

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

KRISHNA CHAITANYA MANAJIGARI
2250 HOLLY HALL ST
HOUSTON, TX 77054-4025

IN ACCOUNT WITH
WEBULL FINANCIAL LLC
917-725-2448

IMPORTANT YEAR END MESSAGES

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

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

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| | | | |
|---|--|----------------------------|-------------|
| APEX CLEARING 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 WEBULL FINANCIAL LLC (917) 725-2448 | Account 5NA77394 | Form 1099 Composite | 2020 |
| | KRISHNA CHAITANYA MANAJIGARI 2250 HOLLY HALL ST HOUSTON, TX 77054-4025 RECIPIENT'S ID No: XXX-XX-9824 | Statement Date: 02/02/2021 | |

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 | |
| 4- Federal Income Tax Withheld | 0.00 | |
| 5- Section 199A Dividends | 0.00 | |
| 6- Investment Expenses | 0.00 | |
| 7- Foreign tax Paid | 0.00 | |
| 8- Foreign country or US Possession | | |
| 9- Cash Liquidation Distributions | 0.00 | |
| 10- Noncash Liquidation Distribution | 0.00 | |
| 11- Exempt-Interest Dividends | 0.00 | |
| 12- Specified Private Activity Bond Interest Dividends | 0.00 | |

| INTEREST INCOME | 2020 Form 1099-INT* | OMB No. 1545-0112 |
|--|---------------------|-------------------|
| 1- Interest Income | 0.00 | |
| 2- Early Withdrawal penalty | 0.00 | |
| 3- Interest on U.S. Savings Bonds & Treasury Obligations | 0.00 | |
| 4- Federal Income Tax Withheld | 0.00 | |
| 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) | 0.00 | |
| 9- Specified Private Activity Bond Interest | 0.00 | |
| 10- Market Discount | 0.00 | |
| 11- Bond Premium | 0.00 | |
| 12- Bond Premium on Treasury Obligations | 0.00 | |
| 13- Bond Premium on Tax-Exempt Bonds | 0.00 | |
| 14- Tax-Exempt and Tax Credit Bond CUSIP no. | | |

| MISCELLANEOUS INCOME | 2020 Form 1099-MISC* | OMB No. 1545-0115 |
|---|----------------------|-------------------|
| 2- Royalties | 0.00 | |
| 3- Other Income | 376.42 | |
| 4- Federal Income Tax Withheld | 0.00 | |
| 8- Substitute Payments in Lieu of Dividends or Interest | 0.00 | |

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

APEX CLEARING

Tax Summary

2020

5NA77394

02/02/2021

Summary Of Sale Proceeds

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

| Section | Total Proceeds | Total Cost Basis | Total Market Discount | Wash Sale Loss Disallowed | Total Net Gain or Loss(-) |
|---|---------------------|---------------------|-----------------------|---------------------------|---------------------------|
| Short term transactions for covered tax lots | 1,701,792.68 | 1,784,967.31 | 0.00 | 98,824.61 | 15,649.98 |
| Short term transactions for noncovered tax lots | 2,317.33 | 2,362.31 | 0.00 | 5.52 | -39.46 |
| Total Short-term | 1,704,110.01 | 1,787,329.62 | 0.00 | 98,830.13 | 15,610.52 |
| Long-term transactions for covered tax lots | 66.91 | 67.34 | 0.00 | 0.00 | -0.43 |
| Long-term transactions for noncovered tax lots | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 |
| Total Long-term | 66.91 | 67.34 | 0.00 | 0.00 | -0.43 |
| Undetermined transactions for noncovered tax lots | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 |
| Total Undetermined-term | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 |

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): | 0.00 |
| 1099-DIV Total: | 0.00 |
| 1099-INT Total: | 0.00 |
| 1099-MISC Total: | 0.00 |
| 1099-OID Total: | 0.00 |

APEX CLEARING

Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B*

OMB No. 1545-0715

5NA77394

02/02/2021

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 | | | | | | | |
| 12/16/2020 | 764.00 | 666.94 | Various | 699.54 | 0.00 | -32.60 | Sale |
| CONFORMIS INC COM CUSIP: 20717E101 Symbol: CFMS | | | | | | | |
| 12/28/2020 | 414.00 | 351.09 | 12/28/2020 | 354.79 | 0.00 | -3.70 | Sale |
| ENSERVCO CORPORATION CUSIP: 29358Y102 Symbol: ENSV | | | | | | | |
| 10/14/2020 | 3,000.00 | 473.02 | 10/13/2020 | 478.80 | 0.00 | -5.78 | Sale |
| ***XPENG INC ADS EACH REPRESENTING TWO CLASS A ORDINARY SHARES CUSIP: 98422D105 Symbol: XPEV | | | | | | | |
| 11/12/2020 | 25.00 | 898.72 | Various | 930.50 | 31.78 D | 0.00 | Sale |
| 11/17/2020 | 5.00 | 232.78 | 11/17/2020 | 245.06 | 12.28 D | 0.00 | Sale |
| 11/17/2020 | 6.00 | 266.20 | Various | 301.47 | 35.27 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

5NA77394

(continued)

02/02/2021

SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

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

Box 2: Type of Gain or Loss - Short-Term (unless indicated as Ordinary in Additional Notes Column)**Box 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 | | | | | | | |
| 11/17/2020 | 5.00 | 219.48 | Various | 244.55 | 25.07 D | 0.00 | Sale |
| 11/17/2020 | 18.00 | 818.61 | Various | 767.63 | 0.00 | 50.98 | Sale |
| 11/18/2020 | 5.00 | 212.38 | Various | 242.51 | 30.13 D | 0.00 | Sale |
| 11/23/2020 | 6.00 | 431.38 | Various | 387.55 | 0.00 | 43.83 | Sale |
| 11/23/2020 | 13.00 | 726.15 | Various | 735.79 | 25.34 D | 15.70 | Sale |
| 11/23/2020 | 13.00 | 720.17 | Various | 742.69 | 23.16 D | 0.64 | Sale |
| 11/24/2020 | 7.00 | 478.57 | Various | 544.41 | 0.00 | -65.84 | Sale |
| 11/24/2020 | 6.00 | 428.98 | Various | 491.28 | 22.12 D | -40.18 | Sale |
| 11/24/2020 | 15.00 | 1,090.91 | Various | 1,121.64 | 49.75 D | 19.02 | Sale |
| 12/15/2020 | 2.00 | 96.80 | 12/15/2020 | 121.05 | 24.25 D | 0.00 | Sale |
| Security Totals: | | 6,621.13 | | 6,876.13 | | 24.15 | |
| MICROVISION INC DEL CUSIP: 594960304 Symbol: MVIS | | | | | | | |
| 10/12/2020 | 100.00 | 240.98 | 10/09/2020 | 253.00 | 0.00 | -12.02 | Sale |
| 12/14/2020 | 158.00 | 480.45 | 12/14/2020 | 499.28 | 18.83 D | 0.00 | Sale |
| 12/15/2020 | 245.00 | 918.96 | 12/15/2020 | 935.90 | 16.94 D | 0.00 | Sale |
| 12/15/2020 | 287.00 | 1,107.76 | Various | 1,098.19 | 0.00 | 9.57 | Sale |
| 12/15/2020 | 288.00 | 1,051.14 | Various | 1,111.32 | 60.18 D | 0.00 | Sale |
| 12/15/2020 | 575.00 | 2,213.63 | Various | 2,165.79 | 0.00 | 47.84 | Sale |
| 12/15/2020 | 978.00 | 3,697.31 | Various | 3,754.79 | 57.48 D | 0.00 | Sale |
| 12/18/2020 | 93.00 | 487.39 | 12/18/2020 | 503.98 | 16.59 D | 0.00 | Sale |
| 12/21/2020 | 61.00 | 393.43 | 12/21/2020 | 351.92 | 0.00 | 41.51 | Sale |
| 12/22/2020 | 67.00 | 611.01 | Various | 633.75 | 25.80 D | 3.06 | Sale |
| 12/22/2020 | 68.00 | 598.37 | Various | 692.44 | 94.07 D | 0.00 | Sale |
| 12/22/2020 | 34.00 | 226.08 | 12/22/2020 | 263.15 | 37.07 D | 0.00 | Sale |
| 12/22/2020 | 137.00 | 931.85 | Various | 1,018.89 | 87.04 D | 0.00 | Sale |
| 12/22/2020 | 79.00 | 716.50 | Various | 675.13 | 0.00 | 41.37 | Sale |
| 12/22/2020 | 186.00 | 1,546.64 | Various | 1,589.34 | 49.60 D | 6.90 | Sale |
| 12/29/2020 | 59.00 | 402.95 | Various | 403.17 | 6.07 D | 5.85 | Sale |

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APEX CLEARING

Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B*

OMB No. 1545-0715

5NA77394

(continued)

02/02/2021

SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

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

Box 2: Type of Gain or Loss - Short-Term (unless indicated as Ordinary in Additional Notes Column)**Box 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 | | | | | | | |
| 12/29/2020 | 133.00 | 835.20 | Various | 984.14 | 148.94 D | 0.00 | Sale |
| Security Totals: | | 16,459.65 | | 16,934.18 | | 144.08 | |
| RIOT BLOCKCHAIN INC COMMON STOCK CUSIP: 767292105 Symbol: RIOT | | | | | | | |
| 11/17/2020 | 45.00 | 244.78 | 11/17/2020 | 246.10 | 1.32 D | 0.00 | Sale |
| 11/18/2020 | 74.00 | 457.30 | Various | 501.22 | 43.92 D | 0.00 | Sale |
| 12/04/2020 | 82.00 | 761.75 | Various | 789.30 | 34 D | 6.45 | Sale |
| 12/09/2020 | 62.00 | 595.17 | Various | 749.04 | 153.87 D | 0.00 | Sale |
| 12/09/2020 | 62.00 | 562.31 | Various | 701.74 | 139.43 D | 0.00 | Sale |
| 12/14/2020 | 71.00 | 678.73 | Various | 830.31 | 151.58 D | 0.00 | Sale |
| 12/15/2020 | 74.00 | 751.07 | 12/15/2020 | 749.62 | 0.00 | 1.45 | Sale |
| 12/15/2020 | 222.00 | 2,237.92 | Various | 2,478.38 | 240.46 D | 0.00 | Sale |
| 12/16/2020 | 131.00 | 1,486.79 | Various | 1,730.68 | 243.89 D | 0.00 | Sale |
| 12/16/2020 | 44.00 | 481.87 | 12/16/2020 | 504.21 | 5.07 D | -17.27 | Sale |
| 12/22/2020 | 23.00 | 349.58 | Various | 387.82 | 0.00 | -38.24 | Sale |
| 12/22/2020 | 35.00 | 521.16 | 12/22/2020 | 500.48 | 0.00 | 20.68 | Sale |
| 12/23/2020 | 6.00 | 85.84 | 12/23/2020 | 110.77 | 0.00 | -24.93 | Sale |
| 12/28/2020 | 14.00 | 228.32 | Various | 270.75 | 0.00 | -42.43 | Sale |
| 12/28/2020 | 15.00 | 235.03 | Various | 269.59 | 0.00 | -34.56 | Sale |
| 12/30/2020 | 20.00 | 348.18 | Various | 384.08 | 0.00 | -35.90 | Sale |
| Security Totals: | | 10,025.80 | | 11,204.09 | | -164.75 | |
| CALL AAL 10/23/20 13.50 AMERICAN AIRLINES GROUP INC CUSIP: Symbol: AAL201023C00013500 | | | | | | | |
| 10/12/2020 | 1.00 | 68.90 | 10/07/2020 | 76.08 | 0.00 | -7.18 | Sell to Close |
| CALL AAL 12/11/20 17 AMERICAN AIRLINES GROUP INC CUSIP: Symbol: AAL201211C00017000 | | | | | | | |
| 12/09/2020 | 2.00 | 245.82 | 12/03/2020 | 118.16 | 0.00 | 127.66 | Sell to Close |
| 12/09/2020 | 1.00 | 130.90 | 12/03/2020 | 59.08 | 0.00 | 71.82 | Sell to Close |
| Security Totals: | | 376.72 | | 177.24 | | 199.48 | |
| MARIN SOFTWARE INCORPORATED COMMON STOCK CUSIP: 56804T205 Symbol: MRIN | | | | | | | |
| 10/22/2020 | 95.00 | 284.98 | Various | 391.28 | 106.30 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

5NA77394

(continued)

02/02/2021

SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

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

Box 2: Type of Gain or Loss - Short-Term (unless indicated as Ordinary in Additional Notes Column)**Box 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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|---|-----------------|----------------------|---------------------------|---------------------------------|--|-------------------------|-------------------------|
| MARIN SOFTWARE INCORPORATED COMMON STOCK CUSIP: 56804T205 Symbol: MRIN | | | | | | | |
| 10/26/2020 | 200.00 | 779.96 | Various | 882.30 | 104.42 D | 2.08 | Sale |
| 10/26/2020 | 100.00 | 386.98 | Various | 499.42 | 0.00 | -112.44 | Sale |
| Security Totals: | | 1,451.92 | | 1,773.00 | | -110.36 | |
| BROADWIND INC COMMON STOCK CUSIP: 11161T207 Symbol: BWEN | | | | | | | |
| 11/05/2020 | 134.00 | 484.04 | Various | 491.65 | 10.51 D | 2.90 | Sale |
| 11/27/2020 | 97.00 | 480.12 | 11/20/2020 | 455.46 | 0.00 | 24.66 | Sale |
| 12/01/2020 | 257.00 | 1,193.92 | Various | 1,314.11 | 120.73 D | 0.54 | Sale |
| 12/04/2020 | 82.00 | 343.56 | Various | 402.79 | 0.00 | -59.23 | Sale |
| 12/04/2020 | 83.00 | 345.26 | Various | 444.76 | 0.00 | -99.50 | Sale |
| Security Totals: | | 2,846.90 | | 3,108.77 | | -130.63 | |
| CALL GUSH 01/15/21 43 DIREXION DLY S&P OIL & GAS EXP CUSIP: Symbol: GUSH210115C00043000 | | | | | | | |
| 12/14/2020 | 1.00 | 508.89 | 12/07/2020 | 380.08 | 0.00 | 128.81 | Sell to Close |
| DELTA AIR LINES INC DEL COM CUSIP: 247361702 Symbol: DAL | | | | | | | |
| 12/11/2020 | 23.00 | 968.49 | 12/11/2020 | 982.79 | 0.00 | -14.30 | Sale |
| CALL GUSH 01/15/21 42 DIREXION DLY S&P OIL & GAS EXP CUSIP: Symbol: GUSH210115C00042000 | | | | | | | |
| 12/15/2020 | 1.00 | 439.90 | 12/15/2020 | 500.08 | 0.00 | -60.18 | Sell to Close |
| ***AURIS MEDICAL HOLDING LTD COMMON SHARES CUSIP: G07025201 Symbol: EARS | | | | | | | |
| 12/11/2020 | 127.00 | 368.27 | 12/11/2020 | 347.98 | 0.00 | 20.29 | Sale |
| CALL ACB 01/15/21 10 AURORA CANNABIS INC CUSIP: Symbol: ACB210115C00010000 | | | | | | | |
| 11/30/2020 | 1.00 | 409.90 | 11/24/2020 | 156.08 | 0.00 | 253.82 | Sell to Close |
| ***MDJM LTD ORDINARY SHARE CUSIP: G59290109 Symbol: MDJH | | | | | | | |
| 12/11/2020 | 102.00 | 484.47 | 12/11/2020 | 499.80 | 0.00 | -15.33 | Sale |
| AGEX THERAPEUTICS INC COMMON STOCK CUSIP: 00848H108 Symbol: AGE | | | | | | | |
| 10/08/2020 | 250.00 | 280.55 | 10/07/2020 | 342.50 | 0.00 | -61.95 | Sale |
| CALL FUBO 12/18/20 35 FUBOTV INC CUSIP: Symbol: FUBO201218C00035000 | | | | | | | |
| 12/17/2020 | 1.00 | 114.90 | 12/17/2020 | 102.26 | 0.00 | 12.64 | Sell to Close |
| 12/17/2020 | 1.00 | 78.90 | 12/17/2020 | 100.08 | 21.18 D | 0.00 | Sell to Close |
| 12/17/2020 | 1.00 | 77.90 | 12/17/2020 | 100.08 | 22.18 D | 0.00 | Sell to Close |

APEX CLEARING

Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B*

OMB No. 1545-0715

5NA77394

(continued)

02/02/2021

SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

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

Box 2: Type of Gain or Loss - Short-Term (unless indicated as Ordinary in Additional Notes Column)**Box 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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|------------------------------|----------|-----------------|--------------------|--------------------------|---|------------------|--|
| 12/18/2020 | 1.00 | 303.90 | 12/17/2020 | 112.26 | 0.00 | 191.64 | Sell to Close |
| Security Totals: | | 575.60 | | 414.68 | | 204.28 | |
| CALL AAPL 01/22/21 185 | | | | | | | APPLE INC CUSIP: Symbol: AAPL210122C00185000 |
| 12/30/2020 | 10.00 | 79.16 | 12/24/2020 | 170.81 | 0.00 | -91.65 | Sell to Close |
| PUT PFE 12/18/20 40.50 | | | | | | | PFIZER INC CUSIP: Symbol: PFE201218P00040500 |
| 12/14/2020 | 1.00 | 129.90 | 12/14/2020 | 105.08 | 0.00 | 24.82 | Sell to Close |
| ***HUDSON CAPITAL INC | | | | | | | ORDINARY SHARES CUSIP: G4645C208 Symbol: HUSN |
| 11/19/2020 | 71.00 | 210.85 | 11/19/2020 | 228.62 | 16.52 D | -1.25 | Sale |
| 11/19/2020 | 72.00 | 203.02 | Various | 235.82 | 0.00 | -32.80 | Sale |
| Security Totals: | | 413.87 | | 464.44 | | -34.05 | |
| ***ATIF HOLDINGS LIMITED | | | | | | | ORDINARY SHARES CUSIP: G0602B100 Symbol: ATIF |
| 10/16/2020 | 300.00 | 374.95 | Various | 398.00 | 23.05 D | 0.00 | Sale |
| 11/12/2020 | 1,118.00 | 782.95 | Various | 822.42 | 0.00 | -39.47 | Sale |
| Security Totals: | | 1,157.90 | | 1,220.42 | | -39.47 | |
| CONIFER HOLDINGS INC | | | | | | | COM CUSIP: 20731J102 Symbol: CNFR |
| 12/30/2020 | 25.00 | 136.23 | Various | 193.47 | 0.00 | -57.24 | Sale |
| 12/30/2020 | 25.00 | 185.73 | 12/30/2020 | 187.75 | 1.54 D | -0.48 | Sale |
| Security Totals: | | 321.96 | | 381.22 | | -57.72 | |
| CALL GHIV 01/15/21 12.50 | | | | | | | GORES HOLDINGS IV INC CL A CUSIP: Symbol: GHIV210115C00012500 |
| 12/15/2020 | 2.00 | 199.82 | Various | 375.16 | 0.00 | -175.34 | Sell to Close |
| CAPRICOR THERAPEUTICS INC | | | | | | | COMMON STOCK CUSIP: 14070B309 Symbol: CAPR |
| 11/09/2020 | 200.00 | 881.96 | Various | 950.00 | 0.00 | -68.04 | Sale |
| PUT MJ 11/20/20 12 | | | | | | | ETF MANAGERS TR ETFMG ALTRNTV CUSIP: Symbol: MJ201120P00012000 |
| 11/20/2020 | 3.00 | 0.00 | 11/10/2020 | 90.24 | 0.00 | -90.24 | Expiration |
| ***SOCIAL CAPITAL HEDOSOPHIA | | | | | | | HOLDINGS CORP II CLASS A ORDINARY SHARES CUSIP: G8250T109 Symbol: IPOB |
| 10/02/2020 | 10.00 | 177.48 | 10/01/2020 | 186.50 | 9.02 D | 0.00 | Sale |
| 10/21/2020 | 15.00 | 335.68 | Various | 349.97 | 14.29 D | 0.00 | Sale |
| 10/27/2020 | 50.00 | 908.46 | Various | 943.29 | 34.83 D | 0.00 | Sale |
| 11/04/2020 | 29.00 | 507.96 | Various | 505.20 | 4.48 D | 7.24 | Sale |
| 11/05/2020 | 50.00 | 933.21 | Various | 923.11 | 0.00 | 10.10 | Sale |

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APEX CLEARING

Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B*

OMB No. 1545-0715

5NA77394

(continued)

02/02/2021

SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

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

Box 2: Type of Gain or Loss - Short-Term (unless indicated as Ordinary in Additional Notes Column)**Box 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 |
|---|----------|------------------|--------------------|--------------------------|---|------------------|------------------|
| ***SOCIAL CAPITAL HEDOSOPHIA HOLDINGS CORP II CLASS A ORDINARY SHARES CUSIP: G8250T109 Symbol: IPOB | | | | | | | |
| 11/09/2020 | 30.00 | 611.67 | 11/06/2020 | 605.70 | 0.00 | 5.97 | Sale |
| 11/09/2020 | 5.00 | 94.93 | 11/09/2020 | 95.95 | 1.02 D | 0.00 | Sale |
| 11/09/2020 | 40.00 | 749.57 | 11/09/2020 | 767.60 | 18.03 D | 0.00 | Sale |
| 11/12/2020 | 25.00 | 446.73 | Various | 461.79 | 15.06 D | 0.00 | Sale |
| 11/12/2020 | 25.00 | 440.24 | Various | 460.76 | 20.52 D | 0.00 | Sale |
| 11/13/2020 | 13.00 | 235.28 | Various | 243.22 | 7.94 D | 0.00 | Sale |
| 11/13/2020 | 14.00 | 251.28 | Various | 263.77 | 12.49 D | 0.00 | Sale |
| 11/19/2020 | 25.00 | 491.47 | Various | 500.62 | 9.15 D | 0.00 | Sale |
| 11/25/2020 | 25.00 | 504.00 | Various | 513.01 | 9.01 D | 0.00 | Sale |
| 12/04/2020 | 48.00 | 1,028.12 | Various | 996.46 | 0.00 | 31.66 | Sale |
| 12/14/2020 | 44.00 | 1,309.40 | 12/14/2020 | 1,269.40 | 0.00 | 40.00 | Sale |
| 12/14/2020 | 35.00 | 1,049.26 | Various | 914.13 | 0.00 | 135.13 | Sale |
| 12/14/2020 | 22.00 | 647.87 | Various | 636.80 | 0.00 | 11.07 | Sale |
| 12/15/2020 | 11.00 | 314.63 | 12/14/2020 | 319.27 | 0.00 | -4.64 | Sale |
| 12/15/2020 | 11.00 | 318.98 | 12/14/2020 | 319.27 | 0.00 | -0.29 | Sale |
| Security Totals: | | 11,356.22 | | 11,275.82 | | 236.24 | |
| CALL PIC 12/18/20 15 PIVOTAL INVSTMNT CORP II CL A CUSIP: Symbol: PIC201218C00015000 | | | | | | | |
| 12/08/2020 | 2.00 | 331.82 | Various | 315.16 | 0.00 | 16.66 | Sell to Close |
| PUT PIC 12/18/20 15 PIVOTAL INVSTMNT CORP II CL A CUSIP: Symbol: PIC201218P00015000 | | | | | | | |
| 12/15/2020 | 1.00 | 114.90 | 12/15/2020 | 100.08 | 0.00 | 14.82 | Sell to Close |
| 12/15/2020 | 4.00 | 439.66 | Various | 370.32 | 0.00 | 69.34 | Sell to Close |
| Security Totals: | | 554.56 | | 470.40 | | 84.16 | |
| CALL AAPL 02/05/21 150 APPLE INC CUSIP: Symbol: AAPL210205C00150000 | | | | | | | |
| 12/30/2020 | 1.00 | 212.90 | 12/28/2020 | 290.08 | 77.18 D | 0.00 | Sell to Close |
| CALL OEG 01/15/21 2.50 ORBITAL ENERGY GROUP INC CUSIP: Symbol: OEG210115C00002500 | | | | | | | |
| 12/30/2020 | 2.00 | 89.82 | 12/29/2020 | 90.16 | 0.34 D | 0.00 | Sell to Close |
| 12/31/2020 | 4.00 | 87.66 | Various | 210.66 | 0.00 | -123.00 | Sell to Close |
| Security Totals: | | 177.48 | | 300.82 | | -123.00 | |

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APEX CLEARING

Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B*

OMB No. 1545-0715

5NA77394

(continued)

02/02/2021

SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

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

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

| 1c - Date Sold or Disposed | Quantity | 1d - Proceeds | 1b - Date Acquired | 1e - Cost or Other Basis | 1f - Accrued Market Discount (M) & 1g - Wash Sale Loss Disallowed (D) | Gain or Loss (-) | Additional Notes |
|---|----------|--|--------------------|--------------------------|---|------------------|------------------|
| CALL PIC 12/18/20 | 17.50 | PIVOTAL INVSTMNT CORP II CL A CUSIP: Symbol: PIC201218C00017500 | | | | | |
| 12/16/2020 | 1.00 | 14.90 | 12/04/2020 | 140.08 | 0.00 | -125.18 | Sell to Close |
| CALL LAZR 01/15/21 | 40 | LUMINAR TECHNOLOGIES INC CL A CUSIP: Symbol: LAZR210115C00040000 | | | | | |
| 12/21/2020 | 1.00 | 224.90 | 12/21/2020 | 255.08 | 0.00 | -30.18 | Sell to Close |
| PUT FUBO 12/31/20 | 34 | FUBOTV INC CUSIP: Symbol: FUBO201231P00034000 | | | | | |
| 12/30/2020 | 1.00 | 113.90 | 12/30/2020 | 135.08 | 0.00 | -21.18 | Sell to Close |
| CALL PIC 12/18/20 | 20 | PIVOTAL INVSTMNT CORP II CL A CUSIP: Symbol: PIC201218C00020000 | | | | | |
| 12/08/2020 | 3.00 | 239.74 | Various | 420.24 | 0.00 | -180.50 | Sell to Close |
| CONDOR HOSPITALITY TRUST INC COMMON STOCK CUSIP: 20676Y403 Symbol: CDOR | | | | | | | |
| 11/09/2020 | 200.00 | 725.96 | Various | 769.00 | 0.00 | -43.04 | Sale |
| HANCOCK JAFFE LABORATORIES INC COMMON STOCK CUSIP: 41015N106 Symbol: HJLI | | | | | | | |
| 10/15/2020 | 1,000.00 | 382.37 | 10/14/2020 | 397.90 | 0.00 | -15.53 | Sale |
| ***EUROSEAS LTD COMMON STOCK CUSIP: Y23592135 Symbol: ESEA | | | | | | | |
| 10/09/2020 | 100.00 | 284.98 | 10/07/2020 | 290.00 | 0.00 | -5.02 | Sale |
| 11/11/2020 | 200.00 | 731.96 | 11/11/2020 | 754.84 | 0.00 | -22.88 | Sale |
| Security Totals: | | 1,016.94 | | 1,044.84 | | -27.90 | |
| PUT FUBO 12/31/20 | 36 | FUBOTV INC CUSIP: Symbol: FUBO201231P00036000 | | | | | |
| 12/29/2020 | 1.00 | 237.90 | 12/29/2020 | 239.08 | 0.00 | -1.18 | Sell to Close |
| SINO GLOBAL SHIPPING AMERICA LTD COMMON STOCK CUSIP: 82935V208 Symbol: SINO | | | | | | | |
| 12/08/2020 | 130.00 | 434.17 | 12/08/2020 | 637.00 | 185.67 D | -17.16 | Sale |
| 12/09/2020 | 130.00 | 453.66 | Various | 735.80 | 0.00 | -282.14 | Sale |
| Security Totals: | | 887.83 | | 1,372.80 | | -299.30 | |
| FG FINANCIAL GROUP INC COMMON STOCK CUSIP: 30259W104 Symbol: FGF | | | | | | | |
| 12/30/2020 | 49.00 | 294.47 | Various | 260.96 | 0.00 | 33.51 | Sale |
| 12/31/2020 | 34.00 | 205.00 | 12/31/2020 | 192.78 | 0.00 | 12.22 | Sale |
| 12/31/2020 | 44.00 | 268.38 | Various | 256.14 | 0.00 | 12.24 | Sale |
| 12/31/2020 | 45.00 | 237.13 | 12/31/2020 | 288.45 | 0.00 | -51.32 | Sale |
| Security Totals: | | 1,004.98 | | 998.33 | | 6.65 | |
| CALL FOSL 01/15/21 | 14 | FOSSIL GROUP INC CUSIP: Symbol: FOSL210115C00014000 | | | | | |
| 12/17/2020 | 1.00 | 9.90 | 12/08/2020 | 95.08 | 0.00 | -85.18 | Sell to Close |

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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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|--|----------|-----------------|--------------------|--------------------------|---|------------------|------------------|
| CALL LAZR 01/15/21 35 LUMINAR TECHNOLOGIES INC CL A CUSIP: Symbol: LAZR210115C00035000 | | | | | | | |
| 12/30/2020 | 1.00 | 402.90 | 12/29/2020 | 300.08 | 0.00 | 102.82 | Sell to Close |
| CALL GHIV 01/15/21 15 GORES HOLDINGS IV INC CL A CUSIP: Symbol: GHIV210115C00015000 | | | | | | | |
| 12/14/2020 | 1.00 | 89.90 | 12/09/2020 | 160.08 | 70.18 D | 0.00 | Sell to Close |
| 12/15/2020 | 1.00 | 69.90 | 12/09/2020 | 230.26 | 0.00 | -160.36 | Sell to Close |
| Security Totals: | | 159.80 | | 390.34 | | -160.36 | |
| CALL IDEX 12/18/20 2.50 IDEANOMICS INC CUSIP: Symbol: IDEX201218C00002500 | | | | | | | |
| 12/02/2020 | 3.00 | 119.74 | 12/02/2020 | 90.24 | 0.00 | 29.50 | Sell to Close |
| 12/03/2020 | 3.00 | 104.74 | 12/02/2020 | 90.24 | 0.00 | 14.50 | Sell to Close |
| 12/03/2020 | 4.00 | 119.66 | 12/02/2020 | 120.33 | 0.00 | -0.67 | Sell to Close |
| Security Totals: | | 344.14 | | 300.81 | | 43.33 | |
| ***TRANSATLANTIC PETROLEUM LTD SHS NEW CUSIP: G89982113 Symbol: TAT | | | | | | | |
| 10/09/2020 | 800.00 | 265.49 | 10/08/2020 | 260.00 | 0.00 | 5.49 | Sale |
| URBAN ONE INC CLASS A COMMON STOCK CUSIP: 91705J105 Symbol: UONE | | | | | | | |
| 10/08/2020 | 50.00 | 323.48 | 10/07/2020 | 291.18 | 0.00 | 32.30 | Sale |
| URBAN ONE INC CLASS D COMMON STOCK CUSIP: 91705J204 Symbol: UONEK | | | | | | | |
| 11/17/2020 | 173.00 | 193.92 | 11/17/2020 | 198.95 | 0.00 | -5.03 | Sale |
| CALL AAPL 12/24/20 131 APPLE INC CUSIP: Symbol: AAPL201224C00131000 | | | | | | | |
| 12/22/2020 | 1.00 | 124.90 | 12/22/2020 | 129.08 | 0.00 | -4.18 | Sell to Close |
| COMSTOCK HOLDING COMPANIES INC CL A NEW CUSIP: 205684202 Symbol: CHCI | | | | | | | |
| 10/07/2020 | 150.00 | 404.97 | Various | 512.00 | 0.00 | -107.03 | Sale |
| 11/09/2020 | 200.00 | 605.96 | Various | 618.10 | 0.00 | -12.14 | Sale |
| Security Totals: | | 1,010.93 | | 1,130.10 | | -119.17 | |
| CALL AAPL 12/24/20 133 APPLE INC CUSIP: Symbol: AAPL201224C00133000 | | | | | | | |
| 12/22/2020 | 1.00 | 92.90 | 12/22/2020 | 99.08 | 6.18 D | 0.00 | Sell to Close |
| 12/24/2020 | 1.00 | 0.00 | 12/24/2020 | 49.26 | 0.00 | -49.26 | Expiration |
| Security Totals: | | 92.90 | | 148.34 | | -49.26 | |
| CALL FOSL 01/15/21 15 FOSSIL GROUP INC CUSIP: Symbol: FOSL210115C00015000 | | | | | | | |
| 12/17/2020 | 1.00 | 4.90 | 12/09/2020 | 75.08 | 0.00 | -70.18 | Sell to Close |

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SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

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|--|----------|-----------------|--------------------|--------------------------|---|------------------|------------------|
| ***HEXO CORP COM CUSIP: 428304109 Symbol: HEXO | | | | | | | |
| 10/12/2020 | 400.00 | 305.94 | 10/08/2020 | 322.32 | 0.00 | -16.38 | Sale |
| 11/24/2020 | 738.00 | 588.22 | Various | 730.36 | 142.14 D | 0.00 | Sale |
| 11/24/2020 | 739.00 | 587.62 | Various | 757.39 | 169.77 D | 0.00 | Sale |
| 12/01/2020 | 314.00 | 348.84 | Various | 425.66 | 76.82 D | 0.00 | Sale |
| 12/01/2020 | 898.00 | 978.68 | Various | 1,149.92 | 171.24 D | 0.00 | Sale |
| 12/01/2020 | 1,881.00 | 2,313.35 | Various | 2,187.46 | 55.13 D | 181.02 | Sale |
| 12/02/2020 | 300.00 | 324.28 | Various | 402.63 | 78.35 D | 0.00 | Sale |
| 12/03/2020 | 393.00 | 436.17 | Various | 572.19 | 0.00 | -136.02 | Sale |
| 12/03/2020 | 393.00 | 452.32 | Various | 555.85 | 0.00 | -103.53 | Sale |
| 12/03/2020 | 785.00 | 894.79 | Various | 1,109.62 | 203.72 D | -11.11 | Sale |
| Security Totals: | | 7,230.21 | | 8,213.40 | | -86.02 | |
| CTI BIOPHARMA CORP COM NEW CUSIP: 12648L601 Symbol: CTIC | | | | | | | |
| 10/12/2020 | 100.00 | 300.98 | 10/09/2020 | 330.00 | 0.00 | -29.02 | Sale |
| NOVABAY PHARMACEUTICALS INC COM CUSIP: 66987P201 Symbol: NBY | | | | | | | |
| 10/12/2020 | 450.00 | 362.51 | 10/09/2020 | 355.82 | 0.00 | 6.69 | Sale |
| PITNEY BOWES INC CUSIP: 724479100 Symbol: PBI | | | | | | | |
| 12/30/2020 | 16.00 | 95.37 | 12/29/2020 | 98.88 | 3.51 D | 0.00 | Sale |
| CALL XPEV 12/18/20 51 XPENG INC ADR CLASS A CUSIP: Symbol: XPEV201218C00051000 | | | | | | | |
| 12/15/2020 | 1.00 | 107.90 | 12/15/2020 | 202.08 | 0.00 | -94.18 | Sell to Close |
| CALL XPEV 12/18/20 52 XPENG INC ADR CLASS A CUSIP: Symbol: XPEV201218C00052000 | | | | | | | |
| 12/15/2020 | 4.00 | 335.66 | 12/15/2020 | 856.32 | 0.00 | -520.66 | Sell to Close |
| PARTY CITY HOLDCO INC COM CUSIP: 702149105 Symbol: PRTY | | | | | | | |
| 11/09/2020 | 100.00 | 296.98 | 11/09/2020 | 327.00 | 0.00 | -30.02 | Sale |
| JAGUAR HEALTH INC COMMON STOCK CUSIP: 47010C409 Symbol: JAGX | | | | | | | |
| 10/07/2020 | 600.00 | 187.90 | 10/06/2020 | 240.90 | 0.00 | -53.00 | Sale |
| 11/10/2020 | 6,178.00 | 1,273.13 | 11/10/2020 | 1,296.14 | 0.00 | -23.01 | Sale |
| 11/10/2020 | 6,177.00 | 1,268.67 | 11/10/2020 | 1,295.94 | 0.00 | -27.27 | Sale |
| 12/11/2020 | 6,201.00 | 2,175.76 | Various | 2,199.85 | 24.09 D | 0.00 | Sale |
| 12/15/2020 | 905.00 | 343.78 | 12/15/2020 | 381.91 | 38.13 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

5NA77394

(continued)

02/02/2021

SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

Report on Form 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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|--|----------|------------------|--------------------|--------------------------|---|------------------|------------------|
| JAGUAR HEALTH INC COMMON STOCK CUSIP: 47010C409 Symbol: JAGX | | | | | | | |
| 12/15/2020 | 2,500.00 | 1,047.17 | 12/15/2020 | 1,003.07 | 0.00 | 44.10 | Sale |
| 12/15/2020 | 2,715.00 | 1,017.78 | Various | 1,146.32 | 128.54 D | 0.00 | Sale |
| 12/15/2020 | 3,619.00 | 1,523.49 | Various | 1,492.65 | 9.12 D | 39.96 | Sale |
| 12/17/2020 | 1,823.00 | 633.07 | Various | 797.20 | 164.13 D | 0.00 | Sale |
| 12/18/2020 | 1,436.00 | 493.79 | 12/17/2020 | 567.41 | 73.62 D | 0.00 | Sale |
| 12/21/2020 | 718.00 | 244.02 | Various | 282.99 | 38.97 D | 0.00 | Sale |
| 12/22/2020 | 685.00 | 268.98 | 12/22/2020 | 280.01 | 11.03 D | 0.00 | Sale |
| 12/22/2020 | 922.00 | 408.33 | Various | 403.05 | 3.91 D | 9.19 | Sale |
| 12/22/2020 | 923.00 | 399.82 | Various | 431.86 | 32.04 D | 0.00 | Sale |
| 12/22/2020 | 1,370.00 | 556.18 | Various | 587.36 | 37.48 D | 6.30 | Sale |
| 12/22/2020 | 2,740.00 | 1,071.33 | Various | 1,141.25 | 70.55 D | 0.63 | Sale |
| 12/22/2020 | 4,650.00 | 1,978.42 | Various | 2,071.68 | 115.71 D | 22.45 | Sale |
| 12/23/2020 | 100.00 | 80.16 | 12/23/2020 | 80.54 | 0.38 D | 0.00 | Sale |
| 12/23/2020 | 189.00 | 142.53 | 12/23/2020 | 152.04 | 9.51 D | 0.00 | Sale |
| 12/23/2020 | 324.00 | 313.19 | Various | 371.70 | 58.51 D | 0.00 | Sale |
| 12/23/2020 | 378.00 | 382.15 | 12/23/2020 | 357.32 | 0.00 | 24.83 | Sale |
| 12/23/2020 | 561.00 | 429.76 | Various | 359.21 | 0.00 | 70.55 | Sale |
| 12/23/2020 | 845.00 | 595.77 | Various | 684.02 | 88.25 D | 0.00 | Sale |
| 12/23/2020 | 570.00 | 361.87 | Various | 300.62 | 0.00 | 61.25 | Sale |
| 12/23/2020 | 944.00 | 782.45 | Various | 757.55 | 0.00 | 24.90 | Sale |
| 12/23/2020 | 1,122.00 | 841.35 | Various | 713.72 | 0.00 | 127.63 | Sale |
| 12/23/2020 | 2,275.00 | 1,781.70 | Various | 1,768.14 | 72.31 D | 85.87 | Sale |
| 12/29/2020 | 413.00 | 301.43 | Various | 394.43 | 93.00 D | 0.00 | Sale |
| 12/31/2020 | 383.00 | 314.08 | Various | 418.39 | 104.31 D | 0.00 | Sale |
| Security Totals: | | 21,218.06 | | 21,977.27 | | 414.38 | |
| CALL DIS 12/18/20 175 WALT DISNEY CO CUSIP: Symbol: DIS201218C00175000 | | | | | | | |
| 12/11/2020 | 1.00 | 209.90 | 12/11/2020 | 257.08 | 47.18 D | 0.00 | Sell to Close |

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APEX CLEARING

Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B*

OMB No. 1545-0715

5NA77394

(continued)

02/02/2021

SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

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

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

| 1c - Date Sold or Disposed | Quantity | 1d - Proceeds | 1b - Date Acquired | 1e - Cost or Other Basis | 1f - Accrued Market Discount (M) & 1g - Wash Sale Loss Disallowed (D) | Gain or Loss (-) | Additional Notes |
|---|---|-----------------|--------------------|--------------------------|---|------------------|------------------|
| 12/11/2020 | 1.00 | 287.90 | 12/11/2020 | 352.26 | 0.00 | -64.36 | Sell to Close |
| Security Totals: | | 497.80 | | 609.34 | | -64.36 | |
| ***APTOSE BIOSCIENCES INC | COM CUSIP: 03835T200 Symbol: APTO | | | | | | |
| 11/13/2020 | 154.00 | 842.34 | Various | 823.08 | 0.00 | 19.26 | Sale |
| SPRING BANK PHARMACEUTICALS | INC COM CUSIP: 849431101 Symbol: SBPH | | | | | | |
| 11/09/2020 | 101.00 | 121.18 | 11/06/2020 | 127.26 | 0.00 | -6.08 | Sale |
| ***METEN EDTECHX EDUCATION | GROUP LTD ORDINARY SHARES CUSIP: G6055H114 Symbol: METX | | | | | | |
| 12/17/2020 | 158.00 | 322.29 | 12/17/2020 | 349.01 | 0.00 | -26.72 | Sale |
| ***CHINA INDEX HOLDINGS LTD | AMERICAN DEPOSITORY SHARES CUSIP: 16954W101 Symbol: CIH | | | | | | |
| 10/21/2020 | 400.00 | 735.93 | Various | 714.00 | 0.00 | 21.93 | Sale |
| PUT SPY 12/30/20 367 | STANDARD & POORS DEPOSITORY CUSIP: Symbol: SPY201230P00367000 | | | | | | |
| 12/24/2020 | 1.00 | 179.90 | 12/24/2020 | 213.08 | 0.00 | -33.18 | Sell to Close |
| MICROSOFT CORP CUSIP: 594918104 Symbol: MSFT | | | | | | | |
| 10/28/2020 | 5.00 | 1,050.51 | 10/27/2020 | 1,072.45 | 0.00 | -21.94 | Sale |
| ***SPHERE 3D CORP NEW | COM NO PAR CUSIP: 84841L308 Symbol: ANY | | | | | | |
| 11/12/2020 | 174.00 | 241.83 | 11/12/2020 | 249.81 | 7.98 D | 0.00 | Sale |
| 11/12/2020 | 359.00 | 473.82 | 11/12/2020 | 495.02 | 20.55 D | -0.65 | Sale |
| 11/12/2020 | 520.00 | 743.52 | 11/12/2020 | 746.57 | 3.05 D | 0.00 | Sale |
| 11/24/2020 | 683.00 | 1,038.05 | Various | 1,027.61 | 0.00 | 10.44 | Sale |
| Security Totals: | | 2,497.22 | | 2,519.01 | | 9.79 | |
| HANCOCK JAFFE LABORATORIES INC COMMON STOCK CUSIP: 41015N304 Symbol: HJLI | | | | | | | |
| 12/11/2020 | 34.00 | 473.93 | 12/11/2020 | 488.72 | 14.79 D | 0.00 | Sale |
| 12/11/2020 | 35.00 | 489.97 | 12/11/2020 | 503.09 | 13.12 D | 0.00 | Sale |
| 12/14/2020 | 147.00 | 1,819.79 | Various | 2,025.64 | 0.00 | -205.85 | Sale |
| Security Totals: | | 2,783.69 | | 3,017.45 | | -205.85 | |
| CALL FUBO 01/15/21 35 | FUBOTV INC CUSIP: Symbol: FUBO210115C00035000 | | | | | | |
| 12/17/2020 | 1.00 | 604.89 | 12/17/2020 | 555.08 | 0.00 | 49.81 | Sell to Close |
| QUANTUMSCAPE CORPORATION | CLASS A COMMON STOCK CUSIP: 74767V109 Symbol: QS | | | | | | |
| 12/15/2020 | 13.00 | 765.02 | 12/15/2020 | 788.97 | 23.95 D | 0.00 | Sale |
| 12/15/2020 | 36.00 | 2,141.94 | 12/15/2020 | 2,184.84 | 42.9 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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|---|----------|-----------------|--------------------|--------------------------|---|------------------|------------------|
| QUANTUMSCAPE CORPORATION CLASS A COMMON STOCK CUSIP: 74767V109 Symbol: QS | | | | | | | |
| 12/22/2020 | 4.00 | 480.77 | 12/22/2020 | 442.01 | 0.00 | 38.76 | Sale |
| 12/24/2020 | 2.00 | 227.89 | 12/24/2020 | 230.08 | 2.19 D | 0.00 | Sale |
| Security Totals: | | 3,615.62 | | 3,645.90 | | 38.76 | |
| CALL AAL 05/21/21 25 AMERICAN AIRLINES GROUP INC CUSIP: Symbol: AAL210521C00025000 | | | | | | | |
| 12/14/2020 | 1.00 | 172.90 | 12/09/2020 | 170.08 | 0.00 | 2.82 | Sell to Close |
| CALL WFC 12/31/20 32 WELLS FARGO & CO CUSIP: Symbol: WFC201231C00032000 | | | | | | | |
| 12/22/2020 | 11.00 | 98.09 | Various | 218.89 | 0.00 | -120.80 | Sell to Close |
| CALL FUBO 01/15/21 40 FUBOTV INC CUSIP: Symbol: FUBO210115C00040000 | | | | | | | |
| 12/10/2020 | 1.00 | 262.90 | 12/09/2020 | 285.08 | 22.18 D | 0.00 | Sell to Close |
| 12/30/2020 | 1.00 | 314.90 | 12/30/2020 | 352.26 | 37.36 D | 0.00 | Sell to Close |
| Security Totals: | | 577.80 | | 637.34 | | 0.00 | |
| CALL OXY 01/15/21 20 OCCIDENTAL PETROLEUM CORP CUSIP: Symbol: OXY210115C00020000 | | | | | | | |
| 12/14/2020 | 1.00 | 211.90 | 12/07/2020 | 132.08 | 0.00 | 79.82 | Sell to Close |
| FLEXSHOPPER INC COMMON STOCK CUSIP: 33939J303 Symbol: FPAY | | | | | | | |
| 12/28/2020 | 453.00 | 1,386.45 | Various | 1,326.82 | 0.00 | 59.63 | Sale |
| CALL SPCE 12/18/20 30 VIRGIN GALACTIC HOLDINGS INC CUSIP: Symbol: SPCE201218C00030000 | | | | | | | |
| 12/07/2020 | 1.00 | 424.90 | 12/04/2020 | 168.08 | 0.00 | 256.82 | Sell to Close |
| TWITTER INC CUSIP: 90184L102 Symbol: TWTR | | | | | | | |
| 11/04/2020 | 10.00 | 409.52 | 11/03/2020 | 415.77 | 0.00 | -6.25 | Sale |
| CALL TNDM 11/20/20 125 TANDEM DIABETES CARE INC CUSIP: Symbol: TNDM201120C00125000 | | | | | | | |
| 10/15/2020 | 1.00 | 711.89 | 10/13/2020 | 905.08 | 0.00 | -193.19 | Sell to Close |
| ***CASTOR MARITIME INC COMMON STOCK CUSIP: Y1146L109 Symbol: CTRM | | | | | | | |
| 12/31/2020 | 539.00 | 220.92 | 12/31/2020 | 237.27 | 16.35 D | 0.00 | Sale |
| CALL QEP 12/18/20 3 QEP RESOURCES INC CUSIP: Symbol: QEP201218C00003000 | | | | | | | |
| 12/18/2020 | 10.00 | 0.00 | 12/09/2020 | 50.81 | 0.00 | -50.81 | Expiration |
| REPLIGEN CORP CUSIP: 759916109 Symbol: RGEN | | | | | | | |
| 11/13/2020 | 2.00 | 411.68 | 11/12/2020 | 415.86 | 0.00 | -4.18 | Sale |
| FIRST SOLAR INC CUSIP: 336433107 Symbol: FSLR | | | | | | | |
| 11/05/2020 | 9.00 | 747.87 | 11/05/2020 | 759.24 | 0.00 | -11.37 | 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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|--|----------|-----------------|--------------------|--------------------------|---|------------------|------------------|
| ROCKET COMPANIES INC CLASS A COMMON STOCK CUSIP: 77311W101 Symbol: RKT | | | | | | | |
| 10/02/2020 | 20.00 | 431.98 | 10/01/2020 | 458.00 | 0.00 | -26.02 | Sale |
| 12/14/2020 | 54.00 | 1,203.08 | 12/14/2020 | 1,205.82 | 0.00 | -2.74 | Sale |
| 12/14/2020 | 18.00 | 401.20 | 12/14/2020 | 401.94 | 0.00 | -0.74 | Sale |
| 12/14/2020 | 72.00 | 1,611.84 | 12/14/2020 | 1,607.76 | 0.00 | 4.08 | Sale |
| 12/14/2020 | 143.00 | 3,191.66 | Various | 3,161.81 | 0.00 | 29.85 | Sale |
| Security Totals: | | 6,839.76 | | 6,835.33 | | 4.43 | |
| CALL FUBO 01/15/21 45 FUBOTV INC CUSIP: Symbol: FUBO210115C00045000 | | | | | | | |
| 12/30/2020 | 1.00 | 205.90 | 12/28/2020 | 385.08 | 179.18 D | 0.00 | Sell to Close |
| 12/30/2020 | 1.00 | 184.90 | 12/29/2020 | 476.26 | 0.00 | -291.36 | Sell to Close |
| Security Totals: | | 390.80 | | 861.34 | | -291.36 | |
| CALL AAPL 01/22/21 180 APPLE INC CUSIP: Symbol: AAPL210122C00180000 | | | | | | | |
| 12/28/2020 | 4.00 | 63.66 | 12/24/2020 | 72.32 | 0.00 | -8.66 | Sell to Close |
| FISKER INC CLASS A COMMON STOCK CUSIP: 33813J106 Symbol: FSR | | | | | | | |
| 11/02/2020 | 100.00 | 1,101.96 | 11/02/2020 | 1,110.00 | 8.04 D | 0.00 | Sale |
| 11/03/2020 | 65.00 | 751.38 | Various | 729.33 | 0.00 | 22.05 | Sale |
| 11/05/2020 | 80.00 | 871.97 | Various | 882.79 | 10.82 D | 0.00 | Sale |
| 11/06/2020 | 50.00 | 539.97 | Various | 553.31 | 13.34 D | 0.00 | Sale |
| 11/09/2020 | 30.00 | 425.98 | Various | 447.58 | 21.60 D | 0.00 | Sale |
| 11/09/2020 | 40.00 | 505.57 | Various | 522.54 | 16.97 D | 0.00 | Sale |
| 11/09/2020 | 50.00 | 565.47 | Various | 590.83 | 25.36 D | 0.00 | Sale |
| 11/10/2020 | 50.00 | 746.97 | Various | 768.97 | 22.00 D | 0.00 | Sale |
| 11/10/2020 | 50.00 | 740.47 | Various | 768.24 | 27.77 D | 0.00 | Sale |
| 11/10/2020 | 60.00 | 827.97 | Various | 845.05 | 17.08 D | 0.00 | Sale |
| 11/11/2020 | 80.00 | 1,119.16 | Various | 1,166.16 | 47.00 D | 0.00 | Sale |
| 11/13/2020 | 6.00 | 101.26 | Various | 109.63 | 8.37 D | 0.00 | Sale |
| 11/13/2020 | 20.00 | 344.78 | Various | 345.65 | 4.69 D | 3.82 | Sale |
| 11/13/2020 | 20.00 | 346.78 | Various | 300.74 | 0.00 | 46.04 | Sale |
| 11/13/2020 | 34.00 | 595.65 | Various | 623.68 | 28.03 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

5NA77394

(continued)

02/02/2021

SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

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

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|---|-----------------|----------------------|---------------------------|---------------------------------|--|-------------------------|-------------------------|
| FISKER INC CLASS A COMMON STOCK CUSIP: 33813J106 Symbol: FSR | | | | | | | |
| 11/13/2020 | 40.00 | 709.57 | Various | 582.91 | 0.00 | 126.66 | Sale |
| 11/17/2020 | 21.00 | 340.18 | Various | 375.30 | 35.12 D | 0.00 | Sale |
| 11/17/2020 | 41.00 | 685.49 | Various | 745.27 | 59.78 D | 0.00 | Sale |
| 11/18/2020 | 31.00 | 505.89 | Various | 565.55 | 59.66 D | 0.00 | Sale |
| 11/19/2020 | 6.00 | 101.05 | 11/18/2020 | 111.16 | 10.11 D | 0.00 | Sale |
| 11/19/2020 | 11.00 | 183.24 | Various | 197.01 | 13.77 D | 0.00 | Sale |
| 11/19/2020 | 23.00 | 382.70 | Various | 423.49 | 40.79 D | 0.00 | Sale |
| 11/23/2020 | 17.00 | 265.86 | Various | 311.44 | 45.58 D | 0.00 | Sale |
| 11/23/2020 | 48.00 | 777.16 | Various | 901.91 | 124.75 D | 0.00 | Sale |
| 11/24/2020 | 65.00 | 1,053.61 | Various | 1,252.66 | 7.43 D | -191.62 | Sale |
| 12/10/2020 | 2.00 | 30.56 | 12/03/2020 | 42.89 | 0.00 | -12.33 | Sale |
| Security Totals: | | 14,620.65 | | 15,274.09 | | -5.38 | |
| CALL AAPL 02/19/21 170 APPLE INC CUSIP: Symbol: AAPL210219C00170000 | | | | | | | |
| 12/30/2020 | 1.00 | 92.90 | 12/22/2020 | 108.08 | 0.00 | -15.18 | Sell to Close |
| INSU ACQUISITION CORP II CLASS A COMMON STOCK CUSIP: 457821106 Symbol: INAQ | | | | | | | |
| 12/04/2020 | 39.00 | 494.10 | 12/04/2020 | 501.54 | 0.00 | -7.44 | Sale |
| 12/04/2020 | 116.00 | 1,469.24 | 12/04/2020 | 1,491.76 | 0.00 | -22.52 | Sale |
| Security Totals: | | 1,963.34 | | 1,993.30 | | -29.96 | |
| TITAN PHARMACEUTICALS INC COMMON STOCK CUSIP: 888314507 Symbol: TTNP | | | | | | | |
| 11/30/2020 | 4,926.00 | 1,004.78 | 11/30/2020 | 999.98 | 0.00 | 4.80 | Sale |
| HERTZ GLOBAL HOLDINGS INC COMMON STOCK CUSIP: 42806J106 Symbol: HTZ | | | | | | | |
| 10/19/2020 | 100.00 | 227.98 | 10/16/2020 | 246.84 | 0.00 | -18.86 | Sale |
| PUT MARA 01/15/21 11 MARATHON PATENT GROUP INC CUSIP: Symbol: MARA210115P00011000 | | | | | | | |
| 12/31/2020 | 1.00 | 179.90 | 12/30/2020 | 178.08 | 0.00 | 1.82 | Sell to Close |
| ***NAKED BRAND GROUP LIMITED ORDINARY SHARES CUSIP: Q6519T117 Symbol: NAKD | | | | | | | |
| 10/07/2020 | 2,500.00 | 312.19 | 10/06/2020 | 327.50 | 0.00 | -15.31 | Sale |
| 11/19/2020 | 744.00 | 118.20 | 11/19/2020 | 130.05 | 11.85 D | 0.00 | Sale |
| 11/19/2020 | 744.00 | 178.09 | 11/19/2020 | 130.05 | 0.00 | 48.04 | Sale |
| 11/24/2020 | 2,545.00 | 489.34 | Various | 511.43 | 22.09 D | 0.00 | Sale |

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|--|----------|-----------------|--------------------|--------------------------|---|------------------|------------------|
| ***NAKED BRAND GROUP LIMITED ORDINARY SHARES CUSIP: Q6519T117 Symbol: NAKD | | | | | | | |
| 12/21/2020 | 1,299.00 | 233.79 | Various | 264.28 | 30.49 D | 0.00 | Sale |
| 12/23/2020 | 1,300.00 | 258.41 | Various | 259.36 | 3.36 D | 2.41 | Sale |
| Security Totals: | | 1,590.02 | | 1,622.67 | | 35.14 | |
| ***MIDATECH PHARMA PLC SPONSORED ADR NO PAR CUSIP: 59564R302 Symbol: MTP | | | | | | | |
| 10/19/2020 | 200.00 | 497.96 | 10/19/2020 | 558.00 | 0.00 | -60.04 | Sale |
| CALL AAL 02/19/21 20 AMERICAN AIRLINES GROUP INC CUSIP: Symbol: AAL210219C00020000 | | | | | | | |
| 12/14/2020 | 1.00 | 151.90 | 12/09/2020 | 204.08 | 52.18 D | 0.00 | Sell to Close |
| 12/15/2020 | 1.00 | 123.90 | 12/09/2020 | 218.26 | 0.00 | -94.36 | Sell to Close |
| Security Totals: | | 275.80 | | 422.34 | | -94.36 | |
| GEVO INC COMMON STOCK CUSIP: 374396406 Symbol: GEVO | | | | | | | |
| 10/08/2020 | 200.00 | 205.97 | 10/07/2020 | 272.00 | 0.00 | -66.03 | Sale |
| 11/24/2020 | 212.00 | 498.38 | 11/23/2020 | 496.08 | 0.00 | 2.30 | Sale |
| 12/14/2020 | 240.00 | 506.35 | 12/14/2020 | 498.98 | 0.00 | 7.37 | Sale |
| 12/14/2020 | 260.00 | 494.24 | 12/14/2020 | 499.20 | 4.96 D | 0.00 | Sale |
| 12/22/2020 | 223.00 | 653.59 | Various | 606.94 | 0.00 | 46.65 | Sale |
| 12/24/2020 | 749.00 | 2,929.25 | Various | 2,992.18 | 62.93 D | 0.00 | Sale |
| 12/28/2020 | 78.00 | 318.22 | 12/28/2020 | 360.21 | 41.99 D | 0.00 | Sale |
| 12/29/2020 | 72.00 | 311.10 | Various | 386.14 | 75.04 D | 0.00 | Sale |
| 12/31/2020 | 66.00 | 304.97 | Various | 277.02 | 0.00 | 27.95 | Sale |
| 12/31/2020 | 133.00 | 623.73 | Various | 640.51 | 38.19 D | 21.41 | Sale |
| Security Totals: | | 6,845.80 | | 7,029.26 | | 39.65 | |
| CALL FUBO 12/18/20 30 FUBOTV INC CUSIP: Symbol: FUBO201218C00030000 | | | | | | | |
| 12/09/2020 | 1.00 | 289.90 | 12/03/2020 | 255.08 | 0.00 | 34.82 | Sell to Close |
| CALL ACB 01/15/21 9 AURORA CANNABIS INC CUSIP: Symbol: ACB210115C00009000 | | | | | | | |
| 11/30/2020 | 1.00 | 449.90 | 11/18/2020 | 120.08 | 0.00 | 329.82 | Sell to Close |
| PLUG POWER INC CUSIP: 72919P202 Symbol: PLUG | | | | | | | |
| 11/05/2020 | 40.00 | 719.17 | 11/04/2020 | 657.20 | 0.00 | 61.97 | Sale |
| 11/09/2020 | 15.00 | 289.48 | 11/09/2020 | 301.05 | 11.57 D | 0.00 | Sale |
| 11/16/2020 | 7.00 | 159.51 | 11/16/2020 | 173.62 | 0.00 | -14.11 | Sale |

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2020 Form 1099-B*

OMB No. 1545-0715

5NA77394

(continued)

02/02/2021

SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

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|--|----------|-----------------|--------------------|--------------------------|---|------------------|------------------|
| PLUG POWER INC CUSIP: 72919P202 Symbol: PLUG | | | | | | | |
| 11/16/2020 | 20.00 | 487.97 | Various | 509.77 | 21.80 D | 0.00 | Sale |
| 11/16/2020 | 21.00 | 476.46 | Various | 523.00 | 2.22 D | -44.32 | Sale |
| 11/20/2020 | 12.00 | 287.38 | Various | 288.50 | 0.00 | -1.12 | Sale |
| 12/16/2020 | 1.00 | 27.81 | 12/15/2020 | 29.56 | 1.75 D | 0.00 | Sale |
| 12/21/2020 | 5.00 | 150.58 | Various | 164.70 | 14.12 D | 0.00 | Sale |
| 12/22/2020 | 5.00 | 177.74 | 12/21/2020 | 162.95 | 0.00 | 14.79 | Sale |
| 12/23/2020 | 9.00 | 321.03 | Various | 349.64 | 28.61 D | 0.00 | Sale |
| Security Totals: | | 3,097.13 | | 3,159.99 | | 17.21 | |
| FORD MOTOR CO PAR \$0.01 CUSIP: 345370860 Symbol: F | | | | | | | |
| 12/22/2020 | 16.00 | 143.66 | Various | 143.20 | 0.00 | 0.46 | Sale |
| DESTINATION XL GROUP INC COMMON STOCK CUSIP: 25065K104 Symbol: DXLG | | | | | | | |
| 11/09/2020 | 642.00 | 240.66 | 11/09/2020 | 254.06 | 0.00 | -13.40 | Sale |
| 11/09/2020 | 1,000.00 | 324.79 | 11/09/2020 | 333.90 | 9.11 D | 0.00 | Sale |
| 11/09/2020 | 1,000.00 | 359.87 | 11/09/2020 | 373.61 | 8.82 D | -4.92 | Sale |
| Security Totals: | | 925.32 | | 961.57 | | -18.32 | |
| CALL RKT 12/18/20 22 ROCKET COMPANIES INC CL A CUSIP: Symbol: RKT201218C00022000 | | | | | | | |
| 12/14/2020 | 3.00 | 155.74 | 12/09/2020 | 132.24 | 0.00 | 23.50 | Sell to Close |
| CALL UEC 01/15/21 2 URANIUM ENERGY CORP CUSIP: Symbol: UEC210115C00002000 | | | | | | | |
| 12/14/2020 | 2.00 | 33.82 | 12/09/2020 | 20.16 | 0.00 | 13.66 | Sell to Close |
| 12/14/2020 | 8.00 | 135.32 | 12/09/2020 | 80.65 | 0.00 | 54.67 | Sell to Close |
| Security Totals: | | 169.14 | | 100.81 | | 68.33 | |
| PENNSYLVANIA REAL ESTATE INVESTMENT TRUST-SBI CUSIP: 709102107 Symbol: PEI | | | | | | | |
| 10/16/2020 | 400.00 | 247.94 | 10/15/2020 | 323.68 | 75.74 D | 0.00 | Sale |
| 10/27/2020 | 400.00 | 263.94 | 10/26/2020 | 371.74 | 0.00 | -107.80 | Sale |
| 12/11/2020 | 735.00 | 868.15 | 12/11/2020 | 999.60 | 52.04 D | -79.41 | Sale |
| 12/14/2020 | 291.00 | 317.15 | 12/14/2020 | 401.24 | 0.00 | -84.09 | Sale |
| Security Totals: | | 1,697.18 | | 2,096.26 | | -271.30 | |

