTING TWO CLASS A ORDINARY SHARES   CUSIP: 98422D105   Symbol: XPEV							
11/06/2020	100.00	3,409.91	11/06/2020	3,395.00	0.00	14.91	Sale
11/06/2020	100.00	3,409.91	Various	3,396.50	0.00	13.41	Sale
11/06/2020	100.00	3,407.91	11/06/2020	3,398.00	0.00	9.91	Sale
11/06/2020	100.00	3,446.91	11/06/2020	3,395.00	0.00	51.91	Sale
11/06/2020	100.00	3,408.97	11/06/2020	3,398.00	0.00	10.97	Sale
11/06/2020	500.00	18,409.53	Various	18,532.98	123.45 D	0.00	Sale
11/06/2020	250.00	9,249.76	11/06/2020	9,275.00	25.24 D	0.00	Sale
11/06/2020	250.00	9,249.76	11/06/2020	9,300.24	50.48 D	0.00	Sale
11/09/2020	10.00	348.98	Various	353.82	4.84 D	0.00	Sale
11/09/2020	20.00	663.97	Various	647.87	0.00	16.10	Sale
11/09/2020	30.00	1,046.36	11/09/2020	1,061.49	15.13 D	0.00	Sale
11/09/2020	50.00	1,659.95	Various	1,619.73	0.00	40.22	Sale
11/09/2020	80.00	2,655.93	11/09/2020	2,591.58	0.00	64.35	Sale
11/09/2020	100.00	3,317.91	11/09/2020	3,239.47	0.00	78.44	Sale
11/09/2020	100.00	3,473.91	Various	3,566.72	92.81 D	0.00	Sale
11/09/2020	125.00	4,358.64	Various	4,422.86	64.22 D	0.00	Sale
11/09/2020	250.00	8,382.28	Various	8,767.44	385.16 D	0.00	Sale

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**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

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**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							
11/09/2020	335.00	11,684.50	Various	11,785.28	100.78 D	0.00	Sale
11/09/2020	400.00	13,879.64	Various	14,198.92	319.28 D	0.00	Sale
11/09/2020	500.00	17,494.55	Various	17,760.19	265.64 D	0.00	Sale
11/09/2020	500.00	17,424.55	Various	17,684.97	260.42 D	0.00	Sale
11/09/2020	1.00	35.23	11/09/2020	35.77	0.54 D	0.00	Sale
11/09/2020	12.00	431.50	Various	449.37	17.87 D	0.00	Sale
11/09/2020	88.00	3,164.40	Various	3,297.96	133.56 D	0.00	Sale
11/09/2020	100.00	3,591.91	Various	3,679.96	88.05 D	0.00	Sale
11/09/2020	100.00	3,591.91	Various	3,622.80	30.89 D	0.00	Sale
11/09/2020	100.00	3,593.91	Various	3,617.80	23.89 D	0.00	Sale
11/09/2020	100.00	3,595.91	Various	3,747.99	152.08 D	0.00	Sale
11/09/2020	250.00	8,854.77	Various	9,277.66	422.89 D	0.00	Sale
11/09/2020	499.00	17,589.30	Various	18,121.36	532.06 D	0.00	Sale
11/12/2020	2.00	70.06	11/09/2020	71.01	0.95 D	0.00	Buy to Cover Short
11/12/2020	21.00	714.09	11/09/2020	712.14	0.00	1.95	Buy to Cover Short
11/12/2020	22.00	748.09	11/09/2020	748.70	0.61 D	0.00	Buy to Cover Short
11/12/2020	28.00	952.11	Various	952.85	0.74 D	0.00	Buy to Cover Short
11/12/2020	29.00	986.12	Various	983.43	0.00	2.69	Buy to Cover Short
11/12/2020	30.00	1,007.07	11/09/2020	992.40	0.00	14.67	Buy to Cover Short
11/12/2020	35.00	1,225.32	Various	1,247.77	22.45 D	0.00	Buy to Cover Short
11/12/2020	50.00	1,700.20	Various	1,693.71	0.00	6.49	Buy to Cover Short
11/12/2020	61.00	2,074.35	Various	2,059.77	0.00	14.58	Buy to Cover Short
11/12/2020	65.00	2,275.60	11/09/2020	2,319.65	44.05 D	0.00	Buy to Cover Short
11/12/2020	70.00	2,349.76	Various	2,315.60	0.00	34.16	Buy to Cover Short
11/12/2020	98.00	3,432.86	11/09/2020	3,479.37	46.51 D	0.00	Buy to Cover Short
11/12/2020	100.00	3,350.91	11/09/2020	3,299.00	0.00	51.91	Buy to Cover Short
11/12/2020	100.00	3,350.91	11/09/2020	3,287.00	0.00	63.91	Buy to Cover Short

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APEX CLEARING

## Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B\*

OMB No. 1545-0715

2TZ05705

(continued)

01/24/2021

**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		
11/12/2020	100.00	3,355.52	Various	3,328.00	0.00	27.52	Buy to Cover Short
11/12/2020	100.00	3,495.91	Various	3,519.02	23.11 D	0.00	Buy to Cover Short
11/12/2020	100.00	3,500.91	Various	3,543.62	42.71 D	0.00	Buy to Cover Short
11/12/2020	100.00	3,499.92	Various	3,556.42	56.50 D	0.00	Buy to Cover Short
11/12/2020	100.00	3,495.90	Various	3,531.76	35.86 D	0.00	Buy to Cover Short
11/12/2020	100.00	3,499.92	Various	3,559.04	59.12 D	0.00	Buy to Cover Short
11/12/2020	100.00	3,497.91	Various	3,534.33	36.42 D	0.00	Buy to Cover Short
11/12/2020	100.00	3,495.91	Various	3,519.53	23.62 D	0.00	Buy to Cover Short
11/12/2020	100.00	3,593.63	Various	3,614.17	20.54 D	0.00	Buy to Cover Short
11/12/2020	100.00	3,593.91	Various	3,600.27	16.74 D	10.38	Buy to Cover Short
11/12/2020	100.00	3,593.62	Various	3,585.59	0.00	8.03	Buy to Cover Short
11/12/2020	100.00	3,499.92	Various	3,555.86	55.94 D	0.00	Buy to Cover Short
11/12/2020	100.00	3,505.91	Various	3,564.94	59.03 D	0.00	Buy to Cover Short
11/12/2020	100.00	3,561.92	11/09/2020	3,570.00	8.08 D	0.00	Buy to Cover Short
11/12/2020	100.00	3,560.91	11/09/2020	3,596.17	35.26 D	0.00	Buy to Cover Short
11/12/2020	100.00	3,554.91	11/09/2020	3,608.26	53.35 D	0.00	Buy to Cover Short
11/12/2020	100.00	3,500.40	Various	3,551.20	50.80 D	0.00	Buy to Cover Short
11/12/2020	100.00	3,593.91	Various	3,581.70	0.00	12.21	Buy to Cover Short
11/12/2020	100.00	3,554.91	11/09/2020	3,578.08	23.17 D	0.00	Buy to Cover Short
11/12/2020	100.00	3,495.91	Various	3,534.95	39.04 D	0.00	Buy to Cover Short
11/12/2020	100.00	3,500.91	Various	3,543.11	42.20 D	0.00	Buy to Cover Short
11/12/2020	100.00	3,500.91	Various	3,549.71	48.80 D	0.00	Buy to Cover Short
11/12/2020	100.00	3,554.91	11/09/2020	3,626.35	71.44 D	0.00	Buy to Cover Short
11/12/2020	100.00	3,500.92	Various	3,565.50	64.58 D	0.00	Buy to Cover Short
11/12/2020	100.00	3,592.41	11/09/2020	3,554.00	0.00	38.41	Buy to Cover Short
11/12/2020	250.00	8,856.77	Various	9,053.22	196.45 D	0.00	Buy to Cover Short
11/12/2020	500.00	16,854.44	Various	16,925.00	70.56 D	0.00	Buy to Cover Short

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APEX CLEARING

## Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B\*

OMB No. 1545-0715

2TZ05705

(continued)

01/24/2021

**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		
11/12/2020	500.00	17,004.79	Various	17,170.56	165.77 D	0.00	Buy to Cover Short
11/12/2020	500.00	17,119.53	Various	17,365.77	246.24 D	0.00	Buy to Cover Short
11/12/2020	500.00	17,476.95	Various	17,806.24	329.29 D	0.00	Buy to Cover Short
11/12/2020	500.00	17,554.60	Various	17,939.69	385.09 D	0.00	Buy to Cover Short
11/12/2020	500.00	17,499.60	Various	17,824.29	324.69 D	0.00	Buy to Cover Short
11/12/2020	50.00	1,751.46	11/09/2020	1,740.04	0.00	11.42	Buy to Cover Short
11/12/2020	50.00	1,751.46	11/09/2020	1,738.54	0.00	12.92	Buy to Cover Short
11/12/2020	50.00	1,698.07	Various	1,701.41	3.34 D	0.00	Buy to Cover Short
11/12/2020	100.00	3,350.91	11/09/2020	3,299.00	0.00	51.91	Buy to Cover Short
11/12/2020	100.00	3,534.92	11/09/2020	3,596.25	61.33 D	0.00	Buy to Cover Short
11/12/2020	100.00	3,534.92	11/09/2020	3,592.22	57.3 D	0.00	Buy to Cover Short
11/12/2020	100.00	3,502.92	11/09/2020	3,513.08	10.16 D	0.00	Buy to Cover Short
11/12/2020	100.00	3,502.92	11/09/2020	3,509.58	6.66 D	0.00	Buy to Cover Short
11/12/2020	100.00	3,534.92	11/09/2020	3,601.22	66.3 D	0.00	Buy to Cover Short
11/12/2020	100.00	3,502.92	11/09/2020	3,512.71	9.79 D	0.00	Buy to Cover Short
11/12/2020	100.00	3,477.92	Various	3,538.66	60.74 D	0.00	Buy to Cover Short
11/12/2020	500.00	17,499.60	Various	17,657.30	157.70 D	0.00	Buy to Cover Short
11/12/2020	5.00	174.98	Various	177.52	2.54 D	0.00	Sale
11/12/2020	25.00	874.97	11/12/2020	887.48	12.51 D	0.00	Sale
11/12/2020	50.00	1,749.95	Various	1,772.60	22.65 D	0.00	Sale
11/12/2020	5.00	174.98	11/12/2020	177.10	2.12 D	0.00	Sale
11/12/2020	200.00	6,999.82	Various	7,123.25	123.43 D	0.00	Sale
11/12/2020	215.00	7,524.80	Various	7,884.65	359.85 D	0.00	Sale
11/12/2020	500.00	17,499.55	Various	17,762.48	262.93 D	0.00	Sale
11/13/2020	250.00	11,394.71	Various	11,862.49	467.78 D	0.00	Sale
11/25/2020	3.00	191.08	11/25/2020	192.54	1.46 D	0.00	Sale
11/25/2020	51.00	3,245.55	Various	3,280.97	0.00	-35.42	Sale

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APEX CLEARING

## Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B\*

OMB No. 1545-0715

2TZ05705

(continued)

01/24/2021

**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>***XPENG INC</b>							
ADS EACH REPRESENTING TWO CLASS A ORDINARY SHARES   CUSIP: 98422D105   Symbol: XPEV							
11/25/2020	100.00	6,364.84	Various	6,431.17	0.00	-66.33	Sale
11/25/2020	149.00	9,480.64	Various	9,750.83	0.00	-270.19	Sale
11/25/2020	200.00	12,861.69	Various	13,159.82	0.00	-298.13	Sale
11/25/2020	297.00	18,912.50	Various	19,136.26	45.81 D	-177.95	Sale
<b>Security Totals:</b>		<b>557,631.62</b>		<b>565,359.65</b>		<b>-184.64</b>	
<b>MICROVISION INC DEL   CUSIP: 594960304   Symbol: MVIS</b>							
05/04/2020	88.00	113.50	05/04/2020	117.04	3.54 D	0.00	Sale
05/04/2020	100.00	128.98	05/04/2020	133.00	4.02 D	0.00	Sale
05/04/2020	712.00	918.37	05/04/2020	946.96	28.59 D	0.00	Sale
05/04/2020	100.00	128.98	05/04/2020	133.00	4.02 D	0.00	Sale
05/04/2020	1,000.00	1,289.85	05/04/2020	1,330.00	40.15 D	0.00	Sale
05/04/2020	2,000.00	2,659.70	Various	2,820.32	160.62 D	0.00	Sale
05/05/2020	2,000.00	3,439.68	Various	3,403.45	121.79 D	158.02	Sale
05/05/2020	100.00	150.98	05/05/2020	154.94	3.96 D	0.00	Sale
05/05/2020	50.00	61.48	Various	61.23	0.60 D	0.85	Sale
05/05/2020	100.00	150.98	05/05/2020	154.95	3.97 D	0.00	Sale
05/05/2020	100.00	150.98	05/05/2020	154.94	3.96 D	0.00	Sale
05/05/2020	100.00	150.98	05/05/2020	154.95	3.97 D	0.00	Sale
05/05/2020	100.00	149.98	05/05/2020	154.94	4.96 D	0.00	Sale
05/05/2020	100.00	150.98	05/05/2020	154.94	3.96 D	0.00	Sale
05/05/2020	100.00	150.98	05/05/2020	154.94	3.96 D	0.00	Sale
05/05/2020	100.00	150.98	05/05/2020	154.94	3.96 D	0.00	Sale
05/05/2020	100.00	150.98	05/05/2020	154.94	3.96 D	0.00	Sale
05/05/2020	100.00	150.98	05/05/2020	154.95	3.97 D	0.00	Sale
05/05/2020	100.00	122.98	Various	128.27	5.50 D	0.21	Sale
05/05/2020	200.00	301.97	Various	333.36	31.39 D	0.00	Sale
05/05/2020	196.00	307.69	Various	327.39	19.70 D	0.00	Sale
05/05/2020	310.00	381.25	Various	404.55	23.40 D	0.10	Sale
05/05/2020	483.00	821.02	Various	980.13	159.11 D	0.00	Sale

**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

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**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
MICROVISION INC DEL   CUSIP: 594960304   Symbol: MVIS							
05/05/2020	540.00	664.12	Various	683.12	21.81 D	2.81	Sale
05/05/2020	504.00	791.20	05/05/2020	841.84	50.64 D	0.00	Sale
05/05/2020	800.00	1,255.87	Various	1,336.24	80.37 D	0.00	Sale
05/05/2020	1,000.00	1,229.85	Various	1,290.92	61.07 D	0.00	Sale
05/05/2020	760.00	1,185.48	Various	1,286.51	101.03 D	0.00	Sale
05/05/2020	1,282.00	1,922.80	Various	2,243.70	320.90 D	0.00	Sale
05/05/2020	1,500.00	2,354.76	Various	2,741.03	386.27 D	0.00	Sale
05/05/2020	1,618.00	2,426.75	Various	2,505.65	79.03 D	0.13	Sale
05/05/2020	1,517.00	2,578.66	Various	2,826.22	247.56 D	0.00	Sale
05/05/2020	2,000.00	3,399.68	Various	3,500.94	101.26 D	0.00	Sale
05/05/2020	2,000.00	3,139.69	Various	3,270.16	130.47 D	0.00	Sale
05/05/2020	2,000.00	3,439.68	Various	3,249.70	20.54 D	210.52	Sale
05/05/2020	2,000.00	3,319.68	Various	3,341.89	29.86 D	7.65	Sale
05/05/2020	4,240.00	6,617.57	Various	7,174.24	556.67 D	0.00	Sale
05/05/2020	3,000.00	3,780.75	Various	4,239.61	458.86 D	0.00	Sale
05/06/2020	1.00	1.49	05/06/2020	1.52	0.03 D	0.00	Sale
05/06/2020	5.00	5.98	05/06/2020	6.58	0.6 D	0.00	Sale
05/06/2020	20.00	29.38	Various	32.91	3.53 D	0.00	Sale
05/06/2020	23.00	34.71	05/06/2020	34.86	0.15 D	0.00	Sale
05/06/2020	44.00	66.42	Various	66.72	0.30 D	0.00	Sale
05/06/2020	50.00	65.98	Various	73.32	7.34 D	0.00	Sale
05/06/2020	50.00	59.98	Various	65.84	5.86 D	0.00	Sale
05/06/2020	74.00	111.72	Various	112.81	1.09 D	0.00	Sale
05/06/2020	78.00	102.94	Various	114.37	11.43 D	0.00	Sale
05/06/2020	100.00	134.98	Various	150.64	15.66 D	0.00	Sale
05/06/2020	100.00	134.98	05/06/2020	150.62	15.64 D	0.00	Sale
05/06/2020	100.00	134.98	Various	150.64	15.66 D	0.00	Sale

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**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)

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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
MICROVISION INC DEL   CUSIP: 594960304   Symbol: MVIS							
05/06/2020	100.00	134.98	Various	150.62	15.64 D	0.00	Sale
05/06/2020	100.00	131.98	Various	146.63	14.65 D	0.00	Sale
05/06/2020	100.00	131.98	Various	146.63	14.65 D	0.00	Sale
05/06/2020	100.00	131.98	Various	146.62	14.64 D	0.00	Sale
05/06/2020	100.00	131.98	Various	146.62	14.64 D	0.00	Sale
05/06/2020	124.00	183.50	Various	204.05	20.55 D	0.00	Sale
05/06/2020	125.00	149.98	Various	164.59	14.61 D	0.00	Sale
05/06/2020	150.00	197.97	Various	219.91	21.94 D	0.00	Sale
05/06/2020	192.00	253.41	Various	268.15	14.74 D	0.00	Sale
05/06/2020	200.00	295.97	Various	328.65	32.68 D	0.00	Sale
05/06/2020	200.00	269.97	Various	301.24	31.27 D	0.00	Sale
05/06/2020	200.00	263.97	Various	266.23	2.26 D	0.00	Sale
05/06/2020	240.00	323.96	Various	352.19	28.23 D	0.00	Sale
05/06/2020	250.00	329.96	Various	331.36	1.40 D	0.00	Sale
05/06/2020	260.00	348.36	Various	353.90	5.54 D	0.00	Sale
05/06/2020	282.00	425.78	Various	463.47	37.69 D	0.00	Sale
05/06/2020	300.00	404.95	Various	409.55	4.60 D	0.00	Sale
05/06/2020	300.00	404.95	Various	414.05	9.10 D	0.00	Sale
05/06/2020	300.00	404.95	Various	438.05	33.10 D	0.00	Sale
05/06/2020	300.00	404.95	Various	439.53	34.58 D	0.00	Sale
05/06/2020	300.00	404.95	Various	447.23	42.28 D	0.00	Sale
05/06/2020	300.00	404.95	Various	413.15	9.16 D	0.96	Sale
05/06/2020	300.00	404.95	Various	436.07	33.48 D	2.36	Sale
05/06/2020	300.00	404.95	05/06/2020	396.00	0.00	8.95	Sale
05/06/2020	300.00	404.95	05/06/2020	396.00	0.00	8.95	Sale
05/06/2020	300.00	404.95	05/06/2020	396.00	0.00	8.95	Sale
05/06/2020	300.00	395.95	Various	397.89	1.94 D	0.00	Sale

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APEX CLEARING

Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B\*

OMB No. 1545-0715

2TZ05705

(continued)

01/24/2021

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

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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
MICROVISION INC DEL   CUSIP: 594960304   Symbol: MVIS							
05/06/2020	356.00	523.26	Various	583.98	60.72 D	0.00	Sale
05/06/2020	380.00	501.53	Various	536.44	34.91 D	0.00	Sale
05/06/2020	500.00	739.92	Various	775.49	36.69 D	1.12	Sale
05/06/2020	500.00	739.92	Various	827.82	87.90 D	0.00	Sale
05/06/2020	500.00	659.92	Various	717.17	57.25 D	0.00	Sale
05/06/2020	500.00	599.92	Various	663.13	63.21 D	0.00	Sale
05/06/2020	522.00	788.14	Various	863.32	75.18 D	0.00	Sale
05/06/2020	600.00	887.91	Various	960.31	72.40 D	0.00	Sale
05/06/2020	800.00	1,183.87	Various	1,176.96	0.00	6.91	Sale
05/06/2020	900.00	1,331.86	Various	1,370.62	38.76 D	0.00	Sale
05/06/2020	900.00	1,215.76	05/06/2020	1,188.00	0.00	27.76	Sale
05/06/2020	1,000.00	1,199.85	Various	1,334.30	134.45 D	0.00	Sale
05/06/2020	1,100.00	1,660.83	Various	1,805.22	144.44 D	0.05	Sale
05/06/2020	1,954.00	2,950.24	Various	3,106.98	158.58 D	1.84	Sale
05/06/2020	2,500.00	3,299.62	Various	3,470.12	175.19 D	4.69	Sale
05/06/2020	3,320.00	3,983.51	Various	4,148.29	164.78 D	0.00	Sale
05/06/2020	1.00	1.43	05/06/2020	1.47	0.04 D	0.00	Sale
05/06/2020	5.00	7.23	05/06/2020	7.36	0.13 D	0.00	Sale
05/06/2020	5.00	7.23	05/06/2020	7.36	0.13 D	0.00	Sale
05/06/2020	15.00	21.73	05/06/2020	22.06	0.33 D	0.00	Sale
05/06/2020	20.00	28.98	Various	29.43	0.45 D	0.00	Sale
05/06/2020	24.00	36.22	05/06/2020	39.94	3.72 D	0.00	Sale
05/06/2020	35.00	50.73	Various	51.49	0.76 D	0.00	Sale
05/06/2020	50.00	72.48	05/06/2020	73.56	1.08 D	0.00	Sale
05/06/2020	100.00	145.98	Various	161.65	15.67 D	0.00	Sale
05/06/2020	100.00	144.98	Various	163.90	18.92 D	0.00	Sale
05/06/2020	100.00	144.98	Various	164.58	19.60 D	0.00	Sale

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**SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS**

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

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

1c - DateSold 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
MICROVISION INC DEL   CUSIP: 594960304   Symbol: MVIS							
05/06/2020	200.00	289.97	Various	329.16	39.19 D	0.00	Sale
05/06/2020	353.00	532.97	Various	589.56	56.59 D	0.00	Sale
05/06/2020	442.00	667.35	Various	704.96	37.61 D	0.00	Sale
05/06/2020	500.00	749.92	Various	755.36	8.40 D	2.96	Sale
05/06/2020	500.00	724.92	Various	822.89	97.97 D	0.00	Sale
05/06/2020	500.00	749.92	Various	743.80	0.26 D	6.38	Sale
05/06/2020	500.00	749.92	Various	750.51	0.59 D	0.00	Sale
05/06/2020	500.00	749.92	Various	770.31	20.39 D	0.00	Sale
05/06/2020	800.00	1,207.87	Various	1,356.87	149.00 D	0.00	Sale
05/06/2020	869.00	1,259.92	Various	1,303.21	43.29 D	0.00	Sale
05/06/2020	1,186.00	1,790.68	Various	1,873.52	82.84 D	0.00	Sale
05/06/2020	1,195.00	1,804.27	Various	1,967.08	162.81 D	0.00	Sale
05/07/2020	650.00	961.90	05/05/2020	1,040.07	78.17 D	0.00	Buy to Cover Short
05/07/2020	350.00	517.94	Various	560.06	42.12 D	0.00	Buy to Cover Short
05/07/2020	1,000.00	1,429.85	05/05/2020	1,248.20	0.00	181.65	Buy to Cover Short
05/07/2020	1,000.00	1,429.85	05/05/2020	1,278.21	0.00	151.64	Buy to Cover Short
05/07/2020	2,000.00	3,067.19	Various	3,179.66	112.47 D	0.00	Buy to Cover Short
05/07/2020	27.00	40.74	Various	45.00	4.26 D	0.00	Buy to Cover Short
05/07/2020	1,000.00	1,429.85	Various	1,298.22	0.00	131.63	Buy to Cover Short
05/07/2020	3,000.00	3,809.85	Various	3,863.99	54.14 D	0.00	Buy to Cover Short
05/07/2020	30.00	45.00	05/05/2020	47.10	2.1 D	0.00	Buy to Cover Short
05/07/2020	34.00	54.39	Various	57.45	3.06 D	0.00	Buy to Cover Short
05/07/2020	28.00	43.65	Various	45.36	1.71 D	0.00	Buy to Cover Short
05/07/2020	100.00	155.98	Various	163.20	7.22 D	0.00	Buy to Cover Short
05/07/2020	67.00	107.19	Various	113.23	6.04 D	0.00	Buy to Cover Short
05/07/2020	100.00	149.98	05/05/2020	157.00	7.02 D	0.00	Buy to Cover Short
05/07/2020	100.00	149.98	05/05/2020	157.00	7.02 D	0.00	Buy to Cover Short

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**SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS**

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

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MICROVISION INC DEL   CUSIP: 594960304   Symbol: MVIS							
05/07/2020	100.00	149.98	05/05/2020	157.00	7.02 D	0.00	Buy to Cover Short
05/07/2020	100.00	149.98	05/05/2020	157.00	7.02 D	0.00	Buy to Cover Short
05/07/2020	100.00	149.98	05/05/2020	157.00	7.02 D	0.00	Buy to Cover Short
05/07/2020	100.00	149.99	05/05/2020	157.00	7.01 D	0.00	Buy to Cover Short
05/07/2020	100.00	149.98	05/05/2020	157.00	7.02 D	0.00	Buy to Cover Short
05/07/2020	100.00	149.99	05/05/2020	157.00	7.01 D	0.00	Buy to Cover Short
05/07/2020	100.00	149.98	05/05/2020	157.00	7.02 D	0.00	Buy to Cover Short
05/07/2020	100.00	149.99	05/05/2020	157.00	7.01 D	0.00	Buy to Cover Short
05/07/2020	100.00	149.98	05/05/2020	157.00	7.02 D	0.00	Buy to Cover Short
05/07/2020	100.00	159.99	Various	169.00	9.01 D	0.00	Buy to Cover Short
05/07/2020	100.00	159.98	Various	169.02	9.04 D	0.00	Buy to Cover Short
05/07/2020	100.00	149.99	05/05/2020	157.00	7.01 D	0.00	Buy to Cover Short
05/07/2020	100.00	150.97	Various	166.66	15.69 D	0.00	Buy to Cover Short
05/07/2020	100.00	150.98	Various	166.66	15.68 D	0.00	Buy to Cover Short
05/07/2020	100.00	150.99	Various	166.65	15.66 D	0.00	Buy to Cover Short
05/07/2020	100.00	150.98	05/05/2020	166.65	15.67 D	0.00	Buy to Cover Short
05/07/2020	100.00	150.98	05/05/2020	166.66	15.68 D	0.00	Buy to Cover Short
05/07/2020	170.00	254.97	05/05/2020	266.90	11.93 D	0.00	Buy to Cover Short
05/07/2020	200.00	319.96	Various	338.00	18.04 D	0.00	Buy to Cover Short
05/07/2020	200.00	319.97	Various	337.99	18.02 D	0.00	Buy to Cover Short
05/07/2020	200.00	319.97	Various	337.99	18.02 D	0.00	Buy to Cover Short
05/07/2020	200.00	301.97	05/05/2020	333.31	31.34 D	0.00	Buy to Cover Short
05/07/2020	200.00	301.97	Various	333.31	31.34 D	0.00	Buy to Cover Short
05/07/2020	200.00	301.97	Various	340.93	38.96 D	0.00	Buy to Cover Short
05/07/2020	300.00	479.95	Various	506.99	27.04 D	0.00	Buy to Cover Short
05/07/2020	400.00	599.94	05/05/2020	625.40	25.46 D	0.00	Buy to Cover Short
05/07/2020	327.00	493.72	Various	564.59	70.87 D	0.00	Buy to Cover Short

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APEX CLEARING

Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B\*

OMB No. 1545-0715

2TZ05705

(continued)

01/24/2021

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

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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
MICROVISION INC DEL   CUSIP: 594960304   Symbol: MVIS							
05/07/2020	500.00	754.92	05/05/2020	863.29	108.37 D	0.00	Buy to Cover Short
05/07/2020	573.00	865.14	Various	912.78	47.64 D	0.00	Buy to Cover Short
05/07/2020	700.00	1,056.88	Various	1,128.64	71.76 D	0.00	Buy to Cover Short
05/07/2020	873.00	1,318.10	Various	1,471.80	153.70 D	0.00	Buy to Cover Short
05/07/2020	900.00	1,358.86	Various	1,517.76	158.90 D	0.00	Buy to Cover Short
05/07/2020	922.00	1,437.64	Various	1,511.59	73.95 D	0.00	Buy to Cover Short
05/07/2020	950.00	1,470.75	Various	1,618.41	147.66 D	0.00	Buy to Cover Short
05/07/2020	1,000.00	1,429.85	Various	1,483.78	53.99 D	0.06	Buy to Cover Short
05/07/2020	1,000.00	1,429.84	05/05/2020	1,276.90	0.00	152.94	Buy to Cover Short
05/07/2020	1,000.00	1,549.84	Various	1,781.70	231.86 D	0.00	Buy to Cover Short
05/07/2020	1,699.00	2,718.14	Various	2,879.63	161.49 D	0.00	Buy to Cover Short
05/07/2020	2,000.00	3,085.82	Various	3,491.86	406.04 D	0.00	Buy to Cover Short
05/07/2020	2,000.00	3,319.65	Various	3,340.00	20.35 D	0.00	Buy to Cover Short
05/07/2020	2,100.00	3,299.66	Various	3,570.31	270.65 D	0.00	Buy to Cover Short
05/07/2020	3,000.00	3,899.85	Various	3,774.14	0.00	125.71	Buy to Cover Short
05/07/2020	3,200.00	4,799.52	05/05/2020	5,056.00	256.48 D	0.00	Buy to Cover Short
05/07/2020	4,000.00	6,059.37	Various	6,019.95	0.00	39.42	Buy to Cover Short
05/07/2020	5,000.00	7,249.23	Various	7,460.15	210.92 D	0.00	Buy to Cover Short
05/07/2020	5,000.00	7,399.23	Various	7,521.10	165.65 D	43.78	Buy to Cover Short
05/07/2020	5,000.00	7,229.19	Various	7,923.88	694.69 D	0.00	Buy to Cover Short
05/07/2020	5,000.00	7,449.21	Various	7,655.92	206.71 D	0.00	Buy to Cover Short
05/07/2020	100.00	103.98	Various	112.28	8.64 D	0.34	Sale
05/07/2020	68.00	70.70	Various	70.57	0.18 D	0.31	Sale
05/07/2020	132.00	137.25	Various	150.87	13.62 D	0.00	Sale
05/07/2020	200.00	207.97	Various	233.03	25.06 D	0.00	Sale
05/07/2020	382.00	393.40	Various	441.34	47.94 D	0.00	Sale
05/07/2020	1,118.00	1,162.56	Various	1,230.58	74.19 D	6.17	Sale

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APEX CLEARING

Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B\*

OMB No. 1545-0715

2TZ05705

(continued)

01/24/2021

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)

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

Box 12: Basis Reported to the IRS

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1a - Description of property | CUSIP | Symbol

1c - DateSold 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
MICROVISION INC DEL   CUSIP: 594960304   Symbol: MVIS							
05/07/2020	100.00	99.98	05/07/2020	100.10	0.12 D	0.00	Sale
05/07/2020	100.00	99.59	05/07/2020	100.10	0.51 D	0.00	Sale
05/07/2020	200.00	199.17	Various	210.23	11.08 D	0.02	Sale
05/07/2020	201.00	200.16	Various	223.85	23.69 D	0.00	Sale
05/07/2020	250.00	248.86	Various	278.39	29.53 D	0.00	Sale
05/07/2020	300.00	299.95	Various	334.62	34.67 D	0.00	Sale
05/07/2020	400.00	398.74	Various	432.33	33.59 D	0.00	Sale
05/07/2020	500.00	498.42	Various	550.83	52.41 D	0.00	Sale
05/07/2020	600.00	599.91	Various	647.74	47.83 D	0.00	Sale
05/07/2020	600.00	599.91	05/07/2020	612.01	12.1 D	0.00	Sale
05/07/2020	749.00	748.89	Various	760.94	12.9 D	0.85	Sale
05/07/2020	2,000.00	1,885.71	Various	1,996.67	110.96 D	0.00	Sale
05/07/2020	1,000.00	995.45	05/07/2020	992.01	0.00	3.44	Sale
05/12/2020	3.00	3.19	05/12/2020	3.70	0.51 D	0.00	Sale
05/12/2020	39.00	41.71	Various	48.06	6.35 D	0.00	Sale
05/12/2020	46.00	49.20	Various	56.91	7.71 D	0.00	Sale
05/12/2020	100.00	106.98	Various	124.23	17.25 D	0.00	Sale
05/12/2020	100.00	108.98	Various	120.76	11.78 D	0.00	Sale
05/12/2020	150.00	160.47	Various	185.78	25.31 D	0.00	Sale
05/12/2020	251.00	266.02	Various	309.46	43.44 D	0.00	Sale
05/12/2020	393.00	420.45	Various	470.87	50.42 D	0.00	Sale
05/12/2020	430.00	460.03	Various	528.20	68.17 D	0.00	Sale
05/12/2020	600.00	641.91	Various	712.34	70.43 D	0.00	Sale
05/12/2020	1,433.00	1,533.10	Various	1,610.51	77.41 D	0.00	Sale
05/12/2020	1,555.00	1,663.62	Various	1,924.55	260.93 D	0.00	Sale
05/12/2020	5,000.00	5,149.28	Various	5,652.71	503.43 D	0.00	Sale
05/12/2020	5,000.00	5,599.27	Various	6,083.34	484.07 D	0.00	Sale

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**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)

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MICROVISION INC DEL   CUSIP: 594960304   Symbol: MVIS							
05/12/2020	100.00	100.98	Various	114.94	13.96 D	0.00	Sale
05/12/2020	100.00	100.98	Various	118.63	17.65 D	0.00	Sale
05/12/2020	100.00	100.98	Various	121.17	20.19 D	0.00	Sale
05/12/2020	100.00	100.98	Various	120.76	19.78 D	0.00	Sale
05/12/2020	100.00	100.98	Various	121.72	20.74 D	0.00	Sale
05/12/2020	100.00	100.98	Various	112.99	12.01 D	0.00	Sale
05/12/2020	100.00	100.98	05/12/2020	107.26	6.28 D	0.00	Sale
05/12/2020	100.00	100.98	05/12/2020	107.26	6.28 D	0.00	Sale
05/12/2020	100.00	100.98	Various	107.27	6.29 D	0.00	Sale
05/12/2020	100.00	100.98	05/12/2020	107.26	6.28 D	0.00	Sale
05/12/2020	100.00	100.98	05/12/2020	107.26	6.28 D	0.00	Sale
05/12/2020	100.00	100.98	05/12/2020	107.25	6.27 D	0.00	Sale
05/12/2020	100.00	100.98	Various	107.17	6.19 D	0.00	Sale
05/12/2020	100.00	100.98	Various	106.96	5.98 D	0.00	Sale
05/12/2020	100.00	100.98	Various	106.59	5.61 D	0.00	Sale
05/12/2020	100.00	100.98	05/12/2020	106.58	5.6 D	0.00	Sale
05/12/2020	100.00	100.98	05/12/2020	106.58	5.6 D	0.00	Sale
05/12/2020	100.00	100.98	05/12/2020	106.58	5.6 D	0.00	Sale
05/12/2020	100.00	100.98	05/12/2020	106.58	5.6 D	0.00	Sale
05/12/2020	100.00	100.98	05/12/2020	106.57	5.59 D	0.00	Sale
05/12/2020	100.00	100.98	05/12/2020	106.58	5.6 D	0.00	Sale
05/12/2020	100.00	100.98	Various	106.65	5.67 D	0.00	Sale
05/12/2020	100.00	100.98	Various	106.98	6.00 D	0.00	Sale
05/12/2020	100.00	100.98	Various	107.07	6.09 D	0.00	Sale
05/12/2020	100.00	100.98	Various	116.34	15.36 D	0.00	Sale
05/12/2020	100.00	100.98	Various	117.01	16.03 D	0.00	Sale
05/12/2020	100.00	100.98	Various	119.44	18.46 D	0.00	Sale

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**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)

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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
MICROVISION INC DEL   CUSIP: 594960304   Symbol: MVIS							
05/12/2020	100.00	100.98	Various	119.25	18.27 D	0.00	Sale
05/12/2020	100.00	100.98	Various	121.01	20.03 D	0.00	Sale
05/12/2020	100.00	100.98	Various	120.99	20.01 D	0.00	Sale
05/12/2020	100.00	100.98	Various	120.89	19.91 D	0.00	Sale
05/12/2020	100.00	100.98	Various	121.70	20.72 D	0.00	Sale
05/12/2020	100.00	100.98	Various	120.84	19.86 D	0.00	Sale
05/12/2020	100.00	100.98	Various	120.42	19.44 D	0.00	Sale
05/12/2020	100.00	117.98	Various	132.39	14.41 D	0.00	Sale
05/12/2020	200.00	224.01	Various	241.42	17.41 D	0.00	Sale
05/12/2020	216.00	250.56	Various	286.69	36.13 D	0.00	Sale
05/12/2020	254.00	284.44	Various	305.60	21.16 D	0.00	Sale
05/12/2020	300.00	302.95	Various	347.92	44.97 D	0.00	Sale
05/12/2020	300.00	353.95	Various	404.88	50.93 D	0.00	Sale
05/12/2020	600.00	707.91	Various	731.75	23.84 D	0.00	Sale
05/12/2020	600.00	707.91	Various	723.57	15.66 D	0.00	Sale
05/12/2020	1,000.00	1,070.05	Various	1,138.72	68.67 D	0.00	Sale
05/12/2020	1,000.00	1,140.05	Various	1,183.66	43.61 D	0.00	Sale
05/12/2020	1,300.00	1,312.82	Various	1,354.08	41.26 D	0.00	Sale
05/12/2020	2,000.00	2,119.71	Various	2,340.07	220.36 D	0.00	Sale
05/12/2020	1,500.00	1,607.78	Various	1,687.13	79.35 D	0.00	Sale
05/12/2020	2,000.00	2,240.51	Various	2,415.56	175.05 D	0.00	Sale
05/12/2020	3,000.00	3,360.16	Various	3,657.36	297.20 D	0.00	Sale
05/12/2020	3,400.00	4,011.51	Various	4,333.71	322.20 D	0.00	Sale
05/12/2020	4,000.00	4,560.61	Various	4,947.65	387.04 D	0.00	Sale
05/12/2020	4,546.00	5,091.77	Various	5,686.51	594.74 D	0.00	Sale
05/12/2020	4,784.00	5,550.65	Various	5,883.79	347.23 D	14.09	Sale
05/12/2020	5,000.00	5,049.78	Various	5,535.33	485.55 D	0.00	Sale

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MICROVISION INC DEL   CUSIP: 594960304   Symbol: MVIS							
05/12/2020	5,000.00	5,124.28	Various	5,553.43	435.33 D	6.18	Sale
05/12/2020	5,000.00	4,955.79	Various	5,530.96	575.17 D	0.00	Sale
05/12/2020	5,000.00	5,899.26	Various	6,234.10	334.84 D	0.00	Sale
05/12/2020	5,000.00	5,449.27	Various	5,973.17	523.90 D	0.00	Sale
05/12/2020	5,000.00	5,599.77	Various	6,072.25	472.48 D	0.00	Sale
05/12/2020	5,000.00	5,150.28	Various	5,580.65	194.96 D	-235.41	Sale
05/19/2020	37.00	37.35	Various	39.53	0.00	-2.18	Sale
05/19/2020	363.00	366.58	Various	386.25	0.00	-19.67	Sale
05/19/2020	1,600.00	1,615.77	Various	1,808.58	0.00	-192.81	Sale
06/22/2020	99.00	184.12	06/22/2020	184.14	0.02 D	0.00	Sale
06/22/2020	401.00	745.79	06/22/2020	745.86	0.07 D	0.00	Sale
06/22/2020	500.00	929.91	06/22/2020	930.00	0.09 D	0.00	Sale
06/22/2020	1,000.00	1,889.83	Various	1,860.00	0.00	29.83	Sale
06/22/2020	2,000.00	3,439.68	Various	3,370.00	0.00	69.68	Sale
06/22/2020	100.00	182.98	06/22/2020	183.00	0.02 D	0.00	Sale
06/22/2020	100.00	182.98	06/22/2020	183.00	0.02 D	0.00	Sale
06/22/2020	140.00	256.17	06/22/2020	256.20	0.03 D	0.00	Sale
06/22/2020	200.00	365.97	06/22/2020	366.00	0.03 D	0.00	Sale
06/22/2020	300.00	548.94	06/22/2020	549.00	0.06 D	0.00	Sale
06/22/2020	400.00	731.93	06/22/2020	732.00	0.07 D	0.00	Sale
06/22/2020	660.00	1,207.69	06/22/2020	1,207.80	0.11 D	0.00	Sale
06/22/2020	700.00	1,280.89	06/22/2020	1,281.00	0.11 D	0.00	Sale
06/22/2020	400.00	731.93	06/22/2020	732.00	0.07 D	0.00	Sale
06/22/2020	1,000.00	1,844.83	Various	1,849.39	4.56 D	0.00	Sale
06/22/2020	1,000.00	1,844.83	Various	1,849.37	4.54 D	0.00	Sale
06/22/2020	1,000.00	1,841.03	Various	1,849.36	8.33 D	0.00	Sale
06/22/2020	1,000.00	1,861.03	Various	1,860.13	0.00	0.90	Sale

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**SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS**

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MICROVISION INC DEL   CUSIP: 594960304   Symbol: MVIS							
06/22/2020	1,000.00	1,864.83	06/22/2020	1,860.00	0.00	4.83	Sale
06/22/2020	1,000.00	1,841.03	06/22/2020	1,849.20	8.17 D	0.00	Sale
06/22/2020	1,000.00	1,841.03	06/22/2020	1,849.20	8.17 D	0.00	Sale
06/22/2020	1,000.00	1,864.83	Various	1,860.05	0.00	4.78	Sale
07/15/2020	1,000.00	1,929.83	Various	1,894.54	0.00	35.29	Sale
07/15/2020	300.00	578.94	Various	568.18	0.00	10.76	Sale
07/15/2020	700.00	1,350.89	Various	1,326.18	0.00	24.71	Sale
07/15/2020	1,000.00	1,930.83	Various	1,898.33	0.00	32.50	Sale
07/16/2020	200.00	408.97	07/16/2020	393.67	0.00	15.30	Sale
07/16/2020	300.00	613.44	07/16/2020	590.50	0.00	22.94	Sale
07/16/2020	300.00	636.24	07/16/2020	618.00	0.00	18.24	Sale
07/16/2020	300.00	636.24	07/16/2020	618.00	0.00	18.24	Sale
07/16/2020	400.00	848.33	07/16/2020	824.00	0.00	24.33	Sale
07/16/2020	500.00	1,022.41	07/16/2020	984.16	0.00	38.25	Sale
07/16/2020	1,000.00	2,044.83	07/16/2020	1,968.34	0.00	76.49	Sale
07/16/2020	1,000.00	2,039.83	Various	1,999.91	0.00	39.92	Sale
07/16/2020	1,000.00	2,020.83	07/16/2020	1,999.90	0.00	20.93	Sale
07/16/2020	1,000.00	2,129.83	Various	2,060.00	0.00	69.83	Sale
07/16/2020	1,000.00	2,419.82	07/16/2020	2,475.17	55.35 D	0.00	Sale
07/16/2020	4,000.00	8,083.34	07/16/2020	8,000.00	0.00	83.34	Sale
07/16/2020	300.00	726.87	07/16/2020	742.55	15.68 D	0.00	Sale
07/16/2020	700.00	1,693.88	07/16/2020	1,732.61	38.73 D	0.00	Sale
07/16/2020	2,000.00	3,759.67	Various	3,816.34	56.67 D	0.00	Sale
07/16/2020	1,000.00	2,429.82	07/16/2020	2,475.17	45.35 D	0.00	Sale
07/16/2020	2,000.00	4,099.66	07/16/2020	4,000.00	0.00	99.66	Sale
07/16/2020	2,000.00	4,142.66	07/16/2020	4,140.00	0.00	2.66	Sale
07/16/2020	3,000.00	6,254.50	07/16/2020	6,420.00	165.5 D	0.00	Sale

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**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
MICROVISION INC DEL   CUSIP: 594960304   Symbol: MVIS							
07/17/2020	4.00	13.26	07/17/2020	12.36	0.00	0.90	Sale
07/17/2020	95.00	260.28	07/17/2020	251.31	0.00	8.97	Sale
07/17/2020	100.00	312.98	07/17/2020	302.84	0.00	10.14	Sale
07/17/2020	100.00	271.98	07/17/2020	264.53	0.00	7.45	Sale
07/17/2020	100.00	268.98	07/17/2020	265.54	0.00	3.44	Sale
07/17/2020	100.00	271.98	07/17/2020	264.54	0.00	7.44	Sale
07/17/2020	100.00	271.98	07/17/2020	264.53	0.00	7.45	Sale
07/17/2020	100.00	268.98	07/17/2020	265.53	0.00	3.45	Sale
07/17/2020	169.00	454.57	07/17/2020	448.75	0.00	5.82	Sale
07/17/2020	200.00	543.96	07/17/2020	529.07	0.00	14.89	Sale
07/17/2020	235.00	639.15	07/17/2020	623.28	0.00	15.87	Sale
07/17/2020	246.00	816.67	07/17/2020	760.14	0.00	56.53	Sale
07/17/2020	265.00	720.75	Various	703.47	0.00	17.28	Sale
07/17/2020	300.00	809.94	07/17/2020	796.61	0.00	13.33	Sale
07/17/2020	331.00	893.64	07/17/2020	878.92	0.00	14.72	Sale
07/17/2020	405.00	1,109.62	07/17/2020	1,071.37	0.00	38.25	Sale
07/17/2020	500.00	1,619.90	07/17/2020	1,545.00	0.00	74.90	Sale
07/17/2020	500.00	1,359.90	07/17/2020	1,327.66	0.00	32.24	Sale
07/17/2020	750.00	2,474.85	07/17/2020	2,317.50	0.00	157.35	Sale
07/17/2020	2,000.00	6,239.62	07/17/2020	6,200.00	0.00	39.62	Sale
07/17/2020	3,000.00	8,879.44	07/17/2020	8,842.45	0.00	36.99	Sale
07/17/2020	3,000.00	9,119.43	Various	9,120.37	0.94 D	0.00	Sale
07/17/2020	5,000.00	14,049.08	07/17/2020	14,050.00	0.92 D	0.00	Sale
07/17/2020	500.00	1,609.90	07/17/2020	1,545.00	0.00	64.90	Sale
07/20/2020	1.00	2.45	07/20/2020	2.44	0.00	0.01	Sale
07/20/2020	34.00	83.96	07/20/2020	82.97	0.00	0.99	Sale
07/20/2020	25.00	61.73	07/20/2020	61.01	0.00	0.72	Sale

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**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

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**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
MICROVISION INC DEL   CUSIP: 594960304   Symbol: MVIS							
07/20/2020	100.00	246.98	07/20/2020	244.04	0.00	2.94	Sale
07/20/2020	100.00	246.98	07/20/2020	244.04	0.00	2.94	Sale
07/20/2020	200.00	493.96	07/20/2020	488.07	0.00	5.89	Sale
07/20/2020	40.00	98.78	07/20/2020	97.61	0.00	1.17	Sale
07/20/2020	240.00	592.75	07/20/2020	585.69	0.00	7.06	Sale
07/20/2020	260.00	642.15	07/20/2020	634.50	0.00	7.65	Sale
07/20/2020	500.00	1,234.91	07/20/2020	1,220.10	0.00	14.81	Sale
07/20/2020	500.00	1,234.91	07/20/2020	1,220.09	0.00	14.82	Sale
07/20/2020	1,000.00	2,471.42	Various	2,435.38	0.00	36.04	Sale
07/22/2020	30.00	56.98	07/22/2020	56.70	0.00	0.28	Sale
07/22/2020	42.00	79.78	07/22/2020	79.38	0.00	0.40	Sale
07/22/2020	70.00	132.98	Various	132.30	0.00	0.68	Sale
07/22/2020	100.00	189.98	07/22/2020	189.00	0.00	0.98	Sale
07/22/2020	100.00	190.98	07/22/2020	189.00	0.00	1.98	Sale
07/22/2020	4.00	7.58	07/22/2020	7.56	0.00	0.02	Sale
07/22/2020	115.00	218.48	07/22/2020	217.35	0.00	1.13	Sale
07/22/2020	100.00	196.98	07/22/2020	186.00	0.00	10.98	Sale
07/22/2020	200.00	381.97	Various	378.00	0.00	3.97	Sale
07/22/2020	214.00	421.54	07/22/2020	398.04	0.00	23.50	Sale
07/22/2020	300.00	569.94	07/22/2020	567.00	0.00	2.94	Sale
07/22/2020	300.00	569.94	Various	567.00	0.00	2.94	Sale
07/22/2020	2,000.00	3,979.67	07/22/2020	4,100.00	120.33 D	0.00	Sale
07/22/2020	439.00	834.03	07/22/2020	829.71	0.00	4.32	Sale
07/22/2020	751.00	1,479.34	Various	1,396.86	0.00	82.48	Sale
07/22/2020	300.00	572.94	07/22/2020	567.00	0.00	5.94	Sale
08/05/2020	50.00	149.98	08/05/2020	154.51	0.00	-4.53	Sale
08/05/2020	96.00	287.98	Various	296.66	0.00	-8.68	Sale

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APEX CLEARING

Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B\*

OMB No. 1545-0715

2TZ05705

(continued)

01/24/2021

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
MICROVISION INC DEL   CUSIP: 594960304   Symbol: MVIS							
08/05/2020	100.00	299.98	Various	309.02	0.00	-9.04	Sale
08/05/2020	200.00	599.96	Various	618.04	0.00	-18.08	Sale
08/05/2020	454.00	1,361.91	Various	1,402.93	0.00	-41.02	Sale
08/05/2020	1,100.00	3,299.79	Various	3,399.17	0.00	-99.38	Sale
09/21/2020	118.00	250.26	Various	237.18	0.00	13.08	Sale
09/21/2020	4,882.00	10,353.91	Various	9,812.82	0.00	541.09	Sale
09/22/2020	1,000.00	2,229.83	Various	2,190.00	0.00	39.83	Sale
09/22/2020	1,000.00	2,209.83	09/22/2020	2,209.00	0.00	0.83	Sale
09/22/2020	1,000.00	2,229.83	Various	2,190.00	0.00	39.83	Sale
09/22/2020	2,000.00	4,399.66	09/22/2020	4,418.00	18.34 D	0.00	Sale
10/09/2020	767.00	2,155.90	Various	2,123.98	0.00	31.92	Sale
10/09/2020	1,000.00	2,749.81	Various	2,829.15	0.00	-79.34	Sale
10/09/2020	233.00	654.91	Various	645.21	0.00	9.70	Sale
12/16/2020	598.00	2,415.79	12/16/2020	2,385.36	0.00	30.43	Sale
12/16/2020	1,000.00	4,039.79	Various	3,990.00	0.00	49.79	Sale
12/16/2020	402.00	1,623.99	12/16/2020	1,603.54	0.00	20.45	Sale
12/16/2020	1,000.00	4,039.79	Various	3,970.00	0.00	69.79	Sale
<b>Security Totals:</b>		<b>480,286.65</b>		<b>496,262.00</b>		<b>3,069.92</b>	
PRECIPPIO INC COMMON STOCK   CUSIP: 74019L503   Symbol: PRPO							
06/24/2020	100.00	192.98	06/24/2020	206.02	13.04 D	0.00	Sale
06/24/2020	100.00	204.98	Various	212.13	7.15 D	0.00	Sale
06/24/2020	100.00	205.98	Various	212.27	6.29 D	0.00	Sale
06/24/2020	100.00	192.98	06/24/2020	206.02	13.04 D	0.00	Sale
06/24/2020	200.00	386.17	Various	413.03	26.86 D	0.00	Sale
06/24/2020	200.00	409.97	Various	424.89	14.92 D	0.00	Sale
06/24/2020	200.00	386.17	06/24/2020	414.03	27.86 D	0.00	Sale
06/24/2020	200.00	386.17	06/24/2020	414.03	27.86 D	0.00	Sale
06/24/2020	200.00	409.97	Various	425.89	15.92 D	0.00	Sale

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**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

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**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
PRECIPIO INC COMMON STOCK   CUSIP: 74019L503   Symbol: PRPO							
06/24/2020	200.00	386.17	06/24/2020	414.03	27.86 D	0.00	Sale
06/24/2020	200.00	386.17	06/24/2020	414.03	27.86 D	0.00	Sale
06/24/2020	200.00	386.17	06/24/2020	414.04	27.87 D	0.00	Sale
06/24/2020	400.00	811.93	Various	851.78	39.85 D	0.00	Sale
06/24/2020	200.00	386.17	06/24/2020	414.03	27.86 D	0.00	Sale
06/24/2020	1,000.00	1,999.83	Various	2,004.30	8.04 D	3.57	Sale
06/24/2020	400.00	767.93	06/24/2020	828.07	60.14 D	0.00	Sale
06/24/2020	1,000.00	2,029.83	Various	2,084.09	54.26 D	0.00	Sale
06/24/2020	1,000.00	2,019.83	Various	2,133.92	114.09 D	0.00	Sale
06/24/2020	2,000.00	3,699.67	06/24/2020	4,000.00	300.33 D	0.00	Sale
06/24/2020	1,000.00	2,019.83	Various	2,054.13	34.30 D	0.00	Sale
06/24/2020	2,000.00	3,619.67	Various	3,940.55	320.88 D	0.00	Sale
06/24/2020	2,000.00	3,799.67	Various	4,064.47	264.80 D	0.00	Sale
06/24/2020	600.00	1,199.96	Various	1,273.91	73.95 D	0.00	Sale
06/24/2020	200.00	373.89	06/24/2020	402.01	28.12 D	0.00	Sale
06/24/2020	200.00	373.85	06/24/2020	402.01	28.16 D	0.00	Sale
06/24/2020	2,500.00	4,574.59	Various	5,049.13	36.05 D	-438.49	Sale
06/24/2020	2,100.00	3,905.66	Various	4,346.13	0.00	-440.47	Sale
06/24/2020	4,400.00	8,799.72	Various	9,258.34	458.62 D	0.00	Sale
07/30/2020	5.00	37.73	Various	37.50	0.00	0.23	Sale
07/30/2020	40.00	301.98	07/30/2020	300.00	0.00	1.98	Sale
07/30/2020	100.00	700.97	07/30/2020	645.00	0.00	55.97	Sale
07/30/2020	100.00	709.97	07/30/2020	658.88	0.00	51.09	Sale
07/30/2020	100.00	782.97	Various	765.00	0.00	17.97	Sale
07/30/2020	100.00	747.97	07/30/2020	658.87	0.00	89.10	Sale
07/30/2020	100.00	729.97	07/30/2020	645.00	0.00	84.97	Sale
07/30/2020	100.00	700.97	07/30/2020	645.00	0.00	55.97	Sale

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APEX CLEARING

Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B\*

OMB No. 1545-0715

2TZ05705

(continued)

01/24/2021

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)

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

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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
PRECIPIO INC COMMON STOCK   CUSIP: 74019L503   Symbol: PRPO							
07/30/2020	100.00	781.97	07/30/2020	765.00	0.00	16.97	Sale
07/30/2020	100.00	694.97	07/30/2020	658.88	0.00	36.09	Sale
07/30/2020	255.00	1,925.17	Various	1,912.50	0.00	12.67	Sale
07/30/2020	300.00	1,817.91	07/30/2020	1,884.05	66.14 D	0.00	Sale
07/30/2020	300.00	2,339.90	Various	2,295.00	0.00	44.90	Sale
07/30/2020	300.00	1,799.95	07/30/2020	1,875.00	75.05 D	0.00	Sale
07/30/2020	300.00	1,913.91	Various	1,956.14	42.23 D	0.00	Sale
07/30/2020	300.00	1,836.60	Various	1,923.23	86.63 D	0.00	Sale
08/20/2020	500.00	1,714.90	08/20/2020	1,600.00	0.00	114.90	Sale
08/20/2020	500.00	1,699.90	08/20/2020	1,600.00	0.00	99.90	Sale
<b>Security Totals:</b>		<b>65,553.62</b>		<b>68,102.33</b>		<b>-192.68</b>	
PEDEVCO CORP COMMON STOCK   CUSIP: 70532Y303   Symbol: PED							
09/29/2020	2,000.00	3,239.68	Various	3,360.00	0.00	-120.32	Sale
RIOT BLOCKCHAIN INC COMMON STOCK   CUSIP: 767292105   Symbol: RIOT							
05/07/2020	45.00	67.93	05/07/2020	68.63	0.7 D	0.00	Sale
05/07/2020	100.00	151.98	05/07/2020	152.50	0.52 D	0.00	Sale
05/07/2020	100.00	151.98	05/07/2020	152.50	0.52 D	0.00	Sale
05/07/2020	100.00	150.98	05/07/2020	152.50	1.52 D	0.00	Sale
05/07/2020	100.00	151.98	05/07/2020	152.50	0.52 D	0.00	Sale
05/07/2020	100.00	151.98	05/07/2020	152.50	0.52 D	0.00	Sale
05/07/2020	200.00	303.97	05/07/2020	305.00	1.03 D	0.00	Sale
05/07/2020	100.00	151.98	05/07/2020	152.50	0.52 D	0.00	Sale
05/07/2020	500.00	759.92	05/07/2020	762.50	2.58 D	0.00	Sale
05/07/2020	2,347.00	3,543.61	Various	3,614.98	71.37 D	0.00	Sale
05/07/2020	308.00	468.10	05/07/2020	478.98	10.88 D	0.00	Sale
05/26/2020	500.00	1,204.91	Various	1,134.50	0.00	70.41	Buy to Cover Short
05/26/2020	500.00	1,204.91	05/21/2020	1,135.00	0.00	69.91	Buy to Cover Short
05/26/2020	500.00	1,209.80	Various	1,123.45	0.00	86.35	Buy to Cover Short

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**SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS**

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

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

1c - DateSold 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
RIOT BLOCKCHAIN INC COMMON STOCK   CUSIP: 767292105   Symbol: RIOT							
05/28/2020	2,000.00	4,419.66	Various	4,545.53	125.87 D	0.00	Sale
05/28/2020	43.00	95.01	Various	96.34	1.33 D	0.00	Sale
05/28/2020	200.00	441.97	Various	448.85	6.88 D	0.00	Sale
05/28/2020	209.00	461.85	Various	470.09	8.24 D	0.00	Sale
05/28/2020	248.00	548.03	Various	559.24	11.21 D	0.00	Sale
05/28/2020	300.00	662.94	Various	683.41	20.47 D	0.00	Sale
05/28/2020	1,000.00	2,209.83	Various	2,257.72	47.89 D	0.00	Sale
06/02/2020	262.00	757.13	06/02/2020	681.15	0.00	75.98	Sale
06/02/2020	300.00	866.94	06/02/2020	779.94	0.00	87.00	Sale
06/02/2020	438.00	1,265.74	06/02/2020	1,138.71	0.00	127.03	Sale
06/02/2020	1,000.00	2,839.81	Various	2,623.84	0.00	215.97	Sale
06/02/2020	1,000.00	2,519.82	06/02/2020	2,460.00	0.00	59.82	Sale
06/02/2020	1,000.00	2,919.81	Various	2,615.59	0.00	304.22	Sale
06/02/2020	200.00	492.96	06/02/2020	499.94	6.98 D	0.00	Sale
06/02/2020	1,000.00	2,519.82	06/02/2020	2,460.00	0.00	59.82	Sale
06/02/2020	100.00	251.98	06/02/2020	249.99	0.00	1.99	Sale
06/02/2020	100.00	277.98	Various	264.23	0.00	13.75	Sale
06/02/2020	300.00	755.94	Various	749.97	0.00	5.97	Sale
06/02/2020	900.00	2,501.83	Various	2,355.68	0.00	146.15	Sale
06/02/2020	1,000.00	2,511.02	Various	2,498.88	0.00	12.14	Sale
06/02/2020	910.00	2,238.44	06/02/2020	2,274.73	36.29 D	0.00	Sale
06/02/2020	600.00	1,511.89	06/02/2020	1,499.92	0.00	11.97	Sale
06/02/2020	890.00	2,189.24	06/02/2020	2,224.73	35.49 D	0.00	Sale
06/04/2020	2,000.00	4,983.64	06/04/2020	5,040.00	56.36 D	0.00	Sale
06/10/2020	250.00	824.95	Various	774.55	0.00	50.40	Sale
06/10/2020	297.00	914.69	Various	952.94	38.25 D	0.00	Sale
06/10/2020	300.00	917.93	06/10/2020	962.56	44.63 D	0.00	Sale

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**SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS**

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

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

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RIOT BLOCKCHAIN INC COMMON STOCK   CUSIP: 767292105   Symbol: RIOT							
06/10/2020	1,000.00	3,049.81	Various	3,125.70	75.89 D	0.00	Sale
06/10/2020	1,000.00	3,049.81	Various	3,175.89	126.08 D	0.00	Sale
06/10/2020	1,403.00	4,292.91	Various	4,467.87	174.96 D	0.00	Sale
06/10/2020	100.00	309.99	06/10/2020	309.82	0.00	0.17	Sale
06/10/2020	900.00	2,789.91	Various	2,793.36	4.57 D	1.12	Sale
06/11/2020	10.00	24.18	06/11/2020	25.89	1.71 D	0.00	Sale
06/11/2020	4,990.00	12,074.94	Various	12,349.07	213.60 D	-60.53	Sale
06/22/2020	2,000.00	4,799.65	Various	5,015.31	0.00	-215.66	Sale
07/27/2020	5.00	13.23	07/27/2020	13.25	0.02 D	0.00	Sale
07/27/2020	77.00	206.73	Various	212.46	5.73 D	0.00	Sale
07/27/2020	100.00	264.98	07/27/2020	265.00	0.02 D	0.00	Sale
07/27/2020	100.00	268.48	Various	275.92	7.44 D	0.00	Sale
07/27/2020	100.00	268.48	Various	275.92	7.44 D	0.00	Sale
07/27/2020	100.00	268.48	Various	275.92	7.44 D	0.00	Sale
07/27/2020	123.00	330.24	Various	339.38	9.14 D	0.00	Sale
07/27/2020	200.00	529.96	Various	528.10	0.00	1.86	Sale
07/27/2020	200.00	536.96	Various	551.84	14.88 D	0.00	Sale
07/27/2020	300.00	805.44	Various	827.75	22.31 D	0.00	Sale
07/27/2020	395.00	1,046.67	07/27/2020	1,046.75	0.08 D	0.00	Sale
07/27/2020	500.00	1,324.91	Various	1,325.09	0.18 D	0.00	Sale
07/27/2020	500.00	1,339.91	Various	1,379.59	39.68 D	0.00	Sale
07/27/2020	500.00	1,342.41	07/27/2020	1,379.59	37.18 D	0.00	Sale
07/27/2020	1,000.00	2,649.82	Various	2,650.05	0.23 D	0.00	Sale
07/27/2020	1,000.00	2,919.81	Various	3,149.18	229.37 D	0.00	Sale
07/27/2020	1,100.00	2,926.90	07/27/2020	3,003.00	76.1 D	0.00	Sale
07/27/2020	1,800.00	4,769.68	Various	4,749.29	0.00	20.39	Sale
07/27/2020	1,900.00	5,055.55	07/27/2020	5,187.00	131.45 D	0.00	Sale

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**SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS**

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RIOT BLOCKCHAIN INC COMMON STOCK   CUSIP: 767292105   Symbol: RIOT							
07/27/2020	2,000.00	5,781.63	Various	6,006.23	224.60 D	0.00	Sale
07/27/2020	1,000.00	2,919.81	Various	3,104.38	184.57 D	0.00	Sale
08/05/2020	1,000.00	4,229.78	Various	4,286.05	56.27 D	0.00	Sale
08/05/2020	2,000.00	8,539.57	Various	9,250.84	0.00	-711.27	Sale
08/05/2020	3,000.00	12,389.36	Various	13,139.71	613.84 D	-136.51	Sale
08/05/2020	30.00	126.88	Various	135.28	8.4 D	0.00	Sale
08/05/2020	40.00	169.18	08/05/2020	180.39	11.21 D	0.00	Sale
08/05/2020	91.00	384.91	Various	410.38	25.47 D	0.00	Sale
08/05/2020	100.00	422.98	Various	450.97	27.99 D	0.00	Sale
08/05/2020	100.00	422.98	Various	450.97	27.99 D	0.00	Sale
08/05/2020	200.00	845.98	Various	901.93	55.95 D	0.00	Sale
08/05/2020	439.00	1,856.87	Various	1,979.75	122.88 D	0.00	Sale
12/16/2020	50.00	537.97	12/16/2020	560.00	22.03 D	0.00	Sale
12/16/2020	100.00	1,075.96	12/16/2020	1,120.00	44.04 D	0.00	Sale
12/16/2020	250.00	2,692.49	Various	2,866.07	173.58 D	0.00	Sale
12/16/2020	100.00	1,075.96	12/16/2020	1,163.00	87.04 D	0.00	Sale
12/17/2020	500.00	5,849.81	Various	6,092.62	242.81 D	0.00	Sale
<b>Security Totals:</b>		<b>159,156.84</b>		<b>162,503.13</b>		<b>298.45</b>	
NANOVIIRONIX INC COMMON STOCK   CUSIP: 63008J108   Symbol: NAOV							
12/04/2020	20.00	26.70	12/02/2020	23.80	0.00	2.90	Buy to Cover Short
12/04/2020	80.00	106.79	12/02/2020	95.20	0.00	11.59	Buy to Cover Short
12/04/2020	100.00	133.48	12/02/2020	119.00	0.00	14.48	Buy to Cover Short
12/04/2020	100.00	133.48	12/02/2020	119.00	0.00	14.48	Buy to Cover Short
12/04/2020	100.00	133.48	12/02/2020	119.00	0.00	14.48	Buy to Cover Short
12/04/2020	500.00	667.43	12/02/2020	620.00	0.00	47.43	Buy to Cover Short
12/04/2020	100.00	133.49	12/02/2020	119.00	0.00	14.49	Buy to Cover Short
<b>Security Totals:</b>		<b>1,334.85</b>		<b>1,215.00</b>		<b>119.85</b>	

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APEX CLEARING

## Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B\*

OMB No. 1545-0715

2TZ05705

(continued)

01/24/2021

**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>
RHYTHM PHARMACEUTICALS INC COMMON STOCK   CUSIP: 76243J105   Symbol: RYTM							
09/03/2020	51.00	1,427.96	09/01/2020	1,432.08	0.00	-4.12	Buy to Cover Short
09/03/2020	199.00	5,571.85	09/01/2020	5,587.92	0.00	-16.07	Buy to Cover Short
09/03/2020	50.00	1,399.96	09/01/2020	1,405.00	0.00	-5.04	Buy to Cover Short
09/03/2020	100.00	2,799.93	09/01/2020	2,810.00	0.00	-10.07	Buy to Cover Short
09/03/2020	100.00	2,799.93	09/01/2020	2,810.00	0.00	-10.07	Buy to Cover Short
<b>Security Totals:</b>		<b>13,999.63</b>		<b>14,045.00</b>		<b>-45.37</b>	
ENZO BIOCHEM INC   CUSIP: 294100102   Symbol: ENZ							
03/06/2020	24.00	72.72	Various	69.63	0.00	3.09	Sale
03/06/2020	31.00	93.65	03/06/2020	89.59	0.00	4.06	Sale
03/06/2020	100.00	302.08	Various	290.00	0.00	12.08	Sale
03/06/2020	200.00	604.16	03/06/2020	578.00	0.00	26.16	Sale
03/06/2020	269.00	812.76	03/06/2020	777.41	0.00	35.35	Sale
03/06/2020	400.00	1,208.56	Various	1,156.74	0.00	51.82	Sale
03/06/2020	476.00	1,442.66	Various	1,380.40	0.00	62.26	Sale
03/06/2020	20.00	69.58	03/06/2020	73.80	4.22 D	0.00	Sale
03/06/2020	100.00	346.44	03/06/2020	369.00	22.56 D	0.00	Sale
03/06/2020	64.00	223.34	03/06/2020	236.16	12.82 D	0.00	Sale
03/06/2020	100.00	346.44	03/06/2020	369.00	22.56 D	0.00	Sale
03/06/2020	400.00	1,385.75	03/06/2020	1,476.00	90.25 D	0.00	Sale
03/06/2020	500.00	1,516.05	03/06/2020	1,450.00	0.00	66.05	Sale
03/06/2020	500.00	1,732.20	Various	1,877.24	71.29 D	-73.75	Sale
03/06/2020	816.00	2,818.78	Various	3,162.50	0.00	-343.72	Sale
<b>Security Totals:</b>		<b>12,975.17</b>		<b>13,355.47</b>		<b>-156.60</b>	
MARIN SOFTWARE INCORPORATED COMMON STOCK   CUSIP: 56804T205   Symbol: MRIN							
10/21/2020	100.00	488.97	10/21/2020	402.98	0.00	85.99	Sale
10/21/2020	100.00	487.97	10/21/2020	402.99	0.00	84.98	Sale
10/21/2020	100.00	487.97	10/21/2020	402.98	0.00	84.99	Sale
10/21/2020	500.00	1,834.89	Various	1,949.81	114.92 D	0.00	Sale

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**SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS**

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MARIN SOFTWARE INCORPORATED COMMON STOCK   CUSIP: 56804T205   Symbol: MRIN							
10/21/2020	100.00	488.47	10/21/2020	402.99	0.00	85.48	Sale
10/21/2020	100.00	487.97	10/21/2020	402.98	0.00	84.99	Sale
10/21/2020	500.00	1,854.89	10/21/2020	1,904.70	49.81 D	0.00	Sale
10/21/2020	500.00	2,169.89	Various	2,250.00	0.00	-80.11	Sale
<b>Security Totals:</b>		<b>8,301.02</b>		<b>8,119.43</b>		<b>346.32</b>	
AMERICAN BATTERY METALS CORPORATION COMMON STOCK   CUSIP: 02451V101   Symbol: ABML							
12/22/2020	298.00	362.61	12/22/2020	380.60	17.99 D	0.00	Sale
12/22/2020	500.00	633.42	12/22/2020	614.57	0.00	18.85	Sale
12/22/2020	500.00	638.92	12/22/2020	614.57	0.00	24.35	Sale
12/22/2020	1,000.00	1,257.85	Various	1,233.82	5.09 D	29.12	Sale
12/22/2020	1,702.00	2,071.07	Various	2,081.99	19.68 D	8.76	Sale
12/22/2020	2,000.00	2,213.71	Various	2,321.67	107.96 D	0.00	Sale
12/22/2020	2,000.00	2,453.70	Various	2,586.17	132.47 D	0.00	Sale
12/23/2020	80.00	90.14	12/23/2020	95.73	5.59 D	0.00	Sale
12/23/2020	100.00	114.68	Various	119.69	5.01 D	0.00	Sale
12/23/2020	220.00	247.90	12/23/2020	263.25	15.35 D	0.00	Sale
12/23/2020	300.00	344.05	Various	359.69	15.64 D	0.00	Sale
12/23/2020	1,000.00	1,176.85	Various	1,184.33	14.25 D	6.77	Sale
12/23/2020	1,000.00	1,106.85	Various	1,144.78	37.93 D	0.00	Sale
12/23/2020	1,800.00	2,028.34	Various	2,200.66	172.32 D	0.00	Sale
12/23/2020	3,000.00	3,320.56	Various	3,331.18	31.16 D	20.54	Sale
12/23/2020	5,000.00	5,384.28	Various	5,675.11	290.83 D	0.00	Sale
12/24/2020	438.00	458.52	Various	489.76	31.24 D	0.00	Buy to Cover Short
12/24/2020	500.00	548.43	Various	526.50	0.00	21.93	Buy to Cover Short
12/24/2020	500.00	548.40	Various	521.00	0.00	27.40	Buy to Cover Short
12/24/2020	500.00	638.42	12/22/2020	625.00	0.00	13.42	Buy to Cover Short
12/24/2020	500.00	635.92	12/22/2020	616.50	0.00	19.42	Buy to Cover Short
12/24/2020	562.00	588.82	Various	608.65	19.83 D	0.00	Buy to Cover Short

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AMERICAN BATTERY METALS CORPORATION COMMON STOCK   CUSIP: 02451V101   Symbol: ABML							
12/24/2020	1,000.00	1,096.84	Various	1,082.00	0.00	14.84	Buy to Cover Short
12/24/2020	1,000.00	1,269.34	Various	1,222.00	0.00	47.34	Buy to Cover Short
12/28/2020	10.00	12.67	12/23/2020	11.93	0.00	0.74	Buy to Cover Short
12/28/2020	100.00	144.68	12/23/2020	121.30	0.00	23.38	Buy to Cover Short
12/28/2020	275.00	348.38	12/23/2020	328.08	0.00	20.30	Buy to Cover Short
12/28/2020	400.00	578.74	12/23/2020	487.20	0.00	91.54	Buy to Cover Short
12/28/2020	403.00	504.90	Various	484.81	0.00	20.09	Buy to Cover Short
12/28/2020	470.00	477.92	12/23/2020	494.98	17.06 D	0.00	Buy to Cover Short
12/28/2020	500.00	731.58	Various	616.50	0.00	115.08	Buy to Cover Short
12/28/2020	500.00	723.41	Various	614.00	0.00	109.41	Buy to Cover Short
12/28/2020	500.00	725.42	Various	616.50	0.00	108.92	Buy to Cover Short
12/28/2020	500.00	543.92	12/23/2020	533.57	0.00	10.35	Buy to Cover Short
12/28/2020	500.00	543.92	12/23/2020	531.58	0.00	12.34	Buy to Cover Short
12/28/2020	500.00	543.42	12/23/2020	532.82	0.00	10.60	Buy to Cover Short
12/28/2020	500.00	543.42	Various	532.58	0.00	10.84	Buy to Cover Short
12/28/2020	530.00	538.93	12/23/2020	551.02	12.09 D	0.00	Buy to Cover Short
12/28/2020	1,000.00	1,021.85	12/23/2020	1,032.00	10.15 D	0.00	Buy to Cover Short
12/28/2020	1,312.00	1,623.23	Various	1,578.34	0.00	44.89	Buy to Cover Short
12/28/2020	2,000.00	2,094.05	Various	2,216.00	121.95 D	0.00	Buy to Cover Short
12/28/2020	2,000.00	2,336.20	Various	2,406.00	69.80 D	0.00	Buy to Cover Short
12/28/2020	2,000.00	2,118.70	Various	2,175.15	56.45 D	0.00	Buy to Cover Short
12/28/2020	100.00	141.68	Various	150.79	9.11 D	0.00	Sale
12/28/2020	100.00	145.68	12/28/2020	157.16	11.48 D	0.00	Sale
12/28/2020	100.00	148.03	12/28/2020	155.65	7.62 D	0.00	Sale
12/28/2020	875.00	1,335.99	12/28/2020	1,193.62	0.00	142.37	Sale
12/28/2020	900.00	1,275.16	Various	1,364.73	89.57 D	0.00	Sale
12/28/2020	1,000.00	1,546.84	Various	1,413.10	0.00	133.74	Sale

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**SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS**

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**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

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**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
AMERICAN BATTERY METALS CORPORATION COMMON STOCK   CUSIP: 02451V101   Symbol: ABML							
12/28/2020	1,000.00	1,416.84	Various	1,471.88	61.63 D	6.59	Sale
12/28/2020	1,000.00	1,441.84	Various	1,497.92	56.08 D	0.00	Sale
12/28/2020	1,000.00	1,416.84	12/28/2020	1,572.58	155.74 D	0.00	Sale
12/28/2020	1,000.00	1,426.84	Various	1,571.68	144.84 D	0.00	Sale
12/28/2020	1,000.00	1,481.84	Various	1,558.86	77.02 D	0.00	Sale
12/28/2020	1,000.00	1,467.84	Various	1,694.74	226.90 D	0.00	Sale
12/28/2020	1,000.00	1,457.84	Various	1,550.46	92.62 D	0.00	Sale
12/28/2020	1,000.00	1,457.84	Various	1,576.62	118.78 D	0.00	Sale
12/28/2020	1,400.00	2,067.58	Various	2,261.90	194.32 D	0.00	Sale
12/28/2020	1,500.00	2,155.27	Various	2,279.34	124.07 D	0.00	Sale
12/28/2020	2,400.00	3,496.43	Various	3,651.04	154.61 D	0.00	Sale
12/28/2020	2,500.00	3,604.62	Various	3,774.82	170.20 D	0.00	Sale
12/29/2020	1,000.00	1,207.85	Various	1,125.11	0.00	82.74	Buy to Cover Short
12/29/2020	1,000.00	1,187.65	Various	1,262.30	74.65 D	0.00	Buy to Cover Short
12/29/2020	1,000.00	1,174.84	Various	1,143.44	0.00	31.40	Buy to Cover Short
12/29/2020	1,000.00	1,197.85	Various	1,223.80	25.95 D	0.00	Buy to Cover Short
12/29/2020	2,000.00	2,373.89	Various	2,516.80	142.91 D	0.00	Buy to Cover Short
12/29/2020	3,000.00	3,310.53	Various	3,474.00	163.47 D	0.00	Buy to Cover Short
12/29/2020	500.00	678.42	Various	775.03	0.00	-96.61	Sale
12/29/2020	400.00	528.73	Various	575.36	46.63 D	0.00	Sale
12/29/2020	819.00	1,082.59	Various	1,173.01	90.42 D	0.00	Sale
12/29/2020	1,000.00	1,321.85	Various	1,456.90	135.05 D	0.00	Sale
12/29/2020	1,000.00	1,321.85	Various	1,518.56	196.71 D	0.00	Sale
12/29/2020	1,000.00	1,376.84	Various	1,517.94	141.10 D	0.00	Sale
12/29/2020	1,000.00	1,356.84	Various	1,519.86	0.00	-163.02	Sale
12/29/2020	1,781.00	2,354.21	Various	2,708.82	354.61 D	0.00	Sale
12/29/2020	2,500.00	3,479.62	Various	3,976.71	497.09 D	0.00	Sale

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**SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS**

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

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AMERICAN BATTERY METALS CORPORATION COMMON STOCK   CUSIP: 02451V101   Symbol: ABML							
12/29/2020	2,500.00	3,492.12	Various	3,727.39	235.27 D	0.00	Sale
12/29/2020	2,500.00	3,454.62	Various	3,655.27	67.92 D	-132.73	Sale
12/30/2020	1,000.00	1,457.84	Various	1,797.20	0.00	-339.36	Sale
<b>Security Totals:</b>		<b>105,228.10</b>		<b>109,807.97</b>		<b>496.34</b>	
ZIOPHARM ONCOLOGY INC   CUSIP: 98973P101   Symbol: ZIOP							
08/12/2020	2,000.00	6,039.62	08/12/2020	6,160.00	0.00	-120.38	Sale
***MALLINCKRODT PUB LTD CO ORDINARY SHARES   CUSIP: G5785G107   Symbol: MNK							
01/24/2020	200.00	1,181.95	01/22/2020	1,133.42	0.00	48.53	Buy to Cover Short
***AURIS MEDICAL HOLDING LTD COMMON SHARES   CUSIP: G07025201   Symbol: EARS							
12/01/2020	37.00	214.58	12/01/2020	204.81	0.00	9.77	Sale
12/01/2020	100.00	515.97	12/01/2020	478.00	0.00	37.97	Sale
12/01/2020	113.00	654.24	Various	603.96	0.00	50.28	Sale
12/01/2020	200.00	1,189.95	Various	1,219.72	29.77 D	0.00	Sale
12/01/2020	200.00	1,171.95	Various	1,237.72	65.77 D	0.00	Sale
12/01/2020	200.00	1,155.95	Various	1,303.49	147.54 D	0.00	Sale
12/01/2020	200.00	1,151.95	Various	1,323.54	171.59 D	0.00	Sale
12/01/2020	250.00	1,454.93	Various	1,543.18	88.25 D	0.00	Sale
12/01/2020	250.00	1,532.43	Various	1,644.24	128.29 D	16.48	Sale
12/01/2020	250.00	1,449.93	Various	1,605.40	155.47 D	0.00	Sale
12/01/2020	250.00	1,508.68	Various	1,535.84	33.39 D	6.23	Sale
12/01/2020	250.00	1,537.43	Various	1,586.29	62.34 D	13.48	Sale
12/01/2020	400.00	2,063.90	Various	1,927.95	0.00	135.95	Sale
12/01/2020	250.00	1,434.93	Various	1,497.51	62.58 D	0.00	Sale
12/01/2020	3.00	15.88	12/01/2020	16.48	0.6 D	0.00	Sale
12/01/2020	47.00	249.08	12/01/2020	258.21	9.13 D	0.00	Sale
12/01/2020	100.00	529.97	Various	549.45	19.48 D	0.00	Sale
12/01/2020	100.00	582.97	Various	641.85	58.88 D	0.00	Sale
12/01/2020	100.00	529.97	Various	545.99	16.02 D	0.00	Sale

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**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)

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

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

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**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
***AURIS MEDICAL HOLDING LTD COMMON SHARES   CUSIP: G07025201   Symbol: EARS							
12/01/2020	100.00	582.97	12/01/2020	625.92	42.95 D	0.00	Sale
12/01/2020	150.00	868.72	12/01/2020	798.00	0.00	70.72	Sale
12/01/2020	200.00	1,161.95	Various	1,121.02	0.00	40.93	Sale
12/01/2020	200.00	1,153.35	Various	1,347.59	194.24 D	0.00	Sale
12/01/2020	200.00	1,196.05	Various	1,233.77	37.72 D	0.00	Sale
12/01/2020	250.00	1,508.06	Various	1,514.89	13.18 D	6.35	Sale
12/01/2020	250.00	1,479.93	Various	1,598.25	118.32 D	0.00	Sale
12/01/2020	250.00	1,437.43	Various	1,649.69	212.26 D	0.00	Sale
12/01/2020	250.00	1,324.94	Various	1,400.23	75.29 D	0.00	Sale
12/01/2020	250.00	1,453.28	Various	1,647.97	194.69 D	0.00	Sale
12/02/2020	200.00	823.96	Various	947.41	123.45 D	0.00	Sale
12/02/2020	200.00	821.96	Various	915.32	0.00	-93.36	Sale
12/02/2020	100.00	417.98	Various	506.03	88.05 D	0.00	Sale
12/02/2020	100.00	417.98	Various	498.41	80.43 D	0.00	Sale
12/02/2020	200.00	837.96	Various	917.04	79.08 D	0.00	Sale
12/02/2020	200.00	830.16	Various	903.83	50.25 D	-23.42	Sale
12/02/2020	200.00	824.14	Various	825.66	0.00	-1.52	Sale
12/03/2020	50.00	285.51	12/01/2020	287.50	1.99 D	0.00	Buy to Cover Short
12/03/2020	10.00	50.70	12/01/2020	51.00	0.3 D	0.00	Buy to Cover Short
12/03/2020	50.00	285.51	12/01/2020	287.50	1.99 D	0.00	Buy to Cover Short
12/03/2020	10.00	50.70	12/01/2020	51.00	0.3 D	0.00	Buy to Cover Short
12/03/2020	80.00	405.58	12/01/2020	408.00	2.42 D	0.00	Buy to Cover Short
12/03/2020	50.00	280.49	12/01/2020	279.00	0.00	1.49	Buy to Cover Short
12/03/2020	100.00	518.02	12/01/2020	507.00	0.00	11.02	Buy to Cover Short
12/03/2020	100.00	503.02	Various	485.53	0.00	17.49	Buy to Cover Short
12/03/2020	100.00	519.47	12/01/2020	507.00	0.00	12.47	Buy to Cover Short
12/03/2020	100.00	570.02	Various	578.98	8.96 D	0.00	Buy to Cover Short

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APEX CLEARING

## Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B\*

OMB No. 1545-0715

2TZ05705

(continued)

01/24/2021

**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>***AURIS MEDICAL HOLDING LTD COMMON SHARES   CUSIP: G07025201   Symbol: EARS</b>							
12/03/2020	100.00	584.25	Various	594.49	10.24 D	0.00	Buy to Cover Short
12/03/2020	100.00	503.03	12/01/2020	490.98	0.00	12.05	Buy to Cover Short
12/03/2020	100.00	568.02	Various	583.96	15.94 D	0.00	Buy to Cover Short
12/03/2020	100.00	585.02	12/01/2020	590.00	4.98 D	0.00	Buy to Cover Short
12/03/2020	500.00	2,539.03	Various	2,600.55	61.52 D	0.00	Buy to Cover Short
12/03/2020	200.00	1,121.94	12/01/2020	1,116.00	0.00	5.94	Buy to Cover Short
12/03/2020	83.00	417.51	Various	423.32	5.81 D	0.00	Buy to Cover Short
12/03/2020	17.00	85.52	12/01/2020	86.71	1.19 D	0.00	Buy to Cover Short
12/03/2020	100.00	520.97	12/01/2020	499.50	0.00	21.47	Buy to Cover Short
12/03/2020	100.00	505.97	Various	511.52	5.55 D	0.00	Buy to Cover Short
12/03/2020	100.00	585.03	12/01/2020	589.66	4.63 D	0.00	Buy to Cover Short
12/03/2020	100.00	503.02	12/01/2020	509.90	6.88 D	0.00	Buy to Cover Short
12/03/2020	100.00	503.03	12/01/2020	470.98	0.00	32.05	Buy to Cover Short
12/03/2020	100.00	583.47	Various	595.90	12.43 D	0.00	Buy to Cover Short
12/03/2020	100.00	583.47	Various	596.80	13.33 D	0.00	Buy to Cover Short
<b>Security Totals:</b>		<b>49,743.81</b>		<b>51,877.44</b>		<b>383.84</b>	
<b>RACKSPACE TECHNOLOGY INC COMMON STOCK   CUSIP: 750102105   Symbol: RXT</b>							
08/18/2020	50.00	991.46	08/18/2020	983.50	0.00	7.96	Sale
08/18/2020	200.00	3,965.89	08/18/2020	3,932.00	0.00	33.89	Sale
08/18/2020	300.00	5,873.95	Various	5,900.50	22.54 D	-4.01	Sale
08/18/2020	450.00	8,810.93	Various	8,869.54	0.00	-58.61	Sale
<b>Security Totals:</b>		<b>19,642.23</b>		<b>19,685.54</b>		<b>-20.77</b>	
<b>***ATIF HOLDINGS LIMITED ORDINARY SHARES   CUSIP: G0602B100   Symbol: ATIF</b>							
12/28/2020	2,000.00	2,761.89	Various	2,980.00	0.00	-218.11	Sale
<b>***HUDSON CAPITAL INC ORDINARY SHARES   CUSIP: G4645C208   Symbol: HUSN</b>							
12/22/2020	250.00	1,009.94	12/22/2020	1,025.00	0.00	-15.06	Sale
<b>CYTODYN INC   CUSIP: 23283M101   Symbol: CYDY</b>							
	2,000.00	5,135.63	Various	486.71	0.00	4,648.92	Sale

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APEX CLEARING

Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B\*

OMB No. 1545-0715

2TZ05705

(continued)

01/24/2021

SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

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

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CYTODYN INC   CUSIP: 23283M101   Symbol: CYDY							
03/30/2020	4.00	9.91	03/30/2020	8.55	0.00	1.36	Sale
03/30/2020	100.00	257.78	03/30/2020	213.70	0.00	44.08	Sale
03/30/2020	350.00	945.98	03/30/2020	756.70	0.00	189.28	Sale
03/30/2020	996.00	2,472.88	03/30/2020	2,128.45	0.00	344.43	Sale
03/30/2020	900.00	2,320.03	03/30/2020	1,923.30	0.00	396.73	Sale
03/30/2020	1,000.00	2,732.81	Various	2,139.50	0.00	593.31	Sale
03/30/2020	1,650.00	4,459.65	03/30/2020	3,567.30	0.00	892.35	Sale
03/31/2020	50.00	147.88	03/31/2020	150.56	2.68 D	0.00	Sale
03/31/2020	50.00	147.38	03/31/2020	151.06	3.68 D	0.00	Sale
03/31/2020	75.00	219.96	03/31/2020	222.15	2.19 D	0.00	Sale
03/31/2020	100.00	292.78	03/31/2020	296.20	3.42 D	0.00	Sale
03/31/2020	100.00	294.28	03/31/2020	296.20	1.92 D	0.00	Sale
03/31/2020	100.00	290.78	Various	301.80	11.02 D	0.00	Sale
03/31/2020	166.00	486.83	03/31/2020	491.69	4.86 D	0.00	Sale
03/31/2020	220.00	649.61	Various	662.46	12.85 D	0.00	Sale
03/31/2020	250.00	736.95	Various	758.74	21.79 D	0.00	Sale
03/31/2020	150.00	441.42	03/31/2020	444.30	2.88 D	0.00	Sale
03/31/2020	300.00	884.34	Various	907.01	22.67 D	0.00	Sale
03/31/2020	1,000.00	2,942.81	03/31/2020	2,962.00	19.19 D	0.00	Sale
03/31/2020	950.00	2,800.42	Various	2,873.14	72.72 D	0.00	Sale
03/31/2020	1,280.00	3,773.20	03/31/2020	3,886.32	113.12 D	0.00	Sale
03/31/2020	1,509.00	4,402.98	03/31/2020	4,469.66	66.68 D	0.00	Sale
03/31/2020	1,900.00	5,562.84	03/31/2020	5,627.80	64.96 D	0.00	Sale
03/31/2020	1,900.00	5,600.84	Various	5,735.06	134.22 D	0.00	Sale
03/31/2020	1,900.00	5,524.84	Various	5,758.63	233.79 D	0.00	Sale
04/02/2020	5,000.00	14,539.07	03/31/2020	14,460.00	0.00	79.07	Buy to Cover Short
04/02/2020	5,000.00	14,319.52	Various	14,760.00	440.48 D	0.00	Buy to Cover Short

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CYTODYN INC   CUSIP: 23283M101   Symbol: CYDY							
04/02/2020	100.00	207.78	04/02/2020	218.12	0.00	-10.34	Sale
04/02/2020	300.00	623.34	Various	641.37	18.03 D	0.00	Sale
04/02/2020	200.00	415.57	04/02/2020	436.24	0.00	-20.67	Sale
04/02/2020	400.00	831.13	04/02/2020	872.47	0.00	-41.34	Sale
04/02/2020	500.00	1,038.91	Various	1,090.61	0.00	-51.70	Sale
04/02/2020	1,000.00	2,077.83	Various	2,151.18	73.35 D	0.00	Sale
04/02/2020	2,000.00	4,105.66	Various	4,682.93	577.27 D	0.00	Sale
04/02/2020	2,500.00	5,194.58	Various	5,433.77	53.13 D	-186.06	Sale
04/02/2020	3,000.00	6,203.50	Various	6,410.19	206.69 D	0.00	Sale
04/06/2020	30.00	77.03	04/02/2020	74.72	0.00	2.31	Buy to Cover Short
04/06/2020	50.00	121.89	04/02/2020	129.60	7.71 D	0.00	Buy to Cover Short
04/06/2020	50.00	129.38	04/02/2020	140.31	10.93 D	0.00	Buy to Cover Short
04/06/2020	100.00	258.78	04/02/2020	282.62	23.84 D	0.00	Buy to Cover Short
04/06/2020	100.00	258.78	04/02/2020	282.62	23.84 D	0.00	Buy to Cover Short
04/06/2020	100.00	258.78	04/02/2020	282.62	23.84 D	0.00	Buy to Cover Short
04/06/2020	250.00	647.95	Various	706.55	58.60 D	0.00	Buy to Cover Short
04/06/2020	970.00	2,490.77	Various	2,433.65	0.00	57.12	Buy to Cover Short
04/06/2020	2,400.00	6,200.78	Various	6,782.81	582.03 D	0.00	Buy to Cover Short
04/06/2020	2,950.00	7,191.58	04/02/2020	7,646.40	454.82 D	0.00	Buy to Cover Short
04/09/2020	300.00	893.83	Various	894.60	1.05 D	0.28	Buy to Cover Short
04/09/2020	1,000.00	2,977.80	Various	2,983.05	5.25 D	0.00	Buy to Cover Short
04/09/2020	3,700.00	10,984.87	Various	11,075.65	54.68 D	-36.10	Buy to Cover Short
04/15/2020	2,644.00	7,423.85	Various	7,489.61	0.00	-65.76	Buy to Cover Short
04/15/2020	50.00	113.88	04/15/2020	112.23	0.00	1.65	Sale
04/15/2020	4,950.00	11,300.01	Various	11,247.73	0.00	52.28	Sale
06/22/2020	100.00	413.78	06/22/2020	400.20	0.00	13.58	Sale
06/22/2020	100.00	422.78	06/22/2020	400.20	0.00	22.58	Sale

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APEX CLEARING

Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B\*

OMB No. 1545-0715

2TZ05705

(continued)

01/24/2021

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
CYTODYN INC   CUSIP: 23283M101   Symbol: CYDY							
06/22/2020	100.00	419.78	06/22/2020	427.62	7.84 D	0.00	Sale
06/22/2020	225.00	933.24	06/22/2020	963.10	29.86 D	0.00	Sale
06/22/2020	900.00	3,728.50	06/22/2020	3,601.80	0.00	126.70	Sale
06/22/2020	1,000.00	4,148.78	Various	4,280.42	131.64 D	0.00	Sale
06/22/2020	1,775.00	7,362.32	06/22/2020	7,597.75	235.43 D	0.00	Sale
06/22/2020	100.00	419.78	06/22/2020	427.62	7.84 D	0.00	Sale
06/22/2020	1,900.00	8,032.79	Various	7,603.80	0.00	428.99	Sale
06/22/2020	2,800.00	11,753.81	06/22/2020	11,973.40	219.59 D	0.00	Sale
06/22/2020	3,000.00	12,593.36	Various	13,092.93	499.57 D	0.00	Sale
06/22/2020	3,000.00	12,593.36	Various	12,666.00	72.64 D	0.00	Sale
06/23/2020	100.00	444.78	06/23/2020	444.68	0.00	0.10	Sale
06/23/2020	200.00	890.56	Various	889.37	0.00	1.19	Sale
06/23/2020	1,000.00	4,452.78	Various	4,451.47	2.84 D	4.15	Sale
06/24/2020	24.00	114.29	06/24/2020	109.35	0.00	4.94	Sale
06/24/2020	95.00	452.46	06/24/2020	432.75	0.00	19.71	Sale
06/24/2020	100.00	476.27	06/24/2020	455.62	0.00	20.65	Sale
06/24/2020	100.00	475.77	06/24/2020	455.52	0.00	20.25	Sale
06/24/2020	100.00	475.77	06/24/2020	455.62	0.00	20.15	Sale
06/24/2020	100.00	475.77	06/24/2020	455.62	0.00	20.15	Sale
06/24/2020	100.00	473.77	06/24/2020	466.88	0.00	6.89	Sale
06/24/2020	248.00	1,176.20	06/24/2020	1,157.87	0.00	18.33	Sale
06/24/2020	370.00	1,741.88	06/24/2020	1,727.48	0.00	14.40	Sale
06/24/2020	375.00	1,786.05	06/24/2020	1,708.59	0.00	77.46	Sale
06/24/2020	401.00	1,909.86	Various	1,821.62	0.00	88.24	Sale
06/24/2020	652.00	3,089.02	Various	2,996.88	0.00	92.14	Sale
06/24/2020	630.00	2,965.90	06/24/2020	2,941.38	0.00	24.52	Sale
06/24/2020	805.00	3,830.00	06/24/2020	3,666.95	0.00	163.05	Sale

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APEX CLEARING

Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B\*

OMB No. 1545-0715

2TZ05705

(continued)

01/24/2021

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
CYTODYN INC   CUSIP: 23283M101   Symbol: CYDY							
06/24/2020	900.00	4,286.49	06/24/2020	4,051.80	0.00	234.69	Sale
06/25/2020	1,000.00	4,377.78	06/23/2020	4,432.00	54.22 D	0.00	Buy to Cover Short
06/25/2020	1,000.00	4,377.78	06/23/2020	4,431.00	53.22 D	0.00	Buy to Cover Short
06/25/2020	70.00	367.33	06/25/2020	359.94	0.00	7.39	Sale
06/25/2020	100.00	533.77	06/25/2020	514.20	0.00	19.57	Sale
06/25/2020	100.00	532.77	06/25/2020	514.20	0.00	18.57	Sale
06/25/2020	100.00	524.77	06/25/2020	514.20	0.00	10.57	Sale
06/25/2020	100.00	525.27	06/25/2020	514.20	0.00	11.07	Sale
06/25/2020	100.00	533.77	06/25/2020	514.20	0.00	19.57	Sale
06/25/2020	100.00	532.77	06/25/2020	514.20	0.00	18.57	Sale
06/25/2020	100.00	555.77	06/25/2020	555.20	0.00	0.57	Sale
06/25/2020	100.00	619.77	06/25/2020	620.20	0.43 D	0.00	Sale
06/25/2020	230.00	1,208.13	06/25/2020	1,182.66	0.00	25.47	Sale
06/25/2020	100.00	533.77	06/25/2020	514.20	0.00	19.57	Sale
06/25/2020	300.00	1,599.82	06/25/2020	1,542.60	0.00	57.22	Sale
06/25/2020	300.00	1,602.82	06/25/2020	1,542.60	0.00	60.22	Sale
06/25/2020	400.00	2,133.10	06/25/2020	2,056.80	0.00	76.30	Sale
06/25/2020	900.00	5,595.96	Various	5,581.98	0.00	13.98	Sale
06/25/2020	1,900.00	10,559.73	06/25/2020	10,548.80	0.00	10.93	Sale
06/26/2020	100.00	688.77	06/26/2020	685.20	0.00	3.57	Sale
06/26/2020	100.00	713.77	06/26/2020	725.10	11.33 D	0.00	Sale
06/26/2020	1,900.00	13,096.18	06/26/2020	13,018.80	0.00	77.38	Sale
06/26/2020	1,900.00	13,571.16	Various	13,789.23	218.07 D	0.00	Sale
06/30/2020	16.00	96.50	06/30/2020	116.50	20 D	0.00	Sale
06/30/2020	30.00	194.32	06/30/2020	233.04	38.72 D	0.00	Sale
06/30/2020	10.00	50.71	06/30/2020	67.75	17.04 D	0.00	Sale
06/30/2020	30.00	213.07	Various	223.35	10.28 D	0.00	Sale

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**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
CYTODYN INC   CUSIP: 23283M101   Symbol: CYDY							
06/30/2020	100.00	546.77	06/30/2020	640.96	94.19 D	0.00	Sale
06/30/2020	100.00	556.77	06/30/2020	677.53	120.76 D	0.00	Sale
06/30/2020	40.00	202.90	06/30/2020	271.01	68.11 D	0.00	Sale
06/30/2020	100.00	566.77	Various	697.49	130.72 D	0.00	Sale
06/30/2020	100.00	709.77	Various	663.96	0.00	45.81	Sale
06/30/2020	100.00	716.27	Various	744.02	27.75 D	0.00	Sale
06/30/2020	100.00	683.77	06/30/2020	728.18	44.41 D	0.00	Sale
06/30/2020	100.00	602.77	Various	728.15	125.38 D	0.00	Sale
06/30/2020	100.00	684.27	06/30/2020	743.17	58.9 D	0.00	Sale
06/30/2020	100.00	697.77	06/30/2020	758.67	60.9 D	0.00	Sale
06/30/2020	100.00	684.27	06/30/2020	743.18	58.91 D	0.00	Sale
06/30/2020	100.00	760.77	Various	786.84	26.07 D	0.00	Sale
06/30/2020	100.00	745.77	Various	836.24	90.47 D	0.00	Sale
06/30/2020	186.00	1,388.98	06/30/2020	1,484.26	95.28 D	0.00	Sale
06/30/2020	200.00	1,206.55	Various	1,466.16	259.61 D	0.00	Sale
06/30/2020	150.00	1,026.40	Various	1,114.77	88.37 D	0.00	Sale
06/30/2020	470.00	3,345.32	Various	3,167.63	0.00	177.69	Sale
06/30/2020	500.00	3,421.36	Various	3,685.05	263.69 D	0.00	Sale
06/30/2020	235.00	1,281.40	06/30/2020	1,222.47	0.00	58.93	Sale
06/30/2020	656.00	3,721.31	Various	4,582.71	861.40 D	0.00	Sale
06/30/2020	666.00	4,320.82	Various	5,146.28	825.46 D	0.00	Sale
06/30/2020	850.00	4,311.85	Various	5,770.43	1458.58 D	0.00	Sale
06/30/2020	900.00	6,392.44	Various	6,659.69	282.45 D	15.20	Sale
06/30/2020	1,000.00	5,072.76	Various	6,765.35	1692.59 D	0.00	Sale
06/30/2020	1,000.00	5,072.76	06/30/2020	6,667.00	1594.24 D	0.00	Sale
06/30/2020	1,000.00	6,967.72	Various	7,504.64	536.92 D	0.00	Sale
06/30/2020	1,050.00	6,129.64	Various	7,452.72	1323.08 D	0.00	Sale

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APEX CLEARING

Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B\*

OMB No. 1545-0715

2TZ05705

(continued)

01/24/2021

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
CYTODYN INC   CUSIP: 23283M101   Symbol: CYDY							
06/30/2020	1,050.00	7,184.87	Various	7,597.56	443.34 D	30.65	Sale
06/30/2020	1,400.00	9,936.81	Various	8,966.75	0.00	970.06	Sale
06/30/2020	1,714.00	12,808.23	Various	13,973.07	1164.84 D	0.00	Sale
06/30/2020	1,900.00	14,464.15	Various	15,033.61	569.46 D	0.00	Sale
06/30/2020	1,900.00	13,200.67	Various	13,746.69	546.02 D	0.00	Sale
06/30/2020	2,000.00	15,595.41	Various	16,254.86	659.45 D	0.00	Sale
06/30/2020	2,354.00	15,248.59	Various	18,091.29	2842.70 D	0.00	Sale
06/30/2020	3,000.00	21,923.15	Various	23,435.84	1512.69 D	0.00	Sale
06/30/2020	4,665.00	25,413.79	Various	29,097.89	4117.86 D	433.76	Sale
06/30/2020	4,244.00	24,075.16	Various	27,831.87	3756.71 D	0.00	Sale
06/30/2020	3,950.00	23,019.62	Various	25,301.95	2521.24 D	238.91	Sale
06/30/2020	4,684.00	28,280.81	Various	31,841.54	3603.17 D	42.44	Sale
07/02/2020	100.00	679.77	06/30/2020	619.63	0.00	60.14	Buy to Cover Short
07/02/2020	100.00	709.77	06/30/2020	746.13	36.36 D	0.00	Buy to Cover Short
07/02/2020	100.00	710.23	Various	746.63	36.40 D	0.00	Buy to Cover Short
07/02/2020	200.00	1,367.54	Various	1,380.40	12.86 D	0.00	Buy to Cover Short
07/02/2020	600.00	4,261.62	Various	4,534.36	272.74 D	0.00	Buy to Cover Short
07/02/2020	900.00	6,117.95	Various	5,609.30	0.00	508.65	Buy to Cover Short
07/02/2020	1,000.00	6,797.73	Various	6,708.65	0.00	89.08	Buy to Cover Short
07/02/2020	1,000.00	6,127.74	06/30/2020	6,272.00	144.26 D	0.00	Buy to Cover Short
07/02/2020	1,200.00	8,523.28	Various	8,896.10	372.82 D	0.00	Buy to Cover Short
07/02/2020	1,800.00	12,264.38	Various	12,580.46	316.08 D	0.00	Buy to Cover Short
07/02/2020	2,000.00	13,803.64	Various	13,964.00	160.36 D	0.00	Buy to Cover Short
07/09/2020	50.00	241.88	07/09/2020	274.37	32.49 D	0.00	Sale
07/09/2020	50.00	251.38	07/09/2020	248.52	0.00	2.86	Sale
07/09/2020	50.00	242.88	07/09/2020	246.78	3.9 D	0.00	Sale
07/09/2020	50.00	255.38	Various	280.72	25.34 D	0.00	Sale

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**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

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**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
CYTODYN INC   CUSIP: 23283M101   Symbol: CYDY							
07/09/2020	50.00	251.38	07/09/2020	248.53	0.00	2.85	Sale
07/09/2020	50.00	257.38	Various	280.34	22.96 D	0.00	Sale
07/09/2020	50.00	251.88	Various	252.16	0.58 D	0.30	Sale
07/09/2020	50.00	241.88	07/09/2020	246.78	4.9 D	0.00	Sale
07/09/2020	50.00	247.88	Various	279.58	31.70 D	0.00	Sale
07/09/2020	100.00	496.27	07/09/2020	559.14	62.87 D	0.00	Sale
07/09/2020	100.00	484.27	Various	550.82	66.55 D	0.00	Sale
07/09/2020	100.00	493.77	Various	507.70	13.93 D	0.00	Sale
07/09/2020	159.00	797.82	Various	885.56	87.74 D	0.00	Sale
07/09/2020	250.00	1,258.19	Various	1,242.87	0.00	15.32	Sale
07/09/2020	264.00	1,298.29	Various	1,436.28	137.99 D	0.00	Sale
07/09/2020	400.00	1,975.10	07/09/2020	1,982.50	7.4 D	0.00	Sale
07/09/2020	416.00	2,016.66	Various	2,284.05	267.39 D	0.00	Sale
07/09/2020	500.00	2,473.88	Various	2,799.69	325.81 D	0.00	Sale
07/09/2020	534.00	2,578.03	Various	2,868.58	290.55 D	0.00	Sale
07/09/2020	541.00	2,722.71	Various	2,912.96	195.02 D	4.77	Sale
07/09/2020	850.00	4,214.10	Various	4,566.94	352.84 D	0.00	Sale
07/09/2020	850.00	4,103.60	Various	4,423.03	319.43 D	0.00	Sale
07/09/2020	950.00	4,586.38	Various	4,879.19	292.81 D	0.00	Sale
07/09/2020	950.00	4,790.63	Various	4,750.26	0.00	40.37	Sale
07/09/2020	950.00	4,852.38	Various	5,400.47	548.09 D	0.00	Sale
07/09/2020	950.00	4,766.88	Various	5,281.47	514.59 D	0.00	Sale
07/09/2020	1,000.00	4,927.77	Various	5,021.34	93.57 D	0.00	Sale
07/09/2020	1,000.00	5,007.76	Various	5,442.15	434.39 D	0.00	Sale
07/09/2020	1,000.00	4,838.77	Various	5,301.56	462.79 D	0.00	Sale
07/09/2020	1,336.00	6,595.51	Various	6,899.28	323.20 D	19.43	Sale
07/09/2020	1,400.00	6,898.87	Various	7,336.39	437.52 D	0.00	Sale

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APEX CLEARING

Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B\*

OMB No. 1545-0715

2TZ05705

(continued)

01/24/2021

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

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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
CYTODYN INC   CUSIP: 23283M101   Symbol: CYDY							
07/09/2020	2,000.00	10,015.53	Various	10,803.89	788.36 D	0.00	Sale
07/09/2020	2,950.00	15,185.91	Various	16,381.56	1195.65 D	0.00	Sale
07/13/2020	50.00	153.63	Various	178.28	24.65 D	0.00	Sale
07/13/2020	50.00	153.38	Various	178.28	24.90 D	0.00	Sale
07/13/2020	1,480.00	4,569.95	Various	5,243.20	673.25 D	0.00	Sale
07/13/2020	920.00	2,826.98	Various	3,133.65	306.67 D	0.00	Sale
07/13/2020	2,500.00	7,744.52	Various	8,713.19	968.67 D	0.00	Sale
07/13/2020	3,000.00	9,503.42	Various	10,529.07	1025.65 D	0.00	Sale
07/14/2020	50.00	200.88	Various	222.80	21.92 D	0.00	Sale
07/14/2020	100.00	394.78	07/14/2020	391.70	0.00	3.08	Sale
07/14/2020	100.00	394.78	Various	430.87	36.09 D	0.00	Sale
07/14/2020	100.00	429.78	Various	440.87	11.09 D	0.00	Sale
07/14/2020	100.00	433.78	Various	454.76	20.98 D	0.00	Sale
07/14/2020	100.00	432.78	Various	459.96	27.18 D	0.00	Sale
07/14/2020	128.00	555.22	Various	606.59	51.37 D	0.00	Sale
07/14/2020	250.00	1,084.44	Various	1,168.03	83.59 D	0.00	Sale
07/14/2020	322.00	1,383.87	Various	1,454.61	70.74 D	0.00	Sale
07/14/2020	500.00	2,168.89	Various	2,367.27	198.38 D	0.00	Sale
07/14/2020	500.00	2,162.14	Various	2,238.52	76.38 D	0.00	Sale
07/14/2020	500.00	2,168.89	Various	2,261.89	93.00 D	0.00	Sale
07/14/2020	500.00	2,168.89	Various	2,398.09	229.20 D	0.00	Sale
07/14/2020	875.00	3,476.20	Various	3,852.06	376.03 D	0.17	Sale
07/14/2020	925.00	3,651.70	07/14/2020	3,623.22	0.00	28.48	Sale
07/14/2020	1,000.00	3,988.79	Various	4,184.81	196.58 D	0.56	Sale
07/14/2020	1,000.00	4,319.78	Various	4,628.97	309.19 D	0.00	Sale
07/14/2020	1,950.00	7,844.44	Various	8,331.23	486.79 D	0.00	Sale
07/15/2020	5,000.00	24,638.85	Various	26,033.79	1394.94 D	0.00	Sale

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**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
CYTODYN INC   CUSIP: 23283M101   Symbol: CYDY							
07/17/2020	10.00	51.51	07/17/2020	53.72	2.21 D	0.00	Sale
07/17/2020	42.00	216.19	Various	226.36	10.17 D	0.00	Sale
07/17/2020	50.00	254.38	07/17/2020	273.31	18.93 D	0.00	Sale
07/17/2020	100.00	508.77	Various	546.62	37.85 D	0.00	Sale
07/17/2020	100.00	514.77	07/17/2020	546.63	31.86 D	0.00	Sale
07/17/2020	150.00	763.16	Various	821.20	58.04 D	0.00	Sale
07/17/2020	598.00	3,036.50	Various	3,284.82	248.32 D	0.00	Sale
07/17/2020	1,000.00	5,148.76	Various	5,516.64	367.88 D	0.00	Sale
07/21/2020	500.00	2,828.87	Various	2,763.25	16.29 D	81.91	Sale
07/21/2020	1,000.00	5,647.75	Various	5,424.86	16.34 D	239.23	Sale
07/21/2020	1,000.00	5,647.75	Various	5,710.71	84.63 D	21.67	Sale
07/22/2020	20.00	111.94	Various	114.74	2.80 D	0.00	Sale
07/22/2020	50.00	281.88	07/22/2020	291.91	10.03 D	0.00	Sale
07/22/2020	50.00	282.38	Various	292.48	10.10 D	0.00	Sale
07/22/2020	50.00	280.88	07/22/2020	280.27	0.00	0.61	Sale
07/22/2020	50.00	282.88	07/22/2020	290.20	7.32 D	0.00	Sale
07/22/2020	100.00	565.77	Various	581.92	16.15 D	0.00	Sale
07/22/2020	100.00	564.77	Various	584.69	19.92 D	0.00	Sale
07/22/2020	100.00	542.77	Various	583.13	40.36 D	0.00	Sale
07/22/2020	800.00	4,526.19	Various	4,585.71	90.90 D	31.38	Sale
07/22/2020	850.00	4,817.59	Various	4,751.84	0.00	65.75	Sale
07/22/2020	850.00	4,796.34	Various	4,975.07	178.73 D	0.00	Sale
07/22/2020	1,000.00	5,447.75	Various	5,740.35	292.60 D	0.00	Sale
07/22/2020	80.00	448.62	Various	483.77	35.15 D	0.00	Sale
07/31/2020	50.00	247.88	07/31/2020	239.35	0.00	8.53	Sale
07/31/2020	100.00	495.27	Various	531.59	36.32 D	0.00	Sale
07/31/2020	224.00	1,110.53	07/31/2020	1,072.29	0.00	38.24	Sale

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**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

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**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
CYTODYN INC   CUSIP: 23283M101   Symbol: CYDY							
07/31/2020	348.00	1,727.04	07/31/2020	1,665.87	0.00	61.17	Sale
07/31/2020	400.00	1,979.10	Various	2,002.16	44.26 D	21.20	Sale
07/31/2020	1,000.00	4,948.77	Various	5,066.39	124.84 D	7.22	Sale
07/31/2020	1,000.00	4,947.77	Various	5,012.32	80.99 D	16.44	Sale
07/31/2020	1,878.00	9,320.08	07/31/2020	8,989.98	0.00	330.10	Sale
08/04/2020	300.00	1,493.32	Various	1,532.36	39.04 D	0.00	Sale
08/04/2020	1,000.00	4,979.76	Various	5,153.33	173.57 D	0.00	Sale
08/04/2020	1,000.00	5,007.76	Various	5,301.31	293.55 D	0.00	Sale
08/04/2020	2,700.00	13,439.98	Various	13,934.01	494.03 D	0.00	Sale
08/04/2020	4,000.00	20,031.07	Various	20,368.84	337.77 D	0.00	Sale
08/24/2020	21.00	82.04	08/24/2020	80.33	0.00	1.71	Sale
08/24/2020	25.00	98.18	08/24/2020	94.28	0.00	3.90	Sale
08/24/2020	50.00	186.88	Various	192.87	5.99 D	0.00	Sale
08/24/2020	275.00	1,080.13	Various	1,039.79	0.00	40.34	Sale
08/24/2020	100.00	395.78	Various	418.82	23.04 D	0.00	Sale
08/24/2020	200.00	785.56	08/24/2020	754.25	0.00	31.31	Sale
08/24/2020	500.00	1,964.39	08/24/2020	1,885.62	0.00	78.77	Sale
08/24/2020	1,000.00	3,857.79	Various	4,314.20	456.41 D	0.00	Sale
08/24/2020	479.00	1,867.03	Various	1,883.13	39.97 D	23.87	Sale
08/24/2020	900.00	3,553.01	Various	3,704.91	151.90 D	0.00	Sale
08/24/2020	500.00	1,963.89	08/24/2020	1,912.62	0.00	51.27	Sale
08/24/2020	1,000.00	3,908.79	Various	3,805.57	0.00	103.22	Sale
08/24/2020	1,000.00	3,752.79	Various	3,865.08	112.29 D	0.00	Sale
08/24/2020	1,000.00	3,957.79	Various	4,417.15	459.36 D	0.00	Sale
09/03/2020	50.00	202.38	Various	214.00	11.62 D	0.00	Sale
09/03/2020	100.00	420.78	Various	436.89	16.11 D	0.00	Sale
09/03/2020	100.00	420.28	Various	454.85	34.57 D	0.00	Sale

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**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

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**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
CYTODYN INC   CUSIP: 23283M101   Symbol: CYDY							
09/03/2020	140.00	562.47	Various	603.72	41.25 D	0.00	Sale
09/03/2020	180.00	698.90	Various	820.12	121.22 D	0.00	Sale
09/03/2020	240.00	971.46	Various	1,028.96	57.50 D	0.00	Sale
09/03/2020	400.00	1,583.11	Various	1,636.58	54.78 D	1.31	Sale
09/03/2020	500.00	2,023.89	Various	2,284.76	260.87 D	0.00	Sale
09/03/2020	600.00	2,374.67	Various	2,676.49	301.82 D	0.00	Sale
09/03/2020	820.00	3,187.98	Various	3,273.17	85.19 D	0.00	Sale
09/03/2020	1,000.00	4,212.78	Various	4,654.64	441.86 D	0.00	Sale
09/03/2020	1,000.00	4,048.79	Various	4,413.10	364.31 D	0.00	Sale
09/03/2020	1,000.00	3,879.79	Various	4,232.23	352.44 D	0.00	Sale
09/03/2020	1,000.00	3,958.79	Various	3,888.34	16.44 D	86.89	Sale
09/03/2020	1,000.00	3,884.29	Various	4,362.34	478.05 D	0.00	Sale
09/03/2020	1,000.00	3,887.79	Various	4,179.79	292.00 D	0.00	Sale
09/03/2020	1,500.00	6,071.68	Various	6,565.29	493.61 D	0.00	Sale
09/03/2020	1,710.00	6,930.27	Various	7,252.21	321.94 D	0.00	Sale
09/03/2020	2,360.00	9,481.99	Various	10,390.90	908.91 D	0.00	Sale
09/03/2020	2,500.00	10,069.47	Various	10,802.22	732.75 D	0.00	Sale
09/04/2020	125.00	524.72	Various	553.52	28.80 D	0.00	Sale
09/04/2020	261.00	1,095.61	Various	1,130.60	34.99 D	0.00	Sale
09/04/2020	310.00	1,354.01	Various	1,428.35	74.34 D	0.00	Sale
09/04/2020	1,000.00	4,412.78	Various	4,728.93	316.15 D	0.00	Sale
09/04/2020	1,614.00	6,775.23	Various	7,376.71	601.48 D	0.00	Sale
09/04/2020	2,000.00	8,835.56	Various	9,197.02	370.67 D	9.21	Sale
09/04/2020	2,690.00	11,749.34	Various	12,417.74	668.40 D	0.00	Sale
09/08/2020	8.00	39.80	09/08/2020	41.87	2.07 D	0.00	Sale
09/08/2020	14.00	71.49	Various	72.71	1.22 D	0.00	Sale
09/08/2020	25.00	124.43	Various	128.58	4.15 D	0.00	Sale

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**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)

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

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

1c - DateSold 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
CYTODYN INC   CUSIP: 23283M101   Symbol: CYDY							
09/08/2020	50.00	249.88	Various	260.75	10.87 D	0.00	Sale
09/08/2020	229.00	1,171.73	Various	1,166.69	2.77 D	7.81	Sale
09/08/2020	500.00	2,488.88	Various	2,671.85	182.97 D	0.00	Sale
09/08/2020	619.00	3,081.24	Various	3,140.17	58.93 D	0.00	Sale
09/08/2020	848.00	4,221.14	Various	4,635.73	414.59 D	0.00	Sale
09/08/2020	1,000.00	4,977.76	Various	5,134.49	156.73 D	0.00	Sale
09/08/2020	2,950.00	14,758.17	Various	15,487.35	729.18 D	0.00	Sale
09/09/2020	3,000.00	14,423.32	Various	15,404.44	981.12 D	0.00	Sale
09/10/2020	100.00	489.77	09/08/2020	466.20	0.00	23.57	Buy to Cover Short
09/10/2020	100.00	489.78	Various	470.63	0.00	19.15	Buy to Cover Short
09/10/2020	100.00	495.78	09/08/2020	490.20	0.00	5.58	Buy to Cover Short
09/10/2020	100.00	495.77	Various	489.20	0.00	6.57	Buy to Cover Short
09/10/2020	300.00	1,487.33	09/08/2020	1,470.60	0.00	16.73	Buy to Cover Short
09/10/2020	431.00	2,186.21	Various	2,151.56	0.00	34.65	Buy to Cover Short
09/10/2020	500.00	2,478.89	09/08/2020	2,451.00	0.00	27.89	Buy to Cover Short
09/10/2020	500.00	2,478.88	09/08/2020	2,445.50	0.00	33.38	Buy to Cover Short
09/10/2020	500.00	2,478.88	09/08/2020	2,456.00	0.00	22.88	Buy to Cover Short
09/10/2020	900.00	4,407.98	Various	4,224.80	0.00	183.18	Buy to Cover Short
09/10/2020	900.00	4,374.03	Various	4,191.30	0.00	182.73	Buy to Cover Short
09/10/2020	1,569.00	7,941.18	Various	7,879.52	0.00	61.66	Buy to Cover Short
09/10/2020	2,000.00	10,010.25	Various	10,084.00	73.75 D	0.00	Buy to Cover Short
09/10/2020	50.00	228.38	Various	239.98	11.60 D	0.00	Sale
09/10/2020	70.00	311.68	Various	325.16	13.48 D	0.00	Sale
09/10/2020	100.00	447.78	09/10/2020	459.80	12.02 D	0.00	Sale
09/10/2020	100.00	450.78	Various	466.80	16.02 D	0.00	Sale
09/10/2020	100.00	450.78	Various	466.57	15.79 D	0.00	Sale
09/10/2020	100.00	456.77	Various	477.85	21.08 D	0.00	Sale

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APEX CLEARING

Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B\*

OMB No. 1545-0715

2TZ05705

(continued)

01/24/2021

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)

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

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CYTODYN INC   CUSIP: 23283M101   Symbol: CYDY							
09/10/2020	120.00	534.93	Various	552.27	17.34 D	0.00	Sale
09/10/2020	160.00	735.64	09/10/2020	720.84	0.00	14.80	Sale
09/10/2020	195.00	898.52	Various	998.71	100.19 D	0.00	Sale
09/10/2020	200.00	902.56	Various	974.54	71.98 D	0.00	Sale
09/10/2020	222.00	998.49	Various	1,021.76	23.27 D	0.00	Sale
09/10/2020	310.00	1,388.10	Various	1,426.16	38.06 D	0.00	Sale
09/10/2020	400.00	1,791.11	Various	1,795.30	12.18 D	7.99	Sale
09/10/2020	408.00	1,839.16	Various	1,938.51	99.35 D	0.00	Sale
09/10/2020	470.00	2,113.95	Various	2,161.08	47.13 D	0.00	Sale
09/10/2020	655.00	2,991.89	Various	3,037.01	45.12 D	0.00	Sale
09/10/2020	840.00	3,862.13	Various	4,011.82	180.94 D	31.25	Sale
09/10/2020	1,000.00	4,452.78	Various	4,654.92	202.14 D	0.00	Sale
09/10/2020	1,000.00	4,448.78	09/10/2020	4,452.01	3.23 D	0.00	Sale
09/10/2020	1,000.00	4,456.78	Various	4,554.78	101.30 D	3.30	Sale
09/10/2020	1,000.00	4,508.78	Various	5,006.71	497.93 D	0.00	Sale
09/10/2020	1,000.00	4,452.78	Various	4,985.22	532.44 D	0.00	Sale
09/10/2020	1,000.00	4,568.77	Various	4,690.32	142.55 D	21.00	Sale
09/10/2020	1,000.00	4,597.77	Various	4,569.27	17.38 D	45.88	Sale
09/10/2020	1,000.00	4,577.77	Various	4,896.33	318.56 D	0.00	Sale
09/11/2020	1,000.00	4,108.78	Various	4,416.96	308.18 D	0.00	Sale
09/11/2020	1,000.00	4,137.78	Various	4,152.35	45.43 D	30.86	Sale
09/11/2020	1,000.00	4,137.78	Various	4,185.88	80.38 D	32.28	Sale
09/11/2020	2,000.00	8,195.57	Various	8,520.76	333.44 D	8.25	Sale
09/14/2020	1,000.00	3,788.79	Various	3,999.83	212.76 D	1.72	Sale
09/14/2020	500.00	1,894.39	Various	1,987.12	93.63 D	0.90	Sale
09/14/2020	1,000.00	3,788.79	Various	3,972.54	189.53 D	5.78	Sale
10/08/2020	9.00	33.34	10/08/2020	32.43	0.00	0.91	Sale

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APEX CLEARING

Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B\*

OMB No. 1545-0715

2TZ05705

(continued)

01/24/2021

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)

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CYTODYN INC   CUSIP: 23283M101   Symbol: CYDY							
10/08/2020	300.00	1,109.03	10/08/2020	1,080.90	0.00	28.13	Sale
10/08/2020	500.00	1,899.39	10/08/2020	1,801.00	0.00	98.39	Sale
10/08/2020	500.00	1,853.89	10/08/2020	1,801.50	0.00	52.39	Sale
10/08/2020	500.00	1,930.89	10/08/2020	1,796.50	0.00	134.39	Sale
10/08/2020	600.00	2,302.67	Various	2,192.20	0.00	110.47	Sale
10/08/2020	500.00	1,883.89	Various	1,884.18	19.50 D	19.21	Sale
10/08/2020	500.00	1,893.39	10/08/2020	1,801.00	0.00	92.39	Sale
10/08/2020	191.00	706.09	10/08/2020	688.17	0.00	17.92	Sale
10/08/2020	500.00	1,888.39	Various	1,881.12	21.94 D	29.21	Sale
12/18/2020	50.00	246.83	12/18/2020	247.21	0.38 D	0.00	Sale
12/18/2020	1,050.00	5,173.11	Various	5,221.46	48.35 D	0.00	Sale
12/18/2020	1,000.00	4,851.77	Various	4,897.76	45.99 D	0.00	Sale
12/21/2020	3.00	16.89	12/21/2020	16.56	0.00	0.33	Sale
12/21/2020	23.00	135.83	12/21/2020	129.56	0.00	6.27	Sale
12/21/2020	50.00	295.33	12/21/2020	281.65	0.00	13.68	Sale
12/21/2020	50.00	295.33	12/21/2020	281.65	0.00	13.68	Sale
12/21/2020	50.00	285.83	12/21/2020	276.15	0.00	9.68	Sale
12/21/2020	50.00	285.83	12/21/2020	276.15	0.00	9.68	Sale
12/21/2020	100.00	563.67	12/21/2020	556.04	0.00	7.63	Sale
12/21/2020	100.00	595.67	12/21/2020	598.20	2.53 D	0.00	Sale
12/21/2020	50.00	296.33	12/21/2020	295.05	0.00	1.28	Sale
12/21/2020	80.00	477.33	12/21/2020	478.56	1.23 D	0.00	Sale
12/21/2020	177.00	1,041.94	12/21/2020	997.04	0.00	44.90	Sale
12/21/2020	150.00	856.01	12/21/2020	828.45	0.00	27.56	Sale
12/21/2020	100.00	595.67	12/21/2020	598.20	2.53 D	0.00	Sale
12/21/2020	200.00	1,127.35	Various	1,108.68	0.00	18.67	Sale
12/21/2020	250.00	1,476.93	12/21/2020	1,408.25	0.00	68.68	Sale

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APEX CLEARING

Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B\*

OMB No. 1545-0715

2TZ05705

(continued)

01/24/2021

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
CYTODYN INC   CUSIP: 23283M101   Symbol: CYDY							
12/21/2020	200.00	1,182.35	12/21/2020	1,126.60	0.00	55.75	Sale
12/21/2020	250.00	1,426.68	12/21/2020	1,380.75	0.00	45.93	Sale
12/21/2020	250.00	1,429.43	12/21/2020	1,380.75	0.00	48.68	Sale
12/21/2020	250.00	1,429.43	Various	1,381.06	0.00	48.37	Sale
12/21/2020	250.00	1,476.93	12/21/2020	1,408.25	0.00	68.68	Sale
12/21/2020	320.00	1,893.99	12/21/2020	1,914.24	20.25 D	0.00	Sale
12/21/2020	400.00	2,382.69	12/21/2020	2,392.80	10.11 D	0.00	Sale
12/21/2020	400.00	2,250.70	Various	2,221.28	0.00	29.42	Sale
12/21/2020	297.00	1,674.10	12/21/2020	1,648.48	0.00	25.62	Sale
12/21/2020	950.00	5,630.41	12/21/2020	5,605.95	0.00	24.46	Sale
12/22/2020	21.00	115.40	12/22/2020	116.42	1.02 D	0.00	Sale
12/22/2020	100.00	507.67	12/22/2020	517.36	9.69 D	0.00	Sale
12/22/2020	30.00	179.29	12/22/2020	164.73	0.00	14.56	Sale
12/22/2020	150.00	761.51	12/22/2020	776.03	14.52 D	0.00	Sale
12/22/2020	200.00	1,100.35	Various	1,043.22	0.00	57.13	Sale
12/22/2020	220.00	1,313.78	12/22/2020	1,208.02	0.00	105.76	Sale
12/22/2020	250.00	1,492.93	Various	1,399.30	0.00	93.63	Sale
12/22/2020	479.00	2,637.73	Various	2,557.19	0.00	80.54	Sale
12/22/2020	495.00	3,428.72	Various	3,443.06	14.34 D	0.00	Sale
12/22/2020	500.00	2,838.87	Various	2,829.70	21.16 D	30.33	Sale
12/22/2020	300.00	1,650.52	Various	1,671.07	25.53 D	4.98	Sale
12/22/2020	500.00	2,843.37	Various	2,832.93	14.28 D	24.72	Sale
12/22/2020	500.00	2,848.37	Various	2,966.69	118.32 D	0.00	Sale
12/22/2020	505.00	3,482.84	Various	3,615.22	132.38 D	0.00	Sale
12/22/2020	1,000.00	6,926.72	Various	7,061.20	134.48 D	0.00	Sale
12/23/2020	1,000.00	5,127.76	Various	5,321.32	193.56 D	0.00	Sale
12/23/2020	1,000.00	5,116.76	Various	5,396.56	279.80 D	0.00	Sale

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**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

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**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
CYTODYN INC   CUSIP: 23283M101   Symbol: CYDY							
12/23/2020	2,000.00	10,233.53	Various	10,632.80	0.00	-399.27	Sale
12/24/2020	10.00	66.98	12/22/2020	66.93	0.00	0.05	Buy to Cover Short
12/24/2020	50.00	345.33	Various	360.07	14.74 D	0.00	Buy to Cover Short
12/24/2020	50.00	334.89	12/22/2020	334.15	0.00	0.74	Buy to Cover Short
12/24/2020	100.00	645.67	12/22/2020	651.93	6.26 D	0.00	Buy to Cover Short
12/24/2020	90.00	602.79	12/22/2020	601.47	0.00	1.32	Buy to Cover Short
12/24/2020	100.00	690.68	Various	716.77	26.09 D	0.00	Buy to Cover Short
12/24/2020	100.00	669.77	Various	696.07	26.30 D	0.00	Buy to Cover Short
12/24/2020	100.00	669.66	Various	691.21	21.55 D	0.00	Buy to Cover Short
12/24/2020	100.00	669.78	Various	673.95	4.32 D	0.15	Buy to Cover Short
12/24/2020	100.00	669.77	12/22/2020	668.30	0.00	1.47	Buy to Cover Short
12/24/2020	100.00	658.67	12/22/2020	581.20	0.00	77.47	Buy to Cover Short
12/24/2020	100.00	658.67	12/22/2020	580.30	0.00	78.37	Buy to Cover Short
12/24/2020	100.00	659.37	Various	581.20	0.00	78.17	Buy to Cover Short
12/24/2020	100.00	669.78	Various	687.95	18.17 D	0.00	Buy to Cover Short
12/24/2020	100.00	660.67	12/22/2020	581.20	0.00	79.47	Buy to Cover Short
12/24/2020	100.00	658.67	12/22/2020	580.30	0.00	78.37	Buy to Cover Short
12/24/2020	100.00	660.67	12/22/2020	605.46	0.00	55.21	Buy to Cover Short
12/24/2020	145.00	936.23	12/22/2020	945.30	9.07 D	0.00	Buy to Cover Short
12/24/2020	200.00	1,379.34	12/22/2020	1,343.85	0.00	35.49	Buy to Cover Short
12/24/2020	200.00	1,339.54	12/22/2020	1,336.60	0.00	2.94	Buy to Cover Short
12/24/2020	200.00	1,321.34	Various	1,193.75	0.00	127.59	Buy to Cover Short
12/24/2020	250.00	1,479.43	12/22/2020	1,413.25	0.00	66.18	Buy to Cover Short
12/24/2020	250.00	1,461.93	12/22/2020	1,410.75	0.00	51.18	Buy to Cover Short
12/24/2020	250.00	1,479.16	Various	1,415.75	0.00	63.41	Buy to Cover Short
12/24/2020	250.00	1,461.93	12/22/2020	1,417.00	0.00	44.93	Buy to Cover Short
12/24/2020	300.00	2,069.02	Various	2,019.08	2.92 D	52.86	Buy to Cover Short

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APEX CLEARING

Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B\*

OMB No. 1545-0715

2TZ05705

(continued)

01/24/2021

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

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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
CYTODYN INC   CUSIP: 23283M101   Symbol: CYDY							
12/24/2020	300.00	2,024.02	Various	2,047.48	23.46 D	0.00	Buy to Cover Short
12/24/2020	300.00	1,986.71	Various	1,896.83	0.00	89.88	Buy to Cover Short
12/24/2020	300.00	2,009.31	Various	2,050.30	40.99 D	0.00	Buy to Cover Short
12/24/2020	350.00	2,417.35	Various	2,429.80	12.45 D	0.00	Buy to Cover Short
12/24/2020	350.00	2,344.21	Various	2,362.35	18.27 D	0.13	Buy to Cover Short
12/24/2020	500.00	3,448.35	Various	3,354.48	0.00	93.87	Buy to Cover Short
12/24/2020	500.00	3,348.47	Various	3,404.60	56.13 D	0.00	Buy to Cover Short
12/24/2020	1,000.00	6,662.70	Various	6,857.71	195.01 D	0.00	Buy to Cover Short
12/24/2020	700.00	4,723.20	Various	4,716.13	18.88 D	25.95	Buy to Cover Short
12/24/2020	600.00	3,874.03	Various	3,889.80	15.77 D	0.00	Buy to Cover Short
12/24/2020	1,000.00	6,861.47	Various	7,076.53	215.06 D	0.00	Buy to Cover Short
12/24/2020	1,000.00	6,927.74	Various	7,006.57	78.83 D	0.00	Buy to Cover Short
12/24/2020	1,000.00	6,690.44	Various	6,804.66	114.22 D	0.00	Buy to Cover Short
12/24/2020	1,000.00	6,756.72	Various	6,740.89	24.03 D	39.86	Buy to Cover Short
12/24/2020	1,155.00	7,417.51	Various	7,524.09	106.58 D	0.00	Buy to Cover Short
12/24/2020	1,500.00	10,350.08	Various	10,467.79	117.71 D	0.00	Buy to Cover Short
<b>Security Totals:</b>		<b>1,461,479.71</b>		<b>1,518,470.18</b>		<b>16,048.93</b>	

\*\*\*VIVOPOWER INTERNATIONAL PLC ORDINARY SHARES | CUSIP: G9376R100 | Symbol: VVPR

09/03/2020	100.00	905.96	09/03/2020	900.00	0.00	5.96	Sale
09/03/2020	134.00	1,212.65	09/03/2020	1,206.00	0.00	6.65	Sale
09/03/2020	266.00	2,407.21	09/03/2020	2,394.00	0.00	13.21	Sale
09/03/2020	100.00	924.96	09/03/2020	900.00	0.00	24.96	Sale
09/03/2020	100.00	924.96	09/03/2020	900.00	0.00	24.96	Sale
09/03/2020	300.00	2,774.89	Various	2,700.00	0.00	74.89	Sale
09/04/2020	150.00	1,499.94	09/04/2020	1,395.00	0.00	104.94	Sale
09/04/2020	350.00	3,499.88	09/04/2020	3,255.00	0.00	244.88	Sale
09/04/2020	500.00	5,099.82	09/04/2020	4,650.00	0.00	449.82	Sale
09/04/2020	500.00	5,899.80	09/04/2020	5,600.00	0.00	299.80	Sale

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**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

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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
***VIVOPOWER INTERNATIONAL PLC ORDINARY SHARES   CUSIP: G9376R100   Symbol: VVPR							
09/04/2020	500.00	5,749.81	09/04/2020	5,600.00	0.00	149.81	Sale
09/09/2020	1.00	8.17	09/09/2020	8.25	0.08 D	0.00	Sale
09/09/2020	11.00	89.08	09/09/2020	87.34	0.00	1.74	Sale
09/09/2020	12.00	99.58	09/09/2020	95.16	0.00	4.42	Sale
09/09/2020	39.00	314.32	09/09/2020	309.66	0.00	4.66	Sale
09/09/2020	49.00	406.68	09/09/2020	388.57	0.00	18.11	Sale
09/09/2020	100.00	805.97	09/09/2020	794.00	0.00	11.97	Sale
09/09/2020	100.00	807.97	09/09/2020	794.00	0.00	13.97	Sale
09/09/2020	100.00	818.97	09/09/2020	825.00	6.03 D	0.00	Sale
09/09/2020	100.00	849.97	Various	855.08	5.11 D	0.00	Sale
09/09/2020	189.00	1,568.64	Various	1,499.77	0.00	68.87	Sale
09/09/2020	200.00	1,699.94	Various	1,750.37	50.43 D	0.00	Sale
09/09/2020	250.00	2,049.92	Various	1,985.00	0.00	64.92	Sale
09/09/2020	250.00	2,014.92	09/09/2020	1,985.00	0.00	29.92	Sale
09/09/2020	399.00	3,235.76	09/09/2020	3,291.75	55.99 D	0.00	Sale
09/09/2020	800.00	6,783.75	Various	6,915.98	132.23 D	0.00	Sale
09/09/2020	900.00	7,649.72	Various	7,707.73	66.04 D	8.03	Sale
09/09/2020	1,000.00	8,479.69	Various	8,626.04	146.35 D	0.00	Sale
09/09/2020	500.00	4,094.84	Various	4,173.70	78.86 D	0.00	Sale
09/14/2020	1,000.00	5,999.74	Various	6,322.66	322.92 D	0.00	Sale
09/15/2020	150.00	1,031.95	Various	1,110.34	78.39 D	0.00	Sale
09/15/2020	850.00	5,849.13	Various	6,233.54	83.37 D	-301.04	Sale
10/09/2020	300.00	4,709.85	Various	5,042.76	0.00	-332.91	Sale
<b>Security Totals:</b>		<b>90,268.44</b>		<b>90,301.70</b>		<b>992.54</b>	
CAPRICOR THERAPEUTICS INC COMMON STOCK   CUSIP: 14070B309   Symbol: CAPR							
04/29/2020	200.00	960.03	Various	959.00	0.00	1.03	Sale
04/29/2020	14.00	67.19	04/29/2020	67.18	0.00	0.01	Sale
04/29/2020	286.00	1,372.84	Various	1,372.52	0.00	0.32	Sale

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**SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS**

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

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

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CAPRICOR THERAPEUTICS INC COMMON STOCK   CUSIP: 14070B309   Symbol: CAPR							
07/24/2020	50.00	368.48	07/24/2020	361.51	0.00	6.97	Sale
07/24/2020	50.00	368.48	07/24/2020	361.51	0.00	6.97	Sale
07/24/2020	50.00	368.48	07/24/2020	361.51	0.00	6.97	Sale
07/24/2020	50.00	368.48	07/24/2020	361.52	0.00	6.96	Sale
07/24/2020	100.00	736.97	07/24/2020	723.03	0.00	13.94	Sale
07/24/2020	200.00	1,473.94	07/24/2020	1,446.06	0.00	27.88	Sale
07/24/2020	250.00	1,872.42	Various	1,809.57	0.00	62.85	Sale
07/24/2020	1,000.00	7,099.72	Various	7,140.00	40.28 D	0.00	Sale
07/24/2020	250.00	1,867.42	Various	1,807.57	0.00	59.85	Sale
07/27/2020	100.00	951.00	07/27/2020	960.00	9 D	0.00	Sale
07/27/2020	250.00	2,364.91	07/27/2020	2,275.00	0.00	89.91	Sale
07/27/2020	250.00	2,357.41	07/27/2020	2,275.00	0.00	82.41	Sale
07/27/2020	250.00	2,412.41	07/27/2020	2,275.00	0.00	137.41	Sale
07/27/2020	900.00	8,559.06	07/27/2020	8,640.00	80.94 D	0.00	Sale
07/27/2020	250.00	2,366.11	07/27/2020	2,275.00	0.00	91.11	Sale
07/28/2020	3.00	27.28	07/28/2020	27.02	0.00	0.26	Sale
07/28/2020	4.00	36.46	07/28/2020	36.03	0.00	0.43	Sale
07/28/2020	17.00	147.03	07/28/2020	150.21	3.18 D	0.00	Sale
07/28/2020	17.00	146.35	07/28/2020	150.21	3.86 D	0.00	Sale
07/28/2020	50.00	455.97	Various	449.63	0.00	6.34	Sale
07/28/2020	50.00	455.47	07/28/2020	450.32	0.00	5.15	Sale
07/28/2020	50.00	454.97	07/28/2020	450.32	0.00	4.65	Sale
07/28/2020	50.00	455.47	07/28/2020	450.32	0.00	5.15	Sale
07/28/2020	60.00	548.97	07/28/2020	539.18	0.00	9.79	Sale
07/28/2020	83.00	717.92	Various	735.04	17.12 D	0.00	Sale
07/28/2020	90.00	823.47	Various	808.78	0.00	14.69	Sale
07/28/2020	96.00	873.57	07/28/2020	864.60	0.00	8.97	Sale

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APEX CLEARING

Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B\*

OMB No. 1545-0715

2TZ05705

(continued)

01/24/2021

**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)

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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
CAPRICOR THERAPEUTICS INC COMMON STOCK   CUSIP: 14070B309   Symbol: CAPR							
07/28/2020	97.00	879.76	07/28/2020	873.61	0.00	6.15	Sale
07/28/2020	100.00	983.96	07/28/2020	981.00	0.00	2.96	Sale
07/28/2020	100.00	939.96	07/28/2020	920.00	0.00	19.96	Sale
07/28/2020	100.00	910.96	07/28/2020	900.63	0.00	10.33	Sale
07/28/2020	100.00	914.96	Various	898.64	0.00	16.32	Sale
07/28/2020	100.00	864.97	Various	885.61	20.64 D	0.00	Sale
07/28/2020	100.00	909.96	Various	903.17	0.00	6.79	Sale
07/28/2020	150.00	1,409.94	Various	1,380.00	0.00	29.94	Sale
07/28/2020	150.00	1,364.94	Various	1,332.84	0.00	32.10	Sale
07/28/2020	250.00	2,349.91	07/28/2020	2,300.00	0.00	49.91	Sale
07/28/2020	783.00	6,772.71	Various	6,939.35	166.64 D	0.00	Sale
07/28/2020	900.00	8,688.47	07/28/2020	8,828.94	140.47 D	0.00	Sale
07/29/2020	99.00	958.28	07/29/2020	977.61	0.00	-19.33	Sale
07/29/2020	100.00	967.96	07/29/2020	987.48	0.00	-19.52	Sale
07/29/2020	100.00	967.96	07/29/2020	987.48	0.00	-19.52	Sale
07/29/2020	100.00	967.96	07/29/2020	987.48	0.00	-19.52	Sale
07/29/2020	100.00	967.96	07/29/2020	987.48	0.00	-19.52	Sale
07/29/2020	101.00	977.64	07/29/2020	997.35	0.00	-19.71	Sale
07/29/2020	100.00	967.96	07/29/2020	987.48	0.00	-19.52	Sale
07/29/2020	100.00	967.96	07/29/2020	987.48	0.00	-19.52	Sale
07/29/2020	200.00	1,935.93	07/29/2020	1,974.96	0.00	-39.03	Sale
<b>Security Totals:</b>		<b>77,748.39</b>		<b>77,601.23</b>		<b>629.29</b>	
REFLECT SCIENTIFIC INC   CUSIP: 75866F101   Symbol: RSCF							
12/15/2020	1,000.00	1,701.84	Various	1,969.63	267.79 D	0.00	Sale
12/15/2020	1,000.00	1,731.84	12/15/2020	1,852.00	120.16 D	0.00	Sale
12/16/2020	250.00	619.21	12/14/2020	553.25	0.00	65.96	Buy to Cover Short
12/16/2020	250.00	619.21	12/14/2020	565.75	0.00	53.46	Buy to Cover Short
12/16/2020	250.00	618.10	Various	570.75	0.00	47.35	Buy to Cover Short

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**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

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**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
REFLECT SCIENTIFIC INC   CUSIP: 75866F101   Symbol: RSCF							
12/16/2020	250.00	619.20	12/14/2020	560.50	0.00	58.70	Buy to Cover Short
12/17/2020	1,000.00	1,247.85	12/17/2020	1,248.00	0.00	-0.15	Sale
12/17/2020	1,000.00	1,258.85	Various	1,549.79	290.94 D	0.00	Sale
12/17/2020	1,000.00	1,257.85	Various	1,632.94	375.09 D	0.00	Sale
12/17/2020	1,000.00	1,247.85	Various	1,623.09	0.00	-375.24	Sale
<b>Security Totals:</b>		<b>10,921.80</b>		<b>12,125.70</b>		<b>-149.92</b>	
PUMA BIOTECHNOLOGY INC   CUSIP: 74587V107   Symbol: PBYI							
02/07/2020	3.00	42.03	02/05/2020	43.50	1.47 D	0.00	Buy to Cover Short
02/07/2020	5.00	70.05	02/05/2020	72.50	2.45 D	0.00	Buy to Cover Short
02/07/2020	40.00	560.37	02/05/2020	580.00	19.63 D	0.00	Buy to Cover Short
02/07/2020	57.00	798.54	Various	827.97	29.43 D	0.00	Buy to Cover Short
02/07/2020	100.00	1,400.95	Various	1,477.97	77.02 D	0.00	Buy to Cover Short
02/07/2020	100.00	1,400.97	Various	1,522.59	121.62 D	0.00	Buy to Cover Short
02/07/2020	100.00	1,400.95	Various	1,529.92	128.97 D	0.00	Buy to Cover Short
02/07/2020	100.00	1,401.96	Various	1,575.57	164.85 D	-8.76	Buy to Cover Short
02/07/2020	195.00	2,770.87	Various	3,064.42	0.00	-293.55	Buy to Cover Short
02/07/2020	300.00	4,262.87	02/05/2020	4,350.00	0.00	-87.13	Buy to Cover Short
<b>Security Totals:</b>		<b>14,109.56</b>		<b>15,044.44</b>		<b>-389.44</b>	
COTY INC COM CL A   CUSIP: 222070203   Symbol: COTY							
05/28/2020	1,000.00	4,419.78	Various	4,419.40	0.00	0.38	Sale
SURFACE ONCOLOGY INC COMMON STOCK   CUSIP: 86877M209   Symbol: SURF							
05/21/2020	10.00	72.08	05/21/2020	68.20	0.00	3.88	Sale
05/21/2020	490.00	3,532.76	Various	3,346.55	0.00	186.21	Sale
<b>Security Totals:</b>		<b>3,604.84</b>		<b>3,414.75</b>		<b>190.09</b>	
***ARBUTUS BIOPHARMA CORP COM   CUSIP: 03879J100   Symbol: ABUS							
07/23/2020	7.00	43.38	07/23/2020	43.47	0.09 D	0.00	Sale
07/23/2020	1.00	6.54	07/23/2020	6.64	0.1 D	0.00	Sale
07/23/2020	21.00	130.18	07/23/2020	130.40	0.22 D	0.00	Sale

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APEX CLEARING

Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B\*

OMB No. 1545-0715

2TZ05705

(continued)

01/24/2021

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)

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***ARBUTUS BIOPHARMA CORP COM   CUSIP: 03879J100   Symbol: ABUS							
07/23/2020	20.00	135.18	07/23/2020	138.04	2.86 D	0.00	Sale
07/23/2020	15.00	98.53	07/23/2020	97.37	0.00	1.16	Sale
07/23/2020	33.00	216.13	07/23/2020	219.18	3.05 D	0.00	Sale
07/23/2020	35.00	216.98	07/23/2020	217.34	0.36 D	0.00	Sale
07/23/2020	44.00	272.78	Various	273.22	0.44 D	0.00	Sale
07/23/2020	35.00	229.93	Various	227.22	0.00	2.71	Sale
07/23/2020	50.00	337.98	Various	345.73	7.75 D	0.00	Sale
07/23/2020	50.00	337.98	Various	347.02	9.04 D	0.00	Sale
07/23/2020	50.00	327.48	Various	332.76	5.28 D	0.00	Sale
07/23/2020	45.00	304.18	Various	312.54	8.36 D	0.00	Sale
07/23/2020	100.00	676.97	Various	692.74	15.77 D	0.00	Sale
07/23/2020	50.00	315.98	07/23/2020	314.52	0.00	1.46	Sale
07/23/2020	90.00	568.77	07/23/2020	566.12	0.00	2.65	Sale
07/23/2020	100.00	679.97	Various	694.37	14.40 D	0.00	Sale
07/23/2020	100.00	655.97	Various	666.20	10.23 D	0.00	Sale
07/23/2020	100.00	676.97	Various	684.97	8.00 D	0.00	Sale
07/23/2020	100.00	470.97	07/23/2020	423.00	0.00	47.97	Sale
07/23/2020	100.00	482.97	07/23/2020	423.00	0.00	59.97	Sale
07/23/2020	100.00	493.97	07/23/2020	423.00	0.00	70.97	Sale
07/23/2020	100.00	676.97	Various	696.41	19.44 D	0.00	Sale
07/23/2020	100.00	619.97	Various	620.96	0.99 D	0.00	Sale
07/23/2020	100.00	655.97	Various	672.63	16.66 D	0.00	Sale
07/23/2020	100.00	599.97	Various	613.04	13.07 D	0.00	Sale
07/23/2020	100.00	542.07	07/23/2020	569.00	26.93 D	0.00	Sale
07/23/2020	100.00	619.97	Various	622.19	2.22 D	0.00	Sale
07/23/2020	200.00	1,313.95	Various	1,295.15	0.00	18.80	Sale
07/23/2020	190.00	1,202.65	Various	1,239.54	36.89 D	0.00	Sale

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**SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS**

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

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***ARBUTUS BIOPHARMA CORP COM   CUSIP: 03879J100   Symbol: ABUS							
07/23/2020	150.00	1,015.45	Various	1,042.05	26.75 D	0.15	Sale
07/23/2020	250.00	1,449.93	Various	1,459.87	9.94 D	0.00	Sale
07/23/2020	250.00	1,422.43	07/23/2020	1,460.07	37.64 D	0.00	Sale
07/23/2020	250.00	1,184.94	07/23/2020	1,057.50	0.00	127.44	Sale
07/23/2020	100.00	542.07	07/23/2020	569.00	26.93 D	0.00	Sale
07/23/2020	250.00	1,444.93	07/23/2020	1,460.06	15.13 D	0.00	Sale
07/23/2020	250.00	1,444.93	07/23/2020	1,460.06	15.13 D	0.00	Sale
07/23/2020	300.00	1,859.91	Various	1,878.79	18.88 D	0.00	Sale
07/23/2020	360.00	2,275.10	Various	2,264.50	0.00	10.60	Sale
07/23/2020	310.00	1,959.11	Various	1,993.61	34.50 D	0.00	Sale
07/23/2020	400.00	2,719.88	Various	2,783.97	64.09 D	0.00	Sale
07/23/2020	316.00	2,069.71	Various	2,142.81	73.10 D	0.00	Sale
07/23/2020	400.00	2,623.89	Various	2,689.59	65.70 D	0.00	Sale
07/23/2020	450.00	3,046.38	07/23/2020	3,037.50	0.00	8.88	Sale
07/23/2020	393.00	2,436.49	Various	2,458.97	22.48 D	0.00	Sale
07/23/2020	500.00	3,189.86	Various	3,211.52	21.66 D	0.00	Sale
07/23/2020	450.00	2,699.89	Various	2,765.27	65.38 D	0.00	Sale
07/23/2020	435.00	2,940.48	07/23/2020	2,936.25	0.00	4.23	Sale
07/23/2020	750.00	4,859.80	Various	4,923.31	63.51 D	0.00	Sale
07/23/2020	450.00	2,704.39	Various	2,780.37	75.98 D	0.00	Sale
07/23/2020	2,000.00	12,199.49	Various	12,494.43	294.94 D	0.00	Sale
07/23/2020	1.00	4.82	07/23/2020	4.23	0.00	0.59	Sale
07/23/2020	800.00	4,335.80	07/23/2020	4,552.00	216.2 D	0.00	Sale
07/23/2020	99.00	479.90	07/23/2020	418.77	0.00	61.13	Sale
07/23/2020	500.00	3,159.87	07/23/2020	3,145.13	0.00	14.74	Sale
07/23/2020	100.00	482.97	07/23/2020	423.00	0.00	59.97	Sale
07/23/2020	250.00	1,164.94	07/23/2020	1,057.50	0.00	107.44	Sale

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**SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS**

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

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***ARBUTUS BIOPHARMA CORP COM   CUSIP: 03879J100   Symbol: ABUS							
07/24/2020	10.00	75.68	Various	75.33	0.00	0.35	Sale
07/24/2020	100.00	756.97	Various	753.08	0.00	3.89	Sale
07/24/2020	53.00	401.19	07/24/2020	398.69	0.00	2.50	Sale
07/24/2020	37.00	280.07	Various	278.62	0.00	1.45	Sale
07/24/2020	100.00	756.97	Various	758.14	1.47 D	0.30	Sale
07/24/2020	100.00	756.97	Various	760.14	3.17 D	0.00	Sale
07/24/2020	100.00	757.97	Various	753.34	0.57 D	5.20	Sale
07/24/2020	100.00	501.97	Various	509.66	7.69 D	0.00	Sale
07/24/2020	100.00	756.97	Various	755.41	2.60 D	4.16	Sale
07/24/2020	700.00	3,492.84	Various	3,586.98	0.00	-94.14	Sale
07/24/2020	400.00	3,027.88	Various	3,005.94	8.39 D	30.33	Sale
07/24/2020	2,000.00	9,819.54	Various	9,966.20	146.66 D	0.00	Sale
07/24/2020	900.00	4,517.79	Various	4,571.74	53.95 D	0.00	Sale
07/24/2020	100.00	501.97	07/24/2020	506.53	0.00	-4.56	Sale
07/24/2020	100.00	501.97	07/24/2020	506.53	0.00	-4.56	Sale
07/24/2020	391.00	1,962.72	07/24/2020	1,980.51	0.00	-17.79	Sale
07/24/2020	109.00	547.15	07/24/2020	552.11	0.00	-4.96	Sale
07/24/2020	300.00	1,505.95	07/24/2020	1,519.58	0.00	-13.63	Sale
07/24/2020	300.00	1,504.42	Various	1,530.16	0.00	-25.74	Sale
<b>Security Totals:</b>		<b>112,055.66</b>		<b>113,146.59</b>		<b>483.66</b>	
ACLARIS THERAPEUTICS INC COM   CUSIP: 00461U105   Symbol: ACRS							
10/09/2020	50.00	202.48	10/09/2020	196.00	0.00	6.48	Sale
10/09/2020	56.00	232.38	10/09/2020	219.52	0.00	12.86	Sale
10/09/2020	100.00	406.98	10/09/2020	392.00	0.00	14.98	Sale
10/09/2020	100.00	406.98	10/09/2020	392.00	0.00	14.98	Sale
10/09/2020	194.00	805.06	10/09/2020	760.48	0.00	44.58	Sale
10/09/2020	250.00	1,039.94	10/09/2020	980.00	0.00	59.94	Sale

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**SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS**

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ACLARIS THERAPEUTICS INC COM   CUSIP: 00461U105   Symbol: ACRS							
10/09/2020	250.00	1,067.44	10/09/2020	980.00	0.00	87.44	Sale
<b>Security Totals:</b>		<b>4,161.26</b>		<b>3,920.00</b>		<b>241.26</b>	
SMILEDIRECTCLUB INC CLASS A COMMON STOCK   CUSIP: 83192H106   Symbol: SDC							
04/28/2020	1,000.00	6,479.73	Various	6,440.29	0.00	39.44	Sale
04/28/2020	100.00	649.97	04/28/2020	657.00	7.03 D	0.00	Sale
04/28/2020	500.00	3,249.86	04/28/2020	3,285.00	35.14 D	0.00	Sale
04/28/2020	150.00	974.95	04/28/2020	985.50	10.55 D	0.00	Sale
04/28/2020	250.00	1,624.93	04/28/2020	1,642.50	17.57 D	0.00	Sale
04/29/2020	1,000.00	6,909.72	04/29/2020	7,109.60	199.88 D	0.00	Sale
05/13/2020	400.00	3,311.87	Various	3,303.57	0.00	8.30	Sale
05/13/2020	499.00	4,131.56	Various	4,175.16	0.00	-43.60	Sale
05/13/2020	101.00	836.25	05/13/2020	834.12	0.00	2.13	Sale
05/13/2020	500.00	3,934.85	Various	3,989.09	54.24 D	0.00	Sale
05/13/2020	500.00	3,943.10	Various	3,919.94	0.00	23.16	Sale
05/13/2020	1,000.00	8,281.39	Various	8,374.24	92.85 D	0.00	Sale
05/13/2020	500.00	3,904.85	05/13/2020	4,069.94	165.09 D	0.00	Sale
<b>Security Totals:</b>		<b>48,233.03</b>		<b>48,785.95</b>		<b>29.43</b>	
PACIFIC BIOSCIENCES OF CALIFORNIA INC   CUSIP: 69404D108   Symbol: PACB							
12/29/2020	100.00	2,312.03	12/29/2020	2,319.00	0.00	-6.97	Sale
12/29/2020	400.00	9,248.14	12/29/2020	9,276.00	0.00	-27.86	Sale
<b>Security Totals:</b>		<b>11,560.17</b>		<b>11,595.00</b>		<b>-34.83</b>	
***PHOENIX NEW MEDIA LTD SPONSORED ADS REPSTG CL A SHS   CUSIP: 71910C103   Symbol: FENG							
11/19/2020	1,000.00	2,299.82	11/19/2020	2,310.18	10.36 D	0.00	Sale
11/19/2020	50.00	114.98	11/19/2020	115.52	0.00	-0.54	Sale
11/19/2020	100.00	229.98	11/19/2020	231.04	0.00	-1.06	Sale
11/19/2020	6.00	13.78	11/19/2020	13.86	0.00	-0.08	Sale
11/19/2020	100.00	229.98	11/19/2020	231.04	0.00	-1.06	Sale
11/19/2020	100.00	229.98	11/19/2020	231.04	0.00	-1.06	Sale

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APEX CLEARING

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2020 Form 1099-B\*

OMB No. 1545-0715

2TZ05705

(continued)

01/24/2021

**SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS**

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***PHOENIX NEW MEDIA LTD SPONSORED ADS REPSTG CL A SHS   CUSIP: 71910C103   Symbol: FENG							
11/19/2020	100.00	229.99	11/19/2020	231.03	0.00	-1.04	Sale
11/19/2020	544.00	1,251.11	11/19/2020	1,256.83	0.00	-5.72	Sale
11/19/2020	1,000.00	2,299.82	11/19/2020	2,310.00	10.18 D	0.00	Sale
<b>Security Totals:</b>		<b>6,899.44</b>		<b>6,930.54</b>		<b>-10.56</b>	
***ADAPTIMMUNE THERAPEUTICS PLC AMERICAN DEPOSITARY SHARES   CUSIP: 00653A107   Symbol: ADAP							
01/17/2020	2,000.00	7,761.98	Various	7,760.00	0.00	1.98	Buy to Cover Short
ICONIX BRAND GROUP INC COMMON STOCK   CUSIP: 451055305   Symbol: ICON							
08/04/2020	2,000.00	2,639.70	08/04/2020	2,840.00	0.00	-200.30	Sale
***NORDIC AMERICAN TANKERS LIMITED   CUSIP: G65773106   Symbol: NAT							
04/27/2020	100.00	704.97	04/27/2020	694.00	0.00	10.97	Sale
04/27/2020	400.00	2,819.88	04/27/2020	2,776.00	0.00	43.88	Sale
04/27/2020	500.00	3,619.85	04/27/2020	3,470.00	0.00	149.85	Sale
04/27/2020	200.00	1,388.94	04/27/2020	1,388.00	0.00	0.94	Sale
04/27/2020	800.00	5,551.77	04/27/2020	5,552.00	0.23 D	0.00	Sale
04/27/2020	1,000.00	6,669.73	Various	6,629.84	0.00	39.89	Sale
04/28/2020	500.00	4,156.39	Various	4,130.15	0.00	26.24	Sale
04/28/2020	500.00	4,154.84	Various	4,154.14	14.13 D	14.83	Sale
04/29/2020	2.00	13.08	04/29/2020	13.06	0.00	0.02	Sale
04/29/2020	5.00	32.73	04/29/2020	32.65	0.00	0.08	Sale
04/29/2020	50.00	327.48	04/29/2020	326.52	0.00	0.96	Sale
04/29/2020	98.00	641.87	04/29/2020	639.98	0.00	1.89	Sale
04/29/2020	200.00	1,307.95	Various	1,303.07	0.00	4.88	Sale
04/29/2020	125.00	818.72	04/29/2020	812.50	0.00	6.22	Sale
04/29/2020	470.00	3,073.67	Various	3,065.33	1.83 D	10.17	Sale
04/29/2020	50.00	327.48	Various	326.97	0.00	0.51	Sale
04/29/2020	1,000.00	6,359.73	Various	6,131.24	0.00	228.49	Sale
04/29/2020	500.00	3,280.41	Various	3,295.61	15.20 D	0.00	Sale
04/29/2020	500.00	3,297.36	04/29/2020	3,294.54	0.00	2.82	Sale

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APEX CLEARING

## Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B\*

OMB No. 1545-0715

2TZ05705

(continued)

01/24/2021

**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>
***NORDIC AMERICAN TANKERS LIMITED   CUSIP: G65773106   Symbol: NAT							
04/30/2020	450.00	3,831.23	Various	3,883.50	52.27 D	0.00	Buy to Cover Short
04/30/2020	50.00	425.48	04/28/2020	432.00	6.52 D	0.00	Buy to Cover Short
04/30/2020	500.00	3,974.84	Various	3,948.33	2.95 D	29.46	Buy to Cover Short
04/30/2020	1,000.00	7,649.55	Various	7,730.62	81.07 D	0.00	Buy to Cover Short
04/30/2020	500.00	4,254.84	Various	4,335.63	80.79 D	0.00	Buy to Cover Short
04/30/2020	500.00	3,974.85	Various	3,919.51	7.67 D	63.01	Buy to Cover Short
05/01/2020	250.00	1,662.68	Various	1,607.88	0.00	54.80	Buy to Cover Short
05/01/2020	250.00	1,556.19	04/29/2020	1,530.00	0.00	26.19	Buy to Cover Short
05/01/2020	250.00	1,556.18	04/29/2020	1,502.50	0.00	53.68	Buy to Cover Short
05/01/2020	452.00	2,944.62	Various	2,852.12	0.00	92.50	Buy to Cover Short
05/01/2020	750.00	4,992.54	Various	4,883.96	0.00	108.58	Buy to Cover Short
05/01/2020	300.00	1,951.87	Various	1,947.00	0.00	4.87	Buy to Cover Short
05/01/2020	700.00	4,530.76	Various	4,543.00	15.09 D	2.85	Buy to Cover Short
05/01/2020	1,000.00	6,427.22	Various	6,554.06	126.84 D	0.00	Buy to Cover Short
05/01/2020	500.00	3,112.37	04/29/2020	3,113.45	1.08 D	0.00	Buy to Cover Short
05/01/2020	1,000.00	6,379.83	Various	6,469.98	90.15 D	0.00	Buy to Cover Short
05/01/2020	1,000.00	6,144.74	Various	6,155.67	12.74 D	1.81	Sale
05/01/2020	1,000.00	6,009.84	Various	6,026.81	16.97 D	0.00	Sale
05/01/2020	1,000.00	6,229.74	05/01/2020	6,138.70	0.00	91.04	Sale
05/05/2020	1,000.00	5,469.75	Various	5,522.74	0.00	-52.99	Sale
<b>Security Totals:</b>		<b>131,625.97</b>		<b>131,133.06</b>		<b>1,018.44</b>	
URBAN ONE INC CLASS A COMMON STOCK   CUSIP: 91705J105   Symbol: UONE							
06/15/2020	100.00	446.98	06/15/2020	457.00	10.02 D	0.00	Sale
06/15/2020	400.00	1,787.91	Various	1,838.02	50.11 D	0.00	Sale
06/15/2020	500.00	2,234.89	Various	2,335.11	100.22 D	0.00	Sale
06/16/2020	10.00	148.98	06/16/2020	137.50	0.00	11.48	Sale
06/16/2020	50.00	754.97	06/16/2020	692.53	0.00	62.44	Sale
06/16/2020	90.00	1,340.96	Various	1,241.95	0.00	99.01	Sale

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APEX CLEARING

## Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B\*

OMB No. 1545-0715

2TZ05705

(continued)

01/24/2021

**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>
URBAN ONE INC CLASS A COMMON STOCK   CUSIP: 91705J105   Symbol: UONE							
06/16/2020	100.00	2,521.93	06/16/2020	2,680.05	158.12 D	0.00	Sale
06/16/2020	150.00	2,095.43	Various	2,063.17	0.00	32.26	Sale
06/17/2020	50.00	839.97	06/17/2020	904.06	64.09 D	0.00	Sale
06/17/2020	100.00	1,679.95	06/17/2020	1,650.00	0.00	29.95	Sale
06/17/2020	150.00	2,699.92	Various	2,564.08	4.09 D	139.93	Sale
06/17/2020	300.00	4,664.85	Various	5,033.18	368.33 D	0.00	Sale
06/17/2020	200.00	2,503.92	Various	2,865.48	361.56 D	0.00	Sale
06/18/2020	35.00	962.46	Various	1,041.34	78.88 D	0.00	Sale
06/18/2020	55.00	1,512.45	Various	1,684.40	171.95 D	0.00	Sale
06/18/2020	100.00	2,749.92	06/18/2020	2,830.05	80.13 D	0.00	Sale
06/18/2020	10.00	274.98	06/18/2020	309.53	34.55 D	0.00	Sale
06/19/2020	1.00	44.98	06/19/2020	47.79	2.81 D	0.00	Sale
06/19/2020	10.00	529.57	06/19/2020	487.63	0.00	41.94	Sale
06/19/2020	15.00	712.17	06/19/2020	764.89	52.72 D	0.00	Sale
06/19/2020	20.00	1,079.96	06/19/2020	975.26	0.00	104.70	Sale
06/19/2020	20.00	935.76	Various	945.67	9.91 D	0.00	Sale
06/19/2020	20.00	920.96	06/19/2020	969.68	48.72 D	0.00	Sale
06/19/2020	29.00	1,304.96	06/19/2020	1,385.95	80.99 D	0.00	Sale
06/19/2020	30.00	1,559.95	06/19/2020	1,462.89	0.00	97.06	Sale
06/19/2020	20.00	920.16	06/19/2020	969.67	49.51 D	0.00	Sale
06/19/2020	30.00	1,435.75	Various	1,418.51	0.00	17.24	Sale
06/19/2020	40.00	2,012.34	06/19/2020	1,950.51	0.00	61.83	Sale
06/19/2020	70.00	3,149.92	06/19/2020	3,345.39	195.47 D	0.00	Sale
06/19/2020	85.00	4,035.70	Various	4,334.38	298.68 D	0.00	Sale
06/19/2020	100.00	4,699.88	06/19/2020	5,025.95	97.82 D	-228.25	Sale
06/19/2020	100.00	4,784.88	Various	5,234.75	0.00	-449.87	Sale
06/19/2020	100.00	4,377.89	06/19/2020	4,618.23	240.34 D	0.00	Sale

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APEX CLEARING

## Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B\*

OMB No. 1545-0715

2TZ05705

(continued)

01/24/2021

**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>
URBAN ONE INC CLASS A COMMON STOCK   CUSIP: 91705J105   Symbol: UONE							
06/19/2020	100.00	4,699.88	Various	5,113.79	0.00	-413.91	Sale
06/19/2020	10.00	460.67	06/19/2020	484.85	24.18 D	0.00	Sale
06/22/2020	100.00	2,719.92	06/18/2020	2,929.07	209.15 D	0.00	Buy to Cover Short
06/22/2020	100.00	2,509.93	06/18/2020	2,639.00	129.07 D	0.00	Buy to Cover Short
06/22/2020	100.00	2,849.92	06/18/2020	3,049.15	199.23 D	0.00	Buy to Cover Short
09/28/2020	100.00	576.97	09/28/2020	570.99	0.00	5.98	Sale
09/28/2020	100.00	577.97	09/28/2020	570.99	0.00	6.98	Sale
09/28/2020	108.00	620.97	09/28/2020	616.67	0.00	4.30	Sale
09/28/2020	182.00	1,046.45	09/28/2020	1,039.20	0.00	7.25	Sale
09/28/2020	200.00	1,157.95	09/28/2020	1,141.98	0.00	15.97	Sale
09/28/2020	310.00	1,794.82	09/28/2020	1,770.07	0.00	24.75	Sale
<b>Security Totals:</b>		<b>80,740.75</b>		<b>84,190.36</b>		<b>-328.96</b>	
URBAN ONE INC CLASS D COMMON STOCK   CUSIP: 91705J204   Symbol: UONEK							
06/16/2020	250.00	862.45	Various	895.05	32.60 D	0.00	Sale
06/16/2020	250.00	842.45	06/16/2020	895.05	52.6 D	0.00	Sale
06/16/2020	500.00	1,649.90	Various	1,765.00	115.10 D	0.00	Sale
06/18/2020	500.00	1,724.90	Various	1,857.71	0.00	-132.81	Sale
<b>Security Totals:</b>		<b>5,079.70</b>		<b>5,412.81</b>		<b>-132.81</b>	
GLU MOBILE INC   CUSIP: 379890106   Symbol: GLUU							
05/12/2020	500.00	5,114.82	05/08/2020	5,133.45	0.00	-18.63	Buy to Cover Short
COMSTOCK HOLDING COMPANIES INC CL A NEW   CUSIP: 205684202   Symbol: CHCI							
04/15/2020	528.00	1,805.66	Various	1,811.15	0.00	-5.49	Sale
04/17/2020	528.00	1,801.09	Various	1,705.44	0.00	95.65	Buy to Cover Short
04/17/2020	2,000.00	6,899.59	Various	6,413.34	0.00	486.25	Buy to Cover Short
04/17/2020	1,323.00	4,599.58	Various	4,299.75	0.00	299.83	Buy to Cover Short
04/17/2020	30.00	103.79	04/15/2020	104.98	1.19 D	0.00	Buy to Cover Short
04/17/2020	100.00	339.98	04/15/2020	341.00	1.02 D	0.00	Buy to Cover Short
04/17/2020	3.00	10.38	04/15/2020	10.50	0.12 D	0.00	Buy to Cover Short

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APEX CLEARING

## Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B\*

OMB No. 1545-0715

2TZ05705

(continued)

01/24/2021

**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**

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COMSTOCK HOLDING COMPANIES INC CL A NEW   CUSIP: 205684202   Symbol: CHCI							
04/17/2020	100.00	345.98	04/15/2020	349.92	3.94 D	0.00	Buy to Cover Short
04/17/2020	100.00	345.98	04/15/2020	349.92	3.94 D	0.00	Buy to Cover Short
04/17/2020	100.00	345.98	04/15/2020	349.92	3.94 D	0.00	Buy to Cover Short
04/17/2020	100.00	345.98	04/15/2020	349.92	3.94 D	0.00	Buy to Cover Short
04/17/2020	100.00	345.98	04/15/2020	349.92	3.94 D	0.00	Buy to Cover Short
04/17/2020	100.00	345.98	04/15/2020	349.92	3.94 D	0.00	Buy to Cover Short
04/17/2020	100.00	345.98	04/15/2020	349.92	3.94 D	0.00	Buy to Cover Short
04/17/2020	100.00	345.98	04/15/2020	354.42	8.44 D	0.00	Buy to Cover Short
04/17/2020	200.00	691.96	04/15/2020	699.84	7.88 D	0.00	Buy to Cover Short
04/17/2020	195.00	674.66	04/15/2020	682.34	7.68 D	0.00	Buy to Cover Short
04/17/2020	100.00	345.98	04/15/2020	349.92	3.94 D	0.00	Buy to Cover Short
04/17/2020	217.00	756.63	Various	761.28	6.91 D	2.26	Buy to Cover Short
04/17/2020	300.00	1,019.94	04/15/2020	1,026.00	6.06 D	0.00	Buy to Cover Short
04/17/2020	300.00	1,019.94	Various	1,026.00	6.06 D	0.00	Buy to Cover Short
04/17/2020	300.00	1,019.94	04/15/2020	1,026.00	6.06 D	0.00	Buy to Cover Short
04/17/2020	352.00	1,263.61	Various	1,245.59	0.00	18.02	Buy to Cover Short
04/17/2020	683.00	2,451.83	Various	2,452.10	0.00	-0.27	Buy to Cover Short
04/17/2020	472.00	1,604.71	Various	1,618.05	13.34 D	0.00	Buy to Cover Short
04/17/2020	420.00	1,507.72	Various	1,486.34	0.00	21.38	Buy to Cover Short
<b>Security Totals:</b>		<b>30,684.83</b>		<b>29,863.48</b>		<b>917.63</b>	
IVERIC BIO INC COMMON STOCK   CUSIP: 46583P102   Symbol: ISEE							
06/19/2020	200.00	1,300.47	06/19/2020	1,310.80	10.33 D	0.00	Sale
06/19/2020	800.00	5,200.98	Various	5,258.33	0.00	-57.35	Sale
<b>Security Totals:</b>		<b>6,501.45</b>		<b>6,569.13</b>		<b>-57.35</b>	
***LION GROUP HOLDING LTD AMERICAN DEPOSITARY SHARE   CUSIP: 53620U102   Symbol: LGHL							
07/16/2020	10.00	61.28	07/16/2020	61.90	0.62 D	0.00	Sale
07/16/2020	190.00	1,158.95	Various	1,176.22	17.27 D	0.00	Sale

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**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
***LION GROUP HOLDING LTD AMERICAN DEPOSITARY SHARE   CUSIP: 53620U102   Symbol: LGHL							
07/16/2020	300.00	1,835.91	Various	1,873.27	0.00	-37.36	Sale
<b>Security Totals:</b>		<b>3,056.14</b>		<b>3,111.39</b>		<b>-37.36</b>	
CTI BIOPHARMA CORP COM NEW   CUSIP: 12648L601   Symbol: CTIC							
09/30/2020	100.00	211.98	Various	266.50	54.52 D	0.00	Sale
09/30/2020	70.00	148.38	Various	186.53	38.15 D	0.00	Sale
09/30/2020	100.00	211.98	Various	266.48	54.50 D	0.00	Sale
09/30/2020	100.00	211.98	Various	266.46	54.48 D	0.00	Sale
09/30/2020	100.00	211.98	Various	266.46	54.48 D	0.00	Sale
09/30/2020	100.00	211.98	Various	266.90	54.92 D	0.00	Sale
09/30/2020	100.00	211.98	09/30/2020	267.08	55.1 D	0.00	Sale
09/30/2020	150.00	317.97	Various	400.62	82.65 D	0.00	Sale
09/30/2020	200.00	423.97	Various	534.87	110.90 D	0.00	Sale
09/30/2020	250.00	529.95	Various	676.26	146.31 D	0.00	Sale
09/30/2020	300.00	635.94	Various	811.88	175.94 D	0.00	Sale
09/30/2020	1,000.00	2,189.83	Various	2,410.15	220.32 D	0.00	Sale
09/30/2020	430.00	911.52	Various	1,165.74	254.22 D	0.00	Sale
09/30/2020	50.00	107.48	Various	132.74	25.26 D	0.00	Sale
09/30/2020	100.00	216.98	09/30/2020	253.04	36.06 D	0.00	Sale
09/30/2020	100.00	216.98	Various	253.03	36.05 D	0.00	Sale
09/30/2020	100.00	216.98	09/30/2020	253.03	36.05 D	0.00	Sale
09/30/2020	150.00	322.47	Various	398.18	75.71 D	0.00	Sale
09/30/2020	200.00	433.97	09/30/2020	506.04	72.07 D	0.00	Sale
09/30/2020	200.00	433.97	09/30/2020	506.07	72.1 D	0.00	Sale
09/30/2020	300.00	644.94	Various	796.34	151.40 D	0.00	Sale
09/30/2020	300.00	650.94	09/30/2020	759.11	108.17 D	0.00	Sale
09/30/2020	500.00	1,074.91	Various	1,330.33	255.42 D	0.00	Sale
09/30/2020	1,000.00	2,174.83	Various	2,570.50	395.67 D	0.00	Sale
09/30/2020	1,000.00	2,171.13	Various	2,608.72	437.59 D	0.00	Sale

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**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
CTI BIOPHARMA CORP COM NEW   CUSIP: 12648L601   Symbol: CTIC							
09/30/2020	1,000.00	2,189.83	Various	2,299.98	110.15 D	0.00	Sale
09/30/2020	1,000.00	2,119.83	Various	2,743.18	623.35 D	0.00	Sale
10/02/2020	25.00	74.48	Various	88.45	13.97 D	0.00	Sale
10/02/2020	100.00	277.98	10/02/2020	246.77	0.00	31.21	Sale
10/02/2020	100.00	277.98	10/02/2020	246.77	0.00	31.21	Sale
10/02/2020	100.00	275.98	10/02/2020	246.77	0.00	29.21	Sale
10/02/2020	100.00	276.98	10/02/2020	246.77	0.00	30.21	Sale
10/02/2020	100.00	275.98	10/02/2020	246.77	0.00	29.21	Sale
10/02/2020	100.00	275.98	10/02/2020	246.77	0.00	29.21	Sale
10/02/2020	500.00	1,339.91	Various	1,544.02	204.11 D	0.00	Sale
10/02/2020	975.00	2,905.31	Various	3,423.17	517.86 D	0.00	Sale
10/02/2020	500.00	1,369.90	Various	1,547.03	177.13 D	0.00	Sale
10/02/2020	1,000.00	2,949.81	Various	3,371.24	421.43 D	0.00	Sale
10/02/2020	2,000.00	5,899.62	Various	6,629.53	729.91 D	0.00	Sale
10/02/2020	1,000.00	2,869.81	Various	3,381.43	511.62 D	0.00	Sale
10/02/2020	100.00	275.98	10/02/2020	246.77	0.00	29.21	Sale
10/02/2020	100.00	276.99	10/02/2020	246.77	0.00	30.22	Sale
10/02/2020	100.00	276.27	10/02/2020	246.77	0.00	29.50	Sale
10/02/2020	100.00	276.06	10/02/2020	246.77	0.00	29.29	Sale
10/02/2020	1,000.00	2,870.31	Various	2,997.88	127.57 D	0.00	Sale
10/02/2020	1,000.00	2,941.61	10/02/2020	2,990.00	48.39 D	0.00	Sale
10/02/2020	2,000.00	5,909.62	Various	6,639.15	729.53 D	0.00	Sale
10/05/2020	100.00	322.98	Various	334.36	11.38 D	0.00	Sale
10/05/2020	400.00	1,287.92	Various	1,336.89	48.97 D	0.00	Sale
10/05/2020	500.00	1,604.90	Various	1,671.72	66.82 D	0.00	Sale
10/05/2020	500.00	1,604.90	Various	1,876.02	271.12 D	0.00	Sale
10/05/2020	2,000.00	6,479.61	Various	7,123.00	643.39 D	0.00	Sale

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APEX CLEARING

## Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B\*

OMB No. 1545-0715

2TZ05705

(continued)

01/24/2021

**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>
CTI BIOPHARMA CORP COM NEW   CUSIP: 12648L601   Symbol: CTIC							
10/05/2020	500.00	1,604.95	Various	1,849.92	244.97 D	0.00	Sale
10/06/2020	1,000.00	3,439.80	Various	3,547.37	0.00	-107.57	Sale
10/06/2020	1,000.00	3,439.80	Various	3,926.02	0.00	-486.22	Sale
<b>Security Totals:</b>		<b>71,086.10</b>		<b>79,941.12</b>		<b>-295.31</b>	
NOVABAY PHARMACEUTICALS INC COM   CUSIP: 66987P201   Symbol: NBY							
03/20/2020	635.00	709.83	03/19/2020	977.90	0.00	-268.07	Sale
03/20/2020	1,365.00	1,525.87	03/19/2020	2,102.10	0.00	-576.23	Sale
04/20/2020	4,000.00	5,879.39	Various	5,690.00	0.00	189.39	Sale
06/18/2020	25.00	25.73	06/18/2020	25.00	0.00	0.73	Sale
06/18/2020	500.00	514.92	06/18/2020	500.00	0.00	14.92	Sale
06/18/2020	939.00	967.03	06/18/2020	939.00	0.00	28.03	Sale
06/18/2020	1,536.00	1,581.86	06/18/2020	1,536.00	0.00	45.86	Sale
06/24/2020	600.00	725.91	06/24/2020	671.94	0.00	53.97	Sale
06/24/2020	200.00	238.17	06/24/2020	223.98	0.00	14.19	Sale
06/24/2020	300.00	357.25	06/24/2020	335.97	0.00	21.28	Sale
06/24/2020	900.00	1,088.86	06/24/2020	1,007.91	0.00	80.95	Sale
06/24/2020	2,000.00	2,379.70	06/24/2020	2,239.80	0.00	139.90	Sale
06/24/2020	100.00	119.98	06/24/2020	117.00	0.00	2.98	Sale
06/24/2020	1,000.00	1,209.85	06/24/2020	1,119.90	0.00	89.95	Sale
06/24/2020	200.00	239.97	Various	234.00	0.00	5.97	Sale
06/24/2020	800.00	959.87	Various	936.00	0.00	23.87	Sale
06/24/2020	500.00	599.92	Various	594.01	1.94 D	7.85	Sale
06/24/2020	1,400.00	1,679.79	Various	1,694.41	14.62 D	0.00	Sale
06/30/2020	641.00	781.92	Various	812.88	30.96 D	0.00	Sale
06/30/2020	4,359.00	5,317.34	Various	5,530.92	213.58 D	0.00	Sale
06/30/2020	5,000.00	6,004.26	Various	6,213.58	209.86 D	0.54	Sale
07/08/2020	10.00	12.48	07/08/2020	13.27	0.79 D	0.00	Sale
07/08/2020	20.00	24.98	07/08/2020	26.55	1.57 D	0.00	Sale

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APEX CLEARING

Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B\*

OMB No. 1545-0715

2TZ05705

(continued)

01/24/2021

**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

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**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
NOVABAY PHARMACEUTICALS INC COM   CUSIP: 66987P201   Symbol: NBY							
07/08/2020	100.00	125.48	Various	132.81	7.33 D	0.00	Sale
07/08/2020	100.00	124.98	Various	133.74	8.76 D	0.00	Sale
07/08/2020	100.00	124.98	Various	133.74	8.76 D	0.00	Sale
07/08/2020	100.00	125.48	Various	133.16	7.68 D	0.00	Sale
07/08/2020	200.00	249.97	Various	265.85	15.88 D	0.00	Sale
07/08/2020	100.00	124.98	Various	132.93	7.95 D	0.00	Sale
07/08/2020	200.00	249.97	Various	272.38	22.41 D	0.00	Sale
07/08/2020	200.00	249.97	Various	273.41	23.44 D	0.00	Sale
07/08/2020	300.00	374.95	Various	408.40	33.45 D	0.00	Sale
07/08/2020	3,570.00	4,426.28	Various	4,734.26	307.98 D	0.00	Sale
07/08/2020	2,573.00	3,245.45	Various	3,462.81	217.36 D	0.00	Sale
07/08/2020	5,000.00	6,307.26	Various	6,693.36	387.19 D	1.09	Sale
07/08/2020	5,000.00	6,199.26	Various	6,728.92	244.47 D	-285.19	Sale
07/13/2020	2,000.00	3,439.68	Various	3,704.47	0.00	-264.79	Sale
10/09/2020	2,000.00	1,573.92	Various	1,605.97	32.05 D	0.00	Sale
10/09/2020	2,000.00	1,574.12	Various	1,638.03	0.00	-63.91	Sale
<b>Security Totals:</b>		<b>61,461.61</b>		<b>63,996.36</b>		<b>-736.72</b>	
PITNEY BOWES INC   CUSIP: 724479100   Symbol: PBI							
08/07/2020	1,000.00	6,290.74	Various	6,439.52	148.78 D	0.00	Sale
08/07/2020	1.00	6.28	08/07/2020	6.50	0.00	-0.22	Sale
08/07/2020	100.00	629.97	08/07/2020	649.75	0.00	-19.78	Sale
08/07/2020	1,000.00	6,309.74	08/07/2020	6,403.95	94.21 D	0.00	Sale
08/07/2020	1,899.00	11,944.21	Various	12,284.14	0.00	-339.93	Sale
08/07/2020	2,000.00	12,179.49	Various	12,357.96	178.47 D	0.00	Sale
08/11/2020	200.00	1,244.15	08/07/2020	1,242.00	0.00	2.15	Buy to Cover Short
08/11/2020	1,300.00	8,046.96	Various	8,086.00	39.26 D	0.22	Buy to Cover Short

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APEX CLEARING

## Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B\*

OMB No. 1545-0715

2TZ05705

(continued)

01/24/2021

**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>
08/11/2020	1,500.00	9,029.62	08/07/2020	9,015.00	0.00	14.62	Buy to Cover Short
<b>Security Totals:</b>		<b>55,681.16</b>		<b>56,484.82</b>		<b>-342.94</b>	
PARTY CITY HOLDCO INC	COM   CUSIP: 702149105   Symbol: PRTY						
04/30/2020	2,000.00	1,580.32	04/30/2020	1,591.80	0.00	-11.48	Sale
BJ S WHOLESALE CLUB HOLDINGS	INC COMMON STOCK   CUSIP: 05550J101   Symbol: BJ						
05/22/2020	95.00	3,497.81	05/22/2020	3,508.54	10.73 D	0.00	Sale
05/22/2020	100.00	3,681.90	Various	3,687.41	0.56 D	-4.95	Sale
05/22/2020	5.00	184.08	05/22/2020	184.36	0.00	-0.28	Sale
05/22/2020	100.00	3,681.90	05/22/2020	3,682.00	0.00	-0.10	Sale
05/22/2020	100.00	3,682.90	05/22/2020	3,682.00	0.00	0.90	Sale
05/22/2020	100.00	3,682.90	Various	3,693.29	0.00	-10.39	Sale
05/27/2020	200.00	7,439.79	Various	7,456.10	16.31 D	0.00	Buy to Cover Short
05/27/2020	300.00	11,193.71	Various	11,172.00	6.1 D	27.81	Buy to Cover Short
<b>Security Totals:</b>		<b>37,044.99</b>		<b>37,065.70</b>		<b>12.99</b>	
JAGUAR HEALTH INC	COMMON STOCK   CUSIP: 47010C409   Symbol: JAGX						
12/23/2020	6.00	6.28	12/23/2020	6.66	0.38 D	0.00	Sale
12/23/2020	25.00	25.48	12/23/2020	30.27	4.79 D	0.00	Sale
12/23/2020	100.00	101.98	12/23/2020	121.12	19.14 D	0.00	Sale
12/23/2020	350.00	356.95	Various	423.89	66.94 D	0.00	Sale
12/23/2020	355.00	372.70	Various	421.20	48.50 D	0.00	Sale
12/23/2020	630.00	661.41	Various	699.53	38.12 D	0.00	Sale
12/23/2020	700.00	713.90	Various	803.31	89.41 D	0.00	Sale
12/23/2020	825.00	841.38	12/23/2020	916.68	75.3 D	0.00	Sale
12/23/2020	864.00	907.07	Various	996.16	89.09 D	0.00	Sale
12/23/2020	1,000.00	1,079.85	Various	1,157.99	79.63 D	1.49	Sale
12/23/2020	1,000.00	1,079.85	Various	1,149.63	71.12 D	1.34	Sale
12/23/2020	1,645.00	1,727.01	Various	1,828.31	101.30 D	0.00	Sale
12/23/2020	2,000.00	2,099.71	Various	2,260.09	160.38 D	0.00	Sale
12/23/2020	2,000.00	1,954.11	Various	2,201.58	247.47 D	0.00	Sale

