

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

SIDDHARTHA REDDY DAGGULA  
4336 MONTGOMERY BEND  
IRVING, TX 75063-1264

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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<b>APEX CLEARING</b> ONE DALLAS CENTER 350 NORTH ST PAUL SUITE 1300 DALLAS, TX 75201 Customer Service: 214-765-1009  PAYER'S Federal ID No: 13-2967453  IN ACCOUNT WITH <b>WEBULL FINANCIAL LLC</b> <b>(917) 725-2448</b>	<b>Account 5MY35557</b>	<b>Form 1099 Composite</b>	<b>2020</b>
	SIDDHARTHA REDDY DAGGULA 4336 MONTGOMERY BEND IRVING, TX 75063-1264  RECIPIENT'S ID No: XXX-XX-5975	Statement Date: 02/28/2021 [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	
<b>4- Federal Income Tax Withheld</b>	<b>0.00</b>	
5- Section 199A Dividends	0.00	
6- Investment Expenses	0.00	
7- Foreign tax Paid	0.00	
8- Foreign country or US Possession		
9- Cash Liquidation Distributions	0.00	
10- Noncash Liquidation Distribution	0.00	
11- Exempt-Interest Dividends	0.00	
12- Specified Private Activity Bond Interest Dividends	0.00	

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

MISCELLANEOUS INCOME	2020 Form 1099-MISC*	OMB No. 1545-0115
2- Royalties	0.00	
3- Other Income	11.77	
<b>4- Federal Income Tax Withheld</b>	<b>0.00</b>	
8- Substitute Payments in Lieu of Dividends or Interest	0.00	

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

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 Dividends may be reclassified for tax purposes after the original Form 1099 is sent in certain cases where information from issuers is received late. This may require us to provide you an amended tax form.

APEX CLEARING

**Tax Summary**

2020

5MY35557

02/28/2021

**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	198,522.70	222,541.79	0.00	17,779.25	-6,239.84 C
Short term transactions for noncovered tax lots	0.00	0.00	0.00	0.00	0.00
<b>Total Short-term</b>	<b>198,522.70</b>	<b>222,541.79</b>	<b>0.00</b>	<b>17,779.25</b>	<b>-6,239.84</b>
Long-term transactions for covered tax lots	0.00	0.00	0.00	0.00	0.00
Long-term transactions for noncovered tax lots	0.00	0.00	0.00	0.00	0.00
<b>Total Long-term</b>	<b>0.00</b>	<b>0.00</b>	<b>0.00</b>	<b>0.00</b>	<b>0.00</b>
Undetermined transactions for noncovered tax lots	0.00	0.00	0.00	0.00	0.00
<b>Total Undetermined-term</b>	<b>0.00</b>	<b>0.00</b>	<b>0.00</b>	<b>0.00</b>	<b>0.00</b>

**ORIGINAL ISSUE DISCOUNT SUMMARY**

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

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

**FEDERAL TAX WITHHELD**

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

APEX CLEARING

## Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B\*

OMB No. 1545-0715

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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
CALL MSFT 09/04/20	250	MICROSOFT CORP   CUSIP:   Symbol: MSFT200904C00250000					
08/31/2020	4.00	111.62	Various	189.36	0.00	-77.74	Sell to Close
PUT SPY 11/04/20	330	STANDARD & POORS DEPOSITORY   CUSIP:   Symbol: SPY201104P00330000					
11/03/2020	1.00	195.90	11/03/2020	300.08	0.00	-104.18	Sell to Close
CALL SNAP 10/30/20	35	SNAP INC   CUSIP:   Symbol: SNAP201030C00035000					
10/21/2020	1.00	168.90	10/20/2020	36.08	0.00	132.82	Sell to Close C
CALL WKHS 10/30/20	35	WORKHORSE GROUP INC   CUSIP:   Symbol: WKHS201030C00035000					
10/14/2020	10.00	299.16	10/13/2020	500.81	0.00	-201.65	Sell to Close
CALL TSLA 10/02/20	410	TESLA INC	ADJ 5:1 STOCK SPLIT   CUSIP:   Symbol: TSLA201002C00410000				
09/25/2020	1.00	1,804.86	09/25/2020	1,800.09	0.00	4.77	Sell to Close

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APEX CLEARING

## Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B\*

OMB No. 1545-0715

5MY35557

(continued)

02/28/2021

**SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS**

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

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

1c - Date Sold or Disposed	Quantity	1d - Proceeds	1b - Date Acquired	1e - Cost or Other Basis	1f - Accrued Market Discount (M) & 1g - Wash Sale Loss Disallowed (D)	Gain or Loss (-)	Additional Notes
CALL NVDA 10/23/20	540	NVIDIA CORP   CUSIP:   Symbol: NVDA201023C00540000					
10/23/2020	1.00	185.90	10/23/2020	130.08	0.00	55.82	Sell to Close
CALL TSLA 10/23/20	540	TESLA INC   CUSIP:   Symbol: TSLA201023C00540000					
10/20/2020	3.00	323.74	Various	383.24	0.00	-59.50	Sell to Close
CALL FSLY 10/23/20	90	FASTLY INC CLASS A   CUSIP:   Symbol: FSLY201023C00090000					
10/19/2020	1.00	139.90	10/16/2020	285.08	0.00	-145.18	Sell to Close
CALL BYND 10/23/20	195	BEYOND MEAT INC   CUSIP:   Symbol: BYND201023C00195000					
10/19/2020	1.00	141.90	10/16/2020	254.08	0.00	-112.18	Sell to Close C
CALL TSLA 10/23/20	560	TESLA INC   CUSIP:   Symbol: TSLA201023C00560000					
10/19/2020	4.00	295.66	Various	631.32	0.00	-335.66	Sell to Close
CALL TSLA 09/11/20	550	TESLA INC   CUSIP:   Symbol: TSLA200911C00550000					
09/08/2020	1.00	42.89	09/08/2020	40.09	0.00	2.80	Sell to Close
CALL FB 09/04/20	290	FACEBOOK INC CL A   CUSIP:   Symbol: FB200904C00290000					
08/26/2020	1.00	864.88	08/26/2020	795.09	0.00	69.79	Sell to Close
CALL NFLX 09/25/20	475	NETFLIX INC   CUSIP:   Symbol: NFLX200925C00475000					
09/14/2020	1.00	1,519.86	09/14/2020	1,590.09	0.00	-70.23	Sell to Close
PUT FB 09/25/20	245	FACEBOOK INC CL A   CUSIP:   Symbol: FB200925P00245000					
09/22/2020	1.00	221.89	09/22/2020	226.09	0.00	-4.20	Sell to Close
CALL NVDA 10/02/20	550	NVIDIA CORP   CUSIP:   Symbol: NVDA201002C00550000					
10/01/2020	1.00	319.90	10/01/2020	320.08	0.00	-0.18	Sell to Close
CALL TSLA 09/18/20	570	TESLA INC ADJ 5:1 STOCK SPLIT   CUSIP:   Symbol: TSLA200918C00570000					
09/03/2020	1.00	904.87	09/03/2020	865.09	0.00	39.78	Sell to Close
CALL DIS 09/25/20	132	WALT DISNEY CO   CUSIP:   Symbol: DIS200925C00132000					
09/15/2020	1.00	273.89	09/14/2020	244.09	0.00	29.80	Sell to Close
PUT SNAP 10/30/20	42.50	SNAP INC   CUSIP:   Symbol: SNAP201030P00042500					
10/23/2020	4.00	751.65	10/23/2020	720.32	0.00	31.33	Sell to Close C
10/26/2020	1.00	136.90	10/23/2020	180.08	0.00	-43.18	Sell to Close C
<b>Security Totals:</b>		<b>888.55</b>		<b>900.40</b>		<b>-11.85</b>	
CALL HD 09/18/20	280	HOME DEPOT INC   CUSIP:   Symbol: HD200918C00280000					
09/09/2020	1.00	338.89	09/09/2020	267.09	0.00	71.80	Sell to Close

APEX CLEARING

## Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B\*

OMB No. 1545-0715

5MY35557

(continued)

02/28/2021

**SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS**

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

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

1c - Date Sold or Disposed	Quantity	1d - Proceeds	1b - Date Acquired	1e - Cost or Other Basis	1f - Accrued Market Discount (M) & 1g - Wash Sale Loss Disallowed (D)	Gain or Loss (-)	Additional Notes
PUT C 09/18/20	48.50	CITIGROUP INC   CUSIP:   Symbol: C200918P00048500					
09/14/2020	1.00	101.89	09/14/2020	81.09	0.00	20.80	Sell to Close
CALL ROKU 10/09/20	230	ROKU INC   CUSIP:   Symbol: ROKU201009C00230000					
10/08/2020	1.00	96.90	10/08/2020	215.26	0.00	-118.36	Sell to Close
10/08/2020	1.00	271.90	10/08/2020	390.08	118.18 D	0.00	Sell to Close
<b>Security Totals:</b>		<b>368.80</b>		<b>605.34</b>		<b>-118.36</b>	
CALL FB 10/30/20	305	FACEBOOK INC CL A   CUSIP:   Symbol: FB201030C00305000					
10/26/2020	1.00	213.90	10/26/2020	222.08	0.00	-8.18	Sell to Close
CALL SPOT 10/02/20	250	SPOTIFY TECHNOLOGY S A   CUSIP:   Symbol: SPOT201002C00250000					
09/28/2020	1.00	329.90	09/25/2020	210.09	0.00	119.81	Sell to Close
CALL TSLA 10/16/20	435	TESLA INC ADJ 5:1 STOCK SPLIT   CUSIP:   Symbol: TSLA201016C00435000					
10/09/2020	2.00	2,179.78	Various	2,525.16	0.00	-345.38	Sell to Close
CALL HD 10/16/20	295	HOME DEPOT INC   CUSIP:   Symbol: HD201016C00295000					
10/14/2020	30.00	597.50	Various	912.43	0.00	-314.93	Sell to Close
CALL CVNA 10/23/20	195	CARVANA COMPANY   CUSIP:   Symbol: CVNA201023C00195000					
10/22/2020	1.00	599.89	10/22/2020	217.08	0.00	382.81	Sell to Close C
CALL FB 10/09/20	275	FACEBOOK INC CL A   CUSIP:   Symbol: FB201009C00275000					
10/01/2020	1.00	264.90	10/01/2020	265.08	0.18 D	0.00	Sell to Close
10/05/2020	2.00	159.82	Various	370.34	159.35 D	-51.17	Sell to Close
10/05/2020	1.00	80.90	10/02/2020	273.43	0.00	-192.53	Sell to Close
<b>Security Totals:</b>		<b>505.62</b>		<b>908.85</b>		<b>-243.70</b>	
CALL NIO 12/11/20	70	NIO INC ADS   CUSIP:   Symbol: NIO201211C00070000					
12/01/2020	3.00	161.74	11/30/2020	156.24	0.00	5.50	Sell to Close
PUT NVDA 10/02/20	500	NVIDIA CORP   CUSIP:   Symbol: NVDA201002P00500000					
09/22/2020	1.00	1,894.85	09/22/2020	1,921.09	0.00	-26.24	Sell to Close
PUT SPY 11/04/20	345	STANDARD & POORS DEPOSITORY   CUSIP:   Symbol: SPY201104P00345000					
11/04/2020	1.00	119.90	11/04/2020	135.08	0.00	-15.18	Sell to Close
CALL NVDA 10/30/20	570	NVIDIA CORP   CUSIP:   Symbol: NVDA201030C00570000					
10/23/2020	1.00	222.90	10/23/2020	218.08	0.00	4.82	Sell to Close
CALL WKHS 10/16/20	30	WORKHORSE GROUP INC   CUSIP:   Symbol: WKHS201016C00030000					
10/12/2020	1.00	159.90	10/12/2020	160.08	0.00	-0.18	Sell to Close

