

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

NARESH HANCHATE SURESH  
1166 SUNNYVALE SARATOGA RD  
OMAHA, NE 68135

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

**IMPORTANT YEAR END MESSAGES**

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

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

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<b>APEX CLEARING</b> ONE DALLAS CENTER 350 NORTH ST PAUL SUITE 1300 DALLAS, TX 75201 Customer Service: 214-765-1009  PAYER'S Federal ID No: 13-2967453  IN ACCOUNT WITH <b>TASTYWORKS INC.</b> <b>(312) 724-7075</b>	<b>Account 5WT99723</b>	<b>Form 1099 Composite</b>	<b>2020</b>
	NARESH HANCHATE SURESH 1166 SUNNYVALE SARATOGA RD OMAHA, NE 68135  RECIPIENT'S ID No: XXX-XX-8996	Statement Date: 01/23/2021	

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	
<b>4- Federal Income Tax Withheld</b>	<b>0.00</b>	
5- Section 199A Dividends	0.00	
6- Investment Expenses	0.00	
7- Foreign tax Paid	0.00	
8- Foreign country or US Possession		
9- Cash Liquidation Distributions	0.00	
10- Noncash Liquidation Distribution	0.00	
11- Exempt-Interest Dividends	0.00	
12- Specified Private Activity Bond Interest Dividends	0.00	

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

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

REGULATED FUTURES CONTRACTS & SECTION 1256 OPTIONS	2020 Form 1099-B*	OMB No. 1545-0715
8- Profit or (loss) realized in 2020 on closed contracts	-2,698.88	
9- Unrealized profit or (loss) on open contracts - 12/31/2019	0.00	
10- Unrealized profit or (loss) on open contracts - 12/31/2020	-1,635.64	
11- Aggregate profit or (loss) on contracts	-4,334.52	
<i>As applicable, proceeds from other sale transactions are summarized below and details are provided in subsequent sections of this document. More details on futures and section 1256 options transactions are also provided in other sections of this document.</i>		

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

APEX CLEARING

**Tax Summary**

2020

5WT99723

01/23/2021

**Summary Of Sale Proceeds**

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

Section	Total Proceeds	Total Cost Basis	Market Discount	Total Wash Sale Loss Disallowed	Total Net Gain or Loss(-)
Short term transactions for covered tax lots	1,334,971.07	1,347,919.19	0.00	13,967.54	1,019.42
Short term transactions for noncovered tax lots	0.00	0.00	0.00	0.00	0.00
<b>Total Short-term</b>	<b>1,334,971.07</b>	<b>1,347,919.19</b>	<b>0.00</b>	<b>13,967.54</b>	<b>1,019.42</b>
Long-term transactions for covered tax lots	0.00	0.00	0.00	0.00	0.00
Long-term transactions for noncovered tax lots	0.00	0.00	0.00	0.00	0.00
<b>Total Long-term</b>	<b>0.00</b>	<b>0.00</b>	<b>0.00</b>	<b>0.00</b>	<b>0.00</b>
Undetermined transactions for noncovered tax lots	0.00	0.00	0.00	0.00	0.00
<b>Total Undetermined-term</b>	<b>0.00</b>	<b>0.00</b>	<b>0.00</b>	<b>0.00</b>	<b>0.00</b>

**ORIGINAL ISSUE DISCOUNT SUMMARY**

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

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

**FEDERAL TAX WITHHELD**

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

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

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

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

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

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

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

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

FATCA filing requirement [ ]

## SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

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

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

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

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

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

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

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

1c - Date Sold or Disposed	Quantity	1d - Proceeds	1b - Date Acquired	1e - Cost or Other Basis	1f - Accrued Market Discount (M) & 1g - Wash Sale Loss Disallowed (D)	Gain or Loss (-)	Additional Notes
CALL TSLA 10/30/20	515	TESLA INC   CUSIP:   Symbol: TSLA201030C00515000					
09/25/2020	1.00	1,699.63	09/22/2020	0.00	0.00	1,699.63	Buy to Close
CALL TSLA 09/18/20	460	TESLA INC	ADJ 5:1 STOCK SPLIT   CUSIP:   Symbol: TSLA200918C00460000				
09/18/2020	1.00	581.69	09/16/2020	0.00	0.00	581.69	Buy to Close
CALL BA 05/15/20	235	BOEING CO   CUSIP:   Symbol: BA200515C00235000					
04/28/2020	2.00	1,379.39	03/27/2020	0.00	0.00	1,379.39	Buy to Close
CALL TSLA 10/23/20	500	TESLA INC   CUSIP:   Symbol: TSLA201023C00500000					
09/22/2020	1.00	3,542.77	09/16/2020	4,809.14	0.00	-1,266.37	Sell to Close
PUT GOOGL 11/06/20	1545	ALPHABET INC CLASS A   CUSIP:   Symbol: GOOGL201106P01545000					
11/03/2020	1.00	715.67	10/30/2020	0.00	0.00	715.67	Buy to Close

APEX CLEARING

## Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B\*

OMB No. 1545-0715

5WT99723

(continued)

01/23/2021

**SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS**

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

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

1c - Date Sold or Disposed	Quantity	1d - Proceeds	1b - Date Acquired	1e - Cost or Other Basis	1f - Accrued Market Discount (M) & 1g - Wash Sale Loss Disallowed (D)	Gain or Loss (-)	Additional Notes
CALL ZM 06/12/20	227.50	ZOOM VIDEO COMMUNICATIONS INC   CUSIP:   Symbol: ZM200612C00227500					
06/12/2020	1.00	2.84	06/12/2020	70.14	0.00	-67.30	Sell to Close
PUT AMZN 06/12/20	2505	AMAZON.COM INC   CUSIP:   Symbol: AMZN200612P02505000					
06/12/2020	1.00	114.84	06/12/2020	353.14	0.00	-238.30	Sell to Close
PUT GOOGL 11/20/20	1540	ALPHABET INC CLASS A   CUSIP:   Symbol: GOOGL201120P01540000					
11/05/2020	1.00	293.84	11/03/2020	1,800.14	0.00	-1,506.30	Sell to Close
CALL GOOGL 10/30/20	1620	ALPHABET INC CLASS A   CUSIP:   Symbol: GOOGL201030C01620000					
10/30/2020	1.00	5,472.73	10/29/2020	1,006.14	0.00	4,466.59	Sell to Close
PUT ZM 06/05/20	145	ZOOM VIDEO COMMUNICATIONS INC   CUSIP:   Symbol: ZM200605P00145000					
06/01/2020	1.00	57.84	05/29/2020	141.14	0.00	-83.30	Sell to Close
PUT IWM 06/19/20	118	ISHARES RUSSELL 2000 ETF   CUSIP:   Symbol: IWM200619P00118000					
05/22/2020	1.00	71.70	05/18/2020	0.00	0.00	71.70	Buy to Close
PUT AMZN 03/20/20	1885	AMAZON.COM INC   CUSIP:   Symbol: AMZN200320P01885000					
02/18/2020	2.00	3,987.32	02/03/2020	0.00	0.00	3,987.32	Buy to Close
PUT TSLA 06/19/20	600	TESLA INC   CUSIP:   Symbol: TSLA200619P00600000					
04/27/2020	1.00	2,044.60	04/14/2020	0.00	0.00	2,044.60	Buy to Close
CALL AMZN 01/17/20	1960	AMAZON.COM INC   CUSIP:   Symbol: AMZN200117C01960000					
01/17/2020	2.00	0.00	12/26/2019	2,194.28	0.00	-2,194.28	Expiration
PUT AMZN 12/18/20	2950	AMAZON.COM INC   CUSIP:   Symbol: AMZN201218P02950000					
11/13/2020	1.00	909.55	11/09/2020	0.00	0.00	909.55	Buy to Close
CALL SPY 10/30/20	341	STANDARD & POORS DEPOSITORY   CUSIP:   Symbol: SPY201030C00341000					
10/29/2020	6.00	47.17	10/28/2020	150.81	0.00	-103.64	Sell to Close
PUT TLRV 03/20/20	7.50	TILRAY INC   CUSIP:   Symbol: TLRV200320P00007500					
03/09/2020	1.00	-56.30	03/03/2020	0.00	0.00	-56.30	Buy to Close
PUT MSFT 04/17/20	155	MICROSOFT CORP   CUSIP:   Symbol: MSFT200417P00155000					
04/15/2020	1.00	253.71	02/24/2020	0.00	0.00	253.71	Buy to Close
CALL GOOGL 06/19/20	1450	ALPHABET INC CLASS A   CUSIP:   Symbol: GOOGL200619C01450000					
04/27/2020	1.00	144.68	04/15/2020	0.00	0.00	144.68	Buy to Close
PUT AAPL 03/20/20	250	APPLE INC   CUSIP:   Symbol: AAPL200320P00250000					
02/24/2020	1.00	136.84	02/03/2020	119.14	0.00	17.70	Sell to Close

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APEX CLEARING

## Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B\*

OMB No. 1545-0715

5WT99723

(continued)

01/23/2021

## SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

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

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

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

1c - Date Sold or Disposed	Quantity	1d - Proceeds	1b - Date Acquired	1e - Cost or Other Basis	1f - Accrued Market Discount (M) & 1g - Wash Sale Loss Disallowed (D)	Gain or Loss (-)	Additional Notes
CALL GILD 03/20/20	75	GILEAD SCIENCES INC   CUSIP:   Symbol: GILD200320C00075000					
02/18/2020	1.00	124.70	02/07/2020	0.00	0.00	124.70	Buy to Close
PUT PFE 04/17/20	35	PFIZER INC   CUSIP:   Symbol: PFE200417P00035000					
04/13/2020	1.00	104.70	04/08/2020	0.00	0.00	104.70	Buy to Close
PUT GOOGL 04/03/20	1055	ALPHABET INC CLASS A   CUSIP:   Symbol: GOOGL200403P01055000					
04/02/2020	1.00	294.84	03/31/2020	178.14	0.00	116.70	Sell to Close
CALL SPY 04/03/20	276	STANDARD & POORS DEPOSITORY   CUSIP:   Symbol: SPY200403C00276000					
04/02/2020	1.00	0.84	03/30/2020	152.14	0.00	-151.30	Sell to Close
CALL PFE 04/17/20	35	PFIZER INC   CUSIP:   Symbol: PFE200417C00035000					
04/13/2020	1.00	-36.30	04/08/2020	0.00	0.00	-36.30	Buy to Close
CALL SBUX 04/03/20	69	STARBUCKS CORPORATION   CUSIP:   Symbol: SBUX200403C00069000					
04/01/2020	2.00	193.42	03/30/2020	0.00	0.00	193.42	Buy to Close
CALL TSLA 06/19/20	950	TESLA INC   CUSIP:   Symbol: TSLA200619C00950000					
05/12/2020	1.00	570.61	04/30/2020	0.00	0.00	570.61	Buy to Close
05/21/2020	2.00	1,059.33	05/18/2020	0.00	0.00	1,059.33	Buy to Close
<b>Security Totals:</b>		<b>1,629.94</b>		<b>0.00</b>		<b>1,629.94</b>	
CALL IWM 05/15/20	127.50	ISHARES RUSSELL 2000 ETF   CUSIP:   Symbol: IWM200515C00127500					
05/15/2020	1.00	0.00	05/15/2020	8.14	0.00	-8.14	Expiration
PUT GOOGL 04/17/20	1085	ALPHABET INC CLASS A   CUSIP:   Symbol: GOOGL200417P01085000					
04/15/2020	1.00	19.84	04/06/2020	876.14	0.00	-856.30	Sell to Close
PUT SPY 04/01/20	239	STANDARD & POORS DEPOSITORY   CUSIP:   Symbol: SPY200401P00239000					
04/01/2020	1.00	0.00	03/31/2020	20.14	0.00	-20.14	Expiration
CALL AMZN 05/15/20	2680	AMAZON.COM INC   CUSIP:   Symbol: AMZN200515C02680000					
05/15/2020	1.00	0.00	04/30/2020	3,397.14	0.00	-3,397.14	Expiration
CALL TSLA 06/19/20	960	TESLA INC   CUSIP:   Symbol: TSLA200619C00960000					
04/29/2020	2.00	1,683.21	04/17/2020	0.00	0.00	1,683.21	Buy to Close
04/29/2020	2.00	1,769.20	04/17/2020	0.00	0.00	1,769.20	Buy to Close
05/27/2020	3.00	1,583.04	Various	0.00	0.00	1,583.04	Buy to Close
<b>Security Totals:</b>		<b>5,035.45</b>		<b>0.00</b>		<b>5,035.45</b>	
CALL IWM 06/19/20	160	ISHARES RUSSELL 2000 ETF   CUSIP:   Symbol: IWM200619C00160000					
06/12/2020	1.00	71.71	06/05/2020	0.00	0.00	71.71	Buy to Close

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APEX CLEARING

## Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B\*

OMB No. 1545-0715

5WT99723

(continued)

01/23/2021

**SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS**

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

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

1c - Date Sold or Disposed	Quantity	1d - Proceeds	1b - Date Acquired	1e - Cost or Other Basis	1f - Accrued Market Discount (M) & 1g - Wash Sale Loss Disallowed (D)	Gain or Loss (-)	Additional Notes
PUT TSLA 06/12/20	770	TESLA INC   CUSIP:   Symbol: TSLA200612P00770000					
06/02/2020	1.00	311.85	06/01/2020	573.14	0.00	-261.29	Sell to Close
PUT TSLA 06/19/20	700	TESLA INC   CUSIP:   Symbol: TSLA200619P00700000					
05/12/2020	1.00	2,389.79	04/30/2020	3,688.14	0.00	-1,298.35	Sell to Close
CALL PTON 05/08/20	40	PELTON INTERACTIVE INC CL A   CUSIP:   Symbol: PTON200508C00040000					
05/07/2020	1.00	-71.28	05/05/2020	0.00	0.00	-71.28	Buy to Close
05/07/2020	1.00	-71.29	05/05/2020	0.00	0.00	-71.29	Buy to Close
<b>Security Totals:</b>		<b>-142.57</b>		<b>0.00</b>		<b>-142.57</b>	
CALL AMZN 11/06/20	3290	AMAZON.COM INC   CUSIP:   Symbol: AMZN201106C03290000					
11/06/2020	1.00	990.82	11/04/2020	1,341.14	0.00	-350.32	Sell to Close
CALL AMZN 04/03/20	1935	AMAZON.COM INC   CUSIP:   Symbol: AMZN200403C01935000					
04/03/2020	1.00	156.71	04/03/2020	0.00	0.00	156.71	Buy to Close
CALL TSLA 03/06/20	795	TESLA INC   CUSIP:   Symbol: TSLA200306C00795000					
03/05/2020	1.00	271.71	03/04/2020	0.00	0.00	271.71	Buy to Close
CALL QQQ 05/15/20	202	INVESCO QQQ TRUST SERIES 1   CUSIP:   Symbol: QQQ200515C00202000					
04/13/2020	1.00	-498.30	04/02/2020	0.00	0.00	-498.30	Buy to Close
CALL TSLA 07/17/20	1010	TESLA INC   CUSIP:   Symbol: TSLA200717C01010000					
06/26/2020	1.00	-91.39	06/08/2020	0.00	0.00	-91.39	Buy to Close
CALL AMZN 03/20/20	2050	AMAZON.COM INC   CUSIP:   Symbol: AMZN200320C02050000					
03/20/2020	1.00	0.00	03/02/2020	1,420.14	0.00	-1,420.14	Expiration
PUT TSLA 02/21/20	805	TESLA INC   CUSIP:   Symbol: TSLA200221P00805000					
02/19/2020	1.00	586.69	02/18/2020	0.00	0.00	586.69	Buy to Close
CALL TSLA 07/17/20	1020	TESLA INC   CUSIP:   Symbol: TSLA200717C01020000					
06/12/2020	1.00	-1,343.39	06/08/2020	0.00	0.00	-1,343.39	Buy to Close
PUT IWM 06/19/20	103	ISHARES RUSSELL 2000 ETF   CUSIP:   Symbol: IWM200619P00103000					
05/27/2020	2.00	21.70	05/13/2020	306.28	0.00	-284.58	Sell to Close
PUT BA 05/15/20	80	BOEING CO   CUSIP:   Symbol: BA200515P00080000					
04/03/2020	1.00	521.84	04/01/2020	499.14	0.00	22.70	Sell to Close
PUT TSLA 11/20/20	340	TESLA INC ADJ 5:1 STOCK SPLIT   CUSIP:   Symbol: TSLA201120P00340000					
10/06/2020	1.00	1,357.64	09/25/2020	0.00	0.00	1,357.64	Buy to Close



APEX CLEARING

## Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B\*

OMB No. 1545-0715

5WT99723

(continued)

01/23/2021

**SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS**

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

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1c - Date Sold or Disposed	Quantity	1d - Proceeds	1b - Date Acquired	1e - Cost or Other Basis	1f - Accrued Market Discount (M) & 1g - Wash Sale Loss Disallowed (D)	Gain or Loss (-)	Additional Notes
PUT AMZN 12/11/20	3000	AMAZON.COM INC   CUSIP:   Symbol: AMZN201211P03000000					
11/13/2020	1.00	1,178.53	11/12/2020	0.00	0.00	1,178.53	Buy to Close
PUT NFLX 02/28/20	337.50	NETFLIX INC   CUSIP:   Symbol: NFLX200228P00337500					
	1.00	69.85	02/28/2020	0.00	0.00	69.85	Expiration
PUT AMZN 11/20/20	2945	AMAZON.COM INC   CUSIP:   Symbol: AMZN201120P02945000					
11/05/2020	1.00	1,087.82	11/03/2020	7,679.14	0.00	-6,591.32	Sell to Close
CALL AAL 03/06/20	20	AMERICAN AIRLINES GROUP INC   CUSIP:   Symbol: AAL200306C00020000					
03/05/2020	4.00	182.85	03/02/2020	0.00	0.00	182.85	Buy to Close
CALL GOOGL 11/20/20	1740	ALPHABET INC CLASS A   CUSIP:   Symbol: GOOGL201120C01740000					
11/09/2020	1.00	4,609.74	11/03/2020	1,695.14	0.00	2,914.60	Sell to Close
PUT CIEN 03/20/20	39.50	CIENA CORP   CUSIP:   Symbol: CIEN200320P00039500					
03/11/2020	4.00	-669.13	03/05/2020	0.00	0.00	-669.13	Buy to Close
PUT SPY 04/01/20	243	STANDARD & POORS DEPOSITORY   CUSIP:   Symbol: SPY200401P00243000					
04/01/2020	1.00	0.00	03/31/2020	29.14	0.00	-29.14	Expiration
CALL GILD 04/09/20	81.50	GILEAD SCIENCES INC   CUSIP:   Symbol: GILD200409C00081500					
	1.00	74.85	04/09/2020	0.00	0.00	74.85	Expiration
PUT TSLA 04/03/20	455	TESLA INC   CUSIP:   Symbol: TSLA200403P00455000					
04/02/2020	1.00	1,198.82	03/31/2020	356.14	0.00	842.68	Sell to Close
PUT TSLA 11/06/20	417.50	TESLA INC   CUSIP:   Symbol: TSLA201106P00417500					
11/06/2020	2.00	249.71	11/05/2020	366.27	0.00	-116.56	Sell to Close
CALL IWM 05/29/20	147	ISHARES RUSSELL 2000 ETF   CUSIP:   Symbol: IWM200529C00147000					
05/29/2020	1.00	0.00	05/27/2020	36.14	0.00	-36.14	Expiration
CALL AAPL 09/18/20	145	APPLE INC ADJ 4:1 STOCK SPLIT   CUSIP:   Symbol: AAPL200918C00145000					
09/15/2020	1.00	174.70	08/31/2020	0.00	0.00	174.70	Buy to Close
PUT AMZN 05/01/20	2305	AMAZON.COM INC   CUSIP:   Symbol: AMZN200501P02305000					
04/30/2020	1.00	2,494.79	04/27/2020	2,620.14	0.00	-125.35	Sell to Close
PUT NVDA 11/20/20	495	NVIDIA CORP   CUSIP:   Symbol: NVDA201120P00495000					
11/17/2020	1.00	135.69	11/16/2020	0.00	0.00	135.69	Buy to Close
CALL ZM 06/05/20	195	ZOOM VIDEO COMMUNICATIONS INC   CUSIP:   Symbol: ZM200605C00195000					
06/03/2020	1.00	-2,142.31	05/29/2020	0.00	0.00	-2,142.31	Buy to Close

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APEX CLEARING

## Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B\*

OMB No. 1545-0715

5WT99723

(continued)