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APEX CLEARING

## Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B\*

OMB No. 1545-0715

2TZ05705

(continued)

01/24/2021

**SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS**

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

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JAGUAR HEALTH INC COMMON STOCK   CUSIP: 47010C409   Symbol: JAGX							
12/23/2020	200.00	217.97	Various	235.52	17.55 D	0.00	Sale
12/23/2020	200.00	217.97	Various	235.52	17.55 D	0.00	Sale
12/23/2020	300.00	326.95	Various	349.29	22.34 D	0.00	Sale
12/23/2020	300.00	326.95	Various	330.10	4.53 D	1.38	Sale
12/23/2020	1,000.00	1,070.15	Various	1,151.97	81.82 D	0.00	Sale
12/23/2020	1,000.00	1,080.15	Various	1,150.82	70.73 D	0.06	Sale
12/23/2020	2,000.00	2,099.71	Various	2,278.78	179.07 D	0.00	Sale
12/23/2020	2,000.00	2,109.71	Various	2,269.80	160.09 D	0.00	Sale
12/23/2020	2,000.00	2,139.91	Various	2,269.62	129.71 D	0.00	Sale
<b>Security Totals:</b>		<b>21,517.15</b>		<b>23,287.84</b>		<b>4.27</b>	
CBDMD INC COMMON STOCK   CUSIP: 12482W101   Symbol: YCBD							
05/18/2020	500.00	950.61	05/18/2020	957.50	0.00	-6.89	Sale
05/18/2020	1,500.00	2,849.75	05/18/2020	2,872.50	0.00	-22.75	Sale
<b>Security Totals:</b>		<b>3,800.36</b>		<b>3,830.00</b>		<b>-29.64</b>	
ALLIED HEALTHCARE PRODUCTS INC COMMON STOCK   CUSIP: 019222207   Symbol: AHPI							
03/03/2020	1.00	26.94	02/28/2020	21.75	0.00	5.19	Buy to Cover Short
03/03/2020	29.00	781.24	02/28/2020	630.75	0.00	150.49	Buy to Cover Short
03/03/2020	30.00	808.18	02/28/2020	840.00	31.82 D	0.00	Buy to Cover Short
03/03/2020	40.00	1,077.57	02/28/2020	1,120.00	42.43 D	0.00	Buy to Cover Short
03/03/2020	50.00	1,437.96	02/28/2020	935.00	0.00	502.96	Buy to Cover Short
03/03/2020	50.00	1,437.95	02/28/2020	882.50	0.00	555.45	Buy to Cover Short
03/05/2020	100.00	2,249.93	03/03/2020	1,830.00	0.00	419.93	Buy to Cover Short
03/05/2020	100.00	2,249.93	Various	1,904.25	0.00	345.68	Buy to Cover Short
11/12/2020	1,000.00	5,999.74	Various	6,124.48	0.00	-124.74	Sale
<b>Security Totals:</b>		<b>16,069.44</b>		<b>14,288.73</b>		<b>1,854.96</b>	
TAILORED BRANDS INC COM   CUSIP: 87403A107   Symbol: TLRD							
06/08/2020	2,000.00	4,159.66	Various	4,143.63	0.00	16.03	Sale

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APEX CLEARING

## Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B\*

OMB No. 1545-0715

2TZ05705

(continued)

01/24/2021

**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**

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***CHINA INDEX HOLDINGS LTD AMERICAN DEPOSITORY SHARES   CUSIP: 16954W101   Symbol: CIH							
10/20/2020	1,000.00	1,669.84	10/20/2020	1,800.00	0.00	-130.16	Sale
PDS BIOTECHNOLOGY CORPORATION COMMON STOCK   CUSIP: 70465T107   Symbol: PDSB							
07/17/2020	1,000.00	2,909.81	Various	3,058.25	0.00	-148.44	Sale
NIKOLA CORPORATION COMMON STOCK   CUSIP: 654110105   Symbol: NKLA							
06/04/2020	50.00	1,773.20	06/04/2020	1,704.80	0.00	68.40	Sale
06/04/2020	34.00	1,129.10	Various	1,093.16	0.00	35.94	Sale
06/04/2020	50.00	1,765.45	06/04/2020	1,699.50	0.00	65.95	Sale
06/04/2020	50.00	1,796.45	06/04/2020	1,704.79	0.00	91.66	Sale
06/04/2020	100.00	3,346.91	Various	3,286.02	0.00	60.89	Sale
06/04/2020	54.00	1,793.29	Various	1,736.19	0.00	57.10	Sale
06/04/2020	100.00	3,479.91	Various	3,425.19	0.00	54.72	Sale
06/04/2020	200.00	6,599.83	Various	6,683.00	83.17 D	0.00	Sale
06/04/2020	100.00	3,330.91	Various	3,357.10	26.19 D	0.00	Sale
06/04/2020	200.00	6,645.83	Various	6,570.00	0.00	75.83	Sale
06/04/2020	200.00	6,399.83	Various	6,397.17	0.17 D	2.83	Sale
06/04/2020	11.00	366.39	06/04/2020	367.40	1.01 D	0.00	Sale
06/04/2020	18.00	634.47	06/04/2020	611.82	0.00	22.65	Sale
06/04/2020	32.00	1,127.96	06/04/2020	1,087.68	0.00	40.28	Sale
06/04/2020	89.00	2,964.51	06/04/2020	2,972.60	8.09 D	0.00	Sale
06/04/2020	100.00	3,337.41	06/04/2020	3,348.00	10.59 D	0.00	Sale
06/04/2020	100.00	3,333.91	06/04/2020	3,284.00	0.00	49.91	Sale
<b>Security Totals:</b>		<b>49,825.36</b>		<b>49,328.42</b>		<b>626.16</b>	
HANCOCK JAFFE LABORATORIES INC COMMON STOCK   CUSIP: 41015N304   Symbol: HJLI							
12/14/2020	236.00	3,027.78	12/14/2020	3,105.76	66.08 D	-11.90	Sale
12/14/2020	64.00	820.45	12/14/2020	842.24	0.00	-21.79	Sale
12/15/2020	150.00	1,825.43	12/15/2020	1,879.56	0.00	-54.13	Sale
12/15/2020	50.00	649.47	12/15/2020	626.52	0.00	22.95	Sale
<b>Security Totals:</b>		<b>6,323.13</b>		<b>6,454.08</b>		<b>-64.87</b>	

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APEX CLEARING

## Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B\*

OMB No. 1545-0715

2TZ05705

(continued)

01/24/2021

**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>
QUANTUMSCAPE CORPORATION CLASS A COMMON STOCK   CUSIP: 74767V109   Symbol: QS							
12/29/2020	25.00	2,599.93	12/29/2020	2,530.00	0.00	69.93	Sale
12/29/2020	25.00	2,587.43	12/29/2020	2,547.77	0.00	39.66	Sale
12/29/2020	25.00	2,609.93	12/29/2020	2,530.00	0.00	79.93	Sale
12/29/2020	25.00	2,524.93	12/29/2020	2,540.75	15.82 D	0.00	Sale
12/29/2020	25.00	2,524.93	12/29/2020	2,557.70	32.77 D	0.00	Sale
12/29/2020	25.00	2,563.18	12/29/2020	2,530.00	0.00	33.18	Sale
<b>Security Totals:</b>		<b>15,410.33</b>		<b>15,236.22</b>		<b>222.70</b>	
APPLIED UV INC COMMON STOCK   CUSIP: 03828V105   Symbol: AUVI							
09/08/2020	1.00	7.03	09/08/2020	7.25	0.00	-0.22	Sale
09/08/2020	3.00	21.13	09/08/2020	21.75	0.00	-0.62	Sale
09/08/2020	7.00	49.33	09/08/2020	50.75	0.00	-1.42	Sale
09/08/2020	10.00	70.98	09/08/2020	72.50	0.00	-1.52	Sale
09/08/2020	25.00	176.23	09/08/2020	181.25	0.00	-5.02	Sale
09/08/2020	20.00	140.98	09/08/2020	145.00	0.00	-4.02	Sale
09/08/2020	50.00	354.98	09/08/2020	362.50	0.00	-7.52	Sale
09/08/2020	50.00	354.98	09/08/2020	362.50	0.00	-7.52	Sale
09/08/2020	50.00	352.98	09/08/2020	362.50	0.00	-9.52	Sale
09/08/2020	52.00	366.58	09/08/2020	377.00	0.00	-10.42	Sale
09/08/2020	265.00	1,868.17	09/08/2020	1,921.25	0.00	-53.08	Sale
09/08/2020	467.00	3,301.55	09/08/2020	3,385.75	0.00	-84.20	Sale
<b>Security Totals:</b>		<b>7,064.92</b>		<b>7,250.00</b>		<b>-185.08</b>	
JOUNCE THERAPEUTICS INC COMMON STOCK   CUSIP: 481116101   Symbol: JNCE							
09/16/2020	100.00	971.96	09/16/2020	1,046.74	0.00	-74.78	Sale
09/16/2020	100.00	974.96	09/16/2020	1,046.74	0.00	-71.78	Sale
09/16/2020	100.00	973.96	Various	1,057.21	0.00	-83.25	Sale
09/16/2020	100.00	974.96	Various	1,057.25	0.00	-82.29	Sale
09/16/2020	100.00	973.96	Various	1,057.29	0.00	-83.33	Sale
09/17/2020	1,000.00	10,720.63	Various	11,100.00	379.37 D	0.00	Buy to Cover Short

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APEX CLEARING

## Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B\*

OMB No. 1545-0715

2TZ05705

(continued)

01/24/2021

**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>
JOUNCE THERAPEUTICS INC COMMON STOCK   CUSIP: 481116101   Symbol: JNCE							
09/17/2020	1.00	10.53	09/15/2020	11.07	0.54 D	0.00	Buy to Cover Short
09/17/2020	1,000.00	10,549.61	Various	10,979.37	429.76 D	0.00	Buy to Cover Short
09/17/2020	1.00	10.54	09/15/2020	11.07	0.53 D	0.00	Buy to Cover Short
09/17/2020	1.00	10.53	09/15/2020	11.07	0.54 D	0.00	Buy to Cover Short
09/17/2020	1.00	10.54	09/15/2020	11.07	0.53 D	0.00	Buy to Cover Short
09/17/2020	5.00	52.67	09/15/2020	55.36	2.69 D	0.00	Buy to Cover Short
09/17/2020	5.00	52.67	09/15/2020	55.35	2.68 D	0.00	Buy to Cover Short
09/17/2020	95.00	1,000.79	Various	1,051.64	50.85 D	0.00	Buy to Cover Short
09/17/2020	95.00	1,000.80	Various	1,051.62	50.82 D	0.00	Buy to Cover Short
09/17/2020	100.00	1,053.46	09/15/2020	1,106.97	53.51 D	0.00	Buy to Cover Short
09/17/2020	95.00	1,000.79	Various	1,051.63	50.84 D	0.00	Buy to Cover Short
09/17/2020	300.00	3,160.40	Various	3,320.91	160.51 D	0.00	Buy to Cover Short
09/17/2020	100.00	1,053.46	Various	1,106.98	53.52 D	0.00	Buy to Cover Short
09/17/2020	1,201.00	12,652.11	Various	13,304.59	652.48 D	0.00	Buy to Cover Short
09/17/2020	2,000.00	21,255.28	Various	21,992.48	325.23 D	-411.97	Buy to Cover Short
<b>Security Totals:</b>		<b>68,464.61</b>		<b>71,486.41</b>		<b>-807.40</b>	
YOUNGVEITY INTERNATIONAL INC COMMON STOCK   CUSIP: 987537206   Symbol: YGYI							
04/13/2020	100.00	225.88	Various	190.00	0.00	35.88	Buy to Cover Short
04/13/2020	15.00	33.89	04/08/2020	28.50	0.00	5.39	Buy to Cover Short
04/13/2020	500.00	1,125.93	Various	950.00	0.00	175.93	Buy to Cover Short
<b>Security Totals:</b>		<b>1,385.70</b>		<b>1,168.50</b>		<b>217.20</b>	
AILERON THERAPEUTICS INC COMMON STOCK   CUSIP: 00887A105   Symbol: ALRN							
08/05/2020	500.00	819.92	08/05/2020	750.00	0.00	69.92	Sale
08/05/2020	500.00	794.92	08/05/2020	750.00	0.00	44.92	Sale
08/05/2020	1,000.00	1,559.84	08/05/2020	1,500.00	0.00	59.84	Sale
08/05/2020	1,000.00	1,579.84	08/05/2020	1,500.00	0.00	79.84	Sale
08/05/2020	1,000.00	1,502.84	08/05/2020	1,500.00	0.00	2.84	Sale

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**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
08/05/2020	1,000.00	1,499.84	08/05/2020	1,500.00	0.00	-0.16	Sale
<b>Security Totals:</b>		<b>7,757.20</b>		<b>7,500.00</b>		<b>257.20</b>	
TWITTER INC   CUSIP: 90184L102   Symbol: TWTR							
05/15/2020	500.00	14,501.16	05/15/2020	14,539.30	0.00	-38.14	Sale
AT HOME GROUP INC COMMON STOCK PAR VALUE \$0.01 PER SHARE   CUSIP: 04650Y100   Symbol: HOME							
07/30/2020	5.00	66.48	07/30/2020	67.00	0.52 D	0.00	Sale
07/30/2020	20.00	264.58	07/30/2020	268.41	0.00	-3.83	Sale
07/30/2020	25.00	332.48	07/30/2020	335.00	2.52 D	0.00	Sale
07/30/2020	109.00	1,449.65	Various	1,463.64	13.99 D	0.00	Sale
07/30/2020	300.00	3,989.87	Various	4,027.03	37.16 D	0.00	Sale
07/30/2020	480.00	6,350.19	Various	6,456.52	0.00	-106.33	Sale
07/30/2020	561.00	7,393.74	07/30/2020	7,517.40	123.66 D	0.00	Sale
07/30/2020	100.00	1,273.96	Various	1,310.72	36.76 D	0.00	Sale
07/30/2020	400.00	5,099.83	Various	5,229.39	0.00	-129.56	Sale
<b>Security Totals:</b>		<b>26,220.78</b>		<b>26,675.11</b>		<b>-239.72</b>	
ADVANTAGE TECHNOLOGIES GROUP INC   CUSIP: 006743306   Symbol: AEY							
02/25/2020	2,200.00	9,387.51	Various	9,460.02	72.51 D	0.00	Buy to Cover Short
02/25/2020	100.00	429.98	02/21/2020	430.00	0.02 D	0.00	Buy to Cover Short
02/25/2020	200.00	841.96	02/21/2020	860.04	18.08 D	0.00	Buy to Cover Short
02/25/2020	1,500.00	7,064.66	Various	7,951.96	0.00	-887.30	Sale
02/27/2020	22.00	134.41	02/25/2020	113.75	0.00	20.66	Buy to Cover Short
02/27/2020	50.00	305.37	Various	258.52	0.00	46.85	Buy to Cover Short
02/27/2020	31.00	174.83	02/25/2020	192.21	17.38 D	0.00	Buy to Cover Short
02/27/2020	81.00	456.82	02/25/2020	504.65	47.83 D	0.00	Buy to Cover Short
02/27/2020	94.00	572.43	02/25/2020	486.02	0.00	86.41	Buy to Cover Short
02/27/2020	100.00	563.98	02/25/2020	621.02	57.04 D	0.00	Buy to Cover Short
02/27/2020	100.00	563.98	02/25/2020	623.02	59.04 D	0.00	Buy to Cover Short
02/27/2020	100.00	563.98	02/25/2020	623.02	59.04 D	0.00	Buy to Cover Short
02/27/2020	100.00	563.97	02/25/2020	622.02	58.05 D	0.00	Buy to Cover Short

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APEX CLEARING

## Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B\*

OMB No. 1545-0715

2TZ05705

(continued)

01/24/2021

**SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS**

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

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ADDVANTAGE TECHNOLOGIES GROUP INC   CUSIP: 006743306   Symbol: AEY							
02/27/2020	100.00	563.98	02/25/2020	623.02	59.04 D	0.00	Buy to Cover Short
02/27/2020	100.00	563.97	02/25/2020	623.02	59.05 D	0.00	Buy to Cover Short
02/27/2020	100.00	563.98	02/25/2020	623.02	59.04 D	0.00	Buy to Cover Short
02/27/2020	100.00	563.97	02/25/2020	623.03	59.06 D	0.00	Buy to Cover Short
02/27/2020	100.00	563.98	02/25/2020	622.02	58.04 D	0.00	Buy to Cover Short
02/27/2020	169.00	953.12	02/25/2020	1,047.84	94.72 D	0.00	Buy to Cover Short
02/27/2020	200.00	1,127.95	Various	1,262.36	134.41 D	0.00	Buy to Cover Short
02/27/2020	169.00	953.12	Various	1,063.05	109.93 D	0.00	Buy to Cover Short
02/27/2020	200.00	1,127.95	02/25/2020	1,264.04	136.09 D	0.00	Buy to Cover Short
02/27/2020	250.00	1,409.93	02/25/2020	1,577.56	167.63 D	0.00	Buy to Cover Short
02/27/2020	334.00	2,039.15	Various	1,874.00	0.00	165.15	Buy to Cover Short
02/27/2020	500.00	3,046.37	Various	2,749.22	0.00	297.15	Buy to Cover Short
<b>Security Totals:</b>		<b>35,101.35</b>		<b>36,698.43</b>		<b>-271.08</b>	
ASPEN AEROGELS INC   CUSIP: 04523Y105   Symbol: ASPN							
10/01/2020	500.00	5,864.81	Various	5,925.00	60.19 D	0.00	Sale
10/01/2020	500.00	5,894.80	Various	6,044.08	0.00	-149.28	Sale
<b>Security Totals:</b>		<b>11,759.61</b>		<b>11,969.08</b>		<b>-149.28</b>	
HERTZ GLOBAL HOLDINGS INC COMMON STOCK   CUSIP: 42806J106   Symbol: HTZ							
05/05/2020	381.00	1,154.35	05/05/2020	1,146.81	0.00	7.54	Sale
05/05/2020	660.00	1,999.67	Various	1,990.29	2.88 D	12.26	Sale
05/05/2020	959.00	2,905.59	Various	2,975.78	70.19 D	0.00	Sale
06/04/2020	100.00	116.98	Various	114.34	0.60 D	3.24	Sale
06/04/2020	400.00	695.93	Various	572.00	0.00	123.93	Sale
06/04/2020	100.00	173.98	06/04/2020	143.00	0.00	30.98	Sale
06/04/2020	900.00	1,052.86	06/04/2020	1,003.50	0.00	49.36	Sale
06/04/2020	1,000.00	1,219.85	06/04/2020	1,115.00	0.00	104.85	Sale
06/04/2020	1,000.00	1,219.85	06/04/2020	1,115.00	0.00	104.85	Sale
06/04/2020	1,000.00	1,199.85	06/04/2020	1,115.00	0.00	84.85	Sale

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**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)

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HERTZ GLOBAL HOLDINGS INC COMMON STOCK   CUSIP: 42806J106   Symbol: HTZ							
06/04/2020	2,000.00	2,959.69	06/04/2020	3,036.60	76.91 D	0.00	Sale
06/04/2020	5,000.00	5,349.28	Various	5,320.19	51.15 D	80.24	Sale
06/04/2020	800.00	1,263.95	06/04/2020	1,112.00	0.00	151.95	Sale
06/04/2020	500.00	904.96	06/04/2020	715.00	0.00	189.96	Sale
06/04/2020	200.00	316.27	06/04/2020	278.00	0.00	38.27	Sale
06/04/2020	1,000.00	1,121.45	Various	1,121.44	2.84 D	2.85	Sale
06/04/2020	1,000.00	1,222.25	06/04/2020	1,115.00	0.00	107.25	Sale
06/04/2020	1,000.00	1,599.84	Various	1,429.96	0.00	169.88	Sale
06/04/2020	1,000.00	1,594.84	Various	1,390.60	0.00	204.24	Sale
06/04/2020	2,000.00	2,219.91	Various	2,140.58	0.00	79.33	Sale
06/04/2020	2,000.00	2,223.71	Various	2,140.57	0.00	83.14	Sale
06/04/2020	5,000.00	5,349.28	Various	5,401.15	51.87 D	0.00	Sale
06/04/2020	5,000.00	5,349.28	Various	5,401.87	52.59 D	0.00	Sale
06/05/2020	11.00	31.99	Various	31.28	0.00	0.71	Sale
06/05/2020	12.00	34.90	Various	34.09	0.00	0.81	Sale
06/05/2020	14.00	43.94	06/05/2020	48.15	4.21 D	0.00	Sale
06/05/2020	200.00	569.96	06/05/2020	599.89	29.93 D	0.00	Sale
06/05/2020	200.00	581.96	Various	569.57	0.00	12.39	Sale
06/05/2020	200.00	571.96	Various	585.36	13.40 D	0.00	Sale
06/05/2020	277.00	806.02	Various	790.96	0.00	15.06	Sale
06/05/2020	400.00	1,027.92	Various	1,083.55	55.63 D	0.00	Sale
06/05/2020	300.00	857.94	Various	880.44	22.50 D	0.00	Sale
06/05/2020	600.00	1,541.89	Various	1,631.19	89.30 D	0.00	Sale
06/05/2020	486.00	1,525.94	Various	1,671.63	145.69 D	0.00	Sale
06/05/2020	300.00	854.94	Various	899.82	44.88 D	0.00	Sale
06/05/2020	1,000.00	2,569.82	06/05/2020	2,718.65	148.83 D	0.00	Sale
06/05/2020	2.00	5.16	06/05/2020	5.34	0.18 D	0.00	Sale

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**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 - DateSold 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
HERTZ GLOBAL HOLDINGS INC COMMON STOCK   CUSIP: 42806J106   Symbol: HTZ							
06/05/2020	2,000.00	4,999.64	Various	5,554.14	554.50 D	0.00	Sale
06/05/2020	2.00	5.80	06/05/2020	5.86	0.06 D	0.00	Sale
06/05/2020	5.00	12.93	06/05/2020	13.34	0.41 D	0.00	Sale
06/05/2020	15.00	38.83	06/05/2020	40.03	1.2 D	0.00	Sale
06/05/2020	17.00	49.45	06/05/2020	49.80	0.35 D	0.00	Sale
06/05/2020	25.00	63.48	Various	67.78	4.30 D	0.00	Sale
06/05/2020	30.00	77.68	06/05/2020	80.05	2.37 D	0.00	Sale
06/05/2020	40.00	103.58	Various	107.03	3.45 D	0.00	Sale
06/05/2020	50.00	129.48	06/05/2020	133.92	4.44 D	0.00	Sale
06/05/2020	100.00	258.98	Various	283.39	24.41 D	0.00	Sale
06/05/2020	110.00	284.88	Various	312.32	27.44 D	0.00	Sale
06/05/2020	122.00	315.96	06/05/2020	346.39	30.43 D	0.00	Sale
06/05/2020	150.00	388.47	Various	427.32	38.85 D	0.00	Sale
06/05/2020	195.00	505.01	06/05/2020	522.30	17.29 D	0.00	Sale
06/05/2020	200.00	579.96	Various	613.87	33.91 D	0.00	Sale
06/05/2020	218.00	564.57	Various	621.13	56.56 D	0.00	Sale
06/05/2020	300.00	776.94	Various	854.76	77.82 D	0.00	Sale
06/05/2020	300.00	869.94	Various	920.81	50.87 D	0.00	Sale
06/05/2020	475.00	1,206.41	Various	1,292.73	86.32 D	0.00	Sale
06/05/2020	481.00	1,399.61	Various	1,409.15	9.54 D	0.00	Sale
06/05/2020	500.00	1,454.90	Various	1,534.69	79.79 D	0.00	Sale
06/05/2020	600.00	1,547.89	06/05/2020	1,607.08	59.19 D	0.00	Sale
06/05/2020	1,000.00	2,589.82	06/05/2020	2,879.19	289.37 D	0.00	Sale
06/05/2020	1,063.00	2,742.34	06/05/2020	2,847.20	104.86 D	0.00	Sale
06/05/2020	1,500.00	3,809.73	Various	4,093.25	283.52 D	0.00	Sale
06/11/2020	5,000.00	11,249.65	Various	11,639.30	389.65 D	0.00	Sale
06/17/2020	100.00	225.48	06/17/2020	230.96	5.48 D	0.00	Sale

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APEX CLEARING

## Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B\*

OMB No. 1545-0715

2TZ05705

(continued)

01/24/2021

**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>
HERTZ GLOBAL HOLDINGS INC COMMON STOCK   CUSIP: 42806J106   Symbol: HTZ							
06/17/2020	1,800.00	4,049.70	Various	4,093.61	123.86 D	79.95	Sale
06/17/2020	100.00	225.48	06/17/2020	214.99	0.00	10.49	Sale
06/17/2020	2,000.00	3,979.67	06/17/2020	4,039.93	60.26 D	0.00	Sale
06/24/2020	5,000.00	9,749.18	Various	10,150.72	401.54 D	0.00	Sale
06/24/2020	5,000.00	9,549.18	Various	10,151.54	0.00	-602.36	Sale
06/24/2020	1,000.00	2,049.83	06/24/2020	2,119.96	70.13 D	0.00	Sale
06/24/2020	1,000.00	2,049.83	Various	2,219.34	169.51 D	0.00	Sale
06/24/2020	5,000.00	9,799.18	Various	10,149.90	350.72 D	0.00	Sale
10/19/2020	1,000.00	2,889.81	10/19/2020	2,980.00	90.19 D	0.00	Sale
10/19/2020	1,000.00	2,889.81	Various	3,150.08	0.00	-260.27	Sale
10/19/2020	70.00	202.29	Various	214.88	12.59 D	0.00	Sale
10/19/2020	225.00	650.22	10/19/2020	690.75	40.53 D	0.00	Sale
10/19/2020	300.00	866.97	10/19/2020	921.00	54.03 D	0.00	Sale
10/19/2020	405.00	1,170.41	10/19/2020	1,243.34	72.93 D	0.00	Sale
<b>Security Totals:</b>		<b>140,610.93</b>		<b>144,271.43</b>		<b>885.75</b>	
PRECIGEN INC COMMON STOCK   CUSIP: 74017N105   Symbol: PGEN							
06/10/2020	3.00	13.00	06/10/2020	13.08	0.00	-0.08	Sale
06/10/2020	497.00	2,151.90	06/10/2020	2,166.92	0.00	-15.02	Sale
<b>Security Totals:</b>		<b>2,164.90</b>		<b>2,180.00</b>		<b>-15.10</b>	
CASSAVA SCIENCES INC COMMON STOCK   CUSIP: 14817C107   Symbol: SAVA							
09/11/2020	1.00	3.93	09/11/2020	4.25	0.32 D	0.00	Sale
09/11/2020	2.00	7.64	09/11/2020	8.50	0.86 D	0.00	Sale
09/11/2020	50.00	191.48	09/11/2020	212.52	21.04 D	0.00	Sale
09/11/2020	50.00	191.48	Various	212.51	21.03 D	0.00	Sale
09/11/2020	50.00	197.48	09/11/2020	212.51	15.03 D	0.00	Sale
09/11/2020	100.00	382.98	Various	425.07	42.09 D	0.00	Sale
09/11/2020	106.00	407.02	Various	450.55	43.53 D	0.00	Sale
09/11/2020	100.00	381.98	Various	428.04	46.06 D	0.00	Sale

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**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)

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

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**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
CASSAVA SCIENCES INC COMMON STOCK   CUSIP: 14817C107   Symbol: SAVA							
09/11/2020	100.00	380.98	09/11/2020	431.05	50.07 D	0.00	Sale
09/11/2020	150.00	592.46	Various	637.53	45.07 D	0.00	Sale
09/11/2020	200.00	765.96	Various	862.09	96.13 D	0.00	Sale
09/11/2020	150.00	572.96	Various	646.42	73.46 D	0.00	Sale
09/11/2020	200.00	789.96	Various	850.04	60.08 D	0.00	Sale
09/11/2020	200.00	765.96	Various	832.24	66.28 D	0.00	Sale
09/11/2020	200.00	765.96	Various	871.66	105.70 D	0.00	Sale
09/11/2020	250.00	972.44	Various	1,062.56	90.12 D	0.00	Sale
09/11/2020	242.00	941.32	09/11/2020	1,028.55	87.23 D	0.00	Sale
09/11/2020	250.00	972.44	Various	1,032.57	60.13 D	0.00	Sale
09/11/2020	1,100.00	4,344.77	Various	4,510.00	165.23 D	0.00	Sale
09/14/2020	20.00	132.78	09/14/2020	145.34	12.56 D	0.00	Sale
09/14/2020	30.00	199.18	Various	218.50	19.32 D	0.00	Sale
09/14/2020	50.00	331.98	Various	366.35	34.37 D	0.00	Sale
09/14/2020	100.00	663.97	Various	712.14	48.17 D	0.00	Sale
09/14/2020	100.00	663.97	Various	721.14	57.17 D	0.00	Sale
09/14/2020	100.00	663.97	Various	721.69	57.72 D	0.00	Sale
09/14/2020	100.00	663.97	Various	729.18	65.21 D	0.00	Sale
09/14/2020	100.00	663.97	Various	728.67	64.70 D	0.00	Sale
09/14/2020	100.00	663.97	Various	728.69	64.72 D	0.00	Sale
09/14/2020	300.00	1,991.91	Various	2,172.46	180.55 D	0.00	Sale
09/14/2020	1,000.00	6,829.72	Various	7,709.61	879.89 D	0.00	Sale
09/14/2020	1,000.00	6,629.73	Various	7,617.63	987.90 D	0.00	Sale
09/14/2020	100.00	637.97	Various	692.11	54.14 D	0.00	Sale
09/14/2020	100.00	685.47	Various	743.74	58.27 D	0.00	Sale
09/14/2020	100.00	684.97	Various	775.89	90.92 D	0.00	Sale
09/14/2020	100.00	685.47	Various	787.27	101.80 D	0.00	Sale

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**SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS**

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

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1c - DateSold 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
CASSAVA SCIENCES INC COMMON STOCK   CUSIP: 14817C107   Symbol: SAVA							
09/14/2020	200.00	1,275.95	Various	1,400.78	124.83 D	0.00	Sale
09/14/2020	200.00	1,275.95	Various	1,415.80	139.85 D	0.00	Sale
09/14/2020	500.00	3,184.86	Various	3,504.87	320.01 D	0.00	Sale
09/14/2020	700.00	4,794.81	Various	5,470.11	675.30 D	0.00	Sale
09/14/2020	1,000.00	6,183.94	Various	6,835.64	651.70 D	0.00	Sale
09/18/2020	5.00	50.61	09/18/2020	51.05	0.44 D	0.00	Sale
09/18/2020	45.00	455.37	09/18/2020	459.48	4.11 D	0.00	Sale
09/18/2020	100.00	1,026.96	Various	1,135.34	108.38 D	0.00	Sale
09/18/2020	100.00	1,011.96	09/18/2020	1,021.06	9.1 D	0.00	Sale
09/18/2020	100.00	1,026.96	Various	1,130.83	103.87 D	0.00	Sale
09/18/2020	100.00	1,011.96	09/18/2020	1,021.07	9.11 D	0.00	Sale
09/18/2020	100.00	985.96	09/18/2020	1,008.06	22.1 D	0.00	Sale
09/18/2020	250.00	2,527.41	Various	2,755.14	227.73 D	0.00	Sale
09/18/2020	250.00	2,529.91	Various	2,753.42	223.51 D	0.00	Sale
09/18/2020	250.00	2,524.91	Various	2,636.39	111.48 D	0.00	Sale
09/18/2020	250.00	2,532.41	Various	2,549.66	17.25 D	0.00	Sale
09/18/2020	250.00	2,527.41	Various	2,780.77	253.36 D	0.00	Sale
09/18/2020	250.00	2,527.41	Various	2,536.58	9.17 D	0.00	Sale
09/18/2020	800.00	8,207.71	Various	8,324.77	117.06 D	0.00	Sale
09/18/2020	900.00	8,873.69	Various	9,829.43	955.74 D	0.00	Sale
09/18/2020	1,000.00	9,809.66	Various	10,497.69	0.00	-688.03	Sale
09/18/2020	1,000.00	9,839.66	Various	10,826.51	854.98 D	-131.87	Sale
09/18/2020	100.00	1,010.96	Various	1,107.28	96.32 D	0.00	Sale
09/18/2020	100.00	987.46	Various	1,095.87	108.41 D	0.00	Sale
09/18/2020	100.00	986.96	Various	1,096.38	109.42 D	0.00	Sale
09/18/2020	150.00	1,514.94	Various	1,641.28	126.34 D	0.00	Sale
09/18/2020	800.00	7,887.72	Various	8,115.84	228.12 D	0.00	Sale

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APEX CLEARING

Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B\*

OMB No. 1545-0715

2TZ05705

(continued)

01/24/2021

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)

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Box 12: Basis Reported to the IRS

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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
CASSAVA SCIENCES INC COMMON STOCK   CUSIP: 14817C107   Symbol: SAVA							
09/18/2020	1,000.00	10,079.65	Various	10,962.95	883.30 D	0.00	Sale
09/22/2020	300.00	2,927.90	09/18/2020	2,856.00	0.00	71.90	Buy to Cover Short
09/22/2020	1,000.00	9,750.06	Various	9,900.25	150.19 D	0.00	Buy to Cover Short
09/22/2020	1,000.00	9,611.65	Various	9,620.00	50.25 D	41.90	Buy to Cover Short
09/22/2020	400.00	3,903.86	Various	3,840.00	0.00	63.86	Buy to Cover Short
09/22/2020	1,000.00	9,869.66	Various	10,050.19	180.53 D	0.00	Buy to Cover Short
09/25/2020	200.00	2,189.93	Various	2,219.80	0.00	-29.87	Sale
09/25/2020	800.00	8,760.50	Various	9,553.86	0.00	-793.36	Sale
<b>Security Totals:</b>		<b>180,088.92</b>		<b>192,293.22</b>		<b>-1,465.47</b>	
ON DECK CAPITAL INC COM   CUSIP: 682163100   Symbol: ONDK							
07/29/2020	7.00	9.43	07/29/2020	9.66	0.00	-0.23	Sale
07/29/2020	200.00	269.99	07/29/2020	276.00	0.00	-6.01	Sale
07/29/2020	100.00	134.99	07/29/2020	138.00	0.00	-3.01	Sale
07/29/2020	2,693.00	3,638.64	07/29/2020	3,716.34	0.00	-77.70	Sale
<b>Security Totals:</b>		<b>4,053.05</b>		<b>4,140.00</b>		<b>-86.95</b>	
EQUILLIUM INC COMMON STOCK   CUSIP: 29446K106   Symbol: EQ							
07/13/2020	5.00	129.43	07/13/2020	132.45	3.02 D	0.00	Sale
07/13/2020	10.00	241.28	Various	263.74	22.46 D	0.00	Sale
07/13/2020	20.00	517.77	07/13/2020	529.80	12.03 D	0.00	Sale
07/13/2020	40.00	966.36	Various	1,081.85	115.49 D	0.00	Sale
07/13/2020	50.00	1,206.46	07/13/2020	1,371.61	165.15 D	0.00	Sale
07/13/2020	75.00	1,865.94	07/13/2020	1,986.75	120.81 D	0.00	Sale
07/13/2020	100.00	2,484.93	Various	2,824.10	339.17 D	0.00	Sale
07/13/2020	100.00	2,400.93	Various	2,634.13	233.20 D	0.00	Sale
07/13/2020	100.00	2,440.93	Various	2,625.06	184.13 D	0.00	Sale
07/13/2020	200.00	5,003.86	Various	5,417.17	0.00	-413.31	Sale
11/11/2020	1,000.00	5,499.75	Various	5,590.00	90.25 D	0.00	Sale

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APEX CLEARING

## Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B\*

OMB No. 1545-0715

2TZ05705

(continued)

01/24/2021

**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**

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EQUILLIUM INC COMMON STOCK   CUSIP: 29446K106   Symbol: EQ							
11/11/2020	1,000.00	5,279.76	Various	5,680.25	0.00	-400.49	Sale
<b>Security Totals:</b>		<b>28,037.40</b>		<b>30,136.91</b>		<b>-813.80</b>	
***IMMURON LIMITED AMERICAN DEPOSITARY SHARES   CUSIP: 45254U101   Symbol: IMRN							
06/19/2020	6.00	68.98	Various	71.94	2.96 D	0.00	Sale
06/19/2020	10.00	117.98	06/19/2020	122.41	4.43 D	0.00	Sale
06/19/2020	15.00	176.98	Various	187.60	10.62 D	0.00	Sale
06/19/2020	75.00	884.97	Various	935.71	50.74 D	0.00	Sale
06/19/2020	100.00	1,174.96	Various	1,201.96	27.00 D	0.00	Sale
06/19/2020	100.00	1,179.96	Various	1,246.04	66.08 D	0.00	Sale
06/19/2020	100.00	1,179.96	Various	1,231.35	51.39 D	0.00	Sale
06/19/2020	194.00	2,279.42	Various	2,353.06	73.64 D	0.00	Sale
06/19/2020	300.00	3,524.88	Various	3,810.26	0.00	-285.38	Sale
06/23/2020	13.00	148.28	Various	149.37	1.09 D	0.00	Buy to Cover Short
06/23/2020	17.00	188.98	Various	196.86	7.88 D	0.00	Buy to Cover Short
06/23/2020	24.00	273.59	06/19/2020	275.76	2.17 D	0.00	Buy to Cover Short
06/23/2020	55.00	610.47	Various	636.92	26.45 D	0.00	Buy to Cover Short
06/23/2020	76.00	866.37	06/19/2020	873.24	6.87 D	0.00	Buy to Cover Short
06/23/2020	100.00	1,111.54	Various	1,158.05	46.51 D	0.00	Buy to Cover Short
06/23/2020	128.00	1,421.17	Various	1,484.47	63.30 D	0.00	Buy to Cover Short
06/23/2020	187.00	2,131.72	Various	2,149.00	17.28 D	0.00	Buy to Cover Short
06/23/2020	300.00	3,258.76	Various	3,469.75	0.00	-210.99	Buy to Cover Short
06/23/2020	100.00	1,199.96	Various	1,280.60	80.64 D	0.00	Buy to Cover Short
06/23/2020	200.00	2,419.90	Various	2,559.61	139.71 D	0.00	Buy to Cover Short
<b>Security Totals:</b>		<b>24,218.83</b>		<b>25,393.96</b>		<b>-496.37</b>	
REVLON INC CL A   CUSIP: 761525609   Symbol: REV							
11/12/2020	40.00	476.57	11/12/2020	485.21	0.00	-8.64	Sale
11/12/2020	400.00	4,765.84	Various	4,857.02	0.00	-91.18	Sale
11/12/2020	560.00	6,672.18	Various	6,754.20	0.00	-82.02	Sale

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**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

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**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
REVLON INC CL A   CUSIP: 761525609   Symbol: REV							
11/12/2020	1,000.00	11,469.62	Various	11,555.00	85.38 D	0.00	Sale
<b>Security Totals:</b>		<b>23,384.21</b>		<b>23,651.43</b>		<b>-181.84</b>	
ALLENA PHARMACEUTICALS INC COMMON STOCK   CUSIP: 018119107   Symbol: ALNA							
07/17/2020	36.00	80.08	07/17/2020	78.85	0.00	1.23	Sale
07/17/2020	100.00	222.08	07/17/2020	219.02	0.00	3.06	Sale
07/17/2020	100.00	222.08	07/17/2020	219.02	0.00	3.06	Sale
07/17/2020	100.00	221.08	07/17/2020	224.00	0.00	-2.92	Sale
07/17/2020	100.00	221.08	07/17/2020	224.00	0.00	-2.92	Sale
07/17/2020	200.00	442.29	07/17/2020	448.00	0.00	-5.71	Sale
07/17/2020	400.00	884.17	07/17/2020	896.00	0.00	-11.83	Sale
07/17/2020	400.00	884.33	07/17/2020	896.00	0.00	-11.67	Sale
07/17/2020	800.00	1,769.14	07/17/2020	1,792.00	0.00	-22.86	Sale
07/17/2020	1,764.00	3,917.54	Various	3,863.45	0.00	54.09	Sale
07/17/2020	2,000.00	4,359.66	Various	4,380.00	20.34 D	0.00	Sale
09/30/2020	13.00	20.00	09/30/2020	21.83	1.83 D	0.00	Sale
09/30/2020	37.00	56.96	09/30/2020	62.15	5.19 D	0.00	Sale
09/30/2020	50.00	76.98	09/30/2020	83.98	7 D	0.00	Sale
09/30/2020	200.00	296.17	Various	328.10	31.93 D	0.00	Sale
09/30/2020	100.00	153.98	Various	166.97	12.99 D	0.00	Sale
09/30/2020	200.00	307.97	Various	335.12	27.15 D	0.00	Sale
09/30/2020	200.00	307.97	09/30/2020	335.84	27.87 D	0.00	Sale
09/30/2020	500.00	809.92	Various	849.68	39.76 D	0.00	Sale
09/30/2020	500.00	834.92	Various	847.52	12.60 D	0.00	Sale
09/30/2020	500.00	809.92	09/30/2020	849.69	39.77 D	0.00	Sale
09/30/2020	1,800.00	2,663.73	Various	2,967.60	303.87 D	0.00	Sale
09/30/2020	700.00	1,077.89	Various	1,181.29	103.40 D	0.00	Sale
09/30/2020	2,000.00	3,079.69	09/30/2020	3,140.00	60.31 D	0.00	Sale
09/30/2020	700.00	1,077.89	09/30/2020	1,182.45	104.56 D	0.00	Sale

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APEX CLEARING

Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B\*

OMB No. 1545-0715

2TZ05705

(continued)

01/24/2021

**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)

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

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

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

1c - DateSold 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
ALLENA PHARMACEUTICALS INC COMMON STOCK   CUSIP: 018119107   Symbol: ALNA							
09/30/2020	2,044.00	3,129.05	Various	3,240.93	112.90 D	1.02	Sale
09/30/2020	2,956.00	4,525.18	Various	4,638.85	114.51 D	0.84	Sale
09/30/2020	2,000.00	2,999.69	09/30/2020	3,200.31	200.62 D	0.00	Sale
09/30/2020	100.00	150.98	09/30/2020	160.03	9.05 D	0.00	Sale
09/30/2020	100.00	150.98	09/30/2020	160.03	9.05 D	0.00	Sale
09/30/2020	100.00	150.98	09/30/2020	160.03	9.05 D	0.00	Sale
09/30/2020	100.00	149.99	09/30/2020	160.03	10.04 D	0.00	Sale
09/30/2020	100.00	170.98	Various	169.02	0.00	1.96	Sale
09/30/2020	100.00	170.98	Various	167.99	0.00	2.99	Sale
09/30/2020	200.00	324.97	Various	339.91	14.94 D	0.00	Sale
09/30/2020	100.00	161.98	Various	170.78	8.80 D	0.00	Sale
09/30/2020	300.00	512.94	Various	506.09	0.00	6.85	Sale
09/30/2020	200.00	323.97	09/30/2020	341.91	17.94 D	0.00	Sale
09/30/2020	1,600.00	2,401.99	09/30/2020	2,560.50	158.51 D	0.00	Sale
09/30/2020	5,000.00	7,449.23	Various	7,712.71	0.00	-263.48	Sale
<b>Security Totals:</b>		<b>47,571.41</b>		<b>49,281.68</b>		<b>-246.29</b>	
PREDICTIVE TECHNOLOGY GROUP INC COM   CUSIP: 74039H102   Symbol: PRED							
04/06/2020	1,300.00	1,622.21	Various	1,614.60	0.00	7.61	Sale
04/06/2020	100.00	125.78	04/03/2020	124.20	0.00	1.58	Sale
04/06/2020	100.00	126.78	04/03/2020	124.20	0.00	2.58	Sale
<b>Security Totals:</b>		<b>1,874.77</b>		<b>1,863.00</b>		<b>11.77</b>	
GEVO INC COMMON STOCK   CUSIP: 374396406   Symbol: GEVO							
08/20/2020	100.00	182.48	08/20/2020	182.00	0.00	0.48	Sale
08/20/2020	100.00	181.98	08/20/2020	182.00	0.02 D	0.00	Sale
08/20/2020	100.00	182.48	08/20/2020	182.00	0.00	0.48	Sale
08/20/2020	100.00	182.48	08/20/2020	182.00	0.00	0.48	Sale
08/20/2020	100.00	182.48	08/20/2020	182.00	0.00	0.48	Sale
08/20/2020	100.00	182.48	08/20/2020	182.00	0.00	0.48	Sale

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**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)

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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
GEVO INC COMMON STOCK   CUSIP: 374396406   Symbol: GEVO							
08/20/2020	100.00	182.48	08/20/2020	182.00	0.00	0.48	Sale
08/20/2020	100.00	182.48	08/20/2020	182.00	0.00	0.48	Sale
08/20/2020	100.00	182.48	08/20/2020	182.00	0.00	0.48	Sale
08/20/2020	100.00	182.48	08/20/2020	182.00	0.00	0.48	Sale
08/28/2020	2,000.00	2,799.69	Various	2,800.02	0.00	-0.33	Sale
<b>Security Totals:</b>		<b>4,623.99</b>		<b>4,620.02</b>		<b>3.99</b>	
MEI PHARMA INC   CUSIP: 55279B202   Symbol: MEIP							
04/14/2020	1,000.00	2,810.41	04/14/2020	2,940.00	0.00	-129.59	Sale
04/16/2020	5.00	15.25	04/14/2020	14.45	0.00	0.80	Buy to Cover Short
04/16/2020	100.00	304.98	04/14/2020	289.00	0.00	15.98	Buy to Cover Short
04/16/2020	95.00	289.73	04/14/2020	274.55	0.00	15.18	Buy to Cover Short
04/16/2020	100.00	294.98	04/14/2020	297.00	2.02 D	0.00	Buy to Cover Short
04/16/2020	100.00	294.98	04/14/2020	297.00	2.02 D	0.00	Buy to Cover Short
04/16/2020	200.00	609.96	04/14/2020	578.00	0.00	31.96	Buy to Cover Short
04/16/2020	100.00	294.98	04/14/2020	300.02	5.04 D	0.00	Buy to Cover Short
04/16/2020	100.00	294.98	04/14/2020	299.02	4.04 D	0.00	Buy to Cover Short
04/16/2020	185.00	545.71	Various	554.49	8.78 D	0.00	Buy to Cover Short
04/16/2020	100.00	304.98	04/14/2020	289.00	0.00	15.98	Buy to Cover Short
04/16/2020	500.00	1,524.91	04/14/2020	1,445.00	0.00	79.91	Buy to Cover Short
04/16/2020	735.00	2,187.31	Various	2,195.77	11.51 D	3.05	Buy to Cover Short
04/16/2020	680.00	2,046.68	Various	2,031.11	0.00	15.57	Buy to Cover Short
<b>Security Totals:</b>		<b>11,819.84</b>		<b>11,804.41</b>		<b>48.84</b>	
ACM RESEARCH INC CLASS A COMMON STOCK   CUSIP: 00108J109   Symbol: ACMR							
01/10/2020	43.00	1,094.32	01/08/2020	1,067.26	0.00	27.06	Buy to Cover Short
01/10/2020	63.00	1,603.31	01/08/2020	1,563.66	0.00	39.65	Buy to Cover Short
01/10/2020	94.00	2,392.24	01/08/2020	2,333.08	0.00	59.16	Buy to Cover Short
01/10/2020	200.00	5,109.87	01/08/2020	4,970.00	0.00	139.87	Buy to Cover Short

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**SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS**

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

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ACM RESEARCH INC CLASS A COMMON STOCK   CUSIP: 00108J109   Symbol: ACMR							
01/10/2020	100.00	2,548.92	Various	2,465.00	0.00	83.92	Buy to Cover Short
<b>Security Totals:</b>		<b>12,748.66</b>		<b>12,399.00</b>		<b>349.66</b>	
***HEXINDAI INC ADR   CUSIP: 428295208   Symbol: HX							
10/22/2020	100.00	267.98	10/22/2020	270.00	0.00	-2.02	Sale
10/22/2020	900.00	2,411.83	10/22/2020	2,430.00	0.00	-18.17	Sale
<b>Security Totals:</b>		<b>2,679.81</b>		<b>2,700.00</b>		<b>-20.19</b>	
TOCAGEN INC COMMON STOCK   CUSIP: 888846102   Symbol: TOCA							
02/21/2020	2,000.00	4,159.66	Various	4,118.42	0.00	41.24	Sale
02/24/2020	5,000.00	10,499.16	Various	11,400.00	900.84 D	0.00	Sale
02/24/2020	5,000.00	10,649.16	Various	11,850.84	1201.68 D	0.00	Sale
02/24/2020	10.00	22.78	Various	25.40	2.62 D	0.00	Sale
02/24/2020	100.00	227.98	Various	254.04	26.06 D	0.00	Sale
02/24/2020	100.00	227.98	Various	254.03	26.05 D	0.00	Sale
02/24/2020	500.00	1,139.91	Various	1,270.17	130.26 D	0.00	Sale
02/24/2020	2,000.00	3,839.67	Various	4,471.22	0.00	-631.55	Sale
02/24/2020	4,290.00	9,780.47	Various	10,898.04	336.05 D	-781.52	Sale
02/26/2020	2,500.00	5,629.75	Various	4,922.18	0.00	707.57	Buy to Cover Short
02/26/2020	50.00	108.74	02/24/2020	109.92	1.18 D	0.00	Buy to Cover Short
02/26/2020	83.00	185.08	02/24/2020	164.74	0.00	20.34	Buy to Cover Short
02/26/2020	100.00	222.98	02/24/2020	198.49	0.00	24.49	Buy to Cover Short
02/26/2020	100.00	222.93	Various	198.48	0.00	24.45	Buy to Cover Short
02/26/2020	100.00	222.86	02/24/2020	198.49	0.00	24.37	Buy to Cover Short
02/26/2020	100.00	222.86	02/24/2020	198.49	0.00	24.37	Buy to Cover Short
02/26/2020	100.00	222.86	Various	198.48	0.00	24.38	Buy to Cover Short
02/26/2020	100.00	222.86	02/24/2020	198.49	0.00	24.37	Buy to Cover Short
02/26/2020	100.00	222.87	02/24/2020	198.49	0.00	24.38	Buy to Cover Short
02/26/2020	100.00	222.86	Various	198.45	0.00	24.41	Buy to Cover Short
02/26/2020	100.00	222.86	02/24/2020	198.44	0.00	24.42	Buy to Cover Short

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**SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS**

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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
TOCAGEN INC COMMON STOCK   CUSIP: 888846102   Symbol: TOCA							
02/26/2020	100.00	222.86	02/24/2020	198.43	0.00	24.43	Buy to Cover Short
02/26/2020	100.00	222.86	02/24/2020	198.44	0.00	24.42	Buy to Cover Short
02/26/2020	100.00	222.87	02/24/2020	198.43	0.00	24.44	Buy to Cover Short
02/26/2020	100.00	222.27	Various	198.43	0.00	23.84	Buy to Cover Short
02/26/2020	108.00	234.88	02/24/2020	237.42	2.54 D	0.00	Buy to Cover Short
02/26/2020	400.00	883.85	Various	793.75	0.00	90.10	Buy to Cover Short
02/26/2020	500.00	1,084.66	Various	1,103.22	18.56 D	0.00	Buy to Cover Short
02/26/2020	717.00	1,584.44	Various	1,407.91	0.00	176.53	Buy to Cover Short
02/26/2020	1,000.00	2,164.83	Various	2,207.74	42.91 D	0.00	Buy to Cover Short
02/26/2020	1,000.00	2,164.84	02/24/2020	2,199.30	34.46 D	0.00	Buy to Cover Short
02/26/2020	1,085.00	2,348.84	02/24/2020	2,386.67	37.83 D	0.00	Buy to Cover Short
02/26/2020	1,257.00	2,721.20	02/24/2020	2,764.39	43.19 D	0.00	Buy to Cover Short
<b>Security Totals:</b>		<b>62,554.68</b>		<b>65,419.43</b>		<b>-60.52</b>	
MIMEDX GROUP INC COMMON STOCK   CUSIP: 602496101   Symbol: MDXG							
12/16/2020	20.00	166.98	12/16/2020	168.40	1.42 D	0.00	Sale
12/16/2020	20.00	166.58	12/16/2020	168.41	1.83 D	0.00	Sale
12/16/2020	100.00	843.47	Various	871.09	27.62 D	0.00	Sale
12/16/2020	100.00	842.97	Various	876.84	33.87 D	0.00	Sale
12/16/2020	100.00	842.97	Various	863.20	20.23 D	0.00	Sale
12/16/2020	100.00	834.97	Various	841.15	6.18 D	0.00	Sale
12/16/2020	100.00	832.97	Various	838.59	5.62 D	0.00	Sale
12/16/2020	100.00	834.97	Various	852.06	17.09 D	0.00	Sale
12/16/2020	100.00	834.97	Various	865.56	30.59 D	0.00	Sale
12/16/2020	100.00	834.97	Various	863.27	28.30 D	0.00	Sale
12/16/2020	100.00	834.97	Various	859.34	24.37 D	0.00	Sale
12/16/2020	100.00	832.97	Various	860.14	27.17 D	0.00	Sale
12/16/2020	100.00	842.97	Various	854.74	11.77 D	0.00	Sale
12/16/2020	100.00	842.97	Various	857.54	14.57 D	0.00	Sale

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APEX CLEARING

Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B\*

OMB No. 1545-0715

2TZ05705

(continued)

01/24/2021

SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

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MIMEDX GROUP INC COMMON STOCK   CUSIP: 602496101   Symbol: MDXG							
12/16/2020	100.00	834.97	12/16/2020	862.06	27.09 D	0.00	Sale
12/16/2020	100.00	834.97	12/16/2020	862.06	27.09 D	0.00	Sale
12/16/2020	200.00	1,724.94	12/16/2020	1,656.00	0.00	68.94	Sale
12/16/2020	200.00	1,707.94	Various	1,649.00	0.00	58.94	Sale
12/16/2020	200.00	1,669.94	Various	1,727.91	57.97 D	0.00	Sale
12/16/2020	200.00	1,719.94	12/16/2020	1,656.00	0.00	63.94	Sale
12/16/2020	200.00	1,713.94	Various	1,660.56	0.00	53.38	Sale
12/16/2020	500.00	4,217.34	Various	4,375.07	157.73 D	0.00	Sale
12/16/2020	100.00	842.97	Various	875.80	32.83 D	0.00	Sale
12/16/2020	100.00	841.97	Various	872.11	30.14 D	0.00	Sale
12/16/2020	860.00	7,146.34	Various	7,369.04	222.70 D	0.00	Sale
12/16/2020	100.00	841.97	Various	876.40	34.43 D	0.00	Sale
12/16/2020	100.00	841.97	Various	867.67	25.70 D	0.00	Sale
12/16/2020	100.00	841.97	Various	855.82	13.85 D	0.00	Sale
12/16/2020	200.00	1,721.54	12/16/2020	1,662.74	0.00	58.80	Sale
12/16/2020	1,118.00	9,033.11	Various	9,181.28	148.17 D	0.00	Sale
12/16/2020	882.00	7,143.94	Various	7,373.92	229.98 D	0.00	Sale
12/16/2020	1,500.00	12,614.54	Various	12,964.84	0.00	-350.30	Sale
<b>Security Totals:</b>		<b>66,684.00</b>		<b>67,988.61</b>		<b>-46.30</b>	
NEURONETICS INC COMMON STOCK   CUSIP: 64131A105   Symbol: STIM							
08/06/2020	1,000.00	3,399.80	Various	3,496.94	0.00	-97.14	Sale
PLUG POWER INC   CUSIP: 72919P202   Symbol: PLUG							
02/20/2020	100.00	559.97	02/20/2020	518.00	0.00	41.97	Sale
02/20/2020	300.00	1,679.92	02/20/2020	1,554.00	0.00	125.92	Sale
02/20/2020	200.00	1,119.95	02/20/2020	1,036.00	0.00	83.95	Sale
02/20/2020	400.00	2,239.90	02/20/2020	2,072.00	0.00	167.90	Sale
02/21/2020	2.00	11.12	02/21/2020	11.08	0.00	0.04	Sale
02/21/2020	2.00	11.12	02/21/2020	11.08	0.00	0.04	Sale

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APEX CLEARING

## Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B\*

OMB No. 1545-0715

2TZ05705

(continued)

01/24/2021

**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>
PLUG POWER INC   CUSIP: 72919P202   Symbol: PLUG							
02/21/2020	1,996.00	11,117.23	02/21/2020	11,057.64	0.00	59.59	Sale
06/25/2020	45.00	330.73	06/25/2020	334.70	3.97 D	0.00	Sale
06/25/2020	100.00	734.97	06/25/2020	743.77	8.8 D	0.00	Sale
06/25/2020	100.00	734.97	Various	747.84	12.87 D	0.00	Sale
06/25/2020	100.00	734.97	06/25/2020	752.80	17.83 D	0.00	Sale
06/25/2020	100.00	734.97	Various	758.22	23.25 D	0.00	Sale
06/25/2020	100.00	734.97	06/25/2020	764.83	29.86 D	0.00	Sale
06/25/2020	121.00	889.51	Various	934.71	45.20 D	0.00	Sale
06/25/2020	134.00	984.85	Various	1,043.59	58.74 D	0.00	Sale
06/25/2020	200.00	1,469.94	Various	1,571.60	101.66 D	0.00	Sale
06/25/2020	300.00	2,204.91	Various	2,315.66	110.75 D	0.00	Sale
06/25/2020	700.00	5,144.80	Various	5,276.75	0.00	-131.95	Sale
12/08/2020	250.00	6,867.31	12/08/2020	6,794.90	0.00	72.41	Sale
12/08/2020	250.00	6,864.81	12/08/2020	6,810.00	0.00	54.81	Sale
12/08/2020	250.00	6,865.06	12/08/2020	6,810.00	0.00	55.06	Sale
12/08/2020	500.00	13,749.63	Various	13,790.00	40.37 D	0.00	Sale
12/08/2020	250.00	6,852.31	12/08/2020	6,794.90	0.00	57.41	Sale
12/10/2020	500.00	13,729.63	12/08/2020	13,795.00	65.37 D	0.00	Buy to Cover Short
12/10/2020	500.00	14,399.59	Various	14,455.37	55.78 D	0.00	Buy to Cover Short
12/15/2020	69.00	1,960.23	Various	1,969.31	9.08 D	0.00	Sale
12/15/2020	100.00	2,840.92	12/15/2020	2,854.07	13.15 D	0.00	Sale
12/15/2020	1,831.00	51,944.10	Various	52,324.85	0.00	-380.75	Sale
<b>Security Totals:</b>		<b>157,512.39</b>		<b>157,902.67</b>		<b>206.40</b>	
IFRESH INC COMMON STOCK   CUSIP: 449538107   Symbol: IFMK							
03/13/2020	2,500.00	2,469.89	Various	2,877.35	407.46 D	0.00	Sale
03/17/2020	1,000.00	1,069.85	03/17/2020	1,091.75	21.9 D	0.00	Sale
03/17/2020	200.00	211.97	03/17/2020	218.35	6.38 D	0.00	Sale
03/17/2020	100.00	105.98	03/17/2020	109.17	3.19 D	0.00	Sale

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APEX CLEARING

Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B\*

OMB No. 1545-0715

2TZ05705

(continued)

01/24/2021

**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

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**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
IFRESH INC COMMON STOCK   CUSIP: 449538107   Symbol: IFMK							
03/17/2020	500.00	524.92	Various	546.37	8.38 D	-13.07	Sale
03/17/2020	200.00	211.97	03/17/2020	218.81	0.00	-6.84	Sale
03/19/2020	100.00	244.98	03/19/2020	220.19	0.00	24.79	Sale
03/19/2020	195.00	477.71	03/19/2020	429.37	0.00	48.34	Sale
03/19/2020	205.00	502.21	Various	480.21	0.00	22.00	Sale
03/19/2020	11.00	24.07	03/19/2020	24.22	0.00	-0.15	Sale
03/19/2020	500.00	1,224.91	Various	1,148.19	0.00	76.72	Sale
03/19/2020	989.00	2,165.74	Various	2,184.68	0.00	-18.94	Sale
<b>Security Totals:</b>		<b>9,234.20</b>		<b>9,548.66</b>		<b>132.85</b>	
CEMTREX INC COMMON STOCK   CUSIP: 15130G600   Symbol: CETX							
05/14/2020	826.00	782.92	Various	826.00	43.08 D	0.00	Sale
05/14/2020	400.00	379.14	05/14/2020	420.86	41.72 D	0.00	Sale
05/14/2020	900.00	853.07	Various	911.79	58.72 D	0.00	Sale
05/14/2020	1,874.00	1,795.03	Various	1,984.87	120.36 D	-69.48	Sale
05/14/2020	1,000.00	948.85	Various	1,080.86	0.00	-132.01	Sale
<b>Security Totals:</b>		<b>4,759.01</b>		<b>5,224.38</b>		<b>-201.49</b>	
UNITED NATURAL FOODS INC COMMON STOCK   CUSIP: 911163103   Symbol: UNFI							
05/14/2020	300.00	5,720.83	05/14/2020	5,798.49	77.66 D	0.00	Sale
05/15/2020	200.00	4,251.88	05/13/2020	4,308.00	56.12 D	0.00	Buy to Cover Short
05/18/2020	1.00	20.01	05/14/2020	18.35	0.00	1.66	Buy to Cover Short
05/18/2020	89.00	1,780.81	Various	1,633.15	0.00	147.66	Buy to Cover Short
05/18/2020	10.00	200.09	05/14/2020	183.50	0.00	16.59	Buy to Cover Short
05/18/2020	100.00	2,013.94	05/14/2020	1,878.00	0.00	135.94	Buy to Cover Short
05/18/2020	40.00	851.97	05/14/2020	847.22	0.00	4.75	Buy to Cover Short
05/18/2020	210.00	4,472.87	Various	4,433.19	0.00	39.68	Buy to Cover Short
05/18/2020	100.00	2,000.94	05/14/2020	1,925.00	0.00	75.94	Buy to Cover Short
05/28/2020	500.00	9,389.73	Various	9,527.66	0.00	-137.93	Sale
<b>Security Totals:</b>		<b>30,703.07</b>		<b>30,552.56</b>		<b>284.29</b>	

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APEX CLEARING

Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B\*

OMB No. 1545-0715

2TZ05705

(continued)

01/24/2021

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

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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
***FORESIGHT AUTONOMOUS HOLDINGS LTD AMERICAN DEPOSITARY SHARES   CUSIP: 345523104   Symbol: FRSX							
06/19/2020	2,000.00	2,699.70	Various	2,699.98	0.00	-0.28	Sale
***TITAN MEDICAL INC COM NEW   CUSIP: 88830X819   Symbol: TMDI							
06/09/2020	49.00	71.03	06/09/2020	72.52	0.00	-1.49	Sale
06/09/2020	1,951.00	2,828.65	06/09/2020	2,887.48	0.00	-58.83	Sale
<b>Security Totals:</b>		<b>2,899.68</b>		<b>2,960.00</b>		<b>-60.32</b>	
UNIVERSAL SECURITY INSTRUMENTS INC   CUSIP: 913821302   Symbol: UUU							
12/30/2020	50.00	257.98	12/30/2020	255.46	0.00	2.52	Sale
12/30/2020	50.00	257.98	12/30/2020	255.46	0.00	2.52	Sale
12/30/2020	100.00	503.07	Various	490.00	0.00	13.07	Sale
12/30/2020	100.00	503.97	Various	490.00	0.00	13.97	Sale
12/30/2020	100.00	504.17	Various	490.00	0.00	14.17	Sale
12/30/2020	100.00	503.97	12/30/2020	490.00	0.00	13.97	Sale
12/30/2020	100.00	503.97	12/30/2020	490.00	0.00	13.97	Sale
12/30/2020	100.00	515.97	12/30/2020	510.92	0.00	5.05	Sale
12/30/2020	100.00	515.97	12/30/2020	510.92	0.00	5.05	Sale
12/30/2020	100.00	516.97	12/30/2020	510.92	0.00	6.05	Sale
12/30/2020	100.00	515.97	12/30/2020	510.92	0.00	5.05	Sale
<b>Security Totals:</b>		<b>5,099.99</b>		<b>5,004.60</b>		<b>95.39</b>	
SUNWORKS INC COMMON STOCK   CUSIP: 86803X204   Symbol: SUNW							
07/23/2020	1,000.00	1,659.84	Various	1,680.16	20.32 D	0.00	Sale
07/23/2020	1,000.00	1,649.84	Various	1,678.15	28.31 D	0.00	Sale
07/23/2020	3,000.00	4,349.54	Various	4,440.00	90.46 D	0.00	Sale
07/23/2020	1,000.00	1,659.84	07/23/2020	1,680.15	0.00	-20.31	Sale
08/04/2020	2,000.00	3,121.89	Various	3,148.63	0.00	-26.74	Sale
09/25/2020	100.00	253.98	09/25/2020	252.00	0.00	1.98	Sale
09/25/2020	100.00	253.98	09/25/2020	252.00	0.00	1.98	Sale
09/25/2020	200.00	507.96	09/25/2020	504.00	0.00	3.96	Sale
09/25/2020	200.00	507.96	09/25/2020	504.00	0.00	3.96	Sale

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**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)

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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
SUNWORKS INC COMMON STOCK   CUSIP: 86803X204   Symbol: SUNW							
09/25/2020	400.00	1,011.92	09/25/2020	1,008.00	0.00	3.92	Sale
09/28/2020	20.00	46.98	09/28/2020	48.00	1.02 D	0.00	Sale
09/28/2020	109.00	256.13	09/28/2020	261.60	5.47 D	0.00	Sale
09/28/2020	871.00	2,037.99	09/28/2020	2,090.40	52.41 D	0.00	Sale
09/28/2020	1,000.00	2,319.82	Various	2,458.90	139.08 D	0.00	Sale
10/07/2020	18.00	86.38	10/07/2020	91.82	5.44 D	0.00	Sale
10/07/2020	142.00	681.56	Various	724.70	43.14 D	0.00	Sale
10/07/2020	200.00	959.95	Various	946.16	0.00	13.79	Sale
10/07/2020	290.00	1,391.93	Various	1,483.47	91.54 D	0.00	Sale
10/07/2020	50.00	239.98	10/07/2020	255.53	15.55 D	0.00	Sale
10/07/2020	300.00	1,439.92	10/07/2020	1,419.25	0.00	20.67	Sale
10/07/2020	500.00	2,399.88	Various	2,555.29	155.41 D	0.00	Sale
10/07/2020	500.00	2,415.28	Various	2,365.67	0.00	49.61	Sale
10/07/2020	1,000.00	4,749.77	Various	4,999.08	249.31 D	0.00	Sale
11/23/2020	50.00	318.98	11/23/2020	310.87	0.00	8.11	Sale
11/23/2020	100.00	680.97	11/23/2020	681.00	0.00	-0.03	Sale
11/23/2020	200.00	1,275.95	11/23/2020	1,243.48	0.00	32.47	Sale
11/23/2020	250.00	1,647.43	Various	1,532.50	0.00	114.93	Sale
11/23/2020	250.00	1,617.43	11/23/2020	1,552.50	0.00	64.93	Sale
11/23/2020	250.00	1,577.43	11/23/2020	1,552.50	0.00	24.93	Sale
11/23/2020	500.00	3,364.86	11/23/2020	3,350.00	0.00	14.86	Sale
11/23/2020	1.00	6.79	11/23/2020	6.81	0.00	-0.02	Sale
11/23/2020	1.00	6.79	11/23/2020	6.81	0.00	-0.02	Sale
11/23/2020	98.00	667.35	11/23/2020	667.38	0.00	-0.03	Sale
11/23/2020	100.00	680.97	11/23/2020	681.00	0.00	-0.03	Sale
11/23/2020	100.00	681.97	11/23/2020	681.00	0.00	0.97	Sale
11/23/2020	100.00	680.97	11/23/2020	681.00	0.00	-0.03	Sale

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APEX CLEARING

Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B\*

OMB No. 1545-0715

2TZ05705

(continued)

01/24/2021

**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

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**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
SUNWORKS INC COMMON STOCK   CUSIP: 86803X204   Symbol: SUNW							
11/23/2020	250.00	1,587.43	11/23/2020	1,554.35	0.00	33.08	Sale
11/23/2020	250.00	1,577.43	11/23/2020	1,552.48	0.00	24.95	Sale
<b>Security Totals:</b>		<b>50,375.07</b>		<b>50,900.64</b>		<b>371.89</b>	
FUTURE FINTECH GROUP INC COMMON STOCK   CUSIP: 36117V105   Symbol: FTFT							
07/15/2020	1,000.00	3,029.81	Various	3,200.00	0.00	-170.19	Sale
XCEL BRANDS INC COM   CUSIP: 98400M101   Symbol: XELB							
08/20/2020	2,500.00	3,124.63	Various	2,750.00	0.00	374.63	Sale
08/20/2020	11.00	11.75	08/20/2020	12.43	0.68 D	0.00	Sale
08/20/2020	17.00	18.09	Various	19.55	0.00	-1.46	Sale
08/20/2020	25.00	26.73	08/20/2020	28.25	1.52 D	0.00	Sale
08/20/2020	29.00	31.01	08/20/2020	32.77	1.76 D	0.00	Sale
08/20/2020	50.00	53.48	08/20/2020	56.50	3.02 D	0.00	Sale
08/20/2020	175.00	187.22	08/20/2020	197.73	10.51 D	0.00	Sale
08/20/2020	202.00	214.09	Various	232.32	0.00	-18.23	Sale
08/20/2020	230.00	243.76	Various	266.33	0.00	-22.57	Sale
08/20/2020	350.00	374.52	Various	385.00	10.48 D	0.00	Sale
08/20/2020	705.00	754.39	Various	776.19	21.80 D	0.00	Sale
08/20/2020	910.00	973.56	Various	1,021.43	47.87 D	0.00	Sale
08/20/2020	996.00	1,065.77	Various	1,112.79	47.02 D	0.00	Sale
08/20/2020	1,300.00	1,390.81	Various	1,480.15	20.88 D	-68.46	Sale
<b>Security Totals:</b>		<b>8,469.81</b>		<b>8,371.44</b>		<b>263.91</b>	
MARATHON PATENT GROUP INC COMMON STOCK   CUSIP: 56585W401   Symbol: MARA							
07/27/2020	100.00	166.98	07/27/2020	165.00	0.00	1.98	Sale
07/27/2020	1,000.00	1,539.84	07/27/2020	1,499.75	0.00	40.09	Sale
07/27/2020	2,400.00	4,007.62	07/27/2020	3,960.00	0.00	47.62	Sale
07/27/2020	2,500.00	4,049.61	Various	4,125.00	75.39 D	0.00	Sale
07/27/2020	2,500.00	4,074.60	Various	4,270.79	196.19 D	0.00	Sale
07/27/2020	300.00	459.12	07/27/2020	449.93	0.00	9.19	Sale

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**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)

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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
MARATHON PATENT GROUP INC COMMON STOCK   CUSIP: 56585W401   Symbol: MARA							
07/27/2020	200.00	306.01	07/27/2020	299.95	0.00	6.06	Sale
07/27/2020	500.00	765.02	07/27/2020	749.87	0.00	15.15	Sale
07/27/2020	1,000.00	1,550.44	Various	1,499.76	0.00	50.68	Sale
07/27/2020	350.00	566.94	07/27/2020	594.71	27.77 D	0.00	Sale
07/27/2020	1,200.00	1,943.81	Various	2,038.98	95.17 D	0.00	Sale
07/27/2020	950.00	1,538.85	07/27/2020	1,614.20	75.35 D	0.00	Sale
07/27/2020	3,000.00	4,290.14	Various	4,320.00	29.86 D	0.00	Sale
07/28/2020	3,000.00	5,909.50	Various	6,166.19	256.69 D	0.00	Sale
07/31/2020	500.00	1,049.91	Various	1,049.30	0.00	0.61	Sale
07/31/2020	500.00	1,079.91	07/31/2020	1,049.32	0.00	30.59	Sale
07/31/2020	500.00	1,059.91	Various	1,049.31	0.00	10.60	Sale
07/31/2020	500.00	1,059.91	07/31/2020	1,049.33	0.00	10.58	Sale
08/05/2020	52.00	244.38	08/05/2020	262.65	18.27 D	0.00	Sale
08/05/2020	100.00	450.98	08/05/2020	460.93	9.95 D	0.00	Sale
08/05/2020	448.00	2,105.50	Various	2,264.01	158.51 D	0.00	Sale
08/05/2020	500.00	2,359.88	Various	2,565.06	205.18 D	0.00	Sale
08/05/2020	900.00	4,058.80	08/05/2020	4,148.41	89.61 D	0.00	Sale
08/05/2020	1,000.00	4,099.78	Various	4,323.12	223.34 D	0.00	Sale
08/05/2020	1,000.00	4,339.78	Various	4,673.34	333.56 D	0.00	Sale
08/05/2020	1,000.00	4,449.78	Various	4,972.28	522.50 D	0.00	Sale
08/05/2020	1,000.00	4,519.78	Various	4,992.50	472.72 D	0.00	Sale
08/05/2020	1,000.00	4,519.78	Various	4,599.56	79.78 D	0.00	Sale
08/05/2020	2,000.00	8,419.57	Various	8,902.14	482.57 D	0.00	Sale
08/05/2020	300.00	1,304.93	Various	1,458.20	153.27 D	0.00	Sale
08/05/2020	500.00	2,354.88	Various	2,349.88	0.00	5.00	Sale
08/05/2020	500.00	2,349.88	Various	2,349.90	0.00	-0.02	Sale
08/05/2020	800.00	3,479.82	Various	3,809.84	330.02 D	0.00	Sale

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**SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS**

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MARATHON PATENT GROUP INC COMMON STOCK   CUSIP: 56585W401   Symbol: MARA							
08/05/2020	900.00	3,914.80	08/05/2020	4,013.93	99.13 D	0.00	Sale
08/05/2020	1,000.00	4,101.28	Various	4,339.40	238.12 D	0.00	Sale
08/05/2020	1,000.00	4,341.08	Various	4,712.59	371.51 D	0.00	Sale
08/10/2020	100.00	474.97	Various	520.05	0.00	-45.08	Sale
08/10/2020	500.00	2,379.88	Various	2,594.25	0.00	-214.37	Sale
08/10/2020	400.00	1,899.90	Various	2,057.66	0.00	-157.76	Sale
<b>Security Totals:</b>		<b>101,587.55</b>		<b>106,321.09</b>		<b>-189.08</b>	
VAXART INC COMMON STOCK   CUSIP: 92243A200   Symbol: VXRT							
02/06/2020	5,000.00	5,899.77	02/04/2020	6,050.00	150.23 D	0.00	Buy to Cover Short
02/26/2020	100.00	162.98	Various	163.43	0.45 D	0.00	Sale
02/26/2020	100.00	162.98	02/26/2020	163.43	0.45 D	0.00	Sale
02/26/2020	90.00	146.68	02/26/2020	147.09	0.41 D	0.00	Sale
02/26/2020	400.00	651.93	Various	653.72	1.79 D	0.00	Sale
02/26/2020	400.00	651.93	Various	649.22	1.38 D	4.09	Sale
02/26/2020	530.00	863.82	02/26/2020	839.68	0.00	24.14	Sale
02/26/2020	600.00	977.90	Various	1,050.02	72.12 D	0.00	Sale
02/26/2020	983.00	1,602.13	Various	1,563.40	0.00	38.73	Sale
02/26/2020	2,397.00	3,906.73	Various	3,821.54	0.00	85.19	Sale
02/26/2020	4,400.00	7,171.32	Various	7,530.21	358.89 D	0.00	Sale
02/27/2020	100.00	225.08	02/27/2020	190.91	0.00	34.17	Sale
02/27/2020	500.00	1,149.91	Various	1,172.50	22.59 D	0.00	Sale
02/27/2020	1,534.00	3,527.94	Various	3,622.43	94.49 D	0.00	Sale
02/27/2020	1,900.00	4,274.67	02/27/2020	3,627.29	0.00	647.38	Sale
02/27/2020	1.00	2.28	02/27/2020	2.44	0.16 D	0.00	Sale
02/27/2020	100.00	229.98	Various	193.45	0.00	36.53	Sale
02/27/2020	100.00	225.98	Various	189.00	0.00	36.98	Sale
02/27/2020	300.00	677.94	Various	567.00	0.00	110.94	Sale
02/27/2020	1,965.00	4,519.17	Various	4,709.86	190.69 D	0.00	Sale

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VAXART INC COMMON STOCK   CUSIP: 92243A200   Symbol: VXRT							
02/27/2020	1,900.00	4,331.67	Various	3,671.03	0.00	660.64	Sale
02/27/2020	1,200.00	2,702.92	Various	2,268.00	0.00	434.92	Sale
02/27/2020	400.00	900.97	Various	756.00	0.00	144.97	Sale
02/28/2020	2,000.00	6,019.82	Various	6,492.55	472.73 D	0.00	Sale
03/02/2020	1,500.00	4,109.72	02/27/2020	3,555.00	0.00	554.72	Buy to Cover Short
03/02/2020	1,500.00	4,124.73	Various	3,420.00	0.00	704.73	Buy to Cover Short
03/03/2020	5,000.00	10,049.17	Various	10,230.78	211.13 D	29.52	Sale
03/03/2020	5,000.00	10,249.17	Various	10,164.98	252.28 D	336.47	Sale
03/09/2020	100.00	309.98	Various	318.00	8.02 D	0.00	Sale
03/09/2020	100.00	309.98	Various	321.04	11.06 D	0.00	Sale
03/09/2020	100.00	309.98	Various	321.04	11.06 D	0.00	Sale
03/09/2020	100.00	309.98	Various	321.03	11.05 D	0.00	Sale
03/09/2020	100.00	309.98	Various	321.03	11.05 D	0.00	Sale
03/09/2020	100.00	309.98	Various	317.97	7.99 D	0.00	Sale
03/09/2020	100.00	309.98	Various	316.40	6.42 D	0.00	Sale
03/09/2020	100.00	309.98	03/09/2020	316.40	6.42 D	0.00	Sale
03/09/2020	100.00	309.98	Various	316.40	6.42 D	0.00	Sale
03/09/2020	100.00	309.98	Various	316.40	6.42 D	0.00	Sale
03/09/2020	100.00	309.98	Various	316.73	6.75 D	0.00	Sale
03/09/2020	100.00	309.98	03/09/2020	316.89	6.91 D	0.00	Sale
03/09/2020	100.00	309.98	03/09/2020	316.89	6.91 D	0.00	Sale
03/09/2020	100.00	309.98	03/09/2020	316.89	6.91 D	0.00	Sale
03/09/2020	100.00	309.98	03/09/2020	316.89	6.91 D	0.00	Sale
03/09/2020	100.00	309.98	Various	313.59	3.61 D	0.00	Sale
03/09/2020	400.00	1,239.92	Various	1,248.04	8.12 D	0.00	Sale
03/09/2020	2,000.00	6,191.42	Various	6,192.03	24.12 D	23.51	Sale
03/11/2020	1.00	2.00	03/11/2020	2.30	0.3 D	0.00	Sale

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VAXART INC COMMON STOCK   CUSIP: 92243A200   Symbol: VXRT							
03/11/2020	100.00	201.98	Various	228.42	26.44 D	0.00	Sale
03/11/2020	100.00	204.98	Various	214.50	9.52 D	0.00	Sale
03/11/2020	100.00	201.98	03/11/2020	219.02	17.04 D	0.00	Sale
03/11/2020	300.00	606.24	Various	681.00	74.76 D	0.00	Sale
03/11/2020	963.00	1,945.10	Various	2,161.85	216.75 D	0.00	Sale
03/11/2020	1,173.00	2,404.45	Various	2,492.44	87.99 D	0.00	Sale
03/11/2020	1,200.00	2,423.80	Various	2,736.95	313.15 D	0.00	Sale
03/11/2020	1,727.00	3,522.79	Various	3,691.48	168.69 D	0.00	Sale
03/11/2020	2,000.00	4,099.66	Various	4,371.90	272.24 D	0.00	Sale
03/11/2020	2,336.00	4,694.97	Various	5,083.48	388.51 D	0.00	Sale
03/13/2020	2,000.00	2,699.70	Various	3,350.25	650.55 D	0.00	Sale
03/17/2020	200.00	380.17	Various	445.78	0.00	-65.61	Sale
03/17/2020	200.00	381.97	Various	426.50	44.53 D	0.00	Sale
03/17/2020	1,000.00	1,699.84	Various	1,635.46	0.00	64.38	Sale
03/17/2020	1,800.00	3,419.71	Various	3,829.80	410.09 D	0.00	Sale
03/17/2020	1,800.00	3,419.71	Various	3,924.31	0.00	-504.60	Sale
03/17/2020	2,000.00	3,359.68	Various	3,675.63	343.09 D	27.14	Sale
03/17/2020	1,000.00	1,699.84	Various	1,707.68	37.79 D	29.95	Sale
04/24/2020	65.00	187.84	04/22/2020	183.30	0.00	4.54	Buy to Cover Short
04/24/2020	100.00	288.99	04/22/2020	282.00	0.00	6.99	Buy to Cover Short
04/24/2020	645.00	1,864.00	04/22/2020	1,818.90	0.00	45.10	Buy to Cover Short
04/24/2020	1,190.00	3,439.00	04/22/2020	3,355.80	0.00	83.20	Buy to Cover Short
04/24/2020	2,000.00	6,221.82	Various	6,217.92	0.00	3.90	Sale
05/20/2020	21.00	76.21	05/20/2020	74.55	0.00	1.66	Sale
05/20/2020	10.00	33.98	05/20/2020	35.00	1.02 D	0.00	Sale
05/20/2020	40.00	145.18	Various	141.89	0.00	3.29	Sale
05/20/2020	192.00	652.76	Various	673.02	20.26 D	0.00	Sale

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APEX CLEARING

Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B\*

OMB No. 1545-0715

2TZ05705

(continued)

01/24/2021

SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

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VAXART INC COMMON STOCK   CUSIP: 92243A200   Symbol: VXRT							
05/20/2020	100.00	340.98	Various	359.02	18.04 D	0.00	Sale
05/20/2020	539.00	1,940.29	Various	1,915.06	0.00	25.23	Sale
05/20/2020	400.00	1,439.91	05/20/2020	1,424.00	0.00	15.91	Sale
05/20/2020	698.00	2,373.06	Various	2,470.28	0.00	-97.22	Sale
06/25/2020	200.00	988.15	Various	988.09	0.00	0.06	Sale
06/25/2020	300.00	1,482.22	06/25/2020	1,482.17	0.00	0.05	Sale
06/25/2020	500.00	2,329.88	06/25/2020	2,297.50	0.00	32.38	Sale
06/25/2020	500.00	2,302.38	Various	2,339.91	37.53 D	0.00	Sale
06/25/2020	500.00	2,329.88	06/25/2020	2,294.80	0.00	35.08	Sale
06/25/2020	500.00	2,302.38	Various	2,382.53	80.15 D	0.00	Sale
06/25/2020	500.00	2,474.88	06/25/2020	2,390.12	0.00	84.76	Sale
06/25/2020	500.00	2,474.88	06/25/2020	2,390.11	0.00	84.77	Sale
06/25/2020	2,000.00	9,559.54	Various	9,740.15	180.61 D	0.00	Sale
06/25/2020	70.00	346.49	06/25/2020	334.62	0.00	11.87	Sale
06/25/2020	430.00	2,128.44	06/25/2020	2,055.49	0.00	72.95	Sale
06/26/2020	100.00	1,149.96	06/26/2020	1,040.00	0.00	109.96	Sale
06/26/2020	100.00	1,165.96	06/26/2020	1,040.00	0.00	125.96	Sale
06/26/2020	100.00	1,107.96	06/26/2020	1,127.00	19.04 D	0.00	Sale
06/26/2020	100.00	1,107.96	06/26/2020	1,146.04	38.08 D	0.00	Sale
06/26/2020	200.00	2,219.93	Various	2,292.08	72.15 D	0.00	Sale
06/26/2020	200.00	2,223.93	Various	2,408.22	184.29 D	0.00	Sale
06/26/2020	200.00	2,239.93	Various	2,336.15	96.22 D	0.00	Sale
06/30/2020	250.00	2,324.91	Various	2,439.29	128.36 D	13.98	Sale
06/30/2020	250.00	2,299.91	06/30/2020	2,255.00	0.00	44.91	Sale
06/30/2020	250.00	2,297.41	06/30/2020	2,255.00	0.00	42.41	Sale
06/30/2020	250.00	2,302.41	06/30/2020	2,255.00	0.00	47.41	Sale
07/07/2020	100.00	823.97	Various	879.23	55.26 D	0.00	Sale

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VAXART INC COMMON STOCK   CUSIP: 92243A200   Symbol: VXRT							
07/07/2020	197.00	1,822.18	Various	1,814.46	1.18 D	8.90	Sale
07/07/2020	803.00	7,427.48	Various	7,219.79	0.04 D	207.73	Sale
07/07/2020	900.00	7,416.62	Various	7,264.39	44.25 D	196.48	Sale
07/14/2020	250.00	4,077.37	07/14/2020	3,925.00	0.00	152.37	Sale
07/14/2020	500.00	8,189.75	Various	7,851.22	0.00	338.53	Sale
07/14/2020	250.00	4,069.88	07/14/2020	3,925.00	0.00	144.88	Sale
07/16/2020	500.00	7,929.76	07/16/2020	8,050.00	120.24 D	0.00	Sale
07/20/2020	250.00	3,927.38	07/20/2020	3,832.50	0.00	94.88	Sale
07/20/2020	250.00	3,934.88	07/20/2020	3,892.62	0.00	42.26	Sale
07/20/2020	250.00	3,937.38	07/20/2020	3,832.50	0.00	104.88	Sale
07/20/2020	250.00	3,897.38	Various	3,886.62	0.00	10.76	Sale
07/21/2020	100.00	1,596.45	Various	1,570.00	0.00	26.45	Sale
07/21/2020	50.00	798.22	07/21/2020	785.00	0.00	13.22	Sale
07/21/2020	100.00	1,596.45	Various	1,570.00	0.00	26.45	Sale
07/21/2020	250.00	3,929.88	Various	3,925.00	0.00	4.88	Sale
07/21/2020	250.00	3,929.88	Various	3,925.00	0.00	4.88	Sale
07/21/2020	2,000.00	31,399.06	Various	31,584.30	184.77 D	-0.47	Sale
07/21/2020	97.00	1,524.79	07/21/2020	1,522.90	0.00	1.89	Sale
07/21/2020	100.00	1,571.95	07/21/2020	1,570.00	0.00	1.95	Sale
07/21/2020	53.00	833.13	07/21/2020	832.10	0.00	1.03	Sale
07/21/2020	1,000.00	15,613.43	07/21/2020	15,800.00	186.57 D	0.00	Sale
07/27/2020	1,000.00	11,112.33	Various	11,434.77	0.00	-322.44	Sale
09/14/2020	100.00	797.97	Various	833.65	35.68 D	0.00	Sale
09/14/2020	100.00	797.97	09/14/2020	833.65	35.68 D	0.00	Sale
09/14/2020	400.00	3,191.87	Various	3,334.60	142.73 D	0.00	Sale
09/14/2020	400.00	3,191.87	09/14/2020	3,334.60	142.73 D	0.00	Sale
09/14/2020	1,000.00	7,921.30	09/14/2020	8,050.00	128.7 D	0.00	Sale

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VAXART INC COMMON STOCK   CUSIP: 92243A200   Symbol: VXRT							
09/14/2020	1,000.00	7,919.70	Various	8,128.70	209.00 D	0.00	Sale
09/15/2020	67.00	461.60	Various	492.23	30.63 D	0.00	Sale
09/15/2020	88.00	606.29	Various	652.60	46.31 D	0.00	Sale
09/15/2020	100.00	688.97	Various	734.66	45.69 D	0.00	Sale
09/15/2020	195.00	1,343.50	Various	1,432.60	89.10 D	0.00	Sale
09/15/2020	200.00	1,377.94	Various	1,470.52	92.58 D	0.00	Sale
09/15/2020	300.00	2,066.91	Various	2,224.78	157.87 D	0.00	Sale
09/15/2020	300.00	2,066.91	Various	2,209.70	142.79 D	0.00	Sale
09/15/2020	500.00	3,539.86	Various	3,653.56	113.70 D	0.00	Sale
09/15/2020	500.00	3,499.86	Various	3,643.19	143.33 D	0.00	Sale
09/15/2020	750.00	5,167.29	Various	5,545.55	378.26 D	0.00	Sale
09/15/2020	500.00	3,539.86	Various	3,648.05	108.19 D	0.00	Sale
09/15/2020	60.00	425.98	09/15/2020	440.21	14.23 D	0.00	Sale
09/15/2020	65.00	461.47	Various	476.89	15.42 D	0.00	Sale
09/15/2020	375.00	2,662.40	09/15/2020	2,751.31	88.91 D	0.00	Sale
09/15/2020	500.00	3,555.36	Various	3,668.41	113.05 D	0.00	Sale
09/15/2020	500.00	3,495.86	Various	3,648.70	152.84 D	0.00	Sale
09/16/2020	3.00	21.52	Various	23.66	2.14 D	0.00	Sale
09/16/2020	10.00	71.48	09/16/2020	78.88	7.4 D	0.00	Sale
09/16/2020	3.00	21.55	09/16/2020	23.66	2.11 D	0.00	Sale
09/16/2020	34.00	244.10	09/16/2020	268.17	24.07 D	0.00	Sale
09/16/2020	50.00	358.98	Various	394.37	35.39 D	0.00	Sale
09/16/2020	90.00	646.17	Various	709.85	63.68 D	0.00	Sale
09/16/2020	189.00	1,351.30	Various	1,490.67	139.37 D	0.00	Sale
09/16/2020	397.00	2,850.34	Various	3,136.50	286.16 D	0.00	Sale
09/16/2020	426.00	3,058.56	Various	3,369.03	310.47 D	0.00	Sale
09/16/2020	798.00	5,729.42	Various	6,325.03	595.61 D	0.00	Sale

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**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)

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

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

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VAXART INC COMMON STOCK   CUSIP: 92243A200   Symbol: VXRT							
09/17/2020	1,000.00	8,429.69	Various	9,261.34	831.65 D	0.00	Sale
09/18/2020	1.00	8.42	09/18/2020	8.55	0.00	-0.13	Sale
09/18/2020	1.00	8.42	09/18/2020	8.56	0.00	-0.14	Sale
09/18/2020	5.00	42.83	09/18/2020	43.65	0.82 D	0.00	Sale
09/18/2020	5.00	42.83	09/18/2020	43.65	0.82 D	0.00	Sale
09/18/2020	13.00	109.70	Various	118.74	9.04 D	0.00	Sale
09/18/2020	14.00	121.64	Various	131.86	10.22 D	0.00	Sale
09/18/2020	14.00	121.50	09/18/2020	131.86	10.36 D	0.00	Sale
09/18/2020	19.00	165.09	09/18/2020	178.95	13.86 D	0.00	Sale
09/18/2020	20.00	172.38	Various	191.13	18.75 D	0.00	Sale
09/18/2020	20.00	168.78	Various	171.04	0.00	-2.26	Sale
09/18/2020	22.00	190.94	09/18/2020	207.20	16.26 D	0.00	Sale
09/18/2020	30.00	257.08	Various	261.91	4.83 D	0.00	Sale
09/18/2020	44.00	378.82	09/18/2020	420.10	41.28 D	0.00	Sale
09/18/2020	50.00	433.98	Various	470.92	36.94 D	0.00	Sale
09/18/2020	56.00	482.13	Various	534.67	52.54 D	0.00	Sale
09/18/2020	80.00	688.77	Various	764.58	75.81 D	0.00	Sale
09/18/2020	81.00	704.67	Various	762.27	57.60 D	0.00	Sale
09/18/2020	90.00	771.27	Various	785.73	14.46 D	0.00	Sale
09/18/2020	100.00	867.97	Various	953.83	85.86 D	0.00	Sale
09/18/2020	100.00	871.97	Various	938.13	66.16 D	0.00	Sale
09/18/2020	100.00	872.97	Various	938.20	65.23 D	0.00	Sale
09/18/2020	100.00	860.97	Various	955.76	94.79 D	0.00	Sale
09/18/2020	100.00	861.97	Various	955.75	93.78 D	0.00	Sale
09/18/2020	100.00	855.97	09/18/2020	873.03	17.06 D	0.00	Sale
09/18/2020	100.00	856.97	09/18/2020	873.03	16.06 D	0.00	Sale
09/18/2020	100.00	855.97	09/18/2020	873.03	17.06 D	0.00	Sale

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VAXART INC COMMON STOCK   CUSIP: 92243A200   Symbol: VXRT							
09/18/2020	100.00	860.97	09/18/2020	955.74	94.77 D	0.00	Sale
09/18/2020	100.00	843.97	Various	855.07	0.00	-11.10	Sale
09/18/2020	170.00	1,455.14	09/18/2020	1,484.15	29.01 D	0.00	Sale
09/18/2020	178.00	1,502.26	Various	1,523.06	0.00	-20.80	Sale
09/18/2020	200.00	1,711.94	09/18/2020	1,746.06	34.12 D	0.00	Sale
09/18/2020	200.00	1,711.94	09/18/2020	1,746.06	34.12 D	0.00	Sale
09/18/2020	700.00	5,907.78	Various	5,994.43	0.00	-86.65	Sale
09/18/2020	987.00	8,329.97	Various	9,175.47	845.50 D	0.00	Sale
09/18/2020	2,000.00	16,159.40	Various	17,151.65	992.25 D	0.00	Sale
10/13/2020	250.00	2,072.42	Various	2,235.64	163.22 D	0.00	Sale
10/13/2020	250.00	2,069.92	Various	2,262.02	192.10 D	0.00	Sale
10/13/2020	250.00	2,077.42	Various	2,303.53	226.11 D	0.00	Sale
10/13/2020	250.00	2,072.65	Various	2,303.35	230.70 D	0.00	Sale
11/11/2020	600.00	2,738.86	Various	2,753.39	14.53 D	0.00	Sale
11/11/2020	1,000.00	4,650.77	Various	5,462.13	811.36 D	0.00	Sale
11/11/2020	1,000.00	4,569.77	Various	5,426.56	856.79 D	0.00	Sale
11/11/2020	2,400.00	10,943.46	Various	11,845.64	0.00	-902.18	Sale
11/11/2020	1,000.00	4,571.27	Various	4,600.25	28.98 D	0.00	Sale
11/11/2020	1,000.00	4,571.27	Various	5,446.79	875.52 D	0.00	Sale
11/11/2020	2,000.00	9,399.55	Various	10,276.36	876.81 D	0.00	Sale
<b>Security Totals:</b>		<b>510,360.48</b>		<b>524,432.58</b>		<b>4,294.29</b>	
ELECTROCORE INC COMMON STOCK   CUSIP: 28531P103   Symbol: ECOR							
04/03/2020	7.00	9.85	04/03/2020	10.15	0.3 D	0.00	Sale
04/03/2020	19.00	26.96	Various	27.81	0.85 D	0.00	Sale
04/03/2020	100.00	140.98	Various	145.89	4.91 D	0.00	Sale
04/03/2020	100.00	141.98	Various	147.21	5.23 D	0.00	Sale
04/03/2020	40.00	56.38	04/03/2020	58.00	1.62 D	0.00	Sale
04/03/2020	337.00	478.48	Various	498.20	19.72 D	0.00	Sale

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**SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS**

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ELECTROCORE INC COMMON STOCK   CUSIP: 28531P103   Symbol: ECOR							
04/03/2020	371.00	523.05	Various	549.15	26.10 D	0.00	Sale
04/03/2020	526.00	741.58	Various	794.35	52.77 D	0.00	Sale
04/03/2020	700.00	993.89	Various	1,035.47	19.09 D	-22.49	Sale
04/03/2020	800.00	1,127.87	Various	1,214.36	0.00	-86.49	Sale
07/30/2020	1.00	3.84	07/30/2020	3.95	0.11 D	0.00	Sale
07/30/2020	2.00	6.92	07/30/2020	6.94	0.02 D	0.00	Sale
07/30/2020	14.00	54.02	Various	55.19	1.17 D	0.00	Sale
07/30/2020	17.00	42.99	07/30/2020	39.78	0.00	3.21	Sale
07/30/2020	36.00	139.30	Various	148.76	9.46 D	0.00	Sale
07/30/2020	38.00	147.42	Various	157.59	10.17 D	0.00	Sale
07/30/2020	50.00	126.48	07/30/2020	117.00	0.00	9.48	Sale
07/30/2020	50.00	192.98	Various	196.62	3.64 D	0.00	Sale
07/30/2020	50.00	193.48	Various	210.05	16.57 D	0.00	Sale
07/30/2020	50.00	192.98	Various	203.80	10.82 D	0.00	Sale
07/30/2020	50.00	192.98	07/30/2020	203.52	10.54 D	0.00	Sale
07/30/2020	83.00	210.80	07/30/2020	194.22	0.00	16.58	Sale
07/30/2020	98.00	340.04	Various	340.08	0.04 D	0.00	Sale
07/30/2020	100.00	377.98	Various	379.09	1.11 D	0.00	Sale
07/30/2020	100.00	387.98	Various	424.78	36.80 D	0.00	Sale
07/30/2020	100.00	384.98	Various	418.25	33.27 D	0.00	Sale
07/30/2020	100.00	253.98	07/30/2020	234.00	0.00	19.98	Sale
07/30/2020	100.00	252.98	07/30/2020	234.00	0.00	18.98	Sale
07/30/2020	100.00	387.98	Various	420.21	32.23 D	0.00	Sale
07/30/2020	150.00	380.97	07/30/2020	351.00	0.00	29.97	Sale
07/30/2020	162.00	623.66	Various	623.99	0.33 D	0.00	Sale
07/30/2020	185.00	714.06	07/30/2020	752.99	38.93 D	0.00	Sale
07/30/2020	200.00	705.96	Various	708.06	2.10 D	0.00	Sale

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ELECTROCORE INC COMMON STOCK   CUSIP: 28531P103   Symbol: ECOR							
07/30/2020	200.00	799.96	Various	815.29	15.33 D	0.00	Sale
07/30/2020	205.00	723.61	Various	726.83	3.22 D	0.00	Sale
07/30/2020	250.00	637.45	07/30/2020	585.00	0.00	52.45	Sale
07/30/2020	250.00	967.44	Various	1,050.16	82.72 D	0.00	Sale
07/30/2020	250.00	632.45	07/30/2020	585.00	0.00	47.45	Sale
07/30/2020	300.00	1,058.93	Various	1,063.99	5.06 D	0.00	Sale
07/30/2020	300.00	698.94	07/30/2020	690.00	0.00	8.94	Sale
07/30/2020	400.00	1,539.91	Various	1,695.21	155.30 D	0.00	Sale
07/30/2020	426.00	1,648.53	Various	1,789.48	140.95 D	0.00	Sale
07/30/2020	450.00	1,588.41	Various	1,597.77	9.36 D	0.00	Sale
07/30/2020	471.00	1,064.37	07/30/2020	1,026.78	0.00	37.59	Sale
07/30/2020	500.00	1,749.90	Various	1,735.10	0.00	14.80	Sale
07/30/2020	500.00	1,209.91	07/30/2020	1,170.00	0.00	39.91	Sale
07/30/2020	500.00	1,924.89	Various	2,115.44	190.55 D	0.00	Sale
07/30/2020	500.00	1,939.89	07/30/2020	1,995.11	55.22 D	0.00	Sale
07/30/2020	500.00	1,939.89	07/30/2020	1,995.10	55.21 D	0.00	Sale
07/30/2020	500.00	1,244.91	Various	1,170.00	0.00	74.91	Sale
07/30/2020	529.00	1,195.45	07/30/2020	1,153.22	0.00	42.23	Sale
07/30/2020	650.00	2,508.86	Various	2,650.21	141.35 D	0.00	Sale
07/30/2020	700.00	1,630.88	07/30/2020	1,610.00	0.00	20.88	Sale
07/30/2020	838.00	3,268.02	07/30/2020	3,226.30	0.00	41.72	Sale
07/30/2020	845.00	2,974.23	Various	3,007.84	33.61 D	0.00	Sale
07/30/2020	940.00	3,759.80	Various	3,943.71	183.91 D	0.00	Sale
07/30/2020	1,000.00	3,859.79	Various	3,939.49	79.70 D	0.00	Sale
07/30/2020	1,000.00	3,919.79	Various	3,895.94	0.29 D	24.14	Sale
07/30/2020	1,000.00	3,799.79	Various	4,070.82	271.03 D	0.00	Sale
07/30/2020	1,000.00	2,329.82	07/30/2020	2,300.00	0.00	29.82	Sale

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APEX CLEARING

Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B\*

OMB No. 1545-0715

2TZ05705

(continued)

01/24/2021

SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

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ELECTROCORE INC COMMON STOCK   CUSIP: 28531P103   Symbol: ECOR							
07/30/2020	1,000.00	3,799.79	07/30/2020	3,860.00	60.21 D	0.00	Sale
07/30/2020	1,000.00	3,889.79	Various	4,256.44	366.65 D	0.00	Sale
07/30/2020	1,400.00	4,899.72	07/30/2020	4,858.27	0.00	41.45	Sale
07/30/2020	2,000.00	6,759.61	Various	6,800.00	40.39 D	0.00	Sale
07/31/2020	1.00	3.75	07/31/2020	4.26	0.51 D	0.00	Sale
07/31/2020	2.00	7.97	07/31/2020	8.62	0.65 D	0.00	Sale
07/31/2020	10.00	37.76	Various	42.48	4.72 D	0.00	Sale
07/31/2020	20.00	79.94	Various	86.25	6.31 D	0.00	Sale
07/31/2020	23.00	87.79	Various	97.69	9.90 D	0.00	Sale
07/31/2020	100.00	399.78	Various	431.28	31.50 D	0.00	Sale
07/31/2020	290.00	1,101.37	Various	1,231.60	130.23 D	0.00	Sale
07/31/2020	329.00	1,315.27	Various	1,418.86	103.59 D	0.00	Sale
07/31/2020	412.00	1,647.08	Various	1,777.46	130.38 D	0.00	Sale
07/31/2020	500.00	1,998.89	Various	2,282.57	283.68 D	0.00	Sale
07/31/2020	576.00	2,164.49	Various	2,454.24	238.66 D	-51.09	Sale
07/31/2020	637.00	2,546.58	Various	2,859.16	312.58 D	0.00	Sale
07/31/2020	812.00	3,124.40	Various	3,633.66	0.00	-509.26	Sale
07/31/2020	1,100.00	4,144.56	Various	4,902.42	0.00	-757.86	Sale
<b>Security Totals:</b>		<b>99,180.14</b>		<b>103,513.51</b>		<b>-852.70</b>	
CHF SOLUTIONS INC COMMON STOCK   CUSIP: 12542Q706   Symbol: CHFS							
05/01/2020	10.00	4.41	05/01/2020	4.52	0.11 D	0.00	Sale
05/01/2020	990.00	433.49	Various	447.59	14.10 D	0.00	Sale
05/01/2020	2,000.00	875.74	Various	929.64	0.00	-53.90	Sale
05/01/2020	1,000.00	440.37	Various	466.10	25.73 D	0.00	Sale
<b>Security Totals:</b>		<b>1,754.01</b>		<b>1,847.85</b>		<b>-53.90</b>	
ORBITAL ENERGY GROUP INC COMMON STOCK   CUSIP: 68559A109   Symbol: OEG							
09/24/2020	100.00	106.98	09/24/2020	110.00	3.02 D	0.00	Sale
09/24/2020	100.00	106.98	09/24/2020	113.02	6.04 D	0.00	Sale

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ORBITAL ENERGY GROUP INC COMMON STOCK   CUSIP: 68559A109   Symbol: OEG							
09/24/2020	200.00	213.97	Various	226.04	12.07 D	0.00	Sale
09/24/2020	200.00	213.97	Various	223.01	9.04 D	0.00	Sale
09/24/2020	500.00	534.92	Various	568.10	33.18 D	0.00	Sale
09/24/2020	1,400.00	1,497.79	Various	1,573.18	0.00	-75.39	Sale
11/24/2020	250.00	524.95	11/24/2020	530.00	5.05 D	0.00	Sale
11/24/2020	250.00	524.95	11/24/2020	530.00	5.05 D	0.00	Sale
11/24/2020	250.00	524.95	Various	535.05	0.00	-10.10	Sale
11/24/2020	250.00	524.95	11/24/2020	535.05	0.00	-10.10	Sale
<b>Security Totals:</b>		<b>4,774.41</b>		<b>4,943.45</b>		<b>-95.59</b>	
ATOSSA THERAPEUTICS INC COMMON STOCK   CUSIP: 04962H506   Symbol: ATOS							
04/06/2020	100.00	158.98	Various	170.65	11.67 D	0.00	Sale
04/06/2020	153.00	243.24	Various	267.91	24.67 D	0.00	Sale
04/06/2020	197.00	313.20	04/06/2020	334.90	21.7 D	0.00	Sale
04/06/2020	350.00	556.44	Various	624.95	68.51 D	0.00	Sale
04/06/2020	1,100.00	1,748.83	Various	2,000.99	62.48 D	-189.68	Sale
04/06/2020	1,100.00	1,748.83	Various	1,976.48	0.00	-227.65	Sale
04/20/2020	10.00	23.80	04/16/2020	21.10	0.00	2.70	Buy to Cover Short
04/20/2020	50.00	118.95	Various	105.50	0.00	13.45	Buy to Cover Short
04/20/2020	100.00	237.98	04/16/2020	211.00	0.00	26.98	Buy to Cover Short
04/20/2020	150.00	356.96	Various	316.50	0.00	40.46	Buy to Cover Short
04/20/2020	200.00	475.96	Various	422.00	0.00	53.96	Buy to Cover Short
04/20/2020	300.00	713.94	Various	633.00	0.00	80.94	Buy to Cover Short
04/20/2020	300.00	713.95	04/16/2020	633.00	0.00	80.95	Buy to Cover Short
04/20/2020	890.00	2,108.04	Various	1,886.80	0.00	221.24	Buy to Cover Short
04/20/2020	100.00	235.98	04/16/2020	220.00	0.00	15.98	Buy to Cover Short
04/20/2020	900.00	2,123.85	04/16/2020	1,980.00	0.00	143.85	Buy to Cover Short
<b>Security Totals:</b>		<b>11,878.93</b>		<b>11,804.78</b>		<b>263.18</b>	

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REMARK HOLDINGS INC COMMON STOCK   CUSIP: 75955K102   Symbol: MARK							
05/06/2020	5,000.00	5,099.28	Various	5,120.57	21.91 D	0.62	Sale
05/06/2020	100.00	107.48	Various	107.94	0.46 D	0.00	Sale
05/06/2020	2,000.00	1,828.31	05/06/2020	1,863.60	35.29 D	0.00	Sale
05/06/2020	5,000.00	5,349.78	Various	5,420.39	70.61 D	0.00	Sale
05/06/2020	5,000.00	5,199.28	Various	5,275.51	76.23 D	0.00	Sale
05/06/2020	2,000.00	1,861.51	05/06/2020	1,824.00	0.00	37.51	Sale
05/06/2020	5,000.00	4,999.28	Various	5,042.79	43.51 D	0.00	Sale
05/07/2020	5,000.00	5,202.28	Various	5,241.74	39.46 D	0.00	Sale
05/07/2020	5,000.00	5,249.28	Various	5,265.91	16.74 D	0.11	Sale
05/08/2020	200.00	197.57	Various	202.92	5.35 D	0.00	Sale
05/08/2020	340.00	335.87	Various	344.96	9.09 D	0.00	Sale
05/08/2020	460.00	458.50	Various	466.71	8.21 D	0.00	Sale
05/08/2020	1,000.00	987.85	Various	1,014.57	26.72 D	0.00	Sale
05/08/2020	2,000.00	2,079.71	Various	2,207.12	127.41 D	0.00	Sale
05/08/2020	5,000.00	5,349.28	Various	5,996.38	647.10 D	0.00	Sale
05/08/2020	104.00	119.58	Various	128.92	9.34 D	0.00	Sale
05/08/2020	200.00	197.57	Various	204.55	6.98 D	0.00	Sale
05/08/2020	229.00	255.30	Various	278.39	23.09 D	0.00	Sale
05/08/2020	410.00	459.13	Various	495.98	36.85 D	0.00	Sale
05/08/2020	482.00	476.13	Various	492.67	16.54 D	0.00	Sale
05/08/2020	508.00	568.88	05/08/2020	614.53	45.65 D	0.00	Sale
05/08/2020	1,318.00	1,301.99	Various	1,348.51	46.52 D	0.00	Sale
05/08/2020	1,896.00	2,180.12	Various	2,350.22	170.1 D	0.00	Sale
05/08/2020	2,000.00	2,299.70	Various	2,402.64	102.94 D	0.00	Sale
05/08/2020	2,000.00	2,324.10	Various	2,419.11	95.01 D	0.00	Sale
05/08/2020	2,000.00	2,323.90	Various	2,457.27	133.37 D	0.00	Sale
05/08/2020	3,082.00	3,451.39	Various	3,597.73	146.34 D	0.00	Sale

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REMARK HOLDINGS INC COMMON STOCK   CUSIP: 75955K102   Symbol: MARK							
05/08/2020	3,771.00	4,191.67	Various	4,515.18	323.51 D	0.00	Sale
05/08/2020	4,000.00	4,439.42	Various	4,838.33	398.91 D	0.00	Sale
05/08/2020	4,100.00	4,634.45	Various	4,915.05	280.60 D	0.00	Sale
05/08/2020	5,000.00	5,466.77	Various	5,273.98	0.00	192.79	Sale
05/08/2020	5,000.00	5,404.78	Various	5,449.00	44.22 D	0.00	Sale
05/08/2020	5,000.00	5,399.28	Various	5,694.22	294.94 D	0.00	Sale
05/08/2020	5,000.00	5,349.28	Various	5,895.66	546.38 D	0.00	Sale
05/08/2020	5,000.00	5,399.28	Various	5,844.94	445.66 D	0.00	Sale
05/08/2020	5,000.00	5,399.28	Various	5,997.10	597.82 D	0.00	Sale
05/11/2020	1.00	1.78	05/11/2020	1.81	0.03 D	0.00	Sale
05/11/2020	100.00	185.98	05/11/2020	184.62	0.00	1.36	Sale
05/11/2020	100.00	185.98	05/11/2020	184.62	0.00	1.36	Sale
05/11/2020	100.00	185.98	Various	184.95	0.00	1.03	Sale
05/11/2020	100.00	185.98	Various	185.75	0.02 D	0.25	Sale
05/11/2020	100.00	185.98	Various	185.73	0.00	0.25	Sale
05/11/2020	100.00	185.98	Various	185.72	0.00	0.26	Sale
05/11/2020	100.00	185.98	05/11/2020	185.72	0.00	0.26	Sale
05/11/2020	100.00	185.98	05/11/2020	185.72	0.00	0.26	Sale
05/11/2020	100.00	185.98	Various	185.72	0.00	0.26	Sale
05/11/2020	100.00	185.98	Various	185.71	0.00	0.27	Sale
05/11/2020	100.00	185.98	05/11/2020	185.71	0.00	0.27	Sale
05/11/2020	100.00	185.98	05/11/2020	185.72	0.00	0.26	Sale
05/11/2020	100.00	185.98	Various	185.72	0.00	0.26	Sale
05/11/2020	100.00	185.98	Various	185.65	0.00	0.33	Sale
05/11/2020	100.00	185.98	05/11/2020	185.61	0.00	0.37	Sale
05/11/2020	100.00	185.98	05/11/2020	185.61	0.00	0.37	Sale
05/11/2020	100.00	185.98	Various	185.61	0.00	0.37	Sale

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REMARK HOLDINGS INC COMMON STOCK   CUSIP: 75955K102   Symbol: MARK							
05/11/2020	100.00	185.98	Various	185.62	0.00	0.36	Sale
05/11/2020	100.00	185.98	05/11/2020	185.61	0.00	0.37	Sale
05/11/2020	100.00	185.98	05/11/2020	185.61	0.00	0.37	Sale
05/11/2020	100.00	185.98	05/11/2020	185.61	0.00	0.37	Sale
05/11/2020	100.00	185.98	05/11/2020	185.61	0.00	0.37	Sale
05/11/2020	100.00	185.98	05/11/2020	185.61	0.00	0.37	Sale
05/11/2020	100.00	185.98	Various	184.40	0.00	1.58	Sale
05/11/2020	100.00	185.98	05/11/2020	183.98	0.00	2.00	Sale
05/11/2020	100.00	185.98	05/11/2020	183.98	0.00	2.00	Sale
05/11/2020	100.00	185.98	05/11/2020	183.98	0.00	2.00	Sale
05/11/2020	100.00	185.98	05/11/2020	183.98	0.00	2.00	Sale
05/11/2020	100.00	185.98	05/11/2020	183.98	0.00	2.00	Sale
05/11/2020	100.00	185.98	05/11/2020	183.98	0.00	2.00	Sale
05/11/2020	100.00	185.98	05/11/2020	183.98	0.00	2.00	Sale
05/11/2020	100.00	185.98	05/11/2020	183.98	0.00	2.00	Sale
05/11/2020	100.00	185.98	Various	183.98	0.00	2.00	Sale
05/11/2020	100.00	185.98	05/11/2020	183.98	0.00	2.00	Sale
05/11/2020	100.00	185.98	05/11/2020	183.98	0.00	2.00	Sale
05/11/2020	100.00	185.98	05/11/2020	183.98	0.00	2.00	Sale
05/11/2020	100.00	185.98	05/11/2020	183.98	0.00	2.00	Sale
05/11/2020	100.00	185.98	05/11/2020	183.98	0.00	2.00	Sale
05/11/2020	162.00	301.29	05/11/2020	298.05	0.00	3.24	Sale
05/11/2020	169.00	304.17	Various	305.43	1.26 D	0.00	Sale
05/11/2020	300.00	539.94	Various	542.17	2.23 D	0.00	Sale
05/11/2020	438.00	814.61	05/11/2020	805.83	0.00	8.78	Sale
05/11/2020	495.00	613.72	Various	622.27	8.55 D	0.00	Sale

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REMARK HOLDINGS INC COMMON STOCK   CUSIP: 75955K102   Symbol: MARK							
05/11/2020	500.00	899.92	Various	903.62	3.70 D	0.00	Sale
05/11/2020	500.00	930.41	05/11/2020	919.90	0.00	10.51	Sale
05/11/2020	1,300.00	2,341.09	Various	2,349.38	8.29 D	0.00	Sale
05/11/2020	1,505.00	1,865.97	Various	1,823.77	8.50 D	50.70	Sale
05/11/2020	2,030.00	3,633.37	Various	3,667.66	34.29 D	0.00	Sale
05/11/2020	3,000.00	5,039.52	Various	5,096.59	57.07 D	0.00	Sale
05/11/2020	700.00	1,259.89	Various	1,260.26	0.4 D	0.03	Sale
05/11/2020	3,000.00	4,859.53	Various	4,739.26	0.00	120.27	Sale
05/11/2020	10.00	18.38	05/11/2020	18.37	0.00	0.01	Sale
05/11/2020	20.00	35.98	05/11/2020	36.40	0.42 D	0.00	Sale
05/11/2020	20.00	33.58	Various	33.49	0.00	0.09	Sale
05/11/2020	27.00	49.66	05/11/2020	49.61	0.00	0.05	Sale
05/11/2020	100.00	122.98	Various	120.92	0.00	2.06	Sale
05/11/2020	100.00	164.98	05/11/2020	166.87	1.89 D	0.00	Sale
05/11/2020	100.00	175.99	Various	176.42	0.43 D	0.00	Sale
05/11/2020	100.00	164.98	05/11/2020	166.87	1.89 D	0.00	Sale
05/11/2020	100.00	175.99	Various	176.42	0.43 D	0.00	Sale
05/11/2020	100.00	164.98	05/11/2020	166.87	1.89 D	0.00	Sale
05/11/2020	100.00	182.98	05/11/2020	183.73	0.75 D	0.00	Sale
05/11/2020	100.00	183.98	05/11/2020	183.73	0.00	0.25	Sale
05/11/2020	100.00	167.98	Various	167.43	0.00	0.55	Sale
05/11/2020	170.00	328.07	05/11/2020	328.10	0.03 D	0.00	Sale
05/11/2020	200.00	234.03	Various	238.10	4.07 D	0.00	Sale
05/11/2020	200.00	385.97	05/11/2020	386.00	0.03 D	0.00	Sale
05/11/2020	187.00	218.82	05/11/2020	222.61	3.79 D	0.00	Sale
05/11/2020	228.00	383.00	Various	381.73	0.00	1.27	Sale
05/11/2020	293.00	492.19	Various	490.57	0.00	1.62	Sale

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REMARK HOLDINGS INC COMMON STOCK   CUSIP: 75955K102   Symbol: MARK							
05/11/2020	300.00	370.45	Various	363.68	0.00	6.77	Sale
05/11/2020	281.00	472.03	Various	470.47	0.00	1.56	Sale
05/11/2020	300.00	503.94	Various	502.09	0.00	1.85	Sale
05/11/2020	400.00	493.93	05/11/2020	485.02	0.00	8.91	Sale
05/11/2020	400.00	493.93	Various	472.13	0.00	21.80	Sale
05/11/2020	400.00	493.93	Various	458.83	0.00	35.10	Sale
05/11/2020	400.00	493.93	Various	458.61	0.00	35.32	Sale
05/11/2020	400.00	771.93	05/11/2020	772.00	0.07 D	0.00	Sale
05/11/2020	400.00	659.93	05/11/2020	667.48	7.55 D	0.00	Sale
05/11/2020	500.00	824.92	05/11/2020	834.35	9.43 D	0.00	Sale
05/11/2020	400.00	771.93	05/11/2020	772.00	0.07 D	0.00	Sale
05/11/2020	500.00	919.91	05/11/2020	918.63	0.00	1.28	Sale
05/11/2020	500.00	919.91	05/11/2020	918.63	0.00	1.28	Sale
05/11/2020	500.00	914.91	05/11/2020	918.63	3.72 D	0.00	Sale
05/11/2020	500.00	919.91	05/11/2020	918.63	0.00	1.28	Sale
05/11/2020	500.00	824.92	05/11/2020	834.35	9.43 D	0.00	Sale
05/11/2020	500.00	919.91	05/11/2020	918.63	0.00	1.28	Sale
05/11/2020	630.00	1,215.80	05/11/2020	1,215.90	0.1 D	0.00	Sale
05/11/2020	700.00	1,175.89	Various	1,170.93	0.00	4.96	Sale
05/11/2020	711.00	1,105.50	Various	1,113.65	8.15 D	0.00	Sale
05/11/2020	500.00	919.91	05/11/2020	918.63	0.00	1.28	Sale
05/11/2020	803.00	1,469.35	05/11/2020	1,475.32	5.97 D	0.00	Sale
05/11/2020	861.00	1,549.83	Various	1,567.26	17.43 D	0.00	Sale
05/11/2020	960.00	1,756.65	05/11/2020	1,763.76	7.11 D	0.00	Sale
05/11/2020	900.00	1,583.94	Various	1,587.78	3.84 D	0.00	Sale
05/11/2020	1,000.00	1,629.84	Various	1,590.33	0.00	39.51	Sale
05/11/2020	1,000.00	1,629.94	05/11/2020	1,579.76	0.00	50.18	Sale

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REMARK HOLDINGS INC COMMON STOCK   CUSIP: 75955K102   Symbol: MARK							
05/11/2020	1,289.00	2,002.52	Various	2,001.04	2.42 D	3.90	Sale
05/11/2020	1,100.00	2,034.82	Various	2,023.97	0.00	10.85	Sale
05/11/2020	1,300.00	2,144.80	05/11/2020	2,169.31	24.51 D	0.00	Sale
05/11/2020	1,400.00	2,351.77	Various	2,340.93	0.00	10.84	Sale
05/11/2020	1,613.00	1,887.45	Various	1,988.15	100.70 D	0.00	Sale
05/11/2020	1,678.00	2,818.77	05/11/2020	2,802.26	0.00	16.51	Sale
05/11/2020	1,500.00	2,894.75	05/11/2020	2,895.00	0.25 D	0.00	Sale
05/11/2020	1,700.00	3,280.72	05/11/2020	3,281.00	0.28 D	0.00	Sale
05/11/2020	2,000.00	2,459.70	Various	2,306.64	0.00	153.06	Sale
05/11/2020	1,900.00	3,346.73	Various	3,351.93	5.20 D	0.00	Sale
05/11/2020	2,000.00	2,459.70	Various	2,425.29	14.69 D	49.10	Sale
05/11/2020	3,000.00	5,174.52	Various	5,217.07	42.55 D	0.00	Sale
05/11/2020	4,119.00	7,414.36	Various	7,513.19	98.83 D	0.00	Sale
05/11/2020	3,900.00	7,214.38	Various	7,175.86	0.00	38.52	Sale
05/11/2020	5,000.00	7,700.22	Various	7,759.57	59.35 D	0.00	Sale
05/11/2020	5,000.00	8,799.20	05/11/2020	8,800.00	0.8 D	0.00	Sale
05/11/2020	5,000.00	9,053.69	Various	9,148.83	95.79 D	0.65	Sale
05/11/2020	5,000.00	9,100.19	Various	9,195.79	95.63 D	0.03	Sale
05/12/2020	2,000.00	2,169.71	05/08/2020	2,139.60	0.00	30.11	Buy to Cover Short
05/12/2020	2,000.00	2,159.71	05/08/2020	2,240.00	80.29 D	0.00	Buy to Cover Short
05/12/2020	10.00	22.58	Various	22.89	0.31 D	0.00	Sale
05/12/2020	10.00	22.48	05/12/2020	22.19	0.00	0.29	Sale
05/12/2020	25.00	55.73	05/12/2020	57.26	1.53 D	0.00	Sale
05/12/2020	50.00	111.48	05/12/2020	114.53	3.05 D	0.00	Sale
05/12/2020	40.00	89.98	05/12/2020	88.75	0.00	1.23	Sale
05/12/2020	75.00	166.48	Various	171.79	5.31 D	0.00	Sale
05/12/2020	100.00	224.98	05/12/2020	221.87	0.00	3.11	Sale

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**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

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**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
REMARK HOLDINGS INC COMMON STOCK   CUSIP: 75955K102   Symbol: MARK							
05/12/2020	100.00	221.98	Various	229.07	7.09 D	0.00	Sale
05/12/2020	100.00	221.98	Various	229.18	7.20 D	0.00	Sale
05/12/2020	100.00	222.98	Various	226.34	3.36 D	0.00	Sale
05/12/2020	100.00	221.98	Various	226.07	4.09 D	0.00	Sale
05/12/2020	100.00	221.98	05/12/2020	226.08	4.1 D	0.00	Sale
05/12/2020	115.00	258.73	Various	253.15	0.00	5.58	Sale
05/12/2020	150.00	334.47	Various	337.66	3.19 D	0.00	Sale
05/12/2020	200.00	445.97	Various	451.66	5.69 D	0.00	Sale
05/12/2020	300.00	656.94	Various	691.55	34.61 D	0.00	Sale
05/12/2020	235.00	528.70	Various	520.64	0.00	8.06	Sale
05/12/2020	440.00	994.32	Various	1,004.57	10.25 D	0.00	Sale
05/12/2020	1,000.00	2,229.83	Various	2,252.28	22.45 D	0.00	Sale
05/12/2020	1,550.00	3,502.74	Various	3,593.11	90.37 D	0.00	Sale
05/12/2020	1,700.00	3,722.71	Various	3,899.17	176.46 D	0.00	Sale
05/12/2020	6.00	13.42	05/12/2020	13.74	0.32 D	0.00	Sale
05/12/2020	10.00	23.68	05/12/2020	24.30	0.62 D	0.00	Sale
05/12/2020	25.00	56.98	05/12/2020	57.47	0.49 D	0.00	Sale
05/12/2020	50.00	110.98	05/12/2020	112.47	1.49 D	0.00	Sale
05/12/2020	100.00	232.98	Various	233.90	0.92 D	0.00	Sale
05/12/2020	100.00	223.98	05/12/2020	229.08	5.1 D	0.00	Sale
05/12/2020	100.00	227.98	Various	229.90	1.92 D	0.00	Sale
05/12/2020	100.00	223.98	Various	232.89	8.91 D	0.00	Sale
05/12/2020	140.00	323.37	Various	331.01	7.64 D	0.00	Sale
05/12/2020	151.00	356.33	Various	379.91	23.58 D	0.00	Sale
05/12/2020	198.00	439.53	Various	446.00	6.47 D	0.00	Sale
05/12/2020	200.00	461.96	Various	472.50	10.54 D	0.00	Sale
05/12/2020	200.00	465.96	Various	468.01	2.05 D	0.00	Sale

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REMARK HOLDINGS INC COMMON STOCK   CUSIP: 75955K102   Symbol: MARK							
05/12/2020	200.00	471.96	Various	504.29	32.33 D	0.00	Sale
05/12/2020	232.00	540.51	05/12/2020	542.92	2.41 D	0.00	Sale
05/12/2020	247.00	560.64	05/12/2020	567.85	7.21 D	0.00	Sale
05/12/2020	300.00	710.94	Various	723.54	12.60 D	0.00	Sale
05/12/2020	300.00	710.94	Various	718.18	7.24 D	0.00	Sale
05/12/2020	300.00	508.44	Various	564.65	56.21 D	0.00	Sale
05/12/2020	300.00	508.44	Various	571.40	62.96 D	0.00	Sale
05/12/2020	319.00	730.45	Various	757.76	27.31 D	0.00	Sale
05/12/2020	320.00	732.74	Various	761.34	28.60 D	0.00	Sale
05/12/2020	391.00	864.04	Various	905.83	41.79 D	0.00	Sale
05/12/2020	394.00	882.49	Various	921.22	38.73 D	0.00	Sale
05/12/2020	400.00	923.92	Various	948.14	24.22 D	0.00	Sale
05/12/2020	400.00	943.92	Various	993.64	49.72 D	0.00	Sale
05/12/2020	468.00	1,090.35	Various	1,110.44	20.09 D	0.00	Sale
05/12/2020	500.00	1,134.91	Various	1,109.81	0.00	25.10	Sale
05/12/2020	500.00	1,164.91	Various	1,193.31	28.40 D	0.00	Sale
05/12/2020	500.00	1,164.91	05/12/2020	1,195.09	30.18 D	0.00	Sale
05/12/2020	500.00	1,179.91	Various	1,239.47	59.56 D	0.00	Sale
05/12/2020	500.00	1,179.91	Various	1,234.94	55.03 D	0.00	Sale
05/12/2020	600.00	1,415.89	Various	1,492.98	77.09 D	0.00	Sale
05/12/2020	600.00	1,013.90	Various	1,125.87	111.97 D	0.00	Sale
05/12/2020	628.00	1,431.73	05/12/2020	1,443.76	12.03 D	0.00	Sale
05/12/2020	636.00	1,500.84	Various	1,520.15	19.31 D	0.00	Sale
05/12/2020	700.00	1,574.88	Various	1,661.04	86.16 D	0.00	Sale
05/12/2020	700.00	1,567.88	Various	1,712.68	144.80 D	0.00	Sale
05/12/2020	754.00	1,786.85	Various	1,803.88	17.03 D	0.00	Sale
05/12/2020	800.00	1,351.87	Various	1,455.34	103.47 D	0.00	Sale

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**SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS**

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REMARK HOLDINGS INC COMMON STOCK   CUSIP: 75955K102   Symbol: MARK							
05/12/2020	1,000.00	2,269.82	05/12/2020	2,298.99	29.17 D	0.00	Sale
05/12/2020	1,000.00	2,249.83	05/12/2020	2,198.99	0.00	50.84	Sale
05/12/2020	1,000.00	2,209.83	Various	2,321.42	111.59 D	0.00	Sale
05/12/2020	1,260.00	2,910.38	Various	2,962.22	51.84 D	0.00	Sale
05/12/2020	1,361.00	3,021.19	Various	3,176.86	155.67 D	0.00	Sale
05/12/2020	1,361.00	3,116.46	Various	3,231.83	115.37 D	0.00	Sale
05/12/2020	1,649.00	3,891.35	Various	4,227.25	335.90 D	0.00	Sale
05/12/2020	2,000.00	4,740.05	Various	5,132.16	392.11 D	0.00	Sale
05/13/2020	1.00	1.54	05/13/2020	1.73	0.19 D	0.00	Sale
05/13/2020	10.00	15.58	05/13/2020	17.30	1.72 D	0.00	Sale
05/13/2020	10.00	15.98	Various	17.31	1.33 D	0.00	Sale
05/13/2020	30.00	47.98	Various	51.94	3.96 D	0.00	Sale
05/13/2020	36.00	56.14	05/13/2020	62.27	6.13 D	0.00	Sale
05/13/2020	50.00	77.98	05/13/2020	86.49	8.51 D	0.00	Sale
05/13/2020	59.00	92.02	Various	103.18	11.16 D	0.00	Sale
05/13/2020	80.00	127.98	Various	138.95	10.97 D	0.00	Sale
05/13/2020	94.00	146.62	05/13/2020	165.43	18.81 D	0.00	Sale
05/13/2020	50.00	79.98	Various	87.06	7.08 D	0.00	Sale
05/13/2020	100.00	155.98	05/13/2020	175.98	20 D	0.00	Sale
05/13/2020	100.00	155.98	Various	174.13	18.15 D	0.00	Sale
05/13/2020	100.00	156.98	Various	174.41	17.43 D	0.00	Sale
05/13/2020	111.00	177.58	Various	193.29	15.71 D	0.00	Sale
05/13/2020	200.00	311.97	Various	350.20	38.23 D	0.00	Sale
05/13/2020	200.00	319.97	Various	343.70	23.73 D	0.00	Sale
05/13/2020	146.00	227.73	Various	255.66	27.93 D	0.00	Sale
05/13/2020	250.00	389.96	Various	445.64	55.68 D	0.00	Sale
05/13/2020	250.00	399.96	Various	426.25	26.29 D	0.00	Sale

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**SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS**

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REMARK HOLDINGS INC COMMON STOCK   CUSIP: 75955K102   Symbol: MARK							
05/13/2020	400.00	623.93	Various	698.36	74.43 D	0.00	Sale
05/13/2020	250.00	399.96	Various	424.15	24.19 D	0.00	Sale
05/13/2020	432.00	678.17	Various	751.85	73.68 D	0.00	Sale
05/13/2020	500.00	784.92	Various	863.52	78.60 D	0.00	Sale
05/13/2020	500.00	799.92	Various	852.44	52.52 D	0.00	Sale
05/13/2020	500.00	779.92	Various	858.17	78.25 D	0.00	Sale
05/13/2020	639.00	1,022.29	Various	1,075.58	53.29 D	0.00	Sale
05/13/2020	805.00	1,287.87	Various	1,369.79	81.92 D	0.00	Sale
05/13/2020	950.00	1,519.85	Various	1,677.82	157.97 D	0.00	Sale
05/13/2020	1,000.00	1,559.84	Various	1,851.91	292.07 D	0.00	Sale
05/13/2020	1,022.00	1,594.16	Various	1,780.93	186.77 D	0.00	Sale
05/13/2020	1,125.00	1,799.83	Various	1,996.75	196.92 D	0.00	Sale
05/13/2020	2,000.00	3,719.67	Various	3,988.36	268.69 D	0.00	Sale
05/14/2020	500.00	934.92	Various	974.60	39.68 D	0.00	Buy to Cover Short
05/14/2020	500.00	839.91	Various	849.68	9.77 D	0.00	Buy to Cover Short
05/14/2020	1,000.00	2,044.77	Various	2,103.09	60.98 D	2.66	Buy to Cover Short
05/14/2020	23.00	50.12	05/12/2020	51.52	1.4 D	0.00	Buy to Cover Short
05/14/2020	32.00	69.44	Various	73.21	3.77 D	0.00	Buy to Cover Short
05/14/2020	95.00	205.18	Various	217.94	12.76 D	0.00	Buy to Cover Short
05/14/2020	100.00	217.98	Various	223.55	5.57 D	0.00	Buy to Cover Short
05/14/2020	100.00	217.98	Various	224.02	6.04 D	0.00	Buy to Cover Short
05/14/2020	100.00	217.98	05/12/2020	224.01	6.03 D	0.00	Buy to Cover Short
05/14/2020	70.00	154.69	05/12/2020	158.20	3.51 D	0.00	Buy to Cover Short
05/14/2020	100.00	218.40	Various	223.50	5.10 D	0.00	Buy to Cover Short
05/14/2020	100.00	218.98	05/12/2020	223.02	4.04 D	0.00	Buy to Cover Short
05/14/2020	100.00	218.99	05/12/2020	223.02	4.03 D	0.00	Buy to Cover Short
05/14/2020	100.00	218.98	05/12/2020	223.02	4.04 D	0.00	Buy to Cover Short

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REMARK HOLDINGS INC COMMON STOCK   CUSIP: 75955K102   Symbol: MARK							
05/14/2020	100.00	218.99	05/12/2020	223.01	4.02 D	0.00	Buy to Cover Short
05/14/2020	100.00	218.98	05/12/2020	223.02	4.04 D	0.00	Buy to Cover Short
05/14/2020	100.00	220.98	05/12/2020	227.00	6.02 D	0.00	Buy to Cover Short
05/14/2020	100.00	218.99	Various	224.01	5.02 D	0.00	Buy to Cover Short
05/14/2020	100.00	218.98	05/12/2020	223.02	4.04 D	0.00	Buy to Cover Short
05/14/2020	100.00	216.98	Various	228.66	11.68 D	0.00	Buy to Cover Short
05/14/2020	100.00	218.98	05/12/2020	223.02	4.04 D	0.00	Buy to Cover Short
05/14/2020	100.00	216.98	Various	228.04	11.06 D	0.00	Buy to Cover Short
05/14/2020	201.00	444.18	05/12/2020	456.27	12.09 D	0.00	Buy to Cover Short
05/14/2020	100.00	218.98	05/12/2020	223.02	4.04 D	0.00	Buy to Cover Short
05/14/2020	203.00	438.44	Various	466.88	28.44 D	0.00	Buy to Cover Short
05/14/2020	227.00	492.54	Various	515.98	23.44 D	0.00	Buy to Cover Short
05/14/2020	250.00	542.46	Various	565.09	22.63 D	0.00	Buy to Cover Short
05/14/2020	300.00	656.95	05/12/2020	669.05	12.1 D	0.00	Buy to Cover Short
05/14/2020	305.00	698.40	Various	789.12	90.72 D	0.00	Buy to Cover Short
05/14/2020	377.00	825.57	05/12/2020	840.77	15.2 D	0.00	Buy to Cover Short
05/14/2020	291.00	631.43	Various	658.52	27.09 D	0.00	Buy to Cover Short
05/14/2020	399.00	861.78	Various	912.96	51.18 D	0.00	Buy to Cover Short
05/14/2020	468.00	1,010.79	Various	1,094.41	83.62 D	0.00	Buy to Cover Short
05/14/2020	500.00	1,079.91	Various	1,156.92	77.01 D	0.00	Buy to Cover Short
05/14/2020	500.00	1,076.89	Various	1,135.41	58.52 D	0.00	Buy to Cover Short
05/14/2020	500.00	1,079.91	Various	1,130.16	50.25 D	0.00	Buy to Cover Short
05/14/2020	500.00	934.91	Various	1,013.55	78.64 D	0.00	Buy to Cover Short
05/14/2020	532.00	1,149.03	Various	1,235.26	86.23 D	0.00	Buy to Cover Short
05/14/2020	629.00	1,389.98	05/12/2020	1,421.54	31.56 D	0.00	Buy to Cover Short
05/14/2020	803.00	1,734.34	Various	1,875.89	141.55 D	0.00	Buy to Cover Short
05/14/2020	1,000.00	2,199.83	Various	2,220.18	20.35 D	0.00	Buy to Cover Short

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REMARK HOLDINGS INC COMMON STOCK   CUSIP: 75955K102   Symbol: MARK							
05/14/2020	1,000.00	2,209.83	05/12/2020	2,260.00	50.17 D	0.00	Buy to Cover Short
05/14/2020	1,000.00	2,279.82	Various	2,271.09	17.54 D	26.27	Buy to Cover Short
05/14/2020	1,000.00	2,319.83	Various	2,756.67	436.84 D	0.00	Buy to Cover Short
05/14/2020	1,500.00	2,519.78	Various	2,941.57	421.79 D	0.00	Buy to Cover Short
05/14/2020	1,695.00	3,941.22	Various	4,287.96	346.74 D	0.00	Buy to Cover Short
05/14/2020	1,000.00	1,679.80	Various	1,995.37	315.57 D	0.00	Buy to Cover Short
05/14/2020	2,000.00	4,159.66	Various	4,517.14	357.48 D	0.00	Buy to Cover Short
05/14/2020	2,000.00	4,639.64	Various	5,195.46	555.82 D	0.00	Buy to Cover Short
05/14/2020	2,000.00	4,039.66	Various	4,635.79	596.13 D	0.00	Buy to Cover Short
05/14/2020	3,000.00	6,329.48	Various	6,450.00	120.52 D	0.00	Buy to Cover Short
05/18/2020	2,000.00	3,019.69	Various	3,184.29	164.60 D	0.00	Sale
05/18/2020	2,000.00	3,025.09	Various	3,358.79	333.70 D	0.00	Sale
05/18/2020	2,000.00	3,023.69	Various	3,403.46	379.77 D	0.00	Sale
05/19/2020	100.00	185.98	Various	201.59	15.61 D	0.00	Sale
05/19/2020	100.00	185.98	Various	201.56	15.58 D	0.00	Sale
05/19/2020	100.00	185.98	Various	205.90	19.92 D	0.00	Sale
05/19/2020	100.00	185.98	Various	209.09	23.11 D	0.00	Sale
05/19/2020	300.00	557.94	Various	628.39	70.45 D	0.00	Sale
05/19/2020	300.00	557.94	Various	626.04	68.10 D	0.00	Sale
05/19/2020	900.00	1,673.85	Various	1,885.00	211.15 D	0.00	Sale
05/19/2020	3,100.00	5,765.50	Various	6,568.16	802.66 D	0.00	Sale
05/21/2020	100.00	185.98	Various	197.43	11.45 D	0.00	Sale
05/21/2020	100.00	185.99	Various	204.29	18.30 D	0.00	Sale
05/21/2020	313.00	575.86	Various	628.66	52.80 D	0.00	Sale
05/21/2020	800.00	1,487.86	Various	1,636.22	148.36 D	0.00	Sale
05/21/2020	1,000.00	1,859.83	Various	1,974.35	114.52 D	0.00	Sale
05/21/2020	1,687.00	3,107.02	Various	3,328.49	221.47 D	0.00	Sale

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**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

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REMARK HOLDINGS INC COMMON STOCK   CUSIP: 75955K102   Symbol: MARK							
05/22/2020	500.00	1,114.91	Various	1,209.76	94.85 D	0.00	Sale
05/22/2020	200.00	445.97	Various	483.84	37.87 D	0.00	Sale
05/22/2020	200.00	445.97	Various	486.46	40.49 D	0.00	Sale
05/22/2020	400.00	891.93	Various	968.78	76.85 D	0.00	Sale
05/22/2020	400.00	891.93	Various	980.92	88.99 D	0.00	Sale
05/22/2020	300.00	668.97	Various	724.93	55.96 D	0.00	Sale
05/27/2020	6.00	20.74	05/27/2020	23.23	2.49 D	0.00	Sale
05/27/2020	50.00	172.98	05/27/2020	193.59	20.61 D	0.00	Sale
05/27/2020	100.00	345.98	Various	387.19	41.21 D	0.00	Sale
05/27/2020	600.00	2,045.88	Various	2,211.30	165.42 D	0.00	Sale
05/27/2020	1,400.00	4,913.72	Various	5,171.24	257.52 D	0.00	Sale
05/27/2020	4,000.00	13,079.23	Various	14,076.15	887.32 D	-109.60	Sale
05/27/2020	50.00	171.98	Various	182.86	10.88 D	0.00	Sale
05/27/2020	1,844.00	6,379.87	Various	6,824.37	444.50 D	0.00	Sale
05/27/2020	1,950.00	6,707.62	Various	7,163.77	456.15 D	0.00	Sale
05/27/2020	2,000.00	6,929.60	Various	7,212.29	282.69 D	0.00	Sale
06/16/2020	400.00	1,012.16	Various	1,093.11	0.00	-80.95	Sale
06/16/2020	400.00	1,012.16	Various	1,106.99	0.00	-94.83	Sale
06/16/2020	400.00	1,012.48	Various	1,123.30	0.00	-110.82	Sale
06/16/2020	400.00	1,012.32	Various	1,105.92	0.00	-93.60	Sale
06/16/2020	2,000.00	5,099.64	Various	5,400.01	0.00	-300.37	Sale
06/16/2020	400.00	1,012.16	Various	1,120.89	0.00	-108.73	Sale
06/16/2020	2,000.00	4,923.65	Various	5,592.10	0.00	-668.45	Sale
06/16/2020	2,000.00	5,241.84	Various	5,809.62	0.00	-567.78	Sale
07/31/2020	1,000.00	1,530.84	07/31/2020	1,458.60	0.00	72.24	Sale
07/31/2020	1,000.00	1,570.84	07/31/2020	1,458.60	0.00	112.24	Sale
07/31/2020	1,000.00	1,560.84	07/31/2020	1,460.00	0.00	100.84	Sale

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**SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS**

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REMARK HOLDINGS INC COMMON STOCK   CUSIP: 75955K102   Symbol: MARK							
07/31/2020	1,000.00	1,559.94	07/31/2020	1,460.00	0.00	99.94	Sale
07/31/2020	1,000.00	1,559.84	Various	1,530.00	0.00	29.84	Sale
07/31/2020	2,000.00	3,219.68	Various	3,180.00	0.00	39.68	Sale
10/23/2020	4.00	5.86	10/23/2020	6.00	0.14 D	0.00	Sale
10/23/2020	10.00	14.38	10/23/2020	15.31	0.93 D	0.00	Sale
10/23/2020	10.00	14.38	10/23/2020	15.31	0.93 D	0.00	Sale
10/23/2020	17.00	24.46	10/23/2020	28.57	4.11 D	0.00	Sale
10/23/2020	25.00	35.23	10/23/2020	37.50	2.27 D	0.00	Sale
10/23/2020	50.00	71.98	10/23/2020	88.57	16.59 D	0.00	Sale
10/23/2020	10.00	14.38	10/23/2020	15.30	0.92 D	0.00	Sale
10/23/2020	100.00	146.98	Various	150.04	3.06 D	0.00	Sale
10/23/2020	100.00	140.98	Various	150.03	9.05 D	0.00	Sale
10/23/2020	100.00	143.98	Various	177.62	33.64 D	0.00	Sale
10/23/2020	83.00	119.50	10/23/2020	139.48	19.98 D	0.00	Sale
10/23/2020	100.00	143.98	Various	161.08	17.10 D	0.00	Sale
10/23/2020	180.00	259.17	Various	302.49	43.32 D	0.00	Sale
10/23/2020	175.00	246.72	10/23/2020	262.50	15.78 D	0.00	Sale
10/23/2020	100.00	143.98	Various	175.44	31.46 D	0.00	Sale
10/23/2020	280.00	403.16	Various	425.54	22.38 D	0.00	Sale
10/23/2020	200.00	287.97	Various	303.44	15.47 D	0.00	Sale
10/23/2020	400.00	575.93	Various	677.64	101.71 D	0.00	Sale
10/23/2020	350.00	503.94	Various	599.83	95.89 D	0.00	Sale
10/23/2020	330.00	475.14	Various	566.56	91.42 D	0.00	Sale
10/23/2020	400.00	563.93	Various	634.76	70.83 D	0.00	Sale
10/23/2020	500.00	734.92	Various	740.00	5.08 D	0.00	Sale
10/23/2020	500.00	704.92	Various	774.37	69.45 D	0.00	Sale
10/23/2020	440.00	633.53	Various	705.50	71.97 D	0.00	Sale

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APEX CLEARING

Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B\*

OMB No. 1545-0715

2TZ05705

(continued)

01/24/2021

**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)

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

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REMARK HOLDINGS INC COMMON STOCK   CUSIP: 75955K102   Symbol: MARK							
10/23/2020	500.00	734.92	Various	745.08	10.16 D	0.00	Sale
10/23/2020	507.00	730.00	Various	887.84	157.84 D	0.00	Sale
10/23/2020	500.00	719.92	Various	861.66	141.74 D	0.00	Sale
10/23/2020	600.00	863.91	Various	902.55	38.64 D	0.00	Sale
10/23/2020	600.00	863.91	Various	983.44	119.53 D	0.00	Sale
10/23/2020	635.00	895.25	Various	969.22	38.64 D	-35.33	Sale
10/23/2020	600.00	863.91	Various	910.84	46.93 D	0.00	Sale
10/23/2020	813.00	1,170.59	Various	1,426.99	256.40 D	0.00	Sale
10/23/2020	700.00	986.89	Various	1,136.61	149.72 D	0.00	Sale
10/23/2020	1,220.00	1,756.61	Various	1,989.10	232.49 D	0.00	Sale
10/23/2020	1,361.00	1,918.80	Various	2,198.07	279.27 D	0.00	Sale
10/23/2020	1,500.00	2,159.77	Various	2,327.58	167.81 D	0.00	Sale
10/26/2020	2,000.00	2,700.50	Various	3,220.79	0.00	-520.29	Sale
<b>Security Totals:</b>		<b>526,053.79</b>		<b>549,993.05</b>		<b>-1,114.86</b>	
CYNERGISTEK INC COMMON STOCK   CUSIP: 23258P105   Symbol: CTEK							
09/30/2020	2.00	3.96	09/30/2020	3.84	0.00	0.12	Sale
09/30/2020	100.00	243.98	09/30/2020	242.00	0.00	1.98	Sale
09/30/2020	14.00	34.14	09/30/2020	33.88	0.00	0.26	Sale
09/30/2020	140.00	341.57	09/30/2020	338.80	0.00	2.77	Sale
09/30/2020	200.00	487.96	Various	484.00	0.00	3.96	Sale
09/30/2020	300.00	596.94	Various	575.95	0.00	20.99	Sale
09/30/2020	400.00	792.33	Various	768.06	0.00	24.27	Sale
09/30/2020	600.00	1,188.50	09/30/2020	1,152.11	0.00	36.39	Sale
09/30/2020	698.00	1,388.90	Various	1,340.28	0.00	48.62	Sale
09/30/2020	1,546.00	3,771.97	09/30/2020	3,741.32	0.00	30.65	Sale
09/30/2020	2,000.00	4,459.66	Various	4,540.00	80.34 D	0.00	Sale
<b>Security Totals:</b>		<b>13,309.91</b>		<b>13,220.24</b>		<b>170.01</b>	

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APEX CLEARING

Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B\*

OMB No. 1545-0715

2TZ05705

(continued)

01/24/2021

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)

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CONSOLIDATED COMMUNICATIONS HLDGS INC   CUSIP: 209034107   Symbol: CNSL							
02/25/2020	1,000.00	6,979.72	02/21/2020	7,120.00	0.00	-140.28	Buy to Cover Short
PIONEER POWER SOLUTIONS INC   CUSIP: 723836300   Symbol: PPSI							
10/07/2020	19.00	123.29	10/07/2020	120.66	0.00	2.63	Sale
10/07/2020	100.00	525.97	Various	546.01	20.04 D	0.00	Sale
10/07/2020	100.00	551.01	Various	583.24	32.23 D	0.00	Sale
10/07/2020	100.00	525.97	Various	550.01	24.04 D	0.00	Sale
10/07/2020	159.00	971.44	Various	973.15	1.71 D	0.00	Sale
10/07/2020	231.00	1,499.12	Various	1,459.90	0.00	39.22	Sale
10/07/2020	250.00	1,597.43	Various	1,608.40	17.02 D	6.05	Sale
10/07/2020	250.00	1,619.93	Various	1,605.49	5.68 D	20.12	Sale
10/07/2020	200.00	1,052.15	Various	1,096.12	43.97 D	0.00	Sale
10/07/2020	250.00	1,612.43	10/07/2020	1,512.50	0.00	99.93	Sale
10/07/2020	250.00	1,612.43	10/07/2020	1,512.50	0.00	99.93	Sale
10/07/2020	250.00	1,624.93	Various	1,535.20	0.00	89.73	Sale
10/07/2020	250.00	1,612.43	Various	1,549.63	0.00	62.80	Sale
10/07/2020	250.00	1,614.93	10/07/2020	1,512.50	0.00	102.43	Sale
10/07/2020	300.00	1,653.04	Various	1,745.63	92.59 D	0.00	Sale
10/07/2020	300.00	1,653.04	Various	1,752.74	99.70 D	0.00	Sale
10/07/2020	300.00	1,653.22	Various	1,734.27	81.05 D	0.00	Sale
10/07/2020	500.00	2,949.87	Various	2,953.25	4.39 D	1.01	Sale
10/07/2020	500.00	2,854.87	Various	2,926.70	80.61 D	8.78	Sale
10/07/2020	600.00	3,149.86	Various	3,268.09	118.23 D	0.00	Sale
10/07/2020	841.00	5,129.88	Various	5,232.15	110.86 D	8.59	Sale
10/07/2020	1,000.00	6,079.74	Various	6,280.54	200.80 D	0.00	Sale
10/07/2020	1,000.00	6,079.74	Various	6,323.82	244.08 D	0.00	Sale
10/07/2020	40.00	243.18	Various	246.43	3.25 D	0.00	Sale
10/07/2020	60.00	365.98	Various	369.64	3.66 D	0.00	Sale
10/07/2020	70.00	426.28	Various	431.74	5.46 D	0.00	Sale

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PIONEER POWER SOLUTIONS INC   CUSIP: 723836300   Symbol: PPSI							
10/07/2020	100.00	607.97	Various	639.85	31.88 D	0.00	Sale
10/07/2020	100.00	607.97	Various	634.23	26.26 D	0.00	Sale
10/07/2020	130.00	790.36	10/07/2020	816.39	26.03 D	0.00	Sale
10/07/2020	300.00	1,841.91	Various	1,867.34	25.43 D	0.00	Sale
10/07/2020	100.00	607.97	Various	642.99	35.02 D	0.00	Sale
10/07/2020	300.00	1,595.92	10/07/2020	1,608.00	12.08 D	0.00	Sale
10/07/2020	700.00	4,297.82	Various	4,444.58	146.76 D	0.00	Sale
10/07/2020	700.00	3,723.83	Various	3,788.04	64.21 D	0.00	Sale
10/07/2020	400.00	2,431.89	Various	2,491.62	59.73 D	0.00	Sale
12/04/2020	10.00	50.88	12/04/2020	51.91	1.03 D	0.00	Sale
12/04/2020	17.00	86.51	Various	88.12	1.61 D	0.00	Sale
12/04/2020	40.00	200.78	Various	214.02	13.24 D	0.00	Sale
12/04/2020	19.00	98.21	Various	109.83	11.62 D	0.00	Sale
12/04/2020	42.00	216.70	Various	256.98	0.00	-40.28	Sale
12/04/2020	70.00	352.08	Various	374.53	22.45 D	0.00	Sale
12/04/2020	17.00	86.51	12/04/2020	88.08	1.57 D	0.00	Sale
12/04/2020	45.00	232.63	Various	260.79	28.16 D	0.00	Sale
12/04/2020	81.00	418.75	Various	458.07	39.32 D	0.00	Sale
12/04/2020	83.00	422.45	Various	430.01	7.56 D	0.00	Sale
12/04/2020	70.00	352.08	Various	374.52	22.44 D	0.00	Sale
12/04/2020	83.00	423.28	12/04/2020	430.00	6.72 D	0.00	Sale
12/04/2020	100.00	549.97	Various	651.49	101.52 D	0.00	Sale
12/04/2020	100.00	508.97	Various	519.11	10.14 D	0.00	Sale
12/04/2020	100.00	515.97	Various	595.84	0.00	-79.87	Sale
12/04/2020	100.00	515.97	Various	570.65	0.00	-54.68	Sale
12/04/2020	100.00	550.97	Various	623.59	72.62 D	0.00	Sale
12/04/2020	100.00	514.97	Various	556.75	0.00	-41.78	Sale

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PIONEER POWER SOLUTIONS INC   CUSIP: 723836300   Symbol: PPSI							
12/04/2020	100.00	550.97	Various	613.49	62.52 D	0.00	Sale
12/04/2020	100.00	550.97	Various	594.58	43.61 D	0.00	Sale
12/04/2020	100.00	551.07	Various	579.75	28.68 D	0.00	Sale
12/04/2020	115.00	577.27	Various	611.81	34.54 D	0.00	Sale
12/04/2020	105.00	528.12	12/04/2020	551.28	23.16 D	0.00	Sale
12/04/2020	155.00	801.31	Various	862.91	61.60 D	0.00	Sale
12/04/2020	190.00	965.15	Various	996.76	31.61 D	0.00	Sale
12/04/2020	200.00	1,031.95	Various	1,154.47	0.00	-122.52	Sale
12/04/2020	200.00	1,005.95	12/04/2020	1,050.05	44.1 D	0.00	Sale
12/04/2020	250.00	1,409.93	Various	1,565.78	155.85 D	0.00	Sale
12/04/2020	200.00	1,033.95	Various	1,174.09	140.14 D	0.00	Sale
12/04/2020	250.00	1,402.43	Various	1,471.75	69.32 D	0.00	Sale
12/04/2020	250.00	1,397.43	Various	1,456.64	60.11 D	0.90	Sale
12/04/2020	250.00	1,394.93	Various	1,363.70	0.00	31.23	Sale
12/04/2020	260.00	1,338.94	Various	1,365.00	26.06 D	0.00	Sale
12/04/2020	300.00	1,547.92	Various	1,775.95	0.00	-228.03	Sale
12/04/2020	300.00	1,547.92	Various	1,556.79	0.00	-8.87	Sale
12/04/2020	300.00	1,547.92	12/04/2020	1,556.77	0.00	-8.85	Sale
12/04/2020	400.00	2,011.90	Various	2,158.63	146.73 D	0.00	Sale
12/04/2020	400.00	2,067.90	Various	2,404.80	336.90 D	0.00	Sale
12/04/2020	400.00	2,067.90	Various	2,345.44	277.54 D	0.00	Sale
12/04/2020	400.00	2,067.90	Various	2,350.75	282.85 D	0.00	Sale
12/04/2020	400.00	2,067.90	Various	2,374.89	306.99 D	0.00	Sale
12/04/2020	500.00	2,544.88	Various	2,625.22	80.34 D	0.00	Sale
12/04/2020	400.00	2,067.90	Various	2,113.55	45.65 D	0.00	Sale
12/04/2020	500.00	2,539.88	Various	2,624.94	85.12 D	0.06	Sale
12/04/2020	500.00	2,559.88	Various	2,620.05	84.11 D	23.94	Sale

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**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

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**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
PIONEER POWER SOLUTIONS INC   CUSIP: 723836300   Symbol: PPSI							
12/04/2020	500.00	2,559.88	Various	2,793.79	233.91 D	0.00	Sale
12/04/2020	500.00	2,604.88	Various	2,793.76	188.88 D	0.00	Sale
12/04/2020	500.00	2,554.88	Various	2,855.97	301.09 D	0.00	Sale
12/04/2020	500.00	2,675.68	Various	3,017.63	341.95 D	0.00	Sale
12/04/2020	500.00	2,584.88	12/04/2020	2,585.00	0.12 D	0.00	Sale
12/04/2020	500.00	2,699.88	Various	3,048.65	348.77 D	0.00	Sale
12/04/2020	1,558.00	8,023.33	Various	8,084.50	0.00	-61.17	Sale
12/04/2020	740.00	3,810.82	Various	3,911.06	100.24 D	0.00	Sale
12/04/2020	5.00	25.41	Various	27.33	1.92 D	0.00	Sale
12/04/2020	13.00	65.90	12/04/2020	68.25	2.35 D	0.00	Sale
12/04/2020	10.00	50.73	Various	53.95	3.22 D	0.00	Sale
12/04/2020	15.00	82.48	Various	88.53	6.05 D	0.00	Sale
12/04/2020	25.00	126.73	12/04/2020	131.24	4.51 D	0.00	Sale
12/04/2020	25.00	126.98	12/04/2020	134.77	7.79 D	0.00	Sale
12/04/2020	100.00	506.97	Various	542.57	35.60 D	0.00	Sale
12/04/2020	50.00	254.23	Various	270.69	16.46 D	0.00	Sale
12/04/2020	100.00	506.97	Various	565.18	58.21 D	0.00	Sale
12/04/2020	113.00	572.88	Various	639.13	66.25 D	0.00	Sale
12/04/2020	192.00	975.31	Various	1,086.68	111.37 D	0.00	Sale
12/04/2020	162.00	821.30	Various	879.46	58.16 D	0.00	Sale
12/04/2020	200.00	1,102.33	Various	1,206.85	104.52 D	0.00	Sale
12/04/2020	151.00	773.22	Various	868.73	95.51 D	0.00	Sale
12/04/2020	200.00	971.99	Various	1,033.68	61.69 D	0.00	Sale
12/04/2020	250.00	1,402.43	Various	1,473.11	70.68 D	0.00	Sale
12/04/2020	205.00	1,042.38	Various	1,084.63	42.25 D	0.00	Sale
12/04/2020	250.00	1,423.03	Various	1,503.75	80.72 D	0.00	Sale
12/04/2020	300.00	1,653.49	Various	1,877.44	223.95 D	0.00	Sale

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APEX CLEARING

Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B\*

OMB No. 1545-0715

2TZ05705

(continued)

01/24/2021

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)

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

Box 12: Basis Reported to the IRS

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PIONEER POWER SOLUTIONS INC   CUSIP: 723836300   Symbol: PPSI							
12/04/2020	300.00	1,458.01	Various	1,599.93	141.92 D	0.00	Sale
12/04/2020	349.00	1,786.80	Various	2,040.83	254.03 D	0.00	Sale
12/04/2020	400.00	1,943.90	Various	2,083.14	139.24 D	0.00	Sale
12/04/2020	485.00	2,667.62	Various	2,865.97	198.35 D	0.00	Sale
12/04/2020	500.00	2,635.18	Various	2,878.29	243.11 D	0.00	Sale
12/04/2020	500.00	2,560.38	Various	2,797.27	236.89 D	0.00	Sale
12/04/2020	500.00	2,700.43	Various	3,104.85	404.42 D	0.00	Sale
12/04/2020	500.00	2,429.88	Various	2,719.12	289.24 D	0.00	Sale
12/04/2020	500.00	2,749.87	Various	3,062.14	312.27 D	0.00	Sale
12/04/2020	500.00	2,750.12	Various	3,031.35	281.23 D	0.00	Sale
12/04/2020	500.00	2,759.87	Various	3,035.69	275.82 D	0.00	Sale
12/04/2020	500.00	2,679.88	Various	3,097.89	418.01 D	0.00	Sale
12/04/2020	600.00	2,909.86	Various	3,137.51	227.65 D	0.00	Sale

Security Totals: 182,596.44 193,017.79 -48.70

\*\*\*JUMIA TECHNOLOGIES AG AMERICAN DEPOSITARY SHARES ECH REPRESENTING TWO ORDINARY SHS | CUSIP: 48138M105 | Symbol: JMIA

07/31/2020	91.00	1,406.81	Various	1,397.16	0.00	9.65	Sale
07/31/2020	100.00	1,545.95	Various	1,511.45	0.00	34.50	Sale
07/31/2020	100.00	1,510.95	07/31/2020	1,508.00	0.00	2.95	Sale
07/31/2020	100.00	1,545.95	07/31/2020	1,508.00	0.00	37.95	Sale
07/31/2020	100.00	1,545.95	07/31/2020	1,508.00	0.00	37.95	Sale
07/31/2020	159.00	2,458.06	Various	2,440.12	0.00	17.94	Sale
07/31/2020	250.00	3,862.38	07/31/2020	3,830.12	0.00	32.26	Sale
07/31/2020	1.00	14.99	07/31/2020	15.08	0.09 D	0.00	Sale
07/31/2020	1.00	14.99	07/31/2020	15.08	0.09 D	0.00	Sale
07/31/2020	99.00	1,485.94	07/31/2020	1,492.92	6.98 D	0.00	Sale
07/31/2020	100.00	1,545.95	07/31/2020	1,508.00	0.00	37.95	Sale
07/31/2020	100.00	1,545.95	07/31/2020	1,508.00	0.00	37.95	Sale
07/31/2020	250.00	3,799.88	07/31/2020	3,770.00	0.00	29.88	Sale

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APEX CLEARING

Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B\*

OMB No. 1545-0715

2TZ05705

(continued)

01/24/2021

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)

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

Box 12: Basis Reported to the IRS

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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
***JUMIA TECHNOLOGIES AG AMERICAN DEPOSITORY SHARES ECH REPRESENTING TWO ORDINARY SHS   CUSIP: 48138M105   Symbol: JMIA							
07/31/2020	549.00	8,240.23	Various	8,286.08	45.85 D	0.00	Sale
08/03/2020	2.00	46.48	08/03/2020	46.20	0.00	0.28	Sale
08/03/2020	10.00	231.98	08/03/2020	233.80	1.82 D	0.00	Sale
08/03/2020	34.00	788.77	08/03/2020	794.92	6.15 D	0.00	Sale
08/03/2020	37.00	858.37	08/03/2020	854.72	0.00	3.65	Sale
08/03/2020	51.00	1,188.26	Various	1,178.13	0.00	10.13	Sale
08/03/2020	100.00	2,319.93	08/03/2020	2,310.05	0.00	9.88	Sale
08/03/2020	100.00	2,288.93	08/03/2020	2,300.06	11.13 D	0.00	Sale
08/03/2020	152.00	2,948.71	08/03/2020	2,964.00	15.29 D	0.00	Sale
08/03/2020	100.00	2,319.93	08/03/2020	2,310.06	0.00	9.87	Sale
08/03/2020	66.00	1,533.13	08/03/2020	1,524.64	0.00	8.49	Sale
08/03/2020	348.00	6,751.01	08/03/2020	6,786.00	34.99 D	0.00	Sale
08/03/2020	600.00	13,919.62	Various	13,988.83	82.37 D	13.16	Sale
08/04/2020	500.00	9,199.73	Various	9,265.34	65.61 D	0.00	Sale
08/04/2020	500.00	9,199.73	Various	9,315.61	115.88 D	0.00	Sale
08/07/2020	100.00	1,960.94	08/07/2020	1,983.18	22.24 D	0.00	Sale
08/07/2020	100.00	1,959.94	08/07/2020	1,983.17	23.23 D	0.00	Sale
08/07/2020	300.00	5,879.83	Various	5,949.53	69.70 D	0.00	Sale
08/10/2020	500.00	9,869.72	Various	10,101.24	0.00	-231.52	Sale
10/28/2020	500.00	8,204.75	10/28/2020	8,297.55	0.00	-92.80	Sale
<b>Security Totals:</b>		<b>111,993.74</b>		<b>112,485.04</b>		<b>10.12</b>	
GAMESTOP CORP CLASS A   CUSIP: 36467W109   Symbol: GME							
10/08/2020	500.00	5,809.81	Various	5,665.00	0.00	144.81	Sale
HEAT BIOLOGICS INC COMMON STOCK   CUSIP: 42237K300   Symbol: HTBX							
07/13/2020	1,000.00	1,299.85	Various	1,259.61	0.00	40.24	Sale
07/13/2020	1,000.00	1,279.85	07/13/2020	1,259.55	0.00	20.30	Sale
07/13/2020	3,000.00	3,629.55	Various	3,660.00	30.45 D	0.00	Sale
07/13/2020	1,000.00	1,280.95	07/13/2020	1,259.56	0.00	21.39	Sale

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**SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS**

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

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HEAT BIOLOGICS INC COMMON STOCK   CUSIP: 42237K300   Symbol: HTBX							
07/16/2020	10.00	21.78	07/16/2020	21.99	0.21 D	0.00	Sale
07/16/2020	61.00	132.96	07/16/2020	134.16	1.2 D	0.00	Sale
07/16/2020	100.00	217.98	07/16/2020	219.94	1.96 D	0.00	Sale
07/16/2020	150.00	326.97	Various	329.90	2.93 D	0.00	Sale
07/16/2020	1,000.00	1,589.84	07/16/2020	1,540.00	0.00	49.84	Sale
07/16/2020	380.00	828.33	Various	835.77	7.44 D	0.00	Sale
07/16/2020	1,000.00	1,569.84	07/16/2020	1,540.00	0.00	29.84	Sale
07/16/2020	1,299.00	2,818.61	Various	2,854.80	36.19 D	0.00	Sale
07/16/2020	2,000.00	3,799.67	Various	3,858.23	58.56 D	0.00	Sale
07/16/2020	1,000.00	1,571.04	07/16/2020	1,540.00	0.00	31.04	Sale
07/16/2020	952.00	1,780.09	Various	1,808.85	28.76 D	0.00	Sale
07/16/2020	1,048.00	1,961.79	07/16/2020	1,991.26	29.47 D	0.00	Sale
07/16/2020	2,000.00	3,159.69	Various	3,220.00	60.31 D	0.00	Sale
07/17/2020	25.00	64.73	07/17/2020	69.63	4.9 D	0.00	Sale
07/17/2020	100.00	277.98	Various	279.82	1.84 D	0.00	Sale
07/17/2020	100.00	240.98	Various	267.36	26.38 D	0.00	Sale
07/17/2020	100.00	240.98	Various	267.29	26.31 D	0.00	Sale
07/17/2020	100.00	240.98	Various	267.30	26.32 D	0.00	Sale
07/17/2020	100.00	240.98	Various	267.32	26.34 D	0.00	Sale
07/17/2020	100.00	240.98	Various	267.71	26.73 D	0.00	Sale
07/17/2020	100.00	240.98	Various	267.66	26.68 D	0.00	Sale
07/17/2020	100.00	240.98	Various	268.68	27.70 D	0.00	Sale
07/17/2020	100.00	240.98	Various	268.68	27.70 D	0.00	Sale
07/17/2020	100.00	240.98	Various	268.61	27.63 D	0.00	Sale
07/17/2020	200.00	481.96	Various	537.97	56.01 D	0.00	Sale
07/17/2020	200.00	481.96	Various	538.97	57.01 D	0.00	Sale
07/17/2020	300.00	713.94	Various	785.28	71.34 D	0.00	Sale

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HEAT BIOLOGICS INC COMMON STOCK   CUSIP: 42237K300   Symbol: HTBX							
07/17/2020	300.00	722.94	Various	808.45	85.51 D	0.00	Sale
07/17/2020	400.00	963.92	Various	1,076.95	113.03 D	0.00	Sale
07/17/2020	500.00	1,204.91	Various	1,273.11	68.20 D	0.00	Sale
07/17/2020	500.00	1,204.91	Various	1,273.11	68.20 D	0.00	Sale
07/17/2020	500.00	1,204.91	Various	1,273.09	68.18 D	0.00	Sale
07/17/2020	500.00	1,204.91	Various	1,273.09	68.18 D	0.00	Sale
07/17/2020	500.00	1,204.91	Various	1,273.40	68.49 D	0.00	Sale
07/17/2020	500.00	1,204.91	07/17/2020	1,273.59	68.68 D	0.00	Sale
07/17/2020	1,000.00	2,599.82	Various	2,780.97	181.15 D	0.00	Sale
07/17/2020	3,975.00	10,294.55	Various	10,627.07	332.52 D	0.00	Sale
07/17/2020	4,700.00	11,185.19	Various	11,930.99	745.80 D	0.00	Sale
07/17/2020	5,000.00	12,499.12	Various	13,090.15	591.03 D	0.00	Sale
07/17/2020	5,000.00	12,999.11	Various	13,591.03	591.92 D	0.00	Sale
07/17/2020	5,000.00	12,749.11	Various	13,376.78	627.67 D	0.00	Sale
07/17/2020	5,000.00	11,899.13	Various	12,810.54	911.41 D	0.00	Sale
07/17/2020	10.00	24.78	07/17/2020	26.80	2.02 D	0.00	Sale
07/17/2020	10.00	24.78	07/17/2020	26.80	2.02 D	0.00	Sale
07/17/2020	10.00	24.78	07/17/2020	26.80	2.02 D	0.00	Sale
07/17/2020	83.00	205.82	Various	222.46	16.64 D	0.00	Sale
07/17/2020	100.00	247.98	07/17/2020	268.00	20.02 D	0.00	Sale
07/17/2020	100.00	247.98	Various	268.01	20.03 D	0.00	Sale
07/17/2020	100.00	247.98	07/17/2020	268.02	20.04 D	0.00	Sale
07/17/2020	100.00	247.98	Various	268.01	20.03 D	0.00	Sale
07/17/2020	100.00	247.98	Various	268.12	20.14 D	0.00	Sale
07/17/2020	100.00	247.98	07/17/2020	269.00	21.02 D	0.00	Sale
07/17/2020	100.00	237.98	Various	265.34	27.36 D	0.00	Sale
07/17/2020	100.00	237.98	Various	265.27	27.29 D	0.00	Sale

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HEAT BIOLOGICS INC COMMON STOCK   CUSIP: 42237K300   Symbol: HTBX							
07/17/2020	170.00	404.57	Various	450.99	46.42 D	0.00	Sale
07/17/2020	196.00	486.04	Various	527.13	41.09 D	0.00	Sale
07/17/2020	200.00	495.96	07/17/2020	537.60	41.64 D	0.00	Sale
07/17/2020	200.00	475.96	Various	531.25	55.29 D	0.00	Sale
07/17/2020	200.00	475.96	Various	533.00	57.04 D	0.00	Sale
07/17/2020	200.00	475.96	Various	533.10	57.14 D	0.00	Sale
07/17/2020	200.00	475.96	Various	534.63	58.67 D	0.00	Sale
07/17/2020	200.00	475.96	Various	534.93	58.97 D	0.00	Sale
07/17/2020	200.00	475.96	Various	534.93	58.97 D	0.00	Sale
07/17/2020	200.00	475.96	Various	534.93	58.97 D	0.00	Sale
07/17/2020	200.00	475.96	Various	534.93	58.97 D	0.00	Sale
07/17/2020	200.00	475.96	Various	534.21	58.25 D	0.00	Sale
07/17/2020	200.00	475.96	Various	509.39	33.43 D	0.00	Sale
07/17/2020	300.00	713.94	07/17/2020	757.81	43.87 D	0.00	Sale
07/17/2020	600.00	1,487.89	Various	1,612.80	124.91 D	0.00	Sale
07/17/2020	600.00	1,427.89	Various	1,515.62	87.73 D	0.00	Sale
07/17/2020	630.00	1,499.29	Various	1,591.39	92.10 D	0.00	Sale
07/17/2020	1,000.00	2,479.82	Various	2,582.42	102.60 D	0.00	Sale
07/17/2020	1,000.00	2,479.82	07/17/2020	2,540.35	60.53 D	0.00	Sale
07/17/2020	1,291.00	3,201.45	07/17/2020	3,279.60	78.15 D	0.00	Sale
07/17/2020	1,300.00	3,093.78	Various	3,284.62	190.84 D	0.00	Sale
07/17/2020	2,000.00	5,099.64	Various	5,389.79	290.15 D	0.00	Sale
07/17/2020	5,000.00	12,607.62	Various	13,142.90	535.28 D	0.00	Sale
07/21/2020	9.00	26.80	07/21/2020	31.30	4.5 D	0.00	Sale
07/21/2020	10.00	29.68	07/21/2020	31.57	1.89 D	0.00	Sale
07/21/2020	29.00	78.28	07/21/2020	87.05	8.77 D	0.00	Sale
07/21/2020	22.00	60.59	07/21/2020	73.16	12.57 D	0.00	Sale
07/21/2020	50.00	137.48	Various	166.26	28.78 D	0.00	Sale

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**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

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**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
HEAT BIOLOGICS INC COMMON STOCK   CUSIP: 42237K300   Symbol: HTBX							
07/21/2020	39.00	107.43	07/21/2020	129.69	22.26 D	0.00	Sale
07/21/2020	33.00	90.73	Various	109.75	19.02 D	0.00	Sale
07/21/2020	63.00	187.72	Various	220.72	33.00 D	0.00	Sale
07/21/2020	64.00	192.62	07/21/2020	202.65	10.03 D	0.00	Sale
07/21/2020	49.00	132.28	07/21/2020	147.09	14.81 D	0.00	Sale
07/21/2020	64.00	176.30	07/21/2020	212.84	36.54 D	0.00	Sale
07/21/2020	70.00	192.48	Various	232.79	40.31 D	0.00	Sale
07/21/2020	100.00	300.98	Various	316.63	15.65 D	0.00	Sale
07/21/2020	100.00	300.98	Various	316.64	15.66 D	0.00	Sale
07/21/2020	100.00	274.98	Various	332.57	57.59 D	0.00	Sale
07/21/2020	67.00	180.88	07/21/2020	201.12	20.24 D	0.00	Sale
07/21/2020	70.00	192.48	07/21/2020	232.80	40.32 D	0.00	Sale
07/21/2020	100.00	306.98	Various	347.50	40.52 D	0.00	Sale
07/21/2020	100.00	274.98	Various	332.56	57.58 D	0.00	Sale
07/21/2020	100.00	306.98	Various	335.37	28.39 D	0.00	Sale
07/21/2020	100.00	300.98	07/21/2020	316.64	15.66 D	0.00	Sale
07/21/2020	119.00	365.31	Various	399.08	33.77 D	0.00	Sale
07/21/2020	129.00	385.04	Various	450.42	65.38 D	0.00	Sale
07/21/2020	154.00	463.50	Various	487.64	24.14 D	0.00	Sale
07/21/2020	200.00	539.96	Various	600.49	60.53 D	0.00	Sale
07/21/2020	160.00	439.97	Various	532.09	92.12 D	0.00	Sale
07/21/2020	190.00	564.26	Various	600.65	36.39 D	0.00	Sale
07/21/2020	200.00	559.96	Various	658.77	98.81 D	0.00	Sale
07/21/2020	200.00	559.96	Various	658.73	98.77 D	0.00	Sale
07/21/2020	200.00	559.96	Various	659.47	99.51 D	0.00	Sale
07/21/2020	200.00	559.96	Various	661.48	101.52 D	0.00	Sale
07/21/2020	200.00	549.96	Various	664.58	114.62 D	0.00	Sale

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HEAT BIOLOGICS INC COMMON STOCK   CUSIP: 42237K300   Symbol: HTBX							
07/21/2020	200.00	593.96	07/21/2020	632.46	38.5 D	0.00	Sale
07/21/2020	200.00	593.96	Various	632.47	38.51 D	0.00	Sale
07/21/2020	200.00	593.96	Various	632.45	38.49 D	0.00	Sale
07/21/2020	200.00	593.96	Various	632.45	38.49 D	0.00	Sale
07/21/2020	300.00	893.94	Various	1,045.83	151.89 D	0.00	Sale
07/21/2020	300.00	809.94	Various	900.81	90.87 D	0.00	Sale
07/21/2020	200.00	549.96	Various	622.07	72.11 D	0.00	Sale
07/21/2020	400.00	1,099.92	Various	1,218.81	118.89 D	0.00	Sale
07/21/2020	400.00	1,203.92	Various	1,266.56	62.64 D	0.00	Sale
07/21/2020	482.00	1,450.72	Various	1,526.18	75.46 D	0.00	Sale
07/21/2020	400.00	1,099.92	Various	1,218.78	118.86 D	0.00	Sale
07/21/2020	600.00	1,805.89	Various	1,899.82	93.93 D	0.00	Sale
07/21/2020	500.00	1,489.90	Various	1,743.09	253.19 D	0.00	Sale
07/21/2020	700.00	1,889.87	Various	2,188.56	298.69 D	0.00	Sale
07/21/2020	881.00	2,704.51	Various	2,931.72	227.21 D	0.00	Sale
07/21/2020	700.00	1,889.87	Various	2,286.93	397.06 D	0.00	Sale
07/21/2020	800.00	2,456.64	Various	2,592.31	135.67 D	0.00	Sale
07/21/2020	1,000.00	2,980.81	Various	3,391.83	411.02 D	0.00	Sale
07/21/2020	1,000.00	2,749.81	Various	3,051.68	301.87 D	0.00	Sale
07/21/2020	999.00	2,976.83	Various	3,331.10	354.27 D	0.00	Sale
07/21/2020	2,000.00	5,879.63	Various	6,733.35	853.72 D	0.00	Sale
07/21/2020	2,000.00	6,019.62	Various	6,616.65	597.03 D	0.00	Sale
07/21/2020	1,002.00	2,755.31	Various	3,058.82	303.51 D	0.00	Sale
07/21/2020	2,000.00	5,599.63	Various	6,191.20	591.57 D	0.00	Sale
07/21/2020	400.00	1,119.92	Various	1,249.05	129.13 D	0.00	Sale
07/21/2020	3,200.00	8,959.42	Various	10,244.20	1284.78 D	0.00	Sale
07/21/2020	1,000.00	2,972.91	Various	3,421.97	449.06 D	0.00	Sale

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**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)

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

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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
HEAT BIOLOGICS INC COMMON STOCK   CUSIP: 42237K300   Symbol: HTBX							
07/21/2020	400.00	1,119.92	Various	1,249.24	129.32 D	0.00	Sale
07/21/2020	1,000.00	2,999.81	Various	3,192.33	192.52 D	0.00	Sale
07/21/2020	4,000.00	11,659.26	Various	12,904.77	1245.51 D	0.00	Sale
07/21/2020	2,000.00	5,661.63	Various	6,702.88	1041.25 D	0.00	Sale
07/21/2020	1,600.00	4,485.95	Various	5,293.39	807.44 D	0.00	Sale
07/21/2020	1,600.00	4,485.95	Various	5,132.00	646.05 D	0.00	Sale
07/21/2020	2,000.00	6,099.62	Various	6,723.54	623.92 D	0.00	Sale
07/22/2020	100.00	257.98	Various	271.84	13.86 D	0.00	Sale
07/22/2020	1,900.00	4,903.56	Various	5,200.44	296.88 D	0.00	Sale
07/28/2020	3,000.00	6,422.49	Various	7,703.43	1280.94 D	0.00	Sale
07/29/2020	10.00	29.18	07/29/2020	30.82	1.64 D	0.00	Sale
07/29/2020	31.00	90.50	Various	95.99	5.49 D	0.00	Sale
07/29/2020	55.00	157.28	Various	176.09	18.81 D	0.00	Sale
07/29/2020	30.00	87.28	Various	92.49	5.21 D	0.00	Sale
07/29/2020	40.00	116.38	Various	132.67	16.29 D	0.00	Sale
07/29/2020	91.00	264.79	Various	293.20	28.41 D	0.00	Sale
07/29/2020	100.00	282.98	Various	329.38	46.40 D	0.00	Sale
07/29/2020	100.00	282.98	Various	327.10	44.12 D	0.00	Sale
07/29/2020	100.00	282.98	Various	327.33	44.35 D	0.00	Sale
07/29/2020	109.00	317.17	Various	351.19	34.02 D	0.00	Sale
07/29/2020	100.00	291.98	Various	308.22	16.24 D	0.00	Sale
07/29/2020	136.00	395.73	Various	419.23	23.50 D	0.00	Sale
07/29/2020	200.00	565.96	Various	655.31	89.35 D	0.00	Sale
07/29/2020	200.00	601.96	Various	627.90	25.94 D	0.00	Sale
07/29/2020	200.00	581.96	Various	616.61	34.65 D	0.00	Sale
07/29/2020	200.00	583.96	Various	616.61	32.65 D	0.00	Sale
07/29/2020	274.00	797.29	Various	882.85	85.56 D	0.00	Sale

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APEX CLEARING

Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B\*

OMB No. 1545-0715

2TZ05705

(continued)

01/24/2021

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

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HEAT BIOLOGICS INC COMMON STOCK   CUSIP: 42237K300   Symbol: HTBX							
07/29/2020	445.00	1,272.62	Various	1,430.17	157.55 D	0.00	Sale
07/29/2020	300.00	872.94	Various	923.87	50.93 D	0.00	Sale
07/29/2020	500.00	1,414.90	Various	1,640.91	226.01 D	0.00	Sale
07/29/2020	516.00	1,506.62	Various	1,672.43	165.81 D	0.00	Sale
07/29/2020	500.00	1,429.90	Various	1,595.30	165.40 D	0.00	Sale
07/29/2020	508.00	1,478.18	Various	1,662.46	184.28 D	0.00	Sale
07/29/2020	1,000.00	2,810.81	Various	3,208.95	0.00	-398.14	Sale
07/29/2020	1,000.00	2,810.81	Various	3,069.47	0.00	-258.66	Sale
07/29/2020	1,000.00	2,810.81	Various	2,870.34	0.00	-59.53	Sale
07/29/2020	1,486.00	4,323.98	Various	4,570.83	246.85 D	0.00	Sale
07/29/2020	1,000.00	2,810.81	Various	2,937.87	0.00	-127.06	Sale
07/29/2020	1,800.00	5,417.67	Various	5,682.85	265.18 D	0.00	Sale
08/05/2020	1,000.00	2,319.82	Various	2,627.04	0.00	-307.22	Sale
<b>Security Totals:</b>		<b>314,847.46</b>		<b>340,684.83</b>		<b>-957.96</b>	
DIGIRAD CORPORATION COMMON STOCK   CUSIP: 253827703   Symbol: DRAD							
03/06/2020	500.00	3,549.86	Various	3,650.00	0.00	-100.14	Sale
DIAMONDPEAK HOLDINGS CORP CLASS A COMMON STOCK   CUSIP: 25280H100   Symbol: DPHC							
09/21/2020	45.00	1,268.97	09/17/2020	1,251.00	0.00	17.97	Buy to Cover Short
09/21/2020	100.00	2,819.92	09/17/2020	2,780.00	0.00	39.92	Buy to Cover Short
09/21/2020	105.00	2,960.92	09/17/2020	2,919.00	0.00	41.92	Buy to Cover Short
09/21/2020	250.00	7,049.81	09/17/2020	6,887.50	0.00	162.31	Buy to Cover Short
09/21/2020	100.00	2,767.90	Various	2,768.00	0.10 D	0.00	Buy to Cover Short
09/21/2020	100.00	2,767.92	Various	2,768.02	0.02 D	-0.08	Buy to Cover Short
09/21/2020	100.00	2,767.93	Various	2,768.10	0.00	-0.17	Buy to Cover Short
09/21/2020	500.00	14,099.63	09/17/2020	13,930.00	0.00	169.63	Buy to Cover Short
<b>Security Totals:</b>		<b>36,503.00</b>		<b>36,071.62</b>		<b>431.50</b>	
AEMETIS INC   CUSIP: 00770K202   Symbol: AMTX							
08/11/2020	2,000.00	5,279.64	Various	5,360.00	0.00	-80.36	Sale

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APEX CLEARING

Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B\*

OMB No. 1545-0715

2TZ05705

(continued)

01/24/2021

SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

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AEMETIS INC   CUSIP: 00770K202   Symbol: AMTX							
10/01/2020	23.00	74.27	Various	75.44	0.82 D	-0.35	Sale
10/01/2020	477.00	1,526.78	Various	1,602.35	0.00	-75.57	Sale
10/01/2020	500.00	1,600.65	Various	1,680.41	0.00	-79.76	Sale
10/01/2020	1,000.00	3,200.80	Various	3,280.82	78.20 D	-1.82	Sale
<b>Security Totals:</b>		<b>11,682.14</b>		<b>11,999.02</b>		<b>-237.86</b>	
VTV THERAPEUTICS INC CLASS A COM   CUSIP: 918385105   Symbol: VTVT							
07/27/2020	1,000.00	2,820.81	07/27/2020	2,820.00	0.00	0.81	Sale
07/29/2020	500.00	1,590.10	Various	1,575.00	0.00	15.10	Sale
07/29/2020	300.00	959.93	Various	945.00	0.00	14.93	Sale
07/29/2020	1,000.00	3,179.80	Various	3,150.00	0.00	29.80	Sale
07/29/2020	200.00	639.96	Various	630.00	0.00	9.96	Sale
<b>Security Totals:</b>		<b>9,190.60</b>		<b>9,120.00</b>		<b>70.60</b>	
TREVENA INC   CUSIP: 89532E109   Symbol: TRVN							
08/07/2020	500.00	1,719.90	Various	1,690.00	0.00	29.90	Sale
08/07/2020	1,500.00	5,114.70	08/07/2020	5,070.00	0.00	44.70	Sale
<b>Security Totals:</b>		<b>6,834.60</b>		<b>6,760.00</b>		<b>74.60</b>	
CORSAIR GAMING INC COMMON STOCK   CUSIP: 22041X102   Symbol: CRSR							
11/25/2020	10.00	457.47	11/25/2020	459.55	2.08 D	0.00	Sale
11/25/2020	14.00	635.57	11/25/2020	643.37	7.8 D	0.00	Sale
11/25/2020	26.00	1,135.90	11/25/2020	1,178.93	43.03 D	0.00	Sale
11/25/2020	50.00	2,314.93	Various	2,324.50	9.84 D	0.27	Sale
11/25/2020	50.00	2,309.93	Various	2,334.39	24.46 D	0.00	Sale
11/25/2020	74.00	3,232.23	11/25/2020	3,355.43	123.2 D	0.00	Sale
11/25/2020	86.00	3,904.30	Various	3,956.28	51.98 D	0.00	Sale
11/25/2020	90.00	4,133.49	Various	4,174.12	40.63 D	0.00	Sale
11/25/2020	100.00	4,383.89	Various	4,570.98	187.09 D	0.00	Sale
11/25/2020	100.00	4,383.89	Various	4,599.78	215.89 D	0.00	Sale
11/27/2020	50.00	2,427.13	Various	2,481.93	54.80 D	0.00	Buy to Cover Short