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APEX CLEARING

## Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B\*

OMB No. 1545-0715

5MY35557

(continued)

02/28/2021

**SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS**

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

**Box 2:** Type of Gain or Loss - Short-Term (unless indicated as Ordinary in Additional Notes Column)**Box 5:** Box Not Checked (Covered Security)**Box 6:** Gross (unless indicated as Net in Additional Notes Column)**Box 12:** Basis Reported to the IRS**The 1099-B data referenced by a Box Number is reported to the IRS. The additional information not referenced 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
10/12/2020	1.00	159.90	10/12/2020	160.08	0.00	-0.18	Sell to Close
<b>Security Totals:</b>		<b>319.80</b>		<b>320.16</b>		<b>-0.36</b>	
PUT SPY 10/30/20 328			STANDARD & POORS DEPOSITORY   CUSIP:   Symbol: SPY201030P00328000				
10/29/2020	1.00	310.90	10/29/2020	292.08	0.00	18.82	Sell to Close
PUT TSLA 09/18/20 300			TESLA INC ADJ 5:1 STOCK SPLIT   CUSIP:   Symbol: TSLA200918P003000000				
09/11/2020	1.00	282.89	09/11/2020	288.09	0.00	-5.20	Sell to Close
CALL TSLA 10/23/20 450			TESLA INC   CUSIP:   Symbol: TSLA201023C00450000				
10/08/2020	1.00	2,074.86	10/08/2020	1,960.08	0.00	114.78	Sell to Close
CALL TSLA 09/11/20 425			TESLA INC ADJ 5:1 STOCK SPLIT   CUSIP:   Symbol: TSLA200911C00425000				
09/08/2020	1.00	339.89	09/08/2020	345.09	0.00	-5.20	Sell to Close
CALL FB 10/30/20 300			FACEBOOK INC CL A   CUSIP:   Symbol: FB201030C003000000				
10/27/2020	1.00	249.90	10/26/2020	375.08	125.18 D	0.00	Sell to Close
10/28/2020	10.00	1,199.14	Various	1,068.17	101.53 D	232.50	Sell to Close
10/28/2020	1.00	87.90	10/28/2020	215.26	127.36 D	0.00	Sell to Close
10/29/2020	1.00	173.90	10/28/2020	185.61	0.00	-11.71	Sell to Close
<b>Security Totals:</b>		<b>1,710.84</b>		<b>1,844.12</b>		<b>220.79</b>	
CALL RKT 12/18/20 25			ROCKET COMPANIES INC CL A   CUSIP:   Symbol: RKT201218C00025000				
11/30/2020	1.00	25.90	11/27/2020	26.08	0.00	-0.18	Sell to Close
CALL ELF 11/20/20 25			E L F BEAUTY INC   CUSIP:   Symbol: ELF201120C00025000				
10/20/2020	5.00	174.58	10/19/2020	200.40	0.00	-25.82	Sell to Close
PUT TSLA 09/11/20 330			TESLA INC ADJ 5:1 STOCK SPLIT   CUSIP:   Symbol: TSLA200911P003300000				
09/08/2020	1.00	1,519.86	09/08/2020	1,860.09	0.00	-340.23	Sell to Close
CALL AAPL 08/21/20 460			APPLE INC   CUSIP:   Symbol: AAPL200821C00460000				
08/14/2020	1.00	619.88	08/14/2020	615.09	0.00	4.79	Sell to Close
CALL TSM 10/16/20 84			TAIWAN SEMICONDUCTOR MFG CO   CUSIP:   Symbol: TSM201016C00084000				
10/05/2020	1.00	193.90	10/02/2020	194.08	0.00	-0.18	Sell to Close
CALL SQ 09/18/20 155			SQUARE INC   CUSIP:   Symbol: SQ200918C00155000				
09/15/2020	1.00	239.89	09/15/2020	228.09	0.00	11.80	Sell to Close
CALL NVDA 09/18/20 510			NVIDIA CORP   CUSIP:   Symbol: NVDA200918C00510000				
09/11/2020	1.00	1,189.87	09/11/2020	1,355.09	0.00	-165.22	Sell to Close

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APEX CLEARING

## Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B\*

OMB No. 1545-0715

5MY35557

(continued)

02/28/2021

**SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS**

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

**Box 2:** Type of Gain or Loss - Short-Term (unless indicated as Ordinary in Additional Notes Column)**Box 5:** Box Not Checked (Covered Security)**Box 6:** Gross (unless indicated as Net in Additional Notes Column)**Box 12:** Basis Reported to the IRS**The 1099-B data referenced by a Box Number is reported to the IRS. The additional information not referenced 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 BABA 10/09/20	295	ALIBABA GROUP HOLDING LIMITED   CUSIP:   Symbol: BABA201009C00295000					
10/07/2020	1.00	564.89	10/06/2020	300.08	0.00	264.81	Sell to Close
10/07/2020	1.00	544.89	10/06/2020	400.08	0.00	144.81	Sell to Close
<b>Security Totals:</b>		<b>1,109.78</b>		<b>700.16</b>		<b>409.62</b>	
CALL NIO 11/06/20	36	NIO INC ADS   CUSIP:   Symbol: NIO201106C00036000					
11/03/2020	10.00	1,279.14	11/03/2020	1,340.81	0.00	-61.67	Sell to Close
CALL QCOM 10/30/20	130	QUALCOMM INC   CUSIP:   Symbol: QCOM201030C00130000					
10/23/2020	1.00	170.90	10/22/2020	169.08	0.00	1.82	Sell to Close
CALL ROKU 09/04/20	157.50	ROKU INC   CUSIP:   Symbol: ROKU200904C00157500					
08/26/2020	1.00	799.88	08/26/2020	560.09	0.00	239.79	Sell to Close
CALL SPY 11/30/20	360	STANDARD & POORS DEPOSITORY   CUSIP:   Symbol: SPY201130C00360000					
11/23/2020	1.00	145.90	11/19/2020	281.08	0.00	-135.18	Sell to Close
PUT ROKU 10/23/20	227.50	ROKU INC   CUSIP:   Symbol: ROKU201023P00227500					
10/22/2020	1.00	424.90	10/22/2020	360.08	0.00	64.82	Sell to Close C
CALL SPY 10/30/20	330	STANDARD & POORS DEPOSITORY   CUSIP:   Symbol: SPY201030C00330000					
10/28/2020	1.00	293.90	10/28/2020	283.08	0.00	10.82	Sell to Close
10/28/2020	1.00	349.90	10/28/2020	328.08	0.00	21.82	Sell to Close
<b>Security Totals:</b>		<b>643.80</b>		<b>611.16</b>		<b>32.64</b>	
CALL TSLA 10/09/20	500	TESLA INC ADJ 5:1 STOCK SPLIT   CUSIP:   Symbol: TSLA201009C00500000					
09/14/2020	1.00	1,949.85	09/11/2020	1,300.09	0.00	649.76	Sell to Close
CALL ZM 08/21/20	282.50	ZOOM VIDEO COMMUNICATIONS INC   CUSIP:   Symbol: ZM200821C00282500					
08/19/2020	1.00	189.89	08/19/2020	320.09	0.00	-130.20	Sell to Close
PUT EEM 11/27/20	49	ISHARES MSCI EMRNG MRKTS ETF   CUSIP:   Symbol: EEM201127P00049000					
11/24/2020	1.00	8.90	11/24/2020	10.08	0.00	-1.18	Sell to Close
CALL BIDU 10/30/20	132	BAIDU INC   CUSIP:   Symbol: BIDU201030C00132000					
10/14/2020	1.00	359.90	10/14/2020	290.08	0.00	69.82	Sell to Close
CALL BYND 09/18/20	146	BEYOND MEAT INC   CUSIP:   Symbol: BYND200918C00146000					
09/14/2020	1.00	399.89	09/14/2020	439.09	0.00	-39.20	Sell to Close
CALL BABA 08/28/20	285	ALIBABA GROUP HOLDING LIMITED   CUSIP:   Symbol: BABA200828C00285000					
08/25/2020	1.00	399.89	08/25/2020	435.09	0.00	-35.20	Sell to Close

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APEX CLEARING

## Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B\*

OMB No. 1545-0715

5MY35557

(continued)