01/23/2021

**SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS**

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

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PUT GE 07/17/20	5	GENERAL ELECTRIC CO   CUSIP:   Symbol: GE200717P00005000					
06/26/2020	3.00	14.56	06/04/2020	24.42	0.00	-9.86	Sell to Close
PUT NFLX 03/06/20	365	NETFLIX INC   CUSIP:   Symbol: NFLX200306P00365000					
03/06/2020	1.00	-127.29	03/05/2020	0.00	0.00	-127.29	Buy to Close
CALL TSLA 04/17/20	870	TESLA INC   CUSIP:   Symbol: TSLA200417C00870000					
03/26/2020	1.00	4,078.61	03/04/2020	0.00	0.00	4,078.61	Buy to Close
PUT TSLA 09/25/20	375	TESLA INC ADJ 5:1 STOCK SPLIT   CUSIP:   Symbol: TSLA200925P00375000					
09/25/2020	1.00	266.70	09/24/2020	0.00	0.00	266.70	Buy to Close
PUT SQ 02/28/20	68	SQUARE INC   CUSIP:   Symbol: SQ200228P00068000					
02/27/2020	1.00	0.84	02/25/2020	50.14	0.00	-49.30	Sell to Close
PUT TSLA 04/09/20	410	TESLA INC   CUSIP:   Symbol: TSLA200409P00410000					
04/09/2020	1.00	0.00	04/01/2020	731.14	0.00	-731.14	Expiration
PUT NFLX 04/03/20	340	NETFLIX INC   CUSIP:   Symbol: NFLX200403P00340000					
	2.00	181.70	04/03/2020	0.00	0.00	181.70	Expiration
PUT TSLA 10/02/20	400	TESLA INC ADJ 5:1 STOCK SPLIT   CUSIP:   Symbol: TSLA201002P00400000					
09/22/2020	1.00	2,314.79	09/21/2020	2,758.14	0.00	-443.35	Sell to Close
PUT QQQ 02/21/20	211	INVESCO QQQ TRUST SERIES 1   CUSIP:   Symbol: QQQ200221P00211000					
02/13/2020	1.00	96.70	02/03/2020	0.00	0.00	96.70	Buy to Close
PUT MSFT 04/17/20	150	MICROSOFT CORP   CUSIP:   Symbol: MSFT200417P00150000					
03/26/2020	1.00	719.83	03/05/2020	351.14	0.00	368.69	Sell to Close
PUT GOOGL 09/25/20	1400	ALPHABET INC CLASS A   CUSIP:   Symbol: GOOGL200925P01400000					
09/25/2020	1.00	200.84	09/24/2020	675.14	0.00	-474.30	Sell to Close
CALL TSLA 10/30/20	540	TESLA INC   CUSIP:   Symbol: TSLA201030C00540000					
09/25/2020	1.00	1,436.81	09/22/2020	2,992.14	0.00	-1,555.33	Sell to Close
PUT QQQ 06/19/20	210	INVESCO QQQ TRUST SERIES 1   CUSIP:   Symbol: QQQ200619P00210000					
06/09/2020	2.00	29.70	05/27/2020	278.28	0.00	-248.58	Sell to Close
PUT AMZN 07/17/20	2330	AMAZON.COM INC   CUSIP:   Symbol: AMZN200717P02330000					
06/26/2020	1.00	2,363.64	06/05/2020	0.00	0.00	2,363.64	Buy to Close
CALL AMZN 11/06/20	3355	AMAZON.COM INC   CUSIP:   Symbol: AMZN201106C03355000					
10/30/2020	1.00	1,009.82	10/29/2020	6,451.14	0.00	-5,441.32	Sell to Close

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APEX CLEARING

## Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B\*

OMB No. 1545-0715

5WT99723

(continued)

01/23/2021

**SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS**

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

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CALL DIS 04/03/20	100	WALT DISNEY CO   CUSIP:   Symbol: DIS200403C00100000					
04/01/2020	2.00	275.43	03/30/2020	0.00	0.00	275.43	Buy to Close
PUT QQQ 09/25/20	264	INVESCO QQQ TRUST SERIES 1   CUSIP:   Symbol: QQQ200925P00264000					
09/24/2020	3.00	-84.85	09/23/2020	0.00	0.00	-84.85	Buy to Close
CALL BA 05/15/20	225	BOEING CO   CUSIP:   Symbol: BA200515C00225000					
04/28/2020	1.00	23.84	03/27/2020	893.14	0.00	-869.30	Sell to Close
CALL TSLA 10/02/20	490	TESLA INC ADJ 5:1 STOCK SPLIT   CUSIP:   Symbol: TSLA201002C00490000					
09/22/2020	1.00	1,132.64	09/21/2020	0.00	0.00	1,132.64	Buy to Close
CALL QQQ 06/19/20	247	INVESCO QQQ TRUST SERIES 1   CUSIP:   Symbol: QQQ200619C00247000					
06/12/2020	2.00	-88.58	06/04/2020	0.00	0.00	-88.58	Buy to Close
CALL TSLA 06/12/20	960	TESLA INC   CUSIP:   Symbol: TSLA200612C00960000					
06/02/2020	1.00	1,359.82	06/01/2020	1,398.14	0.00	-38.32	Sell to Close
PUT AMZN 06/19/20	2120	AMAZON.COM INC   CUSIP:   Symbol: AMZN200619P02120000					
04/27/2020	1.00	3,979.77	04/15/2020	8,374.14	0.00	-4,394.37	Sell to Close
PUT AMZN 02/28/20	1920	AMAZON.COM INC   CUSIP:   Symbol: AMZN200228P01920000					
02/28/2020	1.00	-9,110.32	02/24/2020	0.00	0.00	-9,110.32	Buy to Close
CALL GOOGL 09/25/20	1445	ALPHABET INC CLASS A   CUSIP:   Symbol: GOOGL200925C01445000					
09/25/2020	1.00	193.70	09/24/2020	0.00	0.00	193.70	Buy to Close
PUT TSLA 07/17/20	760	TESLA INC   CUSIP:   Symbol: TSLA200717P00760000					
06/10/2020	1.00	754.66	06/08/2020	0.00	0.00	754.66	Buy to Close
CALL AMZN 12/18/20	3250	AMAZON.COM INC   CUSIP:   Symbol: AMZN201218C03250000					
11/09/2020	1.00	-264.60	10/30/2020	0.00	0.00	-264.60	Buy to Close
PUT SPY 10/30/20	319	STANDARD & POORS DEPOSITORY   CUSIP:   Symbol: SPY201030P00319000					
10/29/2020	6.00	203.17	10/28/2020	924.81	0.00	-721.64	Sell to Close
PUT AMZN 05/15/20	2220	AMAZON.COM INC   CUSIP:   Symbol: AMZN200515P02220000					
	1.00	2,994.78	05/15/2020	0.00	0.00	2,994.78	Expiration
CALL TSLA 09/25/20	419	TESLA INC ADJ 5:1 STOCK SPLIT   CUSIP:   Symbol: TSLA200925C00419000					
09/25/2020	1.00	7.84	09/25/2020	22.14	0.00	-14.30	Sell to Close
PUT AMZN 12/11/20	2950	AMAZON.COM INC   CUSIP:   Symbol: AMZN201211P02950000					
11/13/2020	1.00	5,222.73	11/12/2020	6,267.14	0.00	-1,044.41	Sell to Close

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APEX CLEARING

## Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B\*

OMB No. 1545-0715

5WT99723

(continued)

01/23/2021

**SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS**

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

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PUT QQQ 05/15/20	152	INVESTCO QQQ TRUST SERIES 1   CUSIP:   Symbol: QQQ200515P00152000					
04/13/2020	1.00	82.84	04/02/2020	362.14	0.00	-279.30	Sell to Close
CALL TSLA 09/25/20	420	TESLA INC	ADJ 5:1 STOCK SPLIT   CUSIP:   Symbol: TSLA200925C00420000				
09/25/2020	1.00	148.84	09/24/2020	108.14	0.00	40.70	Sell to Close
PUT TSLA 05/01/20	630	TESLA INC   CUSIP:   Symbol: TSLA200501P00630000					
04/27/2020	1.00	631.84	04/23/2020	1,983.14	0.00	-1,351.30	Sell to Close
PUT AMZN 06/19/20	2140	AMAZON.COM INC   CUSIP:   Symbol: AMZN200619P02140000					
04/27/2020	1.00	4,677.50	04/15/2020	0.00	0.00	4,677.50	Buy to Close
CALL GOOGL 10/02/20	1460	ALPHABET INC CLASS A   CUSIP:   Symbol: GOOGL201002C01460000					
10/02/2020	1.00	298.68	09/25/2020	0.00	0.00	298.68	Buy to Close
PUT AAPL 09/18/20	115	APPLE INC	ADJ 4:1 STOCK SPLIT   CUSIP:   Symbol: AAPL200918P00115000				
09/15/2020	1.00	-37.30	08/31/2020	0.00	0.00	-37.30	Buy to Close
PUT GE 06/19/20	5	GENERAL ELECTRIC CO   CUSIP:   Symbol: GE200619P00005000					
06/04/2020	3.00	5.56	05/19/2020	39.42	0.00	-33.86	Sell to Close
PUT GOOGL 03/27/20	960	ALPHABET INC CLASS A   CUSIP:   Symbol: GOOGL200327P00960000					
03/25/2020	1.00	1,345.67	03/23/2020	0.00	0.00	1,345.67	Buy to Close
PUT GOOGL 06/19/20	1320	ALPHABET INC CLASS A   CUSIP:   Symbol: GOOGL200619P01320000					
06/02/2020	1.00	649.83	05/28/2020	773.14	0.00	-123.31	Sell to Close
PUT TSLA 03/27/20	350	TESLA INC   CUSIP:   Symbol: TSLA200327P00350000					
03/26/2020	1.00	680.69	03/23/2020	0.00	0.00	680.69	Buy to Close
PUT COST 03/06/20	312.50	COSTCO WHOLESALE CORPORATION   CUSIP:   Symbol: COST200306P00312500					
03/06/2020	1.00	812.83	03/05/2020	470.14	0.00	342.69	Sell to Close
PUT ROKU 02/21/20	105	ROKU INC   CUSIP:   Symbol: ROKU200221P00105000					
	2.00	47.70	02/21/2020	0.00	0.00	47.70	Expiration
CALL AMZN 06/19/20	2620	AMAZON.COM INC   CUSIP:   Symbol: AMZN200619C02620000					
05/21/2020	1.00	2,631.79	05/08/2020	2,004.14	0.00	627.65	Sell to Close
CALL TSLA 03/27/20	520	TESLA INC   CUSIP:   Symbol: TSLA200327C00520000					
03/26/2020	1.00	38.66	03/24/2020	0.00	0.00	38.66	Buy to Close
PUT AMZN 03/20/20	1880	AMAZON.COM INC   CUSIP:   Symbol: AMZN200320P01880000					
03/11/2020	1.00	-5,281.40	03/02/2020	0.00	0.00	-5,281.40	Buy to Close

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APEX CLEARING

## Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B\*

OMB No. 1545-0715

5WT99723

(continued)

01/23/2021

**SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS**

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PUT TSLA 10/02/20	355	TESLA INC	ADJ 5:1 STOCK SPLIT   CUSIP:   Symbol: TSLA201002P00355000				
09/28/2020	1.00	142.84	09/25/2020	385.14	0.00	-242.30	Sell to Close
CALL TSLA 10/09/20	450	TESLA INC	ADJ 5:1 STOCK SPLIT   CUSIP:   Symbol: TSLA201009C00450000				
10/01/2020	1.00	1,958.80	09/25/2020	1,136.14	0.00	822.66	Sell to Close
CALL TRLY 03/20/20	21.50	TILRAY INC   CUSIP:   Symbol: TRLY200320C00021500					
03/09/2020	1.00	-43.30	03/03/2020	0.00	0.00	-43.30	Buy to Close
CALL GOOGL 11/13/20	1795	ALPHABET INC CLASS A   CUSIP:   Symbol: GOOGL201113C01795000					
11/09/2020	1.00	-1,771.32	11/06/2020	0.00	0.00	-1,771.32	Buy to Close
CALL ZM 06/19/20	210	ZOOM VIDEO COMMUNICATIONS INC   CUSIP:   Symbol: ZM200619C00210000					
06/03/2020	1.00	-823.32	06/01/2020	0.00	823.32 D	0.00	Buy to Close
06/09/2020	1.00	148.36	06/04/2020	0.00	0.00	148.36	Buy to Close
<b>Security Totals:</b>		<b>-674.96</b>		<b>0.00</b>		<b>148.36</b>	
PUT AMZN 04/03/20	1850	AMAZON.COM INC   CUSIP:   Symbol: AMZN200403P01850000					
04/02/2020	2.00	225.41	03/31/2020	0.00	0.00	225.41	Buy to Close
04/02/2020	2.00	225.41	03/31/2020	0.00	0.00	225.41	Buy to Close
<b>Security Totals:</b>		<b>450.82</b>		<b>0.00</b>		<b>450.82</b>	
CALL AMZN 05/01/20	2550	AMAZON.COM INC   CUSIP:   Symbol: AMZN200501C02550000					
04/30/2020	1.00	2,974.78	04/30/2020	3,217.14	0.00	-242.36	Sell to Close
PUT GILD 05/15/20	65	GILEAD SCIENCES INC   CUSIP:   Symbol: GILD200515P00065000					
04/17/2020	1.00	2.70	04/14/2020	0.00	0.00	2.70	Buy to Close
CALL QQQ 04/03/20	205	INVESCO QQQ TRUST SERIES 1   CUSIP:   Symbol: QQQ200403C00205000					
04/03/2020	2.00	0.00	03/31/2020	72.28	0.00	-72.28	Expiration
PUT AMZN 04/17/20	1880	AMAZON.COM INC   CUSIP:   Symbol: AMZN200417P01880000					
03/16/2020	1.00	-7,124.61	03/11/2020	0.00	0.00	-7,124.61	Buy to Close
PUT AMZN 10/30/20	3025	AMAZON.COM INC   CUSIP:   Symbol: AMZN201030P03025000					
10/30/2020	1.00	174.84	10/29/2020	2,001.14	0.00	-1,826.30	Sell to Close
CALL GOOGL 03/27/20	1120	ALPHABET INC CLASS A   CUSIP:   Symbol: GOOGL200327C01120000					
03/26/2020	1.00	-1,732.32	03/23/2020	0.00	0.00	-1,732.32	Buy to Close
PUT GOOGL 10/16/20	1300	ALPHABET INC CLASS A   CUSIP:   Symbol: GOOGL201016P01300000					
09/28/2020	1.00	529.84	09/23/2020	1,034.14	0.00	-504.30	Sell to Close

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2020 Form 1099-B\*

OMB No. 1545-0715

5WT99723

(continued)

01/23/2021

**SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS**

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PUT TSLA 11/13/20	395	TESLA INC   CUSIP:   Symbol: TSLA201113P00395000					
11/05/2020	1.00	208.69	11/04/2020	0.00	0.00	208.69	Buy to Close
11/09/2020	3.00	908.14	11/06/2020	0.00	0.00	908.14	Buy to Close
<b>Security Totals:</b>		<b>1,116.83</b>		<b>0.00</b>		<b>1,116.83</b>	
CALL GOOGL 03/27/20	1115	ALPHABET INC CLASS A   CUSIP:   Symbol: GOOGL200327C01115000					
03/26/2020	1.00	49.64	03/26/2020	0.00	0.00	49.64	Buy to Close
CALL GOOGL 03/20/20	1440	ALPHABET INC CLASS A   CUSIP:   Symbol: GOOGL200320C01440000					
03/11/2020	1.00	27.84	03/04/2020	646.14	0.00	-618.30	Sell to Close
CALL TSLA 11/06/20	440	TESLA INC   CUSIP:   Symbol: TSLA201106C00440000					
11/04/2020	1.00	264.84	11/02/2020	238.14	0.00	26.70	Sell to Close
CALL GOOGL 06/19/20	1500	ALPHABET INC CLASS A   CUSIP:   Symbol: GOOGL200619C01500000					
05/27/2020	1.00	113.70	05/13/2020	0.00	0.00	113.70	Buy to Close
CALL ZM 06/19/20	225	ZOOM VIDEO COMMUNICATIONS INC   CUSIP:   Symbol: ZM200619C00225000					
06/19/2020	1.00	1,642.81	06/12/2020	1,123.14	0.00	519.67	Sell to Close
PUT NFLX 04/17/20	300	NETFLIX INC   CUSIP:   Symbol: NFLX200417P00300000					
	2.00	555.69	04/17/2020	0.00	0.00	555.69	Expiration
PUT NFLX 01/17/20	317.50	NETFLIX INC   CUSIP:   Symbol: NFLX200117P00317500					
01/17/2020	1.00	0.00	01/08/2020	73.14	0.00	-73.14	Expiration
PUT AMZN 11/06/20	3080	AMAZON.COM INC   CUSIP:   Symbol: AMZN201106P03080000					
11/05/2020	1.00	132.84	11/04/2020	1,057.14	0.00	-924.30	Sell to Close
PUT TSLA 06/19/20	670	TESLA INC   CUSIP:   Symbol: TSLA200619P00670000					
05/21/2020	2.00	2,483.66	05/18/2020	3,142.28	0.00	-658.62	Sell to Close
CALL GOOGL 02/28/20	1480	ALPHABET INC CLASS A   CUSIP:   Symbol: GOOGL200228C01480000					
02/28/2020	1.00	9.84	02/25/2020	146.14	0.00	-136.30	Sell to Close
CALL GOOGL 09/25/20	1450	ALPHABET INC CLASS A   CUSIP:   Symbol: GOOGL200925C01450000					
09/25/2020	1.00	44.84	09/24/2020	154.14	0.00	-109.30	Sell to Close
CALL AMZN 05/08/20	2600	AMAZON.COM INC   CUSIP:   Symbol: AMZN200508C02600000					
04/30/2020	1.00	336.61	04/30/2020	0.00	0.00	336.61	Buy to Close
PUT COST 04/17/20	287.50	COSTCO WHOLESALE CORPORATION   CUSIP:   Symbol: COST200417P00287500					
04/17/2020	1.00	109.70	04/13/2020	0.00	0.00	109.70	Buy to Close

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APEX CLEARING

## Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B\*

OMB No. 1545-0715

5WT99723

(continued)

01/23/2021

**SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS**

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

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

1c - Date Sold or Disposed	Quantity	1d - Proceeds	1b - Date Acquired	1e - Cost or Other Basis	1f - Accrued Market Discount (M) & 1g - Wash Sale Loss Disallowed (D)	Gain or Loss (-)	Additional Notes
CALL AMZN 04/09/20 2010	AMAZON.COM INC   CUSIP:   Symbol: AMZN200409C02010000						
04/06/2020	1.00	342.70	04/02/2020	0.00	0.00	342.70	Buy to Close
CALL AMZN 02/28/20 2070	AMAZON.COM INC   CUSIP:   Symbol: AMZN200228C02070000						
02/28/2020	1.00	12.84	02/24/2020	979.14	0.00	-966.30	Sell to Close
PUT TSLA 10/23/20 380	TESLA INC   CUSIP:   Symbol: TSLA201023P00380000						
09/22/2020	1.00	3,347.77	09/16/2020	3,556.14	0.00	-208.37	Sell to Close
PUT ZM 06/12/20 190	ZOOM VIDEO COMMUNICATIONS INC   CUSIP:   Symbol: ZM200612P00190000						
06/10/2020	1.00	71.70	06/09/2020	0.00	0.00	71.70	Buy to Close
CALL GILD 06/19/20 80	GILEAD SCIENCES INC   CUSIP:   Symbol: GILD200619C00080000						
05/12/2020	2.00	805.70	04/17/2020	1,870.95	0.00	-1,065.25	Sell to Close
05/12/2020	1.00	402.84	04/17/2020	935.47	0.00	-532.63	Sell to Close
<b>Security Totals:</b>		<b>1,208.54</b>		<b>2,806.42</b>		<b>-1,597.88</b>	
PUT SPY 05/15/20 263	STANDARD & POORS DEPOSITORY   CUSIP:   Symbol: SPY200515P00263000						
04/22/2020	1.00	-137.31	04/17/2020	0.00	0.00	-137.31	Buy to Close
PUT DIS 04/17/20 95	WALT DISNEY CO   CUSIP:   Symbol: DIS200417P00095000						
04/01/2020	1.00	-25.31	03/09/2020	0.00	0.00	-25.31	Buy to Close
PUT TSLA 04/24/20 707.50	TESLA INC   CUSIP:   Symbol: TSLA200424P00707500						
04/24/2020	1.00	1,010.82	04/23/2020	988.14	0.00	22.68	Sell to Close
PUT ROKU 02/21/20 103	ROKU INC   CUSIP:   Symbol: ROKU200221P00103000						
02/21/2020	1.00	0.00	02/14/2020	19.14	0.00	-19.14	Expiration
PUT TSLA 07/17/20 710	TESLA INC   CUSIP:   Symbol: TSLA200717P00710000						
06/26/2020	1.00	555.69	06/08/2020	0.00	0.00	555.69	Buy to Close
CALL AMZN 05/08/20 2650	AMAZON.COM INC   CUSIP:   Symbol: AMZN200508C02650000						
04/28/2020	1.00	1,096.66	04/27/2020	0.00	0.00	1,096.66	Buy to Close
CALL TSLA 06/19/20 920	TESLA INC   CUSIP:   Symbol: TSLA200619C00920000						
04/27/2020	1.00	5,652.73	04/14/2020	5,464.14	0.00	188.59	Sell to Close
PUT AMZN 03/20/20 1865	AMAZON.COM INC   CUSIP:   Symbol: AMZN200320P01865000						
02/18/2020	2.00	539.69	02/03/2020	3,847.28	0.00	-3,307.59	Sell to Close
PUT IWM 05/15/20 122	ISHARES RUSSELL 2000 ETF   CUSIP:   Symbol: IWM200515P00122000						
	1.00	3.84	05/15/2020	0.00	0.00	3.84	Expiration

