

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. If you own Mutual Funds, Real Estate Trusts (REITs), REMIC Securities or certain fixed investment trusts (WHFITs), income distributions may be reclassified by the issuer after the original 1099 is sent. If you hold these securities or another security that is subject to a reclassification event, you may receive a corrected Form 1099.

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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: 02/23/2021 [X] Corrected	

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

02/23/2021

Summary Of Sale Proceeds

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

Section	Total Proceeds	Total Cost Basis	Market Discount	Wash Sale Loss Disallowed	Total Net Gain or Loss(-)
Short term transactions for covered tax lots	1,701,875.58	1,785,090.39	0.00	98,824.61	15,609.80 C
Short term transactions for noncovered tax lots	2,317.33	2,362.31	0.00	5.52	-39.46
Total Short-term	1,704,192.91	1,787,452.70	0.00	98,830.13	15,570.34
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

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02/23/2021

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

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

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 For such tax lots, you will need to use your historical documents to determine your holding period (whether short-term or long-term) and your tax basis.

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

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

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

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

FATCA filing requirement []

SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

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

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

Box 5: Box Not Checked (Covered Security)

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

Box 12: Basis Reported to the IRS

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

1a - Description of property | CUSIP | Symbol

1c - Date Sold or Disposed	Quantity	1d - Proceeds	1b - Date Acquired	1e - Cost or Other Basis	1f - Accrued Market Discount (M) & 1g - Wash Sale Loss Disallowed (D)	Gain or Loss (-)	Additional Notes
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)

02/23/2021

SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

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

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

1c - Date Sold or Disposed	Quantity	1d - Proceeds	1b - Date Acquired	1e - Cost or Other Basis	1f - Accrued Market Discount (M) & 1g - Wash Sale Loss Disallowed (D)	Gain or Loss (-)	Additional Notes
***XPENG INC ADS EACH REPRESENTING TWO CLASS A ORDINARY SHARES CUSIP: 98422D105 Symbol: XPEV							
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)

02/23/2021

SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

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

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

1c - Date Sold or Disposed	Quantity	1d - Proceeds	1b - Date Acquired	1e - Cost or Other Basis	1f - Accrued Market Discount (M) & 1g - Wash Sale Loss Disallowed (D)	Gain or Loss (-)	Additional Notes
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)

02/23/2021

SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

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

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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

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APEX CLEARING

Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B*

OMB No. 1545-0715

5NA77394

(continued)

02/23/2021

SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

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

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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)

02/23/2021

SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

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

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***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

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2020 Form 1099-B*

OMB No. 1545-0715

5NA77394

(continued)

02/23/2021

SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

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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

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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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***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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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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(continued)

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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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APEX CLEARING

Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B*

OMB No. 1545-0715

5NA77394

(continued)

02/23/2021

SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

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

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

1c - Date Sold or Disposed	Quantity	1d - Proceeds	1b - Date Acquired	1e - Cost or Other Basis	1f - Accrued Market Discount (M) & 1g - Wash Sale Loss Disallowed (D)	Gain or Loss (-)	Additional Notes
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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APEX CLEARING

Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B*

OMB No. 1545-0715

5NA77394

(continued)

02/23/2021

SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

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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)

02/23/2021

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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SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

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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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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 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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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: FR SX							
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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OMB No. 1545-0715

5NA77394

(continued)

02/23/2021

SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

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

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

Box 5: Box Not Checked (Covered Security)

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

Box 12: Basis Reported to the IRS

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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
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.