02/28/2021

**SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS**

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

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CALL LULU 09/25/20	310	LULULEMON ATHLETICA INC   CUSIP:   Symbol: LULU200925C00310000					
09/22/2020	1.00	165.89	09/22/2020	236.09	0.00	-70.20	Sell to Close
CALL BA 08/21/20	180	BOEING CO   CUSIP:   Symbol: BA200821C00180000					
08/17/2020	1.00	153.89	08/17/2020	176.09	22.2 D	0.00	Sell to Close
08/18/2020	1.00	72.89	08/17/2020	167.29	94.4 D	0.00	Sell to Close
08/18/2020	1.00	72.89	08/18/2020	182.49	0.00	-109.60	Sell to Close
<b>Security Totals:</b>		<b>299.67</b>		<b>525.87</b>		<b>-109.60</b>	
CALL NFLX 10/09/20	550	NETFLIX INC   CUSIP:   Symbol: NFLX201009C00550000					
10/05/2020	1.00	185.90	10/02/2020	280.08	94.18 D	0.00	Sell to Close
10/05/2020	1.00	189.90	10/05/2020	185.26	0.00	4.64	Sell to Close
<b>Security Totals:</b>		<b>375.80</b>		<b>465.34</b>		<b>4.64</b>	
CALL NVDA 09/18/20	500	NVIDIA CORP   CUSIP:   Symbol: NVDA200918C00500000					
09/09/2020	1.00	1,769.86	09/09/2020	1,735.09	0.00	34.77	Sell to Close
CALL NVDA 10/30/20	550	NVIDIA CORP   CUSIP:   Symbol: NVDA201030C00550000					
10/27/2020	4.00	1,319.64	Various	924.32	0.00	395.32	Sell to Close
CALL RVLV 11/13/20	22.50	REVOLVE GROUP INC CL A   CUSIP:   Symbol: RVLV201113C00022500					
11/11/2020	1.00	174.90	11/11/2020	165.08	0.00	9.82	Sell to Close
11/12/2020	1.00	4.90	11/11/2020	180.08	0.00	-175.18	Sell to Close
<b>Security Totals:</b>		<b>179.80</b>		<b>345.16</b>		<b>-165.36</b>	
CALL QQQ 08/14/20	271	INVESCO QQQ TRUST SERIES 1   CUSIP:   Symbol: QQQ200814C00271000					
08/11/2020	1.00	149.89	08/10/2020	258.09	0.00	-108.20	Sell to Close
CALL QQQ 08/14/20	270	INVESCO QQQ TRUST SERIES 1   CUSIP:   Symbol: QQQ200814C00270000					
08/11/2020	1.00	246.89	08/11/2020	252.09	0.00	-5.20	Sell to Close
CALL GME 10/16/20	18	GAMESTOP CORP   CUSIP:   Symbol: GME201016C00018000					
10/09/2020	20.00	1,298.32	10/08/2020	561.61	0.00	736.71	Sell to Close C
CALL TSLA 09/11/20	430	TESLA INC ADJ 5:1 STOCK SPLIT   CUSIP:   Symbol: TSLA200911C00430000					
09/04/2020	1.00	2,179.85	09/04/2020	2,799.09	0.00	-619.24	Sell to Close
CALL NVDA 09/18/20	520	NVIDIA CORP   CUSIP:   Symbol: NVDA200918C00520000					
09/11/2020	1.00	929.87	09/11/2020	1,040.09	0.00	-110.22	Sell to Close

APEX CLEARING

## Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B\*

OMB No. 1545-0715

5MY35557

(continued)

02/28/2021

**SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS**

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

**Box 2:** Type of Gain or Loss - Short-Term (unless indicated as Ordinary in Additional Notes Column)**Box 5:** Box Not Checked (Covered Security)**Box 6:** Gross (unless indicated as Net in Additional Notes Column)**Box 12:** Basis Reported to the IRS**The 1099-B data referenced by a Box Number is reported to the IRS. The additional information not referenced 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 ZM 09/18/20 410			ZOOM VIDEO COMMUNICATIONS INC   CUSIP:   Symbol: ZM200918C00410000				
09/10/2020	1.00	1,579.86	09/10/2020	1,610.09	0.00	-30.23	Sell to Close
CALL PYPL 10/02/20 200			PAYPAL HOLDINGS INC   CUSIP:   Symbol: PYPL201002C00200000				
10/01/2020	1.00	96.90	10/01/2020	147.08	0.00	-50.18	Sell to Close
CALL TSLA 09/11/20 428			TESLA INC ADJ 5:1 STOCK SPLIT   CUSIP:   Symbol: TSLA200911C00428000				
09/04/2020	1.00	2,604.84	09/04/2020	2,410.09	0.00	194.75	Sell to Close
PUT ROKU 08/21/20 150			ROKU INC   CUSIP:   Symbol: ROKU200821P00150000				
08/20/2020	1.00	222.89	08/20/2020	160.09	0.00	62.80	Sell to Close
CALL ADBE 10/23/20 500			ADOBE INC   CUSIP:   Symbol: ADBE201023C00500000				
10/22/2020	2.00	49.82	10/22/2020	80.16	0.00	-30.34	Sell to Close
CALL AAPL 09/04/20 505			APPLE INC   CUSIP:   Symbol: AAPL200904C00505000				
08/27/2020	1.00	1,544.86	08/27/2020	1,455.09	0.00	89.77	Sell to Close
CALL ZM 08/28/20 310			ZOOM VIDEO COMMUNICATIONS INC   CUSIP:   Symbol: ZM200828C00310000				
08/27/2020	1.00	129.89	08/26/2020	190.09	0.00	-60.20	Sell to Close
CALL TSLA 09/18/20 440			TESLA INC ADJ 5:1 STOCK SPLIT   CUSIP:   Symbol: TSLA200918C00440000				
09/08/2020	1.00	720.88	09/08/2020	760.09	0.00	-39.21	Sell to Close
PUT TSLA 11/20/20 380			TESLA INC ADJ 5:1 STOCK SPLIT   CUSIP:   Symbol: TSLA201120P00380000				
11/12/2020	1.00	287.90	11/12/2020	295.08	0.00	-7.18	Sell to Close
CALL TSLA 09/11/20 600			TESLA INC ADJ 5:1 STOCK SPLIT   CUSIP:   Symbol: TSLA200911C00600000				
09/03/2020	1.00	205.89	09/03/2020	221.09	0.00	-15.20	Sell to Close
CALL NVDA 11/20/20 540			NVIDIA CORP   CUSIP:   Symbol: NVDA201120C00540000				
11/19/2020	1.00	329.90	11/19/2020	320.08	0.00	9.82	Sell to Close
CALL ZM 10/09/20 500			ZOOM VIDEO COMMUNICATIONS INC   CUSIP:   Symbol: ZM201009C00500000				
10/01/2020	1.00	909.88	10/01/2020	990.08	80.2 D	0.00	Sell to Close
10/01/2020	1.00	889.89	10/01/2020	890.28	0.00	-0.39	Sell to Close
<b>Security Totals:</b>		<b>1,799.77</b>		<b>1,880.36</b>		<b>-0.39</b>	
CALL FB 11/06/20 280			FACEBOOK INC CL A   CUSIP:   Symbol: FB201106C00280000				
10/28/2020	1.00	934.88	10/28/2020	890.08	0.00	44.80	Sell to Close
CALL KO 10/30/20 51			COCA COLA CO   CUSIP:   Symbol: KO201030C00051000				
10/13/2020	1.00	91.90	10/12/2020	118.08	0.00	-26.18	Sell to Close

APEX CLEARING

## Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B\*

OMB No. 1545-0715

5MY35557

(continued)

02/28/2021

**SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS**

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CALL NFLX 11/06/20	550	NETFLIX INC   CUSIP:   Symbol: NFLX201106C00550000					
10/30/2020	1.00	229.90	10/30/2020	276.08	0.00	-46.18	Sell to Close
CALL UNH 10/16/20	335	UNITEDHEALTH GROUP INC   CUSIP:   Symbol: UNH201016C00335000					
10/14/2020	6.00	113.50	10/14/2020	180.49	0.00	-66.99	Sell to Close C
10/14/2020	4.00	71.66	10/14/2020	120.32	0.00	-48.66	Sell to Close C
<b>Security Totals:</b>		<b>185.16</b>		<b>300.81</b>		<b>-115.65</b>	
CALL TSLA 10/09/20	450	TESLA INC ADJ 5:1 STOCK SPLIT   CUSIP:   Symbol: TSLA201009C00450000					
09/23/2020	1.00	1,224.87	09/23/2020	3,599.31	2374.44 D	0.00	Sell to Close
09/23/2020	1.00	1,285.87	09/22/2020	3,540.09	2254.22 D	0.00	Sell to Close
09/24/2020	1.00	791.88	09/23/2020	4,083.74	0.00	-3,291.86	Sell to Close
09/24/2020	1.00	750.88	09/23/2020	3,674.53	2923.65 D	0.00	Sell to Close
<b>Security Totals:</b>		<b>4,053.50</b>		<b>14,897.67</b>		<b>-3,291.86</b>	
CALL NFLX 10/02/20	500	NETFLIX INC   CUSIP:   Symbol: NFLX201002C00500000					
09/28/2020	1.00	274.90	09/28/2020	275.08	0.00	-0.18	Sell to Close
PUT FB 10/16/20	265	FACEBOOK INC CL A   CUSIP:   Symbol: FB201016P00265000					
10/15/2020	1.00	225.90	10/15/2020	174.08	0.00	51.82	Sell to Close
CALL TSLA 09/11/20	420	TESLA INC ADJ 5:1 STOCK SPLIT   CUSIP:   Symbol: TSLA200911C00420000					
09/10/2020	1.00	63.89	09/10/2020	86.09	0.00	-22.20	Sell to Close
PUT FB 09/11/20	280	FACEBOOK INC CL A   CUSIP:   Symbol: FB200911P00280000					
09/04/2020	1.00	994.87	09/04/2020	618.09	0.00	376.78	Sell to Close
CALL PYPL 10/30/20	215	PAYPAL HOLDINGS INC   CUSIP:   Symbol: PYPL201030C00215000					
10/23/2020	1.00	117.90	10/22/2020	190.08	0.00	-72.18	Sell to Close
CALL OXY 11/20/20	10	OCCIDENTAL PETROLEUM CORP   CUSIP:   Symbol: OXY201120C00010000					
10/27/2020	4.00	223.66	10/26/2020	224.32	0.00	-0.66	Sell to Close
CALL MSFT 08/28/20	222.50	MICROSOFT CORP   CUSIP:   Symbol: MSFT200828C00222500					
08/27/2020	1.00	859.88	08/26/2020	136.09	0.00	723.79	Sell to Close
CALL NFLX 10/23/20	490	NETFLIX INC   CUSIP:   Symbol: NFLX201023C00490000					
10/22/2020	1.00	177.90	10/22/2020	215.08	0.00	-37.18	Sell to Close
CALL BYND 09/18/20	145	BEYOND MEAT INC   CUSIP:   Symbol: BYND200918C00145000					
09/10/2020	1.00	704.88	09/10/2020	575.09	0.00	129.79	Sell to Close

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APEX CLEARING

## Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B\*

OMB No. 1545-0715

5MY35557

(continued)

