

 Member FINRA/SIPC PO BOX 2209 OMAHA, NE 68103-2209 Client Services: 800-669-3900	<b>Tax Information</b> <b>Account 455335189</b>	Statement Date: 02/11/2021 Document ID: 3TRR 17G T5PX	2020
	RAMBABU KODATI 13085 MORRIS RD UNIT 2106 ALPHARETTA, GA 30004-4152		
PAYER'S TIN: 47-0533629	RECIPIENT'S TIN: XXX-XX-7566		

**Summary Information**

<p><b>DIVIDENDS AND DISTRIBUTIONS</b>      <b>2020 1099-DIV*</b>      OMB No. 1545-0110</p> <p>1a- Total ordinary dividends (includes lines 1b, 5)      19.82</p> <p>1b- Qualified dividends      19.82</p> <p>2a- Total capital gain distributions (includes lines 2b, 2c, 2d)      0.00</p> <p>2b- Unrecaptured Section 1250 gain      0.00</p> <p>2c- Section 1202 gain      0.00</p> <p>2d- Collectibles (28%) gain      0.00</p> <p>3- Nondividend distributions      42.54</p> <p><b>4- Federal income tax withheld</b>      <b>0.00</b></p> <p>5- Section 199A dividends      0.00</p> <p>6- Investment expenses      0.00</p> <p>8- Foreign country or US possession:      0.00</p> <p>7- Foreign tax paid:      0.00</p> <p>9- Cash liquidation distributions      0.00</p> <p>10- Noncash liquidation distributions      0.00</p> <p>11- Exempt-interest dividends (includes line 12)      0.00</p> <p>12- Specified private activity bond interest dividends (AMT)      0.00</p>	<p><b>MISCELLANEOUS INCOME</b>      <b>2020 1099-MISC*</b>      OMB No. 1545-0115</p> <p>2- Royalties      0.00</p> <p>3- Other income      0.00</p> <p><b>4- Federal income tax withheld</b>      <b>0.00</b></p> <p>8- Substitute payments in lieu of dividends or interest      0.00</p> <p><b>SECTION 1256 CONTRACTS</b>      <b>2020 1099-B*</b>      OMB No. 1545-0715</p> <p>8- Profit or (loss) realized in 2020 on closed contracts      0.00</p> <p>9- Unrealized profit or (loss) on open contracts-12/31/2019      0.00</p> <p>10- Unrealized profit or (loss) on open contracts-12/31/2020      -328.32</p> <p>11- Aggregate profit or (loss) on contracts      -328.32</p> <p style="text-align: center;"><i>If applicable, proceeds from sale transactions appear summarized below and are detailed in subsequent sections of this document.</i></p>
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**SUMMARY OF PROCEEDS, GAINS & LOSSES, ADJUSTMENTS AND WITHHOLDING**

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

Term	Form 8949 type	Proceeds	Cost basis	Market discount	Wash sale loss disallowed	Net gain or loss(-)
Short	A (basis reported to the IRS)	2,463,392.63	2,432,711.63	0.00	11,560.90	42,241.90
Short	B (basis not reported to the IRS)	22,633.37	22,384.79	0.00	17.68	266.26
Short	C (Form 1099-B not received)	0.00	0.00	0.00	0.00	0.00
<b>Total Short-term</b>		<b>2,486,026.00</b>	<b>2,455,096.42</b>	<b>0.00</b>	<b>11,578.58</b>	<b>42,508.16</b>
Long	D (basis reported to the IRS)	0.00	0.00	0.00	0.00	0.00
Long	E (basis not reported to the IRS)	0.00	0.00	0.00	0.00	0.00
Long	F (Form 1099-B not received)	0.00	0.00	0.00	0.00	0.00
<b>Total Long-term</b>		<b>0.00</b>	<b>0.00</b>	<b>0.00</b>	<b>0.00</b>	<b>0.00</b>
Undetermined	B or E (basis not reported to the IRS)	0.00	0.00	0.00	0.00	0.00
Undetermined	C or F (Form 1099-B not received)	0.00	0.00	0.00	0.00	0.00
<b>Total Undetermined-term</b>		<b>0.00</b>	<b>0.00</b>	<b>0.00</b>	<b>0.00</b>	<b>0.00</b>
<b>Grand total</b>		<b>2,486,026.00</b>	<b>2,455,096.42</b>	<b>0.00</b>	<b>11,578.58</b>	<b>42,508.16</b>
<b>Withholding</b>		<b>Amount</b>				
Federal income tax withheld		0.00				

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

TD Ameritrade Clearing, Inc.

Account 455335189

**Summary Information**

2020

(continued)

02/11/2021

**INTEREST INCOME**

**2020 1099-INT**

OMB No. 1545-0112

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1- Interest income (not included in line 3)	0.09
2- Early withdrawal penalty	0.00
3- Interest on US Savings Bonds & Treasury obligations	0.00
<b>4- Federal income tax withheld</b>	<b>0.00</b>
5- Investment expenses	0.00
7- Foreign country or US possession: 6- Foreign tax paid:	0.00
8- Tax-exempt interest (includes line 9)	0.00
9- Specified private activity bond interest (AMT)	0.00
10- Market discount (covered lots)	0.00
11- Bond premium (covered lots)	0.00
12- Bond premium on Treasury obligations (covered lots)	0.00
13- Bond premium on tax-exempt bonds (categorized below)	0.00
<i>Tax-exempt obligations (covered lots)</i>	0.00
<i>Tax-exempt private activity obligations (AMT, covered lots)</i>	0.00
14- Tax-exempt and tax credit bond CUSIP number	See detail

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

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

**STATE TAX WITHHELD**

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

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

**ORIGINAL ISSUE DISCOUNT AND ADJUSTMENTS**

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

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

**RECONCILIATIONS, FEES, EXPENSES AND EXPENDITURES**

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

Other Receipts & Reconciliations- Partnership distributions	0.00
Other Receipts & Reconciliations- Foreign tax paid- partnership	0.00
Other Receipts & Reconciliations- Return of principal	0.00
Other Receipts & Reconciliations- Deferred income payment	0.00
Other Receipts & Reconciliations- Deemed premium	0.00
Other Receipts & Reconciliations- Income accrual- UIT	0.00
Other Receipts & Reconciliations- Basis adjustments	0.00
Other Receipts & Reconciliations- Foreign tax pd beyond treaty	0.00
Fees & Expenses- Margin interest	815.48
Fees & Expenses- Dividends paid on short position	0.00
Fees & Expenses- Interest paid on short position	0.00
Fees & Expenses- Non reportable distribution expense	0.00
Fees & Expenses- Other expenses	0.00
Fees & Expenses- Severance tax	0.00
Fees & Expenses- Organizational expense	0.00
Fees & Expenses- Miscellaneous fees	0.00
Fees & Expenses- Tax-exempt investment expense	0.00
Foreign Exchange Gains & Losses- Foreign currency gain/loss	0.00

TD Ameritrade Clearing, Inc.

Account 455335189

**Proceeds from Broker and Barter Exchange Transactions**

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

02/11/2021

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

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

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

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

FATCA filing requirement [ ]

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

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

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

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

1c- Date sold or disposed	Quantity	1d- Proceeds & 6- Reported (G)ross or (N)et	1b- Date acquired	1e- Cost or other basis	1f- Accrued mkt disc (D) & 1g- Wash sale loss disallowed (W)	7- Gain or loss(-) & Loss not allowed (X) also not reported (Z)	Additional information
AMC NETWORKS INC COM CL A / CUSIP: 00164V103 / Symbol: AMCX							
09/16/20	50.000	1,256.21	09/16/20	1,241.25	...	14.96	Sale
ANGI HOMESERVICES INC COM CL A / CUSIP: 00183L102 / Symbol: ANGI							
12/28/20	100.000	1,369.96	12/28/20	1,368.99	...	0.97	Sale <sup>26</sup>
AXT INC COM / CUSIP: 00246W103 / Symbol: AXTI							
09/30/20	300.000	1,899.42	Various	1,898.55	...	0.87	Total of 2 transactions
ABCELLERA BIOLOGICS INC COM / CUSIP: 00288U106 / Symbol: ABCL							
12/11/20	15.000	865.03	12/11/20	905.33	...	-40.30	Sale <sup>26</sup>
ACCURAY INCORPORATED COM / CUSIP: 004397105 / Symbol: ARAY							
11/13/20	100.000	391.16	11/12/20	389.00	...	2.16	Sale <sup>26</sup>
ACTINIUM PHARMACEUTICALS INC COM / CUSIP: 00507W206 / Symbol: ATNM							
10/16/20	200.000	2,399.93	10/16/20	2,402.00	...	-2.07	Sale <sup>26</sup>
ADAPTIVE BIOTECHNOLOGIES CORP COM / CUSIP: 00650F109 / Symbol: ADPT							
10/05/20	50.000	2,489.93	09/29/20	2,487.61	...	2.32	Sale

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Account 455335189

**Proceeds from Broker and Barter Exchange Transactions**

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

(continued)

02/11/2021

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

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ADVANCED MICRO DEVICES INC COM / CUSIP: 007903107 / Symbol: AMD							
11/06/20	25.000	2,134.95	10/08/20	2,174.38	39.43 W	0.00	Sale <sup>26</sup>
11/23/20	25.000	2,174.95	10/08/20	2,174.37	...	0.58	Sale <sup>26</sup>
11/30/20	50.000	4,599.89	11/30/20	4,544.43	...	55.46	Sale <sup>26</sup>
	<b>Security total:</b>	<b>8,909.79</b>		<b>8,893.18</b>	<b>39.43 W</b>	<b>56.04</b>	
AIRBNB INC COM CL A / CUSIP: 009066101 / Symbol: ABNB							
12/28/20	15.000	2,439.63	12/10/20	2,396.20	...	43.43	Sale <sup>26</sup>
AKEBIA THERAPEUTICS INC COM / CUSIP: 00972D105 / Symbol: AKBA							
10/19/20	500.000	1,829.90	10/19/20	1,945.00	...	-115.10	Sale <sup>26</sup>
ALIBABA GROUP HOLDING LTD ADR SPONSORED / CUSIP: 01609W102 / Symbol: BABA							
08/24/20	40.000	11,055.76	08/24/20	11,017.38	...	38.38	Sale
09/10/20	30.000	8,280.48	09/10/20	8,252.70	...	27.78	Sale
10/26/20	15.000	4,701.65	10/19/20	4,698.30	...	3.35	Sale <sup>26</sup>
11/19/20	12.000	3,113.33	11/18/20	3,061.44	...	51.89	Sale <sup>26</sup>
12/08/20	25.000	6,647.10	12/08/20	6,663.25	...	-16.15	Sale <sup>26</sup>
12/09/20	10.000	2,634.54	Various	2,665.30	...	-30.76	Total of 2 transactions
12/10/20	15.000	3,958.86	12/08/20	3,997.95	...	-39.09	Sale <sup>26</sup>
	<b>Security total:</b>	<b>40,391.72</b>		<b>40,356.32</b>	...	<b>35.40</b>	
THE ALKALINE WATER CO INC COM / CUSIP: 01643A207 / Symbol: WTER							
10/16/20	1,000.000	1,750.74	10/16/20	1,720.00	...	30.74	Sale <sup>26</sup>
ALLEGRO MICROSYSTEMS INC COM / CUSIP: 01749D105 / Symbol: ALGM							
12/04/20	100.000	2,819.93	12/03/20	2,809.50	...	10.43	Sale <sup>26</sup>
ALLIED ESPORTS ENTERTAINMENT I COM / CUSIP: 019170109 / Symbol: AESE							
11/23/20	1,000.000	999.86	11/18/20	1,009.90	...	-10.04	Sale <sup>26</sup>
ALLIED HEALTHCARE PRODUCTS INC COM / CUSIP: 019222207 / Symbol: AHPI							
11/25/20	100.000	515.02	11/25/20	507.04	...	7.98	Sale <sup>26</sup>
ALPHABET INC COM CL C / CUSIP: 02079K107 / Symbol: GOOG							
10/29/20	1.000	1,561.23	10/29/20	1,550.00	...	11.23	Sale <sup>26</sup>

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Account 455335189

**Proceeds from Broker and Barter Exchange Transactions**

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

(continued)

02/11/2021

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

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

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

1c- Date sold or disposed	Quantity	1d- Proceeds & 6- Reported (G)ross or (N)et	1b- Date acquired	1e- Cost or other basis	1f- Accrued mkt disc (D) & 1g- Wash sale loss disallowed (W)	7- Loss not allowed (X) also not reported (Z)	Gain or loss(-) & Additional information
ALTIMMUNE INC COM / CUSIP: 02155H200 / Symbol: ALT							
10/13/20	50.000	741.47	10/13/20	740.00	...	1.47	Sale <sup>26</sup>
ALTERITY THERAPEUTICS LIMITED ADR SPONSORED / CUSIP: 02155X106 / Symbol: ATHE							
11/16/20	300.000	854.94	11/16/20	889.50	...	-34.56	Sale <sup>26</sup>
AMARIN CORP ADR SPONSORED / CUSIP: 023111206 / Symbol: AMRN							
10/22/20	200.000	995.96	10/20/20	977.50	...	18.46	Sale <sup>26</sup>
AMAZON COM INC COM / CUSIP: 023135106 / Symbol: AMZN							
09/09/20	2.000	6,446.76	09/09/20	6,420.32	...	26.44	Sale
11/11/20	3.000	9,366.03	11/11/20	9,305.06	...	60.97	Sale <sup>26</sup>
11/25/20	3.000	9,548.31	11/25/20	9,462.07	...	86.24	Sale <sup>26</sup>
12/28/20	2.000	6,567.11	Various	6,515.31	...	51.80	Total of 2 transactions
	<b>Security total:</b>	<b>31,928.21</b>		<b>31,702.76</b>	...	<b>225.45</b>	
AMBOW EDUCATION HOLDING LTD ADR / CUSIP: 02322P200 / Symbol: AMBO							
11/18/20	300.000	689.94	11/18/20	662.97	...	26.97	Sale <sup>26</sup>
AMEREN CORP COM / CUSIP: 023608102 / Symbol: AEE							
10/19/20	40.000	3,286.33	10/19/20	3,301.09	...	-14.76	Sale <sup>26</sup>
AMERICAN RESOURCES CORPORATION COM CL A / CUSIP: 02927U208 / Symbol: AREC							
10/13/20	1,000.000	1,989.84	10/13/20	1,906.20	...	83.64	Sale <sup>26</sup>
AMERICAN WELL CORP COM CL A / CUSIP: 03044L105 / Symbol: AMWL							
12/04/20	100.000	2,752.93	11/30/20	2,714.99	...	37.94	Sale <sup>26</sup>
12/14/20	100.000	3,282.66	Various	3,250.00	...	32.66	Total of 2 transactions
	<b>Security total:</b>	<b>6,035.59</b>		<b>5,964.99</b>	...	<b>70.60</b>	
ANAVEX LIFE SCIENC COM / CUSIP: 032797300 / Symbol: AVXL							
10/19/20	300.000	1,604.92	10/15/20	1,604.93	...	-0.01	Sale <sup>26</sup>
APPLE INC COM / CUSIP: 037833100 / Symbol: AAPL							
08/20/20	16.000	7,503.83	08/19/20	7,465.60	...	38.23	Sale
08/31/20	80.000	10,349.78	Various	10,153.10	...	196.68	Total of 2 transactions
09/30/20	60.000	6,970.04	Various	6,880.00	116.65 W	206.69	Sale
10/13/20	30.000	3,635.92	09/30/20	3,566.65	...	69.27	Sale <sup>26</sup>

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**Proceeds from Broker and Barter Exchange Transactions**

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

(continued)

02/11/2021

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

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APPLE INC COM / CUSIP: 037833100 / Symbol: AAPL (cont'd)							
10/29/20	20.000	2,219.95	10/29/20	2,200.00	...	19.95	Sale <sup>26</sup>
11/25/20	60.000	6,989.84	Various	6,947.50	...	42.34	Sale <sup>26</sup>
12/02/20	25.000	3,060.18	11/23/20	2,868.75	...	191.43	Sale <sup>26</sup>
12/08/20	25.000	3,101.43	11/23/20	2,868.75	...	232.68	Sale <sup>26</sup>
12/10/20	25.000	3,087.43	12/09/20	3,032.00	...	55.43	Sale <sup>26</sup>
12/28/20	100.000	13,593.49	Various	13,494.52	...	98.97	Total of 3 transactions
	<b>Security total:</b>	<b>60,511.89</b>		<b>59,476.87</b>	<b>116.65 W</b>	<b>1,151.67</b>	
APPLIED MATERIALS INC COM / CUSIP: 038222105 / Symbol: AMAT							
11/13/20	50.000	3,606.92	11/13/20	3,665.00	...	-58.08	Sale <sup>26</sup>
ARCIMOTO INC COM / CUSIP: 039587100 / Symbol: FUV							
08/18/20	100.000	802.97	08/13/20	798.99	...	3.98	Sale
10/14/20	300.000	2,172.92	Various	2,205.00	...	-32.08	Total of 2 transactions
	<b>Security total:</b>	<b>2,975.89</b>		<b>3,003.99</b>	...	<b>-28.10</b>	
ARROWHEAD PHARMACEUTICALS INC COM / CUSIP: 04280A100 / Symbol: ARWR							
10/21/20	25.000	1,427.22	10/21/20	1,400.00	...	27.22	Sale <sup>26</sup>
ASTROTECH CORPORATION COM / CUSIP: 046484200 / Symbol: ASTC							
12/11/20	500.000	959.97	12/09/20	962.50	...	-2.53	Sale <sup>26</sup>
AURORA CANNABIS INC COM / CUSIP: 05156X884 / Symbol: ACB							
11/05/20	100.000	609.98	11/05/20	559.00	...	50.98	Sale <sup>26</sup>
11/06/20	10.000	108.30	11/06/20	113.70	...	-5.40	Sale <sup>26</sup>
11/06/20	200.000	1,849.94	11/06/20	2,324.00	474.06 W	0.00	Sale <sup>26</sup>
11/09/20	190.000	2,538.32	11/06/20	2,160.36	...	377.96	Sale <sup>26</sup>
	<b>Security total:</b>	<b>5,106.54</b>		<b>5,157.06</b>	<b>474.06 W</b>	<b>423.54</b>	
AUTODESK INC COM / CUSIP: 052769106 / Symbol: ADSK							
10/16/20	10.000	2,579.94	10/15/20	2,523.20	...	56.74	Sale <sup>26</sup>
AVERY DENNISON CORP COM / CUSIP: 053611109 / Symbol: AVY							
09/16/20	30.000	3,875.90	09/16/20	3,865.50	...	10.40	Sale
10/06/20	30.000	3,865.11	09/17/20	3,872.40	...	-7.29	Sale
	<b>Security total:</b>	<b>7,741.01</b>		<b>7,737.90</b>	...	<b>3.11</b>	

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TD Ameritrade Clearing, Inc.

