

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

NARMADA KATAMANENI
8506 CASCADE VIEW DRIVE
COLUMBUS, OH 43240-2068

IN ACCOUNT WITH
WEBULL FINANCIAL LLC
917-725-2448

IMPORTANT YEAR END MESSAGES

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

Please verify your personal information for accuracy and contact us to correct any discrepancies.

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APEX CLEARING ONE DALLAS CENTER 350 NORTH ST PAUL SUITE 1300 DALLAS, TX 75201 Customer Service: 214-765-1009 PAYER'S Federal ID No: 13-2967453 IN ACCOUNT WITH WEBULL FINANCIAL LLC (917) 725-2448	Account 5KU68797	Form 1099 Composite	2020
	NARMADA KATAMANENI 8506 CASCADE VIEW DRIVE COLUMBUS, OH 43240-2068 RECIPIENT'S ID No: XXX-XX-8170	Statement Date: 02/02/2021	

FATCA filing requirement []

Tax Reporting Statement

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

INTEREST INCOME	2020 Form 1099-INT*	OMB No. 1545-0112
1- Interest Income	29.83	
2- Early Withdrawal penalty	0.00	
3- Interest on U.S. Savings Bonds & Treasury Obligations	0.00	
4- Federal Income Tax Withheld	0.00	
5- Investment Expenses	0.00	
6- Foreign Tax Paid	0.00	
7- Foreign Country or U.S. Possession		
8- Tax-Exempt Interest (includes box 9)	0.00	
9- Specified Private Activity Bond Interest	0.00	
10- Market Discount	0.00	
11- Bond Premium	0.00	
12- Bond Premium on Treasury Obligations	0.00	
13- Bond Premium on Tax-Exempt Bonds	0.00	
14- Tax-Exempt and Tax Credit Bond CUSIP no.		

MISCELLANEOUS INCOME	2020 Form 1099-MISC*	OMB No. 1545-0115
2- Royalties	0.00	
3- Other Income	17.26	
4- Federal Income Tax Withheld	0.00	
8- Substitute Payments in Lieu of Dividends or Interest	0.00	

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

APEX CLEARING

Tax Summary

2020

5KU68797

02/02/2021

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	1,722,230.67	1,997,329.51	0.00	286,540.36	11,441.52
Short term transactions for noncovered tax lots	1,148.74	1,164.56	0.00	20.31	4.49
Total Short-term	1,723,379.41	1,998,494.07	0.00	286,560.67	11,446.01
Long-term transactions for covered tax lots	13.98	14.74	0.00	0.00	-0.76
Long-term transactions for noncovered tax lots	0.00	0.00	0.00	0.00	0.00
Total Long-term	13.98	14.74	0.00	0.00	-0.76
Undetermined transactions for noncovered tax lots	0.00	0.00	0.00	0.00	0.00
Total Undetermined-term	0.00	0.00	0.00	0.00	0.00

ORIGINAL ISSUE DISCOUNT SUMMARY

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

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

FEDERAL TAX WITHHELD

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

APEX CLEARING

Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B*

OMB No. 1545-0715

5KU68797

02/02/2021

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

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

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

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

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

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

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

FATCA filing requirement []

SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

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

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

Box 5: Box Not Checked (Covered Security)

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

Box 12: Basis Reported to the IRS

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

1a - Description of property | CUSIP | Symbol

1c - Date Sold or Disposed	Quantity	1d - Proceeds	1b - Date Acquired	1e - Cost or Other Basis	1f - Accrued Market Discount (M) & 1g - Wash Sale Loss Disallowed (D)	Gain or Loss (-)	Additional Notes
9 METERS BIOPHARMA INC COMMON STOCK CUSIP: 654405109 Symbol: NMTR							
07/01/2020	100.00	101.98	07/01/2020	102.00	0.02 D	0.00	Sale
07/01/2020	100.00	76.16	07/01/2020	174.11	97.95 D	0.00	Sale
07/01/2020	100.00	71.41	07/01/2020	96.14	24.73 D	0.00	Sale
07/01/2020	200.00	201.97	Various	201.80	1.01 D	1.18	Sale
07/01/2020	100.00	71.42	07/01/2020	96.14	24.72 D	0.00	Sale
07/01/2020	200.00	150.17	Various	253.90	103.73 D	0.00	Sale
07/01/2020	200.00	150.13	Various	203.03	52.90 D	0.00	Sale
07/01/2020	200.00	149.77	Various	299.87	150.10 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

5KU68797

(continued)

02/02/2021

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
9 METERS BIOPHARMA INC COMMON STOCK CUSIP: 654405109 Symbol: NMTR							
07/02/2020	88.00	60.04	07/01/2020	84.60	24.56 D	0.00	Sale
07/02/2020	100.00	69.48	Various	158.82	89.34 D	0.00	Sale
07/02/2020	100.00	77.98	Various	117.78	39.80 D	0.00	Sale
07/02/2020	200.00	155.77	Various	316.85	161.08 D	0.00	Sale
07/02/2020	200.00	153.97	Various	299.58	145.61 D	0.00	Sale
07/02/2020	500.00	334.93	Various	785.29	450.36 D	0.00	Sale
07/02/2020	400.00	267.94	Various	635.82	367.88 D	0.00	Sale
07/06/2020	100.00	65.48	Various	192.68	127.20 D	0.00	Sale
07/06/2020	100.00	66.48	Various	151.75	85.27 D	0.00	Sale
07/06/2020	100.00	66.88	Various	173.61	106.73 D	0.00	Sale
07/06/2020	150.00	98.97	Various	287.45	188.48 D	0.00	Sale
07/06/2020	300.00	197.92	Various	524.38	326.46 D	0.00	Sale
07/21/2020	584.00	340.33	Various	886.52	546.19 D	0.00	Sale
07/28/2020	2,583.00	1,630.66	Various	2,007.54	533.92 D	157.04	Sale
08/11/2020	800.00	411.05	Various	956.58	547.20 D	1.67	Sale
08/11/2020	500.00	253.93	Various	799.07	545.14 D	0.00	Sale
08/11/2020	1,000.00	509.86	Various	1,047.24	538.21 D	0.83	Sale
08/14/2020	52.00	28.01	Various	51.82	0.00	-23.81	Sale
08/14/2020	340.00	179.08	Various	527.19	348.38 D	0.27	Sale
08/14/2020	400.00	209.74	Various	534.22	326.51 D	2.03	Sale
08/14/2020	468.00	248.63	Various	717.98	5.52 D	-463.83	Sale
Security Totals:		6,400.14		12,683.76		-324.62	
SENECA BIOPHARMA INC COMMON STOCK CUSIP: 81689B103 Symbol: SNCA							
05/15/2020	300.00	275.65	Various	311.00	35.35 D	0.00	Sale
05/20/2020	50.00	48.01	05/18/2020	49.01	1 D	0.00	Sale
05/21/2020	10.00	10.68	05/18/2020	9.51	0.00	1.17	Sale
05/21/2020	50.00	52.98	05/18/2020	47.56	0.00	5.42	Sale
05/21/2020	50.00	55.48	Various	46.35	0.00	9.13	Sale

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APEX CLEARING

Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B*

OMB No. 1545-0715

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(continued)

02/02/2021

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
SENECA BIOPHARMA INC COMMON STOCK CUSIP: 81689B103 Symbol: SNCA							
05/21/2020	100.00	111.98	05/18/2020	83.01	0.00	28.97	Sale
05/21/2020	140.00	158.17	Various	115.72	0.00	42.45	Sale
05/21/2020	200.00	205.97	Various	190.54	0.00	15.43	Sale
05/28/2020	100.00	94.24	05/27/2020	86.12	0.00	8.12	Sale
05/28/2020	200.00	186.95	05/27/2020	172.24	0.00	14.71	Sale
05/28/2020	300.00	289.81	05/27/2020	258.36	0.00	31.45	Sale
Security Totals:		1,489.92		1,369.42		156.85	
PUT SPY 12/04/20 364 STANDARD & POORS DEPOSITORY CUSIP: Symbol: SPY201204P00364000							
12/02/2020	1.00	107.90	12/02/2020	116.08	8.18 D	0.00	Sell to Close
12/02/2020	1.00	109.90	12/02/2020	117.26	0.00	-7.36	Sell to Close
Security Totals:		217.80		233.34		-7.36	
CALL FB 11/13/20 300 FACEBOOK INC CL A CUSIP: Symbol: FB201113C00300000							
11/09/2020	1.00	170.90	11/09/2020	175.08	0.00	-4.18	Sell to Close
MICROVISION INC DEL CUSIP: 594960304 Symbol: MVIS							
04/01/2020	2,000.00	559.74	04/01/2020	506.45	0.00	53.29	Sale
04/01/2020	3,000.00	794.62	04/01/2020	804.00	6.25 D	-3.13	Sale
05/12/2020	500.00	534.92	05/11/2020	525.00	0.00	9.92	Sale
05/12/2020	500.00	554.92	05/11/2020	477.50	0.00	77.42	Sale
05/20/2020	100.00	107.98	Various	101.28	0.00	6.70	Sale
05/20/2020	259.00	279.68	Various	254.65	0.00	25.03	Sale
05/26/2020	69.00	64.01	05/19/2020	66.94	0.00	-2.93	Sale
Security Totals:		2,895.87		2,735.82		166.30	
PEDEVCO CORP COMMON STOCK CUSIP: 70532Y303 Symbol: PED							
08/26/2020	100.00	132.98	08/26/2020	121.00	0.00	11.98	Sale
08/27/2020	100.00	135.98	08/27/2020	124.00	0.00	11.98	Sale
08/28/2020	200.00	285.97	Various	269.00	0.00	16.97	Sale
Security Totals:		554.93		514.00		40.93	

APEX CLEARING

Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B*

OMB No. 1545-0715

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(continued)

02/02/2021

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 NET 12/31/20 90 CLOUDFLARE INC CL A CUSIP: Symbol: NET201231C00090000							
12/11/2020	1.00	204.90	12/11/2020	200.08	0.00	4.82	Sell to Close
12/11/2020	1.00	169.90	12/11/2020	180.08	10.18 D	0.00	Sell to Close
12/11/2020	1.00	174.90	12/11/2020	170.26	0.00	4.64	Sell to Close
12/11/2020	1.00	189.90	12/11/2020	155.08	0.00	34.82	Sell to Close
Security Totals:		739.60		705.50		44.28	
GRITSTONE ONCOLOGY INC COMMON STOCK CUSIP: 39868T105 Symbol: GRTS							
07/21/2020	80.00	299.58	07/16/2020	300.80	1.22 D	0.00	Sale
07/23/2020	50.00	184.48	Various	186.65	2.82 D	0.65	Sale
07/23/2020	50.00	184.98	07/16/2020	181.26	0.00	3.72	Sale
07/27/2020	92.00	338.50	Various	328.77	0.00	9.73	Sale
08/03/2020	60.00	202.48	Various	201.60	4.07 D	4.95	Sale
08/05/2020	37.00	128.74	Various	123.21	0.00	5.53	Sale
08/10/2020	1.00	3.70	07/31/2020	3.22	0.00	0.48	Sale
Security Totals:		1,342.46		1,325.51		25.06	
BROADWIND INC COMMON STOCK CUSIP: 11161T207 Symbol: BWEN							
04/28/2020	200.00	353.97	04/28/2020	360.00	0.00	-6.03	Sale
04/28/2020	300.00	535.94	04/28/2020	540.00	0.00	-4.06	Sale
Security Totals:		889.91		900.00		-10.09	
AIMMUNE THERAPEUTICS INC COM CUSIP: 00900T107 Symbol: AIMT							
08/06/2020	10.00	135.98	08/05/2020	136.00	0.02 D	0.00	Sale
08/06/2020	36.00	493.93	08/05/2020	489.60	0.00	4.33	Sale
08/06/2020	12.00	164.98	08/05/2020	162.60	0.00	2.38	Sale
08/06/2020	22.00	304.68	Various	298.32	0.00	6.36	Sale
Security Totals:		1,099.57		1,086.52		13.07	
AGEX THERAPEUTICS INC COMMON STOCK CUSIP: 00848H108 Symbol: AGE							
06/04/2020	150.00	145.49	Various	150.49	7.01 D	2.01	Sale
06/15/2020	50.00	47.48	06/03/2020	49.99	2.51 D	0.00	Sale
06/16/2020	388.00	387.55	Various	334.11	0.00	53.44	Sale

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Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B*

OMB No. 1545-0715

5KU68797

(continued)

02/02/2021

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
06/17/2020	12.00	10.43	06/15/2020	9.14	0.00	1.29	Sale
Security Totals:		590.95		543.73		56.74	
SRAX INC	CLASS A COMMON STOCK CUSIP: 78472M106 Symbol: SRAX						
09/08/2020	20.00	59.58	09/08/2020	67.60	0.00	-8.02	Sale
PUT FB	09/25/20 247.50 FACEBOOK INC CL A CUSIP: Symbol: FB200925P00247500						
09/22/2020	3.00	800.70	Various	1,090.27	0.00	-289.57	Sell to Close
***VIVOPOWER INTERNATIONAL PLC ORDINARY SHARES CUSIP: G9376R100 Symbol: VVPR							
08/25/2020	30.00	116.98	08/25/2020	115.50	0.00	1.48	Sale
HELIX ENERGY SOLUTIONS GROUP INC CUSIP: 42330P107 Symbol: HLX							
04/21/2020	199.00	294.49	Various	326.48	0.28 D	-31.71	Sale
04/28/2020	1.00	1.64	04/15/2020	1.80	0.00	-0.16	Sale
Security Totals:		296.13		328.28		-31.87	
CITIGROUP GLOBAL MARKETS HOLDINGS INC VELOCITYSHS 3X LNG CRD OIL ETN S LKD TO S&P CUSIP: 17325E291 Symbol: UWT							
03/30/2020	400.00	69.94	Various	107.50	0.00	-37.56	Sale
PUT SPY	09/25/20 320 STANDARD & POORS DEPOSITORY CUSIP: Symbol: SPY200925P00320000						
09/24/2020	2.00	283.80	09/24/2020	270.18	0.00	13.62	Sell to Close
09/24/2020	3.00	419.71	09/24/2020	405.27	0.00	14.44	Sell to Close
Security Totals:		703.51		675.45		28.06	
***HIGHWAY HOLDINGS LTD CUSIP: G4481U106 Symbol: HIHO							
08/03/2020	1.00	5.08	07/31/2020	4.56	0.00	0.52	Sale
08/03/2020	99.00	504.87	Various	451.94	0.00	52.93	Sale
Security Totals:		509.95		456.50		53.45	
CALL SPY	12/09/20 369 STANDARD & POORS DEPOSITORY CUSIP: Symbol: SPY201209C00369000						
12/09/2020	1.00	97.90	12/09/2020	125.08	27.18 D	0.00	Sell to Close
12/09/2020	1.00	98.90	12/09/2020	139.44	40.54 D	0.00	Sell to Close
12/09/2020	1.00	100.90	12/09/2020	130.62	29.72 D	0.00	Sell to Close
12/09/2020	1.00	108.90	12/09/2020	90.08	0.00	18.82	Sell to Close
12/09/2020	1.00	69.90	12/09/2020	113.98	44.08 D	0.00	Sell to Close
12/09/2020	1.00	67.90	12/09/2020	104.34	0.00	-36.44	Sell to Close
12/09/2020	1.00	99.90	12/09/2020	134.26	34.36 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

5KU68797

(continued)

02/02/2021

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 12/09/20 369 STANDARD & POORS DEPOSITORY CUSIP: Symbol: SPY201209C00369000							
12/09/2020	1.00	68.90	12/09/2020	109.16	40.26 D	0.00	Sell to Close
12/09/2020	1.00	68.90	12/09/2020	114.80	45.9 D	0.00	Sell to Close
Security Totals:		782.10		1,061.76		-17.62	
PUT SPY 12/09/20 368 STANDARD & POORS DEPOSITORY CUSIP: Symbol: SPY201209P00368000							
12/08/2020	1.00	120.90	12/08/2020	122.26	0.00	-1.36	Sell to Close
12/08/2020	1.00	118.90	12/08/2020	130.08	11.18 D	0.00	Sell to Close
Security Totals:		239.80		252.34		-1.36	
PUT SPY 12/09/20 369 STANDARD & POORS DEPOSITORY CUSIP: Symbol: SPY201209P00369000							
12/08/2020	1.00	101.90	12/08/2020	115.26	13.36 D	0.00	Sell to Close
12/08/2020	1.00	91.90	12/08/2020	112.44	0.00	-20.54	Sell to Close
12/08/2020	1.00	113.90	12/08/2020	127.08	13.18 D	0.00	Sell to Close
Security Totals:		307.70		354.78		-20.54	
CBL & ASSOCIATES PROPERTIES INC COMMON STOCK CUSIP: 124830100 Symbol: CBL							
07/16/2020	1,116.00	317.70	Various	337.70	20.00 D	0.00	Sale
07/17/2020	3,184.00	763.76	Various	893.47	0.00	-129.71	Sale
09/10/2020	1,000.00	214.37	09/10/2020	223.00	8.63 D	0.00	Sale
09/10/2020	2,327.00	460.45	Various	516.80	0.00	-56.35	Sale
09/10/2020	3,673.00	713.57	Various	780.57	50.54 D	-16.46	Sale
Security Totals:		2,469.85		2,751.54		-202.52	
CALL AXP 01/15/21 115 AMERICAN EXPRESS COMPANY CUSIP: Symbol: AXP210115C00115000							
12/21/2020	1.00	364.90	12/21/2020	355.08	0.00	9.82	Sell to Close
CALL STLD 12/18/20 40 STEEL DYNAMICS INC CUSIP: Symbol: STLD201218C00040000							
12/10/2020	1.00	89.90	12/10/2020	85.08	0.00	4.82	Sell to Close
12/11/2020	1.00	89.90	12/11/2020	95.08	5.18 D	0.00	Sell to Close
12/11/2020	1.00	54.90	12/11/2020	108.44	53.54 D	0.00	Sell to Close
12/11/2020	1.00	54.90	12/11/2020	128.79	73.89 D	0.00	Sell to Close
12/11/2020	1.00	54.90	12/11/2020	70.25	15.35 D	0.00	Sell to Close
12/11/2020	2.00	109.82	Various	188.70	78.88 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

5KU68797

(continued)

02/02/2021

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 STLD 12/18/20	40	STEEL DYNAMICS INC CUSIP: Symbol: STLD201218C00040000					
12/11/2020	6.00	359.50	Various	419.08	88.92 D	29.34	Sell to Close
12/11/2020	1.00	59.90	12/11/2020	55.77	0.00	4.13	Sell to Close
12/11/2020	1.00	49.90	12/11/2020	85.26	35.36 D	0.00	Sell to Close
12/11/2020	1.00	54.90	12/11/2020	70.43	15.53 D	0.00	Sell to Close
12/11/2020	1.00	59.90	12/11/2020	128.31	0.00	-68.41	Sell to Close
12/11/2020	1.00	55.90	12/11/2020	133.97	78.07 D	0.00	Sell to Close
Security Totals:		1,094.32		1,569.16		-30.12	
CALL NIO 11/13/20	43	NIO INC ADS CUSIP: Symbol: NIO201113C00043000					
11/10/2020	1.00	187.90	11/10/2020	185.08	0.00	2.82	Sell to Close
CALL SPY 11/06/20	350	STANDARD & POORS DEPOSITORY CUSIP: Symbol: SPY201106C00350000					
11/05/2020	1.00	233.90	11/05/2020	240.08	6.18 D	0.00	Sell to Close
11/05/2020	1.00	211.90	11/05/2020	198.08	0.00	13.82	Sell to Close
11/05/2020	1.00	203.90	11/05/2020	200.26	0.00	3.64	Sell to Close
11/05/2020	1.00	244.90	11/05/2020	236.26	0.00	8.64	Sell to Close
11/05/2020	1.00	194.90	11/05/2020	202.08	7.18 D	0.00	Sell to Close
11/06/2020	1.00	119.90	11/06/2020	117.08	0.00	2.82	Sell to Close
11/06/2020	1.00	107.90	11/06/2020	138.33	0.00	-30.43	Sell to Close
11/06/2020	1.00	146.90	11/06/2020	114.08	0.00	32.82	Sell to Close
11/06/2020	1.00	112.90	11/06/2020	171.44	58.54 D	0.00	Sell to Close
11/06/2020	1.00	74.90	11/06/2020	133.26	58.36 D	0.00	Sell to Close
11/06/2020	1.00	97.90	11/06/2020	106.25	8.35 D	0.00	Sell to Close
11/06/2020	1.00	110.90	11/06/2020	157.97	47.07 D	0.00	Sell to Close
11/06/2020	1.00	114.90	11/06/2020	151.15	36.25 D	0.00	Sell to Close
11/06/2020	1.00	112.90	11/06/2020	172.79	59.89 D	0.00	Sell to Close
11/06/2020	1.00	108.90	11/06/2020	115.43	6.53 D	0.00	Sell to Close
11/06/2020	1.00	105.90	11/06/2020	97.24	0.00	8.66	Sell to Close
11/06/2020	3.00	335.74	Various	400.78	65.04 D	0.00	Sell to Close
11/06/2020	1.00	123.90	11/06/2020	126.61	0.00	-2.71	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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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 11/06/20 350 STANDARD & POORS DEPOSITORY CUSIP: Symbol: SPY201106C00350000							
11/06/2020	1.00	79.90	11/06/2020	109.08	29.18 D	0.00	Sell to Close
Security Totals:		2,842.94		3,188.25		37.26	
CALL JPM 10/23/20 102 JPMORGAN CHASE & CO CUSIP: Symbol: JPM201023C00102000							
10/13/2020	1.00	150.90	10/13/2020	134.08	0.00	16.82	Sell to Close
10/13/2020	1.00	133.90	10/13/2020	126.08	0.00	7.82	Sell to Close
Security Totals:		284.80		260.16		24.64	
CALL AMZN 11/20/20 3100 AMAZON.COM INC CUSIP: Symbol: AMZN201120C03100000							
11/13/2020	1.00	5,708.78	11/13/2020	5,500.08	0.00	208.70	Sell to Close
PUT SPY 11/06/20 350 STANDARD & POORS DEPOSITORY CUSIP: Symbol: SPY201106P00350000							
11/05/2020	1.00	215.90	11/05/2020	197.08	0.00	18.82	Sell to Close
11/05/2020	1.00	197.90	11/05/2020	222.25	24.35 D	0.00	Sell to Close
11/05/2020	1.00	188.90	11/05/2020	215.25	26.35 D	0.00	Sell to Close
11/05/2020	1.00	181.90	11/05/2020	204.43	22.53 D	0.00	Sell to Close
11/05/2020	2.00	373.82	Various	425.16	51.34 D	0.00	Sell to Close
11/06/2020	1.00	58.90	11/06/2020	66.15	0.00	-7.25	Sell to Close
11/06/2020	1.00	106.90	11/06/2020	132.61	25.71 D	0.00	Sell to Close
11/06/2020	1.00	108.90	11/06/2020	138.61	29.71 D	0.00	Sell to Close
11/06/2020	1.00	115.90	11/06/2020	137.79	21.89 D	0.00	Sell to Close
11/06/2020	1.00	116.90	11/06/2020	112.08	0.00	4.82	Sell to Close
11/06/2020	1.00	151.90	11/06/2020	178.43	26.53 D	0.00	Sell to Close
11/06/2020	1.00	159.90	11/06/2020	169.97	10.07 D	0.00	Sell to Close
11/06/2020	1.00	64.90	11/06/2020	77.97	0.00	-13.07	Sell to Close
11/06/2020	1.00	126.90	11/06/2020	140.79	13.89 D	0.00	Sell to Close
Security Totals:		2,169.52		2,418.57		3.32	
CALL JPM 10/23/20 101 JPMORGAN CHASE & CO CUSIP: Symbol: JPM201023C00101000							
10/14/2020	1.00	178.90	10/14/2020	161.08	0.00	17.82	Sell to Close
CALL NIO 10/30/20 22 NIO INC ADS CUSIP: Symbol: NIO201030C00022000							
10/13/2020	1.00	119.90	10/13/2020	116.08	0.00	3.82	Sell to Close

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SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

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***ARBUTUS BIOPHARMA CORP COM CUSIP: 03879J100 Symbol: ABUS							
07/24/2020	111.00	603.95	Various	787.94	0.00	-183.99	Sale
07/24/2020	1,000.00	5,489.75	Various	6,646.61	1041.73 D	-115.13	Sale
07/24/2020	238.00	1,299.42	Various	1,737.70	0.00	-438.28	Sale
07/28/2020	6.00	25.06	Various	34.06	0.00	-9.00	Sale
07/29/2020	6.00	23.92	07/28/2020	32.40	0.00	-8.48	Sale
08/07/2020	100.00	403.98	Various	523.10	0.00	-119.12	Sale
08/07/2020	200.00	726.96	Various	1,002.02	0.00	-275.06	Sale
08/14/2020	100.00	348.98	Various	436.28	0.00	-87.30	Sale
Security Totals:		8,922.02		11,200.11		-1,236.36	
BOQI INTERNATIONAL MEDICAL INC COMMON STOCK CUSIP: 099501108 Symbol: BIM1							
04/15/2020	100.00	268.98	Various	249.01	0.00	19.97	Sale
04/15/2020	500.00	1,309.91	Various	1,263.50	2.01 D	48.42	Sale
04/21/2020	150.00	434.97	04/15/2020	456.00	21.03 D	0.00	Sale
04/21/2020	149.00	476.76	04/15/2020	452.96	0.00	23.80	Sale
05/01/2020	81.00	242.17	Various	219.86	0.05 D	22.36	Sale
05/14/2020	100.00	294.98	Various	267.86	0.00	27.12	Sale
Security Totals:		3,027.77		2,909.19		141.67	
PUT AMZN 11/20/20 3100 AMAZON.COM INC CUSIP: Symbol: AMZN201120P03100000							
11/17/2020	1.00	2,114.86	11/17/2020	2,100.08	0.00	14.78	Sell to Close
11/20/2020	1.00	148.90	11/20/2020	150.08	0.00	-1.18	Sell to Close
Security Totals:		2,263.76		2,250.16		13.60	
PUT SPY 11/06/20 345 STANDARD & POORS DEPOSITORY CUSIP: Symbol: SPY201106P00345000							
11/04/2020	1.00	337.90	11/04/2020	350.08	12.18 D	0.00	Sell to Close
11/04/2020	1.00	345.90	11/04/2020	350.26	4.36 D	0.00	Sell to Close
11/04/2020	1.00	357.90	11/04/2020	338.08	0.00	19.82	Sell to Close
11/05/2020	1.00	103.90	11/05/2020	116.44	0.00	-12.54	Sell to Close
Security Totals:		1,145.60		1,154.86		7.28	

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APEX CLEARING

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2020 Form 1099-B*

OMB No. 1545-0715

5KU68797

(continued)

02/02/2021

SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

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CALL AMZN 11/20/20	3200	AMAZON.COM INC CUSIP: Symbol: AMZN201120C03200000					
11/17/2020	1.00	2,089.86	11/17/2020	2,260.08	0.00	-170.22	Sell to Close
HANCOCK JAFFE LABORATORIES INC COMMON STOCK CUSIP: 41015N106 Symbol: HJLI							
08/21/2020	1,000.00	647.86	08/21/2020	558.00	0.00	89.86	Sale
CALL BABA 01/21/22	440	ALIBABA GROUP HOLDING LIMITED CUSIP: Symbol: BABA220121C00440000					
11/11/2020	1.00	664.89	11/11/2020	665.08	0.00	-0.19	Sell to Close
PUT SPY 11/11/20	358	STANDARD & POORS DEPOSITORY CUSIP: Symbol: SPY201111P00358000					
11/09/2020	1.00	213.90	11/09/2020	234.26	0.00	-20.36	Sell to Close
11/09/2020	1.00	219.90	11/09/2020	228.08	8.18 D	0.00	Sell to Close
Security Totals:		433.80		462.34		-20.36	
CALL BABA 11/20/20	300	ALIBABA GROUP HOLDING LIMITED CUSIP: Symbol: BABA201120C00300000					
11/09/2020	1.00	584.89	11/09/2020	610.08	0.00	-25.19	Sell to Close
PUT AMZN 10/09/20	3150	AMAZON.COM INC CUSIP: Symbol: AMZN201009P03150000					
10/07/2020	1.00	3,389.83	10/07/2020	3,285.08	0.00	104.75	Sell to Close
10/07/2020	1.00	2,329.85	10/07/2020	2,300.08	0.00	29.77	Sell to Close
Security Totals:		5,719.68		5,585.16		134.52	
URBAN ONE INC CLASS A COMMON STOCK CUSIP: 91705J105 Symbol: UONE							
08/25/2020	10.00	87.58	08/25/2020	85.90	0.00	1.68	Sale
URBAN ONE INC CLASS D COMMON STOCK CUSIP: 91705J204 Symbol: UONEK							
06/19/2020	150.00	809.96	06/19/2020	694.50	0.00	115.46	Sale
CALL FB 09/18/20	267.50	FACEBOOK INC CL A CUSIP: Symbol: FB200918C00267500					
09/16/2020	1.00	257.89	09/16/2020	246.09	0.00	11.80	Sell to Close
COMSTOCK HOLDING COMPANIES INC CL A NEW CUSIP: 205684202 Symbol: CHCI							
06/19/2020	50.00	202.98	06/19/2020	176.50	0.00	26.48	Sale
06/19/2020	50.00	208.98	Various	181.61	0.00	27.37	Sale
06/19/2020	70.00	244.28	Various	254.10	2.01 D	-7.81	Sale
10/30/2020	100.00	240.98	10/29/2020	273.00	0.00	-32.02	Sale
Security Totals:		897.22		885.21		14.02	
CALL WORK 10/16/20	25	SLACK TECHNOLOGIES INC CL A CUSIP: Symbol: WORK201016C00025000					
09/11/2020	1.00	236.89	09/11/2020	224.09	0.00	12.80	Sell to Close

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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
CALL WORK 10/16/20 25 SLACK TECHNOLOGIES INC CL A CUSIP: Symbol: WORK201016C00025000							
09/11/2020	1.00	215.89	09/11/2020	195.09	0.00	20.80	Sell to Close
09/11/2020	1.00	264.89	09/10/2020	224.09	0.00	40.80	Sell to Close
Security Totals:		717.67		643.27		74.40	
BRIGGS & STRATTON CORP CUSIP: 109043109 Symbol: BGG							
05/28/2020	100.00	176.48	05/22/2020	156.00	0.00	20.48	Sale
05/29/2020	100.00	165.98	05/28/2020	176.00	0.00	-10.02	Sale
07/14/2020	30.00	24.58	07/14/2020	35.72	0.00	-11.14	Sale
07/14/2020	100.00	76.86	Various	129.12	0.00	-52.26	Sale
07/14/2020	300.00	230.59	Various	329.20	50.72 D	-47.89	Sale
Security Totals:		674.49		826.04		-100.83	
***ZOMEDICA PHARMACEUTICALS CORP COM CUSIP: 98979F107 Symbol: ZOM							
05/27/2020	4,000.00	597.50	Various	561.00	0.00	36.50	Sale
05/28/2020	3,000.00	507.36	Various	420.00	0.00	87.36	Sale
06/02/2020	1,008.00	176.27	Various	155.71	0.00	20.56	Sale
06/08/2020	1,098.00	219.35	Various	181.11	0.00	38.24	Sale
07/02/2020	600.00	107.62	Various	89.98	0.00	17.64	Sale
07/02/2020	500.00	79.78	Various	76.80	0.00	2.98	Sale
07/02/2020	1,000.00	167.27	Various	151.10	0.00	16.17	Sale
07/14/2020	1,000.00	149.87	Various	161.20	11.33 D	0.00	Sale
07/22/2020	1,700.00	334.35	Various	277.59	0.00	56.76	Sale
Security Totals:		2,339.37		2,074.49		276.21	
***HEXO CORP COM CUSIP: 428304109 Symbol: HEXO							
04/08/2020	2,850.00	1,532.64	04/08/2020	1,467.75	0.00	64.89	Sale
04/09/2020	2,150.00	1,178.99	04/08/2020	1,107.25	0.00	71.74	Sale
04/29/2020	500.00	268.53	04/15/2020	258.85	0.00	9.68	Sale
Security Totals:		2,980.16		2,833.85		146.31	
CALL SPY 12/24/20 367 STANDARD & POORS DEPOSITORY CUSIP: Symbol: SPY201224C00367000							
12/22/2020	1.00	181.90	12/22/2020	175.08	0.00	6.82	Sell to Close

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APEX CLEARING

Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B*

OMB No. 1545-0715

5KU68797

(continued)

02/02/2021

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
CALL UBER 09/18/20 38 UBER TECHNOLOGIES INC CUSIP: Symbol: UBER200918C00038000							
09/14/2020	1.00	75.89	09/14/2020	69.09	0.00	6.80	Sell to Close
CALL MSFT 12/11/20 217.50 MICROSOFT CORP CUSIP: Symbol: MSFT201211C00217500							
12/02/2020	1.00	214.90	12/02/2020	211.08	0.00	3.82	Sell to Close
CTI BIOPHARMA CORP COM NEW CUSIP: 12648L601 Symbol: CTIC							
08/06/2020	100.00	119.98	08/06/2020	113.00	0.00	6.98	Sale
08/07/2020	99.00	120.76	08/06/2020	111.87	0.00	8.89	Sale
08/10/2020	1.00	1.22	08/06/2020	1.13	0.00	0.09	Sale
Security Totals:		241.96		226.00		15.96	
NOVABAY PHARMACEUTICALS INC COM CUSIP: 66987P201 Symbol: NBY							
04/06/2020	500.00	393.08	04/03/2020	394.05	0.00	-0.97	Sale
05/27/2020	100.00	91.98	05/14/2020	98.86	6.88 D	0.00	Sale
05/27/2020	100.00	92.90	05/14/2020	98.86	5.96 D	0.00	Sale
05/27/2020	100.00	92.97	05/14/2020	100.38	7.41 D	0.00	Sale
06/09/2020	65.00	67.58	06/04/2020	55.51	0.00	12.07	Sale
06/09/2020	233.00	224.81	Various	213.03	0.00	11.78	Sale
06/09/2020	400.00	359.54	Various	381.62	16.80 D	-5.28	Sale
06/10/2020	2.00	1.82	06/04/2020	1.71	0.00	0.11	Sale
Security Totals:		1,324.68		1,344.02		17.71	
CALL FB 09/25/20 252.50 FACEBOOK INC CL A CUSIP: Symbol: FB200925C00252500							
09/22/2020	1.00	364.89	09/22/2020	390.09	25.2 D	0.00	Sell to Close
09/22/2020	1.00	384.89	09/22/2020	375.29	0.00	9.60	Sell to Close
Security Totals:		749.78		765.38		9.60	
CALL CVS 11/20/20 57.50 CVS HEALTH CORPORATION CUSIP: Symbol: CVS201120C00057500							
09/25/2020	1.00	243.89	09/25/2020	252.09	8.2 D	0.00	Sell to Close
09/29/2020	1.00	273.90	09/29/2020	259.28	0.00	14.62	Sell to Close
10/05/2020	2.00	609.81	Various	587.16	0.00	22.65	Sell to Close
10/05/2020	2.00	609.81	Various	571.16	0.00	38.65	Sell to Close
10/28/2020	1.00	193.90	10/28/2020	217.26	23.36 D	0.00	Sell to Close

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SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

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CALL CVS 11/20/20 57.50 CVS HEALTH CORPORATION CUSIP: Symbol: CVS201120C00057500							
10/28/2020	1.00	213.90	10/28/2020	206.26	0.00	7.64	Sell to Close
10/28/2020	1.00	191.90	10/28/2020	204.08	12.18 D	0.00	Sell to Close
10/28/2020	1.00	210.90	10/28/2020	215.08	4.18 D	0.00	Sell to Close
10/28/2020	2.00	391.82	Various	418.52	0.00	-26.70	Sell to Close
Security Totals:		2,939.83		2,930.89		56.86	
PUT SPY 12/04/20 368 STANDARD & POORS DEPOSITORY CUSIP: Symbol: SPY201204P00368000							
12/04/2020	1.00	74.90	12/04/2020	88.08	0.00	-13.18	Sell to Close
CALL CVS 11/20/20 60 CVS HEALTH CORPORATION CUSIP: Symbol: CVS201120C00060000							
09/24/2020	1.00	157.89	09/24/2020	155.09	0.00	2.80	Sell to Close
10/05/2020	1.00	201.90	10/05/2020	204.08	2.18 D	0.00	Sell to Close
10/05/2020	1.00	201.90	10/05/2020	204.26	2.36 D	0.00	Sell to Close
10/06/2020	1.00	207.90	10/05/2020	193.44	0.00	14.46	Sell to Close
10/07/2020	1.00	198.90	10/07/2020	200.08	1.18 D	0.00	Sell to Close
10/14/2020	4.00	735.65	Various	715.50	0.00	20.15	Sell to Close
10/15/2020	1.00	176.90	10/15/2020	150.27	0.00	26.63	Sell to Close
10/15/2020	2.00	341.82	Various	391.50	49.68 D	0.00	Sell to Close
10/15/2020	2.00	311.82	10/14/2020	386.49	74.67 D	0.00	Sell to Close
10/15/2020	1.00	165.90	10/14/2020	200.76	34.86 D	0.00	Sell to Close
10/15/2020	2.00	323.82	Various	400.83	77.01 D	0.00	Sell to Close
10/15/2020	2.00	315.82	Various	394.67	78.85 D	0.00	Sell to Close
10/15/2020	3.00	524.73	Various	537.08	18.68 D	6.33	Sell to Close
10/15/2020	3.00	524.73	Various	535.28	11.36 D	0.81	Sell to Close
10/15/2020	5.00	839.57	Various	967.25	127.68 D	0.00	Sell to Close
10/15/2020	5.00	764.57	Various	878.40	113.83 D	0.00	Sell to Close
10/15/2020	2.00	349.83	Various	388.85	39.02 D	0.00	Sell to Close
10/15/2020	2.00	341.83	Various	360.82	18.99 D	0.00	Sell to Close
10/16/2020	1.00	193.90	10/15/2020	140.08	0.00	53.82	Sell to Close
10/16/2020	1.00	193.90	10/15/2020	140.08	0.00	53.82	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 CVS 11/20/20	60	CVS HEALTH CORPORATION	CUSIP: Symbol: CVS201120C00060000				
10/16/2020	1.00	191.90	10/15/2020	159.08	0.00	32.82	Sell to Close
10/16/2020	1.00	195.90	10/15/2020	159.08	0.00	36.82	Sell to Close
10/16/2020	1.00	172.90	10/15/2020	140.08	0.00	32.82	Sell to Close
10/16/2020	2.00	385.82	10/15/2020	280.16	0.00	105.66	Sell to Close
10/16/2020	2.00	383.82	Various	282.99	0.00	100.83	Sell to Close
10/16/2020	2.00	381.82	10/15/2020	280.17	0.00	101.65	Sell to Close
10/16/2020	3.00	572.73	Various	450.24	0.00	122.49	Sell to Close
10/20/2020	1.00	189.90	10/19/2020	153.08	0.00	36.82	Sell to Close
10/20/2020	1.00	180.90	10/19/2020	160.08	0.00	20.82	Sell to Close
10/20/2020	1.00	194.90	10/20/2020	146.08	0.00	48.82	Sell to Close
10/20/2020	1.00	169.90	10/19/2020	208.76	38.86 D	0.00	Sell to Close
10/20/2020	1.00	171.90	10/19/2020	211.59	39.69 D	0.00	Sell to Close
10/20/2020	2.00	383.82	Various	305.16	0.00	78.66	Sell to Close
10/20/2020	1.00	172.90	10/19/2020	205.94	33.04 D	0.00	Sell to Close
10/20/2020	1.00	182.90	10/19/2020	156.08	0.00	26.82	Sell to Close
10/20/2020	2.00	385.82	10/19/2020	306.16	0.00	79.66	Sell to Close
10/20/2020	2.00	327.82	Various	356.33	28.51 D	0.00	Sell to Close
10/20/2020	2.00	359.82	Various	323.16	0.00	36.66	Sell to Close
10/20/2020	2.00	371.82	Various	370.23	2.03 D	3.62	Sell to Close
10/20/2020	2.00	331.82	Various	411.01	79.19 D	0.00	Sell to Close
10/20/2020	3.00	485.73	Various	480.24	0.00	5.49	Sell to Close
10/20/2020	1.00	185.90	10/19/2020	164.11	0.00	21.79	Sell to Close
10/20/2020	3.00	560.73	Various	464.24	0.00	96.49	Sell to Close
10/20/2020	3.00	491.73	Various	485.24	2.17 D	8.66	Sell to Close
10/20/2020	3.00	545.73	Various	571.97	43.07 D	16.83	Sell to Close
10/20/2020	2.00	329.82	Various	392.67	62.85 D	0.00	Sell to Close
10/21/2020	2.00	409.82	10/20/2020	276.16	0.00	133.66	Sell to Close

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CALL CVS 11/20/20	60	CVS HEALTH CORPORATION CUSIP: Symbol: CVS201120C00060000					
10/21/2020	2.00	377.82	10/20/2020	282.16	0.00	95.66	Sell to Close
10/21/2020	2.00	375.82	Various	283.16	0.00	92.66	Sell to Close
10/21/2020	2.00	381.82	10/20/2020	282.16	0.00	99.66	Sell to Close
10/21/2020	2.00	401.82	10/20/2020	282.16	0.00	119.66	Sell to Close
10/22/2020	1.00	171.90	10/22/2020	179.26	7.36 D	0.00	Sell to Close
10/22/2020	1.00	174.90	10/22/2020	166.08	0.00	8.82	Sell to Close
10/22/2020	1.00	166.90	10/22/2020	174.08	7.18 D	0.00	Sell to Close
10/22/2020	1.00	175.90	10/22/2020	166.08	0.00	9.82	Sell to Close
10/22/2020	1.00	184.90	10/22/2020	165.08	0.00	19.82	Sell to Close
10/22/2020	1.00	173.90	10/20/2020	138.08	0.00	35.82	Sell to Close
10/22/2020	1.00	188.90	10/22/2020	164.08	0.00	24.82	Sell to Close
10/22/2020	2.00	349.82	Various	343.52	0.00	6.30	Sell to Close
10/22/2020	1.00	186.90	10/22/2020	164.08	0.00	22.82	Sell to Close
10/22/2020	1.00	184.90	10/22/2020	166.08	0.00	18.82	Sell to Close
10/22/2020	2.00	349.82	Various	333.16	0.00	16.66	Sell to Close
10/26/2020	2.00	363.82	Various	344.18	0.00	19.64	Sell to Close
10/26/2020	1.00	187.90	10/26/2020	168.08	0.00	19.82	Sell to Close
10/26/2020	2.00	377.82	Various	338.16	0.00	39.66	Sell to Close
10/26/2020	2.00	349.82	10/26/2020	380.16	30.34 D	0.00	Sell to Close
10/26/2020	2.00	363.82	Various	391.18	27.36 D	0.00	Sell to Close
10/26/2020	2.00	369.82	Various	339.16	0.00	30.66	Sell to Close
10/26/2020	2.00	383.82	10/26/2020	340.16	0.00	43.66	Sell to Close
10/26/2020	4.00	747.65	Various	674.32	0.00	73.33	Sell to Close
10/26/2020	5.00	899.57	Various	876.10	2.02 D	25.49	Sell to Close
10/26/2020	2.00	351.82	Various	391.50	39.68 D	0.00	Sell to Close
10/26/2020	4.00	723.65	Various	720.68	12.70 D	15.67	Sell to Close
10/26/2020	2.00	353.82	Various	394.84	41.02 D	0.00	Sell to Close

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CALL CVS 11/20/20	60	CVS HEALTH CORPORATION	CUSIP: Symbol: CVS201120C00060000				
10/26/2020	1.00	183.90	10/26/2020	170.08	0.00	13.82	Sell to Close
10/27/2020	1.00	159.90	10/27/2020	179.58	19.68 D	0.00	Sell to Close
10/27/2020	1.00	162.90	10/27/2020	167.93	5.03 D	0.00	Sell to Close
10/27/2020	1.00	163.90	10/27/2020	159.41	0.00	4.49	Sell to Close
10/27/2020	1.00	164.90	10/27/2020	157.42	0.00	7.48	Sell to Close
10/27/2020	1.00	177.90	10/26/2020	167.25	0.00	10.65	Sell to Close
10/27/2020	2.00	337.82	Various	360.49	22.67 D	0.00	Sell to Close
10/27/2020	1.00	176.90	10/26/2020	170.25	0.00	6.65	Sell to Close
10/27/2020	2.00	327.82	Various	320.69	0.00	7.13	Sell to Close
10/27/2020	2.00	339.82	Various	351.49	11.67 D	0.00	Sell to Close
10/27/2020	2.00	337.82	10/26/2020	340.16	2.34 D	0.00	Sell to Close
10/27/2020	3.00	485.73	Various	475.94	0.85 D	10.64	Sell to Close
10/27/2020	3.00	536.73	10/26/2020	498.24	0.00	38.49	Sell to Close
10/27/2020	3.00	482.73	Various	496.74	14.01 D	0.00	Sell to Close
10/27/2020	4.00	723.65	Various	701.32	0.00	22.33	Sell to Close
10/27/2020	5.00	839.57	Various	874.40	34.83 D	0.00	Sell to Close
10/27/2020	2.00	323.82	Various	346.35	22.53 D	0.00	Sell to Close
10/27/2020	10.00	1,609.13	Various	1,641.31	49.36 D	17.18	Sell to Close
10/27/2020	3.00	482.73	Various	509.60	26.87 D	0.00	Sell to Close
10/28/2020	1.00	109.90	10/28/2020	130.25	0.00	-20.35	Sell to Close
10/28/2020	1.00	113.90	10/28/2020	130.24	0.00	-16.34	Sell to Close
10/28/2020	4.00	471.65	Various	706.69	0.00	-235.04	Sell to Close
10/28/2020	2.00	217.82	Various	320.82	0.00	-103.00	Sell to Close
10/28/2020	1.00	121.90	10/28/2020	170.40	0.00	-48.50	Sell to Close
10/28/2020	1.00	121.90	10/28/2020	166.42	0.00	-44.52	Sell to Close
10/28/2020	10.00	1,289.14	Various	1,564.83	275.69 D	0.00	Sell to Close
10/28/2020	2.00	217.82	Various	340.82	0.00	-123.00	Sell to Close

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APEX CLEARING

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2020 Form 1099-B*

OMB No. 1545-0715

5KU68797

(continued)

02/02/2021

SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

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10/28/2020	17.00	2,021.55	Various	2,702.05	621.68 D	-58.82	Sell to Close
Security Totals:		37,814.45		38,413.81		1,655.27	
PUT CVS 11/20/20 60 CVS HEALTH CORPORATION CUSIP: Symbol: CVS201120P00060000							
11/04/2020	1.00	145.90	11/04/2020	146.08	0.00	-0.18	Sell to Close
ALLIED HEALTHCARE PRODUCTS INC COMMON STOCK CUSIP: 019222207 Symbol: AHPI							
06/22/2020	10.00	123.98	Various	118.04	0.00	5.94	Sale
06/22/2020	24.00	254.38	Various	277.35	1.06 D	-21.91	Sale
06/23/2020	1.00	12.01	06/22/2020	11.89	0.00	0.12	Sale
08/27/2020	139.00	988.24	Various	1,388.21	355.66 D	-44.31	Sale
08/31/2020	89.00	602.01	Various	999.35	0.00	-397.34	Sale
09/08/2020	22.00	122.08	Various	226.30	0.00	-104.22	Sale
Security Totals:		2,102.70		3,021.14		-561.72	
***THERAPIX BIOSCIENCES LTD AMERICAN DEPOSITARY SHARES CUSIP: 88339A203 Symbol: TRPX							
05/13/2020	400.00	157.54	05/13/2020	144.00	0.00	13.54	Sale
SPRING BANK PHARMACEUTICALS INC COM CUSIP: 849431101 Symbol: SBPH							
07/29/2020	126.00	297.34	07/29/2020	284.76	0.00	12.58	Sale
07/30/2020	1.00	2.48	07/29/2020	2.26	0.00	0.22	Sale
07/30/2020	100.00	193.98	07/30/2020	192.00	0.00	1.98	Sale
07/30/2020	73.00	182.48	07/29/2020	164.98	0.00	17.50	Sale
Security Totals:		676.28		644.00		32.28	
DIREXION SHARES ETF TRUST DIREXION DAILY JUNIOR GOLD MINERS INDEX BULL 2X SHARES CUSIP: 25460E166 Symbol: JNUG							
03/23/2020	20.00	89.98	03/20/2020	76.80	0.00	13.18	Sale
03/23/2020	40.00	173.18	03/20/2020	153.60	0.00	19.58	Sale
03/27/2020	10.00	52.98	03/25/2020	52.60	0.00	0.38	Sale
Security Totals:		316.14		283.00		33.14	
CALL SPY 12/04/20 368 STANDARD & POORS DEPOSITORY CUSIP: Symbol: SPY201204C00368000							
12/03/2020	1.00	106.90	12/03/2020	106.08	0.00	0.82	Sell to Close
SENSEONICS HOLDINGS INC COMMON STOCK \$0.001 PAR VALUE CUSIP: 81727U105 Symbol: SENS							
05/21/2020	191.00	86.05	05/21/2020	85.97	0.00	0.08	Sale

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SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

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CALL FB 12/31/20 280 FACEBOOK INC CL A CUSIP: Symbol: FB201231C00280000							
12/22/2020	1.00	154.90	12/22/2020	283.44	128.54 D	0.00	Sell to Close
12/22/2020	1.00	156.90	12/22/2020	357.62	200.72 D	0.00	Sell to Close
12/22/2020	1.00	206.90	12/22/2020	250.08	43.18 D	0.00	Sell to Close
12/22/2020	1.00	159.90	12/22/2020	370.44	210.54 D	0.00	Sell to Close
12/22/2020	1.00	157.90	12/22/2020	489.98	332.08 D	0.00	Sell to Close
12/22/2020	1.00	206.90	12/22/2020	261.26	54.36 D	0.00	Sell to Close
12/22/2020	1.00	131.90	12/22/2020	317.62	185.72 D	0.00	Sell to Close
12/22/2020	1.00	146.90	12/22/2020	229.08	82.18 D	0.00	Sell to Close
12/22/2020	1.00	147.90	12/22/2020	229.08	81.18 D	0.00	Sell to Close
12/22/2020	1.00	147.90	12/22/2020	425.80	277.9 D	0.00	Sell to Close
12/22/2020	1.00	148.90	12/22/2020	307.26	158.36 D	0.00	Sell to Close
12/22/2020	1.00	137.90	12/22/2020	510.16	372.26 D	0.00	Sell to Close
12/22/2020	1.00	151.90	12/22/2020	293.26	141.36 D	0.00	Sell to Close
12/22/2020	1.00	158.90	12/22/2020	333.44	174.54 D	0.00	Sell to Close
12/22/2020	1.00	129.90	12/22/2020	352.62	222.72 D	0.00	Sell to Close
12/23/2020	2.00	267.82	Various	863.50	389.61 D	-206.07	Sell to Close
12/23/2020	2.00	269.82	Various	812.67	0.00	-542.85	Sell to Close
12/23/2020	1.00	125.90	12/22/2020	362.80	236.9 D	0.00	Sell to Close
12/23/2020	1.00	129.90	12/22/2020	330.80	200.9 D	0.00	Sell to Close
12/23/2020	1.00	124.90	12/22/2020	509.34	384.44 D	0.00	Sell to Close
Security Totals:		3,263.84		7,890.25		-748.92	
CALL BABA 02/19/21 350 ALIBABA GROUP HOLDING LIMITED CUSIP: Symbol: BABA210219C00350000							
11/11/2020	1.00	314.90	11/11/2020	310.08	0.00	4.82	Sell to Close
CALL FB 09/18/20 272.50 FACEBOOK INC CL A CUSIP: Symbol: FB200918C00272500							
09/14/2020	1.00	334.89	09/14/2020	505.29	170.4 D	0.00	Sell to Close
09/14/2020	1.00	369.89	09/14/2020	540.68	170.79 D	0.00	Sell to Close
09/14/2020	2.00	749.79	Various	905.58	165.59 D	9.80	Sell to Close
09/14/2020	1.00	324.89	09/14/2020	525.88	200.99 D	0.00	Sell to Close

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CALL FB 09/18/20 272.50 FACEBOOK INC CL A CUSIP: Symbol: FB200918C00272500							
09/14/2020	1.00	334.89	09/14/2020	430.09	95.2 D	0.00	Sell to Close
09/15/2020	9.00	3,824.08	Various	2,673.80	0.00	1,150.28	Sell to Close
Security Totals:		5,938.43		5,581.32		1,160.08	
LIQUIDIA CORPORATION COMMON STOCK CUSIP: 53635D202 Symbol: LQDA							
05/05/2020	16.00	99.18	05/04/2020	80.16	0.00	19.02	Sale
CALL FB 12/31/20 275 FACEBOOK INC CL A CUSIP: Symbol: FB201231C00275000							
12/22/2020	1.00	260.90	12/22/2020	359.08	98.18 D	0.00	Sell to Close
12/22/2020	1.00	254.90	12/22/2020	532.62	277.72 D	0.00	Sell to Close
12/22/2020	1.00	235.90	12/22/2020	517.80	281.9 D	0.00	Sell to Close
12/22/2020	1.00	248.90	12/22/2020	537.44	288.54 D	0.00	Sell to Close
12/22/2020	1.00	245.90	12/22/2020	448.26	202.36 D	0.00	Sell to Close
12/23/2020	1.00	252.90	12/22/2020	506.98	0.00	-254.08	Sell to Close
Security Totals:		1,499.40		2,902.18		-254.08	
YOUNGEVITY INTERNATIONAL INC COMMON STOCK CUSIP: 987537206 Symbol: YGYI							
04/07/2020	1,000.00	1,809.83	04/07/2020	1,966.00	0.00	-156.17	Sale
06/15/2020	70.00	101.48	06/12/2020	102.90	1.42 D	0.00	Sale
07/07/2020	50.00	70.60	Various	72.71	0.00	-2.11	Sale
07/16/2020	50.00	66.73	06/12/2020	71.51	0.00	-4.78	Sale
Security Totals:		2,048.64		2,213.12		-163.06	
PUT AMZN 10/02/20 3165 AMAZON.COM INC CUSIP: Symbol: AMZN201002P03165000							
09/29/2020	1.00	4,579.80	09/28/2020	5,090.08	0.00	-510.28	Sell to Close
PUT UBER 09/18/20 38 UBER TECHNOLOGIES INC CUSIP: Symbol: UBER200918P00038000							
09/15/2020	1.00	69.89	09/15/2020	66.09	0.00	3.80	Sell to Close
CALL FB 09/25/20 250 FACEBOOK INC CL A CUSIP: Symbol: FB200925C00250000							
09/21/2020	1.00	419.89	09/21/2020	420.09	0.00	-0.20	Sell to Close
CALL LOW 11/20/20 170 LOWES COMPANIES INC CUSIP: Symbol: LOW201120C00170000							
11/11/2020	1.00	127.90	11/11/2020	129.08	0.00	-1.18	Sell to Close
PUT UBER 09/25/20 38 UBER TECHNOLOGIES INC CUSIP: Symbol: UBER200925P00038000							
09/16/2020	2.00	213.80	Various	203.18	0.00	10.62	Sell to Close

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APEX CLEARING

Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B*

OMB No. 1545-0715

5KU68797

(continued)

02/02/2021

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ARCA BIOPHARMA INC COMMON STOCK CUSIP: 00211Y506 Symbol: ABIO							
08/19/2020	50.00	289.28	08/14/2020	299.50	0.00	-10.22	Sale
PUT CVS 11/20/20 65 CVS HEALTH CORPORATION CUSIP: Symbol: CVS201120P00065000							
11/06/2020	1.00	72.90	11/06/2020	80.08	7.18 D	0.00	Sell to Close
11/06/2020	2.00	137.82	Various	165.34	19.35 D	-8.17	Sell to Close
11/09/2020	1.00	67.91	11/09/2020	84.43	0.00	-16.52	Sell to Close
Security Totals:		278.63		329.85		-24.69	
CHURCHILL CAPITAL CORP III CLASS A COMMON STOCK PAR VALUE \$0.0001 PER SHARE CUSIP: 17144C104 Symbol: CCXX							
07/13/2020	20.00	234.78	07/13/2020	268.00	33.22 D	0.00	Sale
07/13/2020	30.00	338.23	07/13/2020	402.00	63.77 D	0.00	Sale
07/13/2020	50.00	564.97	Various	714.09	149.12 D	0.00	Sale
07/15/2020	10.00	113.98	Various	140.04	0.00	-26.06	Sale
07/15/2020	25.00	282.23	Various	365.47	52.19 D	-31.05	Sale
07/16/2020	30.00	336.28	Various	417.90	0.00	-81.62	Sale
Security Totals:		1,870.47		2,307.50		-138.73	
CALL SPY 11/13/20 357 STANDARD & POORS DEPOSITORY CUSIP: Symbol: SPY201113C00357000							
11/11/2020	1.00	221.90	11/11/2020	229.08	7.18 D	0.00	Sell to Close
11/11/2020	1.00	216.90	11/11/2020	227.26	0.00	-10.36	Sell to Close
Security Totals:		438.80		456.34		-10.36	
PUT PTON 09/18/20 85 PELOTON INTERACTIVE INC CL A CUSIP: Symbol: PTON200918P00085000							
09/18/2020	5.00	544.52	Various	503.45	0.00	41.07	Sell to Close
CALL SPY 11/04/20 336 STANDARD & POORS DEPOSITORY CUSIP: Symbol: SPY201104C00336000							
11/03/2020	1.00	468.89	11/03/2020	471.08	0.00	-2.19	Sell to Close
PUT COST 10/02/20 352.50 COSTCO WHOLESALE CORPORATION CUSIP: Symbol: COST201002P00352500							
09/29/2020	1.00	269.90	09/29/2020	246.08	0.00	23.82	Sell to Close
09/29/2020	1.00	238.90	09/29/2020	250.08	0.00	-11.18	Sell to Close
Security Totals:		508.80		496.16		12.64	
ON DECK CAPITAL INC COM CUSIP: 682163100 Symbol: ONDK							
07/07/2020	200.00	160.13	Various	138.90	0.00	21.23	Sale
07/09/2020	129.00	94.29	07/06/2020	89.05	0.00	5.24	Sale

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ON DECK CAPITAL INC COM CUSIP: 682163100 Symbol: ONDK							
07/09/2020	200.00	146.23	07/06/2020	138.80	0.00	7.43	Sale
07/13/2020	21.00	16.78	07/06/2020	14.50	0.00	2.28	Sale
07/15/2020	100.00	79.38	07/14/2020	69.03	0.00	10.35	Sale
07/15/2020	100.00	84.88	07/14/2020	69.03	0.00	15.85	Sale
07/16/2020	199.00	166.33	Various	135.06	0.00	31.27	Sale
07/28/2020	33.00	26.57	07/27/2020	24.12	0.00	2.45	Sale
07/28/2020	647.00	488.71	Various	475.03	0.00	13.68	Sale
07/28/2020	670.00	499.92	Various	491.09	0.00	8.83	Sale
07/29/2020	1.00	1.33	07/27/2020	0.73	0.00	0.60	Sale
Security Totals:		1,764.55		1,645.34		119.21	
***NAKED BRAND GROUP LIMITED ORDINARY SHARES CUSIP: Q6519T117 Symbol: NAKD							
06/03/2020	200.00	127.67	Various	135.00	7.33 D	0.00	Sale
06/03/2020	200.00	133.77	Various	132.12	0.00	1.65	Sale
06/03/2020	400.00	351.90	Various	230.68	0.00	121.22	Sale
06/03/2020	500.00	314.88	Various	327.00	12.12 D	0.00	Sale
06/03/2020	600.00	373.72	Various	395.33	21.61 D	0.00	Sale
06/04/2020	250.00	191.16	Various	236.89	45.73 D	0.00	Sale
06/04/2020	500.00	364.48	Various	425.06	60.58 D	0.00	Sale
06/09/2020	800.00	1,151.87	Various	737.32	0.00	414.55	Sale
06/09/2020	950.00	1,814.34	06/09/2020	940.50	0.00	873.84	Sale
06/09/2020	1,000.00	2,139.83	06/09/2020	970.10	0.00	1,169.73	Sale
06/09/2020	1,000.00	1,089.85	Various	739.50	0.00	350.35	Sale
06/09/2020	1,000.00	1,439.84	Various	716.03	0.00	723.81	Sale
06/16/2020	100.00	113.98	Various	97.51	0.00	16.47	Sale
06/16/2020	150.00	152.97	Various	150.87	0.00	2.10	Sale
06/22/2020	1.00	0.91	06/12/2020	1.19	0.28 D	0.00	Sale
06/22/2020	388.00	314.18	Various	404.02	89.84 D	0.00	Sale
06/22/2020	300.00	230.95	Various	294.01	63.06 D	0.00	Sale

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***NAKED BRAND GROUP LIMITED ORDINARY SHARES CUSIP: Q6519T117 Symbol: NAKD							
06/22/2020	400.00	355.94	Various	439.16	83.24 D	0.02	Sale
06/26/2020	100.00	77.97	Various	97.04	19.07 D	0.00	Sale
07/01/2020	200.00	129.97	Various	196.70	66.73 D	0.00	Sale
07/02/2020	100.00	68.98	Various	76.05	7.07 D	0.00	Sale
07/02/2020	100.00	74.49	Various	103.75	29.26 D	0.00	Sale
07/02/2020	151.00	111.71	Various	153.64	41.93 D	0.00	Sale
07/02/2020	200.00	133.97	Various	184.17	50.20 D	0.00	Sale
07/02/2020	310.00	229.35	Various	257.20	32.13 D	4.28	Sale
07/09/2020	100.00	63.18	Various	91.80	28.62 D	0.00	Sale
07/14/2020	106.00	60.93	07/13/2020	57.77	0.00	3.16	Sale
07/14/2020	453.00	264.95	07/13/2020	246.88	0.00	18.07	Sale
07/14/2020	200.00	115.63	Various	163.01	47.38 D	0.00	Sale
07/14/2020	237.00	139.70	Various	162.52	24.65 D	1.83	Sale
07/15/2020	294.00	179.95	07/14/2020	156.18	0.00	23.77	Sale
07/15/2020	410.00	247.58	Various	221.02	0.61 D	27.17	Sale
07/15/2020	300.00	181.45	Various	228.21	47.00 D	0.24	Sale
08/17/2020	500.00	161.90	Various	217.54	55.64 D	0.00	Sale
08/17/2020	225.00	74.19	Various	129.13	54.94 D	0.00	Sale
08/19/2020	100.00	30.73	Various	44.15	13.42 D	0.00	Sale
08/19/2020	444.00	130.25	Various	224.94	94.69 D	0.00	Sale
08/19/2020	551.00	138.66	Various	271.44	132.78 D	0.00	Sale
08/19/2020	618.00	168.63	Various	336.08	167.45 D	0.00	Sale
08/19/2020	695.00	172.42	Various	336.76	164.34 D	0.00	Sale
08/19/2020	797.00	276.86	Various	419.49	142.63 D	0.00	Sale
08/20/2020	161.00	60.51	Various	62.35	4.24 D	2.40	Sale
08/20/2020	29.00	11.41	08/19/2020	9.89	0.00	1.52	Sale
09/02/2020	1,000.00	264.87	Various	426.03	161.16 D	0.00	Sale

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***NAKED BRAND GROUP LIMITED ORDINARY SHARES CUSIP: Q6519T117 Symbol: NAKD							
09/02/2020	1,000.00	269.97	Various	424.26	0.00	-154.29	Sale
11/30/2020	500.00	103.55	11/30/2020	101.15	0.00	2.40	Sale
12/23/2020	1,000.00	205.97	12/23/2020	181.50	0.00	24.47	Sale
12/24/2020	1,000.00	214.97	12/23/2020	196.80	0.00	18.17	Sale
Security Totals:		15,026.94		13,149.74		3,646.93	
PUT NIO 11/27/20 37 NIO INC ADS CUSIP: Symbol: NIO201127P00037000							
11/12/2020	1.00	104.90	11/12/2020	113.26	0.00	-8.36	Sell to Close
11/12/2020	1.00	99.90	11/12/2020	103.08	3.18 D	0.00	Sell to Close
Security Totals:		204.80		216.34		-8.36	
CALL FB 09/18/20 265 FACEBOOK INC CL A CUSIP: Symbol: FB200918C00265000							
09/14/2020	1.00	661.88	09/14/2020	605.09	0.00	56.79	Sell to Close
09/16/2020	2.00	545.79	09/16/2020	560.18	14.39 D	0.00	Sell to Close
09/16/2020	3.00	845.70	09/16/2020	840.27	0.00	5.43	Sell to Close
09/16/2020	1.00	276.89	09/16/2020	280.09	3.2 D	0.00	Sell to Close
09/16/2020	2.00	613.79	Various	528.38	0.00	85.41	Sell to Close
09/17/2020	6.00	635.43	Various	1,476.93	841.50 D	0.00	Sell to Close
09/17/2020	9.00	512.15	Various	2,074.69	0.00	-1,562.54	Sell to Close
09/17/2020	2.00	215.80	Various	759.94	544.14 D	0.00	Sell to Close
Security Totals:		4,307.43		7,125.57		-1,414.91	
CALL ABBV 11/20/20 100 ABBVIE INC CUSIP: Symbol: ABBV201120C00100000							
11/11/2020	1.00	78.90	11/11/2020	75.08	0.00	3.82	Sell to Close
CALL FB 09/18/20 255 FACEBOOK INC CL A CUSIP: Symbol: FB200918C00255000							
09/17/2020	1.00	213.89	09/17/2020	180.09	0.00	33.80	Sell to Close
09/17/2020	2.00	325.80	09/17/2020	310.18	0.00	15.62	Sell to Close
09/17/2020	3.00	443.71	09/17/2020	474.27	30.56 D	0.00	Sell to Close
09/17/2020	3.00	479.70	09/17/2020	495.83	0.00	-16.13	Sell to Close
Security Totals:		1,463.10		1,460.37		33.29	

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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 NKLA 09/18/20 25 NIKOLA CORPORATION CUSIP: Symbol: NKLA200918P00025000							
09/14/2020	1.00	164.89	09/14/2020	155.09	0.00	9.80	Sell to Close
09/14/2020	1.00	69.89	09/14/2020	130.09	60.2 D	0.00	Sell to Close
09/14/2020	5.00	149.53	Various	510.65	310.75 D	-50.37	Sell to Close
09/15/2020	3.00	164.71	Various	446.02	0.00	-281.31	Sell to Close
Security Totals:		549.02		1,241.85		-321.88	
CEDAR REALTY TRUST INC CUSIP: 150602209 Symbol: CDR							
09/14/2020	100.00	85.23	08/26/2020	83.90	0.00	1.33	Sale
***MIDATECH PHARMA PLC SPONSORED ADR NO PAR CUSIP: 59564R302 Symbol: MTP							
07/13/2020	135.00	184.92	Various	177.30	0.00	7.62	Sale
07/20/2020	150.00	257.97	07/20/2020	248.91	0.00	9.06	Sale
07/21/2020	150.00	410.97	Various	247.97	0.00	163.00	Sale
08/21/2020	200.00	511.96	Various	588.00	76.04 D	0.00	Sale
08/21/2020	350.00	843.44	Various	1,087.83	0.00	-244.39	Sale
08/21/2020	600.00	1,457.89	Various	1,745.79	205.61 D	-82.29	Sale
Security Totals:		3,667.15		4,095.80		-147.00	
GEVO INC COMMON STOCK CUSIP: 374396406 Symbol: GEVO							
08/04/2020	651.00	402.23	Various	377.40	0.00	24.83	Sale
08/05/2020	149.00	90.86	07/27/2020	82.72	0.00	8.14	Sale
08/20/2020	20.00	32.78	08/20/2020	33.20	0.42 D	0.00	Sale
08/20/2020	27.00	44.80	08/20/2020	44.82	0.02 D	0.00	Sale
08/20/2020	13.00	23.32	08/20/2020	22.68	0.00	0.64	Sale
08/20/2020	30.00	48.73	08/20/2020	44.10	0.00	4.63	Sale
08/20/2020	23.00	40.69	08/20/2020	38.18	0.00	2.51	Sale
08/20/2020	50.00	96.98	Various	75.89	0.00	21.09	Sale
08/20/2020	69.00	126.25	08/20/2020	120.41	0.00	5.84	Sale
08/20/2020	30.00	48.58	08/20/2020	49.80	1.22 D	0.00	Sale
08/20/2020	100.00	184.98	08/20/2020	152.50	0.00	32.48	Sale
08/20/2020	138.00	233.19	Various	197.42	0.00	35.77	Sale

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SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

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

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

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

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GEVO INC COMMON STOCK CUSIP: 374396406 Symbol: GEVO							
08/20/2020	100.00	156.98	08/20/2020	152.00	0.00	4.98	Sale
08/21/2020	50.00	67.98	Various	73.14	5.16 D	0.00	Sale
08/21/2020	60.00	94.78	Various	79.98	0.00	14.80	Sale
08/21/2020	100.00	136.98	Various	143.02	6.04 D	0.00	Sale
08/21/2020	100.00	123.98	08/21/2020	165.50	41.52 D	0.00	Sale
08/21/2020	200.00	291.97	Various	284.50	0.63 D	8.10	Sale
08/21/2020	714.00	885.26	Various	1,134.20	248.94 D	0.00	Sale
08/21/2020	800.00	984.03	Various	1,148.50	164.47 D	0.00	Sale
08/24/2020	100.00	126.98	Various	172.46	45.48 D	0.00	Sale
08/24/2020	100.00	132.98	Various	163.31	30.33 D	0.00	Sale
08/24/2020	100.00	126.98	Various	168.38	41.40 D	0.00	Sale
08/24/2020	486.00	656.02	Various	765.28	109.26 D	0.00	Sale
08/24/2020	100.00	133.98	Various	158.41	24.43 D	0.00	Sale
08/26/2020	50.00	61.73	Various	83.26	21.53 D	0.00	Sale
08/27/2020	80.00	95.98	08/27/2020	83.64	0.00	12.34	Sale
08/27/2020	100.00	113.48	Various	125.89	12.41 D	0.00	Sale
08/27/2020	100.00	113.48	Various	119.08	5.60 D	0.00	Sale
08/27/2020	100.00	115.48	Various	132.28	16.80 D	0.00	Sale
08/27/2020	104.00	120.10	Various	109.73	0.00	10.37	Sale
08/27/2020	300.00	322.45	Various	452.65	130.20 D	0.00	Sale
08/27/2020	300.00	326.95	Various	430.43	103.48 D	0.00	Sale
08/27/2020	300.00	334.45	Various	419.57	85.12 D	0.00	Sale
08/27/2020	400.00	431.94	Various	549.05	117.11 D	0.00	Sale
08/27/2020	500.00	549.92	Various	565.01	15.09 D	0.00	Sale
08/27/2020	500.00	557.42	Various	596.33	43.85 D	4.94	Sale
08/27/2020	1,000.00	1,124.85	Various	1,402.59	278.71 D	0.97	Sale
08/27/2020	1,000.00	1,119.85	Various	1,305.80	192.89 D	6.94	Sale

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APEX CLEARING

Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B*

OMB No. 1545-0715

5KU68797

(continued)

02/02/2021

SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

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

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GEVO INC COMMON STOCK CUSIP: 374396406 Symbol: GEVO							
08/27/2020	1,000.00	1,109.85	Various	1,371.82	261.97 D	0.00	Sale
08/28/2020	15.00	20.16	08/27/2020	15.68	0.00	4.48	Sale
09/01/2020	1.00	1.22	08/27/2020	1.05	0.00	0.17	Sale
09/03/2020	100.00	110.98	Various	132.22	21.24 D	0.00	Sale
09/09/2020	82.00	78.70	Various	77.82	0.00	0.88	Sale
09/09/2020	114.00	106.93	Various	110.22	0.00	-3.29	Sale
09/09/2020	121.00	111.54	Various	167.37	55.83 D	0.00	Sale
09/09/2020	200.00	185.89	Various	209.39	23.19 D	-0.31	Sale
09/09/2020	133.00	122.86	Various	151.56	28.70 D	0.00	Sale
09/10/2020	234.00	206.75	Various	240.72	0.00	-33.97	Sale
09/10/2020	366.00	327.89	Various	447.73	0.00	-119.84	Sale
Security Totals:		13,063.14		15,148.69		47.49	
***SECOO HOLDING LIMITED ADR CUSIP: 81367P101 Symbol: SECO							
06/03/2020	20.00	91.98	06/03/2020	83.00	0.00	8.98	Sale
CALL MRVL 01/15/21 50 MARVELL TECHNOLOGY GROUP CUSIP: Symbol: MRVL210115C00050000							
12/28/2020	1.00	65.90	12/28/2020	59.08	0.00	6.82	Sell to Close
12/30/2020	1.00	52.90	12/29/2020	40.08	0.00	12.82	Sell to Close
Security Totals:		118.80		99.16		19.64	
TROVAGENE INC COMMON STOCK CUSIP: 897238606 Symbol: TROV							
04/29/2020	95.00	118.73	04/28/2020	137.75	19.02 D	0.00	Sale
CALL SPY 12/30/20 371 STANDARD & POORS DEPOSITORY CUSIP: Symbol: SPY201230C00371000							
12/29/2020	1.00	145.90	12/29/2020	144.08	0.00	1.82	Sell to Close
PUT AAPL 10/09/20 115 APPLE INC ADJ 4:1 STOCK SPLIT CUSIP: Symbol: AAPL201009P00115000							
10/07/2020	1.00	160.90	10/07/2020	164.25	3.35 D	0.00	Sell to Close
10/07/2020	2.00	339.82	Various	334.16	11.17 D	16.83	Sell to Close
10/07/2020	2.00	307.82	Various	299.69	0.00	8.13	Sell to Close
10/07/2020	1.00	164.90	10/07/2020	146.08	0.00	18.82	Sell to Close
10/07/2020	1.00	159.90	10/07/2020	165.43	5.53 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

5KU68797

(continued)

02/02/2021

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 AAPL 10/09/20 115 APPLE INC ADJ 4:1 STOCK SPLIT CUSIP: Symbol: AAPL201009P00115000							
10/07/2020	1.00	173.91	10/07/2020	176.08	0.00	-2.17	Sell to Close
10/07/2020	1.00	195.90	10/07/2020	181.08	0.00	14.82	Sell to Close
Security Totals:		1,503.15		1,466.77		56.43	
CALL AAPL 10/09/20 115 APPLE INC ADJ 4:1 STOCK SPLIT CUSIP: Symbol: AAPL201009C00115000							
10/07/2020	1.00	136.90	10/07/2020	133.25	0.00	3.65	Sell to Close
10/07/2020	2.00	255.82	Various	268.16	12.34 D	0.00	Sell to Close
10/09/2020	1.00	135.90	10/09/2020	116.08	0.00	19.82	Sell to Close
10/09/2020	3.00	383.74	10/09/2020	396.25	12.51 D	0.00	Sell to Close
10/09/2020	3.00	395.74	Various	412.91	17.17 D	0.00	Sell to Close
10/09/2020	3.00	395.74	Various	396.75	4.34 D	3.33	Sell to Close
10/09/2020	4.00	495.65	Various	532.49	36.84 D	0.00	Sell to Close
10/09/2020	10.00	1,339.14	Various	1,205.98	0.00	133.16	Sell to Close
10/09/2020	3.00	386.74	10/09/2020	396.24	9.5 D	0.00	Sell to Close
Security Totals:		3,925.37		3,858.11		159.96	
PUT NIO 12/04/20 55 NIO INC ADS CUSIP: Symbol: NIO201204P00055000							
11/27/2020	1.00	389.90	11/27/2020	385.08	0.00	4.82	Sell to Close
PUT NIO 11/20/20 40 NIO INC ADS CUSIP: Symbol: NIO201120P00040000							
11/17/2020	1.00	99.90	11/17/2020	100.08	0.00	-0.18	Sell to Close
CALL LOW 10/16/20 172.50 LOWES COMPANIES INC CUSIP: Symbol: LOW201016C00172500							
10/13/2020	2.00	429.82	10/12/2020	372.16	0.00	57.66	Sell to Close
10/13/2020	1.00	251.90	10/12/2020	186.08	0.00	65.82	Sell to Close
10/13/2020	8.00	1,695.29	Various	1,486.65	0.00	208.64	Sell to Close
10/13/2020	1.00	254.90	10/12/2020	182.08	0.00	72.82	Sell to Close
Security Totals:		2,631.91		2,226.97		404.94	
CALL JMIA 01/15/21 35 JUMIA TECHNOLOGIES AG CUSIP: Symbol: JMIA210115C00035000							
12/01/2020	1.00	369.90	12/01/2020	370.08	0.00	-0.18	Sell to Close
UNIVERSAL SECURITY INSTRUMENTS INC CUSIP: 913821302 Symbol: UUU							
08/05/2020	50.00	176.48	08/05/2020	174.50	0.00	1.98	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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CALL CVS 10/16/20	57.50	CVS HEALTH CORPORATION	CUSIP: Symbol: CVS201016C00057500				
09/24/2020	1.00	126.89	09/24/2020	130.88	3.99 D	0.00	Sell to Close
09/24/2020	1.00	139.89	09/24/2020	152.28	12.39 D	0.00	Sell to Close
09/24/2020	1.00	125.89	09/24/2020	135.68	9.79 D	0.00	Sell to Close
09/24/2020	2.00	267.80	Various	293.18	33.19 D	7.81	Sell to Close
09/24/2020	1.00	123.89	09/24/2020	137.48	13.59 D	0.00	Sell to Close
09/24/2020	1.00	128.89	09/24/2020	124.08	0.00	4.81	Sell to Close
09/25/2020	1.00	141.89	09/24/2020	121.09	0.00	20.80	Sell to Close
09/25/2020	1.00	118.89	09/24/2020	121.09	2.2 D	0.00	Sell to Close
09/29/2020	1.00	135.90	09/29/2020	129.71	0.00	6.19	Sell to Close
09/29/2020	1.00	136.90	09/29/2020	126.08	0.00	10.82	Sell to Close
09/29/2020	1.00	137.90	09/29/2020	140.28	2.38 D	0.00	Sell to Close
09/29/2020	1.00	139.90	09/29/2020	130.08	0.00	9.82	Sell to Close
09/29/2020	1.00	141.90	09/29/2020	126.08	0.00	15.82	Sell to Close
09/29/2020	1.00	135.90	09/29/2020	140.46	4.56 D	0.00	Sell to Close
09/29/2020	1.00	140.90	09/29/2020	129.08	0.00	11.82	Sell to Close
09/29/2020	1.00	145.90	09/29/2020	126.08	0.00	19.82	Sell to Close
09/29/2020	1.00	147.90	09/29/2020	126.08	0.00	21.82	Sell to Close
09/29/2020	1.00	151.90	09/29/2020	126.08	0.00	25.82	Sell to Close
09/29/2020	1.00	136.90	09/29/2020	138.08	1.18 D	0.00	Sell to Close
09/29/2020	2.00	285.82	Various	256.16	0.00	29.66	Sell to Close
09/29/2020	2.00	271.82	09/29/2020	254.29	0.00	17.53	Sell to Close
09/29/2020	4.00	543.65	09/29/2020	504.33	0.00	39.32	Sell to Close
09/29/2020	2.00	283.82	09/29/2020	252.16	0.00	31.66	Sell to Close
09/29/2020	10.00	1,370.13	Various	1,302.54	5.76 D	73.35	Sell to Close
10/01/2020	1.00	142.90	10/01/2020	137.08	0.00	5.82	Sell to Close
10/01/2020	1.00	148.90	10/01/2020	146.08	0.00	2.82	Sell to Close

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2020 Form 1099-B*

OMB No. 1545-0715

5KU68797

(continued)

02/02/2021

SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

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CALL CVS 10/16/20	57.50	CVS HEALTH CORPORATION CUSIP: Symbol: CVS201016C00057500					
10/02/2020	1.00	154.90	10/02/2020	155.08	0.00	-0.18	Sell to Close
Security Totals:		5,927.87		5,661.57		355.33	
CALL WORK 10/16/20	40	SLACK TECHNOLOGIES INC CL A CUSIP: Symbol: WORK201016C00040000					
09/11/2020	8.00	95.26	09/11/2020	96.73	1.47 D	0.00	Sell to Close
09/18/2020	10.00	59.06	Various	98.37	39.31 D	0.00	Sell to Close
09/21/2020	10.00	49.06	Various	104.22	48.95 D	-6.21	Sell to Close
09/24/2020	6.00	29.44	Various	73.50	0.00	-44.06	Sell to Close
Security Totals:		232.82		372.82		-50.27	
***SEANERGY MARITIME HOLDINGS CORP COMMON STOCK CUSIP: Y73760194 Symbol: SHIP							
07/10/2020	120.00	224.38	Various	217.70	0.00	6.68	Sale
07/13/2020	50.00	86.98	Various	86.56	0.47 D	0.89	Sale
07/13/2020	9.00	15.96	07/13/2020	15.12	0.00	0.84	Sale
07/13/2020	50.00	93.40	07/10/2020	90.50	0.00	2.90	Sale
07/13/2020	100.00	173.48	Various	174.00	2.71 D	2.19	Sale
07/13/2020	50.00	88.73	Various	84.15	0.00	4.58	Sale
07/15/2020	101.00	164.61	Various	164.15	0.00	0.46	Sale
08/17/2020	200.00	203.97	08/17/2020	202.00	0.00	1.97	Sale
08/17/2020	478.00	482.70	08/17/2020	482.78	0.08 D	0.00	Sale
08/17/2020	100.00	102.98	08/17/2020	101.00	0.00	1.98	Sale
08/17/2020	222.00	221.96	08/17/2020	224.22	2.26 D	0.00	Sale
08/18/2020	3.00	1.65	08/18/2020	1.67	0.00	-0.02	Sale
08/18/2020	150.00	79.67	Various	91.68	0.00	-12.01	Sale
08/18/2020	401.00	221.25	Various	236.96	0.00	-15.71	Sale
08/18/2020	596.00	369.38	Various	373.98	4.68 D	0.08	Sale
Security Totals:		2,531.10		2,546.47		-5.17	
CALL TSLA 09/25/20	425	TESLA INC	ADJ 5:1 STOCK SPLIT CUSIP: Symbol: TSLA200925C00425000				
09/21/2020	1.00	3,359.82	09/21/2020	3,665.09	0.00	-305.27	Sell to Close

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2020 Form 1099-B*

OMB No. 1545-0715

5KU68797

(continued)

02/02/2021

SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

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SUNWORKS INC COMMON STOCK CUSIP: 86803X204 Symbol: SUNW							
07/01/2020	100.00	110.98	07/01/2020	105.00	0.00	5.98	Sale
07/01/2020	100.00	111.11	07/01/2020	105.00	0.00	6.11	Sale
07/01/2020	200.00	192.37	07/01/2020	226.03	33.66 D	0.00	Sale
07/01/2020	100.00	95.98	07/01/2020	113.02	17.04 D	0.00	Sale
07/01/2020	200.00	193.67	Various	253.55	59.88 D	0.00	Sale
07/01/2020	300.00	287.95	07/01/2020	315.00	27.05 D	0.00	Sale
07/01/2020	250.00	257.46	Various	282.45	24.99 D	0.00	Sale
07/01/2020	300.00	306.97	Various	324.33	28.26 D	10.90	Sale
07/01/2020	300.00	312.34	Various	353.90	46.09 D	4.53	Sale
07/01/2020	400.00	348.34	Various	454.91	106.57 D	0.00	Sale
07/02/2020	100.00	77.97	Various	106.42	28.45 D	0.00	Sale
07/02/2020	488.00	380.08	Various	522.47	142.39 D	0.00	Sale
07/02/2020	200.00	163.57	Various	223.24	59.67 D	0.00	Sale
07/06/2020	50.00	39.23	07/02/2020	49.26	10.03 D	0.00	Sale
07/15/2020	12.00	9.77	07/02/2020	14.37	4.6 D	0.00	Sale
07/23/2020	1.00	1.47	07/23/2020	1.32	0.00	0.15	Sale
07/23/2020	97.00	136.75	Various	186.83	50.08 D	0.00	Sale
07/23/2020	200.00	288.00	Various	341.41	53.41 D	0.00	Sale
07/23/2020	402.00	590.87	Various	636.28	53.99 D	8.58	Sale
08/13/2020	100.00	79.98	Various	94.85	14.87 D	0.00	Sale
08/13/2020	300.00	233.95	Various	336.51	102.56 D	0.00	Sale
08/18/2020	145.00	110.17	Various	136.48	0.00	-26.31	Sale
08/18/2020	314.00	241.10	Various	335.27	22.93 D	-71.24	Sale
08/19/2020	1.00	0.96	08/17/2020	0.75	0.00	0.21	Sale
Security Totals:		4,571.04		5,518.65		-61.09	
AQUA METALS INC COM CUSIP: 03837J101 Symbol: AQMS							
10/07/2020	200.00	233.97	10/07/2020	225.98	0.00	7.99	Sale
10/07/2020	300.00	344.95	10/07/2020	338.97	0.00	5.98	Sale

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APEX CLEARING

Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B*

OMB No. 1545-0715

5KU68797

(continued)

02/02/2021

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
AQUA METALS INC COM CUSIP: 03837J101 Symbol: AQMS							
10/07/2020	300.00	356.95	10/07/2020	338.97	0.00	17.98	Sale
10/08/2020	510.00	606.82	Various	577.83	0.00	28.99	Sale
10/13/2020	290.00	269.78	Various	309.65	0.00	-39.87	Sale
Security Totals:		1,812.47		1,791.40		21.07	
MARATHON PATENT GROUP INC COMMON STOCK CUSIP: 56585W401 Symbol: MARA							
08/03/2020	100.00	396.98	08/03/2020	351.91	0.00	45.07	Sale
08/03/2020	120.00	440.91	Various	442.80	0.00	-1.89	Sale
Security Totals:		837.89		794.71		43.18	
CALL BA 12/31/20 270 BOEING CO CUSIP: Symbol: BA201231C00270000							
12/14/2020	1.00	143.90	12/14/2020	142.08	0.00	1.82	Sell to Close
CALL NKLA 09/18/20 45 NIKOLA CORPORATION CUSIP: Symbol: NKLA200918C00045000							
09/14/2020	1.00	16.89	09/11/2020	50.09	0.00	-33.20	Sell to Close
PUT CVS 11/06/20 58 CVS HEALTH CORPORATION CUSIP: Symbol: CVS201106P00058000							
11/02/2020	1.00	153.90	11/02/2020	152.08	0.00	1.82	Sell to Close
***AIRNET TECHNOLOGY INC AMERICAN DEPOSITARY SHARES CUSIP: 00941Q104 Symbol: ANTE							
08/20/2020	100.00	115.98	08/20/2020	112.00	0.00	3.98	Sale
08/20/2020	100.00	116.98	08/20/2020	112.00	0.00	4.98	Sale
08/20/2020	100.00	109.98	08/20/2020	108.50	0.00	1.48	Sale
08/20/2020	300.00	349.45	08/20/2020	336.00	0.00	13.45	Sale
08/20/2020	400.00	473.93	Various	442.00	0.00	31.93	Sale
08/20/2020	1,000.00	1,289.85	Various	1,120.00	0.00	169.85	Sale
08/20/2020	500.00	619.92	Various	573.00	0.00	46.92	Sale
Security Totals:		3,076.09		2,803.50		272.59	
PUT NIO 12/04/20 54 NIO INC ADS CUSIP: Symbol: NIO201204P00054000							
11/27/2020	1.00	369.90	11/27/2020	370.26	0.36 D	0.00	Sell to Close
11/27/2020	1.00	364.90	11/27/2020	370.08	5.18 D	0.00	Sell to Close
11/27/2020	1.00	339.90	11/27/2020	345.44	0.00	-5.54	Sell to Close
Security Totals:		1,074.70		1,085.78		-5.54	

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APEX CLEARING

Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B*

OMB No. 1545-0715

5KU68797

(continued)

02/02/2021

SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

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

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CALL LEN 12/31/20 76.50 LENNAR CORP CUSIP: Symbol: LEN201231C00076500							
12/01/2020	1.00	254.91	12/01/2020	260.08	0.00	-5.17	Sell to Close
CHF SOLUTIONS INC COMMON STOCK CUSIP: 12542Q706 Symbol: CHFS							
05/28/2020	300.00	119.62	05/26/2020	114.60	0.00	5.02	Sale
06/03/2020	400.00	145.38	05/27/2020	147.68	0.00	-2.30	Sale
08/04/2020	300.00	347.95	08/03/2020	298.86	0.00	49.09	Sale
Security Totals:		612.95		561.14		51.81	
J JILL INC COMMON STOCK CUSIP: 46620W102 Symbol: JILL							
09/01/2020	100.00	98.98	09/01/2020	80.61	0.00	18.37	Sale
09/01/2020	200.00	175.09	Various	190.90	0.00	-15.81	Sale
Security Totals:		274.07		271.51		2.56	
PUT SPY 12/14/20 360 STANDARD & POORS DEPOSITORY CUSIP: Symbol: SPY201214P00360000							
12/04/2020	1.00	98.90	12/04/2020	101.08	2.18 D	0.00	Sell to Close
12/04/2020	1.00	99.90	12/04/2020	103.26	3.36 D	0.00	Sell to Close
12/04/2020	1.00	99.90	12/04/2020	104.44	4.54 D	0.00	Sell to Close
12/04/2020	1.00	100.90	12/04/2020	105.62	4.72 D	0.00	Sell to Close
12/04/2020	1.00	101.90	12/04/2020	101.08	0.00	0.82	Sell to Close
12/04/2020	1.00	101.90	12/04/2020	101.08	0.00	0.82	Sell to Close
12/04/2020	3.00	308.74	Various	304.96	0.00	3.78	Sell to Close
Security Totals:		912.14		921.52		5.42	
CALL LI 02/19/21 31 LI AUTO INC ADS CUSIP: Symbol: LI210219C00031000							
12/29/2020	1.00	267.90	12/28/2020	332.26	64.36 D	0.00	Sell to Close
12/29/2020	1.00	266.90	12/28/2020	326.60	59.7 D	0.00	Sell to Close
12/29/2020	1.00	291.90	12/29/2020	275.78	0.00	16.12	Sell to Close
12/29/2020	1.00	266.90	12/29/2020	236.61	0.00	30.29	Sell to Close
12/29/2020	1.00	264.90	12/28/2020	385.25	120.35 D	0.00	Sell to Close
12/29/2020	2.00	509.81	Various	655.16	145.35 D	0.00	Sell to Close
12/29/2020	3.00	818.73	Various	900.95	122.05 D	39.83	Sell to Close
12/30/2020	1.00	329.90	12/29/2020	258.08	0.00	71.82	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 LI 02/19/21 31 LI AUTO INC ADS CUSIP: Symbol: LI210219C00031000							
12/30/2020	1.00	299.90	12/29/2020	258.08	0.00	41.82	Sell to Close
12/30/2020	1.00	329.90	12/29/2020	216.08	0.00	113.82	Sell to Close
12/31/2020	1.00	344.90	12/29/2020	258.08	0.00	86.82	Sell to Close
Security Totals:		3,991.64		4,102.93		400.52	
CALL CAT 11/20/20 175 CATERPILLAR INC CUSIP: Symbol: CAT201120C00175000							
11/16/2020	1.00	202.90	11/16/2020	198.08	0.00	4.82	Sell to Close
CALL SPY 10/28/20 330 STANDARD & POORS DEPOSITORY CUSIP: Symbol: SPY201028C00330000							
10/28/2020	1.00	137.90	10/28/2020	130.08	0.00	7.82	Sell to Close
10/28/2020	1.00	102.90	10/28/2020	104.08	0.00	-1.18	Sell to Close
10/28/2020	1.00	133.90	10/28/2020	130.08	0.00	3.82	Sell to Close
Security Totals:		374.70		364.24		10.46	
TWO HARBORS INVESTMENT CORP COMMON STOCK CUSIP: 90187B408 Symbol: TWO							
04/03/2020	80.00	197.18	Various	193.00	0.00	4.18	Sale
CALL AAPL 11/20/20 115 APPLE INC ADJ 4:1 STOCK SPLIT CUSIP: Symbol: AAPL201120C00115000							
10/23/2020	1.00	540.89	10/23/2020	604.27	63.38 D	0.00	Sell to Close
10/23/2020	1.00	559.89	10/23/2020	652.65	92.76 D	0.00	Sell to Close
10/23/2020	1.00	564.89	10/23/2020	657.84	92.95 D	0.00	Sell to Close
10/23/2020	1.00	559.89	10/23/2020	660.03	100.14 D	0.00	Sell to Close
10/23/2020	1.00	580.89	10/23/2020	595.08	14.19 D	0.00	Sell to Close
10/23/2020	1.00	546.89	10/23/2020	638.46	91.57 D	0.00	Sell to Close
10/23/2020	1.00	555.89	10/23/2020	628.41	72.52 D	0.00	Sell to Close
10/23/2020	1.00	566.89	10/23/2020	655.22	88.33 D	0.00	Sell to Close
10/26/2020	1.00	529.89	10/26/2020	597.60	0.00	-67.71	Sell to Close
Security Totals:		5,006.01		5,689.56		-67.71	
PEABODY ENERGY CORPORATION COMMON STOCK CUSIP: 704551100 Symbol: BTU							
04/30/2020	100.00	329.98	04/27/2020	261.00	0.00	68.98	Sale
04/30/2020	220.00	734.75	Various	583.00	0.00	151.75	Sale

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APEX CLEARING

Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B*

OMB No. 1545-0715

5KU68797

(continued)

02/02/2021

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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PEABODY ENERGY CORPORATION COMMON STOCK CUSIP: 704551100 Symbol: BTU							
05/08/2020	110.00	360.78	Various	333.50	0.00	27.28	Sale
Security Totals:		1,425.51		1,177.50		248.01	
***BORQS TECHNOLOGIES INC ORDINARY SHARES CUSIP: G1466B103 Symbol: BRQS							
07/20/2020	100.00	143.98	07/20/2020	169.02	25.04 D	0.00	Sale
07/20/2020	100.00	157.48	07/20/2020	151.50	0.00	5.98	Sale
07/20/2020	200.00	297.97	Various	352.06	54.09 D	0.00	Sale
07/20/2020	200.00	326.97	07/20/2020	303.00	0.00	23.97	Sale
07/20/2020	300.00	433.45	Various	460.00	26.55 D	0.00	Sale
07/20/2020	200.00	287.97	Various	327.53	39.56 D	0.00	Sale
07/21/2020	19.00	26.87	07/20/2020	28.03	0.00	-1.16	Sale
07/21/2020	100.00	140.48	07/20/2020	185.06	0.00	-44.58	Sale
07/21/2020	80.00	112.38	07/20/2020	118.04	0.00	-5.66	Sale
07/21/2020	300.00	392.95	Various	505.13	112.18 D	0.00	Sale
07/27/2020	76.00	87.38	Various	112.91	25.53 D	0.00	Sale
08/06/2020	25.00	24.98	07/24/2020	36.89	11.91 D	0.00	Sale
08/24/2020	30.00	53.98	Various	74.19	20.21 D	0.00	Sale
08/24/2020	100.00	173.99	Various	227.46	53.47 D	0.00	Sale
08/24/2020	50.00	78.98	Various	112.01	33.03 D	0.00	Sale
08/24/2020	250.00	432.46	Various	504.02	71.56 D	0.00	Sale
08/25/2020	100.00	112.98	Various	146.53	33.55 D	0.00	Sale
08/25/2020	150.00	169.72	Various	198.05	29.45 D	1.12	Sale
09/02/2020	50.00	50.98	Various	83.20	0.00	-32.22	Sale
09/02/2020	100.00	106.98	Various	141.55	0.00	-34.57	Sale
Security Totals:		3,612.93		4,236.18		-87.12	
CALL CEMI 10/16/20 5 CHEMBIO DIAGNOSTICS INC CUSIP: Symbol: CEMI201016C00005000							
09/18/2020	1.00	94.89	09/18/2020	90.27	0.00	4.62	Sell to Close
09/18/2020	2.00	179.80	Various	180.57	0.00	-0.77	Sell to Close
09/18/2020	3.00	269.71	09/18/2020	270.27	0.37 D	-0.19	Sell to Close

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2020 Form 1099-B*

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(continued)

02/02/2021

SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

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09/18/2020	1.00	89.89	09/18/2020	90.09	0.2 D	0.00	Sell to Close
Security Totals:		634.29		631.20		3.66	
INVIVO THERAPEUTICS HOLDINGS CORP COMMON STOCK CUSIP: 46186M506 Symbol: NVIV							
05/21/2020	200.00	315.97	05/19/2020	286.00	0.00	29.97	Sale
CALL AAPL 11/20/20 113.75 APPLE INC ADJ 4:1 STOCK SPLIT CUSIP: Symbol: AAPL201120C00113750							
10/28/2020	1.00	534.89	10/28/2020	570.08	35.19 D	0.00	Sell to Close
10/28/2020	1.00	546.89	10/28/2020	570.27	0.00	-23.38	Sell to Close
Security Totals:		1,081.78		1,140.35		-23.38	
PUT SPY 11/02/20 329 STANDARD & POORS DEPOSITORY CUSIP: Symbol: SPY201102P00329000							
11/02/2020	1.00	135.90	11/02/2020	146.08	0.00	-10.18	Sell to Close
PUT SPY 11/04/20 336 STANDARD & POORS DEPOSITORY CUSIP: Symbol: SPY201104P00336000							
11/03/2020	1.00	435.90	11/03/2020	445.08	0.00	-9.18	Sell to Close
CALL SPY 11/11/20 360 STANDARD & POORS DEPOSITORY CUSIP: Symbol: SPY201111C00360000							
11/09/2020	1.00	261.90	11/09/2020	254.08	0.00	7.82	Sell to Close
HEAT BIOLOGICS INC COMMON STOCK CUSIP: 42237K300 Symbol: HTBX							
03/19/2020	300.00	182.95	03/18/2020	180.00	0.00	2.95	Sale
03/19/2020	401.00	248.56	03/18/2020	240.60	0.00	7.96	Sale
06/25/2020	100.00	80.97	06/22/2020	81.32	0.35 D	0.00	Sale
07/15/2020	40.00	59.98	07/15/2020	55.74	0.00	4.24	Sale
07/15/2020	50.00	78.48	Various	69.55	0.00	8.93	Sale
07/15/2020	45.00	67.93	07/15/2020	62.71	0.00	5.22	Sale
07/15/2020	60.00	94.18	07/15/2020	83.40	0.00	10.78	Sale
07/16/2020	24.00	35.74	Various	37.28	0.00	-1.54	Sale
07/16/2020	106.00	154.74	Various	166.59	0.00	-11.85	Sale
07/16/2020	150.00	218.97	Various	229.80	11.18 D	0.35	Sale
07/16/2020	175.00	253.76	Various	275.37	16.41 D	-5.20	Sale
Security Totals:		1,476.26		1,482.36		21.84	
PUT SPY 11/11/20 355 STANDARD & POORS DEPOSITORY CUSIP: Symbol: SPY201111P00355000							
11/09/2020	1.00	139.90	11/09/2020	138.08	0.00	1.82	Sell to Close