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APEX CLEARING

Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B\*

OMB No. 1545-0715

2TZ05705

(continued)

01/24/2021

**SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS**

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CORSAIR GAMING INC COMMON STOCK   CUSIP: 22041X102   Symbol: CRSR							
11/27/2020	50.00	2,426.94	11/24/2020	2,475.12	48.18 D	0.00	Buy to Cover Short
11/27/2020	50.00	2,426.93	Various	2,485.38	58.45 D	0.00	Buy to Cover Short
11/27/2020	50.00	2,423.86	Various	2,492.19	68.33 D	0.00	Buy to Cover Short
11/27/2020	200.00	9,791.76	Various	9,954.24	162.48 D	0.00	Buy to Cover Short
11/27/2020	300.00	14,550.64	Various	14,718.00	167.36 D	0.00	Buy to Cover Short
11/27/2020	300.00	14,495.62	Various	14,822.60	326.98 D	0.00	Buy to Cover Short
11/27/2020	22.00	857.97	11/27/2020	875.73	17.76 D	0.00	Sale
11/27/2020	50.00	1,949.94	Various	1,993.24	43.30 D	0.00	Sale
11/27/2020	50.00	1,949.94	Various	1,988.64	38.70 D	0.00	Sale
11/27/2020	100.00	4,443.89	Various	4,506.28	62.39 D	0.00	Sale
11/27/2020	100.00	3,929.90	Various	4,006.75	76.85 D	0.00	Sale
11/27/2020	150.00	6,665.83	Various	6,748.11	82.28 D	0.00	Sale
11/27/2020	200.00	7,799.80	Various	8,029.67	122.80 D	-107.07	Sale
11/27/2020	78.00	3,041.92	Various	3,082.73	40.81 D	0.00	Sale
11/27/2020	250.00	11,087.22	Various	11,281.78	194.56 D	0.00	Sale
11/27/2020	100.00	3,932.35	Various	3,966.95	34.60 D	0.00	Sale
11/27/2020	5.00	193.98	Various	200.33	6.35 D	0.00	Sale
11/27/2020	100.00	3,899.90	Various	3,999.28	0.00	-99.38	Sale
11/27/2020	100.00	3,901.13	Various	4,011.46	0.00	-110.33	Sale
11/27/2020	195.00	7,556.06	Various	7,786.17	230.11 D	0.00	Sale
<b>Security Totals:</b>		<b>136,644.31</b>		<b>139,503.91</b>		<b>-316.51</b>	

**SECOND SIGHT MEDICAL PRODUCTS INC COMMON STOCK | CUSIP: 81362J209 | Symbol: EYES**

12/01/2020	200.00	352.17	Various	360.00	7.83 D	0.00	Sale
12/01/2020	200.00	352.17	Various	367.83	15.66 D	0.00	Sale
12/01/2020	400.00	704.33	Various	735.66	27.42 D	-3.91	Sale
12/01/2020	400.00	704.33	Various	743.50	39.17 D	0.00	Sale
12/01/2020	600.00	1,056.50	Various	1,091.75	35.25 D	0.00	Sale
12/01/2020	600.00	1,056.50	Various	1,095.01	38.51 D	0.00	Sale

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APEX CLEARING

Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B\*

OMB No. 1545-0715

2TZ05705

(continued)

01/24/2021

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

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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
SECOND SIGHT MEDICAL PRODUCTS INC COMMON STOCK   CUSIP: 81362J209   Symbol: EYES							
12/01/2020	600.00	1,056.50	Various	1,059.41	3.75 D	0.84	Sale
12/01/2020	1,000.00	1,769.84	Various	1,750.63	12.46 D	31.67	Sale
12/01/2020	25.00	46.98	12/01/2020	48.81	1.83 D	0.00	Sale
12/01/2020	1,000.00	1,929.83	Various	1,942.46	12.63 D	0.00	Sale
12/01/2020	100.00	161.98	Various	165.03	0.00	-3.05	Sale
12/01/2020	43.00	80.82	12/01/2020	83.95	3.13 D	0.00	Sale
12/01/2020	100.00	161.98	12/01/2020	165.20	0.00	-3.22	Sale
12/01/2020	288.00	466.51	Various	458.33	0.00	8.18	Sale
12/01/2020	112.00	181.42	Various	178.10	0.00	3.32	Sale
12/01/2020	300.00	563.94	Various	575.59	11.65 D	0.00	Sale
12/01/2020	175.00	328.97	12/01/2020	331.10	2.13 D	0.00	Sale
12/01/2020	200.00	323.97	Various	336.43	12.46 D	0.00	Sale
12/01/2020	400.00	647.93	12/01/2020	635.56	0.00	12.37	Sale
12/01/2020	500.00	941.81	Various	949.46	7.65 D	0.00	Sale
12/01/2020	457.00	859.09	Various	883.38	24.29 D	0.00	Sale
12/01/2020	500.00	939.91	Various	954.33	14.42 D	0.00	Sale
12/01/2020	800.00	1,295.87	Various	1,296.12	0.86 D	0.61	Sale
<b>Security Totals:</b>		<b>15,983.35</b>		<b>16,207.64</b>		<b>46.81</b>	
ORBCOMM INC   CUSIP: 68555P100   Symbol: ORBC							
11/03/2020	1,000.00	5,109.76	Various	5,128.68	0.00	-18.92	Sale
AGENUS INC   CUSIP: 00847G705   Symbol: AGEN							
05/13/2020	1,000.00	2,634.82	05/13/2020	2,690.00	0.00	-55.18	Sale
06/05/2020	1,000.00	3,969.79	06/03/2020	4,005.00	0.00	-35.21	Buy to Cover Short
06/05/2020	1,000.00	3,969.79	06/03/2020	4,005.00	0.00	-35.21	Buy to Cover Short
07/28/2020	1,000.00	3,179.80	07/28/2020	3,215.00	0.00	-35.20	Sale
09/11/2020	1,000.00	5,274.76	Various	5,230.00	0.00	44.76	Sale
09/11/2020	1,000.00	5,271.06	Various	5,230.00	0.00	41.06	Sale
09/11/2020	1,000.00	5,249.76	09/11/2020	5,230.00	0.00	19.76	Sale

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APEX CLEARING

## Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B\*

OMB No. 1545-0715

2TZ05705

(continued)

01/24/2021

**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>
AGENUS INC   CUSIP: 00847G705   Symbol: AGEN							
09/14/2020	2,000.00	10,479.52	Various	10,459.50	0.00	20.02	Sale
09/14/2020	2,000.00	10,519.52	Various	10,636.68	0.00	-117.16	Sale
09/14/2020	2,000.00	10,541.32	Various	10,600.00	58.68 D	0.00	Sale
<b>Security Totals:</b>		<b>61,090.14</b>		<b>61,301.18</b>		<b>-152.36</b>	
AQUABOUTY TECHNOLOGIES INC COMMON STOCK   CUSIP: 03842K200   Symbol: AQB							
12/07/2020	6.00	62.17	12/07/2020	63.36	1.19 D	0.00	Sale
12/07/2020	100.00	1,018.96	12/07/2020	999.00	0.00	19.96	Sale
12/07/2020	100.00	1,018.96	12/07/2020	999.00	0.00	19.96	Sale
12/07/2020	100.00	1,025.96	12/07/2020	998.28	0.00	27.68	Sale
12/07/2020	100.00	1,038.96	Various	998.64	0.00	40.32	Sale
12/07/2020	994.00	10,287.55	Various	10,487.83	0.00	-200.28	Sale
12/07/2020	100.00	1,026.49	12/07/2020	998.28	0.00	28.21	Sale
<b>Security Totals:</b>		<b>15,479.05</b>		<b>15,544.39</b>		<b>-64.15</b>	
***JOYY INC AMERICAN DEPOSITARY SHARES   CUSIP: 46591M109   Symbol: YY							
11/18/2020	10.00	787.77	11/18/2020	765.99	0.00	21.78	Sale
11/18/2020	10.00	800.78	11/18/2020	765.49	0.00	35.29	Sale
11/18/2020	10.00	798.97	11/18/2020	765.49	0.00	33.48	Sale
11/18/2020	50.00	3,735.90	11/18/2020	3,650.00	0.00	85.90	Sale
11/18/2020	50.00	3,735.90	11/18/2020	3,650.00	0.00	85.90	Sale
11/18/2020	50.00	3,768.50	Various	3,808.00	39.5 D	0.00	Sale
11/18/2020	10.00	799.98	11/18/2020	765.49	0.00	34.49	Sale
11/18/2020	10.00	799.98	11/18/2020	765.49	0.00	34.49	Sale
<b>Security Totals:</b>		<b>15,227.78</b>		<b>14,935.95</b>		<b>331.33</b>	
***CARNIVAL CORP COMMON PAIRED STOCK   CUSIP: 143658300   Symbol: CCL							
05/01/2020	109.00	1,777.74	04/29/2020	1,787.60	9.86 D	0.00	Buy to Cover Short
05/01/2020	391.00	6,377.01	04/29/2020	6,410.48	33.47 D	0.00	Buy to Cover Short
05/01/2020	1,000.00	13,859.57	Various	13,913.33	53.76 D	0.00	Sale
05/04/2020	1,000.00	14,249.56	Various	14,334.86	85.30 D	0.00	Sale

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**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)

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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
***CARNIVAL CORP COMMON PAIRED STOCK   CUSIP: 143658300   Symbol: CCL							
05/04/2020	2,000.00	27,779.14	Various	27,983.76	204.62 D	0.00	Sale
05/04/2020	100.00	1,390.95	05/04/2020	1,415.64	24.69 D	0.00	Sale
05/04/2020	100.00	1,390.95	Various	1,415.19	24.24 D	0.00	Sale
05/04/2020	100.00	1,410.95	05/04/2020	1,405.53	0.00	5.42	Sale
05/04/2020	100.00	1,390.95	05/04/2020	1,415.15	24.2 D	0.00	Sale
05/04/2020	100.00	1,410.95	05/04/2020	1,421.19	10.24 D	0.00	Sale
05/04/2020	100.00	1,390.95	05/04/2020	1,415.14	24.19 D	0.00	Sale
05/04/2020	100.00	1,410.95	Various	1,420.74	9.79 D	0.00	Sale
05/04/2020	100.00	1,410.95	05/04/2020	1,420.70	9.75 D	0.00	Sale
05/04/2020	100.00	1,410.95	05/04/2020	1,420.69	9.74 D	0.00	Sale
05/04/2020	100.00	1,390.95	05/04/2020	1,415.14	24.19 D	0.00	Sale
05/04/2020	100.00	1,410.95	05/04/2020	1,420.69	9.74 D	0.00	Sale
05/04/2020	100.00	1,410.95	05/04/2020	1,412.14	1.19 D	0.00	Sale
05/04/2020	100.00	1,390.95	05/04/2020	1,406.59	15.64 D	0.00	Sale
05/04/2020	100.00	1,390.95	05/04/2020	1,406.59	15.64 D	0.00	Sale
05/04/2020	100.00	1,427.95	05/04/2020	1,441.59	13.64 D	0.00	Sale
05/04/2020	100.00	1,410.95	05/04/2020	1,412.14	1.19 D	0.00	Sale
05/04/2020	100.00	1,390.95	05/04/2020	1,406.58	15.63 D	0.00	Sale
05/04/2020	100.00	1,410.95	05/04/2020	1,412.13	1.18 D	0.00	Sale
05/04/2020	100.00	1,411.45	05/04/2020	1,412.13	0.68 D	0.00	Sale
05/04/2020	100.00	1,427.95	05/04/2020	1,434.96	7.01 D	0.00	Sale
05/04/2020	100.00	1,427.95	Various	1,443.56	15.61 D	0.00	Sale
05/04/2020	100.00	1,427.95	Various	1,449.56	21.61 D	0.00	Sale
05/04/2020	100.00	1,427.95	Various	1,434.94	6.99 D	0.00	Sale
05/04/2020	100.00	1,427.95	05/04/2020	1,428.96	1.01 D	0.00	Sale
05/04/2020	200.00	2,781.91	05/04/2020	2,813.17	31.26 D	0.00	Sale
05/04/2020	200.00	2,781.93	05/04/2020	2,811.09	29.16 D	0.00	Sale

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**SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS**

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

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***CARNIVAL CORP COMMON PAIRED STOCK   CUSIP: 143658300   Symbol: CCL							
05/04/2020	200.00	2,855.91	05/04/2020	2,857.93	2.02 D	0.00	Sale
05/04/2020	200.00	2,855.91	Various	2,874.03	18.12 D	0.00	Sale
05/04/2020	300.00	4,172.86	05/04/2020	4,216.63	43.77 D	0.00	Sale
05/04/2020	500.00	6,954.78	05/04/2020	7,027.71	72.93 D	0.00	Sale
05/04/2020	1,000.00	14,129.66	Various	14,231.90	102.24 D	0.00	Sale
05/04/2020	1,000.00	14,129.66	Various	14,168.29	60.91 D	22.28	Sale
05/06/2020	49.00	687.94	05/04/2020	673.26	0.00	14.68	Buy to Cover Short
05/06/2020	50.00	701.98	05/04/2020	687.00	0.00	14.98	Buy to Cover Short
05/06/2020	100.00	1,403.97	05/04/2020	1,374.00	0.00	29.97	Buy to Cover Short
05/06/2020	100.00	1,379.96	05/04/2020	1,394.90	14.94 D	0.00	Buy to Cover Short
05/06/2020	100.00	1,379.95	Various	1,394.90	14.95 D	0.00	Buy to Cover Short
05/06/2020	101.00	1,418.01	05/04/2020	1,387.74	0.00	30.27	Buy to Cover Short
05/06/2020	200.00	2,807.93	05/04/2020	2,748.00	0.00	59.93	Buy to Cover Short
05/06/2020	500.00	7,019.83	05/04/2020	6,870.00	0.00	149.83	Buy to Cover Short
05/06/2020	700.00	9,682.29	Various	9,794.89	112.60 D	0.00	Buy to Cover Short
05/06/2020	1,100.00	15,245.28	Various	15,457.60	212.32 D	0.00	Buy to Cover Short
05/06/2020	5.00	70.45	05/04/2020	68.80	0.00	1.65	Buy to Cover Short
05/06/2020	10.00	141.33	05/04/2020	141.49	0.16 D	0.00	Buy to Cover Short
05/06/2020	95.00	1,338.52	05/04/2020	1,307.18	0.00	31.34	Buy to Cover Short
05/06/2020	5.00	70.45	05/04/2020	68.79	0.00	1.66	Buy to Cover Short
05/06/2020	100.00	1,408.97	05/04/2020	1,375.98	0.00	32.99	Buy to Cover Short
05/06/2020	100.00	1,408.96	05/04/2020	1,375.98	0.00	32.98	Buy to Cover Short
05/06/2020	100.00	1,408.97	05/04/2020	1,375.98	0.00	32.99	Buy to Cover Short
05/06/2020	100.00	1,408.96	05/04/2020	1,375.98	0.00	32.98	Buy to Cover Short
05/06/2020	100.00	1,408.97	05/04/2020	1,375.98	0.00	32.99	Buy to Cover Short
05/06/2020	195.00	2,747.48	05/04/2020	2,683.16	0.00	64.32	Buy to Cover Short
05/06/2020	200.00	2,817.93	05/04/2020	2,751.96	0.00	65.97	Buy to Cover Short

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**SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS**

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

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

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***CARNIVAL CORP COMMON PAIRED STOCK   CUSIP: 143658300   Symbol: CCL							
05/06/2020	2,000.00	26,199.18	Various	26,131.01	15.52 D	83.69	Sale
05/06/2020	2,000.00	26,199.18	Various	26,085.63	10.65 D	124.20	Sale
05/06/2020	2,000.00	26,181.18	Various	26,280.65	0.00	-99.47	Sale
12/08/2020	100.00	2,286.92	Various	2,272.00	0.00	14.92	Buy to Cover Short
12/08/2020	14.00	320.17	12/04/2020	318.08	0.00	2.09	Buy to Cover Short
12/08/2020	136.00	3,110.22	Various	3,089.92	0.00	20.30	Buy to Cover Short
12/08/2020	250.00	5,716.30	Various	5,680.00	0.00	36.30	Buy to Cover Short
12/08/2020	250.00	5,715.32	Various	5,680.00	0.00	35.32	Buy to Cover Short
12/08/2020	250.00	5,717.33	Various	5,680.00	0.00	37.33	Buy to Cover Short
12/08/2020	1,000.00	22,899.37	12/04/2020	22,940.00	40.63 D	0.00	Buy to Cover Short
12/08/2020	1,000.00	22,982.84	Various	23,151.27	0.00	-168.43	Buy to Cover Short
12/08/2020	1,000.00	22,899.36	Various	22,980.63	81.27 D	0.00	Buy to Cover Short
<b>Security Totals:</b>		<b>374,696.44</b>		<b>375,491.21</b>		<b>743.48</b>	
***COLOR STAR TECHNOLOGY CO LTD ORDINARY SHARES   CUSIP: G2287A100   Symbol: HHT							
07/09/2020	500.00	594.92	07/09/2020	552.07	0.00	42.85	Sale
07/09/2020	100.00	110.98	07/09/2020	110.41	0.00	0.57	Sale
07/09/2020	100.00	110.98	07/09/2020	110.42	0.00	0.56	Sale
07/09/2020	300.00	332.95	07/09/2020	331.25	0.00	1.70	Sale
07/09/2020	300.00	332.95	07/09/2020	331.25	0.00	1.70	Sale
07/09/2020	700.00	769.90	07/09/2020	772.90	3 D	0.00	Sale
07/09/2020	5,000.00	5,074.28	07/09/2020	5,100.00	25.72 D	0.00	Sale
07/14/2020	2,500.00	3,249.62	07/14/2020	3,237.86	0.00	11.76	Sale
07/16/2020	200.00	313.97	Various	332.06	18.09 D	0.00	Sale
07/16/2020	2,000.00	2,999.69	Various	3,005.49	5.81 D	0.01	Sale
07/16/2020	54.00	84.22	07/16/2020	84.38	0.16 D	0.00	Sale
07/16/2020	100.00	152.98	Various	157.02	4.04 D	0.00	Sale
07/16/2020	75.00	116.98	Various	117.19	0.21 D	0.00	Sale
07/16/2020	100.00	152.98	Various	157.00	4.02 D	0.00	Sale

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**SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS**

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

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**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

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**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
***COLOR STAR TECHNOLOGY CO LTD ORDINARY SHARES   CUSIP: G2287A100   Symbol: HHT							
07/16/2020	101.00	154.51	Various	158.57	4.06 D	0.00	Sale
07/16/2020	100.00	155.98	Various	156.26	0.28 D	0.00	Sale
07/16/2020	102.00	156.04	Various	160.13	4.09 D	0.00	Sale
07/16/2020	250.00	389.96	Various	390.62	0.66 D	0.00	Sale
07/16/2020	300.00	467.94	Various	468.53	0.59 D	0.00	Sale
07/16/2020	200.00	305.97	Various	313.93	7.96 D	0.00	Sale
07/16/2020	300.00	467.94	Various	468.53	0.59 D	0.00	Sale
07/16/2020	300.00	469.44	Various	467.73	0.00	1.71	Sale
07/16/2020	300.00	467.94	Various	467.24	0.00	0.70	Sale
07/16/2020	400.00	611.93	Various	627.69	15.76 D	0.00	Sale
07/16/2020	466.00	712.90	Various	730.52	17.62 D	0.00	Sale
07/16/2020	321.00	500.70	Various	499.93	0.00	0.77	Sale
07/16/2020	531.00	812.35	07/16/2020	832.23	19.88 D	0.00	Sale
07/17/2020	50.00	99.98	Various	102.02	2.04 D	0.00	Sale
07/17/2020	100.00	184.48	Various	188.03	3.55 D	0.00	Sale
07/17/2020	1.00	1.75	07/17/2020	1.86	0.00	-0.11	Sale
07/17/2020	2.00	3.60	07/17/2020	3.80	0.2 D	0.00	Sale
07/17/2020	100.00	199.98	Various	204.00	4.02 D	0.00	Sale
07/17/2020	100.00	184.48	Various	188.02	3.54 D	0.00	Sale
07/17/2020	100.00	184.48	Various	187.98	3.50 D	0.00	Sale
07/17/2020	100.00	176.98	Various	184.90	0.00	-7.92	Sale
07/17/2020	100.00	176.98	07/17/2020	184.89	0.00	-7.91	Sale
07/17/2020	100.00	176.98	07/17/2020	184.89	0.00	-7.91	Sale
07/17/2020	100.00	176.98	07/17/2020	184.89	0.00	-7.91	Sale
07/17/2020	100.00	176.98	07/17/2020	184.89	0.00	-7.91	Sale
07/17/2020	100.00	176.98	07/17/2020	184.89	0.00	-7.91	Sale
07/17/2020	100.00	176.98	07/17/2020	184.89	0.00	-7.91	Sale

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APEX CLEARING

Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B\*

OMB No. 1545-0715

2TZ05705

(continued)

01/24/2021

SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

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

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***COLOR STAR TECHNOLOGY CO LTD ORDINARY SHARES   CUSIP: G2287A100   Symbol: HHT							
07/17/2020	100.00	184.48	Various	187.95	3.47 D	0.00	Sale
07/17/2020	100.00	176.98	07/17/2020	184.89	0.00	-7.91	Sale
07/17/2020	150.00	299.97	Various	306.01	6.04 D	0.00	Sale
07/17/2020	160.00	319.97	Various	326.32	6.35 D	0.00	Sale
07/17/2020	400.00	799.93	Various	815.77	15.84 D	0.00	Sale
07/17/2020	500.00	999.91	Various	1,018.78	18.87 D	0.00	Sale
07/17/2020	550.00	1,099.90	Various	1,126.43	26.53 D	0.00	Sale
07/17/2020	590.00	1,179.90	Various	1,192.18	12.28 D	0.00	Sale
07/17/2020	1,898.00	3,435.83	07/17/2020	3,606.52	170.69 D	0.00	Sale
07/17/2020	2,500.00	4,999.58	07/17/2020	5,000.00	0.42 D	0.00	Sale
07/17/2020	2,600.00	4,783.58	Various	4,856.04	72.46 D	0.00	Sale
07/17/2020	3,100.00	5,611.74	Various	5,976.52	364.78 D	0.00	Sale
07/17/2020	4,199.00	7,389.57	Various	7,849.68	0.00	-460.11	Sale
<b>Security Totals:</b>		<b>53,449.95</b>		<b>54,758.25</b>		<b>-461.18</b>	
CHINA HGS REAL ESTATE INC   CUSIP: 16948W100   Symbol: HGSH							
06/15/2020	74.00	145.02	06/15/2020	114.70	0.00	30.32	Sale
06/15/2020	50.00	86.48	Various	76.06	0.00	10.42	Sale
06/15/2020	100.00	206.98	06/15/2020	155.00	0.00	51.98	Sale
06/15/2020	150.00	259.47	06/15/2020	231.00	0.00	28.47	Sale
06/15/2020	400.00	827.93	06/15/2020	620.00	0.00	207.93	Sale
06/15/2020	300.00	518.94	Various	457.00	0.00	61.94	Sale
06/15/2020	426.00	834.89	06/15/2020	660.30	0.00	174.59	Sale
06/15/2020	500.00	919.91	06/15/2020	775.00	0.00	144.91	Sale
<b>Security Totals:</b>		<b>3,799.62</b>		<b>3,089.06</b>		<b>710.56</b>	
OCEAN POWER TECHNOLOGIES INC COMMON STOCK   CUSIP: 674870506   Symbol: OPTT							
10/06/2020	26.00	53.80	10/06/2020	56.03	2.23 D	0.00	Sale
10/06/2020	74.00	153.16	10/06/2020	159.48	6.32 D	0.00	Sale
10/06/2020	1,900.00	3,932.68	Various	4,099.82	167.14 D	0.00	Sale

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APEX CLEARING

Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B\*

OMB No. 1545-0715

2TZ05705

(continued)

01/24/2021

**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)

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

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

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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
OCEAN POWER TECHNOLOGIES INC COMMON STOCK   CUSIP: 674870506   Symbol: OPTT							
10/06/2020	2,000.00	3,959.67	Various	4,015.00	55.33 D	0.00	Sale
10/06/2020	2,000.00	4,099.66	Various	4,275.69	176.03 D	0.00	Sale
10/07/2020	303.00	1,027.10	Various	1,087.86	60.76 D	0.00	Sale
10/07/2020	1,000.00	3,390.00	Various	3,520.52	130.52 D	0.00	Sale
10/07/2020	1,000.00	3,470.10	Various	3,545.51	75.41 D	0.00	Sale
10/07/2020	697.00	2,362.69	Various	2,502.46	139.77 D	0.00	Sale
10/07/2020	1,000.00	3,440.10	Various	3,535.41	95.31 D	0.00	Sale
10/16/2020	500.00	1,329.91	Various	1,350.26	0.00	-20.35	Sale
10/16/2020	500.00	1,329.91	Various	1,297.09	0.00	32.82	Sale
10/16/2020	500.00	1,329.91	Various	1,297.12	0.00	32.79	Sale
10/16/2020	500.00	1,329.91	Various	1,350.27	0.00	-20.36	Sale
<b>Security Totals:</b>		<b>31,208.60</b>		<b>32,092.52</b>		<b>24.90</b>	
BIOPHARMX CORPORATION COMMON STOCK   CUSIP: 09072X309   Symbol: BPMX							
05/14/2020	20.00	14.92	05/14/2020	14.44	0.00	0.48	Sale
05/14/2020	20.00	14.92	05/14/2020	14.44	0.00	0.48	Sale
05/14/2020	108.00	77.52	05/14/2020	77.98	0.46 D	0.00	Sale
05/14/2020	232.00	166.53	05/14/2020	167.50	0.97 D	0.00	Sale
05/14/2020	250.00	179.46	Various	180.99	0.42 D	-1.11	Sale
05/14/2020	1,370.00	983.47	Various	988.98	0.00	-5.51	Sale
<b>Security Totals:</b>		<b>1,436.82</b>		<b>1,444.33</b>		<b>-5.66</b>	
DARIOHEALTH CORP COMMON STOCK   CUSIP: 23725P209   Symbol: DRIO							
07/31/2020	25.00	313.23	07/31/2020	293.25	0.00	19.98	Sale
07/31/2020	25.00	317.98	07/31/2020	293.25	0.00	24.73	Sale
07/31/2020	50.00	631.97	07/31/2020	586.50	0.00	45.47	Sale
07/31/2020	100.00	1,271.96	07/31/2020	1,173.00	0.00	98.96	Sale
<b>Security Totals:</b>		<b>2,535.14</b>		<b>2,346.00</b>		<b>189.14</b>	
ZOVIO INC COMMON STOCK   CUSIP: 98979V102   Symbol: ZVO							
08/04/2020	1,000.00	6,409.73	08/04/2020	6,570.00	0.00	-160.27	Sale

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Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B\*

OMB No. 1545-0715

2TZ05705

(continued)

01/24/2021

**SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS**

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ZOVIO INC COMMON STOCK   CUSIP: 98979V102   Symbol: ZVO							
08/10/2020	1,000.00	6,640.71	Various	6,800.00	0.00	-159.29	Buy to Cover Short
<b>Security Totals:</b>		<b>13,050.44</b>		<b>13,370.00</b>		<b>-319.56</b>	
VIEWRAY INC COM   CUSIP: 92672L107   Symbol: VRAY							
08/04/2020	82.00	232.04	Various	229.60	0.00	2.44	Sale
08/04/2020	100.00	282.98	Various	280.00	0.00	2.98	Sale
08/04/2020	82.00	232.04	Various	229.60	0.00	2.44	Sale
08/04/2020	20.00	56.58	08/04/2020	56.00	0.00	0.58	Sale
08/04/2020	100.00	282.98	Various	280.00	0.00	2.98	Sale
08/04/2020	100.00	282.98	Various	280.00	0.00	2.98	Sale
08/04/2020	100.00	282.98	Various	280.00	0.00	2.98	Sale
08/04/2020	100.00	282.98	08/04/2020	280.00	0.00	2.98	Sale
08/04/2020	100.00	282.98	Various	280.00	0.00	2.98	Sale
08/04/2020	100.00	282.98	08/04/2020	280.00	0.00	2.98	Sale
08/04/2020	666.00	1,884.65	Various	1,864.80	0.00	19.85	Sale
<b>Security Totals:</b>		<b>4,386.17</b>		<b>4,340.00</b>		<b>46.17</b>	
BELLEROPHON THERAPEUTICS INC COM NEW   CUSIP: 078771300   Symbol: BLPH							
02/21/2020	150.00	1,507.45	02/19/2020	1,252.50	0.00	254.95	Buy to Cover Short
02/21/2020	155.00	1,557.69	Various	1,294.25	0.00	263.44	Buy to Cover Short
02/21/2020	195.00	1,959.67	Various	1,628.25	0.00	331.42	Buy to Cover Short
03/30/2020	500.00	6,325.30	Various	6,405.00	0.00	-79.70	Sale
<b>Security Totals:</b>		<b>11,350.11</b>		<b>10,580.00</b>		<b>770.11</b>	
WHITING PETROLEUM CORPORATION COMMON STOCK   CUSIP: 966387409   Symbol: WLL							
04/23/2020	200.00	364.97	04/23/2020	326.00	0.00	38.97	Sale
04/23/2020	300.00	545.94	04/23/2020	489.00	0.00	56.94	Sale
04/23/2020	500.00	904.91	04/23/2020	815.00	0.00	89.91	Sale
04/23/2020	1,000.00	1,779.84	04/23/2020	1,630.00	0.00	149.84	Sale
04/27/2020	2,500.00	4,049.61	04/23/2020	3,925.00	0.00	124.61	Buy to Cover Short
04/27/2020	2,500.00	4,049.61	04/23/2020	4,015.25	0.00	34.36	Buy to Cover Short

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**SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS**

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WHITING PETROLEUM CORPORATION COMMON STOCK   CUSIP: 966387409   Symbol: WLL							
06/05/2020	2,000.00	2,599.70	Various	2,600.00	0.30 D	0.00	Sale
06/11/2020	100.00	157.98	Various	165.02	7.04 D	0.00	Sale
06/11/2020	100.00	157.98	06/11/2020	165.01	7.03 D	0.00	Sale
06/11/2020	100.00	157.98	06/11/2020	165.02	7.04 D	0.00	Sale
06/11/2020	100.00	157.98	06/11/2020	165.01	7.03 D	0.00	Sale
06/11/2020	200.00	315.97	Various	330.03	14.06 D	0.00	Sale
06/11/2020	100.00	157.98	06/11/2020	165.02	7.04 D	0.00	Sale
06/11/2020	300.00	473.94	Various	495.04	21.10 D	0.00	Sale
06/11/2020	500.00	789.92	Various	825.08	1.41 D	-33.75	Sale
06/11/2020	500.00	789.92	Various	826.48	0.00	-36.56	Sale
06/11/2020	1,000.00	1,579.94	Various	1,720.34	0.00	-140.40	Sale
08/04/2020	40.00	40.38	08/04/2020	40.40	0.02 D	0.00	Sale
08/04/2020	84.00	91.54	08/04/2020	88.22	0.00	3.32	Sale
08/04/2020	3.00	3.01	08/04/2020	3.03	0.02 D	0.00	Sale
08/04/2020	100.00	108.98	08/04/2020	105.01	0.00	3.97	Sale
08/04/2020	200.00	202.97	Various	202.04	0.01 D	0.94	Sale
08/04/2020	200.00	202.97	08/04/2020	202.00	0.00	0.97	Sale
08/04/2020	200.00	201.97	Various	202.01	0.04 D	0.00	Sale
08/04/2020	245.00	267.01	08/04/2020	257.30	0.00	9.71	Sale
08/04/2020	400.00	403.94	Various	404.02	0.08 D	0.00	Sale
08/04/2020	500.00	504.92	08/04/2020	505.00	0.08 D	0.00	Sale
08/04/2020	500.00	544.92	Various	525.09	0.00	19.83	Sale
08/04/2020	800.00	1,047.87	Various	1,040.11	0.00	7.76	Sale
08/04/2020	800.00	1,047.87	Various	1,040.12	0.00	7.75	Sale
08/04/2020	1,032.00	1,351.77	Various	1,341.75	0.00	10.02	Sale
08/04/2020	1,071.00	1,167.23	Various	1,124.76	0.00	42.47	Sale
08/04/2020	1,157.00	1,174.19	08/04/2020	1,168.57	0.00	5.62	Sale

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2020 Form 1099-B\*

OMB No. 1545-0715

2TZ05705

(continued)

01/24/2021

**SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS**

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WHITING PETROLEUM CORPORATION COMMON STOCK   CUSIP: 966387409   Symbol: WLL							
08/04/2020	1,621.00	1,782.87	Various	1,864.38	81.51 D	0.00	Sale
08/04/2020	2,000.00	2,139.71	08/04/2020	2,060.00	0.00	79.71	Sale
08/04/2020	2,000.00	2,201.71	08/04/2020	2,100.37	0.00	101.34	Sale
08/04/2020	2,000.00	2,139.71	Various	2,139.29	0.52 D	0.94	Sale
08/04/2020	2,300.00	2,334.17	08/04/2020	2,323.00	0.00	11.17	Sale
08/04/2020	2,341.00	2,387.48	Various	2,298.81	0.00	88.67	Sale
08/04/2020	2,659.00	2,711.80	08/04/2020	2,610.87	0.00	100.93	Sale
08/04/2020	5,000.00	5,049.28	Various	5,100.00	50.72 D	0.00	Sale
08/04/2020	5,000.00	5,299.28	Various	5,550.00	250.72 D	0.00	Sale
08/04/2020	2,000.00	2,145.11	08/04/2020	2,060.00	0.00	85.11	Sale
08/04/2020	2,000.00	2,199.71	Various	2,080.19	0.00	119.52	Sale
08/04/2020	2,000.00	2,144.71	Various	2,140.52	0.00	4.19	Sale
08/04/2020	2,000.00	2,139.71	08/04/2020	2,140.00	0.29 D	0.00	Sale
08/04/2020	5,000.00	5,049.78	Various	5,150.72	100.94 D	0.00	Sale
08/05/2020	555.00	793.56	08/05/2020	804.72	11.16 D	0.00	Sale
08/05/2020	3,445.00	4,925.83	Various	4,924.61	0.00	1.22	Sale
<b>Security Totals:</b>		<b>72,840.13</b>		<b>72,419.21</b>		<b>989.08</b>	
VUZIX CORPORATION COM   CUSIP: 92921W300   Symbol: VUZI							
05/07/2020	1,000.00	2,319.82	Various	2,272.50	0.00	47.32	Sale
05/08/2020	100.00	299.99	05/08/2020	305.00	0.00	-5.01	Sale
05/08/2020	200.00	599.98	05/08/2020	610.00	0.00	-10.02	Sale
05/08/2020	200.00	599.98	05/08/2020	610.00	0.00	-10.02	Sale
05/08/2020	376.00	1,071.57	Various	1,060.32	0.00	11.25	Sale
05/08/2020	500.00	1,499.95	05/08/2020	1,525.00	0.00	-25.05	Sale
05/08/2020	624.00	1,778.41	Various	1,759.68	0.00	18.73	Sale
10/12/2020	1,000.00	4,639.77	Various	4,640.00	0.00	-0.23	Sale
<b>Security Totals:</b>		<b>12,809.47</b>		<b>12,782.50</b>		<b>26.97</b>	

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**SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS**

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

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AYTU BIOSCIENCE INC COMMON STOCK   CUSIP: 054754700   Symbol: AYTU							
03/11/2020	1,000.00	1,379.84	Various	1,630.16	250.32 D	0.00	Sale
03/11/2020	2,000.00	2,739.69	Various	3,321.19	581.50 D	0.00	Sale
03/12/2020	100.00	176.98	03/10/2020	182.00	5.02 D	0.00	Buy to Cover Short
03/12/2020	100.00	176.98	03/10/2020	182.00	5.02 D	0.00	Buy to Cover Short
03/12/2020	300.00	530.95	03/10/2020	546.00	15.05 D	0.00	Buy to Cover Short
03/12/2020	100.00	176.99	03/10/2020	182.00	5.01 D	0.00	Buy to Cover Short
03/12/2020	300.00	530.95	03/10/2020	546.00	15.05 D	0.00	Buy to Cover Short
03/12/2020	500.00	884.93	03/10/2020	910.00	25.07 D	0.00	Buy to Cover Short
03/12/2020	500.00	920.90	Various	930.08	9.18 D	0.00	Buy to Cover Short
03/12/2020	1,100.00	2,045.82	Various	2,057.16	11.34 D	0.00	Buy to Cover Short
03/12/2020	2,000.00	4,139.66	Various	4,660.85	521.19 D	0.00	Buy to Cover Short
03/12/2020	3,000.00	5,924.49	Various	6,615.50	691.01 D	0.00	Buy to Cover Short
03/12/2020	1,000.00	1,799.84	Various	1,827.57	27.73 D	0.00	Sale
03/12/2020	1,587.00	3,059.47	Various	3,250.71	191.24 D	0.00	Sale
03/12/2020	2,000.00	3,855.67	Various	3,932.03	120.56 D	44.20	Sale
03/12/2020	3,000.00	5,339.52	Various	5,388.29	77.14 D	28.37	Sale
03/13/2020	5,000.00	5,499.27	Various	5,410.14	30.14 D	119.27	Sale
03/23/2020	2.00	4.28	03/23/2020	4.08	0.00	0.20	Sale
03/23/2020	10.00	18.88	03/23/2020	19.10	0.22 D	0.00	Sale
03/23/2020	10.00	18.88	03/23/2020	19.10	0.22 D	0.00	Sale
03/23/2020	10.00	18.88	03/23/2020	19.10	0.22 D	0.00	Sale
03/23/2020	10.00	18.88	03/23/2020	19.09	0.21 D	0.00	Sale
03/23/2020	10.00	18.88	03/23/2020	19.10	0.22 D	0.00	Sale
03/23/2020	25.00	53.73	Various	51.00	0.00	2.73	Sale
03/23/2020	62.00	133.28	Various	126.48	0.00	6.80	Sale
03/23/2020	89.00	168.19	Various	169.96	1.77 D	0.00	Sale
03/23/2020	100.00	188.98	03/23/2020	190.99	2.01 D	0.00	Sale

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AYTU BIOSCIENCE INC COMMON STOCK   CUSIP: 054754700   Symbol: AYTU							
03/23/2020	10.00	18.88	03/23/2020	19.10	0.22 D	0.00	Sale
03/23/2020	400.00	859.93	Various	816.00	0.00	43.93	Sale
03/23/2020	100.00	188.98	Various	190.98	2.00 D	0.00	Sale
03/23/2020	511.00	1,098.56	03/23/2020	1,042.44	0.00	56.12	Sale
03/23/2020	700.00	1,322.89	Various	1,353.28	30.39 D	0.00	Sale
03/23/2020	1,000.00	2,149.83	Various	2,040.00	0.00	109.83	Sale
03/23/2020	1,000.00	2,149.83	Various	2,046.27	0.00	103.56	Sale
03/23/2020	2,000.00	3,619.67	Various	3,810.58	190.91 D	0.00	Sale
03/23/2020	951.00	1,797.24	Various	1,822.22	24.98 D	0.00	Sale
03/23/2020	1,000.00	2,099.83	Various	2,062.78	0.00	37.05	Sale
03/23/2020	2,000.00	3,761.07	Various	3,890.91	129.84 D	0.00	Sale
03/23/2020	2,000.00	3,849.67	Various	3,869.84	29.05 D	8.88	Sale
03/24/2020	3.00	6.27	03/23/2020	6.12	0.00	0.15	Sale
03/24/2020	10.00	20.96	03/23/2020	20.40	0.00	0.56	Sale
03/24/2020	10.00	20.96	03/23/2020	20.40	0.00	0.56	Sale
03/24/2020	250.00	524.45	03/23/2020	510.00	0.00	14.45	Sale
03/24/2020	300.00	650.34	Various	612.00	0.00	38.34	Sale
03/24/2020	427.00	895.77	03/23/2020	871.08	0.00	24.69	Sale
03/24/2020	1,000.00	2,097.83	03/23/2020	2,040.00	0.00	57.83	Sale
04/20/2020	1.00	1.39	04/20/2020	1.42	0.03 D	0.00	Sale
04/20/2020	2,900.00	4,088.55	Various	4,118.03	29.48 D	0.00	Sale
04/20/2020	2,000.00	2,819.69	Various	2,852.25	32.56 D	0.00	Sale
04/20/2020	99.00	139.57	04/20/2020	140.58	1.01 D	0.00	Sale
04/27/2020	2,000.00	3,999.67	Various	3,857.35	0.00	142.32	Sale
04/27/2020	2,000.00	4,039.67	Various	4,003.00	0.00	36.67	Sale
04/27/2020	2,000.00	3,999.67	Various	4,027.01	27.35 D	0.01	Sale
04/30/2020	2,000.00	3,479.68	Various	3,248.25	0.00	231.43	Sale

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AYTU BIOSCIENCE INC COMMON STOCK   CUSIP: 054754700   Symbol: AYTU							
04/30/2020	2,000.00	3,419.88	04/30/2020	3,240.00	0.00	179.88	Sale
05/14/2020	46.00	91.06	05/14/2020	91.57	0.51 D	0.00	Sale
05/14/2020	50.00	89.98	05/14/2020	90.50	0.52 D	0.00	Sale
05/14/2020	70.00	125.98	05/14/2020	128.11	2.13 D	0.00	Sale
05/14/2020	80.00	143.98	05/14/2020	144.80	0.82 D	0.00	Sale
05/14/2020	100.00	188.98	05/14/2020	189.04	0.06 D	0.00	Sale
05/14/2020	100.00	179.98	05/14/2020	181.00	1.02 D	0.00	Sale
05/14/2020	100.00	179.98	05/14/2020	181.00	1.02 D	0.00	Sale
05/14/2020	100.00	179.98	05/14/2020	181.00	1.02 D	0.00	Sale
05/14/2020	100.00	180.98	05/14/2020	181.00	0.02 D	0.00	Sale
05/14/2020	100.00	198.98	Various	199.05	0.07 D	0.00	Sale
05/14/2020	100.00	197.98	05/14/2020	199.05	1.07 D	0.00	Sale
05/14/2020	254.00	505.41	05/14/2020	505.57	0.16 D	0.00	Sale
05/14/2020	300.00	542.94	05/14/2020	543.00	0.06 D	0.00	Sale
05/14/2020	500.00	899.92	05/14/2020	905.00	5.08 D	0.00	Sale
05/14/2020	600.00	1,085.90	05/14/2020	1,086.00	0.1 D	0.00	Sale
05/14/2020	500.00	989.91	Various	995.23	5.32 D	0.00	Sale
05/14/2020	2,000.00	3,599.68	Various	3,648.96	49.28 D	0.00	Sale
05/14/2020	1,000.00	1,979.83	05/14/2020	1,990.00	10.17 D	0.00	Sale
05/14/2020	2,000.00	3,739.67	Various	3,657.30	0.00	82.37	Sale
05/14/2020	3,900.00	7,370.37	Various	7,301.72	0.47 D	69.12	Sale
05/14/2020	4,000.00	7,879.34	Various	7,120.00	0.00	759.34	Sale
07/16/2020	720.00	1,029.48	07/16/2020	1,044.22	14.74 D	0.00	Sale
07/16/2020	2,000.00	2,919.69	07/16/2020	2,900.61	0.00	19.08	Sale
07/16/2020	3,000.00	4,349.54	07/16/2020	4,350.00	0.46 D	0.00	Sale
07/16/2020	3,000.00	4,289.54	07/16/2020	4,380.46	90.92 D	0.00	Sale
07/16/2020	5,000.00	7,049.24	Various	7,160.63	111.39 D	0.00	Sale

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AYTU BIOSCIENCE INC COMMON STOCK   CUSIP: 054754700   Symbol: AYTU							
07/16/2020	5,000.00	6,999.24	Various	7,156.68	157.44 D	0.00	Sale
07/16/2020	3,280.00	4,689.90	Various	4,680.83	13.38 D	22.45	Sale
07/16/2020	5,000.00	6,949.24	Various	7,183.20	0.00	-233.96	Sale
07/16/2020	100.00	138.98	07/16/2020	143.08	4.1 D	0.00	Sale
07/16/2020	100.00	139.98	07/16/2020	144.62	4.64 D	0.00	Sale
07/16/2020	100.00	139.48	07/16/2020	143.08	3.6 D	0.00	Sale
07/16/2020	300.00	428.95	Various	431.73	2.98 D	0.20	Sale
07/16/2020	800.00	1,111.87	Various	1,144.62	32.75 D	0.00	Sale
07/16/2020	1,000.00	1,389.84	07/16/2020	1,420.15	30.31 D	0.00	Sale
07/16/2020	3,000.00	4,169.54	07/16/2020	4,260.46	90.92 D	0.00	Sale
07/16/2020	3,700.00	5,296.73	07/16/2020	5,254.00	0.00	42.73	Sale
07/16/2020	4,900.00	6,859.26	Various	7,042.82	183.56 D	0.00	Sale
10/06/2020	27.00	37.78	10/06/2020	39.70	1.92 D	0.00	Sale
10/06/2020	73.00	102.18	Various	107.34	5.16 D	0.00	Sale
10/06/2020	100.00	139.98	Various	147.08	0.00	-7.10	Sale
10/06/2020	100.00	139.98	10/06/2020	147.06	0.00	-7.08	Sale
10/06/2020	100.00	139.98	Various	146.05	0.00	-6.07	Sale
10/06/2020	100.00	139.98	Various	146.05	0.00	-6.07	Sale
10/06/2020	100.00	139.98	Various	146.05	0.00	-6.07	Sale
10/06/2020	100.00	139.98	Various	146.05	0.00	-6.07	Sale
10/06/2020	100.00	139.98	10/06/2020	147.04	7.06 D	0.00	Sale
10/06/2020	100.00	138.98	Various	146.02	7.04 D	0.00	Sale
10/06/2020	100.00	142.98	10/06/2020	146.00	3.02 D	0.00	Sale
10/06/2020	100.00	138.98	10/06/2020	146.02	7.04 D	0.00	Sale
10/06/2020	100.00	142.98	10/06/2020	146.00	3.02 D	0.00	Sale
10/06/2020	130.00	180.67	Various	188.52	7.85 D	0.00	Sale
10/06/2020	200.00	279.97	Various	292.07	12.10 D	0.00	Sale

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APEX CLEARING

Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B\*

OMB No. 1545-0715

2TZ05705

(continued)

01/24/2021

**SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS**

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AYTU BIOSCIENCE INC COMMON STOCK   CUSIP: 054754700   Symbol: AYTU							
10/06/2020	149.00	207.08	Various	216.07	8.99 D	0.00	Sale
10/06/2020	200.00	279.97	Various	292.09	0.00	-12.12	Sale
10/06/2020	200.00	279.97	Various	292.07	12.10 D	0.00	Sale
10/06/2020	200.00	279.97	Various	292.06	12.09 D	0.00	Sale
10/06/2020	300.00	419.95	Various	438.09	18.14 D	0.00	Sale
10/06/2020	200.00	277.97	Various	290.03	12.06 D	0.00	Sale
10/06/2020	300.00	419.95	Various	438.09	18.14 D	0.00	Sale
10/06/2020	300.00	419.95	Various	438.10	18.15 D	0.00	Sale
10/06/2020	300.00	419.95	10/06/2020	438.09	18.14 D	0.00	Sale
10/06/2020	300.00	416.95	Various	435.05	18.10 D	0.00	Sale
10/06/2020	400.00	559.93	Various	584.18	0.00	-24.25	Sale
10/06/2020	600.00	833.91	Various	870.09	36.18 D	0.00	Sale
10/06/2020	421.00	585.12	10/06/2020	610.51	25.39 D	0.00	Sale
10/06/2020	800.00	1,119.87	Various	1,168.39	0.00	-48.52	Sale
10/06/2020	1,800.00	2,591.73	10/06/2020	2,628.00	36.27 D	0.00	Sale
<b>Security Totals:</b>		<b>192,503.52</b>		<b>194,770.02</b>		<b>1,925.81</b>	
BED BATH & BEYOND INC   CUSIP: 075896100   Symbol: BBBY							
04/30/2020	300.00	2,012.92	04/28/2020	2,043.00	0.00	-30.08	Buy to Cover Short
04/30/2020	100.00	670.97	04/28/2020	681.00	0.00	-10.03	Buy to Cover Short
04/30/2020	300.00	2,012.92	04/28/2020	2,043.00	0.00	-30.08	Buy to Cover Short
04/30/2020	300.00	2,012.92	04/28/2020	2,043.00	0.00	-30.08	Buy to Cover Short
<b>Security Totals:</b>		<b>6,709.73</b>		<b>6,810.00</b>		<b>-100.27</b>	
INOVIO PHARMACEUTICALS INC COM   CUSIP: 45773H201   Symbol: INO							
03/06/2020	300.00	4,202.86	03/06/2020	4,443.00	240.14 D	0.00	Sale
03/09/2020	300.00	3,170.61	03/09/2020	3,378.11	207.5 D	0.00	Sale
03/10/2020	1,000.00	5,559.85	Various	5,958.60	398.75 D	0.00	Sale
03/10/2020	1,000.00	5,599.75	Various	5,928.35	328.60 D	0.00	Sale
03/11/2020	100.00	832.97	03/11/2020	884.87	51.9 D	0.00	Sale

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INOVIO PHARMACEUTICALS INC COM   CUSIP: 45773H201   Symbol: INO							
03/11/2020	400.00	3,327.87	Various	3,401.17	105.81 D	32.51	Sale
03/12/2020	100.00	1,119.96	03/11/2020	846.05	0.00	273.91	Sale
03/12/2020	100.00	1,089.96	03/11/2020	846.04	0.00	243.92	Sale
03/12/2020	100.00	1,179.96	03/11/2020	846.04	0.00	333.92	Sale
03/12/2020	200.00	2,059.93	Various	1,692.08	0.00	367.85	Sale
03/12/2020	250.00	2,549.91	Various	2,431.26	0.00	118.65	Sale
03/12/2020	250.00	2,367.41	Various	2,326.45	12.97 D	53.93	Sale
03/13/2020	250.00	2,104.91	Various	2,087.57	0.00	17.34	Buy to Cover Short
03/13/2020	500.00	3,909.79	Various	3,995.00	85.21 D	0.00	Buy to Cover Short
03/13/2020	250.00	2,104.90	Various	2,085.14	0.00	19.76	Buy to Cover Short
03/17/2020	1,000.00	6,819.72	Various	6,832.97	0.00	-13.25	Sale
04/20/2020	1,000.00	9,019.78	Various	9,080.00	60.22 D	0.00	Sale
04/28/2020	223.00	3,188.79	Various	3,344.01	155.22 D	0.00	Buy to Cover Short
04/28/2020	777.00	11,110.75	Various	11,514.67	403.92 D	0.00	Buy to Cover Short
04/28/2020	300.00	4,157.87	Various	4,311.90	154.03 D	0.00	Buy to Cover Short
04/28/2020	400.00	5,597.90	Various	5,852.00	254.10 D	0.00	Buy to Cover Short
04/28/2020	575.00	7,019.52	Various	7,130.00	110.48 D	0.00	Buy to Cover Short
04/28/2020	425.00	5,155.08	04/24/2020	5,346.67	191.59 D	0.00	Buy to Cover Short
04/28/2020	600.00	8,398.14	Various	8,602.72	204.58 D	0.00	Buy to Cover Short
04/28/2020	700.00	9,701.70	Various	9,902.39	200.69 D	0.00	Buy to Cover Short
04/28/2020	1.00	14.50	04/28/2020	14.64	0.14 D	0.00	Sale
04/28/2020	1.00	14.53	04/28/2020	14.64	0.11 D	0.00	Sale
04/28/2020	1.00	14.50	04/28/2020	14.64	0.14 D	0.00	Sale
04/28/2020	40.00	581.57	04/28/2020	585.61	4.04 D	0.00	Sale
04/28/2020	71.00	1,030.88	04/28/2020	1,039.45	8.57 D	0.00	Sale
04/28/2020	172.00	2,500.80	Various	2,516.66	15.86 D	0.00	Sale
04/28/2020	214.00	3,109.32	Various	3,130.87	21.55 D	0.00	Sale

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APEX CLEARING

Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B\*

OMB No. 1545-0715

2TZ05705

(continued)

01/24/2021

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
INOVIO PHARMACEUTICALS INC COM   CUSIP: 45773H201   Symbol: INO							
04/28/2020	500.00	7,264.77	Various	7,319.11	54.34 D	0.00	Sale
04/29/2020	500.00	7,299.76	Various	7,862.35	562.59 D	0.00	Buy to Cover Short
04/29/2020	500.00	6,752.24	Various	7,297.59	545.35 D	0.00	Buy to Cover Short
04/29/2020	500.00	7,454.77	Various	7,605.99	151.22 D	0.00	Buy to Cover Short
05/01/2020	100.00	1,341.96	Various	1,390.57	48.61 D	0.00	Buy to Cover Short
05/01/2020	20.00	268.39	04/29/2020	283.98	15.59 D	0.00	Buy to Cover Short
05/01/2020	100.00	1,341.96	Various	1,407.23	65.27 D	0.00	Buy to Cover Short
05/01/2020	780.00	10,497.27	Various	11,262.30	765.03 D	0.00	Buy to Cover Short
05/01/2020	2,000.00	19,741.12	Various	20,659.25	853.94 D	-64.19	Sale
05/20/2020	4.00	70.94	05/20/2020	74.96	4.02 D	0.00	Sale
05/20/2020	10.00	177.38	Various	187.39	10.01 D	0.00	Sale
05/20/2020	156.00	2,764.23	Various	2,893.34	129.11 D	0.00	Sale
05/20/2020	50.00	885.97	Various	921.87	35.90 D	0.00	Sale
05/20/2020	80.00	1,415.95	Various	1,475.09	59.14 D	0.00	Sale
05/20/2020	200.00	3,541.90	Various	3,688.45	146.55 D	0.00	Sale
05/22/2020	500.00	7,164.78	Various	7,771.99	0.00	-607.21	Sale
05/27/2020	16.00	231.99	Various	240.51	8.52 D	0.00	Buy to Cover Short
05/27/2020	150.00	2,137.43	05/22/2020	2,019.00	0.00	118.43	Buy to Cover Short
05/27/2020	150.00	2,137.43	05/22/2020	2,027.45	0.00	109.98	Buy to Cover Short
05/27/2020	484.00	7,017.73	Various	7,255.86	238.13 D	0.00	Buy to Cover Short
05/27/2020	250.00	3,632.39	Various	3,691.26	0.00	-58.87	Buy to Cover Short
05/27/2020	132.00	1,878.31	Various	1,918.02	39.71 D	0.00	Buy to Cover Short
05/27/2020	250.00	3,632.38	Various	3,664.97	0.00	-32.59	Buy to Cover Short
05/27/2020	200.00	2,850.90	Various	2,718.00	0.00	132.90	Buy to Cover Short
05/27/2020	368.00	5,236.47	Various	5,328.30	91.83 D	0.00	Buy to Cover Short
05/27/2020	500.00	7,185.12	Various	7,386.49	201.37 D	0.00	Buy to Cover Short
05/27/2020	500.00	6,934.72	Various	7,015.00	80.28 D	0.00	Buy to Cover Short

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APEX CLEARING

Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B\*

OMB No. 1545-0715

2TZ05705

(continued)

01/24/2021

**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
INOVIO PHARMACEUTICALS INC COM   CUSIP: 45773H201   Symbol: INO							
06/05/2020	500.00	6,204.80	Various	6,669.73	464.93 D	0.00	Sale
06/23/2020	100.00	1,784.95	Various	1,904.77	119.82 D	0.00	Sale
06/23/2020	100.00	1,784.95	Various	1,883.96	99.01 D	0.00	Sale
06/23/2020	100.00	1,784.95	Various	1,885.56	100.61 D	0.00	Sale
06/23/2020	100.00	2,031.94	06/23/2020	1,952.52	0.00	79.42	Sale
06/23/2020	100.00	2,039.94	Various	1,952.91	0.00	87.03	Sale
06/23/2020	100.00	2,019.94	06/23/2020	1,952.92	0.00	67.02	Sale
06/23/2020	100.00	2,019.94	Various	1,952.53	0.00	67.41	Sale
06/23/2020	200.00	3,569.90	Various	3,770.64	200.74 D	0.00	Sale
06/23/2020	100.00	2,019.94	Various	1,952.92	0.00	67.02	Sale
06/23/2020	250.00	4,929.86	Various	5,106.57	176.71 D	0.00	Sale
06/23/2020	250.00	4,987.35	Various	5,093.89	106.54 D	0.00	Sale
06/23/2020	250.00	4,859.86	Various	5,138.93	279.07 D	0.00	Sale
06/23/2020	500.00	9,139.73	Various	9,248.53	108.80 D	0.00	Sale
06/23/2020	250.00	4,854.86	Various	5,121.25	266.39 D	0.00	Sale
06/24/2020	200.00	4,965.23	Various	5,075.60	110.37 D	0.00	Sale
06/25/2020	74.00	1,337.88	06/23/2020	1,348.32	10.44 D	0.00	Buy to Cover Short
06/25/2020	76.00	1,371.00	06/23/2020	1,385.52	14.52 D	0.00	Buy to Cover Short
06/25/2020	100.00	1,807.95	Various	1,822.05	14.10 D	0.00	Buy to Cover Short
06/25/2020	100.00	1,921.93	Various	1,962.21	40.28 D	0.00	Buy to Cover Short
06/25/2020	105.00	2,018.04	Various	2,063.81	45.77 D	0.00	Buy to Cover Short
06/25/2020	100.00	1,774.95	06/23/2020	1,806.00	31.05 D	0.00	Buy to Cover Short
06/25/2020	200.00	3,549.89	Various	3,611.39	61.50 D	0.00	Buy to Cover Short
06/25/2020	200.00	3,549.90	Various	3,611.38	61.48 D	0.00	Buy to Cover Short
06/25/2020	250.00	4,512.91	Various	4,559.15	46.24 D	0.00	Buy to Cover Short
06/25/2020	295.00	5,671.73	Various	5,835.28	163.55 D	0.00	Buy to Cover Short
06/25/2020	250.00	4,519.87	Various	4,567.75	47.88 D	0.00	Buy to Cover Short

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**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
INOVIO PHARMACEUTICALS INC COM   CUSIP: 45773H201   Symbol: INO							
06/25/2020	340.00	6,684.22	Various	6,783.97	99.75 D	0.00	Buy to Cover Short
06/25/2020	500.00	8,924.74	Various	8,997.68	72.94 D	0.00	Buy to Cover Short
06/25/2020	500.00	9,540.22	Various	9,655.61	117.79 D	2.40	Buy to Cover Short
06/25/2020	500.00	9,444.73	Various	9,650.32	205.59 D	0.00	Buy to Cover Short
06/25/2020	500.00	9,529.72	Various	9,749.29	219.57 D	0.00	Buy to Cover Short
06/25/2020	660.00	12,975.22	Various	13,088.97	113.75 D	0.00	Buy to Cover Short
06/25/2020	1,000.00	17,443.48	Various	17,640.00	196.52 D	0.00	Buy to Cover Short
06/25/2020	50.00	901.97	06/23/2020	911.28	9.31 D	0.00	Buy to Cover Short
06/25/2020	77.00	1,380.57	Various	1,389.16	8.59 D	0.00	Buy to Cover Short
06/25/2020	100.00	1,792.95	Various	1,804.43	11.48 D	0.00	Buy to Cover Short
06/25/2020	123.00	2,205.32	06/23/2020	2,232.59	27.27 D	0.00	Buy to Cover Short
06/25/2020	200.00	3,607.90	06/23/2020	3,645.10	37.2 D	0.00	Buy to Cover Short
06/25/2020	200.00	3,585.90	Various	3,611.24	25.34 D	0.00	Buy to Cover Short
06/25/2020	250.00	4,917.36	Various	5,021.51	104.15 D	0.00	Buy to Cover Short
06/25/2020	500.00	9,604.72	Various	9,917.81	313.09 D	0.00	Buy to Cover Short
06/25/2020	500.00	9,610.22	Various	9,646.30	36.32 D	0.24	Buy to Cover Short
06/25/2020	100.00	2,935.92	Various	2,984.31	48.39 D	0.00	Sale
06/25/2020	100.00	2,935.92	Various	3,012.28	76.36 D	0.00	Sale
06/25/2020	100.00	2,900.42	Various	2,998.89	98.47 D	0.00	Sale
06/25/2020	100.00	2,935.92	Various	3,003.40	67.48 D	0.00	Sale
06/25/2020	100.00	2,900.42	Various	2,994.23	93.81 D	0.00	Sale
06/25/2020	100.00	2,984.92	Various	3,029.48	44.56 D	0.00	Sale
06/25/2020	100.00	2,935.92	Various	3,027.10	91.18 D	0.00	Sale
06/25/2020	100.00	2,934.92	Various	3,012.95	78.03 D	0.00	Sale
06/25/2020	200.00	5,957.84	Various	6,095.56	137.72 D	0.00	Sale
06/25/2020	200.00	5,955.84	Various	6,114.28	158.44 D	0.00	Sale
06/25/2020	213.00	5,985.13	Various	6,128.90	143.77 D	0.00	Sale

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APEX CLEARING

Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B\*

OMB No. 1545-0715

2TZ05705

(continued)

01/24/2021

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
INOVIO PHARMACEUTICALS INC COM   CUSIP: 45773H201   Symbol: INO							
06/25/2020	287.00	8,064.49	Various	8,213.61	149.12 D	0.00	Sale
06/25/2020	300.00	8,701.26	Various	8,925.34	224.08 D	0.00	Sale
06/25/2020	9.00	264.14	06/25/2020	269.74	5.6 D	0.00	Sale
06/25/2020	500.00	14,149.62	Various	14,457.26	307.64 D	0.00	Sale
06/25/2020	20.00	586.99	Various	600.39	13.40 D	0.00	Sale
06/25/2020	171.00	5,020.56	Various	5,178.33	157.77 D	0.00	Sale
06/25/2020	200.00	5,874.85	Various	6,065.49	190.64 D	0.00	Sale
06/26/2020	25.00	663.97	06/26/2020	674.68	10.71 D	0.00	Sale
06/26/2020	75.00	1,991.94	Various	2,032.98	41.04 D	0.00	Sale
06/26/2020	100.00	2,655.93	Various	2,730.97	75.04 D	0.00	Sale
06/26/2020	100.00	2,612.93	Various	2,648.06	38.28 D	3.15	Sale
06/26/2020	100.00	2,631.03	Various	2,681.75	52.98 D	2.26	Sale
06/26/2020	100.00	2,681.93	Various	2,844.76	162.83 D	0.00	Sale
06/26/2020	100.00	2,724.92	Various	2,825.58	100.66 D	0.00	Sale
06/26/2020	100.00	2,675.93	Various	2,790.07	114.14 D	0.00	Sale
06/26/2020	100.00	2,681.03	Various	2,782.33	101.30 D	0.00	Sale
06/26/2020	100.00	2,550.93	Various	2,678.25	127.32 D	0.00	Sale
06/26/2020	100.00	2,677.93	Various	2,807.45	129.52 D	0.00	Sale
06/26/2020	100.00	2,562.93	Various	2,684.67	121.74 D	0.00	Sale
06/26/2020	100.00	2,674.93	Various	2,809.02	134.09 D	0.00	Sale
06/26/2020	100.00	2,809.92	Various	2,955.73	145.81 D	0.00	Sale
06/26/2020	100.00	2,821.92	Various	2,961.82	139.90 D	0.00	Sale
06/26/2020	100.00	2,726.92	Various	2,830.65	103.73 D	0.00	Sale
06/26/2020	100.00	2,724.92	Various	2,810.55	85.63 D	0.00	Sale
06/26/2020	100.00	2,630.03	Various	2,711.68	81.65 D	0.00	Sale
06/26/2020	100.00	2,726.92	Various	2,810.34	83.42 D	0.00	Sale
06/26/2020	100.00	2,726.92	Various	2,827.87	100.95 D	0.00	Sale

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APEX CLEARING

Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B\*

OMB No. 1545-0715

2TZ05705

(continued)

01/24/2021

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
INOVIO PHARMACEUTICALS INC COM   CUSIP: 45773H201   Symbol: INO							
06/26/2020	100.00	2,829.92	Various	2,929.25	99.33 D	0.00	Sale
06/26/2020	100.00	2,849.92	Various	2,942.89	92.97 D	0.00	Sale
06/26/2020	100.00	2,849.92	Various	2,945.74	95.82 D	0.00	Sale
06/26/2020	100.00	2,849.92	Various	2,960.96	111.04 D	0.00	Sale
06/26/2020	100.00	2,799.92	Various	2,926.64	126.72 D	0.00	Sale
06/26/2020	100.00	2,849.92	Various	2,915.67	65.75 D	0.00	Sale
06/26/2020	100.00	2,849.92	Various	2,944.10	94.18 D	0.00	Sale
06/26/2020	100.00	3,124.02	Various	3,188.54	64.52 D	0.00	Sale
06/26/2020	100.00	3,124.92	Various	3,175.80	50.88 D	0.00	Sale
06/26/2020	100.00	3,240.91	Various	3,426.49	185.58 D	0.00	Sale
06/26/2020	100.00	3,240.91	Various	3,398.52	157.61 D	0.00	Sale
06/26/2020	100.00	3,124.02	Various	3,239.18	115.16 D	0.00	Sale
06/26/2020	100.00	3,253.91	Various	3,299.59	46.37 D	0.69	Sale
06/26/2020	100.00	3,252.91	Various	3,264.32	14.84 D	3.43	Sale
06/26/2020	100.00	3,261.01	Various	3,375.74	114.73 D	0.00	Sale
06/26/2020	200.00	6,479.83	Various	6,578.80	98.97 D	0.00	Sale
06/26/2020	300.00	8,729.76	Various	8,906.66	186.50 D	9.60	Sale
06/26/2020	4.00	113.62	06/26/2020	117.32	3.7 D	0.00	Sale
06/26/2020	4.00	113.66	06/26/2020	117.32	3.66 D	0.00	Sale
06/26/2020	25.00	632.47	06/26/2020	667.61	35.14 D	0.00	Sale
06/26/2020	40.00	1,299.56	Various	1,316.78	17.59 D	0.37	Sale
06/26/2020	60.00	1,949.94	Various	1,966.67	16.73 D	0.00	Sale
06/26/2020	75.00	1,897.44	Various	2,002.55	105.11 D	0.00	Sale
06/26/2020	92.00	2,612.73	Various	2,674.19	61.46 D	0.00	Sale
06/26/2020	100.00	3,250.08	Various	3,378.53	128.45 D	0.00	Sale
06/26/2020	100.00	2,841.52	Various	2,904.24	62.72 D	0.00	Sale
06/26/2020	100.00	2,881.65	06/26/2020	2,976.65	95 D	0.00	Sale

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**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
INOVIO PHARMACEUTICALS INC COM   CUSIP: 45773H201   Symbol: INO							
06/26/2020	100.00	2,533.93	Various	2,651.53	117.60 D	0.00	Sale
06/26/2020	100.00	2,655.93	Various	2,767.03	111.10 D	0.00	Sale
06/26/2020	100.00	2,681.10	Various	2,762.54	81.44 D	0.00	Sale
06/26/2020	100.00	2,626.93	Various	2,703.51	76.58 D	0.00	Sale
06/26/2020	100.00	2,550.93	Various	2,658.01	107.08 D	0.00	Sale
06/26/2020	100.00	2,727.09	Various	2,860.84	133.75 D	0.00	Sale
06/26/2020	100.00	2,839.92	Various	2,906.91	66.99 D	0.00	Sale
06/26/2020	100.00	2,795.92	Various	2,928.85	132.93 D	0.00	Sale
06/26/2020	100.00	2,850.47	Various	2,970.25	119.78 D	0.00	Sale
06/26/2020	100.00	2,800.47	Various	2,919.12	118.65 D	0.00	Sale
06/26/2020	100.00	2,794.47	Various	2,966.93	172.46 D	0.00	Sale
06/26/2020	100.00	2,795.92	Various	2,971.80	175.88 D	0.00	Sale
06/26/2020	100.00	3,250.92	Various	3,336.21	85.29 D	0.00	Sale
06/29/2020	500.00	14,366.32	Various	14,942.33	576.01 D	0.00	Sale
06/30/2020	1.00	32.23	06/26/2020	34.94	2.71 D	0.00	Buy to Cover Short
06/30/2020	5.00	125.10	06/26/2020	126.80	1.7 D	0.00	Buy to Cover Short
06/30/2020	6.00	193.79	Various	200.39	6.6 D	0.00	Buy to Cover Short
06/30/2020	9.00	290.06	06/26/2020	314.44	24.38 D	0.00	Buy to Cover Short
06/30/2020	90.00	2,900.62	Various	3,124.59	223.97 D	0.00	Buy to Cover Short
06/30/2020	94.00	3,036.13	Various	3,120.61	84.48 D	0.00	Buy to Cover Short
06/30/2020	95.00	2,376.84	Various	2,409.65	32.81 D	0.00	Buy to Cover Short
06/30/2020	100.00	3,229.92	Various	3,182.51	0.00	47.41	Buy to Cover Short
06/30/2020	100.00	3,229.91	Various	3,086.31	0.00	143.60	Buy to Cover Short
06/30/2020	100.00	3,229.91	Various	3,220.78	0.00	9.13	Buy to Cover Short
06/30/2020	100.00	3,099.92	06/26/2020	3,088.00	0.00	11.92	Buy to Cover Short
06/30/2020	100.00	2,899.92	06/26/2020	2,942.00	42.08 D	0.00	Buy to Cover Short
06/30/2020	100.00	2,825.93	Various	2,758.11	0.00	67.82	Buy to Cover Short

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APEX CLEARING

Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B\*

OMB No. 1545-0715

2TZ05705

(continued)

01/24/2021

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
INOVIO PHARMACEUTICALS INC COM   CUSIP: 45773H201   Symbol: INO							
06/30/2020	100.00	2,807.91	Various	2,662.00	0.00	145.91	Buy to Cover Short
06/30/2020	100.00	2,807.89	Various	2,698.00	0.00	109.89	Buy to Cover Short
06/30/2020	100.00	2,752.89	Various	2,794.08	41.19 D	0.00	Buy to Cover Short
06/30/2020	100.00	2,591.94	06/26/2020	2,644.12	52.18 D	0.00	Buy to Cover Short
06/30/2020	100.00	2,573.93	06/26/2020	2,608.18	34.25 D	0.00	Buy to Cover Short
06/30/2020	100.00	2,524.92	Various	2,530.38	5.46 D	0.00	Buy to Cover Short
06/30/2020	100.00	2,573.93	06/26/2020	2,592.25	18.32 D	0.00	Buy to Cover Short
06/30/2020	100.00	2,502.94	Various	2,561.51	58.57 D	0.00	Buy to Cover Short
06/30/2020	100.00	2,808.92	06/26/2020	2,680.00	0.00	128.92	Buy to Cover Short
06/30/2020	100.00	2,591.94	06/26/2020	2,611.06	19.12 D	0.00	Buy to Cover Short
06/30/2020	100.00	2,680.93	06/26/2020	2,750.07	69.14 D	0.00	Buy to Cover Short
06/30/2020	100.00	2,681.78	Various	2,786.14	104.36 D	0.00	Buy to Cover Short
06/30/2020	100.00	2,681.93	06/26/2020	2,715.00	33.07 D	0.00	Buy to Cover Short
06/30/2020	100.00	2,727.34	Various	2,771.70	44.36 D	0.00	Buy to Cover Short
06/30/2020	100.00	2,719.42	Various	2,814.99	95.57 D	0.00	Buy to Cover Short
06/30/2020	100.00	2,721.92	Various	2,744.36	22.44 D	0.00	Buy to Cover Short
06/30/2020	100.00	2,760.42	Various	2,850.67	90.25 D	0.00	Buy to Cover Short
06/30/2020	100.00	2,719.92	Various	2,770.57	50.65 D	0.00	Buy to Cover Short
06/30/2020	100.00	2,715.91	Various	2,728.55	12.64 D	0.00	Buy to Cover Short
06/30/2020	100.00	2,760.93	Various	3,051.52	290.59 D	0.00	Buy to Cover Short
06/30/2020	100.00	2,760.93	06/26/2020	2,726.00	0.00	34.93	Buy to Cover Short
06/30/2020	100.00	2,720.12	Various	2,865.21	145.09 D	0.00	Buy to Cover Short
06/30/2020	100.00	2,760.42	Various	2,890.25	129.83 D	0.00	Buy to Cover Short
06/30/2020	100.00	2,793.74	Various	3,178.29	384.55 D	0.00	Buy to Cover Short
06/30/2020	100.00	2,760.92	Various	2,899.32	152.37 D	13.97	Buy to Cover Short
06/30/2020	100.00	2,743.92	Various	3,029.64	285.72 D	0.00	Buy to Cover Short
06/30/2020	100.00	2,760.93	Various	3,097.45	336.52 D	0.00	Buy to Cover Short

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**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
INOVIO PHARMACEUTICALS INC COM   CUSIP: 45773H201   Symbol: INO							
06/30/2020	100.00	2,736.92	Various	3,045.72	308.80 D	0.00	Buy to Cover Short
06/30/2020	100.00	2,795.91	Various	2,959.83	163.92 D	0.00	Buy to Cover Short
06/30/2020	100.00	2,794.92	Various	3,010.92	216.00 D	0.00	Buy to Cover Short
06/30/2020	100.00	2,791.32	Various	3,063.00	271.68 D	0.00	Buy to Cover Short
06/30/2020	100.00	3,264.87	Various	3,280.08	15.21 D	0.00	Buy to Cover Short
06/30/2020	100.00	2,760.92	06/26/2020	2,726.00	0.00	34.92	Buy to Cover Short
06/30/2020	100.00	3,190.91	06/26/2020	3,223.08	32.17 D	0.00	Buy to Cover Short
06/30/2020	100.00	3,333.91	Various	3,644.88	310.97 D	0.00	Buy to Cover Short
06/30/2020	100.00	3,220.86	Various	3,234.17	13.31 D	0.00	Buy to Cover Short
06/30/2020	100.00	3,229.92	Various	3,119.38	0.00	110.54	Buy to Cover Short
06/30/2020	100.00	2,610.91	Various	2,595.58	0.00	15.33	Buy to Cover Short
06/30/2020	100.00	2,572.94	06/26/2020	2,593.32	20.38 D	0.00	Buy to Cover Short
06/30/2020	100.00	2,592.93	06/26/2020	2,601.99	9.06 D	0.00	Buy to Cover Short
06/30/2020	100.00	2,522.94	Various	2,530.39	7.45 D	0.00	Buy to Cover Short
06/30/2020	100.00	2,524.94	Various	2,529.57	4.63 D	0.00	Buy to Cover Short
06/30/2020	100.00	2,681.04	Various	2,819.86	138.82 D	0.00	Buy to Cover Short
06/30/2020	100.00	2,682.93	06/26/2020	2,704.01	21.08 D	0.00	Buy to Cover Short
06/30/2020	100.00	2,681.94	06/26/2020	2,727.58	45.64 D	0.00	Buy to Cover Short
06/30/2020	100.00	2,715.92	Various	2,686.75	0.00	29.17	Buy to Cover Short
06/30/2020	100.00	2,756.46	Various	2,809.02	52.56 D	0.00	Buy to Cover Short
06/30/2020	100.00	2,737.92	Various	2,721.44	0.00	16.48	Buy to Cover Short
06/30/2020	100.00	2,755.92	Various	2,814.03	58.11 D	0.00	Buy to Cover Short
06/30/2020	100.00	2,719.69	Various	2,884.82	165.13 D	0.00	Buy to Cover Short
06/30/2020	100.00	2,715.92	Various	2,911.13	195.21 D	0.00	Buy to Cover Short
06/30/2020	100.00	2,809.92	06/26/2020	2,643.00	0.00	166.92	Buy to Cover Short
06/30/2020	100.00	2,680.94	06/26/2020	2,752.64	71.7 D	0.00	Buy to Cover Short
06/30/2020	100.00	2,721.92	06/26/2020	2,699.00	0.00	22.92	Buy to Cover Short

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**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
INOVIO PHARMACEUTICALS INC COM   CUSIP: 45773H201   Symbol: INO							
06/30/2020	100.00	2,780.42	06/26/2020	2,795.00	14.58 D	0.00	Buy to Cover Short
06/30/2020	100.00	2,760.91	Various	2,812.58	51.67 D	0.00	Buy to Cover Short
06/30/2020	100.00	2,721.92	06/26/2020	2,698.68	0.00	23.24	Buy to Cover Short
06/30/2020	100.00	2,791.39	Various	3,121.68	330.29 D	0.00	Buy to Cover Short
06/30/2020	100.00	3,250.64	Various	3,353.07	102.43 D	0.00	Buy to Cover Short
06/30/2020	100.00	3,121.90	Various	3,272.68	150.78 D	0.00	Buy to Cover Short
06/30/2020	100.00	3,260.89	Various	3,333.57	72.68 D	0.00	Buy to Cover Short
06/30/2020	200.00	6,329.83	Various	6,517.64	187.81 D	0.00	Buy to Cover Short
06/30/2020	500.00	14,159.62	Various	14,658.80	499.18 D	0.00	Buy to Cover Short
06/30/2020	50.00	1,481.95	Various	1,543.50	61.55 D	0.00	Sale
06/30/2020	150.00	4,445.88	Various	4,526.43	80.55 D	0.00	Sale
06/30/2020	300.00	8,864.76	Various	9,049.46	184.70 D	0.00	Sale
07/01/2020	500.00	14,099.62	Various	14,391.08	291.46 D	0.00	Buy to Cover Short
07/01/2020	500.00	14,329.62	Various	14,776.46	446.84 D	0.00	Buy to Cover Short
07/01/2020	500.00	14,224.61	Various	14,451.84	227.23 D	0.00	Buy to Cover Short
07/01/2020	250.00	5,079.85	Various	5,437.80	357.95 D	0.00	Sale
07/01/2020	250.00	5,074.85	Various	5,442.05	367.20 D	0.00	Sale
07/01/2020	14.00	281.38	07/01/2020	302.24	20.86 D	0.00	Sale
07/01/2020	500.00	10,009.71	Various	10,719.77	710.06 D	0.00	Sale
07/01/2020	50.00	1,015.46	Various	1,094.96	79.50 D	0.00	Sale
07/01/2020	100.00	2,004.94	Various	2,142.29	137.35 D	0.00	Sale
07/01/2020	100.00	2,009.94	Various	2,090.74	80.80 D	0.00	Sale
07/01/2020	250.00	5,078.70	Various	5,264.25	185.55 D	0.00	Sale
07/01/2020	100.00	2,009.94	Various	2,088.91	78.97 D	0.00	Sale
07/01/2020	286.00	5,748.44	Various	5,962.31	213.87 D	0.00	Sale
07/01/2020	400.00	8,019.77	Various	8,215.10	195.33 D	0.00	Sale
07/01/2020	200.00	4,063.89	Various	4,167.81	103.92 D	0.00	Sale

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APEX CLEARING

Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B\*

OMB No. 1545-0715

2TZ05705

(continued)

01/24/2021

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

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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
INOVIO PHARMACEUTICALS INC COM   CUSIP: 45773H201   Symbol: INO							
07/02/2020	15.00	302.23	Various	325.42	23.19 D	0.00	Sale
07/02/2020	35.00	705.57	Various	753.16	47.59 D	0.00	Sale
07/02/2020	100.00	2,015.94	Various	2,080.47	64.53 D	0.00	Sale
07/02/2020	100.00	2,015.94	Various	2,103.23	87.29 D	0.00	Sale
07/02/2020	100.00	2,015.94	Various	2,084.07	68.13 D	0.00	Sale
07/02/2020	100.00	2,225.94	Various	2,272.46	0.00	-46.52	Sale
07/02/2020	100.00	2,219.94	Various	2,291.67	0.00	-71.73	Sale
07/02/2020	100.00	2,232.94	Various	2,283.65	0.00	-50.71	Sale
07/02/2020	150.00	3,022.41	Various	3,144.29	121.88 D	0.00	Sale
07/02/2020	400.00	8,571.76	Various	8,682.81	0.00	-111.05	Sale
07/02/2020	500.00	10,224.71	Various	10,981.95	447.23 D	-310.01	Sale
07/02/2020	100.00	2,135.23	Various	2,256.76	0.00	-121.53	Sale
07/02/2020	500.00	11,022.19	Various	11,582.22	0.00	-560.03	Sale
09/16/2020	50.00	789.47	09/16/2020	771.50	0.00	17.97	Sale
09/16/2020	100.00	1,562.95	09/16/2020	1,555.00	0.00	7.95	Sale
09/16/2020	100.00	1,562.95	09/16/2020	1,555.00	0.00	7.95	Sale
09/16/2020	100.00	1,562.95	09/16/2020	1,555.00	0.00	7.95	Sale
09/16/2020	100.00	1,562.95	09/16/2020	1,555.00	0.00	7.95	Sale
09/16/2020	100.00	1,562.95	09/16/2020	1,555.00	0.00	7.95	Sale
09/16/2020	200.00	3,158.91	09/16/2020	3,086.00	0.00	72.91	Sale
09/16/2020	250.00	3,912.38	Various	3,857.61	0.00	54.77	Sale
09/16/2020	500.00	7,774.76	Various	7,775.00	0.24 D	0.00	Sale
09/16/2020	50.00	782.47	09/16/2020	771.50	0.00	10.97	Sale
09/16/2020	100.00	1,565.45	09/16/2020	1,543.00	0.00	22.45	Sale
09/16/2020	100.00	1,565.45	09/16/2020	1,543.00	0.00	22.45	Sale
09/16/2020	250.00	3,912.38	Various	3,857.63	0.00	54.75	Sale
09/18/2020	30.00	455.97	09/18/2020	462.00	6.03 D	0.00	Sale

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APEX CLEARING

Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B\*

OMB No. 1545-0715

2TZ05705

(continued)

01/24/2021

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

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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
INOVIO PHARMACEUTICALS INC COM   CUSIP: 45773H201   Symbol: INO							
09/18/2020	500.00	8,305.25	Various	8,450.25	145.00 D	0.00	Sale
09/18/2020	500.00	8,305.25	09/18/2020	8,450.23	144.98 D	0.00	Sale
09/18/2020	970.00	14,743.55	09/18/2020	14,938.00	194.45 D	0.00	Sale
09/22/2020	100.00	1,829.94	Various	1,798.57	0.00	31.37	Sale
09/22/2020	335.00	6,130.32	Various	6,025.14	0.00	105.18	Sale
09/22/2020	500.00	8,984.74	Various	9,127.13	123.88 D	-18.51	Sale
09/22/2020	100.00	1,807.95	Various	1,807.27	0.00	0.68	Sale
09/22/2020	400.00	7,227.79	Various	7,293.91	0.00	-66.12	Sale
09/22/2020	500.00	8,989.74	Various	9,087.50	97.76 D	0.00	Sale
<b>Security Totals:</b>		<b>1,178,083.97</b>		<b>1,208,113.33</b>		<b>1,647.09</b>	
***NANO DIMENSION LTD AMERICAN DEPOSITARY SHARES   CUSIP: 63008G203   Symbol: NNDM							
05/19/2020	26.00	102.68	05/19/2020	102.20	0.00	0.48	Sale
05/19/2020	100.00	410.98	Various	413.16	2.18 D	0.00	Sale
05/19/2020	100.00	401.98	Various	407.14	5.16 D	0.00	Sale
05/19/2020	10.00	30.28	05/19/2020	32.91	2.63 D	0.00	Sale
05/19/2020	100.00	410.98	Various	413.33	2.35 D	0.00	Sale
05/19/2020	100.00	401.98	Various	411.18	9.20 D	0.00	Sale
05/19/2020	100.00	409.98	Various	413.39	3.41 D	0.00	Sale
05/19/2020	101.00	398.93	Various	397.49	0.00	1.44	Sale
05/19/2020	300.00	1,184.93	Various	1,180.62	0.03 D	4.34	Sale
05/19/2020	400.00	1,607.91	Various	1,654.23	46.32 D	0.00	Sale
05/19/2020	279.00	1,110.36	Various	1,132.69	22.33 D	0.00	Sale
05/19/2020	400.00	1,607.91	Various	1,637.05	29.14 D	0.00	Sale
05/19/2020	300.00	1,232.93	Various	1,291.37	58.44 D	0.00	Sale
05/19/2020	490.00	1,484.60	05/19/2020	1,612.73	128.13 D	0.00	Sale
05/19/2020	500.00	2,009.89	Various	2,269.63	259.74 D	0.00	Sale
05/19/2020	500.00	1,514.90	05/19/2020	1,565.05	50.15 D	0.00	Sale
05/19/2020	533.00	874.04	05/19/2020	751.53	0.00	122.51	Sale

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**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

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**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
***NANO DIMENSION LTD AMERICAN DEPOSITARY SHARES   CUSIP: 63008G203   Symbol: NNDM							
05/19/2020	500.00	2,079.89	Various	2,036.96	0.00	42.93	Sale
05/19/2020	573.00	2,263.22	05/19/2020	2,263.60	0.38 D	0.00	Sale
05/19/2020	600.00	983.90	05/19/2020	846.00	0.00	137.90	Sale
05/19/2020	721.00	2,862.21	Various	3,093.29	231.08 D	0.00	Sale
05/19/2020	1,000.00	3,949.79	Various	4,235.26	25.53 D	-259.94	Sale
05/19/2020	1,000.00	3,849.79	Various	3,850.94	0.00	-1.15	Sale
05/19/2020	867.00	1,421.74	05/19/2020	1,222.47	0.00	199.27	Sale
05/19/2020	1,400.00	5,739.70	Various	5,948.81	209.11 D	0.00	Sale
05/19/2020	1,500.00	6,239.68	Various	6,350.77	190.98 D	79.89	Sale
05/19/2020	2,000.00	6,079.62	Various	6,382.19	302.57 D	0.00	Sale
05/19/2020	1,500.00	6,029.68	Various	6,305.44	275.76 D	0.00	Sale
05/19/2020	25.00	100.23	05/19/2020	100.51	0.28 D	0.00	Sale
05/19/2020	13.00	52.37	05/19/2020	52.26	0.00	0.11	Sale
05/19/2020	44.00	133.30	05/19/2020	152.63	19.33 D	0.00	Sale
05/19/2020	5.00	20.08	05/19/2020	20.10	0.02 D	0.00	Sale
05/19/2020	97.00	388.95	Various	390.34	1.39 D	0.00	Sale
05/19/2020	100.00	363.98	05/19/2020	412.96	48.98 D	0.00	Sale
05/19/2020	51.00	205.00	Various	205.53	0.53 D	0.00	Sale
05/19/2020	100.00	352.98	05/19/2020	341.05	0.00	11.93	Sale
05/19/2020	100.00	352.98	05/19/2020	341.04	0.00	11.94	Sale
05/19/2020	119.00	360.55	05/19/2020	412.81	52.26 D	0.00	Sale
05/19/2020	236.00	948.66	Various	952.56	3.90 D	0.00	Sale
05/19/2020	200.00	607.96	05/19/2020	626.02	18.06 D	0.00	Sale
05/19/2020	237.00	718.06	05/19/2020	822.14	104.08 D	0.00	Sale
05/19/2020	200.00	607.96	05/19/2020	626.02	18.06 D	0.00	Sale
05/19/2020	300.00	908.93	05/19/2020	939.03	30.1 D	0.00	Sale
05/19/2020	300.00	908.93	Various	1,050.76	141.83 D	0.00	Sale

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**SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS**

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***NANO DIMENSION LTD AMERICAN DEPOSITARY SHARES   CUSIP: 63008G203   Symbol: NNDM							
05/19/2020	250.00	1,002.44	Various	1,083.63	81.19 D	0.00	Sale
05/19/2020	300.00	911.93	05/19/2020	939.02	27.09 D	0.00	Sale
05/19/2020	300.00	908.93	Various	1,056.79	147.86 D	0.00	Sale
05/19/2020	300.00	1,058.93	05/19/2020	1,020.12	0.00	38.81	Sale
05/19/2020	323.00	1,295.16	Various	1,437.48	142.32 D	0.00	Sale
05/19/2020	900.00	3,284.81	Various	3,543.66	258.85 D	0.00	Sale
05/19/2020	500.00	1,604.90	05/19/2020	1,698.60	93.7 D	0.00	Sale
05/19/2020	1,000.00	3,639.79	Various	4,020.56	380.77 D	0.00	Sale
05/19/2020	1,500.00	5,294.70	Various	5,459.30	214.99 D	50.39	Sale
05/19/2020	2,000.00	6,080.22	Various	6,356.34	276.12 D	0.00	Sale
05/19/2020	3,000.00	9,314.43	Various	9,412.50	106.07 D	8.00	Sale
05/19/2020	2,000.00	6,002.42	Various	6,452.15	449.73 D	0.00	Sale
08/04/2020	15.00	40.48	08/04/2020	40.50	0.02 D	0.00	Sale
08/04/2020	80.00	217.58	Various	220.01	2.43 D	0.00	Sale
08/04/2020	20.00	54.38	08/04/2020	55.00	0.62 D	0.00	Sale
08/04/2020	100.00	270.98	08/04/2020	275.00	4.02 D	0.00	Sale
08/04/2020	100.00	270.98	08/04/2020	275.00	4.02 D	0.00	Sale
08/04/2020	100.00	270.98	08/04/2020	275.00	4.02 D	0.00	Sale
08/04/2020	100.00	270.98	08/04/2020	275.00	4.02 D	0.00	Sale
08/04/2020	305.00	823.50	Various	823.52	0.02 D	0.00	Sale
08/04/2020	900.00	2,447.83	08/04/2020	2,475.00	27.17 D	0.00	Sale
08/04/2020	600.00	1,631.89	08/04/2020	1,650.00	18.11 D	0.00	Sale
08/04/2020	1,680.00	4,537.37	Various	4,536.02	0.01 D	1.36	Sale
08/04/2020	2,000.00	5,400.04	Various	5,564.41	0.00	-164.37	Sale
09/30/2020	3.00	8.32	09/30/2020	8.78	0.46 D	0.00	Sale
09/30/2020	8.00	23.90	09/30/2020	24.56	0.66 D	0.00	Sale
09/30/2020	25.00	70.48	Various	73.43	2.95 D	0.00	Sale

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***NANO DIMENSION LTD AMERICAN DEPOSITARY SHARES   CUSIP: 63008G203   Symbol: NNDM							
09/30/2020	50.00	149.48	Various	158.13	8.65 D	0.00	Sale
09/30/2020	50.00	134.98	Various	143.48	8.5 D	0.00	Sale
09/30/2020	54.00	161.44	Various	174.03	12.59 D	0.00	Sale
09/30/2020	88.00	263.10	Various	276.91	13.81 D	0.00	Sale
09/30/2020	100.00	274.98	Various	280.52	5.54 D	0.00	Sale
09/30/2020	100.00	274.48	Various	276.28	1.80 D	0.00	Sale
09/30/2020	100.00	272.98	Various	281.74	8.76 D	0.00	Sale
09/30/2020	100.00	272.98	Various	280.67	7.69 D	0.00	Sale
09/30/2020	100.00	272.98	Various	282.80	9.82 D	0.00	Sale
09/30/2020	100.00	298.98	09/30/2020	299.49	0.51 D	0.00	Sale
09/30/2020	100.00	298.98	09/30/2020	299.49	0.51 D	0.00	Sale
09/30/2020	100.00	276.48	Various	274.06	1.27 D	3.69	Sale
09/30/2020	100.00	274.48	Various	276.64	2.16 D	0.00	Sale
09/30/2020	100.00	274.48	Various	281.21	6.73 D	0.00	Sale
09/30/2020	150.00	448.47	Various	449.24	0.77 D	0.00	Sale
09/30/2020	150.00	448.47	Various	449.23	0.76 D	0.00	Sale
09/30/2020	200.00	545.96	Various	550.23	4.27 D	0.00	Sale
09/30/2020	300.00	896.94	Various	898.45	1.51 D	0.00	Sale
09/30/2020	300.00	896.94	Various	898.08	1.14 D	0.00	Sale
09/30/2020	300.00	816.24	Various	846.64	30.40 D	0.00	Sale
09/30/2020	300.00	829.44	09/30/2020	815.41	0.00	14.03	Sale
09/30/2020	415.00	1,120.42	Various	1,161.47	41.05 D	0.00	Sale
09/30/2020	500.00	1,454.90	Various	1,502.66	60.06 D	12.30	Sale
09/30/2020	500.00	1,434.90	Various	1,458.70	35.42 D	11.62	Sale
09/30/2020	500.00	1,435.40	Various	1,478.49	52.02 D	8.93	Sale
09/30/2020	600.00	1,656.49	Various	1,668.20	21.94 D	10.23	Sale
09/30/2020	600.00	1,644.49	Various	1,695.73	51.24 D	0.00	Sale

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APEX CLEARING

Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B\*

OMB No. 1545-0715

2TZ05705

(continued)

01/24/2021

SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

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

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***NANO DIMENSION LTD AMERICAN DEPOSITARY SHARES   CUSIP: 63008G203   Symbol: NNDM							
09/30/2020	620.00	1,692.49	Various	1,733.11	40.62 D	0.00	Sale
09/30/2020	700.00	2,092.87	Various	2,098.42	5.55 D	0.00	Sale
09/30/2020	800.00	2,239.85	Various	2,322.52	91.09 D	8.42	Sale
09/30/2020	880.00	2,402.24	Various	2,442.14	39.90 D	0.00	Sale
09/30/2020	975.00	2,749.31	Various	2,850.22	100.91 D	0.00	Sale
09/30/2020	997.00	2,771.47	09/30/2020	2,919.00	147.53 D	0.00	Sale
09/30/2020	1,000.00	2,620.82	09/30/2020	2,620.00	0.00	0.82	Sale
09/30/2020	1,000.00	2,689.82	Various	2,620.00	0.00	69.82	Sale
09/30/2020	1,000.00	2,660.82	Various	2,677.87	17.05 D	0.00	Sale
09/30/2020	1,000.00	2,639.82	Various	2,660.19	20.37 D	0.00	Sale
09/30/2020	1,000.00	2,829.81	Various	2,755.00	0.00	74.81	Sale
09/30/2020	1,000.00	2,809.81	Various	2,755.17	0.00	54.64	Sale
09/30/2020	1,000.00	2,859.81	Various	2,914.83	55.02 D	0.00	Sale
09/30/2020	1,000.00	2,819.81	Various	2,958.94	139.13 D	0.00	Sale
09/30/2020	1,000.00	2,920.81	Various	2,949.74	33.86 D	4.93	Sale
09/30/2020	1,000.00	2,899.81	Various	2,989.33	89.52 D	0.00	Sale
09/30/2020	1,000.00	2,760.81	Various	2,825.44	64.63 D	0.00	Sale
09/30/2020	1,000.00	2,749.81	09/30/2020	2,679.00	0.00	70.81	Sale
09/30/2020	2,000.00	6,139.62	Various	6,232.10	93.35 D	0.87	Sale
09/30/2020	2,000.00	5,819.63	Various	5,885.26	65.63 D	0.00	Sale
09/30/2020	2,700.00	7,346.21	Various	7,586.01	239.80 D	0.00	Sale
09/30/2020	2,950.00	7,964.47	Various	8,312.45	347.98 D	0.00	Sale
09/30/2020	22.00	58.52	09/30/2020	58.63	0.11 D	0.00	Sale
09/30/2020	100.00	261.98	09/30/2020	262.00	0.02 D	0.00	Sale
09/30/2020	100.00	287.48	Various	305.61	18.13 D	0.00	Sale
09/30/2020	100.00	296.48	Various	315.08	18.60 D	0.00	Sale
09/30/2020	100.00	296.48	Various	313.51	17.03 D	0.00	Sale

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**SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS**

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***NANO DIMENSION LTD AMERICAN DEPOSITARY SHARES   CUSIP: 63008G203   Symbol: NNDM							
09/30/2020	100.00	296.48	09/30/2020	296.97	0.49 D	0.00	Sale
09/30/2020	100.00	296.48	09/30/2020	296.97	0.49 D	0.00	Sale
09/30/2020	100.00	296.48	09/30/2020	296.97	0.49 D	0.00	Sale
09/30/2020	100.00	296.48	09/30/2020	296.97	0.49 D	0.00	Sale
09/30/2020	100.00	296.48	09/30/2020	296.97	0.49 D	0.00	Sale
09/30/2020	100.00	296.48	09/30/2020	296.97	0.49 D	0.00	Sale
09/30/2020	100.00	296.48	09/30/2020	296.97	0.49 D	0.00	Sale
09/30/2020	100.00	296.48	Various	296.95	0.47 D	0.00	Sale
09/30/2020	100.00	296.48	09/30/2020	296.84	0.36 D	0.00	Sale
09/30/2020	100.00	296.48	09/30/2020	296.84	0.36 D	0.00	Sale
09/30/2020	200.00	574.96	Various	590.81	16.54 D	0.69	Sale
09/30/2020	200.00	592.96	09/30/2020	593.67	0.71 D	0.00	Sale
09/30/2020	200.00	591.96	Various	599.62	8.21 D	0.55	Sale
09/30/2020	400.00	1,149.92	09/30/2020	1,148.00	0.00	1.92	Sale
09/30/2020	500.00	1,435.00	Various	1,467.02	43.70 D	11.68	Sale
09/30/2020	500.00	1,437.40	09/30/2020	1,435.00	0.00	2.40	Sale
09/30/2020	600.00	1,775.95	09/30/2020	1,781.02	5.07 D	0.00	Sale
09/30/2020	800.00	2,295.84	09/30/2020	2,296.00	0.16 D	0.00	Sale
09/30/2020	800.00	2,367.84	Various	2,372.35	16.24 D	11.73	Sale
09/30/2020	900.00	2,357.83	Various	2,358.02	0.19 D	0.00	Sale
09/30/2020	978.00	2,601.89	Various	2,608.42	6.53 D	0.00	Sale
09/30/2020	1,000.00	2,659.82	Various	2,656.64	0.00	3.18	Sale
09/30/2020	1,000.00	2,809.81	Various	2,897.16	106.52 D	19.17	Sale
09/30/2020	1,000.00	2,860.91	09/30/2020	2,880.00	19.09 D	0.00	Sale
09/30/2020	1,000.00	2,780.91	09/30/2020	2,927.78	146.87 D	0.00	Sale
09/30/2020	1,000.00	2,829.81	Various	2,915.89	86.08 D	0.00	Sale
09/30/2020	1,000.00	2,819.81	Various	2,967.03	147.22 D	0.00	Sale

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***NANO DIMENSION LTD AMERICAN DEPOSITARY SHARES   CUSIP: 63008G203   Symbol: NNDM							
09/30/2020	1,000.00	2,900.01	Various	3,007.38	107.37 D	0.00	Sale
09/30/2020	1,000.00	2,749.81	09/30/2020	2,678.99	0.00	70.82	Sale
09/30/2020	2,000.00	5,809.63	Various	5,820.00	10.37 D	0.00	Sale
09/30/2020	2,000.00	5,819.63	09/30/2020	5,880.39	60.76 D	0.00	Sale
10/02/2020	1.00	2.94	09/30/2020	3.13	0.19 D	0.00	Buy to Cover Short
10/02/2020	100.00	293.98	Various	305.48	11.50 D	0.00	Buy to Cover Short
10/02/2020	1,899.00	5,582.71	Various	5,587.06	116.07 D	111.72	Buy to Cover Short
10/02/2020	2,000.00	6,419.61	09/30/2020	6,460.00	40.39 D	0.00	Buy to Cover Short
10/02/2020	51.00	157.07	09/30/2020	152.75	0.00	4.32	Buy to Cover Short
10/02/2020	51.00	157.07	Various	152.75	0.00	4.32	Buy to Cover Short
10/02/2020	51.00	157.07	09/30/2020	152.75	0.00	4.32	Buy to Cover Short
10/02/2020	52.00	160.15	09/30/2020	155.74	0.00	4.41	Buy to Cover Short
10/02/2020	75.00	216.64	Various	223.50	6.86 D	0.00	Buy to Cover Short
10/02/2020	100.00	307.98	09/30/2020	299.50	0.00	8.48	Buy to Cover Short
10/02/2020	100.00	307.98	09/30/2020	299.50	0.00	8.48	Buy to Cover Short
10/02/2020	100.00	307.98	09/30/2020	299.50	0.00	8.48	Buy to Cover Short
10/02/2020	100.00	288.98	Various	301.78	12.80 D	0.00	Buy to Cover Short
10/02/2020	100.00	288.98	Various	310.45	21.47 D	0.00	Buy to Cover Short
10/02/2020	100.00	288.98	Various	316.32	27.34 D	0.00	Buy to Cover Short
10/02/2020	225.00	650.20	Various	704.42	54.22 D	0.00	Buy to Cover Short
10/02/2020	400.00	1,155.92	Various	1,246.22	90.30 D	0.00	Buy to Cover Short
10/02/2020	400.00	1,155.92	Various	1,270.21	114.29 D	0.00	Buy to Cover Short
10/02/2020	600.00	1,738.71	Various	1,914.38	175.67 D	0.00	Buy to Cover Short
10/02/2020	1,495.00	4,604.32	09/30/2020	4,485.00	0.00	119.32	Buy to Cover Short
10/15/2020	1.00	4.18	10/15/2020	4.60	0.42 D	0.00	Sale
10/15/2020	2.00	8.56	10/15/2020	8.83	0.27 D	0.00	Sale
10/15/2020	15.00	64.33	10/15/2020	66.98	2.65 D	0.00	Sale

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***NANO DIMENSION LTD AMERICAN DEPOSITARY SHARES   CUSIP: 63008G203   Symbol: NNDM							
10/15/2020	3.00	12.85	10/15/2020	13.40	0.55 D	0.00	Sale
10/15/2020	79.00	331.78	Various	361.49	29.71 D	0.00	Sale
10/15/2020	98.00	420.40	10/15/2020	437.60	17.2 D	0.00	Sale
10/15/2020	100.00	378.98	Various	375.98	0.30 D	3.30	Sale
10/15/2020	100.00	417.48	10/15/2020	413.44	0.00	4.04	Sale
10/15/2020	100.00	419.98	Various	457.51	37.53 D	0.00	Sale
10/15/2020	100.00	417.48	Various	416.14	0.47 D	1.81	Sale
10/15/2020	100.00	419.98	Various	457.50	37.52 D	0.00	Sale
10/15/2020	100.00	429.98	Various	451.18	21.20 D	0.00	Sale
10/15/2020	100.00	429.98	Various	455.39	25.41 D	0.00	Sale
10/15/2020	100.00	419.98	Various	457.49	37.51 D	0.00	Sale
10/15/2020	100.00	419.98	Various	457.47	37.49 D	0.00	Sale
10/15/2020	100.00	428.98	10/15/2020	446.54	17.56 D	0.00	Sale
10/15/2020	200.00	757.96	Various	762.76	4.80 D	0.00	Sale
10/15/2020	200.00	757.96	Various	763.03	5.07 D	0.00	Sale
10/15/2020	200.00	833.96	10/15/2020	827.53	0.00	6.43	Sale
10/15/2020	302.00	1,295.51	Various	1,368.47	72.96 D	0.00	Sale
10/15/2020	400.00	1,687.91	Various	1,839.80	151.89 D	0.00	Sale
10/15/2020	400.00	1,669.91	Various	1,659.02	5.73 D	16.62	Sale
10/15/2020	400.00	1,669.91	Various	1,642.51	0.00	27.40	Sale
10/15/2020	500.00	1,869.89	Various	1,908.30	38.41 D	0.00	Sale
10/15/2020	500.00	1,914.89	Various	1,883.31	0.00	31.58	Sale
10/15/2020	500.00	1,934.89	Various	1,841.01	0.00	93.88	Sale
10/15/2020	500.00	2,149.89	Various	2,267.35	117.46 D	0.00	Sale
10/15/2020	800.00	3,336.62	Various	3,309.45	0.00	27.17	Sale
10/15/2020	1,300.00	5,459.72	Various	5,880.65	420.93 D	0.00	Sale
10/15/2020	1,000.00	4,299.78	Various	4,483.71	183.93 D	0.00	Sale

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**SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS**

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

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***NANO DIMENSION LTD AMERICAN DEPOSITARY SHARES   CUSIP: 63008G203   Symbol: NNDM							
10/15/2020	1,600.00	6,735.66	Various	7,415.38	679.72 D	0.00	Sale
10/15/2020	100.00	387.98	Various	375.59	0.00	12.39	Sale
10/15/2020	100.00	387.98	10/15/2020	375.49	0.00	12.49	Sale
10/15/2020	100.00	387.98	10/15/2020	375.48	0.00	12.50	Sale
10/15/2020	500.00	1,934.89	Various	1,835.11	0.00	99.78	Sale
10/15/2020	200.00	775.96	10/15/2020	750.97	0.00	24.99	Sale
10/15/2020	1,000.00	4,170.18	Various	4,125.33	2.21 D	47.06	Sale
10/15/2020	3,000.00	10,619.40	Various	10,946.43	327.03 D	0.00	Sale
10/15/2020	1,000.00	4,169.78	Various	4,108.03	0.00	61.75	Sale
10/19/2020	240.00	999.55	Various	1,005.60	6.05 D	0.00	Buy to Cover Short
10/19/2020	90.00	383.46	Various	402.91	19.45 D	0.00	Buy to Cover Short
10/19/2020	500.00	1,954.90	10/15/2020	1,900.00	0.00	54.90	Buy to Cover Short
10/19/2020	760.00	3,162.84	Various	3,190.45	27.61 D	0.00	Buy to Cover Short
10/19/2020	500.00	1,954.90	10/15/2020	1,880.00	0.00	74.90	Buy to Cover Short
10/19/2020	500.00	1,954.89	10/15/2020	1,910.00	0.00	44.89	Buy to Cover Short
10/19/2020	1,000.00	4,149.78	Various	4,218.05	68.27 D	0.00	Buy to Cover Short
10/19/2020	1,000.00	4,149.78	Various	4,217.61	67.83 D	0.00	Buy to Cover Short
10/19/2020	1,000.00	4,149.78	Various	4,217.83	68.05 D	0.00	Buy to Cover Short
10/19/2020	1,910.00	8,138.11	Various	8,437.60	299.49 D	0.00	Buy to Cover Short
10/19/2020	2,000.00	8,285.16	Various	8,428.27	143.11 D	0.00	Buy to Cover Short
10/19/2020	2,000.00	8,479.57	Various	8,760.08	280.51 D	0.00	Buy to Cover Short
10/19/2020	2,000.00	8,212.96	Various	8,240.00	27.04 D	0.00	Buy to Cover Short
10/19/2020	500.00	1,954.89	10/15/2020	1,914.70	0.00	40.19	Buy to Cover Short
10/19/2020	2,000.00	8,180.37	Various	8,227.04	46.67 D	0.00	Buy to Cover Short
10/19/2020	1,125.00	4,702.21	Various	4,889.59	187.38 D	0.00	Buy to Cover Short
10/19/2020	875.00	3,657.30	Various	3,750.00	92.70 D	0.00	Buy to Cover Short
10/19/2020	1,000.00	4,640.77	Various	5,174.05	533.28 D	0.00	Sale

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**SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS**

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

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***NANO DIMENSION LTD AMERICAN DEPOSITARY SHARES   CUSIP: 63008G203   Symbol: NNDM							
10/20/2020	1.00	4.32	10/20/2020	4.51	0.19 D	0.00	Sale
10/20/2020	32.00	131.50	10/20/2020	139.71	8.21 D	0.00	Sale
10/20/2020	219.00	950.40	Various	988.44	38.04 D	0.00	Sale
10/20/2020	280.00	1,215.14	Various	1,263.44	48.30 D	0.00	Sale
10/20/2020	468.00	1,923.37	Various	2,028.90	105.53 D	0.00	Sale
10/20/2020	12.00	50.50	10/20/2020	52.16	1.66 D	0.00	Sale
10/20/2020	88.00	370.46	Various	381.52	11.06 D	0.00	Sale
10/20/2020	100.00	420.98	Various	435.17	14.19 D	0.00	Sale
10/20/2020	100.00	420.98	Various	443.48	22.50 D	0.00	Sale
10/20/2020	100.00	420.98	Various	449.39	28.41 D	0.00	Sale
10/20/2020	100.00	420.98	Various	450.75	29.77 D	0.00	Sale
10/20/2020	500.00	2,034.89	Various	2,165.07	130.18 D	0.00	Sale
10/23/2020	1,000.00	4,199.78	Various	4,472.81	273.03 D	0.00	Sale
10/23/2020	1,000.00	4,199.78	Various	4,418.02	212.97 D	-5.27	Sale
10/23/2020	2,000.00	8,419.57	Various	8,920.62	0.00	-501.05	Sale
<b>Security Totals:</b>		<b>460,232.52</b>		<b>472,113.19</b>		<b>1,219.50</b>	
INFINERA CORP   CUSIP: 45667G103   Symbol: INFN							
08/06/2020	1,000.00	8,739.68	08/06/2020	8,958.50	0.00	-218.82	Sale
***DRAGON VICTORY INTERNATIONAL LIMITED ORDINARY SHARES   CUSIP: G28365107   Symbol: LYL							
10/19/2020	1,000.00	3,029.81	Various	3,029.80	0.19 D	0.20	Sale
10/20/2020	12.00	47.14	10/20/2020	51.00	3.86 D	0.00	Sale
10/20/2020	4.00	16.38	10/20/2020	17.64	0.00	-1.26	Sale
10/20/2020	38.00	149.32	Various	161.51	12.19 D	0.00	Sale
10/20/2020	50.00	204.98	Various	220.77	0.00	-15.79	Sale
10/20/2020	50.00	196.98	10/20/2020	212.51	15.53 D	0.00	Sale
10/20/2020	62.00	243.64	10/20/2020	263.51	19.87 D	0.00	Sale
10/20/2020	83.00	326.17	Various	352.77	26.60 D	0.00	Sale
10/20/2020	138.00	540.92	10/20/2020	586.53	45.61 D	0.00	Sale

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**SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS**

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

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***DRAGON VICTORY INTERNATIONAL LIMITED ORDINARY SHARES   CUSIP: G28365107   Symbol: LYL							
10/20/2020	217.00	850.59	10/20/2020	922.29	61.79 D	-9.91	Sale
10/20/2020	400.00	1,571.91	Various	1,722.33	0.00	-150.42	Sale
10/20/2020	446.00	1,828.50	Various	1,974.78	0.00	-146.28	Sale
<b>Security Totals:</b>		<b>9,006.34</b>		<b>9,515.44</b>		<b>-323.46</b>	
PAVMED INC COM   CUSIP: 70387R106   Symbol: PAVM							
02/18/2020	25.00	75.23	02/18/2020	70.25	0.00	4.98	Sale
02/18/2020	75.00	224.98	02/18/2020	210.75	0.00	14.23	Sale
02/18/2020	100.00	300.98	02/18/2020	281.00	0.00	19.98	Sale
02/18/2020	200.00	602.16	02/18/2020	562.00	0.00	40.16	Sale
02/18/2020	200.00	601.96	02/18/2020	562.00	0.00	39.96	Sale
02/18/2020	400.00	1,203.96	02/18/2020	1,124.00	0.00	79.96	Sale
02/18/2020	400.00	1,205.92	02/18/2020	1,124.00	0.00	81.92	Sale
02/18/2020	600.00	1,805.89	02/18/2020	1,686.00	0.00	119.89	Sale
02/20/2020	477.00	1,359.36	02/18/2020	1,264.05	0.00	95.31	Buy to Cover Short
02/20/2020	665.00	1,928.38	02/18/2020	1,875.30	0.00	53.08	Buy to Cover Short
02/20/2020	1,135.00	3,291.29	02/18/2020	3,200.70	0.00	90.59	Buy to Cover Short
02/20/2020	1,200.00	3,479.77	02/18/2020	3,384.00	0.00	95.77	Buy to Cover Short
02/20/2020	1,500.00	4,260.94	Various	3,900.00	0.00	360.94	Buy to Cover Short
02/20/2020	1,500.00	4,261.22	02/18/2020	3,960.00	0.00	301.22	Buy to Cover Short
02/20/2020	2,523.00	7,190.07	Various	6,685.95	0.00	504.12	Buy to Cover Short
02/20/2020	3,000.00	8,280.64	Various	7,860.00	0.00	420.64	Buy to Cover Short
<b>Security Totals:</b>		<b>40,072.75</b>		<b>37,750.00</b>		<b>2,322.75</b>	
REALNETWORKS INC   CUSIP: 75605L708   Symbol: RNWK							
05/15/2020	100.00	107.98	Various	122.00	14.02 D	0.00	Sale
05/15/2020	200.00	215.97	Various	258.02	42.05 D	0.00	Sale
05/15/2020	200.00	217.97	Various	286.05	0.00	-68.08	Sale
<b>Security Totals:</b>		<b>541.92</b>		<b>666.07</b>		<b>-68.08</b>	

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APEX CLEARING

Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B\*

OMB No. 1545-0715

2TZ05705

(continued)

01/24/2021

SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

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APTEVO THERAPEUTICS INC COMMON STOCK   CUSIP: 03835L207   Symbol: APVO							
11/03/2020	100.00	1,082.96	Various	1,087.00	2.06 D	-1.98	Sale
11/03/2020	50.00	541.47	11/03/2020	543.50	2.03 D	0.00	Sale
11/03/2020	5.00	54.08	11/03/2020	54.35	0.27 D	0.00	Sale
11/03/2020	345.00	3,729.32	Various	3,754.51	25.19 D	0.00	Sale
11/04/2020	50.00	489.97	Various	500.03	10.06 D	0.00	Sale
11/04/2020	130.00	1,273.95	Various	1,302.12	28.17 D	0.00	Sale
11/04/2020	320.00	3,135.89	Various	3,186.69	50.80 D	0.00	Sale
11/04/2020	25.00	240.48	11/04/2020	248.46	7.98 D	0.00	Sale
11/04/2020	30.00	285.58	Various	298.60	13.02 D	0.00	Sale
11/04/2020	30.00	288.58	Various	298.99	10.41 D	0.00	Sale
11/04/2020	170.00	1,618.34	Various	1,692.37	74.03 D	0.00	Sale
11/04/2020	60.00	571.17	11/04/2020	596.81	25.64 D	0.00	Sale
11/04/2020	240.00	2,284.71	Various	2,377.88	56.49 D	-36.68	Sale
11/04/2020	445.00	4,289.65	Various	4,415.42	125.77 D	0.00	Sale
11/06/2020	5.00	111.78	11/06/2020	114.72	0.00	-2.94	Sale
11/06/2020	195.00	4,364.57	Various	4,474.13	0.00	-109.56	Sale
11/06/2020	200.00	4,569.87	Various	4,725.93	0.00	-156.06	Sale
<b>Security Totals:</b>		<b>28,932.37</b>		<b>29,671.51</b>		<b>-307.22</b>	
KLX ENERGY SERVICES HOLDINGS INC COMMON STOCK   CUSIP: 48253L106   Symbol: KLXE							
05/04/2020	300.00	485.94	05/04/2020	501.00	0.00	-15.06	Sale
05/04/2020	500.00	809.92	05/04/2020	835.00	0.00	-25.08	Sale
05/04/2020	1,200.00	1,943.81	05/04/2020	2,004.00	0.00	-60.19	Sale
<b>Security Totals:</b>		<b>3,239.67</b>		<b>3,340.00</b>		<b>-100.33</b>	
***AURORA MOBILE LIMITED AMERICAN DEPOSITARY SHARES   CUSIP: 051857100   Symbol: JG							
12/22/2020	250.00	1,524.93	Various	1,562.50	0.00	-37.57	Sale
APEX TECHNOLOGY ACQUISITION CORPORATION CLASS A COMMON STOCK   CUSIP: 03768F102   Symbol: APXT							
11/27/2020	6.00	78.82	11/27/2020	78.60	0.00	0.22	Sale
11/27/2020	10.00	131.28	11/27/2020	131.00	0.00	0.28	Sale

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2020 Form 1099-B\*

OMB No. 1545-0715

2TZ05705

(continued)

01/24/2021

SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

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APEX TECHNOLOGY ACQUISITION CORPORATION CLASS A COMMON STOCK   CUSIP: 03768F102   Symbol: APXT							
11/27/2020	14.00	183.66	11/27/2020	183.40	0.00	0.26	Sale
11/27/2020	14.00	183.80	11/27/2020	183.40	0.00	0.40	Sale
11/27/2020	10.00	131.28	Various	131.00	0.00	0.28	Sale
11/27/2020	20.00	262.58	11/27/2020	262.00	0.00	0.58	Sale
11/27/2020	20.00	262.78	11/27/2020	262.00	0.00	0.78	Sale
11/27/2020	86.00	1,129.14	Various	1,126.60	0.00	2.54	Sale
11/27/2020	100.00	1,312.96	11/27/2020	1,310.00	0.00	2.96	Sale
11/27/2020	20.00	262.58	11/27/2020	262.00	0.00	0.58	Sale
11/27/2020	200.00	2,627.92	Various	2,620.00	0.00	7.92	Sale
11/27/2020	500.00	6,484.79	11/27/2020	6,475.00	0.00	9.79	Sale
11/30/2020	10.00	163.68	Various	164.50	0.24 D	-0.58	Sale
11/30/2020	30.00	491.37	11/30/2020	493.50	2.13 D	0.00	Sale
11/30/2020	61.00	999.14	11/30/2020	1,003.45	4.31 D	0.00	Sale
11/30/2020	100.00	1,636.95	Various	1,651.68	14.73 D	0.00	Sale
11/30/2020	99.00	1,620.58	Various	1,639.13	18.55 D	0.00	Sale
11/30/2020	500.00	8,229.75	Various	8,243.00	31.10 D	17.85	Sale
11/30/2020	200.00	3,275.90	Various	3,318.90	43.00 D	0.00	Sale
11/30/2020	500.00	8,229.75	Various	8,276.10	46.35 D	0.00	Sale
11/30/2020	500.00	8,184.75	Various	8,286.35	0.00	-101.60	Sale
<b>Security Totals:</b>		<b>45,883.46</b>		<b>46,101.61</b>		<b>-57.74</b>	
***YATRA ONLINE INC ORDINARY SHARES   CUSIP: G98338109   Symbol: YTRA							
10/23/2020	2,000.00	2,379.70	Various	2,380.00	0.00	-0.30	Sale
TRACON PHARMACEUTICALS INC COMMON STOCK   CUSIP: 89237H209   Symbol: TCON							
09/01/2020	200.00	483.96	Various	499.54	15.58 D	0.00	Sale
09/01/2020	300.00	689.94	09/01/2020	705.00	15.06 D	0.00	Sale
09/01/2020	300.00	726.24	Various	761.39	35.15 D	0.00	Sale
09/01/2020	300.00	726.24	Various	767.06	40.82 D	0.00	Sale
09/01/2020	300.00	726.24	Various	767.33	41.09 D	0.00	Sale

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**SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS**

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**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

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**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
TRACON PHARMACEUTICALS INC COMMON STOCK   CUSIP: 89237H209   Symbol: TCON							
09/01/2020	500.00	1,149.91	09/01/2020	1,175.00	25.09 D	0.00	Sale
09/01/2020	900.00	2,168.84	Various	2,288.61	119.77 D	0.00	Sale
09/01/2020	1,200.00	2,759.79	Various	2,869.11	109.32 D	0.00	Sale
09/01/2020	400.00	963.92	Various	1,035.03	71.11 D	0.00	Sale
09/01/2020	400.00	966.32	Various	1,025.92	59.60 D	0.00	Sale
09/01/2020	600.00	1,445.95	Various	1,543.85	97.90 D	0.00	Sale
09/01/2020	600.00	1,445.95	09/01/2020	1,470.00	24.05 D	0.00	Sale
09/04/2020	100.00	301.98	09/04/2020	305.48	3.5 D	0.00	Sale
09/04/2020	100.00	301.98	09/04/2020	304.98	3 D	0.00	Sale
09/04/2020	100.00	300.98	Various	305.70	4.72 D	0.00	Sale
09/04/2020	200.00	603.96	Various	622.94	18.98 D	0.00	Sale
09/04/2020	200.00	601.96	09/04/2020	588.01	0.00	13.95	Sale
09/04/2020	100.00	300.98	Various	311.47	10.49 D	0.00	Sale
09/04/2020	500.00	1,509.90	Various	1,534.55	24.65 D	0.00	Sale
09/04/2020	200.00	602.16	Various	609.48	10.38 D	3.06	Sale
09/04/2020	100.00	300.98	09/04/2020	294.01	0.00	6.97	Sale
09/04/2020	100.00	300.98	09/04/2020	294.01	0.00	6.97	Sale
09/04/2020	100.00	300.98	09/04/2020	294.01	0.00	6.97	Sale
09/04/2020	200.00	601.96	09/04/2020	588.02	0.00	13.94	Sale
09/15/2020	1,000.00	5,389.76	Various	5,489.81	100.05 D	0.00	Sale
09/15/2020	2,000.00	8,999.56	Various	9,322.11	0.00	-322.55	Sale
09/15/2020	100.00	538.97	09/15/2020	547.98	9.01 D	0.00	Sale
09/15/2020	100.00	538.97	09/15/2020	547.97	9 D	0.00	Sale
09/15/2020	100.00	538.97	09/15/2020	547.97	9 D	0.00	Sale
09/15/2020	700.00	3,772.83	Various	3,852.06	79.23 D	0.00	Sale
09/17/2020	300.00	1,469.93	Various	1,466.69	0.00	3.24	Buy to Cover Short
09/17/2020	200.00	979.95	09/15/2020	978.05	0.00	1.90	Buy to Cover Short

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**SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS**

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

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

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TRACON PHARMACEUTICALS INC COMMON STOCK   CUSIP: 89237H209   Symbol: TCON							
09/17/2020	500.00	2,439.87	Various	2,300.00	0.00	139.87	Buy to Cover Short
09/17/2020	500.00	2,262.88	Various	2,300.00	37.12 D	0.00	Buy to Cover Short
09/17/2020	500.00	2,254.89	09/15/2020	2,300.00	0.00	-45.11	Buy to Cover Short
09/17/2020	500.00	2,449.89	09/15/2020	2,390.11	0.00	59.78	Buy to Cover Short
09/17/2020	1,000.00	4,800.15	Various	4,970.00	169.85 D	0.00	Buy to Cover Short
09/17/2020	40.00	180.39	09/15/2020	183.20	2.81 D	0.00	Buy to Cover Short
09/17/2020	460.00	2,074.50	09/15/2020	2,109.10	19.56 D	-15.04	Buy to Cover Short
09/17/2020	500.00	2,439.83	Various	2,291.15	0.00	148.68	Buy to Cover Short
09/17/2020	500.00	2,254.89	09/15/2020	2,300.00	0.00	-45.11	Buy to Cover Short
<b>Security Totals:</b>		<b>63,668.33</b>		<b>64,856.70</b>		<b>-22.48</b>	
LIGHTPATH TECHNOLOGIES INC CL A   CUSIP: 532257805   Symbol: LPTH							
05/07/2020	50.00	127.48	05/07/2020	135.00	0.00	-7.52	Sale
05/07/2020	200.00	515.96	05/07/2020	540.00	0.00	-24.04	Sale
05/07/2020	250.00	637.45	05/07/2020	675.00	0.00	-37.55	Sale
05/07/2020	500.00	1,274.91	05/07/2020	1,350.00	0.00	-75.09	Sale
<b>Security Totals:</b>		<b>2,555.80</b>		<b>2,700.00</b>		<b>-144.20</b>	
T2 BIOSYSTEMS INC COM   CUSIP: 89853L104   Symbol: TTOO							
03/24/2020	1.00	0.68	03/24/2020	0.69	0.01 D	0.00	Sale
03/24/2020	10.00	7.06	03/24/2020	6.92	0.00	0.14	Sale
03/24/2020	59.00	41.75	03/24/2020	40.83	0.00	0.92	Sale
03/24/2020	100.00	70.78	03/24/2020	69.20	0.00	1.58	Sale
03/24/2020	150.00	106.17	03/24/2020	103.80	0.00	2.37	Sale
03/24/2020	250.00	176.96	03/24/2020	173.00	0.00	3.96	Sale
03/24/2020	350.00	247.75	03/24/2020	242.20	0.00	5.55	Sale
03/24/2020	580.00	410.57	03/24/2020	401.36	0.00	9.21	Sale
03/24/2020	1,000.00	707.86	Various	692.01	0.00	15.85	Sale
03/24/2020	2,500.00	1,744.66	Various	1,730.00	0.00	14.66	Sale
03/26/2020	100.00	67.48	03/26/2020	65.20	0.00	2.28	Sale

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**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

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**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
T2 BIOSYSTEMS INC COM   CUSIP: 89853L104   Symbol: TTOO							
03/26/2020	100.00	67.48	03/26/2020	65.20	0.00	2.28	Sale
03/26/2020	100.00	67.48	03/26/2020	65.20	0.00	2.28	Sale
03/26/2020	100.00	67.48	03/26/2020	65.20	0.00	2.28	Sale
03/26/2020	200.00	134.99	03/26/2020	130.40	0.00	4.59	Sale
03/26/2020	200.00	134.97	03/26/2020	130.40	0.00	4.57	Sale
03/26/2020	300.00	202.45	03/26/2020	195.60	0.00	6.85	Sale
03/26/2020	1,200.00	809.84	03/26/2020	782.40	0.00	27.44	Sale
03/26/2020	1,256.00	847.62	03/26/2020	818.91	0.00	28.71	Sale
03/26/2020	1,444.00	974.50	03/26/2020	941.49	0.00	33.01	Sale
06/10/2020	200.00	379.97	06/10/2020	372.03	0.00	7.94	Sale
06/10/2020	446.00	856.25	06/10/2020	847.40	0.00	8.85	Sale
06/10/2020	500.00	794.92	Various	705.00	0.00	89.92	Sale
06/10/2020	800.00	1,519.86	06/10/2020	1,488.13	0.00	31.73	Sale
06/10/2020	1,000.00	1,909.83	Various	1,860.17	0.00	49.66	Sale
06/10/2020	1,000.00	1,919.83	06/10/2020	1,900.00	0.00	19.83	Sale
06/10/2020	1,000.00	1,919.83	06/10/2020	1,900.00	0.00	19.83	Sale
06/10/2020	1,000.00	1,909.83	06/10/2020	1,885.00	0.00	24.83	Sale
06/10/2020	2,000.00	3,719.67	Various	3,720.00	0.33 D	0.00	Sale
06/10/2020	314.00	496.06	Various	442.74	0.00	53.32	Sale
06/10/2020	554.00	1,047.07	06/10/2020	1,052.60	5.53 D	0.00	Sale
06/10/2020	1,000.00	1,909.93	Various	1,880.00	0.00	29.93	Sale
06/10/2020	1,000.00	1,912.03	06/10/2020	1,880.00	0.00	32.03	Sale
06/10/2020	1,000.00	1,912.03	06/10/2020	1,885.00	0.00	27.03	Sale
06/10/2020	1,186.00	1,873.69	06/09/2020	1,672.26	0.00	201.43	Sale
06/11/2020	2,000.00	3,219.68	Various	3,205.53	0.08 D	14.23	Sale
06/11/2020	2,000.00	3,099.69	Various	3,220.08	120.39 D	0.00	Sale
06/12/2020	264.00	501.56	06/10/2020	480.48	0.00	21.08	Buy to Cover Short

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**SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS**

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

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**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
T2 BIOSYSTEMS INC COM   CUSIP: 89853L104   Symbol: TTOO							
06/12/2020	236.00	448.36	06/10/2020	429.52	0.00	18.84	Buy to Cover Short
06/12/2020	500.00	949.92	06/10/2020	910.00	0.00	39.92	Buy to Cover Short
06/12/2020	500.00	949.92	06/10/2020	905.00	0.00	44.92	Buy to Cover Short
06/12/2020	500.00	949.91	06/10/2020	908.90	0.00	41.01	Buy to Cover Short
06/15/2020	1,500.00	2,345.63	Various	2,415.00	69.37 D	0.00	Buy to Cover Short
06/15/2020	2,000.00	2,899.89	Various	2,775.11	0.00	124.78	Buy to Cover Short
06/15/2020	1,000.00	1,449.95	06/11/2020	1,414.16	0.00	35.79	Buy to Cover Short
06/15/2020	1,000.00	1,651.14	06/15/2020	1,739.35	88.21 D	0.00	Sale
06/15/2020	1,000.00	1,649.84	Various	1,739.44	89.60 D	0.00	Sale
07/01/2020	50.00	105.48	07/01/2020	109.48	0.00	-4.00	Sale
07/01/2020	350.00	738.44	07/01/2020	766.39	0.00	-27.95	Sale
07/01/2020	500.00	1,054.91	Various	1,094.78	0.00	-39.87	Sale
07/01/2020	1,000.00	2,109.83	Various	2,188.34	0.00	-78.51	Sale
07/01/2020	100.00	210.98	07/01/2020	218.82	0.00	-7.84	Sale
07/06/2020	50.00	112.99	07/01/2020	110.00	0.00	2.99	Buy to Cover Short
07/06/2020	103.00	232.76	07/01/2020	227.63	0.00	5.13	Buy to Cover Short
07/06/2020	122.00	275.70	07/01/2020	270.84	0.00	4.86	Buy to Cover Short
07/06/2020	128.00	289.26	07/01/2020	284.16	0.00	5.10	Buy to Cover Short
07/06/2020	147.00	332.19	Various	324.87	0.00	7.32	Buy to Cover Short
07/06/2020	200.00	451.96	Various	440.00	0.00	11.96	Buy to Cover Short
07/06/2020	250.00	564.96	07/01/2020	555.00	0.00	9.96	Buy to Cover Short
07/06/2020	250.00	564.96	07/01/2020	552.50	0.00	12.46	Buy to Cover Short
07/06/2020	250.00	564.95	Various	555.00	0.00	9.95	Buy to Cover Short
07/06/2020	250.00	564.96	07/01/2020	555.00	0.00	9.96	Buy to Cover Short
07/06/2020	250.00	564.95	07/01/2020	555.00	0.00	9.95	Buy to Cover Short
07/06/2020	500.00	790.43	07/01/2020	772.58	0.00	17.85	Buy to Cover Short
07/06/2020	500.00	790.42	07/01/2020	772.58	0.00	17.84	Buy to Cover Short

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APEX CLEARING

## Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B\*

OMB No. 1545-0715

2TZ05705

(continued)

01/24/2021

**SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS**

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

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<b>T2 BIOSYSTEMS INC</b>   COM   CUSIP: 89853L104   Symbol: TTOO							
07/06/2020	500.00	790.42	07/01/2020	775.08	0.00	15.34	Buy to Cover Short
07/06/2020	500.00	1,009.92	07/01/2020	990.00	0.00	19.92	Buy to Cover Short
07/06/2020	500.00	1,009.92	07/01/2020	990.00	0.00	19.92	Buy to Cover Short
07/06/2020	500.00	790.42	07/01/2020	772.58	0.00	17.84	Buy to Cover Short
07/06/2020	500.00	1,009.91	07/01/2020	989.95	0.00	19.96	Buy to Cover Short
07/06/2020	500.00	1,009.92	07/01/2020	989.95	0.00	19.97	Buy to Cover Short
07/06/2020	2,000.00	3,099.68	Various	3,100.00	0.32 D	0.00	Buy to Cover Short
07/06/2020	2,000.00	3,679.67	07/01/2020	3,539.80	0.00	139.87	Buy to Cover Short
08/11/2020	250.00	492.45	08/11/2020	499.50	0.00	-7.05	Sale
08/11/2020	15.00	29.53	08/11/2020	29.97	0.00	-0.44	Sale
08/11/2020	1,735.00	3,417.66	08/11/2020	3,466.53	0.00	-48.87	Sale
<b>Security Totals:</b>		<b>77,744.45</b>		<b>76,849.24</b>		<b>1,269.05</b>	
<b>INFINITY PHARMACEUTICALS INC</b>   CUSIP: 45665G303   Symbol: INFI							
07/08/2020	200.00	259.97	07/08/2020	236.00	0.00	23.97	Sale
07/08/2020	168.00	218.37	Various	197.56	0.00	20.81	Sale
07/08/2020	2,000.00	2,619.70	Various	2,358.00	0.00	261.70	Sale
<b>Security Totals:</b>		<b>3,098.04</b>		<b>2,791.56</b>		<b>306.48</b>	
<b>NTN BUZZTIME INC</b>   COM   CUSIP: 629410606   Symbol: NTN							
06/16/2020	1,000.00	4,699.77	Various	4,070.00	0.00	629.77	Sale
<b>CIIG MERGER CORP</b>   CLASS A COMMON STOCK   CUSIP: 12559C103   Symbol: CIIC							
11/19/2020	16.00	272.06	11/19/2020	275.45	3.39 D	0.00	Sale
11/19/2020	50.00	849.97	Various	860.77	10.8 D	0.00	Sale
11/19/2020	100.00	1,699.95	Various	1,721.56	21.61 D	0.00	Sale
11/19/2020	500.00	8,389.75	Various	8,468.75	79.00 D	0.00	Sale
11/19/2020	734.00	12,477.63	Various	12,622.02	144.39 D	0.00	Sale
11/19/2020	100.00	1,699.95	Various	1,731.36	31.41 D	0.00	Sale
11/19/2020	1,000.00	17,019.50	Various	17,241.15	0.00	-221.65	Sale
12/16/2020	25.00	720.23	12/14/2020	725.00	0.00	-4.77	Buy to Cover Short

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APEX CLEARING

Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B\*

OMB No. 1545-0715

2TZ05705

(continued)

01/24/2021

SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

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

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Box 5: Box Not Checked (Covered Security)

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CIIG MERGER CORP CLASS A COMMON STOCK   CUSIP: 12559C103   Symbol: CIIC							
12/16/2020	475.00	13,684.39	12/14/2020	13,775.00	0.00	-90.61	Buy to Cover Short
<b>Security Totals:</b>		<b>56,813.43</b>		<b>57,421.06</b>		<b>-317.03</b>	
OPKO HEALTH INC   CUSIP: 68375N103   Symbol: OPK							
03/06/2020	3,000.00	7,409.47	Various	6,760.00	0.00	649.47	Sale
03/06/2020	20.00	46.98	03/06/2020	45.20	0.00	1.78	Sale
03/06/2020	40.00	105.18	03/05/2020	80.00	0.00	25.18	Sale
03/06/2020	77.00	180.93	03/06/2020	174.02	0.00	6.91	Sale
03/06/2020	100.00	234.98	03/06/2020	226.00	0.00	8.98	Sale
03/06/2020	100.00	234.98	03/06/2020	226.00	0.00	8.98	Sale
03/06/2020	100.00	234.98	03/06/2020	226.00	0.00	8.98	Sale
03/06/2020	100.00	261.98	03/05/2020	199.99	0.00	61.99	Sale
03/06/2020	100.00	262.98	03/05/2020	199.99	0.00	62.99	Sale
03/06/2020	110.00	258.48	03/06/2020	248.60	0.00	9.88	Sale
03/06/2020	125.00	328.73	03/05/2020	249.99	0.00	78.74	Sale
03/06/2020	200.00	469.96	03/06/2020	452.00	0.00	17.96	Sale
03/06/2020	235.00	615.65	03/05/2020	469.98	0.00	145.67	Sale
03/06/2020	293.00	688.50	03/06/2020	662.18	0.00	26.32	Sale
03/06/2020	1,400.00	3,681.74	03/05/2020	2,799.85	0.00	881.89	Sale
03/06/2020	2,000.00	4,699.65	03/06/2020	4,518.00	0.00	181.65	Sale
03/09/2020	5,000.00	12,599.12	03/09/2020	11,350.00	0.00	1,249.12	Sale
03/11/2020	700.00	1,197.59	Various	1,211.00	13.41 D	0.00	Sale
03/11/2020	3,300.00	5,645.78	Various	5,710.90	65.12 D	0.00	Sale
03/13/2020	2,500.00	4,874.59	Various	4,668.50	0.00	206.09	Sale
03/13/2020	5,000.00	9,949.18	Various	10,448.84	499.66 D	0.00	Sale
03/13/2020	3.00	5.95	03/13/2020	6.33	0.38 D	0.00	Sale
03/13/2020	93.00	185.05	03/13/2020	196.14	11.09 D	0.00	Sale
03/13/2020	100.00	207.98	03/13/2020	188.00	0.00	19.98	Sale
03/13/2020	100.00	198.98	03/13/2020	210.91	0.48 D	-11.45	Sale

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APEX CLEARING

Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B\*

OMB No. 1545-0715

2TZ05705

(continued)

01/24/2021

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
OPKO HEALTH INC   CUSIP: 68375N103   Symbol: OPK							
03/13/2020	150.00	311.97	Various	307.37	0.00	4.60	Sale
03/13/2020	600.00	1,193.90	Various	1,264.48	0.00	-70.58	Sale
03/13/2020	652.00	1,359.30	03/13/2020	1,225.76	0.00	133.54	Sale
03/13/2020	800.00	1,591.86	Various	1,681.78	0.00	-89.92	Sale
03/13/2020	900.00	1,790.85	03/13/2020	1,898.16	107.31 D	0.00	Sale
03/13/2020	919.00	1,828.65	03/13/2020	1,929.04	0.00	-100.39	Sale
03/13/2020	1,585.00	3,153.89	Various	3,376.59	0.00	-222.70	Sale
03/13/2020	2,500.00	5,099.83	03/13/2020	4,700.00	0.00	399.83	Sale
03/13/2020	1,748.00	3,638.16	03/13/2020	3,286.24	0.00	351.92	Sale
03/13/2020	2,500.00	4,877.84	Various	4,779.55	0.00	98.29	Sale
03/13/2020	3,850.00	8,007.75	Various	8,069.26	116.55 D	55.04	Sale
03/13/2020	4,000.00	7,880.14	Various	8,118.80	238.66 D	0.00	Sale
03/17/2020	5,000.00	9,970.63	Various	10,250.00	279.37 D	0.00	Buy to Cover Short
03/17/2020	2,500.00	4,299.60	Various	4,457.12	0.00	-157.52	Sale
03/17/2020	2,500.00	4,299.60	Various	4,507.56	0.00	-207.96	Sale
04/29/2020	1,000.00	2,319.82	04/29/2020	2,175.00	0.00	144.82	Sale
04/29/2020	1,000.00	2,229.83	04/29/2020	2,175.00	0.00	54.83	Sale
04/29/2020	2,000.00	4,559.65	04/29/2020	4,380.00	0.00	179.65	Sale
07/20/2020	2,000.00	9,829.54	07/20/2020	9,880.00	0.00	-50.46	Sale
<b>Security Totals:</b>		<b>132,822.20</b>		<b>129,990.13</b>		<b>4,164.10</b>	

NAUTILUS INC | CUSIP: 63910B102 | Symbol: NLS

01/15/2020	100.00	320.98	01/13/2020	332.00	11.02 D	0.00	Buy to Cover Short
01/15/2020	100.00	320.98	01/13/2020	343.02	22.04 D	0.00	Buy to Cover Short
01/15/2020	100.00	320.98	01/13/2020	332.00	11.02 D	0.00	Buy to Cover Short
01/15/2020	100.00	320.98	01/13/2020	354.04	33.06 D	0.00	Buy to Cover Short
01/15/2020	100.00	320.98	01/13/2020	343.02	22.04 D	0.00	Buy to Cover Short
01/15/2020	300.00	962.94	01/13/2020	996.00	33.06 D	0.00	Buy to Cover Short
01/15/2020	700.00	2,241.86	Various	2,379.10	137.24 D	0.00	Buy to Cover Short

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**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
NAUTILUS INC   CUSIP: 63910B102   Symbol: NLS							
01/15/2020	700.00	2,239.87	Various	2,388.69	148.82 D	0.00	Buy to Cover Short
01/15/2020	1,300.00	4,312.95	Various	4,556.14	243.19 D	0.00	Buy to Cover Short
01/15/2020	2,300.00	7,819.55	Various	8,003.52	0.00	-183.97	Buy to Cover Short
01/15/2020	200.00	639.96	01/13/2020	664.00	24.04 D	0.00	Buy to Cover Short
04/16/2020	400.00	1,995.90	04/14/2020	1,916.00	0.00	79.90	Buy to Cover Short
04/16/2020	5.00	24.90	04/14/2020	23.65	0.00	1.25	Buy to Cover Short
04/16/2020	500.00	2,490.07	Various	2,425.00	0.00	65.07	Buy to Cover Short
04/16/2020	100.00	498.97	04/14/2020	478.00	0.00	20.97	Buy to Cover Short
04/16/2020	100.00	498.97	04/14/2020	478.00	0.00	20.97	Buy to Cover Short
04/16/2020	100.00	498.97	04/14/2020	478.00	0.00	20.97	Buy to Cover Short
04/16/2020	100.00	498.98	04/14/2020	478.00	0.00	20.98	Buy to Cover Short
04/16/2020	100.00	498.97	04/14/2020	478.00	0.00	20.97	Buy to Cover Short
04/16/2020	100.00	498.98	04/14/2020	478.00	0.00	20.98	Buy to Cover Short
04/16/2020	495.00	2,465.17	Various	2,341.35	0.00	123.82	Buy to Cover Short
04/27/2020	2,000.00	12,579.44	Various	12,620.00	0.00	-40.56	Buy to Cover Short
04/27/2020	1,000.00	6,500.70	Various	5,900.00	0.00	600.70	Buy to Cover Short
09/09/2020	12.00	179.14	09/09/2020	180.07	0.93 D	0.00	Sale
09/09/2020	12.00	179.14	Various	180.07	0.93 D	0.00	Sale
09/09/2020	12.00	179.14	09/09/2020	180.07	0.93 D	0.00	Sale
09/09/2020	22.00	327.23	Various	330.65	3.42 D	0.00	Sale
09/09/2020	22.00	327.23	09/09/2020	330.65	3.42 D	0.00	Sale
09/09/2020	22.00	327.23	09/09/2020	330.65	3.42 D	0.00	Sale
09/09/2020	74.00	1,100.34	09/09/2020	1,112.18	11.84 D	0.00	Sale
09/09/2020	96.00	1,433.23	Various	1,440.54	7.31 D	0.00	Sale
09/09/2020	100.00	1,487.45	09/09/2020	1,502.94	15.49 D	0.00	Sale
09/09/2020	100.00	1,486.95	09/09/2020	1,502.94	15.99 D	0.00	Sale
09/09/2020	100.00	1,483.95	Various	1,499.53	15.58 D	0.00	Sale

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APEX CLEARING

Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B\*

OMB No. 1545-0715

2TZ05705

(continued)

01/24/2021

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

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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
NAUTILUS INC   CUSIP: 63910B102   Symbol: NLS							
09/09/2020	100.00	1,483.95	Various	1,499.66	15.71 D	0.00	Sale
09/09/2020	100.00	1,483.95	09/09/2020	1,499.99	16.04 D	0.00	Sale
09/09/2020	100.00	1,483.95	Various	1,499.99	16.04 D	0.00	Sale
09/09/2020	100.00	1,484.45	09/09/2020	1,499.99	15.54 D	0.00	Sale
09/09/2020	100.00	1,493.95	Various	1,500.84	6.89 D	0.00	Sale
09/09/2020	100.00	1,483.95	Various	1,500.00	16.05 D	0.00	Sale
09/09/2020	100.00	1,493.95	Various	1,500.97	7.02 D	0.00	Sale
09/09/2020	100.00	1,492.95	Various	1,500.88	7.93 D	0.00	Sale
09/09/2020	100.00	1,484.45	09/09/2020	1,499.99	15.54 D	0.00	Sale
09/09/2020	100.00	1,483.95	09/09/2020	1,499.99	16.04 D	0.00	Sale
09/09/2020	100.00	1,483.95	Various	1,500.00	16.05 D	0.00	Sale
09/09/2020	100.00	1,483.95	09/09/2020	1,499.99	16.04 D	0.00	Sale
09/09/2020	160.00	2,379.12	09/09/2020	2,404.71	25.59 D	0.00	Sale
09/09/2020	200.00	2,973.91	Various	3,005.89	31.98 D	0.00	Sale
09/09/2020	300.00	4,460.86	09/09/2020	4,508.84	47.98 D	0.00	Sale
09/09/2020	568.00	8,479.98	Various	8,525.09	45.11 D	0.00	Sale
09/09/2020	1,000.00	14,530.55	Various	14,610.00	79.45 D	0.00	Sale
09/09/2020	4.00	59.54	09/09/2020	60.11	0.57 D	0.00	Sale
09/09/2020	5.00	74.43	09/09/2020	75.14	0.71 D	0.00	Sale
09/09/2020	9.00	133.99	Various	135.25	1.26 D	0.00	Sale
09/09/2020	14.00	208.44	Various	210.38	1.94 D	0.00	Sale
09/09/2020	23.00	342.45	Various	345.61	3.16 D	0.00	Sale
09/09/2020	23.00	342.45	Various	345.60	3.15 D	0.00	Sale
09/09/2020	24.00	357.34	09/09/2020	362.19	0.00	-4.85	Sale
09/09/2020	76.00	1,131.60	Various	1,146.94	0.00	-15.34	Sale
09/09/2020	77.00	1,146.49	Various	1,156.78	10.29 D	0.00	Sale
09/09/2020	77.00	1,146.88	Various	1,156.52	9.64 D	0.00	Sale

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APEX CLEARING

Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B\*

OMB No. 1545-0715

2TZ05705

(continued)

01/24/2021

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

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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
NAUTILUS INC   CUSIP: 63910B102   Symbol: NLS							
09/09/2020	77.00	1,146.49	Various	1,156.54	10.05 D	0.00	Sale
09/09/2020	91.00	1,354.95	Various	1,367.58	12.63 D	0.00	Sale
09/09/2020	100.00	1,488.95	Various	1,509.14	0.00	-20.19	Sale
09/09/2020	100.00	1,488.95	Various	1,502.59	13.64 D	0.00	Sale
09/09/2020	100.00	1,488.95	Various	1,503.09	14.14 D	0.00	Sale
09/09/2020	100.00	1,488.95	Various	1,509.14	0.00	-20.19	Sale
09/09/2020	200.00	2,977.91	Various	3,005.68	27.77 D	0.00	Sale
09/09/2020	200.00	2,977.91	Various	3,006.18	28.27 D	0.00	Sale
09/09/2020	200.00	2,977.91	Various	3,016.72	0.00	-38.81	Sale
09/09/2020	200.00	2,977.91	Various	3,017.77	0.00	-39.86	Sale
09/09/2020	300.00	4,466.86	Various	4,525.32	0.00	-58.46	Sale

**Security Totals:** 137,824.25 138,546.91 574.35

EMAGIN CORPORATION   CUSIP: 29076N206   Symbol: EMAN							
06/16/2020	100.00	115.94	Various	119.00	3.06 D	0.00	Buy to Cover Short
06/16/2020	100.00	115.99	Various	121.70	5.71 D	0.00	Buy to Cover Short
06/16/2020	100.00	115.98	06/12/2020	119.00	3.02 D	0.00	Buy to Cover Short
06/16/2020	381.00	441.90	06/12/2020	453.39	11.49 D	0.00	Buy to Cover Short
06/16/2020	200.00	231.97	06/12/2020	238.00	6.03 D	0.00	Buy to Cover Short
06/16/2020	270.00	313.16	06/12/2020	321.30	8.14 D	0.00	Buy to Cover Short
06/16/2020	1,849.00	2,144.56	Various	2,230.51	85.95 D	0.00	Buy to Cover Short
06/16/2020	2,000.00	2,409.71	Various	2,270.50	0.00	139.21	Buy to Cover Short
06/16/2020	2,000.00	2,109.71	Various	2,392.78	283.07 D	0.00	Buy to Cover Short
06/16/2020	5,000.00	5,648.28	Various	6,138.04	489.76 D	0.00	Buy to Cover Short
06/16/2020	2,000.00	2,209.71	Various	2,484.47	274.76 D	0.00	Buy to Cover Short
06/16/2020	40.00	44.20	06/12/2020	49.22	5.02 D	0.00	Buy to Cover Short
06/16/2020	27.00	29.83	Various	33.13	3.30 D	0.00	Buy to Cover Short
06/16/2020	50.00	55.24	06/12/2020	61.29	6.05 D	0.00	Buy to Cover Short
06/16/2020	100.00	111.49	Various	129.02	17.53 D	0.00	Buy to Cover Short

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**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

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**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
EMAGIN CORPORATION   CUSIP: 29076N206   Symbol: EMAN							
06/16/2020	100.00	110.48	06/12/2020	122.57	12.09 D	0.00	Buy to Cover Short
06/16/2020	63.00	69.61	06/12/2020	77.22	7.61 D	0.00	Buy to Cover Short
06/16/2020	1,800.00	1,987.92	Various	2,223.21	235.29 D	0.00	Buy to Cover Short
06/16/2020	220.00	240.68	Various	270.69	30.01 D	0.00	Buy to Cover Short
06/16/2020	2,000.00	2,658.94	Various	2,863.52	204.58 D	0.00	Buy to Cover Short
06/16/2020	2,000.00	2,289.68	Various	2,432.12	142.44 D	0.00	Buy to Cover Short
06/16/2020	2,700.00	2,952.49	Various	3,400.47	447.98 D	0.00	Buy to Cover Short
06/16/2020	2,000.00	2,049.71	Various	2,292.26	0.00	-242.55	Buy to Cover Short
06/16/2020	3,000.00	3,629.47	Various	3,807.30	177.83 D	0.00	Buy to Cover Short
06/16/2020	4,900.00	5,453.20	Various	6,043.58	590.38 D	0.00	Buy to Cover Short
06/17/2020	3,000.00	3,119.57	Various	3,427.05	0.00	-307.48	Buy to Cover Short
07/24/2020	50.00	63.98	07/24/2020	61.27	0.00	2.71	Sale
07/24/2020	50.00	58.48	07/24/2020	59.26	0.78 D	0.00	Sale
07/24/2020	500.00	639.92	Various	647.40	7.48 D	0.00	Sale
07/24/2020	250.00	319.96	07/24/2020	306.36	0.00	13.60	Sale
07/24/2020	200.00	255.97	Various	245.09	0.00	10.88	Sale
07/24/2020	726.00	791.23	Various	803.23	12.00 D	0.00	Sale
07/24/2020	500.00	639.92	Various	647.77	7.85 D	0.00	Sale
07/24/2020	500.00	644.92	Various	612.73	0.00	32.19	Sale
07/24/2020	1,000.00	1,169.85	Various	1,185.29	15.44 D	0.00	Sale
07/24/2020	3,000.00	3,509.56	Various	3,630.49	120.93 D	0.00	Sale
07/24/2020	2,274.00	2,501.07	Various	2,534.27	33.20 D	0.00	Sale
07/24/2020	3,000.00	3,299.56	Various	3,210.00	0.00	89.56	Sale
07/24/2020	5,000.00	5,849.27	07/24/2020	5,850.73	1.46 D	0.00	Sale
07/24/2020	5,000.00	5,749.27	07/24/2020	5,750.00	0.73 D	0.00	Sale
07/24/2020	3,000.00	3,419.56	Various	3,357.80	0.00	61.76	Sale
07/24/2020	100.00	128.98	Various	122.55	0.00	6.43	Sale

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APEX CLEARING

Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B\*

OMB No. 1545-0715

2TZ05705

(continued)

01/24/2021

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

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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
EMAGIN CORPORATION   CUSIP: 29076N206   Symbol: EMAN							
07/24/2020	100.00	128.98	07/24/2020	122.54	0.00	6.44	Sale
07/24/2020	3,950.00	4,620.92	Various	4,807.96	187.04 D	0.00	Sale
07/24/2020	464.00	593.93	07/24/2020	568.59	0.00	25.34	Sale
07/24/2020	36.00	46.07	07/24/2020	44.12	0.00	1.95	Sale
07/24/2020	300.00	386.95	Various	367.63	0.00	19.32	Sale
07/24/2020	500.00	639.92	Various	649.81	9.89 D	0.00	Sale
07/24/2020	500.00	639.92	Various	647.81	7.89 D	0.00	Sale
08/13/2020	500.00	889.92	Various	897.85	0.00	-7.93	Sale
08/13/2020	500.00	889.92	08/13/2020	919.79	0.00	-29.87	Sale
08/13/2020	500.00	889.92	Various	897.89	0.00	-7.97	Sale
08/13/2020	500.00	889.92	Various	897.48	0.00	-7.56	Sale
08/13/2020	500.00	899.92	08/13/2020	919.80	0.00	-19.88	Sale
08/13/2020	500.00	891.17	Various	899.89	0.00	-8.72	Sale

Security Totals: **82,108.38** **85,786.74** **-222.57**

***NIO INC AMERICAN DEPOSITORY SHARES ECH RPRSNTNG ONE CL A ORD SHARE   CUSIP: 62914V106   Symbol: NIO							
04/29/2020	1,296.00	4,924.54	Various	4,859.70	0.06 D	64.90	Sale
04/29/2020	311.00	1,181.73	Various	1,178.41	0.04 D	3.36	Sale
04/29/2020	193.00	733.36	Various	727.66	0.00	5.70	Sale
04/29/2020	200.00	759.96	Various	754.03	0.00	5.93	Sale
06/05/2020	50.00	287.98	06/05/2020	290.49	2.51 D	0.00	Sale
06/05/2020	79.00	455.80	06/05/2020	458.97	3.17 D	0.00	Sale
06/05/2020	171.00	986.62	06/05/2020	993.46	6.84 D	0.00	Sale
06/05/2020	200.00	1,151.95	06/05/2020	1,161.95	10 D	0.00	Sale
06/05/2020	250.00	1,447.43	Various	1,452.44	5.01 D	0.00	Sale
06/05/2020	500.00	2,889.87	Various	2,895.39	5.52 D	0.00	Sale
06/05/2020	250.00	1,439.96	06/05/2020	1,452.43	12.47 D	0.00	Sale
06/05/2020	500.00	2,885.42	Various	2,909.52	24.10 D	0.00	Sale
06/09/2020	8.00	45.12	06/05/2020	46.07	0.95 D	0.00	Buy to Cover Short

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**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
***NIO INC AMERICAN DEPOSITARY SHARES ECH RPRSNTNG ONE CL A ORD SHARE   CUSIP: 62914V106   Symbol: NIO							
06/09/2020	100.00	563.98	Various	575.98	12.00 D	0.00	Buy to Cover Short
06/09/2020	100.00	563.97	06/05/2020	575.98	12.01 D	0.00	Buy to Cover Short
06/09/2020	100.00	563.98	06/05/2020	575.98	12 D	0.00	Buy to Cover Short
06/09/2020	100.00	563.97	06/05/2020	575.97	12 D	0.00	Buy to Cover Short
06/09/2020	100.00	563.98	Various	575.91	11.93 D	0.00	Buy to Cover Short
06/09/2020	100.00	563.97	06/05/2020	575.08	11.11 D	0.00	Buy to Cover Short
06/09/2020	250.00	1,476.19	06/05/2020	1,420.00	0.00	56.19	Buy to Cover Short
06/09/2020	250.00	1,464.93	Various	1,420.00	0.00	44.93	Buy to Cover Short
06/09/2020	250.00	1,462.44	06/05/2020	1,425.00	0.00	37.44	Buy to Cover Short
06/09/2020	250.00	1,476.18	06/05/2020	1,420.00	0.00	56.18	Buy to Cover Short
06/09/2020	250.00	1,462.43	06/05/2020	1,427.50	0.00	34.93	Buy to Cover Short
06/09/2020	250.00	1,464.92	Various	1,420.00	0.00	44.92	Buy to Cover Short
06/09/2020	500.00	2,964.87	06/05/2020	2,920.00	0.00	44.87	Buy to Cover Short
06/09/2020	500.00	2,952.21	Various	2,870.00	0.00	82.21	Buy to Cover Short
06/09/2020	892.00	5,035.64	Various	5,134.68	99.04 D	0.00	Buy to Cover Short
06/09/2020	1,000.00	5,815.24	Various	5,830.26	15.02 D	0.00	Buy to Cover Short
06/09/2020	1,000.00	5,754.74	Various	5,830.26	75.52 D	0.00	Buy to Cover Short
06/09/2020	2,000.00	11,539.48	Various	11,600.00	60.52 D	0.00	Buy to Cover Short
06/09/2020	15.00	86.10	06/05/2020	87.59	1.49 D	0.00	Buy to Cover Short
06/09/2020	100.00	592.97	06/05/2020	586.50	0.00	6.47	Buy to Cover Short
06/09/2020	200.00	1,185.95	06/05/2020	1,173.00	0.00	12.95	Buy to Cover Short
06/09/2020	200.00	1,185.95	06/05/2020	1,173.00	0.00	12.95	Buy to Cover Short
06/09/2020	1,985.00	11,443.40	Various	11,642.95	199.55 D	0.00	Buy to Cover Short
06/09/2020	50.00	332.98	06/09/2020	339.53	6.55 D	0.00	Sale
06/09/2020	250.00	1,697.43	Various	1,660.01	0.00	37.42	Sale
06/09/2020	750.00	5,047.29	Various	4,999.99	0.00	47.30	Sale
06/09/2020	1,000.00	6,609.73	Various	6,629.62	19.89 D	0.00	Sale

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**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

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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
***NIO INC AMERICAN DEPOSITARY SHARES ECH RPRSNTNG ONE CL A ORD SHARE   CUSIP: 62914V106   Symbol: NIO							
06/09/2020	1,950.00	12,986.48	Various	13,304.05	317.57 D	0.00	Sale
06/09/2020	1,000.00	6,731.43	Various	6,776.12	52.13 D	7.44	Sale
06/09/2020	2,000.00	13,280.06	Various	13,576.37	296.86 D	0.55	Sale
06/10/2020	1.00	5.68	06/08/2020	5.85	0.17 D	0.00	Buy to Cover Short
06/10/2020	76.00	457.50	06/08/2020	463.62	6.12 D	0.00	Buy to Cover Short
06/10/2020	90.00	511.18	06/08/2020	526.50	15.32 D	0.00	Buy to Cover Short
06/10/2020	174.00	1,047.44	06/08/2020	1,061.44	14 D	0.00	Buy to Cover Short
06/10/2020	250.00	1,419.94	06/08/2020	1,462.50	42.56 D	0.00	Buy to Cover Short
06/10/2020	250.00	1,504.93	06/08/2020	1,525.07	20.14 D	0.00	Buy to Cover Short
06/10/2020	250.00	1,504.93	06/08/2020	1,552.62	47.69 D	0.00	Buy to Cover Short
06/10/2020	500.00	3,009.87	Various	3,004.25	4.69 D	10.31	Buy to Cover Short
06/10/2020	1,659.00	9,452.70	Various	9,763.20	310.50 D	0.00	Buy to Cover Short
06/10/2020	250.00	1,504.94	Various	1,530.32	25.38 D	0.00	Buy to Cover Short
06/10/2020	500.00	3,009.87	06/08/2020	3,025.13	15.26 D	0.00	Buy to Cover Short
06/19/2020	100.00	739.97	06/19/2020	767.08	27.11 D	0.00	Sale
06/19/2020	400.00	2,959.88	Various	3,061.56	101.68 D	0.00	Sale
06/23/2020	400.00	2,991.88	Various	3,081.50	89.62 D	0.00	Sale
06/23/2020	100.00	747.97	Various	774.53	26.56 D	0.00	Sale
07/02/2020	2.00	19.20	07/02/2020	19.37	0.17 D	0.00	Sale
07/02/2020	5.00	48.03	07/02/2020	48.41	0.38 D	0.00	Sale
07/02/2020	8.00	76.86	07/02/2020	77.46	0.6 D	0.00	Sale
07/02/2020	10.00	96.08	07/02/2020	97.42	1.34 D	0.00	Sale
07/02/2020	15.00	144.13	07/02/2020	146.13	2 D	0.00	Sale
07/02/2020	20.00	192.78	07/02/2020	193.58	0.8 D	0.00	Sale
07/02/2020	30.00	288.28	Various	290.48	2.20 D	0.00	Sale
07/02/2020	100.00	930.96	Various	956.16	25.20 D	0.00	Sale
07/02/2020	100.00	965.96	07/02/2020	978.00	12.04 D	0.00	Sale

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**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

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

1c - DateSold 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
***NIO INC AMERICAN DEPOSITARY SHARES ECH RPRSNTNG ONE CL A ORD SHARE   CUSIP: 62914V106   Symbol: NIO							
07/02/2020	230.00	2,141.22	Various	2,194.47	53.25 D	0.00	Sale
07/02/2020	350.00	3,363.38	Various	3,401.47	38.09 D	0.00	Sale
07/02/2020	413.00	3,989.44	Various	4,007.85	22.87 D	4.46	Sale
07/02/2020	467.00	4,501.72	Various	4,539.81	38.09 D	0.00	Sale
07/02/2020	500.00	4,604.83	Various	4,690.82	85.99 D	0.00	Sale
07/02/2020	580.00	5,573.60	Various	5,626.19	52.59 D	0.00	Sale
07/02/2020	1,000.00	9,059.67	Various	9,310.75	251.08 D	0.00	Sale
07/02/2020	1,500.00	13,814.51	Various	14,061.24	246.73 D	0.00	Sale
07/02/2020	1,670.00	15,547.15	Various	15,920.82	373.67 D	0.00	Sale
07/02/2020	2,000.00	18,619.54	Various	18,938.15	318.85 D	0.24	Sale
07/07/2020	300.00	3,543.18	Various	3,526.25	0.00	16.93	Sale
07/07/2020	310.00	3,642.37	Various	3,651.66	9.81 D	0.52	Sale
07/07/2020	690.00	8,107.24	Various	8,063.84	0.00	43.40	Sale
07/07/2020	700.00	8,267.43	Various	8,187.69	0.58 D	80.32	Sale
07/07/2020	1,000.00	11,420.72	Various	11,601.53	180.81 D	0.00	Sale
07/08/2020	60.00	824.85	Various	825.45	0.60 D	0.00	Sale
07/08/2020	2.00	28.98	07/08/2020	30.02	1.04 D	0.00	Sale
07/08/2020	86.00	1,178.84	Various	1,180.88	2.04 D	0.00	Sale
07/08/2020	50.00	685.87	Various	686.42	0.55 D	0.00	Sale
07/08/2020	100.00	1,449.95	Various	1,499.99	50.04 D	0.00	Sale
07/08/2020	200.00	2,743.51	Various	2,744.45	1.46 D	0.52	Sale
07/08/2020	150.00	2,054.63	Various	2,056.78	2.15 D	0.00	Sale
07/08/2020	300.00	4,349.86	Various	4,499.41	149.55 D	0.00	Sale
07/08/2020	290.00	4,204.87	07/08/2020	4,347.36	142.49 D	0.00	Sale
07/08/2020	1,000.00	14,629.55	Various	14,993.72	364.17 D	0.00	Sale
07/08/2020	500.00	6,664.79	07/08/2020	6,740.22	75.43 D	0.00	Sale
07/08/2020	454.00	6,218.70	07/08/2020	6,220.71	2.01 D	0.00	Sale

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**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)

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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
***NIO INC AMERICAN DEPOSITARY SHARES ECH RPRSNTNG ONE CL A ORD SHARE   CUSIP: 62914V106   Symbol: NIO							
07/08/2020	1,000.00	14,669.55	Various	14,886.52	216.97 D	0.00	Sale
07/08/2020	308.00	4,465.86	Various	4,616.13	150.27 D	0.00	Sale
07/08/2020	1,000.00	14,629.55	Various	15,093.97	464.42 D	0.00	Sale
07/08/2020	1,000.00	14,499.55	07/08/2020	14,528.51	28.96 D	0.00	Sale
07/08/2020	2,500.00	33,323.96	Various	34,180.87	856.91 D	0.00	Sale
07/08/2020	2,000.00	26,119.18	Various	26,799.63	680.45 D	0.00	Sale
07/08/2020	1,000.00	14,659.55	Various	14,926.97	267.42 D	0.00	Sale
07/08/2020	500.00	7,294.77	Various	7,543.78	249.01 D	0.00	Sale
07/08/2020	4,000.00	58,238.23	Various	59,118.25	880.02 D	0.00	Sale
07/08/2020	1,500.00	21,869.33	Various	22,158.57	289.24 D	0.00	Sale
07/09/2020	5.00	73.18	07/09/2020	73.30	0.12 D	0.00	Sale
07/09/2020	10.00	149.58	07/09/2020	152.38	2.8 D	0.00	Sale
07/09/2020	9.00	131.65	07/09/2020	131.94	0.29 D	0.00	Sale
07/09/2020	50.00	751.47	Various	784.45	32.98 D	0.00	Sale
07/09/2020	60.00	897.57	Various	934.18	36.61 D	0.00	Sale
07/09/2020	80.00	1,190.36	Various	1,182.39	0.00	7.97	Sale
07/09/2020	100.00	1,462.95	07/09/2020	1,466.05	3.1 D	0.00	Sale
07/09/2020	100.00	1,462.95	07/09/2020	1,466.05	3.1 D	0.00	Sale
07/09/2020	100.00	1,462.95	07/09/2020	1,466.05	3.1 D	0.00	Sale
07/09/2020	100.00	1,502.95	Various	1,569.14	66.19 D	0.00	Sale
07/09/2020	100.00	1,496.95	Various	1,523.12	26.17 D	0.00	Sale
07/09/2020	100.00	1,502.95	Various	1,569.40	66.45 D	0.00	Sale
07/09/2020	100.00	1,502.95	Various	1,566.89	63.94 D	0.00	Sale
07/09/2020	100.00	1,502.95	Various	1,565.91	62.96 D	0.00	Sale
07/09/2020	186.00	2,722.95	07/09/2020	2,726.85	3.9 D	0.00	Sale
07/09/2020	200.00	3,005.91	Various	3,127.83	121.92 D	0.00	Sale
07/09/2020	200.00	2,991.91	Various	3,114.11	122.20 D	0.00	Sale

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**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)

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***NIO INC AMERICAN DEPOSITARY SHARES ECH RPRSNTNG ONE CL A ORD SHARE   CUSIP: 62914V106   Symbol: NIO							
07/09/2020	200.00	3,005.91	Various	3,138.81	132.90 D	0.00	Sale
07/09/2020	200.00	3,005.91	Various	3,088.15	83.69 D	1.45	Sale
07/09/2020	230.00	3,440.69	Various	3,512.24	71.55 D	0.00	Sale
07/09/2020	500.00	7,319.77	07/09/2020	7,329.59	9.82 D	0.00	Sale
07/09/2020	644.00	9,640.38	Various	9,808.96	168.58 D	0.00	Sale
07/09/2020	900.00	13,526.59	Various	13,493.92	0.00	32.67	Sale
07/09/2020	920.00	13,689.18	Various	13,598.38	0.00	90.80	Sale
07/09/2020	1,256.00	18,801.75	Various	19,610.26	808.51 D	0.00	Sale
07/09/2020	1,500.00	22,439.32	Various	23,067.20	627.88 D	0.00	Sale
07/09/2020	2,000.00	27,799.14	Various	27,919.74	120.60 D	0.00	Sale
07/09/2020	2,000.00	27,779.14	Various	28,761.48	982.34 D	0.00	Sale
07/10/2020	210.00	2,729.91	07/08/2020	2,773.55	43.64 D	0.00	Buy to Cover Short
07/10/2020	400.00	5,199.84	Various	5,263.99	64.15 D	0.00	Buy to Cover Short
07/10/2020	100.00	1,299.96	07/08/2020	1,319.75	19.79 D	0.00	Buy to Cover Short
07/10/2020	500.00	6,499.79	Various	6,601.74	101.95 D	0.00	Buy to Cover Short
07/10/2020	500.00	6,499.80	Various	6,603.74	103.94 D	0.00	Buy to Cover Short
07/10/2020	500.00	6,531.30	Various	6,588.37	57.07 D	0.00	Buy to Cover Short
07/10/2020	490.00	6,369.80	Various	6,471.63	101.83 D	0.00	Buy to Cover Short
07/10/2020	500.00	6,530.79	Various	6,558.32	27.53 D	0.00	Buy to Cover Short
07/10/2020	500.00	6,529.79	07/08/2020	6,598.32	68.53 D	0.00	Buy to Cover Short
07/10/2020	800.00	10,400.55	Various	10,498.02	97.47 D	0.00	Buy to Cover Short
07/10/2020	3,000.00	39,298.74	Various	40,080.00	781.26 D	0.00	Buy to Cover Short
07/10/2020	3,000.00	39,838.75	Various	40,517.51	678.76 D	0.00	Buy to Cover Short
07/10/2020	100.00	1,305.96	07/08/2020	1,319.67	13.71 D	0.00	Buy to Cover Short
07/10/2020	3,000.00	39,418.76	Various	40,128.76	710.00 D	0.00	Buy to Cover Short
07/10/2020	100.00	1,305.96	07/08/2020	1,319.66	13.7 D	0.00	Buy to Cover Short
07/10/2020	300.00	3,917.88	Various	3,959.00	41.12 D	0.00	Buy to Cover Short

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**SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS**

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

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

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***NIO INC AMERICAN DEPOSITARY SHARES ECH RPRSNTNG ONE CL A ORD SHARE   CUSIP: 62914V106   Symbol: NIO							
07/10/2020	500.00	6,529.79	07/08/2020	6,598.27	68.48 D	0.00	Buy to Cover Short
07/10/2020	1,000.00	13,309.58	Various	13,655.44	345.86 D	0.00	Buy to Cover Short
07/10/2020	500.00	6,530.29	Various	6,593.34	63.05 D	0.00	Buy to Cover Short
07/10/2020	2,000.00	26,619.17	07/08/2020	27,310.82	691.65 D	0.00	Buy to Cover Short
07/10/2020	3,000.00	38,578.77	Various	39,173.19	594.42 D	0.00	Buy to Cover Short
07/10/2020	84.00	1,293.39	Various	1,337.81	44.42 D	0.00	Sale
07/10/2020	177.00	2,725.35	Various	2,757.62	32.27 D	0.00	Sale
07/10/2020	300.00	4,622.25	Various	4,825.89	203.64 D	0.00	Sale
07/10/2020	232.00	3,607.02	Various	3,756.64	149.62 D	0.00	Sale
07/10/2020	543.00	8,366.28	Various	8,714.64	348.36 D	0.00	Sale
07/10/2020	640.00	9,867.22	Various	10,269.69	402.47 D	0.00	Sale
07/10/2020	659.00	10,140.38	Various	10,364.94	224.56 D	0.00	Sale
07/10/2020	708.00	10,908.53	Various	11,403.45	494.92 D	0.00	Sale
07/10/2020	768.00	11,940.50	Various	12,444.68	504.18 D	0.00	Sale
07/10/2020	817.00	12,596.12	Various	13,099.60	503.48 D	0.00	Sale
07/10/2020	992.00	15,284.27	Various	15,654.01	369.74 D	0.00	Sale
07/10/2020	1,000.00	15,547.53	Various	15,845.02	297.49 D	0.00	Sale
07/10/2020	2,000.00	31,195.07	Various	32,240.26	1045.19 D	0.00	Sale
07/10/2020	500.00	7,502.22	Various	7,836.05	333.83 D	0.00	Sale
07/10/2020	500.00	7,499.77	Various	7,890.47	390.70 D	0.00	Sale
07/13/2020	20.00	272.39	07/09/2020	289.16	16.77 D	0.00	Buy to Cover Short
07/13/2020	100.00	1,361.96	Various	1,389.27	27.31 D	0.00	Buy to Cover Short
07/13/2020	100.00	1,361.96	Various	1,433.85	71.89 D	0.00	Buy to Cover Short
07/13/2020	100.00	1,361.96	Various	1,373.43	11.47 D	0.00	Buy to Cover Short
07/13/2020	100.00	1,361.96	07/09/2020	1,387.26	25.3 D	0.00	Buy to Cover Short
07/13/2020	100.00	1,361.96	Various	1,386.67	24.71 D	0.00	Buy to Cover Short
07/13/2020	100.00	1,361.96	Various	1,388.76	26.80 D	0.00	Buy to Cover Short

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**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
***NIO INC AMERICAN DEPOSITARY SHARES ECH RPRSNTNG ONE CL A ORD SHARE   CUSIP: 62914V106   Symbol: NIO							
07/13/2020	100.00	1,361.96	07/09/2020	1,389.76	27.8 D	0.00	Buy to Cover Short
07/13/2020	163.00	2,219.99	Various	2,338.01	118.02 D	0.00	Buy to Cover Short
07/13/2020	200.00	2,745.90	Various	2,790.57	44.67 D	0.00	Buy to Cover Short
07/13/2020	250.00	3,508.65	Various	3,569.32	60.67 D	0.00	Buy to Cover Short
07/13/2020	250.00	3,508.61	Various	3,549.12	40.51 D	0.00	Buy to Cover Short
07/13/2020	284.00	3,939.08	Various	4,108.50	169.42 D	0.00	Buy to Cover Short
07/13/2020	737.00	10,037.62	Various	10,538.26	500.64 D	0.00	Buy to Cover Short
07/13/2020	980.00	13,347.18	Various	14,140.53	793.35 D	0.00	Buy to Cover Short
07/13/2020	1,000.00	14,034.57	Various	14,511.85	477.28 D	0.00	Buy to Cover Short
07/13/2020	1,000.00	13,287.59	Various	14,037.28	749.69 D	0.00	Buy to Cover Short
07/13/2020	1,716.00	23,800.86	Various	24,630.80	829.94 D	0.00	Buy to Cover Short
07/13/2020	1,800.00	24,593.22	Various	25,234.33	641.11 D	0.00	Buy to Cover Short
07/13/2020	91.00	1,234.83	Various	1,262.53	27.70 D	0.00	Buy to Cover Short
07/13/2020	50.00	678.49	Various	693.90	15.41 D	0.00	Buy to Cover Short
07/13/2020	100.00	1,361.96	07/09/2020	1,392.26	30.3 D	0.00	Buy to Cover Short
07/13/2020	100.00	1,361.95	Various	1,376.69	14.74 D	0.00	Buy to Cover Short
07/13/2020	100.00	1,361.95	Various	1,380.25	18.30 D	0.00	Buy to Cover Short
07/13/2020	100.00	1,361.96	07/09/2020	1,392.76	30.8 D	0.00	Buy to Cover Short
07/13/2020	200.00	2,713.91	Various	2,768.10	54.19 D	0.00	Buy to Cover Short
07/13/2020	500.00	7,017.30	Various	7,165.86	148.56 D	0.00	Buy to Cover Short
07/13/2020	1,000.00	13,509.58	Various	14,044.63	535.05 D	0.00	Buy to Cover Short
07/13/2020	1,000.00	13,509.58	Various	13,893.88	384.30 D	0.00	Buy to Cover Short
07/13/2020	1,000.00	13,609.57	Various	14,212.15	602.58 D	0.00	Buy to Cover Short
07/13/2020	1,659.00	22,431.91	Various	23,087.30	655.39 D	0.00	Buy to Cover Short
07/13/2020	2,000.00	27,179.15	Various	27,943.65	764.50 D	0.00	Buy to Cover Short
07/13/2020	100.00	1,429.95	Various	1,470.28	40.33 D	0.00	Sale
07/13/2020	100.00	1,429.95	Various	1,460.14	30.19 D	0.00	Sale

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**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

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**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
***NIO INC AMERICAN DEPOSITARY SHARES ECH RPRSNTNG ONE CL A ORD SHARE   CUSIP: 62914V106   Symbol: NIO							
07/13/2020	250.00	3,897.63	Various	3,999.06	101.43 D	0.00	Sale
07/13/2020	100.00	1,429.95	Various	1,466.50	36.55 D	0.00	Sale
07/13/2020	250.00	3,887.78	Various	3,961.85	74.07 D	0.00	Sale
07/13/2020	250.00	3,877.38	Various	3,964.37	86.99 D	0.00	Sale
07/13/2020	250.00	3,877.38	Various	3,962.67	85.29 D	0.00	Sale
07/13/2020	250.00	3,567.39	Various	3,571.44	13.45 D	9.40	Sale
07/13/2020	100.00	1,430.06	Various	1,465.81	35.75 D	0.00	Sale
07/13/2020	250.00	3,572.39	Various	3,675.19	102.80 D	0.00	Sale
07/13/2020	100.00	1,430.95	Various	1,467.18	36.23 D	0.00	Sale
07/14/2020	100.00	1,304.96	Various	1,337.76	32.80 D	0.00	Sale
07/14/2020	100.00	1,304.96	Various	1,338.10	33.14 D	0.00	Sale
07/14/2020	300.00	3,914.87	Various	4,014.82	99.95 D	0.00	Sale
07/14/2020	1,000.00	14,020.57	Various	14,724.72	0.00	-704.15	Sale
07/14/2020	500.00	6,657.29	Various	6,708.87	51.58 D	0.00	Sale
07/14/2020	1,000.00	14,009.57	Various	14,356.19	31.16 D	-315.46	Sale
07/17/2020	15.00	178.78	07/17/2020	191.40	0.00	-12.62	Sale
07/17/2020	100.00	1,191.96	Various	1,259.94	0.00	-67.98	Sale
07/17/2020	100.00	1,191.96	Various	1,252.37	0.00	-60.41	Sale
07/17/2020	785.00	9,356.90	Various	9,663.49	0.00	-306.59	Sale
07/17/2020	2,000.00	22,061.07	Various	22,616.09	0.00	-555.02	Sale
08/27/2020	1,000.00	19,949.43	Various	20,020.00	0.00	-70.57	Sale
09/29/2020	1,000.00	20,299.43	09/29/2020	20,390.00	0.00	-90.57	Sale
11/05/2020	41.00	1,733.02	Various	1,744.47	11.45 D	0.00	Sale
11/05/2020	45.00	1,906.59	11/05/2020	1,903.50	0.00	3.09	Sale
11/05/2020	55.00	2,330.28	11/05/2020	2,326.50	0.00	3.78	Sale
11/05/2020	59.00	2,493.86	Various	2,511.62	17.76 D	0.00	Sale
11/05/2020	100.00	4,248.89	Various	4,248.42	0.6 D	1.07	Sale

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**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

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1c - DateSold 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
***NIO INC AMERICAN DEPOSITARY SHARES ECH RPRSNTNG ONE CL A ORD SHARE   CUSIP: 62914V106   Symbol: NIO							
11/05/2020	100.00	4,232.89	Various	4,230.60	0.00	2.29	Sale
11/05/2020	100.00	4,228.89	Various	4,249.21	20.32 D	0.00	Sale
11/05/2020	100.00	4,252.89	Various	4,237.00	0.00	15.89	Sale
11/05/2020	100.00	4,220.89	11/05/2020	4,219.00	0.00	1.89	Sale
11/05/2020	100.00	4,220.89	11/05/2020	4,219.00	0.00	1.89	Sale
11/05/2020	100.00	4,212.89	11/05/2020	4,219.00	6.11 D	0.00	Sale
11/05/2020	100.00	4,219.89	11/05/2020	4,219.00	0.00	0.89	Sale
11/05/2020	100.00	4,214.89	11/05/2020	4,233.11	18.22 D	0.00	Sale
11/05/2020	100.00	4,214.89	11/05/2020	4,245.22	30.33 D	0.00	Sale
11/05/2020	100.00	4,221.89	11/05/2020	4,219.00	0.00	2.89	Sale
11/05/2020	100.00	4,214.89	Various	4,258.35	43.46 D	0.00	Sale
11/05/2020	100.00	4,214.89	Various	4,271.21	56.32 D	0.00	Sale
11/05/2020	100.00	4,212.89	Various	4,283.32	70.43 D	0.00	Sale
11/05/2020	100.00	4,219.89	11/05/2020	4,219.00	0.00	0.89	Sale
11/05/2020	200.00	8,443.79	Various	8,449.53	8.58 D	2.84	Sale
11/05/2020	200.00	8,443.79	Various	8,450.79	9.84 D	2.84	Sale
11/05/2020	150.00	6,382.33	Various	6,355.38	0.00	26.95	Sale
11/05/2020	200.00	8,451.79	Various	8,481.99	41.09 D	10.89	Sale
11/05/2020	200.00	8,465.79	Various	8,499.41	52.49 D	18.87	Sale
11/05/2020	250.00	10,637.23	Various	10,590.24	0.00	46.99	Sale
11/05/2020	274.00	11,669.37	Various	11,606.76	0.00	62.61	Sale
11/09/2020	2.00	88.08	11/09/2020	87.88	0.00	0.20	Sale
11/09/2020	200.00	8,805.78	Various	8,788.95	0.00	16.83	Sale
11/09/2020	32.00	1,409.55	11/09/2020	1,406.40	0.00	3.15	Sale
11/09/2020	216.00	9,510.23	Various	9,503.20	0.00	7.03	Sale
11/09/2020	50.00	2,201.94	11/09/2020	2,200.00	0.00	1.94	Sale
11/09/2020	250.00	11,172.22	11/09/2020	11,140.00	0.00	32.22	Sale

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**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

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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
***NIO INC AMERICAN DEPOSITARY SHARES ECH RPRSNTNG ONE CL A ORD SHARE   CUSIP: 62914V106   Symbol: NIO							
11/09/2020	250.00	11,014.72	11/09/2020	11,000.00	0.00	14.72	Sale
11/09/2020	250.00	11,172.22	11/09/2020	11,198.75	26.53 D	0.00	Sale
11/09/2020	50.00	2,127.95	11/09/2020	2,125.50	0.00	2.45	Sale
11/09/2020	250.00	11,014.72	11/09/2020	10,976.53	0.00	38.19	Sale
11/09/2020	50.00	2,130.44	11/09/2020	2,125.50	0.00	4.94	Sale
11/09/2020	50.00	2,127.94	11/09/2020	2,125.50	0.00	2.44	Sale
11/09/2020	50.00	2,126.95	11/09/2020	2,125.50	0.00	1.45	Sale
11/09/2020	50.00	2,128.69	11/09/2020	2,125.50	0.00	3.19	Sale
11/11/2020	24.00	941.72	Various	942.38	0.66 D	0.00	Sale
11/11/2020	42.00	1,653.49	Various	1,630.31	0.00	23.18	Sale
11/11/2020	64.00	2,511.29	Various	2,512.96	1.67 D	0.00	Sale
11/11/2020	100.00	3,943.90	11/11/2020	3,893.50	0.00	50.40	Sale
11/11/2020	162.00	6,356.71	Various	6,360.86	4.15 D	0.00	Sale
11/11/2020	208.00	8,188.75	Various	8,073.67	0.00	115.08	Sale
11/11/2020	250.00	9,929.75	11/11/2020	9,927.50	0.00	2.25	Sale
11/11/2020	250.00	9,929.75	Various	9,932.34	2.59 D	0.00	Sale
11/11/2020	250.00	9,762.25	Various	9,823.25	61.00 D	0.00	Sale
11/11/2020	250.00	9,759.75	Various	9,881.00	121.25 D	0.00	Sale
11/11/2020	250.00	9,929.75	Various	9,945.50	15.75 D	0.00	Sale
11/11/2020	250.00	9,929.75	Various	9,940.09	10.34 D	0.00	Sale
11/11/2020	500.00	20,704.48	Various	21,324.18	619.70 D	0.00	Sale
11/11/2020	500.00	20,804.48	Various	21,341.43	539.18 D	2.23	Sale
11/11/2020	500.00	20,834.47	Various	21,320.81	541.43 D	55.09	Sale
11/11/2020	500.00	20,679.48	Various	21,314.70	635.22 D	0.00	Sale
11/11/2020	1,000.00	41,978.95	Various	42,615.22	636.27 D	0.00	Sale
11/11/2020	1,000.00	42,108.94	Various	42,676.27	601.26 D	33.93	Sale
11/11/2020	100.00	3,944.90	Various	3,893.50	0.00	51.40	Sale

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**SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS**

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

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***NIO INC AMERICAN DEPOSITARY SHARES ECH RPRSNTNG ONE CL A ORD SHARE   CUSIP: 62914V106   Symbol: NIO							
11/11/2020	100.00	3,945.90	11/11/2020	3,893.50	0.00	52.40	Sale
11/11/2020	100.00	3,946.40	11/11/2020	3,893.50	0.00	52.90	Sale
11/11/2020	100.00	3,946.06	11/11/2020	3,893.50	0.00	52.56	Sale
11/11/2020	100.00	4,166.89	Various	4,243.36	91.99 D	15.52	Sale
11/11/2020	100.00	4,166.89	Various	4,428.69	262.07 D	0.27	Sale
11/11/2020	100.00	4,166.89	Various	4,154.98	0.00	11.91	Sale
11/11/2020	200.00	8,333.79	Various	8,660.54	331.80 D	5.05	Sale
11/13/2020	50.00	2,060.45	11/11/2020	2,102.03	41.58 D	0.00	Buy to Cover Short
11/13/2020	50.00	2,071.95	Various	2,146.80	74.85 D	0.00	Buy to Cover Short
11/13/2020	100.00	4,120.91	11/11/2020	4,204.05	83.14 D	0.00	Buy to Cover Short
11/13/2020	100.00	4,120.91	11/11/2020	4,204.05	83.14 D	0.00	Buy to Cover Short
11/13/2020	100.00	4,175.00	Various	4,396.91	221.91 D	0.00	Buy to Cover Short
11/13/2020	100.00	4,151.89	Various	4,329.58	183.17 D	5.48	Buy to Cover Short
11/13/2020	100.00	4,157.91	Various	4,140.18	0.00	17.73	Buy to Cover Short
11/13/2020	100.00	4,157.91	Various	4,125.13	0.00	32.78	Buy to Cover Short
11/13/2020	150.00	6,262.48	Various	6,593.95	331.47 D	0.00	Buy to Cover Short
11/13/2020	200.00	8,289.76	Various	8,587.03	297.27 D	0.00	Buy to Cover Short
11/13/2020	200.00	8,089.80	11/11/2020	8,021.00	0.00	68.80	Buy to Cover Short
11/13/2020	100.00	4,151.89	Various	4,124.62	0.00	27.27	Buy to Cover Short
11/13/2020	250.00	10,188.49	Various	10,168.55	0.00	19.94	Buy to Cover Short
11/13/2020	250.00	10,187.27	11/11/2020	10,204.50	17.23 D	0.00	Buy to Cover Short
11/13/2020	250.00	10,209.77	11/11/2020	10,272.46	62.69 D	0.00	Buy to Cover Short
11/13/2020	250.00	10,310.99	11/11/2020	10,433.16	122.17 D	0.00	Buy to Cover Short
11/13/2020	250.00	10,217.27	11/11/2020	10,253.48	36.21 D	0.00	Buy to Cover Short
11/13/2020	250.00	10,309.77	11/11/2020	10,454.67	144.9 D	0.00	Buy to Cover Short
11/13/2020	250.00	10,312.27	Various	10,545.36	233.09 D	0.00	Buy to Cover Short
11/13/2020	250.00	10,305.23	Various	10,575.59	270.36 D	0.00	Buy to Cover Short