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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 |
|---|----------|-----------------|--------------------|--------------------------|---|------------------|------------------|
| PUT NIO 11/20/20 40 NIO INC ADS CUSIP: Symbol: NIO201120P00040000 | | | | | | | |
| 11/13/2020 | 1.00 | 310.90 | 11/13/2020 | 395.08 | 0.00 | -84.18 | Sell to Close |
| MUSCLE MAKER INC COMMON STOCK CUSIP: 627333107 Symbol: GRIL | | | | | | | |
| 10/08/2020 | 21.00 | 34.00 | 10/07/2020 | 42.84 | 8.84 D | 0.00 | Sale |
| 10/08/2020 | 99.00 | 154.42 | 10/07/2020 | 201.96 | 47.54 D | 0.00 | Sale |
| 10/26/2020 | 400.00 | 867.93 | Various | 758.37 | 4 D | 113.56 | Sale |
| 11/03/2020 | 300.00 | 533.94 | Various | 610.00 | 76.06 D | 0.00 | Sale |
| 11/04/2020 | 250.00 | 477.45 | Various | 549.05 | 71.60 D | 0.00 | Sale |
| 11/16/2020 | 170.00 | 345.26 | Various | 396.77 | 51.51 D | 0.00 | Sale |
| 11/19/2020 | 153.00 | 302.91 | Various | 341.06 | 38.15 D | 0.00 | Sale |
| 12/09/2020 | 453.00 | 928.57 | Various | 1,080.40 | 0.00 | -151.83 | Sale |
| Security Totals: | | 3,644.48 | | 3,980.45 | | -38.27 | |
| ***FORESIGHT AUTONOMOUS HOLDINGS LTD AMERICAN DEPOSITARY SHARES CUSIP: 345523104 Symbol: FRXS | | | | | | | |
| 12/04/2020 | 203.00 | 318.68 | 12/04/2020 | 345.10 | 0.00 | -26.42 | Sale |
| CALL SOLO 11/20/20 7.50 ELECTROMECCANICA VEHICLES CORP CUSIP: Symbol: SOLO201120C00007500 | | | | | | | |
| 11/19/2020 | 1.00 | 134.90 | 11/17/2020 | 35.08 | 0.00 | 99.82 | Sell to Close |
| UNIVERSAL SECURITY INSTRUMENTS INC CUSIP: 913821302 Symbol: UUU | | | | | | | |
| 12/28/2020 | 14.00 | 79.36 | 12/28/2020 | 73.64 | 0.00 | 5.72 | Sale |
| 12/28/2020 | 28.00 | 171.62 | 12/28/2020 | 147.28 | 0.00 | 24.34 | Sale |
| 12/28/2020 | 56.00 | 349.98 | 12/28/2020 | 294.56 | 0.00 | 55.42 | Sale |
| 12/28/2020 | 78.00 | 358.78 | 12/28/2020 | 342.42 | 0.00 | 16.36 | Sale |
| 12/29/2020 | 7.00 | 68.44 | 12/29/2020 | 89.44 | 0.00 | -21.00 | Sale |
| 12/29/2020 | 15.00 | 107.65 | Various | 193.69 | 0.00 | -86.04 | Sale |
| 12/29/2020 | 15.00 | 129.88 | 12/28/2020 | 78.90 | 0.00 | 50.98 | Sale |
| 12/29/2020 | 28.00 | 279.14 | Various | 311.80 | 24.79 D | -7.87 | Sale |
| Security Totals: | | 1,544.85 | | 1,531.73 | | 37.91 | |
| ELECTRO-SENSORS INC CUSIP: 285233102 Symbol: ELSE | | | | | | | |
| 10/07/2020 | 50.00 | 330.98 | 10/06/2020 | 276.75 | 0.00 | 54.23 | Sale |

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APEX CLEARING

Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B*

OMB No. 1545-0715

5NA77394

(continued)

02/02/2021

SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

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

Box 2: Type of Gain or Loss - Short-Term (unless indicated as Ordinary in Additional Notes Column)**Box 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 |
|---|-----------------|----------------------|---------------------------|---------------------------------|--|-------------------------|-------------------------|
| ELECTRO-SENSORS INC CUSIP: 285233102 Symbol: ELSE | | | | | | | |
| 10/30/2020 | 100.00 | 379.98 | 10/29/2020 | 430.00 | 0.00 | -50.02 | Sale |
| Security Totals: | | 710.96 | | 706.75 | | 4.21 | |
| ***SEANERGY MARITIME HOLDINGS CORP COMMON STOCK CUSIP: Y73760194 Symbol: SHIP | | | | | | | |
| 10/29/2020 | 1,000.00 | 470.56 | 10/28/2020 | 540.30 | 69.74 D | 0.00 | Sale |
| 11/12/2020 | 1,000.00 | 481.37 | 11/11/2020 | 559.44 | 78.07 D | 0.00 | Sale |
| 11/12/2020 | 1,000.00 | 481.75 | 11/12/2020 | 578.31 | 96.56 D | 0.00 | Sale |
| 11/12/2020 | 1,000.00 | 482.16 | 11/11/2020 | 489.70 | 7.54 D | 0.00 | Sale |
| 12/04/2020 | 1,222.00 | 692.22 | Various | 821.57 | 129.35 D | 0.00 | Sale |
| 12/04/2020 | 1,223.00 | 687.65 | Various | 849.04 | 161.39 D | 0.00 | Sale |
| 12/10/2020 | 1,818.00 | 896.21 | Various | 1,189.54 | 293.33 D | 0.00 | Sale |
| 12/15/2020 | 1,898.00 | 968.67 | Various | 1,300.66 | 0.00 | -331.99 | Sale |
| 12/15/2020 | 1,898.00 | 945.13 | Various | 1,011.45 | 0.00 | -66.32 | Sale |
| Security Totals: | | 6,105.72 | | 7,340.01 | | -398.31 | |
| SUNWORKS INC COMMON STOCK CUSIP: 86803X204 Symbol: SUNW | | | | | | | |
| 11/04/2020 | 150.00 | 412.47 | 11/03/2020 | 426.00 | 13.53 D | 0.00 | Sale |
| 11/05/2020 | 200.00 | 573.96 | Various | 611.53 | 37.57 D | 0.00 | Sale |
| 11/09/2020 | 100.00 | 347.98 | Various | 389.04 | 41.06 D | 0.00 | Sale |
| 11/09/2020 | 250.00 | 912.44 | Various | 887.07 | 30.04 D | 55.41 | Sale |
| 11/16/2020 | 25.00 | 100.48 | 11/16/2020 | 94.50 | 0.00 | 5.98 | Sale |
| 11/16/2020 | 74.00 | 293.76 | Various | 278.74 | 0.00 | 15.02 | Sale |
| 11/16/2020 | 99.00 | 369.27 | Various | 367.41 | 2.03 D | 3.89 | Sale |
| 11/20/2020 | 102.00 | 609.93 | Various | 559.35 | 10.05 D | 60.63 | Sale |
| 11/20/2020 | 114.00 | 659.02 | Various | 704.40 | 45.38 D | 0.00 | Sale |
| 11/20/2020 | 129.00 | 728.95 | Various | 550.16 | 0.00 | 178.79 | Sale |
| 11/20/2020 | 66.00 | 370.24 | Various | 453.76 | 83.52 D | 0.00 | Sale |
| 11/20/2020 | 157.00 | 879.16 | Various | 1,025.30 | 146.14 D | 0.00 | Sale |
| 11/23/2020 | 46.00 | 316.46 | Various | 250.01 | 0.00 | 66.45 | Sale |
| 11/23/2020 | 183.00 | 1,260.82 | Various | 1,233.64 | 8.78 D | 35.96 | 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)

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|--|----------|------------------|--------------------|--------------------------|---|------------------|------------------|
| SUNWORKS INC COMMON STOCK CUSIP: 86803X204 Symbol: SUNW | | | | | | | |
| 11/24/2020 | 173.00 | 1,255.93 | Various | 1,284.47 | 38.81 D | 10.27 | Sale |
| 11/24/2020 | 16.00 | 115.18 | Various | 86.30 | 0.00 | 28.88 | Sale |
| 12/01/2020 | 147.00 | 690.86 | Various | 787.04 | 96.18 D | 0.00 | Sale |
| 12/07/2020 | 215.00 | 1,012.59 | 12/07/2020 | 989.00 | 0.00 | 23.59 | Sale |
| 12/07/2020 | 215.00 | 928.74 | Various | 1,085.18 | 156.44 D | 0.00 | Sale |
| 12/23/2020 | 192.00 | 934.99 | Various | 1,037.41 | 102.42 D | 0.00 | Sale |
| 12/23/2020 | 192.00 | 967.63 | Various | 1,035.18 | 73.08 D | 5.53 | Sale |
| 12/28/2020 | 39.00 | 207.07 | Various | 223.34 | 16.27 D | 0.00 | Sale |
| Security Totals: | | 13,947.93 | | 14,358.83 | | 490.40 | |
| AQUA METALS INC COM CUSIP: 03837J101 Symbol: AQMS | | | | | | | |
| 12/22/2020 | 124.00 | 298.96 | 12/22/2020 | 292.50 | 0.00 | 6.46 | Sale |
| 12/22/2020 | 248.00 | 602.86 | 12/22/2020 | 585.01 | 0.00 | 17.85 | Sale |
| 12/22/2020 | 439.00 | 974.50 | Various | 1,004.53 | 30.03 D | 0.00 | Sale |
| 12/22/2020 | 125.00 | 292.62 | 12/22/2020 | 294.86 | 2.24 D | 0.00 | Sale |
| 12/22/2020 | 464.00 | 1,040.99 | Various | 952.64 | 0.00 | 88.35 | Sale |
| 12/22/2020 | 497.00 | 1,207.62 | Various | 1,196.69 | 8.31 D | 19.24 | Sale |
| 12/24/2020 | 1,586.00 | 3,791.37 | Various | 3,991.63 | 200.26 D | 0.00 | Sale |
| 12/28/2020 | 96.00 | 323.50 | Various | 318.61 | 0.00 | 4.89 | Sale |
| 12/28/2020 | 273.00 | 737.05 | Various | 783.41 | 46.36 D | 0.00 | Sale |
| 12/28/2020 | 294.00 | 1,011.30 | Various | 830.76 | 0.00 | 180.54 | Sale |
| 12/28/2020 | 576.00 | 1,952.52 | Various | 1,934.84 | 0.00 | 17.68 | Sale |
| Security Totals: | | 12,233.29 | | 12,185.48 | | 335.01 | |
| MARATHON PATENT GROUP INC COMMON STOCK CUSIP: 56585W401 Symbol: MARA | | | | | | | |
| 10/22/2020 | 109.00 | 331.34 | 10/21/2020 | 352.07 | 20.73 D | 0.00 | Sale |
| 11/18/2020 | 67.00 | 229.12 | 11/18/2020 | 257.30 | 28.18 D | 0.00 | Sale |
| 11/18/2020 | 68.00 | 223.70 | Various | 271.89 | 48.19 D | 0.00 | Sale |
| 11/27/2020 | 158.00 | 663.56 | Various | 914.36 | 250.80 D | 0.00 | Sale |
| 12/01/2020 | 37.00 | 236.41 | 11/30/2020 | 310.42 | 74.01 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

5NA77394

(continued)

02/02/2021

SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

Report on Form 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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|---|----------|------------------|--------------------|--------------------------|---|------------------|------------------|
| MARATHON PATENT GROUP INC COMMON STOCK CUSIP: 56585W401 Symbol: MARA | | | | | | | |
| 12/01/2020 | 38.00 | 227.60 | Various | 324.93 | 97.33 D | 0.00 | Sale |
| 12/09/2020 | 41.00 | 198.83 | Various | 313.09 | 114.26 D | 0.00 | Sale |
| 12/09/2020 | 42.00 | 211.24 | Various | 345.58 | 134.34 D | 0.00 | Sale |
| 12/09/2020 | 100.00 | 474.97 | Various | 744.57 | 269.60 D | 0.00 | Sale |
| 12/14/2020 | 62.00 | 335.50 | Various | 516.20 | 180.70 D | 0.00 | Sale |
| 12/15/2020 | 174.00 | 1,210.99 | Various | 1,611.22 | 408.38 D | 8.15 | Sale |
| 12/15/2020 | 175.00 | 1,237.20 | Various | 1,522.47 | 301.38 D | 16.11 | Sale |
| 12/16/2020 | 40.00 | 345.98 | Various | 437.37 | 91.39 D | 0.00 | Sale |
| 12/16/2020 | 41.00 | 334.13 | Various | 451.04 | 116.91 D | 0.00 | Sale |
| 12/16/2020 | 236.00 | 1,942.25 | Various | 2,276.32 | 334.07 D | 0.00 | Sale |
| 12/16/2020 | 315.00 | 2,551.40 | Various | 2,804.51 | 284.48 D | 31.37 | Sale |
| 12/17/2020 | 101.00 | 966.53 | Various | 1,148.04 | 181.51 D | 0.00 | Sale |
| 12/21/2020 | 12.00 | 112.54 | 12/21/2020 | 123.84 | 11.3 D | 0.00 | Sale |
| 12/21/2020 | 39.00 | 357.22 | Various | 438.73 | 81.51 D | 0.00 | Sale |
| 12/21/2020 | 17.00 | 157.74 | 12/21/2020 | 175.44 | 17.7 D | 0.00 | Sale |
| 12/22/2020 | 18.00 | 248.92 | Various | 240.96 | 0.96 D | 8.92 | Sale |
| 12/22/2020 | 24.00 | 332.62 | Various | 343.24 | 10.62 D | 0.00 | Sale |
| 12/22/2020 | 25.00 | 342.73 | Various | 394.49 | 51.76 D | 0.00 | Sale |
| 12/22/2020 | 29.00 | 377.85 | Various | 426.76 | 48.91 D | 0.00 | Sale |
| 12/22/2020 | 56.00 | 757.70 | Various | 775.95 | 20.32 D | 2.07 | Sale |
| 12/22/2020 | 97.00 | 1,250.38 | Various | 1,484.84 | 234.46 D | 0.00 | Sale |
| 12/28/2020 | 76.00 | 1,065.48 | Various | 1,288.28 | 222.80 D | 0.00 | Sale |
| 12/31/2020 | 20.00 | 213.18 | Various | 334.65 | 121.47 D | 0.00 | Sale |
| Security Totals: | | 16,937.11 | | 20,628.56 | | 66.62 | |
| CALL IPOC 01/15/21 15 SOCIAL CPTL HDSPH HLDNGS CORP CUSIP: Symbol: IPOC210115C00015000 | | | | | | | |
| 12/16/2020 | 1.00 | 74.90 | 12/08/2020 | 140.08 | 65.18 D | 0.00 | Sell to Close |
| CALL IPOC 01/15/21 12.50 SOCIAL CPTL HDSPH HLDNGS CORP CUSIP: Symbol: IPOC210115C00012500 | | | | | | | |
| 12/17/2020 | 2.00 | 189.82 | Various | 330.16 | 0.00 | -140.34 | Sell to Close |

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APEX CLEARING

Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B*

OMB No. 1545-0715

5NA77394

(continued)

02/02/2021

SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

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

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

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|--|----------|-----------------|--------------------|--------------------------|---|------------------|------------------|
| PUT NIO 11/20/20 42.50 NIO INC ADS CUSIP: Symbol: NIO201120P00042500 | | | | | | | |
| 11/13/2020 | 1.00 | 390.90 | 11/13/2020 | 470.08 | 0.00 | -79.18 | Sell to Close |
| CALL AAPL 12/18/20 122.50 APPLE INC ADJ 4:1 STOCK SPLIT CUSIP: Symbol: AAPL201218C00122500 | | | | | | | |
| 12/14/2020 | 1.00 | 191.90 | 12/10/2020 | 198.08 | 0.00 | -6.18 | Sell to Close |
| VAXART INC COMMON STOCK CUSIP: 92243A200 Symbol: VXRT | | | | | | | |
| 11/11/2020 | 200.00 | 944.17 | 11/11/2020 | 977.42 | 0.00 | -33.25 | Sale |
| 11/11/2020 | 500.00 | 2,135.44 | 11/11/2020 | 2,204.55 | 27.64 D | -41.47 | Sale |
| 11/11/2020 | 546.00 | 2,271.84 | 11/11/2020 | 2,194.92 | 0.00 | 76.92 | Sale |
| 11/11/2020 | 546.00 | 2,227.57 | Various | 2,274.37 | 49.55 D | 2.75 | Sale |
| Security Totals: | | 7,579.02 | | 7,651.26 | | 4.95 | |
| CALL NNDM 01/15/21 7.50 NANO DIMENSION LTD ADS CUSIP: Symbol: NNDM210115C00007500 | | | | | | | |
| 12/10/2020 | 3.00 | 344.74 | Various | 365.24 | 0.00 | -20.50 | Sell to Close |
| BLOOM ENERGY CORPORATION CLASS A COMMON STOCK CUSIP: 093712107 Symbol: BE | | | | | | | |
| 10/02/2020 | 15.00 | 235.78 | 10/01/2020 | 250.95 | 15.17 D | 0.00 | Sale |
| 10/05/2020 | 30.00 | 531.87 | Various | 497.87 | 0.00 | 34.00 | Sale |
| 11/04/2020 | 25.00 | 352.98 | 11/03/2020 | 364.25 | 11.27 D | 0.00 | Sale |
| 11/09/2020 | 30.00 | 464.67 | Various | 481.37 | 0.63 D | -16.07 | Sale |
| 12/09/2020 | 1.00 | 26.65 | 12/08/2020 | 31.08 | 0.00 | -4.43 | Sale |
| Security Totals: | | 1,611.95 | | 1,625.52 | | 13.50 | |
| CALL FSR 12/18/20 17.50 FISKER INC CL A CUSIP: Symbol: FSR201218C00017500 | | | | | | | |
| 12/10/2020 | 1.00 | 39.91 | 12/04/2020 | 105.08 | 0.00 | -65.17 | Sell to Close |
| PFIZER INC CUSIP: 717081103 Symbol: PFE | | | | | | | |
| 11/09/2020 | 13.00 | 509.31 | 11/09/2020 | 531.96 | 22.65 D | 0.00 | Sale |
| 11/10/2020 | 20.00 | 799.37 | Various | 821.25 | 22.15 D | 0.27 | Sale |
| 11/11/2020 | 15.00 | 586.02 | Various | 610.30 | 24.28 D | 0.00 | Sale |
| 11/20/2020 | 12.00 | 441.58 | 11/18/2020 | 461.93 | 20.35 D | 0.00 | Sale |
| 11/24/2020 | 13.00 | 473.56 | Various | 492.89 | 0.00 | -19.33 | Sale |
| 12/14/2020 | 2.00 | 78.74 | 12/08/2020 | 86.69 | 0.00 | -7.95 | Sale |
| Security Totals: | | 2,888.58 | | 3,005.02 | | -27.01 | |

SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

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|--|----------|-----------------|--------------------|--------------------------|---|------------------|------------------|
| ***GREENPOWER MOTOR COMPANY INC COM CUSIP: 39540E302 Symbol: GP | | | | | | | |
| 12/24/2020 | 8.00 | 180.86 | 12/24/2020 | 187.36 | 0.00 | -6.50 | Sale |
| CALL NIO 12/18/20 43.50 NIO INC ADS CUSIP: Symbol: NIO201218C00043500 | | | | | | | |
| 12/15/2020 | 1.00 | 113.90 | 12/15/2020 | 140.08 | 0.00 | -26.18 | Sell to Close |
| DMY TECHNOLOGY GROUP INC II CLASS A COMMON STOCK CUSIP: 233277102 Symbol: DMYD | | | | | | | |
| 12/11/2020 | 163.00 | 2,121.21 | Various | 2,250.10 | 128.89 D | 0.00 | Sale |
| 12/14/2020 | 50.00 | 660.47 | 12/11/2020 | 690.60 | 30.13 D | 0.00 | Sale |
| 12/14/2020 | 104.00 | 1,368.59 | Various | 1,457.96 | 72.84 D | -16.53 | Sale |
| 12/18/2020 | 26.00 | 398.30 | 12/17/2020 | 384.87 | 0.00 | 13.43 | Sale |
| 12/18/2020 | 29.00 | 433.82 | Various | 439.65 | 0.00 | -5.83 | Sale |
| 12/28/2020 | 21.00 | 353.34 | Various | 368.67 | 0.00 | -15.33 | Sale |
| 12/28/2020 | 21.00 | 363.28 | Various | 362.23 | 0.00 | 1.05 | Sale |
| 12/29/2020 | 39.00 | 619.29 | 12/29/2020 | 686.58 | 0.00 | -67.29 | Sale |
| Security Totals: | | 6,318.30 | | 6,640.66 | | -90.50 | |
| ORBITAL ENERGY GROUP INC COMMON STOCK CUSIP: 68559A109 Symbol: OEG | | | | | | | |
| 10/08/2020 | 200.00 | 339.97 | Various | 247.00 | 0.00 | 92.97 | Sale |
| 11/19/2020 | 468.00 | 364.97 | 11/16/2020 | 349.69 | 0.00 | 15.28 | Sale |
| 11/23/2020 | 751.00 | 984.52 | 11/23/2020 | 998.83 | 6.17 D | -8.14 | Sale |
| 12/01/2020 | 324.00 | 401.71 | 11/27/2020 | 505.13 | 103.42 D | 0.00 | Sale |
| 12/24/2020 | 129.00 | 196.05 | 12/24/2020 | 239.84 | 43.79 D | 0.00 | Sale |
| 12/28/2020 | 154.00 | 310.28 | Various | 253.06 | 0.00 | 57.22 | Sale |
| 12/28/2020 | 167.00 | 362.36 | 12/28/2020 | 380.76 | 18.4 D | 0.00 | Sale |
| 12/28/2020 | 205.00 | 420.45 | Various | 352.63 | 0.00 | 67.82 | Sale |
| 12/28/2020 | 334.00 | 714.70 | Various | 724.54 | 35.83 D | 25.99 | Sale |
| 12/28/2020 | 410.00 | 770.81 | Various | 778.43 | 28.26 D | 20.64 | Sale |
| 12/29/2020 | 30.00 | 69.88 | 12/29/2020 | 74.98 | 5.1 D | 0.00 | Sale |
| 12/29/2020 | 135.00 | 326.67 | Various | 350.68 | 24.01 D | 0.00 | Sale |
| 12/29/2020 | 181.00 | 432.60 | Various | 473.36 | 40.76 D | 0.00 | Sale |
| 12/29/2020 | 270.00 | 656.05 | Various | 664.03 | 11.80 D | 3.82 | Sale |

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APEX CLEARING

Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B*

OMB No. 1545-0715

5NA77394

(continued)

02/02/2021

SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

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

Box 2: Type of Gain or Loss - Short-Term (unless indicated as Ordinary in Additional Notes Column)**Box 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 |
|---|-----------------|----------------------|---------------------------|---------------------------------|--|-------------------------|-------------------------|
| ORBITAL ENERGY GROUP INC COMMON STOCK CUSIP: 68559A109 Symbol: OEG | | | | | | | |
| 12/31/2020 | 452.00 | 917.48 | Various | 1,158.39 | 240.91 D | 0.00 | Sale |
| Security Totals: | | 7,268.50 | | 7,551.35 | | 275.60 | |
| NEW CONCEPT ENERGY INC CUSIP: 643611106 Symbol: GBR | | | | | | | |
| 12/29/2020 | 34.00 | 76.14 | 12/29/2020 | 87.04 | 0.00 | -10.90 | Sale |
| 12/29/2020 | 101.00 | 288.83 | 12/29/2020 | 258.56 | 0.00 | 30.27 | Sale |
| Security Totals: | | 364.97 | | 345.60 | | 19.37 | |
| AMPLIFY ENERGY CORP COMMON STOCK CUSIP: 03212B103 Symbol: AMPY | | | | | | | |
| 12/18/2020 | 230.00 | 335.76 | 12/17/2020 | 349.60 | 0.00 | -13.84 | Sale |
| CALL SYBX 12/18/20 5 SYNLOGIC INC CUSIP: Symbol: SYBX201218C00005000 | | | | | | | |
| 12/03/2020 | 1.00 | 5.90 | 11/25/2020 | 80.08 | 0.00 | -74.18 | Sell to Close |
| 12/03/2020 | 1.00 | 4.90 | 11/25/2020 | 80.08 | 0.00 | -75.18 | Sell to Close |
| Security Totals: | | 10.80 | | 160.16 | | -149.36 | |
| BIG ROCK PARTNERS ACQUISITION CORP COMMON STOCK CUSIP: 089482103 Symbol: BRPA | | | | | | | |
| 12/22/2020 | 3.00 | 212.59 | 12/22/2020 | 225.78 | 0.00 | -13.19 | Sale |
| 12/22/2020 | 3.00 | 192.97 | 12/22/2020 | 225.78 | 0.00 | -32.81 | Sale |
| Security Totals: | | 405.56 | | 451.56 | | -46.00 | |
| ACAMAR PARTNERS ACQUISITION CORP CLASS A COMMON STOCK CUSIP: 004285102 Symbol: ACAM | | | | | | | |
| 12/31/2020 | 62.00 | 696.92 | 12/30/2020 | 697.50 | 0.58 D | 0.00 | Sale |
| PUT LAZR 12/18/20 25 LUMINAR TECHNOLOGIES INC CL A CUSIP: Symbol: LAZR201218P00025000 | | | | | | | |
| 12/15/2020 | 1.00 | 239.90 | 12/15/2020 | 170.08 | 0.00 | 69.82 | Sell to Close |
| 12/15/2020 | 2.00 | 429.82 | 12/15/2020 | 340.16 | 0.00 | 89.66 | Sell to Close |
| Security Totals: | | 669.72 | | 510.24 | | 159.48 | |
| PIONEER POWER SOLUTIONS INC CUSIP: 723836300 Symbol: PPSI | | | | | | | |
| 10/08/2020 | 50.00 | 288.48 | 10/07/2020 | 345.00 | 0.00 | -56.52 | Sale |
| 12/04/2020 | 26.00 | 132.35 | 12/04/2020 | 134.42 | 0.00 | -2.07 | Sale |
| 12/04/2020 | 77.00 | 390.45 | Various | 385.85 | 0.00 | 4.60 | Sale |
| 12/04/2020 | 103.00 | 530.42 | Various | 473.60 | 0.00 | 56.82 | Sale |
| Security Totals: | | 1,341.70 | | 1,338.87 | | 2.83 | |

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APEX CLEARING

Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B*

OMB No. 1545-0715

5NA77394

(continued)

02/02/2021

SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

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

Box 2: Type of Gain or Loss - Short-Term (unless indicated as Ordinary in Additional Notes Column)**Box 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 |
|--|-----------------|----------------------|---------------------------|---------------------------------|--|-------------------------|-------------------------|
| ***BORQS TECHNOLOGIES INC ORDINARY SHARES CUSIP: G1466B103 Symbol: BRQS | | | | | | | |
| 11/18/2020 | 576.00 | 593.19 | 11/18/2020 | 598.41 | 5.22 D | 0.00 | Sale |
| 11/27/2020 | 951.00 | 1,064.98 | Various | 1,180.11 | 40.96 D | -74.17 | Sale |
| 11/30/2020 | 192.00 | 207.33 | Various | 246.75 | 0.00 | -39.42 | Sale |
| 11/30/2020 | 125.00 | 137.48 | 11/27/2020 | 167.40 | 0.00 | -29.92 | Sale |
| Security Totals: | | 2,002.98 | | 2,192.67 | | -143.51 | |
| INVIVO THERAPEUTICS HOLDINGS CORP COMMON STOCK CUSIP: 46186M506 Symbol: NVIV | | | | | | | |
| 12/30/2020 | 443.00 | 359.83 | Various | 358.31 | 5.23 D | 6.75 | Sale |
| ***JUMIA TECHNOLOGIES AG AMERICAN DEPOSITARY SHARES ECH REPRESENTING TWO ORDINARY SHS CUSIP: 48138M105 Symbol: JMIA | | | | | | | |
| 11/18/2020 | 29.00 | 573.07 | Various | 525.20 | 0.00 | 47.87 | Sale |
| 11/19/2020 | 8.00 | 187.50 | 11/19/2020 | 172.72 | 0.00 | 14.78 | Sale |
| 11/19/2020 | 21.00 | 482.60 | Various | 406.19 | 0.00 | 76.41 | Sale |
| 11/19/2020 | 19.00 | 380.17 | Various | 352.58 | 0.00 | 27.59 | Sale |
| 11/23/2020 | 16.00 | 472.77 | 11/23/2020 | 474.24 | 1.47 D | 0.00 | Sale |
| 11/24/2020 | 25.00 | 764.97 | Various | 755.53 | 2.35 D | 11.79 | Sale |
| 11/27/2020 | 18.00 | 687.12 | Various | 730.81 | 43.69 D | 0.00 | Sale |
| 11/30/2020 | 6.00 | 216.04 | 11/27/2020 | 242.82 | 26.78 D | 0.00 | Sale |
| 12/03/2020 | 3.00 | 96.22 | 12/03/2020 | 100.20 | 3.98 D | 0.00 | Sale |
| 12/03/2020 | 11.00 | 351.65 | Various | 390.63 | 38.98 D | 0.00 | Sale |
| 12/03/2020 | 14.00 | 465.75 | Various | 514.84 | 49.09 D | 0.00 | Sale |
| 12/03/2020 | 21.00 | 696.96 | Various | 797.28 | 100.32 D | 0.00 | Sale |
| 12/04/2020 | 8.00 | 268.72 | Various | 297.19 | 28.47 D | 0.00 | Sale |
| 12/11/2020 | 30.00 | 1,143.26 | Various | 1,312.89 | 169.63 D | 0.00 | Sale |
| 12/28/2020 | 27.00 | 1,186.88 | Various | 1,320.38 | 133.50 D | 0.00 | Sale |
| 12/28/2020 | 36.00 | 1,582.15 | Various | 1,732.75 | 156.53 D | 5.93 | Sale |
| Security Totals: | | 9,555.83 | | 10,126.25 | | 184.37 | |
| ***MAGNA INTERNATIONAL INC COM CUSIP: 559222401 Symbol: MGA | | | | | | | |
| 12/23/2020 | 4.00 | 319.58 | 12/23/2020 | 342.88 | 0.00 | -23.30 | Sale |

APEX CLEARING

Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B*

OMB No. 1545-0715

5NA77394

(continued)

02/02/2021

SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

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

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|---|-----------------|----------------------|---------------------------|---------------------------------|--|-------------------------|-------------------------|
| GAMESTOP CORP CLASS A CUSIP: 36467W109 Symbol: GME | | | | | | | |
| 10/09/2020 | 10.00 | 138.98 | 10/08/2020 | 139.50 | 0.00 | -0.52 | Sale |
| 12/24/2020 | 11.00 | 229.66 | 12/24/2020 | 234.74 | 0.00 | -5.08 | Sale |
| Security Totals: | | 368.64 | | 374.24 | | -5.60 | |
| ENTASIS THERAPEUTICS HOLDINGS INC COMMON STOCK CUSIP: 293614103 Symbol: ETTX | | | | | | | |
| 10/16/2020 | 150.00 | 370.62 | 10/15/2020 | 318.00 | 0.00 | 52.62 | Sale |
| 10/19/2020 | 200.00 | 421.97 | 10/16/2020 | 430.00 | 0.00 | -8.03 | Sale |
| Security Totals: | | 792.59 | | 748.00 | | 44.59 | |
| CALL QEP 01/15/21 3 QEP RESOURCES INC CUSIP: Symbol: QEP210115C00003000 | | | | | | | |
| 12/15/2020 | 4.00 | 39.66 | 12/09/2020 | 80.32 | 0.00 | -40.66 | Sell to Close |
| CYCLERION THERAPEUTICS INC COMMON STOCK CUSIP: 23255M105 Symbol: CYCN | | | | | | | |
| 10/15/2020 | 70.00 | 215.18 | 10/14/2020 | 233.02 | 0.00 | -17.84 | Sale |
| HEAT BIOLOGICS INC COMMON STOCK CUSIP: 42237K300 Symbol: HTBX | | | | | | | |
| 10/14/2020 | 300.00 | 404.95 | 10/13/2020 | 403.50 | 0.00 | 1.45 | Sale |
| 12/09/2020 | 1,432.00 | 1,517.71 | Various | 1,521.53 | 0.00 | -3.82 | Sale |
| Security Totals: | | 1,922.66 | | 1,925.03 | | -2.37 | |
| CALL ARKW 11/20/20 125 ARK ETF TR ARK NXT GEN INTRNT CUSIP: Symbol: ARKW201120C00125000 | | | | | | | |
| 11/18/2020 | 1.00 | 4.90 | 11/06/2020 | 330.08 | 0.00 | -325.18 | Sell to Close |
| ***DIGINEX LIMITED ORDINARY SHARES CUSIP: Y2074E109 Symbol: EQOS | | | | | | | |
| 12/16/2020 | 35.00 | 344.73 | Various | 400.40 | 55.67 D | 0.00 | Sale |
| 12/16/2020 | 35.00 | 337.73 | Various | 397.22 | 59.49 D | 0.00 | Sale |
| 12/16/2020 | 44.00 | 480.01 | 12/16/2020 | 495.83 | 15.82 D | 0.00 | Sale |
| 12/17/2020 | 28.00 | 342.49 | 12/17/2020 | 321.39 | 0.00 | 21.10 | Sale |
| 12/17/2020 | 81.00 | 989.78 | 12/17/2020 | 929.73 | 0.00 | 60.05 | Sale |
| 12/17/2020 | 109.00 | 1,311.23 | 12/17/2020 | 1,251.13 | 0.00 | 60.10 | Sale |
| 12/17/2020 | 217.00 | 2,627.22 | Various | 2,561.71 | 43.27 D | 108.78 | Sale |
| 12/22/2020 | 24.00 | 290.62 | Various | 311.06 | 20.44 D | 0.00 | Sale |
| 12/28/2020 | 8.00 | 121.59 | 12/28/2020 | 123.92 | 2.33 D | 0.00 | Sale |
| 12/28/2020 | 26.00 | 370.22 | 12/28/2020 | 402.73 | 32.51 D | 0.00 | Sale |
| 12/28/2020 | 47.00 | 764.19 | Various | 751.49 | 0.27 D | 12.97 | Sale |

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APEX CLEARING

Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B*

OMB No. 1545-0715

5NA77394

(continued)

02/02/2021

SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

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

Box 2: Type of Gain or Loss - Short-Term (unless indicated as Ordinary in Additional Notes Column)**Box 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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|---|----------|-----------------|--------------------|--------------------------|---|------------------|------------------|
| ***DIGINEX LIMITED ORDINARY SHARES CUSIP: Y2074E109 Symbol: EQOS | | | | | | | |
| 12/28/2020 | 101.00 | 1,548.28 | Various | 1,481.49 | 9.84 D | 76.63 | Sale |
| 12/31/2020 | 16.00 | 259.18 | Various | 261.70 | 4.21 D | 1.69 | Sale |
| Security Totals: | | 9,787.27 | | 9,689.80 | | 341.32 | |
| CALL PLUG 11/20/20 18.50 PLUG POWER INC CUSIP: Symbol: PLUG201120C00018500 | | | | | | | |
| 11/05/2020 | 1.00 | 166.90 | 11/05/2020 | 167.08 | 0.00 | -0.18 | Sell to Close |
| ***NATUZZI S P A AMERICAN DEPOSITARY SHARES ECH REPRESENTING FIVE ORDINARY SHS CUSIP: 63905A200 Symbol: NTZ | | | | | | | |
| 10/13/2020 | 100.00 | 300.98 | 10/09/2020 | 318.18 | 0.00 | -17.20 | Sale |
| CALL AAPL 12/31/20 120 APPLE INC CUSIP: Symbol: AAPL201231C00120000 | | | | | | | |
| 12/01/2020 | 1.00 | 567.89 | 11/27/2020 | 305.08 | 0.00 | 262.81 | Sell to Close |
| CALL M 11/27/20 10.50 MACYS INC CUSIP: Symbol: M201127C00010500 | | | | | | | |
| 11/25/2020 | 1.00 | 49.90 | 11/23/2020 | 47.08 | 0.00 | 2.82 | Sell to Close |
| AEMETIS INC CUSIP: 00770K202 Symbol: AMTX | | | | | | | |
| 12/22/2020 | 42.00 | 159.16 | 12/22/2020 | 168.00 | 0.00 | -8.84 | Sale |
| 12/22/2020 | 43.00 | 186.60 | 12/22/2020 | 172.00 | 0.00 | 14.60 | Sale |
| 12/22/2020 | 84.00 | 335.98 | 12/22/2020 | 336.00 | 0.00 | -0.02 | Sale |
| 12/22/2020 | 168.00 | 688.76 | Various | 659.82 | 0.00 | 28.94 | Sale |
| Security Totals: | | 1,370.50 | | 1,335.82 | | 34.68 | |
| VTV THERAPEUTICS INC CLASS A COM CUSIP: 918385105 Symbol: VTVT | | | | | | | |
| 11/04/2020 | 15.00 | 23.98 | 11/03/2020 | 26.85 | 0.00 | -2.87 | Sale |
| 11/04/2020 | 235.00 | 399.46 | 11/03/2020 | 420.65 | 0.00 | -21.19 | Sale |
| 12/11/2020 | 56.00 | 286.14 | 12/11/2020 | 294.00 | 7.86 D | 0.00 | Sale |
| 12/15/2020 | 292.00 | 986.90 | Various | 1,006.50 | 0.00 | -19.60 | Sale |
| Security Totals: | | 1,696.48 | | 1,748.00 | | -43.66 | |
| CALL XPEV 01/15/21 55 XPENG INC ADR CLASS A CUSIP: Symbol: XPEV210115C00055000 | | | | | | | |
| 12/14/2020 | 1.00 | 279.90 | 12/14/2020 | 282.08 | 0.00 | -2.18 | Sell to Close |
| ***XUNLEI LIMITED ADR CUSIP: 98419E108 Symbol: XNET | | | | | | | |
| 12/01/2020 | 252.00 | 778.63 | 11/30/2020 | 738.36 | 0.00 | 40.27 | Sale |
| 12/01/2020 | 252.00 | 781.15 | Various | 757.92 | 0.00 | 23.23 | Sale |
| 12/09/2020 | 167.00 | 489.45 | 12/09/2020 | 499.33 | 9.88 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

5NA77394

(continued)

02/02/2021

SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

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

Box 2: Type of Gain or Loss - Short-Term (unless indicated as Ordinary in Additional Notes Column)**Box 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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|---|-----------------|----------------------|---------------------------|---------------------------------|--|-------------------------|-------------------------|
| ***XUNLEI LIMITED ADR CUSIP: 98419E108 Symbol: XNET | | | | | | | |
| 12/09/2020 | 167.00 | 475.91 | 12/09/2020 | 499.33 | 23.42 D | 0.00 | Sale |
| 12/16/2020 | 246.00 | 762.55 | 12/16/2020 | 757.68 | 0.00 | 4.87 | Sale |
| 12/16/2020 | 492.00 | 1,515.26 | Various | 1,504.98 | 0.00 | 10.28 | Sale |
| 12/16/2020 | 247.00 | 765.65 | 12/16/2020 | 760.76 | 0.00 | 4.89 | Sale |
| Security Totals: | | 5,568.60 | | 5,518.36 | | 83.54 | |
| CALL FUBO 12/18/20 17.50 FUBOTV INC CUSIP: Symbol: FUBO201218C00017500 | | | | | | | |
| 11/17/2020 | 1.00 | 389.90 | 11/12/2020 | 110.08 | 0.00 | 279.82 | Sell to Close |
| 11/17/2020 | 1.00 | 532.89 | 11/13/2020 | 115.08 | 0.00 | 417.81 | Sell to Close |
| Security Totals: | | 922.79 | | 225.16 | | 697.63 | |
| QUAD/GRAPHICS INC COM CL A CUSIP: 747301109 Symbol: QUAD | | | | | | | |
| 12/15/2020 | 252.00 | 987.98 | 12/15/2020 | 997.92 | 0.00 | -9.94 | Sale |
| 12/15/2020 | 253.00 | 991.70 | 12/15/2020 | 1,001.88 | 0.00 | -10.18 | Sale |
| Security Totals: | | 1,979.68 | | 1,999.80 | | -20.12 | |
| ***CARNIVAL CORP COMMON PAIRED STOCK CUSIP: 143658300 Symbol: CCL | | | | | | | |
| 12/02/2020 | 33.00 | 645.45 | Various | 687.10 | 41.65 D | 0.00 | Sale |
| 12/09/2020 | 30.00 | 721.77 | Various | 647.40 | 0.00 | 74.37 | Sale |
| 12/10/2020 | 15.00 | 336.43 | Various | 304.33 | 0.00 | 32.10 | Sale |
| 12/11/2020 | 45.00 | 996.34 | Various | 1,013.08 | 0.00 | -16.74 | Sale |
| 12/16/2020 | 15.00 | 323.08 | 12/11/2020 | 336.75 | 0.00 | -13.67 | Sale |
| Security Totals: | | 3,023.07 | | 2,988.66 | | 76.06 | |
| ***WIX.COM LTD CUSIP: M98068105 Symbol: WIX | | | | | | | |
| 10/12/2020 | 1.00 | 288.49 | 10/08/2020 | 279.30 | 0.00 | 9.19 | Sale |
| CALL KNDI 11/20/20 9 KANDI TECHNOLOGIES CORP CUSIP: Symbol: KNDI201120C00009000 | | | | | | | |
| 11/18/2020 | 1.00 | 169.90 | 11/18/2020 | 235.08 | 0.00 | -65.18 | Sell to Close |
| CALL TNDM 11/20/20 108 TANDEM DIABETES CARE INC CUSIP: Symbol: TNDM201120C00108000 | | | | | | | |
| 11/20/2020 | 1.00 | 0.00 | 11/11/2020 | 206.08 | 0.00 | -206.08 | Expiration |
| ***COLOR STAR TECHNOLOGY CO LTD ORDINARY SHARES CUSIP: G2287A100 Symbol: CSCW | | | | | | | |
| 10/13/2020 | 350.00 | 300.95 | 10/13/2020 | 290.50 | 0.00 | 10.45 | Sale |
| 10/13/2020 | 750.00 | 678.64 | 10/13/2020 | 622.50 | 0.00 | 56.14 | 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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|---|----------|-----------------|--------------------|--------------------------|---|------------------|------------------|
| ***COLOR STAR TECHNOLOGY CO LTD ORDINARY SHARES CUSIP: G2287A100 Symbol: CSCW | | | | | | | |
| 10/13/2020 | 1,500.00 | 1,334.79 | 10/13/2020 | 1,245.00 | 0.00 | 89.79 | Sale |
| 10/13/2020 | 400.00 | 329.00 | 10/13/2020 | 332.00 | 0.00 | -3.00 | Sale |
| 12/24/2020 | 313.00 | 272.29 | 12/24/2020 | 249.63 | 0.00 | 22.66 | Sale |
| 12/24/2020 | 404.00 | 305.97 | Various | 314.10 | 8.13 D | 0.00 | Sale |
| 12/24/2020 | 500.00 | 420.18 | 12/24/2020 | 444.95 | 24.77 D | 0.00 | Sale |
| 12/24/2020 | 627.00 | 560.13 | Various | 500.69 | 0.00 | 59.44 | Sale |
| 12/24/2020 | 986.00 | 745.28 | 12/24/2020 | 749.36 | 4.08 D | 0.00 | Sale |
| 12/24/2020 | 1,212.00 | 932.83 | Various | 939.25 | 9.6 D | 3.18 | Sale |
| 12/24/2020 | 1,253.00 | 1,050.96 | Various | 1,016.38 | 0.00 | 34.58 | Sale |
| 12/24/2020 | 1,499.00 | 1,268.09 | Various | 1,304.95 | 52.07 D | 15.21 | Sale |
| 12/28/2020 | 595.00 | 517.60 | 12/28/2020 | 525.94 | 8.34 D | 0.00 | Sale |
| Security Totals: | | 8,716.71 | | 8,535.25 | | 288.45 | |
| ***PERFORMANCE SHIPPING INC COMMON SHARES CUSIP: Y67305105 Symbol: PSHG | | | | | | | |
| 10/12/2020 | 150.00 | 175.47 | 10/09/2020 | 168.00 | 0.00 | 7.47 | Sale |
| 10/12/2020 | 300.00 | 329.95 | 10/09/2020 | 348.00 | 0.00 | -18.05 | Sale |
| 10/12/2020 | 450.00 | 526.43 | Various | 472.00 | 0.00 | 54.43 | Sale |
| Security Totals: | | 1,031.85 | | 988.00 | | 43.85 | |
| OCEAN POWER TECHNOLOGIES INC COMMON STOCK CUSIP: 674870506 Symbol: OPTT | | | | | | | |
| 10/06/2020 | 800.00 | 1,583.86 | Various | 1,138.00 | 0.00 | 445.86 | Sale |
| 10/07/2020 | 300.00 | 1,049.93 | Various | 695.98 | 0.00 | 353.95 | Sale |
| 10/12/2020 | 100.00 | 236.49 | 10/09/2020 | 268.00 | 0.00 | -31.51 | Sale |
| 11/20/2020 | 292.00 | 645.59 | Various | 648.24 | 2.48 D | -0.17 | Sale |
| 12/08/2020 | 273.00 | 726.13 | Various | 750.20 | 24.07 D | 0.00 | Sale |
| Security Totals: | | 4,242.00 | | 3,500.42 | | 768.13 | |
| CALL GUSH 01/15/21 45 DIREXION DLY S&P OIL & GAS EXP CUSIP: Symbol: GUSH210115C00045000 | | | | | | | |
| 12/15/2020 | 2.00 | 699.81 | Various | 750.16 | 20.17 D | -30.18 | Sell to Close |
| CALL DIS 12/18/20 185 WALT DISNEY CO CUSIP: Symbol: DIS201218C00185000 | | | | | | | |
| 12/11/2020 | 1.00 | 183.90 | 12/11/2020 | 239.08 | 0.00 | -55.18 | Sell to Close |

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APEX CLEARING

Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B*

OMB No. 1545-0715

5NA77394

(continued)

02/02/2021

SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

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

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

| 1c - Date Sold or Disposed | Quantity | 1d - Proceeds | 1b - Date Acquired | 1e - Cost or Other Basis | 1f - Accrued Market Discount (M) & 1g - Wash Sale Loss Disallowed (D) | Gain or Loss (-) | Additional Notes |
|---|-----------------|----------------------|---------------------------|---------------------------------|--|-------------------------|-------------------------|
| PUT SPCE 12/11/20 33 VIRGIN GALACTIC HOLDINGS INC CUSIP: Symbol: SPCE201211P00033000 | | | | | | | |
| 12/11/2020 | 2.00 | 83.82 | 12/11/2020 | 100.16 | 0.00 | -16.34 | Sell to Close |
| ***MOGO INC COM CUSIP: 60800C109 Symbol: MOGO | | | | | | | |
| 12/04/2020 | 115.00 | 369.13 | 12/03/2020 | 374.90 | 5.77 D | 0.00 | Sale |
| 12/04/2020 | 115.00 | 381.78 | 12/03/2020 | 374.90 | 0.00 | 6.88 | Sale |
| 12/09/2020 | 198.00 | 631.93 | Various | 702.73 | 70.80 D | 0.00 | Sale |
| 12/16/2020 | 294.00 | 994.31 | Various | 1,070.40 | 0.00 | -76.09 | Sale |
| Security Totals: | | 2,377.15 | | 2,522.93 | | -69.21 | |
| CALL SPCE 12/11/20 33 VIRGIN GALACTIC HOLDINGS INC CUSIP: Symbol: SPCE201211C00033000 | | | | | | | |
| 12/11/2020 | 1.00 | 19.90 | 12/11/2020 | 65.25 | 0.00 | -45.35 | Sell to Close |
| 12/11/2020 | 5.00 | 99.58 | Various | 196.40 | 17.17 D | -79.65 | Sell to Close |
| Security Totals: | | 119.48 | | 261.65 | | -125.00 | |
| CALL NIO 11/06/20 21 NIO INC ADS CUSIP: Symbol: NIO201106C00021000 | | | | | | | |
| 10/12/2020 | 1.00 | 235.90 | 10/07/2020 | 256.08 | 0.00 | -20.18 | Sell to Close |
| INNSUITES HOSPITALITY TRUST CUSIP: 457919108 Symbol: IHT | | | | | | | |
| 11/09/2020 | 299.00 | 1,133.14 | Various | 1,046.33 | 24.05 D | 110.86 | Sale |
| 11/09/2020 | 300.00 | 975.42 | Various | 752.22 | 0.00 | 223.20 | Sale |
| 11/09/2020 | 300.00 | 614.94 | Various | 645.00 | 30.06 D | 0.00 | Sale |
| 11/24/2020 | 122.00 | 282.12 | 11/19/2020 | 313.57 | 0.26 D | -31.19 | Sale |
| 12/09/2020 | 79.00 | 186.42 | Various | 193.71 | 0.00 | -7.29 | Sale |
| Security Totals: | | 3,192.04 | | 2,950.83 | | 295.58 | |
| RING ENERGY INC CUSIP: 76680V108 Symbol: REI | | | | | | | |
| 10/09/2020 | 71.00 | 59.61 | 10/08/2020 | 71.00 | 0.00 | -11.39 | Sale |
| 10/09/2020 | 229.00 | 198.75 | 10/08/2020 | 229.00 | 0.00 | -30.25 | Sale |
| 12/11/2020 | 1,691.00 | 1,352.74 | Various | 1,399.63 | 0.00 | -46.89 | Sale |
| Security Totals: | | 1,611.10 | | 1,699.63 | | -88.53 | |
| AYTU BIOSCIENCE INC COMMON STOCK CUSIP: 054754700 Symbol: AYTU | | | | | | | |
| 11/12/2020 | 233.00 | 251.60 | 11/12/2020 | 253.97 | 0.00 | -2.37 | Sale |

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APEX CLEARING

Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B*

OMB No. 1545-0715

5NA77394

(continued)

02/02/2021

SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

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

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

| 1c - Date Sold or Disposed | Quantity | 1d - Proceeds | 1b - Date Acquired | 1e - Cost or Other Basis | 1f - Accrued Market Discount (M) & 1g - Wash Sale Loss Disallowed (D) | Gain or Loss (-) | Additional Notes |
|-----------------------------------|-----------------|----------------------|--|---------------------------------|--|-------------------------|-------------------------|
| 11/12/2020 | 234.00 | 236.30 | 11/12/2020 | 255.06 | 0.00 | -18.76 | Sale |
| Security Totals: | | 487.90 | | 509.03 | | -21.13 | |
| CALL DBX 12/18/20 24 | | | DROPBOX INC CUSIP: Symbol: DBX201218C00024000 | | | | |
| 12/15/2020 | 1.00 | 52.90 | 12/14/2020 | 69.08 | 0.00 | -16.18 | Sell to Close |
| ***NANO DIMENSION LTD | | | AMERICAN DEPOSITARY SHARES CUSIP: 63008G203 Symbol: NNDM | | | | |
| 11/30/2020 | 67.00 | 409.35 | Various | 356.52 | 0.00 | 52.83 | Sale |
| 11/30/2020 | 149.00 | 849.26 | Various | 740.17 | 0.00 | 109.09 | Sale |
| 12/02/2020 | 89.00 | 536.64 | Various | 551.15 | 17.17 D | 2.66 | Sale |
| 12/02/2020 | 143.00 | 865.27 | Various | 923.20 | 53.15 D | -4.78 | Sale |
| 12/04/2020 | 201.00 | 1,481.31 | Various | 1,383.40 | 10.70 D | 108.61 | Sale |
| 12/04/2020 | 50.00 | 356.98 | Various | 356.58 | 2.01 D | 2.41 | Sale |
| 12/07/2020 | 12.00 | 72.82 | Various | 83.78 | 10.96 D | 0.00 | Sale |
| 12/10/2020 | 5.00 | 32.53 | 12/03/2020 | 34.65 | 2.12 D | 0.00 | Sale |
| 12/22/2020 | 16.00 | 145.44 | 12/22/2020 | 146.88 | 1.44 D | 0.00 | Sale |
| 12/22/2020 | 99.00 | 857.31 | Various | 911.72 | 54.41 D | 0.00 | Sale |
| 12/23/2020 | 53.00 | 548.58 | Various | 532.27 | 0.1 D | 16.41 | Sale |
| 12/23/2020 | 60.00 | 566.97 | Various | 600.40 | 36.10 D | 2.67 | Sale |
| 12/23/2020 | 157.00 | 1,579.53 | Various | 1,602.55 | 33.69 D | 10.67 | Sale |
| 12/24/2020 | 136.00 | 1,238.05 | Various | 1,298.20 | 60.15 D | 0.00 | Sale |
| 12/29/2020 | 45.00 | 391.03 | Various | 459.38 | 68.35 D | 0.00 | Sale |
| 12/29/2020 | 68.00 | 590.21 | Various | 623.56 | 33.35 D | 0.00 | Sale |
| 12/31/2020 | 70.00 | 655.17 | Various | 678.22 | 34.82 D | 11.77 | Sale |
| Security Totals: | | 11,176.45 | | 11,282.63 | | 312.34 | |
| REKOR SYSTEMS INC | | | COMMON STOCK CUSIP: 759419104 Symbol: REKR | | | | |
| 11/04/2020 | 90.00 | 350.98 | 11/03/2020 | 356.03 | 0.00 | -5.05 | Sale |
| ***DRAGON VICTORY | | | INTERNATIONAL LIMITED ORDINARY SHARES CUSIP: G28365107 Symbol: LYL | | | | |
| 10/16/2020 | 200.00 | 329.97 | 10/15/2020 | 406.00 | 76.03 D | 0.00 | Sale |
| 10/16/2020 | 383.00 | 639.54 | Various | 744.28 | 0.00 | -104.74 | Sale |
| Security Totals: | | 969.51 | | 1,150.28 | | -104.74 | |

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APEX CLEARING

Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B*

OMB No. 1545-0715

5NA77394

(continued)

02/02/2021

SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

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

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

Box 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 |
|-----------------------------|----------|---|--------------------|--------------------------|---|------------------|------------------|
| CALL RIG 05/21/21 | 2.50 | TRANSOCEAN LTD CUSIP: Symbol: RIG210521C00002500 | | | | | |
| 12/14/2020 | 7.00 | 594.41 | Various | 407.56 | 0.00 | 186.85 | Sell to Close |
| PUT SPCE 12/11/20 | 30 | VIRGIN GALACTIC HOLDINGS INC CUSIP: Symbol: SPCE201211P00030000 | | | | | |
| 12/08/2020 | 1.00 | 40.90 | 12/08/2020 | 74.08 | 0.00 | -33.18 | Sell to Close |
| CALL SPCE 12/11/20 | 35 | VIRGIN GALACTIC HOLDINGS INC CUSIP: Symbol: SPCE201211C00035000 | | | | | |
| 12/11/2020 | 5.00 | 24.58 | 12/11/2020 | 195.40 | 0.00 | -170.82 | Sell to Close |
| CALL SPCE 12/11/20 | 34 | VIRGIN GALACTIC HOLDINGS INC CUSIP: Symbol: SPCE201211C00034000 | | | | | |
| 12/11/2020 | 6.00 | 233.50 | 12/11/2020 | 318.48 | 0.00 | -84.98 | Sell to Close |
| ***NEWBORN ACQUISITION CORP | | ORDINARY SHARES CUSIP: G6463T106 Symbol: NBAC | | | | | |
| 12/22/2020 | 56.00 | 1,030.90 | 12/22/2020 | 994.00 | 0.00 | 36.90 | Sale |
| TELIGENT INC | | COMMON STOCK CUSIP: 87960W203 Symbol: TLGT | | | | | |
| 11/10/2020 | 2,000.00 | 1,428.72 | 11/10/2020 | 1,439.00 | 10.28 D | 0.00 | Sale |
| 11/10/2020 | 4,350.00 | 2,997.43 | Various | 3,035.28 | 41.77 D | 3.92 | Sale |
| 11/11/2020 | 100.00 | 57.38 | 11/11/2020 | 64.40 | 0.00 | -7.02 | Sale |
| 11/11/2020 | 537.00 | 359.72 | 11/10/2020 | 363.05 | 3.33 D | 0.00 | Sale |
| 11/11/2020 | 1,500.00 | 768.70 | Various | 822.25 | 0.00 | -53.55 | Sale |
| 11/11/2020 | 1,963.00 | 1,182.25 | Various | 1,329.13 | 15.72 D | -131.16 | Sale |
| 12/14/2020 | 114.00 | 115.12 | 12/14/2020 | 133.37 | 7.84 D | -10.41 | Sale |
| 12/14/2020 | 75.00 | 86.98 | 12/14/2020 | 91.50 | 4.52 D | 0.00 | Sale |
| 12/14/2020 | 339.00 | 342.34 | 12/14/2020 | 372.88 | 30.54 D | 0.00 | Sale |
| 12/14/2020 | 339.00 | 349.12 | Various | 407.91 | 58.79 D | 0.00 | Sale |
| 12/14/2020 | 954.00 | 901.40 | 12/14/2020 | 849.06 | 0.00 | 52.34 | Sale |
| 12/14/2020 | 955.00 | 993.06 | 12/14/2020 | 849.95 | 0.00 | 143.11 | Sale |
| 12/14/2020 | 1,479.00 | 1,286.52 | Various | 1,348.96 | 93.48 D | 31.04 | Sale |
| 12/14/2020 | 1,908.00 | 1,736.01 | Various | 1,791.60 | 72.81 D | 17.22 | Sale |
| 12/17/2020 | 536.00 | 498.45 | Various | 543.44 | 0.00 | -44.99 | Sale |
| 12/24/2020 | 440.00 | 344.12 | Various | 419.12 | 0.00 | -75.00 | Sale |
| Security Totals: | | 13,447.32 | | 13,860.90 | | -74.50 | |
| CALL LMND 12/11/20 | 110 | LEMONADE INC CUSIP: Symbol: LMND201211C00110000 | | | | | |
| 12/10/2020 | 1.00 | 234.90 | 12/10/2020 | 275.08 | 0.00 | -40.18 | Sell to Close |

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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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|--|----------|-----------------|--------------------|--------------------------|---|------------------|------------------|
| ***VILLAGE FARMS INTERNATIONAL INC CUSIP: 92707Y108 Symbol: VFF | | | | | | | |
| 11/17/2020 | 61.00 | 484.31 | 11/17/2020 | 492.88 | 7.17 D | -1.40 | Sale |
| 11/17/2020 | 62.00 | 486.67 | 11/17/2020 | 500.96 | 0.00 | -14.29 | Sale |
| 12/10/2020 | 51.00 | 505.30 | 11/24/2020 | 506.46 | 1.16 D | 0.00 | Sale |
| 12/23/2020 | 22.00 | 249.02 | 12/23/2020 | 249.46 | 0.44 D | 0.00 | Sale |
| 12/23/2020 | 66.00 | 794.61 | Various | 749.58 | 0.00 | 45.03 | Sale |
| 12/31/2020 | 22.00 | 222.62 | 12/24/2020 | 263.16 | 40.54 D | 0.00 | Sale |
| Security Totals: | | 2,742.53 | | 2,762.50 | | 29.34 | |
| REALNETWORKS INC CUSIP: 75605L708 Symbol: RNWK | | | | | | | |
| 10/07/2020 | 270.00 | 375.26 | Various | 411.68 | 34.53 D | -1.89 | Sale |
| 10/28/2020 | 250.00 | 412.46 | Various | 469.53 | 0.00 | -57.07 | Sale |
| Security Totals: | | 787.72 | | 881.21 | | -58.96 | |
| APTEVO THERAPEUTICS INC COMMON STOCK CUSIP: 03835L207 Symbol: APVO | | | | | | | |
| 11/04/2020 | 60.00 | 1,127.96 | 11/04/2020 | 1,080.60 | 0.00 | 47.36 | Sale |
| 11/05/2020 | 30.00 | 620.39 | 11/05/2020 | 686.01 | 65.62 D | 0.00 | Sale |
| 11/05/2020 | 50.00 | 840.97 | 11/05/2020 | 908.00 | 67.03 D | 0.00 | Sale |
| 11/05/2020 | 70.00 | 1,402.05 | Various | 1,483.13 | 81.08 D | 0.00 | Sale |
| 11/05/2020 | 100.00 | 2,067.94 | Various | 2,171.58 | 103.64 D | 0.00 | Sale |
| 11/06/2020 | 10.00 | 600.27 | 11/06/2020 | 569.26 | 0.00 | 31.01 | Sale |
| 11/06/2020 | 25.00 | 877.72 | Various | 633.92 | 0.00 | 243.80 | Sale |
| 11/06/2020 | 20.00 | 811.97 | Various | 872.72 | 60.75 D | 0.00 | Sale |
| 11/09/2020 | 5.00 | 326.58 | 11/09/2020 | 271.68 | 0.00 | 54.90 | Sale |
| 11/09/2020 | 5.00 | 318.38 | 11/09/2020 | 341.13 | 22.75 D | 0.00 | Sale |
| 11/10/2020 | 50.00 | 2,306.43 | Various | 2,407.54 | 0.00 | -101.11 | Sale |
| 11/10/2020 | 50.00 | 2,325.43 | Various | 2,480.64 | 115.90 D | -39.31 | Sale |
| 11/10/2020 | 100.00 | 3,742.90 | Various | 3,886.24 | 146.10 D | 2.76 | Sale |
| 11/10/2020 | 100.00 | 3,804.92 | Various | 3,969.10 | 164.18 D | 0.00 | Sale |
| 11/11/2020 | 20.00 | 943.76 | Various | 1,011.77 | 0.00 | -68.01 | Sale |
| 11/12/2020 | 14.00 | 663.85 | Various | 723.39 | 0.00 | -59.54 | Sale |

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APEX CLEARING

Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B*

OMB No. 1545-0715

5NA77394

(continued)

