

 Member FINRA/SIPC PO BOX 2209 OMAHA, NE 68103-2209 Client Services: 800-669-3900	<b>Tax Information</b> <b>Account 454986525</b>	Statement Date: 01/14/2021 Document ID: 2H51 82S 3B1F	2020
	MAHENDER GOUD MALLAM 2402 SE JAYEL TER APT 2 BENTONVILLE, AR 72712-6190	PAYER'S TIN: 47-0533629	

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

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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)	271,083.90	279,887.71	0.00	64.33	-8,739.48
Short	B (basis not reported to the IRS)	0.00	0.00	0.00	0.00	0.00
Short	C (Form 1099-B not received)	0.00	0.00	0.00	0.00	0.00
	<b>Total Short-term</b>	<b>271,083.90</b>	<b>279,887.71</b>	<b>0.00</b>	<b>64.33</b>	<b>-8,739.48</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>271,083.90</b>	<b>279,887.71</b>	<b>0.00</b>	<b>64.33</b>	<b>-8,739.48</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 454986525

**Summary Information**

2020

(continued)

01/14/2021

**INTEREST INCOME**

**2020 1099-INT**

OMB No. 1545-0112

**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.**

1- Interest income (not included in line 3)	0.03
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	81.41
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	38.00
Fees & Expenses- Tax-exempt investment expense	0.00
Foreign Exchange Gains & Losses- Foreign currency gain/loss	0.00

TD Ameritrade Clearing, Inc.

Account 454986525

**Proceeds from Broker and Barter Exchange Transactions**

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

01/14/2021

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)	Gain or loss(-) & 7- Loss not allowed (X) also not reported (Z)	Additional information
AMERICAN AIRLINES GROUP INC COM / CUSIP: 02376R102 / Symbol: AAL							
10/20/20	200.000	2,551.92	10/13/20	2,485.00	...	66.92	Sale
ASHFORD HOSPITALITY TRUST INC 1:10 R/S 7/16/20 044103877 / CUSIP: 044103109 / Symbol:							
06/16/20	2,000.000	1,999.72	06/11/20	1,840.20	...	159.52	Sale
AVIS BUDGET GROUP INC COM / CUSIP: 053774105 / Symbol: CAR							
05/08/20	140.000	1,990.74	05/06/20	1,867.60	...	123.14	Sale
GENIUS BRANDS INTL INC COM / CUSIP: 37229T301 / Symbol: GNUS							
06/10/20	500.000	2,567.92	Various	1,889.95	...	677.97	Total of 2 transactions
06/15/20	500.000	2,404.94	06/11/20	1,700.00	...	704.94	Sale
08/13/20	1,820.000	2,920.46	Various	5,693.18	...	-2,772.72	Sale
	<b>Security total:</b>	<b>7,893.32</b>		<b>9,283.13</b>	...	<b>-1,389.81</b>	
HERTZ GLOBAL HOLDINGS INC COM / CUSIP: 42806J106 / Symbol: HTZGQ							
07/07/20	500.000	687.32	06/26/20	740.94	...	-53.62	Sale
INVESCO MORTGAGE CAPITAL INC COM USD0.01 / CUSIP: 46131B100 / Symbol: IVR							
06/10/20	300.000	1,613.92	06/10/20	1,455.00	...	158.92	Sale

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TD Ameritrade Clearing, Inc.

Account 454986525

## Proceeds from Broker and Barter Exchange Transactions

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

(continued)

