

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

RAKESH CHERUKURI  
234 RANDOLPH DR  
304D  
MADISON, WI 53717-1634

IN ACCOUNT WITH  
**TASTYWORKS INC.**  
**312-724-7075**

**IMPORTANT YEAR END MESSAGES**

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

Please verify your personal information for accuracy and contact us to correct any discrepancies. If you own Mutual Funds, Real Estate Trusts (REITs), REMIC Securities or certain fixed investment trusts (WHFITs), income distributions may be reclassified by the issuer after the original 1099 is sent. If you hold these securities or another security that is subject to a reclassification event, you may receive a corrected Form 1099.

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<b>APEX CLEARING</b> ONE DALLAS CENTER 350 NORTH ST PAUL SUITE 1300 DALLAS, TX 75201 Customer Service: 214-765-1009  PAYER'S Federal ID No: 13-2967453  IN ACCOUNT WITH <b>TASTYWORKS INC.</b> <b>(312) 724-7075</b>	<b>Account 5WU95787</b>	<b>Form 1099 Composite</b>	<b>2020</b>
	RAKESH CHERUKURI 234 RANDOLPH DR 304D MADISON, WI 53717-1634  RECIPIENT'S ID No: XXX-XX-0082	Statement Date: 02/23/2021 [X] Corrected	

FATCA filing requirement [ ]

### Tax Reporting Statement

DIVIDENDS AND DISTRIBUTIONS	2020 Form 1099-DIV*	OMB No. 1545-0110
1a- Total Ordinary Dividends (includes amount shown on 1b)	0.00	
1b- Qualified Dividends	0.00	
2a- Total Capital Gain Distributions (includes lines 2b, 2c, 2d)	0.00	
2b- Unrecaptured Section 1250 gain	0.00	
2c- Section 1202 Gain	0.00	
2d- Collectibles (28%) Gain	0.00	
3- Nondividend Distributions	0.00	
<b>4- Federal Income Tax Withheld</b>	<b>0.00</b>	
5- Section 199A Dividends	0.00	
6- Investment Expenses	0.00	
7- Foreign tax Paid	0.00	
8- Foreign country or US Possession		
9- Cash Liquidation Distributions	0.00	
10- Noncash Liquidation Distribution	0.00	
11- Exempt-Interest Dividends	0.00	
12- Specified Private Activity Bond Interest Dividends	0.00	

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

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

REGULATED FUTURES CONTRACTS & SECTION 1256 OPTIONS	2020 Form 1099-B*	OMB No. 1545-0715
8- Profit or (loss) realized in 2020 on closed contracts	-141.02	C
9- Unrealized profit or (loss) on open contracts - 12/31/2019	0.00	
10- Unrealized profit or (loss) on open contracts - 12/31/2020	0.00	
11- Aggregate profit or (loss) on contracts	-141.02	C
<i>As applicable, proceeds from other sale transactions are summarized below and details are provided in subsequent sections of this document. More details on futures and section 1256 options transactions are also provided in other sections of this document.</i>		

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

C - Corrected

APEX CLEARING

## Tax Summary

2020

5WU95787

02/23/2021

## Summary Of Sale Proceeds

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

Section	Total Proceeds	Total Cost Basis	Total Market Discount	Wash Sale Loss Disallowed	Total Net Gain or Loss(-)
Short term transactions for covered tax lots	2,466,589.43	2,502,543.26	0.00	45,538.85	9,585.02 C
Short term transactions for noncovered tax lots	2,729.46	2,668.70	0.00	0.00	60.76
<b>Total Short-term</b>	<b>2,469,318.89</b>	<b>2,505,211.96</b>	<b>0.00</b>	<b>45,538.85</b>	<b>9,645.78</b>
Long-term transactions for covered tax lots	0.00	0.00	0.00	0.00	0.00
Long-term transactions for noncovered tax lots	0.00	0.00	0.00	0.00	0.00
<b>Total Long-term</b>	<b>0.00</b>	<b>0.00</b>	<b>0.00</b>	<b>0.00</b>	<b>0.00</b>
Undetermined transactions for noncovered tax lots	0.00	0.00	0.00	0.00	0.00
<b>Total Undetermined-term</b>	<b>0.00</b>	<b>0.00</b>	<b>0.00</b>	<b>0.00</b>	<b>0.00</b>

## ORIGINAL ISSUE DISCOUNT SUMMARY

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

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

## FEDERAL TAX WITHHELD

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

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

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

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

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

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

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

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

FATCA filing requirement [ ]

## SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

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

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

**Box 5:** Box Not Checked (Covered Security)

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

**Box 12:** Basis Reported to the IRS

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

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

1c - Date Sold or Disposed	Quantity	1d - Proceeds	1b - Date Acquired	1e - Cost or Other Basis	1f - Accrued Market Discount (M) & 1g - Wash Sale Loss Disallowed (D)	Gain or Loss (-)	Additional Notes
PUT SNOW 12/11/20	305	SNOWFLAKE INC CLASS A   CUSIP:   Symbol: SNOW201211P00305000					
12/04/2020	1.00	136.84	12/04/2020	136.14	0.00	0.70	Sell to Close
CALL ROKU 11/20/20	245	ROKU INC   CUSIP:   Symbol: ROKU201120C00245000					
10/09/2020	1.00	1,485.81	10/08/2020	1,464.14	0.00	21.67	Sell to Close
PUT ROKU 11/20/20	245	ROKU INC   CUSIP:   Symbol: ROKU201120P00245000					
11/19/2020	1.00	329.84	11/19/2020	381.14	0.00	-51.30	Sell to Close
CALL ROKU 11/20/20	250	ROKU INC   CUSIP:   Symbol: ROKU201120C00250000					
11/19/2020	1.00	514.84	11/19/2020	542.44	0.00	-27.60	Sell to Close
11/19/2020	1.00	304.84	11/19/2020	441.14	136.3 D	0.00	Sell to Close
<b>Security Totals:</b>		<b>819.68</b>		<b>983.58</b>		<b>-27.60</b>	

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## Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B\*

OMB No. 1545-0715

5WU95787

(continued)

02/23/2021

**SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS**

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

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

1c - Date Sold or Disposed	Quantity	1d - Proceeds	1b - Date Acquired	1e - Cost or Other Basis	1f - Accrued Market Discount (M) & 1g - Wash Sale Loss Disallowed (D)	Gain or Loss (-)	Additional Notes
PUT NFLX 09/11/20	480	NETFLIX INC   CUSIP:   Symbol: NFLX200911P00480000					
09/11/2020	1.00	0.00	09/02/2020	119.14	0.00	-119.14	Expiration
CALL SOLO 12/18/20	9	ELECTRAMECCANICA VEHICLES CORP   CUSIP:   Symbol: SOLO201218C00009000					
11/20/2020	1.00	199.84	11/19/2020	181.14	0.00	18.70	Sell to Close
CALL MRVL 12/04/20	47.50	MARVELL TECHNOLOGY GROUP   CUSIP:   Symbol: MRVL201204C00047500					
12/04/2020	1.00	0.00	12/03/2020	61.14	0.00	-61.14	Expiration
CALL FDX 09/18/20	290	FEDEX CORP   CUSIP:   Symbol: FDX200918C00290000					
09/16/2020	1.00	7.84	09/15/2020	113.14	0.00	-105.30	Sell to Close
CALL ROKU 10/09/20	220	ROKU INC   CUSIP:   Symbol: ROKU201009C00220000					
10/05/2020	1.00	90.84	10/05/2020	128.14	0.00	-37.30	Sell to Close
CALL COST 12/11/20	377.50	COSTCO WHOLESALE CORPORATION ADJ CASH DISTRIBUTION   CUSIP:   Symbol: COST201211C00377500					
12/11/2020	1.00	236.71	12/09/2020	0.00	0.00	236.71	Buy to Close
EVO PAYMENTS INC		CLASS A COMMON STOCK   CUSIP: 26927E104   Symbol: EVOP					
09/03/2020	20.00	574.96	09/02/2020	592.01	0.00	-17.05	Sale
CALL QQQ 10/16/20	292	INVESCO QQQ TRUST SERIES 1   CUSIP:   Symbol: QQQ201016C00292000					
10/01/2020	1.00	229.84	10/01/2020	194.14	0.00	35.70	Sell to Close
VERRICA PHARMACEUTICALS INC		COMMON STOCK   CUSIP: 92511W108   Symbol: VRCA					
11/16/2020	100.00	825.89	11/13/2020	875.08	0.00	-49.19	Sale
CALL CRM 05/21/21	230	SALESFORCE.COM INC   CUSIP:   Symbol: CRM210521C00230000					
12/23/2020	2.00	4,249.62	Various	3,958.28	0.00	291.34	Sell to Close
PUT AMD 08/14/20	40	ADVANCED MICRO DEVICES INC   CUSIP:   Symbol: AMD200814P00040000					
	1.00	0.85	08/14/2020	0.00	0.00	0.85	Expiration
CALL ZM 11/27/20	410	ZOOM VIDEO COMMUNICATIONS INC   CUSIP:   Symbol: ZM201127C00410000					
11/18/2020	1.00	-302.33	11/18/2020	0.00	0.00	-302.33	Buy to Close
CALL VSTO 01/15/21	25	VISTA OUTDOOR INC   CUSIP:   Symbol: VSTO210115C00025000					
12/03/2020	1.00	45.85	11/27/2020	76.14	0.00	-30.29	Sell to Close
IRHYTHM TECHNOLOGIES INC		COM   CUSIP: 450056106   Symbol: IRTC					
09/01/2020	1.00	231.23	08/25/2020	213.89	0.00	17.34	Sale
GLU MOBILE INC   CUSIP: 379890106   Symbol: GLUU							
11/23/2020	100.00	950.99	11/20/2020	957.07	0.00	-6.08	Sale

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## Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B\*

OMB No. 1545-0715

5WU95787

(continued)

02/23/2021

**SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS**

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

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

1c - Date Sold or Disposed	Quantity	1d - Proceeds	1b - Date Acquired	1e - Cost or Other Basis	1f - Accrued Market Discount (M) & 1g - Wash Sale Loss Disallowed (D)	Gain or Loss (-)	Additional Notes
CALL TSLA 10/23/20	470	TESLA INC   CUSIP:   Symbol: TSLA201023C00470000					
10/23/2020	1.00	0.00	10/14/2020	2,613.14	0.00	-2,613.14	Expiration
CALL PETS 11/20/20	30	PETMED EXPRESS INC   CUSIP:   Symbol: PETS201120C00030000					
11/19/2020	1.00	38.70	11/13/2020	0.00	0.00	38.70	Buy to Close
PUT TWTR 11/13/20	35	TWITTER INC   CUSIP:   Symbol: TWTR201113P00035000					
10/30/2020	1.00	35.84	10/30/2020	37.14	0.00	-1.30	Sell to Close
CALL CVS 12/04/20	70	CVS HEALTH CORPORATION   CUSIP:   Symbol: CVS201204C00070000					
12/02/2020	2.00	135.71	12/02/2020	134.27	0.00	1.44	Sell to Close
PUT W 10/16/20	260	WAYFAIR INC   CUSIP:   Symbol: W201016P00260000					
10/12/2020	1.00	43.70	10/09/2020	0.00	0.00	43.70	Buy to Close
EBAY INC   CUSIP: 278642103   Symbol: EBAY							
08/27/2020	10.00	568.87	08/21/2020	583.80	0.00	-14.93	Sale
CALL IDEX 12/18/20	3.50	IDEANOMICS INC   CUSIP:   Symbol: IDEX201218C00003500					
12/11/2020	1.00	15.70	12/01/2020	0.00	0.00	15.70	Buy to Close
CALL TSLA 09/25/20	590	TESLA INC   CUSIP:   Symbol: TSLA200925C00590000					
09/22/2020	1.00	154.84	09/21/2020	406.14	0.00	-251.30	Sell to Close
CALL AMZN 12/04/20	3400	AMAZON.COM INC   CUSIP:   Symbol: AMZN201204C03400000					
12/01/2020	1.00	404.84	12/01/2020	351.14	0.00	53.70	Sell to Close
12/01/2020	1.00	414.84	12/01/2020	391.14	0.00	23.70	Sell to Close
12/01/2020	2.00	779.70	Various	677.28	0.00	102.42	Sell to Close
12/01/2020	1.00	369.85	12/01/2020	351.14	0.00	18.71	Sell to Close
12/02/2020	1.00	281.85	12/02/2020	321.14	39.29 D	0.00	Sell to Close
12/04/2020	1.00	0.84	12/02/2020	217.43	0.00	-216.59	Sell to Close
<b>Security Totals:</b>		<b>2,251.92</b>		<b>2,309.27</b>		<b>-18.06</b>	
CALL AMZN 10/30/20	3175	AMAZON.COM INC   CUSIP:   Symbol: AMZN201030C03175000					
10/27/2020	1.00	13,961.54	10/26/2020	11,038.14	0.00	2,923.40	Sell to Close C
PUT PRPL 11/20/20	20	PURPLE INNOVATION INC   CUSIP:   Symbol: PRPL201120P00020000					
10/12/2020	1.00	10.70	10/08/2020	0.00	0.00	10.70	Buy to Close
CALL SBUX 10/16/20	92	STARBUCKS CORPORATION   CUSIP:   Symbol: SBUX201016C00092000					
10/12/2020	1.00	40.84	10/08/2020	35.14	0.00	5.70	Sell to Close

APEX CLEARING

## Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B\*

OMB No. 1545-0715

5WU95787

(continued)

02/23/2021

**SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS**

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

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1c - Date Sold or Disposed	Quantity	1d - Proceeds	1b - Date Acquired	1e - Cost or Other Basis	1f - Accrued Market Discount (M) & 1g - Wash Sale Loss Disallowed (D)	Gain or Loss (-)	Additional Notes
CALL LYFT 11/06/20	32	LYFT INC CLASS A   CUSIP:   Symbol: LYFT201106C00032000					
11/04/2020	1.00	99.84	11/03/2020	21.14	0.00	78.70	Sell to Close
CALL FUBO 01/15/21	35	FUBOTV INC   CUSIP:   Symbol: FUBO210115C00035000					
12/16/2020	1.00	290.85	12/16/2020	351.14	60.29 D	0.00	Sell to Close
12/22/2020	1.00	1,864.80	12/16/2020	411.43	0.00	1,453.37	Sell to Close
<b>Security Totals:</b>		<b>2,155.65</b>		<b>762.57</b>		<b>1,453.37</b>	
CALL XL 01/15/21	30	XL FLEET CORPORATION CL A   CUSIP:   Symbol: XL210115C00030000					
12/23/2020	1.00	18.69	12/23/2020	0.00	0.00	18.69	Buy to Close
12/24/2020	1.00	58.69	12/24/2020	0.00	0.00	58.69	Buy to Close
12/24/2020	1.00	-36.30	12/24/2020	0.00	36.3 D	0.00	Buy to Close
12/28/2020	1.00	90.40	12/28/2020	0.00	0.00	90.40	Buy to Close
12/28/2020	1.00	82.70	12/28/2020	0.00	0.00	82.70	Buy to Close
<b>Security Totals:</b>		<b>214.18</b>		<b>0.00</b>		<b>250.48</b>	
CALL NVDA 12/11/20	555	NVIDIA CORP   CUSIP:   Symbol: NVDA201211C00555000					
12/11/2020	1.00	1.84	12/08/2020	189.14	0.00	-187.30	Sell to Close
PUT SPY 01/15/21	330	STANDARD & POORS DEPOSITORY   CUSIP:   Symbol: SPY210115P00330000					
12/07/2020	1.00	184.84	12/04/2020	189.14	0.00	-4.30	Sell to Close
AMESITE INC		COMMON STOCK   CUSIP: 031094105   Symbol: AMST					
12/03/2020	100.00	454.89	12/02/2020	489.58	0.00	-34.69	Sale
CALL SAIL 10/16/20	50	SAILPOINT TCHNLGS HLDNGS INC   CUSIP:   Symbol: SAIL201016C00050000					
10/06/2020	1.00	39.84	10/01/2020	63.14	0.00	-23.30	Sell to Close
CALL RCL 09/25/20	68	ROYAL CARIBBEAN GROUP   CUSIP:   Symbol: RCL200925C00068000					
09/23/2020	1.00	17.84	09/23/2020	49.14	0.00	-31.30	Sell to Close
09/23/2020	2.00	49.71	09/23/2020	98.27	0.00	-48.56	Sell to Close
<b>Security Totals:</b>		<b>67.55</b>		<b>147.41</b>		<b>-79.86</b>	
CALL TWLO 12/11/20	345	TWILIO INC   CUSIP:   Symbol: TWLO201211C00345000					
12/11/2020	1.00	50.84	12/11/2020	151.14	0.00	-100.30	Sell to Close
PUT BILI 08/21/20	40	BILIBILI INC ADS   CUSIP:   Symbol: BILI200821P00040000					
07/13/2020	1.00	20.70	07/10/2020	0.00	0.00	20.70	Buy to Close

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APEX CLEARING

## Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B\*

OMB No. 1545-0715

5WU95787

(continued)

02/23/2021

**SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS**

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

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

1c - Date Sold or Disposed	Quantity	1d - Proceeds	1b - Date Acquired	1e - Cost or Other Basis	1f - Accrued Market Discount (M) & 1g - Wash Sale Loss Disallowed (D)	Gain or Loss (-)	Additional Notes
07/13/2020	1.00	20.70	07/10/2020	0.00	0.00	20.70	Buy to Close
<b>Security Totals:</b>		<b>41.40</b>		<b>0.00</b>		<b>41.40</b>	
PUT NFLX 10/02/20 445							NETFLIX INC   CUSIP:   Symbol: NFLX201002P00445000
09/28/2020	1.00	29.70	09/28/2020	0.00	0.00	29.70	Buy to Close
CALL SPY 09/25/20 327							STANDARD & POORS DEPOSITORY   CUSIP:   Symbol: SPY200925C00327000
09/25/2020	1.00	109.85	09/25/2020	76.14	0.00	33.71	Sell to Close
PUT ZM 10/23/20 480							ZOOM VIDEO COMMUNICATIONS INC   CUSIP:   Symbol: ZM201023P00480000
10/22/2020	1.00	84.84	10/22/2020	161.14	0.00	-76.30	Sell to Close
ROCKET COMPANIES INC							CLASS A COMMON STOCK   CUSIP: 77311W101   Symbol: RKT
11/24/2020	100.00	2,129.86	11/06/2020	2,122.68	0.00	7.18	Sale
FIRST SOLAR INC   CUSIP: 336433107   Symbol: FSLR							
11/23/2020	80.00	6,963.77	11/23/2020	6,973.66	0.00	-9.89	Sale
11/24/2020	20.00	1,748.53	11/23/2020	1,743.42	0.00	5.11	Sale
<b>Security Totals:</b>		<b>8,712.30</b>		<b>8,717.08</b>		<b>-4.78</b>	
CALL SPY 09/25/20 326							STANDARD & POORS DEPOSITORY   CUSIP:   Symbol: SPY200925C00326000
09/24/2020	1.00	239.84	09/24/2020	203.14	0.00	36.70	Sell to Close
09/25/2020	1.00	141.85	09/25/2020	101.14	0.00	40.71	Sell to Close
<b>Security Totals:</b>		<b>381.69</b>		<b>304.28</b>		<b>77.41</b>	
CALL INTC 01/08/21 57							INTEL CORP   CUSIP:   Symbol: INTC210108C00057000
12/14/2020	2.00	39.71	12/14/2020	50.27	0.00	-10.56	Sell to Close
12/15/2020	2.00	35.71	12/14/2020	50.27	0.00	-14.56	Sell to Close
<b>Security Totals:</b>		<b>75.42</b>		<b>100.54</b>		<b>-25.12</b>	
VIACOMCBS INC							CLASS B COMMON STOCK   CUSIP: 92556H206   Symbol: VIAC
09/11/2020	10.00	297.38	08/27/2020	281.00	0.00	16.38	Sale
CALL NKE 09/25/20 118							NIKE INC CLASS B   CUSIP:   Symbol: NKE200925C00118000
09/22/2020	1.00	293.84	09/22/2020	226.13	0.00	67.71	Sell to Close
09/22/2020	1.00	269.84	09/22/2020	226.14	0.00	43.70	Sell to Close
<b>Security Totals:</b>		<b>563.68</b>		<b>452.27</b>		<b>111.41</b>	
CALL AVY 10/16/20 130							AVERY DENNISON CORP   CUSIP:   Symbol: AVY201016C00130000
09/30/2020	1.00	-176.30	09/21/2020	0.00	0.00	-176.30	Buy to Close

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APEX CLEARING

## Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B\*

OMB No. 1545-0715

5WU95787

(continued)

02/23/2021

**SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS**

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

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

1c - Date Sold or Disposed	Quantity	1d - Proceeds	1b - Date Acquired	1e - Cost or Other Basis	1f - Accrued Market Discount (M) & 1g - Wash Sale Loss Disallowed (D)	Gain or Loss (-)	Additional Notes
CALL AMD 10/09/20	90	ADVANCED MICRO DEVICES INC   CUSIP:   Symbol: AMD201009C00090000					
10/08/2020	1.00	74.84	10/08/2020	66.14	0.00	8.70	Sell to Close
CALL SPY 09/25/20	329	STANDARD & POORS DEPOSITORY   CUSIP:   Symbol: SPY200925C00329000					
09/25/2020	1.00	44.84	09/25/2020	37.14	0.00	7.70	Sell to Close
09/25/2020	1.00	49.85	09/25/2020	37.13	0.00	12.72	Sell to Close
<b>Security Totals:</b>		<b>94.69</b>		<b>74.27</b>		<b>20.42</b>	
***NAKED BRAND GROUP LIMITED ORDINARY SHARES   CUSIP: Q6519T117   Symbol: NAKD							
11/19/2020	2,000.00	558.14	11/19/2020	541.40	0.00	16.74	Sale
11/20/2020	2,000.00	482.64	11/19/2020	641.59	158.95 D	0.00	Sale
12/01/2020	2,000.00	400.55	11/24/2020	524.15	0.00	-123.60	Sale
<b>Security Totals:</b>		<b>1,441.33</b>		<b>1,707.14</b>		<b>-106.86</b>	
CALL WWE 01/21/22	50	WORLD WRESTLING ENTERTAINMENT   CUSIP:   Symbol: WWE220121C00050000					
11/19/2020	1.00	519.83	11/19/2020	521.14	0.00	-1.31	Sell to Close
PUT TSLA 11/20/20	485	TESLA INC   CUSIP:   Symbol: TSLA201120P00485000					
11/19/2020	1.00	434.84	11/19/2020	471.14	0.00	-36.30	Sell to Close
CALL AAPL 01/21/22	150	APPLE INC ADJ 4:1 STOCK SPLIT   CUSIP:   Symbol: AAPL220121C00150000					
11/27/2020	1.00	674.83	11/24/2020	566.14	0.00	108.69	Sell to Close
CALL FB 08/07/20	257.50	FACEBOOK INC CL A   CUSIP:   Symbol: FB200807C00257500					
08/06/2020	2.00	53.69	07/30/2020	270.28	0.00	-216.59	Sell to Close
CALL SONO 01/15/21	25	SONOS INC   CUSIP:   Symbol: SONO210115C00025000					
12/16/2020	2.00	149.71	Various	240.28	0.00	-90.57	Sell to Close
CALL PLUG 10/23/20	20	PLUG POWER INC   CUSIP:   Symbol: PLUG201023C00020000					
10/07/2020	1.00	70.85	10/05/2020	31.14	0.00	39.71	Sell to Close C
PUT FSLY 07/24/20	80	FASTLY INC CLASS A   CUSIP:   Symbol: FSLY200724P00080000					
07/23/2020	5.00	-325.44	Various	0.00	0.00	-325.44	Buy to Close
DUKE ENERGY CORPORATION HOLDING COMPANY   CUSIP: 26441C204   Symbol: DUK							
09/30/2020	20.00	1,771.94	09/30/2020	1,786.78	0.00	-14.84	Sale
PUT BA 07/24/20	165	BOEING CO   CUSIP:   Symbol: BA200724P00165000					
07/24/2020	2.00	0.00	07/22/2020	42.28	0.00	-42.28	Expiration
PUT WYNN 10/30/20	70	WYNN RESORTS LIMITED   CUSIP:   Symbol: WYNN201030P00070000					
10/26/2020	1.00	57.84	10/26/2020	61.14	0.00	-3.30	Sell to Close

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APEX CLEARING

## Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B\*

OMB No. 1545-0715

5WU95787

(continued)

02/23/2021

**SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS**

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

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

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PUT WYNN 10/30/20	65	WYNN RESORTS LIMITED   CUSIP:   Symbol: WYNN201030P00065000					
10/30/2020	1.00	0.00	10/26/2020	16.14	0.00	-16.14	Expiration
CALL AMD 08/21/20	80	ADVANCED MICRO DEVICES INC   CUSIP:   Symbol: AMD200821C00080000					
08/04/2020	2.00	-944.57	07/28/2020	0.00	0.00	-944.57	Buy to Close
PUT SPY 10/26/20	335	STANDARD & POORS DEPOSITORY   CUSIP:   Symbol: SPY201026P00335000					
10/26/2020	1.00	69.84	10/26/2020	26.14	0.00	43.70	Sell to Close
CALL NFLX 01/15/21	500	NETFLIX INC   CUSIP:   Symbol: NFLX210115C00500000					
12/01/2020	1.00	2,961.78	11/23/2020	2,144.14	0.00	817.64	Sell to Close
12/14/2020	1.00	3,049.78	12/09/2020	2,413.14	0.00	636.64	Sell to Close
<b>Security Totals:</b>		<b>6,011.56</b>		<b>4,557.28</b>		<b>1,454.28</b>	
CALL AMRN 01/21/22	5	AMARIN CORP PLC   CUSIP:   Symbol: AMRN220121C00005000					
12/28/2020	5.00	929.29	12/08/2020	905.68	0.00	23.61	Sell to Close
PUT NIO 11/20/20	40	NIO INC ADS   CUSIP:   Symbol: NIO201120P00040000					
11/13/2020	1.00	259.84	11/13/2020	351.14	0.00	-91.30	Sell to Close
CALL ZM 12/18/20	402.50	ZOOM VIDEO COMMUNICATIONS INC   CUSIP:   Symbol: ZM201218C00402500					
12/17/2020	1.00	349.84	12/17/2020	365.14	0.00	-15.30	Sell to Close
CALL SUMO 01/15/21	35	SUMO LOGIC INC   CUSIP:   Symbol: SUMO210115C00035000					
12/10/2020	1.00	141.84	12/07/2020	126.14	0.00	15.70	Sell to Close
MARATHON PATENT GROUP INC		COMMON STOCK   CUSIP: 56585W401   Symbol: MARA					
12/14/2020	100.00	571.89	12/14/2020	569.03	0.00	2.86	Sale
PUT ETSY 08/07/20	108	ETSY INC   CUSIP:   Symbol: ETSY200807P00108000					
08/07/2020	3.00	0.00	08/04/2020	294.41	0.00	-294.41	Expiration
PUT GDV 11/20/20	35.50	VANECK VECTORS GOLD MINERS ETF   CUSIP:   Symbol: GDV201120P00035500					
11/12/2020	2.00	39.44	11/11/2020	0.00	0.00	39.44	Buy to Close
PURPLE INNOVATION INC		COMMON STOCK   CUSIP: 74640Y106   Symbol: PRPL					
10/14/2020	50.00	1,549.91	10/12/2020	1,477.04	0.00	72.87	Sale
10/14/2020	50.00	1,524.91	10/12/2020	1,477.04	0.00	47.87	Sale
11/30/2020	100.00	3,091.84	11/20/2020	3,080.08	0.00	11.76	Sale
12/04/2020	50.00	1,462.91	11/23/2020	1,494.02	31.11 D	0.00	Sale
12/28/2020	100.00	3,434.83	Various	3,460.19	28.23 D	2.87	Sale
<b>Security Totals:</b>		<b>11,064.40</b>		<b>10,988.37</b>		<b>135.37</b>	

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Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B\*

OMB No. 1545-0715

5WU95787

(continued)

02/23/2021

SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

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

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

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

Box 12: Basis Reported to the IRS

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1a - Description of property | CUSIP | Symbol

1c - Date Sold or Disposed	Quantity	1d - Proceeds	1b - Date Acquired	1e - Cost or Other Basis	1f - Accrued Market Discount (M) & 1g - Wash Sale Loss Disallowed (D)	Gain or Loss (-)	Additional Notes
PUT JMIA 11/20/20 10 JUMIA TECHNOLOGIES AG   CUSIP:   Symbol: JMIA201120P00010000							
11/10/2020	1.00	26.84	11/10/2020	33.14	0.00	-6.30	Sell to Close
CALL FL 10/23/20 40 FOOT LOCKER INC   CUSIP:   Symbol: FL201023C00040000							
10/20/2020	1.00	31.84	10/16/2020	31.14	0.00	0.70	Sell to Close C
PUT TSLA 07/24/20 1400 TESLA INC   CUSIP:   Symbol: TSLA200724P01400000							
07/23/2020	1.00	3,071.63	07/22/2020	0.00	0.00	3,071.63	Buy to Close
CALL AAPL 01/21/22 120 APPLE INC ADJ 4:1 STOCK SPLIT   CUSIP:   Symbol: AAPL220121C00120000							
10/09/2020	1.00	1,899.80	10/01/2020	1,891.14	0.00	8.66	Sell to Close
PUT BA 08/21/20 200 BOEING CO   CUSIP:   Symbol: BA200821P00200000							
07/28/2020	1.00	3,161.78	07/27/2020	3,273.14	0.00	-111.36	Sell to Close
CALL ROKU 12/11/20 335 ROKU INC   CUSIP:   Symbol: ROKU201211C00335000							
12/09/2020	2.00	227.71	Various	335.28	0.00	-107.57	Sell to Close
ARROWHEAD PHARMACEUTICALS INC COM   CUSIP: 04280A100   Symbol: ARWR							
09/16/2020	60.00	2,969.88	Various	2,928.04	0.00	41.84	Sale
10/21/2020	5.00	285.12	10/21/2020	281.30	0.00	3.82	Sale
<b>Security Totals:</b>		<b>3,255.00</b>		<b>3,209.34</b>		<b>45.66</b>	
CALL AAPL 01/21/22 125 APPLE INC ADJ 4:1 STOCK SPLIT   CUSIP:   Symbol: AAPL220121C00125000							
11/06/2020	3.00	4,679.47	Various	4,648.42	0.00	31.05	Sell to Close
PUT XBI 08/07/20 105 SPDR S&P BIOTECH ETF   CUSIP:   Symbol: XBI200807P00105000							
08/03/2020	2.00	129.43	07/28/2020	0.00	0.00	129.43	Buy to Close
PUT NFLX 09/04/20 370 NETFLIX INC   CUSIP:   Symbol: NFLX200904P00370000							
09/04/2020	5.00	0.00	08/18/2020	105.68	0.00	-105.68	Expiration
***BORQS TECHNOLOGIES INC ORDINARY SHARES   CUSIP: G1466B103   Symbol: BRQS							
12/07/2020	500.00	559.52	11/24/2020	645.40	0.00	-85.88	Sale
PUT SNOW 12/11/20 375 SNOWFLAKE INC CLASS A   CUSIP:   Symbol: SNOW201211P00375000							
12/10/2020	1.00	709.83	12/10/2020	741.14	0.00	-31.31	Sell to Close
CALL JMIA 11/20/20 9 JUMIA TECHNOLOGIES AG   CUSIP:   Symbol: JMIA201120C00009000							
09/30/2020	1.00	119.84	09/25/2020	126.14	0.00	-6.30	Sell to Close
CALL CHWY 08/21/20 65 CHEWY INC CLASS A   CUSIP:   Symbol: CHWY200821C00065000							
07/29/2020	1.00	6.85	07/21/2020	30.14	0.00	-23.29	Sell to Close

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**SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS**

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

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CALL MU 01/15/21 75 MICRON TECHNOLOGY INC   CUSIP:   Symbol: MU210115C00075000							
12/14/2020	1.00	276.84	12/04/2020	427.14	0.00	-150.30	Sell to Close
***NIU TECHNOLOGIES AMERICAN DEPOSITORY SHARES   CUSIP: 65481N100   Symbol: NIU							
11/20/2020	50.00	1,825.90	11/19/2020	1,749.17	0.00	76.73	Sale
11/24/2020	100.00	3,389.83	Various	3,524.08	0.00	-134.25	Sale
11/24/2020	210.00	7,139.67	Various	7,415.47	148.05 D	-127.75	Sale
<b>Security Totals:</b>		<b>12,355.40</b>		<b>12,688.72</b>		<b>-185.27</b>	
PUT NFLX 08/21/20 505 NETFLIX INC   CUSIP:   Symbol: NFLX200821P00505000							
08/21/2020	3.00	3,443.51	07/13/2020	5,787.42	0.00	-2,343.91	Sell to Close
CYCLERION THERAPEUTICS INC COMMON STOCK   CUSIP: 23255M105   Symbol: CYCN							
10/23/2020	100.00	264.90	10/21/2020	271.08	0.00	-6.18	Sale
12/03/2020	500.00	1,529.50	12/03/2020	1,605.90	0.00	-76.40	Sale
12/03/2020	1,000.00	3,079.01	12/03/2020	3,180.80	50.9 D	-50.89	Sale
<b>Security Totals:</b>		<b>4,873.41</b>		<b>5,057.78</b>		<b>-133.47</b>	
PUT TSLA 11/20/20 475 TESLA INC   CUSIP:   Symbol: TSLA201120P00475000							
11/18/2020	1.00	1,034.82	11/18/2020	1,091.14	0.00	-56.32	Sell to Close
CALL TSLA 11/20/20 475 TESLA INC   CUSIP:   Symbol: TSLA201120C00475000							
11/18/2020	1.00	1,214.83	11/18/2020	1,141.14	0.00	73.69	Sell to Close
CALL ELAN 01/15/21 45 ELANCO ANIMAL HEALTH INC   CUSIP:   Symbol: ELAN210115C00045000							
10/12/2020	1.00	44.85	10/07/2020	41.14	0.00	3.71	Sell to Close C
***CANADA GOOSE HLDGS INC SHS SUB VTG   CUSIP: 135086106   Symbol: GOOS							
09/16/2020	200.00	5,617.69	09/16/2020	5,560.15	0.00	57.54	Sale
09/18/2020	100.00	2,936.84	09/16/2020	2,846.08	0.00	90.76	Sale
09/18/2020	100.00	2,945.42	09/16/2020	2,846.08	0.00	99.34	Sale
<b>Security Totals:</b>		<b>11,499.95</b>		<b>11,252.31</b>		<b>247.64</b>	
CALL X 01/21/22 17 UNITED STATES STL CORP NEW   CUSIP:   Symbol: X220121C00017000							
10/29/2020	1.00	102.84	10/23/2020	115.14	0.00	-12.30	Sell to Close
ACCO BRANDS CORP   CUSIP: 00081T108   Symbol: ACCO							
09/10/2020	100.00	638.89	09/08/2020	652.08	0.00	-13.19	Buy to Cover Short

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**SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS**

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CALL TSLA 12/18/20 700 TESLA INC ADJ 5:1 STOCK SPLIT   CUSIP:   Symbol: TSLA201218C00700000							
12/14/2020	1.00	1,279.82	12/14/2020	1,301.14	21.32 D	0.00	Sell to Close
12/18/2020	1.00	669.84	12/18/2020	687.46	0.00	-17.62	Sell to Close
<b>Security Totals:</b>		<b>1,949.66</b>		<b>1,988.60</b>		<b>-17.62</b>	
CALL SNOW 01/15/21 350 SNOWFLAKE INC CLASS A   CUSIP:   Symbol: SNOW210115C00350000							
12/21/2020	1.00	2,554.79	12/21/2020	2,826.14	0.00	-271.35	Sell to Close
CALL ATVI 12/18/20 83 ACTIVISION BLIZZARD INC   CUSIP:   Symbol: ATVI201218C00083000							
12/10/2020	1.00	185.84	12/10/2020	157.14	0.00	28.70	Sell to Close
PUT FSLY 08/07/20 50 FASTLY INC CLASS A   CUSIP:   Symbol: FSLY200807P00050000							
08/07/2020	3.00	0.00	07/23/2020	135.42	0.00	-135.42	Expiration
CALL M 01/08/21 12.50 MACYS INC   CUSIP:   Symbol: M210108C00012500							
12/31/2020	1.00	30.84	12/30/2020	32.14	0.00	-1.30	Sell to Close
PUT DKNK 11/20/20 30 DRAFTKINGS INC CL A   CUSIP:   Symbol: DKNK201120P00030000							
10/20/2020	1.00	74.84	10/19/2020	66.14	0.00	8.70	Sell to Close
PUT GLD 09/11/20 175 SPDR GOLD TR   CUSIP:   Symbol: GLD200911P00175000							
	1.00	36.84	09/11/2020	0.00	0.00	36.84	Expiration
CALL BAC 05/21/21 24 BANK OF AMERICA CORP   CUSIP:   Symbol: BAC210521C00024000							
10/14/2020	1.00	250.84	10/14/2020	255.14	4.3 D	0.00	Sell to Close
10/20/2020	1.00	242.84	10/15/2020	243.44	0.00	-0.60	Sell to Close
<b>Security Totals:</b>		<b>493.68</b>		<b>498.58</b>		<b>-0.60</b>	
PUT NFLX 10/16/20 415 NETFLIX INC   CUSIP:   Symbol: NFLX201016P00415000							
09/15/2020	1.00	592.68	09/11/2020	0.00	0.00	592.68	Buy to Close
CALL BABA 01/15/21 275 ALIBABA GROUP HOLDING LIMITED   CUSIP:   Symbol: BABA210115C00275000							
11/13/2020	1.00	484.67	11/10/2020	0.00	0.00	484.67	Buy to Close
11/25/2020	1.00	-222.32	11/23/2020	0.00	0.00	-222.32	Buy to Close
<b>Security Totals:</b>		<b>262.35</b>		<b>0.00</b>		<b>262.35</b>	
CALL MSFT 08/21/20 220 MICROSOFT CORP   CUSIP:   Symbol: MSFT200821C00220000							
07/13/2020	1.00	-21.31	07/08/2020	0.00	0.00	-21.31	Buy to Close
***DRAGON VICTORY INTERNATIONAL LIMITED ORDINARY SHARES   CUSIP: G28365107   Symbol: LYL							
10/20/2020	100.00	319.90	10/19/2020	260.08	0.00	59.82	Sale

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APEX CLEARING

## Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B\*

OMB No. 1545-0715

5WU95787

(continued)

02/23/2021

**SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS**

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

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

1c - Date Sold or Disposed	Quantity	1d - Proceeds	1b - Date Acquired	1e - Cost or Other Basis	1f - Accrued Market Discount (M) & 1g - Wash Sale Loss Disallowed (D)	Gain or Loss (-)	Additional Notes
PUT NKE 10/09/20	100	NIKE INC CLASS B   CUSIP:   Symbol: NKE201009P00100000					
09/22/2020	1.00	38.70	09/21/2020	0.00	0.00	38.70	Buy to Close
PUT AAPL 09/18/20	108.75	APPLE INC	ADJ 4:1 STOCK SPLIT   CUSIP:   Symbol: AAPL200918P00108750				
09/15/2020	1.00	21.84	09/09/2020	121.14	0.00	-99.30	Sell to Close
CALL ZM 12/04/20	410	ZOOM VIDEO COMMUNICATIONS INC   CUSIP:   Symbol: ZM201204C00410000					
12/04/2020	1.00	382.84	12/04/2020	276.14	0.00	106.70	Sell to Close
CALL MU 01/15/21	80	MICRON TECHNOLOGY INC   CUSIP:   Symbol: MU210115C00080000					
12/14/2020	1.00	106.70	12/04/2020	0.00	0.00	106.70	Buy to Close
CALL SNAP 10/16/20	27.50	SNAP INC   CUSIP:   Symbol: SNAP201016C00027500					
10/15/2020	1.00	32.84	10/09/2020	41.14	0.00	-8.30	Sell to Close
CALL GME 01/15/21	25	GAMESTOP CORP   CUSIP:   Symbol: GME210115C00025000					
12/23/2020	1.00	194.84	12/23/2020	230.14	0.00	-35.30	Sell to Close
CALL BABA 01/15/21	290	ALIBABA GROUP HOLDING LIMITED   CUSIP:   Symbol: BABA210115C00290000					
12/15/2020	1.00	145.85	12/14/2020	181.14	0.00	-35.29	Sell to Close
CALL MSFT 09/18/20	220	MICROSOFT CORP   CUSIP:   Symbol: MSFT200918C00220000					
09/16/2020	3.00	44.56	09/15/2020	141.41	0.00	-96.85	Sell to Close
CALL PLTR 02/19/21	11	PALANTIR TECHNOLOGIES INC CL A   CUSIP:   Symbol: PLTR210219C00011000					
10/27/2020	1.00	196.85	10/27/2020	186.14	0.00	10.71	Sell to Close
10/29/2020	1.00	195.85	10/28/2020	196.14	0.00	-0.29	Sell to Close
<b>Security Totals:</b>		<b>392.70</b>		<b>382.28</b>		<b>10.42</b>	
PUT CVM 09/18/20	2.50	CEL SCI CORPORATION   CUSIP:   Symbol: CVM200918P00002500					
08/13/2020	1.00	11.84	07/30/2020	26.14	0.00	-14.30	Sell to Close
PUT BIGC 11/20/20	65	BIGCOMMERCE HOLDINGS INC   CUSIP:   Symbol: BIGC201120P00065000					
11/16/2020	1.00	36.70	11/13/2020	0.00	0.00	36.70	Buy to Close
CIIG MERGER CORP		CLASS A COMMON STOCK   CUSIP: 12559C103   Symbol: CIIC					
12/04/2020	20.00	552.36	12/04/2020	526.01	0.00	26.35	Sale
12/04/2020	20.00	541.96	12/04/2020	526.01	0.00	15.95	Sale
<b>Security Totals:</b>		<b>1,094.32</b>		<b>1,052.02</b>		<b>42.30</b>	
OPKO HEALTH INC   CUSIP: 68375N103   Symbol: OPK							
09/29/2020	200.00	664.80	09/29/2020	666.16	0.85 D	-0.51	Sale
10/09/2020	25.00	116.47	10/09/2020	116.19	0.00	0.28	Sale

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**SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS**

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

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

**Box 5:** Box Not Checked (Covered Security)

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

**Box 12:** Basis Reported to the IRS

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

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

1c - Date Sold or Disposed	Quantity	1d - Proceeds	1b - Date Acquired	1e - Cost or Other Basis	1f - Accrued Market Discount (M) & 1g - Wash Sale Loss Disallowed (D)	Gain or Loss (-)	Additional Notes
11/17/2020	100.00	397.06	10/19/2020	461.72	0.00	-64.66	Sale
<b>Security Totals:</b>		<b>1,178.33</b>		<b>1,244.07</b>		<b>-64.89</b>	
PUT MSFT 08/21/20 175 MICROSOFT CORP   CUSIP:   Symbol: MSFT200821P00175000							
07/20/2020	10.00	356.19	07/08/2020	0.00	0.00	356.19	Buy to Close
EVERI HOLDINGS INC COM   CUSIP: 30034T103   Symbol: EVRI							
10/12/2020	100.00	910.38	10/06/2020	919.92	0.00	-9.54	Sale
NETFLIX COM INC   CUSIP: 64110L106   Symbol: NFLX							
09/14/2020	100.00	48,598.83	09/11/2020	48,363.16	0.00	235.67	Sale
11/20/2020	5.00	2,448.78	11/20/2020	2,449.35	0.57 D	0.00	Sale
11/20/2020	5.00	2,462.42	11/20/2020	2,449.35	0.00	13.07	Sale
11/24/2020	15.00	7,218.26	Various	7,212.62	0.00	5.64	Sale
<b>Security Totals:</b>		<b>60,728.29</b>		<b>60,474.48</b>		<b>254.38</b>	
CALL NIO 11/20/20 23 NIO INC ADS   CUSIP:   Symbol: NIO201120C00023000							
10/14/2020	1.00	334.85	10/02/2020	291.14	0.00	43.71	Sell to Close
PUT INTC 11/20/20 40 INTEL CORP   CUSIP:   Symbol: INTC201120P00040000							
10/29/2020	1.00	49.85	10/26/2020	20.14	0.00	29.71	Sell to Close
CALL MRNA 12/04/20 170 MODERNA INC   CUSIP:   Symbol: MRNA201204C00170000							
12/01/2020	1.00	272.84	12/01/2020	300.14	0.00	-27.30	Sell to Close
***CANOPY GROWTH CORPORATION COMMON SHARES   CUSIP: 138035100   Symbol: CGC							
11/30/2020	50.00	1,469.31	11/27/2020	1,387.05	0.00	82.26	Sale
12/01/2020	50.00	1,407.94	11/27/2020	1,387.04	0.00	20.90	Sale
<b>Security Totals:</b>		<b>2,877.25</b>		<b>2,774.09</b>		<b>103.16</b>	
PUT ETSY 11/20/20 105 ETSY INC   CUSIP:   Symbol: ETSY201120P00105000							
11/11/2020	1.00	76.70	11/10/2020	0.00	0.00	76.70	Buy to Close
PUT AMZN 01/15/21 3170 AMAZON.COM INC   CUSIP:   Symbol: AMZN210115P03170000							
12/21/2020	1.00	8,864.65	11/30/2020	14,363.14	0.00	-5,498.49	Sell to Close
CALL TSLA 09/25/20 580 TESLA INC ADJ 5:1 STOCK SPLIT   CUSIP:   Symbol: TSLA200925C00580000							
09/21/2020	1.00	789.83	09/18/2020	751.14	0.00	38.69	Sell to Close
CALL DBX 07/16/21 25 DROPBOX INC   CUSIP:   Symbol: DBX210716C00025000							
11/27/2020	1.00	129.84	11/25/2020	99.14	0.00	30.70	Sell to Close

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APEX CLEARING

## Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B\*

OMB No. 1545-0715

5WU95787

(continued)

02/23/2021

**SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS**

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

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

1c - Date Sold or Disposed	Quantity	1d - Proceeds	1b - Date Acquired	1e - Cost or Other Basis	1f - Accrued Market Discount (M) & 1g - Wash Sale Loss Disallowed (D)	Gain or Loss (-)	Additional Notes
CALL DBX 07/16/21	25	DROPOBOX INC   CUSIP:   Symbol: DBX210716C00025000					
12/24/2020	1.00	334.84	11/25/2020	99.14	0.00	235.70	Sell to Close
12/24/2020	1.00	334.84	11/25/2020	99.13	0.00	235.71	Sell to Close
<b>Security Totals:</b>		<b>799.52</b>		<b>297.41</b>		<b>502.11</b>	
***NANO X IMAGING LTD		ORDINARY SHARES   CUSIP: M70700105   Symbol: NNOX					
10/01/2020	30.00	839.95	10/01/2020	742.52	0.00	97.43	Sale
10/05/2020	10.00	414.98	10/05/2020	396.40	0.00	18.58	Sale
11/13/2020	20.00	755.96	11/11/2020	777.81	0.00	-21.85	Sale
<b>Security Totals:</b>		<b>2,010.89</b>		<b>1,916.73</b>		<b>94.16</b>	
CALL MT 11/27/20	16	ARCELORMITTAL ADR   CUSIP:   Symbol: MT201127C00016000					
11/02/2020	1.00	23.84	10/21/2020	46.14	0.00	-22.30	Sell to Close
CALL TSLA 12/18/20	620	TESLA INC ADJ 5:1 STOCK SPLIT   CUSIP:   Symbol: TSLA201218C00620000					
12/16/2020	1.00	2,007.80	12/16/2020	2,051.14	0.00	-43.34	Sell to Close
CALL BIGC 04/16/21	150	BIGCOMMERCE HOLDINGS INC   CUSIP:   Symbol: BIGC210416C00150000					
12/28/2020	1.00	186.85	12/23/2020	273.14	0.00	-86.29	Sell to Close
CALL ZM 12/11/20	390	ZOOM VIDEO COMMUNICATIONS INC   CUSIP:   Symbol: ZM201211C00390000					
12/11/2020	1.00	155.84	12/11/2020	248.14	0.00	-92.30	Sell to Close
CALL COTY 01/15/21	8	COTY INC   CUSIP:   Symbol: COTY210115C00008000					
12/23/2020	1.00	56.84	12/22/2020	75.14	0.00	-18.30	Sell to Close
PUT TSLA 07/17/20	945	TESLA INC   CUSIP:   Symbol: TSLA200717P00945000					
07/17/2020	1.00	0.00	07/15/2020	59.14	0.00	-59.14	Expiration
CALL MRNA 12/04/20	155	MODERNA INC   CUSIP:   Symbol: MRNA201204C00155000					
12/01/2020	1.00	772.83	12/01/2020	1,069.14	0.00	-296.31	Sell to Close
PUT FSLY 10/16/20	83	FASTLY INC CLASS A   CUSIP:   Symbol: FSLY201016P00083000					
10/05/2020	1.00	2.70	10/02/2020	0.00	0.00	2.70	Buy to Close
CALL JMIA 11/20/20	16	JUMIA TECHNOLOGIES AG   CUSIP:   Symbol: JMIA201120C00016000					
11/12/2020	1.00	43.84	11/10/2020	41.14	0.00	2.70	Sell to Close
CALL FCEL 12/18/20	9	FUELCELL ENERGY INC   CUSIP:   Symbol: FCEL201218C00009000					
12/04/2020	1.00	73.84	12/04/2020	86.14	0.00	-12.30	Sell to Close
CALL TSLA 12/18/20	660	TESLA INC ADJ 5:1 STOCK SPLIT   CUSIP:   Symbol: TSLA201218C00660000					
12/18/2020	1.00	1,479.81	12/18/2020	1,636.14	156.33 D	0.00	Sell to Close

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APEX CLEARING

## Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B\*

OMB No. 1545-0715

5WU95787

(continued)

02/23/2021

**SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS**

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

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CALL TSLA 12/18/20	660	TESLA INC	ADJ 5:1 STOCK SPLIT   CUSIP:   Symbol: TSLA201218C00660000				
12/18/2020	1.00	1,969.80	12/18/2020	1,887.47	0.00	82.33	Sell to Close
<b>Security Totals:</b>		<b>3,449.61</b>		<b>3,523.61</b>		<b>82.33</b>	
PUT TSLA 12/31/20	705	TESLA INC   CUSIP:   Symbol: TSLA201231P00705000					
12/31/2020	2.00	629.70	Various	702.28	86.29 D	13.71	Sell to Close
12/31/2020	1.00	237.84	12/31/2020	402.43	0.00	-164.59	Sell to Close
<b>Security Totals:</b>		<b>867.54</b>		<b>1,104.71</b>		<b>-150.88</b>	
PUT TSLA 12/18/20	640	TESLA INC	ADJ 5:1 STOCK SPLIT   CUSIP:   Symbol: TSLA201218P00640000				
12/17/2020	1.00	1,964.80	12/17/2020	2,117.48	0.00	-152.68	Sell to Close
12/17/2020	1.00	1,884.80	12/17/2020	1,991.14	106.34 D	0.00	Sell to Close
<b>Security Totals:</b>		<b>3,849.60</b>		<b>4,108.62</b>		<b>-152.68</b>	
PUT AUY 12/18/20	5.50	YAMANA GOLD INC   CUSIP:   Symbol: AUY201218P00005500					
12/15/2020	2.00	17.45	12/14/2020	0.00	0.00	17.45	Buy to Close
12/15/2020	3.00	23.17	12/14/2020	0.00	0.00	23.17	Buy to Close
<b>Security Totals:</b>		<b>40.62</b>		<b>0.00</b>		<b>40.62</b>	
CALL TSLA 12/18/20	640	TESLA INC	ADJ 5:1 STOCK SPLIT   CUSIP:   Symbol: TSLA201218C00640000				
12/14/2020	1.00	3,149.78	12/14/2020	3,036.14	0.00	113.64	Sell to Close
12/14/2020	1.00	3,059.78	12/14/2020	2,961.14	0.00	98.64	Sell to Close
12/14/2020	1.00	3,009.78	12/14/2020	2,986.14	0.00	23.64	Sell to Close
12/15/2020	1.00	2,105.80	12/15/2020	2,271.14	165.34 D	0.00	Sell to Close
12/17/2020	1.00	1,484.81	12/17/2020	1,971.48	0.00	-486.67	Sell to Close
<b>Security Totals:</b>		<b>12,809.95</b>		<b>13,226.04</b>		<b>-250.75</b>	
CALL ZM 12/11/20	400	ZOOM VIDEO COMMUNICATIONS INC   CUSIP:   Symbol: ZM201211C00400000					
12/10/2020	1.00	429.84	12/10/2020	435.14	5.3 D	0.00	Sell to Close
12/10/2020	1.00	299.84	12/10/2020	243.44	0.00	56.40	Sell to Close
<b>Security Totals:</b>		<b>729.68</b>		<b>678.58</b>		<b>56.40</b>	
CALL TSLA 11/20/20	505	TESLA INC   CUSIP:   Symbol: TSLA201120C00505000					
11/19/2020	1.00	759.83	11/19/2020	877.07	117.24 D	0.00	Sell to Close
11/19/2020	1.00	619.83	11/19/2020	788.38	0.00	-168.55	Sell to Close

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**SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS**

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

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1c - Date Sold or Disposed	Quantity	1d - Proceeds	1b - Date Acquired	1e - Cost or Other Basis	1f - Accrued Market Discount (M) & 1g - Wash Sale Loss Disallowed (D)	Gain or Loss (-)	Additional Notes
CALL TSLA 11/20/20 505 TESLA INC   CUSIP:   Symbol: TSLA201120C00505000							
11/19/2020	1.00	869.83	11/19/2020	932.45	62.62 D	0.00	Sell to Close
11/19/2020	1.00	767.83	11/19/2020	948.76	180.93 D	0.00	Sell to Close
11/19/2020	1.00	849.83	11/19/2020	881.14	31.31 D	0.00	Sell to Close
<b>Security Totals:</b>		<b>3,867.15</b>		<b>4,427.80</b>		<b>-168.55</b>	
PUT TSLA 11/20/20 495 TESLA INC   CUSIP:   Symbol: TSLA201120P00495000							
11/19/2020	1.00	774.83	11/19/2020	801.14	26.31 D	0.00	Sell to Close
11/19/2020	1.00	790.83	11/19/2020	837.45	0.00	-46.62	Sell to Close
<b>Security Totals:</b>		<b>1,565.66</b>		<b>1,638.59</b>		<b>-46.62</b>	
PUT AMD 08/14/20 80 ADVANCED MICRO DEVICES INC   CUSIP:   Symbol: AMD200814P00080000							
07/28/2020	1.00	22.69	07/28/2020	0.00	0.00	22.69	Buy to Close
VALERO ENERGY CORP NEW   CUSIP: 91913Y100   Symbol: VLO							
12/03/2020	10.00	574.16	12/02/2020	573.10	0.00	1.06	Sale
CALL ZM 10/23/20 550 ZOOM VIDEO COMMUNICATIONS INC   CUSIP:   Symbol: ZM201023C00550000							
10/22/2020	1.00	99.84	10/22/2020	116.14	0.00	-16.30	Sell to Close
CALL ETSY 08/21/20 125 ETSY INC   CUSIP:   Symbol: ETSY200821C00125000							
07/23/2020	1.00	85.70	07/21/2020	0.00	0.00	85.70	Buy to Close
***NOVOCURE LIMITED ORD SHS   CUSIP: G6674U108   Symbol: NVCR							
11/20/2020	10.00	1,341.96	11/20/2020	1,345.04	0.00	-3.08	Sale
11/20/2020	20.00	2,656.32	11/20/2020	2,673.81	8.74 D	-8.75	Sale
<b>Security Totals:</b>		<b>3,998.28</b>		<b>4,018.85</b>		<b>-11.83</b>	
CALL MUR 12/18/20 12.50 MURPHY OIL CORP   CUSIP:   Symbol: MUR201218C00012500							
12/10/2020	1.00	116.84	12/03/2020	38.14	0.00	78.70	Sell to Close
CALL FEYE 01/15/21 25 FIREEYE INC   CUSIP:   Symbol: FEYE210115C00025000							
12/24/2020	1.00	88.84	12/23/2020	229.14	0.00	-140.30	Sell to Close
PUT MT 11/27/20 12 ARCELORMITTAL ADR   CUSIP:   Symbol: MT201127P00012000							
10/29/2020	1.00	34.84	10/23/2020	21.14	0.00	13.70	Sell to Close C
CALL JMIA 01/15/21 40 JUMIA TECHNOLOGIES AG   CUSIP:   Symbol: JMIA210115C00040000							
11/25/2020	1.00	614.83	11/25/2020	411.14	0.00	203.69	Sell to Close

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APEX CLEARING

## Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B\*

OMB No. 1545-0715

5WU95787

(continued)

02/23/2021

**SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS**

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

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

1c - Date Sold or Disposed	Quantity	1d - Proceeds	1b - Date Acquired	1e - Cost or Other Basis	1f - Accrued Market Discount (M) & 1g - Wash Sale Loss Disallowed (D)	Gain or Loss (-)	Additional Notes
CALL JMIA 01/15/21 40 JUMIA TECHNOLOGIES AG   CUSIP:   Symbol: JMIA210115C00040000							
12/01/2020	1.00	289.84	12/01/2020	301.14	0.00	-11.30	Sell to Close
<b>Security Totals:</b>		<b>904.67</b>		<b>712.28</b>		<b>192.39</b>	
CALL AMZN 12/31/20 3305 AMAZON.COM INC   CUSIP:   Symbol: AMZN201231C03305000							
12/31/2020	1.00	224.84	12/31/2020	201.14	0.00	23.70	Sell to Close
12/31/2020	1.00	399.84	12/31/2020	301.14	0.00	98.70	Sell to Close
12/31/2020	1.00	223.84	12/31/2020	201.14	0.00	22.70	Sell to Close
<b>Security Totals:</b>		<b>848.52</b>		<b>703.42</b>		<b>145.10</b>	
TRADE DESK INC (THE) CLASS A COMMON STOCK   CUSIP: 88339J105   Symbol: TTD							
10/20/2020	1.00	623.97	10/16/2020	600.00	0.00	23.97	Sale
11/20/2020	1.00	821.45	11/20/2020	823.00	0.00	-1.55	Sale
<b>Security Totals:</b>		<b>1,445.42</b>		<b>1,423.00</b>		<b>22.42</b>	
CALL FSLY 12/04/20 100 FASTLY INC CLASS A   CUSIP:   Symbol: FSLY201204C00100000							
12/04/2020	1.00	104.85	12/04/2020	123.14	18.29 D	0.00	Sell to Close
12/04/2020	1.00	74.85	12/04/2020	131.43	56.58 D	0.00	Sell to Close
12/04/2020	1.00	54.84	12/04/2020	142.72	0.00	-87.88	Sell to Close
<b>Security Totals:</b>		<b>234.54</b>		<b>397.29</b>		<b>-87.88</b>	
CALL SPI 12/18/20 15 SPI ENERGY CO LTD   CUSIP:   Symbol: SPI201218C00015000							
12/11/2020	1.00	40.70	12/01/2020	0.00	0.00	40.70	Buy to Close
PUT TWTR 10/16/20 47 TWITTER INC   CUSIP:   Symbol: TWTR201016P00047000							
09/28/2020	1.00	375.84	09/23/2020	333.14	0.00	42.70	Sell to Close
PUT OSTK 01/15/21 60 OVERSTOCK.COM INC   CUSIP:   Symbol: OSTK210115P00060000							
12/21/2020	1.00	-11.31	12/18/2020	0.00	0.00	-11.31	Buy to Close
CALL AAPL 02/19/21 140 APPLE INC   CUSIP:   Symbol: AAPL210219C00140000							
12/29/2020	1.00	609.83	12/29/2020	626.14	0.00	-16.31	Sell to Close
CALL AMZN 12/31/20 3350 AMAZON.COM INC   CUSIP:   Symbol: AMZN201231C03350000							
12/28/2020	1.00	1,739.81	12/28/2020	796.14	0.00	943.67	Sell to Close
12/29/2020	1.00	2,399.80	12/28/2020	1,421.14	0.00	978.66	Sell to Close
12/30/2020	1.00	334.84	12/30/2020	605.65	0.00	-270.81	Sell to Close
12/30/2020	1.00	469.83	12/30/2020	749.34	279.51 D	0.00	Sell to Close

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**SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS**

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**Box 12:** Basis Reported to the IRS

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CALL AMZN 12/31/20	3350	AMAZON.COM INC   CUSIP:   Symbol: AMZN201231C03350000					
12/30/2020	3.00	2,999.51	Various	2,748.42	106.3 D	357.39	Sell to Close
12/30/2020	1.00	429.84	12/30/2020	743.04	313.2 D	0.00	Sell to Close
12/30/2020	4.00	2,359.39	Various	2,310.17	246.9 D	296.12	Sell to Close
12/30/2020	1.00	634.83	12/30/2020	805.44	170.61 D	0.00	Sell to Close
<b>Security Totals:</b>		<b>11,367.85</b>		<b>10,179.34</b>		<b>2,305.03</b>	
PUT WYNN 08/21/20	65	WYNN RESORTS LIMITED   CUSIP:   Symbol: WYNN200821P00065000					
07/13/2020	1.00	94.70	07/08/2020	0.00	0.00	94.70	Buy to Close
PUT NK 11/20/20	5	NANTKWEST INC   CUSIP:   Symbol: NK201120P00005000					
11/20/2020	1.00	0.00	10/22/2020	26.14	0.00	-26.14	Expiration
PUT KODK 11/06/20	6.50	EASTMAN KODAK COMPANY   CUSIP:   Symbol: KODK201106P00006500					
11/06/2020	1.00	0.00	10/21/2020	23.14	0.00	-23.14	Expiration
CALL AAPL 08/07/20	410	APPLE INC   CUSIP:   Symbol: AAPL200807C00410000					
08/03/2020	2.00	-6,056.56	07/29/2020	0.00	0.00	-6,056.56	Buy to Close
CALL SPCE 11/27/20	25.50	VIRGIN GALACTIC HOLDINGS INC   CUSIP:   Symbol: SPCE201127C00025500					
11/24/2020	1.00	-7.30	11/23/2020	0.00	0.00	-7.30	Buy to Close
CHINA RECYCLING ENERGY CORPORATION COMMON STOCK		CUSIP: 168913309   Symbol: CREG					
12/02/2020	250.00	1,067.23	Various	1,559.14	491.91 D	0.00	Sale
12/10/2020	250.00	954.84	Various	2,017.61	0.00	-1,062.77	Sale
<b>Security Totals:</b>		<b>2,022.07</b>		<b>3,576.75</b>		<b>-1,062.77</b>	
PUT DOMO 11/20/20	28	DOMO INC   CUSIP:   Symbol: DOMO201120P00028000					
11/20/2020	1.00	0.00	10/21/2020	31.14	0.00	-31.14	Expiration
CALL SHOP 12/18/20	990	SHOPIFY INC   CUSIP:   Symbol: SHOP201218C00990000					
11/25/2020	1.00	6,369.70	11/20/2020	5,446.14	0.00	923.56	Sell to Close
CALL QQQ 09/18/20	285	INVESCO QQQ TRUST SERIES 1   CUSIP:   Symbol: QQQ200918C00285000					
09/14/2020	1.00	113.84	09/14/2020	111.14	0.00	2.70	Sell to Close
PUT SFIX 10/02/20	26	STITCH FIX INC   CUSIP:   Symbol: SFIX201002P00026000					
09/28/2020	1.00	25.70	09/22/2020	0.00	0.00	25.70	Buy to Close
LEMONADE INC COMMON STOCK		CUSIP: 52567D107   Symbol: LMND					
11/16/2020	100.00	6,499.75	11/16/2020	6,378.08	0.00	121.67	Sale
11/23/2020	100.00	6,399.76	11/23/2020	6,341.58	0.00	58.18	Sale

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LEMONADE INC COMMON STOCK   CUSIP: 52567D107   Symbol: LMND							
11/30/2020	50.00	3,834.86	11/30/2020	3,748.54	0.00	86.32	Sale
11/30/2020	50.00	3,849.86	11/30/2020	3,748.54	0.00	101.32	Sale
12/31/2020	10.00	1,299.96	12/31/2020	1,300.00	0.00	-0.04	Sale
<b>Security Totals:</b>		<b>21,884.19</b>		<b>21,516.74</b>		<b>367.45</b>	
CALL FB 08/07/20 252.50 FACEBOOK INC CL A   CUSIP:   Symbol: FB200807C00252500							
08/06/2020	2.00	201.41	07/30/2020	0.00	0.00	201.41	Buy to Close
CALL CRM 01/21/22 400 SALESFORCE.COM INC   CUSIP:   Symbol: CRM220121C00400000							
12/14/2020	1.00	389.84	12/04/2020	436.14	0.00	-46.30	Sell to Close
CALL UAL 10/09/20 39 UNITED AIRLINES HOLDINGS INC   CUSIP:   Symbol: UAL201009C00039000							
10/09/2020	1.00	0.00	10/05/2020	25.14	0.00	-25.14	Expiration
CALL ZM 10/30/20 515 ZOOM VIDEO COMMUNICATIONS INC   CUSIP:   Symbol: ZM201030C00515000							
10/30/2020	2.00	0.00	Various	147.28	0.00	-147.28	Expiration
ADOBE INC COMMON STOCK   CUSIP: 00724F101   Symbol: ADBE							
09/08/2020	5.00	2,363.33	09/04/2020	2,405.00	0.00	-41.67	Sale
CALL JPM 10/23/20 103 JPMORGAN CHASE & CO   CUSIP:   Symbol: JPM201023C00103000							
10/22/2020	1.00	30.84	10/22/2020	53.14	0.00	-22.30	Sell to Close
SHIFTPIXY INC COMMON STOCK   CUSIP: 82452L203   Symbol: PIXY							
10/15/2020	100.00	288.90	10/15/2020	295.08	0.00	-6.18	Sale
CALL NFLX 10/16/20 580 NETFLIX INC   CUSIP:   Symbol: NFLX201016C00580000							
09/15/2020	1.00	423.84	09/11/2020	670.14	0.00	-246.30	Sell to Close
CALL JPM 10/23/20 105 JPMORGAN CHASE & CO   CUSIP:   Symbol: JPM201023C00105000							
10/23/2020	1.00	16.84	10/23/2020	18.14	0.00	-1.30	Sell to Close
CALL XBI 08/07/20 122.50 SPDR S&P BIOTECH ETF   CUSIP:   Symbol: XBI200807C00122500							
08/03/2020	2.00	21.43	07/28/2020	0.00	0.00	21.43	Buy to Close
CALL STMP 02/19/21 280 STAMPS.COM INC   CUSIP:   Symbol: STMP210219C00280000							
12/11/2020	1.00	594.83	11/30/2020	651.14	0.00	-56.31	Sell to Close
CALL JMIA 12/18/20 25 JUMIA TECHNOLOGIES AG   CUSIP:   Symbol: JMIA201218C00025000							
11/20/2020	2.00	-55.58	Various	0.00	27.3 D	-28.28	Buy to Close
11/24/2020	1.00	-615.60	11/20/2020	0.00	0.00	-615.60	Buy to Close
<b>Security Totals:</b>		<b>-671.18</b>		<b>0.00</b>		<b>-643.88</b>	