02/28/2021

**SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS**

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

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CALL ZM 10/23/20	570	ZOOM VIDEO COMMUNICATIONS INC   CUSIP:   Symbol: ZM201023C00570000					
10/21/2020	2.00	429.82	Various	605.16	0.00	-175.34	Sell to Close
CALL KR 10/30/20	35.50	KROGER CO   CUSIP:   Symbol: KR201030C00035500					
10/12/2020	10.00	539.15	10/12/2020	480.81	0.00	58.34	Sell to Close
PUT PYPL 11/06/20	170	PAYPAL HOLDINGS INC   CUSIP:   Symbol: PYPL201106P00170000					
11/03/2020	1.00	119.90	11/02/2020	200.08	0.00	-80.18	Sell to Close
PUT SPY 11/02/20	320	STANDARD & POORS DEPOSITORY   CUSIP:   Symbol: SPY201102P00320000					
10/30/2020	10.00	1,035.14	10/29/2020	770.81	0.00	264.33	Sell to Close
CALL ZM 10/23/20	600	ZOOM VIDEO COMMUNICATIONS INC   CUSIP:   Symbol: ZM201023C00600000					
10/19/2020	1.00	759.89	10/19/2020	560.08	0.00	199.81	Sell to Close
CALL BABA 10/30/20	320	ALIBABA GROUP HOLDING LIMITED   CUSIP:   Symbol: BABA201030C00320000					
10/27/2020	1.00	89.90	10/26/2020	120.08	0.00	-30.18	Sell to Close
CALL DOCU 10/09/20	230	DOCUSIGN INC   CUSIP:   Symbol: DOCU201009C00230000					
10/06/2020	1.00	414.90	10/05/2020	350.08	0.00	64.82	Sell to Close
CALL BABA 10/02/20	275	ALIBABA GROUP HOLDING LIMITED   CUSIP:   Symbol: BABA201002C00275000					
09/25/2020	1.00	264.89	09/25/2020	270.09	0.00	-5.20	Sell to Close
CALL PYPL 10/30/20	200	PAYPAL HOLDINGS INC   CUSIP:   Symbol: PYPL201030C00200000					
10/28/2020	1.00	73.90	10/28/2020	90.08	0.00	-16.18	Sell to Close
CALL DIS 10/23/20	131	WALT DISNEY CO   CUSIP:   Symbol: DIS201023C00131000					
10/13/2020	1.00	225.90	10/13/2020	160.08	0.00	65.82	Sell to Close
CALL DE 08/21/20	200	DEERE & CO   CUSIP:   Symbol: DE200821C00200000					
08/18/2020	1.00	197.89	08/17/2020	172.09	0.00	25.80	Sell to Close
CALL BYND 09/11/20	138	BEYOND MEAT INC   CUSIP:   Symbol: BYND200911C00138000					
09/03/2020	1.00	549.88	09/03/2020	405.09	0.00	144.79	Sell to Close
CALL BBY 01/15/21	125	BEST BUY CO INC   CUSIP:   Symbol: BBY210115C00125000					
11/30/2020	1.00	119.90	11/27/2020	194.08	0.00	-74.18	Sell to Close
PUT NVDA 10/30/20	500	NVIDIA CORP   CUSIP:   Symbol: NVDA201030P00500000					
10/29/2020	1.00	71.90	10/29/2020	325.08	253.18 D	0.00	Sell to Close
10/29/2020	2.00	143.82	Various	838.34	694.52 D	0.00	Sell to Close
10/29/2020	9.00	575.24	Various	1,973.24	0.00	-1,398.00	Sell to Close
<b>Security Totals:</b>		<b>790.96</b>		<b>3,136.66</b>		<b>-1,398.00</b>	

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APEX CLEARING

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2020 Form 1099-B\*

OMB No. 1545-0715

5MY35557

(continued)

02/28/2021

**SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS**

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

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CALL BYND 09/11/20	132	BEYOND MEAT INC   CUSIP:   Symbol: BYND200911C00132000					
09/08/2020	1.00	368.89	09/08/2020	425.09	0.00	-56.20	Sell to Close
CALL AAPL 09/04/20	130	APPLE INC ADJ 4:1 STOCK SPLIT   CUSIP:   Symbol: AAPL200904C00130000					
08/31/2020	1.00	235.89	08/31/2020	250.09	0.00	-14.20	Sell to Close
CALL ZM 10/02/20	490	ZOOM VIDEO COMMUNICATIONS INC   CUSIP:   Symbol: ZM201002C00490000					
09/25/2020	1.00	1,959.85	09/25/2020	1,570.09	0.00	389.76	Sell to Close
09/30/2020	1.00	509.89	09/30/2020	610.08	0.00	-100.19	Sell to Close
<b>Security Totals:</b>		<b>2,469.74</b>		<b>2,180.17</b>		<b>289.57</b>	
PUT QQQ 10/02/20	278	INVESCO QQQ TRUST SERIES 1   CUSIP:   Symbol: QQQ201002P00278000					
09/30/2020	1.00	148.90	09/30/2020	174.08	0.00	-25.18	Sell to Close
CALL TSLA 09/11/20	480	TESLA INC ADJ 5:1 STOCK SPLIT   CUSIP:   Symbol: TSLA200911C00480000					
08/31/2020	1.00	2,804.83	08/31/2020	2,560.09	0.00	244.74	Sell to Close
CALL AAPL 10/23/20	121	APPLE INC   CUSIP:   Symbol: AAPL201023C00121000					
10/19/2020	1.00	127.90	10/19/2020	180.08	0.00	-52.18	Sell to Close
CALL TSLA 08/21/20	2110	TESLA INC   CUSIP:   Symbol: TSLA200821C02110000					
08/21/2020	1.00	364.89	08/21/2020	845.09	0.00	-480.20	Sell to Close
CALL DOCU 08/28/20	210	DOCUSIGN INC   CUSIP:   Symbol: DOCU200828C00210000					
08/25/2020	1.00	181.89	08/25/2020	201.09	0.00	-19.20	Sell to Close
CALL SBUX 10/16/20	88	STARBUCKS CORPORATION   CUSIP:   Symbol: SBUX201016C00088000					
09/28/2020	1.00	136.90	09/28/2020	129.08	0.00	7.82	Sell to Close
CALL MSFT 11/27/20	215	MICROSOFT CORP   CUSIP:   Symbol: MSFT201127C00215000					
11/18/2020	1.00	227.90	11/18/2020	218.08	0.00	9.82	Sell to Close
CALL AAPL 08/28/20	505	APPLE INC   CUSIP:   Symbol: AAPL200828C00505000					
08/27/2020	1.00	459.88	08/27/2020	460.09	0.00	-0.21	Sell to Close
CALL ROKU 10/16/20	210	ROKU INC   CUSIP:   Symbol: ROKU201016C00210000					
10/06/2020	1.00	704.89	10/06/2020	660.08	0.00	44.81	Sell to Close
CALL TSLA 10/02/20	600	TESLA INC ADJ 5:1 STOCK SPLIT   CUSIP:   Symbol: TSLA201002C00600000					
09/02/2020	1.00	3,319.82	09/01/2020	3,225.09	0.00	94.73	Sell to Close
09/02/2020	1.00	2,519.84	09/02/2020	3,325.09	0.00	-805.25	Sell to Close
<b>Security Totals:</b>		<b>5,839.66</b>		<b>6,550.18</b>		<b>-710.52</b>	

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APEX CLEARING

## Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B\*

OMB No. 1545-0715

5MY35557

(continued)

02/28/2021

**SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS**

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

**Box 2:** Type of Gain or Loss - Short-Term (unless indicated as Ordinary in Additional Notes Column)**Box 5:** Box Not Checked (Covered Security)**Box 6:** Gross (unless indicated as Net in Additional Notes Column)**Box 12:** Basis Reported to the IRS**The 1099-B data referenced by a Box Number is reported to the IRS. The additional information not referenced 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 FSLY 11/06/20	80	FASTLY INC CLASS A   CUSIP:   Symbol: FSLY201106C00080000					
10/28/2020	1.00	329.90	10/28/2020	320.08	0.00	9.82	Sell to Close
CALL BA 09/11/20	180	BOEING CO   CUSIP:   Symbol: BA200911C00180000					
09/03/2020	1.00	549.88	09/03/2020	525.09	0.00	24.79	Sell to Close
CALL NFLX 10/16/20	600	NETFLIX INC   CUSIP:   Symbol: NFLX201016C00600000					
10/14/2020	2.00	81.82	10/14/2020	84.16	0.00	-2.34	Sell to Close
PUT AAPL 11/06/20	110	APPLE INC   CUSIP:   Symbol: AAPL201106P00110000					
11/02/2020	1.00	315.90	11/02/2020	275.08	0.00	40.82	Sell to Close
CALL FB 10/23/20	277.50	FACEBOOK INC CL A   CUSIP:   Symbol: FB201023C00277500					
10/22/2020	1.00	239.90	10/22/2020	250.08	10.18 D	0.00	Sell to Close
10/22/2020	1.00	249.90	10/22/2020	236.26	0.00	13.64	Sell to Close
<b>Security Totals:</b>		<b>489.80</b>		<b>486.34</b>		<b>13.64</b>	
CALL NVDA 10/16/20	600	NVIDIA CORP   CUSIP:   Symbol: NVDA201016C00600000					
10/07/2020	1.00	409.90	10/06/2020	330.08	0.00	79.82	Sell to Close
CALL MS 10/16/20	51	MORGAN STANLEY   CUSIP:   Symbol: MS201016C00051000					
10/13/2020	1.00	99.90	10/12/2020	104.08	0.00	-4.18	Sell to Close C
CALL FB 10/23/20	280	FACEBOOK INC CL A   CUSIP:   Symbol: FB201023C00280000					
10/16/2020	1.00	190.90	10/16/2020	184.08	0.00	6.82	Sell to Close
PUT FB 10/23/20	280	FACEBOOK INC CL A   CUSIP:   Symbol: FB201023P00280000					
10/21/2020	1.00	424.90	10/21/2020	285.08	0.00	139.82	Sell to Close
CALL BABA 11/13/20	300	ALIBABA GROUP HOLDING LIMITED   CUSIP:   Symbol: BABA201113C00300000					
11/06/2020	1.00	469.89	11/05/2020	291.08	0.00	178.81	Sell to Close
CALL MSFT 09/04/20	220	MICROSOFT CORP   CUSIP:   Symbol: MSFT200904C00220000					
08/26/2020	1.00	409.89	08/26/2020	350.09	0.00	59.80	Sell to Close
CALL BABA 10/16/20	300	ALIBABA GROUP HOLDING LIMITED   CUSIP:   Symbol: BABA201016C00300000					
10/02/2020	1.00	499.89	10/01/2020	480.08	0.00	19.81	Sell to Close
CALL SQ 10/09/20	175	SQUARE INC   CUSIP:   Symbol: SQ201009C00175000					
10/05/2020	1.00	634.89	10/02/2020	375.08	0.00	259.81	Sell to Close
CALL TSLA 09/11/20	400	TESLA INC ADJ 5:1 STOCK SPLIT   CUSIP:   Symbol: TSLA200911C00400000					
09/08/2020	1.00	629.88	09/08/2020	650.09	0.00	-20.21	Sell to Close