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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)

02/23/2021

SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

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

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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)

02/23/2021

SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

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

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

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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	

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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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2020 Form 1099-B*

OMB No. 1545-0715

5NA77394

(continued)

02/23/2021

SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

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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	

APEX CLEARING

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2020 Form 1099-B*

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(continued)

02/23/2021

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***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

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APEX CLEARING

Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B*

OMB No. 1545-0715

5NA77394

(continued)

02/23/2021

SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

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

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

1c - Date Sold or Disposed	Quantity	1d - Proceeds	1b - Date Acquired	1e - Cost or Other Basis	1f - Accrued Market Discount (M) & 1g - Wash Sale Loss Disallowed (D)	Gain or Loss (-)	Additional Notes
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)

02/23/2021

SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

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

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

1c - Date Sold or Disposed	Quantity	1d - Proceeds	1b - Date Acquired	1e - Cost or Other Basis	1f - Accrued Market Discount (M) & 1g - Wash Sale Loss Disallowed (D)	Gain or Loss (-)	Additional Notes
***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)

02/23/2021

SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

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

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

1c - Date Sold or Disposed	Quantity	1d - Proceeds	1b - Date Acquired	1e - Cost or Other Basis	1f - Accrued Market Discount (M) & 1g - Wash Sale Loss Disallowed (D)	Gain or Loss (-)	Additional Notes
***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)

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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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2020 Form 1099-B*

OMB No. 1545-0715

5NA77394

(continued)

02/23/2021

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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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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 BBY 10/23/20 22			BED BATH & BEYOND INC CUSIP: Symbol: BBY201023C00022000				
10/12/2020	1.00	82.90	10/09/2020	123.08	0.00	-40.18	Sell to Close C
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

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SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

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

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Box 12: Basis Reported to the IRS

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10/16/2020	383.00	639.54	Various	744.28	0.00	-104.74	Sale
Security Totals:		969.51		1,150.28		-104.74	
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
TELIGHT 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

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APEX CLEARING

Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B*

OMB No. 1545-0715

5NA77394

(continued)

02/23/2021

SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

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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
***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

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APEX CLEARING

Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B*

OMB No. 1545-0715

5NA77394

(continued)

02/23/2021

SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

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

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APTEVO THERAPEUTICS INC COMMON STOCK CUSIP: 03835L207 Symbol: APVO							
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
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

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APEX CLEARING

Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B*

OMB No. 1545-0715

5NA77394

(continued)

02/23/2021

SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

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APEX TECHNOLOGY ACQUISITION CORPORATION CLASS A COMMON STOCK CUSIP: 03768F102 Symbol: APXT							
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
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

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5NA77394

(continued)

02/23/2021

SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

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***ALIBABA GROUP HOLDING LTD SPONSORED ADR CUSIP: 01609W102 Symbol: BABA							
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	
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: CIIC							
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	

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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
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

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APEX CLEARING

Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B*

OMB No. 1545-0715

5NA77394

(continued)

02/23/2021

SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

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

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

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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
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

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APEX CLEARING

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2020 Form 1099-B*

OMB No. 1545-0715

5NA77394

(continued)

02/23/2021

SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

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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
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

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SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

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

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NOVAN INC COM CUSIP: 66988N106 Symbol: NOVN							
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
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

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APEX CLEARING

Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B*

OMB No. 1545-0715

5NA77394

(continued)

02/23/2021

SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

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WESTWATER RESOURCES INC COMMON STOCK CUSIP: 961684206 Symbol: WWR							
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
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

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BIOCEPT INC COMMON STOCK CUSIP: 09072V501 Symbol: BIOC							
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	
CALL SOLO 12/18/20 7.50 ELECTROMECCANICA 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

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(continued)

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SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

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GORES HOLDINGS IV INC CLASS A COMMON STOCK CUSIP: 382865103 Symbol: GHIV							
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
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

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APEX CLEARING

Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B*

OMB No. 1545-0715

5NA77394

(continued)

02/23/2021

SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

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

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

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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	
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

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SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

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

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

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

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1c - Date Sold or Disposed	Quantity	1d - Proceeds	1b - Date Acquired	1e - Cost or Other Basis	1f - Accrued Market Discount (M) & 1g - Wash Sale Loss Disallowed (D)	Gain or Loss (-)	Additional Notes
***UXIN LIMITED ADS CUSIP: 91818X108 Symbol: UXIN							
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
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	
***PAINREFORMLTD 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