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APEX CLEARING

## Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B\*

OMB No. 1545-0715

5WT99723

(continued)

01/23/2021

**SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS**

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

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

1c - Date Sold or Disposed	Quantity	1d - Proceeds	1b - Date Acquired	1e - Cost or Other Basis	1f - Accrued Market Discount (M) & 1g - Wash Sale Loss Disallowed (D)	Gain or Loss (-)	Additional Notes
CALL AMZN 07/17/20	2680	AMAZON.COM INC   CUSIP:   Symbol: AMZN200717C02680000					
06/26/2020	1.00	12,885.56	06/05/2020	1,896.14	0.00	10,989.42	Sell to Close
PUT MSFT 04/17/20	145	MICROSOFT CORP   CUSIP:   Symbol: MSFT200417P00145000					
03/09/2020	1.00	779.83	02/24/2020	139.14	0.00	640.69	Sell to Close
04/15/2020	1.00	1.84	03/30/2020	331.14	0.00	-329.30	Sell to Close
<b>Security Totals:</b>		<b>781.67</b>		<b>470.28</b>		<b>311.39</b>	
CALL GOOGL 03/06/20	1430	ALPHABET INC CLASS A   CUSIP:   Symbol: GOOGL200306C01430000					
03/06/2020	1.00	33.84	03/02/2020	161.14	0.00	-127.30	Sell to Close
PUT BA 05/15/20	115	BOEING CO   CUSIP:   Symbol: BA200515P00115000					
05/01/2020	1.00	205.84	04/27/2020	503.14	0.00	-297.30	Sell to Close
PUT TSLA 04/09/20	440	TESLA INC   CUSIP:   Symbol: TSLA200409P00440000					
04/09/2020	1.00	0.00	04/01/2020	1,281.14	0.00	-1,281.14	Expiration
PUT GOOGL 04/03/20	1075	ALPHABET INC CLASS A   CUSIP:   Symbol: GOOGL200403P01075000					
04/02/2020	2.00	-622.58	03/31/2020	0.00	0.00	-622.58	Buy to Close
CALL DIS 04/17/20	125	WALT DISNEY CO   CUSIP:   Symbol: DIS200417C00125000					
03/13/2020	1.00	148.84	03/09/2020	132.14	0.00	16.70	Sell to Close
CALL QQQ 06/19/20	242	INVESCO QQQ TRUST SERIES 1   CUSIP:   Symbol: QQQ200619C00242000					
06/04/2020	2.00	-160.58	05/27/2020	0.00	0.00	-160.58	Buy to Close
CALL HD 03/20/20	265	HOME DEPOT INC   CUSIP:   Symbol: HD200320C00265000					
02/25/2020	1.00	29.85	02/07/2020	48.14	0.00	-18.29	Sell to Close
PUT ROKU 03/06/20	99	ROKU INC   CUSIP:   Symbol: ROKU200306P00099000					
03/06/2020	1.00	65.71	03/04/2020	0.00	0.00	65.71	Buy to Close
PUT AMZN 01/17/20	1780	AMAZON.COM INC   CUSIP:   Symbol: AMZN200117P01780000					
	2.00	2,002.65	01/17/2020	0.00	0.00	2,002.65	Expiration
CALL AMZN 06/19/20	2660	AMAZON.COM INC   CUSIP:   Symbol: AMZN200619C02660000					
04/27/2020	1.00	6,431.71	04/15/2020	4,108.14	0.00	2,323.57	Sell to Close
PUT GILD 04/24/20	75	GILEAD SCIENCES INC   CUSIP:   Symbol: GILD200424P00075000					
04/23/2020	1.00	41.70	04/21/2020	0.00	0.00	41.70	Buy to Close
PUT AMZN 11/06/20	3090	AMAZON.COM INC   CUSIP:   Symbol: AMZN201106P03090000					
11/05/2020	1.00	1,057.68	11/04/2020	0.00	0.00	1,057.68	Buy to Close



APEX CLEARING

## Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B\*

OMB No. 1545-0715

5WT99723

(continued)

01/23/2021

**SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS**

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

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

1c - Date Sold or Disposed	Quantity	1d - Proceeds	1b - Date Acquired	1e - Cost or Other Basis	1f - Accrued Market Discount (M) & 1g - Wash Sale Loss Disallowed (D)	Gain or Loss (-)	Additional Notes
CALL AAPL 10/16/20	126.25						
			ADJ 4:1 STOCK SPLIT   CUSIP:   Symbol: AAPL201016C00126250				
10/06/2020	2.00	63.71	09/25/2020	164.27	0.00	-100.56	Sell to Close
PUT ROKU 02/21/20	107						
			ROKU INC   CUSIP:   Symbol: ROKU200221P00107000				
02/21/2020	1.00	0.00	02/14/2020	38.14	0.00	-38.14	Expiration
PUT GILD 04/09/20	70.50						
			GILEAD SCIENCES INC   CUSIP:   Symbol: GILD200409P00070500				
	1.00	38.85	04/09/2020	0.00	0.00	38.85	Expiration
CALL IWM 06/19/20	145						
			ISHARES RUSSELL 2000 ETF   CUSIP:   Symbol: IWM200619C00145000				
06/05/2020	2.00	1,631.68	05/13/2020	64.28	0.00	1,567.40	Sell to Close
PUT AMZN 03/20/20	1840						
			AMAZON.COM INC   CUSIP:   Symbol: AMZN200320P01840000				
03/11/2020	1.00	-4,909.33	02/24/2020	0.00	0.00	-4,909.33	Buy to Close
CALL GOOGL 05/29/20	1440						
			ALPHABET INC CLASS A   CUSIP:   Symbol: GOOGL200529C01440000				
05/29/2020	2.00	243.40	05/27/2020	0.00	0.00	243.40	Buy to Close
CALL TSLA 09/25/20	480						
			ADJ 5:1 STOCK SPLIT   CUSIP:   Symbol: TSLA200925C00480000				
09/22/2020	1.00	1,213.65	09/21/2020	0.00	0.00	1,213.65	Buy to Close
CALL QQQ 02/21/20	229						
			INVESCO QQQ TRUST SERIES 1   CUSIP:   Symbol: QQQ200221C00229000				
02/13/2020	1.00	-419.30	02/03/2020	0.00	0.00	-419.30	Buy to Close
CALL AMZN 04/24/20	2460						
			AMAZON.COM INC   CUSIP:   Symbol: AMZN200424C02460000				
	4.00	17,211.03	04/24/2020	0.00	0.00	17,211.03	Expiration
PUT DIS 04/03/20	82						
			WALT DISNEY CO   CUSIP:   Symbol: DIS200403P00082000				
04/01/2020	2.00	71.69	03/30/2020	196.28	0.00	-124.59	Sell to Close
PUT COST 03/06/20	310						
			COSTCO WHOLESALE CORPORATION   CUSIP:   Symbol: COST200306P00310000				
03/06/2020	2.00	-380.59	03/05/2020	0.00	0.00	-380.59	Buy to Close
PUT TSLA 11/13/20	385						
			TESLA INC   CUSIP:   Symbol: TSLA201113P00385000				
11/05/2020	1.00	262.84	11/04/2020	404.14	0.00	-141.30	Sell to Close
PUT SPY 10/30/20	322						
			STANDARD & POORS DEPOSITORY   CUSIP:   Symbol: SPY201030P00322000				
10/29/2020	6.00	856.34	10/28/2020	0.00	0.00	856.34	Buy to Close
PUT TSLA 11/13/20	390						
			TESLA INC   CUSIP:   Symbol: TSLA201113P00390000				
11/09/2020	3.00	278.57	11/06/2020	1,047.41	0.00	-768.84	Sell to Close
CALL TSLA 11/06/20	465						
			TESLA INC   CUSIP:   Symbol: TSLA201106C00465000				
11/06/2020	2.00	9.71	11/05/2020	196.27	0.00	-186.56	Sell to Close

APEX CLEARING

## Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B\*

OMB No. 1545-0715

5WT99723

(continued)

01/23/2021

**SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS**

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

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

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PUT TSLA 04/03/20	465	TESLA INC   CUSIP:   Symbol: TSLA200403P00465000					
04/02/2020	2.00	-2,212.60	03/31/2020	0.00	0.00	-2,212.60	Buy to Close
CALL ROKU 02/28/20	135	ROKU INC   CUSIP:   Symbol: ROKU200228C00135000					
02/28/2020	1.00	0.84	02/21/2020	47.14	0.00	-46.30	Sell to Close
CALL CIEN 03/20/20	47	CIENA CORP   CUSIP:   Symbol: CIEN200320C00047000					
	4.00	163.43	03/20/2020	0.00	0.00	163.43	Expiration
CALL IWM 06/19/20	141	ISHARES RUSSELL 2000 ETF   CUSIP:   Symbol: IWM200619C00141000					
06/04/2020	1.00	-424.30	05/18/2020	0.00	0.00	-424.30	Buy to Close
CALL SPY 03/06/20	314	STANDARD & POORS DEPOSITORY   CUSIP:   Symbol: SPY200306C00314000					
	1.00	102.84	03/06/2020	0.00	0.00	102.84	Expiration
PUT COST 05/15/20	275	COSTCO WHOLESALE CORPORATION   CUSIP:   Symbol: COST200515P00275000					
04/23/2020	1.00	55.70	04/21/2020	0.00	0.00	55.70	Buy to Close
CALL IBM 02/21/20	155	INTL BUSINESS MACHINE   CUSIP:   Symbol: IBM200221C00155000					
02/21/2020	1.00	0.00	01/22/2020	15.14	0.00	-15.14	Expiration
PUT TSLA 10/30/20	325	TESLA INC   CUSIP:   Symbol: TSLA201030P00325000					
09/25/2020	1.00	222.66	09/22/2020	0.00	0.00	222.66	Buy to Close
PUT COST 05/15/20	270	COSTCO WHOLESALE CORPORATION   CUSIP:   Symbol: COST200515P00270000					
04/23/2020	1.00	142.84	04/21/2020	181.14	0.00	-38.30	Sell to Close
PUT TSLA 02/28/20	770	TESLA INC   CUSIP:   Symbol: TSLA200228P00770000					
02/28/2020	1.00	-13,710.31	02/24/2020	0.00	0.00	-13,710.31	Buy to Close
PUT TSLA 06/19/20	765	TESLA INC   CUSIP:   Symbol: TSLA200619P00765000					
06/02/2020	1.00	679.83	06/01/2020	1,042.14	0.00	-362.31	Sell to Close
CALL TSLA 05/15/20	690	TESLA INC   CUSIP:   Symbol: TSLA200515C00690000					
04/22/2020	1.00	7,702.67	04/01/2020	1,227.14	0.00	6,475.53	Sell to Close
CALL AMZN 11/06/20	3280	AMAZON.COM INC   CUSIP:   Symbol: AMZN201106C03280000					
11/06/2020	1.00	265.67	11/04/2020	0.00	0.00	265.67	Buy to Close
PUT AMZN 06/19/20	1830	AMAZON.COM INC   CUSIP:   Symbol: AMZN200619P01830000					
03/23/2020	1.00	15,551.50	03/13/2020	22,297.14	0.00	-6,745.64	Sell to Close
CALL TSLA 10/02/20	500	TESLA INC ADJ 5:1 STOCK SPLIT   CUSIP:   Symbol: TSLA201002C00500000					
09/22/2020	1.00	1,769.81	09/21/2020	2,851.14	0.00	-1,081.33	Sell to Close

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APEX CLEARING

## Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B\*

OMB No. 1545-0715

5WT99723

(continued)

01/23/2021

**SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS**

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

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CALL IWM 06/19/20	142	ISHARES RUSSELL 2000 ETF   CUSIP:   Symbol: IWM200619C00142000					
05/22/2020	1.00	9.70	05/18/2020	0.00	0.00	9.70	Buy to Close
PUT NFLX 02/21/20	300	NETFLIX INC   CUSIP:   Symbol: NFLX200221P00300000					
02/07/2020	1.00	13.84	01/22/2020	189.14	0.00	-175.30	Sell to Close
PUT QQQ 04/03/20	180	INVESCO QQQ TRUST SERIES 1   CUSIP:   Symbol: QQQ200403P00180000					
04/02/2020	2.00	-180.59	03/31/2020	0.00	0.00	-180.59	Buy to Close
PUT AMZN 06/19/20	2210	AMAZON.COM INC   CUSIP:   Symbol: AMZN200619P02210000					
05/21/2020	1.00	1,289.82	04/30/2020	6,189.14	0.00	-4,899.32	Sell to Close
PUT AAPL 09/25/20	102.50	APPLE INC ADJ 4:1 STOCK SPLIT   CUSIP:   Symbol: AAPL200925P00102500					
09/23/2020	1.00	40.70	09/21/2020	0.00	0.00	40.70	Buy to Close
PUT AMD 05/15/20	33	ADVANCED MICRO DEVICES INC   CUSIP:   Symbol: AMD200515P00033000					
04/20/2020	1.00	62.70	04/06/2020	0.00	0.00	62.70	Buy to Close
PUT TSLA 03/27/20	345	TESLA INC   CUSIP:   Symbol: TSLA200327P00345000					
03/26/2020	1.00	6.85	03/23/2020	625.14	0.00	-618.29	Sell to Close
CALL TSLA 03/20/20	940	TESLA INC   CUSIP:   Symbol: TSLA200320C00940000					
03/04/2020	1.00	2,104.64	02/24/2020	0.00	0.00	2,104.64	Buy to Close
CALL IWM 06/19/20	144	ISHARES RUSSELL 2000 ETF   CUSIP:   Symbol: IWM200619C00144000					
06/05/2020	1.00	-439.30	06/04/2020	0.00	0.00	-439.30	Buy to Close
PUT ROKU 05/29/20	106	ROKU INC   CUSIP:   Symbol: ROKU200529P00106000					
05/29/2020	5.00	4.27	05/29/2020	125.69	0.00	-121.42	Sell to Close
PUT IWM 06/19/20	142	ISHARES RUSSELL 2000 ETF   CUSIP:   Symbol: IWM200619P00142000					
06/12/2020	1.00	-603.29	06/05/2020	0.00	0.00	-603.29	Buy to Close
CALL IWM 06/19/20	143	ISHARES RUSSELL 2000 ETF   CUSIP:   Symbol: IWM200619C00143000					
06/05/2020	2.00	-916.59	06/04/2020	0.00	0.00	-916.59	Buy to Close
CALL GOOGL 06/19/20	1510	ALPHABET INC CLASS A   CUSIP:   Symbol: GOOGL200619C01510000					
06/02/2020	1.00	401.69	05/28/2020	0.00	0.00	401.69	Buy to Close
PUT GOOGL 03/20/20	1245	ALPHABET INC CLASS A   CUSIP:   Symbol: GOOGL200320P01245000					
03/11/2020	1.00	-6,501.31	03/04/2020	0.00	0.00	-6,501.31	Buy to Close
PUT SPY 12/18/20	275	STANDARD & POORS DEPOSITORY   CUSIP:   Symbol: SPY201218P00275000					
06/19/2020	2.00	2,759.65	05/27/2020	3,356.28	0.00	-596.63	Sell to Close

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

APEX CLEARING

## Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B\*

OMB No. 1545-0715

5WT99723

(continued)

01/23/2021

**SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS**

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

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

<b>1c - Date Sold or Disposed</b>	<b>Quantity</b>	<b>1d - Proceeds</b>	<b>1b - Date Acquired</b>	<b>1e - Cost or Other Basis</b>	<b>1f - Accrued Market Discount (M) &amp; 1g - Wash Sale Loss Disallowed (D)</b>	<b>Gain or Loss (-)</b>	<b>Additional Notes</b>
PUT BA 05/15/20	135	BOEING CO   CUSIP:   Symbol: BA200515P00135000					
05/01/2020	1.00	931.82	04/27/2020	1,376.14	0.00	-444.32	Sell to Close
CALL TSLA 11/13/20	445	TESLA INC   CUSIP:   Symbol: TSLA201113C00445000					
11/05/2020	1.00	-331.32	11/04/2020	0.00	0.00	-331.32	Buy to Close
PUT IWM 06/19/20	108	ISHARES RUSSELL 2000 ETF   CUSIP:   Symbol: IWM200619P00108000					
05/27/2020	2.00	435.42	05/13/2020	0.00	0.00	435.42	Buy to Close
PUT QQQ 02/21/20	206	INVESCO QQQ TRUST SERIES 1   CUSIP:   Symbol: QQQ200221P00206000					
02/13/2020	1.00	4.84	02/03/2020	62.14	0.00	-57.30	Sell to Close
PUT TSLA 10/09/20	350	TESLA INC   CUSIP:   Symbol: TSLA201009P00350000					
10/01/2020	1.00	736.70	09/25/2020	0.00	0.00	736.70	Buy to Close
PUT PYPL 05/08/20	119	PAYPAL HOLDINGS INC   CUSIP:   Symbol: PYPL200508P00119000					
05/07/2020	2.00	208.40	Various	0.00	0.00	208.40	Buy to Close
CALL QQQ 06/19/20	249	INVESCO QQQ TRUST SERIES 1   CUSIP:   Symbol: QQQ200619C00249000					
06/12/2020	2.00	141.70	06/04/2020	82.28	0.00	59.42	Sell to Close
PUT AMZN 06/19/20	2130	AMAZON.COM INC   CUSIP:   Symbol: AMZN200619P02130000					
05/26/2020	1.00	1,333.66	05/08/2020	0.00	0.00	1,333.66	Buy to Close
CALL NFLX 02/28/20	390	NETFLIX INC   CUSIP:   Symbol: NFLX200228C00390000					
	1.00	144.85	02/28/2020	0.00	0.00	144.85	Expiration
PUT TSLA 10/16/20	338	TESLA INC ADJ 5:1 STOCK SPLIT   CUSIP:   Symbol: TSLA201016P00338000					
09/25/2020	1.00	761.68	09/23/2020	0.00	0.00	761.68	Buy to Close
PUT TSLA 10/16/20	328	TESLA INC ADJ 5:1 STOCK SPLIT   CUSIP:   Symbol: TSLA201016P00328000					
09/25/2020	1.00	726.83	09/23/2020	1,376.14	0.00	-649.31	Sell to Close
PUT AMZN 04/17/20	1790	AMAZON.COM INC   CUSIP:   Symbol: AMZN200417P01790000					
04/17/2020	1.00	0.00	03/31/2020	1,727.14	0.00	-1,727.14	Expiration
PUT ZM 06/05/20	155	ZOOM VIDEO COMMUNICATIONS INC   CUSIP:   Symbol: ZM200605P00155000					
06/01/2020	1.00	161.70	05/29/2020	0.00	0.00	161.70	Buy to Close
PUT AMZN 04/03/20	1855	AMAZON.COM INC   CUSIP:   Symbol: AMZN200403P01855000					
04/02/2020	1.00	284.85	03/31/2020	399.14	0.00	-114.29	Sell to Close
04/02/2020	1.00	283.84	03/31/2020	399.14	0.00	-115.30	Sell to Close
<b>Security Totals:</b>		<b>568.69</b>		<b>798.28</b>		<b>-229.59</b>	

APEX CLEARING

## Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B\*

OMB No. 1545-0715

5WT99723

(continued)

01/23/2021

**SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS**

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

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CALL PTON 05/08/20 45	PELTON INTERACTIVE INC CL A   CUSIP:   Symbol: PTON200508C00045000						
05/07/2020	1.00	33.84	05/05/2020	41.14	0.00	-7.30	Sell to Close
05/07/2020	1.00	32.85	05/05/2020	41.14	0.00	-8.29	Sell to Close
<b>Security Totals:</b>		<b>66.69</b>		<b>82.28</b>		<b>-15.59</b>	
CALL IWM 06/19/20 146	ISHARES RUSSELL 2000 ETF   CUSIP:   Symbol: IWM200619C00146000						
06/05/2020	1.00	740.84	05/18/2020	110.14	0.00	630.70	Sell to Close
PUT GOOGL 11/06/20 1535	ALPHABET INC CLASS A   CUSIP:   Symbol: GOOGL201106P01535000						
11/03/2020	1.00	627.83	10/30/2020	1,286.14	0.00	-658.31	Sell to Close
CALL TSLA 10/02/20 445	TESLA INC ADJ 5:1 STOCK SPLIT   CUSIP:   Symbol: TSLA201002C00445000						
10/01/2020	1.00	920.82	09/25/2020	515.14	0.00	405.68	Sell to Close
CALL IWM 06/19/20 147	ISHARES RUSSELL 2000 ETF   CUSIP:   Symbol: IWM200619C00147000						
05/22/2020	1.00	80.85	05/18/2020	97.14	0.00	-16.29	Sell to Close
PUT TSLA 04/17/20 600	TESLA INC   CUSIP:   Symbol: TSLA200417P00600000						
04/14/2020	1.00	108.84	03/04/2020	3,306.14	0.00	-3,197.30	Sell to Close
PUT DOCU 04/17/20 65	DOCUSIGN INC   CUSIP:   Symbol: DOCU200417P00065000						
03/23/2020	1.00	198.71	03/09/2020	0.00	0.00	198.71	Buy to Close
CALL MSFT 04/17/20 190	MICROSOFT CORP   CUSIP:   Symbol: MSFT200417C00190000						
03/05/2020	1.00	49.71	02/24/2020	0.00	0.00	49.71	Buy to Close
PUT TSLA 05/15/20 500	TESLA INC   CUSIP:   Symbol: TSLA200515P00500000						
04/22/2020	1.00	1,386.81	04/13/2020	2,601.14	0.00	-1,214.33	Sell to Close
PUT AMZN 04/09/20 1810	AMAZON.COM INC   CUSIP:   Symbol: AMZN200409P01810000						
04/06/2020	1.00	875.69	04/02/2020	0.00	0.00	875.69	Buy to Close
PUT GM 04/17/20 24	GENERAL MOTORS COMPANY   CUSIP:   Symbol: GM200417P00024000						
03/30/2020	1.00	-170.30	03/09/2020	0.00	0.00	-170.30	Buy to Close
PUT ROKU 03/06/20 93	ROKU INC   CUSIP:   Symbol: ROKU200306P00093000						
03/06/2020	1.00	0.84	03/04/2020	38.14	0.00	-37.30	Sell to Close
PUT GOOGL 03/20/20 1235	ALPHABET INC CLASS A   CUSIP:   Symbol: GOOGL200320P01235000						
03/11/2020	1.00	6,751.71	03/04/2020	831.14	0.00	5,920.57	Sell to Close
CALL AAPL 10/30/20 119	APPLE INC   CUSIP:   Symbol: AAPL201030C00119000						
10/30/2020	1.00	106.70	10/29/2020	0.00	0.00	106.70	Buy to Close