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**SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS**

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**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
***NIO INC AMERICAN DEPOSITARY SHARES ECH RPRSNTNG ONE CL A ORD SHARE   CUSIP: 62914V106   Symbol: NIO							
11/13/2020	250.00	10,304.77	Various	10,612.86	308.09 D	0.00	Buy to Cover Short
11/13/2020	250.00	10,384.74	Various	10,812.38	427.64 D	0.00	Buy to Cover Short
11/13/2020	250.00	10,379.33	Various	10,840.14	460.81 D	0.00	Buy to Cover Short
11/13/2020	250.00	10,432.26	Various	11,018.38	586.12 D	0.00	Buy to Cover Short
11/13/2020	250.00	10,435.11	Various	11,063.62	628.51 D	0.00	Buy to Cover Short
11/13/2020	250.00	10,302.27	11/11/2020	10,479.90	177.63 D	0.00	Buy to Cover Short
11/13/2020	250.00	10,421.02	Various	11,106.01	684.99 D	0.00	Buy to Cover Short
11/13/2020	250.00	10,304.76	Various	10,648.09	343.33 D	0.00	Buy to Cover Short
11/13/2020	250.00	10,374.77	Various	10,411.99	37.22 D	0.00	Buy to Cover Short
11/13/2020	250.00	10,374.72	Various	10,406.43	31.71 D	0.00	Buy to Cover Short
11/13/2020	250.00	10,218.49	11/11/2020	10,300.19	81.7 D	0.00	Buy to Cover Short
11/13/2020	250.00	10,374.73	Various	10,791.14	416.41 D	0.00	Buy to Cover Short
11/13/2020	250.00	10,442.26	Various	11,164.99	722.73 D	0.00	Buy to Cover Short
11/13/2020	250.00	10,382.27	Various	11,106.65	724.38 D	0.00	Buy to Cover Short
11/13/2020	300.00	12,134.69	11/11/2020	12,154.50	19.81 D	0.00	Buy to Cover Short
11/13/2020	500.00	20,226.99	Various	20,277.31	50.32 D	0.00	Buy to Cover Short
11/13/2020	500.00	21,124.52	11/11/2020	21,110.00	0.00	14.52	Buy to Cover Short
11/13/2020	100.00	4,154.98	Various	4,228.08	92.38 D	19.28	Buy to Cover Short
11/13/2020	105.00	4,430.80	Various	4,433.10	2.30 D	0.00	Buy to Cover Short
11/13/2020	151.00	6,311.65	Various	6,741.12	429.47 D	0.00	Buy to Cover Short
11/13/2020	250.00	10,164.77	11/11/2020	10,219.27	54.5 D	0.00	Buy to Cover Short
11/13/2020	250.00	10,377.24	Various	10,782.12	404.88 D	0.00	Buy to Cover Short
11/13/2020	250.00	10,374.77	Various	10,867.94	493.17 D	0.00	Buy to Cover Short
11/13/2020	250.00	10,374.77	Various	10,903.17	528.40 D	0.00	Buy to Cover Short
11/13/2020	250.00	10,218.49	11/11/2020	10,319.20	100.71 D	0.00	Buy to Cover Short
11/13/2020	250.00	10,449.76	Various	11,154.98	705.22 D	0.00	Buy to Cover Short
11/13/2020	250.00	10,354.74	Various	10,661.52	306.78 D	0.00	Buy to Cover Short

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**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
***NIO INC AMERICAN DEPOSITARY SHARES ECH RPRSNTNG ONE CL A ORD SHARE   CUSIP: 62914V106   Symbol: NIO							
11/13/2020	395.00	16,667.43	Various	16,683.15	15.72 D	0.00	Buy to Cover Short
11/13/2020	849.00	35,393.87	Various	36,213.23	819.36 D	0.00	Buy to Cover Short
11/13/2020	50.00	2,345.93	Various	2,344.46	0.00	1.47	Sale
11/13/2020	50.00	2,343.68	Various	2,345.08	1.40 D	0.00	Sale
11/13/2020	50.00	2,346.93	Various	2,328.75	0.00	18.18	Sale
11/13/2020	50.00	2,345.18	Various	2,426.28	81.10 D	0.00	Sale
11/13/2020	50.00	2,342.93	11/13/2020	2,343.98	1.05 D	0.00	Sale
11/13/2020	50.00	2,432.43	11/13/2020	2,463.11	30.68 D	0.00	Sale
11/13/2020	50.00	2,416.43	11/13/2020	2,463.10	46.67 D	0.00	Sale
11/13/2020	50.00	2,416.43	Various	2,395.90	0.00	20.53	Sale
11/13/2020	50.00	2,352.43	Various	2,327.20	0.00	25.23	Sale
11/13/2020	50.00	2,323.43	11/13/2020	2,297.83	0.00	25.60	Sale
11/13/2020	50.00	2,249.44	Various	2,279.37	29.93 D	0.00	Sale
11/13/2020	50.00	2,281.93	11/13/2020	2,358.04	76.11 D	0.00	Sale
11/13/2020	50.00	2,252.94	11/13/2020	2,291.17	38.23 D	0.00	Sale
11/13/2020	50.00	2,244.94	Various	2,360.47	115.53 D	0.00	Sale
11/13/2020	50.00	2,251.44	11/13/2020	2,325.75	74.31 D	0.00	Sale
11/13/2020	50.00	2,245.44	11/13/2020	2,279.80	34.36 D	0.00	Sale
11/13/2020	50.00	2,244.94	Various	2,288.24	43.30 D	0.00	Sale
11/13/2020	50.00	2,244.44	11/13/2020	2,346.48	102.04 D	0.00	Sale
11/13/2020	50.00	2,281.43	11/13/2020	2,306.79	25.36 D	0.00	Sale
11/13/2020	50.00	2,259.94	11/13/2020	2,307.61	47.67 D	0.00	Sale
11/13/2020	50.00	2,250.44	11/13/2020	2,348.83	98.39 D	0.00	Sale
11/13/2020	50.00	2,232.69	Various	2,271.93	39.24 D	0.00	Sale
11/13/2020	50.00	2,277.43	11/13/2020	2,341.12	63.69 D	0.00	Sale
11/13/2020	50.00	2,244.94	Various	2,294.94	50.00 D	0.00	Sale
11/13/2020	100.00	4,807.88	Various	4,983.30	175.42 D	0.00	Sale

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APEX CLEARING

Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B\*

OMB No. 1545-0715

2TZ05705

(continued)

01/24/2021

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
***NIO INC AMERICAN DEPOSITARY SHARES ECH RPRSNTNG ONE CL A ORD SHARE   CUSIP: 62914V106   Symbol: NIO							
11/13/2020	100.00	4,558.88	11/13/2020	4,555.25	0.00	3.63	Sale
11/13/2020	100.00	4,808.88	Various	4,920.71	111.83 D	0.00	Sale
11/13/2020	100.00	4,533.88	11/13/2020	4,594.55	60.67 D	0.00	Sale
11/13/2020	100.00	4,868.38	Various	4,904.14	35.76 D	0.00	Sale
11/13/2020	100.00	4,533.88	Various	4,675.91	142.03 D	0.00	Sale
11/13/2020	100.00	4,558.88	Various	4,713.42	154.54 D	0.00	Sale
11/13/2020	100.00	4,483.89	Various	4,704.15	220.26 D	0.00	Sale
11/13/2020	100.00	4,529.88	11/13/2020	4,596.56	66.68 D	0.00	Sale
11/13/2020	100.00	4,866.88	Various	4,978.32	111.44 D	0.00	Sale
11/13/2020	100.00	4,494.89	Various	4,614.07	119.18 D	0.00	Sale
11/13/2020	100.00	4,506.89	Various	4,561.76	54.87 D	0.00	Sale
11/13/2020	100.00	4,508.89	Various	4,600.87	91.98 D	0.00	Sale
11/13/2020	100.00	4,457.89	Various	4,680.45	222.56 D	0.00	Sale
11/13/2020	100.00	4,461.89	Various	4,605.91	144.02 D	0.00	Sale
11/13/2020	100.00	4,485.89	Various	4,678.06	192.17 D	0.00	Sale
11/13/2020	100.00	4,409.89	Various	4,684.58	274.69 D	0.00	Sale
11/13/2020	100.00	4,457.39	Various	4,645.09	187.70 D	0.00	Sale
11/13/2020	250.00	12,507.19	11/13/2020	12,603.58	96.39 D	0.00	Sale
11/13/2020	1.00	44.97	11/13/2020	47.15	2.18 D	0.00	Sale
11/13/2020	1.00	45.00	11/13/2020	47.15	2.15 D	0.00	Sale
11/13/2020	5.00	223.08	11/13/2020	227.59	4.51 D	0.00	Sale
11/13/2020	48.00	2,159.46	Various	2,267.54	108.08 D	0.00	Sale
11/13/2020	45.00	2,007.84	11/13/2020	2,048.27	40.43 D	0.00	Sale
11/13/2020	50.00	2,315.09	11/13/2020	2,297.84	0.00	17.25	Sale
11/13/2020	50.00	2,415.95	Various	2,475.60	59.65 D	0.00	Sale
11/13/2020	50.00	2,252.45	11/13/2020	2,349.89	97.44 D	0.00	Sale
11/13/2020	50.00	2,278.96	Various	2,372.53	93.57 D	0.00	Sale

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**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
***NIO INC AMERICAN DEPOSITARY SHARES ECH RPRSNTNG ONE CL A ORD SHARE   CUSIP: 62914V106   Symbol: NIO							
11/13/2020	50.00	2,231.44	11/13/2020	2,282.23	50.79 D	0.00	Sale
11/13/2020	50.00	2,231.44	11/13/2020	2,317.81	86.37 D	0.00	Sale
11/13/2020	50.00	2,252.94	Various	2,364.41	111.47 D	0.00	Sale
11/13/2020	100.00	4,561.88	Various	4,670.83	108.95 D	0.00	Sale
11/13/2020	50.00	2,257.02	11/13/2020	2,337.27	80.25 D	0.00	Sale
11/13/2020	100.00	4,493.78	11/13/2020	4,630.99	137.21 D	0.00	Sale
11/13/2020	100.00	4,489.89	Various	4,611.25	121.36 D	0.00	Sale
11/13/2020	100.00	4,476.89	Various	4,635.98	159.09 D	0.00	Sale
11/13/2020	100.00	4,456.95	Various	4,631.02	174.07 D	0.00	Sale
11/13/2020	100.00	4,411.89	Various	4,621.70	209.81 D	0.00	Sale
11/13/2020	100.00	4,458.39	Various	4,708.56	250.17 D	0.00	Sale
11/13/2020	100.00	4,506.38	Various	4,638.44	132.06 D	0.00	Sale
11/13/2020	250.00	12,605.02	Various	13,117.68	512.66 D	0.00	Sale
11/17/2020	11.00	568.58	Various	559.04	0.00	9.54	Buy to Cover Short
11/17/2020	41.00	2,119.32	Various	2,083.66	0.00	35.66	Buy to Cover Short
11/17/2020	48.00	2,482.98	Various	2,439.42	0.00	43.56	Buy to Cover Short
11/17/2020	50.00	2,364.95	11/13/2020	2,333.00	0.00	31.95	Buy to Cover Short
11/17/2020	50.00	2,364.94	11/13/2020	2,335.50	0.00	29.44	Buy to Cover Short
11/17/2020	100.00	5,168.84	Various	5,108.29	0.00	60.55	Buy to Cover Short
11/17/2020	50.00	2,364.94	11/13/2020	2,333.50	0.00	31.44	Buy to Cover Short
11/17/2020	100.00	5,168.87	Various	5,114.41	0.00	54.46	Buy to Cover Short
11/17/2020	100.00	5,172.87	11/13/2020	5,055.00	0.00	117.87	Buy to Cover Short
11/17/2020	100.00	4,986.87	Various	4,965.75	0.00	21.12	Buy to Cover Short
11/17/2020	100.00	5,172.87	Various	5,063.90	0.00	108.97	Buy to Cover Short
11/17/2020	100.00	4,982.88	11/13/2020	4,998.13	15.25 D	0.00	Buy to Cover Short
11/17/2020	100.00	4,985.38	Various	4,957.44	0.00	27.94	Buy to Cover Short
11/17/2020	100.00	4,985.87	11/13/2020	4,971.75	0.00	14.12	Buy to Cover Short

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APEX CLEARING

Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B\*

OMB No. 1545-0715

2TZ05705

(continued)

01/24/2021

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

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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
***NIO INC AMERICAN DEPOSITARY SHARES ECH RPRSNTNG ONE CL A ORD SHARE   CUSIP: 62914V106   Symbol: NIO							
11/17/2020	100.00	4,500.89	11/13/2020	4,534.00	33.11 D	0.00	Buy to Cover Short
11/17/2020	100.00	4,499.86	Various	4,567.11	67.25 D	0.00	Buy to Cover Short
11/17/2020	500.00	26,099.34	Various	26,420.00	320.66 D	0.00	Buy to Cover Short
11/17/2020	100.00	4,982.87	11/13/2020	4,971.53	0.00	11.34	Buy to Cover Short
11/17/2020	250.00	12,474.69	Various	12,616.57	141.88 D	0.00	Buy to Cover Short
11/17/2020	50.00	2,364.94	11/13/2020	2,332.55	0.00	32.39	Buy to Cover Short
11/17/2020	100.00	4,696.88	Various	4,779.36	82.48 D	0.00	Sale
11/17/2020	100.00	4,685.88	Various	4,775.10	89.22 D	0.00	Sale
11/17/2020	250.00	11,744.71	Various	11,997.17	252.46 D	0.00	Sale
11/17/2020	100.00	4,686.88	Various	4,861.35	174.47 D	0.00	Sale
11/17/2020	250.00	11,744.71	Various	12,135.81	391.10 D	0.00	Sale
11/17/2020	500.00	23,699.41	Various	24,212.38	512.97 D	0.00	Sale
11/17/2020	300.00	13,925.65	Various	14,145.91	220.26 D	0.00	Sale
11/17/2020	100.00	4,687.88	Various	4,692.50	4.62 D	0.00	Sale
11/17/2020	100.00	4,612.88	Various	4,836.11	223.23 D	0.00	Sale
11/17/2020	100.00	4,682.19	11/17/2020	4,692.75	10.56 D	0.00	Sale
11/17/2020	500.00	23,264.42	Various	23,612.03	349.38 D	1.77	Sale
11/17/2020	500.00	23,716.51	Various	24,362.47	645.96 D	0.00	Sale
11/17/2020	250.00	11,529.74	Various	12,100.55	570.81 D	0.00	Sale
11/17/2020	300.00	13,937.23	Various	14,407.17	469.94 D	0.00	Sale
11/17/2020	150.00	6,918.54	11/17/2020	7,109.98	191.44 D	0.00	Sale
11/19/2020	200.00	8,949.77	Various	9,039.40	89.63 D	0.00	Buy to Cover Short
11/19/2020	100.00	4,474.89	Various	4,490.10	15.49 D	0.28	Buy to Cover Short
11/19/2020	15.00	694.78	11/17/2020	704.12	9.34 D	0.00	Buy to Cover Short
11/19/2020	285.00	13,122.84	Various	13,229.34	106.50 D	0.00	Buy to Cover Short
11/19/2020	100.00	4,612.88	11/17/2020	4,692.00	79.12 D	0.00	Buy to Cover Short
11/19/2020	250.00	11,874.70	Various	12,291.19	416.49 D	0.00	Sale

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APEX CLEARING

Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B\*

OMB No. 1545-0715

2TZ05705

(continued)

01/24/2021

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

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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
***NIO INC AMERICAN DEPOSITORY SHARES ECH RPRSNTNG ONE CL A ORD SHARE   CUSIP: 62914V106   Symbol: NIO							
11/19/2020	250.00	11,867.23	Various	12,130.76	263.53 D	0.00	Sale
11/20/2020	300.00	14,930.63	Various	15,065.72	135.09 D	0.00	Sale
12/01/2020	6.00	282.34	12/01/2020	284.74	2.4 D	0.00	Sale
12/01/2020	9.00	407.14	Various	427.40	20.26 D	0.00	Sale
12/01/2020	15.00	729.20	12/01/2020	743.69	14.49 D	0.00	Sale
12/01/2020	29.00	1,364.69	Various	1,394.71	30.02 D	0.00	Sale
12/01/2020	65.00	3,058.82	Various	3,147.06	88.24 D	0.00	Sale
12/01/2020	85.00	4,131.74	Various	4,282.24	150.50 D	0.00	Sale
12/01/2020	100.00	4,769.88	Various	4,955.45	185.57 D	0.00	Sale
12/01/2020	100.00	4,821.88	Various	5,026.34	204.46 D	0.00	Sale
12/01/2020	100.00	4,821.88	Various	5,069.36	247.48 D	0.00	Sale
12/01/2020	100.00	4,821.88	Various	4,890.15	68.27 D	0.00	Sale
12/01/2020	100.00	4,817.88	Various	4,959.97	142.09 D	0.00	Sale
12/01/2020	100.00	4,861.38	Various	5,022.09	160.71 D	0.00	Sale
12/01/2020	100.00	4,816.88	Various	4,919.83	102.95 D	0.00	Sale
12/01/2020	100.00	4,712.88	Various	4,890.22	177.34 D	0.00	Sale
12/01/2020	100.00	4,711.88	Various	4,929.90	218.02 D	0.00	Sale
12/01/2020	100.00	4,816.90	Various	5,024.97	208.07 D	0.00	Sale
12/01/2020	100.00	4,666.88	Various	4,749.57	82.69 D	0.00	Sale
12/01/2020	100.00	4,744.88	Various	4,849.63	104.75 D	0.00	Sale
12/01/2020	100.00	4,744.88	Various	4,955.70	210.82 D	0.00	Sale
12/01/2020	100.00	4,744.88	Various	4,821.84	76.96 D	0.00	Sale
12/01/2020	191.00	8,640.62	Various	8,932.70	292.08 D	0.00	Sale
12/01/2020	200.00	9,489.77	Various	9,734.22	244.45 D	0.00	Sale
12/01/2020	200.00	9,047.78	Various	9,263.70	215.92 D	0.00	Sale
12/01/2020	1.00	47.78	12/01/2020	49.77	1.99 D	0.00	Sale
12/01/2020	23.00	1,099.36	Various	1,144.46	45.10 D	0.00	Sale

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APEX CLEARING

Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B\*

OMB No. 1545-0715

2TZ05705

(continued)

01/24/2021

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
***NIO INC AMERICAN DEPOSITARY SHARES ECH RPRSNTNG ONE CL A ORD SHARE   CUSIP: 62914V106   Symbol: NIO							
12/01/2020	50.00	2,389.93	Various	2,494.91	104.98 D	0.00	Sale
12/01/2020	100.00	4,768.88	Various	4,863.17	94.29 D	0.00	Sale
12/01/2020	100.00	4,769.19	Various	4,826.25	57.06 D	0.00	Sale
12/01/2020	100.00	4,821.88	Various	4,914.24	92.36 D	0.00	Sale
12/01/2020	100.00	4,859.05	Various	4,852.00	21.46 D	28.51	Sale
12/01/2020	100.00	4,779.88	Various	4,894.52	114.64 D	0.00	Sale
12/01/2020	100.00	4,666.88	Various	4,714.23	47.35 D	0.00	Sale
12/01/2020	326.00	15,582.41	Various	15,933.35	350.94 D	0.00	Sale
12/03/2020	10.00	484.87	12/03/2020	486.44	1.57 D	0.00	Sale
12/03/2020	240.00	11,637.31	Various	11,778.25	140.94 D	0.00	Sale
12/03/2020	250.00	11,504.71	Various	11,587.69	87.33 D	4.35	Sale
12/03/2020	250.00	11,557.21	Various	11,987.40	430.19 D	0.00	Sale
12/03/2020	250.00	11,502.21	Various	11,883.76	382.11 D	0.56	Sale
12/03/2020	250.00	11,552.26	Various	11,710.92	175.54 D	16.88	Sale
12/03/2020	250.00	11,552.21	Various	11,722.19	169.98 D	0.00	Sale
12/03/2020	250.00	12,122.20	Various	12,356.76	234.56 D	0.00	Sale
12/03/2020	250.00	11,592.21	Various	11,794.57	205.53 D	3.17	Sale
12/03/2020	500.00	24,139.40	Various	24,697.48	558.08 D	0.00	Sale
12/03/2020	500.00	24,139.40	Various	24,830.83	691.43 D	0.00	Sale
12/03/2020	500.00	23,334.42	Various	24,244.87	910.45 D	0.00	Sale
12/03/2020	100.00	4,699.91	Various	4,895.96	196.05 D	0.00	Sale
12/03/2020	100.00	4,699.88	Various	4,816.65	116.77 D	0.00	Sale
12/03/2020	250.00	11,527.49	Various	11,837.09	159.17 D	-150.43	Sale
12/03/2020	300.00	14,099.73	Various	14,404.36	304.63 D	0.00	Sale
12/04/2020	50.00	2,321.68	12/02/2020	2,303.50	0.00	18.18	Buy to Cover Short
12/04/2020	50.00	2,287.45	12/02/2020	2,284.00	0.00	3.45	Buy to Cover Short
12/04/2020	50.00	2,288.94	12/02/2020	2,269.00	0.00	19.94	Buy to Cover Short

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**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
***NIO INC AMERICAN DEPOSITARY SHARES ECH RPRSNTNG ONE CL A ORD SHARE   CUSIP: 62914V106   Symbol: NIO							
12/04/2020	50.00	2,287.44	12/02/2020	2,284.50	0.00	2.94	Buy to Cover Short
12/04/2020	50.00	2,320.18	12/02/2020	2,295.25	0.00	24.93	Buy to Cover Short
12/04/2020	50.00	2,321.18	12/02/2020	2,311.00	0.00	10.18	Buy to Cover Short
12/04/2020	50.00	2,288.94	12/02/2020	2,268.75	0.00	20.19	Buy to Cover Short
12/04/2020	50.00	2,286.45	12/02/2020	2,284.50	0.00	1.95	Buy to Cover Short
12/04/2020	100.00	4,703.88	12/02/2020	4,712.00	8.12 D	0.00	Buy to Cover Short
12/04/2020	100.00	4,724.88	Various	4,905.92	181.04 D	0.00	Buy to Cover Short
12/04/2020	100.00	4,714.98	Various	4,779.41	64.43 D	0.00	Buy to Cover Short
12/04/2020	100.00	4,720.89	Various	4,886.81	165.92 D	0.00	Buy to Cover Short
12/04/2020	100.00	4,715.90	Various	4,797.43	81.53 D	0.00	Buy to Cover Short
12/04/2020	100.00	4,748.86	Various	4,960.66	211.80 D	0.00	Buy to Cover Short
12/04/2020	100.00	4,434.39	12/02/2020	4,428.00	0.00	6.39	Buy to Cover Short
12/04/2020	1.00	47.18	12/02/2020	48.42	1.24 D	0.00	Buy to Cover Short
12/04/2020	100.00	4,434.38	12/02/2020	4,417.00	0.00	17.38	Buy to Cover Short
12/04/2020	50.00	2,286.44	12/02/2020	2,284.93	0.00	1.51	Buy to Cover Short
12/04/2020	50.00	2,321.43	12/02/2020	2,311.00	0.00	10.43	Buy to Cover Short
12/04/2020	50.00	2,320.93	12/02/2020	2,311.00	0.00	9.93	Buy to Cover Short
12/04/2020	50.00	2,320.44	12/02/2020	2,310.00	0.00	10.44	Buy to Cover Short
12/04/2020	99.00	4,671.13	Various	4,794.11	122.98 D	0.00	Buy to Cover Short
12/04/2020	100.00	4,749.88	Various	4,885.22	135.34 D	0.00	Buy to Cover Short
12/04/2020	100.00	4,749.53	Various	4,896.34	146.81 D	0.00	Buy to Cover Short
12/04/2020	100.00	4,706.86	Various	4,731.72	24.86 D	0.00	Buy to Cover Short
12/04/2020	100.00	4,716.38	Various	4,748.36	31.98 D	0.00	Buy to Cover Short
12/04/2020	100.00	4,708.46	Various	4,755.87	47.41 D	0.00	Buy to Cover Short
12/04/2020	100.00	4,724.38	Various	4,921.04	196.66 D	0.00	Buy to Cover Short
12/04/2020	100.00	4,434.39	12/02/2020	4,382.75	0.00	51.64	Buy to Cover Short
12/04/2020	250.00	11,074.72	Various	11,433.14	0.00	-358.42	Sale

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APEX CLEARING

## Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B\*

OMB No. 1545-0715

2TZ05705

(continued)

01/24/2021

**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
***NIO INC AMERICAN DEPOSITARY SHARES ECH RPRSNTNG ONE CL A ORD SHARE   CUSIP: 62914V106   Symbol: NIO							
12/04/2020	250.00	11,055.32	Various	11,205.31	0.00	-149.99	Sale
12/07/2020	100.00	4,719.89	12/03/2020	4,692.00	0.00	27.89	Buy to Cover Short
12/07/2020	100.00	4,672.72	Various	4,732.59	0.00	-59.87	Buy to Cover Short
12/07/2020	100.00	4,719.89	12/03/2020	4,724.24	4.35 D	0.00	Buy to Cover Short
12/07/2020	100.00	4,672.76	Various	4,703.35	0.00	-30.59	Buy to Cover Short
12/07/2020	100.00	4,719.89	12/03/2020	4,690.00	0.00	29.89	Buy to Cover Short
12/07/2020	100.00	4,719.90	Various	4,753.49	33.59 D	0.00	Buy to Cover Short
12/07/2020	100.00	4,719.89	12/03/2020	4,708.28	0.00	11.61	Buy to Cover Short
12/07/2020	200.00	9,395.01	Various	9,456.00	60.99 D	0.00	Buy to Cover Short
12/07/2020	300.00	14,108.65	Various	14,244.99	136.34 D	0.00	Buy to Cover Short
<b>Security Totals:</b>		<b>3,585,953.61</b>		<b>3,656,180.62</b>		<b>114.87</b>	
THERMOGENESIS HOLDINGS INC COMMON STOCK   CUSIP: 88362L100   Symbol: THMO							
04/16/2020	100.00	668.17	04/16/2020	674.63	0.00	-6.46	Sale
04/16/2020	100.00	668.97	04/16/2020	674.63	0.00	-5.66	Sale
04/16/2020	100.00	669.47	04/16/2020	674.63	0.00	-5.16	Sale
04/16/2020	200.00	1,345.95	04/16/2020	1,349.26	0.00	-3.31	Sale
<b>Security Totals:</b>		<b>3,352.56</b>		<b>3,373.15</b>		<b>-20.59</b>	
POLARITYTE INC COM   CUSIP: 731094108   Symbol: PTE							
07/24/2020	1,589.00	3,336.63	Various	3,495.48	19.99 D	-138.86	Sale
07/24/2020	411.00	863.03	Various	924.11	0.00	-61.08	Sale
<b>Security Totals:</b>		<b>4,199.66</b>		<b>4,419.59</b>		<b>-199.94</b>	
WESTWATER RESOURCES INC COMMON STOCK   CUSIP: 961684206   Symbol: WWR							
09/28/2020	25.00	59.98	09/28/2020	56.50	0.00	3.48	Sale
09/28/2020	49.00	117.09	09/28/2020	114.91	0.00	2.18	Sale
09/28/2020	74.00	177.58	09/28/2020	167.25	0.00	10.33	Sale
09/28/2020	75.00	179.98	09/28/2020	169.51	0.00	10.47	Sale
09/28/2020	150.00	359.97	09/28/2020	339.02	0.00	20.95	Sale
09/28/2020	151.00	360.86	Various	349.65	0.00	11.21	Sale

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**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

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**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
WESTWATER RESOURCES INC COMMON STOCK   CUSIP: 961684206   Symbol: WWR							
09/28/2020	176.00	422.37	09/28/2020	397.79	0.00	24.58	Sale
09/28/2020	200.00	463.96	Various	459.52	1.49 D	5.93	Sale
09/28/2020	200.00	348.17	Various	376.07	27.90 D	0.00	Sale
09/28/2020	200.00	348.17	Various	376.03	27.86 D	0.00	Sale
09/28/2020	200.00	348.17	Various	376.97	28.80 D	0.00	Sale
09/28/2020	200.00	348.17	Various	377.93	29.76 D	0.00	Sale
09/28/2020	200.00	348.17	Various	378.03	29.86 D	0.00	Sale
09/28/2020	250.00	599.95	09/28/2020	565.04	0.00	34.91	Sale
09/28/2020	250.00	614.95	Various	568.55	0.00	46.40	Sale
09/28/2020	300.00	716.94	Various	689.66	0.00	27.28	Sale
09/28/2020	300.00	695.94	Various	700.92	4.98 D	0.00	Sale
09/28/2020	500.00	924.91	Various	1,009.79	84.88 D	0.00	Sale
09/28/2020	500.00	934.91	Various	954.07	19.16 D	0.00	Sale
09/28/2020	500.00	949.91	Various	994.98	45.07 D	0.00	Sale
09/28/2020	1,000.00	1,749.84	Various	1,865.13	115.29 D	0.00	Sale
09/28/2020	1,000.00	1,709.84	Various	1,870.33	160.49 D	0.00	Sale
09/28/2020	1,000.00	1,699.84	Various	1,840.35	140.51 D	0.00	Sale
09/28/2020	1,000.00	1,699.84	Various	1,824.71	124.87 D	0.00	Sale
09/28/2020	1,000.00	1,669.84	Various	1,894.18	224.34 D	0.00	Sale
09/28/2020	500.00	949.91	Various	949.88	0.03 D	0.06	Sale
09/28/2020	1,000.00	1,669.84	Various	2,009.21	339.37 D	0.00	Sale
09/28/2020	1,000.00	1,659.84	Various	1,919.05	259.21 D	0.00	Sale
09/28/2020	1,000.00	1,789.84	Various	2,069.37	279.53 D	0.00	Sale
09/28/2020	2,000.00	4,319.66	Various	4,437.98	118.32 D	0.00	Sale
09/28/2020	2,000.00	3,239.68	Various	3,415.00	175.32 D	0.00	Sale
09/28/2020	100.00	161.98	09/28/2020	180.02	18.04 D	0.00	Sale
09/28/2020	100.00	173.99	Various	190.02	16.03 D	0.00	Sale

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APEX CLEARING

Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B\*

OMB No. 1545-0715

2TZ05705

(continued)

01/24/2021

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

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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
WESTWATER RESOURCES INC COMMON STOCK   CUSIP: 961684206   Symbol: WWR							
09/28/2020	300.00	521.97	Various	570.02	48.05 D	0.00	Sale
09/28/2020	500.00	917.41	Various	910.02	0.00	7.39	Sale
09/28/2020	500.00	904.91	Various	994.03	89.12 D	0.00	Sale
09/28/2020	500.00	904.91	Various	1,016.11	111.20 D	0.00	Sale
09/28/2020	500.00	937.41	Various	976.20	38.79 D	0.00	Sale
09/28/2020	600.00	1,043.96	Various	1,139.53	95.57 D	0.00	Sale
09/28/2020	1,000.00	1,670.44	Various	1,795.15	124.71 D	0.00	Sale
09/28/2020	1,000.00	1,700.44	Various	1,840.51	140.07 D	0.00	Sale
09/28/2020	1,000.00	1,699.84	Various	1,824.87	125.03 D	0.00	Sale
09/28/2020	1,000.00	1,710.14	Various	1,805.29	95.15 D	0.00	Sale
09/28/2020	1,000.00	1,710.14	Various	1,850.49	140.35 D	0.00	Sale
09/28/2020	1,000.00	1,669.94	Various	1,974.34	304.40 D	0.00	Sale
09/28/2020	1,900.00	3,077.70	Various	3,435.30	357.60 D	0.00	Sale
09/30/2020	100.00	218.08	Various	220.49	2.41 D	0.00	Sale
09/30/2020	100.00	218.48	09/30/2020	220.45	1.97 D	0.00	Sale
09/30/2020	100.00	218.48	09/30/2020	220.01	1.53 D	0.00	Sale
09/30/2020	100.00	218.48	09/30/2020	221.52	3.04 D	0.00	Sale
09/30/2020	100.00	217.48	Various	222.41	4.93 D	0.00	Sale
09/30/2020	100.00	217.48	09/30/2020	221.97	4.49 D	0.00	Sale
09/30/2020	100.00	217.48	09/30/2020	221.53	4.05 D	0.00	Sale
09/30/2020	100.00	217.48	09/30/2020	223.04	5.56 D	0.00	Sale
09/30/2020	100.00	217.48	09/30/2020	220.92	3.44 D	0.00	Sale
09/30/2020	100.00	217.48	09/30/2020	220.92	3.44 D	0.00	Sale
09/30/2020	100.00	217.48	09/30/2020	220.92	3.44 D	0.00	Sale
09/30/2020	100.00	217.48	09/30/2020	220.92	3.44 D	0.00	Sale
09/30/2020	1,200.00	2,603.80	09/30/2020	2,650.99	47.19 D	0.00	Sale
09/30/2020	1,600.00	3,489.33	09/30/2020	3,504.00	14.67 D	0.00	Sale

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APEX CLEARING

Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B\*

OMB No. 1545-0715

2TZ05705

(continued)

01/24/2021

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
WESTWATER RESOURCES INC COMMON STOCK   CUSIP: 961684206   Symbol: WWR							
10/01/2020	2,000.00	5,959.62	Various	6,079.98	120.36 D	0.00	Sale
10/01/2020	2,000.00	5,939.62	Various	6,060.36	120.74 D	0.00	Sale
10/02/2020	45.00	179.08	Various	168.72	0.00	10.36	Sale
10/02/2020	62.00	246.74	10/02/2020	228.16	0.00	18.58	Sale
10/02/2020	14.00	51.50	10/02/2020	51.38	0.00	0.12	Sale
10/02/2020	100.00	396.48	10/02/2020	376.00	0.00	20.48	Sale
10/02/2020	100.00	397.98	10/02/2020	376.00	0.00	21.98	Sale
10/02/2020	100.00	396.48	10/02/2020	376.00	0.00	20.48	Sale
10/02/2020	149.00	592.98	10/02/2020	560.24	0.00	32.74	Sale
10/02/2020	156.00	618.50	10/02/2020	586.56	0.00	31.94	Sale
10/02/2020	200.00	779.96	10/02/2020	786.00	6.04 D	0.00	Sale
10/02/2020	200.00	779.96	10/02/2020	786.00	6.04 D	0.00	Sale
10/02/2020	288.00	1,146.18	Various	1,059.84	0.00	86.34	Sale
10/02/2020	486.00	1,793.24	10/02/2020	1,783.47	0.00	9.77	Sale
10/02/2020	500.00	1,844.89	Various	1,833.38	0.00	11.51	Sale
10/02/2020	500.00	1,839.89	Various	1,837.67	0.63 D	2.85	Sale
10/02/2020	1,600.00	6,223.67	10/02/2020	6,288.00	64.33 D	0.00	Sale
10/02/2020	100.00	367.98	10/02/2020	366.96	0.00	1.02	Sale
10/02/2020	100.00	367.98	Various	366.97	0.00	1.01	Sale
10/02/2020	300.00	1,103.93	10/02/2020	1,100.91	0.00	3.02	Sale
10/02/2020	2,000.00	7,279.59	Various	7,240.63	0.00	38.96	Sale
10/09/2020	97.00	802.16	10/09/2020	813.85	11.69 D	0.00	Sale
10/09/2020	903.00	7,467.53	Various	7,582.35	114.82 D	0.00	Sale
10/09/2020	1,000.00	8,219.69	Various	8,330.21	110.52 D	0.00	Sale
10/27/2020	1.00	4.42	10/27/2020	4.58	0.00	-0.16	Sale
10/27/2020	1.00	4.42	10/27/2020	4.58	0.00	-0.16	Sale
10/27/2020	1.00	4.42	10/27/2020	4.58	0.00	-0.16	Sale

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APEX CLEARING

Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B\*

OMB No. 1545-0715

2TZ05705

(continued)

01/24/2021

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

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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
WESTWATER RESOURCES INC COMMON STOCK   CUSIP: 961684206   Symbol: WWR							
10/27/2020	24.00	106.54	10/27/2020	109.93	0.00	-3.39	Sale
10/27/2020	100.00	443.98	Various	457.78	0.00	-13.80	Sale
10/27/2020	200.00	887.96	Various	915.37	0.00	-27.41	Sale
10/27/2020	1,673.00	7,427.75	Various	7,657.41	0.00	-229.66	Sale
<b>Security Totals:</b>		<b>122,664.91</b>		<b>127,023.24</b>		<b>241.59</b>	
NOVAN INC COM   CUSIP: 66988N106   Symbol: NOVN							
03/10/2020	500.00	402.23	03/10/2020	494.03	0.00	-91.80	Sale
03/10/2020	5,000.00	3,499.32	Various	4,087.60	588.28 D	0.00	Sale
03/10/2020	5,000.00	3,660.31	Various	4,270.25	609.94 D	0.00	Sale
03/10/2020	4,500.00	3,604.78	Various	4,125.42	0.00	-520.64	Sale
03/10/2020	5,000.00	3,581.82	Various	4,395.88	814.06 D	0.00	Sale
03/10/2020	5,000.00	3,863.81	Various	4,424.06	560.25 D	0.00	Sale
07/24/2020	1.00	0.92	07/24/2020	0.96	0.04 D	0.00	Sale
07/24/2020	21.00	19.80	07/24/2020	20.58	0.78 D	0.00	Sale
07/24/2020	100.00	94.58	Various	96.24	1.66 D	0.00	Sale
07/24/2020	11.00	10.36	07/24/2020	10.58	0.22 D	0.00	Sale
07/24/2020	100.00	94.38	07/24/2020	98.01	3.63 D	0.00	Sale
07/24/2020	200.00	188.77	07/24/2020	196.03	7.26 D	0.00	Sale
07/24/2020	200.00	188.77	07/24/2020	192.40	3.63 D	0.00	Sale
07/24/2020	300.00	283.15	Various	301.16	18.01 D	0.00	Sale
07/24/2020	500.00	471.92	Various	482.66	10.74 D	0.00	Sale
07/24/2020	500.00	471.92	Various	485.19	13.27 D	0.00	Sale
07/24/2020	600.00	566.31	Various	591.71	25.40 D	0.00	Sale
07/24/2020	667.00	629.54	07/24/2020	641.66	12.12 D	0.00	Sale
07/24/2020	500.00	471.92	07/24/2020	481.00	9.08 D	0.00	Sale
07/24/2020	1,300.00	1,227.02	Various	1,261.34	34.32 D	0.00	Sale
07/27/2020	60.00	59.74	07/27/2020	60.95	1.21 D	0.00	Sale
07/27/2020	86.00	85.63	07/27/2020	87.36	1.73 D	0.00	Sale

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**SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS**

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

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NOVAN INC COM   CUSIP: 66988N106   Symbol: NOVN							
07/27/2020	100.00	99.58	07/27/2020	101.58	2 D	0.00	Sale
07/27/2020	248.00	255.40	Various	251.73	0.00	3.67	Sale
07/27/2020	300.00	298.75	07/27/2020	304.75	6 D	0.00	Sale
07/27/2020	240.00	239.00	Various	243.79	4.79 D	0.00	Sale
07/27/2020	1,000.00	954.85	Various	1,017.72	62.87 D	0.00	Sale
07/27/2020	2,000.00	1,911.71	Various	1,987.85	76.14 D	0.00	Sale
07/27/2020	300.00	298.75	Various	304.82	6.07 D	0.00	Sale
07/27/2020	2,000.00	1,906.31	Various	2,047.73	141.42 D	0.00	Sale
07/27/2020	2,252.00	2,319.23	Various	2,350.05	43.61 D	12.79	Sale
07/27/2020	2,500.00	2,549.64	Various	2,575.44	32.33 D	6.53	Sale
07/27/2020	5,000.00	4,999.28	Various	5,272.18	272.90 D	0.00	Sale
07/27/2020	3,914.00	3,891.52	Various	3,982.05	115.25 D	24.72	Sale
07/27/2020	6.00	6.10	Various	6.46	0.36 D	0.00	Sale
07/27/2020	50.00	50.98	07/27/2020	51.76	0.78 D	0.00	Sale
07/27/2020	55.00	56.08	Various	59.06	2.98 D	0.00	Sale
07/27/2020	293.00	292.96	Various	316.34	0.00	-23.38	Sale
07/27/2020	548.00	558.87	Various	566.67	8.55 D	0.75	Sale
07/27/2020	950.00	968.86	Various	997.75	28.89 D	0.00	Sale
07/27/2020	902.00	919.90	07/27/2020	902.00	0.00	17.90	Sale
07/27/2020	2,000.00	1,999.71	Various	2,157.43	0.00	-157.72	Sale
07/27/2020	1,000.00	1,019.85	07/27/2020	1,000.00	0.00	19.85	Sale
07/27/2020	2,500.00	2,549.64	Various	2,578.44	29.69 D	0.89	Sale
07/27/2020	2,500.00	2,549.64	07/27/2020	2,522.50	0.00	27.14	Sale
07/27/2020	2,500.00	2,549.89	Various	2,582.33	32.44 D	0.00	Sale
07/27/2020	2,707.00	2,706.62	Various	2,839.63	0.00	-133.01	Sale
07/27/2020	3,989.00	3,976.47	Various	4,148.65	172.18 D	0.00	Sale

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APEX CLEARING

Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B\*

OMB No. 1545-0715

2TZ05705

(continued)

01/24/2021

**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)

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

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07/27/2020	5,000.00	4,972.78	Various	5,090.02	122.21 D	4.97	Sale
<b>Security Totals:</b>		<b>68,379.37</b>		<b>73,063.80</b>		<b>-807.34</b>	
LOVESAC COMPANY (THE)	COMMON STOCK   CUSIP: 54738L109   Symbol: LOVE						
06/02/2020	300.00	5,222.84	Various	5,208.78	0.00	14.06	Sale
IZEA WORLDWIDE INC	COMMON STOCK   CUSIP: 46604H105   Symbol: IZEA						
08/05/2020	1,000.00	1,809.83	Various	1,809.05	0.00	0.78	Sale
08/05/2020	1,000.00	1,810.83	08/05/2020	1,809.00	0.00	1.83	Sale
08/05/2020	1,000.00	1,810.43	08/05/2020	1,809.00	0.00	1.43	Sale
08/05/2020	1,000.00	1,810.83	08/05/2020	1,809.00	0.00	1.83	Sale
08/05/2020	1,000.00	1,809.83	08/05/2020	1,809.00	0.00	0.83	Sale
08/05/2020	5,000.00	8,799.20	Various	8,795.28	0.05 D	3.97	Sale
08/17/2020	500.00	689.92	08/17/2020	699.50	9.58 D	0.00	Sale
08/17/2020	2,500.00	3,449.62	Various	3,507.08	0.00	-57.46	Sale
<b>Security Totals:</b>		<b>21,990.49</b>		<b>22,046.91</b>		<b>-46.79</b>	
CHANTICLEER HOLDINGS INC	COMMON STOCK   CUSIP: 15930P800   Symbol: BURG						
03/19/2020	100.00	109.98	03/19/2020	118.77	8.79 D	0.00	Sale
03/19/2020	1,900.00	2,089.72	Various	2,267.72	0.00	-178.00	Sale
<b>Security Totals:</b>		<b>2,199.70</b>		<b>2,386.49</b>		<b>-178.00</b>	
***ENLIVEX THERAPEUTICS LTD	ORDINARY SHARES   CUSIP: M4130Y106   Symbol: ENLV						
12/03/2020	40.00	465.97	Various	472.11	0.00	-6.14	Sale
12/03/2020	30.00	367.18	12/03/2020	352.37	0.00	14.81	Sale
12/03/2020	80.00	931.96	12/03/2020	948.80	0.00	-16.84	Sale
12/03/2020	150.00	1,837.43	Various	1,762.28	0.00	75.15	Sale
12/03/2020	200.00	2,437.92	Various	2,349.49	0.00	88.43	Sale
<b>Security Totals:</b>		<b>6,040.46</b>		<b>5,885.05</b>		<b>155.41</b>	
SOLARWINDOW TECHNOLOGIES INC	COM   CUSIP: 83417L106   Symbol: WNDW						
07/23/2020	25.00	92.81	07/23/2020	99.80	6.99 D	0.00	Sale
07/23/2020	25.00	97.43	07/23/2020	99.80	2.37 D	0.00	Sale
07/23/2020	25.00	93.18	07/23/2020	110.65	17.47 D	0.00	Sale

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**SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS**

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

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SOLARWINDOW TECHNOLOGIES INC COM   CUSIP: 83417L106   Symbol: WNDW							
07/23/2020	100.00	373.28	Various	431.45	58.17 D	0.00	Sale
07/23/2020	25.00	92.18	07/23/2020	99.80	7.62 D	0.00	Sale
07/23/2020	100.00	372.78	Various	415.69	42.91 D	0.00	Sale
07/23/2020	150.00	559.91	07/23/2020	612.18	0.00	-52.27	Sale
07/23/2020	150.00	553.16	07/23/2020	612.18	0.00	-59.02	Sale
07/23/2020	575.00	2,103.24	Various	2,414.93	0.00	-311.69	Sale
07/23/2020	825.00	3,108.43	Various	3,304.60	196.17 D	0.00	Sale
<b>Security Totals:</b>		<b>7,446.40</b>		<b>8,201.08</b>		<b>-422.98</b>	
***EDESA BIOTECH INC COM   CUSIP: 27966L108   Symbol: EDSA							
06/15/2020	500.00	3,629.85	06/15/2020	3,620.00	0.00	9.85	Sale
BOXLIGHT CORPORATION CLASS A COMMON STOCK   CUSIP: 103197109   Symbol: BOXL							
07/16/2020	800.00	3,527.82	07/16/2020	3,528.00	0.18 D	0.00	Sale
07/16/2020	200.00	881.96	07/16/2020	882.00	0.04 D	0.00	Sale
08/12/2020	2,000.00	4,979.64	Various	5,098.58	0.00	-118.94	Sale
08/12/2020	1,000.00	2,509.82	Various	2,529.22	19.40 D	0.00	Sale
08/12/2020	1,000.00	2,509.82	08/12/2020	2,529.00	19.18 D	0.00	Sale
09/22/2020	11.00	18.68	09/22/2020	19.24	0.56 D	0.00	Sale
09/22/2020	70.00	118.28	09/22/2020	122.46	4.18 D	0.00	Sale
09/22/2020	150.00	253.47	Various	262.25	8.78 D	0.00	Sale
09/22/2020	300.00	509.94	Various	523.30	13.36 D	0.00	Sale
09/22/2020	400.00	675.93	Various	699.07	23.14 D	0.00	Sale
09/22/2020	500.00	844.92	Various	872.58	27.66 D	0.00	Sale
09/22/2020	600.00	1,013.90	Various	1,047.10	33.20 D	0.00	Sale
09/22/2020	850.00	1,427.86	Various	1,482.68	54.82 D	0.00	Sale
09/22/2020	1,000.00	1,689.84	Various	1,745.16	55.32 D	0.00	Sale
09/22/2020	1,119.00	1,879.74	Various	1,951.89	72.15 D	0.00	Sale
09/22/2020	2,500.00	4,249.60	09/22/2020	4,300.00	50.4 D	0.00	Sale
09/23/2020	2,500.00	4,099.60	Various	4,378.85	279.25 D	0.00	Sale

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APEX CLEARING

Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B\*

OMB No. 1545-0715

2TZ05705

(continued)

01/24/2021

SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

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

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BOXLIGHT CORPORATION CLASS A COMMON STOCK   CUSIP: 103197109   Symbol: BOXL							
09/25/2020	100.00	165.48	Various	176.79	11.31 D	0.00	Sale
09/25/2020	100.00	165.48	09/25/2020	176.90	11.42 D	0.00	Sale
09/25/2020	100.00	165.48	Various	175.68	10.20 D	0.00	Sale
09/25/2020	100.00	161.08	Various	175.31	14.23 D	0.00	Sale
09/25/2020	100.00	160.98	Various	175.42	14.44 D	0.00	Sale
09/25/2020	100.00	165.48	Various	175.39	9.91 D	0.00	Sale
09/25/2020	400.00	643.93	Various	698.09	54.16 D	0.00	Sale
09/25/2020	300.00	482.94	Various	528.89	45.95 D	0.00	Sale
09/25/2020	700.00	1,126.89	Various	1,234.09	15.30 D	-91.90	Sale
09/25/2020	200.00	321.97	09/25/2020	352.59	0.00	-30.62	Sale
09/25/2020	800.00	1,287.87	Various	1,412.30	0.00	-124.43	Sale
09/25/2020	2,100.00	3,466.77	Various	3,722.39	255.62 D	0.00	Sale
09/25/2020	2,500.00	4,174.60	Various	4,426.75	252.15 D	0.00	Sale
09/25/2020	900.00	1,448.85	Various	1,605.85	0.00	-157.00	Sale
<b>Security Totals:</b>		<b>45,128.62</b>		<b>47,007.82</b>		<b>-522.89</b>	
EKSO BIONICS HOLDINGS INC COMMON STOCK   CUSIP: 282644301   Symbol: EKSO							
06/25/2020	200.00	1,567.94	06/25/2020	1,614.00	0.00	-46.06	Sale
SELLAS LIFE SCIENCES GROUP INC COMMON STOCK   CUSIP: 81642T209   Symbol: SLS							
12/10/2020	20.00	175.18	12/10/2020	185.21	10.03 D	0.00	Sale
12/10/2020	50.00	451.48	Various	493.86	42.38 D	0.00	Sale
12/10/2020	50.00	451.48	12/10/2020	494.04	42.56 D	0.00	Sale
12/10/2020	50.00	450.98	Various	494.05	43.07 D	0.00	Sale
12/10/2020	50.00	451.98	Various	494.03	42.05 D	0.00	Sale
12/10/2020	100.00	874.97	Various	926.03	51.06 D	0.00	Sale
12/10/2020	100.00	874.97	Various	926.03	51.06 D	0.00	Sale
12/10/2020	200.00	1,777.94	Various	1,840.00	62.06 D	0.00	Sale
12/10/2020	280.00	2,449.91	12/10/2020	2,592.89	142.98 D	0.00	Sale
12/10/2020	300.00	2,666.90	12/10/2020	2,760.00	93.1 D	0.00	Sale

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Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B\*

OMB No. 1545-0715

2TZ05705

(continued)

01/24/2021

SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

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SELLAS LIFE SCIENCES GROUP INC COMMON STOCK   CUSIP: 81642T209   Symbol: SLS							
12/10/2020	500.00	4,374.84	Various	4,730.13	355.29 D	0.00	Sale
12/10/2020	800.00	7,223.74	Various	7,749.37	525.63 D	0.00	Sale
12/10/2020	1,000.00	9,239.67	Various	9,959.87	720.20 D	0.00	Sale
12/10/2020	1,000.00	9,361.27	Various	10,160.20	0.00	-798.93	Sale
<b>Security Totals:</b>		<b>40,825.31</b>		<b>43,805.71</b>		<b>-798.93</b>	
HOUGHTON MIFFLIN HARCOURT COMPANY   CUSIP: 44157R109   Symbol: HMHC							
07/16/2020	50.00	179.48	07/16/2020	171.51	0.00	7.97	Sale
07/16/2020	100.00	326.98	Various	322.00	0.00	4.98	Sale
07/16/2020	175.00	570.46	07/16/2020	563.50	0.00	6.96	Sale
07/16/2020	200.00	719.96	07/16/2020	674.00	0.00	45.96	Sale
07/16/2020	209.00	752.36	07/16/2020	704.33	0.00	48.03	Sale
07/16/2020	175.00	635.21	Various	591.08	0.00	44.13	Sale
07/16/2020	275.00	987.19	Various	926.75	0.00	60.44	Sale
07/16/2020	291.00	1,047.54	07/16/2020	980.67	0.00	66.87	Sale
07/16/2020	500.00	1,769.90	Various	1,711.10	0.00	58.80	Sale
07/16/2020	300.00	1,079.93	07/16/2020	1,011.00	0.00	68.93	Sale
07/16/2020	725.00	2,377.85	Various	2,403.14	34.44 D	9.15	Sale
07/17/2020	1.00	2.83	07/17/2020	2.90	0.07 D	0.00	Sale
07/17/2020	10.00	28.48	07/17/2020	29.00	0.52 D	0.00	Sale
07/17/2020	20.00	56.98	07/17/2020	58.00	1.02 D	0.00	Sale
07/17/2020	40.00	115.18	Various	122.42	7.24 D	0.00	Sale
07/17/2020	68.00	193.78	07/17/2020	197.20	3.42 D	0.00	Sale
07/17/2020	100.00	287.98	Various	306.95	18.97 D	0.00	Sale
07/17/2020	100.00	284.98	07/17/2020	290.00	5.02 D	0.00	Sale
07/17/2020	101.00	287.83	07/17/2020	292.90	5.07 D	0.00	Sale
07/17/2020	200.00	575.96	Various	613.93	37.97 D	0.00	Sale
07/17/2020	200.00	569.96	07/17/2020	580.00	10.04 D	0.00	Sale
07/17/2020	224.00	645.07	Various	681.17	36.10 D	0.00	Sale

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APEX CLEARING

Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B\*

OMB No. 1545-0715

2TZ05705

(continued)

01/24/2021

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
HOUGHTON MIFFLIN HARCOURT COMPANY   CUSIP: 44157R109   Symbol: HMHC							
07/17/2020	500.00	1,424.90	Various	1,475.16	50.26 D	0.00	Sale
07/17/2020	550.00	1,583.89	Various	1,650.61	41.82 D	-24.90	Sale
07/17/2020	900.00	2,591.83	Various	2,765.93	0.00	-174.10	Sale
07/17/2020	1,000.00	2,849.81	Various	2,950.26	100.45 D	0.00	Sale
<b>Security Totals:</b>		<b>21,946.32</b>		<b>22,075.51</b>		<b>223.22</b>	
TRINE ACQUISITION CORP CLASS A COMMON STOCK   CUSIP: 89628U108   Symbol: TRNE							
12/07/2020	100.00	2,027.94	12/07/2020	2,003.00	0.00	24.94	Sale
12/07/2020	250.00	4,987.35	Various	4,791.14	0.00	196.21	Sale
12/07/2020	100.00	2,000.94	12/07/2020	2,003.00	2.06 D	0.00	Sale
12/07/2020	250.00	4,914.86	Various	4,800.00	0.00	114.86	Sale
12/07/2020	500.00	9,844.72	12/07/2020	9,730.56	0.00	114.16	Sale
12/07/2020	500.00	9,824.72	Various	9,729.68	0.00	95.04	Sale
12/07/2020	250.00	4,904.86	Various	4,800.00	0.00	104.86	Sale
12/07/2020	1,000.00	19,519.44	Various	19,799.12	279.68 D	0.00	Sale
12/07/2020	1,000.00	19,549.44	Various	19,709.68	160.24 D	0.00	Sale
12/07/2020	1.00	19.58	12/07/2020	19.20	0.00	0.38	Sale
12/07/2020	12.00	235.30	12/07/2020	230.40	0.00	4.90	Sale
12/07/2020	60.00	1,175.96	12/07/2020	1,152.00	0.00	23.96	Sale
12/07/2020	88.00	1,725.63	Various	1,689.60	0.00	36.03	Sale
12/07/2020	89.00	1,744.35	Various	1,708.28	0.00	36.07	Sale
12/07/2020	100.00	2,029.94	12/07/2020	2,003.00	0.00	26.94	Sale
12/07/2020	100.00	2,000.94	12/07/2020	2,003.00	2.06 D	0.00	Sale
12/07/2020	100.00	1,940.94	12/07/2020	1,930.00	0.00	10.94	Sale
12/07/2020	100.00	2,003.25	12/07/2020	2,003.00	0.00	0.25	Sale
12/07/2020	100.00	1,940.94	12/07/2020	1,930.00	0.00	10.94	Sale
12/07/2020	140.00	2,729.91	12/07/2020	2,702.00	0.00	27.91	Sale
12/07/2020	160.00	3,110.15	12/07/2020	3,088.00	0.00	22.15	Sale
12/07/2020	500.00	9,751.22	12/07/2020	9,650.00	0.00	101.22	Sale

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APEX CLEARING

Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B\*

OMB No. 1545-0715

2TZ05705

(continued)

01/24/2021

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
TRINE ACQUISITION CORP CLASS A COMMON STOCK   CUSIP: 89628U108   Symbol: TRNE							
12/08/2020	57.00	986.08	12/04/2020	963.30	0.00	22.78	Buy to Cover Short
12/08/2020	101.00	1,747.26	12/04/2020	1,706.90	0.00	40.36	Buy to Cover Short
12/08/2020	250.00	4,325.37	Various	4,227.50	0.00	97.87	Buy to Cover Short
12/08/2020	92.00	1,592.06	Various	1,554.80	0.00	37.26	Buy to Cover Short
12/08/2020	150.00	3,044.91	12/08/2020	2,896.65	0.00	148.26	Sale
12/08/2020	150.00	3,029.91	12/08/2020	2,896.65	0.00	133.26	Sale
12/08/2020	500.00	9,824.72	Various	9,900.00	75.28 D	0.00	Sale
12/08/2020	200.00	4,007.89	12/08/2020	3,862.20	0.00	145.69	Sale
12/09/2020	500.00	9,499.78	12/07/2020	9,620.00	120.22 D	0.00	Buy to Cover Short
12/09/2020	500.00	9,649.72	12/07/2020	9,765.22	115.5 D	0.00	Buy to Cover Short
12/09/2020	50.00	1,158.96	12/09/2020	1,114.02	0.00	44.94	Sale
12/09/2020	17.00	390.64	12/09/2020	378.77	0.00	11.87	Sale
12/09/2020	50.00	1,155.96	12/09/2020	1,114.03	0.00	41.93	Sale
12/09/2020	83.00	1,907.28	12/09/2020	1,849.29	0.00	57.99	Sale
12/09/2020	200.00	4,485.88	Various	4,450.12	0.00	35.76	Sale
12/09/2020	100.00	2,268.93	12/09/2020	2,225.05	0.00	43.88	Sale
<b>Security Totals:</b>		<b>167,057.73</b>		<b>165,999.16</b>		<b>1,813.61</b>	
TETRAPHASE PHARMACEUTICALS INC COMMON STOCK   CUSIP: 88165N204   Symbol: TTPH							
05/07/2020	49.00	138.65	05/07/2020	138.17	0.00	0.48	Sale
05/07/2020	851.00	2,409.19	Various	2,399.69	0.00	9.50	Sale
05/07/2020	100.00	282.98	05/07/2020	281.98	0.00	1.00	Sale
05/22/2020	100.00	292.98	05/22/2020	310.00	17.02 D	0.00	Sale
05/22/2020	100.00	286.98	Various	320.00	0.00	-33.02	Sale
05/22/2020	44.00	128.90	05/22/2020	136.40	7.5 D	0.00	Sale
05/22/2020	100.00	286.98	05/22/2020	318.99	0.00	-32.01	Sale
05/22/2020	100.00	287.98	05/22/2020	319.99	0.00	-32.01	Sale
05/22/2020	100.00	293.98	05/22/2020	310.00	16.02 D	0.00	Sale
05/22/2020	30.00	86.38	05/22/2020	96.00	0.00	-9.62	Sale

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APEX CLEARING

## Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B\*

OMB No. 1545-0715

2TZ05705

(continued)

01/24/2021

**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>
TETRAPHASE PHARMACEUTICALS INC COMMON STOCK   CUSIP: 88165N204   Symbol: TTPH							
05/22/2020	100.00	292.98	05/22/2020	310.00	17.02 D	0.00	Sale
05/22/2020	167.00	480.92	Various	534.38	0.00	-53.46	Sale
05/22/2020	103.00	295.59	05/22/2020	329.59	0.00	-34.00	Sale
05/22/2020	100.00	292.98	05/22/2020	310.00	17.02 D	0.00	Sale
05/22/2020	300.00	878.94	05/22/2020	930.00	51.06 D	0.00	Sale
05/22/2020	356.00	1,021.65	Various	1,139.16	0.00	-117.51	Sale
05/22/2020	300.00	878.94	Various	934.40	43.57 D	-11.89	Sale
<b>Security Totals:</b>		<b>8,637.00</b>		<b>9,118.75</b>		<b>-312.54</b>	
AMERICAN AIRLINES GROUP INC   CUSIP: 02376R102   Symbol: AAL							
06/04/2020	300.00	5,021.84	06/04/2020	4,935.00	0.00	86.84	Sale
06/04/2020	700.00	11,642.20	06/04/2020	11,515.00	0.00	127.20	Sale
<b>Security Totals:</b>		<b>16,664.04</b>		<b>16,450.00</b>		<b>214.04</b>	
PREDICTIVE ONCOLOGY INC COMMON STOCK   CUSIP: 74039M200   Symbol: POAI							
05/06/2020	15.00	27.28	05/06/2020	32.25	4.97 D	0.00	Sale
05/06/2020	100.00	182.98	Various	220.02	37.04 D	0.00	Sale
05/06/2020	100.00	182.98	05/06/2020	220.01	17.77 D	-19.26	Sale
05/06/2020	201.00	365.79	Various	437.12	71.33 D	0.00	Sale
05/06/2020	62.00	112.82	05/06/2020	153.77	40.95 D	0.00	Sale
05/06/2020	400.00	731.93	Various	1,021.40	0.00	-289.47	Sale
05/06/2020	425.00	777.68	Various	1,040.73	0.00	-263.05	Sale
05/06/2020	470.00	855.32	Various	1,051.11	195.79 D	0.00	Sale
05/06/2020	975.00	1,784.09	Various	2,127.10	0.00	-343.01	Sale
05/06/2020	1,852.00	3,370.34	Various	4,204.79	834.45 D	0.00	Sale
<b>Security Totals:</b>		<b>8,391.21</b>		<b>10,508.30</b>		<b>-914.79</b>	
OBLONG INC COMMON STOCK   CUSIP: 674434105   Symbol: OBLG							
07/22/2020	500.00	2,049.89	07/22/2020	2,082.50	0.00	-32.61	Sale
VECTOIQ ACQUISITION CORP COMMON STOCK   CUSIP: 92243N103   Symbol: VTIQ							
05/12/2020	100.00	2,539.93	Various	2,439.00	0.00	100.93	Sale

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**SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS**

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

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

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

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**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
VECTOIQ ACQUISITION CORP COMMON STOCK   CUSIP: 92243N103   Symbol: VTIQ							
05/12/2020	3.00	75.88	05/12/2020	73.17	0.00	2.71	Sale
05/12/2020	17.00	434.84	Various	430.07	0.00	4.77	Sale
05/12/2020	97.00	2,454.63	05/12/2020	2,365.83	0.00	88.80	Sale
05/12/2020	183.00	4,681.01	Various	4,629.69	0.00	51.32	Sale
05/12/2020	200.00	5,305.86	05/12/2020	5,328.14	22.28 D	0.00	Sale
05/13/2020	72.00	2,245.62	05/13/2020	2,239.30	0.00	6.32	Sale
05/13/2020	100.00	2,939.92	05/13/2020	2,944.14	4.22 D	0.00	Sale
05/13/2020	178.00	5,551.67	Various	5,523.56	0.00	28.11	Sale
05/13/2020	250.00	7,749.79	05/13/2020	7,747.50	0.00	2.29	Sale
05/15/2020	50.00	1,479.96	05/13/2020	1,365.00	0.00	114.96	Buy to Cover Short
05/15/2020	100.00	3,022.42	05/13/2020	2,957.00	0.00	65.42	Buy to Cover Short
05/15/2020	50.00	1,479.96	05/13/2020	1,437.00	0.00	42.96	Buy to Cover Short
05/15/2020	400.00	12,048.66	Various	11,935.32	0.00	113.34	Buy to Cover Short
05/18/2020	1.00	21.68	05/18/2020	21.90	0.22 D	0.00	Sale
05/18/2020	25.00	557.67	05/18/2020	565.70	8.03 D	0.00	Sale
05/18/2020	18.00	390.58	05/18/2020	394.20	3.62 D	0.00	Sale
05/18/2020	81.00	1,806.25	Various	1,832.26	26.01 D	0.00	Sale
05/18/2020	300.00	6,689.81	05/18/2020	6,780.93	91.12 D	0.00	Sale
05/18/2020	94.00	2,096.14	Various	2,121.22	25.08 D	0.00	Sale
05/18/2020	500.00	10,788.80	Various	10,598.03	0.00	190.77	Sale
05/18/2020	981.00	21,299.85	Various	21,487.74	187.89 D	0.00	Sale
05/26/2020	4.00	109.10	05/26/2020	109.73	0.63 D	0.00	Sale
05/26/2020	8.00	215.58	05/26/2020	219.60	4.02 D	0.00	Sale
05/26/2020	10.00	277.48	Various	272.22	0.00	5.26	Sale
05/26/2020	50.00	1,363.95	Various	1,371.62	7.67 D	0.00	Sale
05/26/2020	68.00	1,854.98	05/26/2020	1,865.39	10.41 D	0.00	Sale
05/26/2020	78.00	2,127.78	Various	2,136.24	9.03 D	0.57	Sale

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**SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS**

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

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

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

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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
VECTOIQ ACQUISITION CORP COMMON STOCK   CUSIP: 92243N103   Symbol: VTIQ							
05/26/2020	80.00	2,219.94	05/26/2020	2,176.24	0.00	43.70	Sale
05/26/2020	100.00	2,802.92	Various	2,685.41	0.00	117.51	Sale
05/26/2020	100.00	2,813.92	05/26/2020	2,721.29	0.00	92.63	Sale
05/26/2020	100.00	2,808.92	Various	2,688.33	0.00	120.59	Sale
05/26/2020	110.00	3,052.42	Various	2,994.00	0.00	58.42	Sale
05/26/2020	292.00	7,869.19	Various	8,011.92	142.73 D	0.00	Sale
05/26/2020	500.00	13,259.64	Various	13,625.24	365.60 D	0.00	Sale
<b>Security Totals:</b>		<b>136,436.75</b>		<b>136,093.93</b>		<b>1,251.38</b>	
GENMARK DIAGNOSTICS INC   CUSIP: 372309104   Symbol: GNMK							
04/28/2020	200.00	2,251.93	Various	2,305.88	53.95 D	0.00	Sale
04/28/2020	800.00	8,999.70	Various	9,158.30	83.91 D	-74.69	Sale
04/29/2020	500.00	5,554.82	Various	5,620.00	65.18 D	0.00	Buy to Cover Short
05/07/2020	500.00	6,544.79	Various	6,637.86	0.00	-93.07	Sale
<b>Security Totals:</b>		<b>23,351.24</b>		<b>23,722.04</b>		<b>-167.76</b>	
***NORTHERN DYNASTY MINERALS LTD   CUSIP: 66510M204   Symbol: NAK							
07/23/2020	25.00	56.73	07/23/2020	57.93	1.2 D	0.00	Sale
07/23/2020	100.00	227.00	07/23/2020	231.73	4.73 D	0.00	Sale
07/23/2020	100.00	226.98	07/23/2020	231.73	4.75 D	0.00	Sale
07/23/2020	289.00	656.04	07/23/2020	669.70	13.66 D	0.00	Sale
07/23/2020	904.00	2,051.92	07/23/2020	2,094.84	42.92 D	0.00	Sale
07/23/2020	107.00	242.89	07/23/2020	247.95	5.06 D	0.00	Sale
07/23/2020	1,475.00	3,347.99	07/23/2020	3,418.02	70.03 D	0.00	Sale
07/24/2020	7.00	15.73	07/24/2020	15.81	0.08 D	0.00	Sale
07/24/2020	283.00	650.85	Various	638.93	0.00	11.92	Sale
07/24/2020	717.00	1,648.97	07/24/2020	1,618.74	0.00	30.23	Sale
07/24/2020	993.00	2,234.08	Various	2,239.18	5.10 D	0.00	Sale
07/24/2020	1,000.00	2,290.82	Various	2,248.62	0.00	42.20	Sale
07/24/2020	800.00	1,743.86	Various	1,781.92	38.06 D	0.00	Sale

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**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
***NORTHERN DYNASTY MINERALS LTD   CUSIP: 66510M204   Symbol: NAK							
07/24/2020	1,200.00	2,615.80	Various	2,672.95	57.15 D	0.00	Sale
07/24/2020	10.00	21.78	07/24/2020	22.27	0.49 D	0.00	Sale
07/24/2020	1,000.00	2,179.83	Various	2,227.49	47.66 D	0.00	Sale
07/24/2020	1,000.00	2,251.43	07/24/2020	2,210.00	0.00	41.43	Sale
07/24/2020	990.00	2,160.80	Various	2,205.31	44.51 D	0.00	Sale
07/28/2020	100.00	162.98	07/28/2020	157.00	0.00	5.98	Sale
07/28/2020	145.00	236.32	07/28/2020	227.65	0.00	8.67	Sale
07/28/2020	200.00	325.97	07/28/2020	314.00	0.00	11.97	Sale
07/28/2020	500.00	819.92	Various	787.59	0.00	32.33	Sale
07/28/2020	500.00	814.92	07/28/2020	785.00	0.00	29.92	Sale
07/28/2020	600.00	984.50	Various	944.59	0.00	39.91	Sale
07/28/2020	600.00	977.90	07/28/2020	942.00	0.00	35.90	Sale
07/28/2020	900.00	1,475.85	07/28/2020	1,413.00	0.00	62.85	Sale
07/28/2020	1,455.00	2,371.42	07/28/2020	2,284.35	0.00	87.07	Sale
07/29/2020	5,000.00	8,449.21	Various	8,696.61	247.40 D	0.00	Sale
07/29/2020	100.00	163.48	07/29/2020	165.00	1.52 D	0.00	Sale
07/29/2020	1,800.00	2,933.90	Various	2,971.52	37.62 D	0.00	Sale
07/29/2020	100.00	163.48	07/29/2020	165.00	1.52 D	0.00	Sale
07/29/2020	3,000.00	4,892.53	07/29/2020	4,950.00	57.47 D	0.00	Sale
08/28/2020	5.00	4.72	08/28/2020	5.32	0.00	-0.60	Sale
08/28/2020	25.00	23.68	Various	26.62	0.00	-2.94	Sale
08/28/2020	100.00	94.78	Various	104.96	0.00	-10.18	Sale
08/28/2020	104.00	98.57	Various	110.23	0.00	-11.66	Sale
08/28/2020	71.00	67.28	Various	74.53	0.00	-7.25	Sale
08/28/2020	200.00	189.57	Various	209.93	0.00	-20.36	Sale
08/28/2020	300.00	284.35	Various	314.89	0.00	-30.54	Sale
08/28/2020	336.00	318.47	Various	350.45	0.00	-31.98	Sale

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APEX CLEARING

## Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B\*

OMB No. 1545-0715

2TZ05705

(continued)

01/24/2021

**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
***NORTHERN DYNASTY MINERALS LTD   CUSIP: 66510M204   Symbol: NAK							
08/28/2020	384.00	363.97	Various	403.04	0.00	-39.07	Sale
08/28/2020	500.00	473.92	Various	524.08	0.00	-50.16	Sale
08/28/2020	500.00	473.92	Various	524.80	0.00	-50.88	Sale
08/28/2020	2,475.00	2,345.95	Various	2,595.55	0.00	-249.60	Sale
<b>Security Totals:</b>		<b>54,135.06</b>		<b>54,880.83</b>		<b>-64.84</b>	
***ALTERITY THERAPEUTICS LIMITED AMERICAN DEPOSITARY SHARES   CUSIP: 02155X106   Symbol: ATHE							
08/04/2020	1,000.00	4,259.78	Various	4,300.00	0.00	-40.22	Sale
11/16/2020	1,000.00	2,589.82	Various	2,610.00	20.18 D	0.00	Sale
11/16/2020	100.00	286.98	Various	294.01	0.00	-7.03	Sale
11/16/2020	200.00	573.96	Various	588.04	0.00	-14.08	Sale
11/16/2020	200.00	573.96	11/16/2020	588.04	0.00	-14.08	Sale
11/16/2020	161.00	462.03	Various	473.37	0.00	-11.34	Sale
11/16/2020	339.00	972.93	11/16/2020	996.72	0.00	-23.79	Sale
<b>Security Totals:</b>		<b>9,719.46</b>		<b>9,850.18</b>		<b>-110.54</b>	
***APTORUM GROUP LIMITED CLASS A ORDINARY SHARES   CUSIP: G6096M106   Symbol: APM							
09/29/2020	104.00	1,029.56	09/29/2020	975.50	0.00	54.06	Sale
09/29/2020	100.00	989.96	Various	937.99	0.00	51.97	Sale
09/29/2020	413.00	4,088.55	Various	3,873.86	0.00	214.69	Sale
09/29/2020	383.00	3,791.56	09/29/2020	3,592.47	0.00	199.09	Sale
09/29/2020	1,000.00	8,749.68	Various	8,879.50	129.82 D	0.00	Sale
<b>Security Totals:</b>		<b>18,649.31</b>		<b>18,259.32</b>		<b>519.81</b>	
CBAK ENERGY TECHNOLOGY INC COMMON STOCK   CUSIP: 14986C102   Symbol: CBAT							
07/30/2020	42.00	43.24	07/30/2020	46.63	3.39 D	0.00	Sale
07/30/2020	61.00	74.40	07/30/2020	76.25	1.85 D	0.00	Sale
07/30/2020	100.00	121.98	Various	126.85	4.87 D	0.00	Sale
07/30/2020	139.00	169.55	Various	174.93	5.38 D	0.00	Sale
07/30/2020	150.00	154.49	Various	163.76	9.27 D	0.00	Sale
07/30/2020	284.00	292.51	Various	306.71	14.00 D	-0.20	Sale

**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

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

1c - DateSold 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
CBAK ENERGY TECHNOLOGY INC COMMON STOCK   CUSIP: 14986C102   Symbol: CBAT							
07/30/2020	300.00	308.98	Various	323.77	0.00	-14.79	Sale
07/30/2020	400.00	411.98	07/30/2020	431.71	0.00	-19.73	Sale
07/30/2020	500.00	609.92	07/30/2020	625.00	15.08 D	0.00	Sale
07/30/2020	500.00	609.92	07/30/2020	625.00	15.08 D	0.00	Sale
07/30/2020	700.00	853.90	07/30/2020	875.00	21.1 D	0.00	Sale
07/30/2020	1,000.00	1,029.95	Various	1,087.78	0.00	-57.83	Sale
07/30/2020	2,824.00	2,908.59	Various	2,972.46	0.00	-63.87	Sale
09/15/2020	100.00	103.98	09/15/2020	110.00	6.02 D	0.00	Sale
09/15/2020	208.00	214.21	Various	226.76	12.55 D	0.00	Sale
09/15/2020	470.00	488.72	09/15/2020	517.00	28.28 D	0.00	Sale
09/15/2020	636.00	661.34	09/15/2020	699.60	38.26 D	0.00	Sale
09/15/2020	794.00	817.71	09/15/2020	873.40	55.69 D	0.00	Sale
09/15/2020	800.00	823.88	Various	872.13	48.25 D	0.00	Sale
09/15/2020	992.00	1,021.61	Various	1,089.36	67.75 D	0.00	Sale
09/24/2020	5.00	6.48	09/24/2020	7.03	0.55 D	0.00	Sale
09/24/2020	12.00	18.34	Various	22.06	3.72 D	0.00	Sale
09/24/2020	22.00	33.64	Various	39.10	5.46 D	0.00	Sale
09/24/2020	28.00	42.82	Various	51.44	8.62 D	0.00	Sale
09/24/2020	30.00	45.88	09/24/2020	55.11	9.23 D	0.00	Sale
09/24/2020	86.00	131.56	Various	152.83	21.27 D	0.00	Sale
09/24/2020	100.00	151.98	09/24/2020	135.96	0.00	16.02	Sale
09/24/2020	100.00	155.98	09/24/2020	136.96	0.00	19.02	Sale
09/24/2020	100.00	153.98	09/24/2020	136.97	0.00	17.01	Sale
09/24/2020	100.00	162.98	09/24/2020	136.95	0.00	26.03	Sale
09/24/2020	100.00	162.98	09/24/2020	136.95	0.00	26.03	Sale
09/24/2020	100.00	150.98	Various	178.17	27.19 D	0.00	Sale
09/24/2020	100.00	150.98	Various	178.11	27.13 D	0.00	Sale

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**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)

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1c - DateSold 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
CBAK ENERGY TECHNOLOGY INC COMMON STOCK   CUSIP: 14986C102   Symbol: CBAT							
09/24/2020	100.00	151.98	Various	178.13	26.15 D	0.00	Sale
09/24/2020	100.00	150.98	Various	185.29	34.31 D	0.00	Sale
09/24/2020	100.00	150.98	Various	186.14	35.16 D	0.00	Sale
09/24/2020	100.00	151.98	Various	185.52	33.54 D	0.00	Sale
09/24/2020	232.00	354.92	Various	410.49	55.57 D	0.00	Sale
09/24/2020	360.00	550.74	Various	634.11	83.37 D	0.00	Sale
09/24/2020	495.00	643.42	Various	697.63	54.21 D	0.00	Sale
09/24/2020	500.00	649.92	Various	705.16	55.24 D	0.00	Sale
09/24/2020	500.00	630.42	Various	703.10	72.68 D	0.00	Sale
09/24/2020	500.00	630.42	09/24/2020	705.12	74.7 D	0.00	Sale
09/24/2020	500.00	744.92	Various	759.91	14.99 D	0.00	Sale
09/24/2020	630.00	963.80	Various	1,150.58	186.78 D	0.00	Sale
09/24/2020	1,000.00	1,299.85	Various	1,418.23	118.38 D	0.00	Sale
09/24/2020	1,000.00	1,299.85	Various	1,460.00	160.15 D	0.00	Sale
09/24/2020	1,000.00	1,439.84	Various	1,477.38	37.54 D	0.00	Sale
09/24/2020	1,000.00	1,539.84	Various	1,610.62	70.78 D	0.00	Sale
09/24/2020	1,000.00	1,549.84	Various	1,590.46	40.62 D	0.00	Sale
09/24/2020	100.00	152.48	Various	135.96	0.00	16.52	Sale
09/24/2020	100.00	151.98	Various	136.92	0.00	15.06	Sale
09/24/2020	100.00	157.99	09/24/2020	136.95	0.00	21.04	Sale
09/24/2020	100.00	161.98	09/24/2020	136.96	0.00	25.02	Sale
09/24/2020	100.00	164.48	09/24/2020	136.96	0.00	27.52	Sale
09/24/2020	100.00	146.98	Various	165.66	18.68 D	0.00	Sale
09/24/2020	300.00	377.95	Various	434.71	56.76 D	0.00	Sale
09/24/2020	500.00	754.92	Various	760.39	5.47 D	0.00	Sale
09/24/2020	700.00	881.90	Various	1,015.44	133.54 D	0.00	Sale
09/24/2020	900.00	1,322.86	Various	1,485.12	162.26 D	0.00	Sale

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APEX CLEARING

Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B\*

OMB No. 1545-0715

2TZ05705

(continued)

01/24/2021

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

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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
CBAK ENERGY TECHNOLOGY INC COMMON STOCK   CUSIP: 14986C102   Symbol: CBAT							
10/02/2020	1,000.00	3,059.81	Various	3,541.36	481.55 D	0.00	Sale
10/05/2020	15.00	47.98	Various	55.07	7.09 D	0.00	Sale
10/05/2020	50.00	159.98	Various	183.52	23.54 D	0.00	Sale
10/05/2020	100.00	352.98	10/05/2020	338.52	0.00	14.46	Sale
10/05/2020	183.00	591.05	Various	671.71	80.66 D	0.00	Sale
10/05/2020	335.00	1,071.93	Various	1,242.87	170.94 D	0.00	Sale
10/05/2020	400.00	1,411.91	10/05/2020	1,354.09	0.00	57.82	Sale
10/05/2020	500.00	2,164.89	Various	2,358.15	193.26 D	0.00	Sale
10/05/2020	500.00	2,164.89	Various	2,258.96	94.07 D	0.00	Sale
10/05/2020	817.00	2,630.58	Various	2,979.84	349.26 D	0.00	Sale
10/05/2020	1,600.00	5,119.69	Various	5,647.33	527.64 D	0.00	Sale
10/05/2020	500.00	1,769.00	Various	1,904.41	135.41 D	0.00	Sale
10/05/2020	500.00	1,757.40	Various	1,936.10	178.70 D	0.00	Sale
10/05/2020	500.00	1,766.25	Various	1,783.24	31.72 D	14.73	Sale
10/05/2020	1,000.00	3,219.80	Various	3,659.92	440.12 D	0.00	Sale
10/16/2020	2,000.00	7,379.59	Various	7,837.33	0.00	-457.74	Sale
11/17/2020	40.00	363.98	11/17/2020	348.00	0.00	15.98	Sale
11/17/2020	40.00	363.98	Various	347.72	0.00	16.26	Sale
11/17/2020	153.00	1,392.24	Various	1,329.04	0.00	63.20	Sale
11/17/2020	250.00	2,292.41	Various	2,189.85	0.00	102.56	Sale
11/17/2020	267.00	2,429.61	Various	2,322.23	0.00	107.38	Sale
11/17/2020	250.00	2,299.91	Various	2,189.85	0.00	110.06	Sale
11/18/2020	250.00	2,054.92	Various	2,017.50	0.00	37.42	Sale
11/18/2020	250.00	2,052.42	Various	2,019.44	0.00	32.98	Sale
11/18/2020	100.00	822.97	11/18/2020	807.00	0.00	15.97	Sale
11/18/2020	150.00	1,234.45	Various	1,210.50	0.00	23.95	Sale
11/18/2020	250.00	2,049.92	11/18/2020	2,020.00	0.00	29.92	Sale

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APEX CLEARING

Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B\*

OMB No. 1545-0715

2TZ05705

(continued)

01/24/2021

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)

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CBAK ENERGY TECHNOLOGY INC COMMON STOCK   CUSIP: 14986C102   Symbol: CBAT							
11/19/2020	3,000.00	23,609.11	Various	23,836.13	227.02 D	0.00	Sale
11/19/2020	130.00	1,026.95	11/19/2020	1,028.30	1.35 D	0.00	Sale
11/19/2020	200.00	1,549.96	11/19/2020	1,547.70	0.00	2.26	Sale
11/19/2020	870.00	6,873.61	Various	6,882.84	9.23 D	0.00	Sale
11/19/2020	1,000.00	7,750.70	Various	7,738.80	0.00	11.90	Sale
11/19/2020	800.00	6,200.56	11/19/2020	6,192.00	0.00	8.56	Sale
11/20/2020	250.00	2,174.92	Various	2,156.19	0.00	18.73	Sale
11/20/2020	250.00	2,174.92	Various	2,154.83	0.00	20.09	Sale
11/27/2020	250.00	2,059.92	Various	2,119.99	0.00	-60.07	Sale
11/27/2020	500.00	4,149.84	Various	4,350.55	0.00	-200.71	Sale
11/27/2020	500.00	4,109.84	Various	4,139.49	0.00	-29.65	Sale
11/27/2020	1.00	8.28	11/27/2020	8.42	0.14 D	0.00	Sale
11/27/2020	1.00	8.28	11/27/2020	8.42	0.14 D	0.00	Sale
11/27/2020	1.00	8.07	11/27/2020	8.25	0.00	-0.18	Sale
11/27/2020	49.00	396.39	Various	404.02	0.00	-7.63	Sale
11/27/2020	50.00	404.48	11/27/2020	412.26	0.00	-7.78	Sale
11/27/2020	81.00	668.22	Various	686.88	0.00	-18.66	Sale
11/27/2020	169.00	1,394.19	Various	1,433.13	0.00	-38.94	Sale
11/27/2020	200.00	1,617.94	Various	1,652.31	0.00	-34.37	Sale
11/27/2020	200.00	1,617.94	Various	1,662.06	0.00	-44.12	Sale
11/27/2020	249.00	2,066.77	Various	2,096.44	29.67 D	0.00	Sale
11/27/2020	250.00	2,067.70	11/27/2020	2,117.58	49.88 D	0.00	Sale
11/27/2020	250.00	2,067.70	Various	2,118.37	50.67 D	0.00	Sale
11/27/2020	249.00	2,066.74	Various	2,100.23	33.49 D	0.00	Sale
11/27/2020	250.00	2,022.42	Various	2,073.72	0.00	-51.30	Sale
11/27/2020	250.00	2,023.90	Various	2,079.82	0.00	-55.92	Sale
<b>Security Totals:</b>		<b>162,410.55</b>		<b>167,756.96</b>		<b>-249.99</b>	

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APEX CLEARING

## Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B\*

OMB No. 1545-0715

2TZ05705

(continued)

01/24/2021

**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>***KAZIA THERAPEUTICS LTD AMERICAN DEPOSITARY SHARES   CUSIP: 48669G105   Symbol: KZIA</b>							
08/07/2020	80.00	609.57	Various	620.00	10.43 D	0.00	Sale
08/07/2020	200.00	1,523.94	Various	1,560.43	36.49 D	0.00	Sale
08/07/2020	200.00	1,523.94	Various	1,576.07	52.13 D	0.00	Sale
08/07/2020	220.00	1,676.33	Various	1,757.13	2.61 D	-78.19	Sale
08/07/2020	300.00	2,285.90	Various	2,338.03	0.00	-52.13	Sale
<b>Security Totals:</b>		<b>7,619.68</b>		<b>7,851.66</b>		<b>-130.32</b>	
<b>SOLID BIOSCIENCES INC COMMON STOCK   CUSIP: 83422E105   Symbol: SLDB</b>							
10/05/2020	200.00	942.15	10/05/2020	950.00	7.85 D	0.00	Sale
10/05/2020	300.00	1,395.04	Various	1,451.85	56.81 D	0.00	Sale
10/05/2020	300.00	1,395.40	10/05/2020	1,451.84	56.44 D	0.00	Sale
10/05/2020	300.00	1,395.22	10/05/2020	1,451.84	56.62 D	0.00	Sale
10/05/2020	500.00	2,350.38	Various	2,465.27	114.89 D	0.00	Sale
10/05/2020	300.00	1,395.34	Various	1,442.18	46.84 D	0.00	Sale
10/05/2020	500.00	2,350.38	Various	2,493.85	143.47 D	0.00	Sale
10/05/2020	800.00	3,720.61	Various	3,910.97	190.36 D	0.00	Sale
10/05/2020	800.00	3,768.61	10/05/2020	3,800.00	31.39 D	0.00	Sale
10/05/2020	1,000.00	4,730.27	Various	4,950.83	220.56 D	0.00	Sale
10/05/2020	1,152.00	5,126.14	Various	5,294.76	168.62 D	0.00	Sale
10/06/2020	100.00	483.97	Various	521.74	0.00	-37.77	Sale
10/06/2020	100.00	483.97	Various	523.21	0.00	-39.24	Sale
10/06/2020	100.00	482.97	Various	524.74	0.00	-41.77	Sale
10/06/2020	100.00	482.97	Various	520.93	0.00	-37.96	Sale
10/06/2020	100.00	482.97	Various	518.16	0.00	-35.19	Sale
10/06/2020	200.00	965.95	Various	1,039.54	0.00	-73.59	Sale
10/06/2020	284.00	1,374.49	Various	1,495.95	0.00	-121.46	Sale
10/06/2020	1,016.00	4,896.89	Various	5,072.16	0.00	-175.27	Sale
10/06/2020	2,000.00	9,499.55	Various	9,965.98	466.43 D	0.00	Sale
12/15/2020	86.00	555.10	Various	555.56	0.12 D	-0.34	Sale

APEX CLEARING

## Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B\*

OMB No. 1545-0715

2TZ05705

(continued)

01/24/2021

**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>
SOLID BIOSCIENCES INC COMMON STOCK   CUSIP: 83422E105   Symbol: SLDB							
12/15/2020	100.00	657.97	12/15/2020	636.00	0.00	21.97	Sale
12/15/2020	100.00	645.97	12/15/2020	646.00	0.03 D	0.00	Sale
12/15/2020	237.00	1,561.76	Various	1,530.52	0.00	31.24	Sale
12/15/2020	400.00	2,631.89	Various	2,544.00	0.00	87.89	Sale
12/15/2020	500.00	3,279.86	12/15/2020	3,160.00	0.00	119.86	Sale
12/15/2020	500.00	3,227.36	12/15/2020	3,200.00	0.00	27.36	Sale
12/15/2020	1,814.00	11,727.03	Various	11,798.59	75.28 D	3.72	Sale
12/15/2020	100.00	657.97	12/15/2020	636.00	0.00	21.97	Sale
12/15/2020	400.00	2,625.85	Various	2,544.00	0.00	81.85	Sale
12/15/2020	1,000.00	6,750.23	Various	6,573.62	0.00	176.61	Sale
12/16/2020	7.00	40.09	Various	41.97	1.34 D	-0.54	Sale
12/16/2020	12.00	68.62	12/16/2020	71.94	0.00	-3.32	Sale
12/16/2020	100.00	571.97	Various	593.57	0.00	-21.60	Sale
12/16/2020	100.00	571.97	12/16/2020	592.00	0.00	-20.03	Sale
12/16/2020	565.00	3,220.35	12/16/2020	3,344.80	0.00	-124.45	Sale
12/16/2020	16.00	91.66	12/16/2020	94.72	0.00	-3.06	Sale
12/16/2020	100.00	571.97	12/16/2020	592.00	0.00	-20.03	Sale
12/16/2020	100.00	571.97	12/16/2020	592.00	0.00	-20.03	Sale
<b>Security Totals:</b>		<b>87,752.86</b>		<b>89,593.09</b>		<b>-203.18</b>	
***MEDIGUS LTD AMERICAN DEPOSITARY SHARES SPONSORED   CUSIP: 58471G300   Symbol: MDGS							
05/01/2020	184.00	739.64	Various	772.60	32.96 D	0.00	Sale
05/01/2020	200.00	809.96	Various	847.00	37.04 D	0.00	Sale
05/01/2020	600.00	2,417.87	Various	2,578.50	2.72 D	-157.91	Sale
05/01/2020	16.00	64.46	05/01/2020	69.76	0.00	-5.30	Sale
<b>Security Totals:</b>		<b>4,031.93</b>		<b>4,267.86</b>		<b>-163.21</b>	
TONIX PHARMACEUTICALS HOLDING CORP COMMON STOCK   CUSIP: 890260706   Symbol: TNXP							
02/28/2020	3,000.00	2,999.57	02/26/2020	2,556.00	0.00	443.57	Buy to Cover Short
07/21/2020	156.00	299.17	Various	281.13	0.00	18.04	Sale

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**SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS**

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

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**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
TONIX PHARMACEUTICALS HOLDING CORP COMMON STOCK   CUSIP: 890260706   Symbol: TNXP							
07/21/2020	1,000.00	1,927.83	Various	1,802.01	0.00	125.82	Sale
07/21/2020	1,000.00	1,927.83	Various	1,802.00	0.00	125.83	Sale
07/21/2020	1,000.00	2,379.82	07/21/2020	1,999.70	0.00	380.12	Sale
07/21/2020	1,000.00	2,189.83	07/21/2020	1,999.70	0.00	190.13	Sale
07/21/2020	1,000.00	2,199.83	07/21/2020	2,040.00	0.00	159.83	Sale
07/21/2020	1,000.00	2,201.13	07/21/2020	2,040.00	0.00	161.13	Sale
07/22/2020	2,000.00	2,659.70	07/22/2020	2,780.00	120.3 D	0.00	Sale
07/22/2020	1,000.00	1,399.84	07/22/2020	1,440.31	40.47 D	0.00	Sale
07/22/2020	3,000.00	4,199.54	Various	4,280.77	81.23 D	0.00	Sale
07/22/2020	2,000.00	2,719.69	07/22/2020	2,800.30	80.61 D	0.00	Sale
07/30/2020	20.00	30.38	07/30/2020	30.94	0.00	-0.56	Sale
07/30/2020	50.00	75.98	07/30/2020	77.36	0.00	-1.38	Sale
07/30/2020	100.00	151.98	Various	154.69	0.00	-2.71	Sale
07/30/2020	500.00	759.92	Various	773.47	0.00	-13.55	Sale
07/30/2020	830.00	1,261.47	Various	1,284.04	0.00	-22.57	Sale
07/30/2020	1,500.00	2,279.76	Various	2,293.84	0.00	-14.08	Sale
07/30/2020	3,000.00	4,019.55	Various	4,069.17	53.47 D	3.85	Sale
07/30/2020	3,000.00	3,989.55	Various	4,073.44	83.89 D	0.00	Sale
07/30/2020	3,000.00	3,779.55	Various	3,830.93	61.17 D	9.79	Sale
07/30/2020	5,000.00	6,599.25	Various	6,733.89	114.34 D	-20.30	Sale
<b>Security Totals:</b>		<b>50,051.17</b>		<b>49,143.69</b>		<b>1,542.96</b>	
CURIS INC COMMON STOCK   CUSIP: 231269200   Symbol: CRIS							
12/02/2020	500.00	949.96	12/02/2020	974.94	24.98 D	0.00	Sale
12/02/2020	500.00	949.96	12/02/2020	990.00	40.04 D	0.00	Sale
12/02/2020	500.00	949.96	12/02/2020	964.98	15.02 D	0.00	Sale
12/08/2020	44.00	291.26	12/08/2020	302.50	11.24 D	0.00	Sale
12/08/2020	100.00	662.97	Various	687.70	24.73 D	0.00	Sale
12/08/2020	100.00	662.97	12/08/2020	687.97	25 D	0.00	Sale

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**SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS**

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

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CURIS INC COMMON STOCK   CUSIP: 231269200   Symbol: CRIS							
12/08/2020	100.00	662.97	12/08/2020	687.96	24.99 D	0.00	Sale
12/08/2020	100.00	662.97	12/08/2020	687.97	25 D	0.00	Sale
12/08/2020	56.00	371.26	12/08/2020	385.26	14 D	0.00	Sale
12/08/2020	100.00	669.97	Various	792.98	123.01 D	0.00	Sale
12/08/2020	100.00	669.97	Various	792.99	123.02 D	0.00	Sale
12/08/2020	300.00	2,099.91	Various	2,477.01	377.10 D	0.00	Sale
12/08/2020	100.00	669.97	Various	792.99	123.02 D	0.00	Sale
12/10/2020	5.00	38.73	12/10/2020	44.85	6.12 D	0.00	Sale
12/10/2020	40.00	309.98	Various	358.80	48.82 D	0.00	Sale
12/10/2020	83.00	643.22	Various	744.54	101.32 D	0.00	Sale
12/10/2020	100.00	774.97	Various	888.62	113.65 D	0.00	Sale
12/10/2020	100.00	774.97	Various	867.03	92.06 D	0.00	Sale
12/10/2020	100.00	774.97	Various	894.63	119.66 D	0.00	Sale
12/10/2020	300.00	2,324.90	Various	2,729.30	404.40 D	0.00	Sale
12/10/2020	400.00	3,255.91	Various	3,634.25	0.00	-378.34	Sale
12/10/2020	500.00	3,947.35	12/10/2020	3,864.95	0.00	82.40	Sale
12/10/2020	100.00	774.97	Various	866.06	91.09 D	0.00	Sale
12/10/2020	500.00	3,947.35	12/10/2020	3,864.95	0.00	82.40	Sale
12/10/2020	500.00	3,947.35	Various	4,436.33	488.98 D	0.00	Sale
12/10/2020	1,000.00	7,749.70	Various	8,343.49	610.30 D	16.51	Sale
12/10/2020	500.00	3,874.85	Various	4,460.30	585.45 D	0.00	Sale
12/10/2020	500.00	3,947.35	12/10/2020	3,864.95	0.00	82.40	Sale
12/10/2020	1,600.00	13,023.68	Various	13,108.79	0.00	-85.11	Sale
12/10/2020	500.00	3,945.05	12/10/2020	3,864.95	0.00	80.10	Sale
12/10/2020	672.00	5,194.36	Various	5,762.35	571.38 D	3.39	Sale
12/10/2020	2,000.00	16,260.60	Various	16,488.98	423.84 D	195.46	Sale

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APEX CLEARING

Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B\*

OMB No. 1545-0715

2TZ05705

(continued)

01/24/2021

**SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS**

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

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CURIS INC COMMON STOCK   CUSIP: 231269200   Symbol: CRIS							
12/10/2020	500.00	3,945.05	12/10/2020	3,864.95	0.00	80.10	Sale
<b>Security Totals:</b>		<b>89,729.41</b>		<b>94,178.32</b>		<b>159.31</b>	
TOWN SPORTS INTERNATIONAL HOLDINGS INC COMMON STOCK   CUSIP: 89214A102   Symbol: CLUB							
08/17/2020	100.00	108.98	08/17/2020	97.20	0.00	11.78	Sale
08/17/2020	652.00	710.58	Various	633.54	0.00	77.04	Sale
08/17/2020	100.00	108.98	08/17/2020	97.20	0.00	11.78	Sale
08/17/2020	2,500.00	2,624.64	08/17/2020	2,430.00	0.00	194.64	Sale
08/17/2020	1,648.00	1,796.08	08/17/2020	1,601.85	0.00	194.23	Sale
<b>Security Totals:</b>		<b>5,349.26</b>		<b>4,859.79</b>		<b>489.47</b>	
GLYCOMIMETICS INC COM   CUSIP: 38000Q102   Symbol: GLYC							
06/12/2020	1,000.00	2,969.81	06/12/2020	3,050.00	0.00	-80.19	Sale
BIOCRYST PHARMACEUTICALS INC   CUSIP: 09058V103   Symbol: BCRX							
05/01/2020	2,000.00	7,019.60	05/01/2020	7,119.80	25.05 D	-75.15	Sale
05/12/2020	100.00	595.98	05/12/2020	580.51	0.00	15.47	Sale
05/12/2020	400.00	2,384.29	05/12/2020	2,322.04	0.00	62.25	Sale
<b>Security Totals:</b>		<b>9,999.87</b>		<b>10,022.35</b>		<b>2.57</b>	
CELLDEX THERAPEUTICS INC COM NEW   CUSIP: 15117B202   Symbol: CLDX							
06/19/2020	300.00	3,644.87	06/19/2020	3,501.00	0.00	143.87	Sale
06/19/2020	200.00	2,445.12	06/19/2020	2,334.00	0.00	111.12	Sale
06/19/2020	300.00	3,471.60	Various	3,462.00	0.00	9.60	Sale
09/28/2020	500.00	7,529.77	09/28/2020	7,545.00	0.00	-15.23	Sale
09/28/2020	500.00	7,549.97	Various	7,542.00	0.00	7.97	Sale
<b>Security Totals:</b>		<b>24,641.33</b>		<b>24,384.00</b>		<b>257.33</b>	
DOLPHIN ENTERTAINMENT INC COMMON STOCK   CUSIP: 25686H100   Symbol: DLPN							
06/04/2020	50.00	96.98	06/04/2020	105.02	8.04 D	0.00	Sale
06/04/2020	43.00	83.40	06/04/2020	90.32	6.92 D	0.00	Sale
06/04/2020	150.00	290.97	Various	315.05	24.08 D	0.00	Sale
06/04/2020	400.00	775.93	Various	800.76	24.83 D	0.00	Sale

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**SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS**

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DOLPHIN ENTERTAINMENT INC COMMON STOCK   CUSIP: 25686H100   Symbol: DLPN							
06/04/2020	1,000.00	1,939.83	Various	2,039.53	99.70 D	0.00	Sale
06/04/2020	157.00	304.55	06/04/2020	329.75	25.2 D	0.00	Sale
06/04/2020	200.00	387.97	06/04/2020	420.06	32.09 D	0.00	Sale
06/04/2020	2,000.00	3,639.67	Various	3,999.29	0.00	-359.62	Sale
06/08/2020	1,000.00	1,649.85	Various	1,656.71	9.86 D	3.00	Buy to Cover Short
06/08/2020	500.00	814.50	Various	725.00	0.00	89.50	Buy to Cover Short
06/08/2020	100.00	146.98	06/04/2020	145.97	0.00	1.01	Buy to Cover Short
06/08/2020	100.00	146.98	06/04/2020	145.97	0.00	1.01	Buy to Cover Short
06/08/2020	100.00	146.98	06/04/2020	145.98	0.00	1.00	Buy to Cover Short
06/08/2020	100.00	146.98	06/04/2020	145.97	0.00	1.01	Buy to Cover Short
06/08/2020	100.00	146.98	06/04/2020	144.00	0.00	2.98	Buy to Cover Short
06/08/2020	100.00	146.98	06/04/2020	144.00	0.00	2.98	Buy to Cover Short
06/08/2020	100.00	146.98	06/04/2020	144.00	0.00	2.98	Buy to Cover Short
06/08/2020	100.00	146.98	06/04/2020	144.00	0.00	2.98	Buy to Cover Short
06/08/2020	100.00	146.98	06/04/2020	144.00	0.00	2.99	Buy to Cover Short
06/08/2020	100.00	146.98	06/04/2020	145.97	0.00	1.01	Buy to Cover Short
06/08/2020	100.00	146.98	06/04/2020	144.00	0.00	2.98	Buy to Cover Short
06/08/2020	100.00	146.98	06/04/2020	144.00	0.00	2.98	Buy to Cover Short
06/08/2020	100.00	146.99	06/04/2020	144.00	0.00	2.99	Buy to Cover Short
06/08/2020	100.00	146.98	06/04/2020	144.00	0.00	2.98	Buy to Cover Short
06/08/2020	100.00	146.98	06/04/2020	144.00	0.00	2.98	Buy to Cover Short
06/08/2020	100.00	146.98	06/04/2020	144.00	0.00	2.98	Buy to Cover Short
06/08/2020	100.00	146.99	06/04/2020	144.00	0.00	2.99	Buy to Cover Short
06/08/2020	400.00	629.94	Various	660.70	30.76 D	0.00	Buy to Cover Short
06/08/2020	770.00	1,251.83	06/04/2020	1,258.95	7.12 D	0.00	Buy to Cover Short
06/08/2020	400.00	587.94	06/04/2020	580.00	0.00	7.94	Buy to Cover Short
06/08/2020	800.00	1,259.08	Various	1,317.27	58.19 D	0.00	Buy to Cover Short
06/08/2020	1,000.00	1,699.83	Various	1,800.00	100.17 D	0.00	Buy to Cover Short

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APEX CLEARING

Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B\*

OMB No. 1545-0715

2TZ05705

(continued)

01/24/2021

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
DOLPHIN ENTERTAINMENT INC COMMON STOCK   CUSIP: 25686H100   Symbol: DLPN							
06/08/2020	1,000.00	1,649.84	Various	1,531.51	0.00	118.33	Buy to Cover Short
06/08/2020	1,000.00	1,649.84	06/04/2020	1,517.30	0.00	132.54	Buy to Cover Short
06/08/2020	1,030.00	1,637.08	Various	1,775.30	138.22 D	0.00	Buy to Cover Short
06/08/2020	2,000.00	3,399.68	Various	3,700.17	300.49 D	0.00	Buy to Cover Short
07/13/2020	2,000.00	3,159.69	07/13/2020	3,160.00	0.31 D	0.00	Sale
07/13/2020	2,000.00	3,239.68	07/13/2020	3,300.31	0.00	-60.63	Sale
<b>Security Totals:</b>		<b>32,499.79</b>		<b>33,396.86</b>		<b>-31.09</b>	
***LI AUTO INC AMERICAN DEPOSITARY SHARES   CUSIP: 50202M102   Symbol: LI							
08/27/2020	112.00	2,435.91	08/27/2020	2,464.00	28.09 D	0.00	Sale
08/27/2020	20.00	435.98	08/27/2020	440.00	4.02 D	0.00	Sale
08/27/2020	368.00	8,022.18	08/27/2020	8,096.00	73.82 D	0.00	Sale
08/31/2020	2,000.00	36,598.95	Various	36,919.37	320.42 D	0.00	Sale
09/01/2020	500.00	8,549.75	09/01/2020	8,385.26	0.00	164.49	Sale
09/01/2020	500.00	8,539.75	Various	8,494.63	0.00	45.12	Sale
09/01/2020	500.00	8,714.74	09/01/2020	8,405.27	0.00	309.47	Sale
09/01/2020	1,000.00	18,199.47	Various	18,290.00	90.53 D	0.00	Sale
09/01/2020	500.00	8,631.74	09/01/2020	8,405.26	0.00	226.48	Sale
09/02/2020	66.00	1,151.66	09/02/2020	1,153.09	0.00	-1.43	Sale
09/02/2020	100.00	1,744.95	Various	1,747.10	0.00	-2.15	Sale
09/02/2020	136.00	2,373.12	Various	2,376.06	0.00	-2.94	Sale
09/02/2020	200.00	3,489.90	Various	3,494.20	0.00	-4.30	Sale
09/02/2020	2,000.00	34,498.99	Various	34,810.53	201.04 D	-110.50	Sale
09/02/2020	498.00	8,689.84	Various	8,700.59	0.00	-10.75	Sale
11/13/2020	200.00	7,939.80	11/13/2020	8,181.57	241.77 D	0.00	Sale
11/13/2020	250.00	9,672.25	Various	10,291.97	619.72 D	0.00	Sale
11/13/2020	500.00	19,449.51	Various	19,975.00	525.49 D	0.00	Sale
11/13/2020	500.00	19,139.51	Various	20,113.44	973.93 D	0.00	Sale
11/13/2020	500.00	19,444.51	Various	20,421.88	977.37 D	0.00	Sale

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APEX CLEARING

## Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B\*

OMB No. 1545-0715

2TZ05705

(continued)

01/24/2021

**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>***LI AUTO INC AMERICAN DEPOSITARY SHARES   CUSIP: 50202M102   Symbol: LI</b>							
11/13/2020	500.00	19,281.01	Various	20,392.37	0.00	-1,111.36	Sale
<b>Security Totals:</b>		<b>247,003.52</b>		<b>251,557.59</b>		<b>-497.87</b>	
<b>ONCTERNAL THERAPEUTICS INC COMMON STOCK   CUSIP: 68236P107   Symbol: ONCT</b>							
11/10/2020	500.00	2,719.87	11/10/2020	2,755.00	35.13 D	0.00	Sale
11/10/2020	500.00	2,720.37	11/10/2020	2,790.13	69.76 D	0.00	Sale
12/07/2020	250.00	1,157.44	12/07/2020	1,072.50	0.00	84.94	Sale
12/07/2020	250.00	1,112.44	12/07/2020	1,072.50	0.00	39.94	Sale
12/07/2020	500.00	2,114.89	12/07/2020	2,214.76	99.87 D	0.00	Sale
12/07/2020	500.00	2,194.89	12/07/2020	2,219.87	24.98 D	0.00	Sale
12/08/2020	500.00	2,249.89	Various	2,174.98	0.00	74.91	Sale
<b>Security Totals:</b>		<b>14,269.79</b>		<b>14,299.74</b>		<b>199.79</b>	
<b>AETHLON MEDICAL INC COMMON STOCK   CUSIP: 00808Y307   Symbol: AEMD</b>							
10/13/2020	50.00	111.98	10/13/2020	104.50	0.00	7.48	Sale
10/13/2020	50.00	111.98	Various	104.50	0.00	7.48	Sale
10/13/2020	93.00	208.30	Various	194.37	0.00	13.93	Sale
10/13/2020	96.00	215.98	Various	200.64	0.00	15.34	Sale
10/13/2020	100.00	224.98	10/13/2020	209.00	0.00	15.98	Sale
10/13/2020	100.00	224.98	10/13/2020	209.00	0.00	15.98	Sale
10/13/2020	200.00	449.97	Various	418.00	0.00	31.97	Sale
10/13/2020	200.00	449.97	Various	418.00	0.00	31.97	Sale
10/13/2020	204.00	456.92	Various	426.36	0.00	30.56	Sale
10/13/2020	407.00	911.60	Various	850.63	0.00	60.97	Sale
10/13/2020	500.00	1,129.91	10/13/2020	1,045.00	0.00	84.91	Sale
<b>Security Totals:</b>		<b>4,496.57</b>		<b>4,180.00</b>		<b>316.57</b>	
<b>PALANTIR TECHNOLOGIES INC CLASS A COMMON STOCK   CUSIP: 69608A108   Symbol: PLTR</b>							
11/06/2020	39.00	547.53	11/06/2020	551.44	3.91 D	0.00	Sale
11/06/2020	100.00	1,404.95	11/06/2020	1,413.95	9 D	0.00	Sale
11/06/2020	100.00	1,402.95	11/06/2020	1,413.95	11 D	0.00	Sale

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APEX CLEARING

Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B\*

OMB No. 1545-0715

2TZ05705

(continued)

01/24/2021

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
PALANTIR TECHNOLOGIES INC CLASS A COMMON STOCK   CUSIP: 69608A108   Symbol: PLTR							
11/06/2020	100.00	1,404.95	11/06/2020	1,413.94	8.99 D	0.00	Sale
11/06/2020	100.00	1,402.95	11/06/2020	1,413.95	11 D	0.00	Sale
11/06/2020	100.00	1,404.95	11/06/2020	1,413.94	8.99 D	0.00	Sale
11/06/2020	61.00	856.41	11/06/2020	862.51	6.1 D	0.00	Sale
11/06/2020	100.00	1,403.95	11/06/2020	1,413.95	10 D	0.00	Sale
11/06/2020	100.00	1,447.95	11/06/2020	1,403.00	0.00	44.95	Sale
11/06/2020	100.00	1,444.95	11/06/2020	1,403.00	0.00	41.95	Sale
11/06/2020	100.00	1,437.95	11/06/2020	1,403.00	0.00	34.95	Sale
11/06/2020	100.00	1,402.95	11/06/2020	1,413.94	10.99 D	0.00	Sale
11/06/2020	200.00	2,807.91	11/06/2020	2,827.89	19.98 D	0.00	Sale
11/06/2020	250.00	3,446.14	11/06/2020	3,467.70	21.56 D	0.00	Sale
11/06/2020	100.00	1,437.95	11/06/2020	1,403.00	0.00	34.95	Sale
11/06/2020	250.00	3,432.39	Various	3,477.50	45.11 D	0.00	Sale
11/06/2020	250.00	3,432.39	11/06/2020	3,467.69	35.3 D	0.00	Sale
11/06/2020	400.00	5,615.82	Various	5,676.15	60.33 D	0.00	Sale
11/06/2020	250.00	3,432.39	Various	3,477.10	44.71 D	0.00	Sale
11/06/2020	500.00	6,984.78	Various	7,074.38	89.60 D	0.00	Sale
11/06/2020	500.00	6,984.78	Various	7,075.58	90.80 D	0.00	Sale
11/06/2020	600.00	8,429.74	11/06/2020	8,514.21	84.47 D	0.00	Sale
11/06/2020	100.00	1,429.45	11/06/2020	1,403.00	0.00	26.45	Sale
11/06/2020	500.00	6,987.28	Various	7,087.91	100.63 D	0.00	Sale
11/06/2020	1,000.00	13,909.57	11/06/2020	13,970.00	60.43 D	0.00	Sale
11/06/2020	2,000.00	27,960.54	Various	28,130.36	169.82 D	0.00	Sale
11/10/2020	500.00	7,005.68	11/06/2020	7,060.44	54.76 D	0.00	Buy to Cover Short
11/10/2020	500.00	6,919.78	Various	7,027.55	107.77 D	0.00	Buy to Cover Short
11/10/2020	500.00	7,022.29	Various	7,158.91	136.62 D	0.00	Buy to Cover Short
11/10/2020	500.00	6,909.78	11/06/2020	6,900.44	0.00	9.34	Buy to Cover Short

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**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 - DateSold 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
PALANTIR TECHNOLOGIES INC CLASS A COMMON STOCK   CUSIP: 69608A108   Symbol: PLTR							
11/10/2020	500.00	7,019.78	11/06/2020	7,065.22	45.44 D	0.00	Buy to Cover Short
11/10/2020	500.00	7,019.78	11/06/2020	7,065.22	45.44 D	0.00	Buy to Cover Short
11/10/2020	500.00	6,919.78	11/06/2020	6,959.76	39.98 D	0.00	Buy to Cover Short
11/10/2020	500.00	6,909.78	Various	7,041.62	131.84 D	0.00	Buy to Cover Short
11/10/2020	500.00	7,022.27	Various	7,144.82	122.55 D	0.00	Buy to Cover Short
11/10/2020	1,000.00	13,849.57	Various	13,940.47	90.90 D	0.00	Buy to Cover Short
11/10/2020	1,000.00	14,039.56	Various	14,323.29	283.73 D	0.00	Buy to Cover Short
11/10/2020	2,000.00	27,880.91	Various	28,147.56	266.65 D	0.00	Buy to Cover Short
11/10/2020	2,000.00	27,501.30	Various	27,580.00	78.70 D	0.00	Buy to Cover Short
11/10/2020	200.00	2,759.91	11/06/2020	2,787.65	27.74 D	0.00	Buy to Cover Short
11/10/2020	200.00	2,759.92	11/06/2020	2,785.65	25.73 D	0.00	Buy to Cover Short
11/10/2020	600.00	8,279.74	11/06/2020	8,362.93	83.19 D	0.00	Buy to Cover Short
11/10/2020	2,000.00	27,956.59	Various	28,335.32	378.73 D	0.00	Buy to Cover Short
11/10/2020	3.00	41.74	11/10/2020	41.21	0.00	0.53	Sale
11/10/2020	29.00	411.78	Various	401.74	0.00	10.04	Sale
11/10/2020	55.00	765.57	Various	756.01	0.00	9.56	Sale
11/10/2020	71.00	1,008.16	Various	983.34	0.00	24.82	Sale
11/10/2020	70.00	974.36	11/10/2020	961.57	0.00	12.79	Sale
11/10/2020	72.00	1,002.20	11/10/2020	989.05	0.00	13.15	Sale
11/10/2020	100.00	1,409.95	Various	1,379.61	0.00	30.34	Sale
11/10/2020	100.00	1,419.95	Various	1,384.33	0.00	35.62	Sale
11/10/2020	250.00	3,374.89	Various	3,466.47	91.58 D	0.00	Sale
11/10/2020	757.00	9,976.94	Various	10,177.24	200.30 D	0.00	Sale
11/10/2020	100.00	1,420.45	Various	1,378.28	0.00	42.17	Sale
11/10/2020	100.00	1,417.12	11/10/2020	1,372.74	0.00	44.38	Sale
11/10/2020	100.00	1,418.12	11/10/2020	1,372.73	0.00	45.39	Sale
11/10/2020	200.00	2,788.43	Various	2,756.09	0.00	32.34	Sale

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**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

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PALANTIR TECHNOLOGIES INC CLASS A COMMON STOCK   CUSIP: 69608A108   Symbol: PLTR							
11/11/2020	500.00	7,454.77	Various	7,656.12	201.35 D	0.00	Sale
11/11/2020	500.00	7,454.77	Various	7,632.87	178.10 D	0.00	Sale
11/13/2020	13.00	183.29	11/10/2020	182.40	0.00	0.89	Buy to Cover Short
11/13/2020	29.00	408.89	11/10/2020	400.39	0.00	8.50	Buy to Cover Short
11/13/2020	55.00	779.88	11/10/2020	771.10	0.00	8.78	Buy to Cover Short
11/13/2020	71.00	1,001.07	11/10/2020	980.26	0.00	20.81	Buy to Cover Short
11/13/2020	87.00	1,227.16	Various	1,215.99	0.00	11.17	Buy to Cover Short
11/13/2020	98.00	1,389.59	Various	1,373.96	0.00	15.63	Buy to Cover Short
11/13/2020	100.00	1,490.95	11/10/2020	1,459.56	0.00	31.39	Buy to Cover Short
11/13/2020	100.00	1,410.45	Various	1,382.19	0.00	28.26	Buy to Cover Short
11/13/2020	100.00	1,418.96	11/10/2020	1,357.00	0.00	61.96	Buy to Cover Short
11/13/2020	100.00	1,418.95	11/10/2020	1,357.00	0.00	61.95	Buy to Cover Short
11/13/2020	100.00	1,409.95	11/10/2020	1,380.69	0.00	29.26	Buy to Cover Short
11/13/2020	100.00	1,409.95	11/10/2020	1,363.64	0.00	46.31	Buy to Cover Short
11/13/2020	100.00	1,417.95	Various	1,400.50	0.00	17.45	Buy to Cover Short
11/13/2020	200.00	2,820.91	Various	2,816.18	0.00	4.73	Buy to Cover Short
11/13/2020	200.00	2,835.91	11/10/2020	2,790.00	0.00	45.91	Buy to Cover Short
11/13/2020	200.00	2,829.79	Various	2,792.00	0.00	37.79	Buy to Cover Short
11/13/2020	200.00	2,827.91	11/10/2020	2,800.00	0.00	27.91	Buy to Cover Short
11/13/2020	250.00	3,737.37	Various	3,695.86	0.00	41.51	Buy to Cover Short
11/13/2020	250.00	3,746.88	Various	3,705.98	0.00	40.90	Buy to Cover Short
11/13/2020	250.00	3,512.39	11/10/2020	3,534.99	22.6 D	0.00	Buy to Cover Short
11/13/2020	750.00	10,524.04	Various	10,567.60	43.56 D	0.00	Buy to Cover Short
11/13/2020	7.00	98.98	11/10/2020	98.00	0.00	0.98	Buy to Cover Short
11/13/2020	13.00	193.82	11/10/2020	187.39	0.00	6.43	Buy to Cover Short
11/13/2020	87.00	1,297.13	11/10/2020	1,253.76	0.00	43.37	Buy to Cover Short
11/13/2020	93.00	1,314.98	11/10/2020	1,302.00	0.00	12.98	Buy to Cover Short

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**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

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**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
PALANTIR TECHNOLOGIES INC CLASS A COMMON STOCK   CUSIP: 69608A108   Symbol: PLTR							
11/13/2020	100.00	1,490.95	11/10/2020	1,436.07	0.00	54.88	Buy to Cover Short
11/13/2020	100.00	1,490.95	11/10/2020	1,445.19	0.00	45.76	Buy to Cover Short
11/13/2020	100.00	1,490.95	11/10/2020	1,441.56	0.00	49.39	Buy to Cover Short
11/13/2020	100.00	1,414.46	Various	1,358.25	0.00	56.21	Buy to Cover Short
11/13/2020	100.00	1,415.48	Various	1,400.00	0.00	15.48	Buy to Cover Short
11/16/2020	3.00	47.65	11/16/2020	48.19	0.54 D	0.00	Sale
11/16/2020	5.00	79.43	11/16/2020	80.31	0.88 D	0.00	Sale
11/16/2020	8.00	127.10	11/16/2020	128.50	1.4 D	0.00	Sale
11/16/2020	8.00	127.10	Various	128.54	1.44 D	0.00	Sale
11/16/2020	12.00	190.66	11/16/2020	192.75	2.09 D	0.00	Sale
11/16/2020	50.00	794.47	11/16/2020	803.10	8.63 D	0.00	Sale
11/16/2020	64.00	997.72	Various	1,023.43	25.71 D	0.00	Sale
11/16/2020	114.00	1,811.40	Various	1,832.33	20.93 D	0.00	Sale
11/16/2020	250.00	3,947.38	Various	3,991.10	43.72 D	0.00	Sale
11/16/2020	250.00	3,923.63	Various	3,955.99	32.36 D	0.00	Sale
11/16/2020	300.00	4,766.85	Various	4,816.59	49.74 D	0.00	Sale
11/16/2020	936.00	14,563.72	Various	14,983.64	419.92 D	0.00	Sale
11/16/2020	1.00	15.73	11/16/2020	16.14	0.41 D	0.00	Sale
11/16/2020	4.00	62.98	11/16/2020	64.55	1.57 D	0.00	Sale
11/16/2020	4.00	62.98	11/16/2020	64.55	1.57 D	0.00	Sale
11/16/2020	5.00	78.73	11/16/2020	80.68	1.95 D	0.00	Sale
11/16/2020	10.00	157.48	11/16/2020	161.36	3.88 D	0.00	Sale
11/16/2020	10.00	157.48	Various	161.38	3.90 D	0.00	Sale
11/16/2020	10.00	157.48	11/16/2020	161.46	3.98 D	0.00	Sale
11/16/2020	10.00	157.48	11/16/2020	161.46	3.98 D	0.00	Sale
11/16/2020	60.00	944.96	Various	968.78	23.82 D	0.00	Sale
11/16/2020	60.00	944.96	11/16/2020	968.76	23.8 D	0.00	Sale

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**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

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**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
PALANTIR TECHNOLOGIES INC CLASS A COMMON STOCK   CUSIP: 69608A108   Symbol: PLTR							
11/16/2020	100.00	1,573.95	Various	1,610.47	36.52 D	0.00	Sale
11/16/2020	226.00	3,559.39	Various	3,620.38	60.99 D	0.00	Sale
11/18/2020	100.00	1,826.94	Various	1,800.89	0.00	26.05	Sale
11/18/2020	150.00	2,740.41	Various	2,701.42	0.00	38.99	Sale
11/18/2020	250.00	4,542.36	Various	4,529.86	0.00	12.50	Sale
11/18/2020	250.00	4,537.36	Various	4,540.93	16.07 D	12.50	Sale
11/18/2020	500.00	8,972.24	Various	8,981.30	9.83 D	0.77	Sale
11/18/2020	500.00	8,972.24	Various	9,111.37	139.13 D	0.00	Sale
11/18/2020	250.00	4,537.36	Various	4,589.74	52.38 D	0.00	Sale
11/23/2020	500.00	10,057.21	Various	10,184.31	127.10 D	0.00	Sale
11/23/2020	50.00	1,003.09	11/23/2020	1,016.91	13.82 D	0.00	Sale
11/23/2020	100.00	2,006.94	11/23/2020	2,033.81	26.87 D	0.00	Sale
11/23/2020	100.00	2,006.94	Various	2,035.04	28.10 D	0.00	Sale
11/23/2020	250.00	5,017.35	Various	5,085.79	68.44 D	0.00	Sale
11/27/2020	100.00	3,146.92	Various	3,106.31	0.00	40.61	Sale
11/27/2020	100.00	3,172.91	Various	3,125.71	0.00	47.20	Sale
11/27/2020	100.00	3,169.91	Various	3,128.90	0.00	41.01	Sale
11/27/2020	100.00	3,142.92	Various	3,107.94	0.00	34.98	Sale
11/30/2020	100.00	2,550.93	11/30/2020	2,552.13	1.2 D	0.00	Sale
11/30/2020	100.00	2,570.93	Various	2,524.68	0.00	46.25	Sale
11/30/2020	250.00	6,037.33	11/30/2020	6,140.00	102.67 D	0.00	Sale
11/30/2020	250.00	6,039.83	11/30/2020	6,265.17	225.34 D	0.00	Sale
11/30/2020	500.00	13,194.64	Various	13,242.79	48.15 D	0.00	Sale
11/30/2020	500.00	13,149.64	Various	13,298.15	148.51 D	0.00	Sale
11/30/2020	500.00	13,054.65	Various	12,939.31	0.00	115.34	Sale
11/30/2020	500.00	13,599.63	Various	13,675.00	75.37 D	0.00	Sale
11/30/2020	500.00	13,054.65	11/30/2020	12,975.00	0.00	79.65	Sale

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APEX CLEARING

Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B\*

OMB No. 1545-0715

2TZ05705

(continued)

01/24/2021

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)

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

Box 12: Basis Reported to the IRS

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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
PALANTIR TECHNOLOGIES INC CLASS A COMMON STOCK   CUSIP: 69608A108   Symbol: PLTR							
11/30/2020	100.00	2,605.93	Various	2,470.60	0.00	135.33	Sale
11/30/2020	100.00	2,524.93	11/30/2020	2,552.14	27.21 D	0.00	Sale
11/30/2020	100.00	2,594.40	Various	2,484.20	0.00	110.20	Sale
11/30/2020	500.00	13,149.64	Various	13,098.51	9.41 D	60.54	Sale
12/01/2020	1.00	26.28	12/01/2020	26.08	0.00	0.20	Sale
12/01/2020	1.00	26.28	12/01/2020	26.08	0.00	0.20	Sale
12/01/2020	2.00	52.58	12/01/2020	52.16	0.00	0.42	Sale
12/01/2020	14.00	368.18	12/01/2020	365.98	0.00	2.20	Sale
12/01/2020	19.00	499.67	12/01/2020	495.55	0.00	4.12	Sale
12/01/2020	25.00	657.47	Various	652.94	0.00	4.53	Sale
12/01/2020	27.00	710.07	12/01/2020	704.20	0.00	5.87	Sale
12/01/2020	38.00	999.36	12/01/2020	991.48	0.00	7.88	Sale
12/01/2020	39.00	1,025.66	12/01/2020	1,017.17	0.00	8.49	Sale
12/01/2020	44.00	1,157.16	Various	1,150.05	0.00	7.11	Sale
12/01/2020	50.00	1,314.96	12/01/2020	1,304.57	0.00	10.39	Sale
12/01/2020	100.00	2,660.43	Various	2,670.08	9.65 D	0.00	Sale
12/01/2020	100.00	2,659.93	12/01/2020	2,673.07	13.14 D	0.00	Sale
12/01/2020	200.00	5,179.86	Various	5,244.86	65 D	0.00	Sale
12/01/2020	200.00	5,227.86	Various	5,308.91	81.05 D	0.00	Sale
12/01/2020	200.00	5,227.86	Various	5,324.45	96.59 D	0.00	Sale
12/01/2020	200.00	5,227.86	Various	5,298.66	70.80 D	0.00	Sale
12/01/2020	240.00	6,311.83	Various	6,277.43	0.00	34.40	Sale
12/01/2020	500.00	12,954.65	Various	12,930.56	0.00	24.09	Sale
12/01/2020	500.00	13,094.65	Various	13,109.30	18.46 D	3.81	Sale
12/01/2020	500.00	12,954.65	Various	12,909.00	0.00	45.65	Sale
12/01/2020	1,000.00	26,619.29	Various	26,811.62	192.33 D	0.00	Sale
12/01/2020	21.00	558.57	12/01/2020	561.97	3.4 D	0.00	Sale

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APEX CLEARING

Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B\*

OMB No. 1545-0715

2TZ05705

(continued)

01/24/2021

**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)

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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
PALANTIR TECHNOLOGIES INC CLASS A COMMON STOCK   CUSIP: 69608A108   Symbol: PLTR							
12/01/2020	79.00	2,101.34	12/01/2020	2,114.10	12.76 D	0.00	Sale
12/01/2020	100.00	2,659.93	Various	2,676.08	16.15 D	0.00	Sale
12/01/2020	100.00	2,659.93	12/01/2020	2,675.07	15.14 D	0.00	Sale
12/01/2020	200.00	5,179.86	Various	5,239.15	59.29 D	0.00	Sale
12/01/2020	500.00	13,039.65	12/01/2020	13,040.00	0.35 D	0.00	Sale
12/02/2020	300.00	6,839.80	12/02/2020	6,924.21	28.14 D	-56.27	Sale
12/02/2020	300.00	6,785.81	Various	6,826.28	0.00	-40.47	Sale
<b>Security Totals:</b>		<b>756,991.50</b>		<b>760,942.21</b>		<b>2,184.85</b>	
EMERSON RADIO CORP NEW   CUSIP: 291087203   Symbol: MSN							
10/16/2020	1.00	0.94	10/16/2020	1.04	0.1 D	0.00	Sale
10/16/2020	100.00	96.68	10/16/2020	109.32	0.00	-12.64	Sale
10/16/2020	464.00	435.15	Various	493.31	0.00	-58.16	Sale
10/16/2020	50.00	48.33	10/16/2020	54.66	0.00	-6.33	Sale
10/16/2020	385.00	372.24	Various	413.63	0.00	-41.39	Sale
10/16/2020	1,000.00	966.85	Various	1,018.84	51.94 D	-0.05	Sale
<b>Security Totals:</b>		<b>1,920.19</b>		<b>2,090.80</b>		<b>-118.57</b>	
SONOMA PHARMACEUTICALS INC COMMON STOCK   CUSIP: 83558L204   Symbol: SNOA							
07/29/2020	100.00	1,182.16	07/29/2020	1,228.00	0.00	-45.84	Sale
07/29/2020	200.00	2,351.92	07/29/2020	2,456.00	0.00	-104.08	Sale
<b>Security Totals:</b>		<b>3,534.08</b>		<b>3,684.00</b>		<b>-149.92</b>	
GROWGENERATION CORP COMMON STOCK   CUSIP: 39986L109   Symbol: GRWG							
08/13/2020	200.00	2,362.04	08/13/2020	2,396.00	33.96 D	0.00	Sale
08/13/2020	300.00	3,543.18	Various	3,627.96	84.78 D	0.00	Sale
08/13/2020	500.00	5,914.80	Various	6,084.77	169.97 D	0.00	Sale
08/17/2020	1.00	16.76	08/17/2020	17.11	0.35 D	0.00	Sale
08/17/2020	1.00	16.76	08/17/2020	17.11	0.35 D	0.00	Sale
08/17/2020	2.00	33.66	Various	33.90	0.24 D	0.00	Sale
08/17/2020	5.00	83.88	08/17/2020	85.54	1.66 D	0.00	Sale

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**SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS**

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

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GROWGENERATION CORP COMMON STOCK   CUSIP: 39986L109   Symbol: GRWG							
08/17/2020	7.00	117.44	08/17/2020	119.76	2.32 D	0.00	Sale
08/17/2020	18.00	303.10	Various	304.76	1.66 D	0.00	Sale
08/17/2020	90.00	1,515.55	Various	1,503.89	2.71 D	14.37	Sale
08/17/2020	236.00	3,959.96	Various	4,017.38	57.51 D	0.09	Sale
08/17/2020	250.00	4,222.37	Various	4,212.79	13.14 D	22.72	Sale
08/17/2020	500.00	8,250.25	Various	8,419.97	169.72 D	0.00	Sale
08/17/2020	500.00	8,250.25	Various	8,280.54	30.51 D	0.22	Sale
08/17/2020	390.00	6,506.91	08/17/2020	6,474.00	0.00	32.91	Sale
08/18/2020	1,000.00	18,769.46	Various	18,958.39	123.66 D	-65.27	Sale
08/19/2020	50.00	1,042.46	Various	1,039.13	0.00	3.33	Sale
08/19/2020	50.00	1,039.96	08/19/2020	1,050.51	0.00	-10.55	Sale
08/19/2020	50.00	1,042.46	08/19/2020	1,034.53	0.00	7.93	Sale
08/19/2020	150.00	3,127.41	Various	3,104.57	0.00	22.84	Sale
08/19/2020	200.00	4,159.88	Various	4,179.92	0.00	-20.04	Sale
11/12/2020	10.00	214.98	11/12/2020	215.00	0.02 D	0.00	Sale
11/12/2020	20.00	429.98	11/12/2020	435.73	5.75 D	0.00	Sale
11/12/2020	50.00	1,109.96	Various	1,094.36	0.00	15.60	Sale
11/12/2020	50.00	1,107.96	11/12/2020	1,090.03	0.00	17.93	Sale
11/12/2020	50.00	1,107.96	Various	1,094.36	0.00	13.60	Sale
11/12/2020	52.00	1,154.36	Various	1,138.12	0.00	16.24	Sale
11/12/2020	98.00	2,175.54	Various	2,144.95	0.00	30.59	Sale
11/12/2020	100.00	2,216.94	11/12/2020	2,180.06	0.00	36.88	Sale
11/12/2020	100.00	2,215.94	11/12/2020	2,180.06	0.00	35.88	Sale
11/12/2020	250.00	5,489.84	Various	5,378.68	0.00	111.16	Sale
11/12/2020	480.00	10,319.71	Various	10,435.90	116.19 D	0.00	Sale
11/12/2020	490.00	10,534.70	11/12/2020	10,535.00	0.3 D	0.00	Sale
11/12/2020	500.00	11,449.68	11/12/2020	11,500.00	50.32 D	0.00	Sale

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**SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS**

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GROWGENERATION CORP COMMON STOCK   CUSIP: 39986L109   Symbol: GRWG							
11/12/2020	500.00	10,781.75	Various	10,792.14	21.63 D	11.24	Sale
11/13/2020	500.00	12,929.65	Various	13,060.32	0.00	-130.67	Sale
11/18/2020	455.00	11,902.94	11/16/2020	11,971.05	0.00	-68.11	Buy to Cover Short
11/18/2020	45.00	1,177.21	11/16/2020	1,183.73	0.00	-6.52	Buy to Cover Short
<b>Security Totals:</b>		<b>160,597.64</b>		<b>161,392.02</b>		<b>92.37</b>	
SUPERIOR INDUSTRIES INTL INC   CUSIP: 868168105   Symbol: SUP							
11/25/2020	500.00	2,461.26	Various	2,348.90	0.00	112.36	Buy to Cover Short
SALARIUS PHARMACEUTICALS INC COMMON STOCK   CUSIP: 79400X107   Symbol: SLRX							
07/29/2020	21.00	43.03	07/29/2020	44.10	0.00	-1.07	Sale
07/29/2020	100.00	204.98	07/29/2020	210.00	0.00	-5.02	Sale
07/29/2020	200.00	413.97	07/29/2020	420.00	0.00	-6.03	Sale
07/29/2020	1,572.00	3,253.77	07/29/2020	3,301.20	0.00	-47.43	Sale
07/29/2020	107.00	219.33	07/29/2020	224.70	0.00	-5.37	Sale
12/03/2020	100.00	103.98	12/03/2020	104.00	0.00	-0.02	Sale
12/03/2020	700.00	727.90	12/03/2020	728.00	0.00	-0.10	Sale
12/03/2020	1,000.00	1,039.85	12/03/2020	1,040.00	0.00	-0.15	Sale
12/03/2020	200.00	207.97	12/03/2020	208.00	0.00	-0.03	Sale
<b>Security Totals:</b>		<b>6,214.78</b>		<b>6,280.00</b>		<b>-65.22</b>	
BLINK CHARGING CO COMMON STOCK   CUSIP: 09354A100   Symbol: BLNK							
07/02/2020	28.00	157.06	07/02/2020	155.94	0.00	1.12	Sale
07/02/2020	100.00	573.97	07/02/2020	556.94	0.00	17.03	Sale
07/02/2020	100.00	574.47	07/02/2020	556.94	0.00	17.53	Sale
07/02/2020	100.00	574.47	07/02/2020	556.94	0.00	17.53	Sale
07/02/2020	100.00	574.47	07/02/2020	556.94	0.00	17.53	Sale
07/02/2020	200.00	1,148.95	07/02/2020	1,113.88	0.00	35.07	Sale
07/02/2020	400.00	2,295.89	07/02/2020	2,227.76	0.00	68.13	Sale
07/02/2020	972.00	5,453.45	07/02/2020	5,413.46	0.00	39.99	Sale
07/28/2020	1,000.00	7,679.71	07/28/2020	7,679.40	0.00	0.31	Sale

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APEX CLEARING

Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B\*

OMB No. 1545-0715

2TZ05705

(continued)

01/24/2021

SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

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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
BLINK CHARGING CO COMMON STOCK   CUSIP: 09354A100   Symbol: BLNK							
07/29/2020	8.00	91.18	07/29/2020	91.20	0.02 D	0.00	Sale
07/29/2020	10.00	118.98	Various	122.02	3.04 D	0.00	Sale
07/29/2020	25.00	284.98	07/29/2020	285.00	0.02 D	0.00	Sale
07/29/2020	67.00	763.77	07/29/2020	763.80	0.03 D	0.00	Sale
07/29/2020	400.00	4,559.84	07/29/2020	4,560.00	0.16 D	0.00	Sale
07/29/2020	490.00	5,821.01	Various	5,984.41	163.40 D	0.00	Sale
07/29/2020	500.00	5,914.80	Various	6,000.23	85.43 D	0.00	Sale
07/30/2020	31.00	398.33	07/30/2020	375.76	0.00	22.57	Sale
07/30/2020	75.00	982.46	07/30/2020	997.50	15.04 D	0.00	Sale
07/30/2020	83.00	1,066.51	Various	1,006.06	0.00	60.45	Sale
07/30/2020	86.00	1,107.64	07/30/2020	1,042.42	0.00	65.22	Sale
07/30/2020	100.00	1,342.96	07/30/2020	1,359.99	17.03 D	0.00	Sale
07/30/2020	100.00	1,342.96	07/30/2020	1,359.98	17.02 D	0.00	Sale
07/30/2020	100.00	1,342.96	Various	1,359.99	17.03 D	0.00	Sale
07/30/2020	100.00	1,277.96	07/30/2020	1,212.11	0.00	65.85	Sale
07/30/2020	185.00	2,543.67	Various	2,566.36	22.69 D	0.00	Sale
07/30/2020	195.00	2,554.42	07/30/2020	2,593.50	39.08 D	0.00	Sale
07/30/2020	200.00	2,607.92	Various	2,420.09	0.00	187.83	Sale
07/30/2020	214.00	2,869.64	Various	2,911.34	41.70 D	0.00	Sale
07/30/2020	230.00	3,012.90	07/30/2020	3,059.00	46.1 D	0.00	Sale
07/30/2020	250.00	3,292.39	Various	3,206.29	0.00	86.10	Sale
07/30/2020	250.00	3,284.89	Various	3,211.32	0.00	73.57	Sale
07/30/2020	250.00	3,277.39	07/30/2020	3,198.98	0.00	78.41	Sale
07/30/2020	250.00	3,377.39	07/30/2020	3,080.00	0.00	297.39	Sale
07/30/2020	315.00	4,324.81	Various	4,373.21	48.40 D	0.00	Sale
07/30/2020	400.00	5,071.83	Various	5,091.49	19.66 D	0.00	Sale
07/30/2020	486.00	6,526.77	Various	6,647.69	120.92 D	0.00	Sale

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APEX CLEARING

## Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B\*

OMB No. 1545-0715

2TZ05705

(continued)

01/24/2021

**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>
BLINK CHARGING CO COMMON STOCK   CUSIP: 09354A100   Symbol: BLNK							
07/30/2020	500.00	6,384.79	Various	6,691.09	306.30 D	0.00	Sale
07/30/2020	250.00	3,278.79	07/30/2020	3,198.97	0.00	79.82	Sale
07/30/2020	250.00	3,395.24	07/30/2020	3,080.00	0.00	315.24	Sale
08/04/2020	1.00	12.75	08/04/2020	13.29	0.54 D	0.00	Sale
08/04/2020	300.00	3,800.87	Various	4,143.97	0.00	-343.10	Sale
08/04/2020	50.00	638.47	Various	664.87	26.4 D	0.00	Sale
08/04/2020	449.00	5,634.77	Various	5,978.14	187.03 D	-156.34	Sale
<b>Security Totals:</b>		<b>111,338.48</b>		<b>111,468.27</b>		<b>1,047.25</b>	
NETWORK 1 TECHNOLOGIES INC   CUSIP: 64121N109   Symbol: NTIP							
07/29/2020	800.00	1,800.66	Various	1,920.00	47.29 D	-72.05	Sale
07/29/2020	300.00	675.24	07/29/2020	764.75	0.00	-89.51	Sale
07/29/2020	300.00	675.24	Various	722.54	0.00	-47.30	Sale
07/29/2020	600.00	1,350.50	07/29/2020	1,440.00	0.00	-89.50	Sale
<b>Security Totals:</b>		<b>4,501.64</b>		<b>4,847.29</b>		<b>-298.36</b>	
CATABASIS PHARMACEUTICALS INC COMMON STOCK   CUSIP: 14875P206   Symbol: CATB							
12/02/2020	100.00	252.98	12/02/2020	224.00	0.00	28.98	Sale
12/02/2020	100.00	251.98	12/02/2020	224.00	0.00	27.98	Sale
12/02/2020	100.00	251.98	12/02/2020	224.00	0.00	27.98	Sale
12/02/2020	100.00	253.00	Various	224.00	0.00	29.00	Sale
12/02/2020	100.00	251.98	12/02/2020	224.00	0.00	27.98	Sale
<b>Security Totals:</b>		<b>1,261.92</b>		<b>1,120.00</b>		<b>141.92</b>	
LUCID INC   CUSIP: 54948Q104   Symbol: LCDX							
08/25/2020	60.00	232.66	08/25/2020	228.12	0.00	4.54	Sale
08/25/2020	100.00	385.78	08/25/2020	380.20	0.00	5.58	Sale
08/25/2020	140.00	540.07	08/25/2020	532.28	0.00	7.79	Sale
08/25/2020	200.00	816.36	Various	812.84	0.00	3.52	Sale
08/25/2020	200.00	483.76	08/25/2020	545.83	62.07 D	0.00	Sale
08/25/2020	200.00	787.56	08/25/2020	760.40	0.00	27.16	Sale

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APEX CLEARING

## Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B\*

OMB No. 1545-0715

2TZ05705

(continued)

01/24/2021

**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**

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LUCID INC   CUSIP: 54948Q104   Symbol: LCDX							
08/25/2020	300.00	1,223.33	Various	1,202.03	0.00	21.30	Sale
08/25/2020	300.00	1,298.33	Various	1,320.60	22.27 D	0.00	Sale
08/25/2020	800.00	1,942.25	Various	2,222.18	0.00	-279.93	Sale
08/25/2020	1,000.00	2,437.82	Various	2,548.60	114.14 D	3.36	Sale
<b>Security Totals:</b>		<b>10,147.92</b>		<b>10,553.08</b>		<b>-206.68</b>	
TOUGHBUILT INDUSTRIES INC COMMON STOCK   CUSIP: 89157G504   Symbol: TBLT							
04/27/2020	80.00	113.58	Various	112.00	0.00	1.58	Sale
04/27/2020	100.00	141.98	04/27/2020	140.00	0.00	1.98	Sale
04/27/2020	1,820.00	2,584.12	Various	2,587.99	0.00	-3.87	Sale
<b>Security Totals:</b>		<b>2,839.68</b>		<b>2,839.99</b>		<b>-0.31</b>	
***YALLA GROUP LIMITED AMERICAN DEPOSITARY SHARES ECH REPSTG ONE CL A ORDINARY SHARE   CUSIP: 98459U103   Symbol: YALA							
11/30/2020	50.00	772.47	11/30/2020	716.00	0.00	56.47	Sale
11/30/2020	50.00	765.47	11/30/2020	716.00	0.00	49.47	Sale
11/30/2020	50.00	739.97	11/30/2020	716.00	0.00	23.97	Sale
11/30/2020	50.00	749.47	11/30/2020	716.00	0.00	33.47	Sale
11/30/2020	50.00	767.72	Various	716.00	0.00	51.72	Sale
<b>Security Totals:</b>		<b>3,795.10</b>		<b>3,580.00</b>		<b>215.10</b>	
AIM IMMUNOTECH INC COMMON STOCK   CUSIP: 00901B105   Symbol: AIM							
02/27/2020	80.00	135.18	02/27/2020	136.00	0.82 D	0.00	Sale
02/27/2020	100.00	168.98	02/27/2020	170.00	1.02 D	0.00	Sale
02/27/2020	1,050.00	1,753.34	02/27/2020	1,785.00	31.66 D	0.00	Sale
02/27/2020	150.00	250.47	02/27/2020	255.00	4.53 D	0.00	Sale
02/27/2020	1,068.00	1,804.75	Various	1,838.96	34.21 D	0.00	Sale
02/27/2020	1,552.00	2,591.60	Various	2,719.37	127.77 D	0.00	Sale
02/28/2020	4,580.00	10,075.22	Various	10,787.71	717.28 D	4.79	Sale
03/03/2020	100.00	198.98	02/28/2020	214.00	15.02 D	0.00	Buy to Cover Short
03/03/2020	100.00	198.98	02/28/2020	214.00	15.02 D	0.00	Buy to Cover Short
03/03/2020	100.00	198.98	02/28/2020	214.00	15.02 D	0.00	Buy to Cover Short

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**SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS**

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

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

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AIM IMMUNOTECH INC COMMON STOCK   CUSIP: 00901B105   Symbol: AIM							
03/03/2020	200.00	397.97	02/28/2020	428.00	30.03 D	0.00	Buy to Cover Short
03/03/2020	300.00	596.95	02/28/2020	642.00	45.05 D	0.00	Buy to Cover Short
03/03/2020	300.00	596.95	02/28/2020	642.00	45.05 D	0.00	Buy to Cover Short
03/03/2020	300.00	596.95	02/28/2020	642.00	45.05 D	0.00	Buy to Cover Short
03/03/2020	300.00	596.95	02/28/2020	642.00	45.05 D	0.00	Buy to Cover Short
03/03/2020	400.00	795.94	02/28/2020	856.00	60.06 D	0.00	Buy to Cover Short
03/03/2020	400.00	795.93	Various	871.02	75.09 D	0.00	Buy to Cover Short
03/03/2020	500.00	994.91	Various	1,145.09	150.18 D	0.00	Buy to Cover Short
03/03/2020	500.00	994.92	Various	1,145.08	150.16 D	0.00	Buy to Cover Short
03/03/2020	500.00	994.92	Various	1,145.08	150.16 D	0.00	Buy to Cover Short
03/03/2020	500.00	994.92	Various	1,145.08	150.16 D	0.00	Buy to Cover Short
03/03/2020	500.00	994.92	Various	1,145.09	150.17 D	0.00	Buy to Cover Short
03/04/2020	200.00	439.96	03/02/2020	325.80	0.00	114.16	Buy to Cover Short
03/04/2020	53.00	116.59	03/02/2020	90.63	0.00	25.96	Buy to Cover Short
03/04/2020	300.00	659.95	03/02/2020	488.58	0.00	171.37	Buy to Cover Short
03/04/2020	447.00	983.32	Various	764.37	0.00	218.95	Buy to Cover Short
03/04/2020	500.00	1,099.92	03/02/2020	815.00	0.00	284.92	Buy to Cover Short
03/04/2020	500.00	1,099.91	Various	865.00	0.00	234.91	Buy to Cover Short
03/04/2020	2,500.00	5,499.57	03/02/2020	4,625.00	0.00	874.57	Buy to Cover Short
03/04/2020	50.00	109.99	03/02/2020	81.50	0.00	28.49	Buy to Cover Short
03/04/2020	250.00	549.96	03/02/2020	407.50	0.00	142.46	Buy to Cover Short
03/04/2020	200.00	439.97	03/02/2020	326.00	0.00	113.97	Buy to Cover Short
03/10/2020	20.00	77.78	03/10/2020	76.21	0.00	1.57	Sale
03/10/2020	400.00	1,555.91	Various	1,529.01	0.00	26.90	Sale
03/10/2020	500.00	1,939.89	Various	1,924.68	0.00	15.21	Sale
03/10/2020	500.00	1,944.89	Various	1,861.44	0.00	83.45	Sale
03/10/2020	580.00	2,250.28	03/10/2020	2,134.68	0.00	115.60	Sale

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AIM IMMUNOTECH INC COMMON STOCK   CUSIP: 00901B105   Symbol: AIM							
03/11/2020	500.00	2,449.88	Various	2,666.12	216.24 D	0.00	Sale
03/13/2020	100.00	314.98	Various	333.14	18.16 D	0.00	Sale
03/13/2020	500.00	1,599.90	Various	1,754.19	154.29 D	0.00	Sale
03/13/2020	1,000.00	3,199.80	Various	3,254.99	55.19 D	0.00	Sale
03/13/2020	1,900.00	6,003.63	Various	6,346.17	342.54 D	0.00	Sale
03/13/2020	1,500.00	4,641.76	Various	4,939.75	148.00 D	-149.99	Sale
03/17/2020	100.00	232.98	Various	243.76	0.00	-10.78	Sale
03/17/2020	100.00	232.98	Various	244.52	0.00	-11.54	Sale
03/17/2020	1,800.00	4,157.69	Various	4,474.91	0.00	-317.22	Sale
<b>Security Totals:</b>		<b>68,330.20</b>		<b>69,355.43</b>		<b>1,967.75</b>	
COMSTOCK MINING INC COMMON STOCK   CUSIP: 205750300   Symbol: LODE							
08/17/2020	2,000.00	4,079.66	08/17/2020	4,000.00	0.00	79.66	Sale
HENNESSY CAPITAL ACQUISITION CORP IV CLASS A COMMON STOCK   CUSIP: 42589C104   Symbol: HCAC							
12/10/2020	3.00	65.98	12/10/2020	69.37	3.39 D	0.00	Sale
12/10/2020	300.00	6,539.81	Various	6,596.77	56.96 D	0.00	Sale
12/10/2020	500.00	10,699.70	Various	10,907.26	207.56 D	0.00	Sale
12/10/2020	10.00	220.13	Various	231.20	11.07 D	0.00	Sale
12/10/2020	500.00	10,999.69	Various	11,202.15	202.46 D	0.00	Sale
12/10/2020	500.00	10,909.69	Various	11,125.78	216.09 D	0.00	Sale
12/10/2020	500.00	10,879.69	Various	11,229.84	350.15 D	0.00	Sale
12/10/2020	500.00	10,704.70	Various	11,178.26	473.56 D	0.00	Sale
12/10/2020	987.00	21,713.40	Various	22,543.69	830.29 D	0.00	Sale
12/10/2020	700.00	15,259.58	Various	15,351.96	92.38 D	0.00	Sale
12/10/2020	1,000.00	21,609.40	Various	22,359.54	750.14 D	0.00	Sale
12/10/2020	1,000.00	21,999.39	Various	22,925.12	0.00	-925.73	Sale
12/10/2020	1,000.00	21,659.40	Various	22,574.75	0.00	-915.35	Sale
12/10/2020	2,000.00	43,538.79	Various	45,042.32	1503.53 D	0.00	Sale
12/10/2020	5.00	110.66	12/10/2020	115.57	4.91 D	0.00	Sale

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**SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS**

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HENNESSY CAPITAL ACQUISITION CORP IV CLASS A COMMON STOCK   CUSIP: 42589C104   Symbol: HCAC							
12/10/2020	60.00	1,328.06	Various	1,397.69	69.63 D	0.00	Sale
12/10/2020	1,935.00	42,781.67	Various	44,196.51	1414.84 D	0.00	Sale
12/14/2020	2.00	38.60	12/10/2020	40.00	1.4 D	0.00	Buy to Cover Short
12/14/2020	10.00	192.99	12/10/2020	200.00	7.01 D	0.00	Buy to Cover Short
12/14/2020	14.00	299.73	Various	309.45	9.72 D	0.00	Buy to Cover Short
12/14/2020	50.00	964.97	12/10/2020	1,000.00	35.03 D	0.00	Buy to Cover Short
12/14/2020	50.00	1,070.46	Various	1,035.46	0.00	35.00	Buy to Cover Short
12/14/2020	100.00	1,927.45	Various	2,043.44	115.99 D	0.00	Buy to Cover Short
12/14/2020	100.00	2,140.95	Various	2,098.11	0.00	42.84	Buy to Cover Short
12/14/2020	100.00	2,140.94	Various	2,321.91	180.97 D	0.00	Buy to Cover Short
12/14/2020	100.00	2,140.93	Various	2,262.97	122.04 D	0.00	Buy to Cover Short
12/14/2020	136.00	2,911.68	Various	2,913.26	33.25 D	31.67	Buy to Cover Short
12/14/2020	150.00	3,211.41	Various	3,258.55	47.14 D	0.00	Buy to Cover Short
12/14/2020	250.00	5,432.34	Various	5,802.70	370.36 D	0.00	Buy to Cover Short
12/14/2020	250.00	5,432.34	Various	5,590.18	157.84 D	0.00	Buy to Cover Short
12/14/2020	250.00	5,429.84	Various	5,432.84	18.79 D	15.79	Buy to Cover Short
12/14/2020	250.00	5,432.34	Various	5,720.36	288.02 D	0.00	Buy to Cover Short
12/14/2020	250.00	5,482.34	12/10/2020	5,492.50	10.16 D	0.00	Buy to Cover Short
12/14/2020	250.00	5,469.84	Various	5,510.57	40.73 D	0.00	Buy to Cover Short
12/14/2020	250.00	5,457.34	Various	5,533.23	75.89 D	0.00	Buy to Cover Short
12/14/2020	500.00	9,979.71	Various	10,246.32	269.76 D	3.15	Buy to Cover Short
12/14/2020	500.00	9,904.69	Various	10,339.76	435.07 D	0.00	Buy to Cover Short
12/14/2020	500.00	10,909.69	Various	10,942.97	41.77 D	8.49	Buy to Cover Short
12/14/2020	338.00	6,599.67	Various	6,875.99	276.32 D	0.00	Buy to Cover Short
12/14/2020	500.00	10,799.70	12/10/2020	10,890.00	90.3 D	0.00	Buy to Cover Short
12/14/2020	1,000.00	21,599.39	Various	21,811.27	211.88 D	0.00	Buy to Cover Short
12/14/2020	50.00	1,070.47	12/10/2020	1,036.69	0.00	33.78	Buy to Cover Short

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APEX CLEARING

## Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B\*

OMB No. 1545-0715

2TZ05705

(continued)

01/24/2021

**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>
HENNESSY CAPITAL ACQUISITION CORP IV CLASS A COMMON STOCK   CUSIP: 42589C104   Symbol: HCAC							
12/14/2020	50.00	1,070.48	12/10/2020	1,027.48	0.00	43.00	Buy to Cover Short
12/14/2020	250.00	5,482.34	12/10/2020	5,500.41	18.07 D	0.00	Buy to Cover Short
12/14/2020	500.00	10,404.69	Various	11,085.07	680.38 D	0.00	Buy to Cover Short
<b>Security Totals:</b>		<b>394,017.06</b>		<b>405,369.27</b>		<b>-1,627.36</b>	
***URBAN TEA INC ORDINARY SHARES   CUSIP: G9396G118   Symbol: MYT							
11/17/2020	100.00	184.98	11/17/2020	191.00	6.02 D	0.00	Sale
11/17/2020	1,400.00	2,575.77	Various	2,682.52	41.11 D	-65.64	Sale
11/17/2020	500.00	924.91	Various	998.61	0.00	-73.70	Sale
<b>Security Totals:</b>		<b>3,685.66</b>		<b>3,872.13</b>		<b>-139.34</b>	
TORTOISE ACQUISITION CORP CLASS A COMMON STOCK   CUSIP: 89154L100   Symbol: SHLL							
09/09/2020	500.00	26,729.34	09/09/2020	26,750.00	0.00	-20.66	Sale
SYPRIS SOLUTIONS INC   CUSIP: 871655106   Symbol: SYPR							
07/28/2020	11.00	17.58	07/28/2020	18.48	0.9 D	0.00	Sale
07/28/2020	98.00	156.78	Various	165.38	8.60 D	0.00	Sale
07/28/2020	100.00	159.98	Various	175.30	15.32 D	0.00	Sale
07/28/2020	108.00	172.78	Various	184.18	11.40 D	0.00	Sale
07/28/2020	150.00	239.97	Various	270.69	27.99 D	-2.73	Sale
07/28/2020	283.00	452.75	Various	478.09	0.00	-25.34	Sale
07/28/2020	500.00	799.92	Various	872.09	0.00	-72.17	Sale
07/28/2020	750.00	1,199.88	07/28/2020	1,260.00	0.00	-60.12	Sale
09/25/2020	300.00	449.95	Various	434.95	0.00	15.00	Sale
09/25/2020	700.00	1,049.89	Various	1,015.00	0.00	34.89	Sale
09/25/2020	1,000.00	1,369.84	09/25/2020	1,400.00	30.16 D	0.00	Sale
09/25/2020	1,000.00	1,619.84	09/25/2020	1,430.16	0.00	189.68	Sale
<b>Security Totals:</b>		<b>7,689.16</b>		<b>7,704.32</b>		<b>79.21</b>	
XPRESSPA GROUP INC COMMON STOCK   CUSIP: 98420U604   Symbol: XSPA							
06/05/2020	10.00	26.58	06/05/2020	26.70	0.00	-0.12	Sale
06/05/2020	10.00	26.58	06/05/2020	26.70	0.00	-0.12	Sale

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APEX CLEARING

Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B\*

OMB No. 1545-0715

2TZ05705

(continued)

01/24/2021

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: 98420U604   Symbol: XSPA							
06/05/2020	80.00	212.78	06/05/2020	213.60	0.00	-0.82	Sale
06/05/2020	900.00	2,393.83	06/05/2020	2,403.00	0.00	-9.17	Sale
06/08/2020	200.00	373.97	06/04/2020	312.03	0.00	61.94	Buy to Cover Short
06/08/2020	200.00	373.96	06/04/2020	302.03	0.00	71.93	Buy to Cover Short
06/08/2020	200.00	373.97	06/04/2020	316.03	0.00	57.94	Buy to Cover Short
06/08/2020	200.00	373.97	06/04/2020	292.04	0.00	81.93	Buy to Cover Short
06/08/2020	113.00	207.90	Various	205.10	0.00	2.80	Buy to Cover Short
06/08/2020	200.00	373.96	Various	328.04	0.00	45.92	Buy to Cover Short
06/08/2020	113.00	207.90	06/04/2020	205.10	0.00	2.80	Buy to Cover Short
06/08/2020	387.00	712.02	06/04/2020	702.41	0.00	9.61	Buy to Cover Short
06/08/2020	387.00	712.01	06/04/2020	702.41	0.00	9.60	Buy to Cover Short
06/08/2020	1,000.00	1,689.83	Various	1,700.00	10.17 D	0.00	Buy to Cover Short
<b>Security Totals:</b>		<b>8,059.26</b>		<b>7,735.19</b>		<b>334.24</b>	
OASIS PETROLEUM INC COMMON STOCK   CUSIP: 674215108   Symbol: OAS							
06/05/2020	80.00	95.98	06/05/2020	96.81	0.83 D	0.00	Sale
06/05/2020	100.00	119.98	06/05/2020	121.02	1.04 D	0.00	Sale
06/05/2020	500.00	619.92	06/05/2020	560.02	0.00	59.90	Sale
06/05/2020	500.00	544.92	06/05/2020	549.95	5.03 D	0.00	Sale
06/05/2020	660.00	719.30	06/05/2020	725.93	6.63 D	0.00	Sale
06/05/2020	1,000.00	1,169.85	06/05/2020	1,120.05	0.00	49.80	Sale
06/05/2020	1,000.00	1,189.85	06/05/2020	1,120.05	0.00	69.80	Sale
06/05/2020	1,000.00	1,149.85	Various	1,120.05	0.00	29.80	Sale
06/05/2020	1,000.00	1,199.85	Various	1,202.94	8.43 D	5.34	Sale
06/05/2020	1,000.00	1,169.85	Various	1,120.05	0.00	49.80	Sale
06/05/2020	1,133.00	1,359.43	Various	1,322.65	0.00	36.78	Sale
06/05/2020	1,687.00	2,024.15	Various	1,967.32	0.00	56.83	Sale
06/05/2020	3,840.00	4,185.04	06/05/2020	4,223.62	38.58 D	0.00	Sale
06/05/2020	4,000.00	4,439.42	Various	4,460.00	40.44 D	19.86	Sale

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APEX CLEARING

## Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B\*

OMB No. 1545-0715

2TZ05705

(continued)

01/24/2021

**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
OASIS PETROLEUM INC COMMON STOCK   CUSIP: 674215108   Symbol: OAS							
06/05/2020	500.00	641.02	06/05/2020	560.02	0.00	81.00	Sale
08/04/2020	500.00	358.93	08/04/2020	366.00	7.07 D	0.00	Sale
08/04/2020	200.00	143.57	08/04/2020	146.40	2.83 D	0.00	Sale
08/04/2020	810.00	581.46	08/04/2020	592.92	0.00	-11.46	Sale
08/04/2020	1,490.00	1,069.61	Various	1,100.57	6.49 D	-24.47	Sale
08/04/2020	2,000.00	1,435.72	Various	1,470.49	0.00	-34.77	Sale
<b>Security Totals:</b>		<b>24,217.70</b>		<b>23,946.86</b>		<b>388.21</b>	
PHUNWARE INC COMMON STOCK   CUSIP: 71948P100   Symbol: PHUN							
06/26/2020	50.00	70.98	06/26/2020	70.00	0.00	0.98	Sale
06/26/2020	249.00	353.54	06/26/2020	348.60	0.00	4.94	Sale
06/26/2020	250.00	362.46	06/26/2020	380.00	17.54 D	0.00	Sale
06/26/2020	250.00	354.96	06/26/2020	350.00	0.00	4.96	Sale
06/26/2020	451.00	640.35	06/26/2020	631.40	0.00	8.95	Sale
06/26/2020	750.00	1,087.38	06/26/2020	1,140.00	52.62 D	0.00	Sale
06/26/2020	1,000.00	1,449.84	Various	1,590.16	0.00	-140.32	Sale
<b>Security Totals:</b>		<b>4,319.51</b>		<b>4,510.16</b>		<b>-120.49</b>	
ECOARK HOLDINGS INC COMMON STOCK   CUSIP: 27888N109   Symbol: ZEST							
06/04/2020	400.00	1,199.12	06/02/2020	1,120.80	0.00	78.32	Buy to Cover Short
06/04/2020	100.00	299.78	06/02/2020	275.20	0.00	24.58	Buy to Cover Short
06/04/2020	500.00	1,498.91	06/02/2020	1,371.00	0.00	127.91	Buy to Cover Short
<b>Security Totals:</b>		<b>2,997.81</b>		<b>2,767.00</b>		<b>230.81</b>	
***FSD PHARMA INC CL B SUB VTG SHS NEW   CUSIP: 35954B206   Symbol: HUGE							
07/30/2020	5.00	33.48	07/30/2020	36.70	3.22 D	0.00	Sale
07/30/2020	10.00	66.98	07/30/2020	73.40	6.42 D	0.00	Sale
07/30/2020	19.00	127.28	07/30/2020	139.46	12.18 D	0.00	Sale
07/30/2020	100.00	669.97	Various	754.80	84.83 D	0.00	Sale
07/30/2020	100.00	669.97	Various	816.17	146.20 D	0.00	Sale
07/30/2020	100.00	669.97	Various	879.56	123.48 D	-86.11	Sale

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APEX CLEARING

Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B\*

OMB No. 1545-0715

2TZ05705

(continued)

01/24/2021

**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

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**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
***FSD PHARMA INC CL B SUB VTG SHS NEW   CUSIP: 35954B206   Symbol: HUGE							
07/30/2020	166.00	1,112.15	Various	1,345.24	0.00	-233.09	Sale
<b>Security Totals:</b>		<b>3,349.80</b>		<b>4,045.33</b>		<b>-319.20</b>	
CHICOS FAS INC   CUSIP: 168615102   Symbol: CHS							
10/28/2020	100.00	108.98	10/28/2020	111.00	0.00	-2.02	Sale
10/28/2020	2,900.00	3,160.58	10/28/2020	3,219.00	0.00	-58.42	Sale
<b>Security Totals:</b>		<b>3,269.56</b>		<b>3,330.00</b>		<b>-60.44</b>	
CV SCIENCES INC COM   CUSIP: 126654102   Symbol: CVSI							
04/06/2020	200.00	147.57	04/03/2020	133.36	0.00	14.21	Sale
04/06/2020	200.00	145.57	04/03/2020	133.38	0.00	12.19	Sale
04/06/2020	200.00	148.53	04/03/2020	133.36	0.00	15.17	Sale
04/06/2020	300.00	219.85	04/03/2020	200.07	0.00	19.78	Sale
04/06/2020	500.00	368.93	04/03/2020	333.40	0.00	35.53	Sale
04/06/2020	1,500.00	1,091.94	04/03/2020	1,000.35	0.00	91.59	Sale
04/06/2020	100.00	73.78	04/03/2020	66.68	0.00	7.10	Sale
<b>Security Totals:</b>		<b>2,196.17</b>		<b>2,000.60</b>		<b>195.57</b>	
SCWORX CORP COMMON STOCK   CUSIP: 78396V109   Symbol: WORX							
04/16/2020	1,000.00	6,699.73	Various	6,910.00	0.00	-210.27	Sale
04/21/2020	100.00	697.97	Various	754.44	0.00	-56.47	Buy to Cover Short
04/21/2020	700.00	4,885.80	Various	5,306.52	0.00	-420.72	Buy to Cover Short
04/21/2020	100.00	697.98	04/17/2020	761.05	0.00	-63.07	Buy to Cover Short
04/21/2020	100.00	697.97	Various	761.07	0.00	-63.10	Buy to Cover Short
04/21/2020	440.00	3,099.00	Various	3,277.74	178.74 D	0.00	Buy to Cover Short
04/21/2020	560.00	3,942.22	Various	4,196.56	254.34 D	0.00	Buy to Cover Short
04/21/2020	1,000.00	6,819.70	Various	7,160.00	340.30 D	0.00	Buy to Cover Short
<b>Security Totals:</b>		<b>27,540.37</b>		<b>29,127.38</b>		<b>-813.63</b>	
SWITCHBACK ENERGY ACQUISITION CORPORATION CLASS A COMMON STOCK   CUSIP: 87105M102   Symbol: SBE							
11/24/2020	1.00	36.12	11/24/2020	35.17	0.00	0.95	Sale
11/24/2020	10.00	361.38	11/24/2020	351.73	0.00	9.65	Sale

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APEX CLEARING

Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B\*

OMB No. 1545-0715

2TZ05705

(continued)

01/24/2021

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)

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

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SWITCHBACK ENERGY ACQUISITION CORPORATION CLASS A COMMON STOCK   CUSIP: 87105M102   Symbol: SBE							
11/24/2020	2.00	72.26	11/24/2020	70.34	0.00	1.92	Sale
11/24/2020	15.00	542.07	11/24/2020	527.58	0.00	14.49	Sale
11/24/2020	30.00	1,084.16	11/24/2020	1,055.16	0.00	29.00	Sale
11/24/2020	42.00	1,517.83	Various	1,477.22	0.00	40.61	Sale
11/24/2020	47.00	1,750.70	11/24/2020	1,652.99	0.00	97.71	Sale
11/24/2020	53.00	1,974.19	11/24/2020	1,864.01	0.00	110.18	Sale
11/24/2020	100.00	3,646.90	11/24/2020	3,517.00	0.00	129.90	Sale
11/25/2020	28.00	960.36	Various	968.84	8.48 D	0.00	Sale
11/25/2020	50.00	1,726.45	11/25/2020	1,729.35	2.9 D	0.00	Sale
11/25/2020	50.00	1,737.45	Various	1,726.88	0.00	10.57	Sale
11/25/2020	50.00	1,734.45	11/25/2020	1,726.86	0.00	7.59	Sale
11/25/2020	72.00	2,469.53	11/25/2020	2,491.27	21.74 D	0.00	Sale
11/25/2020	100.00	3,429.91	11/25/2020	3,465.09	35.18 D	0.00	Sale
11/25/2020	50.00	1,726.47	11/25/2020	1,729.35	2.88 D	0.00	Sale
11/27/2020	3.00	120.24	11/24/2020	120.24	0.00	0.00	Buy to Cover Short
11/27/2020	10.00	382.09	11/24/2020	372.00	0.00	10.09	Buy to Cover Short
11/27/2020	25.00	955.23	11/24/2020	907.50	0.00	47.73	Buy to Cover Short
11/27/2020	58.00	2,324.58	11/24/2020	2,324.70	0.12 D	0.00	Buy to Cover Short
11/27/2020	90.00	3,438.81	11/24/2020	3,348.00	0.00	90.81	Buy to Cover Short
11/27/2020	75.00	2,865.67	11/24/2020	2,722.50	0.00	143.17	Buy to Cover Short
11/27/2020	100.00	3,820.90	11/24/2020	3,621.00	0.00	199.90	Buy to Cover Short
11/27/2020	239.00	9,578.87	Various	9,574.36	0.08 D	4.59	Buy to Cover Short
11/27/2020	100.00	3,594.89	Various	3,587.50	0.00	7.39	Buy to Cover Short
11/27/2020	300.00	12,025.70	Various	12,045.00	19.3 D	0.00	Buy to Cover Short
11/27/2020	200.00	7,182.80	Various	7,200.00	17.20 D	0.00	Buy to Cover Short
12/02/2020	4.00	113.46	12/02/2020	111.08	0.00	2.38	Sale
12/02/2020	8.00	226.94	12/02/2020	222.17	0.00	4.77	Sale

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**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)

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SWITCHBACK ENERGY ACQUISITION CORPORATION CLASS A COMMON STOCK   CUSIP: 87105M102   Symbol: SBE							
12/02/2020	40.00	1,134.76	Various	1,111.60	0.00	23.16	Sale
12/02/2020	43.00	1,219.87	12/02/2020	1,198.87	0.00	21.00	Sale
12/02/2020	5.00	141.83	12/02/2020	138.85	0.00	2.98	Sale
12/02/2020	50.00	1,418.45	12/02/2020	1,394.04	0.00	24.41	Sale
12/02/2020	50.00	1,418.45	12/02/2020	1,394.04	0.00	24.41	Sale
12/02/2020	100.00	2,812.92	Various	2,777.07	0.00	35.85	Sale
12/02/2020	200.00	5,285.86	Various	5,205.78	0.00	80.08	Sale
12/02/2020	300.00	8,738.76	Various	8,923.84	0.00	-185.08	Sale
12/02/2020	300.00	9,026.76	Various	9,112.60	85.84 D	0.00	Sale
12/02/2020	450.00	12,154.18	Various	12,250.50	96.32 D	0.00	Sale
<b>Security Totals:</b>		<b>114,752.25</b>		<b>114,052.08</b>		<b>990.21</b>	
VERMILLION INC   CUSIP: 92407M206   Symbol: VRML							
06/02/2020	5.00	18.23	Various	19.80	0.84 D	-0.73	Sale
06/02/2020	18.00	66.04	Various	69.65	0.00	-3.61	Sale
06/02/2020	5.00	19.23	Various	19.97	0.74 D	0.00	Sale
06/02/2020	15.00	54.58	06/02/2020	58.18	0.00	-3.60	Sale
06/02/2020	20.00	77.18	Various	80.42	3.24 D	0.00	Sale
06/02/2020	25.00	96.23	06/02/2020	99.99	3.76 D	0.00	Sale
06/02/2020	98.00	357.68	Various	380.03	0.00	-22.35	Sale
06/02/2020	100.00	364.98	06/02/2020	387.79	0.00	-22.81	Sale
06/02/2020	267.00	969.82	Various	1,032.05	0.00	-62.23	Sale
06/02/2020	200.00	729.96	06/02/2020	769.58	0.00	-39.62	Sale
06/02/2020	297.00	1,083.98	Various	1,149.10	0.00	-65.12	Sale
06/02/2020	344.00	1,324.33	06/02/2020	1,375.90	51.57 D	0.00	Sale
06/02/2020	400.00	1,551.91	06/02/2020	1,599.88	47.97 D	0.00	Sale
06/02/2020	100.00	384.98	06/02/2020	399.97	14.99 D	0.00	Sale
06/02/2020	1,000.00	3,794.79	Various	3,845.23	0.00	-50.44	Sale
06/02/2020	1,106.00	4,257.87	06/02/2020	4,423.67	165.8 D	0.00	Sale

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APEX CLEARING

Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B\*

OMB No. 1545-0715

2TZ05705

(continued)

01/24/2021

**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
VERMILLION INC   CUSIP: 92407M206   Symbol: VRML							
06/04/2020	800.00	3,655.82	06/02/2020	3,616.00	0.00	39.82	Buy to Cover Short
06/04/2020	200.00	913.95	06/02/2020	896.00	0.00	17.95	Buy to Cover Short
<b>Security Totals:</b>		<b>19,721.56</b>		<b>20,223.21</b>		<b>-212.74</b>	
MYOMO INC COMMON STOCK   CUSIP: 62857J201   Symbol: MYO							
09/15/2020	12.00	70.78	09/15/2020	69.49	0.00	1.29	Sale
09/15/2020	190.00	1,120.95	09/15/2020	1,062.10	0.00	58.85	Sale
09/15/2020	60.00	353.98	09/15/2020	335.40	0.00	18.58	Sale
09/15/2020	200.00	1,099.95	09/15/2020	1,120.00	20.05 D	0.00	Sale
09/15/2020	250.00	1,529.93	Various	1,447.62	0.00	82.31	Sale
09/15/2020	238.00	1,404.13	09/15/2020	1,378.15	0.00	25.98	Sale
09/15/2020	300.00	1,649.92	Various	1,710.08	60.16 D	0.00	Sale
09/15/2020	250.00	1,474.93	09/15/2020	1,397.50	0.00	77.43	Sale
09/15/2020	500.00	2,749.87	Various	2,820.05	70.18 D	0.00	Sale
<b>Security Totals:</b>		<b>11,454.44</b>		<b>11,340.39</b>		<b>264.44</b>	
GENPREX INC COMMON STOCK   CUSIP: 372446104   Symbol: GNPX							
02/26/2020	100.00	662.97	02/24/2020	639.50	0.00	23.47	Buy to Cover Short
02/26/2020	100.00	662.97	02/24/2020	639.50	0.00	23.47	Buy to Cover Short
02/26/2020	100.00	662.97	02/24/2020	639.50	0.00	23.47	Buy to Cover Short
02/26/2020	100.00	662.97	02/24/2020	639.50	0.00	23.47	Buy to Cover Short
02/26/2020	100.00	662.97	02/24/2020	639.50	0.00	23.47	Buy to Cover Short
02/26/2020	200.00	1,325.95	02/24/2020	1,280.00	0.00	45.95	Buy to Cover Short
02/26/2020	300.00	1,988.93	02/24/2020	1,920.00	0.00	68.93	Buy to Cover Short
02/26/2020	400.00	2,651.89	02/24/2020	2,567.60	0.00	84.29	Buy to Cover Short
02/26/2020	600.00	3,977.84	02/24/2020	3,851.40	0.00	126.44	Buy to Cover Short
<b>Security Totals:</b>		<b>13,259.46</b>		<b>12,816.50</b>		<b>442.96</b>	
NEUROMETRIX INC COMMON STOCK   CUSIP: 641255807   Symbol: NURO							
04/14/2020	28.00	74.18	04/14/2020	67.17	0.00	7.01	Sale
04/14/2020	20.00	52.98	04/14/2020	48.00	0.00	4.98	Sale

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APEX CLEARING

Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B\*

OMB No. 1545-0715

2TZ05705

(continued)

01/24/2021

**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)

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

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**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
NEUROMETRIX INC COMMON STOCK   CUSIP: 641255807   Symbol: NURO							
04/14/2020	50.00	132.48	04/14/2020	119.99	0.00	12.49	Sale
04/14/2020	28.00	74.18	04/14/2020	67.19	0.00	6.99	Sale
04/14/2020	100.00	264.98	04/14/2020	239.98	0.00	25.00	Sale
04/14/2020	100.00	264.98	Various	239.98	0.00	25.00	Sale
04/14/2020	504.00	1,335.51	Various	1,209.18	0.00	126.33	Sale
04/14/2020	170.00	450.47	04/14/2020	407.83	0.00	42.64	Sale
04/14/2020	1,000.00	2,749.81	04/14/2020	2,447.90	0.00	301.91	Sale
<b>Security Totals:</b>		<b>5,399.57</b>		<b>4,847.22</b>		<b>552.35</b>	
DESKTOP METAL INC CLASS A COMMON STOCK   CUSIP: 25058X105   Symbol: DM							
12/14/2020	100.00	1,644.95	12/14/2020	1,635.04	0.00	9.91	Sale
12/14/2020	400.00	6,579.80	Various	6,450.06	0.00	129.74	Sale
12/14/2020	500.00	8,249.75	Various	8,212.48	100.1 D	137.37	Sale
12/14/2020	500.00	8,199.75	Various	8,005.00	0.00	194.75	Sale
12/14/2020	500.00	8,201.85	Various	8,047.50	0.00	154.35	Sale
<b>Security Totals:</b>		<b>32,876.10</b>		<b>32,350.08</b>		<b>626.12</b>	
***IMMUTEP LIMITED AMERICAN DEPOSITARY SHARES   CUSIP: 45257L108   Symbol: IMMP							
12/10/2020	12.00	75.34	12/10/2020	81.11	5.77 D	0.00	Sale
12/10/2020	500.00	3,104.87	Various	3,388.17	283.30 D	0.00	Sale
12/10/2020	1,000.00	6,119.74	Various	6,430.86	311.12 D	0.00	Sale
12/10/2020	500.00	3,109.87	Various	3,238.19	128.32 D	0.00	Sale
12/10/2020	1,988.00	12,444.36	Various	13,403.31	0.00	-958.95	Sale
12/10/2020	500.00	3,115.32	Various	3,408.30	292.98 D	0.00	Sale
12/10/2020	500.00	3,114.87	Various	3,215.36	100.49 D	0.00	Sale
12/10/2020	600.00	3,720.08	Various	3,950.94	230.86 D	0.00	Sale
12/10/2020	1,000.00	6,119.74	Various	6,511.12	391.38 D	0.00	Sale
12/10/2020	1,000.00	6,330.54	Various	6,944.17	613.63 D	0.00	Sale
12/10/2020	1,000.00	6,311.74	Various	6,877.40	565.66 D	0.00	Sale
<b>Security Totals:</b>		<b>53,566.47</b>		<b>57,448.93</b>		<b>-958.95</b>	

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APEX CLEARING

Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B\*

OMB No. 1545-0715

2TZ05705

(continued)

01/24/2021

**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)

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TFF PHARMACEUTICALS INC COMMON STOCK   CUSIP: 87241J104   Symbol: TFFP							
07/28/2020	100.00	869.97	07/28/2020	900.00	30.03 D	0.00	Sale
07/28/2020	100.00	870.97	Various	915.02	44.05 D	0.00	Sale
07/28/2020	300.00	2,609.90	Various	2,729.52	119.62 D	0.00	Sale
07/28/2020	200.00	1,629.94	Various	1,696.12	0.00	-66.18	Sale
07/28/2020	300.00	2,438.90	Various	2,433.04	0.00	5.86	Sale
<b>Security Totals:</b>		<b>8,419.68</b>		<b>8,673.70</b>		<b>-60.32</b>	
FIREEYE INC COM   CUSIP: 31816Q101   Symbol: FEYE							
12/24/2020	1,000.00	21,861.36	Various	21,920.00	0.00	-58.64	Buy to Cover Short
***JAWS ACQUISITION CORP CLASS A ORDINARY SHARES   CUSIP: G50744104   Symbol: JWS							
11/12/2020	250.00	2,809.90	11/12/2020	2,745.00	0.00	64.90	Sale
11/12/2020	100.00	1,117.96	11/12/2020	1,098.00	0.00	19.96	Sale
11/12/2020	100.00	1,116.96	11/12/2020	1,098.00	0.00	18.96	Sale
11/12/2020	100.00	1,114.96	Various	1,098.00	0.00	16.96	Sale
11/12/2020	100.00	1,116.96	11/12/2020	1,098.00	0.00	18.96	Sale
11/12/2020	100.00	1,114.96	11/12/2020	1,098.00	0.00	16.96	Sale
11/12/2020	100.00	1,114.96	11/12/2020	1,098.00	0.00	16.96	Sale
11/12/2020	100.00	1,114.96	11/12/2020	1,098.00	0.00	16.96	Sale
11/12/2020	100.00	1,114.96	11/12/2020	1,098.00	0.00	16.96	Sale
11/12/2020	100.00	1,116.96	Various	1,110.00	2.52 D	9.48	Sale
11/12/2020	100.00	1,117.96	Various	1,124.52	6.56 D	0.00	Sale
11/12/2020	200.00	2,229.93	Various	2,250.56	20.63 D	0.00	Sale
11/12/2020	400.00	4,459.85	Various	4,508.63	0.00	-48.78	Sale
11/12/2020	500.00	5,574.81	11/12/2020	5,610.00	0.00	-35.19	Sale
<b>Security Totals:</b>		<b>25,121.13</b>		<b>25,034.71</b>		<b>116.13</b>	
JAKKS PACIFIC INC COMMON STOCK   CUSIP: 47012E403   Symbol: JAKK							
10/12/2020	1,000.00	4,749.77	Various	4,879.00	0.00	-129.23	Sale
CREATIVE REALITIES INC COMMON STOCK   CUSIP: 22530J200   Symbol: CREX							
04/29/2020	920.00	3,689.00	04/29/2020	4,140.00	0.00	-451.00	Sale

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**SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS**

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

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CREATIVE REALITIES INC COMMON STOCK   CUSIP: 22530J200   Symbol: CREX							
04/29/2020	80.00	325.58	04/29/2020	360.00	0.00	-34.42	Sale
<b>Security Totals:</b>		<b>4,014.58</b>		<b>4,500.00</b>		<b>-485.42</b>	
AGEAGLE AERIAL SYSTEMS INC COMMON STOCK   CUSIP: 00848K101   Symbol: UAVS							
04/29/2020	500.00	979.91	Various	845.00	0.00	134.91	Sale
04/29/2020	100.00	172.99	04/29/2020	168.00	0.00	4.99	Sale
04/29/2020	900.00	1,556.94	Various	1,521.00	0.00	35.94	Sale
04/29/2020	1,000.00	2,084.83	Various	1,930.00	42.59 D	197.42	Sale
05/11/2020	100.00	148.98	05/11/2020	161.51	12.53 D	0.00	Sale
05/11/2020	1,900.00	2,830.70	Various	2,940.88	110.18 D	0.00	Sale
05/15/2020	1,000.00	1,429.84	Various	1,541.06	111.22 D	0.00	Sale
05/15/2020	2,000.00	2,859.69	Various	3,055.91	196.22 D	0.00	Sale
05/15/2020	1,000.00	1,429.84	Various	1,514.85	85.01 D	0.00	Sale
05/15/2020	93.00	135.76	05/15/2020	135.65	0.00	0.11	Sale
05/15/2020	50.00	72.98	05/15/2020	72.93	0.00	0.05	Sale
05/15/2020	200.00	291.97	05/15/2020	291.72	0.00	0.25	Sale
05/15/2020	275.00	401.46	05/15/2020	401.11	0.00	0.35	Sale
05/15/2020	2,200.00	3,211.66	Various	3,425.30	213.89 D	0.25	Sale
05/15/2020	3,000.00	4,109.54	Various	4,653.89	0.00	-544.35	Sale
05/15/2020	682.00	995.61	05/15/2020	994.77	0.00	0.84	Sale
05/15/2020	500.00	729.92	05/15/2020	729.30	0.00	0.62	Sale
07/07/2020	15.00	23.53	07/07/2020	23.86	0.33 D	0.00	Sale
07/07/2020	15.00	23.53	07/07/2020	23.86	0.33 D	0.00	Sale
07/07/2020	100.00	153.98	Various	171.83	17.85 D	0.00	Sale
07/07/2020	130.00	200.17	Various	218.40	18.23 D	0.00	Sale
07/07/2020	185.00	290.42	Various	295.02	4.60 D	0.00	Sale
07/07/2020	185.00	290.42	Various	294.32	3.90 D	0.00	Sale
07/07/2020	200.00	313.97	Various	323.07	9.10 D	0.00	Sale
07/07/2020	200.00	313.97	Various	346.40	32.43 D	0.00	Sale

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**SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS**

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AGEAGLE AERIAL SYSTEMS INC COMMON STOCK   CUSIP: 00848K101   Symbol: UAVS							
07/07/2020	200.00	313.97	Various	344.12	30.15 D	0.00	Sale
07/07/2020	200.00	313.97	Various	341.72	27.75 D	0.00	Sale
07/07/2020	300.00	470.94	Various	485.50	14.56 D	0.00	Sale
07/07/2020	500.00	769.92	Various	830.08	60.16 D	0.00	Sale
07/07/2020	500.00	784.92	Various	795.24	10.32 D	0.00	Sale
07/07/2020	1,000.00	1,569.84	Various	1,607.66	37.82 D	0.00	Sale
07/07/2020	1,000.00	1,569.84	Various	1,701.88	132.04 D	0.00	Sale
07/07/2020	1,000.00	1,569.84	Various	1,608.73	38.89 D	0.00	Sale
07/07/2020	2,500.00	3,999.61	Various	4,031.67	76.01 D	43.95	Sale
07/07/2020	4,270.00	6,575.14	Various	6,806.30	231.16 D	0.00	Sale
07/07/2020	18.00	27.88	Various	30.62	2.74 D	0.00	Sale
07/07/2020	100.00	153.98	Various	170.08	16.10 D	0.00	Sale
07/07/2020	82.00	127.08	Various	139.47	12.39 D	0.00	Sale
07/07/2020	100.00	152.98	Various	162.03	9.05 D	0.00	Sale
07/07/2020	200.00	307.97	Various	351.89	43.92 D	0.00	Sale
07/07/2020	200.00	307.97	Various	320.07	12.10 D	0.00	Sale
07/07/2020	200.00	307.97	Various	312.09	4.12 D	0.00	Sale
07/07/2020	250.00	382.46	Various	390.92	8.46 D	0.00	Sale
07/07/2020	286.00	440.40	Various	497.59	57.19 D	0.00	Sale
07/07/2020	300.00	461.94	07/07/2020	471.14	9.2 D	0.00	Sale
07/07/2020	300.00	461.94	Various	506.94	45.00 D	0.00	Sale
07/07/2020	300.00	464.94	Various	510.89	45.95 D	0.00	Sale
07/07/2020	357.00	571.18	Various	638.99	67.81 D	0.00	Sale
07/07/2020	400.00	615.93	Various	676.78	60.85 D	0.00	Sale
07/07/2020	482.00	742.20	Various	763.64	21.44 D	0.00	Sale
07/07/2020	500.00	764.92	Various	806.21	41.29 D	0.00	Sale
07/07/2020	500.00	799.92	Various	829.90	29.98 D	0.00	Sale

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APEX CLEARING

Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B\*

OMB No. 1545-0715

2TZ05705

(continued)

01/24/2021

SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

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1a - Description of property | CUSIP | Symbol