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APEX CLEARING

Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B*

OMB No. 1545-0715

5NA77394

(continued)

02/23/2021

SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

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

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CBAK ENERGY TECHNOLOGY INC COMMON STOCK CUSIP: 14986C102 Symbol: CBAT							
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
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

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APEX CLEARING

Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B*

OMB No. 1545-0715

5NA77394

(continued)

02/23/2021

SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

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

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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	
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

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2020 Form 1099-B*

OMB No. 1545-0715

5NA77394

(continued)

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SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

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AMERI HOLDINGS INC COMMON STOCK CUSIP: 02362F302 Symbol: AMRH							
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
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	

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SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

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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
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

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APEX CLEARING

Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B*

OMB No. 1545-0715

5NA77394

(continued)

02/23/2021

SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

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

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

1c - Date Sold or Disposed	Quantity	1d - Proceeds	1b - Date Acquired	1e - Cost or Other Basis	1f - Accrued Market Discount (M) & 1g - Wash Sale Loss Disallowed (D)	Gain or Loss (-)	Additional Notes
PALANTIR TECHNOLOGIES INC CLASS A COMMON STOCK CUSIP: 69608A108 Symbol: PLTR							
12/23/2020	17.00	488.93	Various	587.05	98.12 D	0.00	Sale
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

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SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

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

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

Box 12: Basis Reported to the IRS

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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
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

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Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B*

OMB No. 1545-0715

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(continued)

02/23/2021

SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

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

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

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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	
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

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Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B*

OMB No. 1545-0715

5NA77394

(continued)

02/23/2021

SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

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***LUOKUNG TECHNOLOGY CORP ORDINARY SHARES CUSIP: G56981106 Symbol: LKCO							
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
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 ACQUSTION 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 CORP COM NEW 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

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AMCI ACQUISITION CORP CLASS A COMMON STOCK CUSIP: 00165R101 Symbol: AMCI							
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
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	

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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
***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

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APEX CLEARING

Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B*

OMB No. 1545-0715

5NA77394

(continued)

02/23/2021

SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

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

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

1c - Date Sold or Disposed	Quantity	1d - Proceeds	1b - Date Acquired	1e - Cost or Other Basis	1f - Accrued Market Discount (M) & 1g - Wash Sale Loss Disallowed (D)	Gain or Loss (-)	Additional Notes
ACORDA THERAPEUTICS INC CUSIP: 00484M106 Symbol: ACOR							
10/20/2020	175.00	278.22	10/20/2020	268.29	0.00	9.93	Sale
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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APEX CLEARING

Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B*

OMB No. 1545-0715

5NA77394

(continued)

02/23/2021

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)

02/23/2021

SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

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

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

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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: IMMPE							
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

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APEX CLEARING

Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B*

OMB No. 1545-0715

5NA77394

(continued)

02/23/2021

SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

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

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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.

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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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2020 Form 1099-B*

OMB No. 1545-0715

5NA77394

(continued)

02/23/2021

SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

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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)

02/23/2021

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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02/23/2021

SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

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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

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(continued)

02/23/2021

SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

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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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2020 Form 1099-B*

OMB No. 1545-0715

5NA77394

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02/23/2021

SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

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***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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2020 Form 1099-B*

OMB No. 1545-0715

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02/23/2021

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***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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2020 Form 1099-B*

OMB No. 1545-0715

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02/23/2021

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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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2020 Form 1099-B*

OMB No. 1545-0715

5NA77394

(continued)

02/23/2021

SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

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

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

1c - Date Sold or Disposed	Quantity	1d - Proceeds	1b - Date Acquired	1e - Cost or Other Basis	1f - Accrued Market Discount (M) & 1g - Wash Sale Loss Disallowed (D)	Gain or Loss (-)	Additional Notes
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: PBI210219C00005000							
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: NIO201224C000050000							
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	

SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

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Box 12: Basis Reported to the IRS

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TILRAY INC CLASS 2 COMMON STOCK CUSIP: 88688T100 Symbol: TLRX							
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

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2020 Form 1099-B*

OMB No. 1545-0715

5NA77394

(continued)

02/23/2021

SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

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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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2020 Form 1099-B*

OMB No. 1545-0715

5NA77394

(continued)

02/23/2021

SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

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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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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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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: DKNK							
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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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

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(continued)

02/23/2021

SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

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

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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 DKNG 10/23/20 54 DRAFTKINGS INC CL A CUSIP: Symbol: DKNG201023C00054000							
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

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02/23/2021

SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

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

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

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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)

02/23/2021

SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

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Box 2: Type of Gain or Loss - Short-Term (unless indicated as Ordinary in Additional Notes Column)**Box 5:** Box Not Checked (Covered Security)**Box 6:** Gross (unless indicated as Net in Additional Notes Column)**Box 12:** Basis Reported to the IRS**The 1099-B data referenced by a Box Number is reported to the IRS. The additional information not referenced 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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2020 Form 1099-B*

OMB No. 1545-0715

5NA77394

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02/23/2021

SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

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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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2020 Form 1099-B*

OMB No. 1545-0715

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02/23/2021

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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

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02/23/2021

SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

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

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***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

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02/23/2021

SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

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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

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02/23/2021

SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

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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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2020 Form 1099-B*

OMB No. 1545-0715

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02/23/2021

SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

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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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02/23/2021

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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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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)

02/23/2021

SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

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

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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)

02/23/2021

SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

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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

SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

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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

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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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5NA77394

(continued)

02/23/2021

SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

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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
TENGLASCO 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

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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***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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APEX CLEARING

Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B*

OMB No. 1545-0715

5NA77394

(continued)

02/23/2021

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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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SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

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

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

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

Box 12: Basis Reported to the IRS

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1a - Description of property | CUSIP | Symbol

1c - Date Sold or Disposed	Quantity	1d - Proceeds	1b - Date Acquired	1e - Cost or Other Basis	1f - Accrued Market Discount (M) & 1g - Wash Sale Loss Disallowed (D)	Gain or Loss (-)	Additional Notes
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 FISHER 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

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APEX CLEARING

Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B*

OMB No. 1545-0715

5NA77394

(continued)

02/23/2021

SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

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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*

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5NA77394

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SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

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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
***RENESOLA 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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2020 Form 1099-B*

OMB No. 1545-0715

5NA77394

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02/23/2021

SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

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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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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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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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1c - Date Sold or Disposed	Quantity	1d - Proceeds	1b - Date Acquired	1e - Cost or Other Basis	1f - Accrued Market Discount (M) & 1g - Wash Sale Loss Disallowed (D)	Gain or Loss (-)	Additional Notes
FUELCELL ENERGY INC COMMON STOCK CUSIP: 35952H601 Symbol: FCEL							
11/18/2020	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)

02/23/2021

SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

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

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

Box 5: Box Not Checked (Covered Security)

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

Box 12: Basis Reported to the IRS

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1a - Description of property | CUSIP | Symbol

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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)

02/23/2021

SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

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

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

1c - Date Sold or Disposed	Quantity	1d - Proceeds	1b - Date Acquired	1e - Cost or Other Basis	1f - Accrued Market Discount (M) & 1g - Wash Sale Loss Disallowed (D)	Gain or Loss (-)	Additional Notes
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

Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B*

OMB No. 1545-0715

5NA77394

(continued)

02/23/2021

SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

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

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

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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

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

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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)

02/23/2021

SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

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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)

02/23/2021

SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

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

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1c - Date Sold or Disposed	Quantity	1d - Proceeds	1b - Date Acquired	1e - Cost or Other Basis	1f - Accrued Market Discount (M) & 1g - Wash Sale Loss Disallowed (D)	Gain or Loss (-)	Additional Notes
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