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APEX CLEARING

## Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B\*

OMB No. 1545-0715

5WU95787

(continued)

02/23/2021

**SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS**

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DOMO INC CLASS B COMMON STOCK   CUSIP: 257554105   Symbol: DOMO							
11/18/2020	20.00	702.56	Various	834.06	0.00	-131.50	Sale
CALL VUZI 11/20/20 5 VUZIX CORPORATION   CUSIP:   Symbol: VUZI201120C00005000							
11/20/2020	1.00	0.00	10/22/2020	28.14	0.00	-28.14	Expiration
PUT CSCO 11/13/20 35 CISCO SYSTEMS INC   CUSIP:   Symbol: CSCO201113P00035000							
11/13/2020	2.00	0.00	Various	38.28	0.00	-38.28	Expiration
PUT GRPN 11/06/20 14 GROUPON INC   CUSIP:   Symbol: GRPN201106P00014000							
11/06/2020	1.00	0.00	11/02/2020	26.14	0.00	-26.14	Expiration
PUT NVDA 08/21/20 412.50 NVIDIA CORP   CUSIP:   Symbol: NVDA200821P00412500							
	1.00	69.84	08/21/2020	0.00	0.00	69.84	Expiration
PUT CVM 09/18/20 5 CEL SCI CORPORATION   CUSIP:   Symbol: CVM200918P00005000							
09/18/2020	1.00	0.00	09/01/2020	21.14	0.00	-21.14	Expiration
COHEN & STEERS INFRASTRUCTURE FUND INC   CUSIP: 19248A109   Symbol: UTF							
11/09/2020	100.00	2,535.85	11/09/2020	2,565.29	0.00	-29.44	Sale
PUT NKLA 08/28/20 20 NIKOLA CORPORATION   CUSIP:   Symbol: NKLA200828P00020000							
08/06/2020	1.00	16.84	07/23/2020	76.14	0.00	-59.30	Sell to Close
PUT OSTK 01/15/21 58 OVERSTOCK.COM INC   CUSIP:   Symbol: OSTK210115P00058000							
12/22/2020	1.00	-36.31	12/22/2020	0.00	0.00	-36.31	Buy to Close
PUT CHWY 07/31/20 43 CHEWY INC CLASS A   CUSIP:   Symbol: CHWY200731P00043000							
	3.00	77.56	07/31/2020	0.00	0.00	77.56	Expiration
CALL SAP 06/18/21 150 SAP SE   CUSIP:   Symbol: SAP210618C00150000							
12/11/2020	1.00	279.84	11/30/2020	301.14	0.00	-21.30	Sell to Close
CALL DOCU 10/09/20 250 DOCUSIGN INC   CUSIP:   Symbol: DOCU201009C00250000							
10/09/2020	2.00	0.00	10/07/2020	64.27	0.00	-64.27	Expiration
CARDIFF ONCOLOGY INC COMMON STOCK   CUSIP: 14147L108   Symbol: CRDF							
10/23/2020	50.00	744.93	10/23/2020	694.54	0.00	50.39	Sale
12/01/2020	50.00	1,148.42	10/23/2020	694.54	0.00	453.88	Sale
<b>Security Totals:</b>		<b>1,893.35</b>		<b>1,389.08</b>		<b>504.27</b>	
CALL LULU 12/11/20 365 LULULEMON ATHLETICA INC   CUSIP:   Symbol: LULU201211C00365000							
12/11/2020	1.00	22.84	12/09/2020	1,311.14	0.00	-1,288.30	Sell to Close

APEX CLEARING

## Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B\*

OMB No. 1545-0715

5WU95787

(continued)

02/23/2021

**SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS**

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PUT MSFT 07/31/20	195	MICROSOFT CORP   CUSIP:   Symbol: MSFT200731P00195000					
07/30/2020	3.00	140.12	07/23/2020	0.00	0.00	140.12	Buy to Close
CALL DKNG 12/11/20	50	DRAFTKINGS INC CL A   CUSIP:   Symbol: DKNG201211C00050000					
12/11/2020	1.00	54.84	12/10/2020	71.14	0.00	-16.30	Sell to Close
CORVUS PHARMACEUTICALS INC		COMMON STOCK   CUSIP: 221015100   Symbol: CRVS					
09/18/2020	100.00	455.89	07/07/2020	500.08	0.00	-44.19	Sale
09/30/2020	50.00	200.93	07/07/2020	250.04	0.00	-49.11	Sale
<b>Security Totals:</b>		<b>656.82</b>		<b>750.12</b>		<b>-93.30</b>	
WAYFAIR INC		CL A   CUSIP: 94419L101   Symbol: W					
09/04/2020	10.00	2,564.53	09/04/2020	2,430.00	0.00	134.53	Sale
09/24/2020	40.00	10,999.71	09/22/2020	12,260.03	315.08 D	-945.24	Sale
09/30/2020	20.00	6,119.84	Various	6,280.09	0.00	-160.25	Sale
11/09/2020	10.00	2,363.51	11/09/2020	2,508.00	0.00	-144.49	Sale
<b>Security Totals:</b>		<b>22,047.59</b>		<b>23,478.12</b>		<b>-1,115.45</b>	
CALL NIO 12/24/20	50	NIO INC ADS   CUSIP:   Symbol: NIO201224C00050000					
12/21/2020	1.00	86.84	12/18/2020	86.14	0.00	0.70	Sell to Close
CALL SPLK 12/18/20	165	SPLUNK INC   CUSIP:   Symbol: SPLK201218C00165000					
12/03/2020	1.00	519.83	12/03/2020	346.14	0.00	173.69	Sell to Close
CALL PLTR 01/15/21	35	PALANTIR TECHNOLOGIES INC CL A   CUSIP:   Symbol: PLTR210115C00035000					
11/27/2020	1.00	699.83	11/25/2020	461.14	0.00	238.69	Sell to Close
CALL TSLA 12/04/20	610	TESLA INC   CUSIP:   Symbol: TSLA201204C00610000					
12/03/2020	1.00	402.84	12/02/2020	215.14	0.00	187.70	Sell to Close
PUT TSLA 12/18/20	625	TESLA INC   CUSIP:   Symbol: TSLA201218P00625000					
12/18/2020	1.00	18.70	12/18/2020	0.00	0.00	18.70	Buy to Close
CALL NFLX 01/15/21	505	NETFLIX INC   CUSIP:   Symbol: NFLX210115C00505000					
12/14/2020	1.00	-599.34	12/09/2020	0.00	0.00	-599.34	Buy to Close
CALL AMZN 12/04/20	3210	AMAZON.COM INC   CUSIP:   Symbol: AMZN201204C03210000					
12/04/2020	1.00	92.84	12/04/2020	136.14	43.3 D	0.00	Sell to Close
12/04/2020	1.00	70.85	12/04/2020	148.44	0.00	-77.59	Sell to Close
<b>Security Totals:</b>		<b>163.69</b>		<b>284.58</b>		<b>-77.59</b>	

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PUT FSLY 07/24/20 77 FASTLY INC CLASS A   CUSIP:   Symbol: FSLY200724P00077000							
07/24/2020	1.00	-54.30	07/22/2020	0.00	0.00	-54.30	Buy to Close
CALL WKHS 11/27/20 30 WORKHORSE GROUP INC   CUSIP:   Symbol: WKHS201127C00030000							
11/27/2020	1.00	0.00	11/24/2020	65.14	0.00	-65.14	Expiration
SQUARE INC CLASS A COM   CUSIP: 852234103   Symbol: SQ							
09/24/2020	10.00	1,549.95	09/24/2020	1,525.00	0.00	24.95	Sale
09/25/2020	5.00	779.97	09/24/2020	771.00	0.00	8.97	Sale
09/25/2020	15.00	2,324.92	09/24/2020	2,313.01	0.00	11.91	Sale
11/11/2020	10.00	1,812.03	11/11/2020	1,804.00	0.00	8.03	Sale
11/20/2020	10.00	1,989.94	11/20/2020	1,984.60	0.00	5.34	Sale
12/04/2020	10.00	2,089.94	12/04/2020	2,085.00	0.00	4.94	Sale
<b>Security Totals:</b>		<b>10,546.75</b>		<b>10,482.61</b>		<b>64.14</b>	
CALL ELAN 10/16/20 32 ELANCO ANIMAL HEALTH INC   CUSIP:   Symbol: ELAN201016C00032000							
10/07/2020	1.00	119.84	10/07/2020	76.14	0.00	43.70	Sell to Close
CALL NFLX 09/04/20 630 NETFLIX INC   CUSIP:   Symbol: NFLX200904C00630000							
09/04/2020	1.00	0.00	09/02/2020	22.14	0.00	-22.14	Expiration
CALL ZM 12/11/20 450 ZOOM VIDEO COMMUNICATIONS INC   CUSIP:   Symbol: ZM201211C00450000							
12/08/2020	1.00	134.84	12/08/2020	186.14	51.3 D	0.00	Sell to Close
12/09/2020	1.00	44.84	12/08/2020	199.44	0.00	-154.60	Sell to Close
<b>Security Totals:</b>		<b>179.68</b>		<b>385.58</b>		<b>-154.60</b>	
CALL FB 12/04/20 300 FACEBOOK INC CL A   CUSIP:   Symbol: FB201204C00300000							
12/02/2020	1.00	72.84	12/02/2020	101.14	0.00	-28.30	Sell to Close
PUT AAPL 08/21/20 440 APPLE INC   CUSIP:   Symbol: AAPL200821P00440000							
08/20/2020	3.00	29.57	08/19/2020	90.41	0.00	-60.84	Sell to Close
INTEL CORP   CUSIP: 458140100   Symbol: INTC							
10/21/2020	25.00	1,336.98	10/21/2020	1,343.77	6.79 D	0.00	Sale
11/12/2020	100.00	4,589.10	Various	4,592.34	0.00	-3.24	Sale
<b>Security Totals:</b>		<b>5,926.08</b>		<b>5,936.11</b>		<b>-3.24</b>	
PUT ZM 08/28/20 240 ZOOM VIDEO COMMUNICATIONS INC   CUSIP:   Symbol: ZM200828P00240000							
08/28/2020	1.00	0.00	08/21/2020	26.14	0.00	-26.14	Expiration

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APEX CLEARING

## Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B\*

OMB No. 1545-0715

5WU95787

(continued)

02/23/2021

**SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS**

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

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

1c - Date Sold or Disposed	Quantity	1d - Proceeds	1b - Date Acquired	1e - Cost or Other Basis	1f - Accrued Market Discount (M) & 1g - Wash Sale Loss Disallowed (D)	Gain or Loss (-)	Additional Notes
CALL WMT 11/20/20	155	WALMART INC   CUSIP:   Symbol: WMT201120C00155000					
10/01/2020	1.00	260.85	09/17/2020	221.14	0.00	39.71	Sell to Close
CALL WMT 11/20/20	150	WALMART INC   CUSIP:   Symbol: WMT201120C00150000					
11/11/2020	1.00	224.84	11/10/2020	188.14	0.00	36.70	Sell to Close
CALL SDC 01/21/22	20	SMILEDIRECTCLUB INC CL A   CUSIP:   Symbol: SDC220121C00020000					
12/24/2020	1.00	242.84	11/23/2020	231.14	0.00	11.70	Sell to Close
SEATTLE GENETICS INC   CUSIP: 812578102   Symbol: SGEN							
09/15/2020	20.00	3,489.90	09/14/2020	3,452.22	0.00	37.68	Sale
09/15/2020	80.00	13,859.69	09/14/2020	13,808.86	0.00	50.83	Sale
<b>Security Totals:</b>		<b>17,349.59</b>		<b>17,261.08</b>		<b>88.51</b>	
CALL MSFT 07/31/20	220	MICROSOFT CORP   CUSIP:   Symbol: MSFT200731C00220000					
07/24/2020	4.00	174.86	07/23/2020	0.00	0.00	174.86	Buy to Close
SALLY BEAUTY HOLDINGS INC   CUSIP: 79546E104   Symbol: SBH							
10/01/2020	100.00	963.88	10/01/2020	974.08	10.2 D	0.00	Sale
10/08/2020	100.00	967.88	10/02/2020	953.15	0.00	14.73	Sale
<b>Security Totals:</b>		<b>1,931.76</b>		<b>1,927.23</b>		<b>14.73</b>	
PUT NFLX 08/21/20	440	NETFLIX INC   CUSIP:   Symbol: NFLX200821P00440000					
07/17/2020	1.00	35.69	07/16/2020	0.00	0.00	35.69	Buy to Close
PUT TSLA 10/23/20	392.50	TESLA INC   CUSIP:   Symbol: TSLA201023P00392500					
10/23/2020	1.00	49.84	10/23/2020	71.14	0.00	-21.30	Sell to Close
BOOT BARN HOLDINGS INC COM   CUSIP: 099406100   Symbol: BOOT							
10/12/2020	20.00	661.56	10/08/2020	660.00	0.00	1.56	Sale
PUT WEN 11/20/20	19	WENDYS COMPANY (THE)   CUSIP:   Symbol: WEN201120P00019000					
11/20/2020	1.00	0.00	10/21/2020	20.14	0.00	-20.14	Expiration
***NUTRIEN LTD COM   CUSIP: 67077M108   Symbol: NTR							
09/16/2020	100.00	4,045.82	09/14/2020	4,027.08	0.00	18.74	Sale
PUT ZM 11/13/20	435	ZOOM VIDEO COMMUNICATIONS INC   CUSIP:   Symbol: ZM201113P00435000					
11/06/2020	1.00	76.70	11/06/2020	0.00	0.00	76.70	Buy to Close
PUT FSLY 12/04/20	90	FASTLY INC CLASS A   CUSIP:   Symbol: FSLY201204P00090000					
12/04/2020	1.00	27.84	12/04/2020	44.14	16.3 D	0.00	Sell to Close

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**SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS**

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PUT FSLY 12/04/20 90 FASTLY INC CLASS A   CUSIP:   Symbol: FSLY201204P00090000							
12/04/2020	1.00	94.84	12/04/2020	60.44	0.00	34.40	Sell to Close
<b>Security Totals:</b>		<b>122.68</b>		<b>104.58</b>		<b>34.40</b>	
CALL FSLY 12/04/20 95 FASTLY INC CLASS A   CUSIP:   Symbol: FSLY201204C00095000							
12/04/2020	1.00	104.85	12/04/2020	148.14	43.29 D	0.00	Sell to Close
12/04/2020	1.00	37.85	12/04/2020	108.03	0.00	-70.18	Sell to Close
12/04/2020	1.00	34.84	12/04/2020	101.43	66.59 D	0.00	Sell to Close
12/04/2020	1.00	19.84	12/04/2020	96.73	76.89 D	0.00	Sell to Close
<b>Security Totals:</b>		<b>197.38</b>		<b>454.33</b>		<b>-70.18</b>	
PUT ZM 11/13/20 440 ZOOM VIDEO COMMUNICATIONS INC   CUSIP:   Symbol: ZM201113P00440000							
11/06/2020	1.00	-11.30	11/06/2020	0.00	0.00	-11.30	Buy to Close
PUT AMD 09/11/20 78 ADVANCED MICRO DEVICES INC   CUSIP:   Symbol: AMD200911P00078000							
09/09/2020	1.00	127.70	09/04/2020	0.00	0.00	127.70	Buy to Close
***AC IMMUNE SA COMMON STOCK   CUSIP: H00263105   Symbol: ACIU							
09/09/2020	100.00	772.89	09/09/2020	793.08	0.00	-20.19	Sale
PUT NFLX 08/07/20 420 NETFLIX INC   CUSIP:   Symbol: NFLX200807P00420000							
08/03/2020	3.00	35.56	Various	195.42	0.00	-159.86	Sell to Close
CALL MSFT 12/04/20 217.50 MICROSOFT CORP   CUSIP:   Symbol: MSFT201204C00217500							
12/01/2020	1.00	178.84	12/01/2020	217.14	0.00	-38.30	Sell to Close
PUT BYND 10/09/20 146 BEYOND MEAT INC   CUSIP:   Symbol: BYND201009P00146000							
10/05/2020	1.00	13.70	10/01/2020	0.00	0.00	13.70	Buy to Close
***BLACKBERRY LTD COM   CUSIP: 09228F103   Symbol: BB							
12/01/2020	50.00	445.43	12/01/2020	409.04	0.00	36.39	Sale
12/01/2020	50.00	458.46	12/01/2020	409.04	0.00	49.42	Sale
12/02/2020	100.00	818.04	12/02/2020	803.84	0.00	14.20	Sale
12/02/2020	100.00	832.89	12/02/2020	803.84	0.00	29.05	Sale
12/02/2020	200.00	1,561.78	12/02/2020	1,597.88	36.1 D	0.00	Sale
<b>Security Totals:</b>		<b>4,116.60</b>		<b>4,023.64</b>		<b>129.06</b>	
PUT MSFT 10/16/20 190 MICROSOFT CORP   CUSIP:   Symbol: MSFT201016P00190000							
10/05/2020	1.00	0.70	10/01/2020	0.00	0.00	0.70	Buy to Close

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**SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS**

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

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CALL PYPL 08/07/20	215	PAYPAL HOLDINGS INC   CUSIP:   Symbol: PYPL200807C00215000					
07/30/2020	1.00	32.84	07/23/2020	33.14	0.00	-0.30	Sell to Close
CALL MSFT 07/24/20	225	MICROSOFT CORP   CUSIP:   Symbol: MSFT200724C00225000					
07/22/2020	1.00	4.70	07/22/2020	0.00	0.00	4.70	Buy to Close
CALL DKNG 12/11/20	53.50	DRAFTKINGS INC CL A   CUSIP:   Symbol: DKNG201211C00053500					
12/09/2020	1.00	77.84	12/09/2020	163.14	0.00	-85.30	Sell to Close
CALL SQ 09/25/20	160	SQUARE INC   CUSIP:   Symbol: SQ200925C00160000					
09/22/2020	1.00	179.84	09/22/2020	188.13	0.00	-8.29	Sell to Close
09/22/2020	1.00	199.85	09/22/2020	188.14	0.00	11.71	Sell to Close
<b>Security Totals:</b>		<b>379.69</b>		<b>376.27</b>		<b>3.42</b>	
CALL BABA 11/27/20	285	ALIBABA GROUP HOLDING LIMITED   CUSIP:   Symbol: BABA201127C00285000					
11/27/2020	1.00	0.00	11/25/2020	32.14	0.00	-32.14	Expiration
PUT ZM 10/30/20	390	ZOOM VIDEO COMMUNICATIONS INC   CUSIP:   Symbol: ZM201030P00390000					
10/14/2020	1.00	0.70	10/14/2020	0.00	0.00	0.70	Buy to Close
PUT NVDA 07/24/20	390	NVIDIA CORP   CUSIP:   Symbol: NVDA200724P00390000					
07/24/2020	1.00	0.00	07/21/2020	86.14	0.00	-86.14	Expiration
PUT AMAT 08/14/20	61	APPLIED MATERIALS INC   CUSIP:   Symbol: AMAT200814P00061000					
	2.00	51.72	08/14/2020	0.00	0.00	51.72	Expiration
08/14/2020	2.00	41.45	08/13/2020	0.00	0.00	41.45	Buy to Close
<b>Security Totals:</b>		<b>93.17</b>		<b>0.00</b>		<b>93.17</b>	
CALL SPY 10/07/20	341	STANDARD & POORS DEPOSITORY   CUSIP:   Symbol: SPY201007C00341000					
10/06/2020	1.00	150.84	10/05/2020	151.14	0.00	-0.30	Sell to Close
CALL NKE 09/25/20	116	NIKE INC CLASS B   CUSIP:   Symbol: NKE200925C00116000					
09/24/2020	1.00	938.82	09/22/2020	319.14	0.00	619.68	Sell to Close
CALL UPWK 01/15/21	45	UPWORK INC   CUSIP:   Symbol: UPWK210115C00045000					
11/18/2020	1.00	101.84	11/17/2020	110.14	0.00	-8.30	Sell to Close
PUT NVDA 08/21/20	400	NVIDIA CORP   CUSIP:   Symbol: NVDA200821P00400000					
08/21/2020	1.00	0.00	08/19/2020	55.14	0.00	-55.14	Expiration
PUT EHTH 08/21/20	55	EHEALTH INC   CUSIP:   Symbol: EHTH200821P00055000					
08/21/2020	3.00	0.00	07/24/2020	93.42	0.00	-93.42	Expiration

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APEX CLEARING

## Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B\*

OMB No. 1545-0715

5WU95787

(continued)

02/23/2021

**SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS**

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

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PUT ETSY 08/07/20	90	ETSY INC   CUSIP:   Symbol: ETSY200807P000900000					
	5.00	69.30	08/07/2020	0.00	0.00	69.30	Expiration
CALL RIOT 01/15/21	7	RIOT BLOCKCHAIN INC   CUSIP:   Symbol: RIOT210115C00007000					
11/17/2020	1.00	74.84	11/17/2020	66.14	0.00	8.70	Sell to Close
PUT AAL 10/16/20	10	AMERICAN AIRLINES GROUP INC   CUSIP:   Symbol: AAL201016P00010000					
10/02/2020	1.00	6.84	09/30/2020	13.14	0.00	-6.30	Sell to Close
PUT AMD 08/21/20	50	ADVANCED MICRO DEVICES INC   CUSIP:   Symbol: AMD200821P00050000					
07/10/2020	1.00	194.84	07/09/2020	220.14	0.00	-25.30	Sell to Close
CALL BILI 08/21/20	60	BILIBILI INC ADS   CUSIP:   Symbol: BILI200821C00060000					
07/13/2020	1.00	127.85	07/10/2020	139.14	11.29 D	0.00	Sell to Close
07/13/2020	1.00	127.84	07/10/2020	150.43	0.00	-22.59	Sell to Close
<b>Security Totals:</b>		<b>255.69</b>		<b>289.57</b>		<b>-22.59</b>	
ARLO TECHNOLOGIES INC		COMMON STOCK   CUSIP: 04206A101   Symbol: ARLO					
12/03/2020	100.00	672.89	12/03/2020	708.88	0.00	-35.99	Sale
12/03/2020	100.00	695.89	12/03/2020	711.08	15.19 D	0.00	Sale
<b>Security Totals:</b>		<b>1,368.78</b>		<b>1,419.96</b>		<b>-35.99</b>	
PUT FSLY 07/31/20	76	FASTLY INC CLASS A   CUSIP:   Symbol: FSLY200731P00076000					
07/28/2020	5.00	558.57	07/23/2020	0.00	0.00	558.57	Buy to Close
CALL CCL 01/21/22	15	CARNIVAL CORP   CUSIP:   Symbol: CCL220121C00015000					
10/14/2020	1.00	466.83	10/14/2020	476.14	9.31 D	0.00	Sell to Close
10/20/2020	1.00	474.83	10/15/2020	450.45	0.00	24.38	Sell to Close
11/02/2020	1.00	419.84	10/26/2020	446.14	0.00	-26.30	Sell to Close
<b>Security Totals:</b>		<b>1,361.50</b>		<b>1,372.73</b>		<b>-1.92</b>	
PUT WKHS 11/06/20	19	WORKHORSE GROUP INC   CUSIP:   Symbol: WKHS201106P00019000					
10/12/2020	1.00	10.70	10/09/2020	0.00	0.00	10.70	Buy to Close
CALL SU 03/19/21	11	SUNCOR ENERGY INC NEW   CUSIP:   Symbol: SU210319C00011000					
11/09/2020	1.00	359.85	10/14/2020	251.14	0.00	108.71	Sell to Close
PUT AAPL 10/16/20	115	APPLE INC ADJ 4:1 STOCK SPLIT   CUSIP:   Symbol: AAPL201016P00115000					
09/28/2020	1.00	215.69	09/04/2020	0.00	0.00	215.69	Buy to Close
CALL BAC 01/15/21	25	BANK OF AMERICA CORP   CUSIP:   Symbol: BAC210115C00025000					
10/05/2020	1.00	187.84	09/21/2020	174.14	0.00	13.70	Sell to Close

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**SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS**

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10/05/2020	2.00	365.71	09/21/2020	348.27	0.00	17.44	Sell to Close
<b>Security Totals:</b>		<b>553.55</b>		<b>522.41</b>		<b>31.14</b>	
CORCEPT THERAPEUTICS INC   CUSIP: 218352102   Symbol: CORT							
12/03/2020	100.00	2,319.85	11/20/2020	2,387.86	0.00	-68.01	Sale
PUT JMIA 11/20/20 8 JUMIA TECHNOLOGIES AG   CUSIP:   Symbol: JMIA201120P00008000							
10/13/2020	1.00	6.70	10/12/2020	0.00	0.00	6.70	Buy to Close
PUT FB 08/07/20 205 FACEBOOK INC CL A   CUSIP:   Symbol: FB200807P00205000							
08/06/2020	2.00	157.41	07/30/2020	0.00	0.00	157.41	Buy to Close
PUT QS 01/15/21 75 QUANTUMSCAPE CORPORATION CL A   CUSIP:   Symbol: QS210115P00075000							
12/30/2020	1.00	-41.31	12/30/2020	0.00	0.00	-41.31	Buy to Close
SENMIAO TECHNOLOGY LIMITED COMMON STOCK   CUSIP: 817225105   Symbol: AIHS							
10/20/2020	100.00	113.90	10/20/2020	112.84	0.00	1.06	Sale
CALL DPZ 12/18/20 430 DOMINOS PIZZA INC   CUSIP:   Symbol: DPZ201218C00430000							
12/14/2020	2.00	1.72	Various	439.28	0.00	-437.56	Sell to Close
CALL FDX 09/18/20 260 FEDEX CORP   CUSIP:   Symbol: FDX200918C00260000							
09/16/2020	1.00	69.84	09/16/2020	371.14	0.00	-301.30	Sell to Close
CALL MSFT 12/04/20 220 MICROSOFT CORP   CUSIP:   Symbol: MSFT201204C00220000							
12/01/2020	2.00	135.71	Various	98.28	0.00	37.43	Sell to Close
12/03/2020	3.00	49.54	12/02/2020	96.41	0.00	-46.87	Sell to Close
<b>Security Totals:</b>		<b>185.25</b>		<b>194.69</b>		<b>-9.44</b>	
CALL VXX 07/31/20 38 IPATH SER B S&P 500 VIX SHORT   CUSIP:   Symbol: VXX200731C00038000							
07/31/2020	2.00	0.00	Various	78.28	0.00	-78.28	Expiration
CALL FSLY 01/15/21 115 FASTLY INC CLASS A   CUSIP:   Symbol: FSLY210115C00115000							
12/17/2020	1.00	279.84	12/17/2020	331.14	0.00	-51.30	Sell to Close
OLLIE S BARGAIN OUTLET HOLDINGS INC COM   CUSIP: 681116109   Symbol: OLLI							
09/09/2020	10.00	932.98	09/04/2020	910.00	0.00	22.98	Buy to Cover Short
***BAIDU INC SPONSORED ADR REPSTG ORD SHS CL A   CUSIP: 056752108   Symbol: BIDU							
12/11/2020	100.00	16,146.66	12/11/2020	16,255.08	10.84 D	-97.58	Sale
12/31/2020	10.00	2,253.14	12/31/2020	2,265.44	0.00	-12.30	Sale
<b>Security Totals:</b>		<b>18,399.80</b>		<b>18,520.52</b>		<b>-109.88</b>	

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CALL FSLY 01/15/21	120	FASTLY INC CLASS A   CUSIP:   Symbol: FSLY210115C00120000					
11/20/2020	1.00	194.84	11/13/2020	171.14	0.00	23.70	Sell to Close
CALL AAL 10/16/20	13.50	AMERICAN AIRLINES GROUP INC   CUSIP:   Symbol: AAL201016C00013500					
10/16/2020	1.00	0.84	10/05/2020	51.14	0.00	-50.30	Sell to Close
PUT NFLX 08/21/20	410	NETFLIX INC   CUSIP:   Symbol: NFLX200821P00410000					
	5.00	744.26	08/21/2020	0.00	0.00	744.26	Expiration
CALL AMAT 08/14/20	70	APPLIED MATERIALS INC   CUSIP:   Symbol: AMAT200814C00070000					
	2.00	57.72	08/14/2020	0.00	0.00	57.72	Expiration
08/14/2020	2.00	53.45	08/13/2020	0.00	0.00	53.45	Buy to Close
<b>Security Totals:</b>		<b>111.17</b>		<b>0.00</b>		<b>111.17</b>	
CALL APPS 12/18/20	50	DIGITAL TURBINE INC   CUSIP:   Symbol: APPS201218C00050000					
11/30/2020	1.00	122.85	11/30/2020	151.14	0.00	-28.29	Sell to Close
OVERSTOCK.COM INC		DEL   CUSIP: 690370101   Symbol: OSTK					
10/09/2020	12.00	1,006.15	Various	997.80	0.00	8.35	Sale
11/09/2020	100.00	5,412.79	11/09/2020	5,553.08	140.29 D	0.00	Sale
11/17/2020	100.00	5,792.78	11/17/2020	5,727.37	0.00	65.41	Sale
11/19/2020	50.00	2,979.88	11/19/2020	2,885.04	0.00	94.84	Sale
11/30/2020	100.00	6,867.75	11/30/2020	7,108.84	120.55 D	-120.54	Sale
11/30/2020	25.00	1,729.92	11/30/2020	1,727.05	0.00	2.87	Sale
12/02/2020	25.00	1,551.68	11/30/2020	1,727.04	0.00	-175.36	Sale
<b>Security Totals:</b>		<b>25,340.95</b>		<b>25,726.22</b>		<b>-124.43</b>	
CALL LMND 12/11/20	100	LEMONADE INC   CUSIP:   Symbol: LMND201211C00100000					
12/03/2020	1.00	53.85	12/03/2020	81.14	0.00	-27.29	Sell to Close
PUT IBM 08/21/20	110	INTL BUSINESS MACHINE   CUSIP:   Symbol: IBM200821P00110000					
07/10/2020	1.00	330.84	07/10/2020	359.14	0.00	-28.30	Sell to Close
CALL BABA 10/30/20	330	ALIBABA GROUP HOLDING LIMITED   CUSIP:   Symbol: BABA201030C00330000					
10/21/2020	1.00	169.85	10/19/2020	301.14	0.00	-131.29	Sell to Close
CALL NKE 10/16/20	130	NIKE INC CLASS B   CUSIP:   Symbol: NKE201016C00130000					
10/06/2020	1.00	199.84	10/05/2020	151.14	0.00	48.70	Sell to Close

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APEX CLEARING

## Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B\*

OMB No. 1545-0715

5WU95787

(continued)

02/23/2021

**SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS**

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

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

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PUT FSLY 07/31/20	69	FASTLY INC CLASS A   CUSIP:   Symbol: FSLY200731P00069000					
	3.00	218.56	07/31/2020	0.00	0.00	218.56	Expiration
PUT BA 08/14/20	145	BOEING CO   CUSIP:   Symbol: BA200814P00145000					
08/04/2020	2.00	117.71	07/28/2020	226.28	0.00	-108.57	Sell to Close
PUT WYNN 08/21/20	60	WYNN RESORTS LIMITED   CUSIP:   Symbol: WYNN200821P00060000					
07/13/2020	1.00	233.84	07/08/2020	296.14	0.00	-62.30	Sell to Close
PUT NVDA 09/18/20	345	NVIDIA CORP   CUSIP:   Symbol: NVDA200918P00345000					
08/04/2020	1.00	339.84	07/21/2020	763.14	0.00	-423.30	Sell to Close
CALL AMZN 12/11/20	3400	AMAZON.COM INC   CUSIP:   Symbol: AMZN201211C03400000					
12/08/2020	1.00	230.84	12/07/2020	326.14	0.00	-95.30	Sell to Close
CALL GS 10/23/20	210	GOLDMAN SACHS GROUP INC   CUSIP:   Symbol: GS201023C00210000					
10/20/2020	1.00	244.84	10/15/2020	250.14	0.00	-5.30	Sell to Close
PUT SOLO 11/20/20	4.50	ELECTRAMECCANICA VEHICLES CORP   CUSIP:   Symbol: SOLO201120P00004500					
11/13/2020	1.00	19.84	11/13/2020	30.14	0.00	-10.30	Sell to Close
CONN INC   CUSIP: 208242107   Symbol: CONN							
09/03/2020	10.00	146.58	08/21/2020	121.67	0.00	24.91	Sale
KANDI TECHNOLOGIES GROUP INC   CUSIP: 483709101   Symbol: KNDI							
11/19/2020	100.00	1,312.88	11/19/2020	1,339.44	13.28 D	-13.28	Sale
11/20/2020	50.00	627.93	11/20/2020	603.32	0.00	24.61	Sale
<b>Security Totals:</b>		<b>1,940.81</b>		<b>1,942.76</b>		<b>11.33</b>	
SCHULTZE SPECIAL PURPOSE ACQUISITION CORP COMMON STOCK   CUSIP: 80821R109   Symbol: SAMA							
12/03/2020	100.00	1,142.89	11/30/2020	1,166.08	0.00	-23.19	Sale
PUT TWTR 07/17/20	33	TWITTER INC   CUSIP:   Symbol: TWTR200717P00033000					
07/07/2020	1.00	104.84	07/07/2020	96.14	0.00	8.70	Sell to Close
PUT SPY 12/11/20	355	STANDARD & POORS DEPOSITORY   CUSIP:   Symbol: SPY201211P00355000					
12/11/2020	1.00	0.00	12/04/2020	43.14	0.00	-43.14	Expiration
PUT SPY 12/11/20	360	STANDARD & POORS DEPOSITORY   CUSIP:   Symbol: SPY201211P00360000					
12/11/2020	1.00	18.85	12/11/2020	21.14	0.00	-2.29	Sell to Close
CALL SPY 11/16/20	362	STANDARD & POORS DEPOSITORY   CUSIP:   Symbol: SPY201116C00362000					
11/16/2020	1.00	7.84	11/16/2020	16.14	0.00	-8.30	Sell to Close



**SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS**

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

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

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CALL TECK 01/15/21	18	TECK RESOURCES LIMITED	CL B   CUSIP:   Symbol: TECK210115C00018000				
12/01/2020	1.00	58.84	11/27/2020	58.14	0.00	0.70	Sell to Close
PUT ZM 09/04/20	370	ZOOM VIDEO COMMUNICATIONS INC   CUSIP:   Symbol: ZM200904P00370000					
09/04/2020	3.00	-4,236.84	09/01/2020	0.00	0.00	-4,236.84	Buy to Close
PUT SOLO 11/20/20	3	ELECTRAMECCANICA VEHICLES CORP   CUSIP:   Symbol: SOLO201120P00003000					
11/20/2020	1.00	0.00	11/06/2020	15.14	0.00	-15.14	Expiration
PUT TSLA 11/20/20	435	TESLA INC   CUSIP:   Symbol: TSLA201120P00435000					
11/18/2020	1.00	83.84	11/18/2020	117.43	0.00	-33.59	Sell to Close
11/18/2020	1.00	96.85	11/18/2020	123.14	26.29 D	0.00	Sell to Close
<b>Security Totals:</b>		<b>180.69</b>		<b>240.57</b>		<b>-33.59</b>	
PUT ZM 09/04/20	375	ZOOM VIDEO COMMUNICATIONS INC   CUSIP:   Symbol: ZM200904P00375000					
09/04/2020	1.00	-2,323.30	09/01/2020	0.00	0.00	-2,323.30	Buy to Close
CALL STKL 12/18/20	10	SUNOPTA INC   CUSIP:   Symbol: STKL201218C00010000					
12/10/2020	1.00	-6.30	12/01/2020	0.00	0.00	-6.30	Buy to Close
PUT CVX 08/21/20	82	CHEVRON CORPORATION   CUSIP:   Symbol: CVX200821P00082000					
07/24/2020	1.00	85.84	07/21/2020	122.14	0.00	-36.30	Sell to Close
PUT TSLA 11/20/20	425	TESLA INC   CUSIP:   Symbol: TSLA201120P00425000					
11/17/2020	1.00	381.84	11/17/2020	356.14	0.00	25.70	Sell to Close
PUT AAPL 11/27/20	113	APPLE INC   CUSIP:   Symbol: AAPL201127P00113000					
11/23/2020	1.00	95.85	11/23/2020	118.14	22.29 D	0.00	Sell to Close
11/24/2020	1.00	116.84	11/24/2020	149.43	0.00	-32.59	Sell to Close
<b>Security Totals:</b>		<b>212.69</b>		<b>267.57</b>		<b>-32.59</b>	
PUT AUDC 11/20/20	22.50	AUDICODES LTD ORD   CUSIP:   Symbol: AUDC201120P00022500					
11/03/2020	1.00	-4.30	11/03/2020	0.00	0.00	-4.30	Buy to Close
PUT UBER 08/21/20	32	UBER TECHNOLOGIES INC   CUSIP:   Symbol: UBER200821P00032000					
07/07/2020	1.00	220.84	07/06/2020	258.14	0.00	-37.30	Sell to Close
PUT AAPL 11/27/20	115	APPLE INC   CUSIP:   Symbol: AAPL201127P00115000					
11/23/2020	1.00	134.85	11/23/2020	109.14	0.00	25.71	Sell to Close
CALL SPY 10/28/20	333	STANDARD & POORS DEPOSITORY   CUSIP:   Symbol: SPY201028C00333000					
10/28/2020	1.00	54.84	10/28/2020	84.14	0.00	-29.30	Sell to Close C

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## Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B\*

OMB No. 1545-0715

5WU95787

(continued)

02/23/2021

**SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS**

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

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

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PUT NKLA 08/07/20	30	NIKOLA CORPORATION   CUSIP:   Symbol: NKLA200807P00030000					
07/23/2020	1.00	184.84	07/14/2020	185.14	0.00	-0.30	Sell to Close
PUT V 11/06/20	155	VISA INC   CUSIP:   Symbol: V201106P00155000					
11/06/2020	1.00	0.00	11/02/2020	28.14	0.00	-28.14	Expiration
PUT W 08/14/20	302.50	WAYFAIR INC   CUSIP:   Symbol: W200814P00302500					
08/14/2020	4.00	99.44	08/13/2020	416.54	0.00	-317.10	Sell to Close
PUT TSLA 11/20/20	445	TESLA INC   CUSIP:   Symbol: TSLA201120P00445000					
11/19/2020	1.00	35.84	11/18/2020	112.14	0.00	-76.30	Sell to Close
PUT NIO 11/06/20	31	NIO INC ADS   CUSIP:   Symbol: NIO201106P00031000					
11/03/2020	1.00	0.70	11/03/2020	0.00	0.00	0.70	Buy to Close
CALL SPY 12/11/20	380	STANDARD & POORS DEPOSITORY   CUSIP:   Symbol: SPY201211C00380000					
12/11/2020	1.00	0.00	12/04/2020	20.14	0.00	-20.14	Expiration
PUT X 12/04/20	7	UNITED STATES STL CORP NEW   CUSIP:   Symbol: X201204P00007000					
12/04/2020	1.00	0.00	10/26/2020	17.14	0.00	-17.14	Expiration
PUT NIO 11/06/20	30	NIO INC ADS   CUSIP:   Symbol: NIO201106P00030000					
11/03/2020	1.00	-1.29	11/03/2020	0.00	0.00	-1.29	Buy to Close
11/03/2020	1.00	18.70	11/02/2020	0.00	0.00	18.70	Buy to Close
<b>Security Totals:</b>		<b>17.41</b>		<b>0.00</b>		<b>17.41</b>	
CALL MSFT 10/30/20	205	MICROSOFT CORP   CUSIP:   Symbol: MSFT201030C00205000					
10/30/2020	1.00	17.84	10/30/2020	26.14	0.00	-8.30	Sell to Close
CALL TSLA 09/04/20	620	TESLA INC ADJ 5:1 STOCK SPLIT   CUSIP:   Symbol: TSLA200904C00620000					
09/01/2020	1.00	100.84	09/01/2020	179.14	78.3 D	0.00	Sell to Close
09/02/2020	2.00	85.71	Various	188.57	0.00	-102.86	Sell to Close
<b>Security Totals:</b>		<b>186.55</b>		<b>367.71</b>		<b>-102.86</b>	
***CAN FITE BIOPHARMA LTD	AMERICAN DEPOSITORY SHARES ECH REPRESENTING 30 ORDINARY SHS   CUSIP: 13471N201   Symbol: CANF						
08/03/2020	100.00	249.90	07/07/2020	187.07	0.00	62.83	Sale
TG THERAPEUTICS INC   CUSIP: 88322Q108   Symbol: TGTX							
12/07/2020	50.00	1,419.89	12/04/2020	1,418.64	0.00	1.25	Sale
PUT AAPL 11/20/20	90	APPLE INC ADJ 4:1 STOCK SPLIT   CUSIP:   Symbol: AAPL201120P00090000					
09/28/2020	1.00	141.84	09/17/2020	202.14	0.00	-60.30	Sell to Close

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**SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS**

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CALL BILI 11/20/20	50	BILIBILI INC ADS   CUSIP:   Symbol: BILI201120C00050000					
11/06/2020	1.00	-112.30	11/06/2020	0.00	0.00	-112.30	Buy to Close
PUT MSFT 11/06/20	175	MICROSOFT CORP   CUSIP:   Symbol: MSFT201106P00175000					
11/06/2020	1.00	0.00	11/02/2020	13.14	0.00	-13.14	Expiration
CALL CCL 01/15/21	30	CARNIVAL CORP   CUSIP:   Symbol: CCL210115C00030000					
12/15/2020	1.00	33.84	12/15/2020	33.14	0.00	0.70	Sell to Close
CALL XLE 12/18/20	42	ENERGY SELECT SCTR SPDR FD TR   CUSIP:   Symbol: XLE201218C00042000					
12/10/2020	1.00	89.84	12/08/2020	45.14	0.00	44.70	Sell to Close
PUT SNAP 11/20/20	32	SNAP INC   CUSIP:   Symbol: SNAP201120P00032000					
11/20/2020	2.00	0.00	Various	99.28	0.00	-99.28	Expiration
CALL GLD 09/11/20	194.50	SPDR GOLD TR   CUSIP:   Symbol: GLD200911C00194500					
	1.00	14.84	09/11/2020	0.00	0.00	14.84	Expiration
CALL LULU 03/19/21	340	LULULEMON ATHLETICA INC   CUSIP:   Symbol: LULU210319C00340000					
12/11/2020	1.00	3,639.76	12/11/2020	3,571.14	0.00	68.62	Sell to Close
CALL PRPL 12/18/20	30	PURPLE INNOVATION INC   CUSIP:   Symbol: PRPL201218C00030000					
11/27/2020	1.00	9.70	11/23/2020	0.00	0.00	9.70	Buy to Close
PUT AMD 09/18/20	50	ADVANCED MICRO DEVICES INC   CUSIP:   Symbol: AMD200918P00050000					
07/27/2020	5.00	319.29	07/22/2020	800.70	0.00	-481.41	Sell to Close
UNITY SOFTWARE INC		COMMON STOCK   CUSIP: 91332U101   Symbol: U					
12/03/2020	10.00	1,496.85	12/01/2020	1,484.55	0.00	12.30	Buy to Cover Short
12/03/2020	10.00	1,523.55	12/01/2020	1,530.00	6.45 D	0.00	Buy to Cover Short
<b>Security Totals:</b>		<b>3,020.40</b>		<b>3,014.55</b>		<b>12.30</b>	
PUT MSFT 10/30/20	190	MICROSOFT CORP   CUSIP:   Symbol: MSFT201030P00190000					
10/29/2020	1.00	3.85	10/26/2020	31.14	0.00	-27.29	Sell to Close
CALL LULU 03/19/21	350	LULULEMON ATHLETICA INC   CUSIP:   Symbol: LULU210319C00350000					
12/14/2020	1.00	2,889.78	12/11/2020	3,251.14	0.00	-361.36	Sell to Close
PUT PRPL 12/18/20	30	PURPLE INNOVATION INC   CUSIP:   Symbol: PRPL201218P00030000					
12/07/2020	1.00	-13.30	12/07/2020	0.00	0.00	-13.30	Buy to Close
BIGCOMMERCE HOLDINGS INC		SERIES 1 COMMON STOCK   CUSIP: 08975P108   Symbol: BIGC					
11/20/2020	100.00	6,856.09	11/20/2020	7,293.16	437.07 D	0.00	Exercise Box 6 - Net

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APEX CLEARING

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2020 Form 1099-B\*

OMB No. 1545-0715

5WU95787

(continued)

02/23/2021

**SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS**

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BIGCOMMERCE HOLDINGS INC SERIES 1 COMMON STOCK   CUSIP: 08975P108   Symbol: BIGC							
11/24/2020	25.00	2,007.92	11/23/2020	1,819.29	0.00	188.63	Sale
11/27/2020	15.00	1,209.83	11/23/2020	1,131.47	0.00	78.36	Sale
11/27/2020	10.00	793.89	11/23/2020	754.31	0.00	39.58	Sale
11/27/2020	25.00	2,056.17	11/23/2020	1,885.79	0.00	170.38	Sale
11/27/2020	25.00	2,030.52	11/23/2020	1,819.29	0.00	211.23	Sale
12/29/2020	50.00	3,267.37	12/29/2020	3,245.04	0.00	22.33	Sale
12/31/2020	10.00	652.97	12/31/2020	645.60	0.00	7.37	Sale
<b>Security Totals:</b>		<b>18,874.76</b>		<b>18,593.95</b>		<b>717.88</b>	
PUT MSFT 10/30/20 195 MICROSOFT CORP   CUSIP:   Symbol: MSFT201030P00195000							
10/30/2020	1.00	0.00	10/30/2020	16.14	0.00	-16.14	Expiration
PUT ORCL 12/11/20 56.50 ORACLE CORP   CUSIP:   Symbol: ORCL201211P00056500							
12/11/2020	1.00	0.84	12/10/2020	29.14	0.00	-28.30	Sell to Close
PUT NVDA 09/11/20 482.50 NVIDIA CORP   CUSIP:   Symbol: NVDA200911P00482500							
09/09/2020	3.00	503.55	08/31/2020	654.41	0.00	-150.86	Sell to Close
09/10/2020	1.00	86.84	08/31/2020	218.13	0.00	-131.29	Sell to Close
<b>Security Totals:</b>		<b>590.39</b>		<b>872.54</b>		<b>-282.15</b>	
CALL USO 01/21/22 29 UNITED STATES OIL FUND LP   CUSIP:   Symbol: USO220121C00029000							
11/20/2020	1.00	454.83	11/19/2020	466.14	0.00	-11.31	Sell to Close
PUT SPY 11/04/20 332 STANDARD & POORS DEPOSITORY   CUSIP:   Symbol: SPY201104P00332000							
11/04/2020	1.00	0.00	11/04/2020	47.14	0.00	-47.14	Expiration
PUT BABA 08/21/20 215 ALIBABA GROUP HOLDING LIMITED   CUSIP:   Symbol: BABA200821P00215000							
07/08/2020	1.00	234.84	07/08/2020	669.44	0.00	-434.60	Sell to Close
07/08/2020	1.00	281.84	07/02/2020	681.14	399.3 D	0.00	Sell to Close
<b>Security Totals:</b>		<b>516.68</b>		<b>1,350.58</b>		<b>-434.60</b>	
PUT AAPL 08/28/20 410 APPLE INC   CUSIP:   Symbol: AAPL200828P00410000							
	1.00	57.85	08/28/2020	0.00	0.00	57.85	Expiration
PUT KSS 10/16/20 12.50 KOHLS CORP   CUSIP:   Symbol: KSS201016P00012500							
10/16/2020	1.00	0.00	09/30/2020	5.14	0.00	-5.14	Expiration

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APEX CLEARING

## Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B\*

OMB No. 1545-0715

5WU95787

(continued)

02/23/2021

**SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS**

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

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

1c - Date Sold or Disposed	Quantity	1d - Proceeds	1b - Date Acquired	1e - Cost or Other Basis	1f - Accrued Market Discount (M) & 1g - Wash Sale Loss Disallowed (D)	Gain or Loss (-)	Additional Notes
CALL XBI 08/07/20	125	SPDR S&P BIOTECH ETF   CUSIP:   Symbol: XBI200807C00125000					
08/03/2020	2.00	5.69	07/28/2020	22.28	0.00	-16.59	Sell to Close
CALL NVDA 12/11/20	575	NVIDIA CORP   CUSIP:   Symbol: NVDA201211C00575000					
12/07/2020	1.00	83.84	12/07/2020	179.14	0.00	-95.30	Sell to Close
CALL BIDU 11/06/20	138	BAIDU INC   CUSIP:   Symbol: BIDU201106C00138000					
10/27/2020	1.00	349.84	10/22/2020	241.14	0.00	108.70	Sell to Close
VERU INC		COMMON STOCK   CUSIP: 92536C103   Symbol: VERU					
12/11/2020	100.00	627.89	12/11/2020	659.97	32.08 D	0.00	Sale
12/14/2020	15.00	131.69	12/11/2020	97.07	0.00	34.62	Sale
12/14/2020	35.00	324.41	12/11/2020	226.49	0.00	97.92	Sale
12/14/2020	50.00	463.93	12/11/2020	323.57	0.00	140.36	Sale
12/14/2020	100.00	967.99	12/14/2020	928.26	0.00	39.73	Sale
12/14/2020	200.00	1,853.77	12/14/2020	1,860.12	6.35 D	0.00	Sale
12/15/2020	80.00	881.51	12/14/2020	742.60	0.00	138.91	Sale
12/15/2020	20.00	196.37	12/14/2020	185.65	0.00	10.72	Sale
<b>Security Totals:</b>		<b>5,447.56</b>		<b>5,023.73</b>		<b>462.26</b>	
CALL JMIA 11/20/20	19	JUMIA TECHNOLOGIES AG   CUSIP:   Symbol: JMIA201120C00019000					
11/10/2020	1.00	116.70	11/02/2020	0.00	0.00	116.70	Buy to Close
PUT LULU 11/27/20	305	LULULEMON ATHLETICA INC   CUSIP:   Symbol: LULU201127P00305000					
10/20/2020	1.00	-112.31	10/19/2020	0.00	0.00	-112.31	Buy to Close
FTS INTERNATIONAL INC		CLASS A COMMON STOCK   CUSIP: 30283W302   Symbol: FTSI					
11/20/2020	150.00	1,865.80	Various	2,135.11	0.00	-269.31	Sale
CALL TECK 02/19/21	19	TECK RESOURCES LIMITED CL B   CUSIP:   Symbol: TECK210219C00019000					
12/15/2020	1.00	156.84	12/15/2020	136.14	0.00	20.70	Sell to Close
12/23/2020	1.00	104.85	12/15/2020	160.14	0.00	-55.29	Sell to Close
<b>Security Totals:</b>		<b>261.69</b>		<b>296.28</b>		<b>-34.59</b>	
PUT TLRV 11/06/20	4.50	TILRAY INC   CUSIP:   Symbol: TLRV201106P00004500					
11/06/2020	1.00	0.00	11/02/2020	5.14	0.00	-5.14	Expiration
PUT NFLX 07/17/20	405	NETFLIX INC   CUSIP:   Symbol: NFLX200717P00405000					
	2.00	71.71	07/17/2020	0.00	0.00	71.71	Expiration

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APEX CLEARING

## Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B\*

OMB No. 1545-0715

5WU95787

(continued)

02/23/2021

**SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS**

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

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PUT IWM 12/18/20	180	ISHARES RUSSELL 2000 ETF   CUSIP:   Symbol: IWM201218P00180000					
12/11/2020	1.00	42.84	12/04/2020	139.14	0.00	-96.30	Sell to Close
PUT PYPL 08/14/20	185	PAYPAL HOLDINGS INC   CUSIP:   Symbol: PYPL200814P00185000					
08/05/2020	3.00	638.14	07/30/2020	0.00	0.00	638.14	Buy to Close
CALL SYF 10/16/20	30	SYNCHRONY FINANCIAL   CUSIP:   Symbol: SYF201016C00030000					
10/09/2020	1.00	24.84	10/08/2020	26.14	0.00	-1.30	Sell to Close
ALPHABET INC		CLASS A COMMON STOCK   CUSIP: 02079K305   Symbol: GOOGL					
09/08/2020	1.00	1,518.73	09/04/2020	1,554.23	35.5 D	0.00	Sale
09/14/2020	1.00	1,554.95	09/08/2020	1,575.50	0.00	-20.55	Sale
<b>Security Totals:</b>		<b>3,073.68</b>		<b>3,129.73</b>		<b>-20.55</b>	
CALL DPZ 11/13/20	410	DOMINOS PIZZA INC   CUSIP:   Symbol: DPZ201113C00410000					
11/13/2020	1.00	0.00	11/12/2020	41.14	0.00	-41.14	Expiration
PUT SONO 01/15/21	17.50	SONOS INC   CUSIP:   Symbol: SONO210115P00017500					
12/14/2020	1.00	25.84	11/30/2020	41.14	0.00	-15.30	Sell to Close
PUT BILI 08/21/20	35	BILIBILI INC ADS   CUSIP:   Symbol: BILI200821P00035000					
07/13/2020	1.00	57.85	07/10/2020	79.14	21.29 D	0.00	Sell to Close
07/13/2020	1.00	57.84	07/10/2020	100.43	0.00	-42.59	Sell to Close
<b>Security Totals:</b>		<b>115.69</b>		<b>179.57</b>		<b>-42.59</b>	
PUT GDJX 08/21/20	50	VANECK VECTORS JUNIOR GLD MNRS   CUSIP:   Symbol: GDJX200821P00050000					
07/08/2020	1.00	122.71	07/06/2020	0.00	0.00	122.71	Buy to Close
CALL BIGC 01/15/21	75	BIGCOMMERCE HOLDINGS INC   CUSIP:   Symbol: BIGC210115C00075000					
12/29/2020	1.00	188.84	12/28/2020	228.14	0.00	-39.30	Sell to Close
***JINKOSOLAR HLDG COLTD		SPONSORED ADR   CUSIP: 47759T100   Symbol: JKS					
10/14/2020	10.00	670.96	10/14/2020	669.46	0.00	1.50	Sale
11/23/2020	100.00	6,684.76	11/23/2020	6,646.08	0.00	38.68	Sale
<b>Security Totals:</b>		<b>7,355.72</b>		<b>7,315.54</b>		<b>40.18</b>	
BROADWAY FINANCIAL CORP-DEL		CUSIP: 111444105   Symbol: BYFC					
10/22/2020	500.00	901.38	10/22/2020	934.85	0.00	-33.47	Sale
12/07/2020	500.00	889.52	11/25/2020	934.85	0.00	-45.33	Sale
<b>Security Totals:</b>		<b>1,790.90</b>		<b>1,869.70</b>		<b>-78.80</b>	

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## Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B\*

OMB No. 1545-0715

5WU95787

(continued)

02/23/2021

**SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS**

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

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CALL FB 12/04/20	290	FACEBOOK INC CL A   CUSIP:   Symbol: FB201204C00290000					
12/01/2020	2.00	499.70	Various	159.28	0.00	340.42	Sell to Close
CALL TSLA 09/25/20	415	TESLA INC ADJ 5:1 STOCK SPLIT   CUSIP:   Symbol: TSLA200925C00415000					
09/24/2020	1.00	249.84	09/24/2020	171.14	0.00	78.70	Sell to Close
PELTON INTERACTIVE INC	CLASS A COMMON STOCK   CUSIP: 70614W100   Symbol: PTON						
09/23/2020	10.00	999.96	09/23/2020	983.31	0.00	16.65	Sale
09/23/2020	10.00	994.95	09/23/2020	983.31	0.00	11.64	Sale
09/23/2020	80.00	7,959.75	09/23/2020	7,866.46	0.00	93.29	Sale
11/11/2020	100.00	10,506.67	Various	10,338.06	163.33 D	331.94	Sale
12/03/2020	10.00	1,149.95	12/02/2020	1,286.23	136.28 D	0.00	Sale
12/10/2020	10.00	1,080.20	12/09/2020	1,243.48	163.28 D	0.00	Sale
12/15/2020	25.00	3,137.90	Various	3,276.54	153.42 D	14.78	Sale
<b>Security Totals:</b>		<b>25,829.38</b>		<b>25,977.39</b>		<b>468.30</b>	
PUT LULU 10/02/20	297.50	LULULEMON ATHLETICA INC   CUSIP:   Symbol: LULU201002P00297500					
10/02/2020	1.00	0.00	09/29/2020	31.14	0.00	-31.14	Expiration
CO DIAGNOSTICS INC	COMMON STOCK   CUSIP: 189763105   Symbol: CODX						
11/03/2020	25.00	342.46	10/26/2020	361.27	18.81 D	0.00	Sale
11/25/2020	100.00	1,367.87	Various	1,273.20	0.00	94.67	Sale
<b>Security Totals:</b>		<b>1,710.33</b>		<b>1,634.47</b>		<b>94.67</b>	
CALL AMD 12/24/20	105	ADVANCED MICRO DEVICES INC   CUSIP:   Symbol: AMD201224C00105000					
11/25/2020	1.00	54.84	11/23/2020	55.14	0.00	-0.30	Sell to Close
PUT PYPL 07/31/20	165	PAYPAL HOLDINGS INC   CUSIP:   Symbol: PYPL200731P00165000					
	4.00	319.42	07/31/2020	0.00	0.00	319.42	Expiration
PUT SWAV 11/20/20	75	SHOCKWAVE MEDICAL INC   CUSIP:   Symbol: SWAV201120P00075000					
11/20/2020	1.00	0.00	11/10/2020	31.14	0.00	-31.14	Expiration
PUT LULU 07/31/20	295	LULULEMON ATHLETICA INC   CUSIP:   Symbol: LULU200731P00295000					
07/23/2020	1.00	37.84	07/21/2020	94.14	0.00	-56.30	Sell to Close
***TAIWAN SEMICONDUCTOR MFG CO LTD- SPONSORED ADR REPSTG 5 COM   CUSIP: 874039100   Symbol: TSM							
09/15/2020	100.00	8,299.72	09/15/2020	8,192.08	0.00	107.64	Sale

**SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS**

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PUT WMT 09/11/20	138	WALMART INC   CUSIP:   Symbol: WMT200911P00138000					
09/09/2020	1.00	108.70	09/04/2020	0.00	0.00	108.70	Buy to Close
CALL NFLX 10/30/20	510	NETFLIX INC   CUSIP:   Symbol: NFLX201030C00510000					
10/30/2020	1.00	9.84	10/30/2020	46.14	0.00	-36.30	Sell to Close
PUT AAPL 10/09/20	95	APPLE INC   CUSIP:   Symbol: AAPL201009P00095000					
09/22/2020	1.00	38.70	09/21/2020	0.00	0.00	38.70	Buy to Close
***CHINA XIANGTAI FOOD CO LTD		ORDINARY SHARES   CUSIP: G21621100   Symbol: PLIN					
12/10/2020	1,000.00	789.06	10/21/2020	1,430.80	0.00	-641.74	Sale
PUT AMD 10/30/20	65	ADVANCED MICRO DEVICES INC   CUSIP:   Symbol: AMD201030P00065000					
10/20/2020	1.00	12.84	10/19/2020	16.14	0.00	-3.30	Sell to Close
PUT SNOW 12/04/20	300	SNOWFLAKE INC CLASS A   CUSIP:   Symbol: SNOW201204P00300000					
11/30/2020	1.00	1,134.82	11/30/2020	1,605.14	0.00	-470.32	Sell to Close
CALL TSLA 10/30/20	495	TESLA INC   CUSIP:   Symbol: TSLA201030C00495000					
10/27/2020	1.00	17.84	10/27/2020	27.14	0.00	-9.30	Sell to Close
CALL AMD 10/30/20	90	ADVANCED MICRO DEVICES INC   CUSIP:   Symbol: AMD201030C00090000					
10/30/2020	1.00	0.00	10/26/2020	159.14	0.00	-159.14	Expiration
PUT NFLX 07/17/20	395	NETFLIX INC   CUSIP:   Symbol: NFLX200717P00395000					
	3.00	44.55	07/17/2020	0.00	0.00	44.55	Expiration
PUT NVDA 11/13/20	515	NVIDIA CORP   CUSIP:   Symbol: NVDA201113P00515000					
11/13/2020	1.00	32.84	11/13/2020	76.14	0.00	-43.30	Sell to Close
CALL XLE 01/15/21	44	ENERGY SELECT SCTR SPDR FD TR   CUSIP:   Symbol: XLE210115C00044000					
12/10/2020	1.00	-32.30	12/04/2020	0.00	0.00	-32.30	Buy to Close
CALL FUV 12/18/20	15	ARCIMOTO INC   CUSIP:   Symbol: FUV201218C00015000					
11/19/2020	1.00	114.85	11/19/2020	156.14	0.00	-41.29	Sell to Close
CALL FEYE 11/27/20	16	FIREEYE INC   CUSIP:   Symbol: FEYE201127C00016000					
11/27/2020	1.00	0.00	11/20/2020	23.14	0.00	-23.14	Expiration
CALL CVM 09/18/20	17.50	CEL SCI CORPORATION   CUSIP:   Symbol: CVM200918C00017500					
08/13/2020	1.00	66.71	07/30/2020	0.00	0.00	66.71	Buy to Close
CALL NFLX 08/21/20	635	NETFLIX INC   CUSIP:   Symbol: NFLX200821C00635000					
07/17/2020	1.00	1,021.68	07/16/2020	0.00	0.00	1,021.68	Buy to Close

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CALL AMZN 12/24/20 3300 AMAZON.COM INC   CUSIP:   Symbol: AMZN201224C03300000							
12/23/2020	1.00	93.84	12/23/2020	130.14	36.3 D	0.00	Sell to Close
12/24/2020	1.00	0.00	12/23/2020	123.44	0.00	-123.44	Expiration
<b>Security Totals:</b>		<b>93.84</b>		<b>253.58</b>		<b>-123.44</b>	
CALL AAL 12/11/20 17 AMERICAN AIRLINES GROUP INC   CUSIP:   Symbol: AAL201211C00017000							
12/04/2020	1.00	51.85	12/04/2020	72.14	0.00	-20.29	Sell to Close
CALL BA 08/14/20 192.50 BOEING CO   CUSIP:   Symbol: BA200814C00192500							
08/13/2020	5.00	51.31	08/13/2020	236.69	0.00	-185.38	Sell to Close
CALL PINS 01/15/21 85 PINTEREST INC CLASS A   CUSIP:   Symbol: PINS210115C00085000							
12/09/2020	1.00	102.84	12/07/2020	141.14	0.00	-38.30	Sell to Close
PUT NFLX 07/17/20 400 NETFLIX INC   CUSIP:   Symbol: NFLX200717P00400000							
07/17/2020	2.00	0.00	07/16/2020	66.28	0.00	-66.28	Expiration
ALTERYX INC CLASS A COMMON STOCK   CUSIP: 02156B103   Symbol: AYX							
10/06/2020	10.00	1,425.15	10/05/2020	1,500.00	0.00	-74.85	Sale
STURM RUGER & CO INC   CUSIP: 864159108   Symbol: RGR							
10/29/2020	20.00	1,355.94	Various	1,314.50	0.00	41.44	Sale
PUT ZM 08/21/20 247.50 ZOOM VIDEO COMMUNICATIONS INC   CUSIP:   Symbol: ZM200821P00247500							
08/21/2020	3.00	15.11	Various	0.00	0.00	15.11	Buy to Close
CALL CLF 11/27/20 10 CLEVELAND CLIFFS INC   CUSIP:   Symbol: CLF201127C00010000							
10/23/2020	1.00	25.84	10/21/2020	18.14	0.00	7.70	Sell to Close
CALL AMZN 12/24/20 3350 AMAZON.COM INC   CUSIP:   Symbol: AMZN201224C03350000							
12/21/2020	3.00	1,184.55	Various	5,098.42	3913.87 D	0.00	Sell to Close
12/24/2020	4.00	0.00	Various	7,093.43	0.00	-7,093.43	Expiration
<b>Security Totals:</b>		<b>1,184.55</b>		<b>12,191.85</b>		<b>-7,093.43</b>	
FIVE9 INC COM   CUSIP: 338307101   Symbol: FIVN							
10/05/2020	10.00	1,339.96	10/02/2020	1,332.50	0.00	7.46	Sale
PUT NFLX 08/07/20 425 NETFLIX INC   CUSIP:   Symbol: NFLX200807P00425000							
08/03/2020	3.00	167.14	Various	0.00	0.00	167.14	Buy to Close
CALL TSLA 11/13/20 510 TESLA INC   CUSIP:   Symbol: TSLA201113C00510000							
11/09/2020	1.00	44.84	11/09/2020	64.14	0.00	-19.30	Sell to Close

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OMB No. 1545-0715

5WU95787

(continued)