1c - DateSold 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
AGEAGLE AERIAL SYSTEMS INC COMMON STOCK   CUSIP: 00848K101   Symbol: UAVS							
07/07/2020	600.00	923.90	07/07/2020	942.19	18.29 D	0.00	Sale
07/07/2020	1,000.00	1,599.84	Various	1,689.78	89.94 D	0.00	Sale
07/07/2020	518.00	802.82	Various	859.21	56.39 D	0.00	Sale
07/07/2020	1,000.00	1,529.84	Various	1,625.87	96.03 D	0.00	Sale
07/07/2020	1,643.00	2,628.70	Various	2,798.79	170.09 D	0.00	Sale
07/07/2020	1,700.00	2,719.73	Various	2,911.60	191.87 D	0.00	Sale
07/07/2020	1,582.00	2,451.85	Various	2,625.46	173.61 D	0.00	Sale
07/07/2020	1,800.00	2,879.72	Various	3,179.51	299.79 D	0.00	Sale
07/07/2020	1,968.00	3,030.42	Various	3,219.36	188.94 D	0.00	Sale
07/07/2020	2,714.00	4,179.14	Various	4,399.52	220.38 D	0.00	Sale
07/07/2020	2,500.00	3,999.61	Various	4,020.43	89.64 D	68.82	Sale
07/07/2020	3,400.00	5,167.48	Various	5,403.81	236.33 D	0.00	Sale
07/10/2020	100.00	194.48	Various	201.43	6.95 D	0.00	Sale
07/10/2020	100.00	194.48	Various	202.17	7.69 D	0.00	Sale
07/10/2020	300.00	582.24	Various	605.45	23.21 D	0.00	Sale
07/10/2020	500.00	972.41	Various	1,026.96	54.55 D	0.00	Sale
07/10/2020	125.00	242.48	Various	245.04	2.56 D	0.00	Sale
07/10/2020	875.00	1,698.24	Various	1,760.46	62.22 D	0.00	Sale
07/10/2020	500.00	972.41	Various	1,022.81	50.40 D	0.00	Sale
07/10/2020	5,000.00	9,499.19	Various	9,988.93	489.74 D	0.00	Sale
07/10/2020	100.00	183.48	Various	198.13	14.65 D	0.00	Sale
07/10/2020	100.00	183.48	Various	198.11	14.63 D	0.00	Sale
07/10/2020	100.00	183.48	Various	198.12	14.64 D	0.00	Sale
07/10/2020	100.00	182.98	Various	198.72	15.74 D	0.00	Sale
07/10/2020	100.00	182.98	Various	193.59	10.61 D	0.00	Sale
07/10/2020	200.00	365.97	Various	387.54	21.57 D	0.00	Sale
07/10/2020	100.00	182.98	Various	194.15	11.17 D	0.00	Sale

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**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

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

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AGEAGLE AERIAL SYSTEMS INC COMMON STOCK   CUSIP: 00848K101   Symbol: UAVS							
07/10/2020	200.00	366.97	Various	388.20	21.23 D	0.00	Sale
07/10/2020	900.00	1,646.85	Various	1,781.42	134.57 D	0.00	Sale
07/10/2020	100.00	182.98	07/10/2020	188.01	5.03 D	0.00	Sale
07/10/2020	2,500.00	4,849.59	Various	4,775.42	0.00	74.17	Sale
07/13/2020	5.00	13.58	07/13/2020	14.28	0.7 D	0.00	Sale
07/13/2020	10.00	21.98	07/13/2020	22.51	0.53 D	0.00	Sale
07/13/2020	48.00	105.58	Various	108.02	2.44 D	0.00	Sale
07/13/2020	50.00	109.98	07/13/2020	112.52	2.54 D	0.00	Sale
07/13/2020	200.00	535.96	Various	559.18	23.22 D	0.00	Sale
07/13/2020	279.00	613.75	Various	627.63	13.88 D	0.00	Sale
07/13/2020	495.00	1,346.31	Various	1,356.66	17.58 D	7.23	Sale
07/13/2020	500.00	1,354.91	Various	1,371.16	19.36 D	3.11	Sale
07/13/2020	668.00	1,469.48	Various	1,550.41	80.93 D	0.00	Sale
07/13/2020	800.00	2,143.85	Various	2,159.52	15.67 D	0.00	Sale
07/13/2020	1,000.00	2,669.82	Various	2,737.72	67.90 D	0.00	Sale
07/13/2020	1,000.00	2,679.82	Various	2,701.07	21.25 D	0.00	Sale
07/13/2020	1,000.00	2,669.82	Various	2,691.32	36.14 D	14.64	Sale
07/13/2020	2,228.00	5,992.91	Various	6,086.76	93.85 D	0.00	Sale
07/13/2020	2,772.00	7,456.18	Various	7,605.97	149.79 D	0.00	Sale
07/13/2020	2,945.00	6,478.50	Various	6,806.81	328.31 D	0.00	Sale
07/13/2020	500.00	1,359.95	Various	1,363.05	11.24 D	8.14	Sale
07/13/2020	500.00	1,354.96	07/13/2020	1,350.09	0.00	4.87	Sale
07/13/2020	2,000.00	4,925.05	Various	4,792.49	8.94 D	141.50	Sale
07/15/2020	25.00	65.73	07/15/2020	67.02	1.29 D	0.00	Sale
07/15/2020	3,000.00	7,949.46	Various	8,129.76	180.30 D	0.00	Sale
07/15/2020	10.00	26.28	07/15/2020	26.81	0.53 D	0.00	Sale
07/15/2020	2,000.00	5,439.63	Various	5,509.58	69.95 D	0.00	Sale

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**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 - DateSold 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
AGEAGLE AERIAL SYSTEMS INC COMMON STOCK   CUSIP: 00848K101   Symbol: UAVS							
07/15/2020	31.00	81.51	07/15/2020	83.10	1.59 D	0.00	Sale
07/15/2020	45.00	118.33	07/15/2020	120.63	2.3 D	0.00	Sale
07/15/2020	88.00	231.42	07/15/2020	235.89	4.47 D	0.00	Sale
07/15/2020	100.00	262.98	Various	266.61	3.63 D	0.00	Sale
07/15/2020	100.00	262.98	07/15/2020	266.04	3.06 D	0.00	Sale
07/15/2020	100.00	262.98	07/15/2020	266.04	3.06 D	0.00	Sale
07/15/2020	148.00	387.73	07/15/2020	393.73	6 D	0.00	Sale
07/15/2020	175.00	460.21	Various	471.91	11.70 D	0.00	Sale
07/15/2020	100.00	262.98	Various	272.82	9.84 D	0.00	Sale
07/15/2020	184.00	483.88	Various	503.73	19.85 D	0.00	Sale
07/15/2020	200.00	525.96	Various	548.26	22.30 D	0.00	Sale
07/15/2020	200.00	525.96	Various	530.12	4.16 D	0.00	Sale
07/15/2020	200.00	525.96	Various	530.11	4.15 D	0.00	Sale
07/15/2020	200.00	525.96	Various	530.01	4.05 D	0.00	Sale
07/15/2020	200.00	525.96	Various	530.05	4.09 D	0.00	Sale
07/15/2020	200.00	525.96	07/15/2020	530.17	4.21 D	0.00	Sale
07/15/2020	200.00	525.96	Various	530.16	4.20 D	0.00	Sale
07/15/2020	200.00	525.96	Various	530.17	4.21 D	0.00	Sale
07/15/2020	445.00	1,170.27	Various	1,180.25	9.98 D	0.00	Sale
07/15/2020	400.00	1,051.92	Various	1,062.22	10.30 D	0.00	Sale
07/15/2020	700.00	1,840.87	Various	1,897.87	57.00 D	0.00	Sale
07/15/2020	749.00	1,969.73	Various	1,980.02	10.29 D	0.00	Sale
07/16/2020	200.00	621.96	Various	584.00	0.00	37.96	Sale
07/16/2020	800.00	2,487.84	Various	2,333.58	0.00	154.26	Sale
07/16/2020	1,000.00	3,089.81	Various	2,937.55	0.00	152.26	Sale
07/16/2020	1,000.00	3,229.80	07/16/2020	3,214.50	0.00	15.30	Sale
07/16/2020	1,000.00	3,234.80	07/16/2020	3,214.50	0.00	20.30	Sale

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APEX CLEARING

Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B\*

OMB No. 1545-0715

2TZ05705

(continued)

01/24/2021

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

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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
AGEAGLE AERIAL SYSTEMS INC COMMON STOCK   CUSIP: 00848K101   Symbol: UAVS							
07/16/2020	2,000.00	6,459.61	07/16/2020	6,440.00	0.00	19.61	Sale
07/16/2020	1,000.00	3,094.81	Various	2,944.29	0.00	150.52	Sale
12/23/2020	1,000.00	8,419.69	Various	8,435.00	30.15 D	14.84	Sale
12/23/2020	1,000.00	8,399.69	Various	8,512.43	0.00	-112.74	Sale
<b>Security Totals:</b>		<b>213,739.95</b>		<b>219,268.08</b>		<b>650.12</b>	
VOLT INFORMATION SCIENCES INC   CUSIP: 928703107   Symbol: VOLT							
07/02/2020	2,000.00	3,199.68	Various	3,400.00	0.00	-200.32	Sale
***DUNXIN FINANCIAL HOLDINGS LIMITED AMERICAN DPSTRY SHS ECH RPRSNTNG FORTY EIGHT ORD   CUSIP: 26605Q106   Symbol: DXF							
06/17/2020	2,000.00	2,719.69	06/17/2020	2,660.00	0.00	59.69	Sale
06/17/2020	2,000.00	2,799.69	Various	2,800.00	0.00	-0.31	Sale
<b>Security Totals:</b>		<b>5,519.38</b>		<b>5,460.00</b>		<b>59.38</b>	
AMERICAN VIRTUAL CLOUD TECHNOLOGIES INC COMMON STOCK   CUSIP: 030382105   Symbol: AVCT							
04/20/2020	50.00	175.48	04/20/2020	199.50	24.02 D	0.00	Sale
04/20/2020	100.00	353.98	Various	423.02	69.04 D	0.00	Sale
04/20/2020	50.00	175.48	04/20/2020	222.01	46.53 D	0.00	Sale
04/20/2020	100.00	354.98	Various	492.06	137.08 D	0.00	Sale
04/20/2020	100.00	352.98	Various	537.08	184.10 D	0.00	Sale
04/20/2020	100.00	353.98	Various	584.10	230.12 D	0.00	Sale
04/20/2020	100.00	354.98	04/20/2020	400.00	45.02 D	0.00	Sale
04/20/2020	100.00	354.98	04/20/2020	400.00	45.02 D	0.00	Sale
04/20/2020	100.00	350.98	04/20/2020	400.00	49.02 D	0.00	Sale
04/20/2020	935.00	3,272.31	Various	3,813.08	365.94 D	-174.83	Sale
04/20/2020	100.00	354.98	04/20/2020	408.02	0.00	-53.04	Sale
04/20/2020	165.00	577.46	Various	906.62	0.00	-329.16	Sale
<b>Security Totals:</b>		<b>7,032.57</b>		<b>8,785.49</b>		<b>-557.03</b>	
MOLECULIN BIOTECH INC COM   CUSIP: 60855D101   Symbol: MBRX							
07/15/2020	100.00	117.98	07/15/2020	118.00	0.00	-0.02	Sale
07/15/2020	100.00	117.98	07/15/2020	118.00	0.00	-0.02	Sale

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APEX CLEARING

Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B\*

OMB No. 1545-0715

2TZ05705

(continued)

01/24/2021

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)

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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
MOLECULIN BIOTECH INC COM   CUSIP: 60855D101   Symbol: MBRX							
07/15/2020	100.00	117.98	07/15/2020	118.00	0.00	-0.02	Sale
07/15/2020	100.00	117.98	07/15/2020	118.00	0.00	-0.02	Sale
07/15/2020	100.00	117.98	07/15/2020	118.00	0.00	-0.02	Sale
07/15/2020	100.00	117.98	07/15/2020	118.00	0.00	-0.02	Sale
07/15/2020	500.00	589.92	07/15/2020	590.00	0.00	-0.08	Sale
07/15/2020	500.00	589.92	07/15/2020	590.00	0.00	-0.08	Sale
07/15/2020	400.00	471.93	07/15/2020	472.00	0.00	-0.07	Sale
<b>Security Totals:</b>		<b>2,359.65</b>		<b>2,360.00</b>		<b>-0.35</b>	
WORKHORSE GROUP INC COM   CUSIP: 98138J206   Symbol: WKHS							
06/24/2020	10.00	98.28	06/24/2020	100.20	1.92 D	0.00	Sale
06/24/2020	14.00	137.60	06/24/2020	140.29	2.69 D	0.00	Sale
06/24/2020	100.00	982.96	Various	1,002.30	19.34 D	0.00	Sale
06/24/2020	100.00	982.96	Various	1,003.07	20.11 D	0.00	Sale
06/24/2020	276.00	2,712.99	Various	2,767.47	54.48 D	0.00	Sale
06/24/2020	500.00	4,394.84	Various	4,470.00	75.16 D	0.00	Sale
06/24/2020	2,000.00	17,899.36	Various	18,676.65	777.29 D	0.00	Sale
06/24/2020	2,000.00	18,039.36	Various	18,616.01	576.65 D	0.00	Sale
06/24/2020	500.00	4,942.33	Various	4,970.16	27.83 D	0.00	Sale
06/24/2020	1,000.00	9,059.67	Various	9,316.37	256.70 D	0.00	Sale
06/26/2020	7.00	69.23	06/24/2020	67.55	0.00	1.68	Buy to Cover Short
06/26/2020	50.00	494.48	06/24/2020	488.02	0.00	6.46	Buy to Cover Short
06/26/2020	133.00	1,316.66	Various	1,349.12	32.46 D	0.00	Buy to Cover Short
06/26/2020	167.00	1,653.24	Various	1,680.17	26.93 D	0.00	Buy to Cover Short
06/26/2020	200.00	1,977.94	06/24/2020	1,952.07	0.00	25.87	Buy to Cover Short
06/26/2020	243.00	2,403.19	06/24/2020	2,345.03	0.00	58.16	Buy to Cover Short
06/26/2020	250.00	2,460.00	Various	2,497.67	37.67 D	0.00	Buy to Cover Short
06/26/2020	250.00	2,459.92	Various	2,515.16	55.24 D	0.00	Buy to Cover Short
06/26/2020	250.00	2,472.41	Various	2,485.87	13.46 D	0.00	Buy to Cover Short

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APEX CLEARING

Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B\*

OMB No. 1545-0715

2TZ05705

(continued)

01/24/2021

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)

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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
WORKHORSE GROUP INC COM   CUSIP: 98138J206   Symbol: WKHS							
06/26/2020	250.00	2,472.41	Various	2,478.85	9.15 D	2.71	Buy to Cover Short
06/26/2020	700.00	6,929.76	Various	6,997.76	68.00 D	0.00	Buy to Cover Short
06/26/2020	1,000.00	8,649.70	Various	8,800.00	150.30 D	0.00	Buy to Cover Short
06/26/2020	7.00	68.88	06/24/2020	69.66	0.78 D	0.00	Buy to Cover Short
06/26/2020	43.00	423.10	06/24/2020	427.90	4.8 D	0.00	Buy to Cover Short
06/26/2020	100.00	961.96	Various	985.01	23.05 D	0.00	Buy to Cover Short
06/26/2020	100.00	983.96	Various	995.06	11.10 D	0.00	Buy to Cover Short
06/26/2020	100.00	983.96	Various	995.05	11.09 D	0.00	Buy to Cover Short
06/26/2020	250.00	2,459.92	Various	2,483.13	27.19 D	3.98	Buy to Cover Short
06/26/2020	900.00	8,649.68	Various	8,865.29	215.61 D	0.00	Buy to Cover Short
07/02/2020	185.00	3,727.64	Various	3,808.53	80.89 D	0.00	Sale
07/02/2020	315.00	6,347.06	Various	6,505.59	158.53 D	0.00	Sale
07/02/2020	500.00	10,049.71	Various	10,172.52	122.81 D	0.00	Sale
07/02/2020	500.00	10,119.71	Various	10,486.33	366.62 D	0.00	Sale
07/10/2020	100.00	1,478.95	07/10/2020	1,510.06	0.00	-31.11	Sale
07/10/2020	250.00	3,697.38	07/10/2020	3,775.16	0.00	-77.78	Sale
07/10/2020	650.00	9,613.20	Various	9,812.91	0.00	-199.71	Sale
07/10/2020	100.00	1,476.95	Various	1,526.70	0.00	-49.75	Sale
07/10/2020	100.00	1,477.45	Various	1,526.61	0.00	-49.16	Sale
07/10/2020	800.00	11,815.63	Various	12,381.72	0.00	-566.09	Sale
09/10/2020	10.00	223.28	09/10/2020	225.00	1.72 D	0.00	Sale
09/10/2020	100.00	2,232.94	09/10/2020	2,250.00	17.06 D	0.00	Sale
09/10/2020	150.00	3,349.40	09/10/2020	3,375.00	25.6 D	0.00	Sale
09/10/2020	740.00	16,516.34	09/10/2020	16,650.00	133.66 D	0.00	Sale
09/10/2020	1,000.00	22,799.77	Various	22,868.04	68.27 D	0.00	Sale
09/17/2020	500.00	13,959.63	Various	14,032.84	73.21 D	0.00	Sale
09/18/2020	250.00	6,899.81	Various	6,900.00	0.19 D	0.00	Buy to Cover Short

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APEX CLEARING

Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B\*

OMB No. 1545-0715

2TZ05705

(continued)

01/24/2021

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
WORKHORSE GROUP INC COM   CUSIP: 98138J206   Symbol: WKHS							
09/18/2020	750.00	20,699.45	09/16/2020	20,700.00	0.55 D	0.00	Buy to Cover Short
09/21/2020	100.00	3,022.92	09/21/2020	3,025.08	0.00	-2.16	Sale
09/21/2020	300.00	9,069.05	Various	9,075.22	0.00	-6.17	Sale
09/21/2020	600.00	18,131.52	Various	18,223.28	0.00	-91.76	Sale
09/21/2020	100.00	3,023.92	Various	3,072.08	48.16 D	0.00	Sale
09/21/2020	100.00	3,023.92	Various	3,072.09	48.17 D	0.00	Sale
09/21/2020	100.00	3,023.92	Various	3,072.09	48.17 D	0.00	Sale
09/21/2020	200.00	6,047.84	Various	6,144.17	96.33 D	0.00	Sale
09/21/2020	300.00	9,071.81	Various	9,211.23	139.42 D	0.00	Sale
09/21/2020	200.00	6,045.84	09/21/2020	6,140.14	94.3 D	0.00	Sale
09/24/2020	200.00	4,638.07	Various	4,760.33	0.00	-122.26	Sale
09/24/2020	200.00	4,638.07	Various	4,760.34	0.00	-122.27	Sale
09/24/2020	400.00	9,276.14	Various	9,515.58	0.00	-239.44	Sale
09/24/2020	200.00	4,638.07	09/24/2020	4,758.30	0.00	-120.23	Sale
<b>Security Totals:</b>		<b>337,276.14</b>		<b>342,877.83</b>		<b>-1,579.03</b>	
SESEN BIO INC COMMON STOCK   CUSIP: 817763105   Symbol: SESN							
07/23/2020	3,200.00	3,263.54	Various	3,264.00	0.00	-0.46	Sale
ENERGOUS CORPORATION   CUSIP: 29272C103   Symbol: WATT							
04/21/2020	10.00	35.98	04/21/2020	43.32	0.00	-7.34	Sale
04/21/2020	100.00	359.98	Various	433.17	0.00	-73.19	Sale
04/21/2020	1,000.00	3,359.80	Various	3,598.45	238.65 D	0.00	Sale
04/21/2020	1,390.00	5,003.71	Various	6,699.02	0.00	-1,695.31	Sale
04/21/2020	4,000.00	12,559.24	Various	14,749.93	2230.81 D	40.12	Sale
04/21/2020	3,000.00	11,399.38	Various	13,250.99	1175.51 D	-676.10	Sale
04/21/2020	3,000.00	9,810.02	Various	11,661.01	1850.99 D	0.00	Sale
04/23/2020	20.00	50.00	Various	60.84	10.84 D	0.00	Buy to Cover Short
04/23/2020	190.00	395.16	04/21/2020	416.10	20.94 D	0.00	Buy to Cover Short
04/23/2020	586.00	1,289.10	Various	1,383.06	93.96 D	0.00	Buy to Cover Short

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**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
ENERGOUS CORPORATION   CUSIP: 29272C103   Symbol: WATT							
04/23/2020	771.00	1,927.37	Various	2,349.30	421.93 D	0.00	Buy to Cover Short
04/23/2020	1,000.00	2,499.82	Various	3,058.52	558.70 D	0.00	Buy to Cover Short
04/23/2020	1,000.00	3,619.80	Various	3,876.01	0.00	-256.21	Buy to Cover Short
04/23/2020	1,209.00	3,022.28	Various	3,680.52	658.24 D	0.00	Buy to Cover Short
04/23/2020	2,414.00	5,310.39	Various	5,697.47	387.08 D	0.00	Buy to Cover Short
04/23/2020	2,810.00	5,844.31	Various	6,174.84	330.53 D	0.00	Buy to Cover Short
04/23/2020	1.00	2.70	04/21/2020	3.20	0.5 D	0.00	Buy to Cover Short
04/23/2020	20.00	44.20	04/21/2020	49.21	5.01 D	0.00	Buy to Cover Short
04/23/2020	20.00	44.20	04/21/2020	49.21	5.01 D	0.00	Buy to Cover Short
04/23/2020	5.00	13.50	04/21/2020	18.06	4.56 D	0.00	Buy to Cover Short
04/23/2020	30.00	69.29	04/21/2020	82.81	13.52 D	0.00	Buy to Cover Short
04/23/2020	30.00	81.00	Various	96.05	15.05 D	0.00	Buy to Cover Short
04/23/2020	10.00	32.00	04/21/2020	36.07	4.07 D	0.00	Buy to Cover Short
04/23/2020	24.00	53.03	04/21/2020	59.05	6.02 D	0.00	Buy to Cover Short
04/23/2020	52.00	140.39	Various	166.45	26.06 D	0.00	Buy to Cover Short
04/23/2020	95.00	256.48	04/21/2020	343.05	86.57 D	0.00	Buy to Cover Short
04/23/2020	99.00	228.64	Various	272.31	43.67 D	0.00	Buy to Cover Short
04/23/2020	100.00	230.95	Various	276.04	45.09 D	0.00	Buy to Cover Short
04/23/2020	50.00	182.99	04/21/2020	181.25	0.00	1.74	Buy to Cover Short
04/23/2020	100.00	230.98	04/21/2020	276.06	45.08 D	0.00	Buy to Cover Short
04/23/2020	100.00	220.98	Various	246.03	25.05 D	0.00	Buy to Cover Short
04/23/2020	100.00	269.99	Various	320.09	50.10 D	0.00	Buy to Cover Short
04/23/2020	100.00	365.98	04/21/2020	365.50	0.00	0.48	Buy to Cover Short
04/23/2020	100.00	320.46	Various	360.53	40.07 D	0.00	Buy to Cover Short
04/23/2020	100.00	269.98	04/21/2020	361.11	91.13 D	0.00	Buy to Cover Short
04/23/2020	100.00	269.99	Various	395.91	125.92 D	0.00	Buy to Cover Short
04/23/2020	200.00	461.96	Various	550.10	88.14 D	0.00	Buy to Cover Short

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APEX CLEARING

Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B\*

OMB No. 1545-0715

2TZ05705

(continued)

01/24/2021

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

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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
ENERGOUS CORPORATION   CUSIP: 29272C103   Symbol: WATT							
04/23/2020	200.00	731.96	04/21/2020	730.00	0.00	1.96	Buy to Cover Short
04/23/2020	100.00	319.98	04/21/2020	360.52	40.54 D	0.00	Buy to Cover Short
04/23/2020	200.00	639.96	Various	721.05	81.09 D	0.00	Buy to Cover Short
04/23/2020	200.00	639.96	04/21/2020	721.04	81.08 D	0.00	Buy to Cover Short
04/23/2020	200.00	639.96	04/21/2020	721.04	81.08 D	0.00	Buy to Cover Short
04/23/2020	200.00	639.96	Various	722.19	78.08 D	-4.15	Buy to Cover Short
04/23/2020	270.00	728.95	Various	865.78	136.83 D	0.00	Buy to Cover Short
04/23/2020	300.00	959.94	04/21/2020	1,084.56	0.00	-124.62	Buy to Cover Short
04/23/2020	272.00	734.35	Various	873.35	139.00 D	0.00	Buy to Cover Short
04/23/2020	300.00	959.94	04/21/2020	1,084.56	0.00	-124.62	Buy to Cover Short
04/23/2020	375.00	1,012.43	Various	1,204.06	191.63 D	0.00	Buy to Cover Short
04/23/2020	390.00	1,247.93	04/21/2020	1,409.93	0.00	-162.00	Buy to Cover Short
04/23/2020	400.00	1,079.92	Various	1,284.36	204.44 D	0.00	Buy to Cover Short
04/23/2020	400.00	1,079.93	Various	1,564.57	484.64 D	0.00	Buy to Cover Short
04/23/2020	400.00	1,079.92	Various	1,552.45	472.53 D	0.00	Buy to Cover Short
04/23/2020	400.00	1,079.93	Various	1,531.49	451.56 D	0.00	Buy to Cover Short
04/23/2020	600.00	1,325.90	Various	1,476.20	150.30 D	0.00	Buy to Cover Short
04/23/2020	516.00	1,191.88	Various	1,424.42	232.54 D	0.00	Buy to Cover Short
04/23/2020	700.00	2,561.86	04/21/2020	2,541.00	0.00	20.86	Buy to Cover Short
04/23/2020	705.00	1,628.42	Various	1,925.24	296.82 D	0.00	Buy to Cover Short
04/23/2020	1,000.00	3,199.81	04/21/2020	3,615.19	0.00	-415.38	Buy to Cover Short
04/23/2020	850.00	3,110.82	04/21/2020	3,085.50	0.00	25.32	Buy to Cover Short
04/23/2020	1,250.00	2,887.27	Various	3,471.59	584.32 D	0.00	Buy to Cover Short
04/23/2020	1,100.00	4,025.78	04/21/2020	3,992.78	0.00	33.00	Buy to Cover Short
04/23/2020	2,236.00	4,941.17	Various	5,501.34	560.17 D	0.00	Buy to Cover Short
04/23/2020	3,000.00	7,814.43	Various	9,059.98	1245.55 D	0.00	Buy to Cover Short

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APEX CLEARING

Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B\*

OMB No. 1545-0715

2TZ05705

(continued)

01/24/2021

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

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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
ENERGOUS CORPORATION   CUSIP: 29272C103   Symbol: WATT							
04/23/2020	3,000.00	10,688.32	Various	11,085.00	396.68 D	0.00	Buy to Cover Short
<b>Security Totals:</b>		<b>127,226.71</b>		<b>145,249.83</b>		<b>-3,415.44</b>	
WAITR HOLDINGS INC COMMON STOCK   CUSIP: 930752100   Symbol: WTRH							
03/17/2020	2,000.00	1,335.73	03/17/2020	1,343.60	7.87 D	0.00	Sale
03/18/2020	200.00	269.97	03/18/2020	206.79	0.00	63.18	Sale
03/18/2020	300.00	404.95	03/18/2020	310.18	0.00	94.77	Sale
03/18/2020	1,000.00	1,269.85	03/18/2020	1,033.94	0.00	235.91	Sale
03/18/2020	500.00	624.92	03/18/2020	516.96	0.00	107.96	Sale
03/20/2020	10.00	16.98	03/20/2020	17.51	0.53 D	0.00	Sale
03/20/2020	20.00	33.98	03/20/2020	35.01	1.03 D	0.00	Sale
03/20/2020	50.00	84.98	03/20/2020	87.53	2.55 D	0.00	Sale
03/20/2020	90.00	126.88	03/20/2020	130.53	0.00	-3.65	Sale
03/20/2020	130.00	220.97	Various	227.57	6.60 D	0.00	Sale
03/20/2020	386.00	544.19	Various	559.82	0.00	-15.63	Sale
03/20/2020	500.00	969.91	Various	985.20	15.29 D	0.00	Sale
03/20/2020	1,000.00	1,699.84	Various	1,750.28	50.44 D	0.00	Sale
03/20/2020	2,524.00	3,558.46	Various	3,705.53	0.00	-147.07	Sale
03/20/2020	2,790.00	4,718.85	Various	4,918.75	160.15 D	-39.75	Sale
03/20/2020	3,500.00	6,789.42	Various	6,910.49	121.07 D	0.00	Sale
03/23/2020	100.00	337.98	03/19/2020	340.00	2.02 D	0.00	Buy to Cover Short
03/23/2020	1,000.00	3,499.80	Various	3,220.19	0.00	279.61	Buy to Cover Short
03/23/2020	100.00	337.98	03/19/2020	340.00	2.02 D	0.00	Buy to Cover Short
03/23/2020	200.00	699.96	03/19/2020	700.04	0.08 D	0.00	Buy to Cover Short
03/23/2020	1,800.00	6,083.65	03/19/2020	6,120.00	36.35 D	0.00	Buy to Cover Short
03/23/2020	800.00	2,799.84	Various	2,800.16	0.32 D	0.00	Buy to Cover Short
03/24/2020	340.00	622.14	03/20/2020	530.40	0.00	91.74	Buy to Cover Short
03/24/2020	660.00	1,222.68	Various	1,029.60	0.00	193.08	Buy to Cover Short
03/24/2020	1,000.00	1,779.94	03/20/2020	1,570.00	0.00	209.94	Buy to Cover Short

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APEX CLEARING

## Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B\*

OMB No. 1545-0715

2TZ05705

(continued)

01/24/2021

**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
WAITR HOLDINGS INC COMMON STOCK   CUSIP: 930752100   Symbol: WTRH							
05/07/2020	500.00	1,134.91	05/07/2020	1,020.00	0.00	114.91	Sale
05/07/2020	35.00	77.68	05/07/2020	71.40	0.00	6.28	Sale
05/07/2020	500.00	1,109.91	05/07/2020	1,020.00	0.00	89.91	Sale
05/07/2020	165.00	366.27	05/07/2020	336.60	0.00	29.67	Sale
05/07/2020	100.00	221.98	05/07/2020	204.00	0.00	17.98	Sale
05/07/2020	500.00	1,109.91	05/07/2020	1,020.00	0.00	89.91	Sale
05/07/2020	200.00	443.97	05/07/2020	408.00	0.00	35.97	Sale
05/07/2020	2,000.00	4,763.85	05/07/2020	4,760.00	0.00	3.85	Sale
05/12/2020	1,000.00	3,739.79	Various	3,730.00	0.00	9.79	Sale
<b>Security Totals:</b>		<b>53,022.12</b>		<b>51,960.08</b>		<b>1,468.36</b>	
JAKKS PACIFIC INC   CUSIP: 47012E106   Symbol: JAKK							
06/24/2020	5,000.00	4,999.28	Various	5,200.00	200.72 D	0.00	Sale
06/24/2020	5,000.00	5,099.78	Various	5,500.72	0.00	-400.94	Sale
<b>Security Totals:</b>		<b>10,099.06</b>		<b>10,700.72</b>		<b>-400.94</b>	
ANIXA BIOSCIENCES INC COMMON STOCK   CUSIP: 03528H109   Symbol: ANIX							
05/06/2020	20.00	57.99	05/04/2020	60.80	2.81 D	0.00	Buy to Cover Short
05/06/2020	20.00	57.99	05/04/2020	61.00	3.01 D	0.00	Buy to Cover Short
05/06/2020	25.00	72.49	Various	77.83	5.34 D	0.00	Buy to Cover Short
05/06/2020	50.00	144.52	Various	156.49	11.97 D	0.00	Buy to Cover Short
05/06/2020	100.00	287.98	Various	309.92	10.25 D	-11.69	Buy to Cover Short
05/06/2020	785.00	2,260.65	Various	2,415.89	0.00	-155.24	Buy to Cover Short
<b>Security Totals:</b>		<b>2,881.62</b>		<b>3,081.93</b>		<b>-166.93</b>	
SLACK TECHNOLOGIES INC CLASS A COMMON STOCK   CUSIP: 83088V102   Symbol: WORK							
05/08/2020	600.00	18,611.45	Various	18,297.79	0.00	313.66	Sale
06/12/2020	100.00	3,160.92	06/10/2020	3,171.00	10.08 D	0.00	Buy to Cover Short
06/12/2020	100.00	3,150.92	Various	3,199.94	49.02 D	0.00	Buy to Cover Short
06/12/2020	100.00	3,166.92	Various	3,178.10	11.18 D	0.00	Buy to Cover Short
06/12/2020	100.00	3,139.02	Various	3,168.36	29.34 D	0.00	Buy to Cover Short

APEX CLEARING

Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B\*

OMB No. 1545-0715

2TZ05705

(continued)

01/24/2021

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

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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
SLACK TECHNOLOGIES INC CLASS A COMMON STOCK   CUSIP: 83088V102   Symbol: WORK							
06/12/2020	100.00	3,151.92	Various	3,206.34	54.42 D	0.00	Buy to Cover Short
06/12/2020	100.00	3,166.92	Various	3,196.02	29.10 D	0.00	Buy to Cover Short
06/12/2020	100.00	3,146.92	Various	3,161.18	14.26 D	0.00	Buy to Cover Short
06/12/2020	100.00	3,158.92	Various	3,231.51	72.59 D	0.00	Buy to Cover Short
06/12/2020	100.00	3,157.90	Various	3,181.08	23.18 D	0.00	Buy to Cover Short
06/12/2020	100.00	3,153.02	Various	3,212.54	59.52 D	0.00	Buy to Cover Short
06/12/2020	100.00	3,153.02	Various	3,213.56	60.54 D	0.00	Buy to Cover Short
06/12/2020	100.00	3,149.92	Various	3,212.52	62.60 D	0.00	Buy to Cover Short
06/12/2020	200.00	6,450.81	Various	6,538.60	0.00	-87.79	Buy to Cover Short
06/12/2020	100.00	3,157.92	Various	3,193.14	35.22 D	0.00	Buy to Cover Short
06/12/2020	100.00	3,154.92	Various	3,205.86	50.94 D	0.00	Buy to Cover Short
06/12/2020	100.00	3,146.90	Various	3,163.26	16.36 D	0.00	Buy to Cover Short
06/12/2020	100.00	3,152.02	Various	3,231.39	79.37 D	0.00	Buy to Cover Short
06/12/2020	100.00	3,163.02	Various	3,255.53	92.51 D	0.00	Buy to Cover Short
06/12/2020	100.00	3,158.02	Various	3,220.58	62.56 D	0.00	Buy to Cover Short
<b>Security Totals:</b>		<b>81,851.38</b>		<b>82,438.30</b>		<b>225.87</b>	

***PLATINUM GROUP METAL LTD COM NO PAR 2018   CUSIP: 72765Q882   Symbol: PLG							
12/08/2020	500.00	2,469.88	12/08/2020	2,390.00	0.00	79.88	Sale
12/08/2020	500.00	2,434.88	Various	2,385.66	0.00	49.22	Sale
12/08/2020	1,000.00	4,749.77	Various	4,789.90	40.13 D	0.00	Sale
12/09/2020	70.00	297.48	12/09/2020	286.31	0.00	11.17	Sale
12/09/2020	180.00	757.76	Various	736.23	0.00	21.53	Sale
12/09/2020	250.00	1,049.94	12/09/2020	1,022.53	0.00	27.41	Sale
12/09/2020	250.00	1,055.39	Various	1,022.43	0.00	32.96	Sale
12/09/2020	250.00	1,049.97	12/09/2020	1,022.53	0.00	27.44	Sale
12/16/2020	100.00	508.97	Various	518.44	9.47 D	0.00	Sale
12/16/2020	300.00	1,526.92	Various	1,566.03	39.11 D	0.00	Sale
12/16/2020	100.00	508.97	12/16/2020	519.00	10.03 D	0.00	Sale

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**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

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**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
***PLATINUM GROUP METAL LTD COM NO PAR 2018   CUSIP: 72765Q882   Symbol: PLG							
12/17/2020	400.00	2,160.30	12/17/2020	2,092.00	0.00	68.30	Sale
12/17/2020	100.00	540.07	12/17/2020	523.00	0.00	17.07	Sale
12/17/2020	500.00	2,700.38	Various	2,664.14	1.99 D	38.23	Sale
12/17/2020	1,000.00	5,199.76	Various	5,221.99	0.00	-22.23	Sale
<b>Security Totals:</b>		<b>27,010.44</b>		<b>26,760.19</b>		<b>350.98</b>	
LUMINAR TECHNOLOGIES INC CLASS A COMMON STOCK   CUSIP: 550424105   Symbol: LAZR							
12/03/2020	50.00	1,007.46	12/03/2020	986.43	0.00	21.03	Sale
12/03/2020	50.00	1,007.46	12/03/2020	986.42	0.00	21.04	Sale
12/03/2020	100.00	1,999.94	12/03/2020	1,972.85	0.00	27.09	Sale
12/03/2020	100.00	1,999.94	12/03/2020	1,972.85	0.00	27.09	Sale
12/07/2020	100.00	3,699.90	Various	3,686.27	0.00	13.63	Sale
12/07/2020	100.00	3,676.90	Various	3,686.02	9.12 D	0.00	Sale
12/07/2020	223.00	7,804.79	Various	8,150.57	345.78 D	0.00	Sale
12/07/2020	250.00	9,474.76	Various	9,725.95	251.19 D	0.00	Sale
12/07/2020	277.00	9,694.75	Various	9,928.34	233.59 D	0.00	Sale
12/07/2020	100.00	3,673.02	12/07/2020	3,628.18	0.00	44.84	Sale
12/07/2020	100.00	3,670.94	12/07/2020	3,628.18	0.00	42.76	Sale
12/07/2020	100.00	3,680.40	Various	3,749.73	69.33 D	0.00	Sale
12/09/2020	100.00	3,479.91	12/07/2020	3,467.08	0.00	12.83	Buy to Cover Short
12/09/2020	100.00	3,479.91	Various	3,472.10	0.00	7.81	Buy to Cover Short
12/09/2020	500.00	15,594.58	Various	15,735.00	140.42 D	0.00	Buy to Cover Short
12/09/2020	500.00	17,029.55	Various	17,564.46	534.91 D	0.00	Buy to Cover Short
12/09/2020	25.00	869.98	12/07/2020	862.51	0.00	7.47	Buy to Cover Short
12/09/2020	26.00	894.12	12/07/2020	901.94	7.82 D	0.00	Buy to Cover Short
12/09/2020	26.00	894.12	12/07/2020	901.94	7.82 D	0.00	Buy to Cover Short
12/09/2020	74.00	2,543.49	Various	2,574.88	31.39 D	0.00	Buy to Cover Short
12/09/2020	74.00	2,541.09	Various	2,589.33	48.24 D	0.00	Buy to Cover Short
12/09/2020	75.00	2,609.93	12/07/2020	2,587.52	0.00	22.41	Buy to Cover Short

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APEX CLEARING

Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B\*

OMB No. 1545-0715

2TZ05705

(continued)

01/24/2021

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

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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
LUMINAR TECHNOLOGIES INC CLASS A COMMON STOCK   CUSIP: 550424105   Symbol: LAZR							
12/09/2020	100.00	3,479.91	12/07/2020	3,463.03	0.00	16.88	Buy to Cover Short
12/09/2020	100.00	3,479.91	12/07/2020	3,450.03	0.00	29.88	Buy to Cover Short
12/09/2020	300.00	10,235.72	Various	10,475.18	239.46 D	0.00	Buy to Cover Short
12/09/2020	34.00	1,397.69	Various	1,366.53	0.00	31.16	Sale
12/09/2020	66.00	2,712.53	Various	2,613.07	0.00	99.46	Sale
12/09/2020	100.00	4,039.90	Various	4,018.11	0.00	21.79	Sale
12/09/2020	100.00	3,998.90	Various	4,078.31	79.41 D	0.00	Sale
12/09/2020	100.00	4,038.90	Various	4,014.36	0.00	24.54	Sale
12/14/2020	250.00	6,904.81	12/14/2020	7,050.38	145.57 D	0.00	Sale
12/14/2020	250.00	6,962.31	12/14/2020	6,995.00	32.69 D	0.00	Sale
12/14/2020	250.00	6,959.81	12/14/2020	7,027.69	67.88 D	0.00	Sale
12/15/2020	250.00	7,304.80	12/15/2020	7,308.77	3.97 D	0.00	Sale
12/15/2020	250.00	7,304.80	Various	7,462.05	157.25 D	0.00	Sale
12/15/2020	500.00	14,524.61	Various	14,761.27	0.00	-236.66	Sale
12/15/2020	250.00	7,304.80	12/15/2020	7,454.35	149.55 D	0.00	Sale
12/15/2020	250.00	7,307.45	Various	7,316.47	9.02 D	0.00	Sale
<b>Security Totals:</b>		<b>199,283.79</b>		<b>201,613.15</b>		<b>235.05</b>	
CHECKPOINT THERAPEUTICS INC COMMON STOCK   CUSIP: 162828107   Symbol: CKPT							
09/17/2020	41.00	140.61	09/17/2020	143.04	2.43 D	0.00	Sale
09/17/2020	159.00	548.51	09/17/2020	554.74	6.23 D	0.00	Sale
09/17/2020	200.00	685.96	09/17/2020	697.78	11.82 D	0.00	Sale
09/17/2020	200.00	701.96	Various	725.71	23.75 D	0.00	Sale
09/17/2020	200.00	701.96	Various	731.74	29.78 D	0.00	Sale
09/17/2020	200.00	701.96	Various	732.55	30.59 D	0.00	Sale
09/17/2020	200.00	701.96	Various	731.66	29.70 D	0.00	Sale
09/17/2020	200.00	701.96	09/17/2020	734.55	32.59 D	0.00	Sale
09/17/2020	300.00	1,029.23	09/17/2020	1,046.67	17.44 D	0.00	Sale
09/17/2020	300.00	1,029.23	09/17/2020	1,046.67	17.44 D	0.00	Sale

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**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)

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

1c - DateSold 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
CHECKPOINT THERAPEUTICS INC COMMON STOCK   CUSIP: 162828107   Symbol: CKPT							
09/17/2020	1,000.00	3,509.80	Various	3,676.01	166.21 D	0.00	Sale
09/17/2020	1,000.00	3,410.80	Various	3,560.36	149.56 D	0.00	Sale
09/17/2020	2.00	7.00	09/17/2020	7.25	0.00	-0.25	Sale
09/17/2020	4.00	14.02	09/17/2020	14.50	0.00	-0.48	Sale
09/17/2020	30.00	102.88	09/17/2020	108.41	5.53 D	0.00	Sale
09/17/2020	59.00	202.35	Various	212.23	9.88 D	0.00	Sale
09/17/2020	94.00	329.92	Various	339.50	0.00	-9.58	Sale
09/17/2020	100.00	342.98	09/17/2020	359.33	16.35 D	0.00	Sale
09/17/2020	100.00	341.98	Various	361.11	19.13 D	0.00	Sale
09/17/2020	100.00	341.98	09/17/2020	361.33	19.35 D	0.00	Sale
09/17/2020	100.00	341.98	Various	361.25	19.27 D	0.00	Sale
09/17/2020	100.00	341.98	09/17/2020	361.23	19.25 D	0.00	Sale
09/17/2020	100.00	350.98	Various	360.50	0.00	-9.52	Sale
09/17/2020	100.00	350.98	Various	363.39	0.00	-12.41	Sale
09/17/2020	100.00	341.98	09/17/2020	361.23	19.25 D	0.00	Sale
09/17/2020	100.00	342.98	Various	361.24	18.26 D	0.00	Sale
09/17/2020	200.00	701.98	Various	728.69	0.00	-26.71	Sale
09/17/2020	211.00	719.46	09/17/2020	762.20	42.74 D	0.00	Sale
09/17/2020	500.00	1,754.90	Various	1,822.58	0.00	-67.68	Sale
<b>Security Totals:</b>		<b>20,794.27</b>		<b>21,627.45</b>		<b>-126.63</b>	
XERIS PHARMACEUTICALS INC COMMON STOCK   CUSIP: 98422L107   Symbol: XERS							
08/20/2020	250.00	977.44	08/20/2020	871.75	0.00	105.69	Sale
08/20/2020	1,000.00	3,449.80	Various	3,639.30	189.50 D	0.00	Sale
08/20/2020	100.00	370.98	08/20/2020	348.64	0.00	22.34	Sale
08/20/2020	150.00	554.96	08/20/2020	522.96	0.00	32.00	Sale
08/20/2020	250.00	929.02	Various	871.60	0.00	57.42	Sale

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APEX CLEARING

Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B\*

OMB No. 1545-0715

2TZ05705

(continued)

01/24/2021

**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)

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**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
08/20/2020	250.00	1,015.92	08/20/2020	871.75	0.00	144.17	Sale
<b>Security Totals:</b>		<b>7,298.12</b>		<b>7,126.00</b>		<b>361.62</b>	
ROKU INC CLASS A COMMON STOCK   CUSIP: 77543R102   Symbol: ROKU							
05/20/2020	100.00	11,832.72	05/20/2020	11,917.00	0.00	-84.28	Sale
CARDIFF ONCOLOGY INC COMMON STOCK   CUSIP: 14147L108   Symbol: CRDF							
09/21/2020	100.00	944.96	09/21/2020	941.00	0.00	3.96	Sale
09/21/2020	300.00	2,831.89	Various	2,825.00	0.00	6.89	Sale
09/21/2020	600.00	5,670.40	09/21/2020	5,658.00	0.00	12.40	Sale
09/23/2020	50.00	608.47	09/23/2020	608.52	0.00	-0.05	Sale
09/23/2020	185.00	2,234.73	09/23/2020	2,247.75	13.02 D	0.00	Sale
09/23/2020	200.00	2,415.92	09/23/2020	2,430.00	14.08 D	0.00	Sale
09/23/2020	200.00	2,433.94	Various	2,441.58	0.00	-7.64	Sale
09/23/2020	300.00	3,623.96	09/23/2020	3,645.00	21.04 D	0.00	Sale
09/23/2020	315.00	3,805.07	09/23/2020	3,827.25	22.18 D	0.00	Sale
09/23/2020	750.00	9,127.88	Various	9,165.22	0.00	-37.34	Sale
<b>Security Totals:</b>		<b>33,697.22</b>		<b>33,789.32</b>		<b>-21.78</b>	
IMMUNOGEN INC   CUSIP: 45253H101   Symbol: IMGN							
11/17/2020	1,000.00	5,599.75	Various	5,695.00	0.00	-95.25	Sale
POLAR POWER INC COMMON STOCK   CUSIP: 73102V105   Symbol: POLA							
09/28/2020	21.00	71.38	09/28/2020	80.44	0.00	-9.06	Sale
09/28/2020	100.00	339.98	09/28/2020	364.04	24.06 D	0.00	Sale
09/28/2020	200.00	629.96	09/28/2020	632.00	2.04 D	0.00	Sale
09/28/2020	200.00	739.96	Various	728.08	0.00	11.88	Sale
09/28/2020	300.00	1,109.93	Various	1,088.12	0.00	21.81	Sale
09/28/2020	400.00	1,259.92	09/28/2020	1,264.00	4.08 D	0.00	Sale
09/28/2020	400.00	1,259.92	09/28/2020	1,264.00	4.08 D	0.00	Sale
09/28/2020	500.00	1,649.90	Various	1,550.98	0.00	98.92	Sale
09/28/2020	500.00	1,634.90	Various	1,550.00	0.00	84.90	Sale
09/28/2020	500.00	1,704.90	Various	1,840.22	92.24 D	-43.08	Sale

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**SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS**

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

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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
POLAR POWER INC COMMON STOCK   CUSIP: 73102V105   Symbol: POLA							
09/28/2020	879.00	2,970.85	Various	3,251.80	0.00	-280.95	Sale
09/28/2020	100.00	311.98	09/28/2020	317.02	5.04 D	0.00	Sale
09/28/2020	100.00	311.98	09/28/2020	317.02	5.04 D	0.00	Sale
09/28/2020	200.00	623.96	09/28/2020	634.04	10.08 D	0.00	Sale
09/28/2020	200.00	627.96	09/28/2020	634.04	6.08 D	0.00	Sale
09/28/2020	200.00	623.96	09/28/2020	634.04	10.08 D	0.00	Sale
09/28/2020	200.00	623.96	09/28/2020	634.04	10.08 D	0.00	Sale
09/28/2020	500.00	1,639.90	Various	1,546.99	0.00	92.91	Sale
09/28/2020	500.00	1,618.90	Various	1,550.00	0.00	68.90	Sale
10/29/2020	1,000.00	3,399.80	10/29/2020	3,290.00	0.00	109.80	Sale
<b>Security Totals:</b>		<b>23,154.00</b>		<b>23,170.87</b>		<b>156.03</b>	
***KAIXIN AUTO HOLDINGS ORDINARY SHARE   CUSIP: G5223X100   Symbol: KXIN							
11/20/2020	10.00	61.58	11/20/2020	58.50	0.00	3.08	Sale
11/20/2020	50.00	290.48	11/20/2020	263.00	0.00	27.48	Sale
11/20/2020	50.00	290.48	11/20/2020	263.00	0.00	27.48	Sale
11/20/2020	50.00	318.98	11/20/2020	326.01	7.03 D	0.00	Sale
11/20/2020	50.00	291.48	11/20/2020	281.00	0.00	10.48	Sale
11/20/2020	100.00	637.97	11/20/2020	652.03	14.06 D	0.00	Sale
11/20/2020	90.00	554.37	Various	527.00	0.00	27.37	Sale
11/20/2020	100.00	637.97	11/20/2020	652.02	14.05 D	0.00	Sale
11/20/2020	100.00	580.97	Various	523.00	0.00	57.97	Sale
11/20/2020	100.00	565.97	11/20/2020	520.00	0.00	45.97	Sale
11/20/2020	100.00	567.97	11/20/2020	520.00	0.00	47.97	Sale
11/20/2020	100.00	614.97	Various	586.00	0.00	28.97	Sale
11/20/2020	100.00	609.03	11/20/2020	585.00	0.00	24.03	Sale
11/20/2020	100.00	584.97	Various	526.00	0.00	58.97	Sale
11/20/2020	100.00	638.97	11/20/2020	596.86	0.00	42.11	Sale
11/20/2020	100.00	638.97	11/20/2020	596.86	0.00	42.11	Sale

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APEX CLEARING

Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B\*

OMB No. 1545-0715

2TZ05705

(continued)

01/24/2021

SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

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

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***KAIXIN AUTO HOLDINGS ORDINARY SHARE   CUSIP: G5223X100   Symbol: KXIN							
11/20/2020	100.00	637.97	Various	594.92	0.00	43.05	Sale
11/20/2020	100.00	614.97	11/20/2020	586.00	0.00	28.97	Sale
11/20/2020	100.00	649.97	Various	595.85	0.00	54.12	Sale
11/20/2020	100.00	632.97	11/20/2020	585.00	0.00	47.97	Sale
11/20/2020	200.00	1,165.95	11/20/2020	1,124.00	0.00	41.95	Sale
11/20/2020	100.00	653.97	11/20/2020	594.84	0.00	59.13	Sale
11/20/2020	250.00	1,602.43	Various	1,577.50	0.00	24.93	Sale
11/20/2020	250.00	1,362.43	11/20/2020	1,400.00	37.57 D	0.00	Sale
11/20/2020	250.00	1,362.43	11/20/2020	1,442.57	80.14 D	0.00	Sale
11/20/2020	250.00	1,602.43	11/20/2020	1,612.57	10.14 D	0.00	Sale
11/20/2020	250.00	1,642.43	11/20/2020	1,735.20	92.77 D	0.00	Sale
11/20/2020	250.00	1,499.93	11/20/2020	1,592.77	0.00	-92.84	Sale
11/20/2020	250.00	1,602.43	11/20/2020	1,625.06	0.00	-22.63	Sale
11/20/2020	250.00	1,427.43	11/20/2020	1,425.00	0.00	2.43	Sale
11/20/2020	250.00	1,430.08	Various	1,422.50	0.00	7.58	Sale
11/20/2020	250.00	1,602.43	11/20/2020	1,572.50	0.00	29.93	Sale
11/20/2020	1,000.00	5,489.75	Various	5,637.64	147.89 D	0.00	Sale
11/20/2020	250.00	1,429.93	11/20/2020	1,422.50	0.00	7.43	Sale
11/20/2020	250.00	1,449.93	11/20/2020	1,412.50	0.00	37.43	Sale
11/23/2020	250.00	2,067.42	Various	2,110.14	0.00	-42.72	Sale
11/23/2020	250.00	2,067.42	Various	2,085.14	0.00	-17.72	Sale
<b>Security Totals:</b>		<b>39,879.83</b>		<b>39,630.48</b>		<b>653.00</b>	
SPECTRUM PHARMACEUTICALS INC   CUSIP: 84763A108   Symbol: SPPI							
07/27/2020	1,000.00	5,399.76	Various	5,600.24	0.00	-200.48	Sale
07/27/2020	1,000.00	5,399.76	Various	5,500.00	100.24 D	0.00	Sale
<b>Security Totals:</b>		<b>10,799.52</b>		<b>11,100.24</b>		<b>-200.48</b>	
CORVUS PHARMACEUTICALS INC COMMON STOCK   CUSIP: 221015100   Symbol: CRVS							
09/15/2020	100.00	451.98	09/15/2020	485.09	0.00	-33.11	Sale

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APEX CLEARING

Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B\*

OMB No. 1545-0715

2TZ05705

(continued)

01/24/2021

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

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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
CORVUS PHARMACEUTICALS INC COMMON STOCK   CUSIP: 221015100   Symbol: CRVS							
09/15/2020	100.00	451.98	09/15/2020	475.06	0.00	-23.08	Sale
09/15/2020	100.00	456.97	09/15/2020	483.06	26.09 D	0.00	Sale
09/15/2020	100.00	455.97	09/15/2020	453.00	0.00	2.97	Sale
09/15/2020	100.00	451.98	09/15/2020	465.05	0.00	-13.07	Sale
09/15/2020	200.00	903.96	09/15/2020	930.09	0.00	-26.13	Sale
09/15/2020	500.00	2,259.89	Various	2,307.09	0.00	-47.20	Sale
09/15/2020	200.00	913.95	Various	936.06	22.11 D	0.00	Sale
09/15/2020	600.00	2,741.86	Various	2,758.09	24.18 D	7.95	Sale
09/15/2020	100.00	451.98	09/15/2020	462.00	10.02 D	0.00	Sale
09/15/2020	200.00	903.96	Various	934.02	30.06 D	0.00	Sale
09/15/2020	100.00	451.98	09/15/2020	482.04	30.06 D	0.00	Sale
09/15/2020	200.00	903.96	Various	934.02	30.06 D	0.00	Sale
09/15/2020	400.00	1,807.91	09/15/2020	1,848.00	40.09 D	0.00	Sale
<b>Security Totals:</b>		<b>13,608.33</b>		<b>13,952.67</b>		<b>-131.67</b>	
TILRAY INC CLASS 2 COMMON STOCK   CUSIP: 88688T100   Symbol: TLRV							
11/09/2020	96.00	1,118.36	11/09/2020	1,113.60	0.00	4.76	Sale
11/09/2020	250.00	2,842.40	11/09/2020	2,975.10	132.7 D	0.00	Sale
11/09/2020	250.00	2,924.90	11/09/2020	2,950.00	25.1 D	0.00	Sale
11/09/2020	250.00	2,842.40	11/09/2020	2,975.10	132.7 D	0.00	Sale
11/09/2020	404.00	4,706.44	11/09/2020	4,686.40	0.00	20.04	Sale
11/09/2020	250.00	2,924.90	11/09/2020	2,950.00	25.1 D	0.00	Sale
11/09/2020	250.00	2,919.98	11/09/2020	3,012.87	92.89 D	0.00	Sale
11/09/2020	250.00	2,911.50	11/09/2020	3,019.53	108.03 D	0.00	Sale
11/09/2020	250.00	2,884.18	11/09/2020	2,978.60	94.42 D	0.00	Sale
11/09/2020	250.00	2,884.00	11/09/2020	2,969.37	85.37 D	0.00	Sale
11/09/2020	250.00	2,884.00	11/09/2020	2,976.03	92.03 D	0.00	Sale
11/09/2020	250.00	2,884.00	11/09/2020	2,987.70	103.7 D	0.00	Sale
11/11/2020	2.00	16.38	11/11/2020	17.36	0.98 D	0.00	Sale

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**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)

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**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
TILRAY INC CLASS 2 COMMON STOCK   CUSIP: 88688T100   Symbol: TLRV							
11/11/2020	25.00	205.98	11/11/2020	216.04	10.06 D	0.00	Sale
11/11/2020	100.00	831.98	11/11/2020	866.16	34.18 D	0.00	Sale
11/11/2020	200.00	1,663.96	Various	1,735.23	71.27 D	0.00	Sale
11/11/2020	200.00	1,663.96	11/11/2020	1,743.98	80.02 D	0.00	Sale
11/11/2020	998.00	8,183.29	Various	8,462.73	279.44 D	0.00	Sale
11/11/2020	1,000.00	8,199.69	Various	8,548.44	0.00	-348.75	Sale
11/11/2020	1,375.00	11,329.58	Various	11,512.45	200.11 D	17.24	Sale
11/11/2020	100.00	835.97	11/11/2020	864.18	28.21 D	0.00	Sale
<b>Security Totals:</b>		<b>67,657.85</b>		<b>69,560.87</b>		<b>-306.71</b>	
***NORWEGIAN CRUISE LINE HOLDINGS LTD ORDINARY SHARES   CUSIP: G66721104   Symbol: NCLH							
05/01/2020	20.00	280.38	05/01/2020	280.20	0.00	0.18	Sale
05/01/2020	100.00	1,401.95	Various	1,401.00	0.00	0.95	Sale
05/01/2020	100.00	1,401.95	Various	1,401.00	0.00	0.95	Sale
05/01/2020	280.00	3,925.48	Various	3,922.78	0.00	2.70	Sale
05/05/2020	100.00	1,385.05	Various	1,385.72	0.67 D	0.00	Buy to Cover Short
05/05/2020	100.00	1,385.06	Various	1,387.30	2.24 D	0.00	Buy to Cover Short
05/05/2020	100.00	1,385.06	05/01/2020	1,388.04	2.98 D	0.00	Buy to Cover Short
05/05/2020	100.00	1,385.06	05/01/2020	1,388.04	2.98 D	0.00	Buy to Cover Short
05/05/2020	100.00	1,385.05	05/01/2020	1,388.05	3 D	0.00	Buy to Cover Short
05/05/2020	100.00	1,385.06	05/01/2020	1,388.04	2.98 D	0.00	Buy to Cover Short
05/05/2020	300.00	4,155.17	05/01/2020	4,164.11	8.94 D	0.00	Buy to Cover Short
05/05/2020	100.00	1,385.05	05/01/2020	1,388.04	2.99 D	0.00	Buy to Cover Short
05/05/2020	330.00	4,636.68	05/01/2020	4,636.50	0.00	0.18	Buy to Cover Short
05/05/2020	670.00	9,413.88	05/01/2020	9,410.15	0.00	3.73	Buy to Cover Short
05/05/2020	1,000.00	14,022.63	Various	14,050.00	27.37 D	0.00	Buy to Cover Short
05/05/2020	1,000.00	13,979.57	Various	13,846.90	0.00	132.67	Buy to Cover Short
05/05/2020	1,000.00	13,794.56	Various	13,813.68	19.33 D	0.21	Buy to Cover Short
05/05/2020	100.00	1,136.96	Various	1,169.42	32.46 D	0.00	Sale

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**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

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***NORWEGIAN CRUISE LINE HOLDINGS LTD ORDINARY SHARES   CUSIP: G66721104   Symbol: NCLH							
05/05/2020	300.00	3,410.88	Various	3,510.02	99.14 D	0.00	Sale
05/05/2020	500.00	5,694.81	Various	5,825.83	131.02 D	0.00	Sale
05/05/2020	600.00	6,815.77	Various	7,070.58	254.81 D	0.00	Sale
05/05/2020	1,000.00	11,379.62	Various	11,219.33	0.00	160.29	Sale
05/05/2020	1,000.00	11,370.62	Various	11,460.00	89.38 D	0.00	Sale
05/05/2020	1,000.00	11,369.62	Various	11,727.11	357.49 D	0.00	Sale
05/05/2020	1.00	11.15	05/05/2020	11.24	0.09 D	0.00	Sale
05/05/2020	9.00	100.51	05/05/2020	101.20	0.69 D	0.00	Sale
05/05/2020	16.00	178.70	05/05/2020	179.91	1.21 D	0.00	Sale
05/05/2020	16.00	178.70	05/05/2020	179.91	1.21 D	0.00	Sale
05/05/2020	19.00	212.21	05/05/2020	213.65	1.44 D	0.00	Sale
05/05/2020	37.00	418.82	Various	433.16	14.34 D	0.00	Sale
05/05/2020	33.00	368.59	05/05/2020	371.06	2.47 D	0.00	Sale
05/05/2020	45.00	509.37	Various	526.83	17.46 D	0.00	Sale
05/05/2020	50.00	573.97	05/05/2020	582.39	8.42 D	0.00	Sale
05/05/2020	50.00	585.47	05/05/2020	577.00	0.00	8.47	Sale
05/05/2020	50.00	577.97	Various	592.29	14.32 D	0.00	Sale
05/05/2020	50.00	573.97	05/05/2020	583.74	9.77 D	0.00	Sale
05/05/2020	50.00	573.97	Various	583.75	9.78 D	0.00	Sale
05/05/2020	63.00	713.76	Various	737.03	23.27 D	0.00	Sale
05/05/2020	64.00	714.85	Various	719.38	4.53 D	0.00	Sale
05/05/2020	71.00	793.04	Various	798.01	4.97 D	0.00	Sale
05/05/2020	84.00	938.24	05/05/2020	944.12	5.88 D	0.00	Sale
05/05/2020	100.00	1,169.96	05/05/2020	1,154.00	0.00	15.96	Sale
05/05/2020	100.00	1,169.96	05/05/2020	1,154.00	0.00	15.96	Sale
05/05/2020	100.00	1,170.96	05/05/2020	1,154.00	0.00	16.96	Sale
05/05/2020	100.00	1,155.96	Various	1,184.53	28.57 D	0.00	Sale

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APEX CLEARING

Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B\*

OMB No. 1545-0715

2TZ05705

(continued)

01/24/2021

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)

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***NORWEGIAN CRUISE LINE HOLDINGS LTD ORDINARY SHARES   CUSIP: G66721104   Symbol: NCLH							
05/05/2020	100.00	1,155.96	Various	1,184.26	28.30 D	0.00	Sale
05/05/2020	100.00	1,155.96	05/05/2020	1,184.04	28.08 D	0.00	Sale
05/05/2020	100.00	1,159.96	Various	1,181.69	21.73 D	0.00	Sale
05/05/2020	100.00	1,159.96	Various	1,181.58	21.62 D	0.00	Sale
05/05/2020	100.00	1,155.96	Various	1,184.32	28.36 D	0.00	Sale
05/05/2020	100.00	1,154.96	Various	1,187.07	32.11 D	0.00	Sale
05/05/2020	100.00	1,154.96	Various	1,186.67	31.71 D	0.00	Sale
05/05/2020	100.00	1,154.96	Various	1,186.58	31.62 D	0.00	Sale
05/05/2020	100.00	1,150.96	Various	1,163.48	12.52 D	0.00	Sale
05/05/2020	100.00	1,154.96	Various	1,186.99	32.03 D	0.00	Sale
05/05/2020	100.00	1,131.96	Various	1,169.69	37.73 D	0.00	Sale
05/05/2020	100.00	1,147.96	Various	1,167.48	19.52 D	0.00	Sale
05/05/2020	100.00	1,132.96	Various	1,172.12	39.16 D	0.00	Sale
05/05/2020	100.00	1,132.96	Various	1,170.56	37.60 D	0.00	Sale
05/05/2020	100.00	1,132.96	Various	1,169.24	36.28 D	0.00	Sale
05/05/2020	100.00	1,132.96	Various	1,166.56	33.60 D	0.00	Sale
05/05/2020	100.00	1,131.96	Various	1,168.32	36.36 D	0.00	Sale
05/05/2020	100.00	1,116.96	Various	1,123.95	6.99 D	0.00	Sale
05/05/2020	100.00	1,116.96	05/05/2020	1,123.94	6.98 D	0.00	Sale
05/05/2020	100.00	1,116.96	Various	1,127.51	10.55 D	0.00	Sale
05/05/2020	100.00	1,116.96	Various	1,143.82	26.86 D	0.00	Sale
05/05/2020	100.00	1,116.96	Various	1,149.50	32.54 D	0.00	Sale
05/05/2020	100.00	1,116.96	Various	1,149.37	32.41 D	0.00	Sale
05/05/2020	100.00	1,116.96	Various	1,148.76	31.80 D	0.00	Sale
05/05/2020	106.00	1,241.22	05/05/2020	1,223.24	0.00	17.98	Sale
05/05/2020	200.00	2,311.92	05/05/2020	2,369.07	57.15 D	0.00	Sale
05/05/2020	144.00	1,684.74	05/05/2020	1,661.76	0.00	22.98	Sale

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APEX CLEARING

Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B\*

OMB No. 1545-0715

2TZ05705

(continued)

01/24/2021

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)

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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
***NORWEGIAN CRUISE LINE HOLDINGS LTD ORDINARY SHARES   CUSIP: G66721104   Symbol: NCLH							
05/05/2020	200.00	2,295.92	Various	2,327.02	31.10 D	0.00	Sale
05/05/2020	230.00	2,569.01	Various	2,654.70	85.69 D	0.00	Sale
05/05/2020	200.00	2,295.92	05/05/2020	2,307.79	11.87 D	0.00	Sale
05/05/2020	261.00	2,996.18	Various	3,040.07	43.89 D	0.00	Sale
05/05/2020	291.00	3,250.36	Various	3,371.86	121.50 D	0.00	Sale
05/05/2020	300.00	3,443.88	05/05/2020	3,494.33	50.45 D	0.00	Sale
05/05/2020	300.00	3,467.88	Various	3,554.21	86.33 D	0.00	Sale
05/05/2020	300.00	3,467.88	Various	3,561.23	93.35 D	0.00	Sale
05/05/2020	300.00	3,443.88	05/05/2020	3,461.69	17.81 D	0.00	Sale
05/05/2020	355.00	4,018.47	Various	4,114.94	96.47 D	0.00	Sale
05/05/2020	389.00	4,465.57	05/05/2020	4,530.99	65.42 D	0.00	Sale
05/05/2020	400.00	4,679.84	Various	4,616.00	0.00	63.84	Sale
05/05/2020	500.00	5,875.36	Various	5,854.09	0.00	21.27	Sale
05/05/2020	400.00	4,531.84	Various	4,671.89	140.05 D	0.00	Sale
05/05/2020	500.00	5,774.81	Various	5,938.08	163.27 D	0.00	Sale
05/05/2020	500.00	5,855.21	Various	5,854.09	0.00	1.12	Sale
05/05/2020	525.00	6,063.55	Various	6,254.29	190.74 D	0.00	Sale
05/05/2020	575.00	6,641.03	Various	6,846.36	205.33 D	0.00	Sale
05/05/2020	750.00	8,669.71	Various	8,910.71	241.00 D	0.00	Sale
05/05/2020	800.00	9,279.69	Various	9,459.66	179.97 D	0.00	Sale
05/05/2020	1,100.00	12,627.59	Various	12,720.05	92.46 D	0.00	Sale
05/05/2020	1,166.00	13,023.79	Various	13,465.36	441.57 D	0.00	Sale
05/05/2020	1,900.00	21,868.28	Various	22,093.21	224.93 D	0.00	Sale
05/05/2020	2,000.00	23,299.24	Various	23,392.78	143.13 D	49.59	Sale
05/05/2020	2,000.00	22,900.25	Various	23,066.65	166.40 D	0.00	Sale
05/05/2020	2,300.00	25,667.16	Various	25,968.95	301.79 D	0.00	Sale
05/05/2020	4,000.00	44,319.74	Various	44,817.05	497.31 D	0.00	Sale

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**SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS**

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**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
***NORWEGIAN CRUISE LINE HOLDINGS LTD ORDINARY SHARES   CUSIP: G66721104   Symbol: NCLH							
05/05/2020	5,000.00	55,501.67	Various	56,655.59	1153.92 D	0.00	Sale
05/06/2020	100.00	1,170.96	Various	1,182.40	11.44 D	0.00	Sale
05/06/2020	100.00	1,170.96	Various	1,182.42	11.46 D	0.00	Sale
05/06/2020	100.00	1,170.96	Various	1,182.41	11.45 D	0.00	Sale
05/06/2020	100.00	1,170.96	Various	1,182.40	11.44 D	0.00	Sale
05/06/2020	100.00	1,170.96	Various	1,182.42	11.46 D	0.00	Sale
05/06/2020	1,100.00	12,869.58	Various	13,002.40	132.82 D	0.00	Sale
05/06/2020	400.00	4,683.84	Various	4,816.68	132.84 D	0.00	Sale
05/06/2020	1.00	11.40	05/06/2020	11.47	0.07 D	0.00	Sale
05/06/2020	10.00	112.78	05/06/2020	116.61	3.83 D	0.00	Sale
05/06/2020	11.00	124.06	05/06/2020	128.27	4.21 D	0.00	Sale
05/06/2020	50.00	563.97	Various	582.79	18.82 D	0.00	Sale
05/06/2020	7.00	79.92	Various	80.39	0.47 D	0.00	Sale
05/06/2020	50.00	563.97	Various	582.40	18.43 D	0.00	Sale
05/06/2020	91.00	1,039.18	Various	1,044.19	5.01 D	0.00	Sale
05/06/2020	93.00	1,062.02	Various	1,068.06	6.04 D	0.00	Sale
05/06/2020	100.00	1,141.96	Various	1,148.51	6.55 D	0.00	Sale
05/06/2020	100.00	1,141.96	Various	1,146.93	4.97 D	0.00	Sale
05/06/2020	100.00	1,109.96	Various	1,104.57	0.00	5.39	Sale
05/06/2020	100.00	1,127.96	Various	1,166.11	38.15 D	0.00	Sale
05/06/2020	100.00	1,127.96	Various	1,167.22	39.26 D	0.00	Sale
05/06/2020	100.00	1,141.96	Various	1,145.21	3.25 D	0.00	Sale
05/06/2020	100.00	1,141.96	Various	1,145.04	3.08 D	0.00	Sale
05/06/2020	100.00	1,127.96	Various	1,169.25	41.29 D	0.00	Sale
05/06/2020	150.00	1,691.94	Various	1,755.97	64.03 D	0.00	Sale
05/06/2020	200.00	2,255.93	Various	2,338.70	82.77 D	0.00	Sale
05/06/2020	229.00	2,541.81	Various	2,532.61	0.34 D	9.54	Sale

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**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

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1c - DateSold 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
***NORWEGIAN CRUISE LINE HOLDINGS LTD ORDINARY SHARES   CUSIP: G66721104   Symbol: NCLH							
05/06/2020	200.00	2,255.93	Various	2,338.15	82.22 D	0.00	Sale
05/06/2020	287.00	3,185.59	Various	3,229.96	44.44 D	0.07	Sale
05/06/2020	300.00	3,383.88	Various	3,505.87	121.99 D	0.00	Sale
05/06/2020	300.00	3,383.88	Various	3,437.81	53.93 D	0.00	Sale
05/06/2020	384.00	4,262.25	Various	4,387.94	125.69 D	0.00	Sale
05/06/2020	408.00	4,659.20	Various	4,682.92	23.72 D	0.00	Sale
05/06/2020	429.00	4,838.96	Various	4,880.07	41.11 D	0.00	Sale
05/06/2020	1,000.00	11,110.23	Various	11,040.79	0.00	69.44	Sale
05/06/2020	1,000.00	11,400.62	Various	11,572.11	172.12 D	0.63	Sale
05/06/2020	2,000.00	22,660.85	Various	22,884.72	223.87 D	0.00	Sale
05/07/2020	161.00	1,798.31	Various	1,798.30	0.00	0.01	Buy to Cover Short
05/07/2020	200.00	2,233.93	Various	2,233.91	0.00	0.02	Buy to Cover Short
05/07/2020	500.00	5,649.87	05/05/2020	5,625.00	0.00	24.87	Buy to Cover Short
05/07/2020	639.00	7,137.39	Various	7,137.34	0.00	0.05	Buy to Cover Short
05/07/2020	1,000.00	11,899.71	05/05/2020	11,550.00	0.00	349.71	Buy to Cover Short
05/07/2020	1,000.00	11,169.54	Various	11,167.10	0.00	2.44	Buy to Cover Short
05/07/2020	2,000.00	22,971.31	Various	23,000.00	28.69 D	0.00	Buy to Cover Short
05/07/2020	3.00	33.19	Various	33.28	0.09 D	0.00	Buy to Cover Short
05/07/2020	2.00	22.81	Various	22.64	0.00	0.17	Buy to Cover Short
05/07/2020	4.00	45.65	05/05/2020	45.28	0.00	0.37	Buy to Cover Short
05/07/2020	5.00	57.20	05/05/2020	57.25	0.05 D	0.00	Buy to Cover Short
05/07/2020	5.00	57.20	05/05/2020	57.25	0.05 D	0.00	Buy to Cover Short
05/07/2020	26.00	296.78	Various	294.32	0.00	2.46	Buy to Cover Short
05/07/2020	60.00	693.26	Various	699.90	6.64 D	0.00	Buy to Cover Short
05/07/2020	86.00	981.62	Various	973.52	0.00	8.10	Buy to Cover Short
05/07/2020	95.00	1,086.76	05/05/2020	1,087.78	1.02 D	0.00	Buy to Cover Short
05/07/2020	90.00	1,035.90	Various	1,044.58	8.68 D	0.00	Buy to Cover Short

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APEX CLEARING

Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B\*

OMB No. 1545-0715

2TZ05705

(continued)

01/24/2021

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
***NORWEGIAN CRUISE LINE HOLDINGS LTD ORDINARY SHARES   CUSIP: G66721104   Symbol: NCLH							
05/07/2020	82.00	935.59	05/05/2020	928.24	0.00	7.35	Buy to Cover Short
05/07/2020	100.00	1,151.00	05/05/2020	1,160.54	9.54 D	0.00	Buy to Cover Short
05/07/2020	100.00	1,151.00	05/05/2020	1,160.54	9.54 D	0.00	Buy to Cover Short
05/07/2020	100.00	1,151.00	05/05/2020	1,160.54	9.54 D	0.00	Buy to Cover Short
05/07/2020	100.00	1,151.01	05/05/2020	1,160.54	9.53 D	0.00	Buy to Cover Short
05/07/2020	100.00	1,151.00	Various	1,161.39	10.39 D	0.00	Buy to Cover Short
05/07/2020	100.00	1,151.00	Various	1,162.14	11.14 D	0.00	Buy to Cover Short
05/07/2020	100.00	1,153.45	Various	1,156.00	2.55 D	0.00	Buy to Cover Short
05/07/2020	100.00	1,143.96	05/05/2020	1,144.03	0.07 D	0.00	Buy to Cover Short
05/07/2020	100.00	1,140.96	05/05/2020	1,132.00	0.00	8.96	Buy to Cover Short
05/07/2020	100.00	1,143.96	05/05/2020	1,144.03	0.07 D	0.00	Buy to Cover Short
05/07/2020	100.00	1,146.96	Various	1,146.07	0.00	0.89	Buy to Cover Short
05/07/2020	100.00	1,121.96	05/05/2020	1,129.00	7.04 D	0.00	Buy to Cover Short
05/07/2020	100.00	1,143.96	05/05/2020	1,145.03	1.07 D	0.00	Buy to Cover Short
05/07/2020	100.00	1,121.96	Various	1,129.00	7.04 D	0.00	Buy to Cover Short
05/07/2020	100.00	1,121.96	05/05/2020	1,128.50	6.54 D	0.00	Buy to Cover Short
05/07/2020	100.00	1,143.96	05/05/2020	1,144.03	0.07 D	0.00	Buy to Cover Short
05/07/2020	100.00	1,140.96	05/05/2020	1,132.00	0.00	8.96	Buy to Cover Short
05/07/2020	100.00	1,129.97	05/05/2020	1,121.00	0.00	8.97	Buy to Cover Short
05/07/2020	100.00	1,121.96	05/05/2020	1,129.00	7.04 D	0.00	Buy to Cover Short
05/07/2020	100.00	1,121.96	05/05/2020	1,128.50	6.54 D	0.00	Buy to Cover Short
05/07/2020	100.00	1,121.96	05/05/2020	1,135.54	13.58 D	0.00	Buy to Cover Short
05/07/2020	100.00	1,121.96	Various	1,136.04	14.08 D	0.00	Buy to Cover Short
05/07/2020	100.00	1,140.96	05/05/2020	1,132.00	0.00	8.96	Buy to Cover Short
05/07/2020	100.00	1,121.96	05/05/2020	1,135.54	13.58 D	0.00	Buy to Cover Short
05/07/2020	100.00	1,140.96	05/05/2020	1,132.00	0.00	8.96	Buy to Cover Short
05/07/2020	100.00	1,121.96	05/05/2020	1,135.54	13.58 D	0.00	Buy to Cover Short

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APEX CLEARING

Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B\*

OMB No. 1545-0715

2TZ05705

(continued)

01/24/2021

**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 - DateSold 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
***NORWEGIAN CRUISE LINE HOLDINGS LTD ORDINARY SHARES   CUSIP: G66721104   Symbol: NCLH							
05/07/2020	100.00	1,129.82	05/05/2020	1,140.35	10.53 D	0.00	Buy to Cover Short
05/07/2020	100.00	1,140.96	05/05/2020	1,132.00	0.00	8.96	Buy to Cover Short
05/07/2020	100.00	1,121.96	05/05/2020	1,135.54	13.58 D	0.00	Buy to Cover Short
05/07/2020	184.00	2,117.85	Various	2,134.53	16.68 D	0.00	Buy to Cover Short
05/07/2020	188.00	2,162.62	Various	2,183.58	20.96 D	0.00	Buy to Cover Short
05/07/2020	195.00	2,230.73	Various	2,232.80	2.07 D	0.00	Buy to Cover Short
05/07/2020	200.00	2,297.30	Various	2,335.08	37.78 D	0.00	Buy to Cover Short
05/07/2020	200.00	2,295.92	Various	2,335.07	39.15 D	0.00	Buy to Cover Short
05/07/2020	202.00	2,248.15	Various	2,245.23	0.01 D	2.93	Buy to Cover Short
05/07/2020	215.00	2,459.52	Various	2,458.53	0.07 D	1.06	Buy to Cover Short
05/07/2020	238.00	2,732.16	Various	2,781.20	49.04 D	0.00	Buy to Cover Short
05/07/2020	272.00	3,103.42	05/05/2020	3,079.04	0.00	24.38	Buy to Cover Short
05/07/2020	300.00	3,422.89	05/05/2020	3,396.00	0.00	26.89	Buy to Cover Short
05/07/2020	400.00	4,519.89	05/05/2020	4,484.00	0.00	35.89	Buy to Cover Short
05/07/2020	405.00	4,633.05	Various	4,633.35	0.30 D	0.00	Buy to Cover Short
05/07/2020	300.00	3,443.87	Various	3,499.07	55.20 D	0.00	Buy to Cover Short
05/07/2020	680.00	7,778.94	05/05/2020	7,772.66	0.00	6.28	Buy to Cover Short
05/07/2020	900.00	10,382.14	Various	10,406.55	24.41 D	0.00	Buy to Cover Short
05/07/2020	924.00	10,630.21	Various	10,810.80	180.59 D	0.00	Buy to Cover Short
05/07/2020	728.00	8,306.22	05/05/2020	8,240.96	0.00	65.26	Buy to Cover Short
05/07/2020	1,000.00	11,299.73	05/05/2020	11,249.90	0.00	49.83	Buy to Cover Short
05/07/2020	1,940.00	22,453.90	Various	22,644.31	190.41 D	0.00	Buy to Cover Short
05/07/2020	2,000.00	22,520.03	Various	22,702.95	182.92 D	0.00	Buy to Cover Short
05/07/2020	1,900.00	21,792.27	Various	21,758.77	0.00	33.50	Buy to Cover Short
05/07/2020	2,000.00	22,460.70	Various	22,538.35	77.65 D	0.00	Buy to Cover Short
05/07/2020	2,000.00	22,759.25	05/05/2020	22,840.00	80.75 D	0.00	Buy to Cover Short
05/07/2020	300.00	3,546.18	Various	3,660.99	114.81 D	0.00	Sale

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**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

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

1c - DateSold 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
***NORWEGIAN CRUISE LINE HOLDINGS LTD ORDINARY SHARES   CUSIP: G66721104   Symbol: NCLH							
05/07/2020	200.00	2,364.12	Various	2,395.75	31.63 D	0.00	Sale
05/07/2020	500.00	5,910.30	Various	5,959.60	49.30 D	0.00	Sale
05/07/2020	100.00	1,186.96	Various	1,223.48	36.52 D	0.00	Sale
05/07/2020	400.00	4,747.84	Various	4,892.43	144.59 D	0.00	Sale
05/07/2020	500.00	5,910.35	Various	5,945.10	34.75 D	0.00	Sale
05/07/2020	1,000.00	12,319.60	Various	12,478.37	158.77 D	0.00	Sale
05/08/2020	94.00	1,084.73	Various	1,091.05	6.32 D	0.00	Buy to Cover Short
05/08/2020	100.00	1,153.92	Various	1,160.00	6.08 D	0.00	Buy to Cover Short
05/08/2020	100.00	1,153.96	05/06/2020	1,160.00	6.04 D	0.00	Buy to Cover Short
05/08/2020	268.00	3,092.62	05/06/2020	3,108.80	16.18 D	0.00	Buy to Cover Short
05/08/2020	438.00	5,054.36	Various	5,081.15	26.79 D	0.00	Buy to Cover Short
05/08/2020	800.00	9,287.69	Various	9,308.94	21.25 D	0.00	Buy to Cover Short
05/08/2020	1,000.00	11,539.62	Various	11,611.47	71.85 D	0.00	Buy to Cover Short
05/08/2020	1,200.00	13,931.53	Various	13,966.99	37.26 D	1.80	Buy to Cover Short
05/08/2020	100.00	1,168.46	05/06/2020	1,166.00	0.00	2.46	Buy to Cover Short
05/08/2020	100.00	1,168.46	05/06/2020	1,166.00	0.00	2.46	Buy to Cover Short
05/08/2020	100.00	1,167.95	Various	1,166.00	0.00	1.95	Buy to Cover Short
05/08/2020	100.00	1,167.96	05/06/2020	1,165.50	0.00	2.46	Buy to Cover Short
05/08/2020	100.00	1,167.96	05/06/2020	1,166.00	0.00	1.96	Buy to Cover Short
05/08/2020	100.00	1,167.96	05/06/2020	1,166.00	0.00	1.96	Buy to Cover Short
05/08/2020	200.00	2,335.92	05/06/2020	2,332.00	0.00	3.92	Buy to Cover Short
05/08/2020	200.00	2,335.92	05/06/2020	2,332.00	0.00	3.92	Buy to Cover Short
05/08/2020	300.00	3,503.89	05/06/2020	3,498.00	0.00	5.89	Buy to Cover Short
05/08/2020	320.00	3,715.67	Various	3,643.20	0.00	72.47	Buy to Cover Short
05/08/2020	700.00	8,175.73	05/06/2020	8,162.00	0.00	13.73	Buy to Cover Short
05/08/2020	2,000.00	23,059.31	Various	23,055.60	0.00	3.71	Buy to Cover Short
05/11/2020	500.00	6,115.35	Various	6,249.88	134.53 D	0.00	Buy to Cover Short

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APEX CLEARING

Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B\*

OMB No. 1545-0715

2TZ05705

(continued)

01/24/2021

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)

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***NORWEGIAN CRUISE LINE HOLDINGS LTD ORDINARY SHARES   CUSIP: G66721104   Symbol: NCLH							
05/11/2020	20.00	233.79	05/07/2020	238.81	5.02 D	0.00	Buy to Cover Short
05/11/2020	10.00	116.90	05/07/2020	119.40	2.5 D	0.00	Buy to Cover Short
05/11/2020	50.00	584.48	05/07/2020	597.02	12.54 D	0.00	Buy to Cover Short
05/11/2020	100.00	1,168.96	05/07/2020	1,193.54	24.58 D	0.00	Buy to Cover Short
05/11/2020	30.00	350.69	05/07/2020	358.21	7.52 D	0.00	Buy to Cover Short
05/11/2020	100.00	1,168.96	05/07/2020	1,194.04	25.08 D	0.00	Buy to Cover Short
05/11/2020	100.00	1,168.96	05/07/2020	1,194.04	25.08 D	0.00	Buy to Cover Short
05/11/2020	200.00	2,337.93	05/07/2020	2,388.07	50.14 D	0.00	Buy to Cover Short
05/11/2020	100.00	1,168.96	05/07/2020	1,194.04	25.08 D	0.00	Buy to Cover Short
05/11/2020	1,000.00	11,559.62	05/07/2020	11,700.00	140.38 D	0.00	Buy to Cover Short
05/11/2020	290.00	3,389.99	05/07/2020	3,462.71	72.72 D	0.00	Buy to Cover Short
05/13/2020	75.00	757.47	Various	782.40	24.93 D	0.00	Sale
05/13/2020	75.00	757.47	Various	784.47	27.00 D	0.00	Sale
05/13/2020	100.00	1,009.96	Various	1,049.11	39.15 D	0.00	Sale
05/13/2020	250.00	2,524.91	Various	2,579.61	54.70 D	0.00	Sale
05/13/2020	1,000.00	10,319.65	Various	10,371.49	64.22 D	12.38	Sale
05/13/2020	1,000.00	10,029.65	Various	10,090.66	61.27 D	0.26	Sale
05/13/2020	55.00	551.62	Various	568.59	16.97 D	0.00	Sale
05/13/2020	100.00	1,003.46	Various	1,032.44	28.98 D	0.00	Sale
05/13/2020	100.00	1,002.96	Various	1,032.70	29.74 D	0.00	Sale
05/13/2020	100.00	1,003.46	Various	1,030.46	27.00 D	0.00	Sale
05/13/2020	100.00	1,003.46	Various	1,004.35	0.89 D	0.00	Sale
05/13/2020	100.00	1,003.46	Various	1,012.77	9.31 D	0.00	Sale
05/13/2020	100.00	1,002.96	Various	1,034.23	31.27 D	0.00	Sale
05/13/2020	100.00	1,003.46	Various	1,035.35	31.89 D	0.00	Sale
05/13/2020	100.00	1,003.46	Various	1,036.24	32.78 D	0.00	Sale
05/13/2020	100.00	1,002.96	Various	1,038.48	35.52 D	0.00	Sale

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APEX CLEARING

Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B\*

OMB No. 1545-0715

2TZ05705

(continued)

01/24/2021

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
***NORWEGIAN CRUISE LINE HOLDINGS LTD ORDINARY SHARES   CUSIP: G66721104   Symbol: NCLH							
05/13/2020	100.00	1,003.46	Various	1,039.92	36.46 D	0.00	Sale
05/13/2020	100.00	1,002.97	Various	1,030.69	27.72 D	0.00	Sale
05/13/2020	100.00	1,012.46	Various	1,044.18	31.72 D	0.00	Sale
05/13/2020	100.00	1,012.46	Various	1,049.29	36.83 D	0.00	Sale
05/13/2020	200.00	2,005.93	Various	2,060.15	54.22 D	0.00	Sale
05/13/2020	500.00	5,059.82	Various	5,129.23	69.41 D	0.00	Sale
05/13/2020	500.00	5,005.77	Various	5,117.61	111.84 D	0.00	Sale
05/13/2020	645.00	6,469.12	Various	6,687.61	218.49 D	0.00	Sale
05/13/2020	1,000.00	10,019.75	Various	10,104.46	84.71 D	0.00	Sale
05/13/2020	1,300.00	13,155.55	Various	13,390.59	235.04 D	0.00	Sale
05/13/2020	2,000.00	20,019.31	Various	20,388.89	369.58 D	0.00	Sale
05/13/2020	2,000.00	20,122.31	Various	20,506.39	384.08 D	0.00	Sale
05/13/2020	2,000.00	20,119.31	Various	20,797.49	678.18 D	0.00	Sale
05/14/2020	35.00	365.03	Various	369.47	4.44 D	0.00	Sale
05/14/2020	100.00	1,042.96	Various	1,055.71	12.75 D	0.00	Sale
05/14/2020	400.00	4,171.85	Various	4,225.27	53.42 D	0.00	Sale
05/14/2020	465.00	4,849.78	Various	4,902.94	53.16 D	0.00	Sale
05/14/2020	500.00	5,229.87	Various	5,442.27	212.40 D	0.00	Sale
05/15/2020	600.00	6,671.78	Various	6,769.36	98.96 D	1.38	Sale
06/05/2020	500.00	11,084.69	Various	11,330.37	245.68 D	0.00	Sale
06/05/2020	500.00	11,094.69	Various	11,336.48	241.79 D	0.00	Sale
06/05/2020	1,000.00	22,209.38	Various	22,686.61	477.23 D	0.00	Sale
06/09/2020	24.00	551.74	06/05/2020	545.04	0.00	6.70	Buy to Cover Short
06/09/2020	76.00	1,747.19	06/05/2020	1,725.96	0.00	21.23	Buy to Cover Short
06/09/2020	100.00	2,300.93	06/05/2020	2,278.00	0.00	22.93	Buy to Cover Short
06/09/2020	100.00	2,282.93	06/05/2020	2,262.00	0.00	20.93	Buy to Cover Short
06/09/2020	100.00	2,280.93	06/05/2020	2,252.00	0.00	28.93	Buy to Cover Short

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APEX CLEARING

Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B\*

OMB No. 1545-0715

2TZ05705

(continued)

01/24/2021

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

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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
***NORWEGIAN CRUISE LINE HOLDINGS LTD ORDINARY SHARES   CUSIP: G66721104   Symbol: NCLH							
06/09/2020	100.00	2,300.94	06/05/2020	2,276.00	0.00	24.94	Buy to Cover Short
06/09/2020	100.00	2,279.93	06/05/2020	2,236.00	0.00	43.93	Buy to Cover Short
06/09/2020	100.00	2,299.94	06/05/2020	2,296.00	0.00	3.94	Buy to Cover Short
06/09/2020	500.00	11,017.70	Various	10,835.00	0.00	182.70	Buy to Cover Short
06/09/2020	20.00	442.39	06/05/2020	441.77	0.00	0.62	Buy to Cover Short
06/09/2020	100.00	2,211.94	06/05/2020	2,208.50	0.00	3.44	Buy to Cover Short
06/09/2020	100.00	2,299.93	06/05/2020	2,296.85	0.00	3.08	Buy to Cover Short
06/09/2020	100.00	2,211.94	06/05/2020	2,208.50	0.00	3.44	Buy to Cover Short
06/09/2020	100.00	2,298.94	06/05/2020	2,274.85	0.00	24.09	Buy to Cover Short
06/09/2020	300.00	6,635.82	06/05/2020	6,625.50	0.00	10.32	Buy to Cover Short
06/09/2020	480.00	10,617.30	06/05/2020	10,600.80	0.00	16.50	Buy to Cover Short
06/09/2020	25.00	611.72	06/09/2020	606.60	0.00	5.12	Sale
06/09/2020	50.00	1,220.46	Various	1,213.23	0.00	7.23	Sale
06/09/2020	100.00	2,504.43	Various	2,535.24	30.81 D	0.00	Sale
06/09/2020	200.00	4,791.87	Various	4,910.79	118.92 D	0.00	Sale
06/09/2020	200.00	4,882.87	Various	4,853.39	0.00	29.48	Sale
06/09/2020	250.00	5,982.33	Various	5,983.01	5.98 D	5.30	Sale
06/09/2020	225.00	5,505.59	Various	5,500.98	4.81 D	9.42	Sale
06/09/2020	300.00	7,202.80	Various	7,311.99	109.19 D	0.00	Sale
06/09/2020	250.00	6,037.33	Various	5,931.00	0.00	106.33	Sale
06/09/2020	500.00	12,249.66	Various	12,342.14	92.48 D	0.00	Sale
06/09/2020	900.00	22,536.29	Various	22,767.79	231.50 D	0.00	Sale
06/09/2020	100.00	2,350.93	Various	2,400.08	49.15 D	0.00	Sale
06/09/2020	1,000.00	24,189.34	Various	24,420.70	231.36 D	0.00	Sale
06/09/2020	400.00	9,403.74	Various	9,573.31	169.57 D	0.00	Sale
06/10/2020	40.00	855.97	Various	869.89	13.92 D	0.00	Sale
06/10/2020	60.00	1,283.96	Various	1,302.91	18.95 D	0.00	Sale

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APEX CLEARING

Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B\*

OMB No. 1545-0715

2TZ05705

(continued)

01/24/2021

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
***NORWEGIAN CRUISE LINE HOLDINGS LTD ORDINARY SHARES   CUSIP: G66721104   Symbol: NCLH							
06/10/2020	100.00	2,084.94	Various	2,163.28	78.34 D	0.00	Sale
06/10/2020	100.00	2,120.94	Various	2,173.08	52.14 D	0.00	Sale
06/10/2020	100.00	2,034.94	Various	2,086.69	51.75 D	0.00	Sale
06/10/2020	100.00	2,045.04	Various	2,076.74	31.70 D	0.00	Sale
06/10/2020	100.00	2,044.04	Various	2,068.09	24.05 D	0.00	Sale
06/10/2020	100.00	2,071.94	Various	2,081.55	9.61 D	0.00	Sale
06/10/2020	200.00	4,159.88	Various	4,291.23	131.35 D	0.00	Sale
06/10/2020	200.00	4,159.88	Various	4,247.69	87.81 D	0.00	Sale
06/10/2020	200.00	4,150.08	Various	4,233.15	83.07 D	0.00	Sale
06/10/2020	200.00	4,159.88	Various	4,242.22	82.34 D	0.00	Sale
06/10/2020	200.00	4,219.88	Various	4,338.78	118.90 D	0.00	Sale
06/10/2020	200.00	4,141.88	Various	4,222.59	80.71 D	0.00	Sale
06/10/2020	200.00	4,340.88	Various	4,412.65	71.77 D	0.00	Sale
06/10/2020	250.00	5,292.35	Various	5,454.54	162.19 D	0.00	Sale
06/10/2020	250.00	5,292.35	Various	5,388.26	95.91 D	0.00	Sale
06/10/2020	300.00	6,511.31	Various	6,662.14	150.83 D	0.00	Sale
06/10/2020	100.00	2,039.94	Various	2,080.83	40.89 D	0.00	Sale
06/10/2020	100.00	2,039.95	Various	2,082.73	42.78 D	0.00	Sale
06/10/2020	100.00	2,045.42	Various	2,061.84	16.42 D	0.00	Sale
06/10/2020	100.00	2,034.95	Various	2,087.55	52.60 D	0.00	Sale
06/10/2020	100.00	2,045.42	Various	2,062.85	17.43 D	0.00	Sale
06/10/2020	100.00	2,044.07	Various	2,074.83	30.76 D	0.00	Sale
06/10/2020	100.00	2,149.94	Various	2,204.29	54.35 D	0.00	Sale
06/10/2020	100.00	2,149.94	Various	2,163.89	13.95 D	0.00	Sale
06/10/2020	100.00	2,149.94	Various	2,160.52	10.58 D	0.00	Sale
06/10/2020	100.00	2,149.94	Various	2,220.05	70.11 D	0.00	Sale
06/11/2020	1.00	24.17	06/09/2020	24.55	0.38 D	0.00	Buy to Cover Short

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APEX CLEARING

Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B\*

OMB No. 1545-0715

2TZ05705

(continued)

01/24/2021

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

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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
***NORWEGIAN CRUISE LINE HOLDINGS LTD ORDINARY SHARES   CUSIP: G66721104   Symbol: NCLH							
06/11/2020	1.00	24.10	06/09/2020	24.61	0.51 D	0.00	Buy to Cover Short
06/11/2020	5.00	125.95	06/09/2020	126.00	0.05 D	0.00	Buy to Cover Short
06/11/2020	10.00	241.05	Various	246.10	5.05 D	0.00	Buy to Cover Short
06/11/2020	14.00	338.37	06/09/2020	343.71	5.34 D	0.00	Buy to Cover Short
06/11/2020	23.00	579.35	06/09/2020	579.60	0.25 D	0.00	Buy to Cover Short
06/11/2020	23.00	554.40	Various	566.15	11.75 D	0.00	Buy to Cover Short
06/11/2020	75.00	1,812.71	Various	1,841.81	29.10 D	0.00	Buy to Cover Short
06/11/2020	75.00	1,812.70	Various	1,841.20	28.50 D	0.00	Buy to Cover Short
06/11/2020	85.00	2,054.40	06/09/2020	2,085.48	31.08 D	0.00	Buy to Cover Short
06/11/2020	100.00	2,410.43	Various	2,461.36	50.93 D	0.00	Buy to Cover Short
06/11/2020	100.00	2,410.43	Various	2,460.49	50.06 D	0.00	Buy to Cover Short
06/11/2020	100.00	2,410.43	Various	2,460.94	50.51 D	0.00	Buy to Cover Short
06/11/2020	100.00	2,506.93	Various	2,529.07	22.14 D	0.00	Buy to Cover Short
06/11/2020	100.00	2,506.93	06/09/2020	2,529.07	22.14 D	0.00	Buy to Cover Short
06/11/2020	100.00	2,493.43	Various	2,520.71	27.28 D	0.00	Buy to Cover Short
06/11/2020	100.00	2,506.93	06/09/2020	2,529.07	22.14 D	0.00	Buy to Cover Short
06/11/2020	100.00	2,506.94	06/09/2020	2,528.91	21.97 D	0.00	Buy to Cover Short
06/11/2020	100.00	2,506.93	06/09/2020	2,529.06	22.13 D	0.00	Buy to Cover Short
06/11/2020	166.00	4,001.33	Various	4,083.09	81.76 D	0.00	Buy to Cover Short
06/11/2020	200.00	4,986.86	Various	5,040.42	53.56 D	0.00	Buy to Cover Short
06/11/2020	200.00	4,986.87	Various	5,041.23	54.36 D	0.00	Buy to Cover Short
06/11/2020	250.00	6,267.33	Various	6,190.00	0.00	77.33	Buy to Cover Short
06/11/2020	250.00	6,267.33	06/09/2020	6,072.50	0.00	194.83	Buy to Cover Short
06/11/2020	250.00	6,267.33	06/09/2020	6,145.00	0.00	122.33	Buy to Cover Short
06/11/2020	250.00	6,027.33	06/09/2020	5,900.00	0.00	127.33	Buy to Cover Short
06/11/2020	250.00	6,267.33	06/09/2020	6,060.00	0.00	207.33	Buy to Cover Short
06/11/2020	472.00	11,889.36	06/09/2020	11,894.40	5.04 D	0.00	Buy to Cover Short

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**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

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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
***NORWEGIAN CRUISE LINE HOLDINGS LTD ORDINARY SHARES   CUSIP: G66721104   Symbol: NCLH							
06/11/2020	500.00	12,339.62	Various	12,495.20	155.58 D	0.00	Buy to Cover Short
06/11/2020	500.00	12,302.07	Various	12,445.58	143.51 D	0.00	Buy to Cover Short
06/11/2020	500.00	12,047.17	Various	12,145.35	98.18 D	0.00	Buy to Cover Short
06/11/2020	500.00	11,752.18	06/09/2020	11,745.00	0.00	7.18	Buy to Cover Short
06/11/2020	1,000.00	24,424.37	Various	24,623.51	199.14 D	0.00	Buy to Cover Short
06/11/2020	50.00	1,208.37	Various	1,225.74	17.37 D	0.00	Buy to Cover Short
06/11/2020	100.00	2,416.48	Various	2,451.76	35.28 D	0.00	Buy to Cover Short
06/11/2020	100.00	2,416.94	Various	2,451.07	34.13 D	0.00	Buy to Cover Short
06/11/2020	250.00	6,027.34	06/09/2020	5,867.28	0.00	160.06	Buy to Cover Short
06/11/2020	500.00	12,084.66	Various	12,150.73	66.07 D	0.00	Buy to Cover Short
06/11/2020	500.00	12,502.16	Various	12,710.52	208.36 D	0.00	Buy to Cover Short
06/11/2020	100.00	1,768.95	Various	1,842.16	73.21 D	0.00	Sale
06/11/2020	10.00	176.88	06/11/2020	184.37	7.49 D	0.00	Sale
06/11/2020	100.00	1,768.95	Various	1,861.61	92.66 D	0.00	Sale
06/11/2020	100.00	1,768.95	Various	1,875.87	106.92 D	0.00	Sale
06/11/2020	490.00	8,667.84	Various	8,974.63	306.79 D	0.00	Sale
06/11/2020	100.00	1,768.95	Various	1,821.38	52.43 D	0.00	Sale
06/11/2020	500.00	8,539.75	Various	8,786.19	246.44 D	0.00	Sale
06/11/2020	100.00	1,768.95	Various	1,819.25	50.30 D	0.00	Sale
06/11/2020	500.00	8,609.74	Various	8,881.19	271.45 D	0.00	Sale
06/11/2020	500.00	8,609.74	Various	8,952.18	342.44 D	0.00	Sale
06/11/2020	500.00	8,609.74	Various	9,062.09	452.35 D	0.00	Sale
06/11/2020	1,000.00	17,749.48	Various	18,014.82	265.34 D	0.00	Sale
06/11/2020	1,000.00	17,379.49	Various	17,835.07	455.58 D	0.00	Sale
06/11/2020	1,000.00	17,619.49	Various	18,204.32	584.83 D	0.00	Sale
06/11/2020	23.00	399.49	06/11/2020	413.12	13.63 D	0.00	Sale
06/11/2020	1,000.00	17,759.48	Various	18,402.26	642.78 D	0.00	Sale

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**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

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***NORWEGIAN CRUISE LINE HOLDINGS LTD ORDINARY SHARES   CUSIP: G66721104   Symbol: NCLH							
06/11/2020	2,000.00	34,958.98	Various	35,687.13	728.15 D	0.00	Sale
06/11/2020	60.00	1,042.16	Various	1,083.10	40.94 D	0.00	Sale
06/11/2020	77.00	1,337.45	Various	1,403.07	65.62 D	0.00	Sale
06/11/2020	86.00	1,494.63	Various	1,567.60	72.97 D	0.00	Sale
06/11/2020	111.00	1,929.12	Various	2,004.22	75.10 D	0.00	Sale
06/11/2020	109.00	1,893.27	Various	1,953.78	60.51 D	0.00	Sale
06/11/2020	134.00	2,328.84	Various	2,431.14	102.30 D	0.00	Sale
06/11/2020	200.00	3,475.90	Various	3,642.40	166.50 D	0.00	Sale
06/11/2020	200.00	3,475.90	Various	3,605.56	129.66 D	0.00	Sale
06/11/2020	200.00	3,445.90	Various	3,528.68	82.78 D	0.00	Sale
06/11/2020	500.00	9,004.74	Various	9,168.40	163.66 D	0.00	Sale
06/11/2020	1,000.00	17,382.89	Various	18,036.52	653.63 D	0.00	Sale
06/11/2020	1,800.00	30,995.10	Various	31,885.04	889.94 D	0.00	Sale
06/11/2020	2,000.00	34,958.98	Various	36,210.06	1251.08 D	0.00	Sale
06/11/2020	2,000.00	35,226.78	Various	36,271.06	1044.28 D	0.00	Sale
06/12/2020	100.00	2,205.44	Various	2,255.29	49.85 D	0.00	Buy to Cover Short
06/12/2020	100.00	2,202.44	Various	2,233.22	30.78 D	0.00	Buy to Cover Short
06/12/2020	100.00	2,182.92	Various	2,223.35	40.43 D	0.00	Buy to Cover Short
06/12/2020	100.00	2,175.44	Various	2,232.59	57.15 D	0.00	Buy to Cover Short
06/12/2020	100.00	2,180.93	Various	2,213.22	32.29 D	0.00	Buy to Cover Short
06/12/2020	100.00	2,179.95	06/10/2020	2,214.21	34.26 D	0.00	Buy to Cover Short
06/12/2020	100.00	2,152.94	06/10/2020	2,186.10	33.16 D	0.00	Buy to Cover Short
06/12/2020	100.00	2,182.94	Various	2,214.97	32.03 D	0.00	Buy to Cover Short
06/12/2020	100.00	2,187.33	Various	2,255.62	68.29 D	0.00	Buy to Cover Short
06/12/2020	100.00	2,174.56	Various	2,246.29	71.73 D	0.00	Buy to Cover Short
06/12/2020	100.00	2,150.44	06/10/2020	2,174.09	23.65 D	0.00	Buy to Cover Short
06/12/2020	100.00	2,149.95	Various	2,221.35	71.40 D	0.00	Buy to Cover Short

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**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
***NORWEGIAN CRUISE LINE HOLDINGS LTD ORDINARY SHARES   CUSIP: G66721104   Symbol: NCLH							
06/12/2020	100.00	2,139.94	Various	2,194.23	54.29 D	0.00	Buy to Cover Short
06/12/2020	100.00	2,139.94	Various	2,190.40	50.46 D	0.00	Buy to Cover Short
06/12/2020	100.00	2,139.94	Various	2,153.95	14.01 D	0.00	Buy to Cover Short
06/12/2020	100.00	2,139.95	Various	2,211.10	71.15 D	0.00	Buy to Cover Short
06/12/2020	100.00	2,132.44	06/10/2020	2,164.12	31.68 D	0.00	Buy to Cover Short
06/12/2020	100.00	2,139.93	Various	2,138.35	0.00	1.58	Buy to Cover Short
06/12/2020	100.00	2,109.94	Various	2,136.19	26.25 D	0.00	Buy to Cover Short
06/12/2020	100.00	2,145.44	Various	2,156.64	13.05 D	1.85	Buy to Cover Short
06/12/2020	100.00	2,150.44	Various	2,189.55	39.11 D	0.00	Buy to Cover Short
06/12/2020	100.00	2,198.86	Various	2,257.55	58.69 D	0.00	Buy to Cover Short
06/12/2020	100.00	2,148.95	Various	2,183.90	34.95 D	0.00	Buy to Cover Short
06/12/2020	100.00	2,182.94	Various	2,215.64	32.70 D	0.00	Buy to Cover Short
06/12/2020	100.00	2,154.94	Various	2,222.73	67.79 D	0.00	Buy to Cover Short
06/12/2020	250.00	5,377.09	Various	5,492.41	115.32 D	0.00	Buy to Cover Short
06/12/2020	300.00	6,469.31	Various	6,673.19	203.88 D	0.00	Buy to Cover Short
06/12/2020	20.00	431.18	06/10/2020	439.35	8.17 D	0.00	Buy to Cover Short
06/12/2020	3.00	64.51	06/10/2020	66.15	1.64 D	0.00	Buy to Cover Short
06/12/2020	80.00	1,724.55	Various	1,757.24	32.69 D	0.00	Buy to Cover Short
06/12/2020	97.00	2,085.93	Various	2,138.22	52.29 D	0.00	Buy to Cover Short
06/12/2020	100.00	2,205.44	Various	2,249.51	44.07 D	0.00	Buy to Cover Short
06/12/2020	100.00	2,188.95	06/10/2020	2,201.20	12.25 D	0.00	Buy to Cover Short
06/12/2020	100.00	2,203.92	Various	2,249.66	45.74 D	0.00	Buy to Cover Short
06/12/2020	100.00	2,154.94	Various	2,186.28	31.34 D	0.00	Buy to Cover Short
06/12/2020	100.00	2,171.93	Various	2,207.76	35.83 D	0.00	Buy to Cover Short
06/12/2020	100.00	2,180.91	Various	2,212.10	31.19 D	0.00	Buy to Cover Short
06/12/2020	100.00	2,155.44	Various	2,184.03	28.59 D	0.00	Buy to Cover Short
06/12/2020	100.00	2,154.94	Various	2,175.62	20.68 D	0.00	Buy to Cover Short

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APEX CLEARING

Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B\*

OMB No. 1545-0715

2TZ05705

(continued)

01/24/2021

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

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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
***NORWEGIAN CRUISE LINE HOLDINGS LTD ORDINARY SHARES   CUSIP: G66721104   Symbol: NCLH							
06/12/2020	100.00	2,132.44	Various	2,149.63	17.19 D	0.00	Buy to Cover Short
06/12/2020	100.00	2,110.94	06/10/2020	2,148.58	37.64 D	0.00	Buy to Cover Short
06/12/2020	100.00	2,172.05	Various	2,205.17	33.12 D	0.00	Buy to Cover Short
06/12/2020	100.00	2,149.52	Various	2,168.87	19.35 D	0.00	Buy to Cover Short
06/12/2020	100.00	2,155.94	Various	2,188.68	32.74 D	0.00	Buy to Cover Short
06/12/2020	100.00	2,150.44	Various	2,215.19	64.75 D	0.00	Buy to Cover Short
06/12/2020	100.00	2,131.95	Various	2,162.26	30.31 D	0.00	Buy to Cover Short
06/12/2020	100.00	2,132.44	Various	2,167.38	34.94 D	0.00	Buy to Cover Short
06/12/2020	100.00	2,155.94	06/10/2020	2,202.16	46.22 D	0.00	Buy to Cover Short
06/12/2020	250.00	5,376.09	Various	5,572.94	196.85 D	0.00	Buy to Cover Short
06/12/2020	700.00	15,193.00	Various	15,457.57	264.57 D	0.00	Buy to Cover Short
06/12/2020	21.00	423.76	Various	427.96	4.20 D	0.00	Sale
06/12/2020	27.00	552.93	Various	556.85	3.92 D	0.00	Sale
06/12/2020	50.00	1,014.46	Various	1,013.95	0.00	0.51	Sale
06/12/2020	50.00	1,014.46	Various	1,011.76	0.00	2.70	Sale
06/12/2020	68.00	1,390.55	Various	1,441.09	50.54 D	0.00	Sale
06/12/2020	82.00	1,676.85	Various	1,735.94	59.09 D	0.00	Sale
06/12/2020	73.00	1,494.99	Various	1,518.18	23.19 D	0.00	Sale
06/12/2020	100.00	2,001.94	Various	1,998.27	6.07 D	9.74	Sale
06/12/2020	100.00	2,006.94	06/12/2020	2,012.66	5.72 D	0.00	Sale
06/12/2020	100.00	2,001.94	Various	2,017.17	15.23 D	0.00	Sale
06/12/2020	100.00	2,001.94	Various	2,020.79	18.85 D	0.00	Sale
06/12/2020	100.00	2,008.04	06/12/2020	2,012.65	4.61 D	0.00	Sale
06/12/2020	100.00	2,004.94	Various	1,997.16	0.46 D	8.24	Sale
06/12/2020	100.00	2,043.94	06/12/2020	1,992.56	0.00	51.38	Sale
06/12/2020	100.00	2,044.94	Various	2,098.54	53.60 D	0.00	Sale
06/12/2020	100.00	2,028.94	Various	2,000.64	0.08 D	28.38	Sale

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**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

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**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
***NORWEGIAN CRUISE LINE HOLDINGS LTD ORDINARY SHARES   CUSIP: G66721104   Symbol: NCLH							
06/12/2020	100.00	2,029.94	06/12/2020	1,992.55	0.00	37.39	Sale
06/12/2020	100.00	2,047.94	Various	2,078.86	30.92 D	0.00	Sale
06/12/2020	100.00	2,047.94	Various	2,051.96	4.02 D	0.00	Sale
06/12/2020	100.00	2,047.94	Various	2,051.94	4.00 D	0.00	Sale
06/12/2020	100.00	2,047.94	Various	2,051.93	3.99 D	0.00	Sale
06/12/2020	229.00	4,621.08	Various	4,696.92	75.84 D	0.00	Sale
06/12/2020	250.00	5,114.85	Various	5,256.60	141.75 D	0.00	Sale
06/12/2020	250.00	5,037.35	06/12/2020	4,963.88	0.00	73.47	Sale
06/12/2020	250.00	5,059.85	Various	5,179.52	119.67 D	0.00	Sale
06/12/2020	500.00	10,124.71	Various	10,571.75	447.04 D	0.00	Sale
06/12/2020	500.00	10,209.71	Various	10,524.93	315.22 D	0.00	Sale
06/12/2020	500.00	10,114.71	Various	10,348.94	234.23 D	0.00	Sale
06/12/2020	500.00	10,124.71	Various	10,461.48	336.77 D	0.00	Sale
06/12/2020	29.00	588.09	Various	603.66	15.57 D	0.00	Sale
06/12/2020	80.00	1,631.15	Various	1,667.97	36.82 D	0.00	Sale
06/12/2020	89.00	1,778.17	Various	1,815.16	36.99 D	0.00	Sale
06/12/2020	61.00	1,218.74	Various	1,254.06	35.32 D	0.00	Sale
06/12/2020	100.00	2,031.94	Various	2,011.07	0.00	20.87	Sale
06/12/2020	100.00	2,018.44	Various	2,070.49	52.05 D	0.00	Sale
06/12/2020	100.00	2,044.94	Various	2,098.69	53.75 D	0.00	Sale
06/12/2020	100.00	1,997.94	Various	2,055.80	57.86 D	0.00	Sale
06/12/2020	100.00	2,026.94	Various	2,082.24	55.30 D	0.00	Sale
06/12/2020	100.00	2,038.94	Various	2,105.78	66.84 D	0.00	Sale
06/12/2020	109.00	2,222.45	Various	2,301.56	79.11 D	0.00	Sale
06/12/2020	100.00	2,038.94	Various	2,095.51	56.57 D	0.00	Sale
06/12/2020	111.00	2,263.22	Various	2,308.18	44.96 D	0.00	Sale
06/12/2020	150.00	3,067.43	Various	3,139.70	72.27 D	0.00	Sale

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**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)

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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
***NORWEGIAN CRUISE LINE HOLDINGS LTD ORDINARY SHARES   CUSIP: G66721104   Symbol: NCLH							
06/12/2020	150.00	3,027.66	Various	3,096.18	68.52 D	0.00	Sale
06/12/2020	250.00	4,929.86	Various	5,101.39	171.53 D	0.00	Sale
06/12/2020	371.00	7,523.67	Various	7,720.84	197.17 D	0.00	Sale
06/12/2020	250.00	5,039.88	Various	5,108.58	68.70 D	0.00	Sale
06/15/2020	35.00	631.38	Various	640.72	9.34 D	0.00	Buy to Cover Short
06/15/2020	100.00	1,803.45	Various	1,799.15	4.53 D	8.83	Buy to Cover Short
06/15/2020	15.00	270.59	Various	272.50	1.91 D	0.00	Buy to Cover Short
06/15/2020	100.00	1,803.95	Various	1,826.81	22.86 D	0.00	Buy to Cover Short
06/15/2020	500.00	8,949.72	Various	9,025.98	83.60 D	7.34	Buy to Cover Short
06/15/2020	500.00	8,979.73	Various	9,115.36	144.42 D	8.79	Buy to Cover Short
06/15/2020	1,000.00	17,369.49	Various	17,652.14	282.65 D	0.00	Buy to Cover Short
06/15/2020	500.00	8,987.24	Various	9,247.86	260.62 D	0.00	Buy to Cover Short
06/15/2020	2,000.00	34,043.93	Various	34,535.16	491.23 D	0.00	Buy to Cover Short
06/15/2020	2,000.00	34,588.97	Various	34,924.13	335.16 D	0.00	Buy to Cover Short
06/15/2020	12.00	208.22	Various	210.21	1.99 D	0.00	Buy to Cover Short
06/15/2020	24.00	416.18	Various	420.81	4.63 D	0.00	Buy to Cover Short
06/15/2020	2,200.00	38,293.80	Various	38,359.28	148.79 D	83.31	Buy to Cover Short
06/15/2020	12.00	208.07	Various	210.68	2.61 D	0.00	Buy to Cover Short
06/15/2020	88.00	1,525.89	Various	1,541.21	15.32 D	0.00	Buy to Cover Short
06/15/2020	100.00	1,733.96	Various	1,753.78	19.82 D	0.00	Buy to Cover Short
06/15/2020	88.00	1,525.87	Various	1,550.46	24.59 D	0.00	Buy to Cover Short
06/15/2020	250.00	4,509.87	Various	4,562.26	54.57 D	2.18	Buy to Cover Short
06/15/2020	176.00	3,051.75	Various	3,085.14	33.39 D	0.00	Buy to Cover Short
06/15/2020	500.00	8,669.73	Various	8,760.26	90.53 D	0.00	Buy to Cover Short
06/15/2020	500.00	8,882.23	Various	9,186.91	304.68 D	0.00	Buy to Cover Short
06/16/2020	29.00	562.73	06/12/2020	560.59	0.00	2.14	Buy to Cover Short
06/16/2020	250.00	5,027.35	06/12/2020	5,082.50	55.15 D	0.00	Buy to Cover Short

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APEX CLEARING

Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B\*

OMB No. 1545-0715

2TZ05705

(continued)

01/24/2021

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

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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
***NORWEGIAN CRUISE LINE HOLDINGS LTD ORDINARY SHARES   CUSIP: G66721104   Symbol: NCLH							
06/16/2020	250.00	4,806.34	Various	4,790.00	0.00	16.34	Buy to Cover Short
06/16/2020	221.00	4,288.38	Various	4,272.05	0.00	16.33	Buy to Cover Short
06/16/2020	250.00	4,813.89	06/12/2020	4,785.00	0.00	28.89	Buy to Cover Short
06/16/2020	250.00	4,847.33	Various	4,828.05	0.00	19.28	Buy to Cover Short
06/16/2020	250.00	4,766.10	Various	4,775.00	8.90 D	0.00	Buy to Cover Short
06/16/2020	250.00	4,752.32	Various	4,783.90	31.58 D	0.00	Buy to Cover Short
06/16/2020	1,000.00	19,019.45	Various	19,045.15	47.79 D	22.09	Buy to Cover Short
06/16/2020	250.00	4,776.11	Various	4,816.31	40.20 D	0.00	Buy to Cover Short
06/16/2020	250.00	4,749.86	Various	4,825.20	75.34 D	0.00	Buy to Cover Short
06/16/2020	500.00	9,829.69	Various	9,845.38	15.69 D	0.00	Buy to Cover Short
06/16/2020	1,000.00	18,979.45	Various	18,837.59	0.38 D	142.24	Buy to Cover Short
06/16/2020	5.00	106.48	06/16/2020	108.77	2.29 D	0.00	Sale
06/16/2020	15.00	272.98	06/16/2020	279.04	0.00	-6.06	Sale
06/16/2020	40.00	729.97	06/16/2020	721.19	0.00	8.78	Sale
06/16/2020	50.00	979.96	Various	1,009.11	0.00	-29.15	Sale
06/16/2020	57.00	1,037.93	Various	1,060.37	0.00	-22.44	Sale
06/16/2020	79.00	1,423.53	Various	1,476.24	0.00	-52.71	Sale
06/16/2020	68.00	1,209.00	Various	1,239.34	0.00	-30.34	Sale
06/16/2020	100.00	2,088.94	Various	2,032.42	0.00	56.52	Sale
06/16/2020	100.00	2,076.94	Various	2,056.44	0.00	20.50	Sale
06/16/2020	100.00	2,076.94	Various	2,113.86	36.92 D	0.00	Sale
06/16/2020	100.00	2,083.94	Various	2,048.27	0.00	35.67	Sale
06/16/2020	100.00	2,129.94	Various	2,181.42	51.48 D	0.00	Sale
06/16/2020	100.00	1,828.94	Various	1,835.84	0.00	-6.90	Sale
06/16/2020	129.00	2,354.17	Various	2,345.30	0.00	8.87	Sale
06/16/2020	100.00	2,129.94	Various	2,188.34	58.40 D	0.00	Sale
06/16/2020	100.00	1,824.94	Various	1,829.33	0.00	-4.39	Sale

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APEX CLEARING

Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B\*

OMB No. 1545-0715

2TZ05705

(continued)

01/24/2021

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)

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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
***NORWEGIAN CRUISE LINE HOLDINGS LTD ORDINARY SHARES   CUSIP: G66721104   Symbol: NCLH							
06/16/2020	200.00	4,201.88	Various	4,298.40	96.52 D	0.00	Sale
06/16/2020	200.00	4,201.88	Various	4,305.60	103.72 D	0.00	Sale
06/16/2020	191.00	3,743.49	Various	3,824.85	0.00	-81.36	Sale
06/16/2020	231.00	4,215.62	Various	4,254.90	0.00	-39.28	Sale
06/16/2020	250.00	5,452.34	Various	5,564.69	112.35 D	0.00	Sale
06/16/2020	295.00	6,283.32	Various	6,468.18	91.12 D	-93.74	Sale
06/16/2020	259.00	5,076.25	Various	5,163.09	0.00	-86.84	Sale
06/16/2020	421.00	7,590.41	Various	7,895.65	0.00	-305.24	Sale
06/16/2020	432.00	7,680.74	Various	7,990.86	0.00	-310.12	Sale
06/16/2020	400.00	7,315.78	Various	7,333.84	0.00	-18.06	Sale
06/16/2020	500.00	9,649.72	Various	10,005.44	0.00	-355.72	Sale
06/16/2020	928.00	16,898.39	Various	17,339.38	0.00	-440.99	Sale
06/16/2020	12.00	260.98	06/16/2020	266.47	5.49 D	0.00	Sale
06/16/2020	500.00	10,979.69	Various	11,250.29	270.60 D	0.00	Sale
06/16/2020	20.00	434.98	Various	444.64	9.66 D	0.00	Sale
06/16/2020	43.00	935.21	Various	950.87	15.66 D	0.00	Sale
06/16/2020	25.00	543.72	06/16/2020	549.48	5.76 D	0.00	Sale
06/16/2020	100.00	2,174.94	Various	2,225.47	50.53 D	0.00	Sale
06/16/2020	77.00	1,678.67	Various	1,732.20	53.53 D	0.00	Sale
06/16/2020	100.00	2,174.94	Various	2,200.60	25.66 D	0.00	Sale
06/16/2020	100.00	2,174.94	Various	2,224.97	50.03 D	0.00	Sale
06/16/2020	173.00	3,771.29	Various	3,886.68	115.39 D	0.00	Sale
06/16/2020	100.00	2,075.24	Various	2,113.63	38.39 D	0.00	Sale
06/16/2020	200.00	4,349.88	Various	4,372.67	22.79 D	0.00	Sale
06/16/2020	250.00	5,457.34	Various	5,489.93	32.59 D	0.00	Sale
06/16/2020	250.00	5,450.22	Various	5,576.53	126.31 D	0.00	Sale
06/16/2020	500.00	10,984.69	Various	11,184.19	199.50 D	0.00	Sale

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**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

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**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
***NORWEGIAN CRUISE LINE HOLDINGS LTD ORDINARY SHARES   CUSIP: G66721104   Symbol: NCLH							
06/17/2020	400.00	7,559.77	Various	7,723.15	163.38 D	0.00	Buy to Cover Short
06/17/2020	100.00	1,889.94	06/15/2020	1,911.96	22.02 D	0.00	Buy to Cover Short
06/17/2020	100.00	1,889.94	Various	1,911.95	22.01 D	0.00	Buy to Cover Short
06/17/2020	1,000.00	18,780.46	Various	18,955.34	174.88 D	0.00	Buy to Cover Short
06/17/2020	500.00	9,609.72	Various	10,010.10	0.00	-400.38	Sale
06/17/2020	1,000.00	19,439.45	Various	19,889.83	0.00	-450.38	Sale
06/17/2020	55.00	1,054.86	Various	1,105.94	0.00	-51.08	Sale
06/17/2020	100.00	1,917.94	Various	1,982.35	0.00	-64.41	Sale
06/17/2020	100.00	1,917.94	Various	1,995.54	0.00	-77.60	Sale
06/17/2020	245.00	4,698.96	Various	4,855.35	0.00	-156.39	Sale
06/18/2020	300.00	6,572.82	Various	6,600.26	36.28 D	8.84	Buy to Cover Short
06/18/2020	750.00	15,514.55	Various	15,864.38	349.83 D	0.00	Buy to Cover Short
06/18/2020	500.00	10,486.72	Various	10,595.96	109.24 D	0.00	Buy to Cover Short
06/18/2020	100.00	2,137.93	Various	2,162.95	25.02 D	0.00	Buy to Cover Short
06/18/2020	2,000.00	41,448.84	Various	41,929.79	480.95 D	0.00	Buy to Cover Short
06/18/2020	100.00	2,192.94	Various	2,251.14	58.20 D	0.00	Buy to Cover Short
06/18/2020	100.00	2,192.94	Various	2,236.07	43.13 D	0.00	Buy to Cover Short
06/18/2020	100.00	2,188.94	Various	2,221.01	32.07 D	0.00	Buy to Cover Short
06/18/2020	100.00	2,188.94	06/16/2020	2,221.02	32.08 D	0.00	Buy to Cover Short
06/18/2020	100.00	2,080.92	Various	2,140.91	59.99 D	0.00	Buy to Cover Short
06/18/2020	100.00	2,080.94	Various	2,138.85	57.91 D	0.00	Buy to Cover Short
06/18/2020	100.00	2,074.94	Various	2,114.87	39.93 D	0.00	Buy to Cover Short
06/18/2020	150.00	3,103.43	Various	3,200.75	97.32 D	0.00	Buy to Cover Short
06/18/2020	150.00	3,190.91	Various	3,244.54	53.63 D	0.00	Buy to Cover Short
06/18/2020	200.00	4,373.88	Various	4,445.03	71.15 D	0.00	Buy to Cover Short
06/18/2020	200.00	4,201.88	Various	4,288.49	86.61 D	0.00	Buy to Cover Short
06/18/2020	200.00	4,200.88	Various	4,325.45	124.57 D	0.00	Buy to Cover Short

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APEX CLEARING

Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B\*

OMB No. 1545-0715

2TZ05705

(continued)

01/24/2021

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

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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
***NORWEGIAN CRUISE LINE HOLDINGS LTD ORDINARY SHARES   CUSIP: G66721104   Symbol: NCLH							
06/18/2020	200.00	4,137.91	Various	4,202.51	64.60 D	0.00	Buy to Cover Short
06/18/2020	350.00	7,241.33	Various	7,323.82	82.49 D	0.00	Buy to Cover Short
06/18/2020	400.00	8,551.76	Various	8,694.03	142.27 D	0.00	Buy to Cover Short
06/18/2020	700.00	15,313.00	Various	15,556.64	243.64 D	0.00	Buy to Cover Short
06/18/2020	600.00	12,730.84	Various	13,073.41	342.57 D	0.00	Buy to Cover Short
06/19/2020	30.00	582.13	06/17/2020	609.51	27.38 D	0.00	Buy to Cover Short
06/19/2020	100.00	1,923.93	Various	1,937.56	13.63 D	0.00	Buy to Cover Short
06/19/2020	100.00	1,998.95	Various	2,001.63	2.68 D	0.00	Buy to Cover Short
06/19/2020	100.00	1,998.94	Various	1,994.61	0.00	4.33	Buy to Cover Short
06/19/2020	100.00	1,998.94	Various	1,989.61	0.00	9.33	Buy to Cover Short
06/19/2020	100.00	1,998.94	Various	1,994.62	0.00	4.32	Buy to Cover Short
06/19/2020	100.00	1,998.94	Various	1,994.61	0.00	4.33	Buy to Cover Short
06/19/2020	100.00	1,998.94	Various	1,994.62	0.00	4.32	Buy to Cover Short
06/19/2020	191.00	3,674.73	Various	3,700.74	26.01 D	0.00	Buy to Cover Short
06/19/2020	287.00	5,521.71	Various	5,560.78	39.07 D	0.00	Buy to Cover Short
06/19/2020	300.00	5,996.83	06/17/2020	5,953.85	0.00	42.98	Buy to Cover Short
06/19/2020	422.00	8,119.04	Various	8,176.49	57.45 D	0.00	Buy to Cover Short
06/19/2020	970.00	18,827.00	Various	19,526.38	699.38 D	0.00	Buy to Cover Short
06/19/2020	1,000.00	19,219.49	Various	19,855.38	635.89 D	0.00	Buy to Cover Short
06/19/2020	100.00	1,998.95	Various	1,994.61	0.00	4.34	Buy to Cover Short
06/23/2020	100.00	1,836.94	Various	1,885.61	48.67 D	0.00	Buy to Cover Short
06/23/2020	400.00	7,347.78	Various	7,536.13	188.35 D	0.00	Buy to Cover Short
06/23/2020	500.00	9,120.17	Various	9,375.18	0.00	-255.01	Buy to Cover Short
06/23/2020	500.00	9,124.91	Various	9,456.98	273.39 D	-58.68	Buy to Cover Short
06/23/2020	500.00	9,084.73	Various	9,384.52	0.00	-299.79	Buy to Cover Short
06/23/2020	100.00	1,831.94	Various	1,892.31	60.37 D	0.00	Buy to Cover Short
06/23/2020	100.00	1,830.94	Various	1,894.81	63.87 D	0.00	Buy to Cover Short

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APEX CLEARING

Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B\*

OMB No. 1545-0715

2TZ05705

(continued)

01/24/2021

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

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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
***NORWEGIAN CRUISE LINE HOLDINGS LTD ORDINARY SHARES   CUSIP: G66721104   Symbol: NCLH							
06/23/2020	800.00	14,608.05	Various	15,011.22	403.17 D	0.00	Buy to Cover Short
06/25/2020	200.00	3,137.91	Various	3,318.79	0.00	-180.88	Sale
<b>Security Totals:</b>		<b>3,086,835.89</b>		<b>3,131,134.14</b>		<b>-143.95</b>	
GANNETT CO INC COMMON STOCK   CUSIP: 36472T109   Symbol: GCI							
12/29/2020	49.00	149.92	12/29/2020	155.09	5.17 D	0.00	Sale
12/29/2020	451.00	1,379.97	Various	1,430.27	50.30 D	0.00	Sale
12/29/2020	500.00	1,529.90	12/29/2020	1,573.50	43.6 D	0.00	Sale
12/29/2020	1,500.00	4,634.71	Various	4,737.21	102.50 D	0.00	Sale
12/31/2020	1,000.00	3,289.80	Various	3,396.71	41.34 D	-65.57	Sale
12/31/2020	1,000.00	3,429.80	Various	3,389.84	0.00	39.96	Sale
<b>Security Totals:</b>		<b>14,414.10</b>		<b>14,682.62</b>		<b>-25.61</b>	
ALPINE IMMUNE SCIENCES INC COMMON STOCK   CUSIP: 02083G100   Symbol: ALPN							
06/18/2020	180.00	2,055.53	Various	1,888.50	0.00	167.03	Sale
06/18/2020	20.00	248.98	06/18/2020	214.00	0.00	34.98	Sale
06/18/2020	100.00	1,614.95	06/18/2020	1,610.00	0.00	4.95	Sale
<b>Security Totals:</b>		<b>3,919.46</b>		<b>3,712.50</b>		<b>206.96</b>	
***MOGU INC AMERICAN DEPOSITARY SHARES ECH REPRESENTING 25 CL A ORD SHS   CUSIP: 608012100   Symbol: MOGU							
07/09/2020	1,000.00	6,009.74	07/09/2020	6,100.00	0.00	-90.26	Sale
***CELLECT BIOTECHNOLOGY LTD AMERICAN DEPOSITARY SHARES   CUSIP: 15116C201   Symbol: APOP							
05/11/2020	91.00	476.81	05/11/2020	477.75	0.00	-0.94	Sale
05/11/2020	107.00	561.72	05/11/2020	561.75	0.00	-0.03	Sale
05/11/2020	802.00	4,210.30	05/11/2020	4,210.50	0.00	-0.20	Sale
<b>Security Totals:</b>		<b>5,248.83</b>		<b>5,250.00</b>		<b>-1.17</b>	
NEW AGE BEVERAGES CORPORATION COM   CUSIP: 64157V108   Symbol: NBEV							
04/14/2020	3,000.00	4,949.53	04/14/2020	5,250.00	0.00	-300.47	Sale
07/20/2020	20.00	66.58	07/20/2020	66.00	0.00	0.58	Sale
07/20/2020	100.00	331.98	07/20/2020	330.00	0.00	1.98	Sale
07/20/2020	100.00	330.98	Various	330.00	0.00	0.98	Sale

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**SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS**

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

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NEW AGE BEVERAGES CORPORATION COM   CUSIP: 64157V108   Symbol: NBEV							
07/20/2020	100.00	331.98	07/20/2020	330.00	0.00	1.98	Sale
07/20/2020	185.00	612.31	07/20/2020	610.50	0.00	1.81	Sale
07/20/2020	120.00	398.38	07/20/2020	396.00	0.00	2.38	Sale
07/20/2020	375.00	1,241.18	07/20/2020	1,237.50	0.00	3.68	Sale
07/20/2020	1,000.00	3,309.80	07/20/2020	3,300.00	0.00	9.80	Sale
07/21/2020	5.00	15.47	07/21/2020	16.26	0.79 D	0.00	Sale
07/21/2020	5.00	15.47	07/21/2020	16.26	0.79 D	0.00	Sale
07/21/2020	5.00	15.47	07/21/2020	16.26	0.79 D	0.00	Sale
07/21/2020	8.00	24.76	07/21/2020	26.02	1.26 D	0.00	Sale
07/21/2020	10.00	30.96	07/21/2020	32.52	1.56 D	0.00	Sale
07/21/2020	25.00	77.43	07/21/2020	81.30	3.87 D	0.00	Sale
07/21/2020	32.00	101.02	07/21/2020	104.07	3.05 D	0.00	Sale
07/21/2020	60.00	185.86	Various	202.92	17.06 D	0.00	Sale
07/21/2020	50.00	154.88	Various	167.19	12.31 D	0.00	Sale
07/21/2020	100.00	313.78	07/21/2020	325.20	11.42 D	0.00	Sale
07/21/2020	100.00	314.78	07/21/2020	325.20	10.42 D	0.00	Sale
07/21/2020	100.00	313.78	07/21/2020	325.20	11.42 D	0.00	Sale
07/21/2020	500.00	1,548.90	07/21/2020	1,626.00	77.1 D	0.00	Sale
07/21/2020	800.00	2,486.24	07/21/2020	2,601.60	115.36 D	0.00	Sale
07/21/2020	200.00	619.56	07/21/2020	650.40	30.84 D	0.00	Sale
07/24/2020	46.00	109.00	07/24/2020	106.45	0.00	2.55	Sale
07/24/2020	100.00	236.98	Various	230.96	0.00	6.02	Sale
07/24/2020	100.00	236.98	Various	247.83	0.00	-10.85	Sale
07/24/2020	254.00	601.93	Various	590.27	0.00	11.66	Sale
07/24/2020	500.00	1,215.41	07/24/2020	1,172.10	0.00	43.31	Sale
07/24/2020	200.00	479.96	07/24/2020	468.84	0.00	11.12	Sale
07/24/2020	100.00	239.98	07/24/2020	235.42	0.00	4.56	Sale

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APEX CLEARING

Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B\*

OMB No. 1545-0715

2TZ05705

(continued)

01/24/2021

**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)

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

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NEW AGE BEVERAGES CORPORATION COM   CUSIP: 64157V108   Symbol: NBEV							
07/24/2020	400.00	959.92	07/24/2020	941.68	0.00	18.24	Sale
07/24/2020	300.00	719.94	Various	692.10	0.00	27.84	Sale
<b>Security Totals:</b>		<b>22,591.18</b>		<b>23,052.05</b>		<b>-162.83</b>	
NXT ID INC COM NEW   CUSIP: 67091J206   Symbol: NXTD							
12/16/2020	1.00	0.87	12/16/2020	0.92	0.05 D	0.00	Sale
12/16/2020	1.00	0.87	12/16/2020	0.92	0.05 D	0.00	Sale
12/16/2020	1,000.00	898.36	Various	937.80	39.44 D	0.00	Sale
12/16/2020	99.00	88.88	Various	96.59	7.71 D	0.00	Sale
12/16/2020	324.00	290.60	12/16/2020	316.75	26.15 D	0.00	Sale
12/16/2020	300.00	269.26	12/16/2020	293.29	24.03 D	0.00	Sale
12/16/2020	1,000.00	999.85	12/16/2020	937.70	0.00	62.15	Sale
12/16/2020	1,200.00	1,058.23	Various	1,196.73	138.50 D	0.00	Sale
12/16/2020	1,300.00	1,168.52	Various	1,288.27	119.75 D	0.00	Sale
12/16/2020	3,800.00	3,351.07	Various	3,573.24	184.11 D	-38.06	Sale
12/16/2020	1,000.00	1,000.95	12/16/2020	946.50	0.00	54.45	Sale
12/16/2020	1,000.00	1,000.95	12/16/2020	950.00	0.00	50.95	Sale
<b>Security Totals:</b>		<b>10,128.41</b>		<b>10,538.71</b>		<b>129.49</b>	
***B O S BETTER ONLINE SOLUTIONS   CUSIP: M20115180   Symbol: BOSC							
04/22/2020	100.00	251.98	Various	268.00	16.02 D	0.00	Sale
04/22/2020	40.00	100.78	Various	113.61	3.85 D	-8.98	Sale
04/22/2020	60.00	151.18	04/22/2020	170.41	0.00	-19.23	Sale
04/22/2020	600.00	1,511.89	Various	1,611.85	0.00	-99.96	Sale
04/22/2020	100.00	251.98	04/22/2020	268.00	0.00	-16.02	Sale
04/22/2020	100.00	251.98	04/22/2020	268.00	0.00	-16.02	Sale
<b>Security Totals:</b>		<b>2,519.79</b>		<b>2,699.87</b>		<b>-160.21</b>	
GOGO INC   CUSIP: 38046C109   Symbol: GOGO							
09/01/2020	1,000.00	7,259.71	Various	7,044.60	0.00	215.11	Sale
09/01/2020	1,000.00	7,274.71	Various	7,070.00	0.00	204.71	Sale

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**SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS**

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

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

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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
GOGO INC   CUSIP: 38046C109   Symbol: GOGO							
09/02/2020	84.00	651.81	09/02/2020	655.20	3.39 D	0.00	Sale
09/02/2020	100.00	775.97	09/02/2020	780.00	4.03 D	0.00	Sale
09/02/2020	100.00	775.97	09/02/2020	780.00	4.03 D	0.00	Sale
09/02/2020	716.00	5,555.94	09/02/2020	5,584.80	28.86 D	0.00	Sale
09/04/2020	400.00	3,896.26	Various	3,955.13	58.87 D	0.00	Sale
09/04/2020	600.00	5,844.40	Various	5,934.18	89.78 D	0.00	Sale
09/08/2020	1.00	9.52	09/08/2020	9.73	0.21 D	0.00	Sale
09/08/2020	1.00	9.52	09/08/2020	9.73	0.21 D	0.00	Sale
09/08/2020	2.00	19.04	09/08/2020	19.45	0.41 D	0.00	Sale
09/08/2020	100.00	952.96	Various	972.84	19.88 D	0.00	Sale
09/08/2020	100.00	952.96	Various	971.89	18.93 D	0.00	Sale
09/08/2020	100.00	953.06	Various	972.79	19.73 D	0.00	Sale
09/08/2020	100.00	952.96	Various	973.34	20.38 D	0.00	Sale
09/08/2020	100.00	952.96	Various	973.32	20.36 D	0.00	Sale
09/08/2020	100.00	952.96	Various	973.31	20.35 D	0.00	Sale
09/08/2020	100.00	952.96	Various	972.84	19.88 D	0.00	Sale
09/08/2020	100.00	952.96	Various	972.83	19.87 D	0.00	Sale
09/08/2020	200.00	1,905.93	Various	1,944.92	38.99 D	0.00	Sale
09/08/2020	300.00	2,860.39	Various	2,905.59	45.20 D	0.00	Sale
09/08/2020	300.00	2,858.89	Various	2,906.59	47.70 D	0.00	Sale
09/08/2020	497.00	4,736.24	09/08/2020	4,740.88	4.64 D	0.00	Sale
09/08/2020	499.00	4,760.29	09/08/2020	4,759.96	0.00	0.33	Sale
09/08/2020	700.00	6,674.27	Various	6,791.67	117.40 D	0.00	Sale
09/08/2020	700.00	6,674.27	Various	6,808.30	134.03 D	0.00	Sale
09/10/2020	500.00	5,030.32	Various	5,129.30	98.98 D	0.00	Sale
09/10/2020	500.00	5,030.32	Various	5,129.86	99.54 D	0.00	Sale
09/15/2020	100.00	975.06	09/15/2020	997.50	22.44 D	0.00	Sale

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GOGO INC   CUSIP: 38046C109   Symbol: GOGO							
09/15/2020	1,900.00	18,526.26	Various	19,054.97	528.71 D	0.00	Sale
09/15/2020	1,000.00	9,799.66	Various	10,003.46	203.80 D	0.00	Sale
09/15/2020	200.00	1,959.93	Various	1,996.18	36.25 D	0.00	Sale
09/15/2020	100.00	979.96	09/15/2020	998.01	18.05 D	0.00	Sale
09/15/2020	1,000.00	9,799.66	Various	10,074.47	274.81 D	0.00	Sale
09/15/2020	1,000.00	9,839.66	Various	10,208.45	368.79 D	0.00	Sale
09/16/2020	63.00	701.16	09/16/2020	706.04	4.88 D	0.00	Sale
09/16/2020	100.00	1,145.96	Various	1,187.27	41.31 D	0.00	Sale
09/16/2020	100.00	1,145.96	Various	1,188.64	42.68 D	0.00	Sale
09/16/2020	100.00	1,145.96	Various	1,212.55	66.59 D	0.00	Sale
09/16/2020	100.00	1,145.96	Various	1,219.52	73.56 D	0.00	Sale
09/16/2020	437.00	4,863.65	Various	4,822.88	2.94 D	43.71	Sale
09/16/2020	487.00	5,337.34	Various	5,652.81	315.47 D	0.00	Sale
09/16/2020	500.00	5,089.82	Various	5,290.76	200.94 D	0.00	Sale
09/16/2020	500.00	5,214.82	Various	5,248.14	36.57 D	3.25	Sale
09/16/2020	500.00	5,564.81	Various	5,418.94	0.00	145.87	Sale
09/16/2020	600.00	6,869.77	Various	7,241.18	371.41 D	0.00	Sale
09/16/2020	100.00	1,102.96	Various	1,136.45	33.49 D	0.00	Sale
09/16/2020	100.00	1,102.96	Various	1,137.16	34.20 D	0.00	Sale
09/16/2020	100.00	1,102.96	Various	1,169.25	66.29 D	0.00	Sale
09/16/2020	213.00	2,349.30	Various	2,452.42	103.12 D	0.00	Sale
09/16/2020	1,000.00	10,969.63	Various	11,568.41	598.78 D	0.00	Sale
09/16/2020	1,000.00	11,450.72	Various	12,082.75	632.03 D	0.00	Sale
09/16/2020	1,000.00	11,379.62	Various	12,028.78	649.16 D	0.00	Sale
09/17/2020	100.00	1,027.73	Various	1,099.73	0.00	-72.00	Sale
09/17/2020	900.00	9,246.46	Various	10,078.20	0.00	-831.74	Sale
09/18/2020	50.00	566.98	09/16/2020	557.00	0.00	9.98	Buy to Cover Short

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APEX CLEARING

## Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B\*

OMB No. 1545-0715

2TZ05705

(continued)

01/24/2021

**SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS**

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

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GOGO INC   CUSIP: 38046C109   Symbol: GOGO							
09/18/2020	200.00	2,267.92	09/16/2020	2,228.00	0.00	39.92	Buy to Cover Short
09/18/2020	250.00	2,834.91	09/16/2020	2,775.00	0.00	59.91	Buy to Cover Short
09/18/2020	250.00	2,834.90	09/16/2020	2,774.60	0.00	60.30	Buy to Cover Short
09/18/2020	250.00	2,834.91	09/16/2020	2,760.93	0.00	73.98	Buy to Cover Short
09/18/2020	1,000.00	11,090.10	Various	10,918.40	0.00	171.70	Buy to Cover Short
<b>Security Totals:</b>		<b>242,495.01</b>		<b>248,031.90</b>		<b>125.03</b>	
***TAOPING INC ORDINARY SHARES   CUSIP: G8675V119   Symbol: TAOP							
07/30/2020	40.00	557.89	07/30/2020	568.26	10.37 D	0.00	Sale
07/30/2020	100.00	1,418.75	07/30/2020	1,419.20	0.45 D	0.00	Sale
07/30/2020	100.00	1,418.75	07/30/2020	1,419.20	0.45 D	0.00	Sale
07/30/2020	160.00	2,220.41	Various	2,273.04	52.63 D	0.00	Sale
07/30/2020	300.00	3,485.28	Various	3,574.57	0.00	-89.29	Sale
07/30/2020	500.00	5,933.80	Various	5,944.89	39.97 D	28.88	Sale
<b>Security Totals:</b>		<b>15,034.88</b>		<b>15,199.16</b>		<b>-60.41</b>	
BIO PATH HOLDINGS INC COMMON STOCK   CUSIP: 09057N300   Symbol: BPTH							
10/22/2020	20.00	98.98	10/22/2020	96.60	0.00	2.38	Sale
10/22/2020	34.00	168.28	10/22/2020	164.22	0.00	4.06	Sale
10/22/2020	46.00	227.68	10/22/2020	222.18	0.00	5.50	Sale
10/22/2020	100.00	494.97	10/22/2020	483.00	0.00	11.97	Sale
10/22/2020	100.00	494.97	10/22/2020	483.00	0.00	11.97	Sale
10/22/2020	100.00	494.97	10/22/2020	483.00	0.00	11.97	Sale
10/22/2020	80.00	395.98	Various	386.40	0.00	9.58	Sale
10/22/2020	100.00	509.97	10/22/2020	543.00	33.03 D	0.00	Sale
10/22/2020	100.00	517.97	10/22/2020	536.00	0.00	-18.03	Sale
10/22/2020	100.00	517.97	10/22/2020	536.00	0.00	-18.03	Sale
10/22/2020	100.00	526.97	10/22/2020	570.02	43.05 D	0.00	Sale
10/22/2020	120.00	593.97	Various	579.60	0.00	14.37	Sale
10/22/2020	100.00	517.97	10/22/2020	536.00	0.00	-18.03	Sale

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**SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS**

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BIO PATH HOLDINGS INC COMMON STOCK   CUSIP: 09057N300   Symbol: BPTH							
10/22/2020	200.00	989.95	10/22/2020	966.00	0.00	23.95	Sale
10/22/2020	250.00	1,274.94	Various	1,390.53	115.59 D	0.00	Sale
10/22/2020	150.00	764.96	10/22/2020	814.50	49.54 D	0.00	Sale
10/22/2020	200.00	989.95	10/22/2020	966.00	0.00	23.95	Sale
10/22/2020	600.00	3,161.86	Various	3,392.66	0.00	-230.80	Sale
12/09/2020	112.00	443.50	12/09/2020	455.84	12.34 D	0.00	Sale
12/09/2020	88.00	348.46	12/09/2020	358.16	9.7 D	0.00	Sale
12/09/2020	100.00	396.98	Various	412.43	15.45 D	0.00	Sale
12/09/2020	200.00	793.96	Various	835.22	41.26 D	0.00	Sale
12/09/2020	300.00	1,190.93	Various	1,263.40	0.00	-72.47	Sale
12/09/2020	200.00	793.96	12/09/2020	807.80	0.00	-13.84	Sale
<b>Security Totals:</b>		<b>16,710.10</b>		<b>17,281.56</b>		<b>-251.50</b>	
VERITONE INC COMMON STOCK   CUSIP: 92347M100   Symbol: VERI							
06/05/2020	50.00	557.47	06/05/2020	533.50	0.00	23.97	Sale
06/05/2020	200.00	2,229.93	06/05/2020	2,134.00	0.00	95.93	Sale
06/05/2020	250.00	2,876.30	06/05/2020	2,667.50	0.00	208.80	Sale
<b>Security Totals:</b>		<b>5,663.70</b>		<b>5,335.00</b>		<b>328.70</b>	
SALEM MEDIA GROUP INC CLASS A   CUSIP: 794093104   Symbol: SALM							
07/23/2020	2,000.00	4,659.65	07/23/2020	4,780.00	120.35 D	0.00	Sale
07/27/2020	20.00	41.18	07/27/2020	42.60	1.42 D	0.00	Sale
07/27/2020	65.00	133.88	07/27/2020	138.47	4.59 D	0.00	Sale
07/27/2020	100.00	205.98	Various	215.03	0.00	-9.05	Sale
07/27/2020	250.00	514.95	07/27/2020	540.09	0.00	-25.14	Sale
07/27/2020	400.00	823.93	Various	863.00	0.00	-39.07	Sale
07/27/2020	300.00	617.94	07/27/2020	648.10	0.00	-30.16	Sale
07/27/2020	2,000.00	4,119.66	Various	4,279.09	151.71 D	-7.72	Sale
07/27/2020	700.00	1,441.88	07/27/2020	1,512.23	0.00	-70.35	Sale
07/27/2020	165.00	336.57	07/27/2020	356.46	0.00	-19.89	Sale

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SALEM MEDIA GROUP INC CLASS A   CUSIP: 794093104   Symbol: SALM							
09/25/2020	2,000.00	2,059.71	Various	2,120.00	0.00	-60.29	Sale
<b>Security Totals:</b>		<b>14,955.33</b>		<b>15,495.07</b>		<b>-261.67</b>	
OCUGEN INC COMMON STOCK   CUSIP: 67577C105   Symbol: OCGN							
07/27/2020	5,000.00	3,499.32	07/27/2020	3,687.18	187.86 D	0.00	Sale
07/27/2020	5,000.00	3,546.82	07/27/2020	3,585.00	38.18 D	0.00	Sale
07/28/2020	4.00	3.53	07/28/2020	3.86	0.33 D	0.00	Sale
07/28/2020	400.00	355.54	07/28/2020	385.92	30.38 D	0.00	Sale
07/28/2020	500.00	444.43	Various	482.41	37.98 D	0.00	Sale
07/28/2020	740.00	657.75	07/28/2020	713.96	56.21 D	0.00	Sale
07/28/2020	1,260.00	1,119.96	Various	1,215.66	95.70 D	0.00	Sale
07/28/2020	2,096.00	1,863.04	07/28/2020	2,022.25	159.21 D	0.00	Sale
07/28/2020	100.00	87.31	07/28/2020	99.80	12.49 D	0.00	Sale
07/28/2020	100.00	87.31	07/28/2020	99.80	12.49 D	0.00	Sale
07/28/2020	100.00	87.31	07/28/2020	99.80	12.49 D	0.00	Sale
07/28/2020	100.00	87.31	07/28/2020	99.79	12.48 D	0.00	Sale
07/28/2020	300.00	261.94	Various	299.38	37.44 D	0.00	Sale
07/28/2020	300.00	261.94	07/28/2020	299.39	37.45 D	0.00	Sale
07/28/2020	300.00	261.94	Various	299.39	37.45 D	0.00	Sale
07/28/2020	400.00	349.26	Various	399.18	49.92 D	0.00	Sale
07/28/2020	400.00	349.26	07/28/2020	399.18	49.92 D	0.00	Sale
07/28/2020	400.00	340.74	07/28/2020	361.91	21.17 D	0.00	Sale
07/28/2020	500.00	436.58	Various	498.98	62.40 D	0.00	Sale
07/28/2020	1,000.00	873.16	Various	997.98	124.82 D	0.00	Sale
07/28/2020	1,000.00	851.86	07/28/2020	904.77	52.91 D	0.00	Sale
07/28/2020	1,400.00	1,222.42	07/28/2020	1,397.14	174.72 D	0.00	Sale
07/28/2020	3,600.00	3,066.70	07/28/2020	3,257.18	190.48 D	0.00	Sale
07/29/2020	100.00	56.08	07/29/2020	68.63	0.00	-12.55	Sale
07/29/2020	800.00	448.69	Various	548.99	0.00	-100.30	Sale

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OCUGEN INC COMMON STOCK   CUSIP: 67577C105   Symbol: OCGN							
07/29/2020	400.00	224.38	Various	274.49	0.00	-50.11	Sale
07/29/2020	3,700.00	2,075.21	Various	2,538.95	0.00	-463.74	Sale
12/23/2020	500.00	1,029.91	12/23/2020	1,010.00	0.00	19.91	Sale
12/23/2020	500.00	1,029.91	12/23/2020	1,025.00	0.00	4.91	Sale
12/23/2020	500.00	1,250.61	Various	1,280.00	29.39 D	0.00	Sale
12/28/2020	42.00	88.19	12/23/2020	86.97	0.00	1.22	Buy to Cover Short
12/28/2020	45.00	98.54	12/23/2020	93.60	0.00	4.94	Buy to Cover Short
12/28/2020	100.00	218.98	Various	208.00	0.00	10.98	Buy to Cover Short
12/28/2020	100.00	215.99	12/23/2020	216.00	0.01 D	0.00	Buy to Cover Short
12/28/2020	100.00	221.98	12/23/2020	211.00	0.00	10.98	Buy to Cover Short
12/28/2020	100.00	217.98	12/23/2020	216.00	0.00	1.98	Buy to Cover Short
12/28/2020	100.00	215.98	12/23/2020	216.00	0.02 D	0.00	Buy to Cover Short
12/28/2020	100.00	222.98	12/23/2020	221.00	0.00	1.98	Buy to Cover Short
12/28/2020	100.00	221.98	12/23/2020	211.00	0.00	10.98	Buy to Cover Short
12/28/2020	158.00	331.77	Various	327.16	0.00	4.61	Buy to Cover Short
12/28/2020	200.00	443.94	Various	416.00	0.00	27.94	Buy to Cover Short
12/28/2020	200.00	419.96	Various	410.00	0.00	9.96	Buy to Cover Short
12/28/2020	150.00	328.47	Various	312.00	0.00	16.47	Buy to Cover Short
12/28/2020	205.00	448.90	12/23/2020	426.40	0.00	22.50	Buy to Cover Short
12/28/2020	200.00	441.97	12/23/2020	444.00	2.03 D	0.00	Buy to Cover Short
12/28/2020	250.00	577.53	12/23/2020	555.00	0.00	22.53	Buy to Cover Short
12/28/2020	300.00	665.95	12/23/2020	624.00	0.00	41.95	Buy to Cover Short
12/28/2020	300.00	662.94	Various	665.03	2.09 D	0.00	Buy to Cover Short
12/28/2020	300.00	629.95	Various	621.14	0.00	8.81	Buy to Cover Short
12/28/2020	300.00	629.95	12/23/2020	615.00	0.00	14.95	Buy to Cover Short
12/28/2020	300.00	665.95	12/23/2020	633.00	0.00	32.95	Buy to Cover Short
12/28/2020	300.00	647.94	Various	648.03	0.09 D	0.00	Buy to Cover Short

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APEX CLEARING

Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B\*

OMB No. 1545-0715

2TZ05705

(continued)

01/24/2021

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
OCUGEN INC COMMON STOCK   CUSIP: 67577C105   Symbol: OCGN							
12/28/2020	400.00	871.93	12/23/2020	864.00	0.00	7.93	Buy to Cover Short
12/28/2020	400.00	891.93	12/23/2020	884.00	0.00	7.93	Buy to Cover Short
12/28/2020	493.00	1,193.51	12/23/2020	1,222.64	29.13 D	0.00	Buy to Cover Short
12/28/2020	500.00	1,049.91	12/23/2020	1,015.00	0.00	34.91	Buy to Cover Short
12/28/2020	500.00	1,064.91	Various	1,075.09	10.18 D	0.00	Buy to Cover Short
12/28/2020	500.00	1,049.91	12/23/2020	1,025.00	0.00	24.91	Buy to Cover Short
12/28/2020	500.00	1,064.91	Various	1,085.18	20.27 D	0.00	Buy to Cover Short
12/28/2020	500.00	1,354.90	Various	1,275.00	0.00	79.90	Buy to Cover Short
12/28/2020	500.00	1,104.91	Various	1,057.09	0.00	47.82	Buy to Cover Short
12/28/2020	500.00	1,354.91	12/23/2020	1,315.00	0.00	39.91	Buy to Cover Short
12/28/2020	500.00	1,350.11	12/23/2020	1,300.00	0.00	50.11	Buy to Cover Short
12/28/2020	500.00	1,154.91	12/23/2020	1,140.04	0.00	14.87	Buy to Cover Short
12/28/2020	500.00	1,149.89	Various	1,135.05	0.00	14.84	Buy to Cover Short
12/28/2020	1,507.00	3,656.68	Various	3,766.49	109.81 D	0.00	Buy to Cover Short
12/28/2020	250.00	577.46	12/23/2020	549.08	0.00	28.38	Buy to Cover Short
12/28/2020	250.00	577.53	12/23/2020	554.78	0.00	22.75	Buy to Cover Short
12/28/2020	250.00	577.45	12/23/2020	549.15	0.00	28.30	Buy to Cover Short
12/28/2020	500.00	1,159.91	Various	1,142.40	0.00	17.51	Buy to Cover Short
12/28/2020	500.00	1,349.91	12/23/2020	1,299.80	0.00	50.11	Buy to Cover Short
12/28/2020	2,000.00	4,662.22	Various	4,699.80	37.58 D	0.00	Buy to Cover Short
12/28/2020	500.00	1,154.91	Various	1,139.84	0.00	15.07	Buy to Cover Short
12/30/2020	600.00	1,199.90	Various	1,264.89	64.99 D	0.00	Sale
<b>Security Totals:</b>		<b>64,420.65</b>		<b>66,091.62</b>		<b>129.10</b>	
ALPHA PRO TECH LTD   CUSIP: 020772109   Symbol: APT							
02/28/2020	100.00	2,199.94	02/28/2020	1,885.00	0.00	314.94	Sale
03/03/2020	300.00	4,505.86	Various	4,455.00	0.00	50.86	Sale
05/14/2020	100.00	1,599.95	05/14/2020	1,623.00	0.00	-23.05	Sale

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**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

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**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
ALPHA PRO TECH LTD   CUSIP: 020772109   Symbol: APT							
06/26/2020	200.00	3,568.10	06/26/2020	3,528.00	0.00	40.10	Sale
<b>Security Totals:</b>		<b>11,873.85</b>		<b>11,491.00</b>		<b>382.85</b>	
CNS PHARMACEUTICALS INC COMMON STOCK   CUSIP: 18978H102   Symbol: CNSP							
12/18/2020	1,000.00	3,669.79	Various	3,745.98	0.00	-76.19	Sale
12/18/2020	500.00	1,819.89	12/18/2020	1,870.00	50.11 D	0.00	Sale
12/21/2020	200.00	573.96	12/17/2020	526.00	0.00	47.96	Buy to Cover Short
12/21/2020	100.00	292.98	12/17/2020	248.00	0.00	44.98	Buy to Cover Short
12/21/2020	100.00	284.98	12/17/2020	249.00	0.00	35.98	Buy to Cover Short
12/21/2020	100.00	292.98	12/17/2020	248.00	0.00	44.98	Buy to Cover Short
12/21/2020	100.00	284.98	12/17/2020	246.50	0.00	38.48	Buy to Cover Short
<b>Security Totals:</b>		<b>7,219.56</b>		<b>7,133.48</b>		<b>136.19</b>	
ARC DOCUMENT SOLUTIONS INC COM   CUSIP: 00191G103   Symbol: ARC							
07/17/2020	400.00	460.49	07/17/2020	472.00	11.51 D	0.00	Sale
07/17/2020	400.00	460.09	Various	480.63	2.98 D	-17.56	Sale
07/17/2020	400.00	460.57	Various	477.86	0.00	-17.29	Sale
07/17/2020	800.00	921.15	07/17/2020	944.00	0.00	-22.85	Sale
<b>Security Totals:</b>		<b>2,302.30</b>		<b>2,374.49</b>		<b>-57.70</b>	
EXTRACTION OIL & GAS INC COM   CUSIP: 30227M105   Symbol: XOG							
06/08/2020	2,000.00	2,259.71	Various	2,291.90	0.00	-32.19	Sale
CINEDIGM CORP CLASS A COMMON STOCK   CUSIP: 172406209   Symbol: CIDM							
05/20/2020	1.00	1.40	05/20/2020	2.16	0.76 D	0.00	Sale
05/20/2020	200.00	279.97	Various	431.14	151.17 D	0.00	Sale
05/20/2020	200.00	279.97	Various	432.13	152.16 D	0.00	Sale
05/20/2020	4,599.00	6,437.90	Various	8,264.45	1826.55 D	0.00	Sale
05/22/2020	100.00	119.99	05/20/2020	160.00	40.01 D	0.00	Buy to Cover Short
05/22/2020	100.00	137.98	05/20/2020	129.00	0.00	8.98	Buy to Cover Short
05/22/2020	100.00	138.98	05/20/2020	129.00	0.00	9.98	Buy to Cover Short
05/22/2020	100.00	137.98	05/20/2020	129.00	0.00	8.98	Buy to Cover Short

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**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)

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

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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
CINEDIGM CORP CLASS A COMMON STOCK   CUSIP: 172406209   Symbol: CIDM							
05/22/2020	100.00	137.98	05/20/2020	129.00	0.00	8.98	Buy to Cover Short
05/22/2020	100.00	137.99	05/20/2020	129.00	0.00	8.99	Buy to Cover Short
05/22/2020	200.00	275.97	Various	258.00	0.00	17.97	Buy to Cover Short
05/22/2020	300.00	413.95	05/20/2020	405.00	0.00	8.95	Buy to Cover Short
05/22/2020	300.00	413.95	Various	387.00	0.00	26.95	Buy to Cover Short
05/22/2020	500.00	564.92	Various	1,120.14	555.22 D	0.00	Buy to Cover Short
05/22/2020	500.00	564.93	Various	1,120.16	555.23 D	0.00	Buy to Cover Short
05/22/2020	1,000.00	1,499.85	Various	2,520.45	1020.60 D	0.00	Buy to Cover Short
05/22/2020	697.00	954.78	05/20/2020	940.95	0.00	13.83	Buy to Cover Short
05/22/2020	1,900.00	2,279.71	05/20/2020	3,040.00	760.29 D	0.00	Buy to Cover Short
05/22/2020	5,000.00	7,180.20	Various	9,010.08	1829.88 D	0.00	Buy to Cover Short
05/22/2020	3,003.00	4,160.63	Various	4,054.05	0.00	106.58	Buy to Cover Short
05/22/2020	400.00	467.94	Various	800.05	332.11 D	0.00	Buy to Cover Short
05/22/2020	524.00	786.90	Various	1,173.92	387.02 D	0.00	Buy to Cover Short
05/22/2020	476.00	713.92	Various	1,066.38	352.46 D	0.00	Buy to Cover Short
05/22/2020	1,000.00	1,169.85	Various	2,000.16	830.31 D	0.00	Buy to Cover Short
05/22/2020	600.00	701.91	05/20/2020	1,200.09	498.18 D	0.00	Buy to Cover Short
06/04/2020	4.00	13.98	06/04/2020	13.40	0.00	0.58	Sale
06/04/2020	20.00	69.98	06/04/2020	67.01	0.00	2.97	Sale
06/04/2020	80.00	279.98	Various	267.98	0.00	12.00	Sale
06/04/2020	200.00	699.96	Various	668.15	0.00	31.81	Sale
06/04/2020	339.00	1,186.43	Various	1,136.30	0.00	50.13	Sale
06/04/2020	526.00	1,393.80	06/04/2020	1,457.18	0.00	-63.38	Sale
06/04/2020	800.00	2,799.83	Various	2,979.73	0.00	-179.90	Sale
06/04/2020	557.00	1,949.38	Various	2,245.24	0.00	-295.86	Sale
06/04/2020	1,474.00	3,905.83	06/04/2020	4,083.43	0.00	-177.60	Sale
06/04/2020	2,000.00	4,999.64	Various	6,800.70	759.98 D	-1,041.08	Sale

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APEX CLEARING

Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B\*

OMB No. 1545-0715

2TZ05705

(continued)

01/24/2021

**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)

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**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
CINEDIGM CORP CLASS A COMMON STOCK   CUSIP: 172406209   Symbol: CIDM							
12/04/2020	5,000.00	4,184.30	Various	4,284.62	0.00	-100.32	Sale
<b>Security Totals:</b>		<b>51,442.66</b>		<b>63,035.05</b>		<b>-1,540.46</b>	
***WIMI HOLOGRAM CLOUD INC AMERICAN DEPOSITARY SHARE   CUSIP: 97264L100   Symbol: WIMI							
07/10/2020	15.00	142.75	07/10/2020	140.79	0.00	1.96	Sale
07/10/2020	50.00	350.38	07/10/2020	370.32	19.94 D	0.00	Sale
07/10/2020	50.00	350.38	Various	367.66	17.28 D	0.00	Sale
07/10/2020	85.00	809.00	07/10/2020	797.84	0.00	11.16	Sale
07/10/2020	98.00	685.77	07/10/2020	705.80	20.03 D	0.00	Sale
07/10/2020	100.00	699.77	Various	720.21	20.44 D	0.00	Sale
07/10/2020	100.00	947.76	07/10/2020	938.63	0.00	9.13	Sale
07/10/2020	100.00	931.76	Various	952.53	20.77 D	0.00	Sale
07/10/2020	100.00	944.76	07/10/2020	938.63	0.00	6.13	Sale
07/10/2020	100.00	954.76	07/10/2020	938.63	0.00	16.13	Sale
07/10/2020	100.00	1,853.74	Various	1,763.14	0.00	90.60	Sale
07/10/2020	200.00	1,401.54	07/10/2020	1,440.40	38.86 D	0.00	Sale
07/10/2020	500.00	4,643.83	Various	4,746.17	102.34 D	0.00	Sale
07/10/2020	502.00	3,522.89	07/10/2020	3,615.40	92.51 D	0.00	Sale
08/04/2020	100.00	906.96	Various	902.55	0.00	4.41	Sale
08/04/2020	100.00	906.96	08/04/2020	899.03	0.00	7.93	Sale
08/04/2020	101.00	916.03	08/04/2020	908.02	0.00	8.01	Sale
08/04/2020	500.00	4,504.84	Various	4,472.90	3.54 D	35.48	Sale
08/04/2020	200.00	1,813.93	08/04/2020	1,798.07	0.00	15.86	Sale
08/04/2020	500.00	4,399.84	08/04/2020	4,400.00	0.16 D	0.00	Sale
08/04/2020	500.00	4,399.84	08/04/2020	4,400.00	0.16 D	0.00	Sale
08/04/2020	1,499.00	13,580.45	Various	13,476.19	0.00	104.26	Sale
08/04/2020	15.00	132.13	08/04/2020	132.00	0.00	0.13	Sale
08/04/2020	100.00	896.97	08/04/2020	905.73	0.00	-8.76	Sale
08/04/2020	100.00	896.97	08/04/2020	905.73	0.00	-8.76	Sale

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**SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS**

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

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***WIMI HOLOGRAM CLOUD INC AMERICAN DEPOSITARY SHARE   CUSIP: 97264L100   Symbol: WIMI							
08/04/2020	100.00	897.97	08/04/2020	905.73	0.00	-7.76	Sale
08/04/2020	300.00	2,693.90	08/04/2020	2,717.19	0.00	-23.29	Sale
08/04/2020	300.00	2,693.90	08/04/2020	2,717.19	0.00	-23.29	Sale
08/04/2020	300.00	2,693.90	08/04/2020	2,717.19	0.00	-23.29	Sale
08/04/2020	485.00	4,270.02	08/04/2020	4,268.00	0.00	2.02	Sale
08/04/2020	300.00	2,690.90	08/04/2020	2,717.19	0.00	-26.29	Sale
08/04/2020	500.00	4,484.84	08/04/2020	4,528.65	0.00	-43.81	Sale
10/19/2020	1,000.00	6,399.73	Various	6,834.27	0.00	-434.54	Sale
10/19/2020	1,000.00	6,399.73	10/19/2020	6,620.00	220.27 D	0.00	Sale
<b>Security Totals:</b>		<b>84,818.90</b>		<b>85,661.78</b>		<b>-286.58</b>	
CLOVIS ONCOLOGY INC COM   CUSIP: 189464100   Symbol: CLVS							
05/15/2020	250.00	2,487.41	05/15/2020	2,419.40	0.00	68.01	Sale
05/15/2020	250.00	2,435.66	05/15/2020	2,419.40	0.00	16.26	Sale
<b>Security Totals:</b>		<b>4,923.07</b>		<b>4,838.80</b>		<b>84.27</b>	
GENOCEA BIOSCIENCES INC COMMON STOCK   CUSIP: 372427401   Symbol: GNCA							
07/29/2020	1,000.00	5,570.75	07/29/2020	5,550.00	0.00	20.75	Sale
07/29/2020	50.00	272.48	07/29/2020	271.00	0.00	1.48	Sale
07/29/2020	3.00	16.30	07/29/2020	16.26	0.00	0.04	Sale
07/29/2020	150.00	817.46	Various	813.00	0.00	4.46	Sale
07/29/2020	197.00	1,071.63	Various	1,067.74	0.00	3.89	Sale
07/29/2020	1,600.00	8,687.61	07/29/2020	8,672.00	0.00	15.61	Sale
<b>Security Totals:</b>		<b>16,436.23</b>		<b>16,390.00</b>		<b>46.23</b>	
BASANITE INC COMMON STOCK   CUSIP: 06975Q100   Symbol: BASA							
09/10/2020	1,000.00	646.86	09/10/2020	771.04	0.00	-124.18	Sale
09/10/2020	1,875.00	1,205.38	09/10/2020	1,380.75	175.37 D	0.00	Sale
09/10/2020	1,875.00	1,213.44	09/10/2020	1,619.20	405.76 D	0.00	Sale
09/10/2020	2,125.00	1,376.71	Various	1,865.69	0.00	-488.98	Sale

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APEX CLEARING

Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B\*

OMB No. 1545-0715

2TZ05705

(continued)

01/24/2021

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)

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

Box 12: Basis Reported to the IRS

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BASANITE INC COMMON STOCK   CUSIP: 06975Q100   Symbol: BASA							
09/10/2020	2,995.00	1,940.35	Various	2,382.39	442.04 D	0.00	Sale
<b>Security Totals:</b>		<b>6,382.74</b>		<b>8,019.07</b>		<b>-613.16</b>	
CHINA AUTOMOTIVE SYSTEMS INC   CUSIP: 16936R105   Symbol: CAAS							
12/01/2020	7.00	80.13	12/01/2020	82.41	2.28 D	0.00	Sale
12/01/2020	11.00	125.38	Various	138.03	12.65 D	0.00	Sale
12/01/2020	21.00	239.59	12/01/2020	263.49	23.9 D	0.00	Sale
12/01/2020	43.00	490.60	Various	539.54	48.94 D	0.00	Sale
12/01/2020	50.00	569.97	Various	627.46	57.49 D	0.00	Sale
12/01/2020	75.00	854.97	12/01/2020	941.37	86.4 D	0.00	Sale
12/01/2020	93.00	1,064.81	12/01/2020	1,094.89	30.08 D	0.00	Sale
12/01/2020	100.00	1,144.96	12/01/2020	1,177.30	32.34 D	0.00	Sale
12/01/2020	200.00	2,281.92	Various	2,384.99	103.07 D	0.00	Sale
12/01/2020	200.00	2,253.93	Various	2,569.38	315.45 D	0.00	Sale
12/01/2020	200.00	2,283.92	Various	2,433.07	149.15 D	0.00	Sale
12/01/2020	50.00	562.51	Various	662.06	99.55 D	0.00	Sale
12/01/2020	100.00	1,146.05	Various	1,179.36	33.31 D	0.00	Sale
12/01/2020	100.00	1,145.66	12/01/2020	1,179.34	33.68 D	0.00	Sale
12/01/2020	150.00	1,688.31	Various	1,987.39	299.08 D	0.00	Sale
12/01/2020	200.00	2,287.92	Various	2,478.25	190.33 D	0.00	Sale
12/01/2020	200.00	2,259.79	Various	2,768.63	0.00	-508.84	Sale
<b>Security Totals:</b>		<b>20,480.42</b>		<b>22,506.96</b>		<b>-508.84</b>	
***SOGOU INC ADS EACH REPRESENTING ONE CLASS A ORDINARY SHARE   CUSIP: 83409V104   Symbol: SOGO							
07/09/2020	1,000.00	5,519.75	Various	5,500.00	0.00	19.75	Sale
07/09/2020	1,000.00	5,509.75	07/09/2020	5,500.00	0.00	9.75	Sale
07/24/2020	400.00	2,312.05	Various	2,355.31	0.00	-43.26	Sale
07/24/2020	200.00	1,156.15	Various	1,177.84	0.00	-21.69	Sale
07/24/2020	2,000.00	11,599.50	Various	11,757.60	158.10 D	0.00	Sale

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APEX CLEARING

Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B\*

OMB No. 1545-0715

2TZ05705

(continued)

01/24/2021

**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 - DateSold 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
***SOGOU INC ADS EACH REPRESENTING ONE CLASS A ORDINARY SHARE   CUSIP: 83409V104   Symbol: SOGO							
07/24/2020	1,400.00	8,092.21	Various	8,244.95	0.00	-152.74	Sale
<b>Security Totals:</b>		<b>34,189.41</b>		<b>34,535.70</b>		<b>-188.19</b>	
NET ELEMENT INC COMMON STOCK   CUSIP: 64111R300   Symbol: NETE							
06/12/2020	25.00	176.98	06/12/2020	169.50	0.00	7.48	Sale
06/12/2020	275.00	1,905.67	Various	1,864.50	0.00	41.17	Sale
09/24/2020	300.00	3,362.88	Various	3,450.00	0.00	-87.12	Sale
<b>Security Totals:</b>		<b>5,445.53</b>		<b>5,484.00</b>		<b>-38.47</b>	
MILLENDO THERAPEUTICS INC COMMON STOCK   CUSIP: 60040X103   Symbol: MLND							
07/23/2020	5.00	9.73	07/23/2020	9.85	0.12 D	0.00	Sale
07/23/2020	100.00	194.98	07/23/2020	197.00	2.02 D	0.00	Sale
07/23/2020	100.00	194.98	07/23/2020	197.00	2.02 D	0.00	Sale
07/23/2020	100.00	194.98	07/23/2020	197.00	2.02 D	0.00	Sale
07/23/2020	100.00	194.98	07/23/2020	197.00	2.02 D	0.00	Sale
07/23/2020	100.00	194.98	07/23/2020	197.00	2.02 D	0.00	Sale
07/23/2020	100.00	194.98	07/23/2020	197.00	2.02 D	0.00	Sale
07/23/2020	100.00	195.48	07/23/2020	197.00	1.52 D	0.00	Sale
07/23/2020	100.00	194.98	07/23/2020	197.00	2.02 D	0.00	Sale
07/23/2020	100.00	194.98	07/23/2020	197.00	2.02 D	0.00	Sale
07/23/2020	100.00	194.98	07/23/2020	197.00	2.02 D	0.00	Sale
07/23/2020	100.00	194.98	07/23/2020	197.00	2.02 D	0.00	Sale
07/23/2020	100.00	194.98	07/23/2020	197.00	2.02 D	0.00	Sale
07/23/2020	100.00	194.98	07/23/2020	197.00	2.02 D	0.00	Sale
07/23/2020	100.00	194.98	07/23/2020	197.00	2.02 D	0.00	Sale
07/23/2020	100.00	194.98	07/23/2020	197.00	2.02 D	0.00	Sale
07/23/2020	100.00	194.98	07/23/2020	197.00	2.02 D	0.00	Sale
07/23/2020	100.00	194.98	07/23/2020	197.00	1.92 D	-0.10	Sale
07/23/2020	150.00	292.47	07/23/2020	295.50	0.00	-3.03	Sale
07/23/2020	200.00	389.97	07/23/2020	394.00	0.00	-4.03	Sale
07/23/2020	300.00	584.94	07/23/2020	591.00	0.00	-6.06	Sale
07/23/2020	300.00	584.94	07/23/2020	591.00	0.00	-6.06	Sale

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APEX CLEARING

## Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B\*

OMB No. 1545-0715

2TZ05705

(continued)

01/24/2021

**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>
MILLENDO THERAPEUTICS INC COMMON STOCK   CUSIP: 60040X103   Symbol: MLND							
07/23/2020	1,500.00	2,912.30	Various	3,102.87	0.00	-190.57	Sale
07/23/2020	545.00	1,062.66	07/23/2020	1,073.65	0.00	-10.99	Sale
<b>Security Totals:</b>		<b>8,762.21</b>		<b>9,012.87</b>		<b>-220.84</b>	
IBIO INC COMMON STOCK   CUSIP: 451033203   Symbol: IBIO							
03/04/2020	300.00	566.94	Various	510.69	0.00	56.25	Sale
03/04/2020	400.00	755.93	03/04/2020	691.55	0.00	64.38	Sale
03/04/2020	566.00	1,069.64	03/04/2020	978.53	0.00	91.11	Sale
03/04/2020	734.00	1,387.13	Various	1,246.97	0.00	140.16	Sale
03/04/2020	1,000.00	2,069.83	Various	1,710.16	0.00	359.67	Sale
03/04/2020	1,000.00	2,239.83	03/04/2020	1,700.00	0.00	539.83	Sale
03/04/2020	100.00	229.98	03/04/2020	273.37	43.39 D	0.00	Sale
03/04/2020	900.00	2,069.84	Various	2,456.53	386.69 D	0.00	Sale
03/04/2020	100.00	229.98	03/04/2020	265.85	35.87 D	0.00	Sale
03/04/2020	900.00	2,069.84	Various	2,252.02	182.18 D	0.00	Sale
03/04/2020	1,000.00	2,299.82	03/04/2020	2,469.27	169.45 D	0.00	Sale
03/04/2020	3,000.00	6,901.28	Various	7,478.32	577.04 D	0.00	Sale
03/06/2020	2,000.00	4,659.65	03/04/2020	3,700.00	0.00	959.65	Buy to Cover Short
03/06/2020	600.00	1,376.89	Various	1,518.13	141.24 D	0.00	Buy to Cover Short
03/06/2020	100.00	212.19	Various	231.10	18.91 D	0.00	Buy to Cover Short
03/06/2020	748.00	1,577.32	Various	1,740.65	163.33 D	0.00	Buy to Cover Short
03/06/2020	775.00	1,580.85	Various	1,646.88	66.03 D	0.00	Buy to Cover Short
03/06/2020	652.00	1,375.60	Various	1,543.54	167.94 D	0.00	Buy to Cover Short
03/06/2020	900.00	2,062.75	Various	2,286.02	223.27 D	0.00	Buy to Cover Short
03/06/2020	1,225.00	2,498.79	Various	2,693.66	194.87 D	0.00	Buy to Cover Short
03/06/2020	5,000.00	8,219.18	Various	8,200.00	60.50 D	79.68	Buy to Cover Short
03/06/2020	1,500.00	3,344.74	03/04/2020	3,345.00	0.26 D	0.00	Buy to Cover Short
03/18/2020	839.00	1,107.35	03/16/2020	1,124.40	17.05 D	0.00	Buy to Cover Short
03/18/2020	867.00	1,174.57	Various	1,166.08	3.27 D	11.76	Buy to Cover Short

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APEX CLEARING

Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B\*

OMB No. 1545-0715

2TZ05705

(continued)

01/24/2021

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
IBIO INC COMMON STOCK   CUSIP: 451033203   Symbol: IBIO							
03/18/2020	1,000.00	1,292.27	Various	1,130.24	0.00	162.03	Buy to Cover Short
03/18/2020	1,294.00	1,762.56	Various	1,750.10	0.24 D	12.70	Buy to Cover Short
03/18/2020	2,000.00	2,580.70	03/16/2020	2,518.00	0.00	62.70	Buy to Cover Short
03/18/2020	163.00	277.07	Various	319.95	42.88 D	0.00	Sale
03/18/2020	434.00	737.73	Various	785.01	47.28 D	0.00	Sale
03/18/2020	1,000.00	1,749.84	Various	2,030.08	280.24 D	0.00	Sale
03/18/2020	1,403.00	2,384.87	Various	2,482.54	97.67 D	0.00	Sale
03/18/2020	1,000.00	1,599.84	03/18/2020	1,709.61	109.77 D	0.00	Sale
03/18/2020	1,000.00	1,599.84	Various	1,920.39	0.00	-320.55	Sale
03/18/2020	2,000.00	3,199.68	Various	3,448.16	0.00	-248.48	Sale
03/18/2020	2,000.00	3,399.68	Various	3,798.46	398.78 D	0.00	Sale
03/20/2020	3,000.00	4,679.53	03/18/2020	4,860.00	0.00	-180.47	Buy to Cover Short
04/27/2020	200.00	227.97	Various	217.78	0.00	10.19	Sale
04/27/2020	100.00	113.98	04/27/2020	108.00	0.00	5.98	Sale
04/27/2020	1,319.00	1,503.46	04/27/2020	1,424.52	0.00	78.94	Sale
04/27/2020	2,000.00	2,219.71	Various	2,160.00	0.00	59.71	Sale
04/27/2020	381.00	434.28	04/27/2020	411.48	0.00	22.80	Sale
06/26/2020	100.00	255.48	06/26/2020	255.00	0.00	0.48	Sale
06/26/2020	100.00	255.48	06/26/2020	255.00	0.00	0.48	Sale
06/26/2020	1,400.00	3,571.15	06/26/2020	3,570.00	0.00	1.15	Sale
06/26/2020	1,400.00	3,571.15	06/26/2020	3,570.00	0.00	1.15	Sale
06/26/2020	3,000.00	7,349.47	06/26/2020	7,590.00	160.35 D	-80.18	Sale
07/23/2020	500.00	3,224.86	07/23/2020	3,135.09	0.00	89.77	Sale
07/23/2020	1,000.00	6,289.74	07/23/2020	6,270.17	0.00	19.57	Sale
07/23/2020	500.00	3,244.86	07/23/2020	3,135.09	0.00	109.77	Sale
<b>Security Totals:</b>		<b>108,605.12</b>		<b>110,083.39</b>		<b>2,110.23</b>	

\*\*\*ONCOLYTICS BIOTECH INC COM NEW | CUSIP: 682310875 | Symbol: ONCY

01/03/2020	100.00	504.98	12/31/2019	505.00	0.02 D	0.00	Buy to Cover Short
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APEX CLEARING

## Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B\*

OMB No. 1545-0715

2TZ05705

(continued)

01/24/2021

**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>
***ONCOLYTICS BIOTECH INC COM NEW   CUSIP: 682310875   Symbol: ONCY							
01/03/2020	100.00	504.98	12/31/2019	505.00	0.02 D	0.00	Buy to Cover Short
01/03/2020	100.00	504.98	12/31/2019	505.00	0.02 D	0.00	Buy to Cover Short
01/03/2020	100.00	504.98	12/31/2019	505.00	0.02 D	0.00	Buy to Cover Short
01/03/2020	100.00	504.98	12/31/2019	505.00	0.02 D	0.00	Buy to Cover Short
01/03/2020	200.00	1,009.94	Various	1,006.00	0.00	3.94	Buy to Cover Short
01/03/2020	340.00	1,715.11	Various	1,717.01	1.90 D	0.00	Buy to Cover Short
01/03/2020	960.00	4,801.02	Various	4,849.99	0.00	-48.97	Buy to Cover Short
<b>Security Totals:</b>		<b>10,050.97</b>		<b>10,098.00</b>		<b>-45.03</b>	
DOCUMENT SECURITY SYSTEMS INC COMMON STOCK   CUSIP: 25614T309   Symbol: DSS							
10/26/2020	500.00	3,324.86	10/26/2020	3,350.00	25.14 D	0.00	Sale
10/27/2020	73.00	466.44	10/27/2020	458.46	0.00	7.98	Sale
10/27/2020	40.00	255.58	10/27/2020	251.21	0.00	4.37	Sale
10/27/2020	100.00	638.97	Various	628.02	0.00	10.95	Sale
10/27/2020	287.00	1,833.85	Various	1,802.45	0.00	31.40	Sale
10/27/2020	500.00	3,234.86	Various	3,115.00	0.00	119.86	Sale
10/27/2020	42.00	271.72	10/27/2020	259.98	0.00	11.74	Sale
10/27/2020	100.00	647.47	10/27/2020	619.00	0.00	28.47	Sale
10/27/2020	500.00	3,234.86	Various	3,099.26	0.00	135.60	Sale
10/27/2020	200.00	1,294.95	10/27/2020	1,244.00	0.00	50.95	Sale
10/27/2020	158.00	1,023.00	10/27/2020	982.76	0.00	40.24	Sale
<b>Security Totals:</b>		<b>16,226.56</b>		<b>15,810.14</b>		<b>441.56</b>	
CLEANSPARK INC COMMON STOCK   CUSIP: 18452B209   Symbol: CLSK							
05/06/2020	1,000.00	2,432.32	Various	2,500.00	0.00	-67.68	Sale
08/10/2020	100.00	1,269.96	08/10/2020	1,225.00	0.00	44.96	Sale
08/10/2020	150.00	1,919.93	08/10/2020	1,837.50	0.00	82.43	Sale
08/10/2020	50.00	637.47	08/10/2020	612.50	0.00	24.97	Sale
08/10/2020	100.00	1,279.96	08/10/2020	1,225.00	0.00	54.96	Sale
08/10/2020	100.00	1,270.56	08/10/2020	1,225.00	0.00	45.56	Sale

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**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
CLEANSPARK INC COMMON STOCK   CUSIP: 18452B209   Symbol: CLSK							
08/13/2020	250.00	2,914.90	Various	2,805.50	0.00	109.40	Sale
08/13/2020	30.00	352.50	08/13/2020	336.90	0.00	15.60	Sale
08/13/2020	25.00	292.23	08/13/2020	280.75	0.00	11.48	Sale
08/13/2020	80.00	935.16	08/13/2020	898.40	0.00	36.76	Sale
08/13/2020	300.00	3,509.88	Various	3,368.90	0.00	140.98	Sale
08/13/2020	95.00	1,110.51	08/13/2020	1,064.95	0.00	45.56	Sale
08/13/2020	220.00	2,586.19	08/13/2020	2,470.60	0.00	115.59	Sale
08/18/2020	1,000.00	11,669.62	Various	11,700.00	15.19 D	-15.19	Sale
08/20/2020	500.00	6,164.80	08/20/2020	6,275.19	0.00	-110.39	Sale
<b>Security Totals:</b>		<b>38,345.99</b>		<b>37,826.19</b>		<b>534.99</b>	
WRAP TECHNOLOGIES INC COMMON SHARES   CUSIP: 98212N107   Symbol: WRTC							
06/05/2020	20.00	177.79	06/03/2020	180.00	2.21 D	0.00	Buy to Cover Short
06/05/2020	980.00	8,711.89	Various	8,822.21	0.00	-110.32	Buy to Cover Short
<b>Security Totals:</b>		<b>8,889.68</b>		<b>9,002.21</b>		<b>-110.32</b>	
LIVEXLIVE MEDIA INC COMMON STOCK   CUSIP: 53839L208   Symbol: LIVX							
05/04/2020	1,000.00	2,814.81	05/04/2020	2,847.60	0.00	-32.79	Sale
***GREENPOWER MOTOR COMPANY INC COM   CUSIP: 39540E104   Symbol: GPVRF							
08/24/2020	1,000.00	2,748.81	08/24/2020	2,591.00	0.00	157.81	Sale
08/24/2020	1,000.00	2,748.81	08/24/2020	2,591.00	0.00	157.81	Sale
08/24/2020	1,000.00	2,748.81	08/24/2020	2,561.00	0.00	187.81	Sale
08/24/2020	1,000.00	2,748.81	08/24/2020	2,561.00	0.00	187.81	Sale
08/25/2020	18.00	42.06	08/25/2020	45.55	3.49 D	0.00	Sale
08/25/2020	32.00	92.70	08/25/2020	84.54	0.00	8.16	Sale
08/25/2020	50.00	160.88	08/25/2020	160.10	0.00	0.78	Sale
08/25/2020	59.00	191.61	08/25/2020	184.79	0.00	6.82	Sale
08/25/2020	100.00	289.78	08/25/2020	264.20	0.00	25.58	Sale
08/25/2020	68.00	188.19	08/25/2020	179.66	0.00	8.53	Sale
08/25/2020	100.00	284.78	08/25/2020	264.20	0.00	20.58	Sale