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11/09/2020	1.00	123.90	11/09/2020	132.08	0.00	-8.18	Sell to Close
Security Totals:		263.80		270.16		-6.36	
PUT AMZN 10/02/20 3170 AMAZON.COM INC CUSIP: Symbol: AMZN201002P03170000							
09/28/2020	1.00	5,389.79	09/28/2020	5,335.08	0.00	54.71	Sell to Close
PUT SPY 11/11/20 350 STANDARD & POORS DEPOSITORY CUSIP: Symbol: SPY201111P00350000							
11/06/2020	1.00	330.90	11/06/2020	330.08	0.00	0.82	Sell to Close
PUT SPY 11/04/20 342 STANDARD & POORS DEPOSITORY CUSIP: Symbol: SPY201104P00342000							
11/04/2020	1.00	261.90	11/04/2020	250.08	0.00	11.82	Sell to Close
CALL BABA 12/18/20 280 ALIBABA GROUP HOLDING LIMITED CUSIP: Symbol: BABA201218C00280000							
11/19/2020	1.00	429.90	11/19/2020	425.08	0.00	4.82	Sell to Close
XENETIC BIOSCIENCES INC COMMON STOCK CUSIP: 984015503 Symbol: XBIO							
05/22/2020	285.00	299.21	05/22/2020	307.80	8.59 D	0.00	Sale
05/26/2020	15.00	16.78	05/22/2020	16.20	0.00	0.58	Sale
06/04/2020	200.00	196.01	05/22/2020	218.03	22.02 D	0.00	Sale
06/05/2020	175.00	173.22	Various	188.06	0.00	-14.84	Sale
06/08/2020	225.00	233.96	Various	235.52	0.00	-1.56	Sale
Security Totals:		919.18		965.61		-15.82	
PUT SPY 10/02/20 333 STANDARD & POORS DEPOSITORY CUSIP: Symbol: SPY201002P00333000							
09/28/2020	1.00	335.90	09/28/2020	347.08	11.18 D	0.00	Sell to Close
09/28/2020	1.00	354.90	09/28/2020	356.08	1.18 D	0.00	Sell to Close
09/28/2020	1.00	371.90	09/28/2020	355.26	0.00	16.64	Sell to Close
09/29/2020	1.00	333.90	09/29/2020	337.08	3.18 D	0.00	Sell to Close
09/29/2020	1.00	330.90	09/29/2020	326.26	0.00	4.64	Sell to Close
09/30/2020	1.00	284.90	09/30/2020	293.62	8.72 D	0.00	Sell to Close
09/30/2020	1.00	272.90	09/30/2020	307.26	34.36 D	0.00	Sell to Close
09/30/2020	1.00	276.90	09/30/2020	308.44	31.54 D	0.00	Sell to Close
09/30/2020	1.00	258.90	09/30/2020	279.80	0.00	-20.90	Sell to Close
Security Totals:		2,821.10		2,910.88		0.38	

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SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

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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 SPY 11/11/20 360 STANDARD & POORS DEPOSITORY CUSIP: Symbol: SPY201111P00360000							
11/09/2020	1.00	205.90	11/09/2020	230.26	0.00	-24.36	Sell to Close
11/09/2020	1.00	213.90	11/09/2020	238.08	24.18 D	0.00	Sell to Close
Security Totals:		419.80		468.34		-24.36	
PUT CORT 10/16/20 15 CORCEPT THERAPEUTICS INC CUSIP: Symbol: CORT201016P00015000							
09/23/2020	1.00	29.89	09/02/2020	70.09	40.2 D	0.00	Sell to Close
09/24/2020	1.00	34.89	09/22/2020	65.29	0.00	-30.40	Sell to Close
Security Totals:		64.78		135.38		-30.40	
PUT AAPL 11/20/20 117.50 APPLE INC ADJ 4:1 STOCK SPLIT CUSIP: Symbol: AAPL201120P00117500							
11/12/2020	1.00	166.90	11/12/2020	160.08	0.00	6.82	Sell to Close
11/12/2020	1.00	180.90	11/12/2020	175.08	0.00	5.82	Sell to Close
11/12/2020	1.00	185.90	11/12/2020	176.08	0.00	9.82	Sell to Close
11/12/2020	1.00	177.90	11/12/2020	172.08	0.00	5.82	Sell to Close
11/13/2020	1.00	161.90	11/12/2020	171.08	0.00	-9.18	Sell to Close
Security Totals:		873.50		854.40		19.10	
TREVENA INC CUSIP: 89532E109 Symbol: TRVN							
05/19/2020	100.00	136.98	05/19/2020	132.00	0.00	4.98	Sale
05/19/2020	100.00	136.98	05/19/2020	132.00	0.00	4.98	Sale
05/19/2020	500.00	684.92	05/19/2020	660.00	0.00	24.92	Sale
05/20/2020	300.00	380.95	05/19/2020	396.00	0.00	-15.05	Sale
08/21/2020	64.00	104.30	08/21/2020	112.96	8.66 D	0.00	Sale
08/24/2020	65.00	116.33	Various	113.28	0.00	3.05	Sale
08/24/2020	100.00	166.48	Various	169.18	0.06 D	-2.64	Sale
08/27/2020	1.00	1.50	08/24/2020	1.70	0.00	-0.20	Sale
Security Totals:		1,728.44		1,717.12		20.04	
SECOND SIGHT MEDICAL PRODUCTS INC COMMON STOCK CUSIP: 81362J209 Symbol: EYES							
05/14/2020	5.00	4.78	05/01/2020	5.70	0.92 D	0.00	Sale
06/09/2020	100.00	224.98	Various	121.92	0.00	103.06	Sale
06/09/2020	200.00	429.97	06/08/2020	242.00	0.00	187.97	Sale

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SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

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SECOND SIGHT MEDICAL PRODUCTS INC COMMON STOCK CUSIP: 81362J209 Symbol: EYES							
06/09/2020	300.00	506.94	Various	478.80	0.00	28.14	Sale
06/09/2020	890.00	1,895.66	Various	1,072.60	0.00	823.06	Sale
06/10/2020	107.00	151.92	06/09/2020	172.27	20.35 D	0.00	Sale
06/11/2020	150.00	176.37	Various	248.09	71.72 D	0.00	Sale
07/01/2020	30.00	29.98	06/09/2020	52.51	22.53 D	0.00	Sale
07/01/2020	100.00	99.98	Various	197.71	97.73 D	0.00	Sale
07/08/2020	25.00	21.73	06/18/2020	86.17	64.44 D	0.00	Sale
07/08/2020	100.00	85.68	Various	277.97	192.29 D	0.00	Sale
07/08/2020	100.00	85.98	Various	223.43	137.45 D	0.00	Sale
07/08/2020	100.00	86.38	Various	275.94	189.56 D	0.00	Sale
07/08/2020	168.00	145.12	Various	396.79	0.00	-251.67	Sale
07/08/2020	200.00	173.97	Various	534.11	360.14 D	0.00	Sale
07/08/2020	200.00	173.97	Various	326.97	153.00 D	0.00	Sale
07/08/2020	300.00	257.98	Various	759.81	501.83 D	0.00	Sale
07/08/2020	300.00	257.35	Various	657.85	400.50 D	0.00	Sale
07/08/2020	200.00	172.37	Various	538.39	366.02 D	0.00	Sale
07/08/2020	400.00	347.14	Various	743.12	395.98 D	0.00	Sale
07/08/2020	300.00	259.45	Various	755.91	71.42 D	-425.04	Sale
Security Totals:		5,587.70		8,168.06		465.52	
***CARNIVAL CORP COMMON PAIRED STOCK CUSIP: 143658300 Symbol: CCL							
03/26/2020	4.00	73.20	Various	73.13	0.00	0.07	Sale
PUT AAPL 11/20/20 118.75 APPLE INC ADJ 4:1 STOCK SPLIT CUSIP: Symbol: AAPL201120P00118750							
11/16/2020	1.00	166.90	11/16/2020	181.08	0.00	-14.18	Sell to Close
CALL AAPL 11/20/20 120 APPLE INC ADJ 4:1 STOCK SPLIT CUSIP: Symbol: AAPL201120C00120000							
11/16/2020	1.00	169.90	11/16/2020	175.08	5.18 D	0.00	Sell to Close
11/16/2020	1.00	181.90	11/16/2020	181.26	0.00	0.64	Sell to Close
11/16/2020	1.00	180.90	11/16/2020	173.08	0.00	7.82	Sell to Close

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APEX CLEARING

Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B*

OMB No. 1545-0715

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02/02/2021

SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

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CALL AAPL 11/20/20	120						
APPLE INC ADJ 4:1 STOCK SPLIT CUSIP: Symbol: AAPL201120C00120000							
11/16/2020	1.00	152.90	11/16/2020	151.08	0.00	1.82	Sell to Close
Security Totals:		685.60		680.50		10.28	
***COLOR STAR TECHNOLOGY CO LTD ORDINARY SHARES CUSIP: G2287A100 Symbol: HHT							
06/11/2020	900.00	989.86	Various	924.00	0.00	65.86	Sale
06/11/2020	1,200.00	1,179.67	Various	1,177.36	0.00	2.31	Sale
06/11/2020	400.00	494.86	06/11/2020	432.00	0.00	62.86	Sale
06/11/2020	1,200.00	1,127.83	06/11/2020	1,224.00	96.17 D	0.00	Sale
Security Totals:		3,792.22		3,757.36		131.03	
PUT AAPL 11/20/20	120						
APPLE INC ADJ 4:1 STOCK SPLIT CUSIP: Symbol: AAPL201120P00120000							
11/12/2020	1.00	244.90	11/12/2020	243.08	0.00	1.82	Sell to Close
11/16/2020	1.00	196.90	11/16/2020	191.08	0.00	5.82	Sell to Close
Security Totals:		441.80		434.16		7.64	
HALL OF FAME RESORT & ENTERTAINMENT COMPANY COMMON STOCK CUSIP: 40619L102 Symbol: HOFV							
08/06/2020	48.00	295.18	08/06/2020	295.68	0.5 D	0.00	Sale
08/06/2020	52.00	321.34	Various	320.32	0.00	1.02	Sale
Security Totals:		616.52		616.00		1.02	
ESPORTS ENTERTAINMENT GROUP INC COMMON STOCK CUSIP: 29667K306 Symbol: GMBL							
04/21/2020	100.00	318.98	04/20/2020	339.00	20.02 D	0.00	Sale
04/24/2020	100.00	334.98	04/20/2020	339.00	0.00	-4.02	Sale
04/24/2020	200.00	677.96	Various	658.02	0.00	19.94	Sale
Security Totals:		1,331.92		1,336.02		15.92	
CALL BBY 03/19/21	120						
BEST BUY CO INC CUSIP: Symbol: BBY210319C00120000							
12/10/2020	1.00	294.90	12/10/2020	292.08	0.00	2.82	Sell to Close
WHITING PETROLEUM CORPORATION COMMON STOCK CUSIP: 966387409 Symbol: WLL							
04/03/2020	1,000.00	343.34	04/03/2020	340.50	0.00	2.84	Sale
04/13/2020	1,387.00	526.73	Various	498.43	0.00	28.30	Sale
08/11/2020	100.00	101.11	Various	101.44	0.39 D	0.06	Sale

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Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B*

OMB No. 1545-0715

5KU68797

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02/02/2021

SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

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WHITING PETROLEUM CORPORATION COMMON STOCK CUSIP: 966387409 Symbol: WLL							
09/01/2020	50.00	33.74	08/11/2020	50.89	0.00	-17.15	Sale
Security Totals:		1,004.92		991.26		14.05	
AYTU BIOSCIENCE INC COMMON STOCK CUSIP: 054754700 Symbol: AYTU							
04/02/2020	250.00	374.96	Various	386.00	13.03 D	1.99	Sale
04/14/2020	450.00	670.43	Various	665.53	12.04 D	16.94	Sale
04/17/2020	300.00	423.01	Various	449.95	27.94 D	1.00	Sale
04/17/2020	300.00	425.95	Various	486.88	60.93 D	0.00	Sale
04/23/2020	500.00	719.92	Various	792.93	75.00 D	1.99	Sale
04/24/2020	110.00	157.28	Various	172.08	15.60 D	0.80	Sale
04/24/2020	300.00	429.01	Various	410.12	6.05 D	24.94	Sale
04/24/2020	300.00	431.95	Various	527.39	95.44 D	0.00	Sale
04/24/2020	400.00	547.93	Various	707.07	159.14 D	0.00	Sale
04/24/2020	400.00	575.93	Various	607.06	31.13 D	0.00	Sale
04/24/2020	800.00	1,087.87	Various	1,280.00	192.13 D	0.00	Sale
04/27/2020	600.00	1,319.90	Various	849.57	0.00	470.33	Sale
04/30/2020	60.00	90.58	Various	87.60	2.41 D	5.39	Sale
04/30/2020	80.00	128.78	04/23/2020	99.20	0.00	29.58	Sale
04/30/2020	100.00	151.02	04/23/2020	124.00	0.00	27.02	Sale
05/07/2020	100.00	150.48	Various	157.01	6.53 D	0.00	Sale
05/13/2020	100.00	162.48	Various	157.43	0.00	5.05	Sale
05/13/2020	100.00	168.98	Various	148.00	0.00	20.98	Sale
05/14/2020	100.00	188.48	Various	146.50	0.00	41.98	Sale
05/14/2020	250.00	454.95	Various	377.50	0.00	77.45	Sale
05/15/2020	120.00	197.98	Various	171.20	0.00	26.78	Sale
05/15/2020	430.00	687.93	Various	695.30	34.03 D	26.66	Sale
05/22/2020	50.00	75.98	05/15/2020	84.51	8.53 D	0.00	Sale
05/22/2020	100.00	150.98	05/15/2020	169.02	18.04 D	0.00	Sale
05/29/2020	100.00	148.98	Various	169.02	20.04 D	0.00	Sale

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2020 Form 1099-B*

OMB No. 1545-0715

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(continued)

02/02/2021

SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

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AYTU BIOSCIENCE INC COMMON STOCK CUSIP: 054754700 Symbol: AYTU							
06/01/2020	100.00	178.98	Various	165.06	0.00	13.92	Sale
06/01/2020	100.00	179.98	Various	168.53	0.00	11.45	Sale
06/01/2020	100.00	178.98	Various	143.75	0.00	35.23	Sale
06/01/2020	150.00	268.47	Various	210.00	0.00	58.47	Sale
06/01/2020	200.00	357.97	Various	286.25	0.00	71.72	Sale
06/01/2020	200.00	357.97	Various	289.00	0.00	68.97	Sale
06/02/2020	80.00	123.18	05/28/2020	110.40	0.00	12.78	Sale
06/08/2020	200.00	303.97	Various	299.30	1.61 D	6.28	Sale
06/19/2020	40.00	60.98	06/03/2020	60.01	0.00	0.97	Sale
06/26/2020	30.00	52.78	Various	43.91	0.00	8.87	Sale
06/26/2020	49.00	86.71	Various	72.93	0.00	13.78	Sale
06/26/2020	100.00	172.98	Various	145.72	0.00	27.26	Sale
06/26/2020	200.00	343.97	Various	288.15	0.00	55.82	Sale
06/29/2020	100.00	168.98	Various	159.87	0.00	9.11	Sale
06/29/2020	100.00	168.98	Various	167.00	0.00	1.98	Sale
06/30/2020	50.00	70.98	Various	94.79	23.81 D	0.00	Sale
06/30/2020	50.00	71.23	Various	83.50	12.27 D	0.00	Sale
07/10/2020	50.00	70.48	Various	97.46	26.98 D	0.00	Sale
07/10/2020	50.00	70.48	Various	85.48	15.00 D	0.00	Sale
07/16/2020	50.00	69.48	Various	75.73	6.25 D	0.00	Sale
07/16/2020	50.00	69.23	Various	73.47	4.24 D	0.00	Sale
07/16/2020	100.00	134.98	Various	212.97	77.99 D	0.00	Sale
07/16/2020	100.00	137.98	Various	149.08	11.10 D	0.00	Sale
07/16/2020	150.00	212.22	Various	217.74	5.52 D	0.00	Sale
07/16/2020	100.00	141.98	Various	173.93	31.95 D	0.00	Sale
07/16/2020	200.00	277.97	Various	351.76	73.79 D	0.00	Sale
07/16/2020	400.00	537.93	Various	633.44	95.51 D	0.00	Sale

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2020 Form 1099-B*

OMB No. 1545-0715

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AYTU BIOSCIENCE INC COMMON STOCK CUSIP: 054754700 Symbol: AYTU							
07/16/2020	200.00	295.97	Various	307.14	29.69 D	18.52	Sale
07/20/2020	200.00	290.97	Various	308.75	35.08 D	17.30	Sale
07/20/2020	300.00	436.45	Various	465.94	50.63 D	21.14	Sale
07/31/2020	105.00	152.23	Various	176.48	0.37 D	-23.88	Sale
08/10/2020	1.00	1.37	07/27/2020	1.75	0.00	-0.38	Sale
Security Totals:		15,968.55		16,040.16		1,208.19	
CALL AAPL 11/06/20 115 APPLE INC CUSIP: Symbol: AAPL201106C00115000							
11/04/2020	1.00	145.90	11/04/2020	148.08	0.00	-2.18	Sell to Close
CALL CRM 12/04/20 225 SALESFORCE.COM INC CUSIP: Symbol: CRM201204C00225000							
12/03/2020	1.00	140.90	12/03/2020	141.08	0.00	-0.18	Sell to Close
U S ENERGY CORP COMMON STOCK CUSIP: 911805307 Symbol: USEG							
07/22/2020	10.00	70.28	07/22/2020	69.10	0.00	1.18	Sale
07/22/2020	1.00	6.96	07/22/2020	6.91	0.00	0.05	Sale
07/22/2020	39.00	271.03	07/22/2020	269.49	0.00	1.54	Sale
Security Totals:		348.27		345.50		2.77	
PUT AAPL 09/18/20 108.75 APPLE INC ADJ 4:1 STOCK SPLIT CUSIP: Symbol: AAPL200918P00108750							
09/17/2020	2.00	149.80	09/17/2020	200.56	0.00	-50.76	Sell to Close
09/17/2020	8.00	599.23	Various	826.65	84.56 D	-142.86	Sell to Close
09/17/2020	2.00	189.80	09/17/2020	206.18	16.38 D	0.00	Sell to Close
09/17/2020	5.00	414.53	09/17/2020	515.46	100.93 D	0.00	Sell to Close
09/18/2020	1.00	176.89	09/18/2020	175.61	0.00	1.28	Sell to Close
09/18/2020	2.00	347.80	09/18/2020	351.22	0.00	-3.42	Sell to Close
Security Totals:		1,878.05		2,275.68		-195.76	
MICT INC COMMON STOCK CUSIP: 55328R109 Symbol: MICT							
08/18/2020	10.00	83.88	08/18/2020	91.30	7.42 D	0.00	Sale
08/18/2020	90.00	647.07	08/18/2020	821.70	174.63 D	0.00	Sale
08/18/2020	130.00	870.96	Various	1,047.55	0.00	-176.59	Sale
Security Totals:		1,601.91		1,960.55		-176.59	

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SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

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

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

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

Box 12: Basis Reported to the IRS

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1a - Description of property | CUSIP | Symbol

1c - Date Sold or Disposed	Quantity	1d - Proceeds	1b - Date Acquired	1e - Cost or Other Basis	1f - Accrued Market Discount (M) & 1g - Wash Sale Loss Disallowed (D)	Gain or Loss (-)	Additional Notes
TOUGHBUILT INDUSTRIES INC COMMON STOCK CUSIP: 89157G207 Symbol: TBLT							
03/30/2020	100.00	16.47	03/24/2020	13.20	0.00	3.27	Sale
CALL AAPL 09/18/20 107.50 APPLE INC ADJ 4:1 STOCK SPLIT CUSIP: Symbol: AAPL200918C00107500							
09/18/2020	2.00	113.80	09/18/2020	127.55	0.00	-13.75	Sell to Close
09/18/2020	5.00	322.53	Various	334.87	0.00	-12.34	Sell to Close
09/18/2020	6.00	347.44	09/18/2020	390.55	43.11 D	0.00	Sell to Close
09/18/2020	3.00	185.71	Various	193.51	0.00	-7.80	Sell to Close
09/18/2020	5.00	299.53	Various	327.64	28.11 D	0.00	Sell to Close
Security Totals:		1,269.01		1,374.12		-33.89	
CALL MSFT 12/31/20 227.50 MICROSOFT CORP CUSIP: Symbol: MSFT201231C00227500							
12/09/2020	1.00	110.90	12/09/2020	115.08	4.18 D	0.00	Sell to Close
12/09/2020	1.00	108.90	12/09/2020	110.26	0.00	-1.36	Sell to Close
Security Totals:		219.80		225.34		-1.36	
PUT AAPL 11/06/20 115 APPLE INC CUSIP: Symbol: AAPL201106P00115000							
11/04/2020	1.00	149.90	11/04/2020	146.08	0.00	3.82	Sell to Close
11/04/2020	1.00	162.90	11/04/2020	158.08	0.00	4.82	Sell to Close
11/04/2020	1.00	168.90	11/04/2020	163.08	0.00	5.82	Sell to Close
Security Totals:		481.70		467.24		14.46	
PUT AAPL 11/06/20 117 APPLE INC CUSIP: Symbol: AAPL201106P00117000							
11/05/2020	1.00	97.90	11/05/2020	102.08	0.00	-4.18	Sell to Close
CALL AAPL 11/06/20 118 APPLE INC CUSIP: Symbol: AAPL201106C00118000							
11/05/2020	1.00	119.90	11/05/2020	119.26	0.00	0.64	Sell to Close
11/05/2020	1.00	125.90	11/05/2020	119.08	0.00	6.82	Sell to Close
11/05/2020	1.00	123.90	11/05/2020	126.08	2.18 D	0.00	Sell to Close
11/05/2020	1.00	127.90	11/05/2020	118.08	0.00	9.82	Sell to Close
11/05/2020	1.00	113.90	11/05/2020	115.08	1.18 D	0.00	Sell to Close
11/05/2020	1.00	116.90	11/05/2020	114.26	0.00	2.64	Sell to Close
11/05/2020	1.00	118.90	11/05/2020	118.08	0.00	0.82	Sell to Close
11/05/2020	3.00	359.74	Various	347.24	0.00	12.50	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)

02/02/2021

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 AAPL 11/06/20 118 APPLE INC CUSIP: Symbol: AAPL201106C00118000							
11/05/2020	1.00	120.90	11/05/2020	115.08	0.00	5.82	Sell to Close
11/05/2020	1.00	114.90	11/05/2020	108.25	0.00	6.65	Sell to Close
11/05/2020	10.00	1,229.14	Various	1,154.80	0.00	74.34	Sell to Close
11/05/2020	1.00	102.90	11/05/2020	111.44	0.00	-8.54	Sell to Close
11/05/2020	4.00	507.65	11/05/2020	460.32	0.00	47.33	Sell to Close
11/05/2020	1.00	113.91	11/05/2020	114.08	0.17 D	0.00	Sell to Close
11/05/2020	1.00	101.90	11/05/2020	106.08	4.18 D	0.00	Sell to Close
11/05/2020	1.00	101.90	11/05/2020	107.26	5.36 D	0.00	Sell to Close
Security Totals:		3,600.24		3,454.47		158.84	
***YATRA ONLINE INC ORDINARY SHARES CUSIP: G98338109 Symbol: YTRA							
06/23/2020	100.00	77.31	06/23/2020	76.08	0.00	1.23	Sale
06/23/2020	100.00	75.73	06/23/2020	76.08	0.35 D	0.00	Sale
07/02/2020	200.00	150.69	06/23/2020	152.16	0.74 D	-0.73	Sale
07/14/2020	98.00	81.33	07/09/2020	69.47	0.00	11.86	Sale
07/14/2020	100.00	80.98	06/30/2020	66.38	0.00	14.60	Sale
07/15/2020	2.00	1.50	07/09/2020	1.42	0.00	0.08	Sale
Security Totals:		467.54		441.59		27.04	
PUT AAPL 11/06/20 118 APPLE INC CUSIP: Symbol: AAPL201106P00118000							
11/05/2020	1.00	120.90	11/05/2020	131.08	10.18 D	0.00	Sell to Close
11/05/2020	1.00	88.90	11/05/2020	92.44	3.54 D	0.00	Sell to Close
11/05/2020	1.00	75.90	11/05/2020	79.62	3.72 D	0.00	Sell to Close
11/05/2020	1.00	78.90	11/05/2020	89.26	10.36 D	0.00	Sell to Close
11/06/2020	1.00	61.90	11/06/2020	73.62	11.72 D	0.00	Sell to Close
11/06/2020	1.00	61.90	11/06/2020	79.08	17.18 D	0.00	Sell to Close
11/06/2020	1.00	64.90	11/06/2020	90.26	25.36 D	0.00	Sell to Close
11/06/2020	1.00	69.90	11/06/2020	83.44	13.54 D	0.00	Sell to Close
11/06/2020	5.00	499.57	Various	368.12	0.00	131.45	Sell to Close
11/06/2020	10.00	219.16	Various	515.14	295.98 D	0.00	Sell to Close

APEX CLEARING

Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B*

OMB No. 1545-0715

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(continued)

02/02/2021

SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

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PUT AAPL 11/06/20 118 APPLE INC CUSIP: Symbol: AAPL201106P00118000							
11/06/2020	10.00	239.16	Various	374.44	35.64 D	-99.64	Sell to Close
11/06/2020	20.00	438.34	Various	787.32	348.98 D	0.00	Sell to Close
11/06/2020	1.00	121.90	11/06/2020	72.08	0.00	49.82	Sell to Close
11/06/2020	5.00	539.57	11/06/2020	360.41	0.00	179.16	Sell to Close
11/06/2020	12.00	287.00	Various	616.59	0.00	-329.59	Sell to Close
11/06/2020	1.00	125.90	11/06/2020	72.08	0.00	53.82	Sell to Close
Security Totals:		3,093.80		3,884.98		-14.98	
PUT CVS 11/20/20 70 CVS HEALTH CORPORATION CUSIP: Symbol: CVS201120P00070000							
11/10/2020	1.00	109.90	11/10/2020	114.08	0.00	-4.18	Sell to Close
CALL AMZN 12/18/20 3250 AMAZON.COM INC CUSIP: Symbol: AMZN201218C03250000							
12/16/2020	1.00	779.89	12/16/2020	675.08	0.00	104.81	Sell to Close
12/17/2020	1.00	1,424.87	12/17/2020	1,365.08	0.00	59.79	Sell to Close
Security Totals:		2,204.76		2,040.16		164.60	
WINDTREE THERAPEUTICS INC COMMON STOCK CUSIP: 97382D303 Symbol: WINT							
07/27/2020	15.00	107.68	06/29/2020	106.20	0.00	1.48	Sale
07/30/2020	15.00	118.11	06/29/2020	106.20	0.00	11.91	Sale
Security Totals:		225.79		212.40		13.39	
EMERALD HOLDING INC COMMON STOCK CUSIP: 29103W104 Symbol: EEX							
05/18/2020	46.00	83.40	05/14/2020	71.30	0.00	12.10	Sale
05/21/2020	100.00	196.98	05/14/2020	155.00	0.00	41.98	Sale
05/26/2020	254.00	594.31	05/14/2020	393.70	0.00	200.61	Sale
Security Totals:		874.69		620.00		254.69	
PUT AAPL 09/18/20 110 APPLE INC ADJ 4:1 STOCK SPLIT CUSIP: Symbol: AAPL200918P00110000							
09/17/2020	1.00	144.89	09/17/2020	185.09	0.00	-40.20	Sell to Close
09/17/2020	1.00	177.89	09/17/2020	161.09	0.00	16.80	Sell to Close
Security Totals:		322.78		346.18		-23.40	
CALL SPY 11/13/20 355 STANDARD & POORS DEPOSITORY CUSIP: Symbol: SPY201113C00355000							
11/12/2020	1.00	190.90	11/12/2020	183.08	0.00	7.82	Sell to Close

APEX CLEARING

Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B*

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(continued)

02/02/2021

SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

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CALL SPY 11/13/20	355	STANDARD & POORS DEPOSITORY CUSIP: Symbol: SPY201113C00355000					
11/12/2020	1.00	177.90	11/12/2020	184.08	6.18 D	0.00	Sell to Close
11/12/2020	1.00	170.90	11/12/2020	190.44	19.54 D	0.00	Sell to Close
11/12/2020	1.00	172.90	11/12/2020	185.26	12.36 D	0.00	Sell to Close
11/12/2020	1.00	146.90	11/12/2020	169.62	22.72 D	0.00	Sell to Close
11/12/2020	1.00	145.90	11/12/2020	172.80	0.00	-26.90	Sell to Close
Security Totals:		1,005.40		1,085.28		-19.08	
***DBV TECHNOLOGIES S A	AMERICAN DEPOSITARY SHARES CUSIP: 23306J101 Symbol: DBVT						
11/02/2020	100.00	243.98	11/02/2020	251.00	0.00	-7.02	Sale
ENTERCOM COMMUNICATIONS CORP	CLASS A COMMON STOCK CUSIP: 293639100 Symbol: ETM						
04/13/2020	200.00	187.95	04/09/2020	164.02	0.00	23.93	Sale
CALL AAPL 09/18/20	115	APPLE INC ADJ 4:1 STOCK SPLIT CUSIP: Symbol: AAPL200918C00115000					
09/10/2020	1.00	344.89	09/10/2020	290.09	0.00	54.80	Sell to Close
JPMORGAN CHASE & CO	CUSIP: 46625H100 Symbol: JPM						
03/17/2020	1.00	94.31	03/11/2020	94.86	0.00	-0.55	Sale
CALL AAPL 01/08/21	132	APPLE INC CUSIP: Symbol: AAPL210108C00132000					
12/31/2020	1.00	270.90	12/31/2020	263.08	0.00	7.82	Sell to Close
12/31/2020	1.00	271.90	12/31/2020	263.08	0.00	8.82	Sell to Close
12/31/2020	1.00	283.90	12/31/2020	263.08	0.00	20.82	Sell to Close
Security Totals:		826.70		789.24		37.46	
LANDCADIA HOLDINGS II INC	CLASS A COMMON STOCK CUSIP: 51476X105 Symbol: LCA						
07/31/2020	50.00	590.47	Various	614.25	0.00	-23.78	Sale
PUT SPY 11/11/20	357	STANDARD & POORS DEPOSITORY CUSIP: Symbol: SPY201111P00357000					
11/11/2020	1.00	69.90	11/11/2020	71.08	0.00	-1.18	Sell to Close
WESTWATER RESOURCES INC	COMMON STOCK CUSIP: 961684206 Symbol: WWR						
06/02/2020	100.00	302.98	06/02/2020	302.91	0.00	0.07	Sale
NOVAN INC	COM CUSIP: 66988N106 Symbol: NOVN						
04/20/2020	600.00	317.92	Various	287.50	0.00	30.42	Sale
07/21/2020	100.00	134.98	07/21/2020	109.50	0.00	25.48	Sale
07/21/2020	200.00	247.97	Various	218.25	0.00	29.72	Sale

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NOVAN INC COM CUSIP: 66988N106 Symbol: NOVN							
07/21/2020	50.00	65.98	07/21/2020	54.75	0.00	11.23	Sale
07/21/2020	500.00	654.92	Various	554.00	0.00	100.92	Sale
07/22/2020	100.00	128.98	Various	107.75	0.00	21.23	Sale
07/22/2020	105.00	96.36	Various	106.03	9.67 D	0.00	Sale
07/22/2020	112.00	101.84	Various	119.30	17.46 D	0.00	Sale
07/22/2020	39.00	36.07	Various	39.66	3.59 D	0.00	Sale
07/22/2020	142.00	160.43	07/21/2020	166.14	5.71 D	0.00	Sale
07/22/2020	161.00	164.19	Various	164.22	0.29 D	0.26	Sale
07/22/2020	209.00	234.05	Various	251.46	17.41 D	0.00	Sale
07/22/2020	232.00	216.93	Various	256.69	39.76 D	0.00	Sale
07/22/2020	267.00	299.00	Various	319.49	20.49 D	0.00	Sale
07/22/2020	332.00	368.47	Various	364.26	5.75 D	9.96	Sale
08/06/2020	323.00	217.01	Various	265.03	48.02 D	0.00	Sale
08/21/2020	100.00	51.79	Various	73.29	21.50 D	0.00	Sale
08/21/2020	200.00	102.99	Various	153.85	50.86 D	0.00	Sale
08/27/2020	478.00	231.14	Various	341.35	0.00	-110.21	Sale
Security Totals:		3,831.02		3,952.52		119.01	
IZEA WORLDWIDE INC COMMON STOCK CUSIP: 46604H105 Symbol: IZEA							
06/08/2020	3.00	4.27	06/05/2020	1.77	0.00	2.50	Sale
06/08/2020	97.00	79.04	06/05/2020	57.23	0.00	21.81	Sale
06/08/2020	150.00	97.47	Various	86.52	0.00	10.95	Sale
06/25/2020	30.00	37.33	06/25/2020	43.20	5.87 D	0.00	Sale
06/25/2020	50.00	62.48	Various	77.17	14.69 D	0.00	Sale
06/25/2020	50.00	62.73	Various	75.77	13.04 D	0.00	Sale
06/25/2020	50.00	62.23	06/25/2020	72.00	9.77 D	0.00	Sale
06/25/2020	60.00	74.68	06/25/2020	86.40	11.72 D	0.00	Sale
06/25/2020	60.00	74.68	06/25/2020	86.40	11.72 D	0.00	Sale
06/25/2020	60.00	74.68	Various	95.73	21.05 D	0.00	Sale

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2020 Form 1099-B*

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IZEA WORLDWIDE INC COMMON STOCK CUSIP: 46604H105 Symbol: IZEA							
06/26/2020	15.00	20.08	06/25/2020	19.80	0.00	0.28	Sale
06/26/2020	50.00	68.48	Various	72.72	5.73 D	1.49	Sale
06/26/2020	50.00	68.98	06/25/2020	66.00	0.00	2.98	Sale
06/26/2020	50.00	68.98	Various	72.48	3.80 D	0.30	Sale
06/26/2020	50.00	65.48	Various	70.69	5.21 D	0.00	Sale
06/26/2020	100.00	137.98	Various	160.86	22.88 D	0.00	Sale
06/26/2020	200.00	263.97	Various	292.50	32.27 D	3.74	Sale
06/26/2020	500.00	654.92	Various	687.04	45.10 D	12.98	Sale
06/29/2020	100.00	112.98	Various	137.56	24.58 D	0.00	Sale
06/29/2020	50.00	61.48	Various	61.46	0.65 D	0.67	Sale
07/06/2020	100.00	111.98	Various	124.75	0.87 D	-11.90	Sale
07/10/2020	1.00	1.09	06/29/2020	1.06	0.00	0.03	Sale
07/10/2020	59.00	66.65	Various	71.36	0.00	-4.71	Sale
08/12/2020	100.00	143.98	08/12/2020	138.00	0.00	5.98	Sale
Security Totals:		2,476.62		2,658.47		47.10	
CALL AAPL 12/11/20 123 APPLE INC CUSIP: Symbol: AAPL201211C00123000							
12/04/2020	1.00	143.90	12/04/2020	142.08	0.00	1.82	Sell to Close
CALL HD 01/15/21 280 HOME DEPOT INC CUSIP: Symbol: HD210115C00280000							
12/08/2020	1.00	243.90	12/08/2020	256.26	12.36 D	0.00	Sell to Close
12/08/2020	1.00	247.90	12/08/2020	246.44	0.00	1.46	Sell to Close
12/08/2020	1.00	242.90	12/08/2020	255.08	12.18 D	0.00	Sell to Close
Security Totals:		734.70		757.78		1.46	
PUT SPY 11/13/20 350 STANDARD & POORS DEPOSITORY CUSIP: Symbol: SPY201113P00350000							
11/06/2020	1.00	467.89	11/06/2020	462.08	0.00	5.81	Sell to Close
11/06/2020	1.00	448.90	11/06/2020	446.08	0.00	2.82	Sell to Close
Security Totals:		916.79		908.16		8.63	
CALL FB 09/25/20 255 FACEBOOK INC CL A CUSIP: Symbol: FB200925C00255000							
09/17/2020	1.00	624.88	09/17/2020	610.09	0.00	14.79	Sell to Close

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SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

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RITTER PHARMACEUTICALS INC COMMON STOCK CUSIP: 767836307 Symbol: RTTR							
05/06/2020	1,200.00	615.44	Various	799.92	184.48 D	0.00	Sale
05/06/2020	1,500.00	863.80	05/05/2020	960.15	96.35 D	0.00	Sale
05/07/2020	2,000.00	876.54	Various	1,266.19	389.65 D	0.00	Sale
05/07/2020	600.00	305.80	Various	437.93	132.13 D	0.00	Sale
05/08/2020	2,800.00	1,422.03	Various	1,680.60	69.91 D	-188.66	Sale
05/12/2020	300.00	172.75	05/12/2020	227.56	0.00	-54.81	Sale
Security Totals:		4,256.36		5,372.35		-243.47	
CALL SPY 11/11/20 353 STANDARD & POORS DEPOSITORY CUSIP: Symbol: SPY201111C00353000							
11/10/2020	1.00	203.90	11/10/2020	211.08	0.00	-7.18	Sell to Close
BOXLIGHT CORPORATION CLASS A COMMON STOCK CUSIP: 103197109 Symbol: BOXL							
07/13/2020	54.00	75.58	07/13/2020	81.56	5.98 D	0.00	Sale
07/13/2020	100.00	142.98	07/13/2020	153.00	10.02 D	0.00	Sale
07/13/2020	100.00	143.98	07/13/2020	153.00	9.02 D	0.00	Sale
07/13/2020	100.00	139.98	07/13/2020	167.01	27.03 D	0.00	Sale
07/13/2020	200.00	275.97	Various	305.00	29.03 D	0.00	Sale
07/13/2020	350.00	503.94	Various	551.89	47.95 D	0.00	Sale
07/13/2020	476.00	685.36	Various	772.17	86.81 D	0.00	Sale
07/16/2020	50.00	196.98	Various	202.22	5.24 D	0.00	Sale
07/16/2020	50.00	198.48	Various	202.02	3.54 D	0.00	Sale
07/16/2020	100.00	389.48	Various	391.66	4.98 D	2.80	Sale
07/16/2020	250.00	984.94	Various	967.56	0.79 D	18.17	Sale
07/16/2020	270.00	1,128.54	Various	984.30	0.00	144.24	Sale
07/16/2020	500.00	1,922.29	Various	1,997.15	76.05 D	1.19	Sale
Security Totals:		6,788.50		6,928.54		166.40	
ELDORADO RESORTS INC COM CUSIP: 28470R102 Symbol: ERI							
05/14/2020	8.00	175.26	05/13/2020	157.60	0.00	17.66	Sale
ACTINIUM PHARMACEUTICALS INC CUSIP: 00507W107 Symbol: ATNM							
06/10/2020	600.00	293.86	Various	331.61	37.75 D	0.00	Sale

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ACTINIUM PHARMACEUTICALS INC CUSIP: 00507W107 Symbol: ATNM							
06/10/2020	1,000.00	469.76	Various	527.48	57.72 D	0.00	Sale
06/10/2020	600.00	305.98	Various	328.65	22.67 D	0.00	Sale
06/11/2020	400.00	171.90	06/10/2020	184.07	12.17 D	0.00	Sale
06/12/2020	200.00	90.15	06/10/2020	87.99	0.00	2.16	Sale
06/17/2020	1,000.00	364.27	Various	445.95	81.68 D	0.00	Sale
06/17/2020	1,000.00	361.17	Various	462.04	100.87 D	0.00	Sale
06/22/2020	531.00	224.01	Various	249.34	25.33 D	0.00	Sale
06/30/2020	200.00	68.97	Various	74.55	5.58 D	0.00	Sale
06/30/2020	200.00	69.11	Various	75.20	6.09 D	0.00	Sale
06/30/2020	300.00	103.03	Various	133.01	29.98 D	0.00	Sale
06/30/2020	500.00	172.58	Various	216.51	43.93 D	0.00	Sale
07/06/2020	150.00	51.39	Various	59.11	7.72 D	0.00	Sale
07/06/2020	150.00	52.47	Various	56.46	3.99 D	0.00	Sale
07/06/2020	300.00	109.90	Various	120.92	0.00	-11.02	Sale
07/06/2020	300.00	100.45	Various	123.65	23.20 D	0.00	Sale
07/06/2020	300.00	100.75	Various	121.52	20.77 D	0.00	Sale
07/06/2020	300.00	101.05	Various	123.25	22.20 D	0.00	Sale
07/06/2020	400.00	140.82	Various	162.24	11.15 D	-10.27	Sale
07/06/2020	400.00	127.98	Various	153.10	25.12 D	0.00	Sale
07/06/2020	450.00	171.17	Various	164.78	0.00	6.39	Sale
07/13/2020	19.00	6.99	Various	6.56	0.00	0.43	Sale
Security Totals:		3,657.76		4,207.99		-12.31	
CHIASMA INC COM CUSIP: 16706W102 Symbol: CHMA							
07/01/2020	20.00	93.38	06/26/2020	130.00	36.62 D	0.00	Sale
07/02/2020	60.00	272.48	Various	412.49	140.01 D	0.00	Sale
07/06/2020	20.00	93.61	Various	169.64	0.00	-76.03	Sale
07/06/2020	40.00	183.98	Various	331.20	92.92 D	-54.30	Sale
07/06/2020	50.00	226.07	Various	388.85	162.78 D	0.00	Sale

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CHIASMA INC COM CUSIP: 16706W102 Symbol: CHMA							
07/16/2020	25.00	117.27	Various	200.92	0.00	-83.65	Sale
Security Totals:		986.79		1,633.10		-213.98	
CALL Z 10/30/20 100 ZILLOW GROUP INC CLASS C CUSIP: Symbol: Z201030C00100000							
10/21/2020	1.00	261.90	10/21/2020	262.08	0.18 D	0.00	Sell to Close
10/21/2020	1.00	264.90	10/21/2020	258.26	0.00	6.64	Sell to Close
10/21/2020	1.00	280.90	10/21/2020	252.08	0.00	28.82	Sell to Close
10/22/2020	1.00	299.90	10/21/2020	250.08	0.00	49.82	Sell to Close
10/22/2020	1.00	152.90	10/22/2020	231.44	78.54 D	0.00	Sell to Close
10/22/2020	1.00	159.90	10/22/2020	203.62	43.72 D	0.00	Sell to Close
10/22/2020	1.00	150.90	10/22/2020	247.26	96.36 D	0.00	Sell to Close
10/22/2020	1.00	163.90	10/22/2020	165.80	1.9 D	0.00	Sell to Close
10/22/2020	1.00	329.90	10/21/2020	246.08	0.00	83.82	Sell to Close
10/22/2020	1.00	148.90	10/22/2020	242.08	93.18 D	0.00	Sell to Close
10/23/2020	3.00	272.74	Various	346.24	0.00	-73.50	Sell to Close
10/23/2020	1.00	138.90	10/22/2020	117.98	0.00	20.92	Sell to Close
Security Totals:		2,625.64		2,823.00		116.52	
CALL AAPL 11/06/20 119 APPLE INC CUSIP: Symbol: AAPL201106C00119000							
11/05/2020	1.00	121.90	11/05/2020	126.08	0.00	-4.18	Sell to Close
PUT AAPL 11/06/20 119 APPLE INC CUSIP: Symbol: AAPL201106P00119000							
11/06/2020	1.00	43.90	11/06/2020	38.08	0.00	5.82	Sell to Close
11/06/2020	1.00	36.90	11/06/2020	41.08	0.00	-4.18	Sell to Close
11/06/2020	1.00	40.90	11/06/2020	39.08	0.00	1.82	Sell to Close
Security Totals:		121.70		118.24		3.46	
PUT AMZN 11/20/20 3120 AMAZON.COM INC CUSIP: Symbol: AMZN201120P03120000							
11/20/2020	1.00	564.89	11/20/2020	570.08	0.00	-5.19	Sell to Close
CALL FAST 11/20/20 47.50 FASTENAL COMPANY CUSIP: Symbol: FAST201120C00047500							
11/09/2020	1.00	79.90	11/09/2020	80.08	0.18 D	0.00	Sell to Close
11/10/2020	1.00	34.90	11/09/2020	95.43	0.00	-60.53	Sell to Close

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APEX CLEARING

Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B*

OMB No. 1545-0715

5KU68797

(continued)

02/02/2021

SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

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CALL FAST 11/20/20 47.50 FASTENAL COMPANY CUSIP: Symbol: FAST201120C00047500							
11/10/2020	2.00	69.82	Various	140.34	70.52 D	0.00	Sell to Close
11/10/2020	1.00	34.90	11/09/2020	85.25	0.00	-50.35	Sell to Close
Security Totals:		219.52		401.10		-110.88	
CALL FAST 11/20/20 50 FASTENAL COMPANY CUSIP: Symbol: FAST201120C00050000							
11/10/2020	1.00	4.90	11/09/2020	15.08	0.00	-10.18	Sell to Close
CALL WORK 03/19/21 27 SLACK TECHNOLOGIES INC CL A CUSIP: Symbol: WORK210319C00027000							
11/13/2020	1.00	304.90	11/13/2020	295.08	0.00	9.82	Sell to Close
CALL JMIA 11/20/20 20 JUMIA TECHNOLOGIES AG CUSIP: Symbol: JMIA201120C00020000							
10/26/2020	1.00	259.90	10/26/2020	260.26	0.36 D	0.00	Sell to Close
10/26/2020	1.00	264.90	10/26/2020	270.08	5.18 D	0.00	Sell to Close
10/26/2020	1.00	274.90	10/26/2020	265.44	0.00	9.46	Sell to Close
10/26/2020	1.00	279.90	10/26/2020	265.08	0.00	14.82	Sell to Close
10/26/2020	1.00	269.90	10/26/2020	282.26	12.36 D	0.00	Sell to Close
10/26/2020	1.00	249.90	10/26/2020	230.08	0.00	19.82	Sell to Close
10/26/2020	1.00	294.90	10/26/2020	277.44	0.00	17.46	Sell to Close
10/26/2020	1.00	267.90	10/26/2020	285.08	17.18 D	0.00	Sell to Close
Security Totals:		2,162.20		2,135.72		61.56	
TYME TECHNOLOGIES INC COMMON STOCK CUSIP: 90238J103 Symbol: TYME							
08/26/2020	50.00	67.98	08/26/2020	64.94	0.00	3.04	Sale
08/26/2020	100.00	119.98	Various	131.95	0.00	-11.97	Sale
08/26/2020	150.00	179.22	Various	193.93	14.71 D	0.00	Sale
08/27/2020	150.00	165.17	Various	187.76	0.00	-22.59	Sale
Security Totals:		532.35		578.58		-31.52	
***ALTERITY THERAPEUTICS LIMITED AMERICAN DEPOSITARY SHARES CUSIP: 02155X106 Symbol: ATHE							
06/30/2020	50.00	63.98	06/30/2020	49.01	0.00	14.97	Sale
06/30/2020	50.00	71.48	06/30/2020	49.00	0.00	22.48	Sale
Security Totals:		135.46		98.01		37.45	

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PUT AMZN 10/02/20 3145 AMAZON.COM INC CUSIP: Symbol: AMZN201002P03145000							
09/28/2020	1.00	6,139.77	09/28/2020	5,950.08	0.00	189.69	Sell to Close
CALL RIDE 12/31/20 22 LORDSTOWN MOTORS CRP CL A CUSIP: Symbol: RIDE201231C00022000							
12/09/2020	1.00	129.90	12/09/2020	140.08	10.18 D	0.00	Sell to Close
12/09/2020	1.00	134.90	12/09/2020	150.44	15.54 D	0.00	Sell to Close
12/09/2020	1.00	129.90	12/09/2020	150.26	20.36 D	0.00	Sell to Close
12/09/2020	1.00	114.90	12/09/2020	155.80	40.9 D	0.00	Sell to Close
12/09/2020	1.00	119.90	12/09/2020	155.98	36.08 D	0.00	Sell to Close
12/09/2020	1.00	114.90	12/09/2020	145.62	30.72 D	0.00	Sell to Close
12/10/2020	1.00	104.90	12/09/2020	181.52	0.00	-76.62	Sell to Close
12/10/2020	1.00	84.90	12/09/2020	146.16	61.26 D	0.00	Sell to Close
12/10/2020	1.00	94.90	12/09/2020	171.34	76.44 D	0.00	Sell to Close
Security Totals:		1,029.10		1,397.20		-76.62	
TOWN SPORTS INTERNATIONAL HOLDINGS INC COMMON STOCK CUSIP: 89214A102 Symbol: CLUB							
08/17/2020	400.00	342.54	Various	427.37	84.83 D	0.00	Sale
08/17/2020	100.00	92.28	08/17/2020	101.50	9.22 D	0.00	Sale
08/17/2020	300.00	256.59	Various	311.56	54.97 D	0.00	Sale
08/18/2020	27.00	22.42	08/18/2020	34.11	11.69 D	0.00	Sale
08/18/2020	500.00	372.43	Various	760.97	388.54 D	0.00	Sale
08/18/2020	1,000.00	712.96	Various	1,123.79	410.83 D	0.00	Sale
08/18/2020	1,000.00	719.76	Various	1,403.83	684.07 D	0.00	Sale
08/18/2020	1,000.00	788.85	Various	1,643.98	855.13 D	0.00	Sale
08/18/2020	1,000.00	752.36	Various	1,670.38	918.02 D	0.00	Sale
08/18/2020	1,019.00	811.10	Various	1,379.65	571.70 D	3.15	Sale
08/18/2020	344.00	263.66	Various	565.17	301.51 D	0.00	Sale
08/18/2020	400.00	300.94	Various	669.53	368.59 D	0.00	Sale
08/18/2020	965.00	767.05	Various	1,482.09	715.04 D	0.00	Sale
08/20/2020	200.00	138.15	Various	248.18	110.03 D	0.00	Sale
08/20/2020	198.00	144.31	Various	236.01	91.70 D	0.00	Sale

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TOWN SPORTS INTERNATIONAL HOLDINGS INC COMMON STOCK CUSIP: 89214A102 Symbol: CLUB							
08/21/2020	130.00	81.38	Various	151.49	0.00	-70.11	Sale
08/21/2020	335.00	207.65	Various	374.44	166.79 D	0.00	Sale
08/21/2020	504.00	319.49	Various	521.40	0.00	-201.91	Sale
08/21/2020	1,000.00	622.56	Various	1,104.22	425.68 D	-55.98	Sale
08/21/2020	733.00	450.55	Various	868.52	417.97 D	0.00	Sale
08/27/2020	200.00	114.71	Various	213.25	0.00	-98.54	Sale
09/01/2020	1.00	0.56	08/26/2020	1.07	0.00	-0.51	Sale
Security Totals:		8,282.30		15,292.51		-423.90	
CALL CHWY 12/18/20 70 CHEWY INC CLASS A CUSIP: Symbol: CHWY201218C00070000							
11/12/2020	1.00	279.90	11/12/2020	282.08	0.00	-2.18	Sell to Close
PUT SPY 11/23/20 356 STANDARD & POORS DEPOSITORY CUSIP: Symbol: SPY201123P00356000							
11/20/2020	1.00	131.90	11/20/2020	139.08	7.18 D	0.00	Sell to Close
11/20/2020	1.00	132.90	11/20/2020	127.26	0.00	5.64	Sell to Close
Security Totals:		264.80		266.34		5.64	
FTS INTERNATIONAL INC COMMON STOCK CUSIP: 30283W203 Symbol: FTSI							
05/18/2020	100.00	437.98	05/14/2020	352.00	0.00	85.98	Sale
***BELLUS HEALTH INC COM CUSIP: 07987C204 Symbol: BLU							
07/06/2020	2.00	7.48	07/06/2020	5.32	0.00	2.16	Sale
07/06/2020	10.00	36.98	07/06/2020	26.60	0.00	10.38	Sale
07/06/2020	30.00	101.38	Various	96.60	0.00	4.78	Sale
07/06/2020	30.00	104.23	07/06/2020	97.80	0.00	6.43	Sale
07/06/2020	30.00	80.38	07/06/2020	85.80	5.42 D	0.00	Sale
07/06/2020	41.00	146.76	07/06/2020	133.66	0.00	13.10	Sale
07/06/2020	50.00	146.98	07/06/2020	143.00	0.00	3.98	Sale
07/06/2020	80.00	211.98	07/06/2020	228.80	16.82 D	0.00	Sale
07/06/2020	100.00	271.98	07/06/2020	286.00	14.02 D	0.00	Sale
07/06/2020	100.00	343.98	Various	289.81	0.00	54.17	Sale
07/06/2020	100.00	265.98	07/06/2020	286.00	20.02 D	0.00	Sale

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SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

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

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
***BELLUS HEALTH INC COM CUSIP: 07987C204 Symbol: BLU							
07/06/2020	176.00	607.16	Various	491.61	0.00	115.55	Sale
07/06/2020	200.00	597.96	Various	575.02	0.00	22.94	Sale
07/14/2020	100.00	252.48	Various	291.35	38.87 D	0.00	Sale
07/15/2020	100.00	257.98	Various	308.80	50.82 D	0.00	Sale
07/22/2020	81.00	205.72	Various	243.97	38.25 D	0.00	Sale
08/03/2020	100.00	258.48	Various	261.06	0.00	-2.58	Sale
08/03/2020	100.00	256.48	Various	303.34	32.97 D	-13.89	Sale
08/04/2020	107.00	289.95	Various	307.01	0.00	-17.06	Sale
08/07/2020	2.00	5.41	07/31/2020	5.96	0.00	-0.55	Sale
Security Totals:		4,449.73		4,467.51		199.41	
CALL V 10/16/20 200 VISA INC CUSIP: Symbol: V201016C00200000							
10/15/2020	2.00	159.82	Various	167.50	10.34 D	2.66	Sell to Close
10/15/2020	2.00	171.82	Various	120.16	0.00	51.66	Sell to Close
10/15/2020	2.00	161.82	Various	151.66	0.00	10.16	Sell to Close
10/15/2020	3.00	236.74	10/15/2020	273.24	36.5 D	0.00	Sell to Close
10/15/2020	3.00	257.74	Various	192.24	0.00	65.50	Sell to Close
Security Totals:		987.94		904.80		129.98	
SHILOH INDUSTRIES INC COMMON STOCK CUSIP: 824543102 Symbol: SHLO							
05/14/2020	300.00	269.89	Various	308.52	38.63 D	0.00	Sale
05/28/2020	1.00	1.25	05/13/2020	0.84	0.00	0.41	Sale
05/28/2020	80.00	103.18	05/13/2020	67.22	0.00	35.96	Sale
05/28/2020	150.00	182.97	Various	166.13	0.00	16.84	Sale
05/28/2020	150.00	191.97	Various	148.62	0.00	43.35	Sale
05/29/2020	100.00	130.06	Various	77.58	0.00	52.48	Sale
06/02/2020	100.00	129.98	05/14/2020	76.08	0.00	53.90	Sale
06/02/2020	100.00	133.98	05/14/2020	76.08	0.00	57.90	Sale
06/02/2020	160.00	217.57	Various	144.64	0.00	72.93	Sale
06/10/2020	50.00	63.98	Various	59.10	0.00	4.88	Sale

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SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

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SHILOH INDUSTRIES INC COMMON STOCK CUSIP: 824543102 Symbol: SHLO							
06/11/2020	100.00	123.98	Various	122.05	0.42 D	2.35	Sale
06/11/2020	100.00	124.98	06/08/2020	125.00	0.02 D	0.00	Sale
06/11/2020	100.00	127.48	Various	123.37	0.00	4.11	Sale
06/12/2020	50.00	72.98	06/08/2020	60.01	0.00	12.97	Sale
06/12/2020	100.00	147.98	Various	120.01	0.00	27.97	Sale
06/15/2020	2.00	2.82	06/08/2020	2.40	0.00	0.42	Sale
06/17/2020	200.00	253.97	Various	209.26	0.00	44.71	Sale
06/23/2020	200.00	225.97	Various	275.85	50.65 D	0.77	Sale
06/30/2020	20.00	25.18	06/15/2020	29.40	4.22 D	0.00	Sale
06/30/2020	30.00	42.88	06/16/2020	49.06	6.18 D	0.00	Sale
06/30/2020	30.00	41.83	06/16/2020	49.05	7.22 D	0.00	Sale
06/30/2020	50.00	71.98	Various	65.11	0.62 D	7.49	Sale
06/30/2020	50.00	73.23	Various	71.28	3.59 D	5.54	Sale
06/30/2020	50.00	83.23	Various	54.46	0.00	28.77	Sale
06/30/2020	50.00	76.48	06/16/2020	79.02	2.54 D	0.00	Sale
06/30/2020	50.00	76.23	Various	78.46	2.61 D	0.38	Sale
06/30/2020	50.00	82.48	Various	55.70	0.00	26.78	Sale
06/30/2020	50.00	62.23	06/15/2020	73.50	11.27 D	0.00	Sale
06/30/2020	50.00	61.48	06/15/2020	73.50	12.02 D	0.00	Sale
06/30/2020	50.00	58.98	06/15/2020	73.50	14.52 D	0.00	Sale
06/30/2020	50.00	66.98	Various	87.98	21.00 D	0.00	Sale
06/30/2020	50.00	66.23	Various	85.52	19.29 D	0.00	Sale
06/30/2020	100.00	141.48	Various	157.79	16.31 D	0.00	Sale
06/30/2020	100.00	141.48	Various	154.77	13.29 D	0.00	Sale
06/30/2020	100.00	142.98	Various	141.57	0.57 D	1.98	Sale
06/30/2020	100.00	111.48	Various	149.01	37.53 D	0.00	Sale
06/30/2020	100.00	156.98	Various	149.01	0.48 D	8.45	Sale

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SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

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SHILOH INDUSTRIES INC COMMON STOCK CUSIP: 824543102 Symbol: SHLO							
06/30/2020	100.00	111.48	06/15/2020	147.00	35.52 D	0.00	Sale
06/30/2020	100.00	112.98	06/15/2020	147.00	34.02 D	0.00	Sale
06/30/2020	100.00	142.98	Various	149.70	6.72 D	0.00	Sale
06/30/2020	100.00	111.48	06/15/2020	147.00	35.52 D	0.00	Sale
06/30/2020	100.00	145.48	Various	114.07	0.00	31.41	Sale
06/30/2020	100.00	117.48	06/15/2020	147.00	29.52 D	0.00	Sale
06/30/2020	450.00	625.43	Various	776.65	151.22 D	0.00	Sale
06/30/2020	550.00	808.41	Various	666.25	0.00	142.16	Sale
06/30/2020	300.00	446.95	Various	476.20	29.43 D	0.18	Sale
06/30/2020	100.00	118.98	06/15/2020	147.00	28.02 D	0.00	Sale
06/30/2020	200.00	323.97	Various	232.57	0.00	91.40	Sale
07/06/2020	50.00	99.98	Various	82.31	0.00	17.67	Sale
07/06/2020	50.00	104.73	Various	101.24	0.84 D	4.33	Sale
07/06/2020	50.00	107.49	07/06/2020	92.00	0.00	15.49	Sale
07/07/2020	116.00	207.62	Various	241.32	33.70 D	0.00	Sale
07/09/2020	100.00	188.98	Various	213.51	24.53 D	0.00	Sale
07/10/2020	1.00	1.93	07/08/2020	2.12	0.19 D	0.00	Sale
08/10/2020	50.00	71.98	Various	82.51	10.53 D	0.00	Sale
08/10/2020	50.00	71.48	Various	83.77	12.29 D	0.00	Sale
08/10/2020	100.00	143.98	Various	161.50	17.52 D	0.00	Sale
08/11/2020	104.00	142.46	Various	146.60	4.14 D	0.00	Sale
08/11/2020	107.00	156.20	Various	167.49	11.29 D	0.00	Sale
08/12/2020	100.00	130.98	Various	138.82	7.84 D	0.00	Sale
08/12/2020	115.00	149.48	Various	168.50	19.02 D	0.00	Sale
08/14/2020	73.00	95.62	Various	101.15	5.53 D	0.00	Sale
08/19/2020	1.00	1.34	08/12/2020	1.46	0.12 D	0.00	Sale
08/31/2020	800.00	313.95	Various	1,014.65	700.70 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

5KU68797

(continued)

02/02/2021

SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

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

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SHILOH INDUSTRIES INC COMMON STOCK CUSIP: 824543102 Symbol: SHLO							
08/31/2020	1,000.00	404.87	Various	1,196.42	791.55 D	0.00	Sale
08/31/2020	1,350.00	539.82	Various	1,256.83	717.01 D	0.00	Sale
09/02/2020	94.00	35.61	09/02/2020	73.55	0.00	-37.94	Sale
09/02/2020	200.00	63.97	08/31/2020	273.97	210 D	0.00	Sale
09/02/2020	76.00	33.34	Various	76.48	0.00	-43.14	Sale
09/02/2020	293.00	115.24	Various	389.63	229.16 D	-45.23	Sale
09/02/2020	231.00	101.48	Various	304.72	0.00	-203.24	Sale
09/02/2020	599.00	172.49	Various	652.38	0.00	-479.89	Sale
09/03/2020	100.00	47.36	Various	145.54	0.00	-98.18	Sale
09/03/2020	100.00	56.78	Various	145.38	0.00	-88.60	Sale
09/03/2020	101.00	45.01	Various	139.15	0.00	-94.14	Sale
Security Totals:		10,758.60		14,443.89		-276.38	
CALL BA 01/15/21 265 BOEING CO CUSIP: Symbol: BA210115C00265000							
12/14/2020	1.00	419.90	12/14/2020	415.08	0.00	4.82	Sell to Close
INMUNE BIO INC COMMON STOCK CUSIP: 45782T105 Symbol: INMB							
07/14/2020	10.00	179.63	07/14/2020	172.80	0.00	6.83	Sale
07/14/2020	20.00	343.38	Various	348.22	4.84 D	0.00	Sale
07/14/2020	7.00	107.08	Various	98.41	0.00	8.67	Sale
07/14/2020	14.00	195.98	07/14/2020	198.80	2.82 D	0.00	Sale
07/14/2020	70.00	1,357.95	07/14/2020	1,209.60	0.00	148.35	Sale
07/15/2020	40.00	579.57	Various	562.44	0.00	17.13	Sale
Security Totals:		2,763.59		2,590.27		180.98	
CALL GM 12/18/20 41.50 GENERAL MOTORS COMPANY CUSIP: Symbol: GM201218C00041500							
12/17/2020	1.00	63.90	12/17/2020	41.08	0.00	22.82	Sell to Close
12/17/2020	1.00	43.90	12/17/2020	61.25	17.35 D	0.00	Sell to Close
12/17/2020	1.00	42.90	12/16/2020	41.08	0.00	1.82	Sell to Close
12/17/2020	1.00	41.90	12/16/2020	41.08	0.00	0.82	Sell to Close
12/17/2020	1.00	49.90	12/17/2020	41.08	0.00	8.82	Sell to Close

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CALL GM	12/18/20	41.50	GENERAL MOTORS COMPANY CUSIP: Symbol: GM201218C00041500				
12/17/2020	1.00	45.90	12/17/2020	60.26	14.36 D	0.00	Sell to Close
12/17/2020	1.00	46.90	12/17/2020	47.08	0.00	-0.18	Sell to Close
12/17/2020	1.00	43.90	12/17/2020	37.08	0.00	6.82	Sell to Close
12/17/2020	1.00	47.90	12/17/2020	67.43	19.53 D	0.00	Sell to Close
12/17/2020	1.00	55.90	12/17/2020	41.08	0.00	14.82	Sell to Close
12/17/2020	1.00	47.90	12/17/2020	47.42	0.00	0.48	Sell to Close
12/17/2020	1.00	46.90	12/17/2020	41.08	0.00	5.82	Sell to Close
12/17/2020	1.00	51.90	12/17/2020	42.08	0.00	9.82	Sell to Close
12/17/2020	1.00	49.90	12/17/2020	56.78	6.88 D	0.00	Sell to Close
12/17/2020	1.00	49.90	12/17/2020	47.08	0.00	2.82	Sell to Close
12/17/2020	1.00	49.90	12/17/2020	45.08	0.00	4.82	Sell to Close
12/17/2020	1.00	50.90	12/17/2020	45.08	0.00	5.82	Sell to Close
12/17/2020	1.00	51.90	12/17/2020	42.08	0.00	9.82	Sell to Close
12/17/2020	1.00	56.90	12/17/2020	39.08	0.00	17.82	Sell to Close
12/17/2020	1.00	52.90	12/17/2020	42.08	0.00	10.82	Sell to Close
12/17/2020	2.00	79.82	Various	80.16	1.17 D	0.83	Sell to Close
12/17/2020	2.00	79.82	Various	83.33	3.51 D	0.00	Sell to Close
12/17/2020	2.00	85.82	Various	95.16	11.17 D	1.83	Sell to Close
12/17/2020	2.00	105.82	12/17/2020	82.16	0.00	23.66	Sell to Close
12/17/2020	2.00	103.82	Various	87.16	0.00	16.66	Sell to Close
12/17/2020	2.00	103.82	Various	90.22	0.00	13.60	Sell to Close
12/17/2020	2.00	105.82	Various	81.16	0.00	24.66	Sell to Close
12/17/2020	2.00	109.82	Various	79.16	0.00	30.66	Sell to Close
12/17/2020	2.00	109.82	Various	79.16	0.00	30.66	Sell to Close
12/17/2020	3.00	152.74	Various	172.46	25.55 D	5.83	Sell to Close
12/17/2020	2.00	133.82	Various	83.16	0.00	50.66	Sell to Close
12/17/2020	3.00	179.74	Various	122.24	0.00	57.50	Sell to Close

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Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B*

OMB No. 1545-0715

5KU68797

(continued)

02/02/2021

SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

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

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CALL GM	12/18/20	41.50	GENERAL MOTORS COMPANY CUSIP: Symbol: GM201218C00041500				
12/17/2020	3.00	173.74	Various	115.24	0.00	58.50	Sell to Close
12/17/2020	1.00	55.90	12/16/2020	41.08	0.00	14.82	Sell to Close
12/17/2020	1.00	48.90	12/17/2020	43.08	0.00	5.82	Sell to Close
12/17/2020	1.00	66.90	12/17/2020	40.08	0.00	26.82	Sell to Close
12/17/2020	1.00	56.90	12/17/2020	39.08	0.00	17.82	Sell to Close
12/17/2020	2.00	111.82	Various	79.16	0.00	32.66	Sell to Close
12/17/2020	1.00	41.90	12/17/2020	38.08	0.00	3.82	Sell to Close
12/17/2020	1.00	43.90	12/17/2020	54.08	10.18 D	0.00	Sell to Close
12/17/2020	1.00	47.90	12/17/2020	46.25	0.00	1.65	Sell to Close
12/17/2020	1.00	47.90	12/17/2020	40.08	0.00	7.82	Sell to Close
12/17/2020	1.00	47.90	12/17/2020	39.08	0.00	8.82	Sell to Close
12/17/2020	1.00	53.90	12/17/2020	42.08	0.00	11.82	Sell to Close
12/17/2020	2.00	89.82	Various	76.16	0.00	13.66	Sell to Close
12/17/2020	1.00	60.90	12/17/2020	40.08	0.00	20.82	Sell to Close
12/17/2020	2.00	109.82	Various	76.16	0.00	33.66	Sell to Close
12/17/2020	2.00	113.82	Various	78.16	0.00	35.66	Sell to Close
12/17/2020	3.00	149.74	Various	148.97	6.06 D	6.83	Sell to Close
12/17/2020	3.00	143.74	Various	178.13	35.22 D	0.83	Sell to Close
Security Totals:		3,808.08		3,276.90		682.16	
CALL SPY	10/28/20	329	STANDARD & POORS DEPOSITORY CUSIP: Symbol: SPY201028C00329000				
10/28/2020	1.00	104.90	10/28/2020	94.25	0.00	10.65	Sell to Close
10/28/2020	1.00	162.90	10/28/2020	155.08	0.00	7.82	Sell to Close
10/28/2020	1.00	97.90	10/28/2020	108.25	0.00	-10.35	Sell to Close
10/28/2020	3.00	458.73	10/28/2020	465.24	4.34 D	-2.17	Sell to Close
10/28/2020	1.00	161.90	10/28/2020	155.08	0.00	6.82	Sell to Close
Security Totals:		986.33		977.90		12.77	
ADITX THERAPEUTICS INC			COMMON STOCK CUSIP: 007025109 Symbol: ADTX				
08/06/2020	171.00	1,155.91	Various	1,317.50	161.75 D	0.16	Sale

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APEX CLEARING

Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B*

OMB No. 1545-0715

5KU68797

(continued)

02/02/2021

SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

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ADITX THERAPEUTICS INC COMMON STOCK CUSIP: 007025109 Symbol: ADTX							
08/06/2020	87.00	616.80	Various	605.55	0.00	11.25	Sale
08/06/2020	112.00	794.05	Various	854.03	28.43 D	-31.55	Sale
Security Totals:		2,566.76		2,777.08		-20.14	
CALL SPY 11/23/20 356 STANDARD & POORS DEPOSITORY CUSIP: Symbol: SPY201123C00356000							
11/20/2020	1.00	162.90	11/20/2020	166.08	3.18 D	0.00	Sell to Close
11/20/2020	1.00	149.90	11/20/2020	194.43	0.00	-44.53	Sell to Close
11/20/2020	1.00	153.91	11/20/2020	181.26	27.35 D	0.00	Sell to Close
Security Totals:		466.71		541.77		-44.53	
***BEST INC AMERICAN DEPOSITORY SHS EACH RPRSNTNG ONE CL A ORDINARY SH CUSIP: 08653C106 Symbol: BEST							
12/18/2020	32.00	73.32	12/18/2020	70.08	0.00	3.24	Sale
12/18/2020	130.00	294.02	12/18/2020	284.70	0.00	9.32	Sale
12/18/2020	338.00	754.32	12/18/2020	740.22	0.00	14.10	Sale
12/18/2020	500.00	1,085.86	12/18/2020	1,095.00	0.00	-9.14	Sale
Security Totals:		2,207.52		2,190.00		17.52	
CALL AMZN 11/13/20 3300 AMAZON.COM INC CUSIP: Symbol: AMZN201113C03300000							
11/09/2020	1.00	2,714.84	11/09/2020	2,960.31	245.47 D	0.00	Sell to Close
11/09/2020	1.00	2,399.85	11/09/2020	2,795.55	0.00	-395.70	Sell to Close
11/09/2020	1.00	2,729.85	11/09/2020	3,390.08	660.23 D	0.00	Sell to Close
Security Totals:		7,844.54		9,145.94		-395.70	
AKORN INC CUSIP: 009728106 Symbol: AKRX							
04/09/2020	594.00	118.72	04/09/2020	118.80	0.00	-0.08	Sale
04/13/2020	1,000.00	199.57	04/09/2020	200.00	0.00	-0.43	Sale
04/13/2020	1,406.00	280.60	04/09/2020	281.20	0.00	-0.60	Sale
Security Totals:		598.89		600.00		-1.11	
PUT PTON 10/02/20 95 PELOTON INTERACTIVE INC CL A CUSIP: Symbol: PTON201002P00095000							
09/23/2020	1.00	389.89	09/23/2020	395.29	5.4 D	0.00	Sell to Close
09/23/2020	1.00	389.89	09/23/2020	355.49	0.00	34.40	Sell to Close
09/23/2020	1.00	379.89	09/23/2020	395.09	15.2 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

5KU68797

(continued)

02/02/2021

SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

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

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09/25/2020	1.00	319.89	09/25/2020	310.09	0.00	9.80	Sell to Close
Security Totals:		1,479.56		1,455.96		44.20	
XTANT MEDICAL HOLDINGS INC COMMON STOCK CUSIP: 98420P308 Symbol: XTNT							
08/10/2020	100.00	161.48	08/10/2020	161.00	0.00	0.48	Sale
TOUGHBUILT INDUSTRIES INC COMMON STOCK CUSIP: 89157G504 Symbol: TBLT							
05/06/2020	400.00	545.93	04/28/2020	548.00	2.07 D	0.00	Sale
05/08/2020	100.00	137.98	04/28/2020	137.00	0.00	0.98	Sale
05/08/2020	100.00	158.48	04/30/2020	131.52	0.00	26.96	Sale
05/08/2020	150.00	242.97	Various	196.52	0.00	46.45	Sale
05/08/2020	200.00	311.97	04/29/2020	267.03	0.00	44.94	Sale
05/08/2020	100.00	139.48	04/28/2020	137.00	0.00	2.48	Sale
05/12/2020	250.00	397.46	Various	318.00	0.00	79.46	Sale
05/18/2020	900.00	1,205.86	Various	1,170.00	6.05 D	41.91	Sale
05/20/2020	50.00	63.23	05/19/2020	61.01	0.00	2.22	Sale
05/20/2020	200.00	249.97	Various	248.04	0.00	1.93	Sale
05/21/2020	100.00	126.98	Various	121.00	0.00	5.98	Sale
07/01/2020	100.00	82.29	05/19/2020	120.00	37.71 D	0.00	Sale
08/07/2020	746.00	529.55	Various	780.07	250.52 D	0.00	Sale
08/13/2020	111.00	89.89	06/11/2020	95.47	0.8 D	-4.78	Sale
08/13/2020	151.00	143.40	Various	128.03	0.00	15.37	Sale
08/13/2020	267.00	209.02	Various	267.10	58.08 D	0.00	Sale
08/13/2020	317.00	251.33	Various	269.70	18.37 D	0.00	Sale
08/13/2020	387.00	367.59	Various	308.31	0.00	59.28	Sale
08/13/2020	400.00	306.73	Various	352.00	45.27 D	0.00	Sale
08/14/2020	195.00	160.14	Various	181.17	0.00	-21.03	Sale
08/14/2020	179.00	150.38	Various	214.62	0.00	-64.24	Sale
08/14/2020	217.00	183.33	Various	217.02	0.00	-33.69	Sale
08/14/2020	484.00	479.08	Various	512.03	0.00	-32.95	Sale
08/14/2020	310.00	265.93	Various	287.25	0.00	-21.32	Sale

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APEX CLEARING

Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B*

OMB No. 1545-0715

5KU68797

(continued)

02/02/2021

SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

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

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TOUGHBUILT INDUSTRIES INC COMMON STOCK CUSIP: 89157G504 Symbol: TBLT							
08/14/2020	433.00	359.33	Various	349.81	0.00	9.52	Sale
08/25/2020	202.00	141.79	Various	151.27	0.00	-9.48	Sale
09/01/2020	1.00	0.64	08/24/2020	0.73	0.00	-0.09	Sale
11/06/2020	100.00	91.48	11/06/2020	86.27	0.00	5.21	Sale
Security Totals:		7,392.21		7,655.97		155.11	
CALL AAPL 10/30/20 118 APPLE INC CUSIP: Symbol: AAPL201030C00118000							
10/19/2020	1.00	359.90	10/19/2020	404.08	44.18 D	0.00	Sell to Close
10/20/2020	1.00	359.90	10/20/2020	350.08	0.00	9.82	Sell to Close
10/20/2020	1.00	349.90	10/20/2020	341.80	0.00	8.10	Sell to Close
10/20/2020	1.00	324.90	10/20/2020	346.62	21.72 D	0.00	Sell to Close
10/20/2020	1.00	351.90	10/19/2020	394.26	42.36 D	0.00	Sell to Close
10/20/2020	1.00	374.90	10/19/2020	382.44	7.54 D	0.00	Sell to Close
10/21/2020	1.00	364.90	10/20/2020	380.08	15.18 D	0.00	Sell to Close
10/21/2020	1.00	354.90	10/21/2020	375.26	20.36 D	0.00	Sell to Close
10/21/2020	1.00	354.90	10/21/2020	364.44	9.54 D	0.00	Sell to Close
10/22/2020	1.00	287.90	10/22/2020	371.80	0.00	-83.90	Sell to Close
10/22/2020	1.00	277.90	10/22/2020	344.62	66.72 D	0.00	Sell to Close
Security Totals:		3,761.90		4,055.48		-65.98	
AIM IMMUNOTECH INC COMMON STOCK CUSIP: 00901B105 Symbol: AIM							
05/14/2020	50.00	158.48	05/14/2020	156.00	0.00	2.48	Sale
06/30/2020	15.00	37.18	06/29/2020	37.50	0.00	-0.32	Sale
08/14/2020	34.00	88.38	Various	86.56	0.54 D	2.36	Sale
08/14/2020	35.00	90.63	08/14/2020	92.24	1.61 D	0.00	Sale
08/14/2020	60.00	157.18	Various	163.75	8.02 D	1.45	Sale
08/18/2020	58.00	150.78	Various	149.12	0.00	1.66	Sale
08/26/2020	100.00	213.98	Various	221.01	9.77 D	2.74	Sale
08/27/2020	536.00	1,286.31	Various	1,162.76	0.00	123.55	Sale

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APEX CLEARING

Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B*

OMB No. 1545-0715

5KU68797

(continued)

02/02/2021

SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

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

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AIM IMMUNOTECH INC COMMON STOCK CUSIP: 00901B105 Symbol: AIM							
08/27/2020	637.00	1,566.08	Various	1,388.87	2.32 D	179.53	Sale
Security Totals:		3,749.00		3,457.81		313.45	
CINEMARK HLDGS INC CUSIP: 17243V102 Symbol: CNK							
04/06/2020	2.00	18.86	03/13/2020	28.00	9.14 D	0.00	Sale
04/07/2020	4.00	43.58	Various	50.22	0.00	-6.64	Sale
Security Totals:		62.44		78.22		-6.64	
CALL AAPL 10/30/20 120 APPLE INC CUSIP: Symbol: AAPL201030C00120000							
10/19/2020	1.00	384.90	10/19/2020	410.08	25.18 D	0.00	Sell to Close
10/19/2020	1.00	369.90	10/19/2020	379.26	9.36 D	0.00	Sell to Close
10/19/2020	1.00	276.90	10/19/2020	295.62	0.00	-18.72	Sell to Close
10/19/2020	1.00	314.90	10/19/2020	324.44	9.54 D	0.00	Sell to Close
Security Totals:		1,346.60		1,409.40		-18.72	
CALL AAPL 11/13/20 116 APPLE INC CUSIP: Symbol: AAPL201113C00116000							
11/10/2020	1.00	214.90	11/10/2020	212.08	0.00	2.82	Sell to Close
PUT AAPL 11/13/20 116 APPLE INC CUSIP: Symbol: AAPL201113P00116000							
11/10/2020	1.00	185.90	11/10/2020	167.08	0.00	18.82	Sell to Close
11/10/2020	1.00	181.90	11/10/2020	180.08	0.00	1.82	Sell to Close
11/10/2020	1.00	162.90	11/10/2020	176.08	13.18 D	0.00	Sell to Close
11/10/2020	1.00	145.90	11/10/2020	157.26	11.36 D	0.00	Sell to Close
11/10/2020	1.00	190.90	11/10/2020	185.26	0.00	5.64	Sell to Close
11/10/2020	1.00	145.90	11/10/2020	163.08	17.18 D	0.00	Sell to Close
11/10/2020	1.00	135.90	11/10/2020	168.44	0.00	-32.54	Sell to Close
Security Totals:		1,149.30		1,197.28		-6.26	
PUT SPY 10/09/20 334 STANDARD & POORS DEPOSITORY CUSIP: Symbol: SPY201009P00334000							
09/29/2020	1.00	513.89	09/29/2020	494.08	0.00	19.81	Sell to Close
CHINA RECYCLING ENERGY CORPORATION COMMON STOCK CUSIP: 168913309 Symbol: CREG							
07/06/2020	25.00	60.48	06/26/2020	57.75	0.00	2.73	Sale
07/06/2020	30.00	72.59	06/26/2020	69.30	0.00	3.29	Sale

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APEX CLEARING

Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B*

OMB No. 1545-0715

5KU68797

(continued)

02/02/2021

SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

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CHINA RECYCLING ENERGY CORPORATION COMMON STOCK CUSIP: 168913309 Symbol: CREG							
07/06/2020	45.00	112.48	06/26/2020	103.95	0.00	8.53	Sale
08/14/2020	100.00	377.98	08/14/2020	386.00	0.00	-8.02	Sale
Security Totals:		623.53		617.00		6.53	
OASIS PETROLEUM INC COMMON STOCK CUSIP: 674215108 Symbol: OAS							
04/23/2020	3,000.00	1,963.39	Various	1,952.40	18.47 D	29.46	Sale
04/24/2020	2,000.00	1,958.91	Various	1,258.57	0.00	700.34	Sale
04/24/2020	2,100.00	1,270.22	Various	1,402.85	132.63 D	0.00	Sale
04/24/2020	2,670.00	2,749.71	Various	1,661.00	0.00	1,088.71	Sale
05/01/2020	600.00	371.86	Various	476.46	104.60 D	0.00	Sale
05/05/2020	1,280.00	880.60	Various	833.22	26.18 D	73.56	Sale
05/11/2020	300.00	180.19	Various	213.77	33.58 D	0.00	Sale
05/12/2020	300.00	113.80	Various	229.09	115.29 D	0.00	Sale
05/12/2020	300.00	124.45	Various	219.76	95.31 D	0.00	Sale
05/15/2020	400.00	175.74	Various	272.91	97.17 D	0.00	Sale
05/15/2020	300.00	132.85	Various	209.22	76.37 D	0.00	Sale
05/18/2020	200.00	119.77	Various	177.33	0.00	-57.56	Sale
05/18/2020	1,950.00	974.55	Various	1,209.16	281.34 D	46.73	Sale
05/26/2020	400.00	203.94	Various	360.72	0.00	-156.78	Sale
05/26/2020	300.00	164.65	Various	228.67	0.00	-64.02	Sale
Security Totals:		11,384.63		10,705.13		1,660.44	
CALL PYPL 11/27/20 195 PAYPAL HOLDINGS INC CUSIP: Symbol: PYPL201127C00195000							
11/17/2020	1.00	344.90	11/17/2020	360.08	15.18 D	0.00	Sell to Close
11/17/2020	1.00	349.90	11/17/2020	310.26	0.00	39.64	Sell to Close
11/18/2020	1.00	205.90	11/18/2020	209.08	3.18 D	0.00	Sell to Close
11/18/2020	1.00	196.90	11/18/2020	197.26	0.36 D	0.00	Sell to Close
11/20/2020	1.00	210.90	11/20/2020	208.44	0.00	2.46	Sell to Close
11/20/2020	1.00	207.90	11/20/2020	206.08	0.00	1.82	Sell to Close
11/23/2020	1.00	304.90	11/23/2020	280.08	0.00	24.82	Sell to Close

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Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B*

OMB No. 1545-0715

5KU68797

(continued)

02/02/2021

SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

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CALL PYPL 11/27/20 195 PAYPAL HOLDINGS INC CUSIP: Symbol: PYPL201127C00195000							
11/23/2020	1.00	293.90	11/23/2020	273.08	0.00	20.82	Sell to Close
11/23/2020	1.00	339.90	11/23/2020	270.08	0.00	69.82	Sell to Close
11/23/2020	1.00	300.90	11/23/2020	272.08	0.00	28.82	Sell to Close
11/23/2020	1.00	305.90	11/23/2020	270.08	0.00	35.82	Sell to Close
Security Totals:		3,061.90		2,856.60		224.02	
PHUNWARE INC COMMON STOCK CUSIP: 71948P100 Symbol: PHUN							
05/20/2020	3.00	5.47	05/20/2020	2.73	0.00	2.74	Sale
05/20/2020	397.00	405.38	05/20/2020	361.35	0.00	44.03	Sale
06/26/2020	100.00	138.98	06/26/2020	147.00	8.02 D	0.00	Sale
07/27/2020	111.00	182.02	Various	186.58	0.00	-4.56	Sale
07/27/2020	400.00	627.93	Various	676.02	48.09 D	0.00	Sale
07/30/2020	110.00	154.53	Various	169.06	0.00	-14.53	Sale
07/30/2020	279.00	393.35	Various	464.45	0.00	-71.10	Sale
Security Totals:		1,907.66		2,007.19		-43.42	
CALL AAPL 12/04/20 117 APPLE INC CUSIP: Symbol: AAPL201204C00117000							
11/27/2020	1.00	168.90	11/27/2020	170.08	0.00	-1.18	Sell to Close
PUT XPEV 11/27/20 55 XPENG INC ADR CLASS A CUSIP: Symbol: XPEV201127P00055000							
11/23/2020	1.00	119.90	11/23/2020	118.08	0.00	1.82	Sell to Close
CALL PYPL 11/27/20 197.50 PAYPAL HOLDINGS INC CUSIP: Symbol: PYPL201127C00197500							
11/20/2020	1.00	193.90	11/20/2020	205.26	11.36 D	0.00	Sell to Close
11/20/2020	1.00	195.90	11/20/2020	208.44	0.00	-12.54	Sell to Close
11/20/2020	1.00	192.90	11/20/2020	194.08	1.18 D	0.00	Sell to Close
Security Totals:		582.70		607.78		-12.54	
SUNESIS PHARMACEUTICALS INC COM PAR\$.0001 CUSIP: 867328700 Symbol: SNSS							
07/24/2020	170.00	87.01	07/24/2020	67.66	0.00	19.35	Sale
07/24/2020	673.00	335.06	07/24/2020	267.85	0.00	67.21	Sale
07/24/2020	1,000.00	493.86	Various	405.50	0.00	88.36	Sale
07/24/2020	1,000.00	473.86	Various	424.00	0.00	49.86	Sale

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2020 Form 1099-B*

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02/02/2021

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
SUNESIS PHARMACEUTICALS INC COM PAR\$.0001 CUSIP: 867328700 Symbol: SNSS							
07/27/2020	201.00	89.21	Various	92.49	0.00	-3.28	Sale
07/27/2020	206.00	104.73	Various	95.34	0.00	9.39	Sale
07/27/2020	150.00	72.42	07/24/2020	59.70	0.00	12.72	Sale
Security Totals:		1,656.15		1,412.54		243.61	
CALL AAPL 10/30/20 113 APPLE INC CUSIP: Symbol: AAPL201030C00113000							
10/28/2020	1.00	293.90	10/28/2020	284.08	0.00	9.82	Sell to Close
ACORDA THERAPEUTICS INC CUSIP: 00484M106 Symbol: ACOR							
06/08/2020	300.00	299.95	06/05/2020	227.04	0.00	72.91	Sale
06/10/2020	50.00	50.98	06/05/2020	37.84	0.00	13.14	Sale
06/29/2020	100.00	78.68	Various	73.94	0.00	4.74	Sale
07/01/2020	100.00	72.97	06/25/2020	72.20	0.00	0.77	Sale
07/01/2020	150.00	108.14	06/25/2020	108.30	0.16 D	0.00	Sale
07/14/2020	47.00	38.99	07/06/2020	33.42	0.00	5.57	Sale
07/14/2020	172.00	149.61	Various	123.47	0.00	26.14	Sale
07/15/2020	1.00	0.98	07/06/2020	0.71	0.00	0.27	Sale
Security Totals:		800.30		676.92		123.54	
TRIPADVISOR INC CUSIP: 896945201 Symbol: TRIP							
03/16/2020	4.00	73.51	Various	73.56	0.18 D	0.13	Sale
03/16/2020	4.00	73.26	Various	73.13	0.17 D	0.30	Sale
03/23/2020	4.00	68.46	Various	72.25	0.00	-3.79	Sale
Security Totals:		215.23		218.94		-3.36	
PUT GOGO 09/18/20 7 GOGO INC CUSIP: Symbol: GOGO200918P00007000							
09/02/2020	1.00	39.89	09/02/2020	30.09	0.00	9.80	Sell to Close
CHICOS FAS INC CUSIP: 168615102 Symbol: CHS							
04/29/2020	100.00	155.98	04/28/2020	159.00	3.02 D	0.00	Sale
04/29/2020	100.00	158.00	04/28/2020	159.00	1 D	0.00	Sale
04/29/2020	100.00	160.98	04/28/2020	159.00	0.00	1.98	Sale
05/26/2020	100.00	148.98	04/28/2020	167.04	18.06 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

5KU68797

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02/02/2021

SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

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CHICOS FAS INC CUSIP: 168615102 Symbol: CHS							
05/26/2020	500.00	729.92	Various	791.02	61.10 D	0.00	Sale
05/27/2020	100.00	151.98	04/28/2020	152.00	0.02 D	0.00	Sale
05/27/2020	200.00	295.97	Various	329.04	33.07 D	0.00	Sale
05/27/2020	300.00	446.95	Various	477.02	30.07 D	0.00	Sale
05/28/2020	50.00	78.98	04/28/2020	81.02	2.04 D	0.00	Sale
05/28/2020	200.00	315.97	Various	314.06	2.03 D	3.94	Sale
05/28/2020	300.00	464.94	Various	476.09	14.13 D	2.98	Sale
06/03/2020	50.00	82.98	05/05/2020	58.94	0.00	24.04	Sale
06/03/2020	50.00	82.60	Various	60.19	0.00	22.41	Sale
06/03/2020	60.00	97.78	05/05/2020	73.80	0.00	23.98	Sale
06/03/2020	100.00	161.98	05/04/2020	130.00	0.00	31.98	Sale
06/03/2020	250.00	390.56	Various	373.05	0.00	17.51	Sale
06/03/2020	400.00	639.93	Various	569.20	0.00	70.73	Sale
06/03/2020	400.00	647.93	Various	486.80	0.00	161.13	Sale
06/04/2020	50.00	87.48	05/11/2020	62.12	0.00	25.36	Sale
06/04/2020	100.00	174.98	05/11/2020	124.23	0.00	50.75	Sale
06/04/2020	100.00	170.98	Various	121.69	0.00	49.29	Sale
06/04/2020	150.00	263.97	Various	182.61	0.00	81.36	Sale
06/04/2020	500.00	894.92	Various	616.60	0.00	278.32	Sale
06/05/2020	100.00	197.98	05/29/2020	139.00	0.00	58.98	Sale
06/12/2020	100.00	153.98	Various	134.20	0.00	19.78	Sale
06/16/2020	100.00	151.98	06/11/2020	135.00	0.00	16.98	Sale
06/16/2020	100.00	161.22	06/11/2020	135.00	0.00	26.22	Sale
06/22/2020	100.00	142.22	06/11/2020	135.00	0.00	7.22	Sale
06/30/2020	100.00	139.98	06/11/2020	135.00	0.00	4.98	Sale
07/06/2020	100.00	135.22	06/11/2020	135.00	0.00	0.22	Sale
07/08/2020	50.00	68.10	Various	68.30	0.22 D	0.02	Sale

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2020 Form 1099-B*

OMB No. 1545-0715

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CHICOS FAS INC CUSIP: 168615102 Symbol: CHS							
07/08/2020	100.00	136.98	Various	136.82	0.5 D	0.66	Sale
07/09/2020	50.00	66.98	06/15/2020	71.00	4.02 D	0.00	Sale
07/09/2020	50.00	67.48	Various	71.48	4.00 D	0.00	Sale
07/09/2020	50.00	67.98	Various	73.09	5.11 D	0.00	Sale
07/09/2020	50.00	68.48	Various	72.92	4.44 D	0.00	Sale
07/09/2020	50.00	68.48	Various	72.63	4.15 D	0.00	Sale
07/09/2020	99.00	147.49	Various	128.11	0.00	19.38	Sale
07/09/2020	90.00	124.18	Various	126.07	2.02 D	0.13	Sale
07/10/2020	1.00	1.38	07/09/2020	1.26	0.00	0.12	Sale
08/25/2020	85.00	108.78	Various	115.88	0.00	-7.10	Sale
Security Totals:		8,813.63		8,009.28		993.35	
PUT AAPL 10/30/20 114 APPLE INC CUSIP: Symbol: AAPL201030P00114000							
10/23/2020	1.00	324.90	10/23/2020	325.08	0.00	-0.18	Sell to Close
VIVEVE MEDICAL INC COMMON STOCK CUSIP: 92852W303 Symbol: VIVE							
07/07/2020	155.00	104.60	Various	139.07	0.00	-34.47	Sale
07/07/2020	700.00	472.40	07/07/2020	609.00	136.6 D	0.00	Sale
07/07/2020	932.00	625.71	Various	842.78	120.34 D	-96.73	Sale
07/14/2020	100.00	63.98	Various	81.20	0.00	-17.22	Sale
07/14/2020	112.00	85.68	07/07/2020	89.49	0.00	-3.81	Sale
08/10/2020	201.00	123.79	Various	176.67	52.88 D	0.00	Sale
08/25/2020	100.00	101.06	Various	170.10	0.00	-69.04	Sale
08/25/2020	100.00	130.06	Various	141.25	11.19 D	0.00	Sale
08/25/2020	100.00	114.98	Various	153.14	38.16 D	0.00	Sale
08/25/2020	336.00	349.39	Various	414.19	0.00	-64.80	Sale
08/25/2020	200.00	205.97	Various	287.21	0.00	-81.24	Sale
08/25/2020	1,000.00	1,009.85	Various	1,239.70	229.85 D	0.00	Sale
08/25/2020	364.00	385.79	Various	433.64	0.00	-47.85	Sale
Security Totals:		3,773.26		4,777.44		-415.16	

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2020 Form 1099-B*

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02/02/2021

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CALL AAPL 10/30/20 115 APPLE INC CUSIP: Symbol: AAPL201030C00115000							
10/22/2020	1.00	429.90	10/22/2020	407.08	0.00	22.82	Sell to Close
10/23/2020	1.00	344.90	10/23/2020	442.44	97.54 D	0.00	Sell to Close
10/23/2020	1.00	339.90	10/23/2020	422.80	82.9 D	0.00	Sell to Close
10/23/2020	1.00	354.90	10/23/2020	447.62	92.72 D	0.00	Sell to Close
10/23/2020	1.00	364.90	10/23/2020	399.08	34.18 D	0.00	Sell to Close
10/23/2020	1.00	329.90	10/23/2020	412.98	0.00	-83.08	Sell to Close
10/23/2020	1.00	326.90	10/23/2020	419.26	92.36 D	0.00	Sell to Close
Security Totals:		2,491.30		2,951.26		-60.26	
CALL JPM 10/23/20 103 JPMORGAN CHASE & CO CUSIP: Symbol: JPM201023C00103000							
10/13/2020	1.00	99.90	10/13/2020	95.08	0.00	4.82	Sell to Close
10/13/2020	1.00	100.90	10/13/2020	94.08	0.00	6.82	Sell to Close
10/13/2020	1.00	94.90	10/13/2020	85.08	0.00	9.82	Sell to Close
10/13/2020	1.00	112.90	10/13/2020	103.08	0.00	9.82	Sell to Close
Security Totals:		408.60		377.32		31.28	
NEUROMETRIX INC COMMON STOCK CUSIP: 641255807 Symbol: NURO							
08/28/2020	50.00	90.48	08/25/2020	88.00	0.00	2.48	Sale
***AMBOW EDUCATION HOLDING LTD AMERICAN DEPOSITARY SHS EACH RPRSNTNG TWO CL A ORD SHS CUSIP: 02322P200 Symbol: AMBO							
08/03/2020	127.00	382.24	Various	460.91	77.39 D	-1.28	Sale
08/03/2020	123.00	388.66	Various	458.48	0.00	-69.82	Sale
Security Totals:		770.90		919.39		-71.10	
CALL MS 11/20/20 55 MORGAN STANLEY CUSIP: Symbol: MS201120C00055000							
10/07/2020	1.00	68.90	10/07/2020	64.26	0.00	4.64	Sell to Close
10/07/2020	1.00	64.90	10/07/2020	68.08	3.18 D	0.00	Sell to Close
10/09/2020	1.00	73.90	10/08/2020	64.08	0.00	9.82	Sell to Close
Security Totals:		207.70		196.42		14.46	
CALL MS 11/20/20 50 MORGAN STANLEY CUSIP: Symbol: MS201120C00050000							
10/07/2020	1.00	206.90	10/07/2020	206.26	0.00	0.64	Sell to Close
10/07/2020	1.00	202.90	10/07/2020	205.08	2.18 D	0.00	Sell to Close

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2020 Form 1099-B*

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CALL MS 11/20/20	50	MORGAN STANLEY CUSIP: Symbol: MS201120C00050000					
10/08/2020	1.00	214.90	10/08/2020	200.08	0.00	14.82	Sell to Close
10/08/2020	1.00	217.90	10/08/2020	199.08	0.00	18.82	Sell to Close
Security Totals:		842.60		810.50		34.28	
CALL SPY 12/09/20	368	STANDARD & POORS DEPOSITORY CUSIP: Symbol: SPY201209C00368000					
12/07/2020	1.00	183.90	12/07/2020	177.08	0.00	6.82	Sell to Close
12/07/2020	1.00	184.90	12/07/2020	181.08	0.00	3.82	Sell to Close
Security Totals:		368.80		358.16		10.64	
CREATIVE REALITIES INC		COMMON STOCK CUSIP: 22530J200 Symbol: CREX					
07/22/2020	1.00	2.53	07/17/2020	2.17	0.00	0.36	Sale
07/22/2020	108.00	282.94	Various	236.90	0.00	46.04	Sale
07/23/2020	70.00	174.28	Various	158.61	0.00	15.67	Sale
07/30/2020	101.00	228.24	Various	226.76	0.00	1.48	Sale
Security Totals:		687.99		624.44		63.55	
CALL EBAY 01/15/21	60	EBAY INC CUSIP: Symbol: EBAY210115C00060000					
11/30/2020	1.00	28.90	11/30/2020	27.08	0.00	1.82	Sell to Close
12/01/2020	1.00	28.90	11/30/2020	26.08	0.00	2.82	Sell to Close
Security Totals:		57.80		53.16		4.64	
YUNHONG CTI LTD		COMMON STOCK CUSIP: 98873Q100 Symbol: CTIB					
06/24/2020	30.00	127.78	Various	120.00	0.00	7.78	Sale
06/24/2020	50.00	215.98	06/24/2020	198.50	0.00	17.48	Sale
06/24/2020	50.00	222.98	Various	196.40	0.00	26.58	Sale
06/24/2020	105.00	467.22	Various	408.30	0.00	58.92	Sale
Security Totals:		1,033.96		923.20		110.76	
AGEAGLE AERIAL SYSTEMS INC		COMMON STOCK CUSIP: 00848K101 Symbol: UAVS					
05/11/2020	100.00	136.98	05/11/2020	143.00	6.02 D	0.00	Sale
05/14/2020	150.00	205.47	Various	200.02	0.04 D	5.49	Sale
05/18/2020	140.00	191.77	Various	168.74	0.00	23.03	Sale
Security Totals:		534.22		511.76		28.52	