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APEX CLEARING

## Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B\*

OMB No. 1545-0715

5MY35557

(continued)

02/28/2021

**SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS**

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

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

<b>1c - Date Sold or Disposed</b>	<b>Quantity</b>	<b>1d - Proceeds</b>	<b>1b - Date Acquired</b>	<b>1e - Cost or Other Basis</b>	<b>1f - Accrued Market Discount (M) &amp; 1g - Wash Sale Loss Disallowed (D)</b>	<b>Gain or Loss (-)</b>	<b>Additional Notes</b>
CALL ZM 10/09/20	540	ZOOM VIDEO COMMUNICATIONS INC   CUSIP:   Symbol: ZM201009C00540000					
09/30/2020	1.00	539.89	09/28/2020	780.08	0.00	-240.19	Sell to Close
CALL ROKU 10/02/20	190	ROKU INC   CUSIP:   Symbol: ROKU201002C00190000					
09/28/2020	1.00	454.89	09/25/2020	335.09	0.00	119.80	Sell to Close
CALL BYND 09/11/20	150	BEYOND MEAT INC   CUSIP:   Symbol: BYND200911C00150000					
09/10/2020	1.00	153.89	09/10/2020	208.09	0.00	-54.20	Sell to Close
PUT SPY 10/21/20	345	STANDARD & POORS DEPOSITORY   CUSIP:   Symbol: SPY201021P00345000					
10/21/2020	1.00	130.90	10/21/2020	115.08	0.00	15.82	Sell to Close
PUT YY 11/27/20	85	JOYY INC ADS   CUSIP:   Symbol: YY201127P00085000					
11/20/2020	1.00	339.90	11/19/2020	310.08	0.00	29.82	Sell to Close
PUT TWLO 10/30/20	290	TWILIO INC   CUSIP:   Symbol: TWLO201030P00290000					
10/29/2020	1.00	156.90	10/28/2020	310.08	0.00	-153.18	Sell to Close C
CALL UPS 08/21/20	160	UNITED PARCEL SVC INC   CUSIP:   Symbol: UPS200821C00160000					
08/14/2020	1.00	288.89	08/13/2020	220.09	0.00	68.80	Sell to Close
CALL TSLA 10/02/20	450	TESLA INC ADJ 5:1 STOCK SPLIT   CUSIP:   Symbol: TSLA201002C00450000					
09/22/2020	1.00	2,874.83	09/22/2020	3,065.35	190.52 D	0.00	Sell to Close
09/22/2020	1.00	3,024.83	09/22/2020	3,215.09	190.26 D	0.00	Sell to Close
09/25/2020	1.00	684.88	09/25/2020	825.61	0.00	-140.73	Sell to Close
<b>Security Totals:</b>		<b>6,584.54</b>		<b>7,106.05</b>		<b>-140.73</b>	
CALL AAPL 11/27/20	118	APPLE INC   CUSIP:   Symbol: AAPL201127C00118000					
11/23/2020	1.00	99.90	11/23/2020	93.08	0.00	6.82	Sell to Close
PUT IWM 11/20/20	145	ISHARES RUSSELL 2000 ETF   CUSIP:   Symbol: IWM201120P00145000					
10/30/2020	1.00	289.90	10/29/2020	284.08	0.00	5.82	Sell to Close
CALL AAPL 11/27/20	120	APPLE INC   CUSIP:   Symbol: AAPL201127C00120000					
11/19/2020	1.00	109.90	11/19/2020	101.08	0.00	8.82	Sell to Close
CALL CRON 11/20/20	8	CRONOS GROUP INC   CUSIP:   Symbol: CRON201120C00008000					
11/09/2020	1.00	121.90	11/06/2020	88.08	0.00	33.82	Sell to Close
CALL TSLA 10/09/20	430	TESLA INC ADJ 5:1 STOCK SPLIT   CUSIP:   Symbol: TSLA201009C00430000					
09/28/2020	1.00	2,179.86	09/28/2020	2,420.08	240.22 D	0.00	Sell to Close
09/29/2020	1.00	1,689.87	09/28/2020	2,315.30	0.00	-625.43	Sell to Close
<b>Security Totals:</b>		<b>3,869.73</b>		<b>4,735.38</b>		<b>-625.43</b>	

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## Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B\*

OMB No. 1545-0715

5MY35557

(continued)

02/28/2021

**SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS**

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

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PUT AAPL 10/02/20	110	APPLE INC	ADJ 4:1 STOCK SPLIT   CUSIP:   Symbol: AAPL201002P00110000				
09/25/2020	1.00	261.89	09/25/2020	262.09	0.00	-0.20	Sell to Close
CALL ZM 10/30/20	620	ZOOM VIDEO COMMUNICATIONS INC   CUSIP:   Symbol: ZM201030C00620000					
10/20/2020	1.00	589.89	10/20/2020	740.08	0.00	-150.19	Sell to Close
PUT TSLA 09/18/20	380	TESLA INC	ADJ 5:1 STOCK SPLIT   CUSIP:   Symbol: TSLA200918P00380000				
09/10/2020	1.00	1,794.86	09/10/2020	1,645.09	0.00	149.77	Sell to Close
CALL MSFT 01/15/21	220	MICROSOFT CORP   CUSIP:   Symbol: MSFT210115C00220000					
09/14/2020	1.00	1,104.87	09/11/2020	1,080.09	0.00	24.78	Sell to Close
09/17/2020	1.00	964.87	09/17/2020	945.09	0.00	19.78	Sell to Close
<b>Security Totals:</b>		<b>2,069.74</b>		<b>2,025.18</b>		<b>44.56</b>	
CALL NFLX 11/13/20	520	NETFLIX INC   CUSIP:   Symbol: NFLX201113C00520000					
11/10/2020	1.00	79.90	11/09/2020	128.08	0.00	-48.18	Sell to Close
CALL AMZN 10/16/20	3400	AMAZON.COM INC   CUSIP:   Symbol: AMZN201016C03400000					
10/16/2020	2.00	275.82	Various	276.16	0.00	-0.34	Sell to Close
CALL JWN 08/28/20	16	NORDSTROM INC   CUSIP:   Symbol: JWN200828C00016000					
08/26/2020	1.00	19.89	08/25/2020	74.09	0.00	-54.20	Sell to Close
CALL UPS 10/30/20	180	UNITED PARCEL SVC INC   CUSIP:   Symbol: UPS201030C00180000					
10/27/2020	1.00	304.90	10/26/2020	295.08	0.00	9.82	Sell to Close
PUT SPY 11/04/20	300	STANDARD & POORS DEPOSITORY   CUSIP:   Symbol: SPY201104P00300000					
11/02/2020	1.00	43.90	10/30/2020	111.08	0.00	-67.18	Sell to Close
CALL NFLX 11/27/20	510	NETFLIX INC   CUSIP:   Symbol: NFLX201127C00510000					
11/23/2020	1.00	117.90	11/23/2020	238.08	120.18 D	0.00	Sell to Close
11/24/2020	1.00	43.90	11/23/2020	238.26	0.00	-194.36	Sell to Close
<b>Security Totals:</b>		<b>161.80</b>		<b>476.34</b>		<b>-194.36</b>	
CALL MSFT 09/25/20	200	MICROSOFT CORP   CUSIP:   Symbol: MSFT200925C00200000					
09/18/2020	1.00	339.89	09/18/2020	292.09	0.00	47.80	Sell to Close
CALL TSLA 09/04/20	2600	TESLA INC   CUSIP:   Symbol: TSLA200904C02600000					
08/28/2020	1.00	4,714.79	08/28/2020	4,385.09	0.00	329.70	Sell to Close
CALL DOCU 09/25/20	210	DOCUSIGN INC   CUSIP:   Symbol: DOCU200925C00210000					
09/14/2020	1.00	674.88	09/14/2020	665.09	0.00	9.79	Sell to Close
09/16/2020	1.00	299.89	09/16/2020	344.29	0.00	-44.40	Sell to Close

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## Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B\*

OMB No. 1545-0715

5MY35557

(continued)

02/28/2021

**SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS**

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09/16/2020	1.00	279.89	09/16/2020	360.09	80.2 D	0.00	Sell to Close
<b>Security Totals:</b>		<b>1,254.66</b>		<b>1,369.47</b>		<b>-34.61</b>	
CALL SPY 11/23/20 362			STANDARD & POORS DEPOSITORY   CUSIP:   Symbol: SPY201123C00362000				
11/18/2020	1.00	197.90	11/18/2020	186.08	0.00	11.82	Sell to Close
PUT SPY 10/23/20 343			STANDARD & POORS DEPOSITORY   CUSIP:   Symbol: SPY201023P00343000				
10/21/2020	1.00	223.90	10/21/2020	235.08	11.18 D	0.00	Sell to Close
10/21/2020	1.00	255.90	10/21/2020	241.26	0.00	14.64	Sell to Close
10/22/2020	1.00	201.90	10/22/2020	189.08	0.00	12.82	Sell to Close
<b>Security Totals:</b>		<b>681.70</b>		<b>665.42</b>		<b>27.46</b>	
CALL DOCU 09/04/20 300			DOCUSIGN INC   CUSIP:   Symbol: DOCU200904C00300000				
09/01/2020	1.00	1,674.86	09/01/2020	298.09	0.00	1,376.77	Sell to Close
PUT SPY 10/28/20 342			STANDARD & POORS DEPOSITORY   CUSIP:   Symbol: SPY201028P00342000				
10/26/2020	1.00	321.90	10/26/2020	227.08	0.00	94.82	Sell to Close C
CALL HLT 11/20/20 100			HILTON WORLDWIDE HOLDINGS INC   CUSIP:   Symbol: HLT201120C00100000				
10/23/2020	1.00	294.90	10/23/2020	295.08	0.00	-0.18	Sell to Close
CALL TSLA 09/25/20 500			TESLA INC ADJ 5:1 STOCK SPLIT   CUSIP:   Symbol: TSLA200925C00500000				
09/03/2020	1.00	2,804.83	09/03/2020	3,068.09	263.26 D	0.00	Sell to Close
09/16/2020	1.00	2,659.84	09/16/2020	2,708.35	0.00	-48.51	Sell to Close
<b>Security Totals:</b>		<b>5,464.67</b>		<b>5,776.44</b>		<b>-48.51</b>	
CALL NVDA 08/28/20 520			NVIDIA CORP   CUSIP:   Symbol: NVDA200828C00520000				
08/25/2020	1.00	379.89	08/25/2020	455.09	0.00	-75.20	Sell to Close
CALL UPS 10/30/20 165			UNITED PARCEL SVC INC   CUSIP:   Symbol: UPS201030C00165000				
10/28/2020	2.00	161.82	Various	278.16	0.00	-116.34	Sell to Close
CALL SQ 09/04/20 160			SQUARE INC   CUSIP:   Symbol: SQ200904C00160000				
08/31/2020	1.00	349.89	08/31/2020	370.09	0.00	-20.20	Sell to Close
CALL WMT 09/25/20 140			WALMART INC   CUSIP:   Symbol: WMT200925C00140000				
09/16/2020	1.00	156.89	09/15/2020	230.09	73.2 D	0.00	Sell to Close
09/16/2020	1.00	151.89	09/16/2020	248.29	0.00	-96.40	Sell to Close
<b>Security Totals:</b>		<b>308.78</b>		<b>478.38</b>		<b>-96.40</b>	