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**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

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**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
***GREENPOWER MOTOR COMPANY INC COM   CUSIP: 39540E104   Symbol: GPVRF							
08/25/2020	100.00	289.78	08/25/2020	264.20	0.00	25.58	Sale
08/25/2020	100.00	321.78	08/25/2020	320.20	0.00	1.58	Sale
08/25/2020	100.00	287.78	08/25/2020	302.20	14.42 D	0.00	Sale
08/25/2020	100.00	281.78	08/25/2020	302.20	20.42 D	0.00	Sale
08/25/2020	100.00	254.78	08/25/2020	274.62	19.84 D	0.00	Sale
08/25/2020	200.00	643.56	08/25/2020	640.40	0.00	3.16	Sale
08/25/2020	200.00	647.56	08/25/2020	640.40	0.00	7.16	Sale
08/25/2020	200.00	649.56	08/25/2020	626.40	0.00	23.16	Sale
08/25/2020	200.00	569.56	08/25/2020	528.40	0.00	41.16	Sale
08/25/2020	250.00	804.45	08/25/2020	800.50	0.00	3.95	Sale
08/25/2020	253.00	821.69	08/25/2020	792.40	0.00	29.29	Sale
08/25/2020	300.00	968.33	08/25/2020	960.60	0.00	7.73	Sale
08/25/2020	400.00	1,291.12	08/25/2020	1,280.80	0.00	10.32	Sale
08/25/2020	482.00	1,130.44	08/25/2020	1,219.63	89.19 D	0.00	Sale
08/25/2020	488.00	1,584.92	08/25/2020	1,528.41	0.00	56.51	Sale
08/25/2020	500.00	1,423.90	08/25/2020	1,321.00	0.00	102.90	Sale
08/25/2020	500.00	1,613.90	08/25/2020	1,601.00	0.00	12.90	Sale
08/25/2020	500.00	1,188.91	Various	1,195.02	6.11 D	0.00	Sale
08/25/2020	500.00	1,168.91	Various	1,262.78	93.87 D	0.00	Sale
08/25/2020	500.00	1,228.91	Various	1,206.53	1.67 D	24.05	Sale
08/25/2020	500.00	1,218.91	Various	1,103.59	0.00	115.32	Sale
08/25/2020	500.00	1,223.91	Various	1,113.03	0.00	110.88	Sale
08/25/2020	700.00	1,993.47	08/25/2020	1,849.40	0.00	144.07	Sale
08/25/2020	700.00	2,028.47	08/25/2020	1,849.40	0.00	179.07	Sale
08/25/2020	700.00	2,028.47	08/25/2020	2,115.40	86.93 D	0.00	Sale
08/25/2020	1,000.00	3,247.80	08/25/2020	3,132.00	0.00	115.80	Sale
08/25/2020	1,100.00	3,099.59	Various	3,445.97	346.38 D	0.00	Sale

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APEX CLEARING

## Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B\*

OMB No. 1545-0715

2TZ05705

(continued)

01/24/2021

**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
***GREENPOWER MOTOR COMPANY INC COM   CUSIP: 39540E104   Symbol: GPVRF							
08/26/2020	1.00	2.54	08/26/2020	2.63	0.09 D	0.00	Sale
08/26/2020	5.00	12.82	08/26/2020	13.16	0.34 D	0.00	Sale
08/26/2020	60.00	161.26	08/26/2020	164.17	2.91 D	0.00	Sale
08/26/2020	100.00	267.78	08/26/2020	275.62	0.00	-7.84	Sale
08/26/2020	300.00	803.34	Various	824.32	0.00	-20.98	Sale
08/26/2020	300.00	770.34	08/26/2020	789.60	19.26 D	0.00	Sale
08/26/2020	854.00	2,295.39	Various	2,348.91	19.33 D	-34.19	Sale
08/26/2020	1,600.00	4,284.51	Various	4,408.08	0.00	-123.57	Sale
08/26/2020	2,194.00	5,589.93	08/26/2020	5,774.61	184.68 D	0.00	Sale
<b>Security Totals:</b>		<b>58,445.39</b>		<b>57,764.62</b>		<b>1,589.70</b>	
***AC IMMUNE SA COMMON STOCK   CUSIP: H00263105   Symbol: ACIU							
07/16/2020	322.00	3,786.59	07/16/2020	3,892.98	0.00	-106.39	Sale
07/16/2020	178.00	2,100.33	07/16/2020	2,152.02	0.00	-51.69	Sale
<b>Security Totals:</b>		<b>5,886.92</b>		<b>6,045.00</b>		<b>-158.08</b>	
MATINAS BIOPHARMA HOLDINGS INC COMMON STOCK   CUSIP: 576810105   Symbol: MTNB							
07/24/2020	5,000.00	4,802.29	Various	4,993.40	0.00	-191.11	Sale
07/24/2020	5,000.00	4,796.29	Various	4,960.00	163.71 D	0.00	Sale
<b>Security Totals:</b>		<b>9,598.58</b>		<b>9,953.40</b>		<b>-191.11</b>	
AERPIO PHARMACEUTICALS INC COMMON STOCK   CUSIP: 00810B105   Symbol: ARPO							
05/12/2020	9.00	8.24	05/12/2020	8.48	0.24 D	0.00	Sale
05/12/2020	74.00	67.17	Various	72.07	4.90 D	0.00	Sale
05/12/2020	81.00	73.52	Various	82.69	9.17 D	0.00	Sale
05/12/2020	100.00	90.78	Various	107.44	16.66 D	0.00	Sale
05/12/2020	126.00	114.51	Various	134.24	19.73 D	0.00	Sale
05/12/2020	226.00	205.16	Various	234.33	29.17 D	0.00	Sale
05/12/2020	101.00	91.68	Various	107.86	16.18 D	0.00	Sale
05/12/2020	300.00	272.95	Various	333.56	60.61 D	0.00	Sale
05/12/2020	411.00	373.12	Various	447.49	74.37 D	0.00	Sale

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**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

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**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
AERPIO PHARMACEUTICALS INC COMMON STOCK   CUSIP: 00810B105   Symbol: ARPO							
05/12/2020	600.00	544.71	Various	677.32	129.58 D	-3.03	Sale
05/12/2020	660.00	599.18	Various	753.17	0.00	-153.99	Sale
05/12/2020	1,312.00	1,191.10	05/12/2020	1,235.89	0.00	-44.79	Sale
08/04/2020	13.00	30.66	08/04/2020	32.50	0.00	-1.84	Sale
08/04/2020	187.00	441.29	08/04/2020	467.50	0.00	-26.21	Sale
08/04/2020	500.00	1,179.91	08/04/2020	1,250.00	0.00	-70.09	Sale
08/04/2020	300.00	707.94	08/04/2020	750.00	0.00	-42.06	Sale
<b>Security Totals:</b>		<b>5,991.92</b>		<b>6,694.54</b>		<b>-342.01</b>	
LUBY'S INC FORMERLY LUBYS CAFETERIAS INC   CUSIP: 549282101   Symbol: LUB							
09/09/2020	1,000.00	2,399.82	Various	2,307.62	0.00	92.20	Sale
09/09/2020	2,500.00	5,474.57	Various	5,561.33	86.76 D	0.00	Sale
09/09/2020	2,500.00	5,474.57	Various	5,513.72	39.15 D	0.00	Sale
09/09/2020	3,000.00	6,839.48	Various	6,918.54	79.06 D	0.00	Sale
09/09/2020	9.00	21.49	09/09/2020	20.71	0.00	0.78	Sale
09/09/2020	139.00	332.18	Various	319.75	0.00	12.43	Sale
09/09/2020	852.00	2,036.13	Various	1,959.88	0.00	76.25	Sale
09/09/2020	1,000.00	2,430.82	Various	2,307.61	0.00	123.21	Sale
09/09/2020	2,000.00	4,379.66	09/09/2020	4,400.00	20.34 D	0.00	Sale
09/09/2020	3,000.00	6,539.49	Various	6,614.54	75.05 D	0.00	Sale
09/10/2020	1.00	2.26	09/10/2020	2.38	0.00	-0.12	Sale
09/10/2020	58.00	131.93	Various	138.02	0.00	-6.09	Sale
09/10/2020	99.00	225.21	Various	235.59	0.00	-10.38	Sale
09/10/2020	100.00	227.48	Various	237.98	0.00	-10.50	Sale
09/10/2020	100.00	227.48	Various	237.97	0.00	-10.49	Sale
09/10/2020	100.00	227.48	Various	237.98	0.00	-10.50	Sale
09/10/2020	110.00	250.23	09/10/2020	261.77	0.00	-11.54	Sale
09/10/2020	2,332.00	5,293.24	Various	5,540.41	0.00	-247.17	Sale

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APEX CLEARING

Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B\*

OMB No. 1545-0715

2TZ05705

(continued)

01/24/2021

**SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS**

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

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LUBY'S INC FORMERLY LUBY'S CAFETERIAS INC   CUSIP: 549282101   Symbol: LUB							
09/10/2020	100.00	227.48	09/10/2020	236.96	0.00	-9.48	Sale
<b>Security Totals:</b>		<b>42,741.00</b>		<b>43,052.76</b>		<b>-11.40</b>	
SPARTAN ENERGY ACQUISITION CORP CLASS A COMMON STOCK   CUSIP: 846784106   Symbol: SPAQ							
07/10/2020	100.00	1,724.05	07/10/2020	1,748.00	23.95 D	0.00	Sale
07/10/2020	200.00	3,448.18	07/10/2020	3,496.00	47.82 D	0.00	Sale
07/10/2020	200.00	3,448.18	07/10/2020	3,496.00	47.82 D	0.00	Sale
07/13/2020	100.00	1,720.95	07/13/2020	1,743.95	23 D	0.00	Sale
07/13/2020	200.00	3,441.90	07/13/2020	3,487.82	45.92 D	0.00	Sale
07/13/2020	200.00	3,441.90	07/13/2020	3,487.82	45.92 D	0.00	Sale
07/13/2020	200.00	3,441.90	Various	3,485.96	44.06 D	0.00	Sale
07/13/2020	300.00	5,162.84	Various	5,228.88	66.04 D	0.00	Sale
07/14/2020	1,000.00	14,720.75	Various	14,900.10	144.74 D	-34.61	Sale
07/15/2020	143.00	1,994.78	Various	2,020.50	0.00	-25.72	Sale
07/15/2020	93.00	1,305.68	Various	1,314.07	0.00	-8.39	Sale
07/15/2020	100.00	1,403.95	Various	1,412.94	0.00	-8.99	Sale
07/15/2020	164.00	2,302.48	Various	2,317.23	0.00	-14.75	Sale
<b>Security Totals:</b>		<b>47,557.54</b>		<b>48,139.27</b>		<b>-92.46</b>	
***HERMITAGE OFFSHORE SERVICES LTD COMMON SHARES   CUSIP: G4511M108   Symbol: PSV							
07/10/2020	100.00	215.98	07/10/2020	201.93	0.00	14.05	Sale
07/10/2020	100.00	215.98	07/10/2020	201.93	0.00	14.05	Sale
07/10/2020	100.00	219.98	Various	218.00	0.00	1.98	Sale
07/10/2020	100.00	219.98	07/10/2020	218.00	0.00	1.98	Sale
07/10/2020	100.00	219.98	Various	218.00	0.00	1.98	Sale
07/10/2020	100.00	219.98	07/10/2020	218.00	0.00	1.98	Sale
07/10/2020	100.00	219.98	Various	218.00	0.00	1.98	Sale
07/10/2020	100.00	219.98	07/10/2020	218.00	0.00	1.98	Sale
07/10/2020	100.00	219.98	07/10/2020	218.00	0.00	1.98	Sale
07/10/2020	500.00	1,099.91	Various	1,090.00	0.00	9.91	Sale

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APEX CLEARING

Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B\*

OMB No. 1545-0715

2TZ05705

(continued)

01/24/2021

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)

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

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***HERMITAGE OFFSHORE SERVICES LTD COMMON SHARES   CUSIP: G4511M108   Symbol: PSV							
07/10/2020	800.00	1,727.86	07/10/2020	1,615.44	0.00	112.42	Sale
07/10/2020	800.00	1,751.86	07/10/2020	1,744.00	0.00	7.86	Sale
07/10/2020	50.00	104.48	07/10/2020	100.97	0.00	3.51	Sale
07/10/2020	73.00	156.20	07/10/2020	147.41	0.00	8.79	Sale
07/10/2020	100.00	208.98	07/10/2020	201.93	0.00	7.05	Sale
07/10/2020	100.00	213.98	07/10/2020	201.93	0.00	12.05	Sale
07/10/2020	336.00	718.98	07/10/2020	678.48	0.00	40.50	Sale
07/10/2020	491.00	1,050.65	07/10/2020	991.48	0.00	59.17	Sale
07/10/2020	850.00	1,776.36	07/10/2020	1,716.40	0.00	59.96	Sale
07/10/2020	1,000.00	2,144.83	07/10/2020	2,019.30	0.00	125.53	Sale
07/10/2020	1,000.00	2,109.83	07/10/2020	2,019.30	0.00	90.53	Sale
<b>Security Totals:</b>		<b>15,035.74</b>		<b>14,456.50</b>		<b>579.24</b>	
SORRENTO THERAPEUTICS INC   CUSIP: 83587F202   Symbol: SRNE							
05/19/2020	500.00	2,444.89	05/15/2020	2,290.00	0.00	154.89	Buy to Cover Short
05/19/2020	500.00	2,444.88	05/15/2020	2,310.00	0.00	134.88	Buy to Cover Short
05/19/2020	200.00	1,212.44	Various	1,212.00	0.00	0.44	Buy to Cover Short
08/04/2020	3.00	34.42	08/04/2020	34.20	0.00	0.22	Sale
08/04/2020	25.00	333.73	08/04/2020	337.90	4.17 D	0.00	Sale
08/04/2020	60.00	725.37	Various	752.07	26.70 D	0.00	Sale
08/04/2020	100.00	1,208.96	Various	1,253.44	44.48 D	0.00	Sale
08/04/2020	75.00	1,001.21	Various	1,013.94	12.73 D	0.00	Sale
08/04/2020	200.00	2,295.92	08/04/2020	2,280.00	0.00	15.92	Sale
08/04/2020	200.00	2,295.92	08/04/2020	2,280.00	0.00	15.92	Sale
08/04/2020	465.00	5,951.80	Various	6,217.45	265.65 D	0.00	Sale
08/04/2020	205.00	2,623.92	Various	2,741.71	117.79 D	0.00	Sale
08/04/2020	500.00	5,524.81	08/04/2020	5,500.00	0.00	24.81	Sale
08/04/2020	597.00	6,853.33	08/04/2020	6,805.80	0.00	47.53	Sale
08/04/2020	665.00	8,511.73	Various	8,743.52	231.79 D	0.00	Sale

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**SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS**

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

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SORRENTO THERAPEUTICS INC   CUSIP: 83587F202   Symbol: SRNE							
08/04/2020	840.00	10,155.27	Various	10,531.23	375.96 D	0.00	Sale
08/04/2020	665.00	8,511.73	Various	8,595.44	83.71 D	0.00	Sale
08/04/2020	1,000.00	11,909.61	Various	12,417.16	507.55 D	0.00	Sale
08/04/2020	900.00	12,014.62	Various	12,406.26	391.64 D	0.00	Sale
08/04/2020	1,000.00	11,899.61	08/04/2020	12,000.00	100.39 D	0.00	Sale
08/04/2020	1,000.00	13,359.58	Various	13,865.64	506.06 D	0.00	Sale
08/04/2020	1,000.00	11,709.62	Various	12,128.18	418.56 D	0.00	Sale
08/04/2020	1,000.00	11,939.61	08/04/2020	12,100.39	160.78 D	0.00	Sale
08/04/2020	1,884.00	25,112.94	Various	25,497.74	421.45 D	36.65	Sale
08/04/2020	1,000.00	12,050.81	Various	12,507.55	456.74 D	0.00	Sale
08/04/2020	2,100.00	25,648.37	Various	26,359.04	710.67 D	0.00	Sale
08/07/2020	50.00	745.47	Various	738.77	0.00	6.70	Sale
08/07/2020	250.00	3,709.88	Various	3,736.27	31.33 D	4.94	Sale
08/07/2020	250.00	3,700.23	Various	3,740.89	40.66 D	0.00	Sale
08/07/2020	250.00	3,704.88	Various	3,766.89	62.01 D	0.00	Sale
08/07/2020	200.00	2,981.91	Various	2,985.48	16.59 D	13.02	Sale
08/10/2020	500.00	7,829.76	Various	7,822.99	48.69 D	55.46	Sale
08/10/2020	320.00	5,503.83	Various	5,643.62	139.79 D	0.00	Sale
08/10/2020	50.00	859.97	Various	885.15	25.18 D	0.00	Sale
08/10/2020	630.00	10,835.69	Various	11,130.81	295.12 D	0.00	Sale
08/11/2020	500.00	6,609.79	Various	6,720.88	111.09 D	0.00	Sale
08/11/2020	400.00	5,287.83	Various	5,372.05	84.22 D	0.00	Sale
08/11/2020	100.00	1,322.96	Various	1,347.16	24.20 D	0.00	Sale
08/12/2020	52.00	946.89	08/10/2020	960.52	13.63 D	0.00	Buy to Cover Short
08/12/2020	50.00	910.97	08/10/2020	927.63	16.66 D	0.00	Buy to Cover Short
08/12/2020	198.00	3,605.48	Various	3,657.36	51.88 D	0.00	Buy to Cover Short
08/12/2020	200.00	3,643.89	Various	3,683.23	39.34 D	0.00	Buy to Cover Short

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**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

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**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
SORRENTO THERAPEUTICS INC   CUSIP: 83587F202   Symbol: SRNE							
08/12/2020	250.00	4,552.37	Various	4,649.10	96.73 D	0.00	Buy to Cover Short
08/12/2020	500.00	9,139.73	Various	9,450.48	310.75 D	0.00	Buy to Cover Short
08/12/2020	500.00	9,139.74	Various	9,391.54	251.80 D	0.00	Buy to Cover Short
08/12/2020	1,000.00	17,129.50	08/10/2020	17,330.00	200.5 D	0.00	Buy to Cover Short
08/12/2020	100.00	1,823.95	08/10/2020	1,882.10	58.15 D	0.00	Buy to Cover Short
08/12/2020	250.00	4,552.36	Various	4,569.98	22.6 D	4.98	Buy to Cover Short
08/12/2020	900.00	16,415.50	Various	16,739.47	323.97 D	0.00	Buy to Cover Short
08/12/2020	750.00	13,664.60	Various	13,957.74	293.14 D	0.00	Buy to Cover Short
08/12/2020	250.00	4,552.37	08/10/2020	4,630.37	78 D	0.00	Buy to Cover Short
08/12/2020	100.00	1,224.96	Various	1,217.55	0.00	7.41	Sale
08/12/2020	150.00	1,837.43	Various	1,835.02	0.00	2.41	Sale
08/12/2020	250.00	2,874.90	Various	2,848.63	0.00	26.27	Sale
08/12/2020	250.00	2,867.40	Various	2,856.43	12.34 D	23.31	Sale
08/12/2020	250.00	2,934.90	Various	2,838.14	0.00	96.76	Sale
08/12/2020	6.00	71.98	08/12/2020	73.43	0.00	-1.45	Sale
08/12/2020	10.00	119.98	Various	122.37	0.00	-2.39	Sale
08/12/2020	34.00	407.98	Various	416.05	0.00	-8.07	Sale
08/12/2020	100.00	1,199.96	Various	1,222.85	0.00	-22.89	Sale
08/12/2020	100.00	1,199.96	08/12/2020	1,221.14	0.00	-21.18	Sale
08/12/2020	250.00	2,867.65	Various	2,791.16	0.00	76.49	Sale
08/12/2020	250.00	3,062.70	Various	3,060.90	0.00	1.80	Sale
08/12/2020	250.00	2,989.90	Various	3,044.06	0.00	-54.16	Sale
09/16/2020	1.00	8.95	09/16/2020	8.95	0.00	0.00	Sale
09/16/2020	1.00	8.95	09/16/2020	8.95	0.00	0.00	Sale
09/16/2020	114.00	1,015.70	Various	1,026.15	0.00	-10.45	Sale
09/16/2020	315.00	2,800.24	Various	2,828.25	28.01 D	0.00	Sale
09/16/2020	685.00	6,089.43	Various	6,153.13	63.70 D	0.00	Sale

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APEX CLEARING

## Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B\*

OMB No. 1545-0715

2TZ05705

(continued)

01/24/2021

**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>
SORRENTO THERAPEUTICS INC   CUSIP: 83587F202   Symbol: SRNE							
09/16/2020	886.00	7,893.97	Various	7,965.37	1.42 D	-69.98	Sale
09/16/2020	998.00	8,931.78	Various	8,932.10	0.32 D	0.00	Sale
<b>Security Totals:</b>		<b>391,353.37</b>		<b>398,371.77</b>		<b>560.24</b>	
***SUPERCOMLTD NEW   CUSIP: M87095119   Symbol: SPCB							
03/30/2020	2,000.00	2,719.69	Various	2,859.32	0.00	-139.63	Sale
***TRILLIUM THERAPEUTICS INC COM NEW   CUSIP: 89620X506   Symbol: TRIL							
03/05/2020	3.00	20.68	03/05/2020	20.85	0.00	-0.17	Sale
03/05/2020	47.00	324.28	03/05/2020	326.66	0.00	-2.38	Sale
03/05/2020	50.00	344.98	03/05/2020	347.51	0.00	-2.53	Sale
03/05/2020	100.00	689.97	03/05/2020	695.03	0.00	-5.06	Sale
03/05/2020	100.00	689.97	03/05/2020	695.03	0.00	-5.06	Sale
03/05/2020	100.00	689.97	03/05/2020	695.03	0.00	-5.06	Sale
03/05/2020	200.00	1,385.94	03/05/2020	1,390.06	0.00	-4.12	Sale
03/05/2020	400.00	2,771.88	03/05/2020	2,780.11	0.00	-8.23	Sale
03/05/2020	300.00	2,069.91	03/05/2020	2,091.08	0.00	-21.17	Sale
03/05/2020	700.00	4,829.81	03/05/2020	4,879.20	0.00	-49.39	Sale
03/09/2020	2,000.00	13,799.44	Various	13,900.00	100.56 D	0.00	Buy to Cover Short
03/09/2020	2,000.00	13,879.46	Various	13,956.20	0.00	-76.74	Buy to Cover Short
<b>Security Totals:</b>		<b>41,496.29</b>		<b>41,776.76</b>		<b>-179.91</b>	
ASHFORD HOSPITALITY TR INC COMMON STOCK   CUSIP: 044103877   Symbol: AHT							
11/18/2020	2.00	11.02	11/18/2020	11.26	0.24 D	0.00	Sale
11/18/2020	100.00	562.97	11/18/2020	548.56	0.00	14.41	Sale
11/18/2020	150.00	844.46	11/18/2020	822.84	0.00	21.62	Sale
11/18/2020	498.00	2,746.34	11/18/2020	2,804.92	58.58 D	0.00	Sale
11/18/2020	250.00	1,369.93	11/18/2020	1,371.40	1.47 D	0.00	Sale
11/18/2020	1,000.00	5,179.76	Various	5,414.07	0.00	-234.31	Sale
11/18/2020	200.00	1,081.95	Various	1,127.53	45.58 D	0.00	Sale
11/18/2020	250.00	1,372.43	Various	1,371.47	0.00	0.96	Sale

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**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

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**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
ASHFORD HOSPITALITY TR INC COMMON STOCK   CUSIP: 044103877   Symbol: AHT							
11/18/2020	300.00	1,622.92	11/18/2020	1,691.29	68.37 D	0.00	Sale
11/18/2020	500.00	2,704.88	Various	2,883.95	179.07 D	0.00	Sale
11/18/2020	250.00	1,371.51	11/18/2020	1,370.00	0.00	1.51	Sale
11/18/2020	500.00	2,743.82	11/18/2020	2,765.00	21.18 D	0.00	Sale
<b>Security Totals:</b>		<b>21,611.99</b>		<b>22,182.29</b>		<b>-195.81</b>	
BLONDER TONGUE LABORATORIES INC   CUSIP: 093698108   Symbol: BDR							
12/08/2020	10.00	17.38	12/08/2020	18.00	0.62 D	0.00	Sale
12/08/2020	20.00	34.78	12/08/2020	36.00	1.22 D	0.00	Sale
12/08/2020	140.00	243.57	12/08/2020	252.00	8.43 D	0.00	Sale
12/08/2020	381.00	662.87	Various	688.90	19.86 D	-6.17	Sale
12/08/2020	449.00	781.19	Various	835.23	0.00	-54.04	Sale
<b>Security Totals:</b>		<b>1,739.79</b>		<b>1,830.13</b>		<b>-60.21</b>	
EASTMAN KODAK COMPANY COM NEW   CUSIP: 277461406   Symbol: KODK							
07/28/2020	50.00	523.47	07/28/2020	500.00	0.00	23.47	Sale
07/28/2020	50.00	559.97	07/28/2020	500.00	0.00	59.97	Sale
07/28/2020	100.00	1,071.96	07/28/2020	1,000.00	0.00	71.96	Sale
07/28/2020	100.00	1,071.96	07/28/2020	1,000.00	0.00	71.96	Sale
07/28/2020	100.00	1,099.96	07/28/2020	1,000.00	0.00	99.96	Sale
07/28/2020	100.00	1,090.09	07/28/2020	1,000.00	0.00	90.09	Sale
07/29/2020	19.00	243.18	07/29/2020	256.54	13.36 D	0.00	Sale
07/29/2020	20.00	264.58	07/29/2020	268.60	4.02 D	0.00	Sale
07/29/2020	30.00	383.98	Various	404.87	20.89 D	0.00	Sale
07/29/2020	38.00	503.09	07/29/2020	510.34	7.25 D	0.00	Sale
07/29/2020	100.00	3,429.91	07/29/2020	3,572.17	142.26 D	0.00	Sale
07/29/2020	100.00	3,449.91	07/29/2020	3,615.03	165.12 D	0.00	Sale
07/29/2020	80.00	1,059.16	Various	1,081.85	22.69 D	0.00	Sale
07/29/2020	230.00	3,047.40	Various	3,024.50	0.00	22.90	Sale
07/29/2020	162.00	2,143.19	Various	2,187.48	44.29 D	0.00	Sale

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**SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS**

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

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**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

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**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
EASTMAN KODAK COMPANY COM NEW   CUSIP: 277461406   Symbol: KODK							
07/29/2020	100.00	3,436.91	07/29/2020	3,514.04	77.13 D	0.00	Sale
07/29/2020	200.00	7,599.81	Various	7,855.67	255.86 D	0.00	Sale
07/29/2020	300.00	3,968.87	Various	4,075.98	107.11 D	0.00	Sale
07/29/2020	270.00	3,577.39	07/29/2020	3,550.50	0.00	26.89	Sale
07/29/2020	451.00	5,772.62	Various	5,920.70	148.08 D	0.00	Sale
07/29/2020	300.00	12,599.68	Various	13,551.89	952.21 D	0.00	Sale
07/30/2020	2.00	80.39	07/30/2020	81.91	1.52 D	0.00	Sale
07/30/2020	4.00	161.57	07/30/2020	163.81	2.24 D	0.00	Sale
07/30/2020	22.00	884.76	07/30/2020	900.97	16.21 D	0.00	Sale
07/30/2020	50.00	2,013.34	07/30/2020	2,047.66	34.32 D	0.00	Sale
07/30/2020	55.00	2,219.63	Various	2,223.39	13.12 D	9.36	Sale
07/30/2020	67.00	2,700.55	07/30/2020	2,684.91	0.00	15.64	Sale
08/04/2020	80.00	1,399.15	Various	1,524.85	126.57 D	0.87	Sale
08/04/2020	100.00	1,739.95	Various	1,864.28	0.00	-124.33	Sale
08/04/2020	150.00	2,609.92	Various	2,672.59	0.00	-62.67	Sale
08/04/2020	170.00	2,973.21	Various	2,896.91	0.00	76.30	Sale
08/04/2020	250.00	4,309.87	Various	4,975.21	665.34 D	0.00	Sale
08/04/2020	250.00	4,349.87	Various	4,774.53	271.40 D	-153.26	Sale
08/04/2020	505.00	7,781.81	Various	8,936.87	1155.06 D	0.00	Sale
09/18/2020	50.00	571.47	09/18/2020	564.44	0.00	7.03	Sale
09/18/2020	100.00	1,142.96	09/18/2020	1,128.87	0.00	14.09	Sale
09/18/2020	150.00	1,714.44	09/18/2020	1,693.30	0.00	21.14	Sale
09/18/2020	200.00	2,285.92	09/18/2020	2,257.74	0.00	28.18	Sale
09/18/2020	250.00	2,887.40	09/18/2020	2,865.00	0.00	22.40	Sale
09/18/2020	250.00	2,887.40	09/18/2020	2,865.00	0.00	22.40	Sale
09/18/2020	500.00	5,714.81	09/18/2020	5,644.35	0.00	70.46	Sale
09/18/2020	100.00	1,161.96	09/18/2020	1,159.93	0.00	2.03	Sale

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APEX CLEARING

## Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B\*

OMB No. 1545-0715

2TZ05705

(continued)

01/24/2021

**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**

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EASTMAN KODAK COMPANY COM NEW   CUSIP: 277461406   Symbol: KODK							
09/18/2020	250.00	2,887.43	09/18/2020	2,865.00	0.00	22.43	Sale
09/18/2020	250.00	2,900.18	09/18/2020	2,865.00	0.00	35.18	Sale
09/18/2020	900.00	10,457.65	09/18/2020	10,439.37	0.00	18.28	Sale
10/09/2020	746.00	7,504.50	10/09/2020	7,549.52	45.02 D	0.00	Sale
10/09/2020	198.00	1,991.81	10/09/2020	2,003.76	11.95 D	0.00	Sale
10/09/2020	1,000.00	10,219.65	Various	10,305.40	85.75 D	0.00	Sale
10/09/2020	56.00	562.77	10/09/2020	566.72	3.95 D	0.00	Sale
10/09/2020	1,000.00	10,169.65	Various	10,325.75	0.00	-156.10	Sale
10/09/2020	1.00	10.20	10/09/2020	10.30	0.1 D	0.00	Sale
10/09/2020	500.00	5,105.72	Various	5,150.17	44.45 D	0.00	Sale
10/09/2020	499.00	5,099.60	Various	5,140.45	40.85 D	0.00	Sale
<b>Security Totals:</b>		<b>165,396.63</b>		<b>169,538.12</b>		<b>336.63</b>	
***BORR DRILLING LIMITED COM ON SHARES OF PAR VALUE \$0.05 PER SHARE   CUSIP: G1466R207   Symbol: BORR							
04/13/2020	1,500.00	2,219.77	04/08/2020	2,025.00	0.00	194.77	Buy to Cover Short
04/13/2020	1,500.00	2,234.75	Various	2,025.00	0.00	209.75	Buy to Cover Short
<b>Security Totals:</b>		<b>4,454.52</b>		<b>4,050.00</b>		<b>404.52</b>	
MARKER THERAPEUTICS INC COMMON STOCK   CUSIP: 57055L107   Symbol: MRKR							
04/29/2020	500.00	1,374.90	Various	1,250.00	0.00	124.90	Sale
12/16/2020	50.00	93.98	12/16/2020	98.02	4.04 D	0.00	Sale
12/16/2020	100.00	187.98	Various	197.06	9.08 D	0.00	Sale
12/16/2020	900.00	1,647.75	Various	1,821.17	0.00	-173.42	Sale
12/16/2020	100.00	183.98	12/16/2020	194.11	0.00	-10.13	Sale
12/16/2020	759.00	1,426.79	Various	1,493.94	67.15 D	0.00	Sale
12/16/2020	1,091.00	2,050.90	Various	2,188.05	137.15 D	0.00	Sale
12/16/2020	2,000.00	3,779.67	Various	4,029.35	249.68 D	0.00	Sale
12/16/2020	300.00	559.44	Various	614.90	55.46 D	0.00	Sale
12/16/2020	100.00	185.98	Various	210.66	24.68 D	0.00	Sale
12/16/2020	100.00	185.98	Various	201.57	15.59 D	0.00	Sale

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APEX CLEARING

## Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B\*

OMB No. 1545-0715

2TZ05705

(continued)

01/24/2021

**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**

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MARKER THERAPEUTICS INC COMMON STOCK   CUSIP: 57055L107   Symbol: MRKR							
12/16/2020	700.00	1,302.94	Various	1,372.48	59.55 D	-9.99	Sale
12/16/2020	800.00	1,487.86	12/16/2020	1,508.27	0.00	-20.41	Sale
12/18/2020	200.00	389.96	12/16/2020	392.00	2.04 D	0.00	Buy to Cover Short
12/18/2020	400.00	779.92	Various	786.04	6.12 D	0.00	Buy to Cover Short
12/18/2020	400.00	779.92	Various	790.12	10.20 D	0.00	Buy to Cover Short
<b>Security Totals:</b>		<b>16,417.95</b>		<b>17,147.74</b>		<b>-89.05</b>	
CLEARSIGN TECHNOLOGIES CORPORATION COMMON STOCK   CUSIP: 185064102   Symbol: CLIR							
06/16/2020	800.00	2,303.84	Various	2,481.42	177.58 D	0.00	Sale
06/16/2020	1,200.00	3,455.78	Various	3,551.79	96.01 D	0.00	Sale
06/16/2020	1,000.00	2,979.81	Various	3,145.00	165.19 D	0.00	Sale
06/17/2020	200.00	632.16	Various	669.61	0.00	-37.45	Sale
06/17/2020	200.00	632.24	06/17/2020	655.62	0.00	-23.38	Sale
06/17/2020	200.00	632.16	Various	655.62	0.00	-23.46	Sale
06/17/2020	250.00	807.45	06/17/2020	837.03	5.92 D	-23.66	Sale
06/17/2020	150.00	474.17	Various	497.72	0.00	-23.55	Sale
06/17/2020	1,000.00	3,329.80	Various	3,321.20	0.00	8.60	Sale
<b>Security Totals:</b>		<b>15,247.41</b>		<b>15,815.01</b>		<b>-122.90</b>	
ZOOMINFO TECHNOLOGIES INC CLASS A COMMON STOCK   CUSIP: 98980F104   Symbol: ZI							
06/12/2020	100.00	5,099.86	Various	5,110.00	0.00	-10.14	Buy to Cover Short
***WEIDAI LTD AMERICAN DEPOSITARY SHS ECH ONE (1) CLASS A ORDINARY SHARE   CUSIP: 94861A108   Symbol: WEI							
10/20/2020	100.00	655.97	10/20/2020	675.00	19.03 D	0.00	Sale
10/20/2020	400.00	2,619.89	Various	2,719.03	0.00	-99.14	Sale
<b>Security Totals:</b>		<b>3,275.86</b>		<b>3,394.03</b>		<b>-99.14</b>	
PERCEPTRON INC   CUSIP: 71361F100   Symbol: PRCP							
07/14/2020	100.00	547.97	07/14/2020	548.00	0.00	-0.03	Sale
07/14/2020	100.00	547.97	07/14/2020	548.00	0.00	-0.03	Sale
07/14/2020	100.00	547.97	07/14/2020	548.00	0.00	-0.03	Sale

APEX CLEARING

Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B\*

OMB No. 1545-0715

2TZ05705

(continued)

01/24/2021

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
PERCEPTRON INC   CUSIP: 71361F100   Symbol: PRCP							
07/14/2020	200.00	1,095.95	07/14/2020	1,096.00	0.00	-0.05	Sale
<b>Security Totals:</b>		<b>2,739.86</b>		<b>2,740.00</b>		<b>-0.14</b>	
COMMUNITY HEALTH SYSTEM INC   CUSIP: 203668108   Symbol: CYH							
11/10/2020	300.00	2,912.89	Various	2,954.80	41.91 D	0.00	Buy to Cover Short
11/10/2020	200.00	1,925.93	11/06/2020	1,941.80	15.87 D	0.00	Buy to Cover Short
11/10/2020	500.00	4,869.83	Various	4,858.01	0.11 D	11.93	Buy to Cover Short
11/10/2020	400.00	3,851.87	11/06/2020	3,883.60	31.73 D	0.00	Buy to Cover Short
11/10/2020	500.00	4,869.83	Various	4,887.78	18.01 D	0.06	Buy to Cover Short
11/10/2020	400.00	3,851.86	11/06/2020	3,883.60	31.74 D	0.00	Buy to Cover Short
11/10/2020	500.00	4,875.52	Various	4,868.12	0.00	7.40	Buy to Cover Short
11/10/2020	500.00	4,869.81	Various	4,840.11	0.00	29.70	Buy to Cover Short
11/11/2020	100.00	878.07	11/11/2020	898.56	20.49 D	0.00	Sale
11/11/2020	100.00	877.97	11/11/2020	898.57	20.6 D	0.00	Sale
11/11/2020	100.00	877.97	11/11/2020	898.56	20.59 D	0.00	Sale
11/11/2020	100.00	878.07	11/11/2020	898.56	20.49 D	0.00	Sale
11/11/2020	100.00	877.97	11/11/2020	900.56	22.59 D	0.00	Sale
11/11/2020	100.00	877.97	11/11/2020	900.57	22.6 D	0.00	Sale
11/11/2020	200.00	1,755.94	11/11/2020	1,801.13	45.19 D	0.00	Sale
11/11/2020	400.00	3,515.87	Various	3,578.18	62.31 D	0.00	Sale
11/11/2020	400.00	3,511.87	11/11/2020	3,554.13	42.26 D	0.00	Sale
11/11/2020	800.00	7,023.74	Various	7,172.30	148.56 D	0.00	Sale
11/11/2020	2,000.00	17,559.37	Various	17,792.32	232.95 D	0.00	Sale
11/11/2020	1,441.00	12,853.26	Various	13,135.78	57.56 D	-224.96	Sale
11/11/2020	1,000.00	8,809.68	Various	8,922.00	112.32 D	0.00	Sale
11/11/2020	600.00	5,261.81	Various	5,437.56	175.75 D	0.00	Sale
11/12/2020	500.00	4,050.70	Various	4,149.45	0.00	-98.75	Sale

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APEX CLEARING

Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B\*

OMB No. 1545-0715

2TZ05705

(continued)

01/24/2021

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

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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
COMMUNITY HEALTH SYSTEM INC   CUSIP: 203668108   Symbol: CYH							
11/12/2020	500.00	4,074.84	Various	4,224.22	0.00	-149.38	Sale
<b>Security Totals:</b>		<b>105,712.64</b>		<b>107,280.27</b>		<b>-424.00</b>	
***IQIYI INC AMERICAN DEPOSITARY SHARES   CUSIP: 46267X108   Symbol: IQ							
06/16/2020	500.00	11,914.67	Various	12,077.67	0.00	-163.00	Sale
06/16/2020	250.00	6,184.83	06/16/2020	6,262.50	77.67 D	0.00	Sale
06/18/2020	100.00	2,417.43	06/16/2020	2,397.00	0.00	20.43	Buy to Cover Short
06/18/2020	500.00	11,639.68	06/16/2020	11,545.00	0.00	94.68	Buy to Cover Short
06/18/2020	1,000.00	23,830.14	Various	23,990.00	159.86 D	0.00	Buy to Cover Short
06/18/2020	100.00	2,419.43	06/16/2020	2,397.00	0.00	22.43	Buy to Cover Short
06/18/2020	100.00	2,417.43	06/16/2020	2,396.50	0.00	20.93	Buy to Cover Short
06/18/2020	500.00	11,624.68	06/16/2020	11,487.55	0.00	137.13	Buy to Cover Short
06/18/2020	500.00	11,879.67	06/16/2020	12,105.08	225.41 D	0.00	Buy to Cover Short
06/18/2020	200.00	4,838.87	06/16/2020	4,793.00	0.00	45.87	Buy to Cover Short
06/18/2020	500.00	11,894.66	Various	12,054.43	159.77 D	0.00	Buy to Cover Short
06/18/2020	1,000.00	23,492.61	Various	23,924.58	0.00	-431.97	Buy to Cover Short
<b>Security Totals:</b>		<b>124,554.10</b>		<b>125,430.31</b>		<b>-253.50</b>	
BIO KEY INTERNATIONAL INC COMMON STOCK   CUSIP: 09060C309   Symbol: BKYI							
03/27/2020	1.00	2.00	03/27/2020	2.16	0.16 D	0.00	Sale
03/27/2020	999.00	2,017.81	Various	2,157.99	0.00	-140.18	Sale
07/16/2020	2,000.00	2,639.70	07/16/2020	2,780.00	0.00	-140.30	Sale
07/16/2020	100.00	137.00	07/16/2020	134.00	0.00	3.00	Sale
07/16/2020	106.00	163.22	07/16/2020	142.04	0.00	21.18	Sale
07/16/2020	394.00	606.69	Various	527.96	0.00	78.73	Sale
07/16/2020	1,400.00	1,918.06	07/16/2020	1,876.00	0.00	42.06	Sale
<b>Security Totals:</b>		<b>7,484.48</b>		<b>7,620.15</b>		<b>-135.51</b>	
PACIFIC ETHANOL INC COM PAR \$.001   CUSIP: 69423U305   Symbol: PEIX							
07/27/2020	100.00	136.98	07/27/2020	139.90	2.92 D	0.00	Sale
07/27/2020	475.00	650.67	Various	667.45	16.78 D	0.00	Sale

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APEX CLEARING

Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B\*

OMB No. 1545-0715

2TZ05705

(continued)

01/24/2021

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

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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
PACIFIC ETHANOL INC COM PAR \$.001   CUSIP: 69423U305   Symbol: PEIX							
07/27/2020	925.00	1,267.11	Various	1,310.85	43.74 D	0.00	Sale
07/27/2020	1,000.00	1,369.84	Various	1,428.88	59.04 D	0.00	Sale
07/29/2020	3,000.00	5,249.52	Various	5,532.90	283.38 D	0.00	Sale
07/30/2020	100.00	221.98	07/30/2020	237.72	15.74 D	0.00	Sale
07/30/2020	100.00	221.98	Various	234.04	12.06 D	0.00	Sale
07/30/2020	200.00	443.97	07/30/2020	475.41	31.44 D	0.00	Sale
07/30/2020	1,000.00	2,139.83	Various	2,226.44	86.61 D	0.00	Sale
07/30/2020	1,000.00	2,209.83	Various	2,401.78	191.95 D	0.00	Sale
07/30/2020	1,000.00	2,139.83	Various	2,165.18	25.35 D	0.00	Sale
07/30/2020	1,600.00	3,551.73	Various	3,704.79	153.06 D	0.00	Sale
07/30/2020	2,000.00	4,479.66	Various	4,889.55	409.89 D	0.00	Sale
07/30/2020	1,000.00	2,301.92	Various	2,249.96	0.00	51.96	Sale
07/30/2020	2,000.00	4,463.26	Various	4,814.81	351.55 D	0.00	Sale
07/30/2020	2,000.00	4,449.66	Various	4,736.47	286.81 D	0.00	Sale
08/05/2020	1,000.00	2,229.83	Various	2,227.23	4.11 D	6.71	Sale
08/05/2020	1,000.00	2,234.83	Various	2,362.66	127.83 D	0.00	Sale
08/10/2020	2,000.00	6,459.61	Various	6,608.34	148.73 D	0.00	Sale
08/11/2020	2,000.00	5,681.92	Various	5,500.00	0.00	181.92	Buy to Cover Short
08/11/2020	100.00	284.48	08/07/2020	271.00	0.00	13.48	Buy to Cover Short
08/11/2020	100.00	283.98	08/07/2020	272.98	0.00	11.00	Buy to Cover Short
08/11/2020	100.00	283.98	08/07/2020	271.00	0.00	12.98	Buy to Cover Short
08/11/2020	200.00	567.97	08/07/2020	545.96	0.00	22.01	Buy to Cover Short
08/11/2020	100.00	284.48	08/07/2020	271.00	0.00	13.48	Buy to Cover Short
08/11/2020	200.00	567.96	08/07/2020	545.96	0.00	22.00	Buy to Cover Short
08/11/2020	200.00	568.96	Various	542.00	0.00	26.96	Buy to Cover Short
08/12/2020	100.00	399.48	08/12/2020	407.90	8.42 D	0.00	Sale
08/12/2020	1,900.00	7,580.60	Various	7,840.83	260.23 D	0.00	Sale

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**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)

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

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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
PACIFIC ETHANOL INC COM PAR \$.001   CUSIP: 69423U305   Symbol: PEIX							
08/13/2020	2,000.00	7,522.79	Various	7,720.00	197.21 D	0.00	Buy to Cover Short
08/13/2020	2,000.00	6,899.60	Various	7,097.21	197.61 D	0.00	Buy to Cover Short
08/13/2020	500.00	1,849.89	Various	1,813.90	0.00	35.99	Sale
08/13/2020	500.00	1,894.89	Various	1,814.31	0.00	80.58	Sale
08/13/2020	500.00	1,849.89	08/13/2020	1,814.70	0.00	35.19	Sale
08/13/2020	500.00	1,849.89	08/13/2020	1,814.70	0.00	35.19	Sale
08/18/2020	1,000.00	4,849.77	Various	5,077.14	227.37 D	0.00	Sale
08/20/2020	32.00	153.58	08/20/2020	154.66	1.08 D	0.00	Sale
08/20/2020	968.00	4,646.17	Various	4,772.71	126.54 D	0.00	Sale
08/20/2020	1,000.00	4,829.77	Various	4,790.21	9.38 D	48.94	Sale
08/21/2020	74.00	364.06	08/19/2020	352.24	0.00	11.82	Buy to Cover Short
08/21/2020	250.00	1,229.94	08/19/2020	1,177.50	0.00	52.44	Buy to Cover Short
08/21/2020	500.00	2,459.88	08/19/2020	2,340.00	0.00	119.88	Buy to Cover Short
08/21/2020	500.00	2,459.89	08/19/2020	2,380.00	0.00	79.89	Buy to Cover Short
08/21/2020	250.00	1,229.95	08/19/2020	1,177.50	0.00	52.45	Buy to Cover Short
08/21/2020	426.00	2,095.82	08/19/2020	2,027.76	0.00	68.06	Buy to Cover Short
08/26/2020	40.00	133.98	08/26/2020	137.51	3.53 D	0.00	Sale
08/26/2020	200.00	669.96	Various	684.42	14.46 D	0.00	Sale
08/26/2020	760.00	2,545.85	Various	2,667.70	121.85 D	0.00	Sale
08/26/2020	1,000.00	3,349.80	Various	3,407.37	57.57 D	0.00	Sale
08/26/2020	1,000.00	3,349.80	Various	3,529.84	180.04 D	0.00	Sale
08/27/2020	10.00	36.28	08/27/2020	35.08	0.00	1.20	Sale
08/27/2020	90.00	326.68	08/27/2020	315.74	0.00	10.94	Sale
08/27/2020	100.00	377.48	08/27/2020	375.53	0.00	1.95	Sale
08/27/2020	100.00	377.48	08/27/2020	375.52	0.00	1.96	Sale
08/27/2020	100.00	377.48	08/27/2020	382.49	5.01 D	0.00	Sale
08/27/2020	100.00	377.48	Various	378.81	1.55 D	0.22	Sale

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**SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS**

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

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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
PACIFIC ETHANOL INC COM PAR \$.001   CUSIP: 69423U305   Symbol: PEIX							
08/27/2020	200.00	725.96	08/27/2020	701.64	0.00	24.32	Sale
08/27/2020	200.00	725.96	08/27/2020	729.01	3.05 D	0.00	Sale
08/27/2020	200.00	754.96	Various	764.93	9.97 D	0.00	Sale
08/27/2020	400.00	1,508.31	Various	1,510.01	7.85 D	6.15	Sale
08/27/2020	500.00	1,814.89	08/27/2020	1,754.10	0.00	60.79	Sale
08/27/2020	1,000.00	3,629.79	Various	3,658.04	44.24 D	15.99	Sale
08/27/2020	2,000.00	7,541.59	08/27/2020	7,480.00	0.00	61.59	Sale
09/01/2020	2,000.00	8,741.56	Various	8,874.71	133.15 D	0.00	Sale
09/01/2020	3,700.00	16,242.20	Various	16,367.78	125.58 D	0.00	Sale
09/02/2020	10.00	46.38	09/02/2020	44.80	0.00	1.58	Sale
09/02/2020	4.00	18.54	09/02/2020	17.92	0.00	0.62	Sale
09/02/2020	50.00	230.48	Various	223.80	0.00	6.68	Sale
09/02/2020	86.00	399.02	09/02/2020	385.30	0.00	13.72	Sale
09/02/2020	200.00	927.95	09/02/2020	896.05	0.00	31.90	Sale
09/02/2020	300.00	1,391.92	09/02/2020	1,344.07	0.00	47.85	Sale
09/02/2020	400.00	1,855.90	Various	1,813.64	0.00	42.26	Sale
09/02/2020	450.00	2,074.85	Various	2,015.80	0.00	59.05	Sale
09/02/2020	500.00	2,315.38	Various	2,240.11	0.00	75.27	Sale
09/03/2020	100.00	401.98	09/03/2020	398.95	0.00	3.03	Sale
09/03/2020	100.00	401.98	09/03/2020	398.95	0.00	3.03	Sale
09/03/2020	5.00	20.23	09/03/2020	20.25	0.02 D	0.00	Sale
09/03/2020	800.00	3,216.62	Various	3,176.71	0.00	39.91	Sale
09/03/2020	6.00	24.28	09/03/2020	24.29	0.01 D	0.00	Sale
09/03/2020	100.00	404.99	Various	405.07	0.12 D	0.04	Sale
09/03/2020	739.00	2,992.79	Various	2,959.89	0.21 D	33.11	Sale
09/03/2020	150.00	607.46	09/03/2020	598.42	0.00	9.04	Sale
09/04/2020	10.00	41.98	Various	42.53	0.55 D	0.00	Sale

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**SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS**

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1c - DateSold 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
PACIFIC ETHANOL INC COM PAR \$.001   CUSIP: 69423U305   Symbol: PEIX							
09/04/2020	10.00	41.98	Various	42.53	0.55 D	0.00	Sale
09/04/2020	10.00	41.98	09/04/2020	42.53	0.55 D	0.00	Sale
09/04/2020	100.00	419.98	Various	425.27	5.29 D	0.00	Sale
09/04/2020	86.00	361.18	09/04/2020	365.50	4.32 D	0.00	Sale
09/04/2020	100.00	419.98	09/04/2020	425.00	5.02 D	0.00	Sale
09/04/2020	100.00	419.98	09/04/2020	425.00	5.02 D	0.00	Sale
09/04/2020	100.00	419.98	09/04/2020	425.00	5.02 D	0.00	Sale
09/04/2020	300.00	1,259.93	09/04/2020	1,275.00	15.07 D	0.00	Sale
09/04/2020	400.00	1,679.91	09/04/2020	1,700.00	20.09 D	0.00	Sale
09/04/2020	342.00	1,436.32	09/04/2020	1,453.50	17.18 D	0.00	Sale
09/04/2020	442.00	1,856.30	09/04/2020	1,878.50	22.2 D	0.00	Sale
09/04/2020	1,000.00	4,199.78	Various	4,280.63	80.85 D	0.00	Sale
09/11/2020	1.00	4.53	09/11/2020	4.66	0.13 D	0.00	Sale
09/11/2020	25.00	113.73	09/11/2020	116.51	2.78 D	0.00	Sale
09/11/2020	100.00	454.97	09/11/2020	466.02	11.05 D	0.00	Sale
09/11/2020	2.00	9.08	09/11/2020	9.32	0.24 D	0.00	Sale
09/11/2020	142.00	646.06	Various	661.75	15.69 D	0.00	Sale
09/11/2020	400.00	1,819.90	Various	1,864.09	44.19 D	0.00	Sale
09/11/2020	1,130.00	5,141.25	Various	5,296.68	155.43 D	0.00	Sale
09/11/2020	200.00	909.95	Various	932.05	22.10 D	0.00	Sale
09/14/2020	95.00	475.92	Various	487.44	11.52 D	0.00	Sale
09/14/2020	100.00	500.97	Various	513.11	12.14 D	0.00	Sale
09/14/2020	105.00	526.02	Various	538.64	12.62 D	0.00	Sale
09/14/2020	200.00	999.95	Various	1,024.25	24.30 D	0.00	Sale
09/14/2020	500.00	2,499.88	Various	2,589.49	89.61 D	0.00	Sale
09/14/2020	2,000.00	9,779.54	Various	10,149.61	370.07 D	0.00	Sale
09/14/2020	100.00	500.97	Various	512.09	11.12 D	0.00	Sale

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**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
PACIFIC ETHANOL INC COM PAR \$.001   CUSIP: 69423U305   Symbol: PEIX							
09/14/2020	100.00	500.97	09/14/2020	512.08	11.11 D	0.00	Sale
09/14/2020	290.00	1,394.83	Various	1,453.11	58.28 D	0.00	Sale
09/14/2020	300.00	1,499.92	Various	1,536.29	36.37 D	0.00	Sale
09/14/2020	500.00	2,500.73	Various	2,589.81	89.08 D	0.00	Sale
09/14/2020	710.00	3,422.04	Various	3,557.66	135.62 D	0.00	Sale
09/15/2020	200.00	994.15	Various	1,053.86	59.71 D	0.00	Sale
09/15/2020	200.00	994.03	Various	1,053.46	59.43 D	0.00	Sale
09/15/2020	400.00	1,988.30	Various	2,107.51	119.21 D	0.00	Sale
09/15/2020	400.00	1,988.30	Various	2,096.12	107.82 D	0.00	Sale
09/15/2020	1,800.00	8,946.31	Various	9,598.66	652.35 D	0.00	Sale
09/16/2020	500.00	3,039.87	Various	3,108.00	68.13 D	0.00	Sale
09/16/2020	1,000.00	5,399.76	Various	5,778.59	378.83 D	0.00	Sale
09/16/2020	1,000.00	5,399.76	Various	5,976.87	577.11 D	0.00	Sale
09/16/2020	1,000.00	6,049.74	Various	6,627.11	577.37 D	0.00	Sale
09/16/2020	100.00	604.97	Various	618.60	13.63 D	0.00	Sale
09/16/2020	400.00	2,419.89	Various	2,474.53	54.64 D	0.00	Sale
09/16/2020	500.00	3,041.42	Various	3,120.83	79.41 D	0.00	Sale
09/16/2020	500.00	3,024.92	Various	3,104.41	79.49 D	0.00	Sale
09/17/2020	500.00	3,089.87	Various	3,243.46	153.59 D	0.00	Sale
09/17/2020	500.00	3,099.87	Various	3,248.91	149.04 D	0.00	Sale
09/17/2020	3.00	18.49	09/17/2020	18.29	0.00	0.20	Sale
09/17/2020	46.00	283.80	Various	280.45	0.00	3.35	Sale
09/17/2020	51.00	314.65	09/17/2020	310.95	0.00	3.70	Sale
09/17/2020	100.00	616.97	Various	609.63	0.00	7.34	Sale
09/17/2020	100.00	616.97	Various	609.62	0.00	7.35	Sale
09/17/2020	100.00	616.97	Various	609.57	0.00	7.40	Sale
09/17/2020	100.00	616.97	Various	609.76	0.00	7.21	Sale

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APEX CLEARING

Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B\*

OMB No. 1545-0715

2TZ05705

(continued)

01/24/2021

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

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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
PACIFIC ETHANOL INC COM PAR \$.001   CUSIP: 69423U305   Symbol: PEIX							
09/18/2020	100.00	697.97	Various	730.31	32.34 D	0.00	Sale
09/18/2020	100.00	698.47	Various	726.78	28.31 D	0.00	Sale
09/18/2020	100.00	698.47	09/18/2020	726.80	28.33 D	0.00	Sale
09/18/2020	100.00	698.47	Various	726.80	28.33 D	0.00	Sale
09/18/2020	100.00	698.47	Various	726.80	28.33 D	0.00	Sale
09/18/2020	100.00	698.47	09/18/2020	731.83	33.36 D	0.00	Sale
09/18/2020	200.00	1,402.26	Various	1,450.88	48.62 D	0.00	Sale
09/18/2020	200.00	1,395.94	Various	1,460.66	64.72 D	0.00	Sale
09/18/2020	300.00	2,073.09	Various	2,132.22	59.13 D	0.00	Sale
09/18/2020	300.00	2,073.09	Various	2,144.17	71.08 D	0.00	Sale
09/18/2020	300.00	2,103.21	Various	2,179.04	75.83 D	0.00	Sale
09/18/2020	400.00	2,764.12	Various	2,896.35	132.23 D	0.00	Sale
09/18/2020	500.00	3,494.86	Various	3,624.78	129.92 D	0.00	Sale
09/18/2020	500.00	3,505.66	Various	3,582.72	77.06 D	0.00	Sale
09/18/2020	700.00	4,878.81	Various	5,100.09	221.28 D	0.00	Sale
09/18/2020	1,000.00	6,429.73	Various	6,663.08	233.35 D	0.00	Sale
09/18/2020	1,000.00	6,769.73	Various	7,138.68	368.95 D	0.00	Sale
09/18/2020	500.00	3,490.71	09/18/2020	3,475.00	0.00	15.71	Sale
09/18/2020	500.00	3,490.71	Various	3,573.43	82.72 D	0.00	Sale
09/21/2020	2,000.00	13,919.45	Various	14,413.90	494.45 D	0.00	Sale
09/23/2020	5.00	37.08	09/23/2020	39.12	2.04 D	0.00	Sale
09/23/2020	500.00	3,849.85	Various	3,872.16	22.31 D	0.00	Sale
09/23/2020	100.00	741.97	Various	782.35	40.38 D	0.00	Sale
09/23/2020	100.00	742.97	Various	781.84	38.87 D	0.00	Sale
09/23/2020	100.00	740.97	Various	782.80	41.83 D	0.00	Sale
09/23/2020	100.00	743.97	Various	782.83	38.86 D	0.00	Sale
09/23/2020	100.00	743.97	Various	781.75	37.78 D	0.00	Sale

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**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 - DateSold 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
PACIFIC ETHANOL INC COM PAR \$.001   CUSIP: 69423U305   Symbol: PEIX							
09/23/2020	100.00	743.97	09/23/2020	753.00	9.03 D	0.00	Sale
09/23/2020	100.00	741.97	09/23/2020	753.01	11.04 D	0.00	Sale
09/23/2020	100.00	742.97	09/23/2020	753.00	10.03 D	0.00	Sale
09/23/2020	100.00	740.97	09/23/2020	753.01	12.04 D	0.00	Sale
09/23/2020	100.00	742.97	Various	752.99	10.02 D	0.00	Sale
09/23/2020	190.00	1,413.54	Various	1,429.82	16.28 D	0.00	Sale
09/23/2020	300.00	2,231.91	Various	2,257.24	25.33 D	0.00	Sale
09/23/2020	500.00	3,894.85	Various	3,963.93	69.08 D	0.00	Sale
09/23/2020	505.00	3,741.90	Various	3,846.69	104.79 D	0.00	Sale
09/24/2020	60.00	392.98	Various	421.94	28.96 D	0.00	Sale
09/24/2020	500.00	3,542.36	Various	3,412.71	0.00	129.65	Sale
09/24/2020	500.00	3,489.86	Various	3,337.54	0.00	152.32	Sale
09/24/2020	940.00	6,156.75	Various	6,457.49	300.74 D	0.00	Sale
09/24/2020	1,000.00	6,869.72	Various	6,928.30	102.71 D	44.13	Sale
09/24/2020	1,000.00	6,739.73	Various	6,733.19	27.54 D	34.08	Sale
09/25/2020	500.00	3,484.86	09/25/2020	3,429.45	0.00	55.41	Sale
09/25/2020	500.00	3,539.86	09/25/2020	3,430.00	0.00	109.86	Sale
09/25/2020	500.00	3,484.86	09/25/2020	3,429.45	0.00	55.41	Sale
09/25/2020	500.00	3,499.86	09/25/2020	3,430.00	0.00	69.86	Sale
09/25/2020	62.00	432.43	Various	434.00	1.27 D	-0.30	Sale
09/25/2020	438.00	3,052.74	Various	3,067.27	14.53 D	0.00	Sale
09/25/2020	500.00	3,487.26	Various	3,508.68	21.42 D	0.00	Sale
09/29/2020	20.00	156.98	09/29/2020	160.24	3.26 D	0.00	Sale
09/29/2020	40.00	313.98	09/29/2020	320.49	6.51 D	0.00	Sale
09/29/2020	100.00	784.47	09/29/2020	794.72	10.25 D	0.00	Sale
09/29/2020	100.00	784.47	Various	795.93	11.46 D	0.00	Sale
09/29/2020	100.00	783.97	09/29/2020	794.68	10.71 D	0.00	Sale

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APEX CLEARING

Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B\*

OMB No. 1545-0715

2TZ05705

(continued)

01/24/2021

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

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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
PACIFIC ETHANOL INC COM PAR \$.001   CUSIP: 69423U305   Symbol: PEIX							
09/29/2020	100.00	783.97	09/29/2020	794.69	10.72 D	0.00	Sale
09/29/2020	100.00	785.47	Various	801.74	16.27 D	0.00	Sale
09/29/2020	140.00	1,098.95	Various	1,121.86	22.91 D	0.00	Sale
09/29/2020	100.00	783.97	Various	792.80	8.83 D	0.00	Sale
09/29/2020	343.00	2,689.02	09/29/2020	2,710.65	21.63 D	0.00	Sale
09/29/2020	357.00	2,795.20	Various	2,838.33	43.13 D	0.00	Sale
09/29/2020	400.00	3,135.88	Various	3,188.32	52.44 D	0.00	Sale
09/29/2020	400.00	3,135.88	Various	3,178.57	42.69 D	0.00	Sale
09/29/2020	500.00	3,924.85	Various	3,988.31	63.46 D	0.00	Sale
09/29/2020	700.00	5,494.79	Various	5,622.64	127.85 D	0.00	Sale
09/29/2020	1,000.00	7,039.72	Various	7,161.42	121.70 D	0.00	Sale
09/29/2020	500.00	3,924.85	Various	4,008.11	83.26 D	0.00	Sale
09/29/2020	100.00	784.98	09/29/2020	798.70	13.72 D	0.00	Sale
09/29/2020	100.00	785.01	Various	799.94	14.93 D	0.00	Sale
09/29/2020	800.00	6,280.00	Various	6,365.56	85.56 D	0.00	Sale
10/01/2020	2,000.00	15,780.82	Various	15,760.00	0.00	20.82	Buy to Cover Short
10/05/2020	250.00	2,075.17	Various	2,067.35	0.00	7.82	Sale
10/05/2020	250.00	2,075.17	Various	2,074.91	1.22 D	1.48	Sale
10/05/2020	250.00	2,077.67	Various	2,078.59	1.35 D	0.43	Sale
10/05/2020	1,000.00	8,480.69	Various	8,370.67	0.00	110.02	Sale
10/05/2020	250.00	2,074.92	Various	2,065.76	0.00	9.16	Sale
10/06/2020	20.00	177.98	10/06/2020	181.17	3.19 D	0.00	Sale
10/06/2020	34.00	291.70	Various	293.05	1.35 D	0.00	Sale
10/06/2020	100.00	889.97	Various	906.07	16.10 D	0.00	Sale
10/06/2020	100.00	856.97	Various	861.49	4.52 D	0.00	Sale
10/06/2020	100.00	864.97	Various	884.56	19.59 D	0.00	Sale
10/06/2020	100.00	858.97	10/06/2020	862.92	3.95 D	0.00	Sale

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**SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS**

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

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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
PACIFIC ETHANOL INC COM PAR \$.001   CUSIP: 69423U305   Symbol: PEIX							
10/06/2020	100.00	858.97	Various	863.03	4.06 D	0.00	Sale
10/06/2020	100.00	864.97	Various	884.87	19.90 D	0.00	Sale
10/06/2020	109.00	942.81	10/06/2020	964.51	21.7 D	0.00	Sale
10/06/2020	152.00	1,314.75	10/06/2020	1,345.00	30.25 D	0.00	Sale
10/06/2020	300.00	2,576.90	Various	2,563.42	1.1 D	14.58	Sale
10/06/2020	400.00	3,423.87	Various	3,463.21	39.34 D	0.00	Sale
10/06/2020	466.00	3,998.13	Various	4,099.38	101.25 D	0.00	Sale
10/06/2020	500.00	4,294.84	Various	4,288.09	12.19 D	18.94	Sale
10/06/2020	539.00	4,662.18	Various	4,680.30	18.12 D	0.00	Sale
10/06/2020	738.00	6,567.96	Various	6,689.88	121.92 D	0.00	Sale
10/06/2020	1,000.00	8,421.29	Various	8,504.60	83.31 D	0.00	Sale
10/06/2020	1,142.00	10,049.23	Various	10,349.72	300.49 D	0.00	Sale
10/06/2020	1,000.00	8,649.68	Various	8,642.52	0.17 D	7.33	Sale
10/07/2020	394.00	3,555.72	Various	3,573.96	18.24 D	0.00	Sale
10/07/2020	606.00	5,465.92	Various	5,585.60	119.68 D	0.00	Sale
10/08/2020	500.00	4,484.84	10/06/2020	4,397.66	0.00	87.18	Buy to Cover Short
10/08/2020	500.00	4,484.84	10/06/2020	4,422.66	0.00	62.18	Buy to Cover Short
10/08/2020	500.00	4,259.84	10/06/2020	4,263.51	3.67 D	0.00	Buy to Cover Short
10/08/2020	500.00	4,260.84	Various	4,248.98	0.00	11.86	Buy to Cover Short
10/08/2020	2,000.00	17,949.36	10/06/2020	17,980.00	30.64 D	0.00	Buy to Cover Short
10/08/2020	2,000.00	17,168.68	Various	17,200.00	31.32 D	0.00	Buy to Cover Short
10/08/2020	200.00	1,703.94	Various	1,699.24	0.00	4.70	Buy to Cover Short
10/08/2020	300.00	2,556.41	Various	2,547.61	0.00	8.80	Buy to Cover Short
10/08/2020	500.00	4,484.84	10/06/2020	4,429.61	0.00	55.23	Buy to Cover Short
10/08/2020	500.00	4,484.84	10/06/2020	4,432.66	0.00	52.18	Buy to Cover Short
10/08/2020	500.00	4,260.35	Various	4,249.79	0.00	10.56	Buy to Cover Short
10/14/2020	20.00	171.79	10/12/2020	170.00	0.00	1.79	Buy to Cover Short

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**SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS**

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

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**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
PACIFIC ETHANOL INC COM PAR \$.001   CUSIP: 69423U305   Symbol: PEIX							
10/14/2020	200.00	1,781.94	10/12/2020	1,711.80	0.00	70.14	Buy to Cover Short
10/14/2020	230.00	1,975.64	Various	1,955.00	0.00	20.64	Buy to Cover Short
10/14/2020	250.00	2,227.42	10/12/2020	2,107.50	0.00	119.92	Buy to Cover Short
10/14/2020	250.00	2,227.42	10/12/2020	2,119.75	0.00	107.67	Buy to Cover Short
10/14/2020	250.00	2,147.42	Various	2,122.25	0.00	25.17	Buy to Cover Short
10/14/2020	250.00	2,142.43	Various	2,127.50	0.00	14.93	Buy to Cover Short
10/14/2020	1,000.00	8,585.01	Various	8,569.00	0.00	16.01	Buy to Cover Short
10/14/2020	250.00	2,142.42	Various	2,127.28	0.00	15.14	Buy to Cover Short
10/14/2020	500.00	4,442.84	Various	4,313.50	0.00	129.34	Buy to Cover Short
10/14/2020	10.00	94.78	10/14/2020	90.20	0.00	4.58	Sale
10/14/2020	66.00	621.03	Various	609.79	0.00	11.24	Sale
10/14/2020	177.00	1,677.90	Various	1,596.54	0.00	81.36	Sale
10/14/2020	250.00	2,372.41	Various	2,309.84	0.00	62.57	Sale
10/14/2020	250.00	2,399.91	Various	2,265.93	0.00	133.98	Sale
10/14/2020	250.00	2,387.41	Various	2,266.59	0.00	120.82	Sale
10/14/2020	250.00	2,387.41	Various	2,325.00	0.00	62.41	Sale
10/14/2020	250.00	2,379.91	Various	2,325.00	0.00	54.91	Sale
10/14/2020	313.00	2,967.13	Various	2,823.26	0.00	143.87	Sale
10/14/2020	250.00	2,388.31	Various	2,255.37	0.00	132.94	Sale
10/14/2020	434.00	4,083.79	Various	3,950.57	0.00	133.22	Sale
10/19/2020	50.00	538.97	Various	529.00	0.00	9.97	Sale
10/19/2020	100.00	1,077.96	Various	1,057.75	0.00	20.21	Sale
10/19/2020	100.00	1,077.96	10/19/2020	1,058.00	0.00	19.96	Sale
10/19/2020	100.00	1,077.96	10/19/2020	1,058.00	0.00	19.96	Sale
10/19/2020	100.00	1,077.96	10/19/2020	1,058.00	0.00	19.96	Sale
10/19/2020	100.00	1,077.96	Various	1,057.75	0.00	20.21	Sale
10/19/2020	200.00	2,155.93	10/19/2020	2,116.00	0.00	39.93	Sale

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APEX CLEARING

Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B\*

OMB No. 1545-0715

2TZ05705

(continued)

01/24/2021

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
PACIFIC ETHANOL INC COM PAR \$.001   CUSIP: 69423U305   Symbol: PEIX							
10/19/2020	200.00	2,155.93	10/19/2020	2,115.00	0.00	40.93	Sale
10/19/2020	250.00	2,694.91	Various	2,645.00	0.00	49.91	Sale
10/19/2020	800.00	8,623.70	Various	8,464.00	0.00	159.70	Sale
10/22/2020	3.00	28.12	10/22/2020	27.57	0.00	0.55	Sale
10/22/2020	64.00	611.81	10/22/2020	581.44	0.00	30.37	Sale
10/22/2020	100.00	923.96	Various	998.03	74.07 D	0.00	Sale
10/22/2020	100.00	937.96	10/22/2020	919.01	0.00	18.95	Sale
10/22/2020	100.00	937.96	Various	918.03	0.00	19.93	Sale
10/22/2020	100.00	937.96	10/22/2020	921.28	0.00	16.68	Sale
10/22/2020	137.00	1,230.21	10/22/2020	1,234.37	4.16 D	0.00	Sale
10/22/2020	186.00	1,778.10	Various	1,690.56	0.00	87.54	Sale
10/22/2020	197.00	1,847.79	Various	1,809.44	0.00	38.35	Sale
10/22/2020	250.00	2,387.41	10/22/2020	2,275.00	0.00	112.41	Sale
10/22/2020	250.00	2,387.41	10/22/2020	2,275.00	0.00	112.41	Sale
10/22/2020	400.00	3,695.86	Various	3,986.04	290.18 D	0.00	Sale
10/22/2020	500.00	4,714.83	Various	4,723.77	8.94 D	0.00	Sale
10/22/2020	500.00	4,699.83	Various	4,597.94	0.00	101.89	Sale
10/22/2020	500.00	4,619.83	Various	4,929.26	309.43 D	0.00	Sale
10/22/2020	500.00	4,649.83	Various	4,888.03	238.20 D	0.00	Sale
10/22/2020	500.00	4,689.83	Various	4,825.10	135.27 D	0.00	Sale
10/22/2020	500.00	4,739.83	Various	4,570.00	0.00	169.83	Sale
10/22/2020	1,000.00	9,119.67	Various	9,053.48	0.00	66.19	Sale
10/22/2020	1,000.00	9,119.67	Various	9,037.58	0.00	82.09	Sale
10/22/2020	500.00	4,539.83	10/22/2020	4,640.00	100.17 D	0.00	Sale
10/22/2020	1,863.00	16,637.86	Various	16,788.92	151.06 D	0.00	Sale
10/22/2020	10.00	90.78	10/22/2020	94.76	3.98 D	0.00	Sale
10/22/2020	100.00	906.96	Various	968.63	61.67 D	0.00	Sale

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**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

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**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
PACIFIC ETHANOL INC COM PAR \$.001   CUSIP: 69423U305   Symbol: PEIX							
10/22/2020	100.00	907.96	10/22/2020	968.62	60.66 D	0.00	Sale
10/22/2020	100.00	907.96	10/22/2020	968.62	60.66 D	0.00	Sale
10/22/2020	200.00	1,813.93	10/22/2020	1,937.23	123.3 D	0.00	Sale
10/22/2020	250.00	2,387.41	10/22/2020	2,275.00	0.00	112.41	Sale
10/22/2020	100.00	906.96	Various	989.99	83.03 D	0.00	Sale
10/22/2020	490.00	4,449.14	10/22/2020	4,643.26	194.12 D	0.00	Sale
10/22/2020	400.00	3,631.86	Various	3,957.90	326.04 D	0.00	Sale
10/23/2020	1.00	8.76	10/23/2020	8.94	0.18 D	0.00	Sale
10/23/2020	2.00	17.48	10/23/2020	17.55	0.07 D	0.00	Sale
10/23/2020	1.00	8.77	10/23/2020	9.07	0.3 D	0.00	Sale
10/23/2020	6.00	52.30	Various	53.45	1.15 D	0.00	Sale
10/23/2020	9.00	78.82	10/23/2020	79.07	0.25 D	0.00	Sale
10/23/2020	1.00	8.74	10/23/2020	8.79	0.05 D	0.00	Sale
10/23/2020	18.00	158.02	10/23/2020	156.52	0.00	1.50	Sale
10/23/2020	71.00	622.64	10/23/2020	634.45	11.81 D	0.00	Sale
10/23/2020	23.00	201.92	10/23/2020	200.00	0.00	1.92	Sale
10/23/2020	90.00	788.37	10/23/2020	790.67	2.3 D	0.00	Sale
10/23/2020	100.00	871.97	Various	890.94	18.97 D	0.00	Sale
10/23/2020	100.00	875.97	Various	882.42	6.45 D	0.00	Sale
10/23/2020	100.00	877.97	10/23/2020	893.60	15.63 D	0.00	Sale
10/23/2020	100.00	871.97	10/23/2020	890.93	18.96 D	0.00	Sale
10/23/2020	100.00	874.97	Various	885.79	10.82 D	0.00	Sale
10/23/2020	100.00	877.97	10/23/2020	869.56	0.00	8.41	Sale
10/23/2020	128.00	1,123.79	10/23/2020	1,143.80	20.01 D	0.00	Sale
10/23/2020	100.00	877.97	Various	869.47	0.00	8.50	Sale
10/23/2020	182.00	1,592.44	Various	1,613.67	21.23 D	0.00	Sale
10/23/2020	185.00	1,618.69	Various	1,661.75	43.06 D	0.00	Sale

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**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

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1c - DateSold 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
PACIFIC ETHANOL INC COM PAR \$.001   CUSIP: 69423U305   Symbol: PEIX							
10/23/2020	200.00	1,755.94	Various	1,791.36	35.42 D	0.00	Sale
10/23/2020	200.00	1,749.94	Various	1,761.04	11.10 D	0.00	Sale
10/23/2020	359.00	3,141.14	Various	3,150.02	8.88 D	0.00	Sale
10/23/2020	620.00	5,424.81	10/23/2020	5,446.89	22.08 D	0.00	Sale
10/23/2020	300.00	2,627.90	Various	2,680.51	52.61 D	0.00	Sale
10/23/2020	1,000.00	8,649.68	Various	8,952.01	302.33 D	0.00	Sale
10/23/2020	1,794.00	15,652.09	Various	15,963.59	311.50 D	0.00	Sale
10/23/2020	20.00	175.38	10/23/2020	173.89	0.00	1.49	Sale
10/23/2020	100.00	877.47	10/23/2020	869.46	0.00	8.01	Sale
10/23/2020	1,000.00	9,269.67	Various	9,329.50	59.83 D	0.00	Sale
10/23/2020	230.00	2,021.62	Various	2,063.94	47.68 D	5.36	Sale
10/23/2020	100.00	876.97	10/23/2020	869.46	0.00	7.51	Sale
10/23/2020	300.00	2,630.90	Various	2,610.05	1.56 D	22.41	Sale
10/23/2020	480.00	4,209.44	Various	4,239.76	30.32 D	0.00	Sale
10/27/2020	260.00	2,350.32	10/23/2020	2,290.60	0.00	59.72	Buy to Cover Short
10/27/2020	500.00	4,524.83	Various	4,480.00	0.00	44.83	Buy to Cover Short
10/27/2020	500.00	4,524.83	10/23/2020	4,450.00	0.00	74.83	Buy to Cover Short
10/27/2020	500.00	4,519.84	Various	4,425.00	0.00	94.84	Buy to Cover Short
10/27/2020	240.00	2,169.52	10/23/2020	2,123.33	0.00	46.19	Buy to Cover Short
10/27/2020	1.00	7.03	10/27/2020	7.78	0.75 D	0.00	Sale
10/27/2020	1.00	7.04	10/27/2020	7.78	0.74 D	0.00	Sale
10/27/2020	3.00	21.16	10/27/2020	23.33	2.17 D	0.00	Sale
10/27/2020	5.00	37.48	10/27/2020	38.33	0.85 D	0.00	Sale
10/27/2020	27.00	196.81	10/27/2020	197.63	0.82 D	0.00	Sale
10/27/2020	28.00	208.30	10/27/2020	206.63	0.00	1.67	Sale
10/27/2020	38.00	267.88	10/27/2020	295.51	27.63 D	0.00	Sale
10/27/2020	69.00	486.42	Various	536.99	50.57 D	0.00	Sale

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**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

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PACIFIC ETHANOL INC COM PAR \$.001   CUSIP: 69423U305   Symbol: PEIX							
10/27/2020	99.00	724.65	Various	715.73	0.00	8.92	Sale
10/27/2020	100.00	721.97	Various	775.71	53.74 D	0.00	Sale
10/27/2020	100.00	721.97	Various	775.69	53.72 D	0.00	Sale
10/27/2020	100.00	720.97	Various	785.80	64.83 D	0.00	Sale
10/27/2020	100.00	720.97	Various	780.59	59.62 D	0.00	Sale
10/27/2020	100.00	721.47	Various	785.78	64.31 D	0.00	Sale
10/27/2020	100.00	704.97	Various	769.16	64.19 D	0.00	Sale
10/27/2020	100.00	705.97	Various	711.03	5.06 D	0.00	Sale
10/27/2020	100.00	704.97	Various	711.03	6.06 D	0.00	Sale
10/27/2020	100.00	704.97	Various	711.03	6.06 D	0.00	Sale
10/27/2020	100.00	731.97	Various	722.99	0.00	8.98	Sale
10/27/2020	100.00	732.97	Various	795.97	63.00 D	0.00	Sale
10/27/2020	101.00	739.29	Various	731.20	0.00	8.09	Sale
10/27/2020	111.00	825.81	10/27/2020	819.13	0.00	6.68	Sale
10/27/2020	111.00	825.81	Various	819.14	0.00	6.67	Sale
10/27/2020	183.00	1,290.10	Various	1,301.19	11.09 D	0.00	Sale
10/27/2020	186.00	1,394.94	Various	1,425.99	31.05 D	0.00	Sale
10/27/2020	200.00	1,443.94	Various	1,568.52	124.58 D	0.00	Sale
10/27/2020	200.00	1,443.94	Various	1,534.74	90.80 D	0.00	Sale
10/27/2020	200.00	1,463.94	Various	1,445.91	0.00	18.03	Sale
10/27/2020	200.00	1,411.94	Various	1,422.06	10.12 D	0.00	Sale
10/27/2020	250.00	1,887.42	Various	1,842.39	0.00	45.03	Sale
10/27/2020	250.00	1,872.42	Various	1,843.43	0.00	28.99	Sale
10/27/2020	250.00	1,864.92	10/27/2020	1,844.89	0.00	20.03	Sale
10/27/2020	300.00	2,165.91	Various	2,301.95	136.04 D	0.00	Sale
10/27/2020	292.00	2,061.44	Various	2,076.19	14.75 D	0.00	Sale
10/27/2020	309.00	2,317.40	Various	2,391.01	73.61 D	0.00	Sale

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APEX CLEARING

Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B\*

OMB No. 1545-0715

2TZ05705

(continued)

01/24/2021

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)

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PACIFIC ETHANOL INC COM PAR \$.001   CUSIP: 69423U305   Symbol: PEIX							
10/27/2020	473.00	3,448.03	10/27/2020	3,462.15	14.12 D	0.00	Sale
10/27/2020	404.00	2,852.12	Various	2,896.25	44.13 D	0.00	Sale
10/27/2020	500.00	3,649.85	Various	3,638.46	0.00	11.39	Sale
10/27/2020	800.00	5,759.77	Various	6,269.48	509.71 D	0.00	Sale
10/27/2020	900.00	6,596.74	Various	6,830.40	270.26 D	36.60	Sale
10/27/2020	5,000.00	35,498.61	Various	36,685.73	1187.12 D	0.00	Sale
10/27/2020	4.00	29.98	10/27/2020	30.34	0.36 D	0.00	Sale
10/27/2020	13.00	92.80	Various	102.13	9.33 D	0.00	Sale
10/27/2020	14.00	104.98	10/27/2020	106.17	1.19 D	0.00	Sale
10/27/2020	91.00	649.71	Various	714.84	65.13 D	0.00	Sale
10/27/2020	100.00	749.97	Various	758.40	8.43 D	0.00	Sale
10/27/2020	100.00	720.97	Various	786.77	65.80 D	0.00	Sale
10/27/2020	100.00	722.97	Various	789.74	66.77 D	0.00	Sale
10/27/2020	100.00	721.97	Various	789.72	67.75 D	0.00	Sale
10/27/2020	100.00	714.47	Various	785.13	70.66 D	0.00	Sale
10/27/2020	100.00	728.97	10/27/2020	731.95	2.98 D	0.00	Sale
10/27/2020	100.00	728.97	Various	731.96	2.99 D	0.00	Sale
10/27/2020	200.00	1,442.94	Various	1,579.92	136.98 D	0.00	Sale
10/27/2020	100.00	713.97	Various	792.37	78.40 D	0.00	Sale
10/27/2020	200.00	1,444.94	Various	1,597.28	152.34 D	0.00	Sale
10/27/2020	200.00	1,442.94	Various	1,591.12	148.18 D	0.00	Sale
10/27/2020	200.00	1,397.94	10/27/2020	1,434.06	36.12 D	0.00	Sale
10/27/2020	200.00	1,443.94	Various	1,576.32	132.38 D	0.00	Sale
10/27/2020	300.00	2,186.91	10/27/2020	2,195.86	8.95 D	0.00	Sale
10/27/2020	382.00	2,864.88	Various	2,897.04	32.16 D	0.00	Sale
10/27/2020	400.00	2,888.16	Various	3,125.44	237.28 D	0.00	Sale
10/27/2020	500.00	3,599.86	Various	3,895.21	295.35 D	0.00	Sale

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**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

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**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
PACIFIC ETHANOL INC COM PAR \$.001   CUSIP: 69423U305   Symbol: PEIX							
10/27/2020	863.00	6,032.13	Various	6,183.31	151.18 D	0.00	Sale
10/27/2020	937.00	6,549.37	Various	6,976.48	427.11 D	0.00	Sale
10/27/2020	500.00	3,569.86	Various	3,924.96	355.10 D	0.00	Sale
10/27/2020	1,000.00	7,202.02	Various	7,928.85	726.83 D	0.00	Sale
10/27/2020	1,000.00	7,049.72	Various	7,170.27	120.55 D	0.00	Sale
10/28/2020	90.00	819.87	10/26/2020	803.70	0.00	16.17	Buy to Cover Short
10/28/2020	100.00	920.94	Various	904.00	0.00	16.94	Buy to Cover Short
10/28/2020	100.00	920.96	Various	904.00	0.00	16.96	Buy to Cover Short
10/28/2020	100.00	920.96	Various	904.00	0.00	16.96	Buy to Cover Short
10/28/2020	100.00	920.97	Various	904.00	0.00	16.97	Buy to Cover Short
10/28/2020	100.00	920.96	10/26/2020	904.00	0.00	16.96	Buy to Cover Short
10/28/2020	100.00	879.97	10/26/2020	874.03	0.00	5.94	Buy to Cover Short
10/28/2020	100.00	879.97	10/26/2020	874.03	0.00	5.94	Buy to Cover Short
10/28/2020	200.00	1,759.93	10/26/2020	1,734.06	0.00	25.87	Buy to Cover Short
10/28/2020	410.00	3,734.96	10/26/2020	3,661.30	0.00	73.66	Buy to Cover Short
10/28/2020	500.00	4,599.83	10/26/2020	4,490.00	0.00	109.83	Buy to Cover Short
10/28/2020	500.00	4,604.83	Various	4,490.00	0.00	114.83	Buy to Cover Short
10/28/2020	500.00	4,599.84	10/26/2020	4,510.00	0.00	89.84	Buy to Cover Short
10/28/2020	500.00	4,554.84	10/26/2020	4,440.00	0.00	114.84	Buy to Cover Short
10/28/2020	600.00	5,303.81	10/26/2020	5,352.00	48.19 D	0.00	Buy to Cover Short
10/28/2020	200.00	1,759.94	10/26/2020	1,734.07	0.00	25.87	Buy to Cover Short
10/28/2020	100.00	645.97	Various	669.46	23.49 D	0.00	Sale
10/28/2020	100.00	645.97	10/28/2020	669.45	23.48 D	0.00	Sale
10/28/2020	100.00	645.97	Various	669.56	23.59 D	0.00	Sale
10/28/2020	100.00	645.97	10/28/2020	669.56	23.59 D	0.00	Sale
10/28/2020	200.00	1,291.95	Various	1,339.90	47.95 D	0.00	Sale
10/28/2020	200.00	1,291.95	Various	1,462.89	170.94 D	0.00	Sale

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APEX CLEARING

Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B\*

OMB No. 1545-0715

2TZ05705

(continued)

01/24/2021

**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
PACIFIC ETHANOL INC COM PAR \$.001   CUSIP: 69423U305   Symbol: PEIX							
10/28/2020	200.00	1,291.95	Various	1,484.38	192.43 D	0.00	Sale
10/28/2020	200.00	1,291.95	Various	1,410.76	118.81 D	0.00	Sale
10/28/2020	200.00	1,291.95	Various	1,397.60	105.65 D	0.00	Sale
10/28/2020	200.00	1,291.95	Various	1,414.82	122.87 D	0.00	Sale
10/28/2020	200.00	1,291.95	Various	1,306.92	14.97 D	0.00	Sale
10/28/2020	200.00	1,291.95	10/28/2020	1,303.97	12.02 D	0.00	Sale
10/28/2020	200.00	1,291.95	Various	1,305.46	13.51 D	0.00	Sale
10/28/2020	200.00	1,291.95	Various	1,304.97	13.02 D	0.00	Sale
10/28/2020	200.00	1,291.95	Various	1,305.47	13.52 D	0.00	Sale
10/28/2020	200.00	1,291.95	Various	1,345.95	54.00 D	0.00	Sale
10/28/2020	200.00	1,291.95	Various	1,347.17	55.22 D	0.00	Sale
10/28/2020	200.00	1,291.95	Various	1,353.43	61.48 D	0.00	Sale
10/28/2020	200.00	1,291.95	Various	1,473.32	181.37 D	0.00	Sale
10/28/2020	200.00	1,291.95	Various	1,497.79	205.84 D	0.00	Sale
10/28/2020	200.00	1,291.95	Various	1,426.62	134.67 D	0.00	Sale
10/28/2020	200.00	1,291.95	Various	1,411.16	119.21 D	0.00	Sale
10/28/2020	200.00	1,291.95	Various	1,427.78	135.83 D	0.00	Sale
10/28/2020	200.00	1,291.95	Various	1,323.90	31.95 D	0.00	Sale
10/28/2020	2,000.00	13,079.47	Various	14,172.76	84.95 D	-1,008.34	Sale
10/28/2020	400.00	2,583.89	Various	2,637.48	53.59 D	0.00	Sale
10/28/2020	200.00	1,291.95	Various	1,319.05	27.10 D	0.00	Sale
10/29/2020	45.00	278.98	Various	286.21	0.00	-7.23	Sale
10/29/2020	955.00	5,920.75	Various	6,110.08	0.00	-189.33	Sale
<b>Security Totals:</b>		<b>1,130,688.56</b>		<b>1,150,336.83</b>		<b>5,603.35</b>	
VISLINK TECHNOLOGIES INC COMMON STOCK   CUSIP: 92836Y201   Symbol: VISL							
06/05/2020	25.00	34.48	06/05/2020	33.50	0.00	0.98	Sale
06/05/2020	30.00	41.38	06/05/2020	40.20	0.00	1.18	Sale
06/05/2020	40.00	55.18	06/05/2020	53.61	0.00	1.57	Sale

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**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
VISLINK TECHNOLOGIES INC COMMON STOCK   CUSIP: 92836Y201   Symbol: VISL							
06/05/2020	100.00	137.98	06/05/2020	134.02	0.00	3.96	Sale
06/05/2020	100.00	137.98	Various	134.01	0.00	3.97	Sale
06/05/2020	205.00	282.87	06/05/2020	274.73	0.00	8.14	Sale
06/05/2020	500.00	689.92	06/05/2020	670.08	0.00	19.84	Sale
06/05/2020	1,000.00	1,379.84	06/05/2020	1,340.15	0.00	39.69	Sale
06/09/2020	500.00	654.93	Various	631.20	0.00	23.73	Buy to Cover Short
06/09/2020	500.00	609.92	06/05/2020	625.24	15.32 D	0.00	Buy to Cover Short
06/09/2020	500.00	564.92	06/05/2020	445.25	0.00	119.67	Buy to Cover Short
06/09/2020	500.00	609.93	Various	605.21	0.00	4.72	Buy to Cover Short
06/09/2020	500.00	564.92	06/05/2020	490.90	0.00	74.02	Buy to Cover Short
06/09/2020	1,000.00	1,329.85	06/05/2020	1,330.00	0.15 D	0.00	Buy to Cover Short
06/09/2020	1,000.00	1,329.85	06/05/2020	1,330.00	0.15 D	0.00	Buy to Cover Short
06/09/2020	1,000.00	1,219.85	Various	1,184.25	0.00	35.60	Buy to Cover Short
06/09/2020	1,000.00	1,129.85	Various	1,035.32	0.00	94.53	Buy to Cover Short
06/09/2020	1,500.00	1,964.77	Various	2,009.17	44.40 D	0.00	Buy to Cover Short
06/09/2020	2,000.00	2,459.70	Various	2,584.40	124.70 D	0.00	Buy to Cover Short
06/09/2020	35.00	47.56	Various	48.65	1.09 D	0.00	Buy to Cover Short
06/09/2020	400.00	409.94	Various	419.92	9.98 D	0.00	Buy to Cover Short
06/09/2020	1,600.00	1,639.73	Various	1,689.66	0.00	-49.93	Buy to Cover Short
06/09/2020	1,965.00	2,672.07	Various	2,732.44	60.37 D	0.00	Buy to Cover Short
06/09/2020	2,000.00	2,899.69	Various	2,820.00	0.00	79.69	Buy to Cover Short
06/09/2020	2,000.00	2,899.69	Various	2,800.33	0.00	99.36	Buy to Cover Short
06/09/2020	2,000.00	2,919.67	Various	2,920.00	0.33 D	0.00	Buy to Cover Short
<b>Security Totals:</b>		<b>28,686.47</b>		<b>28,382.24</b>		<b>560.72</b>	
VIR BIOTECHNOLOGY INC COMMON STOCK   CUSIP: 92764N102   Symbol: VIR							
03/11/2020	100.00	3,400.91	03/11/2020	3,530.00	0.00	-129.09	Sale
DIFFUSION PHARMACEUTICALS INC COMMON STOCK   CUSIP: 253748305   Symbol: DFFN							
07/16/2020	500.00	579.92	07/16/2020	595.00	15.08 D	0.00	Sale

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APEX CLEARING

Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B\*

OMB No. 1545-0715

2TZ05705

(continued)

01/24/2021

**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
DIFFUSION PHARMACEUTICALS INC COMMON STOCK   CUSIP: 253748305   Symbol: DFFN							
07/16/2020	1,500.00	1,739.78	07/16/2020	1,785.00	45.22 D	0.00	Sale
07/21/2020	2,000.00	2,965.09	Various	3,060.30	0.00	-95.21	Sale
<b>Security Totals:</b>		<b>5,284.79</b>		<b>5,440.30</b>		<b>-95.21</b>	
BLUE APRON HOLDINGS INC CLASS A COMMON STOCK   CUSIP: 09523Q200   Symbol: APRN							
03/16/2020	1,000.00	3,379.80	Various	3,600.00	220.2 D	0.00	Sale
03/16/2020	1,000.00	3,379.80	Various	3,964.70	537.86 D	-47.04	Sale
03/19/2020	200.00	2,643.92	Various	2,779.38	0.00	-135.46	Sale
03/20/2020	200.00	2,075.93	03/20/2020	2,329.88	0.00	-253.95	Sale
03/23/2020	100.00	1,324.96	03/23/2020	1,227.04	0.00	97.92	Sale
03/23/2020	150.00	1,844.93	03/23/2020	1,840.56	0.00	4.37	Sale
03/23/2020	50.00	597.22	03/23/2020	613.52	0.00	-16.30	Sale
03/23/2020	100.00	1,192.46	03/23/2020	1,227.04	0.00	-34.58	Sale
03/23/2020	100.00	1,229.96	03/23/2020	1,249.94	0.00	-19.98	Sale
03/26/2020	100.00	1,059.95	Various	1,100.00	40.05 D	0.00	Buy to Cover Short
03/26/2020	100.00	1,059.97	03/24/2020	1,100.00	40.03 D	0.00	Buy to Cover Short
03/26/2020	300.00	3,179.87	Various	3,380.02	0.00	-200.15	Buy to Cover Short
<b>Security Totals:</b>		<b>22,968.77</b>		<b>24,412.08</b>		<b>-605.17</b>	
ATARA BIOTHERAPEUTICS INC COM   CUSIP: 046513107   Symbol: ATRA							
05/22/2020	500.00	8,245.40	05/22/2020	8,430.00	0.00	-184.60	Sale
CONDUENT INCORPORATED COMMON STOCK   CUSIP: 206787103   Symbol: CNDT							
08/11/2020	1,000.00	4,649.77	08/11/2020	4,650.00	0.00	-0.23	Sale
08/13/2020	1.00	4.30	08/11/2020	4.26	0.00	0.04	Buy to Cover Short
08/13/2020	99.00	425.78	08/11/2020	421.74	0.00	4.04	Buy to Cover Short
08/13/2020	100.00	430.08	08/11/2020	426.00	0.00	4.08	Buy to Cover Short
08/13/2020	100.00	430.08	08/11/2020	426.00	0.00	4.08	Buy to Cover Short
08/13/2020	100.00	430.08	08/11/2020	426.00	0.00	4.08	Buy to Cover Short
08/13/2020	100.00	430.08	08/11/2020	426.00	0.00	4.08	Buy to Cover Short
08/13/2020	500.00	2,150.39	08/11/2020	2,145.00	0.00	5.39	Buy to Cover Short

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**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

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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
CONDUENT INCORPORATED COMMON STOCK   CUSIP: 206787103   Symbol: CNDT							
08/13/2020	100.00	453.95	Various	443.00	0.00	10.95	Buy to Cover Short
08/13/2020	500.00	2,151.19	Various	2,135.00	0.00	16.19	Buy to Cover Short
08/13/2020	300.00	1,361.91	Various	1,329.00	0.00	32.91	Buy to Cover Short
08/13/2020	1,500.00	6,809.61	Various	6,660.00	0.00	149.61	Buy to Cover Short
08/13/2020	500.00	2,150.38	08/11/2020	2,149.35	0.00	1.03	Buy to Cover Short
08/13/2020	100.00	453.96	Various	443.00	0.00	10.96	Buy to Cover Short
<b>Security Totals:</b>		<b>22,331.56</b>		<b>22,084.35</b>		<b>247.21</b>	
ARLO TECHNOLOGIES INC COMMON STOCK   CUSIP: 04206A101   Symbol: ARLO							
12/04/2020	1,000.00	6,781.03	Various	6,920.00	0.00	-138.97	Sale
MFA FINANCIAL INC   CUSIP: 55272X102   Symbol: MFA							
06/05/2020	500.00	1,414.90	06/05/2020	1,415.00	0.1 D	0.00	Sale
06/05/2020	1,000.00	3,219.80	Various	3,220.10	0.3 D	0.00	Sale
06/08/2020	4,000.00	12,803.23	Various	13,037.10	0.00	-233.87	Sale
06/11/2020	11.00	36.52	06/09/2020	35.75	0.00	0.77	Buy to Cover Short
06/11/2020	100.00	325.98	06/09/2020	354.00	28.02 D	0.00	Buy to Cover Short
06/11/2020	240.00	782.35	06/09/2020	849.60	67.25 D	0.00	Buy to Cover Short
06/11/2020	189.00	627.44	Various	616.18	0.00	11.26	Buy to Cover Short
06/11/2020	300.00	995.94	06/09/2020	978.06	0.00	17.88	Buy to Cover Short
06/11/2020	300.00	986.34	Various	1,101.23	114.89 D	0.00	Buy to Cover Short
06/11/2020	500.00	1,659.90	06/09/2020	1,630.10	0.00	29.80	Buy to Cover Short
06/11/2020	860.00	2,890.03	Various	3,215.33	325.30 D	0.00	Buy to Cover Short
06/11/2020	2,000.00	6,999.60	Various	7,583.30	0.00	-583.70	Buy to Cover Short
06/11/2020	26.00	86.31	06/09/2020	84.51	0.00	1.80	Buy to Cover Short
06/11/2020	200.00	663.96	Various	650.04	0.00	13.92	Buy to Cover Short
06/11/2020	274.00	909.63	06/09/2020	890.55	0.00	19.08	Buy to Cover Short
06/11/2020	500.00	1,659.90	Various	1,630.10	0.00	29.80	Buy to Cover Short
06/11/2020	2,000.00	6,579.60	Various	6,760.00	180.4 D	0.00	Buy to Cover Short
<b>Security Totals:</b>		<b>42,641.43</b>		<b>44,050.95</b>		<b>-693.26</b>	

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APEX CLEARING

Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B\*

OMB No. 1545-0715

2TZ05705

(continued)

01/24/2021

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

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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
***LUFAX HOLDING LTD AMERICAN DEPOSITARY SHS TWO OF WHICH RPRSNTNG ONE ORD SHR   CUSIP: 54975P102   Symbol: LU							
11/18/2020	39.00	596.09	11/18/2020	606.89	10.8 D	0.00	Sale
11/18/2020	461.00	7,053.09	Various	7,150.01	96.92 D	0.00	Sale
11/18/2020	500.00	7,644.77	Various	7,777.87	133.10 D	0.00	Sale
11/18/2020	500.00	7,644.77	Various	7,773.47	128.70 D	0.00	Sale
11/18/2020	1,000.00	16,169.52	Various	16,298.00	128.48 D	0.00	Sale
11/18/2020	1,000.00	15,449.53	Various	15,680.82	0.00	-231.29	Sale
11/18/2020	11.00	169.16	11/18/2020	170.62	1.46 D	0.00	Sale
11/18/2020	15.00	229.48	Various	231.33	1.85 D	0.00	Sale
11/18/2020	15.00	229.33	11/18/2020	231.32	1.99 D	0.00	Sale
11/18/2020	25.00	384.48	11/18/2020	387.76	3.28 D	0.00	Sale
11/18/2020	85.00	1,300.46	Various	1,312.29	11.83 D	0.00	Sale
11/18/2020	100.00	1,537.95	Various	1,554.65	16.70 D	0.00	Sale
11/18/2020	85.00	1,299.61	Various	1,319.28	19.67 D	0.00	Sale
11/18/2020	100.00	1,537.95	11/18/2020	1,561.05	23.1 D	0.00	Sale
11/18/2020	100.00	1,528.95	Various	1,552.10	23.15 D	0.00	Sale
11/18/2020	100.00	1,528.95	Various	1,552.49	23.54 D	0.00	Sale
11/18/2020	100.00	1,528.95	11/18/2020	1,553.09	24.14 D	0.00	Sale
11/18/2020	125.00	1,922.44	11/18/2020	1,951.31	28.87 D	0.00	Sale
11/18/2020	639.00	9,821.13	Various	9,983.09	161.96 D	0.00	Sale
<b>Security Totals:</b>		<b>77,576.61</b>		<b>78,647.44</b>		<b>-231.29</b>	
***EVOGENE LTD   CUSIP: M4119S104   Symbol: EVGN							
09/04/2020	100.00	264.98	09/02/2020	252.00	0.00	12.98	Buy to Cover Short
09/04/2020	9.00	23.85	09/02/2020	22.68	0.00	1.17	Buy to Cover Short
09/04/2020	200.00	529.96	09/02/2020	504.00	0.00	25.96	Buy to Cover Short
09/04/2020	200.00	529.97	09/02/2020	504.00	0.00	25.97	Buy to Cover Short
09/04/2020	491.00	1,301.06	09/02/2020	1,237.32	0.00	63.74	Buy to Cover Short
09/04/2020	380.00	1,006.93	09/02/2020	957.60	0.00	49.33	Buy to Cover Short
09/04/2020	242.00	641.26	09/02/2020	609.84	0.00	31.42	Buy to Cover Short

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APEX CLEARING

Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B\*

OMB No. 1545-0715

2TZ05705

(continued)

01/24/2021

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
***EVOGENE LTD   CUSIP: M4119S104   Symbol: EVGN							
09/04/2020	678.00	1,796.58	09/02/2020	1,708.56	0.00	88.02	Buy to Cover Short
<b>Security Totals:</b>		<b>6,094.59</b>		<b>5,796.00</b>		<b>298.59</b>	
SONIM TECHNOLOGIES INC COMMON STOCK   CUSIP: 83548F101   Symbol: SONM							
08/12/2020	2,000.00	2,359.70	Various	2,340.00	0.00	19.70	Sale
08/19/2020	100.00	103.48	08/19/2020	104.00	0.52 D	0.00	Sale
08/19/2020	1,500.00	1,546.28	Various	1,559.93	12.83 D	-0.82	Sale
08/19/2020	1,400.00	1,443.19	Various	1,468.32	0.00	-25.13	Sale
<b>Security Totals:</b>		<b>5,452.65</b>		<b>5,472.25</b>		<b>-6.25</b>	
HEPION PHARMACEUTICALS INC COMMON STOCK   CUSIP: 426897104   Symbol: HEPA							
08/05/2020	300.00	1,790.92	08/05/2020	1,770.00	0.00	20.92	Sale
TUPPERWARE BRANDS CORPORATION   CUSIP: 899896104   Symbol: TUP							
06/11/2020	1.00	4.48	06/11/2020	4.50	0.00	-0.02	Sale
06/11/2020	4.00	18.02	06/11/2020	18.00	0.00	0.02	Sale
06/11/2020	1.00	4.48	06/11/2020	4.50	0.00	-0.02	Sale
06/11/2020	4.00	18.02	06/11/2020	18.00	0.00	0.02	Sale
06/11/2020	10.00	45.08	06/11/2020	45.00	0.00	0.08	Sale
06/11/2020	5.00	22.48	06/11/2020	22.50	0.00	-0.02	Sale
06/11/2020	25.00	112.48	06/11/2020	112.50	0.00	-0.02	Sale
06/11/2020	75.00	337.48	06/11/2020	337.50	0.00	-0.02	Sale
06/11/2020	99.00	446.47	06/11/2020	445.50	0.00	0.97	Sale
06/11/2020	100.00	449.98	06/11/2020	450.00	0.00	-0.02	Sale
06/11/2020	76.00	341.98	06/11/2020	342.00	0.00	-0.02	Sale
06/11/2020	100.00	451.48	06/11/2020	450.00	0.00	1.48	Sale
06/11/2020	100.00	450.98	06/11/2020	450.00	0.00	0.98	Sale
06/11/2020	100.00	449.98	06/11/2020	450.00	0.00	-0.02	Sale
06/11/2020	300.00	1,349.93	06/11/2020	1,350.00	0.00	-0.07	Sale
06/12/2020	250.00	1,532.94	Various	1,427.50	0.00	105.44	Buy to Cover Short
06/12/2020	250.00	1,534.92	06/10/2020	1,422.25	0.00	112.67	Buy to Cover Short

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**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

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**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
TUPPERWARE BRANDS CORPORATION   CUSIP: 899896104   Symbol: TUP							
07/27/2020	1,000.00	9,609.66	Various	9,770.00	160.34 D	0.00	Sale
07/29/2020	400.00	6,316.21	Various	6,553.48	237.27 D	0.00	Sale
07/29/2020	300.00	4,759.35	Various	4,977.95	218.60 D	0.00	Sale
07/29/2020	600.00	9,474.32	Various	9,830.19	355.87 D	0.00	Sale
07/29/2020	100.00	1,527.01	Various	1,590.38	63.37 D	0.00	Sale
07/29/2020	700.00	11,105.17	Various	11,664.69	145.73 D	-413.79	Sale
07/29/2020	1,000.00	15,374.54	Various	15,758.34	383.80 D	0.00	Sale
07/29/2020	900.00	13,743.12	Various	14,313.42	570.30 D	0.00	Sale
07/29/2020	500.00	8,110.16	Various	8,463.83	0.00	-353.67	Sale
09/09/2020	1,000.00	22,199.38	Various	22,360.00	160.62 D	0.00	Sale
09/14/2020	100.00	2,339.93	Various	2,371.06	31.13 D	0.00	Sale
09/14/2020	100.00	2,340.93	Various	2,371.06	30.13 D	0.00	Sale
09/14/2020	201.00	4,703.27	09/14/2020	4,763.83	60.56 D	0.00	Sale
09/14/2020	299.00	6,996.40	09/14/2020	7,086.49	90.09 D	0.00	Sale
09/14/2020	300.00	7,022.80	Various	7,112.18	89.38 D	0.00	Sale
09/15/2020	5.00	133.48	Various	135.01	1.53 D	0.00	Sale
09/15/2020	20.00	523.17	Various	530.03	6.86 D	0.00	Sale
09/15/2020	60.00	1,569.55	Various	1,589.48	19.93 D	0.00	Sale
09/15/2020	100.00	2,616.93	Various	2,647.66	30.73 D	0.00	Sale
09/15/2020	100.00	2,615.93	Various	2,648.69	32.76 D	0.00	Sale
09/15/2020	100.00	2,615.93	Various	2,651.67	35.74 D	0.00	Sale
09/15/2020	100.00	2,615.93	Various	2,653.05	37.12 D	0.00	Sale
09/15/2020	100.00	2,615.93	Various	2,647.60	31.67 D	0.00	Sale
09/15/2020	100.00	2,615.93	Various	2,637.57	21.64 D	0.00	Sale
09/15/2020	100.00	2,615.93	Various	2,638.63	22.70 D	0.00	Sale
09/15/2020	100.00	2,615.93	Various	2,638.00	22.07 D	0.00	Sale
09/15/2020	100.00	2,615.93	Various	2,638.00	22.07 D	0.00	Sale

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**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

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**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
TUPPERWARE BRANDS CORPORATION   CUSIP: 899896104   Symbol: TUP							
09/15/2020	100.00	2,615.93	Various	2,638.00	22.07 D	0.00	Sale
09/15/2020	200.00	5,231.86	Various	5,276.03	44.17 D	0.00	Sale
09/15/2020	211.00	5,633.54	Various	5,698.23	64.69 D	0.00	Sale
09/15/2020	224.00	5,859.68	Various	5,921.23	61.55 D	0.00	Sale
09/15/2020	293.00	7,822.89	Various	7,911.38	88.49 D	0.00	Sale
09/15/2020	496.00	12,975.01	Various	13,184.41	209.40 D	0.00	Sale
09/15/2020	100.00	2,612.43	Various	2,646.10	33.67 D	0.00	Sale
09/15/2020	100.00	2,612.43	Various	2,646.23	33.80 D	0.00	Sale
09/15/2020	100.00	2,611.93	Various	2,649.14	37.21 D	0.00	Sale
09/15/2020	1,645.00	42,949.80	Various	43,443.64	493.84 D	0.00	Sale
09/15/2020	2,000.00	52,100.80	Various	52,671.26	570.46 D	0.00	Sale
09/16/2020	52.00	1,373.27	Various	1,381.22	0.00	-7.95	Sale
09/16/2020	100.00	2,633.03	Various	2,647.06	0.00	-14.03	Sale
09/16/2020	198.00	5,229.04	Various	5,249.51	0.00	-20.47	Sale
09/16/2020	250.00	6,602.32	Various	6,640.83	0.00	-38.51	Sale
09/16/2020	400.00	10,531.87	Various	10,600.18	0.00	-68.31	Sale
09/16/2020	500.00	13,154.64	Various	13,226.15	0.00	-71.51	Sale
09/16/2020	500.00	13,164.64	Various	13,335.53	0.00	-170.89	Sale
09/17/2020	1.00	26.08	09/15/2020	26.22	0.14 D	0.00	Buy to Cover Short
09/17/2020	1.00	26.08	09/15/2020	26.22	0.14 D	0.00	Buy to Cover Short
09/17/2020	1.00	26.08	09/15/2020	26.22	0.14 D	0.00	Buy to Cover Short
09/17/2020	1.00	26.08	09/15/2020	26.22	0.14 D	0.00	Buy to Cover Short
09/17/2020	59.00	1,533.95	Various	1,533.35	0.00	0.60	Buy to Cover Short
09/17/2020	96.00	2,503.61	09/15/2020	2,518.94	15.33 D	0.00	Buy to Cover Short
09/17/2020	100.00	2,607.93	09/15/2020	2,622.90	14.97 D	0.00	Buy to Cover Short
09/17/2020	100.00	2,607.93	09/15/2020	2,622.00	14.07 D	0.00	Buy to Cover Short
09/17/2020	200.00	5,215.86	09/15/2020	5,245.80	29.94 D	0.00	Buy to Cover Short

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**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)

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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
TUPPERWARE BRANDS CORPORATION   CUSIP: 899896104   Symbol: TUP							
09/17/2020	200.00	5,215.86	09/15/2020	5,245.80	29.94 D	0.00	Buy to Cover Short
09/17/2020	300.00	7,823.79	09/15/2020	7,869.00	45.21 D	0.00	Buy to Cover Short
09/17/2020	441.00	11,465.68	09/15/2020	11,461.15	0.00	4.53	Buy to Cover Short
09/18/2020	1.00	26.04	09/16/2020	26.46	0.00	-0.42	Buy to Cover Short
09/18/2020	1.00	26.04	09/16/2020	26.46	0.00	-0.42	Buy to Cover Short
09/18/2020	20.00	520.79	09/16/2020	529.07	0.00	-8.28	Buy to Cover Short
09/18/2020	100.00	2,603.93	09/16/2020	2,647.26	0.00	-43.33	Buy to Cover Short
09/18/2020	1,000.00	25,910.00	Various	26,180.00	270.00 D	0.00	Buy to Cover Short
09/18/2020	878.00	22,862.48	Various	23,239.88	0.00	-377.40	Buy to Cover Short
10/28/2020	20.00	595.57	10/28/2020	602.12	6.55 D	0.00	Sale
10/28/2020	25.00	744.47	10/28/2020	752.66	8.19 D	0.00	Sale
10/28/2020	41.00	1,220.53	Various	1,234.76	14.23 D	0.00	Sale
10/28/2020	100.00	2,978.92	Various	3,024.54	45.62 D	0.00	Sale
10/28/2020	300.00	8,945.76	Various	9,033.91	88.15 D	0.00	Sale
10/28/2020	100.00	2,978.92	Various	3,026.63	47.71 D	0.00	Sale
10/28/2020	14.00	416.90	10/28/2020	423.44	6.54 D	0.00	Sale
10/28/2020	300.00	9,008.76	Various	9,128.84	120.08 D	0.00	Sale
10/28/2020	300.00	9,005.76	Various	9,119.93	0.00	-114.17	Sale
10/30/2020	78.00	2,318.10	10/28/2020	2,352.11	34.01 D	0.00	Buy to Cover Short
10/30/2020	22.00	653.82	10/28/2020	663.42	9.6 D	0.00	Buy to Cover Short
10/30/2020	100.00	2,971.92	Various	2,992.12	20.20 D	0.00	Buy to Cover Short
10/30/2020	100.00	2,971.92	Various	2,991.02	19.10 D	0.00	Buy to Cover Short
10/30/2020	100.00	2,971.92	Various	2,976.53	4.61 D	0.00	Buy to Cover Short
10/30/2020	100.00	2,971.92	10/28/2020	3,016.53	44.61 D	0.00	Buy to Cover Short
10/30/2020	200.00	5,809.84	10/28/2020	5,810.00	0.16 D	0.00	Buy to Cover Short
10/30/2020	100.00	2,904.92	10/28/2020	2,905.00	0.08 D	0.00	Buy to Cover Short
10/30/2020	100.00	2,954.92	10/28/2020	2,994.00	39.08 D	0.00	Buy to Cover Short

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**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

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**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
TUPPERWARE BRANDS CORPORATION   CUSIP: 899896104   Symbol: TUP							
10/30/2020	100.00	2,954.92	10/28/2020	2,993.00	38.08 D	0.00	Buy to Cover Short
10/30/2020	300.00	8,855.76	Various	9,057.27	201.51 D	0.00	Buy to Cover Short
11/02/2020	100.00	3,249.91	10/29/2020	3,297.08	47.17 D	0.00	Buy to Cover Short
11/02/2020	100.00	3,259.91	10/29/2020	3,297.08	37.17 D	0.00	Buy to Cover Short
11/02/2020	200.00	6,519.82	Various	6,641.25	121.43 D	0.00	Buy to Cover Short
11/02/2020	300.00	9,947.70	Various	10,148.45	0.00	-200.75	Buy to Cover Short
<b>Security Totals:</b>		<b>542,920.21</b>		<b>550,512.81</b>		<b>-1,677.34</b>	
SPHERIX INCORPORATED COMMON STOCK   CUSIP: 84842R502   Symbol: SPEX							
03/09/2020	1,000.00	4,019.89	Various	6,439.23	2419.34 D	0.00	Sale
03/11/2020	77.00	311.07	Various	407.83	96.76 D	0.00	Buy to Cover Short
03/11/2020	100.00	405.98	Various	600.82	194.84 D	0.00	Buy to Cover Short
03/11/2020	100.00	405.98	Various	601.24	195.26 D	0.00	Buy to Cover Short
03/11/2020	100.00	405.98	Various	598.95	192.97 D	0.00	Buy to Cover Short
03/11/2020	100.00	405.98	Various	590.84	184.86 D	0.00	Buy to Cover Short
03/11/2020	100.00	405.98	Various	591.26	185.28 D	0.00	Buy to Cover Short
03/11/2020	100.00	405.98	Various	588.97	182.99 D	0.00	Buy to Cover Short
03/11/2020	177.00	729.20	Various	705.59	6.01 D	29.62	Buy to Cover Short
03/11/2020	200.00	809.72	Various	1,059.90	250.18 D	0.00	Buy to Cover Short
03/11/2020	200.00	811.96	Various	1,160.14	348.18 D	0.00	Buy to Cover Short
03/11/2020	200.00	811.95	Various	974.99	173.01 D	9.97	Buy to Cover Short
03/11/2020	500.00	1,899.90	Various	1,406.01	0.00	493.89	Buy to Cover Short
03/11/2020	500.00	1,899.89	03/09/2020	1,400.00	0.00	499.89	Buy to Cover Short
03/11/2020	723.00	2,921.05	Various	2,960.40	242.34 D	202.99	Buy to Cover Short
03/11/2020	5.00	19.22	03/09/2020	23.55	4.33 D	0.00	Buy to Cover Short
03/11/2020	14.00	53.83	03/09/2020	65.80	11.97 D	0.00	Buy to Cover Short
03/11/2020	823.00	3,390.58	Various	2,686.75	0.00	703.83	Buy to Cover Short
03/11/2020	15.00	57.67	03/09/2020	70.65	12.98 D	0.00	Buy to Cover Short
03/11/2020	30.00	115.35	03/09/2020	141.31	25.96 D	0.00	Buy to Cover Short

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APEX CLEARING

## Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B\*

OMB No. 1545-0715

2TZ05705

(continued)

01/24/2021

**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>
SPHERIX INCORPORATED COMMON STOCK   CUSIP: 84842R502   Symbol: SPEX							
03/11/2020	35.00	134.57	03/09/2020	164.51	29.94 D	0.00	Buy to Cover Short
03/11/2020	50.00	191.99	Various	235.01	43.02 D	0.00	Buy to Cover Short
03/11/2020	96.00	368.62	03/09/2020	453.14	84.52 D	0.00	Buy to Cover Short
03/11/2020	100.00	389.97	Various	559.22	169.25 D	0.00	Buy to Cover Short
03/11/2020	62.00	241.79	Various	347.23	105.44 D	0.00	Buy to Cover Short
03/11/2020	100.00	383.98	03/09/2020	472.01	88.03 D	0.00	Buy to Cover Short
03/11/2020	100.00	383.98	Various	470.02	86.04 D	0.00	Buy to Cover Short
03/11/2020	100.00	383.98	03/09/2020	471.02	87.04 D	0.00	Buy to Cover Short
03/11/2020	238.00	928.15	Various	1,333.71	405.56 D	0.00	Buy to Cover Short
03/11/2020	300.00	1,169.93	Various	1,677.15	507.22 D	0.00	Buy to Cover Short
03/11/2020	200.00	765.51	Various	944.03	178.52 D	0.00	Buy to Cover Short
03/11/2020	300.00	1,145.93	Various	1,410.06	264.13 D	0.00	Buy to Cover Short
03/11/2020	400.00	1,527.92	Various	2,019.10	491.18 D	0.00	Buy to Cover Short
03/11/2020	462.00	1,800.08	Various	2,802.36	1002.28 D	0.00	Buy to Cover Short
03/11/2020	500.00	1,941.03	Various	2,722.58	781.55 D	0.00	Buy to Cover Short
03/11/2020	540.00	2,100.49	Various	3,173.92	1073.43 D	0.00	Buy to Cover Short
03/11/2020	555.00	2,158.83	Various	3,032.97	874.14 D	0.00	Buy to Cover Short
03/11/2020	500.00	1,944.89	Various	3,013.18	1068.29 D	0.00	Buy to Cover Short
03/11/2020	1,298.00	5,018.94	Various	7,828.50	2809.56 D	0.00	Buy to Cover Short
03/11/2020	200.00	565.96	03/09/2020	594.00	28.04 D	0.00	Buy to Cover Short
03/11/2020	1,300.00	3,678.76	Various	3,902.04	223.28 D	0.00	Buy to Cover Short
03/11/2020	4,000.00	6,879.36	Various	9,599.34	0.00	-2,719.98	Sale
<b>Security Totals:</b>		<b>54,391.82</b>		<b>70,299.33</b>		<b>-779.79</b>	
***GENETIC TECHNOLOGIES LTD SPONSORED ADR   CUSIP: 37185R307   Symbol: GENE							
07/29/2020	250.00	1,162.44	Various	1,048.95	0.00	113.49	Sale
07/29/2020	750.00	3,374.83	Various	3,145.50	0.00	229.33	Sale
12/10/2020	50.00	176.48	12/10/2020	181.46	0.00	-4.98	Sale

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APEX CLEARING

Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B\*

OMB No. 1545-0715

2TZ05705

(continued)

01/24/2021

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
***GENETIC TECHNOLOGIES LTD SPONSORED ADR   CUSIP: 37185R307   Symbol: GENE							
12/10/2020	4,950.00	17,476.48	12/10/2020	17,964.54	0.00	-488.06	Sale
<b>Security Totals:</b>		<b>22,190.23</b>		<b>22,340.45</b>		<b>-150.22</b>	
CAMBER ENERGY INC COMMON STOCK   CUSIP: 13200M508   Symbol: CEI							
10/08/2020	10.00	13.58	10/08/2020	14.00	0.42 D	0.00	Sale
10/08/2020	100.00	135.98	Various	141.15	5.17 D	0.00	Sale
10/08/2020	100.00	137.98	Various	156.22	18.24 D	0.00	Sale
10/08/2020	100.00	139.98	Various	151.18	11.20 D	0.00	Sale
10/08/2020	100.00	138.98	Various	151.19	12.21 D	0.00	Sale
10/08/2020	34.00	46.90	10/08/2020	47.59	0.69 D	0.00	Sale
10/08/2020	100.00	135.98	10/08/2020	151.05	15.07 D	0.00	Sale
10/08/2020	10.00	13.58	10/08/2020	14.00	0.42 D	0.00	Sale
10/08/2020	100.00	139.98	10/08/2020	153.03	13.05 D	0.00	Sale
10/08/2020	100.00	137.98	Various	157.22	19.24 D	0.00	Sale
10/08/2020	100.00	135.98	Various	140.19	4.21 D	0.00	Sale
10/08/2020	100.00	135.98	10/08/2020	151.04	15.06 D	0.00	Sale
10/08/2020	100.00	135.98	Various	140.98	5.0 D	0.00	Sale
10/08/2020	100.00	139.98	Various	155.20	15.22 D	0.00	Sale
10/08/2020	100.00	137.98	Various	155.20	17.22 D	0.00	Sale
10/08/2020	100.00	135.98	Various	152.08	16.10 D	0.00	Sale
10/08/2020	100.00	135.98	Various	141.15	5.17 D	0.00	Sale
10/08/2020	100.00	135.98	Various	153.05	17.07 D	0.00	Sale
10/08/2020	100.00	129.98	10/08/2020	132.12	2.14 D	0.00	Sale
10/08/2020	100.00	129.98	10/08/2020	132.12	2.14 D	0.00	Sale
10/08/2020	200.00	279.97	Various	300.35	20.38 D	0.00	Sale
10/08/2020	190.00	258.37	Various	267.86	9.49 D	0.00	Sale
10/08/2020	100.00	137.98	10/08/2020	138.96	0.98 D	0.00	Sale
10/08/2020	200.00	271.97	Various	306.08	34.11 D	0.00	Sale
10/08/2020	190.00	258.37	Various	267.85	9.48 D	0.00	Sale

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APEX CLEARING

Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B\*

OMB No. 1545-0715

2TZ05705

(continued)

01/24/2021

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

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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
CAMBER ENERGY INC COMMON STOCK   CUSIP: 13200M508   Symbol: CEI							
10/08/2020	200.00	271.97	Various	306.10	34.13 D	0.00	Sale
10/08/2020	200.00	279.97	Various	300.37	20.40 D	0.00	Sale
10/08/2020	200.00	271.97	10/08/2020	281.93	9.96 D	0.00	Sale
10/08/2020	200.00	279.97	Various	298.36	18.39 D	0.00	Sale
10/08/2020	200.00	279.97	Various	310.39	30.42 D	0.00	Sale
10/08/2020	200.00	279.97	Various	298.35	18.38 D	0.00	Sale
10/08/2020	200.00	279.97	Various	308.39	28.42 D	0.00	Sale
10/08/2020	200.00	279.97	Various	298.03	18.06 D	0.00	Sale
10/08/2020	200.00	271.97	Various	286.34	14.37 D	0.00	Sale
10/08/2020	200.00	271.97	10/08/2020	306.05	34.08 D	0.00	Sale
10/08/2020	200.00	279.97	Various	301.07	21.10 D	0.00	Sale
10/08/2020	200.00	271.97	Various	311.48	39.51 D	0.00	Sale
10/08/2020	200.00	271.97	Various	284.32	12.35 D	0.00	Sale
10/08/2020	209.00	292.57	Various	321.04	28.47 D	0.00	Sale
10/08/2020	300.00	413.95	Various	465.65	51.70 D	0.00	Sale
10/08/2020	300.00	419.95	Various	453.04	33.09 D	0.00	Sale
10/08/2020	400.00	547.93	Various	616.83	68.90 D	0.00	Sale
10/08/2020	300.00	407.95	Various	462.67	54.72 D	0.00	Sale
10/08/2020	400.00	519.93	Various	528.46	8.53 D	0.00	Sale
10/08/2020	300.00	419.95	Various	452.99	33.04 D	0.00	Sale
10/08/2020	500.00	679.92	Various	771.15	91.23 D	0.00	Sale
10/08/2020	700.00	951.89	Various	989.99	38.10 D	0.00	Sale
10/08/2020	666.00	918.97	Various	932.11	13.14 D	0.00	Sale
10/08/2020	500.00	699.92	Various	766.98	67.06 D	0.00	Sale
10/08/2020	691.00	967.29	Various	1,071.22	103.93 D	0.00	Sale
10/08/2020	700.00	916.89	Various	924.30	7.41 D	0.00	Sale
10/08/2020	700.00	909.89	Various	923.59	13.70 D	0.00	Sale

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**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)

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

1c - DateSold 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
CAMBER ENERGY INC COMMON STOCK   CUSIP: 13200M508   Symbol: CEI							
10/08/2020	2,000.00	2,259.71	Various	2,182.28	0.00	77.43	Sale
10/08/2020	1,000.00	1,369.84	Various	1,405.14	35.30 D	0.00	Sale
10/08/2020	900.00	1,223.86	Various	1,283.97	60.11 D	0.00	Sale
10/08/2020	1,200.00	1,655.82	Various	1,675.26	19.44 D	0.00	Sale
10/08/2020	3,000.00	2,870.57	Various	2,934.00	63.43 D	0.00	Sale
10/09/2020	1.00	1.16	10/09/2020	1.25	0.09 D	0.00	Sale
10/09/2020	1.00	1.16	10/09/2020	1.28	0.12 D	0.00	Sale
10/09/2020	38.00	44.82	10/09/2020	47.53	2.71 D	0.00	Sale
10/09/2020	50.00	58.98	10/09/2020	62.53	3.55 D	0.00	Sale
10/09/2020	100.00	117.98	Various	129.25	11.27 D	0.00	Sale
10/09/2020	26.00	30.92	10/09/2020	33.86	2.94 D	0.00	Sale
10/09/2020	100.00	117.98	Various	129.73	11.75 D	0.00	Sale
10/09/2020	49.00	57.80	Various	61.28	3.48 D	0.00	Sale
10/09/2020	100.00	117.98	Various	125.47	7.49 D	0.00	Sale
10/09/2020	100.00	117.98	Various	126.44	8.46 D	0.00	Sale
10/09/2020	127.00	149.83	Various	161.37	11.54 D	0.00	Sale
10/09/2020	100.00	117.98	Various	128.24	10.26 D	0.00	Sale
10/09/2020	135.00	159.27	Various	171.54	12.27 D	0.00	Sale
10/09/2020	299.00	352.77	Various	383.49	30.72 D	0.00	Sale
10/09/2020	100.00	117.98	Various	127.08	9.10 D	0.00	Sale
10/09/2020	374.00	441.27	Various	479.61	38.34 D	0.00	Sale
10/09/2020	1,000.00	1,209.85	Various	1,315.40	105.55 D	0.00	Sale
10/09/2020	1,000.00	1,209.85	Various	1,355.87	146.02 D	0.00	Sale
10/09/2020	300.00	353.95	Various	381.13	27.18 D	0.00	Sale
10/09/2020	1,000.00	1,199.85	Various	1,356.02	156.17 D	0.00	Sale
10/12/2020	2,000.00	2,199.71	Various	2,461.72	262.01 D	0.00	Sale
10/12/2020	2,000.00	2,199.71	Various	2,519.10	319.39 D	0.00	Sale

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**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)

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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
CAMBER ENERGY INC COMMON STOCK   CUSIP: 13200M508   Symbol: CEI							
10/12/2020	82.00	90.18	Various	104.27	14.09 D	0.00	Sale
10/12/2020	2,000.00	2,239.71	Various	2,659.76	420.05 D	0.00	Sale
10/12/2020	100.00	109.98	Various	127.73	17.75 D	0.00	Sale
10/12/2020	100.00	109.98	Various	126.53	16.55 D	0.00	Sale
10/12/2020	100.00	109.98	Various	126.15	16.17 D	0.00	Sale
10/12/2020	100.00	109.98	Various	126.15	16.17 D	0.00	Sale
10/12/2020	100.00	109.98	Various	126.20	16.22 D	0.00	Sale
10/12/2020	100.00	109.98	Various	126.17	16.19 D	0.00	Sale
10/12/2020	100.00	109.98	Various	126.15	16.17 D	0.00	Sale
10/12/2020	100.00	109.98	Various	126.18	16.20 D	0.00	Sale
10/12/2020	100.00	109.98	Various	126.14	16.16 D	0.00	Sale
10/12/2020	100.00	109.98	Various	129.38	19.40 D	0.00	Sale
10/12/2020	118.00	129.78	Various	153.42	23.64 D	0.00	Sale
10/12/2020	300.00	329.95	Various	395.01	65.06 D	0.00	Sale
10/12/2020	500.00	549.92	Various	659.91	109.99 D	0.00	Sale
10/12/2020	2,000.00	2,202.51	Various	2,461.61	259.10 D	0.00	Sale
10/13/2020	1,000.00	1,279.85	10/08/2020	1,239.46	0.00	40.39	Buy to Cover Short
10/13/2020	1,000.00	1,379.84	10/08/2020	1,489.30	109.46 D	0.00	Buy to Cover Short
10/13/2020	1,000.00	1,279.84	Various	1,299.28	19.44 D	0.00	Buy to Cover Short
10/13/2020	2,000.00	2,719.68	Various	3,039.40	319.72 D	0.00	Buy to Cover Short
10/13/2020	500.00	689.92	Various	744.57	54.65 D	0.00	Buy to Cover Short
10/13/2020	500.00	689.92	Various	744.55	54.63 D	0.00	Buy to Cover Short
10/13/2020	2,000.00	2,619.70	10/08/2020	2,859.10	239.4 D	0.00	Buy to Cover Short
10/13/2020	2,000.00	2,539.70	10/08/2020	2,679.40	139.7 D	0.00	Buy to Cover Short
10/13/2020	2,000.00	2,479.70	10/08/2020	2,499.80	20.1 D	0.00	Buy to Cover Short
10/13/2020	2,000.00	2,699.70	Various	3,118.32	418.62 D	0.00	Buy to Cover Short
10/13/2020	2,000.00	2,440.70	10/08/2020	2,540.10	99.4 D	0.00	Buy to Cover Short

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**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)

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

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

1c - DateSold 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
CAMBER ENERGY INC COMMON STOCK   CUSIP: 13200M508   Symbol: CEI							
10/13/2020	1,000.00	1,149.85	Various	1,324.57	174.72 D	0.00	Sale
10/13/2020	1,000.00	1,209.85	Various	1,384.82	174.97 D	0.00	Sale
10/13/2020	1,000.00	1,219.85	Various	1,334.72	114.87 D	0.00	Sale
10/13/2020	1,000.00	1,239.85	Various	1,394.97	0.00	-155.12	Sale
10/13/2020	40.00	48.38	Various	52.11	3.73 D	0.00	Sale
10/13/2020	54.00	65.32	Various	70.28	4.96 D	0.00	Sale
10/13/2020	200.00	241.97	Various	260.21	18.24 D	0.00	Sale
10/13/2020	106.00	128.24	Various	136.96	8.72 D	0.00	Sale
10/13/2020	200.00	241.97	Various	258.43	16.46 D	0.00	Sale
10/13/2020	400.00	483.93	Various	516.88	32.95 D	0.00	Sale
10/13/2020	1,000.00	1,149.95	Various	1,374.77	224.82 D	0.00	Sale
10/13/2020	2,000.00	2,220.31	Various	2,640.05	419.74 D	0.00	Sale
10/13/2020	1,000.00	1,239.85	Various	1,305.06	0.00	-65.21	Sale
12/24/2020	1,000.00	1,189.85	Various	1,285.05	95.20 D	0.00	Sale
12/24/2020	2,000.00	2,439.70	Various	2,534.80	95.10 D	0.00	Sale
12/29/2020	1,000.00	1,049.85	Various	1,235.20	0.00	-185.35	Sale
12/29/2020	1,000.00	1,059.85	Various	1,190.05	0.00	-130.20	Sale
<b>Security Totals:</b>		<b>79,857.54</b>		<b>86,734.87</b>		<b>-418.06</b>	
***AURORA CANNABIS INC COM   CUSIP: 05156X108   Symbol: ACB							
03/27/2020	5,000.00	5,399.78	Various	5,539.50	0.00	-139.72	Sale
03/27/2020	3,000.00	3,119.57	Various	3,060.00	0.00	59.57	Sale
03/31/2020	100.00	104.99	03/27/2020	107.00	2.01 D	0.00	Buy to Cover Short
03/31/2020	100.00	104.99	03/27/2020	107.00	2.01 D	0.00	Buy to Cover Short
03/31/2020	454.00	476.63	03/27/2020	485.78	9.15 D	0.00	Buy to Cover Short
03/31/2020	200.00	209.97	03/27/2020	213.00	3.03 D	0.00	Buy to Cover Short
03/31/2020	500.00	524.93	03/27/2020	535.00	10.07 D	0.00	Buy to Cover Short
03/31/2020	500.00	524.92	03/27/2020	532.50	7.58 D	0.00	Buy to Cover Short
03/31/2020	500.00	524.94	Various	539.62	14.68 D	0.00	Buy to Cover Short

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APEX CLEARING

## Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B\*

OMB No. 1545-0715

2TZ05705

(continued)

01/24/2021

**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
<b>***AURORA CANNABIS INC</b> COM   CUSIP: 05156X108   Symbol: ACB							
03/31/2020	800.00	839.88	Various	867.12	27.24 D	0.00	Buy to Cover Short
03/31/2020	646.00	678.21	Various	702.01	23.80 D	0.00	Buy to Cover Short
03/31/2020	1,200.00	1,259.82	Various	1,287.03	27.21 D	0.00	Buy to Cover Short
03/31/2020	251.00	273.59	Various	284.91	11.32 D	0.00	Buy to Cover Short
03/31/2020	4,526.00	4,570.61	Various	4,661.78	9.55 D	-81.62	Buy to Cover Short
03/31/2020	474.00	478.67	03/27/2020	497.77	0.00	-19.10	Buy to Cover Short
03/31/2020	4,749.00	5,176.18	Various	5,304.36	128.18 D	0.00	Buy to Cover Short
<b>Security Totals:</b>		<b>24,267.68</b>		<b>24,724.38</b>		<b>-180.87</b>	
<b>***GSX TECHEDU INC</b> AMERICAN DEPOSITARY SHS THREE OF WHICH RPRSNTNG TWO CL A ORD   CUSIP: 36257Y109   Symbol: GSX							
05/20/2020	150.00	5,027.87	05/18/2020	4,789.50	0.00	238.37	Buy to Cover Short
05/20/2020	150.00	5,026.86	Various	4,830.00	0.00	196.86	Buy to Cover Short
05/20/2020	200.00	6,699.81	Various	6,482.00	0.00	217.81	Buy to Cover Short
<b>Security Totals:</b>		<b>16,754.54</b>		<b>16,101.50</b>		<b>653.04</b>	
<b>***TARENA INTERNATIONAL INC</b> ADR   CUSIP: 876108101   Symbol: TEDU							
01/07/2020	3,000.00	7,379.41	Various	7,764.36	0.00	-384.95	Buy to Cover Short
01/07/2020	3,000.00	7,474.44	Various	7,950.00	475.56 D	0.00	Buy to Cover Short
<b>Security Totals:</b>		<b>14,853.85</b>		<b>15,714.36</b>		<b>-384.95</b>	
<b>PINTEREST INC</b> CLASS A COMMON STOCK   CUSIP: 72352L106   Symbol: PINS							
05/19/2020	500.00	9,599.77	05/19/2020	9,525.00	0.00	74.77	Sale
05/19/2020	600.00	11,525.67	Various	11,560.00	0.00	-34.33	Sale
<b>Security Totals:</b>		<b>21,125.44</b>		<b>21,085.00</b>		<b>40.44</b>	
<b>***KITOV PHARMA LTD</b> AMERICAN DEPOSITARY SHARES   CUSIP: 49803V107   Symbol: KTOV							
06/23/2020	945.00	1,105.51	06/23/2020	1,124.46	18.95 D	0.00	Sale
06/23/2020	4,055.00	4,743.76	06/23/2020	4,825.04	81.28 D	0.00	Sale
06/23/2020	5,000.00	5,749.27	Various	5,975.46	226.19 D	0.00	Sale
06/23/2020	5,000.00	5,599.27	Various	5,951.19	351.92 D	0.00	Sale
06/23/2020	5,000.00	5,449.27	Various	5,746.43	0.00	-297.16	Sale
06/23/2020	463.00	518.57	Various	551.17	32.60 D	0.00	Sale

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**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
***KITOV PHARMA LTD AMERICAN DEPOSITARY SHARES   CUSIP: 49803V107   Symbol: KTOV							
06/23/2020	545.00	610.37	06/23/2020	648.78	38.41 D	0.00	Sale
06/23/2020	992.00	1,115.85	Various	1,180.92	65.07 D	0.00	Sale
06/23/2020	5,000.00	5,649.77	Various	6,001.92	352.15 D	0.00	Sale
06/23/2020	3,000.00	3,360.16	Various	3,571.28	211.12 D	0.00	Sale
06/23/2020	5,000.00	5,600.27	Various	5,897.20	296.93 D	0.00	Sale
06/23/2020	5,000.00	5,724.27	Various	5,949.73	225.46 D	0.00	Sale
07/29/2020	5,000.00	4,189.30	Various	4,175.00	0.00	14.30	Sale
07/29/2020	100.00	83.78	07/29/2020	84.20	0.00	-0.42	Sale
07/29/2020	100.00	83.78	07/29/2020	84.20	0.00	-0.42	Sale
07/29/2020	100.00	83.78	07/29/2020	84.20	0.00	-0.42	Sale
07/29/2020	270.00	226.22	07/29/2020	227.34	0.00	-1.12	Sale
07/29/2020	300.00	251.35	07/29/2020	252.60	0.00	-1.25	Sale
07/29/2020	150.00	125.67	07/29/2020	126.30	0.00	-0.63	Sale
07/29/2020	300.00	251.35	07/29/2020	252.60	0.00	-1.25	Sale
07/29/2020	500.00	418.93	07/29/2020	421.00	0.00	-2.07	Sale
07/29/2020	680.00	569.74	07/29/2020	572.56	0.00	-2.82	Sale
07/29/2020	1,300.00	1,089.22	07/29/2020	1,094.60	0.00	-5.38	Sale
07/29/2020	1,200.00	1,005.43	07/29/2020	1,010.40	0.00	-4.97	Sale
<b>Security Totals:</b>		<b>53,604.89</b>		<b>55,808.58</b>		<b>-303.61</b>	
PENN NATIONAL GAMING INC   CUSIP: 707569109   Symbol: PENN							
05/27/2020	500.00	14,749.61	05/22/2020	14,780.00	30.39 D	0.00	Buy to Cover Short
05/27/2020	1.00	31.13	05/27/2020	32.21	0.00	-1.08	Sale
05/27/2020	98.00	3,052.62	Various	3,156.91	0.00	-104.29	Sale
05/27/2020	100.00	3,114.92	Various	3,222.12	0.00	-107.20	Sale
05/27/2020	801.00	24,950.49	Various	25,341.06	0.00	-390.57	Sale
05/29/2020	500.00	14,934.60	Various	15,295.14	360.54 D	0.00	Buy to Cover Short
05/29/2020	40.00	1,232.37	Various	1,266.07	33.7 D	0.00	Buy to Cover Short
05/29/2020	100.00	2,905.91	Various	2,941.05	35.14 D	0.00	Buy to Cover Short

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APEX CLEARING

## Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B\*

OMB No. 1545-0715

2TZ05705

(continued)

01/24/2021

**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
PENN NATIONAL GAMING INC   CUSIP: 707569109   Symbol: PENN							
05/29/2020	100.00	2,905.92	Various	2,941.05	35.13 D	0.00	Buy to Cover Short
05/29/2020	100.00	2,905.92	Various	2,941.05	35.13 D	0.00	Buy to Cover Short
05/29/2020	100.00	2,905.93	05/27/2020	2,941.05	35.12 D	0.00	Buy to Cover Short
05/29/2020	100.00	2,905.92	05/27/2020	2,941.04	35.12 D	0.00	Buy to Cover Short
05/29/2020	100.00	3,062.92	Various	3,148.12	85.20 D	0.00	Buy to Cover Short
05/29/2020	100.00	3,062.92	Various	3,148.11	85.19 D	0.00	Buy to Cover Short
05/29/2020	200.00	6,127.83	Various	6,296.21	168.38 D	0.00	Buy to Cover Short
05/29/2020	100.00	3,063.92	05/27/2020	3,148.10	84.18 D	0.00	Buy to Cover Short
05/29/2020	1,000.00	30,839.17	Various	31,451.97	612.80 D	0.00	Buy to Cover Short
05/29/2020	460.00	14,172.23	Various	14,560.50	388.27 D	0.00	Buy to Cover Short
<b>Security Totals:</b>		<b>136,924.33</b>		<b>139,551.76</b>		<b>-603.14</b>	
FASTLY INC CLASS A COMMON STOCK   CUSIP: 31188V100   Symbol: FSLY							
12/04/2020	100.00	8,911.79	Various	8,933.77	21.98 D	0.00	Sale
12/04/2020	150.00	13,268.68	Various	13,303.63	34.95 D	0.00	Sale
12/04/2020	100.00	8,911.80	Various	8,932.06	10.28 D	-9.98	Sale
12/04/2020	100.00	8,910.79	Various	8,931.38	0.00	-20.59	Sale
<b>Security Totals:</b>		<b>40,003.06</b>		<b>40,100.84</b>		<b>-30.57</b>	
LENDINGCLUB CORPORATION COMMON STOCK   CUSIP: 52603A208   Symbol: LC							
12/31/2020	300.00	3,140.89	Various	3,168.00	0.00	-27.11	Sale
CARS.COM INC COMMON STOCK   CUSIP: 14575E105   Symbol: CARS							
05/06/2020	1,000.00	6,964.72	05/06/2020	6,990.00	0.00	-25.28	Sale
SENMIAO TECHNOLOGY LIMITED COMMON STOCK   CUSIP: 817225105   Symbol: AIHS							
10/19/2020	2.00	2.66	10/19/2020	2.22	0.00	0.44	Sale
10/19/2020	10.00	12.48	10/19/2020	11.10	0.00	1.38	Sale
10/19/2020	150.00	187.47	10/19/2020	166.50	0.00	20.97	Sale
10/19/2020	198.00	265.29	10/19/2020	219.78	0.00	45.51	Sale
10/19/2020	500.00	724.92	10/19/2020	635.00	0.00	89.92	Sale
10/19/2020	500.00	724.92	Various	635.00	0.00	89.92	Sale

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APEX CLEARING

Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B\*

OMB No. 1545-0715

2TZ05705

(continued)

01/24/2021

**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

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**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
SENMAIO TECHNOLOGY LIMITED COMMON STOCK   CUSIP: 817225105   Symbol: AIHS							
10/19/2020	800.00	1,072.67	10/19/2020	888.00	0.00	184.67	Sale
10/19/2020	840.00	1,049.87	Various	932.40	0.00	117.47	Sale
10/19/2020	1,000.00	1,389.84	10/19/2020	1,140.00	0.00	249.84	Sale
10/20/2020	5.00	6.88	10/20/2020	6.95	0.07 D	0.00	Sale
10/20/2020	500.00	694.92	Various	645.09	0.00	49.83	Sale
10/20/2020	500.00	694.92	Various	645.08	0.00	49.84	Sale
10/20/2020	500.00	659.92	10/20/2020	640.00	0.00	19.92	Sale
10/20/2020	500.00	639.92	10/20/2020	640.00	0.00	-0.08	Sale
10/20/2020	500.00	659.92	10/20/2020	640.00	0.00	19.92	Sale
10/20/2020	1,000.00	1,399.84	Various	1,290.16	0.00	109.68	Sale
10/20/2020	500.00	639.92	10/20/2020	640.00	0.00	-0.08	Sale
10/20/2020	1,995.00	2,752.79	10/20/2020	2,773.05	20.26 D	0.00	Sale
10/22/2020	50.00	90.49	10/20/2020	89.50	0.00	0.99	Buy to Cover Short
10/22/2020	450.00	814.43	Various	810.00	0.00	4.43	Buy to Cover Short
10/22/2020	500.00	904.92	10/20/2020	895.00	0.00	9.92	Buy to Cover Short
10/22/2020	1,000.00	1,769.84	10/20/2020	1,800.00	30.16 D	0.00	Buy to Cover Short
10/22/2020	1,000.00	1,949.81	Various	1,820.16	0.00	129.65	Buy to Cover Short
<b>Security Totals:</b>		<b>19,108.64</b>		<b>17,964.99</b>		<b>1,194.14</b>	
GEE GROUP INC COM   CUSIP: 36165A102   Symbol: JOB							
07/02/2020	100.00	219.98	07/02/2020	219.00	0.00	0.98	Sale
07/02/2020	800.00	1,759.86	07/02/2020	1,752.00	0.00	7.86	Sale
07/02/2020	100.00	219.98	07/02/2020	219.00	0.00	0.98	Sale
<b>Security Totals:</b>		<b>2,199.82</b>		<b>2,190.00</b>		<b>9.82</b>	
SOLIGENIX INC COMMON STOCK   CUSIP: 834223307   Symbol: SNGX							
01/28/2020	10.00	30.60	01/24/2020	30.00	0.00	0.60	Buy to Cover Short
01/28/2020	10.00	30.60	01/24/2020	29.10	0.00	1.50	Buy to Cover Short
01/28/2020	10.00	30.60	01/24/2020	29.10	0.00	1.50	Buy to Cover Short
01/28/2020	490.00	1,499.31	01/24/2020	1,425.90	0.00	73.41	Buy to Cover Short

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APEX CLEARING

## Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B\*

OMB No. 1545-0715

2TZ05705

(continued)

01/24/2021

**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>SOLIGENIX INC</b> COMMON STOCK   CUSIP: 834223307   Symbol: SNGX							
01/28/2020	490.00	1,499.31	01/24/2020	1,425.90	0.00	73.41	Buy to Cover Short
01/28/2020	500.00	1,529.90	01/24/2020	1,455.00	0.00	74.90	Buy to Cover Short
01/28/2020	490.00	1,499.31	01/24/2020	1,425.90	0.00	73.41	Buy to Cover Short
01/28/2020	500.00	1,529.91	01/24/2020	1,497.20	0.00	32.71	Buy to Cover Short
01/28/2020	500.00	1,529.90	01/24/2020	1,455.00	0.00	74.90	Buy to Cover Short
<b>Security Totals:</b>		<b>9,179.44</b>		<b>8,773.10</b>		<b>406.34</b>	
<b>***MICRO FOCUS INTERNATIONAL PLC AMERICAN DEPOSITARY SHARES EACH RPRSTNG 1 ORDINARY SHARE   CUSIP: 594837403   Symbol: MFGP</b>							
12/03/2020	5.00	29.13	Various	31.52	2.39 D	0.00	Sale
12/03/2020	45.00	261.88	12/03/2020	283.73	21.85 D	0.00	Sale
12/03/2020	50.00	290.98	12/03/2020	315.25	24.27 D	0.00	Sale
12/03/2020	100.00	581.97	12/03/2020	630.50	48.53 D	0.00	Sale
12/03/2020	100.00	581.97	Various	618.99	37.02 D	0.00	Sale
12/03/2020	200.00	1,165.95	12/03/2020	1,214.96	49.01 D	0.00	Sale
12/03/2020	250.00	1,484.93	Various	1,542.50	57.57 D	0.00	Sale
12/03/2020	500.00	2,915.22	Various	3,152.22	0.00	-237.00	Sale
12/03/2020	500.00	2,939.97	Various	3,067.57	127.60 D	0.00	Sale
<b>Security Totals:</b>		<b>10,252.00</b>		<b>10,857.24</b>		<b>-237.00</b>	
<b>XPRESSPA GROUP INC</b> COMMON STOCK   CUSIP: 98420U703   Symbol: XSPA							
07/23/2020	1,000.00	3,659.79	Various	3,730.00	70.21 D	0.00	Sale
07/24/2020	100.00	348.98	07/24/2020	359.02	10.04 D	0.00	Sale
07/24/2020	400.00	1,395.91	07/24/2020	1,436.08	40.17 D	0.00	Sale
07/24/2020	1,500.00	5,234.70	Various	5,315.11	80.41 D	0.00	Sale
07/29/2020	2,000.00	7,360.39	Various	7,490.02	0.00	-129.63	Sale
<b>Security Totals:</b>		<b>17,999.77</b>		<b>18,330.23</b>		<b>-129.63</b>	
<b>INTERPRIVATE ACQUISITION CORP</b> COMMON STOCK   CUSIP: 46064A103   Symbol: IPV							
12/10/2020	500.00	7,474.87	Various	7,434.10	0.00	40.77	Buy to Cover Short
<b>GREENPRO CAPITAL CORP</b> COMMON STOCK   CUSIP: 39540F101   Symbol: GRNQ							
05/27/2020	84.00	170.50	Various	235.29	64.79 D	0.00	Sale

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APEX CLEARING

Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B\*

OMB No. 1545-0715

2TZ05705

(continued)

01/24/2021

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

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GREENPRO CAPITAL CORP COMMON STOCK   CUSIP: 39540F101   Symbol: GRNQ							
05/27/2020	100.00	202.98	Various	247.29	44.31 D	0.00	Sale
05/27/2020	100.00	202.98	Various	241.03	38.05 D	0.00	Sale
05/27/2020	100.00	202.98	05/27/2020	241.04	38.06 D	0.00	Sale
05/27/2020	100.00	202.98	Various	241.03	38.05 D	0.00	Sale
05/27/2020	200.00	405.97	Various	436.25	31.13 D	0.85	Sale
05/27/2020	200.00	405.97	05/27/2020	403.96	0.00	2.01	Sale
05/27/2020	300.00	608.94	05/27/2020	605.94	0.00	3.00	Sale
05/27/2020	300.00	608.94	05/27/2020	605.94	0.00	3.00	Sale
05/27/2020	516.00	1,042.23	05/27/2020	1,042.21	0.00	0.02	Sale
05/27/2020	21.00	41.56	05/27/2020	44.31	2.75 D	0.00	Sale
05/27/2020	100.00	201.98	Various	281.13	79.15 D	0.00	Sale
05/27/2020	100.00	197.98	Various	213.75	15.77 D	0.00	Sale
05/27/2020	100.00	201.98	Various	242.06	40.08 D	0.00	Sale
05/27/2020	100.00	197.98	Various	226.77	28.79 D	0.00	Sale
05/27/2020	100.00	201.98	Various	242.05	40.07 D	0.00	Sale
05/27/2020	100.00	201.98	Various	242.06	40.08 D	0.00	Sale
05/27/2020	100.00	199.98	Various	265.08	65.10 D	0.00	Sale
05/27/2020	100.00	201.98	Various	242.05	40.07 D	0.00	Sale
05/27/2020	100.00	199.98	Various	265.10	65.12 D	0.00	Sale
05/27/2020	100.00	201.98	05/27/2020	229.04	27.06 D	0.00	Sale
05/27/2020	100.00	199.98	Various	264.09	64.11 D	0.00	Sale
05/27/2020	100.00	199.98	05/27/2020	251.08	51.1 D	0.00	Sale
05/27/2020	100.00	197.98	Various	239.79	41.81 D	0.00	Sale
05/27/2020	100.00	199.98	Various	305.17	105.19 D	0.00	Sale
05/27/2020	100.00	199.98	Various	266.12	66.14 D	0.00	Sale
05/27/2020	100.00	200.98	05/27/2020	224.02	23.04 D	0.00	Sale
05/27/2020	100.00	199.98	05/27/2020	224.02	24.04 D	0.00	Sale

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APEX CLEARING

Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B\*

OMB No. 1545-0715

2TZ05705

(continued)

01/24/2021

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
GREENPRO CAPITAL CORP COMMON STOCK   CUSIP: 39540F101   Symbol: GRNQ							
05/27/2020	200.00	403.97	Various	527.23	123.26 D	0.00	Sale
05/27/2020	138.00	273.21	Various	322.05	48.84 D	0.00	Sale
05/27/2020	200.00	401.97	Various	488.15	86.18 D	0.00	Sale
05/27/2020	279.00	552.37	05/27/2020	588.69	36.32 D	0.00	Sale
05/27/2020	200.00	399.97	05/27/2020	448.04	48.07 D	0.00	Sale
05/27/2020	283.00	560.29	Various	664.98	104.69 D	0.00	Sale
05/27/2020	300.00	599.94	Various	735.13	135.19 D	0.00	Sale
05/27/2020	300.00	599.94	Various	846.33	246.39 D	0.00	Sale
05/27/2020	379.00	750.35	Various	836.01	85.66 D	0.00	Sale
05/27/2020	400.00	803.93	Various	1,106.41	302.48 D	0.00	Sale
05/27/2020	500.00	1,009.91	Various	1,210.39	200.48 D	0.00	Sale
05/27/2020	500.00	1,009.91	05/27/2020	1,020.00	10.09 D	0.00	Sale
05/27/2020	2,000.00	3,979.67	Various	4,912.13	0.00	-932.46	Sale
05/27/2020	600.00	1,187.90	Various	1,448.28	260.38 D	0.00	Sale
08/18/2020	100.00	294.98	08/18/2020	307.00	12.02 D	0.00	Sale
08/18/2020	25.00	73.73	08/18/2020	79.76	6.03 D	0.00	Sale
08/18/2020	875.00	2,581.09	Various	2,701.29	0.00	-120.20	Sale
<b>Security Totals:</b>		<b>22,985.82</b>		<b>26,809.54</b>		<b>-1,043.78</b>	
MODERNA INC COMMON STOCK   CUSIP: 60770K107   Symbol: MRNA							
05/11/2020	500.00	26,409.35	05/07/2020	26,555.00	145.65 D	0.00	Buy to Cover Short
05/18/2020	1.00	82.63	05/18/2020	83.14	0.51 D	0.00	Sale
05/18/2020	99.00	8,182.15	05/18/2020	8,230.99	48.84 D	0.00	Sale
05/18/2020	4.00	332.36	05/18/2020	338.84	6.48 D	0.00	Sale
05/18/2020	100.00	8,214.80	Various	8,342.32	127.52 D	0.00	Sale
05/18/2020	16.00	1,332.92	05/18/2020	1,355.38	22.46 D	0.00	Sale
05/18/2020	100.00	8,032.81	05/18/2020	7,808.93	0.00	223.88	Sale
05/18/2020	100.00	8,139.81	Various	8,217.13	77.32 D	0.00	Sale
05/18/2020	80.00	6,664.64	Various	6,776.91	112.27 D	0.00	Sale

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**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

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**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							
05/18/2020	100.00	8,339.80	05/18/2020	8,405.13	65.33 D	0.00	Sale
05/20/2020	50.00	3,899.91	Various	4,063.43	163.52 D	0.00	Buy to Cover Short
05/20/2020	50.00	3,842.51	Various	3,928.00	85.49 D	0.00	Buy to Cover Short
05/20/2020	50.00	3,899.90	Various	4,104.72	204.82 D	0.00	Buy to Cover Short
05/20/2020	100.00	7,812.61	Various	8,180.76	368.15 D	0.00	Buy to Cover Short
05/20/2020	50.00	3,842.41	Various	3,948.94	106.53 D	0.00	Buy to Cover Short
05/20/2020	100.00	7,685.82	Various	8,027.58	341.76 D	0.00	Buy to Cover Short
05/22/2020	100.00	6,986.83	Various	7,437.42	450.59 D	0.00	Buy to Cover Short
05/22/2020	100.00	7,060.30	Various	7,480.72	420.42 D	0.00	Buy to Cover Short
06/11/2020	100.00	6,336.84	Various	6,828.59	0.00	-491.75	Sale
06/11/2020	100.00	6,336.84	Various	6,519.21	0.00	-182.37	Sale
06/11/2020	100.00	6,336.84	06/11/2020	6,443.33	0.00	-106.49	Sale
06/11/2020	100.00	6,336.84	Various	6,427.35	0.00	-90.51	Sale
06/11/2020	100.00	6,336.84	Various	6,505.52	0.00	-168.68	Sale
12/01/2020	2.00	279.98	12/01/2020	387.93	107.95 D	0.00	Sale
12/01/2020	10.00	1,721.95	12/01/2020	1,757.45	35.5 D	0.00	Sale
12/01/2020	10.00	1,721.95	12/01/2020	1,738.40	16.45 D	0.00	Sale
12/01/2020	10.00	1,721.95	12/01/2020	1,778.20	56.25 D	0.00	Sale
12/01/2020	10.00	1,721.95	12/01/2020	1,800.84	78.89 D	0.00	Sale
12/01/2020	10.00	1,721.95	12/01/2020	1,826.79	104.84 D	0.00	Sale
12/01/2020	10.00	1,357.85	12/01/2020	1,802.37	444.52 D	0.00	Sale
12/01/2020	10.00	1,371.15	12/01/2020	1,551.28	180.13 D	0.00	Sale
12/01/2020	10.00	1,371.15	12/01/2020	1,589.71	218.56 D	0.00	Sale
12/01/2020	10.00	1,357.85	12/01/2020	1,831.62	473.77 D	0.00	Sale
12/01/2020	10.00	1,374.75	12/01/2020	1,516.23	141.48 D	0.00	Sale
12/01/2020	10.00	1,358.63	12/01/2020	1,755.80	397.17 D	0.00	Sale
12/01/2020	10.00	1,357.85	12/01/2020	1,869.76	511.91 D	0.00	Sale

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**SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS**

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

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MODERNA INC COMMON STOCK   CUSIP: 60770K107   Symbol: MRNA							
12/01/2020	10.00	1,357.80	12/01/2020	1,906.55	548.75 D	0.00	Sale
12/01/2020	10.00	1,376.09	12/01/2020	1,697.38	321.29 D	0.00	Sale
12/01/2020	10.00	1,409.95	Various	1,962.49	0.00	-552.54	Sale
12/01/2020	10.00	1,386.55	12/01/2020	1,689.57	303.02 D	0.00	Sale
12/01/2020	10.00	1,370.07	12/01/2020	1,628.36	258.29 D	0.00	Sale
12/01/2020	11.00	1,550.95	Various	1,586.15	0.00	-35.20	Sale
12/01/2020	18.00	2,519.93	Various	2,972.68	452.75 D	0.00	Sale
12/01/2020	20.00	2,804.54	Various	3,308.66	518.73 D	14.61	Sale
12/01/2020	20.00	2,803.52	Various	3,340.73	537.21 D	0.00	Sale
12/01/2020	20.00	2,802.72	Various	3,368.50	565.78 D	0.00	Sale
12/01/2020	39.00	5,498.86	Various	5,547.86	0.00	-49.00	Sale
12/01/2020	40.00	5,603.06	Various	6,173.56	570.50 D	0.00	Sale
12/01/2020	10.00	1,370.22	12/01/2020	1,667.29	297.07 D	0.00	Sale
12/01/2020	10.00	1,376.19	12/01/2020	1,726.79	350.6 D	0.00	Sale
12/01/2020	20.00	2,807.22	Various	3,325.15	533.34 D	15.41	Sale
<b>Security Totals:</b>		<b>206,922.39</b>		<b>219,117.44</b>		<b>-1,422.64</b>	
INSEEGO CORP COMMON STOCK   CUSIP: 45782B104   Symbol: INSG							
04/16/2020	1,000.00	11,355.62	Various	11,342.20	15.79 D	29.21	Buy to Cover Short
04/17/2020	5.00	58.95	04/15/2020	61.31	2.36 D	0.00	Buy to Cover Short
04/17/2020	9.00	108.18	Various	111.26	3.08 D	0.00	Buy to Cover Short
04/17/2020	10.00	120.19	04/15/2020	123.62	3.43 D	0.00	Buy to Cover Short
04/17/2020	18.00	212.21	04/15/2020	220.71	8.5 D	0.00	Buy to Cover Short
04/17/2020	11.00	132.22	Various	136.06	3.84 D	0.00	Buy to Cover Short
04/17/2020	29.00	348.57	Various	358.79	10.22 D	0.00	Buy to Cover Short
04/17/2020	35.00	412.64	04/15/2020	429.52	16.88 D	0.00	Buy to Cover Short
04/17/2020	81.00	954.96	04/15/2020	994.03	39.07 D	0.00	Buy to Cover Short
04/17/2020	84.00	990.33	04/15/2020	1,030.84	40.51 D	0.00	Buy to Cover Short
04/17/2020	100.00	1,178.96	04/15/2020	1,227.19	48.23 D	0.00	Buy to Cover Short

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INSEEGO CORP COMMON STOCK   CUSIP: 45782B104   Symbol: INSG							
04/17/2020	100.00	1,178.96	04/15/2020	1,227.20	48.24 D	0.00	Buy to Cover Short
04/17/2020	114.00	1,344.02	Various	1,396.69	52.67 D	0.00	Buy to Cover Short
04/17/2020	200.00	2,357.92	04/15/2020	2,446.08	88.16 D	0.00	Buy to Cover Short
04/17/2020	200.00	2,403.93	Various	2,474.46	70.53 D	0.00	Buy to Cover Short
04/17/2020	200.00	2,403.92	Various	2,474.11	70.19 D	0.00	Buy to Cover Short
04/17/2020	541.00	6,502.60	Various	6,677.33	174.73 D	0.00	Buy to Cover Short
04/17/2020	263.00	3,100.66	04/15/2020	3,221.67	121.01 D	0.00	Buy to Cover Short
04/17/2020	1,000.00	10,899.63	Various	11,135.79	236.16 D	0.00	Buy to Cover Short
04/21/2020	1.00	12.45	04/17/2020	11.73	0.00	0.72	Buy to Cover Short
04/21/2020	76.00	886.16	Various	902.91	16.75 D	0.00	Buy to Cover Short
04/21/2020	100.00	1,165.96	Various	1,188.04	22.08 D	0.00	Buy to Cover Short
04/21/2020	100.00	1,165.96	04/17/2020	1,188.04	22.08 D	0.00	Buy to Cover Short
04/21/2020	100.00	1,165.96	Various	1,204.03	38.07 D	0.00	Buy to Cover Short
04/21/2020	200.00	2,489.92	Various	2,424.81	0.00	65.11	Buy to Cover Short
04/21/2020	250.00	3,112.40	Various	2,979.91	0.00	132.49	Buy to Cover Short
04/21/2020	249.00	3,099.92	Various	2,908.17	0.00	191.75	Buy to Cover Short
04/21/2020	300.00	3,734.87	Various	3,640.81	0.00	94.06	Buy to Cover Short
04/21/2020	624.00	7,275.61	Various	7,274.83	10.96 D	11.74	Buy to Cover Short
04/21/2020	100.00	1,147.96	04/17/2020	1,169.00	21.04 D	0.00	Buy to Cover Short
04/21/2020	400.00	4,591.84	Various	4,713.04	121.20 D	0.00	Buy to Cover Short
04/21/2020	1,000.00	12,505.59	Various	13,053.52	547.93 D	0.00	Buy to Cover Short
04/28/2020	1,000.00	12,429.59	Various	12,398.13	53.14 D	84.60	Buy to Cover Short
04/29/2020	2.00	27.80	04/27/2020	28.24	0.44 D	0.00	Buy to Cover Short
04/29/2020	53.00	739.31	Various	758.99	19.68 D	0.00	Buy to Cover Short
04/29/2020	100.00	1,389.96	Various	1,411.99	22.03 D	0.00	Buy to Cover Short
04/29/2020	100.00	1,389.96	Various	1,411.97	22.01 D	0.00	Buy to Cover Short
04/29/2020	100.00	1,394.95	Various	1,416.43	21.48 D	0.00	Buy to Cover Short

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INSEEGO CORP COMMON STOCK   CUSIP: 45782B104   Symbol: INSG							
04/29/2020	100.00	1,389.95	Various	1,412.83	22.88 D	0.00	Buy to Cover Short
04/29/2020	100.00	1,395.47	Various	1,412.89	17.42 D	0.00	Buy to Cover Short
04/29/2020	100.00	1,395.44	Various	1,421.96	26.52 D	0.00	Buy to Cover Short
04/29/2020	100.00	1,394.94	Various	1,421.97	27.03 D	0.00	Buy to Cover Short
04/29/2020	107.00	1,492.60	Various	1,509.66	17.06 D	0.00	Buy to Cover Short
04/29/2020	140.00	1,952.94	04/27/2020	1,961.32	8.38 D	0.00	Buy to Cover Short
04/29/2020	300.00	4,187.86	Various	4,234.58	46.72 D	0.00	Buy to Cover Short
04/29/2020	698.00	9,717.38	Various	9,902.45	185.07 D	0.00	Buy to Cover Short
04/30/2020	800.00	11,599.65	Various	11,712.96	113.31 D	0.00	Buy to Cover Short
04/30/2020	200.00	2,899.90	Various	2,923.06	25.11 D	1.95	Buy to Cover Short
05/01/2020	6.00	68.86	05/01/2020	70.86	2 D	0.00	Sale
05/01/2020	494.00	5,670.93	Various	5,779.61	108.68 D	0.00	Sale
05/04/2020	3.00	34.51	05/04/2020	35.23	0.72 D	0.00	Sale
05/04/2020	97.00	1,116.43	Various	1,113.17	0.47 D	3.73	Sale
05/04/2020	100.00	1,150.96	05/04/2020	1,141.05	0.00	9.91	Sale
05/04/2020	100.00	1,150.96	Various	1,166.11	15.15 D	0.00	Sale
05/04/2020	100.00	1,150.96	Various	1,175.14	24.18 D	0.00	Sale
05/04/2020	600.00	6,899.77	Various	6,961.39	0.00	-61.62	Sale
07/28/2020	1,000.00	12,294.60	Various	12,229.50	0.00	65.10	Sale
<b>Security Totals:</b>		<b>172,754.75</b>		<b>174,759.19</b>		<b>628.75</b>	
LM FUNDING AMERICA INC COMMON STOCK   CUSIP: 502074305   Symbol: LMFA							
06/19/2020	25.00	65.73	06/19/2020	63.75	0.00	1.98	Sale
06/19/2020	50.00	136.98	06/19/2020	131.00	0.00	5.98	Sale
06/19/2020	50.00	136.98	06/19/2020	131.00	0.00	5.98	Sale
06/19/2020	90.00	246.58	06/19/2020	232.20	0.00	14.38	Sale
06/19/2020	100.00	274.08	06/19/2020	262.00	0.00	12.08	Sale
06/19/2020	100.00	276.08	06/19/2020	262.00	0.00	14.08	Sale
06/19/2020	100.00	273.98	06/19/2020	262.00	0.00	11.98	Sale

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APEX CLEARING

## Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B\*

OMB No. 1545-0715

2TZ05705

(continued)

01/24/2021

**SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS**

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LM FUNDING AMERICA INC COMMON STOCK   CUSIP: 502074305   Symbol: LMFA							
06/19/2020	160.00	438.37	06/19/2020	412.80	0.00	25.57	Sale
06/19/2020	225.00	591.70	06/19/2020	573.75	0.00	17.95	Sale
06/19/2020	250.00	712.45	06/19/2020	650.00	0.00	62.45	Sale
06/19/2020	250.00	724.95	06/19/2020	655.00	0.00	69.95	Sale
06/19/2020	250.00	644.95	06/19/2020	637.50	0.00	7.45	Sale
06/19/2020	250.00	644.95	06/19/2020	632.50	0.00	12.45	Sale
06/19/2020	250.00	644.95	06/19/2020	635.00	0.00	9.95	Sale
06/19/2020	250.00	644.95	06/19/2020	636.33	0.00	8.62	Sale
06/19/2020	100.00	273.98	06/19/2020	262.00	0.00	11.98	Sale
<b>Security Totals:</b>		<b>6,731.66</b>		<b>6,438.83</b>		<b>292.83</b>	
APPLIED DNA SCIENCES INC COMMON STOCK   CUSIP: 03815U300   Symbol: APDN							
05/05/2020	500.00	4,449.84	Various	4,731.90	0.00	-282.06	Sale
07/17/2020	300.00	4,220.86	07/17/2020	4,350.00	0.00	-129.14	Sale
<b>Security Totals:</b>		<b>8,670.70</b>		<b>9,081.90</b>		<b>-411.20</b>	
***LIQUID MEDIA GROUP LTD COM NEW   CUSIP: 53634Q204   Symbol: YVR							
07/30/2020	2,000.00	4,079.66	Various	4,100.00	20.34 D	0.00	Sale
07/30/2020	2,000.00	4,199.66	Various	4,220.34	0.00	-20.68	Sale
<b>Security Totals:</b>		<b>8,279.32</b>		<b>8,320.34</b>		<b>-20.68</b>	
***LIANLUO SMART LIMITED CLASS A COMMON STOCK   CUSIP: G5478K100   Symbol: LLIT							
06/19/2020	40.00	31.70	06/19/2020	29.27	0.00	2.43	Sale
06/19/2020	100.00	71.78	06/19/2020	73.18	1.4 D	0.00	Sale
06/19/2020	126.00	99.89	06/19/2020	92.21	0.00	7.68	Sale
06/19/2020	134.00	106.23	06/19/2020	98.06	0.00	8.17	Sale
06/19/2020	200.00	158.57	06/19/2020	146.36	0.00	12.21	Sale
06/19/2020	500.00	358.93	Various	367.30	8.37 D	0.00	Sale
06/19/2020	4,400.00	3,083.80	Various	3,219.29	0.00	-135.49	Sale
<b>Security Totals:</b>		<b>3,910.90</b>		<b>4,025.67</b>		<b>-105.00</b>	

**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 - DateSold 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
BIONANO GENOMICS INC COMMON STOCK   CUSIP: 09075F107   Symbol: BNGO							
07/17/2020	5,000.00	3,645.81	Various	3,855.02	209.21 D	0.00	Sale
07/22/2020	1,135.00	1,236.98	07/22/2020	1,199.22	0.00	37.76	Sale
07/22/2020	1,365.00	1,487.65	07/22/2020	1,442.24	0.00	45.41	Sale
07/22/2020	2,500.00	2,849.63	Various	2,641.46	0.00	208.17	Sale
07/22/2020	2,500.00	2,674.64	07/22/2020	2,500.00	0.00	174.64	Sale
07/22/2020	5,000.00	4,839.29	Various	5,162.21	322.92 D	0.00	Sale
07/22/2020	2,500.00	2,687.14	07/22/2020	2,500.00	0.00	187.14	Sale
07/24/2020	5,000.00	4,902.29	Various	4,943.48	46.73 D	5.54	Sale
08/07/2020	7.00	6.86	08/07/2020	6.84	0.00	0.02	Sale
08/07/2020	50.00	49.13	08/07/2020	48.87	0.00	0.26	Sale
08/07/2020	68.00	66.81	08/07/2020	66.47	0.00	0.34	Sale
08/07/2020	85.00	83.54	08/07/2020	83.09	0.00	0.45	Sale
08/07/2020	100.00	98.28	08/07/2020	97.74	0.00	0.54	Sale
08/07/2020	100.00	98.28	08/07/2020	97.75	0.00	0.53	Sale
08/07/2020	100.00	96.87	Various	97.17	0.39 D	0.09	Sale
08/07/2020	200.00	193.77	Various	195.44	1.67 D	0.00	Sale
08/07/2020	200.00	193.57	08/07/2020	195.49	1.92 D	0.00	Sale
08/07/2020	275.00	270.28	08/07/2020	268.80	0.00	1.48	Sale
08/07/2020	300.00	294.85	08/07/2020	293.23	0.00	1.62	Sale
08/07/2020	300.00	290.68	Various	291.81	1.33 D	0.20	Sale
08/07/2020	371.00	359.22	08/07/2020	361.57	2.35 D	0.00	Sale
08/07/2020	815.00	801.03	Various	796.62	0.00	4.41	Sale
08/07/2020	1,000.00	982.85	Various	977.44	0.00	5.41	Sale
08/07/2020	1,800.00	1,743.95	Various	1,756.49	12.54 D	0.00	Sale
08/07/2020	1,900.00	1,840.82	Various	1,848.57	8.20 D	0.45	Sale
08/07/2020	2,329.00	2,256.47	Various	2,261.38	6.21 D	1.30	Sale
08/07/2020	5,000.00	4,504.30	Various	4,616.28	111.98 D	0.00	Sale

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APEX CLEARING

## Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B\*

OMB No. 1545-0715

2TZ05705

(continued)

01/24/2021

**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>
BIONANO GENOMICS INC COMMON STOCK   CUSIP: 09075F107   Symbol: BNGO							
08/07/2020	5,000.00	4,504.30	Various	4,720.98	0.00	-216.68	Sale
12/29/2020	154.00	190.93	12/29/2020	183.26	0.00	7.67	Sale
12/29/2020	1,846.00	2,288.76	12/29/2020	2,196.74	0.00	92.02	Sale
12/29/2020	2,000.00	2,499.90	12/29/2020	2,500.00	0.1 D	0.00	Sale
12/29/2020	2,000.00	2,480.30	Various	2,396.21	0.00	84.09	Sale
12/31/2020	500.00	1,499.90	Various	1,615.46	115.56 D	0.00	Sale
12/31/2020	500.00	1,544.90	Various	1,535.03	0.00	9.87	Sale
12/31/2020	500.00	1,439.90	12/31/2020	1,465.03	25.13 D	0.00	Sale
12/31/2020	500.00	1,544.90	Various	1,530.02	0.00	14.88	Sale
12/31/2020	500.00	1,430.45	12/31/2020	1,469.47	39.02 D	0.00	Sale
12/31/2020	500.00	1,500.00	12/31/2020	1,552.63	52.63 D	0.00	Sale
<b>Security Totals:</b>		<b>59,479.23</b>		<b>59,769.51</b>		<b>667.61</b>	
INTERPACE BIOSCIENCES INC COMMON STOCK   CUSIP: 46062X303   Symbol: IDXG							
07/02/2020	6.00	45.82	07/02/2020	42.48	0.00	3.34	Sale
07/02/2020	93.00	710.49	07/02/2020	658.44	0.00	52.05	Sale
07/02/2020	401.00	3,063.52	07/02/2020	2,839.08	0.00	224.44	Sale
<b>Security Totals:</b>		<b>3,819.83</b>		<b>3,540.00</b>		<b>279.83</b>	
ALTIMMUNE INC COMMON STOCK   CUSIP: 02155H200   Symbol: ALT							
07/08/2020	2.00	35.68	Various	37.80	2.12 D	0.00	Sale
07/08/2020	3.00	53.98	07/08/2020	56.10	2.12 D	0.00	Sale
07/08/2020	5.00	89.73	07/08/2020	93.51	3.78 D	0.00	Sale
07/08/2020	5.00	89.98	07/08/2020	93.50	3.52 D	0.00	Sale
07/08/2020	30.00	538.47	07/08/2020	561.03	22.56 D	0.00	Sale
07/08/2020	20.00	358.98	07/08/2020	374.02	15.04 D	0.00	Sale
07/08/2020	10.00	178.98	Various	189.02	10.04 D	0.00	Sale
07/08/2020	25.00	447.48	Various	472.54	25.06 D	0.00	Sale
07/08/2020	33.00	591.99	07/08/2020	617.13	25.14 D	0.00	Sale
07/08/2020	50.00	894.97	Various	950.76	55.79 D	0.00	Sale

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APEX CLEARING

Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B\*

OMB No. 1545-0715

2TZ05705

(continued)

01/24/2021

**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
ALTIMMUNE INC COMMON STOCK   CUSIP: 02155H200   Symbol: ALT							
07/08/2020	60.00	1,019.96	Various	1,057.60	37.64 D	0.00	Sale
07/08/2020	60.00	1,013.36	Various	1,033.11	19.75 D	0.00	Sale
07/08/2020	70.00	1,252.96	07/08/2020	1,309.07	56.11 D	0.00	Sale
07/08/2020	50.00	892.97	Various	959.95	66.98 D	0.00	Sale
07/08/2020	70.00	1,252.96	Various	1,323.87	70.91 D	0.00	Sale
07/08/2020	100.00	1,750.95	Various	1,815.14	64.19 D	0.00	Sale
07/08/2020	100.00	1,791.95	Various	1,911.15	119.20 D	0.00	Sale
07/08/2020	58.00	977.26	Various	1,018.51	41.25 D	0.00	Sale
07/08/2020	70.00	1,251.56	Various	1,315.97	64.41 D	0.00	Sale
07/08/2020	100.00	1,785.95	07/08/2020	1,886.21	100.26 D	0.00	Sale
07/08/2020	100.00	1,791.95	Various	1,945.49	153.54 D	0.00	Sale
07/08/2020	100.00	1,685.95	07/08/2020	1,756.05	70.1 D	0.00	Sale
07/08/2020	100.00	1,790.95	Various	1,899.38	108.43 D	0.00	Sale
07/08/2020	206.00	3,594.60	Various	3,761.16	166.56 D	0.00	Sale
07/08/2020	250.00	4,374.87	Various	4,554.95	180.08 D	0.00	Sale
07/08/2020	240.00	4,043.88	Various	4,250.73	206.85 D	0.00	Sale
07/08/2020	100.00	1,785.95	Various	1,888.73	102.78 D	0.00	Sale
07/08/2020	393.00	7,014.84	Various	7,436.00	421.16 D	0.00	Sale
07/08/2020	460.00	7,764.57	Various	7,909.11	144.54 D	0.00	Sale
07/08/2020	300.00	5,384.84	Various	5,640.70	255.86 D	0.00	Sale
07/08/2020	464.00	8,365.67	Various	8,710.53	344.86 D	0.00	Sale
07/08/2020	480.00	8,102.16	Various	8,264.09	161.93 D	0.00	Sale
07/08/2020	542.00	9,137.85	Various	9,568.38	430.53 D	0.00	Sale
07/08/2020	900.00	16,118.53	Various	17,190.13	121.59 D	-950.01	Sale
07/13/2020	100.00	2,751.92	Various	2,826.54	0.00	-74.62	Sale
07/13/2020	100.00	2,751.92	Various	2,794.59	0.00	-42.67	Sale
<b>Security Totals:</b>		<b>102,730.57</b>		<b>107,472.55</b>		<b>-1,067.30</b>	

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APEX CLEARING

Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B\*

OMB No. 1545-0715

2TZ05705

(continued)

01/24/2021

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

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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
CLEVELAND BIOLABS INC COM NEW   CUSIP: 185860202   Symbol: CBLI							
01/29/2020	19.00	66.69	01/27/2020	59.85	0.00	6.84	Buy to Cover Short
01/29/2020	100.00	350.98	01/27/2020	315.00	0.00	35.98	Buy to Cover Short
01/29/2020	250.00	862.44	01/27/2020	725.00	0.00	137.44	Buy to Cover Short
01/29/2020	250.00	902.43	Various	690.00	0.00	212.43	Buy to Cover Short
01/29/2020	381.00	1,337.23	01/27/2020	1,200.15	0.00	137.08	Buy to Cover Short
01/29/2020	500.00	1,754.90	Various	1,630.00	0.00	124.90	Buy to Cover Short
01/29/2020	5.00	18.25	01/27/2020	15.60	0.00	2.65	Buy to Cover Short
01/29/2020	245.00	889.20	Various	766.85	0.00	122.35	Buy to Cover Short
01/29/2020	250.00	887.44	01/27/2020	782.50	0.00	104.94	Buy to Cover Short
<b>Security Totals:</b>		<b>7,069.56</b>		<b>6,184.95</b>		<b>884.61</b>	
OVERSTOCK.COM INC DEL   CUSIP: 690370101   Symbol: OSTK							
05/07/2020	300.00	5,057.84	Various	5,207.85	150.01 D	0.00	Sale
05/07/2020	200.00	3,371.90	05/07/2020	3,416.00	0.00	-44.10	Sale
05/11/2020	300.00	4,730.85	05/07/2020	4,821.00	90.15 D	0.00	Buy to Cover Short
05/11/2020	100.00	1,640.95	05/07/2020	1,631.05	0.00	9.90	Buy to Cover Short
05/11/2020	300.00	4,814.85	Various	4,898.70	83.85 D	0.00	Buy to Cover Short
05/11/2020	200.00	3,281.90	05/07/2020	3,262.10	0.00	19.80	Buy to Cover Short
05/12/2020	50.00	909.96	05/12/2020	938.25	0.00	-28.29	Sale
05/12/2020	50.00	911.46	05/12/2020	938.24	0.00	-26.78	Sale
05/15/2020	200.00	3,309.90	05/15/2020	3,416.01	0.00	-106.11	Sale
<b>Security Totals:</b>		<b>28,029.61</b>		<b>28,529.20</b>		<b>-175.58</b>	
COCRYSTAL PHARMA INC COMMON STOCK   CUSIP: 19188J300   Symbol: COCP							
02/25/2020	100.00	226.98	Various	227.02	0.04 D	0.00	Sale
02/25/2020	100.00	226.98	02/25/2020	227.00	0.02 D	0.00	Sale
02/25/2020	100.00	226.98	Various	227.00	0.02 D	0.00	Sale
02/25/2020	1,700.00	3,858.71	Various	3,859.06	0.00	-0.35	Sale
04/22/2020	3,000.00	3,419.56	04/22/2020	3,690.00	0.00	-270.44	Sale
06/12/2020	60.00	70.78	06/12/2020	75.30	0.00	-4.52	Sale

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APEX CLEARING

## Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B\*

OMB No. 1545-0715

2TZ05705

(continued)

01/24/2021

**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>
COCRYSTAL PHARMA INC COMMON STOCK   CUSIP: 19188J300   Symbol: COCP							
06/12/2020	940.00	1,109.06	06/12/2020	1,179.70	0.00	-70.64	Sale
08/04/2020	100.00	307.98	08/04/2020	319.00	11.02 D	0.00	Sale
08/04/2020	1,900.00	5,813.64	Various	6,120.02	0.00	-306.38	Sale
11/24/2020	500.00	644.92	11/24/2020	696.94	52.02 D	0.00	Sale
11/24/2020	100.00	128.98	11/24/2020	138.86	9.88 D	0.00	Sale
11/24/2020	300.00	386.95	11/24/2020	416.58	29.63 D	0.00	Sale
11/24/2020	100.00	128.98	11/24/2020	138.86	9.88 D	0.00	Sale
11/24/2020	500.00	647.42	11/24/2020	691.72	44.3 D	0.00	Sale
11/24/2020	500.00	627.42	11/24/2020	650.00	22.58 D	0.00	Sale
11/24/2020	500.00	644.97	Various	699.34	0.00	-54.37	Sale
11/24/2020	500.00	624.97	11/24/2020	672.03	47.06 D	0.00	Sale
11/24/2020	500.00	624.97	11/24/2020	682.06	57.09 D	0.00	Sale
<b>Security Totals:</b>		<b>19,720.25</b>		<b>20,710.49</b>		<b>-706.70</b>	
HARMONIC INC   CUSIP: 413160102   Symbol: HLIT							
08/04/2020	500.00	3,419.86	08/04/2020	3,493.45	0.00	-73.59	Sale
AIKIDO PHARMA INC COMMON STOCK   CUSIP: 008875106   Symbol: AIKI							
04/14/2020	100.00	204.01	Various	212.98	8.97 D	0.00	Sale
04/14/2020	100.00	204.98	Various	221.95	16.97 D	0.00	Sale
04/14/2020	100.00	204.01	Various	229.95	25.94 D	0.00	Sale
04/14/2020	100.00	204.01	Various	238.92	34.91 D	0.00	Sale
04/14/2020	100.00	204.01	Various	225.55	21.54 D	0.00	Sale
04/14/2020	100.00	204.01	Various	235.33	31.32 D	0.00	Sale
04/14/2020	100.00	204.01	Various	234.54	30.53 D	0.00	Sale
04/14/2020	100.00	204.01	Various	244.31	40.30 D	0.00	Sale
04/14/2020	565.00	1,152.67	Various	1,274.17	121.50 D	0.00	Sale
04/14/2020	635.00	1,295.48	Various	1,425.29	129.81 D	0.00	Sale
04/21/2020	30.00	26.92	Various	47.10	20.18 D	0.00	Sale
04/21/2020	120.00	107.74	Various	139.62	0.00	-31.88	Sale

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APEX CLEARING

Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B\*

OMB No. 1545-0715

2TZ05705

(continued)