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AMERGENT HOSPITALITY GROUP INC COMMON STOCK CUSIP: 02362J106 Symbol: AMHG							
10/13/2020	100.00	40.31	03/25/2020	0.00	0.00	40.31	Sale
***OBSEVA SA COMMON SHARES CUSIP: H5861P103 Symbol: OBSV							
07/28/2020	39.00	106.88	07/23/2020	103.74	0.00	3.14	Sale
07/29/2020	1.00	2.58	07/23/2020	2.66	0.00	-0.08	Sale
Security Totals:		109.46		106.40		3.06	
AMERICAN VIRTUAL CLOUD TECHNOLOGIES INC COMMON STOCK CUSIP: 030382105 Symbol: AVCT							
04/20/2020	150.00	407.97	04/20/2020	466.50	58.53 D	0.00	Sale
04/20/2020	200.00	489.96	Various	636.72	146.76 D	0.00	Sale
04/20/2020	200.00	395.97	Various	594.74	198.77 D	0.00	Sale
04/20/2020	300.00	1,097.93	04/20/2020	1,020.00	0.00	77.93	Sale
04/20/2020	300.00	804.44	Various	949.03	144.59 D	0.00	Sale
04/21/2020	38.00	72.18	04/21/2020	87.99	15.81 D	0.00	Sale
04/21/2020	150.00	343.52	Various	421.83	78.31 D	0.00	Sale
04/21/2020	150.00	289.47	Various	454.70	165.23 D	0.00	Sale
04/21/2020	50.00	104.98	04/20/2020	159.95	54.97 D	0.00	Sale
04/22/2020	224.00	409.88	Various	595.45	185.57 D	0.00	Sale
04/22/2020	37.00	69.91	04/21/2020	102.73	32.82 D	0.00	Sale
04/23/2020	250.00	394.96	Various	638.81	1.2 D	-242.65	Sale
04/23/2020	250.00	412.46	Various	457.65	0.00	-45.19	Sale
05/11/2020	1.00	1.62	04/22/2020	1.72	0.1 D	0.00	Sale
06/10/2020	497.00	2,171.78	Various	2,360.85	0.00	-189.07	Sale
06/11/2020	2.00	8.80	06/10/2020	9.50	0.00	-0.70	Sale
06/30/2020	1.00	3.29	06/10/2020	4.75	0.00	-1.46	Sale
08/05/2020	21.00	151.39	08/05/2020	140.70	0.00	10.69	Sale
08/05/2020	78.00	553.77	08/05/2020	522.60	0.00	31.17	Sale
08/06/2020	59.00	520.35	Various	462.46	0.00	57.89	Sale
Security Totals:		8,704.63		10,088.68		-301.39	

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MOLECULIN BIOTECH INC COM CUSIP: 60855D101 Symbol: MBRX							
03/19/2020	82.00	60.66	03/19/2020	51.66	0.00	9.00	Sale
03/25/2020	143.00	94.42	03/19/2020	90.09	0.00	4.33	Sale
04/08/2020	1,000.00	1,479.84	04/08/2020	1,450.00	0.00	29.84	Sale
Security Totals:		1,634.92		1,591.75		43.17	
CALL BIDU 11/27/20 135 BAIDU INC CUSIP: Symbol: BIDU201127C00135000							
11/24/2020	1.00	83.90	11/24/2020	75.08	0.00	8.82	Sell to Close
PUT AAPL 10/30/20 110 APPLE INC CUSIP: Symbol: AAPL201030P00110000							
10/30/2020	1.00	121.90	10/30/2020	119.26	0.00	2.64	Sell to Close
10/30/2020	1.00	119.90	10/30/2020	129.08	0.00	-9.18	Sell to Close
10/30/2020	1.00	85.90	10/30/2020	98.08	12.18 D	0.00	Sell to Close
10/30/2020	1.00	123.90	10/30/2020	105.08	0.00	18.82	Sell to Close
Security Totals:		451.60		451.50		12.28	
CALL FSR 01/15/21 15 FISKER INC CL A CUSIP: Symbol: FSR210115C00015000							
12/10/2020	1.00	209.90	12/10/2020	205.08	0.00	4.82	Sell to Close
12/10/2020	1.00	209.90	12/10/2020	195.08	0.00	14.82	Sell to Close
12/10/2020	1.00	209.90	12/10/2020	200.08	0.00	9.82	Sell to Close
Security Totals:		629.70		600.24		29.46	
CALL AAPL 10/30/20 109 APPLE INC CUSIP: Symbol: AAPL201030C00109000							
10/30/2020	1.00	91.90	10/30/2020	95.08	3.18 D	0.00	Sell to Close
10/30/2020	1.00	83.90	10/30/2020	84.26	0.00	-0.36	Sell to Close
10/30/2020	1.00	103.90	10/30/2020	96.08	0.00	7.82	Sell to Close
Security Totals:		279.70		275.42		7.46	
CALL AAPL 11/13/20 117 APPLE INC CUSIP: Symbol: AAPL201113C00117000							
11/10/2020	1.00	197.90	11/10/2020	196.08	0.00	1.82	Sell to Close
11/10/2020	1.00	119.90	11/10/2020	136.08	0.00	-16.18	Sell to Close
11/10/2020	1.00	148.90	11/10/2020	146.08	0.00	2.82	Sell to Close
Security Totals:		466.70		478.24		-11.54	

APEX CLEARING

Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B*

OMB No. 1545-0715

5KU68797

(continued)

02/02/2021

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 BB 01/15/21	7.50	BLACKBERRY LIMITED CUSIP: Symbol: BB210115C00007500					
12/01/2020	1.00	162.90	12/01/2020	175.08	0.00	-12.18	Sell to Close
CALL AAPL 11/13/20	118	APPLE INC CUSIP: Symbol: AAPL201113C00118000					
11/10/2020	1.00	142.90	11/10/2020	150.08	0.00	-7.18	Sell to Close
CALL AAPL 10/30/20	110	APPLE INC CUSIP: Symbol: AAPL201030C00110000					
10/30/2020	1.00	219.90	10/30/2020	150.08	0.00	69.82	Sell to Close
10/30/2020	1.00	197.90	10/30/2020	150.08	0.00	47.82	Sell to Close
Security Totals:		417.80		300.16		117.64	
WAITR HOLDINGS INC		COMMON STOCK CUSIP: 930752100 Symbol: WTRH					
03/18/2020	100.00	140.98	03/18/2020	145.00	4.02 D	0.00	Sale
04/07/2020	300.00	290.50	Various	403.47	112.97 D	0.00	Sale
04/15/2020	350.00	416.45	Various	461.47	0.00	-45.02	Sale
Security Totals:		847.93		1,009.94		-45.02	
PUT AAPL 11/13/20	118	APPLE INC CUSIP: Symbol: AAPL201113P00118000					
11/13/2020	1.00	37.90	11/13/2020	49.61	0.00	-11.71	Sell to Close
11/13/2020	1.00	39.90	11/13/2020	40.25	0.00	-0.35	Sell to Close
11/13/2020	1.00	39.90	11/13/2020	48.08	8.18 D	0.00	Sell to Close
11/13/2020	2.00	75.82	Various	91.52	15.70 D	0.00	Sell to Close
11/13/2020	1.00	39.90	11/13/2020	49.26	9.36 D	0.00	Sell to Close
Security Totals:		233.42		278.72		-12.06	
***ACASTI PHARMA INC		CLASS A COM CUSIP: 00430K402 Symbol: ACST					
08/31/2020	300.00	72.85	08/31/2020	84.06	0.00	-11.21	Sale
PUT AAPL 11/13/20	119	APPLE INC CUSIP: Symbol: AAPL201113P00119000					
11/05/2020	1.00	297.90	11/05/2020	295.08	0.00	2.82	Sell to Close
11/12/2020	1.00	84.90	11/12/2020	89.08	4.18 D	0.00	Sell to Close
11/12/2020	1.00	85.90	11/12/2020	89.08	3.18 D	0.00	Sell to Close
11/12/2020	1.00	87.90	11/12/2020	89.08	1.18 D	0.00	Sell to Close
11/12/2020	1.00	96.90	11/12/2020	79.40	0.00	17.50	Sell to Close
11/12/2020	1.00	86.90	11/12/2020	102.08	15.18 D	0.00	Sell to Close
11/12/2020	1.00	92.90	11/12/2020	109.43	16.53 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

5KU68797

(continued)

02/02/2021

SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

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

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PUT AAPL 11/13/20 119 APPLE INC CUSIP: Symbol: AAPL201113P00119000							
11/12/2020	2.00	185.82	Various	189.03	0.00	-3.21	Sell to Close
11/12/2020	1.00	92.90	11/12/2020	90.25	0.00	2.65	Sell to Close
11/12/2020	2.00	179.82	11/12/2020	178.17	0.00	1.65	Sell to Close
11/12/2020	3.00	266.74	Various	289.27	22.53 D	0.00	Sell to Close
11/12/2020	3.00	263.74	Various	285.77	22.03 D	0.00	Sell to Close
11/12/2020	2.00	181.82	Various	208.34	26.52 D	0.00	Sell to Close
11/12/2020	1.00	88.90	11/12/2020	89.08	0.18 D	0.00	Sell to Close
11/13/2020	1.00	59.90	11/12/2020	85.42	0.00	-25.52	Sell to Close
11/13/2020	2.00	147.82	Various	110.52	0.00	37.30	Sell to Close
11/13/2020	1.00	81.90	11/13/2020	57.26	0.00	24.64	Sell to Close
11/13/2020	1.00	62.90	11/12/2020	80.26	0.00	-17.36	Sell to Close
Security Totals:		2,445.56		2,516.60		40.47	
CYCLACEL PHARMACEUTICALS INC COMMON STOCK CUSIP: 23254L603 Symbol: CYCC							
05/13/2020	100.00	512.97	05/12/2020	402.33	0.00	110.64	Sale
PUT NIO 11/20/20 39 NIO INC ADS CUSIP: Symbol: NIO201120P00039000							
11/16/2020	1.00	171.90	11/16/2020	178.08	6.18 D	0.00	Sell to Close
11/16/2020	1.00	149.90	11/16/2020	149.44	0.00	0.46	Sell to Close
11/16/2020	1.00	147.90	11/16/2020	152.26	4.36 D	0.00	Sell to Close
Security Totals:		469.70		479.78		0.46	
CALL GME 12/18/20 14 GAMESTOP CORP CUSIP: Symbol: GME201218C00014000							
12/09/2020	1.00	124.90	12/09/2020	215.79	90.89 D	0.00	Sell to Close
12/09/2020	1.00	109.90	12/09/2020	177.08	67.18 D	0.00	Sell to Close
12/09/2020	1.00	126.90	12/09/2020	210.97	84.07 D	0.00	Sell to Close
12/09/2020	1.00	114.90	12/09/2020	212.26	97.36 D	0.00	Sell to Close
12/09/2020	2.00	247.82	Various	316.52	96.53 D	27.83	Sell to Close
12/09/2020	1.00	123.90	12/09/2020	218.61	94.71 D	0.00	Sell to Close
12/09/2020	2.00	259.82	Various	316.23	0.00	-56.41	Sell to Close
Security Totals:		1,108.14		1,667.46		-28.58	

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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)

02/02/2021

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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***MER TELEMAGEMENT SOLUTIONS LTD COMMON SHARES CUSIP: M69676209 Symbol: MTSL							
06/29/2020	9.00	12.04	06/29/2020	9.90	0.00	2.14	Sale
06/29/2020	90.00	117.04	06/29/2020	99.00	0.00	18.04	Sale
06/30/2020	1.00	1.22	06/29/2020	1.10	0.00	0.12	Sale
07/06/2020	60.00	88.18	07/06/2020	87.00	0.00	1.18	Sale
07/15/2020	19.00	28.67	07/06/2020	27.55	0.00	1.12	Sale
07/15/2020	1.00	1.48	07/06/2020	1.45	0.00	0.03	Sale
Security Totals:		248.63		226.00		22.63	
DURECT CORP CUSIP: 266605104 Symbol: DRRX							
08/04/2020	3.00	8.35	08/03/2020	8.94	0.59 D	0.00	Sale
08/04/2020	5.00	11.28	08/03/2020	15.85	4.57 D	0.00	Sale
08/04/2020	30.00	82.78	08/03/2020	95.11	12.33 D	0.00	Sale
08/04/2020	100.00	278.98	Various	298.59	19.61 D	0.00	Sale
08/05/2020	50.00	115.48	Various	152.64	37.16 D	0.00	Sale
08/05/2020	50.00	118.48	Various	188.56	70.08 D	0.00	Sale
08/05/2020	100.00	228.98	Various	335.27	106.29 D	0.00	Sale
08/05/2020	100.00	238.98	Various	379.45	140.47 D	0.00	Sale
08/07/2020	100.00	246.98	Various	333.36	86.38 D	0.00	Sale
08/11/2020	150.00	360.00	Various	519.17	159.17 D	0.00	Sale
08/14/2020	127.00	288.26	Various	462.67	174.41 D	0.00	Sale
08/17/2020	50.00	116.55	Various	161.85	45.30 D	0.00	Sale
08/17/2020	100.00	235.98	Various	233.62	0.00	2.36	Sale
08/17/2020	100.00	230.11	Various	363.78	133.67 D	0.00	Sale
08/17/2020	400.00	915.92	Various	1,120.77	206.86 D	2.01	Sale
08/17/2020	400.00	916.44	Various	1,112.15	195.71 D	0.00	Sale
08/24/2020	50.00	104.05	Various	136.67	32.62 D	0.00	Sale
08/24/2020	100.00	208.11	Various	236.27	28.16 D	0.00	Sale
08/26/2020	100.00	205.11	Various	325.19	120.08 D	0.00	Sale
08/27/2020	69.00	129.01	Various	261.60	0.00	-132.59	Sale

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APEX CLEARING

Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B*

OMB No. 1545-0715

5KU68797

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02/02/2021

SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

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DURECT CORP CUSIP: 266605104 Symbol: DRRX							
08/27/2020	100.00	186.98	Various	268.30	81.32 D	0.00	Sale
08/27/2020	100.00	186.98	Various	306.14	119.16 D	0.00	Sale
08/27/2020	100.00	186.98	Various	264.75	77.77 D	0.00	Sale
08/27/2020	293.00	548.24	Various	855.14	298.81 D	-8.09	Sale
08/31/2020	100.00	187.98	Various	268.20	0.00	-80.22	Sale
09/08/2020	22.00	37.19	Various	47.48	0.00	-10.29	Sale
09/08/2020	30.00	50.38	Various	66.77	0.00	-16.39	Sale
09/08/2020	60.00	100.86	Various	176.15	0.00	-75.29	Sale
09/14/2020	1.00	1.70	09/03/2020	2.14	0.00	-0.44	Sale
Security Totals:		6,527.12		8,996.58		-318.94	
CARDIFF ONCOLOGY INC COMMON STOCK CUSIP: 14147L108 Symbol: CRDF							
05/11/2020	100.00	127.98	04/28/2020	145.00	17.02 D	0.00	Sale
05/13/2020	505.00	747.32	Various	695.29	0.00	52.03	Sale
Security Totals:		875.30		840.29		52.03	
SPECTRUM PHARMACEUTICALS INC CUSIP: 84763A108 Symbol: SPPI							
07/28/2020	129.00	748.16	Various	721.61	0.00	26.55	Sale
07/28/2020	131.00	721.77	Various	725.59	2.23 D	-1.59	Sale
07/29/2020	30.00	106.18	Various	149.53	0.00	-43.35	Sale
Security Totals:		1,576.11		1,596.73		-18.39	
TRXADE GROUP INC COMMON STOCK CUSIP: 89846A207 Symbol: MEDS							
07/27/2020	15.00	135.43	07/27/2020	128.40	0.00	7.03	Sale
CALL SPY 12/16/20 370 STANDARD & POORS DEPOSITORY CUSIP: Symbol: SPY201216C00370000							
12/16/2020	1.00	88.90	12/16/2020	87.08	0.00	1.82	Sell to Close
CALL LOW 10/16/20 175 LOWES COMPANIES INC CUSIP: Symbol: LOW201016C00175000							
10/12/2020	1.00	147.90	10/12/2020	114.08	0.00	33.82	Sell to Close
10/12/2020	1.00	117.90	10/12/2020	115.25	0.00	2.65	Sell to Close
10/12/2020	1.00	120.90	10/12/2020	145.25	24.35 D	0.00	Sell to Close
10/12/2020	1.00	97.90	10/12/2020	101.25	3.35 D	0.00	Sell to Close

APEX CLEARING

Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B*

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02/02/2021

SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

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CALL LOW 10/16/20 175 LOWES COMPANIES INC CUSIP: Symbol: LOW201016C00175000							
10/12/2020	2.00	247.82	10/12/2020	240.16	0.00	7.66	Sell to Close
10/12/2020	2.00	235.82	Various	210.16	0.00	25.66	Sell to Close
10/12/2020	2.00	191.82	Various	211.49	19.67 D	0.00	Sell to Close
10/12/2020	3.00	290.74	Various	319.92	29.18 D	0.00	Sell to Close
10/12/2020	3.00	353.74	10/12/2020	354.24	0.5 D	0.00	Sell to Close
10/12/2020	4.00	475.65	10/12/2020	472.33	0.00	3.32	Sell to Close
10/12/2020	4.00	379.66	Various	446.98	67.32 D	0.00	Sell to Close
10/12/2020	1.00	110.90	10/12/2020	134.24	23.34 D	0.00	Sell to Close
10/12/2020	10.00	1,169.14	Various	1,237.80	71.49 D	2.83	Sell to Close
10/13/2020	2.00	265.82	Various	174.16	0.00	91.66	Sell to Close
10/13/2020	10.00	949.14	Various	1,012.33	87.34 D	24.15	Sell to Close
10/13/2020	3.00	311.74	Various	295.23	0.00	16.51	Sell to Close
10/13/2020	3.00	308.74	Various	297.26	0.00	11.48	Sell to Close
10/13/2020	2.00	205.82	Various	183.49	0.00	22.33	Sell to Close
10/13/2020	10.00	939.14	Various	1,076.14	140.01 D	3.01	Sell to Close
Security Totals:		6,920.29		7,141.76		245.08	
PROTEOSTASIS THERAPEUTICS INC COM CUSIP: 74373B109 Symbol: PTI							
08/17/2020	149.00	207.08	08/11/2020	201.15	0.00	5.93	Sale
08/18/2020	1.00	1.35	08/11/2020	1.35	0.00	0.00	Sale
11/24/2020	100.00	102.98	11/23/2020	102.00	0.00	0.98	Sale
11/24/2020	150.00	153.14	11/23/2020	153.00	0.00	0.14	Sale
11/25/2020	100.00	105.09	11/23/2020	102.00	0.00	3.09	Sale
11/27/2020	50.00	54.48	11/23/2020	51.00	0.00	3.48	Sale
Security Totals:		624.12		610.50		13.62	
BIOLASE INC COMMON STOCK CUSIP: 090911207 Symbol: BIOL							
08/06/2020	398.00	172.46	08/05/2020	163.54	0.00	8.92	Sale
08/06/2020	602.00	255.17	08/05/2020	247.36	0.00	7.81	Sale

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SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

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BIOLASE INC COMMON STOCK CUSIP: 090911207 Symbol: BIOL							
08/06/2020	1,000.00	427.87	Various	410.90	0.00	16.97	Sale
Security Totals:		855.50		821.80		33.70	
CALL SPXS 10/16/20 6 DIREXION DAILY S&P 500 BEAR 3X CUSIP: Symbol: SPXS201016C00006000							
10/07/2020	3.00	35.74	Various	33.24	0.00	2.50	Sell to Close
10/09/2020	10.00	19.16	Various	99.81	0.00	-80.65	Sell to Close
Security Totals:		54.90		133.05		-78.15	
CALL AAPL 11/27/20 110 APPLE INC CUSIP: Symbol: AAPL201127C00110000							
11/02/2020	1.00	385.90	11/02/2020	400.08	14.18 D	0.00	Sell to Close
11/02/2020	1.00	404.90	11/02/2020	399.26	0.00	5.64	Sell to Close
Security Totals:		790.80		799.34		5.64	
CALL TSLA 11/13/20 420 TESLA INC CUSIP: Symbol: TSLA201113C00420000							
11/11/2020	1.00	544.89	11/11/2020	565.27	0.00	-20.38	Sell to Close
11/11/2020	1.00	564.89	11/11/2020	565.08	0.19 D	0.00	Sell to Close
11/11/2020	1.00	689.89	11/11/2020	615.08	0.00	74.81	Sell to Close
11/11/2020	1.00	639.89	11/11/2020	553.08	0.00	86.81	Sell to Close
11/11/2020	1.00	599.89	11/11/2020	595.08	0.00	4.81	Sell to Close
Security Totals:		3,039.45		2,893.59		146.05	
PUT SBUX 11/06/20 88 STARBUCKS CORPORATION CUSIP: Symbol: SBUX201106P00088000							
11/03/2020	1.00	125.90	11/03/2020	137.08	11.18 D	0.00	Sell to Close
11/03/2020	1.00	128.90	11/03/2020	129.26	0.00	-0.36	Sell to Close
Security Totals:		254.80		266.34		-0.36	
CALL TSLA 11/13/20 425 TESLA INC CUSIP: Symbol: TSLA201113C00425000							
11/11/2020	1.00	374.90	11/11/2020	410.44	35.54 D	0.00	Sell to Close
11/11/2020	1.00	354.90	11/11/2020	382.62	27.72 D	0.00	Sell to Close
11/11/2020	1.00	314.90	11/11/2020	362.80	47.9 D	0.00	Sell to Close
11/11/2020	1.00	354.90	11/11/2020	395.26	40.36 D	0.00	Sell to Close
11/11/2020	1.00	263.90	11/11/2020	318.33	0.00	-54.43	Sell to Close
11/11/2020	1.00	319.91	11/11/2020	372.98	53.07 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

5KU68797

(continued)

02/02/2021

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 11/13/20 425 TESLA INC CUSIP: Symbol: TSLA201113C00425000							
11/11/2020	1.00	339.90	11/11/2020	380.08	40.18 D	0.00	Sell to Close
11/11/2020	1.00	297.90	11/11/2020	353.15	55.25 D	0.00	Sell to Close
Security Totals:		2,621.21		2,975.66		-54.43	
CALL TSLA 11/13/20 430 TESLA INC CUSIP: Symbol: TSLA201113C00430000							
11/09/2020	1.00	1,209.88	11/09/2020	1,130.08	0.00	79.80	Sell to Close
11/09/2020	1.00	724.89	11/09/2020	872.28	0.00	-147.39	Sell to Close
11/09/2020	1.00	909.88	11/09/2020	982.08	72.2 D	0.00	Sell to Close
11/09/2020	1.00	1,157.88	11/09/2020	1,105.08	0.00	52.80	Sell to Close
Security Totals:		4,002.53		4,089.52		-14.79	
CALL CRM 02/19/21 260 SALESFORCE.COM INC CUSIP: Symbol: CRM210219C00260000							
12/10/2020	1.00	419.90	12/10/2020	410.08	0.00	9.82	Sell to Close
12/11/2020	1.00	409.90	12/11/2020	410.08	0.18 D	0.00	Sell to Close
12/15/2020	1.00	298.90	12/15/2020	359.44	60.54 D	0.00	Sell to Close
12/15/2020	1.00	299.90	12/11/2020	375.26	75.36 D	0.00	Sell to Close
12/16/2020	1.00	329.90	12/15/2020	316.80	0.00	13.10	Sell to Close
12/16/2020	1.00	324.90	12/15/2020	350.62	25.72 D	0.00	Sell to Close
12/16/2020	1.00	369.90	12/15/2020	305.08	0.00	64.82	Sell to Close
12/17/2020	1.00	409.90	12/16/2020	315.08	0.00	94.82	Sell to Close
12/17/2020	1.00	349.90	12/17/2020	374.08	24.18 D	0.00	Sell to Close
12/17/2020	1.00	354.90	12/17/2020	374.26	19.36 D	0.00	Sell to Close
12/17/2020	1.00	359.90	12/16/2020	325.08	0.00	34.82	Sell to Close
12/18/2020	1.00	379.90	12/18/2020	364.44	0.00	15.46	Sell to Close
12/24/2020	1.00	266.90	12/24/2020	250.08	0.00	16.82	Sell to Close
12/24/2020	1.00	270.90	12/24/2020	288.34	17.44 D	0.00	Sell to Close
12/24/2020	1.00	270.90	12/24/2020	343.80	72.9 D	0.00	Sell to Close
12/24/2020	1.00	274.90	12/24/2020	321.98	47.08 D	0.00	Sell to Close
12/24/2020	1.00	263.90	12/24/2020	320.08	56.18 D	0.00	Sell to Close
12/24/2020	2.00	533.81	Various	648.52	114.71 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

5KU68797

(continued)

02/02/2021

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
CALL CRM 02/19/21 260 SALESFORCE.COM INC CUSIP: Symbol: CRM210219C00260000							
12/24/2020	1.00	272.90	12/24/2020	268.25	0.00	4.65	Sell to Close
12/24/2020	1.00	264.90	12/24/2020	351.26	86.36 D	0.00	Sell to Close
12/24/2020	1.00	269.90	12/24/2020	362.62	92.72 D	0.00	Sell to Close
12/24/2020	1.00	264.90	12/24/2020	297.16	32.26 D	0.00	Sell to Close
12/28/2020	1.00	205.90	12/28/2020	343.88	137.98 D	0.00	Sell to Close
12/28/2020	1.00	208.90	12/28/2020	314.42	0.00	-105.52	Sell to Close
12/28/2020	1.00	205.90	12/28/2020	328.24	122.34 D	0.00	Sell to Close
12/28/2020	1.00	208.90	12/28/2020	341.06	132.16 D	0.00	Sell to Close
12/28/2020	1.00	203.90	12/28/2020	315.70	111.8 D	0.00	Sell to Close
12/28/2020	1.00	194.90	12/24/2020	272.52	77.62 D	0.00	Sell to Close
Security Totals:		8,490.11		9,648.21		148.79	
PUT JPM 11/06/20 103 JPMORGAN CHASE & CO CUSIP: Symbol: JPM201106P00103000							
11/03/2020	1.00	187.90	11/03/2020	191.08	3.18 D	0.00	Sell to Close
11/03/2020	1.00	186.90	11/03/2020	170.08	0.00	16.82	Sell to Close
11/03/2020	1.00	182.90	11/03/2020	176.44	0.00	6.46	Sell to Close
11/03/2020	1.00	207.90	11/03/2020	197.08	0.00	10.82	Sell to Close
11/03/2020	1.00	183.90	11/03/2020	172.08	0.00	11.82	Sell to Close
11/03/2020	1.00	190.91	11/03/2020	170.08	0.00	20.83	Sell to Close
11/03/2020	1.00	177.90	11/03/2020	182.26	4.36 D	0.00	Sell to Close
Security Totals:		1,318.31		1,259.10		66.75	
GROUPON INC COMMON STOCK CUSIP: 399473107 Symbol: GRPN							
04/01/2020	103.00	89.57	03/30/2020	97.86	8.29 D	0.00	Sale
04/02/2020	400.00	347.73	Various	368.03	15.91 D	-4.39	Sale
04/07/2020	297.00	270.10	Various	268.39	0.00	1.71	Sale
Security Totals:		707.40		734.28		-2.68	
PUT JPM 11/06/20 104 JPMORGAN CHASE & CO CUSIP: Symbol: JPM201106P00104000							
11/03/2020	1.00	209.90	11/03/2020	216.26	0.00	-6.36	Sell to Close

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APEX CLEARING

Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B*

OMB No. 1545-0715

5KU68797

(continued)

02/02/2021

SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

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

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

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11/03/2020	1.00	212.90	11/03/2020	219.08	6.18 D	0.00	Sell to Close
Security Totals:		422.80		435.34		-6.36	
CALL UPS 10/23/20	170	UNITED PARCEL SVC INC CUSIP: Symbol: UPS201023C00170000					
09/30/2020	1.00	369.90	09/30/2020	350.08	0.00	19.82	Sell to Close
CALL CRM 02/19/21	250	SALESFORCE.COM INC CUSIP: Symbol: CRM210219C00250000					
12/31/2020	1.00	256.90	12/30/2020	281.08	0.00	-24.18	Sell to Close
CALL UPS 10/23/20	175	UNITED PARCEL SVC INC CUSIP: Symbol: UPS201023C00175000					
10/09/2020	1.00	304.90	10/09/2020	288.08	0.00	16.82	Sell to Close
10/15/2020	1.00	216.90	10/15/2020	216.08	0.00	0.82	Sell to Close
Security Totals:		521.80		504.16		17.64	
CALL FB 12/04/20	300	FACEBOOK INC CL A CUSIP: Symbol: FB201204C00300000					
12/03/2020	1.00	24.90	12/03/2020	27.08	0.00	-2.18	Sell to Close
***ELTEK LTD		ORDINARY SHARES CUSIP: M40184208 Symbol: ELTK					
08/27/2020	50.00	277.98	Various	278.40	0.00	-0.42	Sale
HOUSTON AMERICAN ENERGY CORP CUSIP: 44183U100 Symbol: HUSA							
06/04/2020	1,000.00	128.77	04/30/2020	168.80	20.02 D	-20.01	Sale
06/04/2020	1,000.00	130.17	04/30/2020	168.80	0.00	-38.63	Sale
06/05/2020	1,000.00	144.87	04/30/2020	155.40	0.00	-10.53	Sale
06/05/2020	3,000.00	476.62	Various	466.59	0.00	10.03	Sale
Security Totals:		880.43		959.59		-59.14	
CALL WMT 11/20/20	150	WALMART INC CUSIP: Symbol: WMT201120C00150000					
11/20/2020	1.00	107.90	11/20/2020	100.08	0.00	7.82	Sell to Close
11/20/2020	1.00	103.90	11/20/2020	101.08	0.00	2.82	Sell to Close
Security Totals:		211.80		201.16		10.64	
THERAPEUTICSMD INC		COMMON STOCK CUSIP: 88338N107 Symbol: TXMD					
06/08/2020	95.00	139.63	Various	104.05	0.00	35.58	Sale
06/09/2020	201.00	289.41	Various	297.09	0.00	-7.68	Sale
Security Totals:		429.04		401.14		27.90	
CALL NIO 12/04/20	42	NIO INC ADS CUSIP: Symbol: NIO201204C00042000					
12/04/2020	1.00	92.90	12/04/2020	67.08	0.00	25.82	Sell to Close

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APEX CLEARING

Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B*

OMB No. 1545-0715

5KU68797

(continued)

02/02/2021

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 12/04/20 42 NIO INC ADS CUSIP: Symbol: NIO201204C00042000							
12/04/2020	1.00	84.90	12/04/2020	82.08	0.00	2.82	Sell to Close
Security Totals:		177.80		149.16		28.64	
CALL UPS 12/18/20 170 UNITED PARCEL SVC INC CUSIP: Symbol: UPS201218C00170000							
12/16/2020	1.00	139.90	12/16/2020	137.08	0.00	2.82	Sell to Close
12/16/2020	1.00	161.90	12/16/2020	136.08	0.00	25.82	Sell to Close
Security Totals:		301.80		273.16		28.64	
CALL AAPL 11/06/20 108 APPLE INC CUSIP: Symbol: AAPL201106C00108000							
11/02/2020	1.00	265.90	11/02/2020	268.08	0.00	-2.18	Sell to Close
CALL MSFT 12/04/20 215 MICROSOFT CORP CUSIP: Symbol: MSFT201204C00215000							
12/01/2020	1.00	190.90	12/01/2020	192.08	1.18 D	0.00	Sell to Close
12/01/2020	1.00	191.90	12/01/2020	192.08	0.18 D	0.00	Sell to Close
12/01/2020	1.00	173.90	12/01/2020	187.26	13.36 D	0.00	Sell to Close
12/01/2020	1.00	175.90	12/01/2020	196.26	20.36 D	0.00	Sell to Close
12/01/2020	1.00	177.90	12/01/2020	178.26	0.36 D	0.00	Sell to Close
12/01/2020	1.00	183.90	12/01/2020	185.44	1.54 D	0.00	Sell to Close
12/01/2020	1.00	178.90	12/01/2020	165.44	0.00	13.46	Sell to Close
12/01/2020	1.00	185.90	12/01/2020	192.08	6.18 D	0.00	Sell to Close
12/01/2020	1.00	182.90	12/01/2020	181.44	0.00	1.46	Sell to Close
12/02/2020	1.00	160.90	12/02/2020	160.62	0.00	0.28	Sell to Close
Security Totals:		1,803.00		1,830.96		15.20	
CALL CCL 01/20/23 20 CARNIVAL CORP CUSIP: Symbol: CCL230120C00020000							
11/13/2020	1.00	474.89	11/11/2020	545.08	70.19 D	0.00	Sell to Close
11/16/2020	1.00	594.89	11/12/2020	524.27	0.00	70.62	Sell to Close
Security Totals:		1,069.78		1,069.35		70.62	
NET ELEMENT INC COMMON STOCK CUSIP: 64111R300 Symbol: NETE							
06/15/2020	73.00	405.13	Various	434.71	0.00	-29.58	Sale
06/15/2020	40.00	213.98	06/12/2020	235.20	21.22 D	0.00	Sale

APEX CLEARING

Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B*

OMB No. 1545-0715

5KU68797

(continued)

02/02/2021

SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

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

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06/15/2020	27.00	149.83	06/12/2020	170.11	0.00	-20.28	Sale
Security Totals:		768.94		840.02		-49.86	
PUT PTON 09/25/20 90 PELOTON INTERACTIVE INC CL A CUSIP: Symbol: PTON200925P00090000							
09/21/2020	1.00	324.89	09/21/2020	315.09	0.00	9.80	Sell to Close
CALL TSLA 11/13/20 440 TESLA INC CUSIP: Symbol: TSLA201113C00440000							
11/09/2020	1.00	1,024.88	11/09/2020	995.08	0.00	29.80	Sell to Close
11/09/2020	1.00	729.89	11/09/2020	670.08	0.00	59.81	Sell to Close
Security Totals:		1,754.77		1,665.16		89.61	
IBIO INC COMMON STOCK CUSIP: 451033203 Symbol: IBIO							
08/28/2020	100.00	225.98	08/28/2020	223.00	0.00	2.98	Sale
MILLENDO THERAPEUTICS INC COMMON STOCK CUSIP: 60040X103 Symbol: MLND							
04/28/2020	50.00	80.98	04/13/2020	84.00	3.02 D	0.00	Sale
04/29/2020	100.00	169.98	04/13/2020	168.00	0.00	1.98	Sale
04/29/2020	450.00	728.93	04/13/2020	756.00	21.06 D	-6.01	Sale
04/30/2020	100.00	163.98	04/13/2020	168.00	0.00	-4.02	Sale
04/30/2020	100.00	163.48	04/13/2020	168.00	0.00	-4.52	Sale
04/30/2020	200.00	333.97	04/13/2020	336.00	0.00	-2.03	Sale
04/30/2020	100.00	169.98	04/23/2020	151.02	0.00	18.96	Sale
05/01/2020	50.00	88.48	04/23/2020	75.51	0.00	12.97	Sale
05/01/2020	250.00	492.45	Various	385.05	0.00	107.40	Sale
Security Totals:		2,392.23		2,291.58		124.73	
***BANCO SANTANDER S A SPONSORED ADR CUSIP: 05964H105 Symbol: SAN							
03/17/2020	1.00	2.18	03/16/2020	2.52	0.00	-0.34	Sale
CLEANSPARK INC COMMON STOCK CUSIP: 18452B209 Symbol: CLSK							
05/20/2020	50.00	96.98	05/19/2020	98.00	1.02 D	0.00	Sale
05/20/2020	50.00	139.98	05/19/2020	98.00	0.00	41.98	Sale
05/20/2020	50.00	95.98	05/19/2020	98.00	2.02 D	0.00	Sale
05/20/2020	50.00	139.48	05/19/2020	98.00	0.00	41.48	Sale
05/21/2020	85.00	252.43	Various	160.83	0.00	91.60	Sale

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Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B*

OMB No. 1545-0715

5KU68797

(continued)

02/02/2021

SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

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

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CLEANSPARK INC COMMON STOCK CUSIP: 18452B209 Symbol: CLSK							
05/21/2020	15.00	41.08	05/19/2020	28.21	0.00	12.87	Sale
05/21/2020	150.00	463.46	05/21/2020	439.50	0.00	23.96	Sale
05/21/2020	300.00	920.93	Various	577.00	0.00	343.93	Sale
Security Totals:		2,150.32		1,597.54		555.82	
***CENTOGENE N V COMMON SHARES CUSIP: N1976T109 Symbol: CNTG							
07/23/2020	10.00	151.28	07/23/2020	157.50	6.22 D	0.00	Sale
07/23/2020	20.00	301.98	07/23/2020	315.00	13.02 D	0.00	Sale
07/24/2020	20.00	289.18	Various	304.05	15.58 D	0.71	Sale
07/24/2020	15.00	221.98	Various	220.20	2.27 D	4.05	Sale
07/24/2020	26.00	375.68	Various	424.01	48.50 D	0.17	Sale
07/27/2020	16.00	219.18	Various	226.55	7.97 D	0.60	Sale
07/27/2020	20.00	275.18	Various	270.60	4.04 D	8.62	Sale
07/29/2020	10.00	149.88	Various	132.50	0.00	17.38	Sale
07/29/2020	19.00	267.69	07/24/2020	251.18	0.00	16.51	Sale
08/19/2020	1.00	12.86	07/24/2020	12.79	0.00	0.07	Sale
08/24/2020	13.00	165.08	Various	163.40	0.00	1.68	Sale
Security Totals:		2,429.97		2,477.78		49.79	
CALL MRVL 12/31/20 45.50 MARVELL TECHNOLOGY GROUP CUSIP: Symbol: MRVL201231C00045500							
12/29/2020	1.00	83.90	12/29/2020	78.08	0.00	5.82	Sell to Close
CALL NIO 12/04/20 44 NIO INC ADS CUSIP: Symbol: NIO201204C00044000							
12/04/2020	1.00	75.90	12/04/2020	78.08	0.00	-2.18	Sell to Close
CALL NIO 12/04/20 43 NIO INC ADS CUSIP: Symbol: NIO201204C00043000							
12/04/2020	1.00	105.90	12/04/2020	100.08	0.00	5.82	Sell to Close
PUT AAPL 12/11/20 122 APPLE INC CUSIP: Symbol: AAPL201211P00122000							
12/01/2020	1.00	225.90	12/01/2020	226.08	0.18 D	0.00	Sell to Close
12/01/2020	1.00	226.90	12/01/2020	225.26	0.00	1.64	Sell to Close
12/01/2020	1.00	229.90	12/01/2020	224.08	0.00	5.82	Sell to Close
12/01/2020	1.00	231.90	12/01/2020	228.08	0.00	3.82	Sell to Close

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APEX CLEARING

Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B*

OMB No. 1545-0715

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(continued)

02/02/2021

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 AAPL 12/11/20 122 APPLE INC CUSIP: Symbol: AAPL201211P00122000							
12/01/2020	1.00	232.90	12/01/2020	220.08	0.00	12.82	Sell to Close
12/02/2020	1.00	252.90	12/02/2020	241.08	0.00	11.82	Sell to Close
12/02/2020	1.00	260.90	12/02/2020	250.08	0.00	10.82	Sell to Close
12/03/2020	1.00	168.90	12/03/2020	172.08	3.18 D	0.00	Sell to Close
12/04/2020	1.00	178.90	12/03/2020	178.44	0.00	0.46	Sell to Close
12/04/2020	1.00	174.90	12/03/2020	181.26	6.36 D	0.00	Sell to Close
Security Totals:		2,184.00		2,146.52		47.20	
CALL AAPL 12/11/20 122 APPLE INC CUSIP: Symbol: AAPL201211C00122000							
12/04/2020	1.00	188.90	12/04/2020	187.08	0.00	1.82	Sell to Close
12/04/2020	1.00	189.90	12/04/2020	187.08	0.00	2.82	Sell to Close
12/04/2020	1.00	186.90	12/04/2020	186.08	0.00	0.82	Sell to Close
12/04/2020	1.00	192.90	12/04/2020	181.08	0.00	11.82	Sell to Close
12/11/2020	1.00	40.90	12/11/2020	47.08	0.00	-6.18	Sell to Close
Security Totals:		799.50		788.40		11.10	
PUT AAPL 12/11/20 121 APPLE INC CUSIP: Symbol: AAPL201211P00121000							
12/10/2020	1.00	97.90	12/10/2020	107.08	0.00	-9.18	Sell to Close
12/10/2020	1.00	131.90	12/10/2020	115.08	0.00	16.82	Sell to Close
Security Totals:		229.80		222.16		7.64	
PUT AAPL 12/31/20 137 APPLE INC CUSIP: Symbol: AAPL201231P00137000							
12/29/2020	1.00	144.90	12/29/2020	126.08	0.00	18.82	Sell to Close
12/29/2020	1.00	124.90	12/29/2020	117.08	0.00	7.82	Sell to Close
Security Totals:		269.80		243.16		26.64	
***AMARIN CORPORATION PLC SPONSORED ADR CUSIP: 023111206 Symbol: AMRN							
04/01/2020	50.00	237.48	04/01/2020	233.00	0.00	4.48	Sale
04/01/2020	100.00	524.97	04/01/2020	499.00	0.00	25.97	Sale
04/01/2020	120.00	617.97	04/01/2020	598.80	0.00	19.17	Sale
04/02/2020	120.00	670.77	Various	597.60	0.00	73.17	Sale

APEX CLEARING

Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B*

OMB No. 1545-0715

5KU68797

(continued)

02/02/2021

SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

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***AMARIN CORPORATION PLC SPONSORED ADR CUSIP: 023111206 Symbol: AMRN							
09/03/2020	30.00	158.38	09/03/2020	152.06	0.00	6.32	Sale
Security Totals:		2,209.57		2,080.46		129.11	
***VALARIS PLC ORDINARY SHARES CUSIP: G9402V109 Symbol: VAL							
05/01/2020	1,500.00	742.30	Various	660.41	0.00	81.89	Sale
05/05/2020	1,800.00	771.07	Various	759.61	0.00	11.46	Sale
06/08/2020	250.00	494.95	06/08/2020	435.00	0.00	59.95	Sale
06/08/2020	600.00	911.90	Various	770.00	0.00	141.90	Sale
06/08/2020	1,207.00	1,568.92	Various	1,019.82	0.00	549.10	Sale
06/08/2020	1,593.00	1,911.65	Various	1,373.24	0.00	538.41	Sale
06/09/2020	750.00	1,343.08	06/08/2020	1,305.00	0.00	38.08	Sale
06/16/2020	50.00	60.98	06/16/2020	56.50	0.00	4.48	Sale
06/22/2020	400.00	312.82	Various	389.06	65.00 D	-11.24	Sale
07/10/2020	100.00	59.38	Various	109.51	0.00	-50.13	Sale
07/16/2020	150.00	97.47	Various	124.04	0.00	-26.57	Sale
Security Totals:		8,274.52		7,002.19		1,337.33	
***SUPERCOM LTD NEW CUSIP: M87095119 Symbol: SPCB							
04/01/2020	200.00	171.97	04/01/2020	172.00	0.00	-0.03	Sale
04/01/2020	400.00	359.98	Various	422.03	0.00	-62.05	Sale
04/01/2020	1,200.00	1,427.82	Various	1,316.00	78.03 D	189.85	Sale
11/30/2020	100.00	153.98	11/30/2020	148.00	0.00	5.98	Sale
Security Totals:		2,113.75		2,058.03		133.75	
CALL NKLA 10/02/20 23 NIKOLA CORPORATION CUSIP: Symbol: NKLA201002C00023000							
10/01/2020	1.00	164.90	10/01/2020	157.26	0.00	7.64	Sell to Close
10/01/2020	1.00	162.90	10/01/2020	170.08	7.18 D	0.00	Sell to Close
Security Totals:		327.80		327.34		7.64	
CALL COST 01/08/21 375 COSTCO WHOLESALE CORPORATION ADJ CASH DISTRIBUTION CUSIP: Symbol: COST210108C00375000							
12/28/2020	1.00	261.90	12/28/2020	190.08	0.00	71.82	Sell to Close
12/28/2020	1.00	201.90	12/28/2020	199.08	0.00	2.82	Sell to Close

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APEX CLEARING

Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B*

OMB No. 1545-0715

5KU68797

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02/02/2021

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)

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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 COST 01/08/21 375 COSTCO WHOLESALE CORPORATION CUSIP: Symbol: COST210108C00375000							
12/28/2020	1.00	217.90	12/28/2020	194.08	0.00	23.82	Sell to Close
12/28/2020	1.00	218.90	12/28/2020	194.08	0.00	24.82	Sell to Close
Security Totals:		900.60		777.32		123.28	
CALL NKLA 10/02/20 23.50 NIKOLA CORPORATION CUSIP: Symbol: NKLA201002C00023500							
10/01/2020	1.00	114.90	10/01/2020	110.26	0.00	4.64	Sell to Close
10/01/2020	1.00	114.90	10/01/2020	120.08	5.18 D	0.00	Sell to Close
10/01/2020	1.00	124.90	10/01/2020	124.08	0.00	0.82	Sell to Close
Security Totals:		354.70		354.42		5.46	
SHINECO INC COMMON STOCK CUSIP: 824567309 Symbol: TYHT							
09/02/2020	49.00	130.32	09/01/2020	135.24	0.00	-4.92	Sale
09/14/2020	1.00	2.46	09/01/2020	2.76	0.00	-0.30	Sale
Security Totals:		132.78		138.00		-5.22	
PUT ZM 10/09/20 490 ZOOM VIDEO COMMUNICATIONS INC CUSIP: Symbol: ZM201009P00490000							
10/05/2020	1.00	1,789.87	10/05/2020	1,570.08	0.00	219.79	Sell to Close
CALL BABA 11/27/20 290 ALIBABA GROUP HOLDING LIMITED CUSIP: Symbol: BABA201127C00290000							
11/23/2020	1.00	38.90	11/23/2020	47.08	0.00	-8.18	Sell to Close
CALL GOGO 11/20/20 11 GOGO INC CUSIP: Symbol: GOGO201120C00011000							
10/20/2020	1.00	159.90	10/19/2020	160.08	0.00	-0.18	Sell to Close
CALL NKLA 10/02/20 24 NIKOLA CORPORATION CUSIP: Symbol: NKLA201002C00024000							
10/01/2020	2.00	219.82	Various	251.16	31.34 D	0.00	Sell to Close
10/01/2020	2.00	239.82	Various	223.50	0.00	16.32	Sell to Close
10/01/2020	2.00	231.82	Various	234.50	13.34 D	10.66	Sell to Close
10/01/2020	1.00	132.90	10/01/2020	100.08	0.00	32.82	Sell to Close
Security Totals:		824.36		809.24		59.80	
CALL BA 11/20/20 210 BOEING CO CUSIP: Symbol: BA201120C00210000							
11/18/2020	1.00	319.90	11/18/2020	305.08	0.00	14.82	Sell to Close
11/18/2020	1.00	241.90	11/18/2020	232.08	0.00	9.82	Sell to Close
11/18/2020	1.00	240.90	11/18/2020	231.08	0.00	9.82	Sell to Close
Security Totals:		802.70		768.24		34.46	

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APEX CLEARING

Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B*

OMB No. 1545-0715

5KU68797

(continued)

02/02/2021

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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PUT SPY 10/09/20 340 STANDARD & POORS DEPOSITORY CUSIP: Symbol: SPY201009P00340000							
10/05/2020	1.00	334.90	10/05/2020	331.08	0.00	3.82	Sell to Close
10/06/2020	3.00	701.73	10/06/2020	651.24	0.00	50.49	Sell to Close
10/06/2020	2.00	543.81	Various	408.33	0.00	135.48	Sell to Close
10/06/2020	4.00	995.64	10/06/2020	868.33	0.00	127.31	Sell to Close
10/06/2020	4.00	859.65	Various	878.32	6.17 D	-12.50	Sell to Close
10/07/2020	1.00	183.90	10/07/2020	182.08	0.00	1.82	Sell to Close
Security Totals:		3,619.63		3,319.38		306.42	
CALL SQQQ 11/06/20 23 PROSHARES ULTRAPRO SHORT QQQ CUSIP: Symbol: SQQQ201106C00023000							
11/03/2020	1.00	165.90	11/03/2020	162.08	0.00	3.82	Sell to Close
11/03/2020	2.00	289.82	Various	308.16	18.34 D	0.00	Sell to Close
11/03/2020	2.00	291.82	Various	302.50	10.68 D	0.00	Sell to Close
11/03/2020	3.00	437.74	Various	418.92	0.00	18.82	Sell to Close
Security Totals:		1,185.28		1,191.66		22.64	
DIFFUSION PHARMACEUTICALS INC COMMON STOCK CUSIP: 253748305 Symbol: DFFN							
04/01/2020	200.00	113.01	04/01/2020	101.60	0.00	11.41	Sale
04/01/2020	500.00	279.98	04/01/2020	254.00	0.00	25.98	Sale
04/01/2020	300.00	172.42	04/01/2020	152.40	0.00	20.02	Sale
05/19/2020	300.00	353.95	05/18/2020	309.00	0.00	44.95	Sale
05/26/2020	300.00	424.33	Various	404.00	0.00	20.33	Sale
05/28/2020	60.00	76.78	05/26/2020	76.20	0.00	0.58	Sale
05/28/2020	10.00	12.58	05/26/2020	12.70	0.12 D	0.00	Sale
06/05/2020	150.00	176.97	Various	192.44	15.47 D	0.00	Sale
06/05/2020	300.00	341.95	Various	373.02	31.07 D	0.00	Sale
06/15/2020	100.00	90.99	Various	134.94	43.95 D	0.00	Sale
06/15/2020	100.00	93.46	Various	129.35	13.82 D	-22.07	Sale
06/15/2020	150.00	140.58	Various	181.88	0.00	-41.30	Sale
06/15/2020	100.00	94.99	Various	128.02	0.00	-33.03	Sale
06/15/2020	100.00	88.99	Various	142.35	53.36 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

5KU68797

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02/02/2021

SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

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DIFFUSION PHARMACEUTICALS INC COMMON STOCK CUSIP: 253748305 Symbol: DFFN							
06/15/2020	500.00	432.43	Various	567.40	134.97 D	0.00	Sale
06/17/2020	180.00	180.87	Various	255.08	0.00	-74.21	Sale
Security Totals:		3,074.28		3,414.38		-47.34	
CALL FB 10/16/20 265 FACEBOOK INC CL A CUSIP: Symbol: FB201016C00265000							
10/09/2020	1.00	409.90	10/09/2020	405.08	0.00	4.82	Sell to Close
CALL AAPL 11/06/20 109 APPLE INC CUSIP: Symbol: AAPL201106C00109000							
10/30/2020	1.00	281.90	10/30/2020	276.08	0.00	5.82	Sell to Close
10/30/2020	1.00	268.90	10/30/2020	266.08	0.00	2.82	Sell to Close
10/30/2020	1.00	276.90	10/30/2020	272.08	0.00	4.82	Sell to Close
11/02/2020	1.00	298.90	11/02/2020	310.08	11.18 D	0.00	Sell to Close
11/02/2020	1.00	315.90	11/02/2020	310.08	0.00	5.82	Sell to Close
11/03/2020	1.00	230.90	11/03/2020	236.26	5.36 D	0.00	Sell to Close
11/03/2020	1.00	234.90	11/03/2020	239.44	4.54 D	0.00	Sell to Close
11/03/2020	1.00	244.90	11/03/2020	237.62	0.00	7.28	Sell to Close
Security Totals:		2,153.20		2,147.72		26.56	
CALL AMZN 11/27/20 3150 AMAZON.COM INC CUSIP: Symbol: AMZN201127C03150000							
11/24/2020	1.00	1,429.87	11/24/2020	1,440.08	0.00	-10.21	Sell to Close
CALL BABA 11/27/20 280 ALIBABA GROUP HOLDING LIMITED CUSIP: Symbol: BABA201127C00280000							
11/23/2020	1.00	162.90	11/23/2020	163.08	0.00	-0.18	Sell to Close
11/23/2020	1.00	184.90	11/23/2020	177.08	0.00	7.82	Sell to Close
11/23/2020	1.00	188.90	11/23/2020	166.08	0.00	22.82	Sell to Close
Security Totals:		536.70		506.24		30.46	
CANCER GENETICS INC COMMON STOCK CUSIP: 13739U203 Symbol: CGIX							
08/24/2020	30.00	220.78	08/24/2020	229.34	0.00	-8.56	Sale
08/24/2020	40.00	328.78	08/24/2020	311.60	0.00	17.18	Sale
Security Totals:		549.56		540.94		8.62	
CALL AAPL 12/04/20 122 APPLE INC CUSIP: Symbol: AAPL201204C00122000							
12/03/2020	1.00	110.90	12/03/2020	104.08	0.00	6.82	Sell to Close

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2020 Form 1099-B*

OMB No. 1545-0715

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02/02/2021

SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

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CALL AAPL 12/04/20 122 APPLE INC CUSIP: Symbol: AAPL201204C00122000							
12/04/2020	1.00	56.90	12/04/2020	58.26	0.00	-1.36	Sell to Close
12/04/2020	1.00	48.90	12/04/2020	55.08	6.18 D	0.00	Sell to Close
12/04/2020	1.00	57.90	12/04/2020	50.08	0.00	7.82	Sell to Close
Security Totals:		274.60		267.50		13.28	
EYEGATE PHARMACEUTICALS INC COMMON STOCK CUSIP: 30233M503 Symbol: EYEG							
08/12/2020	32.00	232.62	08/12/2020	217.60	0.00	15.02	Sale
08/12/2020	68.00	461.69	08/12/2020	462.40	0.00	-0.71	Sale
Security Totals:		694.31		680.00		14.31	
ADT INC COMMON STOCK CUSIP: 00090Q103 Symbol: ADT							
08/03/2020	79.00	1,093.48	08/03/2020	1,130.49	25.76 D	-11.25	Sale
08/04/2020	21.00	279.28	08/03/2020	300.51	0.00	-21.23	Sale
08/05/2020	10.00	122.98	08/04/2020	131.58	0.00	-8.60	Sale
08/05/2020	10.00	129.78	08/04/2020	132.56	0.00	-2.78	Sale
08/05/2020	15.00	184.78	08/04/2020	197.38	0.00	-12.60	Sale
08/05/2020	20.00	258.18	08/04/2020	263.47	0.00	-5.29	Sale
Security Totals:		2,068.48		2,155.99		-61.75	
CALL AAL 12/31/20 18 AMERICAN AIRLINES GROUP INC CUSIP: Symbol: AAL201231C00018000							
12/15/2020	1.00	65.90	12/15/2020	62.08	0.00	3.82	Sell to Close
12/15/2020	1.00	64.90	12/15/2020	57.08	0.00	7.82	Sell to Close
Security Totals:		130.80		119.16		11.64	
CAMBER ENERGY INC COMMON STOCK CUSIP: 13200M508 Symbol: CEI							
07/10/2020	50.00	51.98	07/10/2020	53.95	1.97 D	0.00	Sale
07/10/2020	1,000.00	1,039.85	Various	1,063.26	23.48 D	0.07	Sale
07/13/2020	200.00	197.97	Various	214.57	0.00	-16.60	Sale
07/13/2020	100.00	100.48	Various	107.46	6.98 D	0.00	Sale
07/13/2020	232.00	231.26	07/10/2020	243.50	0.00	-12.24	Sale
07/13/2020	250.00	249.96	Various	267.51	10.55 D	-7.00	Sale
07/14/2020	220.00	207.68	Various	237.71	0.00	-30.03	Sale

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APEX CLEARING

Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B*

OMB No. 1545-0715

5KU68797

(continued)

02/02/2021

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
CAMBER ENERGY INC COMMON STOCK CUSIP: 13200M508 Symbol: CEI							
07/15/2020	1.00	0.94	07/10/2020	1.10	0.00	-0.16	Sale
07/15/2020	97.00	96.50	07/10/2020	106.73	0.00	-10.23	Sale
10/08/2020	1.00	1.19	10/08/2020	1.10	0.00	0.09	Sale
10/08/2020	484.00	537.16	Various	551.92	9.36 D	-5.40	Sale
10/08/2020	215.00	262.26	Various	245.34	0.00	16.92	Sale
Security Totals:		2,977.23		3,094.15		-64.58	
CUMULUS MEDIA INC CLASS A COMMON STOCK CUSIP: 231082801 Symbol: CMLS							
06/25/2020	100.00	589.97	06/25/2020	590.00	0.00	-0.03	Sale
PUT SPY 09/28/20 333 STANDARD & POORS DEPOSITORY CUSIP: Symbol: SPY200928P00333000							
09/28/2020	1.00	63.90	09/28/2020	83.08	0.00	-19.18	Sell to Close
CALL AAL 12/31/20 16 AMERICAN AIRLINES GROUP INC CUSIP: Symbol: AAL201231C00016000							
12/21/2020	1.00	76.90	12/21/2020	72.08	0.00	4.82	Sell to Close
CALL PYPL 12/04/20 195 PAYPAL HOLDINGS INC CUSIP: Symbol: PYPL201204C00195000							
11/19/2020	1.00	354.90	11/19/2020	350.08	0.00	4.82	Sell to Close
***THE9 LIMITED AMERICAN DPSTRY SHRS RPRSNTNG THREE CL A ORDINARY SHARES CUSIP: 88337K203 Symbol: NCTY							
06/24/2020	100.00	73.99	06/23/2020	71.50	0.00	2.49	Sale
07/10/2020	50.00	46.48	07/10/2020	42.25	0.00	4.23	Sale
07/10/2020	200.00	191.97	07/10/2020	169.00	0.00	22.97	Sale
07/13/2020	344.00	298.70	Various	289.30	0.00	9.40	Sale
07/13/2020	6.00	5.20	07/10/2020	5.04	0.00	0.16	Sale
07/14/2020	300.00	235.45	07/13/2020	237.63	0.00	-2.18	Sale
07/14/2020	284.00	226.26	07/13/2020	224.96	0.00	1.30	Sale
07/15/2020	16.00	12.30	07/13/2020	12.67	0.00	-0.37	Sale
Security Totals:		1,090.35		1,052.35		38.00	
PUT NIO 11/27/20 54 NIO INC ADS CUSIP: Symbol: NIO201127P00054000							
11/25/2020	1.00	131.90	11/25/2020	130.08	0.00	1.82	Sell to Close
11/27/2020	1.00	49.90	11/27/2020	48.08	0.00	1.82	Sell to Close
Security Totals:		181.80		178.16		3.64	

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SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

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PUT PTON 10/02/20 93 PELOTON INTERACTIVE INC CL A CUSIP: Symbol: PTON201002P00093000							
09/24/2020	1.00	454.88	09/24/2020	415.09	0.00	39.79	Sell to Close
09/25/2020	1.00	389.89	09/25/2020	425.09	35.2 D	0.00	Sell to Close
09/25/2020	2.00	479.79	Various	905.76	0.00	-425.97	Sell to Close
09/25/2020	1.00	235.89	09/25/2020	386.28	0.00	-150.39	Sell to Close
09/25/2020	3.00	695.70	Various	1,075.47	379.77 D	0.00	Sell to Close
Security Totals:		2,256.15		3,207.69		-536.57	
PUT AAPL 12/04/20 118 APPLE INC CUSIP: Symbol: AAPL201204P00118000							
11/30/2020	1.00	102.90	11/30/2020	114.08	11.18 D	0.00	Sell to Close
11/30/2020	1.00	101.90	11/30/2020	118.26	16.36 D	0.00	Sell to Close
11/30/2020	1.00	99.90	11/30/2020	121.44	0.00	-21.54	Sell to Close
11/30/2020	1.00	128.90	11/30/2020	128.08	0.00	0.82	Sell to Close
Security Totals:		433.60		481.86		-20.72	
PUT ZM 10/02/20 450 ZOOM VIDEO COMMUNICATIONS INC CUSIP: Symbol: ZM201002P00450000							
09/25/2020	1.00	729.88	09/25/2020	849.52	0.00	-119.64	Sell to Close
09/25/2020	1.00	909.87	09/25/2020	950.09	40.22 D	0.00	Sell to Close
09/25/2020	1.00	700.88	09/25/2020	830.31	129.43 D	0.00	Sell to Close
Security Totals:		2,340.63		2,629.92		-119.64	
CALL BABA 12/04/20 267.50 ALIBABA GROUP HOLDING LIMITED CUSIP: Symbol: BABA201204C00267500							
12/04/2020	1.00	80.90	12/04/2020	88.08	7.18 D	0.00	Sell to Close
12/04/2020	1.00	88.90	12/04/2020	81.26	0.00	7.64	Sell to Close
12/04/2020	1.00	86.90	12/04/2020	84.08	0.00	2.82	Sell to Close
Security Totals:		256.70		253.42		10.46	
PUT GOOG 11/06/20 1750 ALPHABET INC CLASS C CUSIP: Symbol: GOOG201106P01750000							
11/06/2020	1.00	469.89	11/06/2020	460.08	0.00	9.81	Sell to Close
PUT AAPL 12/04/20 119 APPLE INC CUSIP: Symbol: AAPL201204P00119000							
11/30/2020	1.00	139.90	11/30/2020	138.08	0.00	1.82	Sell to Close
11/30/2020	1.00	125.90	11/30/2020	129.08	0.00	-3.18	Sell to Close
Security Totals:		265.80		267.16		-1.36	

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SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

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PUT ZM 10/02/20 480 ZOOM VIDEO COMMUNICATIONS INC CUSIP: Symbol: ZM201002P00480000							
09/23/2020	1.00	1,949.85	09/22/2020	1,804.32	0.00	145.53	Sell to Close
09/23/2020	1.00	1,069.87	09/23/2020	1,110.09	0.00	-40.22	Sell to Close
09/23/2020	1.00	1,019.87	09/23/2020	1,110.09	0.00	-90.22	Sell to Close
09/23/2020	1.00	1,785.86	09/22/2020	1,810.09	24.23 D	0.00	Sell to Close
Security Totals:		5,825.45		5,834.59		15.09	
CALL AAPL 11/06/20 110 APPLE INC CUSIP: Symbol: AAPL201106C00110000							
10/30/2020	1.00	219.90	10/30/2020	234.08	14.18 D	0.00	Sell to Close
11/03/2020	1.00	250.90	11/03/2020	241.62	0.00	9.28	Sell to Close
11/03/2020	1.00	249.90	11/03/2020	253.44	3.54 D	0.00	Sell to Close
11/03/2020	1.00	247.90	11/03/2020	258.26	10.36 D	0.00	Sell to Close
Security Totals:		968.60		987.40		9.28	
SENMIAO TECHNOLOGY LIMITED COMMON STOCK CUSIP: 817225105 Symbol: AIHS							
07/23/2020	100.00	86.00	07/23/2020	82.78	0.00	3.22	Sale
07/23/2020	150.00	128.37	07/23/2020	124.17	0.00	4.20	Sale
07/23/2020	178.00	156.79	07/23/2020	147.35	0.00	9.44	Sale
07/23/2020	163.00	140.31	07/23/2020	134.94	0.00	5.37	Sale
07/23/2020	209.00	180.76	07/23/2020	173.02	0.00	7.74	Sale
08/03/2020	800.00	807.88	Various	788.00	0.00	19.88	Sale
Security Totals:		1,500.11		1,450.26		49.85	
CALL MSFT 12/31/20 220 MICROSOFT CORP CUSIP: Symbol: MSFT201231C00220000							
12/09/2020	1.00	232.90	12/09/2020	232.08	0.00	0.82	Sell to Close
12/09/2020	1.00	225.90	12/09/2020	216.08	0.00	9.82	Sell to Close
12/10/2020	1.00	199.90	12/10/2020	268.34	68.44 D	0.00	Sell to Close
12/10/2020	1.00	199.90	12/10/2020	267.52	67.62 D	0.00	Sell to Close
12/10/2020	1.00	189.90	12/10/2020	227.98	38.08 D	0.00	Sell to Close
12/10/2020	1.00	232.90	12/10/2020	256.08	23.18 D	0.00	Sell to Close
12/10/2020	1.00	214.90	12/10/2020	231.62	16.72 D	0.00	Sell to Close
12/10/2020	1.00	236.90	12/10/2020	263.26	26.36 D	0.00	Sell to Close

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SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

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CALL MSFT 12/31/20	220	MICROSOFT CORP CUSIP: Symbol: MSFT201231C00220000					
12/10/2020	1.00	187.90	12/10/2020	257.70	69.8 D	0.00	Sell to Close
12/10/2020	1.00	193.90	12/10/2020	260.88	66.98 D	0.00	Sell to Close
12/10/2020	1.00	231.90	12/10/2020	247.80	15.9 D	0.00	Sell to Close
12/10/2020	1.00	186.90	12/10/2020	244.24	57.34 D	0.00	Sell to Close
12/10/2020	1.00	197.90	12/10/2020	256.16	58.26 D	0.00	Sell to Close
12/10/2020	1.00	195.90	12/10/2020	191.08	0.00	4.82	Sell to Close
12/10/2020	1.00	242.90	12/10/2020	258.44	15.54 D	0.00	Sell to Close
12/10/2020	1.00	199.90	12/10/2020	258.06	58.16 D	0.00	Sell to Close
12/11/2020	1.00	173.90	12/11/2020	210.04	36.14 D	0.00	Sell to Close
12/11/2020	1.00	174.90	12/11/2020	211.40	36.5 D	0.00	Sell to Close
12/11/2020	1.00	180.90	12/11/2020	206.22	25.32 D	0.00	Sell to Close
12/11/2020	1.00	189.90	12/11/2020	201.58	11.68 D	0.00	Sell to Close
12/11/2020	1.00	189.90	12/11/2020	252.14	62.24 D	0.00	Sell to Close
12/11/2020	1.00	176.90	12/11/2020	242.32	65.42 D	0.00	Sell to Close
12/11/2020	1.00	175.90	12/11/2020	214.86	38.96 D	0.00	Sell to Close
12/11/2020	1.00	163.90	12/10/2020	278.78	114.88 D	0.00	Sell to Close
12/11/2020	1.00	169.90	12/10/2020	247.42	77.52 D	0.00	Sell to Close
12/11/2020	1.00	171.90	12/11/2020	261.96	90.06 D	0.00	Sell to Close
12/11/2020	1.00	198.90	12/11/2020	227.68	28.78 D	0.00	Sell to Close
12/11/2020	1.00	153.90	12/10/2020	258.60	104.7 D	0.00	Sell to Close
12/11/2020	1.00	203.90	12/11/2020	241.50	37.6 D	0.00	Sell to Close
12/14/2020	1.00	224.90	12/14/2020	224.08	0.00	0.82	Sell to Close
12/14/2020	1.00	223.90	12/14/2020	235.76	11.86 D	0.00	Sell to Close
12/14/2020	1.00	225.90	12/14/2020	224.08	0.00	1.82	Sell to Close
12/14/2020	1.00	222.90	12/14/2020	237.94	15.04 D	0.00	Sell to Close
12/14/2020	1.00	231.90	12/14/2020	224.08	0.00	7.82	Sell to Close
12/14/2020	1.00	206.90	12/14/2020	224.12	17.22 D	0.00	Sell to Close

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CALL MSFT 12/31/20 220 MICROSOFT CORP CUSIP: Symbol: MSFT201231C00220000							
12/15/2020	1.00	153.90	12/15/2020	205.48	51.58 D	0.00	Sell to Close
12/15/2020	1.00	162.90	12/15/2020	203.66	40.76 D	0.00	Sell to Close
12/15/2020	1.00	165.90	12/15/2020	182.02	16.12 D	0.00	Sell to Close
12/15/2020	1.00	152.90	12/15/2020	210.30	57.4 D	0.00	Sell to Close
12/15/2020	1.00	174.90	12/15/2020	194.84	19.94 D	0.00	Sell to Close
12/16/2020	1.00	215.90	12/15/2020	191.20	0.00	24.70	Sell to Close
12/18/2020	1.00	239.90	12/18/2020	305.44	65.54 D	0.00	Sell to Close
12/18/2020	1.00	261.90	12/18/2020	308.62	0.00	-46.72	Sell to Close
12/18/2020	1.00	278.90	12/18/2020	285.08	6.18 D	0.00	Sell to Close
12/18/2020	1.00	266.90	12/18/2020	290.26	23.36 D	0.00	Sell to Close
Security Totals:		9,105.50		10,738.78		3.90	
CALL ZM 10/02/20 500 ZOOM VIDEO COMMUNICATIONS INC CUSIP: Symbol: ZM201002C00500000							
10/02/2020	1.00	429.90	10/02/2020	490.08	0.00	-60.18	Sell to Close
PUT MSFT 12/31/20 222.50 MICROSOFT CORP CUSIP: Symbol: MSFT201231P00222500							
12/28/2020	1.00	62.90	12/28/2020	153.11	90.21 D	0.00	Sell to Close
12/28/2020	1.00	70.90	12/28/2020	158.47	0.00	-87.57	Sell to Close
12/28/2020	1.00	73.90	12/28/2020	184.93	111.03 D	0.00	Sell to Close
12/28/2020	1.00	70.90	12/28/2020	167.75	96.85 D	0.00	Sell to Close
12/28/2020	1.00	75.90	12/28/2020	165.93	90.03 D	0.00	Sell to Close
12/28/2020	1.00	65.90	12/28/2020	153.29	0.00	-87.39	Sell to Close
12/28/2020	1.00	71.90	12/28/2020	149.75	77.85 D	0.00	Sell to Close
12/28/2020	1.00	60.90	12/28/2020	156.29	95.39 D	0.00	Sell to Close
12/28/2020	1.00	81.90	12/28/2020	174.11	92.21 D	0.00	Sell to Close
12/28/2020	2.00	130.82	Various	233.16	102.34 D	0.00	Sell to Close
Security Totals:		765.92		1,696.79		-174.96	
CALL MSFT 12/31/20 222.50 MICROSOFT CORP CUSIP: Symbol: MSFT201231C00222500							
12/21/2020	1.00	285.90	12/21/2020	280.08	0.00	5.82	Sell to Close
12/24/2020	1.00	186.90	12/24/2020	178.08	0.00	8.82	Sell to Close

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CALL MSFT 12/31/20 222.50 MICROSOFT CORP CUSIP: Symbol: MSFT201231C00222500							
12/24/2020	1.00	206.90	12/24/2020	201.08	0.00	5.82	Sell to Close
Security Totals:		679.70		659.24		20.46	
PUT MSFT 12/31/20 225 MICROSOFT CORP CUSIP: Symbol: MSFT201231P00225000							
12/28/2020	1.00	149.90	12/28/2020	209.08	59.18 D	0.00	Sell to Close
12/28/2020	1.00	152.90	12/28/2020	209.26	56.36 D	0.00	Sell to Close
12/28/2020	1.00	168.90	12/28/2020	196.44	27.54 D	0.00	Sell to Close
12/29/2020	1.00	124.90	12/29/2020	117.62	0.00	7.28	Sell to Close
12/29/2020	1.00	98.90	12/29/2020	96.08	0.00	2.82	Sell to Close
Security Totals:		695.50		828.48		10.10	
CALL MSFT 12/31/20 225 MICROSOFT CORP CUSIP: Symbol: MSFT201231C00225000							
12/24/2020	1.00	149.90	12/23/2020	153.08	3.18 D	0.00	Sell to Close
12/24/2020	1.00	149.90	12/23/2020	155.26	5.36 D	0.00	Sell to Close
12/24/2020	1.00	107.90	12/24/2020	96.44	0.00	11.46	Sell to Close
Security Totals:		407.70		404.78		11.46	
XPRESSPA GROUP INC COMMON STOCK CUSIP: 98420U703 Symbol: XSPA							
07/10/2020	58.00	223.86	Various	212.86	0.00	11.00	Sale
07/10/2020	1.00	3.75	07/08/2020	3.67	0.00	0.08	Sale
07/13/2020	33.00	122.74	07/13/2020	119.46	0.00	3.28	Sale
07/13/2020	1.00	3.70	07/08/2020	3.67	0.00	0.03	Sale
07/15/2020	18.00	52.72	07/15/2020	60.04	7.32 D	0.00	Sale
07/15/2020	51.00	149.16	Various	173.09	24.53 D	0.60	Sale
07/15/2020	57.00	163.29	Various	204.42	41.13 D	0.00	Sale
07/15/2020	80.00	220.38	Various	280.69	60.31 D	0.00	Sale
07/20/2020	1.00	2.88	07/15/2020	3.34	0.46 D	0.00	Sale
07/24/2020	44.00	139.46	Various	160.50	0.00	-21.04	Sale
07/24/2020	75.00	248.98	Various	309.30	0.00	-60.32	Sale
07/24/2020	500.00	1,624.90	Various	1,763.46	63.02 D	-75.54	Sale

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APEX CLEARING

Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B*

OMB No. 1545-0715

5KU68797

(continued)

02/02/2021

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
XPRESSPA GROUP INC COMMON STOCK CUSIP: 98420U703 Symbol: XSPA							
07/27/2020	1.00	3.18	07/24/2020	3.62	0.00	-0.44	Sale
Security Totals:		2,959.00		3,298.12		-142.35	
LM FUNDING AMERICA INC COMMON STOCK CUSIP: 502074305 Symbol: LMFA							
06/17/2020	200.00	671.96	06/17/2020	551.00	0.00	120.96	Sale
06/17/2020	1,290.00	2,644.29	Various	3,759.40	35.2 D	-1,079.91	Sale
06/17/2020	100.00	371.98	06/17/2020	352.00	0.00	19.98	Sale
07/07/2020	20.00	37.28	07/06/2020	75.80	0.00	-38.52	Sale
08/14/2020	76.00	85.12	08/13/2020	78.28	0.00	6.84	Sale
08/14/2020	100.00	81.98	Various	97.25	15.27 D	0.00	Sale
08/14/2020	102.00	115.24	08/13/2020	105.06	0.00	10.18	Sale
08/14/2020	122.00	139.06	08/13/2020	125.66	0.00	13.40	Sale
08/14/2020	250.00	199.71	Various	276.28	76.57 D	0.00	Sale
08/14/2020	300.00	245.95	Various	309.55	63.60 D	0.00	Sale
08/14/2020	500.00	393.78	Various	495.13	101.35 D	0.00	Sale
08/18/2020	600.00	470.91	Various	547.23	80.66 D	4.34	Sale
08/18/2020	97.00	76.72	Various	83.13	6.41 D	0.00	Sale
08/18/2020	53.00	42.32	Various	44.12	1.80 D	0.00	Sale
08/24/2020	392.00	291.94	Various	335.31	43.37 D	0.00	Sale
08/24/2020	8.00	5.94	08/19/2020	7.84	1.9 D	0.00	Sale
08/25/2020	790.00	643.74	Various	707.95	64.21 D	0.00	Sale
08/27/2020	345.00	238.00	Various	262.11	0.00	-24.11	Sale
08/27/2020	665.00	451.51	Various	575.35	2.27 D	-121.57	Sale
Security Totals:		7,207.43		8,788.45		-1,088.41	
APPLIED DNA SCIENCES INC COMMON STOCK CUSIP: 03815U300 Symbol: APDN							
03/24/2020	30.00	134.98	03/23/2020	120.00	0.00	14.98	Sale
03/26/2020	20.00	82.38	Various	79.10	0.00	3.28	Sale
07/17/2020	70.00	906.46	07/17/2020	903.00	0.00	3.46	Sale
07/17/2020	30.00	390.35	07/17/2020	387.00	0.00	3.35	Sale

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SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

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

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

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Box 12: Basis Reported to the IRS

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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
APPLIED DNA SCIENCES INC COMMON STOCK CUSIP: 03815U300 Symbol: APDN							
08/07/2020	10.00	98.78	08/06/2020	93.30	0.00	5.48	Sale
Security Totals:		1,612.95		1,582.40		30.55	
***TOP SHIPS INC COMMON STOCK CUSIP: Y8897Y164 Symbol: TOPS							
03/30/2020	100.00	43.97	03/27/2020	21.50	0.00	22.47	Sale
03/30/2020	1,000.00	484.86	03/30/2020	470.10	0.00	14.76	Sale
03/31/2020	5,000.00	1,632.36	Various	1,627.30	207.26 D	212.32	Sale
04/02/2020	1,000.00	218.87	04/02/2020	289.16	70.29 D	0.00	Sale
04/02/2020	3,000.00	689.62	Various	837.86	167.91 D	19.67	Sale
04/07/2020	6,000.00	2,064.44	Various	2,219.44	155.00 D	0.00	Sale
04/14/2020	2,000.00	554.94	Various	699.50	144.56 D	0.00	Sale
04/20/2020	1,000.00	279.87	04/20/2020	240.83	0.00	39.04	Sale
04/20/2020	2,000.00	597.74	Various	479.45	0.00	118.29	Sale
04/21/2020	3,500.00	1,041.50	Various	1,187.06	151.34 D	5.78	Sale
04/21/2020	2,000.00	601.54	Various	662.46	61.54 D	0.62	Sale
04/22/2020	2,000.00	519.54	Various	669.30	149.76 D	0.00	Sale
04/24/2020	3,000.00	811.64	Various	975.20	178.31 D	14.75	Sale
04/28/2020	497.00	118.87	04/22/2020	172.74	53.87 D	0.00	Sale
04/28/2020	1,000.00	236.07	Various	361.48	125.41 D	0.00	Sale
04/29/2020	500.00	119.83	Various	189.34	69.51 D	0.00	Sale
05/08/2020	1,000.00	224.87	Various	356.73	131.86 D	0.00	Sale
05/08/2020	1,000.00	228.87	Various	269.38	40.51 D	0.00	Sale
05/11/2020	500.00	117.43	Various	177.87	60.44 D	0.00	Sale
05/11/2020	1,000.00	233.07	Various	346.14	113.07 D	0.00	Sale
05/11/2020	1,000.00	235.87	Various	307.49	71.62 D	0.00	Sale
05/14/2020	1,000.00	191.97	Various	307.74	115.77 D	0.00	Sale
05/14/2020	3,000.00	575.87	Various	884.12	308.25 D	0.00	Sale
05/18/2020	803.00	123.87	Various	228.74	18.34 D	-86.53	Sale
06/01/2020	2,000.00	275.55	Various	495.37	219.82 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

5KU68797

(continued)

02/02/2021

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
***TOP SHIPS INC COMMON STOCK CUSIP: Y8897Y164 Symbol: TOPS							
06/04/2020	300.00	54.55	Various	65.31	10.76 D	0.00	Sale
06/23/2020	1,000.00	168.07	Various	281.45	113.38 D	0.00	Sale
06/24/2020	516.00	87.65	Various	118.56	0.00	-30.91	Sale
06/24/2020	1,084.00	184.14	Various	263.54	20.89 D	-58.51	Sale
06/24/2020	400.00	70.66	Various	125.94	55.28 D	0.00	Sale
07/07/2020	1,000.00	134.67	Various	246.44	0.00	-111.77	Sale
Security Totals:		12,922.77		15,577.54		159.98	
***LIQUID MEDIA GROUP LTD COM NEW CUSIP: 53634Q204 Symbol: YVR							
06/01/2020	90.00	256.48	Various	137.10	0.00	119.38	Sale
07/23/2020	97.00	234.74	07/23/2020	212.43	0.00	22.31	Sale
07/23/2020	293.00	670.92	07/23/2020	641.67	0.00	29.25	Sale
07/23/2020	249.00	580.12	07/23/2020	545.31	0.00	34.81	Sale
07/23/2020	361.00	815.80	07/23/2020	790.59	0.00	25.21	Sale
Security Totals:		2,558.06		2,327.10		230.96	
PUT AAPL 11/06/20 110 APPLE INC CUSIP: Symbol: AAPL201106P00110000							
11/03/2020	1.00	214.90	11/03/2020	217.08	0.00	-2.18	Sell to Close
PUT ZM 10/02/20 500 ZOOM VIDEO COMMUNICATIONS INC CUSIP: Symbol: ZM201002P005000000							
09/23/2020	1.00	1,769.86	09/23/2020	1,770.09	0.00	-0.23	Sell to Close
CALL GOGO 10/16/20 11 GOGO INC CUSIP: Symbol: GOGO201016C00011000							
10/09/2020	1.00	54.90	10/09/2020	50.08	0.00	4.82	Sell to Close
10/09/2020	1.00	54.90	10/09/2020	50.08	0.00	4.82	Sell to Close
10/09/2020	1.00	49.90	10/09/2020	50.08	0.18 D	0.00	Sell to Close
10/13/2020	1.00	20.90	10/12/2020	25.26	4.36 D	0.00	Sell to Close
10/13/2020	2.00	39.82	Various	39.52	0.00	0.30	Sell to Close
Security Totals:		220.42		215.02		9.94	
***LIANLUO SMART LIMITED CLASS A COMMON STOCK CUSIP: G5478K100 Symbol: LLIT							
08/28/2020	500.00	210.53	08/27/2020	222.50	0.00	-11.97	Sale
BIONANO GENOMICS INC COMMON STOCK CUSIP: 09075F107 Symbol: BNGO							
04/07/2020	1,000.00	279.87	04/06/2020	276.20	0.00	3.67	Sale

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SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

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

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

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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
BIONANO GENOMICS INC COMMON STOCK CUSIP: 09075F107 Symbol: BNGO							
04/08/2020	2,500.00	764.43	Various	690.45	0.00	73.98	Sale
04/08/2020	2,500.00	794.68	04/06/2020	690.25	0.00	104.43	Sale
04/22/2020	1,000.00	399.67	04/22/2020	385.00	0.00	14.67	Sale
04/28/2020	870.00	373.90	04/22/2020	313.37	0.00	60.53	Sale
05/07/2020	200.00	71.85	04/22/2020	72.04	0.19 D	0.00	Sale
05/08/2020	50.00	19.13	04/22/2020	18.01	0.00	1.12	Sale
05/08/2020	400.00	153.14	Various	144.46	0.00	8.68	Sale
05/11/2020	1,230.00	469.69	Various	459.46	0.00	10.23	Sale
08/05/2020	200.00	146.17	07/31/2020	156.20	10.03 D	0.00	Sale
08/07/2020	38.00	35.44	08/07/2020	32.33	0.00	3.11	Sale
08/07/2020	305.00	262.28	08/07/2020	268.40	0.00	-6.12	Sale
08/07/2020	1.00	0.86	08/07/2020	0.85	0.00	0.01	Sale
08/07/2020	461.00	401.56	Various	402.25	5.98 D	5.29	Sale
08/07/2020	500.00	432.93	Various	445.98	0.00	-13.05	Sale
08/07/2020	194.00	166.42	08/07/2020	170.72	0.00	-4.30	Sale
08/10/2020	1.00	0.81	08/07/2020	0.88	0.00	-0.07	Sale
Security Totals:		4,772.83		4,526.85		262.18	

CALL GM 01/15/21 42 GENERAL MOTORS COMPANY CUSIP: Symbol: GM210115C00042000							
12/14/2020	1.00	177.90	12/14/2020	175.08	0.00	2.82	Sell to Close
12/17/2020	1.00	169.90	12/17/2020	166.08	0.00	3.82	Sell to Close
12/18/2020	1.00	137.90	12/18/2020	150.08	12.18 D	0.00	Sell to Close
12/18/2020	1.00	142.90	12/18/2020	146.26	3.36 D	0.00	Sell to Close
12/21/2020	1.00	140.90	12/21/2020	143.44	2.54 D	0.00	Sell to Close
12/22/2020	1.00	125.90	12/21/2020	143.62	17.72 D	0.00	Sell to Close
12/23/2020	1.00	124.90	12/22/2020	137.80	12.9 D	0.00	Sell to Close
12/23/2020	1.00	124.90	12/22/2020	131.98	7.08 D	0.00	Sell to Close
12/23/2020	1.00	124.90	12/22/2020	126.16	1.26 D	0.00	Sell to Close
12/28/2020	1.00	142.90	12/28/2020	135.08	0.00	7.82	Sell to Close

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APEX CLEARING

Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B*

OMB No. 1545-0715

5KU68797

(continued)

02/02/2021

SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

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

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CALL GM 01/15/21 42			GENERAL MOTORS COMPANY CUSIP: Symbol: GM210115C00042000				
12/28/2020	1.00	138.90	12/28/2020	133.34	0.00	5.56	Sell to Close
12/28/2020	1.00	129.90	12/28/2020	130.08	0.18 D	0.00	Sell to Close
12/29/2020	1.00	122.90	12/29/2020	125.08	2.18 D	0.00	Sell to Close
12/29/2020	1.00	122.90	12/29/2020	118.26	0.00	4.64	Sell to Close
12/29/2020	1.00	139.90	12/28/2020	129.26	0.00	10.64	Sell to Close
Security Totals:		2,067.50		2,091.60		35.30	
CALL GM 01/15/21 45			GENERAL MOTORS COMPANY CUSIP: Symbol: GM210115C00045000				
12/14/2020	1.00	85.90	12/14/2020	110.35	24.45 D	0.00	Sell to Close
12/14/2020	4.00	343.66	Various	535.84	192.18 D	0.00	Sell to Close
12/14/2020	6.00	473.49	Various	629.88	107.86 D	-48.53	Sell to Close
12/14/2020	1.00	84.90	12/14/2020	103.18	18.28 D	0.00	Sell to Close
12/14/2020	1.00	84.90	12/14/2020	110.35	25.45 D	0.00	Sell to Close
12/14/2020	1.00	86.90	12/14/2020	103.18	16.28 D	0.00	Sell to Close
12/14/2020	10.00	849.17	Various	1,252.67	403.50 D	0.00	Sell to Close
12/14/2020	10.00	849.15	Various	1,159.99	310.84 D	0.00	Sell to Close
12/14/2020	1.00	86.90	12/14/2020	103.18	16.28 D	0.00	Sell to Close
12/14/2020	1.00	86.90	12/14/2020	103.18	16.28 D	0.00	Sell to Close
12/15/2020	5.00	424.58	Various	569.43	144.85 D	0.00	Sell to Close
12/16/2020	1.00	64.90	12/14/2020	108.70	43.8 D	0.00	Sell to Close
12/16/2020	1.00	64.91	12/14/2020	140.72	75.81 D	0.00	Sell to Close
12/16/2020	1.00	64.91	12/14/2020	130.76	65.85 D	0.00	Sell to Close
12/17/2020	1.00	74.90	12/14/2020	108.84	33.94 D	0.00	Sell to Close
12/17/2020	1.00	71.90	12/15/2020	110.04	38.14 D	0.00	Sell to Close
12/17/2020	1.00	71.90	12/15/2020	101.02	29.12 D	0.00	Sell to Close
12/17/2020	1.00	72.90	12/16/2020	93.19	20.29 D	0.00	Sell to Close
12/17/2020	1.00	73.90	12/16/2020	89.19	15.29 D	0.00	Sell to Close
12/17/2020	1.00	72.90	12/16/2020	87.02	14.12 D	0.00	Sell to Close
12/17/2020	1.00	74.90	12/17/2020	156.22	81.32 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

5KU68797

(continued)

02/02/2021

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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CALL GM 01/15/21 45 GENERAL MOTORS COMPANY CUSIP: Symbol: GM210115C00045000							
12/17/2020	1.00	75.90	12/17/2020	85.20	9.3 D	0.00	Sell to Close
12/17/2020	2.00	153.82	Various	208.87	55.05 D	0.00	Sell to Close
12/17/2020	2.00	145.82	Various	200.72	54.90 D	0.00	Sell to Close
12/17/2020	2.00	151.82	Various	169.74	17.92 D	0.00	Sell to Close
12/17/2020	2.00	153.82	Various	237.69	83.87 D	0.00	Sell to Close
12/17/2020	3.00	230.74	Various	395.62	164.88 D	0.00	Sell to Close
12/17/2020	5.00	379.58	Various	564.76	185.18 D	0.00	Sell to Close
12/17/2020	7.00	517.41	Various	662.51	68.19 D	-76.91	Sell to Close
12/17/2020	3.00	233.74	Various	383.96	150.22 D	0.00	Sell to Close
12/17/2020	3.00	203.74	Various	374.11	170.37 D	0.00	Sell to Close
12/17/2020	3.00	221.74	Various	347.49	125.75 D	0.00	Sell to Close
12/17/2020	2.00	155.82	Various	209.71	53.89 D	0.00	Sell to Close
12/17/2020	3.00	224.74	Various	319.59	94.85 D	0.00	Sell to Close
12/18/2020	1.00	57.90	12/17/2020	110.52	0.00	-52.62	Sell to Close
12/18/2020	1.00	53.90	12/18/2020	59.54	0.00	-5.64	Sell to Close
12/18/2020	1.00	55.90	12/18/2020	61.71	0.00	-5.81	Sell to Close
12/18/2020	1.00	58.90	12/17/2020	85.54	0.00	-26.64	Sell to Close
12/18/2020	1.00	58.90	12/17/2020	83.53	0.00	-24.63	Sell to Close
12/21/2020	1.00	46.90	12/21/2020	73.67	0.00	-26.77	Sell to Close
12/21/2020	1.00	44.90	12/18/2020	77.59	0.00	-32.69	Sell to Close
Security Totals:		7,390.46		10,619.00		-300.24	
CALL DDOG 01/15/21 90 DATADOG INC CL A CUSIP: Symbol: DDOG210115C00090000							
11/17/2020	1.00	659.89	11/17/2020	630.08	0.00	29.81	Sell to Close
PUT AAPL 12/04/20 120 APPLE INC CUSIP: Symbol: AAPL201204P00120000							
11/30/2020	1.00	175.90	11/30/2020	176.08	0.18 D	0.00	Sell to Close
12/02/2020	1.00	56.90	12/02/2020	66.44	0.00	-9.54	Sell to Close
12/02/2020	1.00	51.90	12/02/2020	68.26	16.36 D	0.00	Sell to Close
Security Totals:		284.70		310.78		-9.54	

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APEX CLEARING

Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B*

OMB No. 1545-0715

5KU68797

(continued)

02/02/2021

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
CALL AAPL 12/04/20 121 APPLE INC CUSIP: Symbol: AAPL201204C00121000							
12/04/2020	1.00	105.90	12/04/2020	101.08	0.00	4.82	Sell to Close
CLEVELAND BIOLABS INC COM NEW CUSIP: 185860202 Symbol: CBLI							
06/26/2020	20.00	48.38	06/26/2020	46.30	0.00	2.08	Sale
06/26/2020	50.00	119.98	06/26/2020	115.75	0.00	4.23	Sale
06/26/2020	250.00	642.45	Various	567.15	0.00	75.30	Sale
06/29/2020	40.00	104.58	Various	107.56	2.98 D	0.00	Sale
06/29/2020	50.00	128.98	06/29/2020	130.18	1.2 D	0.00	Sale
06/29/2020	50.00	121.48	Various	125.19	3.51 D	-0.20	Sale
06/29/2020	50.00	128.48	06/29/2020	134.67	6.19 D	0.00	Sale
06/29/2020	100.00	260.98	06/29/2020	269.33	8.35 D	0.00	Sale
06/29/2020	100.00	258.98	Various	265.36	6.38 D	0.00	Sale
06/29/2020	100.00	259.98	Various	259.45	0.05 D	0.58	Sale
06/30/2020	30.00	74.83	06/29/2020	71.10	0.00	3.73	Sale
06/30/2020	30.00	75.28	06/29/2020	71.10	0.00	4.18	Sale
06/30/2020	50.00	127.48	Various	122.91	0.00	4.57	Sale
06/30/2020	50.00	122.98	06/29/2020	118.50	0.00	4.48	Sale
06/30/2020	115.00	274.26	06/29/2020	272.55	0.00	1.71	Sale
Security Totals:		2,749.10		2,677.10		100.66	
UNITY BIOTECHNOLOGY INC COMMON STOCK CUSIP: 91381U101 Symbol: UBX							
08/24/2020	70.00	221.53	08/18/2020	259.63	38.1 D	0.00	Sale
08/24/2020	100.00	328.19	Various	409.00	80.81 D	0.00	Sale
08/26/2020	258.00	828.41	Various	994.77	2.63 D	-163.73	Sale
08/26/2020	150.00	478.63	Various	629.58	150.95 D	0.00	Sale
08/27/2020	2.00	6.16	08/19/2020	8.87	0.00	-2.71	Sale
Security Totals:		1,862.92		2,301.85		-166.44	
CALL NKE 10/16/20 130 NIKE INC CLASS B CUSIP: Symbol: NKE201016C00130000							
10/12/2020	3.00	332.74	Various	357.24	24.50 D	0.00	Sell to Close
10/12/2020	4.00	451.66	Various	455.82	8.99 D	4.83	Sell to Close

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SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

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CALL NKE 10/16/20 130 NIKE INC CLASS B CUSIP: Symbol: NKE201016C00130000							
10/13/2020	3.00	233.74	Various	416.08	0.00	-182.34	Sell to Close
10/13/2020	10.00	749.15	Various	1,069.80	320.65 D	0.00	Sell to Close
10/13/2020	4.00	339.66	Various	379.64	0.00	-39.98	Sell to Close
10/13/2020	1.00	89.90	10/13/2020	97.24	0.00	-7.34	Sell to Close
10/13/2020	2.00	169.82	Various	185.49	0.00	-15.67	Sell to Close
Security Totals:		2,366.67		2,961.31		-240.50	
COCRYSTAL PHARMA INC COMMON STOCK CUSIP: 19188J300 Symbol: COCP							
06/17/2020	200.00	250.97	Various	267.00	0.00	-16.03	Sale
08/04/2020	50.00	186.48	08/04/2020	169.50	0.00	16.98	Sale
08/27/2020	200.00	209.97	08/27/2020	208.00	0.00	1.97	Sale
Security Totals:		647.42		644.50		2.92	
AIKIDO PHARMA INC COMMON STOCK CUSIP: 008875106 Symbol: AIKI							
04/14/2020	500.00	1,101.91	04/14/2020	1,005.00	0.00	96.91	Sale
SG BLOCKS INC COMMON STOCK CUSIP: 78418A505 Symbol: SGBX							
04/15/2020	200.00	831.96	04/14/2020	832.00	0.04 D	0.00	Sale
04/15/2020	300.00	1,260.93	04/14/2020	1,248.00	0.00	12.93	Sale
04/15/2020	700.00	2,918.85	Various	2,900.04	0.00	18.81	Sale
Security Totals:		5,011.74		4,980.04		31.74	
PANHANDLE OIL AND GAS INC CL A CUSIP: 698477106 Symbol: PHX							
06/29/2020	20.00	58.18	06/22/2020	59.60	1.42 D	0.00	Sale
06/29/2020	30.00	86.68	06/22/2020	89.40	2.72 D	0.00	Sale
06/29/2020	6.00	17.98	06/26/2020	16.03	0.00	1.95	Sale
07/09/2020	20.00	48.78	Various	53.53	4.75 D	0.00	Sale
07/13/2020	119.00	312.95	Various	306.73	0.00	6.22	Sale
Security Totals:		524.57		525.29		8.17	
PUT DIS 11/27/20 150 WALT DISNEY CO CUSIP: Symbol: DIS201127P00150000							
11/27/2020	1.00	49.90	11/27/2020	60.08	0.00	-10.18	Sell to Close

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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
VIVUS INC COMMON STOCK CUSIP: 928551308 Symbol: VVUS							
06/18/2020	100.00	117.08	06/12/2020	111.00	0.00	6.08	Sale
06/19/2020	30.00	32.08	06/12/2020	33.30	0.00	-1.22	Sale
06/19/2020	120.00	128.38	06/12/2020	133.20	0.00	-4.82	Sale
Security Totals:		277.54		277.50		0.04	
AYRO INC COMMON STOCK CUSIP: 054748108 Symbol: AYRO							
06/09/2020	45.00	141.73	06/03/2020	102.15	0.00	39.58	Sale
06/29/2020	5.00	15.08	06/22/2020	13.30	0.00	1.78	Sale
06/29/2020	30.00	89.68	Various	84.31	0.00	5.37	Sale
06/29/2020	40.00	114.38	Various	114.95	2.01 D	1.44	Sale
Security Totals:		360.87		314.71		48.17	
FLUIDIGM CORPORATION CUSIP: 34385P108 Symbol: FLDM							
08/26/2020	10.00	107.38	08/26/2020	100.60	0.00	6.78	Sale
08/26/2020	10.00	107.68	08/26/2020	100.60	0.00	7.08	Sale
08/26/2020	10.00	118.70	08/26/2020	115.00	0.00	3.70	Sale
08/26/2020	15.00	158.98	Various	161.87	2.89 D	0.00	Sale
08/26/2020	10.00	107.18	08/26/2020	100.60	0.00	6.58	Sale
08/26/2020	20.00	213.98	Various	228.20	14.22 D	0.00	Sale
08/26/2020	45.00	512.52	08/26/2020	452.70	0.00	59.82	Sale
08/26/2020	50.00	571.97	Various	510.95	0.00	61.02	Sale
08/26/2020	10.00	106.38	Various	103.85	0.36 D	2.89	Sale
Security Totals:		2,004.77		1,874.37		147.87	
PUT SPY 11/23/20 357 STANDARD & POORS DEPOSITORY CUSIP: Symbol: SPY201123P00357000							
11/23/2020	1.00	88.90	11/23/2020	86.08	0.00	2.82	Sell to Close
11/23/2020	1.00	81.90	11/23/2020	87.08	5.18 D	0.00	Sell to Close
11/23/2020	1.00	72.90	11/23/2020	94.25	0.00	-21.35	Sell to Close
11/23/2020	1.00	81.90	11/23/2020	88.26	0.00	-6.36	Sell to Close
11/23/2020	1.00	82.90	11/23/2020	78.25	0.00	4.65	Sell to Close

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APEX CLEARING

Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B*

OMB No. 1545-0715

5KU68797

(continued)

02/02/2021

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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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
11/23/2020	2.00	157.82	11/23/2020	174.16	16.34 D	0.00	Sell to Close
Security Totals:		566.32		608.08		-20.24	
CALL LOW 12/18/20 160	LOWES COMPANIES INC CUSIP: Symbol: LOW201218C00160000						
12/11/2020	1.00	201.90	12/11/2020	197.08	0.00	4.82	Sell to Close
CALL AMZN 10/23/20 3200	AMAZON.COM INC CUSIP: Symbol: AMZN201023C03200000						
10/21/2020	1.00	3,649.82	10/21/2020	4,092.59	442.77 D	0.00	Sell to Close
10/21/2020	1.00	3,689.82	10/21/2020	3,532.85	0.00	156.97	Sell to Close
10/21/2020	1.00	3,749.82	10/21/2020	4,447.08	697.26 D	0.00	Sell to Close
10/21/2020	1.00	3,544.83	10/21/2020	4,397.34	852.51 D	0.00	Sell to Close
Security Totals:		14,634.29		16,469.86		156.97	
CALL NKE 10/30/20 129	NIKE INC CLASS B CUSIP: Symbol: NKE201030C00129000						
10/14/2020	1.00	211.90	10/14/2020	238.08	26.18 D	0.00	Sell to Close
10/15/2020	1.00	210.90	10/14/2020	227.44	0.00	-16.54	Sell to Close
10/15/2020	1.00	198.90	10/14/2020	231.26	32.36 D	0.00	Sell to Close
Security Totals:		621.70		696.78		-16.54	
KANDI TECHNOLOGIES GROUP INC CUSIP: 483709101 Symbol: KNDI							
07/29/2020	50.00	359.98	07/29/2020	353.50	0.00	6.48	Sale
CALL LOW 01/15/21 180	LOWES COMPANIES INC CUSIP: Symbol: LOW210115C00180000						
11/11/2020	1.00	180.90	11/11/2020	201.08	20.18 D	0.00	Sell to Close
11/12/2020	1.00	204.90	11/11/2020	213.44	8.54 D	0.00	Sell to Close
11/12/2020	1.00	196.90	11/11/2020	197.62	0.72 D	0.00	Sell to Close
11/12/2020	1.00	179.90	11/12/2020	187.80	0.00	-7.90	Sell to Close
11/12/2020	1.00	195.90	11/11/2020	216.26	20.36 D	0.00	Sell to Close
Security Totals:		958.50		1,016.20		-7.90	
CALL AAPL 10/16/20 115	APPLE INC ADJ 4:1 STOCK SPLIT CUSIP: Symbol: AAPL201016C00115000						
10/08/2020	1.00	309.90	10/08/2020	317.08	7.18 D	0.00	Sell to Close
10/08/2020	1.00	309.90	10/08/2020	321.26	0.00	-11.36	Sell to Close
Security Totals:		619.80		638.34		-11.36	