02/23/2021

**SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS**

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PUT NFLX 10/16/20 430 NETFLIX INC   CUSIP:   Symbol: NFLX201016P00430000							
10/02/2020	1.00	-122.30	10/01/2020	0.00	122.3 D	0.00	Buy to Close
10/05/2020	1.00	-96.60	10/02/2020	0.00	0.00	-96.60	Buy to Close
<b>Security Totals:</b>		<b>-218.90</b>		<b>0.00</b>		<b>-96.60</b>	
CALL AMRN 11/06/20 5 AMARIN CORP PLC   CUSIP:   Symbol: AMRN201106C00005000							
11/03/2020	1.00	-5.30	11/02/2020	0.00	0.00	-5.30	Buy to Close
CALL SPCE 01/15/21 22 VIRGIN GALACTIC HOLDINGS INC   CUSIP:   Symbol: SPCE210115C00022000							
10/20/2020	1.00	509.83	10/06/2020	491.14	0.00	18.69	Sell to Close
CALL AAL 01/15/21 18 AMERICAN AIRLINES GROUP INC   CUSIP:   Symbol: AAL210115C00018000							
12/15/2020	1.00	119.84	12/15/2020	128.14	0.00	-8.30	Sell to Close
CALL SONO 12/18/20 22.50 SONOS INC   CUSIP:   Symbol: SONO201218C00022500							
12/03/2020	1.00	-16.30	12/01/2020	0.00	0.00	-16.30	Buy to Close
PUT AAPL 08/21/20 445 APPLE INC   CUSIP:   Symbol: AAPL200821P00445000							
08/20/2020	3.00	83.16	08/19/2020	0.00	0.00	83.16	Buy to Close
PUT SPY 11/06/20 322 STANDARD & POORS DEPOSITORY   CUSIP:   Symbol: SPY201106P00322000							
11/06/2020	1.00	0.00	11/04/2020	52.14	0.00	-52.14	Expiration
CALL WKHS 10/02/20 35 WORKHORSE GROUP INC   CUSIP:   Symbol: WKHS201002C00035000							
09/29/2020	1.00	24.84	09/28/2020	42.14	0.00	-17.30	Sell to Close
PUT AAPL 08/07/20 350 APPLE INC   CUSIP:   Symbol: AAPL200807P00350000							
08/03/2020	2.00	331.43	07/29/2020	0.00	0.00	331.43	Buy to Close
PUT NFLX 01/15/21 495 NETFLIX INC   CUSIP:   Symbol: NFLX210115P00495000							
12/10/2020	1.00	2,104.80	12/07/2020	1,747.14	0.00	357.66	Sell to Close
CALL AAPL 12/18/20 125 APPLE INC ADJ 4:1 STOCK SPLIT   CUSIP:   Symbol: AAPL201218C00125000							
12/14/2020	1.00	67.84	12/14/2020	77.14	0.00	-9.30	Sell to Close
PUT SPY 11/20/20 353 STANDARD & POORS DEPOSITORY   CUSIP:   Symbol: SPY201120P00353000							
11/19/2020	1.00	73.84	11/18/2020	82.14	0.00	-8.30	Sell to Close
PUT SPY 10/21/20 300 STANDARD & POORS DEPOSITORY   CUSIP:   Symbol: SPY201021P00300000							
10/02/2020	1.00	-11.30	10/01/2020	0.00	0.00	-11.30	Buy to Close
PUT NKLA 07/31/20 25 NIKOLA CORPORATION   CUSIP:   Symbol: NKLA200731P00025000							
07/13/2020	5.00	184.29	07/13/2020	170.69	0.00	13.60	Sell to Close
07/17/2020	1.00	11.84	07/13/2020	29.14	0.00	-17.30	Sell to Close

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APEX CLEARING

## Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B\*

OMB No. 1545-0715

5WU95787

(continued)

02/23/2021

**SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS**

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

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

1c - Date Sold or Disposed	Quantity	1d - Proceeds	1b - Date Acquired	1e - Cost or Other Basis	1f - Accrued Market Discount (M) & 1g - Wash Sale Loss Disallowed (D)	Gain or Loss (-)	Additional Notes
PUT NKLA 07/31/20 25 NIKOLA CORPORATION   CUSIP:   Symbol: NKLA200731P00025000							
07/27/2020	4.00	55.42	07/13/2020	116.55	0.00	-61.13	Sell to Close
<b>Security Totals:</b>		<b>251.55</b>		<b>316.38</b>		<b>-64.83</b>	
MICROSOFT CORP   CUSIP: 594918104   Symbol: MSFT							
09/14/2020	10.00	2,089.92	09/04/2020	2,080.00	0.00	9.92	Sale
11/03/2020	10.00	2,078.85	Various	2,078.40	0.00	0.45	Sale
12/17/2020	100.00	21,999.42	12/17/2020	22,024.28	0.00	-24.86	Sale
<b>Security Totals:</b>		<b>26,168.19</b>		<b>26,182.68</b>		<b>-14.49</b>	
PUT GLD 10/16/20 174 SPDR GOLD TR   CUSIP:   Symbol: GLD201016P00174000							
09/18/2020	1.00	64.84	09/11/2020	129.14	0.00	-64.30	Sell to Close
QUANTUMSCAPE CORPORATION CLASS A COMMON STOCK   CUSIP: 74767V109   Symbol: QS							
11/27/2020	100.00	3,537.83	Various	3,696.67	158.84 D	0.00	Sale
11/27/2020	20.00	690.71	Various	769.00	78.29 D	0.00	Sale
11/30/2020	130.00	5,441.55	Various	4,993.93	11.27 D	458.89	Sale
11/30/2020	10.00	454.97	11/27/2020	360.64	0.00	94.33	Sale
12/01/2020	10.00	381.48	11/27/2020	360.65	0.00	20.83	Sale
12/08/2020	100.00	5,167.79	12/08/2020	5,325.07	157.28 D	0.00	Sale
12/08/2020	10.00	593.67	12/08/2020	474.90	0.00	118.77	Sale
12/08/2020	200.00	10,679.58	Various	10,297.94	0.00	381.64	Sale
12/14/2020	100.00	6,419.86	12/14/2020	6,515.60	95.74 D	0.00	Sale
<b>Security Totals:</b>		<b>33,367.44</b>		<b>32,794.40</b>		<b>1,074.46</b>	
CALL AMZN 12/18/20 3160 AMAZON.COM INC   CUSIP:   Symbol: AMZN201218C03160000							
12/15/2020	1.00	3,249.77	12/15/2020	3,461.14	211.37 D	0.00	Sell to Close
12/15/2020	1.00	3,249.78	12/15/2020	2,817.51	0.00	432.27	Sell to Close
<b>Security Totals:</b>		<b>6,499.55</b>		<b>6,278.65</b>		<b>432.27</b>	
CALL LYFT 01/15/21 50 LYFT INC CLASS A   CUSIP:   Symbol: LYFT210115C00050000							
12/02/2020	2.00	245.71	12/02/2020	166.28	0.00	79.43	Sell to Close
***SEA LIMITED AMERICAN DEPOSITARY SHS EACH RPRSNTNG ONE CL A ORD SHARE   CUSIP: 81141R100   Symbol: SE							
09/23/2020	10.00	1,539.95	09/22/2020	1,490.00	0.00	49.95	Sale

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APEX CLEARING

## Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B\*

OMB No. 1545-0715

5WU95787

(continued)

02/23/2021

## SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

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

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

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

1c - Date Sold or Disposed	Quantity	1d - Proceeds	1b - Date Acquired	1e - Cost or Other Basis	1f - Accrued Market Discount (M) & 1g - Wash Sale Loss Disallowed (D)	Gain or Loss (-)	Additional Notes
***SEA LIMITED	AMERICAN DEPOSITARY SHS EACH RPRSNTNG ONE CL A ORD SHARE   CUSIP: 81141R100   Symbol: SE						
09/23/2020	100.00	15,499.56	09/22/2020	15,050.08	0.00	449.48	Sale
11/12/2020	10.00	1,779.95	11/12/2020	1,770.05	0.00	9.90	Sale
<b>Security Totals:</b>		<b>18,819.46</b>		<b>18,310.13</b>		<b>509.33</b>	
CALL LI 12/11/20 36	LI AUTO INC ADS   CUSIP:   Symbol: LI201211C00036000						
12/11/2020	1.00	0.85	12/04/2020	48.14	0.00	-47.29	Sell to Close
CALL SFT 12/17/21 15	SHIFT TECHNOLOGIES INC CL A   CUSIP:   Symbol: SFT211217C00015000						
11/27/2020	1.00	429.84	11/25/2020	281.14	0.00	148.70	Sell to Close
CALL TLRV 01/15/21 10	TILRAY INC   CUSIP:   Symbol: TLRV210115C00010000						
11/02/2020	2.00	87.71	Various	83.28	0.00	4.43	Sell to Close
CALL ROKU 10/30/20 220	ROKU INC   CUSIP:   Symbol: ROKU201030C00220000						
10/29/2020	1.00	157.84	10/29/2020	201.14	0.00	-43.30	Sell to Close
AT HOME GROUP INC	COMMON STOCK PAR VALUE \$0.01 PER SHARE   CUSIP: 04650Y100   Symbol: HOME						
10/08/2020	10.00	192.48	10/06/2020	184.40	0.00	8.08	Sale
CALL QS 12/11/20 52.50	QUANTUMSCAPE CORPORATION CL A   CUSIP:   Symbol: QS201211C00052500						
12/08/2020	1.00	21.70	12/08/2020	0.00	0.00	21.70	Buy to Close
CALL SHAK 10/16/20 73	SHAKE SHACK INC   CUSIP:   Symbol: SHAK201016C00073000						
10/09/2020	1.00	123.84	10/08/2020	116.14	0.00	7.70	Sell to Close
CALL MMM 10/30/20 182.50	3M COMPANY   CUSIP:   Symbol: MMM201030C00182500						
10/30/2020	1.00	0.00	10/26/2020	20.14	0.00	-20.14	Expiration C
PUT CHWY 07/31/20 42	CHEWY INC CLASS A   CUSIP:   Symbol: CHWY200731P00042000						
07/31/2020	3.00	0.00	07/22/2020	54.42	0.00	-54.42	Expiration
EIDOS THERAPEUTICS INC	COMMON STOCK   CUSIP: 28249H104   Symbol: EIDX						
10/05/2020	20.00	1,430.94	10/05/2020	1,400.01	0.00	30.93	Sale
PUT AAPL 10/16/20 104	APPLE INC   CUSIP:   Symbol: AAPL201016P00104000						
09/30/2020	1.00	38.70	09/29/2020	0.00	0.00	38.70	Buy to Close
CALL T 01/15/21 33	AT&T INC   CUSIP:   Symbol: T210115C00033000						
12/23/2020	1.00	4.84	12/16/2020	21.14	0.00	-16.30	Sell to Close
PUT ZM 12/04/20 472.50	ZOOM VIDEO COMMUNICATIONS INC   CUSIP:   Symbol: ZM201204P00472500						
11/30/2020	1.00	3,437.77	11/30/2020	3,143.14	0.00	294.63	Sell to Close

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APEX CLEARING

## Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B\*

OMB No. 1545-0715

5WU95787

(continued)

02/23/2021

**SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS**

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

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

1c - Date Sold or Disposed	Quantity	1d - Proceeds	1b - Date Acquired	1e - Cost or Other Basis	1f - Accrued Market Discount (M) & 1g - Wash Sale Loss Disallowed (D)	Gain or Loss (-)	Additional Notes
CALL SQ 11/20/20	205	SQUARE INC   CUSIP:   Symbol: SQ201120C00205000					
11/19/2020	1.00	15.84	11/19/2020	52.14	0.00	-36.30	Sell to Close
MOHAWK INDUSTRIES INC   CUSIP: 608190104   Symbol: MHK							
08/27/2020	10.00	973.46	08/24/2020	932.50	0.00	40.96	Sale
WALMART INC	COMMON STOCK   CUSIP: 931142103   Symbol: WMT						
09/29/2020	11.00	1,501.78	Various	1,545.95	0.00	-44.17	Sale
11/09/2020	10.00	1,454.88	11/09/2020	1,469.75	0.00	-14.87	Sale
11/09/2020	10.00	1,463.95	11/09/2020	1,465.20	1.25 D	0.00	Sale
<b>Security Totals:</b>		<b>4,420.61</b>		<b>4,480.90</b>		<b>-59.04</b>	
CALL TEAM 12/18/20	230	ATLASSIAN CORPORATION PLC   CUSIP:   Symbol: TEAM201218C00230000					
11/20/2020	1.00	299.84	11/19/2020	161.14	0.00	138.70	Sell to Close
CALIX INC   CUSIP: 13100M509   Symbol: CALX							
11/17/2020	100.00	2,518.85	11/16/2020	2,515.07	0.00	3.78	Sale
PUT ROKU 10/23/20	130	ROKU INC   CUSIP:   Symbol: ROKU201023P00130000					
10/23/2020	1.00	0.00	10/01/2020	16.14	0.00	-16.14	Expiration
CALL HD 11/20/20	290	HOME DEPOT INC   CUSIP:   Symbol: HD201120C00290000					
11/12/2020	1.00	114.85	11/12/2020	128.14	0.00	-13.29	Sell to Close
CALL NFLX 10/16/20	570	NETFLIX INC   CUSIP:   Symbol: NFLX201016C00570000					
09/15/2020	1.00	259.69	09/11/2020	0.00	0.00	259.69	Buy to Close
CALL SPY 01/21/22	420	STANDARD & POORS DEPOSITORY   CUSIP:   Symbol: SPY220121C00420000					
10/14/2020	1.00	-20.31	10/14/2020	0.00	0.00	-20.31	Buy to Close
PUT TSLA 12/11/20	605	TESLA INC   CUSIP:   Symbol: TSLA201211P00605000					
12/10/2020	1.00	1,177.82	12/10/2020	1,209.14	0.00	-31.32	Sell to Close
CALL TSLA 12/11/20	615	TESLA INC   CUSIP:   Symbol: TSLA201211C00615000					
12/09/2020	1.00	1,840.81	12/09/2020	1,891.14	50.33 D	0.00	Sell to Close
12/10/2020	1.00	1,454.81	12/10/2020	1,441.14	0.00	13.67	Sell to Close
12/10/2020	1.00	1,354.82	12/10/2020	1,256.14	0.00	98.68	Sell to Close
12/10/2020	1.00	1,719.81	12/10/2020	1,544.13	0.00	175.68	Sell to Close
12/10/2020	1.00	1,449.81	12/10/2020	1,466.47	16.66 D	0.00	Sell to Close

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APEX CLEARING

## Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B\*

OMB No. 1545-0715

5WU95787

(continued)

02/23/2021

**SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS**

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

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

1c - Date Sold or Disposed	Quantity	1d - Proceeds	1b - Date Acquired	1e - Cost or Other Basis	1f - Accrued Market Discount (M) & 1g - Wash Sale Loss Disallowed (D)	Gain or Loss (-)	Additional Notes
CALL TSLA 12/11/20 615 TESLA INC   CUSIP:   Symbol: TSLA201211C00615000							
12/10/2020	1.00	1,499.81	12/10/2020	1,557.80	57.99 D	0.00	Sell to Close
<b>Security Totals:</b>		<b>9,319.87</b>		<b>9,156.82</b>		<b>288.03</b>	
PUT AAPL 08/21/20 285 APPLE INC   CUSIP:   Symbol: AAPL200821P00285000							
07/20/2020	8.00	541.75	07/08/2020	0.00	0.00	541.75	Buy to Close
07/21/2020	12.00	622.63	Various	0.00	0.00	622.63	Buy to Close
<b>Security Totals:</b>		<b>1,164.38</b>		<b>0.00</b>		<b>1,164.38</b>	
PUT TSLA 12/11/20 615 TESLA INC   CUSIP:   Symbol: TSLA201211P00615000							
12/10/2020	1.00	1,334.82	12/10/2020	1,331.14	0.00	3.68	Sell to Close
12/10/2020	1.00	1,469.81	12/10/2020	1,371.14	0.00	98.67	Sell to Close
<b>Security Totals:</b>		<b>2,804.63</b>		<b>2,702.28</b>		<b>102.35</b>	
PUT BA 11/06/20 129 BOEING CO   CUSIP:   Symbol: BA201106P00129000							
11/06/2020	1.00	0.00	11/02/2020	36.14	0.00	-36.14	Expiration
PUT BBY 10/16/20 13 BED BATH & BEYOND INC   CUSIP:   Symbol: BBY201016P00013000							
10/02/2020	1.00	4.85	10/01/2020	8.14	0.00	-3.29	Sell to Close
CALL TSLA 12/11/20 605 TESLA INC   CUSIP:   Symbol: TSLA201211C00605000							
12/09/2020	1.00	2,279.79	12/09/2020	2,351.82	72.03 D	0.00	Sell to Close
12/09/2020	1.00	2,124.80	12/09/2020	2,255.48	130.68 D	0.00	Sell to Close
12/09/2020	1.00	1,929.80	12/09/2020	2,086.14	156.34 D	0.00	Sell to Close
12/10/2020	1.00	1,219.82	12/10/2020	1,585.82	366 D	0.00	Sell to Close
12/10/2020	1.00	1,359.81	12/10/2020	1,817.14	457.33 D	0.00	Sell to Close
12/10/2020	1.00	1,314.82	12/10/2020	1,519.50	204.68 D	0.00	Sell to Close
12/10/2020	1.00	1,509.81	12/10/2020	1,638.17	128.36 D	0.00	Sell to Close
12/11/2020	1.00	484.83	12/11/2020	918.47	0.00	-433.64	Sell to Close
<b>Security Totals:</b>		<b>12,223.48</b>		<b>14,172.54</b>		<b>-433.64</b>	
CALL BABA 01/08/21 300 ALIBABA GROUP HOLDING LIMITED   CUSIP:   Symbol: BABA210108C00300000							
12/02/2020	1.00	214.84	11/30/2020	265.14	50.3 D	0.00	Sell to Close
12/03/2020	1.00	281.84	12/03/2020	351.44	0.00	-69.60	Sell to Close
<b>Security Totals:</b>		<b>496.68</b>		<b>616.58</b>		<b>-69.60</b>	

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APEX CLEARING

## Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B\*

OMB No. 1545-0715

5WU95787

(continued)

02/23/2021

## SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

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

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

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

1c - Date Sold or Disposed	Quantity	1d - Proceeds	1b - Date Acquired	1e - Cost or Other Basis	1f - Accrued Market Discount (M) & 1g - Wash Sale Loss Disallowed (D)	Gain or Loss (-)	Additional Notes
BLOOM ENERGY CORPORATION CLASS A COMMON STOCK   CUSIP: 093712107   Symbol: BE							
08/31/2020	10.00	152.98	08/21/2020	169.10	0.00	-16.12	Sale
PUT NFLX 08/21/20 430 NETFLIX INC   CUSIP:   Symbol: NFLX200821P00430000							
07/17/2020	1.00	597.84	07/16/2020	658.14	0.00	-60.30	Sell to Close
RA MEDICAL SYSTEMS INC COMMON STOCK   CUSIP: 74933X203   Symbol: RMED							
11/20/2020	100.00	731.38	11/20/2020	721.28	0.00	10.10	Sale
ORBITAL ENERGY GROUP INC COMMON STOCK   CUSIP: 68559A109   Symbol: OEG							
10/22/2020	100.00	86.90	10/22/2020	98.08	0.00	-11.18	Sale
PUT TSLA 11/27/20 450 TESLA INC   CUSIP:   Symbol: TSLA201127P00450000							
11/23/2020	1.00	118.84	11/20/2020	233.14	0.00	-114.30	Sell to Close
PUT CRM 08/28/20 240 SALESFORCE.COM INC   CUSIP:   Symbol: CRM200828P00240000							
08/27/2020	1.00	23.84	08/26/2020	231.14	0.00	-207.30	Sell to Close
PUT CRM 08/28/20 245 SALESFORCE.COM INC   CUSIP:   Symbol: CRM200828P00245000							
08/26/2020	1.00	44.84	08/26/2020	91.14	0.00	-46.30	Sell to Close
CALL AAPL 01/15/21 133 APPLE INC   CUSIP:   Symbol: AAPL210115C00133000							
12/31/2020	1.00	324.84	12/31/2020	351.14	26.3 D	0.00	Sell to Close
CALL UVXY 10/23/20 20 PROSHARES ULTRA VIX SHORT TERM   CUSIP:   Symbol: UVXY201023C00020000							
10/15/2020	1.00	57.85	10/13/2020	57.14	0.00	0.71	Sell to Close
CALL VXX 07/31/20 35 IPATH SER B S&P 500 VIX SHORT   CUSIP:   Symbol: VXX200731C00035000							
	2.00	113.69	Various	0.00	0.00	113.69	Expiration
CALL LOW 01/15/21 165 LOWES COMPANIES INC   CUSIP:   Symbol: LOW210115C00165000							
12/09/2020	1.00	-138.30	12/07/2020	0.00	0.00	-138.30	Buy to Close
CALL SNAP 01/15/21 55 SNAP INC   CUSIP:   Symbol: SNAP210115C00055000							
12/03/2020	1.00	114.84	11/30/2020	97.14	0.00	17.70	Sell to Close
PUT BTAI 07/17/20 30 BIOXCEL THERAPEUTICS INC   CUSIP:   Symbol: BTAI200717P00030000							
	5.00	129.27	07/17/2020	0.00	0.00	129.27	Expiration
***JUMIA TECHNOLOGIES AG AMERICAN DEPOSITARY SHARES ECH REPRESENTING TWO ORDINARY SHS   CUSIP: 48138M105   Symbol: JMIA							
10/16/2020	110.00	1,534.37	Various	1,442.88	0.00	91.49	Sale
10/16/2020	25.00	392.46	10/16/2020	385.02	0.00	7.44	Sale
10/19/2020	100.00	1,544.87	10/19/2020	1,540.08	0.00	4.79	Sale
10/20/2020	100.00	1,583.87	10/19/2020	1,550.08	0.00	33.79	Sale

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**SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS**

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

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

**Box 5:** Box Not Checked (Covered Security)

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

**Box 12:** Basis Reported to the IRS

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

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

1c - DateSold or Disposed	Quantity	1d - Proceeds	1b - Date Acquired	1e - Cost or Other Basis	1f - Accrued Market Discount (M) & 1g - Wash Sale Loss Disallowed (D)	Gain or Loss (-)	Additional Notes
***JUMIA TECHNOLOGIES AG AMERICAN DEPOSITORY SHARES ECH REPRESENTING TWO ORDINARY SHS   CUSIP: 48138M105   Symbol: JMIA							
10/23/2020	100.00	1,774.87	10/23/2020	1,754.07	0.00	20.80	Sale
10/26/2020	20.00	387.96	10/23/2020	365.22	0.00	22.74	Sale
10/26/2020	80.00	1,511.89	10/23/2020	1,460.86	0.00	51.03	Sale
11/17/2020	100.00	1,763.87	Various	1,805.58	56.1 D	14.39	Sale
11/18/2020	50.00	960.26	11/10/2020	614.48	0.00	345.78	Sale
11/18/2020	100.00	2,056.85	11/18/2020	2,017.79	0.00	39.06	Sale
11/18/2020	150.00	2,852.79	Various	2,336.55	0.00	516.24	Sale
11/24/2020	50.00	1,631.90	11/19/2020	1,187.04	0.00	444.86	Sale
11/24/2020	50.00	1,567.41	11/19/2020	1,187.04	0.00	380.37	Sale
11/24/2020	50.00	1,469.94	11/20/2020	1,267.04	0.00	202.90	Sale
12/01/2020	60.00	1,717.74	Various	1,451.23	27.4 D	293.91	Sale
12/02/2020	25.00	797.94	12/02/2020	764.02	0.00	33.92	Sale
12/02/2020	25.00	796.95	12/02/2020	764.02	0.00	32.93	Sale
12/02/2020	50.00	1,599.91	Various	1,620.83	20.92 D	0.00	Sale
12/02/2020	50.00	1,595.46	Various	1,633.46	38.00 D	0.00	Sale
12/02/2020	50.00	1,561.91	Various	1,543.11	8.3 D	27.10	Sale
12/02/2020	100.00	2,994.63	Various	2,898.68	15.07 D	111.02	Sale
12/07/2020	100.00	3,477.83	Various	3,451.46	7.82 D	34.19	Sale
12/16/2020	200.00	7,635.65	Various	7,722.07	98.30 D	11.88	Sale
12/22/2020	100.00	4,402.81	Various	4,462.20	59.39 D	0.00	Sale
12/24/2020	150.00	6,637.75	Various	6,516.58	4.35 D	125.52	Sale
12/30/2020	50.00	2,154.90	12/30/2020	2,177.54	22.64 D	0.00	Sale
12/30/2020	100.00	4,356.81	Various	4,220.68	0.00	136.13	Sale
12/30/2020	35.00	1,479.73	Various	1,429.52	0.00	50.21	Sale
12/30/2020	50.00	2,145.40	Various	2,180.97	35.57 D	0.00	Sale
<b>Security Totals:</b>		<b>64,388.73</b>		<b>61,750.10</b>		<b>3,032.49</b>	
CALL AAPL 01/15/21 138 APPLE INC   CUSIP:   Symbol: AAPL210115C00138000							
12/29/2020	2.00	751.68	Various	742.28	0.00	9.40	Sell to Close

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APEX CLEARING

## Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B\*

OMB No. 1545-0715

5WU95787

(continued)

02/23/2021

**SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS**

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

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

1c - Date Sold or Disposed	Quantity	1d - Proceeds	1b - Date Acquired	1e - Cost or Other Basis	1f - Accrued Market Discount (M) & 1g - Wash Sale Loss Disallowed (D)	Gain or Loss (-)	Additional Notes
PUT MMM 10/30/20	150	3M COMPANY   CUSIP:   Symbol: MMM201030P00150000					
10/30/2020	1.00	0.00	10/26/2020	25.14	0.00	-25.14	Expiration
CALL MSFT 01/15/21	215	MICROSOFT CORP   CUSIP:   Symbol: MSFT210115C00215000					
12/10/2020	1.00	574.83	12/09/2020	652.14	0.00	-77.31	Sell to Close
CALL NVDA 09/18/20	600	NVIDIA CORP   CUSIP:   Symbol: NVDA200918C00600000					
09/14/2020	1.00	236.84	09/14/2020	228.14	0.00	8.70	Sell to Close
PUT QS 01/15/21	60	QUANTUMSCAPE CORPORATION CL A   CUSIP:   Symbol: QS210115P000600000					
12/15/2020	1.00	378.66	12/14/2020	0.00	0.00	378.66	Buy to Close
CALL AAPL 01/15/21	134	APPLE INC   CUSIP:   Symbol: AAPL210115C00134000					
12/30/2020	1.00	419.84	12/30/2020	381.14	0.00	38.70	Sell to Close
CALL SNOW 12/24/20	342.50	SNOWFLAKE INC CLASS A   CUSIP:   Symbol: SNOW201224C00342500					
12/18/2020	1.00	1,084.82	12/18/2020	1,116.14	0.00	-31.32	Sell to Close
CALL BA 11/13/20	182.50	BOEING CO   CUSIP:   Symbol: BA201113C00182500					
11/09/2020	10.00	5,098.50	11/09/2020	4,911.38	0.00	187.12	Sell to Close
CALL BA 11/13/20	187.50	BOEING CO   CUSIP:   Symbol: BA201113C00187500					
11/10/2020	1.00	469.84	11/10/2020	456.14	0.00	13.70	Sell to Close
CALL BA 11/13/20	185	BOEING CO   CUSIP:   Symbol: BA201113C00185000					
11/09/2020	1.00	434.85	11/09/2020	466.14	0.00	-31.29	Sell to Close
PUT BA 11/13/20	187.50	BOEING CO   CUSIP:   Symbol: BA201113P00187500					
11/10/2020	1.00	409.84	11/10/2020	441.14	31.3 D	0.00	Sell to Close
11/10/2020	1.00	464.83	11/10/2020	527.44	0.00	-62.61	Sell to Close
<b>Security Totals:</b>		<b>874.67</b>		<b>968.58</b>		<b>-62.61</b>	
PUT TSLA 10/30/20	382.50	TESLA INC   CUSIP:   Symbol: TSLA201030P00382500					
10/22/2020	1.00	453.69	10/15/2020	0.00	0.00	453.69	Buy to Close C
CALL AMZN 02/19/21	3600	AMAZON.COM INC   CUSIP:   Symbol: AMZN210219C03600000					
12/18/2020	1.00	6,949.70	12/18/2020	6,716.14	0.00	233.56	Sell to Close
PUT NVDA 09/18/20	420	NVIDIA CORP   CUSIP:   Symbol: NVDA200918P00420000					
09/11/2020	1.00	67.84	09/08/2020	346.14	0.00	-278.30	Sell to Close
CALL AMZN 11/06/20	3500	AMAZON.COM INC   CUSIP:   Symbol: AMZN201106C03500000					
11/03/2020	1.00	59.84	11/03/2020	51.14	0.00	8.70	Sell to Close

APEX CLEARING

## Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B\*

OMB No. 1545-0715

5WU95787

(continued)

02/23/2021

**SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS**

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

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

1c - Date Sold or Disposed	Quantity	1d - Proceeds	1b - Date Acquired	1e - Cost or Other Basis	1f - Accrued Market Discount (M) & 1g - Wash Sale Loss Disallowed (D)	Gain or Loss (-)	Additional Notes
11/04/2020	1.00	72.84	11/04/2020	67.14	0.00	5.70	Sell to Close
<b>Security Totals:</b>		<b>132.68</b>		<b>118.28</b>		<b>14.40</b>	
CALL PFE 01/08/21 42 PFIZER INC   CUSIP:   Symbol: PFE210108C00042000							
12/03/2020	1.00	134.84	12/01/2020	156.14	0.00	-21.30	Sell to Close
PUT SNOW 12/04/20 302.50 SNOWFLAKE INC CLASS A   CUSIP:   Symbol: SNOW201204P00302500							
11/30/2020	1.00	472.68	11/30/2020	0.00	0.00	472.68	Buy to Close
CALL UAA 11/20/20 17.50 UNDER ARMOUR INC CL A   CUSIP:   Symbol: UAA201120C00017500							
10/14/2020	1.00	19.84	10/08/2020	18.14	0.00	1.70	Sell to Close
CALL BA 11/13/20 180 BOEING CO   CUSIP:   Symbol: BA201113C00180000							
11/09/2020	1.00	424.85	11/09/2020	487.44	62.59 D	0.00	Sell to Close
11/09/2020	1.00	414.84	11/09/2020	291.44	0.00	123.40	Sell to Close
11/09/2020	1.00	444.84	11/09/2020	471.14	26.3 D	0.00	Sell to Close
11/09/2020	1.00	290.84	11/09/2020	331.14	40.3 D	0.00	Sell to Close
11/09/2020	1.00	434.84	11/09/2020	538.73	0.00	-103.89	Sell to Close
<b>Security Totals:</b>		<b>2,010.21</b>		<b>2,119.89</b>		<b>19.51</b>	
CALL NFLX 11/27/20 520 NETFLIX INC   CUSIP:   Symbol: NFLX201127C00520000							
11/27/2020	2.00	0.00	Various	81.28	0.00	-81.28	Expiration
PUT BA 11/20/20 197.50 BOEING CO   CUSIP:   Symbol: BA201120P00197500							
11/16/2020	1.00	429.84	11/16/2020	461.14	0.00	-31.30	Sell to Close
CALL BA 11/20/20 202.50 BOEING CO   CUSIP:   Symbol: BA201120C00202500							
11/16/2020	9.00	4,768.63	11/16/2020	4,645.22	0.00	123.41	Sell to Close
11/16/2020	1.00	454.84	11/16/2020	516.14	61.3 D	0.00	Sell to Close
11/16/2020	1.00	534.83	11/16/2020	703.74	0.00	-168.91	Sell to Close
11/16/2020	1.00	449.84	11/16/2020	567.44	117.6 D	0.00	Sell to Close
<b>Security Totals:</b>		<b>6,208.14</b>		<b>6,432.54</b>		<b>-45.50</b>	
PUT BA 11/13/20 180 BOEING CO   CUSIP:   Symbol: BA201113P00180000							
11/09/2020	9.00	3,616.68	11/09/2020	3,520.22	0.00	96.46	Sell to Close
11/09/2020	1.00	375.84	11/09/2020	391.14	0.00	-15.30	Sell to Close
<b>Security Totals:</b>		<b>3,992.52</b>		<b>3,911.36</b>		<b>81.16</b>	

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APEX CLEARING

## Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B\*

OMB No. 1545-0715

5WU95787

(continued)

02/23/2021

**SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS**

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

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

<b>1c - Date Sold or Disposed</b>	<b>Quantity</b>	<b>1d - Proceeds</b>	<b>1b - Date Acquired</b>	<b>1e - Cost or Other Basis</b>	<b>1f - Accrued Market Discount (M) &amp; 1g - Wash Sale Loss Disallowed (D)</b>	<b>Gain or Loss (-)</b>	<b>Additional Notes</b>
CALL ETSY 11/20/20	150	ETSY INC   CUSIP:   Symbol: ETSY201120C00150000					
10/01/2020	1.00	714.83	10/01/2020	676.14	0.00	38.69	Sell to Close
CALL BA 11/27/20	220	BOEING CO   CUSIP:   Symbol: BA201127C00220000					
11/24/2020	1.00	314.84	11/24/2020	351.14	36.3 D	0.00	Sell to Close
11/24/2020	1.00	389.84	11/24/2020	346.74	0.00	43.10	Sell to Close
11/24/2020	1.00	256.84	11/24/2020	357.44	100.6 D	0.00	Sell to Close
11/24/2020	1.00	414.85	11/24/2020	313.14	0.00	101.71	Sell to Close
<b>Security Totals:</b>		<b>1,376.37</b>		<b>1,368.46</b>		<b>144.81</b>	
CALL JWN 01/15/21	12.50	NORDSTROM INC   CUSIP:   Symbol: JWN210115C00012500					
10/05/2020	1.00	249.85	09/29/2020	181.14	0.00	68.71	Sell to Close
COLLECTIVE GROWTH CORPORATION CLASS A COMMON STOCK   CUSIP: 19424L101   Symbol: CGRO							
12/11/2020	50.00	741.43	12/11/2020	812.54	0.00	-71.11	Sale
CALL IRWD 01/15/21	17.50	IRONWOOD PHARMACEUTICALS INC   CUSIP:   Symbol: IRWD210115C00017500					
12/14/2020	1.00	0.85	12/07/2020	28.14	0.00	-27.29	Sell to Close
PUT SPY 10/28/20	338	STANDARD & POORS DEPOSITORY   CUSIP:   Symbol: SPY201028P00338000					
10/27/2020	1.00	161.84	10/27/2020	168.14	6.3 D	0.00	Sell to Close
10/27/2020	1.00	147.85	10/27/2020	176.44	0.00	-28.59	Sell to Close
<b>Security Totals:</b>		<b>309.69</b>		<b>344.58</b>		<b>-28.59</b>	
PUT BA 11/13/20	190	BOEING CO   CUSIP:   Symbol: BA201113P00190000					
11/10/2020	2.00	1,099.67	11/10/2020	910.27	0.00	189.40	Sell to Close
11/10/2020	8.00	4,358.79	Various	3,644.09	0.00	714.70	Sell to Close
<b>Security Totals:</b>		<b>5,458.46</b>		<b>4,554.36</b>		<b>904.10</b>	
CALL SPY 10/28/20	344	STANDARD & POORS DEPOSITORY   CUSIP:   Symbol: SPY201028C00344000					
10/27/2020	1.00	38.84	10/27/2020	45.14	0.00	-6.30	Sell to Close
PUT MRO 12/11/20	7	MARATHON OIL CORP   CUSIP:   Symbol: MRO201211P00007000					
12/08/2020	2.00	47.44	12/07/2020	0.00	0.00	47.44	Buy to Close
CALL PFE 01/15/21	43	PFIZER INC   CUSIP:   Symbol: PFE210115C00043000					
12/11/2020	1.00	203.84	12/09/2020	285.14	0.00	-81.30	Sell to Close
CALL BA 11/13/20	192.50	BOEING CO   CUSIP:   Symbol: BA201113C00192500					
11/10/2020	10.00	4,798.53	11/10/2020	5,561.36	0.00	-762.83	Sell to Close

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## Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B\*

OMB No. 1545-0715

5WU95787

(continued)

02/23/2021

**SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS**

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

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

1c - Date Sold or Disposed	Quantity	1d - Proceeds	1b - Date Acquired	1e - Cost or Other Basis	1f - Accrued Market Discount (M) & 1g - Wash Sale Loss Disallowed (D)	Gain or Loss (-)	Additional Notes
AKEBIA THERAPEUTICS INC	COM   CUSIP: 00972D105   Symbol: AKBA						
10/23/2020	100.00	409.90	10/19/2020	386.08	0.00	23.82	Sale
PUT BIGC 10/16/20	75	BIGCOMMERCE HOLDINGS INC   CUSIP:   Symbol: BIGC201016P00075000					
10/12/2020	1.00	15.70	10/06/2020	0.00	0.00	15.70	Buy to Close
CALL SPY 10/28/20	336	STANDARD & POORS DEPOSITORY   CUSIP:   Symbol: SPY201028C00336000					
10/28/2020	1.00	16.84	10/28/2020	24.14	0.00	-7.30	Sell to Close C
PUT CHWY 09/11/20	58	CHEWY INC CLASS A   CUSIP:   Symbol: CHWY200911P00058000					
09/11/2020	1.00	162.70	09/09/2020	0.00	0.00	162.70	Buy to Close
PUT SPY 10/28/20	336	STANDARD & POORS DEPOSITORY   CUSIP:   Symbol: SPY201028P00336000					
10/26/2020	1.00	163.85	10/26/2020	128.14	0.00	35.71	Sell to Close C
PUT TSLA 11/06/20	300	TESLA INC   CUSIP:   Symbol: TSLA201106P00300000					
11/06/2020	1.00	0.00	11/03/2020	17.14	0.00	-17.14	Expiration
CALL MSFT 01/08/21	230	MICROSOFT CORP   CUSIP:   Symbol: MSFT210108C00230000					
12/29/2020	1.00	138.84	12/29/2020	145.14	0.00	-6.30	Sell to Close
PUT CVM 08/21/20	5	CEL SCI CORPORATION   CUSIP:   Symbol: CVM200821P00005000					
08/04/2020	10.00	228.61	Various	576.38	0.00	-347.77	Sell to Close
CALL NFLX 11/27/20	500	NETFLIX INC   CUSIP:   Symbol: NFLX201127C00500000					
11/27/2020	1.00	0.00	11/25/2020	33.14	0.00	-33.14	Expiration
CALL TSLA 10/30/20	407.50	TESLA INC   CUSIP:   Symbol: TSLA201030C00407500					
10/30/2020	1.00	0.00	10/30/2020	18.14	0.00	-18.14	Expiration
CALL ZM 09/18/20	425	ZOOM VIDEO COMMUNICATIONS INC   CUSIP:   Symbol: ZM200918C00425000					
09/18/2020	1.00	89.84	09/18/2020	56.14	0.00	33.70	Sell to Close
PUT BIGC 01/15/21	65	BIGCOMMERCE HOLDINGS INC   CUSIP:   Symbol: BIGC210115P00065000					
12/15/2020	1.00	3.69	12/15/2020	0.00	0.00	3.69	Buy to Close
MATCH GROUP INC	COMMON STOCK   CUSIP: 57667L107   Symbol: MTCH						
12/16/2020	10.00	1,532.15	12/16/2020	1,523.60	0.00	8.55	Sale
PUT SPY 10/28/20	332	STANDARD & POORS DEPOSITORY   CUSIP:   Symbol: SPY201028P00332000					
10/27/2020	1.00	26.84	10/27/2020	65.43	0.00	-38.59	Sell to Close
10/27/2020	1.00	43.85	10/27/2020	63.14	19.29 D	0.00	Sell to Close
<b>Security Totals:</b>		<b>70.69</b>		<b>128.57</b>		<b>-38.59</b>	

APEX CLEARING

## Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B\*

OMB No. 1545-0715

5WU95787

(continued)

02/23/2021

**SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS**

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

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1c - Date Sold or Disposed	Quantity	1d - Proceeds	1b - Date Acquired	1e - Cost or Other Basis	1f - Accrued Market Discount (M) & 1g - Wash Sale Loss Disallowed (D)	Gain or Loss (-)	Additional Notes
CALL BA 11/27/20	210	BOEING CO   CUSIP:   Symbol: BA201127C00210000					
11/23/2020	1.00	494.84	11/23/2020	331.14	0.00	163.70	Sell to Close
PUT V 10/30/20	177.50	VISA INC   CUSIP:   Symbol: V201030P00177500					
10/30/2020	1.00	0.00	10/30/2020	22.14	0.00	-22.14	Expiration C
***QUTOUTIAO INC	AMERICAN DEPOSITARY SHARES   CUSIP: 74915J107   Symbol: QTT						
11/27/2020	500.00	1,549.50	11/27/2020	1,579.50	30 D	0.00	Sale
11/27/2020	500.00	1,460.01	11/27/2020	1,575.40	0.00	-115.39	Sale
<b>Security Totals:</b>		<b>3,009.51</b>		<b>3,154.90</b>		<b>-115.39</b>	
PUT VXX 07/31/20	26	IPATH SER B S&P 500 VIX SHORT   CUSIP:   Symbol: VXX200731P00026000					
	2.00	55.69	Various	0.00	0.00	55.69	Expiration
CALL LULU 01/15/21	360	LULULEMON ATHLETICA INC   CUSIP:   Symbol: LULU210115C00360000					
12/11/2020	1.00	-286.32	12/11/2020	0.00	0.00	-286.32	Buy to Close
CALL M 05/21/21	15	MACYS INC   CUSIP:   Symbol: M210521C00015000					
12/14/2020	1.00	82.84	11/23/2020	89.14	0.00	-6.30	Sell to Close
PUT AAPL 08/21/20	280	APPLE INC   CUSIP:   Symbol: AAPL200821P00280000					
07/20/2020	8.00	446.86	07/08/2020	985.11	538.25 D	0.00	Sell to Close
07/21/2020	12.00	874.29	Various	2,005.92	0.00	-1,131.63	Sell to Close
<b>Security Totals:</b>		<b>1,321.15</b>		<b>2,991.03</b>		<b>-1,131.63</b>	
DOORDASH INC	CLASS A COMMON STOCK   CUSIP: 25809K105   Symbol: DASH						
12/11/2020	10.00	1,727.00	12/11/2020	1,754.20	27.2 D	0.00	Sale
CALL TSLA 12/18/20	610	TESLA INC   CUSIP:   Symbol: TSLA201218C00610000					
12/09/2020	1.00	4,864.74	12/09/2020	4,669.14	0.00	195.60	Sell to Close
12/10/2020	1.00	4,266.75	12/09/2020	4,578.14	0.00	-311.39	Sell to Close
<b>Security Totals:</b>		<b>9,131.49</b>		<b>9,247.28</b>		<b>-115.79</b>	
***LI AUTO INC	AMERICAN DEPOSITARY SHARES   CUSIP: 50202M102   Symbol: LI						
11/13/2020	10.00	377.98	11/12/2020	316.70	0.00	61.28	Sale
11/13/2020	15.00	577.46	11/12/2020	475.06	0.00	102.40	Sale
11/13/2020	25.00	949.94	11/12/2020	791.76	0.00	158.18	Sale
<b>Security Totals:</b>		<b>1,905.38</b>		<b>1,583.52</b>		<b>321.86</b>	

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APEX CLEARING

## Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B\*

OMB No. 1545-0715

5WU95787

(continued)

02/23/2021

**SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS**

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

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

<b>1c - Date Sold or Disposed</b>	<b>Quantity</b>	<b>1d - Proceeds</b>	<b>1b - Date Acquired</b>	<b>1e - Cost or Other Basis</b>	<b>1f - Accrued Market Discount (M) &amp; 1g - Wash Sale Loss Disallowed (D)</b>	<b>Gain or Loss (-)</b>	<b>Additional Notes</b>
DICERNA PHARMACEUTICALS INC COM   CUSIP: 253031108   Symbol: DRNA							
11/30/2020	50.00	1,263.84	11/30/2020	1,257.54	0.00	6.30	Sale
12/01/2020	50.00	1,263.92	11/30/2020	1,257.54	0.00	6.38	Sale
<b>Security Totals:</b>		<b>2,527.76</b>		<b>2,515.08</b>		<b>12.68</b>	
CALL CAT 10/30/20 180 CATERPILLAR INC   CUSIP:   Symbol: CAT201030C00180000							
10/27/2020	1.00	1.84	10/26/2020	20.14	0.00	-18.30	Sell to Close C
PUT DOCU 12/18/20 210 DOCUSIGN INC   CUSIP:   Symbol: DOCU201218P00210000							
11/16/2020	1.00	1,879.80	11/13/2020	1,746.14	0.00	133.66	Sell to Close
CALL RKT 11/13/20 23 ROCKET COMPANIES INC CL A   CUSIP:   Symbol: RKT201113C00023000							
11/11/2020	1.00	89.70	11/09/2020	0.00	0.00	89.70	Buy to Close
PUT PYPL 08/07/20 140 PAYPAL HOLDINGS INC   CUSIP:   Symbol: PYPL200807P00140000							
08/07/2020	1.00	0.00	07/27/2020	62.14	0.00	-62.14	Expiration
CALL XL 01/15/21 35 XL FLEET CORPORATION CL A   CUSIP:   Symbol: XL210115C00035000							
12/29/2020	1.00	23.70	12/28/2020	0.00	0.00	23.70	Buy to Close
PUT BA 08/21/20 155 BOEING CO   CUSIP:   Symbol: BA200821P00155000							
07/31/2020	1.00	654.84	07/22/2020	480.14	0.00	174.70	Sell to Close
DATADOG INC CLASS A COMMON STOCK   CUSIP: 23804L103   Symbol: DDOG							
10/13/2020	20.00	2,359.92	10/13/2020	2,326.01	0.00	33.91	Sale
***YALLA GROUP LIMITED AMERICAN DEPOSITARY SHARES ECH REPSTG ONE CL A ORDINARY SHARE   CUSIP: 98459U103   Symbol: YALA							
11/30/2020	25.00	349.96	11/30/2020	288.57	0.00	61.39	Sale
11/30/2020	25.00	374.95	11/30/2020	288.57	0.00	86.38	Sale
11/30/2020	50.00	664.93	11/30/2020	577.15	0.00	87.78	Sale
<b>Security Totals:</b>		<b>1,389.84</b>		<b>1,154.29</b>		<b>235.55</b>	
CALL CAT 05/21/21 180 CATERPILLAR INC   CUSIP:   Symbol: CAT210521C00180000							
12/14/2020	1.00	1,539.82	12/11/2020	1,430.14	0.00	109.68	Sell to Close
CALL APPS 12/18/20 60 DIGITAL TURBINE INC   CUSIP:   Symbol: APPS201218C00060000							
12/11/2020	1.00	0.85	11/30/2020	54.14	0.00	-53.29	Sell to Close
CRYOPORT INC COM   CUSIP: 229050307   Symbol: CYRX							
11/09/2020	30.00	1,551.53	Various	1,539.66	0.00	11.87	Sale
CALL AMZN 12/24/20 3250 AMAZON.COM INC   CUSIP:   Symbol: AMZN201224C03250000							
12/23/2020	1.00	132.84	12/23/2020	219.14	0.00	-86.30	Sell to Close

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APEX CLEARING

## Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B\*

OMB No. 1545-0715

5WU95787

(continued)

02/23/2021

**SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS**

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

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

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CALL COTY 01/20/23 10	COTY INC   CUSIP:   Symbol: COTY230120C00010000						
12/23/2020	1.00	224.84	12/22/2020	291.14	66.3 D	0.00	Sell to Close
PUT BIDU 10/23/20 130	BAIDU INC   CUSIP:   Symbol: BIDU201023P00130000						
10/15/2020	1.00	129.84	10/14/2020	78.14	0.00	51.70	Sell to Close C
CALL TSLA 12/11/20 670	TESLA INC   CUSIP:   Symbol: TSLA201211C00670000						
12/09/2020	1.00	700.83	12/09/2020	845.06	144.23 D	0.00	Sell to Close
12/09/2020	1.00	642.83	12/09/2020	874.37	0.00	-231.54	Sell to Close
12/09/2020	1.00	718.83	12/09/2020	862.45	143.62 D	0.00	Sell to Close
12/09/2020	1.00	844.84	12/09/2020	853.76	8.92 D	0.00	Sell to Close
12/09/2020	1.00	799.83	12/09/2020	896.14	96.31 D	0.00	Sell to Close
<b>Security Totals:</b>		<b>3,707.16</b>		<b>4,331.78</b>		<b>-231.54</b>	
PUT NIU 12/18/20 22.50	NIU TECHNOLOGIES ADS   CUSIP:   Symbol: NIU201218P00022500						
12/18/2020	1.00	0.00	12/01/2020	52.14	0.00	-52.14	Expiration
PUT CVM 08/21/20 7.50	CEL SCI CORPORATION   CUSIP:   Symbol: CVM200821P00007500						
08/04/2020	10.00	587.22	Various	0.00	0.00	587.22	Buy to Close
CALL BA 11/27/20 212.50	BOEING CO   CUSIP:   Symbol: BA201127C00212500						
11/23/2020	1.00	444.84	11/23/2020	346.14	0.00	98.70	Sell to Close
CALL TSLA 12/11/20 610	TESLA INC   CUSIP:   Symbol: TSLA201211C00610000						
12/09/2020	1.00	1,737.81	12/09/2020	2,026.14	288.33 D	0.00	Sell to Close
12/10/2020	1.00	438.84	12/09/2020	2,309.47	1870.63 D	0.00	Sell to Close
12/10/2020	1.00	1,479.81	12/10/2020	3,151.77	1671.96 D	0.00	Sell to Close
12/11/2020	1.00	219.84	12/11/2020	1,959.10	0.00	-1,739.26	Sell to Close
<b>Security Totals:</b>		<b>3,876.30</b>		<b>9,446.48</b>		<b>-1,739.26</b>	
CALL ROKU 12/11/20 310	ROKU INC   CUSIP:   Symbol: ROKU201211C00310000						
12/04/2020	1.00	374.84	12/04/2020	311.14	0.00	63.70	Sell to Close
PUT TSLA 12/11/20 610	TESLA INC   CUSIP:   Symbol: TSLA201211P00610000						
12/10/2020	1.00	1,303.82	12/10/2020	1,461.14	157.32 D	0.00	Sell to Close
12/10/2020	1.00	1,194.82	12/10/2020	1,316.46	121.64 D	0.00	Sell to Close
12/11/2020	1.00	589.83	12/11/2020	767.78	0.00	-177.95	Sell to Close
<b>Security Totals:</b>		<b>3,088.47</b>		<b>3,545.38</b>		<b>-177.95</b>	

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APEX CLEARING

## Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B\*

OMB No. 1545-0715

5WU95787

(continued)

02/23/2021

**SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS**

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

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

1c - Date Sold or Disposed	Quantity	1d - Proceeds	1b - Date Acquired	1e - Cost or Other Basis	1f - Accrued Market Discount (M) & 1g - Wash Sale Loss Disallowed (D)	Gain or Loss (-)	Additional Notes
CALL BIDU 10/23/20 134 BAIDU INC   CUSIP:   Symbol: BIDU201023C00134000							
10/23/2020	1.00	14.84	10/23/2020	24.14	9.3 D	0.00	Sell to Close
10/23/2020	1.00	11.84	10/23/2020	34.44	0.00	-22.60	Sell to Close
<b>Security Totals:</b>		<b>26.68</b>		<b>58.58</b>		<b>-22.60</b>	
CALL TSLA 12/11/20 630 TESLA INC   CUSIP:   Symbol: TSLA201211C00630000							
12/09/2020	1.00	1,449.81	12/09/2020	2,138.47	688.66 D	0.00	Sell to Close
12/09/2020	1.00	1,684.81	12/09/2020	2,067.14	382.33 D	0.00	Sell to Close
12/10/2020	1.00	709.83	12/10/2020	1,326.12	616.29 D	0.00	Sell to Close
12/10/2020	1.00	1,104.82	12/10/2020	1,684.80	579.98 D	0.00	Sell to Close
12/10/2020	1.00	654.83	12/10/2020	1,312.43	657.6 D	0.00	Sell to Close
12/10/2020	1.00	689.83	12/10/2020	1,328.74	0.00	-638.91	Sell to Close
<b>Security Totals:</b>		<b>6,293.93</b>		<b>9,857.70</b>		<b>-638.91</b>	
CALL TSLA 12/11/20 650 TESLA INC   CUSIP:   Symbol: TSLA201211C00650000							
12/08/2020	1.00	2,084.80	12/08/2020	1,196.14	0.00	888.66	Sell to Close
12/10/2020	1.00	264.85	12/10/2020	237.14	0.00	27.71	Sell to Close
<b>Security Totals:</b>		<b>2,349.65</b>		<b>1,433.28</b>		<b>916.37</b>	
CALL AMZN 09/18/20 3010 AMAZON.COM INC   CUSIP:   Symbol: AMZN200918C03010000							
09/18/2020	1.00	134.84	09/18/2020	117.14	0.00	17.70	Sell to Close
09/18/2020	1.00	86.84	09/18/2020	101.14	0.00	-14.30	Sell to Close
<b>Security Totals:</b>		<b>221.68</b>		<b>218.28</b>		<b>3.40</b>	
CALL NIO 11/06/20 41 NIO INC ADS   CUSIP:   Symbol: NIO201106C00041000							
11/04/2020	1.00	-46.30	11/04/2020	0.00	0.00	-46.30	Buy to Close
***DUNXIN FINANCIAL HOLDINGS LIMITED AMERICAN DPSTRY SHS ECH RPRSNTNG FORTY EIGHT ORD   CUSIP: 26605Q106   Symbol: DXF							
10/20/2020	100.00	182.90	10/20/2020	181.08	0.00	1.82	Sale
PUT NFLX 07/17/20 390 NETFLIX INC   CUSIP:   Symbol: NFLX200717P00390000							
07/17/2020	3.00	0.00	07/16/2020	51.42	0.00	-51.42	Expiration
CALL TSLA 12/18/20 625 TESLA INC   CUSIP:   Symbol: TSLA201218C00625000							
12/16/2020	1.00	1,917.80	12/16/2020	2,148.81	0.00	-231.01	Sell to Close
12/16/2020	1.00	1,879.80	12/16/2020	1,941.14	61.34 D	0.00	Sell to Close

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**SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS**

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

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**Box 12:** Basis Reported to the IRS

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12/16/2020	1.00	1,794.81	12/16/2020	2,027.48	232.67 D	0.00	Sell to Close
<b>Security Totals:</b>		<b>5,592.41</b>		<b>6,117.43</b>		<b>-231.01</b>	
PUT TSLA 12/18/20 615	TESLA INC   CUSIP:   Symbol: TSLA201218P00615000						
12/16/2020	1.00	1,949.80	12/16/2020	1,994.14	0.00	-44.34	Sell to Close
CALL TSLA 12/18/20 615	TESLA INC   CUSIP:   Symbol: TSLA201218C00615000						
12/16/2020	1.00	2,399.80	12/16/2020	2,351.14	0.00	48.66	Sell to Close
CARVANA CO	CLASS A COMMON STOCK   CUSIP: 146869102   Symbol: CVNA						
10/02/2020	10.00	2,389.93	10/02/2020	2,380.00	0.00	9.93	Sale
11/20/2020	11.00	2,554.35	Various	2,587.74	0.00	-33.39	Sale
12/17/2020	10.00	2,638.72	12/15/2020	2,672.90	0.00	-34.18	Buy to Cover Short
<b>Security Totals:</b>		<b>7,583.00</b>		<b>7,640.64</b>		<b>-57.64</b>	
PUT FB 09/04/20 280	FACEBOOK INC CL A   CUSIP:   Symbol: FB200904P00280000						
09/03/2020	1.00	-55.30	09/01/2020	0.00	0.00	-55.30	Buy to Close
CALL TSLA 12/18/20 635	TESLA INC   CUSIP:   Symbol: TSLA201218C00635000						
12/14/2020	1.00	3,269.77	12/14/2020	3,261.14	0.00	8.63	Sell to Close
12/15/2020	1.00	2,444.79	12/15/2020	2,546.14	101.35 D	0.00	Sell to Close
12/15/2020	1.00	2,489.79	12/15/2020	2,554.49	64.7 D	0.00	Sell to Close
12/17/2020	1.00	1,829.80	12/17/2020	1,937.18	0.00	-107.38	Sell to Close
12/17/2020	1.00	1,859.80	12/17/2020	2,015.84	156.04 D	0.00	Sell to Close
<b>Security Totals:</b>		<b>11,893.95</b>		<b>12,314.79</b>		<b>-98.75</b>	
PUT LULU 09/25/20 315	LULULEMON ATHLETICA INC   CUSIP:   Symbol: LULU200925P00315000						
09/15/2020	1.00	290.68	09/09/2020	0.00	0.00	290.68	Buy to Close
PUT SPY 11/04/20 330	STANDARD & POORS DEPOSITORY   CUSIP:   Symbol: SPY201104P00330000						
11/04/2020	1.00	0.00	11/03/2020	186.14	0.00	-186.14	Expiration
PUT TSLA 07/17/20 950	TESLA INC   CUSIP:   Symbol: TSLA200717P00950000						
	1.00	68.84	07/17/2020	0.00	0.00	68.84	Expiration
CALL MU 09/18/20 52	MICRON TECHNOLOGY INC   CUSIP:   Symbol: MU200918C00052000						
09/18/2020	2.00	5.71	09/18/2020	58.27	0.00	-52.56	Sell to Close
09/18/2020	3.00	119.56	09/18/2020	87.41	0.00	32.15	Sell to Close
<b>Security Totals:</b>		<b>125.27</b>		<b>145.68</b>		<b>-20.41</b>	

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## Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B\*

OMB No. 1545-0715

5WU95787

(continued)

02/23/2021

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PUT NFLX 08/21/20 405 NETFLIX INC   CUSIP:   Symbol: NFLX200821P00405000							
08/21/2020	5.00	0.00	08/11/2020	655.69	0.00	-655.69	Expiration
***ROYAL CARIBBEAN GROUP COMMON STOCK   CUSIP: V7780T103   Symbol: RCL							
09/28/2020	100.00	6,620.75	09/23/2020	6,431.08	0.00	189.67	Sale
09/30/2020	50.00	3,399.87	09/30/2020	3,359.40	0.00	40.47	Sale
<b>Security Totals:</b>		<b>10,020.62</b>		<b>9,790.48</b>		<b>230.14</b>	
PUT SPY 11/16/20 360 STANDARD & POORS DEPOSITORY   CUSIP:   Symbol: SPY201116P00360000							
11/16/2020	1.00	76.84	11/16/2020	44.14	0.00	32.70	Sell to Close
CALL BA 11/20/20 225 BOEING CO   CUSIP:   Symbol: BA201120C00225000							
11/17/2020	1.00	167.84	11/17/2020	110.14	0.00	57.70	Sell to Close
PUT ROKU 09/25/20 160 ROKU INC   CUSIP:   Symbol: ROKU200925P00160000							
09/15/2020	1.00	500.69	09/08/2020	0.00	0.00	500.69	Buy to Close
CALL NVDA 09/18/20 500 NVIDIA CORP   CUSIP:   Symbol: NVDA200918C00500000							
08/04/2020	1.00	-495.30	07/21/2020	0.00	0.00	-495.30	Buy to Close
CALL NET 12/18/20 85 CLOUDFLARE INC CL A   CUSIP:   Symbol: NET201218C00085000							
11/24/2020	1.00	31.85	11/24/2020	60.14	28.29 D	0.00	Sell to Close
11/27/2020	1.00	94.84	11/24/2020	60.13	0.00	34.71	Sell to Close
12/10/2020	1.00	344.84	12/10/2020	314.43	0.00	30.41	Sell to Close
<b>Security Totals:</b>		<b>471.53</b>		<b>434.70</b>		<b>65.12</b>	
PUT BA 08/14/20 150 BOEING CO   CUSIP:   Symbol: BA200814P00150000							
08/04/2020	2.00	131.42	07/28/2020	0.00	0.00	131.42	Buy to Close
CALL PYPL 12/04/20 225 PAYPAL HOLDINGS INC   CUSIP:   Symbol: PYPL201204C00225000							
11/30/2020	2.00	241.71	Various	170.28	0.00	71.43	Sell to Close
12/02/2020	1.00	30.84	11/30/2020	139.14	0.00	-108.30	Sell to Close
<b>Security Totals:</b>		<b>272.55</b>		<b>309.42</b>		<b>-36.87</b>	
SNAP INC CLASS A COMMON STOCK   CUSIP: 83304A106   Symbol: SNAP							
10/19/2020	100.00	2,884.84	10/05/2020	2,754.08	0.00	130.76	Sale
CALL SPY 10/28/20 340 STANDARD & POORS DEPOSITORY   CUSIP:   Symbol: SPY201028C00340000							
10/27/2020	1.00	107.85	10/27/2020	149.74	0.00	-41.89	Sell to Close
10/27/2020	1.00	117.84	10/27/2020	158.44	40.6 D	0.00	Sell to Close

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APEX CLEARING

## Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B\*

OMB No. 1545-0715

5WU95787

(continued)

02/23/2021

## SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

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

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

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

1c - Date Sold or Disposed	Quantity	1d - Proceeds	1b - Date Acquired	1e - Cost or Other Basis	1f - Accrued Market Discount (M) & 1g - Wash Sale Loss Disallowed (D)	Gain or Loss (-)	Additional Notes
CALL SPY 10/28/20	340	STANDARD & POORS DEPOSITORY   CUSIP:   Symbol: SPY201028C00340000					
10/27/2020	1.00	138.84	10/27/2020	156.14	17.3 D	0.00	Sell to Close
<b>Security Totals:</b>		<b>364.53</b>		<b>464.32</b>		<b>-41.89</b>	
AKAMAI TECHNOLOGIES INC   CUSIP: 00971T101   Symbol: AKAM							
09/08/2020	10.00	1,061.86	09/04/2020	1,095.30	33.44 D	0.00	Sale
09/09/2020	10.00	1,089.86	09/08/2020	1,082.44	0.00	7.42	Sale
<b>Security Totals:</b>		<b>2,151.72</b>		<b>2,177.74</b>		<b>7.42</b>	
CALL ZM 09/25/20	540	ZOOM VIDEO COMMUNICATIONS INC   CUSIP:   Symbol: ZM200925C00540000					
09/24/2020	1.00	219.84	09/24/2020	124.14	0.00	95.70	Sell to Close
PUT TSLA 11/06/20	382.50	TESLA INC   CUSIP:   Symbol: TSLA201106P00382500					
10/27/2020	1.00	108.70	10/26/2020	0.00	0.00	108.70	Buy to Close
10/28/2020	1.00	38.69	10/28/2020	0.00	0.00	38.69	Buy to Close
<b>Security Totals:</b>		<b>147.39</b>		<b>0.00</b>		<b>147.39</b>	
CALL COF 10/23/20	82	CAPITAL ONE FINANCIAL CORP   CUSIP:   Symbol: COF201023C00082000					
10/23/2020	1.00	11.84	10/22/2020	38.14	0.00	-26.30	Sell to Close C
CALL MRO 11/20/20	5	MARATHON OIL CORP   CUSIP:   Symbol: MRO201120C00005000					
10/09/2020	4.00	83.45	Various	100.54	0.00	-17.09	Sell to Close
CALL AMZN 12/11/20	3120	AMAZON.COM INC   CUSIP:   Symbol: AMZN201211C03120000					
11/27/2020	1.00	-5,004.47	11/24/2020	0.00	0.00	-5,004.47	Buy to Close
PUT CHWY 08/21/20	35	CHEWY INC CLASS A   CUSIP:   Symbol: CHWY200821P00035000					
07/29/2020	1.00	8.85	07/21/2020	28.14	0.00	-19.29	Sell to Close
PUT AMRN 12/18/20	5	AMARIN CORP PLC   CUSIP:   Symbol: AMRN201218P00005000					
12/10/2020	5.00	23.62	12/08/2020	0.00	0.00	23.62	Buy to Close
***STONECO LTD		CLASS A COMMON SHARES   CUSIP: G85158106   Symbol: STNE					
11/23/2020	25.00	1,816.92	11/23/2020	1,762.52	0.00	54.40	Sale
PUT BA 11/20/20	170	BOEING CO   CUSIP:   Symbol: BA201120P00170000					
11/12/2020	1.00	290.84	11/12/2020	238.14	0.00	52.70	Sell to Close
CALL BLNK 01/15/21	40	BLINK CHARGING CO   CUSIP:   Symbol: BLNK210115C00040000					
12/09/2020	1.00	134.84	12/07/2020	198.14	0.00	-63.30	Sell to Close
PUT AAL 12/04/20	14.50	AMERICAN AIRLINES GROUP INC   CUSIP:   Symbol: AAL201204P00014500					
11/30/2020	2.00	-8.57	11/30/2020	0.00	4.29 D	-4.28	Buy to Close

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**SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS**