01/24/2021

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

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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
AIKIDO PHARMA INC COMMON STOCK   CUSIP: 008875106   Symbol: AIKI							
04/21/2020	50.00	44.88	Various	70.01	25.13 D	0.00	Sale
04/21/2020	50.00	44.88	04/21/2020	51.54	6.66 D	0.00	Sale
04/21/2020	300.00	269.35	Various	369.97	100.62 D	0.00	Sale
04/21/2020	4,450.00	3,995.48	Various	4,389.82	26.70 D	-367.64	Sale
<b>Security Totals:</b>		<b>8,570.45</b>		<b>9,611.05</b>		<b>-399.52</b>	
NOVAVAX INC COMMON STOCK   CUSIP: 670002401   Symbol: NVAX							
01/31/2020	316.00	2,230.84	Various	2,091.92	0.00	138.92	Buy to Cover Short
05/11/2020	100.00	3,309.91	05/11/2020	3,210.00	0.00	99.91	Sale
05/11/2020	100.00	3,525.91	05/11/2020	3,510.00	0.00	15.91	Sale
05/12/2020	100.00	4,442.89	05/12/2020	4,449.99	7.1 D	0.00	Sale
05/12/2020	100.00	4,220.89	05/12/2020	4,249.09	28.2 D	0.00	Sale
05/13/2020	100.00	3,955.90	05/13/2020	3,983.20	27.3 D	0.00	Sale
05/15/2020	100.00	4,105.89	05/13/2020	4,178.00	72.11 D	0.00	Buy to Cover Short
05/15/2020	100.00	4,151.89	05/13/2020	4,267.11	115.22 D	0.00	Buy to Cover Short
05/19/2020	50.00	2,807.92	05/19/2020	2,906.11	98.19 D	0.00	Sale
05/19/2020	50.00	2,807.92	05/19/2020	2,906.11	98.19 D	0.00	Sale
05/19/2020	100.00	5,571.86	05/19/2020	5,557.30	0.00	14.56	Sale
05/19/2020	200.00	11,115.65	Various	11,256.38	168.56 D	27.83	Sale
05/19/2020	500.00	26,604.35	Various	26,991.61	387.26 D	0.00	Sale
05/21/2020	33.00	1,857.18	05/19/2020	1,742.40	0.00	114.78	Buy to Cover Short
05/22/2020	50.00	2,500.93	05/20/2020	2,433.00	0.00	67.93	Buy to Cover Short
05/22/2020	50.00	2,672.43	05/20/2020	2,404.00	0.00	268.43	Buy to Cover Short
05/27/2020	4.00	176.22	05/27/2020	196.18	19.96 D	0.00	Sale
05/27/2020	1.00	44.04	05/27/2020	49.04	5 D	0.00	Sale
05/27/2020	6.00	264.34	05/27/2020	294.27	29.93 D	0.00	Sale
05/27/2020	8.00	352.46	05/27/2020	392.35	39.89 D	0.00	Sale
05/27/2020	10.00	440.58	Various	490.45	49.87 D	0.00	Sale
05/27/2020	17.00	748.99	05/27/2020	833.74	84.75 D	0.00	Sale

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**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

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**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
NOVAVAX INC COMMON STOCK   CUSIP: 670002401   Symbol: NVAX							
05/27/2020	53.00	2,335.11	Various	2,599.85	264.74 D	0.00	Sale
05/27/2020	48.00	2,114.82	Various	2,275.54	160.72 D	0.00	Sale
05/27/2020	100.00	4,583.28	Various	4,836.69	253.41 D	0.00	Sale
05/27/2020	100.00	4,583.28	05/27/2020	4,668.13	84.85 D	0.00	Sale
05/27/2020	100.00	4,583.68	Various	4,673.74	90.06 D	0.00	Sale
05/27/2020	100.00	4,583.48	05/27/2020	4,679.35	95.87 D	0.00	Sale
05/27/2020	100.00	4,582.88	05/27/2020	4,679.35	96.47 D	0.00	Sale
05/27/2020	143.00	6,300.42	Various	6,778.29	477.87 D	0.00	Sale
05/27/2020	500.00	21,294.46	Various	23,787.12	0.00	-2,492.66	Sale
05/27/2020	210.00	9,252.37	Various	9,971.78	719.41 D	0.00	Sale
05/27/2020	3.00	126.10	05/27/2020	142.80	16.7 D	0.00	Sale
05/27/2020	6.00	252.22	Various	285.61	33.39 D	0.00	Sale
05/27/2020	25.00	1,074.96	05/27/2020	1,197.10	122.14 D	0.00	Sale
05/27/2020	50.00	2,149.94	Various	2,394.21	244.27 D	0.00	Sale
05/27/2020	61.00	2,761.01	Various	3,022.88	261.87 D	0.00	Sale
05/27/2020	85.00	3,824.90	Various	4,218.27	393.37 D	0.00	Sale
05/27/2020	100.00	4,299.89	Various	4,661.99	362.10 D	0.00	Sale
05/27/2020	100.00	4,243.89	Various	4,858.21	614.32 D	0.00	Sale
05/27/2020	100.00	4,201.89	Various	4,745.16	543.27 D	0.00	Sale
05/27/2020	100.00	4,243.89	Various	4,704.15	460.26 D	0.00	Sale
05/27/2020	148.00	6,363.83	Various	6,845.12	481.29 D	0.00	Sale
05/27/2020	300.00	12,726.75	Various	14,144.29	1417.54 D	0.00	Sale
05/27/2020	177.00	7,610.81	Various	8,197.24	586.43 D	0.00	Sale
05/27/2020	391.00	16,370.83	Various	17,984.12	1613.29 D	0.00	Sale
05/27/2020	415.00	18,674.53	Various	19,952.65	1278.12 D	0.00	Sale
05/27/2020	439.00	19,864.30	Various	21,108.35	1244.05 D	0.00	Sale
05/27/2020	500.00	22,049.45	Various	24,057.14	2007.69 D	0.00	Sale

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APEX CLEARING

## Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B\*

OMB No. 1545-0715

2TZ05705

(continued)

01/24/2021

**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>
NOVAVAX INC COMMON STOCK   CUSIP: 670002401   Symbol: NVAX							
08/04/2020	17.00	2,912.02	Various	2,991.07	79.05 D	0.00	Sale
08/04/2020	30.00	5,108.27	Various	5,417.84	309.57 D	0.00	Sale
08/04/2020	43.00	7,369.16	Various	7,567.91	198.75 D	0.00	Sale
08/04/2020	40.00	6,855.03	08/04/2020	7,040.16	185.13 D	0.00	Sale
08/04/2020	50.00	8,056.81	08/04/2020	7,949.16	0.00	107.65	Sale
08/04/2020	50.00	7,978.31	Various	7,949.17	0.00	29.14	Sale
08/04/2020	100.00	16,999.61	Various	17,803.31	803.70 D	0.00	Sale
08/04/2020	70.00	11,906.72	Various	12,640.86	734.14 D	0.00	Sale
08/04/2020	100.00	14,249.67	08/04/2020	14,348.00	98.33 D	0.00	Sale
08/04/2020	100.00	17,299.60	Various	17,600.00	300.40 D	0.00	Sale
08/04/2020	100.00	15,965.63	08/04/2020	15,800.00	0.00	165.63	Sale
08/04/2020	100.00	17,009.61	08/04/2020	17,596.78	0.00	-587.17	Sale
08/04/2020	100.00	16,999.61	08/04/2020	17,341.39	341.78 D	0.00	Sale
08/04/2020	100.00	15,005.65	08/04/2020	14,899.00	0.00	106.65	Sale
08/04/2020	200.00	33,899.23	Various	34,643.93	744.70 D	0.00	Sale
08/05/2020	100.00	19,010.56	Various	19,543.71	0.00	-533.15	Sale
<b>Security Totals:</b>		<b>499,587.45</b>		<b>520,993.67</b>		<b>-2,455.64</b>	
BIOSIG TECHNOLOGIES INC COMMON STOCK   CUSIP: 09073N201   Symbol: BSGM							
04/16/2020	1,000.00	4,909.57	Various	5,170.00	0.00	-260.43	Sale
SG BLOCKS INC COMMON STOCK   CUSIP: 78418A505   Symbol: SGBX							
04/03/2020	1,000.00	4,889.77	Various	4,939.00	35.18 D	-14.05	Sale
04/03/2020	1,000.00	4,889.77	Various	4,995.18	0.00	-105.41	Sale
<b>Security Totals:</b>		<b>9,779.54</b>		<b>9,934.18</b>		<b>-119.46</b>	
FTS INTERNATIONAL INC COMMON STOCK   CUSIP: 30283W104   Symbol: FTSI							
02/14/2020	200.00	271.97	02/14/2020	288.00	16.03 D	0.00	Sale
02/14/2020	3,800.00	5,167.43	Various	5,441.40	171.76 D	-102.21	Sale
02/20/2020	2,000.00	2,822.49	Various	3,150.66	0.00	-328.17	Sale
<b>Security Totals:</b>		<b>8,261.89</b>		<b>8,880.06</b>		<b>-430.38</b>	

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**SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS**

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

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

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**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
***ELECTRAMECCANICA VEHICLES CORP LTD   CUSIP: 284849205   Symbol: SOLO							
11/16/2020	100.00	594.47	11/16/2020	589.00	0.00	5.47	Sale
11/16/2020	28.00	167.42	11/16/2020	164.92	0.00	2.50	Sale
11/16/2020	100.00	594.47	11/16/2020	589.00	0.00	5.47	Sale
11/16/2020	100.00	594.47	11/16/2020	589.00	0.00	5.47	Sale
11/16/2020	500.00	3,004.87	Various	2,930.00	0.00	74.87	Sale
11/16/2020	472.00	2,822.90	11/16/2020	2,780.08	0.00	42.82	Sale
11/16/2020	700.00	4,157.82	Various	4,138.00	0.00	19.82	Sale
11/16/2020	500.00	2,989.87	Various	2,930.00	0.00	59.87	Sale
11/16/2020	200.00	1,188.95	11/16/2020	1,184.00	0.00	4.95	Sale
11/16/2020	100.00	593.97	11/16/2020	592.00	0.00	1.97	Sale
11/16/2020	200.00	1,188.95	11/16/2020	1,184.00	0.00	4.95	Sale
11/18/2020	500.00	3,439.86	11/18/2020	3,574.40	134.54 D	0.00	Sale
11/18/2020	200.00	1,375.94	11/18/2020	1,474.82	98.88 D	0.00	Sale
11/18/2020	300.00	2,063.91	11/18/2020	2,212.22	148.31 D	0.00	Sale
11/19/2020	10.00	97.98	Various	95.92	0.00	2.06	Sale
11/19/2020	67.00	656.57	11/19/2020	640.85	0.00	15.72	Sale
11/19/2020	40.00	402.38	Various	414.19	11.81 D	0.00	Sale
11/19/2020	83.00	813.37	11/19/2020	795.96	0.00	17.41	Sale
11/19/2020	100.00	979.96	Various	959.00	0.00	20.96	Sale
11/19/2020	100.00	976.96	Various	994.44	17.48 D	0.00	Sale
11/19/2020	150.00	1,465.44	Various	1,491.66	26.22 D	0.00	Sale
11/19/2020	240.00	2,351.91	Various	2,295.27	0.00	56.64	Sale
11/19/2020	250.00	2,444.91	11/19/2020	2,486.09	41.18 D	0.00	Sale
11/19/2020	460.00	4,627.44	Various	4,758.69	131.25 D	0.00	Sale
11/20/2020	250.00	2,289.91	Various	2,391.76	101.85 D	0.00	Sale
11/20/2020	250.00	2,289.91	Various	2,398.80	108.89 D	0.00	Sale
11/20/2020	250.00	2,369.91	Various	2,408.89	0.00	-38.98	Sale

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**SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS**

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

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

1c - DateSold 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
***ELECTRAMECCANICA VEHICLES CORP LTD   CUSIP: 284849205   Symbol: SOLO							
11/20/2020	250.00	2,409.91	Various	2,401.85	0.00	8.06	Sale
11/23/2020	49.00	499.25	Various	498.33	0.00	0.92	Buy to Cover Short
11/23/2020	50.00	516.48	Various	522.52	6.04 D	0.00	Buy to Cover Short
11/23/2020	50.00	514.99	11/19/2020	499.52	0.00	15.47	Buy to Cover Short
11/23/2020	50.00	514.98	11/19/2020	500.52	0.00	14.46	Buy to Cover Short
11/23/2020	51.00	528.85	11/19/2020	530.92	2.07 D	0.00	Buy to Cover Short
11/23/2020	51.00	519.67	11/19/2020	517.65	0.00	2.02	Buy to Cover Short
11/23/2020	100.00	1,029.96	Various	1,015.06	0.00	14.90	Buy to Cover Short
11/23/2020	100.00	1,034.96	Various	1,043.00	8.04 D	0.00	Buy to Cover Short
11/23/2020	100.00	1,029.96	Various	1,003.05	0.00	26.91	Buy to Cover Short
11/23/2020	100.00	1,029.97	Various	1,005.04	0.00	24.93	Buy to Cover Short
11/23/2020	100.00	1,036.96	Various	1,045.01	8.05 D	0.00	Buy to Cover Short
11/23/2020	100.00	1,029.96	11/19/2020	1,006.94	0.00	23.02	Buy to Cover Short
11/23/2020	100.00	1,017.90	Various	1,017.00	0.02 D	0.92	Buy to Cover Short
11/23/2020	199.00	2,063.56	Various	2,071.49	7.93 D	0.00	Buy to Cover Short
11/23/2020	300.00	3,054.45	Various	3,048.02	0.00	6.43	Buy to Cover Short
11/23/2020	300.00	2,828.88	Various	2,867.38	38.50 D	0.00	Buy to Cover Short
11/23/2020	500.00	4,134.85	Various	4,172.15	37.30 D	0.00	Buy to Cover Short
11/23/2020	500.00	4,134.84	Various	4,195.03	60.19 D	0.00	Buy to Cover Short
11/23/2020	500.00	4,105.49	Various	4,187.30	81.81 D	0.00	Buy to Cover Short
11/23/2020	700.00	6,565.76	Various	6,719.20	153.44 D	0.00	Buy to Cover Short
11/23/2020	1,000.00	8,152.82	Various	8,230.00	77.18 D	0.00	Buy to Cover Short
11/23/2020	500.00	4,094.82	Various	4,209.59	114.77 D	0.00	Buy to Cover Short
11/24/2020	100.00	1,116.96	11/20/2020	1,130.00	13.04 D	0.00	Buy to Cover Short
11/24/2020	100.00	1,139.50	Various	1,082.04	0.00	57.46	Buy to Cover Short
11/24/2020	100.00	1,144.00	Various	1,151.04	0.00	-7.04	Buy to Cover Short
11/24/2020	100.00	1,116.96	11/20/2020	1,130.00	13.04 D	0.00	Buy to Cover Short

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APEX CLEARING

## Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B\*

OMB No. 1545-0715

2TZ05705

(continued)

01/24/2021

**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**

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<b>***ELECTRAMECCANICA VEHICLES CORP LTD   CUSIP: 284849205   Symbol: SOLO</b>							
11/24/2020	100.00	1,116.96	11/20/2020	1,130.00	13.04 D	0.00	Buy to Cover Short
11/24/2020	100.00	1,145.50	Various	1,151.04	0.00	-5.54	Buy to Cover Short
<b>Security Totals:</b>		<b>105,173.67</b>		<b>106,143.65</b>		<b>484.89</b>	
<b>VIVUS INC COMMON STOCK   CUSIP: 928551308   Symbol: VVUS</b>							
02/10/2020	1,000.00	3,349.81	02/06/2020	3,110.00	0.00	239.81	Buy to Cover Short
02/10/2020	1,000.00	3,309.81	02/06/2020	3,145.00	0.00	164.81	Buy to Cover Short
<b>Security Totals:</b>		<b>6,659.62</b>		<b>6,255.00</b>		<b>404.62</b>	
<b>***9F INC AMERICAN DEPOSITARY SHARES   CUSIP: 65442R109   Symbol: JFU</b>							
10/20/2020	8.00	15.42	10/20/2020	14.40	0.00	1.02	Sale
10/29/2020	100.00	179.98	10/29/2020	175.65	0.00	4.33	Sale
10/29/2020	1,000.00	1,599.84	10/29/2020	1,620.00	20.16 D	0.00	Sale
10/29/2020	200.00	359.97	10/29/2020	351.30	0.00	8.67	Sale
10/29/2020	700.00	1,259.89	10/29/2020	1,229.55	0.00	30.34	Sale
10/29/2020	1,000.00	1,599.84	10/29/2020	1,640.16	40.32 D	0.00	Sale
10/29/2020	3,000.00	5,099.52	Various	5,139.16	0.00	-39.64	Sale
10/29/2020	1,000.00	1,599.84	10/29/2020	1,676.34	76.5 D	0.00	Sale
10/29/2020	600.00	1,079.90	10/29/2020	1,006.20	0.00	73.70	Sale
10/29/2020	200.00	360.97	10/29/2020	335.40	0.00	25.57	Sale
10/29/2020	200.00	360.97	10/29/2020	335.40	0.00	25.57	Sale
10/29/2020	1,000.00	1,599.84	10/29/2020	1,660.32	60.48 D	0.00	Sale
10/29/2020	1,000.00	1,603.44	10/29/2020	1,670.48	67.04 D	0.00	Sale
<b>Security Totals:</b>		<b>16,719.42</b>		<b>16,854.36</b>		<b>129.56</b>	
<b>***ATLAS FINANCIAL HOLDINGS INC SHS   CUSIP: G06207115   Symbol: AFH</b>							
06/17/2020	147.00	311.61	06/17/2020	282.24	0.00	29.37	Sale
06/17/2020	171.00	364.20	06/17/2020	328.32	0.00	35.88	Sale
06/17/2020	182.00	387.63	06/17/2020	349.44	0.00	38.19	Sale
06/17/2020	500.00	1,129.91	06/17/2020	960.00	0.00	169.91	Sale
06/17/2020	1,000.00	1,979.83	06/17/2020	1,912.83	0.00	67.00	Sale

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APEX CLEARING

Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B\*

OMB No. 1545-0715

2TZ05705

(continued)

01/24/2021

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
***ATLAS FINANCIAL HOLDINGS INC SHS   CUSIP: G06207115   Symbol: AFH							
06/17/2020	5.00	9.73	06/17/2020	9.25	0.00	0.48	Sale
06/17/2020	21.00	44.92	06/17/2020	40.32	0.00	4.60	Sale
06/17/2020	25.00	47.48	06/17/2020	46.25	0.00	1.23	Sale
06/17/2020	179.00	383.03	06/17/2020	343.68	0.00	39.35	Sale
06/17/2020	300.00	641.97	06/17/2020	576.00	0.00	65.97	Sale
06/17/2020	500.00	1,059.91	06/17/2020	960.00	0.00	99.91	Sale
06/17/2020	796.00	1,472.47	Various	1,472.60	0.13 D	0.00	Sale
06/17/2020	975.00	1,852.43	06/17/2020	1,803.75	0.00	48.68	Sale
06/17/2020	995.00	1,940.18	Various	1,840.75	0.00	99.43	Sale
06/17/2020	1,000.00	1,792.34	06/17/2020	1,855.17	62.83 D	0.00	Sale
06/17/2020	1,000.00	1,834.83	06/17/2020	1,930.00	95.17 D	0.00	Sale
06/17/2020	1,204.00	2,229.62	Various	2,227.53	0.00	2.09	Sale
<b>Security Totals:</b>		<b>17,482.09</b>		<b>16,938.13</b>		<b>702.09</b>	
FLUIDIGM CORPORATION   CUSIP: 34385P108   Symbol: FLDM							
05/04/2020	1,000.00	3,654.79	Various	3,703.58	0.00	-48.79	Sale
IDEANOMICS INC COMMON STOCK   CUSIP: 45166V106   Symbol: IDEX							
06/18/2020	1,000.00	2,189.83	06/18/2020	2,250.00	60.17 D	0.00	Sale
06/19/2020	45.00	103.48	06/19/2020	102.16	0.00	1.32	Sale
06/19/2020	155.00	356.47	06/19/2020	351.88	0.00	4.59	Sale
06/19/2020	300.00	683.94	06/19/2020	681.05	0.00	2.89	Sale
06/19/2020	500.00	1,149.91	06/19/2020	1,135.08	0.00	14.83	Sale
06/22/2020	400.00	1,152.32	06/22/2020	1,136.00	0.00	16.32	Sale
06/22/2020	500.00	1,869.89	06/22/2020	1,779.45	0.00	90.44	Sale
06/22/2020	500.00	1,844.89	06/22/2020	1,779.45	0.00	65.44	Sale
06/22/2020	500.00	1,944.89	06/22/2020	1,779.45	0.00	165.44	Sale
06/22/2020	500.00	1,924.89	06/22/2020	1,779.45	0.00	145.44	Sale
06/22/2020	600.00	1,728.49	06/22/2020	1,704.00	0.00	24.49	Sale
06/22/2020	2,000.00	7,799.58	Various	7,960.00	0.00	-160.42	Sale

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**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)

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**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
IDEANOMICS INC COMMON STOCK   CUSIP: 45166V106   Symbol: IDEX							
06/24/2020	2,000.00	7,059.60	Various	7,280.00	220.40 D	0.00	Buy to Cover Short
06/24/2020	2,000.00	6,639.60	Various	6,859.60	220.00 D	0.00	Buy to Cover Short
06/24/2020	2,000.00	6,839.60	Various	7,100.40	0.00	-260.80	Buy to Cover Short
08/06/2020	2,000.00	3,239.68	08/06/2020	3,280.00	40.32 D	0.00	Sale
08/10/2020	10.00	16.28	08/10/2020	16.50	0.00	-0.22	Sale
08/10/2020	15.00	24.43	08/10/2020	24.75	0.00	-0.32	Sale
08/10/2020	23.00	37.47	08/10/2020	37.95	0.00	-0.48	Sale
08/10/2020	140.00	228.17	08/10/2020	231.02	0.00	-2.85	Sale
08/10/2020	687.00	1,119.70	Various	1,135.53	0.00	-15.83	Sale
08/10/2020	275.00	448.21	08/10/2020	453.80	0.00	-5.59	Sale
08/10/2020	3,200.00	5,727.49	Various	5,790.85	63.36 D	0.00	Sale
08/10/2020	850.00	1,385.36	08/10/2020	1,402.63	0.00	-17.27	Sale
08/10/2020	1,800.00	3,221.71	Various	3,282.90	43.08 D	-18.11	Sale
08/10/2020	1,000.00	1,629.84	Various	1,669.36	0.00	-39.52	Sale
08/10/2020	4,000.00	7,203.36	Various	7,120.32	0.00	83.04	Sale
09/25/2020	968.00	988.18	Various	997.04	8.86 D	0.00	Sale
09/25/2020	4,032.00	4,116.09	Various	4,161.82	0.00	-45.73	Sale
11/23/2020	3.00	7.60	11/23/2020	7.74	0.14 D	0.00	Sale
11/23/2020	50.00	141.48	11/23/2020	123.00	0.00	18.48	Sale
11/23/2020	50.00	128.23	Various	125.00	0.00	3.23	Sale
11/23/2020	50.00	141.73	11/23/2020	123.00	0.00	18.73	Sale
11/23/2020	60.00	153.28	Various	150.00	0.00	3.28	Sale
11/23/2020	85.00	238.41	11/23/2020	209.10	0.00	29.31	Sale
11/23/2020	90.00	229.93	11/23/2020	225.00	0.00	4.93	Sale
11/23/2020	100.00	256.48	11/23/2020	250.00	0.00	6.48	Sale
11/23/2020	100.00	256.48	11/23/2020	250.00	0.00	6.48	Sale
11/23/2020	100.00	255.48	Various	250.00	0.00	5.48	Sale

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**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)

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

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IDEANOMICS INC COMMON STOCK   CUSIP: 45166V106   Symbol: IDEX							
11/23/2020	150.00	425.97	11/23/2020	369.00	0.00	56.97	Sale
11/23/2020	165.00	462.79	11/23/2020	405.90	0.00	56.89	Sale
11/23/2020	497.00	1,262.29	11/23/2020	1,282.26	19.97 D	0.00	Sale
11/23/2020	500.00	1,324.91	Various	1,266.46	0.00	58.45	Sale
11/23/2020	100.00	254.98	Various	260.54	5.56 D	0.00	Sale
11/23/2020	200.00	509.96	11/23/2020	521.03	11.07 D	0.00	Sale
11/23/2020	200.00	509.96	11/23/2020	521.03	11.07 D	0.00	Sale
11/23/2020	500.00	1,272.41	Various	1,310.11	37.70 D	0.00	Sale
11/23/2020	500.00	1,265.41	Various	1,297.70	32.29 D	0.00	Sale
11/23/2020	500.00	1,265.46	Various	1,317.29	51.83 D	0.00	Sale
11/23/2020	500.00	1,264.91	Various	1,336.83	71.92 D	0.00	Sale
11/23/2020	500.00	1,325.46	Various	1,331.92	6.46 D	0.00	Sale
11/23/2020	500.00	1,264.91	11/23/2020	1,265.00	0.09 D	0.00	Sale
11/23/2020	500.00	1,265.46	11/23/2020	1,270.09	4.63 D	0.00	Sale
11/24/2020	39.00	112.30	Various	118.43	6.13 D	0.00	Sale
11/24/2020	44.00	109.10	Various	118.90	9.80 D	0.00	Sale
11/24/2020	50.00	153.98	11/24/2020	155.01	1.03 D	0.00	Sale
11/24/2020	100.00	438.98	11/24/2020	380.93	0.00	58.05	Sale
11/24/2020	100.00	460.97	11/24/2020	382.92	0.00	78.05	Sale
11/24/2020	100.00	463.97	11/24/2020	382.93	0.00	81.04	Sale
11/24/2020	100.00	447.98	11/24/2020	380.93	0.00	67.05	Sale
11/24/2020	100.00	287.98	Various	306.67	18.69 D	0.00	Sale
11/24/2020	100.00	292.98	Various	332.39	39.41 D	0.00	Sale
11/24/2020	100.00	308.48	11/24/2020	310.02	1.54 D	0.00	Sale
11/24/2020	100.00	308.48	11/24/2020	310.02	1.54 D	0.00	Sale
11/24/2020	200.00	585.96	Various	641.30	55.34 D	0.00	Sale
11/24/2020	111.00	319.66	Various	358.50	38.84 D	0.00	Sale

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**SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS**

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

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

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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
IDEANOMICS INC COMMON STOCK   CUSIP: 45166V106   Symbol: IDEX							
11/24/2020	200.00	495.96	Various	570.46	74.50 D	0.00	Sale
11/24/2020	200.00	591.96	Various	696.89	104.93 D	0.00	Sale
11/24/2020	200.00	585.96	Various	642.70	56.74 D	0.00	Sale
11/24/2020	250.00	774.95	11/24/2020	794.88	19.93 D	0.00	Sale
11/24/2020	250.00	724.95	Various	782.94	57.99 D	0.00	Sale
11/24/2020	250.00	732.45	Various	751.17	18.72 D	0.00	Sale
11/24/2020	250.00	667.45	Various	685.89	21.24 D	2.80	Sale
11/24/2020	250.00	732.45	Various	791.18	58.73 D	0.00	Sale
11/24/2020	250.00	727.45	Various	796.58	69.13 D	0.00	Sale
11/24/2020	250.00	667.45	Various	634.92	0.00	32.53	Sale
11/24/2020	250.00	722.45	Various	775.44	52.99 D	0.00	Sale
11/24/2020	250.00	667.45	Various	649.98	0.00	17.47	Sale
11/24/2020	250.00	774.95	11/24/2020	777.50	2.55 D	0.00	Sale
11/24/2020	250.00	774.95	11/24/2020	782.55	7.6 D	0.00	Sale
11/24/2020	250.00	774.95	11/24/2020	775.00	0.05 D	0.00	Sale
11/24/2020	250.00	777.70	Various	776.66	0.00	1.04	Sale
11/24/2020	250.00	774.95	11/24/2020	789.83	14.88 D	0.00	Sale
11/24/2020	250.00	769.95	Various	774.11	4.16 D	0.00	Sale
11/24/2020	300.00	888.24	Various	1,013.49	125.25 D	0.00	Sale
11/24/2020	256.00	634.83	Various	716.81	81.98 D	0.00	Sale
11/24/2020	464.00	1,725.98	Various	1,772.20	46.22 D	0.00	Sale
11/24/2020	500.00	1,654.90	Various	1,567.50	0.00	87.40	Sale
11/24/2020	500.00	1,459.90	Various	1,643.76	183.86 D	0.00	Sale
11/24/2020	500.00	1,459.90	Various	1,681.48	221.58 D	0.00	Sale
11/24/2020	500.00	1,649.90	Various	1,562.50	0.00	87.40	Sale
11/24/2020	100.00	448.13	Various	381.92	0.00	66.21	Sale
11/24/2020	536.00	1,999.17	Various	2,076.58	77.41 D	0.00	Sale

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APEX CLEARING

Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B\*

OMB No. 1545-0715

2TZ05705

(continued)

01/24/2021

**SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS**

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

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IDEANOMICS INC COMMON STOCK   CUSIP: 45166V106   Symbol: IDEX							
11/24/2020	250.00	944.94	11/24/2020	942.50	0.00	2.44	Sale
11/24/2020	250.00	944.94	11/24/2020	972.50	27.56 D	0.00	Sale
11/24/2020	250.00	725.23	Various	759.87	34.64 D	0.00	Sale
11/24/2020	500.00	1,240.81	Various	1,371.01	130.20 D	0.00	Sale
11/24/2020	250.00	662.73	Various	677.23	18.21 D	3.71	Sale
11/24/2020	500.00	1,475.45	Various	1,597.34	121.89 D	0.00	Sale
11/24/2020	500.00	1,482.40	Various	1,715.09	232.69 D	0.00	Sale
11/24/2020	500.00	1,630.45	Various	1,584.93	0.00	45.52	Sale
11/25/2020	100.00	273.08	11/25/2020	259.94	0.00	13.14	Sale
11/25/2020	500.00	1,329.91	11/25/2020	1,305.00	0.00	24.91	Sale
11/25/2020	500.00	1,334.91	11/25/2020	1,305.00	0.00	29.91	Sale
11/25/2020	400.00	1,092.32	11/25/2020	1,039.76	0.00	52.56	Sale
11/25/2020	500.00	1,329.91	Various	1,309.88	0.00	20.03	Sale
11/27/2020	1,000.00	2,869.81	Various	2,960.00	90.19 D	0.00	Sale
11/30/2020	10.00	29.08	11/30/2020	29.00	0.00	0.08	Sale
11/30/2020	100.00	290.98	11/30/2020	290.00	0.00	0.98	Sale
11/30/2020	890.00	2,589.73	Various	2,581.00	0.00	8.73	Sale
11/30/2020	1,000.00	3,079.81	11/30/2020	2,940.00	0.00	139.81	Sale
11/30/2020	1,000.00	3,019.81	Various	3,030.19	10.38 D	0.00	Sale
11/30/2020	1,000.00	3,079.81	Various	2,950.38	0.00	129.43	Sale
11/30/2020	100.00	294.98	11/30/2020	295.92	0.94 D	0.00	Sale
11/30/2020	300.00	884.94	11/30/2020	887.76	2.82 D	0.00	Sale
11/30/2020	600.00	1,769.89	11/30/2020	1,775.51	5.62 D	0.00	Sale
11/30/2020	1,000.00	2,952.31	Various	2,958.98	0.00	-6.67	Sale
11/30/2020	1,000.00	2,910.41	11/30/2020	2,920.00	9.59 D	0.00	Sale
<b>Security Totals:</b>		<b>155,346.12</b>		<b>157,053.10</b>		<b>1,359.43</b>	
WTS OPES ACQUISITION CORP WARRANT   CUSIP: 68373P118   Symbol: OPESW							
06/17/2020	2,000.00	8,399.81	06/17/2020	8,300.00	0.00	99.81	Sale

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**SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS**

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

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06/22/2020	1,000.00	4,249.90	06/18/2020	4,298.60	0.00	-48.70	Buy to Cover Short
<b>Security Totals:</b>		<b>12,649.71</b>		<b>12,598.60</b>		<b>51.11</b>	
***500.COM LIMITED SPONSORED ADR REPSTG SHS CL A   CUSIP: 33829R100   Symbol: WBAI							
12/31/2020	300.00	2,825.89	12/31/2020	2,852.91	0.00	-27.02	Sale
U S WELL SERVICES INC CLASS A COMMON STOCK   CUSIP: 91274U101   Symbol: USWS							
04/09/2020	100.00	93.78	Various	121.78	28.00 D	0.00	Sale
04/09/2020	182.00	172.50	04/09/2020	189.28	16.78 D	0.00	Sale
04/09/2020	200.00	187.57	Various	237.64	50.07 D	0.00	Sale
04/09/2020	400.00	375.14	Various	432.78	57.64 D	0.00	Sale
04/09/2020	300.00	281.35	Various	335.49	0.00	-54.14	Sale
04/09/2020	600.00	562.71	04/09/2020	624.00	0.00	-61.29	Sale
04/09/2020	1,300.00	1,219.22	Various	1,440.29	23.49 D	-197.58	Sale
04/09/2020	765.00	717.46	04/09/2020	795.60	0.00	-78.14	Sale
<b>Security Totals:</b>		<b>3,609.73</b>		<b>4,176.86</b>		<b>-391.15</b>	
KANDI TECHNOLOGIES GROUP INC   CUSIP: 483709101   Symbol: KNDI							
07/29/2020	1.00	12.31	07/29/2020	12.58	0.27 D	0.00	Sale
07/29/2020	2.00	25.40	Various	25.51	0.11 D	0.00	Sale
07/29/2020	10.00	124.98	07/29/2020	125.00	0.02 D	0.00	Sale
07/29/2020	10.00	124.98	07/29/2020	125.00	0.02 D	0.00	Sale
07/29/2020	48.00	609.57	Various	611.87	2.30 D	0.00	Sale
07/29/2020	50.00	634.97	07/29/2020	637.06	2.09 D	0.00	Sale
07/29/2020	26.00	320.30	Various	327.13	6.83 D	0.00	Sale
07/29/2020	50.00	474.97	07/29/2020	455.00	0.00	19.97	Sale
07/29/2020	74.00	912.38	Various	930.98	18.60 D	0.00	Sale
07/29/2020	96.00	1,182.68	Various	1,207.76	25.08 D	0.00	Sale
07/29/2020	99.00	1,237.46	07/29/2020	1,237.50	0.04 D	0.00	Sale
07/29/2020	100.00	1,264.96	Various	1,274.07	9.11 D	0.00	Sale
07/29/2020	100.00	1,269.96	Various	1,274.09	4.13 D	0.00	Sale
07/29/2020	100.00	1,270.96	Various	1,274.63	3.67 D	0.00	Sale

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APEX CLEARING

Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B\*

OMB No. 1545-0715

2TZ05705

(continued)

01/24/2021

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
KANDI TECHNOLOGIES GROUP INC   CUSIP: 483709101   Symbol: KNDI							
07/29/2020	100.00	1,270.96	07/29/2020	1,274.09	3.13 D	0.00	Sale
07/29/2020	100.00	1,272.96	Various	1,274.59	1.63 D	0.00	Sale
07/29/2020	200.00	1,899.93	07/29/2020	1,820.00	0.00	79.93	Sale
07/29/2020	176.00	2,208.73	07/29/2020	2,200.00	0.00	8.73	Sale
07/29/2020	205.00	2,562.42	07/29/2020	2,562.50	0.08 D	0.00	Sale
07/29/2020	250.00	3,119.90	Various	2,975.09	0.00	144.81	Sale
07/29/2020	250.00	3,087.40	07/29/2020	2,975.00	0.00	112.40	Sale
07/29/2020	250.00	3,087.40	07/29/2020	2,975.00	0.00	112.40	Sale
07/29/2020	250.00	3,052.40	Various	2,975.08	0.00	77.32	Sale
07/29/2020	250.00	2,424.91	07/29/2020	2,275.21	0.00	149.70	Sale
07/29/2020	250.00	2,379.91	Various	2,275.21	0.00	104.70	Sale
07/29/2020	250.00	2,374.91	07/29/2020	2,275.00	0.00	99.91	Sale
07/29/2020	303.00	3,735.86	Various	3,811.92	76.06 D	0.00	Sale
07/29/2020	500.00	5,099.82	Various	4,910.00	0.00	189.82	Sale
07/29/2020	500.00	4,594.83	Various	4,595.00	0.17 D	0.00	Sale
07/29/2020	1,000.00	7,519.71	Various	7,513.48	0.42 D	6.65	Sale
07/29/2020	400.00	5,059.83	Various	5,096.09	36.26 D	0.00	Sale
07/29/2020	211.00	1,483.26	07/29/2020	1,502.32	19.06 D	0.00	Sale
07/29/2020	300.00	2,108.91	07/29/2020	2,136.00	27.09 D	0.00	Sale
07/29/2020	489.00	3,432.64	07/29/2020	3,481.68	49.04 D	0.00	Sale
07/29/2020	1,000.00	7,279.71	Various	7,295.19	15.48 D	0.00	Sale
07/30/2020	1.00	18.04	07/30/2020	18.45	0.41 D	0.00	Sale
07/30/2020	1.00	15.78	07/30/2020	17.86	2.08 D	0.00	Sale
07/30/2020	2.00	31.58	Various	35.67	4.09 D	0.00	Sale
07/30/2020	2.00	31.58	07/30/2020	35.67	4.09 D	0.00	Sale
07/30/2020	5.00	78.83	Various	89.18	10.35 D	0.00	Sale
07/30/2020	5.00	78.98	07/30/2020	89.18	10.2 D	0.00	Sale

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**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

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**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
KANDI TECHNOLOGIES GROUP INC   CUSIP: 483709101   Symbol: KNDI							
07/30/2020	5.00	78.93	Various	89.18	10.25 D	0.00	Sale
07/30/2020	5.00	78.98	Various	89.18	10.20 D	0.00	Sale
07/30/2020	5.00	78.93	Various	89.19	10.26 D	0.00	Sale
07/30/2020	7.00	126.40	Various	129.10	2.70 D	0.00	Sale
07/30/2020	8.00	126.38	Various	142.60	16.22 D	0.00	Sale
07/30/2020	10.00	180.58	Various	184.44	3.86 D	0.00	Sale
07/30/2020	10.00	157.98	07/30/2020	178.25	20.27 D	0.00	Sale
07/30/2020	12.00	216.70	Various	221.34	4.64 D	0.00	Sale
07/30/2020	20.00	361.38	07/30/2020	368.84	7.46 D	0.00	Sale
07/30/2020	28.00	344.38	Various	349.90	0.00	-5.52	Sale
07/30/2020	30.00	473.67	Various	534.74	61.07 D	0.00	Sale
07/30/2020	50.00	787.47	Various	892.34	104.87 D	0.00	Sale
07/30/2020	50.00	789.97	Various	892.65	102.68 D	0.00	Sale
07/30/2020	56.00	881.97	Various	998.58	116.61 D	0.00	Sale
07/30/2020	72.00	885.57	07/30/2020	899.76	0.00	-14.19	Sale
07/30/2020	76.00	1,242.56	Various	1,393.81	151.25 D	0.00	Sale
07/30/2020	85.00	1,339.56	Various	1,517.12	177.56 D	0.00	Sale
07/30/2020	100.00	1,229.96	07/30/2020	1,249.66	0.00	-19.70	Sale
07/30/2020	100.00	1,805.95	Various	1,843.67	37.72 D	0.00	Sale
07/30/2020	100.00	1,805.95	Various	1,841.63	35.68 D	0.00	Sale
07/30/2020	100.00	1,575.95	Various	1,785.84	209.89 D	0.00	Sale
07/30/2020	100.00	1,579.95	Various	1,757.59	177.64 D	0.00	Sale
07/30/2020	100.00	1,477.95	Various	1,694.56	0.00	-216.61	Sale
07/30/2020	100.00	1,602.95	Various	1,710.68	107.73 D	0.00	Sale
07/30/2020	102.00	1,635.01	Various	1,744.34	109.33 D	0.00	Sale
07/30/2020	140.00	2,290.32	Various	2,572.88	282.56 D	0.00	Sale
07/30/2020	150.00	2,405.92	Various	2,565.39	159.47 D	0.00	Sale

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APEX CLEARING

## Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B\*

OMB No. 1545-0715

2TZ05705

(continued)

01/24/2021

**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>
KANDI TECHNOLOGIES GROUP INC   CUSIP: 483709101   Symbol: KNDI							
07/30/2020	200.00	2,491.92	Various	2,495.62	0.00	-3.70	Sale
07/30/2020	201.00	3,175.70	Various	3,295.20	119.50 D	0.00	Sale
07/30/2020	250.00	4,514.87	Various	4,609.35	94.48 D	0.00	Sale
07/30/2020	280.00	4,423.87	07/30/2020	4,597.89	174.02 D	0.00	Sale
07/30/2020	300.00	4,808.85	Various	5,186.81	377.96 D	0.00	Sale
07/30/2020	348.00	5,578.27	Various	6,075.43	497.16 D	0.00	Sale
07/30/2020	400.00	5,911.81	Various	6,785.77	0.00	-873.96	Sale
07/30/2020	784.00	12,825.86	Various	13,675.16	849.30 D	0.00	Sale
07/30/2020	1,000.00	16,009.52	Various	16,965.95	956.43 D	0.00	Sale
07/30/2020	1,000.00	16,199.52	Various	17,206.43	1006.91 D	0.00	Sale
07/30/2020	1,000.00	16,449.51	Various	17,679.21	1229.70 D	0.00	Sale
07/30/2020	100.00	1,218.96	07/30/2020	1,249.66	0.00	-30.70	Sale
11/19/2020	100.00	1,409.95	Various	1,431.00	21.05 D	0.00	Sale
11/19/2020	200.00	2,819.91	Various	2,884.55	64.64 D	0.00	Sale
11/19/2020	200.00	2,819.91	Various	2,928.64	0.00	-108.73	Sale
11/23/2020	250.00	3,204.90	Various	3,192.50	0.00	12.40	Buy to Cover Short
11/23/2020	100.00	1,282.22	Various	1,277.00	0.00	5.22	Buy to Cover Short
11/23/2020	150.00	1,923.19	Various	1,915.50	0.00	7.69	Buy to Cover Short
11/23/2020	250.00	3,226.48	Various	3,135.00	0.00	91.48	Buy to Cover Short
11/23/2020	250.00	3,204.38	Various	3,187.50	0.00	16.88	Buy to Cover Short
<b>Security Totals:</b>		<b>217,837.99</b>		<b>225,514.07</b>		<b>-33.10</b>	
ARCIMOTO INC COMMON STOCK   CUSIP: 039587100   Symbol: FUV							
08/04/2020	350.00	2,519.90	08/04/2020	2,520.00	0.1 D	0.00	Sale
08/04/2020	650.00	4,679.81	08/04/2020	4,680.00	0.19 D	0.00	Sale
08/04/2020	1,000.00	7,308.91	Various	7,300.29	0.00	8.62	Sale
<b>Security Totals:</b>		<b>14,508.62</b>		<b>14,500.29</b>		<b>8.62</b>	
COHEN & COMPANY INC COMMON STOCK   CUSIP: 19249M102   Symbol: COHN							
06/19/2020	72.00	1,455.79	06/19/2020	1,617.21	0.00	-161.42	Sale

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APEX CLEARING

Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B\*

OMB No. 1545-0715

2TZ05705

(continued)

01/24/2021

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

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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
COHEN & COMPANY INC COMMON STOCK   CUSIP: 19249M102   Symbol: COHN							
06/19/2020	100.00	1,831.94	06/19/2020	1,931.00	99.06 D	0.00	Sale
06/19/2020	28.00	566.13	06/19/2020	628.91	0.00	-62.78	Sale
06/19/2020	100.00	1,824.94	06/19/2020	1,999.06	174.12 D	0.00	Sale
<b>Security Totals:</b>		<b>5,678.80</b>		<b>6,176.18</b>		<b>-224.20</b>	
SENESTECH INC COMMON STOCK   CUSIP: 81720R208   Symbol: SNES							
10/23/2020	100.00	233.98	Various	264.55	30.57 D	0.00	Sale
10/23/2020	100.00	233.98	Various	264.55	30.57 D	0.00	Sale
10/23/2020	100.00	233.98	10/23/2020	264.56	30.58 D	0.00	Sale
10/23/2020	100.00	233.98	10/23/2020	264.56	30.58 D	0.00	Sale
10/23/2020	100.00	233.98	10/23/2020	264.56	30.58 D	0.00	Sale
10/23/2020	100.00	217.98	Various	281.63	63.65 D	0.00	Sale
10/23/2020	200.00	467.96	Various	529.12	61.16 D	0.00	Sale
10/23/2020	210.00	503.96	Various	578.54	74.58 D	0.00	Sale
10/23/2020	300.00	701.94	Various	793.66	91.72 D	0.00	Sale
10/23/2020	790.00	1,895.86	Various	2,189.24	293.38 D	0.00	Sale
10/23/2020	900.00	1,961.84	Various	2,534.62	572.78 D	0.00	Sale
10/23/2020	1,000.00	2,199.83	Various	2,715.93	516.10 D	0.00	Sale
10/23/2020	1,000.00	2,279.82	Various	2,839.95	560.13 D	0.00	Sale
10/23/2020	1,000.00	2,249.83	Various	2,790.13	540.30 D	0.00	Sale
10/23/2020	100.00	233.98	Various	279.57	45.59 D	0.00	Sale
10/23/2020	100.00	233.98	Various	279.57	45.59 D	0.00	Sale
10/23/2020	100.00	219.98	Various	274.59	54.61 D	0.00	Sale
10/23/2020	100.00	233.98	Various	279.58	45.6 D	0.00	Sale
10/23/2020	100.00	234.98	Various	294.69	59.71 D	0.00	Sale
10/23/2020	100.00	233.98	10/23/2020	279.58	45.6 D	0.00	Sale
10/23/2020	100.00	233.98	10/23/2020	279.58	45.6 D	0.00	Sale
10/23/2020	100.00	234.98	Various	294.67	59.69 D	0.00	Sale
10/23/2020	100.00	233.98	10/23/2020	279.58	45.6 D	0.00	Sale

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APEX CLEARING

Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B\*

OMB No. 1545-0715

2TZ05705

(continued)

01/24/2021

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

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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
SENESTECH INC COMMON STOCK   CUSIP: 81720R208   Symbol: SNES							
10/23/2020	100.00	234.98	Various	295.29	60.31 D	0.00	Sale
10/23/2020	100.00	234.98	10/23/2020	295.70	60.72 D	0.00	Sale
10/23/2020	100.00	234.98	Various	296.08	61.10 D	0.00	Sale
10/23/2020	100.00	233.98	Various	279.58	45.6 D	0.00	Sale
10/23/2020	300.00	701.97	Various	838.72	136.75 D	0.00	Sale
10/23/2020	461.00	1,014.12	Various	1,321.47	307.35 D	0.00	Sale
10/23/2020	500.00	1,174.91	Various	1,483.33	308.42 D	0.00	Sale
10/23/2020	539.00	1,180.32	Various	1,544.96	364.64 D	0.00	Sale
10/23/2020	900.00	1,979.84	Various	2,471.31	491.47 D	0.00	Sale
10/23/2020	1,000.00	2,557.22	Various	2,640.00	82.78 D	0.00	Sale
10/23/2020	1,000.00	2,557.22	Various	2,712.78	155.56 D	0.00	Sale
10/23/2020	1,000.00	2,389.82	Various	2,778.44	0.00	-388.62	Sale
10/23/2020	1,000.00	2,295.12	Various	2,790.30	495.18 D	0.00	Sale
10/23/2020	1,000.00	2,179.83	Various	2,909.59	729.76 D	0.00	Sale
10/23/2020	1,000.00	2,199.83	Various	2,786.08	586.25 D	0.00	Sale
10/23/2020	1,000.00	2,399.82	Various	2,778.26	378.44 D	0.00	Sale
10/27/2020	100.00	240.98	10/23/2020	222.00	0.00	18.98	Buy to Cover Short
<b>Security Totals:</b>		<b>39,552.66</b>		<b>47,560.90</b>		<b>-369.64</b>	
BRAINSTORM CELL THERAPEUTICS INC COMMON STOCK   CUSIP: 10501E201   Symbol: BCLI							
02/18/2020	500.00	3,285.26	Various	2,925.00	0.00	360.26	Buy to Cover Short
02/18/2020	500.00	3,279.86	02/13/2020	2,825.00	0.00	454.86	Buy to Cover Short
02/27/2020	100.00	702.47	02/27/2020	733.00	0.00	-30.53	Sale
02/27/2020	100.00	702.47	02/27/2020	733.00	0.00	-30.53	Sale
02/27/2020	100.00	702.47	02/27/2020	733.00	0.00	-30.53	Sale
02/27/2020	100.00	702.47	02/27/2020	733.00	0.00	-30.53	Sale
02/27/2020	100.00	702.47	02/27/2020	733.00	0.00	-30.53	Sale
02/27/2020	400.00	2,799.88	02/27/2020	2,932.00	0.00	-132.12	Sale

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APEX CLEARING

Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B\*

OMB No. 1545-0715

2TZ05705

(continued)

01/24/2021

SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

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

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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
BRAINSTORM CELL THERAPEUTICS INC COMMON STOCK   CUSIP: 10501E201   Symbol: BCLI							
02/28/2020	200.00	1,809.93	Various	1,572.00	0.00	237.93	Buy to Cover Short
02/28/2020	299.00	2,705.74	Various	2,397.98	0.00	307.76	Buy to Cover Short
02/28/2020	300.00	2,714.90	Various	2,385.00	0.00	329.90	Buy to Cover Short
02/28/2020	201.00	1,818.98	Various	1,612.02	0.00	206.96	Buy to Cover Short
<b>Security Totals:</b>		<b>22,629.37</b>		<b>21,047.00</b>		<b>1,582.37</b>	
SIFCO INDUSTRIES INC   CUSIP: 826546103   Symbol: SIF							
12/24/2020	500.00	3,149.87	Various	3,281.20	131.33 D	0.00	Sale
12/24/2020	50.00	318.32	Various	346.17	0.00	-27.85	Sale
12/24/2020	200.00	1,271.95	Various	1,384.94	0.00	-112.99	Sale
12/24/2020	250.00	1,592.43	12/24/2020	1,689.97	0.00	-97.54	Sale
<b>Security Totals:</b>		<b>6,332.57</b>		<b>6,702.28</b>		<b>-238.38</b>	
ARTELO BIOSCIENCES INC COMMON STOCK   CUSIP: 04301G201   Symbol: ARTL							
09/29/2020	5.00	5.53	09/29/2020	6.15	0.62 D	0.00	Sale
09/29/2020	8.00	8.86	09/29/2020	9.84	0.98 D	0.00	Sale
09/29/2020	10.00	11.08	09/29/2020	12.30	1.22 D	0.00	Sale
09/29/2020	143.00	157.27	09/29/2020	175.87	18.6 D	0.00	Sale
09/29/2020	72.00	79.90	09/29/2020	88.55	8.65 D	0.00	Sale
09/29/2020	228.00	253.04	Various	264.93	4.09 D	-7.80	Sale
09/29/2020	300.00	332.95	Various	352.79	0.00	-19.84	Sale
09/29/2020	300.00	344.95	09/29/2020	368.97	24.02 D	0.00	Sale
09/29/2020	306.00	339.61	09/29/2020	364.16	0.00	-24.55	Sale
09/29/2020	428.00	475.01	09/29/2020	526.40	51.39 D	0.00	Sale
09/29/2020	500.00	554.92	09/29/2020	614.95	60.03 D	0.00	Sale
09/29/2020	700.00	776.90	Various	834.53	0.00	-57.63	Sale
09/29/2020	1,000.00	1,102.95	Various	1,190.05	0.00	-87.10	Sale
09/29/2020	400.00	443.94	09/29/2020	491.96	48.02 D	0.00	Sale
09/29/2020	600.00	665.91	09/29/2020	737.93	72.02 D	0.00	Sale
09/29/2020	2,500.00	2,750.63	09/29/2020	3,175.37	424.74 D	0.00	Sale

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APEX CLEARING

Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B\*

OMB No. 1545-0715

2TZ05705

(continued)

01/24/2021

**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

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**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
ARTELO BIOSCIENCES INC COMMON STOCK   CUSIP: 04301G201   Symbol: ARTL							
09/29/2020	2,500.00	2,749.63	09/29/2020	2,950.00	200.37 D	0.00	Sale
<b>Security Totals:</b>		<b>11,053.08</b>		<b>12,164.75</b>		<b>-196.92</b>	
PHIO PHARMACEUTICALS CORP COMMON STOCK   CUSIP: 71880W303   Symbol: PHIO							
09/17/2020	1,000.00	2,499.82	Various	2,620.18	0.00	-120.36	Sale
09/17/2020	1,000.00	2,499.82	Various	2,560.00	60.18 D	0.00	Sale
<b>Security Totals:</b>		<b>4,999.64</b>		<b>5,180.18</b>		<b>-120.36</b>	
CALERES INC COM   CUSIP: 129500104   Symbol: CAL							
09/03/2020	100.00	1,029.96	09/03/2020	1,049.37	0.00	-19.41	Sale
09/03/2020	100.00	1,032.96	09/03/2020	1,049.37	0.00	-16.41	Sale
09/03/2020	200.00	2,060.21	09/03/2020	2,098.74	0.00	-38.53	Sale
09/03/2020	600.00	6,197.79	09/03/2020	6,296.22	0.00	-98.43	Sale
<b>Security Totals:</b>		<b>10,320.92</b>		<b>10,493.70</b>		<b>-172.78</b>	
***RELIEF THERAPEUTICS HLDG AG NAMEN AKT   CUSIP: H6759S100   Symbol: RLFTF							
08/06/2020	80.00	70.28	08/06/2020	66.56	0.00	3.72	Sale
08/06/2020	160.00	99.49	08/06/2020	96.32	0.00	3.17	Sale
08/06/2020	193.00	137.42	Various	133.95	0.00	3.47	Sale
08/06/2020	200.00	124.77	08/06/2020	130.65	5.88 D	0.00	Sale
08/06/2020	700.00	432.51	08/06/2020	438.20	5.69 D	0.00	Sale
08/06/2020	920.00	808.09	08/06/2020	765.44	0.00	42.65	Sale
08/06/2020	1,000.00	887.86	08/06/2020	862.37	0.00	25.49	Sale
08/06/2020	1,000.00	878.36	Various	845.90	0.00	32.46	Sale
08/06/2020	1,000.00	867.86	08/06/2020	862.37	0.00	5.49	Sale
08/06/2020	1,000.00	878.36	08/06/2020	832.00	0.00	46.36	Sale
08/06/2020	1,000.00	792.86	08/06/2020	722.00	0.00	70.86	Sale
08/06/2020	1,000.00	792.86	08/06/2020	722.00	0.00	70.86	Sale
08/06/2020	1,000.00	792.86	08/06/2020	722.00	0.00	70.86	Sale
08/06/2020	1,000.00	777.86	08/06/2020	722.00	0.00	55.86	Sale
08/06/2020	1,000.00	797.36	08/06/2020	722.00	0.00	75.36	Sale

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**SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS**

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

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

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

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***RELIEF THERAPEUTICS HLDG AG NAMEN AKT   CUSIP: H6759S100   Symbol: RLFTF							
08/06/2020	2,500.00	1,541.66	08/06/2020	1,522.09	0.00	19.57	Sale
08/06/2020	2,349.00	1,662.77	Various	1,629.52	0.00	33.25	Sale
08/06/2020	2,000.00	1,255.73	08/06/2020	1,217.66	0.00	38.07	Sale
08/06/2020	3,000.00	1,865.59	Various	1,844.84	0.66 D	21.41	Sale
08/06/2020	3,940.00	2,454.09	08/06/2020	2,573.73	119.64 D	0.00	Sale
08/06/2020	5,000.00	3,050.83	08/06/2020	3,100.00	49.17 D	0.00	Sale
08/06/2020	5,000.00	2,989.33	Various	3,135.58	146.25 D	0.00	Sale
08/06/2020	5,000.00	3,109.33	Various	3,013.42	0.00	95.91	Sale
08/07/2020	1,000.00	747.86	08/07/2020	786.95	39.09 D	0.00	Sale
08/07/2020	2,500.00	1,844.65	08/07/2020	1,910.34	65.69 D	0.00	Sale
08/07/2020	2,500.00	1,857.15	Various	1,883.35	26.20 D	0.00	Sale
08/07/2020	4,000.00	3,011.45	Various	3,113.32	101.87 D	0.00	Sale
08/07/2020	5,000.00	3,691.81	Various	3,882.58	190.77 D	0.00	Sale
08/07/2020	5,000.00	3,764.31	Various	3,850.46	86.15 D	0.00	Sale
08/07/2020	5,000.00	3,689.31	Various	3,755.00	65.69 D	0.00	Sale
08/07/2020	5,000.00	3,689.31	Various	3,841.89	152.58 D	0.00	Sale
08/07/2020	5,000.00	3,764.31	Various	3,996.15	231.84 D	0.00	Sale
08/07/2020	5,000.00	3,764.31	Various	4,141.84	377.53 D	0.00	Sale
08/12/2020	5,000.00	1,989.35	Various	2,442.53	453.18 D	0.00	Sale
08/12/2020	5,000.00	1,989.35	Various	2,505.68	516.33 D	0.00	Sale
08/14/2020	2,500.00	1,289.42	Various	1,570.18	280.76 D	0.00	Sale
08/14/2020	2,500.00	1,289.42	Various	1,530.65	241.23 D	0.00	Sale
08/14/2020	5,000.00	2,564.34	Various	3,131.99	567.65 D	0.00	Sale
08/20/2020	5,000.00	3,189.32	Various	3,896.33	0.00	-707.01	Sale
08/20/2020	5,000.00	3,191.32	Various	3,827.65	636.33 D	0.00	Sale
<b>Security Totals:</b>		<b>72,395.12</b>		<b>76,747.49</b>		<b>7.81</b>	
SUMMIT WIRELESS TECHNOLOGIES INC COMMON STOCK   CUSIP: 86633R203   Symbol: WISA							
11/10/2020	3.00	10.24	11/10/2020	10.89	0.65 D	0.00	Sale

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APEX CLEARING

Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B\*

OMB No. 1545-0715

2TZ05705

(continued)

01/24/2021

**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

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

1c - DateSold 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
SUMMIT WIRELESS TECHNOLOGIES INC COMMON STOCK   CUSIP: 86633R203   Symbol: WISA							
11/10/2020	3.00	10.27	11/10/2020	10.89	0.62 D	0.00	Sale
11/10/2020	44.00	150.02	11/10/2020	159.75	9.73 D	0.00	Sale
11/10/2020	50.00	168.48	11/10/2020	178.00	9.52 D	0.00	Sale
11/10/2020	50.00	168.48	11/10/2020	178.00	9.52 D	0.00	Sale
11/10/2020	100.00	336.98	11/10/2020	356.00	19.02 D	0.00	Sale
11/10/2020	100.00	341.98	Various	362.06	20.08 D	0.00	Sale
11/10/2020	100.00	341.98	Various	363.06	21.08 D	0.00	Sale
11/10/2020	50.00	168.48	11/10/2020	178.00	9.52 D	0.00	Sale
11/10/2020	125.00	419.98	Various	467.57	47.59 D	0.00	Sale
11/10/2020	250.00	857.45	Various	950.28	0.00	-92.83	Sale
11/10/2020	250.00	857.45	Various	955.23	97.78 D	0.00	Sale
11/10/2020	250.00	857.45	Various	904.66	0.00	-47.21	Sale
11/10/2020	400.00	1,343.92	Various	1,443.63	99.71 D	0.00	Sale
11/10/2020	475.00	1,595.90	Various	1,747.25	151.35 D	0.00	Sale
11/10/2020	500.00	1,684.90	Various	1,812.58	127.68 D	0.00	Sale
<b>Security Totals:</b>		<b>9,313.96</b>		<b>10,077.85</b>		<b>-140.04</b>	

**NEW YORK MORTGAGE TRUST INC | CUSIP: 649604501 | Symbol: NYMT**

03/26/2020	4,000.00	8,039.34	Various	8,377.50	0.00	-338.16	Sale
03/31/2020	1,500.00	2,834.75	Various	2,874.12	47.24 D	7.87	Buy to Cover Short
03/31/2020	3.00	5.58	03/27/2020	5.91	0.00	-0.33	Buy to Cover Short
03/31/2020	100.00	199.98	03/27/2020	208.00	8.02 D	0.00	Buy to Cover Short
03/31/2020	100.00	199.98	03/27/2020	208.00	8.02 D	0.00	Buy to Cover Short
03/31/2020	100.00	199.98	03/27/2020	208.00	8.02 D	0.00	Buy to Cover Short
03/31/2020	100.00	204.98	03/27/2020	196.00	0.00	8.98	Buy to Cover Short
03/31/2020	200.00	399.97	03/27/2020	416.00	16.03 D	0.00	Buy to Cover Short
03/31/2020	200.00	409.96	Various	402.58	0.00	7.38	Buy to Cover Short
03/31/2020	200.00	409.97	Various	408.04	0.00	1.93	Buy to Cover Short
03/31/2020	200.00	409.97	Various	408.01	0.00	1.96	Buy to Cover Short

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APEX CLEARING

Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B\*

OMB No. 1545-0715

2TZ05705

(continued)

01/24/2021

SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

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

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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
NEW YORK MORTGAGE TRUST INC   CUSIP: 649604501   Symbol: NYMT							
03/31/2020	200.00	409.96	Various	408.05	0.00	1.91	Buy to Cover Short
03/31/2020	600.00	1,229.91	Various	1,181.55	0.00	48.36	Buy to Cover Short
03/31/2020	300.00	599.95	Various	624.00	24.05 D	0.00	Buy to Cover Short
03/31/2020	2,000.00	3,719.67	Various	3,847.03	0.00	-127.36	Buy to Cover Short
03/31/2020	2,200.00	4,401.61	Various	4,640.14	238.53 D	0.00	Buy to Cover Short
03/31/2020	997.00	1,854.26	03/27/2020	1,894.30	0.00	-40.04	Buy to Cover Short
<b>Security Totals:</b>		<b>25,529.82</b>		<b>26,307.23</b>		<b>-427.50</b>	
***MILESTONE PHARMACEUTICALS INC COM   CUSIP: 59935V107   Symbol: MIST							
07/23/2020	99.00	841.47	07/23/2020	874.56	33.09 D	0.00	Sale
07/23/2020	133.00	1,130.45	Various	1,174.91	44.46 D	0.00	Sale
07/23/2020	200.00	1,739.94	07/23/2020	1,788.72	48.78 D	0.00	Sale
07/23/2020	1.00	8.49	07/23/2020	8.83	0.34 D	0.00	Sale
07/23/2020	267.00	2,269.41	07/23/2020	2,358.66	89.25 D	0.00	Sale
07/23/2020	300.00	2,609.90	07/23/2020	2,683.08	73.18 D	0.00	Sale
07/23/2020	345.00	3,053.14	Various	2,901.54	0.00	151.60	Sale
07/23/2020	655.00	5,796.54	Various	5,508.72	0.00	287.82	Sale
07/23/2020	1,000.00	5,899.74	Various	5,980.00	80.26 D	0.00	Sale
07/24/2020	91.00	853.55	07/24/2020	857.63	0.00	-4.08	Sale
07/24/2020	100.00	934.96	07/24/2020	942.46	0.00	-7.50	Sale
07/24/2020	150.00	1,402.44	07/24/2020	1,413.69	0.00	-11.25	Sale
07/24/2020	159.00	1,491.36	Various	1,498.52	0.00	-7.16	Sale
07/24/2020	250.00	2,329.91	07/24/2020	2,280.00	0.00	49.91	Sale
07/24/2020	250.00	2,330.84	07/24/2020	2,280.00	0.00	50.84	Sale
07/24/2020	1,000.00	8,929.68	Various	9,067.14	152.30 D	14.84	Sale
<b>Security Totals:</b>		<b>41,621.82</b>		<b>41,618.46</b>		<b>525.02</b>	
***RENESOLA LTD AMERICAN DEPOSITARY ON EACH REPRESENTING TEN SHARES   CUSIP: 75971T301   Symbol: SOL							
10/13/2020	1,000.00	3,919.79	10/13/2020	3,920.00	0.21 D	0.00	Sale
10/16/2020	2,000.00	7,919.58	Various	8,025.21	0.00	-105.63	Sale

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**SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS**

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***RENESOLA LTD AMERICAN DEPOSITARY ON EACH REPRESENTING TEN SHARES   CUSIP: 75971T301   Symbol: SOL							
12/15/2020	100.00	829.97	12/15/2020	798.00	0.00	31.97	Sale
12/15/2020	200.00	1,665.94	Various	1,606.28	0.00	59.66	Sale
12/15/2020	300.00	2,498.90	12/15/2020	2,394.00	0.00	104.90	Sale
12/15/2020	100.00	829.97	12/15/2020	798.00	0.00	31.97	Sale
12/15/2020	300.00	2,489.90	12/15/2020	2,394.00	0.00	95.90	Sale
12/15/2020	500.00	4,062.35	Various	4,180.45	118.10 D	0.00	Sale
12/15/2020	500.00	4,174.84	Various	4,108.10	0.00	66.74	Sale
12/15/2020	500.00	4,144.84	Various	4,306.20	161.36 D	0.00	Sale
12/15/2020	500.00	4,034.85	Various	4,327.15	292.30 D	0.00	Sale
12/15/2020	500.00	4,044.85	Various	4,180.54	135.69 D	0.00	Sale
12/15/2020	500.00	4,049.85	Various	4,366.05	316.20 D	0.00	Sale
12/15/2020	100.00	819.97	Various	855.64	35.67 D	0.00	Sale
12/15/2020	50.00	400.98	Various	418.12	17.14 D	0.00	Sale
12/15/2020	1,000.00	8,289.69	Various	8,366.87	107.04 D	29.86	Sale
12/15/2020	100.00	819.97	Various	857.83	37.86 D	0.00	Sale
12/15/2020	3.00	24.07	12/15/2020	25.09	1.02 D	0.00	Sale
12/15/2020	100.00	802.97	Various	837.51	34.54 D	0.00	Sale
12/15/2020	100.00	802.97	Various	836.58	33.61 D	0.00	Sale
12/15/2020	100.00	802.97	Various	835.64	32.67 D	0.00	Sale
12/15/2020	100.00	819.97	Various	856.16	36.19 D	0.00	Sale
12/15/2020	200.00	1,639.94	Various	1,712.07	72.13 D	0.00	Sale
12/15/2020	200.00	1,605.94	Various	1,645.40	39.88 D	0.42	Sale
12/15/2020	247.00	1,980.86	Various	2,017.81	36.95 D	0.00	Sale
12/15/2020	200.00	1,603.94	Various	1,670.76	66.82 D	0.00	Sale
12/15/2020	500.00	4,137.34	Various	4,125.69	3.54 D	15.19	Sale
12/16/2020	26.00	215.26	12/16/2020	218.17	2.91 D	0.00	Sale
12/16/2020	50.00	413.98	Various	419.29	5.31 D	0.00	Sale

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***RENESOLA LTD AMERICAN DEPOSITARY ON EACH REPRESENTING TEN SHARES   CUSIP: 75971T301   Symbol: SOL							
12/16/2020	100.00	827.97	Various	846.22	18.25 D	0.00	Sale
12/16/2020	10.00	82.78	12/16/2020	84.80	2.02 D	0.00	Sale
12/16/2020	100.00	827.97	Various	858.99	2.81 D	-28.21	Sale
12/16/2020	50.00	413.36	12/16/2020	411.10	0.00	2.26	Sale
12/16/2020	414.00	3,419.51	Various	3,480.41	0.00	-60.90	Sale
12/16/2020	200.00	1,651.98	Various	1,632.60	1.00 D	20.38	Sale
12/16/2020	200.00	1,651.94	Various	1,607.81	0.00	44.13	Sale
12/16/2020	200.00	1,651.94	Various	1,607.66	0.00	44.28	Sale
12/16/2020	300.00	2,483.96	12/16/2020	2,520.00	0.00	-36.04	Sale
12/16/2020	350.00	2,890.89	Various	2,812.62	0.00	78.27	Sale
12/17/2020	100.00	755.97	12/15/2020	776.93	20.96 D	0.00	Buy to Cover Short
12/17/2020	100.00	755.97	12/15/2020	777.03	21.06 D	0.00	Buy to Cover Short
12/17/2020	100.00	825.97	12/15/2020	825.00	0.00	0.97	Buy to Cover Short
12/17/2020	50.00	417.48	12/15/2020	413.50	0.00	3.98	Buy to Cover Short
12/17/2020	100.00	828.47	12/15/2020	826.00	0.00	2.47	Buy to Cover Short
12/17/2020	100.00	825.97	12/15/2020	826.00	0.03 D	0.00	Buy to Cover Short
12/17/2020	100.00	825.97	12/15/2020	825.00	0.00	0.97	Buy to Cover Short
12/17/2020	100.00	825.97	12/15/2020	824.98	0.00	0.99	Buy to Cover Short
12/17/2020	100.00	834.97	12/15/2020	827.00	0.00	7.97	Buy to Cover Short
12/17/2020	150.00	1,252.45	12/15/2020	1,222.50	0.00	29.95	Buy to Cover Short
12/17/2020	180.00	1,359.45	Various	1,396.86	37.41 D	0.00	Buy to Cover Short
12/17/2020	100.00	825.96	12/15/2020	825.00	0.00	0.96	Buy to Cover Short
12/17/2020	200.00	1,669.94	12/15/2020	1,627.00	0.00	42.94	Buy to Cover Short
12/17/2020	300.00	2,309.91	12/15/2020	2,355.00	45.09 D	0.00	Buy to Cover Short
12/17/2020	200.00	1,539.94	12/15/2020	1,570.00	30.06 D	0.00	Buy to Cover Short
12/17/2020	400.00	3,019.90	Various	3,117.75	97.85 D	0.00	Buy to Cover Short
12/17/2020	400.00	3,313.87	12/15/2020	3,303.92	0.00	9.95	Buy to Cover Short

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APEX CLEARING

Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B\*

OMB No. 1545-0715

2TZ05705

(continued)

01/24/2021

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
***RENESOLA LTD AMERICAN DEPOSITARY ON EACH REPRESENTING TEN SHARES   CUSIP: 75971T301   Symbol: SOL							
12/17/2020	500.00	3,769.85	12/15/2020	3,795.00	25.15 D	0.00	Buy to Cover Short
12/17/2020	500.00	3,769.86	12/15/2020	3,795.00	25.14 D	0.00	Buy to Cover Short
12/17/2020	500.00	3,849.85	Various	4,047.87	198.02 D	0.00	Buy to Cover Short
12/17/2020	500.00	3,849.85	Various	3,900.44	50.59 D	0.00	Buy to Cover Short
12/17/2020	500.00	3,786.09	Various	3,830.14	44.05 D	0.00	Buy to Cover Short
12/17/2020	1,000.00	7,859.70	Various	8,398.69	538.99 D	0.00	Buy to Cover Short
12/17/2020	1,000.00	7,849.70	Various	8,353.60	503.90 D	0.00	Buy to Cover Short
12/17/2020	1,000.00	7,749.70	Various	8,228.39	478.69 D	0.00	Buy to Cover Short
12/17/2020	1,000.00	7,859.70	Various	8,443.90	584.20 D	0.00	Buy to Cover Short
12/17/2020	1,220.00	9,297.84	Various	9,627.81	329.97 D	0.00	Buy to Cover Short
12/17/2020	100.00	779.97	12/15/2020	827.11	47.14 D	0.00	Buy to Cover Short
12/17/2020	100.00	779.97	12/15/2020	828.01	48.04 D	0.00	Buy to Cover Short
12/17/2020	100.00	779.97	Various	826.04	46.07 D	0.00	Buy to Cover Short
12/17/2020	200.00	1,559.94	Various	1,651.84	91.90 D	0.00	Buy to Cover Short
12/17/2020	500.00	3,849.86	Various	4,036.66	186.80 D	0.00	Buy to Cover Short
12/17/2020	500.00	3,882.85	Various	4,121.30	238.45 D	0.00	Buy to Cover Short
12/17/2020	500.00	3,899.85	Various	3,985.09	85.24 D	0.00	Buy to Cover Short
12/17/2020	1,000.00	7,779.70	Various	8,223.30	443.60 D	0.00	Buy to Cover Short
<b>Security Totals:</b>		<b>190,891.16</b>		<b>196,224.48</b>		<b>496.30</b>	
BIOCEPT INC COMMON STOCK   CUSIP: 09072V402   Symbol: BIOC							
08/06/2020	2,500.00	3,074.63	Various	3,097.31	0.04 D	-22.64	Sale
08/06/2020	2,500.00	3,074.63	Various	3,100.04	0.00	-25.41	Sale
<b>Security Totals:</b>		<b>6,149.26</b>		<b>6,197.35</b>		<b>-48.05</b>	
VERASTEM INC   CUSIP: 92337C104   Symbol: VSTM							
05/04/2020	100.00	181.98	Various	195.00	13.02 D	0.00	Sale
05/04/2020	100.00	181.98	Various	203.07	21.09 D	0.00	Sale
05/04/2020	100.00	181.98	Various	215.83	33.85 D	0.00	Sale
05/04/2020	200.00	363.97	Various	394.69	30.72 D	0.00	Sale

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APEX CLEARING

Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B\*

OMB No. 1545-0715

2TZ05705

(continued)

01/24/2021

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)

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

Box 12: Basis Reported to the IRS

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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
VERASTEM INC   CUSIP: 92337C104   Symbol: VSTM							
05/04/2020	100.00	181.98	05/04/2020	195.00	13.02 D	0.00	Sale
05/04/2020	200.00	363.97	Various	395.99	32.02 D	0.00	Sale
05/04/2020	200.00	363.97	Various	438.82	74.85 D	0.00	Sale
05/04/2020	291.00	529.57	Various	605.33	75.76 D	0.00	Sale
05/04/2020	300.00	545.94	Various	593.46	47.52 D	0.00	Sale
05/04/2020	349.00	694.45	Various	822.06	128.01 D	0.40	Sale
05/04/2020	345.00	620.94	Various	706.02	85.08 D	0.00	Sale
05/04/2020	400.00	723.93	05/04/2020	780.00	56.07 D	0.00	Sale
05/04/2020	443.00	806.19	Various	989.59	183.40 D	0.00	Sale
05/04/2020	500.00	909.91	Various	1,045.17	135.26 D	0.00	Sale
05/04/2020	500.00	909.91	Various	1,102.25	192.34 D	0.00	Sale
05/04/2020	566.00	1,030.02	Various	1,265.00	234.98 D	0.00	Sale
05/04/2020	751.00	1,494.36	Various	1,419.51	0.00	74.85	Sale
05/04/2020	900.00	1,790.85	Various	1,701.14	0.00	89.71	Sale
05/04/2020	2,000.00	3,679.67	Various	4,167.53	487.86 D	0.00	Sale
05/04/2020	2,000.00	4,059.67	Various	4,209.97	259.70 D	109.40	Sale
05/04/2020	3,655.00	6,578.42	Various	7,082.76	504.34 D	0.00	Sale
05/04/2020	20.00	39.98	05/04/2020	44.38	4.4 D	0.00	Sale
05/04/2020	25.00	49.98	05/04/2020	55.48	5.5 D	0.00	Sale
05/04/2020	100.00	199.98	Various	221.97	21.99 D	0.00	Sale
05/04/2020	100.00	199.98	Various	221.99	22.01 D	0.00	Sale
05/04/2020	100.00	199.98	Various	220.62	20.64 D	0.00	Sale
05/04/2020	100.00	199.98	Various	208.93	8.95 D	0.00	Sale
05/04/2020	100.00	199.98	Various	207.92	7.94 D	0.00	Sale
05/04/2020	200.00	399.97	Various	401.05	1.08 D	0.00	Sale
05/04/2020	200.00	399.97	Various	433.19	33.22 D	0.00	Sale
05/04/2020	200.00	399.97	Various	419.45	19.53 D	0.05	Sale

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APEX CLEARING

Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B\*

OMB No. 1545-0715

2TZ05705

(continued)

01/24/2021

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

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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
VERASTEM INC   CUSIP: 92337C104   Symbol: VSTM							
05/04/2020	200.00	399.97	05/04/2020	399.80	0.00	0.17	Sale
05/04/2020	300.00	599.94	05/04/2020	599.70	0.00	0.24	Sale
05/04/2020	300.00	599.94	05/04/2020	599.70	0.00	0.24	Sale
05/04/2020	500.00	999.91	05/04/2020	999.50	0.00	0.41	Sale
05/04/2020	687.00	1,373.88	05/04/2020	1,373.31	0.00	0.57	Sale
05/04/2020	700.00	1,399.88	Various	1,492.59	92.71 D	0.00	Sale
05/04/2020	768.00	1,535.87	05/04/2020	1,535.23	0.00	0.64	Sale
05/04/2020	1,100.00	2,199.82	05/04/2020	2,198.89	0.00	0.93	Sale
05/04/2020	2,000.00	4,059.67	Various	4,119.70	147.79 D	87.76	Sale
05/04/2020	4,300.00	8,608.32	Various	8,650.20	53.40 D	11.52	Sale
05/04/2020	5,000.00	9,953.68	Various	10,193.76	240.08 D	0.00	Sale
05/04/2020	5,000.00	9,949.18	Various	10,131.40	182.22 D	0.00	Sale
05/04/2020	5,000.00	9,808.18	Various	9,882.22	0.00	-74.04	Sale
05/04/2020	5,000.00	9,907.68	Various	10,139.58	231.90 D	0.00	Sale
<b>Security Totals:</b>		<b>89,879.35</b>		<b>93,278.75</b>		<b>302.85</b>	
CYCLO THERAPEUTICS INC COMMON STOCK   CUSIP: 23254X201   Symbol: CYTH							
12/18/2020	250.00	1,812.42	12/18/2020	1,790.00	0.00	22.42	Sale
12/18/2020	250.00	1,812.45	12/18/2020	1,790.00	0.00	22.45	Sale
<b>Security Totals:</b>		<b>3,624.87</b>		<b>3,580.00</b>		<b>44.87</b>	
NANTKWEST INC COM   CUSIP: 63016Q102   Symbol: NK							
12/21/2020	50.00	812.97	12/21/2020	841.02	28.05 D	0.00	Sale
12/21/2020	50.00	819.97	12/21/2020	839.03	19.06 D	0.00	Sale
12/21/2020	200.00	3,251.90	Various	3,388.09	136.19 D	0.00	Sale
12/21/2020	200.00	3,281.90	Various	3,403.22	121.32 D	0.00	Sale
12/21/2020	250.00	3,974.88	Various	4,175.76	71.48 D	-129.40	Sale
12/21/2020	250.00	4,094.87	Various	4,202.75	107.88 D	0.00	Sale
12/21/2020	100.00	1,628.95	Various	1,708.06	79.11 D	0.00	Sale
12/21/2020	150.00	2,441.98	Various	2,547.11	105.13 D	0.00	Sale

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**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

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**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
NANTKWEST INC COM   CUSIP: 63016Q102   Symbol: NK							
12/21/2020	250.00	3,976.36	Various	4,164.85	0.00	-188.49	Sale
12/21/2020	250.00	4,095.62	Various	4,235.02	139.40 D	0.00	Sale
12/23/2020	100.00	1,697.95	12/21/2020	1,752.94	54.99 D	0.00	Buy to Cover Short
12/23/2020	50.00	848.98	12/21/2020	876.47	27.49 D	0.00	Buy to Cover Short
12/23/2020	100.00	1,666.95	12/21/2020	1,715.00	48.05 D	0.00	Buy to Cover Short
12/23/2020	250.00	4,224.87	Various	4,333.98	109.11 D	0.00	Buy to Cover Short
12/23/2020	250.00	4,224.88	Various	4,288.43	76.57 D	13.02	Buy to Cover Short
12/23/2020	100.00	1,697.95	Various	1,776.95	79.00 D	0.00	Buy to Cover Short
12/23/2020	400.00	6,667.79	Various	6,908.05	240.26 D	0.00	Buy to Cover Short
12/23/2020	250.00	4,244.87	Various	4,360.80	115.93 D	0.00	Buy to Cover Short
12/23/2020	500.00	8,405.60	Various	8,835.26	429.66 D	0.00	Buy to Cover Short
<b>Security Totals:</b>		<b>62,059.24</b>		<b>64,352.79</b>		<b>-304.87</b>	
PECK COMPANY HOLDINGS INC (THE) COMMON STOCK   CUSIP: 705163103   Symbol: PECK							
09/28/2020	40.00	323.98	09/28/2020	286.00	0.00	37.98	Sale
09/28/2020	50.00	376.98	09/28/2020	357.50	0.00	19.48	Sale
09/28/2020	60.00	485.97	09/28/2020	429.00	0.00	56.97	Sale
09/28/2020	100.00	772.97	09/28/2020	715.00	0.00	57.97	Sale
09/28/2020	100.00	759.97	09/28/2020	715.00	0.00	44.97	Sale
09/28/2020	100.00	734.97	09/28/2020	715.00	0.00	19.97	Sale
09/28/2020	100.00	780.97	09/28/2020	715.00	0.00	65.97	Sale
09/28/2020	100.00	769.97	09/28/2020	715.00	0.00	54.97	Sale
09/28/2020	150.00	1,102.45	09/28/2020	1,072.50	0.00	29.95	Sale
09/28/2020	200.00	1,507.94	09/28/2020	1,430.00	0.00	77.94	Sale
<b>Security Totals:</b>		<b>7,616.17</b>		<b>7,150.00</b>		<b>466.17</b>	
KIRKLANDS INC   CUSIP: 497498105   Symbol: KIRK							
05/18/2020	1,000.00	1,369.84	Various	1,415.00	0.00	-45.16	Sale
08/24/2020	500.00	4,799.83	Various	4,900.00	100.17 D	0.00	Sale
08/28/2020	91.00	646.07	08/28/2020	627.90	0.00	18.17	Sale

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APEX CLEARING

Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B\*

OMB No. 1545-0715

2TZ05705

(continued)

01/24/2021

**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)

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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
KIRKLANDS INC   CUSIP: 497498105   Symbol: KIRK							
08/28/2020	200.00	1,419.94	08/28/2020	1,380.00	0.00	39.94	Sale
08/28/2020	709.00	5,033.70	Various	4,992.27	0.31 D	41.74	Sale
08/31/2020	250.00	2,204.92	08/31/2020	2,145.16	0.00	59.76	Sale
08/31/2020	250.00	2,204.92	Various	2,145.15	0.00	59.77	Sale
08/31/2020	250.00	2,204.92	Various	2,145.00	0.00	59.92	Sale
08/31/2020	100.00	881.97	08/31/2020	858.00	0.00	23.97	Sale
08/31/2020	150.00	1,322.95	Various	1,287.00	0.00	35.95	Sale
<b>Security Totals:</b>		<b>22,089.06</b>		<b>21,895.48</b>		<b>294.06</b>	
ASTROTECH CORPORATION COMMON STOCK   CUSIP: 046484200   Symbol: ASTC							
03/25/2020	65.00	353.58	03/25/2020	286.00	0.00	67.58	Sale
03/25/2020	2.00	13.98	03/25/2020	22.82	8.84 D	0.00	Sale
03/25/2020	100.00	706.97	Various	1,141.15	434.18 D	0.00	Sale
03/25/2020	100.00	707.17	Various	1,144.55	437.38 D	0.00	Sale
03/25/2020	435.00	2,366.29	03/25/2020	1,914.00	0.00	452.29	Sale
03/25/2020	100.00	707.17	Various	1,143.14	435.97 D	0.00	Sale
03/25/2020	200.00	1,029.95	Various	1,615.73	585.78 D	0.00	Sale
03/25/2020	300.00	1,544.92	Various	2,662.16	1117.24 D	0.00	Sale
03/25/2020	500.00	2,709.88	Various	3,372.24	844.31 D	181.95	Sale
03/25/2020	500.00	2,709.88	Various	3,630.09	920.21 D	0.00	Sale
03/25/2020	698.00	4,934.67	Various	6,275.95	1578.20 D	236.92	Sale
03/25/2020	500.00	2,479.88	Various	3,540.21	1060.33 D	0.00	Sale
03/25/2020	356.00	1,694.30	Various	2,701.78	1007.48 D	0.00	Sale
03/25/2020	144.00	685.33	Various	1,082.55	397.22 D	0.00	Sale
03/26/2020	200.00	683.96	Various	1,262.01	0.00	-578.05	Sale
03/26/2020	800.00	2,735.83	Various	3,577.69	0.00	-841.86	Sale
03/27/2020	100.00	369.98	03/25/2020	532.00	162.02 D	0.00	Buy to Cover Short
03/27/2020	100.00	369.98	03/25/2020	535.00	165.02 D	0.00	Buy to Cover Short
03/27/2020	100.00	369.98	03/25/2020	535.00	165.02 D	0.00	Buy to Cover Short

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APEX CLEARING

Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B\*

OMB No. 1545-0715

2TZ05705

(continued)

01/24/2021

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)

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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
ASTROTECH CORPORATION COMMON STOCK   CUSIP: 046484200   Symbol: ASTC							
03/27/2020	100.00	369.98	03/25/2020	532.00	162.02 D	0.00	Buy to Cover Short
03/27/2020	100.00	369.97	03/25/2020	535.00	165.03 D	0.00	Buy to Cover Short
03/27/2020	100.00	398.98	03/25/2020	693.02	294.04 D	0.00	Buy to Cover Short
03/27/2020	100.00	398.98	03/25/2020	699.52	300.54 D	0.00	Buy to Cover Short
03/27/2020	100.00	398.98	03/25/2020	701.02	302.04 D	0.00	Buy to Cover Short
03/27/2020	100.00	398.98	03/25/2020	700.02	301.04 D	0.00	Buy to Cover Short
03/27/2020	100.00	398.97	03/25/2020	697.03	298.06 D	0.00	Buy to Cover Short
03/27/2020	100.00	419.98	03/25/2020	831.04	411.06 D	0.00	Buy to Cover Short
03/27/2020	100.00	419.98	03/25/2020	833.54	413.56 D	0.00	Buy to Cover Short
03/27/2020	100.00	419.98	03/25/2020	833.04	413.06 D	0.00	Buy to Cover Short
03/27/2020	100.00	419.98	03/25/2020	837.04	417.06 D	0.00	Buy to Cover Short
03/27/2020	200.00	851.95	Various	1,777.12	925.17 D	0.00	Buy to Cover Short
03/27/2020	200.00	866.96	Various	1,898.62	1031.66 D	0.00	Buy to Cover Short
03/27/2020	500.00	1,951.71	Various	1,890.00	0.00	61.71	Buy to Cover Short
03/27/2020	200.00	863.96	Various	1,895.15	1031.19 D	0.00	Buy to Cover Short
03/27/2020	500.00	1,949.89	03/25/2020	1,875.00	0.00	74.89	Buy to Cover Short
<b>Security Totals:</b>		<b>38,072.93</b>		<b>54,202.23</b>		<b>-344.57</b>	
STAR PEAK ENERGY TRANSITION CORP CLASS A COMMON STOCK   CUSIP: 855185104   Symbol: STPK							
12/04/2020	100.00	1,693.45	Various	1,655.00	0.00	38.45	Sale
12/04/2020	100.00	1,684.97	12/04/2020	1,655.00	0.00	29.97	Sale
12/04/2020	100.00	1,703.98	12/04/2020	1,655.00	0.00	48.98	Sale
12/04/2020	300.00	5,255.84	Various	5,167.50	0.00	88.34	Sale
12/04/2020	200.00	3,543.90	Various	3,430.00	0.00	113.90	Sale
12/04/2020	100.00	1,706.95	12/04/2020	1,655.00	0.00	51.95	Sale
12/04/2020	100.00	1,713.95	12/04/2020	1,655.00	0.00	58.95	Sale
12/07/2020	3.00	46.48	12/07/2020	46.95	0.47 D	0.00	Sale
12/07/2020	97.00	1,503.45	12/07/2020	1,518.05	14.6 D	0.00	Sale
12/07/2020	99.00	1,561.18	12/07/2020	1,545.35	0.00	15.83	Sale

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**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

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**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
STAR PEAK ENERGY TRANSITION CORP CLASS A COMMON STOCK   CUSIP: 855185104   Symbol: STPK							
12/07/2020	99.00	1,582.96	Various	1,572.17	0.00	10.79	Sale
12/07/2020	100.00	1,549.95	12/07/2020	1,565.00	15.05 D	0.00	Sale
12/07/2020	100.00	1,586.95	Various	1,586.05	4.58 D	5.48	Sale
12/07/2020	100.00	1,598.95	Various	1,597.67	0.00	1.28	Sale
12/07/2020	100.00	1,585.95	Various	1,596.07	10.12 D	0.00	Sale
12/07/2020	150.00	2,396.92	Various	2,394.73	0.00	2.19	Sale
12/07/2020	151.00	2,414.41	12/07/2020	2,397.95	0.00	16.46	Sale
12/07/2020	300.00	4,649.85	Various	4,737.62	87.77 D	0.00	Sale
12/07/2020	1,000.00	15,699.53	Various	15,812.02	62.52 D	-49.97	Sale
12/07/2020	1.00	15.79	12/07/2020	15.61	0.00	0.18	Sale
12/07/2020	40.00	632.37	12/07/2020	638.42	6.05 D	0.00	Sale
12/07/2020	60.00	948.56	Various	950.11	1.55 D	0.00	Sale
12/07/2020	100.00	1,580.95	12/07/2020	1,560.96	0.00	19.99	Sale
<b>Security Totals:</b>		<b>56,657.29</b>		<b>56,407.23</b>		<b>452.77</b>	
SINTX TECHNOLOGIES INC COMMON STOCK   CUSIP: 829392307   Symbol: SINT							
06/22/2020	15.00	41.23	06/22/2020	40.50	0.00	0.73	Sale
06/22/2020	25.00	68.73	06/22/2020	67.50	0.00	1.23	Sale
06/22/2020	100.00	274.98	06/22/2020	270.00	0.00	4.98	Sale
06/22/2020	100.00	274.98	06/22/2020	270.00	0.00	4.98	Sale
06/22/2020	100.00	274.98	06/22/2020	270.00	0.00	4.98	Sale
06/22/2020	160.00	439.97	06/22/2020	432.00	0.00	7.97	Sale
06/22/2020	250.00	692.45	Various	755.04	62.59 D	0.00	Sale
06/22/2020	300.00	830.94	Various	906.08	75.14 D	0.00	Sale
06/22/2020	450.00	1,246.42	Various	1,359.06	112.64 D	0.00	Sale
06/22/2020	500.00	1,374.90	06/22/2020	1,350.00	0.00	24.90	Sale
06/24/2020	50.00	114.99	06/22/2020	115.00	0.01 D	0.00	Buy to Cover Short
06/24/2020	200.00	541.96	06/22/2020	508.00	0.00	33.96	Buy to Cover Short
06/24/2020	349.00	802.64	Various	802.70	0.06 D	0.00	Buy to Cover Short

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APEX CLEARING

Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B\*

OMB No. 1545-0715

2TZ05705

(continued)

01/24/2021

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

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1a - Description of property | CUSIP | Symbol

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SINTX TECHNOLOGIES INC COMMON STOCK   CUSIP: 829392307   Symbol: SINT							
06/24/2020	601.00	1,382.19	Various	1,382.36	0.17 D	0.00	Buy to Cover Short
06/24/2020	2,000.00	4,299.66	Various	4,550.32	250.66 D	0.00	Sale
07/17/2020	5.00	12.23	07/17/2020	13.70	1.47 D	0.00	Sale
07/17/2020	20.00	48.98	07/17/2020	55.01	6.03 D	0.00	Sale
07/17/2020	25.00	61.23	07/17/2020	68.76	7.53 D	0.00	Sale
07/17/2020	75.00	183.73	Various	206.30	22.57 D	0.00	Sale
07/17/2020	100.00	244.98	07/17/2020	275.06	30.08 D	0.00	Sale
07/17/2020	100.00	244.98	Various	275.05	30.07 D	0.00	Sale
07/17/2020	165.00	404.22	Various	453.85	49.63 D	0.00	Sale
07/17/2020	700.00	1,714.88	Various	1,877.80	162.92 D	0.00	Sale
07/17/2020	810.00	1,984.35	07/17/2020	2,025.13	40.78 D	0.00	Sale
08/04/2020	40.00	112.38	Various	123.64	11.26 D	0.00	Sale
08/04/2020	100.00	279.98	Various	302.07	22.09 D	0.00	Sale
08/04/2020	1,900.00	6,079.63	Various	6,552.02	0.00	-472.39	Sale
08/04/2020	100.00	319.98	Various	349.96	0.00	-29.98	Sale
08/04/2020	1,960.00	5,507.24	Various	5,797.96	290.72 D	0.00	Sale
<b>Security Totals:</b>		<b>29,859.81</b>		<b>31,454.87</b>		<b>-418.64</b>	
***GREENLAND TECHNOLOGIES HOLDING CORPORATION ORDINARY SHARES   CUSIP: G4095T107   Symbol: GTEC							
11/10/2020	500.00	2,969.87	Various	3,065.00	0.00	-95.13	Sale
GEOVAX LABS INC COMMON STOCK   CUSIP: 373678507   Symbol: GOVX							
12/10/2020	100.00	469.97	12/10/2020	485.00	15.03 D	0.00	Sale
12/10/2020	100.00	467.97	12/10/2020	485.00	17.03 D	0.00	Sale
12/10/2020	100.00	467.97	12/10/2020	500.03	32.06 D	0.00	Sale
12/10/2020	150.00	704.96	Various	744.53	39.57 D	0.00	Sale
12/10/2020	500.00	2,339.88	Various	2,447.13	107.25 D	0.00	Sale
12/10/2020	550.00	2,573.87	Various	2,739.25	0.00	-165.38	Sale
<b>Security Totals:</b>		<b>7,024.62</b>		<b>7,400.94</b>		<b>-165.38</b>	

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**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)

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

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

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

1c - DateSold 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
***CAN FITE BIOPHARMA LTD AMERICAN DEPOSITARY SHARES ECH REPRESENTING 30 ORDINARY SHS   CUSIP: 13471N201   Symbol: CANF							
07/15/2020	1.00	2.51	07/15/2020	2.60	0.00	-0.09	Sale
07/15/2020	3.00	7.66	07/15/2020	7.20	0.00	0.46	Sale
07/15/2020	20.00	51.18	07/15/2020	48.00	0.00	3.18	Sale
07/15/2020	27.00	68.83	07/15/2020	68.85	0.02 D	0.00	Sale
07/15/2020	45.00	114.73	07/15/2020	114.75	0.02 D	0.00	Sale
07/15/2020	55.00	140.23	Various	140.27	0.04 D	0.00	Sale
07/15/2020	61.00	157.97	07/15/2020	146.40	0.00	11.57	Sale
07/15/2020	65.00	164.43	Various	169.08	0.00	-4.65	Sale
07/15/2020	32.00	81.90	07/15/2020	81.61	0.00	0.29	Sale
07/15/2020	77.00	197.10	07/15/2020	184.80	0.00	12.30	Sale
07/15/2020	90.00	229.48	Various	229.52	0.04 D	0.00	Sale
07/15/2020	100.00	258.98	07/15/2020	240.00	0.00	18.98	Sale
07/15/2020	100.00	255.98	07/15/2020	240.00	0.00	15.98	Sale
07/15/2020	100.00	255.98	07/15/2020	240.00	0.00	15.98	Sale
07/15/2020	100.00	255.98	07/15/2020	240.00	0.00	15.98	Sale
07/15/2020	100.00	254.98	07/15/2020	255.00	0.02 D	0.00	Sale
07/15/2020	100.00	255.98	07/15/2020	240.00	0.00	15.98	Sale
07/15/2020	100.00	255.98	07/15/2020	239.00	0.00	16.98	Sale
07/15/2020	135.00	341.52	Various	351.05	0.00	-9.53	Sale
07/15/2020	264.00	667.87	Various	686.49	0.00	-18.62	Sale
07/15/2020	339.00	877.95	07/15/2020	813.60	0.00	64.35	Sale
07/15/2020	135.00	341.52	07/15/2020	351.02	0.00	-9.50	Sale
07/15/2020	345.00	879.69	Various	879.82	0.13 D	0.00	Sale
07/15/2020	351.00	894.99	Various	895.11	0.12 D	0.00	Sale
07/15/2020	400.00	1,011.92	Various	1,040.08	0.00	-28.16	Sale
07/15/2020	400.00	1,023.92	07/15/2020	956.00	0.00	67.92	Sale
07/15/2020	455.00	1,160.17	Various	1,160.25	0.08 D	0.00	Sale

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APEX CLEARING

## Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B\*

OMB No. 1545-0715

2TZ05705

(continued)

01/24/2021

**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**

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<b>***CAN FITE BIOPHARMA LTD AMERICAN DEPOSITARY SHARES ECH REPRESENTING 30 ORDINARY SHS   CUSIP: 13471N201   Symbol: CANF</b>							
07/15/2020	500.00	1,279.91	Various	1,196.60	0.00	83.31	Sale
07/15/2020	500.00	1,274.91	07/15/2020	1,275.00	0.03 D	-0.06	Sale
<b>Security Totals:</b>		<b>12,764.25</b>		<b>12,492.10</b>		<b>272.65</b>	
<b>***CHINA RAPID FINANCE LIMITED AMERICAN DEPOSITARY SHRS ECH RPRSNTNG TEN CL A ORD SHS   CUSIP: 16953Q204   Symbol: XRF</b>							
05/06/2020	500.00	1,329.91	Various	1,295.00	0.00	34.91	Sale
<b>QEP RESOURCES INC   CUSIP: 74733V100   Symbol: QEP</b>							
04/30/2020	1,100.00	1,396.83	Various	1,267.00	0.00	129.83	Sale
04/30/2020	3,000.00	2,933.87	04/30/2020	3,090.00	156.13 D	0.00	Sale
04/30/2020	200.00	219.99	Various	226.39	6.4 D	0.00	Sale
04/30/2020	100.00	109.99	04/30/2020	113.20	3.21 D	0.00	Sale
04/30/2020	1,700.00	1,871.11	Various	1,924.48	21.97 D	-31.40	Sale
04/30/2020	2,000.00	2,199.71	Various	2,243.63	0.00	-43.92	Sale
06/05/2020	2,000.00	3,459.68	06/05/2020	3,560.00	100.32 D	0.00	Sale
06/05/2020	2,000.00	3,579.68	06/05/2020	3,560.32	0.00	19.36	Sale
06/08/2020	100.00	248.48	06/08/2020	250.93	0.00	-2.45	Sale
06/08/2020	100.00	248.48	06/08/2020	250.93	0.00	-2.45	Sale
06/08/2020	100.00	248.48	06/08/2020	250.93	0.00	-2.45	Sale
06/08/2020	100.00	248.21	06/08/2020	250.93	0.00	-2.72	Sale
06/08/2020	100.00	248.48	06/08/2020	250.92	0.00	-2.44	Sale
06/08/2020	100.00	248.21	Various	250.93	0.00	-2.72	Sale
06/08/2020	596.00	1,454.25	06/08/2020	1,471.70	17.45 D	0.00	Sale
06/08/2020	1,400.00	3,478.75	06/08/2020	3,512.29	0.00	-33.54	Sale
06/08/2020	1,404.00	3,426.49	06/08/2020	3,466.90	40.41 D	0.00	Sale
<b>Security Totals:</b>		<b>25,620.69</b>		<b>25,941.48</b>		<b>25.10</b>	
<b>1847 GOEDEKER INC COMMON STOCK   CUSIP: 28252C109   Symbol: GOED</b>							
10/27/2020	100.00	979.96	Various	1,031.53	51.57 D	0.00	Sale
10/27/2020	194.00	1,901.13	Various	2,018.21	117.08 D	0.00	Sale
10/27/2020	210.00	2,057.93	Various	2,202.70	142.37 D	-2.40	Sale

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APEX CLEARING

## Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B\*

OMB No. 1545-0715

2TZ05705

(continued)

01/24/2021

**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**

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1847 GOEDEKER INC COMMON STOCK   CUSIP: 28252C109   Symbol: GOED							
10/27/2020	196.00	1,920.73	Various	2,042.09	0.00	-121.36	Sale
10/27/2020	300.00	2,939.89	Various	3,177.33	0.00	-237.44	Sale
10/27/2020	28.00	267.10	Various	275.81	8.71 D	0.00	Sale
10/27/2020	500.00	4,944.83	10/27/2020	5,000.05	55.22 D	0.00	Sale
10/27/2020	100.00	951.96	Various	985.04	33.08 D	0.00	Sale
10/27/2020	372.00	3,541.32	Various	3,664.37	123.05 D	0.00	Sale
<b>Security Totals:</b>		<b>19,504.85</b>		<b>20,397.13</b>		<b>-361.20</b>	
SHINECO INC COMMON STOCK   CUSIP: 824567200   Symbol: TYHT							
07/27/2020	17.00	13.03	07/27/2020	14.14	1.11 D	0.00	Sale
07/27/2020	483.00	370.87	Various	402.97	1.48 D	-30.62	Sale
07/27/2020	500.00	383.93	Various	417.48	0.00	-33.55	Sale
07/27/2020	500.00	383.93	07/27/2020	416.00	0.00	-32.07	Sale
07/27/2020	500.00	383.93	07/27/2020	416.00	0.00	-32.07	Sale
07/27/2020	500.00	383.93	07/27/2020	416.00	0.00	-32.07	Sale
07/27/2020	500.00	383.93	07/27/2020	416.00	0.00	-32.07	Sale
<b>Security Totals:</b>		<b>2,303.55</b>		<b>2,498.59</b>		<b>-192.45</b>	
***LIGHTINTHEBOX HOLDING CO LTD SPONSORED ADR   CUSIP: 53225G102   Symbol: LITB							
08/11/2020	40.00	125.18	08/11/2020	114.80	0.00	10.38	Sale
08/11/2020	100.00	314.98	08/11/2020	289.00	0.00	25.98	Sale
08/11/2020	10.00	31.28	08/11/2020	28.70	0.00	2.58	Sale
08/11/2020	100.00	312.98	08/11/2020	287.00	0.00	25.98	Sale
08/11/2020	206.00	648.86	08/11/2020	595.34	0.00	53.52	Sale
08/11/2020	450.00	1,408.41	08/11/2020	1,291.50	0.00	116.91	Sale
08/11/2020	400.00	1,251.92	08/11/2020	1,148.00	0.00	103.92	Sale
08/11/2020	694.00	2,137.39	08/11/2020	2,005.66	0.00	131.73	Sale
08/12/2020	2,000.00	5,539.63	Various	5,537.26	0.00	2.37	Sale
<b>Security Totals:</b>		<b>11,770.63</b>		<b>11,297.26</b>		<b>473.37</b>	

**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

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**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
FUELCELL ENERGY INC COMMON STOCK   CUSIP: 35952H601   Symbol: FCEL							
01/14/2020	5,000.00	10,549.15	Various	10,650.00	0.00	-100.85	Buy to Cover Short
06/10/2020	200.00	615.96	Various	664.04	48.08 D	0.00	Sale
06/10/2020	200.00	627.96	06/10/2020	666.00	38.04 D	0.00	Sale
06/10/2020	800.00	2,463.84	Various	2,656.16	192.32 D	0.00	Sale
06/10/2020	2,000.00	6,099.62	Various	6,280.38	0.00	-180.76	Sale
06/10/2020	800.00	2,511.84	06/10/2020	2,664.00	152.16 D	0.00	Sale
06/10/2020	2,000.00	6,139.62	Various	6,520.78	0.00	-381.16	Sale
06/10/2020	4,000.00	12,239.24	Various	12,600.40	361.16 D	0.00	Sale
11/18/2020	46.00	240.79	Various	262.70	21.91 D	0.00	Sale
11/18/2020	50.00	201.98	11/18/2020	201.50	0.00	0.48	Sale
11/18/2020	99.00	521.70	Various	536.51	14.94 D	0.13	Sale
11/18/2020	54.00	282.67	Various	297.83	15.16 D	0.00	Sale
11/18/2020	100.00	518.97	11/18/2020	559.52	40.55 D	0.00	Sale
11/18/2020	100.00	523.97	Various	539.20	15.23 D	0.00	Sale
11/18/2020	100.00	523.97	Various	540.23	16.26 D	0.00	Sale
11/18/2020	100.00	527.97	11/18/2020	544.13	16.16 D	0.00	Sale
11/18/2020	100.00	523.97	Various	540.38	16.41 D	0.00	Sale
11/18/2020	200.00	809.96	11/18/2020	806.00	0.00	3.96	Sale
11/18/2020	200.00	1,047.95	Various	1,123.12	75.17 D	0.00	Sale
11/18/2020	300.00	1,214.93	11/18/2020	1,209.00	0.00	5.93	Sale
11/18/2020	400.00	2,111.90	Various	2,178.92	67.02 D	0.00	Sale
11/18/2020	400.00	2,093.90	Various	2,250.90	157.00 D	0.00	Sale
11/18/2020	400.00	2,077.90	Various	2,167.97	90.07 D	0.00	Sale
11/18/2020	401.00	2,113.17	Various	2,144.40	31.74 D	0.51	Sale
11/18/2020	450.00	1,817.90	11/18/2020	1,813.50	0.00	4.40	Sale
11/18/2020	500.00	2,019.89	11/18/2020	1,995.00	0.00	24.89	Sale
11/18/2020	500.00	2,044.89	Various	2,081.94	37.05 D	0.00	Sale

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**SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS**

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

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

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

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FUELCELL ENERGY INC COMMON STOCK   CUSIP: 35952H601   Symbol: FCEL							
11/18/2020	500.00	2,019.89	Various	2,032.05	13.36 D	1.20	Sale
11/18/2020	500.00	2,700.38	Various	2,688.05	0.00	12.33	Sale
11/18/2020	500.00	2,639.88	Various	2,832.67	192.79 D	0.00	Sale
11/18/2020	500.00	2,539.88	Various	2,779.60	239.72 D	0.00	Sale
11/18/2020	500.00	2,542.38	Various	2,752.24	209.86 D	0.00	Sale
11/18/2020	500.00	2,624.88	Various	2,754.32	129.44 D	0.00	Sale
11/18/2020	500.00	2,595.38	Various	2,785.61	190.23 D	0.00	Sale
11/18/2020	500.00	2,634.88	Various	2,677.16	47.36 D	5.08	Sale
11/18/2020	500.00	2,629.88	Various	2,729.65	99.77 D	0.00	Sale
11/18/2020	500.00	2,595.18	Various	2,820.82	225.64 D	0.00	Sale
11/18/2020	500.00	2,595.38	Various	2,760.86	165.48 D	0.00	Sale
11/18/2020	500.00	2,639.88	Various	2,791.58	151.70 D	0.00	Sale
11/18/2020	500.00	2,614.88	Various	2,657.06	45.43 D	3.25	Sale
11/18/2020	500.00	2,624.88	Various	2,633.47	24.30 D	15.71	Sale
11/18/2020	1,000.00	5,229.76	Various	5,469.86	240.10 D	0.00	Sale
11/18/2020	19.00	76.74	11/18/2020	76.76	0.02 D	0.00	Sale
11/18/2020	37.00	149.46	11/18/2020	149.47	0.01 D	0.00	Sale
11/18/2020	44.00	177.74	Various	177.78	0.04 D	0.00	Sale
11/18/2020	100.00	407.99	Various	413.00	5.01 D	0.00	Sale
11/18/2020	100.00	407.99	Various	413.05	5.06 D	0.00	Sale
11/18/2020	100.00	403.99	Various	404.06	0.07 D	0.00	Sale
11/18/2020	300.00	1,223.96	Various	1,217.14	3.15 D	9.97	Sale
11/18/2020	300.00	1,211.96	Various	1,200.15	0.05 D	11.86	Sale
11/18/2020	438.00	1,756.29	11/18/2020	1,773.90	17.61 D	0.00	Sale
11/18/2020	500.00	2,695.43	Various	2,806.31	118.65 D	7.77	Sale
11/18/2020	500.00	2,020.44	11/18/2020	1,995.00	0.00	25.44	Sale
11/18/2020	500.00	2,730.72	Various	2,839.25	108.53 D	0.00	Sale

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**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)

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FUELCELL ENERGY INC COMMON STOCK   CUSIP: 35952H601   Symbol: FCEL							
11/18/2020	500.00	2,649.88	Various	2,828.58	178.70 D	0.00	Sale
11/18/2020	500.00	2,594.88	Various	2,749.03	154.15 D	0.00	Sale
11/18/2020	500.00	2,594.88	Various	2,806.94	212.06 D	0.00	Sale
11/18/2020	762.00	3,055.46	Various	3,110.41	54.95 D	0.00	Sale
11/18/2020	800.00	3,207.82	Various	3,302.95	95.13 D	0.00	Sale
11/19/2020	10.00	52.88	Various	53.32	0.44 D	0.00	Sale
11/19/2020	50.00	262.98	Various	272.90	9.92 D	0.00	Sale
11/19/2020	69.00	371.89	Various	374.05	2.16 D	0.00	Sale
11/19/2020	100.00	525.97	Various	539.61	13.64 D	0.00	Sale
11/19/2020	100.00	525.97	Various	541.52	15.55 D	0.00	Sale
11/19/2020	100.00	525.97	Various	541.37	15.40 D	0.00	Sale
11/19/2020	100.00	538.97	Various	539.04	0.07 D	0.00	Sale
11/19/2020	100.00	525.97	Various	538.28	12.31 D	0.00	Sale
11/19/2020	100.00	538.97	11/19/2020	539.00	0.03 D	0.00	Sale
11/19/2020	137.00	720.58	Various	741.00	20.42 D	0.00	Sale
11/19/2020	200.00	1,051.95	Various	1,068.22	16.27 D	0.00	Sale
11/19/2020	200.00	1,051.95	Various	1,061.95	10.00 D	0.00	Sale
11/19/2020	200.00	1,051.95	11/19/2020	1,061.95	10 D	0.00	Sale
11/19/2020	200.00	1,051.95	11/19/2020	1,061.96	10.01 D	0.00	Sale
11/19/2020	200.00	1,051.95	11/19/2020	1,061.95	10 D	0.00	Sale
11/19/2020	300.00	1,577.92	Various	1,592.93	15.01 D	0.00	Sale
11/19/2020	300.00	1,577.92	11/19/2020	1,592.93	15.01 D	0.00	Sale
11/19/2020	300.00	1,616.92	11/19/2020	1,617.00	0.08 D	0.00	Sale
11/19/2020	400.00	2,103.90	11/19/2020	2,123.91	20.01 D	0.00	Sale
11/19/2020	400.00	2,155.90	11/19/2020	2,156.00	0.1 D	0.00	Sale
11/19/2020	900.00	4,850.78	Various	4,852.46	2.11 D	0.43	Sale
11/19/2020	913.00	4,802.16	Various	4,847.82	45.66 D	0.00	Sale

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**SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS**

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

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FUELCELL ENERGY INC COMMON STOCK   CUSIP: 35952H601   Symbol: FCEL							
11/19/2020	990.00	5,236.86	Various	5,203.46	1.74 D	35.14	Sale
11/19/2020	1,500.00	7,889.64	11/19/2020	7,964.65	75.01 D	0.00	Sale
11/19/2020	3,131.00	16,844.03	Various	16,876.43	32.40 D	0.00	Sale
11/19/2020	1.00	5.25	11/19/2020	5.42	0.17 D	0.00	Sale
11/19/2020	1.00	5.33	11/19/2020	5.39	0.06 D	0.00	Sale
11/19/2020	1.00	5.33	11/19/2020	5.39	0.06 D	0.00	Sale
11/19/2020	2.00	10.68	11/19/2020	10.78	0.1 D	0.00	Sale
11/19/2020	3.00	15.79	11/19/2020	16.25	0.46 D	0.00	Sale
11/19/2020	7.00	36.87	11/19/2020	37.91	1.04 D	0.00	Sale
11/19/2020	10.00	52.68	11/19/2020	54.15	1.47 D	0.00	Sale
11/19/2020	10.00	53.48	11/19/2020	53.89	0.41 D	0.00	Sale
11/19/2020	36.00	192.58	11/19/2020	194.01	1.43 D	0.00	Sale
11/19/2020	100.00	527.97	11/19/2020	530.00	2.03 D	0.00	Sale
11/19/2020	100.00	526.97	Various	537.24	10.27 D	0.00	Sale
11/19/2020	100.00	534.98	Various	539.73	4.75 D	0.00	Sale
11/19/2020	100.00	534.98	Various	540.33	5.35 D	0.00	Sale
11/19/2020	100.00	534.98	Various	538.98	4 D	0.00	Sale
11/19/2020	100.00	534.98	Various	538.97	3.99 D	0.00	Sale
11/19/2020	100.00	534.98	11/19/2020	538.97	3.99 D	0.00	Sale
11/19/2020	100.00	534.98	Various	538.98	4 D	0.00	Sale
11/19/2020	200.00	1,053.95	Various	1,074.51	20.56 D	0.00	Sale
11/19/2020	200.00	1,053.95	Various	1,072.12	18.17 D	0.00	Sale
11/19/2020	200.00	1,053.95	Various	1,066.03	12.08 D	0.00	Sale
11/19/2020	200.00	1,053.95	Various	1,054.02	0.07 D	0.00	Sale
11/19/2020	200.00	1,069.97	Various	1,077.95	7.98 D	0.00	Sale
11/19/2020	200.00	1,069.97	Various	1,077.95	7.98 D	0.00	Sale
11/19/2020	200.00	1,069.97	Various	1,077.88	7.91 D	0.00	Sale

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FUELCELL ENERGY INC COMMON STOCK   CUSIP: 35952H601   Symbol: FCEL							
11/19/2020	200.00	1,069.97	Various	1,077.83	7.86 D	0.00	Sale
11/19/2020	200.00	1,069.97	Various	1,077.83	7.86 D	0.00	Sale
11/19/2020	250.00	1,337.47	Various	1,347.28	9.81 D	0.00	Sale
11/19/2020	200.00	1,069.97	Various	1,077.83	7.86 D	0.00	Sale
11/19/2020	300.00	1,604.95	Various	1,617.01	12.06 D	0.00	Sale
11/19/2020	400.00	2,109.14	11/19/2020	2,120.00	10.86 D	0.00	Sale
11/19/2020	400.00	2,139.94	Various	2,156.06	16.12 D	0.00	Sale
11/19/2020	500.00	2,639.88	11/19/2020	2,650.01	10.13 D	0.00	Sale
11/19/2020	500.00	2,674.93	Various	2,701.65	26.72 D	0.00	Sale
11/19/2020	500.00	2,674.93	Various	2,710.61	35.68 D	0.00	Sale
11/19/2020	850.00	4,479.30	11/19/2020	4,479.50	0.2 D	0.00	Sale
11/19/2020	1,000.00	5,289.76	11/19/2020	5,220.00	0.00	69.76	Sale
11/19/2020	1,000.00	5,269.86	Various	5,294.24	36.78 D	12.40	Sale
11/19/2020	1,000.00	5,309.76	Various	5,230.22	0.00	79.54	Sale
11/19/2020	1,000.00	5,300.86	Various	5,243.02	0.00	57.84	Sale
11/19/2020	1,200.00	6,419.83	Various	6,503.42	83.59 D	0.00	Sale
11/19/2020	1,300.00	6,850.69	11/19/2020	6,851.00	0.31 D	0.00	Sale
11/19/2020	1,929.00	10,165.37	11/19/2020	10,165.83	0.46 D	0.00	Sale
11/19/2020	2,000.00	10,579.72	Various	10,664.18	84.46 D	0.00	Sale
11/19/2020	2,000.00	10,624.32	Various	10,600.03	0.00	24.29	Sale
11/19/2020	5,000.00	26,402.31	Various	26,515.26	112.95 D	0.00	Sale
11/20/2020	31.00	162.77	Various	169.45	6.68 D	0.00	Buy to Cover Short
11/20/2020	31.00	162.78	11/18/2020	169.29	6.51 D	0.00	Buy to Cover Short
11/20/2020	31.00	162.77	11/18/2020	169.30	6.53 D	0.00	Buy to Cover Short
11/20/2020	32.00	168.95	Various	176.79	7.84 D	0.00	Buy to Cover Short
11/20/2020	50.00	273.53	Various	284.62	11.09 D	0.00	Buy to Cover Short
11/20/2020	32.00	168.03	Various	174.76	6.73 D	0.00	Buy to Cover Short

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FUELCELL ENERGY INC COMMON STOCK   CUSIP: 35952H601   Symbol: FCEL							
11/20/2020	66.00	348.46	Various	364.29	15.83 D	0.00	Buy to Cover Short
11/20/2020	74.00	404.78	Various	406.04	1.26 D	0.00	Buy to Cover Short
11/20/2020	100.00	527.97	Various	551.96	23.99 D	0.00	Buy to Cover Short
11/20/2020	80.00	454.41	Various	502.21	47.80 D	0.00	Buy to Cover Short
11/20/2020	100.00	518.98	11/18/2020	527.43	8.45 D	0.00	Buy to Cover Short
11/20/2020	100.00	518.98	11/18/2020	527.43	8.45 D	0.00	Buy to Cover Short
11/20/2020	100.00	509.08	11/18/2020	505.00	0.00	4.08	Buy to Cover Short
11/20/2020	100.00	527.98	11/18/2020	551.46	23.48 D	0.00	Buy to Cover Short
11/20/2020	100.00	509.08	11/18/2020	505.00	0.00	4.08	Buy to Cover Short
11/20/2020	100.00	518.97	11/18/2020	527.43	8.46 D	0.00	Buy to Cover Short
11/20/2020	100.00	518.98	11/18/2020	527.43	8.45 D	0.00	Buy to Cover Short
11/20/2020	100.00	568.76	Various	627.85	59.09 D	0.00	Buy to Cover Short
11/20/2020	100.00	518.97	11/18/2020	527.42	8.45 D	0.00	Buy to Cover Short
11/20/2020	102.00	538.54	Various	563.40	24.86 D	0.00	Buy to Cover Short
11/20/2020	176.00	962.67	Various	964.29	1.62 D	0.00	Buy to Cover Short
11/20/2020	120.00	682.77	Various	727.88	45.11 D	0.00	Buy to Cover Short
11/20/2020	200.00	1,057.02	Various	1,109.50	52.48 D	0.00	Buy to Cover Short
11/20/2020	200.00	1,094.16	Various	1,139.94	45.78 D	0.00	Buy to Cover Short
11/20/2020	200.00	1,137.95	11/18/2020	1,207.32	69.37 D	0.00	Buy to Cover Short
11/20/2020	250.00	1,367.42	Various	1,341.62	0.00	25.80	Buy to Cover Short
11/20/2020	250.00	1,367.68	Various	1,441.77	74.09 D	0.00	Buy to Cover Short
11/20/2020	250.00	1,427.45	Various	1,495.90	68.45 D	0.00	Buy to Cover Short
11/20/2020	250.00	1,427.42	Various	1,434.03	6.61 D	0.00	Buy to Cover Short
11/20/2020	250.00	1,388.13	Various	1,458.30	70.17 D	0.00	Buy to Cover Short
11/20/2020	250.00	1,377.71	Various	1,396.46	18.75 D	0.00	Buy to Cover Short
11/20/2020	250.00	1,377.68	Various	1,457.42	79.74 D	0.00	Buy to Cover Short
11/20/2020	250.00	1,374.93	Various	1,406.25	31.32 D	0.00	Buy to Cover Short

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**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 - DateSold 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
FUELCELL ENERGY INC COMMON STOCK   CUSIP: 35952H601   Symbol: FCEL							
11/20/2020	250.00	1,327.42	Various	1,381.61	54.19 D	0.00	Buy to Cover Short
11/20/2020	250.00	1,427.45	Various	1,521.10	93.65 D	0.00	Buy to Cover Short
11/20/2020	250.00	1,327.43	Various	1,412.46	85.03 D	0.00	Buy to Cover Short
11/20/2020	300.00	1,527.22	11/18/2020	1,515.00	0.00	12.22	Buy to Cover Short
11/20/2020	400.00	2,116.32	Various	2,228.24	111.92 D	0.00	Buy to Cover Short
11/20/2020	375.00	1,969.03	Various	2,048.72	79.69 D	0.00	Buy to Cover Short
11/20/2020	500.00	2,550.43	11/18/2020	2,633.22	82.79 D	0.00	Buy to Cover Short
11/20/2020	500.00	2,579.88	11/18/2020	2,579.50	0.00	0.38	Buy to Cover Short
11/20/2020	500.00	2,625.38	Various	2,721.14	95.76 D	0.00	Buy to Cover Short
11/20/2020	500.00	2,669.88	Various	2,936.44	266.56 D	0.00	Buy to Cover Short
11/20/2020	500.00	2,649.88	Various	2,737.38	87.50 D	0.00	Buy to Cover Short
11/20/2020	500.00	2,529.93	11/18/2020	2,525.00	0.00	4.93	Buy to Cover Short
11/20/2020	500.00	2,631.43	Various	2,755.31	123.88 D	0.00	Buy to Cover Short
11/20/2020	500.00	2,639.86	Various	2,853.90	214.04 D	0.00	Buy to Cover Short
11/20/2020	500.00	2,630.38	Various	2,809.28	178.90 D	0.00	Buy to Cover Short
11/20/2020	500.00	2,839.87	Various	3,096.37	256.50 D	0.00	Buy to Cover Short
11/20/2020	500.00	2,875.07	Various	2,825.77	0.00	49.30	Buy to Cover Short
11/20/2020	500.00	2,819.87	Various	2,975.00	155.13 D	0.00	Buy to Cover Short
11/20/2020	500.00	2,812.87	Various	2,880.40	67.53 D	0.00	Buy to Cover Short
11/20/2020	500.00	2,875.42	Various	3,060.72	185.30 D	0.00	Buy to Cover Short
11/20/2020	500.00	2,594.93	Various	2,715.27	120.34 D	0.00	Buy to Cover Short
11/20/2020	500.00	2,539.88	11/18/2020	2,530.00	0.00	9.88	Buy to Cover Short
11/20/2020	1,000.00	5,674.74	Various	6,006.50	331.76 D	0.00	Buy to Cover Short
11/20/2020	500.00	2,536.87	Various	2,535.00	0.03 D	1.90	Buy to Cover Short
11/20/2020	1,000.00	5,140.23	Various	5,290.14	149.91 D	0.00	Buy to Cover Short
11/20/2020	10.00	55.03	Various	59.43	4.40 D	0.00	Buy to Cover Short
11/20/2020	30.00	150.59	11/18/2020	153.25	2.66 D	0.00	Buy to Cover Short

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APEX CLEARING

Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B\*

OMB No. 1545-0715

2TZ05705

(continued)

01/24/2021

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

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1a - Description of property | CUSIP | Symbol

1c - DateSold 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
FUELCELL ENERGY INC COMMON STOCK   CUSIP: 35952H601   Symbol: FCEL							
11/20/2020	100.00	522.98	Various	546.73	23.75 D	0.00	Buy to Cover Short
11/20/2020	200.00	1,045.95	Various	1,093.18	47.23 D	0.00	Buy to Cover Short
11/20/2020	200.00	1,045.95	11/18/2020	1,093.97	48.02 D	0.00	Buy to Cover Short
11/20/2020	200.00	1,033.93	Various	1,090.09	56.16 D	0.00	Buy to Cover Short
11/20/2020	221.00	1,244.42	Various	1,307.25	62.83 D	0.00	Buy to Cover Short
11/20/2020	240.00	1,321.15	Various	1,410.00	88.85 D	0.00	Buy to Cover Short
11/20/2020	250.00	1,350.94	Various	1,472.96	122.02 D	0.00	Buy to Cover Short
11/20/2020	250.00	1,350.09	Various	1,468.15	118.06 D	0.00	Buy to Cover Short
11/20/2020	250.00	1,362.72	11/18/2020	1,282.50	0.00	80.22	Buy to Cover Short
11/20/2020	250.00	1,362.70	Various	1,280.36	0.00	82.34	Buy to Cover Short
11/20/2020	250.00	1,427.42	Various	1,474.20	46.78 D	0.00	Buy to Cover Short
11/20/2020	300.00	1,550.92	Various	1,634.54	83.62 D	0.00	Buy to Cover Short
11/20/2020	279.00	1,571.00	11/18/2020	1,590.23	19.23 D	0.00	Buy to Cover Short
11/20/2020	470.00	2,359.29	11/18/2020	2,401.65	42.36 D	0.00	Buy to Cover Short
11/20/2020	500.00	2,549.98	11/18/2020	2,695.29	145.31 D	0.00	Buy to Cover Short
11/20/2020	500.00	2,644.84	Various	2,831.78	186.94 D	0.00	Buy to Cover Short
11/20/2020	500.00	2,565.38	11/18/2020	2,578.80	13.42 D	0.00	Buy to Cover Short
11/20/2020	500.00	2,509.88	Various	2,600.02	90.14 D	0.00	Buy to Cover Short
11/20/2020	500.00	2,639.88	Various	2,757.40	117.52 D	0.00	Buy to Cover Short
11/20/2020	500.00	2,805.99	Various	2,911.91	105.92 D	0.00	Buy to Cover Short
11/20/2020	500.00	2,805.37	Various	2,935.37	130.00 D	0.00	Buy to Cover Short
11/20/2020	500.00	2,584.88	Various	2,647.26	62.38 D	0.00	Buy to Cover Short
11/20/2020	500.00	2,875.91	Various	3,166.63	290.72 D	0.00	Buy to Cover Short
11/20/2020	500.00	2,644.88	Various	2,808.26	163.38 D	0.00	Buy to Cover Short
11/20/2020	500.00	2,876.86	Various	2,915.13	38.27 D	0.00	Buy to Cover Short
11/20/2020	500.00	2,809.87	Various	3,000.13	190.26 D	0.00	Buy to Cover Short
11/20/2020	250.00	1,322.69	Various	1,282.33	0.00	40.36	Sale

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APEX CLEARING

Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B\*

OMB No. 1545-0715

2TZ05705

(continued)

01/24/2021

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
FUELCELL ENERGY INC COMMON STOCK   CUSIP: 35952H601   Symbol: FCEL							
11/20/2020	250.00	1,297.44	Various	1,297.48	0.08 D	0.04	Sale
11/20/2020	250.00	1,292.44	Various	1,312.52	20.08 D	0.00	Sale
11/20/2020	250.00	1,297.44	Various	1,297.30	0.00	0.14	Sale
11/20/2020	250.00	1,292.72	Various	1,300.08	7.36 D	0.00	Sale
11/20/2020	250.00	1,292.74	Various	1,311.83	19.09 D	0.00	Sale
11/20/2020	250.00	1,292.74	Various	1,312.52	19.78 D	0.00	Sale
11/20/2020	250.00	1,316.19	Various	1,292.56	0.00	23.63	Sale
11/23/2020	5.00	42.48	11/23/2020	41.95	0.00	0.53	Sale
11/23/2020	13.00	110.48	11/23/2020	109.07	0.00	1.41	Sale
11/23/2020	29.00	247.35	Various	249.62	2.27 D	0.00	Sale
11/23/2020	82.00	696.97	11/23/2020	687.95	0.00	9.02	Sale
11/23/2020	400.00	3,399.87	Various	3,358.71	0.00	41.16	Sale
11/23/2020	471.00	4,017.48	Various	4,043.48	26.00 D	0.00	Sale
11/23/2020	500.00	4,124.84	Various	4,129.72	4.88 D	0.00	Sale
11/23/2020	500.00	4,069.85	Various	4,119.96	50.11 D	0.00	Sale
11/23/2020	500.00	4,229.84	Various	4,250.40	20.56 D	0.00	Sale
11/23/2020	500.00	4,179.84	Various	4,212.32	32.48 D	0.00	Sale
11/23/2020	500.00	4,249.84	Various	4,215.28	0.00	34.56	Sale
11/23/2020	500.00	4,229.84	Various	4,259.53	29.69 D	0.00	Sale
11/23/2020	500.00	4,264.84	Various	4,310.00	45.16 D	0.00	Sale
11/23/2020	500.00	4,287.34	Various	4,338.19	50.85 D	0.00	Sale
11/23/2020	500.00	4,287.34	Various	4,325.65	38.31 D	0.00	Sale
11/23/2020	500.00	4,287.34	Various	4,341.85	54.51 D	0.00	Sale
11/23/2020	500.00	4,287.34	Various	4,337.83	50.49 D	0.00	Sale
11/23/2020	500.00	4,124.84	Various	4,110.61	1.26 D	15.49	Sale
11/23/2020	500.00	4,180.39	Various	4,224.17	43.78 D	0.00	Sale
11/24/2020	5.00	37.78	11/24/2020	37.89	0.11 D	0.00	Sale

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**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
FUELCELL ENERGY INC COMMON STOCK   CUSIP: 35952H601   Symbol: FCEL							
11/24/2020	10.00	77.48	Various	82.20	4.72 D	0.00	Sale
11/24/2020	34.00	263.48	11/24/2020	279.46	15.98 D	0.00	Sale
11/24/2020	56.00	433.98	Various	460.30	26.32 D	0.00	Sale
11/24/2020	16.00	123.98	11/24/2020	131.51	7.53 D	0.00	Sale
11/24/2020	64.00	587.49	Various	579.84	0.00	7.65	Sale
11/24/2020	74.00	577.17	11/24/2020	570.47	0.00	6.70	Sale
11/24/2020	75.00	686.97	Various	679.98	0.00	6.99	Sale
11/24/2020	84.00	650.97	11/24/2020	690.44	39.47 D	0.00	Sale
11/24/2020	100.00	774.97	Various	824.50	49.53 D	0.00	Sale
11/24/2020	100.00	774.97	Various	827.01	52.04 D	0.00	Sale
11/24/2020	100.00	777.97	11/24/2020	781.00	3.03 D	0.00	Sale
11/24/2020	100.00	774.97	Various	826.98	52.01 D	0.00	Sale
11/24/2020	150.00	1,166.95	11/24/2020	1,171.50	4.55 D	0.00	Sale
11/24/2020	175.00	1,602.94	Various	1,583.37	0.00	19.57	Sale
11/24/2020	176.00	1,372.74	11/24/2020	1,356.78	0.00	15.96	Sale
11/24/2020	186.00	1,707.42	Various	1,688.38	0.00	19.04	Sale
11/24/2020	245.00	1,852.12	11/24/2020	1,856.74	4.62 D	0.00	Sale
11/24/2020	250.00	2,272.41	Various	2,258.13	0.00	14.28	Sale
11/24/2020	250.00	2,277.41	Various	2,252.98	0.00	24.43	Sale
11/24/2020	250.00	1,945.17	Various	1,970.08	24.91 D	0.00	Sale
11/24/2020	250.00	1,949.92	Various	2,101.80	151.88 D	0.00	Sale
11/24/2020	250.00	1,959.92	Various	1,914.48	0.00	45.44	Sale
11/24/2020	250.00	1,950.17	Various	1,950.00	0.00	0.17	Sale
11/24/2020	26.00	202.78	11/24/2020	200.43	0.00	2.35	Sale
11/24/2020	1,000.00	8,799.68	Various	9,022.36	222.68 D	0.00	Sale
11/24/2020	48.00	373.42	11/24/2020	381.53	8.11 D	0.00	Sale
11/24/2020	202.00	1,571.50	Various	1,605.61	34.11 D	0.00	Sale

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APEX CLEARING

## Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B\*

OMB No. 1545-0715

2TZ05705

(continued)

01/24/2021

**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>
FUELCELL ENERGY INC COMMON STOCK   CUSIP: 35952H601   Symbol: FCEL							
11/24/2020	224.00	1,747.13	11/24/2020	1,726.82	0.00	20.31	Sale
11/24/2020	250.00	1,890.12	11/24/2020	1,892.50	2.38 D	0.00	Sale
11/24/2020	250.00	1,951.17	Various	1,914.82	0.00	36.35	Sale
11/24/2020	250.00	1,933.37	Various	1,992.22	58.85 D	0.00	Sale
11/24/2020	250.00	1,932.62	Various	2,083.97	151.35 D	0.00	Sale
11/24/2020	250.00	1,933.07	Various	2,037.96	104.89 D	0.00	Sale
11/24/2020	250.00	1,950.52	Various	2,098.13	147.61 D	0.00	Sale
11/24/2020	250.00	1,932.42	Various	2,083.85	151.43 D	0.00	Sale
11/24/2020	250.00	1,933.12	Various	2,083.93	150.81 D	0.00	Sale
11/24/2020	250.00	1,932.42	Various	2,008.85	76.43 D	0.00	Sale
11/24/2020	250.00	1,937.62	Various	2,080.09	142.47 D	0.00	Sale
11/24/2020	250.00	1,937.70	Various	2,092.27	154.57 D	0.00	Sale
11/24/2020	250.00	1,950.70	Various	2,100.11	149.41 D	0.00	Sale
11/24/2020	250.00	1,949.92	Various	2,101.66	151.74 D	0.00	Sale
11/24/2020	250.00	1,932.70	Various	2,083.11	0.00	-150.41	Sale
11/24/2020	250.00	1,932.60	Various	2,023.26	90.66 D	0.00	Sale
<b>Security Totals:</b>		<b>599,868.68</b>		<b>613,518.05</b>		<b>259.84</b>	
DPW HOLDINGS INC COMMON STOCK   CUSIP: 26140E600   Symbol: DPW							
10/08/2020	2,000.00	5,639.63	Various	5,779.75	140.12 D	0.00	Sale
10/08/2020	450.00	1,246.42	Various	1,354.32	0.00	-107.90	Sale
10/08/2020	1,550.00	4,293.22	Various	4,525.50	0.00	-232.28	Sale
11/23/2020	100.00	698.97	11/23/2020	669.00	0.00	29.97	Sale
11/23/2020	100.00	679.97	11/23/2020	669.00	0.00	10.97	Sale
11/23/2020	100.00	680.03	11/23/2020	669.00	0.00	11.03	Sale
11/23/2020	300.00	1,981.41	Various	1,959.00	0.00	22.41	Sale
<b>Security Totals:</b>		<b>15,219.65</b>		<b>15,625.57</b>		<b>-265.80</b>	
HOUSTON AMERN ENERGY CORP COMMON STOCK   CUSIP: 44183U209   Symbol: HUSA							
09/29/2020	1,000.00	4,199.78	09/29/2020	4,320.00	0.00	-120.22	Sale

APEX CLEARING

Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B\*

OMB No. 1545-0715

2TZ05705

(continued)

01/24/2021

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

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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
RADIUS HEALTH INC   CUSIP: 750469207   Symbol: RDUS							
12/18/2020	50.00	911.47	12/16/2020	923.08	11.61 D	0.00	Buy to Cover Short
12/18/2020	100.00	1,822.95	12/16/2020	1,846.16	23.21 D	0.00	Buy to Cover Short
12/18/2020	100.00	1,822.94	12/16/2020	1,846.15	23.21 D	0.00	Buy to Cover Short
12/18/2020	100.00	1,849.95	Various	1,927.27	77.32 D	0.00	Buy to Cover Short
12/18/2020	100.00	1,849.95	Various	1,927.27	77.32 D	0.00	Buy to Cover Short
12/18/2020	100.00	1,834.94	Various	1,947.88	112.94 D	0.00	Buy to Cover Short
12/18/2020	200.00	3,699.89	Various	3,786.71	86.82 D	0.00	Buy to Cover Short
12/18/2020	100.00	1,834.95	Various	1,947.88	112.93 D	0.00	Buy to Cover Short
12/18/2020	250.00	4,537.36	12/16/2020	4,575.25	37.89 D	0.00	Buy to Cover Short
12/18/2020	295.00	5,457.33	Various	5,680.33	223.00 D	0.00	Buy to Cover Short
12/18/2020	305.00	5,642.33	Various	5,827.31	184.98 D	0.00	Buy to Cover Short
12/18/2020	500.00	9,144.72	Various	9,323.03	178.31 D	0.00	Buy to Cover Short
12/18/2020	800.00	14,719.57	Various	15,213.98	0.00	-494.41	Buy to Cover Short
<b>Security Totals:</b>		<b>55,128.35</b>		<b>56,772.30</b>		<b>-494.41</b>	
***SPI ENERGY CO LTD ORDINARY SHARES   CUSIP: G8651P110   Symbol: SPI							
05/01/2020	1.00	1.44	05/01/2020	1.33	0.00	0.11	Sale
05/01/2020	5.00	7.28	05/01/2020	6.65	0.00	0.63	Sale
05/01/2020	1.00	1.46	05/01/2020	1.33	0.00	0.13	Sale
05/01/2020	10.00	14.78	05/01/2020	13.30	0.00	1.48	Sale
05/01/2020	10.00	14.78	05/01/2020	13.30	0.00	1.48	Sale
05/01/2020	25.00	36.98	05/01/2020	33.25	0.00	3.73	Sale
05/01/2020	10.00	17.58	05/01/2020	17.56	0.00	0.02	Sale
05/01/2020	73.00	128.46	05/01/2020	128.17	0.00	0.29	Sale
05/01/2020	100.00	144.98	05/01/2020	133.00	0.00	11.98	Sale
05/01/2020	100.00	175.98	05/01/2020	175.58	0.00	0.40	Sale
05/01/2020	150.00	243.14	Various	238.50	0.00	4.64	Sale
05/01/2020	200.00	289.97	05/01/2020	266.00	0.00	23.97	Sale
05/01/2020	1,817.00	3,197.62	Various	3,204.49	0.00	-6.87	Sale

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APEX CLEARING

## Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B\*

OMB No. 1545-0715

2TZ05705

(continued)

01/24/2021

**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>
***SPI ENERGY CO LTD ORDINARY SHARES   CUSIP: G8651P110   Symbol: SPI							
05/01/2020	1,850.00	2,996.71	Various	2,941.20	0.00	55.51	Sale
05/01/2020	3,648.00	5,289.05	Various	4,831.84	0.00	457.21	Sale
12/28/2020	500.00	4,409.84	12/28/2020	4,450.00	0.00	-40.16	Sale
<b>Security Totals:</b>		<b>16,970.05</b>		<b>16,455.50</b>		<b>514.55</b>	
FEDERAL NATIONAL MORTGAGE ASSOCIATION COM   CUSIP: 313586109   Symbol: FNMA							
06/16/2020	2,000.00	4,415.66	Various	4,499.00	83.34 D	0.00	Sale
07/09/2020	1,000.00	2,317.82	07/09/2020	2,326.17	8.35 D	0.00	Sale
07/09/2020	1,000.00	2,198.83	07/09/2020	2,335.35	136.52 D	0.00	Sale
07/09/2020	1,000.00	2,212.83	07/09/2020	2,397.86	185.03 D	0.00	Sale
07/09/2020	1,000.00	2,247.83	07/09/2020	2,290.35	42.52 D	0.00	Sale
07/09/2020	1,000.00	2,208.83	07/09/2020	2,516.03	307.2 D	0.00	Sale
07/09/2020	1,000.00	2,217.83	07/09/2020	2,548.20	0.00	-330.37	Sale
07/09/2020	2,000.00	4,555.65	Various	4,603.17	47.52 D	0.00	Sale
07/09/2020	2,500.00	5,544.57	Various	6,003.48	0.00	-458.91	Sale
07/09/2020	3,000.00	6,593.49	Various	7,044.21	450.72 D	0.00	Sale
07/09/2020	3,000.00	6,593.49	Various	7,118.89	525.40 D	0.00	Sale
07/09/2020	4,000.00	8,831.32	Various	9,465.07	634.58 D	0.83	Sale
07/09/2020	4,000.00	8,831.32	Various	9,278.55	410.98 D	-36.25	Sale
07/09/2020	1,000.00	2,198.83	07/09/2020	2,324.34	125.51 D	0.00	Sale
<b>Security Totals:</b>		<b>60,968.30</b>		<b>64,750.67</b>		<b>-824.70</b>	
NORTHWEST BIOTHERAPEUTICS INC   CUSIP: 66737P600   Symbol: NWBO							
09/09/2020	2,500.00	1,419.66	09/09/2020	1,480.00	60.34 D	0.00	Sale
09/09/2020	2,500.00	1,419.66	09/09/2020	1,480.00	60.34 D	0.00	Sale
09/09/2020	2,500.00	1,419.66	09/09/2020	1,513.59	93.93 D	0.00	Sale
09/09/2020	2,500.00	1,407.16	09/09/2020	1,515.93	0.00	-108.77	Sale
09/09/2020	2,500.00	1,419.66	Various	1,515.34	0.00	-95.68	Sale
10/12/2020	1,000.00	1,121.85	10/12/2020	991.00	0.00	130.85	Sale
10/12/2020	1,000.00	1,121.85	Various	1,003.01	0.00	118.84	Sale

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APEX CLEARING

Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B\*

OMB No. 1545-0715

2TZ05705

(continued)

01/24/2021

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
NORTHWEST BIOTHERAPEUTICS INC   CUSIP: 66737P600   Symbol: NWBO							
10/12/2020	1,000.00	1,106.85	10/12/2020	991.00	0.00	115.85	Sale
10/13/2020	4,000.00	4,467.42	Various	4,672.00	204.58 D	0.00	Sale
10/15/2020	750.00	1,085.88	10/15/2020	1,139.36	53.48 D	0.00	Sale
10/15/2020	750.00	1,085.88	10/15/2020	1,139.36	53.48 D	0.00	Sale
10/15/2020	2,500.00	3,504.62	Various	3,837.86	333.24 D	0.00	Sale
10/19/2020	387.00	753.41	Various	816.69	63.28 D	0.00	Sale
10/19/2020	400.00	778.73	10/19/2020	817.72	38.99 D	0.00	Sale
10/19/2020	750.00	1,501.37	Various	1,624.85	123.48 D	0.00	Sale
10/19/2020	750.00	1,445.87	10/19/2020	1,582.72	136.85 D	0.00	Sale
10/19/2020	2,213.00	4,308.35	Various	4,587.50	279.15 D	0.00	Sale
10/19/2020	2,250.00	4,515.38	Various	4,873.99	358.61 D	0.00	Sale
10/19/2020	2,250.00	4,335.38	Various	4,691.51	356.13 D	0.00	Sale
10/20/2020	200.00	439.37	10/20/2020	449.32	9.95 D	0.00	Sale
10/20/2020	1,000.00	2,147.83	Various	2,291.87	144.04 D	0.00	Sale
10/20/2020	1,000.00	2,146.83	Various	2,262.82	115.99 D	0.00	Sale
10/20/2020	800.00	1,766.26	Various	1,819.15	52.89 D	0.00	Sale
10/20/2020	1,000.00	2,197.83	Various	2,261.40	63.57 D	0.00	Sale
10/22/2020	50.00	82.63	10/22/2020	91.75	9.12 D	0.00	Sale
10/22/2020	100.00	165.78	10/22/2020	166.68	0.9 D	0.00	Sale
10/22/2020	200.00	333.57	Various	342.20	8.63 D	0.00	Sale
10/22/2020	400.00	667.13	10/22/2020	684.39	17.26 D	0.00	Sale
10/22/2020	750.00	1,236.63	Various	1,345.48	108.85 D	0.00	Sale
10/22/2020	750.00	1,258.38	Various	1,324.95	66.57 D	0.00	Sale
10/22/2020	900.00	1,492.05	Various	1,600.19	108.14 D	0.00	Sale
10/22/2020	850.00	1,383.66	Various	1,550.33	166.67 D	0.00	Sale
10/22/2020	1,000.00	1,687.84	Various	1,664.84	0.00	23.00	Sale
10/22/2020	1,000.00	1,662.84	Various	1,803.26	140.42 D	0.00	Sale

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**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
NORTHWEST BIOTHERAPEUTICS INC   CUSIP: 66737P600   Symbol: NWBO							
10/22/2020	1,000.00	1,647.84	Various	1,679.47	31.63 D	0.00	Sale
10/23/2020	100.00	241.78	10/21/2020	222.30	0.00	19.48	Buy to Cover Short
10/23/2020	100.00	241.78	10/21/2020	222.30	0.00	19.48	Buy to Cover Short
10/23/2020	200.00	483.56	10/21/2020	444.60	0.00	38.96	Buy to Cover Short
10/23/2020	200.00	483.57	10/21/2020	444.60	0.00	38.97	Buy to Cover Short
10/23/2020	600.00	1,057.10	10/21/2020	1,111.20	54.1 D	0.00	Buy to Cover Short
10/23/2020	750.00	1,513.37	Various	1,609.24	95.87 D	0.00	Sale
10/23/2020	3,250.00	6,554.71	Various	6,994.33	439.62 D	0.00	Sale
10/27/2020	400.00	430.74	Various	442.86	12.12 D	0.00	Sale
10/27/2020	400.00	420.74	Various	471.46	50.72 D	0.00	Sale
10/27/2020	400.00	430.74	Various	439.10	8.36 D	0.00	Sale
10/27/2020	600.00	628.11	Various	678.18	50.07 D	0.00	Sale
10/27/2020	900.00	969.16	Various	1,000.30	31.14 D	0.00	Sale
10/27/2020	925.00	1,208.83	Various	1,266.62	57.79 D	0.00	Sale
10/27/2020	750.00	980.88	Various	1,073.44	92.56 D	0.00	Sale
10/27/2020	1,000.00	1,051.85	Various	1,064.54	23.11 D	10.42	Sale
10/27/2020	1,000.00	1,051.85	Various	1,069.66	20.89 D	3.08	Sale
10/27/2020	1,000.00	1,051.85	Various	1,052.96	8.70 D	7.59	Sale
10/27/2020	1,000.00	1,066.85	Various	1,059.32	10.47 D	18.00	Sale
10/27/2020	1,000.00	1,056.85	Various	1,085.60	34.94 D	6.19	Sale
10/27/2020	1,000.00	1,026.85	Various	1,165.77	138.92 D	0.00	Sale
10/27/2020	1,000.00	1,051.85	Various	1,128.57	76.72 D	0.00	Sale
10/28/2020	900.00	924.16	Various	997.92	0.00	-73.76	Sale
10/28/2020	100.00	102.68	Various	113.60	0.00	-10.92	Sale
10/28/2020	1,000.00	1,036.85	Various	1,173.85	137.00 D	0.00	Sale
10/28/2020	1,000.00	1,026.85	Various	1,169.68	0.00	-142.83	Sale
10/28/2020	1,000.00	1,037.85	Various	1,145.46	107.61 D	0.00	Sale

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APEX CLEARING

Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B\*

OMB No. 1545-0715

2TZ05705

(continued)

01/24/2021

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
NORTHWEST BIOTHERAPEUTICS INC   CUSIP: 66737P600   Symbol: NWBO							
10/28/2020	1,875.00	1,840.98	Various	2,047.31	206.33 D	0.00	Sale
10/28/2020	1,125.00	1,100.09	Various	1,244.28	144.19 D	0.00	Sale
10/28/2020	2,000.00	1,944.71	Various	1,997.77	53.06 D	0.00	Sale
10/28/2020	2,000.00	1,933.71	Various	2,049.07	115.36 D	0.00	Sale
10/28/2020	1,000.00	1,027.85	Various	1,099.99	7.58 D	-64.56	Sale
10/28/2020	2,000.00	1,949.71	Various	2,149.58	199.87 D	0.00	Sale
10/28/2020	2,000.00	1,957.71	Various	2,111.98	154.27 D	0.00	Sale
10/28/2020	2,000.00	1,957.71	Various	2,103.48	145.77 D	0.00	Sale
12/24/2020	100.00	169.68	12/24/2020	172.30	2.62 D	0.00	Sale
12/24/2020	1,000.00	1,697.84	Various	1,726.52	28.68 D	0.00	Sale
12/24/2020	1,500.00	2,545.26	12/24/2020	2,599.50	0.00	-54.24	Sale
12/24/2020	2,400.00	4,072.41	Various	4,186.98	67.13 D	-47.44	Sale
12/28/2020	500.00	893.92	12/28/2020	911.66	0.00	-17.74	Sale
12/28/2020	588.00	1,050.65	Various	1,097.14	0.00	-46.49	Sale
<b>Security Totals:</b>		<b>109,808.75</b>		<b>115,756.55</b>		<b>-111.72</b>	
ALPINE 4 TECHNOLOGIES LTD CL A   CUSIP: 02083E105   Symbol: ALPP							
12/17/2020	100.00	102.68	12/15/2020	109.82	7.14 D	0.00	Buy to Cover Short
12/17/2020	250.00	257.75	Various	249.50	0.2 D	8.45	Buy to Cover Short
12/17/2020	1,000.00	998.10	Various	1,042.20	44.10 D	0.00	Buy to Cover Short
12/17/2020	100.00	102.68	12/15/2020	109.81	7.13 D	0.00	Buy to Cover Short
12/17/2020	1,000.00	1,108.53	Various	1,002.00	0.00	106.53	Buy to Cover Short
12/17/2020	1,000.00	1,001.86	12/15/2020	1,043.00	41.14 D	0.00	Buy to Cover Short
12/17/2020	1,800.00	1,848.33	Various	1,971.61	123.28 D	0.00	Buy to Cover Short
12/21/2020	100.00	178.68	12/21/2020	180.26	1.58 D	0.00	Sale
12/21/2020	300.00	593.04	12/21/2020	632.25	39.21 D	0.00	Sale
12/21/2020	100.00	178.68	12/21/2020	194.12	15.44 D	0.00	Sale
12/21/2020	500.00	698.42	Various	654.66	0.00	43.76	Sale
12/21/2020	50.00	89.33	12/21/2020	90.13	0.8 D	0.00	Sale

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**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 - DateSold 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
ALPINE 4 TECHNOLOGIES LTD CL A   CUSIP: 02083E105   Symbol: ALPP							
12/21/2020	700.00	1,397.78	12/21/2020	1,475.26	77.48 D	0.00	Sale
12/21/2020	500.00	700.92	Various	660.15	0.00	40.77	Sale
12/21/2020	500.00	713.42	Various	653.60	0.00	59.82	Sale
12/21/2020	900.00	1,608.15	Various	1,796.26	188.11 D	0.00	Sale
12/21/2020	500.00	700.92	Various	660.16	0.00	40.76	Sale
12/21/2020	1,000.00	1,746.84	Various	1,947.02	200.18 D	0.00	Sale
12/21/2020	1,000.00	2,167.83	12/21/2020	1,992.00	0.00	175.83	Sale
12/21/2020	1,000.00	2,006.83	12/21/2020	2,111.34	104.51 D	0.00	Sale
12/21/2020	850.00	1,460.17	Various	1,412.52	4.23 D	51.88	Sale
12/21/2020	1,000.00	2,006.83	12/21/2020	2,106.17	99.34 D	0.00	Sale
12/21/2020	1,000.00	1,756.84	Various	1,928.86	172.02 D	0.00	Sale
12/21/2020	1,000.00	1,796.84	Various	1,884.35	87.51 D	0.00	Sale
12/21/2020	1,000.00	1,826.83	Various	2,033.69	206.86 D	0.00	Sale
12/21/2020	1,000.00	2,037.83	12/21/2020	2,072.00	34.17 D	0.00	Sale
12/22/2020	500.00	1,103.41	12/22/2020	1,158.74	55.33 D	0.00	Sale
12/22/2020	1,500.00	3,295.24	Various	3,466.55	171.31 D	0.00	Sale
12/24/2020	25.00	68.65	12/24/2020	76.63	7.98 D	0.00	Sale
12/24/2020	30.00	82.69	12/24/2020	87.73	5.04 D	0.00	Sale
12/24/2020	100.00	289.18	12/24/2020	307.07	17.89 D	0.00	Sale
12/24/2020	50.00	144.83	12/24/2020	153.65	8.82 D	0.00	Sale
12/24/2020	100.00	288.68	Various	307.48	18.8 D	0.00	Sale
12/24/2020	100.00	274.68	12/24/2020	306.50	31.82 D	0.00	Sale
12/24/2020	178.00	491.59	Various	516.50	24.91 D	0.00	Sale
12/24/2020	120.00	359.62	Various	405.06	45.44 D	0.00	Sale
12/24/2020	293.00	807.75	Various	858.82	51.07 D	0.00	Sale
12/24/2020	174.00	479.67	Various	550.14	70.47 D	0.00	Sale
12/24/2020	265.00	778.25	Various	848.39	70.14 D	0.00	Sale

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**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

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**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
ALPINE 4 TECHNOLOGIES LTD CL A   CUSIP: 02083E105   Symbol: ALPP							
12/24/2020	366.00	1,060.22	Various	1,091.47	31.25 D	0.00	Sale
12/24/2020	400.00	1,134.72	Various	1,269.77	135.05 D	0.00	Sale
12/24/2020	400.00	1,166.72	Various	1,269.55	102.83 D	0.00	Sale
12/24/2020	600.00	1,732.69	Various	1,847.80	115.11 D	0.00	Sale
12/24/2020	600.00	1,750.09	12/24/2020	1,843.84	93.75 D	0.00	Sale
12/24/2020	1,000.00	2,931.81	Various	2,979.20	47.39 D	0.00	Sale
12/24/2020	534.00	1,546.89	Various	1,713.95	167.06 D	0.00	Sale
12/24/2020	700.00	1,538.48	Various	1,684.28	145.80 D	0.00	Sale
12/24/2020	1,000.00	2,926.81	Various	3,126.50	199.69 D	0.00	Sale
12/24/2020	1,000.00	2,887.81	Various	2,989.47	101.66 D	0.00	Sale
12/24/2020	1,200.00	3,296.18	Various	3,646.77	350.59 D	0.00	Sale
12/24/2020	1,000.00	3,096.81	Various	3,117.64	40.72 D	19.89	Sale
12/24/2020	1,350.00	3,910.70	Various	4,091.58	181.95 D	1.07	Sale
12/24/2020	1,433.00	4,338.85	Various	4,518.86	184.08 D	4.07	Sale
12/24/2020	1,880.00	5,634.01	Various	5,902.71	268.70 D	0.00	Sale
12/24/2020	1,000.00	2,937.81	Various	3,156.57	218.76 D	0.00	Sale
12/24/2020	3,000.00	8,240.45	Various	9,057.25	816.80 D	0.00	Sale
12/28/2020	100.00	257.68	12/23/2020	229.30	0.00	28.38	Buy to Cover Short
12/28/2020	400.00	1,030.73	12/23/2020	961.20	0.00	69.53	Buy to Cover Short
12/28/2020	500.00	1,288.36	Various	1,236.00	0.00	52.36	Buy to Cover Short
12/28/2020	500.00	1,288.40	Various	1,166.00	0.00	122.40	Buy to Cover Short
12/28/2020	500.00	1,288.41	12/23/2020	1,201.50	0.00	86.91	Buy to Cover Short
12/28/2020	500.00	1,193.91	12/23/2020	1,151.00	0.00	42.91	Buy to Cover Short
12/28/2020	500.00	1,193.91	12/23/2020	1,151.00	0.00	42.91	Buy to Cover Short
12/28/2020	500.00	1,198.91	12/23/2020	1,151.50	0.00	47.41	Buy to Cover Short
12/28/2020	500.00	1,198.91	12/23/2020	1,146.00	0.00	52.91	Buy to Cover Short
12/28/2020	500.00	2,228.39	Various	2,289.04	60.65 D	0.00	Sale

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APEX CLEARING

## Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B\*

OMB No. 1545-0715

2TZ05705

(continued)

01/24/2021

**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>
ALPINE 4 TECHNOLOGIES LTD CL A   CUSIP: 02083E105   Symbol: ALPP							
12/28/2020	500.00	2,228.39	Various	2,278.79	50.40 D	0.00	Sale
12/28/2020	1,000.00	4,316.78	Various	4,459.50	142.72 D	0.00	Sale
12/28/2020	1,000.00	4,316.78	Various	4,473.01	156.23 D	0.00	Sale
12/28/2020	2,000.00	8,593.56	Various	9,045.19	451.63 D	0.00	Sale
12/29/2020	1,000.00	2,597.82	12/24/2020	2,692.00	94.18 D	0.00	Buy to Cover Short
12/29/2020	1,000.00	2,597.82	12/24/2020	2,836.18	238.36 D	0.00	Buy to Cover Short
12/29/2020	1,000.00	2,757.52	Various	3,011.55	254.03 D	0.00	Buy to Cover Short
12/29/2020	1,000.00	2,756.81	Various	2,851.49	94.68 D	0.00	Buy to Cover Short
12/29/2020	1,987.00	5,551.68	Various	5,867.54	315.86 D	0.00	Buy to Cover Short
12/29/2020	80.00	310.14	Various	334.69	24.55 D	0.00	Sale
12/29/2020	200.00	775.36	Various	826.69	51.33 D	0.00	Sale
12/29/2020	275.00	1,143.39	Various	1,182.39	39.00 D	0.00	Sale
12/29/2020	250.00	965.44	Various	1,039.06	73.62 D	0.00	Sale
12/29/2020	800.00	3,239.82	Various	3,425.25	185.43 D	0.00	Sale
12/29/2020	1,470.00	5,669.49	Various	6,184.35	514.86 D	0.00	Sale
12/30/2020	1,000.00	3,951.79	Various	4,358.27	406.48 D	0.00	Sale
12/30/2020	1,000.00	4,007.79	Various	4,375.55	367.76 D	0.00	Sale
12/31/2020	520.00	1,607.74	Various	1,717.50	30.60 D	-79.16	Sale
12/31/2020	1,000.00	2,831.81	Various	3,254.40	422.59 D	0.00	Sale
12/31/2020	1,500.00	4,540.21	Various	5,012.15	0.00	-471.94	Sale
12/31/2020	980.00	2,740.87	Various	3,296.87	556.00 D	0.00	Sale
<b>Security Totals:</b>		<b>167,350.02</b>		<b>176,568.17</b>		<b>547.45</b>	
INPIXON COMMON STOCK   CUSIP: 45790J800   Symbol: INPX							
07/24/2020	2,000.00	2,999.89	07/24/2020	3,060.00	60.11 D	0.00	Sale
07/24/2020	2,000.00	2,999.69	Various	3,020.11	0.00	-20.42	Sale
<b>Security Totals:</b>		<b>5,999.58</b>		<b>6,080.11</b>		<b>-20.42</b>	
PLURISTEM THERAPEUTICS INC COMMON STOCK   CUSIP: 72940R300   Symbol: PSTI							
04/07/2020	500.00	2,569.88	Various	2,070.14	0.00	499.74	Sale

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APEX CLEARING

Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B\*

OMB No. 1545-0715

2TZ05705

(continued)

01/24/2021

**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

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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
PLURISTEM THERAPEUTICS INC COMMON STOCK   CUSIP: 72940R300   Symbol: PSTI							
04/07/2020	98.00	440.00	04/07/2020	405.74	0.00	34.26	Sale
04/07/2020	2.00	8.78	04/07/2020	8.28	0.00	0.50	Sale
04/07/2020	100.00	449.98	Various	450.00	0.02 D	0.00	Sale
04/07/2020	1,041.00	4,684.27	Various	4,684.52	0.25 D	0.00	Sale
04/07/2020	400.00	1,807.63	Various	1,656.09	0.00	151.54	Sale
04/09/2020	1,000.00	7,499.71	Various	7,700.00	200.29 D	0.00	Sale
04/09/2020	1,000.00	7,249.71	Various	7,590.29	340.58 D	0.00	Sale
04/13/2020	1,000.00	8,709.68	Various	9,135.39	210.45 D	-215.26	Sale
04/14/2020	500.00	3,549.86	Various	3,265.00	0.00	284.86	Buy to Cover Short
04/14/2020	100.00	709.97	04/09/2020	649.97	0.00	60.00	Buy to Cover Short
04/14/2020	100.00	709.97	04/09/2020	649.97	0.00	60.00	Buy to Cover Short
04/14/2020	300.00	2,129.92	04/09/2020	1,949.91	0.00	180.01	Buy to Cover Short
04/15/2020	300.00	2,429.87	Various	2,448.19	18.32 D	0.00	Buy to Cover Short
04/15/2020	700.00	5,669.78	Various	5,712.44	42.66 D	0.00	Buy to Cover Short
04/15/2020	1,000.00	8,649.68	Various	8,750.00	100.32 D	0.00	Buy to Cover Short
04/15/2020	1,000.00	8,249.69	Various	8,500.32	250.63 D	0.00	Buy to Cover Short
04/20/2020	500.00	4,888.10	Various	4,955.50	0.00	-67.40	Buy to Cover Short
04/20/2020	500.00	4,892.82	Various	4,955.48	0.00	-62.66	Buy to Cover Short
04/29/2020	500.00	4,909.83	Various	5,120.45	0.00	-210.62	Sale
<b>Security Totals:</b>		<b>80,209.13</b>		<b>80,657.68</b>		<b>714.97</b>	
***INFLARX N V COMMON STOCK   CUSIP: N44821101   Symbol: IFRX							
04/01/2020	2.00	11.44	04/01/2020	13.27	1.83 D	0.00	Sale
04/01/2020	20.00	114.58	04/01/2020	132.71	18.13 D	0.00	Sale
04/01/2020	78.00	446.92	Various	517.79	70.87 D	0.00	Sale
04/01/2020	278.00	1,592.87	Various	1,847.15	254.28 D	0.00	Sale
04/01/2020	122.00	699.03	Various	868.30	169.27 D	0.00	Sale
04/01/2020	500.00	2,864.87	Various	3,429.32	564.45 D	0.00	Sale
04/03/2020	10.00	58.50	Various	60.30	1.80 D	0.00	Buy to Cover Short

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**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)

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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
***INFLARX N V COMMON STOCK   CUSIP: N44821101   Symbol: IFRX							
04/03/2020	3.00	17.70	04/01/2020	17.79	0.09 D	0.00	Buy to Cover Short
04/03/2020	10.00	58.50	04/01/2020	60.30	1.8 D	0.00	Buy to Cover Short
04/03/2020	23.00	134.54	04/01/2020	138.69	4.15 D	0.00	Buy to Cover Short
04/03/2020	39.00	249.59	04/01/2020	266.37	16.78 D	0.00	Buy to Cover Short
04/03/2020	39.00	249.59	Various	266.37	16.78 D	0.00	Buy to Cover Short
04/03/2020	61.00	390.38	04/01/2020	416.63	26.25 D	0.00	Buy to Cover Short
04/03/2020	78.00	456.28	04/01/2020	470.34	14.06 D	0.00	Buy to Cover Short
04/03/2020	90.00	526.48	04/01/2020	542.70	16.22 D	0.00	Buy to Cover Short
04/03/2020	100.00	639.97	Various	707.53	67.56 D	0.00	Buy to Cover Short
04/03/2020	100.00	639.98	Various	687.30	47.32 D	0.00	Buy to Cover Short
04/03/2020	100.00	639.97	04/01/2020	683.00	43.03 D	0.00	Buy to Cover Short
04/03/2020	100.00	639.97	04/01/2020	683.00	43.03 D	0.00	Buy to Cover Short
04/03/2020	100.00	639.97	04/01/2020	683.00	43.03 D	0.00	Buy to Cover Short
04/03/2020	100.00	639.97	04/01/2020	683.00	43.03 D	0.00	Buy to Cover Short
04/03/2020	100.00	584.97	04/01/2020	602.99	18.02 D	0.00	Buy to Cover Short
04/03/2020	100.00	639.98	Various	692.03	52.05 D	0.00	Buy to Cover Short
04/03/2020	100.00	588.61	Various	616.67	28.06 D	0.00	Buy to Cover Short
04/03/2020	100.00	639.97	Various	728.61	88.64 D	0.00	Buy to Cover Short
04/03/2020	100.00	645.63	Various	752.28	106.65 D	0.00	Buy to Cover Short
04/03/2020	161.00	1,053.70	Various	1,167.29	113.59 D	0.00	Buy to Cover Short
04/03/2020	380.00	2,222.90	Various	2,291.38	68.48 D	0.00	Buy to Cover Short
04/03/2020	500.00	2,924.82	Various	2,895.24	0.00	29.58	Buy to Cover Short
04/03/2020	109.00	641.98	04/01/2020	673.64	31.66 D	0.00	Buy to Cover Short
04/03/2020	500.00	2,924.86	Various	2,895.24	0.00	29.62	Buy to Cover Short
04/03/2020	300.00	1,754.92	04/01/2020	1,808.99	54.07 D	0.00	Buy to Cover Short
04/03/2020	800.00	5,235.78	Various	5,957.72	721.94 D	0.00	Buy to Cover Short
04/03/2020	800.00	4,711.80	Various	4,944.18	232.38 D	0.00	Buy to Cover Short

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**SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS**

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

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***INFLARX N V COMMON STOCK   CUSIP: N44821101   Symbol: IFRX							
04/03/2020	997.00	5,882.04	04/01/2020	5,911.91	29.87 D	0.00	Buy to Cover Short
04/03/2020	2,000.00	9,105.35	Various	10,137.93	0.00	-1,032.58	Sale
<b>Security Totals:</b>		<b>51,268.41</b>		<b>55,250.96</b>		<b>-973.38</b>	
INDIA GLOBALIZATION CAPITAL INC COMMON STOCK   CUSIP: 45408X308   Symbol: IGC							
08/12/2020	10.00	33.48	08/12/2020	33.00	0.00	0.48	Sale
08/12/2020	21.00	70.33	08/12/2020	69.30	0.00	1.03	Sale
08/12/2020	69.00	231.13	08/12/2020	227.70	0.00	3.43	Sale
08/12/2020	121.00	405.33	08/12/2020	399.30	0.00	6.03	Sale
08/12/2020	179.00	599.61	Various	590.70	0.00	8.91	Sale
08/12/2020	200.00	669.96	08/12/2020	660.00	0.00	9.96	Sale
08/12/2020	200.00	689.96	08/12/2020	660.00	0.00	29.96	Sale
08/12/2020	200.00	669.96	08/12/2020	660.00	0.00	9.96	Sale
08/17/2020	500.00	894.92	08/17/2020	805.00	0.00	89.92	Sale
08/17/2020	500.00	909.91	08/17/2020	805.00	0.00	104.91	Sale
08/17/2020	500.00	909.91	08/17/2020	805.00	0.00	104.91	Sale
08/17/2020	500.00	929.46	08/17/2020	805.00	0.00	124.46	Sale
08/17/2020	1,000.00	1,754.84	Various	1,610.00	0.00	144.84	Sale
08/18/2020	3,000.00	5,909.50	Various	6,050.70	0.00	-141.20	Sale
<b>Security Totals:</b>		<b>14,678.30</b>		<b>14,180.70</b>		<b>497.60</b>	
CYMABAY THERAPEUTICS INC COM   CUSIP: 23257D103   Symbol: CBAY							
09/29/2020	100.00	728.07	09/29/2020	713.83	0.00	14.24	Sale
09/29/2020	200.00	1,410.14	09/29/2020	1,392.00	0.00	18.14	Sale
09/29/2020	250.00	1,809.92	09/29/2020	1,740.00	0.00	69.92	Sale
09/29/2020	100.00	728.07	09/29/2020	713.83	0.00	14.24	Sale
09/29/2020	300.00	2,184.21	Various	2,131.66	0.00	52.55	Sale
09/29/2020	500.00	3,639.85	Various	3,569.19	0.00	70.66	Sale
09/29/2020	500.00	3,659.85	Various	3,569.14	0.00	90.71	Sale
09/29/2020	600.00	4,229.83	Various	4,182.50	2.01 D	49.34	Sale

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APEX CLEARING

## Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B\*

OMB No. 1545-0715

2TZ05705

(continued)

01/24/2021

**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>
CYMABAY THERAPEUTICS INC COM   CUSIP: 23257D103   Symbol: CBAY							
09/29/2020	600.00	4,230.43	09/29/2020	4,254.00	23.57 D	0.00	Sale
09/29/2020	1,000.00	7,309.71	Various	7,360.00	0.00	-50.29	Sale
09/29/2020	600.00	4,230.43	09/29/2020	4,254.00	23.57 D	0.00	Sale
09/29/2020	500.00	3,635.45	09/29/2020	3,549.50	0.00	85.95	Sale
<b>Security Totals:</b>		<b>37,795.96</b>		<b>37,429.65</b>		<b>415.46</b>	
***CHINA SXT PHARMACEUTICALS INC ORDINARY SHARES   CUSIP: G2161P108   Symbol: SXTX							
02/28/2020	10.00	10.98	02/28/2020	12.60	1.62 D	0.00	Sale
02/28/2020	30.00	32.98	02/28/2020	37.80	4.82 D	0.00	Sale
02/28/2020	200.00	219.97	02/28/2020	252.00	32.03 D	0.00	Sale
02/28/2020	300.00	329.95	Various	416.47	86.52 D	0.00	Sale
02/28/2020	300.00	331.45	Various	381.36	49.91 D	0.00	Sale
02/28/2020	500.00	549.92	Various	655.34	105.42 D	0.00	Sale
02/28/2020	588.00	646.71	Various	862.70	215.99 D	0.00	Sale
02/28/2020	1,037.00	1,140.55	Various	1,359.96	219.41 D	0.00	Sale
02/28/2020	2,035.00	2,238.21	Various	2,837.49	0.00	-599.28	Sale
<b>Security Totals:</b>		<b>5,500.72</b>		<b>6,815.72</b>		<b>-599.28</b>	
***PHOENIX TREE HOLDINGS LTD AMERICAN DEPOSITARY SHS EACH REPRSNTNG 10 CLS A ORD SHS   CUSIP: 719156101   Symbol: DNK							
11/18/2020	50.00	249.48	11/18/2020	285.03	0.00	-35.55	Sale
11/18/2020	100.00	460.97	11/18/2020	521.04	60.07 D	0.00	Sale
11/18/2020	100.00	520.97	Various	551.07	30.10 D	0.00	Sale
11/18/2020	200.00	923.95	Various	1,042.06	118.11 D	0.00	Sale
11/18/2020	200.00	919.95	11/18/2020	1,042.07	122.12 D	0.00	Sale
11/18/2020	200.00	1,041.95	Various	1,100.11	0.00	-58.16	Sale
11/18/2020	500.00	2,169.89	11/18/2020	2,295.00	125.11 D	0.00	Sale
11/18/2020	250.00	1,249.94	Various	1,394.19	0.00	-144.25	Sale
11/18/2020	500.00	2,164.94	11/18/2020	2,420.11	255.17 D	0.00	Sale
<b>Security Totals:</b>		<b>9,702.04</b>		<b>10,650.68</b>		<b>-237.96</b>	



APEX CLEARING

Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B\*

OMB No. 1545-0715

2TZ05705

(continued)

01/24/2021

**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
ASCENA RETAIL GROUP INC COMMON STOCK   CUSIP: 04351G200   Symbol: ASNA							
07/24/2020	100.00	130.98	07/24/2020	119.00	0.00	11.98	Sale
07/24/2020	100.00	130.98	07/24/2020	119.00	0.00	11.98	Sale
07/24/2020	100.00	137.98	07/24/2020	119.00	0.00	18.98	Sale
07/24/2020	500.00	579.92	07/24/2020	544.47	0.00	35.45	Sale
07/24/2020	300.00	389.95	07/24/2020	357.00	0.00	32.95	Sale
07/24/2020	500.00	674.92	07/24/2020	595.00	0.00	79.92	Sale
07/24/2020	500.00	559.92	07/24/2020	544.48	0.00	15.44	Sale
07/24/2020	100.00	130.98	07/24/2020	119.00	0.00	11.98	Sale
07/24/2020	500.00	709.92	07/24/2020	595.00	0.00	114.92	Sale
07/24/2020	500.00	509.92	07/24/2020	535.00	25.08 D	0.00	Sale
07/24/2020	500.00	564.92	07/24/2020	544.48	0.00	20.44	Sale
07/24/2020	1,500.00	1,529.78	07/24/2020	1,605.00	75.22 D	0.00	Sale
07/24/2020	100.00	137.98	07/24/2020	119.00	0.00	18.98	Sale
07/24/2020	100.00	131.98	07/24/2020	119.00	0.00	12.98	Sale
07/24/2020	100.00	131.98	07/24/2020	119.00	0.00	12.98	Sale
07/24/2020	500.00	565.87	07/24/2020	544.47	0.00	21.40	Sale
07/24/2020	500.00	574.92	07/24/2020	570.00	0.00	4.92	Sale
07/24/2020	1,500.00	1,732.28	07/24/2020	1,710.00	0.00	22.28	Sale
<b>Security Totals:</b>		<b>9,325.18</b>		<b>8,977.90</b>		<b>447.58</b>	
EXPRESS INC   CUSIP: 30219E103   Symbol: EXPR							
04/30/2020	100.00	233.98	04/30/2020	238.00	0.00	-4.02	Sale
04/30/2020	100.00	233.98	04/30/2020	238.00	0.00	-4.02	Sale
04/30/2020	800.00	1,863.85	04/30/2020	1,904.00	0.00	-40.15	Sale
<b>Security Totals:</b>		<b>2,331.81</b>		<b>2,380.00</b>		<b>-48.19</b>	
***TOP SHIPS INC COMMON STOCK   CUSIP: Y8897Y180   Symbol: TOPS							
08/20/2020	100.00	136.48	08/20/2020	131.00	0.00	5.48	Sale
08/20/2020	100.00	135.98	08/20/2020	131.00	0.00	4.98	Sale
08/20/2020	100.00	136.48	08/20/2020	131.00	0.00	5.48	Sale

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APEX CLEARING

Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B\*

OMB No. 1545-0715

2TZ05705

(continued)

01/24/2021

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

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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
***TOP SHIPS INC COMMON STOCK   CUSIP: Y8897Y180   Symbol: TOPS							
08/20/2020	100.00	136.48	08/20/2020	131.00	0.00	5.48	Sale
08/20/2020	200.00	272.17	08/20/2020	262.00	0.00	10.17	Sale
08/20/2020	200.00	272.97	08/20/2020	262.00	0.00	10.97	Sale
08/20/2020	400.00	545.93	08/20/2020	524.00	0.00	21.93	Sale
08/20/2020	400.00	545.93	08/20/2020	524.00	0.00	21.93	Sale
08/20/2020	400.00	545.93	08/20/2020	524.00	0.00	21.93	Sale
08/20/2020	1,000.00	1,389.84	08/20/2020	1,310.00	0.00	79.84	Sale
08/20/2020	2,000.00	2,939.69	Various	2,870.00	0.00	69.69	Sale
08/20/2020	2,000.00	2,979.69	Various	3,079.60	99.91 D	0.00	Sale
08/20/2020	1,000.00	1,361.14	08/20/2020	1,310.00	0.00	51.14	Sale
08/24/2020	214.00	299.56	08/24/2020	318.85	0.00	-19.29	Sale
08/24/2020	274.00	383.56	Various	408.25	0.00	-24.69	Sale
08/24/2020	2,512.00	3,516.42	Various	3,692.81	0.00	-176.39	Sale
<b>Security Totals:</b>		<b>15,598.25</b>		<b>15,609.51</b>		<b>88.65</b>	
***GOLDMINING INC   CUSIP: 38149E101   Symbol: GLDLF							
08/21/2020	500.00	1,348.91	Various	1,371.06	22.15 D	0.00	Sale
08/21/2020	1,000.00	2,538.82	08/21/2020	2,422.18	0.00	116.64	Sale
08/21/2020	1,000.00	2,487.82	08/21/2020	2,422.18	0.00	65.64	Sale
08/21/2020	1,000.00	2,538.82	Various	2,441.24	0.00	97.58	Sale
08/21/2020	2,500.00	6,774.55	Various	6,824.17	49.62 D	0.00	Sale
08/25/2020	100.00	260.78	08/21/2020	239.61	0.00	21.17	Buy to Cover Short
08/25/2020	25.00	65.19	08/21/2020	60.09	0.00	5.10	Buy to Cover Short
08/25/2020	100.00	260.78	Various	239.61	0.00	21.17	Buy to Cover Short
08/25/2020	100.00	260.78	08/21/2020	239.61	0.00	21.17	Buy to Cover Short
08/25/2020	200.00	521.56	08/21/2020	480.72	0.00	40.84	Buy to Cover Short
08/25/2020	675.00	1,760.27	Various	1,628.10	0.00	132.17	Buy to Cover Short
08/25/2020	800.00	2,086.25	08/21/2020	1,929.60	0.00	156.65	Buy to Cover Short
08/25/2020	1,000.00	2,682.82	08/21/2020	2,400.00	0.00	282.82	Buy to Cover Short

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**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

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**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
***GOLDMINING INC   CUSIP: 38149E101   Symbol: GLDLF							
08/25/2020	1,000.00	2,682.82	08/21/2020	2,390.00	0.00	292.82	Buy to Cover Short
08/25/2020	2,000.00	4,695.64	Various	4,764.00	68.36 D	0.00	Buy to Cover Short
08/25/2020	2,000.00	5,083.24	Various	5,233.27	0.00	-150.03	Buy to Cover Short
<b>Security Totals:</b>		<b>36,049.05</b>		<b>35,085.44</b>		<b>1,103.74</b>	
ATHERSYS INC   CUSIP: 04744L106   Symbol: ATHX							
04/02/2020	500.00	1,627.40	04/02/2020	1,648.80	21.4 D	0.00	Sale
04/02/2020	400.00	1,301.92	04/02/2020	1,337.12	0.00	-35.20	Sale
04/02/2020	500.00	1,627.40	Various	1,654.28	0.00	-26.88	Sale
04/02/2020	1,600.00	5,207.69	04/02/2020	5,280.00	0.00	-72.31	Sale
04/06/2020	10.00	39.60	04/02/2020	38.00	0.00	1.60	Buy to Cover Short
04/06/2020	10.00	39.60	04/02/2020	38.00	0.00	1.60	Buy to Cover Short
04/06/2020	10.00	39.60	04/02/2020	38.00	0.00	1.60	Buy to Cover Short
04/06/2020	10.00	39.60	04/02/2020	38.00	0.00	1.60	Buy to Cover Short
04/06/2020	95.00	325.83	04/02/2020	262.20	0.00	63.63	Buy to Cover Short
04/06/2020	65.00	258.69	04/02/2020	228.80	0.00	29.89	Buy to Cover Short
04/06/2020	100.00	397.98	04/02/2020	330.50	0.00	67.48	Buy to Cover Short
04/06/2020	100.00	395.98	04/02/2020	378.00	0.00	17.98	Buy to Cover Short
04/06/2020	100.00	397.98	04/02/2020	330.50	0.00	67.48	Buy to Cover Short
04/06/2020	100.00	395.98	04/02/2020	380.00	0.00	15.98	Buy to Cover Short
04/06/2020	100.00	397.98	04/02/2020	330.50	0.00	67.48	Buy to Cover Short
04/06/2020	100.00	395.98	04/02/2020	380.00	0.00	15.98	Buy to Cover Short
04/06/2020	100.00	395.98	04/02/2020	378.00	0.00	17.98	Buy to Cover Short
04/06/2020	200.00	795.96	04/02/2020	718.00	0.00	77.96	Buy to Cover Short
04/06/2020	200.00	795.95	04/02/2020	661.00	0.00	134.95	Buy to Cover Short
04/06/2020	235.00	805.63	04/02/2020	709.70	0.00	95.93	Buy to Cover Short
04/06/2020	300.00	1,187.94	04/02/2020	1,140.00	0.00	47.94	Buy to Cover Short
04/06/2020	300.00	1,193.94	04/02/2020	1,077.00	0.00	116.94	Buy to Cover Short
04/06/2020	300.00	1,187.93	04/02/2020	1,134.00	0.00	53.93	Buy to Cover Short

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**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)

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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
ATHERSYS INC   CUSIP: 04744L106   Symbol: ATHX							
04/06/2020	405.00	1,388.59	Various	1,117.80	0.00	270.79	Buy to Cover Short
04/06/2020	435.00	1,731.20	04/02/2020	1,531.20	0.00	200.00	Buy to Cover Short
04/06/2020	460.00	1,821.49	04/02/2020	1,748.00	0.00	73.49	Buy to Cover Short
04/06/2020	465.00	1,594.11	04/02/2020	1,404.30	0.00	189.81	Buy to Cover Short
04/06/2020	500.00	1,714.62	Various	1,425.00	0.00	289.62	Buy to Cover Short
04/06/2020	200.00	685.96	Various	565.00	0.00	120.96	Buy to Cover Short
04/06/2020	300.00	1,028.93	04/02/2020	847.50	0.00	181.43	Buy to Cover Short
07/29/2020	2,000.00	5,219.64	07/29/2020	5,310.00	90.36 D	0.00	Sale
07/29/2020	2,000.00	5,199.64	07/29/2020	5,429.56	0.00	-229.92	Sale
<b>Security Totals:</b>		<b>39,636.72</b>		<b>37,888.76</b>		<b>1,859.72</b>	
SM ENERGY COMPANY   CUSIP: 78454L100   Symbol: SM							
04/30/2020	100.00	414.98	04/30/2020	415.89	0.91 D	0.00	Sale
04/30/2020	100.00	414.98	04/30/2020	405.00	0.00	9.98	Sale
04/30/2020	100.00	414.98	04/30/2020	405.00	0.00	9.98	Sale
04/30/2020	100.00	414.98	04/30/2020	425.87	10.89 D	0.00	Sale
04/30/2020	100.00	414.98	Various	425.87	10.89 D	0.00	Sale
04/30/2020	300.00	1,244.93	Various	1,290.64	45.71 D	0.00	Sale
04/30/2020	500.00	2,074.89	Various	2,116.35	47.83 D	6.37	Sale
04/30/2020	700.00	2,904.85	04/30/2020	2,835.00	0.00	69.85	Sale
05/01/2020	29.00	106.70	Various	110.02	0.00	-3.32	Sale
05/01/2020	71.00	261.26	05/01/2020	269.37	0.00	-8.11	Sale
05/01/2020	104.00	382.70	05/01/2020	394.57	0.00	-11.87	Sale
05/01/2020	396.00	1,457.19	Various	1,541.47	0.00	-84.28	Sale
05/01/2020	400.00	1,471.91	Various	1,474.91	0.00	-3.00	Sale
05/04/2020	700.00	2,715.85	Various	2,807.00	91.15 D	0.00	Buy to Cover Short
05/04/2020	1,000.00	3,771.39	Various	3,980.12	208.73 D	0.00	Buy to Cover Short

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APEX CLEARING

Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B\*

OMB No. 1545-0715

2TZ05705

(continued)

01/24/2021

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

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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
05/04/2020	300.00	1,163.93	04/30/2020	1,242.07	78.14 D	0.00	Buy to Cover Short
<b>Security Totals:</b>		<b>19,630.50</b>		<b>20,139.15</b>		<b>-14.40</b>	
***BIOLINERX LTD AMERICAN DEPOSITARY SHARES   CUSIP: 09071M205   Symbol: BLRX							
12/15/2020	1,000.00	3,380.00	Various	3,450.00	0.00	-70.00	Sale
OPGEN INC COMMON STOCK   CUSIP: 68373L307   Symbol: OPGN							
08/07/2020	116.00	423.38	08/07/2020	423.40	0.00	-0.02	Sale
08/07/2020	884.00	3,226.41	08/07/2020	3,226.60	0.00	-0.19	Sale
<b>Security Totals:</b>		<b>3,649.79</b>		<b>3,650.00</b>		<b>-0.21</b>	
AMC ENTERTAINMENT HOLDINGS INC CL A COM   CUSIP: 00165C104   Symbol: AMC							
05/11/2020	100.00	595.47	Various	607.52	0.00	-12.05	Sale
05/11/2020	100.00	595.47	Various	607.03	0.00	-11.56	Sale
05/11/2020	100.00	595.47	Various	607.03	0.00	-11.56	Sale
05/11/2020	700.00	4,165.52	Various	4,250.90	0.00	-85.38	Sale
05/11/2020	1,000.00	7,009.72	Various	7,192.20	182.48 D	0.00	Sale
08/14/2020	2,000.00	10,899.51	Various	10,910.00	0.00	-10.49	Sale
<b>Security Totals:</b>		<b>23,861.16</b>		<b>24,174.68</b>		<b>-131.04</b>	
NEXTDECADE CORPORATION COMMON STOCK   CUSIP: 65342K105   Symbol: NEXT							
09/17/2020	100.00	437.98	09/17/2020	445.02	7.04 D	0.00	Sale
09/17/2020	100.00	437.98	09/17/2020	445.02	7.04 D	0.00	Sale
09/17/2020	100.00	437.98	09/17/2020	445.02	7.04 D	0.00	Sale
09/17/2020	100.00	437.98	09/17/2020	445.03	7.05 D	0.00	Sale
09/17/2020	100.00	437.98	Various	445.02	7.04 D	0.00	Sale
09/17/2020	100.00	437.98	Various	446.02	8.04 D	0.00	Sale
09/17/2020	175.00	766.46	09/17/2020	780.54	14.08 D	0.00	Sale
09/17/2020	225.00	983.19	09/17/2020	1,003.55	20.36 D	0.00	Sale
09/17/2020	1,000.00	4,289.78	Various	4,400.00	110.22 D	0.00	Sale
09/17/2020	1,462.00	6,417.86	Various	6,519.73	0.00	-101.87	Sale
<b>Security Totals:</b>		<b>15,085.17</b>		<b>15,374.95</b>		<b>-101.87</b>	

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APEX CLEARING

## Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B\*

OMB No. 1545-0715

2TZ05705

(continued)

01/24/2021

**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
SONNET BIOTHERAPEUTICS HOLDINGS INC COMMON STOCK   CUSIP: 83548R105   Symbol: SONN							
08/04/2020	5.00	25.88	08/04/2020	27.15	0.00	-1.27	Sale
08/04/2020	1.00	5.16	08/04/2020	5.43	0.00	-0.27	Sale
08/04/2020	33.00	169.93	08/04/2020	179.19	0.00	-9.26	Sale
08/04/2020	50.00	257.48	08/04/2020	271.50	0.00	-14.02	Sale
08/04/2020	100.00	514.97	08/04/2020	543.00	0.00	-28.03	Sale
08/04/2020	200.00	1,035.95	08/04/2020	1,086.00	0.00	-50.05	Sale
08/04/2020	161.00	829.11	08/04/2020	874.23	0.00	-45.12	Sale
08/04/2020	450.00	2,317.39	08/04/2020	2,443.50	0.00	-126.11	Sale
<b>Security Totals:</b>		<b>5,155.87</b>		<b>5,430.00</b>		<b>-274.13</b>	
***21VIANET GROUP INC SPONSORED ADR   CUSIP: 90138A103   Symbol: VNET							
06/29/2020	12.00	265.55	06/25/2020	271.20	0.00	-5.65	Buy to Cover Short
06/29/2020	88.00	1,947.39	06/25/2020	1,988.80	0.00	-41.41	Buy to Cover Short
06/29/2020	100.00	2,212.94	06/25/2020	2,260.00	0.00	-47.06	Buy to Cover Short
<b>Security Totals:</b>		<b>4,425.88</b>		<b>4,520.00</b>		<b>-94.12</b>	
ADURO BIOTECH INC COM   CUSIP: 00739L101   Symbol: ADRO							
02/21/2020	375.00	1,368.67	Various	1,256.25	0.00	112.42	Buy to Cover Short
02/21/2020	250.00	912.45	02/19/2020	837.50	0.00	74.95	Buy to Cover Short
02/21/2020	665.00	2,427.11	Various	2,227.75	0.00	199.36	Buy to Cover Short
02/21/2020	710.00	2,591.35	Various	2,378.50	0.00	212.85	Buy to Cover Short
02/21/2020	1,900.00	6,650.57	02/19/2020	6,668.62	0.00	-18.05	Buy to Cover Short
02/21/2020	100.00	350.03	02/19/2020	350.50	0.00	-0.47	Buy to Cover Short
<b>Security Totals:</b>		<b>14,300.18</b>		<b>13,719.12</b>		<b>581.06</b>	
LEXICON PHARMACEUTICALS INC COM   CUSIP: 528872302   Symbol: LXRX							
12/11/2020	500.00	1,495.90	Various	1,425.00	0.00	70.90	Buy to Cover Short
12/11/2020	500.00	1,474.90	Various	1,425.00	0.00	49.90	Buy to Cover Short
12/11/2020	155.00	463.47	12/09/2020	434.00	0.00	29.47	Buy to Cover Short
12/11/2020	345.00	1,031.59	12/09/2020	965.79	0.00	65.80	Buy to Cover Short