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APEX CLEARING

Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B*

OMB No. 1545-0715

5KU68797

(continued)

02/02/2021

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
SENESTECH INC COMMON STOCK CUSIP: 81720R208 Symbol: SNES							
08/05/2020	100.00	195.98	07/27/2020	191.00	0.00	4.98	Sale
08/05/2020	100.00	202.98	07/27/2020	188.00	0.00	14.98	Sale
08/05/2020	100.00	203.98	07/27/2020	188.00	0.00	15.98	Sale
08/06/2020	100.00	211.48	07/27/2020	188.00	0.00	23.48	Sale
08/07/2020	100.00	203.98	07/27/2020	188.00	0.00	15.98	Sale
08/07/2020	180.00	374.37	Various	335.20	0.00	39.17	Sale
08/10/2020	19.00	40.07	07/30/2020	34.96	0.00	5.11	Sale
08/12/2020	1.00	2.08	07/30/2020	1.84	0.00	0.24	Sale
Security Totals:		1,434.92		1,315.00		119.92	
PLUS THERAPEUTICS INC COMMON STOCK CUSIP: 72941H400 Symbol: PSTV							
07/29/2020	1.00	2.79	07/29/2020	2.66	0.00	0.13	Sale
07/29/2020	99.00	271.24	07/29/2020	263.62	0.00	7.62	Sale
09/01/2020	50.00	133.48	Various	187.40	0.00	-53.92	Sale
09/01/2020	175.00	465.46	Various	582.30	104.58 D	-12.26	Sale
09/15/2020	100.00	350.98	Various	405.18	0.00	-54.20	Sale
Security Totals:		1,223.95		1,441.16		-112.63	
PUT ZM 11/13/20 400 ZOOM VIDEO COMMUNICATIONS INC CUSIP: Symbol: ZM201113P00400000							
11/12/2020	1.00	159.90	11/12/2020	150.08	0.00	9.82	Sell to Close
PHIO PHARMACEUTICALS CORP COMMON STOCK CUSIP: 71880W303 Symbol: PHIO							
05/29/2020	50.00	239.48	05/29/2020	259.00	19.52 D	0.00	Sale
05/29/2020	100.00	365.98	Various	379.52	0.00	-13.54	Sale
Security Totals:		605.46		638.52		-13.54	
PUT SPY 12/11/20 360 STANDARD & POORS DEPOSITORY CUSIP: Symbol: SPY201211P00360000							
12/04/2020	1.00	67.90	12/04/2020	71.08	0.00	-3.18	Sell to Close
CALL AAPL 10/16/20 116 APPLE INC CUSIP: Symbol: AAPL201016C00116000							
10/09/2020	1.00	269.90	10/09/2020	271.08	0.00	-1.18	Sell to Close
MOXIAN INC COMMON STOCK CUSIP: 624697306 Symbol: MOXC							
08/10/2020	67.00	91.77	Various	117.09	25.32 D	0.00	Sale
08/10/2020	133.00	182.18	Various	228.94	47.02 D	0.26	Sale

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MOXIAN INC COMMON STOCK CUSIP: 624697306 Symbol: MOXC							
08/27/2020	20.00	67.78	Various	72.32	4.54 D	0.00	Sale
08/27/2020	50.00	175.98	Various	188.39	12.41 D	0.00	Sale
08/27/2020	100.00	332.98	Various	330.84	1.39 D	3.53	Sale
08/27/2020	266.00	630.37	Various	779.16	149.83 D	1.04	Sale
08/27/2020	324.00	703.14	Various	869.75	0.00	-166.61	Sale
Security Totals:		2,184.20		2,586.49		-161.78	
DENBURY RESOURCES INC NEW HOLDING COMPANY CUSIP: 247916208 Symbol: DNR							
07/20/2020	1,500.00	559.30	Various	736.90	177.60 D	0.00	Sale
07/20/2020	2,200.00	730.34	Various	1,069.66	0.00	-339.32	Sale
Security Totals:		1,289.64		1,806.56		-339.32	
SUMMIT WIRELESS TECHNOLOGIES INC COMMON STOCK CUSIP: 86633R203 Symbol: WISA							
06/03/2020	33.00	97.66	06/03/2020	116.11	18.45 D	0.00	Sale
06/03/2020	100.00	396.98	06/03/2020	357.00	0.00	39.98	Sale
06/03/2020	200.00	741.96	Various	738.00	11.02 D	14.98	Sale
06/03/2020	247.00	736.51	Various	807.14	70.63 D	0.00	Sale
06/17/2020	100.00	238.98	Various	264.95	25.97 D	0.00	Sale
06/22/2020	50.00	113.98	Various	131.57	17.59 D	0.00	Sale
06/23/2020	30.00	74.08	Various	79.91	5.83 D	0.00	Sale
06/23/2020	20.00	49.78	06/11/2020	51.13	1.35 D	0.00	Sale
06/23/2020	30.00	72.58	Various	75.33	2.75 D	0.00	Sale
06/23/2020	40.00	93.58	06/11/2020	100.23	6.65 D	0.00	Sale
06/23/2020	60.00	150.88	Various	152.19	3.96 D	2.65	Sale
06/23/2020	100.00	236.98	Various	264.90	27.92 D	0.00	Sale
06/24/2020	100.00	230.98	Various	264.91	33.93 D	0.00	Sale
06/29/2020	100.00	229.98	Various	233.27	3.87 D	0.58	Sale
07/02/2020	50.00	115.98	Various	125.99	10.01 D	0.00	Sale
07/02/2020	50.00	113.98	Various	126.58	12.60 D	0.00	Sale
07/02/2020	50.00	113.49	Various	118.20	4.78 D	0.07	Sale

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APEX CLEARING

Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B*

OMB No. 1545-0715

5KU68797

(continued)

02/02/2021

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
SUMMIT WIRELESS TECHNOLOGIES INC COMMON STOCK CUSIP: 86633R203 Symbol: WISA							
07/06/2020	50.00	117.48	Various	114.57	1.58 D	4.49	Sale
07/07/2020	15.00	35.68	Various	32.93	0.00	2.75	Sale
07/13/2020	49.00	114.15	Various	116.57	4.44 D	2.02	Sale
07/22/2020	14.00	39.60	Various	43.64	4.04 D	0.00	Sale
07/22/2020	50.00	140.99	Various	158.57	17.58 D	0.00	Sale
07/22/2020	57.00	176.11	Various	166.16	3.66 D	13.61	Sale
07/22/2020	115.00	313.93	Various	359.19	45.26 D	0.00	Sale
07/22/2020	65.00	163.46	Various	204.56	41.10 D	0.00	Sale
07/22/2020	273.00	742.56	Various	792.92	56.68 D	6.32	Sale
08/03/2020	81.00	187.90	Various	219.43	31.53 D	0.00	Sale
08/14/2020	30.00	66.88	Various	67.34	0.46 D	0.00	Sale
08/14/2020	50.00	110.48	Various	137.70	27.22 D	0.00	Sale
08/14/2020	50.00	118.48	Various	138.06	19.58 D	0.00	Sale
08/14/2020	50.00	113.48	Various	123.26	9.78 D	0.00	Sale
08/14/2020	150.00	340.47	Various	374.14	37.61 D	3.94	Sale
08/14/2020	100.00	229.48	Various	241.14	17.43 D	5.77	Sale
08/18/2020	168.00	414.93	08/14/2020	361.20	0.00	53.73	Sale
09/01/2020	1.00	2.06	08/31/2020	2.41	0.00	-0.35	Sale
09/01/2020	50.00	103.48	Various	115.74	12.26 D	0.00	Sale
09/01/2020	101.00	215.11	Various	239.16	0.39 D	-23.66	Sale
Security Totals:		7,555.07		8,016.10		126.88	
CALL GM 03/19/21 55 GENERAL MOTORS COMPANY CUSIP: Symbol: GM210319C00055000							
12/09/2020	1.00	92.90	12/09/2020	92.08	0.00	0.82	Sell to Close
PUT SPY 11/04/20 337 STANDARD & POORS DEPOSITORY CUSIP: Symbol: SPY201104P00337000							
11/03/2020	1.00	429.90	11/03/2020	435.08	0.00	-5.18	Sell to Close
NEW YORK MORTGAGE TRUST INC CUSIP: 649604501 Symbol: NYMT							
04/08/2020	100.00	203.98	03/26/2020	202.00	0.00	1.98	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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BIOCEPT INC COMMON STOCK CUSIP: 09072V402 Symbol: BIOC							
04/13/2020	3,000.00	1,875.79	04/13/2020	1,712.40	0.00	163.39	Sale
04/28/2020	600.00	262.12	04/13/2020	342.12	80 D	0.00	Sale
04/28/2020	500.00	232.43	Various	286.21	53.78 D	0.00	Sale
05/08/2020	500.00	205.12	Various	290.07	84.95 D	0.00	Sale
05/12/2020	1,131.00	502.00	Various	565.88	74.85 D	10.97	Sale
05/12/2020	600.00	262.66	Various	313.60	50.94 D	0.00	Sale
05/13/2020	1,069.00	447.56	Various	493.27	55.53 D	9.82	Sale
05/13/2020	300.00	134.05	Various	149.74	15.69 D	0.00	Sale
05/21/2020	650.00	286.24	Various	316.44	0.00	-30.20	Sale
08/06/2020	100.00	114.48	08/06/2020	111.50	0.00	2.98	Sale
08/06/2020	100.00	114.48	08/06/2020	110.50	0.00	3.98	Sale
08/06/2020	100.00	115.98	08/06/2020	110.50	0.00	5.48	Sale
08/06/2020	100.00	114.48	08/06/2020	110.50	0.00	3.98	Sale
08/06/2020	100.00	114.48	08/06/2020	110.50	0.00	3.98	Sale
08/06/2020	200.00	222.97	08/06/2020	221.00	0.00	1.97	Sale
08/06/2020	478.00	540.06	08/06/2020	492.34	0.00	47.72	Sale
08/06/2020	200.00	229.97	08/06/2020	221.00	0.00	8.97	Sale
08/06/2020	500.00	569.92	Various	558.50	0.00	11.42	Sale
08/06/2020	1,000.00	1,129.85	Various	1,093.50	0.00	36.35	Sale
08/06/2020	580.00	658.21	Various	597.90	0.00	60.31	Sale
08/06/2020	1,000.00	1,139.85	Various	1,103.50	0.00	36.35	Sale
08/07/2020	100.00	105.98	08/07/2020	102.00	0.00	3.98	Sale
08/07/2020	300.00	314.95	Various	306.46	0.00	8.49	Sale
08/07/2020	100.00	106.48	08/07/2020	102.00	0.00	4.48	Sale
08/07/2020	678.00	721.97	Various	701.05	0.46 D	21.38	Sale
08/07/2020	100.00	108.98	Various	106.24	0.61 D	3.35	Sale
08/07/2020	1,794.00	1,793.75	Various	1,845.88	21.41 D	-30.72	Sale

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APEX CLEARING

Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B*

OMB No. 1545-0715

5KU68797

(continued)

02/02/2021

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
BIOCEPT INC COMMON STOCK CUSIP: 09072V402 Symbol: BIOC							
08/10/2020	313.00	355.21	Various	322.42	0.00	32.79	Sale
08/11/2020	100.00	110.98	Various	103.20	0.00	7.78	Sale
08/11/2020	100.00	109.98	Various	102.99	0.00	6.99	Sale
08/12/2020	84.00	89.86	08/11/2020	90.73	0.00	-0.87	Sale
08/12/2020	223.00	240.80	Various	245.41	0.00	-4.61	Sale
08/12/2020	100.00	104.98	Various	103.82	0.00	1.16	Sale
Security Totals:		13,436.62		13,443.17		431.67	
AG MORTGAGE INVESTMENT TRUST INC CUSIP: 001228105 Symbol: MITT							
06/22/2020	100.00	375.48	Various	378.25	2.77 D	0.00	Sale
06/24/2020	30.00	101.08	06/22/2020	114.31	13.23 D	0.00	Sale
07/01/2020	15.00	51.73	06/22/2020	57.15	5.42 D	0.00	Sale
07/07/2020	90.00	290.23	Various	333.96	10.06 D	-33.67	Sale
07/13/2020	19.00	61.16	Various	68.90	0.00	-7.74	Sale
07/15/2020	1.00	3.44	07/08/2020	3.56	0.00	-0.12	Sale
Security Totals:		883.12		956.13		-41.53	
PUT AAPL 12/04/20 122 APPLE INC CUSIP: Symbol: AAPL201204P00122000							
12/01/2020	1.00	117.90	12/01/2020	121.08	3.18 D	0.00	Sell to Close
12/03/2020	1.00	48.90	12/03/2020	51.26	0.00	-2.36	Sell to Close
Security Totals:		166.80		172.34		-2.36	
CALL AAPL 11/27/20 113 APPLE INC CUSIP: Symbol: AAPL201127C00113000							
11/24/2020	1.00	152.90	11/24/2020	130.08	0.00	22.82	Sell to Close
11/24/2020	1.00	136.90	11/24/2020	131.08	0.00	5.82	Sell to Close
Security Totals:		289.80		261.16		28.64	
CALL DIS 10/30/20 127 WALT DISNEY CO CUSIP: Symbol: DIS201030C00127000							
10/19/2020	1.00	236.90	10/19/2020	228.08	0.00	8.82	Sell to Close
CALL AAPL 11/27/20 115 APPLE INC CUSIP: Symbol: AAPL201127C00115000							
11/25/2020	1.00	152.90	11/25/2020	153.08	0.00	-0.18	Sell to Close

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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
CALL DIS 10/30/20 128 WALT DISNEY CO CUSIP: Symbol: DIS201030C00128000							
10/12/2020	1.00	166.90	10/12/2020	164.08	0.00	2.82	Sell to Close
PUT WORK 09/11/20 24 SLACK TECHNOLOGIES INC CL A CUSIP: Symbol: WORK200911P00024000							
09/10/2020	1.00	3.89	09/10/2020	47.69	0.00	-43.80	Sell to Close
09/10/2020	1.00	3.89	09/10/2020	48.49	44.6 D	0.00	Sell to Close
09/10/2020	1.00	3.89	09/09/2020	27.09	23.2 D	0.00	Sell to Close
09/10/2020	1.00	3.89	09/09/2020	49.29	45.4 D	0.00	Sell to Close
Security Totals:		15.56		172.56		-43.80	
CALL NKE 10/23/20 129 NIKE INC CLASS B CUSIP: Symbol: NKE201023C00129000							
10/14/2020	1.00	174.90	10/14/2020	179.25	4.35 D	0.00	Sell to Close
10/14/2020	1.00	173.90	10/14/2020	188.25	14.35 D	0.00	Sell to Close
10/14/2020	1.00	144.90	10/14/2020	186.43	41.53 D	0.00	Sell to Close
10/14/2020	2.00	343.82	Various	360.16	16.34 D	0.00	Sell to Close
10/15/2020	1.00	121.90	10/14/2020	194.60	72.7 D	0.00	Sell to Close
10/15/2020	1.00	127.90	10/14/2020	174.25	46.35 D	0.00	Sell to Close
10/15/2020	1.00	142.90	10/15/2020	166.43	23.53 D	0.00	Sell to Close
10/15/2020	1.00	123.90	10/14/2020	228.77	104.87 D	0.00	Sell to Close
10/15/2020	1.00	138.90	10/14/2020	197.78	58.88 D	0.00	Sell to Close
10/15/2020	1.00	140.90	10/15/2020	191.96	0.00	-51.06	Sell to Close
10/15/2020	1.00	139.90	10/15/2020	224.95	85.05 D	0.00	Sell to Close
10/15/2020	3.00	359.74	Various	530.12	170.38 D	0.00	Sell to Close
10/16/2020	1.00	165.90	10/16/2020	246.13	0.00	-80.23	Sell to Close
10/16/2020	1.00	118.90	10/16/2020	141.61	0.00	-22.71	Sell to Close
Security Totals:		2,418.36		3,210.69		-154.00	
PUT AAPL 10/16/20 120 APPLE INC ADJ 4:1 STOCK SPLIT CUSIP: Symbol: AAPL201016P00120000							
10/12/2020	1.00	219.90	10/12/2020	226.08	6.18 D	0.00	Sell to Close
10/12/2020	1.00	230.90	10/12/2020	225.08	0.00	5.82	Sell to Close
10/12/2020	1.00	230.90	10/12/2020	210.26	0.00	20.64	Sell to Close
Security Totals:		681.70		661.42		26.46	

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APEX CLEARING

Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B*

OMB No. 1545-0715

5KU68797

(continued)

02/02/2021

SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

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

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CALL AAPL 12/11/20 121 APPLE INC CUSIP: Symbol: AAPL201211C00121000							
12/11/2020	1.00	94.90	12/11/2020	104.08	9.18 D	0.00	Sell to Close
12/11/2020	1.00	89.90	12/11/2020	81.08	0.00	8.82	Sell to Close
12/11/2020	1.00	85.90	12/11/2020	105.26	19.36 D	0.00	Sell to Close
12/11/2020	1.00	89.90	12/11/2020	103.44	13.54 D	0.00	Sell to Close
12/11/2020	1.00	90.90	12/11/2020	88.08	0.00	2.82	Sell to Close
12/11/2020	1.00	89.90	12/11/2020	87.08	0.00	2.82	Sell to Close
12/11/2020	1.00	84.90	12/11/2020	86.08	0.00	-1.18	Sell to Close
12/11/2020	1.00	95.90	12/11/2020	91.62	0.00	4.28	Sell to Close
Security Totals:		722.20		746.72		17.56	
***CAN FITE BIOPHARMA LTD AMERICAN DEPOSITARY SHARES ECH REPRESENTING 30 ORDINARY SHS CUSIP: 13471N201 Symbol: CANF							
04/13/2020	400.00	879.93	Various	866.00	0.00	13.93	Sale
07/15/2020	50.00	100.53	Various	102.11	0.00	-1.58	Sale
07/15/2020	50.00	100.53	Various	105.01	0.00	-4.48	Sale
07/15/2020	100.00	201.98	Various	205.47	0.00	-3.49	Sale
07/15/2020	50.00	100.53	07/15/2020	104.20	0.00	-3.67	Sale
07/15/2020	80.00	162.38	Various	169.06	0.00	-6.68	Sale
07/15/2020	100.00	201.98	Various	204.21	0.00	-2.23	Sale
07/15/2020	100.00	203.07	07/15/2020	212.73	9.66 D	0.00	Sale
07/15/2020	293.00	589.92	Various	610.40	20.13 D	-0.35	Sale
07/15/2020	200.00	419.97	Various	424.55	4.58 D	0.00	Sale
07/15/2020	213.00	426.17	07/15/2020	432.39	0.00	-6.22	Sale
07/15/2020	400.00	812.29	Various	835.70	23.41 D	0.00	Sale
07/15/2020	300.00	622.44	Various	634.33	11.89 D	0.00	Sale
07/16/2020	53.00	104.92	Various	109.32	0.00	-4.40	Sale
Security Totals:		4,926.64		5,015.48		-19.17	
PUT AAPL 12/11/20 120 APPLE INC CUSIP: Symbol: AAPL201211P00120000							
12/02/2020	1.00	155.90	12/02/2020	145.08	0.00	10.82	Sell to Close

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(continued)

02/02/2021

SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

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PUT AAPL 12/11/20 120 APPLE INC CUSIP: Symbol: AAPL201211P00120000							
12/03/2020	1.00	122.90	12/03/2020	127.08	0.00	-4.18	Sell to Close
Security Totals:		278.80		272.16		6.64	
CALL SPY 12/11/20 370 STANDARD & POORS DEPOSITORY CUSIP: Symbol: SPY201211C00370000							
12/09/2020	1.00	105.90	12/09/2020	103.08	0.00	2.82	Sell to Close
12/09/2020	1.00	105.90	12/09/2020	101.08	0.00	4.82	Sell to Close
Security Totals:		211.80		204.16		7.64	
FUELCELL ENERGY INC COMMON STOCK CUSIP: 35952H601 Symbol: FCEL							
06/30/2020	100.00	225.98	06/26/2020	210.00	0.00	15.98	Sale
CALL SPY 11/04/20 347 STANDARD & POORS DEPOSITORY CUSIP: Symbol: SPY201104C00347000							
11/04/2020	1.00	143.90	11/04/2020	132.08	0.00	11.82	Sell to Close
11/04/2020	1.00	132.90	11/04/2020	130.08	0.00	2.82	Sell to Close
Security Totals:		276.80		262.16		14.64	
DPW HOLDINGS INC COMMON STOCK CUSIP: 26140E600 Symbol: DPW							
07/21/2020	111.00	336.31	Various	468.33	132.02 D	0.00	Sale
07/27/2020	50.00	140.98	Various	249.25	108.27 D	0.00	Sale
07/29/2020	200.00	529.96	Various	725.11	199.16 D	4.01	Sale
07/30/2020	50.00	136.01	Various	216.14	80.13 D	0.00	Sale
07/30/2020	100.00	267.98	Various	426.98	159.00 D	0.00	Sale
07/30/2020	100.00	268.98	Various	419.44	150.46 D	0.00	Sale
07/31/2020	94.00	267.94	Various	296.38	0.00	-28.44	Sale
07/31/2020	200.00	569.96	Various	623.46	82.87 D	29.37	Sale
07/31/2020	100.00	284.98	Various	402.33	117.35 D	0.00	Sale
08/03/2020	5.00	18.08	07/29/2020	14.19	0.00	3.89	Sale
Security Totals:		2,821.18		3,841.61		8.83	
CALL MS 10/16/20 50 MORGAN STANLEY CUSIP: Symbol: MS201016C00050000							
10/13/2020	1.00	115.90	10/13/2020	110.08	0.00	5.82	Sell to Close
10/13/2020	1.00	115.90	10/13/2020	102.08	0.00	13.82	Sell to Close
10/13/2020	2.00	225.82	Various	214.16	0.00	11.66	Sell to Close

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2020 Form 1099-B*

OMB No. 1545-0715

5KU68797

(continued)

02/02/2021

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
10/13/2020	1.00	134.90	10/13/2020	102.08	0.00	32.82	Sell to Close
Security Totals:		592.52		528.40		64.12	
CALL JMIA 11/20/20 18	JUMIA TECHNOLOGIES AG CUSIP: Symbol: JMIA201120C00018000						
10/28/2020	1.00	259.90	10/28/2020	255.08	0.00	4.82	Sell to Close
PUT SPY 12/30/20 373	STANDARD & POORS DEPOSITORY CUSIP: Symbol: SPY201230P00373000						
12/30/2020	2.00	159.82	12/30/2020	156.16	0.00	3.66	Sell to Close
12/30/2020	1.00	105.90	12/30/2020	78.08	0.00	27.82	Sell to Close
12/30/2020	1.00	101.90	12/30/2020	78.08	0.00	23.82	Sell to Close
Security Totals:		367.62		312.32		55.30	
CALL NKE 12/24/20 150	NIKE INC CLASS B CUSIP: Symbol: NKE201224C00150000						
12/21/2020	1.00	42.90	12/21/2020	152.51	109.61 D	0.00	Sell to Close
12/21/2020	1.00	46.90	12/21/2020	155.86	108.96 D	0.00	Sell to Close
12/21/2020	1.00	37.90	12/21/2020	157.22	119.32 D	0.00	Sell to Close
12/21/2020	1.00	38.90	12/21/2020	157.40	118.5 D	0.00	Sell to Close
12/21/2020	1.00	43.90	12/21/2020	147.58	0.00	-103.68	Sell to Close
12/21/2020	1.00	72.90	12/21/2020	192.26	119.36 D	0.00	Sell to Close
12/21/2020	1.00	62.90	12/21/2020	147.33	84.43 D	0.00	Sell to Close
12/21/2020	1.00	51.90	12/21/2020	174.44	122.54 D	0.00	Sell to Close
12/21/2020	1.00	55.90	12/21/2020	201.62	145.72 D	0.00	Sell to Close
12/21/2020	1.00	72.90	12/21/2020	191.98	119.08 D	0.00	Sell to Close
12/21/2020	1.00	67.90	12/21/2020	213.80	145.9 D	0.00	Sell to Close
12/21/2020	1.00	73.90	12/21/2020	151.08	77.18 D	0.00	Sell to Close
12/21/2020	1.00	33.90	12/21/2020	154.04	120.14 D	0.00	Sell to Close
12/21/2020	2.00	159.82	Various	210.24	86.25 D	35.83	Sell to Close
12/21/2020	1.00	44.91	12/21/2020	155.69	110.78 D	0.00	Sell to Close
Security Totals:		907.43		2,563.05		-67.85	
KEZAR LIFE SCIENCES INC	COMMON STOCK CUSIP: 49372L100 Symbol: KZR						
08/10/2020	39.00	188.16	Various	174.31	0.00	13.85	Sale

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APEX CLEARING

Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B*

OMB No. 1545-0715

5KU68797

(continued)

02/02/2021

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
KEZAR LIFE SCIENCES INC COMMON STOCK CUSIP: 49372L100 Symbol: KZR							
08/19/2020	1.00	4.82	07/29/2020	4.29	0.00	0.53	Sale
Security Totals:		192.98		178.60		14.38	
INPIXON COMMON STOCK CUSIP: 45790J800 Symbol: INPX							
04/29/2020	500.00	589.92	04/28/2020	585.00	0.00	4.92	Sale
05/01/2020	400.00	459.93	04/28/2020	468.00	8.07 D	0.00	Sale
05/06/2020	403.00	451.30	Various	468.53	17.23 D	0.00	Sale
05/07/2020	97.00	108.62	04/28/2020	115.44	6.82 D	0.00	Sale
05/07/2020	600.00	713.91	Various	700.15	0.00	13.76	Sale
08/10/2020	50.00	76.23	08/07/2020	83.50	0.00	-7.27	Sale
Security Totals:		2,399.91		2,420.62		11.41	
OBALON THERAPEUTICS INC COMMON STOCK CUSIP: 67424L209 Symbol: OBLN							
05/27/2020	100.00	106.98	05/27/2020	89.20	0.00	17.78	Sale
***INTEGRATED MEDIA TECHNOLOGY LIMITED ORDINARY SHARES CUSIP: Q49376108 Symbol: IMTE							
06/17/2020	10.00	73.48	06/16/2020	59.00	0.00	14.48	Sale
06/17/2020	5.00	36.58	06/16/2020	30.25	0.00	6.33	Sale
06/17/2020	10.00	89.78	06/16/2020	59.00	0.00	30.78	Sale
06/17/2020	30.00	185.98	Various	180.75	0.00	5.23	Sale
06/17/2020	30.00	239.98	Various	182.13	0.00	57.85	Sale
06/17/2020	68.00	566.41	Various	444.70	0.00	121.71	Sale
Security Totals:		1,192.21		955.83		236.38	
***INFLARX N V COMMON STOCK CUSIP: N44821101 Symbol: IFRX							
03/31/2020	40.00	263.18	03/31/2020	254.80	0.00	8.38	Sale
04/01/2020	50.00	291.98	04/01/2020	290.00	0.00	1.98	Sale
Security Totals:		555.16		544.80		10.36	
CYMABAY THERAPEUTICS INC COM CUSIP: 23257D103 Symbol: CBAY							
07/23/2020	100.00	458.97	07/23/2020	452.00	0.00	6.97	Sale
ASCENA RETAIL GROUP INC COMMON STOCK CUSIP: 04351G200 Symbol: ASNA							
07/24/2020	11.00	11.75	07/24/2020	11.00	0.00	0.75	Sale

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APEX CLEARING

Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B*

OMB No. 1545-0715

5KU68797

(continued)

02/02/2021

SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

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

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ASCENA RETAIL GROUP INC COMMON STOCK CUSIP: 04351G200 Symbol: ASNA							
07/27/2020	184.00	187.65	07/24/2020	180.36	0.00	7.29	Sale
07/27/2020	805.00	812.93	Various	798.74	0.00	14.19	Sale
Security Totals:		1,012.33		990.10		22.23	
CALL EBAY 11/20/20 50 EBAY INC CUSIP: Symbol: EBAY201120C00050000							
11/16/2020	1.00	29.90	11/16/2020	40.26	0.00	-10.36	Sell to Close
11/16/2020	1.00	30.90	11/16/2020	38.08	7.18 D	0.00	Sell to Close
Security Totals:		60.80		78.34		-10.36	
EXPRESS INC CUSIP: 30219E103 Symbol: EXPR							
08/04/2020	100.00	111.98	Various	163.81	51.83 D	0.00	Sale
08/04/2020	100.00	105.98	07/22/2020	127.50	21.52 D	0.00	Sale
08/04/2020	100.00	109.98	07/22/2020	149.02	39.04 D	0.00	Sale
08/04/2020	100.00	110.98	07/23/2020	164.04	53.06 D	0.00	Sale
08/04/2020	150.00	169.47	Various	207.74	42.63 D	4.36	Sale
08/04/2020	100.00	112.98	Various	147.63	34.65 D	0.00	Sale
08/04/2020	184.00	207.89	Various	226.01	25.91 D	7.79	Sale
08/04/2020	216.00	250.52	Various	242.22	10.65 D	18.95	Sale
09/04/2020	150.00	145.92	Various	172.32	23.54 D	-2.86	Sale
09/09/2020	100.00	91.81	Various	126.82	0.00	-35.01	Sale
Security Totals:		1,417.51		1,727.11		-6.77	
***KBS FASHION GROUP LIMITED COMMON STOCK CUSIP: Y46002203 Symbol: KBSF							
06/24/2020	100.00	271.98	06/24/2020	283.00	0.00	-11.02	Sale
11/17/2020	93.00	225.97	11/17/2020	221.34	0.00	4.63	Sale
11/17/2020	7.00	17.13	11/17/2020	16.66	0.00	0.47	Sale
Security Totals:		515.08		521.00		-5.92	
PUT AAPL 12/24/20 125 APPLE INC CUSIP: Symbol: AAPL201224P00125000							
12/15/2020	1.00	227.90	12/15/2020	331.44	103.54 D	0.00	Sell to Close
12/15/2020	1.00	229.90	12/15/2020	280.80	0.00	-50.90	Sell to Close
12/15/2020	1.00	193.90	12/15/2020	271.08	77.18 D	0.00	Sell to Close

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APEX CLEARING

Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B*

OMB No. 1545-0715

5KU68797

(continued)

02/02/2021

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
PUT AAPL 12/24/20 125 APPLE INC CUSIP: Symbol: AAPL201224P00125000							
12/15/2020	1.00	211.90	12/15/2020	311.26	99.36 D	0.00	Sell to Close
12/15/2020	1.00	228.90	12/15/2020	287.62	58.72 D	0.00	Sell to Close
Security Totals:		1,092.50		1,482.20		-50.90	
CALL AAPL 12/24/20 125 APPLE INC CUSIP: Symbol: AAPL201224C00125000							
12/21/2020	1.00	170.90	12/21/2020	167.08	0.00	3.82	Sell to Close
PUT AAPL 12/24/20 124 APPLE INC CUSIP: Symbol: AAPL201224P00124000							
12/15/2020	1.00	169.90	12/15/2020	220.08	50.18 D	0.00	Sell to Close
12/15/2020	1.00	156.90	12/15/2020	218.26	0.00	-61.36	Sell to Close
12/15/2020	1.00	155.90	12/15/2020	220.44	0.00	-64.54	Sell to Close
12/15/2020	1.00	184.90	12/15/2020	220.08	35.18 D	0.00	Sell to Close
12/15/2020	1.00	170.90	12/15/2020	220.08	49.18 D	0.00	Sell to Close
12/15/2020	1.00	151.90	12/15/2020	219.26	67.36 D	0.00	Sell to Close
12/15/2020	1.00	150.90	12/15/2020	180.26	29.36 D	0.00	Sell to Close
12/15/2020	1.00	153.90	12/15/2020	219.26	65.36 D	0.00	Sell to Close
12/15/2020	1.00	172.90	12/15/2020	220.08	47.18 D	0.00	Sell to Close
12/16/2020	1.00	122.90	12/15/2020	182.44	0.00	-59.54	Sell to Close
12/16/2020	1.00	124.90	12/15/2020	187.44	0.00	-62.54	Sell to Close
Security Totals:		1,715.90		2,307.68		-247.98	
PUT SPY 12/30/20 372 STANDARD & POORS DEPOSITORY CUSIP: Symbol: SPY201230P00372000							
12/30/2020	1.00	29.90	12/30/2020	31.58	1.68 D	0.00	Sell to Close
12/30/2020	1.00	30.90	12/30/2020	32.60	1.7 D	0.00	Sell to Close
12/30/2020	1.00	33.90	12/30/2020	55.75	0.00	-21.85	Sell to Close
12/30/2020	1.00	34.90	12/30/2020	51.76	0.00	-16.86	Sell to Close
12/30/2020	1.00	33.90	12/30/2020	51.74	0.00	-17.84	Sell to Close
12/30/2020	1.00	37.90	12/30/2020	40.78	0.00	-2.88	Sell to Close
12/30/2020	2.00	55.82	Various	97.99	42.17 D	0.00	Sell to Close
12/30/2020	1.00	48.90	12/30/2020	54.75	0.00	-5.85	Sell to Close
12/30/2020	1.00	33.90	12/30/2020	29.76	0.00	4.14	Sell to Close

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SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

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PUT SPY 12/30/20 372 STANDARD & POORS DEPOSITORY CUSIP: Symbol: SPY201230P00372000							
12/30/2020	2.00	65.82	Various	96.33	6.67 D	-23.84	Sell to Close
12/30/2020	2.00	79.82	Various	114.50	34.68 D	0.00	Sell to Close
12/30/2020	2.00	95.82	Various	95.16	3.17 D	3.83	Sell to Close
12/30/2020	2.00	57.82	Various	111.17	53.35 D	0.00	Sell to Close
12/30/2020	3.00	137.74	Various	191.07	53.33 D	0.00	Sell to Close
12/30/2020	2.00	101.82	12/30/2020	110.82	9 D	0.00	Sell to Close
12/30/2020	2.00	77.82	12/30/2020	122.49	44.67 D	0.00	Sell to Close
12/30/2020	3.00	137.74	Various	188.24	50.50 D	0.00	Sell to Close
12/30/2020	1.00	30.90	12/30/2020	34.58	3.68 D	0.00	Sell to Close
12/30/2020	1.00	31.90	12/30/2020	36.76	0.00	-4.86	Sell to Close
12/30/2020	1.00	40.90	12/30/2020	43.75	0.00	-2.85	Sell to Close
12/30/2020	4.00	175.66	Various	212.98	37.32 D	0.00	Sell to Close
12/30/2020	2.00	61.82	Various	102.15	40.33 D	0.00	Sell to Close
12/30/2020	10.00	489.15	Various	539.97	52.49 D	1.67	Sell to Close
12/30/2020	1.00	42.90	12/30/2020	48.42	5.52 D	0.00	Sell to Close
Security Totals:		1,967.65		2,495.10		-87.19	
CALL SPY 12/30/20 373 STANDARD & POORS DEPOSITORY CUSIP: Symbol: SPY201230C00373000							
12/29/2020	1.00	75.90	12/29/2020	81.08	0.00	-5.18	Sell to Close
DISCOVER FINANCIAL SERVICES CUSIP: 254709108 Symbol: DFS							
03/26/2020	2.00	83.60	03/20/2020	81.91	0.00	1.69	Sale
03/26/2020	6.00	249.76	Various	271.78	26.63 D	4.61	Sale
Security Totals:		333.36		353.69		6.30	
CALL SPY 12/30/20 372 STANDARD & POORS DEPOSITORY CUSIP: Symbol: SPY201230C00372000							
12/28/2020	1.00	166.90	12/28/2020	151.08	0.00	15.82	Sell to Close
12/28/2020	1.00	136.90	12/28/2020	151.26	0.00	-14.36	Sell to Close
12/28/2020	1.00	138.90	12/28/2020	139.08	0.00	-0.18	Sell to Close
12/28/2020	1.00	149.90	12/28/2020	162.08	12.18 D	0.00	Sell to Close

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APEX CLEARING

Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B*

OMB No. 1545-0715

5KU68797

(continued)

02/02/2021

SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

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CALL SPY 12/30/20 372 STANDARD & POORS DEPOSITORY CUSIP: Symbol: SPY201230C00372000							
12/28/2020	1.00	151.90	12/28/2020	149.08	0.00	2.82	Sell to Close
Security Totals:		744.50		752.58		4.10	
***ASIA PACIFIC WIRE & CABLE CORPORATION LTD CUSIP: G0535E106 Symbol: APWC							
11/17/2020	20.00	49.38	11/17/2020	48.60	0.00	0.78	Sale
11/17/2020	50.00	123.48	11/17/2020	121.50	0.00	1.98	Sale
11/17/2020	30.00	74.08	11/17/2020	72.90	0.00	1.18	Sale
Security Totals:		246.94		243.00		3.94	
CALL LOW 12/18/20 170 LOWES COMPANIES INC CUSIP: Symbol: LOW201218C00170000							
11/11/2020	1.00	239.90	11/11/2020	301.26	61.36 D	0.00	Sell to Close
11/11/2020	1.00	262.90	11/11/2020	314.44	51.54 D	0.00	Sell to Close
11/11/2020	1.00	251.90	11/11/2020	285.08	33.18 D	0.00	Sell to Close
11/12/2020	1.00	274.90	11/11/2020	296.62	21.72 D	0.00	Sell to Close
11/12/2020	1.00	272.90	11/12/2020	273.26	0.36 D	0.00	Sell to Close
11/12/2020	1.00	266.90	11/12/2020	271.44	0.00	-4.54	Sell to Close
11/12/2020	1.00	255.90	11/12/2020	272.08	16.18 D	0.00	Sell to Close
11/12/2020	1.00	294.90	11/11/2020	276.80	0.00	18.10	Sell to Close
Security Totals:		2,120.20		2,290.98		13.56	
PUT PTON 10/09/20 100 PELOTON INTERACTIVE INC CL A CUSIP: Symbol: PTON201009P00100000							
10/06/2020	2.00	83.82	10/06/2020	60.16	0.00	23.66	Sell to Close
10/06/2020	2.00	67.82	10/06/2020	60.16	0.00	7.66	Sell to Close
10/06/2020	3.00	113.74	10/06/2020	90.25	0.00	23.49	Sell to Close
10/06/2020	3.00	104.74	10/06/2020	90.24	0.00	14.50	Sell to Close
Security Totals:		370.12		300.81		69.31	
PUT ORCL 10/16/20 55 ORACLE CORP CUSIP: Symbol: ORCL201016P00055000							
09/17/2020	1.00	62.89	09/17/2020	56.09	0.00	6.80	Sell to Close
CALL JNJ 10/16/20 147 JOHNSON & JOHNSON CUSIP: Symbol: JNJ201016C00147000							
09/30/2020	1.00	293.90	09/30/2020	310.26	16.36 D	0.00	Sell to Close
09/30/2020	1.00	299.90	09/30/2020	312.44	12.54 D	0.00	Sell to Close

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2020 Form 1099-B*

OMB No. 1545-0715

5KU68797

(continued)

02/02/2021

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 JNJ 10/16/20 147 JOHNSON & JOHNSON CUSIP: Symbol: JNJ201016C00147000							
09/30/2020	1.00	309.90	09/30/2020	300.62	0.00	9.28	Sell to Close
09/30/2020	1.00	304.90	09/30/2020	310.08	5.18 D	0.00	Sell to Close
Security Totals:		1,208.60		1,233.40		9.28	
CALL AMZN 10/16/20 3170 AMAZON.COM INC CUSIP: Symbol: AMZN201016C03170000							
10/02/2020	1.00	9,859.69	10/02/2020	10,580.08	0.00	-720.39	Sell to Close
CALL WYNN 12/18/20 100 WYNN RESORTS LIMITED CUSIP: Symbol: WYNN201218C00100000							
11/16/2020	1.00	489.89	11/16/2020	490.08	0.00	-0.19	Sell to Close
CALL SPY 11/23/20 357 STANDARD & POORS DEPOSITORY CUSIP: Symbol: SPY201123C00357000							
11/20/2020	1.00	171.90	11/20/2020	170.08	0.00	1.82	Sell to Close
11/20/2020	1.00	168.90	11/20/2020	172.08	0.00	-3.18	Sell to Close
11/20/2020	1.00	170.90	11/20/2020	172.08	1.18 D	0.00	Sell to Close
11/20/2020	1.00	169.90	11/20/2020	172.08	0.00	-2.18	Sell to Close
11/20/2020	1.00	172.90	11/20/2020	172.08	0.00	0.82	Sell to Close
11/20/2020	1.00	173.90	11/20/2020	169.26	0.00	4.64	Sell to Close
11/20/2020	2.00	343.82	11/20/2020	344.16	0.00	-0.34	Sell to Close
11/20/2020	2.00	343.82	11/20/2020	344.16	0.00	-0.34	Sell to Close
11/20/2020	1.00	169.90	11/20/2020	172.09	0.00	-2.19	Sell to Close
11/20/2020	1.00	170.90	11/20/2020	172.08	0.00	-1.18	Sell to Close
Security Totals:		2,056.84		2,060.15		-2.13	
AMC ENTERTAINMENT HOLDINGS INC CL A COM CUSIP: 00165C104 Symbol: AMC							
09/02/2020	3.00	20.47	09/02/2020	20.64	0.00	-0.17	Sale
09/02/2020	47.00	320.99	09/02/2020	323.36	0.00	-2.37	Sale
Security Totals:		341.46		344.00		-2.54	
CALL AMZN 11/20/20 3150 AMAZON.COM INC CUSIP: Symbol: AMZN201120C03150000							
11/20/2020	1.00	189.90	11/20/2020	296.44	106.54 D	0.00	Sell to Close
11/20/2020	1.00	174.90	11/20/2020	278.62	103.72 D	0.00	Sell to Close
11/20/2020	1.00	384.90	11/20/2020	350.08	0.00	34.82	Sell to Close
11/20/2020	1.00	227.90	11/20/2020	313.80	0.00	-85.90	Sell to Close

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APEX CLEARING

Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B*

OMB No. 1545-0715

5KU68797

(continued)

02/02/2021

SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

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

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CALL AMZN 11/20/20	3150	AMAZON.COM INC CUSIP: Symbol: AMZN201120C03150000					
11/20/2020	1.00	369.90	11/20/2020	360.08	0.00	9.82	Sell to Close
11/20/2020	1.00	229.90	11/20/2020	305.26	75.36 D	0.00	Sell to Close
11/20/2020	1.00	274.90	11/20/2020	330.08	55.18 D	0.00	Sell to Close
Security Totals:		1,852.30		2,234.36		-41.26	
CALL LEN 12/18/20	75	LENNAR CORP CUSIP: Symbol: LEN201218C00075000					
12/01/2020	1.00	254.90	12/01/2020	235.08	0.00	19.82	Sell to Close
PUT UBER 10/16/20	36	UBER TECHNOLOGIES INC CUSIP: Symbol: UBER201016P00036000					
09/14/2020	1.00	139.89	09/14/2020	141.09	1.2 D	0.00	Sell to Close
09/15/2020	2.00	287.80	Various	268.38	0.00	19.42	Sell to Close
09/16/2020	1.00	117.89	09/16/2020	111.09	0.00	6.80	Sell to Close
09/16/2020	1.00	113.89	09/16/2020	115.09	0.00	-1.20	Sell to Close
Security Totals:		659.47		635.65		25.02	
CALL WORK 12/18/20	30	SLACK TECHNOLOGIES INC CL A CUSIP: Symbol: WORK201218C00030000					
11/13/2020	2.00	153.82	Various	149.16	0.00	4.66	Sell to Close
11/16/2020	2.00	141.82	Various	154.16	0.00	-12.34	Sell to Close
Security Totals:		295.64		303.32		-7.68	
CALL MRVL 12/18/20	40	MARVELL TECHNOLOGY GROUP CUSIP: Symbol: MRVL201218C00040000					
11/10/2020	1.00	281.90	11/10/2020	282.08	0.00	-0.18	Sell to Close
NANOVIRICIDES INC		COMMON STOCK CUSIP: 630087302 Symbol: NNVC					
09/02/2020	100.00	495.97	09/02/2020	527.00	0.00	-31.03	Sale
GENIUS BRANDS INTERNATIONAL		INC COMMON STOCK CUSIP: 37229T301 Symbol: GNUS					
05/28/2020	4.00	8.10	05/28/2020	7.88	0.00	0.22	Sale
05/28/2020	100.00	202.98	05/28/2020	205.00	2.02 D	0.00	Sale
05/28/2020	136.00	279.45	Various	272.94	0.00	6.51	Sale
06/03/2020	20.00	113.98	06/03/2020	86.60	0.00	27.38	Sale
06/26/2020	20.00	47.48	06/25/2020	53.00	5.52 D	0.00	Sale
06/26/2020	20.00	47.58	06/25/2020	53.00	5.42 D	0.00	Sale
06/26/2020	20.00	47.68	06/25/2020	53.00	5.32 D	0.00	Sale
07/01/2020	30.00	73.18	Various	86.83	13.65 D	0.00	Sale

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SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

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GENIUS BRANDS INTERNATIONAL INC COMMON STOCK CUSIP: 37229T301 Symbol: GNUS							
07/02/2020	30.00	82.63	Various	75.24	0.00	7.39	Sale
07/02/2020	2.00	7.86	06/30/2020	4.87	0.00	2.99	Sale
07/02/2020	80.00	214.38	Various	217.96	8.57 D	4.99	Sale
07/07/2020	30.00	76.33	Various	74.36	0.12 D	2.09	Sale
07/07/2020	20.00	51.38	Various	49.18	0.33 D	2.53	Sale
07/07/2020	50.00	123.98	Various	133.98	10.00 D	0.00	Sale
07/07/2020	100.00	246.98	Various	270.34	23.90 D	0.54	Sale
07/07/2020	100.00	232.48	Various	265.62	33.14 D	0.00	Sale
07/08/2020	30.00	71.68	Various	73.09	2.28 D	0.87	Sale
07/09/2020	20.00	48.78	07/07/2020	45.40	0.00	3.38	Sale
07/09/2020	30.00	73.18	Various	70.24	0.00	2.94	Sale
07/09/2020	20.00	49.18	07/07/2020	45.40	0.00	3.78	Sale
07/09/2020	30.00	73.78	Various	69.78	0.00	4.00	Sale
07/10/2020	100.00	239.48	Various	214.60	0.00	24.88	Sale
07/14/2020	50.00	119.98	Various	109.80	0.00	10.18	Sale
07/14/2020	100.00	232.98	Various	214.00	0.00	18.98	Sale
07/14/2020	50.00	116.99	Various	106.00	0.00	10.99	Sale
07/15/2020	50.00	115.48	07/09/2020	115.50	0.02 D	0.00	Sale
07/15/2020	20.00	49.58	07/09/2020	46.20	0.00	3.38	Sale
07/15/2020	50.00	116.48	Various	115.52	0.00	0.96	Sale
07/20/2020	50.00	105.23	Various	119.96	14.73 D	0.00	Sale
07/20/2020	100.00	210.48	Various	225.90	15.42 D	0.00	Sale
07/22/2020	50.00	103.98	Various	123.93	19.95 D	0.00	Sale
07/22/2020	100.00	194.98	Various	242.39	47.41 D	0.00	Sale
07/22/2020	100.00	207.48	Various	288.03	80.55 D	0.00	Sale
07/22/2020	100.00	219.98	Various	291.51	71.53 D	0.00	Sale
07/22/2020	100.00	207.48	Various	244.18	36.70 D	0.00	Sale

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Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B*

OMB No. 1545-0715

5KU68797

(continued)

02/02/2021

SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

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GENIUS BRANDS INTERNATIONAL INC COMMON STOCK CUSIP: 37229T301 Symbol: GNUS							
07/22/2020	200.00	397.97	Various	491.06	93.09 D	0.00	Sale
07/24/2020	200.00	373.97	Various	526.77	152.80 D	0.00	Sale
07/27/2020	150.00	289.47	Various	322.79	34.3 D	0.98	Sale
07/27/2020	213.00	389.75	Various	525.41	135.66 D	0.00	Sale
07/27/2020	215.00	412.76	Various	570.10	157.34 D	0.00	Sale
07/27/2020	250.00	448.71	Various	581.28	133.09 D	0.52	Sale
07/28/2020	100.00	168.98	Various	231.16	62.18 D	0.00	Sale
07/28/2020	137.00	238.35	Various	334.69	96.34 D	0.00	Sale
07/28/2020	200.00	341.97	Various	449.26	107.41 D	0.12	Sale
08/03/2020	4.00	6.88	07/28/2020	6.82	0.00	0.06	Sale
08/13/2020	68.00	107.42	Various	159.70	52.28 D	0.00	Sale
08/21/2020	50.00	67.73	Various	68.75	2.60 D	1.58	Sale
08/21/2020	100.00	133.98	Various	172.14	38.27 D	0.11	Sale
08/21/2020	100.00	137.48	Various	196.97	59.49 D	0.00	Sale
08/21/2020	130.00	165.07	Various	193.89	18.72 D	-10.10	Sale
08/21/2020	100.00	137.98	Various	159.56	21.58 D	0.00	Sale
08/21/2020	443.00	589.12	Various	738.92	153.39 D	3.59	Sale
08/21/2020	557.00	749.08	Various	823.83	122.78 D	48.03	Sale
08/21/2020	570.00	706.71	Various	902.04	196.07 D	0.74	Sale
09/02/2020	12.00	15.70	Various	16.39	0.00	-0.69	Sale
09/04/2020	100.00	101.98	Various	127.50	0.00	-25.52	Sale
09/30/2020	1.00	1.25	09/03/2020	1.05	0.00	0.20	Sale
Security Totals:		10,395.94		12,271.31		158.60	
CALL SPY 11/20/20 356 STANDARD & POORS DEPOSITORY CUSIP: Symbol: SPY201120C00356000							
11/20/2020	1.00	141.90	11/20/2020	128.08	0.00	13.82	Sell to Close
CALL CORT 09/18/20 25 CORCEPT THERAPEUTICS INC CUSIP: Symbol: CORT200918C00025000							
09/03/2020	1.00	49.89	09/03/2020	45.09	0.00	4.80	Sell to Close

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2020 Form 1099-B*

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(continued)

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CALL FB 12/04/20	287.50	FACEBOOK INC CL A CUSIP: Symbol: FB201204C00287500					
12/03/2020	1.00	107.90	12/03/2020	116.08	8.18 D	0.00	Sell to Close
12/03/2020	1.00	111.90	12/03/2020	115.44	0.00	-3.54	Sell to Close
12/03/2020	1.00	109.90	12/03/2020	119.26	9.36 D	0.00	Sell to Close
Security Totals:		329.70		350.78		-3.54	
PUT SPY 11/20/20	356	STANDARD & POORS DEPOSITORY CUSIP: Symbol: SPY201120P00356000					
11/19/2020	1.00	121.90	11/19/2020	134.08	0.00	-12.18	Sell to Close
CALL SPY 11/20/20	358	STANDARD & POORS DEPOSITORY CUSIP: Symbol: SPY201120C00358000					
11/19/2020	1.00	126.90	11/19/2020	147.08	0.00	-20.18	Sell to Close
PUT NFLX 10/16/20	515	NETFLIX INC CUSIP: Symbol: NFLX201016P00515000					
10/05/2020	1.00	1,344.88	10/05/2020	1,385.08	40.2 D	0.00	Sell to Close
10/06/2020	1.00	1,444.87	10/05/2020	1,365.28	0.00	79.59	Sell to Close
10/06/2020	1.00	1,309.88	10/05/2020	1,255.08	0.00	54.80	Sell to Close
Security Totals:		4,099.63		4,005.44		134.39	
CALL TECK 02/19/21	19	TECK RESOURCES LIMITED CL B CUSIP: Symbol: TECK210219C00019000					
12/16/2020	1.00	141.90	12/16/2020	134.08	0.00	7.82	Sell to Close
PUT CVS 11/13/20	70	CVS HEALTH CORPORATION CUSIP: Symbol: CVS201113P00070000					
11/11/2020	1.00	51.90	11/11/2020	62.08	10.18 D	0.00	Sell to Close
11/11/2020	1.00	49.90	11/11/2020	58.26	0.00	-8.36	Sell to Close
Security Totals:		101.80		120.34		-8.36	
CALL BABA 12/18/20	300	ALIBABA GROUP HOLDING LIMITED CUSIP: Symbol: BABA201218C00300000					
11/11/2020	1.00	504.89	11/11/2020	505.08	0.19 D	0.00	Sell to Close
11/11/2020	1.00	451.90	11/11/2020	455.27	0.00	-3.37	Sell to Close
Security Totals:		956.79		960.35		-3.37	
PUT PTON 10/02/20	100	PELTON INTERACTIVE INC CL A CUSIP: Symbol: PTON201002P00100000					
09/29/2020	1.00	225.90	09/29/2020	226.08	0.00	-0.18	Sell to Close
***KAMADA LIMITED		US LISTED CUSIP: M6240T109 Symbol: KMDA					
06/24/2020	40.00	382.78	Various	387.81	0.00	-5.03	Sale
***RENREN INC		AMERICAN DEPOSITARY SHR ECH RPRSNTNG 45 CL A ORD SHR CUSIP: 759892300 Symbol: RENN					
05/21/2020	35.00	93.43	05/21/2020	97.30	0.00	-3.87	Sale

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2020 Form 1099-B*

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(continued)

02/02/2021

SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

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CALL PINS 10/23/20 44 PINTEREST INC CLASS A CUSIP: Symbol: PINS201023C00044000							
10/15/2020	1.00	124.90	10/15/2020	130.08	0.00	-5.18	Sell to Close
CENTENNIAL RESOURCE DEVELOPMENT INC CLASS A COM CUSIP: 15136A102 Symbol: CDEV							
05/15/2020	300.00	259.69	05/15/2020	249.03	0.00	10.66	Sale
CALL AXP 12/31/20 115 AMERICAN EXPRESS COMPANY CUSIP: Symbol: AXP201231C00115000							
12/21/2020	1.00	240.90	12/21/2020	220.26	0.00	20.64	Sell to Close
12/21/2020	1.00	231.90	12/21/2020	243.08	11.18 D	0.00	Sell to Close
Security Totals:		472.80		463.34		20.64	
MGM RESORTS INTERNATIONAL CUSIP: 552953101 Symbol: MGM							
05/14/2020	20.00	268.58	Various	248.00	0.00	20.58	Sale
LIMELIGHT NETWORKS INC CUSIP: 53261M104 Symbol: LLNW							
09/09/2020	23.00	122.80	09/04/2020	116.38	0.00	6.42	Sale
09/09/2020	26.00	135.21	09/04/2020	131.56	0.00	3.65	Sale
09/15/2020	1.00	5.36	09/04/2020	5.06	0.00	0.30	Sale
Security Totals:		263.37		253.00		10.37	
CALL AMD 11/20/20 85 ADVANCED MICRO DEVICES INC CUSIP: Symbol: AMD201120C00085000							
11/16/2020	1.00	88.90	11/16/2020	87.08	0.00	1.82	Sell to Close
***FARMMI INC ORDINARY SHARES CUSIP: G33277107 Symbol: FAMI							
06/18/2020	200.00	225.97	06/18/2020	206.00	0.00	19.97	Sale
06/18/2020	299.00	361.74	06/18/2020	307.97	0.00	53.77	Sale
06/18/2020	300.00	350.95	06/18/2020	309.00	0.00	41.95	Sale
06/18/2020	300.00	328.45	06/18/2020	309.00	0.00	19.45	Sale
06/18/2020	400.00	457.93	06/18/2020	412.00	0.00	45.93	Sale
06/30/2020	50.00	36.48	Various	33.62	0.3 D	3.16	Sale
06/30/2020	50.00	36.08	06/30/2020	33.25	0.00	2.83	Sale
06/30/2020	100.00	72.06	Various	66.79	0.00	5.27	Sale
07/15/2020	51.00	34.68	06/30/2020	33.91	0.00	0.77	Sale
08/14/2020	20.00	17.78	08/14/2020	17.00	0.00	0.78	Sale
08/14/2020	101.00	86.84	08/14/2020	85.85	0.00	0.99	Sale
08/14/2020	400.00	359.54	08/14/2020	340.00	0.00	19.54	Sale

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***FARMMI INC ORDINARY SHARES CUSIP: G33277107 Symbol: FAMI							
08/14/2020	479.00	392.71	08/14/2020	407.15	0.00	-14.44	Sale
Security Totals:		2,761.21		2,561.54		199.97	
PUT SPY 12/30/20 371 STANDARD & POORS DEPOSITORY CUSIP: Symbol: SPY201230P00371000							
12/28/2020	1.00	97.90	12/28/2020	137.25	39.35 D	0.00	Sell to Close
12/28/2020	1.00	83.90	12/28/2020	137.08	53.18 D	0.00	Sell to Close
12/28/2020	1.00	84.90	12/28/2020	137.08	52.18 D	0.00	Sell to Close
12/28/2020	1.00	92.90	12/28/2020	122.25	29.35 D	0.00	Sell to Close
12/28/2020	1.00	94.90	12/28/2020	122.24	0.00	-27.34	Sell to Close
12/28/2020	1.00	91.90	12/28/2020	147.26	0.00	-55.36	Sell to Close
12/28/2020	1.00	112.90	12/28/2020	137.08	24.18 D	0.00	Sell to Close
12/28/2020	1.00	94.90	12/28/2020	122.25	0.00	-27.35	Sell to Close
12/28/2020	1.00	91.90	12/28/2020	121.24	0.00	-29.34	Sell to Close
12/28/2020	2.00	191.82	12/28/2020	284.49	92.67 D	0.00	Sell to Close
12/28/2020	7.00	776.41	12/28/2020	959.57	183.16 D	0.00	Sell to Close
12/28/2020	1.00	94.90	12/28/2020	160.26	65.36 D	0.00	Sell to Close
12/29/2020	1.00	69.90	12/28/2020	108.43	0.00	-38.53	Sell to Close
12/29/2020	1.00	34.90	12/28/2020	146.26	0.00	-111.36	Sell to Close
12/29/2020	2.00	89.83	Various	264.84	0.00	-175.01	Sell to Close
12/29/2020	2.00	77.82	Various	293.86	0.00	-216.04	Sell to Close
Security Totals:		2,181.68		3,401.44		-680.33	
CALL NIO 01/15/21 60 NIO INC ADS CUSIP: Symbol: NIO210115C00060000							
12/01/2020	1.00	394.90	12/01/2020	380.08	0.00	14.82	Sell to Close
CELSION CORPORATION COMMON STOCK CUSIP: 15117N503 Symbol: CLSN							
07/13/2020	100.00	129.10	07/13/2020	125.02	0.00	4.08	Sale
07/13/2020	50.00	65.54	07/13/2020	63.00	0.00	2.54	Sale
07/13/2020	119.00	155.87	07/13/2020	146.37	0.00	9.50	Sale
07/13/2020	136.00	186.29	Various	168.93	0.00	17.36	Sale
07/13/2020	195.00	271.02	07/13/2020	245.70	0.00	25.32	Sale

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APEX CLEARING

Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B*

OMB No. 1545-0715

5KU68797

(continued)

02/02/2021

SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

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CELSION CORPORATION COMMON STOCK CUSIP: 15117N503 Symbol: CLSN							
07/13/2020	200.00	267.97	07/13/2020	252.00	0.00	15.97	Sale
07/13/2020	300.00	377.95	Various	376.00	0.02 D	1.97	Sale
Security Totals:		1,453.74		1,377.02		76.74	
PUT SPY 11/20/20 358 STANDARD & POORS DEPOSITORY CUSIP: Symbol: SPY201120P00358000							
11/19/2020	1.00	171.90	11/19/2020	174.26	0.00	-2.36	Sell to Close
11/19/2020	1.00	169.90	11/19/2020	180.08	10.18 D	0.00	Sell to Close
Security Totals:		341.80		354.34		-2.36	
CALL WYNN 11/20/20 100 WYNN RESORTS LIMITED CUSIP: Symbol: WYNN201120C00100000							
11/16/2020	1.00	91.90	11/16/2020	125.26	33.36 D	0.00	Sell to Close
11/16/2020	1.00	69.90	11/16/2020	130.62	0.00	-60.72	Sell to Close
11/16/2020	1.00	70.90	11/16/2020	126.44	55.54 D	0.00	Sell to Close
11/16/2020	1.00	97.90	11/16/2020	118.08	20.18 D	0.00	Sell to Close
11/16/2020	1.00	134.90	11/16/2020	129.08	0.00	5.82	Sell to Close
Security Totals:		465.50		629.48		-54.90	
PUT SPY 10/09/20 338 STANDARD & POORS DEPOSITORY CUSIP: Symbol: SPY201009P00338000							
10/07/2020	1.00	221.90	10/07/2020	216.08	0.00	5.82	Sell to Close
PUT SPY 10/09/20 336 STANDARD & POORS DEPOSITORY CUSIP: Symbol: SPY201009P00336000							
10/06/2020	1.00	293.90	10/06/2020	276.08	0.00	17.82	Sell to Close
BROADWAY FINANCIAL CORP-DEL CUSIP: 111444105 Symbol: BYFC							
06/24/2020	20.00	56.78	06/24/2020	54.40	0.00	2.38	Sale
06/25/2020	100.00	224.98	Various	262.79	37.81 D	0.00	Sale
06/25/2020	100.00	224.99	Various	281.17	56.18 D	0.00	Sale
06/25/2020	100.00	227.48	Various	264.08	36.60 D	0.00	Sale
06/25/2020	200.00	471.96	Various	518.98	47.02 D	0.00	Sale
06/26/2020	105.00	204.73	Various	257.74	53.01 D	0.00	Sale
06/30/2020	20.00	50.98	Various	66.77	3.92 D	-11.87	Sale
06/30/2020	50.00	157.48	Various	163.62	8.23 D	2.09	Sale
06/30/2020	60.00	142.78	Various	185.61	0.00	-42.83	Sale

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BROADWAY FINANCIAL CORP-DEL CUSIP: 111444105 Symbol: BYFC							
06/30/2020	100.00	255.98	Various	324.10	68.12 D	0.00	Sale
06/30/2020	100.00	244.48	Various	316.27	0.00	-71.79	Sale
06/30/2020	100.00	267.48	Various	349.88	82.40 D	0.00	Sale
06/30/2020	100.00	271.48	Various	357.01	85.53 D	0.00	Sale
06/30/2020	10.00	31.38	06/30/2020	34.26	2.88 D	0.00	Sale
06/30/2020	100.00	268.98	Various	328.25	59.27 D	0.00	Sale
06/30/2020	100.00	278.98	Various	357.57	78.59 D	0.00	Sale
06/30/2020	100.00	276.98	Various	364.38	87.40 D	0.00	Sale
08/04/2020	150.00	284.97	Various	321.50	36.53 D	0.00	Sale
08/05/2020	200.00	369.97	Various	434.28	0.00	-64.31	Sale
Security Totals:		4,312.84		5,242.66		-186.33	
DIGITAL ALLY INC COM CUSIP: 25382P208 Symbol: DGLY							
06/01/2020	50.00	104.98	06/01/2020	103.50	0.00	1.48	Sale
06/01/2020	50.00	114.98	06/01/2020	117.51	0.00	-2.53	Sale
06/01/2020	300.00	710.94	Various	746.00	1.01 D	-34.05	Sale
06/01/2020	500.00	1,224.91	06/01/2020	1,115.00	0.00	109.91	Sale
Security Totals:		2,155.81		2,082.01		74.81	
CALL FB 12/04/20 290 FACEBOOK INC CL A CUSIP: Symbol: FB201204C00290000							
12/03/2020	1.00	93.90	12/03/2020	96.08	0.00	-2.18	Sell to Close
12/03/2020	1.00	99.90	12/03/2020	96.08	0.00	3.82	Sell to Close
Security Totals:		193.80		192.16		1.64	
PUT SPY 12/31/20 372 STANDARD & POORS DEPOSITORY CUSIP: Symbol: SPY201231P00372000							
12/29/2020	1.00	144.90	12/29/2020	144.08	0.00	0.82	Sell to Close
12/29/2020	1.00	142.90	12/29/2020	145.08	2.18 D	0.00	Sell to Close
12/29/2020	1.00	151.90	12/29/2020	141.08	0.00	10.82	Sell to Close
12/29/2020	1.00	146.90	12/29/2020	142.08	0.00	4.82	Sell to Close
12/29/2020	1.00	143.91	12/29/2020	140.26	0.00	3.65	Sell to Close

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2020 Form 1099-B*

OMB No. 1545-0715

5KU68797

(continued)

02/02/2021

SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

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12/30/2020	1.00	95.90	12/30/2020	94.08	0.00	1.82	Sell to Close
Security Totals:		826.41		806.66		21.93	
PUT WKHS 10/02/20 28 WORKHORSE GROUP INC CUSIP: Symbol: WKHS201002P00028000							
09/29/2020	1.00	194.90	09/28/2020	165.08	0.00	29.82	Sell to Close
CALL CVS 11/20/20 55 CVS HEALTH CORPORATION CUSIP: Symbol: CVS201120C00055000							
09/25/2020	1.00	409.89	09/25/2020	380.09	0.00	29.80	Sell to Close
***LUCKIN COFFEE INC AMERICAN DEPOSITARY SHARES CUSIP: 54951L109 Symbol: LK							
04/02/2020	90.00	602.97	Various	597.00	0.00	5.97	Sale
04/03/2020	2.00	12.70	04/03/2020	10.20	0.00	2.50	Sale
04/03/2020	98.00	615.19	Various	506.20	0.00	108.99	Sale
04/03/2020	400.00	2,273.89	04/03/2020	2,216.00	0.00	57.89	Sale
05/20/2020	100.00	292.99	05/20/2020	304.00	11.01 D	0.00	Sale
05/20/2020	200.00	585.96	Various	580.01	11.02 D	16.97	Sale
05/27/2020	100.00	247.98	05/27/2020	272.02	24.04 D	0.00	Sale
05/27/2020	100.00	251.98	05/27/2020	277.04	0.00	-25.06	Sale
Security Totals:		4,883.66		4,762.47		167.26	
CALL STLD 01/15/21 40 STEEL DYNAMICS INC CUSIP: Symbol: STLD210115C00040000							
12/10/2020	1.00	204.90	12/10/2020	185.08	0.00	19.82	Sell to Close
12/11/2020	1.00	169.90	12/11/2020	157.98	0.00	11.92	Sell to Close
12/11/2020	1.00	149.90	12/11/2020	180.08	30.18 D	0.00	Sell to Close
12/11/2020	1.00	199.90	12/11/2020	195.08	0.00	4.82	Sell to Close
12/11/2020	1.00	154.90	12/11/2020	195.26	40.36 D	0.00	Sell to Close
12/11/2020	1.00	154.90	12/11/2020	192.44	37.54 D	0.00	Sell to Close
12/11/2020	1.00	154.90	12/11/2020	182.62	27.72 D	0.00	Sell to Close
12/11/2020	1.00	159.90	12/11/2020	172.80	12.9 D	0.00	Sell to Close
12/14/2020	1.00	199.90	12/11/2020	145.08	0.00	54.82	Sell to Close
12/15/2020	1.00	114.90	12/15/2020	115.42	0.52 D	0.00	Sell to Close
12/15/2020	3.00	344.74	Various	380.24	35.50 D	0.00	Sell to Close
12/15/2020	3.00	344.74	Various	335.74	15.34 D	24.34	Sell to Close

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(continued)

02/02/2021

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CALL STLD 01/15/21 40 STEEL DYNAMICS INC CUSIP: Symbol: STLD210115C00040000							
12/16/2020	1.00	99.90	12/16/2020	90.60	0.00	9.30	Sell to Close
12/16/2020	1.00	99.90	12/16/2020	95.08	0.00	4.82	Sell to Close
12/29/2020	1.00	24.90	12/18/2020	45.08	20.18 D	0.00	Sell to Close
12/30/2020	1.00	24.90	12/28/2020	45.26	20.36 D	0.00	Sell to Close
Security Totals:		2,603.08		2,713.84		129.84	
CALL QCOM 12/31/20 150 QUALCOMM INC CUSIP: Symbol: QCOM201231C00150000							
12/23/2020	1.00	163.90	12/23/2020	158.08	0.00	5.82	Sell to Close
12/24/2020	1.00	95.90	12/24/2020	124.26	28.36 D	0.00	Sell to Close
12/24/2020	1.00	95.90	12/24/2020	120.44	24.54 D	0.00	Sell to Close
12/24/2020	1.00	143.90	12/23/2020	156.08	12.18 D	0.00	Sell to Close
12/24/2020	1.00	98.90	12/24/2020	117.62	18.72 D	0.00	Sell to Close
12/24/2020	1.00	150.90	12/23/2020	131.44	0.00	19.46	Sell to Close
12/24/2020	1.00	98.90	12/24/2020	118.08	19.18 D	0.00	Sell to Close
12/24/2020	1.00	101.90	12/24/2020	107.80	5.9 D	0.00	Sell to Close
12/24/2020	1.00	147.90	12/23/2020	154.26	6.36 D	0.00	Sell to Close
12/28/2020	1.00	215.90	12/24/2020	93.98	0.00	121.92	Sell to Close
12/28/2020	1.00	77.90	12/28/2020	81.26	0.00	-3.36	Sell to Close
12/28/2020	1.00	86.90	12/28/2020	90.08	3.18 D	0.00	Sell to Close
Security Totals:		1,478.80		1,453.38		143.84	
VERA BRADLEY INC CUSIP: 92335C106 Symbol: VRA							
09/02/2020	50.00	350.98	09/02/2020	340.50	0.00	10.48	Sale
CALL MS 10/23/20 50 MORGAN STANLEY CUSIP: Symbol: MS201023C00050000							
10/08/2020	1.00	110.90	10/08/2020	104.08	0.00	6.82	Sell to Close
10/08/2020	1.00	112.90	10/08/2020	104.08	0.00	8.82	Sell to Close
10/08/2020	2.00	217.82	Various	206.16	0.00	11.66	Sell to Close
10/08/2020	2.00	227.82	10/08/2020	208.16	0.00	19.66	Sell to Close
Security Totals:		669.44		622.48		46.96	

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CALL UPS 10/02/20 167.50 UNITED PARCEL SVC INC CUSIP: Symbol: UPS201002C00167500							
10/01/2020	1.00	120.90	10/01/2020	148.08	27.18 D	0.00	Sell to Close
10/01/2020	1.00	115.90	10/01/2020	153.25	37.35 D	0.00	Sell to Close
10/01/2020	1.00	109.90	10/01/2020	183.42	73.52 D	0.00	Sell to Close
10/01/2020	2.00	237.82	Various	280.49	0.00	-42.67	Sell to Close
10/01/2020	2.00	245.82	Various	330.03	0.00	-84.21	Sell to Close
10/01/2020	4.00	431.66	Various	576.50	144.84 D	0.00	Sell to Close
Security Totals:		1,262.00		1,671.77		-126.88	
CALL MSFT 12/24/20 222.50 MICROSOFT CORP CUSIP: Symbol: MSFT201224C00222500							
12/23/2020	1.00	53.90	12/23/2020	45.08	0.00	8.82	Sell to Close
12/23/2020	3.00	158.74	Various	164.56	0.00	-5.82	Sell to Close
12/23/2020	1.00	72.90	12/23/2020	69.08	0.00	3.82	Sell to Close
12/23/2020	6.00	299.50	Various	309.48	29.32 D	19.34	Sell to Close
12/24/2020	1.00	46.90	12/23/2020	45.08	0.00	1.82	Sell to Close
12/24/2020	1.00	44.90	12/23/2020	45.09	0.00	-0.19	Sell to Close
Security Totals:		676.84		678.37		27.79	
CALL MSFT 12/24/20 220 MICROSOFT CORP CUSIP: Symbol: MSFT201224C00220000							
12/09/2020	1.00	173.90	12/09/2020	170.08	0.00	3.82	Sell to Close
12/09/2020	1.00	191.90	12/09/2020	184.08	0.00	7.82	Sell to Close
12/09/2020	1.00	175.90	12/09/2020	174.08	0.00	1.82	Sell to Close
12/10/2020	1.00	127.90	12/10/2020	145.44	17.54 D	0.00	Sell to Close
12/10/2020	1.00	119.90	12/10/2020	133.08	13.18 D	0.00	Sell to Close
12/10/2020	1.00	121.90	12/10/2020	145.26	23.36 D	0.00	Sell to Close
12/11/2020	1.00	135.90	12/11/2020	191.97	56.07 D	0.00	Sell to Close
12/11/2020	1.00	107.90	12/10/2020	147.62	39.72 D	0.00	Sell to Close
12/11/2020	2.00	205.82	Various	272.88	67.06 D	0.00	Sell to Close
12/15/2020	1.00	103.90	12/15/2020	101.25	0.00	2.65	Sell to Close
12/15/2020	1.00	108.90	12/15/2020	148.15	39.25 D	0.00	Sell to Close
12/16/2020	1.00	149.90	12/16/2020	153.50	3.6 D	0.00	Sell to Close

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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 MSFT 12/24/20 220 MICROSOFT CORP CUSIP: Symbol: MSFT201224C00220000							
12/16/2020	1.00	120.91	12/15/2020	132.33	11.42 D	0.00	Sell to Close
12/17/2020	1.00	211.90	12/17/2020	246.04	0.00	-34.14	Sell to Close
12/17/2020	1.00	216.90	12/17/2020	252.86	35.96 D	0.00	Sell to Close
12/17/2020	1.00	207.90	12/17/2020	241.68	33.78 D	0.00	Sell to Close
Security Totals:		2,481.33		2,840.30		-18.03	
CALL SBUX 11/20/20 90 STARBUCKS CORPORATION CUSIP: Symbol: SBUX201120C00090000							
10/20/2020	1.00	275.90	10/19/2020	330.44	54.54 D	0.00	Sell to Close
10/20/2020	1.00	270.90	10/16/2020	305.08	34.18 D	0.00	Sell to Close
10/20/2020	1.00	280.90	10/16/2020	326.26	45.36 D	0.00	Sell to Close
10/20/2020	1.00	281.90	10/19/2020	311.62	29.72 D	0.00	Sell to Close
10/21/2020	1.00	271.90	10/21/2020	296.80	0.00	-24.90	Sell to Close
Security Totals:		1,381.50		1,570.20		-24.90	
CALL AAPL 12/04/20 123 APPLE INC CUSIP: Symbol: AAPL201204C00123000							
12/03/2020	1.00	119.90	12/03/2020	116.08	0.00	3.82	Sell to Close
CALL GOGO 11/20/20 13 GOGO INC CUSIP: Symbol: GOGO201120C00013000							
10/09/2020	1.00	94.90	10/09/2020	75.08	0.00	19.82	Sell to Close
10/09/2020	1.00	89.90	10/09/2020	77.08	0.00	12.82	Sell to Close
Security Totals:		184.80		152.16		32.64	
CALL GOGO 11/20/20 12 GOGO INC CUSIP: Symbol: GOGO201120C00012000							
10/09/2020	2.00	219.82	10/09/2020	210.16	0.00	9.66	Sell to Close
CALL SPY 10/12/20 347 STANDARD & POORS DEPOSITORY CUSIP: Symbol: SPY201012C00347000							
10/09/2020	1.00	104.90	10/09/2020	101.08	0.00	3.82	Sell to Close
10/09/2020	2.00	195.82	10/09/2020	202.16	0.00	-6.34	Sell to Close
Security Totals:		300.72		303.24		-2.52	
CALL UPS 10/09/20 167.50 UNITED PARCEL SVC INC CUSIP: Symbol: UPS201009C00167500							
09/30/2020	1.00	258.90	09/30/2020	253.08	0.00	5.82	Sell to Close
09/30/2020	1.00	271.90	09/30/2020	252.08	0.00	19.82	Sell to Close
Security Totals:		530.80		505.16		25.64	

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SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

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REGULUS THERAPEUTICS INC COMMON STOCK CUSIP: 75915K200 Symbol: RGLS							
07/29/2020	182.00	207.45	07/29/2020	164.80	0.00	42.65	Sale
07/29/2020	500.00	479.42	Various	544.05	64.63 D	0.00	Sale
07/29/2020	500.00	504.92	07/29/2020	500.00	0.00	4.92	Sale
07/29/2020	768.00	860.05	07/29/2020	695.42	0.00	164.63	Sale
07/29/2020	800.00	763.88	Various	825.28	63.86 D	2.46	Sale
08/03/2020	500.00	346.93	Various	534.42	187.49 D	0.00	Sale
08/03/2020	500.00	357.43	Various	640.56	283.13 D	0.00	Sale
08/03/2020	1,000.00	699.86	Various	1,060.14	360.28 D	0.00	Sale
08/03/2020	1,000.00	699.86	Various	1,085.64	385.78 D	0.00	Sale
08/04/2020	300.00	228.52	Various	340.56	112.04 D	0.00	Sale
08/04/2020	309.00	236.95	Various	355.75	118.80 D	0.00	Sale
08/04/2020	597.00	457.81	Various	683.00	225.19 D	0.00	Sale
08/05/2020	100.00	77.10	Various	146.81	69.71 D	0.00	Sale
08/05/2020	100.00	77.36	07/30/2020	132.59	55.23 D	0.00	Sale
08/05/2020	100.00	76.28	Various	146.11	69.83 D	0.00	Sale
08/05/2020	124.00	93.66	07/29/2020	131.24	37.58 D	0.00	Sale
08/05/2020	212.00	164.03	Various	274.54	110.51 D	0.00	Sale
08/06/2020	106.00	84.89	07/30/2020	133.00	48.11 D	0.00	Sale
08/13/2020	35.00	23.08	Various	38.81	15.73 D	0.00	Sale
08/25/2020	500.00	292.48	Various	545.65	253.17 D	0.00	Sale
08/26/2020	600.00	346.19	Various	662.61	316.42 D	0.00	Sale
08/26/2020	1,000.00	569.96	Various	1,055.91	485.95 D	0.00	Sale
08/26/2020	1,000.00	569.96	Various	1,184.66	614.70 D	0.00	Sale
08/27/2020	666.00	373.40	Various	749.57	72.46 D	-303.71	Sale
08/31/2020	501.00	275.78	Various	572.76	0.00	-296.98	Sale
08/31/2020	1,000.00	537.06	Various	1,111.78	0.00	-574.72	Sale
Security Totals:		9,404.31		14,315.66		-960.75	

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PUT SPY 11/18/20 360 STANDARD & POORS DEPOSITORY CUSIP: Symbol: SPY201118P00360000							
11/17/2020	1.00	130.90	11/17/2020	146.08	0.00	-15.18	Sell to Close
11/17/2020	1.00	132.91	11/17/2020	152.26	0.00	-19.35	Sell to Close
11/17/2020	1.00	127.90	11/17/2020	146.08	18.18 D	0.00	Sell to Close
11/17/2020	1.00	128.90	11/17/2020	146.08	0.00	-17.18	Sell to Close
Security Totals:		520.61		590.50		-51.71	
CALL FSLR 10/09/20 80 FIRST SOLAR INC CUSIP: Symbol: FSLR201009C00080000							
10/07/2020	1.00	129.90	10/07/2020	152.08	22.18 D	0.00	Sell to Close
10/07/2020	1.00	97.90	10/07/2020	119.26	0.00	-21.36	Sell to Close
Security Totals:		227.80		271.34		-21.36	
PUT SPY 11/13/20 330 STANDARD & POORS DEPOSITORY CUSIP: Symbol: SPY201113P00330000							
11/04/2020	1.00	195.90	11/04/2020	192.08	0.00	3.82	Sell to Close
CALL FB 10/09/20 300 FACEBOOK INC CL A CUSIP: Symbol: FB201009C00300000							
09/09/2020	1.00	484.88	09/09/2020	420.09	0.00	64.79	Sell to Close
CALL PYPL 11/20/20 195 PAYPAL HOLDINGS INC CUSIP: Symbol: PYPL201120C00195000							
11/16/2020	1.00	200.90	11/16/2020	188.08	0.00	12.82	Sell to Close
11/16/2020	1.00	198.90	11/16/2020	192.08	0.00	6.82	Sell to Close
11/16/2020	1.00	192.90	11/16/2020	218.08	25.18 D	0.00	Sell to Close
11/16/2020	1.00	201.90	11/16/2020	209.26	7.36 D	0.00	Sell to Close
11/16/2020	1.00	211.90	11/16/2020	207.44	0.00	4.46	Sell to Close
11/16/2020	1.00	201.90	11/16/2020	191.08	0.00	10.82	Sell to Close
11/16/2020	1.00	216.90	11/16/2020	212.08	0.00	4.82	Sell to Close
11/17/2020	1.00	159.90	11/17/2020	203.44	43.54 D	0.00	Sell to Close
11/17/2020	1.00	168.90	11/17/2020	211.79	42.89 D	0.00	Sell to Close
11/17/2020	1.00	211.90	11/17/2020	202.26	0.00	9.64	Sell to Close
11/17/2020	1.00	209.90	11/17/2020	210.08	0.18 D	0.00	Sell to Close
11/17/2020	2.00	363.82	Various	335.16	0.00	28.66	Sell to Close
11/17/2020	2.00	347.82	Various	373.05	39.06 D	13.83	Sell to Close
11/17/2020	2.00	335.82	Various	371.70	39.71 D	3.83	Sell to Close

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APEX CLEARING

Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B*

OMB No. 1545-0715

5KU68797

(continued)

02/02/2021

SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

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

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CALL PYPL 11/20/20 195 PAYPAL HOLDINGS INC CUSIP: Symbol: PYPL201120C00195000							
11/17/2020	1.00	178.90	11/17/2020	215.26	36.36 D	0.00	Sell to Close
11/17/2020	3.00	539.73	Various	521.30	17.23 D	35.66	Sell to Close
11/17/2020	1.00	175.90	11/17/2020	199.08	23.18 D	0.00	Sell to Close
11/18/2020	2.00	169.82	Various	252.38	82.56 D	0.00	Sell to Close
11/18/2020	3.00	233.74	Various	385.47	151.73 D	0.00	Sell to Close
11/18/2020	1.00	93.90	11/18/2020	66.08	0.00	27.82	Sell to Close
11/18/2020	2.00	179.82	Various	133.65	0.00	46.17	Sell to Close
11/18/2020	4.00	335.66	Various	478.05	151.22 D	8.83	Sell to Close
11/18/2020	4.00	331.66	Various	443.54	121.71 D	9.83	Sell to Close
11/20/2020	1.00	17.90	11/20/2020	48.27	0.00	-30.37	Sell to Close
11/20/2020	1.00	19.90	11/20/2020	132.67	0.00	-112.77	Sell to Close
11/20/2020	1.00	19.90	11/20/2020	19.24	0.00	0.66	Sell to Close
11/20/2020	1.00	42.90	11/20/2020	126.97	84.07 D	0.00	Sell to Close
11/20/2020	1.00	43.90	11/20/2020	55.75	11.85 D	0.00	Sell to Close
11/20/2020	1.00	41.90	11/20/2020	125.15	83.25 D	0.00	Sell to Close
11/20/2020	1.00	31.90	11/20/2020	46.93	15.03 D	0.00	Sell to Close
11/20/2020	1.00	13.90	11/20/2020	121.33	107.43 D	0.00	Sell to Close
11/20/2020	7.00	118.42	Various	303.02	156.94 D	-27.66	Sell to Close
Security Totals:		5,813.11		6,999.72		53.87	
***HUDSON CAPITAL INC ORDINARY SHARES CUSIP: G4645C109 Symbol: HUSN							
06/10/2020	200.00	119.95	05/29/2020	105.00	0.00	14.95	Sale
06/10/2020	354.00	281.03	05/29/2020	178.77	0.00	102.26	Sale
06/10/2020	200.00	121.97	05/29/2020	105.00	0.00	16.97	Sale
06/11/2020	146.00	90.07	Various	70.23	0.00	19.84	Sale
Security Totals:		613.02		459.00		154.02	
CALL ZM 10/16/20 500 ZOOM VIDEO COMMUNICATIONS INC CUSIP: Symbol: ZM201016C00500000							
10/12/2020	1.00	1,289.88	10/12/2020	1,350.08	0.00	-60.20	Sell to Close

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2020 Form 1099-B*

OMB No. 1545-0715

5KU68797

(continued)

02/02/2021

SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

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CALL UPS 10/16/20 175 UNITED PARCEL SVC INC CUSIP: Symbol: UPS201016C00175000							
10/08/2020	1.00	260.90	10/08/2020	244.08	0.00	16.82	Sell to Close
10/08/2020	1.00	255.90	10/08/2020	246.08	0.00	9.82	Sell to Close
10/09/2020	1.00	181.90	10/09/2020	192.44	10.54 D	0.00	Sell to Close
10/09/2020	1.00	186.90	10/09/2020	193.62	6.72 D	0.00	Sell to Close
10/09/2020	1.00	192.90	10/09/2020	180.80	0.00	12.10	Sell to Close
10/09/2020	1.00	219.90	10/09/2020	223.26	3.36 D	0.00	Sell to Close
10/09/2020	1.00	223.90	10/09/2020	232.08	8.18 D	0.00	Sell to Close
Security Totals:		1,522.30		1,512.36		38.74	
CALL Z 10/16/20 105 ZILLOW GROUP INC CLASS C CUSIP: Symbol: Z201016C00105000							
10/08/2020	1.00	314.90	10/08/2020	331.08	0.00	-16.18	Sell to Close
***PUHUI WEALTH INVESTMENT MANAGEMENT CO LTD ORDINARY SHARES CUSIP: G7306H101 Symbol: PHCF							
06/25/2020	100.00	550.97	06/25/2020	566.00	0.00	-15.03	Sale
CALL PEP 10/09/20 139 PEPSICO INC CUSIP: Symbol: PEP201009C00139000							
10/02/2020	1.00	181.90	10/02/2020	187.08	5.18 D	0.00	Sell to Close
10/02/2020	1.00	182.90	10/02/2020	193.26	10.36 D	0.00	Sell to Close
10/02/2020	1.00	194.90	10/02/2020	195.44	0.54 D	0.00	Sell to Close
10/02/2020	1.00	161.90	10/02/2020	204.80	42.9 D	0.00	Sell to Close
10/02/2020	1.00	159.90	10/02/2020	182.62	22.72 D	0.00	Sell to Close
10/02/2020	1.00	158.90	10/02/2020	179.15	0.00	-20.25	Sell to Close
10/02/2020	2.00	307.82	Various	349.06	42.07 D	0.83	Sell to Close
Security Totals:		1,348.22		1,491.41		-19.42	
FRANCESCA S HOLDINGS CORPORATION COMMON STOCK CUSIP: 351793203 Symbol: FRAN							
04/06/2020	100.00	227.98	04/03/2020	177.00	0.00	50.98	Sale
04/07/2020	29.00	60.59	04/06/2020	59.74	0.00	0.85	Sale
04/08/2020	371.00	779.04	Various	752.26	0.00	26.78	Sale
Security Totals:		1,067.61		989.00		78.61	
LSB INDUSTRIES INC CUSIP: 502160104 Symbol: LXU							
05/28/2020	60.00	79.18	05/20/2020	64.80	0.00	14.38	Sale

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LSB INDUSTRIES INC CUSIP: 502160104 Symbol: LXU							
05/28/2020	200.00	273.97	Various	216.00	0.00	57.97	Sale
06/08/2020	500.00	737.92	Various	601.39	0.00	136.53	Sale
06/09/2020	100.00	151.98	05/29/2020	118.00	0.00	33.98	Sale
06/09/2020	100.00	145.98	Various	120.00	0.00	25.98	Sale
06/09/2020	100.00	157.98	Various	117.00	0.00	40.98	Sale
06/11/2020	350.00	423.45	Various	388.00	0.00	35.45	Sale
06/12/2020	100.00	133.98	06/02/2020	107.00	0.00	26.98	Sale
06/12/2020	100.00	132.98	06/01/2020	108.00	0.00	24.98	Sale
06/29/2020	10.00	11.78	06/02/2020	10.60	0.00	1.18	Sale
06/29/2020	100.00	117.98	Various	155.78	37.80 D	0.00	Sale
06/29/2020	100.00	118.19	Various	110.70	3.48 D	10.97	Sale
06/29/2020	100.00	119.19	Various	177.52	58.33 D	0.00	Sale
07/01/2020	15.00	18.31	06/09/2020	21.90	3.59 D	0.00	Sale
07/01/2020	50.00	61.09	06/09/2020	73.00	11.91 D	0.00	Sale
07/01/2020	50.00	61.48	Various	81.81	20.33 D	0.00	Sale
07/07/2020	50.00	58.09	06/15/2020	90.41	32.32 D	0.00	Sale
07/08/2020	50.00	56.48	Various	80.87	24.39 D	0.00	Sale
07/10/2020	50.00	55.09	Various	77.88	22.79 D	0.00	Sale
07/14/2020	100.00	107.19	Various	162.22	55.03 D	0.00	Sale
07/14/2020	100.00	106.98	Various	159.82	52.84 D	0.00	Sale
07/14/2020	100.00	106.98	Various	162.03	43.96 D	-11.09	Sale
07/16/2020	20.00	22.38	Various	36.21	0.00	-13.83	Sale
07/16/2020	48.00	55.76	Various	69.61	0.00	-13.85	Sale
07/16/2020	70.00	79.08	Various	122.14	0.00	-43.06	Sale
07/21/2020	47.00	49.33	Various	67.47	0.00	-18.14	Sale
Security Totals:		3,442.80		3,500.16		309.41	
CALL SPY 12/16/20 367 STANDARD & POORS DEPOSITORY CUSIP: Symbol: SPY201216C00367000							
12/14/2020	4.00	647.65	Various	682.99	35.34 D	0.00	Sell to Close

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Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B*

OMB No. 1545-0715

5KU68797

(continued)

02/02/2021

SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

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CALL SPY 12/16/20 367 STANDARD & POORS DEPOSITORY CUSIP: Symbol: SPY201216C00367000							
12/14/2020	4.00	643.65	Various	675.32	31.67 D	0.00	Sell to Close
12/14/2020	1.00	142.90	12/14/2020	131.08	0.00	11.82	Sell to Close
12/14/2020	5.00	749.57	Various	756.58	14.34 D	7.33	Sell to Close
12/14/2020	5.00	754.57	Various	832.25	77.68 D	0.00	Sell to Close
12/14/2020	5.00	754.57	Various	756.40	17.34 D	15.51	Sell to Close
12/14/2020	6.00	905.48	Various	948.49	43.01 D	0.00	Sell to Close
12/14/2020	1.00	139.90	12/14/2020	131.08	0.00	8.82	Sell to Close
12/14/2020	8.00	1,191.30	Various	1,276.98	85.68 D	0.00	Sell to Close
12/14/2020	5.00	744.57	Various	821.58	77.01 D	0.00	Sell to Close
12/14/2020	5.00	749.57	Various	724.08	6.34 D	31.83	Sell to Close
12/14/2020	5.00	759.57	Various	816.57	57.00 D	0.00	Sell to Close
12/14/2020	10.00	1,489.13	Various	1,326.14	0.00	162.99	Sell to Close
Security Totals:		9,672.43		9,879.54		238.30	
***ENTERA BIO LTD ORDINARY SHARES CUSIP: M40527109 Symbol: ENTX							
07/23/2020	100.00	216.98	07/23/2020	222.00	0.00	-5.02	Sale
07/23/2020	342.00	998.57	Various	953.86	0.00	44.71	Sale
07/23/2020	308.00	902.38	Various	870.14	0.00	32.24	Sale
Security Totals:		2,117.93		2,046.00		71.93	
CALL FEYE 10/23/20 14 FIREEYE INC CUSIP: Symbol: FEYE201023C00014000							
10/16/2020	2.00	63.82	Various	68.16	2.17 D	-2.17	Sell to Close
10/16/2020	1.00	34.90	10/16/2020	35.25	0.00	-0.35	Sell to Close
Security Totals:		98.72		103.41		-2.52	
CALL SPY 10/30/20 340 STANDARD & POORS DEPOSITORY CUSIP: Symbol: SPY201030C00340000							
10/26/2020	1.00	342.90	10/26/2020	375.26	0.00	-32.36	Sell to Close
10/26/2020	2.00	641.81	Various	735.16	58.18 D	-35.17	Sell to Close
Security Totals:		984.71		1,110.42		-67.53	
CALL FB 12/24/20 270 FACEBOOK INC CL A CUSIP: Symbol: FB201224C00270000							
12/22/2020	1.00	103.90	12/22/2020	105.26	1.36 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

5KU68797

(continued)

02/02/2021

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
CALL FB 12/24/20 270 FACEBOOK INC CL A CUSIP: Symbol: FB201224C00270000							
12/22/2020	1.00	120.90	12/22/2020	121.08	0.18 D	0.00	Sell to Close
12/22/2020	1.00	103.90	12/22/2020	105.08	1.18 D	0.00	Sell to Close
12/22/2020	1.00	103.90	12/22/2020	105.08	1.18 D	0.00	Sell to Close
12/23/2020	1.00	105.90	12/23/2020	84.24	0.00	21.66	Sell to Close
12/23/2020	1.00	104.90	12/23/2020	81.08	0.00	23.82	Sell to Close
12/23/2020	1.00	106.90	12/23/2020	102.26	0.00	4.64	Sell to Close
12/23/2020	1.00	107.90	12/23/2020	108.43	0.53 D	0.00	Sell to Close
12/23/2020	1.00	93.90	12/23/2020	89.24	0.00	4.66	Sell to Close
12/23/2020	1.00	108.90	12/23/2020	106.61	0.00	2.29	Sell to Close
12/23/2020	1.00	113.90	12/23/2020	103.08	0.00	10.82	Sell to Close
12/23/2020	4.00	359.66	Various	370.32	19.49 D	8.83	Sell to Close
12/23/2020	1.00	88.90	12/23/2020	89.25	0.35 D	0.00	Sell to Close
12/23/2020	1.00	103.90	12/23/2020	96.26	0.00	7.64	Sell to Close
12/23/2020	1.00	127.90	12/23/2020	110.08	0.00	17.82	Sell to Close
12/23/2020	1.00	111.91	12/23/2020	98.44	0.00	13.47	Sell to Close
12/23/2020	1.00	106.90	12/23/2020	102.08	0.00	4.82	Sell to Close
Security Totals:		2,074.07		1,977.87		120.47	
CALL NKLA 11/20/20 35 NIKOLA CORPORATION CUSIP: Symbol: NKLA201120C00035000							
10/13/2020	1.00	89.90	10/12/2020	90.08	0.00	-0.18	Sell to Close
SEQUENTIAL BRANDS GROUP INC COMMON STOCK CUSIP: 81734P206 Symbol: SQBG							
08/25/2020	20.00	122.58	Various	118.80	0.00	3.78	Sale
09/01/2020	40.00	257.98	08/25/2020	236.80	0.00	21.18	Sale
Security Totals:		380.56		355.60		24.96	
CALL DIS 10/16/20 126 WALT DISNEY CO CUSIP: Symbol: DIS201016C00126000							
10/12/2020	1.00	91.90	10/12/2020	109.08	17.18 D	0.00	Sell to Close
10/12/2020	1.00	128.90	10/12/2020	132.11	0.00	-3.21	Sell to Close
10/12/2020	2.00	259.82	10/12/2020	259.49	0.00	0.33	Sell to Close

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APEX CLEARING

Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B*

OMB No. 1545-0715

5KU68797

(continued)

02/02/2021

SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

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

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CALL DIS 10/16/20 126 WALT DISNEY CO CUSIP: Symbol: DIS201016C00126000							
10/12/2020	1.00	98.90	10/12/2020	101.26	2.36 D	0.00	Sell to Close
Security Totals:		579.52		601.94		-2.88	
PUT TSLA 10/02/20 410 TESLA INC ADJ 5:1 STOCK SPLIT CUSIP: Symbol: TSLA201002P00410000							
09/21/2020	1.00	3,529.82	09/21/2020	3,370.09	0.00	159.73	Sell to Close
09/21/2020	1.00	3,105.83	09/21/2020	3,040.09	0.00	65.74	Sell to Close
Security Totals:		6,635.65		6,410.18		225.47	
***UTSTARCOM HOLDINGS CORP SHS CUSIP: G9310A114 Symbol: UTSI							
08/31/2020	10.00	18.38	08/31/2020	19.00	0.62 D	0.00	Sale
08/31/2020	389.00	715.69	Various	694.76	1.13 D	22.06	Sale
08/31/2020	511.00	1,027.02	Various	889.49	0.00	137.53	Sale
Security Totals:		1,761.09		1,603.25		159.59	
APACHE CORP CUSIP: 037411105 Symbol: APA							
03/13/2020	4.00	32.66	Various	32.56	0.00	0.10	Sale
04/07/2020	11.00	70.82	Various	67.63	0.00	3.19	Sale
Security Totals:		103.48		100.19		3.29	
PRECIPIO INC COMMON STOCK CUSIP: 74019L503 Symbol: PRPO							
05/21/2020	100.00	92.48	05/21/2020	106.93	0.00	-14.45	Sale
07/30/2020	11.00	70.82	07/30/2020	57.42	0.00	13.40	Sale
07/30/2020	89.00	558.00	07/30/2020	464.58	0.00	93.42	Sale
08/20/2020	40.00	123.98	08/19/2020	101.00	0.00	22.98	Sale
08/25/2020	99.00	230.65	08/24/2020	227.70	0.00	2.95	Sale
08/27/2020	1.00	2.19	08/24/2020	2.30	0.11 D	0.00	Sale
09/10/2020	110.00	261.78	Various	256.91	0.00	4.87	Sale
12/08/2020	100.00	236.98	12/08/2020	238.00	0.00	-1.02	Sale
Security Totals:		1,576.88		1,454.84		122.15	
ENZO BIOCHEM INC CUSIP: 294100102 Symbol: ENZ							
05/18/2020	100.00	289.98	05/12/2020	301.00	11.02 D	0.00	Sale

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APEX CLEARING

Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B*

OMB No. 1545-0715

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(continued)

02/02/2021

SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

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

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05/19/2020	180.00	538.16	Various	494.02	0.00	44.14	Sale
Security Totals:		828.14		795.02		44.14	
PUT TSLA 10/02/20	420	TESLA INC	ADJ 5:1 STOCK SPLIT CUSIP: Symbol: TSLA201002P00420000				
09/28/2020	1.00	1,629.87	09/28/2020	1,660.08	0.00	-30.21	Sell to Close
CALL PLTR 01/15/21	25	PALANTIR TECHNOLOGIES INC CL A CUSIP: Symbol: PLTR210115C00025000					
12/02/2020	1.00	325.90	12/02/2020	330.08	0.00	-4.18	Sell to Close
CALL SPY 11/23/20	355	STANDARD & POORS DEPOSITORY CUSIP: Symbol: SPY201123C00355000					
11/23/2020	1.00	110.90	11/23/2020	112.08	1.18 D	0.00	Sell to Close
11/23/2020	1.00	116.90	11/23/2020	108.26	0.00	8.64	Sell to Close
Security Totals:		227.80		220.34		8.64	
CALL FL 10/16/20	38	FOOT LOCKER INC CUSIP: Symbol: FL201016C00038000					
10/14/2020	1.00	51.90	10/13/2020	74.08	0.00	-22.18	Sell to Close
CALL BIDU 10/16/20	125	BAIDU INC CUSIP: Symbol: BIDU201016C00125000					
09/29/2020	1.00	329.90	09/29/2020	314.08	0.00	15.82	Sell to Close
09/30/2020	1.00	304.90	09/29/2020	292.26	0.00	12.64	Sell to Close
09/30/2020	1.00	304.90	09/29/2020	310.08	5.18 D	0.00	Sell to Close
Security Totals:		939.70		916.42		28.46	
ALTERYX INC		CLASS A COMMON STOCK CUSIP: 02156B103 Symbol: AYX					
08/11/2020	10.00	1,152.37	08/06/2020	1,374.60	222.23 D	0.00	Sale
08/25/2020	21.00	2,298.97	Various	2,745.93	0.00	-446.96	Sale
Security Totals:		3,451.34		4,120.53		-446.96	
PUT SPY 10/30/20	333	STANDARD & POORS DEPOSITORY CUSIP: Symbol: SPY201030P00333000					
10/29/2020	1.00	259.90	10/29/2020	254.26	0.00	5.64	Sell to Close
10/29/2020	1.00	241.90	10/29/2020	247.08	5.18 D	0.00	Sell to Close
Security Totals:		501.80		501.34		5.64	
CALL CVS 10/23/20	59.50	CVS HEALTH CORPORATION CUSIP: Symbol: CVS201023C00059500					
09/24/2020	1.00	71.89	09/24/2020	72.09	0.00	-0.20	Sell to Close
CALL AMZN 10/09/20	3170	AMAZON.COM INC CUSIP: Symbol: AMZN201009C03170000					
10/02/2020	1.00	6,158.77	10/02/2020	7,010.08	0.00	-851.31	Sell to Close