Account 455335189

**Proceeds from Broker and Barter Exchange Transactions**

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

(continued)

02/11/2021

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

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AXOGEN INC COM / CUSIP: 05463X106 / Symbol: AXGN							
12/17/20	100.000	1,703.22	12/07/20	1,700.37	...	2.85	Sale <sup>26</sup>
AYRO INC COM / CUSIP: 054748108 / Symbol: AYRO							
11/20/20	100.000	804.97	11/20/20	785.00	...	19.97	Sale <sup>26</sup>
BANK OF AMERICA CORPORATION COM / CUSIP: 060505104 / Symbol: BAC							
07/27/20	100.000	2,409.94	07/16/20	2,387.99	...	21.95	Sale
10/22/20	100.000	2,493.93	10/14/20	2,393.99	...	99.94	Sale <sup>26</sup>
	<b>Security total:</b>	<b>4,903.87</b>		<b>4,781.98</b>	...	<b>121.89</b>	
BEYOND MEAT INC COM / CUSIP: 08862E109 / Symbol: BYND							
10/05/20	15.000	2,591.94	09/30/20	2,575.50	...	16.44	Sale
BIGCOMMERCE HLDGS INC COM / CUSIP: 08975P108 / Symbol: BIGC							
08/26/20	20.000	2,919.94	08/13/20	1,556.00	...	1,363.94	Sale
08/27/20	30.000	4,369.10	08/27/20	4,350.00	...	19.10	Sale
10/12/20	40.000	4,082.11	Various	4,161.88	...	-79.77	Sale <sup>26</sup>
10/13/20	40.000	4,079.91	Various	3,639.87	...	440.04	Sale <sup>26</sup>
10/14/20	5.000	525.77	10/14/20	540.00	14.23 W	0.00	Sale <sup>26</sup>
11/24/20	40.000	3,239.93	11/16/20	2,680.00	...	559.93	Sale <sup>26</sup>
	<b>Security total:</b>	<b>19,216.76</b>		<b>16,927.75</b>	<b>14.23 W</b>	<b>2,303.24</b>	
BIOCRYST PHARMACEUTICALS INC COM / CUSIP: 09058V103 / Symbol: BCRX							
11/23/20	400.000	1,859.91	11/23/20	1,759.92	...	99.99	Sale <sup>26</sup>
12/04/20	100.000	599.98	12/04/20	566.00	...	33.98	Sale <sup>26</sup>
	<b>Security total:</b>	<b>2,459.89</b>		<b>2,325.92</b>	...	<b>133.97</b>	
BLACKBERRY LTD COM / CUSIP: 09228F103 / Symbol: BB							
12/02/20	200.000	1,549.95	12/02/20	1,577.98	...	-28.03	Sale <sup>26</sup>
BLINK CHARGING CO COM / CUSIP: 09354A100 / Symbol: BLNK							
09/22/20	300.000	2,759.91	09/22/20	2,861.22	...	-101.31	Sale
BLOOM ENERGY CORPORATION COM CL A / CUSIP: 093712107 / Symbol: BE							
08/13/20	70.000	974.37	07/29/20	860.34	...	114.03	Sale

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

(continued)

02/11/2021

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BLUE APRON HOLDINGS INC COM CL A / CUSIP: 09523Q200 / Symbol: APRN							
09/10/20	100.000	749.97	09/01/20	680.00	...	69.97	Sale
BOEING CO COM / CUSIP: 097023105 / Symbol: BA							
07/14/20	9.000	1,597.73	07/09/20	1,564.74	...	32.99	Sale
11/09/20	40.000	7,399.84	08/27/20	7,224.40	...	175.44	Sale <sup>26</sup>
11/13/20	20.000	3,739.92	Various	3,692.80	...	47.12	Sale <sup>26</sup>
11/16/20	25.000	5,059.89	11/16/20	5,058.75	...	1.14	Sale <sup>26</sup>
11/17/20	75.000	15,774.64	Various	15,469.86	...	304.78	Total of 3 transactions
11/17/20	25.000	5,124.89	11/17/20	5,200.00	75.11 W	0.00	Sale <sup>26</sup>
11/24/20	40.000	8,709.81	11/18/20	8,710.00	125.10 W	124.91	Sale <sup>26</sup>
12/03/20	20.000	4,759.90	Various	4,609.10	...	150.80	Total of 2 transactions
12/14/20	10.000	2,321.85	12/14/20	2,361.95	...	-40.10	Sale <sup>26</sup>
	<b>Security total:</b>	<b>54,488.47</b>		<b>53,891.60</b>	<b>200.21 W</b>	<b>797.08</b>	
BOQII HOLDING LIMITED ADR / CUSIP: 09950L104 / Symbol: BQ							
11/25/20	100.000	605.48	11/25/20	608.63	...	-3.15	Sale <sup>26</sup>
11/27/20	100.000	649.98	11/25/20	608.63	...	41.35	Sale <sup>26</sup>
	<b>Security total:</b>	<b>1,255.46</b>		<b>1,217.26</b>	...	<b>38.20</b>	
BOX INC COM CL A / CUSIP: 10316T104 / Symbol: BOX							
12/23/20	100.000	1,970.17	12/22/20	1,953.37	...	16.80	Sale <sup>26</sup>
BOXLIGHT CORPORATION COM CL A / CUSIP: 103197109 / Symbol: BOXL							
12/10/20	300.000	551.96	12/10/20	518.97	...	32.99	Sale <sup>26</sup>
BROADCOM INC COM / CUSIP: 11135F101 / Symbol: AVGO							
09/02/20	10.000	3,719.92	09/02/20	3,717.86	...	2.06	Sale
09/04/20	15.000	5,573.28	09/04/20	5,563.43	...	9.85	Sale
	<b>Security total:</b>	<b>9,293.20</b>		<b>9,281.29</b>	...	<b>11.91</b>	
BROADWAY FINL (DEL) COM / CUSIP: 111444105 / Symbol: BYFC							
10/22/20	1,000.000	1,839.85	10/22/20	1,835.00	...	4.85	Sale <sup>26</sup>

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Account 455335189

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

(continued)

02/11/2021

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C3.AI INC COM CL A / CUSIP: 12468P104 / Symbol: AI							
12/18/20	26.000	3,545.93	Various	3,718.00	172.07 W	0.00	Total of 3 transactions
12/21/20	50.000	7,474.82	Various	6,942.47	...	532.35	Sale <sup>26</sup>
12/22/20	10.000	1,776.31	12/22/20	1,754.95	...	21.36	Sale <sup>26</sup>
	<b>Security total:</b>	<b>12,797.06</b>		<b>12,415.42</b>	<b>172.07 W</b>	<b>553.71</b>	
CIIG MERGER CORP COM CL A / CUSIP: 12559C103 / Symbol: CIIC							
12/04/20	100.000	2,834.93	12/04/20	2,723.99	...	110.94	Sale <sup>26</sup>
CALLON PETROLEUM CO COM / CUSIP: 13123X508 / Symbol: CPE							
11/18/20	200.000	1,651.94	11/17/20	1,600.00	...	51.94	Sale <sup>26</sup>
CANAAN INC ADR / CUSIP: 134748102 / Symbol: CAN							
11/12/20	1,000.000	2,641.12	11/11/20	2,580.00	...	61.12	Sale <sup>26</sup>
CANADA GOOSE HOLDINGS INC COM / CUSIP: 135086106 / Symbol: GOOS							
09/16/20	60.000	1,685.35	09/16/20	1,665.00	...	20.35	Sale
09/17/20	100.000	2,835.43	09/16/20	2,846.99	...	-11.56	Sale
	<b>Security total:</b>	<b>4,520.78</b>		<b>4,511.99</b>	<b>...</b>	<b>8.79</b>	
CANADIAN SOLAR INC COM / CUSIP: 136635109 / Symbol: CSIQ							
12/22/20	50.000	2,435.94	12/21/20	2,325.00	...	110.94	Sale <sup>26</sup>
CARDIFF ONCOLOGY INC COM / CUSIP: 14147L108 / Symbol: CRDF							
11/20/20	50.000	912.47	11/06/20	937.50	...	-25.03	Sale <sup>26</sup>
11/23/20	50.000	941.47	11/06/20	937.50	...	3.97	Sale <sup>26</sup>
	<b>Security total:</b>	<b>1,853.94</b>		<b>1,875.00</b>	<b>...</b>	<b>-21.06</b>	
CARNIVAL CORP UNITS / CUSIP: 143658300 / Symbol: CCL							
10/30/20	100.000	1,279.96	10/28/20	1,261.76	...	18.20	Short sale closed <sup>26</sup>
11/27/20	100.000	2,194.95	11/25/20	2,078.83	...	116.12	Sale <sup>26</sup>
	<b>Security total:</b>	<b>3,474.91</b>		<b>3,340.59</b>	<b>...</b>	<b>134.32</b>	

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

(continued)

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CARVANA CO COM CL A / CUSIP: 146869102 / Symbol: CVNA							
11/20/20	15.000	3,510.32	Various	3,555.00	44.68 W	0.00	Total of 2 transactions
12/01/20	30.000	7,497.28	12/01/20	7,544.68	...	-47.40	Sale <sup>26</sup>
12/03/20	15.000	3,745.12	12/01/20	3,750.38	...	-5.26	Short sale closed <sup>26</sup>
	<b>Security total:</b>	<b>14,752.72</b>		<b>14,850.06</b>	<b>44.68 W</b>	<b>-52.66</b>	
CARVER BANCORP INC COM / CUSIP: 146875604 / Symbol: CARV							
10/08/20	300.000	2,444.92	09/29/20	2,290.71	...	154.21	Sale
CBAK ENERGY TECHNOLOGY INC COM / CUSIP: 14986C102 / Symbol: CBAT							
11/05/20	200.000	633.97	11/05/20	631.98	...	1.99	Sale <sup>26</sup>
11/13/20	400.000	2,696.89	Various	2,532.08	...	164.81	Total of 2 transactions
11/13/20	300.000	1,796.92	11/13/20	1,977.00	180.08 W	0.00	Sale <sup>26</sup>
11/16/20	800.000	8,498.73	Various	7,907.52	...	591.21	Total of 5 transactions
11/16/20	300.000	3,134.90	11/16/20	3,102.49	54.53 W	86.94	Sale <sup>26</sup>
11/17/20	150.000	1,544.95	11/17/20	1,429.50	...	115.45	Sale <sup>26</sup>
11/17/20	300.000	2,819.90	Various	3,006.05	186.15 W	0.00	Total of 2 transactions
11/19/20	150.000	1,145.95	11/19/20	1,174.49	...	-28.54	Sale <sup>26</sup>
11/20/20	300.000	2,414.91	11/19/20	2,386.57	...	28.34	Sale <sup>26</sup>
	<b>Security total:</b>	<b>24,687.12</b>		<b>24,147.68</b>	<b>420.76 W</b>	<b>960.20</b>	
CLOUDFLARE INC COM CL A / CUSIP: 18915M107 / Symbol: NET							
12/03/20	100.000	7,474.07	Various	7,462.00	...	12.07	Total of 2 transactions
CLOVIS ONCOLOGY INC COM / CUSIP: 189464100 / Symbol: CLVS							
09/14/20	200.000	1,369.95	08/26/20	1,238.00	...	131.95	Sale
CO DIAGNOSTICS INC COM / CUSIP: 189763105 / Symbol: CODX							
10/06/20	200.000	3,055.91	10/02/20	2,774.96	...	280.95	Sale
COCRYSTAL PHARMA INC COM / CUSIP: 19188J300 / Symbol: COCP							
07/10/20	100.000	192.00	07/09/20	186.00	...	6.00	Sale
COHEN & STEERS INFRASTRUCTURE COM USD0.001 / CUSIP: 19248A109 / Symbol: UTF							
11/13/20	100.000	2,599.94	11/09/20	2,563.00	...	36.94	Sale <sup>26</sup>
COLLECTIVE GROWTH CORP COM CL A / CUSIP: 19424L101 / Symbol: CGRO							
12/14/20	100.000	1,409.97	12/11/20	1,337.00	...	72.97	Sale <sup>26</sup>

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(continued)

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COMMERCIAL VEHICLE GROUP INC COM / CUSIP: 202608105 / Symbol: CVGI							
09/15/20	300.000	1,640.92	09/15/20	1,640.97	...	-0.05	Sale
COMSTOCK HOLDING COMPANIES INC COM CL A / CUSIP: 205684202 / Symbol: CHCI							
10/28/20	200.000	587.97	10/28/20	568.94	...	19.03	Sale <sup>26</sup>
COTY INC COM CL A / CUSIP: 222070203 / Symbol: COTY							
11/11/20	300.000	1,394.93	11/09/20	1,332.00	...	62.93	Sale <sup>26</sup>
11/13/20	300.000	1,399.77	Various	1,332.00	...	67.77	Total of 2 transactions
	<b>Security total:</b>	<b>2,794.70</b>		<b>2,664.00</b>	...	<b>130.70</b>	
CROWDSTRIKE HOLDINGS INC COM CL A / CUSIP: 22788C105 / Symbol: CRWD							
09/21/20	40.000	5,422.00	Various	5,432.00	...	-10.00	Total of 2 transactions
11/25/20	20.000	3,019.73	11/24/20	2,969.70	...	50.03	Sale <sup>26</sup>
	<b>Security total:</b>	<b>8,441.73</b>		<b>8,401.70</b>	...	<b>40.03</b>	
CRYOPORT INC COM / CUSIP: 229050307 / Symbol: CYRX							
11/10/20	40.000	2,185.95	10/14/20	2,160.00	...	25.95	Sale <sup>26</sup>
CYCLERION THERAPEUTICS INC COM / CUSIP: 23255M105 / Symbol: CYCN							
12/03/20	100.000	312.48	12/03/20	318.81	...	-6.33	Sale <sup>26</sup>
12/04/20	100.000	312.98	12/03/20	318.81	...	-5.83	Sale <sup>26</sup>
	<b>Security total:</b>	<b>625.46</b>		<b>637.62</b>	...	<b>-12.16</b>	
DR HORTON INC COM / CUSIP: 23331A109 / Symbol: DHI							
11/10/20	50.000	3,474.87	11/10/20	3,416.00	...	58.87	Sale <sup>26</sup>
DATADOG INC COM CL A / CUSIP: 23804L103 / Symbol: DDOG							
08/06/20	183.000	14,057.27	Various	13,832.57	...	224.70	Total of 2 transactions
08/13/20	50.000	3,899.90	08/07/20	3,881.00	...	18.90	Sale
12/17/20	40.000	4,319.90	Various	4,315.16	...	4.74	Sale <sup>26</sup>
	<b>Security total:</b>	<b>22,277.07</b>		<b>22,028.73</b>	...	<b>248.34</b>	
DAVE & BUSTER'S ENTERTAINMENT COM / CUSIP: 238337109 / Symbol: PLAY							
12/23/20	100.000	2,929.93	12/22/20	2,829.30	...	100.63	Sale <sup>26</sup>

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DEERE & CO COM / CUSIP: 244199105 / Symbol: DE							
08/21/20	100.000	20,099.55	08/21/20	19,970.00	...	129.55	Sale
11/06/20	10.000	2,485.95	11/06/20	2,486.24	...	-0.29	Sale <sup>26</sup>
	<b>Security total:</b>	<b>22,585.50</b>		<b>22,456.24</b>	...	<b>129.26</b>	
DELTA AIR LINES INC COM / CUSIP: 247361702 / Symbol: DAL							
09/15/20	50.000	1,672.20	09/08/20	1,648.50	...	23.70	Sale
DICERNA PHARMACEUTICALS INC COM / CUSIP: 253031108 / Symbol: DRNA							
12/03/20	100.000	2,499.94	11/30/20	2,493.40	...	6.54	Sale <sup>26</sup>
DIGITAL TURBINE INC COM / CUSIP: 25400W102 / Symbol: APPS							
09/23/20	30.000	1,002.01	09/18/20	989.28	...	12.73	Sale
DIREXION SHARES ETF TRUST DLY FIN BULL NEW ETF / CUSIP: 25459Y694 / Symbol: FAS							
06/16/20	100.000	3,613.91	06/12/20	3,200.01	...	413.90	Sale
07/06/20	100.000	3,327.42	06/24/20	3,066.99	...	260.43	Sale
	<b>Security total:</b>	<b>6,941.33</b>		<b>6,267.00</b>	...	<b>674.33</b>	
DIREXION SHARES ETF TRUST 1:20 R/S 1/11/21 25460E257 / CUSIP: 25460E331 / Symbol:							
09/22/20	400.000	2,351.90	09/21/20	2,354.00	...	-2.10	Sale
DIREXION SHARES ETF TRUST DIRXN DLY JR GLD MIN IDX 2X / CUSIP: 25460G831 / Symbol: JNUG							
11/27/20	100.000	9,974.77	Various	9,771.00	...	203.77	Total of 2 transactions
DIREXION SHARES ETF TRUST DAILY RGNAL BULL ETF / CUSIP: 25460G864 / Symbol: DPST							
06/12/20	62.000	4,102.77	06/12/20	3,859.25	...	243.52	Sale
06/29/20	23.000	1,278.31	06/26/20	1,152.30	...	126.01	Sale
07/13/20	175.000	9,015.55	Various	9,197.35	386.69 W	204.89	Total of 2 transactions
07/21/20	41.000	2,295.95	Various	2,268.06	5.95 W	33.84	Sale
07/28/20	50.000	2,684.93	07/27/20	2,656.87	...	28.06	Sale
08/05/20	50.000	2,754.93	07/31/20	2,655.00	...	99.93	Sale
09/03/20	41.000	2,664.94	Various	2,583.08	...	81.86	Sale
09/22/20	90.000	3,959.90	09/21/20	3,905.05	...	54.85	Sale
09/28/20	100.000	4,419.89	09/22/20	4,171.00	...	248.89	Sale
11/19/20	20.000	1,895.16	11/19/20	1,850.40	...	44.76	Sale <sup>26</sup>
12/01/20	25.000	2,499.94	11/30/20	2,412.00	...	87.94	Sale <sup>26</sup>

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TD Ameritrade Clearing, Inc.

Account 455335189

## Proceeds from Broker and Barter Exchange Transactions

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

(continued)

02/11/2021

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

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DIREXION SHARES ETF TRUST DAILY RGNAL BULL ETF / CUSIP: 25460G864 / Symbol: DPST (cont'd)							
12/02/20	25.000	2,433.08	11/30/20	2,412.00	...	21.08	Sale <sup>26</sup>
12/17/20	20.000	2,285.05	12/17/20	2,267.15	...	17.90	Sale <sup>26</sup>
	<b>Security total:</b>	<b>42,290.40</b>		<b>41,389.51</b>	<b>392.64 W</b>	<b>1,293.53</b>	
DOCUSIGN INC COM / CUSIP: 256163106 / Symbol: DOCU							
10/01/20	80.000	17,845.60	Various	17,751.70	...	93.90	Total of 3 transactions
10/12/20	14.000	3,268.58	10/12/20	3,238.76	...	29.82	Sale <sup>26</sup>
10/13/20	10.000	2,393.15	10/13/20	2,392.87	...	0.28	Sale <sup>26</sup>
11/04/20	10.000	2,259.95	10/26/20	2,252.90	...	7.05	Sale <sup>26</sup>
12/04/20	30.000	7,559.83	12/04/20	7,544.46	...	15.37	Sale <sup>26</sup>
	<b>Security total:</b>	<b>33,327.11</b>		<b>33,180.69</b>	...	<b>146.42</b>	
DOMO INC COM CL B / CUSIP: 257554105 / Symbol: DOMO							
12/04/20	80.000	3,556.32	Various	3,366.80	...	189.52	Total of 2 transactions
DPW HOLDINGS INC N/C 1/19/21 05150X104 / CUSIP: 26140E600 / Symbol:							
10/07/20	500.000	1,149.96	10/06/20	1,107.50	...	42.46	Sale
DRAFTKINGS INC COM CL A / CUSIP: 26142R104 / Symbol: DKNG							
09/14/20	50.000	2,300.44	09/14/20	2,274.00	...	26.44	Sale
09/16/20	100.000	5,264.08	Various	5,171.95	...	92.13	Total of 2 transactions
09/17/20	100.000	5,313.86	Various	5,351.57	22.65 W	-15.06	Total of 2 transactions
09/18/20	30.000	1,630.16	09/18/20	1,649.96	...	-19.80	Sale
11/25/20	100.000	5,075.18	11/25/20	5,017.40	...	57.78	Sale <sup>26</sup>
11/25/20	100.000	4,999.88	11/25/20	5,056.00	56.12 W	0.00	Sale <sup>26</sup>
11/27/20	100.000	5,155.89	Various	5,206.99	51.10 W	0.00	Total of 2 transactions
11/30/20	100.000	5,378.86	11/25/20	5,012.38	...	366.48	Sale <sup>26</sup>
12/17/20	25.000	1,373.97	12/09/20	1,319.25	...	54.72	Sale <sup>26</sup>
	<b>Security total:</b>	<b>36,492.32</b>		<b>36,059.50</b>	<b>129.87 W</b>	<b>562.69</b>	
DUKE ENERGY CORP COM / CUSIP: 26441C204 / Symbol: DUK							
09/30/20	25.000	2,199.95	09/30/20	2,231.25	...	-31.30	Sale
EPR PROPERTIES SBI USD0.01 / CUSIP: 26884U109 / Symbol: EPR							
11/24/20	100.000	4,141.40	11/24/20	4,010.00	...	131.40	Sale <sup>26</sup>

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Account 455335189

**Proceeds from Broker and Barter Exchange Transactions**

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

(continued)

02/11/2021

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EASTMAN KODAK CO COM / CUSIP: 277461406 / Symbol: KODK							
09/11/20	100.000	643.14	09/11/20	631.50	...	11.64	Sale
09/14/20	200.000	1,304.95	09/11/20	1,295.05	...	9.90	Sale
09/17/20	200.000	2,299.93	09/17/20	2,250.00	...	49.93	Sale
09/18/20	201.000	2,339.57	Various	2,331.16	...	8.41	Sale
12/07/20	167.000	2,214.48	Various	1,686.70	...	527.78	Total of 2 transactions
<b>Security total:</b>		<b>8,802.07</b>		<b>8,194.41</b>	...	<b>607.66</b>	
EDITAS MEDICINE INC COM / CUSIP: 28106W103 / Symbol: EDIT							
12/28/20	20.000	1,735.96	12/24/20	1,736.00	...	-0.04	Sale <sup>26</sup>
EIDOS THERAPEUTICS INC 1.85:1 EXC 1/27/21 10806X102 / CUSIP: 28249H104 / Symbol: EIDX							
10/05/20	35.000	2,486.70	10/05/20	2,450.00	...	36.70	Sale
ELECTRAMECCANICA VEHS CORP COM / CUSIP: 284849205 / Symbol: SOLO							
10/29/20	300.000	892.95	Various	870.00	...	22.95	Total of 2 transactions
11/12/20	300.000	1,340.96	11/12/20	1,281.00	...	59.96	Sale <sup>26</sup>
11/17/20	300.000	2,045.92	11/17/20	2,013.00	...	32.92	Sale <sup>26</sup>
<b>Security total:</b>		<b>4,279.83</b>		<b>4,164.00</b>	...	<b>115.83</b>	
EMAGIN CORP COM / CUSIP: 29076N206 / Symbol: EMAN							
08/14/20	500.000	924.92	08/13/20	927.00	...	-2.08	Sale
ENPHASE ENERGY INC COM / CUSIP: 29355A107 / Symbol: ENPH							
09/16/20	30.000	2,238.85	09/16/20	2,239.05	...	-0.20	Sale
EQUILLIUM INC COM / CUSIP: 29446K106 / Symbol: EQ							
11/20/20	50.000	241.27	Various	271.00	...	-29.73	Total of 2 transactions
12/11/20	25.000	117.77	11/11/20	135.50	...	-17.73	Sale <sup>26</sup>
12/30/20	25.000	144.75	11/11/20	135.50	...	9.25	Sale <sup>26</sup>
<b>Security total:</b>		<b>503.79</b>		<b>542.00</b>	...	<b>-38.21</b>	

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(continued)