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OMB No. 1545-0715

5MY35557

(continued)

02/28/2021

**SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS**

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PUT QQQ 11/06/20 268				INVESCO QQQ TRUST SERIES 1   CUSIP:   Symbol: QQQ201106P00268000			
11/04/2020	9.00	149.25	11/03/2020	2,250.72	0.00	-2,101.47	Sell to Close
CALL ZM 10/09/20 510				ZOOM VIDEO COMMUNICATIONS INC   CUSIP:   Symbol: ZM201009C00510000			
09/30/2020	1.00	869.89	09/30/2020	2,070.28	1200.39 D	0.00	Sell to Close
09/30/2020	1.00	979.88	09/28/2020	2,150.08	1170.2 D	0.00	Sell to Close
10/09/2020	1.00	30.90	10/09/2020	1,240.47	0.00	-1,209.57	Sell to Close
<b>Security Totals:</b>		<b>1,880.67</b>		<b>5,460.83</b>		<b>-1,209.57</b>	
CALL NFLX 11/27/20 500				NETFLIX INC   CUSIP:   Symbol: NFLX201127C00500000			
11/17/2020	1.00	374.90	11/16/2020	375.08	0.18 D	0.00	Sell to Close
11/24/2020	1.00	92.90	11/23/2020	165.26	0.00	-72.36	Sell to Close
<b>Security Totals:</b>		<b>467.80</b>		<b>540.34</b>		<b>-72.36</b>	
PUT DIS 09/18/20 132				WALT DISNEY CO   CUSIP:   Symbol: DIS200918P00132000			
09/14/2020	1.00	187.89	09/14/2020	200.09	0.00	-12.20	Sell to Close
CALL PTON 09/04/20 100				PELTON INTERACTIVE INC CL A   CUSIP:   Symbol: PTON200904C00100000			
09/02/2020	1.00	63.89	09/02/2020	119.09	0.00	-55.20	Sell to Close
CALL FB 10/16/20 277.50				FACEBOOK INC CL A   CUSIP:   Symbol: FB201016C00277500			
10/13/2020	1.00	384.90	10/13/2020	360.08	0.00	24.82	Sell to Close
CALL TGT 10/23/20 170				TARGET CORP   CUSIP:   Symbol: TGT201023C00170000			
10/13/2020	3.00	284.74	10/12/2020	240.24	0.00	44.50	Sell to Close C
10/13/2020	7.00	860.41	10/12/2020	560.56	0.00	299.85	Sell to Close C
10/13/2020	10.00	919.14	10/12/2020	800.81	0.00	118.33	Sell to Close C
<b>Security Totals:</b>		<b>2,064.29</b>		<b>1,601.61</b>		<b>462.68</b>	
CALL TSLA 12/18/20 600				TESLA INC ADJ 5:1 STOCK SPLIT   CUSIP:   Symbol: TSLA201218C00600000			
09/24/2020	1.00	1,739.86	09/23/2020	2,420.09	0.00	-680.23	Sell to Close
PUT SPY 09/11/20 304				STANDARD & POORS DEPOSITORY   CUSIP:   Symbol: SPY200911P00304000			
09/04/2020	1.00	24.89	09/03/2020	58.09	0.00	-33.20	Sell to Close
CALL NIO 10/23/20 30				NIO INC ADS   CUSIP:   Symbol: NIO201023C00030000			
10/21/2020	1.00	23.90	10/21/2020	25.08	0.00	-1.18	Sell to Close
CALL NVDA 09/18/20 505				NVIDIA CORP   CUSIP:   Symbol: NVDA200918C00505000			
09/11/2020	1.00	1,314.87	09/11/2020	1,215.09	0.00	99.78	Sell to Close

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APEX CLEARING

## Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B\*

OMB No. 1545-0715

5MY35557

(continued)

02/28/2021

**SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS**

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

**Box 2:** Type of Gain or Loss - Short-Term (unless indicated as Ordinary in Additional Notes Column)**Box 5:** Box Not Checked (Covered Security)**Box 6:** Gross (unless indicated as Net in Additional Notes Column)**Box 12:** Basis Reported to the IRS**The 1099-B data referenced by a Box Number is reported to the IRS. The additional information not referenced 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 PTON 10/09/20	110	PELTON INTERACTIVE INC CL A   CUSIP:   Symbol: PTON201009C00110000					
10/05/2020	1.00	349.90	10/02/2020	295.08	0.00	54.82	Sell to Close
CALL BABA 11/13/20	310	ALIBABA GROUP HOLDING LIMITED   CUSIP:   Symbol: BABA201113C00310000					
11/05/2020	1.00	114.90	11/05/2020	102.08	0.00	12.82	Sell to Close
CALL SQ 09/04/20	180	SQUARE INC   CUSIP:   Symbol: SQ200904C00180000					
09/01/2020	1.00	90.89	09/01/2020	146.09	0.00	-55.20	Sell to Close
CALL TSLA 09/18/20	420	TESLA INC ADJ 5:1 STOCK SPLIT   CUSIP:   Symbol: TSLA200918C00420000					
09/08/2020	1.00	1,019.87	09/08/2020	1,200.09	180.22 D	0.00	Sell to Close
09/11/2020	1.00	759.88	09/10/2020	890.31	0.00	-130.43	Sell to Close
<b>Security Totals:</b>		<b>1,779.75</b>		<b>2,090.40</b>		<b>-130.43</b>	
CALL WHR 09/18/20	190	WHIRLPOOL CORP   CUSIP:   Symbol: WHR200918C00190000					
08/21/2020	1.00	209.89	08/20/2020	340.09	0.00	-130.20	Sell to Close
CALL DOCU 10/30/20	230	DOCUSIGN INC   CUSIP:   Symbol: DOCU201030C00230000					
10/26/2020	1.00	339.90	10/26/2020	265.08	0.00	74.82	Sell to Close
CALL SBUX 10/23/20	89	STARBUCKS CORPORATION   CUSIP:   Symbol: SBUX201023C00089000					
10/19/2020	1.00	126.90	10/19/2020	98.08	0.00	28.82	Sell to Close
PUT SBUX 10/30/20	90	STARBUCKS CORPORATION   CUSIP:   Symbol: SBUX201030P00090000					
10/26/2020	1.00	189.90	10/26/2020	170.08	0.00	19.82	Sell to Close C
CALL BA 09/18/20	170	BOEING CO   CUSIP:   Symbol: BA200918C00170000					
09/08/2020	1.00	500.88	09/08/2020	530.09	0.00	-29.21	Sell to Close
CALL SPY 12/18/20	363	STANDARD & POORS DEPOSITORY   CUSIP:   Symbol: SPY201218C00363000					
11/02/2020	1.00	157.90	10/30/2020	112.08	0.00	45.82	Sell to Close
11/02/2020	9.00	1,421.22	10/30/2020	1,008.73	0.00	412.49	Sell to Close
<b>Security Totals:</b>		<b>1,579.12</b>		<b>1,120.81</b>		<b>458.31</b>	
CALL ZM 09/11/20	420	ZOOM VIDEO COMMUNICATIONS INC   CUSIP:   Symbol: ZM200911C00420000					
09/10/2020	1.00	339.89	09/10/2020	450.09	0.00	-110.20	Sell to Close
CALL ZM 10/02/20	515	ZOOM VIDEO COMMUNICATIONS INC   CUSIP:   Symbol: ZM201002C00515000					
09/28/2020	1.00	689.89	09/28/2020	680.08	0.00	9.81	Sell to Close
CALL WMT 10/23/20	146	WALMART INC   CUSIP:   Symbol: WMT201023C00146000					
10/12/2020	1.00	180.90	10/12/2020	182.08	0.00	-1.18	Sell to Close

APEX CLEARING

## Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B\*

OMB No. 1545-0715

5MY35557

(continued)