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

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

**Box 5:** Box Not Checked (Covered Security)

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

**Box 12:** Basis Reported to the IRS

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

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

1c - Date Sold or Disposed	Quantity	1d - Proceeds	1b - Date Acquired	1e - Cost or Other Basis	1f - Accrued Market Discount (M) & 1g - Wash Sale Loss Disallowed (D)	Gain or Loss (-)	Additional Notes
12/01/2020	1.00	17.41	11/30/2020	0.00	0.00	17.41	Buy to Close
<b>Security Totals:</b>		<b>8.84</b>		<b>0.00</b>		<b>13.13</b>	
***AMBARELLA INC SHS   CUSIP: G037AX101   Symbol: AMBA							
12/02/2020	10.00	839.96	12/02/2020	817.80	0.00	22.16	Sale
CALL SPY 11/04/20 350 STANDARD & POORS DEPOSITORY   CUSIP:   Symbol: SPY201104C00350000							
11/04/2020	1.00	14.84	11/04/2020	16.14	0.00	-1.30	Sell to Close
PUT NKE 08/21/20 95 NIKE INC CLASS B   CUSIP:   Symbol: NKE200821P00095000							
08/03/2020	2.00	111.42	07/21/2020	0.00	0.00	111.42	Buy to Close
PUT LOW 11/20/20 148 LOWES COMPANIES INC   CUSIP:   Symbol: LOW201120P00148000							
11/18/2020	1.00	53.70	11/18/2020	0.00	0.00	53.70	Buy to Close
CALL SPY 01/21/22 420 STANDARD & POORS DEPOSITORY   CUSIP:   Symbol: SPY220121C00420000							
10/09/2020	1.00	605.83	10/06/2020	521.14	0.00	84.69	Sell to Close
11/17/2020	1.00	671.83	11/17/2020	672.14	0.00	-0.31	Sell to Close
<b>Security Totals:</b>		<b>1,277.66</b>		<b>1,193.28</b>		<b>84.38</b>	
CALL GS 10/16/20 230 GOLDMAN SACHS GROUP INC   CUSIP:   Symbol: GS201016C00230000							
10/16/2020	1.00	0.00	10/09/2020	53.14	0.00	-53.14	Expiration
CALL ZM 08/21/20 300 ZOOM VIDEO COMMUNICATIONS INC   CUSIP:   Symbol: ZM200821C00300000							
08/21/2020	3.00	14.54	Various	98.42	0.00	-83.88	Sell to Close
PUT BABA 01/15/21 255 ALIBABA GROUP HOLDING LIMITED   CUSIP:   Symbol: BABA210115P00255000							
11/19/2020	1.00	1,299.82	11/17/2020	1,476.14	0.00	-176.32	Sell to Close
SALESFORCE.COM INC   CUSIP: 79466L302   Symbol: CRM							
09/09/2020	10.00	2,519.92	09/04/2020	2,445.00	0.00	74.92	Sale
10/09/2020	10.00	2,639.92	10/08/2020	2,628.00	0.00	11.92	Sale
12/02/2020	10.00	2,206.54	12/02/2020	2,217.20	0.00	-10.66	Sale
<b>Security Totals:</b>		<b>7,366.38</b>		<b>7,290.20</b>		<b>76.18</b>	
PUT CRM 08/28/20 250 SALESFORCE.COM INC   CUSIP:   Symbol: CRM200828P00250000							
08/26/2020	1.00	80.71	08/26/2020	0.00	0.00	80.71	Buy to Close
CALL RCL 10/02/20 65 ROYAL CARIBBEAN GROUP   CUSIP:   Symbol: RCL201002C00065000							
09/28/2020	1.00	-126.30	09/23/2020	0.00	0.00	-126.30	Buy to Close

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APEX CLEARING

## Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B\*

OMB No. 1545-0715

5WU95787

(continued)

02/23/2021

**SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS**

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

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

<b>1c - Date Sold or Disposed</b>	<b>Quantity</b>	<b>1d - Proceeds</b>	<b>1b - Date Acquired</b>	<b>1e - Cost or Other Basis</b>	<b>1f - Accrued Market Discount (M) &amp; 1g - Wash Sale Loss Disallowed (D)</b>	<b>Gain or Loss (-)</b>	<b>Additional Notes</b>
CALL SNAP 10/23/20	28.50	SNAP INC   CUSIP:   Symbol: SNAP201023C00028500					
10/19/2020	1.00	-93.29	10/12/2020	0.00	0.00	-93.29	Buy to Close C
CALL PLTR 01/15/21	30	PALANTIR TECHNOLOGIES INC CL A   CUSIP:   Symbol: PLTR210115C00030000					
11/24/2020	1.00	259.84	11/23/2020	146.14	0.00	113.70	Sell to Close
11/25/2020	1.00	569.83	11/25/2020	416.14	0.00	153.69	Sell to Close
11/25/2020	1.00	384.85	11/24/2020	257.14	0.00	127.71	Sell to Close
12/29/2020	4.00	287.44	Various	989.56	0.00	-702.12	Sell to Close
<b>Security Totals:</b>		<b>1,501.96</b>		<b>1,808.98</b>		<b>-307.02</b>	
CALL SPY 01/21/22	415	STANDARD & POORS DEPOSITORY   CUSIP:   Symbol: SPY220121C00415000					
11/02/2020	1.00	387.84	10/30/2020	351.14	0.00	36.70	Sell to Close
CALL CRM 05/21/21	240	SALESFORCE.COM INC   CUSIP:   Symbol: CRM210521C00240000					
12/23/2020	2.00	-194.65	Various	0.00	0.00	-194.65	Buy to Close
CALL CVM 09/18/20	20	CEL SCI CORPORATION   CUSIP:   Symbol: CVM200918C00020000					
08/13/2020	1.00	116.84	07/30/2020	195.14	0.00	-78.30	Sell to Close
PUT PTON 09/11/20	87	PELTON INTERACTIVE INC CL A   CUSIP:   Symbol: PTON200911P00087000					
09/11/2020	1.00	-58.30	09/11/2020	0.00	0.00	-58.30	Buy to Close
CALL BA 08/14/20	190	BOEING CO   CUSIP:   Symbol: BA200814C00190000					
08/13/2020	5.00	207.62	08/13/2020	0.00	0.00	207.62	Buy to Close
CALL PLTR 02/19/21	10	PALANTIR TECHNOLOGIES INC CL A   CUSIP:   Symbol: PLTR210219C00010000					
10/27/2020	1.00	219.85	10/07/2020	256.14	36.29 D	0.00	Sell to Close
10/27/2020	1.00	219.84	10/22/2020	179.43	0.00	40.41	Sell to Close
<b>Security Totals:</b>		<b>439.69</b>		<b>435.57</b>		<b>40.41</b>	
CALL NFLX 10/09/20	555	NETFLIX INC   CUSIP:   Symbol: NFLX201009C00555000					
10/07/2020	1.00	162.84	10/07/2020	182.14	0.00	-19.30	Sell to Close
PUT SU 12/18/20	9	SUNCOR ENERGY INC NEW   CUSIP:   Symbol: SU201218P00009000					
12/18/2020	1.00	0.00	10/21/2020	20.14	0.00	-20.14	Expiration
SORRENTO THERAPEUTICS INC   CUSIP: 83587F202   Symbol: SRNE							
08/04/2020	100.00	1,037.88	08/03/2020	929.08	0.00	108.80	Sale
11/27/2020	100.00	820.89	11/27/2020	797.97	0.00	22.92	Sale
<b>Security Totals:</b>		<b>1,858.77</b>		<b>1,727.05</b>		<b>131.72</b>	

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APEX CLEARING

## Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B\*

OMB No. 1545-0715

5WU95787

(continued)

02/23/2021

**SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS**

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

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

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CALL ETSY 12/04/20	149	ETSY INC   CUSIP:   Symbol: ETSY201204C00149000					
11/25/2020	1.00	304.84	11/24/2020	110.14	0.00	194.70	Sell to Close
CALL AMD 08/21/20	85	ADVANCED MICRO DEVICES INC   CUSIP:   Symbol: AMD200821C00085000					
08/04/2020	2.00	709.68	07/28/2020	140.28	0.00	569.40	Sell to Close
PUT SPY 10/21/20	340	STANDARD & POORS DEPOSITORY   CUSIP:   Symbol: SPY201021P00340000					
10/21/2020	1.00	0.00	10/20/2020	91.14	0.00	-91.14	Expiration
EASTMAN KODAK COMPANY		COM NEW   CUSIP: 277461406   Symbol: KODK					
09/14/2020	100.00	663.89	09/14/2020	630.07	0.00	33.82	Sale
09/18/2020	50.00	557.43	09/18/2020	556.53	0.00	0.90	Sale
09/18/2020	70.00	797.92	Various	796.94	0.1 D	1.08	Sale
11/25/2020	100.00	814.89	Various	901.13	0.00	-86.24	Sale
<b>Security Totals:</b>		<b>2,834.13</b>		<b>2,884.67</b>		<b>-50.44</b>	
PUT TSLA 11/06/20	350	TESLA INC   CUSIP:   Symbol: TSLA201106P00350000					
11/06/2020	1.00	0.00	11/04/2020	31.14	0.00	-31.14	Expiration
DIREXION SHARES ETF TRUST		DIREXION DAILY GOLD MINERS INDEX BULL 2X SHARES   CUSIP: 25460G781   Symbol: NUGT					
11/27/2020	20.00	1,249.15	11/27/2020	1,199.21	0.00	49.94	Sale
12/01/2020	10.00	684.17	12/01/2020	686.50	0.00	-2.33	Sale
<b>Security Totals:</b>		<b>1,933.32</b>		<b>1,885.71</b>		<b>47.61</b>	
PUT UPWK 01/15/21	20	UPWORK INC   CUSIP:   Symbol: UPWK210115P00020000					
11/23/2020	1.00	14.85	11/17/2020	23.14	0.00	-8.29	Sell to Close
CALL GLD 09/11/20	195	SPDR GOLD TR   CUSIP:   Symbol: GLD200911C00195000					
09/11/2020	1.00	0.00	09/02/2020	17.14	0.00	-17.14	Expiration
PUT NKLA 09/25/20	28	NIKOLA CORPORATION   CUSIP:   Symbol: NKLA200925P00028000					
09/21/2020	3.00	-63.87	Various	0.00	0.00	-63.87	Buy to Close
PUT AMZN 11/06/20	2200	AMAZON.COM INC   CUSIP:   Symbol: AMZN201106P02200000					
11/03/2020	1.00	20.84	11/02/2020	31.14	0.00	-10.30	Sell to Close
CALL FSLR 01/15/21	120	FIRST SOLAR INC   CUSIP:   Symbol: FSLR210115C00120000					
11/25/2020	1.00	109.84	11/24/2020	88.14	0.00	21.70	Sell to Close
***BIT DIGITAL INC		ORDINARY SHARES   CUSIP: G1144A105   Symbol: BTBT					
11/17/2020	1,000.00	6,298.95	11/17/2020	6,870.77	228.73 D	-343.09	Sale
11/25/2020	100.00	704.49	11/25/2020	815.28	0.00	-110.79	Sale

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APEX CLEARING

## Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B\*

OMB No. 1545-0715

5WU95787

(continued)

02/23/2021

**SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS**

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

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1c - Date Sold or Disposed	Quantity	1d - Proceeds	1b - Date Acquired	1e - Cost or Other Basis	1f - Accrued Market Discount (M) & 1g - Wash Sale Loss Disallowed (D)	Gain or Loss (-)	Additional Notes
***BIT DIGITAL INC ORDINARY SHARES   CUSIP: G1144A105   Symbol: BTBT							
11/25/2020	100.00	750.89	11/25/2020	839.06	0.00	-88.17	Sale
11/30/2020	200.00	1,424.78	11/25/2020	1,558.53	0.00	-133.75	Sale
<b>Security Totals:</b>		<b>9,179.11</b>		<b>10,083.64</b>		<b>-675.80</b>	
PUT TSLA 12/18/20 650 TESLA INC   CUSIP:   Symbol: TSLA201218P00650000							
12/18/2020	1.00	1,599.81	12/18/2020	1,771.14	0.00	-171.33	Sell to Close
CALL TSLA 12/18/20 650 TESLA INC   CUSIP:   Symbol: TSLA201218C00650000							
12/14/2020	1.00	2,604.79	12/14/2020	2,736.14	0.00	-131.35	Sell to Close
CALL TSLA 12/18/20 670 TESLA INC   CUSIP:   Symbol: TSLA201218C00670000							
12/18/2020	1.00	1,099.82	12/18/2020	1,431.14	0.00	-331.32	Sell to Close
PUT BIGC 10/16/20 65 BIGCOMMERCE HOLDINGS INC   CUSIP:   Symbol: BIGC201016P00065000							
10/01/2020	1.00	150.70	09/23/2020	0.00	0.00	150.70	Buy to Close
BIO KEY INTERNATIONAL INC COMMON STOCK   CUSIP: 09060C309   Symbol: BKYI							
10/30/2020	250.00	100.64	10/28/2020	110.13	0.00	-9.49	Sale
CALL SDC 10/16/20 13 SMILEDIRECTCLUB INC CL A   CUSIP:   Symbol: SDC201016C00013000							
10/12/2020	1.00	26.84	10/09/2020	27.14	0.00	-0.30	Sell to Close
PUT NFLX 09/18/20 460 NETFLIX INC   CUSIP:   Symbol: NFLX200918P00460000							
09/17/2020	1.00	189.84	09/17/2020	166.14	0.00	23.70	Sell to Close
PUT SFIX 10/02/20 24.50 STITCH FIX INC   CUSIP:   Symbol: SFIX201002P00024500							
09/28/2020	1.00	13.84	09/22/2020	43.14	0.00	-29.30	Sell to Close
CALL GE 01/21/22 15 GENERAL ELECTRIC CO   CUSIP:   Symbol: GE220121C00015000							
11/25/2020	2.00	165.71	11/24/2020	166.28	0.00	-0.57	Sell to Close
12/24/2020	2.00	165.71	11/24/2020	166.27	0.00	-0.56	Sell to Close
<b>Security Totals:</b>		<b>331.42</b>		<b>332.55</b>		<b>-1.13</b>	
CALL TWLO 12/11/20 337.50 TWILIO INC   CUSIP:   Symbol: TWLO201211C00337500							
12/11/2020	1.00	411.84	12/11/2020	267.14	0.00	144.70	Sell to Close
CALL FB 10/09/20 280 FACEBOOK INC CL A   CUSIP:   Symbol: FB201009C00280000							
10/01/2020	1.00	119.84	10/01/2020	141.14	0.00	-21.30	Sell to Close
PUT CRM 08/28/20 245 SALESFORCE.COM INC   CUSIP:   Symbol: CRM200828P00245000							
08/27/2020	1.00	216.70	08/26/2020	0.00	0.00	216.70	Buy to Close

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APEX CLEARING

## Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B\*

OMB No. 1545-0715

5WU95787

(continued)

02/23/2021

**SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS**

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

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

1c - Date Sold or Disposed	Quantity	1d - Proceeds	1b - Date Acquired	1e - Cost or Other Basis	1f - Accrued Market Discount (M) & 1g - Wash Sale Loss Disallowed (D)	Gain or Loss (-)	Additional Notes
CALL SQ 12/18/20	230	SQUARE INC   CUSIP:   Symbol: SQ201218C00230000					
12/07/2020	1.00	221.84	12/01/2020	326.14	0.00	-104.30	Sell to Close
***SHOPIFY INC	CL A	CUSIP: 82509L107   Symbol: SHOP					
09/18/2020	1.00	908.21	09/17/2020	865.00	0.00	43.21	Sale
09/30/2020	1.00	1,031.98	09/30/2020	1,034.50	0.00	-2.52	Sale
11/11/2020	1.00	929.96	11/11/2020	925.00	0.00	4.96	Sale
11/27/2020	1.00	1,031.96	11/27/2020	1,041.50	9.54 D	0.00	Sale
12/16/2020	1.00	1,151.96	12/16/2020	1,154.85	0.00	-2.89	Sale
<b>Security Totals:</b>		<b>5,054.07</b>		<b>5,020.85</b>		<b>42.76</b>	
CALL SPCE 01/08/21	35	VIRGIN GALACTIC HOLDINGS INC   CUSIP:   Symbol: SPCE210108C00035000					
12/11/2020	1.00	319.84	12/08/2020	375.14	0.00	-55.30	Sell to Close
CALL IDEX 04/16/21	2	IDEANOMICS INC   CUSIP:   Symbol: IDEX210416C00002000					
12/28/2020	1.00	114.84	12/24/2020	109.14	0.00	5.70	Sell to Close
12/28/2020	4.00	459.44	12/24/2020	436.54	0.00	22.90	Sell to Close
<b>Security Totals:</b>		<b>574.28</b>		<b>545.68</b>		<b>28.60</b>	
***GSX TECHEDU INC		AMERICAN DEPOSITARY SHS THREE OF WHICH RPRSNTNG TWO CL A ORD   CUSIP: 36257Y109   Symbol: GSX					
09/15/2020	100.00	9,879.69	09/15/2020	9,820.08	0.00	59.61	Sale
PUT TSLA 10/30/20	430	TESLA INC   CUSIP:   Symbol: TSLA201030P00430000					
09/22/2020	1.00	601.54	09/17/2020	0.00	0.00	601.54	Buy to Close
PUT NFLX 08/21/20	510	NETFLIX INC   CUSIP:   Symbol: NFLX200821P00510000					
08/21/2020	3.00	1,331.03	07/13/2020	0.00	0.00	1,331.03	Buy to Close
PUT M 01/15/21	4	MACYS INC   CUSIP:   Symbol: M210115P00004000					
12/14/2020	1.00	0.85	09/29/2020	32.14	0.00	-31.29	Sell to Close
ZSCALER INC		COMMON STOCK   CUSIP: 98980G102   Symbol: ZS					
12/01/2020	10.00	1,503.98	12/01/2020	1,506.30	0.00	-2.32	Sale
CALL SPY 10/26/20	342	STANDARD & POORS DEPOSITORY   CUSIP:   Symbol: SPY201026C00342000					
10/26/2020	1.00	6.85	10/26/2020	28.44	0.00	-21.59	Sell to Close
10/26/2020	1.00	16.84	10/26/2020	25.14	8.3 D	0.00	Sell to Close
<b>Security Totals:</b>		<b>23.69</b>		<b>53.58</b>		<b>-21.59</b>	

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APEX CLEARING

## Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B\*

OMB No. 1545-0715

5WU95787

(continued)

02/23/2021

## SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

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

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

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

1c - Date Sold or Disposed	Quantity	1d - Proceeds	1b - Date Acquired	1e - Cost or Other Basis	1f - Accrued Market Discount (M) & 1g - Wash Sale Loss Disallowed (D)	Gain or Loss (-)	Additional Notes
***TANTECH HOLDINGS LTD COM   CUSIP: G8675X107   Symbol: TANH							
11/23/2020	200.00	414.03	Various	342.05	0.00	71.98	Sale
11/23/2020	100.00	207.01	11/23/2020	219.97	12.96 D	0.00	Sale
11/23/2020	400.00	672.05	11/23/2020	628.32	0.00	43.73	Sale
11/23/2020	500.00	730.77	11/20/2020	638.40	0.00	92.37	Sale
12/11/2020	500.00	730.07	Various	1,098.36	0.00	-368.29	Sale
<b>Security Totals:</b>		<b>2,753.93</b>		<b>2,927.10</b>		<b>-160.21</b>	
CALL SPCE 01/15/21 30 VIRGIN GALACTIC HOLDINGS INC   CUSIP:   Symbol: SPCE210115C00030000							
12/07/2020	1.00	494.83	12/04/2020	331.14	0.00	163.69	Sell to Close
CALL DDOG 10/09/20 125 DATADOG INC CL A   CUSIP:   Symbol: DDOG201009C00125000							
09/30/2020	1.00	50.84	09/30/2020	66.14	0.00	-15.30	Sell to Close C
CALL SQ 11/20/20 195 SQUARE INC   CUSIP:   Symbol: SQ201120C00195000							
11/20/2020	1.00	111.84	11/19/2020	122.14	0.00	-10.30	Sell to Close
PUT SPY 10/26/20 334 STANDARD & POORS DEPOSITORY   CUSIP:   Symbol: SPY201026P00334000							
10/26/2020	1.00	0.00	10/26/2020	12.14	0.00	-12.14	Expiration
PUT TQQQ 11/06/20 100 PROSHARES ULTRAPRO QQQ ETF   CUSIP:   Symbol: TQQQ201106P00100000							
11/02/2020	1.00	67.70	10/30/2020	0.00	0.00	67.70	Buy to Close
FACEBOOK INC CL A   CUSIP: 30303M102   Symbol: FB							
09/08/2020	10.00	2,708.62	09/04/2020	2,755.00	46.38 D	0.00	Sale
10/01/2020	16.00	4,279.88	Various	4,391.88	0.00	-112.00	Sale
<b>Security Totals:</b>		<b>6,988.50</b>		<b>7,146.88</b>		<b>-112.00</b>	
***THE9 LIMITED AMERICAN DEPOSITORY SHARES   CUSIP: 88337K302   Symbol: NCTY							
11/23/2020	500.00	2,079.49	11/23/2020	2,075.40	0.00	4.09	Sale
CALL DRI 10/16/20 110 DARDEN RESTAURANTS INC   CUSIP:   Symbol: DRI201016C00110000							
09/28/2020	1.00	99.84	09/24/2020	106.14	0.00	-6.30	Sell to Close
MODERNA INC COMMON STOCK   CUSIP: 60770K107   Symbol: MRNA							
12/01/2020	5.00	713.72	12/01/2020	724.13	10.41 D	0.00	Sale
12/01/2020	5.00	709.97	12/01/2020	724.13	14.16 D	0.00	Sale
12/01/2020	10.00	1,745.95	12/01/2020	1,740.00	0.00	5.95	Sale
12/01/2020	10.00	1,418.15	12/01/2020	1,462.96	44.81 D	0.00	Sale

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APEX CLEARING

## Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B\*

OMB No. 1545-0715

5WU95787

(continued)

02/23/2021

**SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS**

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

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1c - Date Sold or Disposed	Quantity	1d - Proceeds	1b - Date Acquired	1e - Cost or Other Basis	1f - Accrued Market Discount (M) & 1g - Wash Sale Loss Disallowed (D)	Gain or Loss (-)	Additional Notes
MODERNA INC COMMON STOCK   CUSIP: 60770K107   Symbol: MRNA							
12/01/2020	10.00	1,413.95	12/01/2020	1,464.01	50.06 D	0.00	Sale
12/01/2020	10.00	1,430.65	12/01/2020	1,463.91	33.26 D	0.00	Sale
12/03/2020	10.00	1,375.26	12/01/2020	1,463.71	88.45 D	0.00	Buy to Cover Short
12/03/2020	10.00	1,413.65	12/01/2020	1,490.15	76.5 D	0.00	Buy to Cover Short
12/03/2020	10.00	1,484.85	12/01/2020	1,475.74	0.00	9.11	Buy to Cover Short
12/03/2020	10.00	1,389.95	12/01/2020	1,407.60	17.65 D	0.00	Buy to Cover Short
12/03/2020	10.00	1,480.45	12/01/2020	1,497.30	16.85 D	0.00	Buy to Cover Short
12/03/2020	10.00	1,357.72	12/01/2020	1,405.43	47.71 D	0.00	Buy to Cover Short
12/03/2020	10.00	1,579.94	Various	1,583.07	0.00	-3.13	Sale
12/04/2020	10.00	1,415.65	12/02/2020	1,511.50	95.85 D	0.00	Buy to Cover Short
12/07/2020	10.00	1,581.25	12/03/2020	1,660.65	0.00	-79.40	Buy to Cover Short
<b>Security Totals:</b>		<b>20,511.11</b>		<b>21,074.29</b>		<b>-67.47</b>	
CALL AMZN 01/15/21 3600 AMAZON.COM INC   CUSIP:   Symbol: AMZN210115C03600000							
12/29/2020	1.00	1,354.82	12/29/2020	1,356.14	1.32 D	0.00	Sell to Close
12/29/2020	1.00	1,764.81	12/29/2020	1,842.46	0.00	-77.65	Sell to Close
<b>Security Totals:</b>		<b>3,119.63</b>		<b>3,198.60</b>		<b>-77.65</b>	
***FIVERR INTERNATIONAL LTD ORDINARY SHARES NO PAR VALUE   CUSIP: M4R82T106   Symbol: FVRR							
11/23/2020	10.00	1,994.14	11/23/2020	2,002.50	8.36 D	0.00	Sale
11/25/2020	10.00	2,037.43	11/25/2020	2,042.61	0.00	-5.18	Sale
<b>Security Totals:</b>		<b>4,031.57</b>		<b>4,045.11</b>		<b>-5.18</b>	
CALL FB 10/09/20 270 FACEBOOK INC CL A   CUSIP:   Symbol: FB201009C00270000							
10/08/2020	1.00	30.84	10/08/2020	26.14	0.00	4.70	Sell to Close
PUT OSTK 12/18/20 61 OVERSTOCK.COM INC   CUSIP:   Symbol: OSTK201218P00061000							
12/07/2020	1.00	-31.30	12/07/2020	0.00	31.3 D	0.00	Buy to Close
12/08/2020	1.00	47.39	12/07/2020	0.00	0.00	47.39	Buy to Close
<b>Security Totals:</b>		<b>16.09</b>		<b>0.00</b>		<b>47.39</b>	
PUT ZM 11/20/20 350 ZOOM VIDEO COMMUNICATIONS INC   CUSIP:   Symbol: ZM201120P00350000							
11/16/2020	1.00	14.70	11/16/2020	0.00	0.00	14.70	Buy to Close

APEX CLEARING

## Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B\*

OMB No. 1545-0715

5WU95787

(continued)

02/23/2021

**SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS**

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CALL BYD 11/20/20	38	BOYD GAMING CORP   CUSIP:   Symbol: BYD201120C00038000					
11/09/2020	1.00	35.85	11/06/2020	18.14	0.00	17.71	Sell to Close
CALL NIO 01/15/21	50	NIO INC ADS   CUSIP:   Symbol: NIO210115C00050000					
12/31/2020	1.00	459.84	12/30/2020	376.14	0.00	83.70	Sell to Close
PUT BLNK 12/18/20	15	BLINK CHARGING CO   CUSIP:   Symbol: BLNK201218P00015000					
11/23/2020	1.00	112.84	11/20/2020	165.14	0.00	-52.30	Sell to Close
PUT NFLX 07/17/20	490	NETFLIX INC   CUSIP:   Symbol: NFLX200717P00490000					
07/10/2020	1.00	499.68	07/10/2020	0.00	0.00	499.68	Buy to Close
ORACLE CORPORATION   CUSIP: 68389X105   Symbol: ORCL							
09/16/2020	10.00	609.57	09/15/2020	611.20	0.00	-1.63	Sale
CALL TSLA 10/30/20	430	TESLA INC   CUSIP:   Symbol: TSLA201030C00430000					
10/27/2020	1.00	454.83	10/27/2020	471.14	0.00	-16.31	Sell to Close
***ELECTRAMECCANICA VEHICLES CORP LTD   CUSIP: 284849205   Symbol: SOLO							
09/24/2020	100.00	249.91	09/23/2020	260.08	10.17 D	0.00	Sale
10/14/2020	30.00	99.55	10/14/2020	95.17	0.00	4.38	Sale
10/14/2020	70.00	226.81	10/14/2020	222.08	0.00	4.73	Sale
10/29/2020	100.00	293.90	10/29/2020	300.08	6.18 D	0.00	Sale
10/29/2020	700.00	2,099.31	Various	2,085.74	3.36 D	16.93	Sale
10/29/2020	900.00	2,726.10	10/29/2020	2,700.71	0.00	25.39	Sale
10/29/2020	1,000.00	2,959.01	Various	2,978.95	19.94 D	0.00	Sale
10/29/2020	1,000.00	2,959.01	Various	2,967.16	8.15 D	0.00	Sale
11/13/2020	10.00	59.58	11/06/2020	38.82	0.00	20.76	Sale
11/13/2020	15.00	99.87	11/06/2020	58.23	0.00	41.64	Sale
11/13/2020	25.00	165.72	11/06/2020	97.06	0.00	68.66	Sale
11/13/2020	50.00	352.95	11/06/2020	194.12	0.00	158.83	Sale
11/13/2020	100.00	524.89	11/06/2020	388.23	0.00	136.66	Sale
11/19/2020	100.00	917.01	11/19/2020	876.31	0.00	40.70	Sale
11/19/2020	300.00	2,741.67	Various	2,629.28	0.00	112.39	Sale
11/20/2020	10.00	108.68	11/20/2020	112.12	0.00	-3.44	Sale
11/20/2020	100.00	1,232.00	11/19/2020	875.31	0.00	356.69	Sale

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APEX CLEARING

## Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B\*

OMB No. 1545-0715

5WU95787

(continued)

02/23/2021

**SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS**

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***ELECTRAMECCANICA VEHICLES CORP LTD   CUSIP: 284849205   Symbol: SOLO							
11/20/2020	100.00	1,299.89	11/20/2020	1,329.12	2.92 D	-26.31	Sale
11/20/2020	200.00	2,573.01	Various	2,017.88	0.00	555.13	Sale
<b>Security Totals:</b>		<b>21,688.87</b>		<b>20,226.45</b>		<b>1,513.14</b>	
CALL DAL 10/30/20 36 DELTA AIR LINES INC DEL   CUSIP:   Symbol: DAL201030C00036000							
10/23/2020	1.00	33.84	10/22/2020	47.14	0.00	-13.30	Sell to Close
CALL BABA 10/02/20 300 ALIBABA GROUP HOLDING LIMITED   CUSIP:   Symbol: BABA201002C00300000							
09/30/2020	1.00	119.84	09/30/2020	136.14	0.00	-16.30	Sell to Close
CALL CLVS 11/06/20 5.50 CLOVIS ONCOLOGY INC   CUSIP:   Symbol: CLVS201106C00005500							
	1.00	13.84	11/06/2020	0.00	0.00	13.84	Expiration
CALL WRK 01/15/21 50 WESTROCK COMPANY   CUSIP:   Symbol: WRK210115C00050000							
12/11/2020	1.00	37.84	11/24/2020	101.14	0.00	-63.30	Sell to Close
IDEANOMICS INC COMMON STOCK   CUSIP: 45166V106   Symbol: IDEX							
11/23/2020	200.00	499.82	11/23/2020	539.94	40.12 D	0.00	Sale
12/11/2020	300.00	558.03	Various	1,016.36	458.33 D	0.00	Sale
<b>Security Totals:</b>		<b>1,057.85</b>		<b>1,556.30</b>		<b>0.00</b>	
CALL SPY 09/25/20 330 STANDARD & POORS DEPOSITORY   CUSIP:   Symbol: SPY200925C00330000							
09/25/2020	2.00	7.71	09/25/2020	68.27	0.00	-60.56	Sell to Close
09/25/2020	1.00	0.00	09/25/2020	34.14	0.00	-34.14	Expiration
<b>Security Totals:</b>		<b>7.71</b>		<b>102.41</b>		<b>-94.70</b>	
***SPOTIFY TECHNOLOGY S A SHS SPOTIFY TECH SA ORD REG   CUSIP: L8681T102   Symbol: SPOT							
12/02/2020	10.00	3,262.31	12/02/2020	3,283.70	0.00	-21.39	Sale
12/04/2020	10.00	3,232.21	12/02/2020	3,210.00	0.00	22.21	Buy to Cover Short
<b>Security Totals:</b>		<b>6,494.52</b>		<b>6,493.70</b>		<b>0.82</b>	
PUT NKE 08/21/20 92.50 NIKE INC CLASS B   CUSIP:   Symbol: NKE200821P00092500							
08/03/2020	2.00	127.69	07/21/2020	224.28	0.00	-96.59	Sell to Close
CALL BA 09/04/20 190 BOEING CO   CUSIP:   Symbol: BA200904C00190000							
09/03/2020	2.00	525.42	07/31/2020	0.00	0.00	525.42	Buy to Close
PUT SPY 12/18/20 369 STANDARD & POORS DEPOSITORY   CUSIP:   Symbol: SPY201218P00369000							
12/18/2020	1.00	121.84	12/18/2020	134.14	0.00	-12.30	Sell to Close

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2020 Form 1099-B\*

OMB No. 1545-0715

5WU95787

(continued)

02/23/2021

**SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS**

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CALL JD 01/15/21 85	JD.COM INC   CUSIP:   Symbol: JD210115C00085000						
12/24/2020	1.00	298.84	12/21/2020	177.14	0.00	121.70	Sell to Close
AIRBNB INC	CLASS A COMMON STOCK   CUSIP: 009066101   Symbol: ABNB						
12/14/2020	10.00	1,279.40	12/11/2020	1,471.90	0.00	-192.50	Sale
CALL DKNG 01/15/21 55	DRAFTKINGS INC CL A   CUSIP:   Symbol: DKNG210115C00055000						
12/09/2020	1.00	318.84	12/09/2020	396.14	0.00	-77.30	Sell to Close
CALL TSLA 10/30/20 450	TESLA INC   CUSIP:   Symbol: TSLA201030C00450000						
10/26/2020	1.00	103.84	10/26/2020	108.43	4.59 D	0.00	Sell to Close
10/26/2020	1.00	97.85	10/26/2020	103.14	5.29 D	0.00	Sell to Close
10/27/2020	1.00	129.84	10/26/2020	115.73	0.00	14.11	Sell to Close
<b>Security Totals:</b>		<b>331.53</b>		<b>327.30</b>		<b>14.11</b>	
CALL QDEL 12/18/20 290	QUIDEL CORP   CUSIP:   Symbol: QDEL201218C00290000						
12/18/2020	1.00	0.00	11/09/2020	291.14	0.00	-291.14	Expiration
CALL TSLA 12/04/20 605	TESLA INC   CUSIP:   Symbol: TSLA201204C00605000						
12/03/2020	2.00	1,041.69	Various	1,063.58	0.00	-21.89	Sell to Close
12/03/2020	1.00	579.84	12/03/2020	581.14	1.3 D	0.00	Sell to Close
<b>Security Totals:</b>		<b>1,621.53</b>		<b>1,644.72</b>		<b>-21.89</b>	
PUT AAPL 08/07/20 345	APPLE INC   CUSIP:   Symbol: AAPL200807P00345000						
08/03/2020	2.00	5.71	07/29/2020	248.28	0.00	-242.57	Sell to Close
CALL TSLA 12/04/20 615	TESLA INC   CUSIP:   Symbol: TSLA201204C00615000						
12/04/2020	1.00	0.00	12/03/2020	203.14	0.00	-203.14	Expiration
AMEREN CORP   CUSIP: 023608102   Symbol: AEE							
10/19/2020	20.00	1,642.74	10/19/2020	1,652.01	0.00	-9.27	Sale
NANTKWEST INC	COM   CUSIP: 63016Q102   Symbol: NK						
11/20/2020	40.00	342.77	Various	394.42	0.00	-51.65	Sale
SERITAGE GROWTH PROPERTIES	CLASS A COMMON SHARES OF BENEFICIAL INT PAR VALUE \$0.01   CUSIP: 81752R100   Symbol: SRG						
09/03/2020	10.00	156.98	08/27/2020	134.00	0.00	22.98	Sale
PUT FSLY 10/09/20 95	FASTLY INC CLASS A   CUSIP:   Symbol: FSLY201009P00095000						
10/07/2020	1.00	28.70	10/06/2020	0.00	0.00	28.70	Buy to Close C
CALL UVXY 08/21/20 45	PROSHARES ULTRA VIX SHORT TERM   CUSIP:   Symbol: UVXY200821C00045000						
07/30/2020	1.00	91.84	07/21/2020	131.14	0.00	-39.30	Sell to Close

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APEX CLEARING

## Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B\*

OMB No. 1545-0715

5WU95787

(continued)

02/23/2021

**SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS**

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

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

1c - Date Sold or Disposed	Quantity	1d - Proceeds	1b - Date Acquired	1e - Cost or Other Basis	1f - Accrued Market Discount (M) & 1g - Wash Sale Loss Disallowed (D)	Gain or Loss (-)	Additional Notes
CALL ROKU 09/18/20	185	ROKU INC   CUSIP:   Symbol: ROKU200918C00185000					
09/15/2020	1.00	99.84	09/15/2020	94.14	0.00	5.70	Sell to Close
CALL BLNK 01/08/21	27.50	BLINK CHARGING CO   CUSIP:   Symbol: BLNK210108C00027500					
11/27/2020	1.00	494.84	11/27/2020	551.14	0.00	-56.30	Sell to Close
CALL BIDU 06/18/21	165	BAIDU INC   CUSIP:   Symbol: BIDU210618C00165000					
12/14/2020	1.00	1,879.80	12/11/2020	1,736.14	0.00	143.66	Sell to Close
CALL AMZN 01/15/21	3500	AMAZON.COM INC   CUSIP:   Symbol: AMZN210115C03500000					
12/21/2020	1.00	2,699.79	12/21/2020	2,771.14	71.35 D	0.00	Sell to Close
12/21/2020	1.00	2,854.78	12/21/2020	2,716.14	0.00	138.64	Sell to Close
12/22/2020	1.00	2,239.80	12/22/2020	2,333.83	94.03 D	0.00	Sell to Close
12/22/2020	1.00	2,184.80	12/22/2020	2,255.17	70.37 D	0.00	Sell to Close
12/22/2020	1.00	2,084.80	12/22/2020	2,332.49	247.69 D	0.00	Sell to Close
12/22/2020	1.00	2,339.79	12/22/2020	2,251.51	0.00	88.28	Sell to Close
12/23/2020	1.00	1,879.80	12/23/2020	1,921.14	41.34 D	0.00	Sell to Close
12/28/2020	1.00	2,014.80	12/28/2020	1,653.81	0.00	360.99	Sell to Close
12/28/2020	1.00	1,559.81	12/28/2020	1,607.48	47.67 D	0.00	Sell to Close
12/29/2020	1.00	2,624.79	12/29/2020	2,702.49	77.7 D	0.00	Sell to Close
12/29/2020	1.00	2,514.79	12/29/2020	2,571.14	56.35 D	0.00	Sell to Close
12/29/2020	2.00	5,529.59	Various	4,722.28	0.00	807.31	Sell to Close
12/31/2020	1.00	1,154.82	12/31/2020	1,207.45	0.00	-52.63	Sell to Close
12/31/2020	2.00	2,369.66	Various	2,634.98	265.32 D	0.00	Sell to Close
12/31/2020	1.00	1,239.82	12/31/2020	1,455.15	215.33 D	0.00	Sell to Close
<b>Security Totals:</b>		<b>35,291.64</b>		<b>35,136.20</b>		<b>1,342.59</b>	
PUT PTON 09/11/20	86.50	PELTON INTERACTIVE INC CL A   CUSIP:   Symbol: PTON200911P00086500					
09/11/2020	1.00	73.84	09/11/2020	32.14	0.00	41.70	Sell to Close
PUT SPY 09/30/20	333	STANDARD & POORS DEPOSITORY   CUSIP:   Symbol: SPY200930P00333000					
09/29/2020	1.00	184.85	09/28/2020	184.14	0.00	0.71	Sell to Close
OCCIDENTAL PETE CORP   CUSIP: 674599105   Symbol: OXY							
10/08/2020	20.00	215.96	10/05/2020	207.41	0.00	8.55	Sale

APEX CLEARING

## Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B\*

OMB No. 1545-0715

5WU95787

(continued)

02/23/2021

**SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS**

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

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

1c - Date Sold or Disposed	Quantity	1d - Proceeds	1b - Date Acquired	1e - Cost or Other Basis	1f - Accrued Market Discount (M) & 1g - Wash Sale Loss Disallowed (D)	Gain or Loss (-)	Additional Notes
CALL ASYS 09/18/20	5	AMTECH SYSTEMS INC   CUSIP:   Symbol: ASYS200918C00005000					
09/09/2020	1.00	9.84	09/04/2020	82.14	0.00	-72.30	Sell to Close
PUT MSFT 09/18/20	165	MICROSOFT CORP   CUSIP:   Symbol: MSFT200918P00165000					
07/27/2020	1.00	99.84	07/23/2020	113.14	0.00	-13.30	Sell to Close
CROWDSTRIKE HOLDINGS INC		CLASS A COMMON STOCK   CUSIP: 22788C105   Symbol: CRWD					
09/21/2020	50.00	6,827.29	09/21/2020	6,810.04	0.00	17.25	Sale
09/21/2020	50.00	6,811.79	09/21/2020	6,810.04	0.00	1.75	Sale
10/01/2020	50.00	7,114.78	09/28/2020	6,975.04	0.00	139.74	Sale
11/25/2020	10.00	1,510.04	11/24/2020	1,486.40	0.00	23.64	Sale
12/04/2020	10.00	1,539.95	12/02/2020	1,580.00	0.00	-40.05	Buy to Cover Short
<b>Security Totals:</b>		<b>23,803.85</b>		<b>23,661.52</b>		<b>142.33</b>	
PUT CVNA 11/06/20	170	CARVANA COMPANY   CUSIP:   Symbol: CVNA201106P00170000					
11/02/2020	1.00	274.69	10/22/2020	0.00	0.00	274.69	Buy to Close
CALL AMC 01/15/21	5	AMC ENTERTAINMENT HOLDINGS INC   CUSIP:   Symbol: AMC210115C00005000					
11/09/2020	3.00	164.57	Various	88.42	0.00	76.15	Sell to Close
12/03/2020	1.00	41.84	11/24/2020	79.14	0.00	-37.30	Sell to Close
<b>Security Totals:</b>		<b>206.41</b>		<b>167.56</b>		<b>38.85</b>	
CALL NIO 12/04/20	51	NIO INC ADS   CUSIP:   Symbol: NIO201204C00051000					
12/01/2020	1.00	-0.30	12/01/2020	0.00	0.00	-0.30	Buy to Close
CALL ZM 10/09/20	510	ZOOM VIDEO COMMUNICATIONS INC   CUSIP:   Symbol: ZM201009C00510000					
10/09/2020	1.00	0.00	10/09/2020	136.14	0.00	-136.14	Expiration
PUT ETSY 08/07/20	109	ETSY INC   CUSIP:   Symbol: ETSY200807P00109000					
	3.00	320.57	08/07/2020	0.00	0.00	320.57	Expiration
CALL AMZN 03/19/21	3310	AMAZON.COM INC   CUSIP:   Symbol: AMZN210319C03310000					
12/28/2020	1.00	-1,033.68	12/23/2020	0.00	1033.68 D	0.00	Buy to Close
12/28/2020	1.00	-2,065.37	12/23/2020	0.00	2065.37 D	0.00	Buy to Close
<b>Security Totals:</b>		<b>-3,099.05</b>		<b>0.00</b>		<b>0.00</b>	
CALL PRPL 01/15/21	40	PURPLE INNOVATION INC   CUSIP:   Symbol: PRPL210115C00040000					
11/23/2020	1.00	45.84	11/23/2020	58.14	0.00	-12.30	Sell to Close

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APEX CLEARING

Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B\*

OMB No. 1545-0715

5WU95787

(continued)

02/23/2021

SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

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

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

Box 5: Box Not Checked (Covered Security)

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

Box 12: Basis Reported to the IRS

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1a - Description of property | CUSIP | Symbol

1c - Date Sold or Disposed	Quantity	1d - Proceeds	1b - Date Acquired	1e - Cost or Other Basis	1f - Accrued Market Discount (M) & 1g - Wash Sale Loss Disallowed (D)	Gain or Loss (-)	Additional Notes
SNOWFLAKE INC CLASS A COMMON STOCK   CUSIP: 833445109   Symbol: SNOW							
09/16/2020	1.00	279.98	09/16/2020	290.04	10.06 D	0.00	Sale
09/29/2020	10.00	2,574.93	Various	2,550.06	0.00	24.87	Sale
12/03/2020	2.00	660.65	12/02/2020	561.22	0.00	99.43	Sale
12/03/2020	5.00	1,529.95	12/02/2020	1,403.05	0.00	126.90	Sale
12/03/2020	3.00	977.95	12/02/2020	841.83	0.00	136.12	Sale
12/11/2020	10.00	3,517.01	12/11/2020	3,622.10	105.09 D	0.00	Sale
12/16/2020	10.00	3,332.31	12/14/2020	3,320.00	0.00	12.31	Buy to Cover Short
<b>Security Totals:</b>		<b>12,872.78</b>		<b>12,588.30</b>		<b>399.63</b>	
SUMO LOGIC INC COMMON STOCK   CUSIP: 86646P103   Symbol: SUMO							
11/25/2020	100.00	2,162.81	11/23/2020	2,157.08	0.00	5.73	Sale
CALL SPCE 01/21/22 25 VIRGIN GALACTIC HOLDINGS INC   CUSIP:   Symbol: SPCE220121C00025000							
12/24/2020	1.00	994.82	12/15/2020	966.14	0.00	28.68	Sell to Close
EXP WORLD HOLDINGS INC COMMON STOCK   CUSIP: 30212W100   Symbol: EXPI							
10/07/2020	10.00	529.77	10/06/2020	526.80	0.00	2.97	Sale
PUT WORK 08/21/20 29 SLACK TECHNOLOGIES INC CL A   CUSIP:   Symbol: WORK200821P00029000							
07/08/2020	1.00	92.84	07/06/2020	144.14	0.00	-51.30	Sell to Close
PUT CVNA 11/06/20 165 CARVANA COMPANY   CUSIP:   Symbol: CVNA201106P00165000							
11/06/2020	1.00	0.00	10/21/2020	531.14	0.00	-531.14	Expiration
CALL ZM 11/06/20 520 ZOOM VIDEO COMMUNICATIONS INC   CUSIP:   Symbol: ZM201106C00520000							
11/06/2020	1.00	49.84	11/06/2020	84.14	0.00	-34.30	Sell to Close
CALL SPY 10/28/20 339 STANDARD & POORS DEPOSITORY   CUSIP:   Symbol: SPY201028C00339000							
10/27/2020	1.00	225.84	10/27/2020	201.14	0.00	24.70	Sell to Close
CALL SPY 10/28/20 331 STANDARD & POORS DEPOSITORY   CUSIP:   Symbol: SPY201028C00331000							
10/28/2020	1.00	28.84	10/28/2020	67.44	38.6 D	0.00	Sell to Close C
10/28/2020	1.00	26.84	10/28/2020	65.74	38.9 D	0.00	Sell to Close C
10/28/2020	1.00	16.85	10/28/2020	76.34	0.00	-59.49	Sell to Close C
10/28/2020	1.00	74.84	10/28/2020	105.14	30.3 D	0.00	Sell to Close C
10/28/2020	1.00	24.84	10/28/2020	76.04	51.2 D	0.00	Sell to Close C
<b>Security Totals:</b>		<b>172.21</b>		<b>390.70</b>		<b>-59.49</b>	

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APEX CLEARING

## Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B\*

OMB No. 1545-0715

5WU95787

(continued)

02/23/2021

**SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS**

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

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

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CALL NIO 11/20/20 43							
NIO INC ADS   CUSIP:   Symbol: NIO201120C00043000							
11/13/2020	1.00	449.84	11/13/2020	471.14	0.00	-21.30	Sell to Close
***ITERUM THERAPEUTICS PLC ORDINARY SHARE   CUSIP: G6333L101   Symbol: ITRM							
12/03/2020	250.00	259.76	11/24/2020	190.20	0.00	69.56	Sale
12/03/2020	250.00	224.94	11/24/2020	190.20	0.00	34.74	Sale
<b>Security Totals:</b>		<b>484.70</b>		<b>380.40</b>		<b>104.30</b>	
PUT ZM 09/18/20 200							
ZOOM VIDEO COMMUNICATIONS INC   CUSIP:   Symbol: ZM200918P00200000							
07/31/2020	2.00	423.40	07/24/2020	0.00	0.00	423.40	Buy to Close
CALL CLSK 01/15/21 15							
CLEANSPARK INC   CUSIP:   Symbol: CLSK210115C00015000							
12/01/2020	1.00	154.84	11/25/2020	161.14	0.00	-6.30	Sell to Close
CALL ZM 10/02/20 600							
ZOOM VIDEO COMMUNICATIONS INC   CUSIP:   Symbol: ZM201002C00600000							
09/28/2020	1.00	49.84	09/28/2020	162.14	112.3 D	0.00	Sell to Close
09/28/2020	1.00	54.84	09/28/2020	253.44	0.00	-198.60	Sell to Close
09/28/2020	1.00	169.84	09/28/2020	134.14	0.00	35.70	Sell to Close
<b>Security Totals:</b>		<b>274.52</b>		<b>549.72</b>		<b>-162.90</b>	
PUT SNOW 12/04/20 320							
SNOWFLAKE INC CLASS A   CUSIP:   Symbol: SNOW201204P00320000							
11/30/2020	1.00	-382.34	11/30/2020	0.00	0.00	-382.34	Buy to Close
MICRON TECHNOLOGY INC   CUSIP: 595112103   Symbol: MU							
10/12/2020	10.00	503.37	09/18/2020	510.00	0.00	-6.63	Sale
CALL W 11/27/20 270							
WAYFAIR INC   CUSIP:   Symbol: W201127C00270000							
11/27/2020	1.00	36.84	11/24/2020	46.14	0.00	-9.30	Sell to Close
PUT WORK 08/21/20 31							
SLACK TECHNOLOGIES INC CL A   CUSIP:   Symbol: WORK200821P00031000							
07/08/2020	1.00	66.71	07/06/2020	0.00	0.00	66.71	Buy to Close
ACCURAY INCORPORATED   CUSIP: 004397105   Symbol: ARAY							
11/13/2020	100.00	392.08	11/12/2020	388.97	0.00	3.11	Sale
***JIAYIN GROUP INC AMERICAN DEPOSITARY SHARES   CUSIP: 47737C104   Symbol: JFIN							
12/02/2020	110.00	366.20	Various	481.88	0.00	-115.68	Sale
CALL BA 09/04/20 200							
BOEING CO   CUSIP:   Symbol: BA200904C00200000							
09/03/2020	2.00	13.69	07/31/2020	443.28	0.00	-429.59	Sell to Close
CALL MSFT 12/11/20 215							
MICROSOFT CORP   CUSIP:   Symbol: MSFT201211C00215000							
12/08/2020	2.00	271.71	12/08/2020	256.27	0.00	15.44	Sell to Close

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APEX CLEARING

## Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B\*

OMB No. 1545-0715

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(continued)

02/23/2021

**SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS**

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

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CALL X 01/15/21 19	UNITED STATES STL CORP NEW   CUSIP:   Symbol: X210115C00019000						
12/14/2020	1.00	95.84	12/07/2020	113.14	0.00	-17.30	Sell to Close
PUT SPY 08/21/20 309	STANDARD & POORS DEPOSITORY   CUSIP:   Symbol: SPY200821P00309000						
07/10/2020	2.00	481.39	07/02/2020	0.00	0.00	481.39	Buy to Close
CALL ARKK 01/15/21 140	ARK ETF TR ARK INNOVATION ETF   CUSIP:   Symbol: ARKK210115C00140000						
12/07/2020	1.00	104.84	12/04/2020	71.14	0.00	33.70	Sell to Close
CALL NFLX 12/04/20 500	NETFLIX INC   CUSIP:   Symbol: NFLX201204C00500000						
11/24/2020	1.00	459.84	11/24/2020	461.14	0.00	-1.30	Sell to Close
PUT NVDA 09/18/20 425	NVIDIA CORP   CUSIP:   Symbol: NVDA200918P00425000						
09/11/2020	1.00	321.70	09/08/2020	0.00	0.00	321.70	Buy to Close
MSCI INC   CUSIP: 55354G100   Symbol: MSCI							
09/08/2020	5.00	1,689.95	09/04/2020	1,741.10	0.00	-51.15	Sale
CALL ZM 10/09/20 610	ZOOM VIDEO COMMUNICATIONS INC   CUSIP:   Symbol: ZM201009C00610000						
09/25/2020	1.00	254.84	09/24/2020	182.14	0.00	72.70	Sell to Close
DIGITAL TURBINE INC	COM NEW   CUSIP: 25400W102   Symbol: APPS						
09/23/2020	100.00	3,339.83	09/18/2020	3,298.07	0.00	41.76	Sale
09/23/2020	30.00	1,019.94	Various	969.00	0.00	50.94	Sale
<b>Security Totals:</b>		<b>4,359.77</b>		<b>4,267.07</b>		<b>92.70</b>	
CALL NIO 12/04/20 47	NIO INC ADS   CUSIP:   Symbol: NIO201204C00047000						
12/02/2020	1.00	168.84	12/02/2020	197.14	0.00	-28.30	Sell to Close
CALL NIO 12/04/20 46	NIO INC ADS   CUSIP:   Symbol: NIO201204C00046000						
12/02/2020	1.00	215.84	12/02/2020	223.44	0.00	-7.60	Sell to Close
12/02/2020	1.00	172.84	12/02/2020	212.14	39.3 D	0.00	Sell to Close
<b>Security Totals:</b>		<b>388.68</b>		<b>435.58</b>		<b>-7.60</b>	
PUT ROKU 10/30/20 190	ROKU INC   CUSIP:   Symbol: ROKU201030P00190000						
10/16/2020	1.00	5.71	10/15/2020	0.00	0.00	5.71	Buy to Close C
***BILIBILI INC	AMERICAN DEPOSITARY SHARES   CUSIP: 090040106   Symbol: BILI						
11/06/2020	100.00	4,863.81	11/06/2020	4,641.00	0.00	222.81	Sale
11/06/2020	100.00	4,749.80	11/06/2020	4,595.08	0.00	154.72	Sale
<b>Security Totals:</b>		<b>9,613.61</b>		<b>9,236.08</b>		<b>377.53</b>	

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APEX CLEARING

## Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B\*

OMB No. 1545-0715

5WU95787

(continued)

02/23/2021

**SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS**

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

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

1c - Date Sold or Disposed	Quantity	1d - Proceeds	1b - Date Acquired	1e - Cost or Other Basis	1f - Accrued Market Discount (M) & 1g - Wash Sale Loss Disallowed (D)	Gain or Loss (-)	Additional Notes
CALL CRSP 10/30/20	102	CRISPR THERAPEUTICS AG   CUSIP:   Symbol: CRSP201030C00102000					
10/16/2020	1.00	799.83	10/14/2020	601.14	0.00	198.69	Sell to Close C
CALL FUV 01/15/21	12.50	ARCIMOTO INC   CUSIP:   Symbol: FUV210115C00012500					
12/14/2020	1.00	179.84	12/11/2020	241.14	0.00	-61.30	Sell to Close
CALL LOW 08/21/20	172.50	LOWES COMPANIES INC   CUSIP:   Symbol: LOW200821C00172500					
08/19/2020	2.00	16.69	08/18/2020	94.27	0.00	-77.58	Sell to Close
CALL TTD 01/08/21	860	TRADE DESK INC CLASS A   CUSIP:   Symbol: TTD210108C00860000					
11/30/2020	1.00	-1,542.41	11/25/2020	0.00	0.00	-1,542.41	Buy to Close
CALL MSFT 10/02/20	210	MICROSOFT CORP   CUSIP:   Symbol: MSFT201002C00210000					
09/25/2020	1.00	219.84	09/25/2020	131.14	0.00	88.70	Sell to Close
09/25/2020	1.00	174.85	09/24/2020	171.14	0.00	3.71	Sell to Close
<b>Security Totals:</b>		<b>394.69</b>		<b>302.28</b>		<b>92.41</b>	
PUT OSTK 10/30/20	60	OVERSTOCK.COM INC   CUSIP:   Symbol: OSTK201030P00060000					
10/19/2020	1.00	3.70	10/19/2020	0.00	0.00	3.70	Buy to Close C
CALL NKE 09/25/20	126	NIKE INC CLASS B   CUSIP:   Symbol: NKE200925C00126000					
09/24/2020	1.00	116.84	09/22/2020	51.14	0.00	65.70	Sell to Close
CALL LOW 08/21/20	167.50	LOWES COMPANIES INC   CUSIP:   Symbol: LOW200821C00167500					
08/19/2020	1.00	29.84	08/18/2020	91.14	0.00	-61.30	Sell to Close
PUT GSX 09/18/20	45	GSX TECHEDU INC ADS   CUSIP:   Symbol: GSX200918P00045000					
09/02/2020	1.00	2.70	09/01/2020	0.00	0.00	2.70	Buy to Close
PUT TSLA 10/30/20	425	TESLA INC   CUSIP:   Symbol: TSLA201030P00425000					
09/22/2020	1.00	6,701.70	09/17/2020	7,315.14	0.00	-613.44	Sell to Close
CALL BIDU 01/15/21	185	BAIDU INC   CUSIP:   Symbol: BIDU210115C00185000					
11/20/2020	2.00	69.72	Various	108.28	0.00	-38.56	Sell to Close
CALL ZM 12/04/20	450	ZOOM VIDEO COMMUNICATIONS INC   CUSIP:   Symbol: ZM201204C00450000					
12/02/2020	1.00	261.84	12/02/2020	186.14	0.00	75.70	Sell to Close
12/02/2020	1.00	349.84	12/02/2020	371.14	0.00	-21.30	Sell to Close
<b>Security Totals:</b>		<b>611.68</b>		<b>557.28</b>		<b>54.40</b>	
CALL BABA 01/15/21	310	ALIBABA GROUP HOLDING LIMITED   CUSIP:   Symbol: BABA210115C00310000					
11/13/2020	1.00	374.84	11/13/2020	381.14	0.00	-6.30	Sell to Close

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**SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS**

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

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

**Box 5:** Box Not Checked (Covered Security)

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

**Box 12:** Basis Reported to the IRS

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

1c - Date Sold or Disposed	Quantity	1d - Proceeds	1b - Date Acquired	1e - Cost or Other Basis	1f - Accrued Market Discount (M) & 1g - Wash Sale Loss Disallowed (D)	Gain or Loss (-)	Additional Notes
PUT CARG 12/18/20 20 CARGURUS INC CLASS A   CUSIP:   Symbol: CARG201218P00020000							
10/27/2020	1.00	181.84	10/22/2020	191.14	0.00	-9.30	Sell to Close
CALL NIO 11/27/20 50 NIO INC ADS   CUSIP:   Symbol: NIO201127C00050000							
11/20/2020	1.00	319.84	11/19/2020	212.14	0.00	107.70	Sell to Close
PUT SPY 08/21/20 308 STANDARD & POORS DEPOSITORY   CUSIP:   Symbol: SPY200821P00308000							
07/10/2020	2.00	1,433.67	07/02/2020	1,914.28	0.00	-480.61	Sell to Close
CALL ZM 09/25/20 580 ZOOM VIDEO COMMUNICATIONS INC   CUSIP:   Symbol: ZM200925C00580000							
09/21/2020	2.00	79.69	09/21/2020	136.27	0.00	-56.58	Sell to Close
CALL DKNG 11/20/20 46 DRAFTKINGS INC CL A   CUSIP:   Symbol: DKNG201120C00046000							
11/17/2020	1.00	154.84	11/17/2020	153.14	0.00	1.70	Sell to Close
11/17/2020	1.00	130.84	11/17/2020	111.14	0.00	19.70	Sell to Close
<b>Security Totals:</b>		<b>285.68</b>		<b>264.28</b>		<b>21.40</b>	
BRIGHTCOVE INC COM   CUSIP: 10921T101   Symbol: BCOV							
11/18/2020	100.00	1,295.88	10/23/2020	1,399.73	0.00	-103.85	Sale
PUT CVX 08/21/20 87 CHEVRON CORPORATION   CUSIP:   Symbol: CVX200821P00087000							
07/24/2020	1.00	60.70	07/21/2020	0.00	0.00	60.70	Buy to Close
PUT AMZN 07/17/20 2570 AMAZON.COM INC   CUSIP:   Symbol: AMZN200717P02570000							
07/14/2020	5.00	319.29	07/14/2020	860.69	0.00	-541.40	Sell to Close
CALL WMT 11/20/20 170 WALMART INC   CUSIP:   Symbol: WMT201120C00170000							
10/12/2020	1.00	43.84	10/01/2020	77.14	0.00	-33.30	Sell to Close
PUT GSX 07/17/20 40 GSX TECHEDU INC ADS   CUSIP:   Symbol: GSX200717P00040000							
07/17/2020	5.00	0.00	07/06/2020	740.70	0.00	-740.70	Expiration
CALL IWM 08/21/20 149 ISHARES RUSSELL 2000 ETF   CUSIP:   Symbol: IWM200821C00149000							
07/07/2020	1.00	346.85	07/06/2020	425.14	0.00	-78.29	Sell to Close
PUT FB 08/07/20 200 FACEBOOK INC CL A   CUSIP:   Symbol: FB200807P00200000							
08/06/2020	2.00	1.69	07/30/2020	114.28	0.00	-112.59	Sell to Close
NOVUS CAPITAL CORPORATION COMMON STOCK   CUSIP: 67012U108   Symbol: NOVUS							
12/01/2020	100.00	1,318.88	11/30/2020	1,317.08	0.00	1.80	Sale
PUT EHTH 08/21/20 60 EHEALTH INC   CUSIP:   Symbol: EHTH200821P00060000							
	3.00	188.56	08/21/2020	0.00	0.00	188.56	Expiration

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APEX CLEARING

## Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B\*

OMB No. 1545-0715

5WU95787

(continued)

02/23/2021

**SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS**

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

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

1c - Date Sold or Disposed	Quantity	1d - Proceeds	1b - Date Acquired	1e - Cost or Other Basis	1f - Accrued Market Discount (M) & 1g - Wash Sale Loss Disallowed (D)	Gain or Loss (-)	Additional Notes
CALL FDX 12/04/20	300	FEDEX CORP   CUSIP:   Symbol: FDX201204C00300000					
12/04/2020	1.00	0.00	12/02/2020	101.14	0.00	-101.14	Expiration
RIOT BLOCKCHAIN INC	COMMON STOCK   CUSIP: 767292105   Symbol: RIOT						
10/20/2020	100.00	363.29	10/20/2020	361.08	0.00	2.21	Sale
11/20/2020	100.00	598.89	11/20/2020	596.97	0.00	1.92	Sale
<b>Security Totals:</b>		<b>962.18</b>		<b>958.05</b>		<b>4.13</b>	
CALL AAL 10/23/20	13.50	AMERICAN AIRLINES GROUP INC   CUSIP:   Symbol: AAL201023C00013500					
10/23/2020	1.00	0.00	10/16/2020	17.14	0.00	-17.14	Expiration
PUT SNOW 12/04/20	315	SNOWFLAKE INC CLASS A   CUSIP:   Symbol: SNOW201204P00315000					
11/30/2020	1.00	2,316.79	11/30/2020	1,956.14	0.00	360.65	Sell to Close
PUT TSLA 10/09/20	367.50	TESLA INC   CUSIP:   Symbol: TSLA201009P00367500					
10/06/2020	1.00	41.70	10/06/2020	0.00	0.00	41.70	Buy to Close
CALL TSLA 07/24/20	2000	TESLA INC   CUSIP:   Symbol: TSLA200724C02000000					
07/23/2020	1.00	79.84	07/22/2020	1,367.14	0.00	-1,287.30	Sell to Close
***VIVOPOWER INTERNATIONAL PLC ORDINARY SHARES   CUSIP: G9376R100   Symbol: VVPR							
11/20/2020	100.00	1,009.87	11/19/2020	948.08	0.00	61.79	Sale
12/02/2020	100.00	946.88	12/02/2020	968.08	0.00	-21.20	Sale
<b>Security Totals:</b>		<b>1,956.75</b>		<b>1,916.16</b>		<b>40.59</b>	
CALL CRM 11/27/20	260	SALESFORCE.COM INC   CUSIP:   Symbol: CRM201127C00260000					
11/25/2020	1.00	83.84	11/25/2020	130.14	0.00	-46.30	Sell to Close
CALL AMD 08/14/20	85	ADVANCED MICRO DEVICES INC   CUSIP:   Symbol: AMD200814C00085000					
08/04/2020	1.00	-251.30	07/28/2020	0.00	0.00	-251.30	Buy to Close
CALL BA 10/09/20	180	BOEING CO   CUSIP:   Symbol: BA201009C00180000					
09/30/2020	1.00	254.84	09/30/2020	218.14	0.00	36.70	Sell to Close
CALL FSLY 11/13/20	76.50	FASTLY INC CLASS A   CUSIP:   Symbol: FSLY201113C00076500					
11/13/2020	1.00	-184.30	11/11/2020	0.00	0.00	-184.30	Buy to Close
CALL MSFT 07/31/20	222.50	MICROSOFT CORP   CUSIP:   Symbol: MSFT200731C00222500					
07/24/2020	4.00	131.41	07/23/2020	260.56	0.00	-129.15	Sell to Close
CALL FDX 12/04/20	302.50	FEDEX CORP   CUSIP:   Symbol: FDX201204C00302500					
12/02/2020	1.00	41.85	12/02/2020	60.14	0.00	-18.29	Sell to Close

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APEX CLEARING

## Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B\*

OMB No. 1545-0715

5WU95787

(continued)

02/23/2021

**SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS**

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

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1c - Date Sold or Disposed	Quantity	1d - Proceeds	1b - Date Acquired	1e - Cost or Other Basis	1f - Accrued Market Discount (M) & 1g - Wash Sale Loss Disallowed (D)	Gain or Loss (-)	Additional Notes
***KINGSOFT CLOUD HOLDINGS LIMITED AMERICAN DEPOSITARY SHARES   CUSIP: 49639K101   Symbol: KC							
09/17/2020	100.00	3,841.82	09/16/2020	3,845.08	0.00	-3.26	Sale
CALL WYNN 12/18/20 115 WYNN RESORTS LIMITED   CUSIP:   Symbol: WYNN201218C00115000							
12/16/2020	1.00	160.85	12/16/2020	120.14	0.00	40.71	Sell to Close
SMILEDIRECTCLUB INC CLASS A COMMON STOCK   CUSIP: 83192H106   Symbol: SDC							
11/23/2020	100.00	1,243.27	11/23/2020	1,197.07	0.00	46.20	Sale
PUT ZM 10/02/20 420 ZOOM VIDEO COMMUNICATIONS INC   CUSIP:   Symbol: ZM201002P00420000							
09/29/2020	1.00	-1.30	09/28/2020	0.00	1.3 D	0.00	Buy to Close
09/30/2020	1.00	14.40	09/29/2020	0.00	0.00	14.40	Buy to Close
<b>Security Totals:</b>		<b>13.10</b>		<b>0.00</b>		<b>14.40</b>	
PUT PLTR 12/24/20 24 PALANTIR TECHNOLOGIES INC CL A   CUSIP:   Symbol: PLTR201224P00024000							
12/21/2020	4.00	99.44	12/21/2020	112.54	0.00	-13.10	Sell to Close
CALL ATVI 10/30/20 78.50 ACTIVISION BLIZZARD INC   CUSIP:   Symbol: ATVI201030C00078500							
10/30/2020	1.00	0.00	10/29/2020	180.14	0.00	-180.14	Expiration C
URBAN ONE INC CLASS A COMMON STOCK   CUSIP: 91705J105   Symbol: UONE							
10/22/2020	100.00	594.89	10/22/2020	577.08	0.00	17.81	Sale
10/23/2020	100.00	535.89	10/22/2020	594.86	0.00	-58.97	Sale
<b>Security Totals:</b>		<b>1,130.78</b>		<b>1,171.94</b>		<b>-41.16</b>	
REALOGY HOLDINGS CORP COM   CUSIP: 75605Y106   Symbol: RLG							
08/26/2020	10.00	114.08	08/26/2020	118.10	0.00	-4.02	Sale
10/09/2020	10.00	110.98	10/07/2020	110.70	0.00	0.28	Sale
<b>Security Totals:</b>		<b>225.06</b>		<b>228.80</b>		<b>-3.74</b>	
CALL AMZN 01/15/21 4500 AMAZON.COM INC   CUSIP:   Symbol: AMZN210115C04500000							
12/21/2020	1.00	178.84	12/21/2020	196.14	0.00	-17.30	Sell to Close
PUT MSFT 08/21/20 170 MICROSOFT CORP   CUSIP:   Symbol: MSFT200821P00170000							
07/20/2020	10.00	539.56	07/08/2020	891.39	0.00	-351.83	Sell to Close
PUT NIO 12/18/20 40 NIO INC ADS   CUSIP:   Symbol: NIO201218P00040000							
11/13/2020	1.00	489.83	11/13/2020	516.14	0.00	-26.31	Sell to Close
11/13/2020	1.00	479.83	11/13/2020	356.14	0.00	123.69	Sell to Close
<b>Security Totals:</b>		<b>969.66</b>		<b>872.28</b>		<b>97.38</b>	