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ETSY INC COM / CUSIP: 29786A106 / Symbol: ETSY							
06/24/20	20.000	1,978.91	06/04/20	1,642.07	...	336.84	Sale
11/19/20	20.000	2,659.86	11/09/20	2,664.10	4.24 W	0.00	Sale <sup>26</sup>
11/20/20	15.000	2,079.78	11/20/20	2,074.01	...	5.77	Sale <sup>26</sup>
11/25/20	20.000	2,881.84	11/25/20	2,849.96	...	31.88	Sale <sup>26</sup>
	<b>Security total:</b>	<b>9,600.39</b>		<b>9,230.14</b>	<b>4.24 W</b>	<b>374.49</b>	
EVERBRIDGE INC COM / CUSIP: 29978A104 / Symbol: EVBG							
12/15/20	30.000	4,214.01	12/15/20	4,219.50	...	-5.49	Sale <sup>26</sup>
EVERI HOLDINGS INC COM / CUSIP: 30034T103 / Symbol: EVRI							
10/06/20	200.000	1,797.96	10/06/20	1,835.96	...	-38.00	Sale
EXPRESS INC COM / CUSIP: 30219E103 / Symbol: EXPR							
11/23/20	500.000	677.43	11/23/20	613.95	...	63.48	Sale <sup>26</sup>
FAT BRANDS INC COM / CUSIP: 30258N105 / Symbol: FAT							
12/11/20	20.000	194.00	10/26/20	124.80	...	69.20	Sale <sup>26</sup>
FACEBOOK INC COM CL A / CUSIP: 30303M102 / Symbol: FB							
09/02/20	10.000	3,021.43	09/02/20	2,984.90	...	36.53	Sale
10/01/20	25.000	6,699.85	10/01/20	6,674.40	...	25.45	Sale
10/27/20	10.000	2,835.94	10/26/20	2,836.00	0.06 W	0.00	Sale <sup>26</sup>
11/05/20	10.000	2,950.83	11/05/20	2,947.06	...	3.77	Sale <sup>26</sup>
12/15/20	10.000	2,746.39	12/15/20	2,745.10	...	1.29	Sale <sup>26</sup>
12/16/20	10.000	2,762.43	12/15/20	2,745.10	...	17.33	Sale <sup>26</sup>
12/18/20	20.000	5,519.88	12/18/20	5,430.00	...	89.88	Sale <sup>26</sup>
	<b>Security total:</b>	<b>26,536.75</b>		<b>26,362.56</b>	<b>0.06 W</b>	<b>174.25</b>	
FASTLY INC COM CL A / CUSIP: 31188V100 / Symbol: FSLY							
10/07/20	20.000	2,271.15	10/06/20	2,064.70	...	206.45	Sale
10/20/20	1.000	85.25	10/16/20	85.15	...	0.10	Short sale closed <sup>26</sup>
12/04/20	100.000	9,566.24	11/30/20	9,066.93	...	499.31	Sale <sup>26</sup>
12/04/20	100.000	9,223.51	Various	9,629.00	405.49 W	0.00	Total of 3 transactions
12/08/20	30.000	2,870.04	12/08/20	2,749.95	...	120.09	Sale <sup>26</sup>
12/17/20	20.000	2,014.36	12/17/20	2,009.90	...	4.46	Sale <sup>26</sup>
	<b>Security total:</b>	<b>26,030.55</b>		<b>25,605.63</b>	<b>405.49 W</b>	<b>830.41</b>	

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Account 455335189

**Proceeds from Broker and Barter Exchange Transactions**

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

(continued)

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FEDEX CORP COM / CUSIP: 31428X106 / Symbol: FDX							
09/25/20	15.000	3,705.97	09/23/20	3,743.31	37.34 W	0.00	Sale
09/28/20	15.000	3,869.91	09/23/20	3,743.31	...	126.60	Sale
10/07/20	20.000	5,373.38	10/07/20	5,391.54	...	-18.16	Sale
<b>Security total:</b>		<b>12,949.26</b>		<b>12,878.16</b>	<b>37.34 W</b>	<b>108.44</b>	
FISKER INC COM CL A / CUSIP: 33813J106 / Symbol: FSR							
11/13/20	250.000	4,399.87	Various	4,200.00	...	199.87	Total of 3 transactions
11/25/20	100.000	1,799.95	11/23/20	1,586.04	...	213.91	Sale <sup>26</sup>
11/25/20	100.000	1,699.95	11/25/20	1,700.00	0.05 W	0.00	Sale <sup>26</sup>
<b>Security total:</b>		<b>7,899.77</b>		<b>7,486.04</b>	<b>0.05 W</b>	<b>413.78</b>	
FIVE9 INC COM / CUSIP: 338307101 / Symbol: FIVN							
10/05/20	100.000	13,414.18	Various	13,348.22	...	65.96	Total of 2 transactions
FIVE PRIME THERAPEUTICS COM / CUSIP: 33830X104 / Symbol: FPRX							
11/11/20	50.000	924.97	11/11/20	910.00	...	14.97	Sale <sup>26</sup>
11/13/20	100.000	1,997.94	Various	1,878.00	...	119.94	Total of 2 transactions
11/13/20	10.000	192.00	11/10/20	210.00	18.00 W	0.00	Short sale closed <sup>26</sup>
<b>Security total:</b>		<b>3,114.91</b>		<b>2,998.00</b>	<b>18.00 W</b>	<b>134.91</b>	
FLUIDIGM CORP DEL COM / CUSIP: 34385P108 / Symbol: FLDM							
09/18/20	100.000	787.37	09/18/20	770.58	...	16.79	Sale
FOSSIL GROUP INC COM / CUSIP: 34988V106 / Symbol: FOSL							
12/16/20	200.000	1,955.93	12/14/20	1,932.00	...	23.93	Short sale closed <sup>26</sup>
FUELCELL ENERGY INC COM / CUSIP: 35952H601 / Symbol: FCEL							
11/18/20	200.000	1,083.98	11/18/20	924.00	...	159.98	Sale <sup>26</sup>
12/22/20	200.000	1,969.94	12/18/20	1,872.00	...	97.94	Sale <sup>26</sup>
<b>Security total:</b>		<b>3,053.92</b>		<b>2,796.00</b>	...	<b>257.92</b>	
G-III APPAREL GROUP COM / CUSIP: 36237H101 / Symbol: GIII							
09/16/20	100.000	1,483.46	09/15/20	1,497.00	...	-13.54	Sale

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(continued)

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GSX TECHEDU INC ADR / CUSIP: 36257Y109 / Symbol: GSX							
09/11/20	40.000	3,419.92	09/11/20	3,431.94	12.02 W	0.00	Sale
09/15/20	100.000	9,899.77	09/15/20	9,835.01	...	64.76	Sale
	<b>Security total:</b>	<b>13,319.69</b>		<b>13,266.95</b>	<b>12.02 W</b>	<b>64.76</b>	
GAMESTOP CORPORATION COM CL A / CUSIP: 36467W109 / Symbol: GME							
09/17/20	100.000	918.47	09/17/20	928.99	...	-10.52	Sale
11/30/20	50.000	949.97	11/27/20	760.15	...	189.82	Sale <sup>26</sup>
	<b>Security total:</b>	<b>1,868.44</b>		<b>1,689.14</b>	...	<b>179.30</b>	
GENERAC HLDGS INC COM / CUSIP: 368736104 / Symbol: GNRC							
12/15/20	10.000	2,216.80	12/14/20	2,203.50	...	13.30	Sale <sup>26</sup>
GENERAL ELECTRIC CO COM / CUSIP: 369604103 / Symbol: GE							
08/10/20	200.000	1,325.97	07/29/20	1,309.98	...	15.99	Sale
GEVO INC COM / CUSIP: 374396406 / Symbol: GEVO							
11/23/20	250.000	579.96	11/23/20	505.00	...	74.96	Sale <sup>26</sup>
GILEAD SCIENCES INC COM / CUSIP: 375558103 / Symbol: GILD							
10/22/20	50.000	3,192.92	10/22/20	3,185.02	...	7.90	Sale <sup>26</sup>
10/22/20	15.000	949.48	10/22/20	957.75	8.27 W	0.00	Sale <sup>26</sup>
12/01/20	15.000	925.93	10/23/20	955.50	...	-29.57	Sale <sup>26</sup>
12/08/20	15.000	917.01	10/23/20	955.50	...	-38.49	Sale <sup>26</sup>
	<b>Security total:</b>	<b>5,985.34</b>		<b>6,053.77</b>	<b>8.27 W</b>	<b>-60.16</b>	
GLAUKOS CORPORATION COM / CUSIP: 377322102 / Symbol: GKOS							
10/09/20	50.000	2,747.43	10/08/20	2,621.50	...	125.93	Sale <sup>26</sup>
GREENPOWER MTR CO INC COM / CUSIP: 39540E302 / Symbol: GP							
11/16/20	30.000	469.49	11/16/20	469.35	...	0.14	Sale <sup>26</sup>
HEAT BIOLOGICS INC 1:7 R/S 12/11/20 42237K409 / CUSIP: 42237K300 / Symbol:							
09/17/20	2,000.000	2,999.69	09/17/20	2,859.60	...	140.09	Sale
HELMERICH & PAYNE INC COM / CUSIP: 423452101 / Symbol: HP							
11/24/20	100.000	2,421.94	11/24/20	2,424.00	...	-2.06	Sale <sup>26</sup>

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(continued)

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HUMANIGEN INC COM / CUSIP: 444863203 / Symbol: HGEN							
12/22/20	100.000	2,068.44	Various	1,878.74	...	189.70	Total of 2 transactions
IDEANOMICS INC COM / CUSIP: 45166V106 / Symbol: IDEX							
08/10/20	1,000.000	1,809.84	Various	1,273.42	...	536.42	Sale
11/20/20	500.000	749.92	08/10/20	740.00	...	9.92	Sale <sup>26</sup>
12/02/20	200.000	469.97	12/02/20	475.98	...	-6.01	Sale <sup>26</sup>
	<b>Security total:</b>	<b>3,029.73</b>		<b>2,489.40</b>	...	<b>540.33</b>	
IMMUNOGEN INC COM / CUSIP: 45253H101 / Symbol: IMGX							
10/16/20	100.000	582.09	10/16/20	561.99	...	20.10	Sale <sup>26</sup>
IMMUTEP LTD ADR SPONSORED / CUSIP: 45257L108 / Symbol: IMMP							
12/10/20	500.000	3,374.87	12/10/20	3,248.68	...	126.19	Sale <sup>26</sup>
JAKKS PACIFIC INC COM / CUSIP: 47012E403 / Symbol: JAKK							
12/29/20	100.000	493.99	11/05/20	470.00	...	23.99	Sale <sup>26</sup>
JUMIA TECHNOLOGIES AG ADR SPONSORED / CUSIP: 48138M105 / Symbol: JMIA							
07/20/20	250.000	2,208.67	Various	2,018.49	...	190.18	Sale
10/16/20	50.000	777.47	10/14/20	666.03	...	111.44	Sale <sup>26</sup>
10/16/20	50.000	749.97	10/16/20	760.00	10.03 W	0.00	Sale <sup>26</sup>
10/19/20	100.000	1,544.96	10/19/20	1,544.00	...	0.96	Sale <sup>26</sup>
10/20/20	50.000	849.97	10/19/20	788.02	...	61.95	Sale <sup>26</sup>
10/20/20	200.000	3,189.91	Various	3,129.50	16.02 W	76.43	Sale <sup>26</sup>
10/22/20	100.000	1,638.95	10/22/20	1,610.00	...	28.95	Sale <sup>26</sup>
10/23/20	15.000	267.14	10/23/20	261.53	...	5.61	Sale <sup>26</sup>
10/29/20	50.000	867.47	10/29/20	847.50	...	19.97	Sale <sup>26</sup>
11/05/20	200.000	3,889.89	11/05/20	3,730.05	...	159.84	Sale <sup>26</sup>
11/05/20	100.000	1,854.95	11/05/20	1,900.00	45.05 W	0.00	Sale <sup>26</sup>
11/18/20	500.000	9,820.04	Various	9,471.17	...	348.87	Total of 6 transactions
11/18/20	200.000	3,639.90	11/18/20	4,038.90	399.00 W	0.00	Sale <sup>26</sup>
11/19/20	150.000	3,322.42	11/19/20	3,311.01	...	11.41	Sale <sup>26</sup>
12/02/20	50.000	1,657.70	12/02/20	1,592.50	...	65.20	Sale <sup>26</sup>
12/10/20	50.000	1,764.95	12/10/20	1,686.50	...	78.45	Sale <sup>26</sup>
12/16/20	48.000	1,913.70	12/11/20	1,862.40	...	51.30	Sale <sup>26</sup>

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Account 455335189

**Proceeds from Broker and Barter Exchange Transactions**

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

(continued)

02/11/2021

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JUMIA TECHNOLOGIES AG ADR SPONSORED / CUSIP: 48138M105 / Symbol: JMIA (cont'd)							
12/18/20	100.000	4,319.89	12/18/20	4,320.00	0.11 W	0.00	Sale <sup>26</sup>
12/22/20	100.000	4,400.01	12/22/20	4,373.10	...	26.91	Sale <sup>26</sup>
	<b>Security total:</b>	<b>48,677.96</b>		<b>47,910.70</b>	<b>470.21 W</b>	<b>1,237.47</b>	
KALEYRA INC COM / CUSIP: 483379103 / Symbol: KLR							
09/02/20	300.000	2,210.88	Various	2,223.00	...	-12.12	Total of 2 transactions
KANDI TECHNOLOGIES GROUP INC COM / CUSIP: 483709101 / Symbol: KNDI							
11/16/20	200.000	1,535.99	11/13/20	1,509.00	...	26.99	Sale <sup>26</sup>
11/17/20	200.000	2,020.54	11/17/20	2,000.00	...	20.54	Sale <sup>26</sup>
11/19/20	150.000	1,942.44	11/19/20	2,014.49	...	-72.05	Sale <sup>26</sup>
	<b>Security total:</b>	<b>5,498.97</b>		<b>5,523.49</b>	...	<b>-24.52</b>	
KEYSIGHT TECHNOLOGIES INC COM / CUSIP: 49338L103 / Symbol: KEYS							
11/10/20	25.000	2,775.69	11/06/20	2,825.00	...	-49.31	Short sale closed <sup>26</sup>
11/13/20	25.000	2,775.68	11/10/20	2,800.00	...	-24.32	Short sale closed <sup>26</sup>
	<b>Security total:</b>	<b>5,551.37</b>		<b>5,625.00</b>	...	<b>-73.63</b>	
KINGSOFT CLOUD HLDGS LTD ADR / CUSIP: 49639K101 / Symbol: KC							
09/17/20	40.000	1,581.17	09/16/20	1,538.60	...	42.57	Sale
KINROSS GOLD CORP COM / CUSIP: 496902404 / Symbol: KGC							
09/18/20	50.000	498.58	09/18/20	491.91	...	6.67	Sale
KIRKLAND'S INC COM / CUSIP: 497498105 / Symbol: KIRK							
09/10/20	200.000	1,619.94	09/10/20	1,600.06	...	19.88	Sale
09/10/20	200.000	1,599.94	09/10/20	1,620.00	20.06 W	0.00	Sale
	<b>Security total:</b>	<b>3,219.88</b>		<b>3,220.06</b>	<b>20.06 W</b>	<b>19.88</b>	
KOHLS CORPORATION COM / CUSIP: 500255104 / Symbol: KSS							
11/09/20	100.000	2,419.94	09/16/20	2,418.93	...	1.01	Sale <sup>26</sup>
KOPIN CORP COM / CUSIP: 500600101 / Symbol: KOPN							
11/30/20	500.000	890.62	11/30/20	839.95	...	50.67	Sale <sup>26</sup>

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Account 455335189

## Proceeds from Broker and Barter Exchange Transactions

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

(continued)

02/11/2021

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LI AUTO INC ADR / CUSIP: 50202M102 / Symbol: LI							
11/13/20	25.000	999.98	11/13/20	966.00	...	33.98	Sale <sup>26</sup>
11/13/20	25.000	912.48	11/13/20	966.00	53.52 W	0.00	Sale <sup>26</sup>
	<b>Security total:</b>	<b>1,912.46</b>		<b>1,932.00</b>	<b>53.52 W</b>	<b>33.98</b>	
LAM RESEARCH CORP COM / CUSIP: 512807108 / Symbol: LRCX							
08/28/20	10.000	3,504.52	08/25/20	3,552.00	...	-47.48	Sale
09/02/20	10.000	3,564.17	08/25/20	3,552.00	...	12.17	Sale
	<b>Security total:</b>	<b>7,068.69</b>		<b>7,104.00</b>	...	<b>-35.31</b>	
LEMONADE INC COM / CUSIP: 52567D107 / Symbol: LMND							
11/30/20	50.000	3,844.42	11/30/20	3,742.00	...	102.42	Sale <sup>26</sup>
LENDING CLUB CORP COM / CUSIP: 52603A208 / Symbol: LC							
11/19/20	200.000	1,275.95	11/18/20	1,336.00	60.05 W	0.00	Sale <sup>26</sup>
11/20/20	500.000	3,379.88	11/20/20	3,435.05	...	-55.17	Sale <sup>26</sup>
	<b>Security total:</b>	<b>4,655.83</b>		<b>4,771.05</b>	<b>60.05 W</b>	<b>-55.17</b>	
LIGHTBRIDGE CORPORATION COM / CUSIP: 53224K302 / Symbol: LTBR							
10/13/20	600.000	1,841.95	10/12/20	2,009.94	...	-167.99	Sale <sup>26</sup>
LIMINAL BIOSCIENCES INC COM / CUSIP: 53272L103 / Symbol: LMNL							
11/18/20	300.000	1,366.34	11/18/20	1,311.00	...	55.34	Sale <sup>26</sup>
12/04/20	200.000	901.98	12/03/20	865.40	...	36.58	Sale <sup>26</sup>
	<b>Security total:</b>	<b>2,268.32</b>		<b>2,176.40</b>	...	<b>91.92</b>	
LMP AUTOMOTIVE HOLDINGS INC COM / CUSIP: 53952P101 / Symbol: LMPX							
09/23/20	50.000	1,121.72	09/21/20	1,122.50	...	-0.78	Sale
LONGVIEW ACQUISITION CORP COM CL A / CUSIP: 543195101 / Symbol: LGVW							
12/03/20	100.000	1,542.05	Various	1,484.99	...	57.06	Total of 2 transactions
12/22/20	99.000	1,770.02	Various	1,612.22	...	157.80	Total of 2 transactions
12/30/20	100.000	2,097.44	12/29/20	2,020.00	...	77.44	Sale <sup>26</sup>
	<b>Security total:</b>	<b>5,409.51</b>		<b>5,117.21</b>	...	<b>292.30</b>	

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

(continued)

02/11/2021

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LULULEMON ATHLETICA INC COM / CUSIP: 550021109 / Symbol: LULU							
09/10/20	20.000	6,636.65	09/10/20	6,578.00	...	58.65	Sale
11/27/20	20.000	7,289.84	11/27/20	7,291.50	...	-1.66	Sale <sup>26</sup>
	<b>Security total:</b>	<b>13,926.49</b>		<b>13,869.50</b>	...	<b>56.99</b>	
LYFT INC COM CL A / CUSIP: 55087P104 / Symbol: LYFT							
12/08/20	50.000	2,363.44	12/07/20	2,336.25	...	27.19	Sale <sup>26</sup>
MP MATERIALS CORP COM CL A / CUSIP: 553368101 / Symbol: MP							
11/23/20	50.000	979.97	11/23/20	935.00	...	44.97	Sale <sup>26</sup>
12/02/20	50.000	1,063.97	11/30/20	1,011.50	...	52.47	Sale <sup>26</sup>
12/16/20	50.000	1,294.96	12/15/20	1,270.25	...	24.71	Sale <sup>26</sup>
12/22/20	50.000	1,944.96	12/22/20	1,899.00	...	45.96	Sale <sup>26</sup>
	<b>Security total:</b>	<b>5,283.86</b>		<b>5,115.75</b>	...	<b>168.11</b>	
MAGNITE INC COM / CUSIP: 55955D100 / Symbol: MGNI							
10/13/20	300.000	2,645.90	10/13/20	2,637.00	...	8.90	Sale <sup>26</sup>
MANNKIND CORPORATION COM / CUSIP: 56400P706 / Symbol: MNKD							
10/23/20	300.000	613.86	Various	642.00	...	-28.14	Total of 3 transactions
MARATHON PATENT GROUP INC COM / CUSIP: 56585W401 / Symbol: MARA							
10/21/20	150.000	432.18	10/21/20	445.50	13.32 W	0.00	Sale <sup>26</sup>
11/17/20	300.000	846.09	11/17/20	826.32	...	19.77	Sale <sup>26</sup>
12/15/20	50.000	317.48	12/14/20	288.00	...	29.48	Sale <sup>26</sup>
	<b>Security total:</b>	<b>1,595.75</b>		<b>1,559.82</b>	<b>13.32 W</b>	<b>49.25</b>	
MARRIOTT VACATIONS WORLDWIDE C COM / CUSIP: 57164Y107 / Symbol: VAC							
11/03/20	30.000	3,072.05	10/23/20	3,088.35	...	-16.30	Sale <sup>26</sup>
MATCH GROUP INC COM / CUSIP: 57667L107 / Symbol: MTCH							
10/23/20	15.000	1,781.81	10/23/20	1,773.00	...	8.81	Sale <sup>26</sup>
MEDIGUS ADR SPONSORED / CUSIP: 58471G300 / Symbol: MDGS							
12/08/20	300.000	599.95	12/04/20	593.52	...	6.43	Sale <sup>26</sup>

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

(continued)