02/02/2021

SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

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

Box 2: Type of Gain or Loss - Short-Term (unless indicated as Ordinary in Additional Notes Column)**Box 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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|--|-----------------|----------------------|---------------------------|---------------------------------|--|-------------------------|-------------------------|
| APTEVO THERAPEUTICS INC COMMON STOCK CUSIP: 03835L207 Symbol: APVO | | | | | | | |
| 11/18/2020 | 3.00 | 142.75 | Various | 158.07 | 0.00 | -15.32 | Sale |
| 11/20/2020 | 3.00 | 127.78 | 11/18/2020 | 158.97 | 0.00 | -31.19 | Sale |
| Security Totals: | | 23,052.05 | | 23,813.75 | | 65.35 | |
| ***AURORA MOBILE LIMITED AMERICAN DEPOSITARY SHARES CUSIP: 051857100 Symbol: JG | | | | | | | |
| 12/22/2020 | 41.00 | 238.19 | 12/22/2020 | 235.34 | 0.00 | 2.85 | Sale |
| 12/22/2020 | 42.00 | 264.58 | 12/22/2020 | 241.08 | 0.00 | 23.50 | Sale |
| 12/22/2020 | 43.00 | 227.88 | 12/22/2020 | 197.80 | 0.00 | 30.08 | Sale |
| 12/22/2020 | 58.00 | 332.90 | 12/22/2020 | 306.82 | 0.00 | 26.08 | Sale |
| 12/22/2020 | 82.00 | 478.85 | 12/22/2020 | 470.68 | 0.00 | 8.17 | Sale |
| 12/22/2020 | 116.00 | 632.17 | Various | 583.28 | 0.00 | 48.89 | Sale |
| 12/22/2020 | 494.00 | 2,860.13 | Various | 2,809.01 | 0.00 | 51.12 | Sale |
| 12/24/2020 | 15.00 | 62.23 | 12/24/2020 | 63.30 | 1.07 D | 0.00 | Sale |
| 12/24/2020 | 25.00 | 103.76 | 12/24/2020 | 110.75 | 0.00 | -6.99 | Sale |
| 12/24/2020 | 26.00 | 99.04 | 12/24/2020 | 115.18 | 0.00 | -16.14 | Sale |
| 12/24/2020 | 50.00 | 207.48 | 12/24/2020 | 221.50 | 0.00 | -14.02 | Sale |
| 12/24/2020 | 100.00 | 414.98 | Various | 434.83 | 0.00 | -19.85 | Sale |
| Security Totals: | | 5,922.19 | | 5,789.57 | | 133.69 | |
| APEX TECHNOLOGY ACQUISITION CORPORATION CLASS A COMMON STOCK CUSIP: 03768F102 Symbol: APXT | | | | | | | |
| 11/25/2020 | 32.00 | 419.18 | 11/25/2020 | 368.00 | 0.00 | 51.18 | Sale |
| 11/27/2020 | 27.00 | 485.70 | Various | 425.22 | 10.9 D | 71.38 | Sale |
| 11/27/2020 | 73.00 | 1,073.06 | Various | 1,125.39 | 81.03 D | 28.70 | Sale |
| 12/01/2020 | 23.00 | 325.43 | Various | 408.40 | 82.97 D | 0.00 | Sale |
| 12/01/2020 | 141.00 | 2,000.72 | Various | 2,205.33 | 214.32 D | 9.71 | Sale |
| 12/02/2020 | 18.00 | 232.90 | Various | 278.45 | 45.55 D | 0.00 | Sale |
| 12/03/2020 | 52.00 | 729.01 | Various | 890.89 | 161.88 D | 0.00 | Sale |
| 12/03/2020 | 57.00 | 794.55 | Various | 964.84 | 170.29 D | 0.00 | Sale |
| 12/07/2020 | 66.00 | 947.72 | Various | 1,134.66 | 168.60 D | -18.34 | Sale |
| 12/09/2020 | 20.00 | 295.98 | Various | 353.95 | 0.00 | -57.97 | Sale |

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APEX CLEARING

Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B*

OMB No. 1545-0715

5NA77394

(continued)

02/02/2021

SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

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

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

Box 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 |
|--|----------|-----------------|--------------------|--------------------------|---|------------------|------------------|
| APEX TECHNOLOGY ACQUISITION CORPORATION CLASS A COMMON STOCK CUSIP: 03768F102 Symbol: APXT | | | | | | | |
| 12/09/2020 | 21.00 | 316.25 | Various | 379.84 | 0.00 | -63.59 | Sale |
| 12/09/2020 | 41.00 | 602.67 | Various | 770.95 | 0.00 | -168.28 | Sale |
| 12/24/2020 | 21.00 | 339.13 | Various | 397.16 | 0.00 | -58.03 | Sale |
| Security Totals: | | 8,562.30 | | 9,703.08 | | -205.24 | |
| ***YATRA ONLINE INC ORDINARY SHARES CUSIP: G98338109 Symbol: YTRA | | | | | | | |
| 10/26/2020 | 500.00 | 569.97 | 10/23/2020 | 595.00 | 0.00 | -25.03 | Sale |
| CALL LMND 12/31/20 130 LEMONADE INC CUSIP: Symbol: LMND201231C00130000 | | | | | | | |
| 12/30/2020 | 1.00 | 196.90 | 12/30/2020 | 250.08 | 0.00 | -53.18 | Sell to Close |
| FORUM MERGER III CORPORATION CLASS A COMMON STOCK CUSIP: 349885103 Symbol: FIII | | | | | | | |
| 12/22/2020 | 28.00 | 358.94 | 12/21/2020 | 343.78 | 0.00 | 15.16 | Sale |
| 12/23/2020 | 51.00 | 748.14 | 12/23/2020 | 749.33 | 1.19 D | 0.00 | Sale |
| 12/28/2020 | 52.00 | 746.69 | Various | 743.40 | 5.67 D | 8.96 | Sale |
| 12/28/2020 | 102.00 | 1,485.07 | Various | 1,497.28 | 8.28 D | -3.93 | Sale |
| Security Totals: | | 3,338.84 | | 3,333.79 | | 20.19 | |
| CALL LCA 01/15/21 25 LANDCADIA HOLDINGS II INC CUSIP: Symbol: LCA210115C00025000 | | | | | | | |
| 12/18/2020 | 1.00 | 249.90 | 12/18/2020 | 295.08 | 0.00 | -45.18 | Sell to Close |
| CALL BABA 12/31/20 235 ALIBABA GROUP HOLDING LIMITED CUSIP: Symbol: BABA201231C00235000 | | | | | | | |
| 12/29/2020 | 1.00 | 240.90 | 12/29/2020 | 173.08 | 0.00 | 67.82 | Sell to Close |
| 12/29/2020 | 1.00 | 364.90 | 12/29/2020 | 240.08 | 0.00 | 124.82 | Sell to Close |
| Security Totals: | | 605.80 | | 413.16 | | 192.64 | |
| AUTODESK INC CUSIP: 052769106 Symbol: ADSK | | | | | | | |
| 10/19/2020 | 4.00 | 1,063.96 | 10/15/2020 | 1,011.28 | 0.00 | 52.68 | Sale |
| ***ALIBABA GROUP HOLDING LTD SPONSORED ADR CUSIP: 01609W102 Symbol: BABA | | | | | | | |
| 10/02/2020 | 1.00 | 284.98 | 10/01/2020 | 297.00 | 0.00 | -12.02 | Sale |
| 11/11/2020 | 5.00 | 1,343.71 | 11/11/2020 | 1,356.75 | 10.43 D | -2.61 | Sale |
| 11/12/2020 | 4.00 | 1,058.88 | 11/11/2020 | 1,080.43 | 0.00 | -21.55 | Sale |
| 12/30/2020 | 1.00 | 237.02 | 12/24/2020 | 217.44 | 0.00 | 19.58 | Sale |
| Security Totals: | | 2,924.59 | | 2,951.62 | | -16.60 | |

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APEX CLEARING

Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B*

OMB No. 1545-0715

5NA77394

(continued)

02/02/2021

SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

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

Box 2: Type of Gain or Loss - Short-Term (unless indicated as Ordinary in Additional Notes Column)**Box 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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|--|-----------------|---|---------------------------|---------------------------------|--|-------------------------|-------------------------|
| CALL TTCF 01/15/21 | 22.50 | TATTOOED CHEF INC CL A CUSIP: Symbol: TTCF210115C00022500 | | | | | |
| 12/21/2020 | 1.00 | 389.90 | 12/18/2020 | 190.08 | 0.00 | 199.82 | Sell to Close |
| CIIG MERGER CORP | | CLASS A COMMON STOCK CUSIP: 12559C103 Symbol: CIIG | | | | | |
| 11/19/2020 | 11.00 | 187.75 | 11/19/2020 | 186.78 | 0.00 | 0.97 | Sale |
| 11/23/2020 | 18.00 | 392.92 | 11/23/2020 | 335.16 | 0.00 | 57.76 | Sale |
| 12/04/2020 | 24.00 | 687.57 | Various | 637.56 | 0.00 | 50.01 | Sale |
| 12/07/2020 | 35.00 | 1,077.56 | 12/07/2020 | 973.35 | 0.00 | 104.21 | Sale |
| Security Totals: | | 2,345.80 | | 2,132.85 | | 212.95 | |
| NAUTILUS INC CUSIP: 63910B102 Symbol: NLS | | | | | | | |
| 11/18/2020 | 15.00 | 282.16 | 11/18/2020 | 286.05 | 0.00 | -3.89 | Sale |
| PROFESSIONAL DIVERSITY NETWORK INC COM NEW CUSIP: 74312Y202 Symbol: IPDN | | | | | | | |
| 10/08/2020 | 150.00 | 182.97 | 10/07/2020 | 198.75 | 15.78 D | 0.00 | Sale |
| 10/09/2020 | 200.00 | 221.97 | Various | 273.78 | 0.00 | -51.81 | Sale |
| Security Totals: | | 404.94 | | 472.53 | | -51.81 | |
| CALL RKT 12/11/20 | 21.50 | ROCKET COMPANIES INC CL A CUSIP: Symbol: RKT201211C00021500 | | | | | |
| 12/09/2020 | 2.00 | 129.82 | 12/08/2020 | 48.16 | 0.00 | 81.66 | Sell to Close |
| 12/09/2020 | 3.00 | 170.74 | 12/08/2020 | 72.24 | 0.00 | 98.50 | Sell to Close |
| 12/09/2020 | 5.00 | 249.58 | 12/08/2020 | 120.40 | 0.00 | 129.18 | Sell to Close |
| 12/09/2020 | 10.00 | 269.16 | 12/08/2020 | 240.81 | 0.00 | 28.35 | Sell to Close |
| Security Totals: | | 819.30 | | 481.61 | | 337.69 | |
| ***PYXIS TANKERS INC | | COM CUSIP: Y71726106 Symbol: PXS | | | | | |
| 11/11/2020 | 1,000.00 | 979.85 | 11/11/2020 | 1,050.00 | 70.15 D | 0.00 | Sale |
| 11/11/2020 | 1,469.00 | 1,850.72 | Various | 1,994.54 | 31.16 D | -112.66 | Sale |
| 11/12/2020 | 259.00 | 332.78 | 11/12/2020 | 378.22 | 0.00 | -45.44 | Sale |
| Security Totals: | | 3,163.35 | | 3,422.76 | | -158.10 | |
| RCM TECHNOLOGIES INC NEW CUSIP: 749360400 Symbol: RCMT | | | | | | | |
| 10/07/2020 | 200.00 | 343.97 | 10/06/2020 | 334.96 | 0.00 | 9.01 | Sale |
| ***NIO INC | | AMERICAN DEPOSITARY SHARES ECH RPRSNTNG ONE CL A ORD SHARE CUSIP: 62914V106 Symbol: NIO | | | | | |
| 10/01/2020 | 10.00 | 212.60 | 09/30/2020 | 212.90 | 0.3 D | 0.00 | Sale |
| 10/15/2020 | 28.00 | 750.37 | Various | 677.34 | 0.00 | 73.03 | 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 | | | | | | | |
| 11/04/2020 | 10.00 | 372.68 | 11/03/2020 | 341.30 | 0.00 | 31.38 | Sale |
| 11/04/2020 | 30.00 | 1,099.81 | 11/04/2020 | 1,118.40 | 18.59 D | 0.00 | Sale |
| 11/05/2020 | 15.00 | 651.27 | Various | 661.10 | 9.83 D | 0.00 | Sale |
| 11/05/2020 | 20.00 | 781.17 | 11/04/2020 | 765.99 | 0.00 | 15.18 | Sale |
| 11/09/2020 | 5.00 | 222.08 | 11/09/2020 | 222.42 | 0.34 D | 0.00 | Sale |
| 11/09/2020 | 15.00 | 636.72 | Various | 635.63 | 1.34 D | 2.43 | Sale |
| 11/10/2020 | 17.00 | 733.52 | Various | 754.96 | 21.44 D | 0.00 | Sale |
| 11/12/2020 | 10.00 | 470.87 | 11/12/2020 | 478.35 | 7.48 D | 0.00 | Sale |
| 11/12/2020 | 10.00 | 480.69 | 11/12/2020 | 495.08 | 14.39 D | 0.00 | Sale |
| 11/12/2020 | 20.00 | 933.19 | Various | 885.24 | 0.00 | 47.95 | Sale |
| 11/13/2020 | 15.00 | 753.42 | Various | 779.52 | 26.10 D | 0.00 | Sale |
| 11/13/2020 | 28.00 | 1,247.77 | 11/13/2020 | 1,241.32 | 0.00 | 6.45 | Sale |
| 11/13/2020 | 56.00 | 2,483.53 | 11/13/2020 | 2,510.48 | 0.00 | -26.95 | Sale |
| 11/13/2020 | 84.00 | 3,730.34 | Various | 3,750.04 | 24.95 D | 5.25 | Sale |
| 11/13/2020 | 167.00 | 7,478.59 | Various | 7,511.56 | 31.05 D | -1.92 | Sale |
| 11/13/2020 | 14.00 | 701.93 | Various | 701.66 | 2.93 D | 3.20 | Sale |
| 11/16/2020 | 11.00 | 471.32 | Various | 493.81 | 0.00 | -22.49 | Sale |
| 11/16/2020 | 11.00 | 485.18 | Various | 502.07 | 0.00 | -16.89 | Sale |
| 11/16/2020 | 16.00 | 693.28 | 11/16/2020 | 717.04 | 0.00 | -23.76 | Sale |
| 11/17/2020 | 18.00 | 814.47 | Various | 827.82 | 0.00 | -13.35 | Sale |
| 11/17/2020 | 16.00 | 734.69 | Various | 734.47 | 0.00 | 0.22 | Sale |
| 11/17/2020 | 21.00 | 969.95 | 11/17/2020 | 975.41 | 0.00 | -5.46 | Sale |
| 11/18/2020 | 13.00 | 596.41 | Various | 619.67 | 0.00 | -23.26 | Sale |
| 11/19/2020 | 12.00 | 574.29 | Various | 573.44 | 0.00 | 0.85 | Sale |
| 11/24/2020 | 9.00 | 502.44 | 11/23/2020 | 457.63 | 0.00 | 44.81 | Sale |
| Security Totals: | | 29,582.58 | | 29,644.65 | | 96.67 | |
| CALL XL 01/15/21 20 XL FLEET CORPORATION CL A CUSIP: Symbol: XL210115C00020000 | | | | | | | |
| 12/22/2020 | 1.00 | 194.90 | 12/09/2020 | 445.44 | 0.00 | -250.54 | Sell to Close |

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SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

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|---|----------|-----------------|--------------------|--------------------------|---|------------------|------------------|
| URANIUM ENERGY CORP CUSIP: 916896103 Symbol: UEC | | | | | | | |
| 12/14/2020 | 445.00 | 738.63 | 12/08/2020 | 698.65 | 0.00 | 39.98 | Sale |
| 12/28/2020 | 191.00 | 368.60 | 12/28/2020 | 374.36 | 0.00 | -5.76 | Sale |
| 12/28/2020 | 382.00 | 741.43 | 12/28/2020 | 748.72 | 0.00 | -7.29 | Sale |
| Security Totals: | | 1,848.66 | | 1,821.73 | | 26.93 | |
| CALL PFE 01/15/21 45 PFIZER INC CUSIP: Symbol: PFE210115C00045000 | | | | | | | |
| 12/14/2020 | 1.00 | 80.90 | 12/08/2020 | 210.08 | 0.00 | -129.18 | Sell to Close |
| CALL AAPL 01/15/21 170 APPLE INC ADJ 4:1 STOCK SPLIT CUSIP: Symbol: AAPL210115C00170000 | | | | | | | |
| 12/30/2020 | 5.00 | 39.58 | 12/22/2020 | 105.40 | 0.00 | -65.82 | Sell to Close |
| CPS TECHNOLOGIES CORP CUSIP: 12619F104 Symbol: CPSH | | | | | | | |
| 10/15/2020 | 150.00 | 265.47 | 10/14/2020 | 328.50 | 0.00 | -63.03 | Sale |
| CALL BE 10/16/20 22 BLOOM ENERGY CORP CUSIP: Symbol: BE201016C00022000 | | | | | | | |
| 10/13/2020 | 1.00 | 54.90 | 10/09/2020 | 105.08 | 0.00 | -50.18 | Sell to Close |
| ***CANOPY GROWTH CORPORATION COMMON SHARES CUSIP: 138035100 Symbol: CGC | | | | | | | |
| 11/06/2020 | 15.00 | 348.73 | 11/06/2020 | 360.15 | 0.00 | -11.42 | Sale |
| 12/21/2020 | 19.00 | 484.47 | 12/21/2020 | 480.13 | 0.00 | 4.34 | Sale |
| Security Totals: | | 833.20 | | 840.28 | | -7.08 | |
| LANDCADIA HOLDINGS II INC CLASS A COMMON STOCK CUSIP: 51476X105 Symbol: LCA | | | | | | | |
| 12/18/2020 | 8.00 | 175.42 | 12/18/2020 | 193.12 | 0.00 | -17.70 | Sale |
| 12/18/2020 | 22.00 | 474.07 | Various | 494.62 | 0.00 | -20.55 | Sale |
| 12/18/2020 | 22.00 | 469.45 | Various | 527.24 | 0.00 | -57.79 | Sale |
| 12/18/2020 | 23.00 | 501.22 | 12/18/2020 | 555.22 | 32.87 D | -21.13 | Sale |
| 12/18/2020 | 30.00 | 713.37 | Various | 719.40 | 6.03 D | 0.00 | Sale |
| Security Totals: | | 2,333.53 | | 2,489.60 | | -117.17 | |
| CALL PFE 01/15/21 43 PFIZER INC CUSIP: Symbol: PFE210115C00043000 | | | | | | | |
| 12/14/2020 | 1.00 | 103.90 | 12/07/2020 | 180.08 | 0.00 | -76.18 | Sell to Close |
| NOVAN INC COM CUSIP: 66988N106 Symbol: NOVN | | | | | | | |
| 10/15/2020 | 400.00 | 207.94 | 10/14/2020 | 237.96 | 30.02 D | 0.00 | Sale |
| 10/19/2020 | 600.00 | 345.96 | Various | 374.18 | 28.82 D | 0.60 | Sale |
| 11/04/2020 | 1,000.00 | 489.96 | Various | 603.24 | 113.28 D | 0.00 | Sale |

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APEX CLEARING

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2020 Form 1099-B*

OMB No. 1545-0715

5NA77394

(continued)

02/02/2021

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 | | | | | | | |
| 11/05/2020 | 1,000.00 | 482.36 | Various | 623.07 | 140.71 D | 0.00 | Sale |
| 11/09/2020 | 930.00 | 437.45 | Various | 572.01 | 134.56 D | 0.00 | Sale |
| 11/12/2020 | 1,000.00 | 480.26 | Various | 639.89 | 159.63 D | 0.00 | Sale |
| 11/30/2020 | 1,214.00 | 580.13 | Various | 759.22 | 179.09 D | 0.00 | Sale |
| 12/03/2020 | 646.00 | 413.35 | Various | 451.02 | 37.67 D | 0.00 | Sale |
| 12/03/2020 | 1,345.00 | 739.70 | Various | 940.50 | 200.80 D | 0.00 | Sale |
| 12/03/2020 | 1,482.00 | 993.93 | Various | 1,017.73 | 69.36 D | 45.56 | Sale |
| 12/04/2020 | 484.00 | 329.05 | Various | 355.68 | 26.63 D | 0.00 | Sale |
| 12/04/2020 | 1,432.00 | 835.24 | Various | 1,047.95 | 212.71 D | 0.00 | Sale |
| 12/04/2020 | 1,433.00 | 855.88 | Various | 988.45 | 132.57 D | 0.00 | Sale |
| 12/04/2020 | 1,495.00 | 908.75 | Various | 1,046.27 | 137.52 D | 0.00 | Sale |
| 12/04/2020 | 969.00 | 706.26 | Various | 634.10 | 5.23 D | 77.39 | Sale |
| 12/17/2020 | 2,314.00 | 1,491.05 | Various | 1,763.09 | 272.04 D | 0.00 | Sale |
| 12/17/2020 | 772.00 | 480.15 | Various | 501.00 | 20.85 D | 0.00 | Sale |
| 12/18/2020 | 373.00 | 259.86 | Various | 288.58 | 28.72 D | 0.00 | Sale |
| 12/18/2020 | 1,118.00 | 725.43 | Various | 950.89 | 225.46 D | 0.00 | Sale |
| 12/21/2020 | 1,535.00 | 1,093.32 | Various | 1,279.12 | 185.80 D | 0.00 | Sale |
| 12/21/2020 | 253.00 | 168.73 | Various | 184.60 | 15.87 D | 0.00 | Sale |
| 12/23/2020 | 494.00 | 347.14 | Various | 352.04 | 5.48 D | 0.58 | Sale |
| 12/23/2020 | 1,479.00 | 976.67 | Various | 1,165.02 | 188.35 D | 0.00 | Sale |
| 12/28/2020 | 492.00 | 362.19 | Various | 411.74 | 49.98 D | 0.43 | Sale |
| 12/30/2020 | 245.00 | 264.56 | 12/30/2020 | 295.03 | 30.47 D | 0.00 | Sale |
| 12/30/2020 | 653.00 | 597.72 | Various | 616.21 | 36.72 D | 18.23 | Sale |
| 12/31/2020 | 184.00 | 172.93 | 12/30/2020 | 221.57 | 48.64 D | 0.00 | Sale |
| 12/31/2020 | 277.00 | 227.13 | Various | 335.20 | 108.07 D | 0.00 | Sale |
| Security Totals: | | 15,973.10 | | 18,655.36 | | 142.79 | |
| WESTWATER RESOURCES INC COMMON STOCK CUSIP: 961684206 Symbol: WWR | | | | | | | |
| 10/07/2020 | 20.00 | 271.98 | 10/06/2020 | 264.40 | 0.00 | 7.58 | Sale |

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SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

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|---|----------|---------------|--------------------|--------------------------|---|------------------|------------------|
| WESTWATER RESOURCES INC COMMON STOCK CUSIP: 961684206 Symbol: WWR | | | | | | | |
| 10/16/2020 | 50.00 | 302.98 | 10/15/2020 | 312.96 | 9.98 D | 0.00 | Sale |
| 10/22/2020 | 100.00 | 410.98 | Various | 442.98 | 32.00 D | 0.00 | Sale |
| 11/09/2020 | 200.00 | 865.96 | Various | 855.91 | 7.96 D | 18.01 | Sale |
| 11/10/2020 | 68.00 | 319.58 | 11/10/2020 | 329.80 | 10.22 D | 0.00 | Sale |
| 11/10/2020 | 68.00 | 322.98 | Various | 350.71 | 27.73 D | 0.00 | Sale |
| 11/10/2020 | 86.00 | 412.78 | Various | 425.06 | 12.28 D | 0.00 | Sale |
| 11/12/2020 | 103.00 | 487.16 | Various | 463.03 | 1.41 D | 25.54 | Sale |
| 11/12/2020 | 103.00 | 486.13 | Various | 508.81 | 24.03 D | 1.35 | Sale |
| 11/16/2020 | 41.00 | 207.03 | 11/16/2020 | 177.94 | 0.00 | 29.09 | Sale |
| 11/16/2020 | 60.00 | 362.98 | 11/16/2020 | 373.20 | 10.22 D | 0.00 | Sale |
| 11/16/2020 | 79.00 | 430.91 | Various | 410.85 | 0.95 D | 21.01 | Sale |
| 11/16/2020 | 120.00 | 608.48 | Various | 546.24 | 0.00 | 62.24 | Sale |
| 11/16/2020 | 179.00 | 1,100.80 | Various | 1,061.36 | 7.98 D | 47.42 | Sale |
| 11/18/2020 | 34.00 | 184.62 | Various | 173.00 | 0.00 | 11.62 | Sale |
| 11/20/2020 | 92.00 | 609.01 | Various | 489.21 | 0.00 | 119.80 | Sale |
| 11/23/2020 | 91.00 | 540.51 | Various | 571.05 | 32.36 D | 1.82 | Sale |
| 11/24/2020 | 174.00 | 1,063.09 | Various | 1,091.60 | 34.40 D | 5.89 | Sale |
| 11/30/2020 | 81.00 | 495.69 | Various | 545.78 | 16.19 D | -33.90 | Sale |
| 12/02/2020 | 109.00 | 659.45 | Various | 688.91 | 29.46 D | 0.00 | Sale |
| 12/04/2020 | 37.00 | 221.61 | Various | 257.99 | 36.38 D | 0.00 | Sale |
| 12/10/2020 | 177.00 | 895.67 | Various | 1,059.60 | 163.93 D | 0.00 | Sale |
| 12/10/2020 | 187.00 | 989.18 | Various | 1,166.25 | 177.07 D | 0.00 | Sale |
| 12/22/2020 | 64.00 | 343.02 | Various | 375.88 | 40.66 D | 7.80 | Sale |
| 12/22/2020 | 65.00 | 349.68 | Various | 394.28 | 44.60 D | 0.00 | Sale |
| 12/22/2020 | 114.00 | 604.17 | Various | 664.76 | 60.59 D | 0.00 | Sale |
| 12/22/2020 | 151.00 | 788.31 | Various | 898.80 | 110.49 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

5NA77394

(continued)

02/02/2021

SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

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

Box 2: Type of Gain or Loss - Short-Term (unless indicated as Ordinary in Additional Notes Column)**Box 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 | | | | | | | |
| 12/24/2020 | 58.00 | 316.76 | Various | 359.11 | 42.35 D | 0.00 | Sale |
| Security Totals: | | 14,651.50 | | 15,259.47 | | 325.27 | |
| IZEA WORLDWIDE INC COMMON STOCK CUSIP: 46604H105 Symbol: IZEA | | | | | | | |
| 11/18/2020 | 218.00 | 172.18 | Various | 165.66 | 0.00 | 6.52 | Sale |
| 11/18/2020 | 218.00 | 163.38 | 11/17/2020 | 163.28 | 0.00 | 0.10 | Sale |
| 12/07/2020 | 742.00 | 750.13 | 12/07/2020 | 749.42 | 0.00 | 0.71 | Sale |
| 12/09/2020 | 100.00 | 91.48 | 12/07/2020 | 109.32 | 17.84 D | 0.00 | Sale |
| 12/09/2020 | 597.00 | 552.67 | Various | 602.58 | 49.91 D | 0.00 | Sale |
| 12/10/2020 | 527.00 | 450.52 | Various | 536.27 | 85.75 D | 0.00 | Sale |
| 12/14/2020 | 854.00 | 990.51 | Various | 1,088.88 | 98.37 D | 0.00 | Sale |
| 12/24/2020 | 1,474.00 | 2,801.38 | Various | 2,798.97 | 24.63 D | 27.04 | Sale |
| Security Totals: | | 5,972.25 | | 6,214.38 | | 34.37 | |
| ***LIMINAL BIOSCIENCES INC COM CUSIP: 53272L103 Symbol: LMNL | | | | | | | |
| 11/06/2020 | 100.00 | 424.98 | 11/06/2020 | 440.00 | 15.02 D | 0.00 | Sale |
| 11/12/2020 | 13.00 | 57.70 | 11/12/2020 | 63.16 | 5.46 D | 0.00 | Sale |
| 11/12/2020 | 59.00 | 244.24 | 11/12/2020 | 268.52 | 0.00 | -24.28 | Sale |
| 11/12/2020 | 59.00 | 244.83 | Various | 264.03 | 0.00 | -19.20 | Sale |
| 11/12/2020 | 87.00 | 394.74 | 11/12/2020 | 422.69 | 27.95 D | 0.00 | Sale |
| 11/12/2020 | 100.00 | 462.97 | 11/12/2020 | 474.02 | 11.05 D | 0.00 | Sale |
| 11/12/2020 | 150.00 | 725.18 | Various | 731.20 | 9.02 D | 3.00 | Sale |
| 11/12/2020 | 150.00 | 719.96 | 11/12/2020 | 716.17 | 0.00 | 3.79 | Sale |
| Security Totals: | | 3,274.60 | | 3,379.79 | | -36.69 | |
| BIOCEPT INC COMMON STOCK CUSIP: 09072V501 Symbol: BIOC | | | | | | | |
| 11/12/2020 | 35.00 | 248.83 | 11/12/2020 | 253.75 | 0.00 | -4.92 | Sale |
| 11/12/2020 | 69.00 | 491.94 | 11/12/2020 | 500.25 | 0.00 | -8.31 | Sale |
| 11/12/2020 | 35.00 | 245.68 | 11/12/2020 | 253.75 | 0.00 | -8.07 | Sale |
| Security Totals: | | 986.45 | | 1,007.75 | | -21.30 | |

APEX CLEARING

Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B*

OMB No. 1545-0715

5NA77394

(continued)

02/02/2021

SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

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

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

Box 5: Box Not Checked (Covered Security)

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

Box 12: Basis Reported to the IRS

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

1a - Description of property | CUSIP | Symbol

| 1c - Date Sold or Disposed | Quantity | 1d - Proceeds | 1b - Date Acquired | 1e - Cost or Other Basis | 1f - Accrued Market Discount (M) & 1g - Wash Sale Loss Disallowed (D) | Gain or Loss (-) | Additional Notes |
|--|----------|------------------|--------------------|--------------------------|---|------------------|------------------|
| CALL SOLO 12/18/20 7.50 ELECTRAMECANICA VEHICLES CORP CUSIP: Symbol: SOLO201218C00007500 | | | | | | | |
| 11/20/2020 | 1.00 | 469.89 | 11/16/2020 | 110.08 | 0.00 | 359.81 | Sell to Close |
| 11/20/2020 | 1.00 | 479.89 | 11/16/2020 | 100.08 | 0.00 | 379.81 | Sell to Close |
| Security Totals: | | 949.78 | | 210.16 | | 739.62 | |
| ***TRANSGLOBE ENERGY CORP CUSIP: 893662106 Symbol: TGA | | | | | | | |
| 12/10/2020 | 107.00 | 102.73 | 12/10/2020 | 129.75 | 27.02 D | 0.00 | Sale |
| 12/10/2020 | 214.00 | 217.12 | 12/10/2020 | 259.50 | 42.38 D | 0.00 | Sale |
| 12/10/2020 | 370.00 | 436.55 | Various | 329.08 | 0.00 | 107.47 | Sale |
| 12/10/2020 | 1,268.00 | 1,458.01 | Various | 950.95 | 0.00 | 507.06 | Sale |
| 12/10/2020 | 1,284.00 | 1,386.53 | Various | 1,335.93 | 51.12 D | 101.72 | Sale |
| 12/11/2020 | 840.00 | 841.73 | 12/11/2020 | 890.40 | 13.15 D | -35.52 | Sale |
| 12/11/2020 | 210.00 | 205.98 | 12/11/2020 | 222.60 | 0.00 | -16.62 | Sale |
| 12/11/2020 | 1,120.00 | 1,135.07 | Various | 1,261.93 | 131.43 D | 4.57 | Sale |
| 12/14/2020 | 1,051.00 | 1,029.82 | Various | 1,219.44 | 0.00 | -189.62 | Sale |
| Security Totals: | | 6,813.54 | | 6,599.58 | | 479.06 | |
| PUT XPEV 11/20/20 35 XPENG INC ADR CLASS A CUSIP: Symbol: XPEV201120P00035000 | | | | | | | |
| 11/13/2020 | 1.00 | 80.90 | 11/12/2020 | 110.08 | 0.00 | -29.18 | Sell to Close |
| GORES HOLDINGS IV INC CLASS A COMMON STOCK CUSIP: 382865103 Symbol: GHIV | | | | | | | |
| 12/09/2020 | 80.00 | 868.77 | Various | 863.26 | 0.00 | 5.51 | Sale |
| 12/16/2020 | 144.00 | 1,549.38 | Various | 1,567.39 | 18.01 D | 0.00 | Sale |
| 12/17/2020 | 67.00 | 736.97 | 12/16/2020 | 742.98 | 6.01 D | 0.00 | Sale |
| 12/23/2020 | 84.00 | 1,002.50 | Various | 1,004.30 | 2.22 D | 0.42 | Sale |
| 12/24/2020 | 63.00 | 812.67 | Various | 762.24 | 0.00 | 50.43 | Sale |
| 12/24/2020 | 136.00 | 1,781.54 | Various | 1,885.88 | 104.34 D | 0.00 | Sale |
| 12/24/2020 | 405.00 | 5,272.93 | Various | 5,437.38 | 188.59 D | 24.14 | Sale |
| 12/28/2020 | 85.00 | 1,184.86 | 12/24/2020 | 1,125.44 | 0.00 | 59.42 | Sale |
| Security Totals: | | 13,209.62 | | 13,388.87 | | 139.92 | |
| TORCHLIGHT ENERGY RESOURCES INC CUSIP: 89102U103 Symbol: TRCH | | | | | | | |
| 10/12/2020 | 1,100.00 | 341.63 | Various | 392.00 | 0.00 | -50.37 | Sale |

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APEX CLEARING

Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B*

OMB No. 1545-0715

5NA77394

(continued)

02/02/2021

SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

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

Box 2: Type of Gain or Loss - Short-Term (unless indicated as Ordinary in Additional Notes Column)**Box 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 |
|--|-----------------|----------------------|---------------------------|---------------------------------|--|-------------------------|-------------------------|
| TORCHLIGHT ENERGY RESOURCES INC CUSIP: 89102U103 Symbol: TRCH | | | | | | | |
| 12/09/2020 | 862.00 | 511.82 | 12/08/2020 | 498.24 | 0.00 | 13.58 | Sale |
| 12/10/2020 | 2,428.00 | 1,265.40 | Various | 1,445.12 | 179.72 D | 0.00 | Sale |
| 12/14/2020 | 201.00 | 190.06 | Various | 213.21 | 23.15 D | 0.00 | Sale |
| 12/14/2020 | 201.00 | 166.22 | 12/14/2020 | 202.37 | 36.15 D | 0.00 | Sale |
| 12/14/2020 | 402.00 | 353.82 | 12/14/2020 | 404.74 | 50.92 D | 0.00 | Sale |
| 12/14/2020 | 248.00 | 226.81 | 12/14/2020 | 249.69 | 22.88 D | 0.00 | Sale |
| 12/23/2020 | 655.00 | 419.24 | Various | 468.45 | 49.21 D | 0.00 | Sale |
| 12/23/2020 | 1,964.00 | 1,303.84 | Various | 1,411.46 | 107.62 D | 0.00 | Sale |
| 12/23/2020 | 2,433.00 | 1,618.83 | Various | 1,763.75 | 145.00 D | 0.08 | Sale |
| 12/24/2020 | 1,171.00 | 748.11 | Various | 816.82 | 71.47 D | 2.76 | Sale |
| 12/28/2020 | 391.00 | 246.19 | Various | 277.55 | 31.36 D | 0.00 | Sale |
| Security Totals: | | 7,391.97 | | 8,143.40 | | -33.95 | |
| BOXLIGHT CORPORATION CLASS A COMMON STOCK CUSIP: 103197109 Symbol: BOXL | | | | | | | |
| 10/06/2020 | 275.00 | 522.45 | Various | 512.50 | 0.00 | 9.95 | Sale |
| 11/12/2020 | 164.00 | 242.87 | 11/12/2020 | 249.28 | 6.41 D | 0.00 | Sale |
| 11/12/2020 | 164.00 | 246.15 | 11/12/2020 | 249.28 | 1.03 D | -2.10 | Sale |
| 11/16/2020 | 218.00 | 355.65 | Various | 386.76 | 0.00 | -31.11 | Sale |
| Security Totals: | | 1,367.12 | | 1,397.82 | | -23.26 | |
| EXPERIENCE INVESTMENT CORP CLASS A COMMON STOCK CUSIP: 30217C109 Symbol: EXPC | | | | | | | |
| 12/30/2020 | 38.00 | 450.74 | 12/30/2020 | 443.42 | 0.00 | 7.32 | Sale |
| 12/30/2020 | 39.00 | 455.49 | 12/30/2020 | 455.09 | 0.00 | 0.40 | Sale |
| Security Totals: | | 906.23 | | 898.51 | | 7.72 | |
| CALL PYPL 12/31/20 250 PAYPAL HOLDINGS INC CUSIP: Symbol: PYPL201231C00250000 | | | | | | | |
| 12/23/2020 | 1.00 | 103.90 | 12/21/2020 | 190.08 | 0.00 | -86.18 | Sell to Close |
| CALL PLTR 12/18/20 25 PALANTIR TECHNOLOGIES INC CL A CUSIP: Symbol: PLTR201218C00025000 | | | | | | | |
| 11/27/2020 | 1.00 | 789.89 | 11/24/2020 | 349.08 | 0.00 | 440.81 | Sell to Close |
| 12/02/2020 | 1.00 | 182.90 | 11/24/2020 | 300.08 | 0.00 | -117.18 | Sell to Close |
| Security Totals: | | 972.79 | | 649.16 | | 323.63 | |

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APEX CLEARING

Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B*

OMB No. 1545-0715

5NA77394

(continued)

02/02/2021

SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

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

Box 2: Type of Gain or Loss - Short-Term (unless indicated as Ordinary in Additional Notes Column)**Box 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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|--|-----------------|----------------------|---------------------------|---------------------------------|--|-------------------------|-------------------------|
| TRINE ACQUISITION CORP CLASS A COMMON STOCK CUSIP: 89628U108 Symbol: TRNE | | | | | | | |
| 12/08/2020 | 39.00 | 764.37 | 12/07/2020 | 735.93 | 0.00 | 28.44 | Sale |
| 12/08/2020 | 44.00 | 992.60 | 12/08/2020 | 995.72 | 0.00 | -3.12 | Sale |
| Security Totals: | | 1,756.97 | | 1,731.65 | | 25.32 | |
| CALL AAPL 12/31/20 136 APPLE INC CUSIP: Symbol: AAPL201231C00136000 | | | | | | | |
| 12/23/2020 | 3.00 | 275.74 | Various | 466.24 | 0.00 | -190.50 | Sell to Close |
| AMERICAN AIRLINES GROUP INC CUSIP: 02376R102 Symbol: AAL | | | | | | | |
| 10/08/2020 | 39.00 | 507.04 | 10/07/2020 | 503.10 | 0.00 | 3.94 | Sale |
| 10/12/2020 | 1.00 | 12.99 | 10/07/2020 | 12.90 | 0.00 | 0.09 | Sale |
| 11/25/2020 | 23.00 | 333.71 | 11/25/2020 | 337.64 | 3.93 D | 0.00 | Sale |
| 12/09/2020 | 40.00 | 721.17 | Various | 588.78 | 0.00 | 132.39 | Sale |
| 12/09/2020 | 60.00 | 1,019.36 | Various | 873.72 | 0.00 | 145.64 | Sale |
| 12/14/2020 | 68.00 | 1,196.76 | Various | 996.06 | 3.5 D | 204.20 | Sale |
| 12/16/2020 | 17.00 | 283.03 | Various | 308.61 | 25.58 D | 0.00 | Sale |
| 12/16/2020 | 51.00 | 861.87 | Various | 921.66 | 59.79 D | 0.00 | Sale |
| 12/23/2020 | 47.00 | 744.06 | Various | 806.90 | 62.84 D | 0.00 | Sale |
| 12/24/2020 | 94.00 | 1,468.23 | Various | 1,575.89 | 107.66 D | 0.00 | Sale |
| 12/28/2020 | 78.00 | 1,252.78 | Various | 1,339.94 | 52.50 D | -34.66 | Sale |
| Security Totals: | | 8,401.00 | | 8,265.20 | | 451.60 | |
| CALL PLUG 01/15/21 29 PLUG POWER INC CUSIP: Symbol: PLUG210115C00029000 | | | | | | | |
| 12/16/2020 | 1.00 | 275.90 | 12/15/2020 | 315.08 | 0.00 | -39.18 | Sell to Close |
| PRESIDIO PROPERTY TRUST INC CLASS A COMMON STOCK CUSIP: 74102L303 Symbol: SQFT | | | | | | | |
| 12/18/2020 | 25.00 | 209.73 | 12/18/2020 | 238.89 | 0.00 | -29.16 | Sale |
| ***UXIN LIMITED ADS CUSIP: 91818X108 Symbol: UXIN | | | | | | | |
| 10/20/2020 | 140.00 | 200.17 | 10/19/2020 | 242.20 | 0.00 | -42.03 | Sale |
| 10/20/2020 | 140.00 | 197.37 | 10/19/2020 | 242.20 | 0.00 | -44.83 | Sale |
| 10/20/2020 | 220.00 | 338.76 | 10/19/2020 | 380.60 | 0.00 | -41.84 | Sale |
| 11/27/2020 | 274.00 | 457.53 | 11/27/2020 | 496.18 | 21.86 D | -16.79 | Sale |

APEX CLEARING

Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B*

OMB No. 1545-0715

5NA77394

(continued)

02/02/2021

SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

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

Box 2: Type of Gain or Loss - Short-Term (unless indicated as Ordinary in Additional Notes Column)**Box 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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|----------------------------|---|-----------------|--------------------|--------------------------|---|------------------|------------------|
| 11/30/2020 | 430.00 | 666.43 | Various | 769.41 | 0.00 | -102.98 | Sale |
| Security Totals: | | 1,860.26 | | 2,130.59 | | -248.47 | |
| ***PAINREFORM LTD | ORDINARY SHARES CUSIP: M77798102 Symbol: PRFX | | | | | | |
| 11/04/2020 | 100.00 | 480.97 | 11/03/2020 | 497.00 | 0.00 | -16.03 | Sale |
| STAFFING 360 SOLUTIONS INC | COMMON STOCK CUSIP: 852387307 Symbol: STAF | | | | | | |
| 10/15/2020 | 500.00 | 721.92 | 10/14/2020 | 432.59 | 0.00 | 289.33 | Sale |
| CALL PLUG 01/15/21 28 | PLUG POWER INC CUSIP: Symbol: PLUG210115C00028000 | | | | | | |
| 12/15/2020 | 2.00 | 691.81 | 12/15/2020 | 620.16 | 0.00 | 71.65 | Sell to Close |
| CBAK ENERGY TECHNOLOGY INC | COMMON STOCK CUSIP: 14986C102 Symbol: CBAT | | | | | | |
| 11/13/2020 | 73.00 | 489.07 | 11/13/2020 | 495.67 | 6.6 D | 0.00 | Sale |
| 11/16/2020 | 25.00 | 243.23 | Various | 267.45 | 24.22 D | 0.00 | Sale |
| 11/16/2020 | 27.00 | 291.58 | Various | 376.32 | 84.74 D | 0.00 | Sale |
| 11/16/2020 | 9.00 | 106.99 | Various | 149.48 | 42.49 D | 0.00 | Sale |
| 11/16/2020 | 36.00 | 446.38 | Various | 488.83 | 42.45 D | 0.00 | Sale |
| 11/16/2020 | 43.00 | 331.08 | Various | 356.39 | 25.31 D | 0.00 | Sale |
| 11/16/2020 | 46.00 | 403.34 | Various | 462.46 | 59.12 D | 0.00 | Sale |
| 11/16/2020 | 49.00 | 450.78 | Various | 487.15 | 36.37 D | 0.00 | Sale |
| 11/16/2020 | 75.00 | 546.72 | Various | 794.32 | 247.60 D | 0.00 | Sale |
| 11/16/2020 | 87.00 | 711.63 | Various | 675.20 | 4.35 D | 40.78 | Sale |
| 11/16/2020 | 93.00 | 852.78 | Various | 794.40 | 11.46 D | 69.84 | Sale |
| 11/16/2020 | 123.00 | 993.80 | Various | 1,033.51 | 39.71 D | 0.00 | Sale |
| 11/16/2020 | 152.00 | 1,101.95 | Various | 1,128.36 | 26.41 D | 0.00 | Sale |
| 11/16/2020 | 35.00 | 310.78 | Various | 369.34 | 58.56 D | 0.00 | Sale |
| 11/16/2020 | 103.00 | 1,012.85 | Various | 1,145.89 | 133.04 D | 0.00 | Sale |
| 11/19/2020 | 63.00 | 473.73 | Various | 701.92 | 228.19 D | 0.00 | Sale |
| 11/19/2020 | 63.00 | 514.05 | Various | 561.01 | 67.15 D | 20.19 | Sale |
| 11/23/2020 | 60.00 | 500.37 | Various | 711.87 | 211.50 D | 0.00 | Sale |
| 11/27/2020 | 67.00 | 544.01 | Various | 733.69 | 190.15 D | 0.47 | Sale |
| 12/01/2020 | 67.00 | 527.93 | Various | 516.39 | 14.65 D | 26.19 | Sale |

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APEX CLEARING

Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B*

OMB No. 1545-0715

5NA77394

(continued)

02/02/2021

SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

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

Box 2: Type of Gain or Loss - Short-Term (unless indicated as Ordinary in Additional Notes Column)**Box 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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|--|-----------------|----------------------|---------------------------|---------------------------------|--|-------------------------|-------------------------|
| CBAK ENERGY TECHNOLOGY INC COMMON STOCK CUSIP: 14986C102 Symbol: CBAT | | | | | | | |
| 12/08/2020 | 77.00 | 515.87 | Various | 702.99 | 187.57 D | 0.45 | Sale |
| 12/08/2020 | 77.00 | 400.38 | 12/07/2020 | 498.19 | 97.81 D | 0.00 | Sale |
| 12/21/2020 | 74.00 | 423.26 | Various | 377.73 | 2.34 D | 47.87 | Sale |
| 12/21/2020 | 148.00 | 899.80 | Various | 1,025.60 | 131.56 D | 5.76 | Sale |
| 12/22/2020 | 26.00 | 167.42 | Various | 186.95 | 19.53 D | 0.00 | Sale |
| 12/22/2020 | 199.00 | 1,223.80 | 12/22/2020 | 1,227.83 | 4.03 D | 0.00 | Sale |
| 12/22/2020 | 596.00 | 3,653.98 | Various | 3,752.27 | 119.09 D | 20.80 | Sale |
| 12/22/2020 | 26.00 | 170.31 | Various | 225.47 | 55.16 D | 0.00 | Sale |
| 12/22/2020 | 225.00 | 1,286.94 | Various | 1,404.08 | 168.44 D | 51.30 | Sale |
| 12/23/2020 | 61.00 | 425.15 | 12/23/2020 | 419.62 | 0.00 | 5.53 | Sale |
| 12/23/2020 | 98.00 | 669.31 | Various | 696.09 | 32.51 D | 5.73 | Sale |
| 12/23/2020 | 122.00 | 860.20 | Various | 841.23 | 0.00 | 18.97 | Sale |
| 12/23/2020 | 61.00 | 432.47 | 12/23/2020 | 419.63 | 0.00 | 12.84 | Sale |
| Security Totals: | | 21,981.94 | | 24,027.33 | | 326.72 | |
| CALL GHIV 12/18/20 12.50 GORES HOLDINGS IV INC CL A CUSIP: Symbol: GHIV201218C00012500 | | | | | | | |
| 12/14/2020 | 4.00 | 99.66 | 12/09/2020 | 240.32 | 0.00 | -140.66 | Sell to Close |
| ***KAZIA THERAPEUTICS LTD AMERICAN DEPOSITARY SHARES CUSIP: 48669G105 Symbol: KZIA | | | | | | | |
| 11/17/2020 | 9.00 | 109.78 | 11/17/2020 | 122.32 | 12.54 D | 0.00 | Sale |
| 11/17/2020 | 23.00 | 318.76 | 11/17/2020 | 339.48 | 20.72 D | 0.00 | Sale |
| 11/18/2020 | 14.00 | 195.98 | Various | 207.59 | 11.61 D | 0.00 | Sale |
| 11/18/2020 | 10.00 | 107.18 | 11/17/2020 | 135.91 | 28.73 D | 0.00 | Sale |
| 11/24/2020 | 49.00 | 516.92 | Various | 534.64 | 0.00 | -17.72 | Sale |
| Security Totals: | | 1,248.62 | | 1,339.94 | | -17.72 | |
| SOLID BIOSCIENCES INC COMMON STOCK CUSIP: 83422E105 Symbol: SLDB | | | | | | | |
| 12/15/2020 | 153.00 | 976.43 | 12/15/2020 | 994.50 | 0.00 | -18.07 | Sale |
| 12/15/2020 | 154.00 | 951.67 | 12/15/2020 | 1,001.00 | 0.00 | -49.33 | Sale |
| Security Totals: | | 1,928.10 | | 1,995.50 | | -67.40 | |

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APEX CLEARING

Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B*

OMB No. 1545-0715

5NA77394

(continued)

02/02/2021

SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

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

Box 2: Type of Gain or Loss - Short-Term (unless indicated as Ordinary in Additional Notes Column)**Box 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 |
|---|-----------------|----------------------|---------------------------|---------------------------------|--|-------------------------|-------------------------|
| CURIS INC COMMON STOCK CUSIP: 231269200 Symbol: CRIS | | | | | | | |
| 12/08/2020 | 36.00 | 247.66 | 12/08/2020 | 295.56 | 0.00 | -47.90 | Sale |
| DOORDASH INC CLASS A COMMON STOCK CUSIP: 25809K105 Symbol: DASH | | | | | | | |
| 12/09/2020 | 1.00 | 186.22 | 12/09/2020 | 180.41 | 0.00 | 5.81 | Sale |
| ***BELLUS HEALTH INC COM CUSIP: 07987C204 Symbol: BLU | | | | | | | |
| 10/26/2020 | 200.00 | 496.96 | 10/23/2020 | 538.00 | 0.00 | -41.04 | Sale |
| CALL AAPL 01/15/21 140 APPLE INC ADJ 4:1 STOCK SPLIT CUSIP: Symbol: AAPL210115C00140000 | | | | | | | |
| 12/23/2020 | 1.00 | 177.90 | 12/22/2020 | 235.08 | 57.18 D | 0.00 | Sell to Close |
| 12/29/2020 | 1.00 | 223.91 | 12/29/2020 | 332.26 | 0.00 | -108.35 | Sell to Close |
| Security Totals: | | 401.81 | | 567.34 | | -108.35 | |
| ***LI AUTO INC AMERICAN DEPOSITARY SHARES CUSIP: 50202M102 Symbol: LI | | | | | | | |
| 11/12/2020 | 6.00 | 214.78 | 11/12/2020 | 218.40 | 3.62 D | 0.00 | Sale |
| 11/13/2020 | 3.00 | 114.58 | 11/13/2020 | 117.43 | 2.85 D | 0.00 | Sale |
| 11/13/2020 | 4.00 | 162.02 | Various | 155.97 | 0.00 | 6.05 | Sale |
| 11/13/2020 | 7.00 | 267.59 | 11/12/2020 | 254.80 | 0.00 | 12.79 | Sale |
| 11/16/2020 | 15.00 | 489.87 | Various | 493.35 | 3.48 D | 0.00 | Sale |
| 11/16/2020 | 15.00 | 461.67 | 11/16/2020 | 490.50 | 28.83 D | 0.00 | Sale |
| 11/17/2020 | 7.00 | 256.25 | Various | 259.35 | 3.10 D | 0.00 | Sale |
| 11/17/2020 | 8.00 | 275.10 | Various | 302.01 | 8.24 D | -18.67 | Sale |
| 11/18/2020 | 7.00 | 246.03 | Various | 267.23 | 0.00 | -21.20 | Sale |
| 11/19/2020 | 7.00 | 255.13 | 11/18/2020 | 263.22 | 0.00 | -8.09 | Sale |
| 11/24/2020 | 11.00 | 483.41 | Various | 499.46 | 0.00 | -16.05 | Sale |
| Security Totals: | | 3,226.43 | | 3,321.72 | | -45.17 | |
| AMERI HOLDINGS INC COMMON STOCK CUSIP: 02362F302 Symbol: AMRH | | | | | | | |
| 10/01/2020 | 300.00 | 569.94 | Various | 512.00 | 0.00 | 57.94 | Sale |
| 10/19/2020 | 250.00 | 351.06 | 10/16/2020 | 362.50 | 11.44 D | 0.00 | Sale |
| 11/06/2020 | 500.00 | 719.92 | Various | 741.44 | 21.52 D | 0.00 | Sale |
| 11/09/2020 | 197.00 | 287.59 | 11/09/2020 | 307.32 | 19.73 D | 0.00 | Sale |
| 11/09/2020 | 196.00 | 288.09 | Various | 307.63 | 19.54 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

5NA77394

(continued)

02/02/2021

SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

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

Box 2: Type of Gain or Loss - Short-Term (unless indicated as Ordinary in Additional Notes Column)**Box 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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|---|-----------------|----------------------|---------------------------|---------------------------------|--|-------------------------|-------------------------|
| AMERI HOLDINGS INC COMMON STOCK CUSIP: 02362F302 Symbol: AMRH | | | | | | | |
| 11/09/2020 | 307.00 | 463.51 | 11/09/2020 | 485.11 | 21.6 D | 0.00 | Sale |
| 11/09/2020 | 400.00 | 572.37 | Various | 575.50 | 6.25 D | 3.12 | Sale |
| 11/09/2020 | 800.00 | 1,207.87 | Various | 1,184.61 | 8.06 D | 31.32 | Sale |
| 11/10/2020 | 596.00 | 846.23 | Various | 840.43 | 12.12 D | 17.92 | Sale |
| 11/10/2020 | 596.00 | 840.27 | Various | 857.54 | 23.00 D | 5.73 | Sale |
| 11/12/2020 | 349.00 | 492.41 | Various | 539.67 | 0.00 | -47.26 | Sale |
| 11/12/2020 | 704.00 | 964.37 | Various | 1,022.68 | 58.16 D | -0.15 | Sale |
| 11/12/2020 | 352.00 | 499.78 | Various | 527.93 | 0.00 | -28.15 | Sale |
| 12/28/2020 | 50.00 | 140.98 | 12/28/2020 | 125.50 | 0.00 | 15.48 | Sale |
| 12/28/2020 | 50.00 | 177.98 | 12/28/2020 | 125.50 | 0.00 | 52.48 | Sale |
| 12/28/2020 | 100.00 | 228.20 | 12/28/2020 | 251.00 | 0.00 | -22.80 | Sale |
| Security Totals: | | 8,650.57 | | 8,766.36 | | 85.63 | |
| CALL RIG 12/31/20 2 TRANSOCEAN LTD CUSIP: Symbol: RIG201231C00002000 | | | | | | | |
| 12/30/2020 | 3.00 | 80.74 | 12/30/2020 | 93.24 | 0.00 | -12.50 | Sell to Close |
| PUT BABA 12/31/20 215 ALIBABA GROUP HOLDING LIMITED CUSIP: Symbol: BABA201231P00215000 | | | | | | | |
| 12/28/2020 | 1.00 | 269.90 | 12/28/2020 | 310.08 | 0.00 | -40.18 | Sell to Close |
| AETHLON MEDICAL INC COMMON STOCK CUSIP: 00808Y307 Symbol: AEMD | | | | | | | |
| 10/14/2020 | 100.00 | 190.98 | 10/13/2020 | 204.50 | 0.00 | -13.52 | Sale |
| 10/14/2020 | 125.00 | 238.73 | 10/13/2020 | 255.62 | 0.00 | -16.89 | Sale |
| 10/14/2020 | 325.00 | 640.19 | Various | 576.13 | 0.00 | 64.06 | Sale |
| Security Totals: | | 1,069.90 | | 1,036.25 | | 33.65 | |
| CALL AAPL 01/15/21 130 APPLE INC ADJ 4:1 STOCK SPLIT CUSIP: Symbol: AAPL210115C00130000 | | | | | | | |
| 12/22/2020 | 1.00 | 524.89 | 12/21/2020 | 338.08 | 0.00 | 186.81 | Sell to Close |
| 12/22/2020 | 1.00 | 543.89 | 12/21/2020 | 338.08 | 0.00 | 205.81 | Sell to Close |
| Security Totals: | | 1,068.78 | | 676.16 | | 392.62 | |
| WALT DISNEY CO CUSIP: 254687106 Symbol: DIS | | | | | | | |
| 12/11/2020 | 1.00 | 175.44 | 12/11/2020 | 176.74 | 1.3 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

5NA77394

(continued)

02/02/2021

SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

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

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

Box 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 |
|--|----------|---------------|--------------------|--------------------------|---|------------------|------------------|
| WALT DISNEY CO CUSIP: 254687106 Symbol: DIS | | | | | | | |
| 12/23/2020 | 1.00 | 171.12 | 12/18/2020 | 175.98 | 0.00 | -4.86 | Sale |
| Security Totals: | | 346.56 | | 352.72 | | -4.86 | |
| PALANTIR TECHNOLOGIES INC CLASS A COMMON STOCK CUSIP: 69608A108 Symbol: PLTR | | | | | | | |
| 10/01/2020 | 10.00 | 101.98 | Various | 106.49 | 4.51 D | 0.00 | Sale |
| 10/01/2020 | 45.00 | 459.42 | Various | 496.60 | 40.73 D | 3.55 | Sale |
| 10/27/2020 | 100.00 | 1,044.96 | Various | 1,020.94 | 12.04 D | 36.06 | Sale |
| 10/28/2020 | 100.00 | 1,083.96 | Various | 1,105.04 | 21.08 D | 0.00 | Sale |
| 11/06/2020 | 40.00 | 559.57 | 11/06/2020 | 583.42 | 23.85 D | 0.00 | Sale |
| 11/06/2020 | 60.00 | 872.07 | Various | 803.46 | 0.00 | 68.61 | Sale |
| 11/09/2020 | 30.00 | 466.77 | Various | 484.14 | 17.37 D | 0.00 | Sale |
| 11/09/2020 | 50.00 | 749.42 | Various | 768.87 | 19.45 D | 0.00 | Sale |
| 11/09/2020 | 50.00 | 746.97 | 11/09/2020 | 751.50 | 4.53 D | 0.00 | Sale |
| 11/09/2020 | 55.00 | 822.36 | Various | 820.65 | 10.74 D | 12.45 | Sale |
| 11/12/2020 | 20.00 | 300.98 | Various | 349.79 | 48.81 D | 0.00 | Sale |
| 11/16/2020 | 29.00 | 489.40 | Various | 496.42 | 7.02 D | 0.00 | Sale |
| 11/23/2020 | 84.00 | 1,739.59 | Various | 1,456.01 | 0.00 | 283.58 | Sale |
| 11/24/2020 | 47.00 | 1,073.54 | Various | 928.98 | 0.00 | 144.56 | Sale |
| 11/27/2020 | 44.00 | 1,217.00 | Various | 1,068.58 | 16.88 D | 165.30 | Sale |
| 11/30/2020 | 17.00 | 478.52 | Various | 520.52 | 42.00 D | 0.00 | Sale |
| 11/30/2020 | 49.00 | 1,368.03 | Various | 1,441.42 | 73.39 D | 0.00 | Sale |
| 12/01/2020 | 16.00 | 404.80 | 12/01/2020 | 506.27 | 101.47 D | 0.00 | Sale |
| 12/01/2020 | 66.00 | 1,659.85 | Various | 1,926.97 | 267.12 D | 0.00 | Sale |
| 12/01/2020 | 88.00 | 2,283.20 | Various | 2,654.43 | 371.23 D | 0.00 | Sale |
| 12/02/2020 | 22.00 | 534.57 | Various | 735.48 | 200.91 D | 0.00 | Sale |
| 12/04/2020 | 6.00 | 142.24 | 12/01/2020 | 188.32 | 46.08 D | 0.00 | Sale |
| 12/09/2020 | 2.00 | 57.59 | 12/01/2020 | 62.77 | 5.18 D | 0.00 | Sale |
| 12/22/2020 | 8.00 | 222.06 | Various | 277.82 | 55.76 D | 0.00 | Sale |
| 12/23/2020 | 17.00 | 488.93 | Various | 587.05 | 98.12 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

5NA77394

(continued)

02/02/2021

SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

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

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

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|---|----------|------------------|--------------------|--------------------------|---|------------------|------------------|
| PALANTIR TECHNOLOGIES INC CLASS A COMMON STOCK CUSIP: 69608A108 Symbol: PLTR | | | | | | | |
| 12/24/2020 | 191.00 | 5,309.87 | Various | 5,806.74 | 496.87 D | 0.00 | Sale |
| 12/28/2020 | 16.00 | 422.06 | 12/24/2020 | 445.05 | 22.99 D | 0.00 | Sale |
| 12/28/2020 | 32.00 | 862.41 | 12/24/2020 | 890.11 | 27.7 D | 0.00 | Sale |
| 12/29/2020 | 8.00 | 203.82 | 12/24/2020 | 222.53 | 18.71 D | 0.00 | Sale |
| Security Totals: | | 26,165.94 | | 27,506.37 | | 714.11 | |
| CALL AAPL 01/15/21 135 APPLE INC ADJ 4:1 STOCK SPLIT CUSIP: Symbol: AAPL210115C00135000 | | | | | | | |
| 12/29/2020 | 1.00 | 519.89 | 12/22/2020 | 335.08 | 0.00 | 184.81 | Sell to Close |
| ENSERVO CORPORATION COMMON STOCK CUSIP: 29358Y201 Symbol: ENSV | | | | | | | |
| 12/14/2020 | 483.00 | 994.89 | 12/14/2020 | 1,014.30 | 19.41 D | 0.00 | Sale |
| CALL IPOB 12/18/20 30 SOCIAL CPTL HEDOSOPHIA HLDGS CUSIP: Symbol: IPOB201218C00030000 | | | | | | | |
| 12/15/2020 | 2.00 | 291.82 | Various | 315.16 | 0.00 | -23.34 | Sell to Close |
| ***JD.COM INC SPONSORED ADR REPSTG COM CL A CUSIP: 47215P106 Symbol: JD | | | | | | | |
| 11/16/2020 | 5.00 | 442.48 | 11/16/2020 | 485.15 | 42.67 D | 0.00 | Sale |
| 11/20/2020 | 5.00 | 433.98 | 11/17/2020 | 477.12 | 0.00 | -43.14 | Sale |
| Security Totals: | | 876.46 | | 962.27 | | -43.14 | |
| CALLAWAY GOLF CO CUSIP: 131193104 Symbol: ELY | | | | | | | |
| 12/30/2020 | 14.00 | 340.88 | 12/28/2020 | 349.86 | 0.00 | -8.98 | Sale |
| ADTX THERAPEUTICS INC COMMON STOCK CUSIP: 007025109 Symbol: ADTX | | | | | | | |
| 10/20/2020 | 143.00 | 308.85 | 10/19/2020 | 331.76 | 22.91 D | 0.00 | Sale |
| 10/20/2020 | 157.00 | 339.09 | 10/19/2020 | 364.24 | 25.15 D | 0.00 | Sale |
| 10/21/2020 | 150.00 | 314.97 | Various | 343.04 | 0.00 | -28.07 | Sale |
| 10/21/2020 | 200.00 | 431.97 | Various | 456.04 | 22.14 D | -1.93 | Sale |
| 11/19/2020 | 67.00 | 146.71 | 11/19/2020 | 156.80 | 0.00 | -10.09 | Sale |
| 11/20/2020 | 67.00 | 134.65 | Various | 156.80 | 0.00 | -22.15 | Sale |
| Security Totals: | | 1,676.24 | | 1,808.68 | | -62.24 | |
| RA MEDICAL SYSTEMS INC COMMON STOCK CUSIP: 74933X104 Symbol: RMED | | | | | | | |
| 09/30/2020 | 1,215.00 | 438.50 | 09/29/2020 | 388.80 | 0.00 | 49.70 | Sale |
| GROWGENERATION CORP COMMON STOCK CUSIP: 39986L109 Symbol: GRWG | | | | | | | |
| 09/30/2020 | 20.00 | 314.18 | 09/29/2020 | 311.98 | 0.00 | 2.20 | Sale |