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APEX CLEARING

## Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B\*

OMB No. 1545-0715

5WU95787

(continued)

02/23/2021

**SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS**

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

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

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PUT NIO 12/18/20	39	NIO INC ADS   CUSIP:   Symbol: NIO201218P00039000					
11/13/2020	1.00	484.84	11/13/2020	446.14	0.00	38.70	Sell to Close
PUT PTON 09/18/20	78	PELTON INTERACTIVE INC CL A   CUSIP:   Symbol: PTON200918P00078000					
09/11/2020	1.00	279.70	09/10/2020	0.00	0.00	279.70	Buy to Close
CALL NFLX 07/31/20	590	NETFLIX INC   CUSIP:   Symbol: NFLX200731C00590000					
	5.00	484.26	07/31/2020	0.00	0.00	484.26	Expiration
CALL CFRX 01/15/21	7.50	CONTRAFECT CORPORATION   CUSIP:   Symbol: CFRX210115C00007500					
12/01/2020	1.00	44.84	11/24/2020	44.14	0.00	0.70	Sell to Close
PUT AMZN 10/30/20	2970	AMAZON.COM INC   CUSIP:   Symbol: AMZN201030P02970000					
10/30/2020	1.00	222.84	10/30/2020	174.14	0.00	48.70	Sell to Close
10/30/2020	1.00	96.84	10/30/2020	270.14	0.00	-173.30	Sell to Close
<b>Security Totals:</b>		<b>319.68</b>		<b>444.28</b>		<b>-124.60</b>	
CALL SNOW 12/04/20	325	SNOWFLAKE INC CLASS A   CUSIP:   Symbol: SNOW201204C00325000					
11/16/2020	1.00	169.84	11/13/2020	163.14	0.00	6.70	Sell to Close
11/17/2020	1.00	274.84	11/17/2020	311.14	0.00	-36.30	Sell to Close
<b>Security Totals:</b>		<b>444.68</b>		<b>474.28</b>		<b>-29.60</b>	
CALL CRSR 01/15/21	40	CORSAIR GAMING INC   CUSIP:   Symbol: CRSR210115C00040000					
12/24/2020	1.00	-3.30	12/24/2020	0.00	3.3 D	0.00	Buy to Close
CALL NFLX 12/11/20	540	NETFLIX INC   CUSIP:   Symbol: NFLX201211C00540000					
12/08/2020	1.00	110.84	12/08/2020	242.42	0.00	-131.58	Sell to Close
12/08/2020	2.00	317.72	Various	477.28	159.56 D	0.00	Sell to Close
12/11/2020	1.00	2.85	12/08/2020	190.42	0.00	-187.57	Sell to Close
<b>Security Totals:</b>		<b>431.41</b>		<b>910.12</b>		<b>-319.15</b>	
CALL BABA 01/15/21	250	ALIBABA GROUP HOLDING LIMITED   CUSIP:   Symbol: BABA210115C00250000					
12/28/2020	1.00	205.84	12/24/2020	316.14	0.00	-110.30	Sell to Close
PUT AAL 10/23/20	10	AMERICAN AIRLINES GROUP INC   CUSIP:   Symbol: AAL201023P00010000					
10/23/2020	1.00	0.00	10/05/2020	13.14	0.00	-13.14	Expiration
NIKOLA CORPORATION		COMMON STOCK   CUSIP: 654110105   Symbol: NKLA					
12/02/2020	50.00	942.92	12/02/2020	937.04	0.00	5.88	Sale

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APEX CLEARING

## Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B\*

OMB No. 1545-0715

5WU95787

(continued)

02/23/2021

**SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS**

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

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1c - Date Sold or Disposed	Quantity	1d - Proceeds	1b - Date Acquired	1e - Cost or Other Basis	1f - Accrued Market Discount (M) & 1g - Wash Sale Loss Disallowed (D)	Gain or Loss (-)	Additional Notes
NIKOLA CORPORATION COMMON STOCK   CUSIP: 654110105   Symbol: NKLA							
12/02/2020	50.00	927.42	12/02/2020	937.04	0.00	-9.62	Sale
<b>Security Totals:</b>		<b>1,870.34</b>		<b>1,874.08</b>		<b>-3.74</b>	
PUT NVDA 09/11/20 485 NVIDIA CORP   CUSIP:   Symbol: NVDA200911P00485000							
09/09/2020	3.00	131.16	08/31/2020	0.00	0.00	131.16	Buy to Close
09/10/2020	1.00	142.72	08/31/2020	0.00	0.00	142.72	Buy to Close
<b>Security Totals:</b>		<b>273.88</b>		<b>0.00</b>		<b>273.88</b>	
CALL AAL 06/18/21 30 AMERICAN AIRLINES GROUP INC   CUSIP:   Symbol: AAL210618C00030000							
12/14/2020	1.00	119.84	12/10/2020	149.14	0.00	-29.30	Sell to Close
CALL KSS 09/25/20 25 KOHLS CORP   CUSIP:   Symbol: KSS200925C00025000							
09/21/2020	1.00	4.70	09/21/2020	0.00	0.00	4.70	Buy to Close
PUT LULU 09/25/20 310 LULULEMON ATHLETICA INC   CUSIP:   Symbol: LULU200925P00310000							
09/15/2020	1.00	516.83	09/09/2020	815.14	0.00	-298.31	Sell to Close
PUT GDXJ 08/21/20 49 VANECK VECTORS JUNIOR GLD MNRS   CUSIP:   Symbol: GDXJ200821P00049000							
07/08/2020	1.00	191.84	07/06/2020	305.14	0.00	-113.30	Sell to Close
PUT FSLY 08/07/20 55 FASTLY INC CLASS A   CUSIP:   Symbol: FSLY200807P00055000							
	3.00	233.55	08/07/2020	0.00	0.00	233.55	Expiration
CALL AMZN 10/30/20 3750 AMAZON.COM INC   CUSIP:   Symbol: AMZN201030C03750000							
10/29/2020	1.00	86.84	10/29/2020	100.14	0.00	-13.30	Sell to Close
PUT NFLX 10/09/20 390 NETFLIX INC   CUSIP:   Symbol: NFLX201009P00390000							
10/09/2020	1.00	0.00	09/29/2020	38.14	0.00	-38.14	Expiration
CALL NVDA 09/18/20 520 NVIDIA CORP   CUSIP:   Symbol: NVDA200918C00520000							
08/04/2020	1.00	876.83	07/21/2020	519.14	0.00	357.69	Sell to Close
CALL NFLX 09/04/20 620 NETFLIX INC   CUSIP:   Symbol: NFLX200904C00620000							
	1.00	30.84	09/04/2020	0.00	0.00	30.84	Expiration
PUT QS 01/15/21 65 QUANTUMSCAPE CORPORATION CL A   CUSIP:   Symbol: QS210115P00065000							
12/30/2020	1.00	-1.30	12/30/2020	0.00	0.00	-1.30	Buy to Close
PUT BA 08/21/20 145 BOEING CO   CUSIP:   Symbol: BA200821P00145000							
08/13/2020	2.00	31.71	08/07/2020	80.27	0.00	-48.56	Sell to Close
CALL AMZN 12/11/20 3120 AMAZON.COM INC   CUSIP:   Symbol: AMZN201211C03120000							
12/11/2020	1.00	319.84	12/11/2020	386.14	0.00	-66.30	Sell to Close

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APEX CLEARING

## Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B\*

OMB No. 1545-0715

5WU95787

(continued)

02/23/2021

**SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS**

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

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

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PUT IBM 08/21/20 115 INTL BUSINESS MACHINE   CUSIP:   Symbol: IBM200821P00115000							
07/10/2020	1.00	33.69	07/10/2020	0.00	0.00	33.69	Buy to Close
CALL AMZN 12/11/20 3115 AMAZON.COM INC   CUSIP:   Symbol: AMZN201211C03115000							
11/27/2020	1.00	13,035.56	11/24/2020	7,937.14	0.00	5,098.42	Sell to Close
12/11/2020	1.00	282.84	12/11/2020	799.02	516.18 D	0.00	Sell to Close
12/11/2020	1.00	235.85	12/11/2020	646.14	410.29 D	0.00	Sell to Close
12/11/2020	1.00	389.84	12/11/2020	847.72	457.88 D	0.00	Sell to Close
12/11/2020	1.00	399.85	12/11/2020	896.43	496.58 D	0.00	Sell to Close
12/11/2020	1.00	374.85	12/11/2020	767.32	0.00	-392.47	Sell to Close
<b>Security Totals:</b>		<b>14,718.79</b>		<b>11,893.77</b>		<b>4,705.95</b>	
PUT FSLY 07/24/20 76 FASTLY INC CLASS A   CUSIP:   Symbol: FSLY200724P00076000							
07/24/2020	1.00	66.85	07/22/2020	38.14	0.00	28.71	Sell to Close
PUT SPY 11/13/20 353 STANDARD & POORS DEPOSITORY   CUSIP:   Symbol: SPY201113P00353000							
11/12/2020	1.00	221.85	11/12/2020	149.14	0.00	72.71	Sell to Close
CALL NVDA 10/02/20 545 NVIDIA CORP   CUSIP:   Symbol: NVDA201002C00545000							
10/02/2020	1.00	181.84	10/02/2020	140.14	0.00	41.70	Sell to Close
CALL SPLK 01/15/21 190 SPLUNK INC   CUSIP:   Symbol: SPLK210115C00190000							
12/23/2020	1.00	394.84	12/23/2020	451.14	0.00	-56.30	Sell to Close
WTS AIR T INC AIR T FUNDING WARRANTS   CUSIP: 00919P112   Symbol: AIRTW							
12/28/2020	1,000.00	269.20	12/24/2020	610.80	0.00	-341.60	Sale
PUT NIO 11/20/20 37.50 NIO INC ADS   CUSIP:   Symbol: NIO201120P00037500							
11/19/2020	1.00	4.84	11/17/2020	101.14	0.00	-96.30	Sell to Close
GEVO INC COMMON STOCK   CUSIP: 374396406   Symbol: GEVO							
11/24/2020	500.00	1,194.51	11/23/2020	1,008.95	0.00	185.56	Sale
CALL AMZN 12/11/20 3110 AMAZON.COM INC   CUSIP:   Symbol: AMZN201211C03110000							
12/11/2020	1.00	504.83	12/11/2020	406.14	0.00	98.69	Sell to Close
12/11/2020	1.00	349.84	12/11/2020	271.14	0.00	78.70	Sell to Close
12/11/2020	1.00	729.84	12/11/2020	366.14	0.00	363.70	Sell to Close
<b>Security Totals:</b>		<b>1,584.51</b>		<b>1,043.42</b>		<b>541.09</b>	

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APEX CLEARING

## Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B\*

OMB No. 1545-0715

5WU95787

(continued)

02/23/2021

**SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS**

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

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

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PUT LI 11/20/20 30 LI AUTO INC ADS   CUSIP:   Symbol: LI201120P00030000							
11/13/2020	1.00	239.84	11/13/2020	142.14	0.00	97.70	Sell to Close
11/13/2020	1.00	214.84	11/13/2020	177.14	0.00	37.70	Sell to Close
<b>Security Totals:</b>		<b>454.68</b>		<b>319.28</b>		<b>135.40</b>	
PLUG POWER INC   CUSIP: 72919P202   Symbol: PLUG							
11/12/2020	50.00	1,172.95	11/06/2020	935.04	0.00	237.91	Sale
11/20/2020	40.00	973.15	11/06/2020	748.03	0.00	225.12	Sale
11/24/2020	10.00	271.49	11/06/2020	187.01	0.00	84.48	Sale
12/15/2020	80.00	2,320.67	12/15/2020	2,258.25	0.00	62.42	Sale
12/15/2020	20.00	576.39	12/15/2020	564.56	0.00	11.83	Sale
12/16/2020	100.00	2,759.83	12/16/2020	2,772.08	12.25 D	0.00	Sale
<b>Security Totals:</b>		<b>8,074.48</b>		<b>7,464.97</b>		<b>621.76</b>	
PUT SPCE 10/30/20 16 VIRGIN GALACTIC HOLDINGS INC   CUSIP:   Symbol: SPCE201030P00016000							
10/30/2020	1.00	0.00	10/09/2020	14.14	0.00	-14.14	Expiration
CALL AAPL 10/09/20 111.25 APPLE INC ADJ 4:1 STOCK SPLIT   CUSIP:   Symbol: AAPL201009C00111250							
09/22/2020	1.00	524.84	09/21/2020	406.14	0.00	118.70	Sell to Close
PUT AAPL 09/18/20 110 APPLE INC ADJ 4:1 STOCK SPLIT   CUSIP:   Symbol: AAPL200918P00110000							
09/15/2020	1.00	110.70	09/09/2020	0.00	0.00	110.70	Buy to Close
CALL AAP 01/15/21 170 ADVANCE AUTO PARTS INC   CUSIP:   Symbol: AAP210115C00170000							
12/01/2020	1.00	84.84	11/24/2020	66.14	0.00	18.70	Sell to Close
CALL LOW 08/21/20 165 LOWES COMPANIES INC   CUSIP:   Symbol: LOW200821C00165000							
08/19/2020	1.00	78.70	08/18/2020	0.00	0.00	78.70	Buy to Close
PUT ZM 11/20/20 350 ZOOM VIDEO COMMUNICATIONS INC   CUSIP:   Symbol: ZM201120P00350000							
11/17/2020	1.00	89.84	11/17/2020	101.14	0.00	-11.30	Sell to Close
CALL FSLY 01/08/21 115 FASTLY INC CLASS A   CUSIP:   Symbol: FSLY210108C00115000							
12/04/2020	1.00	354.84	12/04/2020	178.14	0.00	176.70	Sell to Close
PUT DKNG 11/20/20 35 DRAFTKINGS INC CL A   CUSIP:   Symbol: DKNG201120P00035000							
10/20/2020	1.00	-16.30	10/19/2020	0.00	0.00	-16.30	Buy to Close
PUT FSLY 07/24/20 79 FASTLY INC CLASS A   CUSIP:   Symbol: FSLY200724P00079000							
07/23/2020	5.00	329.29	Various	139.70	0.00	189.59	Sell to Close

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**SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS**

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

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

**Box 5:** Box Not Checked (Covered Security)

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

**Box 12:** Basis Reported to the IRS

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

1c - Date Sold or Disposed	Quantity	1d - Proceeds	1b - Date Acquired	1e - Cost or Other Basis	1f - Accrued Market Discount (M) & 1g - Wash Sale Loss Disallowed (D)	Gain or Loss (-)	Additional Notes
PUT BIGC 12/18/20 60 BIGCOMMERCE HOLDINGS INC   CUSIP:   Symbol: BIGC201218P00060000							
11/18/2020	1.00	13.71	11/17/2020	0.00	0.00	13.71	Buy to Close
CALL TSLA 10/09/20 455 TESLA INC ADJ 5:1 STOCK SPLIT   CUSIP:   Symbol: TSLA201009C00455000							
10/07/2020	1.00	188.84	10/07/2020	210.14	0.00	-21.30	Sell to Close
CALL TSLA 11/06/20 440 TESLA INC   CUSIP:   Symbol: TSLA201106C00440000							
11/06/2020	1.00	45.85	11/06/2020	58.14	0.00	-12.29	Sell to Close
PUT SPY 10/28/20 339 STANDARD & POORS DEPOSITORY   CUSIP:   Symbol: SPY201028P00339000							
10/27/2020	1.00	187.84	10/27/2020	187.14	0.00	0.70	Sell to Close C
10/27/2020	1.00	182.84	10/27/2020	160.14	0.00	22.70	Sell to Close C
<b>Security Totals:</b>		<b>370.68</b>		<b>347.28</b>		<b>23.40</b>	
PUT NIO 12/04/20 44 NIO INC ADS   CUSIP:   Symbol: NIO201204P00044000							
12/01/2020	1.00	-10.30	12/01/2020	0.00	0.00	-10.30	Buy to Close
PUT NFLX 07/17/20 465 NETFLIX INC   CUSIP:   Symbol: NFLX200717P00465000							
07/10/2020	1.00	193.84	07/10/2020	426.14	0.00	-232.30	Sell to Close
CALL SNOW 11/20/20 275 SNOWFLAKE INC CLASS A   CUSIP:   Symbol: SNOW201120C00275000							
11/20/2020	1.00	169.84	11/20/2020	153.14	0.00	16.70	Sell to Close
PFIZER INC   CUSIP: 717081103   Symbol: PFE							
09/14/2020	10.00	374.97	09/04/2020	360.60	0.00	14.37	Sale
PUT FSLY 07/31/20 68 FASTLY INC CLASS A   CUSIP:   Symbol: FSLY200731P00068000							
07/31/2020	3.00	0.00	07/23/2020	189.42	0.00	-189.42	Expiration
PUT AMD 07/24/20 60 ADVANCED MICRO DEVICES INC   CUSIP:   Symbol: AMD200724P00060000							
07/22/2020	5.00	751.28	07/21/2020	1,875.69	0.00	-1,124.41	Sell to Close
NEW CONCEPT ENERGY INC   CUSIP: 643611106   Symbol: GBR							
10/22/2020	100.00	184.40	10/22/2020	176.58	0.00	7.82	Sale
CALL WPX 01/15/21 8 WPX ENERGY INC   CUSIP:   Symbol: WPX210115C00008000							
12/14/2020	1.00	73.85	12/10/2020	121.14	0.00	-47.29	Sell to Close
PUT TSLA 12/11/20 625 TESLA INC   CUSIP:   Symbol: TSLA201211P00625000							
12/09/2020	1.00	1,949.80	12/09/2020	1,753.14	0.00	196.66	Sell to Close
CALL AMZN 12/18/20 3220 AMAZON.COM INC   CUSIP:   Symbol: AMZN201218C03220000							
12/16/2020	1.00	3,199.77	12/16/2020	2,687.49	0.00	512.28	Sell to Close
12/16/2020	1.00	3,069.79	12/16/2020	2,826.14	0.00	243.65	Sell to Close

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APEX CLEARING

## Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B\*

OMB No. 1545-0715

5WU95787

(continued)

02/23/2021

**SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS**

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

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CALL AMZN 12/18/20	3220	AMAZON.COM INC   CUSIP:   Symbol: AMZN201218C03220000					
12/16/2020	1.00	3,384.78	12/16/2020	2,731.14	0.00	653.64	Sell to Close
12/16/2020	1.00	2,649.79	12/16/2020	2,676.14	26.35 D	0.00	Sell to Close
12/16/2020	1.00	2,874.78	12/16/2020	2,826.14	0.00	48.64	Sell to Close
12/16/2020	1.00	2,774.78	12/16/2020	2,746.14	0.00	28.64	Sell to Close
<b>Security Totals:</b>		<b>17,953.69</b>		<b>16,493.19</b>		<b>1,486.85</b>	
CALL VALE 01/15/21	14	VALE S A   CUSIP:   Symbol: VALE210115C00014000					
11/27/2020	1.00	111.84	11/24/2020	63.14	0.00	48.70	Sell to Close
CALL SPY 10/28/20	330	STANDARD & POORS DEPOSITORY   CUSIP:   Symbol: SPY201028C00330000					
10/28/2020	1.00	54.84	10/28/2020	53.14	0.00	1.70	Sell to Close
PUT DOCU 10/16/20	150	DOCUSIGN INC   CUSIP:   Symbol: DOCU201016P00150000					
09/24/2020	1.00	42.84	09/22/2020	43.14	0.00	-0.30	Sell to Close
CALL DIS 01/15/21	160	WALT DISNEY CO   CUSIP:   Symbol: DIS210115C00160000					
11/24/2020	1.00	369.84	11/24/2020	366.14	0.00	3.70	Sell to Close
CALL DOCU 09/25/20	207.50	DOCUSIGN INC   CUSIP:   Symbol: DOCU200925C00207500					
09/22/2020	1.00	459.83	09/22/2020	341.14	0.00	118.69	Sell to Close
PUT NKLA 09/25/20	28	NIKOLA CORPORATION   CUSIP:   Symbol: NKLA200925P00028000					
09/21/2020	1.00	309.84	09/21/2020	351.14	41.3 D	0.00	Sell to Close
09/21/2020	1.00	236.85	09/21/2020	341.13	0.00	-104.28	Sell to Close
09/21/2020	3.00	629.55	Various	1,064.71	0.00	-435.16	Sell to Close
<b>Security Totals:</b>		<b>1,176.24</b>		<b>1,756.98</b>		<b>-539.44</b>	
CALL AMZN 12/11/20	3100	AMAZON.COM INC   CUSIP:   Symbol: AMZN201211C03100000					
12/11/2020	1.00	399.84	12/11/2020	306.14	0.00	93.70	Sell to Close
12/11/2020	1.00	484.83	12/11/2020	296.14	0.00	188.69	Sell to Close
<b>Security Totals:</b>		<b>884.67</b>		<b>602.28</b>		<b>282.39</b>	
GAMESTOP CORP		CLASS A   CUSIP: 36467W109   Symbol: GME					
09/17/2020	100.00	911.88	09/17/2020	917.27	0.00	-5.39	Sale
09/17/2020	300.00	2,708.66	09/17/2020	2,760.24	17.19 D	-34.39	Sale
<b>Security Totals:</b>		<b>3,620.54</b>		<b>3,677.51</b>		<b>-39.78</b>	

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2020 Form 1099-B\*

OMB No. 1545-0715

5WU95787

(continued)

02/23/2021

**SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS**

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PUT MSFT 07/31/20	190	MICROSOFT CORP   CUSIP:   Symbol: MSFT200731P00190000					
07/30/2020	3.00	11.56	07/23/2020	87.42	0.00	-75.86	Sell to Close
AUTOMATIC DATA PROCESSING INC   CUSIP: 053015103   Symbol: ADP							
09/03/2020	10.00	1,401.85	09/03/2020	1,431.00	0.00	-29.15	Sale
CALL AMZN 12/18/20	3230	AMAZON.COM INC   CUSIP:   Symbol: AMZN201218C03230000					
12/18/2020	1.00	1,419.81	12/18/2020	1,326.14	0.00	93.67	Sell to Close
PUT ATVI 11/20/20	73	ACTIVISION BLIZZARD INC   CUSIP:   Symbol: ATVI201120P00073000					
11/18/2020	2.00	3.44	11/18/2020	0.00	0.00	3.44	Buy to Close
PUT REGN 01/08/21	490	REGENERON PHARMACEUTICALS INC   CUSIP:   Symbol: REGN210108P00490000					
12/14/2020	1.00	327.67	12/09/2020	0.00	0.00	327.67	Buy to Close
CALL TSLA 11/06/20	450	TESLA INC   CUSIP:   Symbol: TSLA201106C00450000					
11/02/2020	1.00	99.85	11/02/2020	163.14	0.00	-63.29	Sell to Close
PUT NVDA 10/30/20	485	NVIDIA CORP   CUSIP:   Symbol: NVDA201030P00485000					
10/30/2020	1.00	52.84	10/30/2020	51.14	0.00	1.70	Sell to Close
***XUNLEI LIMITED	ADR   CUSIP: 98419E108   Symbol: XNET						
12/01/2020	100.00	328.26	11/30/2020	294.90	0.00	33.36	Sale
CALL TSLA 11/06/20	455	TESLA INC   CUSIP:   Symbol: TSLA201106C00455000					
11/04/2020	1.00	119.84	11/04/2020	194.14	0.00	-74.30	Sell to Close
CALL NVDA 11/27/20	555	NVIDIA CORP   CUSIP:   Symbol: NVDA201127C00555000					
11/24/2020	1.00	22.84	11/24/2020	35.14	0.00	-12.30	Sell to Close
CALL EMAN 02/19/21	2.50	EMAGIN CORPORATION   CUSIP:   Symbol: EMAN210219C00002500					
12/24/2020	4.00	79.44	12/23/2020	124.54	0.00	-45.10	Sell to Close
PUT NFLX 09/04/20	380	NETFLIX INC   CUSIP:   Symbol: NFLX200904P00380000					
	5.00	129.31	09/04/2020	0.00	0.00	129.31	Expiration
***CARNIVAL CORP	COMMON PAIRED STOCK   CUSIP: 143658300   Symbol: CCL						
09/28/2020	50.00	768.42	Various	749.35	0.00	19.07	Sale
09/28/2020	60.00	905.92	09/18/2020	909.05	0.52 D	-2.61	Sale
<b>Security Totals:</b>		<b>1,674.34</b>		<b>1,658.40</b>		<b>16.46</b>	
PUT TSLA 07/24/20	1390	TESLA INC   CUSIP:   Symbol: TSLA200724P01390000					
07/23/2020	1.00	161.84	07/22/2020	3,056.14	0.00	-2,894.30	Sell to Close

APEX CLEARING

## Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B\*

OMB No. 1545-0715

5WU95787

(continued)

02/23/2021

**SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS**

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

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

<b>1c - Date Sold or Disposed</b>	<b>Quantity</b>	<b>1d - Proceeds</b>	<b>1b - Date Acquired</b>	<b>1e - Cost or Other Basis</b>	<b>1f - Accrued Market Discount (M) &amp; 1g - Wash Sale Loss Disallowed (D)</b>	<b>Gain or Loss (-)</b>	<b>Additional Notes</b>
CALL BLNK 03/19/21 15	BLINK CHARGING CO   CUSIP:   Symbol: BLNK210319C00015000						
11/17/2020	1.00	244.84	11/13/2020	86.14	0.00	158.70	Sell to Close
CALL WKHS 01/21/22 20	WORKHORSE GROUP INC   CUSIP:   Symbol: WKHS220121C00020000						
12/28/2020	1.00	1,111.83	12/21/2020	941.14	0.00	170.69	Sell to Close
PUT NFLX 01/15/21 500	NETFLIX INC   CUSIP:   Symbol: NFLX210115P00500000						
12/10/2020	1.00	-408.34	12/07/2020	0.00	0.00	-408.34	Buy to Close
HELMERICH & PAYNE INC   CUSIP: 423452101   Symbol: HP							
12/02/2020	100.00	2,474.85	Various	2,444.82	0.00	30.03	Sale
PUT AAPL 11/06/20 114	APPLE INC   CUSIP:   Symbol: AAPL201106P00114000						
11/06/2020	1.00	0.00	11/06/2020	16.14	0.00	-16.14	Expiration
DINE BRANDS GLOBAL INC	COMMON STOCK   CUSIP: 254423106   Symbol: DIN						
08/27/2020	10.00	572.97	08/21/2020	548.20	0.00	24.77	Sale
CALL UBER 01/15/21 60	UBER TECHNOLOGIES INC   CUSIP:   Symbol: UBER210115C00060000						
12/02/2020	1.00	83.84	12/02/2020	72.14	0.00	11.70	Sell to Close
12/02/2020	1.00	83.84	12/02/2020	72.14	0.00	11.70	Sell to Close
<b>Security Totals:</b>		<b>167.68</b>		<b>144.28</b>		<b>23.40</b>	
CALL BA 10/02/20 180	BOEING CO   CUSIP:   Symbol: BA201002C00180000						
09/28/2020	2.00	123.72	09/28/2020	182.28	0.00	-58.56	Sell to Close
CALL AMZN 12/18/20 3240	AMAZON.COM INC   CUSIP:   Symbol: AMZN201218C03240000						
12/17/2020	1.00	1,859.80	12/17/2020	1,641.14	0.00	218.66	Sell to Close
12/17/2020	2.00	3,421.62	Various	3,377.28	0.00	44.34	Sell to Close
12/17/2020	2.00	3,369.62	Various	3,307.28	0.00	62.34	Sell to Close
12/17/2020	1.00	1,719.81	12/17/2020	1,406.14	0.00	313.67	Sell to Close
12/17/2020	1.00	1,994.80	12/17/2020	1,896.14	0.00	98.66	Sell to Close
<b>Security Totals:</b>		<b>12,365.65</b>		<b>11,627.98</b>		<b>737.67</b>	
CALL DKNG 03/19/21 75	DRAFTKINGS INC CL A   CUSIP:   Symbol: DKNG210319C00075000						
11/27/2020	1.00	229.84	11/24/2020	173.14	0.00	56.70	Sell to Close
CALL TSLA 11/06/20 460	TESLA INC   CUSIP:   Symbol: TSLA201106C00460000						
11/03/2020	1.00	114.84	11/03/2020	104.14	0.00	10.70	Sell to Close
QUIDEL CORP   CUSIP: 74838J101   Symbol: QDEL							
10/13/2020	10.00	2,789.92	10/13/2020	2,710.00	0.00	79.92	Sale

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APEX CLEARING

## Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B\*

OMB No. 1545-0715

5WU95787

(continued)

02/23/2021

**SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS**

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

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

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QUIDEL CORP   CUSIP: 74838J101   Symbol: QDEL							
11/12/2020	11.00	2,386.91	Various	2,050.50	0.00	336.41	Sale
11/20/2020	11.00	2,071.57	Various	2,093.30	22.55 D	0.82	Sale
11/23/2020	11.00	1,956.62	Various	2,082.88	120 D	-6.26	Sale
12/02/2020	10.00	1,938.43	12/02/2020	2,040.00	0.00	-101.57	Sale
<b>Security Totals:</b>		<b>11,143.45</b>		<b>10,976.68</b>		<b>309.32</b>	
CALL MSFT 12/31/20 227.50 MICROSOFT CORP   CUSIP:   Symbol: MSFT201231C00227500							
12/22/2020	1.00	171.84	12/22/2020	213.14	0.00	-41.30	Sell to Close
CALL UBER 01/15/21 55 UBER TECHNOLOGIES INC   CUSIP:   Symbol: UBER210115C00055000							
12/02/2020	1.00	275.84	12/02/2020	185.14	0.00	90.70	Sell to Close
CALL PFE 12/18/20 38 PFIZER INC   CUSIP:   Symbol: PFE201218C00038000							
12/01/2020	1.00	274.85	11/30/2020	135.14	0.00	139.71	Sell to Close
CALL TSLA 10/02/20 500 TESLA INC ADJ 5:1 STOCK SPLIT   CUSIP:   Symbol: TSLA201002C00500000							
10/01/2020	1.00	56.84	09/30/2020	56.14	0.00	0.70	Sell to Close
KOPIN CORP   CUSIP: 500600101   Symbol: KOPN							
11/30/2020	500.00	885.57	11/30/2020	848.15	0.00	37.42	Sale
PUT AMZN 12/18/20 3240 AMAZON.COM INC   CUSIP:   Symbol: AMZN201218P03240000							
12/17/2020	1.00	2,044.80	12/17/2020	1,836.14	0.00	208.66	Sell to Close
CALL AMZN 12/18/20 3250 AMAZON.COM INC   CUSIP:   Symbol: AMZN201218C03250000							
12/17/2020	2.00	2,921.63	Various	4,062.28	690.32 D	-450.33	Sell to Close
12/17/2020	1.00	1,824.80	12/17/2020	2,676.46	0.00	-851.66	Sell to Close
<b>Security Totals:</b>		<b>4,746.43</b>		<b>6,738.74</b>		<b>-1,301.99</b>	
PUT WYNN 10/30/20 70 WYNN RESORTS LIMITED   CUSIP:   Symbol: WYNN201030P00070000							
10/29/2020	2.00	86.41	Various	0.00	0.00	86.41	Buy to Close
PUT SPY 11/13/20 355 STANDARD & POORS DEPOSITORY   CUSIP:   Symbol: SPY201113P00355000							
11/12/2020	1.00	135.84	11/12/2020	143.14	0.00	-7.30	Sell to Close
***ALIBABA GROUP HOLDING LTD SPONSORED ADR   CUSIP: 01609W102   Symbol: BABA							
09/14/2020	10.00	2,749.92	09/04/2020	2,700.00	0.00	49.92	Sale
11/04/2020	10.00	2,889.92	11/03/2020	2,849.70	0.00	40.22	Sale

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APEX CLEARING

## Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B\*

OMB No. 1545-0715

5WU95787

(continued)

02/23/2021

**SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS**

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

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11/20/2020	35.00	9,446.96	Various	9,488.61	0.00	-41.65	Sale
<b>Security Totals:</b>		<b>15,086.80</b>		<b>15,038.31</b>		<b>48.49</b>	
CALL ZM 09/18/20 455	ZOOM VIDEO COMMUNICATIONS INC   CUSIP:   Symbol: ZM200918C00455000						
09/14/2020	1.00	70.84	09/09/2020	240.14	0.00	-169.30	Sell to Close
***NIO INC	AMERICAN DEPOSITARY SHARES ECH RPRSNTNG ONE CL A ORD SHARE   CUSIP: 62914V106   Symbol: NIO						
10/14/2020	20.00	528.16	10/14/2020	534.60	6.44 D	0.00	Sale
11/02/2020	100.00	3,359.85	Various	3,475.52	115.67 D	0.00	Sale
11/04/2020	100.00	3,947.82	Various	3,988.75	40.93 D	0.00	Sale
11/24/2020	60.00	3,189.47	Various	2,714.98	0.00	474.49	Sale
11/27/2020	50.00	2,712.39	Various	2,679.69	0.00	32.70	Sale
12/21/2020	120.00	5,807.76	Various	5,853.04	274.73 D	229.45	Sale
12/31/2020	25.00	1,241.95	12/31/2020	1,358.78	116.83 D	0.00	Sale
12/31/2020	100.00	4,879.80	Various	5,141.48	121.28 D	-140.40	Sale C
<b>Security Totals:</b>		<b>25,667.20</b>		<b>25,746.84</b>		<b>596.24</b>	
JPMORGAN CHASE & CO   CUSIP: 46625H100   Symbol: JPM							
10/20/2020	20.00	2,019.92	Various	2,015.00	0.00	4.92	Sale
CALL BLNK 12/18/20 35	BLINK CHARGING CO   CUSIP:   Symbol: BLNK201218C00035000						
11/27/2020	1.00	221.84	11/25/2020	148.14	0.00	73.70	Sell to Close
CALL LOW 09/18/20 160	LOWES COMPANIES INC   CUSIP:   Symbol: LOW200918C00160000						
08/19/2020	1.00	111.69	08/18/2020	0.00	0.00	111.69	Buy to Close
PUT ROKU 11/13/20 205	ROKU INC   CUSIP:   Symbol: ROKU201113P00205000						
11/09/2020	1.00	149.84	11/06/2020	27.14	0.00	122.70	Sell to Close
CALL C 01/15/21 50	CITIGROUP INC   CUSIP:   Symbol: C210115C00050000						
10/05/2020	2.00	427.71	09/17/2020	432.27	0.00	-4.56	Sell to Close
CALL TSLA 12/18/20 620	TESLA INC ADJ 5:1 STOCK SPLIT   CUSIP:   Symbol: TSLA201218C00620000						
12/09/2020	1.00	-195.39	12/09/2020	0.00	195.39 D	0.00	Buy to Close
12/10/2020	1.00	123.22	12/09/2020	0.00	0.00	123.22	Buy to Close
<b>Security Totals:</b>		<b>-72.17</b>		<b>0.00</b>		<b>123.22</b>	
CALL BLNK 01/15/21 35	BLINK CHARGING CO   CUSIP:   Symbol: BLNK210115C00035000						
11/25/2020	1.00	291.84	11/25/2020	311.14	0.00	-19.30	Sell to Close

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APEX CLEARING

## Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B\*

OMB No. 1545-0715

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(continued)

02/23/2021

**SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS**

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

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PUT SPY 11/13/20 352.50 STANDARD & POORS DEPOSITORY   CUSIP:   Symbol: SPY201113P00352500							
11/12/2020	1.00	219.84	11/12/2020	190.14	0.00	29.70	Sell to Close
AVERY DENNISON CORP   CUSIP: 053611109   Symbol: AVY							
09/16/2020	100.00	12,919.62	09/16/2020	12,870.08	0.00	49.54	Sale
09/30/2020	20.00	2,569.91	09/17/2020	2,582.02	12.11 D	0.00	Sale
09/30/2020	100.00	12,884.62	Various	12,739.07	0.00	145.55	Sale
<b>Security Totals:</b>		<b>28,374.15</b>		<b>28,191.17</b>		<b>195.09</b>	
CALL ADSK 11/27/20 277.50 AUTODESK INC   CUSIP:   Symbol: ADSK201127C00277500							
11/25/2020	1.00	256.84	11/24/2020	101.14	0.00	155.70	Sell to Close
PUT SPY 11/13/20 349 STANDARD & POORS DEPOSITORY   CUSIP:   Symbol: SPY201113P00349000							
11/13/2020	1.00	0.00	11/12/2020	105.14	0.00	-105.14	Expiration
CALL SPY 11/11/20 357 STANDARD & POORS DEPOSITORY   CUSIP:   Symbol: SPY201111C00357000							
11/11/2020	1.00	75.85	11/11/2020	58.14	0.00	17.71	Sell to Close
11/11/2020	1.00	11.84	11/11/2020	23.14	0.00	-11.30	Sell to Close
<b>Security Totals:</b>		<b>87.69</b>		<b>81.28</b>		<b>6.41</b>	
BOXLIGHT CORPORATION CLASS A COMMON STOCK   CUSIP: 103197109   Symbol: BOXL							
12/10/2020	1,000.00	1,829.63	12/10/2020	1,808.60	0.00	21.03	Sale
CALL AAPL 11/06/20 120 APPLE INC   CUSIP:   Symbol: AAPL201106C00120000							
11/06/2020	1.00	0.00	11/04/2020	23.14	0.00	-23.14	Expiration
PUT JWN 12/11/20 29 NORDSTROM INC   CUSIP:   Symbol: JWN201211P00029000							
12/11/2020	1.00	0.00	12/04/2020	43.14	0.00	-43.14	Expiration
CALL CRWD 10/02/20 140 CROWDSTRIKE HOLDINGS INC CL A   CUSIP:   Symbol: CRWD201002C00140000							
09/23/2020	1.00	749.83	09/22/2020	651.14	0.00	98.69	Sell to Close
PUT RKT 11/20/20 20 ROCKET COMPANIES INC CL A   CUSIP:   Symbol: RKT201120P00020000							
10/12/2020	1.00	-0.29	10/08/2020	0.00	0.00	-0.29	Buy to Close
CALL TSLA 11/06/20 480 TESLA INC   CUSIP:   Symbol: TSLA201106C00480000							
11/03/2020	1.00	69.84	11/03/2020	55.14	0.00	14.70	Sell to Close
***ALTERITY THERAPEUTICS LIMITED AMERICAN DEPOSITARY SHARES   CUSIP: 02155X106   Symbol: ATHE							
11/16/2020	100.00	291.40	11/16/2020	293.95	0.00	-2.55	Sale
PUT CSX 10/16/20 78 CSX CORPORATION   CUSIP:   Symbol: CSX201016P00078000							
10/05/2020	1.00	37.70	09/30/2020	0.00	0.00	37.70	Buy to Close

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## Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B\*

OMB No. 1545-0715

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(continued)

02/23/2021

**SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS**

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

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CALL DIS 12/11/20	177.50	WALT DISNEY CO   CUSIP:   Symbol: DIS201211C00177500					
12/11/2020	1.00	146.84	12/11/2020	179.14	0.00	-32.30	Sell to Close
CALL MSFT 01/15/21	220	MICROSOFT CORP   CUSIP:   Symbol: MSFT210115C00220000					
12/10/2020	1.00	57.70	12/09/2020	0.00	0.00	57.70	Buy to Close
CBAK ENERGY TECHNOLOGY INC		COMMON STOCK   CUSIP: 14986C102   Symbol: CBAT					
07/30/2020	200.00	229.81	07/02/2020	164.13	0.00	65.68	Sale
CALL DIS 04/16/21	150	WALT DISNEY CO   CUSIP:   Symbol: DIS210416C00150000					
10/13/2020	1.00	444.84	10/09/2020	341.14	0.00	103.70	Sell to Close
***SIGNET JEWELERS LIMITED   CUSIP: G81276100   Symbol: SIG							
10/16/2020	100.00	2,327.85	10/16/2020	2,320.08	0.00	7.77	Sale
CALL PFE 12/24/20	40	PFIZER INC   CUSIP:   Symbol: PFE201224C00040000					
12/03/2020	1.00	170.84	12/03/2020	182.14	0.00	-11.30	Sell to Close
***BELLUS HEALTH INC		COM   CUSIP: 07987C204   Symbol: BLU					
07/13/2020	200.00	559.80	07/10/2020	588.14	0.00	-28.34	Sale
PUT GLD 09/11/20	170	SPDR GOLD TR   CUSIP:   Symbol: GLD200911P00170000					
09/11/2020	1.00	0.00	09/02/2020	16.14	0.00	-16.14	Expiration
CALL ROKU 11/20/20	247.50	ROKU INC   CUSIP:   Symbol: ROKU201120C00247500					
11/19/2020	1.00	519.83	11/19/2020	421.14	0.00	98.69	Sell to Close
CALL DDOG 12/31/20	110	DATADOG INC CL A   CUSIP:   Symbol: DDOG201231C00110000					
12/16/2020	1.00	182.84	12/15/2020	161.14	0.00	21.70	Sell to Close
PALANTIR TECHNOLOGIES INC		CLASS A COMMON STOCK   CUSIP: 69608A108   Symbol: PLTR					
11/11/2020	100.00	1,492.87	11/06/2020	1,392.86	0.00	100.01	Sale
11/20/2020	25.00	454.48	11/12/2020	348.27	0.00	106.21	Sale
11/23/2020	25.00	499.46	11/12/2020	348.27	0.00	151.19	Sale
11/27/2020	200.00	5,585.69	Various	5,639.05	85.23 D	31.87	Sale
12/07/2020	50.00	1,382.40	12/07/2020	1,450.77	0.00	-68.37	Sale
12/07/2020	150.00	4,108.28	Various	4,137.10	78.23 D	49.41	Sale
<b>Security Totals:</b>		<b>13,523.18</b>		<b>13,316.32</b>		<b>370.32</b>	
***MOLECULAR DATA INC		AMERICAN DEPOSITARY SHARES   CUSIP: 60852L106   Symbol: MKD					
11/25/2020	500.00	684.62	11/24/2020	617.90	0.00	66.72	Sale

APEX CLEARING

## Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B\*

OMB No. 1545-0715

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(continued)

02/23/2021

**SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS**

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

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11/25/2020	500.00	574.52	11/25/2020	589.25	0.00	-14.73	Sale
<b>Security Totals:</b>		<b>1,259.14</b>		<b>1,207.15</b>		<b>51.99</b>	
PUT XBI 08/07/20 100							SPDR S&P BIOTECH ETF   CUSIP:   Symbol: XBI200807P00100000
08/03/2020	2.00	7.69	07/28/2020	60.28	0.00	-52.59	Sell to Close
CALL KNDI 11/20/20 10							KANDI TECHNOLOGIES CORP   CUSIP:   Symbol: KNDI201120C00010000
11/17/2020	1.00	82.84	11/17/2020	66.14	0.00	16.70	Sell to Close
BLINK CHARGING CO							COMMON STOCK   CUSIP: 09354A100   Symbol: BLNK
09/22/2020	300.00	2,789.66	09/22/2020	2,835.24	15.19 D	-30.39	Sale
09/29/2020	100.00	970.88	09/29/2020	1,016.27	0.00	-45.39	Sale
11/20/2020	90.00	2,162.57	11/19/2020	1,679.47	0.00	483.10	Sale
11/23/2020	10.00	297.69	11/19/2020	186.61	0.00	111.08	Sale
12/03/2020	130.00	3,167.89	Various	3,224.09	0.00	-56.20	Sale
<b>Security Totals:</b>		<b>9,388.69</b>		<b>8,941.68</b>		<b>462.20</b>	
PUT CVM 09/18/20 5							CEL SCI CORPORATION   CUSIP:   Symbol: CVM200918P00005000
08/13/2020	1.00	41.71	07/30/2020	0.00	0.00	41.71	Buy to Close
CALL DKNG 01/15/21 65							DRAFTKINGS INC CL A   CUSIP:   Symbol: DKNG210115C00065000
12/18/2020	1.00	146.84	12/17/2020	166.14	0.00	-19.30	Sell to Close
CALL SPY 11/13/20 356							STANDARD & POORS DEPOSITORY   CUSIP:   Symbol: SPY201113C00356000
11/13/2020	1.00	91.84	11/12/2020	57.14	0.00	34.70	Sell to Close
PUT FSLY 10/16/20 84							FASTLY INC CLASS A   CUSIP:   Symbol: FSLY201016P00084000
10/16/2020	1.00	19.84	10/16/2020	53.14	0.00	-33.30	Sell to Close
CALL SPY 11/13/20 354							STANDARD & POORS DEPOSITORY   CUSIP:   Symbol: SPY201113C00354000
11/12/2020	1.00	137.84	11/12/2020	156.14	0.00	-18.30	Sell to Close
PUT CVM 09/18/20 7.50							CEL SCI CORPORATION   CUSIP:   Symbol: CVM200918P00007500
	1.00	35.84	09/18/2020	0.00	0.00	35.84	Expiration
CALL MRNA 12/04/20 160							MODERNA INC   CUSIP:   Symbol: MRNA201204C00160000
12/01/2020	1.00	244.70	12/01/2020	0.00	0.00	244.70	Buy to Close
PUT FB 10/16/20 237.50							FACEBOOK INC CL A   CUSIP:   Symbol: FB201016P00237500
10/05/2020	1.00	18.70	10/01/2020	0.00	0.00	18.70	Buy to Close

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**SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS**

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**Box 12:** Basis Reported to the IRS

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PUT BA 12/04/20	200	BOEING CO   CUSIP:   Symbol: BA201204P00200000					
11/24/2020	1.00	117.84	11/24/2020	126.14	0.00	-8.30	Sell to Close
CALL NFLX 08/07/20	550	NETFLIX INC   CUSIP:   Symbol: NFLX200807C00550000					
08/03/2020	3.00	122.56	Various	501.42	0.00	-378.86	Sell to Close
CALL ROKU 11/20/20	250	ROKU INC   CUSIP:   Symbol: ROKU201120C00250000					
10/09/2020	1.00	-22.32	10/08/2020	0.00	0.00	-22.32	Buy to Close
***ZYMEWORKS INC	COM   CUSIP: 98985W102   Symbol: ZYME						
09/14/2020	100.00	4,324.80	09/14/2020	4,374.03	0.00	-49.23	Sale
09/14/2020	100.00	4,424.12	09/14/2020	4,433.07	8.95 D	0.00	Sale
<b>Security Totals:</b>		<b>8,748.92</b>		<b>8,807.10</b>		<b>-49.23</b>	
PUT TSLA 10/02/20	367.50	TESLA INC   CUSIP:   Symbol: TSLA201002P00367500					
09/29/2020	1.00	74.70	09/28/2020	0.00	0.00	74.70	Buy to Close
PUT PYPL 08/07/20	145	PAYPAL HOLDINGS INC   CUSIP:   Symbol: PYPL200807P00145000					
	1.00	81.84	08/07/2020	0.00	0.00	81.84	Expiration
CALL DKNG 01/15/21	60	DRAFTKINGS INC CL A   CUSIP:   Symbol: DKNG210115C00060000					
12/16/2020	1.00	199.84	12/14/2020	175.14	0.00	24.70	Sell to Close
12/16/2020	1.00	215.84	12/16/2020	251.14	0.00	-35.30	Sell to Close
<b>Security Totals:</b>		<b>415.68</b>		<b>426.28</b>		<b>-10.60</b>	
PUT ROKU 09/25/20	157.50	ROKU INC   CUSIP:   Symbol: ROKU200925P00157500					
09/15/2020	1.00	270.84	09/08/2020	750.14	0.00	-479.30	Sell to Close
CALL TSLA 11/06/20	490	TESLA INC   CUSIP:   Symbol: TSLA201106C00490000					
11/04/2020	1.00	16.84	11/04/2020	26.14	0.00	-9.30	Sell to Close
CALL NKE 09/25/20	121	NIKE INC CLASS B   CUSIP:   Symbol: NKE200925C00121000					
09/24/2020	2.00	-660.56	09/22/2020	0.00	0.00	-660.56	Buy to Close
PUT CRM 12/04/20	210	SALESFORCE.COM INC   CUSIP:   Symbol: CRM201204P00210000					
12/04/2020	1.00	1.84	12/02/2020	39.14	0.00	-37.30	Sell to Close
PUT ZM 10/16/20	270	ZOOM VIDEO COMMUNICATIONS INC   CUSIP:   Symbol: ZM201016P00270000					
09/15/2020	1.00	154.84	09/04/2020	879.14	0.00	-724.30	Sell to Close
PUT DOCU 11/13/20	165	DOCUSIGN INC   CUSIP:   Symbol: DOCU201113P00165000					
11/11/2020	1.00	7.85	11/09/2020	10.14	0.00	-2.29	Sell to Close

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**SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS**

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CALL LULU 01/15/21	350	LULULEMON ATHLETICA INC   CUSIP:   Symbol: LULU210115C00350000					
12/11/2020	1.00	2,049.80	12/11/2020	1,706.14	0.00	343.66	Sell to Close
PUT BA 10/02/20	140	BOEING CO   CUSIP:   Symbol: BA201002P00140000					
09/28/2020	1.00	88.70	09/25/2020	0.00	0.00	88.70	Buy to Close
PUT BA 08/21/20	160	BOEING CO   CUSIP:   Symbol: BA200821P00160000					
07/31/2020	1.00	-322.31	07/22/2020	0.00	0.00	-322.31	Buy to Close
CALL TTD 01/08/21	852.50	TRADE DESK INC CLASS A   CUSIP:   Symbol: TTD210108C00852500					
11/30/2020	1.00	7,805.67	11/25/2020	6,201.14	0.00	1,604.53	Sell to Close
CALL BLNK 12/04/20	25.50	BLINK CHARGING CO   CUSIP:   Symbol: BLNK201204C00025500					
12/02/2020	1.00	54.70	12/01/2020	0.00	0.00	54.70	Buy to Close
PUT NVDA 10/09/20	420	NVIDIA CORP   CUSIP:   Symbol: NVDA201009P00420000					
10/09/2020	1.00	0.00	09/29/2020	22.14	0.00	-22.14	Expiration
CALL TSLA 10/23/20	475	TESLA INC   CUSIP:   Symbol: TSLA201023C00475000					
	1.00	2,413.79	10/23/2020	0.00	0.00	2,413.79	Expiration
CALL ZM 09/18/20	290	ZOOM VIDEO COMMUNICATIONS INC   CUSIP:   Symbol: ZM200918C00290000					
07/31/2020	1.00	39.69	07/24/2020	0.00	0.00	39.69	Buy to Close
MYOMO INC		COMMON STOCK   CUSIP: 62857J201   Symbol: MYO					
11/11/2020	100.00	592.89	11/11/2020	585.08	0.00	7.81	Sale
CALL TLRX 01/15/21	15	TILRAY INC   CUSIP:   Symbol: TLRX210115C00015000					
11/06/2020	1.00	164.84	11/06/2020	136.14	0.00	28.70	Sell to Close
CALL NFLX 01/15/21	510	NETFLIX INC   CUSIP:   Symbol: NFLX210115C00510000					
12/01/2020	1.00	-700.33	11/23/2020	0.00	0.00	-700.33	Buy to Close
PUT TSLA 12/31/20	450	TESLA INC   CUSIP:   Symbol: TSLA201231P00450000					
12/17/2020	1.00	364.84	12/17/2020	351.14	0.00	13.70	Sell to Close
PUT ZM 12/04/20	475	ZOOM VIDEO COMMUNICATIONS INC   CUSIP:   Symbol: ZM201204P00475000					
11/30/2020	1.00	-312.37	11/30/2020	0.00	0.00	-312.37	Buy to Close
PUT DOCU 10/23/20	190	DOCUSIGN INC   CUSIP:   Symbol: DOCU201023P00190000					
10/06/2020	1.00	36.70	10/06/2020	0.00	0.00	36.70	Buy to Close
WORKHORSE GROUP INC		COM   CUSIP: 98138J206   Symbol: WKHS					
09/14/2020	100.00	2,449.85	09/14/2020	2,342.08	0.00	107.77	Sale

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APEX CLEARING

## Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B\*

OMB No. 1545-0715

5WU95787

(continued)

02/23/2021

**SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS**

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

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09/28/2020	100.00	2,749.84	09/28/2020	2,545.08	0.00	204.76	Sale
<b>Security Totals:</b>		<b>5,199.69</b>		<b>4,887.16</b>		<b>312.53</b>	
CALL GS 11/27/20	232.50	GOLDMAN SACHS GROUP INC   CUSIP:   Symbol: GS201127C00232500					
11/23/2020	1.00	101.84	11/18/2020	185.14	0.00	-83.30	Sell to Close
CALL SPR 12/18/20	50	SPIRIT AEROSYSTEMS HOLDINGS   CUSIP:   Symbol: SPR201218C00050000					
12/07/2020	3.00	50.58	12/07/2020	90.41	0.00	-39.83	Sell to Close
PUT SAP 11/20/20	85	SAP SE   CUSIP:   Symbol: SAP201120P00085000					
11/20/2020	1.00	0.00	10/26/2020	21.14	0.00	-21.14	Expiration
VISA INC	CL A COMMON STOCK   CUSIP: 92826C839   Symbol: V						
09/14/2020	10.00	2,044.94	09/04/2020	2,015.00	0.00	29.94	Sale
PUT RDFN 11/20/20	40	REDFIN CORPORATION   CUSIP:   Symbol: RDFN201120P00040000					
10/09/2020	1.00	11.70	10/08/2020	0.00	0.00	11.70	Buy to Close
CALL AAPL 08/07/20	415	APPLE INC   CUSIP:   Symbol: AAPL200807C00415000					
08/03/2020	2.00	5,409.60	07/29/2020	204.28	0.00	5,205.32	Sell to Close
NCR CORP NEW   CUSIP: 62886E108   Symbol: NCR							
10/07/2020	100.00	2,304.85	10/05/2020	2,300.08	0.00	4.77	Sale
ROKU INC	CLASS A COMMON STOCK   CUSIP: 77543R102   Symbol: ROKU						
09/30/2020	10.00	1,905.94	09/21/2020	1,881.90	0.00	24.04	Sale
10/06/2020	10.00	2,059.94	10/05/2020	2,035.50	0.00	24.44	Sale
11/20/2020	10.00	2,602.72	11/20/2020	2,588.80	0.00	13.92	Sale
<b>Security Totals:</b>		<b>6,568.60</b>		<b>6,506.20</b>		<b>62.40</b>	
CALL TSLA 09/18/20	520	TESLA INC ADJ 5:1 STOCK SPLIT   CUSIP:   Symbol: TSLA200918C00520000					
09/16/2020	1.00	279.84	09/15/2020	326.14	0.00	-46.30	Sell to Close
PUT NKLA 08/28/20	25	NIKOLA CORPORATION   CUSIP:   Symbol: NKLA200828P00025000					
08/06/2020	1.00	94.70	07/23/2020	0.00	0.00	94.70	Buy to Close
PUT ZM 09/04/20	350	ZOOM VIDEO COMMUNICATIONS INC   CUSIP:   Symbol: ZM200904P00350000					
09/04/2020	1.00	548.83	09/01/2020	60.14	0.00	488.69	Sell to Close
CALL OPK 01/15/21	5	OPKO HEALTH INC   CUSIP:   Symbol: OPK210115C00005000					
12/01/2020	5.00	179.30	11/30/2020	245.68	66.38 D	0.00	Sell to Close

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2020 Form 1099-B\*

OMB No. 1545-0715

5WU95787

(continued)

02/23/2021

**SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS**

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CALL OPK 01/15/21	5	OPKO HEALTH INC   CUSIP:   Symbol: OPK210115C00005000					
12/02/2020	5.00	284.30	12/02/2020	422.06	0.00	-137.76	Sell to Close
<b>Security Totals:</b>		<b>463.60</b>		<b>667.74</b>		<b>-137.76</b>	
CALL TSLA 09/18/20	500	TESLA INC	ADJ 5:1 STOCK SPLIT   CUSIP:   Symbol: TSLA200918C00500000				
09/15/2020	1.00	419.84	09/15/2020	381.14	0.00	38.70	Sell to Close
09/17/2020	1.00	144.85	09/17/2020	116.14	0.00	28.71	Sell to Close
09/18/2020	1.00	0.00	09/17/2020	161.14	0.00	-161.14	Expiration
<b>Security Totals:</b>		<b>564.69</b>		<b>658.42</b>		<b>-93.73</b>	
CALL NFLX 08/07/20	545	NETFLIX INC   CUSIP:   Symbol: NFLX200807C00545000					
08/03/2020	3.00	431.14	Various	0.00	0.00	431.14	Buy to Close
PUT MSFT 09/18/20	175	MICROSOFT CORP   CUSIP:   Symbol: MSFT200918P00175000					
07/27/2020	1.00	23.70	07/23/2020	0.00	0.00	23.70	Buy to Close
PUT WKHS 10/16/20	21	WORKHORSE GROUP INC   CUSIP:   Symbol: WKHS201016P00021000					
10/06/2020	1.00	38.70	09/29/2020	0.00	0.00	38.70	Buy to Close
***KAIXIN AUTO HOLDINGS		ORDINARY SHARE   CUSIP: G5223X100   Symbol: KXIN					
10/14/2020	100.00	161.89	10/14/2020	191.87	0.00	-29.98	Sale
11/20/2020	200.00	1,201.79	Various	1,236.16	126.19 D	91.82	Sale
12/10/2020	150.00	550.34	Various	1,304.30	584.38 D	-169.58	Sale
<b>Security Totals:</b>		<b>1,914.02</b>		<b>2,732.33</b>		<b>-107.74</b>	
PUT UAL 10/16/20	31	UNITED AIRLINES HOLDINGS INC   CUSIP:   Symbol: UAL201016P00031000					
10/02/2020	1.00	-25.29	10/02/2020	0.00	0.00	-25.29	Buy to Close
PUT ZM 10/02/20	377.50	ZOOM VIDEO COMMUNICATIONS INC   CUSIP:   Symbol: ZM201002P00377500					
09/23/2020	1.00	71.84	09/22/2020	126.14	54.3 D	0.00	Sell to Close
09/24/2020	1.00	154.84	09/22/2020	160.44	0.00	-5.60	Sell to Close
<b>Security Totals:</b>		<b>226.68</b>		<b>286.58</b>		<b>-5.60</b>	
PUT VXX 09/18/20	23.50	IPATH SER B S&P 500 VIX SHORT   CUSIP:   Symbol: VXX200918P00023500					
09/03/2020	1.00	33.70	09/01/2020	0.00	0.00	33.70	Buy to Close
PUT AAPL 10/23/20	103	APPLE INC   CUSIP:   Symbol: AAPL201023P00103000					
10/07/2020	1.00	37.70	10/06/2020	0.00	0.00	37.70	Buy to Close

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CALL SQ 10/02/20 170 SQUARE INC   CUSIP:   Symbol: SQ201002C00170000							
09/28/2020	2.00	639.68	Various	432.28	0.00	207.40	Sell to Close
PUT AMZN 07/17/20 2600 AMAZON.COM INC   CUSIP:   Symbol: AMZN200717P02600000							
07/14/2020	5.00	693.58	07/14/2020	0.00	0.00	693.58	Buy to Close
CALL TSLA 11/13/20 425 TESLA INC   CUSIP:   Symbol: TSLA201113C00425000							
11/13/2020	1.00	29.84	11/13/2020	56.14	0.00	-26.30	Sell to Close
PUT EFA 08/21/20 60 ISHARES MSCI EAFE ETF   CUSIP:   Symbol: EFA200821P00060000							
07/15/2020	1.00	42.70	07/08/2020	0.00	0.00	42.70	Buy to Close
CALL ZG 01/15/21 140 ZILLOW GROUP INC   CUSIP:   Symbol: ZG210115C00140000							
12/09/2020	1.00	384.85	12/08/2020	188.14	0.00	196.71	Sell to Close
GOGO INC   CUSIP: 38046C109   Symbol: GOGO							
12/01/2020	110.00	1,240.68	Various	1,209.58	0.00	31.10	Sale
12/03/2020	100.00	977.88	12/02/2020	999.08	0.00	-21.20	Sale
<b>Security Totals:</b>		<b>2,218.56</b>		<b>2,208.66</b>		<b>9.90</b>	
CALL TSLA 11/13/20 430 TESLA INC   CUSIP:   Symbol: TSLA201113C00430000							
11/13/2020	1.00	11.85	11/13/2020	14.14	0.00	-2.29	Sell to Close
PUT NVDA 09/18/20 365 NVIDIA CORP   CUSIP:   Symbol: NVDA200918P00365000							
08/04/2020	1.00	615.69	07/21/2020	0.00	0.00	615.69	Buy to Close
CALL EFA 08/21/20 64 ISHARES MSCI EAFE ETF   CUSIP:   Symbol: EFA200821C00064000							
07/13/2020	1.00	-6.30	07/08/2020	0.00	0.00	-6.30	Buy to Close
DRAFTKINGS INC CLASS A COMMON STOCK   CUSIP: 26142R104   Symbol: DKNB							
09/14/2020	50.00	2,314.89	09/14/2020	2,265.04	0.00	49.85	Sale
09/14/2020	50.00	2,309.89	09/14/2020	2,265.04	0.00	44.85	Sale
09/16/2020	100.00	5,121.79	09/16/2020	5,115.08	0.00	6.71	Sale
09/16/2020	110.00	5,824.28	Various	5,768.88	0.00	55.40	Sale
09/17/2020	100.00	5,349.79	09/17/2020	5,332.08	0.00	17.71	Sale
09/18/2020	10.00	554.97	09/18/2020	550.23	0.00	4.74	Sale
09/18/2020	10.00	544.27	09/18/2020	549.23	0.00	-4.96	Sale
09/18/2020	20.00	1,091.75	09/18/2020	1,088.02	0.00	3.73	Sale
09/18/2020	30.00	1,634.92	09/17/2020	1,609.52	0.00	25.40	Sale

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2020 Form 1099-B\*

OMB No. 1545-0715

5WU95787

(continued)

02/23/2021

**SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS**

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

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

**Box 5:** Box Not Checked (Covered Security)

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

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

1c - Date Sold or Disposed	Quantity	1d - Proceeds	1b - Date Acquired	1e - Cost or Other Basis	1f - Accrued Market Discount (M) & 1g - Wash Sale Loss Disallowed (D)	Gain or Loss (-)	Additional Notes
DRAFTKINGS INC CLASS A COMMON STOCK   CUSIP: 26142R104   Symbol: DKNG							
09/18/2020	70.00	3,795.95	Various	3,756.55	0.00	39.40	Sale
09/18/2020	80.00	4,350.23	09/18/2020	4,352.06	1.15 D	-0.68	Sale
09/22/2020	30.00	1,603.42	Various	1,600.70	0.00	2.72	Sale
<b>Security Totals:</b>		<b>34,496.15</b>		<b>34,252.43</b>		<b>244.87</b>	
PUT LULU 08/14/20 325 LULULEMON ATHLETICA INC   CUSIP:   Symbol: LULU200814P00325000							
08/11/2020	1.00	94.85	08/10/2020	63.14	0.00	31.71	Sell to Close
PUT ZM 09/04/20 365 ZOOM VIDEO COMMUNICATIONS INC   CUSIP:   Symbol: ZM200904P00365000							
09/04/2020	3.00	3,140.52	09/01/2020	213.41	0.00	2,927.11	Sell to Close
G-III APPAREL GROUP LTD   CUSIP: 36237H101   Symbol: GIII							
09/16/2020	100.00	1,482.87	09/15/2020	1,495.69	0.00	-12.82	Sale
PUT DIS 10/16/20 105 WALT DISNEY CO   CUSIP:   Symbol: DIS201016P00105000							
10/16/2020	1.00	0.00	09/30/2020	18.14	0.00	-18.14	Expiration
AXT INC   CUSIP: 00246W103   Symbol: AXTI							
09/30/2020	100.00	633.89	09/30/2020	635.08	1.19 D	0.00	Sale
09/30/2020	100.00	624.90	09/30/2020	636.26	0.00	-11.36	Sale
<b>Security Totals:</b>		<b>1,258.79</b>		<b>1,271.34</b>		<b>-11.36</b>	
ADVANCED MICRO DEVICES INC COM   CUSIP: 007903107   Symbol: AMD							
09/08/2020	10.00	781.57	09/04/2020	783.91	2.34 D	0.00	Sale
11/23/2020	20.00	1,747.72	Various	1,678.24	0.00	69.48	Sale
<b>Security Totals:</b>		<b>2,529.29</b>		<b>2,462.15</b>		<b>69.48</b>	
CALL TSLA 09/18/20 480 TESLA INC ADJ 5:1 STOCK SPLIT   CUSIP:   Symbol: TSLA200918C00480000							
09/17/2020	1.00	149.84	09/17/2020	111.14	0.00	38.70	Sell to Close
CALL COST 12/11/20 375 COSTCO WHOLESALE CORPORATION ADJ CASH DISTRIBUTION   CUSIP:   Symbol: COST201211C00375000							
12/11/2020	1.00	242.84	12/09/2020	488.14	0.00	-245.30	Sell to Close
PUT PYPL 08/14/20 182.50 PAYPAL HOLDINGS INC   CUSIP:   Symbol: PYPL200814P00182500							
08/05/2020	3.00	125.58	07/30/2020	624.42	0.00	-498.84	Sell to Close
CALL AMAT 11/13/20 73 APPLIED MATERIALS INC   CUSIP:   Symbol: AMAT201113C00073000							
11/13/2020	1.00	69.84	11/12/2020	58.14	0.00	11.70	Sell to Close