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MICROSOFT CORP COM / CUSIP: 594918104 / Symbol: MSFT							
07/29/20	15.000	3,056.48	07/17/20	3,025.20	...	31.28	Sale
09/09/20	30.000	6,356.26	09/09/20	6,336.60	...	19.66	Sale
09/14/20	15.000	3,118.21	09/14/20	3,088.80	...	29.41	Sale
12/21/20	30.000	6,628.35	12/17/20	6,606.00	...	22.35	Sale <sup>26</sup>
	<b>Security total:</b>	<b>19,159.30</b>		<b>19,056.60</b>	...	<b>102.70</b>	
MICROVISION INC WASHINGTON COM / CUSIP: 594960304 / Symbol: MVIS							
07/17/20	300.000	907.44	06/29/20	405.48	...	501.96	Sale
08/04/20	600.000	1,571.90	Various	1,042.98	...	528.92	Sale
	<b>Security total:</b>	<b>2,479.34</b>		<b>1,448.46</b>	...	<b>1,030.88</b>	
MODERNA INC COM / CUSIP: 60770K107 / Symbol: MRNA							
10/27/20	20.000	1,418.97	10/26/20	1,396.60	...	22.37	Sale <sup>26</sup>
11/16/20	40.000	3,860.71	11/16/20	3,881.80	...	-21.09	Sale <sup>26</sup>
	<b>Security total:</b>	<b>5,279.68</b>		<b>5,278.40</b>	...	<b>1.28</b>	
MOXIAN INC COM / CUSIP: 624697306 / Symbol: MOXC							
11/25/20	500.000	739.92	11/11/20	660.00	...	79.92	Sale <sup>26</sup>
MYOMO INC COM / CUSIP: 62857J201 / Symbol: MYO							
11/11/20	250.000	1,499.94	11/11/20	1,452.50	...	47.44	Sale <sup>26</sup>
NIO INC ADR / CUSIP: 62914V106 / Symbol: NIO							
11/04/20	50.000	1,849.95	11/04/20	1,840.50	...	9.45	Sale <sup>26</sup>
11/12/20	40.000	1,839.96	11/10/20	1,664.20	...	175.76	Sale <sup>26</sup>
11/19/20	70.000	3,359.92	Various	3,334.40	90.03 W	115.55	Sale <sup>26</sup>
12/18/20	50.000	2,368.44	12/16/20	2,340.78	...	27.66	Sale <sup>26</sup>
	<b>Security total:</b>	<b>9,418.27</b>		<b>9,179.88</b>	<b>90.03 W</b>	<b>328.42</b>	
NANTKWEST INC COM / CUSIP: 63016Q102 / Symbol: NK							
12/07/20	100.000	1,052.97	10/15/20	1,002.00	...	50.97	Sale <sup>26</sup>
NETFLIX INC COM / CUSIP: 64110L106 / Symbol: NFLX							
07/17/20	5.000	2,469.60	07/16/20	2,370.00	...	99.60	Sale
07/27/20	5.000	2,425.85	07/16/20	2,370.00	...	55.85	Sale
08/28/20	5.000	2,665.69	08/28/20	2,692.90	...	-27.21	Sale

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NETFLIX INC COM / CUSIP: 64110L106 / Symbol: NFLX (cont'd)							
09/01/20	15.000	8,204.82	08/28/20	8,078.70	...	126.12	Sale
10/22/20	1.000	499.45	10/20/20	497.00	...	2.45	Short sale closed <sup>26</sup>
	<b>Security total:</b>	<b>16,265.41</b>		<b>16,008.60</b>	...	<b>256.81</b>	
NEW CONCEPT ENERGY INC COM / CUSIP: 643611106 / Symbol: GBR							
10/22/20	250.000	459.99	10/22/20	437.50	...	22.49	Sale <sup>26</sup>
NICE LTD ADR SPONSORED / CUSIP: 653656108 / Symbol: NICE							
10/12/20	20.000	4,791.29	08/27/20	4,723.40	...	67.89	Sale <sup>26</sup>
NIKE INC COM CL B / CUSIP: 654106103 / Symbol: NKE							
09/11/20	30.000	3,547.12	09/11/20	3,517.20	...	29.92	Sale
NIKOLA CORPORATION COM / CUSIP: 654110105 / Symbol: NKLA							
07/31/20	50.000	1,506.97	07/24/20	1,509.50	...	-2.53	Sale
09/08/20	250.000	13,107.10	Various	13,002.03	...	105.07	Total of 4 transactions
11/20/20	50.000	1,252.46	11/20/20	1,292.50	40.04 W	0.00	Sale <sup>26</sup>
11/24/20	100.000	3,499.91	11/24/20	3,259.03	...	240.88	Sale <sup>26</sup>
	<b>Security total:</b>	<b>19,366.44</b>		<b>19,063.06</b>	<b>40.04 W</b>	<b>343.42</b>	
9F INC ADR / CUSIP: 65442R109 / Symbol: JFU							
10/20/20	500.000	849.92	10/20/20	850.00	...	-0.08	Sale <sup>26</sup>
NIU TECHNOLOGIES ADR / CUSIP: 65481N100 / Symbol: NIU							
10/06/20	100.000	2,320.94	10/05/20	2,307.58	...	13.36	Sale
NOVAVAX INC COM / CUSIP: 670002401 / Symbol: NVAX							
09/16/20	30.000	3,567.67	09/16/20	3,492.00	...	75.67	Sale
11/12/20	50.000	4,717.39	11/12/20	4,697.50	...	19.89	Sale <sup>26</sup>
11/25/20	30.000	3,112.58	11/25/20	3,074.54	...	38.04	Sale <sup>26</sup>
	<b>Security total:</b>	<b>11,397.64</b>		<b>11,264.04</b>	...	<b>133.60</b>	
NVIDIA CORP COM / CUSIP: 67066G104 / Symbol: NVDA							
09/01/20	15.000	8,295.12	09/01/20	8,104.98	...	190.14	Sale
10/05/20	5.000	2,694.94	10/05/20	2,680.00	...	14.94	Sale
10/06/20	7.000	3,926.14	10/06/20	3,906.00	...	20.14	Sale

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TD Ameritrade Clearing, Inc.

Account 455335189

## Proceeds from Broker and Barter Exchange Transactions

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

(continued)

02/11/2021

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

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NVIDIA CORP COM / CUSIP: 67066G104 / Symbol: NVDA (cont'd)							
10/12/20	8.000	4,533.02	10/06/20	4,518.72	...	14.30	Sale <sup>26</sup>
11/04/20	10.000	5,499.88	11/04/20	5,495.00	...	4.88	Sale <sup>26</sup>
11/19/20	10.000	5,352.98	11/18/20	5,350.00	...	2.98	Sale <sup>26</sup>
12/11/20	1.000	514.28	12/07/20	548.40	...	-34.12	Sale <sup>26</sup>
12/14/20	5.000	2,659.99	12/07/20	2,741.97	...	-81.98	Sale <sup>26</sup>
	<b>Security total:</b>	<b>33,476.35</b>		<b>33,345.07</b>	...	<b>131.28</b>	
NUTRIEN LTD COM / CUSIP: 67077M108 / Symbol: NTR							
09/16/20	50.000	2,022.61	09/14/20	2,014.25	...	8.36	Sale
OCEAN POWER TECHNOLOGIES INC COM / CUSIP: 674870506 / Symbol: OPTT							
11/24/20	500.000	1,999.90	10/07/20	1,800.00	...	199.90	Sale <sup>26</sup>
12/18/20	500.000	1,275.46	12/15/20	1,269.45	...	6.01	Sale <sup>26</sup>
	<b>Security total:</b>	<b>3,275.36</b>		<b>3,069.45</b>	...	<b>205.91</b>	
OKTA INC COM CL A / CUSIP: 679295105 / Symbol: OKTA							
08/31/20	15.000	3,215.86	08/31/20	3,165.00	...	50.86	Sale
ONTRAK INC COM / CUSIP: 683373104 / Symbol: OTRK							
08/20/20	50.000	3,724.92	08/20/20	3,700.00	...	24.92	Sale
OPENDOOR TECHNOLOGIES INC COM / CUSIP: 683712103 / Symbol: OPEN							
12/21/20	50.000	1,499.96	Various	1,150.89	...	349.07	Sale <sup>26</sup>
OPKO HEALTH INC COM / CUSIP: 68375N103 / Symbol: OPK							
09/29/20	400.000	1,335.97	09/29/20	1,331.96	...	4.01	Sale
10/21/20	500.000	2,099.90	Various	2,314.05	...	-214.15	Total of 3 transactions
	<b>Security total:</b>	<b>3,435.87</b>		<b>3,646.01</b>	...	<b>-210.14</b>	
ORACLE CORP COM / CUSIP: 68389X105 / Symbol: ORCL							
12/14/20	4.000	238.60	12/10/20	238.00	...	0.60	Short sale closed <sup>26</sup>
12/15/20	6.000	357.89	12/11/20	359.43	...	-1.54	Short sale closed <sup>26</sup>
	<b>Security total:</b>	<b>596.49</b>		<b>597.43</b>	...	<b>-0.94</b>	
ORBITAL ENERGY GROUP INC COM / CUSIP: 68559A109 / Symbol: OEG							
11/20/20	1,000.000	1,039.86	10/22/20	937.00	...	102.86	Sale <sup>26</sup>

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Account 455335189

**Proceeds from Broker and Barter Exchange Transactions**

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

(continued)

02/11/2021

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

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OVERSTOCK COM INC DEL COM / CUSIP: 690370101 / Symbol: OSTK							
09/14/20	50.000	3,649.91	09/14/20	3,582.50	...	67.41	Sale
PAGERDUTY INC COM / CUSIP: 69553P100 / Symbol: PD							
12/04/20	100.000	4,061.90	12/04/20	3,997.50	...	64.40	Sale <sup>26</sup>
PALANTIR TECH INC COM CL A / CUSIP: 69608A108 / Symbol: PLTR							
11/12/20	150.000	2,212.44	11/12/20	2,055.00	...	157.44	Sale <sup>26</sup>
PARK HOTELS & RESORTS INC COM USD0.01 / CUSIP: 700517105 / Symbol: PK							
08/05/20	100.000	845.97	07/24/20	876.00	30.03 W	0.00	Sale
08/07/20	100.000	873.47	07/31/20	846.83	...	26.64	Sale
	<b>Security total:</b>	<b>1,719.44</b>		<b>1,722.83</b>	<b>30.03 W</b>	<b>26.64</b>	
PARKER-HANNIFIN CORP COM / CUSIP: 701094104 / Symbol: PH							
10/05/20	20.000	4,209.31	10/02/20	4,180.00	...	29.31	Sale
PARTY CITY HOLDCO INC COM / CUSIP: 702149105 / Symbol: PRTY							
09/10/20	350.000	972.98	Various	854.50	...	118.48	Sale
10/22/20	2,000.000	4,175.97	Various	4,150.00	...	25.97	Total of 3 transactions
	<b>Security total:</b>	<b>5,148.95</b>		<b>5,004.50</b>	...	<b>144.45</b>	
PAYPAL HOLDINGS INC COM / CUSIP: 70450Y103 / Symbol: PYPL							
11/27/20	25.000	5,283.13	11/27/20	5,298.13	15.00 W	0.00	Sale <sup>26</sup>
11/30/20	25.000	5,349.88	11/27/20	5,298.12	...	51.76	Sale <sup>26</sup>
12/04/20	50.000	10,887.25	12/03/20	10,856.25	...	31.00	Sale <sup>26</sup>
	<b>Security total:</b>	<b>21,520.26</b>		<b>21,452.50</b>	<b>15.00 W</b>	<b>82.76</b>	
PELTON INTERACTIVE INC COM CL A / CUSIP: 70614W100 / Symbol: PTON							
09/08/20	50.000	4,399.89	09/08/20	4,320.50	...	79.39	Sale
09/23/20	40.000	3,959.91	09/23/20	3,934.71	...	25.20	Sale
12/15/20	30.000	3,781.42	12/14/20	3,734.70	...	46.72	Sale <sup>26</sup>
12/21/20	20.000	2,947.93	12/21/20	2,889.60	...	58.33	Sale <sup>26</sup>
	<b>Security total:</b>	<b>15,089.15</b>		<b>14,879.51</b>	...	<b>209.64</b>	
PENN NATIONAL GAMING INC COM / CUSIP: 707569109 / Symbol: PENN							
12/09/20	50.000	3,964.90	12/08/20	3,916.00	...	48.90	Sale <sup>26</sup>

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Account 455335189

## Proceeds from Broker and Barter Exchange Transactions

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

(continued)

02/11/2021

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PENNYMAC FIN SERVICES INC COM / CUSIP: 70932M107 / Symbol: PFSI							
12/16/20	50.000	3,148.67	12/16/20	3,144.18	...	4.49	Sale <sup>26</sup>
PHILLIPS 66 COM / CUSIP: 718546104 / Symbol: PSX							
12/09/20	50.000	3,434.66	12/08/20	3,432.47	...	2.19	Sale <sup>26</sup>
PINDUODUO INC ADR / CUSIP: 722304102 / Symbol: PDD							
12/24/20	20.000	3,039.93	12/18/20	3,031.50	...	8.43	Sale <sup>26</sup>
PITNEY BOWES INC COM / CUSIP: 724479100 / Symbol: PBI							
07/29/20	500.000	1,499.91	07/24/20	1,485.00	...	14.91	Sale
PLUG POWER INC COM / CUSIP: 72919P202 / Symbol: PLUG							
12/15/20	100.000	2,899.93	12/15/20	2,740.00	...	159.93	Sale <sup>26</sup>
12/17/20	50.000	1,434.96	12/15/20	1,432.50	...	2.46	Short sale closed <sup>26</sup>
	<b>Security total:</b>	<b>4,334.89</b>		<b>4,172.50</b>	...	<b>162.39</b>	
PLUS THERAPEUTICS INC COM / CUSIP: 72941H400 / Symbol: PSTV							
12/14/20	200.000	407.99	12/09/20	426.00	...	-18.01	Sale <sup>26</sup>
PRECIGEN INC COM / CUSIP: 74017N105 / Symbol: PGEN							
11/25/20	300.000	2,241.98	Various	2,234.91	...	7.07	Total of 2 transactions
PROFESSIONAL DIVERSITY NETWORK COM / CUSIP: 74312Y202 / Symbol: IPDN							
11/12/20	1,000.000	1,064.91	Various	1,070.00	...	-5.09	Total of 2 transactions
PROSHARES TRUST ULTRAPRO SHORT QQQ NEW 2020 / CUSIP: 74347G861 / Symbol: SQQQ							
10/26/20	100.000	2,289.94	10/07/20	2,283.00	...	6.94	Sale <sup>26</sup>
PURPLE INNOVATION INC COM / CUSIP: 74640Y106 / Symbol: PRPL							
10/14/20	100.000	3,074.92	10/12/20	2,975.80	...	99.12	Sale <sup>26</sup>
QUANTUMSCAPE CORP COM CL A / CUSIP: 74767V109 / Symbol: QS							
12/03/20	50.000	1,949.95	12/02/20	1,887.50	...	62.45	Sale <sup>26</sup>
12/04/20	6.000	255.08	Various	255.00	...	0.08	Total of 2 transactions
12/04/20	94.000	3,994.90	12/04/20	3,994.94	0.04 W	0.00	Sale <sup>26</sup>
12/07/20	200.000	9,104.77	Various	8,459.53	...	645.24	Total of 3 transactions
12/08/20	150.000	10,629.75	Various	9,725.16	...	904.59	Total of 2 transactions

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

(continued)

02/11/2021

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QUANTUMSCAPE CORP COM CL A / CUSIP: 74767V109 / Symbol: QS (cont'd)							
12/08/20	200.000	11,487.20	Various	14,285.00	2,797.80 W	0.00	Total of 4 transactions
12/09/20	250.000	18,769.54	Various	17,571.00	...	1,198.54	Total of 4 transactions
12/09/20	100.000	6,999.84	12/09/20	7,296.00	325.08 W	28.92	Sale <sup>26</sup>
12/10/20	100.000	7,699.82	12/08/20	6,750.14	...	949.68	Sale <sup>26</sup>
12/10/20	100.000	7,499.82	12/10/20	7,914.08	405.34 W	-8.92	Sale <sup>26</sup>
12/17/20	50.000	3,362.42	12/11/20	3,719.67	214.35 W	-142.90	Sale <sup>26</sup>
12/22/20	10.000	1,243.87	12/22/20	1,234.42	...	9.45	Sale <sup>26</sup>
<b>Security total:</b>		<b>82,996.96</b>		<b>83,092.44</b>	<b>3,742.61 W</b>	<b>3,647.13</b>	
QUIDEL CORP COM / CUSIP: 74838J101 / Symbol: QDEL							
12/02/20	20.000	3,872.51	12/02/20	3,832.50	...	40.01	Sale <sup>26</sup>
QUTOUTIAO INC ADR / CUSIP: 74915J107 / Symbol: QTT							
11/27/20	100.000	292.99	11/27/20	314.50	...	-21.51	Sale <sup>26</sup>
QURATE RETAIL INC COM SER A / CUSIP: 74915M100 / Symbol: QRTEA							
11/05/20	100.000	813.19	11/05/20	818.50	...	-5.31	Sale <sup>26</sup>
REVIVE THERAPEUTICS LTD COM / CUSIP: 761516103 / Symbol: RVVTF							
12/07/20	1,500.000	442.86	08/10/20	438.20	...	4.66	Sale <sup>26</sup>
RIGEL PHARMACEUTICALS INC COM / CUSIP: 766559603 / Symbol: RIGL							
12/04/20	300.000	935.94	11/30/20	929.94	...	6.00	Sale <sup>26</sup>
RIOT BLOCKCHAIN INC COM / CUSIP: 767292105 / Symbol: RIOT							
10/20/20	150.000	551.22	10/20/20	537.00	...	14.22	Sale <sup>26</sup>
ROCKET COMPANIES INC COM CL A / CUSIP: 77311W101 / Symbol: RKT							
09/01/20	100.000	3,042.41	09/01/20	2,958.00	...	84.41	Sale
ROCKWELL MEDICAL INC COM / CUSIP: 774374102 / Symbol: RMTI							
12/01/20	1,000.000	1,059.87	10/22/20	994.80	...	65.07	Sale <sup>26</sup>
ROKU INC COM CL A / CUSIP: 77543R102 / Symbol: ROKU							
08/28/20	10.000	1,698.25	08/28/20	1,695.70	...	2.55	Sale
09/21/20	15.000	2,774.94	09/02/20	2,756.25	...	18.69	Sale
10/06/20	30.000	6,194.86	10/05/20	6,118.50	...	76.36	Sale

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**Proceeds from Broker and Barter Exchange Transactions**

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

(continued)

02/11/2021

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ROKU INC COM CL A / CUSIP: 77543R102 / Symbol: ROKU (cont'd)							
11/06/20	20.000	5,054.91	11/06/20	5,040.00	...	14.91	Sale <sup>26</sup>
11/17/20	30.000	7,229.84	11/17/20	7,218.90	...	10.94	Sale <sup>26</sup>
	<b>Security total:</b>	<b>22,952.80</b>		<b>22,829.35</b>	...	<b>123.45</b>	
SM ENERGY COMPANY COM / CUSIP: 78454L100 / Symbol: SM							
11/05/20	9.000	17.28	11/05/20	17.19	...	0.09	Sale <sup>26</sup>
11/09/20	291.000	581.96	11/05/20	555.81	...	26.15	Sale <sup>26</sup>
	<b>Security total:</b>	<b>599.24</b>		<b>573.00</b>	...	<b>26.24</b>	
SALESFORCE.COM INC COM / CUSIP: 79466L302 / Symbol: CRM							
08/26/20	30.000	8,099.82	08/26/20	7,621.50	...	478.32	Sale
09/09/20	30.000	7,475.23	09/09/20	7,475.55	0.16 W	-0.16	Sale
10/09/20	15.000	3,989.91	10/08/20	3,937.66	...	52.25	Sale <sup>26</sup>
11/25/20	30.000	7,426.34	11/25/20	7,410.00	...	16.34	Sale <sup>26</sup>
11/27/20	25.000	6,258.61	11/25/20	6,175.00	...	83.61	Sale <sup>26</sup>
	<b>Security total:</b>	<b>33,249.91</b>		<b>32,619.71</b>	<b>0.16 W</b>	<b>630.36</b>	
SALLY BEAUTY HOLDINGS INC COM / CUSIP: 79546E104 / Symbol: SBH							
10/06/20	100.000	975.97	10/01/20	965.00	...	10.97	Sale
SCIENTIFIC GAMES CORP COM / CUSIP: 80874P109 / Symbol: SGMS							
09/14/20	50.000	1,409.96	09/14/20	1,326.98	...	82.98	Sale
SEA LIMITED ADR / CUSIP: 81141R100 / Symbol: SE							
09/23/20	20.000	3,079.93	09/22/20	3,015.80	...	64.13	Sale
10/07/20	20.000	3,370.93	10/07/20	3,371.01	...	-0.08	Sale
11/20/20	10.000	1,799.96	11/17/20	1,725.20	...	74.76	Sale <sup>26</sup>
	<b>Security total:</b>	<b>8,250.82</b>		<b>8,112.01</b>	...	<b>138.81</b>	
SEATTLE GENETICS INC N/C 10/9/20 81181C104 / CUSIP: 812578102 / Symbol:							
09/15/20	30.000	5,219.88	09/14/20	5,185.50	...	34.38	Sale

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

(continued)

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SERVICENOW INC COM / CUSIP: 81762P102 / Symbol: NOW							
08/20/20	40.000	17,629.61	Various	17,571.70	...	57.91	Sale
08/25/20	20.000	9,169.80	08/24/20	9,150.00	...	19.80	Sale
09/09/20	30.000	13,769.70	09/09/20	13,733.51	...	36.19	Sale
10/12/20	6.000	3,044.96	10/12/20	3,030.06	...	14.90	Sale <sup>26</sup>
	<b>Security total:</b>	<b>43,614.07</b>		<b>43,485.27</b>	...	<b>128.80</b>	
SESEN BIO INC COM / CUSIP: 817763105 / Symbol: SESN							
12/08/20	300.000	485.95	12/07/20	486.00	...	-0.05	Sale <sup>26</sup>
SHIFTPIXY INC COM / CUSIP: 82452L203 / Symbol: PIXY							
12/08/20	500.000	1,449.91	10/15/20	1,450.00	...	-0.09	Sale <sup>26</sup>
SHOPIFY INC COM CL A / CUSIP: 82509L107 / Symbol: SHOP							
09/01/20	3.000	3,335.93	08/26/20	3,330.00	...	5.93	Sale
09/29/20	10.000	10,249.78	Various	10,230.00	...	19.78	Total of 2 transactions
10/01/20	5.000	5,186.44	09/30/20	5,165.00	...	21.44	Sale
11/11/20	5.000	4,641.08	11/11/20	4,629.85	...	11.23	Sale <sup>26</sup>
11/30/20	5.000	5,324.88	11/27/20	5,201.10	...	123.78	Sale <sup>26</sup>
	<b>Security total:</b>	<b>28,738.11</b>		<b>28,555.95</b>	...	<b>182.16</b>	
SIGMA LABS INC COM / CUSIP: 826598500 / Symbol: SGLB							
10/21/20	500.000	1,544.91	10/21/20	1,559.90	...	-14.99	Sale <sup>26</sup>
SIMON PROPERTY GROUP INC COM USD0.0001 / CUSIP: 828806109 / Symbol: SPG							
11/16/20	40.000	3,260.62	Various	3,244.78	...	15.84	Total of 2 transactions
SKILLZ INC COM / CUSIP: 83067L109 / Symbol: SKLZ							
12/23/20	100.000	2,065.01	Various	1,960.45	...	104.56	Total of 2 transactions
SLACK TECHNOLOGIES INC COM CL A / CUSIP: 83088V102 / Symbol: WORK							
11/25/20	100.000	3,949.90	11/25/20	3,797.99	...	151.91	Sale <sup>26</sup>

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TD Ameritrade Clearing, Inc.