01/14/2021

**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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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
LYFT INC COM CL A / CUSIP: 55087P104 / Symbol: LYFT							
08/20/20	300.000	8,849.76	Various	8,539.27	...	310.49	Sale
09/23/20	200.000	5,580.86	09/22/20	5,640.00	59.14 W	0.00	Sale
10/23/20	300.000	7,613.79	10/13/20	8,052.64	...	-438.85	Sale
	<b>Security total:</b>	<b>22,044.41</b>		<b>22,231.91</b>	<b>59.14 W</b>	<b>-128.36</b>	
OCUGEN INC COM / CUSIP: 67577C105 / Symbol: OCGN							
05/11/20	3,000.000	993.29	Various	978.30	...	14.99	Total of 2 transactions
06/09/20	10,000.000	2,818.75	06/05/20	2,496.00	...	322.75	Sale
06/23/20	10,000.000	2,898.75	06/16/20	2,662.00	...	236.75	Sale
07/07/20	5,000.000	1,054.63	Various	1,250.00	...	-195.37	Total of 2 transactions
07/08/20	5,000.000	1,035.97	Various	1,250.00	...	-214.03	Total of 2 transactions
	<b>Security total:</b>	<b>8,801.39</b>		<b>8,636.30</b>	...	<b>165.09</b>	
ROKU INC COM CL A / CUSIP: 77543R102 / Symbol: ROKU							
06/16/20	10.000	1,147.57	05/19/20	1,152.40	...	-4.83	Sale
SMARTSHEET INC COM CL A / CUSIP: 83200N103 / Symbol: SMAR							
08/13/20	100.000	4,323.39	08/10/20	4,179.34	...	144.05	Sale
SPIRIT AIRLINES INC COM / CUSIP: 848577102 / Symbol: SAVE							
05/18/20	100.000	999.97	05/07/20	991.50	...	8.47	Sale
08/13/20	260.000	4,757.86	08/13/20	4,549.90	...	207.96	Sale
08/24/20	700.000	12,701.14	Various	12,283.78	...	417.36	Sale
08/27/20	600.000	11,099.68	08/25/20	10,572.00	...	527.68	Sale
09/23/20	150.000	2,489.17	09/22/20	2,445.00	...	44.17	Sale
10/02/20	500.000	8,289.81	09/28/20	8,295.00	5.19 W	0.00	Sale
10/09/20	500.000	8,641.15	10/08/20	8,429.19	...	211.96	Sale
10/20/20	300.000	5,056.35	10/13/20	4,883.97	...	172.38	Sale
10/22/20	200.000	3,393.90	10/21/20	3,277.00	...	116.90	Sale
10/29/20	600.000	10,079.71	Various	10,003.62	...	76.09	Sale
	<b>Security total:</b>	<b>67,508.74</b>		<b>65,730.96</b>	<b>5.19 W</b>	<b>1,782.97</b>	

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Account 454986525

**Proceeds from Broker and Barter Exchange Transactions**

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

(continued)

01/14/2021

**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
TRANSENTERIX INC COM / CUSIP: 89366M300 / Symbol: TRXC							
06/17/20	500.000	344.93	06/12/20	354.50	...	-9.57	Sale
06/30/20	200.000	111.70	06/12/20	141.80	...	-30.10	Sale
08/18/20	1,300.000	567.75	06/12/20	921.70	...	-353.95	Sale
	<b>Security total:</b>	<b>1,024.38</b>		<b>1,418.00</b>	...	<b>-393.62</b>	
APPLE INC AAPL Aug 28 2020 505.0 Call / CUSIP: / Symbol: AAPL 08/28/20 C 505.000							
08/26/20	1.000	809.31	08/26/20	760.67	...	48.64	Option sale
APPLE INC AAPL Sep 04 2020 127.5 Call / CUSIP: / Symbol: AAPL 09/04/20 C 127.500							
08/31/20	4.000	1,517.29	08/27/20	1,455.67	...	61.62	Option sale
APPLE INC AAPL Sep 11 2020 127.5 Call / CUSIP: / Symbol: AAPL 09/11/20 C 127.500							
09/01/20	16.000	11,029.06	08/27/20	7,458.67	...	3,570.39	Option sale
APPLE INC AAPL Sep 18 2020 136.25 Call / CUSIP: / Symbol: AAPL 09/18/20 C 136.250							
09/18/20	4.000	0.00	09/02/20	1,402.67	...	-1,402.67	Option expiration
APPLE INC AAPL Sep 18 2020 137.5 Call / CUSIP: / Symbol: AAPL 09/18/20 C 137.500							
09/18/20	1.000	0.00	09/02/20	400.67	...	-400.67	Option expiration
APPLE INC AAPL Oct 02 2020 121.25 Call / CUSIP: / Symbol: AAPL 10/02/20 C 121.250							
10/02/20	1.000	0.34	09/09/20	499.67	...	-499.33	Option sale
APPLE INC AAPL Dec 18 2020 120.0 Call / CUSIP: / Symbol: AAPL 12/18/20 C 120.000							
09/25/20	8.000	5,266.55	Various	4,680.32	...	586.23	Option sale
APPLE INC AAPL Jan 15 2021 120.0 Call / CUSIP: / Symbol: AAPL 01/15/21 C 120.000							
10/13/20	5.000	5,666.54	10/12/20	5,153.32	...	513.22	Option sale
APPLE INC AAPL Jan 22 2021 126.0 Put / CUSIP: / Symbol: AAPL 01/22/21 P 126.000							
12/18/20	1.000	480.33	12/16/20	465.66	...	14.67	Option sale
APPLE INC AAPL Jan 29 2021 128.0 Put / CUSIP: / Symbol: AAPL 01/29/21 P 128.000							
12/31/20	1.000	329.33	12/22/20	507.66	...	-178.33	Option sale
ALIBABA GROUP HOLDING LTD BABA Jan 15 2021 265.0 Call / CUSIP: / Symbol: BABA 01/15/21 C 265.000							
11/16/20	3.000	4,287.91	11/12/20	5,698.99	...	-1,411.08	Option sale