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APEX CLEARING

Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B*

OMB No. 1545-0715

5KU68797

(continued)

02/02/2021

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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CALL SPY 11/09/20 350 STANDARD & POORS DEPOSITORY CUSIP: Symbol: SPY201109C00350000							
11/06/2020	1.00	260.90	11/06/2020	252.25	0.00	8.65	Sell to Close
11/06/2020	1.00	232.90	11/06/2020	234.25	0.00	-1.35	Sell to Close
11/06/2020	1.00	227.90	11/06/2020	230.43	0.00	-2.53	Sell to Close
11/06/2020	2.00	515.81	Various	519.50	2.35 D	-1.34	Sell to Close
11/06/2020	5.00	1,284.56	Various	1,300.40	15.84 D	0.00	Sell to Close
11/06/2020	1.00	233.90	11/06/2020	227.24	0.00	6.66	Sell to Close
Security Totals:		2,755.97		2,764.07		10.09	
APEX GLOBAL BRANDS INC COMMON STOCK CUSIP: 03755M201 Symbol: APEX							
08/31/2020	300.00	238.75	Various	244.26	6.43 D	0.92	Sale
08/31/2020	300.00	232.45	Various	228.58	0.00	3.87	Sale
Security Totals:		471.20		472.84		4.79	
CALL CRSR 02/19/21 50 CORSAIR GAMING INC CUSIP: Symbol: CRSR210219C00050000							
12/14/2020	1.00	334.90	12/11/2020	310.08	0.00	24.82	Sell to Close
12/23/2020	1.00	424.90	12/23/2020	410.08	0.00	14.82	Sell to Close
Security Totals:		759.80		720.16		39.64	
PUT SPY 10/30/20 332 STANDARD & POORS DEPOSITORY CUSIP: Symbol: SPY201030P00332000							
10/29/2020	1.00	235.90	10/29/2020	228.08	0.00	7.82	Sell to Close
10/29/2020	1.00	227.90	10/29/2020	226.08	0.00	1.82	Sell to Close
10/29/2020	1.00	225.90	10/29/2020	215.08	0.00	10.82	Sell to Close
10/29/2020	1.00	249.90	10/29/2020	241.08	0.00	8.82	Sell to Close
10/29/2020	1.00	222.90	10/29/2020	232.08	9.18 D	0.00	Sell to Close
10/29/2020	1.00	222.90	10/29/2020	215.08	0.00	7.82	Sell to Close
10/29/2020	1.00	238.90	10/29/2020	232.08	0.00	6.82	Sell to Close
10/29/2020	1.00	231.91	10/29/2020	227.26	0.00	4.65	Sell to Close
Security Totals:		1,856.21		1,816.82		48.57	
CALL IBM 10/30/20 125 INTL BUSINESS MACHINE CUSIP: Symbol: IBM201030C00125000							
10/15/2020	1.00	359.90	10/15/2020	355.08	0.00	4.82	Sell to Close

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SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

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MY SIZE INC	COMMON STOCK CUSIP: 62844N208 Symbol: MYSZ						
07/07/2020	30.00	33.88	Various	33.60	0.00	0.28	Sale
07/07/2020	30.00	33.88	07/06/2020	33.75	0.00	0.13	Sale
07/09/2020	100.00	117.98	07/06/2020	111.00	0.00	6.98	Sale
07/10/2020	350.00	398.95	Various	387.95	2.41 D	13.41	Sale
07/13/2020	50.00	62.48	07/08/2020	58.50	0.00	3.98	Sale
07/13/2020	50.00	62.98	07/08/2020	58.50	0.00	4.48	Sale
07/13/2020	200.00	267.97	Various	236.41	0.00	31.56	Sale
07/13/2020	100.00	117.98	Various	116.95	0.16 D	1.19	Sale
07/14/2020	50.00	68.98	07/14/2020	70.51	1.53 D	0.00	Sale
07/14/2020	50.00	69.73	07/14/2020	70.53	0.8 D	0.00	Sale
07/14/2020	50.00	70.48	07/14/2020	68.03	0.00	2.45	Sale
07/14/2020	100.00	139.98	Various	139.53	0.02 D	0.47	Sale
07/14/2020	50.00	66.98	07/14/2020	70.26	3.28 D	0.00	Sale
07/14/2020	100.00	139.98	Various	139.03	0.02 D	0.97	Sale
07/14/2020	100.00	132.98	07/14/2020	138.00	5.02 D	0.00	Sale
07/14/2020	103.00	165.81	07/13/2020	116.05	0.00	49.76	Sale
07/14/2020	200.00	271.97	Various	282.28	10.31 D	0.00	Sale
07/14/2020	200.00	289.97	Various	225.40	0.00	64.57	Sale
07/14/2020	358.00	504.72	Various	410.89	0.00	93.83	Sale
07/14/2020	200.00	264.97	07/14/2020	276.00	11.03 D	0.00	Sale
07/14/2020	609.00	853.51	Various	704.77	0.00	148.74	Sale
07/15/2020	30.00	44.38	07/14/2020	39.93	0.00	4.45	Sale
07/15/2020	20.00	29.58	07/14/2020	26.62	0.00	2.96	Sale
07/15/2020	300.00	452.94	Various	379.68	0.00	73.26	Sale
07/15/2020	20.00	30.18	07/14/2020	26.31	0.00	3.87	Sale
07/27/2020	100.00	141.98	Various	128.80	0.00	13.18	Sale
07/28/2020	122.00	173.22	07/23/2020	158.60	0.00	14.62	Sale

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2020 Form 1099-B*

OMB No. 1545-0715

5KU68797

(continued)

02/02/2021

SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

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MY SIZE INC COMMON STOCK CUSIP: 62844N208 Symbol: MYSZ							
07/29/2020	1.00	1.38	07/23/2020	1.30	0.00	0.08	Sale
08/17/2020	80.00	92.78	08/14/2020	96.80	4.02 D	0.00	Sale
08/18/2020	100.00	118.98	Various	109.71	0.00	9.27	Sale
08/18/2020	250.00	292.46	Various	281.87	3.21 D	13.80	Sale
08/25/2020	64.00	73.90	Various	65.76	0.00	8.14	Sale
08/25/2020	414.00	473.96	Various	437.65	0.00	36.31	Sale
08/27/2020	100.00	109.98	Various	104.40	0.00	5.58	Sale
08/27/2020	100.00	110.98	Various	106.49	0.00	4.49	Sale
08/31/2020	50.00	52.48	08/26/2020	52.97	0.00	-0.49	Sale
08/31/2020	600.00	629.91	08/26/2020	635.60	4.75 D	-0.94	Sale
09/01/2020	36.00	37.24	Various	38.13	0.00	-0.89	Sale
09/01/2020	300.00	317.95	08/26/2020	317.80	0.00	0.15	Sale
09/01/2020	400.00	427.94	Various	425.78	0.00	2.16	Sale
09/01/2020	67.00	72.56	Various	71.00	0.00	1.56	Sale
Security Totals:		7,820.94		7,253.14		614.36	
CALL AMZN 11/06/20 3400 AMAZON.COM INC CUSIP: Symbol: AMZN201106C03400000							
11/05/2020	1.00	1,259.88	11/05/2020	1,486.08	226.2 D	0.00	Sell to Close
11/05/2020	1.00	864.89	11/05/2020	1,206.28	341.39 D	0.00	Sell to Close
11/05/2020	1.00	494.89	11/05/2020	841.47	0.00	-346.58	Sell to Close
Security Totals:		2,619.66		3,533.83		-346.58	
PUT MS 12/18/20 60 MORGAN STANLEY CUSIP: Symbol: MS201218P00060000							
11/25/2020	1.00	98.90	11/24/2020	78.08	0.00	20.82	Sell to Close
11/25/2020	1.00	91.90	11/24/2020	87.08	0.00	4.82	Sell to Close
Security Totals:		190.80		165.16		25.64	
CALL TSLA 11/13/20 500 TESLA INC CUSIP: Symbol: TSLA201113C00500000							
11/09/2020	1.00	33.90	11/09/2020	45.08	0.00	-11.18	Sell to Close
***FUWEI FILMS HOLDINGS CO LTD ORDINARY SHARES CUSIP: G3704F110 Symbol: FFHL							
09/04/2020	64.00	343.66	09/04/2020	340.48	0.00	3.18	Sale

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APEX CLEARING

Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B*

OMB No. 1545-0715

5KU68797

(continued)

02/02/2021

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
09/08/2020	71.00	279.01	Various	367.82	0.00	-88.81	Sale
Security Totals:		622.67		708.30		-85.63	
CALL GHIV 02/19/21 15			GORES HOLDINGS IV INC CL A CUSIP: Symbol: GHIV210219C00015000				
12/23/2020	1.00	119.90	12/21/2020	100.08	0.00	19.82	Sell to Close
CALL CRM 02/19/21 270			SALESFORCE.COM INC CUSIP: Symbol: CRM210219C00270000				
11/30/2020	1.00	819.89	11/30/2020	815.08	0.00	4.81	Sell to Close
LIPOCINE INC CUSIP: 53630X104 Symbol: LPCN							
08/26/2020	50.00	79.48	08/25/2020	72.75	0.00	6.73	Sale
08/26/2020	100.00	162.98	Various	144.50	0.00	18.48	Sale
08/28/2020	26.00	37.42	08/28/2020	33.29	0.00	4.13	Sale
08/28/2020	216.00	289.40	Various	334.30	0.00	-44.90	Sale
08/28/2020	258.00	325.04	Various	383.89	57.73 D	-1.12	Sale
Security Totals:		894.32		968.73		-16.68	
PUT FDX 10/16/20 230			FEDEX CORP CUSIP: Symbol: FDX201016P00230000				
09/16/2020	1.00	354.89	09/16/2020	435.29	80.4 D	0.00	Sell to Close
09/16/2020	1.00	359.89	09/16/2020	370.28	0.00	-10.39	Sell to Close
09/16/2020	1.00	364.89	09/16/2020	405.49	0.00	-40.60	Sell to Close
09/16/2020	2.00	749.79	09/16/2020	840.18	90.39 D	0.00	Sell to Close
Security Totals:		1,829.46		2,051.24		-50.99	
ICONIX BRAND GROUP INC COMMON STOCK CUSIP: 451055305 Symbol: ICON							
08/04/2020	290.00	353.76	Various	338.16	0.00	15.60	Sale
CALL SPY 10/30/20 328			STANDARD & POORS DEPOSITORY CUSIP: Symbol: SPY201030C00328000				
10/28/2020	1.00	362.90	10/28/2020	366.08	3.18 D	0.00	Sell to Close
10/28/2020	1.00	391.90	10/28/2020	385.26	0.00	6.64	Sell to Close
10/28/2020	1.00	391.90	10/28/2020	380.08	0.00	11.82	Sell to Close
10/28/2020	1.00	381.90	10/28/2020	392.08	10.18 D	0.00	Sell to Close
10/28/2020	1.00	369.90	10/28/2020	392.26	22.36 D	0.00	Sell to Close
10/29/2020	1.00	265.90	10/29/2020	275.44	0.00	-9.54	Sell to Close
Security Totals:		2,164.40		2,191.20		8.92	

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APEX CLEARING

Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B*

OMB No. 1545-0715

5KU68797

(continued)

02/02/2021

SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

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

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PUT SPY 10/30/20 328 STANDARD & POORS DEPOSITORY CUSIP: Symbol: SPY201030P00328000							
10/28/2020	1.00	343.90	10/28/2020	346.08	2.18 D	0.00	Sell to Close
10/29/2020	1.00	212.90	10/29/2020	234.26	0.00	-21.36	Sell to Close
Security Totals:		556.80		580.34		-21.36	
CALL SPY 10/30/20 329 STANDARD & POORS DEPOSITORY CUSIP: Symbol: SPY201030C00329000							
10/29/2020	1.00	254.90	10/29/2020	250.08	0.00	4.82	Sell to Close
10/29/2020	1.00	256.90	10/29/2020	253.08	0.00	3.82	Sell to Close
10/29/2020	1.00	259.90	10/29/2020	250.08	0.00	9.82	Sell to Close
Security Totals:		771.70		753.24		18.46	
CALL BYND 10/02/20 167.50 BEYOND MEAT INC CUSIP: Symbol: BYND201002C00167500							
10/01/2020	1.00	329.90	10/01/2020	325.08	0.00	4.82	Sell to Close
PUT SPY 10/30/20 329 STANDARD & POORS DEPOSITORY CUSIP: Symbol: SPY201030P00329000							
10/29/2020	1.00	263.90	10/29/2020	266.44	2.54 D	0.00	Sell to Close
10/29/2020	1.00	300.90	10/29/2020	282.62	0.00	18.28	Sell to Close
10/29/2020	1.00	280.90	10/29/2020	270.08	0.00	10.82	Sell to Close
10/29/2020	1.00	265.90	10/29/2020	269.08	3.18 D	0.00	Sell to Close
10/29/2020	1.00	256.90	10/29/2020	271.08	14.18 D	0.00	Sell to Close
10/29/2020	1.00	247.90	10/29/2020	246.08	0.00	1.82	Sell to Close
10/29/2020	1.00	272.90	10/29/2020	280.26	7.36 D	0.00	Sell to Close
10/30/2020	1.00	190.90	10/30/2020	166.26	0.00	24.64	Sell to Close
Security Totals:		2,080.20		2,051.90		55.56	
CALL AMZN 10/30/20 3100 AMAZON.COM INC CUSIP: Symbol: AMZN201030C03100000							
10/30/2020	1.00	1,734.87	10/30/2020	1,680.08	0.00	54.79	Sell to Close
PUT AAPL 11/20/20 118 APPLE INC CUSIP: Symbol: AAPL201120P00118000							
11/12/2020	1.00	189.90	11/12/2020	190.08	0.00	-0.18	Sell to Close
11/12/2020	1.00	186.90	11/12/2020	190.08	0.00	-3.18	Sell to Close
Security Totals:		376.80		380.16		-3.36	
AVINGER INC COMMON STOCK CUSIP: 053734604 Symbol: AVGR							
05/06/2020	1,139.00	331.87	Various	310.67	0.00	21.20	Sale

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SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

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

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

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

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1c - Date Sold or Disposed	Quantity	1d - Proceeds	1b - Date Acquired	1e - Cost or Other Basis	1f - Accrued Market Discount (M) & 1g - Wash Sale Loss Disallowed (D)	Gain or Loss (-)	Additional Notes
CALL JPM 10/30/20 101 JPMORGAN CHASE & CO CUSIP: Symbol: JPM201030C00101000							
10/16/2020	1.00	219.90	10/16/2020	263.08	43.18 D	0.00	Sell to Close
10/16/2020	1.00	230.90	10/16/2020	287.26	56.36 D	0.00	Sell to Close
10/16/2020	1.00	244.90	10/16/2020	250.62	0.00	-5.72	Sell to Close
10/16/2020	1.00	233.90	10/16/2020	276.44	42.54 D	0.00	Sell to Close
Security Totals:		929.60		1,077.40		-5.72	
PUT AAPL 12/18/20 125 APPLE INC ADJ 4:1 STOCK SPLIT CUSIP: Symbol: AAPL201218P00125000							
12/15/2020	1.00	117.90	12/15/2020	115.60	0.00	2.30	Sell to Close
12/15/2020	1.00	114.90	12/15/2020	153.08	38.18 D	0.00	Sell to Close
12/15/2020	1.00	123.90	12/15/2020	119.78	0.00	4.12	Sell to Close
12/15/2020	1.00	119.90	12/15/2020	240.78	120.88 D	0.00	Sell to Close
12/15/2020	1.00	119.90	12/15/2020	124.60	4.7 D	0.00	Sell to Close
12/15/2020	1.00	121.90	12/15/2020	278.44	156.54 D	0.00	Sell to Close
12/15/2020	1.00	118.90	12/15/2020	228.96	110.06 D	0.00	Sell to Close
12/15/2020	1.00	118.90	12/15/2020	226.14	107.24 D	0.00	Sell to Close
12/15/2020	2.00	257.82	Various	278.86	21.04 D	0.00	Sell to Close
12/15/2020	3.00	350.74	Various	550.96	200.22 D	0.00	Sell to Close
12/15/2020	1.00	100.90	12/15/2020	180.08	79.18 D	0.00	Sell to Close
12/15/2020	1.00	83.90	12/15/2020	191.32	0.00	-107.42	Sell to Close
12/15/2020	1.00	120.90	12/15/2020	148.25	27.35 D	0.00	Sell to Close
12/15/2020	1.00	115.90	12/15/2020	241.26	125.36 D	0.00	Sell to Close
12/15/2020	1.00	82.91	12/15/2020	84.08	0.00	-1.17	Sell to Close
Security Totals:		2,069.27		3,162.19		-102.17	
INVESCO MORTGAGE CAPITAL INC CUSIP: 46131B100 Symbol: IVR							
05/05/2020	180.00	529.20	Various	500.10	0.00	29.10	Sale
07/13/2020	19.00	63.11	06/25/2020	68.78	0.00	-5.67	Sale
07/15/2020	1.00	3.59	06/25/2020	3.62	0.00	-0.03	Sale
Security Totals:		595.90		572.50		23.40	

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APEX CLEARING

Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B*

OMB No. 1545-0715

5KU68797

(continued)

02/02/2021

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 10/30/20	332	STANDARD & POORS DEPOSITORY CUSIP: Symbol: SPY201030C00332000					
10/28/2020	1.00	320.90	10/28/2020	343.08	0.00	-22.18	Sell to Close
10/28/2020	1.00	364.90	10/28/2020	352.08	0.00	12.82	Sell to Close
Security Totals:		685.80		695.16		-9.36	
CALL SPY 11/30/20	360	STANDARD & POORS DEPOSITORY CUSIP: Symbol: SPY201130C00360000					
11/30/2020	1.00	116.90	11/30/2020	112.08	0.00	4.82	Sell to Close
JAGUAR HEALTH INC		COMMON STOCK CUSIP: 47010C409 Symbol: JAGX					
08/24/2020	500.00	196.57	08/24/2020	205.14	1.71 D	-6.86	Sale
09/10/2020	100.00	54.78	09/10/2020	48.38	0.00	6.40	Sale
12/31/2020	100.00	80.98	12/30/2020	69.02	0.00	11.96	Sale
Security Totals:		332.33		322.54		11.50	
CALL FB 12/24/20	275	FACEBOOK INC CL A CUSIP: Symbol: FB201224C00275000					
12/22/2020	1.00	42.90	12/22/2020	190.44	147.54 D	0.00	Sell to Close
12/22/2020	1.00	47.90	12/22/2020	184.62	0.00	-136.72	Sell to Close
12/22/2020	1.00	139.90	12/22/2020	169.08	29.18 D	0.00	Sell to Close
12/22/2020	1.00	45.90	12/22/2020	157.26	111.36 D	0.00	Sell to Close
Security Totals:		276.60		701.40		-136.72	
CALL BB 01/21/22	10	BLACKBERRY LIMITED CUSIP: Symbol: BB220121C00010000					
12/01/2020	1.00	184.90	12/01/2020	185.08	0.00	-0.18	Sell to Close
CALL HYLN 11/27/20	27	HYLIION HOLDINGS CORPORATION CUSIP: Symbol: HYLN201127C00027000					
11/24/2020	1.00	29.90	11/24/2020	70.08	0.00	-40.18	Sell to Close
CALL SPY 10/30/20	330	STANDARD & POORS DEPOSITORY CUSIP: Symbol: SPY201030C00330000					
10/28/2020	1.00	362.90	10/28/2020	340.26	0.00	22.64	Sell to Close
10/28/2020	1.00	350.90	10/28/2020	364.08	13.18 D	0.00	Sell to Close
Security Totals:		713.80		704.34		22.64	
CALL AAPL 01/08/21	134	APPLE INC CUSIP: Symbol: AAPL210108C00134000					
12/30/2020	1.00	272.90	12/30/2020	266.08	0.00	6.82	Sell to Close
PUT SPY 10/30/20	330	STANDARD & POORS DEPOSITORY CUSIP: Symbol: SPY201030P00330000					
10/28/2020	1.00	365.90	10/28/2020	372.08	0.00	-6.18	Sell to Close

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APEX CLEARING

Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B*

OMB No. 1545-0715

5KU68797

(continued)

02/02/2021

SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

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CALL AMZN 11/06/20 3350 AMAZON.COM INC CUSIP: Symbol: AMZN201106C03350000							
11/05/2020	1.00	2,449.85	11/05/2020	2,305.08	0.00	144.77	Sell to Close
11/05/2020	1.00	3,334.83	11/05/2020	2,845.08	0.00	489.75	Sell to Close
Security Totals:		5,784.68		5,150.16		634.52	
***NOBLE CORPORATION PLC COMMON STOCK CUSIP: G65431101 Symbol: NE							
07/22/2020	1,479.00	436.12	Various	395.90	0.00	40.22	Sale
07/23/2020	21.00	5.86	07/22/2020	5.60	0.00	0.26	Sale
Security Totals:		441.98		401.50		40.48	
PUT SPY 10/30/20 331 STANDARD & POORS DEPOSITORY CUSIP: Symbol: SPY201030P00331000							
10/29/2020	1.00	171.90	10/29/2020	199.26	0.00	-27.36	Sell to Close
10/29/2020	1.00	194.90	10/29/2020	211.08	16.18 D	0.00	Sell to Close
Security Totals:		366.80		410.34		-27.36	
CALL JPM 12/18/20 105 JPMORGAN CHASE & CO CUSIP: Symbol: JPM201218C00105000							
11/04/2020	1.00	279.90	11/04/2020	266.08	0.00	13.82	Sell to Close
11/04/2020	1.00	274.90	11/04/2020	270.08	0.00	4.82	Sell to Close
Security Totals:		554.80		536.16		18.64	
***SPHERE 3D CORP NEW COM NO PAR CUSIP: 84841L308 Symbol: ANY							
07/24/2020	63.00	201.58	Various	187.44	0.00	14.14	Sale
07/27/2020	6.00	27.04	07/23/2020	17.28	0.00	9.76	Sale
07/30/2020	1.00	3.19	07/23/2020	2.88	0.00	0.31	Sale
Security Totals:		231.81		207.60		24.21	
CALL WMT 10/23/20 145 WALMART INC CUSIP: Symbol: WMT201023C00145000							
10/16/2020	1.00	171.90	10/16/2020	168.08	0.00	3.82	Sell to Close
CLEAR CHANNEL OUTDOOR HOLDINGS INC COMMON STOCK CUSIP: 18453H106 Symbol: CCO							
03/31/2020	100.00	64.17	03/26/2020	57.50	0.00	6.67	Sale
CALL JPM 10/30/20 100 JPMORGAN CHASE & CO CUSIP: Symbol: JPM201030C00100000							
10/27/2020	1.00	122.90	10/27/2020	89.08	0.00	33.82	Sell to Close
10/27/2020	1.00	101.90	10/27/2020	116.25	14.35 D	0.00	Sell to Close
10/27/2020	1.00	101.90	10/27/2020	121.08	19.18 D	0.00	Sell to Close
10/27/2020	1.00	98.90	10/27/2020	96.26	0.00	2.64	Sell to Close

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2020 Form 1099-B*

OMB No. 1545-0715

5KU68797

(continued)

02/02/2021

SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

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CALL JPM 10/30/20 100 JPMORGAN CHASE & CO CUSIP: Symbol: JPM201030C00100000							
10/27/2020	2.00	203.82	Various	231.14	27.32 D	0.00	Sell to Close
10/27/2020	1.00	103.90	10/27/2020	94.08	0.00	9.82	Sell to Close
10/27/2020	2.00	217.82	10/27/2020	188.16	0.00	29.66	Sell to Close
10/27/2020	1.00	97.90	10/27/2020	100.08	2.18 D	0.00	Sell to Close
10/27/2020	2.00	219.82	10/27/2020	178.16	0.00	41.66	Sell to Close
10/27/2020	3.00	317.74	Various	275.60	0.00	42.14	Sell to Close
10/27/2020	2.00	207.82	Various	182.49	0.00	25.33	Sell to Close
10/27/2020	3.00	326.74	Various	270.24	0.00	56.50	Sell to Close
10/27/2020	2.00	231.82	10/27/2020	178.16	0.00	53.66	Sell to Close
10/27/2020	3.00	296.74	10/27/2020	324.24	27.5 D	0.00	Sell to Close
10/27/2020	3.00	317.74	Various	357.24	39.50 D	0.00	Sell to Close
10/27/2020	4.00	407.66	Various	412.99	14.00 D	8.67	Sell to Close
10/27/2020	3.00	332.74	10/27/2020	267.25	0.00	65.49	Sell to Close
10/27/2020	4.00	431.66	Various	367.97	0.00	63.69	Sell to Close
10/27/2020	3.00	335.74	10/27/2020	267.24	0.00	68.50	Sell to Close
10/27/2020	4.00	423.66	Various	471.34	47.68 D	0.00	Sell to Close
10/27/2020	4.00	407.66	Various	388.98	0.33 D	19.01	Sell to Close
10/27/2020	4.00	427.66	Various	470.00	44.00 D	1.66	Sell to Close
10/27/2020	2.00	199.82	10/27/2020	232.49	32.67 D	0.00	Sell to Close
10/27/2020	8.00	807.33	Various	863.14	55.81 D	0.00	Sell to Close
10/28/2020	10.00	349.16	Various	1,247.46	898.30 D	0.00	Sell to Close
10/28/2020	6.00	149.50	Various	738.43	0.00	-588.93	Sell to Close
10/28/2020	10.00	239.16	Various	1,181.11	579.95 D	-362.00	Sell to Close
10/28/2020	10.00	459.15	Various	895.80	436.65 D	0.00	Sell to Close
Security Totals:		7,938.36		10,606.46		-428.68	
MARCHEX INC CUSIP: 56624R108 Symbol: MCHX							
08/11/2020	100.00	187.98	Various	236.52	14.36 D	-34.18	Sale
08/11/2020	60.00	110.98	08/10/2020	137.40	26.42 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

5KU68797

(continued)

02/02/2021

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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08/13/2020	35.00	63.07	Various	80.71	0.00	-17.64	Sale
Security Totals:		362.03		454.63		-51.82	
DIREXION SHARES ETF TRUST DIREXION DAILY GOLD MINERS INDEX BULL 2X SHARES CUSIP: 25460E844 Symbol: NUGT							
03/25/2020	10.00	85.08	03/25/2020	84.10	0.00	0.98	Sale
HERTZ GLOBAL HOLDINGS INC COMMON STOCK CUSIP: 42806J106 Symbol: HTZ							
05/26/2020	100.00	68.99	05/26/2020	66.00	0.00	2.99	Sale
05/27/2020	100.00	113.98	Various	114.00	1.51 D	1.49	Sale
05/27/2020	350.00	433.95	05/27/2020	388.50	0.00	45.45	Sale
05/27/2020	641.00	788.33	05/27/2020	711.51	0.00	76.82	Sale
05/27/2020	1,386.00	1,565.98	Various	1,423.31	0.52 D	143.19	Sale
05/28/2020	200.00	237.97	Various	231.38	4.31 D	10.90	Sale
05/28/2020	300.00	347.95	Various	354.45	9.66 D	3.16	Sale
05/28/2020	203.00	231.39	Various	213.30	0.00	18.09	Sale
05/28/2020	300.00	323.95	Various	319.40	2.21 D	6.76	Sale
06/01/2020	50.00	50.98	Various	51.36	0.38 D	0.00	Sale
06/04/2020	80.00	111.18	Various	132.80	21.62 D	0.00	Sale
06/04/2020	135.00	184.92	Various	219.88	34.96 D	0.00	Sale
06/05/2020	50.00	131.48	Various	139.11	7.94 D	0.31	Sale
06/05/2020	367.00	1,148.64	06/05/2020	1,045.95	0.00	102.69	Sale
06/05/2020	600.00	1,847.88	Various	1,730.35	4.54 D	122.07	Sale
06/05/2020	24.00	46.54	Various	33.48	0.00	13.06	Sale
06/08/2020	24.00	77.50	Various	62.82	0.00	14.68	Sale
06/12/2020	149.00	518.48	Various	450.19	0.00	68.29	Sale
06/29/2020	1.00	1.42	06/12/2020	2.86	0.00	-1.44	Sale
Security Totals:		8,231.51		7,690.65		628.51	
CALL SPY 12/18/20 370 STANDARD & POORS DEPOSITORY CUSIP: Symbol: SPY201218C00370000							
12/16/2020	1.00	168.90	12/16/2020	162.08	0.00	6.82	Sell to Close
12/16/2020	1.00	149.90	12/16/2020	160.08	10.18 D	0.00	Sell to Close
12/16/2020	1.00	143.90	12/16/2020	160.26	16.36 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

5KU68797

(continued)

02/02/2021

SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

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

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CALL SPY 12/18/20 370 STANDARD & POORS DEPOSITORY CUSIP: Symbol: SPY201218C00370000							
12/16/2020	1.00	157.90	12/16/2020	157.61	0.00	0.29	Sell to Close
12/16/2020	1.00	150.91	12/16/2020	159.44	8.53 D	0.00	Sell to Close
12/16/2020	1.00	177.90	12/16/2020	163.08	0.00	14.82	Sell to Close
Security Totals:		949.41		962.55		21.93	
CALL NIO 10/09/20 21 NIO INC ADS CUSIP: Symbol: NIO201009C00021000							
09/29/2020	1.00	156.90	09/29/2020	160.44	3.54 D	0.00	Sell to Close
09/29/2020	1.00	169.90	09/29/2020	181.08	11.18 D	0.00	Sell to Close
09/29/2020	1.00	162.90	09/29/2020	166.26	3.36 D	0.00	Sell to Close
10/02/2020	1.00	134.91	10/02/2020	142.62	0.00	-7.71	Sell to Close
Security Totals:		624.61		650.40		-7.71	
NEWGIOCO GROUP INC COMMON STOCK CUSIP: 65136T205 Symbol: NWGI							
09/09/2020	30.00	62.68	09/09/2020	64.80	2.12 D	0.00	Sale
09/09/2020	40.00	83.98	09/09/2020	86.40	2.42 D	0.00	Sale
09/09/2020	50.00	106.23	Various	95.40	0.00	10.83	Sale
09/09/2020	50.00	100.98	Various	105.61	4.63 D	0.00	Sale
09/09/2020	100.00	202.98	Various	199.46	0.62 D	4.14	Sale
09/09/2020	100.00	211.98	Various	189.87	0.00	22.11	Sale
09/09/2020	150.00	260.97	09/09/2020	273.00	0.00	-12.03	Sale
Security Totals:		1,029.80		1,014.54		25.05	
CALL VZ 10/23/20 60 VERIZON COMMUNICATIONS CUSIP: Symbol: VZ201023C00060000							
10/09/2020	2.00	119.82	10/09/2020	116.16	0.00	3.66	Sell to Close
10/12/2020	3.00	182.74	10/09/2020	174.24	0.00	8.50	Sell to Close
10/12/2020	3.00	182.74	Various	163.74	0.00	19.00	Sell to Close
10/12/2020	5.00	284.58	10/09/2020	290.41	5.83 D	0.00	Sell to Close
10/12/2020	2.00	121.82	10/12/2020	106.49	0.00	15.33	Sell to Close
Security Totals:		891.70		851.04		46.49	
PUT MSFT 11/13/20 215 MICROSOFT CORP CUSIP: Symbol: MSFT201113P00215000							
11/04/2020	1.00	364.90	11/04/2020	365.08	0.00	-0.18	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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EQUILLIUM INC COMMON STOCK CUSIP: 29446K106 Symbol: EQ							
07/13/2020	20.00	167.18	07/13/2020	185.40	18.22 D	0.00	Sale
07/13/2020	20.00	173.58	07/13/2020	180.22	6.64 D	0.00	Sale
07/13/2020	29.00	299.84	07/13/2020	234.90	0.00	64.94	Sale
07/13/2020	71.00	633.29	07/13/2020	575.10	0.00	58.19	Sale
07/13/2020	40.00	471.17	Various	328.44	0.00	142.73	Sale
08/10/2020	40.00	531.97	Various	490.57	0.00	41.40	Sale
08/11/2020	50.00	576.97	08/11/2020	546.50	0.00	30.47	Sale
10/29/2020	14.00	98.40	10/29/2020	94.50	0.00	3.90	Sale
10/29/2020	16.00	111.50	10/29/2020	108.00	0.00	3.50	Sale
Security Totals:		3,063.90		2,743.63		345.13	
***IMMURON LIMITED AMERICAN DEPOSITARY SHARES CUSIP: 45254U101 Symbol: IMRN							
06/19/2020	10.00	127.48	06/19/2020	119.50	0.00	7.98	Sale
06/19/2020	10.00	122.48	Various	118.80	0.00	3.68	Sale
06/19/2020	21.00	238.12	Various	245.95	0.00	-7.83	Sale
08/06/2020	5.00	59.98	Various	52.46	0.00	7.52	Sale
08/06/2020	43.00	507.37	Various	438.79	0.00	68.58	Sale
08/12/2020	32.00	336.94	Various	325.69	0.00	11.25	Sale
08/17/2020	1.00	10.30	08/11/2020	10.06	0.00	0.24	Sale
Security Totals:		1,402.67		1,311.25		91.42	
PUT SPY 12/04/20 355 STANDARD & POORS DEPOSITORY CUSIP: Symbol: SPY201204P00355000							
11/17/2020	1.00	350.90	11/17/2020	349.08	0.00	1.82	Sell to Close
11/17/2020	1.00	349.90	11/17/2020	351.08	0.00	-1.18	Sell to Close
Security Totals:		700.80		700.16		0.64	
CALL NKE 10/23/20 130 NIKE INC CLASS B CUSIP: Symbol: NKE201023C00130000							
10/12/2020	1.00	197.90	10/12/2020	202.08	4.18 D	0.00	Sell to Close
10/13/2020	1.00	163.90	10/12/2020	194.08	30.18 D	0.00	Sell to Close
10/13/2020	1.00	161.90	10/12/2020	271.60	109.7 D	0.00	Sell to Close
10/13/2020	1.00	169.90	10/13/2020	165.26	0.00	4.64	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 NKE 10/23/20 130 NIKE INC CLASS B CUSIP: Symbol: NKE201023C00130000							
10/13/2020	1.00	185.90	10/13/2020	132.08	0.00	53.82	Sell to Close
10/13/2020	2.00	315.82	Various	463.68	147.86 D	0.00	Sell to Close
10/13/2020	2.00	319.82	Various	394.34	74.52 D	0.00	Sell to Close
10/13/2020	2.00	355.82	Various	300.67	0.00	55.15	Sell to Close
10/13/2020	2.00	337.82	Various	450.20	112.38 D	0.00	Sell to Close
10/13/2020	2.00	365.82	10/13/2020	264.16	0.00	101.66	Sell to Close
10/13/2020	2.00	353.82	Various	343.03	31.04 D	41.83	Sell to Close
10/14/2020	1.00	132.90	10/14/2020	171.12	38.22 D	0.00	Sell to Close
10/15/2020	1.00	99.90	10/14/2020	185.48	0.00	-85.58	Sell to Close
10/15/2020	1.00	91.90	10/14/2020	166.30	74.4 D	0.00	Sell to Close
Security Totals:		3,253.12		3,704.08		171.52	
CALL NKE 10/23/20 128 NIKE INC CLASS B CUSIP: Symbol: NKE201023C00128000							
10/16/2020	1.00	165.90	10/16/2020	155.08	0.00	10.82	Sell to Close
CEMTREX INC COMMON STOCK CUSIP: 15130G600 Symbol: CETX							
06/01/2020	50.00	97.98	06/01/2020	90.00	0.00	7.98	Sale
06/01/2020	56.00	134.94	06/01/2020	154.00	19.06 D	0.00	Sale
06/01/2020	600.00	1,793.89	06/01/2020	1,650.00	0.00	143.89	Sale
06/02/2020	50.00	109.48	06/01/2020	137.50	28.02 D	0.00	Sale
06/02/2020	100.00	198.98	06/01/2020	275.00	76.02 D	0.00	Sale
06/03/2020	100.00	194.98	06/01/2020	275.00	80.02 D	0.00	Sale
06/03/2020	100.00	194.98	Various	277.82	82.84 D	0.00	Sale
06/04/2020	200.00	393.97	Various	639.84	245.87 D	0.00	Sale
06/05/2020	3.00	7.06	06/01/2020	9.81	2.75 D	0.00	Sale
06/08/2020	500.00	1,117.91	Various	1,452.70	370.74 D	35.95	Sale
06/09/2020	580.00	1,339.70	Various	1,358.25	123.71 D	105.16	Sale
06/15/2020	80.00	178.38	Various	244.10	65.72 D	0.00	Sale
06/16/2020	20.00	46.98	Various	54.90	7.92 D	0.00	Sale
06/18/2020	100.00	197.98	Various	259.60	61.62 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

5KU68797

(continued)

02/02/2021

SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

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CEMTREX INC COMMON STOCK CUSIP: 15130G600 Symbol: CETX							
06/25/2020	30.00	52.18	06/11/2020	73.34	21.16 D	0.00	Sale
06/25/2020	20.00	34.99	Various	47.73	12.74 D	0.00	Sale
06/25/2020	50.00	87.01	Various	126.39	39.38 D	0.00	Sale
06/25/2020	120.00	226.78	Various	307.98	81.20 D	0.00	Sale
07/09/2020	10.00	15.18	Various	23.21	0.00	-8.03	Sale
07/09/2020	80.00	121.58	Various	127.03	0.00	-5.45	Sale
07/09/2020	10.00	15.37	Various	22.89	0.00	-7.52	Sale
07/09/2020	100.00	159.98	Various	243.41	83.43 D	0.00	Sale
07/09/2020	100.00	160.98	Various	215.25	54.27 D	0.00	Sale
07/09/2020	55.00	86.36	Various	102.83	10.77 D	-5.70	Sale
07/09/2020	100.00	153.98	Various	230.61	0.00	-76.63	Sale
07/09/2020	600.00	953.90	Various	1,356.65	402.75 D	0.00	Sale
07/09/2020	100.00	158.98	Various	234.96	75.98 D	0.00	Sale
07/09/2020	600.00	971.90	Various	1,382.93	411.03 D	0.00	Sale
07/09/2020	600.00	959.90	Various	1,266.01	321.35 D	15.24	Sale
07/13/2020	1.00	1.73	07/09/2020	1.56	0.00	0.17	Sale
07/13/2020	120.00	203.98	Various	293.66	0.00	-89.68	Sale
07/14/2020	80.00	148.78	Various	175.73	0.00	-26.95	Sale
Security Totals:		10,520.77		13,110.69		88.43	
CALL SPY 10/30/20 324 STANDARD & POORS DEPOSITORY CUSIP: Symbol: SPY201030C00324000							
10/30/2020	1.00	189.90	10/30/2020	172.08	0.00	17.82	Sell to Close
PUT AMZN 10/02/20 3200 AMAZON.COM INC CUSIP: Symbol: AMZN201002P03200000							
10/01/2020	1.00	3,802.82	10/01/2020	3,250.08	0.00	552.74	Sell to Close
10/01/2020	1.00	3,949.82	10/01/2020	3,590.08	0.00	359.74	Sell to Close
Security Totals:		7,752.64		6,840.16		912.48	
NORTECH SYSTEMS INC CUSIP: 656553104 Symbol: NSYS							
08/28/2020	14.00	71.38	08/27/2020	85.70	0.00	-14.32	Sale

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2020 Form 1099-B*

OMB No. 1545-0715

5KU68797

(continued)

02/02/2021

SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

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NORTECH SYSTEMS INC CUSIP: 656553104 Symbol: NSYS							
08/28/2020	16.00	82.70	08/27/2020	97.95	0.00	-15.25	Sale
Security Totals:		154.08		183.65		-29.57	
CALL AMZN 12/04/20 3250 AMAZON.COM INC CUSIP: Symbol: AMZN201204C03250000							
11/30/2020	1.00	1,544.87	11/30/2020	2,000.08	455.21 D	0.00	Sell to Close
11/30/2020	1.00	1,654.87	11/30/2020	1,505.29	0.00	149.58	Sell to Close
11/30/2020	1.00	1,639.87	11/30/2020	2,150.49	510.62 D	0.00	Sell to Close
11/30/2020	1.00	1,679.87	11/30/2020	1,975.70	295.83 D	0.00	Sell to Close
11/30/2020	2.00	3,249.75	Various	3,840.37	590.62 D	0.00	Sell to Close
12/01/2020	1.00	1,651.87	12/01/2020	1,865.91	0.00	-214.04	Sell to Close
Security Totals:		11,421.10		13,337.84		-64.46	
IDERA PHARMACEUTICALS INC COMMON STOCK CUSIP: 45168K405 Symbol: IDRA							
07/17/2020	100.00	294.98	07/17/2020	272.00	0.00	22.98	Sale
PUT SPY 10/30/20 326 STANDARD & POORS DEPOSITORY CUSIP: Symbol: SPY201030P00326000							
10/30/2020	1.00	125.90	10/30/2020	136.26	0.00	-10.36	Sell to Close
10/30/2020	1.00	110.90	10/30/2020	128.08	17.18 D	0.00	Sell to Close
Security Totals:		236.80		264.34		-10.36	
CALL TWTR 10/30/20 46 TWITTER INC CUSIP: Symbol: TWTR201030C00046000							
10/08/2020	1.00	294.90	10/08/2020	323.26	28.36 D	0.00	Sell to Close
10/08/2020	1.00	299.90	10/08/2020	328.44	28.54 D	0.00	Sell to Close
10/08/2020	1.00	291.90	10/08/2020	310.08	18.18 D	0.00	Sell to Close
10/08/2020	1.00	304.90	10/08/2020	328.62	0.00	-23.72	Sell to Close
Security Totals:		1,191.60		1,290.40		-23.72	
FUTURE FINTECH GROUP INC COMMON STOCK CUSIP: 36117V105 Symbol: FTFT							
07/16/2020	1.00	3.08	07/16/2020	5.06	0.00	-1.98	Sale
07/16/2020	59.00	203.97	Various	253.56	49.59 D	0.00	Sale
07/16/2020	60.00	184.18	Various	262.64	1.72 D	-76.74	Sale
Security Totals:		391.23		521.26		-78.72	

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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)

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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 TWTR 10/30/20 45.50 TWITTER INC CUSIP: Symbol: TWTR201030C00045500							
10/08/2020	1.00	319.90	10/08/2020	330.08	0.00	-10.18	Sell to Close
CALL GM 03/19/21 50 GENERAL MOTORS COMPANY CUSIP: Symbol: GM210319C00050000							
12/14/2020	1.00	106.90	12/14/2020	124.08	17.18 D	0.00	Sell to Close
12/14/2020	2.00	213.82	Various	267.34	53.52 D	0.00	Sell to Close
12/14/2020	1.00	107.90	12/14/2020	125.08	17.18 D	0.00	Sell to Close
12/15/2020	7.00	818.41	Various	939.26	8.16 D	-112.69	Sell to Close
12/15/2020	9.00	1,061.23	12/14/2020	1,089.73	28.5 D	0.00	Sell to Close
12/17/2020	1.00	106.90	12/14/2020	121.25	14.35 D	0.00	Sell to Close
12/17/2020	1.00	106.90	12/14/2020	128.24	21.34 D	0.00	Sell to Close
12/17/2020	2.00	215.82	Various	268.84	53.02 D	0.00	Sell to Close
12/17/2020	2.00	213.82	Various	243.50	29.68 D	0.00	Sell to Close
12/18/2020	1.00	92.90	12/14/2020	119.25	26.35 D	0.00	Sell to Close
12/18/2020	1.00	91.90	12/14/2020	119.25	27.35 D	0.00	Sell to Close
12/18/2020	1.00	92.90	12/14/2020	119.25	26.35 D	0.00	Sell to Close
12/18/2020	1.00	91.90	12/14/2020	119.24	27.34 D	0.00	Sell to Close
12/18/2020	1.00	93.90	12/14/2020	119.24	25.34 D	0.00	Sell to Close
12/18/2020	1.00	108.90	12/14/2020	119.25	10.35 D	0.00	Sell to Close
12/21/2020	1.00	83.90	12/15/2020	182.77	98.87 D	0.00	Sell to Close
12/21/2020	1.00	86.90	12/15/2020	186.76	99.86 D	0.00	Sell to Close
12/21/2020	1.00	85.90	12/15/2020	183.74	97.84 D	0.00	Sell to Close
12/21/2020	1.00	85.90	12/15/2020	185.76	99.86 D	0.00	Sell to Close
12/21/2020	1.00	97.90	12/17/2020	199.10	101.2 D	0.00	Sell to Close
12/21/2020	1.00	97.90	12/17/2020	203.10	105.2 D	0.00	Sell to Close
12/21/2020	1.00	90.90	12/17/2020	213.10	122.2 D	0.00	Sell to Close
12/21/2020	1.00	88.90	12/15/2020	175.75	86.85 D	0.00	Sell to Close
12/21/2020	10.00	819.15	Various	1,669.91	850.76 D	0.00	Sell to Close
12/21/2020	15.00	1,348.73	Various	2,412.04	1063.31 D	0.00	Sell to Close
12/21/2020	1.00	89.90	12/15/2020	173.76	83.86 D	0.00	Sell to Close

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SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

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CALL GM 03/19/21	50	GENERAL MOTORS COMPANY CUSIP: Symbol: GM210319C00050000					
12/21/2020	1.00	91.90	12/17/2020	212.09	120.19 D	0.00	Sell to Close
12/21/2020	1.00	91.90	12/17/2020	214.10	122.2 D	0.00	Sell to Close
12/21/2020	5.00	449.58	Various	998.79	549.21 D	0.00	Sell to Close
12/21/2020	8.00	647.31	Various	1,092.74	445.43 D	0.00	Sell to Close
12/21/2020	6.00	515.49	Various	923.55	408.06 D	0.00	Sell to Close
12/23/2020	1.00	133.90	12/22/2020	99.41	0.00	34.49	Sell to Close
12/23/2020	1.00	113.90	12/22/2020	102.42	0.00	11.48	Sell to Close
12/23/2020	1.00	114.90	12/22/2020	101.41	0.00	13.49	Sell to Close
12/23/2020	2.00	205.82	Various	376.56	170.74 D	0.00	Sell to Close
12/23/2020	2.00	195.82	Various	410.95	215.13 D	0.00	Sell to Close
12/23/2020	1.00	103.90	12/22/2020	105.41	1.51 D	0.00	Sell to Close
12/23/2020	1.00	103.90	12/22/2020	105.40	1.5 D	0.00	Sell to Close
12/23/2020	2.00	195.82	Various	374.94	179.12 D	0.00	Sell to Close
12/23/2020	2.00	195.82	Various	410.81	214.99 D	0.00	Sell to Close
12/23/2020	2.00	205.82	Various	391.74	185.92 D	0.00	Sell to Close
12/23/2020	5.00	434.58	Various	515.23	80.65 D	0.00	Sell to Close
12/29/2020	2.00	201.82	Various	431.15	229.33 D	0.00	Sell to Close
12/29/2020	2.00	203.82	Various	381.28	177.46 D	0.00	Sell to Close
12/30/2020	4.00	379.66	Various	618.66	239.00 D	0.00	Sell to Close
12/30/2020	3.00	281.74	Various	567.35	285.61 D	0.00	Sell to Close
12/30/2020	2.00	183.82	Various	370.62	186.8 D	0.00	Sell to Close
12/30/2020	3.00	278.74	Various	598.92	320.18 D	0.00	Sell to Close
12/31/2020	1.00	79.90	12/30/2020	191.92	0.00	-112.02	Sell to Close
12/31/2020	1.00	82.90	12/30/2020	172.98	0.00	-90.08	Sell to Close
12/31/2020	2.00	167.82	Various	268.37	0.00	-100.55	Sell to Close
12/31/2020	5.00	414.58	Various	967.65	124.9 D	-428.17	Sell to Close

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APEX CLEARING

Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B*

OMB No. 1545-0715

5KU68797

(continued)

02/02/2021

SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

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

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CALL GM 03/19/21 50 GENERAL MOTORS COMPANY CUSIP: Symbol: GM210319C00050000							
12/31/2020	2.00	167.82	Various	309.65	0.00	-141.83	Sell to Close
Security Totals:		12,743.06		21,122.69		-925.88	
CALL SPY 10/21/20 344 STANDARD & POORS DEPOSITORY CUSIP: Symbol: SPY201021C00344000							
10/21/2020	1.00	144.90	10/21/2020	112.08	0.00	32.82	Sell to Close
10/21/2020	1.00	144.90	10/21/2020	112.08	0.00	32.82	Sell to Close
10/21/2020	1.00	124.90	10/21/2020	130.08	0.00	-5.18	Sell to Close
10/21/2020	1.00	116.90	10/21/2020	116.08	0.00	0.82	Sell to Close
Security Totals:		531.60		470.32		61.28	
***SAFE T GROUP LTD AMERICAN DEPOSITARY SHARE CUSIP: 78643B401 Symbol: SFET							
05/27/2020	96.00	162.22	05/27/2020	152.64	0.00	9.58	Sale
05/27/2020	104.00	153.90	Various	147.36	0.44 D	6.98	Sale
05/28/2020	100.00	145.98	Various	136.44	0.04 D	9.58	Sale
06/03/2020	100.00	141.98	Various	128.04	0.00	13.94	Sale
06/25/2020	50.00	89.48	06/25/2020	91.00	0.00	-1.52	Sale
06/25/2020	50.00	88.98	06/25/2020	91.00	0.00	-2.02	Sale
06/25/2020	50.00	90.51	06/25/2020	91.00	0.00	-0.49	Sale
06/25/2020	50.00	93.01	06/25/2020	91.00	0.00	2.01	Sale
06/25/2020	100.00	177.98	06/25/2020	182.00	0.00	-4.02	Sale
08/18/2020	150.00	193.95	Various	188.91	0.00	5.04	Sale
08/19/2020	60.00	80.38	08/18/2020	74.96	0.00	5.42	Sale
08/19/2020	100.00	133.98	08/18/2020	124.94	0.00	9.04	Sale
08/19/2020	124.00	167.38	08/18/2020	154.92	0.00	12.46	Sale
08/19/2020	102.00	136.66	Various	127.44	0.00	9.22	Sale
08/19/2020	210.00	287.67	08/18/2020	262.38	0.00	25.29	Sale
08/19/2020	304.00	410.35	08/18/2020	379.82	0.00	30.53	Sale
08/19/2020	50.00	66.48	08/18/2020	62.97	0.00	3.51	Sale
08/21/2020	100.00	129.98	08/20/2020	121.94	0.00	8.04	Sale
08/24/2020	100.00	130.98	08/20/2020	121.94	0.00	9.04	Sale

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APEX CLEARING

Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B*

OMB No. 1545-0715

5KU68797

(continued)

02/02/2021

SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

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

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***SAFE T GROUP LTD AMERICAN DEPOSITARY SHARE CUSIP: 78643B401 Symbol: SFET							
08/25/2020	25.00	32.48	08/20/2020	30.49	0.00	1.99	Sale
08/26/2020	75.00	92.98	08/20/2020	91.45	0.00	1.53	Sale
08/26/2020	100.00	125.04	08/20/2020	121.94	0.00	3.10	Sale
Security Totals:		3,132.35		2,974.58		158.25	
VAXART INC COMMON STOCK CUSIP: 92243A200 Symbol: VXRT							
03/18/2020	239.00	544.87	03/18/2020	561.65	0.00	-16.78	Sale
08/13/2020	20.00	185.78	08/12/2020	184.00	0.00	1.78	Sale
08/13/2020	35.00	330.73	Various	318.65	0.00	12.08	Sale
08/17/2020	10.00	94.98	Various	91.48	0.00	3.50	Sale
08/17/2020	10.00	95.18	08/14/2020	92.25	0.00	2.93	Sale
08/17/2020	10.00	95.08	08/14/2020	92.25	0.00	2.83	Sale
08/17/2020	13.00	128.42	08/14/2020	119.92	0.00	8.50	Sale
08/17/2020	30.00	297.58	Various	276.75	0.00	20.83	Sale
08/18/2020	11.00	113.28	Various	100.80	0.00	12.48	Sale
08/26/2020	30.00	203.98	Various	244.83	40.85 D	0.00	Sale
09/01/2020	50.00	263.23	Various	353.79	91.40 D	0.84	Sale
09/02/2020	7.00	34.11	09/02/2020	31.64	0.00	2.47	Sale
09/02/2020	20.00	104.18	Various	145.14	41.08 D	0.12	Sale
09/02/2020	43.00	198.64	Various	194.94	0.00	3.70	Sale
09/02/2020	40.00	206.38	Various	292.25	85.87 D	0.00	Sale
09/02/2020	51.00	234.58	Various	314.22	0.58 D	-79.06	Sale
Security Totals:		3,131.00		3,414.56		-23.78	
MENLO THERAPEUTICS INC COMMON STOCK CUSIP: 586858102 Symbol: MNLO							
04/14/2020	999.00	1,468.37	04/13/2020	1,278.72	0.00	189.65	Sale
04/15/2020	100.00	142.98	Various	135.92	0.00	7.06	Sale
04/15/2020	150.00	220.47	04/15/2020	204.00	0.00	16.47	Sale
04/16/2020	451.00	613.29	Various	592.36	0.02 D	20.95	Sale
04/23/2020	300.00	431.95	Various	384.02	0.00	47.93	Sale

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APEX CLEARING

Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B*

OMB No. 1545-0715

5KU68797

(continued)

02/02/2021

SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

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MENLO THERAPEUTICS INC COMMON STOCK CUSIP: 586858102 Symbol: MNLO							
04/23/2020	299.00	430.51	04/17/2020	376.74	0.00	53.77	Sale
05/11/2020	100.00	182.48	Various	172.53	0.00	9.95	Sale
05/20/2020	1.00	1.91	05/11/2020	1.73	0.00	0.18	Sale
06/15/2020	50.00	105.23	06/03/2020	108.50	3.27 D	0.00	Sale
06/15/2020	100.00	223.48	Various	213.54	0.00	9.94	Sale
06/15/2020	100.00	212.98	06/03/2020	216.52	3.54 D	0.00	Sale
06/15/2020	100.00	209.48	06/03/2020	217.00	7.52 D	0.00	Sale
06/16/2020	30.00	68.38	Various	59.21	0.00	9.17	Sale
06/16/2020	100.00	231.48	Various	185.30	0.00	46.18	Sale
06/17/2020	250.00	567.45	Various	472.80	0.00	94.65	Sale
06/24/2020	50.00	97.73	Various	100.50	4.22 D	1.45	Sale
07/13/2020	50.00	87.23	06/23/2020	103.00	15.77 D	0.00	Sale
07/14/2020	50.00	79.73	Various	108.47	28.74 D	0.00	Sale
07/14/2020	150.00	238.47	Various	288.29	49.82 D	0.00	Sale
07/14/2020	240.00	381.56	Various	454.84	0.00	-73.28	Sale
Security Totals:		5,995.16		5,673.99		434.07	
INFORMATION SERVICES GROUP INC CUSIP: 45675Y104 Symbol: III							
06/03/2020	100.00	193.98	05/29/2020	171.00	0.00	22.98	Sale
PUT AAPL 10/02/20 117.50 APPLE INC ADJ 4:1 STOCK SPLIT CUSIP: Symbol: AAPL201002P00117500							
10/01/2020	1.00	145.90	10/01/2020	126.08	0.00	19.82	Sell to Close
ELECTROCORE INC COMMON STOCK CUSIP: 28531P103 Symbol: ECOR							
04/02/2020	2,000.00	2,525.70	Various	1,830.72	0.00	694.98	Sale
04/03/2020	70.00	101.48	Various	101.00	2.51 D	2.99	Sale
04/03/2020	600.00	731.91	Various	728.51	0.00	3.40	Sale
07/13/2020	120.00	218.38	Various	200.40	0.00	17.98	Sale
07/14/2020	87.00	167.02	07/13/2020	145.29	0.00	21.73	Sale
07/14/2020	93.00	201.79	07/13/2020	155.31	0.00	46.48	Sale
Security Totals:		3,946.28		3,161.23		787.56	

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CALL AAPL 10/02/20 116.25 APPLE INC ADJ 4:1 STOCK SPLIT CUSIP: Symbol: AAPL201002C00116250							
10/01/2020	1.00	126.90	10/01/2020	124.08	0.00	2.82	Sell to Close
TUESDAY MORNING CORP COMMON STOCK CUSIP: 899035505 Symbol: TUES							
06/05/2020	200.00	47.99	06/04/2020	55.60	7.61 D	0.00	Sale
06/05/2020	200.00	49.97	Various	56.81	6.84 D	0.00	Sale
06/05/2020	200.00	54.97	Various	47.32	0.00	7.65	Sale
06/05/2020	300.00	83.65	Various	70.40	0.00	13.25	Sale
06/05/2020	300.00	88.45	06/04/2020	69.90	0.00	18.55	Sale
06/05/2020	400.00	108.74	Various	103.23	0.22 D	5.73	Sale
06/05/2020	500.00	124.93	Various	131.24	9.48 D	3.17	Sale
08/18/2020	500.00	122.38	06/04/2020	116.50	0.00	5.88	Sale
08/18/2020	501.00	125.18	Various	113.25	0.00	11.93	Sale
08/18/2020	1,000.00	244.87	Various	230.57	0.00	14.30	Sale
08/19/2020	384.00	99.15	06/04/2020	86.02	0.00	13.13	Sale
08/19/2020	850.00	217.92	Various	189.48	0.00	28.44	Sale
08/20/2020	1,165.00	279.45	Various	286.03	0.00	-6.58	Sale
Security Totals:		1,647.65		1,556.35		115.45	
ORBITAL ENERGY GROUP INC COMMON STOCK CUSIP: 68559A109 Symbol: OEG							
10/08/2020	100.00	136.98	10/08/2020	131.00	0.00	5.98	Sale
10/08/2020	100.00	135.98	10/08/2020	131.00	0.00	4.98	Sale
10/08/2020	100.00	140.98	10/08/2020	131.00	0.00	9.98	Sale
10/08/2020	100.00	119.98	10/08/2020	137.02	0.00	-17.04	Sale
10/08/2020	400.00	503.93	10/08/2020	556.00	13.02 D	-39.05	Sale
Security Totals:		1,037.85		1,086.02		-35.15	
PUT AMZN 10/02/20 3195 AMAZON.COM INC CUSIP: Symbol: AMZN201002P03195000							
10/01/2020	1.00	3,194.83	10/01/2020	3,148.08	0.00	46.75	Sell to Close
10/01/2020	1.00	3,686.82	10/01/2020	3,350.08	0.00	336.74	Sell to Close
Security Totals:		6,881.65		6,498.16		383.49	

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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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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 V 10/30/20 205 VISA INC CUSIP: Symbol: V201030C00205000							
10/13/2020	1.00	469.89	10/13/2020	455.08	0.00	14.81	Sell to Close
10/14/2020	1.00	344.90	10/14/2020	365.08	20.18 D	0.00	Sell to Close
10/15/2020	1.00	329.90	10/14/2020	345.26	0.00	-15.36	Sell to Close
Security Totals:		1,144.69		1,165.42		-0.55	
PUT SPY 10/02/20 335 STANDARD & POORS DEPOSITORY CUSIP: Symbol: SPY201002P00335000							
09/28/2020	1.00	395.90	09/28/2020	377.08	0.00	18.82	Sell to Close
REMARK HOLDINGS INC COMMON STOCK CUSIP: 75955K102 Symbol: MARK							
08/04/2020	150.00	236.97	Various	228.25	0.00	8.72	Sale
09/02/2020	100.00	109.98	09/02/2020	111.00	0.00	-1.02	Sale
10/23/2020	115.00	182.83	10/23/2020	175.87	0.00	6.96	Sale
10/23/2020	143.00	221.78	10/23/2020	218.69	0.00	3.09	Sale
10/23/2020	742.00	1,128.39	10/23/2020	1,134.74	0.00	-6.35	Sale
Security Totals:		1,879.95		1,868.55		11.40	
CALL SPY 10/02/20 335 STANDARD & POORS DEPOSITORY CUSIP: Symbol: SPY201002C00335000							
09/29/2020	1.00	315.90	09/29/2020	309.08	0.00	6.82	Sell to Close
CALL NFLX 12/18/20 500 NETFLIX INC CUSIP: Symbol: NFLX201218C00500000							
11/20/2020	1.00	1,509.87	11/20/2020	1,620.08	110.21 D	0.00	Sell to Close
11/23/2020	1.00	1,114.88	11/23/2020	1,725.89	611.01 D	0.00	Sell to Close
11/23/2020	1.00	1,159.88	11/23/2020	1,681.09	521.21 D	0.00	Sell to Close
11/23/2020	1.00	1,154.88	11/23/2020	1,730.69	575.81 D	0.00	Sell to Close
11/23/2020	1.00	1,244.88	11/20/2020	1,645.29	400.41 D	0.00	Sell to Close
11/23/2020	1.00	1,219.88	11/23/2020	1,735.49	515.61 D	0.00	Sell to Close
11/24/2020	1.00	1,034.88	11/23/2020	1,551.89	517.01 D	0.00	Sell to Close
11/24/2020	1.00	994.88	11/23/2020	1,621.69	626.81 D	0.00	Sell to Close
11/24/2020	1.00	999.88	11/23/2020	1,671.29	671.41 D	0.00	Sell to Close
11/24/2020	1.00	1,019.88	11/23/2020	1,686.49	666.61 D	0.00	Sell to Close
11/24/2020	1.00	1,049.88	11/24/2020	1,462.09	412.21 D	0.00	Sell to Close
11/25/2020	1.00	959.88	11/25/2020	1,352.29	392.41 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

5KU68797

(continued)

02/02/2021

SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

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

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CALL NFLX 12/18/20 500 NETFLIX INC CUSIP: Symbol: NFLX201218C00500000							
11/27/2020	1.00	1,309.88	11/27/2020	1,692.69	382.81 D	0.00	Sell to Close
11/27/2020	1.00	1,224.88	11/27/2020	1,592.49	367.61 D	0.00	Sell to Close
11/30/2020	1.00	1,089.88	11/30/2020	1,708.29	0.00	-618.41	Sell to Close
11/30/2020	1.00	1,064.88	11/30/2020	1,683.09	618.21 D	0.00	Sell to Close
11/30/2020	1.00	1,104.88	11/27/2020	1,692.89	588.01 D	0.00	Sell to Close
Security Totals:		19,257.95		27,853.72		-618.41	
PIONEER POWER SOLUTIONS INC CUSIP: 723836300 Symbol: PPSI							
08/25/2020	100.00	146.98	08/19/2020	168.00	21.02 D	0.00	Sale
08/25/2020	100.00	159.98	08/25/2020	159.02	0.00	0.96	Sale
08/25/2020	100.00	170.98	08/25/2020	138.00	0.00	32.98	Sale
08/25/2020	100.00	218.98	08/25/2020	234.00	15.02 D	0.00	Sale
08/25/2020	100.00	218.98	08/25/2020	235.02	0.00	-16.04	Sale
Security Totals:		915.90		934.04		17.90	
CALL V 10/30/20 200 VISA INC CUSIP: Symbol: V201030C00200000							
10/19/2020	1.00	349.90	10/19/2020	355.08	0.00	-5.18	Sell to Close
PUT AMZN 11/13/20 3100 AMAZON.COM INC CUSIP: Symbol: AMZN201113P03100000							
11/13/2020	1.00	999.88	11/13/2020	850.08	0.00	149.80	Sell to Close
CALL AMZN 11/13/20 3100 AMAZON.COM INC CUSIP: Symbol: AMZN201113C03100000							
11/10/2020	1.00	2,689.85	11/10/2020	2,480.08	0.00	209.77	Sell to Close
11/10/2020	1.00	2,764.84	11/10/2020	2,310.08	0.00	454.76	Sell to Close
11/13/2020	1.00	779.89	11/13/2020	740.08	0.00	39.81	Sell to Close
Security Totals:		6,234.58		5,530.24		704.34	
CALL AMZN 10/23/20 3175 AMAZON.COM INC CUSIP: Symbol: AMZN201023C03175000							
10/21/2020	1.00	4,809.80	10/21/2020	4,385.08	0.00	424.72	Sell to Close
BRIDGELINE DIGITAL INC COMMON STOCK CUSIP: 10807Q700 Symbol: BLIN							
06/05/2020	50.00	86.98	06/03/2020	80.00	0.00	6.98	Sale
06/08/2020	13.00	21.43	06/03/2020	20.80	0.00	0.63	Sale

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APEX CLEARING

Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B*

OMB No. 1545-0715

5KU68797

(continued)

02/02/2021

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
BRIDGELINE DIGITAL INC COMMON STOCK CUSIP: 10807Q700 Symbol: BLIN							
06/08/2020	37.00	61.03	06/03/2020	59.20	0.00	1.83	Sale
Security Totals:		169.44		160.00		9.44	
***NATUZZI S P A AMERICAN DEPOSITARY SHARES ECH REPRESENTING FIVE ORDINARY SHS CUSIP: 63905A200 Symbol: NTZ							
07/24/2020	3.00	6.43	07/24/2020	5.82	0.00	0.61	Sale
07/24/2020	300.00	659.94	07/24/2020	582.00	0.00	77.94	Sale
07/24/2020	397.00	789.96	07/24/2020	770.18	0.00	19.78	Sale
Security Totals:		1,456.33		1,358.00		98.33	
PUT PTON 10/16/20 100 PELOTON INTERACTIVE INC CL A CUSIP: Symbol: PTON201016P00100000							
10/06/2020	1.00	113.90	10/06/2020	146.76	32.86 D	0.00	Sell to Close
10/06/2020	1.00	93.90	10/06/2020	132.41	38.51 D	0.00	Sell to Close
10/06/2020	4.00	575.65	10/06/2020	480.33	0.00	95.32	Sell to Close
10/06/2020	3.00	335.74	Various	399.08	63.34 D	0.00	Sell to Close
10/06/2020	3.00	377.74	Various	364.41	8.68 D	22.01	Sell to Close
10/06/2020	6.00	677.49	Various	753.98	76.49 D	0.00	Sell to Close
10/06/2020	8.00	703.31	Various	929.13	225.82 D	0.00	Sell to Close
10/06/2020	2.00	239.82	Various	292.15	52.33 D	0.00	Sell to Close
10/06/2020	2.00	217.82	Various	258.49	40.67 D	0.00	Sell to Close
10/06/2020	3.00	329.74	10/06/2020	360.24	30.5 D	0.00	Sell to Close
10/07/2020	3.00	167.74	Various	384.25	58.5 D	-158.01	Sell to Close
10/07/2020	4.00	227.66	Various	427.68	0.00	-200.02	Sell to Close
Security Totals:		4,060.51		4,928.91		-240.70	
AEMETIS INC CUSIP: 00770K202 Symbol: AMTX							
09/01/2020	100.00	220.98	09/01/2020	223.50	0.00	-2.52	Sale
PUT SPY 10/02/20 334 STANDARD & POORS DEPOSITORY CUSIP: Symbol: SPY201002P00334000							
09/28/2020	1.00	379.90	09/28/2020	350.26	0.00	29.64	Sell to Close
09/28/2020	1.00	372.90	09/28/2020	358.08	0.00	14.82	Sell to Close
09/28/2020	1.00	363.90	09/28/2020	341.08	0.00	22.82	Sell to Close
09/28/2020	1.00	365.90	09/28/2020	367.08	1.18 D	0.00	Sell to Close

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APEX CLEARING

Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B*

OMB No. 1545-0715

5KU68797

(continued)

02/02/2021

SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

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PUT SPY 10/02/20 334 STANDARD & POORS DEPOSITORY CUSIP: Symbol: SPY201002P00334000							
09/28/2020	1.00	374.90	09/28/2020	364.08	0.00	10.82	Sell to Close
09/28/2020	2.00	727.81	Various	693.16	0.00	34.65	Sell to Close
09/29/2020	1.00	353.90	09/28/2020	347.08	0.00	6.82	Sell to Close
09/29/2020	1.00	358.90	09/28/2020	337.08	0.00	21.82	Sell to Close
Security Totals:		3,298.11		3,157.90		141.39	
SOLENO THERAPEUTICS INC COMMON STOCK CUSIP: 834203200 Symbol: SLNO							
08/10/2020	50.00	91.23	07/31/2020	86.00	0.00	5.23	Sale
08/10/2020	100.00	181.98	07/31/2020	172.00	0.00	9.98	Sale
08/10/2020	200.00	373.97	Various	343.25	0.00	30.72	Sale
08/11/2020	27.00	53.31	07/31/2020	45.36	0.00	7.95	Sale
08/11/2020	102.00	193.78	Various	174.86	0.00	18.92	Sale
08/19/2020	1.00	1.92	07/31/2020	1.68	0.00	0.24	Sale
Security Totals:		896.19		823.15		73.04	
OCEAN POWER TECHNOLOGIES INC COMMON STOCK CUSIP: 674870506 Symbol: OPTT							
06/03/2020	300.00	131.68	Various	131.65	3.41 D	3.44	Sale
06/26/2020	300.00	259.45	Various	246.44	0.00	13.01	Sale
08/13/2020	7.00	10.27	08/13/2020	9.52	0.00	0.75	Sale
08/13/2020	50.00	68.52	08/13/2020	73.00	4.48 D	0.00	Sale
08/13/2020	100.00	147.98	Various	141.02	0.00	6.96	Sale
08/13/2020	100.00	150.05	08/13/2020	136.47	0.00	13.58	Sale
08/13/2020	100.00	145.05	Various	139.70	0.48 D	5.83	Sale
08/13/2020	100.00	145.48	08/13/2020	151.95	6.47 D	0.00	Sale
08/13/2020	142.00	193.19	08/13/2020	207.32	14.13 D	0.00	Sale
08/13/2020	150.00	206.22	Various	221.50	15.28 D	0.00	Sale
08/18/2020	1.00	1.14	08/13/2020	1.36	0.00	-0.22	Sale
Security Totals:		1,459.03		1,459.93		43.35	
ABRAXAS PETROLEUM CORP CUSIP: 003830106 Symbol: AXAS							
04/24/2020	2,000.00	555.74	Various	628.25	0.00	-72.51	Sale

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CALL MSFT 12/18/20 215 MICROSOFT CORP CUSIP: Symbol: MSFT201218C00215000							
12/07/2020	1.00	314.90	12/07/2020	304.26	0.00	10.64	Sell to Close
12/07/2020	1.00	309.90	12/07/2020	314.08	4.18 D	0.00	Sell to Close
12/09/2020	1.00	216.90	12/09/2020	218.08	1.18 D	0.00	Sell to Close
12/10/2020	1.00	175.90	12/10/2020	177.44	1.54 D	0.00	Sell to Close
12/10/2020	1.00	174.90	12/10/2020	179.08	4.18 D	0.00	Sell to Close
12/10/2020	1.00	177.90	12/10/2020	180.26	2.36 D	0.00	Sell to Close
12/10/2020	1.00	244.90	12/10/2020	245.26	0.36 D	0.00	Sell to Close
12/10/2020	1.00	183.90	12/10/2020	177.62	0.00	6.28	Sell to Close
12/10/2020	1.00	187.90	12/10/2020	174.08	0.00	13.82	Sell to Close
12/15/2020	1.00	107.90	12/15/2020	108.44	0.00	-0.54	Sell to Close
Security Totals:		2,095.00		2,078.60		30.20	
PUT SPY 10/21/20 345 STANDARD & POORS DEPOSITORY CUSIP: Symbol: SPY201021P00345000							
10/21/2020	1.00	115.90	10/21/2020	122.08	0.00	-6.18	Sell to Close
CALL AMD 10/30/20 82 ADVANCED MICRO DEVICES INC CUSIP: Symbol: AMD201030C00082000							
10/20/2020	1.00	384.90	10/20/2020	395.08	10.18 D	0.00	Sell to Close
10/22/2020	1.00	254.90	10/21/2020	360.26	105.36 D	0.00	Sell to Close
10/22/2020	1.00	258.90	10/21/2020	374.44	0.00	-115.54	Sell to Close
Security Totals:		898.70		1,129.78		-115.54	
CALL MSFT 12/18/20 220 MICROSOFT CORP CUSIP: Symbol: MSFT201218C00220000							
12/02/2020	1.00	258.90	12/02/2020	252.08	0.00	6.82	Sell to Close
12/17/2020	1.00	66.90	12/17/2020	64.08	0.00	2.82	Sell to Close
12/17/2020	1.00	75.90	12/17/2020	70.08	0.00	5.82	Sell to Close
Security Totals:		401.70		386.24		15.46	
INOVIO PHARMACEUTICALS INC COM CUSIP: 45773H201 Symbol: INO							
04/03/2020	25.00	194.23	Various	190.59	0.00	3.64	Sale
***NANO DIMENSION LTD AMERICAN DEPOSITORY SHARES CUSIP: 63008G203 Symbol: NNDM							
06/09/2020	45.00	117.88	06/04/2020	114.30	0.00	3.58	Sale
07/09/2020	4.00	8.14	07/09/2020	9.68	1.54 D	0.00	Sale

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***NANO DIMENSION LTD AMERICAN DEPOSITARY SHARES CUSIP: 63008G203 Symbol: NNDM							
07/09/2020	50.00	101.48	Various	98.65	2.55 D	5.38	Sale
07/09/2020	100.00	191.48	Various	193.05	2.03 D	0.46	Sale
07/09/2020	100.00	192.48	Various	178.18	0.5 D	14.80	Sale
07/13/2020	1.00	1.92	07/09/2020	2.26	0.00	-0.34	Sale
Security Totals:		613.38		596.12		23.88	
SUNDANCE ENERGY INC COMMON STOCK CUSIP: 86725N102 Symbol: SNDE							
07/22/2020	73.00	281.76	07/22/2020	273.39	0.00	8.37	Sale
07/22/2020	3.00	11.83	07/22/2020	11.23	0.00	0.60	Sale
07/22/2020	124.00	466.21	07/22/2020	464.38	0.00	1.83	Sale
Security Totals:		759.80		749.00		10.80	
TELIGENT INC COMMON STOCK CUSIP: 87960W203 Symbol: TLGT							
11/25/2020	100.00	53.18	11/25/2020	53.02	0.00	0.16	Sale
11/25/2020	401.00	216.48	Various	206.50	0.00	9.98	Sale
11/25/2020	500.00	262.16	11/25/2020	265.10	2.94 D	0.00	Sale
11/25/2020	600.00	311.62	Various	318.90	5.11 D	-2.17	Sale
12/02/2020	258.00	141.81	Various	137.61	0.00	4.20	Sale
12/04/2020	100.00	55.64	12/01/2020	54.96	0.00	0.68	Sale
12/07/2020	200.00	115.57	Various	109.57	0.00	6.00	Sale
12/08/2020	40.00	28.93	12/02/2020	20.60	0.00	8.33	Sale
12/08/2020	300.00	194.65	Various	159.07	0.00	35.58	Sale
12/09/2020	100.00	75.48	Various	70.83	0.00	4.65	Sale
12/10/2020	300.00	206.35	Various	209.43	3.36 D	0.28	Sale
12/11/2020	318.00	217.56	Various	218.01	0.00	-0.45	Sale
12/11/2020	608.00	413.36	Various	419.84	2.43 D	-4.05	Sale
12/14/2020	75.00	76.48	12/11/2020	51.92	0.00	24.56	Sale
Security Totals:		2,369.27		2,295.36		87.75	
TRACON PHARMACEUTICALS INC COMMON STOCK CUSIP: 89237H209 Symbol: TCON							
07/16/2020	20.00	45.98	07/16/2020	44.00	0.00	1.98	Sale

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SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

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

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

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

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
TRACON PHARMACEUTICALS INC COMMON STOCK CUSIP: 89237H209 Symbol: TCON							
07/16/2020	30.00	69.29	07/16/2020	66.00	0.00	3.29	Sale
07/16/2020	60.00	120.88	Various	131.00	0.00	-10.12	Sale
08/17/2020	29.00	62.91	Various	81.92	19.01 D	0.00	Sale
08/17/2020	30.00	67.78	08/17/2020	75.00	7.22 D	0.00	Sale
08/17/2020	50.00	103.98	Various	129.22	25.24 D	0.00	Sale
08/17/2020	50.00	105.73	Various	125.89	20.16 D	0.00	Sale
08/17/2020	51.00	96.12	Various	118.72	22.60 D	0.00	Sale
08/17/2020	56.00	120.66	Various	133.56	14.48 D	1.58	Sale
08/17/2020	119.00	252.26	Various	298.47	46.21 D	0.00	Sale
08/17/2020	87.00	184.86	Various	231.53	46.74 D	0.07	Sale
09/01/2020	25.00	57.73	Various	75.54	17.81 D	0.00	Sale
09/01/2020	25.00	58.48	Various	74.33	15.85 D	0.00	Sale
09/01/2020	50.00	114.48	Various	143.09	28.61 D	0.00	Sale
09/03/2020	30.00	88.48	Various	105.55	17.07 D	0.00	Sale
09/09/2020	100.00	403.98	Various	436.13	0.00	-32.15	Sale
Security Totals:		1,953.60		2,269.95		-35.35	
PUT AAPL 12/04/20 123 APPLE INC CUSIP: Symbol: AAPL201204P00123000							
12/02/2020	1.00	109.90	12/02/2020	109.08	0.00	0.82	Sell to Close
12/03/2020	1.00	96.90	12/03/2020	118.26	21.36 D	0.00	Sell to Close
12/03/2020	1.00	83.90	12/02/2020	107.08	23.18 D	0.00	Sell to Close
12/04/2020	1.00	74.90	12/04/2020	94.44	0.00	-19.54	Sell to Close
Security Totals:		365.60		428.86		-18.72	
CALL BIDU 12/31/20 140 BAIDU INC CUSIP: Symbol: BIDU201231C00140000							
11/24/2020	1.00	324.90	11/24/2020	330.08	0.00	-5.18	Sell to Close
PUT ZM 09/25/20 490 ZOOM VIDEO COMMUNICATIONS INC CUSIP: Symbol: ZM200925P00490000							
09/25/2020	1.00	449.89	09/25/2020	360.09	0.00	89.80	Sell to Close
09/25/2020	1.00	469.88	09/25/2020	480.09	10.21 D	0.00	Sell to Close
09/25/2020	1.00	529.88	09/25/2020	488.09	0.00	41.79	Sell to Close

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APEX CLEARING

Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B*

OMB No. 1545-0715

5KU68797

(continued)

02/02/2021

SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

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

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PUT ZM 09/25/20 490 ZOOM VIDEO COMMUNICATIONS INC CUSIP: Symbol: ZM200925P00490000							
09/25/2020	1.00	369.89	09/25/2020	295.09	0.00	74.80	Sell to Close
09/25/2020	1.00	499.88	09/25/2020	490.30	0.00	9.58	Sell to Close
09/25/2020	2.00	959.78	Various	910.18	0.2 D	49.80	Sell to Close
09/25/2020	2.00	868.79	Various	850.38	0.00	18.41	Sell to Close
Security Totals:		4,147.99		3,874.22		284.18	
CALL ZM 09/25/20 490 ZOOM VIDEO COMMUNICATIONS INC CUSIP: Symbol: ZM200925C00490000							
09/25/2020	1.00	459.88	09/25/2020	440.09	0.00	19.79	Sell to Close
PUT ZM 09/25/20 480 ZOOM VIDEO COMMUNICATIONS INC CUSIP: Symbol: ZM200925P00480000							
09/24/2020	1.00	531.88	09/24/2020	653.09	0.00	-121.21	Sell to Close
T2 BIOSYSTEMS INC COM CUSIP: 89853L104 Symbol: TTOO							
03/27/2020	100.00	71.78	03/24/2020	80.00	8.22 D	0.00	Sale
04/16/2020	100.00	69.99	03/26/2020	63.12	0.00	6.87	Sale
07/01/2020	47.00	111.37	Various	101.56	0.00	9.81	Sale
09/01/2020	100.00	181.98	09/01/2020	173.02	0.00	8.96	Sale
09/01/2020	100.00	172.11	09/01/2020	169.00	0.00	3.11	Sale
09/01/2020	100.00	177.98	09/01/2020	179.00	1.02 D	0.00	Sale
09/02/2020	30.00	45.88	09/02/2020	44.70	0.00	1.18	Sale
09/02/2020	100.00	140.11	09/02/2020	146.00	0.00	-5.89	Sale
Security Totals:		971.20		956.40		24.04	
CALL LOW 03/19/21 170 LOWES COMPANIES INC CUSIP: Symbol: LOW210319C00170000							
11/25/2020	1.00	484.89	11/25/2020	475.08	0.00	9.81	Sell to Close
11/30/2020	1.00	424.90	11/30/2020	440.44	15.54 D	0.00	Sell to Close
11/30/2020	1.00	409.90	11/30/2020	470.26	60.36 D	0.00	Sell to Close
11/30/2020	1.00	389.90	11/30/2020	450.08	60.18 D	0.00	Sell to Close
12/01/2020	1.00	399.90	12/01/2020	410.80	10.9 D	0.00	Sell to Close
12/01/2020	1.00	419.90	12/01/2020	435.62	15.72 D	0.00	Sell to Close
12/02/2020	1.00	374.90	12/01/2020	400.98	26.08 D	0.00	Sell to Close
12/03/2020	1.00	354.90	12/02/2020	390.16	35.26 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 LOW 03/19/21 170 LOWES COMPANIES INC CUSIP: Symbol: LOW210319C00170000							
12/07/2020	1.00	310.90	12/02/2020	390.34	79.44 D	0.00	Sell to Close
12/07/2020	1.00	339.90	12/07/2020	385.06	45.16 D	0.00	Sell to Close
12/07/2020	1.00	354.90	12/07/2020	350.24	0.00	4.66	Sell to Close
12/07/2020	1.00	319.90	12/04/2020	432.70	112.8 D	0.00	Sell to Close
12/07/2020	1.00	335.90	12/04/2020	422.88	86.98 D	0.00	Sell to Close
12/07/2020	1.00	316.90	12/02/2020	414.52	97.62 D	0.00	Sell to Close
12/08/2020	1.00	334.90	12/07/2020	297.08	0.00	37.82	Sell to Close
12/08/2020	1.00	354.90	12/07/2020	288.08	0.00	66.82	Sell to Close
12/08/2020	1.00	329.90	12/07/2020	296.08	0.00	33.82	Sell to Close
12/08/2020	1.00	334.90	12/08/2020	335.08	0.18 D	0.00	Sell to Close
12/08/2020	1.00	324.90	12/08/2020	325.44	0.54 D	0.00	Sell to Close
12/08/2020	1.00	359.90	12/07/2020	305.08	0.00	54.82	Sell to Close
12/08/2020	1.00	349.90	12/07/2020	288.08	0.00	61.82	Sell to Close
12/08/2020	1.00	344.90	12/07/2020	294.08	0.00	50.82	Sell to Close
12/08/2020	1.00	349.90	12/07/2020	284.08	0.00	65.82	Sell to Close
12/08/2020	2.00	639.81	Various	655.34	15.53 D	0.00	Sell to Close
12/09/2020	1.00	555.89	12/08/2020	310.62	0.00	245.27	Sell to Close
12/09/2020	1.00	574.89	12/08/2020	320.08	0.00	254.81	Sell to Close
12/09/2020	1.00	524.89	12/08/2020	325.25	0.00	199.64	Sell to Close
Security Totals:		10,617.17		10,193.53		1,085.93	
PUT PTON 10/02/20 91 PELOTON INTERACTIVE INC CL A CUSIP: Symbol: PTON201002P00091000							
09/24/2020	1.00	416.89	09/24/2020	380.09	0.00	36.80	Sell to Close
09/25/2020	1.00	339.89	09/25/2020	315.09	0.00	24.80	Sell to Close
09/25/2020	2.00	425.80	Various	581.18	155.38 D	0.00	Sell to Close
09/25/2020	4.00	707.61	Various	1,197.31	192.57 D	-297.13	Sell to Close
09/25/2020	3.00	512.70	Various	835.65	322.95 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

5KU68797

(continued)

02/02/2021

SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

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

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PUT PTON 10/02/20 91 PELOTON INTERACTIVE INC CL A CUSIP: Symbol: PTON201002P00091000							
09/25/2020	1.00	173.89	09/25/2020	412.66	0.00	-238.77	Sell to Close
Security Totals:		2,576.78		3,721.98		-474.30	
PUT PTON 10/02/20 92 PELOTON INTERACTIVE INC CL A CUSIP: Symbol: PTON201002P00092000							
09/22/2020	1.00	369.89	09/22/2020	385.09	15.2 D	0.00	Sell to Close
09/25/2020	1.00	404.89	09/25/2020	382.29	0.00	22.60	Sell to Close
Security Totals:		774.78		767.38		22.60	
PROFESSIONAL DIVERSITY NETWORK INC COM NEW CUSIP: 74312Y202 Symbol: IPDN							
06/26/2020	10.00	27.78	06/25/2020	43.20	15.42 D	0.00	Sale
06/26/2020	15.00	41.68	Various	70.45	28.77 D	0.00	Sale
06/26/2020	30.00	80.38	06/25/2020	129.60	49.22 D	0.00	Sale
06/26/2020	20.00	55.78	Various	108.62	52.84 D	0.00	Sale
06/26/2020	30.00	78.58	Various	146.06	67.48 D	0.00	Sale
06/26/2020	50.00	154.98	Various	287.18	132.20 D	0.00	Sale
06/26/2020	50.00	159.48	Various	285.69	126.21 D	0.00	Sale
06/26/2020	50.00	141.48	Various	188.64	47.16 D	0.00	Sale
06/26/2020	60.00	191.38	Various	249.07	57.69 D	0.00	Sale
06/26/2020	122.00	294.61	Various	482.53	0.00	-187.92	Sale
07/27/2020	50.00	65.48	Various	71.36	5.88 D	0.00	Sale
07/27/2020	100.00	127.98	Various	136.97	8.99 D	0.00	Sale
07/27/2020	119.00	166.58	Various	164.47	0.00	2.11	Sale
07/27/2020	110.00	146.28	07/27/2020	150.15	3.87 D	0.00	Sale
07/27/2020	250.00	329.96	07/27/2020	341.25	11.29 D	0.00	Sale
07/28/2020	20.00	28.78	07/27/2020	27.30	0.00	1.48	Sale
08/03/2020	30.00	35.68	07/30/2020	35.55	0.00	0.13	Sale
08/03/2020	50.00	55.23	Various	61.15	5.92 D	0.00	Sale
08/03/2020	100.00	120.48	Various	118.23	0.00	2.25	Sale
08/03/2020	100.00	117.98	Various	122.94	4.96 D	0.00	Sale
08/04/2020	30.00	37.33	Various	34.80	0.00	2.53	Sale

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PROFESSIONAL DIVERSITY NETWORK INC COM NEW CUSIP: 74312Y202 Symbol: IPDN							
08/04/2020	150.00	182.97	Various	175.52	0.00	7.45	Sale
08/05/2020	50.00	74.73	08/03/2020	50.75	0.00	23.98	Sale
08/05/2020	100.00	127.98	Various	100.99	0.00	26.99	Sale
08/05/2020	100.00	128.98	Various	101.50	0.00	27.48	Sale
08/05/2020	100.00	128.98	Various	114.76	0.04 D	14.26	Sale
08/05/2020	100.00	131.98	07/31/2020	105.00	0.00	26.98	Sale
08/05/2020	100.00	135.98	Various	107.94	0.00	28.04	Sale
08/05/2020	100.00	129.98	Various	102.80	0.00	27.18	Sale
08/10/2020	1.00	1.36	08/03/2020	1.01	0.00	0.35	Sale
08/21/2020	100.00	109.98	08/18/2020	111.00	1.02 D	0.00	Sale
08/21/2020	195.00	224.22	08/18/2020	216.45	0.00	7.77	Sale
08/26/2020	100.00	122.98	Various	106.90	0.00	16.08	Sale
08/26/2020	100.00	116.98	Various	105.32	0.00	11.66	Sale
08/26/2020	406.00	499.31	Various	421.38	0.00	77.93	Sale
08/27/2020	97.00	119.78	08/24/2020	99.42	0.00	20.36	Sale
08/27/2020	100.00	121.98	08/24/2020	102.50	0.00	19.48	Sale
08/27/2020	100.00	120.98	08/24/2020	102.50	0.00	18.48	Sale
09/02/2020	150.00	166.47	Various	172.29	5.99 D	0.17	Sale
09/03/2020	1.00	1.04	09/01/2020	1.16	0.12 D	0.00	Sale
09/03/2020	197.00	208.79	Various	221.83	13.04 D	0.00	Sale
09/03/2020	100.00	111.98	Various	116.34	4.36 D	0.00	Sale
09/04/2020	100.00	111.98	Various	109.76	0.18 D	2.40	Sale
09/04/2020	100.00	96.88	09/03/2020	102.00	5.12 D	0.00	Sale
09/04/2020	149.00	163.87	Various	174.37	10.50 D	0.00	Sale
09/04/2020	150.00	170.97	Various	159.05	0.00	11.92	Sale
09/04/2020	400.00	431.94	Various	434.37	10.53 D	8.10	Sale
09/04/2020	400.00	383.90	Various	416.97	33.07 D	0.00	Sale

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2020 Form 1099-B*

OMB No. 1545-0715

5KU68797

(continued)

02/02/2021

SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

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PROFESSIONAL DIVERSITY NETWORK INC COM NEW CUSIP: 74312Y202 Symbol: IPDN							
09/08/2020	100.00	89.48	Various	127.47	37.99 D	0.00	Sale
09/08/2020	100.00	89.99	09/04/2020	115.65	25.66 D	0.00	Sale
09/08/2020	200.00	175.99	Various	229.98	53.99 D	0.00	Sale
09/09/2020	7.00	6.25	09/04/2020	8.82	2.57 D	0.00	Sale
09/09/2020	100.00	94.48	Various	106.06	11.58 D	0.00	Sale
09/09/2020	100.00	88.08	Various	126.03	37.95 D	0.00	Sale
09/09/2020	100.00	95.48	Various	100.94	5.46 D	0.00	Sale
09/09/2020	200.00	195.49	Various	174.99	0.00	20.50	Sale
09/09/2020	192.00	187.21	Various	169.01	0.00	18.20	Sale
09/09/2020	200.00	189.97	Various	200.34	10.37 D	0.00	Sale
09/09/2020	296.00	282.63	Various	325.73	43.10 D	0.00	Sale
09/09/2020	300.00	288.85	Various	310.64	22.50 D	0.71	Sale
09/09/2020	409.00	399.78	Various	448.09	0.00	-48.31	Sale
09/09/2020	500.00	473.92	Various	528.78	54.86 D	0.00	Sale
09/09/2020	600.00	569.31	Various	713.12	143.81 D	0.00	Sale
09/09/2020	599.00	574.95	Various	707.52	132.57 D	0.00	Sale
09/15/2020	2.00	1.88	09/09/2020	2.04	0.00	-0.16	Sale
12/10/2020	100.00	149.98	12/10/2020	145.00	0.00	4.98	Sale
Security Totals:		10,738.58		11,829.30		193.56	
CALL KR 09/18/20 33 KROGER CO CUSIP: Symbol: KR200918C00033000							
09/15/2020	1.00	35.89	09/15/2020	46.09	0.00	-10.20	Sell to Close
PUT SPY 11/20/20 336 STANDARD & POORS DEPOSITORY CUSIP: Symbol: SPY201120P00336000							
11/03/2020	1.00	907.88	11/03/2020	901.08	0.00	6.80	Sell to Close
PUT FDX 09/25/20 250 FEDEX CORP CUSIP: Symbol: FDX200925P00250000							
09/16/2020	1.00	549.88	09/16/2020	545.30	0.00	4.58	Sell to Close
09/16/2020	1.00	539.88	09/16/2020	560.09	20.21 D	0.00	Sell to Close
Security Totals:		1,089.76		1,105.39		4.58	

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APEX CLEARING

Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B*

OMB No. 1545-0715

5KU68797

(continued)

02/02/2021

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
CALL SPY 10/28/20 342 STANDARD & POORS DEPOSITORY CUSIP: Symbol: SPY201028C00342000							
10/26/2020	1.00	207.90	10/26/2020	275.08	67.18 D	0.00	Sell to Close
10/26/2020	1.00	212.90	10/26/2020	297.26	0.00	-84.36	Sell to Close
10/26/2020	1.00	281.90	10/26/2020	278.08	0.00	3.82	Sell to Close
10/26/2020	1.00	286.90	10/26/2020	285.08	0.00	1.82	Sell to Close
10/26/2020	1.00	296.90	10/26/2020	282.08	0.00	14.82	Sell to Close
10/26/2020	1.00	285.90	10/26/2020	282.08	0.00	3.82	Sell to Close
10/26/2020	1.00	296.90	10/26/2020	274.08	0.00	22.82	Sell to Close
Security Totals:		1,869.30		1,973.74		-37.26	
CALL PFE 01/15/21 45 PFIZER INC CUSIP: Symbol: PFE210115C00045000							
12/14/2020	1.00	63.90	12/14/2020	65.08	0.00	-1.18	Sell to Close
THERMOGENESIS HOLDINGS INC COMMON STOCK CUSIP: 88362L100 Symbol: THMO							
08/24/2020	39.00	189.13	08/24/2020	209.43	20.3 D	0.00	Sale
08/24/2020	51.00	247.33	Various	266.17	5.72 D	-13.12	Sale
08/24/2020	60.00	268.78	Various	285.92	0.00	-17.14	Sale
Security Totals:		705.24		761.52		-30.26	
POLARITYTE INC COM CUSIP: 731094108 Symbol: PTE							
07/24/2020	183.00	362.51	07/24/2020	353.19	0.00	9.32	Sale
07/24/2020	117.00	241.00	07/24/2020	225.81	0.00	15.19	Sale
Security Totals:		603.51		579.00		24.51	
***GILAT SATELLITE NETWORKS LTD CUSIP: M51474118 Symbol: GILT							
07/29/2020	30.00	166.48	07/29/2020	172.20	0.00	-5.72	Sale
AKEBIA THERAPEUTICS INC COM CUSIP: 00972D105 Symbol: AKBA							
09/03/2020	30.00	88.24	09/03/2020	90.00	1.76 D	0.00	Sale
09/03/2020	40.00	117.58	09/03/2020	120.00	2.42 D	0.00	Sale
09/03/2020	30.00	88.18	09/03/2020	90.00	1.82 D	0.00	Sale
09/04/2020	100.00	259.18	Various	258.00	0.00	1.18	Sale
Security Totals:		553.18		558.00		1.18	

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APEX CLEARING

Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B*

OMB No. 1545-0715

5KU68797

(continued)

02/02/2021

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

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 JPM 11/06/20 100 JPMORGAN CHASE & CO CUSIP: Symbol: JPM201106C00100000							
11/04/2020	1.00	179.90	11/04/2020	230.08	0.00	-50.18	Sell to Close
CHANTICLEER HOLDINGS INC COMMON STOCK CUSIP: 15930P800 Symbol: BURG							
03/26/2020	25.00	15.73	03/23/2020	12.25	0.00	3.48	Sale
03/26/2020	50.00	28.00	03/23/2020	24.50	0.00	3.50	Sale
03/30/2020	25.00	14.83	03/23/2020	12.25	0.00	2.58	Sale
Security Totals:		58.56		49.00		9.56	
CALL AAPL 09/25/20 110 APPLE INC ADJ 4:1 STOCK SPLIT CUSIP: Symbol: AAPL200925C00110000							
09/22/2020	1.00	226.89	09/22/2020	267.29	40.4 D	0.00	Sell to Close
09/22/2020	1.00	293.89	09/22/2020	305.09	11.2 D	0.00	Sell to Close
09/22/2020	1.00	252.89	09/22/2020	311.87	58.98 D	0.00	Sell to Close
09/22/2020	2.00	475.79	Various	536.96	61.17 D	0.00	Sell to Close
09/22/2020	1.00	269.89	09/22/2020	277.48	7.59 D	0.00	Sell to Close
09/22/2020	4.00	951.60	Various	1,014.76	63.16 D	0.00	Sell to Close
09/22/2020	1.00	271.89	09/22/2020	330.07	0.00	-58.18	Sell to Close
09/22/2020	2.00	531.79	09/22/2020	496.56	0.00	35.23	Sell to Close
09/23/2020	1.00	229.89	09/23/2020	218.68	0.00	11.21	Sell to Close
Security Totals:		3,504.52		3,758.76		-11.74	
PUT AAPL 09/25/20 108.75 APPLE INC ADJ 4:1 STOCK SPLIT CUSIP: Symbol: AAPL200925P00108750							
09/22/2020	1.00	163.89	09/22/2020	175.09	11.2 D	0.00	Sell to Close
09/24/2020	1.00	165.89	09/24/2020	192.80	26.91 D	0.00	Sell to Close
09/24/2020	2.00	229.80	Various	351.18	121.38 D	0.00	Sell to Close
09/24/2020	2.00	359.80	09/24/2020	312.18	0.00	47.62	Sell to Close
09/24/2020	2.00	407.80	09/24/2020	366.18	0.00	41.62	Sell to Close
09/24/2020	2.00	346.80	Various	413.42	66.62 D	0.00	Sell to Close
09/24/2020	3.00	368.71	Various	609.56	240.85 D	0.00	Sell to Close
09/24/2020	3.00	509.70	Various	485.27	0.00	24.43	Sell to Close
09/24/2020	3.00	605.70	Various	599.27	6.19 D	12.62	Sell to Close
09/24/2020	3.00	485.70	Various	553.46	67.76 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

5KU68797

(continued)