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APEX CLEARING

Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B*

OMB No. 1545-0715

5NA77394

(continued)

02/02/2021

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 | | | | | | | |
| 10/02/2020 | 10.00 | 149.08 | 10/01/2020 | 154.00 | 4.92 D | 0.00 | Sale |
| 10/14/2020 | 20.00 | 360.58 | Various | 376.72 | 16.14 D | 0.00 | Sale |
| 11/05/2020 | 26.00 | 552.99 | Various | 529.64 | 0.00 | 23.35 | Sale |
| 11/11/2020 | 50.00 | 1,137.46 | 11/11/2020 | 1,144.00 | 1.7 D | -4.84 | Sale |
| 11/17/2020 | 13.00 | 341.75 | 11/16/2020 | 348.77 | 0.00 | -7.02 | Sale |
| Security Totals: | | 2,856.04 | | 2,865.11 | | 13.69 | |
| KIROMIC BIOPHARMA INC COMMON STOCK CUSIP: 497634105 Symbol: KRBP | | | | | | | |
| 12/22/2020 | 2.00 | 19.60 | 12/22/2020 | 20.36 | 0.76 D | 0.00 | Sale |
| 12/22/2020 | 78.00 | 746.43 | Various | 827.20 | 0.00 | -80.77 | Sale |
| Security Totals: | | 766.03 | | 847.56 | | -80.77 | |
| BLINK CHARGING CO COMMON STOCK CUSIP: 09354A100 Symbol: BLNK | | | | | | | |
| 10/15/2020 | 40.00 | 391.18 | 10/13/2020 | 370.00 | 0.00 | 21.18 | Sale |
| 10/16/2020 | 30.00 | 286.98 | 10/15/2020 | 284.40 | 0.00 | 2.58 | Sale |
| 11/05/2020 | 80.00 | 731.59 | 11/04/2020 | 713.60 | 0.00 | 17.99 | Sale |
| 11/16/2020 | 35.00 | 411.60 | Various | 352.45 | 0.00 | 59.15 | Sale |
| 11/17/2020 | 47.00 | 580.47 | Various | 569.90 | 3.84 D | 14.41 | Sale |
| 11/19/2020 | 24.00 | 438.04 | Various | 374.05 | 0.00 | 63.99 | Sale |
| 11/23/2020 | 4.00 | 115.10 | 11/23/2020 | 103.85 | 0.00 | 11.25 | Sale |
| 11/23/2020 | 31.00 | 967.16 | Various | 979.43 | 12.27 D | 0.00 | Sale |
| 11/23/2020 | 11.00 | 304.46 | Various | 293.26 | 0.00 | 11.20 | Sale |
| 11/23/2020 | 44.00 | 1,055.96 | Various | 937.40 | 22.39 D | 140.95 | Sale |
| 12/08/2020 | 2.00 | 52.40 | 12/04/2020 | 46.40 | 0.00 | 6.00 | Sale |
| 12/18/2020 | 26.00 | 958.58 | Various | 980.43 | 21.85 D | 0.00 | Sale |
| 12/21/2020 | 4.00 | 140.78 | Various | 152.64 | 11.86 D | 0.00 | Sale |
| 12/22/2020 | 5.00 | 214.18 | Various | 199.44 | 0.00 | 14.74 | Sale |
| 12/24/2020 | 5.00 | 250.53 | 12/24/2020 | 227.76 | 0.00 | 22.77 | Sale |
| 12/24/2020 | 21.00 | 1,111.91 | Various | 1,095.13 | 7.56 D | 24.34 | Sale |
| Security Totals: | | 8,010.92 | | 7,680.14 | | 410.55 | |

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APEX CLEARING

Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B*

OMB No. 1545-0715

5NA77394

(continued)

02/02/2021

SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

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

Box 2: Type of Gain or Loss - Short-Term (unless indicated as Ordinary in Additional Notes Column)**Box 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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|---|-----------------|----------------------|---------------------------|---------------------------------|--|-------------------------|-------------------------|
| DROPBOX INC CLASS A COMMON STOCK CUSIP: 26210C104 Symbol: DBX | | | | | | | |
| 12/14/2020 | 4.00 | 94.86 | 12/14/2020 | 97.52 | 0.00 | -2.66 | Sale |
| CALL ACB 12/24/20 10 AURORA CANNABIS INC CUSIP: Symbol: ACB201224C00010000 | | | | | | | |
| 12/23/2020 | 5.00 | 49.58 | 12/23/2020 | 75.41 | 0.00 | -25.83 | Sell to Close |
| 12/23/2020 | 4.00 | 31.66 | 12/23/2020 | 60.32 | 7.17 D | -21.49 | Sell to Close |
| 12/24/2020 | 2.00 | 0.00 | Various | 32.33 | 0.00 | -32.33 | Expiration |
| Security Totals: | | 81.24 | | 168.06 | | -79.65 | |
| TRADE DESK INC (THE) CLASS A COMMON STOCK CUSIP: 88339J105 Symbol: TTD | | | | | | | |
| 10/14/2020 | 1.00 | 659.44 | 10/13/2020 | 652.13 | 0.00 | 7.31 | Sale |
| 10/16/2020 | 1.00 | 612.09 | 10/15/2020 | 601.97 | 0.00 | 10.12 | Sale |
| Security Totals: | | 1,271.53 | | 1,254.10 | | 17.43 | |
| CALL SPAQ 11/20/20 15 SPARTAN ENRGY ACQUISITION CORP CUSIP: Symbol: SPAQ201120C00015000 | | | | | | | |
| 10/22/2020 | 1.00 | 64.90 | 10/14/2020 | 210.08 | 0.00 | -145.18 | Sell to Close |
| CALL GUSH 03/19/21 60 DIREXION DLY S&P OIL & GAS EXP CUSIP: Symbol: GUSH210319C00060000 | | | | | | | |
| 12/31/2020 | 1.00 | 169.90 | 12/28/2020 | 228.25 | 58.35 D | 0.00 | Sell to Close |
| 12/31/2020 | 2.00 | 353.82 | 12/28/2020 | 440.16 | 86.34 D | 0.00 | Sell to Close |
| Security Totals: | | 523.72 | | 668.41 | | 0.00 | |
| CALL DIS 12/18/20 180 WALT DISNEY CO CUSIP: Symbol: DIS201218C00180000 | | | | | | | |
| 12/11/2020 | 1.00 | 404.90 | 12/11/2020 | 204.08 | 0.00 | 200.82 | Sell to Close |
| PUT DIS 12/18/20 175 WALT DISNEY CO CUSIP: Symbol: DIS201218P00175000 | | | | | | | |
| 12/11/2020 | 1.00 | 429.90 | 12/11/2020 | 375.08 | 0.00 | 54.82 | Sell to Close |
| ***ZOMEDICA CORP COM CUSIP: 98980M109 Symbol: ZOM | | | | | | | |
| 11/13/2020 | 5,280.00 | 620.35 | 11/13/2020 | 582.91 | 0.00 | 37.44 | Sale |
| 12/31/2020 | 656.00 | 164.24 | 12/31/2020 | 169.18 | 4.94 D | 0.00 | Sale |
| Security Totals: | | 784.59 | | 752.09 | | 37.44 | |
| ***LUOKUNG TECHNOLOGY CORP ORDINARY SHARES CUSIP: G56981106 Symbol: LKCO | | | | | | | |
| 12/23/2020 | 509.00 | 485.51 | 12/23/2020 | 534.45 | 48.94 D | 0.00 | Sale |
| 12/23/2020 | 520.00 | 498.44 | 12/23/2020 | 504.17 | 5.73 D | 0.00 | Sale |
| 12/23/2020 | 390.00 | 370.44 | 12/23/2020 | 378.12 | 7.68 D | 0.00 | Sale |
| 12/23/2020 | 1,011.00 | 1,010.85 | Various | 1,093.40 | 0.00 | -82.55 | Sale |

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APEX CLEARING

Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B*

OMB No. 1545-0715

5NA77394

(continued)

02/02/2021

SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

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

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|--|----------|------------------|--------------------|--------------------------|---|------------------|------------------|
| ***LUOKUNG TECHNOLOGY CORP ORDINARY SHARES CUSIP: G56981106 Symbol: LKCO | | | | | | | |
| 12/23/2020 | 1,011.00 | 1,010.85 | Various | 1,078.63 | 0.00 | -67.78 | Sale |
| 12/23/2020 | 1,166.00 | 1,108.88 | Various | 1,010.36 | 0.00 | 98.52 | Sale |
| 12/23/2020 | 1,525.00 | 1,478.88 | Various | 1,604.20 | 125.35 D | 0.03 | Sale |
| 12/23/2020 | 1,385.00 | 1,360.44 | Various | 1,304.10 | 0.00 | 56.34 | Sale |
| 12/23/2020 | 3,118.00 | 3,060.50 | 12/23/2020 | 3,023.04 | 0.00 | 37.46 | Sale |
| Security Totals: | | 10,384.79 | | 10,530.47 | | 42.02 | |
| CALL HCAC 12/18/20 20 HENNESSY CAPITAL ACQUESTION CRP CUSIP: Symbol: HCAC201218C00020000 | | | | | | | |
| 12/11/2020 | 1.00 | 249.90 | 12/07/2020 | 195.08 | 0.00 | 54.82 | Sell to Close |
| VERTEX ENERGY INC CUSIP: 92534K107 Symbol: VTNR | | | | | | | |
| 10/09/2020 | 500.00 | 250.08 | 10/08/2020 | 329.95 | 0.00 | -79.87 | Sale |
| CALL PLTR 12/11/20 30 PALANTIR TECHNOLOGIES INC CL A CUSIP: Symbol: PLTR201211C00030000 | | | | | | | |
| 12/08/2020 | 2.00 | 367.82 | 12/07/2020 | 150.16 | 0.00 | 217.66 | Sell to Close |
| 12/08/2020 | 2.00 | 179.82 | 12/07/2020 | 150.16 | 0.00 | 29.66 | Sell to Close |
| Security Totals: | | 547.64 | | 300.32 | | 247.32 | |
| GULFPORT ENERGY CORPORATION COMMON STOCK CUSIP: 402635304 Symbol: GPOR | | | | | | | |
| 10/19/2020 | 1,500.00 | 374.81 | 10/16/2020 | 508.95 | 0.00 | -134.14 | Sale |
| HENNESSY CAPITAL ACQUISITION CORP IV CLASS A COMMON STOCK CUSIP: 42589C104 Symbol: HCAC | | | | | | | |
| 12/07/2020 | 32.00 | 533.69 | 12/07/2020 | 556.48 | 0.00 | -22.79 | Sale |
| 12/11/2020 | 1.00 | 19.58 | 12/07/2020 | 17.39 | 0.00 | 2.19 | Sale |
| 12/11/2020 | 2.00 | 42.30 | 12/07/2020 | 34.78 | 0.00 | 7.52 | Sale |
| 12/11/2020 | 8.00 | 161.98 | 12/07/2020 | 139.12 | 0.00 | 22.86 | Sale |
| Security Totals: | | 757.55 | | 747.77 | | 9.78 | |
| AMCI ACQUISITION CORP CLASS A COMMON STOCK CUSIP: 00165R101 Symbol: AMCI | | | | | | | |
| 11/30/2020 | 54.00 | 691.17 | 11/30/2020 | 697.68 | 6.51 D | 0.00 | Sale |
| 12/04/2020 | 75.00 | 999.71 | 12/04/2020 | 986.25 | 0.00 | 13.46 | Sale |
| 12/04/2020 | 81.00 | 1,004.36 | Various | 995.52 | 0.00 | 8.84 | Sale |
| 12/07/2020 | 75.00 | 1,001.21 | Various | 1,008.29 | 7.28 D | 0.20 | Sale |
| 12/21/2020 | 27.00 | 341.92 | 12/18/2020 | 366.89 | 24.97 D | 0.00 | Sale |
| 12/21/2020 | 28.00 | 367.06 | 12/18/2020 | 380.47 | 13.41 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

5NA77394

(continued)

02/02/2021

SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

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

Box 2: Type of Gain or Loss - Short-Term (unless indicated as Ordinary in Additional Notes Column)**Box 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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|---|----------|-----------------|--------------------|--------------------------|---|------------------|------------------|
| AMCI ACQUISITION CORP CLASS A COMMON STOCK CUSIP: 00165R101 Symbol: AMCI | | | | | | | |
| 12/22/2020 | 18.00 | 269.16 | 12/22/2020 | 249.27 | 0.00 | 19.89 | Sale |
| 12/22/2020 | 54.00 | 740.85 | Various | 780.02 | 39.17 D | 0.00 | Sale |
| 12/23/2020 | 34.00 | 505.21 | Various | 522.64 | 17.43 D | 0.00 | Sale |
| 12/28/2020 | 12.00 | 193.78 | Various | 190.53 | 0.00 | 3.25 | Sale |
| 12/28/2020 | 36.00 | 563.37 | Various | 574.31 | 11.18 D | 0.24 | Sale |
| 12/30/2020 | 31.00 | 479.54 | Various | 521.90 | 42.36 D | 0.00 | Sale |
| Security Totals: | | 7,157.34 | | 7,273.77 | | 45.88 | |
| HARBOR CUSTOM DEVELOPMENT INC COMMON STOCK CUSIP: 41150T108 Symbol: HCDI | | | | | | | |
| 12/18/2020 | 51.00 | 322.30 | 12/18/2020 | 368.73 | 0.00 | -46.43 | Sale |
| CURO GROUP HOLDINGS CORP COMMON STOCK CUSIP: 23131L107 Symbol: CURO | | | | | | | |
| 12/18/2020 | 11.00 | 177.08 | 12/18/2020 | 188.39 | 0.00 | -11.31 | Sale |
| 12/18/2020 | 22.00 | 348.24 | 12/18/2020 | 338.25 | 0.00 | 9.99 | Sale |
| 12/18/2020 | 33.00 | 537.87 | Various | 552.75 | 0.07 D | -14.81 | Sale |
| Security Totals: | | 1,063.19 | | 1,079.39 | | -16.13 | |
| CALL RIDE 11/27/20 28.50 LORDSTOWN MOTORS CRP CL A CUSIP: Symbol: RIDE201127C00028500 | | | | | | | |
| 11/24/2020 | 1.00 | 79.90 | 11/23/2020 | 148.08 | 0.00 | -68.18 | Sell to Close |
| ***URBAN TEA INC ORDINARY SHARES CUSIP: G9396G118 Symbol: MYT | | | | | | | |
| 12/29/2020 | 209.00 | 466.03 | 12/29/2020 | 493.24 | 0.00 | -27.21 | Sale |
| TIMBER PHARMACEUTICALS INC COMMON STOCK CUSIP: 887080109 Symbol: TMBR | | | | | | | |
| 10/22/2020 | 300.00 | 392.95 | 10/21/2020 | 418.50 | 0.00 | -25.55 | Sale |
| ***JUST ENERGY GROUP INC COMMON SHARES CUSIP: 48213W408 Symbol: JE | | | | | | | |
| 10/06/2020 | 50.00 | 247.48 | 10/05/2020 | 260.50 | 13.02 D | 0.00 | Sale |
| 10/08/2020 | 50.00 | 267.98 | 10/06/2020 | 285.52 | 17.54 D | 0.00 | Sale |
| 10/09/2020 | 50.00 | 352.98 | 10/08/2020 | 340.04 | 0.00 | 12.94 | Sale |
| 10/09/2020 | 50.00 | 329.98 | 10/08/2020 | 322.50 | 0.00 | 7.48 | Sale |
| Security Totals: | | 1,198.42 | | 1,208.56 | | 20.42 | |
| TORTOISE ACQUISITION CORP CLASS A COMMON STOCK CUSIP: 89154L100 Symbol: SHLL | | | | | | | |
| 09/30/2020 | 7.00 | 351.80 | Various | 319.53 | 0.00 | 32.27 | Sale |

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APEX CLEARING

Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B*

OMB No. 1545-0715

5NA77394

(continued)

02/02/2021

SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

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

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|--|----------|-----------------|--------------------|--------------------------|---|------------------|------------------|
| ***X FINANCIAL AMERICAN DEPOSITARY SHARES ECH REPSNTNG TWO CLS A ORDINARY SHS CUSIP: 98372W103 Symbol: XYF | | | | | | | |
| 10/21/2020 | 480.00 | 494.32 | Various | 505.20 | 0.00 | -10.88 | Sale |
| ENPHASE ENERGY INC CUSIP: 29355A107 Symbol: ENPH | | | | | | | |
| 10/08/2020 | 3.00 | 319.93 | 10/06/2020 | 291.00 | 0.00 | 28.93 | Sale |
| OASIS PETROLEUM INC COMMON STOCK CUSIP: 674215108 Symbol: OAS | | | | | | | |
| 10/05/2020 | 2,000.00 | 321.95 | 10/02/2020 | 372.00 | 0.00 | -50.05 | Sale |
| MP MATERIALS CORP CLASS A COMMON STOCK CUSIP: 553368101 Symbol: MP | | | | | | | |
| 11/19/2020 | 16.00 | 250.06 | Various | 240.20 | 0.00 | 9.86 | Sale |
| 12/10/2020 | 25.00 | 644.03 | 12/08/2020 | 734.75 | 0.00 | -90.72 | Sale |
| Security Totals: | | 894.09 | | 974.95 | | -80.86 | |
| PHUNWARE INC COMMON STOCK CUSIP: 71948P100 Symbol: PHUN | | | | | | | |
| 10/08/2020 | 200.00 | 191.95 | 10/07/2020 | 210.00 | 0.00 | -18.05 | Sale |
| 12/11/2020 | 776.00 | 620.69 | Various | 626.20 | 5.51 D | 0.00 | Sale |
| 12/11/2020 | 776.00 | 620.69 | Various | 621.40 | 4.03 D | 3.32 | Sale |
| 12/11/2020 | 949.00 | 744.84 | 12/11/2020 | 749.14 | 4.3 D | 0.00 | Sale |
| 12/16/2020 | 420.00 | 409.44 | Various | 421.59 | 12.15 D | 0.00 | Sale |
| 12/16/2020 | 420.00 | 390.75 | Various | 432.08 | 41.33 D | 0.00 | Sale |
| 12/17/2020 | 351.00 | 333.40 | Various | 351.93 | 18.53 D | 0.00 | Sale |
| 12/28/2020 | 373.00 | 469.92 | Various | 507.88 | 37.96 D | 0.00 | Sale |
| 12/28/2020 | 373.00 | 421.74 | Various | 531.85 | 110.11 D | 0.00 | Sale |
| Security Totals: | | 4,203.42 | | 4,452.07 | | -14.73 | |
| ***EURODRY LTD COMMON SHARES CUSIP: Y23508107 Symbol: EDRY | | | | | | | |
| 11/11/2020 | 50.00 | 676.47 | 11/11/2020 | 487.50 | 0.00 | 188.97 | Sale |
| 11/11/2020 | 50.00 | 652.47 | 11/11/2020 | 487.50 | 0.00 | 164.97 | Sale |
| 11/11/2020 | 100.00 | 1,044.96 | 11/11/2020 | 800.00 | 0.00 | 244.96 | Sale |
| Security Totals: | | 2,373.90 | | 1,775.00 | | 598.90 | |
| FATE THERAPEUTICS INC CUSIP: 31189P102 Symbol: FATE | | | | | | | |
| 10/06/2020 | 4.00 | 166.28 | 10/05/2020 | 160.46 | 0.00 | 5.82 | Sale |
| ACORDA THERAPEUTICS INC CUSIP: 00484M106 Symbol: ACOR | | | | | | | |
| 10/20/2020 | 175.00 | 278.22 | 10/20/2020 | 268.29 | 0.00 | 9.93 | Sale |

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Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B*

OMB No. 1545-0715

5NA77394

(continued)

02/02/2021

SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

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

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|--|----------|-----------------|--------------------|--------------------------|---|------------------|------------------|
| ACORDA THERAPEUTICS INC CUSIP: 00484M106 Symbol: ACOR | | | | | | | |
| 10/20/2020 | 275.00 | 461.95 | 10/20/2020 | 421.59 | 0.00 | 40.36 | Sale |
| 10/20/2020 | 300.00 | 476.94 | 10/20/2020 | 459.92 | 0.00 | 17.02 | Sale |
| Security Totals: | | 1,217.11 | | 1,149.80 | | 67.31 | |
| CALL DBX 12/18/20 23.50 DROPBOX INC CUSIP: Symbol: DBX201218C00023500 | | | | | | | |
| 12/14/2020 | 3.00 | 215.74 | 12/14/2020 | 285.24 | 0.00 | -69.50 | Sell to Close |
| 12/15/2020 | 2.00 | 123.82 | 12/14/2020 | 190.16 | 0.00 | -66.34 | Sell to Close |
| Security Totals: | | 339.56 | | 475.40 | | -135.84 | |
| CALL CORR 01/15/21 10 COREENERGY INFRASTRUCTRE TR INC CUSIP: Symbol: CORR210115C00010000 | | | | | | | |
| 12/14/2020 | 1.00 | 32.90 | 12/09/2020 | 98.25 | 0.00 | -65.35 | Sell to Close |
| 12/14/2020 | 3.00 | 95.74 | Various | 185.24 | 43.17 D | -46.33 | Sell to Close |
| Security Totals: | | 128.64 | | 283.49 | | -111.68 | |
| LEMONADE INC COMMON STOCK CUSIP: 52567D107 Symbol: LMND | | | | | | | |
| 12/04/2020 | 12.00 | 961.29 | Various | 996.36 | 31.93 D | -3.14 | Sale |
| 12/11/2020 | 9.00 | 885.30 | Various | 940.94 | 0.00 | -55.64 | Sale |
| 12/17/2020 | 1.00 | 98.24 | 12/16/2020 | 98.88 | 0.00 | -0.64 | Sale |
| Security Totals: | | 1,944.83 | | 2,036.18 | | -59.42 | |
| LONESTAR RESOURCES US INC CLASS A COMMON STOCK CUSIP: 54240F103 Symbol: LONE | | | | | | | |
| 10/02/2020 | 707.00 | 339.27 | 10/01/2020 | 240.38 | 0.00 | 98.89 | Sale |
| 10/02/2020 | 793.00 | 364.60 | Various | 288.12 | 0.00 | 76.48 | Sale |
| Security Totals: | | 703.87 | | 528.50 | | 175.37 | |
| CALL CCL 12/18/20 21 CARNIVAL CORP CUSIP: Symbol: CCL201218C00021000 | | | | | | | |
| 12/04/2020 | 1.00 | 265.90 | 11/25/2020 | 163.08 | 0.00 | 102.82 | Sell to Close |
| SCWORX CORP COMMON STOCK CUSIP: 78396V109 Symbol: WORX | | | | | | | |
| 10/01/2020 | 63.00 | 94.48 | 09/30/2020 | 98.28 | 0.00 | -3.80 | Sale |
| 10/01/2020 | 87.00 | 132.21 | 09/30/2020 | 135.72 | 0.00 | -3.51 | Sale |
| 10/01/2020 | 350.00 | 531.94 | 09/30/2020 | 546.00 | 14.06 D | 0.00 | Sale |
| 10/05/2020 | 350.00 | 493.83 | Various | 541.40 | 0.00 | -47.57 | Sale |

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2020 Form 1099-B*

OMB No. 1545-0715

5NA77394

(continued)

02/02/2021

SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

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

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|---|----------|-----------------|--------------------|--------------------------|---|------------------|------------------|
| SCWORX CORP COMMON STOCK CUSIP: 78396V109 Symbol: WORX | | | | | | | |
| 11/05/2020 | 600.00 | 623.91 | 11/05/2020 | 636.00 | 0.00 | -12.09 | Sale |
| Security Totals: | | 1,876.37 | | 1,957.40 | | -66.97 | |
| SWITCHBACK ENERGY ACQUISITION CORPORATION CLASS A COMMON STOCK CUSIP: 87105M102 Symbol: SBE | | | | | | | |
| 12/21/2020 | 13.00 | 501.77 | Various | 494.10 | 6.23 D | 13.90 | Sale |
| 12/21/2020 | 4.00 | 136.02 | 12/21/2020 | 147.36 | 11.34 D | 0.00 | Sale |
| 12/22/2020 | 3.00 | 124.93 | 12/21/2020 | 111.96 | 0.00 | 12.97 | Sale |
| 12/22/2020 | 4.00 | 177.18 | 12/22/2020 | 172.76 | 0.00 | 4.42 | Sale |
| 12/22/2020 | 41.00 | 1,717.03 | Various | 1,735.26 | 32.78 D | 14.55 | Sale |
| 12/22/2020 | 2.00 | 81.52 | 12/21/2020 | 74.64 | 0.00 | 6.88 | Sale |
| 12/22/2020 | 10.00 | 430.68 | 12/22/2020 | 431.90 | 0.00 | -1.22 | Sale |
| 12/23/2020 | 25.00 | 1,151.46 | 12/23/2020 | 1,216.03 | 0.00 | -64.57 | Sale |
| Security Totals: | | 4,320.59 | | 4,384.01 | | -13.07 | |
| ADOBE INC COMMON STOCK CUSIP: 00724F101 Symbol: ADBE | | | | | | | |
| 11/30/2020 | 2.00 | 954.02 | 11/25/2020 | 939.88 | 0.00 | 14.14 | Sale |
| CALL PLTR 12/31/20 30 PALANTIR TECHNOLOGIES INC CL A CUSIP: Symbol: PLTR201231C00030000 | | | | | | | |
| 12/14/2020 | 1.00 | 225.90 | 12/14/2020 | 230.08 | 0.00 | -4.18 | Sell to Close |
| MYOMO INC COMMON STOCK CUSIP: 62857J201 Symbol: MYO | | | | | | | |
| 11/10/2020 | 100.00 | 577.97 | 11/10/2020 | 614.00 | 0.00 | -36.03 | Sale |
| 11/10/2020 | 100.00 | 570.97 | 11/10/2020 | 614.00 | 0.00 | -43.03 | Sale |
| Security Totals: | | 1,148.94 | | 1,228.00 | | -79.06 | |
| CALL OXY 02/19/21 24 OCCIDENTAL PETROLEUM CORP CUSIP: Symbol: OXY210219C00024000 | | | | | | | |
| 12/14/2020 | 1.00 | 142.90 | 12/08/2020 | 106.08 | 0.00 | 36.82 | Sell to Close |
| SHIFTPIXY INC COMMON STOCK CUSIP: 82452L203 Symbol: PIXY | | | | | | | |
| 10/15/2020 | 110.00 | 285.00 | 10/14/2020 | 302.50 | 0.00 | -17.50 | Sale |
| 12/09/2020 | 166.00 | 433.60 | 12/09/2020 | 499.48 | 0.00 | -65.88 | Sale |
| 12/10/2020 | 166.00 | 411.83 | 12/09/2020 | 499.47 | 0.00 | -87.64 | Sale |
| Security Totals: | | 1,130.43 | | 1,301.45 | | -171.02 | |
| NEUROMETRIX INC COMMON STOCK CUSIP: 641255807 Symbol: NURO | | | | | | | |
| 12/08/2020 | 93.00 | 370.12 | 12/08/2020 | 349.68 | 0.00 | 20.44 | Sale |

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APEX CLEARING

Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B*

OMB No. 1545-0715

5NA77394

(continued)

02/02/2021

SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

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

Box 2: Type of Gain or Loss - Short-Term (unless indicated as Ordinary in Additional Notes Column)**Box 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 |
|---|----------|-----------------|--------------------|--------------------------|---|------------------|------------------|
| DESKTOP METAL INC CLASS A COMMON STOCK CUSIP: 25058X105 Symbol: DM | | | | | | | |
| 12/11/2020 | 23.00 | 453.52 | 12/11/2020 | 498.15 | 44.63 D | 0.00 | Sale |
| 12/11/2020 | 68.00 | 1,348.71 | 12/11/2020 | 1,472.81 | 124.1 D | 0.00 | Sale |
| 12/14/2020 | 54.00 | 974.66 | Various | 1,097.34 | 0.00 | -122.68 | Sale |
| 12/14/2020 | 66.00 | 1,169.48 | 12/14/2020 | 1,301.85 | 96.27 D | -36.10 | Sale |
| 12/21/2020 | 19.00 | 335.52 | 12/21/2020 | 383.15 | 0.00 | -47.63 | Sale |
| Security Totals: | | 4,281.89 | | 4,753.30 | | -206.41 | |
| ***IMMUTEP LIMITED AMERICAN DEPOSITARY SHARES CUSIP: 45257L108 Symbol: IMMP | | | | | | | |
| 12/10/2020 | 79.00 | 489.77 | 12/10/2020 | 617.01 | 0.00 | -127.24 | Sale |
| 12/10/2020 | 98.00 | 598.75 | 12/10/2020 | 749.70 | 121.68 D | -29.27 | Sale |
| Security Totals: | | 1,088.52 | | 1,366.71 | | -156.51 | |
| ZW DATA ACTION TECHNOLOGIES INC COMMON STOCK CUSIP: 98880R109 Symbol: CNET | | | | | | | |
| 11/17/2020 | 156.00 | 249.57 | 11/17/2020 | 251.16 | 1.3 D | -0.29 | Sale |
| 12/09/2020 | 128.00 | 317.55 | 12/09/2020 | 350.74 | 33.19 D | 0.00 | Sale |
| 12/31/2020 | 376.00 | 504.19 | Various | 559.18 | 54.99 D | 0.00 | Sale |
| Security Totals: | | 1,071.31 | | 1,161.08 | | -0.29 | |
| CALL AAPL 12/31/20 134 APPLE INC CUSIP: Symbol: AAPL201231C00134000 | | | | | | | |
| 12/28/2020 | 1.00 | 286.90 | 12/24/2020 | 185.08 | 0.00 | 101.82 | Sell to Close |
| FIVE PRIME THERAPEUTICS INC COM CUSIP: 33830X104 Symbol: FPRX | | | | | | | |
| 11/10/2020 | 100.00 | 1,270.96 | 11/10/2020 | 1,324.00 | 15.91 D | -37.13 | Sale |
| 11/11/2020 | 5.00 | 108.43 | 11/11/2020 | 112.05 | 0.00 | -3.62 | Sale |
| 11/11/2020 | 5.00 | 106.73 | 11/11/2020 | 112.05 | 0.00 | -5.32 | Sale |
| 11/11/2020 | 5.00 | 105.58 | 11/11/2020 | 109.75 | 0.00 | -4.17 | Sale |
| 11/11/2020 | 5.00 | 105.03 | 11/11/2020 | 109.75 | 0.00 | -4.72 | Sale |
| 11/11/2020 | 10.00 | 211.08 | 11/11/2020 | 206.31 | 0.00 | 4.77 | Sale |
| Security Totals: | | 1,907.81 | | 1,973.91 | | -50.19 | |
| JAKKS PACIFIC INC COMMON STOCK CUSIP: 47012E403 Symbol: JAKK | | | | | | | |
| 11/03/2020 | 125.00 | 682.47 | Various | 739.24 | 0.00 | -56.77 | Sale |

APEX CLEARING

Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B*

OMB No. 1545-0715

5NA77394

(continued)

02/02/2021

SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

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

Box 2: Type of Gain or Loss - Short-Term (unless indicated as Ordinary in Additional Notes Column)**Box 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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|---|-----------------|----------------------|---------------------------|---------------------------------|--|-------------------------|-------------------------|
| YUNHONG CTI LTD COMMON STOCK CUSIP: 98873Q100 Symbol: CTIB | | | | | | | |
| 10/14/2020 | 100.00 | 163.98 | 10/13/2020 | 170.89 | 0.00 | -6.91 | Sale |
| AGEAGLE AERIAL SYSTEMS INC COMMON STOCK CUSIP: 00848K101 Symbol: UAVS | | | | | | | |
| 11/06/2020 | 211.00 | 481.03 | Various | 503.02 | 21.99 D | 0.00 | Sale |
| 11/06/2020 | 340.00 | 800.64 | Various | 732.10 | 0.00 | 68.54 | Sale |
| 11/06/2020 | 200.00 | 451.97 | 11/06/2020 | 466.00 | 14.03 D | 0.00 | Sale |
| 11/13/2020 | 92.00 | 262.18 | Various | 266.67 | 4.49 D | 0.00 | Sale |
| 11/13/2020 | 102.00 | 287.11 | Various | 275.77 | 0.00 | 11.34 | Sale |
| 11/13/2020 | 131.00 | 373.32 | Various | 370.14 | 0.88 D | 4.06 | Sale |
| 11/13/2020 | 293.00 | 826.21 | Various | 733.98 | 0.00 | 92.23 | Sale |
| 11/16/2020 | 177.00 | 523.00 | 11/16/2020 | 546.93 | 23.93 D | 0.00 | Sale |
| 11/16/2020 | 252.00 | 622.39 | Various | 792.95 | 170.56 D | 0.00 | Sale |
| 11/16/2020 | 266.00 | 751.40 | Various | 840.30 | 88.90 D | 0.00 | Sale |
| 11/16/2020 | 659.00 | 1,991.76 | Various | 1,920.95 | 7.17 D | 77.98 | Sale |
| 11/20/2020 | 564.00 | 1,551.51 | Various | 1,780.93 | 247.98 D | 18.56 | Sale |
| 11/24/2020 | 611.00 | 1,625.15 | Various | 1,819.51 | 194.36 D | 0.00 | Sale |
| 11/24/2020 | 509.00 | 1,400.21 | Various | 1,623.19 | 222.98 D | 0.00 | Sale |
| 11/30/2020 | 328.00 | 921.61 | Various | 995.09 | 73.48 D | 0.00 | Sale |
| 12/01/2020 | 462.00 | 1,294.03 | Various | 1,469.78 | 175.75 D | 0.00 | Sale |
| 12/02/2020 | 5.00 | 13.68 | 11/30/2020 | 15.11 | 1.43 D | 0.00 | Sale |
| 12/08/2020 | 562.00 | 1,461.09 | Various | 1,783.01 | 321.92 D | 0.00 | Sale |
| 12/09/2020 | 282.00 | 733.15 | Various | 935.28 | 202.13 D | 0.00 | Sale |
| 12/09/2020 | 281.00 | 722.12 | Various | 902.93 | 180.81 D | 0.00 | Sale |
| 12/14/2020 | 553.00 | 1,600.83 | Various | 1,851.85 | 251.02 D | 0.00 | Sale |
| 12/16/2020 | 402.00 | 1,182.24 | Various | 1,318.54 | 140.39 D | 4.09 | Sale |
| 12/16/2020 | 469.00 | 1,437.68 | Various | 1,614.31 | 176.85 D | 0.22 | Sale |
| 12/16/2020 | 536.00 | 1,554.30 | Various | 1,656.55 | 124.03 D | 21.78 | Sale |
| 12/16/2020 | 776.00 | 2,289.90 | Various | 2,551.08 | 261.18 D | 0.00 | Sale |
| 12/16/2020 | 470.00 | 1,452.72 | Various | 1,486.46 | 65.48 D | 31.74 | 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 |
|---|----------|---------------|--------------------|--------------------------|---|------------------|------------------|
| AGEAGLE AERIAL SYSTEMS INC COMMON STOCK CUSIP: 00848K101 Symbol: UAVS | | | | | | | |
| 12/16/2020 | 851.00 | 2,503.03 | Various | 2,716.47 | 217.82 D | 4.38 | Sale |
| 12/17/2020 | 301.00 | 978.18 | Various | 1,030.86 | 52.73 D | 0.05 | Sale |
| 12/17/2020 | 520.00 | 1,674.87 | Various | 1,848.50 | 173.63 D | 0.00 | Sale |
| 12/17/2020 | 1,056.00 | 3,336.75 | Various | 3,475.80 | 178.13 D | 39.08 | Sale |
| 12/18/2020 | 55.00 | 190.28 | Various | 202.25 | 11.97 D | 0.00 | Sale |
| 12/18/2020 | 115.00 | 401.46 | Various | 478.64 | 77.18 D | 0.00 | Sale |
| 12/18/2020 | 171.00 | 672.01 | Various | 732.90 | 60.89 D | 0.00 | Sale |
| 12/18/2020 | 230.00 | 809.55 | Various | 860.04 | 50.49 D | 0.00 | Sale |
| 12/18/2020 | 295.00 | 1,109.45 | Various | 1,257.49 | 148.04 D | 0.00 | Sale |
| 12/18/2020 | 262.00 | 1,011.26 | Various | 924.45 | 0.72 D | 87.53 | Sale |
| 12/18/2020 | 367.00 | 1,387.58 | Various | 1,431.57 | 43.99 D | 0.00 | Sale |
| 12/18/2020 | 342.00 | 1,343.99 | Various | 1,497.72 | 153.73 D | 0.00 | Sale |
| 12/18/2020 | 329.00 | 1,161.30 | Various | 1,271.54 | 110.24 D | 0.00 | Sale |
| 12/18/2020 | 461.00 | 1,655.41 | Various | 1,843.50 | 188.09 D | 0.00 | Sale |
| 12/18/2020 | 477.00 | 1,760.03 | Various | 2,021.05 | 261.02 D | 0.00 | Sale |
| 12/18/2020 | 511.00 | 2,105.21 | Various | 1,700.88 | 0.00 | 404.33 | Sale |
| 12/18/2020 | 589.00 | 2,097.37 | Various | 2,374.60 | 277.23 D | 0.00 | Sale |
| 12/18/2020 | 547.00 | 2,160.53 | Various | 2,293.55 | 133.02 D | 0.00 | Sale |
| 12/18/2020 | 601.00 | 2,236.60 | Various | 2,454.56 | 217.96 D | 0.00 | Sale |
| 12/18/2020 | 703.00 | 2,825.91 | Various | 3,002.09 | 176.18 D | 0.00 | Sale |
| 12/18/2020 | 795.00 | 2,973.14 | Various | 3,265.74 | 292.60 D | 0.00 | Sale |
| 12/18/2020 | 813.00 | 3,072.97 | Various | 3,269.51 | 196.54 D | 0.00 | Sale |
| 12/18/2020 | 833.00 | 3,015.29 | Various | 3,294.58 | 279.29 D | 0.00 | Sale |
| 12/18/2020 | 937.00 | 3,812.65 | Various | 4,030.59 | 225.87 D | 7.93 | Sale |
| 12/18/2020 | 978.00 | 3,726.95 | Various | 3,954.72 | 227.77 D | 0.00 | Sale |
| 12/18/2020 | 1,137.00 | 4,446.43 | Various | 4,408.52 | 126.52 D | 164.43 | Sale |
| 12/21/2020 | 210.00 | 821.06 | Various | 844.38 | 23.32 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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|---|----------|---------------|--------------------|--------------------------|---|------------------|------------------|
| AGEAGLE AERIAL SYSTEMS INC COMMON STOCK CUSIP: 00848K101 Symbol: UAVS | | | | | | | |
| 12/21/2020 | 268.00 | 1,291.99 | Various | 1,296.42 | 34.52 D | 30.09 | Sale |
| 12/21/2020 | 477.00 | 2,366.87 | Various | 2,462.67 | 95.80 D | 0.00 | Sale |
| 12/21/2020 | 334.00 | 1,626.50 | Various | 1,428.74 | 0.00 | 197.76 | Sale |
| 12/21/2020 | 351.00 | 1,677.70 | Various | 1,828.97 | 153.63 D | 2.36 | Sale |
| 12/22/2020 | 62.00 | 363.92 | Various | 419.38 | 55.46 D | 0.00 | Sale |
| 12/22/2020 | 43.00 | 264.43 | 12/22/2020 | 285.53 | 21.1 D | 0.00 | Sale |
| 12/22/2020 | 125.00 | 788.86 | Various | 817.02 | 28.16 D | 0.00 | Sale |
| 12/22/2020 | 108.00 | 704.13 | 12/22/2020 | 720.36 | 16.23 D | 0.00 | Sale |
| 12/22/2020 | 173.00 | 989.51 | Various | 922.01 | 1.13 D | 68.63 | Sale |
| 12/22/2020 | 251.00 | 1,576.21 | Various | 1,637.87 | 61.66 D | 0.00 | Sale |
| 12/22/2020 | 435.00 | 2,870.88 | Various | 2,814.95 | 21.39 D | 77.32 | Sale |
| 12/22/2020 | 390.00 | 2,620.69 | Various | 2,238.59 | 0.00 | 382.10 | Sale |
| 12/22/2020 | 487.00 | 3,052.78 | Various | 3,249.28 | 194.79 D | -1.71 | Sale |
| 12/23/2020 | 57.00 | 466.23 | Various | 512.11 | 45.88 D | 0.00 | Sale |
| 12/23/2020 | 88.00 | 810.45 | Various | 772.35 | 0.00 | 38.10 | Sale |
| 12/23/2020 | 115.00 | 1,002.76 | 12/23/2020 | 1,052.29 | 49.53 D | 0.00 | Sale |
| 12/23/2020 | 117.00 | 1,070.51 | Various | 1,036.64 | 0.53 D | 34.40 | Sale |
| 12/23/2020 | 134.00 | 1,120.19 | Various | 1,121.99 | 10.65 D | 8.85 | Sale |
| 12/23/2020 | 141.00 | 1,046.17 | Various | 1,086.37 | 40.20 D | 0.00 | Sale |
| 12/23/2020 | 133.00 | 1,171.68 | 12/23/2020 | 1,163.75 | 0.00 | 7.93 | Sale |
| 12/23/2020 | 178.00 | 1,489.02 | Various | 1,290.29 | 0.00 | 198.73 | Sale |
| 12/23/2020 | 188.00 | 1,415.58 | Various | 1,700.11 | 284.53 D | 0.00 | Sale |
| 12/23/2020 | 200.00 | 1,511.94 | Various | 1,658.57 | 146.63 D | 0.00 | Sale |
| 12/23/2020 | 215.00 | 1,730.68 | Various | 2,048.57 | 317.89 D | 0.00 | Sale |
| 12/23/2020 | 230.00 | 2,046.92 | Various | 2,075.71 | 28.79 D | 0.00 | Sale |
| 12/23/2020 | 342.00 | 2,826.81 | Various | 3,102.20 | 275.39 D | 0.00 | Sale |
| 12/23/2020 | 287.00 | 2,153.05 | Various | 2,623.76 | 470.71 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

5NA77394

(continued)

02/02/2021

SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

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

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|---|-----------------|----------------------|---------------------------|---------------------------------|--|-------------------------|-------------------------|
| AGEAGLE AERIAL SYSTEMS INC COMMON STOCK CUSIP: 00848K101 Symbol: UAVS | | | | | | | |
| 12/23/2020 | 376.00 | 2,846.21 | Various | 3,304.19 | 457.98 D | 0.00 | Sale |
| 12/23/2020 | 382.00 | 3,038.38 | Various | 3,414.88 | 405.40 D | 28.90 | Sale |
| 12/23/2020 | 237.00 | 1,903.03 | Various | 2,399.76 | 496.73 D | 0.00 | Sale |
| 12/23/2020 | 384.00 | 2,956.68 | Various | 3,573.84 | 617.16 D | 0.00 | Sale |
| 12/23/2020 | 386.00 | 3,338.77 | Various | 3,108.79 | 13.81 D | 243.79 | Sale |
| 12/23/2020 | 425.00 | 3,187.37 | Various | 3,772.31 | 584.94 D | 0.00 | Sale |
| 12/23/2020 | 437.00 | 3,584.10 | Various | 4,167.53 | 583.43 D | 0.00 | Sale |
| 12/23/2020 | 393.00 | 3,489.71 | Various | 3,485.55 | 13.09 D | 17.25 | Sale |
| 12/23/2020 | 2.00 | 14.88 | 12/22/2020 | 12.70 | 0.00 | 2.18 | Sale |
| 12/23/2020 | 480.00 | 3,746.73 | Various | 4,240.06 | 493.33 D | 0.00 | Sale |
| 12/23/2020 | 248.00 | 1,835.12 | Various | 1,561.37 | 0.00 | 273.75 | Sale |
| 12/24/2020 | 99.00 | 663.27 | Various | 961.86 | 298.59 D | 0.00 | Sale |
| 12/24/2020 | 99.00 | 661.29 | Various | 968.02 | 306.73 D | 0.00 | Sale |
| 12/24/2020 | 232.00 | 1,615.73 | Various | 2,299.14 | 683.41 D | 0.00 | Sale |
| 12/24/2020 | 272.00 | 2,072.56 | Various | 2,682.58 | 610.02 D | 0.00 | Sale |
| 12/24/2020 | 312.00 | 2,292.58 | Various | 3,024.90 | 732.32 D | 0.00 | Sale |
| 12/28/2020 | 110.00 | 749.19 | Various | 1,079.25 | 330.06 D | 0.00 | Sale |
| 12/28/2020 | 125.00 | 784.97 | Various | 1,085.62 | 300.65 D | 0.00 | Sale |
| 12/28/2020 | 167.00 | 1,052.05 | Various | 1,701.52 | 649.47 D | 0.00 | Sale |
| 12/28/2020 | 219.00 | 1,500.08 | Various | 2,123.91 | 623.83 D | 0.00 | Sale |
| 12/28/2020 | 220.00 | 1,410.15 | Various | 1,987.68 | 577.53 D | 0.00 | Sale |
| 12/28/2020 | 241.00 | 1,619.98 | Various | 2,140.41 | 520.43 D | 0.00 | Sale |
| 12/29/2020 | 260.00 | 1,513.93 | Various | 2,467.35 | 953.42 D | 0.00 | Sale |
| Security Totals: | | 165,833.71 | | 182,668.65 | | 2,648.70 | |
| ***MINGZHU LOGISTICS HOLDINGS LIMITED ORDINARY SHARES CUSIP: G6180C105 Symbol: YGMZ | | | | | | | |
| 12/17/2020 | 16.00 | 218.22 | 12/17/2020 | 251.66 | 0.00 | -33.44 | Sale |
| 12/17/2020 | 40.00 | 359.98 | 12/17/2020 | 250.00 | 0.00 | 109.98 | Sale |

APEX CLEARING

Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B*

OMB No. 1545-0715

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(continued)

02/02/2021

SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

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

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|--|----------|-----------------|--------------------|--------------------------|---|------------------|------------------|
| ***MINGZHU LOGISTICS HOLDINGS LIMITED ORDINARY SHARES CUSIP: G6180C105 Symbol: YGMZ | | | | | | | |
| 12/17/2020 | 40.00 | 240.44 | 12/17/2020 | 250.00 | 3.82 D | -5.74 | Sale |
| Security Totals: | | 818.64 | | 751.66 | | 70.80 | |
| MEDLEY MANAGEMENT INC CLASS A COMMON STOCK CUSIP: 58503T205 Symbol: MDLY | | | | | | | |
| 11/17/2020 | 29.00 | 254.89 | 11/17/2020 | 275.50 | 0.00 | -20.61 | Sale |
| 11/17/2020 | 45.00 | 406.78 | Various | 400.71 | 0.00 | 6.07 | Sale |
| 11/17/2020 | 44.00 | 289.94 | 11/16/2020 | 301.40 | 11.46 D | 0.00 | Sale |
| 11/17/2020 | 56.00 | 489.97 | Various | 394.26 | 0.00 | 95.71 | Sale |
| Security Totals: | | 1,441.58 | | 1,371.87 | | 81.17 | |
| ***DUNXIN FINANCIAL HOLDINGS LIMITED AMERICAN DPSTRY SHS ECH RPRSNTNG FORTY EIGHT ORD CUSIP: 26605Q106 Symbol: DXF | | | | | | | |
| 10/16/2020 | 250.00 | 322.46 | 10/15/2020 | 335.00 | 0.00 | -12.54 | Sale |
| ***THUNDER BRIDGE ACQUISITION II LTD CLASS A ORDINARY SHARES CUSIP: G8857S116 Symbol: THBR | | | | | | | |
| 12/28/2020 | 23.00 | 335.32 | 12/28/2020 | 338.79 | 3.47 D | 0.00 | Sale |
| 12/28/2020 | 35.00 | 488.57 | Various | 496.62 | 8.05 D | 0.00 | Sale |
| Security Totals: | | 823.89 | | 835.41 | | 0.00 | |
| CALL BE 12/18/20 35 BLOOM ENERGY CORP CUSIP: Symbol: BE201218C00035000 | | | | | | | |
| 12/08/2020 | 3.00 | 239.74 | 12/08/2020 | 345.24 | 105.5 D | 0.00 | Sell to Close |
| 12/08/2020 | 4.00 | 339.66 | Various | 470.49 | 60.33 D | -70.50 | Sell to Close |
| 12/09/2020 | 4.00 | 119.66 | Various | 490.98 | 0.00 | -371.32 | Sell to Close |
| Security Totals: | | 699.06 | | 1,306.71 | | -441.82 | |
| WORKHORSE GROUP INC COM CUSIP: 98138J206 Symbol: WKHS | | | | | | | |
| 10/05/2020 | 12.00 | 286.66 | 10/02/2020 | 289.68 | 3.02 D | 0.00 | Sale |
| 10/08/2020 | 10.00 | 230.48 | 10/07/2020 | 245.52 | 15.04 D | 0.00 | Sale |
| 11/04/2020 | 25.00 | 463.47 | Various | 434.29 | 0.00 | 29.18 | Sale |
| 11/05/2020 | 50.00 | 869.97 | 11/04/2020 | 835.50 | 0.00 | 34.47 | Sale |
| 11/09/2020 | 40.00 | 700.37 | 11/06/2020 | 687.60 | 0.00 | 12.77 | Sale |
| 11/13/2020 | 50.00 | 1,034.96 | Various | 988.93 | 8.56 D | 54.59 | Sale |
| 11/16/2020 | 50.00 | 955.46 | Various | 993.56 | 38.10 D | 0.00 | Sale |
| 11/19/2020 | 19.00 | 430.90 | Various | 391.43 | 0.00 | 39.47 | Sale |

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APEX CLEARING

Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B*

OMB No. 1545-0715

5NA77394

(continued)

02/02/2021

SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

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

Box 2: Type of Gain or Loss - Short-Term (unless indicated as Ordinary in Additional Notes Column)**Box 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 | | | | | | | |
| 11/23/2020 | 30.00 | 858.57 | Various | 657.56 | 0.00 | 201.01 | Sale |
| 11/24/2020 | 10.00 | 255.68 | Various | 265.79 | 8.21 D | -1.90 | Sale |
| 12/16/2020 | 8.00 | 170.22 | Various | 186.44 | 16.22 D | 0.00 | Sale |
| Security Totals: | | 6,256.74 | | 5,976.30 | | 369.59 | |
| ENERGOUS CORPORATION CUSIP: 29272C103 Symbol: WATT | | | | | | | |
| 12/23/2020 | 167.00 | 384.25 | 12/23/2020 | 334.00 | 0.00 | 50.25 | Sale |
| 12/23/2020 | 334.00 | 768.51 | Various | 676.45 | 0.00 | 92.06 | Sale |
| 12/23/2020 | 168.00 | 431.91 | 12/23/2020 | 336.00 | 0.00 | 95.91 | Sale |
| 12/24/2020 | 32.00 | 67.86 | 12/24/2020 | 84.80 | 12.71 D | -4.23 | Sale |
| 12/24/2020 | 95.00 | 207.18 | 12/24/2020 | 251.75 | 44.57 D | 0.00 | Sale |
| 12/24/2020 | 127.00 | 320.01 | Various | 359.92 | 39.91 D | 0.00 | Sale |
| Security Totals: | | 2,179.72 | | 2,042.92 | | 233.99 | |
| WAITR HOLDINGS INC COMMON STOCK CUSIP: 930752100 Symbol: WTRH | | | | | | | |
| 11/24/2020 | 135.00 | 514.31 | 11/20/2020 | 496.80 | 0.00 | 17.51 | Sale |
| 12/09/2020 | 116.00 | 491.94 | 12/09/2020 | 529.90 | 0.00 | -37.96 | Sale |
| 12/09/2020 | 118.00 | 527.56 | Various | 510.91 | 1.68 D | 18.33 | Sale |
| 12/09/2020 | 346.00 | 1,467.34 | Various | 1,538.56 | 32.26 D | -38.96 | Sale |
| Security Totals: | | 3,001.15 | | 3,076.17 | | -41.08 | |
| ***ACASTI PHARMA INC CLASS A COM CUSIP: 00430K402 Symbol: ACST | | | | | | | |
| 12/23/2020 | 422.00 | 220.56 | 12/23/2020 | 222.01 | 1.45 D | 0.00 | Sale |
| 12/23/2020 | 423.00 | 201.96 | 12/23/2020 | 222.54 | 20.58 D | 0.00 | Sale |
| 12/23/2020 | 526.00 | 238.94 | 12/23/2020 | 249.85 | 10.91 D | 0.00 | Sale |
| 12/23/2020 | 931.00 | 419.85 | 12/23/2020 | 368.68 | 0.00 | 51.17 | Sale |
| 12/23/2020 | 760.00 | 323.13 | Various | 379.56 | 56.43 D | 0.00 | Sale |
| 12/23/2020 | 1,862.00 | 744.56 | Various | 682.15 | 0.00 | 62.41 | Sale |
| 12/23/2020 | 2,532.00 | 1,311.25 | Various | 1,316.12 | 27.42 D | 22.55 | Sale |
| 12/23/2020 | 3,513.00 | 1,458.14 | Various | 1,552.70 | 94.56 D | 0.00 | Sale |
| 12/23/2020 | 932.00 | 412.38 | 12/23/2020 | 369.07 | 0.00 | 43.31 | Sale |

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APEX CLEARING

Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B*

OMB No. 1545-0715

5NA77394

(continued)

02/02/2021

SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

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

Box 2: Type of Gain or Loss - Short-Term (unless indicated as Ordinary in Additional Notes Column)**Box 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 |
|---|-----------------|----------------------|---------------------------|---------------------------------|--|-------------------------|-------------------------|
| ***ACASTI PHARMA INC CLASS A COM CUSIP: 00430K402 Symbol: ACST | | | | | | | |
| 12/30/2020 | 737.00 | 250.48 | 12/30/2020 | 268.24 | 17.76 D | 0.00 | Sale |
| Security Totals: | | 5,581.25 | | 5,630.92 | | 179.44 | |
| SLACK TECHNOLOGIES INC CLASS A COMMON STOCK CUSIP: 83088V102 Symbol: WORK | | | | | | | |
| 10/15/2020 | 10.00 | 314.08 | 10/09/2020 | 315.10 | 1.02 D | 0.00 | Sale |
| 11/09/2020 | 26.00 | 703.79 | Various | 709.00 | 4.08 D | -1.13 | Sale |
| 11/16/2020 | 9.00 | 235.24 | 11/12/2020 | 235.92 | 0.00 | -0.68 | Sale |
| 11/23/2020 | 10.00 | 291.68 | Various | 261.21 | 0.00 | 30.47 | Sale |
| Security Totals: | | 1,544.79 | | 1,521.23 | | 28.66 | |
| CALL NCLH 03/19/21 30 NORWEIGIAN CRUISE LINE HOLDING CUSIP: Symbol: NCLH210319C00030000 | | | | | | | |
| 12/14/2020 | 1.00 | 324.90 | 11/30/2020 | 211.08 | 0.00 | 113.82 | Sell to Close |
| LUMINAR TECHNOLOGIES INC CLASS A COMMON STOCK CUSIP: 550424105 Symbol: LAZR | | | | | | | |
| 12/14/2020 | 9.00 | 252.61 | 12/14/2020 | 276.84 | 24.23 D | 0.00 | Sale |
| 12/15/2020 | 25.00 | 691.97 | Various | 748.48 | 56.51 D | 0.00 | Sale |
| 12/15/2020 | 26.00 | 710.03 | 12/15/2020 | 753.22 | 43.19 D | 0.00 | Sale |
| 12/16/2020 | 20.00 | 488.35 | Various | 552.05 | 63.70 D | 0.00 | Sale |
| 12/16/2020 | 59.00 | 1,460.26 | Various | 1,572.65 | 112.39 D | 0.00 | Sale |
| 12/21/2020 | 50.00 | 1,620.45 | Various | 1,691.26 | 77.47 D | 6.66 | Sale |
| 12/21/2020 | 4.00 | 110.74 | 12/18/2020 | 124.44 | 13.7 D | 0.00 | Sale |
| 12/21/2020 | 5.00 | 139.78 | 12/18/2020 | 155.56 | 15.78 D | 0.00 | Sale |
| 12/21/2020 | 8.00 | 232.06 | Various | 247.05 | 14.99 D | 0.00 | Sale |
| 12/22/2020 | 10.00 | 388.98 | Various | 406.96 | 17.98 D | 0.00 | Sale |
| 12/22/2020 | 25.00 | 939.71 | Various | 1,003.38 | 63.67 D | 0.00 | Sale |
| 12/22/2020 | 29.00 | 1,088.91 | Various | 1,180.73 | 91.82 D | 0.00 | Sale |
| Security Totals: | | 8,123.85 | | 8,712.62 | | 6.66 | |
| ***PLATINUM GROUP METAL LTD COM NO PAR 2018 CUSIP: 72765Q882 Symbol: PLG | | | | | | | |
| 10/01/2020 | 100.00 | 199.98 | 09/30/2020 | 205.00 | 0.00 | -5.02 | Sale |
| 11/20/2020 | 273.00 | 616.93 | 11/20/2020 | 595.14 | 0.00 | 21.79 | Sale |
| 12/08/2020 | 111.00 | 531.66 | 12/07/2020 | 496.17 | 0.00 | 35.49 | Sale |

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APEX CLEARING

Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B*

OMB No. 1545-0715

5NA77394

(continued)

02/02/2021

SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

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

Box 2: Type of Gain or Loss - Short-Term (unless indicated as Ordinary in Additional Notes Column)**Box 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 |
|---|----------|------------------|--------------------|--------------------------|---|------------------|------------------|
| ***PLATINUM GROUP METAL LTD COM NO PAR 2018 CUSIP: 72765Q882 Symbol: PLG | | | | | | | |
| 12/08/2020 | 112.00 | 574.53 | 12/07/2020 | 500.64 | 0.00 | 73.89 | Sale |
| Security Totals: | | 1,923.10 | | 1,796.95 | | 126.15 | |
| DIREXION SHS ETF TR DAILY S&P OIL & GAS EXPL & PRO BULL 2X SHARES CUSIP: 25460G500 Symbol: GUSH | | | | | | | |
| 11/23/2020 | 10.00 | 320.08 | Various | 316.52 | 0.00 | 3.56 | Sale |
| 11/24/2020 | 27.00 | 1,057.01 | Various | 915.60 | 4.78 D | 146.19 | Sale |
| 11/25/2020 | 25.00 | 951.16 | Various | 1,009.99 | 58.83 D | 0.00 | Sale |
| 12/01/2020 | 51.00 | 1,740.64 | Various | 2,002.61 | 261.97 D | 0.00 | Sale |
| 12/02/2020 | 36.00 | 1,155.56 | Various | 1,431.49 | 275.93 D | 0.00 | Sale |
| 12/07/2020 | 36.00 | 1,408.27 | Various | 1,429.76 | 74.28 D | 52.79 | Sale |
| 12/08/2020 | 18.00 | 695.85 | Various | 760.92 | 78.99 D | 13.92 | Sale |
| 12/14/2020 | 5.00 | 206.18 | Various | 204.56 | 0.00 | 1.62 | Sale |
| 12/14/2020 | 30.00 | 1,263.93 | Various | 1,279.53 | 42.40 D | 26.80 | Sale |
| 12/14/2020 | 49.00 | 1,971.21 | Various | 2,015.83 | 46.13 D | 1.51 | Sale |
| 12/15/2020 | 30.00 | 1,185.56 | Various | 1,259.62 | 74.06 D | 0.00 | Sale |
| 12/16/2020 | 44.00 | 1,783.27 | Various | 1,879.35 | 96.08 D | 0.00 | Sale |
| 12/17/2020 | 7.00 | 283.34 | 12/15/2020 | 287.35 | 4.01 D | 0.00 | Sale |
| 12/18/2020 | 6.00 | 234.22 | Various | 268.47 | 34.25 D | 0.00 | Sale |
| 12/18/2020 | 13.00 | 518.80 | Various | 563.41 | 44.61 D | 0.00 | Sale |
| 12/23/2020 | 13.00 | 518.67 | Various | 524.91 | 10.23 D | 3.99 | Sale |
| 12/23/2020 | 54.00 | 2,172.17 | Various | 2,208.56 | 73.70 D | 37.31 | Sale |
| 12/24/2020 | 33.00 | 1,278.45 | 12/23/2020 | 1,299.38 | 20.93 D | 0.00 | Sale |
| 12/30/2020 | 22.00 | 859.09 | Various | 937.86 | 78.77 D | 0.00 | Sale |
| 12/31/2020 | 15.00 | 584.07 | Various | 610.85 | 26.78 D | 0.00 | Sale |
| Security Totals: | | 20,187.53 | | 21,206.57 | | 287.69 | |
| CALL XPEV 12/31/20 51 XPENG INC ADR CLASS A CUSIP: Symbol: XPEV201231C00051000 | | | | | | | |
| 12/15/2020 | 1.00 | 309.90 | 12/15/2020 | 440.08 | 0.00 | -130.18 | Sell to Close |
| CALL CCL 04/16/21 30 CARNIVAL CORP CUSIP: Symbol: CCL210416C00030000 | | | | | | | |
| 12/14/2020 | 1.00 | 175.90 | 12/04/2020 | 240.08 | 0.00 | -64.18 | Sell to Close |