Account 455335189

**Proceeds from Broker and Barter Exchange Transactions**

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

(continued)

02/11/2021

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

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SNAP INC COM CL A / CUSIP: 83304A106 / Symbol: SNAP							
08/31/20	100.000	2,271.94	07/21/20	2,298.00	...	-26.06	Sale
10/23/20	100.000	3,697.25	10/21/20	3,695.44	...	1.81	Short sale closed <sup>26</sup>
10/23/20	170.000	6,189.35	Various	6,236.88	50.45 W	2.92	Total of 4 transactions
10/27/20	10.000	439.59	10/23/20	441.11	...	-1.52	Short sale closed <sup>26</sup>
	<b>Security total:</b>	<b>12,598.13</b>		<b>12,671.43</b>	<b>50.45 W</b>	<b>-22.85</b>	
SNOWFLAKE INC COM CL A / CUSIP: 833445109 / Symbol: SNOW							
09/18/20	50.000	12,064.75	Various	12,212.95	148.20 W	0.00	Total of 4 transactions
09/23/20	10.000	2,519.94	09/18/20	2,479.25	...	40.69	Sale
09/29/20	15.000	3,869.91	09/29/20	3,846.20	...	23.71	Sale
10/28/20	7.000	1,903.96	10/27/20	1,901.20	...	2.76	Sale <sup>26</sup>
	<b>Security total:</b>	<b>20,358.56</b>		<b>20,439.60</b>	<b>148.20 W</b>	<b>67.16</b>	
SOLID BIOSCIENCES INC COM / CUSIP: 83422E105 / Symbol: SLDB							
10/02/20	300.000	1,385.93	10/02/20	1,350.00	...	35.93	Sale
12/11/20	300.000	1,385.46	Various	1,350.00	...	35.46	Total of 2 transactions
	<b>Security total:</b>	<b>2,771.39</b>		<b>2,700.00</b>	...	<b>71.39</b>	
SORRENTO THERAPEUTICS INC COM / CUSIP: 83587F202 / Symbol: SRNE							
09/29/20	200.000	2,399.93	Various	2,254.00	...	145.93	Sale
12/23/20	200.000	1,699.94	11/27/20	1,670.00	...	29.94	Sale <sup>26</sup>
	<b>Security total:</b>	<b>4,099.87</b>		<b>3,924.00</b>	...	<b>175.87</b>	
SPIRIT AEROSYSTEMS INC COM CL A / CUSIP: 848574109 / Symbol: SPR							
11/10/20	100.000	2,959.92	11/10/20	2,866.48	...	93.44	Sale <sup>26</sup>
SPLUNK INC COM / CUSIP: 848637104 / Symbol: SPLK							
12/23/20	20.000	3,662.52	12/23/20	3,604.20	...	58.32	Sale <sup>26</sup>
SQUARE INC COM CL A / CUSIP: 852234103 / Symbol: SQ							
09/29/20	20.000	3,289.93	09/28/20	3,260.00	...	29.93	Sale
11/06/20	15.000	2,827.97	11/06/20	2,810.85	...	17.12	Sale <sup>26</sup>
11/11/20	30.000	5,418.38	11/11/20	5,398.20	...	20.18	Sale <sup>26</sup>
11/20/20	10.000	1,996.96	11/19/20	1,964.23	...	32.73	Sale <sup>26</sup>

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Account 455335189

## Proceeds from Broker and Barter Exchange Transactions

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

(continued)

02/11/2021

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SQUARE INC COM CL A / CUSIP: 852234103 / Symbol: SQ (cont'd)							
11/20/20	30.000	5,858.87	Various	5,850.19	31.23 W	39.91	Sale <sup>26</sup>
12/07/20	30.000	6,322.06	12/04/20	6,257.10	...	64.96	Sale <sup>26</sup>
	<b>Security total:</b>	<b>25,714.17</b>		<b>25,540.57</b>	<b>31.23 W</b>	<b>204.83</b>	
SUMO LOGIC INC COM / CUSIP: 86646P103 / Symbol: SUMO							
11/25/20	300.000	6,946.35	Various	6,677.11	...	269.24	Total of 2 transactions
11/25/20	50.000	1,086.97	11/25/20	1,112.13	25.16 W	0.00	Sale <sup>26</sup>
11/27/20	50.000	1,272.21	11/27/20	1,251.75	...	20.46	Sale <sup>26</sup>
	<b>Security total:</b>	<b>9,305.53</b>		<b>9,040.99</b>	<b>25.16 W</b>	<b>289.70</b>	
SUNWORKS INC COM / CUSIP: 86803X204 / Symbol: SUNW							
11/13/20	500.000	1,714.95	Various	1,641.88	...	73.07	Total of 2 transactions
11/16/20	500.000	1,949.90	11/16/20	1,850.00	...	99.90	Sale <sup>26</sup>
11/23/20	100.000	729.97	11/23/20	690.00	...	39.97	Sale <sup>26</sup>
	<b>Security total:</b>	<b>4,394.82</b>		<b>4,181.88</b>	...	<b>212.94</b>	
SWITCHBACK ENERGY ACQUISITION COM CL A / CUSIP: 87105M102 / Symbol: SBE							
12/09/20	100.000	4,149.90	12/09/20	4,100.00	...	49.90	Sale <sup>26</sup>
12/22/20	100.000	3,975.40	Various	3,850.00	...	125.40	Total of 2 transactions
	<b>Security total:</b>	<b>8,125.30</b>		<b>7,950.00</b>	...	<b>175.30</b>	
SYNOPSIS INC COM / CUSIP: 871607107 / Symbol: SNPS							
12/03/20	20.000	4,712.60	12/03/20	4,701.00	...	11.60	Sale <sup>26</sup>
TSR INC COM / CUSIP: 872885207 / Symbol: TSRI							
09/02/20	300.000	1,889.92	09/02/20	1,800.00	...	89.92	Sale
TAIWAN SEMICONDUCTOR MANUFACTU ADR SPONSORED / CUSIP: 874039100 / Symbol: TSM							
09/15/20	50.000	4,149.95	09/15/20	4,099.50	...	50.45	Sale
TARGET CORP COM / CUSIP: 87612E106 / Symbol: TGT							
11/18/20	20.000	3,411.12	11/18/20	3,382.48	...	28.64	Sale <sup>26</sup>
TELADOC HEALTH INC COM / CUSIP: 87918A105 / Symbol: TDOC							
12/23/20	25.000	5,315.01	12/23/20	5,318.38	...	-3.37	Sale <sup>26</sup>

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**Proceeds from Broker and Barter Exchange Transactions**

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

(continued)

02/11/2021

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10X GENOMICS INC COM CL A / CUSIP: 88025U109 / Symbol: TXG							
09/11/20	40.000	4,775.89	09/11/20	4,730.40	...	45.49	Sale
TENET HEALTHCARE CORP COM / CUSIP: 88033G407 / Symbol: THC							
11/17/20	50.000	1,624.95	11/16/20	1,609.50	...	15.45	Sale <sup>26</sup>
TESLA INC COM / CUSIP: 88160R101 / Symbol: TSLA							
08/20/20	3.000	5,921.87	08/20/20	5,886.00	...	35.87	Sale
08/25/20	5.000	10,119.78	08/24/20	10,040.00	...	79.78	Sale
08/27/20	19.000	42,319.81	Various	42,023.28	...	296.53	Total of 4 transactions
08/31/20	25.000	12,074.73	Various	11,925.45	...	149.28	Total of 3 transactions
09/02/20	10.000	4,509.90	09/02/20	4,460.00	...	49.90	Sale
09/04/20	5.000	2,073.65	09/03/20	2,055.00	...	18.65	Sale
09/09/20	35.000	12,948.82	Various	12,789.60	...	159.22	Total of 2 transactions
09/10/20	20.000	7,939.82	09/10/20	7,852.20	...	87.62	Sale
09/14/20	130.000	52,878.82	Various	52,466.90	...	411.92	Total of 5 transactions
09/14/20	30.000	12,818.72	09/14/20	12,819.00	0.28 W	0.00	Sale
09/15/20	160.000	71,364.32	Various	70,975.78	...	388.54	Total of 6 transactions
09/18/20	70.000	31,150.74	Various	31,465.56	594.32 W	279.50	Total of 4 transactions
09/21/20	60.000	26,939.40	Various	26,883.70	131.71 W	187.41	Total of 2 transactions
09/28/20	25.000	10,543.02	09/21/20	11,167.26	632.84 W	8.60	Sale
09/29/20	20.000	8,334.42	09/23/20	8,083.24	...	251.18	Sale
10/01/20	80.000	35,679.21	Various	35,320.00	...	359.21	Total of 4 transactions
10/12/20	35.000	15,644.65	Various	15,320.00	0.20 W	324.85	Sale <sup>26</sup>
10/14/20	20.000	9,159.80	Various	9,100.20	...	59.60	Total of 2 transactions
10/15/20	10.000	4,489.90	10/15/20	4,470.00	...	19.90	Sale <sup>26</sup>
10/21/20	90.000	38,809.14	Various	38,605.38	...	203.76	Total of 5 transactions
10/21/20	100.000	42,839.05	Various	42,905.14	100.94 W	34.85	Total of 5 transactions
11/03/20	5.000	2,040.00	10/30/20	1,960.00	...	80.00	Sale <sup>26</sup>
11/05/20	20.000	8,739.81	10/22/20	8,545.28	...	194.53	Sale <sup>26</sup>
11/06/20	20.000	8,639.81	11/06/20	8,500.00	...	139.81	Sale <sup>26</sup>
11/09/20	15.000	6,704.85	Various	6,515.04	...	189.81	Sale <sup>26</sup>
11/16/20	10.000	4,479.90	10/15/20	4,470.10	...	9.80	Sale <sup>26</sup>
11/18/20	20.000	9,083.30	Various	9,464.20	380.90 W	0.00	Total of 2 transactions
11/19/20	10.000	4,989.89	11/17/20	4,383.00	...	606.89	Sale <sup>26</sup>
11/24/20	10.000	5,459.88	11/23/20	5,390.00	...	69.88	Sale <sup>26</sup>

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## Proceeds from Broker and Barter Exchange Transactions

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

(continued)

02/11/2021

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TESLA INC COM / CUSIP: 88160R101 / Symbol: TSLA (cont'd)							
11/25/20	10.000	5,589.88	11/25/20	5,440.00	...	149.88	Sale <sup>26</sup>
12/08/20	5.000	3,239.93	12/07/20	3,162.50	...	77.43	Sale <sup>26</sup>
12/08/20	5.000	3,155.28	12/07/20	3,162.50	7.22 W	0.00	Sale <sup>26</sup>
12/17/20	8.000	5,199.89	12/15/20	5,144.50	...	55.39	Sale <sup>26</sup>
12/29/20	2.000	1,315.28	12/18/20	1,360.00	...	-44.72	Sale <sup>26</sup>
12/30/20	8.000	5,558.12	12/18/20	5,440.00	...	118.12	Sale <sup>26</sup>
	<b>Security total:</b>	<b>532,755.39</b>		<b>529,550.81</b>	<b>1,848.41 W</b>	<b>5,052.99</b>	
THE9 LTD ADR / CUSIP: 88337K302 / Symbol: NCTY							
11/20/20	500.000	1,534.91	11/20/20	1,518.00	...	16.91	Sale <sup>26</sup>
THE TRADE DESK INC COM CL A / CUSIP: 88339J105 / Symbol: TTD							
09/02/20	10.000	5,124.89	09/02/20	5,070.14	...	54.75	Sale
10/01/20	5.000	2,732.74	10/01/20	2,704.00	...	28.74	Sale
	<b>Security total:</b>	<b>7,857.63</b>		<b>7,774.14</b>	...	<b>83.49</b>	
3M COMPANY COM / CUSIP: 88579Y101 / Symbol: MMM							
09/17/20	25.000	4,312.40	09/17/20	4,252.99	...	59.41	Sale
TORTOISE ACQUISITION CORP 1:1 EXC 10/2/20 449109107 / CUSIP: 89154L100 / Symbol:							
09/08/20	50.000	2,709.93	09/08/20	2,643.25	...	66.68	Sale
TRICIDA INC COM / CUSIP: 89610F101 / Symbol: TCDA							
12/11/20	200.000	1,559.95	12/11/20	1,556.50	...	3.45	Sale <sup>26</sup>
TWILIO INC COM CL A / CUSIP: 90138F102 / Symbol: TWLO							
11/27/20	20.000	6,271.86	11/27/20	6,205.60	...	66.26	Sale <sup>26</sup>
TWO HARBORS INVESMENT CORP COM USD0.01(POST REV SPLIT) / CUSIP: 90187B408 / Symbol: TWO							
11/13/20	158.163	971.08	Various	927.00	...	44.08	Total of 2 transactions
UBER TECHNOLOGIES INC COM / CUSIP: 90353T100 / Symbol: UBER							
09/11/20	50.000	1,849.95	09/11/20	1,846.75	...	3.20	Sale
ULTA BEAUTY INC COM / CUSIP: 90384S303 / Symbol: ULTA							
09/04/20	30.000	7,289.84	09/04/20	7,238.31	...	51.53	Sale

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

(continued)

02/11/2021

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UNITY BIOTECHNOLOGY INC COM / CUSIP: 91381U101 / Symbol: UBX							
11/27/20	100.000	651.98	11/27/20	639.94	...	12.04	Sale <sup>26</sup>
URBAN ONE INC COM CL A / CUSIP: 91705J105 / Symbol: UONE							
10/22/20	300.000	1,815.42	Various	1,776.60	...	38.82	Total of 2 transactions
VAXART INC COM / CUSIP: 92243A200 / Symbol: VXRT							
11/12/20	300.000	1,673.92	11/12/20	1,629.00	...	44.92	Sale <sup>26</sup>
VEEVA SYSTEMS INC COM CL A / CUSIP: 922475108 / Symbol: VEEV							
10/07/20	20.000	5,798.67	10/06/20	5,799.60	...	-0.93	Sale
VELOCITYNE LIDAR INC COM / CUSIP: 92259F101 / Symbol: VLDR							
12/07/20	100.000	1,749.95	12/07/20	2,009.75	259.80 W	0.00	Sale <sup>26</sup>
12/08/20	50.000	1,108.97	12/08/20	999.75	...	109.22	Sale <sup>26</sup>
12/14/20	100.000	1,954.19	12/09/20	2,000.00	45.81 W	0.00	Sale <sup>26</sup>
12/16/20	100.000	2,021.17	12/15/20	2,045.81	24.64 W	0.00	Sale <sup>26</sup>
12/18/20	50.000	1,017.97	11/25/20	902.78	...	115.19	Sale <sup>26</sup>
12/21/20	50.000	1,062.47	11/25/20	917.52	...	144.95	Sale <sup>26</sup>
	<b>Security total:</b>	<b>8,914.72</b>		<b>8,875.61</b>	<b>330.25 W</b>	<b>369.36</b>	
VIACOMCBS INC COM CL B / CUSIP: 92556H206 / Symbol: VIAC							
08/26/20	100.000	2,765.16	06/12/20	2,286.99	...	478.17	Sale
VIRGIN GALACTIC HLDGS INC COM / CUSIP: 92766K106 / Symbol: SPCE							
07/01/20	50.000	807.77	06/05/20	795.00	...	12.77	Sale
07/06/20	50.000	846.58	06/05/20	795.00	...	51.58	Sale
12/21/20	100.000	2,499.93	12/21/20	2,390.00	...	109.93	Sale <sup>26</sup>
12/23/20	100.000	2,644.93	12/22/20	2,488.42	...	156.51	Sale <sup>26</sup>
	<b>Security total:</b>	<b>6,799.21</b>		<b>6,468.42</b>	...	<b>330.79</b>	
VROOM INC COM / CUSIP: 92918V109 / Symbol: VRM							
12/16/20	100.000	3,874.89	11/25/20	3,837.99	...	36.90	Sale <sup>26</sup>
WAITR HOLDINGS INC COM / CUSIP: 930752100 / Symbol: WTRH							
12/09/20	300.000	1,331.93	12/09/20	1,267.50	...	64.43	Sale <sup>26</sup>

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WALMART INC COM / CUSIP: 931142103 / Symbol: WMT							
10/01/20	20.000	2,859.34	09/30/20	2,824.00	...	35.34	Sale
11/13/20	20.000	2,976.73	11/11/20	2,975.40	...	1.33	Sale <sup>26</sup>
	<b>Security total:</b>	<b>5,836.07</b>		<b>5,799.40</b>	...	<b>36.67</b>	
WAYFAIR INC COM CL A / CUSIP: 94419L101 / Symbol: W							
09/30/20	15.000	4,545.80	09/22/20	4,598.52	...	-52.72	Sale
WEIDAI LTD ADR / CUSIP: 94861A108 / Symbol: WEI							
11/11/20	500.000	735.99	Various	699.95	...	36.04	Total of 2 transactions
11/12/20	1,000.000	1,629.94	11/12/20	1,510.00	...	119.94	Sale <sup>26</sup>
	<b>Security total:</b>	<b>2,365.93</b>		<b>2,209.95</b>	...	<b>155.98</b>	
WELBILT INC COM / CUSIP: 949090104 / Symbol: WBT							
11/17/20	300.000	2,774.90	11/16/20	2,775.00	...	-0.10	Sale <sup>26</sup>
WORKHORSE GROUP INC COM / CUSIP: 98138J206 / Symbol: WKHS							
09/01/20	200.000	3,827.90	Various	3,390.00	...	437.90	Sale
WYNN RESORTS LTD COM / CUSIP: 983134107 / Symbol: WYNN							
11/09/20	30.000	2,750.94	08/28/20	2,745.29	...	5.65	Sale <sup>26</sup>
XPENG INC ADR / CUSIP: 98422D105 / Symbol: XPEV							
11/20/20	20.000	1,039.98	11/20/20	973.00	...	66.98	Sale <sup>26</sup>
11/24/20	50.000	3,505.41	11/24/20	3,377.41	...	128.00	Sale <sup>26</sup>
11/25/20	100.000	6,599.84	11/25/20	6,471.25	...	128.59	Sale <sup>26</sup>
	<b>Security total:</b>	<b>11,145.23</b>		<b>10,821.66</b>	...	<b>323.57</b>	
XERIS PHARMACEUTICALS INC COM / CUSIP: 98422L107 / Symbol: XERS							
08/31/20	100.000	461.98	08/28/20	427.50	...	34.48	Sale
09/14/20	200.000	1,067.96	09/14/20	1,040.00	...	27.96	Sale
	<b>Security total:</b>	<b>1,529.94</b>		<b>1,467.50</b>	...	<b>62.44</b>	
ZEDGE INC COM CL B / CUSIP: 98923T104 / Symbol: ZDGE							
10/28/20	400.000	1,324.94	Various	1,332.00	...	-7.06	Total of 2 transactions

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Account 455335189

**Proceeds from Broker and Barter Exchange Transactions**

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

(continued)

02/11/2021

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ZOOMINFO TECHNOLOGIES INC COM CL A / CUSIP: 98980F104 / Symbol: ZI							
11/27/20	100.000	5,119.58	11/27/20	5,049.99	...	69.59	Sale <sup>26</sup>
11/30/20	50.000	2,530.43	11/30/20	2,499.96	...	30.47	Sale <sup>26</sup>
12/10/20	50.000	2,029.95	12/09/20	2,034.00	...	-4.05	Sale <sup>26</sup>
12/11/20	50.000	2,049.44	12/09/20	2,033.99	...	15.45	Sale <sup>26</sup>
12/15/20	50.000	2,045.45	12/11/20	2,025.50	...	19.95	Short sale closed <sup>26</sup>
	<b>Security total:</b>	<b>13,774.85</b>		<b>13,643.44</b>	...	<b>131.41</b>	
ZOOM VIDEO COMMUNICATIONS INC COM CL A / CUSIP: 98980L101 / Symbol: ZM							
08/31/20	15.000	4,605.50	08/31/20	4,537.50	...	68.00	Sale
08/31/20	1.000	399.99	08/31/20	405.92	5.93 W	0.00	Sale
09/15/20	15.000	6,149.86	09/10/20	6,092.93	1.74 W	58.67	Sale
09/21/20	20.000	8,999.80	09/21/20	8,811.74	...	188.06	Sale
10/12/20	7.000	3,485.18	09/28/20	3,454.50	...	30.68	Sale <sup>26</sup>
10/13/20	8.000	4,103.91	10/13/20	4,144.00	40.09 W	0.00	Sale <sup>26</sup>
10/15/20	10.000	5,224.88	Various	5,024.09	...	200.79	Sale <sup>26</sup>
11/11/20	10.000	3,962.11	11/10/20	3,952.08	...	10.03	Sale <sup>26</sup>
11/12/20	30.000	13,019.71	Various	12,880.06	...	139.65	Total of 2 transactions
11/12/20	20.000	8,639.81	11/12/20	8,640.00	0.19 W	0.00	Sale <sup>26</sup>
11/20/20	10.000	4,339.90	11/12/20	4,280.09	...	59.81	Sale <sup>26</sup>
11/25/20	10.000	4,369.90	11/23/20	4,330.00	...	39.90	Sale <sup>26</sup>
11/30/20	20.000	9,114.80	Various	8,960.00	...	154.80	Total of 2 transactions
	<b>Security total:</b>	<b>76,415.35</b>		<b>75,512.91</b>	<b>47.95 W</b>	<b>950.39</b>	
ZUMIEZ INC COM / CUSIP: 989817101 / Symbol: ZUMZ							
09/11/20	50.000	1,422.46	09/11/20	1,480.00	...	-57.54	Sale
ZYMEWORKS INC COM / CUSIP: 98985W102 / Symbol: ZYME							
09/14/20	50.000	2,189.69	09/14/20	2,218.25	...	-28.56	Sale
AMERICAN AIRLINES GROUP INC AAL Sep 04 2020 14.0 Call / CUSIP: / Symbol: AAL 09/04/20 C 14.000							
09/04/20	2.000	0.00	09/03/20	47.33	...	-47.33	Option expiration
AMERICAN AIRLINES GROUP INC AAL Jan 21 2022 10.0 Call / CUSIP: / Symbol: AAL 01/21/22 C 10.000							
11/05/20	1.000	467.33	10/27/20	445.66	...	21.67	Option sale <sup>26</sup>