02/28/2021

**SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS**

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

**Box 2:** Type of Gain or Loss - Short-Term (unless indicated as Ordinary in Additional Notes Column)**Box 5:** Box Not Checked (Covered Security)**Box 6:** Gross (unless indicated as Net in Additional Notes Column)**Box 12:** Basis Reported to the IRS**The 1099-B data referenced by a Box Number is reported to the IRS. The additional information not referenced 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 PTON 10/23/20	140	PELTON INTERACTIVE INC CL A   CUSIP:   Symbol: PTON201023C00140000					
10/19/2020	1.00	155.90	10/16/2020	220.08	0.00	-64.18	Sell to Close
CALL AAPL 08/21/20	475	APPLE INC   CUSIP:   Symbol: AAPL200821C00475000					
08/21/2020	1.00	599.88	08/20/2020	154.09	0.00	445.79	Sell to Close
CALL TSLA 10/16/20	480	TESLA INC ADJ 5:1 STOCK SPLIT   CUSIP:   Symbol: TSLA201016C00480000					
10/06/2020	2.00	599.81	Various	1,285.16	685.35 D	0.00	Sell to Close
10/07/2020	2.00	369.82	Various	1,210.85	0.00	-841.03	Sell to Close
10/07/2020	2.00	379.82	10/07/2020	380.49	0.00	-0.67	Sell to Close
10/07/2020	4.00	739.65	Various	1,630.67	891.02 D	0.00	Sell to Close
<b>Security Totals:</b>		<b>2,089.10</b>		<b>4,507.17</b>		<b>-841.70</b>	
CALL TSLA 09/25/20	450	TESLA INC ADJ 5:1 STOCK SPLIT   CUSIP:   Symbol: TSLA200925C00450000					
09/18/2020	1.00	3,884.81	09/17/2020	2,970.09	0.00	914.72	Sell to Close
09/21/2020	1.00	3,869.81	09/18/2020	3,555.09	0.00	314.72	Sell to Close
09/21/2020	1.00	2,889.83	09/21/2020	2,840.09	0.00	49.74	Sell to Close
09/21/2020	1.00	3,814.81	09/21/2020	3,705.09	0.00	109.72	Sell to Close
<b>Security Totals:</b>		<b>14,459.26</b>		<b>13,070.36</b>		<b>1,388.90</b>	
CALL ZM 09/18/20	375	ZOOM VIDEO COMMUNICATIONS INC   CUSIP:   Symbol: ZM200918C00375000					
09/09/2020	1.00	1,639.86	09/09/2020	1,750.09	0.00	-110.23	Sell to Close
CALL TSLA 09/25/20	470	TESLA INC ADJ 5:1 STOCK SPLIT   CUSIP:   Symbol: TSLA200925C00470000					
09/15/2020	1.00	3,299.82	09/15/2020	2,955.35	0.00	344.47	Sell to Close
09/15/2020	1.00	2,954.83	09/15/2020	3,155.09	200.26 D	0.00	Sell to Close
09/16/2020	1.00	3,114.83	09/15/2020	3,115.09	0.26 D	0.00	Sell to Close
09/17/2020	1.00	2,704.84	09/16/2020	3,045.35	340.51 D	0.00	Sell to Close
09/17/2020	1.00	2,897.83	09/17/2020	2,705.60	0.00	192.23	Sell to Close
<b>Security Totals:</b>		<b>14,972.15</b>		<b>14,976.48</b>		<b>536.70</b>	
CALL TSLA 08/28/20	2200	TESLA INC   CUSIP:   Symbol: TSLA200828C02200000					
08/25/2020	1.00	1,149.87	08/25/2020	1,190.09	0.00	-40.22	Sell to Close
CALL NVDA 09/18/20	550	NVIDIA CORP   CUSIP:   Symbol: NVDA200918C00550000					
09/11/2020	1.00	269.89	09/10/2020	245.09	0.00	24.80	Sell to Close

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APEX CLEARING

## Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B\*

OMB No. 1545-0715

5MY35557

(continued)

02/28/2021

**SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS**

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

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

1c - Date Sold or Disposed	Quantity	1d - Proceeds	1b - Date Acquired	1e - Cost or Other Basis	1f - Accrued Market Discount (M) & 1g - Wash Sale Loss Disallowed (D)	Gain or Loss (-)	Additional Notes
PUT TSLA 09/18/20	350	TESLA INC	ADJ 5:1 STOCK SPLIT   CUSIP:   Symbol: TSLA200918P00350000				
09/11/2020	1.00	1,264.87	09/11/2020	1,250.09	0.00	14.78	Sell to Close
CALL BABA 12/18/20	300	ALIBABA GROUP HOLDING LIMITED   CUSIP:   Symbol: BABA201218C00300000					
11/19/2020	1.00	115.90	11/19/2020	135.08	0.00	-19.18	Sell to Close
PUT COST 10/16/20	365	COSTCO WHOLESALE CORPORATION   CUSIP:   Symbol: COST201016P00365000					
10/12/2020	3.00	266.74	Various	585.24	0.00	-318.50	Sell to Close C
CALL ZM 08/28/20	300	ZOOM VIDEO COMMUNICATIONS INC   CUSIP:   Symbol: ZM200828C00300000					
08/24/2020	1.00	209.89	08/24/2020	180.09	0.00	29.80	Sell to Close
CALL ZM 10/23/20	540	ZOOM VIDEO COMMUNICATIONS INC   CUSIP:   Symbol: ZM201023C00540000					
10/14/2020	1.00	899.89	10/14/2020	1,070.08	0.00	-170.19	Sell to Close
CALL NVDA 10/09/20	570	NVIDIA CORP   CUSIP:   Symbol: NVDA201009C00570000					
10/06/2020	1.00	409.90	10/06/2020	380.08	0.00	29.82	Sell to Close
CALL WMT 10/09/20	145	WALMART INC   CUSIP:   Symbol: WMT201009C00145000					
10/01/2020	1.00	204.90	10/01/2020	183.08	0.00	21.82	Sell to Close
CALL ORCL 09/25/20	70	ORACLE CORP   CUSIP:   Symbol: ORCL200925C00070000					
09/14/2020	1.00	59.89	09/14/2020	55.09	0.00	4.80	Sell to Close
CALL ZM 10/02/20	540	ZOOM VIDEO COMMUNICATIONS INC   CUSIP:   Symbol: ZM201002C00540000					
09/28/2020	1.00	319.90	09/28/2020	316.08	0.00	3.82	Sell to Close
CALL WMT 09/04/20	150	WALMART INC   CUSIP:   Symbol: WMT200904C00150000					
08/31/2020	3.00	59.72	Various	143.27	0.00	-83.55	Sell to Close
CALL SPY 10/19/20	350	STANDARD & POORS DEPOSITORY   CUSIP:   Symbol: SPY201019C00350000					
10/19/2020	3.00	110.74	Various	216.24	0.00	-105.50	Sell to Close
CALL GIS 11/20/20	65	GENERAL MILLS INC   CUSIP:   Symbol: GIS201120C00065000					
10/20/2020	10.00	439.16	10/19/2020	560.81	0.00	-121.65	Sell to Close
CALL NVDA 10/09/20	560	NVIDIA CORP   CUSIP:   Symbol: NVDA201009C00560000					
10/08/2020	1.00	359.90	10/08/2020	330.08	0.00	29.82	Sell to Close
VONAGE HOLDINGS CORP		COMMON STOCK   CUSIP: 92886T201   Symbol: VG					
08/19/2020	1.00	11.07	08/17/2020	11.77	0.00	-0.70	Sale
CALL BYND 10/09/20	200	BEYOND MEAT INC   CUSIP:   Symbol: BYND201009C00200000					
10/08/2020	1.00	65.90	10/08/2020	69.08	0.00	-3.18	Sell to Close

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APEX CLEARING

## Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B\*

OMB No. 1545-0715

5MY35557

(continued)

02/28/2021

**SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS**

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

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

1c - Date Sold or Disposed	Quantity	1d - Proceeds	1b - Date Acquired	1e - Cost or Other Basis	1f - Accrued Market Discount (M) & 1g - Wash Sale Loss Disallowed (D)	Gain or Loss (-)	Additional Notes
CALL AAPL 09/04/20	510	APPLE INC   CUSIP:   Symbol: AAPL200904C00510000					
08/26/2020	1.00	1,462.86	08/26/2020	1,545.09	0.00	-82.23	Sell to Close
CALL AAPL 10/30/20	120	APPLE INC   CUSIP:   Symbol: AAPL201030C00120000					
10/27/2020	1.00	159.90	10/26/2020	112.08	0.00	47.82	Sell to Close
CALL TSLA 10/02/20	440	TESLA INC ADJ 5:1 STOCK SPLIT   CUSIP:   Symbol: TSLA201002C00440000					
09/24/2020	1.00	884.88	09/24/2020	832.09	0.00	52.79	Sell to Close
CALL FB 12/04/20	290	FACEBOOK INC CL A   CUSIP:   Symbol: FB201204C00290000					
11/25/2020	1.00	116.90	11/25/2020	116.26	0.00	0.64	Sell to Close
11/25/2020	1.00	115.90	11/25/2020	138.08	22.18 D	0.00	Sell to Close
<b>Security Totals:</b>		<b>232.80</b>		<b>254.34</b>		<b>0.64</b>	
CALL BABA 09/18/20	280	ALIBABA GROUP HOLDING LIMITED   CUSIP:   Symbol: BABA200918C00280000					
09/10/2020	1.00	589.88	09/10/2020	610.09	0.00	-20.21	Sell to Close
CALL ZM 10/16/20	560	ZOOM VIDEO COMMUNICATIONS INC   CUSIP:   Symbol: ZM201016C00560000					
10/15/2020	1.00	154.90	10/15/2020	115.08	0.00	39.82	Sell to Close
CALL BYND 09/11/20	142	BEYOND MEAT INC   CUSIP:   Symbol: BYND200911C00142000					
09/03/2020	1.00	224.89	09/03/2020	276.09	0.00	-51.20	Sell to Close
09/03/2020	1.00	672.88	09/03/2020	620.09	0.00	52.79	Sell to Close
<b>Security Totals:</b>		<b>897.77</b>		<b>896.18</b>		<b>1.59</b>	
CALL BA 09/04/20	180	BOEING CO   CUSIP:   Symbol: BA200904C00180000					
09/02/2020	1.00	129.89	09/02/2020	127.09	0.00	2.80	Sell to Close
CALL PG 10/23/20	147	PROCTER & GAMBLE CO   CUSIP:   Symbol: PG201023C00147000					
10/12/2020	1.00	143.90	10/12/2020	146.08	0.00	-2.18	Sell to Close C
10/12/2020	1.00	142.90	10/12/2020	146.08	0.00	-3.18	Sell to Close C
<b>Security Totals:</b>		<b>286.80</b>		<b>292.16</b>		<b>-5.36</b>	
CALL MSFT 10/09/20	215	MICROSOFT CORP   CUSIP:   Symbol: MSFT201009C00215000					
10/05/2020	2.00	139.82	Various	345.16	170.17 D	-35.17	Sell to Close
10/05/2020	1.00	70.90	10/02/2020	264.25	0.00	-193.35	Sell to Close
<b>Security Totals:</b>		<b>210.72</b>		<b>609.41</b>		<b>-228.52</b>	
CALL AAPL 08/28/20	550	APPLE INC   CUSIP:   Symbol: AAPL200828C00550000					
08/24/2020	1.00	474.88	08/24/2020	425.09	0.00	49.79	Sell to Close

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APEX CLEARING

## Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B\*

OMB No. 1545-0715

5MY35557

(continued)