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**SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS**

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

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CALL MSFT 08/21/20 225 MICROSOFT CORP   CUSIP:   Symbol: MSFT200821C00225000							
07/13/2020	1.00	456.84	07/08/2020	428.14	0.00	28.70	Sell to Close
COSTCO WHOLESALE CORP-NEW   CUSIP: 22160K105   Symbol: COST							
09/08/2020	10.00	3,393.61	09/04/2020	3,420.00	26.39 D	0.00	Sale
09/09/2020	10.00	3,489.90	09/08/2020	3,431.39	0.00	58.51	Sale
09/28/2020	10.00	3,450.11	09/28/2020	3,470.50	20.39 D	0.00	Sale
09/28/2020	10.00	3,482.01	09/28/2020	3,475.39	0.00	6.62	Sale
<b>Security Totals:</b>		<b>13,815.63</b>		<b>13,797.28</b>		<b>65.13</b>	
CALL SPLK 01/15/21 175 SPLUNK INC   CUSIP:   Symbol: SPLK210115C00175000							
12/11/2020	1.00	222.84	12/11/2020	283.14	0.00	-60.30	Sell to Close
CALL DOCU 11/06/20 290 DOCUSIGN INC   CUSIP:   Symbol: DOCU201106C00290000							
10/15/2020	1.00	154.84	10/15/2020	136.14	0.00	18.70	Sell to Close C
CALL AMRN 11/20/20 6.50 AMARIN CORP PLC   CUSIP:   Symbol: AMRN201120C00006500							
11/03/2020	1.00	8.84	10/22/2020	16.14	0.00	-7.30	Sell to Close
PUT PYPL 07/31/20 160 PAYPAL HOLDINGS INC   CUSIP:   Symbol: PYPL200731P00160000							
07/31/2020	4.00	0.00	07/29/2020	192.56	0.00	-192.56	Expiration
CLOVIS ONCOLOGY INC COM   CUSIP: 189464100   Symbol: CLVS							
12/02/2020	200.00	965.79	Various	1,085.04	0.00	-119.25	Sale
CALL ZM 11/27/20 470 ZOOM VIDEO COMMUNICATIONS INC   CUSIP:   Symbol: ZM201127C00470000							
11/20/2020	1.00	469.83	11/19/2020	281.14	0.00	188.69	Sell to Close
PUT DOCU 12/18/20 200 DOCUSIGN INC   CUSIP:   Symbol: DOCU201218P00200000							
11/16/2020	1.00	-151.32	11/13/2020	0.00	0.00	-151.32	Buy to Close
CALL XL 01/15/21 30 XL FLEET CORPORATION CL A   CUSIP:   Symbol: XL210115C00030000							
12/31/2020	1.00	134.84	12/31/2020	156.14	0.00	-21.30	Sell to Close
NET ELEMENT INC COMMON STOCK   CUSIP: 64111R300   Symbol: NETE							
11/19/2020	100.00	994.88	11/19/2020	957.08	0.00	37.80	Sale
PUT CCL 12/18/20 10 CARNIVAL CORP   CUSIP:   Symbol: CCL201218P00010000							
11/30/2020	2.00	5.71	Various	81.28	0.00	-75.57	Sell to Close
CALL MAT 10/16/20 12.50 MATTEL INC   CUSIP:   Symbol: MAT201016C00012500							
10/06/2020	1.00	29.84	10/05/2020	28.14	0.00	1.70	Sell to Close

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APEX CLEARING

## Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B\*

OMB No. 1545-0715

5WU95787

(continued)

02/23/2021

**SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS**

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

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

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PUT AMD 08/14/20	35	ADVANCED MICRO DEVICES INC   CUSIP:   Symbol: AMD200814P00035000					
08/14/2020	1.00	0.00	07/28/2020	3.14	0.00	-3.14	Expiration
C3 AI INC	CLASS A COMMON STOCK   CUSIP: 12468P104   Symbol: AI						
12/22/2020	10.00	1,758.55	12/22/2020	1,777.23	18.68 D	0.00	Sale
EVERBRIDGE INC	COM   CUSIP: 29978A104   Symbol: EVBG						
12/15/2020	20.00	2,824.31	12/15/2020	2,803.61	0.00	20.70	Sale
CALL PLTR 11/13/20	14.50	PALANTIR TECHNOLOGIES INC CL A   CUSIP:   Symbol: PLTR201113C00014500					
11/11/2020	1.00	-25.30	11/06/2020	0.00	0.00	-25.30	Buy to Close
PUT BA 07/24/20	167.50	BOEING CO   CUSIP:   Symbol: BA200724P00167500					
	2.00	59.70	07/24/2020	0.00	0.00	59.70	Expiration
PUT SPY 10/26/20	255	STANDARD & POORS DEPOSITORY   CUSIP:   Symbol: SPY201026P00255000					
10/26/2020	1.00	0.00	10/01/2020	13.14	0.00	-13.14	Expiration C
CALL BA 11/20/20	200	BOEING CO   CUSIP:   Symbol: BA201120C00200000					
11/16/2020	1.00	514.83	11/16/2020	591.14	0.00	-76.31	Sell to Close
***AMARIN CORPORATION PLC	SPONSORED ADR   CUSIP: 023111206   Symbol: AMRN						
11/03/2020	100.00	498.89	10/22/2020	505.07	6.18 D	0.00	Sale
12/01/2020	200.00	986.57	Various	1,032.34	0.00	-45.77	Sale
<b>Security Totals:</b>		<b>1,485.46</b>		<b>1,537.41</b>		<b>-45.77</b>	
CALL AMZN 10/23/20	3215	AMAZON.COM INC   CUSIP:   Symbol: AMZN201023C03215000					
10/23/2020	1.00	0.00	10/23/2020	15.14	0.00	-15.14	Expiration
PUT QDEL 12/18/20	145	QUIDEL CORP   CUSIP:   Symbol: QDEL201218P00145000					
11/24/2020	1.00	-11.30	11/24/2020	0.00	0.00	-11.30	Buy to Close
PUT BIGC 12/18/20	70	BIGCOMMERCE HOLDINGS INC   CUSIP:   Symbol: BIGC201218P00070000					
11/25/2020	1.00	4.70	11/25/2020	0.00	0.00	4.70	Buy to Close
PUT NFLX 10/16/20	405	NETFLIX INC   CUSIP:   Symbol: NFLX201016P00405000					
09/15/2020	1.00	237.84	09/11/2020	727.14	0.00	-489.30	Sell to Close
PUT QDEL 11/20/20	150	QUIDEL CORP   CUSIP:   Symbol: QDEL201120P00150000					
10/06/2020	1.00	28.70	10/06/2020	0.00	0.00	28.70	Buy to Close
CONTURA ENERGY INC	COMMON STOCK   CUSIP: 21241B100   Symbol: CTRA						
09/22/2020	10.00	85.18	09/21/2020	75.50	0.00	9.68	Sale

APEX CLEARING

## Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B\*

OMB No. 1545-0715

5WU95787

(continued)

02/23/2021

**SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS**

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

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09/22/2020	150.00	1,297.33	09/18/2020	1,240.61	0.00	56.72	Sale
<b>Security Totals:</b>		<b>1,382.51</b>		<b>1,316.11</b>		<b>66.40</b>	
PUT ZEN 09/18/20 87.50 ZENDESK INC   CUSIP:   Symbol: ZEN200918P00087500							
09/16/2020	1.00	87.70	09/08/2020	0.00	0.00	87.70	Buy to Close
CALL TSLA 12/04/20 600 TESLA INC   CUSIP:   Symbol: TSLA201204C00600000							
12/02/2020	1.00	319.84	12/02/2020	225.14	0.00	94.70	Sell to Close
12/03/2020	1.00	809.83	12/03/2020	706.14	0.00	103.69	Sell to Close
12/03/2020	1.00	566.83	12/03/2020	642.45	0.00	-75.62	Sell to Close
12/03/2020	1.00	664.83	12/03/2020	711.14	46.31 D	0.00	Sell to Close
<b>Security Totals:</b>		<b>2,361.33</b>		<b>2,284.87</b>		<b>122.77</b>	
CALL ZM 10/30/20 490 ZOOM VIDEO COMMUNICATIONS INC   CUSIP:   Symbol: ZM201030C00490000							
10/30/2020	1.00	0.00	10/30/2020	28.14	0.00	-28.14	Expiration
PUT W 08/14/20 220 WAYFAIR INC   CUSIP:   Symbol: W200814P00220000							
08/14/2020	1.00	0.00	08/04/2020	175.14	0.00	-175.14	Expiration
PARK HOTELS & RESORTS INC COMMON STOCK   CUSIP: 700517105   Symbol: PK							
09/03/2020	100.00	1,022.88	09/02/2020	970.08	0.00	52.80	Sale
10/08/2020	20.00	218.17	10/06/2020	215.41	0.00	2.76	Sale
<b>Security Totals:</b>		<b>1,241.05</b>		<b>1,185.49</b>		<b>55.56</b>	
CALL ZM 10/16/20 480 ZOOM VIDEO COMMUNICATIONS INC   CUSIP:   Symbol: ZM201016C00480000							
09/15/2020	1.00	1,082.82	09/04/2020	928.14	0.00	154.68	Sell to Close
VELODYNE LIDAR INC COMMON STOCK   CUSIP: 92259F101   Symbol: VLDR							
12/21/2020	50.00	1,107.42	12/21/2020	1,081.15	0.00	26.27	Sale
12/21/2020	100.00	2,135.86	12/15/2020	2,150.08	7.11 D	-7.11	Sale
<b>Security Totals:</b>		<b>3,243.28</b>		<b>3,231.23</b>		<b>19.16</b>	
PUT BA 11/20/20 200 BOEING CO   CUSIP:   Symbol: BA201120P00200000							
11/16/2020	1.00	529.83	11/16/2020	541.14	0.00	-11.31	Sell to Close
ALLEGRO MICROSYSTEMS INC COMMON STOCK   CUSIP: 01749D105   Symbol: ALGM							
12/03/2020	50.00	1,369.91	12/03/2020	1,400.04	0.00	-30.13	Sale
CALL TSLA 09/18/20 450 TESLA INC ADJ 5:1 STOCK SPLIT   CUSIP:   Symbol: TSLA200918C00450000							
09/14/2020	1.00	274.84	09/14/2020	266.14	0.00	8.70	Sell to Close

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CALL TSLA 09/18/20 450 TESLA INC ADJ 5:1 STOCK SPLIT   CUSIP:   Symbol: TSLA200918C00450000							
09/14/2020	1.00	699.83	09/14/2020	666.14	0.00	33.69	Sell to Close
09/14/2020	1.00	419.84	09/14/2020	356.14	0.00	63.70	Sell to Close
<b>Security Totals:</b>		<b>1,394.51</b>		<b>1,288.42</b>		<b>106.09</b>	
BOEING CO   CUSIP: 097023105   Symbol: BA							
10/06/2020	20.00	3,267.90	Various	3,152.50	23.55 D	138.95	Sale
11/03/2020	21.00	3,240.19	Various	3,268.39	121.15 D	92.95	Sale
11/09/2020	5.00	905.28	11/09/2020	900.75	0.00	4.53	Sale
11/09/2020	5.00	900.97	11/06/2020	857.35	0.00	43.62	Sale
11/09/2020	10.00	1,810.29	Various	1,744.55	3.07 D	68.81	Sale
11/18/2020	10.00	2,234.04	Various	2,245.97	11.93 D	0.00	Sale
11/18/2020	10.00	2,107.64	Various	2,130.23	22.59 D	0.00	Sale
11/20/2020	10.00	2,049.43	Various	2,091.09	41.66 D	0.00	Sale
12/02/2020	10.00	2,212.44	Various	2,246.66	34.22 D	0.00	Sale
12/07/2020	10.00	2,352.56	12/03/2020	2,379.25	0.00	-26.69	Buy to Cover Short
12/14/2020	10.00	2,338.23	Various	2,396.62	0.00	-58.39	Sale
<b>Security Totals:</b>		<b>23,418.97</b>		<b>23,413.36</b>		<b>263.78</b>	
CALL ZM 12/04/20 600 ZOOM VIDEO COMMUNICATIONS INC   CUSIP:   Symbol: ZM201204C00600000							
12/04/2020	1.00	0.00	11/30/2020	366.14	0.00	-366.14	Expiration
PUT BIDU 12/11/20 160 BAIDU INC   CUSIP:   Symbol: BIDU201211P00160000							
12/11/2020	1.00	75.84	12/11/2020	87.14	0.00	-11.30	Sell to Close
CALL MSFT 09/18/20 255 MICROSOFT CORP   CUSIP:   Symbol: MSFT200918C00255000							
07/27/2020	1.00	49.84	07/23/2020	56.14	0.00	-6.30	Sell to Close
VISTA OUTDOOR INC COM   CUSIP: 928377100   Symbol: VSTO							
10/08/2020	10.00	214.28	10/06/2020	225.75	11.47 D	0.00	Sale
10/28/2020	100.00	2,195.86	Various	2,211.55	15.69 D	0.00	Sale
11/06/2020	100.00	2,349.85	Various	2,230.77	0.00	119.08	Sale
<b>Security Totals:</b>		<b>4,759.99</b>		<b>4,668.07</b>		<b>119.08</b>	

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2020 Form 1099-B\*

OMB No. 1545-0715

5WU95787

(continued)

02/23/2021

SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

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PUT AAPL 11/20/20	95						
APPLE INC   CUSIP:   Symbol: AAPL201120P00095000							
09/28/2020	1.00	87.70	09/17/2020	0.00	0.00	87.70	Buy to Close
CALL AMZN 10/02/20	3250						
AMAZON.COM INC   CUSIP:   Symbol: AMZN201002C03250000							
10/02/2020	1.00	9.84	10/02/2020	14.14	0.00	-4.30	Sell to Close
CALL ZM 12/18/20	405						
ZOOM VIDEO COMMUNICATIONS INC   CUSIP:   Symbol: ZM201218C00405000							
12/17/2020	1.00	349.84	12/17/2020	396.14	46.3 D	0.00	Sell to Close
12/17/2020	1.00	195.84	12/17/2020	377.44	0.00	-181.60	Sell to Close
<b>Security Totals:</b>		<b>545.68</b>		<b>773.58</b>		<b>-181.60</b>	
PUT VLDR 01/15/21	20						
VELODYNE LIDAR INC   CUSIP:   Symbol: VLDR210115P00020000							
12/16/2020	1.00	12.70	12/15/2020	0.00	0.00	12.70	Buy to Close
CALL BA 12/24/20	250						
BOEING CO   CUSIP:   Symbol: BA201224C00250000							
11/30/2020	1.00	167.84	11/30/2020	208.14	0.00	-40.30	Sell to Close
PUT IBM 11/20/20	90						
INTL BUSINESS MACHINE   CUSIP:   Symbol: IBM201120P00090000							
11/20/2020	1.00	0.00	11/02/2020	17.14	0.00	-17.14	Expiration
FASTLY INC							
CLASS A COMMON STOCK   CUSIP: 31188V100   Symbol: FSLY							
09/09/2020	10.00	839.97	09/04/2020	733.00	0.00	106.97	Sale
10/06/2020	10.00	1,026.46	10/06/2020	1,008.00	0.00	18.46	Sale
11/13/2020	100.00	7,867.73	Various	7,664.73	270.82 D	473.82	Sale
11/30/2020	20.00	1,712.34	Various	1,719.01	0.00	-6.67	Sale
11/30/2020	40.00	3,447.47	Various	3,736.02	0.00	-288.55	Sale
11/30/2020	100.00	8,575.72	Various	8,933.50	340.39 D	-17.39	Sale
12/03/2020	20.00	1,659.94	Various	1,683.80	20.13 D	-3.73	Sale
12/31/2020	10.00	870.07	12/31/2020	899.27	29.2 D	0.00	Sale C
<b>Security Totals:</b>		<b>25,999.70</b>		<b>26,377.33</b>		<b>282.91</b>	
SONOS INC							
COMMON STOCK   CUSIP: 83570H108   Symbol: SONO							
12/03/2020	100.00	2,277.87	11/30/2020	2,284.52	0.00	-6.65	Sale
CALL PYPL 08/07/20	192.50						
PAYPAL HOLDINGS INC   CUSIP:   Symbol: PYPL200807C00192500							
07/30/2020	1.00	-291.29	07/23/2020	0.00	0.00	-291.29	Buy to Close
CALL GOOG 10/23/20	1650						
ALPHABET INC CLASS C   CUSIP:   Symbol: GOOG201023C01650000							
10/22/2020	1.00	69.84	10/22/2020	121.14	0.00	-51.30	Sell to Close

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APEX CLEARING

## Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B\*

OMB No. 1545-0715

5WU95787

(continued)

02/23/2021

**SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS**

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

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PUT ETSY 08/07/20	85	ETSY INC   CUSIP:   Symbol: ETSY200807P00085000					
08/07/2020	5.00	0.00	08/04/2020	40.68	0.00	-40.68	Expiration
***BIONTECH SE	AMERICAN DEPOSITARY SHARE   CUSIP: 09075V102   Symbol: BNTX						
11/30/2020	5.00	605.27	11/30/2020	605.00	0.00	0.27	Sale
12/01/2020	5.00	591.22	11/30/2020	605.00	0.00	-13.78	Sale
<b>Security Totals:</b>		<b>1,196.49</b>		<b>1,210.00</b>		<b>-13.51</b>	
CALL AAPL 11/20/20	121.25	APPLE INC ADJ 4:1 STOCK SPLIT   CUSIP:   Symbol: AAPL201120C00121250					
11/18/2020	1.00	102.70	11/16/2020	0.00	0.00	102.70	Buy to Close
PUT TRIL 11/20/20	15	TRILLIUM THERAPEUTICS INC   CUSIP:   Symbol: TRIL201120P00015000					
10/23/2020	1.00	274.84	10/21/2020	238.14	0.00	36.70	Sell to Close
PUT NVDA 10/09/20	465	NVidia CORP   CUSIP:   Symbol: NVDA201009P00465000					
10/05/2020	1.00	23.70	09/30/2020	0.00	0.00	23.70	Buy to Close
PUT IBM 11/20/20	95	INTL BUSINESS MACHINE   CUSIP:   Symbol: IBM201120P00095000					
10/29/2020	1.00	83.84	10/21/2020	17.14	0.00	66.70	Sell to Close
CALL IWM 08/21/20	147	ISHARES RUSSELL 2000 ETF   CUSIP:   Symbol: IWM200821C00147000					
07/07/2020	1.00	81.70	07/06/2020	0.00	0.00	81.70	Buy to Close
PUT TSLA 10/30/20	370	TESLA INC   CUSIP:   Symbol: TSLA201030P00370000					
10/30/2020	1.00	249.84	10/30/2020	153.14	0.00	96.70	Sell to Close
10/30/2020	1.00	111.85	10/30/2020	63.14	0.00	48.71	Sell to Close
<b>Security Totals:</b>		<b>361.69</b>		<b>216.28</b>		<b>145.41</b>	
PUT AMD 07/24/20	53	ADVANCED MICRO DEVICES INC   CUSIP:   Symbol: AMD200724P00053000					
07/24/2020	5.00	0.00	07/21/2020	75.69	0.00	-75.69	Expiration
PUT NFLX 07/31/20	420	NETFLIX INC   CUSIP:   Symbol: NFLX200731P00420000					
07/31/2020	5.00	0.00	07/21/2020	210.70	0.00	-210.70	Expiration
CALL BIGC 01/15/21	110	BIGCOMMERCE HOLDINGS INC   CUSIP:   Symbol: BIGC210115C00110000					
12/14/2020	3.00	293.57	Various	692.42	0.00	-398.85	Sell to Close
PUT NKLA 07/31/20	30	NIKOLA CORPORATION   CUSIP:   Symbol: NKLA200731P00030000					
07/13/2020	5.00	-11.41	07/13/2020	0.00	11.41 D	0.00	Buy to Close
07/17/2020	1.00	38.44	07/13/2020	0.00	0.00	38.44	Buy to Close

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APEX CLEARING

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2020 Form 1099-B\*

OMB No. 1545-0715

5WU95787

(continued)

02/23/2021

**SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS**

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PUT NKLA 07/31/20 30 NIKOLA CORPORATION   CUSIP:   Symbol: NKLA200731P00030000							
07/27/2020	4.00	-46.26	07/13/2020	0.00	0.00	-46.26	Buy to Close
<b>Security Totals:</b>		<b>-19.23</b>		<b>0.00</b>		<b>-7.82</b>	
ETSY INC COM   CUSIP: 29786A106   Symbol: ETSY							
09/11/2020	10.00	1,099.46	09/04/2020	1,052.00	0.00	47.46	Sale
11/20/2020	10.00	1,436.05	11/20/2020	1,430.90	0.00	5.15	Sale
<b>Security Totals:</b>		<b>2,535.51</b>		<b>2,482.90</b>		<b>52.61</b>	
CALL VZ 01/15/21 60 VERIZON COMMUNICATIONS   CUSIP:   Symbol: VZ210115C00060000							
12/31/2020	1.00	12.84	12/30/2020	20.14	0.00	-7.30	Sell to Close
CALL SPLK 01/15/21 180 SPLUNK INC   CUSIP:   Symbol: SPLK210115C00180000							
12/07/2020	1.00	225.84	12/07/2020	311.14	0.00	-85.30	Sell to Close
TELADOC HEALTH INC COMMON STOCK   CUSIP: 87918A105   Symbol: TDOC							
11/11/2020	15.00	2,720.50	Various	2,699.50	0.00	21.00	Sale
UNITY BIOTECHNOLOGY INC COMMON STOCK   CUSIP: 91381U101   Symbol: UBX							
11/27/2020	100.00	651.01	11/27/2020	638.08	0.00	12.93	Sale
11/27/2020	400.00	2,579.59	11/27/2020	2,552.31	0.00	27.28	Sale
<b>Security Totals:</b>		<b>3,230.60</b>		<b>3,190.39</b>		<b>40.21</b>	
PUT ZM 10/16/20 387.50 ZOOM VIDEO COMMUNICATIONS INC   CUSIP:   Symbol: ZM201016P00387500							
10/05/2020	1.00	221.69	09/30/2020	0.00	0.00	221.69	Buy to Close
CALL XLE 01/15/21 41 ENERGY SELECT SCTR SPDR FD TR   CUSIP:   Symbol: XLE210115C00041000							
12/10/2020	1.00	217.84	12/04/2020	162.14	0.00	55.70	Sell to Close
NOVAVAX INC COMMON STOCK   CUSIP: 670002401   Symbol: NVAX							
09/16/2020	10.00	1,151.66	09/15/2020	1,102.00	0.00	49.66	Sale
09/16/2020	100.00	11,849.63	09/16/2020	11,619.08	0.00	230.55	Sale
11/12/2020	10.00	929.96	11/12/2020	940.00	10.04 D	0.00	Sale
11/30/2020	10.00	1,197.47	11/30/2020	1,218.74	0.00	-21.27	Sale
12/03/2020	10.00	1,285.11	12/01/2020	1,306.07	0.00	-20.96	Buy to Cover Short
12/03/2020	10.00	1,274.95	12/01/2020	1,300.00	25.05 D	0.00	Buy to Cover Short
<b>Security Totals:</b>		<b>17,688.78</b>		<b>17,485.89</b>		<b>237.98</b>	

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**SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS**

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PUT FB 09/04/20 277.50 FACEBOOK INC CL A   CUSIP:   Symbol: FB200904P00277500							
09/03/2020	1.00	94.84	09/01/2020	62.14	0.00	32.70	Sell to Close
SG BLOCKS INC COMMON STOCK   CUSIP: 78418A505   Symbol: SGBX							
11/20/2020	250.00	770.03	11/20/2020	700.20	0.00	69.83	Sale
11/20/2020	250.00	742.25	11/20/2020	700.20	0.00	42.05	Sale
<b>Security Totals:</b>		<b>1,512.28</b>		<b>1,400.40</b>		<b>111.88</b>	
PUT BABA 08/21/20 220 ALIBABA GROUP HOLDING LIMITED   CUSIP:   Symbol: BABA200821P00220000							
07/08/2020	1.00	41.71	07/08/2020	0.00	0.00	41.71	Buy to Close
07/08/2020	1.00	508.69	07/02/2020	0.00	0.00	508.69	Buy to Close
<b>Security Totals:</b>		<b>550.40</b>		<b>0.00</b>		<b>550.40</b>	
PUT AAPL 10/16/20 110 APPLE INC ADJ 4:1 STOCK SPLIT   CUSIP:   Symbol: AAPL201016P00110000							
09/28/2020	1.00	307.84	09/04/2020	551.14	0.00	-243.30	Sell to Close
AYRO INC COMMON STOCK   CUSIP: 054748108   Symbol: AYRO							
11/20/2020	100.00	864.89	11/20/2020	892.86	0.00	-27.97	Sale
***9F INC AMERICAN DEPOSITARY SHARES   CUSIP: 65442R109   Symbol: JFU							
10/20/2020	100.00	144.91	10/20/2020	138.08	0.00	6.83	Sale
11/20/2020	100.00	128.11	11/20/2020	126.97	0.00	1.14	Sale
11/20/2020	400.00	536.05	11/20/2020	507.88	0.00	28.17	Sale
<b>Security Totals:</b>		<b>809.07</b>		<b>772.93</b>		<b>36.14</b>	
FLUIDIGM CORPORATION   CUSIP: 34385P108   Symbol: FLDM							
09/18/2020	20.00	156.37	09/18/2020	154.02	0.00	2.35	Sale
09/18/2020	80.00	624.71	09/18/2020	616.06	0.00	8.65	Sale
10/02/2020	30.00	254.66	10/01/2020	243.29	0.00	11.37	Sale
<b>Security Totals:</b>		<b>1,035.74</b>		<b>1,013.37</b>		<b>22.37</b>	
CALL AMZN 11/20/20 3155 AMAZON.COM INC   CUSIP:   Symbol: AMZN201120C03155000							
11/20/2020	1.00	0.00	11/20/2020	55.14	0.00	-55.14	Expiration
CALL AMZN 10/23/20 3200 AMAZON.COM INC   CUSIP:   Symbol: AMZN201023C03200000							
10/23/2020	1.00	149.85	10/23/2020	100.14	0.00	49.71	Sell to Close
ARCIMOTO INC COMMON STOCK   CUSIP: 039587100   Symbol: FUV							
09/18/2020	30.00	193.75	07/06/2020	238.52	0.00	-44.77	Sale

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10/14/2020	20.00	140.16	07/06/2020	159.02	0.00	-18.86	Sale
<b>Security Totals:</b>		<b>333.91</b>		<b>397.54</b>		<b>-63.63</b>	
PUT FSLY 11/06/20 53 FASTLY INC CLASS A   CUSIP:   Symbol: FSLY201106P00053000							
11/06/2020	1.00	0.00	11/02/2020	31.14	0.00	-31.14	Expiration
PUT ZM 11/13/20 400 ZOOM VIDEO COMMUNICATIONS INC   CUSIP:   Symbol: ZM201113P00400000							
11/13/2020	1.00	274.84	11/13/2020	326.14	51.3 D	0.00	Sell to Close
11/13/2020	1.00	399.84	11/13/2020	293.14	0.00	106.70	Sell to Close
11/13/2020	1.00	469.83	11/13/2020	462.44	0.00	7.39	Sell to Close
<b>Security Totals:</b>		<b>1,144.51</b>		<b>1,081.72</b>		<b>114.09</b>	
CALL SPOT 11/06/20 265 SPOTIFY TECHNOLOGY S A   CUSIP:   Symbol: SPOT201106C00265000							
11/03/2020	1.00	29.84	11/03/2020	41.14	0.00	-11.30	Sell to Close
MOXIAN INC COMMON STOCK   CUSIP: 624697306   Symbol: MOXC							
11/13/2020	1,000.00	1,169.15	11/11/2020	1,340.79	0.00	-171.64	Sale
CALL JPM 10/16/20 104 JPMORGAN CHASE & CO   CUSIP:   Symbol: JPM201016C00104000							
10/05/2020	1.00	89.84	10/05/2020	86.14	0.00	3.70	Sell to Close
CALL WDAY 12/04/20 255 WORKDAY INC   CUSIP:   Symbol: WDAY201204C00255000							
12/04/2020	2.00	0.00	11/30/2020	32.27	0.00	-32.27	Expiration
CALL NFLX 11/20/20 495 NETFLIX INC   CUSIP:   Symbol: NFLX201120C00495000							
11/20/2020	1.00	117.84	11/20/2020	53.14	0.00	64.70	Sell to Close
PUT MS 08/21/20 48 MORGAN STANLEY   CUSIP:   Symbol: MS200821P00048000							
07/15/2020	1.00	107.70	07/06/2020	0.00	0.00	107.70	Buy to Close
PUT INTC 11/06/20 41.50 INTEL CORP   CUSIP:   Symbol: INTC201106P00041500							
11/06/2020	1.00	0.00	11/03/2020	17.14	0.00	-17.14	Expiration
PUT AAPL 08/28/20 400 APPLE INC   CUSIP:   Symbol: AAPL200828P00400000							
08/28/2020	1.00	0.00	08/19/2020	44.14	0.00	-44.14	Expiration
ROCKWELL MEDICAL INC   CUSIP: 774374102   Symbol: RMTI							
12/01/2020	500.00	530.62	11/27/2020	534.50	3.88 D	0.00	Sale
12/04/2020	250.00	287.26	12/03/2020	269.19	0.00	18.07	Sale
12/07/2020	250.00	303.11	12/03/2020	269.19	0.00	33.92	Sale
<b>Security Totals:</b>		<b>1,120.99</b>		<b>1,072.88</b>		<b>51.99</b>	

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PUT AMD 11/27/20 60 ADVANCED MICRO DEVICES INC   CUSIP:   Symbol: AMD201127P00060000							
11/27/2020	1.00	0.00	10/21/2020	47.14	0.00	-47.14	Expiration
CALL WMT 01/15/21 165 WALMART INC   CUSIP:   Symbol: WMT210115C00165000							
11/20/2020	1.00	113.84	11/17/2020	138.14	0.00	-24.30	Sell to Close
PERSPECTA INC COMMON STOCK   CUSIP: 715347100   Symbol: PRSP							
11/17/2020	100.00	2,282.34	11/16/2020	2,281.08	0.00	1.26	Sale
CALL AAL 05/21/21 15 AMERICAN AIRLINES GROUP INC   CUSIP:   Symbol: AAL210521C00015000							
11/20/2020	2.00	301.71	Various	304.28	0.00	-2.57	Sell to Close
11/24/2020	2.00	517.70	11/20/2020	308.27	0.00	209.43	Sell to Close
<b>Security Totals:</b>		<b>819.41</b>		<b>612.55</b>		<b>206.86</b>	
GREENWICH LIFESCIENCES INC COMMON STOCK   CUSIP: 396879108   Symbol: GLSI							
12/09/2020	10.00	674.47	12/09/2020	565.60	0.00	108.87	Sale
12/09/2020	10.00	909.76	12/09/2020	793.10	0.00	116.66	Sale
<b>Security Totals:</b>		<b>1,584.23</b>		<b>1,358.70</b>		<b>225.53</b>	
PUT ZM 11/13/20 430 ZOOM VIDEO COMMUNICATIONS INC   CUSIP:   Symbol: ZM201113P00430000							
11/06/2020	1.00	222.84	11/06/2020	291.14	0.00	-68.30	Sell to Close
PUT SEDG 10/16/20 260 SOLAREDGE TECHNOLOGIES INC   CUSIP:   Symbol: SEDG201016P00260000							
10/15/2020	1.00	7.85	10/14/2020	24.14	0.00	-16.29	Sell to Close C
PUT AAPL 11/06/20 102 APPLE INC   CUSIP:   Symbol: AAPL201106P00102000							
11/06/2020	1.00	0.00	11/03/2020	35.14	0.00	-35.14	Expiration
CALL AMZN 11/27/20 3250 AMAZON.COM INC   CUSIP:   Symbol: AMZN201127C03250000							
11/27/2020	1.00	45.84	11/27/2020	96.14	50.3 D	0.00	Sell to Close
11/27/2020	1.00	229.84	11/27/2020	143.14	0.00	86.70	Sell to Close
11/27/2020	1.00	0.00	11/27/2020	106.44	0.00	-106.44	Expiration
<b>Security Totals:</b>		<b>275.68</b>		<b>345.72</b>		<b>-19.74</b>	
FUELCELL ENERGY INC COMMON STOCK   CUSIP: 35952H601   Symbol: FCEL							
11/24/2020	100.00	950.88	11/23/2020	923.08	0.00	27.80	Sale
12/09/2020	100.00	849.90	12/02/2020	748.08	0.00	101.82	Sale
<b>Security Totals:</b>		<b>1,800.78</b>		<b>1,671.16</b>		<b>129.62</b>	

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OMB No. 1545-0715

5WU95787

(continued)

02/23/2021

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CALL MSFT 10/16/20	220	MICROSOFT CORP   CUSIP:   Symbol: MSFT201016C00220000					
10/12/2020	1.00	229.85	10/01/2020	216.14	0.00	13.71	Sell to Close
PUT GLD 10/16/20	175	SPDR GOLD TR   CUSIP:   Symbol: GLD201016P00175000					
09/18/2020	1.00	69.70	09/11/2020	0.00	0.00	69.70	Buy to Close
CALL IQ 01/15/21	22.50	IQIYI INC   CUSIP:   Symbol: IQ210115C00022500					
12/21/2020	1.00	16.84	12/16/2020	31.14	0.00	-14.30	Sell to Close
***SPI ENERGY CO LTD		ORDINARY SHARES   CUSIP: G8651P110   Symbol: SPI					
11/20/2020	100.00	1,017.88	11/20/2020	1,094.18	76.3 D	0.00	Sale
11/20/2020	100.00	1,025.88	11/20/2020	1,059.24	33.36 D	0.00	Sale
11/20/2020	100.00	998.88	11/20/2020	973.08	0.00	25.80	Sale
11/20/2020	100.00	1,022.88	11/20/2020	1,044.04	21.16 D	0.00	Sale
11/20/2020	500.00	4,839.43	11/20/2020	4,610.40	0.00	229.03	Sale
11/23/2020	100.00	1,090.40	11/20/2020	1,102.38	11.98 D	0.00	Sale
12/11/2020	120.00	955.09	Various	1,798.55	0.00	-843.46	Sale
<b>Security Totals:</b>		<b>10,950.44</b>		<b>11,681.87</b>		<b>-588.63</b>	
CALL UVXY 08/21/20	33	PROSHARES ULTRA VIX SHORT TERM   CUSIP:   Symbol: UVXY200821C00033000					
07/30/2020	1.00	53.71	07/21/2020	0.00	0.00	53.71	Buy to Close
CALL NVDA 11/20/20	600	NVIDIA CORP   CUSIP:   Symbol: NVDA201120C00600000					
11/13/2020	1.00	256.84	11/13/2020	273.14	16.3 D	0.00	Sell to Close
11/16/2020	1.00	324.84	11/13/2020	249.44	0.00	75.40	Sell to Close
11/20/2020	1.00	0.00	11/18/2020	136.14	0.00	-136.14	Expiration
<b>Security Totals:</b>		<b>581.68</b>		<b>658.72</b>		<b>-60.74</b>	
PUT INTC 10/16/20	40	INTEL CORP   CUSIP:   Symbol: INTC201016P00040000					
09/11/2020	1.00	7.84	09/04/2020	30.14	0.00	-22.30	Sell to Close
CALL XLF 12/18/20	30	SECTOR SPDR FINANCIAL ETF   CUSIP:   Symbol: XLF201218C00030000					
12/14/2020	1.00	0.85	12/04/2020	20.14	0.00	-19.29	Sell to Close
PUT SPY 11/11/20	343	STANDARD & POORS DEPOSITORY   CUSIP:   Symbol: SPY201111P00343000					
11/11/2020	1.00	0.00	11/09/2020	34.14	0.00	-34.14	Expiration
CALL ZM 10/30/20	580	ZOOM VIDEO COMMUNICATIONS INC   CUSIP:   Symbol: ZM201030C00580000					
10/28/2020	1.00	94.84	10/28/2020	186.14	0.00	-91.30	Sell to Close

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**SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS**

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

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

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

**Box 12:** Basis Reported to the IRS

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PUT BTAI 07/17/20 25 BIOXCEL THERAPEUTICS INC   CUSIP:   Symbol: BTAI200717P00025000							
07/17/2020	5.00	0.00	07/14/2020	65.70	0.00	-65.70	Expiration
CALL DE 06/18/21 260 DEERE & CO   CUSIP:   Symbol: DE210618C00260000							
12/14/2020	1.00	2,049.80	12/11/2020	1,986.14	0.00	63.66	Sell to Close
CALL SHOP 12/18/20 1000 SHOPIFY INC   CUSIP:   Symbol: SHOP201218C01000000							
11/25/2020	1.00	-851.40	11/20/2020	0.00	0.00	-851.40	Buy to Close
CALL AMZN 09/25/20 3300 AMAZON.COM INC   CUSIP:   Symbol: AMZN200925C03300000							
09/24/2020	1.00	28.84	09/23/2020	106.14	0.00	-77.30	Sell to Close
PUT AMAT 08/14/20 60.50 APPLIED MATERIALS INC   CUSIP:   Symbol: AMAT200814P00060500							
08/14/2020	2.00	3.71	08/13/2020	46.27	0.00	-42.56	Sell to Close
08/14/2020	2.00	0.00	08/13/2020	46.27	0.00	-46.27	Expiration
<b>Security Totals:</b>		<b>3.71</b>		<b>92.54</b>		<b>-88.83</b>	
ACTINIUM PHARMACEUTICALS INC COMMON STOCK   CUSIP: 00507W206   Symbol: ATNM							
10/19/2020	80.00	964.69	10/16/2020	963.26	0.00	1.43	Sale
10/21/2020	20.00	239.60	10/16/2020	240.82	0.00	-1.22	Sale
<b>Security Totals:</b>		<b>1,204.29</b>		<b>1,204.08</b>		<b>0.21</b>	
PUT MS 08/21/20 47 MORGAN STANLEY   CUSIP:   Symbol: MS200821P00047000							
07/15/2020	1.00	105.84	07/06/2020	210.14	0.00	-104.30	Sell to Close
CALL MUR 01/15/21 12.50 MURPHY OIL CORP   CUSIP:   Symbol: MUR210115C00012500							
12/10/2020	1.00	174.84	12/03/2020	86.14	0.00	88.70	Sell to Close
CALL MRNA 10/16/20 90 MODERNA INC   CUSIP:   Symbol: MRNA201016C00090000							
10/16/2020	1.00	0.00	10/13/2020	31.14	0.00	-31.14	Expiration
PUT PTON 09/18/20 75 PELOTON INTERACTIVE INC CL A   CUSIP:   Symbol: PTON200918P00075000							
09/11/2020	1.00	30.84	09/10/2020	232.14	0.00	-201.30	Sell to Close
CALL TSLA 09/04/20 600 TESLA INC ADJ 5:1 STOCK SPLIT   CUSIP:   Symbol: TSLA200904C00600000							
09/01/2020	1.00	100.70	09/01/2020	0.00	0.00	100.70	Buy to Close
09/02/2020	2.00	35.44	09/02/2020	0.00	0.00	35.44	Buy to Close
<b>Security Totals:</b>		<b>136.14</b>		<b>0.00</b>		<b>136.14</b>	
CALL BABA 11/20/20 295 ALIBABA GROUP HOLDING LIMITED   CUSIP:   Symbol: BABA201120C00295000							
10/07/2020	1.00	2,096.80	09/30/2020	1,828.14	0.00	268.66	Sell to Close

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**SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS**

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PUT LULU 07/31/20	310	LULULEMON ATHLETICA INC   CUSIP:   Symbol: LULU200731P00310000					
07/23/2020	1.00	156.70	07/21/2020	0.00	0.00	156.70	Buy to Close
PUT FSLY 10/30/20	75	FASTLY INC CLASS A   CUSIP:   Symbol: FSLY201030P00075000					
10/19/2020	1.00	-1.30	10/16/2020	0.00	0.00	-1.30	Buy to Close
PUT FSLY 10/30/20	70	FASTLY INC CLASS A   CUSIP:   Symbol: FSLY201030P00070000					
10/16/2020	1.00	6.71	10/15/2020	0.00	0.00	6.71	Buy to Close
PUT W 10/30/20	250	WAYFAIR INC   CUSIP:   Symbol: W201030P00250000					
10/16/2020	1.00	58.70	10/14/2020	0.00	0.00	58.70	Buy to Close
CALL BLUE 01/15/21	50	BLUEBIRD BIO INC   CUSIP:   Symbol: BLUE210115C00050000					
12/11/2020	1.00	110.84	12/09/2020	163.14	0.00	-52.30	Sell to Close
PUT W 10/30/20	247.50	WAYFAIR INC   CUSIP:   Symbol: W201030P00247500					
10/09/2020	1.00	-71.30	10/09/2020	0.00	0.00	-71.30	Buy to Close C
PUT AMD 09/18/20	52.50	ADVANCED MICRO DEVICES INC   CUSIP:   Symbol: AMD200918P00052500					
07/27/2020	5.00	676.58	07/22/2020	0.00	0.00	676.58	Buy to Close
PUT ZM 08/21/20	245	ZOOM VIDEO COMMUNICATIONS INC   CUSIP:   Symbol: ZM200821P00245000					
08/21/2020	3.00	8.54	Various	38.42	0.00	-29.88	Sell to Close
CALL AMZN 11/27/20	3230	AMAZON.COM INC   CUSIP:   Symbol: AMZN201127C03230000					
11/27/2020	2.00	9.72	11/27/2020	56.27	0.00	-46.55	Sell to Close
CALL ZM 11/20/20	500	ZOOM VIDEO COMMUNICATIONS INC   CUSIP:   Symbol: ZM201120C00500000					
11/19/2020	1.00	24.84	11/17/2020	45.14	0.00	-20.30	Sell to Close
GENIUS BRANDS INTERNATIONAL INC COMMON STOCK   CUSIP: 37229T301   Symbol: GNUS							
11/18/2020	100.00	118.90	11/18/2020	118.58	0.00	0.32	Sale
NEWS CORPORATION CLASS A   CUSIP: 65249B109   Symbol: NWSA							
09/08/2020	10.00	146.28	09/04/2020	149.00	0.00	-2.72	Sale
CALL ZM 09/18/20	450	ZOOM VIDEO COMMUNICATIONS INC   CUSIP:   Symbol: ZM200918C00450000					
09/14/2020	1.00	181.70	09/09/2020	0.00	0.00	181.70	Buy to Close
TRICIDA INC COMMON STOCK   CUSIP: 89610F101   Symbol: TCDA							
12/11/2020	100.00	761.89	12/11/2020	779.07	0.00	-17.18	Sale
PUT ZM 08/28/20	250	ZOOM VIDEO COMMUNICATIONS INC   CUSIP:   Symbol: ZM200828P00250000					
	1.00	47.84	08/28/2020	0.00	0.00	47.84	Expiration

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**SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS**

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CALL AMAT 08/14/20 71 APPLIED MATERIALS INC   CUSIP:   Symbol: AMAT200814C00071000							
08/14/2020	2.00	3.71	08/13/2020	44.27	0.00	-40.56	Sell to Close
08/14/2020	2.00	0.00	08/13/2020	44.27	0.00	-44.27	Expiration
<b>Security Totals:</b>		<b>3.71</b>		<b>88.54</b>		<b>-84.83</b>	
CALL GOGO 02/19/21 15 GOGO INC   CUSIP:   Symbol: GOGO210219C00015000							
12/14/2020	5.00	109.28	Various	234.69	0.00	-125.41	Sell to Close
PUT BIGC 12/18/20 65 BIGCOMMERCE HOLDINGS INC   CUSIP:   Symbol: BIGC201218P00065000							
11/23/2020	1.00	13.70	11/23/2020	0.00	0.00	13.70	Buy to Close
DIGITAL ALLY INC COM   CUSIP: 25382P208   Symbol: DGLY							
11/04/2020	200.00	574.20	11/03/2020	608.16	0.00	-33.96	Sale
CALL LULU 12/11/20 367.50 LULULEMON ATHLETICA INC   CUSIP:   Symbol: LULU201211C00367500							
12/11/2020	1.00	1,177.68	12/09/2020	0.00	0.00	1,177.68	Buy to Close
CALL ROKU 10/16/20 235 ROKU INC   CUSIP:   Symbol: ROKU201016C00235000							
10/08/2020	1.00	-434.30	10/07/2020	0.00	0.00	-434.30	Buy to Close
ABIOMED INC   CUSIP: 003654100   Symbol: ABMD							
09/08/2020	10.00	2,696.03	09/04/2020	2,815.00	0.00	-118.97	Sale
CALL CCL 01/15/21 25 CARNIVAL CORP   CUSIP:   Symbol: CCL210115C00025000							
11/25/2020	1.00	103.85	11/24/2020	93.14	0.00	10.71	Sell to Close
CALL TGT 11/27/20 175 TARGET CORP   CUSIP:   Symbol: TGT201127C00175000							
11/19/2020	1.00	93.84	11/18/2020	188.14	0.00	-94.30	Sell to Close
PUT WMT 09/11/20 137 WALMART INC   CUSIP:   Symbol: WMT200911P00137000							
09/09/2020	1.00	22.84	09/04/2020	119.14	0.00	-96.30	Sell to Close
CALL AMZN 11/06/20 3345 AMAZON.COM INC   CUSIP:   Symbol: AMZN201106C03345000							
11/06/2020	1.00	349.84	11/06/2020	227.14	0.00	122.70	Sell to Close
CALL C 03/19/21 47.50 CITIGROUP INC   CUSIP:   Symbol: C210319C00047500							
10/14/2020	1.00	252.84	10/14/2020	264.14	11.3 D	0.00	Sell to Close
10/20/2020	1.00	241.84	10/15/2020	229.44	0.00	12.40	Sell to Close
<b>Security Totals:</b>		<b>494.68</b>		<b>493.58</b>		<b>12.40</b>	
SOLAREEDGE TECHNOLOGIES INC COM   CUSIP: 83417M104   Symbol: SEDG							
09/23/2020	50.00	9,749.73	09/23/2020	9,650.03	0.00	99.70	Sale
10/29/2020	5.00	1,359.95	10/28/2020	1,317.50	0.00	42.45	Sale

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APEX CLEARING

## Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B\*

OMB No. 1545-0715

5WU95787

(continued)

02/23/2021

**SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS**

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

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SOLAREDDGE TECHNOLOGIES INC COM   CUSIP: 83417M104   Symbol: SEDG							
11/04/2020	10.00	2,051.43	11/04/2020	2,000.08	0.00	51.35	Sale
11/09/2020	10.00	2,549.92	11/04/2020	2,082.50	0.00	467.42	Sale
11/12/2020	2.00	459.47	11/06/2020	474.00	0.00	-14.53	Sale
11/12/2020	8.00	1,905.94	11/06/2020	1,896.00	0.00	9.94	Sale
<b>Security Totals:</b>		<b>18,076.44</b>		<b>17,420.11</b>		<b>656.33</b>	
PLANET GREEN HOLDINGS CORP COMMON STOCK   CUSIP: 72703U102   Symbol: PLAG							
11/16/2020	100.00	208.90	11/16/2020	213.07	0.00	-4.17	Sale
CALL DKNG 12/18/20 60 DRAFTKINGS INC CL A   CUSIP:   Symbol: DKNG201218C00060000							
12/09/2020	1.00	64.84	11/30/2020	107.14	42.3 D	0.00	Sell to Close
12/09/2020	1.00	64.84	12/02/2020	112.44	0.00	-47.60	Sell to Close
<b>Security Totals:</b>		<b>129.68</b>		<b>219.58</b>		<b>-47.60</b>	
CALL AIV 01/15/21 5 APARTMENT INVSTMNT & MNGMNT CO   CUSIP:   Symbol: AIV210115C00005000							
12/28/2020	3.00	89.57	12/21/2020	108.41	0.00	-18.84	Sell to Close
CALL GOEV 01/15/21 22.50 CANOO INC CL A   CUSIP:   Symbol: GOEV210115C00022500							
12/22/2020	1.00	444.84	12/15/2020	236.14	0.00	208.70	Sell to Close
CALL QQQ 10/30/20 300 INVESCO QQQ TRUST SERIES 1   CUSIP:   Symbol: QQQ201030C00300000							
10/15/2020	1.00	268.84	10/15/2020	231.14	0.00	37.70	Sell to Close
CALL NVDA 12/04/20 562.50 NVIDIA CORP   CUSIP:   Symbol: NVDA201204C00562500							
12/02/2020	1.00	191.84	12/02/2020	221.14	0.00	-29.30	Sell to Close
XL FLEET CORP CLASS A COMMON STOCK   CUSIP: 9837FR100   Symbol: XL							
12/23/2020	100.00	3,169.83	12/23/2020	3,244.50	74.67 D	0.00	Sale
12/23/2020	300.00	9,428.52	Various	9,517.68	195.74 D	106.58	Sale
12/23/2020	100.00	3,219.83	12/23/2020	3,355.95	136.12 D	0.00	Sale
12/29/2020	200.00	5,071.70	Various	6,827.19	244.93 D	-1,510.56	Sale
<b>Security Totals:</b>		<b>20,889.88</b>		<b>22,945.32</b>		<b>-1,403.98</b>	
PUT UBER 08/21/20 34 UBER TECHNOLOGIES INC   CUSIP:   Symbol: UBER200821P00034000							
07/07/2020	1.00	40.70	07/06/2020	0.00	0.00	40.70	Buy to Close
PUT NIO 11/06/20 26 NIO INC ADS   CUSIP:   Symbol: NIO201106P00026000							
11/06/2020	1.00	0.00	11/02/2020	12.14	0.00	-12.14	Expiration

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APEX CLEARING

Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B\*

OMB No. 1545-0715

5WU95787

(continued)

02/23/2021

SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

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PUT GSX 07/17/20 45 GSX TECHEDU INC ADS   CUSIP:   Symbol: GSX200717P00045000							
	5.00	934.25	07/17/2020	0.00	0.00	934.25	Expiration
***VIPSHOP HOLDINGS LIMITED SPONSORED ADR   CUSIP: 92763W103   Symbol: VIPS							
12/30/2020	25.00	702.70	12/28/2020	653.02	0.00	49.68	Sale
CALL ZM 11/27/20 500 ZOOM VIDEO COMMUNICATIONS INC   CUSIP:   Symbol: ZM201127C00500000							
11/16/2020	1.00	194.84	11/13/2020	266.14	71.3 D	0.00	Sell to Close
11/23/2020	1.00	107.84	11/23/2020	295.74	187.9 D	0.00	Sell to Close
11/23/2020	1.00	127.84	11/20/2020	312.44	184.6 D	0.00	Sell to Close
11/23/2020	1.00	124.85	11/23/2020	334.04	209.19 D	0.00	Sell to Close
11/23/2020	1.00	106.84	11/23/2020	358.33	251.49 D	0.00	Sell to Close
11/27/2020	1.00	0.00	11/25/2020	369.63	0.00	-369.63	Expiration
<b>Security Totals:</b>		<b>662.21</b>		<b>1,936.32</b>		<b>-369.63</b>	
PUT PTON 11/20/20 94 PELOTON INTERACTIVE INC CL A   CUSIP:   Symbol: PTON201120P00094000							
11/13/2020	1.00	-30.30	11/13/2020	0.00	0.00	-30.30	Buy to Close
CALL AMD 01/15/21 105 ADVANCED MICRO DEVICES INC   CUSIP:   Symbol: AMD210115C00105000							
12/22/2020	1.00	90.84	12/14/2020	233.14	0.00	-142.30	Sell to Close
DOCUSIGN INC COMMON STOCK   CUSIP: 256163106   Symbol: DOCU							
09/04/2020	10.00	2,104.94	09/04/2020	2,172.00	67.06 D	0.00	Sale
09/25/2020	20.00	4,193.87	Various	4,217.07	45.13 D	21.93	Sale
10/01/2020	10.00	2,229.94	10/01/2020	2,260.13	30.19 D	0.00	Sale
10/05/2020	10.00	2,269.93	10/01/2020	2,250.19	0.00	19.74	Sale
11/12/2020	5.00	1,055.01	11/09/2020	1,005.00	0.00	50.01	Sale
11/13/2020	5.00	1,042.01	11/09/2020	1,005.00	0.00	37.01	Sale
11/23/2020	11.00	2,397.05	Various	2,440.50	44.36 D	0.91	Sale
12/04/2020	10.00	2,516.08	12/04/2020	2,559.36	0.00	-43.28	Sale
<b>Security Totals:</b>		<b>17,808.83</b>		<b>17,909.25</b>		<b>86.32</b>	
PUT SNAP 12/18/20 30 SNAP INC   CUSIP:   Symbol: SNAP201218P00030000							
11/30/2020	2.00	5.71	Various	78.28	0.00	-72.57	Sell to Close
AMAZON.COM INC   CUSIP: 023135106   Symbol: AMZN							
09/08/2020	1.00	3,156.21	09/08/2020	3,230.07	73.86 D	0.00	Sale

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APEX CLEARING

Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B\*

OMB No. 1545-0715

5WU95787

(continued)

02/23/2021

SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

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

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

Box 5: Box Not Checked (Covered Security)

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

Box 12: Basis Reported to the IRS

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

1a - Description of property | CUSIP | Symbol

1c - Date Sold or Disposed	Quantity	1d - Proceeds	1b - Date Acquired	1e - Cost or Other Basis	1f - Accrued Market Discount (M) & 1g - Wash Sale Loss Disallowed (D)	Gain or Loss (-)	Additional Notes
AMAZON.COM INC   CUSIP: 023135106   Symbol: AMZN							
09/08/2020	1.00	3,134.93	09/04/2020	3,165.00	30.07 D	0.00	Sale
09/28/2020	1.00	3,171.41	09/08/2020	3,228.86	57.45 D	0.00	Sale
09/30/2020	1.00	3,194.91	09/29/2020	3,212.45	17.54 D	0.00	Sale
10/09/2020	1.00	3,227.87	10/01/2020	3,219.54	0.00	8.33	Sale
11/04/2020	7.00	22,189.48	Various	22,121.00	177.14 D	245.62	Sale
11/06/2020	1.00	3,290.67	11/06/2020	3,406.30	115.63 D	0.00	Sale
11/06/2020	2.00	6,589.83	Various	6,738.23	148.40 D	0.00	Sale
11/09/2020	1.00	3,239.91	11/09/2020	3,274.96	35.05 D	0.00	Sale
11/20/2020	2.00	6,234.34	Various	6,340.62	106.28 D	0.00	Sale
11/23/2020	1.00	3,096.27	11/23/2020	3,151.08	54.81 D	0.00	Sale
12/01/2020	4.00	12,849.34	Various	12,781.28	34.53 D	102.59	Sale
12/08/2020	2.00	6,300.84	12/08/2020	6,311.85	11.01 D	0.00	Sale
12/17/2020	2.00	6,512.15	12/17/2020	6,536.31	0.00	-24.16	Sale
<b>Security Totals:</b>		<b>86,188.16</b>		<b>86,717.55</b>		<b>332.38</b>	
CALL ROKU 10/16/20 230 ROKU INC   CUSIP:   Symbol: ROKU201016C00230000							
10/08/2020	1.00	769.83	10/07/2020	236.14	0.00	533.69	Sell to Close
DAVE & BUSTERS ENTERTAINMENT INC COMMON STOCK   CUSIP: 238337109   Symbol: PLAY							
12/23/2020	100.00	2,969.84	12/22/2020	2,826.08	0.00	143.76	Sale
PUT LULU 11/27/20 300 LULULEMON ATHLETICA INC   CUSIP:   Symbol: LULU201127P00300000							
10/20/2020	1.00	554.83	10/19/2020	458.14	0.00	96.69	Sell to Close
CALL JKS 01/15/21 105 JINKOSOLAR HOLDING COMPANY LTD   CUSIP:   Symbol: JKS210115C00105000							
11/25/2020	1.00	154.84	11/23/2020	178.14	0.00	-23.30	Sell to Close
CALL SPY 10/30/20 339 STANDARD & POORS DEPOSITORY   CUSIP:   Symbol: SPY201030C00339000							
10/30/2020	1.00	0.00	10/29/2020	32.14	0.00	-32.14	Expiration
PUT INTC 10/30/20 50 INTEL CORP   CUSIP:   Symbol: INTC201030P00050000							
10/23/2020	1.00	224.85	10/22/2020	39.14	0.00	185.71	Sell to Close
PUT FB 10/09/20 220 FACEBOOK INC CL A   CUSIP:   Symbol: FB201009P00220000							
10/09/2020	1.00	0.00	09/29/2020	24.14	0.00	-24.14	Expiration

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APEX CLEARING

## Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B\*

OMB No. 1545-0715

5WU95787

(continued)

02/23/2021

**SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS**

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

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

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CALL FVRR 01/15/21 270			FIVERR INTERNATIONAL LTD   CUSIP:   Symbol: FVRR210115C00270000				
11/27/2020	1.00	449.84	11/25/2020	381.14	0.00	68.70	Sell to Close
PUT BABA 08/21/20 245			ALIBABA GROUP HOLDING LIMITED   CUSIP:   Symbol: BABA200821P00245000				
07/13/2020	3.00	185.09	07/09/2020	0.00	0.00	185.09	Buy to Close
CALL MSFT 09/18/20 245			MICROSOFT CORP   CUSIP:   Symbol: MSFT200918C00245000				
07/27/2020	1.00	5.70	07/23/2020	0.00	0.00	5.70	Buy to Close
PUT QDEL 11/20/20 180			QUIDEL CORP   CUSIP:   Symbol: QDEL201120P00180000				
11/16/2020	1.00	359.84	11/13/2020	246.14	0.00	113.70	Sell to Close
CALL IBM 01/15/21 145			INTL BUSINESS MACHINE   CUSIP:   Symbol: IBM210115C00145000				
11/11/2020	4.00	75.45	11/04/2020	52.54	0.00	22.91	Sell to Close
12/11/2020	3.00	41.57	Various	73.42	0.00	-31.85	Sell to Close
12/11/2020	2.00	27.71	11/24/2020	60.27	0.00	-32.56	Sell to Close
<b>Security Totals:</b>		<b>144.73</b>		<b>186.23</b>		<b>-41.50</b>	
GENERAL ELECTRIC COMPANY COM   CUSIP: 369604103   Symbol: GE							
09/16/2020	100.00	676.89	09/16/2020	675.08	0.00	1.81	Sale
11/09/2020	100.00	882.13	11/06/2020	811.08	0.00	71.05	Sale
<b>Security Totals:</b>		<b>1,559.02</b>		<b>1,486.16</b>		<b>72.86</b>	
PUT NFLX 07/31/20 425			NETFLIX INC   CUSIP:   Symbol: NFLX200731P00425000				
	5.00	239.27	07/31/2020	0.00	0.00	239.27	Expiration
CALL EFA 08/21/20 67			ISHARES MSCI EAFE ETF   CUSIP:   Symbol: EFA200821C00067000				
07/13/2020	1.00	16.84	07/08/2020	19.14	0.00	-2.30	Sell to Close
CALL SPY 10/30/20 333			STANDARD & POORS DEPOSITORY   CUSIP:   Symbol: SPY201030C00333000				
10/29/2020	1.00	183.84	10/29/2020	251.44	0.00	-67.60	Sell to Close
10/29/2020	1.00	178.84	10/29/2020	233.14	54.3 D	0.00	Sell to Close
<b>Security Totals:</b>		<b>362.68</b>		<b>484.58</b>		<b>-67.60</b>	
CALL AMZN 01/15/21 3135			AMAZON.COM INC   CUSIP:   Symbol: AMZN210115C03135000				
12/21/2020	1.00	15,440.50	12/09/2020	12,836.14	0.00	2,604.36	Sell to Close
PUT INTC 10/16/20 52			INTEL CORP   CUSIP:   Symbol: INTC201016P00052000				
10/09/2020	1.00	6.71	10/08/2020	0.00	0.00	6.71	Buy to Close

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APEX CLEARING

## Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B\*

OMB No. 1545-0715

5WU95787

(continued)

02/23/2021

**SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS**

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

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PUT AMZN 01/15/21	3145	AMAZON.COM INC   CUSIP:   Symbol: AMZN210115P03145000					
12/14/2020	2.00	21,311.24	12/07/2020	24,464.27	0.00	-3,153.03	Sell to Close
CALL CHWY 12/11/20	90	CHEWY INC CLASS A   CUSIP:   Symbol: CHWY201211C00090000					
12/11/2020	1.00	0.00	12/08/2020	106.14	0.00	-106.14	Expiration
CALL AAPL 11/20/20	135	APPLE INC ADJ 4:1 STOCK SPLIT   CUSIP:   Symbol: AAPL201120C00135000					
09/28/2020	1.00	202.84	09/17/2020	211.14	0.00	-8.30	Sell to Close
PUT AMD 09/25/20	70	ADVANCED MICRO DEVICES INC   CUSIP:   Symbol: AMD200925P00070000					
09/21/2020	1.00	47.70	09/09/2020	0.00	0.00	47.70	Buy to Close
PUT ZM 10/02/20	375	ZOOM VIDEO COMMUNICATIONS INC   CUSIP:   Symbol: ZM201002P00375000					
09/30/2020	1.00	9.85	09/29/2020	31.14	0.00	-21.29	Sell to Close
CALL ZM 10/16/20	470	ZOOM VIDEO COMMUNICATIONS INC   CUSIP:   Symbol: ZM201016C00470000					
09/15/2020	1.00	-239.32	09/04/2020	0.00	0.00	-239.32	Buy to Close
CALL SPY 12/07/20	370	STANDARD & POORS DEPOSITORY   CUSIP:   Symbol: SPY201207C00370000					
12/07/2020	1.00	0.00	12/04/2020	86.14	0.00	-86.14	Expiration
PUT SPY 10/30/20	336	STANDARD & POORS DEPOSITORY   CUSIP:   Symbol: SPY201030P00336000					
10/28/2020	1.00	549.83	10/27/2020	210.14	0.00	339.69	Sell to Close
CALL NVAX 12/11/20	160	NOVAVAX INC   CUSIP:   Symbol: NVAX201211C00160000					
12/01/2020	1.00	369.84	12/01/2020	526.14	0.00	-156.30	Sell to Close
CALL SPY 10/30/20	328	STANDARD & POORS DEPOSITORY   CUSIP:   Symbol: SPY201030C00328000					
10/30/2020	1.00	44.85	10/30/2020	48.14	0.00	-3.29	Sell to Close
PUT AMD 07/24/20	54	ADVANCED MICRO DEVICES INC   CUSIP:   Symbol: AMD200724P00054000					
	5.00	104.29	07/24/2020	0.00	0.00	104.29	Expiration
PUT SNOW 10/16/20	170	SNOWFLAKE INC CLASS A   CUSIP:   Symbol: SNOW201016P00170000					
10/02/2020	1.00	14.84	09/30/2020	26.14	0.00	-11.30	Sell to Close
DASEKE INC		COMMON STOCK   CUSIP: 23753F107   Symbol: DSKE					
08/24/2020	10.00	59.38	08/21/2020	63.90	0.00	-4.52	Sale
CALL SQ 11/27/20	210	SQUARE INC   CUSIP:   Symbol: SQ201127C00210000					
11/25/2020	1.00	304.84	11/24/2020	103.14	0.00	201.70	Sell to Close
PUT CYRX 11/20/20	25	CRYOPOINT INC   CUSIP:   Symbol: CYRX201120P00025000					
11/20/2020	1.00	0.00	11/02/2020	21.14	0.00	-21.14	Expiration

APEX CLEARING

## Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B\*

OMB No. 1545-0715

5WU95787

(continued)

02/23/2021

**SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS**

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

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

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PUT ETSY 10/30/20 115 ETSY INC   CUSIP:   Symbol: ETSY201030P00115000							
10/12/2020	1.00	19.70	10/09/2020	0.00	0.00	19.70	Buy to Close C
CALL SPY 10/30/20 332 STANDARD & POORS DEPOSITORY   CUSIP:   Symbol: SPY201030C00332000							
10/28/2020	1.00	177.84	10/28/2020	210.14	0.00	-32.30	Sell to Close
FEDEX CORP   CUSIP: 31428X106   Symbol: FDX							
10/07/2020	5.00	1,343.70	10/07/2020	1,335.00	0.00	8.70	Sale
12/02/2020	10.00	2,928.22	12/02/2020	2,909.80	0.00	18.42	Sale
<b>Security Totals:</b>		<b>4,271.92</b>		<b>4,244.80</b>		<b>27.12</b>	
PUT ZEN 09/18/20 85 ZENDESK INC   CUSIP:   Symbol: ZEN200918P00085000							
09/16/2020	1.00	6.84	09/08/2020	71.14	0.00	-64.30	Sell to Close
PUT FUBO 12/31/20 29 FUBOTV INC   CUSIP:   Symbol: FUBO201231P00029000							
12/31/2020	1.00	-4.30	12/31/2020	0.00	0.00	-4.30	Buy to Close
CALL SPY 10/30/20 331 STANDARD & POORS DEPOSITORY   CUSIP:   Symbol: SPY201030C00331000							
10/29/2020	1.00	199.84	10/28/2020	171.14	0.00	28.70	Sell to Close
PUT SPY 10/30/20 331 STANDARD & POORS DEPOSITORY   CUSIP:   Symbol: SPY201030P00331000							
10/29/2020	1.00	171.85	10/29/2020	198.14	0.00	-26.29	Sell to Close
CALL SAVE 01/15/21 30 SPIRIT AIRLINES INC   CUSIP:   Symbol: SAVE210115C00030000							
12/23/2020	1.00	29.84	12/10/2020	159.14	0.00	-129.30	Sell to Close
BEYOND MEAT INC COMMON STOCK   CUSIP: 08862E109   Symbol: BYND							
10/14/2020	10.00	1,879.94	10/13/2020	1,845.00	0.00	34.94	Sale
11/10/2020	10.00	1,184.95	11/09/2020	1,093.30	0.00	91.65	Sale
11/16/2020	100.00	12,642.63	11/16/2020	12,602.08	0.00	40.55	Sale
12/03/2020	10.00	1,435.95	12/03/2020	1,444.60	8.65 D	0.00	Sale
12/31/2020	70.00	8,693.78	Various	8,796.95	103.17 D	0.00	Sale
12/31/2020	100.00	12,436.63	Various	12,521.74	0.00	-85.11	Sale
<b>Security Totals:</b>		<b>38,273.88</b>		<b>38,303.67</b>		<b>82.03</b>	
PUT AMD 07/24/20 59 ADVANCED MICRO DEVICES INC   CUSIP:   Symbol: AMD200724P00059000							
07/22/2020	5.00	908.57	07/21/2020	0.00	0.00	908.57	Buy to Close
CALL AMD 08/14/20 90 ADVANCED MICRO DEVICES INC   CUSIP:   Symbol: AMD200814C00090000							
08/04/2020	1.00	152.84	07/28/2020	33.14	0.00	119.70	Sell to Close

**SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS**

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1c - Date Sold or Disposed	Quantity	1d - Proceeds	1b - Date Acquired	1e - Cost or Other Basis	1f - Accrued Market Discount (M) & 1g - Wash Sale Loss Disallowed (D)	Gain or Loss (-)	Additional Notes
CHEWY INC CLASS A COMMON STOCK PAR VALUE \$0.01 PER SHARE   CUSIP: 16679L109   Symbol: CHWY							
09/08/2020	20.00	1,259.95	09/04/2020	1,164.01	0.00	95.94	Sale
12/29/2020	10.00	900.47	12/29/2020	909.82	0.00	-9.35	Sale
<b>Security Totals:</b>		<b>2,160.42</b>		<b>2,073.83</b>		<b>86.59</b>	
PUT AMD 08/14/20 90 ADVANCED MICRO DEVICES INC   CUSIP:   Symbol: AMD200814P00090000							
07/28/2020	1.00	2,132.81	07/28/2020	2,165.14	0.00	-32.33	Sell to Close
PUT BIGC 11/20/20 70 BIGCOMMERCE HOLDINGS INC   CUSIP:   Symbol: BIGC201120P00070000							
10/16/2020	1.00	105.84	10/16/2020	112.14	6.3 D	0.00	Sell to Close
10/16/2020	1.00	105.84	10/16/2020	117.44	11.6 D	0.00	Sell to Close
<b>Security Totals:</b>		<b>211.68</b>		<b>229.58</b>		<b>0.00</b>	
PUT CVNA 11/13/20 170 CARVANA COMPANY   CUSIP:   Symbol: CVNA201113P00170000							
11/13/2020	1.00	0.00	11/09/2020	35.14	0.00	-35.14	Expiration
AGILENT TECHNOLOGIES INC   CUSIP: 00846U101   Symbol: A							
09/03/2020	10.00	998.36	09/02/2020	1,023.00	0.00	-24.64	Sale
PUT NIO 12/11/20 45 NIO INC ADS   CUSIP:   Symbol: NIO201211P00045000							
11/27/2020	1.00	61.70	11/24/2020	0.00	0.00	61.70	Buy to Close
CALL RKT 01/15/21 25 ROCKET COMPANIES INC CL A   CUSIP:   Symbol: RKT210115C00025000							
12/10/2020	2.00	159.71	Various	128.28	0.00	31.43	Sell to Close
TWITTER INC   CUSIP: 90184L102   Symbol: TWTR							
09/08/2020	10.00	385.38	09/04/2020	395.00	0.00	-9.62	Sale
PUT LULU 08/14/20 327.50 LULULEMON ATHLETICA INC   CUSIP:   Symbol: LULU200814P00327500							
08/11/2020	1.00	-50.30	08/10/2020	0.00	0.00	-50.30	Buy to Close
PUT AMD 09/11/20 77 ADVANCED MICRO DEVICES INC   CUSIP:   Symbol: AMD200911P00077000							
09/09/2020	1.00	34.84	09/04/2020	151.14	0.00	-116.30	Sell to Close
PUT OSTK 11/20/20 51 OVERSTOCK.COM INC   CUSIP:   Symbol: OSTK201120P00051000							
11/13/2020	1.00	-15.30	11/13/2020	0.00	0.00	-15.30	Buy to Close
PUT ZM 09/18/20 195 ZOOM VIDEO COMMUNICATIONS INC   CUSIP:   Symbol: ZM200918P00195000							
07/31/2020	2.00	989.68	07/24/2020	1,364.28	0.00	-374.60	Sell to Close
CALL NVDA 09/04/20 660 NVIDIA CORP   CUSIP:   Symbol: NVDA200904C00660000							
	5.00	574.30	09/04/2020	0.00	0.00	574.30	Expiration

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2020 Form 1099-B\*

OMB No. 1545-0715

5WU95787

(continued)

02/23/2021

**SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS**

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

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PUT EFA 08/21/20 57 ISHARES MSCI EAFE ETF   CUSIP:   Symbol: EFA200821P00057000							
07/15/2020	1.00	29.84	07/08/2020	61.14	0.00	-31.30	Sell to Close
CALL V 11/13/20 215 VISA INC   CUSIP:   Symbol: V201113C00215000							
11/03/2020	1.00	4.84	10/22/2020	87.14	0.00	-82.30	Sell to Close
AMERICAN WELL CORPORATION CLASS A COMMON STOCK   CUSIP: 03044L105   Symbol: AMWL							
10/06/2020	10.00	361.48	10/06/2020	346.00	0.00	15.48	Sale
10/07/2020	10.00	409.98	10/07/2020	404.20	0.00	5.78	Sale
10/19/2020	15.00	556.46	Various	538.75	0.00	17.71	Sale
12/15/2020	80.00	2,683.07	12/14/2020	2,601.97	0.00	81.10	Sale
12/15/2020	20.00	663.85	12/14/2020	650.49	0.00	13.36	Sale
<b>Security Totals:</b>		<b>4,674.84</b>		<b>4,541.41</b>		<b>133.43</b>	
CALL OPK 11/06/20 4.50 OPKO HEALTH INC   CUSIP:   Symbol: OPK201106C00004500							
10/30/2020	1.00	25.70	10/29/2020	0.00	0.00	25.70	Buy to Close
PUT TSLA 10/16/20 354 TESLA INC ADJ 5:1 STOCK SPLIT   CUSIP:   Symbol: TSLA201016P00354000							
10/06/2020	1.00	8.70	10/06/2020	0.00	0.00	8.70	Buy to Close
10/07/2020	1.00	102.70	10/06/2020	0.00	0.00	102.70	Buy to Close
<b>Security Totals:</b>		<b>111.40</b>		<b>0.00</b>		<b>111.40</b>	
YEXT INC COMMON STOCK   CUSIP: 98585N106   Symbol: YEXT							
11/09/2020	100.00	1,983.86	11/09/2020	1,997.08	13.22 D	0.00	Sale
11/23/2020	100.00	1,822.60	11/20/2020	1,828.67	0.00	-6.07	Sale
<b>Security Totals:</b>		<b>3,806.46</b>		<b>3,825.75</b>		<b>-6.07</b>	
PUT ETSY 10/30/20 101 ETSY INC   CUSIP:   Symbol: ETSY201030P00101000							
10/05/2020	1.00	48.70	10/01/2020	0.00	0.00	48.70	Buy to Close
PUT SPY 10/21/20 344 STANDARD & POORS DEPOSITORY   CUSIP:   Symbol: SPY201021P00344000							
10/20/2020	1.00	215.84	10/20/2020	240.14	0.00	-24.30	Sell to Close C
CALL OPK 11/20/20 6 OPKO HEALTH INC   CUSIP:   Symbol: OPK201120C00006000							
10/14/2020	1.00	16.84	10/14/2020	21.14	0.00	-4.30	Sell to Close
CALL SAP 03/19/21 120 SAP SE   CUSIP:   Symbol: SAP210319C00120000							
11/13/2020	1.00	909.82	10/26/2020	801.14	0.00	108.68	Sell to Close

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APEX CLEARING

## Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B\*

OMB No. 1545-0715

5WU95787

(continued)

02/23/2021

**SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS**

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

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

1c - Date Sold or Disposed	Quantity	1d - Proceeds	1b - Date Acquired	1e - Cost or Other Basis	1f - Accrued Market Discount (M) & 1g - Wash Sale Loss Disallowed (D)	Gain or Loss (-)	Additional Notes
PUT SE 10/23/20 144 SEA LTD   CUSIP:   Symbol: SE201023P00144000							
10/08/2020	1.00	28.71	10/07/2020	0.00	0.00	28.71	Buy to Close C
PUT SPY 10/30/20 324 STANDARD & POORS DEPOSITORY   CUSIP:   Symbol: SPY201030P00324000							
10/30/2020	1.00	140.84	10/30/2020	147.14	6.3 D	0.00	Sell to Close
10/30/2020	1.00	60.84	10/30/2020	192.44	0.00	-131.60	Sell to Close
<b>Security Totals:</b>		<b>201.68</b>		<b>339.58</b>		<b>-131.60</b>	
CALL STWD 01/21/22 17.50 STARWOOD PROPERTY TRUST INC   CUSIP:   Symbol: STWD220121C00017500							
12/14/2020	1.00	249.84	11/23/2020	221.14	0.00	28.70	Sell to Close
CALL SPY 10/30/20 326 STANDARD & POORS DEPOSITORY   CUSIP:   Symbol: SPY201030C00326000							
10/30/2020	1.00	117.84	10/30/2020	150.43	0.00	-32.59	Sell to Close
10/30/2020	1.00	126.85	10/30/2020	141.14	14.29 D	0.00	Sell to Close
<b>Security Totals:</b>		<b>244.69</b>		<b>291.57</b>		<b>-32.59</b>	
PUT SPY 10/30/20 323 STANDARD & POORS DEPOSITORY   CUSIP:   Symbol: SPY201030P00323000							
10/29/2020	1.00	172.84	10/29/2020	220.14	0.00	-47.30	Sell to Close
CALL BA 01/15/21 230 BOEING CO   CUSIP:   Symbol: BA210115C00230000							
12/29/2020	1.00	349.84	12/29/2020	361.14	0.00	-11.30	Sell to Close
TARGET CORP   CUSIP: 87612E106   Symbol: TGT							
11/20/2020	10.00	1,728.55	11/18/2020	1,691.30	0.00	37.25	Sale
CALL NIU 11/20/20 45 NIU TECHNOLOGIES ADS   CUSIP:   Symbol: NIU201120C00045000							
11/13/2020	5.00	109.29	11/04/2020	80.68	0.00	28.61	Sell to Close
CALL TSLA 10/30/20 415 TESLA INC   CUSIP:   Symbol: TSLA201030C00415000							
10/30/2020	1.00	-2.30	10/30/2020	0.00	0.00	-2.30	Buy to Close
CALL VBIV 01/15/21 4.50 VBI VACCINES INC   CUSIP:   Symbol: VBIV210115C00004500							
12/11/2020	2.00	27.69	12/07/2020	52.27	0.00	-24.58	Sell to Close
PUT BA 10/09/20 130 BOEING CO   CUSIP:   Symbol: BA201009P00130000							
09/28/2020	1.00	31.84	09/25/2020	79.14	0.00	-47.30	Sell to Close
CALL AMZN 09/25/20 3125 AMAZON.COM INC   CUSIP:   Symbol: AMZN200925C03125000							
09/25/2020	1.00	64.84	09/25/2020	51.14	0.00	13.70	Sell to Close
CALL TSLA 12/31/20 700 TESLA INC   CUSIP:   Symbol: TSLA201231C00700000							
12/28/2020	1.00	374.84	12/28/2020	330.44	0.00	44.40	Sell to Close
12/28/2020	1.00	319.84	12/28/2020	365.14	45.3 D	0.00	Sell to Close

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APEX CLEARING

## Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B\*

OMB No. 1545-0715

5WU95787

(continued)

02/23/2021

**SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS**

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

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

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CALL TSLA 12/31/20 700 TESLA INC   CUSIP:   Symbol: TSLA201231C00700000							
12/30/2020	2.00	599.70	Various	378.58	0.00	221.12	Sell to Close
12/30/2020	2.00	413.71	Various	401.28	13.28 D	25.71	Sell to Close
12/30/2020	1.00	280.84	12/30/2020	204.42	0.00	76.42	Sell to Close
12/30/2020	1.00	229.84	12/30/2020	248.14	18.3 D	0.00	Sell to Close
<b>Security Totals:</b>		<b>2,218.77</b>		<b>1,928.00</b>		<b>367.65</b>	
***FORESIGHT AUTONOMOUS HOLDINGS LTD AMERICAN DEPOSITORY SHARES   CUSIP: 345523104   Symbol: FRSX							
12/11/2020	500.00	919.52	12/11/2020	1,245.18	0.00	-325.66	Sale
12/11/2020	500.00	1,025.06	12/11/2020	1,330.39	305.33 D	0.00	Sale
<b>Security Totals:</b>		<b>1,944.58</b>		<b>2,575.57</b>		<b>-325.66</b>	
***FIAT CHRYSLER AUTOMOBILES N V   CUSIP: N31738102   Symbol: FCAU							
12/30/2020	10.00	184.18	12/30/2020	186.05	0.00	-1.87	Sale
CALL NIU 03/19/21 45 NIU TECHNOLOGIES ADS   CUSIP:   Symbol: NIU210319C00045000							
12/23/2020	2.00	253.69	Various	702.28	0.00	-448.59	Sell to Close
PUT IBM 11/20/20 110 INTL BUSINESS MACHINE   CUSIP:   Symbol: IBM201120P00110000							
11/06/2020	1.00	-31.30	10/13/2020	0.00	0.00	-31.30	Buy to Close
CALL SOLO 01/21/22 5 ELECTROMECCANICA VEHICLES CORP   CUSIP:   Symbol: SOLO220121C00005000							
11/13/2020	1.00	324.84	11/12/2020	196.14	0.00	128.70	Sell to Close
CALL QS 12/11/20 80 QUANTUMSCAPE CORPORATION CL A   CUSIP:   Symbol: QS201211C00080000							
12/11/2020	1.00	19.84	12/10/2020	188.14	0.00	-168.30	Sell to Close
CALL SPY 10/02/20 340 STANDARD & POORS DEPOSITORY   CUSIP:   Symbol: SPY201002C00340000							
10/02/2020	1.00	3.84	10/02/2020	11.14	0.00	-7.30	Sell to Close
PUT CHWY 09/11/20 57.50 CHEWY INC CLASS A   CUSIP:   Symbol: CHWY200911P00057500							
09/11/2020	1.00	35.84	09/09/2020	191.14	0.00	-155.30	Sell to Close
VAXART INC COMMON STOCK   CUSIP: 92243A200   Symbol: VXRT							
11/23/2020	100.00	628.15	11/20/2020	647.97	0.00	-19.82	Sale
CALL AMZN 11/13/20 3115 AMAZON.COM INC   CUSIP:   Symbol: AMZN201113C03115000							
11/13/2020	1.00	419.84	11/13/2020	406.14	0.00	13.70	Sell to Close
CALL NFLX 10/02/20 540 NETFLIX INC   CUSIP:   Symbol: NFLX201002C00540000							
10/01/2020	1.00	29.84	10/01/2020	51.14	0.00	-21.30	Sell to Close

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APEX CLEARING

## Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B\*

OMB No. 1545-0715

5WU95787

(continued)

02/23/2021

**SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS**

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

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1c - Date Sold or Disposed	Quantity	1d - Proceeds	1b - Date Acquired	1e - Cost or Other Basis	1f - Accrued Market Discount (M) & 1g - Wash Sale Loss Disallowed (D)	Gain or Loss (-)	Additional Notes
CALL KODK 11/20/20	10	EASTMAN KODAK COMPANY   CUSIP:   Symbol: KODK201120C00010000					
11/11/2020	1.00	47.70	10/26/2020	0.00	0.00	47.70	Buy to Close
CALL VSTO 11/20/20	25	VISTA OUTDOOR INC   CUSIP:   Symbol: VSTO201120C00025000					
11/06/2020	1.00	43.70	10/29/2020	0.00	0.00	43.70	Buy to Close
CALL SPLK 01/15/21	200	SPLUNK INC   CUSIP:   Symbol: SPLK210115C00200000					
12/11/2020	2.00	173.69	Various	217.28	0.00	-43.59	Sell to Close
ADAPTIVE BIOTECHNOLOGIES CORPORATION COMMON STOCK   CUSIP: 00650F109   Symbol: ADPT							
10/05/2020	20.00	999.94	09/29/2020	996.61	0.00	3.33	Sale
CALL DOCU 10/16/20	300	DOCUSIGN INC   CUSIP:   Symbol: DOCU201016C00300000					
10/05/2020	1.00	56.84	10/05/2020	71.14	0.00	-14.30	Sell to Close
CALL WCLD 06/18/21	60	WISDOMTREE CLOUD COMPUTING FD   CUSIP:   Symbol: WCLD210618C00060000					
12/08/2020	2.00	389.71	Various	312.28	0.00	77.43	Sell to Close
CALL TSLA 07/24/20	1990	TESLA INC   CUSIP:   Symbol: TSLA200724C01990000					
07/23/2020	1.00	1,377.67	07/22/2020	0.00	0.00	1,377.67	Buy to Close
CALL FROG 02/19/21	65	JFROG LTD   CUSIP:   Symbol: FROG210219C00065000					
12/31/2020	1.00	578.83	12/21/2020	986.14	0.00	-407.31	Sell to Close
CALL BABA 12/24/20	310	ALIBABA GROUP HOLDING LIMITED   CUSIP:   Symbol: BABA201224C00310000					
11/16/2020	1.00	196.84	11/13/2020	268.14	0.00	-71.30	Sell to Close
CALL BABA 03/19/21	250	ALIBABA GROUP HOLDING LIMITED   CUSIP:   Symbol: BABA210319C00250000					
12/29/2020	1.00	1,020.82	12/24/2020	907.14	0.00	113.68	Sell to Close
TWILIO INC CL A   CUSIP: 90138F102   Symbol: TWLO							
09/16/2020	100.00	23,329.38	09/16/2020	23,240.08	0.00	89.30	Sale
11/27/2020	10.00	3,139.92	11/27/2020	3,104.40	0.00	35.52	Sale
<b>Security Totals:</b>		<b>26,469.30</b>		<b>26,344.48</b>		<b>124.82</b>	
***SUNOPTA INC   CUSIP: 8676EP108   Symbol: STKL							
11/17/2020	100.00	893.89	11/13/2020	887.97	0.00	5.92	Sale
12/10/2020	100.00	1,027.88	11/30/2020	1,015.58	0.00	12.30	Sale
<b>Security Totals:</b>		<b>1,921.77</b>		<b>1,903.55</b>		<b>18.22</b>	
PUT TSLA 10/30/20	355	TESLA INC   CUSIP:   Symbol: TSLA201030P00355000					
10/22/2020	1.00	99.70	10/19/2020	0.00	0.00	99.70	Buy to Close

APEX CLEARING

Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B\*

OMB No. 1545-0715

5WU95787

(continued)

02/23/2021

SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

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

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

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

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MASTERCARD INCORPORATED   CUSIP: 57636Q104   Symbol: MA							
09/09/2020	10.00	3,420.98	09/04/2020	3,305.20	0.00	115.78	Sale
PUT W 08/14/20 222.50 WAYFAIR INC   CUSIP:   Symbol: W200814P00222500							
	1.00	192.85	08/14/2020	0.00	0.00	192.85	Expiration
ESPERION THERAPEUTICS INC   CUSIP: 29664W105   Symbol: ESPR							
09/09/2020	10.00	379.97	09/02/2020	364.20	0.00	15.77	Sale
CALL AAL 12/11/20 20 AMERICAN AIRLINES GROUP INC   CUSIP:   Symbol: AAL201211C00020000							
12/11/2020	2.00	0.00	12/07/2020	62.27	0.00	-62.27	Expiration
CALL SONO 06/18/21 30 SONOS INC   CUSIP:   Symbol: SONO210618C00030000							
12/14/2020	1.00	157.84	12/04/2020	228.14	0.00	-70.30	Sell to Close
CALL QQQ 10/02/20 275 INVESCO QQQ TRUST SERIES 1   CUSIP:   Symbol: QQQ201002C00275000							
09/25/2020	1.00	229.84	09/25/2020	156.14	0.00	73.70	Sell to Close
CALL NVAX 11/27/20 120 NOVAVAX INC   CUSIP:   Symbol: NVAX201127C00120000							
11/27/2020	1.00	159.84	11/27/2020	139.14	0.00	20.70	Sell to Close
OCEAN POWER TECHNOLOGIES INC COMMON STOCK   CUSIP: 674870506   Symbol: OPTT							
11/20/2020	500.00	1,115.06	11/20/2020	1,130.40	6.14 D	-9.20	Sale
11/25/2020	200.00	597.80	11/24/2020	616.30	0.00	-18.50	Sale
<b>Security Totals:</b>		<b>1,712.86</b>		<b>1,746.70</b>		<b>-27.70</b>	
PUT PTON 11/13/20 90 PELOTON INTERACTIVE INC CL A   CUSIP:   Symbol: PTON201113P00090000							
10/19/2020	1.00	7.70	10/16/2020	0.00	0.00	7.70	Buy to Close
PUT FSLY 12/04/20 84 FASTLY INC CLASS A   CUSIP:   Symbol: FSLY201204P00084000							
11/30/2020	1.00	444.84	11/30/2020	296.14	0.00	148.70	Sell to Close
PUT NFLX 10/16/20 450 NETFLIX INC   CUSIP:   Symbol: NFLX201016P00450000							
10/07/2020	1.00	36.70	10/06/2020	0.00	0.00	36.70	Buy to Close
PUT AMD 08/21/20 55 ADVANCED MICRO DEVICES INC   CUSIP:   Symbol: AMD200821P00055000							
07/10/2020	1.00	29.70	07/09/2020	0.00	0.00	29.70	Buy to Close
CALL TSLA 10/02/20 465 TESLA INC ADJ 5:1 STOCK SPLIT   CUSIP:   Symbol: TSLA201002C00465000							
10/01/2020	1.00	409.84	10/01/2020	341.14	0.00	68.70	Sell to Close
PUT PLTR 12/18/20 7 PALANTIR TECHNOLOGIES INC CL A   CUSIP:   Symbol: PLTR201218P00007000							
12/18/2020	1.00	0.00	10/21/2020	13.14	0.00	-13.14	Expiration

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**SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS**

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

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INOVIO PHARMACEUTICALS INC COM   CUSIP: 45773H201   Symbol: INO							
09/16/2020	50.00	924.91	09/16/2020	735.04	0.00	189.87	Sale
09/16/2020	50.00	877.43	09/16/2020	735.04	0.00	142.39	Sale
<b>Security Totals:</b>		<b>1,802.34</b>		<b>1,470.08</b>		<b>332.26</b>	
PUT FSLY 10/30/20 55 FASTLY INC CLASS A   CUSIP:   Symbol: FSLY201030P00055000							
10/30/2020	1.00	0.00	10/16/2020	15.14	0.00	-15.14	Expiration C
PUT TSLA 10/30/20 350 TESLA INC   CUSIP:   Symbol: TSLA201030P00350000							
10/22/2020	1.00	101.84	10/19/2020	181.14	0.00	-79.30	Sell to Close
PUT TSLA 10/16/20 312 TESLA INC ADJ 5:1 STOCK SPLIT   CUSIP:   Symbol: TSLA201016P00312000							
09/16/2020	1.00	2,272.63	09/08/2020	0.00	0.00	2,272.63	Buy to Close
PUT ETSY 11/13/20 110 ETSY INC   CUSIP:   Symbol: ETSY201113P00110000							
11/10/2020	1.00	-12.30	11/10/2020	0.00	0.00	-12.30	Buy to Close
CALL TSLA 10/02/20 470 TESLA INC ADJ 5:1 STOCK SPLIT   CUSIP:   Symbol: TSLA201002C00470000							
10/01/2020	1.00	434.84	10/01/2020	396.14	0.00	38.70	Sell to Close
CALL JMIA 11/20/20 24 JUMIA TECHNOLOGIES AG   CUSIP:   Symbol: JMIA201120C00024000							
11/19/2020	1.00	86.84	11/19/2020	83.14	0.00	3.70	Sell to Close
CALL SGEN 01/15/21 200 SEAGEN INC   CUSIP:   Symbol: SGEN210115C00200000							
12/14/2020	1.00	-390.31	12/11/2020	0.00	0.00	-390.31	Buy to Close
PUT NIU 11/20/20 22.50 NIU TECHNOLOGIES ADS   CUSIP:   Symbol: NIU201120P00022500							
10/14/2020	1.00	5.70	10/12/2020	0.00	0.00	5.70	Buy to Close
PUT OPK 10/30/20 3.50 OPKO HEALTH INC   CUSIP:   Symbol: OPK201030P00003500							
10/30/2020	1.00	10.84	10/21/2020	12.14	0.00	-1.30	Sell to Close C
MURPHY OIL CORPORATION   CUSIP: 626717102   Symbol: MUR							
09/04/2020	100.00	1,407.87	09/02/2020	1,335.08	0.00	72.79	Buy to Cover Short
PUT TSLA 10/09/20 345 TESLA INC   CUSIP:   Symbol: TSLA201009P00345000							
09/23/2020	1.00	-391.32	09/18/2020	0.00	0.00	-391.32	Buy to Close
PUT VXX 07/31/20 23 IPATH SER B S&P 500 VIX SHORT   CUSIP:   Symbol: VXX200731P00023000							
07/31/2020	2.00	0.00	Various	6.28	0.00	-6.28	Expiration
CPS TECHNOLOGIES CORP   CUSIP: 12619F104   Symbol: CPSH							
11/24/2020	100.00	259.90	11/23/2020	315.08	0.00	-55.18	Sale

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APEX CLEARING

## Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B\*

OMB No. 1545-0715

5WU95787

(continued)

02/23/2021

## SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

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

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

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

1c - Date Sold or Disposed	Quantity	1d - Proceeds	1b - Date Acquired	1e - Cost or Other Basis	1f - Accrued Market Discount (M) & 1g - Wash Sale Loss Disallowed (D)	Gain or Loss (-)	Additional Notes
CALL PTON 11/13/20	105		PELTON INTERACTIVE INC CL A   CUSIP:   Symbol: PTON201113C00105000				
11/11/2020	1.00	-92.30	11/10/2020	0.00	0.00	-92.30	Buy to Close
***LIMINAL BIOSCIENCES INC			COM   CUSIP: 53272L103   Symbol: LMNL				
11/18/2020	200.00	873.80	11/18/2020	872.16	0.00	1.64	Sale
12/03/2020	100.00	437.90	12/03/2020	448.24	0.00	-10.34	Sale
<b>Security Totals:</b>		<b>1,311.70</b>		<b>1,320.40</b>		<b>-8.70</b>	
PUT TSLA 10/16/20	330		TESLA INC ADJ 5:1 STOCK SPLIT   CUSIP:   Symbol: TSLA201016P00330000				
10/05/2020	1.00	36.70	10/02/2020	0.00	0.00	36.70	Buy to Close
CALL AMZN 03/19/21	3300		AMAZON.COM INC   CUSIP:   Symbol: AMZN210319C03300000				
12/28/2020	1.00	19,414.42	12/23/2020	18,362.14	0.00	1,052.28	Sell to Close
12/28/2020	1.00	19,416.42	12/23/2020	18,362.14	0.00	1,054.28	Sell to Close
<b>Security Totals:</b>		<b>38,830.84</b>		<b>36,724.28</b>		<b>2,106.56</b>	
PUT XPEV 11/20/20	35		XPENG INC ADR CLASS A   CUSIP:   Symbol: XPEV201120P00035000				
11/13/2020	1.00	72.84	11/12/2020	119.14	0.00	-46.30	Sell to Close
PUT VXX 09/18/20	22		IPATH SER B S&P 500 VIX SHORT   CUSIP:   Symbol: VXX200918P00022000				
09/03/2020	1.00	8.84	09/01/2020	23.14	0.00	-14.30	Sell to Close
JEFFERIES FINANCIAL GROUP INC			COMMON STOCK   CUSIP: 47233W109   Symbol: JEF				
12/02/2020	100.00	2,336.85	12/02/2020	2,361.00	0.00	-24.15	Sale
CALL NKLA 01/15/21	40		NIKOLA CORPORATION   CUSIP:   Symbol: NKLA210115C00040000				
11/27/2020	1.00	175.84	11/25/2020	271.14	0.00	-95.30	Sell to Close
***JFROG LTD			ORDINARY SHARES   CUSIP: M6191J100   Symbol: FROG				
12/31/2020	50.00	3,131.88	12/31/2020	3,136.53	0.00	-4.65	Sale
CALL SGEN 01/15/21	190		SEAGEN INC   CUSIP:   Symbol: SGEN210115C00190000				
12/14/2020	1.00	1,481.81	12/11/2020	990.14	0.00	491.67	Sell to Close
PUT JWN 10/16/20	9		NORDSTROM INC   CUSIP:   Symbol: JWN201016P00009000				
10/16/2020	1.00	0.00	09/29/2020	7.14	0.00	-7.14	Expiration C
PUT BIGC 10/16/20	60		BIGCOMMERCE HOLDINGS INC   CUSIP:   Symbol: BIGC201016P00060000				
10/01/2020	1.00	14.84	09/23/2020	92.14	0.00	-77.30	Sell to Close
PUT JMIA 12/18/20	34		JUMIA TECHNOLOGIES AG   CUSIP:   Symbol: JMIA201218P00034000				
12/14/2020	1.00	5.70	12/14/2020	0.00	0.00	5.70	Buy to Close

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APEX CLEARING

## Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B\*

OMB No. 1545-0715

5WU95787

(continued)

02/23/2021

**SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS**

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

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PUT FSLY 07/31/20	75	FASTLY INC CLASS A   CUSIP:   Symbol: FSLY200731P00075000					
07/28/2020	5.00	364.24	07/23/2020	900.69	0.00	-536.45	Sell to Close
CALL JMIA 12/18/20	39	JUMIA TECHNOLOGIES AG   CUSIP:   Symbol: JMIA201218C00039000					
12/11/2020	1.00	-12.30	12/11/2020	0.00	12.3 D	0.00	Buy to Close
12/14/2020	1.00	-20.60	12/11/2020	0.00	0.00	-20.60	Buy to Close
<b>Security Totals:</b>		<b>-32.90</b>		<b>0.00</b>		<b>-20.60</b>	
STAFFING 360 SOLUTIONS INC		COMMON STOCK   CUSIP: 852387307   Symbol: STAF					
10/15/2020	20.00	45.07	10/14/2020	20.82	0.00	24.25	Sale
10/15/2020	80.00	259.92	10/14/2020	83.26	0.00	176.66	Sale
<b>Security Totals:</b>		<b>304.99</b>		<b>104.08</b>		<b>200.91</b>	
CALL PLUG 01/15/21	28	PLUG POWER INC   CUSIP:   Symbol: PLUG210115C00028000					
12/10/2020	3.00	908.54	Various	880.42	48.29 D	76.41	Sell to Close
12/14/2020	1.00	240.84	12/10/2020	369.43	0.00	-128.59	Sell to Close
<b>Security Totals:</b>		<b>1,149.38</b>		<b>1,249.85</b>		<b>-52.18</b>	
CALL AMBA 01/15/21	90	AMBARELLA INC   CUSIP:   Symbol: AMBA210115C00090000					
11/27/2020	1.00	164.84	11/24/2020	121.14	0.00	43.70	Sell to Close
WORLD ACCEPTANCE CORP-S.C.		CUSIP: 981419104   Symbol: WRLD					
08/31/2020	10.00	914.36	08/26/2020	954.10	0.00	-39.74	Sale
PUT AMZN 01/15/21	3175	AMAZON.COM INC   CUSIP:   Symbol: AMZN210115P03175000					
12/21/2020	1.00	5,482.39	11/30/2020	0.00	0.00	5,482.39	Buy to Close
PUT CSCO 12/18/20	36	CISCO SYSTEMS INC   CUSIP:   Symbol: CSCO201218P00036000					
11/13/2020	1.00	9.84	11/13/2020	15.14	0.00	-5.30	Sell to Close
PUT ZM 11/13/20	325	ZOOM VIDEO COMMUNICATIONS INC   CUSIP:   Symbol: ZM201113P00325000					
11/09/2020	1.00	20.84	11/09/2020	38.14	0.00	-17.30	Sell to Close
PUT TSLA 10/30/20	300	TESLA INC   CUSIP:   Symbol: TSLA201030P00300000					
10/30/2020	1.00	0.00	10/16/2020	47.14	0.00	-47.14	Expiration
CALL DOCU 12/04/20	255	DOCUSIGN INC   CUSIP:   Symbol: DOCU201204C00255000					
12/04/2020	1.00	55.84	12/04/2020	81.14	0.00	-25.30	Sell to Close
PUT AMZN 01/15/21	3150	AMAZON.COM INC   CUSIP:   Symbol: AMZN210115P03150000					
12/14/2020	2.00	3,148.89	12/07/2020	0.00	0.00	3,148.89	Buy to Close

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## Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B\*

OMB No. 1545-0715

5WU95787

(continued)

02/23/2021

**SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS**

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

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CALL AMZN 10/09/20 3300	AMAZON.COM INC   CUSIP:   Symbol: AMZN201009C03300000						
10/08/2020	1.00	149.84	10/08/2020	206.14	0.00	-56.30	Sell to Close
BIOCRYST PHARMACEUTICALS INC   CUSIP: 09058V103   Symbol: BCRX							
12/04/2020	100.00	578.89	12/04/2020	615.45	0.00	-36.56	Sale
12/04/2020	100.00	602.89	12/04/2020	615.08	12.19 D	0.00	Sale
12/04/2020	100.00	590.90	12/04/2020	615.27	24.37 D	0.00	Sale
<b>Security Totals:</b>		<b>1,772.68</b>		<b>1,845.80</b>		<b>-36.56</b>	
PUT TSLA 10/16/20 310	TESLA INC		ADJ 5:1 STOCK SPLIT   CUSIP:   Symbol: TSLA201016P00310000				
09/16/2020	1.00	908.82	09/08/2020	3,133.14	0.00	-2,224.32	Sell to Close
CALL CORT 12/18/20 23	CORCEPT THERAPEUTICS INC   CUSIP:   Symbol: CORT201218C00023000						
12/04/2020	1.00	-29.30	11/23/2020	0.00	0.00	-29.30	Buy to Close
CALL SPY 10/30/20 355	STANDARD & POORS DEPOSITORY   CUSIP:   Symbol: SPY201030C00355000						
10/15/2020	1.00	239.84	10/15/2020	181.14	0.00	58.70	Sell to Close
CALL AAPL 01/15/21 140	APPLE INC		ADJ 4:1 STOCK SPLIT   CUSIP:   Symbol: AAPL210115C00140000				
12/11/2020	1.00	86.84	12/11/2020	90.14	0.00	-3.30	Sell to Close
CALL ZM 09/18/20 300	ZOOM VIDEO COMMUNICATIONS INC   CUSIP:   Symbol: ZM200918C00300000						
07/31/2020	1.00	686.83	07/24/2020	768.14	0.00	-81.31	Sell to Close
CALL AAPL 01/15/21 130	APPLE INC		ADJ 4:1 STOCK SPLIT   CUSIP:   Symbol: AAPL210115C00130000				
12/23/2020	2.00	1,089.69	Various	877.28	16.3 D	228.71	Sell to Close
CALL AAPL 01/15/21 135	APPLE INC		ADJ 4:1 STOCK SPLIT   CUSIP:   Symbol: AAPL210115C00135000				
12/24/2020	1.00	364.84	12/23/2020	306.14	0.00	58.70	Sell to Close
12/31/2020	2.00	649.71	Various	691.28	41.28 D	-0.29	Sell to Close
<b>Security Totals:</b>		<b>1,014.55</b>		<b>997.42</b>		<b>58.41</b>	
PUT FSLY 12/04/20 87.50	FASTLY INC CLASS A   CUSIP:   Symbol: FSLY201204P00087500						
12/04/2020	1.00	59.84	12/04/2020	47.14	0.00	12.70	Sell to Close
LULULEMON ATHLETICA INC   CUSIP: 550021109   Symbol: LULU							
12/02/2020	10.00	3,782.80	12/02/2020	3,799.60	0.00	-16.80	Sale
PUT ZM 10/30/20 447.50	ZOOM VIDEO COMMUNICATIONS INC   CUSIP:   Symbol: ZM201030P00447500						
10/30/2020	1.00	78.85	10/30/2020	46.14	0.00	32.71	Sell to Close
PUT AMD 10/30/20 72	ADVANCED MICRO DEVICES INC   CUSIP:   Symbol: AMD201030P00072000						
10/12/2020	1.00	45.71	10/09/2020	0.00	0.00	45.71	Buy to Close

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2020 Form 1099-B\*

OMB No. 1545-0715

5WU95787

(continued)

02/23/2021

**SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS**

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

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CALL NVAX 11/27/20	102	NOVAVAX INC   CUSIP:   Symbol: NVAX201127C00102000					
11/25/2020	1.00	219.84	11/25/2020	219.14	0.00	0.70	Sell to Close
CALL DLTR 01/15/21	115	DOLLAR TREE INC   CUSIP:   Symbol: DLTR210115C00115000					
11/24/2020	1.00	249.84	11/24/2020	249.14	0.00	0.70	Sell to Close
CALL AAPL 11/20/20	130	APPLE INC ADJ 4:1 STOCK SPLIT   CUSIP:   Symbol: AAPL201120C00130000					
09/28/2020	1.00	-9.30	09/17/2020	0.00	0.00	-9.30	Buy to Close
CALL BABA 01/15/21	300	ALIBABA GROUP HOLDING LIMITED   CUSIP:   Symbol: BABA210115C00300000					
12/24/2020	1.00	25.85	12/15/2020	107.14	0.00	-81.29	Sell to Close
CALL NVAX 11/27/20	103	NOVAVAX INC   CUSIP:   Symbol: NVAX201127C00103000					
11/23/2020	1.00	149.85	11/20/2020	72.14	0.00	77.71	Sell to Close
CALL CSCO 01/15/21	47	CISCO SYSTEMS INC   CUSIP:   Symbol: CSCO210115C00047000					
11/17/2020	3.00	62.54	11/13/2020	51.41	0.00	11.13	Sell to Close
11/18/2020	1.00	14.84	11/13/2020	17.13	0.00	-2.29	Sell to Close
<b>Security Totals:</b>		<b>77.38</b>		<b>68.54</b>		<b>8.84</b>	
CALL TSLA 12/04/20	700	TESLA INC   CUSIP:   Symbol: TSLA201204C00700000					
11/30/2020	1.00	274.85	11/30/2020	306.14	31.29 D	0.00	Sell to Close
11/30/2020	1.00	349.84	11/30/2020	412.43	62.59 D	0.00	Sell to Close
12/01/2020	1.00	152.84	12/01/2020	276.73	123.89 D	0.00	Sell to Close
12/01/2020	1.00	124.84	12/01/2020	258.03	133.19 D	0.00	Sell to Close
12/04/2020	1.00	0.00	12/01/2020	225.33	0.00	-225.33	Expiration
<b>Security Totals:</b>		<b>902.37</b>		<b>1,478.66</b>		<b>-225.33</b>	
PUT TSLA 10/09/20	330	TESLA INC   CUSIP:   Symbol: TSLA201009P00330000					
10/02/2020	1.00	130.70	09/29/2020	0.00	0.00	130.70	Buy to Close
PUT SPY 10/19/20	340	STANDARD & POORS DEPOSITORY   CUSIP:   Symbol: SPY201019P00340000					
10/19/2020	1.00	9.85	10/19/2020	22.14	0.00	-12.29	Sell to Close
PUT OSTK 11/06/20	67	OVERSTOCK.COM INC   CUSIP:   Symbol: OSTK201106P00067000					
10/12/2020	1.00	-3.30	10/09/2020	0.00	3.3 D	0.00	Buy to Close
10/14/2020	1.00	0.40	10/14/2020	0.00	0.00	0.40	Buy to Close
<b>Security Totals:</b>		<b>-2.90</b>		<b>0.00</b>		<b>0.40</b>	

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2020 Form 1099-B\*

OMB No. 1545-0715

5WU95787

(continued)

02/23/2021

## SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

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

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PUT AMC 12/18/20	1	AMC ENTERTAINMENT HOLDINGS INC   CUSIP:   Symbol: AMC201218P00001000					
12/18/2020	5.00	0.00	10/29/2020	60.68	0.00	-60.68	Expiration
CALL VBIV 01/15/21	5	VBI VACCINES INC   CUSIP:   Symbol: VBIV210115C00005000					
11/20/2020	1.00	14.84	11/13/2020	23.14	0.00	-8.30	Sell to Close
CALL MRNA 11/20/20	99	MODERNA INC   CUSIP:   Symbol: MRNA201120C00099000					
11/16/2020	1.00	429.84	11/16/2020	531.14	0.00	-101.30	Sell to Close
PUT TSLA 10/09/20	340	TESLA INC   CUSIP:   Symbol: TSLA201009P00340000					
09/23/2020	1.00	1,565.81	09/18/2020	1,236.14	0.00	329.67	Sell to Close
CALL VERU 12/18/20	7.50	VERU INC   CUSIP:   Symbol: VERU201218C00007500					
12/10/2020	1.00	94.84	12/10/2020	126.14	0.00	-31.30	Sell to Close
CALL QQQ 10/16/20	290	INVESCO QQQ TRUST SERIES 1   CUSIP:   Symbol: QQQ201016C00290000					
09/28/2020	1.00	184.84	09/28/2020	181.14	0.00	3.70	Sell to Close
09/30/2020	1.00	190.84	09/30/2020	183.14	0.00	7.70	Sell to Close
09/30/2020	1.00	227.85	09/29/2020	191.14	0.00	36.71	Sell to Close
<b>Security Totals:</b>		<b>603.53</b>		<b>555.42</b>		<b>48.11</b>	
CALL NIO 12/04/20	45	NIO INC ADS   CUSIP:   Symbol: NIO201204C00045000					
12/02/2020	1.00	172.84	12/02/2020	217.14	0.00	-44.30	Sell to Close
CALL QQQ 10/16/20	295	INVESCO QQQ TRUST SERIES 1   CUSIP:   Symbol: QQQ201016C00295000					
10/12/2020	1.00	112.84	10/02/2020	113.14	0.00	-0.30	Sell to Close
PUT AMD 10/30/20	73	ADVANCED MICRO DEVICES INC   CUSIP:   Symbol: AMD201030P00073000					
10/19/2020	1.00	14.70	10/14/2020	0.00	0.00	14.70	Buy to Close
SWITCHBACK ENERGY ACQUISITION CORPORATION CLASS A COMMON STOCK   CUSIP: 87105M102   Symbol: SBE							
11/23/2020	100.00	3,306.83	11/23/2020	3,344.08	0.00	-37.25	Sale
PUT NIU 11/20/20	22.50	NIU TECHNOLOGIES ADS   CUSIP:   Symbol: NIU201120P00022500					
11/20/2020	1.00	0.00	11/09/2020	41.14	0.00	-41.14	Expiration
PUT AMD 09/18/20	79	ADVANCED MICRO DEVICES INC   CUSIP:   Symbol: AMD200918P00079000					
09/09/2020	1.00	139.70	09/08/2020	0.00	0.00	139.70	Buy to Close
CALL PLTR 01/15/21	22	PALANTIR TECHNOLOGIES INC CL A   CUSIP:   Symbol: PLTR210115C00022000					
11/17/2020	1.00	231.84	11/17/2020	171.14	0.00	60.70	Sell to Close
CALL OSTK 11/13/20	56.50	OVERSTOCK.COM INC   CUSIP:   Symbol: OSTK201113C00056500					
11/09/2020	1.00	48.70	11/09/2020	0.00	0.00	48.70	Buy to Close

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OMB No. 1545-0715

5WU95787

(continued)

02/23/2021

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CALL PCG 10/02/20	10	PG&E CORP   CUSIP:   Symbol: PCG201002C00010000					
09/28/2020	2.00	24.69	09/25/2020	52.27	0.00	-27.58	Sell to Close
CALL SNOW 12/18/20	335	SNOWFLAKE INC CLASS A   CUSIP:   Symbol: SNOW201218C00335000					
12/16/2020	1.00	999.82	12/16/2020	941.14	0.00	58.68	Sell to Close
12/17/2020	1.00	358.84	12/17/2020	491.14	0.00	-132.30	Sell to Close
<b>Security Totals:</b>		<b>1,358.66</b>		<b>1,432.28</b>		<b>-73.62</b>	
CALL AAPL 01/15/21	120	APPLE INC ADJ 4:1 STOCK SPLIT   CUSIP:   Symbol: AAPL210115C00120000					
11/20/2020	2.00	949.69	Various	962.28	16.3 D	3.71	Sell to Close
11/20/2020	1.00	460.83	11/20/2020	487.44	26.61 D	0.00	Sell to Close
11/25/2020	4.00	1,579.39	Various	1,569.16	0.00	10.23	Sell to Close
<b>Security Totals:</b>		<b>2,989.91</b>		<b>3,018.88</b>		<b>13.94</b>	
PUT AMZN 10/02/20	2840	AMAZON.COM INC   CUSIP:   Symbol: AMZN201002P02840000					
10/02/2020	1.00	0.00	09/30/2020	99.14	0.00	-99.14	Expiration
PUT TSLA 10/09/20	300	TESLA INC   CUSIP:   Symbol: TSLA201009P00300000					
09/28/2020	1.00	380.69	09/21/2020	0.00	0.00	380.69	Buy to Close
CALL CVS 10/23/20	61.50	CVS HEALTH CORPORATION   CUSIP:   Symbol: CVS201023C00061500					
10/23/2020	1.00	0.00	10/16/2020	16.14	0.00	-16.14	Expiration
CALL AAPL 01/15/21	125	APPLE INC ADJ 4:1 STOCK SPLIT   CUSIP:   Symbol: AAPL210115C00125000					
12/10/2020	2.00	889.70	Various	817.28	0.00	72.42	Sell to Close
PUT AMD 09/18/20	78	ADVANCED MICRO DEVICES INC   CUSIP:   Symbol: AMD200918P00078000					
09/09/2020	1.00	148.84	09/08/2020	279.14	0.00	-130.30	Sell to Close
PUT TWLO 10/16/20	287.50	TWILIO INC   CUSIP:   Symbol: TWLO201016P00287500					
10/15/2020	1.00	29.85	10/14/2020	20.14	0.00	9.71	Sell to Close C
SLACK TECHNOLOGIES INC		CLASS A COMMON STOCK   CUSIP: 83088V102   Symbol: WORK					
11/25/2020	10.00	389.97	11/25/2020	342.81	0.00	47.16	Sale
11/25/2020	15.00	551.14	11/25/2020	514.21	0.00	36.93	Sale
11/25/2020	50.00	1,899.89	11/25/2020	1,714.04	0.00	185.85	Sale
11/25/2020	25.00	949.94	11/25/2020	857.02	0.00	92.92	Sale
<b>Security Totals:</b>		<b>3,790.94</b>		<b>3,428.08</b>		<b>362.86</b>	

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APEX CLEARING

## Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B\*

OMB No. 1545-0715

5WU95787

(continued)

02/23/2021

**SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS**

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

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

1c - Date Sold or Disposed	Quantity	1d - Proceeds	1b - Date Acquired	1e - Cost or Other Basis	1f - Accrued Market Discount (M) & 1g - Wash Sale Loss Disallowed (D)	Gain or Loss (-)	Additional Notes
CALL AMD 10/16/20	90	ADVANCED MICRO DEVICES INC   CUSIP:   Symbol: AMD201016C00090000	10/16/2020	206.14	0.00	-206.14	Expiration
CALL ROKU 09/18/20	175	ROKU INC   CUSIP:   Symbol: ROKU200918C00175000	09/15/2020	522.41	0.00	-21.85	Sell to Close
CALL BBY 01/15/21	27.50	BED BATH & BEYOND INC   CUSIP:   Symbol: BBY210115C00027500	12/01/2020	114.14	0.00	-53.29	Sell to Close
CALL CCL 04/16/21	30	CARNIVAL CORP   CUSIP:   Symbol: CCL210416C00030000	12/14/2020	210.14	0.00	-24.30	Sell to Close
PUT SPY 10/28/20	326	STANDARD & POORS DEPOSITORY   CUSIP:   Symbol: SPY201028P00326000	10/28/2020	52.14	0.00	36.70	Sell to Close C
PUT BA 10/09/20	135	BOEING CO   CUSIP:   Symbol: BA201009P00135000	09/28/2020	0.00	0.00	75.70	Buy to Close
PUT SPY 10/28/20	324	STANDARD & POORS DEPOSITORY   CUSIP:   Symbol: SPY201028P00324000	10/28/2020	51.14	0.00	-48.29	Sell to Close
CALL TWLO 11/27/20	310	TWILIO INC   CUSIP:   Symbol: TWLO201127C00310000	11/23/2020	200.14	0.00	-36.30	Sell to Close
IMMUNOGEN INC   CUSIP: 45253H101   Symbol: IMGN			10/16/2020	565.08	0.00	9.81	Sale
CALL NFLX 07/31/20	600	NETFLIX INC   CUSIP:   Symbol: NFLX200731C00600000	07/31/2020	435.70	0.00	-435.70	Expiration
PUT WKHS 10/16/20	21.50	WORKHORSE GROUP INC   CUSIP:   Symbol: WKHS201016P00021500	10/09/2020	0.00	0.00	18.71	Buy to Close
CALL NFLX 08/21/20	645	NETFLIX INC   CUSIP:   Symbol: NFLX200821C00645000	07/17/2020	1,126.14	0.00	-924.29	Sell to Close
CALL CMPS 11/20/20	40	COMPASS PATHWAYS PLC ADS   CUSIP:   Symbol: CMPS201120C00040000	11/20/2020	0.00	0.00	43.84	Expiration
PUT NKLA 10/09/20	17.50	NIKOLA CORPORATION   CUSIP:   Symbol: NKLA201009P00017500	10/05/2020	0.00	0.00	23.70	Buy to Close
PUT PCG 08/21/20	9	PG&E CORP   CUSIP:   Symbol: PCG200821P00009000	07/10/2020	0.00	0.00	5.71	Buy to Close

**SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS**

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

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

**Box 12:** Basis Reported to the IRS

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

1c - Date Sold or Disposed	Quantity	1d - Proceeds	1b - Date Acquired	1e - Cost or Other Basis	1f - Accrued Market Discount (M) & 1g - Wash Sale Loss Disallowed (D)	Gain or Loss (-)	Additional Notes
PUT BA 08/21/20 150 BOEING CO   CUSIP:   Symbol: BA200821P00150000							
08/13/2020	2.00	103.44	08/07/2020	0.00	0.00	103.44	Buy to Close
PUT BA 08/21/20 175 BOEING CO   CUSIP:   Symbol: BA200821P00175000							
07/10/2020	1.00	-215.33	07/08/2020	0.00	0.00	-215.33	Buy to Close
3M COMPANY   CUSIP: 88579Y101   Symbol: MMM							
09/17/2020	100.00	17,219.52	09/17/2020	17,076.08	0.00	143.44	Sale
PUT TSLA 11/27/20 585 TESLA INC   CUSIP:   Symbol: TSLA201127P00585000							
11/27/2020	1.00	249.85	11/27/2020	202.14	0.00	47.71	Sell to Close
11/27/2020	1.00	149.84	11/27/2020	160.14	0.00	-10.30	Sell to Close
<b>Security Totals:</b>		<b>399.69</b>		<b>362.28</b>		<b>37.41</b>	
CALL GE 10/30/20 8 GENERAL ELECTRIC CO   CUSIP:   Symbol: GE201030C00008000							
10/23/2020	1.00	35.84	10/22/2020	19.14	0.00	16.70	Sell to Close
CALL GE 10/30/20 9 GENERAL ELECTRIC CO   CUSIP:   Symbol: GE201030C00009000							
10/30/2020	1.00	0.00	10/23/2020	10.14	0.00	-10.14	Expiration
PETMED EXPRESS INC   CUSIP: 716382106   Symbol: PETS							
11/13/2020	100.00	2,967.84	11/13/2020	2,987.07	19.23 D	0.00	Sale
11/23/2020	100.00	3,008.84	11/13/2020	3,016.61	0.00	-7.77	Sale
<b>Security Totals:</b>		<b>5,976.68</b>		<b>6,003.68</b>		<b>-7.77</b>	
CALL WFC 11/20/20 24.50 WELLS FARGO & CO   CUSIP:   Symbol: WFC201120C00024500							
11/09/2020	1.00	54.84	11/03/2020	27.14	0.00	27.70	Sell to Close
CALL LOW 08/21/20 170 LOWES COMPANIES INC   CUSIP:   Symbol: LOW200821C00170000							
08/19/2020	2.00	94.43	08/18/2020	0.00	0.00	94.43	Buy to Close
PUT ZM 11/13/20 395 ZOOM VIDEO COMMUNICATIONS INC   CUSIP:   Symbol: ZM201113P00395000							
11/13/2020	1.00	149.84	11/13/2020	246.14	0.00	-96.30	Sell to Close
LOWES COMPANIES INC   CUSIP: 548661107   Symbol: LOW							
08/26/2020	1.00	168.98	08/25/2020	164.90	0.00	4.08	Sale
09/08/2020	5.00	766.77	09/04/2020	787.15	20.38 D	0.00	Sale
09/09/2020	10.00	1,599.95	Various	1,560.38	0.00	39.57	Sale
<b>Security Totals:</b>		<b>2,535.70</b>		<b>2,512.43</b>		<b>43.65</b>	

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APEX CLEARING

## Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B\*

OMB No. 1545-0715

5WU95787

(continued)

02/23/2021

**SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS**

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

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

1c - Date Sold or Disposed	Quantity	1d - Proceeds	1b - Date Acquired	1e - Cost or Other Basis	1f - Accrued Market Discount (M) & 1g - Wash Sale Loss Disallowed (D)	Gain or Loss (-)	Additional Notes
PUT NKLA 08/07/20	35	NIKOLA CORPORATION   CUSIP:   Symbol: NKLA200807P00035000					
07/23/2020	1.00	-52.29	07/14/2020	0.00	0.00	-52.29	Buy to Close
PUT NVDA 10/02/20	500	NVIDIA CORP   CUSIP:   Symbol: NVDA201002P00500000					
09/29/2020	1.00	151.84	09/29/2020	206.14	0.00	-54.30	Sell to Close
PUT GE 10/30/20	6.50	GENERAL ELECTRIC CO   CUSIP:   Symbol: GE201030P00006500					
10/30/2020	10.00	0.00	Various	62.36	0.00	-62.36	Expiration
CALL ZM 08/21/20	295	ZOOM VIDEO COMMUNICATIONS INC   CUSIP:   Symbol: ZM200821C00295000					
08/21/2020	3.00	103.11	Various	0.00	0.00	103.11	Buy to Close
PUT BA 11/13/20	185	BOEING CO   CUSIP:   Symbol: BA201113P00185000					
11/10/2020	1.00	384.84	11/10/2020	381.14	0.00	3.70	Sell to Close
CALL LOW 09/18/20	165	LOWES COMPANIES INC   CUSIP:   Symbol: LOW200918C00165000					
08/19/2020	1.00	236.84	08/18/2020	328.14	0.00	-91.30	Sell to Close
PUT BA 11/13/20	182.50	BOEING CO   CUSIP:   Symbol: BA201113P00182500					
11/09/2020	1.00	649.84	11/09/2020	511.14	0.00	138.70	Sell to Close
11/09/2020	9.00	4,768.65	11/09/2020	4,600.22	0.00	168.43	Sell to Close
<b>Security Totals:</b>		<b>5,418.49</b>		<b>5,111.36</b>		<b>307.13</b>	
PUT NVDA 07/24/20	392.50	NVIDIA CORP   CUSIP:   Symbol: NVDA200724P00392500					
	1.00	103.85	07/24/2020	0.00	0.00	103.85	Expiration
CALL TSLA 12/11/20	600	TESLA INC   CUSIP:   Symbol: TSLA201211C00600000					
12/09/2020	1.00	2,294.79	12/09/2020	2,146.14	0.00	148.65	Sell to Close
12/09/2020	1.00	2,131.80	12/09/2020	2,171.14	39.34 D	0.00	Sell to Close
12/10/2020	1.00	1,694.81	12/10/2020	1,376.14	0.00	318.67	Sell to Close
12/10/2020	1.00	1,904.80	12/10/2020	1,746.14	0.00	158.66	Sell to Close
12/10/2020	1.00	1,549.82	12/10/2020	1,020.48	0.00	529.34	Sell to Close
<b>Security Totals:</b>		<b>9,576.02</b>		<b>8,460.04</b>		<b>1,155.32</b>	
PUT LMND 11/20/20	45	LEMONADE INC   CUSIP:   Symbol: LMND201120P00045000					
10/19/2020	1.00	3.70	10/16/2020	0.00	0.00	3.70	Buy to Close
10/20/2020	1.00	7.70	10/19/2020	0.00	0.00	7.70	Buy to Close
<b>Security Totals:</b>		<b>11.40</b>		<b>0.00</b>		<b>11.40</b>	

APEX CLEARING

## Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B\*

OMB No. 1545-0715

5WU95787

(continued)

02/23/2021

## SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

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

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

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1c - Date Sold or Disposed	Quantity	1d - Proceeds	1b - Date Acquired	1e - Cost or Other Basis	1f - Accrued Market Discount (M) & 1g - Wash Sale Loss Disallowed (D)	Gain or Loss (-)	Additional Notes
PUT TSLA 12/11/20 600 TESLA INC   CUSIP:   Symbol: TSLA201211P00600000							
12/09/2020	1.00	649.83	12/09/2020	601.14	0.00	48.69	Sell to Close
12/09/2020	1.00	2,194.80	12/09/2020	2,592.47	0.00	-397.67	Sell to Close
12/09/2020	1.00	1,721.81	12/09/2020	1,831.14	109.33 D	0.00	Sell to Close
12/09/2020	2.00	4,229.62	Various	4,681.61	506.33 D	54.34	Sell to Close
<b>Security Totals:</b>		<b>8,796.06</b>		<b>9,706.36</b>		<b>-294.64</b>	
CALL TSLA 12/11/20 620 TESLA INC   CUSIP:   Symbol: TSLA201211C00620000							
12/11/2020	1.00	539.83	12/11/2020	664.14	0.00	-124.31	Sell to Close
CHINA AUTOMOTIVE SYSTEMS INC   CUSIP: 16936R105   Symbol: CAAS							
12/10/2020	100.00	661.06	12/01/2020	1,335.08	674.02 D	0.00	Sale
12/14/2020	100.00	683.89	12/11/2020	1,375.28	0.00	-691.39	Sale
<b>Security Totals:</b>		<b>1,344.95</b>		<b>2,710.36</b>		<b>-691.39</b>	
PUT TSLA 12/11/20 620 TESLA INC   CUSIP:   Symbol: TSLA201211P00620000							
12/09/2020	1.00	2,404.79	12/09/2020	1,876.14	0.00	528.65	Sell to Close
CALL TSLA 12/11/20 640 TESLA INC   CUSIP:   Symbol: TSLA201211C00640000							
12/10/2020	1.00	654.83	12/10/2020	843.76	188.93 D	0.00	Sell to Close
12/10/2020	1.00	489.83	12/10/2020	760.07	270.24 D	0.00	Sell to Close
12/10/2020	1.00	799.83	12/10/2020	852.45	52.62 D	0.00	Sell to Close
12/10/2020	1.00	754.83	12/10/2020	781.14	26.31 D	0.00	Sell to Close
12/11/2020	1.00	142.84	12/11/2020	495.38	0.00	-352.54	Sell to Close
<b>Security Totals:</b>		<b>2,842.16</b>		<b>3,732.80</b>		<b>-352.54</b>	
PUT TWTR 07/17/20 31 TWITTER INC   CUSIP:   Symbol: TWTR200717P00031000							
07/07/2020	1.00	-6.29	07/07/2020	0.00	0.00	-6.29	Buy to Close
CALL ROKU 01/15/21 340 ROKU INC   CUSIP:   Symbol: ROKU210115C00340000							
12/18/2020	1.00	2,176.80	12/17/2020	1,887.14	0.00	289.66	Sell to Close
CALL HD 01/08/21 280 HOME DEPOT INC   CUSIP:   Symbol: HD210108C00280000							
12/08/2020	1.00	144.84	12/04/2020	232.14	0.00	-87.30	Sell to Close
KOHLS CORP   CUSIP: 500255104   Symbol: KSS							
09/29/2020	150.00	2,781.02	Various	3,604.58	0.00	-823.56	Sale

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**SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS**

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

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11/23/2020	100.00	3,112.99	11/23/2020	3,108.78	0.00	4.21	Sale
<b>Security Totals:</b>		<b>5,894.01</b>		<b>6,713.36</b>		<b>-819.35</b>	
PUT LMND 11/20/20 40 LEMONADE INC   CUSIP:   Symbol: LMND201120P00040000							
10/09/2020	1.00	33.70	10/08/2020	0.00	0.00	33.70	Buy to Close
PUT SQ 11/13/20 167.50 SQUARE INC   CUSIP:   Symbol: SQ201113P00167500							
11/10/2020	1.00	209.84	11/06/2020	23.14	0.00	186.70	Sell to Close
SPARTAN ENERGY ACQUISITION CORP CLASS A COMMON STOCK   CUSIP: 846784106   Symbol: SPAQ							
10/12/2020	10.00	144.67	10/05/2020	149.00	0.00	-4.33	Sale
CALL BABA 04/16/21 250 ALIBABA GROUP HOLDING LIMITED   CUSIP:   Symbol: BABA210416C00250000							
12/29/2020	1.00	1,429.81	12/29/2020	1,446.14	16.33 D	0.00	Sell to Close
12/29/2020	1.00	1,369.81	12/29/2020	1,437.47	67.66 D	0.00	Sell to Close
12/29/2020	1.00	1,379.81	12/29/2020	1,478.80	0.00	-98.99	Sell to Close
<b>Security Totals:</b>		<b>4,179.43</b>		<b>4,362.41</b>		<b>-98.99</b>	
CALL LMND 12/18/20 90 LEMONADE INC   CUSIP:   Symbol: LMND201218C00090000							
12/03/2020	2.00	103.71	Various	104.28	0.00	-0.57	Sell to Close
CALL PYPL 10/23/20 212.50 PAYPAL HOLDINGS INC   CUSIP:   Symbol: PYPL201023C00212500							
10/21/2020	1.00	269.85	10/21/2020	201.14	0.00	68.71	Sell to Close
ZOOM VIDEO COMMUNICATIONS INC CLASS A COMMON STOCK   CUSIP: 98980L101   Symbol: ZM							
09/09/2020	10.00	3,750.61	09/08/2020	3,550.00	0.00	200.61	Sale
09/21/2020	10.00	4,519.89	09/21/2020	4,375.00	0.00	144.89	Sale
09/22/2020	10.00	4,775.88	09/22/2020	4,770.00	0.00	5.88	Sale
09/25/2020	10.00	4,955.88	09/25/2020	4,955.00	0.00	0.88	Sale
10/15/2020	1.00	530.48	10/15/2020	536.00	5.52 D	0.00	Sale
11/12/2020	7.00	2,954.20	Various	2,914.02	0.00	40.18	Sale
11/13/2020	5.00	2,023.14	11/13/2020	2,099.90	76.76 D	0.00	Sale
11/13/2020	10.00	4,199.89	Various	4,174.00	65.06 D	90.95	Sale
11/20/2020	5.00	2,199.94	11/18/2020	2,139.86	0.00	60.08	Sale
11/24/2020	5.00	2,110.69	11/18/2020	2,063.10	0.00	47.59	Sale
11/30/2020	5.00	2,255.79	11/30/2020	2,200.00	0.00	55.79	Sale
12/01/2020	10.00	4,103.00	12/01/2020	4,159.60	56.6 D	0.00	Sale

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2020 Form 1099-B\*

OMB No. 1545-0715

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(continued)