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(continued)

02/11/2021

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APPLE INC AAPL Jan 21 2022 115.0 Call / CUSIP: / Symbol: AAPL 01/21/22 C 115.000							
10/05/20	2.000	-2.75	10/02/20	0.00	...	-2.75	Short sale closed- option
APPLE INC AAPL Jan 21 2022 117.5 Call / CUSIP: / Symbol: AAPL 01/21/22 C 117.500							
11/09/20	3.000	6,147.86	Various	5,781.99	...	365.87	Option sale <sup>26</sup>
APPLIED MATERIALS INC AMAT Nov 13 2020 70.0 Call / CUSIP: / Symbol: AMAT 11/13/20 C 70.000							
11/12/20	1.000	175.34	11/12/20	160.66	...	14.68	Option sale <sup>26</sup>
AMC ENTERTAINMENT HOLDINGS INC AMC Jan 15 2021 5.0 Call / CUSIP: / Symbol: AMC 01/15/21 C 5.000							
11/09/20	2.000	132.67	10/19/20	105.33	...	27.34	Option sale <sup>26</sup>
ADVANCED MICRO DEVICES INC AMD Oct 09 2020 90.0 Call / CUSIP: / Symbol: AMD 10/09/20 C 90.000							
10/08/20	1.000	70.34	10/08/20	60.66	...	9.68	Option sale
ADVANCED MICRO DEVICES INC AMD Oct 30 2020 90.0 Call / CUSIP: / Symbol: AMD 10/30/20 C 90.000							
10/26/20	1.000	146.34	10/26/20	183.66	...	-37.32	Option sale <sup>26</sup>
AMAZON COM INC AMZN Sep 18 2020 3010.0 Call / CUSIP: / Symbol: AMZN 09/18/20 C 3010.000							
09/18/20	1.000	109.33	09/18/20	122.67	...	-13.34	Option sale
AMAZON COM INC AMZN Nov 20 2020 3170.0 Call / CUSIP: / Symbol: AMZN 11/20/20 C 3170.000							
11/20/20	1.000	86.34	11/20/20	200.66	...	-114.32	Option sale <sup>26</sup>
AMAZON COM INC AMZN Nov 27 2020 3250.0 Call / CUSIP: / Symbol: AMZN 11/27/20 C 3250.000							
11/27/20	2.000	258.68	Various	261.32	...	-2.64	Total of 2 transactions
AMAZON COM INC AMZN Dec 04 2020 3210.0 Call / CUSIP: / Symbol: AMZN 12/04/20 C 3210.000							
12/04/20	1.000	79.34	12/04/20	145.66	...	-66.32	Option sale <sup>26</sup>
AMAZON COM INC AMZN Dec 04 2020 3400.0 Call / CUSIP: / Symbol: AMZN 12/04/20 C 3400.000							
12/01/20	1.000	349.33	12/01/20	350.66	...	-1.33	Option sale <sup>26</sup>
BOEING CO BA Oct 02 2020 180.0 Call / CUSIP: / Symbol: BA 10/02/20 C 180.000							
09/28/20	1.000	79.34	09/28/20	85.66	...	-6.32	Option sale
BOEING CO BA Nov 20 2020 220.0 Call / CUSIP: / Symbol: BA 11/20/20 C 220.000							
11/17/20	1.000	249.33	11/17/20	195.66	...	53.67	Option sale <sup>26</sup>

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BOEING CO BA Nov 27 2020 225.0 Call / CUSIP: / Symbol: BA 11/27/20 C 225.000							
11/24/20	2.000	438.67	Various	369.32	...	69.35	Total of 2 transactions
BANK OF AMERICA CORPORATION BAC Jan 15 2021 27.0 Call / CUSIP: / Symbol: BAC 01/15/21 C 27.000							
11/09/20	1.000	195.34	09/03/20	194.67	...	0.67	Option sale <sup>26</sup>
BANK OF AMERICA CORPORATION BAC Mar 19 2021 24.0 Call / CUSIP: / Symbol: BAC 03/19/21 C 24.000							
10/23/20	1.000	271.33	10/14/20	211.66	...	59.67	Option sale <sup>26</sup>
BAIDU INC BIDU Oct 23 2020 134.0 Call / CUSIP: / Symbol: BIDU 10/23/20 C 134.000							
10/23/20	1.000	12.34	10/23/20	20.66	...	-8.32	Option sale <sup>26</sup>
BIGCOMMERCE HLDGS INC BIGC Sep 18 2020 60.0 Put / CUSIP: / Symbol: BIGC 09/18/20 P 60.000							
09/09/20	1.000	104.33	09/09/20	108.67	...	-4.34	Option sale
09/10/20	1.000	-4.34	09/09/20	0.00	...	-4.34	Short sale closed- option
	<b>Security total:</b>	<b>99.99</b>		<b>108.67</b>	...	<b>-8.68</b>	
BIGCOMMERCE HLDGS INC BIGC Oct 16 2020 50.0 Put / CUSIP: / Symbol: BIGC 10/16/20 P 50.000							
10/16/20	1.000	0.00	09/09/20	153.67	...	-153.67	Option expiration
CITIGROUP INC C Mar 19 2021 47.5 Call / CUSIP: / Symbol: C 03/19/21 C 47.500							
11/09/20	1.000	374.33	10/14/20	263.66	...	110.67	Option sale <sup>26</sup>
CARNIVAL CORP CCL Jan 21 2022 15.0 Call / CUSIP: / Symbol: CCL 01/21/22 C 15.000							
10/22/20	1.000	495.33	10/14/20	475.66	...	19.67	Option sale <sup>26</sup>
SALESFORCE.COM INC CRM Nov 27 2020 260.0 Call / CUSIP: / Symbol: CRM 11/27/20 C 260.000							
11/25/20	1.000	104.34	11/25/20	120.66	...	-16.32	Option sale <sup>26</sup>
SALESFORCE.COM INC CRM May 21 2021 230.0 Call / CUSIP: / Symbol: CRM 05/21/21 C 230.000							
12/11/20	3.000	-109.12	12/10/20	0.00	...	-109.12	Short sale closed- option <sup>26</sup>
SALESFORCE.COM INC CRM May 21 2021 240.0 Call / CUSIP: / Symbol: CRM 05/21/21 C 240.000							
12/10/20	3.000	4,884.89	12/10/20	4,807.99	...	76.90	Option sale <sup>26</sup>

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DELTA AIR LINES INC DAL Dec 18 2020 40.0 Call / CUSIP: / Symbol: DAL 12/18/20 C 40.000							
11/24/20	1.000	275.33	11/17/20	130.66	...	144.67	Option sale <sup>26</sup>
12/03/20	1.000	369.33	09/08/20	296.67	...	72.66	Option sale <sup>26</sup>
	<b>Security total:</b>	<b>644.66</b>		<b>427.33</b>	...	<b>217.33</b>	
WALT DISNEY COMPANY (THE) DIS Sep 11 2020 144.0 Call / CUSIP: / Symbol: DIS 09/11/20 C 144.000							
09/08/20	1.000	49.33	09/08/20	36.67	...	12.66	Option sale
DRAFTKINGS INC DKNG Dec 18 2020 50.0 Call / CUSIP: / Symbol: DKNG 12/18/20 C 50.000							
12/08/20	1.000	259.33	12/08/20	205.66	...	53.67	Option sale <sup>26</sup>
DRAFTKINGS INC DKNG Jan 15 2021 55.0 Call / CUSIP: / Symbol: DKNG 01/15/21 C 55.000							
11/25/20	1.000	384.33	11/19/20	370.66	...	13.67	Option sale <sup>26</sup>
DOCUSIGN INC DOCU Sep 25 2020 207.5 Call / CUSIP: / Symbol: DOCU 09/25/20 C 207.500							
09/22/20	1.000	399.32	09/22/20	350.67	...	48.65	Option sale
DOCUSIGN INC DOCU Oct 09 2020 250.0 Call / CUSIP: / Symbol: DOCU 10/09/20 C 250.000							
10/09/20	1.000	0.00	10/07/20	32.66	...	-32.66	Option expiration
DOCUSIGN INC DOCU Dec 04 2020 255.0 Call / CUSIP: / Symbol: DOCU 12/04/20 C 255.000							
12/04/20	1.000	94.34	12/04/20	80.66	...	13.68	Option sale <sup>26</sup>
DOMINOS PIZZA INC DPZ Nov 13 2020 410.0 Call / CUSIP: / Symbol: DPZ 11/13/20 C 410.000							
11/13/20	1.000	0.00	11/12/20	37.66	...	-37.66	Option expiration
DOMINOS PIZZA INC DPZ Dec 18 2020 430.0 Call / CUSIP: / Symbol: DPZ 12/18/20 C 430.000							
11/16/20	1.000	109.34	11/11/20	220.66	...	-111.32	Option sale <sup>26</sup>
ETSY INC ETSY Nov 20 2020 150.0 Call / CUSIP: / Symbol: ETSY 11/20/20 C 150.000							
10/01/20	1.000	749.32	10/01/20	670.66	...	78.66	Option sale
CONSTELLIUM SE (FRANCE) COM / CUSIP: F21107101 / Symbol: CSTM							
11/16/20	300.000	3,563.88	11/16/20	3,553.50	...	10.38	Sale <sup>26</sup>
FACEBOOK INC FB Oct 16 2020 365.0 Call / CUSIP: / Symbol: FB 10/16/20 C 365.000							
10/16/20	16.000	0.00	Various	693.66	...	-693.66	Option expiration

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FACEBOOK INC FB Oct 30 2020 290.0 Call / CUSIP: / Symbol: FB 10/30/20 C 290.000							
10/29/20	1.000	399.33	10/29/20	350.66	...	48.67	Option sale <sup>26</sup>
FACEBOOK INC FB Dec 04 2020 285.0 Call / CUSIP: / Symbol: FB 12/04/20 C 285.000							
11/24/20	1.000	240.33	11/24/20	212.66	...	27.67	Option sale <sup>26</sup>
FEDEX CORP FDX Sep 18 2020 280.0 Call / CUSIP: / Symbol: FDX 09/18/20 C 280.000							
09/14/20	2.000	434.66	09/08/20	435.33	...	-0.67	Option sale
BIT DIGITAL INC COM / CUSIP: G1144A105 / Symbol: BTBT							
11/17/20	200.000	1,281.97	Various	1,347.00	...	-65.03	Total of 3 transactions
CHINA XIANGTAI FOOD CO LTD COM / CUSIP: G21621100 / Symbol: PLIN							
10/21/20	500.000	585.54	Various	714.90	...	-129.36	Total of 2 transactions
COCA-COLA EUROPEAN PARTNERS PL COM / CUSIP: G25839104 / Symbol: CCEP							
09/03/20	100.000	4,389.90	09/03/20	4,381.94	...	7.96	Sale
EBANG INTERNATIONAL HLDGS INC COM / CUSIP: G3R33A106 / Symbol: EBON							
09/04/20	40.000	334.81	09/04/20	326.40	...	8.41	Sale
GREENLAND TECHNOLOGS HLDG CORP COM / CUSIP: G4095T107 / Symbol: GTEC							
11/13/20	200.000	1,429.95	11/13/20	1,380.00	...	49.95	Sale <sup>26</sup>
LIANLUO SMART LIMITED COM CL A / CUSIP: G5478K118 / Symbol: LLIT							
10/26/20	329.000	1,491.01	Various	1,464.05	...	26.96	Total of 2 transactions
10/27/20	71.000	322.33	10/26/20	315.95	...	6.38	Sale <sup>26</sup>
	<b>Security total:</b>	<b>1,813.34</b>		<b>1,780.00</b>	...	<b>33.34</b>	
MARVELL TECH GROUP COM / CUSIP: G5876H105 / Symbol: MRVL							
12/08/20	25.000	1,091.86	12/08/20	1,098.25	...	-6.39	Sale <sup>26</sup>
12/15/20	25.000	1,116.85	12/08/20	1,098.25	...	18.60	Sale <sup>26</sup>
	<b>Security total:</b>	<b>2,208.71</b>		<b>2,196.50</b>	...	<b>12.21</b>	
NABORS INDUSTRIES LTD COM / CUSIP: G6359F137 / Symbol: NBR							
12/08/20	50.000	3,199.92	12/07/20	3,118.52	...	81.40	Sale <sup>26</sup>
12/08/20	50.000	3,110.92	12/07/20	3,115.00	1.47 W	-2.61	Sale <sup>26</sup>
	<b>Security total:</b>	<b>6,310.84</b>		<b>6,233.52</b>	<b>1.47 W</b>	<b>78.79</b>	

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MYOVANT SCIENCES LTD COM / CUSIP: G637AM102 / Symbol: MYOV							
12/28/20	50.000	1,500.46	12/28/20	1,400.00	...	100.46	Sale <sup>26</sup>
12/31/20	50.000	1,419.96	12/28/20	1,400.00	...	19.96	Sale <sup>26</sup>
	<b>Security total:</b>	<b>2,920.42</b>		<b>2,800.00</b>	...	<b>120.42</b>	
NORWEGIAN CRUISE LINE HLDGS LT COM / CUSIP: G66721104 / Symbol: NCLH							
08/19/20	100.000	1,629.95	07/16/20	1,628.99	...	0.96	Sale
10/09/20	100.000	1,876.95	09/08/20	1,870.50	...	6.45	Sale <sup>26</sup>
10/27/20	20.000	366.59	10/23/20	364.40	...	2.19	Short sale closed <sup>26</sup>
	<b>Security total:</b>	<b>3,873.49</b>		<b>3,863.89</b>	...	<b>9.60</b>	
NOVOCURE LTD COM / CUSIP: G6674U108 / Symbol: NVCR							
11/20/20	20.000	2,693.68	11/20/20	2,675.99	...	17.69	Sale <sup>26</sup>
SIGNET JEWELERS LTD COM / CUSIP: G81276100 / Symbol: SIG							
10/16/20	100.000	2,323.94	10/16/20	2,320.00	...	3.94	Sale <sup>26</sup>
SOCIAL CAP HEDOSOPHIA HLDGS CO 1:1 EXC 12/21/20 683712103 / CUSIP: G8250T109 / Symbol: IPOB							
11/27/20	50.000	1,134.46	11/25/20	1,068.00	...	66.46	Sale <sup>26</sup>
12/07/20	25.000	599.99	12/01/20	528.38	...	71.61	Sale <sup>26</sup>
12/11/20	50.000	1,284.96	12/10/20	1,300.00	15.04 W	0.00	Sale <sup>26</sup>
12/14/20	100.000	2,775.68	Various	2,537.52	...	238.16	Total of 2 transactions
12/18/20	50.000	1,499.96	12/17/20	1,416.00	...	83.96	Sale <sup>26</sup>
	<b>Security total:</b>	<b>7,295.05</b>		<b>6,849.90</b>	<b>15.04 W</b>	<b>460.19</b>	
SOCIAL CAP HEDOSOPHIA HLDGS CO 1:1 EXC 1/8/21 18914F103 / CUSIP: G8251K107 / Symbol: IPOC							
12/11/20	100.000	1,130.08	11/27/20	1,035.00	...	95.08	Sale <sup>26</sup>
12/23/20	99.000	1,385.96	12/22/20	1,286.99	...	98.97	Sale <sup>26</sup>
	<b>Security total:</b>	<b>2,516.04</b>		<b>2,321.99</b>	...	<b>194.05</b>	
SPI ENERGY CO LTD COM / CUSIP: G8651P110 / Symbol: SPI							
11/20/20	100.000	971.47	11/20/20	1,063.00	91.53 W	0.00	Sale <sup>26</sup>
11/23/20	200.000	2,208.94	Various	2,076.53	...	132.41	Total of 2 transactions
	<b>Security total:</b>	<b>3,180.41</b>		<b>3,139.53</b>	<b>91.53 W</b>	<b>132.41</b>	
TANTECH HOLDINGS LTD COM / CUSIP: G8675X107 / Symbol: TANH							
11/23/20	500.000	725.62	11/20/20	639.45	...	86.17	Sale <sup>26</sup>

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Account 455335189

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

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VIVOPOWER INTERNATIONAL PLC COM / CUSIP: G9376R100 / Symbol: VVPR							
11/20/20	100.000	1,006.97	11/19/20	942.00	...	64.97	Sale <sup>26</sup>
VG ACQUISITION CORP COM CL A / CUSIP: G9446E105 / Symbol: VGAC							
12/07/20	100.000	1,120.08	11/27/20	1,050.00	...	70.08	Sale <sup>26</sup>
YATRA ONLINE INC COM / CUSIP: G98338109 / Symbol: YTRA							
07/14/20	600.000	464.59	06/19/20	477.23	...	-12.64	Sale
HOME DEPOT INC HD Nov 20 2020 290.0 Call / CUSIP: / Symbol: HD 11/20/20 C 290.000							
11/12/20	1.000	159.34	11/11/20	155.66	...	3.68	Option sale <sup>26</sup>
HOME DEPOT INC HD Jan 22 2021 280.0 Call / CUSIP: / Symbol: HD 01/22/21 C 280.000							
12/16/20	1.000	389.33	12/04/20	340.66	...	48.67	Option sale <sup>26</sup>
INTEL CORP INTC Sep 04 2020 53.0 Call / CUSIP: / Symbol: INTC 09/04/20 C 53.000							
09/02/20	5.000	194.66	Various	193.33	...	1.33	Total of 2 transactions
JUMIA TECHNOLOGIES AG JMIA Nov 20 2020 9.0 Call / CUSIP: / Symbol: JMIA 11/20/20 C 9.000							
10/08/20	2.000	402.66	09/25/20	249.33	...	153.33	Option sale
JUMIA TECHNOLOGIES AG JMIA Jan 15 2021 12.0 Call / CUSIP: / Symbol: JMIA 01/15/21 C 12.000							
10/09/20	2.000	650.66	Various	421.34	...	229.32	Option sale <sup>26</sup>
10/12/20	1.000	309.33	09/03/20	227.67	...	81.66	Option sale <sup>26</sup>
	<b>Security total:</b>	<b>959.99</b>		<b>649.01</b>	...	<b>310.98</b>	
JP MORGAN CHASE & CO JPM Sep 04 2020 105.0 Call / CUSIP: / Symbol: JPM 09/04/20 C 105.000							
09/03/20	1.000	81.33	09/03/20	70.67	...	10.66	Option sale
JP MORGAN CHASE & CO JPM Oct 16 2020 104.0 Call / CUSIP: / Symbol: JPM 10/16/20 C 104.000							
10/05/20	2.000	172.67	10/05/20	171.33	...	1.34	Option sale
JP MORGAN CHASE & CO JPM Oct 23 2020 103.0 Call / CUSIP: / Symbol: JPM 10/23/20 C 103.000							
10/22/20	1.000	29.34	10/22/20	51.66	...	-22.32	Option sale <sup>26</sup>
NORDSTROM INC JWN Jan 15 2021 12.5 Call / CUSIP: / Symbol: JWN 01/15/21 C 12.500							
10/05/20	2.000	500.66	Various	361.33	...	139.33	Total of 2 transactions