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Account 454986525

**Proceeds from Broker and Barter Exchange Transactions**

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

(continued)

01/14/2021

**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- Gain or loss(-) & Loss not allowed (X) also not reported (Z)	Additional information
ALIBABA GROUP HOLDING LTD BABA Jan 15 2021		270.0	Call / CUSIP: / Symbol: BABA	01/15/21	C 270.000		
11/12/20	2.000	3,308.60	11/11/20	3,861.33	...	-552.73	Option sale
ALIBABA GROUP HOLDING LTD BABA Jan 15 2021		275.0	Call / CUSIP: / Symbol: BABA	01/15/21	C 275.000		
11/12/20	1.000	1,434.31	11/10/20	1,890.66	...	-456.35	Option sale
ALIBABA GROUP HOLDING LTD BABA Jan 15 2021		285.0	Call / CUSIP: / Symbol: BABA	01/15/21	C 285.000		
11/12/20	1.000	1,064.32	11/11/20	1,250.66	...	-186.34	Option sale
ALIBABA GROUP HOLDING LTD BABA Feb 19 2021		285.0	Call / CUSIP: / Symbol: BABA	02/19/21	C 285.000		
11/05/20	2.000	5,578.55	11/05/20	4,925.33	...	653.22	Option sale
DOCUSIGN INC DOCU Mar 19 2021		210.0	Call / CUSIP: / Symbol: DOCU	03/19/21	C 210.000		
11/10/20	1.000	2,084.29	11/09/20	2,455.66	...	-371.37	Option sale
FACEBOOK INC FB Jan 15 2021		290.0	Put / CUSIP: / Symbol: FB	01/15/21	P 290.000		
11/09/20	2.000	3,788.59	11/06/20	3,471.33	...	317.26	Option sale
ROLLS ROYCE HOLDINGS COM / CUSIP: G76225104 / Symbol: RYCEF							
12/08/20	401.000	674.68	12/04/20	743.72	...	-69.04	Sale
LYFT INC LYFT Jan 15 2021		35.0	Put / CUSIP: / Symbol: LYFT	01/15/21	P 35.000		
11/10/20	3.000	834.98	11/09/20	850.99	...	-16.01	Option sale
MODERNA INC MRNA Dec 11 2020		150.0	Call / CUSIP: / Symbol: MRNA	12/11/20	C 150.000		
12/02/20	1.000	709.32	12/01/20	1,125.66	...	-416.34	Option sale
MODERNA INC MRNA Dec 18 2020		155.0	Call / CUSIP: / Symbol: MRNA	12/18/20	C 155.000		
12/01/20	1.000	1,024.32	12/01/20	1,475.66	...	-451.34	Option sale
MODERNA INC MRNA Jan 15 2021		175.0	Call / CUSIP: / Symbol: MRNA	01/15/21	C 175.000		
12/01/20	1.000	1,624.30	12/01/20	2,965.66	...	-1,341.36	Option sale
MODERNA INC MRNA Feb 19 2021		160.0	Call / CUSIP: / Symbol: MRNA	02/19/21	C 160.000		
12/01/20	1.000	4,004.25	11/30/20	2,032.66	...	1,971.59	Option sale
MODERNA INC MRNA Jan 08 2021		105.0	Put / CUSIP: / Symbol: MRNA	01/08/21	P 105.000		
12/31/20	1.000	449.33	12/31/20	340.66	...	108.67	Option sale

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**Proceeds from Broker and Barter Exchange Transactions**

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

(continued)