02/02/2021

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 AAPL 09/25/20 108.75 APPLE INC ADJ 4:1 STOCK SPLIT CUSIP: Symbol: AAPL200925P00108750							
09/24/2020	4.00	523.61	Various	764.21	241.41 D	0.81	Sell to Close
09/24/2020	3.00	566.70	Various	626.41	59.71 D	0.00	Sell to Close
09/24/2020	2.00	371.80	09/24/2020	336.18	0.00	35.62	Sell to Close
09/24/2020	5.00	649.52	Various	840.86	0.00	-191.34	Sell to Close
09/24/2020	1.00	211.89	09/24/2020	183.09	0.00	28.80	Sell to Close
09/24/2020	1.00	183.90	09/24/2020	183.29	0.00	0.61	Sell to Close
Security Totals:		6,151.21		6,992.45		0.79	
CALL AAPL 09/25/20 108.75 APPLE INC ADJ 4:1 STOCK SPLIT CUSIP: Symbol: AAPL200925C00108750							
09/18/2020	4.00	1,067.60	09/18/2020	1,068.36	0.19 D	-0.57	Sell to Close
09/18/2020	1.00	268.90	09/18/2020	267.09	0.00	1.81	Sell to Close
09/24/2020	1.00	173.89	09/24/2020	169.28	0.00	4.61	Sell to Close
Security Totals:		1,510.39		1,504.73		5.85	
EKSO BIONICS HOLDINGS INC COMMON STOCK CUSIP: 282644301 Symbol: EKSO							
06/25/2020	50.00	221.98	06/25/2020	171.00	0.00	50.98	Sale
06/29/2020	20.00	149.58	06/29/2020	151.80	2.22 D	0.00	Sale
06/30/2020	30.00	213.58	Various	215.82	2.24 D	0.00	Sale
06/30/2020	29.00	259.53	Various	199.64	0.00	59.89	Sale
07/02/2020	21.00	162.63	Various	148.75	0.00	13.88	Sale
Security Totals:		1,007.30		887.01		124.75	
PUT PTON 09/25/20 93.50 PELOTON INTERACTIVE INC CL A CUSIP: Symbol: PTON200925P00093500							
09/24/2020	1.00	226.89	09/24/2020	204.09	0.00	22.80	Sell to Close
09/24/2020	1.00	233.89	09/24/2020	203.09	0.00	30.80	Sell to Close
Security Totals:		460.78		407.18		53.60	
PUT AAPL 09/25/20 110 APPLE INC ADJ 4:1 STOCK SPLIT CUSIP: Symbol: AAPL200925P00110000							
09/22/2020	1.00	169.89	09/22/2020	172.09	2.2 D	0.00	Sell to Close
09/22/2020	1.00	188.89	09/22/2020	176.09	0.00	12.80	Sell to Close
09/22/2020	2.00	395.80	09/22/2020	352.18	0.00	43.62	Sell to Close
09/24/2020	1.00	221.89	09/24/2020	200.29	0.00	21.60	Sell to Close

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APEX CLEARING

Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B*

OMB No. 1545-0715

5KU68797

(continued)

02/02/2021

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
PUT AAPL 09/25/20 110 APPLE INC ADJ 4:1 STOCK SPLIT CUSIP: Symbol: AAPL200925P00110000							
09/24/2020	1.00	186.89	09/24/2020	225.28	0.00	-38.39	Sell to Close
09/24/2020	2.00	379.80	Various	414.18	22.19 D	-12.19	Sell to Close
Security Totals:		1,543.16		1,540.11		27.44	
CALL NFLX 11/27/20 500 NETFLIX INC CUSIP: Symbol: NFLX201127C005000000							
11/20/2020	1.00	491.89	11/20/2020	480.08	0.00	11.81	Sell to Close
PUT PTON 09/25/20 98 PELOTON INTERACTIVE INC CL A CUSIP: Symbol: PTON200925P00098000							
09/25/2020	1.00	210.89	09/25/2020	200.09	0.00	10.80	Sell to Close
09/25/2020	3.00	575.70	Various	524.27	0.19 D	51.62	Sell to Close
09/25/2020	15.00	1,453.57	Various	2,064.03	276.12 D	-334.34	Sell to Close
09/25/2020	2.00	195.80	Various	488.30	0.00	-292.50	Sell to Close
09/25/2020	3.00	317.71	Various	441.46	123.75 D	0.00	Sell to Close
09/25/2020	3.00	593.70	Various	492.46	0.00	101.24	Sell to Close
09/25/2020	3.00	470.70	Various	456.27	3.19 D	17.62	Sell to Close
09/25/2020	5.00	487.52	Various	861.20	373.68 D	0.00	Sell to Close
Security Totals:		4,305.59		5,528.08		-445.56	
HOUGHTON MIFFLIN HARCOURT COMPANY CUSIP: 44157R109 Symbol: HMHC							
04/20/2020	1.00	1.39	04/15/2020	1.22	0.00	0.17	Sale
04/22/2020	499.00	663.59	04/15/2020	608.78	0.00	54.81	Sale
04/22/2020	500.00	609.92	Various	570.55	0.00	39.37	Sale
04/22/2020	300.00	364.45	04/15/2020	366.00	1.55 D	0.00	Sale
Security Totals:		1,639.35		1,546.55		94.35	
HISTOGEN INC COMMON STOCK CUSIP: 43358Y103 Symbol: HSTO							
09/01/2020	110.00	206.78	Various	254.40	47.62 D	0.00	Sale
09/02/2020	50.00	101.23	Various	136.21	27.72 D	-7.26	Sale
09/02/2020	100.00	199.98	Various	262.82	62.84 D	0.00	Sale
09/16/2020	100.00	172.98	Various	245.35	0.00	-72.37	Sale
12/21/2020	50.00	57.98	12/18/2020	58.50	0.00	-0.52	Sale
12/21/2020	50.00	56.98	12/18/2020	62.46	0.00	-5.48	Sale

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Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B*

OMB No. 1545-0715

5KU68797

(continued)

02/02/2021

SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

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HISTOGEN INC COMMON STOCK CUSIP: 43358Y103 Symbol: HSTO							
12/21/2020	100.00	111.98	12/18/2020	119.89	7.91 D	0.00	Sale
12/21/2020	100.00	114.98	Various	120.95	0.00	-5.97	Sale
Security Totals:		1,022.89		1,260.58		-91.60	
MARINUS PHARMACEUTICALS INC COM CUSIP: 56854Q101 Symbol: MRNS							
08/11/2020	50.00	93.08	08/10/2020	90.50	0.00	2.58	Sale
08/11/2020	50.00	93.08	08/10/2020	90.41	0.00	2.67	Sale
Security Totals:		186.16		180.91		5.25	
TETRAPHASE PHARMACEUTICALS INC COMMON STOCK CUSIP: 88165N204 Symbol: TTPH							
05/22/2020	100.00	287.98	05/22/2020	285.00	0.00	2.98	Sale
05/22/2020	168.00	477.08	Various	440.70	0.00	36.38	Sale
06/08/2020	50.00	98.98	06/05/2020	152.50	53.52 D	0.00	Sale
06/08/2020	130.00	286.14	Various	382.82	0.00	-96.68	Sale
Security Totals:		1,150.18		1,261.02		-57.32	
FORWARD INDUSTRIES INC N Y CUSIP: 349862300 Symbol: FORD							
08/18/2020	80.00	192.78	Various	188.00	0.00	4.78	Sale
CALL PFE 01/15/21 40 PFIZER INC CUSIP: Symbol: PFE210115C00040000							
12/14/2020	1.00	177.91	12/14/2020	191.08	13.17 D	0.00	Sell to Close
12/15/2020	1.00	124.90	12/15/2020	135.25	10.35 D	0.00	Sell to Close
12/15/2020	1.00	124.90	12/15/2020	129.43	4.53 D	0.00	Sell to Close
12/16/2020	1.00	100.90	12/15/2020	126.61	25.71 D	0.00	Sell to Close
12/16/2020	1.00	93.90	12/16/2020	129.97	0.00	-36.07	Sell to Close
12/16/2020	1.00	91.90	12/16/2020	120.79	28.89 D	0.00	Sell to Close
Security Totals:		714.41		833.13		-36.07	
PREDICTIVE ONCOLOGY INC COMMON STOCK CUSIP: 74039M200 Symbol: POAI							
05/12/2020	400.00	571.93	05/11/2020	520.00	0.00	51.93	Sale
05/19/2020	600.00	857.91	05/14/2020	792.00	0.00	65.91	Sale
08/20/2020	282.00	355.28	Various	379.42	24.14 D	0.00	Sale
08/20/2020	292.00	370.80	08/18/2020	382.52	11.72 D	0.00	Sale

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2020 Form 1099-B*

OMB No. 1545-0715

5KU68797

(continued)

02/02/2021

SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

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PREDICTIVE ONCOLOGY INC COMMON STOCK CUSIP: 74039M200 Symbol: POAI							
08/25/2020	500.00	585.95	Various	658.53	72.58 D	0.00	Sale
08/31/2020	150.00	167.97	Various	222.11	0.00	-54.14	Sale
08/31/2020	180.00	200.67	Various	262.00	0.00	-61.33	Sale
08/31/2020	200.00	223.97	Various	288.75	64.78 D	0.00	Sale
08/31/2020	800.00	890.88	Various	1,068.58	162.70 D	-15.00	Sale
09/01/2020	86.00	79.79	Various	102.49	0.00	-22.70	Sale
09/01/2020	104.00	94.40	Various	144.01	0.00	-49.61	Sale
09/16/2020	14.00	12.86	09/01/2020	13.19	0.00	-0.33	Sale
Security Totals:		4,412.41		4,833.60		-85.27	
HELIUS MEDICAL TECHNOLOGIES INC CLASS A COMMON STOCK CUSIP: 42328V504 Symbol: HSDT							
05/12/2020	300.00	185.08	05/12/2020	171.12	0.00	13.96	Sale
05/13/2020	200.00	112.79	Various	106.34	0.00	6.45	Sale
Security Totals:		297.87		277.46		20.41	
CALL JNJ 10/16/20 150 JOHNSON & JOHNSON CUSIP: Symbol: JNJ201016C00150000							
10/05/2020	1.00	143.90	10/05/2020	134.08	0.00	9.82	Sell to Close
10/05/2020	1.00	142.90	10/05/2020	123.08	0.00	19.82	Sell to Close
10/05/2020	1.00	137.90	10/05/2020	134.08	0.00	3.82	Sell to Close
Security Totals:		424.70		391.24		33.46	
CALL SQ 11/20/20 197.50 SQUARE INC CUSIP: Symbol: SQ201120C00197500							
11/20/2020	1.00	134.90	11/20/2020	145.08	0.00	-10.18	Sell to Close
UNITED AIRLINES HOLDINGS INC COMMON STOCK CUSIP: 910047109 Symbol: UAL							
05/20/2020	8.00	201.90	Various	252.82	51.91 D	0.99	Sale
05/26/2020	6.00	163.18	Various	171.37	0.00	-8.19	Sale
Security Totals:		365.08		424.19		-7.20	
PUT NKLA 09/18/20 32 NIKOLA CORPORATION CUSIP: Symbol: NKLA200918P00032000							
09/14/2020	1.00	269.89	09/14/2020	275.09	0.00	-5.20	Sell to Close
CALL CHWY 11/20/20 70 CHEWY INC CLASS A CUSIP: Symbol: CHWY201120C00070000							
11/12/2020	1.00	36.90	11/12/2020	48.25	0.00	-11.35	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
11/12/2020	1.00	35.91	11/12/2020	43.08	7.17 D	0.00	Sell to Close
Security Totals:		72.81		91.33		-11.35	
STAFFING 360 SOLUTIONS INC COMMON STOCK CUSIP: 852387307 Symbol: STAF							
08/06/2020	222.00	200.87	08/06/2020	167.61	0.00	33.26	Sale
CALL AMD 11/13/20 88 ADVANCED MICRO DEVICES INC CUSIP: Symbol: AMD201113C00088000							
11/09/2020	1.00	95.90	11/09/2020	200.26	104.36 D	0.00	Sell to Close
11/09/2020	1.00	92.90	11/09/2020	148.08	55.18 D	0.00	Sell to Close
11/09/2020	1.00	107.90	11/09/2020	233.62	125.72 D	0.00	Sell to Close
11/09/2020	1.00	97.90	11/09/2020	228.44	130.54 D	0.00	Sell to Close
11/09/2020	1.00	89.90	11/09/2020	234.80	0.00	-144.90	Sell to Close
11/09/2020	1.00	158.90	11/09/2020	153.08	0.00	5.82	Sell to Close
Security Totals:		643.40		1,198.28		-139.08	
CALL VXX 08/28/15 33 DTC/ESCROW RECEIPTS VXX CUSIP: Symbol: AMZN201030P03090000							
10/30/2020	1.00	2,219.86	10/30/2020	2,100.08	0.00	119.78	Sell to Close
***APTORUM GROUP LIMITED CLASS A ORDINARY SHARES CUSIP: G6096M106 Symbol: APM							
09/01/2020	8.00	20.94	09/01/2020	18.64	0.00	2.30	Sale
09/01/2020	80.00	193.58	Various	212.00	18.42 D	0.00	Sale
09/01/2020	147.00	379.23	Various	383.65	1.5 D	-2.92	Sale
09/01/2020	250.00	619.95	Various	655.02	35.07 D	0.00	Sale
09/29/2020	10.00	71.88	09/29/2020	80.65	0.00	-8.77	Sale
09/29/2020	10.00	79.98	Various	81.96	0.00	-1.98	Sale
09/29/2020	40.00	305.98	Various	322.62	0.00	-16.64	Sale
09/29/2020	40.00	285.98	Various	322.87	0.00	-36.89	Sale
Security Totals:		1,957.52		2,077.41		-64.90	
***ECMOHO LIMITED AMERICAN DEPOSITARY SHARES CUSIP: 27888P104 Symbol: MOHO							
07/30/2020	100.00	212.98	07/21/2020	201.00	0.00	11.98	Sale
CALL SBUX 10/30/20 90 STARBUCKS CORPORATION CUSIP: Symbol: SBUX201030C00090000							
10/14/2020	1.00	215.90	10/14/2020	258.08	42.18 D	0.00	Sell to Close
10/14/2020	1.00	219.90	10/14/2020	278.26	58.36 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

5KU68797

(continued)

02/02/2021

SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

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

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CALL SBUX 10/30/20 90 STARBUCKS CORPORATION CUSIP: Symbol: SBUX201030C00090000							
10/15/2020	1.00	183.90	10/14/2020	292.44	108.54 D	0.00	Sell to Close
10/15/2020	1.00	189.90	10/15/2020	335.79	0.00	-145.89	Sell to Close
10/15/2020	2.00	343.82	Various	521.70	177.88 D	0.00	Sell to Close
10/19/2020	1.00	187.90	10/16/2020	183.25	0.00	4.65	Sell to Close
Security Totals:		1,341.32		1,869.52		-141.24	
TONIX PHARMACEUTICALS HOLDING CORP COMMON STOCK CUSIP: 890260706 Symbol: TNXP							
06/11/2020	121.00	83.41	Various	80.77	0.28 D	2.92	Sale
06/12/2020	100.00	68.98	06/11/2020	70.30	1.32 D	0.00	Sale
06/17/2020	300.00	198.97	06/11/2020	210.90	11.93 D	0.00	Sale
06/17/2020	500.00	324.43	06/11/2020	351.50	27.07 D	0.00	Sale
06/18/2020	200.00	159.81	06/15/2020	123.96	0.00	35.85	Sale
06/18/2020	300.00	241.45	06/15/2020	185.94	0.00	55.51	Sale
06/18/2020	400.00	310.74	Various	290.61	0.00	20.13	Sale
06/18/2020	500.00	347.93	Various	362.26	14.33 D	0.00	Sale
06/18/2020	500.00	390.93	Various	350.29	0.00	40.64	Sale
06/18/2020	1,000.00	787.86	Various	631.43	0.00	156.43	Sale
06/24/2020	500.00	297.55	Various	309.26	11.71 D	0.00	Sale
06/24/2020	500.00	303.58	Various	393.22	89.64 D	0.00	Sale
06/26/2020	250.00	158.86	Various	223.99	65.13 D	0.00	Sale
06/26/2020	500.00	322.43	Various	435.98	113.55 D	0.00	Sale
07/07/2020	300.00	185.95	Various	253.08	67.13 D	0.00	Sale
07/07/2020	400.00	253.54	Various	344.53	90.99 D	0.00	Sale
07/08/2020	100.00	68.45	Various	78.75	10.30 D	0.00	Sale
07/08/2020	200.00	126.97	Various	168.88	41.91 D	0.00	Sale
07/08/2020	200.00	133.81	Various	141.92	10.28 D	2.17	Sale
07/08/2020	400.00	258.54	Various	337.60	79.06 D	0.00	Sale
07/08/2020	700.00	466.80	Various	451.91	15.68 D	30.57	Sale
07/08/2020	500.00	327.43	Various	385.25	58.95 D	1.13	Sale

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APEX CLEARING

Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B*

OMB No. 1545-0715

5KU68797

(continued)

02/02/2021

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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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
TONIX PHARMACEUTICALS HOLDING CORP COMMON STOCK CUSIP: 890260706 Symbol: TNXP							
07/09/2020	251.00	165.12	Various	175.77	12.13 D	1.48	Sale
07/13/2020	28.00	18.33	Various	18.02	0.00	0.31	Sale
07/28/2020	178.00	213.57	Various	211.17	2.34 D	4.74	Sale
07/28/2020	200.00	221.97	Various	251.46	29.49 D	0.00	Sale
07/28/2020	217.00	251.68	Various	259.65	11.12 D	3.15	Sale
07/29/2020	44.00	53.22	Various	51.73	0.89 D	2.38	Sale
07/30/2020	1.00	1.39	07/28/2020	1.25	0.00	0.14	Sale
08/12/2020	299.00	269.98	Various	314.24	0.14 D	-44.12	Sale
08/12/2020	1.00	0.88	08/11/2020	1.17	0.00	-0.29	Sale
Security Totals:		7,014.56		7,466.79		313.14	
CURIS INC COMMON STOCK CUSIP: 231269200 Symbol: CRIS							
06/10/2020	1.00	3.16	06/10/2020	2.46	0.00	0.70	Sale
06/10/2020	199.00	595.97	06/10/2020	489.54	0.00	106.43	Sale
06/10/2020	800.00	2,303.84	06/10/2020	1,968.00	0.00	335.84	Sale
08/04/2020	150.00	185.97	08/03/2020	174.00	0.00	11.97	Sale
08/04/2020	149.00	196.65	08/03/2020	172.84	0.00	23.81	Sale
08/10/2020	1.00	1.31	08/03/2020	1.16	0.00	0.15	Sale
Security Totals:		3,286.90		2,808.00		478.90	
CALL CHWY 11/20/20 65 CHEWY INC CLASS A CUSIP: Symbol: CHWY201120C00065000							
11/12/2020	1.00	135.90	11/12/2020	138.08	0.00	-2.18	Sell to Close
PUT AAPL 09/25/20 108.75 APPLE INC ADJ 4:1 STOCK SPLIT CUSIP: Symbol: AAPL200925P00108750							
09/24/2020	2.00	17.62	09/24/2020	0.00	0.00	17.62	Buy to Close
PUT KODK 09/25/20 7 EASTMAN KODAK COMPANY CUSIP: Symbol: KODK200925P00007000							
09/16/2020	4.00	262.62	09/16/2020	220.36	0.00	42.26	Sell to Close
09/16/2020	2.00	149.80	Various	130.18	0.00	19.62	Sell to Close
09/16/2020	3.00	212.71	09/16/2020	195.27	0.00	17.44	Sell to Close
09/16/2020	4.00	299.62	09/16/2020	220.36	0.00	79.26	Sell to Close
09/16/2020	1.00	74.89	09/16/2020	55.09	0.00	19.80	Sell to Close

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APEX CLEARING

Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B*

OMB No. 1545-0715

5KU68797

(continued)

02/02/2021

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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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 KODK 09/25/20 7 EASTMAN KODAK COMPANY CUSIP: Symbol: KODK200925P00007000							
09/16/2020	4.00	299.62	09/16/2020	260.37	0.00	39.25	Sell to Close
09/16/2020	2.00	141.80	Various	110.18	0.00	31.62	Sell to Close
09/16/2020	4.00	319.63	09/16/2020	220.37	0.00	99.26	Sell to Close
09/16/2020	3.00	209.71	09/16/2020	195.27	0.00	14.44	Sell to Close
Security Totals:		1,970.40		1,607.45		362.95	
TARONIS TECHNOLOGIES INC COMMON STOCK CUSIP: 876214206 Symbol: TRNX							
04/13/2020	80.00	9.80	03/31/2020	14.01	4.21 D	0.00	Sale
04/16/2020	7,000.00	1,076.62	Various	1,318.37	241.75 D	0.00	Sale
04/16/2020	8,000.00	1,075.02	Various	1,362.99	287.97 D	0.00	Sale
04/16/2020	10,920.00	1,853.96	Various	1,649.46	26.85 D	231.35	Sale
04/21/2020	1,000.00	349.77	Various	373.70	23.93 D	0.00	Sale
04/21/2020	1,000.00	358.67	04/20/2020	373.15	14.48 D	0.00	Sale
04/29/2020	500.00	136.68	04/24/2020	154.99	18.31 D	0.00	Sale
04/29/2020	300.00	81.10	Various	93.55	12.45 D	0.00	Sale
04/30/2020	1,000.00	201.97	Various	248.08	0.00	-46.11	Sale
04/30/2020	2,000.00	409.55	Various	620.67	0.00	-211.12	Sale
04/30/2020	3,600.00	644.67	Various	987.86	322.45 D	-20.74	Sale
Security Totals:		6,197.81		7,196.83		-46.62	
DOLPHIN ENTERTAINMENT INC COMMON STOCK CUSIP: 25686H100 Symbol: DLPN							
07/13/2020	15.00	24.43	07/13/2020	23.70	0.00	0.73	Sale
07/13/2020	185.00	300.60	07/13/2020	292.30	0.00	8.30	Sale
Security Totals:		325.03		316.00		9.03	
***NABORS INDUSTRIES LTD CUSIP: G6359F103 Symbol: NBR							
04/21/2020	2,800.00	615.65	Various	855.31	70.12 D	-169.54	Sale
04/21/2020	1,000.00	229.87	04/20/2020	290.00	60.13 D	0.00	Sale
04/21/2020	1,000.00	219.87	04/21/2020	273.12	0.00	-53.25	Sale
Security Totals:		1,065.39		1,418.43		-222.79	

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Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B*

OMB No. 1545-0715

5KU68797

(continued)

02/02/2021

SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

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

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PUT TSLA 10/02/20	432	TESLA INC	ADJ 5:1 STOCK SPLIT CUSIP: Symbol: TSLA201002P00432000				
09/21/2020	1.00	4,048.81	09/21/2020	3,950.09	0.00	98.72	Sell to Close
CALL FB 11/20/20	275	FACEBOOK INC CL A CUSIP: Symbol: FB201120C00275000					
11/17/2020	1.00	394.90	11/17/2020	395.08	0.00	-0.18	Sell to Close
11/17/2020	1.00	354.90	11/17/2020	355.08	0.18 D	0.00	Sell to Close
11/17/2020	1.00	366.90	11/17/2020	350.08	0.00	16.82	Sell to Close
11/17/2020	1.00	369.90	11/17/2020	355.26	0.00	14.64	Sell to Close
Security Totals:		1,486.60		1,455.50		31.28	
CALL EBAY 12/18/20	50	EBAY INC CUSIP: Symbol: EBAY201218C00050000					
11/16/2020	1.00	130.90	11/16/2020	131.08	0.00	-0.18	Sell to Close
PUT SPY 12/18/20	355	STANDARD & POORS DEPOSITORY CUSIP: Symbol: SPY201218P00355000					
11/17/2020	1.00	610.89	11/17/2020	618.08	7.19 D	0.00	Sell to Close
11/17/2020	1.00	613.89	11/17/2020	618.27	0.00	-4.38	Sell to Close
Security Totals:		1,224.78		1,236.35		-4.38	
CALL AMZN 12/24/20	3210	AMAZON.COM INC CUSIP: Symbol: AMZN201224C03210000					
12/23/2020	1.00	879.89	12/23/2020	885.08	5.19 D	0.00	Sell to Close
12/23/2020	1.00	884.89	12/23/2020	840.27	0.00	44.62	Sell to Close
12/23/2020	1.00	873.89	12/23/2020	855.08	0.00	18.81	Sell to Close
Security Totals:		2,638.67		2,580.43		63.43	
CALL NFLX 11/27/20	480	NETFLIX INC CUSIP: Symbol: NFLX201127C00480000					
11/23/2020	1.00	554.89	11/23/2020	600.08	45.19 D	0.00	Sell to Close
11/24/2020	1.00	504.89	11/24/2020	540.26	35.37 D	0.00	Sell to Close
11/24/2020	1.00	479.89	11/24/2020	560.83	80.94 D	0.00	Sell to Close
11/24/2020	1.00	589.89	11/23/2020	610.46	20.57 D	0.00	Sell to Close
11/24/2020	1.00	434.90	11/24/2020	426.40	0.00	8.50	Sell to Close
11/24/2020	1.00	519.89	11/24/2020	556.02	36.13 D	0.00	Sell to Close
11/24/2020	1.00	584.89	11/24/2020	480.45	0.00	104.44	Sell to Close
11/24/2020	1.00	539.89	11/24/2020	546.21	6.32 D	0.00	Sell to Close
11/24/2020	2.00	949.80	Various	1,070.73	120.93 D	0.00	Sell to Close

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2020 Form 1099-B*

OMB No. 1545-0715

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(continued)

02/02/2021

SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

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CALL NFLX 11/27/20 480 NETFLIX INC CUSIP: Symbol: NFLX201127C00480000							
11/24/2020	1.00	554.89	11/23/2020	620.27	65.38 D	0.00	Sell to Close
11/24/2020	1.00	474.89	11/24/2020	440.08	0.00	34.81	Sell to Close
Security Totals:		6,188.71		6,451.79		147.75	
SONOMA PHARMACEUTICALS INC COMMON STOCK CUSIP: 83558L204 Symbol: SNOA							
07/29/2020	46.00	597.51	07/28/2020	529.92	0.00	67.59	Sale
07/29/2020	49.00	568.37	Various	541.40	0.00	26.97	Sale
07/29/2020	115.00	1,293.71	Various	1,325.71	26.75 D	-5.25	Sale
Security Totals:		2,459.59		2,397.03		89.31	
CALL NFLX 11/27/20 485 NETFLIX INC CUSIP: Symbol: NFLX201127C00485000							
11/23/2020	1.00	459.89	11/23/2020	445.08	0.00	14.81	Sell to Close
11/23/2020	1.00	559.89	11/23/2020	570.08	10.19 D	0.00	Sell to Close
11/23/2020	1.00	544.89	11/23/2020	530.27	0.00	14.62	Sell to Close
11/23/2020	1.00	499.89	11/23/2020	545.27	45.38 D	0.00	Sell to Close
11/23/2020	1.00	479.89	11/23/2020	466.08	0.00	13.81	Sell to Close
11/23/2020	1.00	442.90	11/23/2020	485.08	42.18 D	0.00	Sell to Close
11/23/2020	1.00	532.89	11/23/2020	520.46	0.00	12.43	Sell to Close
11/23/2020	1.00	489.89	11/23/2020	525.08	35.19 D	0.00	Sell to Close
11/24/2020	1.00	304.90	11/24/2020	305.08	0.18 D	0.00	Sell to Close
11/24/2020	1.00	276.90	11/24/2020	347.44	70.54 D	0.00	Sell to Close
11/24/2020	1.00	274.90	11/24/2020	353.62	78.72 D	0.00	Sell to Close
11/24/2020	1.00	297.90	11/24/2020	338.80	40.9 D	0.00	Sell to Close
11/24/2020	1.00	295.90	11/24/2020	300.98	5.08 D	0.00	Sell to Close
11/24/2020	1.00	324.90	11/24/2020	357.26	32.36 D	0.00	Sell to Close
11/24/2020	1.00	304.90	11/24/2020	260.16	0.00	44.74	Sell to Close
11/24/2020	1.00	359.90	11/24/2020	350.26	0.00	9.64	Sell to Close
Security Totals:		6,450.33		6,701.00		110.05	
PUT SPY 12/18/20 360 STANDARD & POORS DEPOSITORY CUSIP: Symbol: SPY201218P00360000							
12/04/2020	1.00	246.90	12/04/2020	243.08	0.00	3.82	Sell to Close

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APEX CLEARING

Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B*

OMB No. 1545-0715

5KU68797

(continued)

02/02/2021

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
***HUITAO TECHNOLOGY CO LTD ORDINARY SHARES CUSIP: G4645B101 Symbol: HHT							
05/11/2020	500.00	359.93	05/07/2020	300.55	0.00	59.38	Sale
05/26/2020	550.00	231.25	Various	239.07	0.00	-7.82	Sale
Security Totals:		591.18		539.62		51.56	
CALL AMD 11/13/20 88.50 ADVANCED MICRO DEVICES INC CUSIP: Symbol: AMD201113C00088500							
11/09/2020	1.00	81.90	11/09/2020	100.08	0.00	-18.18	Sell to Close
SALARIUS PHARMACEUTICALS INC COMMON STOCK CUSIP: 79400X107 Symbol: SLRX							
07/29/2020	1.00	1.51	07/29/2020	1.81	0.3 D	0.00	Sale
07/29/2020	99.00	160.36	07/29/2020	179.19	18.83 D	0.00	Sale
07/30/2020	50.00	57.23	07/30/2020	60.51	3.28 D	0.00	Sale
08/05/2020	100.00	121.98	Various	128.90	0.00	-6.92	Sale
Security Totals:		341.08		370.41		-6.92	
PUT AAPL 09/25/20 103.75 APPLE INC ADJ 4:1 STOCK SPLIT CUSIP: Symbol: AAPL200925P00103750							
09/21/2020	1.00	217.89	09/21/2020	170.09	0.00	47.80	Sell to Close
09/21/2020	1.00	198.89	09/21/2020	222.09	23.2 D	0.00	Sell to Close
09/21/2020	2.00	423.80	Various	372.38	0.00	51.42	Sell to Close
Security Totals:		840.58		764.56		99.22	
CALL BABA 01/15/21 300 ALIBABA GROUP HOLDING LIMITED CUSIP: Symbol: BABA210115C00300000							
11/16/2020	1.00	449.90	11/16/2020	450.08	0.18 D	0.00	Sell to Close
11/18/2020	1.00	350.90	11/18/2020	355.52	4.62 D	0.00	Sell to Close
11/18/2020	1.00	314.90	11/17/2020	370.26	55.36 D	0.00	Sell to Close
11/18/2020	1.00	359.90	11/18/2020	360.34	0.44 D	0.00	Sell to Close
11/18/2020	1.00	314.90	11/18/2020	355.44	40.54 D	0.00	Sell to Close
11/18/2020	1.00	298.90	11/18/2020	350.62	51.72 D	0.00	Sell to Close
11/18/2020	1.00	311.90	11/18/2020	343.98	32.08 D	0.00	Sell to Close
11/18/2020	1.00	324.90	11/18/2020	330.16	5.26 D	0.00	Sell to Close
11/18/2020	1.00	311.90	11/18/2020	356.80	44.9 D	0.00	Sell to Close
11/19/2020	1.00	359.90	11/19/2020	354.70	0.00	5.20	Sell to Close
11/19/2020	1.00	399.90	11/19/2020	399.08	0.00	0.82	Sell to Close

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APEX CLEARING

Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B*

OMB No. 1545-0715

5KU68797

(continued)

02/02/2021

SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

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

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

1c - Date Sold or Disposed	Quantity	1d - Proceeds	1b - Date Acquired	1e - Cost or Other Basis	1f - Accrued Market Discount (M) & 1g - Wash Sale Loss Disallowed (D)	Gain or Loss (-)	Additional Notes
CALL BABA 01/15/21 300 ALIBABA GROUP HOLDING LIMITED CUSIP: Symbol: BABA210115C00300000							
11/19/2020	1.00	419.90	11/19/2020	410.08	0.00	9.82	Sell to Close
11/30/2020	1.00	354.90	11/30/2020	350.08	0.00	4.82	Sell to Close
11/30/2020	1.00	351.90	11/30/2020	360.08	0.00	-8.18	Sell to Close
Security Totals:		4,924.60		5,147.22		12.48	
CALL DIS 10/16/20 125 WALT DISNEY CO CUSIP: Symbol: DIS201016C00125000							
10/12/2020	1.00	140.90	10/12/2020	139.43	0.00	1.47	Sell to Close
10/12/2020	1.00	143.90	10/12/2020	131.08	0.00	12.82	Sell to Close
10/12/2020	1.00	136.90	10/12/2020	143.25	6.35 D	0.00	Sell to Close
10/12/2020	1.00	143.90	10/12/2020	126.24	0.00	17.66	Sell to Close
10/12/2020	1.00	142.90	10/12/2020	121.08	0.00	21.82	Sell to Close
10/12/2020	3.00	398.74	Various	417.24	27.33 D	8.83	Sell to Close
Security Totals:		1,107.24		1,078.32		62.60	
CALL AAPL 09/25/20 107.50 APPLE INC ADJ 4:1 STOCK SPLIT CUSIP: Symbol: AAPL200925C00107500							
09/18/2020	1.00	349.89	09/18/2020	350.09	0.00	-0.20	Sell to Close
CALLON PETROLEUM COMPANY COMMON STOCK CUSIP: 13123X508 Symbol: CPE							
09/03/2020	13.00	83.18	Various	86.03	0.44 D	-2.41	Sale
09/16/2020	2.00	11.54	08/31/2020	13.68	0.00	-2.14	Sale
Security Totals:		94.72		99.71		-4.55	
PUT AAPL 09/25/20 106.25 APPLE INC ADJ 4:1 STOCK SPLIT CUSIP: Symbol: AAPL200925P00106250							
09/21/2020	1.00	153.89	09/21/2020	242.09	88.2 D	0.00	Sell to Close
09/21/2020	1.00	155.89	09/21/2020	278.29	0.00	-122.40	Sell to Close
Security Totals:		309.78		520.38		-122.40	
PUT AAPL 09/25/20 105 APPLE INC ADJ 4:1 STOCK SPLIT CUSIP: Symbol: AAPL200925P00105000							
09/21/2020	1.00	260.89	09/21/2020	242.09	0.00	18.80	Sell to Close
09/21/2020	3.00	572.70	Various	663.98	0.00	-91.28	Sell to Close
09/21/2020	4.00	1,097.60	Various	867.69	0.00	229.91	Sell to Close
09/21/2020	4.00	907.60	09/21/2020	952.36	44.76 D	0.00	Sell to Close
09/21/2020	7.00	1,427.32	Various	1,498.63	71.31 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

5KU68797

(continued)

02/02/2021

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
PUT AAPL 09/25/20 105 APPLE INC ADJ 4:1 STOCK SPLIT CUSIP: Symbol: AAPL200925P00105000							
09/21/2020	2.00	457.79	Various	494.18	27.19 D	-9.20	Sell to Close
09/21/2020	10.00	2,709.01	Various	2,142.57	0.00	566.44	Sell to Close
09/21/2020	10.00	1,879.02	Various	2,184.09	129.71 D	-175.36	Sell to Close
09/21/2020	4.00	1,075.60	Various	809.43	0.00	266.17	Sell to Close
09/21/2020	1.00	278.89	09/21/2020	215.09	0.00	63.80	Sell to Close
09/21/2020	10.00	1,869.02	Various	2,167.21	298.19 D	0.00	Sell to Close
09/21/2020	2.00	511.79	09/21/2020	484.18	0.00	27.61	Sell to Close
09/21/2020	4.00	989.61	Various	921.12	3.88 D	72.37	Sell to Close
Security Totals:		14,036.84		13,642.62		969.26	
CALL BA 12/18/20 250 BOEING CO CUSIP: Symbol: BA201218C00250000							
11/19/2020	1.00	271.90	11/19/2020	266.08	0.00	5.82	Sell to Close
DATADOG INC CLASS A COMMON STOCK CUSIP: 23804L103 Symbol: DDOG							
08/06/2020	10.00	814.97	08/06/2020	751.70	0.00	63.27	Sale
PUT AAPL 09/25/20 107.50 APPLE INC ADJ 4:1 STOCK SPLIT CUSIP: Symbol: AAPL200925P00107500							
09/18/2020	1.00	309.89	09/18/2020	310.09	0.2 D	0.00	Sell to Close
09/18/2020	2.00	631.79	09/18/2020	620.18	0.00	11.61	Sell to Close
09/21/2020	1.00	199.89	09/21/2020	219.49	0.00	-19.60	Sell to Close
09/21/2020	1.00	216.89	09/21/2020	219.29	2.4 D	0.00	Sell to Close
Security Totals:		1,358.46		1,369.05		-7.99	
CALL CRM 10/09/20 260 SALESFORCE.COM INC CUSIP: Symbol: CRM201009C00260000							
10/08/2020	1.00	155.90	10/08/2020	136.08	0.00	19.82	Sell to Close
EVOLUS INC COMMON STOCK CUSIP: 30052C107 Symbol: EOLS							
07/07/2020	20.00	75.78	Various	67.20	0.00	8.58	Sale
07/07/2020	50.00	193.55	Various	166.50	0.00	27.05	Sale
07/07/2020	10.00	37.99	07/07/2020	33.30	0.00	4.69	Sale
07/07/2020	50.00	173.98	Various	168.25	0.00	5.73	Sale
07/07/2020	92.00	360.62	Various	297.80	0.00	62.82	Sale
07/07/2020	100.00	346.98	Various	337.05	0.00	9.93	Sale

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APEX CLEARING

Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B*

OMB No. 1545-0715

5KU68797

(continued)

02/02/2021

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
EVOLUS INC COMMON STOCK CUSIP: 30052C107 Symbol: EOLS							
07/07/2020	100.00	359.11	Various	336.35	0.00	22.76	Sale
07/07/2020	100.00	391.98	Various	331.85	0.00	60.13	Sale
07/13/2020	70.00	221.53	Various	213.56	0.00	7.97	Sale
07/13/2020	30.00	94.82	Various	92.38	0.76 D	3.20	Sale
07/15/2020	5.00	16.88	07/13/2020	15.20	0.00	1.68	Sale
Security Totals:		2,273.22		2,059.44		214.54	
PUT SPY 11/25/20 355 STANDARD & POORS DEPOSITORY CUSIP: Symbol: SPY201125P00355000							
11/23/2020	1.00	130.90	11/23/2020	140.42	0.00	-9.52	Sell to Close
11/23/2020	1.00	129.90	11/23/2020	125.08	0.00	4.82	Sell to Close
11/23/2020	2.00	253.82	Various	274.50	15.34 D	-5.34	Sell to Close
11/23/2020	2.00	251.82	Various	268.16	16.34 D	0.00	Sell to Close
Security Totals:		766.44		808.16		-10.04	
PUT PTON 09/25/20 93 PELOTON INTERACTIVE INC CL A CUSIP: Symbol: PTON200925P00093000							
09/22/2020	1.00	339.89	09/22/2020	335.09	0.00	4.80	Sell to Close
09/25/2020	4.00	111.62	09/25/2020	136.36	24.74 D	0.00	Sell to Close
09/25/2020	3.00	8.71	09/25/2020	111.83	0.00	-103.12	Sell to Close
09/25/2020	16.00	62.51	Various	337.19	90.56 D	-184.12	Sell to Close
Security Totals:		522.73		920.47		-282.44	
COMSTOCK MINING INC COMMON STOCK CUSIP: 205750300 Symbol: LODE							
08/17/2020	100.00	183.98	08/17/2020	181.02	0.00	2.96	Sale
08/17/2020	116.00	172.82	Various	184.96	13.02 D	0.88	Sale
08/17/2020	100.00	172.98	08/17/2020	160.00	0.00	12.98	Sale
08/17/2020	126.00	212.92	08/17/2020	180.81	0.00	32.11	Sale
08/17/2020	150.00	233.97	08/17/2020	226.50	0.00	7.47	Sale
08/17/2020	160.00	275.17	08/17/2020	229.60	0.00	45.57	Sale
08/17/2020	198.00	328.65	Various	288.63	0.00	40.02	Sale
Security Totals:		1,580.49		1,451.52		141.99	

APEX CLEARING

Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B*

OMB No. 1545-0715

5KU68797

(continued)

02/02/2021

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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PUT PTON 09/25/20 91 PELOTON INTERACTIVE INC CL A CUSIP: Symbol: PTON200925P00091000							
09/21/2020	1.00	259.89	09/21/2020	259.09	0.00	0.80	Sell to Close
09/24/2020	1.00	99.89	09/24/2020	117.09	17.2 D	0.00	Sell to Close
09/24/2020	1.00	104.89	09/24/2020	113.29	0.00	-8.40	Sell to Close
Security Totals:		464.67		489.47		-7.60	
TECHNICAL COMMUNICATIONS CORP COMMON STOCK CUSIP: 878409101 Symbol: TCCO							
07/30/2020	5.00	25.83	07/30/2020	25.25	0.00	0.58	Sale
07/30/2020	95.00	491.12	07/30/2020	479.75	0.00	11.37	Sale
Security Totals:		516.95		505.00		11.95	
SUPERCONDUCTOR TECHNOLOGIES INC COMMON STOCK CUSIP: 867931602 Symbol: SCON							
06/10/2020	3,000.00	2,279.28	Various	2,313.90	54.28 D	19.66	Sale
06/11/2020	200.00	103.97	06/10/2020	148.95	44.98 D	0.00	Sale
06/11/2020	300.00	148.45	06/10/2020	223.42	74.97 D	0.00	Sale
06/12/2020	80.00	43.18	06/10/2020	59.58	16.4 D	0.00	Sale
06/19/2020	600.00	275.80	Various	440.69	164.89 D	0.00	Sale
06/23/2020	100.00	46.47	06/10/2020	60.68	14.21 D	0.00	Sale
06/23/2020	200.00	91.95	06/10/2020	142.11	50.16 D	0.00	Sale
06/23/2020	200.00	89.95	Various	133.81	43.86 D	0.00	Sale
07/02/2020	300.00	128.23	Various	198.71	70.48 D	0.00	Sale
07/02/2020	300.00	128.95	Various	220.51	91.56 D	0.00	Sale
07/06/2020	70.00	37.78	07/06/2020	38.10	0.00	-0.32	Sale
07/06/2020	100.00	54.59	Various	71.44	0.00	-16.85	Sale
07/06/2020	100.00	52.48	Various	69.02	0.00	-16.54	Sale
07/06/2020	100.00	52.48	Various	67.07	0.00	-14.59	Sale
07/06/2020	100.00	46.48	Various	76.90	30.42 D	0.00	Sale
07/06/2020	150.00	80.97	Various	106.96	0.00	-25.99	Sale
07/06/2020	200.00	107.97	Various	140.09	0.00	-32.12	Sale
07/06/2020	300.00	128.95	Various	237.91	108.96 D	0.00	Sale
07/06/2020	300.00	140.92	Various	218.84	77.92 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

5KU68797

(continued)

02/02/2021

SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

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

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Box 5: Box Not Checked (Covered Security)

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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
SUPERCONDUCTOR TECHNOLOGIES INC COMMON STOCK CUSIP: 867931602 Symbol: SCON							
07/06/2020	350.00	161.65	Various	226.42	64.77 D	0.00	Sale
07/06/2020	400.00	194.34	Various	266.16	71.82 D	0.00	Sale
07/06/2020	495.00	261.29	Various	349.80	0.00	-88.51	Sale
07/06/2020	400.00	197.98	Various	253.41	53.22 D	-2.21	Sale
07/06/2020	500.00	242.43	Various	362.38	119.95 D	0.00	Sale
07/06/2020	749.00	378.15	Various	464.80	0.00	-86.65	Sale
07/06/2020	1,000.00	459.76	Various	719.24	259.48 D	0.00	Sale
07/21/2020	6.00	2.74	07/06/2020	3.27	0.00	-0.53	Sale
Security Totals:		5,937.19		7,614.17		-264.65	
CALL EBAY 12/31/20 50.50 EBAY INC CUSIP: Symbol: EBAY201231C00050500							
12/28/2020	1.00	45.90	12/28/2020	40.08	0.00	5.82	Sell to Close
12/28/2020	1.00	42.90	12/28/2020	41.08	0.00	1.82	Sell to Close
12/28/2020	1.00	44.90	12/28/2020	40.08	0.00	4.82	Sell to Close
12/28/2020	1.00	49.90	12/28/2020	40.08	0.00	9.82	Sell to Close
Security Totals:		183.60		161.32		22.28	
PUT ZM 11/13/20 350 ZOOM VIDEO COMMUNICATIONS INC CUSIP: Symbol: ZM201113P00350000							
11/10/2020	1.00	309.90	11/10/2020	310.08	0.00	-0.18	Sell to Close
TIMBER PHARMACEUTICALS INC COMMON STOCK CUSIP: 887080109 Symbol: TMBR							
06/03/2020	170.00	472.56	Various	441.00	0.00	31.56	Sale
06/17/2020	100.00	271.98	06/12/2020	227.00	0.00	44.98	Sale
07/07/2020	50.00	117.48	06/24/2020	108.00	0.00	9.48	Sale
07/13/2020	50.00	116.23	06/24/2020	108.00	0.00	8.23	Sale
07/23/2020	5.00	10.98	07/22/2020	11.25	0.27 D	0.00	Sale
07/23/2020	50.00	104.98	Various	112.77	7.79 D	0.00	Sale
07/23/2020	50.00	105.48	Various	119.17	13.69 D	0.00	Sale
07/31/2020	100.00	216.98	Various	225.86	15.19 D	6.31	Sale
07/31/2020	100.00	201.98	Various	229.81	27.83 D	0.00	Sale
07/31/2020	100.00	208.98	Various	242.83	33.85 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

5KU68797

(continued)

02/02/2021

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
TIMBER PHARMACEUTICALS INC COMMON STOCK CUSIP: 887080109 Symbol: TMBR							
07/31/2020	200.00	427.97	Various	443.70	26.46 D	10.73	Sale
08/13/2020	100.00	192.48	Various	207.82	15.34 D	0.00	Sale
08/17/2020	100.00	203.98	Various	207.84	9.59 D	5.73	Sale
08/17/2020	150.00	295.97	Various	288.46	3.03 D	10.54	Sale
08/18/2020	81.00	179.80	Various	150.98	0.00	28.82	Sale
08/18/2020	101.00	214.10	Various	192.29	0.32 D	22.13	Sale
09/01/2020	200.00	255.97	Various	374.21	118.24 D	0.00	Sale
09/01/2020	100.00	129.48	Various	230.29	100.81 D	0.00	Sale
09/03/2020	25.00	28.48	Various	52.27	23.79 D	0.00	Sale
09/04/2020	80.00	84.38	Various	197.27	112.89 D	0.00	Sale
09/04/2020	100.00	105.98	Various	196.61	90.63 D	0.00	Sale
09/04/2020	100.00	105.98	Various	205.38	99.40 D	0.00	Sale
09/04/2020	120.00	127.18	Various	308.23	181.05 D	0.00	Sale
09/04/2020	325.00	328.20	Various	621.78	293.58 D	0.00	Sale
09/09/2020	50.00	57.48	Various	82.20	24.72 D	0.00	Sale
09/09/2020	200.00	230.97	Various	498.59	267.62 D	0.00	Sale
09/09/2020	200.00	230.97	Various	490.95	259.98 D	0.00	Sale
09/14/2020	100.00	102.98	Various	183.70	80.72 D	0.00	Sale
09/14/2020	100.00	101.98	Various	258.57	156.59 D	0.00	Sale
09/14/2020	199.00	204.94	Various	342.78	137.84 D	0.00	Sale
09/14/2020	633.00	645.56	Various	1,043.79	1.46 D	-396.77	Sale
10/21/2020	1.00	1.42	09/10/2020	2.51	0.00	-1.09	Sale
Security Totals:		6,083.88		8,405.91		-219.35	
CALL BIDU 10/23/20 127 BAIDU INC CUSIP: Symbol: BIDU201023C00127000							
10/13/2020	1.00	256.90	10/13/2020	261.08	4.18 D	0.00	Sell to Close
10/13/2020	1.00	259.90	10/13/2020	259.26	0.00	0.64	Sell to Close
10/13/2020	1.00	263.90	10/13/2020	251.08	0.00	12.82	Sell to Close
10/13/2020	1.00	282.90	10/13/2020	246.08	0.00	36.82	Sell to Close

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APEX CLEARING

Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B*

OMB No. 1545-0715

5KU68797

(continued)

02/02/2021

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
CALL BIDU 10/23/20 127 BAIDU INC CUSIP: Symbol: BIDU201023C00127000							
10/13/2020	1.00	270.90	10/13/2020	251.08	0.00	19.82	Sell to Close
10/13/2020	1.00	269.90	10/13/2020	253.08	0.00	16.82	Sell to Close
Security Totals:		1,604.40		1,521.66		86.92	
XPRESSPA GROUP INC COMMON STOCK CUSIP: 98420U604 Symbol: XSPA							
04/07/2020	3,000.00	776.62	Various	874.60	106.85 D	8.87	Sale
04/07/2020	3,000.00	745.42	Various	856.85	111.43 D	0.00	Sale
04/13/2020	3,000.00	1,132.11	Various	1,094.22	10.36 D	48.25	Sale
04/22/2020	1,000.00	541.66	04/22/2020	568.09	26.43 D	0.00	Sale
05/04/2020	1,000.00	548.56	04/28/2020	523.97	0.00	24.59	Sale
05/08/2020	200.00	101.77	Various	108.87	7.10 D	0.00	Sale
05/08/2020	300.00	147.40	Various	166.57	19.17 D	0.00	Sale
05/08/2020	700.00	319.32	Various	371.63	52.31 D	0.00	Sale
05/08/2020	200.00	99.95	Various	113.92	13.97 D	0.00	Sale
05/14/2020	1,000.00	449.67	Various	501.44	51.77 D	0.00	Sale
05/18/2020	750.00	357.50	Various	350.85	7.73 D	14.38	Sale
05/22/2020	500.00	422.43	Various	403.93	0.00	18.50	Sale
05/22/2020	500.00	403.03	Various	417.91	0.00	-14.88	Sale
Security Totals:		6,045.44		6,352.85		99.71	
CALL AMZN 12/24/20 3250 AMAZON.COM INC CUSIP: Symbol: AMZN201224C03250000							
12/21/2020	1.00	1,309.88	12/21/2020	1,635.08	325.2 D	0.00	Sell to Close
12/21/2020	1.00	1,494.87	12/21/2020	1,465.08	0.00	29.79	Sell to Close
12/21/2020	1.00	1,334.88	12/21/2020	1,655.28	320.4 D	0.00	Sell to Close
12/21/2020	1.00	1,344.88	12/21/2020	1,510.48	165.6 D	0.00	Sell to Close
12/22/2020	1.00	764.89	12/22/2020	1,099.84	334.95 D	0.00	Sell to Close
12/22/2020	1.00	929.88	12/22/2020	815.08	0.00	114.80	Sell to Close
12/22/2020	1.00	574.89	12/22/2020	900.03	325.14 D	0.00	Sell to Close
12/22/2020	1.00	1,319.88	12/21/2020	1,315.68	0.00	4.20	Sell to Close
12/22/2020	1.00	1,279.88	12/22/2020	860.08	0.00	419.80	Sell to Close

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APEX CLEARING

Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B*

OMB No. 1545-0715

5KU68797

(continued)

02/02/2021

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 AMZN 12/24/20 3250 AMAZON.COM INC CUSIP: Symbol: AMZN201224C03250000							
12/22/2020	1.00	574.89	12/22/2020	830.08	255.19 D	0.00	Sell to Close
12/22/2020	1.00	579.89	12/22/2020	1,005.27	425.38 D	0.00	Sell to Close
12/22/2020	1.00	609.89	12/22/2020	995.65	385.76 D	0.00	Sell to Close
12/22/2020	1.00	589.89	12/22/2020	1,005.46	415.57 D	0.00	Sell to Close
12/23/2020	1.00	349.90	12/23/2020	853.58	503.68 D	0.00	Sell to Close
12/23/2020	1.00	319.90	12/22/2020	915.22	595.32 D	0.00	Sell to Close
12/23/2020	1.00	299.90	12/23/2020	870.94	571.04 D	0.00	Sell to Close
12/23/2020	1.00	374.90	12/23/2020	934.40	559.5 D	0.00	Sell to Close
12/23/2020	1.00	297.90	12/23/2020	811.30	0.00	-513.40	Sell to Close
12/23/2020	1.00	298.90	12/23/2020	833.12	534.22 D	0.00	Sell to Close
12/23/2020	1.00	282.90	12/23/2020	828.76	545.86 D	0.00	Sell to Close
Security Totals:		14,932.79		21,140.41		55.19	
CALL NIO 11/20/20 45 NIO INC ADS CUSIP: Symbol: NIO201120C00045000							
11/13/2020	1.00	374.90	11/13/2020	519.26	144.36 D	0.00	Sell to Close
11/13/2020	1.00	374.90	11/13/2020	579.44	204.54 D	0.00	Sell to Close
11/13/2020	1.00	379.90	11/13/2020	483.79	103.89 D	0.00	Sell to Close
11/13/2020	1.00	384.90	11/13/2020	499.14	0.00	-114.24	Sell to Close
11/13/2020	1.00	379.90	11/13/2020	438.97	0.00	-59.07	Sell to Close
11/13/2020	1.00	484.89	11/13/2020	485.08	0.19 D	0.00	Sell to Close
11/13/2020	2.00	749.81	Various	899.21	164.06 D	14.66	Sell to Close
11/13/2020	10.00	3,699.08	Various	3,846.70	369.41 D	221.79	Sell to Close
11/13/2020	2.00	741.81	Various	955.35	213.54 D	0.00	Sell to Close
11/13/2020	2.00	741.81	Various	1,064.40	322.59 D	0.00	Sell to Close
Security Totals:		8,311.90		9,771.34		63.14	
CALL NET 11/13/20 65 CLOUDFLARE INC CL A CUSIP: Symbol: NET201113C00065000							
11/09/2020	1.00	159.90	11/09/2020	160.08	0.00	-0.18	Sell to Close
CALL V 10/23/20 202.50 VISA INC CUSIP: Symbol: V201023C00202500							
10/15/2020	1.00	154.90	10/15/2020	166.31	11.41 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.

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
CALL V	10/23/20	202.50	VISA INC CUSIP: Symbol: V201023C00202500				
10/15/2020	1.00	165.90	10/15/2020	180.49	14.59 D	0.00	Sell to Close
10/15/2020	1.00	164.90	10/15/2020	222.95	58.05 D	0.00	Sell to Close
10/15/2020	1.00	163.90	10/15/2020	172.67	8.77 D	0.00	Sell to Close
10/15/2020	1.00	141.90	10/15/2020	226.08	84.18 D	0.00	Sell to Close
10/15/2020	1.00	164.90	10/15/2020	265.77	100.87 D	0.00	Sell to Close
10/15/2020	2.00	307.82	Various	463.34	155.52 D	0.00	Sell to Close
10/15/2020	1.00	166.90	10/15/2020	183.13	16.23 D	0.00	Sell to Close
10/15/2020	2.00	311.82	Various	472.68	160.86 D	0.00	Sell to Close
10/15/2020	2.00	313.82	Various	435.02	140.69 D	19.49	Sell to Close
10/15/2020	1.00	165.90	10/15/2020	122.08	0.00	43.82	Sell to Close
10/16/2020	1.00	189.90	10/16/2020	218.08	28.18 D	0.00	Sell to Close
10/16/2020	1.00	187.90	10/16/2020	174.67	0.00	13.23	Sell to Close
10/16/2020	1.00	193.90	10/16/2020	240.43	46.53 D	0.00	Sell to Close
10/16/2020	1.00	195.90	10/16/2020	215.78	19.88 D	0.00	Sell to Close
10/16/2020	1.00	244.90	10/15/2020	159.85	0.00	85.05	Sell to Close
10/16/2020	1.00	167.90	10/16/2020	191.14	23.24 D	0.00	Sell to Close
10/16/2020	1.00	163.90	10/16/2020	187.96	24.06 D	0.00	Sell to Close
10/16/2020	1.00	243.90	10/15/2020	147.08	0.00	96.82	Sell to Close
10/16/2020	1.00	171.90	10/16/2020	186.32	14.42 D	0.00	Sell to Close
10/16/2020	2.00	385.82	Various	443.34	57.52 D	0.00	Sell to Close
10/16/2020	1.00	183.90	10/16/2020	152.08	0.00	31.82	Sell to Close
10/16/2020	2.00	355.82	Various	347.58	4.59 D	12.83	Sell to Close
10/16/2020	2.00	395.82	Various	432.86	37.7 D	0.66	Sell to Close
10/16/2020	1.00	197.90	10/16/2020	153.08	0.00	44.82	Sell to Close
10/16/2020	3.00	551.73	Various	470.24	0.00	81.49	Sell to Close
10/19/2020	1.00	65.90	10/19/2020	94.42	28.52 D	0.00	Sell to Close
10/19/2020	2.00	177.82	Various	298.16	120.34 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

5KU68797

(continued)

02/02/2021

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 V 10/23/20	202.50	VISA INC CUSIP: Symbol: V201023C00202500					
10/19/2020	2.00	155.82	10/19/2020	249.80	0.00	-93.98	Sell to Close
10/19/2020	1.00	64.90	10/19/2020	146.57	81.67 D	0.00	Sell to Close
10/19/2020	3.00	218.74	Various	525.54	306.80 D	0.00	Sell to Close
10/19/2020	3.00	221.74	Various	745.23	0.00	-523.49	Sell to Close
10/19/2020	4.00	291.66	Various	981.32	689.66 D	0.00	Sell to Close
10/19/2020	3.00	215.74	Various	857.39	641.65 D	0.00	Sell to Close
10/19/2020	5.00	389.58	Various	1,519.07	1129.49 D	0.00	Sell to Close
10/19/2020	7.00	538.41	Various	1,957.53	1419.12 D	0.00	Sell to Close
10/19/2020	8.00	583.31	Various	1,677.46	1094.15 D	0.00	Sell to Close
10/19/2020	5.00	374.58	Various	1,191.73	0.00	-817.15	Sell to Close
10/19/2020	4.00	307.66	Various	1,285.45	977.79 D	0.00	Sell to Close
10/19/2020	5.00	349.58	Various	897.74	548.16 D	0.00	Sell to Close
10/19/2020	10.00	749.15	Various	2,192.78	1443.63 D	0.00	Sell to Close
10/19/2020	7.00	531.41	Various	1,381.53	850.12 D	0.00	Sell to Close
Security Totals:		11,289.75		22,632.73		-1,004.59	
***HSBC HOLDINGS PLC		SPONSORED ADR CUSIP: 404280406 Symbol: HSBC					
08/19/2020	2.00	44.11	03/11/2020	62.32	0.00	-18.21	Sale
CALL NIO 11/13/20	45	NIO INC ADS CUSIP: Symbol: NIO201113C00045000					
11/13/2020	1.00	126.90	11/13/2020	146.08	19.18 D	0.00	Sell to Close
11/13/2020	1.00	115.90	11/13/2020	120.43	4.53 D	0.00	Sell to Close
11/13/2020	2.00	221.82	Various	241.34	29.35 D	9.83	Sell to Close
11/13/2020	1.00	119.90	11/13/2020	109.61	0.00	10.29	Sell to Close
Security Totals:		584.52		617.46		20.12	
CALL V 10/23/20	200	VISA INC CUSIP: Symbol: V201023C00200000					
10/15/2020	1.00	236.90	10/15/2020	223.08	0.00	13.82	Sell to Close
10/15/2020	1.00	257.90	10/15/2020	254.08	0.00	3.82	Sell to Close
10/15/2020	1.00	257.90	10/15/2020	223.08	0.00	34.82	Sell to Close
10/19/2020	1.00	154.90	10/19/2020	151.26	0.00	3.64	Sell to Close

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APEX CLEARING

Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B*

OMB No. 1545-0715

5KU68797

(continued)

02/02/2021

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 V 10/23/20 200 VISA INC CUSIP: Symbol: V201023C00200000							
10/19/2020	1.00	159.90	10/19/2020	147.08	0.00	12.82	Sell to Close
10/19/2020	1.00	165.90	10/19/2020	162.08	0.00	3.82	Sell to Close
10/19/2020	1.00	152.90	10/19/2020	143.08	0.00	9.82	Sell to Close
10/19/2020	1.00	164.90	10/19/2020	169.08	4.18 D	0.00	Sell to Close
10/19/2020	1.00	135.90	10/19/2020	142.08	0.00	-6.18	Sell to Close
Security Totals:		1,687.10		1,614.90		76.38	
***SASOL LTD- SPONSORED ADR CUSIP: 803866300 Symbol: SSL							
04/15/2020	50.00	173.98	04/14/2020	196.50	22.52 D	0.00	Sale
04/16/2020	100.00	310.98	04/14/2020	393.00	82.02 D	0.00	Sale
04/20/2020	29.00	86.40	04/14/2020	113.97	27.57 D	0.00	Sale
04/20/2020	60.00	178.18	04/14/2020	235.80	57.62 D	0.00	Sale
04/20/2020	60.00	178.18	Various	268.65	90.47 D	0.00	Sale
04/21/2020	200.00	557.96	Various	855.77	297.81 D	0.00	Sale
04/21/2020	200.00	599.96	Various	924.32	324.36 D	0.00	Sale
04/22/2020	250.00	812.45	Various	1,066.22	253.77 D	0.00	Sale
04/27/2020	50.00	201.48	Various	207.34	6.43 D	0.57	Sale
04/28/2020	100.00	442.98	Various	500.90	58.19 D	0.27	Sale
05/15/2020	100.00	436.98	Various	549.33	33.05 D	-79.30	Sale
05/18/2020	60.00	272.98	Various	268.73	0.00	4.25	Sale
05/18/2020	111.00	516.12	Various	528.66	0.00	-12.54	Sale
05/27/2020	10.00	50.28	05/22/2020	54.32	0.00	-4.04	Sale
Security Totals:		4,818.91		6,163.51		-90.79	
PUT FB 10/09/20 260 FACEBOOK INC CL A CUSIP: Symbol: FB201009P00260000							
10/06/2020	1.00	178.90	10/06/2020	188.08	0.00	-9.18	Sell to Close
VENUS CONCEPT LTD COMMON STOCK CUSIP: 92332W105 Symbol: VERO							
07/02/2020	20.00	88.68	07/02/2020	85.80	0.00	2.88	Sale
07/02/2020	30.00	113.38	07/02/2020	125.72	0.00	-12.34	Sale
07/02/2020	30.00	137.98	07/02/2020	128.70	0.00	9.28	Sale

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APEX CLEARING

Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B*

OMB No. 1545-0715

5KU68797

(continued)

02/02/2021

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
VENUS CONCEPT LTD COMMON STOCK CUSIP: 92332W105 Symbol: VERO							
07/02/2020	50.00	204.48	07/02/2020	214.99	10.51 D	0.00	Sale
07/02/2020	46.00	234.58	07/02/2020	231.84	0.00	2.74	Sale
07/02/2020	109.00	577.67	Various	503.41	0.00	74.26	Sale
07/02/2020	50.00	204.48	07/02/2020	225.01	12.32 D	-8.21	Sale
Security Totals:		1,561.25		1,515.47		68.61	
CAPITALA FINANCE CORP CUSIP: 14054R106 Symbol: CPTA							
05/11/2020	150.00	413.97	Various	381.50	0.00	32.47	Sale
CALL V 10/23/20 207.50 VISA INC CUSIP: Symbol: V201023C00207500							
10/12/2020	1.00	324.90	10/12/2020	295.08	0.00	29.82	Sell to Close
10/12/2020	1.00	309.90	10/12/2020	293.08	0.00	16.82	Sell to Close
Security Totals:		634.80		588.16		46.64	
***FSD PHARMA INC CL B SUB VTG SHS NEW CUSIP: 35954B206 Symbol: HUGE							
07/30/2020	11.00	54.54	07/30/2020	99.34	44.8 D	0.00	Sale
07/30/2020	49.00	558.57	07/30/2020	450.80	0.00	107.77	Sale
07/30/2020	69.00	364.30	Various	652.02	287.72 D	0.00	Sale
07/30/2020	100.00	1,049.96	Various	878.50	0.00	171.46	Sale
07/30/2020	100.00	527.97	Various	1,038.95	510.98 D	0.00	Sale
07/30/2020	150.00	796.46	Various	1,437.22	640.76 D	0.00	Sale
07/30/2020	200.00	1,033.95	Various	1,701.39	667.44 D	0.00	Sale
07/31/2020	50.00	187.98	Various	354.01	166.03 D	0.00	Sale
08/03/2020	20.00	73.98	Various	137.39	63.41 D	0.00	Sale
08/20/2020	65.00	213.83	Various	465.98	252.15 D	0.00	Sale
08/20/2020	66.00	212.50	Various	430.04	217.54 D	0.00	Sale
08/20/2020	92.00	295.30	Various	750.23	454.93 D	0.00	Sale
08/20/2020	100.00	316.98	Various	866.95	549.97 D	0.00	Sale
08/20/2020	100.00	300.98	Various	748.62	11.44 D	-436.20	Sale
08/21/2020	43.00	131.13	Various	281.04	0.00	-149.91	Sale
08/27/2020	59.00	178.16	Various	392.89	0.00	-214.73	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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***FSD PHARMA INC CL B SUB VTG SHS NEW CUSIP: 35954B206 Symbol: HUGE							
09/01/2020	1.00	3.03	08/21/2020	6.65	0.00	-3.62	Sale
11/24/2020	100.00	152.08	11/23/2020	134.00	0.00	18.08	Sale
Security Totals:		6,451.70		10,826.02		-507.15	
CALL GM 12/31/20 43 GENERAL MOTORS COMPANY CUSIP: Symbol: GM201231C00043000							
12/14/2020	1.00	86.90	12/14/2020	97.44	10.54 D	0.00	Sell to Close
12/14/2020	1.00	82.90	12/14/2020	93.08	10.18 D	0.00	Sell to Close
12/14/2020	1.00	90.90	12/14/2020	88.62	0.00	2.28	Sell to Close
12/14/2020	1.00	86.90	12/14/2020	100.26	13.36 D	0.00	Sell to Close
12/16/2020	1.00	55.90	12/16/2020	53.08	0.00	2.82	Sell to Close
Security Totals:		403.50		432.48		5.10	
CALL BABA 12/04/20 270 ALIBABA GROUP HOLDING LIMITED CUSIP: Symbol: BABA201204C00270000							
12/04/2020	1.00	75.90	12/04/2020	78.26	2.36 D	0.00	Sell to Close
12/04/2020	1.00	76.90	12/04/2020	80.08	3.18 D	0.00	Sell to Close
12/04/2020	1.00	62.90	12/04/2020	61.08	0.00	1.82	Sell to Close
12/04/2020	1.00	81.90	12/04/2020	66.44	0.00	15.46	Sell to Close
12/04/2020	1.00	118.90	12/04/2020	114.08	0.00	4.82	Sell to Close
Security Totals:		416.50		399.94		22.10	
CALL V 10/23/20 205 VISA INC CUSIP: Symbol: V201023C00205000							
10/13/2020	1.00	255.90	10/13/2020	290.25	34.35 D	0.00	Sell to Close
10/13/2020	1.00	259.90	10/13/2020	277.25	17.35 D	0.00	Sell to Close
10/13/2020	1.00	261.90	10/13/2020	266.25	4.35 D	0.00	Sell to Close
10/13/2020	1.00	287.90	10/13/2020	293.25	5.35 D	0.00	Sell to Close
10/13/2020	1.00	319.90	10/13/2020	266.08	0.00	53.82	Sell to Close
10/13/2020	1.00	293.90	10/13/2020	271.08	0.00	22.82	Sell to Close
10/13/2020	5.00	1,244.56	Various	1,346.40	101.84 D	0.00	Sell to Close
10/13/2020	1.00	283.90	10/13/2020	258.24	0.00	25.66	Sell to Close
10/13/2020	1.00	295.90	10/13/2020	314.43	18.53 D	0.00	Sell to Close
10/14/2020	1.00	237.90	10/13/2020	296.61	58.71 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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CALL V 10/23/20 205	VISA INC CUSIP: Symbol: V201023C00205000						
10/14/2020	1.00	188.90	10/14/2020	418.62	229.72 D	0.00	Sell to Close
10/14/2020	1.00	179.90	10/14/2020	446.11	266.21 D	0.00	Sell to Close
10/14/2020	2.00	343.82	Various	792.90	449.08 D	0.00	Sell to Close
10/14/2020	1.00	181.90	10/14/2020	391.10	209.2 D	0.00	Sell to Close
10/14/2020	3.00	569.73	Various	1,138.19	568.46 D	0.00	Sell to Close
10/14/2020	3.00	641.73	Various	861.29	219.56 D	0.00	Sell to Close
10/14/2020	3.00	551.73	Various	1,316.70	764.97 D	0.00	Sell to Close
10/14/2020	3.00	536.73	Various	1,146.00	609.27 D	0.00	Sell to Close
10/14/2020	3.00	557.73	Various	1,172.68	614.95 D	0.00	Sell to Close
10/14/2020	5.00	919.56	Various	2,011.57	1092.01 D	0.00	Sell to Close
10/14/2020	1.00	187.90	10/14/2020	426.62	238.72 D	0.00	Sell to Close
10/14/2020	4.00	691.65	Various	1,348.10	656.45 D	0.00	Sell to Close
10/14/2020	3.00	704.73	Various	1,007.80	303.07 D	0.00	Sell to Close
10/14/2020	3.00	560.73	Various	1,367.52	806.79 D	0.00	Sell to Close
10/15/2020	1.00	100.90	10/15/2020	103.43	2.53 D	0.00	Sell to Close
10/15/2020	1.00	96.90	10/15/2020	144.43	47.53 D	0.00	Sell to Close
10/15/2020	1.00	95.90	10/15/2020	447.31	351.41 D	0.00	Sell to Close
10/15/2020	1.00	100.90	10/15/2020	468.13	367.23 D	0.00	Sell to Close
10/15/2020	1.00	101.90	10/15/2020	117.25	15.35 D	0.00	Sell to Close
10/15/2020	1.00	103.90	10/15/2020	117.24	13.34 D	0.00	Sell to Close
10/15/2020	1.00	109.90	10/15/2020	137.92	28.02 D	0.00	Sell to Close
10/15/2020	1.00	107.90	10/15/2020	402.32	294.42 D	0.00	Sell to Close
10/15/2020	2.00	201.82	Various	873.95	672.13 D	0.00	Sell to Close
10/15/2020	2.00	195.82	Various	810.60	614.78 D	0.00	Sell to Close
10/15/2020	3.00	332.74	Various	624.30	334.4 D	42.84	Sell to Close
10/15/2020	1.00	104.90	10/15/2020	415.97	311.07 D	0.00	Sell to Close
10/15/2020	2.00	205.82	Various	644.89	439.07 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 V 10/23/20 205 VISA INC CUSIP: Symbol: V201023C00205000							
10/15/2020	10.00	989.14	Various	2,679.54	1690.40 D	0.00	Sell to Close
10/15/2020	1.00	100.90	10/15/2020	165.25	64.35 D	0.00	Sell to Close
10/16/2020	1.00	133.90	10/16/2020	107.27	0.00	26.63	Sell to Close
10/16/2020	1.00	101.90	10/16/2020	391.84	289.94 D	0.00	Sell to Close
10/16/2020	1.00	104.90	10/16/2020	401.64	296.74 D	0.00	Sell to Close
10/16/2020	1.00	109.90	10/16/2020	378.00	268.1 D	0.00	Sell to Close
10/16/2020	1.00	108.90	10/16/2020	409.65	300.75 D	0.00	Sell to Close
10/16/2020	1.00	107.90	10/16/2020	400.83	292.93 D	0.00	Sell to Close
10/16/2020	1.00	94.90	10/16/2020	374.02	279.12 D	0.00	Sell to Close
10/16/2020	1.00	92.90	10/16/2020	387.01	294.11 D	0.00	Sell to Close
10/16/2020	1.00	132.90	10/16/2020	424.66	291.76 D	0.00	Sell to Close
10/16/2020	1.00	143.90	10/16/2020	123.78	0.00	20.12	Sell to Close
10/16/2020	1.00	97.90	10/16/2020	378.82	280.92 D	0.00	Sell to Close
10/16/2020	2.00	213.82	Various	863.97	650.15 D	0.00	Sell to Close
10/16/2020	2.00	215.82	Various	202.20	0.00	13.62	Sell to Close
10/16/2020	2.00	209.82	Various	808.30	598.48 D	0.00	Sell to Close
10/16/2020	3.00	299.74	Various	915.58	615.84 D	0.00	Sell to Close
10/16/2020	4.00	419.66	Various	1,038.17	618.51 D	0.00	Sell to Close
10/20/2020	2.00	79.82	Various	633.35	0.00	-553.53	Sell to Close
10/20/2020	3.00	116.74	Various	994.57	289.27 D	-588.56	Sell to Close
Security Totals:		16,293.06		35,111.23		-936.58	
PUT TSLA 10/02/20 425 TESLA INC ADJ 5:1 STOCK SPLIT CUSIP: Symbol: TSLA201002P00425000							
09/28/2020	1.00	1,754.87	09/28/2020	1,650.08	0.00	104.79	Sell to Close
LONESTAR RESOURCES US INC CLASS A COMMON STOCK CUSIP: 54240F103 Symbol: LONE							
09/02/2020	265.00	124.11	09/02/2020	118.38	0.00	5.73	Sale
09/02/2020	235.00	109.68	09/02/2020	104.97	0.00	4.71	Sale
Security Totals:		233.79		223.35		10.44	

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APEX CLEARING

Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B*

OMB No. 1545-0715

5KU68797

(continued)

02/02/2021

SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

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

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INSPIREMD INC COMMON STOCK CUSIP: 45779A853 Symbol: NSPR							
07/16/2020	353.00	165.90	Various	161.89	0.00	4.01	Sale
07/21/2020	646.00	324.53	07/15/2020	279.07	0.00	45.46	Sale
07/22/2020	1.00	0.53	07/15/2020	0.43	0.00	0.10	Sale
08/04/2020	500.00	244.93	Various	235.76	0.00	9.17	Sale
08/05/2020	569.00	278.73	Various	257.58	0.00	21.15	Sale
08/05/2020	602.00	293.40	07/30/2020	276.92	0.00	16.48	Sale
08/05/2020	1,345.00	671.32	Various	613.20	0.00	58.12	Sale
08/31/2020	1,384.00	553.97	Various	627.37	0.00	-73.40	Sale
Security Totals:		2,533.31		2,452.22		81.09	
CALL LEVI 10/16/20 15 LEVI STRAUSS & CO CL A CUSIP: Symbol: LEVI201016C00015000							
10/06/2020	3.00	209.74	Various	250.24	30.33 D	-10.17	Sell to Close
10/06/2020	1.00	84.90	10/05/2020	70.08	0.00	14.82	Sell to Close
10/06/2020	2.00	139.82	Various	190.49	0.00	-50.67	Sell to Close
Security Totals:		434.46		510.81		-46.02	
PUT SPY 11/06/20 349 STANDARD & POORS DEPOSITORY CUSIP: Symbol: SPY201106P00349000							
11/05/2020	1.00	249.90	11/05/2020	238.08	0.00	11.82	Sell to Close
11/05/2020	1.00	205.90	11/05/2020	206.08	0.18 D	0.00	Sell to Close
11/06/2020	1.00	134.90	11/06/2020	81.25	0.00	53.65	Sell to Close
11/06/2020	1.00	186.90	11/06/2020	189.26	2.36 D	0.00	Sell to Close
11/06/2020	2.00	221.82	Various	327.49	105.67 D	0.00	Sell to Close
11/06/2020	3.00	350.74	Various	570.62	219.88 D	0.00	Sell to Close
11/06/2020	1.00	132.90	11/06/2020	188.61	55.71 D	0.00	Sell to Close
11/06/2020	3.00	357.74	Various	480.12	122.38 D	0.00	Sell to Close
11/06/2020	3.00	395.74	Various	478.60	82.86 D	0.00	Sell to Close
11/06/2020	4.00	491.65	11/06/2020	528.33	9.17 D	-27.51	Sell to Close
11/06/2020	5.00	699.57	Various	807.95	0.00	-108.38	Sell to Close
11/06/2020	1.00	134.90	11/06/2020	84.91	0.00	49.99	Sell to Close
Security Totals:		3,562.66		4,181.30		-20.43	

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2020 Form 1099-B*

OMB No. 1545-0715

5KU68797

(continued)

02/02/2021

SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

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

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***IMMUTEP LIMITED AMERICAN DEPOSITARY SHARES CUSIP: 45257L108 Symbol: IMMP							
08/11/2020	1.00	1.76	08/11/2020	1.89	0.00	-0.13	Sale
08/11/2020	61.00	117.10	Various	121.66	4.56 D	0.00	Sale
08/11/2020	87.00	167.02	08/11/2020	174.87	7.85 D	0.00	Sale
08/11/2020	161.00	279.42	Various	276.25	0.26 D	3.43	Sale
Security Totals:		565.30		574.67		3.30	
CALL AMZN 11/06/20 3300 AMAZON.COM INC CUSIP: Symbol: AMZN201106C033000000							
11/06/2020	1.00	1,969.86	11/06/2020	1,900.08	0.00	69.78	Sell to Close
JAKKS PACIFIC INC COMMON STOCK CUSIP: 47012E403 Symbol: JAKK							
08/26/2020	20.00	92.38	08/24/2020	94.40	2.02 D	0.00	Sale
08/26/2020	10.00	46.48	08/26/2020	47.80	1.32 D	0.00	Sale
08/26/2020	50.00	256.48	Various	236.60	0.00	19.88	Sale
08/26/2020	30.00	138.58	08/24/2020	141.60	3.02 D	0.00	Sale
08/26/2020	100.00	461.97	Various	474.24	12.27 D	0.00	Sale
09/01/2020	1.00	3.92	09/01/2020	4.61	0.00	-0.69	Sale
09/01/2020	119.00	468.83	Various	479.42	0.84 D	-9.75	Sale
Security Totals:		1,468.64		1,478.67		9.44	
VOLT INFORMATION SCIENCES INC CUSIP: 928703107 Symbol: VOLT							
07/20/2020	73.00	127.00	07/20/2020	128.51	1.51 D	0.00	Sale
07/20/2020	300.00	521.94	07/20/2020	528.11	6.17 D	0.00	Sale
07/21/2020	50.00	79.98	07/20/2020	88.02	0.00	-8.04	Sale
07/21/2020	78.00	124.39	Various	130.24	0.00	-5.85	Sale
07/21/2020	100.00	165.98	07/20/2020	176.04	2.72 D	-7.34	Sale
07/21/2020	198.00	324.69	Various	333.60	0.00	-8.91	Sale
07/21/2020	200.00	349.97	07/20/2020	352.07	2.1 D	0.00	Sale
07/21/2020	200.00	325.97	Various	343.50	0.00	-17.53	Sale
08/06/2020	101.00	152.49	Various	140.72	0.00	11.77	Sale
08/13/2020	100.00	133.98	Various	141.99	0.00	-8.01	Sale
Security Totals:		2,306.39		2,362.80		-43.91	

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APEX CLEARING

Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B*

OMB No. 1545-0715

5KU68797

(continued)

02/02/2021

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
CALL GM 12/31/20 45 GENERAL MOTORS COMPANY CUSIP: Symbol: GM201231C00045000							
12/15/2020	1.00	26.90	12/15/2020	27.08	0.18 D	0.00	Sell to Close
12/16/2020	1.00	19.90	12/15/2020	27.08	7.18 D	0.00	Sell to Close
12/16/2020	1.00	23.90	12/15/2020	33.26	9.36 D	0.00	Sell to Close
12/17/2020	1.00	26.90	12/16/2020	25.44	0.00	1.46	Sell to Close
12/17/2020	1.00	26.90	12/15/2020	26.26	0.00	0.64	Sell to Close
Security Totals:		124.50		139.12		2.10	
CALL AMD 10/16/20 86 ADVANCED MICRO DEVICES INC CUSIP: Symbol: AMD201016C00086000							
10/07/2020	1.00	299.90	10/07/2020	296.08	0.00	3.82	Sell to Close
PRIORITY TECHNOLOGY HOLDINGS INC COMMON STOCK CUSIP: 74275G107 Symbol: PRTH							
09/01/2020	182.00	406.74	Various	423.88	17.14 D	0.00	Sale
09/01/2020	218.00	494.81	Various	500.76	13.20 D	7.25	Sale
09/02/2020	4.00	7.98	09/02/2020	8.42	0.44 D	0.00	Sale
09/02/2020	61.00	128.08	Various	117.07	0.00	11.01	Sale
09/02/2020	82.00	172.18	Various	169.09	0.14 D	3.23	Sale
Security Totals:		1,209.79		1,219.22		21.49	
PUT AMZN 11/06/20 3300 AMAZON.COM INC CUSIP: Symbol: AMZN201106P033000000							
11/05/2020	1.00	1,879.86	11/05/2020	2,150.08	270.22 D	0.00	Sell to Close
11/06/2020	1.00	509.89	11/06/2020	930.30	0.00	-420.41	Sell to Close
Security Totals:		2,389.75		3,080.38		-420.41	
PUT LYFT 11/20/20 35 LYFT INC CLASS A CUSIP: Symbol: LYFT201120P00035000							
11/12/2020	1.00	90.90	11/12/2020	90.08	0.00	0.82	Sell to Close
11/12/2020	1.00	77.91	11/12/2020	79.08	0.00	-1.17	Sell to Close
Security Totals:		168.81		169.16		-0.35	
ADIAL PHARMACEUTICALS INC COMMON STOCK CUSIP: 00688A106 Symbol: ADIL							
09/01/2020	100.00	134.98	08/31/2020	137.00	0.00	-2.02	Sale
PUT AAPL 11/13/20 115 APPLE INC CUSIP: Symbol: AAPL201113P00115000							
11/10/2020	1.00	113.90	11/10/2020	136.98	0.00	-23.08	Sell to Close
11/10/2020	1.00	99.90	11/10/2020	102.44	2.54 D	0.00	Sell to Close

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SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

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PUT AAPL 11/13/20 115 APPLE INC CUSIP: Symbol: AAPL201113P00115000							
11/10/2020	1.00	105.90	11/10/2020	105.62	0.00	0.28	Sell to Close
11/10/2020	1.00	132.90	11/10/2020	170.26	37.36 D	0.00	Sell to Close
11/10/2020	1.00	98.90	11/10/2020	137.44	38.54 D	0.00	Sell to Close
11/10/2020	1.00	98.90	11/10/2020	100.08	1.18 D	0.00	Sell to Close
11/10/2020	1.00	99.90	11/10/2020	100.08	0.18 D	0.00	Sell to Close
11/10/2020	1.00	124.90	11/10/2020	100.08	0.00	24.82	Sell to Close
11/10/2020	1.00	122.90	11/10/2020	125.26	2.36 D	0.00	Sell to Close
11/10/2020	1.00	132.90	11/10/2020	158.08	25.18 D	0.00	Sell to Close
11/10/2020	1.00	102.90	11/10/2020	127.80	24.9 D	0.00	Sell to Close
11/10/2020	1.00	130.90	11/10/2020	150.62	19.72 D	0.00	Sell to Close
11/10/2020	1.00	114.90	11/10/2020	113.26	0.00	1.64	Sell to Close
Security Totals:		1,479.70		1,628.00		3.66	
CALL MU 10/02/20 49 MICRON TECHNOLOGY INC CUSIP: Symbol: MU201002C00049000							
09/28/2020	1.00	198.90	09/28/2020	199.08	0.18 D	0.00	Sell to Close
09/28/2020	1.00	199.90	09/28/2020	201.26	1.36 D	0.00	Sell to Close
09/28/2020	1.00	192.90	09/28/2020	199.62	6.72 D	0.00	Sell to Close
09/28/2020	1.00	196.90	09/28/2020	198.44	1.54 D	0.00	Sell to Close
09/28/2020	1.00	191.90	09/28/2020	191.08	0.00	0.82	Sell to Close
09/28/2020	2.00	383.82	Various	377.88	0.00	5.94	Sell to Close
09/28/2020	1.00	191.90	09/28/2020	186.08	0.00	5.82	Sell to Close
Security Totals:		1,556.22		1,553.44		12.58	
SLACK TECHNOLOGIES INC CLASS A COMMON STOCK CUSIP: 83088V102 Symbol: WORK							
09/03/2020	10.00	326.98	09/02/2020	341.60	0.00	-14.62	Sale
***AXOVANT GENE THERAPIES LTD COMMON SHARES CUSIP: G0750W203 Symbol: AXGT							
08/11/2020	89.00	291.90	Various	260.89	0.00	31.01	Sale
08/12/2020	1.00	3.29	07/31/2020	2.93	0.00	0.36	Sale
Security Totals:		295.19		263.82		31.37	

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APEX CLEARING

Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B*

OMB No. 1545-0715

5KU68797

(continued)

02/02/2021

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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PUT AAPL 12/31/20 136 APPLE INC CUSIP: Symbol: AAPL201231P00136000							
12/29/2020	1.00	124.90	12/29/2020	109.26	0.00	15.64	Sell to Close
12/29/2020	1.00	105.90	12/29/2020	115.08	9.18 D	0.00	Sell to Close
12/29/2020	1.00	111.90	12/29/2020	120.26	0.00	-8.36	Sell to Close
12/29/2020	1.00	110.90	12/29/2020	111.08	0.18 D	0.00	Sell to Close
Security Totals:		453.60		455.68		7.28	
PUT SPY 11/04/20 330 STANDARD & POORS DEPOSITORY CUSIP: Symbol: SPY201104P00330000							
11/02/2020	1.00	572.89	11/02/2020	555.08	0.00	17.81	Sell to Close
11/03/2020	1.00	214.90	11/03/2020	238.26	23.36 D	0.00	Sell to Close
11/03/2020	1.00	214.90	11/03/2020	241.44	0.00	-26.54	Sell to Close
11/03/2020	1.00	211.90	11/03/2020	230.08	18.18 D	0.00	Sell to Close
Security Totals:		1,214.59		1,264.86		-8.73	
PUT SPY 11/09/20 351 STANDARD & POORS DEPOSITORY CUSIP: Symbol: SPY201109P00351000							
11/06/2020	1.00	213.90	11/06/2020	206.08	0.00	7.82	Sell to Close
11/06/2020	1.00	214.90	11/06/2020	215.08	0.00	-0.18	Sell to Close
Security Totals:		428.80		421.16		7.64	
PUT KODK 09/25/20 10 EASTMAN KODAK COMPANY CUSIP: Symbol: KODK200925P00010000							
09/18/2020	1.00	85.89	09/18/2020	105.09	19.2 D	0.00	Sell to Close
09/18/2020	1.00	69.89	09/18/2020	114.29	0.00	-44.40	Sell to Close
09/18/2020	1.00	84.89	09/18/2020	105.09	0.00	-20.20	Sell to Close
Security Totals:		240.67		324.47		-64.60	
CALL LOW 10/30/20 172.50 LOWES COMPANIES INC CUSIP: Symbol: LOW201030C00172500							
10/22/2020	1.00	230.90	10/22/2020	246.26	15.36 D	0.00	Sell to Close
10/22/2020	1.00	225.90	10/22/2020	247.08	21.18 D	0.00	Sell to Close
10/23/2020	1.00	131.90	10/23/2020	230.98	99.08 D	0.00	Sell to Close
10/23/2020	1.00	161.90	10/23/2020	256.16	0.00	-94.26	Sell to Close
10/23/2020	1.00	158.90	10/22/2020	232.44	73.54 D	0.00	Sell to Close
10/23/2020	1.00	163.90	10/23/2020	243.62	79.72 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

5KU68797

(continued)

02/02/2021

SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

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

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CALL LOW 10/30/20 172.50 LOWES COMPANIES INC CUSIP: Symbol: LOW201030C00172500							
10/23/2020	1.00	154.90	10/23/2020	239.80	84.9 D	0.00	Sell to Close
Security Totals:		1,228.30		1,696.34		-94.26	
CALL NIO 01/15/21 45 NIO INC ADS CUSIP: Symbol: NIO210115C00045000							
12/11/2020	1.00	464.89	12/11/2020	465.27	0.38 D	0.00	Sell to Close
12/11/2020	1.00	509.89	12/11/2020	505.08	0.00	4.81	Sell to Close
12/11/2020	1.00	484.89	12/11/2020	490.08	5.19 D	0.00	Sell to Close
12/14/2020	1.00	399.90	12/14/2020	390.46	0.00	9.44	Sell to Close
12/29/2020	1.00	359.90	12/29/2020	345.08	0.00	14.82	Sell to Close
Security Totals:		2,219.47		2,195.97		29.07	
CALL LOW 10/30/20 175 LOWES COMPANIES INC CUSIP: Symbol: LOW201030C00175000							
10/14/2020	1.00	258.90	10/14/2020	241.26	0.00	17.64	Sell to Close
10/14/2020	1.00	249.90	10/14/2020	265.08	15.18 D	0.00	Sell to Close
Security Totals:		508.80		506.34		17.64	
CALL NIO 10/23/20 22 NIO INC ADS CUSIP: Symbol: NIO201023C00022000							
10/12/2020	1.00	101.90	10/12/2020	107.08	5.18 D	0.00	Sell to Close
10/12/2020	1.00	98.90	10/12/2020	104.26	0.00	-5.36	Sell to Close
Security Totals:		200.80		211.34		-5.36	
***NORWEGIAN CRUISE LINE HOLDINGS LTD ORDINARY SHARES CUSIP: G66721104 Symbol: NCLH							
03/16/2020	1.00	12.83	03/13/2020	10.95	0.00	1.88	Sale
***SEANERGY MARITIME HOLDINGS CORP COMMON STOCK CUSIP: Y73760301 Symbol: SHIP							
04/13/2020	5,000.00	787.88	04/09/2020	684.91	0.00	102.97	Sale
GANNETT CO INC COMMON STOCK CUSIP: 36472T109 Symbol: GCI							
04/13/2020	2,000.00	1,784.12	Various	1,771.40	0.00	12.72	Sale
PUT ZBH 11/20/20 135 ZIMMER BIOMET HOLDINGS INC CUSIP: Symbol: ZBH201120P00135000							
11/13/2020	1.00	24.90	11/13/2020	25.08	0.00	-0.18	Sell to Close
CALL SPY 11/04/20 330 STANDARD & POORS DEPOSITORY CUSIP: Symbol: SPY201104C00330000							
11/02/2020	1.00	569.89	11/02/2020	555.08	0.00	14.81	Sell to Close
TSR INC CUSIP: 872885207 Symbol: TSRI							
09/01/2020	30.00	194.98	09/01/2020	180.00	0.00	14.98	Sale

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2020 Form 1099-B*

OMB No. 1545-0715

5KU68797

(continued)

02/02/2021

SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

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CALL PYPL 12/18/20 200 PAYPAL HOLDINGS INC CUSIP: Symbol: PYPL201218C00200000							
11/18/2020	1.00	394.90	11/18/2020	390.08	0.00	4.82	Sell to Close
11/18/2020	1.00	409.90	11/18/2020	405.26	0.00	4.64	Sell to Close
11/18/2020	1.00	429.90	11/18/2020	395.08	0.00	34.82	Sell to Close
11/18/2020	1.00	394.90	11/18/2020	405.08	10.18 D	0.00	Sell to Close
Security Totals:		1,629.60		1,595.50		44.28	
NEW AGE BEVERAGES CORPORATION COM CUSIP: 64157V108 Symbol: NBEV							
05/20/2020	100.00	148.98	05/11/2020	151.00	2.02 D	0.00	Sale
05/26/2020	200.00	321.97	Various	287.02	0.00	34.95	Sale
Security Totals:		470.95		438.02		34.95	
PUT AAPL 11/13/20 120 APPLE INC CUSIP: Symbol: AAPL201113P00120000							
11/12/2020	1.00	143.90	11/12/2020	151.08	7.18 D	0.00	Sell to Close
11/12/2020	1.00	102.90	11/12/2020	156.98	54.08 D	0.00	Sell to Close
11/12/2020	1.00	121.90	11/12/2020	142.26	20.36 D	0.00	Sell to Close
11/12/2020	1.00	120.90	11/12/2020	117.08	0.00	3.82	Sell to Close
11/12/2020	1.00	120.90	11/12/2020	146.50	0.00	-25.60	Sell to Close
11/12/2020	1.00	102.90	11/12/2020	152.44	49.54 D	0.00	Sell to Close
11/12/2020	1.00	120.90	11/12/2020	165.62	44.72 D	0.00	Sell to Close
11/12/2020	1.00	121.90	11/12/2020	168.80	46.9 D	0.00	Sell to Close
11/12/2020	2.00	215.82	Various	256.24	48.25 D	7.83	Sell to Close
11/12/2020	2.00	227.82	11/12/2020	220.16	0.00	7.66	Sell to Close
11/12/2020	2.00	243.82	11/12/2020	244.49	0.00	-0.67	Sell to Close
11/12/2020	9.00	989.23	Various	1,028.98	39.25 D	-0.50	Sell to Close
11/12/2020	2.00	247.82	11/12/2020	244.49	0.00	3.33	Sell to Close
11/12/2020	1.00	131.90	11/12/2020	122.25	0.00	9.65	Sell to Close
Security Totals:		3,012.61		3,317.37		5.52	
NXT ID INC COM NEW CUSIP: 67091J206 Symbol: NXTD							
07/02/2020	100.00	83.98	07/02/2020	91.00	7.02 D	0.00	Sale
07/02/2020	100.00	62.24	07/02/2020	73.20	10.96 D	0.00	Sale

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NXT ID INC COM NEW CUSIP: 67091J206 Symbol: NXTD							
07/02/2020	100.00	85.48	07/02/2020	92.32	6.84 D	0.00	Sale
07/02/2020	100.00	73.48	07/02/2020	80.04	6.56 D	0.00	Sale
07/28/2020	39.00	21.63	07/28/2020	23.79	0.00	-2.16	Sale
07/28/2020	800.00	470.28	Various	531.12	60.84 D	0.00	Sale
07/28/2020	1,011.00	566.13	Various	642.14	3.2 D	-72.81	Sale
Security Totals:		1,363.22		1,533.61		-74.97	
PUT GOGO 09/18/20 8 GOGO INC CUSIP: Symbol: GOGO200918P00008000							
09/03/2020	1.00	69.89	09/02/2020	60.09	0.00	9.80	Sell to Close
PUT SPY 10/21/20 343 STANDARD & POORS DEPOSITORY CUSIP: Symbol: SPY201021P00343000							
10/20/2020	1.00	173.90	10/20/2020	196.26	0.00	-22.36	Sell to Close
10/20/2020	1.00	183.90	10/20/2020	195.08	11.18 D	0.00	Sell to Close
Security Totals:		357.80		391.34		-22.36	
PUT SPY 11/20/20 350 STANDARD & POORS DEPOSITORY CUSIP: Symbol: SPY201120P00350000							
11/12/2020	1.00	236.90	11/12/2020	248.08	0.00	-11.18	Sell to Close
PUT AAPL 12/11/20 125 APPLE INC CUSIP: Symbol: AAPL201211P00125000							
12/09/2020	1.00	124.90	12/09/2020	122.08	0.00	2.82	Sell to Close
CALL SPY 11/20/20 355 STANDARD & POORS DEPOSITORY CUSIP: Symbol: SPY201120C00355000							
11/19/2020	1.00	193.90	11/19/2020	195.08	1.18 D	0.00	Sell to Close
11/19/2020	1.00	215.90	11/19/2020	208.26	0.00	7.64	Sell to Close
11/19/2020	1.00	183.90	11/19/2020	166.08	0.00	17.82	Sell to Close
11/19/2020	1.00	210.90	11/19/2020	212.08	0.00	-1.18	Sell to Close
Security Totals:		804.60		781.50		24.28	
***JUST ENERGY GROUP INC CUSIP: 48213W101 Symbol: JE							
07/20/2020	199.00	158.18	07/20/2020	123.38	0.00	34.80	Sale
07/20/2020	500.00	318.88	07/20/2020	330.60	11.72 D	0.00	Sale
07/20/2020	591.00	323.79	Various	443.92	120.13 D	0.00	Sale
07/20/2020	1,000.00	638.86	07/20/2020	661.20	22.34 D	0.00	Sale
07/20/2020	1,000.00	513.98	Various	672.75	158.77 D	0.00	Sale
07/20/2020	1,006.00	535.86	Various	727.24	191.39 D	0.01	Sale

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APEX CLEARING

Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B*

OMB No. 1545-0715

5KU68797

(continued)

02/02/2021

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
***JUST ENERGY GROUP INC CUSIP: 48213W101 Symbol: JE							
07/20/2020	2,000.00	1,383.72	Various	1,116.06	0.00	267.66	Sale
08/05/2020	55.00	20.02	Various	32.09	12.07 D	0.00	Sale
08/07/2020	1,413.00	488.71	Various	690.03	201.32 D	0.00	Sale
08/12/2020	136.00	46.47	Various	76.40	29.93 D	0.00	Sale
08/28/2020	100.00	47.71	08/27/2020	56.07	8.36 D	0.00	Sale
08/28/2020	193.00	114.61	Various	112.73	6.56 D	8.44	Sale
08/28/2020	213.00	114.32	Various	153.49	7.5 D	-31.67	Sale
08/28/2020	247.00	143.27	Various	165.98	22.71 D	0.00	Sale
08/28/2020	247.00	147.00	08/28/2020	131.27	0.00	15.73	Sale
08/28/2020	300.00	161.35	Various	215.05	53.70 D	0.00	Sale
08/28/2020	300.00	132.85	Various	200.03	0.00	-67.18	Sale
08/28/2020	400.00	212.74	Various	304.58	91.84 D	0.00	Sale
08/28/2020	550.00	229.71	Various	296.52	0.00	-66.81	Sale
Security Totals:		5,732.03		6,509.39		160.98	
CALL SQ 11/13/20 177.50 SQUARE INC CUSIP: Symbol: SQ201113C00177500							
11/10/2020	1.00	359.90	11/10/2020	365.08	0.00	-5.18	Sell to Close
CALL TDOC 01/15/21 230 TELADOC HEALTH INC CUSIP: Symbol: TDOC210115C00230000							
11/10/2020	1.00	224.90	11/09/2020	439.26	214.36 D	0.00	Sell to Close
11/10/2020	1.00	264.90	11/10/2020	434.44	169.54 D	0.00	Sell to Close
11/10/2020	1.00	209.90	11/09/2020	369.08	159.18 D	0.00	Sell to Close
11/11/2020	1.00	289.90	11/10/2020	349.62	59.72 D	0.00	Sell to Close
11/11/2020	1.00	289.90	11/10/2020	289.80	0.00	0.10	Sell to Close
Security Totals:		1,279.50		1,882.20		0.10	
GLOBAL EAGLE ENTERTAINMENT INC COMMON STOCK CUSIP: 37951D300 Symbol: ENT							
06/03/2020	10.00	39.48	05/29/2020	21.30	0.00	18.18	Sale
06/03/2020	50.00	161.48	05/15/2020	103.00	0.00	58.48	Sale
06/03/2020	100.00	325.98	05/26/2020	216.00	0.00	109.98	Sale
06/03/2020	250.00	704.95	05/15/2020	515.00	0.00	189.95	Sale

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APEX CLEARING

Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B*

OMB No. 1545-0715

5KU68797

(continued)