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NORDSTROM INC JWN Apr 16 2021 12.5 Call / CUSIP: / Symbol: JWN 04/16/21 C 12.500							
10/23/20	1.000	324.33	10/19/20	270.66	...	53.67	Option sale <sup>26</sup>
LOWE'S COMPANIES INC LOW Jan 15 2021 155.0 Call / CUSIP: / Symbol: LOW 01/15/21 C 155.000							
12/09/20	1.000	761.32	12/07/20	454.66	...	306.66	Option sale <sup>26</sup>
LOWE'S COMPANIES INC LOW Jan 15 2021 165.0 Call / CUSIP: / Symbol: LOW 01/15/21 C 165.000							
12/10/20	1.000	-134.32	12/09/20	0.00	...	-134.32	Short sale closed- option <sup>26</sup>
MACY'S INC M Jan 15 2021 6.0 Call / CUSIP: / Symbol: M 01/15/21 C 6.000							
10/05/20	2.000	214.67	09/29/20	183.33	...	31.34	Option sale
CHECK-CAP LTD COM / CUSIP: M2361E203 / Symbol: CHEK							
07/01/20	600.000	381.06	06/30/20	346.62	...	34.44	Sale
JFROG LTD COM / CUSIP: M6191J100 / Symbol: FROG							
11/25/20	50.000	3,299.92	11/25/20	3,352.25	...	-52.33	Sale <sup>26</sup>
11/27/20	50.000	3,481.37	Various	3,352.25	...	129.12	Total of 3 transactions
12/07/20	50.000	3,599.91	12/04/20	3,350.00	...	249.91	Sale <sup>26</sup>
12/24/20	99.000	7,028.83	12/24/20	6,915.15	...	113.68	Sale <sup>26</sup>
	<b>Security total:</b>	<b>17,410.03</b>		<b>16,969.65</b>	...	<b>440.38</b>	
NANO X IMAGING LTD COM / CUSIP: M70700105 / Symbol: NNOX							
09/11/20	50.000	2,799.93	09/11/20	2,672.00	...	127.93	Sale
10/02/20	87.000	3,131.92	Various	3,016.70	362.05 W	477.27	Sale
10/29/20	50.000	1,436.78	Various	1,787.05	350.27 W	0.00	Total of 2 transactions
11/24/20	50.000	2,387.44	11/20/20	2,211.77	...	175.67	Sale <sup>26</sup>
11/30/20	10.000	569.99	11/25/20	465.60	...	104.39	Sale <sup>26</sup>
12/01/20	10.000	659.99	12/01/20	600.00	...	59.99	Sale <sup>26</sup>
12/03/20	20.000	1,299.97	Various	1,115.72	...	184.25	Sale <sup>26</sup>
	<b>Security total:</b>	<b>12,286.02</b>		<b>11,868.84</b>	<b>712.32 W</b>	<b>1,129.50</b>	
WIX.COM LTD COM / CUSIP: M98068105 / Symbol: WIX							
10/01/20	30.000	7,939.32	09/09/20	7,914.95	...	24.37	Sale
MODERNA INC MRNA Dec 24 2020 200.0 Call / CUSIP: / Symbol: MRNA 12/24/20 C 200.000							
12/24/20	3.000	0.00	Various	355.99	...	-355.99	Option expiration

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MARATHON OIL CORPORATION MRO Nov 20 2020 5.0 Call / CUSIP: / Symbol: MRO 11/20/20 C 5.000							
11/16/20	5.000	146.67	10/08/20	103.32	...	43.35	Option sale <sup>26</sup>
MICROSOFT CORP MSFT Sep 11 2020 220.0 Call / CUSIP: / Symbol: MSFT 09/11/20 C 220.000							
09/09/20	1.000	77.33	09/09/20	74.67	...	2.66	Option sale
MICROSOFT CORP MSFT Sep 18 2020 220.0 Call / CUSIP: / Symbol: MSFT 09/18/20 C 220.000							
09/18/20	1.000	0.00	09/15/20	45.67	...	-45.67	Option expiration
MICROSOFT CORP MSFT Oct 16 2020 225.0 Call / CUSIP: / Symbol: MSFT 10/16/20 C 225.000							
10/13/20	3.000	496.00	Various	699.00	...	-203.00	Option sale <sup>26</sup>
MICROSOFT CORP MSFT Oct 16 2020 230.0 Call / CUSIP: / Symbol: MSFT 10/16/20 C 230.000							
10/14/20	1.000	386.66	10/13/20	0.00	...	386.66	Short sale closed- option <sup>26</sup>
MICROSOFT CORP MSFT Nov 20 2020 270.0 Call / CUSIP: / Symbol: MSFT 11/20/20 C 270.000							
11/20/20	13.000	0.00	Various	1,116.66	...	-1,116.66	Option expiration
MICROSOFT CORP MSFT Nov 27 2020 212.5 Call / CUSIP: / Symbol: MSFT 11/27/20 C 212.500							
11/24/20	1.000	149.34	11/24/20	121.66	...	27.68	Option sale <sup>26</sup>
MICROSOFT CORP MSFT Dec 04 2020 215.0 Call / CUSIP: / Symbol: MSFT 12/04/20 C 215.000							
11/30/20	1.000	171.34	11/30/20	164.66	...	6.68	Option sale <sup>26</sup>
MICRON TECHNOLOGY INC MU Sep 18 2020 52.0 Call / CUSIP: / Symbol: MU 09/18/20 C 52.000							
09/18/20	1.000	26.33	09/18/20	27.67	...	-1.34	Option sale
NXP SEMICONDUCTORS N V COM / CUSIP: N6596X109 / Symbol: NXPI							
11/03/20	15.000	2,082.85	10/09/20	2,148.90	...	-66.05	Sale <sup>26</sup>
NORWEGIAN CRUISE LINE HLDGS LT NCLH Oct 16 2020 20.0 Call / CUSIP: / Symbol: NCLH 10/16/20 C 20.000							
10/16/20	4.000	0.00	Various	300.67	...	-300.67	Option expiration
NCR CORP NCR Jan 15 2021 23.0 Call / CUSIP: / Symbol: NCR 01/15/21 C 23.000							
11/17/20	1.000	319.33	10/09/20	310.66	...	8.67	Option sale <sup>26</sup>
NETFLIX INC NFLX Dec 04 2020 500.0 Call / CUSIP: / Symbol: NFLX 12/04/20 C 500.000							
11/24/20	1.000	445.33	11/23/20	431.66	...	13.67	Option sale <sup>26</sup>

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NETFLIX INC NFLX Dec 11 2020 540.0 Call / CUSIP: / Symbol: NFLX 12/11/20 C 540.000							
12/09/20	1.000	55.34	12/08/20	220.66	...	-165.32	Option sale <sup>26</sup>
NIKE INC NKE Sep 25 2020 118.0 Call / CUSIP: / Symbol: NKE 09/25/20 C 118.000							
09/22/20	1.000	279.32	09/22/20	230.67	...	48.65	Option sale
NIKE INC NKE Oct 16 2020 130.0 Call / CUSIP: / Symbol: NKE 10/16/20 C 130.000							
10/06/20	1.000	200.34	10/05/20	145.66	...	54.68	Option sale
NIKOLA CORPORATION NKLA Aug 21 2020 48.0 Call / CUSIP: / Symbol: NKLA 08/21/20 C 48.000							
08/21/20	1.000	0.00	08/11/20	160.67	...	-160.67	Option expiration
NVIDIA CORP NVDA Sep 04 2020 660.0 Call / CUSIP: / Symbol: NVDA 09/04/20 C 660.000							
09/04/20	1.000	0.00	09/02/20	93.67	...	-93.67	Option expiration
NVIDIA CORP NVDA Sep 11 2020 580.0 Call / CUSIP: / Symbol: NVDA 09/11/20 C 580.000							
09/11/20	1.000	0.00	09/09/20	61.67	...	-61.67	Option expiration
NVIDIA CORP NVDA Sep 25 2020 550.0 Call / CUSIP: / Symbol: NVDA 09/25/20 C 550.000							
09/25/20	1.000	0.00	09/23/20	70.66	...	-70.66	Option expiration
NVIDIA CORP NVDA Nov 13 2020 550.0 Call / CUSIP: / Symbol: NVDA 11/13/20 C 550.000							
11/11/20	1.000	259.33	11/11/20	200.66	...	58.67	Option sale <sup>26</sup>
NVIDIA CORP NVDA Nov 20 2020 600.0 Call / CUSIP: / Symbol: NVDA 11/20/20 C 600.000							
11/12/20	1.000	0.67	11/11/20	0.00	...	0.67	Short sale closed- option <sup>26</sup>
NVIDIA CORP NVDA Dec 11 2020 575.0 Call / CUSIP: / Symbol: NVDA 12/11/20 C 575.000							
12/07/20	1.000	119.34	12/07/20	220.66	...	-101.32	Option sale <sup>26</sup>
NVIDIA CORP NVDA Nov 13 2020 515.0 Put / CUSIP: / Symbol: NVDA 11/13/20 P 515.000							
11/13/20	1.000	89.34	11/13/20	85.66	...	3.68	Option sale <sup>26</sup>
PINTEREST INC PINS Nov 27 2020 65.0 Call / CUSIP: / Symbol: PINS 11/27/20 C 65.000							
11/19/20	1.000	219.34	11/19/20	257.66	...	-38.32	Option sale <sup>26</sup>
DAVE & BUSTER'S ENTERTAINMENT PLAY Jan 15 2021 25.0 Call / CUSIP: / Symbol: PLAY 01/15/21 C 25.000							
11/09/20	2.000	908.65	09/02/20	641.33	...	267.32	Option sale <sup>26</sup>

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PALANTIR TECH INC PLTR Feb 19 2021 10.0 Call / CUSIP: / Symbol: PLTR 02/19/21 C 10.000							
11/05/20	2.000	568.66	10/07/20	511.33	...	57.33	Option sale <sup>26</sup>
PELTON INTERACTIVE INC PTON Nov 13 2020 110.0 Call / CUSIP: / Symbol: PTON 11/13/20 C 110.000							
11/12/20	2.000	384.66	11/12/20	441.33	...	-56.67	Option sale <sup>26</sup>
PAYPAL HOLDINGS INC PYPL Nov 06 2020 207.5 Call / CUSIP: / Symbol: PYPL 11/06/20 C 207.500							
11/05/20	1.000	80.34	11/05/20	106.66	...	-26.32	Option sale <sup>26</sup>
PAYPAL HOLDINGS INC PYPL Dec 04 2020 222.5 Call / CUSIP: / Symbol: PYPL 12/04/20 C 222.500							
12/01/20	1.000	189.34	12/01/20	185.66	...	3.68	Option sale <sup>26</sup>
QUALCOMM INC QCOM Dec 11 2020 162.5 Call / CUSIP: / Symbol: QCOM 12/11/20 C 162.500							
12/11/20	1.000	0.00	12/09/20	110.66	...	-110.66	Option expiration
INVESCO QQQ TRUST QQQ Aug 14 2020 270.0 Call / CUSIP: / Symbol: QQQ 08/14/20 C 270.000							
08/12/20	2.000	428.66	08/11/20	179.33	...	249.33	Option sale
INVESCO QQQ TRUST QQQ Sep 18 2020 285.0 Call / CUSIP: / Symbol: QQQ 09/18/20 C 285.000							
09/14/20	1.000	112.33	09/14/20	111.67	...	0.66	Option sale
INVESCO QQQ TRUST QQQ Oct 30 2020 300.0 Call / CUSIP: / Symbol: QQQ 10/30/20 C 300.000							
10/15/20	1.000	302.33	10/15/20	235.66	...	66.67	Option sale <sup>26</sup>
10/30/20	6.000	0.00	Various	303.98	...	-303.98	Option expiration
	<b>Security total:</b>	<b>302.33</b>		<b>539.64</b>	...	<b>-237.31</b>	
QUANTUMSCAPE CORP QS Dec 18 2020 70.0 Call / CUSIP: / Symbol: QS 12/18/20 C 70.000							
12/09/20	1.000	899.32	12/09/20	700.66	...	198.66	Option sale <sup>26</sup>
QUANTUMSCAPE CORP QS Dec 24 2020 55.0 Call / CUSIP: / Symbol: QS 12/24/20 C 55.000							
12/08/20	2.000	1,338.64	12/08/20	1,331.32	...	7.32	Option sale <sup>26</sup>
ROYAL CARIBBEAN GROUP RCL Sep 25 2020 68.0 Call / CUSIP: / Symbol: RCL 09/25/20 C 68.000							
09/23/20	1.000	19.34	09/23/20	48.67	...	-29.33	Option sale
09/25/20	1.000	0.00	09/23/20	48.66	...	-48.66	Option expiration
	<b>Security total:</b>	<b>19.34</b>		<b>97.33</b>	...	<b>-77.99</b>	

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ROYAL CARIBBEAN GROUP RCL Oct 23 2020 65.0 Call / CUSIP: / Symbol: RCL 10/23/20 C 65.000							
10/20/20	1.000	43.34	10/20/20	45.66	...	-2.32	Option sale <sup>26</sup>
ROCKET COMPANIES INC RKT Mar 19 2021 21.0 Call / CUSIP: / Symbol: RKT 03/19/21 C 21.000							
12/16/20	2.000	728.65	12/03/20	611.33	...	117.32	Option sale <sup>26</sup>
ROKU INC ROKU Sep 11 2020 200.0 Call / CUSIP: / Symbol: ROKU 09/11/20 C 200.000							
09/08/20	2.000	128.67	09/08/20	111.33	...	17.34	Option sale
ROKU INC ROKU Sep 25 2020 210.0 Call / CUSIP: / Symbol: ROKU 09/25/20 C 210.000							
09/25/20	1.000	0.00	09/23/20	185.66	...	-185.66	Option expiration
ROKU INC ROKU Dec 11 2020 310.0 Call / CUSIP: / Symbol: ROKU 12/11/20 C 310.000							
12/04/20	1.000	479.33	12/04/20	300.66	...	178.67	Option sale <sup>26</sup>
ROKU INC ROKU Dec 18 2020 335.0 Call / CUSIP: / Symbol: ROKU 12/18/20 C 335.000							
12/10/20	1.000	534.33	12/09/20	525.66	...	8.67	Option sale <sup>26</sup>
RAYTHEON TECH CORP RTX Sep 11 2020 62.0 Call / CUSIP: / Symbol: RTX 09/11/20 C 62.000							
09/01/20	1.000	-13.34	08/31/20	0.00	...	-13.34	Short sale closed- option
SHAKE SHACK INC SHAK Oct 16 2020 73.0 Call / CUSIP: / Symbol: SHAK 10/16/20 C 73.000							
10/13/20	1.000	149.34	10/08/20	117.66	...	31.68	Option sale <sup>26</sup>
SNOWFLAKE INC SNOW Nov 27 2020 300.0 Call / CUSIP: / Symbol: SNOW 11/27/20 C 300.000							
11/24/20	1.000	99.34	11/24/20	133.66	...	-34.32	Option sale <sup>26</sup>
VIRGIN GALACTIC HLDGS INC SPCE Jan 15 2021 22.0 Call / CUSIP: / Symbol: SPCE 01/15/21 C 22.000							
10/20/20	8.000	4,209.59	Various	3,920.31	...	289.28	Total of 3 transactions
11/25/20	2.000	1,008.65	10/06/20	971.33	...	37.32	Option sale <sup>26</sup>
	<b>Security total:</b>	<b>5,218.24</b>		<b>4,891.64</b>	...	<b>326.60</b>	
VIRGIN GALACTIC HLDGS INC SPCE Apr 16 2021 10.0 Call / CUSIP: / Symbol: SPCE 04/16/21 C 10.000							
11/11/20	1.000	1,250.31	11/11/20	1,261.66	11.35 W	0.00	Option sale <sup>26</sup>
11/18/20	1.000	1,319.31	11/09/20	1,162.01	...	157.30	Option sale <sup>26</sup>
	<b>Security total:</b>	<b>2,569.62</b>		<b>2,423.67</b>	<b>11.35 W</b>	<b>157.30</b>	

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Account 455335189

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

(continued)

02/11/2021

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SPLUNK INC SPLK Jan 15 2021 170.0 Call / CUSIP: / Symbol: SPLK 01/15/21 C 170.000							
12/03/20	1.000	689.32	12/03/20	485.66	...	203.66	Option sale <sup>26</sup>
SPLUNK INC SPLK May 21 2021 200.0 Call / CUSIP: / Symbol: SPLK 05/21/21 C 200.000							
12/18/20	1.000	849.32	12/07/20	725.66	...	123.66	Option sale <sup>26</sup>
SPDR S&P500 ETF TRUST SPY Oct 28 2020 330.0 Call / CUSIP: / Symbol: SPY 10/28/20 C 330.000							
10/28/20	1.000	56.34	10/28/20	54.66	...	1.68	Option sale <sup>26</sup>
SPDR S&P500 ETF TRUST SPY Jan 21 2022 415.0 Call / CUSIP: / Symbol: SPY 01/21/22 C 415.000							
10/30/20	2.000	712.65	10/30/20	681.33	...	31.32	Option sale <sup>26</sup>
SPDR S&P500 ETF TRUST SPY Jan 21 2022 420.0 Call / CUSIP: / Symbol: SPY 01/21/22 C 420.000							
10/06/20	2.000	1,200.64	10/02/20	1,001.33	...	199.31	Option sale
10/07/20	3.000	1,710.96	10/06/20	1,591.99	...	118.97	Option sale
	<b>Security total:</b>	<b>2,911.60</b>		<b>2,593.32</b>	...	<b>318.28</b>	
SQUARE INC SQ Sep 25 2020 160.0 Call / CUSIP: / Symbol: SQ 09/25/20 C 160.000							
09/22/20	2.000	336.66	09/22/20	339.34	...	-2.68	Option sale
SQUARE INC SQ Oct 02 2020 170.0 Call / CUSIP: / Symbol: SQ 10/02/20 C 170.000							
09/28/20	1.000	319.33	09/23/20	220.66	...	98.67	Option sale
SQUARE INC SQ Oct 23 2020 182.5 Call / CUSIP: / Symbol: SQ 10/23/20 C 182.500							
10/22/20	1.000	79.34	10/22/20	125.66	...	-46.32	Option sale <sup>26</sup>
SQUARE INC SQ Nov 27 2020 195.0 Call / CUSIP: / Symbol: SQ 11/27/20 C 195.000							
11/20/20	1.000	429.33	11/19/20	410.66	...	18.67	Option sale <sup>26</sup>
SQUARE INC SQ Nov 27 2020 200.0 Call / CUSIP: / Symbol: SQ 11/27/20 C 200.000							
11/20/20	1.000	499.33	11/20/20	480.66	...	18.67	Option sale <sup>26</sup>
SQUARE INC SQ Dec 18 2020 230.0 Call / CUSIP: / Symbol: SQ 12/18/20 C 230.000							
12/16/20	1.000	144.34	12/01/20	315.66	...	-171.32	Option sale <sup>26</sup>

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PROSHARES TRUST SQQQ Nov 27 2020 21.5 Call / CUSIP: / Symbol: SQQQ 11/27/20 C 21.500							
10/13/20	1.000	-1.33	10/09/20	0.00	1.33 W	0.00	Short sale closed- option <sup>26</sup>
10/19/20	1.000	307.33	10/09/20	306.99	...	0.34	Option sale <sup>26</sup>
	<b>Security total:</b>	<b>306.00</b>		<b>306.99</b>	<b>1.33 W</b>	<b>0.34</b>	
SUNCOR ENERGY INC SU Mar 19 2021 11.0 Call / CUSIP: / Symbol: SU 03/19/21 C 11.000							
11/09/20	1.000	346.33	10/14/20	245.66	...	100.67	Option sale <sup>26</sup>
TESLA INC TSLA Sep 18 2020 500.0 Call / CUSIP: / Symbol: TSLA 09/18/20 C 500.000							
09/18/20	1.000	0.00	09/18/20	57.67	...	-57.67	Option expiration
TESLA INC TSLA Oct 02 2020 500.0 Call / CUSIP: / Symbol: TSLA 10/02/20 C 500.000							
10/01/20	1.000	49.34	09/30/20	50.66	...	-1.32	Option sale
TESLA INC TSLA Oct 23 2020 415.0 Call / CUSIP: / Symbol: TSLA 10/23/20 C 415.000							
10/23/20	1.000	199.34	10/23/20	236.66	...	-37.32	Option sale <sup>26</sup>
TESLA INC TSLA Oct 30 2020 410.0 Call / CUSIP: / Symbol: TSLA 10/30/20 C 410.000							
10/30/20	1.000	0.00	10/30/20	60.66	...	-60.66	Option expiration
TESLA INC TSLA Oct 30 2020 435.0 Call / CUSIP: / Symbol: TSLA 10/30/20 C 435.000							
10/28/20	1.000	124.34	10/28/20	125.66	...	-1.32	Option sale <sup>26</sup>
TESLA INC TSLA Nov 20 2020 500.0 Call / CUSIP: / Symbol: TSLA 11/20/20 C 500.000							
11/17/20	1.000	164.34	11/17/20	140.66	...	23.68	Option sale <sup>26</sup>
TESLA INC TSLA Nov 20 2020 530.0 Call / CUSIP: / Symbol: TSLA 11/20/20 C 530.000							
11/18/20	1.000	289.33	11/18/20	287.66	...	1.67	Option sale <sup>26</sup>
TESLA INC TSLA Nov 20 2020 450.0 Call / CUSIP: / Symbol: TSLA 11/20/20 C 450.000							
11/17/20	1.000	1,504.31	11/16/20	100.66	...	1,403.65	Option sale <sup>26</sup>
TESLA INC TSLA Nov 27 2020 500.0 Call / CUSIP: / Symbol: TSLA 11/27/20 C 500.000							
11/18/20	2.000	2,973.61	Various	2,477.67	...	495.94	Total of 2 transactions
11/18/20	1.000	1,199.31	11/18/20	1,675.66	476.35 W	0.00	Option sale <sup>26</sup>
	<b>Security total:</b>	<b>4,172.92</b>		<b>4,153.33</b>	<b>476.35 W</b>	<b>495.94</b>	

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

(continued)