01/14/2021

**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)	Gain or loss(-) & 7- Loss not allowed (X) also not reported (Z)	Additional information
NIO INC NIO Dec 31 2020 49.0 Call / CUSIP: / Symbol: NIO 12/31/20 C 49.000							
12/04/20	2.000	680.65	12/01/20	1,211.33	...	-530.68	Option sale
PFIZER INC PFE Jan 15 2021 42.0 Call / CUSIP: / Symbol: PFE 01/15/21 C 42.000							
12/15/20	3.000	223.00	12/02/20	643.99	...	-420.99	Option sale
PFIZER INC PFE Jan 22 2021 43.0 Call / CUSIP: / Symbol: PFE 01/22/21 C 43.000							
12/15/20	2.000	132.67	12/08/20	567.33	...	-434.66	Option sale
PAYPAL HOLDINGS INC PYPL Dec 18 2020 190.0 Call / CUSIP: / Symbol: PYPL 12/18/20 C 190.000							
11/04/20	1.000	994.32	10/30/20	1,250.66	...	-256.34	Option sale
PAYPAL HOLDINGS INC PYPL Dec 18 2020 195.0 Call / CUSIP: / Symbol: PYPL 12/18/20 C 195.000							
10/30/20	1.000	1,014.32	10/29/20	1,505.66	...	-491.34	Option sale
PAYPAL HOLDINGS INC PYPL Jan 15 2021 190.0 Call / CUSIP: / Symbol: PYPL 01/15/21 C 190.000							
11/04/20	4.000	5,157.22	11/03/20	4,922.66	...	234.56	Option sale
11/11/20	1.000	1,214.31	11/10/20	960.66	...	253.65	Option sale
	<b>Security total:</b>	<b>6,371.53</b>		<b>5,883.32</b>	...	<b>488.21</b>	
PAYPAL HOLDINGS INC PYPL Jan 15 2021 195.0 Put / CUSIP: / Symbol: PYPL 01/15/21 P 195.000							
11/23/20	2.000	2,068.62	11/23/20	1,861.33	...	207.29	Option sale
PAYPAL HOLDINGS INC PYPL Jan 15 2021 200.0 Put / CUSIP: / Symbol: PYPL 01/15/21 P 200.000							
11/09/20	3.000	5,487.88	11/06/20	3,893.99	...	1,593.89	Option sale
ROKU INC ROKU Jan 15 2021 275.0 Put / CUSIP: / Symbol: ROKU 01/15/21 P 275.000							
11/30/20	1.000	1,943.30	11/23/20	2,373.66	...	-430.36	Option sale
SPIRIT AIRLINES INC SAVE Oct 16 2020 20.0 Call / CUSIP: / Symbol: SAVE 10/16/20 C 20.000							
09/02/20	13.000	1,681.26	Various	1,969.67	...	-288.41	Option sale
TRANSENTERIX INC TRXC Oct 16 2020 0.5 Call / CUSIP: / Symbol: TRXC 10/16/20 C 0.500							
09/02/20	10.000	61.31	Various	96.67	...	-35.36	Total of 2 transactions
TESLA INC TSLA Sep 25 2020 485.0 Call / CUSIP: / Symbol: TSLA 09/25/20 C 485.000							
09/17/20	1.000	2,180.28	09/01/20	5,855.67	...	-3,675.39	Option 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 454986525

## Proceeds from Broker and Barter Exchange Transactions

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

(continued)

01/14/2021

**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)	Gain or loss(-) & 7- Loss not allowed (X) also not reported (Z)	Additional information
TESLA INC TSLA Dec 04 2020 525.0 Call / CUSIP: / Symbol: TSLA 12/04/20 C 525.000							
11/23/20	1.000	2,309.29	11/23/20	2,610.66	...	-301.37	Option sale
TESLA INC TSLA Dec 18 2020 396.0 Call / CUSIP: / Symbol: TSLA 12/18/20 C 396.000							
11/03/20	1.000	5,229.22	10/30/20	3,450.66	...	1,778.56	Option sale
TESLA INC TSLA Dec 18 2020 460.0 Call / CUSIP: / Symbol: TSLA 12/18/20 C 460.000							
10/08/20	1.000	5,102.23	10/02/20	5,175.66	...	-73.43	Option sale
TESLA INC TSLA Dec 24 2020 480.0 Put / CUSIP: / Symbol: TSLA 12/24/20 P 480.000							
11/20/20	1.000	3,644.26	11/19/20	3,910.66	...	-266.40	Option sale
TESLA INC TSLA Dec 31 2020 470.0 Put / CUSIP: / Symbol: TSLA 12/31/20 P 470.000							
11/23/20	1.000	2,659.28	11/20/20	3,570.66	...	-911.38	Option sale
TESLA INC TSLA Dec 31 2020 475.0 Put / CUSIP: / Symbol: TSLA 12/31/20 P 475.000							
11/19/20	1.000	3,910.25	11/18/20	3,875.66	...	34.59	Option sale
TESLA INC TSLA Jan 15 2021 415.0 Call / CUSIP: / Symbol: TSLA 01/15/21 C 415.000							
10/27/20	1.000	5,729.21	10/23/20	5,085.66	...	643.55	Option sale
10/30/20	1.000	3,684.26	10/29/20	5,010.66	...	-1,326.40	Option sale
<b>Security total:</b>		<b>9,413.47</b>		<b>10,096.32</b>	...	<b>-682.85</b>	
TESLA INC TSLA Feb 19 2021 425.0 Call / CUSIP: / Symbol: TSLA 02/19/21 C 425.000							
11/05/20	1.000	6,449.20	11/04/20	6,085.66	...	363.54	Option sale
11/17/20	1.000	7,269.18	11/16/20	4,604.66	...	2,664.52	Option sale
<b>Security total:</b>		<b>13,718.38</b>		<b>10,690.32</b>	...	<b>3,028.06</b>	
TESLA INC TSLA Jan 15 2021 450.0 Put / CUSIP: / Symbol: TSLA 01/15/21 P 450.000							
11/18/20	1.000	3,594.26	11/17/20	4,620.66	...	-1,026.40	Option sale
WALMART INC WMT Sep 25 2020 131.0 Call / CUSIP: / Symbol: WMT 09/25/20 C 131.000							
08/26/20	2.000	518.66	08/26/20	497.33	...	21.33	Option sale
WALMART INC WMT Sep 25 2020 132.0 Call / CUSIP: / Symbol: WMT 09/25/20 C 132.000							
08/26/20	1.000	259.32	08/25/20	246.67	...	12.65	Option sale