APEX CLEARING

## Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B\*

OMB No. 1545-0715

5WT99723

(continued)

01/23/2021

**SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS**

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

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

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CALL GOOGL 03/06/20	1425	ALPHABET INC CLASS A   CUSIP:   Symbol: GOOGL200306C01425000					
03/06/2020	1.00	139.70	03/02/2020	0.00	0.00	139.70	Buy to Close
PUT AMZN 05/29/20	2270	AMAZON.COM INC   CUSIP:   Symbol: AMZN200529P02270000					
05/27/2020	1.00	68.70	05/27/2020	0.00	0.00	68.70	Buy to Close
CALL GILD 06/19/20	85	GILEAD SCIENCES INC   CUSIP:   Symbol: GILD200619C00085000					
05/12/2020	2.00	433.71	04/17/2020	1,422.28	0.00	-988.57	Sell to Close
05/12/2020	1.00	216.84	04/17/2020	711.14	0.00	-494.30	Sell to Close
<b>Security Totals:</b>		<b>650.55</b>		<b>2,133.42</b>		<b>-1,482.87</b>	
PUT AMZN 04/03/20	1880	AMAZON.COM INC   CUSIP:   Symbol: AMZN200403P01880000					
04/03/2020	1.00	144.71	04/03/2020	0.00	0.00	144.71	Buy to Close
PUT AMZN 04/17/20	1840	AMAZON.COM INC   CUSIP:   Symbol: AMZN200417P01840000					
03/13/2020	1.00	-6,424.54	03/11/2020	0.00	0.00	-6,424.54	Buy to Close
CALL ZM 06/05/20	205	ZOOM VIDEO COMMUNICATIONS INC   CUSIP:   Symbol: ZM200605C00205000					
06/03/2020	1.00	1,786.82	05/29/2020	367.14	0.00	1,419.68	Sell to Close
PUT AMZN 10/30/20	3050	AMAZON.COM INC   CUSIP:   Symbol: AMZN201030P03050000					
10/30/2020	1.00	2,244.65	10/29/2020	0.00	0.00	2,244.65	Buy to Close
CALL TSLA 03/20/20	960	TESLA INC   CUSIP:   Symbol: TSLA200320C00960000					
03/04/2020	1.00	906.83	02/24/2020	2,796.14	0.00	-1,889.31	Sell to Close
PUT SPY 04/01/20	241	STANDARD & POORS DEPOSITORY   CUSIP:   Symbol: SPY200401P00241000					
	2.00	41.71	04/01/2020	0.00	0.00	41.71	Expiration
CALL AAPL 09/25/20	112.50	APPLE INC ADJ 4:1 STOCK SPLIT   CUSIP:   Symbol: AAPL200925C00112500					
09/23/2020	1.00	55.70	09/21/2020	0.00	0.00	55.70	Buy to Close
CALL TSLA 11/06/20	460	TESLA INC   CUSIP:   Symbol: TSLA201106C00460000					
11/06/2020	2.00	247.44	11/05/2020	0.00	0.00	247.44	Buy to Close
CALL AAPL 09/25/20	115	APPLE INC ADJ 4:1 STOCK SPLIT   CUSIP:   Symbol: AAPL200925C00115000					
09/23/2020	1.00	22.84	09/21/2020	72.14	0.00	-49.30	Sell to Close
PUT GOOGL 06/19/20	1330	ALPHABET INC CLASS A   CUSIP:   Symbol: GOOGL200619P01330000					
06/02/2020	1.00	104.69	05/28/2020	0.00	0.00	104.69	Buy to Close
PUT TSLA 05/01/20	690	TESLA INC   CUSIP:   Symbol: TSLA200501P00690000					
04/28/2020	1.00	876.83	04/27/2020	1,294.14	0.00	-417.31	Sell to Close

APEX CLEARING

## Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B\*

OMB No. 1545-0715

5WT99723

(continued)

01/23/2021

**SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS**

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

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PUT AMZN 11/20/20	2955	AMAZON.COM INC   CUSIP:   Symbol: AMZN201120P02955000					
11/05/2020	1.00	6,888.53	11/03/2020	0.00	0.00	6,888.53	Buy to Close
CALL PYPL 05/08/20	135	PAYPAL HOLDINGS INC   CUSIP:   Symbol: PYPL200508C00135000					
05/07/2020	2.00	-1,536.60	Various	0.00	0.00	-1,536.60	Buy to Close
PUT DIS 05/15/20	94	WALT DISNEY CO   CUSIP:   Symbol: DIS200515P00094000					
04/27/2020	2.00	393.71	04/23/2020	530.28	0.00	-136.57	Sell to Close
PUT TSLA 10/30/20	300	TESLA INC   CUSIP:   Symbol: TSLA201030P00300000					
09/25/2020	1.00	981.82	09/22/2020	1,204.14	0.00	-222.32	Sell to Close
PUT TSLA 09/18/20	415	TESLA INC ADJ 5:1 STOCK SPLIT   CUSIP:   Symbol: TSLA200918P00415000					
09/18/2020	1.00	316.70	09/16/2020	0.00	0.00	316.70	Buy to Close
CALL AMZN 12/11/20	3270	AMAZON.COM INC   CUSIP:   Symbol: AMZN201211C03270000					
11/13/2020	1.00	452.56	11/12/2020	0.00	0.00	452.56	Buy to Close
PUT GOOGL 04/03/20	1090	ALPHABET INC CLASS A   CUSIP:   Symbol: GOOGL200403P01090000					
04/02/2020	1.00	944.82	03/31/2020	391.14	0.00	553.68	Sell to Close
CALL AMZN 03/20/20	2055	AMAZON.COM INC   CUSIP:   Symbol: AMZN200320C02055000					
	1.00	1,312.82	03/20/2020	0.00	0.00	1,312.82	Expiration
PUT AMZN 06/12/20	2510	AMAZON.COM INC   CUSIP:   Symbol: AMZN200612P02510000					
06/12/2020	1.00	303.70	06/12/2020	0.00	0.00	303.70	Buy to Close
CALL AMZN 06/12/20	2540	AMAZON.COM INC   CUSIP:   Symbol: AMZN200612C02540000					
06/12/2020	1.00	-383.31	06/12/2020	0.00	0.00	-383.31	Buy to Close
PUT AMZN 11/20/20	2985	AMAZON.COM INC   CUSIP:   Symbol: AMZN201120P02985000					
11/16/2020	1.00	1,140.82	11/13/2020	1,370.14	0.00	-229.32	Sell to Close
11/16/2020	1.00	1,175.82	11/13/2020	1,370.14	0.00	-194.32	Sell to Close
11/16/2020	1.00	939.82	11/13/2020	1,370.14	0.00	-430.32	Sell to Close
11/16/2020	1.00	1,092.82	11/13/2020	1,370.13	0.00	-277.31	Sell to Close
11/17/2020	1.00	505.83	11/13/2020	1,370.13	0.00	-864.30	Sell to Close
<b>Security Totals:</b>		<b>4,855.11</b>		<b>6,850.68</b>		<b>-1,995.57</b>	
CALL TSLA 03/06/20	815	TESLA INC   CUSIP:   Symbol: TSLA200306C00815000					
03/05/2020	1.00	79.84	03/04/2020	231.14	0.00	-151.30	Sell to Close
PUT QQQ 04/03/20	175	INVESCO QQQ TRUST SERIES 1   CUSIP:   Symbol: QQQ200403P00175000					
04/02/2020	2.00	169.70	03/31/2020	154.28	0.00	15.42	Sell to Close

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APEX CLEARING

## Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B\*

OMB No. 1545-0715

5WT99723

(continued)

01/23/2021

**SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS**

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

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CALL TSLA 05/08/20	880	TESLA INC   CUSIP:   Symbol: TSLA200508C00880000					
04/29/2020	1.00	-759.34	04/28/2020	0.00	0.00	-759.34	Buy to Close
CALL TSLA 05/15/20	700	TESLA INC   CUSIP:   Symbol: TSLA200515C00700000					
05/01/2020	1.00	-1,700.37	04/13/2020	0.00	0.00	-1,700.37	Buy to Close
PUT AAPL 10/30/20	109	APPLE INC   CUSIP:   Symbol: AAPL201030P00109000					
10/30/2020	1.00	-34.30	10/29/2020	0.00	0.00	-34.30	Buy to Close
PUT AMZN 05/15/20	2190	AMAZON.COM INC   CUSIP:   Symbol: AMZN200515P02190000					
05/15/2020	1.00	0.00	04/30/2020	2,343.14	0.00	-2,343.14	Expiration
PUT TSLA 04/17/20	735	TESLA INC   CUSIP:   Symbol: TSLA200417P00735000					
04/14/2020	1.00	3,804.76	03/11/2020	14,540.14	0.00	-10,735.38	Sell to Close
PUT TSLA 03/20/20	735	TESLA INC   CUSIP:   Symbol: TSLA200320P00735000					
03/11/2020	1.00	12,164.59	02/24/2020	2,611.14	0.00	9,553.45	Sell to Close
CALL TSLA 05/01/20	900	TESLA INC   CUSIP:   Symbol: TSLA200501C00900000					
04/28/2020	1.00	1,151.82	04/27/2020	1,701.14	0.00	-549.32	Sell to Close
CALL TSLA 06/19/20	950	TESLA INC   CUSIP:   Symbol: TSLA200619C00950000					
04/29/2020	1.00	4,214.75	04/17/2020	5,204.14	0.00	-989.39	Sell to Close
04/29/2020	1.00	4,371.75	04/17/2020	5,204.14	0.00	-832.39	Sell to Close
<b>Security Totals:</b>		<b>8,586.50</b>		<b>10,408.28</b>		<b>-1,821.78</b>	
PUT QQQ 04/17/20	170	INVESCO QQQ TRUST SERIES 1   CUSIP:   Symbol: QQQ200417P00170000					
03/31/2020	1.00	352.70	03/27/2020	0.00	0.00	352.70	Buy to Close
PUT SPY 05/15/20	258	STANDARD & POORS DEPOSITORY   CUSIP:   Symbol: SPY200515P00258000					
04/22/2020	1.00	516.83	04/17/2020	413.14	0.00	103.69	Sell to Close
CALL AMZN 04/24/20	2470	AMAZON.COM INC   CUSIP:   Symbol: AMZN200424C02470000					
04/24/2020	2.00	0.00	04/21/2020	8,048.28	0.00	-8,048.28	Expiration
PUT AMZN 04/17/20	1810	AMAZON.COM INC   CUSIP:   Symbol: AMZN200417P01810000					
	2.00	3,987.62	04/17/2020	0.00	0.00	3,987.62	Expiration
PUT TSLA 05/01/20	700	TESLA INC   CUSIP:   Symbol: TSLA200501P00700000					
04/28/2020	1.00	446.67	04/27/2020	0.00	0.00	446.67	Buy to Close
PUT TSLA 05/15/20	770	TESLA INC   CUSIP:   Symbol: TSLA200515P00770000					
05/13/2020	1.00	447.84	05/12/2020	283.14	0.00	164.70	Sell to Close

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APEX CLEARING

## Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B\*

OMB No. 1545-0715

5WT99723

(continued)

01/23/2021

**SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS**

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

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PUT AMZN 05/08/20	2305	AMAZON.COM INC   CUSIP:   Symbol: AMZN200508P02305000					
04/30/2020	1.00	4,150.75	04/27/2020	4,420.14	0.00	-269.39	Sell to Close
CALL NFLX 01/17/20	370	NETFLIX INC   CUSIP:   Symbol: NFLX200117C00370000					
01/17/2020	1.00	0.00	01/08/2020	74.14	0.00	-74.14	Expiration
CALL TSLA 06/19/20	970	TESLA INC   CUSIP:   Symbol: TSLA200619C00970000					
06/02/2020	1.00	109.66	06/01/2020	0.00	0.00	109.66	Buy to Close
PUT AMZN 05/29/20	2345	AMAZON.COM INC   CUSIP:   Symbol: AMZN200529P02345000					
05/29/2020	1.00	77.84	05/28/2020	195.14	0.00	-117.30	Sell to Close
CALL AAPL 10/30/20	120	APPLE INC   CUSIP:   Symbol: AAPL201030C00120000					
10/30/2020	1.00	1.84	10/29/2020	87.14	0.00	-85.30	Sell to Close
CALL TSLA 09/25/20	490	TESLA INC ADJ 5:1 STOCK SPLIT   CUSIP:   Symbol: TSLA200925C00490000					
09/22/2020	1.00	892.83	09/21/2020	2,035.14	0.00	-1,142.31	Sell to Close
PUT SPY 04/03/20	239	STANDARD & POORS DEPOSITORY   CUSIP:   Symbol: SPY200403P00239000					
04/02/2020	1.00	195.84	03/30/2020	163.14	0.00	32.70	Sell to Close
CALL MSFT 04/17/20	200	MICROSOFT CORP   CUSIP:   Symbol: MSFT200417C00200000					
03/05/2020	1.00	56.84	02/24/2020	90.14	0.00	-33.30	Sell to Close
PUT TSLA 10/02/20	410	TESLA INC ADJ 5:1 STOCK SPLIT   CUSIP:   Symbol: TSLA201002P00410000					
09/22/2020	1.00	446.63	09/21/2020	0.00	0.00	446.63	Buy to Close
PUT TSLA 10/09/20	345	TESLA INC   CUSIP:   Symbol: TSLA201009P00345000					
10/01/2020	1.00	79.84	09/25/2020	733.14	0.00	-653.30	Sell to Close
CALL TSLA 10/23/20	480	TESLA INC   CUSIP:   Symbol: TSLA201023C00480000					
09/22/2020	1.00	1,319.59	09/16/2020	0.00	0.00	1,319.59	Buy to Close
CALL QQQ 06/19/20	245	INVESCO QQQ TRUST SERIES 1   CUSIP:   Symbol: QQQ200619C00245000					
06/04/2020	2.00	209.70	05/27/2020	136.28	0.00	73.42	Sell to Close
CALL AMD 05/01/20	57	ADVANCED MICRO DEVICES INC   CUSIP:   Symbol: AMD200501C00057000					
04/29/2020	1.00	175.70	04/28/2020	0.00	0.00	175.70	Buy to Close
CALL TSLA 03/27/20	525	TESLA INC   CUSIP:   Symbol: TSLA200327C00525000					
03/26/2020	1.00	1,592.82	03/24/2020	1,691.14	0.00	-98.32	Sell to Close
CALL GILD 05/15/20	95	GILEAD SCIENCES INC   CUSIP:   Symbol: GILD200515C00095000					
04/17/2020	1.00	279.84	04/14/2020	80.14	0.00	199.70	Sell to Close

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APEX CLEARING

## Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B\*

OMB No. 1545-0715

5WT99723

(continued)

01/23/2021

**SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS**

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

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

1c - Date Sold or Disposed	Quantity	1d - Proceeds	1b - Date Acquired	1e - Cost or Other Basis	1f - Accrued Market Discount (M) & 1g - Wash Sale Loss Disallowed (D)	Gain or Loss (-)	Additional Notes
PUT TSLA 06/19/20	775	TESLA INC   CUSIP:   Symbol: TSLA200619P00775000					
06/02/2020	1.00	389.68	06/01/2020	0.00	0.00	389.68	Buy to Close
CALL GOOGL 06/19/20	1505	ALPHABET INC CLASS A   CUSIP:   Symbol: GOOGL200619C01505000					
05/27/2020	1.00	664.83	05/13/2020	785.14	0.00	-120.31	Sell to Close
CALL TSLA 05/15/20	720	TESLA INC   CUSIP:   Symbol: TSLA200515C00720000					
05/01/2020	1.00	4,084.76	04/13/2020	2,929.14	0.00	1,155.62	Sell to Close
PUT AMZN 05/01/20	2335	AMAZON.COM INC   CUSIP:   Symbol: AMZN200501P02335000					
04/30/2020	1.00	136.64	04/27/2020	0.00	0.00	136.64	Buy to Close
PUT AMZN 11/13/20	3050	AMAZON.COM INC   CUSIP:   Symbol: AMZN201113P03050000					
11/11/2020	1.00	2,117.80	11/09/2020	1,700.14	0.00	417.66	Sell to Close
CALL TSLA 10/16/20	470	TESLA INC ADJ 5:1 STOCK SPLIT   CUSIP:   Symbol: TSLA201016C00470000					
09/25/2020	1.00	1,241.82	09/23/2020	1,346.14	0.00	-104.32	Sell to Close
PUT QQQ 05/15/20	160	INVESCO QQQ TRUST SERIES 1   CUSIP:   Symbol: QQQ200515P00160000					
04/13/2020	1.00	366.69	04/02/2020	0.00	0.00	366.69	Buy to Close
CALL AMZN 11/13/20	3300	AMAZON.COM INC   CUSIP:   Symbol: AMZN201113C03300000					
11/10/2020	1.00	1,256.67	11/09/2020	0.00	0.00	1,256.67	Buy to Close
CALL ROKU 03/06/20	119	ROKU INC   CUSIP:   Symbol: ROKU200306C00119000					
03/06/2020	1.00	0.84	03/04/2020	22.14	0.00	-21.30	Sell to Close
PUT TSLA 05/15/20	520	TESLA INC   CUSIP:   Symbol: TSLA200515P00520000					
04/22/2020	1.00	1,511.64	04/13/2020	0.00	0.00	1,511.64	Buy to Close
CALL TSLA 05/01/20	890	TESLA INC   CUSIP:   Symbol: TSLA200501C00890000					
04/28/2020	1.00	579.66	04/27/2020	0.00	0.00	579.66	Buy to Close
PUT AMZN 06/19/20	2260	AMAZON.COM INC   CUSIP:   Symbol: AMZN200619P02260000					
05/27/2020	1.00	-135.34	05/21/2020	0.00	135.34 D	0.00	Buy to Close
06/03/2020	1.00	907.33	05/29/2020	0.00	0.00	907.33	Buy to Close
<b>Security Totals:</b>		<b>771.99</b>		<b>0.00</b>		<b>907.33</b>	
PUT AMZN 05/01/20	2375	AMAZON.COM INC   CUSIP:   Symbol: AMZN200501P02375000					
05/01/2020	1.00	-2,769.40	04/30/2020	0.00	0.00	-2,769.40	Buy to Close
CALL AMZN 12/18/20	3270	AMAZON.COM INC   CUSIP:   Symbol: AMZN201218C03270000					
11/09/2020	1.00	13,334.55	10/30/2020	13,258.14	0.00	76.41	Sell to Close

APEX CLEARING

## Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B\*

OMB No. 1545-0715

5WT99723

(continued)