02/28/2021

**SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS**

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

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PUT FB 11/06/20	250	FACEBOOK INC CL A   CUSIP:   Symbol: FB201106P00250000					
11/03/2020	1.00	81.90	11/02/2020	275.08	0.00	-193.18	Sell to Close
CALL NVDA 10/16/20	580	NVIDIA CORP   CUSIP:   Symbol: NVDA201016C00580000					
10/14/2020	1.00	449.90	10/14/2020	295.08	0.00	154.82	Sell to Close
CALL DOCU 10/02/20	217.50	DOCUSIGN INC   CUSIP:   Symbol: DOCU201002C00217500					
09/28/2020	1.00	271.90	09/28/2020	242.08	0.00	29.82	Sell to Close
CALL AMZN 09/18/20	3500	AMAZON.COM INC   CUSIP:   Symbol: AMZN200918C03500000					
09/14/2020	1.00	99.89	09/14/2020	301.29	0.00	-201.40	Sell to Close
09/14/2020	1.00	91.89	09/11/2020	295.09	203.2 D	0.00	Sell to Close
<b>Security Totals:</b>		<b>191.78</b>		<b>596.38</b>		<b>-201.40</b>	
PUT AAPL 10/30/20	112	APPLE INC   CUSIP:   Symbol: AAPL201030P00112000					
10/23/2020	1.00	233.90	10/23/2020	210.08	0.00	23.82	Sell to Close
CALL TSLA 10/16/20	470	TESLA INC ADJ 5:1 STOCK SPLIT   CUSIP:   Symbol: TSLA201016C00470000					
10/15/2020	6.00	743.49	Various	978.48	0.00	-234.99	Sell to Close
CALL WMT 09/11/20	141	WALMART INC   CUSIP:   Symbol: WMT200911C00141000					
09/09/2020	1.00	229.89	09/09/2020	228.09	0.00	1.80	Sell to Close
PUT FB 11/06/20	290	FACEBOOK INC CL A   CUSIP:   Symbol: FB201106P00290000					
11/05/2020	1.00	165.90	11/05/2020	198.08	0.00	-32.18	Sell to Close
CALL TSLA 09/18/20	400	TESLA INC ADJ 5:1 STOCK SPLIT   CUSIP:   Symbol: TSLA200918C00400000					
09/09/2020	1.00	1,250.87	09/09/2020	1,165.09	0.00	85.78	Sell to Close
PUT AAPL 08/28/20	500	APPLE INC   CUSIP:   Symbol: AAPL200828P00500000					
08/25/2020	1.00	1,154.87	08/25/2020	1,110.09	0.00	44.78	Sell to Close
CALL BABA 08/14/20	255	ALIBABA GROUP HOLDING LIMITED   CUSIP:   Symbol: BABA200814C00255000					
08/11/2020	1.00	301.89	08/11/2020	305.09	0.00	-3.20	Sell to Close
CALL WMT 09/04/20	134	WALMART INC   CUSIP:   Symbol: WMT200904C00134000					
08/27/2020	1.00	439.89	08/27/2020	300.09	0.00	139.80	Sell to Close
CALL NFLX 10/16/20	580	NETFLIX INC   CUSIP:   Symbol: NFLX201016C00580000					
10/14/2020	1.00	159.90	10/14/2020	355.08	0.00	-195.18	Sell to Close
PUT ROKU 09/25/20	170	ROKU INC   CUSIP:   Symbol: ROKU200925P00170000					
09/21/2020	1.00	234.89	09/21/2020	286.09	0.00	-51.20	Sell to Close

APEX CLEARING

## Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B\*

OMB No. 1545-0715

5MY35557

(continued)

02/28/2021

## SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

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

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

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

1c - Date Sold or Disposed	Quantity	1d - Proceeds	1b - Date Acquired	1e - Cost or Other Basis	1f - Accrued Market Discount (M) & 1g - Wash Sale Loss Disallowed (D)	Gain or Loss (-)	Additional Notes
PUT IWM 11/13/20	155	ISHARES RUSSELL 2000 ETF   CUSIP:   Symbol: IWM201113P00155000					
11/04/2020	1.00	159.90	11/04/2020	157.08	0.00	2.82	Sell to Close
CALL ZM 11/27/20	500	ZOOM VIDEO COMMUNICATIONS INC   CUSIP:   Symbol: ZM201127C00500000					
11/11/2020	1.00	299.90	11/10/2020	550.44	250.54 D	0.00	Sell to Close
11/11/2020	1.00	224.90	11/09/2020	410.08	185.18 D	0.00	Sell to Close
11/11/2020	1.00	159.90	11/10/2020	485.26	325.36 D	0.00	Sell to Close
11/12/2020	1.00	709.89	11/11/2020	410.62	0.00	299.27	Sell to Close
11/13/2020	1.00	259.90	11/13/2020	500.08	240.18 D	0.00	Sell to Close
11/16/2020	2.00	379.82	Various	820.34	440.52 D	0.00	Sell to Close
11/17/2020	1.00	154.90	11/16/2020	240.25	85.35 D	0.00	Sell to Close
11/17/2020	1.00	154.90	11/16/2020	510.43	355.53 D	0.00	Sell to Close
11/18/2020	2.00	169.82	Various	691.04	0.00	-521.22	Sell to Close
<b>Security Totals:</b>		<b>2,513.93</b>		<b>4,618.54</b>		<b>-221.95</b>	
CALL WKHS 10/30/20	30	WORKHORSE GROUP INC   CUSIP:   Symbol: WKHS201030C00030000					
10/15/2020	38.00	1,516.81	10/15/2020	1,713.07	0.00	-196.26	Sell to Close
CALL UPS 10/09/20	170	UNITED PARCEL SVC INC   CUSIP:   Symbol: UPS201009C00170000					
10/02/2020	1.00	214.90	10/02/2020	163.08	0.00	51.82	Sell to Close
10/02/2020	4.00	659.65	10/02/2020	652.32	0.00	7.33	Sell to Close
10/02/2020	5.00	899.57	10/02/2020	815.41	0.00	84.16	Sell to Close
<b>Security Totals:</b>		<b>1,774.12</b>		<b>1,630.81</b>		<b>143.31</b>	
CALL NNDM 11/20/20	5	NANO DIMENSION LTD ADS   CUSIP:   Symbol: NNDM201120C00005000					
11/09/2020	2.00	83.82	11/06/2020	80.16	0.00	3.66	Sell to Close
CALL MRNA 11/13/20	95	MODERNA INC   CUSIP:   Symbol: MRNA201113C00095000					
11/12/2020	1.00	69.90	11/12/2020	94.08	0.00	-24.18	Sell to Close
CALL AMD 10/30/20	90	ADVANCED MICRO DEVICES INC   CUSIP:   Symbol: AMD201030C00090000					
10/27/2020	1.00	7.90	10/27/2020	8.08	0.00	-0.18	Sell to Close
CALL ATVI 10/23/20	81	ACTIVISION BLIZZARD INC   CUSIP:   Symbol: ATVI201023C00081000					
10/12/2020	2.00	351.82	10/12/2020	320.16	0.00	31.66	Sell to Close
CALL NFLX 10/30/20	500	NETFLIX INC   CUSIP:   Symbol: NFLX201030C00500000					
10/26/2020	1.00	599.89	10/23/2020	435.08	0.00	164.81	Sell to Close

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

APEX CLEARING

## Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B\*

OMB No. 1545-0715

5MY35557

(continued)

02/28/2021

**SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS**

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

**Box 2:** Type of Gain or Loss - Short-Term (unless indicated as Ordinary in Additional Notes Column)**Box 5:** Box Not Checked (Covered Security)**Box 6:** Gross (unless indicated as Net in Additional Notes Column)**Box 12:** Basis Reported to the IRS**The 1099-B data referenced by a Box Number is reported to the IRS. The additional information not referenced 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
10/27/2020	1.00	304.90	10/26/2020	380.08	0.00	-75.18	Sell to Close
<b>Security Totals:</b>		<b>904.79</b>		<b>815.16</b>		<b>89.63</b>	
CALL TSLA 09/04/20 485 TESLA INC			ADJ 5:1 STOCK SPLIT   CUSIP:   Symbol: TSLA200904C00485000				
09/01/2020	1.00	1,759.86	08/31/2020	1,435.09	0.00	324.77	Sell to Close
CALL BA 10/23/20 180 BOEING CO   CUSIP:   Symbol: BA201023C00180000							
10/16/2020	2.00	363.82	Various	444.16	102.17 D	21.83	Sell to Close
10/16/2020	2.00	267.82	Various	396.33	128.51 D	0.00	Sell to Close
10/16/2020	1.00	134.90	10/16/2020	262.42	0.00	-127.52	Sell to Close
10/19/2020	1.00	89.90	10/16/2020	132.25	0.00	-42.35	Sell to Close
<b>Security Totals:</b>		<b>856.44</b>		<b>1,235.16</b>		<b>-148.04</b>	
CALL FB 10/02/20 262.50 FACEBOOK INC CL A   CUSIP:   Symbol: FB201002C00262500							
10/01/2020	1.00	479.89	09/30/2020	233.08	0.00	246.81	Sell to Close
PUT NFLX 08/21/20 485 NETFLIX INC   CUSIP:   Symbol: NFLX200821P00485000							
08/19/2020	1.00	539.88	08/18/2020	495.09	0.00	44.79	Sell to Close
PUT FB 09/04/20 270 FACEBOOK INC CL A   CUSIP:   Symbol: FB200904P00270000							
09/04/2020	1.00	23.89	09/04/2020	58.09	0.00	-34.20	Sell to Close
PUT TSLA 11/20/20 450 TESLA INC			ADJ 5:1 STOCK SPLIT   CUSIP:   Symbol: TSLA201120P00450000				
11/18/2020	1.00	189.90	11/18/2020	213.08	0.00	-23.18	Sell to Close
<b>Totals:</b>		<b>198,522.70</b>		<b>222,541.79</b>		<b>-6,239.84</b>	

APEX CLEARING

**Miscellaneous Income - Details of Form 1099-MISC**

2020

5MY35557

02/28/2021

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)	
VONAGE HOLDINGS CORP 08/17/2020	COMMON STOCK   CUSIP: 92886T201   Symbol: VG 0.00	11.77	0.00	0.00	0.00		
<b>Totals:</b>	<b>0.00</b>	<b>11.77</b>	<b>0.00</b>	<b>0.00</b>	<b>0.00</b>		

## Common Instructions for Recipient

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

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

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

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

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

### Keep tax documents for your records.

#### 1099-DIV Instructions for Recipient

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

#### 1099-INT Instructions for Recipient

The information provided may be different for covered and noncovered securities. For a description of covered securities, see the Instructions for Form 8949. For a taxable covered security acquired at a premium, unless you notified the payer in writing in accordance with Regulations section 1.6045-1(n)(5) that you did not want to amortize the premium under section 171, or for a tax-exempt covered security acquired at a premium, your payer generally must report either (1) a net amount of interest that reflects the offset of the amount of interest paid to you by the amount of premium amortization allocable to the payment(s), or (2) a gross amount for both the interest paid to you and the premium amortization allocable to the payment(s). If you did 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](http://www.irs.gov/Form1099INT).

#### 1099-B Instructions for Recipient

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

#### 1099-MISC Instructions for Recipient

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

#### 1099-OID Instructions for Recipient

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

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

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

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

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

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

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

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

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

withheld.

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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