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APEX CLEARING

Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B*

OMB No. 1545-0715

5NA77394

(continued)

02/02/2021

SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

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

Box 2: Type of Gain or Loss - Short-Term (unless indicated as Ordinary in Additional Notes Column)**Box 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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|--|-----------------|----------------------|---------------------------|---------------------------------|--|-------------------------|-------------------------|
| ROKU INC CLASS A COMMON STOCK CUSIP: 77543R102 Symbol: ROKU | | | | | | | |
| 10/16/2020 | 2.00 | 451.25 | 10/15/2020 | 452.36 | 0.00 | -1.11 | Sale |
| ***MER TELEMAGEMENT SOLUTIONS LTD COMMON SHARES CUSIP: M69676209 Symbol: MTSL | | | | | | | |
| 12/28/2020 | 195.00 | 370.47 | 12/28/2020 | 362.70 | 0.00 | 7.77 | Sale |
| JUPITER WELLNESS INC COMMON STOCK CUSIP: 48208F105 Symbol: JUPW | | | | | | | |
| 12/22/2020 | 28.00 | 199.90 | Various | 206.18 | 6.28 D | 0.00 | Sale |
| 12/22/2020 | 29.00 | 181.34 | 12/22/2020 | 218.95 | 37.61 D | 0.00 | Sale |
| Security Totals: | | 381.24 | | 425.13 | | 0.00 | |
| CALL AMD 01/15/21 95 ADVANCED MICRO DEVICES INC CUSIP: Symbol: AMD210115C00095000 | | | | | | | |
| 12/22/2020 | 1.00 | 354.90 | 12/21/2020 | 410.08 | 55.18 D | 0.00 | Sell to Close |
| LEVI STRAUSS & CO CLASS A COMMON STOCK CUSIP: 52736R102 Symbol: LEVI | | | | | | | |
| 11/11/2020 | 40.00 | 677.17 | 11/10/2020 | 680.80 | 0.00 | -3.63 | Sale |
| ADAMIS PHARMACEUTICALS CORPORATION CUSIP: 00547W208 Symbol: ADMP | | | | | | | |
| 10/16/2020 | 320.00 | 297.55 | 10/15/2020 | 304.00 | 0.00 | -6.45 | Sale |
| KENSINGTON CAPITAL ACQUISITION CORP CLASS A COMMON STOCK CUSIP: 490073103 Symbol: KCAC | | | | | | | |
| 11/13/2020 | 25.00 | 478.72 | 11/13/2020 | 488.00 | 9.28 D | 0.00 | Sale |
| 11/16/2020 | 10.00 | 189.98 | 11/16/2020 | 203.71 | 13.73 D | 0.00 | Sale |
| 11/17/2020 | 10.00 | 195.98 | 11/16/2020 | 203.71 | 7.73 D | 0.00 | Sale |
| 11/19/2020 | 29.00 | 555.61 | Various | 580.86 | 6.14 D | -19.11 | Sale |
| 11/20/2020 | 10.00 | 202.71 | Various | 201.04 | 0.00 | 1.67 | Sale |
| Security Totals: | | 1,623.00 | | 1,677.32 | | -17.44 | |
| CALL NIO 12/24/20 52 NIO INC ADS CUSIP: Symbol: NIO201224C00052000 | | | | | | | |
| 12/22/2020 | 1.00 | 41.90 | 12/22/2020 | 68.08 | 0.00 | -26.18 | Sell to Close |
| POLAR POWER INC COMMON STOCK CUSIP: 73102V105 Symbol: POLA | | | | | | | |
| 10/07/2020 | 50.00 | 204.48 | 10/06/2020 | 215.50 | 11.02 D | 0.00 | Sale |
| 11/05/2020 | 300.00 | 851.94 | Various | 884.02 | 32.08 D | 0.00 | Sale |
| 11/09/2020 | 150.00 | 412.47 | Various | 437.05 | 24.58 D | 0.00 | Sale |
| 11/18/2020 | 59.00 | 208.84 | Various | 212.29 | 5.75 D | 2.30 | Sale |
| 11/18/2020 | 119.00 | 426.00 | Various | 442.67 | 20.83 D | 4.16 | Sale |
| 11/20/2020 | 61.00 | 244.59 | Various | 221.35 | 0.06 D | 23.30 | Sale |

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APEX CLEARING

Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B*

OMB No. 1545-0715

5NA77394

(continued)

02/02/2021

SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

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

Box 2: Type of Gain or Loss - Short-Term (unless indicated as Ordinary in Additional Notes Column)**Box 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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|---|-----------------|----------------------|---------------------------|---------------------------------|--|-------------------------|-------------------------|
| POLAR POWER INC COMMON STOCK CUSIP: 73102V105 Symbol: POLA | | | | | | | |
| 11/23/2020 | 45.00 | 286.18 | 11/19/2020 | 183.16 | 0.00 | 103.02 | Sale |
| 11/24/2020 | 16.00 | 99.18 | 11/19/2020 | 65.13 | 0.00 | 34.05 | Sale |
| 12/16/2020 | 442.00 | 2,174.54 | Various | 2,225.79 | 51.25 D | 0.00 | Sale |
| 12/24/2020 | 39.00 | 222.28 | 12/24/2020 | 261.32 | 39.04 D | 0.00 | Sale |
| Security Totals: | | 5,130.50 | | 5,148.28 | | 166.83 | |
| ***KAIXIN AUTO HOLDINGS ORDINARY SHARE CUSIP: G5223X100 Symbol: KXIN | | | | | | | |
| 10/15/2020 | 150.00 | 197.97 | 10/14/2020 | 234.00 | 36.03 D | 0.00 | Sale |
| 10/28/2020 | 100.00 | 472.97 | 10/27/2020 | 521.02 | 48.05 D | 0.00 | Sale |
| 11/05/2020 | 100.00 | 410.98 | 11/05/2020 | 491.90 | 80.92 D | 0.00 | Sale |
| 11/05/2020 | 120.00 | 567.57 | Various | 640.61 | 73.04 D | 0.00 | Sale |
| 11/05/2020 | 150.00 | 641.96 | Various | 733.59 | 91.63 D | 0.00 | Sale |
| 11/05/2020 | 200.00 | 948.40 | Various | 974.06 | 34.26 D | 8.60 | Sale |
| 11/13/2020 | 49.00 | 170.01 | 11/13/2020 | 212.13 | 39.54 D | -2.58 | Sale |
| 11/13/2020 | 50.00 | 167.48 | Various | 191.73 | 0.00 | -24.25 | Sale |
| 11/20/2020 | 97.00 | 575.18 | Various | 575.51 | 0.00 | -0.33 | Sale |
| Security Totals: | | 4,152.52 | | 4,574.55 | | -18.56 | |
| CALL PBI 02/19/21 5 PITNEY BOWES INC CUSIP: Symbol: PBI210219C0005000 | | | | | | | |
| 12/30/2020 | 1.00 | 144.90 | 12/29/2020 | 150.08 | 0.00 | -5.18 | Sell to Close |
| CALL NIO 12/24/20 50 NIO INC ADS CUSIP: Symbol: NIO201224C00050000 | | | | | | | |
| 12/22/2020 | 2.00 | 135.82 | Various | 162.16 | 0.00 | -26.34 | Sell to Close |
| TRXADE GROUP INC COMMON STOCK CUSIP: 89846A207 Symbol: MEDS | | | | | | | |
| 11/10/2020 | 50.00 | 414.98 | 11/10/2020 | 418.32 | 3.34 D | 0.00 | Sale |
| 11/10/2020 | 50.00 | 388.98 | 11/10/2020 | 418.32 | 0.00 | -29.34 | Sale |
| 11/10/2020 | 50.00 | 377.98 | 11/10/2020 | 385.84 | 0.00 | -7.86 | Sale |
| 11/10/2020 | 100.00 | 509.97 | 11/10/2020 | 522.00 | 12.03 D | 0.00 | Sale |
| 11/10/2020 | 100.00 | 594.39 | 11/10/2020 | 618.03 | 23.64 D | 0.00 | Sale |
| Security Totals: | | 2,286.30 | | 2,362.51 | | -37.20 | |

APEX CLEARING

Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B*

OMB No. 1545-0715

5NA77394

(continued)

02/02/2021

SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

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

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

Box 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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|---|----------|------------------|--------------------|--------------------------|---|------------------|------------------|
| TILRAY INC CLASS 2 COMMON STOCK CUSIP: 88688T100 Symbol: TLRV | | | | | | | |
| 10/09/2020 | 50.00 | 317.48 | 10/08/2020 | 335.50 | 18.02 D | 0.00 | Sale |
| 11/05/2020 | 100.00 | 684.97 | Various | 715.02 | 30.05 D | 0.00 | Sale |
| 11/17/2020 | 65.00 | 461.47 | Various | 523.09 | 61.62 D | 0.00 | Sale |
| 11/24/2020 | 123.00 | 931.07 | Various | 1,010.09 | 82.85 D | 3.83 | Sale |
| 12/01/2020 | 115.00 | 982.06 | Various | 1,043.13 | 66.87 D | 5.80 | Sale |
| 12/02/2020 | 77.00 | 637.53 | Various | 737.05 | 99.52 D | 0.00 | Sale |
| 12/04/2020 | 78.00 | 709.08 | Various | 760.02 | 56.13 D | 5.19 | Sale |
| 12/10/2020 | 89.00 | 697.73 | Various | 830.15 | 132.42 D | 0.00 | Sale |
| 12/16/2020 | 108.00 | 1,038.92 | 12/16/2020 | 1,062.71 | 23.79 D | 0.00 | Sale |
| 12/16/2020 | 37.00 | 364.43 | Various | 434.47 | 70.04 D | 0.00 | Sale |
| 12/16/2020 | 148.00 | 1,466.62 | Various | 1,624.03 | 157.41 D | 0.00 | Sale |
| 12/16/2020 | 198.00 | 1,916.57 | Various | 2,126.98 | 207.54 D | -2.87 | Sale |
| 12/16/2020 | 263.00 | 2,469.48 | Various | 2,764.30 | 294.82 D | 0.00 | Sale |
| 12/16/2020 | 264.00 | 2,476.23 | Various | 2,556.07 | 79.84 D | 0.00 | Sale |
| 12/16/2020 | 569.00 | 5,331.74 | Various | 5,666.08 | 334.34 D | 0.00 | Sale |
| 12/16/2020 | 429.00 | 4,165.70 | Various | 4,432.90 | 267.20 D | 0.00 | Sale |
| 12/17/2020 | 52.00 | 467.97 | Various | 519.78 | 30.71 D | -21.10 | Sale |
| Security Totals: | | 25,119.05 | | 27,141.37 | | -9.15 | |
| ***NORWEGIAN CRUISE LINE HOLDINGS LTD ORDINARY SHARES CUSIP: G66721104 Symbol: NCLH | | | | | | | |
| 12/02/2020 | 36.00 | 810.69 | Various | 751.24 | 0.00 | 59.45 | Sale |
| 12/14/2020 | 69.00 | 1,809.82 | Various | 1,623.70 | 19.12 D | 205.24 | Sale |
| 12/15/2020 | 17.00 | 406.64 | 12/11/2020 | 470.90 | 64.26 D | 0.00 | Sale |
| 12/18/2020 | 6.00 | 151.78 | 12/11/2020 | 166.20 | 14.42 D | 0.00 | Sale |
| 12/23/2020 | 10.00 | 243.88 | 12/23/2020 | 242.10 | 0.00 | 1.78 | Sale |
| 12/23/2020 | 41.00 | 994.21 | Various | 1,090.41 | 0.00 | -96.20 | Sale |
| Security Totals: | | 4,417.02 | | 4,344.55 | | 170.27 | |
| CALL BB 12/04/20 8 BLACKBERRY LIMITED CUSIP: Symbol: BB201204C00008000 | | | | | | | |
| 12/01/2020 | 1.00 | 67.90 | 12/01/2020 | 126.08 | 0.00 | -58.18 | Sell to Close |

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APEX CLEARING

Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B*

OMB No. 1545-0715

5NA77394

(continued)

02/02/2021

SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

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

Box 2: Type of Gain or Loss - Short-Term (unless indicated as Ordinary in Additional Notes Column)**Box 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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|-----------------------------------|--|---|---------------------------|---------------------------------|--|-------------------------|-------------------------|--|
| BIOLASE INC | COMMON STOCK CUSIP: 090911207 Symbol: BIOL | | | | | | | |
| 12/24/2020 | 547.00 | 268.50 | 12/24/2020 | 299.76 | 0.00 | -31.26 | Sale | |
| CALL NIO 12/31/20 | 50 | NIO INC ADS CUSIP: Symbol: NIO201231C00050000 | | | | | | |
| 12/31/2020 | 4.00 | 199.66 | 12/31/2020 | 248.32 | 0.00 | -48.66 | Sell to Close | |
| SQUARE INC | CLASS A COM CUSIP: 852234103 Symbol: SQ | | | | | | | |
| 10/09/2020 | 2.00 | 367.48 | 10/08/2020 | 368.90 | 0.00 | -1.42 | Sale | |
| ASSERTIO HOLDINGS INC | COMMON STOCK CUSIP: 04546C106 Symbol: ASRT | | | | | | | |
| 12/23/2020 | 906.00 | 353.22 | 12/23/2020 | 349.72 | 0.00 | 3.50 | Sale | |
| HUBSPOT INC | COM CUSIP: 443573100 Symbol: HUBS | | | | | | | |
| 10/09/2020 | 1.00 | 309.71 | 10/08/2020 | 309.00 | 0.00 | 0.71 | Sale | |
| SNAP INC | CLASS A COMMON STOCK CUSIP: 83304A106 Symbol: SNAP | | | | | | | |
| 12/18/2020 | 1.00 | 53.35 | 12/16/2020 | 51.51 | 0.00 | 1.84 | Sale | |
| WELLS FARGO & CO | CUSIP: 949746101 Symbol: WFC | | | | | | | |
| 12/22/2020 | 1.00 | 29.11 | 12/17/2020 | 29.57 | 0.00 | -0.46 | Sale | |
| CALL SOLO 12/18/20 | 10 | ELECTRAMECCANICA VEHICLES CORP CUSIP: Symbol: SOLO201218C00010000 | | | | | | |
| 12/10/2020 | 4.00 | 59.66 | 12/07/2020 | 220.32 | 0.00 | -160.66 | Sell to Close | |
| CALL GRWG 12/04/20 | 36 | GROWGENERATION CORP CUSIP: Symbol: GRWG201204C00036000 | | | | | | |
| 12/03/2020 | 1.00 | 51.90 | 12/02/2020 | 90.08 | 0.00 | -38.18 | Sell to Close | |
| PROSHARES TRUST | PROSHARES ULTRAPRO SHORT QQQ CUSIP: 74347G861 Symbol: SQQQ | | | | | | | |
| 10/14/2020 | 30.00 | 578.07 | 10/13/2020 | 593.36 | 7.65 D | -7.64 | Sale | |
| 10/15/2020 | 15.00 | 310.95 | 10/14/2020 | 309.15 | 0.00 | 1.80 | Sale | |
| Security Totals: | | 889.02 | | 902.51 | | -5.84 | | |
| CALL FUBO 12/31/20 | 40 | FUBOTV INC CUSIP: Symbol: FUBO201231C00040000 | | | | | | |
| 12/29/2020 | 1.00 | 124.90 | 12/28/2020 | 277.08 | 0.00 | -152.18 | Sell to Close | |
| CALL NCLH 12/18/20 | 27.50 | NORWEIGIAN CRUISE LINE HOLDING CUSIP: Symbol: NCLH201218C00027500 | | | | | | |
| 12/18/2020 | 2.00 | 0.00 | 12/10/2020 | 248.16 | 0.00 | -248.16 | Expiration | |
| NXT ID INC | COM NEW CUSIP: 67091J206 Symbol: NXTD | | | | | | | |
| 10/22/2020 | 500.00 | 234.93 | 10/21/2020 | 246.50 | 11.57 D | 0.00 | Sale | |
| 10/23/2020 | 1,000.00 | 472.86 | Various | 508.21 | 0.00 | -35.35 | Sale | |
| 12/16/2020 | 336.00 | 333.63 | 12/16/2020 | 352.97 | 19.34 D | 0.00 | Sale | |
| 12/16/2020 | 1,084.00 | 812.85 | 12/16/2020 | 764.98 | 0.00 | 47.87 | Sale | |

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APEX CLEARING

Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B*

OMB No. 1545-0715

5NA77394

(continued)

02/02/2021

SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

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

Box 2: Type of Gain or Loss - Short-Term (unless indicated as Ordinary in Additional Notes Column)**Box 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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|---|-----------------|----------------------|---------------------------|---------------------------------|--|-------------------------|-------------------------|
| NXT ID INC COM NEW CUSIP: 67091J206 Symbol: NXTD | | | | | | | |
| 12/16/2020 | 1,183.00 | 661.02 | Various | 653.01 | 0.00 | 8.01 | Sale |
| 12/16/2020 | 1,984.00 | 1,231.40 | 12/16/2020 | 1,254.42 | 23.02 D | 0.00 | Sale |
| 12/16/2020 | 1,984.00 | 1,247.86 | Various | 1,250.83 | 2.97 D | 0.00 | Sale |
| 12/16/2020 | 3,491.00 | 1,867.22 | 12/16/2020 | 1,874.67 | 7.45 D | 0.00 | Sale |
| 12/16/2020 | 3,548.00 | 1,950.93 | Various | 1,941.36 | 5.41 D | 14.98 | Sale |
| 12/17/2020 | 191.00 | 321.06 | Various | 406.41 | 85.35 D | 0.00 | Sale |
| 12/17/2020 | 230.00 | 413.96 | Various | 419.98 | 16.61 D | 10.59 | Sale |
| 12/17/2020 | 249.00 | 353.81 | 12/17/2020 | 373.93 | 20.12 D | 0.00 | Sale |
| 12/17/2020 | 401.00 | 416.98 | Various | 550.80 | 133.82 D | 0.00 | Sale |
| 12/17/2020 | 528.00 | 675.76 | 12/17/2020 | 755.88 | 80.12 D | 0.00 | Sale |
| 12/17/2020 | 740.00 | 1,043.28 | Various | 1,027.10 | 15.72 D | 31.90 | Sale |
| 12/17/2020 | 640.00 | 787.80 | Various | 749.55 | 0.00 | 38.25 | Sale |
| 12/17/2020 | 746.00 | 895.09 | Various | 932.11 | 43.19 D | 6.17 | Sale |
| 12/21/2020 | 161.00 | 249.52 | Various | 281.30 | 31.78 D | 0.00 | Sale |
| 12/22/2020 | 342.00 | 458.60 | Various | 527.09 | 63.44 D | -5.05 | Sale |
| 12/28/2020 | 514.00 | 786.91 | Various | 923.54 | 0.00 | -136.63 | Sale |
| 12/29/2020 | 172.00 | 227.20 | Various | 350.48 | 0.00 | -123.28 | Sale |
| 12/30/2020 | 156.00 | 263.78 | Various | 301.54 | 0.00 | -37.76 | Sale |
| 12/30/2020 | 234.00 | 402.44 | Various | 433.73 | 0.00 | -31.29 | Sale |
| Security Totals: | | 16,108.89 | | 16,880.39 | | -211.59 | |
| RAVE RESTAURANT GROUP INC COM CUSIP: 754198109 Symbol: RAVE | | | | | | | |
| 10/08/2020 | 100.00 | 104.98 | 10/07/2020 | 205.00 | 100.02 D | 0.00 | Sale |
| 10/30/2020 | 700.00 | 531.20 | Various | 677.17 | 125.03 D | -20.94 | Sale |
| 11/24/2020 | 490.00 | 450.73 | Various | 624.83 | 174.10 D | 0.00 | Sale |
| 12/09/2020 | 207.00 | 223.76 | Various | 353.79 | 39.92 D | -90.11 | Sale |
| 12/09/2020 | 558.00 | 652.77 | Various | 737.68 | 99.15 D | 14.24 | Sale |
| 12/09/2020 | 619.00 | 662.24 | Various | 802.96 | 148.80 D | 8.08 | Sale |

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APEX CLEARING

Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B*

OMB No. 1545-0715

5NA77394

(continued)

02/02/2021

SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

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

Box 2: Type of Gain or Loss - Short-Term (unless indicated as Ordinary in Additional Notes Column)**Box 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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|--|----------|-----------------|--------------------|--------------------------|---|------------------|------------------|
| RAVE RESTAURANT GROUP INC COM CUSIP: 754198109 Symbol: RAVE | | | | | | | |
| 12/22/2020 | 312.00 | 290.45 | Various | 414.65 | 0.00 | -124.20 | Sale |
| Security Totals: | | 2,916.13 | | 3,816.08 | | -212.93 | |
| CALL HCAC 12/18/20 22.50 HENNESSY CAPITAL ACQUSTION CRP CUSIP: Symbol: HCAC201218C00022500 | | | | | | | |
| 12/10/2020 | 3.00 | 614.73 | Various | 441.24 | 0.00 | 173.49 | Sell to Close |
| 12/11/2020 | 2.00 | 249.82 | 12/10/2020 | 294.16 | 0.00 | -44.34 | Sell to Close |
| Security Totals: | | 864.55 | | 735.40 | | 129.15 | |
| CALL XPEV 12/18/20 50 XPENG INC ADR CLASS A CUSIP: Symbol: XPEV201218C00050000 | | | | | | | |
| 12/15/2020 | 1.00 | 139.90 | 12/15/2020 | 190.08 | 0.00 | -50.18 | Sell to Close |
| 12/15/2020 | 5.00 | 679.57 | 12/15/2020 | 950.40 | 0.00 | -270.83 | Sell to Close |
| Security Totals: | | 819.47 | | 1,140.48 | | -321.01 | |
| ***HAPPINESS BIOTECH GROUP LIMITED ORDINARY SHARES CUSIP: G4289N114 Symbol: HAPP | | | | | | | |
| 12/16/2020 | 144.00 | 280.93 | 12/16/2020 | 312.48 | 0.00 | -31.55 | Sale |
| 12/16/2020 | 573.00 | 1,226.46 | Various | 1,254.45 | 0.00 | -27.99 | Sale |
| 12/16/2020 | 429.00 | 914.16 | 12/16/2020 | 930.93 | 0.00 | -16.77 | Sale |
| Security Totals: | | 2,421.55 | | 2,497.86 | | -76.31 | |
| CALL BB 12/04/20 10 BLACKBERRY LIMITED CUSIP: Symbol: BB201204C00010000 | | | | | | | |
| 12/02/2020 | 1.00 | 15.90 | 12/01/2020 | 89.08 | 0.00 | -73.18 | Sell to Close |
| HEWLETT PACKARD ENTERPRISE COMPANY COM CUSIP: 42824C109 Symbol: HPE | | | | | | | |
| 10/14/2020 | 1.00 | 9.82 | 10/11/2020 | 9.81 | 0.00 | 0.01 | Sale |
| 12/22/2020 | 7.00 | 82.21 | Various | 84.84 | 0.00 | -2.63 | Sale |
| Security Totals: | | 92.03 | | 94.65 | | -2.62 | |
| PUT FCEL 01/15/21 13 FUELCELL ENERGY INC CUSIP: Symbol: FCEL210115P00013000 | | | | | | | |
| 12/28/2020 | 1.00 | 167.90 | 12/24/2020 | 230.08 | 0.00 | -62.18 | Sell to Close |
| RICEBRAN TECHNOLOGIES CUSIP: 762831204 Symbol: RIBT | | | | | | | |
| 12/02/2020 | 1,411.00 | 921.41 | Various | 1,096.69 | 0.00 | -175.28 | Sale |
| PUT FCEL 01/15/21 12 FUELCELL ENERGY INC CUSIP: Symbol: FCEL210115P00012000 | | | | | | | |
| 12/28/2020 | 1.00 | 210.90 | 12/28/2020 | 165.08 | 0.00 | 45.82 | Sell to Close |
| CALL SNDL 12/24/20 1 SUNDIAL GROWERS INC CUSIP: Symbol: SNDL201224C00001000 | | | | | | | |
| 12/24/2020 | 10.00 | 0.00 | 12/23/2020 | 30.81 | 0.00 | -30.81 | Expiration |

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APEX CLEARING

Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B*

OMB No. 1545-0715

5NA77394

(continued)

02/02/2021

SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

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

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|--|----------|-----------------|--------------------|--------------------------|---|------------------|------------------|
| PATTERSON-UTI ENERGY INC CUSIP: 703481101 Symbol: PTEN | | | | | | | |
| 12/02/2020 | 123.00 | 546.31 | Various | 595.75 | 17.15 D | -32.29 | Sale |
| 12/07/2020 | 42.00 | 212.50 | 11/25/2020 | 219.17 | 0.00 | -6.67 | Sale |
| Security Totals: | | 758.81 | | 814.92 | | -38.96 | |
| DRAFTKINGS INC CLASS A COMMON STOCK CUSIP: 26142R104 Symbol: DKNNG | | | | | | | |
| 10/08/2020 | 10.00 | 529.49 | Various | 539.98 | 11.37 D | 0.88 | Sale |
| 10/14/2020 | 15.00 | 758.45 | Various | 739.02 | 0.00 | 19.43 | Sale |
| 10/15/2020 | 20.00 | 939.96 | 10/14/2020 | 952.00 | 12.04 D | 0.00 | Sale |
| 10/16/2020 | 17.00 | 764.97 | 10/15/2020 | 791.89 | 26.92 D | 0.00 | Sale |
| 10/20/2020 | 15.00 | 644.82 | Various | 693.71 | 48.89 D | 0.00 | Sale |
| 11/04/2020 | 10.00 | 391.40 | Various | 402.40 | 11.00 D | 0.00 | Sale |
| 11/05/2020 | 8.00 | 334.70 | Various | 354.78 | 20.08 D | 0.00 | Sale |
| 11/05/2020 | 15.00 | 622.47 | Various | 668.47 | 46.00 D | 0.00 | Sale |
| 11/05/2020 | 20.00 | 836.97 | Various | 873.88 | 36.91 D | 0.00 | Sale |
| 11/05/2020 | 22.00 | 906.36 | Various | 941.23 | 34.87 D | 0.00 | Sale |
| 11/09/2020 | 15.00 | 659.97 | Various | 715.51 | 55.54 D | 0.00 | Sale |
| 11/13/2020 | 9.00 | 408.13 | Various | 402.69 | 1.01 D | 6.45 | Sale |
| 11/13/2020 | 10.00 | 453.87 | Various | 465.97 | 0.00 | -12.10 | Sale |
| 11/20/2020 | 12.00 | 576.34 | Various | 602.81 | 0.00 | -26.47 | Sale |
| Security Totals: | | 8,827.90 | | 9,144.34 | | -11.81 | |
| PUT FUBO 12/31/20 29 FUBOTV INC CUSIP: Symbol: FUBO201231P00029000 | | | | | | | |
| 12/31/2020 | 1.00 | 80.90 | 12/31/2020 | 96.08 | 0.00 | -15.18 | Sell to Close |
| 12/31/2020 | 1.00 | 71.90 | 12/31/2020 | 96.08 | 0.00 | -24.18 | Sell to Close |
| Security Totals: | | 152.80 | | 192.16 | | -39.36 | |
| SALEM MEDIA GROUP INC CLASS A CUSIP: 794093104 Symbol: SALM | | | | | | | |
| 10/08/2020 | 400.00 | 422.94 | Various | 459.50 | 23.16 D | -13.40 | Sale |
| 10/09/2020 | 250.00 | 244.96 | 10/08/2020 | 306.91 | 0.00 | -61.95 | Sale |
| Security Totals: | | 667.90 | | 766.41 | | -75.35 | |

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APEX CLEARING

Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B*

OMB No. 1545-0715

5NA77394

(continued)

02/02/2021

SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

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

Box 2: Type of Gain or Loss - Short-Term (unless indicated as Ordinary in Additional Notes Column)**Box 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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|---|-----------------|----------------------|---------------------------|---------------------------------|--|-------------------------|-------------------------|
| OCUGEN INC COMMON STOCK CUSIP: 67577C105 Symbol: OCGN | | | | | | | |
| 12/10/2020 | 738.00 | 244.18 | 12/10/2020 | 250.18 | 0.00 | -6.00 | Sale |
| 12/10/2020 | 2,211.00 | 734.88 | 12/10/2020 | 749.53 | 7.38 D | -7.27 | Sale |
| 12/23/2020 | 92.00 | 202.38 | 12/23/2020 | 174.49 | 0.00 | 27.89 | Sale |
| 12/23/2020 | 480.00 | 907.11 | 12/23/2020 | 987.18 | 0.00 | -80.07 | Sale |
| 12/23/2020 | 542.00 | 1,154.37 | Various | 1,176.47 | 0.00 | -22.10 | Sale |
| Security Totals: | | 3,242.92 | | 3,337.85 | | -87.55 | |
| CALL MVIS 01/15/21 8 MICROVISION INC CUSIP: Symbol: MVIS210115C00008000 | | | | | | | |
| 12/30/2020 | 2.00 | 95.82 | 12/28/2020 | 230.16 | 67.17 D | -67.17 | Sell to Close |
| 12/31/2020 | 2.00 | 69.82 | Various | 277.33 | 0.00 | -207.51 | Sell to Close |
| Security Totals: | | 165.64 | | 507.49 | | -274.68 | |
| ARC DOCUMENT SOLUTIONS INC COM CUSIP: 00191G103 Symbol: ARC | | | | | | | |
| 11/05/2020 | 500.00 | 634.92 | 11/04/2020 | 690.00 | 0.00 | -55.08 | Sale |
| ADVANCED MICRO DEVICES INC COM CUSIP: 007903107 Symbol: AMD | | | | | | | |
| 10/02/2020 | 4.00 | 328.70 | 10/01/2020 | 332.76 | 0.00 | -4.06 | Sale |
| 12/22/2020 | 1.00 | 92.80 | 12/21/2020 | 93.39 | 0.59 D | 0.00 | Sale |
| Security Totals: | | 421.50 | | 426.15 | | -4.06 | |
| TANDEM DIABETES CARE INC COMMON STOCK CUSIP: 875372203 Symbol: TNDM | | | | | | | |
| 10/06/2020 | 2.00 | 224.50 | 10/05/2020 | 225.94 | 1.44 D | 0.00 | Sale |
| 10/06/2020 | 3.00 | 339.22 | 10/05/2020 | 338.91 | 0.00 | 0.31 | Sale |
| 10/06/2020 | 5.00 | 570.32 | 10/05/2020 | 564.85 | 0.00 | 5.47 | Sale |
| 10/28/2020 | 1.00 | 115.02 | 10/15/2020 | 122.32 | 7.3 D | 0.00 | Sale |
| 11/04/2020 | 5.00 | 576.52 | Various | 573.30 | 5.06 D | 8.28 | Sale |
| 11/09/2020 | 6.00 | 663.75 | Various | 713.00 | 0.00 | -49.25 | Sale |
| Security Totals: | | 2,489.33 | | 2,538.32 | | -35.19 | |
| CALL AAPL 12/24/20 134 APPLE INC CUSIP: Symbol: AAPL201224C00134000 | | | | | | | |
| 12/22/2020 | 5.00 | 319.58 | 12/22/2020 | 485.40 | 165.82 D | 0.00 | Sell to Close |
| 12/24/2020 | 6.00 | 71.50 | Various | 153.65 | 0.00 | -82.15 | Sell to Close |
| 12/24/2020 | 3.00 | 31.74 | 12/24/2020 | 159.73 | 0.00 | -127.99 | Sell to Close |

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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 |
|----------------------------|----------|---------------|--|--------------------------|---|------------------|------------------|
| 12/24/2020 | 1.00 | 9.91 | 12/24/2020 | 53.25 | 0.00 | -43.34 | Sell to Close |
| Security Totals: | | 432.73 | | 852.03 | | -253.48 | |
| CALL MVIS 01/15/21 10 | | | MICROVISION INC CUSIP: Symbol: MVIS210115C00010000 | | | | |
| 12/22/2020 | 1.00 | 104.90 | 12/22/2020 | 105.08 | 0.00 | -0.18 | Sell to Close |
| CINEDIGM CORP | | | CLASS A COMMON STOCK CUSIP: 172406209 Symbol: CIDM | | | | |
| 10/26/2020 | 800.00 | 451.89 | 10/23/2020 | 470.32 | 0.00 | -18.43 | Sale |
| ***WIMI HOLOGRAM CLOUD INC | | | AMERICAN DEPOSITARY SHARE CUSIP: 97264L100 Symbol: WIMI | | | | |
| 10/19/2020 | 100.00 | 643.97 | 10/16/2020 | 730.00 | 0.00 | -86.03 | Sale |
| PUT SPY 12/28/20 360 | | | STANDARD & POORS DEPOSITORY CUSIP: Symbol: SPY201228P00360000 | | | | |
| 12/21/2020 | 1.00 | 247.90 | 12/21/2020 | 290.08 | 0.00 | -42.18 | Sell to Close |
| PUT ARKW 11/20/20 115 | | | ARK ETF TR ARK NXT GEN INTRNT CUSIP: Symbol: ARKW201120P00115000 | | | | |
| 11/12/2020 | 1.00 | 99.90 | 11/10/2020 | 300.08 | 0.00 | -200.18 | Sell to Close |
| NET ELEMENT INC | | | COMMON STOCK CUSIP: 64111R300 Symbol: NETE | | | | |
| 10/15/2020 | 40.00 | 315.18 | 10/14/2020 | 330.58 | 15.4 D | 0.00 | Sale |
| 11/13/2020 | 26.00 | 210.58 | 11/13/2020 | 223.47 | 12.89 D | 0.00 | Sale |
| 11/13/2020 | 26.00 | 204.34 | Various | 218.85 | 14.51 D | 0.00 | Sale |
| 11/19/2020 | 54.00 | 513.51 | Various | 451.04 | 0.00 | 62.47 | Sale |
| 11/19/2020 | 77.00 | 646.00 | Various | 629.98 | 1.35 D | 17.37 | Sale |
| 11/20/2020 | 40.00 | 381.18 | Various | 350.70 | 0.00 | 30.48 | Sale |
| 11/23/2020 | 69.00 | 989.42 | Various | 818.35 | 0.00 | 171.07 | Sale |
| 11/24/2020 | 23.00 | 316.69 | 11/23/2020 | 311.19 | 0.00 | 5.50 | Sale |
| 12/10/2020 | 19.00 | 249.30 | 12/10/2020 | 250.23 | 0.93 D | 0.00 | Sale |
| 12/10/2020 | 24.00 | 329.98 | Various | 323.09 | 0.00 | 6.89 | Sale |
| 12/10/2020 | 37.00 | 482.45 | 12/10/2020 | 487.29 | 4.84 D | 0.00 | Sale |
| 12/10/2020 | 61.00 | 736.50 | 12/10/2020 | 697.23 | 0.00 | 39.27 | Sale |
| 12/10/2020 | 69.00 | 912.14 | Various | 928.21 | 17.01 D | 0.94 | Sale |
| 12/14/2020 | 51.00 | 746.10 | 12/14/2020 | 758.37 | 0.00 | -12.27 | Sale |
| 12/14/2020 | 71.00 | 969.11 | Various | 1,016.69 | 47.58 D | 0.00 | Sale |
| 12/14/2020 | 150.00 | 2,219.93 | Various | 2,278.08 | 56.95 D | -1.20 | Sale |

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APEX CLEARING

Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B*

OMB No. 1545-0715

5NA77394

(continued)

02/02/2021

SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

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

Box 2: Type of Gain or Loss - Short-Term (unless indicated as Ordinary in Additional Notes Column)**Box 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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|--|----------|------------------|--------------------|--------------------------|---|------------------|------------------|
| NET ELEMENT INC COMMON STOCK CUSIP: 64111R300 Symbol: NETE | | | | | | | |
| 12/17/2020 | 40.00 | 498.37 | Various | 532.65 | 0.00 | -34.28 | Sale |
| 12/21/2020 | 39.00 | 507.75 | Various | 517.71 | 11.23 D | 1.27 | Sale |
| 12/28/2020 | 40.00 | 497.57 | 12/24/2020 | 494.42 | 0.00 | 3.15 | Sale |
| 12/30/2020 | 14.00 | 248.62 | Various | 244.32 | 0.00 | 4.30 | Sale |
| Security Totals: | | 11,974.72 | | 11,862.45 | | 294.96 | |
| CALL DIS 12/24/20 185 WALT DISNEY CO CUSIP: Symbol: DIS201224C00185000 | | | | | | | |
| 12/18/2020 | 3.00 | 89.75 | Various | 126.24 | 24.33 D | -12.16 | Sell to Close |
| 12/22/2020 | 2.00 | 11.82 | 12/18/2020 | 108.49 | 0.00 | -96.67 | Sell to Close |
| Security Totals: | | 101.57 | | 234.73 | | -108.83 | |
| CALL FUBO 12/31/20 31 FUBOTV INC CUSIP: Symbol: FUBO201231C00031000 | | | | | | | |
| 12/31/2020 | 1.00 | 65.90 | 12/31/2020 | 77.08 | 0.00 | -11.18 | Sell to Close |
| 22ND CENTURY GROUP INC CUSIP: 90137F103 Symbol: XXII | | | | | | | |
| 10/15/2020 | 400.00 | 343.94 | 10/14/2020 | 364.00 | 0.00 | -20.06 | Sale |
| IBIO INC COMMON STOCK CUSIP: 451033203 Symbol: IBIO | | | | | | | |
| 10/14/2020 | 150.00 | 307.47 | 10/13/2020 | 331.34 | 0.00 | -23.87 | Sale |
| CALL NIO 12/31/20 51 NIO INC ADS CUSIP: Symbol: NIO201231C00051000 | | | | | | | |
| 12/31/2020 | 1.00 | 22.90 | 12/31/2020 | 48.08 | 0.00 | -25.18 | Sell to Close |
| 12/31/2020 | 4.00 | 91.66 | 12/31/2020 | 192.32 | 0.00 | -100.66 | Sell to Close |
| Security Totals: | | 114.56 | | 240.40 | | -125.84 | |
| COUPA SOFTWARE INCORPORATED COM CUSIP: 22266L106 Symbol: COUP | | | | | | | |
| 12/18/2020 | 1.00 | 358.25 | 12/17/2020 | 362.11 | 0.00 | -3.86 | Sale |
| 12/18/2020 | 1.00 | 358.82 | 12/17/2020 | 362.11 | 3.29 D | 0.00 | Sale |
| 12/18/2020 | 1.00 | 356.83 | 12/17/2020 | 362.11 | 0.00 | -5.28 | Sale |
| 12/18/2020 | 1.00 | 369.98 | 12/18/2020 | 371.17 | 0.00 | -1.19 | Sale |
| Security Totals: | | 1,443.88 | | 1,457.50 | | -10.33 | |
| CALL DKNB 10/23/20 54 DRAFTKINGS INC CL A CUSIP: Symbol: DKNB201023C00054000 | | | | | | | |
| 10/08/2020 | 1.00 | 299.90 | 10/07/2020 | 373.08 | 0.00 | -73.18 | Sell to Close |
| FUEL TECH INC CUSIP: 359523107 Symbol: FTEK | | | | | | | |
| 11/11/2020 | 200.00 | 356.97 | 11/11/2020 | 387.04 | 30.07 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

5NA77394

(continued)

02/02/2021

SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

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

Box 2: Type of Gain or Loss - Short-Term (unless indicated as Ordinary in Additional Notes Column)**Box 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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|--|-----------------|----------------------|---------------------------|---------------------------------|--|-------------------------|-------------------------|
| FUEL TECH INC CUSIP: 359523107 Symbol: FTEK | | | | | | | |
| 11/11/2020 | 300.00 | 512.94 | 11/11/2020 | 543.00 | 30.06 D | 0.00 | Sale |
| 11/11/2020 | 500.00 | 879.92 | Various | 1,007.99 | 0.00 | -128.07 | Sale |
| 11/11/2020 | 500.00 | 814.92 | 11/11/2020 | 967.90 | 0.00 | -152.98 | Sale |
| Security Totals: | | 2,564.75 | | 2,905.93 | | -281.05 | |
| CALL TTCF 12/18/20 22.50 TATTOOED CHEF INC CL A CUSIP: Symbol: TTCF201218C00022500 | | | | | | | |
| 12/18/2020 | 1.00 | 34.90 | 12/18/2020 | 10.08 | 0.00 | 24.82 | Sell to Close |
| 12/18/2020 | 2.00 | 49.82 | 12/18/2020 | 20.16 | 0.00 | 29.66 | Sell to Close |
| 12/18/2020 | 5.00 | 124.58 | 12/18/2020 | 50.41 | 0.00 | 74.17 | Sell to Close |
| 12/18/2020 | 1.00 | 29.90 | 12/18/2020 | 10.08 | 0.00 | 19.82 | Sell to Close |
| 12/18/2020 | 1.00 | 24.90 | 12/18/2020 | 10.08 | 0.00 | 14.82 | Sell to Close |
| Security Totals: | | 264.10 | | 100.81 | | 163.29 | |
| ***PANGAEA LOGISTICS SOLUTIONS LTD CUSIP: G6891L105 Symbol: PANL | | | | | | | |
| 11/11/2020 | 100.00 | 361.98 | 11/11/2020 | 500.00 | 138.02 D | 0.00 | Sale |
| 11/11/2020 | 250.00 | 969.94 | Various | 1,230.52 | 112.02 D | -148.56 | Sale |
| 11/12/2020 | 100.00 | 330.78 | 11/11/2020 | 492.02 | 0.00 | -161.24 | Sale |
| Security Totals: | | 1,662.70 | | 2,222.54 | | -309.80 | |
| CALL FCEL 01/15/21 14 FUELCELL ENERGY INC CUSIP: Symbol: FCEL210115C00014000 | | | | | | | |
| 12/24/2020 | 1.00 | 141.90 | 12/24/2020 | 175.08 | 0.00 | -33.18 | Sell to Close |
| CALL LMND 12/18/20 97.50 LEMONADE INC CUSIP: Symbol: LMND201218C00097500 | | | | | | | |
| 12/17/2020 | 1.00 | 339.90 | 12/16/2020 | 240.08 | 0.00 | 99.82 | Sell to Close |
| ***AMARIN CORPORATION PLC SPONSORED ADR CUSIP: 023111206 Symbol: AMRN | | | | | | | |
| 11/20/2020 | 84.00 | 454.41 | Various | 444.72 | 0.00 | 9.69 | Sale |
| AERPIO PHARMACEUTICALS INC COMMON STOCK CUSIP: 00810B105 Symbol: ARPO | | | | | | | |
| 10/27/2020 | 300.00 | 365.95 | 10/27/2020 | 408.00 | 0.00 | -42.05 | Sale |
| 10/27/2020 | 400.00 | 511.93 | 10/27/2020 | 544.00 | 0.00 | -32.07 | Sale |
| Security Totals: | | 877.88 | | 952.00 | | -74.12 | |
| SPARTAN ENERGY ACQUISITION CORP CLASS A COMMON STOCK CUSIP: 846784106 Symbol: SPAQ | | | | | | | |
| 10/07/2020 | 35.00 | 480.88 | Various | 498.53 | 17.65 D | 0.00 | Sale |
| 10/07/2020 | 40.00 | 549.17 | Various | 554.05 | 10.68 D | 5.80 | Sale |

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APEX CLEARING

Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B*

OMB No. 1545-0715

5NA77394

(continued)

02/02/2021

SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

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

Box 2: Type of Gain or Loss - Short-Term (unless indicated as Ordinary in Additional Notes Column)**Box 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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|--|-----------------|----------------------|---------------------------|---------------------------------|--|-------------------------|-------------------------|
| SPARTAN ENERGY ACQUISITION CORP CLASS A COMMON STOCK CUSIP: 846784106 Symbol: SPAQ | | | | | | | |
| 10/15/2020 | 50.00 | 693.47 | Various | 714.65 | 21.18 D | 0.00 | Sale |
| 10/16/2020 | 50.00 | 702.97 | Various | 765.70 | 53.71 D | -9.02 | Sale |
| 10/16/2020 | 50.00 | 701.47 | 10/15/2020 | 744.52 | 0.00 | -43.05 | Sale |
| 10/19/2020 | 40.00 | 536.77 | Various | 591.31 | 0.00 | -54.54 | Sale |
| Security Totals: | | 3,664.73 | | 3,868.76 | | -100.81 | |
| CALL NIO 01/15/21 51 NIO INC ADS CUSIP: Symbol: NIO210115C00051000 | | | | | | | |
| 12/22/2020 | 1.00 | 409.90 | 12/21/2020 | 460.08 | 0.00 | -50.18 | Sell to Close |
| SORRENTO THERAPEUTICS INC CUSIP: 83587F202 Symbol: SRNE | | | | | | | |
| 12/17/2020 | 85.00 | 598.37 | 12/16/2020 | 595.00 | 0.00 | 3.37 | Sale |
| 12/23/2020 | 45.00 | 351.88 | 12/22/2020 | 347.40 | 0.00 | 4.48 | Sale |
| 12/23/2020 | 113.00 | 929.95 | Various | 914.59 | 0.00 | 15.36 | Sale |
| 12/23/2020 | 113.00 | 917.64 | 12/23/2020 | 929.99 | 0.00 | -12.35 | Sale |
| Security Totals: | | 2,797.84 | | 2,786.98 | | 10.86 | |
| ***BLACKBERRY LTD COM CUSIP: 09228F103 Symbol: BB | | | | | | | |
| 12/02/2020 | 63.00 | 459.87 | 12/02/2020 | 494.46 | 0.00 | -34.59 | Sale |
| CALL SNAP 02/19/21 60 SNAP INC CUSIP: Symbol: SNAP210219C00060000 | | | | | | | |
| 12/17/2020 | 1.00 | 359.90 | 12/17/2020 | 370.08 | 0.00 | -10.18 | Sell to Close |
| MESA AIR GROUP INC COMMON STOCK CUSIP: 590479135 Symbol: MESA | | | | | | | |
| 11/17/2020 | 56.00 | 262.06 | Various | 272.76 | 12.77 D | 2.07 | Sale |
| 11/30/2020 | 232.00 | 1,461.63 | Various | 1,569.34 | 0.00 | -107.71 | Sale |
| Security Totals: | | 1,723.69 | | 1,842.10 | | -105.64 | |
| ASHFORD HOSPITALITY TR INC COMMON STOCK CUSIP: 044103877 Symbol: AHT | | | | | | | |
| 11/10/2020 | 40.00 | 192.38 | 11/10/2020 | 197.81 | 5.43 D | 0.00 | Sale |
| 11/10/2020 | 40.00 | 193.98 | 11/10/2020 | 197.81 | 3.83 D | 0.00 | Sale |
| 11/17/2020 | 88.00 | 350.22 | Various | 357.64 | 7.59 D | 0.17 | Sale |
| 12/04/2020 | 178.00 | 459.40 | Various | 505.99 | 46.59 D | 0.00 | Sale |
| 12/09/2020 | 129.00 | 443.73 | Various | 528.63 | 84.90 D | 0.00 | Sale |
| 12/09/2020 | 129.00 | 479.98 | Various | 536.38 | 29.93 D | -26.47 | Sale |

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APEX CLEARING

Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B*

OMB No. 1545-0715

5NA77394

(continued)

02/02/2021

SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

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

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|--|----------|-----------------|--------------------|--------------------------|---|------------------|------------------|
| ASHFORD HOSPITALITY TR INC COMMON STOCK CUSIP: 044103877 Symbol: AHT | | | | | | | |
| 12/10/2020 | 125.00 | 488.72 | Various | 557.90 | 0.00 | -69.18 | Sale |
| Security Totals: | | 2,608.41 | | 2,882.16 | | -95.48 | |
| CALL BLNK 12/18/20 30 BLINK CHARGING CO CUSIP: Symbol: BLNK201218C00030000 | | | | | | | |
| 12/08/2020 | 2.00 | 319.82 | Various | 310.16 | 5.17 D | 14.83 | Sell to Close |
| 12/16/2020 | 5.00 | 499.57 | Various | 830.57 | 0.00 | -331.00 | Sell to Close |
| Security Totals: | | 819.39 | | 1,140.73 | | -316.17 | |
| ZEBRA TECHNOLOGIES CORP-CL A CUSIP: 989207105 Symbol: ZBRA | | | | | | | |
| 11/30/2020 | 1.00 | 376.98 | 11/19/2020 | 357.20 | 0.00 | 19.78 | Sale |
| ZOOM VIDEO COMMUNICATIONS INC CLASS A COMMON STOCK CUSIP: 98980L101 Symbol: ZM | | | | | | | |
| 10/20/2020 | 1.00 | 562.04 | 10/19/2020 | 577.57 | 15.53 D | 0.00 | Sale |
| 11/11/2020 | 3.00 | 1,191.44 | Various | 1,150.97 | 0.00 | 40.47 | Sale |
| 11/13/2020 | 2.00 | 841.77 | 11/12/2020 | 851.88 | 10.11 D | 0.00 | Sale |
| 11/18/2020 | 2.00 | 824.73 | 11/18/2020 | 836.85 | 12.12 D | 0.00 | Sale |
| 11/23/2020 | 1.00 | 434.16 | 11/18/2020 | 428.79 | 0.00 | 5.37 | Sale |
| 12/02/2020 | 2.00 | 799.75 | Various | 820.06 | 0.00 | -20.31 | Sale |
| Security Totals: | | 4,653.89 | | 4,666.12 | | 25.53 | |
| ***BORR DRILLING LIMITED COM ON SHARES OF PAR VALUE \$0.05 PER SHARE CUSIP: G1466R207 Symbol: BORR | | | | | | | |
| 11/10/2020 | 1,000.00 | 706.76 | 11/10/2020 | 702.80 | 0.00 | 3.96 | Sale |
| 11/16/2020 | 383.00 | 246.21 | 11/16/2020 | 233.63 | 0.00 | 12.58 | Sale |
| 11/16/2020 | 575.00 | 356.25 | Various | 363.19 | 11.11 D | 4.17 | Sale |
| 11/18/2020 | 575.00 | 373.90 | 11/16/2020 | 402.21 | 28.31 D | 0.00 | Sale |
| 12/10/2020 | 280.00 | 347.38 | Various | 368.05 | 20.67 D | 0.00 | Sale |
| 12/14/2020 | 705.00 | 775.89 | Various | 890.13 | 114.24 D | 0.00 | Sale |
| 12/30/2020 | 253.00 | 219.56 | 12/28/2020 | 277.97 | 58.41 D | 0.00 | Sale |
| 12/30/2020 | 380.00 | 330.54 | Various | 399.33 | 10.53 D | -58.26 | Sale |
| Security Totals: | | 3,356.49 | | 3,637.31 | | -37.55 | |
| CALL BABA 01/15/21 245 ALIBABA GROUP HOLDING LIMITED CUSIP: Symbol: BABA210115C00245000 | | | | | | | |
| 12/28/2020 | 1.00 | 296.90 | 12/24/2020 | 390.08 | 93.18 D | 0.00 | Sell to Close |

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Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B*

OMB No. 1545-0715

5NA77394

(continued)

02/02/2021

SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

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

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|---|----------|-----------------|--------------------|--------------------------|---|------------------|------------------|
| CALL BABA 01/15/21 245 ALIBABA GROUP HOLDING LIMITED CUSIP: Symbol: BABA210115C00245000 | | | | | | | |
| 12/29/2020 | 1.00 | 484.89 | 12/24/2020 | 493.26 | 8.37 D | 0.00 | Sell to Close |
| 12/29/2020 | 1.00 | 454.89 | 12/28/2020 | 353.45 | 0.00 | 101.44 | Sell to Close |
| Security Totals: | | 1,236.68 | | 1,236.79 | | 101.44 | |
| CALL AAL 05/21/21 21 AMERICAN AIRLINES GROUP INC CUSIP: Symbol: AAL210521C00021000 | | | | | | | |
| 12/14/2020 | 1.00 | 243.90 | 12/07/2020 | 251.08 | 0.00 | -7.18 | Sell to Close |
| CALL SNAP 12/24/20 54 SNAP INC CUSIP: Symbol: SNAP201224C00054000 | | | | | | | |
| 12/17/2020 | 1.00 | 122.90 | 12/16/2020 | 80.08 | 0.00 | 42.82 | Sell to Close |
| 12/17/2020 | 1.00 | 129.90 | 12/16/2020 | 80.08 | 0.00 | 49.82 | Sell to Close |
| 12/17/2020 | 1.00 | 114.90 | 12/16/2020 | 80.08 | 0.00 | 34.82 | Sell to Close |
| Security Totals: | | 367.70 | | 240.24 | | 127.46 | |
| ***TRANSOCEAN LTD US LISTED CUSIP: H8817H100 Symbol: RIG | | | | | | | |
| 12/02/2020 | 93.00 | 179.47 | 11/30/2020 | 173.60 | 0.00 | 5.87 | Sale |
| 12/02/2020 | 559.00 | 1,113.32 | Various | 1,145.61 | 43.10 D | 10.81 | Sale |
| 12/08/2020 | 292.00 | 604.39 | Various | 601.99 | 18.73 D | 21.13 | Sale |
| 12/11/2020 | 524.00 | 1,358.06 | Various | 1,239.61 | 29.51 D | 147.96 | Sale |
| 12/14/2020 | 65.00 | 159.88 | 12/11/2020 | 179.83 | 19.95 D | 0.00 | Sale |
| 12/14/2020 | 66.00 | 161.68 | 12/11/2020 | 182.60 | 20.92 D | 0.00 | Sale |
| 12/14/2020 | 393.00 | 987.06 | Various | 1,066.77 | 79.71 D | 0.00 | Sale |
| 12/23/2020 | 220.00 | 499.77 | 12/23/2020 | 501.60 | 1.83 D | 0.00 | Sale |
| 12/23/2020 | 440.00 | 999.56 | Various | 1,107.19 | 107.63 D | 0.00 | Sale |
| 12/24/2020 | 165.00 | 356.67 | 12/23/2020 | 376.20 | 19.53 D | 0.00 | Sale |
| 12/29/2020 | 241.00 | 513.28 | Various | 619.52 | 106.24 D | 0.00 | Sale |
| 12/31/2020 | 60.00 | 141.09 | Various | 159.75 | 18.66 D | 0.00 | Sale |
| Security Totals: | | 7,074.23 | | 7,354.27 | | 185.77 | |
| ***WEIDAI LTD AMERICAN DEPOSITARY SHS ECH ONE (1) CLASS A ORDINARY SHARE CUSIP: 94861A108 Symbol: WEI | | | | | | | |
| 10/21/2020 | 30.00 | 108.58 | 10/20/2020 | 203.98 | 0.00 | -95.40 | Sale |
| ***BIT DIGITAL INC ORDINARY SHARES CUSIP: G1144A105 Symbol: BTBT | | | | | | | |
| 12/16/2020 | 77.00 | 475.83 | 12/16/2020 | 516.31 | 0.00 | -40.48 | Sale |

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APEX CLEARING

Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B*

OMB No. 1545-0715

5NA77394

(continued)

02/02/2021

SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

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

Box 2: Type of Gain or Loss - Short-Term (unless indicated as Ordinary in Additional Notes Column)**Box 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 |
|---|----------|-----------------|--------------------|--------------------------|---|------------------|------------------|
| ***BIT DIGITAL INC ORDINARY SHARES CUSIP: G1144A105 Symbol: BTBT | | | | | | | |
| 12/16/2020 | 179.00 | 1,206.41 | 12/16/2020 | 1,249.39 | 42.98 D | 0.00 | Sale |
| 12/16/2020 | 358.00 | 2,403.80 | 12/16/2020 | 2,498.77 | 94.97 D | 0.00 | Sale |
| 12/16/2020 | 179.00 | 1,183.35 | 12/16/2020 | 1,249.38 | 5.53 D | -60.50 | Sale |
| 12/17/2020 | 57.00 | 325.45 | 12/17/2020 | 354.27 | 0.00 | -28.82 | Sale |
| 12/17/2020 | 169.00 | 991.98 | Various | 1,054.44 | 0.00 | -62.46 | Sale |
| 12/21/2020 | 58.00 | 361.90 | Various | 363.31 | 0.00 | -1.41 | Sale |
| 12/22/2020 | 54.00 | 343.42 | 12/21/2020 | 360.73 | 0.00 | -17.31 | Sale |
| 12/28/2020 | 46.00 | 512.97 | 12/28/2020 | 516.13 | 0.00 | -3.16 | Sale |
| 12/28/2020 | 46.00 | 505.51 | 12/28/2020 | 516.12 | 0.00 | -10.61 | Sale |
| 12/30/2020 | 21.00 | 269.83 | 12/30/2020 | 303.03 | 33.2 D | 0.00 | Sale |
| 12/31/2020 | 24.00 | 432.94 | Various | 385.45 | 0.00 | 47.49 | Sale |
| Security Totals: | | 9,013.39 | | 9,367.33 | | -177.26 | |
| CALL RKT 01/08/21 22 ROCKET COMPANIES INC CL A CUSIP: Symbol: RKT210108C00022000 | | | | | | | |
| 12/14/2020 | 1.00 | 139.90 | 12/07/2020 | 90.08 | 0.00 | 49.82 | Sell to Close |
| 12/14/2020 | 2.00 | 273.82 | 12/07/2020 | 180.16 | 0.00 | 93.66 | Sell to Close |
| Security Totals: | | 413.72 | | 270.24 | | 143.48 | |
| ***LITHIUM AMERICAS CORP COM CUSIP: 53680Q207 Symbol: LAC | | | | | | | |
| 10/05/2020 | 30.00 | 449.98 | 10/02/2020 | 402.65 | 0.00 | 47.33 | Sale |
| 10/14/2020 | 35.00 | 458.47 | 10/13/2020 | 451.85 | 0.00 | 6.62 | Sale |
| 12/23/2020 | 21.00 | 246.31 | 12/23/2020 | 254.52 | 0.00 | -8.21 | Sale |
| 12/23/2020 | 61.00 | 730.14 | 12/23/2020 | 739.32 | 1.5 D | -7.68 | Sale |
| Security Totals: | | 1,884.90 | | 1,848.34 | | 38.06 | |
| CALL AAL 12/31/20 15.50 AMERICAN AIRLINES GROUP INC CUSIP: Symbol: AAL201231C00015500 | | | | | | | |
| 12/04/2020 | 1.00 | 175.90 | 12/01/2020 | 87.08 | 0.00 | 88.82 | Sell to Close |
| CALL PLTR 12/18/20 26 PALANTIR TECHNOLOGIES INC CL A CUSIP: Symbol: PLTR201218C00026000 | | | | | | | |
| 12/03/2020 | 1.00 | 165.91 | 12/03/2020 | 263.08 | 0.00 | -97.17 | Sell to Close |
| LORDSTOWN MOTORS CORP CLASS A COMMON STOCK CUSIP: 54405Q100 Symbol: RIDE | | | | | | | |
| 12/23/2020 | 16.00 | 361.58 | 12/23/2020 | 344.00 | 0.00 | 17.58 | Sale |

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APEX CLEARING

Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B*

OMB No. 1545-0715

5NA77394

(continued)

02/02/2021

SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

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

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|--|-----------------|----------------------|---------------------------|---------------------------------|--|-------------------------|-------------------------|
| VELODYNE LIDAR INC COMMON STOCK CUSIP: 92259F101 Symbol: VLDR | | | | | | | |
| 10/15/2020 | 20.00 | 324.38 | 10/14/2020 | 344.20 | 0.00 | -19.82 | Sale |
| CALL VFF 01/15/21 9 VILLAGE FARMS INTRNATIONAL INC CUSIP: Symbol: VFF210115C00009000 | | | | | | | |
| 12/10/2020 | 1.00 | 164.90 | 11/23/2020 | 130.08 | 0.00 | 34.82 | Sell to Close |
| CALL SNAP 12/18/20 52 SNAP INC CUSIP: Symbol: SNAP201218C00052000 | | | | | | | |
| 12/17/2020 | 1.00 | 255.90 | 12/16/2020 | 84.08 | 0.00 | 171.82 | Sell to Close |
| CALL SPAQ 11/20/20 12.50 SPARTAN ENRGY ACQUISITION CORP CUSIP: Symbol: SPAQ201120C00012500 | | | | | | | |
| 10/23/2020 | 1.00 | 91.90 | 10/20/2020 | 150.08 | 0.00 | -58.18 | Sell to Close |
| ***DOUYU INTERNATIONAL HOLDINGS LIMITED ADS CUSIP: 25985W105 Symbol: DOYU | | | | | | | |
| 10/22/2020 | 38.00 | 558.19 | Various | 593.42 | 0.00 | -35.23 | Sale |
| VIVOS THERAPEUTICS INC COMMON STOCK CUSIP: 92859E108 Symbol: VVOS | | | | | | | |
| 12/17/2020 | 22.00 | 232.74 | 12/17/2020 | 306.69 | 40.34 D | -33.61 | Sale |
| 12/17/2020 | 35.00 | 332.48 | Various | 487.53 | 0.00 | -155.05 | Sale |
| 12/17/2020 | 45.00 | 407.68 | Various | 486.05 | 78.37 D | 0.00 | Sale |
| Security Totals: | | 972.90 | | 1,280.27 | | -188.66 | |
| CALL AAPL 12/18/20 126 APPLE INC CUSIP: Symbol: AAPL201218C00126000 | | | | | | | |
| 12/15/2020 | 1.00 | 145.90 | 12/15/2020 | 186.08 | 0.00 | -40.18 | Sell to Close |
| 12/15/2020 | 5.00 | 959.56 | Various | 856.40 | 0.00 | 103.16 | Sell to Close |
| Security Totals: | | 1,105.46 | | 1,042.48 | | 62.98 | |
| CALL AAL 01/15/21 20 AMERICAN AIRLINES GROUP INC CUSIP: Symbol: AAL210115C00020000 | | | | | | | |
| 12/14/2020 | 1.00 | 89.90 | 12/10/2020 | 114.08 | 0.00 | -24.18 | Sell to Close |
| BANDWIDTH INC CLASS A COMMON STOCK CUSIP: 05988J103 Symbol: BAND | | | | | | | |
| 10/14/2020 | 5.00 | 957.44 | 10/13/2020 | 992.15 | 0.00 | -34.71 | Sale |
| CALL NIO 01/08/21 50 NIO INC ADS CUSIP: Symbol: NIO210108C00050000 | | | | | | | |
| 12/31/2020 | 1.00 | 290.90 | 12/30/2020 | 213.08 | 0.00 | 77.82 | Sell to Close |
| HEPION PHARMACEUTICALS INC COMMON STOCK CUSIP: 426897104 Symbol: HEPA | | | | | | | |
| 12/10/2020 | 100.00 | 182.11 | 12/10/2020 | 189.00 | 0.00 | -6.89 | Sale |
| 12/10/2020 | 217.00 | 397.07 | 12/10/2020 | 410.13 | 3.68 D | -9.38 | Sale |
| 12/30/2020 | 61.00 | 202.50 | Various | 219.10 | 0.00 | -16.60 | Sale |
| Security Totals: | | 781.68 | | 818.23 | | -32.87 | |