01/23/2021

**SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS**

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

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1c - Date Sold or Disposed	Quantity	1d - Proceeds	1b - Date Acquired	1e - Cost or Other Basis	1f - Accrued Market Discount (M) & 1g - Wash Sale Loss Disallowed (D)	Gain or Loss (-)	Additional Notes
PUT NFLX 06/19/20	340	NETFLIX INC   CUSIP:   Symbol: NFLX200619P00340000					
04/23/2020	1.00	556.83	04/15/2020	812.14	0.00	-255.31	Sell to Close
CALL TSLA 10/02/20	430	TESLA INC	ADJ 5:1 STOCK SPLIT   CUSIP:   Symbol: TSLA201002C00430000				
10/01/2020	1.00	-939.31	09/25/2020	0.00	0.00	-939.31	Buy to Close
PUT ZM 06/19/20	160	ZOOM VIDEO COMMUNICATIONS INC   CUSIP:   Symbol: ZM200619P00160000					
06/03/2020	1.00	402.69	06/01/2020	0.00	0.00	402.69	Buy to Close
PUT NFLX 06/19/20	350	NETFLIX INC   CUSIP:   Symbol: NFLX200619P00350000					
04/23/2020	1.00	257.69	04/15/2020	0.00	0.00	257.69	Buy to Close
CALL XBI 03/20/20	97	SPDR S&P BIOTECH ETF   CUSIP:   Symbol: XBI200320C00097000					
03/20/2020	2.00	0.00	03/02/2020	222.28	0.00	-222.28	Expiration
PUT AMZN 04/17/20	1830	AMAZON.COM INC   CUSIP:   Symbol: AMZN200417P01830000					
03/13/2020	1.00	16,996.47	03/11/2020	10,705.14	0.00	6,291.33	Sell to Close
04/17/2020	1.00	0.00	03/31/2020	2,312.14	0.00	-2,312.14	Expiration
<b>Security Totals:</b>		<b>16,996.47</b>		<b>13,017.28</b>		<b>3,979.19</b>	
CALL TSLA 05/15/20	685	TESLA INC   CUSIP:   Symbol: TSLA200515C00685000					
04/22/2020	1.00	-6,671.32	04/01/2020	0.00	0.00	-6,671.32	Buy to Close
PUT TSLA 04/17/20	620	TESLA INC   CUSIP:   Symbol: TSLA200417P00620000					
04/14/2020	1.00	3,641.62	03/04/2020	0.00	0.00	3,641.62	Buy to Close
CALL PFE 04/17/20	36	PFIZER INC   CUSIP:   Symbol: PFE200417C00036000					
04/13/2020	1.00	16.84	04/08/2020	7.14	0.00	9.70	Sell to Close
CALL TSLA 10/16/20	460	TESLA INC	ADJ 5:1 STOCK SPLIT   CUSIP:   Symbol: TSLA201016C00460000				
09/25/2020	1.00	61.68	09/23/2020	0.00	0.00	61.68	Buy to Close
PUT SPY 04/03/20	242	STANDARD & POORS DEPOSITORY   CUSIP:   Symbol: SPY200403P00242000					
04/02/2020	1.00	-91.30	03/30/2020	0.00	0.00	-91.30	Buy to Close
PUT ZM 06/19/20	150	ZOOM VIDEO COMMUNICATIONS INC   CUSIP:   Symbol: ZM200619P00150000					
06/03/2020	1.00	48.85	06/01/2020	321.14	0.00	-272.29	Sell to Close
CALL AMZN 05/01/20	2560	AMAZON.COM INC   CUSIP:   Symbol: AMZN200501C02560000					
04/28/2020	1.00	1,349.82	04/27/2020	3,493.14	0.00	-2,143.32	Sell to Close
CALL ROKU 02/28/20	130	ROKU INC   CUSIP:   Symbol: ROKU200228C00130000					
02/28/2020	1.00	88.71	02/21/2020	0.00	0.00	88.71	Buy to Close

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APEX CLEARING

## Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B\*

OMB No. 1545-0715

5WT99723

(continued)

01/23/2021

**SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS**

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

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1c - Date Sold or Disposed	Quantity	1d - Proceeds	1b - Date Acquired	1e - Cost or Other Basis	1f - Accrued Market Discount (M) & 1g - Wash Sale Loss Disallowed (D)	Gain or Loss (-)	Additional Notes			
PUT AMZN 05/01/20	2365	AMAZON.COM INC   CUSIP:   Symbol: AMZN200501P02365000	05/01/2020	1.00	6,750.70	04/30/2020	4,570.14	0.00	2,180.56	Sell to Close
CALL SPY 03/06/20	316	STANDARD & POORS DEPOSITORY   CUSIP:   Symbol: SPY200306C00316000	03/06/2020	1.00	0.00	03/03/2020	71.14	0.00	-71.14	Expiration
PUT TSLA 04/03/20	475	TESLA INC   CUSIP:   Symbol: TSLA200403P00475000	04/02/2020	1.00	2,043.80	03/31/2020	641.14	0.00	1,402.66	Sell to Close
PUT TSLA 09/18/20	405	TESLA INC ADJ 5:1 STOCK SPLIT   CUSIP:   Symbol: TSLA200918P00405000	09/18/2020	1.00	17.84	09/16/2020	205.14	0.00	-187.30	Sell to Close
PUT AAPL 10/30/20	108	APPLE INC   CUSIP:   Symbol: AAPL201030P00108000	10/30/2020	1.00	61.84	10/29/2020	53.14	0.00	8.70	Sell to Close
CALL CIEN 03/20/20	48	CIENA CORP   CUSIP:   Symbol: CIEN200320C00048000	03/20/2020	4.00	0.00	03/05/2020	120.56	0.00	-120.56	Expiration
CALL XBI 03/20/20	100	SPDR S&P BIOTECH ETF   CUSIP:   Symbol: XBI200320C00100000	03/20/2020	2.00	95.70	03/20/2020	0.00	0.00	95.70	Expiration
CALL SPY 10/30/20	338	STANDARD & POORS DEPOSITORY   CUSIP:   Symbol: SPY201030C00338000	10/29/2020	6.00	208.36	10/28/2020	0.00	0.00	208.36	Buy to Close
PUT AAPL 09/23/20	100	APPLE INC ADJ 4:1 STOCK SPLIT   CUSIP:   Symbol: AAPL200925P00100000	09/23/2020	1.00	8.84	09/21/2020	38.14	0.00	-29.30	Sell to Close
PUT TSLA 04/17/20	755	TESLA INC   CUSIP:   Symbol: TSLA200417P00755000	04/14/2020	1.00	10,909.36	03/11/2020	0.00	0.00	10,909.36	Buy to Close
PUT PFE 04/13/20	31	PFIZER INC   CUSIP:   Symbol: PFE200417P00031000	04/13/2020	1.00	1.84	04/08/2020	18.14	0.00	-16.30	Sell to Close
PUT NFLX 06/19/20	400	NETFLIX INC   CUSIP:   Symbol: NFLX200619P00400000	04/01/2020	1.00	4,482.75	03/13/2020	9,597.14	0.00	-5,114.39	Sell to Close
PUT TSLA 09/22/20	390	TESLA INC ADJ 5:1 STOCK SPLIT   CUSIP:   Symbol: TSLA200925P00390000	09/22/2020	1.00	970.82	09/21/2020	1,396.14	0.00	-425.32	Sell to Close
PUT AMZN 03/06/20	1865	AMAZON.COM INC   CUSIP:   Symbol: AMZN200306P01865000	03/06/2020	1.00	298.84	03/05/2020	255.14	0.00	43.70	Sell to Close
PUT IWM 05/15/20	121	ISHARES RUSSELL 2000 ETF   CUSIP:   Symbol: IWM200515P00121000	05/15/2020	1.00	0.00	05/15/2020	3.14	0.00	-3.14	Expiration

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APEX CLEARING

## Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B\*

OMB No. 1545-0715

5WT99723

(continued)

01/23/2021

**SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS**

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

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CALL AMZN 06/19/20 2640	AMAZON.COM INC   CUSIP:   Symbol: AMZN200619C02640000						
04/27/2020	1.00	-2,537.39	04/15/2020	0.00	0.00	-2,537.39	Buy to Close
06/19/2020	2.00	369.26	06/12/2020	0.00	0.00	369.26	Buy to Close
<b>Security Totals:</b>		<b>-2,168.13</b>		<b>0.00</b>		<b>-2,168.13</b>	
PUT AMZN 11/20/20 2995	AMAZON.COM INC   CUSIP:   Symbol: AMZN201120P02995000						
11/16/2020	1.00	454.69	11/13/2020	0.00	0.00	454.69	Buy to Close
11/16/2020	1.00	227.69	11/13/2020	0.00	0.00	227.69	Buy to Close
11/16/2020	1.00	187.69	11/13/2020	0.00	0.00	187.69	Buy to Close
11/16/2020	1.00	279.69	11/13/2020	0.00	0.00	279.69	Buy to Close
11/17/2020	1.00	951.68	11/13/2020	0.00	0.00	951.68	Buy to Close
<b>Security Totals:</b>		<b>2,101.44</b>		<b>0.00</b>		<b>2,101.44</b>	
CALL NFLX 06/19/20 510	NETFLIX INC   CUSIP:   Symbol: NFLX200619C00510000						
04/23/2020	1.00	903.83	04/15/2020	985.14	0.00	-81.31	Sell to Close
PUT BA 05/15/20 70	BOEING CO   CUSIP:   Symbol: BA200515P00070000						
04/03/2020	1.00	-13.30	04/01/2020	0.00	0.00	-13.30	Buy to Close
CALL AMZN 05/08/20 2610	AMAZON.COM INC   CUSIP:   Symbol: AMZN200508C02610000						
04/30/2020	1.00	3,868.76	04/30/2020	4,181.14	0.00	-312.38	Sell to Close
CALL GOOGL 06/19/20 1460	ALPHABET INC CLASS A   CUSIP:   Symbol: GOOGL200619C01460000						
04/27/2020	1.00	872.84	04/15/2020	1,011.14	0.00	-138.30	Sell to Close
CALL ROKU 03/06/20 114	ROKU INC   CUSIP:   Symbol: ROKU200306C00114000						
03/06/2020	1.00	79.71	03/04/2020	0.00	0.00	79.71	Buy to Close
PUT AMZN 03/20/20 1830	AMAZON.COM INC   CUSIP:   Symbol: AMZN200320P01830000						
03/11/2020	1.00	6,299.71	02/24/2020	1,686.14	0.00	4,613.57	Sell to Close
PUT QQQ 06/19/20 213	INVESCO QQQ TRUST SERIES 1   CUSIP:   Symbol: QQQ200619P00213000						
06/09/2020	2.00	297.42	05/27/2020	0.00	0.00	297.42	Buy to Close
PUT AMZN 05/29/20 2355	AMAZON.COM INC   CUSIP:   Symbol: AMZN200529P02355000						
05/29/2020	1.00	143.70	05/28/2020	0.00	0.00	143.70	Buy to Close
CALL ZM 06/05/20 235	ZOOM VIDEO COMMUNICATIONS INC   CUSIP:   Symbol: ZM200605C00235000						
06/03/2020	1.00	162.85	06/01/2020	324.14	0.00	-161.29	Sell to Close
PUT NFLX 04/17/20 310	NETFLIX INC   CUSIP:   Symbol: NFLX200417P00310000						
04/17/2020	1.00	0.00	04/01/2020	370.14	0.00	-370.14	Expiration

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APEX CLEARING

## Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B\*

OMB No. 1545-0715

5WT99723

(continued)

01/23/2021

**SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS**

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

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CALL AMZN 11/13/20	3355	AMAZON.COM INC   CUSIP:   Symbol: AMZN201113C03355000					
11/03/2020	1.00	1,276.82	10/30/2020	3,369.14	0.00	-2,092.32	Sell to Close
PUT TSLA 07/17/20	700	TESLA INC   CUSIP:   Symbol: TSLA200717P00700000					
06/26/2020	1.00	426.84	06/08/2020	916.14	0.00	-489.30	Sell to Close
PUT GOOGL 06/19/20	1245	ALPHABET INC CLASS A   CUSIP:   Symbol: GOOGL200619P01245000					
05/28/2020	1.00	827.69	05/13/2020	0.00	0.00	827.69	Buy to Close
CALL TSLA 06/19/20	970	TESLA INC   CUSIP:   Symbol: TSLA200619C00970000					
04/29/2020	1.00	3,968.76	04/17/2020	4,829.14	860.38 D	0.00	Sell to Close
04/29/2020	1.00	4,034.76	04/17/2020	4,829.14	794.38 D	0.00	Sell to Close
05/12/2020	1.00	3,319.77	04/30/2020	4,758.52	1438.75 D	0.00	Sell to Close
05/21/2020	2.00	2,665.66	Various	5,825.41	3159.75 D	0.00	Sell to Close
05/27/2020	3.00	2,402.50	Various	7,053.17	0.00	-4,650.67	Sell to Close
<b>Security Totals:</b>		<b>16,391.45</b>		<b>27,295.38</b>		<b>-4,650.67</b>	
CALL AMZN 12/18/20	3350	AMAZON.COM INC   CUSIP:   Symbol: AMZN201218C03350000					
11/13/2020	1.00	1,193.54	11/09/2020	0.00	0.00	1,193.54	Buy to Close
PUT NFLX 03/06/20	360	NETFLIX INC   CUSIP:   Symbol: NFLX200306P00360000					
03/06/2020	1.00	84.85	03/05/2020	127.14	0.00	-42.29	Sell to Close
CALL ROKU 05/29/20	112	ROKU INC   CUSIP:   Symbol: ROKU200529C00112000					
05/29/2020	5.00	98.59	05/29/2020	0.00	0.00	98.59	Buy to Close
CALL AMZN 01/17/20	1940	AMAZON.COM INC   CUSIP:   Symbol: AMZN200117C01940000					
	2.00	2,851.64	01/17/2020	0.00	0.00	2,851.64	Expiration
CALL SQ 02/28/20	84	SQUARE INC   CUSIP:   Symbol: SQ200228C00084000					
02/27/2020	1.00	9.70	02/25/2020	0.00	0.00	9.70	Buy to Close
PUT ROKU 05/29/20	107	ROKU INC   CUSIP:   Symbol: ROKU200529P00107000					
05/29/2020	5.00	183.59	05/29/2020	0.00	0.00	183.59	Buy to Close
PUT NFLX 01/17/20	327.50	NETFLIX INC   CUSIP:   Symbol: NFLX200117P00327500					
	1.00	195.85	01/17/2020	0.00	0.00	195.85	Expiration
CALL AMZN 05/29/20	2435	AMAZON.COM INC   CUSIP:   Symbol: AMZN200529C02435000					
05/29/2020	1.00	20.84	05/29/2020	107.14	0.00	-86.30	Sell to Close
CALL NFLX 06/19/20	500	NETFLIX INC   CUSIP:   Symbol: NFLX200619C00500000					
04/23/2020	1.00	86.69	04/15/2020	0.00	0.00	86.69	Buy to Close

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APEX CLEARING

## Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B\*

OMB No. 1545-0715

5WT99723

(continued)

01/23/2021

**SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS**

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

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

1c - Date Sold or Disposed	Quantity	1d - Proceeds	1b - Date Acquired	1e - Cost or Other Basis	1f - Accrued Market Discount (M) & 1g - Wash Sale Loss Disallowed (D)	Gain or Loss (-)	Additional Notes
PUT TSLA 05/15/20	350	TESLA INC   CUSIP:   Symbol: TSLA200515P00350000					
04/21/2020	1.00	334.85	04/01/2020	1,991.14	0.00	-1,656.29	Sell to Close
CALL QQQ 05/15/20	209	INVESCO QQQ TRUST SERIES 1   CUSIP:   Symbol: QQQ200515C00209000					
04/13/2020	1.00	478.83	04/02/2020	162.14	0.00	316.69	Sell to Close
CALL DIS 04/17/20	120	WALT DISNEY CO   CUSIP:   Symbol: DIS200417C00120000					
03/13/2020	1.00	-2.30	03/09/2020	0.00	0.00	-2.30	Buy to Close
PUT HD 03/20/20	220	HOME DEPOT INC   CUSIP:   Symbol: HD200320P00220000					
02/25/2020	1.00	97.70	02/07/2020	0.00	0.00	97.70	Buy to Close
CALL TSLA 06/19/20	980	TESLA INC   CUSIP:   Symbol: TSLA200619C00980000					
06/02/2020	1.00	1,650.81	06/01/2020	1,753.14	0.00	-102.33	Sell to Close
CALL NFLX 02/21/20	360	NETFLIX INC   CUSIP:   Symbol: NFLX200221C00360000					
02/07/2020	1.00	1,199.82	01/22/2020	350.14	0.00	849.68	Sell to Close
CALL NFLX 02/21/20	375	NETFLIX INC   CUSIP:   Symbol: NFLX200221C00375000					
02/07/2020	1.00	-379.30	01/22/2020	0.00	0.00	-379.30	Buy to Close
PUT CIEN 04/17/20	40	CIENA CORP   CUSIP:   Symbol: CIEN200417P00040000					
03/26/2020	4.00	446.83	03/11/2020	0.00	0.00	446.83	Buy to Close
PUT AMZN 02/28/20	1910	AMAZON.COM INC   CUSIP:   Symbol: AMZN200228P01910000					
02/28/2020	1.00	9,318.64	02/24/2020	994.14	0.00	8,324.50	Sell to Close
PUT DIS 04/17/20	90	WALT DISNEY CO   CUSIP:   Symbol: DIS200417P00090000					
04/01/2020	1.00	331.85	03/09/2020	382.14	0.00	-50.29	Sell to Close
PUT DIS 04/03/20	84	WALT DISNEY CO   CUSIP:   Symbol: DIS200403P00084000					
04/01/2020	2.00	105.43	03/30/2020	0.00	0.00	105.43	Buy to Close
CALL NFLX 01/17/20	360	NETFLIX INC   CUSIP:   Symbol: NFLX200117C00360000					
	1.00	156.85	01/17/2020	0.00	0.00	156.85	Expiration
PUT AMZN 12/18/20	2860	AMAZON.COM INC   CUSIP:   Symbol: AMZN201218P02860000					
11/06/2020	1.00	6,758.46	10/30/2020	0.00	0.00	6,758.46	Buy to Close
CALL AMZN 04/03/20	1945	AMAZON.COM INC   CUSIP:   Symbol: AMZN200403C01945000					
04/03/2020	1.00	0.00	04/03/2020	82.14	0.00	-82.14	Expiration
CALL SPY 04/03/20	273	STANDARD & POORS DEPOSITORY   CUSIP:   Symbol: SPY200403C00273000					
04/02/2020	1.00	221.70	03/30/2020	0.00	0.00	221.70	Buy to Close

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APEX CLEARING

## Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B\*

OMB No. 1545-0715

5WT99723

(continued)

01/23/2021

**SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS**

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

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PUT MSFT 04/17/20	140	MICROSOFT CORP   CUSIP:   Symbol: MSFT200417P00140000					
03/09/2020	1.00	-427.30	03/05/2020	0.00	0.00	-427.30	Buy to Close
PUT GOOGL 11/13/20	1690	ALPHABET INC CLASS A   CUSIP:   Symbol: GOOGL201113P01690000					
11/09/2020	1.00	1,157.68	11/06/2020	0.00	0.00	1,157.68	Buy to Close
PUT GOOGL 03/27/20	950	ALPHABET INC CLASS A   CUSIP:   Symbol: GOOGL200327P00950000					
03/25/2020	1.00	101.85	03/23/2020	1,283.14	0.00	-1,181.29	Sell to Close
CALL QQQ 04/17/20	198	INVESCO QQQ TRUST SERIES 1   CUSIP:   Symbol: QQQ200417C00198000					
03/31/2020	1.00	588.83	03/27/2020	437.14	0.00	151.69	Sell to Close
CALL AAPL 03/20/20	350	APPLE INC   CUSIP:   Symbol: AAPL200320C00350000					
02/24/2020	1.00	103.70	02/03/2020	0.00	0.00	103.70	Buy to Close
PUT AMZN 05/29/20	2260	AMAZON.COM INC   CUSIP:   Symbol: AMZN200529P02260000					
05/27/2020	1.00	110.84	05/27/2020	167.14	0.00	-56.30	Sell to Close
PUT TSLA 03/06/20	690	TESLA INC   CUSIP:   Symbol: TSLA200306P00690000					
03/05/2020	1.00	34.70	03/04/2020	0.00	0.00	34.70	Buy to Close
CALL TSLA 11/13/20	460	TESLA INC   CUSIP:   Symbol: TSLA201113C00460000					
11/09/2020	3.00	-1,263.86	11/06/2020	0.00	0.00	-1,263.86	Buy to Close
CALL ZM 06/19/20	215	ZOOM VIDEO COMMUNICATIONS INC   CUSIP:   Symbol: ZM200619C00215000					
06/19/2020	1.00	-897.33	06/12/2020	0.00	0.00	-897.33	Buy to Close
PUT TSLA 07/17/20	730	TESLA INC   CUSIP:   Symbol: TSLA200717P00730000					
06/10/2020	1.00	833.84	06/08/2020	1,363.14	0.00	-529.30	Sell to Close
CALL ZM 06/19/20	195	ZOOM VIDEO COMMUNICATIONS INC   CUSIP:   Symbol: ZM200619C00195000					
06/03/2020	1.00	3,118.79	05/28/2020	381.14	0.00	2,737.65	Sell to Close
PUT NFLX 06/19/20	410	NETFLIX INC   CUSIP:   Symbol: NFLX200619P00410000					
04/01/2020	1.00	5,318.48	03/13/2020	0.00	0.00	5,318.48	Buy to Close
CALL AMZN 07/17/20	2650	AMAZON.COM INC   CUSIP:   Symbol: AMZN200717C02650000					
06/26/2020	1.00	-12,563.35	06/05/2020	0.00	0.00	-12,563.35	Buy to Close
CALL AMZN 05/29/20	2470	AMAZON.COM INC   CUSIP:   Symbol: AMZN200529C02470000					
05/29/2020	1.00	49.84	05/28/2020	333.14	0.00	-283.30	Sell to Close
CALL TSLA 10/09/20	445	TESLA INC ADJ 5:1 STOCK SPLIT   CUSIP:   Symbol: TSLA201009C00445000					
10/01/2020	1.00	-924.31	09/25/2020	0.00	0.00	-924.31	Buy to Close