02/02/2021

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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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
GLOBAL EAGLE ENTERTAINMENT INC COMMON STOCK CUSIP: 37951D300 Symbol: ENT							
06/29/2020	10.00	41.98	Various	39.21	0.00	2.77	Sale
06/29/2020	5.00	26.08	06/26/2020	20.60	0.00	5.48	Sale
07/08/2020	5.00	19.18	Various	19.10	0.28 D	0.36	Sale
07/09/2020	10.00	37.48	Various	37.73	0.00	-0.25	Sale
07/13/2020	5.00	19.03	07/07/2020	18.73	0.00	0.30	Sale
07/15/2020	1.00	3.71	07/07/2020	3.74	0.00	-0.03	Sale
Security Totals:		1,379.35		994.41		385.22	
PUT SPY 11/04/20 345 STANDARD & POORS DEPOSITORY CUSIP: Symbol: SPY201104P00345000							
11/04/2020	1.00	237.90	11/04/2020	231.08	0.00	6.82	Sell to Close
OCUGEN INC COMMON STOCK CUSIP: 67577C105 Symbol: OCGN							
05/01/2020	100.00	33.81	04/27/2020	31.14	0.00	2.67	Sale
05/01/2020	600.00	201.94	04/27/2020	186.83	0.00	15.11	Sale
05/01/2020	600.00	201.52	Various	185.21	0.00	16.31	Sale
05/01/2020	700.00	237.14	04/28/2020	214.20	0.00	22.94	Sale
05/04/2020	1,000.00	374.07	04/28/2020	306.00	0.00	68.07	Sale
06/01/2020	900.00	179.88	06/01/2020	225.00	45.12 D	0.00	Sale
06/24/2020	1,000.00	265.97	Various	297.12	32.55 D	1.40	Sale
06/25/2020	100.00	23.34	06/25/2020	27.38	0.00	-4.04	Sale
06/25/2020	600.00	136.00	Various	164.01	23.3 D	-4.71	Sale
07/01/2020	800.00	185.17	Various	220.61	0.00	-35.44	Sale
08/12/2020	100.00	63.78	08/11/2020	67.30	3.52 D	0.00	Sale
08/13/2020	94.00	60.93	Various	53.68	0.00	7.25	Sale
08/13/2020	169.00	108.81	Various	101.60	0.00	7.21	Sale
08/13/2020	200.00	128.75	Various	132.64	3.26 D	-0.63	Sale
08/13/2020	300.00	191.92	Various	205.42	13.50 D	0.00	Sale
Security Totals:		2,393.03		2,418.14		96.14	
PUT SPY 11/04/20 335 STANDARD & POORS DEPOSITORY CUSIP: Symbol: SPY201104P00335000							
11/03/2020	1.00	365.90	11/03/2020	363.08	0.00	2.82	Sell to Close

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APEX CLEARING

Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B*

OMB No. 1545-0715

5KU68797

(continued)

02/02/2021

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 CRM 12/24/20 230 SALESFORCE.COM INC CUSIP: Symbol: CRM201224C00230000							
12/23/2020	1.00	63.90	12/23/2020	72.08	8.18 D	0.00	Sell to Close
12/23/2020	1.00	65.90	12/23/2020	80.26	14.36 D	0.00	Sell to Close
12/23/2020	1.00	66.90	12/23/2020	80.44	13.54 D	0.00	Sell to Close
12/23/2020	1.00	69.90	12/23/2020	76.62	6.72 D	0.00	Sell to Close
12/23/2020	1.00	82.90	12/23/2020	68.80	0.00	14.10	Sell to Close
12/24/2020	1.00	31.90	12/23/2020	46.08	0.00	-14.18	Sell to Close
12/24/2020	1.00	30.90	12/23/2020	46.08	15.18 D	0.00	Sell to Close
12/24/2020	1.00	34.90	12/23/2020	50.26	0.00	-15.36	Sell to Close
Security Totals:		447.20		520.62		-15.44	
COCA COLA COMPANY (THE) CUSIP: 191216100 Symbol: KO							
04/06/2020	4.00	180.46	Various	182.36	0.00	-1.90	Sale
***ZK INTERNATIONAL GROUP CO LTD ORDINARY SHARE CUSIP: G9892K100 Symbol: ZKIN							
06/12/2020	100.00	155.98	06/12/2020	205.08	49.1 D	0.00	Sale
06/12/2020	31.00	49.27	06/12/2020	60.96	11.69 D	0.00	Sale
06/12/2020	100.00	144.98	06/12/2020	168.00	23.02 D	0.00	Sale
06/12/2020	100.00	145.98	06/12/2020	188.02	42.04 D	0.00	Sale
06/12/2020	100.00	152.98	06/12/2020	205.04	52.06 D	0.00	Sale
06/12/2020	100.00	153.98	06/12/2020	207.06	53.08 D	0.00	Sale
06/12/2020	177.00	281.40	Various	296.17	0.00	-14.77	Sale
06/12/2020	500.00	871.22	06/12/2020	840.00	0.00	31.22	Sale
09/08/2020	100.00	107.98	09/08/2020	114.00	0.00	-6.02	Sale
Security Totals:		2,063.77		2,284.33		10.43	
ALDEYRA THERAPEUTICS INC COM CUSIP: 01438T106 Symbol: ALDX							
05/28/2020	60.00	264.58	05/21/2020	250.20	0.00	14.38	Sale
CALL DBX 01/21/22 25 DROPBOX INC CUSIP: Symbol: DBX220121C00025000							
12/01/2020	1.00	262.90	12/01/2020	252.08	0.00	10.82	Sell to Close
***IClick INTERACTIVE ASIA GROUP LIMITED AMERICAN DEPOSITARY SHARES CUSIP: 45113Y104 Symbol: ICLK							
08/24/2020	6.00	55.30	08/21/2020	53.28	0.00	2.02	Sale

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APEX CLEARING

Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B*

OMB No. 1545-0715

5KU68797

(continued)

02/02/2021

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
***CLICK INTERACTIVE ASIA GROUP LIMITED AMERICAN DEPOSITARY SHARES CUSIP: 45113Y104 Symbol: ICLK							
08/24/2020	10.00	91.48	08/21/2020	88.80	0.00	2.68	Sale
08/24/2020	30.00	278.38	08/21/2020	266.40	0.00	11.98	Sale
08/24/2020	54.00	494.07	Various	483.77	0.00	10.30	Sale
Security Totals:		919.23		892.25		26.98	
TD HOLDINGS INC COMMON STOCK CUSIP: 87250W103 Symbol: GLG							
07/09/2020	100.00	237.98	07/09/2020	216.00	0.00	21.98	Sale
PUT SPY 11/20/20 357.50 STANDARD & POORS DEPOSITARY CUSIP: Symbol: SPY201120P00357500							
11/19/2020	1.00	171.90	11/19/2020	159.08	0.00	12.82	Sell to Close
11/19/2020	1.00	159.90	11/19/2020	157.08	0.00	2.82	Sell to Close
Security Totals:		331.80		316.16		15.64	
FAT BRANDS INC COMMON STOCK CUSIP: 30258N105 Symbol: FAT							
08/13/2020	35.00	279.98	08/13/2020	283.85	0.00	-3.87	Sale
08/13/2020	65.00	508.27	08/13/2020	527.15	14.52 D	-4.36	Sale
08/13/2020	50.00	365.98	08/13/2020	398.52	0.00	-32.54	Sale
Security Totals:		1,154.23		1,209.52		-40.77	
***WIMI HOLOGRAM CLOUD INC AMERICAN DEPOSITARY SHARE CUSIP: 97264L100 Symbol: WIMI							
07/27/2020	20.00	149.18	Various	152.60	4.81 D	1.39	Sale
07/28/2020	20.00	152.18	Various	148.41	0.00	3.77	Sale
07/28/2020	44.00	351.54	07/27/2020	315.92	0.00	35.62	Sale
08/03/2020	20.00	143.38	Various	148.54	5.16 D	0.00	Sale
08/03/2020	100.00	722.97	Various	702.09	6.53 D	27.41	Sale
08/04/2020	96.00	757.41	Various	658.59	0.00	98.82	Sale
Security Totals:		2,276.66		2,126.15		167.01	
CALL GOOG 12/31/20 1800 ALPHABET INC CLASS C CUSIP: Symbol: GOOG201231C01800000							
12/24/2020	1.00	104.90	12/24/2020	115.08	10.18 D	0.00	Sell to Close
12/24/2020	1.00	107.90	12/24/2020	105.26	0.00	2.64	Sell to Close
Security Totals:		212.80		220.34		2.64	

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APEX CLEARING

Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B*

OMB No. 1545-0715

5KU68797

(continued)

02/02/2021

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

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 10/28/20 345 STANDARD & POORS DEPOSITORY CUSIP: Symbol: SPY201028C00345000							
10/23/2020	1.00	279.90	10/23/2020	284.08	0.00	-4.18	Sell to Close
ACADIA PHARMACEUTICALS INC CUSIP: 004225108 Symbol: ACAD							
08/31/2020	9.00	354.95	08/26/2020	344.07	0.00	10.88	Sale
09/01/2020	1.00	37.94	08/26/2020	38.23	0.00	-0.29	Sale
Security Totals:		392.89		382.30		10.59	
CALL LI 03/19/21 30 LI AUTO INC ADS CUSIP: Symbol: LI210319C00030000							
12/29/2020	1.00	334.90	12/29/2020	330.08	0.00	4.82	Sell to Close
12/31/2020	1.00	464.89	12/29/2020	315.08	0.00	149.81	Sell to Close
Security Totals:		799.79		645.16		154.63	
***CHINA CERAMICS CO LTD COM CUSIP: G2113X134 Symbol: CCCL							
05/20/2020	100.00	119.98	05/20/2020	131.02	11.04 D	0.00	Sale
05/20/2020	100.00	113.98	05/20/2020	117.04	0.00	-3.06	Sale
05/20/2020	100.00	117.98	05/20/2020	127.00	9.02 D	0.00	Sale
Security Totals:		351.94		375.06		-3.06	
IMMUNIC INC COMMON STOCK CUSIP: 4525EP101 Symbol: IMUX							
08/03/2020	5.00	120.18	08/03/2020	119.65	0.00	0.53	Sale
PUT SPY 11/20/20 335 STANDARD & POORS DEPOSITORY CUSIP: Symbol: SPY201120P00335000							
11/03/2020	1.00	866.89	11/03/2020	856.08	0.00	10.81	Sell to Close
PUT SPY 11/20/20 345 STANDARD & POORS DEPOSITORY CUSIP: Symbol: SPY201120P00345000							
11/05/2020	1.00	461.89	11/05/2020	450.08	0.00	11.81	Sell to Close
CALL BIDU 10/09/20 126 BAIDU INC CUSIP: Symbol: BIDU201009C00126000							
09/29/2020	1.00	197.90	09/29/2020	192.08	0.00	5.82	Sell to Close
CALL PLTR 01/15/21 30 PALANTIR TECHNOLOGIES INC CL A CUSIP: Symbol: PLTR210115C00030000							
11/30/2020	1.00	409.90	11/30/2020	420.08	10.18 D	0.00	Sell to Close
12/01/2020	1.00	359.90	12/01/2020	415.44	55.54 D	0.00	Sell to Close
12/01/2020	1.00	369.90	12/01/2020	410.62	40.72 D	0.00	Sell to Close
12/01/2020	1.00	331.90	12/01/2020	409.98	78.08 D	0.00	Sell to Close
12/01/2020	1.00	379.90	12/01/2020	405.26	25.36 D	0.00	Sell to Close
12/01/2020	1.00	320.90	12/01/2020	390.80	69.9 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

5KU68797

(continued)

02/02/2021

SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

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

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

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CALL PLTR 01/15/21 30 PALANTIR TECHNOLOGIES INC CL A CUSIP: Symbol: PLTR210115C00030000							
12/01/2020	1.00	329.90	12/01/2020	353.33	23.43 D	0.00	Sell to Close
12/01/2020	1.00	319.91	12/01/2020	378.16	58.25 D	0.00	Sell to Close
12/02/2020	1.00	233.90	12/02/2020	247.51	0.00	-13.61	Sell to Close
Security Totals:		3,056.11		3,431.18		-13.61	
CALL DKNG 11/20/20 45 DRAFTKINGS INC CL A CUSIP: Symbol: DKNG201120C00045000							
11/13/2020	1.00	169.90	11/13/2020	190.08	20.18 D	0.00	Sell to Close
11/13/2020	1.00	159.90	11/13/2020	180.26	0.00	-20.36	Sell to Close
Security Totals:		329.80		370.34		-20.36	
CALL AMZN 11/13/20 3200 AMAZON.COM INC CUSIP: Symbol: AMZN201113C03200000							
11/12/2020	1.00	1,748.87	11/12/2020	1,385.29	0.00	363.58	Sell to Close
11/12/2020	1.00	1,570.87	11/12/2020	1,576.08	5.21 D	0.00	Sell to Close
Security Totals:		3,319.74		2,961.37		363.58	
PUT ZM 09/25/20 475 ZOOM VIDEO COMMUNICATIONS INC CUSIP: Symbol: ZM200925P00475000							
09/24/2020	1.00	779.88	09/24/2020	890.09	110.21 D	0.00	Sell to Close
09/24/2020	1.00	879.88	09/24/2020	820.30	0.00	59.58	Sell to Close
Security Totals:		1,659.76		1,710.39		59.58	
AERPIO PHARMACEUTICALS INC COMMON STOCK CUSIP: 00810B105 Symbol: ARPO							
08/04/2020	110.00	239.93	08/04/2020	259.60	19.67 D	0.00	Sale
08/05/2020	9.00	19.42	Various	18.96	0.00	0.46	Sale
08/05/2020	82.00	161.52	08/04/2020	193.52	32 D	0.00	Sale
08/05/2020	100.00	193.98	08/04/2020	236.00	42.02 D	0.00	Sale
08/05/2020	100.00	204.98	Various	211.97	6.99 D	0.00	Sale
08/05/2020	120.00	178.78	Various	206.03	0.00	-27.25	Sale
08/05/2020	197.00	405.79	Various	466.30	7.70 D	-52.81	Sale
Security Totals:		1,404.40		1,592.38		-79.60	
LUBY'S INC FORMERLY LUBYS CAFETERIAS INC CUSIP: 549282101 Symbol: LUB							
09/08/2020	60.00	127.48	Various	128.20	0.00	-0.72	Sale
09/08/2020	100.00	204.98	09/08/2020	184.00	0.00	20.98	Sale

APEX CLEARING

Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B*

OMB No. 1545-0715

5KU68797

(continued)

02/02/2021

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
LUBY'S INC FORMERLY LUBYS CAFETERIAS INC CUSIP: 549282101 Symbol: LUB							
09/08/2020	100.00	174.98	09/08/2020	163.00	0.00	11.98	Sale
09/08/2020	106.00	207.74	Various	192.36	0.00	15.38	Sale
09/08/2020	144.00	285.09	Various	260.64	0.00	24.45	Sale
09/08/2020	100.00	192.98	Various	182.50	0.00	10.48	Sale
Security Totals:		1,193.25		1,110.70		82.55	
SPARTAN ENERGY ACQUISITION CORP CLASS A COMMON STOCK CUSIP: 846784106 Symbol: SPAQ							
07/24/2020	20.00	265.38	Various	273.90	9.90 D	1.38	Sale
07/29/2020	18.00	262.42	Various	236.34	0.00	26.08	Sale
Security Totals:		527.80		510.24		27.46	
***HERMITAGE OFFSHORE SERVICES LTD COMMON SHARES CUSIP: G4511M108 Symbol: PSV							
08/27/2020	150.00	118.29	Various	123.25	5.14 D	0.18	Sale
08/28/2020	100.00	115.98	Various	122.65	9.33 D	2.66	Sale
08/28/2020	150.00	75.74	Various	98.89	23.15 D	0.00	Sale
08/31/2020	148.00	199.77	Various	195.70	0.00	4.07	Sale
08/31/2020	319.00	409.87	Various	430.42	20.55 D	0.00	Sale
08/31/2020	133.00	170.21	Various	188.94	18.73 D	0.00	Sale
09/02/2020	400.00	305.73	Various	344.30	0.00	-38.57	Sale
Security Totals:		1,395.59		1,504.15		-31.66	
ARAVIVE INC COMMON STOCK CUSIP: 03890D108 Symbol: ARAV							
08/03/2020	10.00	57.98	08/03/2020	51.50	0.00	6.48	Sale
PUT SPY 11/06/20 335 STANDARD & POORS DEPOSITORY CUSIP: Symbol: SPY201106P00335000							
11/03/2020	1.00	522.89	11/03/2020	546.08	0.00	-23.19	Sell to Close
PUT SPY 10/28/20 328 STANDARD & POORS DEPOSITORY CUSIP: Symbol: SPY201028P00328000							
10/28/2020	1.00	102.90	10/28/2020	138.08	0.00	-35.18	Sell to Close
SORRENTO THERAPEUTICS INC CUSIP: 83587F202 Symbol: SRNE							
09/02/2020	20.00	153.98	09/01/2020	153.77	0.00	0.21	Sale
PUT AMZN 11/13/20 3150 AMAZON.COM INC CUSIP: Symbol: AMZN201113P03150000							
11/09/2020	1.00	2,889.84	11/09/2020	3,380.08	0.00	-490.24	Sell 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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02/02/2021

SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

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ADVANCED EMISSIONS SOLUTIONS INC COM CUSIP: 00770C101 Symbol: ADES							
05/12/2020	40.00	242.38	05/12/2020	236.00	0.00	6.38	Sale
CALL SPY 10/21/20 345 STANDARD & POORS DEPOSITORY CUSIP: Symbol: SPY201021C00345000							
10/21/2020	1.00	70.90	10/21/2020	120.43	0.00	-49.53	Sell to Close
10/21/2020	1.00	110.90	10/21/2020	110.08	0.00	0.82	Sell to Close
10/21/2020	2.00	145.82	Various	193.34	35.35 D	-12.17	Sell to Close
10/21/2020	1.00	109.90	10/21/2020	113.08	3.18 D	0.00	Sell to Close
Security Totals:		437.52		536.93		-60.88	
***OSSEN INNOVATION CO LTD AMERICAN DEPOSITARY SHARES SPONSORED CUSIP: 688410208 Symbol: OSN							
08/04/2020	95.00	402.78	Various	398.70	0.00	4.08	Sale
***BORR DRILLING LIMITED COM ON SHARES OF PAR VALUE \$0.05 PER SHARE CUSIP: G1466R207 Symbol: BORR							
04/23/2020	999.00	710.15	04/23/2020	650.15	0.00	60.00	Sale
04/28/2020	1.00	0.65	04/23/2020	0.65	0.00	0.00	Sale
05/19/2020	500.00	279.93	05/19/2020	280.15	0.00	-0.22	Sale
05/19/2020	500.00	282.43	05/19/2020	280.15	0.00	2.28	Sale
Security Totals:		1,273.16		1,211.10		62.06	
DIREXION SHARES ETF TRUST DIREXION DAILY JUNIOR GOLD MINERS INDEX BEAR 2X SHARES CUSIP: 25460G807 Symbol: JDST							
08/11/2020	10.00	120.18	Various	315.06	196.93 D	2.05	Sale
09/21/2020	20.00	214.88	Various	399.53	0.00	-184.65	Sale
Security Totals:		335.06		714.59		-182.60	
CALL LYFT 11/13/20 40 LYFT INC CLASS A CUSIP: Symbol: LYFT201113C00040000							
11/09/2020	1.00	43.90	11/09/2020	41.26	0.00	2.64	Sell to Close
11/09/2020	1.00	34.90	11/09/2020	38.08	3.18 D	0.00	Sell to Close
Security Totals:		78.80		79.34		2.64	
CLEARSIGN TECHNOLOGIES CORPORATION COMMON STOCK CUSIP: 185064102 Symbol: CLIR							
06/16/2020	1,450.00	4,277.23	Various	3,461.69	0.00	815.54	Sale
06/16/2020	1,000.00	2,789.81	06/16/2020	2,820.00	30.19 D	0.00	Sale
Security Totals:		7,067.04		6,281.69		815.54	
PERCEPTRON INC CUSIP: 71361F100 Symbol: PRCP							
07/14/2020	99.00	653.37	Various	548.72	0.00	104.65	Sale

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APEX CLEARING

Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B*

OMB No. 1545-0715

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02/02/2021

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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PERCEPTRON INC CUSIP: 71361F100 Symbol: PRCP							
07/14/2020	50.00	287.98	07/14/2020	279.50	0.00	8.48	Sale
07/14/2020	29.00	169.05	07/14/2020	139.78	0.00	29.27	Sale
07/14/2020	100.00	571.97	Various	489.30	0.00	82.67	Sale
07/15/2020	79.00	394.98	Various	440.74	17.54 D	-28.22	Sale
07/16/2020	33.00	149.64	Various	180.80	0.00	-31.16	Sale
Security Totals:		2,226.99		2,078.84		165.69	
DYNATRONICS CORPORATION COMMON STOCK CUSIP: 268157401 Symbol: DYNT							
04/15/2020	400.00	396.76	Various	377.55	0.00	19.21	Sale
06/04/2020	1,681.00	1,236.96	Various	1,176.47	11.13 D	71.62	Sale
06/09/2020	215.00	185.01	06/09/2020	185.76	0.00	-0.75	Sale
06/09/2020	300.00	255.95	Various	222.31	0.00	33.64	Sale
06/09/2020	400.00	341.97	06/09/2020	345.60	0.00	-3.63	Sale
06/09/2020	300.00	255.55	06/09/2020	264.94	0.00	-9.39	Sale
06/10/2020	4.00	3.70	06/09/2020	3.46	0.00	0.24	Sale
08/19/2020	100.00	83.98	Various	93.00	0.00	-9.02	Sale
08/19/2020	166.00	140.22	08/14/2020	153.76	0.00	-13.54	Sale
08/19/2020	284.00	238.55	08/10/2020	269.80	27.51 D	-3.74	Sale
Security Totals:		3,138.65		3,092.65		84.64	
CALL SPY 12/04/20 367 STANDARD & POORS DEPOSITORY CUSIP: Symbol: SPY201204C00367000							
12/03/2020	1.00	137.90	12/03/2020	141.08	0.00	-3.18	Sell to Close
CALL GHIV 02/19/21 12.50 GORES HOLDINGS IV INC CL A CUSIP: Symbol: GHIV210219C00012500							
12/10/2020	1.00	339.90	12/10/2020	330.08	0.00	9.82	Sell to Close
PUT SPY 12/04/20 367 STANDARD & POORS DEPOSITORY CUSIP: Symbol: SPY201204P00367000							
12/03/2020	1.00	126.90	12/03/2020	127.08	0.18 D	0.00	Sell to Close
12/03/2020	1.00	122.90	12/03/2020	121.26	0.00	1.64	Sell to Close
12/03/2020	1.00	120.90	12/03/2020	121.08	0.18 D	0.00	Sell to Close
12/04/2020	1.00	52.91	12/04/2020	55.08	0.00	-2.17	Sell to Close

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APEX CLEARING

Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B*

OMB No. 1545-0715

5KU68797

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02/02/2021

SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

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

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PUT SPY 12/04/20 367 STANDARD & POORS DEPOSITORY CUSIP: Symbol: SPY201204P00367000							
12/04/2020	1.00	57.90	12/04/2020	55.26	0.00	2.64	Sell to Close
Security Totals:		481.51		479.76		2.11	
PUT SPY 12/04/20 369 STANDARD & POORS DEPOSITORY CUSIP: Symbol: SPY201204P00369000							
12/04/2020	1.00	59.90	12/04/2020	59.08	0.00	0.82	Sell to Close
12/04/2020	1.00	76.90	12/04/2020	74.08	0.00	2.82	Sell to Close
12/04/2020	1.00	59.90	12/04/2020	59.08	0.00	0.82	Sell to Close
Security Totals:		196.70		192.24		4.46	
CALL SPCE 01/15/21 35 VIRGIN GALACTIC HOLDINGS INC CUSIP: Symbol: SPCE210115C00035000							
11/18/2020	1.00	91.90	11/18/2020	92.08	0.00	-0.18	Sell to Close
PUT SPY 10/07/20 335 STANDARD & POORS DEPOSITORY CUSIP: Symbol: SPY201007P00335000							
10/02/2020	1.00	350.90	10/02/2020	359.08	8.18 D	0.00	Sell to Close
10/02/2020	1.00	355.90	10/02/2020	327.44	0.00	28.46	Sell to Close
10/02/2020	1.00	358.90	10/02/2020	351.08	0.00	7.82	Sell to Close
10/02/2020	1.00	342.90	10/02/2020	349.08	6.18 D	0.00	Sell to Close
10/02/2020	1.00	388.90	10/02/2020	331.26	0.00	57.64	Sell to Close
10/02/2020	1.00	324.90	10/02/2020	334.26	9.36 D	0.00	Sell to Close
10/02/2020	1.00	355.90	10/02/2020	349.08	0.00	6.82	Sell to Close
10/05/2020	5.00	709.57	Various	1,144.40	434.83 D	0.00	Sell to Close
10/05/2020	10.00	1,399.13	Various	1,897.63	0.00	-498.50	Sell to Close
Security Totals:		4,587.00		5,443.31		-397.76	
BARNWELL INDUSTRIES INC CUSIP: 068221100 Symbol: BRN							
06/23/2020	25.00	49.98	06/23/2020	43.75	0.00	6.23	Sale
06/23/2020	150.00	223.47	Various	233.00	11.51 D	1.98	Sale
06/23/2020	200.00	349.97	Various	304.51	0.00	45.46	Sale
06/23/2020	100.00	196.98	06/23/2020	142.00	0.00	54.98	Sale
06/23/2020	210.00	411.57	06/23/2020	298.20	0.00	113.37	Sale
06/23/2020	640.00	1,331.09	Various	943.05	0.00	388.04	Sale
Security Totals:		2,563.06		1,964.51		610.06	

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2020 Form 1099-B*

OMB No. 1545-0715

5KU68797

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02/02/2021

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CALL TSLA 12/18/20 650 TESLA INC CUSIP: Symbol: TSLA201218C00650000							
12/17/2020	1.00	894.89	12/17/2020	910.08	0.00	-15.19	Sell to Close
BIO KEY INTERNATIONAL INC COMMON STOCK CUSIP: 09060C309 Symbol: BKYI							
07/16/2020	100.00	114.98	07/16/2020	117.00	2.02 D	0.00	Sale
07/16/2020	100.00	113.98	Various	118.27	4.29 D	0.00	Sale
07/17/2020	150.00	172.47	Various	170.79	0.00	1.68	Sale
Security Totals:		401.43		406.06		1.68	
CALL BA 01/15/21 300 BOEING CO CUSIP: Symbol: BA210115C00300000							
11/18/2020	1.00	181.90	11/18/2020	183.08	0.00	-1.18	Sell to Close
PUT SPY 10/07/20 340 STANDARD & POORS DEPOSITORY CUSIP: Symbol: SPY201007P00340000							
10/06/2020	1.00	139.90	10/06/2020	153.25	0.00	-13.35	Sell to Close
10/06/2020	2.00	293.82	Various	323.67	0.00	-29.85	Sell to Close
10/06/2020	2.00	265.82	Various	328.16	36.17 D	-26.17	Sell to Close
10/06/2020	4.00	551.65	Various	717.82	79.51 D	-86.66	Sell to Close
10/06/2020	3.00	413.74	10/06/2020	477.24	63.5 D	0.00	Sell to Close
Security Totals:		1,664.93		2,000.14		-156.03	
CARVER BANCORP INC CUSIP: 146875604 Symbol: CARV							
06/30/2020	5.00	41.63	06/30/2020	45.45	3.82 D	0.00	Sale
06/30/2020	10.00	82.58	06/30/2020	90.90	8.32 D	0.00	Sale
06/30/2020	45.00	386.98	Various	393.29	12.90 D	6.59	Sale
07/06/2020	1.00	10.55	07/06/2020	8.01	0.00	2.54	Sale
07/06/2020	40.00	339.18	07/06/2020	321.20	0.00	17.98	Sale
07/06/2020	11.00	106.68	Various	88.24	0.00	18.44	Sale
07/06/2020	54.00	445.48	Various	446.52	1.63 D	0.59	Sale
Security Totals:		1,413.08		1,393.61		46.14	
PACIFIC ETHANOL INC COM PAR \$.001 CUSIP: 69423U305 Symbol: PEIX							
03/24/2020	206.00	63.42	03/23/2020	61.18	0.00	2.24	Sale
03/25/2020	94.00	28.65	03/23/2020	27.92	0.00	0.73	Sale
Security Totals:		92.07		89.10		2.97	

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2020 Form 1099-B*

OMB No. 1545-0715

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02/02/2021

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CALL AMD 11/20/20 88 ADVANCED MICRO DEVICES INC CUSIP: Symbol: AMD201120C00088000							
11/09/2020	1.00	123.90	11/09/2020	125.08	0.00	-1.18	Sell to Close
VISLINK TECHNOLOGIES INC COMMON STOCK CUSIP: 92836Y201 Symbol: VISL							
04/30/2020	600.00	199.42	04/30/2020	226.26	26.84 D	0.00	Sale
05/05/2020	1,500.00	443.81	04/30/2020	565.65	121.84 D	0.00	Sale
05/05/2020	1,200.00	388.29	Various	452.26	63.97 D	0.00	Sale
05/06/2020	300.00	87.73	04/30/2020	112.87	25.14 D	0.00	Sale
05/11/2020	300.00	89.97	Various	97.45	7.48 D	0.00	Sale
05/11/2020	500.00	151.73	Various	153.63	2.72 D	0.82	Sale
05/11/2020	600.00	176.68	Various	185.50	8.86 D	0.04	Sale
05/11/2020	1,000.00	298.27	Various	365.12	66.85 D	0.00	Sale
05/11/2020	1,500.00	411.56	Various	584.16	172.60 D	0.00	Sale
05/11/2020	2,000.00	577.54	Various	712.62	135.08 D	0.00	Sale
05/12/2020	600.00	178.66	Various	218.04	39.38 D	0.00	Sale
05/15/2020	1,600.00	551.63	Various	564.87	16.96 D	3.72	Sale
05/20/2020	1,600.00	478.19	Various	514.59	0.00	-36.40	Sale
07/31/2020	51.00	25.91	07/31/2020	25.75	0.00	0.16	Sale
07/31/2020	213.00	108.33	07/31/2020	107.57	0.00	0.76	Sale
07/31/2020	260.00	132.25	07/31/2020	131.30	0.00	0.95	Sale
07/31/2020	276.00	140.29	07/31/2020	139.38	0.00	0.91	Sale
Security Totals:		4,440.26		5,157.02		-29.04	
PUT JPM 12/04/20 121 JPMORGAN CHASE & CO CUSIP: Symbol: JPM201204P00121000							
11/27/2020	1.00	138.90	11/27/2020	146.08	7.18 D	0.00	Sell to Close
11/27/2020	1.00	139.90	11/27/2020	152.26	12.36 D	0.00	Sell to Close
11/27/2020	1.00	137.90	11/27/2020	155.44	0.00	-17.54	Sell to Close
Security Totals:		416.70		453.78		-17.54	
TRANSENTERIX INC COMMON STOCK CUSIP: 89366M300 Symbol: TRXC							
07/24/2020	1,068.00	397.69	Various	401.03	3.34 D	0.00	Sale
07/27/2020	303.00	118.60	Various	110.86	0.00	7.74	Sale

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APEX CLEARING

Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B*

OMB No. 1545-0715

5KU68797

(continued)

02/02/2021

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
TRANSENTERIX INC COMMON STOCK CUSIP: 89366M300 Symbol: TRXC							
07/28/2020	378.00	152.66	Various	138.89	0.00	13.77	Sale
07/28/2020	445.00	176.61	Various	159.44	0.00	17.17	Sale
07/29/2020	6.00	2.64	07/28/2020	2.19	0.00	0.45	Sale
Security Totals:		848.20		812.41		39.13	
CALL AAPL 12/18/20 129 APPLE INC CUSIP: Symbol: AAPL201218C00129000							
12/17/2020	1.00	97.90	12/17/2020	100.08	2.18 D	0.00	Sell to Close
12/17/2020	1.00	70.90	12/17/2020	77.08	6.18 D	0.00	Sell to Close
12/17/2020	1.00	50.90	12/17/2020	77.44	26.54 D	0.00	Sell to Close
12/17/2020	1.00	53.90	12/17/2020	51.08	0.00	2.82	Sell to Close
12/17/2020	1.00	51.90	12/17/2020	77.62	25.72 D	0.00	Sell to Close
12/17/2020	1.00	61.90	12/17/2020	74.26	12.36 D	0.00	Sell to Close
12/17/2020	1.00	65.90	12/17/2020	89.98	24.08 D	0.00	Sell to Close
12/17/2020	2.00	147.82	Various	166.34	18.52 D	0.00	Sell to Close
12/17/2020	2.00	151.82	Various	159.35	10.02 D	2.49	Sell to Close
12/17/2020	2.00	149.82	Various	169.01	19.19 D	0.00	Sell to Close
12/17/2020	2.00	169.82	Various	152.19	0.00	17.63	Sell to Close
12/17/2020	3.00	224.74	Various	244.76	20.02 D	0.00	Sell to Close
12/17/2020	3.00	224.74	Various	241.60	16.86 D	0.00	Sell to Close
12/17/2020	1.00	80.90	12/17/2020	75.08	0.00	5.82	Sell to Close
12/17/2020	1.00	94.90	12/17/2020	75.08	0.00	19.82	Sell to Close
12/17/2020	1.00	66.90	12/17/2020	81.34	14.44 D	0.00	Sell to Close
12/17/2020	1.00	57.90	12/17/2020	61.69	3.79 D	0.00	Sell to Close
12/17/2020	1.00	60.90	12/17/2020	85.16	24.26 D	0.00	Sell to Close
12/17/2020	1.00	81.90	12/17/2020	77.08	0.00	4.82	Sell to Close
12/17/2020	1.00	66.90	12/17/2020	92.80	25.9 D	0.00	Sell to Close
12/17/2020	1.00	57.91	12/17/2020	69.52	11.61 D	0.00	Sell to Close
12/17/2020	2.00	159.82	Various	167.85	8.03 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

5KU68797

(continued)

02/02/2021

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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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
12/18/2020	1.00	67.90	12/17/2020	56.87	0.00	11.03	Sell to Close
Security Totals:		2,317.99		2,523.26		64.43	
CALL AAPL 12/18/20 128	APPLE INC CUSIP: Symbol: AAPL201218C00128000						
12/18/2020	1.00	65.90	12/18/2020	71.08	0.00	-5.18	Sell to Close
PUT AMZN 11/20/20 3050	AMAZON.COM INC CUSIP: Symbol: AMZN201120P03050000						
11/20/2020	1.00	146.90	11/20/2020	200.26	53.36 D	0.00	Sell to Close
11/20/2020	1.00	77.90	11/20/2020	127.44	0.00	-49.54	Sell to Close
11/20/2020	1.00	104.90	11/20/2020	158.08	53.18 D	0.00	Sell to Close
Security Totals:		329.70		485.78		-49.54	
CALL AAPL 12/18/20 127	APPLE INC CUSIP: Symbol: AAPL201218C00127000						
12/15/2020	1.00	143.90	12/15/2020	134.08	0.00	9.82	Sell to Close
12/15/2020	1.00	96.90	12/15/2020	163.95	67.05 D	0.00	Sell to Close
12/15/2020	1.00	92.90	12/15/2020	128.35	35.45 D	0.00	Sell to Close
12/15/2020	1.00	94.90	12/15/2020	166.35	71.45 D	0.00	Sell to Close
12/15/2020	1.00	119.90	12/15/2020	135.08	15.18 D	0.00	Sell to Close
12/15/2020	1.00	123.90	12/15/2020	135.08	11.18 D	0.00	Sell to Close
12/15/2020	1.00	76.90	12/15/2020	141.47	64.57 D	0.00	Sell to Close
12/15/2020	1.00	78.90	12/15/2020	158.99	80.09 D	0.00	Sell to Close
12/15/2020	1.00	79.90	12/15/2020	113.17	33.27 D	0.00	Sell to Close
12/15/2020	1.00	82.90	12/15/2020	72.08	0.00	10.82	Sell to Close
12/15/2020	1.00	98.90	12/15/2020	155.60	56.7 D	0.00	Sell to Close
12/15/2020	1.00	88.90	12/15/2020	72.08	0.00	16.82	Sell to Close
12/15/2020	1.00	87.90	12/15/2020	72.08	0.00	15.82	Sell to Close
12/15/2020	1.00	92.90	12/15/2020	168.17	75.27 D	0.00	Sell to Close
12/15/2020	2.00	197.82	Various	304.26	106.44 D	0.00	Sell to Close
12/15/2020	2.00	151.82	Various	267.30	115.48 D	0.00	Sell to Close
12/15/2020	2.00	153.82	Various	284.64	130.82 D	0.00	Sell to Close
12/15/2020	2.00	207.82	Various	310.56	102.74 D	0.00	Sell to Close
12/15/2020	1.00	98.90	12/15/2020	135.30	36.4 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

5KU68797

(continued)

02/02/2021

SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

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

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

1c - Date Sold or Disposed	Quantity	1d - Proceeds	1b - Date Acquired	1e - Cost or Other Basis	1f - Accrued Market Discount (M) & 1g - Wash Sale Loss Disallowed (D)	Gain or Loss (-)	Additional Notes
CALL AAPL 12/18/20 127 APPLE INC CUSIP: Symbol: AAPL201218C00127000							
12/15/2020	2.00	199.82	Various	273.78	73.96 D	0.00	Sell to Close
12/15/2020	1.00	102.90	12/15/2020	125.53	0.00	-22.63	Sell to Close
12/15/2020	1.00	96.90	12/15/2020	146.95	50.05 D	0.00	Sell to Close
12/15/2020	1.00	125.90	12/15/2020	135.26	9.36 D	0.00	Sell to Close
12/15/2020	1.00	79.90	12/15/2020	120.99	41.09 D	0.00	Sell to Close
12/15/2020	2.00	199.82	Various	274.04	74.22 D	0.00	Sell to Close
12/15/2020	2.00	215.82	Various	248.70	32.88 D	0.00	Sell to Close
12/18/2020	1.00	109.90	12/18/2020	184.53	0.00	-74.63	Sell to Close
Security Totals:		3,300.74		4,628.37		-43.98	
MFA FINANCIAL INC CUSIP: 55272X102 Symbol: MFA							
03/25/2020	100.00	98.98	03/25/2020	78.63	0.00	20.35	Sale
03/26/2020	30.00	61.48	03/25/2020	36.30	0.00	25.18	Sale
04/03/2020	200.00	233.97	Various	378.00	144.03 D	0.00	Sale
04/06/2020	100.00	127.98	04/01/2020	219.01	91.03 D	0.00	Sale
04/08/2020	400.00	579.93	Various	640.05	0.00	-60.12	Sale
Security Totals:		1,102.34		1,351.99		-14.59	
SONIM TECHNOLOGIES INC COMMON STOCK CUSIP: 83548F101 Symbol: SONM							
05/21/2020	20.00	23.78	05/21/2020	27.00	0.00	-3.22	Sale
HEPION PHARMACEUTICALS INC COMMON STOCK CUSIP: 426897104 Symbol: HEPA							
06/23/2020	39.00	137.65	06/22/2020	129.87	0.00	7.78	Sale
06/23/2020	91.00	313.93	Various	304.53	0.00	9.40	Sale
08/05/2020	10.00	50.38	08/05/2020	50.90	0.00	-0.52	Sale
Security Totals:		501.96		485.30		16.66	
CALL AMD 11/20/20 86 ADVANCED MICRO DEVICES INC CUSIP: Symbol: AMD201120C00086000							
11/18/2020	1.00	27.90	11/18/2020	40.25	0.00	-12.35	Sell to Close
11/18/2020	2.00	55.82	Various	69.16	11.17 D	-2.17	Sell to Close
Security Totals:		83.72		109.41		-14.52	

SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

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PUT NFLX 10/09/20 505 NETFLIX INC CUSIP: Symbol: NFLX201009P00505000							
10/05/2020	1.00	719.89	10/05/2020	1,010.08	0.00	-290.19	Sell to Close
***GENETIC TECHNOLOGIES LTD SPONSORED ADR CUSIP: 37185R307 Symbol: GENE							
05/26/2020	100.00	241.98	05/26/2020	250.00	8.02 D	0.00	Sale
05/26/2020	100.00	207.98	05/26/2020	250.00	42.02 D	0.00	Sale
06/18/2020	100.00	239.98	Various	252.22	12.24 D	0.00	Sale
06/22/2020	20.00	43.88	05/26/2020	44.80	0.92 D	0.00	Sale
06/22/2020	100.00	220.48	Various	268.63	48.15 D	0.00	Sale
06/22/2020	20.00	43.88	05/26/2020	44.41	0.53 D	0.00	Sale
06/22/2020	20.00	44.08	05/26/2020	44.81	0.73 D	0.00	Sale
06/23/2020	30.00	66.88	Various	79.16	12.28 D	0.00	Sale
06/23/2020	30.00	67.03	Various	77.45	10.42 D	0.00	Sale
06/24/2020	30.00	58.18	05/26/2020	78.47	20.29 D	0.00	Sale
06/24/2020	40.00	77.58	Various	89.37	8.86 D	-2.93	Sale
06/24/2020	30.00	58.48	Various	60.64	0.00	-2.16	Sale
06/24/2020	100.00	194.98	Various	229.40	0.00	-34.42	Sale
06/24/2020	50.00	99.48	Various	134.65	0.00	-35.17	Sale
Security Totals:		1,664.87		1,904.01		-74.68	
INNERWORKINGS INC CUSIP: 45773Y105 Symbol: INWK							
07/08/2020	100.00	122.98	Various	126.65	3.67 D	0.00	Sale
07/09/2020	100.00	122.99	Various	129.77	6.78 D	0.00	Sale
07/13/2020	30.00	38.83	07/02/2020	37.20	0.00	1.63	Sale
07/13/2020	50.00	62.99	Various	65.86	2.37 D	-0.50	Sale
07/13/2020	100.00	127.48	Various	128.73	0.00	-1.25	Sale
07/16/2020	60.00	176.98	Various	74.66	0.00	102.32	Sale
Security Totals:		652.25		562.87		102.20	
***KITOV PHARMA LTD AMERICAN DEPOSITARY SHARES CUSIP: 49803V107 Symbol: KTOV							
05/20/2020	200.00	123.73	05/20/2020	125.04	1.31 D	0.00	Sale
05/20/2020	600.00	364.72	05/20/2020	375.12	10.4 D	0.00	Sale

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Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B*

OMB No. 1545-0715

5KU68797

(continued)

02/02/2021

SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

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***KITOV PHARMA LTD AMERICAN DEPOSITARY SHARES CUSIP: 49803V107 Symbol: KTOV							
05/21/2020	25.00	15.08	05/20/2020	14.81	0.00	0.27	Sale
05/29/2020	200.00	112.27	05/20/2020	118.47	6.2 D	0.00	Sale
06/08/2020	300.00	147.73	05/20/2020	177.70	29.97 D	0.00	Sale
06/19/2020	300.00	172.12	Various	164.83	0.55 D	7.84	Sale
06/19/2020	300.00	145.51	Various	172.03	26.52 D	0.00	Sale
06/19/2020	100.00	57.32	Various	58.43	1.97 D	0.86	Sale
06/22/2020	80.00	58.37	06/12/2020	34.90	0.00	23.47	Sale
06/22/2020	8.00	7.41	06/12/2020	3.49	0.00	3.92	Sale
06/22/2020	350.00	241.45	Various	189.38	0.00	52.07	Sale
06/22/2020	100.00	64.01	Various	58.72	0.00	5.29	Sale
06/22/2020	200.00	135.27	Various	95.78	0.00	39.49	Sale
Security Totals:		1,644.99		1,588.70		133.21	
CALL SPY 11/02/20 330 STANDARD & POORS DEPOSITORY CUSIP: Symbol: SPY201102C00330000							
11/02/2020	1.00	176.90	11/02/2020	192.08	15.18 D	0.00	Sell to Close
11/02/2020	1.00	165.90	11/02/2020	172.79	6.89 D	0.00	Sell to Close
11/02/2020	1.00	164.90	11/02/2020	177.61	12.71 D	0.00	Sell to Close
11/02/2020	1.00	173.90	11/02/2020	166.08	0.00	7.82	Sell to Close
11/02/2020	1.00	176.90	11/02/2020	178.26	1.36 D	0.00	Sell to Close
11/02/2020	1.00	155.90	11/02/2020	145.08	0.00	10.82	Sell to Close
11/02/2020	1.00	136.90	11/02/2020	141.08	4.18 D	0.00	Sell to Close
11/02/2020	1.00	142.90	11/02/2020	174.62	31.72 D	0.00	Sell to Close
11/02/2020	1.00	135.90	11/02/2020	162.98	0.00	-27.08	Sell to Close
11/02/2020	1.00	172.90	11/02/2020	182.26	9.36 D	0.00	Sell to Close
11/02/2020	1.00	152.90	11/02/2020	151.08	0.00	1.82	Sell to Close
11/02/2020	2.00	325.82	Various	328.52	14.53 D	11.83	Sell to Close
11/02/2020	3.00	464.73	Various	444.24	0.00	20.49	Sell to Close
11/02/2020	1.00	159.90	11/02/2020	178.44	18.54 D	0.00	Sell to Close
11/02/2020	1.00	172.90	11/02/2020	162.97	0.00	9.93	Sell to Close

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APEX CLEARING

Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B*

OMB No. 1545-0715

5KU68797

(continued)

02/02/2021

SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

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

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CALL SPY 11/02/20 330 STANDARD & POORS DEPOSITORY CUSIP: Symbol: SPY201102C00330000							
11/02/2020	1.00	151.90	11/02/2020	186.80	34.9 D	0.00	Sell to Close
Security Totals:		3,031.15		3,144.89		35.63	
PUT SPY 11/02/20 330 STANDARD & POORS DEPOSITORY CUSIP: Symbol: SPY201102P00330000							
11/02/2020	1.00	146.90	11/02/2020	135.08	0.00	11.82	Sell to Close
11/02/2020	1.00	111.90	11/02/2020	124.08	12.18 D	0.00	Sell to Close
11/02/2020	1.00	102.90	11/02/2020	116.26	0.00	-13.36	Sell to Close
11/02/2020	2.00	339.82	Various	321.16	0.00	18.66	Sell to Close
Security Totals:		701.52		696.58		17.12	
PUT SPY 11/02/20 325 STANDARD & POORS DEPOSITORY CUSIP: Symbol: SPY201102P00325000							
10/30/2020	1.00	365.90	10/30/2020	368.26	2.36 D	0.00	Sell to Close
10/30/2020	1.00	366.90	10/30/2020	364.44	0.00	2.46	Sell to Close
10/30/2020	1.00	376.90	10/30/2020	386.08	9.18 D	0.00	Sell to Close
10/30/2020	1.00	310.90	10/30/2020	321.26	10.36 D	0.00	Sell to Close
10/30/2020	1.00	307.90	10/30/2020	315.08	7.18 D	0.00	Sell to Close
10/30/2020	1.00	322.90	10/30/2020	331.44	0.00	-8.54	Sell to Close
Security Totals:		2,051.40		2,086.56		-6.08	
PUT SPY 11/02/20 320 STANDARD & POORS DEPOSITORY CUSIP: Symbol: SPY201102P00320000							
10/30/2020	1.00	212.90	10/30/2020	229.26	0.00	-16.36	Sell to Close
10/30/2020	1.00	224.90	10/30/2020	228.08	3.18 D	0.00	Sell to Close
Security Totals:		437.80		457.34		-16.36	
CALL SPY 11/02/20 325 STANDARD & POORS DEPOSITORY CUSIP: Symbol: SPY201102C00325000							
10/30/2020	1.00	330.90	10/30/2020	335.08	4.18 D	0.00	Sell to Close
10/30/2020	1.00	309.90	10/30/2020	312.26	2.36 D	0.00	Sell to Close
10/30/2020	1.00	255.90	10/30/2020	268.08	0.00	-12.18	Sell to Close
10/30/2020	1.00	282.90	10/30/2020	278.62	0.00	4.28	Sell to Close
10/30/2020	1.00	286.90	10/30/2020	271.08	0.00	15.82	Sell to Close
10/30/2020	1.00	277.90	10/30/2020	280.44	2.54 D	0.00	Sell to Close
Security Totals:		1,744.40		1,745.56		7.92	

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APEX CLEARING

Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B*

OMB No. 1545-0715

5KU68797

(continued)

02/02/2021

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
***CERAGON NETWORKS LTD CUSIP: M22013102 Symbol: CRNT							
05/06/2020	150.00	311.22	Various	339.00	0.00	-27.78	Sale
CALL IBM 12/31/20 135	INTL BUSINESS MACHINE CUSIP: Symbol: IBM201231C00135000						
12/08/2020	1.00	39.90	12/07/2020	42.26	0.00	-2.36	Sell to Close
12/08/2020	1.00	37.90	12/07/2020	41.08	3.18 D	0.00	Sell to Close
Security Totals:		77.80		83.34		-2.36	
WASHINGTON PRIME GROUP INC COM CUSIP: 93964W108 Symbol: WPG							
06/04/2020	299.00	245.31	Various	203.86	0.00	41.45	Sale
06/17/2020	1.00	1.02	06/01/2020	0.64	0.00	0.38	Sale
07/13/2020	98.00	72.50	07/10/2020	69.42	0.00	3.08	Sale
07/13/2020	300.00	222.07	Various	210.94	0.00	11.13	Sale
07/13/2020	100.00	74.73	07/10/2020	70.05	0.00	4.68	Sale
07/15/2020	2.00	1.51	07/10/2020	1.42	0.00	0.09	Sale
Security Totals:		617.14		556.33		60.81	
CALL SPCE 01/15/21 30 VIRGIN GALACTIC HOLDINGS INC CUSIP: Symbol: SPCE210115C00030000							
11/18/2020	1.00	148.90	11/18/2020	153.08	0.00	-4.18	Sell to Close
CALL AAPL 09/18/20 117.50	APPLE INC ADJ 4:1 STOCK SPLIT CUSIP: Symbol: AAPL200918C00117500						
09/11/2020	1.00	275.89	09/10/2020	246.09	0.00	29.80	Sell to Close
TANGER FACTORY OUTLET CENTERS INC CUSIP: 875465106 Symbol: SKT							
04/07/2020	4.00	27.34	03/11/2020	37.24	9.9 D	0.00	Sale
04/07/2020	6.00	38.69	Various	40.67	0.00	-1.98	Sale
Security Totals:		66.03		77.91		-1.98	
CALL NNDM 05/21/21 7.50 NANO DIMENSION LTD ADS CUSIP: Symbol: NNDM210521C00007500							
12/11/2020	1.00	250.90	12/11/2020	249.08	0.00	1.82	Sell to Close
VISLINK TECHNOLOGIES INC COMMON STOCK CUSIP: 92836Y300 Symbol: VISL							
08/04/2020	99.00	257.38	08/03/2020	253.44	0.00	3.94	Sale
08/10/2020	102.00	257.53	Various	257.48	0.05 D	0.10	Sale
08/14/2020	21.00	59.62	08/13/2020	45.26	0.00	14.36	Sale
08/14/2020	4.00	13.02	08/13/2020	8.62	0.00	4.40	Sale
08/14/2020	22.00	62.68	08/11/2020	52.03	0.00	10.65	Sale

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APEX CLEARING

Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B*

OMB No. 1545-0715

5KU68797

(continued)

02/02/2021

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
VISLINK TECHNOLOGIES INC COMMON STOCK CUSIP: 92836Y300 Symbol: VISL							
08/14/2020	10.00	32.58	08/12/2020	22.40	0.00	10.18	Sale
08/14/2020	35.00	86.78	Various	84.74	0.00	2.04	Sale
08/14/2020	50.00	133.98	08/11/2020	118.25	0.00	15.73	Sale
08/14/2020	32.00	95.98	Various	75.18	0.00	20.80	Sale
08/14/2020	60.00	167.98	08/13/2020	129.30	0.00	38.68	Sale
08/14/2020	40.00	129.98	Various	88.41	0.00	41.57	Sale
08/14/2020	84.00	207.46	Various	203.29	0.00	4.17	Sale
08/19/2020	60.00	124.48	Various	113.02	0.00	11.46	Sale
08/19/2020	100.00	201.98	Various	224.20	22.22 D	0.00	Sale
08/19/2020	100.00	207.48	Various	194.68	0.03 D	12.83	Sale
08/19/2020	100.00	199.98	Various	235.70	35.72 D	0.00	Sale
08/19/2020	118.00	244.83	Various	247.01	6.27 D	4.09	Sale
08/19/2020	100.00	196.98	Various	231.84	34.86 D	0.00	Sale
08/25/2020	100.00	183.48	Various	211.33	27.85 D	0.00	Sale
08/25/2020	150.00	258.72	Various	285.91	27.19 D	0.00	Sale
08/25/2020	100.00	177.98	Various	204.04	26.06 D	0.00	Sale
08/26/2020	100.00	182.48	Various	195.13	12.65 D	0.00	Sale
08/26/2020	100.00	186.98	Various	209.38	22.44 D	0.04	Sale
08/26/2020	100.00	190.98	Various	184.73	0.58 D	6.83	Sale
08/27/2020	50.00	87.98	08/27/2020	91.55	3.57 D	0.00	Sale
08/27/2020	100.00	175.98	Various	185.55	11.18 D	1.61	Sale
08/31/2020	100.00	186.98	Various	168.57	0.00	18.41	Sale
09/04/2020	100.00	130.98	Various	172.40	41.42 D	0.00	Sale
09/04/2020	100.00	133.98	Various	186.19	52.21 D	0.00	Sale
09/08/2020	100.00	134.98	Various	186.07	33.20 D	-17.89	Sale
09/09/2020	64.00	93.10	09/04/2020	84.48	0.00	8.62	Sale
09/09/2020	100.00	144.48	Various	165.20	0.00	-20.72	Sale

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APEX CLEARING

Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B*

OMB No. 1545-0715

5KU68797

(continued)

02/02/2021

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
VISLINK TECHNOLOGIES INC COMMON STOCK CUSIP: 92836Y300 Symbol: VISL							
09/09/2020	38.00	54.70	09/04/2020	50.16	0.00	4.54	Sale
09/14/2020	1.00	1.42	09/04/2020	1.32	0.00	0.10	Sale
Security Totals:		5,005.90		5,166.86		196.54	
CALL AAPL 09/18/20 120 APPLE INC ADJ 4:1 STOCK SPLIT CUSIP: Symbol: AAPL200918C00120000							
09/10/2020	1.00	281.89	09/10/2020	345.09	63.2 D	0.00	Sell to Close
09/11/2020	1.00	189.89	09/10/2020	313.29	123.4 D	0.00	Sell to Close
09/11/2020	1.00	121.89	09/10/2020	365.49	243.6 D	0.00	Sell to Close
09/14/2020	31.00	2,632.07	Various	3,620.39	0.00	-988.32	Sell to Close
Security Totals:		3,225.74		4,644.26		-988.32	
CALL AAPL 09/18/20 118.75 APPLE INC ADJ 4:1 STOCK SPLIT CUSIP: Symbol: AAPL200918C00118750							
09/10/2020	1.00	339.89	09/10/2020	380.09	40.2 D	0.00	Sell to Close
09/11/2020	2.00	301.80	Various	590.38	288.58 D	0.00	Sell to Close
09/14/2020	26.00	3,117.52	Various	3,629.92	0.00	-512.40	Sell to Close
Security Totals:		3,759.21		4,600.39		-512.40	
CALL SPY 12/11/20 369 STANDARD & POORS DEPOSITORY CUSIP: Symbol: SPY201211C00369000							
12/09/2020	1.00	145.90	12/09/2020	141.08	0.00	4.82	Sell to Close
12/09/2020	1.00	142.90	12/09/2020	140.08	0.00	2.82	Sell to Close
Security Totals:		288.80		281.16		7.64	
CALL AAPL 10/23/20 119 APPLE INC CUSIP: Symbol: AAPL201023C00119000							
10/19/2020	1.00	214.90	10/19/2020	247.26	32.36 D	0.00	Sell to Close
10/19/2020	1.00	219.90	10/19/2020	242.44	0.00	-22.54	Sell to Close
10/19/2020	1.00	239.90	10/19/2020	260.08	20.18 D	0.00	Sell to Close
Security Totals:		674.70		749.78		-22.54	
CALL AAPL 10/23/20 118 APPLE INC CUSIP: Symbol: AAPL201023C00118000							
10/21/2020	1.00	112.90	10/21/2020	126.08	0.00	-13.18	Sell to Close
PUT UBER 10/16/20 33 UBER TECHNOLOGIES INC CUSIP: Symbol: UBER201016P00033000							
09/14/2020	4.00	219.62	Various	273.29	53.67 D	0.00	Sell to Close
09/14/2020	2.00	117.80	09/14/2020	126.18	8.38 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

5KU68797

(continued)

02/02/2021

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 UBER 10/16/20 33 UBER TECHNOLOGIES INC CUSIP: Symbol: UBER201016P00033000							
09/14/2020	10.00	539.05	Various	611.29	72.24 D	0.00	Sell to Close
09/14/2020	5.00	275.53	Various	320.57	28.70 D	-16.34	Sell to Close
09/15/2020	5.00	269.53	Various	348.31	0.00	-78.78	Sell to Close
09/17/2020	3.00	197.71	Various	184.97	0.00	12.74	Sell to Close
Security Totals:		1,619.24		1,864.61		-82.38	
PUT FB 10/09/20 265 FACEBOOK INC CL A CUSIP: Symbol: FB201009P00265000							
10/06/2020	1.00	369.90	10/06/2020	400.08	0.00	-30.18	Sell to Close
INTERPACE BIOSCIENCES INC COMMON STOCK CUSIP: 46062X303 Symbol: IDXG							
08/17/2020	19.00	78.45	08/17/2020	75.24	0.00	3.21	Sale
08/18/2020	47.00	160.96	Various	166.04	6.60 D	1.52	Sale
08/18/2020	36.00	123.82	Various	126.48	4.69 D	2.03	Sale
08/18/2020	84.00	298.18	Various	281.17	0.00	17.01	Sale
08/25/2020	13.00	44.18	08/18/2020	42.12	0.00	2.06	Sale
08/27/2020	1.00	3.35	08/18/2020	3.24	0.00	0.11	Sale
Security Totals:		708.94		694.29		25.94	
PUT SPY 11/20/20 355 STANDARD & POORS DEPOSITORY CUSIP: Symbol: SPY201120P00355000							
11/19/2020	1.00	101.90	11/19/2020	104.26	0.00	-2.36	Sell to Close
11/19/2020	1.00	99.90	11/19/2020	100.08	0.18 D	0.00	Sell to Close
Security Totals:		201.80		204.34		-2.36	
CALL IBM 10/23/20 125 INTL BUSINESS MACHINE CUSIP: Symbol: IBM201023C00125000							
10/15/2020	1.00	304.90	10/15/2020	310.08	0.00	-5.18	Sell to Close
CALL SPY 12/11/20 367 STANDARD & POORS DEPOSITORY CUSIP: Symbol: SPY201211C00367000							
12/09/2020	1.00	187.90	12/09/2020	178.26	0.00	9.64	Sell to Close
12/09/2020	1.00	179.90	12/09/2020	184.08	4.18 D	0.00	Sell to Close
12/09/2020	1.00	199.90	12/09/2020	175.08	0.00	24.82	Sell to Close
Security Totals:		567.70		537.42		34.46	
CALL FSLY 10/16/20 90 FASTLY INC CLASS A CUSIP: Symbol: FSLY201016C00090000							
10/15/2020	1.00	294.90	10/15/2020	320.08	0.00	-25.18	Sell to Close

APEX CLEARING

Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B*

OMB No. 1545-0715

5KU68797

(continued)

02/02/2021

SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

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CALL JNJ 11/20/20 150 JOHNSON & JOHNSON CUSIP: Symbol: JNJ201120C00150000							
10/02/2020	1.00	374.90	10/02/2020	365.26	0.00	9.64	Sell to Close
10/02/2020	1.00	364.90	10/02/2020	370.08	5.18 D	0.00	Sell to Close
Security Totals:		739.80		735.34		9.64	
PUT SPY 12/11/20 366 STANDARD & POORS DEPOSITORY CUSIP: Symbol: SPY201211P00366000							
12/10/2020	1.00	122.90	12/10/2020	124.08	0.00	-1.18	Sell to Close
CALL MSFT 12/18/20 225 MICROSOFT CORP CUSIP: Symbol: MSFT201218C00225000							
12/07/2020	1.00	81.90	12/07/2020	89.26	7.36 D	0.00	Sell to Close
12/07/2020	1.00	89.90	12/07/2020	97.08	7.18 D	0.00	Sell to Close
12/07/2020	1.00	80.90	12/07/2020	95.44	14.54 D	0.00	Sell to Close
12/07/2020	1.00	82.90	12/07/2020	101.62	18.72 D	0.00	Sell to Close
12/07/2020	1.00	82.90	12/07/2020	97.98	15.08 D	0.00	Sell to Close
12/07/2020	1.00	82.90	12/07/2020	99.80	16.9 D	0.00	Sell to Close
12/07/2020	1.00	82.90	12/07/2020	92.16	9.26 D	0.00	Sell to Close
12/09/2020	1.00	59.90	12/09/2020	69.34	0.00	-9.44	Sell to Close
Security Totals:		644.20		742.68		-9.44	
CELLECTAR BIOSCIENCES INC COMMON STOCK CUSIP: 15117F500 Symbol: CLRB							
06/17/2020	300.00	371.95	Various	326.00	0.00	45.95	Sale
06/18/2020	1.00	1.30	06/11/2020	1.17	0.00	0.13	Sale
06/23/2020	199.00	262.65	Various	232.83	0.00	29.82	Sale
07/01/2020	80.00	113.58	06/15/2020	89.60	0.00	23.98	Sale
08/17/2020	100.00	143.98	08/17/2020	140.00	0.00	3.98	Sale
Security Totals:		893.46		789.60		103.86	
CALL PYPL 11/27/20 200 PAYPAL HOLDINGS INC CUSIP: Symbol: PYPL201127C00200000							
11/20/2020	1.00	115.90	11/20/2020	173.44	57.54 D	0.00	Sell to Close
11/20/2020	1.00	118.90	11/20/2020	189.62	70.72 D	0.00	Sell to Close
11/20/2020	1.00	125.90	11/20/2020	215.15	89.25 D	0.00	Sell to Close
11/20/2020	1.00	120.90	11/20/2020	207.97	87.07 D	0.00	Sell to Close
11/20/2020	1.00	125.90	11/20/2020	122.43	0.00	3.47	Sell to Close

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Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B*

OMB No. 1545-0715

5KU68797

(continued)

02/02/2021

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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CALL PYPL 11/27/20 200 PAYPAL HOLDINGS INC CUSIP: Symbol: PYPL201127C00200000							
11/20/2020	1.00	127.90	11/20/2020	197.33	69.43 D	0.00	Sell to Close
11/20/2020	1.00	133.90	11/20/2020	180.51	46.61 D	0.00	Sell to Close
11/20/2020	1.00	113.90	11/20/2020	149.26	35.36 D	0.00	Sell to Close
11/20/2020	2.00	243.82	Various	338.88	95.06 D	0.00	Sell to Close
11/20/2020	1.00	135.90	11/20/2020	145.08	9.18 D	0.00	Sell to Close
11/20/2020	1.00	123.90	11/20/2020	138.25	14.35 D	0.00	Sell to Close
11/23/2020	1.00	157.90	11/23/2020	172.69	14.79 D	0.00	Sell to Close
11/23/2020	1.00	149.90	11/23/2020	165.87	0.00	-15.97	Sell to Close
Security Totals:		1,794.62		2,396.48		-12.50	
CALL AMZN 12/04/20 3300 AMAZON.COM INC CUSIP: Symbol: AMZN201204C03300000							
11/30/2020	1.00	1,234.88	11/30/2020	1,290.48	0.00	-55.60	Sell to Close
11/30/2020	1.00	1,309.88	11/30/2020	1,430.08	120.2 D	0.00	Sell to Close
11/30/2020	1.00	1,219.88	11/30/2020	1,335.28	115.4 D	0.00	Sell to Close
Security Totals:		3,764.64		4,055.84		-55.60	
CALL NIO 01/15/21 50 NIO INC ADS CUSIP: Symbol: NIO210115C00050000							
12/11/2020	1.00	409.90	12/11/2020	400.08	0.00	9.82	Sell to Close
CALL AAPL 12/31/20 127 APPLE INC CUSIP: Symbol: AAPL201231C00127000							
12/21/2020	1.00	228.90	12/21/2020	204.08	0.00	24.82	Sell to Close
***ELECTRAMECCANICA VEHICLES CORP LTD CUSIP: 284849205 Symbol: SOLO							
05/26/2020	200.00	229.97	05/26/2020	222.00	0.00	7.97	Sale
05/28/2020	100.00	121.09	05/26/2020	111.00	0.00	10.09	Sale
06/03/2020	40.00	48.78	05/26/2020	44.40	0.00	4.38	Sale
06/03/2020	50.00	62.48	05/26/2020	55.50	0.00	6.98	Sale
06/03/2020	100.00	119.98	05/26/2020	111.00	0.00	8.98	Sale
06/03/2020	750.00	922.38	Various	846.30	0.00	76.08	Sale
06/09/2020	9.00	19.24	05/28/2020	10.17	0.00	9.07	Sale
06/17/2020	1.00	1.91	05/28/2020	1.13	0.00	0.78	Sale
Security Totals:		1,525.83		1,401.50		124.33	

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APEX CLEARING

Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B*

OMB No. 1545-0715

5KU68797

(continued)

02/02/2021

SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

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

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

1c - Date Sold or Disposed	Quantity	1d - Proceeds	1b - Date Acquired	1e - Cost or Other Basis	1f - Accrued Market Discount (M) & 1g - Wash Sale Loss Disallowed (D)	Gain or Loss (-)	Additional Notes
CALL AAPL 12/31/20 125 APPLE INC CUSIP: Symbol: AAPL201231C00125000							
12/21/2020	1.00	232.90	12/21/2020	247.08	14.18 D	0.00	Sell to Close
12/21/2020	1.00	258.90	12/21/2020	256.08	0.00	2.82	Sell to Close
12/21/2020	1.00	250.90	12/21/2020	247.26	0.00	3.64	Sell to Close
12/21/2020	1.00	255.90	12/21/2020	248.08	0.00	7.82	Sell to Close
Security Totals:		998.60		998.50		14.28	
***ATLAS FINANCIAL HOLDINGS INC SHS CUSIP: G06207115 Symbol: AFH							
06/17/2020	100.00	152.98	06/17/2020	136.00	0.00	16.98	Sale
06/17/2020	100.00	145.98	06/17/2020	136.00	0.00	9.98	Sale
06/18/2020	100.00	128.98	Various	149.60	20.62 D	0.00	Sale
06/18/2020	100.00	136.00	Various	161.82	25.82 D	0.00	Sale
06/18/2020	180.00	266.37	Various	256.22	0.00	10.15	Sale
06/18/2020	400.00	687.93	06/17/2020	544.00	0.00	143.93	Sale
Security Totals:		1,518.24		1,383.64		181.04	
PUT PTON 10/16/20 70 PELOTON INTERACTIVE INC CL A CUSIP: Symbol: PTON201016P00070000							
09/11/2020	1.00	181.89	09/11/2020	132.09	0.00	49.80	Sell to Close
09/11/2020	1.00	180.89	09/11/2020	140.09	0.00	40.80	Sell to Close
09/11/2020	1.00	187.89	09/11/2020	129.09	0.00	58.80	Sell to Close
09/11/2020	1.00	205.89	09/11/2020	164.09	0.00	41.80	Sell to Close
09/11/2020	1.00	179.89	09/11/2020	125.09	0.00	54.80	Sell to Close
09/15/2020	1.00	176.89	09/15/2020	138.09	0.00	38.80	Sell to Close
09/15/2020	1.00	185.89	09/15/2020	138.09	0.00	47.80	Sell to Close
09/15/2020	2.00	331.80	09/15/2020	276.18	0.00	55.62	Sell to Close
09/15/2020	1.00	180.89	09/15/2020	138.09	0.00	42.80	Sell to Close
Security Totals:		1,811.92		1,380.90		431.02	
CALL NIO 10/16/20 22 NIO INC ADS CUSIP: Symbol: NIO201016C00022000							
10/12/2020	1.00	60.90	10/12/2020	68.40	0.00	-7.50	Sell to Close
10/12/2020	2.00	127.82	Various	114.81	0.00	13.01	Sell to Close
10/12/2020	5.00	284.58	Various	329.22	41.31 D	-3.33	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
CALL NIO 10/16/20 22 NIO INC ADS CUSIP: Symbol: NIO201016C00022000							
10/12/2020	5.00	274.58	Various	316.40	41.82 D	0.00	Sell to Close
10/12/2020	1.00	61.91	10/12/2020	66.42	0.00	-4.51	Sell to Close
Security Totals:		809.79		895.25		-2.33	
IDEANOMICS INC COMMON STOCK CUSIP: 45166V106 Symbol: IDEX							
06/22/2020	1,000.00	3,339.80	06/22/2020	3,550.00	210.2 D	0.00	Sale
06/29/2020	100.00	194.98	Various	165.00	0.00	29.98	Sale
06/29/2020	20.00	36.78	06/26/2020	34.40	0.00	2.38	Sale
06/29/2020	100.00	190.98	Various	171.62	0.00	19.36	Sale
06/29/2020	200.00	387.97	Various	421.81	45.81 D	11.97	Sale
06/29/2020	100.00	227.48	Various	178.73	0.00	48.75	Sale
06/30/2020	10.00	22.08	Various	23.05	0.97 D	0.00	Sale
06/30/2020	10.00	21.88	06/29/2020	22.30	0.42 D	0.00	Sale
06/30/2020	10.00	21.98	06/29/2020	22.30	0.32 D	0.00	Sale
06/30/2020	1.00	2.13	06/29/2020	2.23	0.1 D	0.00	Sale
06/30/2020	15.00	32.68	06/29/2020	34.58	1.9 D	0.00	Sale
06/30/2020	30.00	65.68	06/29/2020	69.16	3.48 D	0.00	Sale
06/30/2020	24.00	53.86	06/29/2020	53.53	0.00	0.33	Sale
06/30/2020	50.00	107.48	Various	115.28	7.8 D	0.00	Sale
06/30/2020	50.00	106.98	Various	113.31	6.33 D	0.00	Sale
06/30/2020	50.00	113.48	06/29/2020	111.52	0.00	1.96	Sale
06/30/2020	50.00	106.98	Various	115.31	8.33 D	0.00	Sale
06/30/2020	50.00	107.48	Various	115.51	8.03 D	0.00	Sale
07/06/2020	50.00	80.48	07/02/2020	86.76	6.28 D	0.00	Sale
07/06/2020	50.00	80.48	07/02/2020	86.76	6.28 D	0.00	Sale
07/06/2020	50.00	80.98	Various	92.49	11.51 D	0.00	Sale
07/06/2020	80.00	127.98	Various	151.91	23.93 D	0.00	Sale
07/06/2020	50.00	72.73	Various	84.63	11.90 D	0.00	Sale
07/08/2020	9.00	14.38	Various	14.81	0.43 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

5KU68797

(continued)

02/02/2021

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
IDEANOMICS INC COMMON STOCK CUSIP: 45166V106 Symbol: IDEX							
07/08/2020	20.00	31.98	Various	31.27	0.63 D	1.34	Sale
07/08/2020	50.00	78.98	Various	69.20	0.00	9.78	Sale
07/08/2020	50.00	74.48	Various	77.99	3.51 D	0.00	Sale
07/08/2020	100.00	145.98	Various	136.33	0.00	9.65	Sale
07/08/2020	100.00	144.98	Various	156.91	11.93 D	0.00	Sale
07/08/2020	50.00	72.98	Various	75.73	2.75 D	0.00	Sale
07/09/2020	25.00	39.48	Various	45.80	6.32 D	0.00	Sale
07/09/2020	30.00	46.18	Various	47.70	2.98 D	1.46	Sale
07/09/2020	50.00	72.48	Various	89.23	16.75 D	0.00	Sale
07/09/2020	30.00	43.48	Various	45.72	2.24 D	0.00	Sale
07/09/2020	110.00	157.83	Various	169.03	11.20 D	0.00	Sale
07/09/2020	55.00	81.38	Various	84.18	2.80 D	0.00	Sale
07/13/2020	50.00	70.98	Various	78.48	7.54 D	0.04	Sale
07/13/2020	50.00	67.98	Various	72.49	4.51 D	0.00	Sale
07/13/2020	50.00	69.98	Various	72.38	2.40 D	0.00	Sale
07/13/2020	80.00	111.18	Various	130.13	18.95 D	0.00	Sale
07/13/2020	100.00	137.98	Various	141.35	3.39 D	0.02	Sale
07/13/2020	200.00	283.97	Various	309.30	25.37 D	0.04	Sale
07/14/2020	100.00	125.98	Various	144.17	18.19 D	0.00	Sale
07/14/2020	100.00	126.98	Various	150.63	23.65 D	0.00	Sale
07/14/2020	300.00	383.95	Various	428.03	44.08 D	0.00	Sale
07/15/2020	50.00	63.98	Various	67.63	3.65 D	0.00	Sale
07/15/2020	30.00	38.68	Various	39.73	1.05 D	0.00	Sale
07/15/2020	67.00	88.42	Various	85.19	0.20 D	3.43	Sale
07/15/2020	50.00	65.98	Various	69.34	3.46 D	0.10	Sale
07/15/2020	100.00	132.98	Various	137.06	8.77 D	4.69	Sale
07/15/2020	130.00	171.57	Various	178.01	7.09 D	0.65	Sale

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APEX CLEARING

Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B*

OMB No. 1545-0715

5KU68797

(continued)

02/02/2021

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
IDEANOMICS INC COMMON STOCK CUSIP: 45166V106 Symbol: IDEX							
07/22/2020	50.00	71.49	Various	85.00	13.51 D	0.00	Sale
07/22/2020	200.00	285.97	Various	318.73	33.19 D	0.43	Sale
07/24/2020	90.00	117.88	Various	154.25	36.37 D	0.00	Sale
07/27/2020	100.00	134.98	Various	176.01	41.03 D	0.00	Sale
07/28/2020	100.00	131.98	Various	180.71	48.73 D	0.00	Sale
07/28/2020	100.00	132.98	Various	169.47	36.49 D	0.00	Sale
07/30/2020	24.00	37.78	Various	33.44	0.00	4.34	Sale
07/30/2020	300.00	481.44	Various	556.42	81.05 D	6.07	Sale
07/30/2020	698.00	1,057.36	Various	1,031.64	63.92 D	89.64	Sale
07/30/2020	359.00	549.21	Various	511.89	11.35 D	48.67	Sale
08/11/2020	102.00	155.02	Various	152.69	0.00	2.33	Sale
08/24/2020	1.00	1.20	08/10/2020	1.43	0.00	-0.23	Sale
Security Totals:		11,685.80		12,341.69		297.18	
PUT SQQQ 10/02/20 28 PROSHARES ULTRAPRO SHORT QQQ CUSIP: Symbol: SQQQ201002P00028000							
09/24/2020	1.00	170.89	09/23/2020	221.28	0.00	-50.39	Sell to Close
09/24/2020	3.00	491.70	Various	579.27	29.19 D	-58.38	Sell to Close
Security Totals:		662.59		800.55		-108.77	
PUT SPY 10/09/20 339 STANDARD & POORS DEPOSITORY CUSIP: Symbol: SPY201009P00339000							
10/06/2020	1.00	282.90	10/06/2020	254.08	0.00	28.82	Sell to Close
10/06/2020	1.00	279.90	10/06/2020	254.08	0.00	25.82	Sell to Close
10/06/2020	2.00	409.82	Various	510.16	53.17 D	-47.17	Sell to Close
10/06/2020	2.00	411.82	10/06/2020	504.16	92.34 D	0.00	Sell to Close
10/06/2020	1.00	265.90	10/06/2020	259.08	0.00	6.82	Sell to Close
10/06/2020	2.00	427.82	Various	540.33	112.51 D	0.00	Sell to Close
10/06/2020	3.00	635.73	Various	825.75	190.02 D	0.00	Sell to Close
10/06/2020	1.00	279.90	10/06/2020	257.08	0.00	22.82	Sell to Close
10/06/2020	1.00	289.90	10/06/2020	254.08	0.00	35.82	Sell to Close
10/06/2020	3.00	665.73	Various	833.26	167.53 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

5KU68797

(continued)

02/02/2021

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 SPY 10/09/20 339 STANDARD & POORS DEPOSITORY CUSIP: Symbol: SPY201009P00339000							
10/07/2020	1.00	223.90	10/07/2020	278.59	54.69 D	0.00	Sell to Close
10/07/2020	1.00	220.90	10/07/2020	283.59	0.00	-62.69	Sell to Close
10/07/2020	1.00	222.90	10/07/2020	262.60	0.00	-39.70	Sell to Close
10/07/2020	1.00	228.90	10/07/2020	276.42	47.52 D	0.00	Sell to Close
10/07/2020	1.00	249.90	10/07/2020	301.59	51.69 D	0.00	Sell to Close
10/07/2020	2.00	311.82	Various	418.54	0.00	-106.72	Sell to Close
Security Totals:		5,407.74		6,313.39		-136.18	
TELLURIAN INC COMMON STOCK CUSIP: 87968A104 Symbol: TELL							
05/19/2020	100.00	108.98	05/04/2020	124.00	15.02 D	0.00	Sale
06/02/2020	100.00	97.98	05/04/2020	124.00	26.02 D	0.00	Sale
06/02/2020	350.00	342.95	Various	416.01	0.00	-73.06	Sale
Security Totals:		549.91		664.01		-73.06	
PUT SPY 12/18/20 369 STANDARD & POORS DEPOSITORY CUSIP: Symbol: SPY201218P00369000							
12/18/2020	1.00	139.90	12/18/2020	137.08	0.00	2.82	Sell to Close
CALL LOW 12/31/20 155 LOWES COMPANIES INC CUSIP: Symbol: LOW201231C00155000							
12/08/2020	1.00	294.90	12/08/2020	283.08	0.00	11.82	Sell to Close
12/08/2020	1.00	265.90	12/08/2020	265.08	0.00	0.82	Sell to Close
12/08/2020	1.00	268.90	12/08/2020	257.08	0.00	11.82	Sell to Close
12/08/2020	1.00	299.90	12/08/2020	290.08	0.00	9.82	Sell to Close
12/08/2020	1.00	270.90	12/08/2020	260.08	0.00	10.82	Sell to Close
12/08/2020	1.00	281.90	12/08/2020	250.08	0.00	31.82	Sell to Close
Security Totals:		1,682.40		1,605.48		76.92	
ARTELO BIOSCIENCES INC COMMON STOCK CUSIP: 04301G201 Symbol: ARTL							
08/26/2020	150.00	169.47	Various	166.00	0.00	3.47	Sale
CALL AAPL 10/02/20 113.75 APPLE INC ADJ 4:1 STOCK SPLIT CUSIP: Symbol: AAPL201002C00113750							
09/11/2020	1.00	449.89	09/11/2020	410.09	0.00	39.80	Sell to Close
09/28/2020	1.00	209.90	09/28/2020	219.25	0.00	-9.35	Sell to Close
09/28/2020	1.00	220.90	09/28/2020	213.25	0.00	7.65	Sell to Close

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Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B*

OMB No. 1545-0715

5KU68797

(continued)

02/02/2021

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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1a - Description of property | CUSIP | Symbol

1c - Date Sold or Disposed	Quantity	1d - Proceeds	1b - Date Acquired	1e - Cost or Other Basis	1f - Accrued Market Discount (M) & 1g - Wash Sale Loss Disallowed (D)	Gain or Loss (-)	Additional Notes
CALL AAPL 10/02/20 113.75 APPLE INC ADJ 4:1 STOCK SPLIT CUSIP: Symbol: AAPL201002C00113750							
09/28/2020	3.00	620.73	Various	637.24	14.34 D	-2.17	Sell to Close
09/28/2020	1.00	217.90	09/28/2020	204.08	0.00	13.82	Sell to Close
09/28/2020	3.00	653.73	Various	640.24	0.00	13.49	Sell to Close
Security Totals:		2,373.05		2,324.15		63.24	
***ANPAC BIO MEDICAL SCIENCE CO LTD AMERICAN DEPOSITARY SHARES CUSIP: 03635R107 Symbol: ANPC							
08/07/2020	135.00	1,139.35	Various	1,481.25	0.00	-341.90	Sale
CALL ORCL 09/18/20 62 ORACLE CORP CUSIP: Symbol: ORCL200918C00062000							
09/14/2020	2.00	165.80	09/14/2020	256.18	0.00	-90.38	Sell to Close
PUT AAPL 10/02/20 115 APPLE INC ADJ 4:1 STOCK SPLIT CUSIP: Symbol: AAPL201002P00115000							
09/28/2020	1.00	292.90	09/28/2020	272.08	0.00	20.82	Sell to Close
09/29/2020	1.00	220.90	09/28/2020	210.08	0.00	10.82	Sell to Close
Security Totals:		513.80		482.16		31.64	
CALL AAPL 10/02/20 115 APPLE INC ADJ 4:1 STOCK SPLIT CUSIP: Symbol: AAPL201002C00115000							
09/28/2020	1.00	153.90	09/28/2020	149.08	0.00	4.82	Sell to Close
09/30/2020	1.00	210.90	09/30/2020	206.08	0.00	4.82	Sell to Close
09/30/2020	1.00	211.90	09/30/2020	199.43	0.00	12.47	Sell to Close
09/30/2020	1.00	206.90	09/30/2020	236.61	29.71 D	0.00	Sell to Close
09/30/2020	2.00	439.82	Various	472.34	32.52 D	0.00	Sell to Close
09/30/2020	1.00	223.90	09/30/2020	226.25	2.35 D	0.00	Sell to Close
09/30/2020	1.00	218.90	09/30/2020	201.08	0.00	17.82	Sell to Close
09/30/2020	1.00	219.90	09/30/2020	250.43	30.53 D	0.00	Sell to Close
09/30/2020	1.00	233.90	09/30/2020	204.08	0.00	29.82	Sell to Close
09/30/2020	1.00	237.91	09/30/2020	209.08	0.00	28.83	Sell to Close
09/30/2020	1.00	209.90	09/30/2020	234.79	0.00	-24.89	Sell to Close
09/30/2020	1.00	226.90	09/30/2020	238.08	11.18 D	0.00	Sell to Close
Security Totals:		2,794.73		2,827.33		73.69	
QUALIGEN THERAPEUTICS INC COMMON STOCK CUSIP: 74754R103 Symbol: QLGN							
06/05/2020	1.00	5.87	06/04/2020	5.13	0.00	0.74	Sale

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APEX CLEARING

Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B*

OMB No. 1545-0715

5KU68797

(continued)

02/02/2021

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
QUALIGEN THERAPEUTICS INC COMMON STOCK CUSIP: 74754R103 Symbol: QLGN							
06/05/2020	8.00	46.78	06/04/2020	41.04	0.00	5.74	Sale
06/10/2020	15.00	91.63	Various	76.75	0.00	14.88	Sale
06/18/2020	10.00	50.78	Various	49.69	0.01 D	1.10	Sale
06/19/2020	10.00	51.93	Various	49.21	0.00	2.72	Sale
06/24/2020	40.00	190.38	Various	191.20	2.5 D	1.68	Sale
07/01/2020	10.00	58.68	06/24/2020	49.00	0.00	9.68	Sale
08/14/2020	2.00	12.08	08/07/2020	11.08	0.00	1.00	Sale
Security Totals:		508.13		473.10		37.54	
***MILESTONE PHARMACEUTICALS INC COM CUSIP: 59935V107 Symbol: MIST							
04/29/2020	50.00	136.48	04/13/2020	129.50	0.00	6.98	Sale
04/29/2020	80.00	211.18	04/13/2020	207.20	0.00	3.98	Sale
04/29/2020	100.00	273.98	04/13/2020	259.00	0.00	14.98	Sale
04/29/2020	100.00	255.98	04/13/2020	259.00	3.02 D	0.00	Sale
04/30/2020	50.00	138.48	04/13/2020	129.50	0.00	8.98	Sale
04/30/2020	139.00	393.35	Various	309.48	0.00	83.87	Sale
05/14/2020	1.00	3.35	04/21/2020	2.14	0.00	1.21	Sale
07/24/2020	50.00	405.48	07/23/2020	388.50	0.00	16.98	Sale
Security Totals:		1,818.28		1,684.32		136.98	
CALL CVS 10/30/20 60 CVS HEALTH CORPORATION CUSIP: Symbol: CVS201030C00060000							
10/09/2020	1.00	102.90	10/09/2020	105.08	2.18 D	0.00	Sell to Close
10/09/2020	1.00	97.90	10/09/2020	105.08	7.18 D	0.00	Sell to Close
10/09/2020	1.00	99.90	10/09/2020	105.08	5.18 D	0.00	Sell to Close
10/12/2020	1.00	111.90	10/12/2020	107.26	0.00	4.64	Sell to Close
10/16/2020	1.00	61.90	10/16/2020	63.43	0.00	-1.53	Sell to Close
10/16/2020	1.00	71.90	10/16/2020	61.43	0.00	10.47	Sell to Close
10/16/2020	2.00	125.82	Various	134.52	8.70 D	0.00	Sell to Close
10/16/2020	2.00	157.82	10/16/2020	122.16	0.00	35.66	Sell to Close
Security Totals:		830.04		804.04		49.24	

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APEX CLEARING

Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B*

OMB No. 1545-0715

5KU68797

(continued)

02/02/2021

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
VERASTEM INC CUSIP: 92337C104 Symbol: VSTM							
06/19/2020	100.00	182.98	05/22/2020	184.00	1.02 D	0.00	Sale
06/24/2020	100.00	187.98	05/22/2020	184.00	0.00	3.98	Sale
07/08/2020	60.00	92.98	06/11/2020	105.53	12.55 D	0.00	Sale
07/15/2020	1.00	1.41	07/13/2020	1.69	0.00	-0.28	Sale
07/15/2020	50.00	71.98	Various	98.90	26.92 D	0.00	Sale
07/15/2020	84.00	123.46	Various	157.99	0.00	-34.53	Sale
07/15/2020	60.00	85.18	Various	108.72	23.54 D	0.00	Sale
07/15/2020	380.00	554.73	Various	602.66	47.44 D	-0.49	Sale
Security Totals:		1,300.70		1,443.49		-31.32	
CALL CRM 12/18/20 220 SALESFORCE.COM INC CUSIP: Symbol: CRM201218C00220000							
12/15/2020	1.00	203.90	12/15/2020	216.26	12.36 D	0.00	Sell to Close
12/15/2020	1.00	208.90	12/15/2020	221.44	12.54 D	0.00	Sell to Close
12/15/2020	1.00	209.90	12/15/2020	214.62	4.72 D	0.00	Sell to Close
12/15/2020	1.00	217.90	12/15/2020	196.80	0.00	21.10	Sell to Close
12/15/2020	1.00	214.90	12/15/2020	219.08	4.18 D	0.00	Sell to Close
Security Totals:		1,055.50		1,068.20		21.10	
CALL CGC 12/18/20 30 CANOPY GROWTH CORPORATION CUSIP: Symbol: CGC201218C00030000							
12/04/2020	1.00	109.90	12/04/2020	132.26	0.00	-22.36	Sell to Close
12/04/2020	1.00	115.90	12/04/2020	133.08	17.18 D	0.00	Sell to Close
Security Totals:		225.80		265.34		-22.36	
PECK COMPANY HOLDINGS INC (THE) COMMON STOCK CUSIP: 705163103 Symbol: PECK							
08/13/2020	35.00	141.38	Various	139.00	0.31 D	2.69	Sale
08/27/2020	5.00	17.48	08/12/2020	19.91	0.00	-2.43	Sale
Security Totals:		158.86		158.91		0.26	
KIRKLANDS INC CUSIP: 497498105 Symbol: KIRK							
05/19/2020	300.00	428.95	Various	365.00	0.00	63.95	Sale
05/27/2020	100.00	116.98	05/19/2020	123.00	6.02 D	0.00	Sale
05/27/2020	389.00	447.29	Various	442.61	8.93 D	13.61	Sale

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APEX CLEARING

Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B*

OMB No. 1545-0715

5KU68797

(continued)

02/02/2021

SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

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

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KIRKLANDS INC CUSIP: 497498105 Symbol: KIRK							
06/03/2020	286.00	360.32	Various	293.97	0.00	66.35	Sale
Security Totals:		1,353.54		1,224.58		143.91	
PUT SPY 10/30/20 325 STANDARD & POORS DEPOSITORY CUSIP: Symbol: SPY201030P00325000							
10/30/2020	1.00	182.90	10/30/2020	182.08	0.00	0.82	Sell to Close
10/30/2020	1.00	185.90	10/30/2020	177.08	0.00	8.82	Sell to Close
Security Totals:		368.80		359.16		9.64	
CALL SPY 10/30/20 327 STANDARD & POORS DEPOSITORY CUSIP: Symbol: SPY201030C00327000							
10/30/2020	1.00	121.90	10/30/2020	168.08	0.00	-46.18	Sell to Close
PUT SPY 11/06/20 340 STANDARD & POORS DEPOSITORY CUSIP: Symbol: SPY201106P00340000							
11/04/2020	1.00	374.90	11/04/2020	348.08	0.00	26.82	Sell to Close
11/04/2020	1.00	379.90	11/04/2020	359.08	0.00	20.82	Sell to Close
Security Totals:		754.80		707.16		47.64	
PUT ROKU 11/27/20 270 ROKU INC CUSIP: Symbol: ROKU201127P00270000							
11/24/2020	1.00	154.91	11/24/2020	150.08	0.00	4.83	Sell to Close
MINERVA NEUROSCIENCES INC COM CUSIP: 603380106 Symbol: NERV							
05/29/2020	120.00	331.18	Various	298.94	0.00	32.24	Sale
CALL FDX 12/18/20 277.50 FEDEX CORP CUSIP: Symbol: FDX201218C00277500							
12/18/2020	1.00	164.90	12/18/2020	166.26	0.00	-1.36	Sell to Close
12/18/2020	1.00	171.90	12/18/2020	173.08	1.18 D	0.00	Sell to Close
Security Totals:		336.80		339.34		-1.36	
SINTX TECHNOLOGIES INC COMMON STOCK CUSIP: 829392307 Symbol: SINT							
06/22/2020	55.00	147.93	06/22/2020	132.55	0.00	15.38	Sale
06/22/2020	100.00	273.98	Various	235.60	0.00	38.38	Sale
06/26/2020	50.00	94.48	06/26/2020	91.50	0.00	2.98	Sale
06/26/2020	100.00	194.98	06/26/2020	183.00	0.00	11.98	Sale
08/05/2020	100.00	280.08	08/05/2020	270.00	0.00	10.08	Sale
Security Totals:		991.45		912.65		78.80	
PUT NIO 11/13/20 40 NIO INC ADS CUSIP: Symbol: NIO201113P00040000							
11/10/2020	1.00	127.90	11/10/2020	136.26	8.36 D	0.00	Sell to Close

APEX CLEARING

Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B*

OMB No. 1545-0715

5KU68797

(continued)

02/02/2021

SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

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PUT NIO 11/13/20 40 NIO INC ADS CUSIP: Symbol: NIO201113P00040000							
11/10/2020	1.00	121.90	11/10/2020	130.08	8.18 D	0.00	Sell to Close
11/10/2020	1.00	198.90	11/10/2020	197.08	0.00	1.82	Sell to Close
11/10/2020	1.00	126.90	11/10/2020	140.44	13.54 D	0.00	Sell to Close
11/10/2020	1.00	123.90	11/10/2020	141.80	0.00	-17.90	Sell to Close
11/10/2020	1.00	126.90	11/10/2020	143.62	16.72 D	0.00	Sell to Close
Security Totals:		826.40		889.28		-16.08	
PUT SPY 10/23/20 343 STANDARD & POORS DEPOSITORY CUSIP: Symbol: SPY201023P00343000							
10/22/2020	1.00	220.90	10/22/2020	206.26	0.00	14.64	Sell to Close
10/22/2020	1.00	197.90	10/22/2020	202.08	4.18 D	0.00	Sell to Close
10/22/2020	1.00	209.90	10/22/2020	200.08	0.00	9.82	Sell to Close
10/22/2020	1.00	221.90	10/22/2020	196.08	0.00	25.82	Sell to Close
10/22/2020	1.00	174.90	10/22/2020	176.08	0.00	-1.18	Sell to Close
Security Totals:		1,025.50		980.58		49.10	
CALL SPY 11/06/20 352 STANDARD & POORS DEPOSITORY CUSIP: Symbol: SPY201106C00352000							
11/04/2020	1.00	131.90	11/04/2020	122.08	0.00	9.82	Sell to Close
11/05/2020	1.00	192.90	11/05/2020	177.25	0.00	15.65	Sell to Close
11/05/2020	1.00	176.90	11/05/2020	184.08	7.18 D	0.00	Sell to Close
11/05/2020	1.00	192.90	11/05/2020	194.26	0.00	-1.36	Sell to Close
11/05/2020	2.00	371.82	Various	366.16	1.17 D	6.83	Sell to Close
11/05/2020	1.00	179.90	11/05/2020	171.08	0.00	8.82	Sell to Close
11/05/2020	1.00	193.90	11/05/2020	185.08	0.00	8.82	Sell to Close
11/05/2020	1.00	198.91	11/05/2020	182.08	0.00	16.83	Sell to Close
Security Totals:		1,639.13		1,582.07		65.41	
PUT SPY 10/23/20 344 STANDARD & POORS DEPOSITORY CUSIP: Symbol: SPY201023P00344000							
10/20/2020	1.00	261.90	10/20/2020	266.08	4.18 D	0.00	Sell to Close
10/22/2020	1.00	183.90	10/22/2020	172.80	0.00	11.10	Sell to Close
10/22/2020	1.00	171.90	10/22/2020	180.08	0.00	-8.18	Sell to Close
10/22/2020	1.00	151.90	10/22/2020	163.44	11.54 D	0.00	Sell to Close

APEX CLEARING

Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B*

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5KU68797

(continued)

02/02/2021

SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

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PUT SPY 10/23/20 344 STANDARD & POORS DEPOSITORY CUSIP: Symbol: SPY201023P00344000							
10/22/2020	1.00	147.90	10/22/2020	171.26	23.36 D	0.00	Sell to Close
10/22/2020	1.00	156.90	10/22/2020	165.62	8.72 D	0.00	Sell to Close
Security Totals:		1,074.40		1,119.28		2.92	
CALL AAPL 12/31/20 133 APPLE INC CUSIP: Symbol: AAPL201231C00133000							
12/31/2020	1.00	43.90	12/31/2020	50.08	6.18 D	0.00	Sell to Close
12/31/2020	1.00	34.90	12/31/2020	52.44	0.00	-17.54	Sell to Close
12/31/2020	1.00	32.90	12/31/2020	51.26	18.36 D	0.00	Sell to Close
Security Totals:		111.70		153.78		-17.54	
CALL SPY 10/23/20 344 STANDARD & POORS DEPOSITORY CUSIP: Symbol: SPY201023C00344000							
10/21/2020	1.00	262.90	10/21/2020	254.08	0.00	8.82	Sell to Close
10/21/2020	1.00	188.90	10/21/2020	180.08	0.00	8.82	Sell to Close
10/21/2020	1.00	239.90	10/21/2020	226.26	0.00	13.64	Sell to Close
10/21/2020	1.00	219.90	10/21/2020	241.08	21.18 D	0.00	Sell to Close
10/23/2020	1.00	82.90	10/23/2020	75.08	0.00	7.82	Sell to Close
Security Totals:		994.50		976.58		39.10	
PUT SPY 10/23/20 345 STANDARD & POORS DEPOSITORY CUSIP: Symbol: SPY201023P00345000							
10/20/2020	1.00	290.90	10/20/2020	285.08	0.00	5.82	Sell to Close
SHINECO INC COMMON STOCK CUSIP: 824567200 Symbol: TYHT							
07/27/2020	345.00	222.13	Various	242.15	0.00	-20.02	Sale
07/27/2020	505.00	324.90	Various	365.38	27.92 D	-12.56	Sale
Security Totals:		547.03		607.53		-32.58	
CALL UPS 12/31/20 175 UNITED PARCEL SVC INC CUSIP: Symbol: UPS201231C00175000							
12/23/2020	1.00	149.90	12/23/2020	154.08	4.18 D	0.00	Sell to Close
12/23/2020	1.00	165.90	12/23/2020	165.08	0.00	0.82	Sell to Close
12/24/2020	2.00	145.82	Various	407.16	261.34 D	0.00	Sell to Close
12/24/2020	2.00	197.82	Various	417.67	219.85 D	0.00	Sell to Close
12/24/2020	3.00	197.74	Various	913.76	716.02 D	0.00	Sell to Close
12/24/2020	3.00	197.74	Various	740.23	542.49 D	0.00	Sell to Close

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CALL UPS 12/31/20	175	UNITED PARCEL SVC INC	CUSIP: Symbol: UPS201231C00175000				
12/24/2020	3.00	200.74	Various	712.23	511.49 D	0.00	Sell to Close
12/24/2020	3.00	203.74	Various	933.26	729.52 D	0.00	Sell to Close
12/24/2020	3.00	206.74	Various	820.89	614.15 D	0.00	Sell to Close
12/24/2020	3.00	209.74	Various	841.40	631.66 D	0.00	Sell to Close
12/24/2020	3.00	215.74	Various	964.23	748.49 D	0.00	Sell to Close
12/24/2020	3.00	278.74	Various	456.42	177.68 D	0.00	Sell to Close
12/24/2020	3.00	191.74	Various	843.76	652.02 D	0.00	Sell to Close
12/24/2020	3.00	197.74	Various	604.08	406.34 D	0.00	Sell to Close
12/24/2020	4.00	267.66	Various	1,018.68	751.02 D	0.00	Sell to Close
12/24/2020	4.00	263.66	Various	960.47	696.81 D	0.00	Sell to Close
12/24/2020	4.00	275.66	Various	1,237.66	962.00 D	0.00	Sell to Close
12/24/2020	4.00	287.66	Various	1,088.81	801.15 D	0.00	Sell to Close
12/24/2020	8.00	503.31	Various	1,302.66	799.35 D	0.00	Sell to Close
12/24/2020	3.00	197.74	Various	535.74	338.00 D	0.00	Sell to Close
12/24/2020	4.00	263.66	Various	1,097.49	833.83 D	0.00	Sell to Close
12/28/2020	1.00	67.90	12/28/2020	214.43	146.53 D	0.00	Sell to Close
12/28/2020	1.00	74.90	12/24/2020	240.41	165.51 D	0.00	Sell to Close
12/28/2020	1.00	72.90	12/24/2020	187.24	114.34 D	0.00	Sell to Close
12/28/2020	1.00	41.90	12/28/2020	210.58	168.68 D	0.00	Sell to Close
12/28/2020	1.00	83.90	12/28/2020	376.08	292.18 D	0.00	Sell to Close
12/28/2020	1.00	81.90	12/28/2020	225.40	143.5 D	0.00	Sell to Close
12/28/2020	2.00	81.82	Various	544.68	462.86 D	0.00	Sell to Close
12/28/2020	1.00	73.90	12/24/2020	201.26	127.36 D	0.00	Sell to Close
12/28/2020	2.00	83.82	Various	536.68	452.86 D	0.00	Sell to Close
12/28/2020	2.00	143.82	Various	631.14	487.32 D	0.00	Sell to Close
12/28/2020	3.00	221.74	Various	933.58	711.84 D	0.00	Sell to Close
12/28/2020	1.00	39.90	12/28/2020	199.44	159.54 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

5KU68797

(continued)