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APEX CLEARING

Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B*

OMB No. 1545-0715

5NA77394

(continued)

02/02/2021

SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

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

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

Box 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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|---|----------|---------------|--------------------|--------------------------|---|------------------|------------------|
| TUPPERWARE BRANDS CORPORATION CUSIP: 899896104 Symbol: TUP | | | | | | | |
| 11/02/2020 | 10.00 | 317.18 | 10/30/2020 | 338.60 | 0.00 | -21.42 | Sale |
| CALL GUSH 12/18/20 45 DIREXION DLY S&P OIL & GAS EXP CUSIP: Symbol: GUSH201218C00045000 | | | | | | | |
| 12/14/2020 | 1.00 | 154.90 | 12/10/2020 | 220.08 | 0.00 | -65.18 | Sell to Close |
| ***LOGITECH INTERNATIONAL SA CUSIP: H50430232 Symbol: LOGI | | | | | | | |
| 11/11/2020 | 10.00 | 831.62 | 11/11/2020 | 810.00 | 0.00 | 21.62 | Sale |
| CALL SNDL 12/18/20 1 SUNDIAL GROWERS INC CUSIP: Symbol: SNDL201218C00001000 | | | | | | | |
| 12/01/2020 | 5.00 | 104.58 | 11/30/2020 | 125.41 | 4.17 D | -16.66 | Sell to Close |
| 12/04/2020 | 4.00 | 51.66 | Various | 99.49 | 0.00 | -47.83 | Sell to Close |
| Security Totals: | | 156.24 | | 224.90 | | -64.49 | |
| ***GENETIC TECHNOLOGIES LTD SPONSORED ADR CUSIP: 37185R307 Symbol: GENE | | | | | | | |
| 10/01/2020 | 74.00 | 277.48 | Various | 326.72 | 0.00 | -49.24 | Sale |
| 12/11/2020 | 94.00 | 344.12 | 12/11/2020 | 349.58 | 0.00 | -5.46 | Sale |
| Security Totals: | | 621.60 | | 676.30 | | -54.70 | |
| ***SHOPIFY INC CL A CUSIP: 82509L107 Symbol: SHOP | | | | | | | |
| 11/05/2020 | 1.00 | 1,032.21 | 11/05/2020 | 1,036.00 | 0.00 | -3.79 | Sale |
| CAMBER ENERGY INC COMMON STOCK CUSIP: 13200M508 Symbol: CEI | | | | | | | |
| 10/06/2020 | 150.00 | 122.97 | Various | 129.25 | 6.28 D | 0.00 | Sale |
| 10/06/2020 | 350.00 | 286.81 | 10/05/2020 | 290.96 | 4.15 D | 0.00 | Sale |
| 10/07/2020 | 500.00 | 336.71 | Various | 437.24 | 100.53 D | 0.00 | Sale |
| 10/09/2020 | 10.00 | 11.48 | 10/08/2020 | 13.89 | 0.00 | -2.41 | Sale |
| 10/09/2020 | 600.00 | 704.91 | Various | 839.83 | 2.29 D | -132.63 | Sale |
| 11/12/2020 | 318.00 | 243.41 | 11/12/2020 | 254.43 | 11.02 D | 0.00 | Sale |
| 11/12/2020 | 651.00 | 523.96 | 11/12/2020 | 499.71 | 0.00 | 24.25 | Sale |
| 11/12/2020 | 953.00 | 756.65 | Various | 744.64 | 1.88 D | 13.89 | Sale |
| 11/12/2020 | 1,368.00 | 994.48 | Various | 1,011.27 | 0.00 | -16.79 | Sale |
| 12/15/2020 | 2,197.00 | 1,955.02 | 12/15/2020 | 1,999.27 | 30.8 D | -13.45 | Sale |
| 12/24/2020 | 245.00 | 387.06 | 12/24/2020 | 379.79 | 0.00 | 7.27 | Sale |
| 12/24/2020 | 199.00 | 340.26 | 12/24/2020 | 364.20 | 0.00 | -23.94 | Sale |
| 12/24/2020 | 490.00 | 813.32 | 12/24/2020 | 759.57 | 0.00 | 53.75 | Sale |

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APEX CLEARING

Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B*

OMB No. 1545-0715

5NA77394

(continued)

02/02/2021

SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

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

Box 2: Type of Gain or Loss - Short-Term (unless indicated as Ordinary in Additional Notes Column)**Box 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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|----------------------------|----------|--|--------------------|--------------------------|---|------------------|------------------|
| 12/24/2020 | 595.00 | 1,041.15 | Various | 1,020.33 | 0.00 | 20.82 | Sale |
| Security Totals: | | 8,518.19 | | 8,744.38 | | -69.24 | |
| PUT NXTD 12/18/20 | 2.50 | NXT ID INC CUSIP: Symbol: NXTD201218P00002500 | | | | | |
| 12/17/2020 | 1.00 | 149.90 | 12/16/2020 | 165.08 | 0.00 | -15.18 | Sell to Close |
| CALL GRWG 12/11/20 | 35 | GROWGENERATION CORP CUSIP: Symbol: GRWG201211C00035000 | | | | | |
| 12/09/2020 | 1.00 | 19.90 | 11/24/2020 | 260.08 | 0.00 | -240.18 | Sell to Close |
| HILL INTERNATIONAL INC | | COMMON STOCK CUSIP: 431466101 Symbol: HIL | | | | | |
| 10/07/2020 | 200.00 | 343.97 | 10/06/2020 | 398.00 | 0.00 | -54.03 | Sale |
| CALL FUBO 01/08/21 | 32 | FUBOTV INC CUSIP: Symbol: FUBO210108C00032000 | | | | | |
| 12/31/2020 | 1.00 | 199.90 | 12/31/2020 | 300.08 | 0.00 | -100.18 | Sell to Close |
| ***NEOVASC INC | | COM NO PAR CUSIP: 64065J304 Symbol: NVCN | | | | | |
| 12/16/2020 | 478.00 | 520.94 | 12/16/2020 | 501.90 | 0.00 | 19.04 | Sale |
| 12/16/2020 | 1,432.00 | 1,560.67 | 12/16/2020 | 1,503.60 | 0.00 | 57.07 | Sale |
| Security Totals: | | 2,081.61 | | 2,005.50 | | 76.11 | |
| PINTEREST INC | | CLASS A COMMON STOCK CUSIP: 72352L106 Symbol: PINS | | | | | |
| 10/09/2020 | 6.00 | 261.86 | 10/08/2020 | 262.50 | 0.00 | -0.64 | Sale |
| 11/12/2020 | 8.00 | 480.46 | 11/12/2020 | 483.52 | 3.06 D | 0.00 | Sale |
| 11/13/2020 | 12.00 | 725.61 | Various | 732.53 | 7.14 D | 0.22 | Sale |
| 11/20/2020 | 9.00 | 595.32 | Various | 571.60 | 0.00 | 23.72 | Sale |
| 12/04/2020 | 8.00 | 537.41 | 12/03/2020 | 560.56 | 0.00 | -23.15 | Sale |
| 12/08/2020 | 9.00 | 628.17 | 12/03/2020 | 630.63 | 0.00 | -2.46 | Sale |
| Security Totals: | | 3,228.83 | | 3,241.34 | | -2.31 | |
| ***GAN LIMITED | | ORDINARY SHARES CUSIP: G3728V109 Symbol: GAN | | | | | |
| 12/29/2020 | 25.00 | 492.22 | 12/29/2020 | 481.75 | 0.00 | 10.47 | Sale |
| 12/30/2020 | 21.00 | 415.10 | Various | 412.02 | 0.00 | 3.08 | Sale |
| Security Totals: | | 907.32 | | 893.77 | | 13.55 | |
| ***MMTEC INC | | COMMON SHARES CUSIP: G6181K106 Symbol: MTC | | | | | |
| 10/16/2020 | 250.00 | 322.46 | 10/15/2020 | 315.00 | 0.00 | 7.46 | Sale |
| 10/21/2020 | 300.00 | 368.95 | 10/20/2020 | 411.00 | 0.00 | -42.05 | Sale |
| Security Totals: | | 691.41 | | 726.00 | | -34.59 | |

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Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B*

OMB No. 1545-0715

5NA77394

(continued)

02/02/2021

SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

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|--|----------|-----------------|--------------------|--------------------------|---|------------------|------------------|
| MEDLEY MANAGEMENT INC CL A COM CUSIP: 58503T106 Symbol: MDLY | | | | | | | |
| 10/12/2020 | 500.00 | 509.92 | 10/09/2020 | 354.33 | 0.00 | 155.59 | Sale |
| CALL CBAT 12/18/20 10 CBAK ENERGY TECHNOLOGY INC CUSIP: Symbol: CBAT201218C00010000 | | | | | | | |
| 11/30/2020 | 1.00 | 123.90 | 11/27/2020 | 142.08 | 0.00 | -18.18 | Sell to Close |
| HF ENTERPRISES INC COMMON STOCK CUSIP: 40438A105 Symbol: HFEN | | | | | | | |
| 12/16/2020 | 80.00 | 495.17 | 12/16/2020 | 496.00 | 0.71 D | -0.12 | Sale |
| 12/17/2020 | 68.00 | 474.96 | 12/17/2020 | 510.71 | 0.00 | -35.75 | Sale |
| Security Totals: | | 970.13 | | 1,006.71 | | -35.87 | |
| CALL GROW 03/19/21 7.50 U S GLOBAL INVESTORS INC-CL A CUSIP: Symbol: GROW210319C00007500 | | | | | | | |
| 12/14/2020 | 5.00 | 174.58 | 11/30/2020 | 200.40 | 0.00 | -25.82 | Sell to Close |
| 12/15/2020 | 1.00 | 9.90 | 11/30/2020 | 40.08 | 0.00 | -30.18 | Sell to Close |
| Security Totals: | | 184.48 | | 240.48 | | -56.00 | |
| CALL FSLY 12/18/20 109 FASTLY INC CLASS A CUSIP: Symbol: FSLY201218C00109000 | | | | | | | |
| 12/18/2020 | 1.00 | 34.90 | 12/18/2020 | 90.08 | 0.00 | -55.18 | Sell to Close |
| CALL AAL 12/18/20 16 AMERICAN AIRLINES GROUP INC CUSIP: Symbol: AAL201218C00016000 | | | | | | | |
| 12/03/2020 | 1.00 | 103.90 | 12/01/2020 | 50.08 | 0.00 | 53.82 | Sell to Close |
| MAXAR TECHNOLOGIES INC COMMON STOCK CUSIP: 57778K105 Symbol: MAXR | | | | | | | |
| 09/30/2020 | 10.00 | 249.30 | 09/29/2020 | 263.30 | 14 D | 0.00 | Sale |
| 10/15/2020 | 10.00 | 288.98 | 10/13/2020 | 315.59 | 0.00 | -26.61 | Sale |
| Security Totals: | | 538.28 | | 578.89 | | -26.61 | |
| ***LONGEVITY ACQUISITION CORPORATION ORDINARY SHARES CUSIP: G56372132 Symbol: LOAC | | | | | | | |
| 12/28/2020 | 27.00 | 433.01 | 12/24/2020 | 344.79 | 0.00 | 88.22 | Sale |
| FASTLY INC CLASS A COMMON STOCK CUSIP: 31188V100 Symbol: FSLY | | | | | | | |
| 10/21/2020 | 10.00 | 831.17 | 10/20/2020 | 853.30 | 8.85 D | -13.28 | Sale |
| 11/13/2020 | 4.00 | 318.74 | 11/13/2020 | 333.77 | 0.00 | -15.03 | Sale |
| Security Totals: | | 1,149.91 | | 1,187.07 | | -28.31 | |
| VAALCO ENERGY INC NEW CUSIP: 91851C201 Symbol: EGY | | | | | | | |
| 11/05/2020 | 500.00 | 529.92 | 11/05/2020 | 560.00 | 0.00 | -30.08 | Sale |
| VIRGIN GALACTIC HLDGS INC COMMON STOCK CUSIP: 92766K106 Symbol: SPCE | | | | | | | |
| 09/28/2020 | 20.00 | 406.18 | 09/28/2020 | 381.98 | 0.00 | 24.20 | Sale |

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APEX CLEARING

Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B*

OMB No. 1545-0715

5NA77394

(continued)

02/02/2021

SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

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

Box 2: Type of Gain or Loss - Short-Term (unless indicated as Ordinary in Additional Notes Column)**Box 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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|--|-----------------|----------------------|---------------------------|---------------------------------|--|-------------------------|-------------------------|
| VIRGIN GALACTIC HLDGS INC COMMON STOCK CUSIP: 92766K106 Symbol: SPCE | | | | | | | |
| 10/14/2020 | 20.00 | 425.58 | 10/13/2020 | 412.40 | 0.00 | 13.18 | Sale |
| 11/16/2020 | 21.00 | 430.69 | 11/16/2020 | 484.89 | 54.2 D | 0.00 | Sale |
| 11/30/2020 | 32.00 | 895.01 | Various | 783.94 | 0.00 | 111.07 | Sale |
| 12/08/2020 | 1.00 | 32.82 | 12/04/2020 | 28.98 | 0.00 | 3.84 | Sale |
| Security Totals: | | 2,190.28 | | 2,092.19 | | 152.29 | |
| ***TANTECH HOLDINGS LTD COM CUSIP: G8675X107 Symbol: TANH | | | | | | | |
| 11/30/2020 | 245.00 | 524.30 | 11/27/2020 | 499.80 | 0.00 | 24.50 | Sale |
| VIRIOS THERAPEUTICS INC COMMON STOCK CUSIP: 92829J104 Symbol: VIRI | | | | | | | |
| 12/17/2020 | 12.00 | 192.71 | 12/17/2020 | 195.16 | 0.00 | -2.45 | Sale |
| 12/17/2020 | 12.00 | 194.28 | 12/17/2020 | 195.16 | 0.00 | -0.88 | Sale |
| Security Totals: | | 386.99 | | 390.32 | | -3.33 | |
| EVER GLORY INTERNATIONAL GROUP INC CUSIP: 299766204 Symbol: EVK | | | | | | | |
| 10/28/2020 | 100.00 | 300.98 | 10/27/2020 | 338.00 | 0.00 | -37.02 | Sale |
| 12/03/2020 | 27.00 | 139.57 | 12/03/2020 | 130.68 | 0.00 | 8.89 | Sale |
| 12/03/2020 | 46.00 | 323.34 | Various | 351.35 | 0.00 | -28.01 | Sale |
| 12/03/2020 | 65.00 | 343.18 | 12/03/2020 | 349.70 | 6.52 D | 0.00 | Sale |
| 12/03/2020 | 78.00 | 398.56 | 12/03/2020 | 377.52 | 0.00 | 21.04 | Sale |
| 12/03/2020 | 119.00 | 829.32 | Various | 841.64 | 17.03 D | 4.71 | Sale |
| Security Totals: | | 2,334.95 | | 2,388.89 | | -30.39 | |
| CALL CCL 12/18/20 23 CARNIVAL CORP CUSIP: Symbol: CCL201218C00023000 | | | | | | | |
| 12/16/2020 | 1.00 | 33.90 | 12/14/2020 | 78.08 | 0.00 | -44.18 | Sell to Close |
| VISLINK TECHNOLOGIES INC COMMON STOCK CUSIP: 92836Y300 Symbol: VISL | | | | | | | |
| 11/04/2020 | 400.00 | 551.93 | 11/03/2020 | 576.00 | 0.00 | -24.07 | Sale |
| 12/18/2020 | 543.00 | 733.57 | 12/18/2020 | 748.75 | 15.18 D | 0.00 | Sale |
| 12/18/2020 | 543.00 | 717.28 | 12/18/2020 | 748.74 | 31.46 D | 0.00 | Sale |
| 12/21/2020 | 603.00 | 741.60 | Various | 807.30 | 65.70 D | 0.00 | Sale |
| 12/22/2020 | 1,451.00 | 2,177.88 | Various | 2,351.38 | 204.48 D | 30.98 | Sale |

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APEX CLEARING

Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B*

OMB No. 1545-0715

5NA77394

(continued)

02/02/2021

SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

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

Box 2: Type of Gain or Loss - Short-Term (unless indicated as Ordinary in Additional Notes Column)**Box 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: 92836Y300 Symbol: VISL | | | | | | | |
| 12/23/2020 | 279.00 | 460.30 | 12/23/2020 | 542.90 | 82.6 D | 0.00 | Sale |
| Security Totals: | | 5,382.56 | | 5,775.07 | | 6.91 | |
| SENMIAO TECHNOLOGY LIMITED COMMON STOCK CUSIP: 817225105 Symbol: AIHS | | | | | | | |
| 10/06/2020 | 200.00 | 124.97 | 10/05/2020 | 126.34 | 1.37 D | 0.00 | Sale |
| 10/06/2020 | 300.00 | 190.15 | Various | 189.92 | 0.00 | 0.23 | Sale |
| 10/06/2020 | 350.00 | 212.16 | 10/05/2020 | 221.10 | 8.94 D | 0.00 | Sale |
| 10/20/2020 | 300.00 | 542.94 | 10/19/2020 | 438.16 | 0.00 | 104.78 | Sale |
| 11/25/2020 | 301.00 | 472.84 | 11/25/2020 | 496.32 | 0.00 | -23.48 | Sale |
| Security Totals: | | 1,543.06 | | 1,471.84 | | 81.53 | |
| GEE GROUP INC COM CUSIP: 36165A102 Symbol: JOB | | | | | | | |
| 10/15/2020 | 200.00 | 230.17 | 10/14/2020 | 251.00 | 0.00 | -20.83 | Sale |
| KOSS CORP CUSIP: 500692108 Symbol: KOSS | | | | | | | |
| 12/29/2020 | 86.00 | 284.64 | 12/29/2020 | 349.16 | 4.5 D | -60.02 | Sale |
| CALL PIC 01/15/21 20 PIVOTAL INVSTMNT CORP II CL A CUSIP: Symbol: PIC210115C00020000 | | | | | | | |
| 12/14/2020 | 1.00 | 209.90 | 12/04/2020 | 225.08 | 15.18 D | 0.00 | Sell to Close |
| 12/16/2020 | 1.00 | 159.90 | 12/04/2020 | 235.26 | 75.36 D | 0.00 | Sell to Close |
| Security Totals: | | 369.80 | | 460.34 | | 0.00 | |
| NORTHERN OIL & GAS INC COMMON STOCK CUSIP: 665531307 Symbol: NOG | | | | | | | |
| 12/23/2020 | 79.00 | 725.98 | 12/23/2020 | 745.97 | 0.00 | -19.99 | Sale |
| CALL NCLH 03/19/21 27.50 NORWEIGIAN CRUISE LINE HOLDING CUSIP: Symbol: NCLH210319C00027500 | | | | | | | |
| 12/14/2020 | 1.00 | 424.90 | 12/02/2020 | 245.08 | 0.00 | 179.82 | Sell to Close |
| ***RUHNN HOLDING LIMITED AMERICAN DEPOSITARY SHARES CUSIP: 781314109 Symbol: RUHN | | | | | | | |
| 10/21/2020 | 120.00 | 321.58 | 10/20/2020 | 351.60 | 0.00 | -30.02 | Sale |
| CALL PTON 12/11/20 119 PELOTON INTERACTIVE INC CL A CUSIP: Symbol: PTON201211C00119000 | | | | | | | |
| 12/10/2020 | 1.00 | 156.90 | 12/10/2020 | 193.08 | 0.00 | -36.18 | Sell to Close |
| XPRESSPA GROUP INC COMMON STOCK CUSIP: 98420U703 Symbol: XSPA | | | | | | | |
| 11/11/2020 | 1,425.00 | 2,579.02 | 11/11/2020 | 2,579.25 | 0.00 | -0.23 | Sale |
| 12/17/2020 | 197.00 | 372.30 | 12/17/2020 | 347.52 | 0.00 | 24.78 | Sale |
| Security Totals: | | 2,951.32 | | 2,926.77 | | 24.55 | |

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APEX CLEARING

Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B*

OMB No. 1545-0715

5NA77394

(continued)

02/02/2021

SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

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

Box 2: Type of Gain or Loss - Short-Term (unless indicated as Ordinary in Additional Notes Column)**Box 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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|--|-----------------|----------------------|---------------------------|---------------------------------|--|-------------------------|-------------------------|
| FACEBOOK INC CL A CUSIP: 30303M102 Symbol: FB | | | | | | | |
| 10/06/2020 | 1.00 | 262.91 | 10/02/2020 | 259.38 | 0.00 | 3.53 | Sale |
| ***THE9 LIMITED AMERICAN DEPOSITORY SHARES CUSIP: 88337K302 Symbol: NCTY | | | | | | | |
| 11/12/2020 | 179.00 | 481.76 | 11/12/2020 | 499.41 | 17.65 D | 0.00 | Sale |
| 11/13/2020 | 156.00 | 419.61 | Various | 461.62 | 42.01 D | 0.00 | Sale |
| 11/23/2020 | 227.00 | 969.23 | Various | 1,040.81 | 0.00 | -71.58 | Sale |
| 12/28/2020 | 185.00 | 671.51 | 12/28/2020 | 630.85 | 0.00 | 40.66 | Sale |
| Security Totals: | | 2,542.11 | | 2,632.69 | | -30.92 | |
| GREENPRO CAPITAL CORP COMMON STOCK CUSIP: 39540F101 Symbol: GRNQ | | | | | | | |
| 12/17/2020 | 509.00 | 738.87 | Various | 786.11 | 47.24 D | 0.00 | Sale |
| 12/17/2020 | 170.00 | 265.17 | 12/16/2020 | 278.53 | 13.36 D | 0.00 | Sale |
| 12/28/2020 | 1.00 | 2.87 | 12/28/2020 | 3.14 | 0.27 D | 0.00 | Sale |
| 12/28/2020 | 141.00 | 348.40 | 12/28/2020 | 360.61 | 0.00 | -12.21 | Sale |
| 12/28/2020 | 168.00 | 483.80 | 12/28/2020 | 507.36 | 23.56 D | 0.00 | Sale |
| 12/28/2020 | 324.00 | 877.98 | Various | 1,014.69 | 136.71 D | 0.00 | Sale |
| 12/28/2020 | 405.00 | 1,089.37 | Various | 1,079.27 | 6.24 D | 16.34 | Sale |
| 12/28/2020 | 420.00 | 995.32 | 12/28/2020 | 1,074.17 | 0.00 | -78.85 | Sale |
| 12/28/2020 | 472.00 | 1,217.67 | Various | 1,138.22 | 17.58 D | 97.03 | Sale |
| 12/28/2020 | 672.00 | 1,921.79 | 12/28/2020 | 2,029.44 | 107.65 D | 0.00 | Sale |
| 12/28/2020 | 894.00 | 2,297.41 | Various | 2,607.63 | 310.22 D | 0.00 | Sale |
| 12/28/2020 | 895.00 | 2,693.96 | Various | 2,653.38 | 13.35 D | 53.93 | Sale |
| 12/28/2020 | 1,299.00 | 3,740.88 | Various | 3,964.14 | 223.26 D | 0.00 | Sale |
| 12/28/2020 | 1,682.00 | 4,171.06 | Various | 4,931.58 | 40.74 D | -719.78 | Sale |
| Security Totals: | | 20,844.55 | | 22,428.27 | | -643.54 | |
| MODERNA INC COMMON STOCK CUSIP: 60770K107 Symbol: MRNA | | | | | | | |
| 11/17/2020 | 5.00 | 479.97 | 11/16/2020 | 478.80 | 0.00 | 1.17 | Sale |
| INSEGO CORP COMMON STOCK CUSIP: 45782B104 Symbol: INSG | | | | | | | |
| 11/04/2020 | 40.00 | 359.27 | 11/03/2020 | 359.90 | 0.00 | -0.63 | Sale |

APEX CLEARING

Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B*

OMB No. 1545-0715

5NA77394

(continued)

02/02/2021

SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

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

Box 2: Type of Gain or Loss - Short-Term (unless indicated as Ordinary in Additional Notes Column)**Box 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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|--|-----------------|----------------------|---------------------------|---------------------------------|--|-------------------------|-------------------------|
| ***BAIDU INC SPONSORED ADR REPSTG ORD SHS CL A CUSIP: 056752108 Symbol: BIDU | | | | | | | |
| 12/31/2020 | 1.00 | 216.53 | 12/30/2020 | 222.05 | 0.00 | -5.52 | Sale |
| TATTOOED CHEF INC CLASS A COMMON STOCK CUSIP: 87663X102 Symbol: TTCF | | | | | | | |
| 12/18/2020 | 9.00 | 206.08 | 12/18/2020 | 193.68 | 0.00 | 12.40 | Sale |
| 12/18/2020 | 18.00 | 400.48 | 12/18/2020 | 387.36 | 0.00 | 13.12 | Sale |
| 12/18/2020 | 24.00 | 494.37 | 12/17/2020 | 484.32 | 0.00 | 10.05 | Sale |
| 12/18/2020 | 35.00 | 780.86 | Various | 719.70 | 0.00 | 61.16 | Sale |
| 12/21/2020 | 6.00 | 150.04 | 12/18/2020 | 129.12 | 0.00 | 20.92 | Sale |
| 12/22/2020 | 48.00 | 1,255.64 | Various | 1,246.71 | 4.99 D | 13.92 | Sale |
| 12/28/2020 | 13.00 | 328.36 | 12/28/2020 | 337.49 | 9.13 D | 0.00 | Sale |
| Security Totals: | | 3,615.83 | | 3,498.38 | | 131.57 | |
| LM FUNDING AMERICA INC COMMON STOCK CUSIP: 502074305 Symbol: LMFA | | | | | | | |
| 09/29/2020 | 400.00 | 412.38 | 09/28/2020 | 322.00 | 0.00 | 90.38 | Sale |
| 09/29/2020 | 483.00 | 388.99 | 09/29/2020 | 420.21 | 31.22 D | 0.00 | Sale |
| 10/14/2020 | 350.00 | 235.36 | 10/06/2020 | 242.74 | 7.38 D | 0.00 | Sale |
| 10/19/2020 | 500.00 | 334.93 | Various | 358.48 | 0.00 | -23.55 | Sale |
| 12/24/2020 | 514.00 | 340.84 | 12/21/2020 | 349.52 | 3.11 D | -5.57 | Sale |
| Security Totals: | | 1,712.50 | | 1,692.95 | | 61.26 | |
| HYLIION HOLDINGS CORP COMMON STOCK CUSIP: 449109107 Symbol: HYLN | | | | | | | |
| 10/05/2020 | 6.00 | 229.90 | 10/01/2020 | 275.10 | 45.2 D | 0.00 | Sale |
| 10/12/2020 | 20.00 | 575.37 | Various | 643.20 | 67.83 D | 0.00 | Sale |
| 10/15/2020 | 20.00 | 559.97 | Various | 615.43 | 0.00 | -55.46 | Sale |
| Security Totals: | | 1,365.24 | | 1,533.73 | | -55.46 | |
| CALL SOLO 03/19/21 10 ELECTROMECCANICA VEHICLES CORP CUSIP: Symbol: SOLO210319C00010000 | | | | | | | |
| 11/19/2020 | 1.00 | 259.90 | 11/17/2020 | 170.08 | 0.00 | 89.82 | Sell to Close |
| ETSY INC COM CUSIP: 29786A106 Symbol: ETSY | | | | | | | |
| 10/16/2020 | 2.00 | 301.47 | 10/15/2020 | 302.00 | 0.53 D | 0.00 | Sale |
| 11/10/2020 | 5.00 | 606.97 | Various | 620.88 | 0.00 | -13.91 | Sale |
| Security Totals: | | 908.44 | | 922.88 | | -13.91 | |

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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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|--|----------|-----------------|--------------------|--------------------------|---|------------------|------------------|
| ***FIVERR INTERNATIONAL LTD ORDINARY SHARES NO PAR VALUE CUSIP: M4R82T106 Symbol: FVRR | | | | | | | |
| 10/12/2020 | 1.00 | 165.49 | 10/08/2020 | 154.08 | 0.00 | 11.41 | Sale |
| 10/20/2020 | 3.00 | 534.33 | 10/19/2020 | 544.59 | 10.26 D | 0.00 | Sale |
| 11/05/2020 | 5.00 | 877.52 | Various | 893.51 | 15.99 D | 0.00 | Sale |
| 11/06/2020 | 4.00 | 692.13 | Various | 720.73 | 28.60 D | 0.00 | Sale |
| 11/09/2020 | 3.00 | 554.97 | Various | 582.65 | 27.68 D | 0.00 | Sale |
| 11/09/2020 | 5.00 | 819.27 | Various | 858.12 | 38.85 D | 0.00 | Sale |
| 11/10/2020 | 1.00 | 150.58 | 11/09/2020 | 160.22 | 9.64 D | 0.00 | Sale |
| 11/10/2020 | 2.00 | 302.00 | Various | 323.90 | 21.90 D | 0.00 | Sale |
| 11/10/2020 | 2.00 | 305.98 | 11/09/2020 | 334.28 | 28.3 D | 0.00 | Sale |
| 11/12/2020 | 2.00 | 331.98 | 11/12/2020 | 360.10 | 28.12 D | 0.00 | Sale |
| 11/19/2020 | 2.00 | 359.41 | Various | 353.70 | 0.00 | 5.71 | Sale |
| 11/20/2020 | 1.00 | 179.92 | 11/12/2020 | 175.54 | 0.00 | 4.38 | Sale |
| 11/20/2020 | 2.00 | 382.40 | 11/19/2020 | 358.14 | 0.00 | 24.26 | Sale |
| 11/20/2020 | 3.00 | 562.14 | Various | 525.12 | 0.00 | 37.02 | Sale |
| 11/20/2020 | 1.00 | 179.98 | 11/12/2020 | 180.03 | 0.05 D | 0.00 | Sale |
| Security Totals: | | 6,398.10 | | 6,524.71 | | 82.78 | |
| ***LIANLUO SMART LIMITED CLASS A COMMON STOCK CUSIP: G5478K100 Symbol: LLIT | | | | | | | |
| 10/21/2020 | 1,000.00 | 512.78 | 10/20/2020 | 608.53 | 0.00 | -95.75 | Sale |
| BIONANO GENOMICS INC COMMON STOCK CUSIP: 09075F107 Symbol: BNGO | | | | | | | |
| 12/30/2020 | 74.00 | 205.78 | Various | 212.02 | 6.42 D | 0.18 | Sale |
| 12/30/2020 | 108.00 | 234.46 | 12/30/2020 | 255.55 | 21.09 D | 0.00 | Sale |
| 12/30/2020 | 122.00 | 217.14 | 12/30/2020 | 230.58 | 13.44 D | 0.00 | Sale |
| 12/30/2020 | 109.00 | 248.62 | Various | 246.23 | 1.2 D | 3.59 | Sale |
| 12/30/2020 | 223.00 | 483.86 | Various | 521.92 | 38.06 D | 0.00 | Sale |
| 12/30/2020 | 315.00 | 693.29 | Various | 677.70 | 22.65 D | 38.24 | Sale |
| 12/31/2020 | 78.00 | 205.90 | Various | 206.28 | 2.22 D | 1.84 | Sale |
| Security Totals: | | 2,289.05 | | 2,350.28 | | 43.85 | |

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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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|---|----------|-----------------|--------------------|--------------------------|---|------------------|------------------|
| CALL XPEV 12/11/20 50 XPENG INC ADR CLASS A CUSIP: Symbol: XPEV201211C00050000 | | | | | | | |
| 12/09/2020 | 1.00 | 88.90 | 12/07/2020 | 172.08 | 0.00 | -83.18 | Sell to Close |
| TENGASCO INC COM CUSIP: 88033R502 Symbol: TGC | | | | | | | |
| 10/28/2020 | 300.00 | 305.95 | 10/27/2020 | 396.00 | 0.00 | -90.05 | Sale |
| WIRELESS TELECOM GROUP INC CUSIP: 976524108 Symbol: WTT | | | | | | | |
| 12/09/2020 | 317.00 | 592.76 | 12/07/2020 | 598.78 | 2.6 D | -3.42 | Sale |
| 12/09/2020 | 317.00 | 592.76 | 12/07/2020 | 598.78 | 6.02 D | 0.00 | Sale |
| 12/10/2020 | 454.00 | 921.54 | Various | 1,006.92 | 0.00 | -85.38 | Sale |
| Security Totals: | | 2,107.06 | | 2,204.48 | | -88.80 | |
| TELADOC HEALTH INC COMMON STOCK CUSIP: 87918A105 Symbol: TDOC | | | | | | | |
| 11/04/2020 | 2.00 | 403.24 | 11/03/2020 | 385.00 | 0.00 | 18.24 | Sale |
| 11/06/2020 | 3.00 | 616.20 | 11/05/2020 | 625.50 | 9.3 D | 0.00 | Sale |
| 11/10/2020 | 2.00 | 357.58 | 11/09/2020 | 367.99 | 10.41 D | 0.00 | Sale |
| 11/10/2020 | 5.00 | 891.12 | Various | 926.36 | 35.24 D | 0.00 | Sale |
| 11/11/2020 | 5.00 | 894.47 | Various | 902.39 | 8.30 D | 0.38 | Sale |
| 11/11/2020 | 7.00 | 1,240.08 | Various | 1,251.66 | 19.03 D | 7.45 | Sale |
| 11/13/2020 | 3.00 | 541.75 | Various | 562.39 | 20.64 D | 0.00 | Sale |
| 11/16/2020 | 6.00 | 1,068.26 | Various | 1,132.95 | 26.31 D | -38.38 | Sale |
| 11/20/2020 | 3.00 | 573.54 | Various | 565.35 | 0.00 | 8.19 | Sale |
| Security Totals: | | 6,586.24 | | 6,719.59 | | -4.12 | |
| CLEVELAND BIOLABS INC COM NEW CUSIP: 185860202 Symbol: CBLI | | | | | | | |
| 10/20/2020 | 100.00 | 410.98 | 10/19/2020 | 299.00 | 0.00 | 111.98 | Sale |
| 10/20/2020 | 100.00 | 470.97 | 10/19/2020 | 299.00 | 0.00 | 171.97 | Sale |
| Security Totals: | | 881.95 | | 598.00 | | 283.95 | |
| CALL NCLH 01/15/21 30 NORWEIGIAN CRUISE LINE HOLDING CUSIP: Symbol: NCLH210115C00030000 | | | | | | | |
| 12/16/2020 | 1.00 | 66.90 | 12/10/2020 | 176.08 | 0.00 | -109.18 | Sell to Close |
| PAYPAL HOLDINGS INC COM CUSIP: 70450Y103 Symbol: PYPL | | | | | | | |
| 11/17/2020 | 2.00 | 381.52 | 11/16/2020 | 380.80 | 0.00 | 0.72 | Sale |

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APEX CLEARING

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2020 Form 1099-B*

OMB No. 1545-0715

5NA77394

(continued)

02/02/2021

SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

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|---|---|---------------|--------------------|--------------------------|---|------------------|------------------|
| 12/23/2020 | 1.00 | 238.89 | 12/21/2020 | 237.90 | 0.00 | 0.99 | Sale |
| Security Totals: | | 620.41 | | 618.70 | | 1.71 | |
| CALL NCLH 01/15/21 35 | NORWEIGIAN CRUISE LINE HOLDING CUSIP: Symbol: NCLH210115C00035000 | | | | | | |
| 12/15/2020 | 2.00 | 49.82 | 12/08/2020 | 226.16 | 0.00 | -176.34 | Sell to Close |
| CALL FUBO 01/08/21 38 | FUBOTV INC CUSIP: Symbol: FUBO210108C00038000 | | | | | | |
| 12/31/2020 | 1.00 | 105.90 | 12/30/2020 | 266.08 | 0.00 | -160.18 | Sell to Close |
| CALL TRNE 12/18/20 22.50 | TRINE ACQUISITION CORP CL A CUSIP: Symbol: TRNE201218C00022500 | | | | | | |
| 12/08/2020 | 1.00 | 309.90 | 12/07/2020 | 300.08 | 0.00 | 9.82 | Sell to Close |
| CALL NIO 01/15/21 50 | NIO INC ADS CUSIP: Symbol: NIO210115C00050000 | | | | | | |
| 12/30/2020 | 1.00 | 364.90 | 12/28/2020 | 256.08 | 0.00 | 108.82 | Sell to Close |
| 12/30/2020 | 1.00 | 336.90 | 12/28/2020 | 256.08 | 0.00 | 80.82 | Sell to Close |
| Security Totals: | | 701.80 | | 512.16 | | 189.64 | |
| CALL AAPL 10/16/20 110 | APPLE INC ADJ 4:1 STOCK SPLIT CUSIP: Symbol: AAPL201016C00110000 | | | | | | |
| 10/08/2020 | 1.00 | 604.89 | 10/07/2020 | 637.08 | 0.00 | -32.19 | Sell to Close |
| ***ELECTRAMECCANICA VEHICLES CORP LTD CUSIP: 284849205 Symbol: SOLO | | | | | | | |
| 10/15/2020 | 101.00 | 294.90 | 10/14/2020 | 328.06 | 33.16 D | 0.00 | Sale |
| 11/05/2020 | 200.00 | 745.96 | Various | 780.28 | 34.32 D | 0.00 | Sale |
| 11/05/2020 | 200.00 | 650.40 | Various | 694.92 | 44.52 D | 0.00 | Sale |
| 11/06/2020 | 150.00 | 556.46 | Various | 627.23 | 70.77 D | 0.00 | Sale |
| 11/06/2020 | 150.00 | 536.96 | Various | 604.03 | 67.07 D | 0.00 | Sale |
| 11/06/2020 | 200.00 | 722.22 | Various | 840.40 | 118.18 D | 0.00 | Sale |
| 11/06/2020 | 300.00 | 1,113.32 | Various | 1,210.68 | 97.36 D | 0.00 | Sale |
| 11/09/2020 | 100.00 | 394.98 | Various | 425.66 | 30.68 D | 0.00 | Sale |
| 11/09/2020 | 150.00 | 581.96 | Various | 597.76 | 15.80 D | 0.00 | Sale |
| 11/10/2020 | 74.00 | 253.06 | Various | 280.58 | 27.52 D | 0.00 | Sale |
| 11/10/2020 | 126.00 | 466.17 | Various | 491.92 | 25.75 D | 0.00 | Sale |
| 11/10/2020 | 400.00 | 1,344.00 | Various | 1,447.34 | 103.34 D | 0.00 | Sale |
| 11/12/2020 | 21.00 | 100.60 | 11/12/2020 | 105.12 | 4.52 D | 0.00 | Sale |
| 11/12/2020 | 43.00 | 204.28 | Various | 214.26 | 9.98 D | 0.00 | Sale |

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|---|----------|---------------|--------------------|--------------------------|---|------------------|------------------|
| ***ELECTRAMECCANICA VEHICLES CORP LTD CUSIP: 284849205 Symbol: SOLO | | | | | | | |
| 11/12/2020 | 59.00 | 297.58 | Various | 306.95 | 10.21 D | 0.84 | Sale |
| 11/12/2020 | 86.00 | 418.90 | Various | 425.64 | 6.74 D | 0.00 | Sale |
| 11/12/2020 | 164.00 | 765.84 | Various | 742.07 | 0.06 D | 23.83 | Sale |
| 11/12/2020 | 164.00 | 762.77 | Various | 761.07 | 2.94 D | 4.64 | Sale |
| 11/12/2020 | 300.00 | 1,232.93 | Various | 1,227.51 | 7.41 D | 12.83 | Sale |
| 11/12/2020 | 343.00 | 1,540.44 | Various | 1,508.50 | 1.55 D | 33.49 | Sale |
| 11/13/2020 | 14.00 | 82.93 | 11/13/2020 | 90.18 | 7.25 D | 0.00 | Sale |
| 11/13/2020 | 28.00 | 166.16 | 11/13/2020 | 180.35 | 14.19 D | 0.00 | Sale |
| 11/13/2020 | 32.00 | 195.82 | 11/13/2020 | 198.72 | 2.9 D | 0.00 | Sale |
| 11/13/2020 | 39.00 | 241.78 | Various | 291.82 | 50.04 D | 0.00 | Sale |
| 11/13/2020 | 58.00 | 347.69 | Various | 367.41 | 19.72 D | 0.00 | Sale |
| 11/13/2020 | 64.00 | 394.22 | Various | 454.96 | 60.74 D | 0.00 | Sale |
| 11/13/2020 | 65.00 | 414.04 | Various | 431.04 | 17.00 D | 0.00 | Sale |
| 11/13/2020 | 77.00 | 449.66 | Various | 489.80 | 40.14 D | 0.00 | Sale |
| 11/13/2020 | 77.00 | 453.50 | Various | 492.12 | 38.62 D | 0.00 | Sale |
| 11/13/2020 | 138.00 | 1,039.09 | Various | 983.14 | 0.00 | 55.95 | Sale |
| 11/13/2020 | 138.00 | 1,017.01 | Various | 1,062.90 | 47.78 D | 1.89 | Sale |
| 11/13/2020 | 146.00 | 1,064.29 | Various | 990.59 | 0.00 | 73.70 | Sale |
| 11/13/2020 | 156.00 | 979.63 | Various | 1,032.34 | 52.71 D | 0.00 | Sale |
| 11/13/2020 | 159.00 | 844.25 | Various | 838.43 | 5.53 D | 11.35 | Sale |
| 11/13/2020 | 160.00 | 864.46 | Various | 889.39 | 25.44 D | 0.51 | Sale |
| 11/13/2020 | 192.00 | 1,177.41 | Various | 1,243.90 | 65.33 D | -1.16 | Sale |
| 11/13/2020 | 195.00 | 1,238.20 | Various | 1,333.87 | 100.14 D | 4.47 | Sale |
| 11/13/2020 | 203.00 | 1,059.61 | Various | 1,113.18 | 53.57 D | 0.00 | Sale |
| 11/13/2020 | 231.00 | 1,381.31 | Various | 1,609.91 | 228.60 D | 0.00 | Sale |
| 11/13/2020 | 232.00 | 1,500.97 | Various | 1,627.28 | 147.40 D | 21.09 | Sale |
| 11/13/2020 | 243.00 | 1,518.68 | Various | 1,402.79 | 2.4 D | 118.29 | Sale |

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APEX CLEARING

Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B*

OMB No. 1545-0715

5NA77394

(continued)

02/02/2021

SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

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|---|----------|---------------|--------------------|--------------------------|---|------------------|------------------|
| ***ELECTRAMECCANICA VEHICLES CORP LTD CUSIP: 284849205 Symbol: SOLO | | | | | | | |
| 11/13/2020 | 365.00 | 2,230.13 | Various | 2,569.25 | 339.12 D | 0.00 | Sale |
| 11/13/2020 | 387.00 | 2,387.68 | Various | 2,640.54 | 252.86 D | 0.00 | Sale |
| 11/16/2020 | 57.00 | 364.21 | Various | 414.17 | 49.96 D | 0.00 | Sale |
| 11/16/2020 | 57.00 | 367.06 | Various | 401.08 | 34.02 D | 0.00 | Sale |
| 11/16/2020 | 114.00 | 748.95 | Various | 798.13 | 49.18 D | 0.00 | Sale |
| 11/16/2020 | 157.00 | 1,018.88 | Various | 1,202.83 | 183.95 D | 0.00 | Sale |
| 11/19/2020 | 63.00 | 596.58 | Various | 414.02 | 0.00 | 182.56 | Sale |
| 11/19/2020 | 70.00 | 647.47 | Various | 498.61 | 17.23 D | 166.09 | Sale |
| 11/19/2020 | 140.00 | 1,301.95 | Various | 905.20 | 0.00 | 396.75 | Sale |
| 11/19/2020 | 252.00 | 2,185.09 | Various | 1,729.48 | 0.00 | 455.61 | Sale |
| 11/20/2020 | 53.00 | 496.05 | Various | 522.07 | 27.73 D | 1.71 | Sale |
| 11/20/2020 | 53.00 | 568.66 | Various | 686.06 | 117.40 D | 0.00 | Sale |
| 11/20/2020 | 53.00 | 626.43 | Various | 635.37 | 27.58 D | 18.64 | Sale |
| 11/20/2020 | 71.00 | 798.01 | Various | 912.30 | 114.29 D | 0.00 | Sale |
| 11/20/2020 | 70.00 | 748.97 | Various | 883.50 | 134.53 D | 0.00 | Sale |
| 11/20/2020 | 94.00 | 996.36 | Various | 1,177.99 | 181.63 D | 0.00 | Sale |
| 11/20/2020 | 142.00 | 1,533.54 | Various | 1,741.79 | 208.25 D | 0.00 | Sale |
| 11/20/2020 | 80.00 | 896.77 | Various | 882.77 | 12.49 D | 26.49 | Sale |
| 11/23/2020 | 28.00 | 279.98 | Various | 356.88 | 76.90 D | 0.00 | Sale |
| 11/23/2020 | 57.00 | 598.47 | Various | 718.36 | 119.89 D | 0.00 | Sale |
| 11/23/2020 | 21.00 | 204.31 | Various | 269.40 | 65.09 D | 0.00 | Sale |
| 11/23/2020 | 59.00 | 643.07 | Various | 764.34 | 121.27 D | 0.00 | Sale |
| 11/23/2020 | 113.00 | 1,204.54 | Various | 1,439.06 | 234.52 D | 0.00 | Sale |
| 11/23/2020 | 80.00 | 867.97 | Various | 1,015.53 | 147.56 D | 0.00 | Sale |
| 11/24/2020 | 60.00 | 593.37 | Various | 799.29 | 205.92 D | 0.00 | Sale |
| 11/25/2020 | 17.00 | 150.79 | Various | 212.93 | 62.14 D | 0.00 | Sale |
| 11/25/2020 | 102.00 | 925.10 | Various | 1,208.26 | 283.16 D | 0.00 | Sale |

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|---|----------|------------------|--------------------|--------------------------|---|------------------|------------------|
| ***ELECTRAMECCANICA VEHICLES CORP LTD CUSIP: 284849205 Symbol: SOLO | | | | | | | |
| 11/25/2020 | 84.00 | 754.29 | Various | 978.90 | 224.61 D | 0.00 | Sale |
| 11/27/2020 | 9.00 | 77.02 | Various | 106.53 | 29.51 D | 0.00 | Sale |
| 11/30/2020 | 74.00 | 611.95 | Various | 853.48 | 241.53 D | 0.00 | Sale |
| 12/01/2020 | 147.00 | 1,074.71 | Various | 1,626.61 | 551.90 D | 0.00 | Sale |
| 12/02/2020 | 25.00 | 172.98 | Various | 303.39 | 130.41 D | 0.00 | Sale |
| 12/02/2020 | 25.00 | 169.48 | Various | 306.48 | 137.00 D | 0.00 | Sale |
| 12/10/2020 | 53.00 | 365.22 | Various | 602.90 | 237.68 D | 0.00 | Sale |
| 12/11/2020 | 80.00 | 523.97 | Various | 910.18 | 386.21 D | 0.00 | Sale |
| 12/11/2020 | 81.00 | 538.62 | Various | 957.72 | 419.10 D | 0.00 | Sale |
| 12/17/2020 | 177.00 | 1,299.34 | Various | 2,019.20 | 719.86 D | 0.00 | Sale |
| 12/17/2020 | 236.00 | 1,737.20 | Various | 2,433.29 | 701.47 D | 5.38 | Sale |
| 12/17/2020 | 410.00 | 2,980.58 | Various | 3,743.47 | 762.89 D | 0.00 | Sale |
| 12/17/2020 | 673.00 | 4,959.99 | Various | 5,712.92 | 752.93 D | 0.00 | Sale |
| 12/18/2020 | 30.00 | 210.88 | 12/17/2020 | 220.80 | 9.92 D | 0.00 | Sale |
| 12/18/2020 | 82.00 | 596.11 | Various | 606.12 | 10.01 D | 0.00 | Sale |
| 12/18/2020 | 83.00 | 610.85 | 12/18/2020 | 615.04 | 4.19 D | 0.00 | Sale |
| 12/21/2020 | 48.00 | 336.94 | Various | 468.41 | 131.47 D | 0.00 | Sale |
| 12/21/2020 | 73.00 | 523.38 | Various | 563.96 | 33.56 D | -7.02 | Sale |
| 12/21/2020 | 24.00 | 165.82 | 12/21/2020 | 174.00 | 8.18 D | 0.00 | Sale |
| 12/21/2020 | 145.00 | 1,059.90 | Various | 1,677.99 | 619.58 D | 1.49 | Sale |
| 12/22/2020 | 73.00 | 542.36 | 12/21/2020 | 562.78 | 20.42 D | 0.00 | Sale |
| 12/23/2020 | 46.00 | 319.68 | 12/22/2020 | 351.00 | 31.32 D | 0.00 | Sale |
| Security Totals: | | 73,026.10 | | 82,338.48 | | 1,609.42 | |
| AYRO INC COMMON STOCK CUSIP: 054748108 Symbol: AYRO | | | | | | | |
| 11/06/2020 | 230.00 | 689.95 | Various | 683.30 | 6.02 D | 12.67 | Sale |
| 11/09/2020 | 150.00 | 436.80 | Various | 455.58 | 18.78 D | 0.00 | Sale |
| 11/09/2020 | 200.00 | 593.96 | Various | 620.35 | 26.39 D | 0.00 | Sale |
| 11/10/2020 | 500.00 | 1,395.85 | Various | 1,468.58 | 72.73 D | 0.00 | Sale |

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|---|----------|------------------|--------------------|--------------------------|---|------------------|------------------|
| AYRO INC COMMON STOCK CUSIP: 054748108 Symbol: AYRO | | | | | | | |
| 11/10/2020 | 600.00 | 1,670.17 | Various | 1,724.39 | 54.22 D | 0.00 | Sale |
| 11/12/2020 | 50.00 | 170.48 | 11/12/2020 | 177.27 | 6.79 D | 0.00 | Sale |
| 11/13/2020 | 50.00 | 170.98 | 11/12/2020 | 177.26 | 6.28 D | 0.00 | Sale |
| 11/13/2020 | 273.00 | 1,111.05 | Various | 1,046.16 | 0.00 | 64.89 | Sale |
| 11/17/2020 | 84.00 | 351.10 | 11/16/2020 | 357.22 | 6.12 D | 0.00 | Sale |
| 11/19/2020 | 104.00 | 575.32 | Various | 439.18 | 0.00 | 136.14 | Sale |
| 11/19/2020 | 136.00 | 829.56 | Various | 607.21 | 0.00 | 222.35 | Sale |
| 11/19/2020 | 68.00 | 407.98 | Various | 380.04 | 0.00 | 27.94 | Sale |
| 11/20/2020 | 82.00 | 724.87 | 11/20/2020 | 543.66 | 0.00 | 181.21 | Sale |
| 11/20/2020 | 109.00 | 718.28 | Various | 663.80 | 1.61 D | 56.09 | Sale |
| 11/23/2020 | 23.00 | 222.62 | 11/23/2020 | 200.33 | 0.00 | 22.29 | Sale |
| 11/23/2020 | 141.00 | 1,438.14 | Various | 1,114.34 | 0.00 | 323.80 | Sale |
| 11/24/2020 | 6.00 | 58.60 | 11/23/2020 | 52.26 | 0.00 | 6.34 | Sale |
| 11/24/2020 | 18.00 | 179.80 | 11/23/2020 | 156.78 | 0.00 | 23.02 | Sale |
| 12/09/2020 | 30.00 | 197.68 | 12/08/2020 | 216.60 | 18.92 D | 0.00 | Sale |
| 12/15/2020 | 318.00 | 1,974.75 | Various | 2,012.78 | 36.65 D | -1.38 | Sale |
| 12/22/2020 | 74.00 | 491.33 | Various | 522.12 | 30.79 D | 0.00 | Sale |
| 12/29/2020 | 19.00 | 118.96 | 12/22/2020 | 129.20 | 10.24 D | 0.00 | Sale |
| 12/29/2020 | 55.00 | 353.63 | 12/22/2020 | 374.01 | 20.38 D | 0.00 | Sale |
| Security Totals: | | 14,881.86 | | 14,122.42 | | 1,075.36 | |
| CALL DIS 01/08/21 185 WALT DISNEY CO CUSIP: Symbol: DIS210108C00185000 | | | | | | | |
| 12/31/2020 | 1.00 | 271.90 | 12/30/2020 | 200.08 | 0.00 | 71.82 | Sell to Close |
| CALL CBAT 01/15/21 7.50 CBAK ENERGY TECHNOLOGY INC CUSIP: Symbol: CBAT210115C00007500 | | | | | | | |
| 12/22/2020 | 1.00 | 69.90 | 12/21/2020 | 35.08 | 0.00 | 34.82 | Sell to Close |
| 12/22/2020 | 4.00 | 323.66 | 12/21/2020 | 140.32 | 0.00 | 183.34 | Sell to Close |
| 12/22/2020 | 5.00 | 344.58 | 12/21/2020 | 175.41 | 0.00 | 169.17 | Sell to Close |
| Security Totals: | | 738.14 | | 350.81 | | 387.33 | |

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|--|----------|-----------------|--------------------|--------------------------|---|------------------|------------------|
| CALL MARA 12/18/20 10 MARATHON PATENT GROUP INC CUSIP: Symbol: MARA201218C00010000 | | | | | | | |
| 12/17/2020 | 3.00 | 224.74 | Various | 260.24 | 0.00 | -35.50 | Sell to Close |
| CALL AAPL 12/31/20 125 APPLE INC CUSIP: Symbol: AAPL201231C00125000 | | | | | | | |
| 12/15/2020 | 1.00 | 379.90 | 12/15/2020 | 335.08 | 0.00 | 44.82 | Sell to Close |
| ***9F INC AMERICAN DEPOSITARY SHARES CUSIP: 65442R109 Symbol: JFU | | | | | | | |
| 10/21/2020 | 400.00 | 677.81 | Various | 575.00 | 0.00 | 102.81 | Sale |
| 10/22/2020 | 174.00 | 278.37 | 10/21/2020 | 293.19 | 0.00 | -14.82 | Sale |
| 11/24/2020 | 212.00 | 481.19 | 11/24/2020 | 498.20 | 0.00 | -17.01 | Sale |
| Security Totals: | | 1,437.37 | | 1,366.39 | | 70.98 | |
| FLUIDIGM CORPORATION CUSIP: 34385P108 Symbol: FLDM | | | | | | | |
| 10/19/2020 | 50.00 | 364.98 | 10/16/2020 | 374.50 | 0.00 | -9.52 | Sale |
| IDEANOMICS INC COMMON STOCK CUSIP: 45166V106 Symbol: IDEX | | | | | | | |
| 11/16/2020 | 282.00 | 329.90 | 11/16/2020 | 352.50 | 22.6 D | 0.00 | Sale |
| 11/20/2020 | 613.00 | 919.40 | Various | 811.65 | 0.00 | 107.75 | Sale |
| 11/23/2020 | 130.00 | 332.91 | Various | 193.50 | 0.00 | 139.41 | Sale |
| 11/23/2020 | 260.00 | 683.75 | Various | 376.83 | 0.00 | 306.92 | Sale |
| 11/23/2020 | 65.00 | 156.63 | 11/23/2020 | 139.10 | 0.00 | 17.53 | Sale |
| 11/23/2020 | 520.00 | 1,331.42 | Various | 807.61 | 0.00 | 523.81 | Sale |
| 11/23/2020 | 901.00 | 1,855.90 | Various | 1,358.72 | 0.00 | 497.18 | Sale |
| 11/24/2020 | 96.00 | 295.77 | Various | 301.29 | 5.52 D | 0.00 | Sale |
| 11/24/2020 | 223.00 | 709.34 | Various | 739.02 | 29.68 D | 0.00 | Sale |
| 11/24/2020 | 192.00 | 595.37 | Various | 614.93 | 19.56 D | 0.00 | Sale |
| 11/24/2020 | 228.00 | 918.78 | Various | 768.64 | 0.00 | 150.14 | Sale |
| 11/24/2020 | 229.00 | 842.67 | Various | 697.47 | 0.00 | 145.20 | Sale |
| 11/24/2020 | 255.00 | 713.95 | 11/24/2020 | 749.42 | 35.47 D | 0.00 | Sale |
| 11/24/2020 | 294.00 | 964.26 | Various | 958.13 | 22.84 D | 28.97 | Sale |
| 11/24/2020 | 629.00 | 1,881.18 | Various | 1,851.68 | 42.48 D | 71.98 | Sale |
| 11/24/2020 | 446.00 | 1,462.79 | Various | 1,512.55 | 60.06 D | 10.30 | Sale |
| 11/24/2020 | 724.00 | 2,056.74 | Various | 1,988.85 | 0.00 | 67.89 | 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 |
|---|----------|------------------|--------------------|--------------------------|---|------------------|------------------|
| IDEANOMICS INC COMMON STOCK CUSIP: 45166V106 Symbol: IDEX | | | | | | | |
| 11/25/2020 | 82.00 | 224.66 | Various | 248.35 | 23.88 D | 0.19 | Sale |
| 11/25/2020 | 218.00 | 608.41 | Various | 654.24 | 57.60 D | 11.77 | Sale |
| 11/25/2020 | 235.00 | 594.50 | Various | 717.54 | 123.04 D | 0.00 | Sale |
| 11/25/2020 | 490.00 | 1,352.85 | Various | 1,418.86 | 91.28 D | 25.27 | Sale |
| 11/27/2020 | 178.00 | 514.38 | Various | 527.73 | 18.86 D | 5.51 | Sale |
| 12/01/2020 | 101.00 | 223.30 | Various | 351.21 | 127.91 D | 0.00 | Sale |
| 12/01/2020 | 604.00 | 1,443.87 | Various | 1,765.95 | 322.08 D | 0.00 | Sale |
| 12/02/2020 | 392.00 | 913.28 | Various | 1,207.47 | 294.19 D | 0.00 | Sale |
| 12/02/2020 | 450.00 | 936.42 | Various | 1,287.61 | 351.19 D | 0.00 | Sale |
| 12/02/2020 | 1,093.00 | 2,547.27 | Various | 2,878.82 | 344.57 D | 13.02 | Sale |
| 12/03/2020 | 105.00 | 230.98 | Various | 331.05 | 100.07 D | 0.00 | Sale |
| 12/03/2020 | 139.00 | 310.64 | Various | 415.15 | 104.51 D | 0.00 | Sale |
| 12/03/2020 | 312.00 | 699.16 | Various | 822.53 | 123.37 D | 0.00 | Sale |
| 12/03/2020 | 346.00 | 806.19 | Various | 882.49 | 76.30 D | 0.00 | Sale |
| 12/10/2020 | 164.00 | 323.05 | Various | 406.51 | 83.46 D | 0.00 | Sale |
| 12/11/2020 | 393.00 | 738.77 | Various | 974.12 | 235.35 D | 0.00 | Sale |
| 12/11/2020 | 100.00 | 188.98 | Various | 276.78 | 87.80 D | 0.00 | Sale |
| 12/14/2020 | 167.00 | 307.25 | Various | 406.54 | 99.29 D | 0.00 | Sale |
| 12/18/2020 | 376.00 | 763.22 | Various | 1,030.00 | 266.78 D | 0.00 | Sale |
| 12/21/2020 | 162.00 | 333.69 | Various | 474.65 | 140.96 D | 0.00 | Sale |
| 12/22/2020 | 149.00 | 342.67 | Various | 407.83 | 65.16 D | 0.00 | Sale |
| 12/22/2020 | 446.00 | 985.58 | Various | 1,224.99 | 239.41 D | 0.00 | Sale |
| 12/23/2020 | 195.00 | 425.07 | Various | 553.94 | 128.87 D | 0.00 | Sale |
| 12/23/2020 | 261.00 | 576.76 | Various | 825.86 | 249.10 D | 0.00 | Sale |
| 12/24/2020 | 66.00 | 140.63 | Various | 166.38 | 25.75 D | 0.00 | Sale |
| 12/28/2020 | 197.00 | 486.55 | Various | 645.51 | 158.96 D | 0.00 | Sale |
| Security Totals: | | 33,068.89 | | 35,124.00 | | 2,122.84 | |

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APEX CLEARING

Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B*

OMB No. 1545-0715

5NA77394

(continued)

02/02/2021

SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

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

Box 2: Type of Gain or Loss - Short-Term (unless indicated as Ordinary in Additional Notes Column)**Box 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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|------------------------------|--|---|--------------------|--------------------------|---|------------------|------------------|
| CALL PIC 01/15/21 | 17.50 | PIVOTAL INVSTMNT CORP II CL A CUSIP: Symbol: PIC210115C00017500 | | | | | |
| 12/16/2020 | 2.00 | 399.82 | Various | 670.16 | 130.17 D | -140.17 | Sell to Close |
| 12/21/2020 | 1.00 | 399.90 | 12/18/2020 | 380.25 | 0.00 | 19.65 | Sell to Close |
| Security Totals: | | 799.72 | | 1,050.41 | | -120.52 | |
| CALL FSR 12/18/20 | 18.50 | FISKER INC CL A CUSIP: Symbol: FSR201218C00018500 | | | | | |
| 11/30/2020 | 1.00 | 223.90 | 11/25/2020 | 220.08 | 0.00 | 3.82 | Sell to Close |
| U S WELL SERVICES INC | CLASS A COMMON STOCK CUSIP: 91274U101 Symbol: USWS | | | | | | |
| 10/09/2020 | 400.00 | 366.21 | 10/08/2020 | 144.00 | 0.00 | 222.21 | Sale |
| 10/09/2020 | 400.00 | 313.94 | 10/08/2020 | 144.00 | 0.00 | 169.94 | Sale |
| Security Totals: | | 680.15 | | 288.00 | | 392.15 | |
| KANDI TECHNOLOGIES GROUP INC | CUSIP: 483709101 Symbol: KNDI | | | | | | |
| 11/05/2020 | 100.00 | 930.96 | Various | 921.46 | 9.02 D | 18.52 | Sale |
| 11/12/2020 | 65.00 | 471.87 | Various | 464.47 | 0.19 D | 7.59 | Sale |
| 11/13/2020 | 21.00 | 151.39 | 11/13/2020 | 167.98 | 16.59 D | 0.00 | Sale |
| 11/13/2020 | 33.00 | 249.13 | 11/12/2020 | 245.80 | 0.00 | 3.33 | Sale |
| 11/13/2020 | 62.00 | 453.81 | Various | 474.22 | 20.41 D | 0.00 | Sale |
| 11/17/2020 | 46.00 | 385.10 | Various | 383.85 | 4.54 D | 5.79 | Sale |
| 11/18/2020 | 54.00 | 558.87 | Various | 464.73 | 0.00 | 94.14 | Sale |
| 11/19/2020 | 19.00 | 271.68 | Various | 236.92 | 0.00 | 34.76 | Sale |
| 11/19/2020 | 29.00 | 367.70 | Various | 284.10 | 0.00 | 83.60 | Sale |
| 11/19/2020 | 38.00 | 488.28 | Various | 448.90 | 0.00 | 39.38 | Sale |
| 11/20/2020 | 9.00 | 127.78 | 11/19/2020 | 110.70 | 0.00 | 17.08 | Sale |
| 11/23/2020 | 109.00 | 1,341.75 | Various | 1,306.52 | 0.00 | 35.23 | Sale |
| 11/25/2020 | 67.00 | 987.69 | 11/25/2020 | 991.53 | 1.95 D | -1.89 | Sale |
| 12/10/2020 | 34.00 | 286.60 | 12/08/2020 | 301.15 | 0.00 | -14.55 | Sale |
| Security Totals: | | 7,072.61 | | 6,802.33 | | 322.98 | |
| ARCIMOTO INC | COMMON STOCK CUSIP: 039587100 Symbol: FUV | | | | | | |
| 11/19/2020 | 29.00 | 368.60 | 11/19/2020 | 297.25 | 0.00 | 71.35 | Sale |