APEX CLEARING

## Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B\*

OMB No. 1545-0715

5WT99723

(continued)

01/23/2021

**SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS**

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

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PUT GOOGL 05/29/20	1365	ALPHABET INC CLASS A   CUSIP:   Symbol: GOOGL200529P01365000					
05/28/2020	2.00	183.71	05/27/2020	622.28	0.00	-438.57	Sell to Close
ADVANCED MICRO DEVICES INC	COM	CUSIP: 007903107   Symbol: AMD					
05/01/2020	100.00	5,250.73	05/01/2020	5,413.16	0.00	-162.43	Exercise Box 6 – Net
PUT COST 04/17/20	282.50	COSTCO WHOLESALE CORPORATION   CUSIP:   Symbol: COST200417P00282500					
04/17/2020	1.00	0.00	04/13/2020	62.14	0.00	-62.14	Expiration
PUT TSLA 09/25/20	370	TESLA INC ADJ 5:1 STOCK SPLIT   CUSIP:   Symbol: TSLA200925P00370000					
09/25/2020	1.00	54.84	09/24/2020	261.14	0.00	-206.30	Sell to Close
CALL AMZN 12/11/20	3320	AMAZON.COM INC   CUSIP:   Symbol: AMZN201211C03320000					
11/13/2020	1.00	4,651.74	11/12/2020	5,114.14	0.00	-462.40	Sell to Close
PUT GOOGL 03/06/20	1280	ALPHABET INC CLASS A   CUSIP:   Symbol: GOOGL200306P01280000					
03/06/2020	1.00	-489.31	03/02/2020	0.00	0.00	-489.31	Buy to Close
CALL LULU 01/17/20	250	LULULEMON ATHLETICA INC   CUSIP:   Symbol: LULU200117C00250000					
01/17/2020	1.00	0.00	12/10/2019	530.14	0.00	-530.14	Expiration
PUT GOOGL 04/17/20	1075	ALPHABET INC CLASS A   CUSIP:   Symbol: GOOGL200417P01075000					
04/15/2020	1.00	703.70	04/06/2020	0.00	0.00	703.70	Buy to Close
PUT GILD 04/24/20	70	GILEAD SCIENCES INC   CUSIP:   Symbol: GILD200424P00070000					
04/23/2020	1.00	0.84	04/21/2020	9.14	0.00	-8.30	Sell to Close
CALL GOOGL 03/20/20	1430	ALPHABET INC CLASS A   CUSIP:   Symbol: GOOGL200320C01430000					
03/11/2020	1.00	914.68	03/04/2020	0.00	0.00	914.68	Buy to Close
PUT AMZN 04/09/20	1790	AMAZON.COM INC   CUSIP:   Symbol: AMZN200409P01790000					
04/06/2020	1.00	184.84	04/02/2020	877.14	0.00	-692.30	Sell to Close
PUT SBUX 04/03/20	57	STARBUCKS CORPORATION   CUSIP:   Symbol: SBUX200403P00057000					
04/01/2020	2.00	91.42	03/30/2020	0.00	0.00	91.42	Buy to Close
CALL TSLA 04/17/20	890	TESLA INC   CUSIP:   Symbol: TSLA200417C00890000					
03/26/2020	1.00	269.84	03/04/2020	3,903.14	0.00	-3,633.30	Sell to Close
CALL TSLA 05/08/20	860	TESLA INC   CUSIP:   Symbol: TSLA200508C00860000					
04/29/2020	1.00	3,413.77	04/28/2020	2,544.14	0.00	869.63	Sell to Close
PUT TSLA 10/23/20	400	TESLA INC   CUSIP:   Symbol: TSLA201023P00400000					
09/22/2020	1.00	174.61	09/16/2020	0.00	0.00	174.61	Buy to Close

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APEX CLEARING

## Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B\*

OMB No. 1545-0715

5WT99723

(continued)

01/23/2021

**SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS**

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

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CALL IWM 05/29/20	146	ISHARES RUSSELL 2000 ETF   CUSIP:   Symbol: IWM200529C00146000					
	1.00	52.84	05/29/2020	0.00	0.00	52.84	Expiration
CALL AMZN 12/18/20	3400	AMAZON.COM INC   CUSIP:   Symbol: AMZN201218C03400000					
11/13/2020	1.00	4,863.74	11/09/2020	5,958.14	0.00	-1,094.40	Sell to Close
CALL TSLA 02/21/20	905	TESLA INC   CUSIP:   Symbol: TSLA200221C00905000					
02/19/2020	1.00	3,577.77	02/18/2020	835.14	0.00	2,742.63	Sell to Close
CALL SBUX 04/03/20	71	STARBUCKS CORPORATION   CUSIP:   Symbol: SBUX200403C00071000					
04/01/2020	2.00	15.69	03/30/2020	148.28	0.00	-132.59	Sell to Close
CALL TSLA 03/27/20	480	TESLA INC   CUSIP:   Symbol: TSLA200327C00480000					
03/24/2020	1.00	-3,067.32	03/23/2020	0.00	0.00	-3,067.32	Buy to Close
CALL GOOGL 06/19/20	1520	ALPHABET INC CLASS A   CUSIP:   Symbol: GOOGL200619C01520000					
06/02/2020	1.00	374.84	05/28/2020	703.14	0.00	-328.30	Sell to Close
CALL IWM 06/19/20	165	ISHARES RUSSELL 2000 ETF   CUSIP:   Symbol: IWM200619C00165000					
06/12/2020	1.00	0.84	06/05/2020	23.14	0.00	-22.30	Sell to Close
PUT AMZN 05/29/20	2385	AMAZON.COM INC   CUSIP:   Symbol: AMZN200529P02385000					
05/29/2020	1.00	115.70	05/29/2020	0.00	0.00	115.70	Buy to Close
PUT NFLX 02/21/20	285	NETFLIX INC   CUSIP:   Symbol: NFLX200221P00285000					
02/07/2020	1.00	57.70	01/22/2020	0.00	0.00	57.70	Buy to Close
PUT NFLX 04/03/20	345	NETFLIX INC   CUSIP:   Symbol: NFLX200403P00345000					
04/03/2020	1.00	0.00	03/31/2020	124.14	0.00	-124.14	Expiration
PUT CIEN 03/20/20	38.50	CIENA CORP   CUSIP:   Symbol: CIEN200320P00038500					
03/11/2020	4.00	655.41	03/05/2020	164.56	0.00	490.85	Sell to Close
CALL ZM 06/19/20	220	ZOOM VIDEO COMMUNICATIONS INC   CUSIP:   Symbol: ZM200619C00220000					
06/09/2020	1.00	414.84	06/01/2020	958.14	0.00	-543.30	Sell to Close
PUT IWM 06/19/20	117	ISHARES RUSSELL 2000 ETF   CUSIP:   Symbol: IWM200619P00117000					
05/27/2020	1.00	174.70	05/18/2020	0.00	0.00	174.70	Buy to Close
PUT AMZN 03/06/20	1870	AMAZON.COM INC   CUSIP:   Symbol: AMZN200306P01870000					
03/06/2020	1.00	502.68	03/04/2020	0.00	0.00	502.68	Buy to Close
PUT TSLA 10/02/20	370	TESLA INC ADJ 5:1 STOCK SPLIT   CUSIP:   Symbol: TSLA201002P00370000					
09/28/2020	1.00	409.69	09/25/2020	0.00	0.00	409.69	Buy to Close

APEX CLEARING

## Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B\*

OMB No. 1545-0715

5WT99723

(continued)

01/23/2021

**SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS**

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CALL COST 05/15/20	325	COSTCO WHOLESALE CORPORATION   CUSIP:   Symbol: COST200515C00325000					
04/23/2020	1.00	21.70	04/21/2020	0.00	0.00	21.70	Buy to Close
PUT NFLX 04/17/20	290	NETFLIX INC   CUSIP:   Symbol: NFLX200417P00290000					
04/17/2020	1.00	0.00	04/01/2020	215.14	0.00	-215.14	Expiration
PUT AMZN 11/06/20	3050	AMAZON.COM INC   CUSIP:   Symbol: AMZN201106P03050000					
10/30/2020	1.00	-4,077.44	10/29/2020	0.00	0.00	-4,077.44	Buy to Close
PUT AMZN 05/08/20	2335	AMAZON.COM INC   CUSIP:   Symbol: AMZN200508P02335000					
04/30/2020	1.00	289.59	04/27/2020	0.00	0.00	289.59	Buy to Close
CALL COST 05/15/20	330	COSTCO WHOLESALE CORPORATION   CUSIP:   Symbol: COST200515C00330000					
04/23/2020	1.00	201.84	04/21/2020	240.14	0.00	-38.30	Sell to Close
CALL SBUX 05/15/20	80	STARBUCKS CORPORATION   CUSIP:   Symbol: SBUX200515C00080000					
04/03/2020	1.00	3.70	04/01/2020	0.00	0.00	3.70	Buy to Close
ZOOM VIDEO COMMUNICATIONS INC CLASS A COMMON STOCK   CUSIP: 98980L101   Symbol: ZM							
06/26/2020	100.00	24,214.29	06/26/2020	24,376.14	0.00	-161.85	Sale Box 6 – Net
PUT TSLA 06/19/20	720	TESLA INC   CUSIP:   Symbol: TSLA200619P00720000					
05/12/2020	1.00	1,408.61	04/30/2020	0.00	0.00	1,408.61	Buy to Close
PUT TSLA 06/19/20	660	TESLA INC   CUSIP:   Symbol: TSLA200619P00660000					
05/28/2020	3.00	1,818.06	Various	0.00	0.00	1,818.06	Buy to Close
CALL AMZN 03/06/20	2010	AMAZON.COM INC   CUSIP:   Symbol: AMZN200306C02010000					
03/06/2020	1.00	4.84	03/04/2020	197.14	0.00	-192.30	Sell to Close
PUT GOOGL 06/19/20	1140	ALPHABET INC CLASS A   CUSIP:   Symbol: GOOGL200619P01140000					
04/27/2020	1.00	2,323.80	04/15/2020	3,566.14	0.00	-1,242.34	Sell to Close
CALL QQQ 02/21/20	234	INVESCO QQQ TRUST SERIES 1   CUSIP:   Symbol: QQQ200221C00234000					
02/13/2020	1.00	157.84	02/03/2020	14.14	0.00	143.70	Sell to Close
PUT AMZN 11/13/20	3070	AMAZON.COM INC   CUSIP:   Symbol: AMZN201113P03070000					
11/11/2020	1.00	-649.34	11/09/2020	0.00	0.00	-649.34	Buy to Close
CALL TSLA 07/17/20	1040	TESLA INC   CUSIP:   Symbol: TSLA200717C01040000					
06/12/2020	1.00	5,208.74	06/08/2020	3,527.14	0.00	1,681.60	Sell to Close
CALL QQQ 04/03/20	200	INVESCO QQQ TRUST SERIES 1   CUSIP:   Symbol: QQQ200403C00200000					
	2.00	219.69	04/03/2020	0.00	0.00	219.69	Expiration

APEX CLEARING

## Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B\*

OMB No. 1545-0715

5WT99723

(continued)

01/23/2021

**SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS**

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PUT AMZN 04/17/20	1890	AMAZON.COM INC   CUSIP:   Symbol: AMZN200417P01890000					
03/16/2020	1.00	21,896.36	03/11/2020	14,645.14	0.00	7,251.22	Sell to Close
CALL TSLA 02/28/20	910	TESLA INC   CUSIP:   Symbol: TSLA200228C00910000					
02/28/2020	1.00	631.69	02/24/2020	0.00	0.00	631.69	Buy to Close
CALL MSFT 02/28/20	190	MICROSOFT CORP   CUSIP:   Symbol: MSFT200228C00190000					
02/28/2020	1.00	0.84	02/24/2020	12.14	0.00	-11.30	Sell to Close
CALL AMZN 04/09/20	2030	AMAZON.COM INC   CUSIP:   Symbol: AMZN200409C02030000					
04/06/2020	1.00	191.84	04/02/2020	463.14	0.00	-271.30	Sell to Close
CALL AAPL 10/16/20	121.25	APPLE INC	ADJ 4:1 STOCK SPLIT   CUSIP:   Symbol: AAPL201016C00121250				
10/06/2020	2.00	97.44	09/25/2020	0.00	0.00	97.44	Buy to Close
PUT GOOGL 03/06/20	1275	ALPHABET INC CLASS A   CUSIP:   Symbol: GOOGL200306P01275000					
03/06/2020	1.00	896.83	03/02/2020	638.14	0.00	258.69	Sell to Close
PUT DIS 05/15/20	99	WALT DISNEY CO   CUSIP:   Symbol: DIS200515P00099000					
04/27/2020	2.00	151.41	04/23/2020	0.00	0.00	151.41	Buy to Close
CALL NFLX 02/28/20	395	NETFLIX INC   CUSIP:   Symbol: NFLX200228C00395000					
02/28/2020	1.00	0.00	02/24/2020	96.14	0.00	-96.14	Expiration
PUT PYPL 05/08/20	114	PAYPAL HOLDINGS INC   CUSIP:   Symbol: PYPL200508P00114000					
05/07/2020	2.00	1.71	Various	69.28	0.00	-67.57	Sell to Close
PUT BA 05/15/20	125	BOEING CO   CUSIP:   Symbol: BA200515P00125000					
05/01/2020	2.00	761.39	04/27/2020	0.00	0.00	761.39	Buy to Close
PUT TSLA 05/15/20	355	TESLA INC   CUSIP:   Symbol: TSLA200515P00355000					
04/21/2020	1.00	1,733.66	04/01/2020	0.00	0.00	1,733.66	Buy to Close
CALL IBM 02/21/20	160	INTL BUSINESS MACHINE   CUSIP:   Symbol: IBM200221C00160000					
	1.00	3.84	02/21/2020	0.00	0.00	3.84	Expiration
PUT TSLA 11/20/20	330	TESLA INC	ADJ 5:1 STOCK SPLIT   CUSIP:   Symbol: TSLA201120P00330000				
10/06/2020	1.00	1,246.82	09/25/2020	2,491.14	0.00	-1,244.32	Sell to Close
CALL TSLA 09/18/20	470	TESLA INC	ADJ 5:1 STOCK SPLIT   CUSIP:   Symbol: TSLA200918C00470000				
09/18/2020	1.00	107.84	09/16/2020	588.14	0.00	-480.30	Sell to Close
CALL BA 05/15/20	245	BOEING CO   CUSIP:   Symbol: BA200515C00245000					
04/28/2020	1.00	12.84	03/27/2020	566.14	0.00	-553.30	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)

01/23/2021

**SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS**

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

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1c - Date Sold or Disposed	Quantity	1d - Proceeds	1b - Date Acquired	1e - Cost or Other Basis	1f - Accrued Market Discount (M) & 1g - Wash Sale Loss Disallowed (D)	Gain or Loss (-)	Additional Notes
CALL AMZN 02/28/20 2060	AMAZON.COM INC   CUSIP:   Symbol: AMZN200228C02060000						
02/28/2020	1.00	1,180.68	02/24/2020	0.00	0.00	1,180.68	Buy to Close
PUT AAL 03/06/20 17	AMERICAN AIRLINES GROUP INC   CUSIP:   Symbol: AAL200306P00017000						
03/05/2020	4.00	2.85	03/02/2020	0.00	0.00	2.85	Buy to Close
CALL AMZN 05/15/20 2640	AMAZON.COM INC   CUSIP:   Symbol: AMZN200515C02640000						
05/15/2020	1.00	4,102.75	05/15/2020	0.00	0.00	4,102.75	Expiration
PUT ZM 06/19/20 130	ZOOM VIDEO COMMUNICATIONS INC   CUSIP:   Symbol: ZM200619P00130000						
05/29/2020	1.00	123.71	05/28/2020	0.00	0.00	123.71	Buy to Close
PUT TSLA 01/17/20 285	TESLA INC   CUSIP:   Symbol: TSLA200117P00285000						
01/17/2020	1.00	233.84	01/17/2020	0.00	0.00	233.84	Expiration
CALL GOOGL 03/27/20 1170	ALPHABET INC CLASS A   CUSIP:   Symbol: GOOGL200327C01170000						
03/27/2020	1.00	22.84	03/26/2020	561.14	0.00	-538.30	Sell to Close
PUT AMZN 11/13/20 2880	AMAZON.COM INC   CUSIP:   Symbol: AMZN201113P02880000						
11/03/2020	1.00	3,254.77	10/30/2020	4,749.14	0.00	-1,494.37	Sell to Close
PUT ZM 06/12/20 180	ZOOM VIDEO COMMUNICATIONS INC   CUSIP:   Symbol: ZM200612P00180000						
06/10/2020	1.00	11.85	06/09/2020	31.14	0.00	-19.29	Sell to Close
PUT SPY 04/17/20 195	STANDARD & POORS DEPOSITORY   CUSIP:   Symbol: SPY200417P00195000						
03/26/2020	1.00	187.84	03/23/2020	469.14	0.00	-281.30	Sell to Close
PUT TSLA 04/24/20 710	TESLA INC   CUSIP:   Symbol: TSLA200424P00710000						
04/24/2020	1.00	-75.32	04/23/2020	0.00	0.00	-75.32	Buy to Close
PUT AMZN 05/29/20 2380	AMAZON.COM INC   CUSIP:   Symbol: AMZN200529P02380000						
05/29/2020	1.00	0.00	05/29/2020	86.14	0.00	-86.14	Expiration
PUT TSLA 05/15/20 780	TESLA INC   CUSIP:   Symbol: TSLA200515P00780000						
05/13/2020	1.00	-245.30	05/12/2020	0.00	0.00	-245.30	Buy to Close
PUT GOOGL 11/20/20 1550	ALPHABET INC CLASS A   CUSIP:   Symbol: GOOGL201120P01550000						
11/05/2020	1.00	1,657.66	11/03/2020	0.00	0.00	1,657.66	Buy to Close
PUT TSLA 11/06/20 365	TESLA INC   CUSIP:   Symbol: TSLA201106P00365000						
11/04/2020	1.00	44.84	11/02/2020	356.14	0.00	-311.30	Sell to Close
CALL IWM 06/19/20 140	ISHARES RUSSELL 2000 ETF   CUSIP:   Symbol: IWM200619C00140000						
06/04/2020	2.00	-1,298.57	05/13/2020	0.00	0.00	-1,298.57	Buy to Close

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## Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B\*

OMB No. 1545-0715

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01/23/2021

**SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS**

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

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<b>1c - Date Sold or Disposed</b>	<b>Quantity</b>	<b>1d - Proceeds</b>	<b>1b - Date Acquired</b>	<b>1e - Cost or Other Basis</b>	<b>1f - Accrued Market Discount (M) &amp; 1g - Wash Sale Loss Disallowed (D)</b>	<b>Gain or Loss (-)</b>	<b>Additional Notes</b>
CALL AMZN 05/29/20 2430	AMAZON.COM INC   CUSIP:   Symbol: AMZN200529C02430000						
05/28/2020	1.00	449.84	05/27/2020	640.14	0.00	-190.30	Sell to Close
CALL AMZN 05/29/20 2460	AMAZON.COM INC   CUSIP:   Symbol: AMZN200529C02460000						
05/29/2020	1.00	401.69	05/28/2020	0.00	0.00	401.69	Buy to Close
PUT TSLA 03/20/20 755	TESLA INC   CUSIP:   Symbol: TSLA200320P00755000						
03/11/2020	1.00	-10,877.36	02/24/2020	0.00	0.00	-10,877.36	Buy to Close
CALL HD 03/20/20 255	HOME DEPOT INC   CUSIP:   Symbol: HD200320C00255000						
02/25/2020	1.00	19.70	02/07/2020	0.00	0.00	19.70	Buy to Close
PUT AAPL 03/20/20 275	APPLE INC   CUSIP:   Symbol: AAPL200320P00275000						
02/24/2020	1.00	-93.30	02/03/2020	0.00	0.00	-93.30	Buy to Close
PUT AMZN 03/06/20 1880	AMAZON.COM INC   CUSIP:   Symbol: AMZN200306P01880000						
03/06/2020	1.00	769.83	03/04/2020	1,084.14	0.00	-314.31	Sell to Close
PUT SQ 02/28/20 70	SQUARE INC   CUSIP:   Symbol: SQ200228P00070000						
02/27/2020	1.00	66.70	02/25/2020	0.00	0.00	66.70	Buy to Close
CALL GOOGL 03/27/20 1130	ALPHABET INC CLASS A   CUSIP:   Symbol: GOOGL200327C01130000						
03/26/2020	1.00	2,089.81	03/23/2020	775.14	0.00	1,314.67	Sell to Close
CALL AMZN 06/12/20 2545	AMAZON.COM INC   CUSIP:   Symbol: AMZN200612C02545000						
06/12/2020	1.00	762.83	06/12/2020	499.14	0.00	263.69	Sell to Close
CALL GOOGL 02/28/20 1470	ALPHABET INC CLASS A   CUSIP:   Symbol: GOOGL200228C01470000						
02/28/2020	1.00	196.70	02/25/2020	0.00	0.00	196.70	Buy to Close
CALL TSLA 11/06/20 430	TESLA INC   CUSIP:   Symbol: TSLA201106C00430000						
11/04/2020	1.00	-129.29	11/02/2020	0.00	0.00	-129.29	Buy to Close
PUT AMZN 06/19/20 2110	AMAZON.COM INC   CUSIP:   Symbol: AMZN200619P02110000						
05/26/2020	1.00	512.83	05/08/2020	1,658.14	0.00	-1,145.31	Sell to Close
CALL ZM 06/05/20 225	ZOOM VIDEO COMMUNICATIONS INC   CUSIP:   Symbol: ZM200605C00225000						
06/03/2020	1.00	69.69	06/01/2020	0.00	0.00	69.69	Buy to Close
CALL COST 04/17/20 315	COSTCO WHOLESALE CORPORATION   CUSIP:   Symbol: COST200417C00315000						
04/17/2020	1.00	157.85	04/13/2020	54.14	0.00	103.71	Sell to Close
PUT ZM 06/19/20 120	ZOOM VIDEO COMMUNICATIONS INC   CUSIP:   Symbol: ZM200619P00120000						
05/29/2020	1.00	99.84	05/28/2020	173.14	0.00	-73.30	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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(continued)