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(continued)

02/23/2021

SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

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

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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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APEX CLEARING

Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B*

OMB No. 1545-0715

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02/23/2021

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

Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B*

OMB No. 1545-0715

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02/23/2021

SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

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

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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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2020 Form 1099-B*

OMB No. 1545-0715

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02/23/2021

SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

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

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***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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5NA77394

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02/23/2021

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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

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SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

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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)

02/23/2021

SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

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

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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

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2020 Form 1099-B*

OMB No. 1545-0715

5NA77394

(continued)

02/23/2021

SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

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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

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2020 Form 1099-B*

OMB No. 1545-0715

5NA77394

(continued)

02/23/2021

SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

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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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***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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***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)

02/23/2021

SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

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

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

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

Box 12: Basis Reported to the IRS

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1a - Description of property | CUSIP | Symbol

1c - Date Sold or Disposed	Quantity	1d - Proceeds	1b - Date Acquired	1e - Cost or Other Basis	1f - Accrued Market Discount (M) & 1g - Wash Sale Loss Disallowed (D)	Gain or Loss (-)	Additional Notes
***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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APEX CLEARING

Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B*

OMB No. 1545-0715

5NA77394

(continued)

02/23/2021

SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

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

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

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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
US 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

SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

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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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SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

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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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Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B*

OMB No. 1545-0715

5NA77394

(continued)

02/23/2021

SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

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***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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5NA77394

(continued)

02/23/2021

SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

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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	

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

SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

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

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

Box 5: Box Not Checked (Covered Security)

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

Box 12: Basis Reported to the IRS

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

1a - Description of property | CUSIP | Symbol

1c - Date Sold or Disposed	Quantity	1d - Proceeds	1b - Date Acquired	1e - Cost or Other Basis	1f - Accrued Market Discount (M) & 1g - Wash Sale Loss Disallowed (D)	Gain or Loss (-)	Additional Notes
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

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APEX CLEARING

Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B*

OMB No. 1545-0715

5NA77394

(continued)

02/23/2021

SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

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

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

Box 5: Box Not Checked (Covered Security)

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

Box 12: Basis Reported to the IRS

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

1a - Description of property | CUSIP | Symbol

1c - Date Sold or Disposed	Quantity	1d - Proceeds	1b - Date Acquired	1e - Cost or Other Basis	1f - Accrued Market Discount (M) & 1g - Wash Sale Loss Disallowed (D)	Gain or Loss (-)	Additional Notes
CALL 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:		1,701,875.58		1,785,090.39		15,609.80	

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APEX CLEARING

Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B*

OMB No. 1545-0715

5NA77394

(continued)

02/23/2021

SHORT TERM TRANSACTIONS FOR NONCOVERED TAX LOTS

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

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

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	

APEX CLEARING

Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B*

OMB No. 1545-0715

5NA77394

(continued)

02/23/2021

LONG TERM TRANSACTIONS FOR COVERED TAX LOTS

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

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

Box 5: Box Not Checked (Covered Security)

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

Box 12: Basis Reported to the IRS

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

1a - Description of property | CUSIP | Symbol

1c - Date Sold or Disposed	Quantity	1d - Proceeds	1b - Date Acquired	1e - Cost or Other Basis	1f - Accrued Market Discount (M) & 1g - Wash Sale Loss Disallowed (D)	Gain or Loss (-)	Additional Notes
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

02/23/2021

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

Description CUSIP Symbol							
Date	Royalties (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

02/23/2021

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 89950-A.

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

Box 7. Shows the foreign tax that you may be able to claim as a deduction or a credit on Form 1040 or 1040-SR. See the Instructions for Forms 1040 or 1040-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 includable 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 includable in income on Form 1040 or 1040-SR with respect to the U.S. Treasury obligation. If an amount is not reported in this 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.