02/23/2021

**SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS**

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

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

1c - Date Sold or Disposed	Quantity	1d - Proceeds	1b - Date Acquired	1e - Cost or Other Basis	1f - Accrued Market Discount (M) & 1g - Wash Sale Loss Disallowed (D)	Gain or Loss (-)	Additional Notes
ZOOM VIDEO COMMUNICATIONS INC CLASS A COMMON STOCK   CUSIP: 98980L101   Symbol: ZM							
12/02/2020	5.00	2,075.21	12/02/2020	2,042.97	0.00	32.24	Sale
12/02/2020	5.00	2,083.54	12/02/2020	2,042.98	0.00	40.56	Sale
<b>Security Totals:</b>		<b>42,538.14</b>		<b>42,022.43</b>		<b>719.65</b>	
PUT TSLA 11/20/20 385 TESLA INC   CUSIP:   Symbol: TSLA201120P00385000							
11/16/2020	1.00	-10.29	11/16/2020	0.00	0.00	-10.29	Buy to Close
CALL BA 11/13/20 190 BOEING CO   CUSIP:   Symbol: BA201113C00190000							
11/10/2020	1.00	399.84	11/10/2020	457.43	0.00	-57.59	Sell to Close
11/10/2020	1.00	394.85	11/10/2020	411.14	16.29 D	0.00	Sell to Close
11/10/2020	1.00	564.83	11/10/2020	516.14	0.00	48.69	Sell to Close
<b>Security Totals:</b>		<b>1,359.52</b>		<b>1,384.71</b>		<b>-8.90</b>	
CALL CMPS 11/20/20 45 COMPASS PATHWAYS PLC ADS   CUSIP:   Symbol: CMPS201120C00045000							
11/13/2020	1.00	113.70	11/06/2020	0.00	0.00	113.70	Buy to Close
CALL BLNK 10/16/20 10 BLINK CHARGING CO   CUSIP:   Symbol: BLNK201016C00010000							
09/30/2020	1.00	183.84	09/29/2020	85.14	0.00	98.70	Sell to Close
PUT BABA 08/21/20 240 ALIBABA GROUP HOLDING LIMITED   CUSIP:   Symbol: BABA200821P00240000							
07/13/2020	3.00	1,694.53	07/09/2020	1,869.42	0.00	-174.89	Sell to Close
PUT BYND 10/09/20 125 BEYOND MEAT INC   CUSIP:   Symbol: BYND201009P00125000							
09/28/2020	1.00	56.70	09/23/2020	0.00	0.00	56.70	Buy to Close
CALL LMND 12/18/20 80 LEMONADE INC   CUSIP:   Symbol: LMND201218C00080000							
11/25/2020	1.00	206.84	11/24/2020	93.14	0.00	113.70	Sell to Close
PUT FUBO 12/18/20 20 FUBOTV INC   CUSIP:   Symbol: FUBO201218P00020000							
11/27/2020	1.00	28.70	11/24/2020	0.00	0.00	28.70	Buy to Close
CALL NFLX 07/17/20 620 NETFLIX INC   CUSIP:   Symbol: NFLX200717C00620000							
	3.00	1,433.52	07/17/2020	0.00	0.00	1,433.52	Expiration
***CONSTELLIUM SE CLASS A ORDINARY SHARES   CUSIP: F21107101   Symbol: CSTM							
11/16/2020	100.00	1,186.99	11/16/2020	1,199.07	0.00	-12.08	Sale
CALL ZM 11/27/20 407.50 ZOOM VIDEO COMMUNICATIONS INC   CUSIP:   Symbol: ZM201127C00407500							
11/18/2020	1.00	2,222.80	11/18/2020	1,910.14	0.00	312.66	Sell to Close
CALL SAP 12/18/20 150 SAP SE   CUSIP:   Symbol: SAP201218C00150000							
12/18/2020	1.00	0.00	10/26/2020	43.14	0.00	-43.14	Expiration

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**SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS**

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

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

**Box 12:** Basis Reported to the IRS

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1c - Date Sold or Disposed	Quantity	1d - Proceeds	1b - Date Acquired	1e - Cost or Other Basis	1f - Accrued Market Discount (M) & 1g - Wash Sale Loss Disallowed (D)	Gain or Loss (-)	Additional Notes
CALL PTON 11/13/20 115 PELOTON INTERACTIVE INC CL A   CUSIP:   Symbol: PTON201113C00115000							
11/12/2020	1.00	124.85	11/12/2020	159.14	0.00	-34.29	Sell to Close
CALL FB 10/02/20 270 FACEBOOK INC CL A   CUSIP:   Symbol: FB201002C00270000							
09/29/2020	1.00	71.84	09/29/2020	101.14	0.00	-29.30	Sell to Close
CALL INTC 01/15/21 55 INTEL CORP   CUSIP:   Symbol: INTC210115C00055000							
11/19/2020	1.00	11.85	10/30/2020	29.14	17.29 D	0.00	Sell to Close
12/14/2020	1.00	52.84	12/04/2020	110.43	0.00	-57.59	Sell to Close
<b>Security Totals:</b>		<b>64.69</b>		<b>139.57</b>		<b>-57.59</b>	
CALL TSLA 12/11/20 700 TESLA INC   CUSIP:   Symbol: TSLA201211C00700000							
12/07/2020	1.00	342.84	12/03/2020	239.14	0.00	103.70	Sell to Close
12/07/2020	1.00	489.83	12/07/2020	431.14	0.00	58.69	Sell to Close
12/09/2020	1.00	394.84	12/09/2020	457.43	62.59 D	0.00	Sell to Close
12/09/2020	2.00	719.70	Various	884.87	113.88 D	-51.29	Sell to Close
12/09/2020	1.00	294.85	12/09/2020	455.02	0.00	-160.17	Sell to Close
12/09/2020	1.00	328.85	12/09/2020	400.14	71.29 D	0.00	Sell to Close
<b>Security Totals:</b>		<b>2,570.91</b>		<b>2,867.74</b>		<b>-49.07</b>	
PUT ZM 10/16/20 280 ZOOM VIDEO COMMUNICATIONS INC   CUSIP:   Symbol: ZM201016P00280000							
09/15/2020	1.00	868.68	09/04/2020	0.00	0.00	868.68	Buy to Close
PUT W 08/14/20 305 WAYFAIR INC   CUSIP:   Symbol: W200814P00305000							
08/14/2020	4.00	378.89	08/13/2020	0.00	0.00	378.89	Buy to Close
CALL NVDA 09/04/20 670 NVIDIA CORP   CUSIP:   Symbol: NVDA200904C00670000							
09/04/2020	5.00	0.00	08/17/2020	535.68	0.00	-535.68	Expiration
CALL TSLA 12/11/20 720 TESLA INC   CUSIP:   Symbol: TSLA201211C00720000							
12/07/2020	1.00	206.85	12/07/2020	283.14	0.00	-76.29	Sell to Close
CALL INTC 01/15/21 60 INTEL CORP   CUSIP:   Symbol: INTC210115C00060000							
11/19/2020	2.00	9.69	Various	31.28	0.00	-21.59	Sell to Close
CALL TSLA 12/11/20 740 TESLA INC   CUSIP:   Symbol: TSLA201211C00740000							
12/07/2020	1.00	185.84	12/07/2020	293.14	107.3 D	0.00	Sell to Close
12/08/2020	1.00	80.84	12/07/2020	325.44	244.6 D	0.00	Sell to Close
12/08/2020	1.00	299.84	12/08/2020	356.74	56.9 D	0.00	Sell to Close

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**SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS**

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

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CALL TSLA 12/11/20 740 TESLA INC   CUSIP:   Symbol: TSLA201211C00740000							
12/08/2020	1.00	198.84	12/08/2020	325.04	126.2 D	0.00	Sell to Close
12/09/2020	1.00	115.84	12/08/2020	362.34	0.00	-246.50	Sell to Close
<b>Security Totals:</b>		<b>881.20</b>		<b>1,662.70</b>		<b>-246.50</b>	
PINTEREST INC CLASS A COMMON STOCK   CUSIP: 72352L106   Symbol: PINS							
11/19/2020	100.00	6,624.76	11/19/2020	6,513.07	0.00	111.69	Sale
CALL SPY 11/02/20 330 STANDARD & POORS DEPOSITORY   CUSIP:   Symbol: SPY201102C00330000							
11/02/2020	1.00	41.84	11/02/2020	54.14	0.00	-12.30	Sell to Close
PUT SPY 11/02/20 325 STANDARD & POORS DEPOSITORY   CUSIP:   Symbol: SPY201102P00325000							
11/02/2020	1.00	0.00	11/02/2020	48.14	0.00	-48.14	Expiration
CALL SOLO 06/18/21 20 ELECTROMECCANICA VEHICLES CORP   CUSIP:   Symbol: SOLO210618C00020000							
11/24/2020	1.00	184.84	11/24/2020	218.14	0.00	-33.30	Sell to Close
CALL DDOG 10/02/20 110 DATADOG INC CL A   CUSIP:   Symbol: DDOG201002C00110000							
09/30/2020	1.00	89.84	09/30/2020	116.14	0.00	-26.30	Sell to Close C
VIRGIN GALACTIC HLDGS INC COMMON STOCK   CUSIP: 92766K106   Symbol: SPCE							
11/24/2020	100.00	2,491.69	11/23/2020	2,512.87	21.18 D	0.00	Sale
11/25/2020	100.00	2,696.85	11/25/2020	2,747.26	50.41 D	0.00	Sale
12/01/2020	50.00	1,408.68	11/30/2020	1,424.25	15.57 D	0.00	Sale
12/01/2020	100.00	2,826.84	Various	2,890.85	0.00	-64.01	Sale
<b>Security Totals:</b>		<b>9,424.06</b>		<b>9,575.23</b>		<b>-64.01</b>	
KB HOME   CUSIP: 48666K109   Symbol: KBH							
09/14/2020	100.00	3,780.82	09/14/2020	3,785.08	0.00	-4.26	Sale
PUT BA 10/16/20 140 BOEING CO   CUSIP:   Symbol: BA201016P00140000							
10/06/2020	1.00	28.70	10/01/2020	0.00	0.00	28.70	Buy to Close
CALL SNOW 12/24/20 340 SNOWFLAKE INC CLASS A   CUSIP:   Symbol: SNOW201224C00340000							
12/18/2020	1.00	1,534.82	12/18/2020	1,451.14	0.00	83.68	Sell to Close
PUT LULU 10/16/20 292.50 LULULEMON ATHLETICA INC   CUSIP:   Symbol: LULU201016P00292500							
10/05/2020	1.00	3.70	10/01/2020	0.00	0.00	3.70	Buy to Close
CALL F 01/15/21 12 FORD MOTOR COMPANY   CUSIP:   Symbol: F210115C00012000							
12/23/2020	10.00	8.61	11/19/2020	61.36	0.00	-52.75	Sell to Close

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APEX CLEARING

## Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B\*

OMB No. 1545-0715

5WU95787

(continued)

02/23/2021

**SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS**

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

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PUT WMT 10/09/20	128	WALMART INC   CUSIP:   Symbol: WMT201009P00128000	10/09/2020	17.14	0.00	-17.14	Expiration
PUT BLNK 10/16/20	7.50	BLINK CHARGING CO   CUSIP:   Symbol: BLNK201016P00007500	09/28/2020	0.00	0.00	18.70	Buy to Close
CALL TSLA 11/27/20	600	TESLA INC   CUSIP:   Symbol: TSLA201127C00600000	11/19/2020	311.14	47.3 D	0.00	Sell to Close
			11/23/2020	330.44	157.6 D	0.00	Sell to Close
			11/24/2020	315.74	61.9 D	0.00	Sell to Close
			11/27/2020	142.93	0.00	-131.09	Sell to Close
			11/27/2020	167.63	92.79 D	0.00	Sell to Close
			11/27/2020	183.04	96.2 D	0.00	Sell to Close
			11/27/2020	145.34	68.49 D	0.00	Sell to Close
<b>Security Totals:</b>		<b>940.89</b>		<b>1,596.26</b>		<b>-131.09</b>	
CALL CHWY 08/21/20	55	CHEWY INC CLASS A   CUSIP:   Symbol: CHWY200821C00055000	07/29/2020	0.00	0.00	88.70	Buy to Close
CALL FB 10/23/20	275	FACEBOOK INC CL A   CUSIP:   Symbol: FB201023C00275000	10/20/2020	156.14	0.00	8.70	Sell to Close
CALL AMZN 01/15/21	3140	AMAZON.COM INC   CUSIP:   Symbol: AMZN210115C03140000	12/21/2020	0.00	0.00	-2,534.57	Buy to Close
CALL NVAX 11/20/20	103	NOVAVAX INC   CUSIP:   Symbol: NVAX201120C00103000	11/20/2020	331.14	0.00	-331.14	Expiration
CALL AAL 12/18/20	15	AMERICAN AIRLINES GROUP INC   CUSIP:   Symbol: AAL201218C00015000	12/03/2020	62.14	0.00	107.70	Sell to Close
PUT WKHS 12/18/20	20	WORKHORSE GROUP INC   CUSIP:   Symbol: WKHS201218P00020000	12/02/2020	0.00	0.00	6.70	Buy to Close
PUT CSX 10/16/20	75	CSX CORPORATION   CUSIP:   Symbol: CSX201016P00075000	10/05/2020	92.14	0.00	-35.30	Sell to Close
ALTIMMUNE INC		COMMON STOCK   CUSIP: 02155H200   Symbol: ALT	10/13/2020	296.01	0.00	11.96	Sale
CALL TSLA 11/27/20	610	TESLA INC   CUSIP:   Symbol: TSLA201127C00610000	11/24/2020	68.14	15.29 D	0.00	Sell to Close

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CALL TSLA 11/27/20 610 TESLA INC   CUSIP:   Symbol: TSLA201127C00610000							
11/27/2020	1.00	200.85	11/27/2020	306.73	0.00	-105.88	Sell to Close
11/27/2020	1.00	186.84	11/27/2020	277.43	90.59 D	0.00	Sell to Close
<b>Security Totals:</b>		<b>440.54</b>		<b>652.30</b>		<b>-105.88</b>	
CALL TSLA 11/27/20 620 TESLA INC   CUSIP:   Symbol: TSLA201127C00620000							
11/27/2020	1.00	96.84	11/24/2020	115.14	18.3 D	0.00	Sell to Close
11/27/2020	1.00	0.00	11/27/2020	84.44	0.00	-84.44	Expiration
<b>Security Totals:</b>		<b>96.84</b>		<b>199.58</b>		<b>-84.44</b>	
PAYPAL HOLDINGS INC COM   CUSIP: 70450Y103   Symbol: PYPL							
09/09/2020	10.00	1,949.93	09/04/2020	1,880.00	0.00	69.93	Sale
11/30/2020	10.00	2,132.74	11/27/2020	2,101.60	0.00	31.14	Sale
12/04/2020	10.00	2,167.63	12/03/2020	2,167.00	0.00	0.63	Sale
<b>Security Totals:</b>		<b>6,250.30</b>		<b>6,148.60</b>		<b>101.70</b>	
CALL TSLA 11/27/20 630 TESLA INC   CUSIP:   Symbol: TSLA201127C00630000							
11/27/2020	1.00	54.84	11/27/2020	44.14	0.00	10.70	Sell to Close
PUT BA 10/16/20 145 BOEING CO   CUSIP:   Symbol: BA201016P00145000							
10/07/2020	1.00	40.70	10/06/2020	0.00	0.00	40.70	Buy to Close
***KINROSS GOLD CORP   CUSIP: 496902404   Symbol: KGC							
09/18/2020	20.00	203.17	Various	195.91	0.00	7.26	Sale
09/18/2020	90.00	898.10	09/18/2020	886.57	0.00	11.53	Sale
<b>Security Totals:</b>		<b>1,101.27</b>		<b>1,082.48</b>		<b>18.79</b>	
PUT INTC 10/16/20 47.50 INTEL CORP   CUSIP:   Symbol: INTC201016P00047500							
09/11/2020	1.00	64.70	09/04/2020	0.00	0.00	64.70	Buy to Close
CALL RMTI 02/19/21 2 ROCKWELL MEDICAL TECHNOLOGIES   CUSIP:   Symbol: RMTI210219C00002000							
12/08/2020	20.00	197.23	12/04/2020	192.73	0.00	4.50	Sell to Close
PUT ZM 10/16/20 380 ZOOM VIDEO COMMUNICATIONS INC   CUSIP:   Symbol: ZM201016P00380000							
10/05/2020	1.00	284.84	09/30/2020	486.14	0.00	-201.30	Sell to Close
CALL RGR 11/20/20 80 STURM RUGER & COMPANY INC   CUSIP:   Symbol: RGR201120C00080000							
10/29/2020	1.00	49.84	10/28/2020	76.14	0.00	-26.30	Sell to Close

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2020 Form 1099-B\*

OMB No. 1545-0715

5WU95787

(continued)

02/23/2021

**SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS**

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CALL FB 09/18/20	280	FACEBOOK INC CL A   CUSIP:   Symbol: FB200918C00280000					
09/16/2020	1.00	-2.29	09/16/2020	0.00	0.00	-2.29	Buy to Close
CALL ZM 01/15/21	400	ZOOM VIDEO COMMUNICATIONS INC   CUSIP:   Symbol: ZM210115C00400000					
12/30/2020	1.00	409.84	12/30/2020	371.14	0.00	38.70	Sell to Close
***DAQO NEW ENERGY CORP		AMERICAN DEPOSITARY SHARES   CUSIP: 23703Q203   Symbol: DQ					
12/14/2020	100.00	4,790.80	12/14/2020	4,762.12	0.00	28.68	Sale
CALL VMC 05/21/21	140	VULCAN MATERIALS CO   CUSIP:   Symbol: VMC210521C00140000					
12/14/2020	1.00	1,049.82	12/11/2020	1,273.14	0.00	-223.32	Sell to Close
CALL SPY 11/06/20	351	STANDARD & POORS DEPOSITORY   CUSIP:   Symbol: SPY201106C00351000					
11/06/2020	1.00	46.84	11/06/2020	65.14	0.00	-18.30	Sell to Close
CALL BIDU 01/15/21	160	BAIDU INC   CUSIP:   Symbol: BIDU210115C00160000					
12/09/2020	1.00	449.84	12/08/2020	176.14	0.00	273.70	Sell to Close
CALL SBUX 03/19/21	135	STARBUCKS CORPORATION   CUSIP:   Symbol: SBUX210319C00135000					
12/03/2020	1.00	17.84	11/19/2020	17.14	0.00	0.70	Sell to Close
12/14/2020	1.00	24.84	12/04/2020	28.14	0.00	-3.30	Sell to Close
<b>Security Totals:</b>		<b>42.68</b>		<b>45.28</b>		<b>-2.60</b>	
CALL BIGC 01/15/21	100	BIGCOMMERCE HOLDINGS INC   CUSIP:   Symbol: BIGC210115C00100000					
12/29/2020	1.00	16.85	12/16/2020	151.14	0.00	-134.29	Sell to Close
CALL NFLX 07/17/20	655	NETFLIX INC   CUSIP:   Symbol: NFLX200717C00655000					
		5.00	934.28	07/17/2020	0.00	934.28	Expiration
PUT V 10/30/20	175	VISA INC   CUSIP:   Symbol: V201030P00175000					
10/28/2020	1.00	114.84	10/26/2020	22.14	0.00	92.70	Sell to Close C
CALL ZM 11/20/20	452.50	ZOOM VIDEO COMMUNICATIONS INC   CUSIP:   Symbol: ZM201120C00452500					
11/18/2020	1.00	329.84	11/18/2020	176.14	0.00	153.70	Sell to Close
PUT REGN 01/08/21	485	REGENERON PHARMACEUTICALS INC   CUSIP:   Symbol: REGN210108P00485000					
12/14/2020	1.00	978.82	12/09/2020	1,298.14	0.00	-319.32	Sell to Close
CALL SUMO 12/18/20	25	SUMO LOGIC INC   CUSIP:   Symbol: SUMO201218C00025000					
11/25/2020	1.00	109.84	11/25/2020	101.14	0.00	8.70	Sell to Close
PUT SPY 10/30/20	320	STANDARD & POORS DEPOSITORY   CUSIP:   Symbol: SPY201030P00320000					
10/28/2020	1.00	91.85	10/28/2020	147.14	0.00	-55.29	Sell to Close

APEX CLEARING

## Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B\*

OMB No. 1545-0715

5WU95787

(continued)

02/23/2021

## SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

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

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

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

1c - Date Sold or Disposed	Quantity	1d - Proceeds	1b - Date Acquired	1e - Cost or Other Basis	1f - Accrued Market Discount (M) & 1g - Wash Sale Loss Disallowed (D)	Gain or Loss (-)	Additional Notes
KIRKLANDS INC   CUSIP: 497498105   Symbol: KIRK							
10/06/2020	20.00	209.96	10/01/2020	180.21	0.00	29.75	Sale
PUT BA 08/21/20 170 BOEING CO   CUSIP:   Symbol: BA200821P00170000							
07/10/2020	1.00	1,333.82	07/08/2020	1,142.14	0.00	191.68	Sell to Close
CALL NFLX 07/17/20 625 NETFLIX INC   CUSIP:   Symbol: NFLX200717C00625000							
07/17/2020	3.00	0.00	07/16/2020	1,320.42	0.00	-1,320.42	Expiration
CALL SPY 10/30/20 327 STANDARD & POORS DEPOSITORY   CUSIP:   Symbol: SPY201030C00327000							
10/30/2020	1.00	39.84	10/30/2020	51.14	0.00	-11.30	Sell to Close
CALL QCOM 12/18/20 160 QUALCOMM INC   CUSIP:   Symbol: QCOM201218C00160000							
12/15/2020	1.00	8.84	12/14/2020	16.14	0.00	-7.30	Sell to Close
CALL GRPN 11/06/20 20 GROUPON INC   CUSIP:   Symbol: GRPN201106C00020000							
11/03/2020	1.00	231.84	10/29/2020	217.14	0.00	14.70	Sell to Close
CALL INTC 10/30/20 59 INTEL CORP   CUSIP:   Symbol: INTC201030C00059000							
10/30/2020	1.00	0.00	10/22/2020	41.14	0.00	-41.14	Expiration C
CALL TPR 10/23/20 20.50 TAPESTRY INC   CUSIP:   Symbol: TPR201023C00020500							
10/12/2020	1.00	26.84	10/08/2020	26.14	0.00	0.70	Sell to Close C
CALL SPY 10/23/20 345 STANDARD & POORS DEPOSITORY   CUSIP:   Symbol: SPY201023C00345000							
10/22/2020	1.00	168.84	10/22/2020	167.14	0.00	1.70	Sell to Close
SCIENTIFIC GAMES CORP COMMON STOCK   CUSIP: 80874P109   Symbol: SGMS							
09/14/2020	10.00	283.98	09/14/2020	266.70	0.00	17.28	Sale
NVIDIA CORP   CUSIP: 67066G104   Symbol: NVDA							
11/20/2020	10.00	5,291.66	11/19/2020	5,289.60	0.00	2.06	Sale
11/27/2020	5.00	2,669.92	11/20/2020	2,653.91	0.00	16.01	Sale
11/27/2020	5.00	2,665.43	11/20/2020	2,653.92	0.00	11.51	Sale
<b>Security Totals:</b>		<b>10,627.01</b>		<b>10,597.43</b>		<b>29.58</b>	
PUT F 10/30/20 7.50 FORD MOTOR COMPANY   CUSIP:   Symbol: F201030P00007500							
10/28/2020	8.00	134.90	10/27/2020	81.09	0.00	53.81	Sell to Close
10/30/2020	2.00	0.00	10/27/2020	20.27	0.00	-20.27	Expiration
<b>Security Totals:</b>		<b>134.90</b>		<b>101.36</b>		<b>33.54</b>	
PUT LMND 11/20/20 40 LEMONADE INC   CUSIP:   Symbol: LMND201120P00040000							
10/20/2020	1.00	29.84	10/19/2020	35.14	0.00	-5.30	Sell to Close

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**SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS**

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

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

**Box 5:** Box Not Checked (Covered Security)

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

**Box 12:** Basis Reported to the IRS

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

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CALL HOME 01/15/21 25 AT HOME GROUP INC   CUSIP:   Symbol: HOME210115C00025000							
11/27/2020	1.00	89.84	11/24/2020	71.14	0.00	18.70	Sell to Close
FUBOTV INC COMMON STOCK   CUSIP: 35953D104   Symbol: FUBO							
11/11/2020	50.00	973.42	11/06/2020	725.04	0.00	248.38	Sale
11/17/2020	25.00	524.94	11/06/2020	362.52	0.00	162.42	Sale
12/01/2020	25.00	681.70	11/06/2020	362.52	0.00	319.18	Sale
12/22/2020	50.00	3,024.88	12/22/2020	2,957.04	0.00	67.84	Sale
12/31/2020	60.00	1,776.38	Various	1,771.10	0.00	5.28	Sale
<b>Security Totals:</b>		<b>6,981.32</b>		<b>6,178.22</b>		<b>803.10</b>	
PUT TWTR 10/16/20 48 TWITTER INC   CUSIP:   Symbol: TWTR201016P00048000							
09/28/2020	1.00	-61.30	09/23/2020	0.00	0.00	-61.30	Buy to Close
PUT AMD 10/30/20 71 ADVANCED MICRO DEVICES INC   CUSIP:   Symbol: AMD201030P00071000							
10/20/2020	1.00	-2.30	10/19/2020	0.00	0.00	-2.30	Buy to Close
CALL LOW 01/15/21 155 LOWES COMPANIES INC   CUSIP:   Symbol: LOW210115C00155000							
12/09/2020	1.00	768.83	12/07/2020	458.14	0.00	310.69	Sell to Close
CALL TSLA 11/27/20 520 TESLA INC   CUSIP:   Symbol: TSLA201127C00520000							
11/23/2020	1.00	1,279.82	11/23/2020	1,366.14	86.32 D	0.00	Sell to Close
11/23/2020	1.00	1,384.81	11/23/2020	1,372.46	0.00	12.35	Sell to Close
<b>Security Totals:</b>		<b>2,664.63</b>		<b>2,738.60</b>		<b>12.35</b>	
PUT TSLA 11/27/20 515 TESLA INC   CUSIP:   Symbol: TSLA201127P00515000							
11/23/2020	1.00	1,264.83	11/23/2020	1,251.14	0.00	13.69	Sell to Close
11/23/2020	1.00	1,339.83	11/23/2020	1,366.14	0.00	-26.31	Sell to Close
<b>Security Totals:</b>		<b>2,604.66</b>		<b>2,617.28</b>		<b>-12.62</b>	
CALL TSLA 11/27/20 525 TESLA INC   CUSIP:   Symbol: TSLA201127C00525000							
11/23/2020	1.00	1,549.81	11/23/2020	1,331.14	0.00	218.67	Sell to Close
11/23/2020	1.00	1,149.82	11/23/2020	1,341.14	0.00	-191.32	Sell to Close
<b>Security Totals:</b>		<b>2,699.63</b>		<b>2,672.28</b>		<b>27.35</b>	
CALL DOCU 12/11/20 250 DOCUSIGN INC   CUSIP:   Symbol: DOCU201211C00250000							
12/07/2020	1.00	112.84	12/07/2020	153.14	0.00	-40.30	Sell to Close

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APEX CLEARING

Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B\*

OMB No. 1545-0715

5WU95787

(continued)

02/23/2021

SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

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

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

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

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1a - Description of property | CUSIP | Symbol

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CALL GE 03/19/21 14 GENERAL ELECTRIC CO   CUSIP:   Symbol: GE210319C00014000							
12/10/2020	5.00	199.31	12/09/2020	200.68	0.00	-1.37	Sell to Close
12/10/2020	5.00	199.30	12/09/2020	200.68	0.00	-1.38	Sell to Close
<b>Security Totals:</b>		<b>398.61</b>		<b>401.36</b>		<b>-2.75</b>	
PUT BA 11/13/20 160 BOEING CO   CUSIP:   Symbol: BA201113P00160000							
11/13/2020	1.00	1.84	11/09/2020	30.14	0.00	-28.30	Sell to Close
APPLE INC   CUSIP: 037833100   Symbol: AAPL							
09/29/2020	15.00	1,707.09	Various	1,702.25	1.94 D	6.78	Sale
10/12/2020	25.00	3,087.40	Various	2,856.21	0.00	231.19	Sale
11/04/2020	70.00	7,964.47	Various	7,910.31	36.03 D	90.19	Sale
11/20/2020	50.00	5,935.81	Various	6,047.16	111.35 D	0.00	Sale
11/20/2020	100.00	11,877.64	Various	11,694.04	4.26 D	187.86	Sale
11/20/2020	100.00	11,770.72	Various	12,035.28	264.56 D	0.00	Sale
11/24/2020	150.00	17,309.49	Various	17,625.91	412.21 D	95.79	Sale
12/18/2020	100.00	12,750.62	Various	13,181.29	0.00	-430.67	Sale
<b>Security Totals:</b>		<b>72,403.24</b>		<b>73,052.45</b>		<b>181.14</b>	
CALL SQ 10/02/20 160 SQUARE INC   CUSIP:   Symbol: SQ201002C00160000							
09/22/2020	1.00	474.84	09/22/2020	381.14	0.00	93.70	Sell to Close
PUT AMD 09/25/20 65 ADVANCED MICRO DEVICES INC   CUSIP:   Symbol: AMD200925P00065000							
09/21/2020	1.00	3.84	09/09/2020	34.14	0.00	-30.30	Sell to Close
CALL WEN 11/20/20 25 WENDYS COMPANY (THE)   CUSIP:   Symbol: WEN201120C00025000							
11/20/2020	1.00	0.00	10/16/2020	121.14	0.00	-121.14	Expiration
PUT SPY 11/16/20 359 STANDARD & POORS DEPOSITORY   CUSIP:   Symbol: SPY201116P00359000							
11/16/2020	1.00	33.85	11/16/2020	47.14	13.29 D	0.00	Sell to Close
11/16/2020	1.00	2.85	11/16/2020	30.43	0.00	-27.58	Sell to Close
<b>Security Totals:</b>		<b>36.70</b>		<b>77.57</b>		<b>-27.58</b>	
CALL CMPS 12/18/20 40 COMPASS PATHWAYS PLC ADS   CUSIP:   Symbol: CMPS201218C00040000							
12/03/2020	1.00	-1,119.30	11/20/2020	0.00	0.00	-1,119.30	Buy to Close
CALL SNOW 11/27/20 310 SNOWFLAKE INC CLASS A   CUSIP:   Symbol: SNOW201127C00310000							
11/25/2020	1.00	434.84	11/25/2020	521.14	0.00	-86.30	Sell to Close

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**SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS**

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PUT SPY 10/23/20 340 STANDARD & POORS DEPOSITORY   CUSIP:   Symbol: SPY201023P00340000							
10/22/2020	1.00	61.84	10/22/2020	64.14	2.3 D	0.00	Sell to Close
10/23/2020	1.00	0.00	10/22/2020	69.44	0.00	-69.44	Expiration
<b>Security Totals:</b>		<b>61.84</b>		<b>133.58</b>		<b>-69.44</b>	
CALL SPY 10/02/20 337 STANDARD & POORS DEPOSITORY   CUSIP:   Symbol: SPY201002C00337000							
10/02/2020	1.00	52.84	10/02/2020	20.14	0.00	32.70	Sell to Close
CALL TSLA 10/30/20 412.50 TESLA INC   CUSIP:   Symbol: TSLA201030C00412500							
10/30/2020	1.00	12.84	10/30/2020	40.14	0.00	-27.30	Sell to Close C
WELLS FARGO MULTI SECTOR INCOME FUND   CUSIP: 94987D101   Symbol: ERC							
09/01/2020	10.00	114.28	08/28/2020	112.40	0.00	1.88	Buy to Cover Short
PUT VUZI 11/20/20 3 VUZIX CORPORATION   CUSIP:   Symbol: VUZI201120P00003000							
11/20/2020	1.00	0.00	11/02/2020	11.14	0.00	-11.14	Expiration
CALL FDX 12/18/20 290 FEDEX CORP   CUSIP:   Symbol: FDX201218C00290000							
12/15/2020	1.00	787.84	12/14/2020	937.14	0.00	-149.30	Sell to Close
***MOMO INC ADR   CUSIP: 60879B107   Symbol: MOMO							
11/17/2020	100.00	1,540.87	11/11/2020	1,572.77	0.00	-31.90	Sale
PUT TSLA 08/28/20 1520 TESLA INC   CUSIP:   Symbol: TSLA200828P01520000							
08/21/2020	1.00	174.69	08/21/2020	0.00	0.00	174.69	Buy to Close
08/24/2020	1.00	512.69	08/21/2020	0.00	0.00	512.69	Buy to Close
<b>Security Totals:</b>		<b>687.38</b>		<b>0.00</b>		<b>687.38</b>	
UNITEDHEALTH GROUP INC   CUSIP: 91324P102   Symbol: UNH							
09/09/2020	10.00	3,134.91	09/04/2020	3,070.00	0.00	64.91	Sale
APARTMENT INVESTMENT AND MANAGEMENT COMPANY CLASS A COMMON STOCK   CUSIP: 03748R747   Symbol: AIV							
12/16/2020	110.00	522.49	Various	647.98	0.00	-125.49	Sale
ROOT INC CLASS A COMMON STOCK   CUSIP: 77664L108   Symbol: ROOT							
12/03/2020	30.00	452.05	Various	451.49	2.44 D	3.00	Sale
12/08/2020	20.00	304.36	12/03/2020	286.45	0.00	17.91	Sale
<b>Security Totals:</b>		<b>756.41</b>		<b>737.94</b>		<b>20.91</b>	
CALL PLUG 01/15/21 33 PLUG POWER INC   CUSIP:   Symbol: PLUG210115C00033000							
12/22/2020	1.00	519.83	12/18/2020	321.14	0.00	198.69	Sell to Close

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**SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS**

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TESLA INC COMMON STOCK   CUSIP: 88160R101   Symbol: TSLA							
09/14/2020	10.00	4,065.00	09/14/2020	4,040.01	0.00	24.99	Sale
09/14/2020	10.00	3,991.10	09/14/2020	4,040.00	48.9 D	0.00	Sale
09/14/2020	15.00	6,322.34	09/14/2020	6,172.52	0.00	149.82	Sale
09/14/2020	20.00	7,659.81	09/08/2020	7,100.00	0.00	559.81	Sale
09/14/2020	50.00	20,829.48	Various	20,623.94	0.00	205.54	Sale
09/14/2020	30.00	12,509.68	09/14/2020	12,345.02	0.00	164.66	Sale
09/21/2020	50.00	22,349.44	Various	22,250.29	0.00	99.15	Sale
09/21/2020	50.00	22,049.45	Various	21,801.29	0.00	248.16	Sale
09/29/2020	10.00	4,143.19	Various	4,233.10	156.91 D	67.00	Sale
10/07/2020	15.00	6,393.58	Various	6,511.91	148.22 D	29.89	Sale
10/14/2020	5.00	2,287.43	10/07/2020	2,291.22	3.79 D	0.00	Sale
11/03/2020	10.00	4,159.88	Various	4,142.15	70.33 D	88.06	Sale
11/20/2020	5.00	2,457.18	Various	2,068.72	0.00	388.46	Sale
12/01/2020	5.00	2,906.82	Various	2,023.61	0.00	883.21	Sale
12/02/2020	5.00	2,794.91	Various	2,559.23	0.00	235.68	Sale
12/08/2020	1.00	636.63	12/07/2020	634.00	0.00	2.63	Sale
12/14/2020	10.00	6,329.85	12/14/2020	6,266.90	0.00	62.95	Sale
12/16/2020	20.00	12,391.50	Various	12,659.34	267.84 D	0.00	Sale
12/24/2020	10.00	6,609.94	12/24/2020	6,832.25	222.31 D	0.00	Sale
12/24/2020	10.00	6,619.94	12/24/2020	6,625.59	5.65 D	0.00	Sale
<b>Security Totals:</b>		<b>157,507.15</b>		<b>155,221.09</b>		<b>3,210.01</b>	
CALL NVDA 09/25/20 550 NVIDIA CORP   CUSIP:   Symbol: NVDA200925C00550000							
09/23/2020	2.00	39.69	09/23/2020	170.27	0.00	-130.58	Sell to Close
CALL NIO 11/13/20 47 NIO INC ADS   CUSIP:   Symbol: NIO201113C00047000							
11/13/2020	1.00	54.85	11/13/2020	82.14	0.00	-27.29	Sell to Close
PUT TSLA 11/20/20 480 TESLA INC ADJ 5:1 STOCK SPLIT   CUSIP:   Symbol: TSLA201120P00480000							
11/19/2020	1.00	266.84	11/19/2020	254.14	0.00	12.70	Sell to Close

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CALL BLNK 11/20/20	15	BLINK CHARGING CO   CUSIP:   Symbol: BLNK201120C00015000					
11/12/2020	1.00	12.84	11/12/2020	15.14	0.00	-2.30	Sell to Close
CALL SNOW 11/27/20	305	SNOWFLAKE INC CLASS A   CUSIP:   Symbol: SNOW201127C00305000					
11/25/2020	1.00	659.83	11/25/2020	576.14	0.00	83.69	Sell to Close
CALL TSLA 11/20/20	500	TESLA INC ADJ 5:1 STOCK SPLIT   CUSIP:   Symbol: TSLA201120C00500000					
11/17/2020	1.00	128.84	11/17/2020	150.43	21.59 D	0.00	Sell to Close
11/17/2020	1.00	134.85	11/17/2020	152.14	17.29 D	0.00	Sell to Close
11/19/2020	1.00	1,020.82	11/19/2020	882.73	0.00	138.09	Sell to Close
11/19/2020	1.00	714.83	11/19/2020	766.14	51.31 D	0.00	Sell to Close
11/19/2020	1.00	749.83	11/19/2020	852.45	0.00	-102.62	Sell to Close
<b>Security Totals:</b>		<b>2,749.17</b>		<b>2,803.89</b>		<b>35.47</b>	
CALL NFLX 07/17/20	660	NETFLIX INC   CUSIP:   Symbol: NFLX200717C00660000					
07/17/2020	5.00	0.00	07/16/2020	845.69	0.00	-845.69	Expiration
CALL TWLO 11/20/20	305	TWILIO INC   CUSIP:   Symbol: TWLO201120C00305000					
11/19/2020	1.00	260.84	11/19/2020	311.14	0.00	-50.30	Sell to Close
CALL TSLA 11/20/20	480	TESLA INC ADJ 5:1 STOCK SPLIT   CUSIP:   Symbol: TSLA201120C00480000					
11/17/2020	1.00	244.85	11/17/2020	361.14	0.00	-116.29	Sell to Close
PUT BYND 10/16/20	100	BEYOND MEAT INC   CUSIP:   Symbol: BYND201016P00100000					
10/05/2020	1.00	13.85	09/29/2020	14.14	0.00	-0.29	Sell to Close
CALL KODK 12/11/20	9	EASTMAN KODAK COMPANY   CUSIP:   Symbol: KODK201211C00009000					
11/25/2020	1.00	-14.30	11/25/2020	0.00	0.00	-14.30	Buy to Close
CALL BABA 11/20/20	300	ALIBABA GROUP HOLDING LIMITED   CUSIP:   Symbol: BABA201120C00300000					
10/07/2020	1.00	-248.32	09/30/2020	0.00	0.00	-248.32	Buy to Close
CALL AUDC 11/20/20	40	AUDIOCODES LTD ORD   CUSIP:   Symbol: AUDC201120C00040000					
11/20/2020	1.00	0.00	10/26/2020	36.14	0.00	-36.14	Expiration
CALL SNOW 11/27/20	300	SNOWFLAKE INC CLASS A   CUSIP:   Symbol: SNOW201127C00300000					
11/25/2020	1.00	171.85	11/24/2020	113.14	0.00	58.71	Sell to Close
CALL TSLA 11/20/20	510	TESLA INC ADJ 5:1 STOCK SPLIT   CUSIP:   Symbol: TSLA201120C00510000					
11/18/2020	1.00	320.84	11/18/2020	326.42	5.58 D	0.00	Sell to Close
11/18/2020	1.00	608.83	11/18/2020	471.14	0.00	137.69	Sell to Close
11/18/2020	1.00	419.84	11/18/2020	442.01	22.17 D	0.00	Sell to Close

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APEX CLEARING

## Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B\*

OMB No. 1545-0715

5WU95787

(continued)

02/23/2021

**SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS**

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

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

1c - Date Sold or Disposed	Quantity	1d - Proceeds	1b - Date Acquired	1e - Cost or Other Basis	1f - Accrued Market Discount (M) & 1g - Wash Sale Loss Disallowed (D)	Gain or Loss (-)	Additional Notes
CALL TSLA 11/20/20	510	TESLA INC	ADJ 5:1 STOCK SPLIT   CUSIP:   Symbol: TSLA201120C00510000				
11/18/2020	1.00	320.85	11/18/2020	406.72	85.87 D	0.00	Sell to Close
11/18/2020	2.00	1,169.69	Various	1,034.45	0.00	135.24	Sell to Close
11/18/2020	1.00	450.84	11/18/2020	356.13	0.00	94.71	Sell to Close
11/18/2020	2.00	659.71	Various	613.28	0.28 D	46.71	Sell to Close
<b>Security Totals:</b>		<b>3,950.60</b>		<b>3,650.15</b>		<b>414.35</b>	
PUT SNOW 11/27/20	295	SNOWFLAKE INC CLASS A   CUSIP:   Symbol: SNOW201127P00295000					
11/25/2020	1.00	219.84	11/25/2020	251.14	0.00	-31.30	Sell to Close
PUT TSLA 11/20/20	500	TESLA INC	ADJ 5:1 STOCK SPLIT   CUSIP:   Symbol: TSLA201120P00500000				
11/19/2020	1.00	839.83	11/19/2020	841.14	0.00	-1.31	Sell to Close
CALL AMD 12/18/20	100	ADVANCED MICRO DEVICES INC   CUSIP:   Symbol: AMD201218C00100000					
12/18/2020	1.00	0.00	11/30/2020	138.14	0.00	-138.14	Expiration
CALL SNOW 11/27/20	295	SNOWFLAKE INC CLASS A   CUSIP:   Symbol: SNOW201127C00295000					
11/25/2020	1.00	449.84	11/25/2020	301.14	0.00	148.70	Sell to Close
CALL TSLA 11/20/20	520	TESLA INC	ADJ 5:1 STOCK SPLIT   CUSIP:   Symbol: TSLA201120C00520000				
11/19/2020	2.00	679.71	11/19/2020	682.27	0.00	-2.56	Sell to Close
PUT BA 08/21/20	197.50	BOEING CO   CUSIP:   Symbol: BA200821P00197500					
07/28/2020	1.00	102.65	07/27/2020	0.00	0.00	102.65	Buy to Close
CALL ROKU 09/25/20	210	ROKU INC   CUSIP:   Symbol: ROKU200925C00210000					
09/23/2020	2.00	179.71	09/23/2020	412.27	0.00	-232.56	Sell to Close
09/23/2020	1.00	59.85	09/23/2020	206.14	0.00	-146.29	Sell to Close
<b>Security Totals:</b>		<b>239.56</b>		<b>618.41</b>		<b>-378.85</b>	
CALL ROKU 01/15/21	350	ROKU INC   CUSIP:   Symbol: ROKU210115C00350000					
12/18/2020	1.00	-252.33	12/17/2020	0.00	0.00	-252.33	Buy to Close
CALL FB 09/18/20	280	FACEBOOK INC CL A   CUSIP:   Symbol: FB200918C00280000					
09/16/2020	1.00	64.84	09/16/2020	116.14	0.00	-51.30	Sell to Close
CALL MRO 01/21/22	8	MARATHON OIL CORP   CUSIP:   Symbol: MRO220121C00008000					
12/10/2020	2.00	343.71	12/02/2020	204.27	0.00	139.44	Sell to Close
PUT PCG 08/21/20	8	PG&E CORP   CUSIP:   Symbol: PCG200821P00008000					
07/10/2020	1.00	36.84	07/08/2020	40.14	0.00	-3.30	Sell to Close

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**SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS**

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

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

**Box 5:** Box Not Checked (Covered Security)

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

**Box 12:** Basis Reported to the IRS

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

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

1c - Date Sold or Disposed	Quantity	1d - Proceeds	1b - Date Acquired	1e - Cost or Other Basis	1f - Accrued Market Discount (M) & 1g - Wash Sale Loss Disallowed (D)	Gain or Loss (-)	Additional Notes
CALL TSLA 11/20/20 550 TESLA INC ADJ 5:1 STOCK SPLIT   CUSIP:   Symbol: TSLA201120C00550000							
11/17/2020	1.00	62.84	11/17/2020	108.14	45.3 D	0.00	Sell to Close
11/18/2020	1.00	145.85	11/18/2020	246.44	100.59 D	0.00	Sell to Close
11/19/2020	1.00	219.85	11/19/2020	278.73	58.88 D	0.00	Sell to Close
11/19/2020	1.00	237.84	11/19/2020	450.02	0.00	-212.18	Sell to Close
<b>Security Totals:</b>		<b>666.38</b>		<b>1,083.33</b>		<b>-212.18</b>	
PUT FB 09/18/20 240 FACEBOOK INC CL A   CUSIP:   Symbol: FB200918P00240000							
09/17/2020	1.00	28.84	09/17/2020	41.14	0.00	-12.30	Sell to Close
PUT NKLA 10/09/20 18 NIKOLA CORPORATION   CUSIP:   Symbol: NKLA201009P00018000							
10/02/2020	1.00	49.84	10/01/2020	68.14	0.00	-18.30	Sell to Close
CALL TSLA 11/20/20 530 TESLA INC ADJ 5:1 STOCK SPLIT   CUSIP:   Symbol: TSLA201120C00530000							
11/18/2020	1.00	245.84	11/18/2020	289.14	43.3 D	0.00	Sell to Close
11/18/2020	1.00	399.84	11/18/2020	397.44	0.00	2.40	Sell to Close
11/18/2020	1.00	344.84	11/18/2020	386.14	41.3 D	0.00	Sell to Close
11/19/2020	2.00	413.71	Various	496.28	0.00	-82.57	Sell to Close
11/19/2020	1.00	344.84	11/18/2020	330.44	0.00	14.40	Sell to Close
<b>Security Totals:</b>		<b>1,749.07</b>		<b>1,899.44</b>		<b>-65.77</b>	
CALL BYND 11/20/20 130 BEYOND MEAT INC   CUSIP:   Symbol: BYND201120C00130000							
11/16/2020	1.00	-12.30	11/16/2020	0.00	0.00	-12.30	Buy to Close
CALL SPY 10/05/20 339 STANDARD & POORS DEPOSITORY   CUSIP:   Symbol: SPY201005C00339000							
10/05/2020	1.00	41.84	10/05/2020	86.14	0.00	-44.30	Sell to Close
PUT TSLA 10/09/20 240 TESLA INC   CUSIP:   Symbol: TSLA201009P00240000							
09/23/2020	1.00	101.84	09/23/2020	116.14	0.00	-14.30	Sell to Close
***SUNDIAL GROWERS INC COM   CUSIP: 86730L109   Symbol: SNDL							
11/30/2020	150.00	104.85	11/27/2020	56.51	0.00	48.34	Sale
11/30/2020	200.00	94.47	11/27/2020	75.34	0.00	19.13	Sale
12/01/2020	150.00	101.87	11/27/2020	56.50	0.00	45.37	Sale
12/02/2020	200.00	141.11	12/01/2020	139.62	0.00	1.49	Sale
<b>Security Totals:</b>		<b>442.30</b>		<b>327.97</b>		<b>114.33</b>	

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APEX CLEARING

## Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B\*

OMB No. 1545-0715

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(continued)

02/23/2021

**SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS**

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

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

1c - Date Sold or Disposed	Quantity	1d - Proceeds	1b - Date Acquired	1e - Cost or Other Basis	1f - Accrued Market Discount (M) & 1g - Wash Sale Loss Disallowed (D)	Gain or Loss (-)	Additional Notes
PUT TDOC 11/20/20	140	TELADOC HEALTH INC   CUSIP:   Symbol: TDOC201120P00140000					
11/12/2020	1.00	4.84	11/09/2020	36.14	0.00	-31.30	Sell to Close
***ASTRAZENECA PLC		AMERICAN DEPOSITARY SHARES   CUSIP: 046353108   Symbol: AZN					
09/23/2020	20.00	1,115.95	09/02/2020	1,110.81	0.00	5.14	Sale
CALL JMIA 11/20/20	15	JUMIA TECHNOLOGIES AG   CUSIP:   Symbol: JMIA201120C00015000					
11/12/2020	2.00	19.44	11/12/2020	0.00	0.00	19.44	Buy to Close
11/12/2020	1.00	9.72	11/12/2020	0.00	0.00	9.72	Buy to Close
11/18/2020	2.00	-770.56	11/12/2020	0.00	0.00	-770.56	Buy to Close
<b>Security Totals:</b>		<b>-741.40</b>		<b>0.00</b>		<b>-741.40</b>	
GLAUKOS CORPORATION		COM   CUSIP: 377322102   Symbol: GKOS					
10/09/2020	10.00	544.97	10/08/2020	515.00	0.00	29.97	Sale
PUT TSLA 01/15/21	570	TESLA INC	ADJ 5:1 STOCK SPLIT   CUSIP:   Symbol: TSLA210115P00570000				
12/14/2020	1.00	3,567.78	12/07/2020	3,766.14	0.00	-198.36	Sell to Close
***COMPASS PATHWAYS PLC		AMERICAN DEPOSITARY SHARES   CUSIP: 20451W101   Symbol: CMPS					
12/03/2020	100.00	5,119.79	11/06/2020	4,088.89	0.00	1,030.90	Sale
CALL UPS 01/15/21	180	UNITED PARCEL SVC INC   CUSIP:   Symbol: UPS210115C00180000					
12/23/2020	1.00	226.84	12/21/2020	276.14	0.00	-49.30	Sell to Close
CALL BABA 01/15/21	270	ALIBABA GROUP HOLDING LIMITED   CUSIP:   Symbol: BABA210115C00270000					
11/13/2020	1.00	1,379.81	11/10/2020	1,912.14	532.33 D	0.00	Sell to Close
11/25/2020	1.00	1,819.80	11/23/2020	2,103.47	0.00	-283.67	Sell to Close
<b>Security Totals:</b>		<b>3,199.61</b>		<b>4,015.61</b>		<b>-283.67</b>	
CALL FDX 12/18/20	292.50	FEDEX CORP   CUSIP:   Symbol: FDX201218C00292500					
12/15/2020	1.00	137.69	12/14/2020	0.00	0.00	137.69	Buy to Close
PUT FSLY 10/30/20	91	FASTLY INC CLASS A   CUSIP:   Symbol: FSLY201030P00091000					
10/08/2020	1.00	6.70	10/08/2020	0.00	0.00	6.70	Buy to Close
PUT TSLA 11/20/20	410	TESLA INC	ADJ 5:1 STOCK SPLIT   CUSIP:   Symbol: TSLA201120P00410000				
11/17/2020	1.00	183.84	11/17/2020	190.14	0.00	-6.30	Sell to Close
VROOM INC		COMMON STOCK   CUSIP: 92918V109   Symbol: VRM					
12/16/2020	50.00	1,965.90	12/16/2020	1,919.98	0.00	45.92	Sale
12/16/2020	50.00	1,928.90	12/16/2020	1,919.99	0.00	8.91	Sale

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## Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B\*

OMB No. 1545-0715

5WU95787

(continued)

02/23/2021

**SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS**

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

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

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12/16/2020	100.00	3,813.69	12/16/2020	3,847.58	33.89 D	0.00	Sale
<b>Security Totals:</b>		<b>7,708.49</b>		<b>7,687.55</b>		<b>54.83</b>	
PUT SPY 11/11/20 354	STANDARD & POORS DEPOSITORY   CUSIP:   Symbol: SPY201111P00354000						
11/11/2020	1.00	3.85	11/11/2020	26.14	0.00	-22.29	Sell to Close
CALL AMZN 10/30/20 3180	AMAZON.COM INC   CUSIP:   Symbol: AMZN201030C03180000						
10/27/2020	1.00	-2,880.53	10/26/2020	0.00	0.00	-2,880.53	Buy to Close
SIGMA LABS INC	COMMON STOCK   CUSIP: 826598500   Symbol: SGLB						
10/21/2020	100.00	304.90	10/21/2020	312.08	0.00	-7.18	Sale
CALL UPS 01/15/21 175	UNITED PARCEL SVC INC   CUSIP:   Symbol: UPS210115C00175000						
12/14/2020	1.00	389.85	12/04/2020	371.14	0.00	18.71	Sell to Close
PUT TSLA 11/20/20 400	TESLA INC ADJ 5:1 STOCK SPLIT   CUSIP:   Symbol: TSLA201120P00400000						
11/17/2020	1.00	69.84	11/17/2020	95.14	0.00	-25.30	Sell to Close
PUT LYFT 11/06/20 19	LYFT INC CLASS A   CUSIP:   Symbol: LYFT201106P00019000						
11/06/2020	1.00	0.00	11/03/2020	16.14	0.00	-16.14	Expiration
PUT TSLA 08/28/20 1500	TESLA INC   CUSIP:   Symbol: TSLA200828P01500000						
08/21/2020	1.00	528.83	08/21/2020	677.14	148.31 D	0.00	Sell to Close
08/24/2020	1.00	240.85	08/21/2020	879.45	0.00	-638.60	Sell to Close
<b>Security Totals:</b>		<b>769.68</b>		<b>1,556.59</b>		<b>-638.60</b>	
PUT GSX 09/18/20 40	GSX TECHEDU INC ADS   CUSIP:   Symbol: GSX200918P00040000						
09/02/2020	1.00	77.84	09/01/2020	93.14	0.00	-15.30	Sell to Close
PUT TSLA 01/15/21 580	TESLA INC ADJ 5:1 STOCK SPLIT   CUSIP:   Symbol: TSLA210115P00580000						
12/14/2020	1.00	174.61	12/07/2020	0.00	0.00	174.61	Buy to Close
PUT BIGC 10/16/20 85	BIGCOMMERCE HOLDINGS INC   CUSIP:   Symbol: BIGC201016P00085000						
10/15/2020	1.00	19.84	10/14/2020	30.14	0.00	-10.30	Sell to Close
PUT SNAP 01/15/21 30	SNAP INC   CUSIP:   Symbol: SNAP210115P00030000						
12/11/2020	1.00	6.84	11/30/2020	17.14	0.00	-10.30	Sell to Close
CALL ETSY 08/21/20 150	ETSY INC   CUSIP:   Symbol: ETSY200821C00150000						
07/23/2020	1.00	70.85	07/21/2020	99.14	0.00	-28.29	Sell to Close
CALL SPY 11/30/20 362	STANDARD & POORS DEPOSITORY   CUSIP:   Symbol: SPY201130C00362000						
11/30/2020	1.00	62.84	11/30/2020	37.14	0.00	25.70	Sell to Close

APEX CLEARING

## Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B\*

OMB No. 1545-0715

5WU95787

(continued)

02/23/2021

**SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS**

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

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

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PUT CHWY 08/21/20	45	CHEWY INC CLASS A   CUSIP:   Symbol: CHWY200821P00045000					
07/29/2020	1.00	2.70	07/21/2020	0.00	0.00	2.70	Buy to Close
CALL SPY 10/26/20	340	STANDARD & POORS DEPOSITORY   CUSIP:   Symbol: SPY201026C00340000					
10/26/2020	1.00	20.84	10/26/2020	26.14	5.3 D	0.00	Sell to Close
10/26/2020	1.00	4.84	10/26/2020	37.74	0.00	-32.90	Sell to Close
10/26/2020	1.00	14.84	10/26/2020	30.44	15.6 D	0.00	Sell to Close
<b>Security Totals:</b>		<b>40.52</b>		<b>94.32</b>		<b>-32.90</b>	
PUT TSLA 11/20/20	440	TESLA INC ADJ 5:1 STOCK SPLIT   CUSIP:   Symbol: TSLA201120P00440000					
11/18/2020	1.00	122.84	11/18/2020	124.14	0.00	-1.30	Sell to Close
CALL BILI 08/21/20	55	BILIBILI INC ADS   CUSIP:   Symbol: BILI200821C00055000					
07/13/2020	1.00	23.70	07/10/2020	0.00	0.00	23.70	Buy to Close
07/13/2020	1.00	24.70	07/10/2020	0.00	0.00	24.70	Buy to Close
<b>Security Totals:</b>		<b>48.40</b>		<b>0.00</b>		<b>48.40</b>	
PUT BABA 01/15/21	260	ALIBABA GROUP HOLDING LIMITED   CUSIP:   Symbol: BABA210115P00260000					
11/19/2020	1.00	183.68	11/17/2020	0.00	0.00	183.68	Buy to Close
CALL PLTR 12/04/20	28	PALANTIR TECHNOLOGIES INC CL A   CUSIP:   Symbol: PLTR201204C00028000					
12/01/2020	1.00	-20.30	12/01/2020	0.00	0.00	-20.30	Buy to Close
CALL TSLA 11/20/20	470	TESLA INC ADJ 5:1 STOCK SPLIT   CUSIP:   Symbol: TSLA201120C00470000					
11/18/2020	1.00	1,239.82	11/18/2020	826.14	0.00	413.68	Sell to Close
PUT TSLA 11/20/20	450	TESLA INC ADJ 5:1 STOCK SPLIT   CUSIP:   Symbol: TSLA201120P00450000					
11/18/2020	1.00	205.85	11/18/2020	225.14	0.00	-19.29	Sell to Close
PUT DOCU 10/16/20	192.50	DOCUSIGN INC   CUSIP:   Symbol: DOCU201016P00192500					
10/05/2020	1.00	33.70	10/02/2020	0.00	0.00	33.70	Buy to Close
CALL TSLA 11/20/20	450	TESLA INC ADJ 5:1 STOCK SPLIT   CUSIP:   Symbol: TSLA201120C00450000					
11/16/2020	1.00	88.84	11/16/2020	134.14	45.3 D	0.00	Sell to Close
11/16/2020	1.00	84.84	11/16/2020	167.44	82.6 D	0.00	Sell to Close
11/17/2020	1.00	1,549.81	11/16/2020	150.74	0.00	1,399.07	Sell to Close
<b>Security Totals:</b>		<b>1,723.49</b>		<b>452.32</b>		<b>1,399.07</b>	
PUT SPY 10/07/20	339	STANDARD & POORS DEPOSITORY   CUSIP:   Symbol: SPY201007P00339000					
10/07/2020	2.00	17.71	10/07/2020	24.27	0.00	-6.56	Sell to Close

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



APEX CLEARING

Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B\*

OMB No. 1545-0715

5WU95787

(continued)

02/23/2021

**SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS**

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

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

**Box 5:** Box Not Checked (Covered Security)

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

**Box 12:** Basis Reported to the IRS

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

1a - Description of property | CUSIP | Symbol

1c - Date Sold or Disposed	Quantity	1d - Proceeds	1b - Date Acquired	1e - Cost or Other Basis	1f - Accrued Market Discount (M) & 1g - Wash Sale Loss Disallowed (D)	Gain or Loss (-)	Additional Notes
10/07/2020	1.00	0.00	10/07/2020	12.14	0.00	-12.14	Expiration
<b>Security Totals:</b>		<b>17.71</b>		<b>36.41</b>		<b>-18.70</b>	
CALL TSLA 11/20/20 460	TESLA INC		ADJ 5:1 STOCK SPLIT   CUSIP:   Symbol: TSLA201120C00460000				
11/17/2020	1.00	654.83	11/17/2020	631.14	0.00	23.69	Sell to Close
<b>Totals:</b>		<b>2,466,589.43</b>		<b>2,502,543.26</b>		<b>9,585.02</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. Taxpayers are reminded that they are ultimately responsible for the accuracy of their tax returns.

APEX CLEARING

Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B\*

OMB No. 1545-0715

5WU95787

(continued)

02/23/2021

**SHORT TERM TRANSACTIONS FOR NONCOVERED TAX LOTS**

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

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

**Box 5:** Box Checked (Noncovered Security)

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

**Box 12:** Basis Not Reported to the IRS

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

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

1c - Date Sold or Disposed	Quantity	1d - Proceeds	Date Acquired	Cost or Other Basis	Accrued Market Discount (M) & Wash Sale Loss Disallowed (D)	Gain or Loss (-)	Additional Notes
CHENIERE ENERGY PARTNERS L P COMMON UNITS   CUSIP: 16411Q101   Symbol: CQP							
08/24/2020	1.00	37.94	08/21/2020	38.52	0.00	-0.58	Sale
PROSHARES TRUST II PROSHARES ULTRA VIX SHORT TERM FUTURES ETF   CUSIP: 74347W148   Symbol: UVXY							
09/14/2020	100.00	2,049.86	09/14/2020	2,000.08	0.00	49.78	Sale
10/02/2020	10.00	212.18	10/01/2020	200.60	0.00	11.58	Sale
<b>Security Totals:</b>		<b>2,262.04</b>		<b>2,200.68</b>		<b>61.36</b>	
PROSHARES ULTRA SILVER   CUSIP: 74347W353   Symbol: AGQ							
12/03/2020	10.00	429.48	12/03/2020	429.50	0.00	-0.02	Sale
<b>Totals:</b>		<b>2,729.46</b>		<b>2,668.70</b>		<b>60.76</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. Taxpayers are reminded that they are ultimately responsible for the accuracy of their tax returns.

APEX CLEARING

## Regulated Futures Contracts &amp; Section 1256 Options

2020

5WU95787

02/23/2021

The detailed transactional information below are furnished only for your information. Only the aggregate profit/loss information in each section is reported to the IRS. Taxpayers are reminded that they are ultimately responsible for the accuracy of their tax returns.

## PROFIT OR LOSS REALIZED IN 2020 ON CLOSED CONTRACTS

Description of property CUSIP	Expiration Date/ Strike Price	Closing Trade Process Date	Number of Contracts	Buy/Sell/Expire	Opening Contract Amount	Closing Contract Amount	Realized Profit/(Loss)	
CALL SPXW 10/28/20 3340	CBOE S&P 500 CLOSE/EURO INDEX							
	10/28/2020 @ 3,340.00	10/28/2020	1.00	Sell	41.79	44.21	2.42	C
CUSIP:								
CALL NDXP 09/30/20 11650	CBOE NASDAQ 100 INDEX							
	09/30/2020 @ 11,650.00	09/30/2020	1.00	Expire	98.68	0.00	98.68	
CUSIP:								
PUT SPXW 11/30/20 3550	CBOE S&P 500 CLOSE/EURO INDEX							
	11/30/2020 @ 3,550.00	11/30/2020	1.00	Sell	76.79	54.21	-22.58	
CUSIP:								
CALL NDXP 09/30/20 11675	CBOE NASDAQ 100 INDEX							
	09/30/2020 @ 11,675.00	09/30/2020	1.00	Expire	46.32	0.00	-46.32	
CUSIP:								
CALL SPXW 12/14/20 3670	CBOE S&P 500 CLOSE/EURO INDEX							
	12/14/2020 @ 3,670.00	12/14/2020	1.00	Sell	141.79	189.21	47.42	
CUSIP:								
CALL SPXW 11/30/20 3670	CBOE S&P 500 CLOSE/EURO INDEX							
	11/30/2020 @ 3,670.00	11/27/2020	1.00	Sell	236.79	259.21	22.42	
CUSIP:								
CALL SPXW 10/14/20 3500	CBOE S&P 500 CLOSE/EURO INDEX							
	10/14/2020 @ 3,500.00	10/14/2020	1.00	Sell	181.79	339.21	157.42	
CUSIP:								
CALL SPXW 11/30/20 3630	CBOE S&P 500 CLOSE/EURO INDEX							
	11/30/2020 @ 3,630.00	11/30/2020	2.00	Sell	298.58	258.42	-40.16	
CUSIP:								
CALL SPXW 10/16/20 3520	CBOE S&P 500 CLOSE/EURO INDEX							
	10/16/2020 @ 3,520.00	10/16/2020	1.00	Sell	86.79	59.21	-27.58	
CUSIP:								
CALL SPXW 12/16/20 3715	CBOE S&P 500 CLOSE/EURO INDEX							
	12/16/2020 @ 3,715.00	12/16/2020	1.00	Sell	151.79	169.21	17.42	
CUSIP:								
PUT SPXW 12/09/20 3660	CBOE S&P 500 CLOSE/EURO INDEX							
	12/09/2020 @ 3,660.00	12/09/2020	1.00	Sell	611.79	269.21	-342.58	
CUSIP:								

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

APEX CLEARING

**Regulated Futures Contracts & Section 1256 Options**

2020

5WU95787

(continued)

02/23/2021

**PROFIT OR LOSS REALIZED IN 2020 ON CLOSED CONTRACTS**

Description of property CUSIP	Expiration Date/ Strike Price	Closing Trade Process Date	Number of Contracts	Buy/Sell/Expire	Opening Contract Amount	Closing Contract Amount	Realized Profit/(Loss)
PUT VIX 11/18/20 20 CBOE VOLATILITY INDEX	11/18/2020						
CUSIP:	@ 20.00	10/07/2020	1.00	Sell	21.79	14.21	-7.58
<b>Short-Term Profit/(Loss) Total: 40%</b>							<b>-56.41</b>
<b>Long-Term Profit/(Loss) Total: 60%</b>							<b>-84.61</b>
<b>Total:</b>							<b>-141.02</b>

Aggregate Short-Term Profit or (Loss): 40%	-56.41
Aggregate Long-Term Profit or (Loss): 60%	-84.61
<b>11 - Aggregate Profit or (Loss) on Contracts</b>	<b>-141.02</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. Taxpayers are reminded that they are ultimately responsible for the accuracy of their tax returns.

APEX CLEARING

## Supplemental Information

2020

5WU95787

02/23/2021

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

**Fees & Expenses**

<b>Description</b>	<b>Amount</b>
<b>Date</b>	
Margin Interest Expense	
09/16/2020	5.57
10/16/2020	2.66
11/16/2020	1.72
12/16/2020	9.53
<b>Total:</b>	<b>19.48</b>
<b>Totals:</b>	<b>19.48</b>

## Common Instructions for Recipient

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

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

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

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

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

### Keep tax documents for your records.

#### 1099-DIV Instructions for Recipient

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

#### 1099-INT Instructions for Recipient

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

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

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

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

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

**Box 5.** Any amount shown is your share of investment expenses of a single-class REMIC. This amount is included in box 1. **Note:** This amount is not deductible.

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

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

**Box 8.** Shows tax-exempt interest paid to you during the calendar year by the payer. See how to report this amount in the Instructions for Form 1040 and 1040-SR. This amount may be subject to backup withholding. See Box 4 above. See the instructions above for a tax-exempt covered security acquired at a premium.

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

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

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

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

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

**Box 14.** Shows CUSIP number(s) for tax-exempt bond(s) on which tax-exempt interest was paid, or tax credit bond(s) on which taxable interest was paid or tax credit was allowed, to you during the calendar year. If blank, no CUSIP number was issued for the bond(s).

**Boxes 15-17.** State tax withheld reporting boxes.

**Future developments.** For the latest information about developments related to Form 1099-INT and its instructions, such as legislation enacted after they were published, go to [www.irs.gov/Form1099INT](http://www.irs.gov/Form1099INT).

#### 1099-B Instructions for Recipient

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

#### 1099-MISC Instructions for Recipient

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

#### 1099-OID Instructions for Recipient

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

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

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

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

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

**Box 2.** Shows qualified stated interest on this obligation for the year, which is an amount separate from the OID. If you held the obligation the entire year, report this amount as interest income on your tax return. If you disposed of the obligation or acquired it from another holder during the

year, see Pub. 550 for reporting instructions. If there is an amount in both boxes 2 and 8, the amount in box 2 is interest on a U.S. Treasury obligation and is exempt from state and local income taxes. If there is an amount in both boxes 2 and 11, the amount in box 2 is tax-exempt interest

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

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

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

withheld.

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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