02/02/2021

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 UPS 12/31/20 175 UNITED PARCEL SVC INC CUSIP: Symbol: UPS201231C00175000							
12/28/2020	1.00	76.90	12/28/2020	231.59	154.69 D	0.00	Sell to Close
12/28/2020	2.00	155.82	Various	689.65	533.83 D	0.00	Sell to Close
12/29/2020	2.00	31.82	Various	502.69	470.87 D	0.00	Sell to Close
12/29/2020	2.00	31.82	Various	398.21	366.39 D	0.00	Sell to Close
12/30/2020	1.00	5.90	12/29/2020	226.95	0.00	-221.05	Sell to Close
12/30/2020	4.00	15.66	Various	714.34	0.00	-698.68	Sell to Close
12/30/2020	2.00	11.82	Various	696.66	0.00	-684.84	Sell to Close
12/30/2020	2.00	9.82	Various	629.51	619.69 D	0.00	Sell to Close
12/30/2020	3.00	14.74	Various	691.98	0.00	-677.24	Sell to Close
12/30/2020	10.00	49.16	Various	2,169.95	2120.79 D	0.00	Sell to Close
Security Totals:		6,291.05		27,668.21		-2,280.99	
HOUSTON AMERN ENERGY CORP COMMON STOCK CUSIP: 44183U209 Symbol: HUSA							
08/20/2020	50.00	79.48	Various	68.60	0.00	10.88	Sale
08/24/2020	114.00	170.98	Various	171.57	0.59 D	0.00	Sale
08/27/2020	116.00	180.94	Various	166.37	0.00	14.57	Sale
09/01/2020	120.00	151.78	08/31/2020	163.20	11.42 D	0.00	Sale
09/03/2020	84.00	115.06	Various	96.30	0.00	18.76	Sale
09/03/2020	100.00	128.98	Various	136.71	7.73 D	0.00	Sale
09/03/2020	230.00	354.16	Various	294.74	0.00	59.42	Sale
09/14/2020	129.00	124.20	Various	156.76	32.56 D	0.00	Sale
09/14/2020	124.00	120.26	Various	157.91	37.65 D	0.00	Sale
09/14/2020	100.00	95.98	Various	115.24	19.26 D	0.00	Sale
09/15/2020	173.00	174.70	Various	198.21	0.00	-23.51	Sale
Security Totals:		1,696.52		1,725.61		80.12	
CALL ZM 11/20/20 420 ZOOM VIDEO COMMUNICATIONS INC CUSIP: Symbol: ZM201120C00420000							
11/13/2020	1.00	999.88	11/13/2020	990.08	0.00	9.80	Sell to Close
CALL AAPL 12/31/20 132 APPLE INC CUSIP: Symbol: AAPL201231C00132000							
12/31/2020	1.00	70.90	12/31/2020	45.08	0.00	25.82	Sell to Close

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APEX CLEARING

Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B*

OMB No. 1545-0715

5KU68797

(continued)

02/02/2021

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
CALL AAPL 12/31/20 132 APPLE INC CUSIP: Symbol: AAPL201231C00132000							
12/31/2020	1.00	70.90	12/31/2020	41.08	0.00	29.82	Sell to Close
12/31/2020	1.00	55.90	12/31/2020	45.08	0.00	10.82	Sell to Close
12/31/2020	1.00	54.90	12/31/2020	48.08	0.00	6.82	Sell to Close
12/31/2020	1.00	127.90	12/31/2020	114.08	0.00	13.82	Sell to Close
12/31/2020	2.00	109.82	Various	110.16	4.17 D	3.83	Sell to Close
12/31/2020	1.00	54.90	12/31/2020	54.25	0.00	0.65	Sell to Close
12/31/2020	1.00	67.90	12/31/2020	45.08	0.00	22.82	Sell to Close
Security Totals:		613.12		502.89		114.40	
PUT CVS 11/27/20 65 CVS HEALTH CORPORATION CUSIP: Symbol: CVS201127P00065000							
11/09/2020	1.00	57.90	11/09/2020	46.08	0.00	11.82	Sell to Close
CALL QCOM 10/09/20 123 QUALCOMM INC CUSIP: Symbol: QCOM201009C00123000							
10/08/2020	2.00	201.82	Various	186.16	0.00	15.66	Sell to Close
CALL SBUX 10/23/20 90 STARBUCKS CORPORATION CUSIP: Symbol: SBUX201023C00090000							
10/14/2020	1.00	99.90	10/14/2020	121.26	21.36 D	0.00	Sell to Close
10/14/2020	1.00	97.90	10/14/2020	110.08	12.18 D	0.00	Sell to Close
10/14/2020	1.00	101.90	10/14/2020	109.44	0.00	-7.54	Sell to Close
Security Totals:		299.70		340.78		-7.54	
MYOS RENS TECHNOLOGY INC COM CUSIP: 62857P108 Symbol: MYOS							
05/21/2020	100.00	132.98	05/21/2020	152.00	19.02 D	0.00	Sale
05/21/2020	100.00	136.48	05/21/2020	163.02	26.54 D	0.00	Sale
05/21/2020	100.00	138.98	05/21/2020	167.06	28.08 D	0.00	Sale
05/21/2020	100.00	138.48	05/21/2020	167.54	29.06 D	0.00	Sale
06/11/2020	3.00	3.01	06/01/2020	3.99	0.98 D	0.00	Sale
06/11/2020	200.00	217.97	Various	273.64	57.15 D	1.48	Sale
06/11/2020	200.00	215.97	Various	293.08	77.11 D	0.00	Sale
06/11/2020	400.00	479.93	Various	573.18	95.22 D	1.97	Sale
06/11/2020	500.00	569.92	Various	692.11	122.19 D	0.00	Sale
06/11/2020	200.00	209.97	Various	217.10	15.47 D	8.34	Sale

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APEX CLEARING

Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B*

OMB No. 1545-0715

5KU68797

(continued)

02/02/2021

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
MYOS RENS TECHNOLOGY INC COM CUSIP: 62857P108 Symbol: MYOS							
06/11/2020	997.00	1,056.67	Various	974.75	49.88 D	131.80	Sale
07/02/2020	50.00	105.98	07/01/2020	147.34	41.36 D	0.00	Sale
07/02/2020	50.00	105.98	Various	145.98	40.00 D	0.00	Sale
07/02/2020	80.00	180.00	Various	259.07	79.07 D	0.00	Sale
07/02/2020	100.00	221.98	Various	262.58	40.60 D	0.00	Sale
07/02/2020	100.00	205.98	Various	322.57	116.59 D	0.00	Sale
07/02/2020	100.00	198.98	Various	316.07	117.09 D	0.00	Sale
07/02/2020	780.00	1,516.97	Various	1,970.61	0.00	-453.64	Sale
08/05/2020	100.00	262.96	08/05/2020	209.00	0.00	53.96	Sale
Security Totals:		6,099.19		7,310.69		-256.09	
CALL AAPL 10/23/20 115 APPLE INC CUSIP: Symbol: AAPL201023C00115000							
10/22/2020	1.00	149.90	10/22/2020	127.08	0.00	22.82	Sell to Close
CALL AMZN 12/04/20 3170 AMAZON.COM INC CUSIP: Symbol: AMZN201204C03170000							
12/04/2020	1.00	645.89	12/04/2020	635.08	0.00	10.81	Sell to Close
PUT AAPL 12/18/20 124 APPLE INC CUSIP: Symbol: AAPL201218P00124000							
12/15/2020	1.00	80.90	12/15/2020	92.08	11.18 D	0.00	Sell to Close
12/15/2020	1.00	81.90	12/15/2020	209.41	127.51 D	0.00	Sell to Close
12/15/2020	2.00	155.82	12/15/2020	184.16	28.34 D	0.00	Sell to Close
12/15/2020	1.00	80.90	12/15/2020	209.41	128.51 D	0.00	Sell to Close
12/15/2020	2.00	169.82	Various	194.51	0.00	-24.69	Sell to Close
12/15/2020	3.00	239.74	Various	546.74	307.00 D	0.00	Sell to Close
12/15/2020	1.00	92.90	12/15/2020	140.58	0.00	-47.68	Sell to Close
12/15/2020	1.00	77.90	12/15/2020	92.08	14.18 D	0.00	Sell to Close
12/15/2020	1.00	86.90	12/15/2020	92.26	0.00	-5.36	Sell to Close
12/15/2020	1.00	88.90	12/15/2020	84.24	0.00	4.66	Sell to Close
12/15/2020	3.00	209.74	Various	404.24	194.50 D	0.00	Sell to Close
12/15/2020	2.00	159.83	12/15/2020	184.17	24.34 D	0.00	Sell to Close
12/15/2020	5.00	414.59	Various	741.93	74.66 D	-252.68	Sell to Close

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APEX CLEARING

Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B*

OMB No. 1545-0715

5KU68797

(continued)

02/02/2021

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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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
12/15/2020	2.00	169.82	Various	188.50	0.00	-18.68	Sell to Close
Security Totals:		2,109.66		3,364.31		-344.43	
PUT AAPL 12/18/20 123 APPLE INC CUSIP: Symbol: AAPL201218P00123000							
12/03/2020	1.00	329.90	12/03/2020	320.08	0.00	9.82	Sell to Close
CALL AAPL 10/23/20 116 APPLE INC CUSIP: Symbol: AAPL201023C00116000							
10/22/2020	1.00	129.90	10/22/2020	126.08	0.00	3.82	Sell to Close
10/22/2020	2.00	219.82	Various	218.49	10.33 D	11.66	Sell to Close
10/22/2020	1.00	108.90	10/22/2020	105.41	0.00	3.49	Sell to Close
10/22/2020	4.00	419.66	Various	432.32	24.33 D	11.67	Sell to Close
Security Totals:		878.28		882.30		30.64	
CALL NIO 12/11/20 50 NIO INC ADS CUSIP: Symbol: NIO201211C00050000							
12/09/2020	1.00	36.90	12/09/2020	48.08	0.00	-11.18	Sell to Close
INDIA GLOBALIZATION CAPITAL INC COMMON STOCK CUSIP: 45408X308 Symbol: IGC							
07/27/2020	185.00	160.00	07/27/2020	140.60	0.00	19.40	Sale
07/27/2020	315.00	255.10	07/27/2020	239.40	0.00	15.70	Sale
08/11/2020	72.00	79.90	08/11/2020	74.16	0.00	5.74	Sale
08/11/2020	100.00	108.98	Various	101.53	0.00	7.45	Sale
08/11/2020	151.00	176.64	Various	156.00	0.00	20.64	Sale
08/11/2020	116.00	127.58	08/11/2020	119.48	0.00	8.10	Sale
08/12/2020	8.00	9.18	08/11/2020	8.24	0.00	0.94	Sale
08/13/2020	50.00	134.48	08/13/2020	163.00	28.52 D	0.00	Sale
08/13/2020	35.00	92.21	Various	123.45	31.24 D	0.00	Sale
08/13/2020	100.00	253.98	Various	386.59	132.61 D	0.00	Sale
08/13/2020	100.00	261.98	Various	407.29	145.31 D	0.00	Sale
08/13/2020	100.00	251.98	Various	342.52	90.54 D	0.00	Sale
08/13/2020	200.00	524.96	Various	619.41	123.73 D	29.28	Sale
09/03/2020	131.00	210.88	Various	292.98	84.42 D	2.32	Sale
09/03/2020	159.00	264.71	Various	344.45	87.40 D	7.66	Sale
09/03/2020	127.00	205.71	09/03/2020	194.95	0.00	10.76	Sale

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APEX CLEARING

Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B*

OMB No. 1545-0715

5KU68797

(continued)

02/02/2021

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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1c - Date Sold or Disposed	Quantity	1d - Proceeds	1b - Date Acquired	1e - Cost or Other Basis	1f - Accrued Market Discount (M) & 1g - Wash Sale Loss Disallowed (D)	Gain or Loss (-)	Additional Notes
INDIA GLOBALIZATION CAPITAL INC COMMON STOCK CUSIP: 45408X308 Symbol: IGC							
09/03/2020	200.00	291.97	Various	397.20	0.00	-105.23	Sale
09/03/2020	200.00	316.97	Various	316.02	0.00	0.95	Sale
09/03/2020	283.00	464.07	Various	545.29	100.39 D	19.17	Sale
09/03/2020	300.00	442.45	Various	545.17	102.72 D	0.00	Sale
Security Totals:		4,633.73		5,517.73		42.88	
PUT SPY 12/23/20 368 STANDARD & POORS DEPOSITORY CUSIP: Symbol: SPY201223P00368000							
12/23/2020	1.00	46.90	12/23/2020	58.08	0.00	-11.18	Sell to Close
CALL DAL 10/16/20 33 DELTA AIR LINES INC DEL CUSIP: Symbol: DAL201016C00033000							
10/09/2020	1.00	111.90	10/09/2020	130.42	18.52 D	0.00	Sell to Close
10/09/2020	2.00	223.82	Various	245.16	21.34 D	0.00	Sell to Close
10/09/2020	2.00	227.82	Various	255.50	27.68 D	0.00	Sell to Close
10/09/2020	1.00	135.90	10/09/2020	129.08	0.00	6.82	Sell to Close
10/12/2020	1.00	86.90	10/09/2020	119.42	32.52 D	0.00	Sell to Close
10/12/2020	2.00	177.82	Various	248.20	0.00	-70.38	Sell to Close
Security Totals:		964.16		1,127.78		-63.56	
CALL LOW 01/15/21 155 LOWES COMPANIES INC CUSIP: Symbol: LOW210115C00155000							
12/07/2020	1.00	399.90	12/07/2020	350.08	0.00	49.82	Sell to Close
12/07/2020	1.00	354.90	12/04/2020	370.08	15.18 D	0.00	Sell to Close
12/07/2020	1.00	376.90	12/07/2020	368.26	0.00	8.64	Sell to Close
Security Totals:		1,131.70		1,088.42		58.46	
CALL DAL 10/16/20 32 DELTA AIR LINES INC DEL CUSIP: Symbol: DAL201016C00032000							
10/05/2020	1.00	149.90	10/05/2020	145.08	0.00	4.82	Sell to Close
10/05/2020	1.00	149.90	10/05/2020	144.08	0.00	5.82	Sell to Close
10/05/2020	4.00	583.65	10/05/2020	584.32	0.67 D	0.00	Sell to Close
10/05/2020	4.00	599.65	Various	586.65	0.00	13.00	Sell to Close
10/05/2020	5.00	724.57	Various	726.07	1.50 D	0.00	Sell to Close
10/05/2020	1.00	148.90	10/05/2020	142.25	0.00	6.65	Sell to Close
Security Totals:		2,356.57		2,328.45		30.29	

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APEX CLEARING

Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B*

OMB No. 1545-0715

5KU68797

(continued)

02/02/2021

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 SPY 11/20/20	360	STANDARD & POORS DEPOSITORY CUSIP: Symbol: SPY201120P00360000					
11/17/2020	1.00	170.90	11/17/2020	173.08	0.00	-2.18	Sell to Close
CALL SPY 01/04/21	372	STANDARD & POORS DEPOSITORY CUSIP: Symbol: SPY210104C00372000					
12/22/2020	1.00	220.90	12/22/2020	219.08	0.00	1.82	Sell to Close
CALL SPY 12/23/20	367	STANDARD & POORS DEPOSITORY CUSIP: Symbol: SPY201223C00367000					
12/22/2020	1.00	139.90	12/22/2020	148.08	8.18 D	0.00	Sell to Close
12/22/2020	1.00	133.90	12/22/2020	144.26	0.00	-10.36	Sell to Close
Security Totals:		273.80		292.34		-10.36	
CALL LOW 01/15/21	160	LOWES COMPANIES INC CUSIP: Symbol: LOW210115C00160000					
12/03/2020	1.00	279.90	12/03/2020	281.08	1.18 D	0.00	Sell to Close
12/03/2020	1.00	282.90	12/03/2020	276.26	0.00	6.64	Sell to Close
Security Totals:		562.80		557.34		6.64	
PUT AAPL 12/31/20	135	APPLE INC CUSIP: Symbol: AAPL201231P00135000					
12/30/2020	1.00	112.90	12/30/2020	88.08	0.00	24.82	Sell to Close
12/30/2020	1.00	101.90	12/30/2020	95.08	0.00	6.82	Sell to Close
12/30/2020	1.00	131.90	12/30/2020	88.08	0.00	43.82	Sell to Close
Security Totals:		346.70		271.24		75.46	
PUT SPY 01/04/21	372	STANDARD & POORS DEPOSITORY CUSIP: Symbol: SPY210104P00372000					
12/28/2020	1.00	240.90	12/28/2020	235.08	0.00	5.82	Sell to Close
12/28/2020	1.00	249.90	12/28/2020	252.08	2.18 D	0.00	Sell to Close
12/28/2020	1.00	251.90	12/28/2020	253.26	1.36 D	0.00	Sell to Close
12/28/2020	1.00	251.90	12/28/2020	251.44	0.00	0.46	Sell to Close
12/28/2020	1.00	242.90	12/28/2020	238.08	0.00	4.82	Sell to Close
Security Totals:		1,237.50		1,229.94		11.10	
PUT UPS 12/31/20	170	UNITED PARCEL SVC INC CUSIP: Symbol: UPS201231P00170000					
12/28/2020	1.00	70.90	12/28/2020	69.08	0.00	1.82	Sell to Close
12/28/2020	1.00	87.90	12/28/2020	86.08	0.00	1.82	Sell to Close
Security Totals:		158.80		155.16		3.64	
CALL FB 11/20/20	300	FACEBOOK INC CL A CUSIP: Symbol: FB201120C00300000					
11/09/2020	1.00	229.90	11/09/2020	263.08	0.00	-33.18	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
CALL UPS 12/31/20	170	UNITED PARCEL SVC INC CUSIP: Symbol: UPS201231C00170000					
12/29/2020	1.00	85.90	12/29/2020	178.14	92.24 D	0.00	Sell to Close
12/29/2020	1.00	86.90	12/29/2020	119.43	32.53 D	0.00	Sell to Close
12/29/2020	1.00	88.90	12/29/2020	186.32	97.42 D	0.00	Sell to Close
12/29/2020	1.00	87.90	12/29/2020	147.95	60.05 D	0.00	Sell to Close
12/29/2020	1.00	85.90	12/29/2020	214.84	128.94 D	0.00	Sell to Close
12/29/2020	1.00	87.90	12/29/2020	155.13	67.23 D	0.00	Sell to Close
12/29/2020	1.00	88.90	12/29/2020	223.02	134.12 D	0.00	Sell to Close
12/29/2020	1.00	89.90	12/29/2020	161.31	71.41 D	0.00	Sell to Close
12/29/2020	2.00	191.82	Various	265.88	74.06 D	0.00	Sell to Close
12/29/2020	2.00	163.82	Various	316.11	152.29 D	0.00	Sell to Close
12/29/2020	2.00	167.82	Various	333.45	165.63 D	0.00	Sell to Close
12/29/2020	1.00	104.90	12/29/2020	121.08	16.18 D	0.00	Sell to Close
12/29/2020	1.00	91.90	12/29/2020	131.44	39.54 D	0.00	Sell to Close
12/29/2020	1.00	84.90	12/29/2020	110.25	25.35 D	0.00	Sell to Close
12/29/2020	1.00	93.90	12/29/2020	149.62	55.72 D	0.00	Sell to Close
12/29/2020	1.00	83.91	12/29/2020	166.97	83.06 D	0.00	Sell to Close
12/29/2020	1.00	112.90	12/29/2020	132.26	19.36 D	0.00	Sell to Close
12/30/2020	3.00	26.74	Various	573.36	0.00	-546.62	Sell to Close
12/30/2020	4.00	151.66	Various	771.50	619.84 D	0.00	Sell to Close
12/30/2020	5.00	174.58	Various	655.93	481.35 D	0.00	Sell to Close
12/30/2020	9.00	80.25	Various	1,421.04	0.00	-1,340.79	Sell to Close
12/30/2020	9.00	80.25	Various	1,130.79	0.00	-1,050.54	Sell to Close
12/30/2020	10.00	129.16	Various	2,067.61	1938.45 D	0.00	Sell to Close
12/30/2020	11.00	115.09	Various	1,887.01	1771.92 D	0.00	Sell to Close
12/30/2020	20.00	178.34	Various	3,375.02	2648.46 D	-548.22	Sell to Close
12/30/2020	20.00	258.34	Various	1,803.15	1544.81 D	0.00	Sell to Close
12/30/2020	10.00	129.16	Various	2,390.21	2261.05 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

5KU68797

(continued)

02/02/2021

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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CALL UPS 12/31/20 170 UNITED PARCEL SVC INC CUSIP: Symbol: UPS201231C00170000							
12/30/2020	30.00	357.51	Various	3,026.22	2668.71 D	0.00	Sell to Close
12/30/2020	3.00	26.74	Various	315.05	0.00	-288.31	Sell to Close
12/30/2020	10.00	99.16	Various	1,294.34	1195.18 D	0.00	Sell to Close
12/30/2020	11.00	109.09	Various	1,782.21	1673.12 D	0.00	Sell to Close
12/30/2020	4.00	35.66	Various	1,244.26	0.00	-1,208.60	Sell to Close
12/30/2020	9.00	269.25	Various	1,432.73	1163.48 D	0.00	Sell to Close
12/30/2020	8.00	239.32	Various	1,716.96	1477.64 D	0.00	Sell to Close
12/30/2020	5.00	64.58	Various	399.04	334.46 D	0.00	Sell to Close
12/30/2020	30.00	267.51	Various	4,791.73	4524.22 D	0.00	Sell to Close
Security Totals:		4,590.46		35,191.36		-4,983.08	
CALL UPS 12/31/20 167.50 UNITED PARCEL SVC INC CUSIP: Symbol: UPS201231C00167500							
12/30/2020	1.00	35.90	12/30/2020	69.08	33.18 D	0.00	Sell to Close
12/30/2020	1.00	39.90	12/30/2020	101.26	61.36 D	0.00	Sell to Close
12/31/2020	1.00	10.90	12/30/2020	203.78	192.88 D	0.00	Sell to Close
12/31/2020	3.00	41.74	Various	254.60	212.86 D	0.00	Sell to Close
12/31/2020	1.00	13.90	12/30/2020	132.40	118.5 D	0.00	Sell to Close
12/31/2020	3.00	41.74	Various	369.10	327.36 D	0.00	Sell to Close
12/31/2020	3.00	44.74	Various	502.96	0.00	-458.22	Sell to Close
Security Totals:		228.82		1,633.18		-458.22	
AZURRX BIOPHARMA INC COMMON STOCK CUSIP: 05502L105 Symbol: AZRX							
08/12/2020	100.00	105.98	Various	135.18	0.00	-29.20	Sale
08/12/2020	200.00	192.98	Various	266.00	73.02 D	0.00	Sale
08/12/2020	300.00	311.95	Various	392.22	82.75 D	2.48	Sale
08/12/2020	350.00	370.95	Various	420.42	43.94 D	-5.53	Sale
Security Totals:		981.86		1,213.82		-32.25	
SM ENERGY COMPANY CUSIP: 78454L100 Symbol: SM							
04/15/2020	1.00	1.72	04/14/2020	1.96	0.24 D	0.00	Sale
04/21/2020	120.00	184.78	Various	230.40	45.62 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

5KU68797

(continued)

02/02/2021

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
SM ENERGY COMPANY CUSIP: 78454L100 Symbol: SM							
04/23/2020	100.00	189.98	Various	173.06	0.00	16.92	Sale
04/23/2020	98.00	191.08	Various	172.33	0.00	18.75	Sale
04/23/2020	100.00	188.98	Various	213.60	24.79 D	0.17	Sale
04/28/2020	1.00	1.79	04/16/2020	1.70	0.00	0.09	Sale
Security Totals:		758.33		793.05		35.93	
PUT SPY 09/30/20 334 STANDARD & POORS DEPOSITORY CUSIP: Symbol: SPY200930P00334000							
09/29/2020	1.00	227.90	09/29/2020	206.08	0.00	21.82	Sell to Close
09/29/2020	1.00	199.90	09/29/2020	214.08	0.00	-14.18	Sell to Close
Security Totals:		427.80		420.16		7.64	
NEW RESIDENTIAL INVESTMENT CORP CUSIP: 64828T201 Symbol: NRZ							
04/02/2020	50.00	228.48	04/01/2020	220.00	0.00	8.48	Sale
CALL SPY 11/16/20 361 STANDARD & POORS DEPOSITORY CUSIP: Symbol: SPY201116C00361000							
11/16/2020	1.00	82.90	11/16/2020	80.08	0.00	2.82	Sell to Close
OPGEN INC COMMON STOCK CUSIP: 68373L307 Symbol: OPGN							
08/20/2020	115.00	296.68	Various	237.63	0.00	59.05	Sale
08/20/2020	35.00	96.23	08/19/2020	71.71	0.00	24.52	Sale
09/03/2020	50.00	110.98	Various	110.06	0.00	0.92	Sale
09/04/2020	46.00	100.77	Various	98.62	0.00	2.15	Sale
09/04/2020	96.00	210.33	Various	208.60	0.08 D	1.81	Sale
09/14/2020	18.00	39.22	08/31/2020	38.34	0.00	0.88	Sale
Security Totals:		854.21		764.96		89.33	
CALL AMD 12/31/20 92 ADVANCED MICRO DEVICES INC CUSIP: Symbol: AMD201231C00092000							
12/29/2020	1.00	115.90	12/28/2020	110.08	0.00	5.82	Sell to Close
PUT SPY 12/02/20 360 STANDARD & POORS DEPOSITORY CUSIP: Symbol: SPY201202P00360000							
11/24/2020	1.00	208.90	11/24/2020	222.08	0.00	-13.18	Sell to Close
AUTOWEB INC COMMON STOCK CUSIP: 05335B100 Symbol: AUTO							
06/19/2020	100.00	132.98	06/19/2020	124.00	0.00	8.98	Sale
08/19/2020	80.00	254.38	Various	270.45	0.38 D	-15.69	Sale
08/19/2020	48.00	158.38	08/19/2020	161.76	3.38 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

5KU68797

(continued)

02/02/2021

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
AUTOWEB INC COMMON STOCK CUSIP: 05335B100 Symbol: AUTO							
08/20/2020	22.00	69.50	Various	65.65	0.00	3.85	Sale
Security Totals:		615.24		621.86		-2.86	
PUT SPY 10/02/20 336 STANDARD & POORS DEPOSITORY CUSIP: Symbol: SPY201002P00336000							
09/30/2020	1.00	287.90	09/30/2020	282.08	0.00	5.82	Sell to Close
09/30/2020	1.00	311.90	09/30/2020	311.08	0.00	0.82	Sell to Close
10/01/2020	1.00	190.90	10/01/2020	197.08	0.00	-6.18	Sell to Close
Security Totals:		790.70		790.24		0.46	
CALL NIO 12/04/20 52 NIO INC ADS CUSIP: Symbol: NIO201204C00052000							
11/30/2020	1.00	273.90	11/30/2020	303.08	0.00	-29.18	Sell to Close
PUT ZM 10/02/20 515 ZOOM VIDEO COMMUNICATIONS INC CUSIP: Symbol: ZM201002P00515000							
09/28/2020	1.00	2,089.86	09/28/2020	1,960.08	0.00	129.78	Sell to Close
NEXTDECADE CORPORATION COMMON STOCK CUSIP: 65342K105 Symbol: NEXT							
09/08/2020	100.00	214.98	09/08/2020	211.00	0.00	3.98	Sale
CALL SPY 11/18/20 361 STANDARD & POORS DEPOSITORY CUSIP: Symbol: SPY201118C00361000							
11/16/2020	1.00	191.90	11/16/2020	188.08	0.00	3.82	Sell to Close
PUT JPM 11/13/20 115 JPMORGAN CHASE & CO CUSIP: Symbol: JPM201113P00115000							
11/11/2020	1.00	117.90	11/11/2020	109.08	0.00	8.82	Sell to Close
CALL AMD 10/23/20 85 ADVANCED MICRO DEVICES INC CUSIP: Symbol: AMD201023C00085000							
10/12/2020	1.00	257.90	10/12/2020	278.08	0.00	-20.18	Sell to Close
CALL AAPL 11/13/20 119 APPLE INC CUSIP: Symbol: AAPL201113C00119000							
11/06/2020	1.00	179.90	11/06/2020	186.08	6.18 D	0.00	Sell to Close
11/09/2020	1.00	190.90	11/09/2020	196.26	5.36 D	0.00	Sell to Close
11/09/2020	1.00	170.90	11/09/2020	176.44	0.00	-5.54	Sell to Close
Security Totals:		541.70		558.78		-5.54	
PUT SPY 10/05/20 334 STANDARD & POORS DEPOSITORY CUSIP: Symbol: SPY201005P00334000							
09/29/2020	1.00	404.90	09/28/2020	407.08	0.00	-2.18	Sell to Close
PUT ZM 10/02/20 510 ZOOM VIDEO COMMUNICATIONS INC CUSIP: Symbol: ZM201002P00510000							
09/28/2020	1.00	1,879.86	09/28/2020	1,890.08	0.00	-10.22	Sell to Close
PUT NKE 10/02/20 126 NIKE INC CLASS B CUSIP: Symbol: NKE201002P00126000							
09/24/2020	1.00	204.89	09/24/2020	211.09	6.2 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

5KU68797

(continued)

02/02/2021

SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

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

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PUT NKE 10/02/20 126 NIKE INC CLASS B CUSIP: Symbol: NKE201002P00126000							
09/24/2020	1.00	214.89	09/24/2020	212.49	0.00	2.40	Sell to Close
09/24/2020	1.00	208.89	09/24/2020	216.29	7.4 D	0.00	Sell to Close
09/24/2020	1.00	203.89	09/24/2020	203.28	0.00	0.61	Sell to Close
09/24/2020	1.00	217.89	09/24/2020	197.09	0.00	20.80	Sell to Close
09/24/2020	2.00	407.80	Various	407.18	1.19 D	1.81	Sell to Close
Security Totals:		1,458.25		1,447.42		25.62	
CALL AAPL 11/13/20 120 APPLE INC CUSIP: Symbol: AAPL201113C00120000							
11/09/2020	1.00	192.90	11/09/2020	200.08	7.18 D	0.00	Sell to Close
11/09/2020	1.00	213.90	11/09/2020	200.08	0.00	13.82	Sell to Close
11/09/2020	1.00	163.90	11/09/2020	178.26	14.36 D	0.00	Sell to Close
11/12/2020	2.00	155.82	Various	200.52	0.00	-44.70	Sell to Close
Security Totals:		726.52		778.94		-30.88	
HOTH THERAPEUTICS INC COMMON STOCK CUSIP: 44148G105 Symbol: HOTH							
06/24/2020	100.00	257.48	06/08/2020	285.00	27.52 D	0.00	Sale
06/24/2020	100.00	259.48	06/11/2020	293.52	34.04 D	0.00	Sale
06/30/2020	50.00	140.98	06/11/2020	147.52	6.54 D	0.00	Sale
07/07/2020	100.00	250.98	Various	281.76	30.78 D	0.00	Sale
07/08/2020	25.00	76.61	Various	59.96	0.00	16.65	Sale
07/08/2020	185.00	554.96	Various	502.29	0.29 D	52.96	Sale
07/13/2020	1.00	2.54	07/01/2020	2.40	0.00	0.14	Sale
08/18/2020	99.00	284.61	08/13/2020	266.31	0.00	18.30	Sale
08/24/2020	1.00	2.43	08/13/2020	2.69	0.00	-0.26	Sale
Security Totals:		1,830.07		1,841.45		87.79	
CALL NIO 03/19/21 50 NIO INC ADS CUSIP: Symbol: NIO210319C00050000							
12/11/2020	1.00	714.89	12/11/2020	720.08	0.00	-5.19	Sell to Close
CALL ZM 11/20/20 440 ZOOM VIDEO COMMUNICATIONS INC CUSIP: Symbol: ZM201120C00440000							
11/19/2020	1.00	214.90	11/19/2020	370.08	155.18 D	0.00	Sell to Close
11/19/2020	3.00	689.73	Various	898.42	228.52 D	19.83	Sell to Close

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APEX CLEARING

Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B*

OMB No. 1545-0715

5KU68797

(continued)

02/02/2021

SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

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CALL ZM 11/20/20 440 ZOOM VIDEO COMMUNICATIONS INC CUSIP: Symbol: ZM201120C00440000							
11/19/2020	1.00	264.90	11/19/2020	348.60	0.00	-83.70	Sell to Close
11/19/2020	2.00	511.81	Various	613.68	163.52 D	61.65	Sell to Close
Security Totals:		1,681.34		2,230.78		-2.22	
***ITERUM THERAPEUTICS PLC ORDINARY SHARE CUSIP: G6333L101 Symbol: ITRM							
06/15/2020	100.00	154.98	06/12/2020	142.00	0.00	12.98	Sale
06/15/2020	100.00	157.43	06/12/2020	142.00	0.00	15.43	Sale
06/30/2020	30.00	39.28	Various	42.32	3.04 D	0.00	Sale
06/30/2020	34.00	44.18	06/29/2020	47.60	3.42 D	0.00	Sale
06/30/2020	50.00	65.48	Various	70.70	5.22 D	0.00	Sale
07/01/2020	20.00	26.18	Various	26.38	0.2 D	0.00	Sale
07/01/2020	120.00	153.58	Various	154.32	4.54 D	3.80	Sale
07/01/2020	20.00	25.99	Various	25.86	0.01 D	0.14	Sale
07/06/2020	100.00	119.11	Various	121.39	2.28 D	0.00	Sale
07/14/2020	100.00	101.98	07/13/2020	121.02	19.04 D	0.00	Sale
07/14/2020	100.00	100.98	Various	128.33	27.35 D	0.00	Sale
07/14/2020	200.00	199.97	Various	245.34	40.17 D	-5.20	Sale
07/14/2020	200.00	203.97	Various	238.32	0.00	-34.35	Sale
07/14/2020	250.00	257.46	Various	293.37	35.91 D	0.00	Sale
07/14/2020	600.00	596.31	Various	707.81	111.50 D	0.00	Sale
07/14/2020	1,090.00	1,100.74	Various	1,277.16	176.42 D	0.00	Sale
07/14/2020	150.00	151.47	Various	196.70	45.23 D	0.00	Sale
07/15/2020	80.00	82.38	Various	86.96	0.00	-4.58	Sale
07/15/2020	20.00	20.58	Various	21.61	0.00	-1.03	Sale
07/15/2020	100.00	104.11	07/13/2020	109.13	0.00	-5.02	Sale
07/15/2020	200.00	203.97	Various	208.01	0.00	-4.04	Sale
07/15/2020	200.00	211.97	Various	217.33	0.00	-5.36	Sale
07/16/2020	100.00	108.98	Various	107.50	0.00	1.48	Sale

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APEX CLEARING

Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B*

OMB No. 1545-0715

5KU68797

(continued)

02/02/2021

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
07/20/2020	143.00	151.55	Various	150.91	0.00	0.64	Sale
Security Totals:		4,382.63		4,882.07		-25.11	
PUT SPY 10/05/20 333			STANDARD & POORS DEPOSITORY CUSIP: Symbol: SPY201005P00333000				
09/29/2020	1.00	389.90	09/29/2020	383.08	0.00	6.82	Sell to Close
TENAX THERAPEUTICS INC			COMMON STOCK CUSIP: 88032L209 Symbol: TENX				
06/02/2020	1,100.00	2,012.82	Various	2,041.00	0.00	-28.18	Sale
CALL AMD 10/23/20 80			ADVANCED MICRO DEVICES INC CUSIP: Symbol: AMD201023C00080000				
10/21/2020	1.00	99.90	10/21/2020	98.08	0.00	1.82	Sell to Close
10/21/2020	1.00	96.90	10/21/2020	99.08	0.00	-2.18	Sell to Close
Security Totals:		196.80		197.16		-0.36	
CALL VZ 10/30/20 60			VERIZON COMMUNICATIONS CUSIP: Symbol: VZ201030C00060000				
10/09/2020	1.00	78.90	10/09/2020	75.08	0.00	3.82	Sell to Close
10/09/2020	2.00	143.82	Various	141.16	0.00	2.66	Sell to Close
10/12/2020	1.00	71.90	10/09/2020	78.44	6.54 D	0.00	Sell to Close
10/12/2020	1.00	67.90	10/09/2020	71.08	3.18 D	0.00	Sell to Close
10/12/2020	1.00	75.90	10/09/2020	74.62	0.00	1.28	Sell to Close
10/12/2020	1.00	68.90	10/09/2020	75.26	6.36 D	0.00	Sell to Close
Security Totals:		507.32		515.64		7.76	
PUT SPY 11/06/20 342			STANDARD & POORS DEPOSITORY CUSIP: Symbol: SPY201106P00342000				
11/04/2020	1.00	467.89	11/04/2020	423.08	0.00	44.81	Sell to Close
11/04/2020	2.00	515.81	Various	697.16	93.18 D	-88.17	Sell to Close
11/04/2020	2.00	535.81	11/04/2020	692.16	156.35 D	0.00	Sell to Close
11/04/2020	2.00	537.81	Various	787.52	249.71 D	0.00	Sell to Close
11/04/2020	2.00	585.81	Various	627.20	0.00	-41.39	Sell to Close
11/04/2020	2.00	579.81	Various	754.03	58.52 D	-115.70	Sell to Close
11/04/2020	3.00	863.73	Various	1,183.12	319.39 D	0.00	Sell to Close
Security Totals:		4,086.67		5,164.27		-200.45	
JANONE INC			COMMON STOCK CUSIP: 47089W104 Symbol: JAN				
07/21/2020	100.00	392.98	07/21/2020	367.00	0.00	25.98	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

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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
JANONE INC COMMON STOCK CUSIP: 47089W104 Symbol: JAN							
08/19/2020	15.00	83.38	08/18/2020	75.45	0.00	7.93	Sale
Security Totals:		476.36		442.45		33.91	
EXELA TECHNOLOGIES INC COMMON STOCK CUSIP: 30162V102 Symbol: XELA							
05/07/2020	1,000.00	314.47	05/04/2020	283.00	0.00	31.47	Sale
06/10/2020	300.00	288.91	06/09/2020	241.50	0.00	47.41	Sale
06/10/2020	200.00	203.97	06/09/2020	161.00	0.00	42.97	Sale
06/10/2020	1,000.00	602.36	Various	791.00	188.64 D	0.00	Sale
06/10/2020	1,000.00	629.76	Various	916.65	286.89 D	0.00	Sale
06/15/2020	800.00	396.21	Various	776.81	380.60 D	0.00	Sale
06/16/2020	100.00	62.58	06/10/2020	90.67	28.09 D	0.00	Sale
06/16/2020	100.00	61.98	06/10/2020	90.67	28.69 D	0.00	Sale
06/16/2020	200.00	126.07	06/10/2020	208.69	82.62 D	0.00	Sale
06/16/2020	200.00	119.97	Various	225.56	105.59 D	0.00	Sale
06/16/2020	300.00	179.80	Various	366.32	186.52 D	0.00	Sale
06/16/2020	300.00	187.45	Various	376.12	188.67 D	0.00	Sale
06/16/2020	600.00	350.92	Various	604.52	253.60 D	0.00	Sale
06/16/2020	400.00	255.90	Various	397.47	141.57 D	0.00	Sale
06/18/2020	100.00	57.87	06/10/2020	97.81	39.94 D	0.00	Sale
06/23/2020	300.00	163.27	Various	314.93	151.66 D	0.00	Sale
06/24/2020	100.00	55.98	06/10/2020	115.74	59.76 D	0.00	Sale
06/26/2020	200.00	109.95	Various	185.91	75.96 D	0.00	Sale
06/26/2020	100.00	59.98	06/11/2020	105.44	45.46 D	0.00	Sale
06/26/2020	200.00	119.97	Various	201.27	81.30 D	0.00	Sale
06/26/2020	300.00	161.92	Various	274.63	112.71 D	0.00	Sale
06/26/2020	300.00	179.95	Various	222.63	42.68 D	0.00	Sale
06/26/2020	300.00	173.92	Various	285.61	111.69 D	0.00	Sale
06/29/2020	100.00	59.88	Various	71.94	12.06 D	0.00	Sale
06/29/2020	100.00	59.88	Various	66.30	8.91 D	2.49	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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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
EXELA TECHNOLOGIES INC COMMON STOCK CUSIP: 30162V102 Symbol: XELA							
06/29/2020	188.00	107.13	Various	156.12	48.99 D	0.00	Sale
06/29/2020	200.00	119.35	Various	162.91	43.56 D	0.00	Sale
06/29/2020	629.00	393.36	Various	446.17	67.35 D	14.54	Sale
06/29/2020	1,000.00	626.86	Various	802.64	175.91 D	0.13	Sale
06/30/2020	14.00	8.44	06/29/2020	8.53	0.09 D	0.00	Sale
06/30/2020	150.00	90.93	Various	103.24	12.31 D	0.00	Sale
06/30/2020	200.00	106.02	Various	101.91	2.93 D	7.04	Sale
06/30/2020	300.00	145.45	Various	204.29	58.84 D	0.00	Sale
06/30/2020	300.00	155.95	Various	153.10	8.87 D	11.72	Sale
06/30/2020	300.00	149.95	Various	157.51	9.92 D	2.36	Sale
07/06/2020	100.00	43.29	Various	50.79	7.50 D	0.00	Sale
07/06/2020	100.00	44.49	07/02/2020	58.93	14.44 D	0.00	Sale
07/06/2020	200.00	86.37	Various	106.53	21.08 D	0.92	Sale
07/06/2020	100.00	41.98	06/30/2020	60.83	18.85 D	0.00	Sale
07/07/2020	500.00	224.08	Various	248.27	28.65 D	4.46	Sale
07/10/2020	1.00	0.50	07/02/2020	0.55	0.05 D	0.00	Sale
07/10/2020	99.00	51.25	Various	53.00	2.31 D	0.56	Sale
07/29/2020	300.00	163.15	Various	218.54	55.39 D	0.00	Sale
07/29/2020	1,000.00	553.86	Various	719.90	166.04 D	0.00	Sale
08/06/2020	500.00	283.63	Various	380.89	97.26 D	0.00	Sale
08/06/2020	1,000.00	568.36	Various	831.14	262.78 D	0.00	Sale
08/06/2020	500.00	278.43	Various	430.98	152.55 D	0.00	Sale
08/06/2020	1,000.00	566.86	Various	817.56	250.70 D	0.00	Sale
08/06/2020	949.00	545.55	Various	731.58	186.03 D	0.00	Sale
08/06/2020	1,000.00	566.76	Various	843.72	276.96 D	0.00	Sale
08/07/2020	200.00	113.97	Various	140.07	26.10 D	0.00	Sale
08/07/2020	400.00	222.01	Various	350.03	128.02 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

5KU68797

(continued)

02/02/2021

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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EXELA TECHNOLOGIES INC COMMON STOCK CUSIP: 30162V102 Symbol: XELA							
08/07/2020	1,050.00	579.46	Various	721.63	144.98 D	2.81	Sale
08/19/2020	500.00	258.53	Various	367.20	108.67 D	0.00	Sale
08/20/2020	400.00	187.94	Various	288.56	0.14 D	-100.48	Sale
08/21/2020	500.00	235.93	Various	266.95	0.00	-31.02	Sale
08/25/2020	100.00	46.54	Various	49.06	0.00	-2.52	Sale
09/01/2020	1.00	0.40	08/20/2020	0.48	0.00	-0.08	Sale
Security Totals:		12,549.70		17,505.80		34.78	
EDISON NATION INC COMMON STOCK CUSIP: 28103E106 Symbol: EDNT							
04/16/2020	150.00	637.46	04/16/2020	607.50	0.00	29.96	Sale
04/16/2020	350.00	1,086.73	Various	1,387.54	0.00	-300.81	Sale
04/16/2020	200.00	661.96	Various	799.00	137.04 D	0.00	Sale
06/23/2020	40.00	106.38	06/23/2020	122.40	0.00	-16.02	Sale
Security Totals:		2,492.53		2,916.44		-286.87	
CALL PLTR 12/04/20 24 PALANTIR TECHNOLOGIES INC CL A CUSIP: Symbol: PLTR201204C00024000							
12/04/2020	1.00	39.90	12/04/2020	42.08	0.00	-2.18	Sell to Close
PUT SPY 10/28/20 330 STANDARD & POORS DEPOSITORY CUSIP: Symbol: SPY201028P00330000							
10/28/2020	1.00	139.90	10/28/2020	137.08	0.00	2.82	Sell to Close
10/28/2020	1.00	165.90	10/28/2020	150.08	0.00	15.82	Sell to Close
10/28/2020	1.00	130.90	10/28/2020	130.08	0.00	0.82	Sell to Close
10/28/2020	1.00	143.90	10/28/2020	133.08	0.00	10.82	Sell to Close
10/28/2020	1.00	133.90	10/28/2020	130.08	0.00	3.82	Sell to Close
10/28/2020	1.00	133.90	10/28/2020	127.08	0.00	6.82	Sell to Close
Security Totals:		848.40		807.48		40.92	
PUT AAPL 11/13/20 117 APPLE INC CUSIP: Symbol: AAPL201113P00117000							
11/10/2020	1.00	214.90	11/10/2020	208.08	0.00	6.82	Sell to Close
CALL FB 09/18/20 270 FACEBOOK INC CL A CUSIP: Symbol: FB200918C00270000							
09/16/2020	1.00	206.89	09/16/2020	183.09	0.00	23.80	Sell to Close

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2020 Form 1099-B*

OMB No. 1545-0715

5KU68797

(continued)

02/02/2021

SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

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CALL IBM 12/18/20 130 INTL BUSINESS MACHINE CUSIP: Symbol: IBM201218C00130000							
12/07/2020	1.00	50.90	12/07/2020	53.08	0.00	-2.18	Sell to Close
PUT FB 09/18/20 270 FACEBOOK INC CL A CUSIP: Symbol: FB200918P00270000							
09/15/2020	1.00	354.89	09/15/2020	300.09	0.00	54.80	Sell to Close
09/15/2020	1.00	349.89	09/15/2020	315.09	0.00	34.80	Sell to Close
09/15/2020	1.00	334.89	09/15/2020	277.28	0.00	57.61	Sell to Close
09/15/2020	1.00	389.89	09/15/2020	289.09	0.00	100.80	Sell to Close
09/15/2020	1.00	346.89	09/15/2020	315.09	0.00	31.80	Sell to Close
09/15/2020	2.00	609.79	Various	655.18	25.19 D	-20.20	Sell to Close
Security Totals:		2,386.24		2,151.82		259.61	
POTBELLY CORPORATION CUSIP: 73754Y100 Symbol: PBPB							
05/27/2020	50.00	104.48	05/26/2020	94.50	0.00	9.98	Sale
05/27/2020	50.00	106.98	05/26/2020	94.50	0.00	12.48	Sale
05/27/2020	100.00	238.98	05/27/2020	188.00	0.00	50.98	Sale
05/27/2020	100.00	229.98	05/26/2020	181.00	0.00	48.98	Sale
06/03/2020	100.00	241.98	Various	210.80	0.00	31.18	Sale
06/03/2020	200.00	478.96	Various	389.90	0.00	89.06	Sale
06/04/2020	40.00	111.58	Various	83.40	0.00	28.18	Sale
06/05/2020	150.00	463.46	Various	311.90	0.00	151.56	Sale
06/05/2020	200.00	605.96	Various	413.19	0.00	192.77	Sale
06/08/2020	100.00	274.90	Various	234.70	0.00	40.20	Sale
06/09/2020	7.00	20.63	06/04/2020	18.34	0.00	2.29	Sale
06/29/2020	20.00	48.28	Various	42.80	0.21 D	5.69	Sale
06/30/2020	1.00	2.33	06/26/2020	2.26	0.00	0.07	Sale
Security Totals:		2,928.50		2,265.29		663.42	
***JIAYIN GROUP INC AMERICAN DEPOSITORY SHARES CUSIP: 47737C104 Symbol: JFIN							
03/23/2020	30.00	94.48	03/23/2020	90.00	0.00	4.48	Sale
PUT AMZN 11/06/20 3150 AMAZON.COM INC CUSIP: Symbol: AMZN201106P03150000							
11/04/2020	1.00	3,971.82	11/04/2020	3,870.08	0.00	101.74	Sell to Close

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2020 Form 1099-B*

OMB No. 1545-0715

5KU68797

(continued)

02/02/2021

SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

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

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CALL FB 09/18/20	260	FACEBOOK INC CL A CUSIP: Symbol: FB200918C00260000					
09/17/2020	2.00	273.80	Various	344.37	0.00	-70.57	Sell to Close
09/17/2020	2.00	429.80	Various	440.18	10.38 D	0.00	Sell to Close
09/17/2020	1.00	220.89	09/17/2020	195.28	0.00	25.61	Sell to Close
Security Totals:		924.49		979.83		-44.96	
PUT FB 09/18/20	260	FACEBOOK INC CL A CUSIP: Symbol: FB200918P00260000					
09/17/2020	1.00	369.89	09/17/2020	370.09	0.2 D	0.00	Sell to Close
09/17/2020	1.00	404.89	09/17/2020	360.29	0.00	44.60	Sell to Close
Security Totals:		774.78		730.38		44.60	
SILVERSUN TECHNOLOGIES INC		COMMON STOCK CUSIP: 82846H207 Symbol: SSNT					
09/03/2020	67.00	186.03	Various	190.11	4.41 D	0.33	Sale
09/09/2020	51.00	137.17	Various	132.90	0.34 D	4.61	Sale
09/14/2020	52.00	132.59	Various	132.04	0.00	0.55	Sale
Security Totals:		455.79		455.05		5.49	
PUT AAPL 12/18/20	92.50	APPLE INC ADJ 4:1 STOCK SPLIT CUSIP: Symbol: AAPL201218P00092500					
09/10/2020	1.00	264.89	09/10/2020	249.09	0.00	15.80	Sell to Close
***OXBRIDGE RE HOLDINGS		LIMITED CUSIP: G6856M106 Symbol: OXBR					
08/11/2020	92.00	216.18	08/11/2020	207.92	0.00	8.26	Sale
08/11/2020	8.00	23.26	08/11/2020	18.08	0.00	5.18	Sale
08/11/2020	150.00	380.97	Various	364.00	0.00	16.97	Sale
Security Totals:		620.41		590.00		30.41	
CALL NFLX 12/04/20	500	NETFLIX INC CUSIP: Symbol: NFLX201204C00500000					
11/25/2020	1.00	404.90	11/25/2020	405.08	0.00	-0.18	Sell to Close
11/25/2020	1.00	369.90	11/25/2020	425.44	55.54 D	0.00	Sell to Close
11/25/2020	1.00	379.90	11/25/2020	395.80	15.9 D	0.00	Sell to Close
11/25/2020	1.00	374.90	11/25/2020	410.62	35.72 D	0.00	Sell to Close
11/25/2020	1.00	379.90	11/25/2020	365.98	0.00	13.92	Sell to Close
11/25/2020	1.00	374.90	11/25/2020	450.26	75.36 D	0.00	Sell to Close
11/25/2020	1.00	502.89	11/25/2020	445.08	0.00	57.81	Sell to Close

SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

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Box 12: Basis Reported to the IRS

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1a - Description of property | CUSIP | Symbol

1c - Date Sold or Disposed	Quantity	1d - Proceeds	1b - Date Acquired	1e - Cost or Other Basis	1f - Accrued Market Discount (M) & 1g - Wash Sale Loss Disallowed (D)	Gain or Loss (-)	Additional Notes
CALL NFLX 12/04/20 500 NETFLIX INC CUSIP: Symbol: NFLX201204C00500000							
11/25/2020	1.00	369.90	11/25/2020	435.08	65.18 D	0.00	Sell to Close
11/25/2020	1.00	384.90	11/25/2020	350.08	0.00	34.82	Sell to Close
Security Totals:		3,542.09		3,683.42		106.37	
ZOSANO PHARMA CORPORATION COMMON STOCK CUSIP: 98979H202 Symbol: ZSAN							
04/09/2020	600.00	380.62	04/09/2020	358.92	0.00	21.70	Sale
MIRAGEN THERAPEUTICS INC COMMON STOCK CUSIP: 60463E103 Symbol: MGEN							
07/23/2020	270.00	413.06	Various	375.30	0.00	37.76	Sale
07/23/2020	226.00	345.74	07/23/2020	314.14	0.00	31.60	Sale
07/24/2020	152.00	220.37	07/24/2020	234.08	0.00	-13.71	Sale
07/24/2020	202.00	317.11	07/23/2020	280.78	0.00	36.33	Sale
07/24/2020	350.00	514.44	Various	538.70	0.00	-24.26	Sale
Security Totals:		1,810.72		1,743.00		67.72	
CHEMBIO DIAGNOSTICS INC CUSIP: 163572209 Symbol: CEMI							
07/07/2020	20.00	90.98	07/06/2020	93.40	2.42 D	0.00	Sale
07/07/2020	75.00	293.98	Various	347.93	0.00	-53.95	Sale
07/07/2020	100.00	392.98	Various	459.06	51.29 D	-14.79	Sale
07/08/2020	1.00	4.23	07/07/2020	4.36	0.00	-0.13	Sale
08/14/2020	1.00	5.19	08/14/2020	5.06	0.00	0.13	Sale
08/14/2020	20.00	103.08	08/14/2020	101.10	0.00	1.98	Sale
08/14/2020	35.00	182.68	08/14/2020	176.93	0.00	5.75	Sale
08/14/2020	44.00	229.22	08/14/2020	222.42	0.00	6.80	Sale
08/26/2020	50.00	236.93	08/24/2020	249.25	12.32 D	0.00	Sale
08/27/2020	100.00	382.98	Various	507.32	124.34 D	0.00	Sale
08/27/2020	100.00	388.98	Various	601.39	212.41 D	0.00	Sale
09/04/2020	20.00	67.58	08/27/2020	163.05	95.47 D	0.00	Sale
09/04/2020	30.00	106.78	Various	267.90	161.12 D	0.00	Sale
09/04/2020	50.00	177.73	Various	441.62	263.89 D	0.00	Sale
09/04/2020	50.00	171.23	Various	453.20	281.97 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

5KU68797

(continued)

02/02/2021

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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CHEMBIO DIAGNOSTICS INC CUSIP: 163572209 Symbol: CEMI							
09/04/2020	80.00	289.58	Various	740.28	450.70 D	0.00	Sale
09/04/2020	100.00	342.48	Various	803.14	460.66 D	0.00	Sale
09/04/2020	100.00	336.98	Various	676.41	339.43 D	0.00	Sale
09/08/2020	33.00	135.61	Various	230.62	0.00	-95.01	Sale
09/08/2020	34.00	139.72	Various	260.21	0.00	-120.49	Sale
09/08/2020	100.00	363.48	Various	867.09	504.68 D	1.07	Sale
09/08/2020	78.00	315.88	Various	636.49	174.83 D	-145.78	Sale
09/08/2020	100.00	378.98	Various	642.76	280.42 D	16.64	Sale
Security Totals:		5,137.26		8,950.99		-397.78	
***AURORA CANNABIS INC COM NEW CUSIP: 05156X884 Symbol: ACB							
05/21/2020	10.00	164.58	05/21/2020	150.00	0.00	14.58	Sale
***SUNDIAL GROWERS INC COM CUSIP: 86730L109 Symbol: SNDL							
09/16/2020	100.00	27.58	08/31/2020	38.30	0.00	-10.72	Sale
11/24/2020	250.00	84.49	11/24/2020	84.15	0.00	0.34	Sale
11/24/2020	630.00	222.31	11/24/2020	212.06	0.00	10.25	Sale
11/24/2020	220.00	68.95	Various	75.44	0.00	-6.49	Sale
Security Totals:		403.33		409.95		-6.62	
PUT NIO 11/27/20 53 NIO INC ADS CUSIP: Symbol: NIO201127P00053000							
11/25/2020	1.00	89.90	11/25/2020	91.08	0.00	-1.18	Sell to Close
11/25/2020	1.00	104.90	11/25/2020	102.08	0.00	2.82	Sell to Close
Security Totals:		194.80		193.16		1.64	
CALL LI 12/31/20 27 LI AUTO INC ADS CUSIP: Symbol: LI201231C00027000							
12/29/2020	1.00	103.90	12/29/2020	94.08	0.00	9.82	Sell to Close
RUMBLEON INC CLASS B COMMON STOCK CUSIP: 781386305 Symbol: RMBL							
07/17/2020	70.00	1,314.56	Various	1,308.50	0.00	6.06	Sale
PUT SPY 10/07/20 336 STANDARD & POORS DEPOSITORY CUSIP: Symbol: SPY201007P00336000							
09/30/2020	1.00	392.90	09/30/2020	385.08	0.00	7.82	Sell to Close
10/01/2020	1.00	360.90	10/01/2020	360.08	0.00	0.82	Sell to Close
10/05/2020	1.00	174.90	10/05/2020	339.59	0.00	-164.69	Sell to Close

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SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

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PUT SPY 10/07/20 336 STANDARD & POORS DEPOSITORY CUSIP: Symbol: SPY201007P00336000							
10/05/2020	6.00	1,541.47	10/05/2020	1,662.48	121.01 D	0.00	Sell to Close
10/05/2020	6.00	1,019.48	Various	2,048.99	578.84 D	-450.67	Sell to Close
10/05/2020	10.00	1,709.13	Various	2,885.81	1176.68 D	0.00	Sell to Close
10/05/2020	5.00	874.57	Various	1,775.91	901.34 D	0.00	Sell to Close
10/05/2020	6.00	1,043.48	Various	2,203.48	0.00	-1,160.00	Sell to Close
10/05/2020	10.00	1,679.13	Various	3,503.31	1824.18 D	0.00	Sell to Close
Security Totals:		8,795.96		15,164.73		-1,766.72	
CALL SQ 12/31/20 250 SQUARE INC CUSIP: Symbol: SQ201231C00250000							
12/23/2020	1.00	172.90	12/23/2020	147.08	0.00	25.82	Sell to Close
12/23/2020	1.00	151.90	12/23/2020	148.08	0.00	3.82	Sell to Close
12/23/2020	1.00	139.90	12/23/2020	150.26	10.36 D	0.00	Sell to Close
12/23/2020	1.00	158.90	12/23/2020	139.08	0.00	19.82	Sell to Close
12/23/2020	1.00	157.90	12/23/2020	151.08	0.00	6.82	Sell to Close
12/23/2020	1.00	164.90	12/23/2020	141.08	0.00	23.82	Sell to Close
12/23/2020	1.00	163.90	12/23/2020	151.08	0.00	12.82	Sell to Close
12/23/2020	1.00	165.90	12/23/2020	149.08	0.00	16.82	Sell to Close
12/23/2020	1.00	163.90	12/23/2020	151.08	0.00	12.82	Sell to Close
12/23/2020	1.00	172.90	12/23/2020	161.08	0.00	11.82	Sell to Close
12/23/2020	1.00	155.90	12/23/2020	168.08	12.18 D	0.00	Sell to Close
12/23/2020	1.00	154.90	12/23/2020	189.43	34.53 D	0.00	Sell to Close
12/23/2020	1.00	177.90	12/23/2020	154.08	0.00	23.82	Sell to Close
12/23/2020	1.00	156.90	12/23/2020	155.08	0.00	1.82	Sell to Close
12/23/2020	1.00	157.90	12/23/2020	171.25	13.35 D	0.00	Sell to Close
12/23/2020	1.00	165.90	12/23/2020	152.08	0.00	13.82	Sell to Close
12/23/2020	1.00	180.90	12/23/2020	147.08	0.00	33.82	Sell to Close
12/23/2020	1.00	162.90	12/23/2020	139.95	0.00	22.95	Sell to Close
12/23/2020	1.00	163.90	12/23/2020	149.08	0.00	14.82	Sell to Close
12/23/2020	1.00	137.90	12/23/2020	151.08	13.18 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 SQ 12/31/20	250	SQUARE INC CUSIP: Symbol: SQ201231C00250000					
12/23/2020	1.00	152.90	12/23/2020	152.08	0.00	0.82	Sell to Close
12/23/2020	2.00	311.82	Various	346.34	34.52 D	0.00	Sell to Close
12/23/2020	2.00	323.82	Various	346.04	22.22 D	0.00	Sell to Close
12/23/2020	2.00	331.82	12/23/2020	298.16	0.00	33.66	Sell to Close
12/23/2020	2.00	331.82	12/23/2020	298.17	0.00	33.65	Sell to Close
12/23/2020	2.00	335.82	Various	316.38	0.87 D	20.31	Sell to Close
12/23/2020	2.00	308.82	Various	301.16	0.00	7.66	Sell to Close
12/23/2020	3.00	491.73	12/23/2020	447.24	0.00	44.49	Sell to Close
12/23/2020	1.00	156.90	12/23/2020	145.08	0.00	11.82	Sell to Close
12/23/2020	1.00	161.90	12/23/2020	145.08	0.00	16.82	Sell to Close
12/24/2020	1.00	73.90	12/24/2020	335.15	0.00	-261.25	Sell to Close
12/24/2020	1.00	68.90	12/24/2020	136.08	67.18 D	0.00	Sell to Close
12/24/2020	1.00	62.90	12/24/2020	417.98	355.08 D	0.00	Sell to Close
12/24/2020	1.00	70.90	12/24/2020	252.44	181.54 D	0.00	Sell to Close
12/24/2020	1.00	70.90	12/24/2020	196.26	125.36 D	0.00	Sell to Close
12/24/2020	2.00	119.82	Various	438.88	319.06 D	0.00	Sell to Close
12/24/2020	2.00	119.82	Various	499.22	379.40 D	0.00	Sell to Close
12/24/2020	1.00	68.90	12/24/2020	302.62	233.72 D	0.00	Sell to Close
12/24/2020	2.00	122.82	Various	542.56	419.74 D	0.00	Sell to Close
12/24/2020	2.00	127.82	Various	215.50	87.68 D	0.00	Sell to Close
12/24/2020	2.00	343.82	Various	278.52	0.00	65.30	Sell to Close
12/24/2020	3.00	206.74	Various	517.63	327.72 D	16.83	Sell to Close
12/24/2020	4.00	263.66	Various	599.38	360.39 D	24.67	Sell to Close
12/24/2020	3.00	194.74	Various	632.98	438.24 D	0.00	Sell to Close
12/24/2020	7.00	454.41	Various	832.32	425.41 D	47.50	Sell to Close
12/24/2020	3.00	203.74	Various	483.96	296.05 D	15.83	Sell to Close
12/24/2020	10.00	659.15	Various	972.86	384.06 D	70.35	Sell to Close

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APEX CLEARING

Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B*

OMB No. 1545-0715

5KU68797

(continued)

02/02/2021

SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

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

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CALL SQ 12/31/20 250 SQUARE INC CUSIP: Symbol: SQ201231C00250000							
12/24/2020	1.00	72.91	12/24/2020	75.06	0.00	-2.15	Sell to Close
12/24/2020	13.00	856.91	Various	1,220.45	403.06 D	39.52	Sell to Close
Security Totals:		10,298.11		14,811.75		431.26	
PUT ROKU 12/24/20 340 ROKU INC CUSIP: Symbol: ROKU201224P00340000							
12/23/2020	1.00	95.90	12/22/2020	99.08	0.00	-3.18	Sell to Close
PUT MSFT 09/18/20 200 MICROSOFT CORP CUSIP: Symbol: MSFT200918P00200000							
09/17/2020	1.00	85.89	09/17/2020	107.28	21.39 D	0.00	Sell to Close
09/17/2020	2.00	171.80	Various	193.18	21.38 D	0.00	Sell to Close
09/17/2020	2.00	273.80	09/17/2020	240.18	0.00	33.62	Sell to Close
09/17/2020	3.00	431.71	Various	358.27	0.00	73.44	Sell to Close
09/17/2020	1.00	89.89	09/17/2020	95.28	0.00	-5.39	Sell to Close
09/17/2020	5.00	604.52	Various	524.95	0.00	79.57	Sell to Close
09/17/2020	5.00	724.52	Various	621.45	0.00	103.07	Sell to Close
09/17/2020	10.00	1,189.04	Various	1,248.90	122.31 D	62.45	Sell to Close
09/17/2020	5.00	599.52	Various	602.39	16.13 D	13.26	Sell to Close
09/17/2020	11.00	1,868.94	Various	1,376.00	0.00	492.94	Sell to Close
09/17/2020	10.00	1,619.03	Various	1,274.90	0.00	344.13	Sell to Close
09/18/2020	1.00	97.89	09/18/2020	122.48	0.00	-24.59	Sell to Close
Security Totals:		7,756.55		6,765.26		1,172.50	
CALL MSFT 09/18/20 200 MICROSOFT CORP CUSIP: Symbol: MSFT200918C00200000							
09/17/2020	1.00	235.89	09/17/2020	241.09	5.2 D	0.00	Sell to Close
09/18/2020	2.00	159.80	09/18/2020	176.18	0.00	-16.38	Sell to Close
09/18/2020	4.00	295.62	09/18/2020	352.36	0.00	-56.74	Sell to Close
09/18/2020	1.00	100.89	09/18/2020	97.29	0.00	3.60	Sell to Close
Security Totals:		792.20		866.92		-69.52	
CALL UPS 01/15/21 180 UNITED PARCEL SVC INC CUSIP: Symbol: UPS210115C00180000							
12/14/2020	1.00	231.90	12/14/2020	250.08	18.18 D	0.00	Sell to Close
12/14/2020	1.00	232.90	12/14/2020	244.26	11.36 D	0.00	Sell to Close

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SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

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CALL UPS 01/15/21	180	UNITED PARCEL SVC INC CUSIP: Symbol: UPS210115C00180000					
12/14/2020	1.00	209.90	12/14/2020	246.62	36.72 D	0.00	Sell to Close
12/14/2020	1.00	204.90	12/14/2020	231.44	26.54 D	0.00	Sell to Close
12/15/2020	1.00	194.90	12/14/2020	317.16	122.26 D	0.00	Sell to Close
12/15/2020	1.00	185.90	12/14/2020	256.80	70.9 D	0.00	Sell to Close
12/15/2020	1.00	194.90	12/14/2020	290.98	96.08 D	0.00	Sell to Close
12/15/2020	1.00	175.90	12/14/2020	335.34	159.44 D	0.00	Sell to Close
12/16/2020	1.00	233.90	12/16/2020	212.08	0.00	21.82	Sell to Close
12/16/2020	1.00	218.90	12/15/2020	172.08	0.00	46.82	Sell to Close
12/16/2020	1.00	219.90	12/14/2020	375.00	155.1 D	0.00	Sell to Close
12/16/2020	1.00	203.90	12/14/2020	401.60	197.7 D	0.00	Sell to Close
12/16/2020	1.00	221.90	12/15/2020	167.08	0.00	54.82	Sell to Close
12/16/2020	1.00	206.90	12/14/2020	395.78	188.88 D	0.00	Sell to Close
12/16/2020	1.00	206.90	12/14/2020	387.96	181.06 D	0.00	Sell to Close
12/16/2020	1.00	207.90	12/14/2020	384.64	176.74 D	0.00	Sell to Close
12/16/2020	1.00	207.90	12/14/2020	203.58	0.00	4.32	Sell to Close
12/16/2020	1.00	209.90	12/15/2020	312.54	102.64 D	0.00	Sell to Close
12/16/2020	1.00	208.90	12/15/2020	268.72	59.82 D	0.00	Sell to Close
12/16/2020	1.00	207.90	12/14/2020	350.18	142.28 D	0.00	Sell to Close
12/16/2020	1.00	212.90	12/15/2020	240.90	28 D	0.00	Sell to Close
12/16/2020	1.00	208.90	12/14/2020	382.82	173.92 D	0.00	Sell to Close
12/16/2020	1.00	207.90	12/14/2020	206.08	0.00	1.82	Sell to Close
12/16/2020	1.00	210.90	12/15/2020	193.26	0.00	17.64	Sell to Close
12/16/2020	1.00	209.90	12/15/2020	219.08	9.18 D	0.00	Sell to Close
12/16/2020	1.00	195.90	12/14/2020	370.52	174.62 D	0.00	Sell to Close
12/16/2020	1.00	210.90	12/15/2020	183.08	0.00	27.82	Sell to Close
12/16/2020	1.00	211.90	12/15/2020	183.08	0.00	28.82	Sell to Close
12/16/2020	1.00	195.90	12/14/2020	394.06	198.16 D	0.00	Sell to Close

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1a - Description of property | CUSIP | Symbol

1c - Date Sold or Disposed	Quantity	1d - Proceeds	1b - Date Acquired	1e - Cost or Other Basis	1f - Accrued Market Discount (M) & 1g - Wash Sale Loss Disallowed (D)	Gain or Loss (-)	Additional Notes
CALL UPS 01/15/21	180	UNITED PARCEL SVC INC CUSIP: Symbol: UPS210115C00180000					
12/16/2020	1.00	211.90	12/15/2020	175.08	0.00	36.82	Sell to Close
12/16/2020	1.00	197.90	12/14/2020	385.70	187.8 D	0.00	Sell to Close
12/16/2020	1.00	209.90	12/14/2020	206.08	0.00	3.82	Sell to Close
12/16/2020	1.00	201.90	12/14/2020	401.42	199.52 D	0.00	Sell to Close
12/16/2020	1.00	208.90	12/14/2020	206.08	0.00	2.82	Sell to Close
12/16/2020	1.00	218.90	12/14/2020	206.08	0.00	12.82	Sell to Close
12/16/2020	1.00	209.90	12/15/2020	178.08	0.00	31.82	Sell to Close
12/16/2020	1.00	192.90	12/14/2020	393.88	200.98 D	0.00	Sell to Close
12/16/2020	1.00	196.90	12/14/2020	400.24	203.34 D	0.00	Sell to Close
12/16/2020	1.00	207.90	12/14/2020	335.36	127.46 D	0.00	Sell to Close
12/18/2020	1.00	235.90	12/18/2020	233.08	0.00	2.82	Sell to Close
12/24/2020	1.00	171.90	12/24/2020	168.08	0.00	3.82	Sell to Close
12/24/2020	1.00	172.90	12/24/2020	166.08	0.00	6.82	Sell to Close
12/24/2020	1.00	173.90	12/24/2020	166.08	0.00	7.82	Sell to Close
12/24/2020	1.00	173.90	12/24/2020	167.08	0.00	6.82	Sell to Close
12/24/2020	1.00	174.90	12/24/2020	167.08	0.00	7.82	Sell to Close
12/24/2020	1.00	173.90	12/24/2020	167.08	0.00	6.82	Sell to Close
12/24/2020	1.00	178.90	12/24/2020	187.08	8.18 D	0.00	Sell to Close
12/24/2020	3.00	482.73	Various	497.24	14.51 D	0.00	Sell to Close
12/24/2020	1.00	182.90	12/24/2020	176.26	0.00	6.64	Sell to Close
12/28/2020	1.00	122.90	12/28/2020	164.95	42.05 D	0.00	Sell to Close
12/28/2020	1.00	163.90	12/28/2020	158.76	0.00	5.14	Sell to Close
12/28/2020	1.00	116.90	12/28/2020	156.59	39.69 D	0.00	Sell to Close
12/28/2020	1.00	120.90	12/28/2020	169.77	48.87 D	0.00	Sell to Close
12/28/2020	2.00	315.82	Various	336.67	20.85 D	0.00	Sell to Close
12/28/2020	3.00	479.73	Various	481.43	1.70 D	0.00	Sell to Close
12/28/2020	1.00	163.90	12/24/2020	149.59	0.00	14.31	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 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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CALL UPS 01/15/21 180 UNITED PARCEL SVC INC CUSIP: Symbol: UPS210115C00180000							
12/28/2020	2.00	327.82	Various	341.50	13.68 D	0.00	Sell to Close
12/29/2020	1.00	80.90	12/28/2020	177.31	96.41 D	0.00	Sell to Close
12/29/2020	1.00	97.90	12/28/2020	161.13	63.23 D	0.00	Sell to Close
12/30/2020	1.00	88.90	12/28/2020	214.49	125.59 D	0.00	Sell to Close
12/31/2020	1.00	43.90	12/29/2020	363.18	319.28 D	0.00	Sell to Close
12/31/2020	1.00	47.90	12/29/2020	209.59	161.69 D	0.00	Sell to Close
12/31/2020	1.00	42.90	12/29/2020	139.25	96.35 D	0.00	Sell to Close
12/31/2020	3.00	128.74	Various	578.52	449.78 D	0.00	Sell to Close
12/31/2020	2.00	81.83	Various	323.75	241.92 D	0.00	Sell to Close
12/31/2020	1.00	43.90	12/29/2020	285.83	241.93 D	0.00	Sell to Close
Security Totals:		12,698.67		17,572.25		360.81	
PUT SPY 11/06/20 348 STANDARD & POORS DEPOSITORY CUSIP: Symbol: SPY201106P00348000							
11/05/2020	1.00	172.90	11/05/2020	201.08	0.00	-28.18	Sell to Close
MEDICINOVA INC CUSIP: 58468P206 Symbol: MNOV							
07/27/2020	4.00	38.10	07/27/2020	42.32	0.00	-4.22	Sale
07/27/2020	20.00	205.18	07/27/2020	211.60	0.00	-6.42	Sale
07/27/2020	76.00	798.73	07/27/2020	804.08	0.00	-5.35	Sale
Security Totals:		1,042.01		1,058.00		-15.99	
CALL V 10/16/20 207.50 VISA INC CUSIP: Symbol: V201016C00207500							
10/12/2020	1.00	179.90	10/12/2020	166.98	0.00	12.92	Sell to Close
10/12/2020	1.00	194.90	10/12/2020	166.98	0.00	27.92	Sell to Close
10/12/2020	1.00	181.90	10/12/2020	166.99	0.00	14.91	Sell to Close
10/12/2020	2.00	337.82	10/12/2020	333.96	0.00	3.86	Sell to Close
10/12/2020	3.00	488.73	Various	499.04	0.00	-10.31	Sell to Close
10/12/2020	3.00	503.73	10/12/2020	500.94	0.00	2.79	Sell to Close
10/12/2020	1.00	161.90	10/12/2020	155.08	0.00	6.82	Sell to Close
Security Totals:		2,048.88		1,989.97		58.91	

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APEX CLEARING

Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B*

OMB No. 1545-0715

5KU68797

(continued)

02/02/2021

SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

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

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VERIFYME INC COMMON STOCK CUSIP: 92346X206 Symbol: VRME							
08/31/2020	29.00	111.92	08/31/2020	110.20	0.00	1.72	Sale
08/31/2020	40.00	152.78	Various	149.03	0.00	3.75	Sale
09/15/2020	1.00	3.61	08/31/2020	3.67	0.00	-0.06	Sale
Security Totals:		268.31		262.90		5.41	
PUT SPY 11/11/20 352 STANDARD & POORS DEPOSITORY CUSIP: Symbol: SPY201111P00352000							
11/10/2020	1.00	198.91	11/10/2020	208.08	0.00	-9.17	Sell to Close
CALL CVS 01/15/21 57.50 CVS HEALTH CORPORATION CUSIP: Symbol: CVS210115C00057500							
09/24/2020	1.00	344.89	09/24/2020	355.09	10.2 D	0.00	Sell to Close
10/02/2020	1.00	379.90	10/02/2020	355.28	0.00	24.62	Sell to Close
Security Totals:		724.79		710.37		24.62	
CALL V 10/16/20 202.50 VISA INC CUSIP: Symbol: V201016C00202500							
10/16/2020	1.00	21.90	10/16/2020	12.42	0.00	9.48	Sell to Close
10/16/2020	2.00	31.82	Various	43.16	11.34 D	0.00	Sell to Close
10/16/2020	2.00	39.82	Various	36.50	0.34 D	3.66	Sell to Close
Security Totals:		93.54		92.08		13.14	
CALL AMZN 12/31/20 3300 AMAZON.COM INC CUSIP: Symbol: AMZN201231C03300000							
12/22/2020	1.00	1,794.87	12/22/2020	2,205.08	410.21 D	0.00	Sell to Close
12/22/2020	1.00	2,599.85	12/22/2020	2,310.08	0.00	289.77	Sell to Close
12/22/2020	1.00	1,974.86	12/22/2020	2,925.51	950.65 D	0.00	Sell to Close
12/22/2020	1.00	1,914.86	12/22/2020	2,775.29	860.43 D	0.00	Sell to Close
12/22/2020	1.00	2,054.86	12/22/2020	2,755.73	0.00	-700.87	Sell to Close
Security Totals:		10,339.30		12,971.69		-411.10	
PUT NIO 11/27/20 50 NIO INC ADS CUSIP: Symbol: NIO201127P00050000							
11/23/2020	1.00	69.90	11/23/2020	96.26	26.36 D	0.00	Sell to Close
11/23/2020	1.00	99.90	11/23/2020	101.08	1.18 D	0.00	Sell to Close
11/23/2020	1.00	68.90	11/23/2020	106.44	37.54 D	0.00	Sell to Close
11/23/2020	1.00	67.90	11/23/2020	109.62	41.72 D	0.00	Sell to Close
11/24/2020	1.00	81.90	11/24/2020	120.80	38.9 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

5KU68797

(continued)

02/02/2021

SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

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

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PUT NIO 11/27/20 50 NIO INC ADS CUSIP: Symbol: NIO201127P00050000							
11/25/2020	1.00	134.90	11/25/2020	120.08	0.00	14.82	Sell to Close
11/25/2020	1.00	128.90	11/25/2020	158.98	30.08 D	0.00	Sell to Close
11/25/2020	1.00	112.90	11/25/2020	128.52	15.62 D	0.00	Sell to Close
11/25/2020	1.00	103.90	11/25/2020	134.16	30.26 D	0.00	Sell to Close
11/25/2020	1.00	142.90	11/25/2020	161.34	18.44 D	0.00	Sell to Close
11/25/2020	1.00	131.90	11/25/2020	133.70	0.00	-1.80	Sell to Close
Security Totals:		1,143.90		1,370.98		13.02	
DARE BIOSCIENCE INC COMMON STOCK CUSIP: 23666P101 Symbol: DARE							
08/11/2020	100.00	119.48	Various	115.82	0.00	3.66	Sale
08/11/2020	30.00	37.48	07/31/2020	33.45	0.00	4.03	Sale
08/11/2020	141.00	167.76	Various	168.92	4.02 D	2.86	Sale
08/12/2020	100.00	117.98	Various	111.49	0.00	6.49	Sale
08/12/2020	134.00	162.11	08/10/2020	155.44	0.00	6.67	Sale
08/12/2020	50.00	58.98	07/31/2020	55.75	0.00	3.23	Sale
08/12/2020	394.00	472.73	Various	458.69	0.00	14.04	Sale
08/12/2020	500.00	594.92	Various	562.05	0.00	32.87	Sale
08/31/2020	100.00	107.98	Various	113.03	5.05 D	0.00	Sale
08/31/2020	300.00	323.95	Various	343.06	19.11 D	0.00	Sale
08/31/2020	50.00	53.98	Various	58.83	4.85 D	0.00	Sale
09/01/2020	281.00	300.63	Various	336.64	36.01 D	0.00	Sale
09/01/2020	492.00	531.28	Various	581.88	50.60 D	0.00	Sale
09/08/2020	150.00	155.22	Various	176.72	0.00	-21.50	Sale
09/08/2020	300.00	310.45	Various	360.67	30.24 D	-19.98	Sale
09/08/2020	150.00	155.22	Various	170.73	0.00	-15.51	Sale
09/10/2020	77.00	90.07	Various	86.09	0.00	3.98	Sale
09/15/2020	1.00	1.06	09/04/2020	1.12	0.00	-0.06	Sale
Security Totals:		3,761.28		3,890.38		20.78	

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SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

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CALL BIDU 01/15/21 140 BAIDU INC CUSIP: Symbol: BIDU210115C00140000							
11/24/2020	1.00	444.90	11/24/2020	440.08	0.00	4.82	Sell to Close
SIGMA LABS INC COMMON STOCK CUSIP: 826598500 Symbol: SGLB							
05/19/2020	5.00	13.48	05/19/2020	12.08	0.00	1.40	Sale
05/19/2020	295.00	787.59	05/19/2020	712.42	0.00	75.17	Sale
05/20/2020	99.00	293.02	05/20/2020	265.34	0.00	27.68	Sale
05/20/2020	100.00	284.98	05/20/2020	291.00	6.02 D	0.00	Sale
06/01/2020	21.00	62.35	Various	52.68	0.00	9.67	Sale
06/03/2020	16.00	46.38	06/02/2020	42.08	0.00	4.30	Sale
08/25/2020	20.00	91.98	Various	103.30	0.00	-11.32	Sale
Security Totals:		1,579.78		1,478.90		106.90	
CALL UPS 01/15/21 175 UNITED PARCEL SVC INC CUSIP: Symbol: UPS210115C00175000							
12/28/2020	1.00	247.90	12/23/2020	414.08	166.18 D	0.00	Sell to Close
12/28/2020	1.00	251.90	12/23/2020	581.26	329.36 D	0.00	Sell to Close
12/31/2020	1.00	95.90	12/23/2020	739.44	643.54 D	0.00	Sell to Close
12/31/2020	1.00	108.90	12/28/2020	2,497.88	2388.98 D	0.00	Sell to Close
12/31/2020	1.00	109.90	12/28/2020	2,684.06	2574.16 D	0.00	Sell to Close
12/31/2020	1.00	110.90	12/28/2020	2,867.24	2756.34 D	0.00	Sell to Close
12/31/2020	1.00	111.90	12/28/2020	3,026.42	2914.52 D	0.00	Sell to Close
12/31/2020	1.00	103.90	12/24/2020	1,469.98	1366.08 D	0.00	Sell to Close
12/31/2020	1.00	103.90	12/24/2020	1,676.16	1572.26 D	0.00	Sell to Close
12/31/2020	1.00	101.90	12/24/2020	1,870.34	1768.44 D	0.00	Sell to Close
12/31/2020	1.00	103.90	12/24/2020	2,064.52	1960.62 D	0.00	Sell to Close
12/31/2020	1.00	102.90	12/24/2020	1,257.80	1154.9 D	0.00	Sell to Close
12/31/2020	1.00	102.90	12/28/2020	2,290.70	2187.8 D	0.00	Sell to Close
12/31/2020	1.00	95.90	12/23/2020	1,003.62	907.72 D	0.00	Sell to Close
Security Totals:		1,752.60		24,443.50		0.00	
CALLON PETROLEUM CO-DEL CUSIP: 13123X102 Symbol: CPE							
04/07/2020	1,000.00	500.86	04/06/2020	489.00	0.00	11.86	Sale

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APEX CLEARING

Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B*

OMB No. 1545-0715

5KU68797

(continued)

02/02/2021

SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

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

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CALLON PETROLEUM CO-DEL CUSIP: 13123X102 Symbol: CPE							
04/13/2020	200.00	109.97	04/09/2020	100.60	0.00	9.37	Sale
06/05/2020	150.00	178.47	Various	161.50	0.00	16.97	Sale
06/08/2020	3,350.00	5,970.00	Various	3,757.50	0.00	2,212.50	Sale
06/10/2020	50.00	88.48	06/10/2020	75.50	0.00	12.98	Sale
08/04/2020	4.00	4.22	07/29/2020	6.67	0.00	-2.45	Sale
08/04/2020	146.00	156.22	Various	193.25	1.76 D	-35.27	Sale
Security Totals:		7,008.22		4,784.02		2,225.96	
PUT CVS 11/20/20 67.50 CVS HEALTH CORPORATION CUSIP: Symbol: CVS201120P00067500							
11/09/2020	1.00	92.90	11/09/2020	96.08	3.18 D	0.00	Sell to Close
11/09/2020	1.00	109.90	11/09/2020	93.26	0.00	16.64	Sell to Close
11/10/2020	1.00	75.90	11/10/2020	99.08	23.18 D	0.00	Sell to Close
11/11/2020	1.00	39.90	11/10/2020	152.44	112.54 D	0.00	Sell to Close
11/11/2020	1.00	44.90	11/10/2020	177.62	132.72 D	0.00	Sell to Close
11/11/2020	1.00	43.90	11/10/2020	180.16	136.26 D	0.00	Sell to Close
11/11/2020	1.00	44.90	11/11/2020	176.34	131.44 D	0.00	Sell to Close
11/11/2020	1.00	46.90	11/11/2020	169.52	122.62 D	0.00	Sell to Close
11/11/2020	1.00	39.90	11/10/2020	176.80	136.9 D	0.00	Sell to Close
11/11/2020	1.00	33.90	11/10/2020	118.26	84.36 D	0.00	Sell to Close
11/11/2020	1.00	41.90	11/10/2020	179.98	138.08 D	0.00	Sell to Close
11/12/2020	1.00	51.90	11/11/2020	156.70	104.8 D	0.00	Sell to Close
11/12/2020	1.00	38.90	11/12/2020	146.88	0.00	-107.98	Sell to Close
Security Totals:		705.70		1,923.12		-91.34	
CALL AMD 10/23/20 84.50 ADVANCED MICRO DEVICES INC CUSIP: Symbol: AMD201023C00084500							
10/14/2020	1.00	269.90	10/14/2020	267.08	0.00	2.82	Sell to Close
10/14/2020	1.00	291.90	10/14/2020	258.08	0.00	33.82	Sell to Close
Security Totals:		561.80		525.16		36.64	
CALL UPS 10/16/20 167.50 UNITED PARCEL SVC INC CUSIP: Symbol: UPS201016C00167500							
09/30/2020	1.00	374.90	09/30/2020	335.08	0.00	39.82	Sell to Close

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1a - Description of property | CUSIP | Symbol

1c - Date Sold or Disposed	Quantity	1d - Proceeds	1b - Date Acquired	1e - Cost or Other Basis	1f - Accrued Market Discount (M) & 1g - Wash Sale Loss Disallowed (D)	Gain or Loss (-)	Additional Notes
CALL UPS 10/16/20 167.50 UNITED PARCEL SVC INC CUSIP: Symbol: UPS201016C00167500							
09/30/2020	1.00	384.90	09/30/2020	335.08	0.00	49.82	Sell to Close
Security Totals:		759.80		670.16		89.64	
PUT AMD 10/23/20 84 ADVANCED MICRO DEVICES INC CUSIP: Symbol: AMD201023P00084000							
10/16/2020	1.00	252.90	10/16/2020	252.08	0.00	0.82	Sell to Close
10/16/2020	1.00	251.90	10/16/2020	253.08	0.00	-1.18	Sell to Close
Security Totals:		504.80		505.16		-0.36	
CALL AMD 10/23/20 84 ADVANCED MICRO DEVICES INC CUSIP: Symbol: AMD201023C00084000							
10/14/2020	1.00	314.90	10/14/2020	296.08	0.00	18.82	Sell to Close
10/15/2020	1.00	299.90	10/14/2020	284.08	0.00	15.82	Sell to Close
Security Totals:		614.80		580.16		34.64	
CALL UPS 11/06/20 165 UNITED PARCEL SVC INC CUSIP: Symbol: UPS201106C00165000							
11/03/2020	1.00	215.90	11/03/2020	203.08	0.00	12.82	Sell to Close
11/03/2020	1.00	264.90	11/03/2020	252.08	0.00	12.82	Sell to Close
11/03/2020	1.00	259.90	11/03/2020	254.08	0.00	5.82	Sell to Close
11/03/2020	1.00	257.90	11/03/2020	252.08	0.00	5.82	Sell to Close
11/03/2020	1.00	208.90	11/03/2020	227.59	0.00	-18.69	Sell to Close
11/03/2020	3.00	629.73	Various	683.24	53.51 D	0.00	Sell to Close
11/03/2020	4.00	847.65	Various	920.50	54.02 D	-18.83	Sell to Close
11/03/2020	5.00	1,079.56	Various	1,158.91	80.18 D	0.83	Sell to Close
11/03/2020	2.00	421.82	Various	448.67	0.00	-26.85	Sell to Close
Security Totals:		4,186.26		4,400.23		-26.26	
CALL RIDE 01/15/21 22.50 LORDSTOWN MOTORS CRP CL A CUSIP: Symbol: RIDE210115C00022500							
12/17/2020	1.00	147.90	12/16/2020	145.08	0.00	2.82	Sell to Close
12/17/2020	1.00	133.90	12/17/2020	131.08	0.00	2.82	Sell to Close
12/21/2020	1.00	107.90	12/18/2020	130.08	22.18 D	0.00	Sell to Close
12/22/2020	1.00	138.90	12/21/2020	114.26	0.00	24.64	Sell to Close
Security Totals:		528.60		520.50		30.28	

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APEX CLEARING

Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B*

OMB No. 1545-0715

5KU68797

(continued)

02/02/2021

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
***CHECK CAP LTD ORDINARY SHARE CUSIP: M2361E203 Symbol: CHEK							
05/07/2020	250.00	132.26	04/28/2020	137.75	5.49 D	0.00	Sale
05/07/2020	300.00	159.55	04/28/2020	165.30	5.75 D	0.00	Sale
05/07/2020	850.00	452.76	Various	431.67	0.00	21.09	Sale
07/24/2020	971.00	579.71	Various	549.13	0.62 D	31.20	Sale
07/28/2020	128.00	82.15	Various	72.45	0.00	9.70	Sale
08/10/2020	1.00	0.60	07/24/2020	0.56	0.00	0.04	Sale
08/19/2020	376.00	185.51	08/13/2020	199.36	13.85 D	0.00	Sale
08/25/2020	400.00	165.54	08/13/2020	212.08	46.54 D	0.00	Sale
08/25/2020	316.00	127.65	Various	193.37	23.65 D	-42.07	Sale
08/25/2020	808.00	330.52	Various	472.50	0.00	-141.98	Sale
08/25/2020	1,000.00	401.87	Various	547.03	145.16 D	0.00	Sale
Security Totals:		2,618.12		2,981.20		-122.02	
CALL BLNK 11/20/20 10 BLINK CHARGING CO CUSIP: Symbol: BLNK201120C00010000							
11/06/2020	1.00	92.90	11/06/2020	95.08	2.18 D	0.00	Sell to Close
11/09/2020	1.00	81.90	11/09/2020	87.26	0.00	-5.36	Sell to Close
Security Totals:		174.80		182.34		-5.36	
PUT SPY 10/09/20 330 STANDARD & POORS DEPOSITORY CUSIP: Symbol: SPY201009P00330000							
10/06/2020	1.00	169.90	10/06/2020	158.08	0.00	11.82	Sell to Close
CALL JMIA 01/15/21 30 JUMIA TECHNOLOGIES AG CUSIP: Symbol: JMIA210115C00030000							
12/02/2020	1.00	309.90	12/02/2020	320.08	10.18 D	0.00	Sell to Close
12/02/2020	1.00	329.90	12/02/2020	320.26	0.00	9.64	Sell to Close
Security Totals:		639.80		640.34		9.64	
CALL Z 10/23/20 100 ZILLOW GROUP INC CLASS C CUSIP: Symbol: Z201023C00100000							
10/16/2020	1.00	184.90	10/16/2020	174.08	0.00	10.82	Sell to Close
10/19/2020	1.00	135.90	10/19/2020	127.08	0.00	8.82	Sell to Close
10/19/2020	1.00	239.90	10/16/2020	172.08	0.00	67.82	Sell to Close
10/19/2020	1.00	223.90	10/16/2020	185.08	0.00	38.82	Sell to Close
Security Totals:		784.60		658.32		126.28	

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APEX CLEARING

Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B*

OMB No. 1545-0715

5KU68797

(continued)

02/02/2021

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
***CANAAN INC AMERICAN DEPOSITARY SHARES CUSIP: 134748102 Symbol: CAN							
08/12/2020	100.00	212.48	08/12/2020	203.00	0.00	9.48	Sale
08/12/2020	100.00	208.98	08/12/2020	203.00	0.00	5.98	Sale
08/13/2020	165.00	353.07	08/12/2020	334.95	0.00	18.12	Sale
08/14/2020	34.00	77.67	08/12/2020	69.02	0.00	8.65	Sale
08/19/2020	100.00	202.98	Various	205.48	2.5 D	0.00	Sale
08/20/2020	101.00	202.49	Various	207.05	0.00	-4.56	Sale
Security Totals:		1,257.67		1,222.50		37.67	
PUT JPM 11/27/20 122 JPMORGAN CHASE & CO CUSIP: Symbol: JPM201127P00122000							
11/27/2020	1.00	38.90	11/27/2020	60.08	0.00	-21.18	Sell to Close
CALL SPY 10/07/20 339 STANDARD & POORS DEPOSITORY CUSIP: Symbol: SPY201007C00339000							
10/05/2020	1.00	227.90	10/05/2020	224.08	0.00	3.82	Sell to Close
PUT SPY 11/11/20 346 STANDARD & POORS DEPOSITORY CUSIP: Symbol: SPY201111P00346000							
11/04/2020	1.00	515.89	11/04/2020	521.08	0.00	-5.19	Sell to Close
PUT SPY 10/07/20 339 STANDARD & POORS DEPOSITORY CUSIP: Symbol: SPY201007P00339000							
10/06/2020	3.00	437.74	Various	444.24	4.17 D	-2.33	Sell to Close
10/06/2020	3.00	437.74	10/06/2020	441.24	0.00	-3.50	Sell to Close
10/06/2020	1.00	135.90	10/06/2020	144.25	0.00	-8.35	Sell to Close
Security Totals:		1,011.38		1,029.73		-14.18	
CALL SPY 10/07/20 338 STANDARD & POORS DEPOSITORY CUSIP: Symbol: SPY201007C00338000							
10/05/2020	1.00	238.90	10/05/2020	231.08	0.00	7.82	Sell to Close
CALL SPY 10/26/20 343 STANDARD & POORS DEPOSITORY CUSIP: Symbol: SPY201026C00343000							
10/23/2020	1.00	243.90	10/23/2020	254.08	0.00	-10.18	Sell to Close
PUT SPY 10/07/20 338 STANDARD & POORS DEPOSITORY CUSIP: Symbol: SPY201007P00338000							
10/05/2020	1.00	159.90	10/05/2020	185.08	25.18 D	0.00	Sell to Close
10/05/2020	1.00	159.90	10/05/2020	185.08	25.18 D	0.00	Sell to Close
10/05/2020	1.00	226.90	10/05/2020	222.08	0.00	4.82	Sell to Close
10/05/2020	1.00	227.90	10/05/2020	222.08	0.00	5.82	Sell to Close
10/05/2020	2.00	319.82	Various	377.34	25.17 D	-32.35	Sell to Close
10/06/2020	1.00	135.90	10/05/2020	181.26	0.00	-45.36	Sell to Close

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APEX CLEARING

Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B*

OMB No. 1545-0715

5KU68797

(continued)

02/02/2021

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 SPY 10/07/20	338	STANDARD & POORS DEPOSITORY CUSIP: Symbol: SPY201007P00338000					
10/06/2020	1.00	147.90	10/06/2020	137.25	0.00	10.65	Sell to Close
Security Totals:		1,378.22		1,510.17		-56.42	
Totals:		1,722,230.67		1,997,329.51		11,441.52	

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APEX CLEARING

Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B*

OMB No. 1545-0715

5KU68797

(continued)

02/02/2021

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
***CHINA XIANGTAI FOOD CO LTD ORDINARY SHARES CUSIP: G21621100 Symbol: PLIN							
07/13/2020	100.00	137.98	07/10/2020	136.50	0.00	1.48	Sale
07/13/2020	150.00	205.47	07/10/2020	204.75	0.00	0.72	Sale
07/14/2020	280.00	366.76	Various	382.65	15.89 D	0.00	Sale
07/14/2020	70.00	90.98	07/10/2020	98.71	4.42 D	-3.31	Sale
07/22/2020	50.00	71.23	Various	68.35	0.00	2.88	Sale
07/22/2020	99.00	140.56	07/22/2020	135.65	0.00	4.91	Sale
07/27/2020	1.00	1.28	07/23/2020	1.34	0.00	-0.06	Sale
07/27/2020	100.00	134.48	Various	136.61	0.00	-2.13	Sale
Security Totals:		1,148.74		1,164.56		4.49	
Totals:		1,148.74		1,164.56		4.49	

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APEX CLEARING

Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B*

OMB No. 1545-0715

5KU68797

(continued)

02/02/2021

LONG TERM TRANSACTIONS FOR COVERED TAX LOTS

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

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

Box 5: Box Not Checked (Covered Security)

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

Box 12: Basis Reported to the IRS

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

1a - Description of property | CUSIP | Symbol

1c - Date Sold or Disposed	Quantity	1d - Proceeds	1b - Date Acquired	1e - Cost or Other Basis	1f - Accrued Market Discount (M) & 1g - Wash Sale Loss Disallowed (D)	Gain or Loss (-)	Additional Notes
VIACOMCBS INC	CLASS B COMMON STOCK	CUSIP: 92556H206		Symbol: VIAC			
04/06/2020	1.00	13.98	03/25/2020	14.74	0.00	-0.76	Sale
Totals:		13.98		14.74		-0.76	

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APEX CLEARING

Interest Income - Details of Form 1099-INT

2020

5KU68797

02/02/2021

This section of the information statement provides the payment-level details for interest that is reported in aggregate on Form 1099-INT. Market discount is provided only if you have made an election to recognize market discount on a current basis. Any such market discount and bond premium are reported on Form 1099-INT for covered lots, as detailed below. For noncovered lots, bond premium and market discount are shown below only for your information and are not reported on Form 1099-INT.

Interest Income

Description CUSIP Symbol										
Date	Interest Income (Box 1)	Federal Income Tax Withheld (Box 4)	Investment Expenses (Box 5)	Foreign Tax Paid (Box 6)	Market Discount (Box 10)	Market Discount (NOT reported to IRS)	Bond Premium (Box 11)	Bond Premium (NOT reported to IRS)	State Tax Withheld (Box 17)	State (Box 15) State Identification No. (Box 16)
FULLYPAID LENDING REBATE CUSIP: Symbol:										
04/13/2020	0.32	0.00	0.00	0.00	US	0.00	0.00	0.00	0.00	0.00
05/12/2020	5.77	0.00	0.00	0.00	US	0.00	0.00	0.00	0.00	0.00
06/15/2020	13.29	0.00	0.00	0.00	US	0.00	0.00	0.00	0.00	0.00
07/14/2020	4.32	0.00	0.00	0.00	US	0.00	0.00	0.00	0.00	0.00
08/12/2020	6.13	0.00	0.00	0.00	US	0.00	0.00	0.00	0.00	0.00
Security Totals:	29.83	0.00	0.00	0.00		0.00	0.00	0.00	0.00	0.00
Totals:	29.83	0.00	0.00	0.00		0.00	0.00	0.00	0.00	0.00

APEX CLEARING

Miscellaneous Income - Details of Form 1099-MISC

2020

5KU68797

02/02/2021

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

Description CUSIP Symbol							
Date	Royalties (Box 2)	Other Income (Box 3)	Substitute Payments in Lieu of Dividends or Interest (Box 8)	Federal Income Tax Withheld (Box 4)	State Tax Withheld (Box 15)	State (Box 13) State Identification No. (Box 14)	
***BANCO SANTANDER S A	SPONSORED ADR CUSIP: 05964H105 Symbol: SAN						
03/12/2020	0.00	2.52	0.00	0.00	0.00		
VIACOMCBS INC	CLASS B COMMON STOCK CUSIP: 92556H206 Symbol: VIAC						
03/25/2020	0.00	14.74	0.00	0.00	0.00		
Totals:	0.00	17.26	0.00	0.00	0.00		

APEX CLEARING

Supplemental Information

2020

5KU68797

02/02/2021

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

Fees & Expenses

Description	Amount
ADR Fees	
06/23/2020	2.02
Totals:	2.02

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.

1099-INT Instructions for Recipient

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

Boxes 15-17. State tax withheld reporting boxes.

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

1099-B Instructions for Recipient

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

1099-MISC Instructions for Recipient

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

1099-OID Instructions for Recipient

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

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

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

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

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

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

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

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

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

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

withheld.

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

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

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

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

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

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

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

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

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

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

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

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

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

Boxes 12–14. State income tax withheld reporting.

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