01/23/2021

**SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS**

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

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1c - Date Sold or Disposed	Quantity	1d - Proceeds	1b - Date Acquired	1e - Cost or Other Basis	1f - Accrued Market Discount (M) & 1g - Wash Sale Loss Disallowed (D)	Gain or Loss (-)	Additional Notes
CALL AMZN 05/08/20	2680	AMAZON.COM INC   CUSIP:   Symbol: AMZN200508C02680000					
04/28/2020	1.00	1,106.82	04/27/2020	1,966.14	0.00	-859.32	Sell to Close
PUT TSLA 04/09/20	425	TESLA INC   CUSIP:   Symbol: TSLA200409P00425000					
	2.00	1,867.66	04/09/2020	0.00	0.00	1,867.66	Expiration
CALL AMZN 05/29/20	2430	AMAZON.COM INC   CUSIP:   Symbol: AMZN200529C02430000					
05/29/2020	1.00	137.70	05/29/2020	0.00	0.00	137.70	Buy to Close
PUT TSLA 06/19/20	690	TESLA INC   CUSIP:   Symbol: TSLA200619P00690000					
05/21/2020	2.00	725.34	05/18/2020	0.00	0.00	725.34	Buy to Close
CALL TSLA 06/12/20	950	TESLA INC   CUSIP:   Symbol: TSLA200612C00950000					
06/02/2020	1.00	56.67	06/01/2020	0.00	0.00	56.67	Buy to Close
PUT TSLA 06/19/20	580	TESLA INC   CUSIP:   Symbol: TSLA200619P00580000					
04/27/2020	1.00	2,704.80	04/14/2020	4,575.14	0.00	-1,870.34	Sell to Close
CALL GOOGL 03/27/20	1105	ALPHABET INC CLASS A   CUSIP:   Symbol: GOOGL200327C01105000					
03/26/2020	1.00	3,593.77	03/26/2020	3,619.14	0.00	-25.37	Sell to Close
PUT SPY 12/18/20	265	STANDARD & POORS DEPOSITORY   CUSIP:   Symbol: SPY201218P00265000					
06/19/2020	2.00	491.36	05/27/2020	0.00	0.00	491.36	Buy to Close
PUT TSLA 05/01/20	645	TESLA INC   CUSIP:   Symbol: TSLA200501P00645000					
04/27/2020	1.00	1,586.65	04/23/2020	0.00	0.00	1,586.65	Buy to Close
PUT AMZN 03/20/20	1890	AMAZON.COM INC   CUSIP:   Symbol: AMZN200320P01890000					
03/11/2020	1.00	10,708.61	03/02/2020	5,157.14	0.00	5,551.47	Sell to Close
PUT AMZN 11/13/20	2910	AMAZON.COM INC   CUSIP:   Symbol: AMZN201113P02910000					
11/03/2020	1.00	1,577.58	10/30/2020	0.00	0.00	1,577.58	Buy to Close
CALL AMZN 05/29/20	2420	AMAZON.COM INC   CUSIP:   Symbol: AMZN200529C02420000					
05/28/2020	1.00	172.69	05/27/2020	0.00	0.00	172.69	Buy to Close
PUT NVDA 11/20/20	485	NVIDIA CORP   CUSIP:   Symbol: NVDA201120P00485000					
11/17/2020	1.00	251.85	11/16/2020	349.14	0.00	-97.29	Sell to Close
CALL AMZN 06/19/20	2580	AMAZON.COM INC   CUSIP:   Symbol: AMZN200619C02580000					
06/03/2020	1.00	-377.32	05/29/2020	0.00	0.00	-377.32	Buy to Close
CALL COST 04/17/20	310	COSTCO WHOLESALE CORPORATION   CUSIP:   Symbol: COST200417C00310000					
04/17/2020	1.00	-540.30	04/13/2020	0.00	0.00	-540.30	Buy to Close

APEX CLEARING

## Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B\*

OMB No. 1545-0715

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(continued)

01/23/2021

**SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS**

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

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PUT TSLA 06/12/20	780	TESLA INC   CUSIP:   Symbol: TSLA200612P00780000					
06/02/2020	1.00	310.69	06/01/2020	0.00	0.00	310.69	Buy to Close
PUT AMZN 05/22/20	2340	AMAZON.COM INC   CUSIP:   Symbol: AMZN200522P02340000					
05/21/2020	1.00	390.69	05/18/2020	0.00	0.00	390.69	Buy to Close
PUT IBM 02/21/20	131	INTL BUSINESS MACHINE   CUSIP:   Symbol: IBM200221P00131000					
02/21/2020	1.00	0.00	01/22/2020	21.14	0.00	-21.14	Expiration
CALL GILD 04/24/20	100	GILEAD SCIENCES INC   CUSIP:   Symbol: GILD200424C00100000					
	4.00	219.42	04/24/2020	0.00	0.00	219.42	Expiration
CALL DIS 04/03/20	103	WALT DISNEY CO   CUSIP:   Symbol: DIS200403C00103000					
04/01/2020	2.00	53.69	03/30/2020	262.28	0.00	-208.59	Sell to Close
PUT AMZN 06/19/20	1840	AMAZON.COM INC   CUSIP:   Symbol: AMZN200619P01840000					
03/23/2020	1.00	6,810.20	03/13/2020	0.00	0.00	6,810.20	Buy to Close
PUT AMZN 01/17/20	1760	AMAZON.COM INC   CUSIP:   Symbol: AMZN200117P01760000					
01/17/2020	2.00	0.00	12/26/2019	1,441.28	0.00	-1,441.28	Expiration
PUT XBI 03/20/20	80	SPDR S&P BIOTECH ETF   CUSIP:   Symbol: XBI200320P00080000					
03/13/2020	2.00	1,643.67	03/02/2020	198.28	0.00	1,445.39	Sell to Close
PUT TSLA 01/17/20	295	TESLA INC   CUSIP:   Symbol: TSLA200117P00295000					
01/17/2020	1.00	0.00	12/09/2019	353.14	0.00	-353.14	Expiration
PUT BA 04/03/20	110	BOEING CO   CUSIP:   Symbol: BA200403P00110000					
04/03/2020	1.00	21.84	04/02/2020	69.14	0.00	-47.30	Sell to Close
CALL ROKU 05/29/20	113	ROKU INC   CUSIP:   Symbol: ROKU200529C00113000					
05/29/2020	5.00	4.27	05/29/2020	95.69	0.00	-91.42	Sell to Close
CALL TSLA 09/25/20	415	TESLA INC	ADJ 5:1 STOCK SPLIT   CUSIP:   Symbol: TSLA200925C00415000				
09/25/2020	1.00	-51.59	09/25/2020	0.00	0.00	-51.59	Buy to Close
09/25/2020	1.00	-80.30	09/24/2020	0.00	80.3 D	0.00	Buy to Close
<b>Security Totals:</b>		<b>-131.89</b>		<b>0.00</b>		<b>-51.59</b>	
CALL AMZN 11/20/20	3155	AMAZON.COM INC   CUSIP:   Symbol: AMZN201120C03155000					
11/09/2020	1.00	12,687.56	11/03/2020	8,122.14	0.00	4,565.42	Sell to Close
PUT SPY 04/17/20	207	STANDARD & POORS DEPOSITORY   CUSIP:   Symbol: SPY200417P00207000					
03/26/2020	1.00	298.84	03/23/2020	735.14	0.00	-436.30	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)

01/23/2021

**SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS**

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CALL GOOGL 11/20/20	1730	ALPHABET INC CLASS A   CUSIP:   Symbol: GOOGL201120C01730000					
11/09/2020	1.00	-3,289.34	11/03/2020	0.00	0.00	-3,289.34	Buy to Close
CALL NFLX 03/06/20	387.50	NETFLIX INC   CUSIP:   Symbol: NFLX200306C00387500					
03/06/2020	1.00	178.71	03/05/2020	0.00	0.00	178.71	Buy to Close
PUT GILD 03/20/20	65	GILEAD SCIENCES INC   CUSIP:   Symbol: GILD200320P00065000					
02/18/2020	1.00	16.70	02/07/2020	0.00	0.00	16.70	Buy to Close
PUT TSLA 02/28/20	755	TESLA INC   CUSIP:   Symbol: TSLA200228P00755000					
02/28/2020	1.00	12,759.56	02/24/2020	413.14	0.00	12,346.42	Sell to Close
CALL TSLA 02/28/20	925	TESLA INC   CUSIP:   Symbol: TSLA200228C00925000					
02/28/2020	1.00	1.84	02/24/2020	490.14	0.00	-488.30	Sell to Close
PUT NFLX 04/17/20	400	NETFLIX INC   CUSIP:   Symbol: NFLX200417P00400000					
03/13/2020	1.00	8,882.65	03/05/2020	3,954.14	0.00	4,928.51	Sell to Close
CALL AMZN 03/20/20	2140	AMAZON.COM INC   CUSIP:   Symbol: AMZN200320C02140000					
03/11/2020	1.00	1,698.68	02/24/2020	0.00	0.00	1,698.68	Buy to Close
CALL QQQ 04/17/20	239	INVESCO QQQ TRUST SERIES 1   CUSIP:   Symbol: QQQ200417C00239000					
03/31/2020	1.00	1.71	03/27/2020	0.00	0.00	1.71	Buy to Close
PUT SPY 03/06/20	291	STANDARD & POORS DEPOSITORY   CUSIP:   Symbol: SPY200306P00291000					
	1.00	270.84	03/06/2020	0.00	0.00	270.84	Expiration
CALL GOOGL 11/06/20	1720	ALPHABET INC CLASS A   CUSIP:   Symbol: GOOGL201106C01720000					
11/03/2020	1.00	246.84	10/30/2020	1,581.14	0.00	-1,334.30	Sell to Close
PUT AAL 03/06/20	15.50	AMERICAN AIRLINES GROUP INC   CUSIP:   Symbol: AAL200306P00015500					
03/05/2020	4.00	79.43	03/02/2020	152.56	0.00	-73.13	Sell to Close
CALL SQ 02/28/20	86	SQUARE INC   CUSIP:   Symbol: SQ200228C00086000					
02/27/2020	1.00	47.84	02/25/2020	77.14	0.00	-29.30	Sell to Close
CALL AMZN 03/06/20	1997.50	AMAZON.COM INC   CUSIP:   Symbol: AMZN200306C01997500					
03/06/2020	1.00	13.84	03/05/2020	332.14	0.00	-318.30	Sell to Close
CALL AMZN 06/19/20	2610	AMAZON.COM INC   CUSIP:   Symbol: AMZN200619C02610000					
05/26/2020	1.00	1,306.82	04/30/2020	7,982.14	6675.32 D	0.00	Sell to Close
06/03/2020	1.00	1,023.82	05/21/2020	9,511.46	0.00	-8,487.64	Sell to Close
<b>Security Totals:</b>		<b>2,330.64</b>		<b>17,493.60</b>		<b>-8,487.64</b>	

APEX CLEARING

## Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B\*

OMB No. 1545-0715

5WT99723

(continued)

01/23/2021

**SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS**

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

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

1c - Date Sold or Disposed	Quantity	1d - Proceeds	1b - Date Acquired	1e - Cost or Other Basis	1f - Accrued Market Discount (M) & 1g - Wash Sale Loss Disallowed (D)	Gain or Loss (-)	Additional Notes
CALL GM 04/17/20 15	GENERAL MOTORS COMPANY   CUSIP:   Symbol: GM200417C00015000						
04/01/2020	1.00	195.70	03/30/2020	0.00	0.00	195.70	Buy to Close
CALL GOOGL 03/27/20 1175	ALPHABET INC CLASS A   CUSIP:   Symbol: GOOGL200327C01175000						
03/27/2020	1.00	438.70	03/26/2020	0.00	0.00	438.70	Buy to Close
CALL AMZN 06/19/20 2590	AMAZON.COM INC   CUSIP:   Symbol: AMZN200619C02590000						
06/03/2020	1.00	1,337.82	05/29/2020	1,034.14	0.00	303.68	Sell to Close
PUT SPY 04/17/20 203	STANDARD & POORS DEPOSITORY   CUSIP:   Symbol: SPY200417P00203000						
03/26/2020	2.00	747.40	03/23/2020	0.00	0.00	747.40	Buy to Close
PUT GOOGL 02/28/20 1360	ALPHABET INC CLASS A   CUSIP:   Symbol: GOOGL200228P01360000						
02/28/2020	1.00	8,593.66	02/25/2020	516.14	0.00	8,077.52	Sell to Close
PUT QQQ 09/25/20 261	INVESCO QQQ TRUST SERIES 1   CUSIP:   Symbol: QQQ200925P00261000						
09/24/2020	3.00	269.57	09/23/2020	246.41	0.00	23.16	Sell to Close
CALL GOOGL 11/13/20 1815	ALPHABET INC CLASS A   CUSIP:   Symbol: GOOGL201113C01815000						
11/09/2020	1.00	1,775.82	11/06/2020	616.14	0.00	1,159.68	Sell to Close
PUT AMZN 06/19/20 2240	AMAZON.COM INC   CUSIP:   Symbol: AMZN200619P02240000						
05/27/2020	1.00	1,718.81	05/21/2020	1,643.14	0.00	75.67	Sell to Close
PUT ROKU 02/28/20 110	ROKU INC   CUSIP:   Symbol: ROKU200228P00110000						
02/28/2020	1.00	-217.29	02/21/2020	0.00	0.00	-217.29	Buy to Close
CALL TSLA 05/15/20 900	TESLA INC   CUSIP:   Symbol: TSLA200515C00900000						
05/13/2020	1.00	385.69	05/12/2020	0.00	0.00	385.69	Buy to Close
CALL AMZN 05/01/20 2530	AMAZON.COM INC   CUSIP:   Symbol: AMZN200501C02530000						
04/28/2020	1.00	2,651.62	04/27/2020	0.00	0.00	2,651.62	Buy to Close
04/30/2020	1.00	257.62	04/30/2020	0.00	0.00	257.62	Buy to Close
<b>Security Totals:</b>		<b>2,909.24</b>		<b>0.00</b>		<b>2,909.24</b>	
PUT NFLX 04/03/20 332.50	NETFLIX INC   CUSIP:   Symbol: NFLX200403P00332500						
04/03/2020	1.00	0.00	03/31/2020	58.14	0.00	-58.14	Expiration
PUT MSFT 02/28/20 152.50	MICROSOFT CORP   CUSIP:   Symbol: MSFT200228P00152500						
02/28/2020	1.00	170.84	02/24/2020	40.14	0.00	130.70	Sell to Close
CALL AMZN 04/24/20 2450	AMAZON.COM INC   CUSIP:   Symbol: AMZN200424C02450000						
04/24/2020	2.00	0.00	04/21/2020	9,366.28	0.00	-9,366.28	Expiration

APEX CLEARING

## Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B\*

OMB No. 1545-0715

5WT99723

(continued)

01/23/2021

**SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS**

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

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

1c - Date Sold or Disposed	Quantity	1d - Proceeds	1b - Date Acquired	1e - Cost or Other Basis	1f - Accrued Market Discount (M) & 1g - Wash Sale Loss Disallowed (D)	Gain or Loss (-)	Additional Notes
PUT TSLA 11/06/20	375	TESLA INC   CUSIP:   Symbol: TSLA201106P00375000					
11/04/2020	1.00	428.70	11/02/2020	0.00	0.00	428.70	Buy to Close
CALL ZM 06/12/20	225	ZOOM VIDEO COMMUNICATIONS INC   CUSIP:   Symbol: ZM200612C00225000					
06/12/2020	1.00	112.70	06/12/2020	0.00	0.00	112.70	Buy to Close
PUT ROKU 02/28/20	105	ROKU INC   CUSIP:   Symbol: ROKU200228P00105000					
02/28/2020	1.00	146.84	02/21/2020	84.14	0.00	62.70	Sell to Close
CALL GOOGL 11/06/20	1710	ALPHABET INC CLASS A   CUSIP:   Symbol: GOOGL201106C01710000					
11/03/2020	1.00	1,454.67	10/30/2020	0.00	0.00	1,454.67	Buy to Close
CALL AMD 05/01/20	60	ADVANCED MICRO DEVICES INC   CUSIP:   Symbol: AMD200501C00060000					
04/29/2020	1.00	6.84	04/28/2020	105.14	0.00	-98.30	Sell to Close
CALL AMZN 03/06/20	2000	AMAZON.COM INC   CUSIP:   Symbol: AMZN200306C02000000					
03/06/2020	1.00	276.70	03/04/2020	0.00	0.00	276.70	Buy to Close
PUT AMZN 12/18/20	2900	AMAZON.COM INC   CUSIP:   Symbol: AMZN201218P02900000					
11/13/2020	1.00	4,898.74	11/09/2020	5,783.14	0.00	-884.40	Sell to Close
CALL GOOGL 03/27/20	1172.50	ALPHABET INC CLASS A   CUSIP:   Symbol: GOOGL200327C01172500					
03/27/2020	1.00	0.00	03/26/2020	476.14	0.00	-476.14	Expiration
CALL AMZN 03/20/20	2150	AMAZON.COM INC   CUSIP:   Symbol: AMZN200320C02150000					
03/11/2020	1.00	50.85	02/24/2020	1,598.14	0.00	-1,547.29	Sell to Close
PUT TSLA 11/06/20	422.50	TESLA INC   CUSIP:   Symbol: TSLA201106P00422500					
11/06/2020	2.00	109.43	11/05/2020	0.00	0.00	109.43	Buy to Close
PUT GOOGL 09/25/20	1405	ALPHABET INC CLASS A   CUSIP:   Symbol: GOOGL200925P01405000					
09/25/2020	1.00	465.69	09/24/2020	0.00	0.00	465.69	Buy to Close
PUT TSLA 05/08/20	670	TESLA INC   CUSIP:   Symbol: TSLA200508P00670000					
04/29/2020	1.00	1,007.82	04/28/2020	1,356.14	0.00	-348.32	Sell to Close
PUT SBUX 05/15/20	50	STARBUCKS CORPORATION   CUSIP:   Symbol: SBUX200515P00050000					
04/03/2020	1.00	22.70	04/01/2020	0.00	0.00	22.70	Buy to Close
PUT AAPL 10/16/20	100	APPLE INC ADJ 4:1 STOCK SPLIT   CUSIP:   Symbol: AAPL201016P00100000					
09/28/2020	2.00	153.43	09/25/2020	0.00	0.00	153.43	Buy to Close
CALL ZM 06/12/20	225	ZOOM VIDEO COMMUNICATIONS INC   CUSIP:   Symbol: ZM200612C00225000					
06/12/2020	1.00	436.84	06/09/2020	68.14	0.00	368.70	Sell to Close

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APEX CLEARING

## Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B\*

OMB No. 1545-0715

5WT99723

(continued)