APEX CLEARING

Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B*

OMB No. 1545-0715

5NA77394

(continued)

02/02/2021

SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

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

Box 2: Type of Gain or Loss - Short-Term (unless indicated as Ordinary in Additional Notes Column)**Box 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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|--|----------|-----------------|--------------------|--------------------------|---|------------------|------------------|
| ***CYREN LTD CUSIP: M26895108 Symbol: CYRN | | | | | | | |
| 12/18/2020 | 236.00 | 318.56 | 12/18/2020 | 349.28 | 0.00 | -30.72 | Sale |
| MEDALIST DIVERSIFIED REIT INC COMMON STOCK CUSIP: 58403P105 Symbol: MDRR | | | | | | | |
| 11/09/2020 | 100.00 | 312.98 | 11/09/2020 | 330.00 | 17.02 D | 0.00 | Sale |
| 12/04/2020 | 137.00 | 352.06 | Various | 366.37 | 0.00 | -14.31 | Sale |
| Security Totals: | | 665.04 | | 696.37 | | -14.31 | |
| CVD EQUIPMENT CORPORATION CUSIP: 126601103 Symbol: CVV | | | | | | | |
| 10/08/2020 | 80.00 | 381.98 | Various | 399.10 | 0.00 | -17.12 | Sale |
| PHIO PHARMACEUTICALS CORP COMMON STOCK CUSIP: 71880W303 Symbol: PHIO | | | | | | | |
| 11/10/2020 | 750.00 | 1,934.86 | 11/10/2020 | 2,010.00 | 0.00 | -75.14 | Sale |
| 11/10/2020 | 750.00 | 1,913.19 | 11/10/2020 | 2,010.00 | 0.00 | -96.81 | Sale |
| Security Totals: | | 3,848.05 | | 4,020.00 | | -171.95 | |
| CALL NIO 01/15/21 44 NIO INC ADS CUSIP: Symbol: NIO210115C00044000 | | | | | | | |
| 12/15/2020 | 1.00 | 514.89 | 12/15/2020 | 535.08 | 0.00 | -20.19 | Sell to Close |
| AIRBNB INC CLASS A COMMON STOCK CUSIP: 009066101 Symbol: ABNB | | | | | | | |
| 12/10/2020 | 4.00 | 617.33 | Various | 628.19 | 0.00 | -10.86 | Sale |
| 12/10/2020 | 5.00 | 760.77 | Various | 753.59 | 6.15 D | 13.33 | Sale |
| Security Totals: | | 1,378.10 | | 1,381.78 | | 2.47 | |
| MOXIAN INC COMMON STOCK CUSIP: 624697306 Symbol: MOXC | | | | | | | |
| 10/20/2020 | 400.00 | 519.93 | 10/19/2020 | 583.92 | 63.99 D | 0.00 | Sale |
| 11/11/2020 | 1,500.00 | 1,844.77 | Various | 1,923.99 | 0.00 | -79.22 | Sale |
| Security Totals: | | 2,364.70 | | 2,507.91 | | -79.22 | |
| CALL AAL 01/15/21 19 AMERICAN AIRLINES GROUP INC CUSIP: Symbol: AAL210115C00019000 | | | | | | | |
| 12/14/2020 | 1.00 | 99.90 | 12/07/2020 | 151.08 | 0.00 | -51.18 | Sell to Close |
| 12/14/2020 | 1.00 | 100.90 | 12/07/2020 | 151.08 | 0.00 | -50.18 | Sell to Close |
| 12/16/2020 | 1.00 | 85.90 | 12/07/2020 | 151.08 | 0.00 | -65.18 | Sell to Close |
| Security Totals: | | 286.70 | | 453.24 | | -166.54 | |
| CALL IDEX 12/18/20 2 IDEANOMICS INC CUSIP: Symbol: IDEX201218C00002000 | | | | | | | |
| 11/23/2020 | 3.00 | 284.74 | Various | 115.24 | 0.00 | 169.50 | Sell to Close |

APEX CLEARING

Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B*

OMB No. 1545-0715

5NA77394

(continued)

02/02/2021

SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

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

Box 2: Type of Gain or Loss - Short-Term (unless indicated as Ordinary in Additional Notes Column)**Box 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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|---|-----------------|----------------------|---------------------------|---------------------------------|--|-------------------------|-------------------------|
| SUMMIT WIRELESS TECHNOLOGIES INC COMMON STOCK CUSIP: 86633R203 Symbol: WISA | | | | | | | |
| 11/10/2020 | 350.00 | 1,196.93 | Various | 1,067.00 | 0.00 | 129.93 | Sale |
| 11/10/2020 | 350.00 | 1,130.43 | 11/10/2020 | 1,211.00 | 0.00 | -80.57 | Sale |
| Security Totals: | | 2,327.36 | | 2,278.00 | | 49.36 | |
| SYNLOGIC INC COMMON STOCK CUSIP: 87166L100 Symbol: SYBX | | | | | | | |
| 11/25/2020 | 226.00 | 773.53 | Various | 830.06 | 56.53 D | 0.00 | Sale |
| 11/25/2020 | 276.00 | 662.35 | Various | 823.29 | 147.50 D | -13.44 | Sale |
| 11/27/2020 | 181.00 | 483.23 | Various | 652.49 | 0.00 | -169.26 | Sale |
| Security Totals: | | 1,919.11 | | 2,305.84 | | -182.70 | |
| QUALIGEN THERAPEUTICS INC COMMON STOCK CUSIP: 74754R103 Symbol: QLGN | | | | | | | |
| 12/17/2020 | 133.00 | 478.81 | 12/16/2020 | 494.76 | 0.00 | -15.95 | Sale |
| CALL BIDU 12/18/20 200 BAIDU INC CUSIP: Symbol: BIDU201218C00200000 | | | | | | | |
| 12/16/2020 | 1.00 | 273.90 | 12/16/2020 | 530.08 | 0.00 | -256.18 | Sell to Close |
| UNITED STATES ANTIMONY CORP CUSIP: 911549103 Symbol: UAMY | | | | | | | |
| 11/20/2020 | 1,386.00 | 576.40 | 11/20/2020 | 600.00 | 0.00 | -23.60 | Sale |
| CALL NNDM 12/18/20 10 NANO DIMENSION LTD ADS CUSIP: Symbol: NNDM201218C00010000 | | | | | | | |
| 12/10/2020 | 5.00 | 49.58 | 12/09/2020 | 75.40 | 0.00 | -25.82 | Sell to Close |
| VERASTEM INC CUSIP: 92337C104 Symbol: VSTM | | | | | | | |
| 12/01/2020 | 225.00 | 434.30 | 11/30/2020 | 499.50 | 0.00 | -65.20 | Sale |
| ***RENSOLA LTD AMERICAN DEPOSITARY ON EACH REPRESENTING TEN SHARES CUSIP: 75971T301 Symbol: SOL | | | | | | | |
| 11/18/2020 | 70.00 | 339.48 | 11/16/2020 | 347.45 | 7.97 D | 0.00 | Sale |
| 11/20/2020 | 46.00 | 251.14 | 11/19/2020 | 254.10 | 2.96 D | 0.00 | Sale |
| 11/30/2020 | 170.00 | 1,310.65 | Various | 1,250.54 | 0.00 | 60.11 | Sale |
| 12/14/2020 | 283.00 | 1,987.77 | 12/14/2020 | 1,995.15 | 5.93 D | -1.45 | Sale |
| 12/14/2020 | 143.00 | 1,040.99 | 12/14/2020 | 998.14 | 0.00 | 42.85 | Sale |
| 12/22/2020 | 20.00 | 220.98 | 12/22/2020 | 194.92 | 0.00 | 26.06 | Sale |
| 12/23/2020 | 47.00 | 509.95 | 12/23/2020 | 590.61 | 18.88 D | -61.78 | Sale |
| 12/24/2020 | 24.00 | 240.51 | 12/24/2020 | 243.75 | 0.00 | -3.24 | Sale |
| 12/28/2020 | 24.00 | 233.51 | 12/28/2020 | 241.83 | 2.43 D | -5.89 | Sale |
| Security Totals: | | 6,134.98 | | 6,116.49 | | 56.66 | |

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APEX CLEARING

Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B*

OMB No. 1545-0715

5NA77394

(continued)

02/02/2021

SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

Report on Form 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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|--|----------|-----------------|--------------------|--------------------------|---|------------------|------------------|
| CALL NNDM 01/15/21 10 NANO DIMENSION LTD ADS CUSIP: Symbol: NNDM210115C00010000 | | | | | | | |
| 12/30/2020 | 1.00 | 110.90 | 12/28/2020 | 70.08 | 0.00 | 40.82 | Sell to Close |
| 12/30/2020 | 2.00 | 217.82 | 12/28/2020 | 140.16 | 0.00 | 77.66 | Sell to Close |
| 12/31/2020 | 2.00 | 209.82 | 12/28/2020 | 140.16 | 0.00 | 69.66 | Sell to Close |
| Security Totals: | | 538.54 | | 350.40 | | 188.14 | |
| CALL PIC 01/15/21 15 PIVOTAL INVSTMNT CORP II CL A CUSIP: Symbol: PIC210115C00015000 | | | | | | | |
| 12/21/2020 | 1.00 | 419.90 | 12/16/2020 | 300.08 | 0.00 | 119.82 | Sell to Close |
| CYCLO THERAPEUTICS INC COMMON STOCK CUSIP: 23254X201 Symbol: CYTH | | | | | | | |
| 12/18/2020 | 24.00 | 177.82 | 12/18/2020 | 196.32 | 0.00 | -18.50 | Sale |
| 12/18/2020 | 24.00 | 193.18 | 12/18/2020 | 196.32 | 0.00 | -3.14 | Sale |
| Security Totals: | | 371.00 | | 392.64 | | -21.64 | |
| CALL NNDM 12/18/20 7.50 NANO DIMENSION LTD ADS CUSIP: Symbol: NNDM201218C00007500 | | | | | | | |
| 12/02/2020 | 1.00 | 44.90 | 11/27/2020 | 160.08 | 115.18 D | 0.00 | Sell to Close |
| 12/02/2020 | 1.00 | 44.90 | 11/30/2020 | 225.26 | 180.36 D | 0.00 | Sell to Close |
| 12/09/2020 | 1.00 | 59.90 | 12/03/2020 | 276.44 | 0.00 | -216.54 | Sell to Close |
| Security Totals: | | 149.70 | | 661.78 | | -216.54 | |
| PECK COMPANY HOLDINGS INC (THE) COMMON STOCK CUSIP: 705163103 Symbol: PECK | | | | | | | |
| 11/09/2020 | 75.00 | 594.86 | Various | 598.51 | 3.65 D | 0.00 | Sale |
| 11/09/2020 | 50.00 | 392.98 | 11/09/2020 | 397.00 | 4.02 D | 0.00 | Sale |
| 11/09/2020 | 75.00 | 600.72 | 11/09/2020 | 616.50 | 0.00 | -15.78 | Sale |
| 11/09/2020 | 100.00 | 815.97 | Various | 809.66 | 0.00 | 6.31 | Sale |
| Security Totals: | | 2,404.53 | | 2,421.67 | | -9.47 | |
| CALL FSR 12/11/20 17 FISKER INC CL A CUSIP: Symbol: FSR201211C00017000 | | | | | | | |
| 12/08/2020 | 2.00 | 149.82 | Various | 270.16 | 0.00 | -120.34 | Sell to Close |
| ALBEMARLE CORPORATION CUSIP: 012653101 Symbol: ALB | | | | | | | |
| 11/17/2020 | 2.00 | 252.78 | 11/16/2020 | 256.02 | 0.00 | -3.24 | Sale |
| ASTROTECH CORPORATION COMMON STOCK CUSIP: 046484200 Symbol: ASTC | | | | | | | |
| 10/21/2020 | 65.00 | 346.43 | 10/20/2020 | 318.50 | 0.00 | 27.93 | Sale |
| ***CHINA NATURAL RESOURCES INC CUSIP: G2110U109 Symbol: CHNR | | | | | | | |
| 10/07/2020 | 250.00 | 376.96 | 10/06/2020 | 450.00 | 0.00 | -73.04 | Sale |

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SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

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|---|----------|-----------------|--------------------|--------------------------|---|------------------|------------------|
| GREENWICH LIFESCIENCES INC COMMON STOCK CUSIP: 396879108 Symbol: GLSI | | | | | | | |
| 12/09/2020 | 7.00 | 540.51 | 12/09/2020 | 571.83 | 0.00 | -31.32 | Sale |
| CALL NIO 12/18/20 44 NIO INC ADS CUSIP: Symbol: NIO201218C00044000 | | | | | | | |
| 12/15/2020 | 4.00 | 383.66 | 12/15/2020 | 588.32 | 0.00 | -204.66 | Sell to Close |
| ***GREENLAND TECHNOLOGIES HOLDING CORPORATION ORDINARY SHARES CUSIP: G4095T107 Symbol: GTEC | | | | | | | |
| 10/20/2020 | 50.00 | 148.98 | Various | 237.51 | 88.53 D | 0.00 | Sale |
| 10/20/2020 | 170.00 | 479.36 | Various | 745.74 | 126.73 D | -139.65 | Sale |
| 10/20/2020 | 200.00 | 595.96 | Various | 791.20 | 195.24 D | 0.00 | Sale |
| 11/10/2020 | 100.00 | 667.97 | Various | 818.25 | 72.74 D | -77.54 | Sale |
| 12/07/2020 | 50.00 | 484.97 | Various | 572.24 | 0.00 | -87.27 | Sale |
| Security Totals: | | 2,377.24 | | 3,164.94 | | -304.46 | |
| CALL AAPL 12/31/20 133 APPLE INC CUSIP: Symbol: AAPL201231C00133000 | | | | | | | |
| 12/23/2020 | 1.00 | 181.90 | 12/22/2020 | 260.08 | 0.00 | -78.18 | Sell to Close |
| GEOVAX LABS INC COMMON STOCK CUSIP: 373678507 Symbol: GOVX | | | | | | | |
| 12/09/2020 | 23.00 | 124.18 | 12/09/2020 | 129.44 | 5.26 D | 0.00 | Sale |
| 12/09/2020 | 92.00 | 426.86 | Various | 529.99 | 103.13 D | 0.00 | Sale |
| 12/09/2020 | 92.00 | 416.74 | Various | 524.19 | 107.45 D | 0.00 | Sale |
| 12/09/2020 | 106.00 | 511.95 | Various | 728.68 | 0.00 | -216.73 | Sale |
| 12/09/2020 | 106.00 | 492.87 | Various | 556.43 | 63.56 D | 0.00 | Sale |
| 12/09/2020 | 173.00 | 908.20 | Various | 963.06 | 54.86 D | 0.00 | Sale |
| 12/09/2020 | 173.00 | 922.04 | 12/09/2020 | 954.58 | 32.54 D | 0.00 | Sale |
| 12/09/2020 | 242.00 | 1,427.73 | Various | 1,394.41 | 11.01 D | 44.33 | Sale |
| 12/09/2020 | 250.00 | 1,474.85 | Various | 1,412.77 | 0.00 | 62.08 | Sale |
| 12/09/2020 | 264.00 | 1,150.98 | 12/09/2020 | 1,097.94 | 0.00 | 53.04 | Sale |
| 12/09/2020 | 318.00 | 1,780.72 | Various | 1,879.21 | 41.03 D | -57.46 | Sale |
| 12/09/2020 | 387.00 | 1,756.89 | 12/09/2020 | 1,726.02 | 0.00 | 30.87 | Sale |
| 12/09/2020 | 423.00 | 2,009.15 | Various | 2,126.80 | 117.65 D | 0.00 | Sale |
| 12/09/2020 | 463.00 | 2,394.10 | Various | 2,217.55 | 0.00 | 176.55 | Sale |
| 12/09/2020 | 516.00 | 2,355.88 | Various | 2,228.16 | 2.17 D | 129.89 | Sale |

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APEX CLEARING

Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B*

OMB No. 1545-0715

5NA77394

(continued)

02/02/2021

SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

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

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

Box 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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|---|----------|------------------|--------------------|--------------------------|---|------------------|------------------|
| GEOVAX LABS INC COMMON STOCK CUSIP: 373678507 Symbol: GOVX | | | | | | | |
| 12/09/2020 | 529.00 | 2,327.48 | Various | 2,216.17 | 6.61 D | 117.92 | Sale |
| 12/09/2020 | 571.00 | 2,209.65 | Various | 2,176.00 | 16.81 D | 50.46 | Sale |
| 12/09/2020 | 766.00 | 3,562.50 | Various | 3,545.73 | 8.03 D | 24.80 | Sale |
| 12/09/2020 | 840.00 | 3,292.62 | Various | 3,375.06 | 83.62 D | 1.18 | Sale |
| Security Totals: | | 29,545.39 | | 29,782.19 | | 416.93 | |
| ***PIEDMONT LITHIUM LTD AMERICAN DEPOSITARY RECEIPTS CUSIP: 720162106 Symbol: PLL | | | | | | | |
| 11/23/2020 | 11.00 | 309.30 | Various | 323.78 | 16.12 D | 1.64 | Sale |
| 11/23/2020 | 12.00 | 346.78 | Various | 333.88 | 0.00 | 12.90 | Sale |
| Security Totals: | | 656.08 | | 657.66 | | 14.54 | |
| QEP RESOURCES INC CUSIP: 74733V100 Symbol: QEP | | | | | | | |
| 12/14/2020 | 317.00 | 770.25 | 12/08/2020 | 748.12 | 0.00 | 22.13 | Sale |
| 12/15/2020 | 106.00 | 231.06 | 12/08/2020 | 250.16 | 0.00 | -19.10 | Sale |
| Security Totals: | | 1,001.31 | | 998.28 | | 3.03 | |
| CALL NIO 01/22/21 45 NIO INC ADS CUSIP: Symbol: NIO210122C00045000 | | | | | | | |
| 12/30/2020 | 1.00 | 534.89 | 12/28/2020 | 509.08 | 0.00 | 25.81 | Sell to Close |
| NVIDIA CORP CUSIP: 67066G104 Symbol: NVDA | | | | | | | |
| 11/09/2020 | 2.00 | 1,153.18 | 11/09/2020 | 1,162.76 | 9.58 D | 0.00 | Sale |
| 11/11/2020 | 2.00 | 1,041.96 | 11/11/2020 | 1,053.38 | 0.00 | -11.42 | Sale |
| Security Totals: | | 2,195.14 | | 2,216.14 | | -11.42 | |
| ***INTEC PHARMA LTD ORDINARY SHARES CUSIP: M53644148 Symbol: NTEC | | | | | | | |
| 11/04/2020 | 150.00 | 397.47 | 11/03/2020 | 411.00 | 0.00 | -13.53 | Sale |
| FUELCELL ENERGY INC COMMON STOCK CUSIP: 35952H601 Symbol: FCEL | | | | | | | |
| 10/09/2020 | 10.00 | 24.28 | 10/08/2020 | 24.69 | 0.00 | -0.41 | Sale |
| 11/16/2020 | 124.00 | 416.76 | 11/16/2020 | 372.00 | 0.00 | 44.76 | Sale |
| 11/17/2020 | 51.00 | 201.94 | 11/17/2020 | 227.97 | 26.03 D | 0.00 | Sale |
| 11/17/2020 | 160.00 | 686.36 | Various | 581.13 | 2.34 D | 107.57 | Sale |
| 11/18/2020 | 78.00 | 419.23 | Various | 360.64 | 0.00 | 58.59 | Sale |
| 11/18/2020 | 96.00 | 496.40 | Various | 495.16 | 17.17 D | 18.41 | Sale |

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APEX CLEARING

Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B*

OMB No. 1545-0715

5NA77394

(continued)

02/02/2021

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 | | | | | | | |
| 11/18/2020 | 39.00 | 198.88 | Various | 178.98 | 0.00 | 19.90 | Sale |
| 11/18/2020 | 114.00 | 530.20 | Various | 517.21 | 4.2 D | 17.19 | Sale |
| 11/19/2020 | 38.00 | 201.38 | Various | 221.92 | 20.54 D | 0.00 | Sale |
| 11/19/2020 | 39.00 | 195.76 | Various | 235.97 | 40.21 D | 0.00 | Sale |
| 11/19/2020 | 34.00 | 188.00 | Various | 225.36 | 37.36 D | 0.00 | Sale |
| 11/20/2020 | 35.00 | 197.03 | Various | 220.82 | 23.79 D | 0.00 | Sale |
| 11/24/2020 | 54.00 | 454.11 | Various | 552.31 | 98.20 D | 0.00 | Sale |
| 11/30/2020 | 36.00 | 362.74 | Various | 445.00 | 82.26 D | 0.00 | Sale |
| 12/01/2020 | 36.00 | 361.78 | Various | 412.32 | 50.54 D | 0.00 | Sale |
| 12/18/2020 | 54.00 | 514.11 | Various | 596.76 | 82.65 D | 0.00 | Sale |
| 12/22/2020 | 39.00 | 426.25 | Various | 436.36 | 15.56 D | 5.45 | Sale |
| 12/23/2020 | 27.00 | 352.74 | 12/23/2020 | 309.42 | 0.00 | 43.32 | Sale |
| 12/23/2020 | 28.00 | 362.86 | 12/23/2020 | 320.88 | 0.00 | 41.98 | Sale |
| 12/23/2020 | 54.00 | 668.61 | Various | 607.68 | 0.00 | 60.93 | Sale |
| 12/23/2020 | 55.00 | 719.37 | 12/23/2020 | 733.09 | 13.72 D | 0.00 | Sale |
| 12/23/2020 | 63.00 | 721.95 | Various | 688.09 | 2.55 D | 36.41 | Sale |
| 12/24/2020 | 13.00 | 161.18 | 12/24/2020 | 171.02 | 9.84 D | 0.00 | Sale |
| 12/24/2020 | 54.00 | 684.75 | Various | 761.09 | 76.34 D | 0.00 | Sale |
| 12/24/2020 | 54.00 | 685.77 | Various | 693.32 | 7.55 D | 0.00 | Sale |
| 12/24/2020 | 90.00 | 1,140.26 | Various | 1,195.74 | 55.48 D | 0.00 | Sale |
| 12/24/2020 | 126.00 | 1,687.09 | Various | 1,732.07 | 44.98 D | 0.00 | Sale |
| 12/24/2020 | 213.00 | 2,694.36 | Various | 2,802.94 | 108.58 D | 0.00 | Sale |
| 12/24/2020 | 288.00 | 3,913.80 | Various | 3,946.89 | 38.04 D | 4.95 | Sale |
| 12/28/2020 | 46.00 | 570.83 | Various | 618.45 | 11.08 D | -36.54 | Sale |
| Security Totals: | | 20,238.78 | | 20,685.28 | | 422.51 | |
| DPW HOLDINGS INC COMMON STOCK CUSIP: 26140E600 Symbol: DPW | | | | | | | |
| 10/08/2020 | 75.00 | 224.98 | 10/07/2020 | 179.21 | 0.00 | 45.77 | Sale |
| 11/27/2020 | 74.00 | 478.01 | 11/27/2020 | 488.40 | 10.39 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

5NA77394

(continued)

02/02/2021

SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

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

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|--|----------|------------------|--------------------|--------------------------|---|------------------|------------------|
| DPW HOLDINGS INC COMMON STOCK CUSIP: 26140E600 Symbol: DPW | | | | | | | |
| 11/27/2020 | 94.00 | 573.37 | 11/27/2020 | 574.34 | 0.00 | -0.97 | Sale |
| 11/27/2020 | 1,126.00 | 6,879.57 | Various | 6,927.00 | 47.36 D | -0.07 | Sale |
| 12/01/2020 | 62.00 | 308.74 | Various | 357.95 | 49.21 D | 0.00 | Sale |
| 12/01/2020 | 372.00 | 1,960.65 | Various | 2,254.57 | 293.92 D | 0.00 | Sale |
| 12/01/2020 | 31.00 | 140.41 | Various | 172.35 | 31.94 D | 0.00 | Sale |
| 12/02/2020 | 24.00 | 90.73 | 11/30/2020 | 131.29 | 40.56 D | 0.00 | Sale |
| 12/03/2020 | 8.00 | 34.30 | 11/30/2020 | 43.76 | 9.46 D | 0.00 | Sale |
| 12/07/2020 | 138.00 | 592.06 | 12/07/2020 | 650.01 | 57.95 D | 0.00 | Sale |
| 12/07/2020 | 212.00 | 984.32 | 12/07/2020 | 998.58 | 14.26 D | 0.00 | Sale |
| 12/08/2020 | 154.00 | 676.02 | Various | 714.67 | 38.65 D | 0.00 | Sale |
| 12/09/2020 | 154.00 | 694.50 | 12/08/2020 | 682.07 | 0.00 | 12.43 | Sale |
| 12/28/2020 | 46.00 | 228.60 | Various | 231.90 | 3.30 D | 0.00 | Sale |
| 12/28/2020 | 70.00 | 347.54 | Various | 373.79 | 26.25 D | 0.00 | Sale |
| 12/28/2020 | 185.00 | 928.65 | Various | 868.32 | 3.92 D | 64.25 | Sale |
| 12/28/2020 | 501.00 | 2,299.82 | Various | 2,649.89 | 350.07 D | 0.00 | Sale |
| 12/29/2020 | 20.00 | 95.98 | 12/28/2020 | 112.41 | 16.43 D | 0.00 | Sale |
| 12/29/2020 | 78.00 | 330.70 | Various | 436.76 | 106.06 D | 0.00 | Sale |
| 12/29/2020 | 82.00 | 395.22 | Various | 441.94 | 46.72 D | 0.00 | Sale |
| Security Totals: | | 18,264.17 | | 19,289.21 | | 121.41 | |
| FLUX POWER HOLDINGS INC COMMON STOCK CUSIP: 344057302 Symbol: FLUX | | | | | | | |
| 12/29/2020 | 21.00 | 380.21 | 12/29/2020 | 386.19 | 0.00 | -5.98 | Sale |
| OCCIDENTAL PETE CORP CUSIP: 674599105 Symbol: OXY | | | | | | | |
| 12/08/2020 | 26.00 | 468.49 | 12/07/2020 | 482.04 | 13.55 D | 0.00 | Sale |
| 12/11/2020 | 36.00 | 755.25 | Various | 697.51 | 8.12 D | 65.86 | Sale |
| 12/14/2020 | 10.00 | 204.78 | 12/11/2020 | 213.60 | 8.82 D | 0.00 | Sale |
| 12/14/2020 | 27.00 | 570.75 | Various | 585.58 | 14.83 D | 0.00 | Sale |
| 12/23/2020 | 19.00 | 344.64 | Various | 360.11 | 15.47 D | 0.00 | Sale |
| 12/23/2020 | 19.00 | 342.01 | Various | 361.52 | 19.51 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

5NA77394

(continued)

02/02/2021

SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

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

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|--|----------|-----------------|--------------------|--------------------------|---|------------------|------------------|
| OCCIDENTAL PETE CORP CUSIP: 674599105 Symbol: OXY | | | | | | | |
| 12/24/2020 | 27.00 | 474.09 | Various | 517.16 | 13.54 D | -29.53 | Sale |
| 12/30/2020 | 27.00 | 483.54 | Various | 515.01 | 0.00 | -31.47 | Sale |
| Security Totals: | | 3,643.55 | | 3,732.53 | | 4.86 | |
| CALL CGC 12/04/20 29 CANOPY GROWTH CORPORATION CUSIP: Symbol: CGC201204C00029000 | | | | | | | |
| 12/04/2020 | 1.00 | 49.90 | 12/02/2020 | 58.08 | 0.00 | -8.18 | Sell to Close |
| ***SPI ENERGY CO LTD ORDINARY SHARES CUSIP: G8651P110 Symbol: SPI | | | | | | | |
| 11/13/2020 | 14.00 | 112.26 | 11/13/2020 | 123.20 | 10.94 D | 0.00 | Sale |
| 11/13/2020 | 15.00 | 119.53 | 11/13/2020 | 132.01 | 12.48 D | 0.00 | Sale |
| 11/13/2020 | 27.00 | 239.20 | 11/13/2020 | 253.53 | 14.33 D | 0.00 | Sale |
| 11/13/2020 | 80.00 | 719.17 | 11/13/2020 | 751.20 | 32.03 D | 0.00 | Sale |
| 11/16/2020 | 21.00 | 169.66 | 11/16/2020 | 183.55 | 13.89 D | 0.00 | Sale |
| 11/17/2020 | 64.00 | 550.37 | Various | 568.79 | 18.42 D | 0.00 | Sale |
| 11/24/2020 | 113.00 | 1,684.10 | Various | 1,579.80 | 0.00 | 104.30 | Sale |
| 11/27/2020 | 105.00 | 1,263.11 | Various | 1,393.51 | 130.40 D | 0.00 | Sale |
| 11/30/2020 | 36.00 | 413.98 | 11/27/2020 | 496.16 | 82.18 D | 0.00 | Sale |
| 12/17/2020 | 1.00 | 7.79 | 12/17/2020 | 10.75 | 2.96 D | 0.00 | Sale |
| 12/17/2020 | 141.00 | 1,103.98 | Various | 1,315.05 | 211.07 D | 0.00 | Sale |
| 12/18/2020 | 28.00 | 224.54 | Various | 254.35 | 30.01 D | 0.20 | Sale |
| 12/18/2020 | 83.00 | 633.26 | Various | 823.91 | 190.65 D | 0.00 | Sale |
| 12/21/2020 | 21.00 | 159.58 | Various | 213.42 | 53.84 D | 0.00 | Sale |
| 12/22/2020 | 26.00 | 207.98 | Various | 228.18 | 20.20 D | 0.00 | Sale |
| 12/23/2020 | 27.00 | 213.55 | Various | 290.06 | 76.51 D | 0.00 | Sale |
| 12/24/2020 | 22.00 | 175.10 | Various | 226.09 | 50.99 D | 0.00 | Sale |
| Security Totals: | | 7,997.16 | | 8,843.56 | | 104.50 | |
| CROWDSTRIKE HOLDINGS INC CLASS A COMMON STOCK CUSIP: 22788C105 Symbol: CRWD | | | | | | | |
| 11/13/2020 | 8.00 | 1,078.44 | Various | 1,088.70 | 0.00 | -10.26 | Sale |
| ***ALAMOS GOLD INC COM CL A CUSIP: 011532108 Symbol: AGI | | | | | | | |
| 10/27/2020 | 3.00 | 26.26 | Various | 25.20 | 0.00 | 1.06 | Sale |

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APEX CLEARING

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2020 Form 1099-B*

OMB No. 1545-0715

5NA77394

(continued)

02/02/2021

SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

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|--|--|---|--------------------|--------------------------|---|------------------|------------------|
| CALL PLTR 12/18/20 | 20 | PALANTIR TECHNOLOGIES INC CL A CUSIP: Symbol: PLTR201218C00020000 | | | | | |
| 11/25/2020 | 1.00 | 859.89 | 11/20/2020 | 190.08 | 0.00 | 669.81 | Sell to Close |
| CALL KNDI 12/18/20 | 10 | KANDI TECHNOLOGIES CORP CUSIP: Symbol: KNDI201218C00010000 | | | | | |
| 12/10/2020 | 2.00 | 103.82 | 12/08/2020 | 224.16 | 0.00 | -120.34 | Sell to Close |
| CALL JMIA 11/20/20 | 18 | JUMIA TECHNOLOGIES AG CUSIP: Symbol: JMIA201120C00018000 | | | | | |
| 11/18/2020 | 1.00 | 196.90 | 11/18/2020 | 100.08 | 0.00 | 96.82 | Sell to Close |
| CALL AMC 01/15/21 | 5 | AMC ENTERTAINMENT HOLDINGS INC CUSIP: Symbol: AMC210115C00005000 | | | | | |
| 12/04/2020 | 3.00 | 95.74 | 11/24/2020 | 204.24 | 0.00 | -108.50 | Sell to Close |
| CALL PTON 01/29/21 | 205 | PELTON INTERACTIVE INC CL A CUSIP: Symbol: PTON210129C00205000 | | | | | |
| 12/28/2020 | 1.00 | 131.90 | 12/24/2020 | 268.08 | 0.00 | -136.18 | Sell to Close |
| ZAGG INC CUSIP: 98884U108 Symbol: ZAGG | | | | | | | |
| 10/05/2020 | 95.00 | 279.28 | 10/02/2020 | 289.75 | 0.00 | -10.47 | Sale |
| INPIXON | COMMON STOCK CUSIP: 45790J800 Symbol: INPX | | | | | | |
| 10/06/2020 | 100.00 | 113.98 | 10/05/2020 | 121.89 | 0.00 | -7.91 | Sale |
| FUBOTV INC | COMMON STOCK CUSIP: 35953D104 Symbol: FUBO | | | | | | |
| 10/16/2020 | 2.00 | 22.78 | 10/15/2020 | 20.80 | 0.00 | 1.98 | Sale |
| 10/16/2020 | 18.00 | 199.78 | 10/15/2020 | 187.20 | 0.00 | 12.58 | Sale |
| 10/16/2020 | 20.00 | 227.98 | 10/15/2020 | 208.00 | 0.00 | 19.98 | Sale |
| 10/23/2020 | 50.00 | 633.67 | 10/22/2020 | 652.50 | 18.83 D | 0.00 | Sale |
| 10/26/2020 | 50.00 | 698.47 | 10/23/2020 | 694.83 | 0.00 | 3.64 | Sale |
| 11/04/2020 | 40.00 | 604.37 | 11/03/2020 | 592.20 | 0.00 | 12.17 | Sale |
| 11/05/2020 | 50.00 | 733.47 | 11/04/2020 | 727.35 | 0.00 | 6.12 | Sale |
| 11/10/2020 | 27.00 | 507.57 | 11/10/2020 | 525.94 | 18.37 D | 0.00 | Sale |
| 11/10/2020 | 28.00 | 513.49 | 11/10/2020 | 545.41 | 31.92 D | 0.00 | Sale |
| 11/10/2020 | 55.00 | 1,066.41 | 11/10/2020 | 1,071.36 | 4.95 D | 0.00 | Sale |
| 11/10/2020 | 110.00 | 2,138.22 | Various | 1,759.79 | 0.41 D | 378.84 | Sale |
| 11/12/2020 | 10.00 | 154.18 | 11/12/2020 | 169.70 | 15.52 D | 0.00 | Sale |
| 11/12/2020 | 21.00 | 331.78 | Various | 354.02 | 22.24 D | 0.00 | Sale |
| 11/12/2020 | 61.00 | 999.14 | Various | 1,010.06 | 10.92 D | 0.00 | Sale |
| 11/16/2020 | 36.00 | 655.89 | Various | 603.01 | 0.00 | 52.88 | Sale |

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SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

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|----------------------------|--|---------------|--------------------|--------------------------|---|------------------|------------------|
| FUBOTV INC | COMMON STOCK CUSIP: 35953D104 Symbol: FUBO | | | | | | |
| 11/17/2020 | 18.00 | 379.42 | 11/16/2020 | 296.47 | 0.00 | 82.95 | Sale |
| 11/17/2020 | 9.00 | 182.50 | Various | 156.71 | 0.00 | 25.79 | Sale |
| 11/18/2020 | 5.00 | 103.08 | 11/18/2020 | 108.91 | 5.83 D | 0.00 | Sale |
| 11/18/2020 | 10.00 | 222.08 | Various | 222.55 | 1.71 D | 1.24 | Sale |
| 11/18/2020 | 28.00 | 589.93 | Various | 615.33 | 25.40 D | 0.00 | Sale |
| 11/18/2020 | 10.00 | 221.18 | Various | 179.73 | 0.00 | 41.45 | Sale |
| 11/19/2020 | 8.00 | 163.46 | Various | 178.81 | 15.35 D | 0.00 | Sale |
| 11/19/2020 | 16.00 | 328.78 | Various | 359.79 | 31.01 D | 0.00 | Sale |
| 11/20/2020 | 27.00 | 641.49 | Various | 633.28 | 6.00 D | 14.21 | Sale |
| 11/23/2020 | 34.00 | 896.21 | Various | 904.09 | 29.56 D | 21.68 | Sale |
| 11/23/2020 | 12.00 | 308.38 | 11/23/2020 | 322.39 | 14.01 D | 0.00 | Sale |
| 12/01/2020 | 42.00 | 1,241.06 | 12/01/2020 | 1,232.28 | 0.00 | 8.78 | Sale |
| 12/01/2020 | 84.00 | 2,582.93 | Various | 2,508.13 | 5.46 D | 80.26 | Sale |
| 12/02/2020 | 21.00 | 624.93 | 12/01/2020 | 616.14 | 0.00 | 8.79 | Sale |
| 12/02/2020 | 22.00 | 642.37 | 12/01/2020 | 645.48 | 3.11 D | 0.00 | Sale |
| 12/10/2020 | 1.00 | 29.43 | 12/03/2020 | 29.11 | 0.00 | 0.32 | Sale |
| 12/17/2020 | 11.00 | 390.04 | Various | 375.21 | 0.00 | 14.83 | Sale |
| 12/17/2020 | 14.00 | 471.07 | 12/17/2020 | 475.04 | 3.97 D | 0.00 | Sale |
| 12/18/2020 | 12.00 | 459.09 | 12/18/2020 | 460.80 | 1.71 D | 0.00 | Sale |
| 12/18/2020 | 12.00 | 457.53 | 12/18/2020 | 460.80 | 3.27 D | 0.00 | Sale |
| 12/18/2020 | 23.00 | 867.53 | Various | 856.06 | 10.22 D | 21.69 | Sale |
| 12/18/2020 | 24.00 | 886.29 | Various | 841.47 | 0.00 | 44.82 | Sale |
| 12/21/2020 | 19.00 | 908.73 | Various | 933.76 | 45.77 D | 20.74 | Sale |
| 12/21/2020 | 18.00 | 842.55 | Various | 817.23 | 1.53 D | 26.85 | Sale |
| 12/21/2020 | 18.00 | 680.77 | Various | 730.65 | 49.88 D | 0.00 | Sale |
| 12/21/2020 | 4.00 | 150.98 | 12/18/2020 | 160.57 | 9.59 D | 0.00 | Sale |
| 12/21/2020 | 7.00 | 328.51 | Various | 347.23 | 18.72 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

5NA77394

(continued)

02/02/2021

SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

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

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

Box 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 |
|--|----------|------------------|--------------------|--------------------------|---|------------------|------------------|
| FUBOTV INC COMMON STOCK CUSIP: 35953D104 Symbol: FUBO | | | | | | | |
| 12/21/2020 | 3.00 | 113.50 | 12/18/2020 | 120.43 | 6.93 D | 0.00 | Sale |
| 12/22/2020 | 3.00 | 169.78 | Various | 185.60 | 15.82 D | 0.00 | Sale |
| 12/22/2020 | 3.00 | 180.58 | 12/22/2020 | 203.12 | 22.54 D | 0.00 | Sale |
| 12/22/2020 | 4.00 | 224.38 | 12/22/2020 | 241.50 | 17.12 D | 0.00 | Sale |
| 12/22/2020 | 6.00 | 366.40 | Various | 376.24 | 9.84 D | 0.00 | Sale |
| 12/22/2020 | 18.00 | 1,033.16 | Various | 1,096.65 | 63.49 D | 0.00 | Sale |
| 12/23/2020 | 3.00 | 167.08 | Various | 202.04 | 34.96 D | 0.00 | Sale |
| 12/24/2020 | 8.00 | 348.22 | 12/24/2020 | 371.60 | 23.38 D | 0.00 | Sale |
| 12/24/2020 | 32.00 | 1,382.35 | Various | 1,612.28 | 229.93 D | 0.00 | Sale |
| 12/28/2020 | 27.00 | 1,008.41 | Various | 1,321.97 | 313.56 D | 0.00 | Sale |
| 12/30/2020 | 24.00 | 862.05 | Various | 1,154.84 | 292.79 D | 0.00 | Sale |
| 12/31/2020 | 8.00 | 223.02 | Various | 333.84 | 110.82 D | 0.00 | Sale |
| 12/31/2020 | 11.00 | 354.73 | Various | 460.38 | 105.65 D | 0.00 | Sale |
| Security Totals: | | 31,521.18 | | 32,270.68 | | 902.59 | |
| CALL AAPL 12/18/20 124 APPLE INC CUSIP: Symbol: AAPL201218C00124000 | | | | | | | |
| 12/14/2020 | 1.00 | 121.90 | 12/10/2020 | 193.08 | 0.00 | -71.18 | Sell to Close |
| ***INTEGRATED MEDIA TECHNOLOGY LIMITED ORDINARY SHARES CUSIP: Q49376108 Symbol: IMTE | | | | | | | |
| 10/19/2020 | 100.00 | 428.98 | 10/16/2020 | 447.50 | 0.00 | -18.52 | Sale |
| CALL AAPL 10/23/20 116 APPLE INC CUSIP: Symbol: AAPL201023C00116000 | | | | | | | |
| 10/12/2020 | 1.00 | 569.89 | 10/09/2020 | 380.08 | 0.00 | 189.81 | Sell to Close |
| CALL AAPL 12/18/20 123 APPLE INC CUSIP: Symbol: AAPL201218C00123000 | | | | | | | |
| 12/14/2020 | 1.00 | 157.90 | 12/10/2020 | 234.08 | 0.00 | -76.18 | Sell to Close |
| INDIA GLOBALIZATION CAPITAL INC COMMON STOCK CUSIP: 45408X308 Symbol: IGC | | | | | | | |
| 11/06/2020 | 350.00 | 593.19 | Various | 565.31 | 0.00 | 27.88 | Sale |
| 11/06/2020 | 450.00 | 717.68 | Various | 705.50 | 4.03 D | 16.21 | Sale |
| 11/06/2020 | 500.00 | 854.92 | Various | 849.03 | 0.06 D | 5.95 | Sale |
| 12/28/2020 | 466.00 | 852.70 | 12/23/2020 | 861.59 | 8.89 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

5NA77394

(continued)

02/02/2021

SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

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

Box 2: Type of Gain or Loss - Short-Term (unless indicated as Ordinary in Additional Notes Column)**Box 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 |
|---|-----------------|----------------------|---------------------------|---------------------------------|--|-------------------------|-------------------------|
| INDIA GLOBALIZATION CAPITAL INC COMMON STOCK CUSIP: 45408X308 Symbol: IGC | | | | | | | |
| 12/29/2020 | 436.00 | 754.32 | Various | 788.39 | 34.07 D | 0.00 | Sale |
| Security Totals: | | 3,772.81 | | 3,769.82 | | 50.04 | |
| UNITY SOFTWARE INC COMMON STOCK CUSIP: 91332U101 Symbol: U | | | | | | | |
| 10/23/2020 | 3.00 | 303.01 | 10/22/2020 | 286.29 | 0.00 | 16.72 | Sale |
| 10/23/2020 | 7.00 | 673.65 | 10/22/2020 | 668.01 | 0.00 | 5.64 | Sale |
| 11/09/2020 | 4.00 | 476.05 | 11/06/2020 | 478.00 | 1.95 D | 0.00 | Sale |
| 11/11/2020 | 10.00 | 1,056.26 | Various | 1,019.15 | 0.00 | 37.11 | Sale |
| Security Totals: | | 2,508.97 | | 2,451.45 | | 59.47 | |
| VIRNETX HOLDING CORPORATION COMMON STOCK CUSIP: 92823T108 Symbol: VHC | | | | | | | |
| 11/02/2020 | 70.00 | 366.16 | 10/30/2020 | 425.60 | 0.00 | -59.44 | Sale |
| ***PHOENIX TREE HOLDINGS LTD AMERICAN DEPOSITARY SHS EACH REPRSNTNG 10 CLS A ORD SHS CUSIP: 719156101 Symbol: DNK | | | | | | | |
| 10/21/2020 | 123.00 | 319.78 | 10/20/2020 | 396.06 | 76.28 D | 0.00 | Sale |
| 11/09/2020 | 410.00 | 629.22 | Various | 729.56 | 100.34 D | 0.00 | Sale |
| 11/11/2020 | 600.00 | 953.90 | Various | 1,048.34 | 79.08 D | -15.36 | Sale |
| 12/10/2020 | 222.00 | 730.33 | Various | 826.03 | 0.00 | -95.70 | Sale |
| Security Totals: | | 2,633.23 | | 2,999.99 | | -111.06 | |
| COREENERGY INFRASTRUCTURE TRUST INC COM CUSIP: 21870U502 Symbol: CORR | | | | | | | |
| 12/01/2020 | 76.00 | 460.53 | 11/25/2020 | 532.76 | 72.23 D | 0.00 | Sale |
| 12/07/2020 | 20.00 | 139.04 | 11/30/2020 | 147.81 | 8.77 D | 0.00 | Sale |
| 12/07/2020 | 57.00 | 409.00 | Various | 412.50 | 7.31 D | 3.81 | Sale |
| 12/14/2020 | 7.00 | 55.23 | 12/07/2020 | 56.28 | 1.05 D | 0.00 | Sale |
| 12/23/2020 | 65.00 | 491.37 | Various | 513.93 | 6.73 D | -15.83 | Sale |
| 12/24/2020 | 66.00 | 486.39 | Various | 511.04 | 0.00 | -24.65 | Sale |
| Security Totals: | | 2,041.56 | | 2,174.32 | | -36.67 | |
| BIGCOMMERCE HOLDINGS INC SERIES 1 COMMON STOCK CUSIP: 08975P108 Symbol: BIGC | | | | | | | |
| 10/06/2020 | 5.00 | 462.47 | 10/05/2020 | 462.95 | 0.00 | -0.48 | Sale |
| 11/20/2020 | 8.00 | 543.97 | 11/16/2020 | 545.60 | 0.00 | -1.63 | Sale |
| Security Totals: | | 1,006.44 | | 1,008.55 | | -2.11 | |

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APEX CLEARING

Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B*

OMB No. 1545-0715

5NA77394

(continued)

02/02/2021

SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

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

Box 2: Type of Gain or Loss - Short-Term (unless indicated as Ordinary in Additional Notes Column)**Box 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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|---|-----------------|----------------------|---------------------------|---------------------------------|--|-------------------------|-------------------------|
| AEROCENTURY CORP CUSIP: 007737109 Symbol: ACY | | | | | | | |
| 12/29/2020 | 27.00 | 263.23 | 12/29/2020 | 269.73 | 0.00 | -6.50 | Sale |
| ***TOP SHIPS INC COMMON STOCK CUSIP: Y8897Y180 Symbol: TOPS | | | | | | | |
| 11/12/2020 | 500.00 | 599.92 | 11/11/2020 | 615.00 | 15.08 D | 0.00 | Sale |
| 11/12/2020 | 500.00 | 599.92 | 11/11/2020 | 615.00 | 15.08 D | 0.00 | Sale |
| 12/04/2020 | 694.00 | 993.07 | Various | 1,020.29 | 13.77 D | -13.45 | Sale |
| 12/08/2020 | 329.00 | 500.02 | 12/08/2020 | 512.99 | 0.00 | -12.97 | Sale |
| 12/08/2020 | 328.00 | 506.44 | Various | 508.65 | 0.00 | -2.21 | Sale |
| Security Totals: | | 3,199.37 | | 3,271.93 | | -28.63 | |
| CALL LULU 01/08/21 365 LULULEMON ATHLETICA INC CUSIP: Symbol: LULU210108C00365000 | | | | | | | |
| 12/31/2020 | 1.00 | 217.90 | 12/28/2020 | 460.08 | 0.00 | -242.18 | Sell to Close |
| CALL SOLO 01/15/21 10 ELECTROMECCANICA VEHICLES CORP CUSIP: Symbol: SOLO210115C00010000 | | | | | | | |
| 12/14/2020 | 1.00 | 40.90 | 12/08/2020 | 140.08 | 0.00 | -99.18 | Sell to Close |
| CALL AAPL 12/31/20 135 APPLE INC CUSIP: Symbol: AAPL201231C00135000 | | | | | | | |
| 12/23/2020 | 1.00 | 115.90 | 12/22/2020 | 196.08 | 80.18 D | 0.00 | Sell to Close |
| 12/28/2020 | 1.00 | 249.90 | 12/28/2020 | 264.26 | 0.00 | -14.36 | Sell to Close |
| Security Totals: | | 365.80 | | 460.34 | | -14.36 | |
| SM ENERGY COMPANY CUSIP: 78454L100 Symbol: SM | | | | | | | |
| 12/14/2020 | 71.00 | 477.80 | 12/14/2020 | 497.00 | 0.00 | -19.20 | Sale |
| APPLE INC CUSIP: 037833100 Symbol: AAPL | | | | | | | |
| 10/14/2020 | 5.00 | 607.42 | 10/13/2020 | 615.79 | 0.00 | -8.37 | Sale |
| 10/14/2020 | 5.00 | 611.07 | 10/13/2020 | 615.79 | 0.00 | -4.72 | Sale |
| 12/15/2020 | 10.00 | 1,263.77 | Various | 1,240.46 | 0.00 | 23.31 | Sale |
| 12/31/2020 | 2.00 | 265.96 | 12/21/2020 | 254.44 | 0.00 | 11.52 | Sale |
| 12/31/2020 | 4.00 | 530.97 | 12/21/2020 | 508.88 | 0.00 | 22.09 | Sale |
| Security Totals: | | 3,279.19 | | 3,235.36 | | 43.83 | |
| CALL AMD 12/18/20 90 ADVANCED MICRO DEVICES INC CUSIP: Symbol: AMD201218C00090000 | | | | | | | |
| 11/30/2020 | 1.00 | 552.89 | 11/27/2020 | 273.08 | 0.00 | 279.81 | Sell to Close |
| CALL OXY 05/21/21 25 OCCIDENTAL PETROLEUM CORP CUSIP: Symbol: OXY210521C00025000 | | | | | | | |
| 12/14/2020 | 1.00 | 256.90 | 12/07/2020 | 156.08 | 0.00 | 100.82 | Sell to Close |

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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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|--|----------|-----------------|--------------------|--------------------------|---|------------------|------------------|
| AMC ENTERTAINMENT HOLDINGS INC CL A COM CUSIP: 00165C104 Symbol: AMC | | | | | | | |
| 11/09/2020 | 100.00 | 403.00 | 11/09/2020 | 402.00 | 0.00 | 1.00 | Sale |
| 11/10/2020 | 100.00 | 471.97 | 11/10/2020 | 438.00 | 0.00 | 33.97 | Sale |
| 12/11/2020 | 250.00 | 997.77 | 12/11/2020 | 1,000.00 | 0.00 | -2.23 | Sale |
| Security Totals: | | 1,872.74 | | 1,840.00 | | 32.74 | |
| UPWORK INC COMMON STOCK CUSIP: 91688F104 Symbol: UPWK | | | | | | | |
| 10/08/2020 | 10.00 | 199.48 | 10/07/2020 | 195.79 | 0.00 | 3.69 | Sale |
| 10/15/2020 | 20.00 | 409.98 | 10/13/2020 | 412.60 | 2.62 D | 0.00 | Sale |
| 11/04/2020 | 50.00 | 1,278.96 | Various | 1,267.67 | 0.00 | 11.29 | Sale |
| 11/18/2020 | 10.00 | 342.78 | 11/17/2020 | 345.70 | 0.00 | -2.92 | Sale |
| 11/19/2020 | 4.00 | 141.14 | 11/17/2020 | 138.28 | 0.00 | 2.86 | Sale |
| Security Totals: | | 2,372.34 | | 2,360.04 | | 14.92 | |
| ***MERCURY FINTECH HOLDING INC ADS CUSIP: 58936H109 Symbol: MFH | | | | | | | |
| 10/22/2020 | 118.00 | 339.82 | 10/21/2020 | 392.94 | 0.00 | -53.12 | Sale |
| ***PACIFIC DRILLING S A ORDINARY SHARES PAR \$0.01 CUSIP: L7257P205 Symbol: PACD | | | | | | | |
| 10/02/2020 | 168.00 | 56.75 | 10/02/2020 | 60.55 | 3.8 D | 0.00 | Sale |
| 10/02/2020 | 2,332.00 | 769.26 | Various | 773.56 | 4.30 D | 0.00 | Sale |
| 10/05/2020 | 1,816.00 | 816.96 | Various | 674.65 | 0.00 | 142.31 | Sale |
| 10/09/2020 | 1,000.00 | 269.67 | Various | 307.30 | 0.00 | -37.63 | Sale |
| Security Totals: | | 1,912.64 | | 1,816.06 | | 104.68 | |
| PANBELA THERAPEUTICS INC COMMON STOCK CUSIP: 69833Q100 Symbol: PBLA | | | | | | | |
| 12/09/2020 | 40.00 | 406.38 | 12/09/2020 | 518.35 | 111.97 D | 0.00 | Sale |
| 12/09/2020 | 64.00 | 588.13 | 12/09/2020 | 832.00 | 0.00 | -243.87 | Sale |
| 12/09/2020 | 109.00 | 1,140.95 | Various | 1,758.46 | 0.00 | -617.51 | Sale |
| 12/09/2020 | 191.00 | 1,820.16 | Various | 2,622.13 | 517.40 D | -284.57 | Sale |
| 12/09/2020 | 240.00 | 2,862.72 | Various | 2,369.38 | 28.86 D | 522.20 | Sale |
| Security Totals: | | 6,818.34 | | 8,100.32 | | -623.75 | |
| PETROS PHARMACEUTICALS INC COMMON STOCK CUSIP: 71678J100 Symbol: PTPI | | | | | | | |
| 12/18/2020 | 69.00 | 294.61 | 12/18/2020 | 338.10 | 0.00 | -43.49 | Sale |

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APEX CLEARING

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2020 Form 1099-B*

OMB No. 1545-0715

5NA77394

(continued)

02/02/2021

SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

Report on Form 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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|--|----------|-----------------|--------------------|--------------------------|---|------------------|------------------|
| ***SOCIAL CAPITAL HEDOSOPHIA HOLDINGS CORP III CLASS A ORDINARY SHARES CUSIP: G8251K107 Symbol: IPOC | | | | | | | |
| 10/19/2020 | 50.00 | 532.47 | 10/16/2020 | 548.50 | 0.00 | -16.03 | Sale |
| 12/18/2020 | 46.00 | 514.30 | 12/07/2020 | 493.58 | 0.00 | 20.72 | Sale |
| 12/18/2020 | 67.00 | 813.42 | Various | 733.51 | 0.00 | 79.91 | Sale |
| 12/21/2020 | 27.00 | 320.47 | Various | 317.54 | 2.39 D | 5.32 | Sale |
| 12/21/2020 | 54.00 | 658.23 | 12/18/2020 | 618.84 | 0.00 | 39.39 | Sale |
| 12/28/2020 | 35.00 | 585.87 | Various | 431.56 | 0.00 | 154.31 | Sale |
| 12/29/2020 | 63.00 | 1,064.03 | Various | 828.78 | 0.00 | 235.25 | Sale |
| 12/31/2020 | 46.00 | 756.59 | Various | 615.85 | 0.00 | 140.74 | Sale |
| Security Totals: | | 5,245.38 | | 4,588.16 | | 659.61 | |
| LEXICON PHARMACEUTICALS INC COM CUSIP: 528872302 Symbol: LXRX | | | | | | | |
| 11/17/2020 | 130.00 | 283.37 | 11/17/2020 | 253.00 | 0.00 | 30.37 | Sale |
| CALL GUSH 03/19/21 38 DIREXION DLY S&P OIL & GAS EXP CUSIP: Symbol: GUSH210319C00038000 | | | | | | | |
| 12/14/2020 | 1.00 | 1,079.88 | 11/30/2020 | 670.08 | 0.00 | 409.80 | Sell to Close |
| 12/14/2020 | 1.00 | 1,109.88 | 12/02/2020 | 590.08 | 0.00 | 519.80 | Sell to Close |
| Security Totals: | | 2,189.76 | | 1,260.16 | | 929.60 | |
| GENIUS BRANDS INTERNATIONAL INC COMMON STOCK CUSIP: 37229T301 Symbol: GNUS | | | | | | | |
| 11/18/2020 | 210.00 | 249.87 | 11/18/2020 | 248.85 | 0.00 | 1.02 | Sale |
| 11/19/2020 | 210.00 | 254.07 | 11/18/2020 | 248.85 | 0.00 | 5.22 | Sale |
| 12/14/2020 | 1,084.00 | 1,984.73 | 12/14/2020 | 2,023.90 | 0.00 | -39.17 | Sale |
| 12/14/2020 | 1,315.00 | 2,473.43 | 12/14/2020 | 2,497.32 | 19.69 D | -4.20 | Sale |
| Security Totals: | | 4,962.10 | | 5,018.92 | | -37.13 | |
| ***ANTELOPE ENTERPRISE HOLDINGS LIMITED COMMON STOCK CUSIP: G041JN106 Symbol: AEHL | | | | | | | |
| 11/11/2020 | 504.00 | 1,058.31 | 11/11/2020 | 1,068.48 | 5.07 D | -5.10 | Sale |
| 11/11/2020 | 504.00 | 1,058.31 | 11/11/2020 | 1,068.48 | 0.00 | -10.17 | Sale |
| 11/17/2020 | 109.00 | 251.77 | 11/17/2020 | 253.99 | 0.00 | -2.22 | Sale |
| 11/20/2020 | 142.00 | 296.75 | 11/18/2020 | 302.49 | 0.00 | -5.74 | Sale |
| 12/28/2020 | 149.00 | 384.39 | 12/28/2020 | 375.48 | 0.00 | 8.91 | Sale |
| 12/28/2020 | 445.00 | 1,192.52 | 12/28/2020 | 1,121.40 | 0.00 | 71.12 | Sale |

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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 |
|--|----------|-----------------|--------------------|--------------------------|---|------------------|------------------|
| ***ANTELOPE ENTERPRISE HOLDINGS LIMITED COMMON STOCK CUSIP: G041JN106 Symbol: AEHL | | | | | | | |
| 12/30/2020 | 123.00 | 324.70 | Various | 326.53 | 3.86 D | 2.03 | Sale |
| 12/30/2020 | 123.00 | 324.70 | Various | 324.89 | 2.22 D | 2.03 | Sale |
| Security Totals: | | 4,891.45 | | 4,841.74 | | 60.86 | |
| CALL AAPL 12/24/20 135 APPLE INC CUSIP: Symbol: AAPL201224C00135000 | | | | | | | |
| 12/22/2020 | 3.00 | 95.74 | Various | 166.24 | 12.17 D | -58.33 | Sell to Close |
| 12/22/2020 | 3.00 | 311.74 | 12/22/2020 | 132.24 | 0.00 | 179.50 | Sell to Close |
| 12/23/2020 | 1.00 | 13.90 | 12/22/2020 | 90.25 | 0.00 | -76.35 | Sell to Close |
| Security Totals: | | 421.38 | | 388.73 | | 44.82 | |
| CALL FUBO 12/18/20 20 FUBOTV INC CUSIP: Symbol: FUBO201218C00020000 | | | | | | | |
| 11/17/2020 | 1.00 | 274.90 | 11/12/2020 | 100.08 | 0.00 | 174.82 | Sell to Close |
| 11/17/2020 | 1.00 | 339.90 | 11/12/2020 | 80.08 | 0.00 | 259.82 | Sell to Close |
| Security Totals: | | 614.80 | | 180.16 | | 434.64 | |
| TESLA INC COMMON STOCK CUSIP: 88160R101 Symbol: TSLA | | | | | | | |
| 10/15/2020 | 1.00 | 445.18 | 10/14/2020 | 457.58 | 12.4 D | 0.00 | Sale |
| 11/05/2020 | 1.00 | 432.03 | 11/05/2020 | 443.39 | 11.36 D | 0.00 | Sale |
| 11/09/2020 | 2.00 | 892.39 | Various | 912.90 | 20.51 D | 0.00 | Sale |
| 11/17/2020 | 1.00 | 444.79 | 11/16/2020 | 459.89 | 15.1 D | 0.00 | Sale |
| 11/19/2020 | 1.00 | 490.98 | 11/16/2020 | 448.54 | 0.00 | 42.44 | Sale |
| 12/08/2020 | 1.00 | 625.57 | 12/02/2020 | 601.15 | 0.00 | 24.42 | Sale |
| 12/08/2020 | 2.00 | 1,251.47 | 12/02/2020 | 1,172.10 | 0.00 | 79.37 | Sale |
| 12/09/2020 | 1.00 | 654.13 | 12/08/2020 | 654.55 | 0.42 D | 0.00 | Sale |
| 12/09/2020 | 1.00 | 653.59 | 12/08/2020 | 654.55 | 0.96 D | 0.00 | Sale |
| 12/09/2020 | 1.00 | 652.59 | 12/08/2020 | 654.55 | 0.00 | -1.96 | Sale |
| 12/17/2020 | 2.00 | 1,287.76 | Various | 1,278.38 | 0.00 | 9.38 | Sale |
| Security Totals: | | 7,830.48 | | 7,737.58 | | 153.65 | |
| CALL IDEX 12/18/20 1.50 IDEANOMICS INC CUSIP: Symbol: IDEX201218C00001500 | | | | | | | |
| 11/23/2020 | 2.00 | 229.82 | 11/20/2020 | 70.16 | 0.00 | 159.66 | Sell to Close |

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APEX CLEARING

Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B*

OMB No. 1545-0715

5NA77394

(continued)