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APEX CLEARING

Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B\*

OMB No. 1545-0715

2TZ05705

(continued)

01/24/2021

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
LEXICON PHARMACEUTICALS INC COM   CUSIP: 528872302   Symbol: LXRX							
12/11/2020	500.00	1,494.92	Various	1,424.20	0.00	70.72	Buy to Cover Short
<b>Security Totals:</b>		<b>5,960.78</b>		<b>5,673.99</b>		<b>286.79</b>	
GENIUS BRANDS INTERNATIONAL INC COMMON STOCK   CUSIP: 37229T301   Symbol: GNUS							
05/06/2020	100.00	98.78	05/06/2020	88.20	0.00	10.58	Sale
05/06/2020	850.00	858.38	05/06/2020	749.70	0.00	108.68	Sale
05/06/2020	1,400.00	1,382.99	05/06/2020	1,234.80	0.00	148.19	Sale
05/06/2020	6.00	4.55	05/06/2020	4.39	0.00	0.16	Sale
05/06/2020	30.00	31.18	05/06/2020	26.46	0.00	4.72	Sale
05/06/2020	100.00	75.78	Various	73.19	0.00	2.59	Sale
05/06/2020	100.00	75.78	05/06/2020	73.13	0.00	2.65	Sale
05/06/2020	110.00	114.38	05/06/2020	97.02	0.00	17.36	Sale
05/06/2020	424.00	391.29	05/06/2020	373.97	0.00	17.32	Sale
05/06/2020	500.00	461.42	05/06/2020	441.00	0.00	20.42	Sale
05/06/2020	510.00	530.32	05/06/2020	449.82	0.00	80.50	Sale
05/06/2020	1,076.00	992.98	Various	949.03	0.00	43.95	Sale
05/06/2020	1,500.00	1,138.29	Various	1,097.66	0.00	40.63	Sale
05/06/2020	3,294.00	2,496.40	05/06/2020	2,411.22	0.00	85.18	Sale
05/07/2020	100.00	89.82	Various	93.75	3.93 D	0.00	Sale
05/07/2020	100.00	89.82	05/07/2020	92.20	2.38 D	0.00	Sale
05/07/2020	100.00	89.82	05/07/2020	92.20	2.38 D	0.00	Sale
05/07/2020	100.00	89.82	05/07/2020	92.21	2.39 D	0.00	Sale
05/07/2020	161.00	144.60	05/07/2020	148.45	3.85 D	0.00	Sale
05/07/2020	200.00	179.65	Various	185.98	6.33 D	0.00	Sale
05/07/2020	262.00	332.70	Various	337.98	5.28 D	0.00	Sale
05/07/2020	600.00	538.95	Various	561.77	23.60 D	0.78	Sale
05/07/2020	600.00	538.95	05/07/2020	535.15	0.00	3.80	Sale
05/07/2020	800.00	718.60	Various	733.94	15.59 D	0.25	Sale
05/07/2020	500.00	634.92	Various	650.28	15.36 D	0.00	Sale

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APEX CLEARING

Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B\*

OMB No. 1545-0715

2TZ05705

(continued)

01/24/2021

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

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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
GENIUS BRANDS INTERNATIONAL INC COMMON STOCK   CUSIP: 37229T301   Symbol: GNUS							
05/07/2020	1,238.00	1,559.69	Various	1,612.38	52.69 D	0.00	Sale
05/07/2020	1,239.00	1,112.94	Various	1,127.30	20.04 D	5.68	Sale
05/14/2020	65.00	114.38	05/14/2020	104.00	0.00	10.38	Sale
05/14/2020	100.00	173.98	05/14/2020	153.00	0.00	20.98	Sale
05/14/2020	100.00	175.98	05/14/2020	160.00	0.00	15.98	Sale
05/14/2020	100.00	160.08	05/14/2020	162.00	1.92 D	0.00	Sale
05/14/2020	100.00	160.08	05/14/2020	162.00	1.92 D	0.00	Sale
05/14/2020	134.00	214.37	05/14/2020	217.08	2.71 D	0.00	Sale
05/14/2020	335.00	586.19	05/14/2020	536.00	0.00	50.19	Sale
05/14/2020	366.00	585.54	05/14/2020	592.92	7.38 D	0.00	Sale
05/14/2020	900.00	1,565.85	Various	1,384.57	0.00	181.28	Sale
05/14/2020	1,000.00	1,719.84	Various	1,558.06	0.00	161.78	Sale
05/14/2020	1,000.00	1,739.84	05/14/2020	1,600.00	0.00	139.84	Sale
05/14/2020	1,300.00	2,079.80	05/14/2020	2,106.00	26.2 D	0.00	Sale
05/14/2020	500.00	890.47	05/14/2020	800.00	0.00	90.47	Sale
05/15/2020	752.00	1,353.48	05/15/2020	1,113.07	0.00	240.41	Sale
05/15/2020	1,000.00	1,799.84	Various	1,479.98	0.00	319.86	Sale
05/15/2020	248.00	446.36	05/15/2020	367.08	0.00	79.28	Sale
05/15/2020	20.00	32.98	05/15/2020	29.82	0.00	3.16	Sale
05/15/2020	150.00	247.59	Various	223.93	0.00	23.66	Sale
05/15/2020	330.00	544.44	Various	493.45	0.00	50.99	Sale
05/15/2020	1,500.00	2,474.76	Various	2,225.24	0.00	249.52	Sale
05/19/2020	2,000.00	2,769.25	Various	2,800.00	30.75 D	0.00	Buy to Cover Short
05/27/2020	1,000.00	1,839.83	Various	1,774.96	0.00	64.87	Sale
05/27/2020	1,000.00	1,819.83	Various	1,738.06	0.00	81.77	Sale
05/27/2020	1,000.00	1,819.83	05/27/2020	1,730.00	0.00	89.83	Sale
05/27/2020	320.00	511.94	Various	518.40	6.46 D	0.00	Sale

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**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

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**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
GENIUS BRANDS INTERNATIONAL INC COMMON STOCK   CUSIP: 37229T301   Symbol: GNUS							
05/27/2020	1,000.00	1,820.83	Various	1,753.17	0.00	67.66	Sale
05/27/2020	1,000.00	1,840.03	Various	1,754.16	0.00	85.87	Sale
05/27/2020	2,200.00	3,520.10	Various	3,570.46	50.36 D	0.00	Sale
05/27/2020	2,480.00	3,967.61	Various	4,049.61	82.00 D	0.00	Sale
07/02/2020	30.00	111.88	Various	112.80	0.92 D	0.00	Sale
07/02/2020	35.00	130.53	Various	131.60	1.07 D	0.00	Sale
07/02/2020	47.00	175.29	Various	176.73	1.44 D	0.00	Sale
07/02/2020	50.00	185.98	07/02/2020	188.01	2.03 D	0.00	Sale
07/02/2020	65.00	242.43	Various	244.41	1.98 D	0.00	Sale
07/02/2020	75.00	279.73	07/02/2020	282.01	2.28 D	0.00	Sale
07/02/2020	100.00	371.98	Various	376.02	4.04 D	0.00	Sale
07/02/2020	100.00	371.98	Various	376.04	4.06 D	0.00	Sale
07/02/2020	100.00	371.98	Various	377.06	5.08 D	0.00	Sale
07/02/2020	114.00	294.67	07/02/2020	295.05	0.38 D	0.00	Sale
07/02/2020	150.00	559.46	Various	566.08	6.62 D	0.00	Sale
07/02/2020	160.00	596.76	Various	604.36	7.60 D	0.00	Sale
07/02/2020	500.00	1,329.91	07/02/2020	1,330.00	0.09 D	0.00	Sale
07/02/2020	500.00	1,859.89	Various	1,884.71	24.82 D	0.00	Sale
07/02/2020	588.00	2,193.12	Various	2,219.17	26.05 D	0.00	Sale
07/02/2020	646.00	1,669.79	07/02/2020	1,671.98	2.19 D	0.00	Sale
07/02/2020	654.00	1,690.47	07/02/2020	1,692.68	2.21 D	0.00	Sale
07/02/2020	700.00	1,809.38	Various	1,811.19	1.98 D	0.17	Sale
07/02/2020	700.00	1,809.38	Various	1,808.37	0.00	1.01	Sale
07/02/2020	1,186.00	3,065.60	Various	3,063.89	0.00	1.71	Sale
07/02/2020	500.00	1,329.91	07/02/2020	1,339.99	10.08 D	0.00	Sale
07/10/2020	220.00	543.57	Various	581.89	38.32 D	0.00	Sale
07/10/2020	1,780.00	4,398.07	Various	4,617.18	219.11 D	0.00	Sale

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APEX CLEARING

Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B\*

OMB No. 1545-0715

2TZ05705

(continued)

01/24/2021

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

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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
GENIUS BRANDS INTERNATIONAL INC COMMON STOCK   CUSIP: 37229T301   Symbol: GNUS							
07/10/2020	2,000.00	4,941.65	Various	5,237.23	295.58 D	0.00	Sale
07/10/2020	2,055.00	4,993.29	Various	5,515.44	0.00	-522.15	Sale
07/10/2020	2,945.00	7,155.84	Various	7,474.77	0.00	-318.93	Sale
07/10/2020	5,000.00	12,099.13	Various	12,940.34	841.21 D	0.00	Sale
07/10/2020	30.00	72.29	Various	80.69	8.40 D	0.00	Sale
07/10/2020	4,970.00	11,980.32	Various	12,673.29	692.97 D	0.00	Sale
07/10/2020	5,000.00	12,052.63	Various	12,842.97	790.34 D	0.00	Sale
<b>Security Totals:</b>		<b>130,434.81</b>		<b>132,006.15</b>		<b>1,783.03</b>	
VERU INC COMMON STOCK   CUSIP: 92536C103   Symbol: VERU							
12/16/2020	1.00	9.88	12/16/2020	9.93	0.05 D	0.00	Sale
12/16/2020	1.00	9.89	12/16/2020	9.93	0.04 D	0.00	Sale
12/16/2020	90.00	893.67	12/16/2020	893.69	0.02 D	0.00	Sale
12/16/2020	59.00	584.07	Various	585.95	1.88 D	0.00	Sale
12/16/2020	99.00	981.05	Various	991.40	10.35 D	0.00	Sale
12/16/2020	100.00	990.96	Various	1,001.70	10.74 D	0.00	Sale
12/16/2020	100.00	990.96	Various	996.80	5.84 D	0.00	Sale
12/16/2020	100.00	990.96	Various	993.05	2.09 D	0.00	Sale
12/16/2020	100.00	990.96	Various	995.78	4.82 D	0.00	Sale
12/16/2020	100.00	990.96	Various	1,004.46	13.50 D	0.00	Sale
12/16/2020	100.00	990.96	Various	1,004.74	13.78 D	0.00	Sale
12/16/2020	150.00	1,487.94	Various	1,497.31	9.37 D	0.00	Sale
12/16/2020	200.00	1,979.93	Various	2,005.02	25.09 D	0.00	Sale
12/16/2020	500.00	4,949.83	Various	5,035.16	85.33 D	0.00	Sale
12/16/2020	300.00	2,969.89	Various	3,036.18	66.29 D	0.00	Sale
12/17/2020	400.00	3,743.86	Various	3,883.28	139.42 D	0.00	Sale
12/17/2020	600.00	5,621.80	Various	5,768.18	146.38 D	0.00	Sale
12/18/2020	100.00	1,027.96	12/16/2020	1,035.00	7.04 D	0.00	Buy to Cover Short
12/18/2020	100.00	1,095.96	Various	1,107.55	11.59 D	0.00	Buy to Cover Short

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APEX CLEARING

Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B\*

OMB No. 1545-0715

2TZ05705

(continued)

01/24/2021

**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

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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
VERU INC COMMON STOCK   CUSIP: 92536C103   Symbol: VERU							
12/18/2020	100.00	1,095.96	12/16/2020	1,097.04	1.08 D	0.00	Buy to Cover Short
12/18/2020	100.00	1,091.46	Various	1,096.57	5.11 D	0.00	Buy to Cover Short
12/18/2020	23.00	238.73	12/16/2020	241.49	2.76 D	0.00	Buy to Cover Short
12/18/2020	25.00	259.49	12/16/2020	262.50	3.01 D	0.00	Buy to Cover Short
12/18/2020	52.00	539.74	Various	545.98	6.24 D	0.00	Buy to Cover Short
12/18/2020	100.00	1,086.96	Various	1,096.78	9.82 D	0.00	Buy to Cover Short
12/18/2020	100.00	1,086.96	12/16/2020	1,096.75	9.79 D	0.00	Buy to Cover Short
12/18/2020	400.00	4,145.35	Various	4,204.01	58.66 D	0.00	Buy to Cover Short
12/18/2020	500.00	5,144.91	Various	5,126.49	1.97 D	20.39	Buy to Cover Short
12/18/2020	500.00	4,549.83	Various	4,675.10	86.27 D	-39.00	Sale
12/18/2020	500.00	4,539.83	Various	4,677.69	0.00	-137.86	Sale
<b>Security Totals:</b>		<b>55,080.71</b>		<b>55,975.51</b>		<b>-156.47</b>	
***VBI VACCINES INC CDA COM   CUSIP: 91822J103   Symbol: VBIV							
08/27/2020	2,600.00	11,442.29	Various	11,555.50	54.26 D	-58.95	Sale
08/27/2020	1,400.00	6,159.69	Various	6,298.26	0.00	-138.57	Sale
<b>Security Totals:</b>		<b>17,601.98</b>		<b>17,853.76</b>		<b>-197.52</b>	
IMAC HOLDINGS INC COMMON STOCK   CUSIP: 44967K104   Symbol: IMAC							
03/26/2020	30.00	82.18	03/26/2020	71.63	0.00	10.55	Sale
03/26/2020	40.00	103.18	03/26/2020	95.51	0.00	7.67	Sale
03/26/2020	61.00	157.36	03/26/2020	145.65	0.00	11.71	Sale
03/26/2020	100.00	257.98	03/26/2020	238.77	0.00	19.21	Sale
03/26/2020	170.00	465.76	03/26/2020	405.91	0.00	59.85	Sale
03/26/2020	200.00	515.96	03/26/2020	477.54	0.00	38.42	Sale
03/26/2020	299.00	771.36	03/26/2020	713.92	0.00	57.44	Sale
03/26/2020	300.00	773.94	03/26/2020	716.31	0.00	57.63	Sale
03/26/2020	800.00	2,191.85	03/26/2020	1,910.16	0.00	281.69	Sale
<b>Security Totals:</b>		<b>5,319.57</b>		<b>4,775.40</b>		<b>544.17</b>	

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APEX CLEARING

Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B\*

OMB No. 1545-0715

2TZ05705

(continued)

01/24/2021

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)

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

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1a - Description of property | CUSIP | Symbol

1c - DateSold 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
AMERICAN RESOURCES CORPORATION CLASS A COMMON SHARES   CUSIP: 02927U208   Symbol: AREC							
10/07/2020	86.00	319.90	10/07/2020	318.18	0.00	1.72	Sale
10/07/2020	100.00	371.98	10/07/2020	369.98	0.00	2.00	Sale
10/07/2020	100.00	371.98	10/07/2020	369.98	0.00	2.00	Sale
10/07/2020	100.00	371.98	10/07/2020	369.98	0.00	2.00	Sale
10/07/2020	100.00	371.98	10/07/2020	369.98	0.00	2.00	Sale
10/07/2020	100.00	363.98	Various	380.00	16.02 D	0.00	Sale
10/07/2020	100.00	371.98	10/07/2020	369.98	0.00	2.00	Sale
10/07/2020	114.00	424.06	10/07/2020	421.78	0.00	2.28	Sale
10/07/2020	150.00	545.96	Various	586.02	40.06 D	0.00	Sale
10/07/2020	100.00	371.98	10/07/2020	369.98	0.00	2.00	Sale
10/07/2020	200.00	743.96	10/07/2020	739.96	0.00	4.00	Sale
10/07/2020	300.00	1,091.93	Various	1,180.06	88.13 D	0.00	Sale
10/07/2020	1,000.00	3,569.80	Various	3,790.22	220.42 D	0.00	Sale
10/07/2020	450.00	1,637.91	Various	1,798.13	160.22 D	0.00	Sale
10/07/2020	1,000.00	3,569.80	Various	3,850.42	0.00	-280.62	Sale
<b>Security Totals:</b>		<b>14,499.18</b>		<b>15,284.65</b>		<b>-260.62</b>	

\*\*\*ITERUM THERAPEUTICS PLC ORDINARY SHARE | CUSIP: G6333L101 | Symbol: ITRM

09/30/2020	5.00	7.78	09/30/2020	8.46	0.68 D	0.00	Sale
09/30/2020	30.00	48.88	09/30/2020	48.00	0.00	0.88	Sale
09/30/2020	100.00	162.98	09/30/2020	159.99	0.00	2.99	Sale
09/30/2020	100.00	155.98	Various	168.83	12.85 D	0.00	Sale
09/30/2020	100.00	162.98	09/30/2020	159.99	0.00	2.99	Sale
09/30/2020	100.00	162.98	09/30/2020	159.99	0.00	2.99	Sale
09/30/2020	100.00	162.98	09/30/2020	159.99	0.00	2.99	Sale
09/30/2020	100.00	162.98	09/30/2020	159.99	0.00	2.99	Sale
09/30/2020	100.00	162.98	09/30/2020	159.99	0.00	2.99	Sale
09/30/2020	170.00	277.07	09/30/2020	271.98	0.00	5.09	Sale
09/30/2020	200.00	313.97	Various	321.94	7.97 D	0.00	Sale

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**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
***ITERUM THERAPEUTICS PLC ORDINARY SHARE   CUSIP: G6333L101   Symbol: ITRM							
09/30/2020	200.00	313.97	09/30/2020	320.06	6.09 D	0.00	Sale
09/30/2020	200.00	311.97	Various	325.97	14.00 D	0.00	Sale
09/30/2020	200.00	311.97	Various	334.14	22.17 D	0.00	Sale
09/30/2020	200.00	311.97	09/30/2020	324.09	12.12 D	0.00	Sale
09/30/2020	200.00	313.97	09/30/2020	320.06	6.09 D	0.00	Sale
09/30/2020	200.00	311.97	09/30/2020	324.09	12.12 D	0.00	Sale
09/30/2020	200.00	313.97	Various	319.57	5.60 D	0.00	Sale
09/30/2020	200.00	323.97	Various	340.02	0.00	-16.05	Sale
09/30/2020	200.00	311.97	Various	323.60	11.63 D	0.00	Sale
09/30/2020	200.00	311.97	Various	322.26	10.29 D	0.00	Sale
09/30/2020	200.00	313.97	Various	318.23	4.26 D	0.00	Sale
09/30/2020	300.00	476.94	09/30/2020	471.05	0.00	5.89	Sale
09/30/2020	300.00	467.94	Various	501.19	33.25 D	0.00	Sale
09/30/2020	412.00	650.89	Various	649.95	2.2 D	3.14	Sale
09/30/2020	500.00	809.92	09/30/2020	795.00	0.00	14.92	Sale
09/30/2020	588.00	928.94	Various	934.38	8.48 D	3.04	Sale
09/30/2020	600.00	977.90	Various	992.41	0.00	-14.51	Sale
09/30/2020	600.00	977.90	Various	989.89	0.00	-11.99	Sale
09/30/2020	700.00	1,112.89	09/30/2020	1,099.10	0.00	13.79	Sale
09/30/2020	900.00	1,403.85	Various	1,491.20	87.35 D	0.00	Sale
09/30/2020	1,000.00	1,509.84	Various	1,518.65	8.81 D	0.00	Sale
09/30/2020	1,000.00	1,509.84	09/30/2020	1,515.16	5.32 D	0.00	Sale
09/30/2020	1,000.00	1,559.84	Various	1,564.16	7.04 D	2.72	Sale
09/30/2020	1,000.00	1,559.84	Various	1,518.66	0.00	41.18	Sale
09/30/2020	1,300.00	2,105.80	09/30/2020	2,067.00	0.00	38.80	Sale
09/30/2020	1,495.00	2,331.96	Various	2,466.45	134.49 D	0.00	Sale
09/30/2020	2,000.00	3,279.68	Various	3,350.55	94.35 D	23.48	Sale

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APEX CLEARING

Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B\*

OMB No. 1545-0715

2TZ05705

(continued)

01/24/2021

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
***ITERUM THERAPEUTICS PLC ORDINARY SHARE   CUSIP: G6333L101   Symbol: ITRM							
09/30/2020	3,000.00	4,529.53	Various	4,552.00	22.47 D	0.00	Sale
09/30/2020	100.00	150.98	09/30/2020	151.03	0.05 D	0.00	Sale
09/30/2020	100.00	150.98	09/30/2020	151.03	0.05 D	0.00	Sale
09/30/2020	100.00	150.98	Various	151.03	0.05 D	0.00	Sale
09/30/2020	100.00	150.98	09/30/2020	151.03	0.05 D	0.00	Sale
09/30/2020	200.00	301.97	09/30/2020	302.07	0.1 D	0.00	Sale
09/30/2020	200.00	301.97	Various	301.56	0.04 D	0.45	Sale
09/30/2020	200.00	301.97	Various	301.06	0.00	0.91	Sale
09/30/2020	345.00	524.37	Various	538.38	14.01 D	0.00	Sale
09/30/2020	1,000.00	1,512.94	Various	1,505.32	0.00	7.62	Sale
09/30/2020	1,000.00	1,559.94	Various	1,650.16	90.22 D	0.00	Sale
09/30/2020	2,655.00	4,035.19	Various	4,155.97	120.78 D	0.00	Sale
<b>Security Totals:</b>		<b>40,569.00</b>		<b>41,186.68</b>		<b>137.30</b>	
***SOHU.COM LIMITED AMERICAN DEPOSITARY SHARES   CUSIP: 83410S108   Symbol: SOHU							
07/28/2020	50.00	944.46	07/28/2020	914.00	0.00	30.46	Sale
07/28/2020	100.00	1,887.94	07/28/2020	1,828.00	0.00	59.94	Sale
07/28/2020	100.00	1,887.94	Various	1,828.00	0.00	59.94	Sale
07/28/2020	100.00	1,846.94	07/28/2020	1,828.00	0.00	18.94	Sale
07/28/2020	150.00	2,770.41	07/28/2020	2,742.00	0.00	28.41	Sale
07/28/2020	250.00	4,617.36	07/28/2020	4,570.00	0.00	47.36	Sale
07/28/2020	250.00	4,617.36	07/28/2020	4,570.00	0.00	47.36	Sale
07/29/2020	100.00	1,827.94	07/29/2020	1,820.00	0.00	7.94	Sale
07/29/2020	100.00	1,828.04	07/29/2020	1,820.00	0.00	8.04	Sale
07/29/2020	100.00	1,827.94	07/29/2020	1,820.00	0.00	7.94	Sale
07/29/2020	200.00	3,655.89	07/29/2020	3,640.00	0.00	15.89	Sale
07/29/2020	100.00	1,827.94	07/29/2020	1,820.00	0.00	7.94	Sale
07/29/2020	100.00	1,828.04	07/29/2020	1,820.00	0.00	8.04	Sale

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**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

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**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
***SOHU.COM LIMITED AMERICAN DEPOSITARY SHARES   CUSIP: 83410S108   Symbol: SOHU							
07/29/2020	300.00	5,488.33	07/29/2020	5,460.00	0.00	28.33	Sale
<b>Security Totals:</b>		<b>36,856.53</b>		<b>36,480.00</b>		<b>376.53</b>	
TENAX THERAPEUTICS INC COMMON STOCK   CUSIP: 88032L209   Symbol: TENX							
12/30/2020	600.00	1,307.90	Various	1,212.24	0.00	95.66	Sale
12/31/2020	50.00	110.99	12/29/2020	104.00	0.00	6.99	Buy to Cover Short
12/31/2020	50.00	110.99	12/29/2020	104.00	0.00	6.99	Buy to Cover Short
12/31/2020	50.00	112.99	12/29/2020	103.50	0.00	9.49	Buy to Cover Short
12/31/2020	100.00	225.98	12/29/2020	207.00	0.00	18.98	Buy to Cover Short
12/31/2020	100.00	221.98	12/29/2020	208.00	0.00	13.98	Buy to Cover Short
12/31/2020	100.00	225.98	12/29/2020	207.00	0.00	18.98	Buy to Cover Short
12/31/2020	100.00	221.98	12/29/2020	208.00	0.00	13.98	Buy to Cover Short
12/31/2020	200.00	443.97	12/29/2020	416.00	0.00	27.97	Buy to Cover Short
12/31/2020	250.00	564.96	12/29/2020	517.50	0.00	47.46	Buy to Cover Short
12/31/2020	500.00	1,035.11	Various	1,035.00	0.00	0.11	Buy to Cover Short
12/31/2020	500.00	1,014.91	Various	1,030.10	15.19 D	0.00	Buy to Cover Short
12/31/2020	1,000.00	2,109.83	Various	2,134.73	24.90 D	0.00	Buy to Cover Short
12/31/2020	25.00	51.25	12/29/2020	51.36	0.11 D	0.00	Buy to Cover Short
12/31/2020	65.00	133.24	12/29/2020	133.53	0.29 D	0.00	Buy to Cover Short
12/31/2020	100.00	225.98	12/29/2020	206.00	0.00	19.98	Buy to Cover Short
12/31/2020	110.00	225.48	Various	225.96	0.48 D	0.00	Buy to Cover Short
12/31/2020	200.00	451.97	12/29/2020	412.00	0.00	39.97	Buy to Cover Short
12/31/2020	200.00	411.96	Various	410.89	0.00	1.07	Buy to Cover Short
12/31/2020	200.00	451.97	12/29/2020	411.96	0.00	40.01	Buy to Cover Short
12/31/2020	300.00	605.89	Various	606.26	0.93 D	0.56	Buy to Cover Short
12/31/2020	300.00	599.95	Various	599.43	0.03 D	0.55	Buy to Cover Short
12/31/2020	500.00	999.96	Various	999.48	0.01 D	0.49	Buy to Cover Short
12/31/2020	500.00	1,019.91	12/29/2020	1,032.04	12.13 D	0.00	Buy to Cover Short
12/31/2020	500.00	994.91	Various	1,000.01	5.10 D	0.00	Buy to Cover Short

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APEX CLEARING

## Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B\*

OMB No. 1545-0715

2TZ05705

(continued)

01/24/2021

**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>
TENAX THERAPEUTICS INC COMMON STOCK   CUSIP: 88032L209   Symbol: TENX							
12/31/2020	500.00	1,032.41	12/29/2020	1,034.45	2.04 D	0.00	Buy to Cover Short
12/31/2020	500.00	1,109.91	12/29/2020	1,040.00	0.00	69.91	Buy to Cover Short
12/31/2020	500.00	1,014.91	Various	1,039.64	24.73 D	0.00	Buy to Cover Short
12/31/2020	1,000.00	2,110.37	Various	2,134.90	24.39 D	-0.14	Buy to Cover Short
12/31/2020	500.00	1,019.92	Various	1,047.13	27.21 D	0.00	Buy to Cover Short
<b>Security Totals:</b>		<b>20,167.56</b>		<b>19,872.11</b>		<b>432.99</b>	
HUMANIGEN INC COMMON STOCK   CUSIP: 444863104   Symbol: HGEN							
06/05/2020	1,000.00	2,927.82	06/03/2020	2,842.00	0.00	85.82	Buy to Cover Short
06/05/2020	1,000.00	2,927.81	06/03/2020	2,922.00	0.00	5.81	Buy to Cover Short
<b>Security Totals:</b>		<b>5,855.63</b>		<b>5,764.00</b>		<b>91.63</b>	
***RENREN INC AMERICAN DEPOSITARY SHR ECH RPRSNTNG 45 CL A ORD SHR   CUSIP: 759892300   Symbol: RENN							
09/10/2020	200.00	321.97	09/10/2020	354.03	0.00	-32.06	Sale
09/10/2020	200.00	321.97	Various	354.03	0.00	-32.06	Sale
09/10/2020	1,100.00	1,759.83	Various	1,875.12	0.00	-115.29	Sale
09/10/2020	1,500.00	2,444.76	Various	2,550.00	103.35 D	-1.89	Sale
09/23/2020	300.00	1,277.93	09/23/2020	1,335.05	0.00	-57.12	Sale
09/23/2020	400.00	1,703.91	09/23/2020	1,780.07	0.00	-76.16	Sale
09/23/2020	300.00	1,277.93	09/23/2020	1,335.05	0.00	-57.12	Sale
<b>Security Totals:</b>		<b>9,108.30</b>		<b>9,583.35</b>		<b>-371.70</b>	
***HEXINDAI INC ADR   CUSIP: 428295109   Symbol: HX							
08/13/2020	2,000.00	2,559.70	08/13/2020	2,580.00	0.00	-20.30	Sale
***CHAMPIGNON BRANDS INC COM SHRS   CUSIP: 15850D100   Symbol: SHRMF							
05/20/2020	450.00	633.53	Various	579.60	0.00	53.93	Sale
05/20/2020	456.00	688.30	Various	587.33	0.00	100.97	Sale
05/20/2020	500.00	753.92	05/20/2020	644.00	0.00	109.92	Sale
05/20/2020	500.00	743.92	05/20/2020	644.00	0.00	99.92	Sale
05/20/2020	1,030.00	1,450.08	05/20/2020	1,326.64	0.00	123.44	Sale
05/20/2020	44.00	66.33	05/20/2020	56.67	0.00	9.66	Sale

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APEX CLEARING

## Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B\*

OMB No. 1545-0715

2TZ05705

(continued)

01/24/2021

**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
***CHAMPIGNON BRANDS INC COM SHRS   CUSIP: 15850D100   Symbol: SHRMF							
05/20/2020	20.00	28.14	05/20/2020	25.76	0.00	2.38	Sale
<b>Security Totals:</b>		<b>4,364.22</b>		<b>3,864.00</b>		<b>500.22</b>	
TOMI ENVIRONMENTAL SOLUTIONS INC   CUSIP: 890023104   Symbol: TOMZ							
03/04/2020	1,500.00	2,126.77	03/02/2020	1,953.00	0.00	173.77	Buy to Cover Short
03/04/2020	1,500.00	2,126.77	03/02/2020	1,923.00	0.00	203.77	Buy to Cover Short
03/04/2020	2,000.00	1,485.72	03/04/2020	1,423.80	0.00	61.92	Sale
06/25/2020	500.00	693.92	06/25/2020	701.00	7.08 D	0.00	Sale
06/25/2020	2,500.00	3,469.62	Various	3,512.08	0.00	-42.46	Sale
<b>Security Totals:</b>		<b>9,902.80</b>		<b>9,512.88</b>		<b>397.00</b>	
***FARMMI INC ORDINARY SHARES   CUSIP: G33277107   Symbol: FAMI							
06/18/2020	500.00	677.42	06/18/2020	575.00	0.00	102.42	Sale
06/18/2020	180.00	232.17	06/18/2020	207.00	0.00	25.17	Sale
06/18/2020	500.00	679.92	06/18/2020	575.00	0.00	104.92	Sale
06/18/2020	320.00	412.75	06/18/2020	368.00	0.00	44.75	Sale
08/14/2020	1,000.00	1,379.84	08/14/2020	1,250.00	0.00	129.84	Sale
08/14/2020	1,000.00	1,379.84	08/14/2020	1,250.00	0.00	129.84	Sale
08/14/2020	1,000.00	1,379.84	Various	1,250.00	0.00	129.84	Sale
08/14/2020	1,600.00	1,935.76	08/14/2020	1,920.00	0.00	15.76	Sale
08/14/2020	1,000.00	1,329.95	08/14/2020	1,250.00	0.00	79.95	Sale
<b>Security Totals:</b>		<b>9,407.49</b>		<b>8,645.00</b>		<b>762.49</b>	
CELSION CORPORATION COMMON STOCK   CUSIP: 15117N503   Symbol: CLSN							
06/15/2020	1,000.00	3,619.79	06/15/2020	3,620.00	0.21 D	0.00	Sale
06/15/2020	1,000.00	3,564.80	Various	3,523.00	0.00	41.80	Sale
06/17/2020	180.00	989.95	06/17/2020	1,015.24	25.29 D	0.00	Sale
06/17/2020	820.00	4,509.80	06/17/2020	4,624.97	115.17 D	0.00	Sale
06/17/2020	1,000.00	5,599.75	Various	5,740.46	140.71 D	0.00	Sale
06/22/2020	1,000.00	4,684.35	Various	4,810.00	125.65 D	0.00	Buy to Cover Short
07/15/2020	2,429.00	3,618.84	Various	3,849.45	226.47 D	-4.14	Sale

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APEX CLEARING

Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B\*

OMB No. 1545-0715

2TZ05705

(continued)

01/24/2021

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

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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
CELSION CORPORATION COMMON STOCK   CUSIP: 15117N503   Symbol: CLSN							
07/15/2020	2,571.00	3,830.39	Various	4,081.68	0.00	-251.29	Sale
<b>Security Totals:</b>		<b>30,417.67</b>		<b>31,264.80</b>		<b>-213.63</b>	
ACER THERAPEUTICS INC COMMON STOCK   CUSIP: 00444P108   Symbol: ACER							
05/19/2020	5.00	25.88	05/19/2020	31.96	6.08 D	0.00	Sale
05/19/2020	5.00	25.73	05/19/2020	31.86	6.13 D	0.00	Sale
05/19/2020	10.00	51.98	05/19/2020	64.01	12.03 D	0.00	Sale
05/19/2020	20.00	104.38	05/19/2020	125.41	21.03 D	0.00	Sale
05/19/2020	20.00	104.38	05/19/2020	125.41	21.03 D	0.00	Sale
05/19/2020	25.00	128.48	Various	159.99	31.51 D	0.00	Sale
05/19/2020	30.00	156.88	05/19/2020	188.11	31.23 D	0.00	Sale
05/19/2020	31.00	161.18	Various	198.13	36.95 D	0.00	Sale
05/19/2020	34.00	175.08	Various	217.52	42.44 D	0.00	Sale
05/19/2020	40.00	205.18	Various	270.65	65.47 D	0.00	Sale
05/19/2020	50.00	257.48	Various	357.30	99.82 D	0.00	Sale
05/19/2020	100.00	513.97	Various	646.06	132.09 D	0.00	Sale
05/19/2020	100.00	514.97	Various	646.26	131.29 D	0.00	Sale
05/19/2020	100.00	522.97	Various	659.08	136.11 D	0.00	Sale
05/19/2020	100.00	514.97	Various	635.84	120.87 D	0.00	Sale
05/19/2020	150.00	784.46	Various	974.48	190.02 D	0.00	Sale
05/19/2020	200.00	1,045.95	Various	1,258.60	212.65 D	0.00	Sale
05/19/2020	480.00	2,505.48	Various	2,940.43	434.95 D	0.00	Sale
05/19/2020	500.00	2,609.88	Various	3,192.46	582.58 D	0.00	Sale
05/19/2020	500.00	2,609.88	Various	3,054.56	444.68 D	0.00	Sale
05/19/2020	500.00	2,579.88	Various	3,129.68	549.80 D	0.00	Sale
05/19/2020	1,000.00	5,129.76	Various	6,544.72	0.00	-1,414.96	Sale
05/19/2020	1,000.00	5,159.76	Various	6,634.48	1474.72 D	0.00	Sale
05/19/2020	20.00	111.38	05/19/2020	125.00	13.62 D	0.00	Sale
05/19/2020	50.00	278.48	05/19/2020	312.50	34.02 D	0.00	Sale

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APEX CLEARING

## Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B\*

OMB No. 1545-0715

2TZ05705

(continued)

01/24/2021

**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>
ACER THERAPEUTICS INC COMMON STOCK   CUSIP: 00444P108   Symbol: ACER							
05/19/2020	930.00	5,179.87	Various	5,825.14	645.27 D	0.00	Sale
05/19/2020	1,000.00	5,569.75	Various	6,641.27	1071.52 D	0.00	Sale
<b>Security Totals:</b>		<b>37,028.04</b>		<b>44,990.91</b>		<b>-1,414.96</b>	
INSIGNIA SYSTEMS INC   CUSIP: 45765Y105   Symbol: ISIG							
10/21/2020	2,000.00	2,079.71	Various	2,273.05	0.00	-193.34	Sale
10/21/2020	1,000.00	1,085.35	Various	1,130.00	44.65 D	0.00	Sale
<b>Security Totals:</b>		<b>3,165.06</b>		<b>3,403.05</b>		<b>-193.34</b>	
***JINKOSOLAR HLDG COLTD SPONSORED ADR   CUSIP: 47759T100   Symbol: JKS							
10/06/2020	500.00	22,669.43	Various	22,610.00	0.00	59.43	Sale
10/09/2020	100.00	6,022.85	10/09/2020	5,921.00	0.00	101.85	Sale
10/09/2020	100.00	6,030.35	Various	5,924.00	0.00	106.35	Sale
10/09/2020	100.00	6,019.85	10/09/2020	5,924.00	0.00	95.85	Sale
10/15/2020	52.00	3,358.85	Various	3,373.24	3.6 D	-10.79	Sale
10/15/2020	148.00	9,554.64	Various	9,604.36	49.72 D	0.00	Sale
10/21/2020	200.00	14,599.65	Various	14,777.72	178.07 D	0.00	Sale
10/23/2020	100.00	6,116.85	Various	6,179.14	62.29 D	0.00	Sale
10/23/2020	100.00	6,114.85	Various	6,197.55	82.70 D	0.00	Sale
10/26/2020	5.00	353.77	10/22/2020	358.03	4.26 D	0.00	Buy to Cover Short
10/26/2020	25.00	1,763.48	Various	1,748.59	0.00	14.89	Buy to Cover Short
10/26/2020	25.00	1,758.55	Various	1,759.95	2 D	0.60	Buy to Cover Short
10/26/2020	25.00	1,769.27	Various	1,744.92	0.00	24.35	Buy to Cover Short
10/26/2020	40.00	2,811.92	Various	2,864.14	52.22 D	0.00	Buy to Cover Short
10/26/2020	50.00	3,510.92	Various	3,534.15	23.23 D	0.00	Buy to Cover Short
10/26/2020	50.00	3,514.92	Various	3,559.68	44.76 D	0.00	Buy to Cover Short
10/26/2020	100.00	7,075.39	Various	7,161.42	86.03 D	0.00	Buy to Cover Short
10/26/2020	100.00	7,092.83	10/22/2020	7,143.53	50.7 D	0.00	Buy to Cover Short
10/26/2020	100.00	7,092.82	Various	7,202.15	109.33 D	0.00	Buy to Cover Short
10/26/2020	100.00	7,038.84	Various	7,099.18	60.34 D	0.00	Buy to Cover Short

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**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)

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

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

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**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
***JINKOSOLAR HLDG CO LTD SPONSORED ADR   CUSIP: 47759T100   Symbol: JKS							
10/26/2020	195.00	13,797.01	10/22/2020	13,976.13	179.12 D	0.00	Buy to Cover Short
10/26/2020	200.00	14,077.65	10/22/2020	14,202.14	124.49 D	0.00	Buy to Cover Short
10/26/2020	300.00	20,969.48	Various	21,069.00	99.52 D	0.00	Buy to Cover Short
10/26/2020	300.00	21,275.40	Various	21,611.41	336.01 D	0.00	Buy to Cover Short
10/26/2020	25.00	1,760.96	10/22/2020	1,756.21	0.00	4.75	Buy to Cover Short
10/26/2020	100.00	7,092.83	Various	7,207.46	114.63 D	0.00	Buy to Cover Short
11/05/2020	5.00	362.98	11/05/2020	365.81	2.83 D	0.00	Sale
11/05/2020	7.00	480.80	Various	488.50	7.70 D	0.00	Sale
11/05/2020	7.00	499.98	Various	529.86	29.88 D	0.00	Sale
11/05/2020	10.00	722.77	Various	721.03	0.00	1.74	Sale
11/05/2020	10.00	722.17	11/05/2020	719.54	0.00	2.63	Sale
11/05/2020	10.00	723.07	11/05/2020	723.24	0.00	-0.17	Sale
11/05/2020	10.00	723.07	11/05/2020	723.24	0.00	-0.17	Sale
11/05/2020	10.00	722.17	Various	719.52	0.00	2.65	Sale
11/05/2020	10.00	723.17	11/05/2020	721.03	0.00	2.14	Sale
11/05/2020	10.00	723.07	Various	717.86	0.00	5.21	Sale
11/05/2020	10.00	722.77	Various	720.75	0.00	2.02	Sale
11/05/2020	16.00	1,149.88	Various	1,152.86	0.00	-2.98	Sale
11/05/2020	37.00	2,659.12	Various	2,665.04	0.00	-5.92	Sale
11/05/2020	25.00	1,772.45	Various	1,757.20	0.00	15.25	Sale
11/05/2020	38.00	2,722.62	Various	2,872.61	149.99 D	0.00	Sale
11/05/2020	46.00	3,161.04	Various	3,219.13	58.09 D	0.00	Sale
11/05/2020	47.00	3,377.80	Various	3,543.51	0.00	-165.71	Sale
11/05/2020	50.00	3,468.91	Various	3,512.02	43.11 D	0.00	Sale
11/05/2020	50.00	3,614.41	Various	3,798.58	0.00	-184.17	Sale
11/05/2020	50.00	3,609.41	Various	3,636.56	0.00	-27.15	Sale
11/05/2020	62.00	4,442.19	Various	4,524.84	82.65 D	0.00	Sale

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**SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS**

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***JINKOSOLAR HLDG CO LTD SPONSORED ADR   CUSIP: 47759T100   Symbol: JKS							
11/05/2020	75.00	5,294.87	Various	5,268.88	0.00	25.99	Sale
11/05/2020	75.00	5,317.37	Various	5,294.97	0.00	22.40	Sale
11/05/2020	93.00	6,384.29	Various	6,505.24	120.95 D	0.00	Sale
11/05/2020	100.00	6,646.34	Various	6,775.77	129.43 D	0.00	Sale
11/05/2020	100.00	6,646.34	Various	6,755.36	109.02 D	0.00	Sale
11/05/2020	100.00	6,646.34	Various	7,015.23	368.89 D	0.00	Sale
11/05/2020	100.00	6,800.83	Various	6,880.72	79.89 D	0.00	Sale
11/05/2020	100.00	6,861.83	Various	6,905.94	44.11 D	0.00	Sale
11/05/2020	100.00	6,864.83	Various	6,935.75	70.92 D	0.00	Sale
11/05/2020	100.00	6,804.83	Various	6,967.72	162.89 D	0.00	Sale
11/05/2020	100.00	6,870.83	Various	6,957.28	86.45 D	0.00	Sale
11/05/2020	100.00	6,937.83	Various	7,426.19	488.36 D	0.00	Sale
11/05/2020	100.00	6,800.83	11/05/2020	6,879.65	78.82 D	0.00	Sale
11/05/2020	95.00	6,896.83	Various	7,122.30	230.90 D	5.43	Sale
11/05/2020	100.00	6,937.83	Various	7,325.86	388.03 D	0.00	Sale
11/05/2020	100.00	6,800.83	Various	6,872.20	71.37 D	0.00	Sale
11/05/2020	100.00	7,119.83	Various	7,164.38	44.55 D	0.00	Sale
11/05/2020	100.00	6,800.83	11/05/2020	6,864.77	63.94 D	0.00	Sale
11/05/2020	100.00	6,800.83	11/05/2020	6,858.05	57.22 D	0.00	Sale
11/05/2020	100.00	6,825.83	Various	6,968.63	142.80 D	0.00	Sale
11/05/2020	100.00	7,134.83	Various	7,069.90	0.00	64.93	Sale
11/05/2020	100.00	7,132.83	Various	7,062.25	0.00	70.58	Sale
11/05/2020	100.00	7,096.83	Various	7,018.02	0.00	78.81	Sale
11/05/2020	100.00	6,864.83	Various	6,920.96	56.13 D	0.00	Sale
11/05/2020	100.00	7,268.82	Various	7,322.77	53.95 D	0.00	Sale
11/05/2020	100.00	6,825.83	Various	6,980.80	154.97 D	0.00	Sale
11/05/2020	100.00	6,800.83	11/05/2020	6,864.77	63.94 D	0.00	Sale

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APEX CLEARING

Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B\*

OMB No. 1545-0715

2TZ05705

(continued)

01/24/2021

SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

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

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***JINKOSOLAR HLDG CO LTD SPONSORED ADR   CUSIP: 47759T100   Symbol: JKS							
11/05/2020	100.00	7,256.82	Various	7,251.79	40 D	45.03	Sale
11/05/2020	100.00	7,164.83	Various	7,212.23	47.40 D	0.00	Sale
11/05/2020	100.00	7,274.82	Various	7,326.96	52.14 D	0.00	Sale
11/05/2020	100.00	7,254.82	Various	7,386.16	131.34 D	0.00	Sale
11/05/2020	125.00	8,824.79	Various	9,103.15	299.48 D	21.12	Sale
11/05/2020	154.00	10,582.62	Various	10,728.38	145.76 D	0.00	Sale
11/05/2020	200.00	13,715.67	Various	13,921.76	206.09 D	0.00	Sale
11/05/2020	200.00	13,292.68	Various	13,855.96	563.28 D	0.00	Sale
11/05/2020	200.00	13,643.67	Various	14,615.72	972.05 D	0.00	Sale
11/05/2020	200.00	14,025.67	Various	14,280.48	254.81 D	0.00	Sale
11/05/2020	200.00	14,093.66	Various	14,460.29	366.63 D	0.00	Sale
11/05/2020	200.00	14,181.66	Various	14,425.70	244.04 D	0.00	Sale
11/05/2020	200.00	14,181.66	Various	14,343.36	161.70 D	0.00	Sale
11/05/2020	200.00	14,181.66	Various	14,302.42	120.76 D	0.00	Sale
11/05/2020	200.00	14,181.66	Various	14,437.95	256.29 D	0.00	Sale
11/05/2020	200.00	14,343.66	Various	14,666.16	0.00	-322.50	Sale
11/05/2020	100.00	6,864.83	Various	6,920.81	55.98 D	0.00	Sale
11/05/2020	243.00	17,357.07	Various	17,903.38	546.31 D	0.00	Sale
11/05/2020	250.00	16,674.60	Various	17,550.84	876.24 D	0.00	Sale
11/05/2020	250.00	16,674.60	Various	16,987.18	312.58 D	0.00	Sale
11/05/2020	250.00	16,674.60	Various	16,748.68	74.08 D	0.00	Sale
11/05/2020	250.00	17,272.08	Various	17,370.80	98.72 D	0.00	Sale
11/05/2020	250.00	16,674.60	11/05/2020	16,747.87	73.27 D	0.00	Sale
11/05/2020	250.00	17,462.08	Various	17,797.65	335.57 D	0.00	Sale
11/05/2020	250.00	17,272.08	Various	17,496.06	223.98 D	0.00	Sale
11/05/2020	250.00	17,462.08	Various	17,723.90	261.82 D	0.00	Sale
11/05/2020	250.00	17,879.57	Various	17,905.59	26.02 D	0.00	Sale

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**SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS**

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***JINKOSOLAR HLDG CO LTD SPONSORED ADR   CUSIP: 47759T100   Symbol: JKS							
11/05/2020	250.00	17,929.57	Various	18,113.29	0.00	-183.72	Sale
11/05/2020	250.00	17,932.07	Various	18,167.72	230.41 D	-5.24	Sale
11/05/2020	200.00	14,181.66	Various	14,529.69	348.03 D	0.00	Sale
11/05/2020	500.00	34,349.18	Various	35,655.53	1306.35 D	0.00	Sale
11/05/2020	500.00	33,199.20	Various	34,226.52	1027.32 D	0.00	Sale
11/05/2020	500.00	34,034.18	Various	35,471.45	1437.27 D	0.00	Sale
11/05/2020	500.00	33,929.19	Various	34,241.63	312.44 D	0.00	Sale
11/05/2020	500.00	34,034.18	Various	34,583.14	548.96 D	0.00	Sale
11/05/2020	500.00	33,929.19	Various	35,346.26	1417.07 D	0.00	Sale
11/05/2020	10.00	722.18	11/05/2020	719.52	0.00	2.66	Sale
11/05/2020	10.00	722.17	11/05/2020	719.52	0.00	2.65	Sale
11/05/2020	100.00	6,700.84	Various	6,890.28	189.44 D	0.00	Sale
11/05/2020	100.00	7,054.83	Various	7,173.06	118.23 D	0.00	Sale
11/05/2020	100.00	6,804.83	Various	6,915.48	110.65 D	0.00	Sale
11/05/2020	100.00	7,055.94	Various	7,129.32	73.38 D	0.00	Sale
11/05/2020	100.00	7,150.21	Various	7,482.16	331.95 D	0.00	Sale
11/05/2020	150.00	10,050.02	Various	10,154.80	104.78 D	0.00	Sale
11/05/2020	200.00	13,649.67	Various	13,839.99	190.32 D	0.00	Sale
11/05/2020	250.00	16,749.62	Various	16,806.58	56.96 D	0.00	Sale
11/05/2020	250.00	16,750.69	11/05/2020	16,810.77	60.08 D	0.00	Sale
11/05/2020	250.00	16,749.59	Various	17,081.51	331.92 D	0.00	Sale
11/05/2020	250.00	16,749.59	Various	17,612.90	863.31 D	0.00	Sale
11/05/2020	250.00	17,255.51	Various	17,578.84	323.33 D	0.00	Sale
11/05/2020	250.00	17,759.57	Various	17,952.89	193.32 D	0.00	Sale
11/05/2020	250.00	17,759.57	Various	18,171.29	411.72 D	0.00	Sale
11/05/2020	250.00	17,954.57	Various	18,348.32	393.75 D	0.00	Sale
11/05/2020	500.00	34,355.78	Various	34,617.04	261.26 D	0.00	Sale

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**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
***JINKOSOLAR HLDG CO LTD SPONSORED ADR   CUSIP: 47759T100   Symbol: JKS							
11/06/2020	100.00	8,015.81	Various	7,946.80	0.00	69.01	Sale
11/06/2020	1.00	80.06	11/06/2020	79.07	0.00	0.99	Sale
11/06/2020	250.00	19,186.14	Various	19,464.54	0.00	-278.40	Sale
11/06/2020	99.00	7,923.77	Various	7,858.69	0.00	65.08	Sale
11/06/2020	100.00	8,017.88	Various	7,890.06	0.00	127.82	Sale
11/06/2020	100.00	8,003.81	Various	7,819.07	0.00	184.74	Sale
11/06/2020	100.00	8,058.81	Various	7,836.03	0.00	222.78	Sale
11/09/2020	1.00	69.78	11/05/2020	70.18	0.4 D	0.00	Buy to Cover Short
11/09/2020	2.00	132.52	11/05/2020	138.24	5.72 D	0.00	Buy to Cover Short
11/09/2020	2.00	139.56	11/05/2020	140.36	0.8 D	0.00	Buy to Cover Short
11/09/2020	1.00	69.78	11/05/2020	70.18	0.4 D	0.00	Buy to Cover Short
11/09/2020	20.00	1,267.97	11/05/2020	1,318.14	50.17 D	0.00	Buy to Cover Short
11/09/2020	15.00	1,030.58	Various	1,049.07	18.49 D	0.00	Buy to Cover Short
11/09/2020	22.00	1,512.19	Various	1,538.37	26.18 D	0.00	Buy to Cover Short
11/09/2020	34.00	2,311.61	11/05/2020	2,279.70	0.00	31.91	Buy to Cover Short
11/09/2020	40.00	2,742.74	Various	2,829.86	87.12 D	0.00	Buy to Cover Short
11/09/2020	30.00	2,093.35	11/05/2020	2,105.45	12.1 D	0.00	Buy to Cover Short
11/09/2020	50.00	3,331.43	11/05/2020	3,346.50	15.07 D	0.00	Buy to Cover Short
11/09/2020	50.00	3,331.43	11/05/2020	3,346.50	15.07 D	0.00	Buy to Cover Short
11/09/2020	50.00	3,331.42	11/05/2020	3,346.50	15.08 D	0.00	Buy to Cover Short
11/09/2020	60.00	4,114.10	Various	4,224.78	110.68 D	0.00	Buy to Cover Short
11/09/2020	66.00	4,487.24	11/05/2020	4,425.30	0.00	61.94	Buy to Cover Short
11/09/2020	63.00	4,331.06	Various	4,416.40	85.34 D	0.00	Buy to Cover Short
11/09/2020	98.00	6,493.32	Various	6,735.82	242.50 D	0.00	Buy to Cover Short
11/09/2020	80.00	5,071.88	Various	5,303.70	231.82 D	0.00	Buy to Cover Short
11/09/2020	100.00	6,342.95	Various	6,606.99	264.04 D	0.00	Buy to Cover Short
11/09/2020	100.00	6,439.84	Various	6,790.02	350.18 D	0.00	Buy to Cover Short

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**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

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**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
***JINKOSOLAR HLDG CO LTD SPONSORED ADR   CUSIP: 47759T100   Symbol: JKS							
11/09/2020	100.00	6,621.85	Various	6,934.41	312.56 D	0.00	Buy to Cover Short
11/09/2020	100.00	6,474.85	Various	6,808.41	333.56 D	0.00	Buy to Cover Short
11/09/2020	100.00	6,634.85	Various	6,939.72	304.87 D	0.00	Buy to Cover Short
11/09/2020	100.00	6,634.85	Various	6,952.21	317.36 D	0.00	Buy to Cover Short
11/09/2020	100.00	6,596.85	Various	6,981.24	384.39 D	0.00	Buy to Cover Short
11/09/2020	100.00	6,643.84	Various	7,067.51	423.67 D	0.00	Buy to Cover Short
11/09/2020	100.00	6,643.84	Various	7,060.46	416.62 D	0.00	Buy to Cover Short
11/09/2020	100.00	6,879.83	11/05/2020	7,012.98	133.15 D	0.00	Buy to Cover Short
11/09/2020	100.00	6,662.85	11/05/2020	6,693.00	30.15 D	0.00	Buy to Cover Short
11/09/2020	100.00	6,621.85	Various	6,929.95	308.10 D	0.00	Buy to Cover Short
11/09/2020	100.00	6,866.85	Various	7,024.15	157.30 D	0.00	Buy to Cover Short
11/09/2020	100.00	6,867.36	Various	7,003.66	136.30 D	0.00	Buy to Cover Short
11/09/2020	100.00	6,600.85	Various	6,817.46	216.61 D	0.00	Buy to Cover Short
11/09/2020	100.00	6,496.22	Various	6,870.89	374.67 D	0.00	Buy to Cover Short
11/09/2020	100.00	6,873.83	Various	7,048.44	174.61 D	0.00	Buy to Cover Short
11/09/2020	100.00	6,638.85	Various	6,950.37	311.52 D	0.00	Buy to Cover Short
11/09/2020	100.00	6,859.84	11/05/2020	6,732.00	0.00	127.84	Buy to Cover Short
11/09/2020	100.00	6,856.85	Various	6,808.75	0.00	48.10	Buy to Cover Short
11/09/2020	100.00	6,849.84	Various	7,001.28	151.44 D	0.00	Buy to Cover Short
11/09/2020	100.00	6,859.85	Various	6,843.92	43.49 D	59.42	Buy to Cover Short
11/09/2020	100.00	6,856.85	Various	6,779.49	0.00	77.36	Buy to Cover Short
11/09/2020	100.00	6,859.85	Various	6,932.60	72.75 D	0.00	Buy to Cover Short
11/09/2020	100.00	6,850.84	Various	7,036.04	185.20 D	0.00	Buy to Cover Short
11/09/2020	100.00	6,856.84	11/05/2020	6,736.00	0.00	120.84	Buy to Cover Short
11/09/2020	100.00	6,867.30	Various	6,973.36	106.06 D	0.00	Buy to Cover Short
11/09/2020	100.00	6,874.83	11/05/2020	7,020.99	146.16 D	0.00	Buy to Cover Short
11/09/2020	100.00	6,870.12	Various	7,005.40	135.28 D	0.00	Buy to Cover Short

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**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

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**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
***JINKOSOLAR HLDG CO LTD SPONSORED ADR   CUSIP: 47759T100   Symbol: JKS							
11/09/2020	100.00	6,856.84	Various	7,056.67	199.83 D	0.00	Buy to Cover Short
11/09/2020	100.00	6,856.84	11/05/2020	6,736.00	0.00	120.84	Buy to Cover Short
11/09/2020	100.00	6,859.85	Various	6,957.98	98.13 D	0.00	Buy to Cover Short
11/09/2020	100.00	7,051.84	11/05/2020	7,048.00	0.00	3.84	Buy to Cover Short
11/09/2020	100.00	7,068.84	11/05/2020	7,049.00	0.00	19.84	Buy to Cover Short
11/09/2020	100.00	7,060.34	Various	7,049.00	0.00	11.34	Buy to Cover Short
11/09/2020	100.00	7,068.84	11/05/2020	7,043.00	0.00	25.84	Buy to Cover Short
11/09/2020	100.00	7,051.85	11/05/2020	7,048.00	0.00	3.85	Buy to Cover Short
11/09/2020	100.00	7,094.82	Various	7,126.85	32.03 D	0.00	Buy to Cover Short
11/09/2020	100.00	7,094.83	Various	7,112.11	19.79 D	2.51	Buy to Cover Short
11/09/2020	100.00	7,094.83	11/05/2020	7,087.00	0.00	7.83	Buy to Cover Short
11/09/2020	100.00	7,094.83	11/05/2020	7,087.00	0.00	7.83	Buy to Cover Short
11/09/2020	100.00	7,094.82	Various	7,130.76	35.94 D	0.00	Buy to Cover Short
11/09/2020	216.00	15,072.14	11/05/2020	15,172.18	100.04 D	0.00	Buy to Cover Short
11/09/2020	250.00	16,907.12	11/05/2020	17,389.58	482.46 D	0.00	Buy to Cover Short
11/09/2020	400.00	27,097.80	Various	27,380.00	282.20 D	0.00	Buy to Cover Short
11/09/2020	500.00	33,199.25	11/05/2020	33,345.00	145.75 D	0.00	Buy to Cover Short
11/09/2020	500.00	34,909.22	Various	35,000.00	90.78 D	0.00	Buy to Cover Short
11/09/2020	50.00	3,331.43	11/05/2020	3,361.57	30.14 D	0.00	Buy to Cover Short
11/09/2020	100.00	6,621.85	Various	6,966.45	344.60 D	0.00	Buy to Cover Short
11/09/2020	100.00	6,662.85	Various	6,723.15	60.30 D	0.00	Buy to Cover Short
11/09/2020	100.00	6,616.85	Various	7,051.48	434.63 D	0.00	Buy to Cover Short
11/09/2020	100.00	6,638.85	Various	6,951.41	312.56 D	0.00	Buy to Cover Short
11/09/2020	100.00	6,638.85	Various	7,053.69	414.84 D	0.00	Buy to Cover Short
11/09/2020	100.00	6,662.85	11/05/2020	6,723.15	60.3 D	0.00	Buy to Cover Short
11/09/2020	100.00	6,874.84	Various	7,011.07	136.23 D	0.00	Buy to Cover Short
11/09/2020	100.00	6,871.53	Various	6,985.75	114.22 D	0.00	Buy to Cover Short

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APEX CLEARING

## Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B\*

OMB No. 1545-0715

2TZ05705

(continued)

01/24/2021

**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
***JINKOSOLAR HLDG CO LTD SPONSORED ADR   CUSIP: 47759T100   Symbol: JKS							
11/09/2020	100.00	6,616.85	Various	6,923.71	306.86 D	0.00	Buy to Cover Short
11/09/2020	100.00	6,856.85	Various	6,836.12	0.00	20.73	Buy to Cover Short
11/09/2020	100.00	6,859.84	11/05/2020	6,737.38	0.00	122.46	Buy to Cover Short
11/09/2020	250.00	16,639.60	Various	16,883.24	243.64 D	0.00	Buy to Cover Short
11/09/2020	250.00	16,627.13	Various	16,976.14	349.01 D	0.00	Buy to Cover Short
11/09/2020	250.00	16,824.62	11/05/2020	17,029.41	204.79 D	0.00	Buy to Cover Short
11/09/2020	250.00	16,852.12	11/05/2020	17,142.29	290.17 D	0.00	Buy to Cover Short
11/09/2020	250.00	16,852.12	11/05/2020	17,224.20	372.08 D	0.00	Buy to Cover Short
11/09/2020	250.00	16,842.12	11/05/2020	16,937.50	95.38 D	0.00	Buy to Cover Short
11/09/2020	500.00	35,355.12	Various	35,415.72	66.13 D	5.53	Buy to Cover Short
<b>Security Totals:</b>		<b>2,006,448.95</b>		<b>2,039,829.49</b>		<b>1,142.66</b>	
ACHIEVE LIFE SCIENCE INC COMMON SHARES   CUSIP: 004468203   Symbol: ACHV							
07/29/2020	100.00	111.78	Various	108.56	0.00	3.22	Sale
07/29/2020	900.00	1,006.06	Various	982.80	0.00	23.26	Sale
07/29/2020	1,000.00	1,107.85	07/29/2020	1,092.00	0.00	15.85	Sale
07/29/2020	5,000.00	3,989.31	Various	4,158.55	0.00	-169.24	Sale
<b>Security Totals:</b>		<b>6,215.00</b>		<b>6,341.91</b>		<b>-126.91</b>	
***PLANET 13 HOLDINGS INC COMMON   CUSIP: 72706K101   Symbol: PLNHF							
07/22/2020	2,000.00	5,439.63	07/22/2020	5,384.00	0.00	55.63	Sale
07/23/2020	500.00	1,498.90	07/23/2020	1,501.00	2.1 D	0.00	Sale
07/23/2020	2,500.00	7,524.53	07/23/2020	7,505.00	0.00	19.53	Sale
07/24/2020	50.00	126.38	07/24/2020	131.10	4.72 D	0.00	Sale
07/24/2020	200.00	505.56	07/24/2020	524.40	18.84 D	0.00	Sale
07/24/2020	500.00	1,276.41	07/24/2020	1,313.10	36.69 D	0.00	Sale
07/24/2020	100.00	253.78	07/24/2020	262.20	8.42 D	0.00	Sale
07/24/2020	1,050.00	2,675.22	07/24/2020	2,753.10	77.88 D	0.00	Sale
08/13/2020	100.00	309.78	08/12/2020	317.54	0.00	-7.76	Sale
08/13/2020	700.00	2,168.47	Various	2,223.00	0.00	-54.53	Sale

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APEX CLEARING

Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B\*

OMB No. 1545-0715

2TZ05705

(continued)

01/24/2021

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

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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
***PLANET 13 HOLDINGS INC COMMON   CUSIP: 72706K101   Symbol: PLNHF							
08/13/2020	1,200.00	3,717.37	Various	3,810.01	0.00	-92.64	Sale
<b>Security Totals:</b>		<b>25,496.03</b>		<b>25,724.45</b>		<b>-79.77</b>	
***AMERICAN LITHIUM CORP COM NEW   CUSIP: 027259209   Symbol: LIACF							
07/10/2020	56.00	78.26	07/10/2020	78.75	0.49 D	0.00	Sale
07/10/2020	400.00	559.13	Various	560.81	1.68 D	0.00	Sale
07/13/2020	14.00	27.95	07/13/2020	28.16	0.21 D	0.00	Sale
07/13/2020	36.00	71.18	07/13/2020	72.91	1.73 D	0.00	Sale
07/13/2020	50.00	99.38	Various	101.26	1.88 D	0.00	Sale
07/13/2020	154.00	239.82	07/13/2020	226.69	0.00	13.13	Sale
07/13/2020	1,400.00	2,768.96	Various	2,827.30	58.34 D	0.00	Sale
07/13/2020	1,500.00	2,996.75	Various	3,014.75	18.00 D	0.00	Sale
07/13/2020	1,500.00	2,231.77	Various	2,253.81	27.08 D	5.04	Sale
07/13/2020	1,500.00	2,231.77	07/13/2020	2,208.00	0.00	23.77	Sale
07/13/2020	1,846.00	2,866.54	Various	2,717.31	0.00	149.23	Sale
07/13/2020	3,000.00	6,359.49	Various	6,014.31	0.00	345.18	Sale
07/13/2020	3,000.00	3,595.96	Various	3,483.08	0.00	112.88	Sale
07/14/2020	4.00	4.17	07/14/2020	4.41	0.24 D	0.00	Sale
07/14/2020	50.00	58.88	07/14/2020	57.71	0.00	1.17	Sale
07/14/2020	500.00	588.92	07/14/2020	577.07	0.00	11.85	Sale
07/14/2020	550.00	649.29	Various	635.02	0.14 D	14.41	Sale
07/14/2020	200.00	215.57	Various	213.55	0.00	2.02	Sale
07/14/2020	600.00	706.71	Various	692.48	0.00	14.23	Sale
07/14/2020	800.00	942.27	Various	922.80	0.00	19.47	Sale
07/14/2020	2,500.00	2,947.13	Various	2,769.66	0.00	177.47	Sale
07/14/2020	4,800.00	5,173.71	Various	5,145.60	0.00	28.11	Sale
07/14/2020	2,900.00	3,038.78	Various	3,193.52	154.74 D	0.00	Sale
07/15/2020	5,000.00	6,444.25	Various	6,260.14	0.00	184.11	Sale
07/16/2020	1,000.00	1,527.84	07/16/2020	1,522.00	0.00	5.84	Sale

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**SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS**

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

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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
***AMERICAN LITHIUM CORP COM NEW   CUSIP: 027259209   Symbol: LIACF							
07/16/2020	4,000.00	6,111.38	Various	6,088.00	0.00	23.38	Sale
<b>Security Totals:</b>		<b>52,535.86</b>		<b>51,669.10</b>		<b>1,131.29</b>	
SILVERSUN TECHNOLOGIES INC COMMON STOCK   CUSIP: 82846H207   Symbol: SSNT							
08/04/2020	30.00	370.48	Various	399.62	29.14 D	0.00	Sale
08/04/2020	100.00	1,517.95	Various	1,788.67	0.00	-270.72	Sale
08/04/2020	100.00	1,269.96	Various	1,376.20	106.24 D	0.00	Sale
08/04/2020	100.00	1,269.96	Various	1,360.00	90.04 D	0.00	Sale
08/04/2020	170.00	1,954.93	Various	2,286.92	331.99 D	0.00	Sale
08/04/2020	200.00	2,203.93	Various	2,649.65	239.17 D	-206.55	Sale
<b>Security Totals:</b>		<b>8,587.21</b>		<b>9,861.06</b>		<b>-477.27</b>	
BIG 5 SPORTING GOODS CORP   CUSIP: 08915P101   Symbol: BGFV							
07/28/2020	14.00	79.08	Various	81.90	2.82 D	0.00	Sale
07/28/2020	30.00	168.58	Various	177.11	8.53 D	0.00	Sale
07/28/2020	60.00	338.38	07/28/2020	351.00	12.62 D	0.00	Sale
07/28/2020	100.00	564.97	07/28/2020	585.00	20.03 D	0.00	Sale
07/28/2020	100.00	563.97	07/28/2020	585.00	21.03 D	0.00	Sale
07/28/2020	200.00	1,123.95	07/28/2020	1,170.00	46.05 D	0.00	Sale
07/28/2020	200.00	1,123.95	07/28/2020	1,170.00	46.05 D	0.00	Sale
07/28/2020	296.00	1,657.52	07/28/2020	1,731.60	74.08 D	0.00	Sale
07/28/2020	500.00	3,099.87	Various	3,196.84	96.97 D	0.00	Sale
07/28/2020	500.00	2,929.87	Various	3,075.39	145.52 D	0.00	Sale
07/29/2020	3.00	19.12	07/29/2020	20.77	1.65 D	0.00	Sale
07/29/2020	200.00	1,275.95	Various	1,340.23	2.31 D	-61.97	Sale
07/29/2020	97.00	618.83	Various	650.20	0.00	-31.37	Sale
07/29/2020	300.00	1,913.91	Various	2,003.19	0.00	-89.28	Sale
07/29/2020	400.00	2,551.89	Various	2,649.43	0.00	-97.54	Sale
10/01/2020	500.00	3,869.85	Various	3,739.40	0.00	130.45	Sale
10/01/2020	500.00	3,829.85	Various	3,740.00	0.00	89.85	Sale

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APEX CLEARING

Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B\*

OMB No. 1545-0715

2TZ05705

(continued)

01/24/2021

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

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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
BIG 5 SPORTING GOODS CORP   CUSIP: 08915P101   Symbol: BGFV							
10/01/2020	500.00	3,829.85	Various	3,769.50	0.00	60.35	Sale
10/01/2020	500.00	3,829.85	Various	3,769.50	0.00	60.35	Sale
<b>Security Totals:</b>		<b>33,389.24</b>		<b>33,806.06</b>		<b>60.84</b>	
DIGITAL ALLY INC COM   CUSIP: 25382P208   Symbol: DGLY							
11/02/2020	21.00	63.42	11/02/2020	63.01	0.00	0.41	Sale
11/02/2020	100.00	301.98	11/02/2020	296.02	0.00	5.96	Sale
11/02/2020	100.00	301.98	11/02/2020	296.02	0.00	5.96	Sale
11/02/2020	479.00	1,446.96	11/02/2020	1,437.18	0.00	9.78	Sale
11/02/2020	300.00	905.93	11/02/2020	900.11	0.00	5.82	Sale
11/02/2020	500.00	1,529.90	Various	1,473.04	0.00	56.86	Sale
11/02/2020	500.00	1,529.90	11/02/2020	1,465.00	0.00	64.90	Sale
11/03/2020	5.00	15.18	11/03/2020	14.25	0.00	0.93	Sale
11/03/2020	245.00	744.75	Various	698.15	0.00	46.60	Sale
11/03/2020	250.00	752.45	Various	712.86	0.00	39.59	Sale
11/03/2020	250.00	757.45	11/03/2020	710.00	0.00	47.45	Sale
11/03/2020	250.00	734.95	11/03/2020	710.00	0.00	24.95	Sale
11/03/2020	250.00	764.95	Various	712.40	0.00	52.55	Sale
11/03/2020	250.00	755.20	11/03/2020	752.50	0.00	2.70	Sale
11/03/2020	250.00	759.95	Various	712.50	0.00	47.45	Sale
11/03/2020	250.00	755.20	Various	752.50	0.00	2.70	Sale
11/03/2020	1,000.00	2,939.81	Various	3,072.34	0.00	-132.53	Sale
11/03/2020	250.00	735.23	11/03/2020	710.00	0.00	25.23	Sale
11/03/2020	250.00	755.15	11/03/2020	752.50	0.00	2.65	Sale
11/03/2020	250.00	757.45	11/03/2020	712.50	0.00	44.95	Sale
11/03/2020	250.00	754.95	11/03/2020	752.50	0.00	2.45	Sale
11/04/2020	2.00	6.12	11/02/2020	6.04	0.00	0.08	Buy to Cover Short
11/04/2020	10.00	31.10	11/02/2020	32.80	1.7 D	0.00	Buy to Cover Short
11/04/2020	10.00	30.60	11/02/2020	30.20	0.00	0.40	Buy to Cover Short

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**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)

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

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DIGITAL ALLY INC COM   CUSIP: 25382P208   Symbol: DGLY							
11/04/2020	100.00	305.98	11/02/2020	302.02	0.00	3.96	Buy to Cover Short
11/04/2020	140.00	428.37	11/02/2020	422.83	0.00	5.54	Buy to Cover Short
11/04/2020	48.00	146.87	11/02/2020	144.97	0.00	1.90	Buy to Cover Short
11/04/2020	231.00	725.30	Various	739.00	13.70 D	0.00	Buy to Cover Short
11/04/2020	200.00	611.96	11/02/2020	604.04	0.00	7.92	Buy to Cover Short
11/04/2020	250.00	774.95	Various	797.00	22.05 D	0.00	Buy to Cover Short
11/04/2020	269.00	844.60	Various	870.44	25.84 D	0.00	Buy to Cover Short
11/04/2020	500.00	1,534.91	11/02/2020	1,480.10	0.00	54.81	Buy to Cover Short
11/04/2020	500.00	1,529.91	11/02/2020	1,450.09	0.00	79.82	Buy to Cover Short
11/04/2020	500.00	1,424.91	11/02/2020	1,450.00	25.09 D	0.00	Buy to Cover Short
11/04/2020	500.00	1,479.90	Various	1,475.09	0.00	4.81	Buy to Cover Short
11/04/2020	500.00	1,569.91	Various	1,549.54	0.00	20.37	Buy to Cover Short
11/04/2020	500.00	1,554.89	Various	1,612.30	57.41 D	0.00	Buy to Cover Short
11/04/2020	500.00	1,554.91	Various	1,638.31	83.40 D	0.00	Buy to Cover Short
11/04/2020	800.00	2,295.85	11/02/2020	2,320.00	24.15 D	0.00	Buy to Cover Short
11/04/2020	990.00	3,078.71	Various	3,257.26	178.55 D	0.00	Buy to Cover Short
11/04/2020	75.00	230.24	11/02/2020	222.00	0.00	8.24	Buy to Cover Short
11/04/2020	97.00	297.77	11/02/2020	287.12	0.00	10.65	Buy to Cover Short
11/04/2020	1,200.00	3,433.77	Various	3,504.15	70.38 D	0.00	Buy to Cover Short
11/04/2020	225.00	641.21	11/02/2020	652.48	11.27 D	0.00	Buy to Cover Short
11/04/2020	250.00	774.95	Various	787.45	12.5 D	0.00	Buy to Cover Short
11/04/2020	275.00	783.69	11/02/2020	797.01	13.32 D	0.00	Buy to Cover Short
11/04/2020	250.00	774.96	Various	790.48	15.52 D	0.00	Buy to Cover Short
11/04/2020	250.00	774.95	11/02/2020	787.23	12.28 D	0.00	Buy to Cover Short
11/04/2020	328.00	1,006.89	11/02/2020	970.87	0.00	36.02	Buy to Cover Short
11/04/2020	500.00	1,479.90	Various	1,474.14	0.00	5.76	Buy to Cover Short
11/04/2020	500.00	1,569.91	Various	1,588.29	32.05 D	13.67	Buy to Cover Short

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**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)

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

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DIGITAL ALLY INC COM   CUSIP: 25382P208   Symbol: DGLY							
11/04/2020	500.00	1,569.90	Various	1,542.05	2.86 D	30.71	Buy to Cover Short
11/04/2020	2,000.00	5,899.62	11/02/2020	6,020.00	120.38 D	0.00	Buy to Cover Short
11/05/2020	100.00	293.98	Various	296.00	2.02 D	0.00	Buy to Cover Short
11/05/2020	250.00	738.70	Various	725.00	0.00	13.70	Buy to Cover Short
11/05/2020	250.00	738.71	11/03/2020	725.00	0.00	13.71	Buy to Cover Short
11/05/2020	250.00	738.70	Various	722.50	0.00	16.20	Buy to Cover Short
11/05/2020	250.00	738.70	11/03/2020	725.00	0.00	13.70	Buy to Cover Short
11/05/2020	500.00	1,485.00	Various	1,489.71	4.71 D	0.00	Buy to Cover Short
11/05/2020	500.00	1,484.88	Various	1,492.33	7.45 D	0.00	Buy to Cover Short
11/05/2020	500.00	1,485.10	Various	1,492.34	7.29 D	0.05	Buy to Cover Short
11/05/2020	1,900.00	5,586.63	Various	5,626.02	39.39 D	0.00	Buy to Cover Short
11/05/2020	2,000.00	5,899.62	Various	6,039.30	139.68 D	0.00	Buy to Cover Short
11/05/2020	100.00	284.01	Various	297.83	13.82 D	0.00	Buy to Cover Short
11/05/2020	250.00	738.70	Various	724.73	0.00	13.97	Buy to Cover Short
11/05/2020	250.00	738.70	11/03/2020	723.75	0.00	14.95	Buy to Cover Short
11/05/2020	250.00	738.70	11/03/2020	722.28	0.00	16.42	Buy to Cover Short
11/05/2020	100.00	284.01	Various	295.86	11.85 D	0.00	Buy to Cover Short
11/05/2020	250.00	738.70	11/03/2020	723.75	0.00	14.95	Buy to Cover Short
11/05/2020	500.00	1,484.90	Various	1,489.80	4.90 D	0.00	Buy to Cover Short
11/05/2020	1,800.00	5,112.21	Various	5,343.59	231.38 D	0.00	Buy to Cover Short
11/05/2020	2,000.00	5,920.09	Various	5,999.39	79.30 D	0.00	Buy to Cover Short
11/06/2020	9.00	25.92	11/04/2020	26.98	1.06 D	0.00	Buy to Cover Short
11/06/2020	100.00	286.04	Various	302.84	16.80 D	0.00	Buy to Cover Short
11/06/2020	100.00	288.08	11/04/2020	266.00	0.00	22.08	Buy to Cover Short
11/06/2020	100.00	288.08	11/04/2020	269.00	0.00	19.08	Buy to Cover Short
11/06/2020	100.00	288.08	11/04/2020	266.00	0.00	22.08	Buy to Cover Short
11/06/2020	105.00	302.49	11/04/2020	279.30	0.00	23.19	Buy to Cover Short

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**SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS**

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

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DIGITAL ALLY INC COM   CUSIP: 25382P208   Symbol: DGLY							
11/06/2020	195.00	561.76	11/04/2020	518.70	0.00	43.06	Buy to Cover Short
11/06/2020	200.00	572.08	Various	605.90	33.82 D	0.00	Buy to Cover Short
11/06/2020	200.00	572.08	Various	605.69	33.61 D	0.00	Buy to Cover Short
11/06/2020	491.00	1,413.98	Various	1,454.20	46.24 D	6.02	Buy to Cover Short
11/06/2020	500.00	1,439.91	Various	1,503.72	63.81 D	0.00	Buy to Cover Short
11/06/2020	1,000.00	2,889.81	Various	2,721.07	0.00	168.74	Buy to Cover Short
11/06/2020	1,000.00	2,861.33	Various	2,828.57	3.77 D	36.53	Buy to Cover Short
11/06/2020	1,500.00	4,280.72	Various	4,515.38	234.66 D	0.00	Buy to Cover Short
11/06/2020	400.00	1,152.32	11/04/2020	1,083.60	0.00	68.72	Buy to Cover Short
<b>Security Totals:</b>		<b>109,682.97</b>		<b>110,211.81</b>		<b>1,169.17</b>	
***OXBRIDGE RE HOLDINGS LIMITED   CUSIP: G6856M106   Symbol: OXBR							
08/10/2020	60.00	97.18	08/10/2020	97.20	0.02 D	0.00	Sale
08/10/2020	138.00	220.77	08/10/2020	223.56	2.79 D	0.00	Sale
08/10/2020	30.00	48.58	08/10/2020	48.60	0.02 D	0.00	Sale
08/10/2020	66.00	107.56	08/10/2020	106.92	0.00	0.64	Sale
08/10/2020	200.00	327.97	08/10/2020	324.00	0.00	3.97	Sale
08/10/2020	400.00	647.93	Various	650.83	0.02 D	-2.88	Sale
08/10/2020	200.00	319.97	Various	324.02	0.00	-4.05	Sale
08/10/2020	200.00	319.97	08/10/2020	324.00	0.00	-4.03	Sale
08/10/2020	6.00	9.70	08/10/2020	9.72	0.00	-0.02	Sale
08/10/2020	700.00	1,140.89	08/10/2020	1,134.00	0.00	6.89	Sale
09/28/2020	1,000.00	3,949.79	09/28/2020	3,480.00	0.00	469.79	Sale
12/29/2020	100.00	239.98	12/29/2020	230.00	0.00	9.98	Sale
12/29/2020	100.00	248.98	12/29/2020	253.89	4.91 D	0.00	Sale
12/29/2020	100.00	260.98	Various	269.92	8.94 D	0.00	Sale
12/29/2020	100.00	251.98	12/29/2020	286.05	34.07 D	0.00	Sale
12/29/2020	100.00	251.98	Various	286.06	34.08 D	0.00	Sale
12/29/2020	150.00	359.97	12/29/2020	345.00	0.00	14.97	Sale

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APEX CLEARING

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2020 Form 1099-B\*

OMB No. 1545-0715

2TZ05705

(continued)

01/24/2021

SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

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

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***OXBRIDGE RE HOLDINGS LIMITED   CUSIP: G6856M106   Symbol: OXBR							
12/29/2020	300.00	755.94	Various	846.50	90.56 D	0.00	Sale
12/29/2020	400.00	1,043.92	Various	1,092.98	49.06 D	0.00	Sale
12/29/2020	500.00	1,279.91	Various	1,378.52	98.61 D	0.00	Sale
12/29/2020	900.00	2,231.84	Various	2,295.75	63.91 D	0.00	Sale
12/29/2020	25.00	63.23	12/29/2020	67.24	4.01 D	0.00	Sale
12/29/2020	50.00	126.98	Various	134.40	7.42 D	0.00	Sale
12/29/2020	100.00	253.98	Various	268.93	14.95 D	0.00	Sale
12/29/2020	175.00	444.47	Various	476.73	32.26 D	0.00	Sale
12/29/2020	200.00	507.96	Various	545.10	37.14 D	0.00	Sale
12/29/2020	200.00	508.96	Various	541.08	32.12 D	0.00	Sale
12/29/2020	250.00	599.95	12/29/2020	575.00	0.00	24.95	Sale
12/29/2020	250.00	602.45	12/29/2020	587.50	0.00	14.95	Sale
12/29/2020	250.00	600.00	12/29/2020	527.50	0.00	72.50	Sale
12/29/2020	500.00	1,359.90	Various	1,472.82	0.00	-112.92	Sale
12/29/2020	750.00	1,908.61	Various	2,118.19	43.28 D	-166.30	Sale
12/29/2020	1,000.00	2,469.82	Various	2,583.76	113.94 D	0.00	Sale
<b>Security Totals:</b>		<b>23,562.10</b>		<b>23,905.77</b>		<b>328.44</b>	
MIRAGEN THERAPEUTICS INC COMMON STOCK   CUSIP: 60463E103   Symbol: MGEN							
10/28/2020	1.00	1.21	10/28/2020	1.27	0.06 D	0.00	Sale
10/28/2020	5.00	6.43	Various	6.92	0.49 D	0.00	Sale
10/28/2020	3.00	3.25	10/28/2020	3.52	0.27 D	0.00	Sale
10/28/2020	15.00	19.18	Various	20.35	0.00	-1.17	Sale
10/28/2020	153.00	167.51	Various	179.71	12.20 D	0.00	Sale
10/28/2020	347.00	379.92	Various	407.72	27.80 D	0.00	Sale
10/28/2020	500.00	619.92	Various	727.83	0.00	-107.91	Sale
10/28/2020	500.00	547.42	Various	646.68	99.26 D	0.00	Sale
10/28/2020	500.00	619.92	Various	696.37	0.00	-76.45	Sale
10/28/2020	500.00	619.92	Various	682.11	0.00	-62.19	Sale

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**SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS**

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MIRAGEN THERAPEUTICS INC COMMON STOCK   CUSIP: 60463E103   Symbol: MGEN							
10/28/2020	997.00	1,086.58	10/28/2020	1,116.84	30.26 D	0.00	Sale
10/28/2020	500.00	619.92	Various	742.58	0.00	-122.66	Sale
10/28/2020	500.00	619.92	Various	647.53	0.00	-27.61	Sale
10/28/2020	1,000.00	1,139.85	Various	1,299.11	159.26 D	0.00	Sale
10/28/2020	1,000.00	1,089.85	10/28/2020	1,110.19	20.34 D	0.00	Sale
10/28/2020	1,000.00	1,089.85	Various	1,099.69	9.84 D	0.00	Sale
10/28/2020	1,000.00	1,089.85	Various	1,176.22	86.37 D	0.00	Sale
10/28/2020	1,000.00	1,229.85	Various	1,344.31	114.46 D	0.00	Sale
10/28/2020	1,000.00	1,299.85	Various	1,354.93	0.00	-55.08	Sale
10/28/2020	2,995.00	3,863.10	Various	4,080.95	217.85 D	0.00	Sale
10/28/2020	2,999.00	3,688.32	Various	4,024.46	336.14 D	0.00	Sale
10/28/2020	3,000.00	3,209.56	Various	3,592.69	383.13 D	0.00	Sale
10/28/2020	2,000.00	2,459.70	Various	2,698.31	238.61 D	0.00	Sale
10/28/2020	100.00	113.98	10/28/2020	128.93	14.95 D	0.00	Sale
10/28/2020	50.00	61.98	Various	64.57	0.00	-2.59	Sale
10/28/2020	150.00	185.97	Various	193.76	0.00	-7.79	Sale
10/28/2020	100.00	111.98	Various	117.45	5.47 D	0.00	Sale
10/28/2020	200.00	227.97	Various	257.85	29.88 D	0.00	Sale
10/28/2020	241.00	280.73	10/28/2020	325.74	45.01 D	0.00	Sale
10/28/2020	200.00	227.97	Various	257.85	29.88 D	0.00	Sale
10/28/2020	300.00	341.95	10/28/2020	386.78	44.83 D	0.00	Sale
10/28/2020	300.00	371.95	Various	387.50	0.00	-15.55	Sale
10/28/2020	500.00	569.92	Various	620.31	50.39 D	0.00	Sale
10/28/2020	500.00	620.52	Various	697.51	0.00	-76.99	Sale
10/28/2020	400.00	465.93	Various	529.27	63.34 D	0.00	Sale
10/28/2020	500.00	619.97	Various	622.98	0.00	-3.01	Sale
10/28/2020	500.00	620.47	Various	622.96	0.00	-2.49	Sale

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**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

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**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
MIRAGEN THERAPEUTICS INC COMMON STOCK   CUSIP: 60463E103   Symbol: MGEN							
10/28/2020	600.00	696.03	Various	772.02	75.99 D	0.00	Sale
10/28/2020	759.00	884.13	Various	956.53	72.40 D	0.00	Sale
10/28/2020	1,000.00	1,150.95	Various	1,260.06	109.11 D	0.00	Sale
10/28/2020	500.00	620.02	Various	636.30	0.00	-16.28	Sale
10/28/2020	1,000.00	1,109.95	Various	1,242.39	132.44 D	0.00	Sale
10/28/2020	1,000.00	1,130.15	Various	1,149.74	19.59 D	0.00	Sale
10/28/2020	1,000.00	1,129.85	Various	1,160.34	30.49 D	0.00	Sale
10/28/2020	1,000.00	1,109.95	Various	1,193.97	84.02 D	0.00	Sale
10/28/2020	1,000.00	1,109.85	Various	1,247.05	137.20 D	0.00	Sale
10/28/2020	1,000.00	1,164.85	Various	1,254.02	89.17 D	0.00	Sale
10/28/2020	1,000.00	1,090.65	Various	1,261.87	171.22 D	0.00	Sale
10/28/2020	1,000.00	1,130.15	10/28/2020	1,150.34	20.19 D	0.00	Sale
10/28/2020	1,000.00	1,161.55	Various	1,343.84	0.00	-182.29	Sale
10/28/2020	1,000.00	1,230.55	Various	1,285.48	54.93 D	0.00	Sale
10/28/2020	1,700.00	1,937.75	Various	2,020.07	82.32 D	0.00	Sale
10/28/2020	1,200.00	1,343.83	Various	1,445.24	101.41 D	0.00	Sale
10/28/2020	2,000.00	2,459.70	Various	2,756.64	296.94 D	0.00	Sale
10/28/2020	2,000.00	2,461.10	Various	2,712.81	251.71 D	0.00	Sale
10/28/2020	2,500.00	2,849.63	Various	2,990.93	141.30 D	0.00	Sale
10/28/2020	2,500.00	2,804.38	Various	3,030.11	225.73 D	0.00	Sale
10/28/2020	3,000.00	3,299.56	Various	3,574.30	274.74 D	0.00	Sale
10/28/2020	3,000.00	3,404.56	Various	3,651.33	246.77 D	0.00	Sale
10/28/2020	3,000.00	3,209.56	Various	3,444.22	234.66 D	0.00	Sale
10/28/2020	5,000.00	6,074.26	Various	6,447.07	372.81 D	0.00	Sale
10/28/2020	3,000.00	3,689.55	Various	4,260.59	571.04 D	0.00	Sale
10/28/2020	1,000.00	1,160.15	Various	1,331.01	0.00	-170.86	Sale
10/28/2020	1,200.00	1,343.83	Various	1,520.94	177.11 D	0.00	Sale

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**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)

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MIRAGEN THERAPEUTICS INC COMMON STOCK   CUSIP: 60463E103   Symbol: MGEN							
10/28/2020	3,000.00	3,211.36	Various	3,567.06	355.70 D	0.00	Sale
10/30/2020	5.00	6.10	10/28/2020	5.70	0.00	0.40	Buy to Cover Short
10/30/2020	50.00	57.05	10/28/2020	54.50	0.00	2.55	Buy to Cover Short
10/30/2020	177.00	202.64	10/28/2020	192.93	0.00	9.71	Buy to Cover Short
10/30/2020	200.00	228.18	10/28/2020	218.00	0.00	10.18	Buy to Cover Short
10/30/2020	200.00	243.97	10/28/2020	234.00	0.00	9.97	Buy to Cover Short
10/30/2020	73.00	83.57	10/28/2020	79.57	0.00	4.00	Buy to Cover Short
10/30/2020	250.00	285.24	10/28/2020	272.50	0.00	12.74	Buy to Cover Short
10/30/2020	250.00	286.21	10/28/2020	275.00	0.00	11.21	Buy to Cover Short
10/30/2020	250.00	295.08	10/28/2020	302.44	7.36 D	0.00	Buy to Cover Short
10/30/2020	250.00	295.09	10/28/2020	299.94	4.85 D	0.00	Buy to Cover Short
10/30/2020	250.00	295.09	10/28/2020	302.45	7.36 D	0.00	Buy to Cover Short
10/30/2020	250.00	295.09	10/28/2020	299.94	4.85 D	0.00	Buy to Cover Short
10/30/2020	250.00	285.24	10/28/2020	272.50	0.00	12.74	Buy to Cover Short
10/30/2020	250.00	295.08	10/28/2020	302.45	7.37 D	0.00	Buy to Cover Short
10/30/2020	250.00	295.08	10/28/2020	307.43	12.35 D	0.00	Buy to Cover Short
10/30/2020	495.00	603.82	10/28/2020	564.30	0.00	39.52	Buy to Cover Short
10/30/2020	300.00	387.07	10/28/2020	445.68	58.61 D	0.00	Buy to Cover Short
10/30/2020	500.00	590.18	Various	629.26	39.08 D	0.00	Buy to Cover Short
10/30/2020	500.00	645.12	10/28/2020	662.80	17.68 D	0.00	Buy to Cover Short
10/30/2020	300.00	365.95	10/28/2020	351.00	0.00	14.95	Buy to Cover Short
10/30/2020	500.00	609.92	Various	752.42	142.50 D	0.00	Buy to Cover Short
10/30/2020	500.00	645.13	10/28/2020	647.80	2.67 D	0.00	Buy to Cover Short
10/30/2020	500.00	645.12	Various	662.25	17.13 D	0.00	Buy to Cover Short
10/30/2020	500.00	645.13	Various	657.31	12.18 D	0.00	Buy to Cover Short
10/30/2020	500.00	590.18	10/28/2020	644.22	54.04 D	0.00	Buy to Cover Short
10/30/2020	500.00	609.92	10/28/2020	570.00	0.00	39.92	Buy to Cover Short

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**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)

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MIRAGEN THERAPEUTICS INC COMMON STOCK   CUSIP: 60463E103   Symbol: MGEN							
10/30/2020	500.00	569.90	Various	585.00	15.10 D	0.00	Buy to Cover Short
10/30/2020	500.00	645.13	Various	667.28	22.15 D	0.00	Buy to Cover Short
10/30/2020	500.00	609.92	10/28/2020	565.00	0.00	44.92	Buy to Cover Short
10/30/2020	500.00	609.92	10/28/2020	560.00	0.00	49.92	Buy to Cover Short
10/30/2020	598.00	759.34	Various	833.82	74.48 D	0.00	Buy to Cover Short
10/30/2020	1,000.00	1,219.92	Various	1,417.55	197.63 D	0.00	Buy to Cover Short
10/30/2020	500.00	609.93	Various	702.37	92.44 D	0.00	Buy to Cover Short
10/30/2020	1,000.00	1,139.85	Various	1,120.00	0.00	19.85	Buy to Cover Short
10/30/2020	1,000.00	1,309.85	Various	1,539.91	230.06 D	0.00	Buy to Cover Short
10/30/2020	1,000.00	1,269.85	Various	1,399.47	129.62 D	0.00	Buy to Cover Short
10/30/2020	700.00	877.89	Various	971.03	93.14 D	0.00	Buy to Cover Short
10/30/2020	1,000.00	1,229.95	Various	1,269.37	49.32 D	9.90	Buy to Cover Short
10/30/2020	1,000.00	1,219.85	Various	1,230.14	9.93 D	-0.36	Buy to Cover Short
10/30/2020	2,402.00	3,050.18	Various	3,350.94	300.76 D	0.00	Buy to Cover Short
10/30/2020	3,000.00	3,659.55	10/28/2020	3,765.00	105.45 D	0.00	Buy to Cover Short
10/30/2020	1,000.00	1,289.84	Various	1,380.35	90.51 D	0.00	Buy to Cover Short
10/30/2020	3,000.00	3,689.55	10/28/2020	3,885.45	195.9 D	0.00	Buy to Cover Short
10/30/2020	3,000.00	3,751.14	Various	4,035.90	284.76 D	0.00	Buy to Cover Short
10/30/2020	2.00	2.26	10/28/2020	2.40	0.14 D	0.00	Buy to Cover Short
10/30/2020	100.00	122.99	Various	137.56	14.57 D	0.00	Buy to Cover Short
10/30/2020	3,000.00	3,339.55	Various	3,499.63	160.08 D	0.00	Buy to Cover Short
10/30/2020	100.00	121.99	Various	136.57	14.58 D	0.00	Buy to Cover Short
10/30/2020	100.00	122.99	10/28/2020	137.56	14.57 D	0.00	Buy to Cover Short
10/30/2020	100.00	121.98	10/28/2020	136.57	14.59 D	0.00	Buy to Cover Short
10/30/2020	150.00	182.98	Various	200.89	17.91 D	0.00	Buy to Cover Short
10/30/2020	150.00	182.98	10/28/2020	200.90	17.92 D	0.00	Buy to Cover Short
10/30/2020	96.00	117.10	10/28/2020	128.57	11.47 D	0.00	Buy to Cover Short

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**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)

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

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MIRAGEN THERAPEUTICS INC COMMON STOCK   CUSIP: 60463E103   Symbol: MGEN							
10/30/2020	163.00	198.84	10/28/2020	222.61	23.77 D	0.00	Buy to Cover Short
10/30/2020	200.00	243.97	Various	271.25	27.28 D	0.00	Buy to Cover Short
10/30/2020	200.00	243.97	10/28/2020	267.14	23.17 D	0.00	Buy to Cover Short
10/30/2020	100.00	121.98	Various	133.94	11.96 D	0.00	Buy to Cover Short
10/30/2020	250.00	286.21	10/28/2020	267.50	0.00	18.71	Buy to Cover Short
10/30/2020	250.00	285.24	10/28/2020	272.50	0.00	12.74	Buy to Cover Short
10/30/2020	250.00	286.21	10/28/2020	274.80	0.00	11.41	Buy to Cover Short
10/30/2020	237.00	289.10	10/28/2020	316.57	27.47 D	0.00	Buy to Cover Short
10/30/2020	250.00	295.09	10/28/2020	302.43	7.34 D	0.00	Buy to Cover Short
10/30/2020	300.00	365.96	Various	404.79	38.83 D	0.00	Buy to Cover Short
10/30/2020	300.00	365.96	Various	387.40	21.44 D	0.00	Buy to Cover Short
10/30/2020	300.00	365.96	10/28/2020	369.00	3.04 D	0.00	Buy to Cover Short
10/30/2020	250.00	295.08	10/28/2020	302.25	7.17 D	0.00	Buy to Cover Short
10/30/2020	498.00	562.66	Various	597.65	34.99 D	0.00	Buy to Cover Short
10/30/2020	500.00	609.93	Various	737.69	127.76 D	0.00	Buy to Cover Short
10/30/2020	500.00	609.92	Various	686.95	77.03 D	0.00	Buy to Cover Short
10/30/2020	300.00	365.96	10/28/2020	369.00	3.04 D	0.00	Buy to Cover Short
10/30/2020	500.00	609.92	10/28/2020	574.45	0.00	35.47	Buy to Cover Short
10/30/2020	804.00	980.76	10/28/2020	988.92	8.16 D	0.00	Buy to Cover Short
10/30/2020	500.00	609.92	10/28/2020	615.00	5.08 D	0.00	Buy to Cover Short
10/30/2020	500.00	564.92	Various	619.58	54.66 D	0.00	Buy to Cover Short
10/30/2020	1,000.00	1,179.85	Various	1,299.78	119.93 D	0.00	Buy to Cover Short
10/30/2020	1,000.00	1,129.84	Various	1,169.95	40.11 D	0.00	Buy to Cover Short
10/30/2020	1,000.00	1,129.85	Various	1,199.91	70.06 D	0.00	Buy to Cover Short
10/30/2020	1,000.00	1,109.85	10/28/2020	1,129.30	19.45 D	0.00	Buy to Cover Short
10/30/2020	1,000.00	1,129.85	10/28/2020	1,150.00	20.15 D	0.00	Buy to Cover Short
10/30/2020	1,000.00	1,179.85	10/28/2020	1,229.95	50.1 D	0.00	Buy to Cover Short

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**SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS**

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MIRAGEN THERAPEUTICS INC COMMON STOCK   CUSIP: 60463E103   Symbol: MGEN							
10/30/2020	2,800.00	3,443.57	Various	3,985.22	541.65 D	0.00	Buy to Cover Short
10/30/2020	1,000.00	1,099.82	Various	1,149.45	49.63 D	0.00	Buy to Cover Short
10/30/2020	1,000.00	1,209.85	Various	1,264.93	0.00	-55.08	Buy to Cover Short
10/30/2020	3,000.00	3,209.56	10/28/2020	3,240.00	30.44 D	0.00	Buy to Cover Short
10/30/2020	3,000.00	3,689.55	Various	4,199.89	510.34 D	0.00	Buy to Cover Short
10/30/2020	3,000.00	3,510.65	Various	3,858.68	348.03 D	0.00	Buy to Cover Short
11/04/2020	3,000.00	3,869.55	Various	4,190.02	0.00	-320.47	Sale
<b>Security Totals:</b>		<b>161,321.85</b>		<b>173,454.14</b>		<b>-936.02</b>	
***AURORA CANNABIS INC COM NEW   CUSIP: 05156X884   Symbol: ACB							
05/15/2020	1.00	11.05	05/15/2020	11.05	0.00	0.00	Sale
05/15/2020	100.00	1,106.96	05/15/2020	1,105.00	0.00	1.96	Sale
05/15/2020	49.00	542.40	05/15/2020	541.45	0.00	0.95	Sale
05/15/2020	100.00	1,106.96	05/15/2020	1,105.00	0.00	1.96	Sale
05/15/2020	200.00	2,215.93	05/15/2020	2,210.00	0.00	5.93	Sale
05/15/2020	150.00	1,661.94	05/15/2020	1,657.50	0.00	4.44	Sale
05/15/2020	200.00	2,215.93	05/15/2020	2,210.00	0.00	5.93	Sale
05/15/2020	200.00	2,215.93	05/15/2020	2,210.00	0.00	5.93	Sale
05/19/2020	100.00	1,490.95	05/19/2020	1,477.39	0.00	13.56	Sale
05/19/2020	60.00	894.57	05/19/2020	886.43	0.00	8.14	Sale
05/19/2020	100.00	1,490.95	Various	1,477.39	0.00	13.56	Sale
05/19/2020	100.00	1,490.95	Various	1,460.65	0.00	30.30	Sale
05/19/2020	140.00	2,087.33	Various	2,029.30	0.00	58.03	Sale
05/19/2020	300.00	4,337.86	05/19/2020	4,421.52	83.66 D	0.00	Sale
05/20/2020	1.00	16.84	05/20/2020	16.38	0.00	0.46	Sale
05/20/2020	3.00	49.15	05/20/2020	49.05	0.00	0.10	Sale
05/20/2020	1.00	16.38	05/20/2020	16.35	0.00	0.03	Sale
05/20/2020	3.00	48.97	05/20/2020	49.29	0.32 D	0.00	Sale
05/20/2020	5.00	83.98	05/20/2020	84.25	0.27 D	0.00	Sale

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***AURORA CANNABIS INC COM NEW   CUSIP: 05156X884   Symbol: ACB							
05/20/2020	5.00	81.63	05/20/2020	82.15	0.52 D	0.00	Sale
05/20/2020	5.00	83.98	05/20/2020	84.25	0.27 D	0.00	Sale
05/20/2020	9.00	154.33	05/20/2020	151.92	0.00	2.41	Sale
05/20/2020	10.00	168.58	05/20/2020	163.80	0.00	4.78	Sale
05/20/2020	10.00	167.98	05/20/2020	168.50	0.52 D	0.00	Sale
05/20/2020	10.00	168.58	05/20/2020	163.80	0.00	4.78	Sale
05/20/2020	10.00	171.58	05/20/2020	168.81	0.00	2.77	Sale
05/20/2020	20.00	327.98	Various	327.01	0.00	0.97	Sale
05/20/2020	22.00	370.90	05/20/2020	360.36	0.00	10.54	Sale
05/20/2020	24.00	403.18	Various	404.78	1.60 D	0.00	Sale
05/20/2020	29.00	494.71	05/20/2020	489.52	0.00	5.19	Sale
05/20/2020	44.00	720.69	Various	719.42	0.00	1.27	Sale
05/20/2020	32.00	524.77	Various	523.42	0.00	1.35	Sale
05/20/2020	50.00	842.97	05/20/2020	819.00	0.00	23.97	Sale
05/20/2020	50.00	819.97	Various	817.08	0.00	2.89	Sale
05/20/2020	52.00	852.77	Various	848.66	0.00	4.11	Sale
05/20/2020	70.00	1,175.96	Various	1,181.04	5.08 D	0.00	Sale
05/20/2020	71.00	1,211.22	05/20/2020	1,198.48	0.00	12.74	Sale
05/20/2020	74.00	1,261.66	05/20/2020	1,249.12	0.00	12.54	Sale
05/20/2020	72.00	1,233.32	05/20/2020	1,215.40	0.00	17.92	Sale
05/20/2020	100.00	1,664.95	05/20/2020	1,649.00	0.00	15.95	Sale
05/20/2020	100.00	1,704.95	Various	1,717.45	12.50 D	0.00	Sale
05/20/2020	100.00	1,633.95	Various	1,639.00	5.05 D	0.00	Sale
05/20/2020	100.00	1,632.95	05/20/2020	1,643.00	10.05 D	0.00	Sale
05/20/2020	100.00	1,705.95	05/20/2020	1,688.00	0.00	17.95	Sale
05/20/2020	100.00	1,706.95	05/20/2020	1,688.00	0.00	18.95	Sale
05/20/2020	100.00	1,715.95	Various	1,686.38	0.00	29.57	Sale

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**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
***AURORA CANNABIS INC COM NEW   CUSIP: 05156X884   Symbol: ACB							
05/20/2020	100.00	1,637.95	Various	1,634.06	0.00	3.89	Sale
05/20/2020	100.00	1,715.95	05/20/2020	1,688.00	0.00	27.95	Sale
05/20/2020	100.00	1,633.95	Various	1,639.20	5.25 D	0.00	Sale
05/20/2020	100.00	1,633.95	05/20/2020	1,639.00	5.05 D	0.00	Sale
05/20/2020	100.00	1,664.95	05/20/2020	1,637.00	0.00	27.95	Sale
05/20/2020	100.00	1,704.95	05/20/2020	1,718.10	13.15 D	0.00	Sale
05/20/2020	116.00	1,960.34	Various	1,980.24	19.90 D	0.00	Sale
05/20/2020	107.00	1,803.97	05/20/2020	1,752.66	0.00	51.31	Sale
05/20/2020	126.00	2,148.24	05/20/2020	2,126.88	0.00	21.36	Sale
05/20/2020	118.00	1,994.14	05/20/2020	2,014.37	20.23 D	0.00	Sale
05/20/2020	181.00	3,111.30	Various	3,051.23	0.00	60.07	Sale
05/20/2020	148.00	2,427.12	05/20/2020	2,419.88	0.00	7.24	Sale
05/20/2020	200.00	3,279.90	Various	3,265.32	0.00	14.58	Sale
05/20/2020	200.00	3,265.90	Various	3,296.89	30.99 D	0.00	Sale
05/20/2020	192.00	3,135.27	Various	3,181.33	46.06 D	0.00	Sale
05/20/2020	200.00	3,267.90	05/20/2020	3,278.00	10.1 D	0.00	Sale
05/20/2020	200.00	3,329.90	Various	3,289.00	0.00	40.90	Sale
05/20/2020	228.00	3,905.52	Various	3,854.58	0.00	50.94	Sale
05/20/2020	300.00	5,024.84	Various	4,964.28	0.00	60.56	Sale
05/20/2020	300.00	5,009.84	Various	4,895.00	0.00	114.84	Sale
05/20/2020	300.00	5,114.84	Various	5,166.17	51.33 D	0.00	Sale
05/20/2020	350.00	5,739.83	05/20/2020	5,712.00	0.00	27.83	Sale
05/20/2020	386.00	6,484.60	Various	6,509.92	25.32 D	0.00	Sale
05/20/2020	500.00	8,524.75	Various	8,623.65	98.90 D	0.00	Sale
05/20/2020	500.00	8,459.75	05/20/2020	8,205.00	0.00	254.75	Sale
05/20/2020	566.00	9,604.73	Various	9,644.25	39.52 D	0.00	Sale
05/20/2020	500.00	8,474.75	05/20/2020	8,500.00	25.25 D	0.00	Sale

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**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
***AURORA CANNABIS INC COM NEW   CUSIP: 05156X884   Symbol: ACB							
05/20/2020	1.00	16.63	05/20/2020	16.44	0.00	0.19	Sale
05/20/2020	3.00	51.52	05/20/2020	50.64	0.00	0.88	Sale
05/20/2020	27.00	449.53	05/20/2020	443.88	0.00	5.65	Sale
05/20/2020	103.00	1,714.90	Various	1,698.47	0.00	16.43	Sale
05/20/2020	169.00	2,813.76	Various	2,783.21	0.00	30.55	Sale
05/20/2020	297.00	5,099.33	05/20/2020	5,013.36	0.00	85.97	Sale
05/21/2020	1.00	16.80	05/21/2020	16.59	0.00	0.21	Sale
05/21/2020	5.00	88.13	05/21/2020	91.02	2.89 D	0.00	Sale
05/21/2020	10.00	168.18	05/21/2020	165.93	0.00	2.25	Sale
05/21/2020	36.00	605.49	Various	597.68	0.00	7.81	Sale
05/21/2020	40.00	672.77	Various	664.31	0.00	8.46	Sale
05/21/2020	69.00	1,150.88	Various	1,133.16	0.00	17.72	Sale
05/21/2020	81.00	1,351.04	Various	1,348.04	0.00	3.00	Sale
05/21/2020	95.00	1,674.80	Various	1,712.44	37.64 D	0.00	Sale
05/21/2020	100.00	1,667.95	Various	1,661.64	0.00	6.31	Sale
05/21/2020	163.00	2,741.57	Various	2,706.02	0.00	35.55	Sale
05/21/2020	184.00	2,943.91	Various	3,033.76	89.85 D	0.00	Sale
05/21/2020	50.00	814.97	Various	845.42	30.45 D	0.00	Sale
05/21/2020	316.00	5,055.84	Various	5,204.30	148.46 D	0.00	Sale
05/21/2020	450.00	7,335.23	Various	7,432.96	97.73 D	0.00	Sale
05/21/2020	500.00	8,179.75	Various	8,332.73	152.98 D	0.00	Sale
05/22/2020	1.00	16.33	05/22/2020	16.24	0.00	0.09	Sale
05/22/2020	2.00	32.68	05/22/2020	32.48	0.00	0.20	Sale
05/22/2020	15.00	245.23	05/22/2020	243.60	0.00	1.63	Sale
05/22/2020	137.00	2,239.88	05/22/2020	2,224.88	0.00	15.00	Sale
05/22/2020	45.00	735.72	05/22/2020	730.80	0.00	4.92	Sale
05/22/2020	250.00	4,087.37	Various	4,034.73	0.00	52.64	Sale

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APEX CLEARING

Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B\*

OMB No. 1545-0715

2TZ05705

(continued)

01/24/2021

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
***AURORA CANNABIS INC COM NEW   CUSIP: 05156X884   Symbol: ACB							
05/22/2020	1,000.00	16,749.50	Various	16,761.14	37.98 D	26.34	Sale
05/22/2020	500.00	8,139.76	Various	8,178.40	38.64 D	0.00	Sale
05/22/2020	300.00	4,904.85	Various	4,882.05	17.10 D	39.90	Sale
05/22/2020	250.00	4,092.80	Various	4,031.23	0.00	61.57	Sale
05/22/2020	500.00	8,174.75	Various	8,042.96	0.00	131.79	Sale
05/22/2020	1,000.00	16,160.92	Various	16,119.95	28.92 D	69.89	Sale
05/26/2020	76.00	1,183.28	05/26/2020	1,195.02	11.74 D	0.00	Sale
05/26/2020	100.00	1,556.95	05/26/2020	1,572.39	15.44 D	0.00	Sale
05/26/2020	100.00	1,556.95	Various	1,580.85	23.90 D	0.00	Sale
05/26/2020	100.00	1,556.95	Various	1,605.08	48.13 D	0.00	Sale
05/26/2020	100.00	1,556.95	05/26/2020	1,605.08	48.13 D	0.00	Sale
05/26/2020	124.00	1,930.62	Various	1,986.86	56.24 D	0.00	Sale
05/26/2020	176.00	2,740.23	Various	2,810.27	70.04 D	0.00	Sale
05/26/2020	224.00	3,485.33	05/26/2020	3,513.37	28.04 D	0.00	Sale
05/26/2020	12.00	191.74	05/26/2020	196.04	4.3 D	0.00	Sale
05/26/2020	100.00	1,598.95	Various	1,633.69	34.74 D	0.00	Sale
05/26/2020	500.00	8,011.76	Various	8,103.89	92.13 D	0.00	Sale
05/26/2020	500.00	7,799.76	Various	7,974.18	174.42 D	0.00	Sale
05/26/2020	888.00	14,189.81	Various	14,380.17	190.36 D	0.00	Sale
05/27/2020	100.00	1,545.95	Various	1,577.82	31.87 D	0.00	Sale
05/27/2020	100.00	1,545.95	Various	1,578.58	0.00	-32.63	Sale
05/27/2020	200.00	3,095.91	Various	3,108.86	0.00	-12.95	Sale
05/27/2020	200.00	3,093.91	Various	3,099.61	0.00	-5.70	Sale
05/27/2020	200.00	3,095.91	Various	3,122.47	0.00	-26.56	Sale
05/27/2020	400.00	6,191.81	Various	6,289.34	0.00	-97.53	Sale
05/27/2020	800.00	12,370.02	05/27/2020	12,343.59	0.00	26.43	Sale
11/06/2020	100.00	1,072.96	11/06/2020	1,043.00	0.00	29.96	Sale

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APEX CLEARING

## Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B\*

OMB No. 1545-0715

2TZ05705

(continued)

01/24/2021

**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>***AURORA CANNABIS INC</b> COMMON NEW   CUSIP: 05156X884   Symbol: ACB							
11/06/2020	100.00	1,072.96	11/06/2020	1,048.00	0.00	24.96	Sale
11/06/2020	100.00	1,064.96	11/06/2020	1,048.00	0.00	16.96	Sale
11/06/2020	100.00	1,072.96	11/06/2020	1,048.00	0.00	24.96	Sale
11/06/2020	500.00	5,494.81	11/06/2020	5,580.19	85.38 D	0.00	Sale
11/06/2020	500.00	5,414.82	Various	5,624.88	210.06 D	0.00	Sale
11/06/2020	100.00	1,061.96	11/06/2020	1,043.00	0.00	18.96	Sale
11/06/2020	500.00	5,494.81	11/06/2020	5,525.00	30.19 D	0.00	Sale
11/09/2020	500.00	6,359.79	Various	6,579.56	219.77 D	0.00	Sale
11/11/2020	1,000.00	6,959.72	Various	7,174.77	215.05 D	0.00	Sale
11/11/2020	1,000.00	7,989.70	Various	8,245.05	0.00	-255.35	Sale
<b>Security Totals:</b>		<b>383,697.53</b>		<b>385,038.43</b>		<b>1,442.56</b>	
<b>SPIRIT AIRLINES INC</b> COMMON STOCK   CUSIP: 848577102   Symbol: SAVE							
05/08/2020	250.00	2,562.66	05/08/2020	2,527.50	0.00	35.16	Sale
05/08/2020	1.00	10.03	05/08/2020	10.00	0.00	0.03	Sale
05/08/2020	10.00	104.98	05/08/2020	104.90	0.00	0.08	Sale
05/08/2020	250.00	2,577.41	05/08/2020	2,527.50	0.00	49.91	Sale
05/08/2020	100.00	1,004.96	Various	1,000.00	0.00	4.96	Sale
05/08/2020	195.00	1,979.18	Various	1,969.39	0.00	9.79	Sale
05/08/2020	205.00	2,080.68	Various	2,070.49	0.00	10.19	Sale
05/08/2020	490.00	5,144.82	Various	5,140.10	0.00	4.72	Sale
05/08/2020	299.00	3,004.84	05/08/2020	2,988.50	0.00	16.34	Sale
<b>Security Totals:</b>		<b>18,469.56</b>		<b>18,338.38</b>		<b>131.18</b>	
<b>CO DIAGNOSTICS INC</b> COMMON STOCK   CUSIP: 189763105   Symbol: CODX							
02/28/2020	100.00	1,381.95	02/28/2020	1,300.00	0.00	81.95	Sale
02/28/2020	100.00	1,469.95	02/28/2020	1,300.00	0.00	169.95	Sale
03/10/2020	500.00	3,569.86	Various	3,580.00	10.14 D	0.00	Sale
03/12/2020	50.00	717.47	03/12/2020	646.01	0.00	71.46	Sale
03/12/2020	50.00	717.47	Various	646.01	0.00	71.46	Sale

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APEX CLEARING

Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B\*

OMB No. 1545-0715

2TZ05705

(continued)

01/24/2021

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

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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
CO DIAGNOSTICS INC COMMON STOCK   CUSIP: 189763105   Symbol: CODX							
03/12/2020	51.00	731.82	03/12/2020	658.94	0.00	72.88	Sale
03/12/2020	99.00	1,420.60	03/12/2020	1,279.11	0.00	141.49	Sale
03/12/2020	250.00	3,849.88	03/12/2020	3,230.07	0.00	619.81	Sale
04/16/2020	400.00	4,011.86	Various	4,200.00	188.14 D	0.00	Sale
04/16/2020	100.00	1,002.96	Various	1,082.93	79.97 D	0.00	Sale
05/14/2020	50.00	1,437.45	Various	1,413.52	0.00	23.93	Sale
05/14/2020	50.00	1,474.95	05/14/2020	1,413.51	0.00	61.44	Sale
05/14/2020	100.00	2,801.92	Various	2,827.03	25.11 D	0.00	Sale
05/14/2020	100.00	1,870.94	Various	2,133.69	262.75 D	0.00	Sale
05/14/2020	100.00	2,115.40	Various	2,370.75	255.35 D	0.00	Sale
05/14/2020	200.00	5,673.85	Various	5,885.01	211.16 D	0.00	Sale
05/14/2020	200.00	4,049.75	Various	4,005.83	22.05 D	65.97	Sale
05/15/2020	300.00	4,985.84	Various	5,262.64	0.00	-276.80	Sale
05/15/2020	300.00	4,859.85	Various	5,277.49	417.64 D	0.00	Sale
08/04/2020	1,000.00	29,049.23	Various	29,400.00	0.00	-350.77	Sale
09/17/2020	31.00	441.42	09/17/2020	430.90	0.00	10.52	Sale
09/17/2020	50.00	711.47	09/17/2020	700.00	0.00	11.47	Sale
09/17/2020	200.00	2,845.91	09/17/2020	2,800.00	0.00	45.91	Sale
09/17/2020	219.00	3,118.46	09/17/2020	3,044.10	0.00	74.36	Sale
09/17/2020	250.00	3,574.89	09/17/2020	3,500.00	0.00	74.89	Sale
09/17/2020	250.00	3,562.39	09/17/2020	3,500.00	0.00	62.39	Sale
09/17/2020	250.00	3,549.89	09/17/2020	3,475.00	0.00	74.89	Sale
09/17/2020	250.00	3,549.89	09/17/2020	3,475.00	0.00	74.89	Sale
09/17/2020	250.00	3,562.39	09/17/2020	3,500.00	0.00	62.39	Sale
09/17/2020	250.00	3,547.39	09/17/2020	3,475.00	0.00	72.39	Sale
09/18/2020	1.00	14.82	09/18/2020	15.00	0.18 D	0.00	Sale
09/18/2020	99.00	1,468.12	09/18/2020	1,485.04	16.92 D	0.00	Sale

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APEX CLEARING

Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B\*

OMB No. 1545-0715

2TZ05705

(continued)

01/24/2021

SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

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

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CO DIAGNOSTICS INC COMMON STOCK   CUSIP: 189763105   Symbol: CODX							
09/18/2020	100.00	1,478.95	09/18/2020	1,425.00	0.00	53.95	Sale
09/18/2020	100.00	1,478.95	09/18/2020	1,425.00	0.00	53.95	Sale
09/18/2020	100.00	1,478.95	09/18/2020	1,425.00	0.00	53.95	Sale
09/18/2020	100.00	1,474.95	09/18/2020	1,459.80	0.00	15.15	Sale
09/18/2020	100.00	1,474.95	09/18/2020	1,459.80	0.00	15.15	Sale
09/18/2020	100.00	1,481.95	09/18/2020	1,459.80	0.00	22.15	Sale
09/18/2020	100.00	1,475.95	09/18/2020	1,459.80	0.00	16.15	Sale
09/18/2020	100.00	1,474.95	09/18/2020	1,425.00	0.00	49.95	Sale
09/18/2020	100.00	1,475.05	09/18/2020	1,459.80	0.00	15.25	Sale
09/18/2020	100.00	1,478.95	09/18/2020	1,425.00	0.00	53.95	Sale
09/18/2020	100.00	1,475.95	09/18/2020	1,459.80	0.00	16.15	Sale
09/18/2020	100.00	1,467.95	09/18/2020	1,482.00	14.05 D	0.00	Sale
09/18/2020	100.00	1,469.95	09/18/2020	1,496.05	26.1 D	0.00	Sale
09/18/2020	200.00	2,965.91	09/18/2020	3,000.09	34.18 D	0.00	Sale
09/18/2020	200.00	2,929.91	Various	2,850.00	0.00	79.91	Sale
09/18/2020	200.00	2,954.11	Various	3,019.24	65.13 D	0.00	Sale
09/18/2020	200.00	2,954.11	09/18/2020	2,993.15	39.04 D	0.00	Sale
09/18/2020	200.00	2,954.11	Various	2,993.15	39.04 D	0.00	Sale
09/18/2020	300.00	4,394.86	09/18/2020	4,275.00	0.00	119.86	Sale
09/18/2020	300.00	4,448.86	09/18/2020	4,500.14	51.28 D	0.00	Sale
09/18/2020	400.00	5,908.21	Various	5,991.64	83.43 D	0.00	Sale
09/18/2020	400.00	5,931.81	Various	6,035.22	103.41 D	0.00	Sale
09/18/2020	500.00	7,455.27	Various	7,576.69	0.00	-121.42	Sale
09/18/2020	500.00	7,470.47	Various	7,525.46	22 D	-32.99	Sale
09/18/2020	800.00	11,760.12	Various	11,882.10	121.98 D	0.00	Sale
09/18/2020	4.00	58.70	09/18/2020	59.28	0.58 D	0.00	Sale
09/18/2020	7.00	103.79	09/18/2020	105.39	1.6 D	0.00	Sale

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APEX CLEARING

Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B\*

OMB No. 1545-0715

2TZ05705

(continued)

01/24/2021

SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

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CO DIAGNOSTICS INC COMMON STOCK   CUSIP: 189763105   Symbol: CODX							
09/18/2020	8.00	118.62	Various	120.45	1.83 D	0.00	Sale
09/18/2020	23.00	340.61	Various	346.27	5.66 D	0.00	Sale
09/18/2020	50.00	746.47	09/18/2020	759.82	0.00	-13.35	Sale
09/18/2020	73.00	1,082.55	Various	1,099.15	16.6 D	0.00	Sale
09/18/2020	77.00	1,140.33	09/18/2020	1,160.02	19.69 D	0.00	Sale
09/18/2020	77.00	1,130.32	09/18/2020	1,141.14	10.82 D	0.00	Sale
09/18/2020	100.00	1,476.44	09/18/2020	1,459.80	0.00	16.64	Sale
09/18/2020	100.00	1,474.96	09/18/2020	1,459.80	0.00	15.16	Sale
09/18/2020	100.00	1,474.95	09/18/2020	1,459.80	0.00	15.15	Sale
09/18/2020	100.00	1,475.95	09/18/2020	1,459.80	0.00	16.15	Sale
09/18/2020	193.00	2,862.10	Various	2,907.58	45.48 D	0.00	Sale
09/18/2020	200.00	2,988.13	Various	3,040.75	0.00	-52.62	Sale
09/18/2020	300.00	4,442.86	Various	4,521.27	78.41 D	0.00	Sale
09/18/2020	300.00	4,481.86	Various	4,533.78	0.00	-51.92	Sale
09/18/2020	319.00	4,721.05	Various	4,803.59	82.54 D	0.00	Sale
09/18/2020	450.00	6,713.80	Various	6,789.09	0.00	-75.29	Sale
09/18/2020	919.00	13,481.32	09/18/2020	13,619.58	138.26 D	0.00	Sale
<b>Security Totals:</b>		<b>238,770.05</b>		<b>239,662.67</b>		<b>1,597.90</b>	
***POLYMET MNG CORP COM NEW   CUSIP: 731916409   Symbol: PLM							
09/04/2020	2.00	11.76	09/04/2020	11.24	0.00	0.52	Sale
09/04/2020	149.00	877.57	09/04/2020	837.38	0.00	40.19	Sale
09/04/2020	200.00	1,187.95	09/04/2020	1,124.00	0.00	63.95	Sale
09/04/2020	300.00	1,781.92	09/04/2020	1,686.00	0.00	95.92	Sale
09/04/2020	349.00	2,055.52	09/04/2020	1,961.38	0.00	94.14	Sale
09/04/2020	500.00	3,074.87	09/04/2020	2,810.00	0.00	264.87	Sale
09/04/2020	500.00	2,694.88	Various	2,810.00	0.00	-115.12	Sale
<b>Security Totals:</b>		<b>11,684.47</b>		<b>11,240.00</b>		<b>444.47</b>	

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***LUCKIN COFFEE INC AMERICAN DEPOSITARY SHARES   CUSIP: 54951L109   Symbol: LKNKY							
07/10/2020	120.00	464.97	07/10/2020	444.00	0.00	20.97	Sale
07/10/2020	200.00	774.96	07/10/2020	719.60	0.00	55.36	Sale
07/10/2020	300.00	1,162.43	Various	1,109.10	0.00	53.33	Sale
07/10/2020	500.00	1,939.89	07/10/2020	1,850.00	0.00	89.89	Sale
07/10/2020	700.00	2,715.85	07/10/2020	2,590.00	0.00	125.85	Sale
07/10/2020	1,000.00	3,899.79	07/10/2020	3,700.00	0.00	199.79	Sale
07/10/2020	2,380.00	9,222.01	07/10/2020	8,806.00	0.00	416.01	Sale
08/31/2020	200.00	620.16	08/31/2020	620.00	0.00	0.16	Sale
08/31/2020	200.00	652.16	08/31/2020	627.04	0.00	25.12	Sale
08/31/2020	200.00	624.16	08/31/2020	626.08	1.92 D	0.00	Sale
08/31/2020	800.00	2,495.84	Various	2,504.28	8.44 D	0.00	Sale
08/31/2020	1,100.00	3,409.79	08/31/2020	3,410.00	0.21 D	0.00	Sale
08/31/2020	1,800.00	5,579.66	Various	5,670.17	90.51 D	0.00	Sale
08/31/2020	2,000.00	6,239.62	Various	6,214.51	0.00	25.11	Sale
10/01/2020	200.00	632.16	10/01/2020	646.00	13.84 D	0.00	Sale
10/01/2020	100.00	310.98	Various	314.44	3.46 D	0.00	Sale
10/01/2020	200.00	621.96	10/01/2020	642.04	20.08 D	0.00	Sale
10/01/2020	300.00	944.93	Various	946.06	1.13 D	0.00	Sale
10/01/2020	200.00	629.96	Various	629.65	0.05 D	0.36	Sale
10/01/2020	500.00	1,614.90	Various	1,614.80	0.06 D	0.16	Sale
10/01/2020	500.00	1,614.90	10/01/2020	1,615.00	0.1 D	0.00	Sale
10/01/2020	700.00	2,176.87	Various	2,239.38	62.51 D	0.00	Sale
10/01/2020	500.00	1,574.90	Various	1,585.09	11.48 D	1.29	Sale
10/01/2020	1,000.00	3,119.81	Various	3,190.19	70.38 D	0.00	Sale
10/01/2020	1,000.00	3,159.81	10/01/2020	3,230.00	70.19 D	0.00	Sale
10/01/2020	800.00	2,527.84	10/01/2020	2,584.00	56.16 D	0.00	Sale
10/05/2020	75.00	281.23	10/05/2020	262.50	0.00	18.73	Sale

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***LUCKIN COFFEE INC AMERICAN DEPOSITARY SHARES   CUSIP: 54951L109   Symbol: LKNKY							
10/05/2020	200.00	740.16	Various	714.08	0.00	26.08	Sale
10/05/2020	100.00	362.98	Various	349.55	0.00	13.43	Sale
10/05/2020	200.00	748.16	Various	706.13	0.00	42.03	Sale
10/05/2020	225.00	843.70	Various	807.17	0.00	36.53	Sale
10/05/2020	500.00	1,874.89	Various	1,800.20	0.00	74.69	Sale
10/05/2020	300.00	1,111.43	Various	1,074.12	0.00	37.31	Sale
10/05/2020	500.00	1,874.89	10/05/2020	1,750.00	0.00	124.89	Sale
10/05/2020	900.00	3,266.81	Various	3,198.06	0.00	68.75	Sale
10/06/2020	50.00	223.98	10/06/2020	228.52	4.54 D	0.00	Sale
10/06/2020	100.00	448.98	10/06/2020	462.77	13.79 D	0.00	Sale
10/06/2020	145.00	648.11	Various	671.54	23.43 D	0.00	Sale
10/06/2020	200.00	880.36	10/06/2020	892.00	11.64 D	0.00	Sale
10/06/2020	200.00	878.16	10/06/2020	892.00	13.84 D	0.00	Sale
10/06/2020	200.00	934.35	Various	980.27	45.92 D	0.00	Sale
10/06/2020	200.00	893.96	Various	927.75	33.79 D	0.00	Sale
10/06/2020	250.00	1,098.69	Various	1,121.87	23.18 D	0.00	Sale
10/06/2020	600.00	2,639.87	Various	2,689.44	37.53 D	-12.04	Sale
10/06/2020	800.00	3,583.82	Various	3,666.47	82.65 D	0.00	Sale
10/06/2020	1,550.00	6,804.16	Various	6,986.55	182.39 D	0.00	Sale
10/06/2020	1,705.00	7,620.98	Various	7,733.72	112.74 D	0.00	Sale
10/06/2020	2,800.00	13,075.38	Various	13,357.17	281.79 D	0.00	Sale
10/07/2020	125.00	629.97	Various	636.17	6.20 D	0.00	Sale
10/07/2020	175.00	880.21	Various	880.45	0.24 D	0.00	Sale
10/07/2020	137.00	693.18	Various	697.45	4.27 D	0.00	Sale
10/07/2020	200.00	1,011.95	10/07/2020	1,016.18	4.23 D	0.00	Sale
10/07/2020	200.00	1,007.95	Various	1,004.48	0.00	3.47	Sale
10/07/2020	200.00	993.95	Various	1,036.00	42.05 D	0.00	Sale

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10/07/2020	200.00	976.15	Various	999.97	23.82 D	0.00	Sale
10/07/2020	200.00	1,005.95	Various	1,021.66	15.71 D	0.00	Sale
10/07/2020	200.00	994.95	10/07/2020	992.09	0.00	2.86	Sale
10/07/2020	200.00	1,045.95	Various	1,054.24	8.29 D	0.00	Sale
10/07/2020	300.00	1,508.92	Various	1,533.95	25.24 D	0.21	Sale
10/07/2020	403.00	2,002.81	10/07/2020	1,999.06	0.00	3.75	Sale
10/07/2020	300.00	1,492.42	10/07/2020	1,488.14	0.00	4.28	Sale
10/07/2020	663.00	3,354.62	Various	3,400.20	45.58 D	0.00	Sale
10/07/2020	897.00	4,457.88	Various	4,521.37	66.25 D	2.76	Sale
10/07/2020	1,000.00	4,899.77	Various	5,006.22	106.45 D	0.00	Sale
10/07/2020	1,800.00	9,413.58	Various	9,525.06	111.48 D	0.00	Sale
10/08/2020	100.00	504.97	10/08/2020	491.00	0.00	13.97	Sale
10/08/2020	150.00	817.46	10/08/2020	787.50	0.00	29.96	Sale
10/08/2020	200.00	1,093.95	10/08/2020	1,096.00	2.05 D	0.00	Sale
10/08/2020	284.00	1,550.57	10/08/2020	1,491.00	0.00	59.57	Sale
10/08/2020	200.00	1,009.95	10/08/2020	982.00	0.00	27.95	Sale
10/08/2020	216.00	1,177.14	10/08/2020	1,134.00	0.00	43.14	Sale
10/08/2020	300.00	1,637.92	10/08/2020	1,644.00	6.08 D	0.00	Sale
10/08/2020	350.00	1,907.41	10/08/2020	1,837.50	0.00	69.91	Sale
10/08/2020	500.00	2,519.88	10/08/2020	2,455.00	0.00	64.88	Sale
10/08/2020	200.00	1,009.95	10/08/2020	982.00	0.00	27.95	Sale
10/08/2020	500.00	2,514.88	10/08/2020	2,455.00	0.00	59.88	Sale
10/08/2020	500.00	2,514.88	10/08/2020	2,455.00	0.00	59.88	Sale
10/08/2020	500.00	2,724.87	10/08/2020	2,625.00	0.00	99.87	Sale
10/08/2020	500.00	2,737.37	10/08/2020	2,625.00	0.00	112.37	Sale
10/08/2020	1,000.00	4,999.76	10/08/2020	4,750.00	0.00	249.76	Sale
10/08/2020	1,000.00	4,929.77	Various	4,814.76	0.00	115.01	Sale

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***LUCKIN COFFEE INC AMERICAN DEPOSITARY SHARES   CUSIP: 54951L109   Symbol: LKNKY							
10/08/2020	500.00	2,735.37	10/08/2020	2,740.00	4.63 D	0.00	Sale
10/08/2020	1,000.00	5,489.75	Various	5,480.00	0.00	9.75	Sale
10/08/2020	1,000.00	4,799.77	Various	4,746.72	0.00	53.05	Sale
10/09/2020	100.00	399.98	10/09/2020	401.90	1.92 D	0.00	Sale
10/09/2020	200.00	913.95	10/09/2020	906.70	0.00	7.25	Sale
10/09/2020	300.00	1,370.92	10/09/2020	1,368.15	0.00	2.77	Sale
10/09/2020	500.00	2,190.39	10/09/2020	2,242.13	51.74 D	0.00	Sale
10/09/2020	500.00	2,279.88	Various	2,270.13	0.00	9.75	Sale
10/09/2020	500.00	2,184.89	Various	2,248.13	63.24 D	0.00	Sale
10/09/2020	500.00	2,265.38	10/09/2020	2,215.00	0.00	50.38	Sale
10/09/2020	500.00	2,002.39	Various	2,011.52	9.13 D	0.00	Sale
10/09/2020	500.00	2,077.39	Various	2,108.05	30.66 D	0.00	Sale
10/09/2020	500.00	2,125.39	Various	2,150.66	25.27 D	0.00	Sale
10/09/2020	1,500.00	6,374.67	Various	6,490.79	116.12 D	0.00	Sale
10/09/2020	500.00	2,264.88	10/09/2020	2,215.00	0.00	49.88	Sale
10/09/2020	1,500.00	6,232.18	Various	6,347.97	115.79 D	0.00	Sale
10/09/2020	1,400.00	5,599.70	Various	5,661.98	62.28 D	0.00	Sale
10/09/2020	2,000.00	7,999.58	Various	8,049.13	49.55 D	0.00	Sale
10/12/2020	4.00	16.74	10/12/2020	17.36	0.62 D	0.00	Sale
10/12/2020	496.00	2,073.17	10/12/2020	2,152.85	79.68 D	0.00	Sale
10/12/2020	500.00	2,084.89	Various	2,140.24	55.35 D	0.00	Sale
10/12/2020	500.00	2,085.39	10/12/2020	2,170.22	84.83 D	0.00	Sale
10/12/2020	500.00	2,090.39	Various	2,206.36	115.97 D	0.00	Sale
10/13/2020	200.00	865.96	Various	838.74	0.00	27.22	Sale
10/13/2020	300.00	1,298.93	Various	1,263.93	0.00	35.00	Sale
10/13/2020	500.00	2,180.39	10/13/2020	2,112.94	0.00	67.45	Sale
10/13/2020	500.00	2,219.89	Various	2,139.33	0.00	80.56	Sale

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**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

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**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
***LUCKIN COFFEE INC AMERICAN DEPOSITARY SHARES   CUSIP: 54951L109   Symbol: LKNCY							
10/13/2020	500.00	2,180.39	Various	2,115.85	0.00	64.54	Sale
10/14/2020	200.00	981.95	10/09/2020	912.00	0.00	69.95	Buy to Cover Short
10/14/2020	300.00	1,472.93	10/09/2020	1,383.00	0.00	89.93	Buy to Cover Short
10/14/2020	500.00	2,454.88	10/09/2020	2,297.50	0.00	157.38	Buy to Cover Short
10/14/2020	200.00	981.96	10/09/2020	906.00	0.00	75.96	Buy to Cover Short
10/14/2020	300.00	1,472.93	10/09/2020	1,358.70	0.00	114.23	Buy to Cover Short
10/14/2020	500.00	2,079.90	Various	2,166.72	86.82 D	0.00	Buy to Cover Short
10/14/2020	500.00	2,052.39	10/09/2020	2,079.50	27.11 D	0.00	Buy to Cover Short
10/14/2020	1,500.00	6,149.67	Various	6,267.11	117.44 D	0.00	Buy to Cover Short
10/14/2020	500.00	2,455.38	10/09/2020	2,300.00	0.00	155.38	Buy to Cover Short
10/14/2020	2,000.00	8,199.57	10/09/2020	8,160.00	0.00	39.57	Buy to Cover Short
10/14/2020	1,500.00	6,239.68	Various	6,424.95	185.27 D	0.00	Buy to Cover Short
10/14/2020	2,000.00	8,115.07	Various	8,000.00	0.00	115.07	Buy to Cover Short
10/14/2020	200.00	991.95	Various	1,043.59	51.64 D	0.00	Sale
10/14/2020	2,300.00	11,407.47	Various	11,759.68	346.44 D	-5.77	Sale
10/19/2020	8.00	40.82	10/19/2020	43.83	0.00	-3.01	Sale
10/19/2020	200.00	1,019.95	Various	1,084.52	0.00	-64.57	Sale
10/19/2020	792.00	4,039.02	Various	4,331.60	0.00	-292.58	Sale
10/19/2020	1,000.00	5,099.76	Various	5,437.99	0.00	-338.23	Sale
12/17/2020	250.00	1,537.43	12/17/2020	1,314.75	0.00	222.68	Sale
12/17/2020	250.00	1,492.43	12/17/2020	1,314.75	0.00	177.68	Sale
12/17/2020	250.00	1,494.93	12/17/2020	1,314.75	0.00	180.18	Sale
12/17/2020	250.00	1,537.43	12/17/2020	1,314.75	0.00	222.68	Sale
12/18/2020	1.00	10.18	12/18/2020	10.13	0.00	0.05	Sale
12/18/2020	25.00	200.73	12/18/2020	188.38	0.00	12.35	Sale
12/18/2020	25.00	229.23	12/18/2020	237.27	8.04 D	0.00	Sale
12/18/2020	50.00	456.72	12/18/2020	476.59	19.87 D	0.00	Sale

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**SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS**

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

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***LUCKIN COFFEE INC AMERICAN DEPOSITARY SHARES   CUSIP: 54951L109   Symbol: LKNCY							
12/18/2020	50.00	497.97	12/18/2020	495.00	0.00	2.97	Sale
12/18/2020	40.00	419.18	12/18/2020	414.40	0.00	4.78	Sale
12/18/2020	100.00	955.96	12/18/2020	970.90	14.94 D	0.00	Sale
12/18/2020	100.00	955.26	Various	954.51	2.39 D	3.14	Sale
12/18/2020	100.00	955.96	Various	932.01	0.00	23.95	Sale
12/18/2020	100.00	956.46	Various	957.66	7.95 D	6.75	Sale
12/18/2020	100.00	802.97	12/18/2020	753.53	0.00	49.44	Sale
12/18/2020	100.00	842.17	12/18/2020	753.53	0.00	88.64	Sale
12/18/2020	100.00	956.06	Various	932.95	0.00	23.11	Sale
12/18/2020	100.00	855.97	12/18/2020	753.53	0.00	102.44	Sale
12/18/2020	100.00	855.07	12/18/2020	753.53	0.00	101.54	Sale
12/18/2020	100.00	841.97	12/18/2020	753.53	0.00	88.44	Sale
12/18/2020	100.00	997.96	12/18/2020	990.00	0.00	7.96	Sale
12/18/2020	100.00	855.97	12/18/2020	753.53	0.00	102.44	Sale
12/18/2020	100.00	997.96	12/18/2020	990.00	0.00	7.96	Sale
12/18/2020	125.00	1,003.71	12/18/2020	941.91	0.00	61.80	Sale
12/18/2020	225.00	2,058.67	Various	2,143.20	84.53 D	0.00	Sale
12/18/2020	249.00	2,530.00	12/18/2020	2,521.46	0.00	8.54	Sale
12/18/2020	200.00	1,835.93	Various	1,894.49	59.1 D	0.54	Sale
12/18/2020	250.00	2,300.16	Various	2,294.35	0.00	5.81	Sale
12/18/2020	250.00	2,299.91	Various	2,295.68	3.68 D	7.91	Sale
12/18/2020	250.00	2,555.41	Various	2,532.59	0.00	22.82	Sale
12/18/2020	250.00	2,312.41	12/18/2020	2,220.17	0.00	92.24	Sale
12/18/2020	250.00	2,007.42	12/18/2020	1,883.82	0.00	123.60	Sale
12/18/2020	250.00	2,512.66	Various	2,482.49	0.00	30.17	Sale
12/18/2020	250.00	2,252.92	Various	2,214.10	0.00	38.82	Sale
12/18/2020	250.00	2,500.41	12/18/2020	2,482.08	0.00	18.33	Sale

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**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)

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***LUCKIN COFFEE INC AMERICAN DEPOSITARY SHARES   CUSIP: 54951L109   Symbol: LKNKY							
12/18/2020	250.00	2,500.41	12/18/2020	2,475.00	0.00	25.41	Sale
12/18/2020	250.00	2,552.66	12/18/2020	2,528.59	0.00	24.07	Sale
12/18/2020	250.00	2,549.91	12/18/2020	2,531.59	0.00	18.32	Sale
12/18/2020	500.00	5,025.82	12/18/2020	5,195.17	169.35 D	0.00	Sale
12/18/2020	500.00	4,825.33	Various	4,845.40	20.07 D	0.00	Sale
12/18/2020	500.00	5,254.82	Various	5,209.27	0.00	45.55	Sale
12/18/2020	500.00	5,239.82	Various	5,177.30	0.00	62.52	Sale
12/18/2020	615.00	5,621.52	Various	5,912.92	291.40 D	0.00	Sale
12/18/2020	1,000.00	10,164.65	Various	10,500.15	335.50 D	0.00	Sale
12/18/2020	500.00	5,250.32	12/18/2020	5,129.50	0.00	120.82	Sale
12/18/2020	500.00	5,259.82	Various	5,125.00	0.00	134.82	Sale
12/18/2020	1,000.00	10,269.65	Various	10,561.98	292.33 D	0.00	Sale
12/18/2020	1,000.00	7,499.71	12/18/2020	7,495.00	0.00	4.71	Sale
12/18/2020	1,000.00	7,459.71	12/18/2020	7,490.00	30.29 D	0.00	Sale
12/18/2020	1,500.00	15,074.48	Various	15,482.31	407.83 D	0.00	Sale
12/18/2020	1,460.00	14,716.30	Various	14,985.10	269.13 D	0.33	Sale
12/21/2020	10.00	97.08	12/21/2020	98.19	1.11 D	0.00	Sale
12/21/2020	50.00	435.98	12/21/2020	458.43	22.45 D	0.00	Sale
12/21/2020	100.00	996.96	12/21/2020	1,000.87	3.91 D	0.00	Sale
12/21/2020	65.00	645.10	12/21/2020	650.56	5.46 D	0.00	Sale
12/21/2020	100.00	856.97	Various	887.54	30.57 D	0.00	Sale
12/21/2020	150.00	1,496.19	12/21/2020	1,501.30	5.11 D	0.00	Sale
12/21/2020	185.00	1,847.16	12/21/2020	1,851.61	4.45 D	0.00	Sale
12/21/2020	490.00	4,752.83	Various	4,810.74	57.91 D	0.00	Sale
12/21/2020	500.00	4,794.83	Various	5,057.29	262.46 D	0.00	Sale
12/21/2020	500.00	4,986.32	Various	5,143.61	157.29 D	0.00	Sale
12/21/2020	500.00	4,834.83	Various	4,912.87	78.04 D	0.00	Sale

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**SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS**

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

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***LUCKIN COFFEE INC AMERICAN DEPOSITARY SHARES   CUSIP: 54951L109   Symbol: LKNKY							
12/21/2020	500.00	4,851.33	Various	5,044.79	193.46 D	0.00	Sale
12/21/2020	500.00	4,815.83	Various	4,929.50	113.67 D	0.00	Sale
12/21/2020	900.00	7,721.71	Various	7,990.91	269.20 D	0.00	Sale
12/21/2020	950.00	8,278.95	Various	8,696.53	417.58 D	0.00	Sale
12/21/2020	1,000.00	9,569.66	Various	9,772.80	203.14 D	0.00	Sale
12/22/2020	33.00	326.03	12/18/2020	322.56	0.00	3.47	Buy to Cover Short
12/22/2020	40.00	395.18	12/18/2020	384.81	0.00	10.37	Buy to Cover Short
12/22/2020	60.00	592.78	Various	576.82	0.00	15.96	Buy to Cover Short
12/22/2020	67.00	661.94	Various	650.91	0.00	11.03	Buy to Cover Short
12/22/2020	75.00	760.27	Various	739.15	0.00	21.12	Buy to Cover Short
12/22/2020	100.00	1,015.07	12/18/2020	976.74	0.00	38.33	Buy to Cover Short
12/22/2020	100.00	1,015.06	12/18/2020	976.93	0.00	38.13	Buy to Cover Short
12/22/2020	100.00	1,010.96	12/18/2020	985.54	0.00	25.42	Buy to Cover Short
12/22/2020	100.00	1,010.97	12/18/2020	962.04	0.00	48.93	Buy to Cover Short
12/22/2020	100.00	983.07	Various	959.66	0.00	23.41	Buy to Cover Short
12/22/2020	100.00	983.06	12/18/2020	959.83	0.00	23.23	Buy to Cover Short
12/22/2020	100.00	988.51	Various	955.44	0.00	33.07	Buy to Cover Short
12/22/2020	100.00	998.22	Various	955.43	0.00	42.79	Buy to Cover Short
12/22/2020	100.00	987.96	Various	961.81	0.00	26.15	Buy to Cover Short
12/22/2020	100.00	987.96	Various	981.90	0.00	6.06	Buy to Cover Short
12/22/2020	100.00	987.96	Various	982.95	0.00	5.01	Buy to Cover Short
12/22/2020	181.00	1,488.07	Various	1,433.52	0.00	54.55	Buy to Cover Short
12/22/2020	200.00	2,054.13	12/18/2020	1,868.00	0.00	186.13	Buy to Cover Short
12/22/2020	200.00	2,062.03	Various	1,889.18	0.00	172.85	Buy to Cover Short
12/22/2020	200.00	1,921.93	12/18/2020	1,904.07	0.00	17.86	Buy to Cover Short
12/22/2020	200.00	2,054.12	Various	1,855.80	0.00	198.32	Buy to Cover Short
12/22/2020	200.00	2,073.01	Various	1,969.43	0.00	103.58	Buy to Cover Short

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***LUCKIN COFFEE INC AMERICAN DEPOSITARY SHARES   CUSIP: 54951L109   Symbol: LKNKY							
12/22/2020	200.00	2,082.33	Various	2,051.71	0.00	30.62	Buy to Cover Short
12/22/2020	250.00	2,302.41	12/18/2020	2,323.75	21.34 D	0.00	Buy to Cover Short
12/22/2020	250.00	2,299.91	12/18/2020	2,345.09	45.18 D	0.00	Buy to Cover Short
12/22/2020	250.00	1,922.43	12/18/2020	1,867.50	0.00	54.93	Buy to Cover Short
12/22/2020	250.00	1,922.42	12/18/2020	1,865.00	0.00	57.42	Buy to Cover Short
12/22/2020	250.00	1,922.43	Various	1,865.00	0.00	57.43	Buy to Cover Short
12/22/2020	250.00	1,922.42	12/18/2020	1,868.75	0.00	53.67	Buy to Cover Short
12/22/2020	250.00	2,112.41	Various	2,054.75	0.00	57.66	Buy to Cover Short
12/22/2020	250.00	2,071.17	12/18/2020	2,062.00	0.00	9.17	Buy to Cover Short
12/22/2020	250.00	2,062.57	Various	1,982.25	0.00	80.32	Buy to Cover Short
12/22/2020	250.00	2,069.92	12/18/2020	2,070.00	0.08 D	0.00	Buy to Cover Short
12/22/2020	250.00	2,056.62	Various	1,980.00	0.00	76.62	Buy to Cover Short
12/22/2020	250.00	1,954.93	Various	1,986.00	31.07 D	0.00	Buy to Cover Short
12/22/2020	250.00	2,064.92	12/18/2020	1,965.58	0.00	99.34	Buy to Cover Short
12/22/2020	250.00	1,954.41	Various	2,017.07	62.66 D	0.00	Buy to Cover Short
12/22/2020	250.00	2,426.95	Various	2,437.50	10.55 D	0.00	Buy to Cover Short
12/22/2020	255.00	2,529.21	Various	2,555.45	26.24 D	0.00	Buy to Cover Short
12/22/2020	300.00	2,880.39	Various	2,875.22	0.4 D	5.57	Buy to Cover Short
12/22/2020	442.00	4,399.78	Various	4,482.66	82.88 D	0.00	Buy to Cover Short
12/22/2020	558.00	5,534.36	Various	5,662.88	128.52 D	0.00	Buy to Cover Short
12/22/2020	745.00	7,363.16	Various	7,461.34	98.18 D	0.00	Buy to Cover Short
12/22/2020	1,000.00	10,136.74	Various	10,240.00	103.26 D	0.00	Buy to Cover Short
12/22/2020	1,000.00	8,012.20	Various	7,760.00	0.00	252.20	Buy to Cover Short
12/22/2020	1,000.00	10,025.64	Various	10,066.00	40.36 D	0.00	Buy to Cover Short
12/22/2020	50.00	438.73	Various	438.74	0.44 D	0.43	Sale
12/22/2020	200.00	1,753.94	Various	1,756.42	2.48 D	0.00	Sale
12/22/2020	250.00	2,193.67	Various	2,284.13	90.46 D	0.00	Sale

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***LUCKIN COFFEE INC AMERICAN DEPOSITARY SHARES   CUSIP: 54951L109   Symbol: LKNKY							
12/22/2020	250.00	2,192.67	Various	2,195.18	2.51 D	0.00	Sale
12/22/2020	250.00	2,193.67	Various	2,263.33	69.66 D	0.00	Sale
12/23/2020	1.00	9.32	12/21/2020	9.40	0.08 D	0.00	Buy to Cover Short
12/23/2020	20.00	190.19	12/21/2020	208.22	18.03 D	0.00	Buy to Cover Short
12/23/2020	100.00	931.97	12/21/2020	938.84	6.87 D	0.00	Buy to Cover Short
12/23/2020	100.00	933.17	12/21/2020	939.00	5.83 D	0.00	Buy to Cover Short
12/23/2020	100.00	931.96	12/21/2020	938.83	6.87 D	0.00	Buy to Cover Short
12/23/2020	200.00	1,863.93	Various	1,889.67	25.74 D	0.00	Buy to Cover Short
12/23/2020	200.00	1,904.93	Various	1,966.14	61.21 D	0.00	Buy to Cover Short
12/23/2020	200.00	1,879.93	12/21/2020	1,870.00	0.00	9.93	Buy to Cover Short
12/23/2020	200.00	1,879.93	12/21/2020	1,870.00	0.00	9.93	Buy to Cover Short
12/23/2020	250.00	2,274.92	Various	2,211.25	0.00	63.67	Buy to Cover Short
12/23/2020	250.00	2,274.92	12/21/2020	2,224.25	0.00	50.67	Buy to Cover Short
12/23/2020	250.00	2,274.91	12/21/2020	2,225.00	0.00	49.91	Buy to Cover Short
12/23/2020	250.00	2,274.91	12/21/2020	2,224.25	0.00	50.66	Buy to Cover Short
12/23/2020	299.00	2,782.57	Various	2,824.17	41.60 D	0.00	Buy to Cover Short
12/23/2020	307.00	2,937.46	Various	3,212.77	275.31 D	0.00	Buy to Cover Short
12/23/2020	473.00	4,502.06	Various	4,658.35	156.29 D	0.00	Buy to Cover Short
12/23/2020	500.00	5,004.32	Various	5,394.63	390.31 D	0.00	Buy to Cover Short
12/23/2020	500.00	5,143.35	Various	4,897.31	0.00	246.04	Buy to Cover Short
12/23/2020	500.00	5,001.32	Various	5,457.06	455.74 D	0.00	Buy to Cover Short
12/23/2020	500.00	5,120.13	Various	4,870.00	0.00	250.13	Buy to Cover Short
12/23/2020	500.00	5,233.71	Various	5,129.08	27.31 D	131.94	Buy to Cover Short
12/23/2020	500.00	4,970.33	12/21/2020	4,938.50	0.00	31.83	Buy to Cover Short
12/23/2020	500.00	5,225.32	Various	5,528.24	304.08 D	1.16	Buy to Cover Short
12/23/2020	500.00	4,945.33	12/21/2020	4,950.00	4.67 D	0.00	Buy to Cover Short
12/23/2020	500.00	4,949.83	12/21/2020	4,938.50	0.00	11.33	Buy to Cover Short

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APEX CLEARING

Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B\*

OMB No. 1545-0715

2TZ05705

(continued)

01/24/2021

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
***LUCKIN COFFEE INC AMERICAN DEPOSITARY SHARES   CUSIP: 54951L109   Symbol: LKNKY							
12/23/2020	500.00	4,855.33	12/21/2020	4,972.50	117.17 D	0.00	Buy to Cover Short
12/23/2020	500.00	4,945.33	12/21/2020	4,954.67	9.34 D	0.00	Buy to Cover Short
12/23/2020	500.00	4,855.33	12/21/2020	5,089.67	234.34 D	0.00	Buy to Cover Short
12/23/2020	500.00	4,954.83	12/21/2020	5,244.34	289.51 D	0.00	Buy to Cover Short
12/23/2020	500.00	4,805.83	12/21/2020	4,919.01	113.18 D	0.00	Buy to Cover Short
12/23/2020	500.00	4,805.83	12/21/2020	4,772.68	0.00	33.15	Buy to Cover Short
12/23/2020	500.00	4,835.33	12/21/2020	4,894.17	58.84 D	0.00	Buy to Cover Short
12/23/2020	500.00	4,672.63	Various	4,695.00	23.34 D	0.97	Buy to Cover Short
12/23/2020	500.00	4,624.83	Various	4,630.42	13.88 D	8.29	Buy to Cover Short
12/23/2020	500.00	4,624.81	Various	4,588.88	0.00	35.93	Buy to Cover Short
12/23/2020	500.00	4,710.83	12/21/2020	4,674.00	0.00	36.83	Buy to Cover Short
12/23/2020	925.00	8,982.92	Various	9,092.03	109.11 D	0.00	Buy to Cover Short
12/23/2020	1,006.00	9,339.02	Various	9,496.64	157.62 D	0.00	Buy to Cover Short
12/23/2020	1,500.00	14,119.99	Various	14,098.13	51.72 D	73.58	Buy to Cover Short
12/23/2020	2,000.00	18,924.32	Various	19,077.62	153.30 D	0.00	Buy to Cover Short
12/23/2020	500.00	4,190.34	Various	4,321.49	131.15 D	0.00	Sale
12/23/2020	500.00	4,185.34	Various	4,197.53	12.19 D	0.00	Sale
12/23/2020	500.00	4,184.84	Various	4,352.65	167.81 D	0.00	Sale
12/23/2020	500.00	4,190.34	Various	4,352.90	162.56 D	0.00	Sale
12/24/2020	2,000.00	14,809.43	Various	15,174.65	379.08 D	13.86	Sale
12/28/2020	500.00	3,604.86	Various	3,792.46	0.00	-187.60	Sale
12/28/2020	500.00	3,599.86	Various	3,763.67	0.00	-163.81	Sale
12/28/2020	500.00	3,610.86	Various	3,727.85	116.99 D	0.00	Sale
12/28/2020	500.00	3,604.86	Various	3,765.70	1.67 D	-159.17	Sale
<b>Security Totals:</b>		<b>881,005.73</b>		<b>885,291.31</b>		<b>7,882.83</b>	
BRICKELL BIOTECH INC COMMON STOCK   CUSIP: 10802T105   Symbol: BBI							
06/15/2020	1,000.00	2,279.82	Various	2,440.00	0.00	-160.18	Sale

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APEX CLEARING

## Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B\*

OMB No. 1545-0715

2TZ05705

(continued)

01/24/2021

**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>
***BIRKS GROUP INC   CL A COM   CUSIP: 09088U109   Symbol: BGI							
10/22/2020	3.00	3.13	10/22/2020	3.69	0.00	-0.56	Sale
10/22/2020	35.00	36.73	Various	43.07	0.00	-6.34	Sale
10/22/2020	50.00	52.98	Various	58.50	5.52 D	0.00	Sale
10/22/2020	52.00	54.58	Various	63.97	0.00	-9.39	Sale
10/22/2020	200.00	211.97	10/22/2020	234.01	22.04 D	0.00	Sale
10/22/2020	100.00	105.98	10/22/2020	117.01	11.03 D	0.00	Sale
10/22/2020	200.00	211.97	10/22/2020	234.01	22.04 D	0.00	Sale
10/22/2020	300.00	314.95	Various	370.55	0.00	-55.60	Sale
10/22/2020	450.00	476.93	Various	526.52	49.59 D	0.00	Sale
10/22/2020	610.00	640.41	Various	756.52	0.00	-116.11	Sale
10/22/2020	946.00	1,059.38	10/22/2020	1,106.73	47.35 D	0.00	Sale
10/22/2020	200.00	211.97	Various	234.01	0.00	-22.04	Sale
10/22/2020	100.00	105.98	10/22/2020	117.01	0.00	-11.03	Sale
10/22/2020	1,054.00	1,180.32	10/22/2020	1,233.07	52.75 D	0.00	Sale
10/22/2020	700.00	741.90	10/22/2020	819.03	0.00	-77.13	Sale
<b>Security Totals:</b>		<b>5,409.18</b>		<b>5,917.70</b>		<b>-298.20</b>	
SOCKET MOBILE INC   CUSIP: 83368E200   Symbol: SCKT							
07/29/2020	15.00	47.95	07/29/2020	49.23	1.28 D	0.00	Sale
07/29/2020	87.00	262.72	07/29/2020	284.37	0.00	-21.65	Sale
07/29/2020	21.00	66.29	07/29/2020	68.92	2.63 D	0.00	Sale
07/29/2020	100.00	320.78	07/29/2020	345.62	24.84 D	0.00	Sale
07/29/2020	300.00	962.33	Various	1,056.64	94.31 D	0.00	Sale
07/29/2020	128.00	423.65	Various	461.88	38.23 D	0.00	Sale
07/29/2020	313.00	945.19	Various	1,045.58	0.00	-100.39	Sale
07/29/2020	564.00	1,775.36	Various	1,860.91	85.55 D	0.00	Sale
07/29/2020	400.00	1,279.12	Various	1,377.06	97.94 D	0.00	Sale
07/29/2020	600.00	1,894.68	Various	2,022.97	128.29 D	0.00	Sale
07/29/2020	600.00	1,811.88	Various	1,946.41	0.00	-134.53	Sale

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APEX CLEARING

## Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B\*

OMB No. 1545-0715

2TZ05705

(continued)

01/24/2021

**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>
SOCKET MOBILE INC   CUSIP: 83368E200   Symbol: SCKT							
07/29/2020	872.00	2,877.43	Various	3,145.56	268.13 D	0.00	Sale
<b>Security Totals:</b>		<b>12,667.38</b>		<b>13,665.15</b>		<b>-256.57</b>	
GRANITE POINT MORTGAGE TRUST INC COMMON STOCK   CUSIP: 38741L107   Symbol: GPMT							
03/30/2020	500.00	2,789.87	03/30/2020	2,600.00	0.00	189.87	Sale
03/30/2020	500.00	2,639.88	03/30/2020	2,600.00	0.00	39.88	Sale
<b>Security Totals:</b>		<b>5,429.75</b>		<b>5,200.00</b>		<b>229.75</b>	
***EBANG INTRNATNL HLDGS INC CLASS A ORDINARY SHARES   CUSIP: G3R33A106   Symbol: EBON							
07/16/2020	500.00	3,453.51	07/16/2020	3,542.50	0.00	-88.99	Sale
MEDICINOVA INC   CUSIP: 58468P206   Symbol: MNOV							
07/27/2020	8.00	97.98	07/27/2020	103.26	5.28 D	0.00	Sale
07/27/2020	56.00	696.05	Various	759.84	63.79 D	0.00	Sale
07/27/2020	100.00	1,232.96	07/27/2020	1,310.81	77.85 D	0.00	Sale
07/27/2020	74.00	911.64	Various	991.51	79.87 D	0.00	Sale
07/27/2020	100.00	1,232.96	Various	1,338.36	105.40 D	0.00	Sale
07/27/2020	200.00	2,269.92	Various	2,396.02	126.10 D	0.00	Sale
07/27/2020	132.00	1,616.94	Various	1,703.01	86.07 D	0.00	Sale
07/27/2020	300.00	3,404.88	Various	3,597.02	192.14 D	0.00	Sale
07/27/2020	300.00	3,695.87	Various	3,975.81	279.94 D	0.00	Sale
07/27/2020	300.00	3,728.87	Various	3,997.87	269.00 D	0.00	Sale
07/27/2020	300.00	3,728.87	Various	4,038.89	310.02 D	0.00	Sale
07/27/2020	344.00	4,275.78	Various	4,574.65	125.02 D	-173.85	Sale
07/27/2020	426.00	5,243.89	Various	5,609.36	365.47 D	0.00	Sale
07/27/2020	360.00	4,409.86	Various	4,645.55	235.69 D	0.00	Sale
07/27/2020	500.00	5,604.96	Various	5,868.00	263.04 D	0.00	Sale
07/27/2020	500.00	6,124.80	Various	6,531.23	406.43 D	0.00	Sale
07/27/2020	500.00	5,201.42	Various	5,383.24	181.82 D	0.00	Sale
07/27/2020	500.00	6,199.80	Various	6,830.46	0.00	-630.66	Sale
<b>Security Totals:</b>		<b>59,677.45</b>		<b>63,654.89</b>		<b>-804.51</b>	

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APEX CLEARING

Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B\*

OMB No. 1545-0715

2TZ05705

(continued)

01/24/2021

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

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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
PLANET GREEN HOLDINGS CORP COMMON STOCK   CUSIP: 72703U102   Symbol: PLAG							
03/16/2020	100.00	403.97	03/12/2020	417.90	13.93 D	0.00	Buy to Cover Short
03/16/2020	400.00	1,612.33	Various	1,685.93	0.00	-73.60	Buy to Cover Short
<b>Security Totals:</b>		<b>2,016.30</b>		<b>2,103.83</b>		<b>-73.60</b>	
XL FLEET CORP CLASS A COMMON STOCK   CUSIP: 9837FR100   Symbol: XL							
12/23/2020	25.00	729.97	12/23/2020	702.02	0.00	27.95	Sale
12/23/2020	25.00	728.72	12/23/2020	694.75	0.00	33.97	Sale
12/23/2020	25.00	733.72	12/23/2020	702.02	0.00	31.70	Sale
12/23/2020	50.00	1,379.95	12/23/2020	1,397.49	17.54 D	0.00	Sale
12/23/2020	25.00	728.72	12/23/2020	694.75	0.00	33.97	Sale
<b>Security Totals:</b>		<b>4,301.08</b>		<b>4,191.03</b>		<b>127.59</b>	
SIGMA LABS INC COMMON STOCK   CUSIP: 826598500   Symbol: SGLB							
09/29/2020	5.00	12.08	09/29/2020	12.40	0.32 D	0.00	Sale
09/29/2020	15.00	36.28	09/29/2020	37.20	0.92 D	0.00	Sale
09/29/2020	30.00	72.58	09/29/2020	74.40	1.82 D	0.00	Sale
09/29/2020	1,950.00	4,718.86	Various	4,839.06	0.00	-120.20	Sale
<b>Security Totals:</b>		<b>4,839.80</b>		<b>4,963.06</b>		<b>-120.20</b>	
REGULUS THERAPEUTICS INC COMMON STOCK   CUSIP: 75915K200   Symbol: RGLS							
07/29/2020	2,142.00	2,484.41	Various	2,463.30	0.00	21.11	Sale
07/29/2020	449.00	498.32	07/29/2020	484.92	0.00	13.40	Sale
07/29/2020	5,000.00	5,549.27	Various	5,449.97	0.00	99.30	Sale
07/29/2020	200.00	203.97	Various	219.96	15.99 D	0.00	Sale
07/29/2020	2,858.00	3,314.86	07/29/2020	3,286.70	0.00	28.16	Sale
07/29/2020	500.00	509.92	Various	564.93	55.01 D	0.00	Sale
07/29/2020	1,000.00	1,109.85	07/29/2020	1,098.50	0.00	11.35	Sale
07/29/2020	2,000.00	2,219.71	Various	2,184.03	0.00	35.68	Sale
07/29/2020	800.00	815.88	Various	934.85	47.02 D	-71.95	Sale
07/29/2020	1,500.00	1,535.33	Various	1,696.72	0.00	-161.39	Sale

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APEX CLEARING

Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B\*

OMB No. 1545-0715

2TZ05705

(continued)

01/24/2021

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)

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

Box 12: Basis Reported to the IRS

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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
07/29/2020	1,551.00	1,721.39	07/29/2020	1,675.08	0.00	46.31	Sale
<b>Security Totals:</b>		<b>19,962.91</b>		<b>20,058.96</b>		<b>21.97</b>	
CALLON PETROLEUM CO-DEL   CUSIP: 13123X102   Symbol: CPE							
04/23/2020	5,000.00	2,704.33	Various	2,785.00	0.00	-80.67	Sale
ORAGENICS INC COMMON STOCK   CUSIP: 684023302   Symbol: OGEN							
07/21/2020	2,000.00	3,281.28	07/21/2020	3,460.00	0.00	-178.72	Sale
AKERS BIOSCIENCES INC COMMON STOCK   CUSIP: 00973E409   Symbol: AKER							
04/07/2020	10.00	58.38	04/07/2020	59.50	1.12 D	0.00	Sale
04/07/2020	250.00	1,459.93	04/07/2020	1,487.50	27.57 D	0.00	Sale
04/07/2020	740.00	4,321.41	04/07/2020	4,403.00	81.59 D	0.00	Sale
04/13/2020	25.00	114.23	Various	122.77	8.54 D	0.00	Sale
04/13/2020	50.00	228.48	04/13/2020	245.51	17.03 D	0.00	Sale
04/13/2020	200.00	913.95	Various	982.06	68.11 D	0.00	Sale
04/13/2020	1,250.00	5,712.22	Various	6,161.42	240.90 D	-208.30	Sale
04/13/2020	475.00	2,170.64	Various	2,350.96	0.00	-180.32	Sale
04/24/2020	60.00	230.98	04/24/2020	259.71	0.00	-28.73	Sale
04/24/2020	150.00	577.46	04/24/2020	649.29	0.00	-71.83	Sale
04/24/2020	290.00	1,116.44	04/24/2020	1,255.29	0.00	-138.85	Sale
<b>Security Totals:</b>		<b>16,904.12</b>		<b>17,977.01</b>		<b>-628.03</b>	
FOSSIL GROUP INC   CUSIP: 34988V106   Symbol: FOSL							
11/12/2020	100.00	771.07	11/12/2020	786.03	14.96 D	0.00	Sale
11/12/2020	400.00	3,084.28	Various	3,144.12	59.84 D	0.00	Sale
11/12/2020	100.00	752.97	11/12/2020	782.96	29.99 D	0.00	Sale
11/12/2020	500.00	3,759.85	Various	3,840.00	80.15 D	0.00	Sale
11/12/2020	200.00	1,505.94	Various	1,565.92	59.98 D	0.00	Sale
11/12/2020	200.00	1,503.94	11/12/2020	1,565.92	61.98 D	0.00	Sale
11/17/2020	23.00	245.39	11/17/2020	252.77	7.38 D	0.00	Sale
11/17/2020	100.00	1,067.96	Various	1,098.99	31.03 D	0.00	Sale
11/17/2020	100.00	1,067.96	Various	1,098.99	31.03 D	0.00	Sale

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APEX CLEARING

## Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B\*

OMB No. 1545-0715

2TZ05705

(continued)

01/24/2021

**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**

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FOSSIL GROUP INC   CUSIP: 34988V106   Symbol: FOSL							
11/17/2020	100.00	1,067.96	Various	1,099.22	31.26 D	0.00	Sale
11/17/2020	100.00	1,066.96	11/17/2020	1,099.99	33.03 D	0.00	Sale
11/17/2020	100.00	1,067.96	Various	1,093.70	25.74 D	0.00	Sale
11/17/2020	100.00	1,067.96	Various	1,082.43	14.47 D	0.00	Sale
11/17/2020	100.00	1,067.96	Various	1,100.03	32.07 D	0.00	Sale
11/17/2020	177.00	1,888.52	Various	1,947.05	58.53 D	0.00	Sale
11/17/2020	100.00	1,068.46	Various	1,101.80	33.34 D	0.00	Sale
11/19/2020	10.00	105.99	11/17/2020	106.31	0.32 D	0.00	Buy to Cover Short
11/19/2020	250.00	2,674.91	Various	2,709.01	34.10 D	0.00	Buy to Cover Short
11/19/2020	200.00	2,139.93	Various	2,140.44	10.75 D	10.24	Buy to Cover Short
11/19/2020	100.00	1,059.97	Various	1,062.63	2.66 D	0.00	Buy to Cover Short
11/19/2020	209.00	2,236.22	Various	2,284.68	48.46 D	0.00	Buy to Cover Short
11/19/2020	50.00	534.98	11/17/2020	531.32	0.00	3.66	Buy to Cover Short
11/19/2020	250.00	2,651.36	Various	2,676.69	25.33 D	0.00	Buy to Cover Short
11/19/2020	250.00	2,649.94	Various	2,658.34	10.28 D	1.88	Buy to Cover Short
11/19/2020	500.00	5,364.81	Various	5,520.72	155.91 D	0.00	Buy to Cover Short
11/19/2020	291.00	3,113.60	Various	3,142.41	28.81 D	0.00	Buy to Cover Short
11/19/2020	22.00	234.51	Various	245.49	10.98 D	0.00	Buy to Cover Short
11/19/2020	50.00	529.48	Various	537.67	8.19 D	0.00	Buy to Cover Short
11/19/2020	19.00	200.16	11/17/2020	204.04	3.88 D	0.00	Buy to Cover Short
11/19/2020	78.00	831.45	11/17/2020	870.16	38.71 D	0.00	Buy to Cover Short
11/19/2020	100.00	1,058.96	Various	1,074.72	15.76 D	0.00	Buy to Cover Short
11/19/2020	122.00	1,300.47	Various	1,359.82	59.35 D	0.00	Buy to Cover Short
11/19/2020	100.00	1,058.97	Various	1,074.21	15.24 D	0.00	Buy to Cover Short
11/19/2020	140.00	1,483.97	Various	1,477.24	0.00	6.73	Buy to Cover Short
11/19/2020	181.00	1,916.73	11/17/2020	1,942.13	25.4 D	0.00	Buy to Cover Short
11/19/2020	250.00	2,647.41	Various	2,662.65	15.24 D	0.00	Buy to Cover Short

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APEX CLEARING

Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B\*

OMB No. 1545-0715

2TZ05705

(continued)

01/24/2021

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
FOSSIL GROUP INC   CUSIP: 34988V106   Symbol: FOSL							
11/19/2020	250.00	2,649.91	Various	2,647.12	8.04 D	10.83	Buy to Cover Short
11/19/2020	200.00	2,106.93	Various	2,146.54	3.76 D	-35.85	Buy to Cover Short
11/19/2020	278.00	2,963.38	Various	3,061.43	98.05 D	0.00	Buy to Cover Short
11/19/2020	300.00	3,161.43	Various	3,229.64	68.21 D	0.00	Buy to Cover Short
11/19/2020	300.00	3,176.89	Various	3,280.59	103.70 D	0.00	Buy to Cover Short
11/20/2020	100.00	1,114.96	Various	1,255.76	0.00	-140.80	Sale
11/20/2020	100.00	1,118.96	Various	1,247.53	0.00	-128.57	Sale
11/20/2020	100.00	1,118.96	Various	1,166.30	0.00	-47.34	Sale
11/20/2020	150.00	1,672.44	Various	1,890.26	0.00	-217.82	Sale
11/20/2020	150.00	1,678.44	Various	1,728.25	0.00	-49.81	Sale
11/20/2020	150.00	1,678.44	Various	1,754.44	0.00	-76.00	Sale
11/20/2020	250.00	2,814.90	Various	2,921.96	107.06 D	0.00	Sale
11/20/2020	250.00	2,814.90	Various	2,896.45	81.55 D	0.00	Sale
11/20/2020	250.00	2,782.40	Various	3,153.75	0.00	-371.35	Sale
11/20/2020	250.00	2,782.40	Various	3,139.95	0.00	-357.55	Sale
11/20/2020	250.00	2,799.90	Various	2,981.62	0.00	-181.72	Sale
11/20/2020	250.00	2,787.65	Various	3,043.65	116.00 D	-140.00	Sale
11/23/2020	1.00	11.89	11/19/2020	13.11	1.22 D	0.00	Buy to Cover Short
11/23/2020	10.00	118.89	Various	131.03	12.14 D	0.00	Buy to Cover Short
11/23/2020	20.00	221.21	11/19/2020	233.02	11.81 D	0.00	Buy to Cover Short
11/23/2020	43.00	496.20	Various	546.70	50.50 D	0.00	Buy to Cover Short
11/23/2020	44.00	472.98	11/19/2020	492.82	19.84 D	0.00	Buy to Cover Short
11/23/2020	47.00	505.23	11/19/2020	526.42	21.19 D	0.00	Buy to Cover Short
11/23/2020	51.00	548.23	11/19/2020	571.22	22.99 D	0.00	Buy to Cover Short
11/23/2020	57.00	657.76	Various	724.64	66.88 D	0.00	Buy to Cover Short
11/23/2020	57.00	657.75	Various	724.67	66.92 D	0.00	Buy to Cover Short
11/23/2020	69.00	741.73	11/19/2020	772.83	31.1 D	0.00	Buy to Cover Short

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**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
FOSSIL GROUP INC   CUSIP: 34988V106   Symbol: FOSL							
11/23/2020	84.00	908.82	Various	940.83	32.01 D	0.00	Buy to Cover Short
11/23/2020	100.00	1,087.96	Various	1,120.03	32.07 D	0.00	Buy to Cover Short
11/23/2020	100.00	1,087.96	11/19/2020	1,120.04	32.08 D	0.00	Buy to Cover Short
11/23/2020	100.00	1,106.06	Various	1,165.08	59.02 D	0.00	Buy to Cover Short
11/23/2020	100.00	1,103.16	Various	1,136.22	33.06 D	0.00	Buy to Cover Short
11/23/2020	100.00	1,153.97	Various	1,271.09	117.12 D	0.00	Buy to Cover Short
11/23/2020	100.00	1,188.96	Various	1,310.57	121.61 D	0.00	Buy to Cover Short
11/23/2020	100.00	1,153.96	Various	1,261.39	107.43 D	0.00	Buy to Cover Short
11/23/2020	139.00	1,652.66	Various	1,821.05	168.39 D	0.00	Buy to Cover Short
11/23/2020	143.00	1,650.17	Various	1,803.81	153.64 D	0.00	Buy to Cover Short
11/23/2020	200.00	2,230.63	Various	2,371.84	141.21 D	0.00	Buy to Cover Short
11/23/2020	200.00	2,230.62	Various	2,352.42	121.80 D	0.00	Buy to Cover Short
11/23/2020	200.00	2,220.27	Various	2,347.06	126.79 D	0.00	Buy to Cover Short
11/23/2020	200.00	2,209.92	Various	2,346.05	136.13 D	0.00	Buy to Cover Short
11/23/2020	200.00	2,212.02	Various	2,276.14	64.12 D	0.00	Buy to Cover Short
11/23/2020	200.00	2,209.93	11/19/2020	2,357.61	147.68 D	0.00	Buy to Cover Short
11/23/2020	205.00	2,267.43	11/19/2020	2,345.27	77.84 D	0.00	Buy to Cover Short
11/23/2020	250.00	2,967.40	Various	3,198.30	230.90 D	0.00	Buy to Cover Short
11/23/2020	250.00	2,967.41	Various	3,218.36	250.95 D	0.00	Buy to Cover Short
11/23/2020	250.00	2,967.40	Various	3,223.61	256.21 D	0.00	Buy to Cover Short
11/23/2020	250.00	2,972.40	Various	3,283.51	311.11 D	0.00	Buy to Cover Short
11/23/2020	500.00	5,889.80	Various	6,421.12	531.32 D	0.00	Buy to Cover Short
11/23/2020	500.00	5,892.30	Various	6,467.78	575.48 D	0.00	Buy to Cover Short
11/23/2020	500.00	5,809.29	Various	6,280.41	471.12 D	0.00	Buy to Cover Short
11/23/2020	500.00	5,804.81	Various	6,322.59	517.78 D	0.00	Buy to Cover Short
11/23/2020	500.00	5,749.81	Various	6,376.46	626.65 D	0.00	Buy to Cover Short
11/23/2020	500.00	5,749.81	Various	6,287.11	537.30 D	0.00	Buy to Cover Short

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**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

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**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
FOSSIL GROUP INC   CUSIP: 34988V106   Symbol: FOSL							
11/23/2020	500.00	5,919.80	Various	6,594.01	674.21 D	0.00	Buy to Cover Short
11/23/2020	500.00	5,877.31	Various	6,481.32	604.01 D	0.00	Buy to Cover Short
11/23/2020	880.00	9,733.05	Various	10,168.20	435.15 D	0.00	Buy to Cover Short
11/23/2020	1,000.00	11,530.61	Various	12,323.61	793.00 D	0.00	Buy to Cover Short
11/23/2020	2.00	23.74	11/19/2020	25.79	2.05 D	0.00	Buy to Cover Short
11/23/2020	100.00	1,187.15	Various	1,323.94	136.79 D	0.00	Buy to Cover Short
11/23/2020	100.00	1,188.96	Various	1,314.79	125.83 D	0.00	Buy to Cover Short
11/23/2020	100.00	1,186.96	Various	1,321.32	134.36 D	0.00	Buy to Cover Short
11/23/2020	100.00	1,186.96	Various	1,290.88	103.92 D	0.00	Buy to Cover Short
11/23/2020	148.00	1,756.69	11/19/2020	1,913.29	156.6 D	0.00	Buy to Cover Short
11/23/2020	150.00	1,783.44	11/19/2020	1,973.59	190.15 D	0.00	Buy to Cover Short
11/23/2020	250.00	2,972.40	Various	3,255.70	283.30 D	0.00	Buy to Cover Short
11/23/2020	300.00	3,560.88	Various	3,978.60	417.72 D	0.00	Buy to Cover Short
11/23/2020	500.00	5,884.80	Various	6,521.98	637.18 D	0.00	Buy to Cover Short
11/23/2020	500.00	5,749.81	Various	6,362.49	612.68 D	0.00	Buy to Cover Short
11/23/2020	500.00	5,734.81	Various	6,311.27	576.46 D	0.00	Buy to Cover Short
11/23/2020	1,000.00	10,672.08	Various	10,820.00	147.92 D	0.00	Buy to Cover Short
11/23/2020	1,000.00	11,743.27	Various	13,029.33	1286.06 D	0.00	Buy to Cover Short
<b>Security Totals:</b>		<b>261,641.37</b>		<b>278,658.16</b>		<b>-1,713.47</b>	

**YRC WORLDWIDE INC | CUSIP: 984249607 | Symbol: YRCW**

08/03/2020	4.00	16.42	08/03/2020	16.40	0.00	0.02	Sale
08/03/2020	30.00	122.98	08/03/2020	123.00	0.02 D	0.00	Sale
08/03/2020	10.00	41.28	08/03/2020	41.00	0.00	0.28	Sale
08/03/2020	50.00	204.98	08/03/2020	205.00	0.02 D	0.00	Sale
08/03/2020	122.00	500.17	Various	500.21	0.03 D	-0.01	Sale
08/03/2020	284.00	1,164.34	Various	1,164.46	0.00	-0.12	Sale

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APEX CLEARING

Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B\*

OMB No. 1545-0715

2TZ05705

(continued)

01/24/2021

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

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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
YRC WORLDWIDE INC   CUSIP: 984249607   Symbol: YRCW							
08/03/2020	500.00	2,049.89	08/03/2020	2,050.00	0.00	-0.11	Sale
<b>Security Totals:</b>		<b>4,100.06</b>		<b>4,100.07</b>		<b>0.06</b>	
FRANCESCA S HOLDINGS CORPORATION COMMON STOCK   CUSIP: 351793203   Symbol: FRAN							
07/28/2020	6.00	46.90	07/28/2020	52.80	0.00	-5.90	Sale
07/28/2020	97.00	758.51	07/28/2020	853.60	0.00	-95.09	Sale
07/28/2020	397.00	3,104.42	07/28/2020	3,493.60	0.00	-389.18	Sale
<b>Security Totals:</b>		<b>3,909.83</b>		<b>4,400.00</b>		<b>-490.17</b>	
***CANAAN INC AMERICAN DEPOSITARY SHARES   CUSIP: 134748102   Symbol: CAN							
11/30/2020	100.00	709.27	11/25/2020	676.00	0.00	33.27	Buy to Cover Short
11/30/2020	250.00	1,772.88	Various	1,717.50	0.00	55.38	Buy to Cover Short
11/30/2020	250.00	1,772.87	Various	1,717.50	0.00	55.37	Buy to Cover Short
11/30/2020	100.00	709.27	11/25/2020	675.79	0.00	33.48	Buy to Cover Short
11/30/2020	100.00	709.27	11/25/2020	675.61	0.00	33.66	Buy to Cover Short
11/30/2020	100.00	708.97	11/25/2020	675.78	0.00	33.19	Buy to Cover Short
11/30/2020	100.00	708.97	11/25/2020	675.62	0.00	33.35	Buy to Cover Short
11/30/2020	100.00	680.02	Various	666.00	0.00	14.02	Buy to Cover Short
11/30/2020	100.00	678.02	Various	665.84	0.00	12.18	Buy to Cover Short
11/30/2020	100.00	679.97	11/25/2020	663.81	0.00	16.16	Buy to Cover Short
11/30/2020	100.00	675.97	11/25/2020	665.89	0.00	10.08	Buy to Cover Short
11/30/2020	100.00	675.97	11/25/2020	666.00	0.00	9.97	Buy to Cover Short
12/31/2020	81.00	479.49	12/31/2020	499.79	20.3 D	0.00	Sale
12/31/2020	100.00	591.97	Various	616.19	24.22 D	0.00	Sale
12/31/2020	100.00	591.97	Various	615.95	23.98 D	0.00	Sale
12/31/2020	100.00	591.97	Various	619.72	27.75 D	0.00	Sale
12/31/2020	300.00	1,739.92	Various	1,806.86	66.94 D	0.00	Sale
12/31/2020	500.00	2,864.87	Various	2,951.57	86.70 D	0.00	Sale
12/31/2020	719.00	4,256.29	Various	4,360.35	104.06 D	0.00	Sale
12/31/2020	100.00	589.98	Various	615.03	25.05 D	0.00	Sale

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**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)

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

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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
***CANAAN INC AMERICAN DEPOSITARY SHARES   CUSIP: 134748102   Symbol: CAN							
12/31/2020	431.00	2,542.79	Various	2,643.43	100.64 D	0.00	Sale
12/31/2020	500.00	2,844.87	Various	2,956.70	111.83 D	0.00	Sale
12/31/2020	1,000.00	5,749.75	Various	5,917.77	168.02 D	0.00	Sale
12/31/2020	469.00	2,766.97	Various	2,834.09	67.12 D	0.00	Sale
<b>Security Totals:</b>		<b>36,092.29</b>		<b>36,578.79</b>		<b>340.11</b>	
ONCONOVA THERAPEUTICS INC COMMON STOCK   CUSIP: 68232V405   Symbol: ONTX							
07/17/2020	5,000.00	4,578.79	07/17/2020	4,560.00	0.00	18.79	Sale
07/17/2020	5,000.00	4,602.29	07/17/2020	4,600.00	0.00	2.29	Sale
07/24/2020	100.00	103.98	07/24/2020	103.00	0.00	0.98	Sale
07/24/2020	100.00	103.98	07/24/2020	103.00	0.00	0.98	Sale
07/24/2020	116.00	120.62	07/24/2020	119.48	0.00	1.14	Sale
07/24/2020	500.00	519.92	07/24/2020	515.00	0.00	4.92	Sale
07/24/2020	1,684.00	1,751.12	07/24/2020	1,734.52	0.00	16.60	Sale
07/24/2020	500.00	519.92	07/24/2020	515.00	0.00	4.92	Sale
07/29/2020	100.00	127.98	07/29/2020	128.90	0.92 D	0.00	Sale
07/29/2020	1,747.00	2,270.83	Various	2,323.86	0.00	-53.03	Sale
07/29/2020	2,500.00	3,199.62	Various	3,200.00	0.38 D	0.00	Sale
07/29/2020	100.00	127.98	07/29/2020	128.90	0.92 D	0.00	Sale
07/29/2020	5,000.00	6,299.26	Various	6,297.72	0.56 D	2.10	Sale
07/29/2020	4,800.00	6,143.29	Various	6,189.04	20.13 D	-25.62	Sale
07/29/2020	5,000.00	6,454.25	Various	6,451.13	0.00	3.12	Sale
07/29/2020	253.00	328.86	07/29/2020	336.27	0.00	-7.41	Sale
07/29/2020	2,500.00	3,202.12	Various	3,200.23	0.00	1.89	Sale
07/29/2020	5,000.00	6,449.25	Various	6,449.65	0.88 D	0.48	Sale
07/29/2020	2,500.00	3,199.87	Various	3,146.37	0.00	53.50	Sale
07/29/2020	2,500.00	3,199.87	Various	3,150.19	0.00	49.68	Sale

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APEX CLEARING

Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B\*

OMB No. 1545-0715

2TZ05705

(continued)

01/24/2021

**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
ONCONOVA THERAPEUTICS INC COMMON STOCK   CUSIP: 68232V405   Symbol: ONTX							
07/29/2020	5,000.00	6,449.75	Various	6,450.88	1.13 D	0.00	Sale
<b>Security Totals:</b>		<b>59,753.55</b>		<b>59,703.14</b>		<b>75.33</b>	
WIDEPOINT CORP   CUSIP: 967590100   Symbol: WYY							
06/17/2020	1,000.00	897.86	06/17/2020	872.00	0.00	25.86	Sale
06/17/2020	100.00	94.78	06/17/2020	87.20	0.00	7.58	Sale
06/17/2020	900.00	853.97	Various	784.80	0.00	69.17	Sale
<b>Security Totals:</b>		<b>1,846.61</b>		<b>1,744.00</b>		<b>102.61</b>	
<b>Totals:</b>		<b>35,171,304.41</b>		<b>35,985,978.70</b>		<b>55,245.13</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

2TZ05705

(continued)

01/24/2021

**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**

1c - Date Sold or Disposed	Quantity	1d - Proceeds	Date Acquired	Cost or Other Basis	Accrued Market Discount (M) & Wash Sale Loss Disallowed (D)	Gain or Loss (-)	Additional Notes
***GASLOG PARTNERS LP UNIT LTD PARTNERSHIP INT   CUSIP: Y2687W108   Symbol: GLOP							
05/01/2020	900.00	4,771.58	05/01/2020	4,577.94	0.00	193.64	Sale
05/01/2020	100.00	529.98	Various	508.65	0.00	21.33	Sale
<b>Security Totals:</b>		<b>5,301.56</b>		<b>5,086.59</b>		<b>214.97</b>	
<b>Totals:</b>		<b>5,301.56</b>		<b>5,086.59</b>		<b>214.97</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.

## 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).