02/11/2021

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TESLA INC TSLA Nov 27 2020 550.0 Call / CUSIP: / Symbol: TSLA 11/27/20 C 550.000							
11/19/20	1.000	799.32	11/19/20	1,000.66	201.34 W	0.00	Option sale <sup>26</sup>
11/23/20	1.000	899.32	11/20/20	400.66	...	498.66	Option sale <sup>26</sup>
11/24/20	1.000	809.32	11/19/20	1,002.00	...	-192.68	Option sale <sup>26</sup>
<b>Security total:</b>		<b>2,507.96</b>		<b>2,403.32</b>	<b>201.34 W</b>	<b>305.98</b>	
TESLA INC TSLA Nov 27 2020 600.0 Call / CUSIP: / Symbol: TSLA 11/27/20 C 600.000							
11/24/20	1.000	199.34	11/24/20	180.66	...	18.68	Option sale <sup>26</sup>
11/25/20	2.000	498.66	11/25/20	407.32	...	91.34	Option sale <sup>26</sup>
11/27/20	1.000	359.33	11/23/20	265.66	...	93.67	Option sale <sup>26</sup>
<b>Security total:</b>		<b>1,057.33</b>		<b>853.64</b>	...	<b>203.69</b>	
TESLA INC TSLA Nov 27 2020 620.0 Call / CUSIP: / Symbol: TSLA 11/27/20 C 620.000							
11/27/20	2.000	19.34	Various	131.33	...	-111.99	Total of 2 transactions
TESLA INC TSLA Dec 04 2020 700.0 Call / CUSIP: / Symbol: TSLA 12/04/20 C 700.000							
11/30/20	2.000	798.65	11/30/20	601.32	...	197.33	Option sale <sup>26</sup>
12/04/20	3.000	0.00	Various	781.99	...	-781.99	Option expiration
<b>Security total:</b>		<b>798.65</b>		<b>1,383.31</b>	...	<b>-584.66</b>	
TESLA INC TSLA Dec 11 2020 620.0 Call / CUSIP: / Symbol: TSLA 12/11/20 C 620.000							
12/11/20	1.000	82.34	12/11/20	110.66	...	-28.32	Option sale <sup>26</sup>
TESLA INC TSLA Dec 11 2020 640.0 Call / CUSIP: / Symbol: TSLA 12/11/20 C 640.000							
12/10/20	1.000	750.32	12/10/20	621.66	...	128.66	Option sale <sup>26</sup>
TESLA INC TSLA Dec 11 2020 650.0 Call / CUSIP: / Symbol: TSLA 12/11/20 C 650.000							
12/10/20	2.000	948.66	Various	1,021.65	...	-72.99	Total of 2 transactions
12/10/20	1.000	349.33	12/10/20	550.66	201.33 W	0.00	Option sale <sup>26</sup>
<b>Security total:</b>		<b>1,297.99</b>		<b>1,572.31</b>	<b>201.33 W</b>	<b>-72.99</b>	
TESLA INC TSLA Dec 11 2020 700.0 Call / CUSIP: / Symbol: TSLA 12/11/20 C 700.000							
12/03/20	1.000	267.33	12/03/20	255.66	...	11.67	Option sale <sup>26</sup>
12/07/20	1.000	699.32	12/07/20	680.66	...	18.66	Option sale <sup>26</sup>
12/08/20	1.000	749.32	12/08/20	551.99	...	197.33	Option sale <sup>26</sup>
12/08/20	1.000	579.33	12/08/20	650.66	71.33 W	0.00	Option sale <sup>26</sup>
<b>Security total:</b>		<b>2,295.30</b>		<b>2,138.97</b>	<b>71.33 W</b>	<b>227.66</b>	

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TESLA INC TSLA Dec 11 2020 740.0 Call / CUSIP: / Symbol: TSLA 12/11/20 C 740.000							
12/11/20	3.000	0.00	Various	426.99	...	-426.99	Option expiration
TESLA INC TSLA Dec 18 2020 610.0 Call / CUSIP: / Symbol: TSLA 12/18/20 C 610.000							
12/11/20	1.000	-593.42	12/10/20	0.00	...	-593.42	Short sale closed- option <sup>26</sup>
TESLA INC TSLA Dec 18 2020 620.0 Call / CUSIP: / Symbol: TSLA 12/18/20 C 620.000							
12/10/20	1.000	4,894.23	12/09/20	4,370.66	...	523.57	Option sale <sup>26</sup>
12/11/20	1.000	-65.85	12/10/20	0.00	...	-65.85	Short sale closed- option <sup>26</sup>
12/11/20	1.000	-125.42	12/10/20	0.00	125.42 W	0.00	Short sale closed- option <sup>26</sup>
	<b>Security total:</b>	<b>4,702.96</b>		<b>4,370.66</b>	<b>125.42 W</b>	<b>457.72</b>	
TESLA INC TSLA Dec 18 2020 630.0 Call / CUSIP: / Symbol: TSLA 12/18/20 C 630.000							
12/10/20	2.000	8,826.48	Various	8,775.32	...	51.16	Total of 2 transactions
TESLA INC TSLA Dec 18 2020 760.0 Call / CUSIP: / Symbol: TSLA 12/18/20 C 760.000							
12/18/20	1.000	101.34	12/18/20	185.66	...	-84.32	Option sale <sup>26</sup>
TESLA INC TSLA Nov 27 2020 480.0 Put / CUSIP: / Symbol: TSLA 11/27/20 P 480.000							
11/18/20	1.000	1,849.30	11/18/20	1,825.66	...	23.64	Option sale <sup>26</sup>
TWILIO INC TWLO Nov 27 2020 310.0 Call / CUSIP: / Symbol: TWLO 11/27/20 C 310.000							
11/23/20	1.000	289.33	11/23/20	180.66	...	108.67	Option sale <sup>26</sup>
UNITED AIRLINES HOLDINGS UAL Sep 04 2020 40.0 Call / CUSIP: / Symbol: UAL 09/04/20 C 40.000							
09/03/20	2.000	182.67	09/03/20	157.33	...	25.34	Option sale
ROYAL CARIBBEAN GROUP COM / CUSIP: V7780T103 / Symbol: RCL							
08/27/20	50.000	3,334.93	08/24/20	3,235.00	...	99.93	Sale
08/27/20	50.000	3,315.92	08/27/20	3,341.50	20.46 W	-5.12	Sale
09/23/20	40.000	2,518.82	Various	2,589.46	70.64 W	0.00	Total of 2 transactions
09/30/20	50.000	3,374.92	09/30/20	3,423.39	52.90 W	4.43	Sale
10/22/20	100.000	6,187.85	10/22/20	6,280.90	...	-93.05	Sale <sup>26</sup>
10/26/20	100.000	6,212.84	10/22/20	6,206.00	...	6.84	Short sale closed <sup>26</sup>
	<b>Security total:</b>	<b>24,945.28</b>		<b>25,076.25</b>	<b>144.00 W</b>	<b>13.03</b>	
WENDYS COMPANY (THE) WEN Nov 20 2020 25.0 Call / CUSIP: / Symbol: WEN 11/20/20 C 25.000							
11/20/20	1.000	0.00	10/16/20	120.66	...	-120.66	Option expiration

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WORKHORSE GROUP INC WKHS Oct 02 2020 35.0 Call / CUSIP: / Symbol: WKHS 10/02/20 C 35.000							
10/02/20	1.000	0.00	09/28/20	42.66	...	-42.66	Option expiration
WORKHORSE GROUP INC WKHS Dec 04 2020 28.0 Call / CUSIP: / Symbol: WKHS 12/04/20 C 28.000							
12/04/20	2.000	0.00	11/30/20	271.33	...	-271.33	Option expiration
WORKHORSE GROUP INC WKHS Jan 21 2022 20.0 Call / CUSIP: / Symbol: WKHS 01/21/22 C 20.000							
12/24/20	1.000	1,159.31	12/21/20	930.66	...	228.65	Option sale <sup>26</sup>
WALMART INC WMT Sep 18 2020 150.0 Call / CUSIP: / Symbol: WMT 09/18/20 C 150.000							
09/14/20	2.000	28.67	09/14/20	39.33	...	-10.66	Option sale
SLACK TECHNOLOGIES INC WORK Sep 11 2020 40.0 Call / CUSIP: / Symbol: WORK 09/11/20 C 40.000							
09/08/20	1.000	58.33	09/08/20	59.67	...	-1.34	Option sale
ZOOM VIDEO COMMUNICATIONS INC ZM Sep 11 2020 425.0 Call / CUSIP: / Symbol: ZM 09/11/20 C 425.000							
09/09/20	4.000	834.30	Various	606.66	...	227.64	Total of 4 transactions
ZOOM VIDEO COMMUNICATIONS INC ZM Sep 11 2020 440.0 Call / CUSIP: / Symbol: ZM 09/11/20 C 440.000							
09/09/20	1.000	55.33	09/09/20	168.67	...	-113.34	Option sale
09/11/20	1.000	0.00	09/09/20	168.66	...	-168.66	Option expiration
<b>Security total:</b>		<b>55.33</b>		<b>337.33</b>	...	<b>-282.00</b>	
ZOOM VIDEO COMMUNICATIONS INC ZM Sep 25 2020 580.0 Call / CUSIP: / Symbol: ZM 09/25/20 C 580.000							
09/22/20	1.000	70.33	09/21/20	62.01	...	8.32	Option sale
09/22/20	1.000	-1.34	09/21/20	0.00	1.34 W	0.00	Short sale closed- option
<b>Security total:</b>		<b>68.99</b>		<b>62.01</b>	<b>1.34 W</b>	<b>8.32</b>	
ZOOM VIDEO COMMUNICATIONS INC ZM Oct 02 2020 600.0 Call / CUSIP: / Symbol: ZM 10/02/20 C 600.000							
09/28/20	1.000	49.34	09/28/20	140.66	...	-91.32	Option sale
ZOOM VIDEO COMMUNICATIONS INC ZM Oct 23 2020 550.0 Call / CUSIP: / Symbol: ZM 10/23/20 C 550.000							
10/22/20	1.000	94.34	10/22/20	115.66	...	-21.32	Option sale <sup>26</sup>
ZOOM VIDEO COMMUNICATIONS INC ZM Oct 30 2020 580.0 Call / CUSIP: / Symbol: ZM 10/30/20 C 580.000							
10/30/20	1.000	0.00	10/28/20	165.66	...	-165.66	Option expiration

\* 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. Remember, taxpayers are ultimately responsible for the accuracy of their tax return(s).

TD Ameritrade Clearing, Inc.

Account 455335189

## Proceeds from Broker and Barter Exchange Transactions

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

(continued)

02/11/2021

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

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

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

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

1c- Date sold or disposed	Quantity	1d- Proceeds & 6- Reported (G)ross or (N)et	1b- Date acquired	1e- Cost or other basis	1f- Accrued mkt disc (D) & 1g- Wash sale loss disallowed (W)	7- Loss not allowed (X) also not reported (Z)	Gain or loss(-) & also not reported (Z)	Additional information
ZOOM VIDEO COMMUNICATIONS INC ZM Nov 27 2020 470.0 Call / CUSIP: / Symbol: ZM 11/27/20 C 470.000								
11/20/20	1.000	380.33	11/19/20	280.66	...		99.67	Option sale <sup>26</sup>
ZOOM VIDEO COMMUNICATIONS INC ZM Nov 27 2020 500.0 Call / CUSIP: / Symbol: ZM 11/27/20 C 500.000								
11/18/20	1.000	261.33	11/13/20	260.66	...		0.67	Option sale <sup>26</sup>
11/27/20	1.000	0.00	11/20/20	250.66	...		-250.66	Option expiration
	<b>Security total:</b>	<b>261.33</b>		<b>511.32</b>	...		<b>-249.99</b>	
ZOOM VIDEO COMMUNICATIONS INC ZM Dec 11 2020 450.0 Call / CUSIP: / Symbol: ZM 12/11/20 C 450.000								
12/11/20	1.000	0.00	12/08/20	170.66	...		-170.66	Option expiration
<b>Totals :</b>		<b>2,463,392.63</b>		<b>2,432,711.63</b>		<b>11,560.90 W</b>	<b>42,241.90</b>	

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

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

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

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

1c- Date sold or disposed	Quantity	1d- Proceeds & 6- Reported (G)ross or (N)et	Date acquired	Cost or other basis	Accrued mkt disc (D) & Wash sale loss disallowed (W)	7- Loss not allowed (X) also not reported (Z)	Gain or loss(-) & also not reported (Z)	Additional information
BP PRUDHOE BAY ROYALTY COM / CUSIP: 055630107 / Symbol: BPT / Note: BP								
12/08/20	200.000	616.97	11/24/20	478.00	...		138.97	Sale <sup>26</sup>
12/11/20	200.000	745.98	12/11/20	720.00	...		25.98	Sale <sup>26</sup>
	<b>Security total:</b>	<b>1,362.95</b>		<b>1,198.00</b>	...		<b>164.95</b>	
PHILLIPS 66 PARTNERS LP COM UNIT REP LTD PARTNERSHI / CUSIP: 718549207 / Symbol: PSXP								
12/09/20	100.000	2,975.92	11/24/20	2,968.99	...		6.93	Sale <sup>26</sup>
PROSHARES TRUST II ULTRA VIX SHORT ETF / CUSIP: 74347W148 / Symbol: UVXY								
09/03/20	100.000	2,971.92	09/03/20	2,965.62	...		6.30	Sale
09/10/20	100.000	2,244.94	09/10/20	2,254.50	9.56 W		0.00	Sale
09/11/20	200.000	4,379.88	09/11/20	4,309.56	...		70.32	Sale
09/21/20	200.000	4,371.88	09/11/20	4,380.00	8.12 W		0.00	Sale

\* 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. Remember, taxpayers are ultimately responsible for the accuracy of their tax return(s).

TD Ameritrade Clearing, Inc.

Account 455335189

**Proceeds from Broker and Barter Exchange Transactions**

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

(continued)

02/11/2021

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

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

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

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

1c- Date sold or disposed	Quantity	1d- Proceeds & 6- Reported (G)ross or (N)et	Date acquired	Cost or other basis	Accrued mkt disc (D) & Wash sale loss disallowed (W)	Gain or loss(-) & 7- Loss not allowed (X) also not reported (Z)	Additional information
PROSHARES TRUST II ULTRA VIX SHORT ETF / CUSIP: 74347W148 / Symbol: UVXY (cont'd)							
09/23/20	200.000	4,325.88	09/11/20	4,308.12	...	17.76	Sale
	<b>Security total:</b>	<b>18,294.50</b>		<b>18,217.80</b>	<b>17.68 W</b>	<b>94.38</b>	
<b>Totals :</b>		<b>22,633.37</b>		<b>22,384.79</b>	<b>17.68 W</b>	<b>266.26</b>	

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

TD Ameritrade Clearing, Inc.

Account 455335189

**Detail for Dividends and Distributions**

2020

02/11/2021

*This section of your tax information statement contains the payment level detail of your taxable dividends, capital gains distributions, exempt-interest dividends, nondividend distributions and liquidation distributions. Also shown are the fair market values of any taxable stock dividends or noncash liquidation distributions.*

*Federal, state and foreign tax withheld and investment expenses are presented as negative amounts but do not net against the reportable income totals. All amounts are grouped by security, with the transactions listed in chronological order. Subtotals for each security are provided. For situations in which the tax character of a distribution (or part thereof) is different than at the time it was paid, endnotes are provided for further explanation.*

*Note that a payment characterized as a "Qualified dividend" is only issuer-qualified. Reallocation of a dividend and its tax character is determined by the issuer.*

<b>Security description</b>	<b>CUSIP and/or symbol</b>	<b>State</b>	<b>Date</b>	<b>Amount</b>	<b>Transaction type</b>	<b>Notes</b>
DIREXION SHARES ETF TRUST DAILY RGNAL BULL ETF	25460G864 DPST		09/29/20	19.82	Qualified dividend	03
TWO HARBORS INVESMENT CORP COM USD0.01(POST REV SPLIT)	90187B408 TWO		07/29/20 10/29/20	21.00 21.54	Nondividend distribution Nondividend distribution	03 03
				<b>42.54</b>	<b>Total Dividends &amp; distributions</b>	
				<b>62.36</b>	<b>Total Dividends &amp; distributions</b>	

TD Ameritrade Clearing, Inc.

Account 455335189

**Detail for Interest Income**

2020

02/11/2021

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

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

<b>Security description</b>	<b>CUSIP and/or symbol</b>	<b>Date</b>	<b>Amount</b>	<b>Transaction type</b>	<b>Notes</b>
Interest Credited		09/30/20	0.01	Credit interest	
FDIC INSURED DEPOSIT ACCOUNT CORE NOT COVERED BY SIPC	9ZZZFD104 MMDA1	06/30/20	0.02	Interest- money mkt	
		07/31/20	0.02	Interest- money mkt	
		08/31/20	0.04	Interest- money mkt	
			0.08	Total Interest	
			<b>0.09</b>	<b>Total Interest</b>	



TD Ameritrade Clearing, Inc.

Account 455335189

**Section 1256 Contracts - Regulated Futures and Nonequity Options**

2020

02/11/2021

*This section of your tax information statement provides contract-by-contract detail of regulated futures and section 1256 contracts. The total for each contract is the sum of the current year's realized and unrealized profit or loss minus the prior year unrealized profit or loss. The annual total for your account is found in Regulated Futures Contracts 1099-B in the Summary Information at the beginning of this statement.*

Security description	CUSIP and/or symbol	Date	Quantity	Amount	Transaction type	Notes
PLAINS ALL AMER PIPELINE LP/PA PAA Jan 21	PAA 01/21/22 C 10.000	12/31/20	5.00	-328.32	Unrealized profit/loss current year	

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**-328.32 Total Unrealized profit/loss current year**

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**-328.32 Total Aggregate profit or (loss) on contracts**

TD Ameritrade Clearing, Inc.

Account 455335189

**Fees and Expenses**

2020

02/11/2021

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

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

Description	CUSIP and/or symbol	Date	Amount	Transaction type	Notes
Interest Charged		07/31/20	-0.12	Margin interest paid	
		08/31/20	-23.22	Margin interest paid	
		09/30/20	-143.15	Margin interest paid	
		10/30/20	-185.58	Margin interest paid	
		11/30/20	-128.15	Margin interest paid	
		12/31/20	-335.26	Margin interest paid	
			-815.48	Total Margin interest paid	
			<b>-815.48</b>	<b>Total Margin interest paid</b>	

- 03 The tax character of the distribution has been allocated based on information provided by the security issuer.
- 26 Tax lot closed is a specified lot.
- BP BP Prudhoe Bay Royalty Trust is a widely held fixed investment trust (WHFIT). Items of income, deduction, and credit, and any other information shown on this statement must be taken into account in computing taxable income and credits on your income tax return(s). You may be entitled to a depletion allowance which can be determined by referencing the additional information published by the trustee at [bpt.q4web.com](http://bpt.q4web.com). If you can not access the information electronically and do not receive it from the trustee, you may request a hardcopy.
-

**Common Instructions for Recipient**

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

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

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

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

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

**Keep tax documents for your records.****1099-DIV 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 this Form 1099 to satisfy its chapter 4 account reporting requirement. You also may have a filing requirement. See the Instructions for Form 8938.

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

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

**Line 1b.** Shows the portion of the amount in line 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.

**Line 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 lines 2c and 2d and your only capital gains and losses are capital gain distributions, you may be able to report the amounts shown in line 2a on your Form 1040 or 1040-SR rather than Schedule D. See the Instructions for Forms 1040 and 1040-SR.

**Line 2b.** Shows the portion of the amount in line 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).

**Line 2c.** Shows the portion of the amount in line 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.

**Line 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).

**Line 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.

**Line 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.

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

**Instructions for Recipient**

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

**Line 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 and 1040-SR.

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

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

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

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

**Lines 13-15.** State income tax withheld reporting lines. Nominees. If this form includes amounts belonging to another person, you are considered a nominee recipient. You must file Form 1099-DIV (with a Form 1096) with the IRS for each of the other owners to show their share of the income, and you must furnish a Form 1099-DIV to each. 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. Future developments. For the latest information about developments related to Form 1099-DIV and its instructions, such as legislation enacted after they were published, go to [www.irs.gov/Form1099DIV](http://www.irs.gov/Form1099DIV).

**1099-INT Instructions for Recipient**

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

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

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

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

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

**Line 2.** Shows interest or principal forfeited because of early withdrawal of time savings. You may deduct this amount to figure your adjusted gross income on your income tax return. See the Instructions for Forms 1040 and 1040-SR to see where to take the deduction.

**Line 3.** Shows interest on U.S. Savings Bonds, Treasury bills, Treasury bonds, and Treasury notes. This may or may not all be taxable. See Pub. 550. This interest is exempt from state and local income taxes. This interest is not included in line 1. See the instructions above for a taxable covered security acquired at a premium.

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

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

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

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

**Line 8.** Shows tax-exempt interest paid to you during the calendar year by the payer. See how to report this amount in the Instructions for Forms 1040 and 1040-SR. This

amount may be subject to backup withholding. See Line 4 above. See the instructions above for a tax-exempt covered security acquired at a premium.

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

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

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

**Line 12.** For a U.S. Treasury obligation that is a covered security, shows the amount of premium amortization allocable to the interest payment(s), unless you notified the payer in writing in accordance with Regulations section 1.6045-1(n)(5) that you did not want to amortize bond premium under section 171. If an amount is reported in this line, see the Instructions for Schedule B (Form 1040 or 1040-SR) to determine the net amount of interest includable in income on Form 1040 or 1040-SR with respect to the U.S. Treasury obligation. If an amount is not reported in this line for a U.S. Treasury obligation that is a covered security acquired at a premium and the payer is reporting premium amortization, the payer has reported a net amount of interest in line 3. If the amount in line 12 is greater than the amount of interest paid on the U.S. Treasury obligation, see Regulations section 1.171-2(a)(4).

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

**Line 14.** Shows CUSIP number(s) for tax-exempt bond(s) on which tax-exempt interest was paid, or tax credit bond(s) on which taxable interest was paid or tax credit was allowed, to you during the calendar year. If blank, no CUSIP number was issued for the bond(s). **Lines 15-17.** State tax withheld reporting lines. Nominees. If this form includes amounts belonging to another person(s), you are considered a nominee recipient. Complete a Form 1099-INT for each of the other owners showing the income allocable to each. File Copy A of the form with the IRS. Furnish Copy B to each owner. List yourself as the "payer" and the other owner(s) as the "recipient." File Form(s) 1099-INT with Form 1096 with the Internal Revenue Service Center for your area. On Form 1096, list yourself as the "filer." A spouse is not required to file a nominee return to show amounts owned by the other spouse. Future developments. For the latest information about developments related to Form 1099-INT and its instructions, such as legislation enacted after they were published, go to [www.irs.gov/Form1099INT](http://www.irs.gov/Form1099INT).

**1099-B Instructions for Recipient**

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

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

**Instructions for Recipient**

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

**Regulated Futures Contracts, Foreign Currency Contracts, and Section 1256 Option Contracts (Lines 8 Through 11)**

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

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

**Line 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.

**Line 11.** Lines 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.

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