02/02/2021

SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

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

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

| 1c - Date Sold or Disposed | Quantity | 1d - Proceeds | 1b - Date Acquired | 1e - Cost or Other Basis | 1f - Accrued Market Discount (M) & 1g - Wash Sale Loss Disallowed (D) | Gain or Loss (-) | Additional Notes |
|--|-----------------|----------------------|---------------------------|---------------------------------|--|-------------------------|-------------------------|
| 11/23/2020 | 2.00 | 239.82 | 11/20/2020 | 70.16 | 0.00 | 169.66 | Sell to Close |
| Security Totals: | | 469.64 | | 140.32 | | 329.32 | |
| PUT AAPL 12/24/20 129 APPLE INC CUSIP: Symbol: AAPL201224P00129000 | | | | | | | |
| 12/22/2020 | 1.00 | 43.90 | 12/22/2020 | 56.08 | 0.00 | -12.18 | Sell to Close |
| VERU INC COMMON STOCK CUSIP: 92536C103 Symbol: VERU | | | | | | | |
| 12/14/2020 | 18.00 | 190.60 | Various | 194.05 | 3.45 D | 0.00 | Sale |
| 12/14/2020 | 17.00 | 179.84 | 12/14/2020 | 183.60 | 3.76 D | 0.00 | Sale |
| 12/14/2020 | 24.00 | 271.42 | Various | 277.20 | 5.78 D | 0.00 | Sale |
| 12/14/2020 | 69.00 | 736.20 | 12/14/2020 | 745.20 | 9 D | 0.00 | Sale |
| 12/14/2020 | 36.00 | 383.38 | Various | 337.46 | 0.00 | 45.92 | Sale |
| 12/14/2020 | 69.00 | 779.67 | Various | 789.60 | 13.11 D | 3.18 | Sale |
| 12/14/2020 | 78.00 | 751.20 | 12/14/2020 | 754.26 | 3.06 D | 0.00 | Sale |
| 12/14/2020 | 85.00 | 981.71 | Various | 1,011.35 | 29.64 D | 0.00 | Sale |
| 12/14/2020 | 93.00 | 729.09 | 12/14/2020 | 746.79 | 17.7 D | 0.00 | Sale |
| 12/14/2020 | 105.00 | 1,073.06 | Various | 991.40 | 0.00 | 81.66 | Sale |
| 12/14/2020 | 103.00 | 973.31 | Various | 934.39 | 5.09 D | 44.01 | Sale |
| 12/14/2020 | 171.00 | 1,940.78 | Various | 1,989.20 | 48.42 D | 0.00 | Sale |
| 12/14/2020 | 232.00 | 2,234.34 | Various | 2,262.33 | 27.99 D | 0.00 | Sale |
| 12/15/2020 | 55.00 | 600.77 | Various | 633.73 | 0.00 | -32.96 | Sale |
| 12/15/2020 | 135.00 | 1,493.04 | Various | 1,538.26 | 6.73 D | -38.49 | Sale |
| 12/15/2020 | 165.00 | 1,778.64 | Various | 1,917.02 | 0.00 | -138.38 | Sale |
| Security Totals: | | 15,097.05 | | 15,305.84 | | -35.06 | |
| HOTH THERAPEUTICS INC COMMON STOCK CUSIP: 44148G105 Symbol: HOTH | | | | | | | |
| 12/09/2020 | 247.00 | 505.83 | 12/09/2020 | 489.06 | 0.00 | 16.77 | Sale |
| 12/09/2020 | 248.00 | 498.95 | 12/09/2020 | 491.04 | 0.00 | 7.91 | Sale |
| Security Totals: | | 1,004.78 | | 980.10 | | 24.68 | |
| PUT NIO 11/20/20 42 NIO INC ADS CUSIP: Symbol: NIO201120P00042000 | | | | | | | |
| 11/16/2020 | 1.00 | 319.90 | 11/16/2020 | 410.08 | 0.00 | -90.18 | Sell to Close |

APEX CLEARING

Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B*

OMB No. 1545-0715

5NA77394

(continued)

02/02/2021

SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

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

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

Box 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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|--|----------|-----------------|--------------------|--------------------------|---|------------------|------------------|
| AMERICAN SHARED HOSP SVCS INC CUSIP: 029595105 Symbol: AMS | | | | | | | |
| 11/11/2020 | 500.00 | 1,124.91 | 11/11/2020 | 1,148.75 | 23.84 D | 0.00 | Sale |
| 11/11/2020 | 500.00 | 1,104.91 | 11/11/2020 | 1,203.84 | 0.00 | -98.93 | Sale |
| Security Totals: | | 2,229.82 | | 2,352.59 | | -98.93 | |
| ***VBI VACCINES INC CDA COM CUSIP: 91822J103 Symbol: VBIV | | | | | | | |
| 11/16/2020 | 127.00 | 327.77 | 11/16/2020 | 349.22 | 21.45 D | 0.00 | Sale |
| 11/25/2020 | 190.00 | 501.56 | Various | 523.05 | 0.00 | -21.49 | Sale |
| Security Totals: | | 829.33 | | 872.27 | | -21.49 | |
| AMERICAN RESOURCES CORPORATION CLASS A COMMON SHARES CUSIP: 02927U208 Symbol: AREC | | | | | | | |
| 10/08/2020 | 100.00 | 239.98 | 10/07/2020 | 264.00 | 0.00 | -24.02 | Sale |
| 11/24/2020 | 452.00 | 912.96 | Various | 799.10 | 17.96 D | 131.82 | Sale |
| 12/09/2020 | 254.00 | 479.43 | Various | 510.72 | 31.29 D | 0.00 | Sale |
| 12/10/2020 | 445.00 | 792.03 | Various | 885.26 | 0.00 | -93.23 | Sale |
| Security Totals: | | 2,424.40 | | 2,459.08 | | 14.57 | |
| APPIAN CORPORATION CLASS A COMMON STOCK CUSIP: 03782L101 Symbol: APPN | | | | | | | |
| 11/12/2020 | 5.00 | 471.37 | 11/12/2020 | 476.90 | 5.53 D | 0.00 | Sale |
| 11/19/2020 | 6.00 | 726.03 | Various | 585.75 | 0.00 | 140.28 | Sale |
| 11/20/2020 | 2.00 | 246.82 | 11/16/2020 | 210.72 | 0.00 | 36.10 | Sale |
| Security Totals: | | 1,444.22 | | 1,273.37 | | 176.38 | |
| TENAX THERAPEUTICS INC COMMON STOCK CUSIP: 88032L209 Symbol: TENX | | | | | | | |
| 12/29/2020 | 201.00 | 490.62 | 12/29/2020 | 498.48 | 7.86 D | 0.00 | Sale |
| 12/29/2020 | 403.00 | 967.56 | Various | 1,006.86 | 0.00 | -39.30 | Sale |
| Security Totals: | | 1,458.18 | | 1,505.34 | | -39.30 | |
| CALL CORR 03/19/21 7.50 COREENERGY INFRASTRUCTRE TR INC CUSIP: Symbol: CORR210319C00007500 | | | | | | | |
| 12/14/2020 | 1.00 | 164.90 | 12/02/2020 | 100.08 | 0.00 | 64.82 | Sell to Close |
| CALL ELY 01/15/21 26 CALLAWAY GOLF CO CUSIP: Symbol: ELY210115C00026000 | | | | | | | |
| 12/30/2020 | 3.00 | 149.74 | 12/28/2020 | 195.24 | 30.33 D | -15.17 | Sell to Close |
| 12/31/2020 | 2.00 | 49.82 | 12/28/2020 | 190.49 | 0.00 | -140.67 | Sell to Close |
| Security Totals: | | 199.56 | | 385.73 | | -155.84 | |

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APEX CLEARING

Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B*

OMB No. 1545-0715

5NA77394

(continued)

02/02/2021

SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

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

Box 2: Type of Gain or Loss - Short-Term (unless indicated as Ordinary in Additional Notes Column)**Box 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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|--|-----------------|----------------------|---------------------------|---------------------------------|--|-------------------------|-------------------------|
| CALL CORR 03/19/21 10 COREENERGY INFRASTRUCTRE TR INC CUSIP: Symbol: CORR210319C00010000 | | | | | | | |
| 12/14/2020 | 2.00 | 199.82 | 11/30/2020 | 70.16 | 0.00 | 129.66 | Sell to Close |
| 12/14/2020 | 3.00 | 284.74 | 11/30/2020 | 105.24 | 0.00 | 179.50 | Sell to Close |
| Security Totals: | | 484.56 | | 175.40 | | 309.16 | |
| PIVOTAL INVESTMENT CORPORATION II CLASS A COMMON STOCK CUSIP: 72582K100 Symbol: PIC | | | | | | | |
| 11/23/2020 | 85.00 | 1,034.41 | Various | 990.66 | 0.00 | 43.75 | Sale |
| 12/01/2020 | 146.00 | 1,951.35 | Various | 1,977.18 | 25.83 D | 0.00 | Sale |
| 12/02/2020 | 21.00 | 269.20 | Various | 322.82 | 53.62 D | 0.00 | Sale |
| 12/02/2020 | 127.00 | 1,661.10 | Various | 1,800.51 | 139.41 D | 0.00 | Sale |
| 12/07/2020 | 102.00 | 1,645.21 | Various | 1,463.41 | 0.00 | 181.80 | Sale |
| 12/08/2020 | 72.00 | 1,098.84 | Various | 1,094.43 | 27.97 D | 32.38 | Sale |
| 12/09/2020 | 54.00 | 907.16 | Various | 856.03 | 0.00 | 51.13 | Sale |
| 12/18/2020 | 55.00 | 971.26 | Various | 919.27 | 0.00 | 51.99 | Sale |
| 12/21/2020 | 71.00 | 1,314.17 | Various | 1,312.00 | 18.37 D | 20.54 | Sale |
| 12/21/2020 | 14.00 | 238.68 | 12/21/2020 | 239.96 | 1.28 D | 0.00 | Sale |
| 12/21/2020 | 84.00 | 1,419.55 | Various | 1,293.59 | 6.98 D | 132.94 | Sale |
| Security Totals: | | 12,510.93 | | 12,269.86 | | 514.53 | |
| CALL IPOB 12/18/20 25 SOCIAL CPTL HEDOSOPHIA HLDGS CUSIP: Symbol: IPOB201218C00025000 | | | | | | | |
| 12/14/2020 | 1.00 | 299.90 | 12/07/2020 | 260.08 | 0.00 | 39.82 | Sell to Close |
| JANONE INC COMMON STOCK CUSIP: 47089W104 Symbol: JAN | | | | | | | |
| 12/29/2020 | 57.00 | 492.06 | 12/29/2020 | 494.76 | 2.7 D | 0.00 | Sale |
| 12/30/2020 | 16.00 | 114.06 | 12/30/2020 | 142.20 | 28.14 D | 0.00 | Sale |
| Security Totals: | | 606.12 | | 636.96 | | 0.00 | |
| EXELA TECHNOLOGIES INC COMMON STOCK CUSIP: 30162V102 Symbol: XELA | | | | | | | |
| 10/12/2020 | 500.00 | 194.93 | 10/09/2020 | 211.00 | 0.00 | -16.07 | Sale |
| 12/18/2020 | 669.00 | 412.62 | 12/18/2020 | 358.55 | 0.00 | 54.07 | Sale |
| Security Totals: | | 607.55 | | 569.55 | | 38.00 | |
| PUT PLTR 12/04/20 24 PALANTIR TECHNOLOGIES INC CL A CUSIP: Symbol: PLTR201204P00024000 | | | | | | | |
| 12/04/2020 | 1.00 | 46.90 | 12/04/2020 | 62.08 | 0.00 | -15.18 | Sell to Close |

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APEX CLEARING

Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B*

OMB No. 1545-0715

5NA77394

(continued)

02/02/2021

SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

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

Box 2: Type of Gain or Loss - Short-Term (unless indicated as Ordinary in Additional Notes Column)**Box 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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|----------------------------|----------|---|--------------------|--------------------------|---|------------------|------------------|
| PUT PLTR 12/04/20 | 23 | PALANTIR TECHNOLOGIES INC CL A CUSIP: Symbol: PLTR201204P00023000 | | | | | |
| 12/02/2020 | 1.00 | 114.90 | 12/02/2020 | 176.08 | 61.18 D | 0.00 | Sell to Close |
| 12/03/2020 | 1.00 | 42.90 | 12/02/2020 | 209.26 | 166.36 D | 0.00 | Sell to Close |
| 12/04/2020 | 1.00 | 1.90 | 12/04/2020 | 182.44 | 0.00 | -180.54 | Sell to Close |
| Security Totals: | | 159.70 | | 567.78 | | -180.54 | |
| CALL BLNK 12/24/20 | 40 | BLINK CHARGING CO CUSIP: Symbol: BLNK201224C00040000 | | | | | |
| 12/22/2020 | 1.00 | 259.90 | 12/21/2020 | 165.08 | 0.00 | 94.82 | Sell to Close |
| PUT PLTR 12/31/20 | 22 | PALANTIR TECHNOLOGIES INC CL A CUSIP: Symbol: PLTR201231P00022000 | | | | | |
| 12/29/2020 | 5.00 | 39.59 | 12/29/2020 | 105.40 | 0.00 | -65.81 | Sell to Close |
| PUT GSX 01/15/21 | 40 | GSX TECHEDU INC ADS CUSIP: Symbol: GSX210115P00040000 | | | | | |
| 12/31/2020 | 1.00 | 164.90 | 12/30/2020 | 185.08 | 0.00 | -20.18 | Sell to Close |
| CALL MT 12/24/20 | 25 | ARCELORMITTAL ADR CUSIP: Symbol: MT201224C00025000 | | | | | |
| 12/17/2020 | 1.00 | 43.90 | 12/16/2020 | 30.08 | 0.00 | 13.82 | Sell to Close |
| 12/17/2020 | 1.00 | 45.90 | 12/16/2020 | 30.08 | 0.00 | 15.82 | Sell to Close |
| 12/17/2020 | 1.00 | 46.90 | 12/16/2020 | 30.08 | 0.00 | 16.82 | Sell to Close |
| Security Totals: | | 136.70 | | 90.24 | | 46.46 | |
| CALL TWTR 12/18/20 | 55.50 | TWITTER INC CUSIP: Symbol: TWTR201218C00055500 | | | | | |
| 12/16/2020 | 4.00 | 463.65 | 12/16/2020 | 508.32 | 0.00 | -44.67 | Sell to Close |
| BENITEC BIOPHARMA INC | | COMMON STOCK CUSIP: 08205P100 Symbol: BNTC | | | | | |
| 12/09/2020 | 171.00 | 478.76 | Various | 640.74 | 0.00 | -161.98 | Sale |
| 12/09/2020 | 511.00 | 1,798.62 | Various | 1,886.43 | 18.85 D | -68.96 | Sale |
| Security Totals: | | 2,277.38 | | 2,527.17 | | -230.94 | |
| CALL AAPL 12/24/20 | 140 | APPLE INC CUSIP: Symbol: AAPL201224C00140000 | | | | | |
| 12/22/2020 | 4.00 | 43.66 | 12/22/2020 | 144.99 | 0.00 | -101.33 | Sell to Close |
| 12/22/2020 | 10.00 | 79.16 | Various | 226.80 | 114.99 D | -32.65 | Sell to Close |
| 12/24/2020 | 2.00 | 0.00 | 12/22/2020 | 48.49 | 0.00 | -48.49 | Expiration |
| Security Totals: | | 122.82 | | 420.28 | | -182.47 | |
| CALL MJ 01/15/21 | 15 | ETF MANAGERS TR ETFMG ALTRNTV CUSIP: Symbol: MJ210115C00015000 | | | | | |
| 12/02/2020 | 1.00 | 139.90 | 11/09/2020 | 134.08 | 0.00 | 5.82 | Sell to Close |

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APEX CLEARING

Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B*

OMB No. 1545-0715

5NA77394

(continued)

02/02/2021

SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

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

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

Box 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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|---|----------|-----------------|--------------------|--------------------------|---|------------------|------------------|
| INSIGNIA SYSTEMS INC CUSIP: 45765Y105 Symbol: ISIG | | | | | | | |
| 10/26/2020 | 800.00 | 783.88 | 10/26/2020 | 745.60 | 0.00 | 38.28 | Sale |
| 10/27/2020 | 800.00 | 1,087.87 | 10/26/2020 | 848.00 | 0.00 | 239.87 | Sale |
| 11/02/2020 | 500.00 | 539.92 | Various | 585.49 | 0.00 | -45.57 | Sale |
| 11/02/2020 | 300.00 | 280.51 | 10/30/2020 | 321.00 | 40.49 D | 0.00 | Sale |
| Security Totals: | | 2,692.18 | | 2,500.09 | | 232.58 | |
| CALL VFF 01/15/21 13 VILLAGE FARMS INTRNATIONAL INC CUSIP: Symbol: VFF210115C00013000 | | | | | | | |
| 12/28/2020 | 2.00 | 69.82 | 12/24/2020 | 270.16 | 0.00 | -200.34 | Sell to Close |
| CALL IPOC 12/18/20 12.50 SOCIAL CPTL HDSPH HLDNGS CORP CUSIP: Symbol: IPOC201218C00012500 | | | | | | | |
| 12/18/2020 | 3.00 | 14.74 | 12/07/2020 | 120.24 | 0.00 | -105.50 | Sell to Close |
| VACCINEX INC COMMON STOCK CUSIP: 918640103 Symbol: VCNX | | | | | | | |
| 09/25/2020 | 101.00 | 186.83 | Various | 189.36 | 0.00 | -2.53 | Sale |
| 11/10/2020 | 1,000.00 | 2,829.81 | 11/10/2020 | 3,000.00 | 0.00 | -170.19 | Sale |
| Security Totals: | | 3,016.64 | | 3,189.36 | | -172.72 | |
| CALL WKHS 01/15/21 23 WORKHORSE GROUP INC CUSIP: Symbol: WKHS210115C00023000 | | | | | | | |
| 12/15/2020 | 2.00 | 467.81 | 12/15/2020 | 470.16 | 0.00 | -2.35 | Sell to Close |
| DIGITAL ALLY INC COM CUSIP: 25382P208 Symbol: DGLY | | | | | | | |
| 10/28/2020 | 200.00 | 445.97 | 10/27/2020 | 474.00 | 28.03 D | 0.00 | Sale |
| 11/04/2020 | 250.00 | 710.23 | Various | 758.53 | 0.00 | -48.30 | Sale |
| 12/14/2020 | 78.00 | 209.11 | 12/14/2020 | 215.21 | 6.1 D | 0.00 | Sale |
| 12/14/2020 | 233.00 | 608.34 | Various | 625.20 | 16.86 D | 0.00 | Sale |
| Security Totals: | | 1,973.65 | | 2,072.94 | | -48.30 | |
| ***OXBRIDGE RE HOLDINGS LIMITED CUSIP: G6856M106 Symbol: OXBR | | | | | | | |
| 09/28/2020 | 160.00 | 583.96 | Various | 206.00 | 0.00 | 377.96 | Sale |
| 09/28/2020 | 40.00 | 158.78 | 09/25/2020 | 50.00 | 0.00 | 108.78 | Sale |
| 10/09/2020 | 100.00 | 209.98 | 10/08/2020 | 228.00 | 0.00 | -18.02 | Sale |
| 12/29/2020 | 103.00 | 300.74 | Various | 292.08 | 0.01 D | 8.67 | Sale |
| Security Totals: | | 1,253.46 | | 776.08 | | 477.39 | |
| PELTON INTERACTIVE INC CLASS A COMMON STOCK CUSIP: 70614W100 Symbol: PTON | | | | | | | |
| 09/30/2020 | 1.00 | 98.20 | 09/29/2020 | 97.25 | 0.00 | 0.95 | Sale |

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SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

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|---|----------|-----------------|--------------------|--------------------------|---|------------------|------------------|
| PELTON INTERACTIVE INC CLASS A COMMON STOCK CUSIP: 70614W100 Symbol: PTON | | | | | | | |
| 10/06/2020 | 2.00 | 220.26 | 10/05/2020 | 220.44 | 0.18 D | 0.00 | Sale |
| 10/09/2020 | 2.00 | 246.40 | 10/09/2020 | 232.08 | 0.00 | 14.32 | Sale |
| 11/05/2020 | 6.00 | 702.75 | 11/05/2020 | 712.80 | 10.05 D | 0.00 | Sale |
| 11/09/2020 | 8.00 | 853.17 | Various | 844.29 | 0.00 | 8.88 | Sale |
| 11/09/2020 | 8.00 | 821.04 | Various | 832.93 | 11.89 D | 0.00 | Sale |
| Security Totals: | | 2,941.82 | | 2,939.79 | | 24.15 | |
| CHEMBIO DIAGNOSTICS INC CUSIP: 163572209 Symbol: CEMI | | | | | | | |
| 10/28/2020 | 60.00 | 293.38 | 10/27/2020 | 307.20 | 13.82 D | 0.00 | Sale |
| 11/05/2020 | 100.00 | 481.97 | Various | 508.82 | 26.85 D | 0.00 | Sale |
| 11/18/2020 | 72.00 | 352.86 | Various | 368.80 | 15.94 D | 0.00 | Sale |
| 12/02/2020 | 131.00 | 997.45 | Various | 1,038.77 | 0.00 | -41.32 | Sale |
| Security Totals: | | 2,125.66 | | 2,223.59 | | -41.32 | |
| SPIRIT AIRLINES INC COMMON STOCK CUSIP: 848577102 Symbol: SAVE | | | | | | | |
| 12/11/2020 | 18.00 | 481.83 | 12/11/2020 | 488.16 | 0.00 | -6.33 | Sale |
| ***AURORA CANNABIS INC COM NEW CUSIP: 05156X884 Symbol: ACB | | | | | | | |
| 11/05/2020 | 100.00 | 619.97 | 11/05/2020 | 661.78 | 41.81 D | 0.00 | Sale |
| 11/05/2020 | 120.00 | 687.29 | 11/05/2020 | 705.60 | 18.31 D | 0.00 | Sale |
| 11/05/2020 | 200.00 | 1,043.95 | Various | 1,075.31 | 31.36 D | 0.00 | Sale |
| 11/06/2020 | 100.00 | 875.97 | Various | 910.64 | 34.67 D | 0.00 | Sale |
| 11/06/2020 | 100.00 | 758.97 | Various | 773.58 | 14.61 D | 0.00 | Sale |
| 11/06/2020 | 100.00 | 1,125.96 | Various | 1,201.46 | 75.50 D | 0.00 | Sale |
| 11/06/2020 | 100.00 | 838.97 | Various | 870.61 | 31.64 D | 0.00 | Sale |
| 11/06/2020 | 100.00 | 832.97 | 11/06/2020 | 833.81 | 0.84 D | 0.00 | Sale |
| 11/06/2020 | 100.00 | 1,130.15 | Various | 1,196.61 | 66.46 D | 0.00 | Sale |
| 11/06/2020 | 100.00 | 851.97 | 11/06/2020 | 894.84 | 42.87 D | 0.00 | Sale |
| 11/06/2020 | 2,800.00 | 30,801.70 | Various | 29,937.54 | 7.61 D | 871.77 | Sale |
| 11/13/2020 | 31.00 | 226.90 | Various | 252.14 | 25.24 D | 0.00 | Sale |
| 11/13/2020 | 93.00 | 742.11 | Various | 811.64 | 69.53 D | 0.00 | Sale |

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SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

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|---|----------|------------------|--------------------|--------------------------|---|------------------|------------------|
| ***AURORA CANNABIS INC COM NEW CUSIP: 05156X884 Symbol: ACB | | | | | | | |
| 11/16/2020 | 96.00 | 647.97 | Various | 756.15 | 108.18 D | 0.00 | Sale |
| 11/17/2020 | 96.00 | 643.17 | Various | 747.71 | 104.54 D | 0.00 | Sale |
| 11/18/2020 | 34.00 | 255.02 | Various | 283.59 | 28.57 D | 0.00 | Sale |
| 11/18/2020 | 34.00 | 239.00 | Various | 286.45 | 47.45 D | 0.00 | Sale |
| 11/24/2020 | 182.00 | 1,568.78 | Various | 1,672.31 | 114.77 D | 11.24 | Sale |
| 12/01/2020 | 109.00 | 1,242.56 | Various | 1,231.64 | 5.87 D | 16.79 | Sale |
| 12/02/2020 | 80.00 | 866.46 | Various | 853.05 | 15.53 D | 28.94 | Sale |
| 12/02/2020 | 66.00 | 659.38 | Various | 719.01 | 38.19 D | -21.44 | Sale |
| 12/04/2020 | 20.00 | 218.78 | 12/02/2020 | 212.80 | 0.00 | 5.98 | Sale |
| 12/04/2020 | 60.00 | 700.24 | Various | 658.58 | 3.69 D | 45.35 | Sale |
| 12/07/2020 | 45.00 | 467.97 | Various | 515.97 | 48.00 D | 0.00 | Sale |
| 12/09/2020 | 69.00 | 709.29 | Various | 787.68 | 78.39 D | 0.00 | Sale |
| 12/28/2020 | 78.00 | 706.65 | Various | 820.08 | 0.00 | -113.43 | Sale |
| Security Totals: | | 49,462.15 | | 49,670.58 | | 845.20 | |
| ***SUNDIAL GROWERS INC COM CUSIP: 86730L109 Symbol: SNDL | | | | | | | |
| 10/09/2020 | 1,000.00 | 224.77 | 10/09/2020 | 249.80 | 25.03 D | 0.00 | Sale |
| 11/04/2020 | 1,500.00 | 279.71 | Various | 320.53 | 40.82 D | 0.00 | Sale |
| 11/06/2020 | 1,000.00 | 332.67 | 11/06/2020 | 375.19 | 42.52 D | 0.00 | Sale |
| 11/06/2020 | 1,400.00 | 407.36 | Various | 570.67 | 163.31 D | 0.00 | Sale |
| 11/06/2020 | 2,500.00 | 710.93 | Various | 803.22 | 92.29 D | 0.00 | Sale |
| 11/06/2020 | 3,000.00 | 1,087.41 | Various | 1,148.92 | 66.07 D | 4.56 | Sale |
| 11/06/2020 | 3,000.00 | 1,329.26 | Various | 1,588.57 | 259.31 D | 0.00 | Sale |
| 11/06/2020 | 3,000.00 | 848.32 | Various | 1,043.81 | 195.49 D | 0.00 | Sale |
| 11/09/2020 | 1,000.00 | 405.89 | Various | 617.28 | 211.39 D | 0.00 | Sale |
| 11/09/2020 | 1,300.00 | 947.34 | Various | 1,113.56 | 183.78 D | 17.56 | Sale |
| 11/09/2020 | 1,390.00 | 680.91 | Various | 826.49 | 145.58 D | 0.00 | Sale |
| 11/09/2020 | 2,500.00 | 1,111.92 | Various | 1,266.69 | 176.43 D | 21.66 | Sale |
| 11/09/2020 | 305.00 | 167.70 | 11/09/2020 | 277.16 | 109.46 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

5NA77394

(continued)

02/02/2021

SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

Report on Form 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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|--|----------|---------------|--------------------|--------------------------|---|------------------|------------------|
| ***SUNDIAL GROWERS INC COM CUSIP: 86730L109 Symbol: SNDL | | | | | | | |
| 11/09/2020 | 2,000.00 | 1,159.73 | Various | 694.45 | 0.00 | 465.28 | Sale |
| 11/10/2020 | 500.00 | 209.93 | Various | 287.80 | 77.87 D | 0.00 | Sale |
| 11/10/2020 | 500.00 | 212.43 | Various | 287.85 | 75.42 D | 0.00 | Sale |
| 11/12/2020 | 845.00 | 239.39 | Various | 318.47 | 79.08 D | 0.00 | Sale |
| 11/13/2020 | 438.00 | 137.95 | Various | 182.90 | 44.95 D | 0.00 | Sale |
| 11/13/2020 | 439.00 | 128.22 | Various | 162.57 | 34.35 D | 0.00 | Sale |
| 11/13/2020 | 2,631.00 | 854.75 | Various | 1,044.18 | 189.43 D | 0.00 | Sale |
| 11/13/2020 | 2,959.00 | 988.22 | Various | 1,146.63 | 158.41 D | 0.00 | Sale |
| 11/13/2020 | 493.00 | 156.70 | Various | 260.66 | 103.96 D | 0.00 | Sale |
| 11/17/2020 | 1,968.00 | 474.63 | Various | 684.33 | 209.70 D | 0.00 | Sale |
| 11/24/2020 | 921.00 | 395.91 | Various | 467.86 | 71.95 D | 0.00 | Sale |
| 11/24/2020 | 1,650.00 | 784.36 | Various | 971.64 | 190.71 D | 3.43 | Sale |
| 11/24/2020 | 3,293.00 | 983.20 | Various | 1,512.59 | 529.39 D | 0.00 | Sale |
| 11/27/2020 | 1,355.00 | 429.77 | Various | 684.99 | 255.22 D | 0.00 | Sale |
| 11/27/2020 | 2,104.00 | 669.43 | Various | 1,109.79 | 440.36 D | 0.00 | Sale |
| 11/30/2020 | 1,000.00 | 722.16 | Various | 940.75 | 218.59 D | 0.00 | Sale |
| 11/30/2020 | 1,621.00 | 794.08 | Various | 875.05 | 135.79 D | 54.82 | Sale |
| 11/30/2020 | 1,000.00 | 719.66 | 11/30/2020 | 910.00 | 190.34 D | 0.00 | Sale |
| 11/30/2020 | 1,973.00 | 1,236.42 | Various | 1,058.35 | 0.00 | 178.07 | Sale |
| 11/30/2020 | 2,371.00 | 1,500.52 | Various | 823.38 | 0.00 | 677.14 | Sale |
| 11/30/2020 | 2,454.00 | 1,811.69 | Various | 1,545.28 | 0.00 | 266.41 | Sale |
| 11/30/2020 | 2,932.00 | 1,568.23 | Various | 1,253.61 | 12.27 D | 326.89 | Sale |
| 11/30/2020 | 3,675.00 | 2,761.62 | Various | 2,706.04 | 116.85 D | 172.43 | Sale |
| 11/30/2020 | 3,753.00 | 2,533.89 | Various | 3,154.83 | 620.94 D | 0.00 | Sale |
| 12/01/2020 | 335.00 | 273.01 | 12/01/2020 | 383.77 | 110.76 D | 0.00 | Sale |
| 12/01/2020 | 973.00 | 845.79 | Various | 905.39 | 61.46 D | 1.86 | Sale |
| 12/01/2020 | 675.00 | 612.94 | 12/01/2020 | 670.23 | 57.29 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

5NA77394

(continued)

02/02/2021

SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

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|---|----------|------------------|--------------------|--------------------------|---|------------------|------------------|
| ***SUNDIAL GROWERS INC COM CUSIP: 86730L109 Symbol: SNDL | | | | | | | |
| 12/01/2020 | 1,341.00 | 1,228.70 | Various | 1,469.40 | 240.70 D | 0.00 | Sale |
| 12/02/2020 | 56.00 | 40.75 | 12/01/2020 | 64.15 | 23.4 D | 0.00 | Sale |
| 12/02/2020 | 700.00 | 481.78 | Various | 626.03 | 144.25 D | 0.00 | Sale |
| 12/03/2020 | 298.00 | 220.95 | Various | 309.00 | 88.05 D | 0.00 | Sale |
| 12/03/2020 | 397.00 | 298.84 | Various | 403.61 | 104.77 D | 0.00 | Sale |
| 12/03/2020 | 596.00 | 449.78 | Various | 606.26 | 156.48 D | 0.00 | Sale |
| 12/03/2020 | 1,590.00 | 1,211.36 | Various | 1,438.29 | 226.93 D | 0.00 | Sale |
| 12/04/2020 | 108.00 | 78.22 | 12/04/2020 | 93.21 | 14.99 D | 0.00 | Sale |
| 12/04/2020 | 322.00 | 225.67 | Various | 257.31 | 31.64 D | 0.00 | Sale |
| 12/04/2020 | 1,288.00 | 918.94 | Various | 1,139.90 | 220.96 D | 0.00 | Sale |
| 12/10/2020 | 1,404.00 | 656.74 | Various | 1,106.85 | 450.11 D | 0.00 | Sale |
| 12/14/2020 | 1,340.00 | 723.42 | Various | 1,003.49 | 280.07 D | 0.00 | Sale |
| 12/14/2020 | 447.00 | 232.60 | Various | 319.65 | 87.05 D | 0.00 | Sale |
| 12/21/2020 | 236.00 | 122.21 | Various | 151.80 | 29.59 D | 0.00 | Sale |
| 12/21/2020 | 473.00 | 246.55 | Various | 260.41 | 13.86 D | 0.00 | Sale |
| 12/21/2020 | 886.00 | 486.11 | Various | 651.96 | 165.85 D | 0.00 | Sale |
| 12/21/2020 | 945.00 | 513.95 | Various | 707.22 | 193.27 D | 0.00 | Sale |
| 12/21/2020 | 1,203.00 | 631.17 | Various | 945.82 | 314.65 D | 0.00 | Sale |
| 12/21/2020 | 1,891.00 | 1,119.02 | Various | 1,535.31 | 419.18 D | 2.89 | Sale |
| 12/23/2020 | 2,884.00 | 1,456.04 | Various | 2,058.00 | 601.96 D | 0.00 | Sale |
| 12/23/2020 | 3,203.00 | 1,564.25 | Various | 1,809.37 | 245.12 D | 0.00 | Sale |
| 12/29/2020 | 1,068.00 | 492.20 | Various | 770.33 | 278.13 D | 0.00 | Sale |
| Security Totals: | | 45,138.07 | | 52,972.65 | | 2,193.00 | |
| CALL AAL 12/18/20 15.50 AMERICAN AIRLINES GROUP INC CUSIP: Symbol: AAL201218C00015500 | | | | | | | |
| 12/09/2020 | 1.00 | 197.90 | 11/25/2020 | 91.08 | 0.00 | 106.82 | Sell to Close |
| CALL XPEV 12/11/20 55 XPENG INC ADR CLASS A CUSIP: Symbol: XPEV201211C00055000 | | | | | | | |
| 12/09/2020 | 1.00 | 7.90 | 12/07/2020 | 191.08 | 0.00 | -183.18 | Sell to Close |

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2020 Form 1099-B*

OMB No. 1545-0715

5NA77394

(continued)

02/02/2021

SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

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|--|----------|-----------------|--------------------|--------------------------|---|------------------|------------------|
| SOTHERLY HOTELS INC CUSIP: 83600C103 Symbol: SOHO | | | | | | | |
| 11/09/2020 | 205.00 | 539.11 | Various | 532.25 | 0.00 | 6.86 | Sale |
| INDEPENDENCE CONTRACT DRILLING INC COM CUSIP: 453415606 Symbol: ICD | | | | | | | |
| 10/12/2020 | 100.00 | 230.11 | 10/09/2020 | 332.00 | 0.00 | -101.89 | Sale |
| IT TECH PACKAGING INC COMMON STOCK CUSIP: 46527C100 Symbol: ITP | | | | | | | |
| 10/19/2020 | 270.00 | 164.66 | 10/16/2020 | 185.25 | 0.00 | -20.59 | Sale |
| 10/19/2020 | 530.00 | 299.37 | 10/16/2020 | 363.63 | 0.00 | -64.26 | Sale |
| Security Totals: | | 464.03 | | 548.88 | | -84.85 | |
| ***DENISON MINES CORP CUSIP: 248356107 Symbol: DNN | | | | | | | |
| 10/09/2020 | 365.00 | 135.00 | 10/07/2020 | 146.00 | 11 D | 0.00 | Sale |
| 10/14/2020 | 200.00 | 69.63 | 10/13/2020 | 77.21 | 0.00 | -7.58 | Sale |
| 10/14/2020 | 550.00 | 190.44 | Various | 200.72 | 0.00 | -10.28 | Sale |
| Security Totals: | | 395.07 | | 423.93 | | -17.86 | |
| CALL TLRX 12/18/20 8 TILRAY INC CUSIP: Symbol: TLRX201218C00008000 | | | | | | | |
| 12/04/2020 | 1.00 | 156.90 | 11/24/2020 | 102.08 | 0.00 | 54.82 | Sell to Close |
| ***BIRKS GROUP INC CL A COM CUSIP: 09088U109 Symbol: BGI | | | | | | | |
| 10/22/2020 | 450.00 | 422.94 | 10/21/2020 | 513.00 | 0.00 | -90.06 | Sale |
| SOCKET MOBILE INC CUSIP: 83368E200 Symbol: SCKT | | | | | | | |
| 10/23/2020 | 150.00 | 386.97 | 10/22/2020 | 390.00 | 0.00 | -3.03 | Sale |
| SOUTHWEST AIRLINES CO CUSIP: 844741108 Symbol: LUV | | | | | | | |
| 11/09/2020 | 10.00 | 433.48 | 11/09/2020 | 441.20 | 0.00 | -7.72 | Sale |
| U S GLOBAL INVESTORS INC-CL A CUSIP: 902952100 Symbol: GROW | | | | | | | |
| 12/02/2020 | 175.00 | 689.46 | Various | 630.00 | 0.00 | 59.46 | Sale |
| 12/08/2020 | 1.00 | 4.21 | 11/27/2020 | 3.72 | 0.00 | 0.49 | Sale |
| 12/10/2020 | 183.00 | 733.79 | Various | 714.24 | 0.00 | 19.55 | Sale |
| 12/15/2020 | 10.00 | 42.58 | 12/10/2020 | 40.83 | 0.00 | 1.75 | Sale |
| Security Totals: | | 1,470.04 | | 1,388.79 | | 81.25 | |
| CALL ACB 12/04/20 11 AURORA CANNABIS INC CUSIP: Symbol: ACB201204C00011000 | | | | | | | |
| 12/01/2020 | 1.00 | 78.90 | 11/30/2020 | 105.08 | 0.00 | -26.18 | Sell to Close |

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|---------------------------------|--|-----------------|--------------------|--------------------------|---|------------------|------------------|
| 12/02/2020 | 1.00 | 69.90 | 11/30/2020 | 105.08 | 0.00 | -35.18 | Sell to Close |
| Security Totals: | | 148.80 | | 210.16 | | -61.36 | |
| CALL TNDM 11/20/20 120 | TANDEM DIABETES CARE INC CUSIP: Symbol: TNDM201120C00120000 | | | | | | |
| 10/08/2020 | 1.00 | 730.89 | 10/06/2020 | 795.08 | 0.00 | -64.19 | Sell to Close |
| CALL ACB 12/04/20 12 | AURORA CANNABIS INC CUSIP: Symbol: ACB201204C00012000 | | | | | | |
| 12/03/2020 | 1.00 | 26.90 | 12/02/2020 | 78.08 | 51.18 D | 0.00 | Sell to Close |
| 12/04/2020 | 3.00 | 71.74 | Various | 154.42 | 58.35 D | -24.33 | Sell to Close |
| 12/04/2020 | 4.00 | 31.66 | Various | 198.67 | 0.00 | -167.01 | Sell to Close |
| Security Totals: | | 130.30 | | 431.17 | | -191.34 | |
| CONTAINER STORE GROUP INC (THE) | CUSIP: 210751103 Symbol: TCS | | | | | | |
| 12/31/2020 | 11.00 | 108.66 | 12/30/2020 | 111.10 | 0.00 | -2.44 | Sale |
| CALL IPOC 02/19/21 15 | SOCIAL CPTL HDSPH HLDNGS CORP CUSIP: Symbol: IPOC210219C00015000 | | | | | | |
| 12/24/2020 | 1.00 | 319.90 | 12/18/2020 | 220.08 | 0.00 | 99.82 | Sell to Close |
| ***ARCELORMITTAL | NEW YORK REGISTRY SHARES CUSIP: 03938L203 Symbol: MT | | | | | | |
| 12/17/2020 | 2.00 | 47.30 | 12/16/2020 | 46.42 | 0.00 | 0.88 | Sale |
| VROOM INC | COMMON STOCK CUSIP: 92918V109 Symbol: VRM | | | | | | |
| 12/14/2020 | 10.00 | 357.78 | Various | 359.45 | 0.00 | -1.67 | Sale |
| 12/14/2020 | 26.00 | 928.94 | 12/14/2020 | 934.96 | 6.02 D | 0.00 | Sale |
| 12/14/2020 | 27.00 | 965.30 | Various | 973.94 | 0.00 | -8.64 | Sale |
| 12/14/2020 | 111.00 | 3,982.62 | Various | 3,990.64 | 0.72 D | -7.30 | Sale |
| 12/14/2020 | 104.00 | 3,729.34 | 12/14/2020 | 3,739.84 | 10.5 D | 0.00 | Sale |
| Security Totals: | | 9,963.98 | | 9,998.83 | | -17.61 | |
| XL FLEET CORP | CLASS A COMMON STOCK CUSIP: 9837FR100 Symbol: XL | | | | | | |
| 12/22/2020 | 12.00 | 216.10 | 12/21/2020 | 224.28 | 8.18 D | 0.00 | Sale |
| 12/23/2020 | 8.00 | 202.24 | Various | 267.42 | 65.18 D | 0.00 | Sale |
| 12/23/2020 | 8.00 | 202.70 | 12/23/2020 | 271.45 | 68.75 D | 0.00 | Sale |
| 12/23/2020 | 12.00 | 376.78 | 12/23/2020 | 379.43 | 2.65 D | 0.00 | Sale |
| 12/23/2020 | 15.00 | 385.03 | Various | 518.77 | 133.74 D | 0.00 | Sale |
| 12/23/2020 | 29.00 | 993.79 | 12/23/2020 | 916.94 | 0.00 | 76.85 | Sale |

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APEX CLEARING

Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B*

OMB No. 1545-0715

5NA77394

(continued)

02/02/2021

SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

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

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

Box 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 |
|--|----------|-----------------|--------------------|--------------------------|---|------------------|------------------|
| XL FLEET CORP CLASS A COMMON STOCK CUSIP: 9837FR100 Symbol: XL | | | | | | | |
| 12/23/2020 | 30.00 | 837.27 | 12/23/2020 | 729.90 | 0.00 | 107.37 | Sale |
| 12/23/2020 | 31.00 | 1,001.55 | 12/23/2020 | 754.23 | 0.00 | 247.32 | Sale |
| 12/23/2020 | 35.00 | 1,093.71 | Various | 1,093.99 | 1.48 D | 1.20 | Sale |
| 12/23/2020 | 40.00 | 1,079.96 | Various | 832.36 | 0.00 | 247.60 | Sale |
| 12/23/2020 | 61.00 | 1,622.14 | Various | 1,349.99 | 0.00 | 272.15 | Sale |
| 12/23/2020 | 78.00 | 1,811.10 | Various | 1,623.27 | 0.00 | 187.83 | Sale |
| Security Totals: | | 9,822.37 | | 8,962.03 | | 1,140.32 | |
| AKERNA CORP COMMON STOCK CUSIP: 00973W102 Symbol: KERN | | | | | | | |
| 11/09/2020 | 50.00 | 249.98 | 11/09/2020 | 262.50 | 12.52 D | 0.00 | Sale |
| 11/09/2020 | 50.00 | 278.98 | 11/09/2020 | 262.50 | 0.00 | 16.48 | Sale |
| 11/09/2020 | 100.00 | 427.98 | Various | 425.89 | 1.14 D | 3.23 | Sale |
| 11/09/2020 | 100.00 | 470.97 | Various | 469.14 | 3.26 D | 5.09 | Sale |
| 11/09/2020 | 100.00 | 432.35 | Various | 450.14 | 17.79 D | 0.00 | Sale |
| 11/09/2020 | 120.00 | 609.57 | Various | 621.72 | 15.14 D | 2.99 | Sale |
| 11/23/2020 | 152.00 | 495.48 | Various | 514.83 | 19.35 D | 0.00 | Sale |
| 11/24/2020 | 155.00 | 577.09 | Various | 701.35 | 124.26 D | 0.00 | Sale |
| 11/24/2020 | 208.00 | 817.40 | Various | 989.63 | 172.23 D | 0.00 | Sale |
| 11/30/2020 | 123.00 | 506.75 | Various | 605.40 | 98.65 D | 0.00 | Sale |
| 12/01/2020 | 123.00 | 522.72 | Various | 623.04 | 73.48 D | -26.84 | Sale |
| 12/03/2020 | 92.00 | 368.10 | Various | 428.08 | 0.00 | -59.98 | Sale |
| 12/04/2020 | 93.00 | 383.14 | Various | 479.76 | 0.00 | -96.62 | Sale |
| Security Totals: | | 6,140.51 | | 6,833.98 | | -155.65 | |
| ***NOKIA CORPORATION SPONSORED ADR REPSTG 1 SER A CUSIP: 654902204 Symbol: NOK | | | | | | | |
| 10/21/2020 | 75.00 | 316.48 | 10/19/2020 | 307.50 | 0.00 | 8.98 | Sale |
| 10/28/2020 | 125.00 | 518.72 | Various | 541.50 | 0.00 | -22.78 | Sale |
| Security Totals: | | 835.20 | | 849.00 | | -13.80 | |
| CALL AAPL 12/24/20 137 APPLE INC CUSIP: Symbol: AAPL201224C00137000 | | | | | | | |
| 12/22/2020 | 4.00 | 58.66 | Various | 152.32 | 0.00 | -93.66 | Sell to Close |

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APEX CLEARING

Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B*

OMB No. 1545-0715

5NA77394

(continued)

02/02/2021

SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

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

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

Box 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 |
|---|----------|-----------------|--------------------|--------------------------|---|------------------|------------------|
| ***CHINA XIANGTAI FOOD CO LTD ORDINARY SHARES CUSIP: G21621100 Symbol: PLIN | | | | | | | |
| 12/11/2020 | 336.00 | 325.06 | 12/11/2020 | 337.89 | 0.00 | -12.83 | Sale |
| 12/11/2020 | 1,007.00 | 1,002.32 | Various | 1,016.75 | 4.92 D | -9.51 | Sale |
| Security Totals: | | 1,327.38 | | 1,354.64 | | -22.34 | |
| DOCUSIGN INC COMMON STOCK CUSIP: 256163106 Symbol: DOCU | | | | | | | |
| 10/16/2020 | 4.00 | 954.21 | 10/15/2020 | 959.60 | 5.39 D | 0.00 | Sale |
| 11/05/2020 | 3.00 | 702.69 | 11/05/2020 | 713.25 | 10.56 D | 0.00 | Sale |
| 11/09/2020 | 4.00 | 848.19 | Various | 869.11 | 20.92 D | 0.00 | Sale |
| 11/10/2020 | 1.00 | 190.98 | 11/10/2020 | 203.97 | 12.99 D | 0.00 | Sale |
| 11/10/2020 | 2.00 | 397.00 | Various | 412.37 | 15.37 D | 0.00 | Sale |
| 11/10/2020 | 2.00 | 394.38 | 11/09/2020 | 414.55 | 20.17 D | 0.00 | Sale |
| 11/10/2020 | 5.00 | 1,000.61 | Various | 1,033.70 | 34.20 D | 1.11 | Sale |
| 11/11/2020 | 6.00 | 1,222.34 | Various | 1,240.20 | 23.31 D | 5.45 | Sale |
| 11/12/2020 | 2.00 | 419.74 | Various | 426.18 | 6.44 D | 0.00 | Sale |
| 11/13/2020 | 1.00 | 204.97 | 11/11/2020 | 215.38 | 10.41 D | 0.00 | Sale |
| 11/16/2020 | 2.00 | 404.02 | Various | 427.40 | 0.00 | -23.38 | Sale |
| 11/20/2020 | 3.00 | 659.97 | Various | 653.45 | 0.00 | 6.52 | Sale |
| Security Totals: | | 7,399.10 | | 7,569.16 | | -10.30 | |
| RMG ACQUISITION CORP CLASS A COMMON STOCK CUSIP: 749641106 Symbol: RMG | | | | | | | |
| 11/30/2020 | 29.00 | 529.22 | 11/27/2020 | 484.30 | 0.00 | 44.92 | Sale |
| 12/14/2020 | 22.00 | 466.81 | 12/14/2020 | 484.00 | 17.19 D | 0.00 | Sale |
| 12/23/2020 | 13.00 | 324.27 | 12/23/2020 | 353.10 | 28.83 D | 0.00 | Sale |
| 12/23/2020 | 34.00 | 976.78 | Various | 1,027.80 | 48.34 D | -2.68 | Sale |
| 12/24/2020 | 28.00 | 1,015.52 | Various | 1,026.94 | 0.00 | -11.42 | Sale |
| Security Totals: | | 3,312.60 | | 3,376.14 | | 30.82 | |
| ORAGENICS INC COMMON STOCK CUSIP: 684023302 Symbol: OGEN | | | | | | | |
| 12/02/2020 | 48.00 | 28.43 | 12/02/2020 | 22.56 | 0.00 | 5.87 | Sale |
| 12/02/2020 | 141.00 | 84.88 | 12/02/2020 | 66.27 | 0.00 | 18.61 | Sale |

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APEX CLEARING

Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B*

OMB No. 1545-0715

5NA77394

(continued)

02/02/2021

SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

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

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

Box 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 |
|---|----------|-----------------|--------------------|--------------------------|---|------------------|------------------|
| 12/02/2020 | 565.00 | 345.59 | 12/02/2020 | 265.55 | 0.00 | 80.04 | Sale |
| Security Totals: | | 458.90 | | 354.38 | | 104.52 | |
| ***HUDSON CAPITAL INC ORDINARY SHARES CUSIP: G4645C109 Symbol: HUSN | | | | | | | |
| 10/21/2020 | 500.00 | 365.26 | 10/20/2020 | 415.00 | 0.00 | -49.74 | Sale |
| AKERS BIOSCIENCES INC COMMON STOCK CUSIP: 00973E409 Symbol: AKER | | | | | | | |
| 11/12/2020 | 366.00 | 973.49 | 11/12/2020 | 1,006.10 | 9.44 D | -23.17 | Sale |
| 11/12/2020 | 106.00 | 296.78 | 11/12/2020 | 307.18 | 0.00 | -10.40 | Sale |
| Security Totals: | | 1,270.27 | | 1,313.28 | | -33.57 | |
| CALL CCL 12/18/20 25 CARNIVAL CORP CUSIP: Symbol: CCL201218C00025000 | | | | | | | |
| 12/16/2020 | 1.00 | 7.90 | 12/03/2020 | 126.08 | 0.00 | -118.18 | Sell to Close |
| CALL GUSH 12/18/20 40 DIREXION DLY S&P OIL & GAS EXP CUSIP: Symbol: GUSH201218C00040000 | | | | | | | |
| 12/03/2020 | 1.00 | 139.90 | 12/02/2020 | 205.08 | 65.18 D | 0.00 | Sell to Close |
| 12/10/2020 | 1.00 | 639.89 | 12/03/2020 | 250.26 | 0.00 | 389.63 | Sell to Close |
| Security Totals: | | 779.79 | | 455.34 | | 389.63 | |
| CALL FCEL 01/15/21 11 FUELCELL ENERGY INC CUSIP: Symbol: FCEL210115C00011000 | | | | | | | |
| 12/23/2020 | 1.00 | 240.90 | 12/22/2020 | 139.08 | 0.00 | 101.82 | Sell to Close |
| CLEAN ENERGY FUELS CORP CUSIP: 184499101 Symbol: CLNE | | | | | | | |
| 12/18/2020 | 62.00 | 355.24 | 12/18/2020 | 347.79 | 0.00 | 7.45 | Sale |
| 12/18/2020 | 99.00 | 492.99 | 12/18/2020 | 495.91 | 2.92 D | 0.00 | Sale |
| 12/18/2020 | 99.00 | 520.82 | 12/18/2020 | 495.91 | 0.00 | 24.91 | Sale |
| 12/21/2020 | 59.00 | 327.43 | Various | 346.83 | 19.40 D | 0.00 | Sale |
| 12/23/2020 | 49.00 | 448.33 | 12/23/2020 | 498.82 | 50.49 D | 0.00 | Sale |
| 12/23/2020 | 135.00 | 1,331.25 | Various | 1,358.81 | 22.55 D | -5.01 | Sale |
| 12/23/2020 | 144.00 | 1,427.10 | Various | 1,502.04 | 74.94 D | 0.00 | Sale |
| 12/24/2020 | 36.00 | 291.58 | 12/24/2020 | 312.10 | 20.52 D | 0.00 | Sale |
| 12/24/2020 | 106.00 | 870.23 | Various | 957.40 | 87.17 D | 0.00 | Sale |
| 12/29/2020 | 29.00 | 246.48 | Various | 273.96 | 27.48 D | 0.00 | Sale |
| Security Totals: | | 6,311.45 | | 6,589.57 | | 27.35 | |

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APEX CLEARING

Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B*

OMB No. 1545-0715

5NA77394

(continued)

02/02/2021

SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

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

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

| 1c - Date Sold or Disposed | Quantity | 1d - Proceeds | 1b - Date Acquired | 1e - Cost or Other Basis | 1f - Accrued Market Discount (M) & 1g - Wash Sale Loss Disallowed (D) | Gain or Loss (-) | Additional Notes |
|---|----------|-----------------|--------------------|--------------------------|---|------------------|------------------|
| CALL CRIS 12/18/20 | 5 | | | | | | |
| CURIS INC CUSIP: Symbol: CRIS201218C00005000 | | | | | | | |
| 12/08/2020 | 1.00 | 299.90 | 12/08/2020 | 300.08 | 0.00 | -0.18 | Sell to Close |
| FOSSIL GROUP INC CUSIP: 34988V106 Symbol: FOSL | | | | | | | |
| 11/11/2020 | 50.00 | 403.98 | 11/11/2020 | 420.50 | 16.52 D | 0.00 | Sale |
| 11/11/2020 | 50.00 | 396.48 | 11/11/2020 | 420.50 | 24.02 D | 0.00 | Sale |
| 11/20/2020 | 100.00 | 1,140.96 | Various | 1,177.77 | 26.08 D | -10.73 | Sale |
| 12/08/2020 | 39.00 | 494.88 | Various | 497.92 | 0.00 | -3.04 | Sale |
| 12/09/2020 | 20.00 | 258.98 | Various | 260.17 | 0.00 | -1.19 | Sale |
| 12/14/2020 | 20.00 | 234.78 | 12/07/2020 | 261.81 | 0.00 | -27.03 | Sale |
| Security Totals: | | 2,930.06 | | 3,038.67 | | -41.99 | |
| CALL UEC 02/19/21 | 4 | | | | | | |
| URANIUM ENERGY CORP CUSIP: Symbol: UEC210219C00004000 | | | | | | | |
| 12/14/2020 | 4.00 | 19.66 | 12/09/2020 | 20.32 | 0.00 | -0.66 | Sell to Close |
| 12/16/2020 | 6.00 | 29.50 | 12/09/2020 | 30.49 | 0.00 | -0.99 | Sell to Close |
| Security Totals: | | 49.16 | | 50.81 | | -1.65 | |
| CALL WWR 12/18/20 | 7.50 | | | | | | |
| WESTWATER RESOURCES INC CUSIP: Symbol: WWR201218C00007500 | | | | | | | |
| 12/02/2020 | 1.00 | 71.90 | 11/30/2020 | 85.08 | 0.00 | -13.18 | Sell to Close |
| ZYNGA INC CLASS A CUSIP: 98986T108 Symbol: ZNGA | | | | | | | |
| 10/16/2020 | 1.00 | 9.18 | 10/11/2020 | 9.31 | 0.13 D | 0.00 | Sale |
| 10/23/2020 | 40.00 | 375.58 | Various | 378.85 | 4.11 D | 0.84 | Sale |
| 10/28/2020 | 64.00 | 598.37 | 10/22/2020 | 608.00 | 9.63 D | 0.00 | Sale |
| 11/05/2020 | 20.00 | 181.98 | Various | 186.10 | 4.12 D | 0.00 | Sale |
| 11/06/2020 | 10.00 | 90.68 | 11/05/2020 | 93.00 | 2.32 D | 0.00 | Sale |
| 11/06/2020 | 70.00 | 634.17 | Various | 649.64 | 13.86 D | -1.61 | Sale |
| 11/09/2020 | 92.00 | 772.77 | Various | 825.30 | 0.00 | -52.53 | Sale |
| Security Totals: | | 2,662.73 | | 2,750.20 | | -53.30 | |
| AMAZON.COM INC CUSIP: 023135106 Symbol: AMZN | | | | | | | |
| 10/28/2020 | 1.00 | 3,262.99 | 10/27/2020 | 3,272.72 | 0.00 | -9.73 | Sale |

APEX CLEARING

Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B*

OMB No. 1545-0715

5NA77394

(continued)

02/02/2021

SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

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

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

Box 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 |
|----------------------------|----------|---------------------|---|--------------------------|---|------------------|------------------|
| CALL NCLH 12/24/20 26 | | | NORWEIGIAN CRUISE LINE HOLDING CUSIP: Symbol: NCLH201224C00026000 | | | | |
| 12/14/2020 | 1.00 | 163.90 | 12/03/2020 | 180.08 | 0.00 | -16.18 | Sell to Close |
| Totals: | | 1,701,792.68 | | 1,784,967.31 | | 15,649.98 | |

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APEX CLEARING

Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B*

OMB No. 1545-0715

5NA77394

(continued)

02/02/2021

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 |
|--|----------|-----------------|---------------|---------------------|---|------------------|------------------|
| SANCHEZ MIDSTREAM PARTNERS LP COMMON UNITS REPRESENTING CL B LIMITED LIABILITY COMPANY CUSIP: 79971C201 Symbol: SNMP | | | | | | | |
| 10/12/2020 | 100.00 | 75.98 | 10/09/2020 | 81.50 | 5.52 D | 0.00 | Sale |
| 10/28/2020 | 700.00 | 888.90 | Various | 833.52 | 0.00 | 55.38 | Sale |
| Security Totals: | | 964.88 | | 915.02 | | 55.38 | |
| SUMMIT MIDSTREAM PARTNERS LP COM UNIT LTD PARTNERSHIP INT CUSIP: 866142102 Symbol: SMLP | | | | | | | |
| 10/09/2020 | 300.00 | 239.95 | 10/08/2020 | 258.00 | 0.00 | -18.05 | Sale |
| MARINE PETROLEUM TRUST UBI CUSIP: 568423107 Symbol: MARPS | | | | | | | |
| 12/29/2020 | 138.00 | 482.96 | 12/28/2020 | 492.66 | 0.00 | -9.70 | Sale |
| PROSHARES TRUST II PROSHARES ULTRA VIX SHORT TERM FUTURES ETF CUSIP: 74347W148 Symbol: UVXY | | | | | | | |
| 11/12/2020 | 17.00 | 241.55 | 11/12/2020 | 243.95 | 0.00 | -2.40 | Sale |
| 11/13/2020 | 17.00 | 233.73 | 11/12/2020 | 243.95 | 0.00 | -10.22 | Sale |
| Security Totals: | | 475.28 | | 487.90 | | -12.62 | |
| SOLITARIO ZINC CORP COMMON STOCK CUSIP: 8342EP107 Symbol: XPL | | | | | | | |
| 10/08/2020 | 250.00 | 154.26 | 10/07/2020 | 208.73 | 0.00 | -54.47 | Sale |
| Totals: | | 2,317.33 | | 2,362.31 | | -39.46 | |

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APEX CLEARING

Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B*

OMB No. 1545-0715

5NA77394

(continued)

02/02/2021

LONG TERM TRANSACTIONS FOR COVERED TAX LOTS

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

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

Box 5: Box Not Checked (Covered Security)

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

Box 12: Basis Reported to the IRS

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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 |
|---|----------|---------------|--------------------|--------------------------|---|------------------|------------------|
| SNAP INC CLASS A COMMON STOCK CUSIP: 83304A106 Symbol: SNAP | | | | | | | |
| 12/22/2020 | 1.00 | 52.63 | 12/20/2020 | 52.99 | 0.00 | -0.36 | Sale |
| JETBLUE AIRWAYS CORP CUSIP: 477143101 Symbol: JBLU | | | | | | | |
| 12/22/2020 | 1.00 | 14.28 | 12/20/2020 | 14.35 | 0.00 | -0.07 | Sale |
| Totals: | | 66.91 | | 67.34 | | -0.43 | |

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APEX CLEARING

Miscellaneous Income - Details of Form 1099-MISC

2020

5NA77394

02/02/2021

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

| Description CUSIP Symbol | | | | | | | |
|---|----------------------|-------------------------|--|---|--------------------------------|---|--|
| Date | Royalties (Box 2) | Other Income (Box 3) | Substitute Payments in Lieu of Dividends or Interest (Box 8) | Federal Income Tax Withheld (Box 4) | State Tax Withheld (Box 15) | State (Box 13) State Identification No. (Box 14) | |
| SNAP INC CLASS A COMMON STOCK CUSIP: 83304A106 Symbol: SNAP | | | | | | | |
| 12/20/2020 | 0.00 | 52.99 | 0.00 | 0.00 | 0.00 | | |
| JETBLUE AIRWAYS CORP CUSIP: 477143101 Symbol: JBLU | | | | | | | |
| 12/20/2020 | 0.00 | 14.35 | 0.00 | 0.00 | 0.00 | | |
| ***ALAMOS GOLD INC COM CL A CUSIP: 011532108 Symbol: AGI | | | | | | | |
| 10/25/2020 | 0.00 | 25.20 | 0.00 | 0.00 | 0.00 | | |
| HEWLETT PACKARD ENTERPRISE COMPANY COM CUSIP: 42824C109 Symbol: HPE | | | | | | | |
| 10/11/2020 | 0.00 | 9.81 | 0.00 | 0.00 | 0.00 | | |
| 12/20/2020 | 0.00 | 84.84 | 0.00 | 0.00 | 0.00 | | |
| Security Totals: | 0.00 | 94.65 | 0.00 | 0.00 | 0.00 | | |
| ZYNGA INC CLASS A CUSIP: 98986T108 Symbol: ZNGA | | | | | | | |
| 10/11/2020 | 0.00 | 9.31 | 0.00 | 0.00 | 0.00 | | |
| 10/15/2020 | 0.00 | 36.72 | 0.00 | 0.00 | 0.00 | | |
| Security Totals: | 0.00 | 46.03 | 0.00 | 0.00 | 0.00 | | |
| FORD MOTOR CO PAR \$0.01 CUSIP: 345370860 Symbol: F | | | | | | | |
| 12/20/2020 | 0.00 | 143.20 | 0.00 | 0.00 | 0.00 | | |
| Totals: | 0.00 | 376.42 | 0.00 | 0.00 | 0.00 | | |

APEX CLEARING

Supplemental Information

2020

5NA77394

02/02/2021

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

Fees & Expenses

| Description | Amount |
|---|-------------|
| Date Margin Interest Expense 12/16/2020 | 3.66 |
| Totals: | 3.66 |

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 8995-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.

1099-INT Instructions for Recipient

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

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.

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.

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.

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.