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TD Ameritrade Clearing, Inc.

Account 454986525

## Proceeds from Broker and Barter Exchange Transactions

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

(continued)

01/14/2021

**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)	Gain or loss(-) & 7- Loss not allowed (X) also not reported (Z)	Additional information
SEANERGY MARI HLDG 1:16 R/S 6/30/20 Y73760194 / CUSIP: Y73760301 / Symbol:							
05/07/20	10,355.000	1,399.77	Various	1,344.60	...	55.17	Sale
TOP SHIPS INC 1:25 R/S 8/10/20 Y8897Y180 / CUSIP: Y8897Y164 / Symbol:							
06/05/20	37,639.000	10,105.05	Various	7,564.56	...	2,540.49	Total of 2 transactions
TOP SHIPS INC COM / CUSIP: Y8897Y180 / Symbol: TOPS							
08/10/20	3,136.000	4,641.75	Various	12,078.62	...	-7,436.87	Sale
ZOOM VIDEO COMMUNICATIONS INC ZM Feb 19 2021 440.0 Call / CUSIP: / Symbol: ZM 02/19/21 C 440.000							
11/11/20	1.000	4,186.25	11/09/20	6,146.66	...	-1,960.41	Option sale
<b>Totals :</b>		<b>271,083.90</b>		<b>279,887.71</b>	<b>64.33 W</b>	<b>-8,739.48</b>	

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TD Ameritrade Clearing, Inc.

Account 454986525

**Detail for Interest Income****2020**

01/14/2021

*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		10/30/20	0.01	Credit interest	
FDIC INSURED DEPOSIT ACCOUNT CORE NOT COVERED BY SIPC	9ZZZFD104 MMDA1	09/30/20	0.01	Interest- money mkt	
		11/30/20	0.01	Interest- money mkt	
			0.02	Total Interest	
			<b>0.03</b>	<b>Total Interest</b>	

TD Ameritrade Clearing, Inc.

Account 454986525

**Fees and Expenses**

2020

01/14/2021

*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
REORG FEE Y8897Y164		08/10/20	-38.00	Miscellaneous fee	
Interest Charged		05/29/20	-2.92	Margin interest paid	
		06/30/20	-2.49	Margin interest paid	
		07/31/20	-4.19	Margin interest paid	
		08/31/20	-28.74	Margin interest paid	
		09/30/20	-2.91	Margin interest paid	
		10/30/20	-37.39	Margin interest paid	
		11/30/20	-2.64	Margin interest paid	
		12/31/20	-0.13	Margin interest paid	
			-81.41	Total Margin interest paid	
			<b>-38.00</b>	<b>Total Miscellaneous fee</b>	
			<b>-81.41</b>	<b>Total Margin interest paid</b>	

**Common Instructions for Recipient**

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

**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 2019 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-INT Instructions for Recipient**

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

**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.

**Instructions for Recipient**

**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.

**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.

**Instructions for Recipient**

**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).

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