01/23/2021

**SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS**

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

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

1c - Date Sold or Disposed	Quantity	1d - Proceeds	1b - Date Acquired	1e - Cost or Other Basis	1f - Accrued Market Discount (M) & 1g - Wash Sale Loss Disallowed (D)	Gain or Loss (-)	Additional Notes
CALL AMZN 06/05/20	2500	AMAZON.COM INC   CUSIP:   Symbol: AMZN200605C02500000					
06/05/2020	1.00	64.84	06/04/2020	224.14	0.00	-159.30	Sell to Close
CALL GILD 04/24/20	85	GILEAD SCIENCES INC   CUSIP:   Symbol: GILD200424C00085000					
04/23/2020	1.00	59.70	04/21/2020	0.00	0.00	59.70	Buy to Close
PUT TSLA 03/06/20	670	TESLA INC   CUSIP:   Symbol: TSLA200306P00670000					
03/05/2020	1.00	395.84	03/04/2020	451.14	0.00	-55.30	Sell to Close
CALL TSLA 07/17/20	1030	TESLA INC   CUSIP:   Symbol: TSLA200717C01030000					
06/26/2020	1.00	3,624.76	06/08/2020	4,282.14	0.00	-657.38	Sell to Close
PUT AMZN 04/03/20	1840	AMAZON.COM INC   CUSIP:   Symbol: AMZN200403P01840000					
04/02/2020	1.00	181.85	03/31/2020	307.14	0.00	-125.29	Sell to Close
04/02/2020	1.00	181.84	03/31/2020	307.14	0.00	-125.30	Sell to Close
<b>Security Totals:</b>		<b>363.69</b>		<b>614.28</b>		<b>-250.59</b>	
CALL GOOGL 10/02/20	1465	ALPHABET INC CLASS A   CUSIP:   Symbol: GOOGL201002C01465000					
10/02/2020	1.00	959.82	09/25/2020	1,466.14	0.00	-506.32	Sell to Close
PUT GOOGL 06/19/20	1150	ALPHABET INC CLASS A   CUSIP:   Symbol: GOOGL200619P01150000					
04/27/2020	1.00	1,275.62	04/15/2020	0.00	0.00	1,275.62	Buy to Close
CALL GILD 04/24/20	90	GILEAD SCIENCES INC   CUSIP:   Symbol: GILD200424C00090000					
04/23/2020	1.00	16.84	04/21/2020	52.14	0.00	-35.30	Sell to Close
PUT GILD 03/20/20	60	GILEAD SCIENCES INC   CUSIP:   Symbol: GILD200320P00060000					
02/18/2020	1.00	35.85	02/07/2020	42.14	0.00	-6.29	Sell to Close
CALL GILD 04/24/20	95	GILEAD SCIENCES INC   CUSIP:   Symbol: GILD200424C00095000					
04/24/2020	2.00	0.00	04/17/2020	178.28	0.00	-178.28	Expiration
CALL TSLA 02/21/20	900	TESLA INC   CUSIP:   Symbol: TSLA200221C00900000					
02/19/2020	1.00	-2,984.32	02/18/2020	0.00	0.00	-2,984.32	Buy to Close
PUT GOOGL 06/19/20	1240	ALPHABET INC CLASS A   CUSIP:   Symbol: GOOGL200619P01240000					
05/28/2020	1.00	351.85	05/13/2020	1,156.14	0.00	-804.29	Sell to Close
CALL GILD 04/24/20	105	GILEAD SCIENCES INC   CUSIP:   Symbol: GILD200424C00105000					
04/24/2020	2.00	0.00	04/17/2020	84.28	0.00	-84.28	Expiration
PUT ZM 06/05/20	170	ZOOM VIDEO COMMUNICATIONS INC   CUSIP:   Symbol: ZM200605P00170000					
06/03/2020	1.00	276.70	06/01/2020	0.00	0.00	276.70	Buy to Close

**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 GILD 05/15/20	57.50	GILEAD SCIENCES INC   CUSIP:   Symbol: GILD200515P00057500					
04/17/2020	1.00	25.84	04/14/2020	19.14	0.00	6.70	Sell to Close
CALL AMZN 06/05/20	2490	AMAZON.COM INC   CUSIP:   Symbol: AMZN200605C02490000					
06/05/2020	1.00	88.71	06/04/2020	0.00	0.00	88.71	Buy to Close
CALL ZM 06/12/20	215	ZOOM VIDEO COMMUNICATIONS INC   CUSIP:   Symbol: ZM200612C00215000					
06/12/2020	1.00	-1,117.30	06/09/2020	0.00	0.00	-1,117.30	Buy to Close
PUT GOOGL 04/17/20	1250	ALPHABET INC CLASS A   CUSIP:   Symbol: GOOGL200417P01250000					
04/15/2020	1.00	8,947.49	03/11/2020	0.00	0.00	8,947.49	Buy to Close
CALL AMZN 10/30/20	3270	AMAZON.COM INC   CUSIP:   Symbol: AMZN201030C03270000					
10/30/2020	1.00	4,951.59	10/29/2020	0.00	0.00	4,951.59	Buy to Close
CALL GOOGL 03/27/20	1165	ALPHABET INC CLASS A   CUSIP:   Symbol: GOOGL200327C01165000					
03/27/2020	1.00	581.69	03/26/2020	0.00	0.00	581.69	Buy to Close
CALL GILD 03/20/20	80	GILEAD SCIENCES INC   CUSIP:   Symbol: GILD200320C00080000					
02/18/2020	1.00	35.85	02/07/2020	126.14	0.00	-90.29	Sell to Close
PUT GOOGL 11/13/20	1670	ALPHABET INC CLASS A   CUSIP:   Symbol: GOOGL201113P01670000					
11/09/2020	1.00	106.85	11/06/2020	958.14	0.00	-851.29	Sell to Close
CALL AMZN 10/30/20	3295	AMAZON.COM INC   CUSIP:   Symbol: AMZN201030C03295000					
10/30/2020	1.00	90.84	10/29/2020	4,284.14	0.00	-4,193.30	Sell to Close
CALL NFLX 03/06/20	392.50	NETFLIX INC   CUSIP:   Symbol: NFLX200306C00392500					
03/06/2020	1.00	0.85	03/05/2020	88.14	0.00	-87.29	Sell to Close
PUT AMZN 04/03/20	1870	AMAZON.COM INC   CUSIP:   Symbol: AMZN200403P01870000					
04/03/2020	1.00	12.84	04/03/2020	124.14	0.00	-111.30	Sell to Close
PUT CIEN 04/17/20	39	CIENA CORP   CUSIP:   Symbol: CIEN200417P00039000					
03/26/2020	4.00	755.41	03/11/2020	1,180.56	0.00	-425.15	Sell to Close
PUT NFLX 04/17/20	405	NETFLIX INC   CUSIP:   Symbol: NFLX200417P00405000					
03/13/2020	1.00	-5,062.39	03/05/2020	0.00	0.00	-5,062.39	Buy to Close
CALL GOOGL 10/16/20	1545	ALPHABET INC CLASS A   CUSIP:   Symbol: GOOGL201016C01545000					
10/06/2020	1.00	469.84	09/23/2020	1,129.14	0.00	-659.30	Sell to Close
CALL AMZN 06/19/20	2600	AMAZON.COM INC   CUSIP:   Symbol: AMZN200619C02600000					
05/21/2020	1.00	5,158.52	04/30/2020	0.00	0.00	5,158.52	Buy to Close

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APEX CLEARING

## Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B\*

OMB No. 1545-0715

5WT99723

(continued)

01/23/2021

**SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS**

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

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

1c - Date Sold or Disposed	Quantity	1d - Proceeds	1b - Date Acquired	1e - Cost or Other Basis	1f - Accrued Market Discount (M) & 1g - Wash Sale Loss Disallowed (D)	Gain or Loss (-)	Additional Notes
06/03/2020	1.00	1,111.65	05/08/2020	0.00	0.00	1,111.65	Buy to Close
<b>Security Totals:</b>		<b>6,270.17</b>		<b>0.00</b>		<b>6,270.17</b>	
PUT QQQ 04/17/20 180			INVESCO QQQ TRUST SERIES 1   CUSIP:   Symbol: QQQ200417P00180000				
03/31/2020	1.00	399.84	03/27/2020	891.14	0.00	-491.30	Sell to Close
CALL TLRV 03/20/20 16			TILRAY INC   CUSIP:   Symbol: TLRV200320C00016000				
03/09/2020	1.00	3.84	03/03/2020	34.14	0.00	-30.30	Sell to Close
CALL IWM 05/15/20 126.50			ISHARES RUSSELL 2000 ETF   CUSIP:   Symbol: IWM200515C00126500				
	1.00	16.84	05/15/2020	0.00	0.00	16.84	Expiration
PUT GOOGL 05/29/20 1370			ALPHABET INC CLASS A   CUSIP:   Symbol: GOOGL200529P01370000				
05/28/2020	2.00	519.40	05/27/2020	0.00	0.00	519.40	Buy to Close
PUT AAL 04/17/20 18			AMERICAN AIRLINES GROUP INC   CUSIP:   Symbol: AAL200417P00018000				
03/03/2020	1.00	22.70	02/28/2020	0.00	0.00	22.70	Buy to Close
PUT NFLX 02/28/20 332.50			NETFLIX INC   CUSIP:   Symbol: NFLX200228P00332500				
02/28/2020	1.00	0.00	02/24/2020	53.14	0.00	-53.14	Expiration
PUT AMZN 12/18/20 2840			AMAZON.COM INC   CUSIP:   Symbol: AMZN201218P02840000				
11/06/2020	1.00	3,799.76	10/30/2020	10,243.14	0.00	-6,443.38	Sell to Close
PUT GOOGL 10/02/20 1385			ALPHABET INC CLASS A   CUSIP:   Symbol: GOOGL201002P01385000				
09/28/2020	1.00	650.69	09/25/2020	0.00	0.00	650.69	Buy to Close
CALL SPY 05/15/20 301			STANDARD & POORS DEPOSITORY   CUSIP:   Symbol: SPY200515C00301000				
04/22/2020	1.00	137.70	04/17/2020	0.00	0.00	137.70	Buy to Close
CALL MSFT 04/17/20 180			MICROSOFT CORP   CUSIP:   Symbol: MSFT200417C00180000				
04/01/2020	1.00	29.84	03/30/2020	76.14	0.00	-46.30	Sell to Close
CALL TSLA 11/20/20 480			TESLA INC ADJ 5:1 STOCK SPLIT   CUSIP:   Symbol: TSLA201120C00480000				
11/17/2020	1.00	207.84	11/17/2020	561.14	0.00	-353.30	Sell to Close
CALL AMZN 06/19/20 2590			AMAZON.COM INC   CUSIP:   Symbol: AMZN200619C02590000				
05/26/2020	1.00	1,725.63	05/21/2020	0.00	0.00	1,725.63	Buy to Close
CALL BA 04/03/20 140			BOEING CO   CUSIP:   Symbol: BA200403C00140000				
04/03/2020	1.00	98.70	04/02/2020	0.00	0.00	98.70	Buy to Close
PUT IWM 05/29/20 136			ISHARES RUSSELL 2000 ETF   CUSIP:   Symbol: IWM200529P00136000				
05/29/2020	1.00	0.00	05/27/2020	28.14	0.00	-28.14	Expiration

APEX CLEARING

## Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B\*

OMB No. 1545-0715

5WT99723

(continued)

01/23/2021

## SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

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

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

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

1c - Date Sold or Disposed	Quantity	1d - Proceeds	1b - Date Acquired	1e - Cost or Other Basis	1f - Accrued Market Discount (M) & 1g - Wash Sale Loss Disallowed (D)	Gain or Loss (-)	Additional Notes
CALL TSLA 11/13/20	455	TESLA INC   CUSIP:   Symbol: TSLA201113C00455000					
11/05/2020	1.00	877.83	11/04/2020	634.14	0.00	243.69	Sell to Close
CALL ZM 06/19/20	185	ZOOM VIDEO COMMUNICATIONS INC   CUSIP:   Symbol: ZM200619C00185000					
06/04/2020	1.00	-2,985.30	05/28/2020	0.00	0.00	-2,985.30	Buy to Close
CALL AMZN 03/06/20	1987.50	AMAZON.COM INC   CUSIP:   Symbol: AMZN200306C01987500					
03/06/2020	1.00	503.69	03/05/2020	0.00	0.00	503.69	Buy to Close
PUT GOOGL 10/16/20	1310	ALPHABET INC CLASS A   CUSIP:   Symbol: GOOGL201016P01310000					
09/28/2020	1.00	559.69	09/23/2020	0.00	0.00	559.69	Buy to Close
CALL MSFT 02/28/20	180	MICROSOFT CORP   CUSIP:   Symbol: MSFT200228C00180000					
02/28/2020	1.00	71.70	02/24/2020	0.00	0.00	71.70	Buy to Close
PUT AMZN 03/06/20	1875	AMAZON.COM INC   CUSIP:   Symbol: AMZN200306P01875000					
03/06/2020	1.00	-303.30	03/05/2020	0.00	0.00	-303.30	Buy to Close
CALL AMZN 05/22/20	2500	AMAZON.COM INC   CUSIP:   Symbol: AMZN200522C02500000					
05/21/2020	1.00	199.69	05/18/2020	0.00	0.00	199.69	Buy to Close
CALL AMZN 11/20/20	3145	AMAZON.COM INC   CUSIP:   Symbol: AMZN201120C03145000					
11/09/2020	1.00	-4,831.48	11/03/2020	0.00	0.00	-4,831.48	Buy to Close
CALL AMZN 11/06/20	3330	AMAZON.COM INC   CUSIP:   Symbol: AMZN201106C03330000					
10/30/2020	1.00	6,016.54	10/29/2020	0.00	0.00	6,016.54	Buy to Close
ALPHABET INC		CLASS A COMMON STOCK   CUSIP: 02079K305   Symbol: GOOGL					
04/03/2020	100.00	110,510.19	04/03/2020	110,514.88	0.00	-4.69	Exercise Box 6 – Net
04/03/2020	100.00	110,464.15	04/03/2020	110,514.87	0.00	-50.72	Exercise Box 6 – Net
<b>Security Totals:</b>		<b>220,974.34</b>		<b>221,029.75</b>		<b>-55.41</b>	
CALL PYPL 05/08/20	140	PAYPAL HOLDINGS INC   CUSIP:   Symbol: PYPL200508C00140000					
05/07/2020	2.00	779.70	Various	47.28	0.00	732.42	Sell to Close
CALL AMZN 11/13/20	3320	AMAZON.COM INC   CUSIP:   Symbol: AMZN201113C03320000					
11/10/2020	1.00	319.84	11/09/2020	1,325.14	0.00	-1,005.30	Sell to Close
CALL TSLA 05/15/20	910	TESLA INC   CUSIP:   Symbol: TSLA200515C00910000					
05/13/2020	1.00	127.84	05/12/2020	445.14	0.00	-317.30	Sell to Close
CALL AMD 05/15/20	52.50	ADVANCED MICRO DEVICES INC   CUSIP:   Symbol: AMD200515C00052500					
04/20/2020	1.00	-624.30	04/06/2020	0.00	0.00	-624.30	Buy to Close

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APEX CLEARING

## Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B\*

OMB No. 1545-0715

5WT99723

(continued)

01/23/2021

**SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS**

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

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

1c - Date Sold or Disposed	Quantity	1d - Proceeds	1b - Date Acquired	1e - Cost or Other Basis	1f - Accrued Market Discount (M) & 1g - Wash Sale Loss Disallowed (D)	Gain or Loss (-)	Additional Notes
CALL TSLA 03/27/20	485	TESLA INC   CUSIP:   Symbol: TSLA200327C00485000					
03/24/2020	1.00	3,665.76	03/23/2020	840.14	0.00	2,825.62	Sell to Close
PUT IBM 02/21/20	126	INTL BUSINESS MACHINE   CUSIP:   Symbol: IBM200221P00126000					
	1.00	8.84	02/21/2020	0.00	0.00	8.84	Expiration
PUT HD 03/20/20	210	HOME DEPOT INC   CUSIP:   Symbol: HD200320P00210000					
02/25/2020	1.00	42.85	02/07/2020	86.14	0.00	-43.29	Sell to Close
PUT XBI 03/20/20	77	SPDR S&P BIOTECH ETF   CUSIP:   Symbol: XBI200320P00077000					
03/13/2020	2.00	-1,124.58	03/02/2020	0.00	0.00	-1,124.58	Buy to Close
PUT GOOGL 10/30/20	1460	ALPHABET INC CLASS A   CUSIP:   Symbol: GOOGL201030P01460000					
10/30/2020	1.00	251.85	10/29/2020	511.14	0.00	-259.29	Sell to Close
PUT AAPL 10/16/20	95	APPLE INC ADJ 4:1 STOCK SPLIT   CUSIP:   Symbol: AAPL201016P00095000					
09/28/2020	2.00	63.71	09/25/2020	146.27	0.00	-82.56	Sell to Close
CALL AAPL 03/20/20	375	APPLE INC   CUSIP:   Symbol: AAPL200320C00375000					
02/24/2020	1.00	7.84	02/03/2020	42.14	0.00	-34.30	Sell to Close
PUT AMZN 05/22/20	2330	AMAZON.COM INC   CUSIP:   Symbol: AMZN200522P02330000					
05/21/2020	1.00	177.84	05/18/2020	483.14	0.00	-305.30	Sell to Close
PUT TSLA 02/21/20	800	TESLA INC   CUSIP:   Symbol: TSLA200221P00800000					
02/19/2020	1.00	45.84	02/18/2020	553.14	0.00	-507.30	Sell to Close
PUT ZM 06/05/20	160	ZOOM VIDEO COMMUNICATIONS INC   CUSIP:   Symbol: ZM200605P00160000					
06/03/2020	1.00	6.85	06/01/2020	141.14	0.00	-134.29	Sell to Close
PUT IWM 06/19/20	112	ISHARES RUSSELL 2000 ETF   CUSIP:   Symbol: IWM200619P00112000					
05/27/2020	1.00	25.84	05/18/2020	146.14	0.00	-120.30	Sell to Close
PUT AMZN 07/17/20	2300	AMAZON.COM INC   CUSIP:   Symbol: AMZN200717P02300000					
06/26/2020	1.00	541.83	06/05/2020	2,423.14	0.00	-1,881.31	Sell to Close
PUT IWM 06/19/20	113	ISHARES RUSSELL 2000 ETF   CUSIP:   Symbol: IWM200619P00113000					
05/22/2020	1.00	97.85	05/18/2020	155.14	0.00	-57.29	Sell to Close
CALL AAL 03/06/20	21.50	AMERICAN AIRLINES GROUP INC   CUSIP:   Symbol: AAL200306C00021500					
03/05/2020	4.00	3.43	03/02/2020	76.56	0.00	-73.13	Sell to Close
CALL GILD 05/15/20	87.50	GILEAD SCIENCES INC   CUSIP:   Symbol: GILD200515C00087500					
04/17/2020	1.00	-316.30	04/14/2020	0.00	0.00	-316.30	Buy to Close



APEX CLEARING

## Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B\*

OMB No. 1545-0715

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01/23/2021

**SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS**

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

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1c - Date Sold or Disposed	Quantity	1d - Proceeds	1b - Date Acquired	1e - Cost or Other Basis	1f - Accrued Market Discount (M) & 1g - Wash Sale Loss Disallowed (D)	Gain or Loss (-)	Additional Notes
PUT TSLA 09/25/20	395	TESLA INC	ADJ 5:1 STOCK SPLIT   CUSIP:   Symbol: TSLA200925P00395000				
09/25/2020	1.00	34.84	09/25/2020	88.14	0.00	-53.30	Sell to Close
CALL AMZN 03/20/20	2170	AMAZON.COM INC   CUSIP:   Symbol: AMZN200320C02170000					
02/24/2020	2.00	517.35	02/03/2020	0.00	0.00	517.35	Buy to Close
PUT TSLA 09/25/20	400	TESLA INC	ADJ 5:1 STOCK SPLIT   CUSIP:   Symbol: TSLA200925P00400000				
09/22/2020	1.00	458.67	09/21/2020	0.00	0.00	458.67	Buy to Close
CALL GOOGL 10/16/20	1535	ALPHABET INC CLASS A   CUSIP:   Symbol: GOOGL201016C01535000					
10/06/2020	1.00	678.69	09/23/2020	0.00	0.00	678.69	Buy to Close
PUT TSLA 09/25/20	399	TESLA INC	ADJ 5:1 STOCK SPLIT   CUSIP:   Symbol: TSLA200925P00399000				
09/25/2020	1.00	72.71	09/25/2020	0.00	0.00	72.71	Buy to Close
PUT ORCL 03/20/20	42	ORACLE CORP   CUSIP:   Symbol: ORCL200320P00042000					
03/20/2020	1.00	93.70	03/09/2020	0.00	0.00	93.70	Buy to Close
CALL MSFT 04/17/20	175	MICROSOFT CORP   CUSIP:   Symbol: MSFT200417C00175000					
04/01/2020	1.00	88.70	03/30/2020	0.00	0.00	88.70	Buy to Close
PUT AMZN 05/08/20	2300	AMAZON.COM INC   CUSIP:   Symbol: AMZN200508P02300000					
05/05/2020	1.00	2,818.62	04/30/2020	0.00	0.00	2,818.62	Buy to Close
PUT AMZN 11/06/20	3025	AMAZON.COM INC   CUSIP:   Symbol: AMZN201106P03025000					
10/30/2020	1.00	9,235.64	10/29/2020	5,646.14	0.00	3,589.50	Sell to Close
PUT GOOGL 04/17/20	1240	ALPHABET INC CLASS A   CUSIP:   Symbol: GOOGL200417P01240000					
04/15/2020	1.00	986.82	03/11/2020	9,764.14	0.00	-8,777.32	Sell to Close
CALL TSLA 11/20/20	460	TESLA INC	ADJ 5:1 STOCK SPLIT   CUSIP:   Symbol: TSLA201120C00460000				
10/06/2020	1.00	493.62	09/25/2020	0.00	0.00	493.62	Buy to Close
PUT COST 03/06/20	295	COSTCO WHOLESALE CORPORATION   CUSIP:   Symbol: COST200306P00295000					
03/06/2020	1.00	1.84	03/05/2020	127.14	0.00	-125.30	Sell to Close
CALL AMZN 06/19/20	2650	AMAZON.COM INC   CUSIP:   Symbol: AMZN200619C02650000					
06/19/2020	2.00	5,215.59	06/12/2020	6,678.28	0.00	-1,462.69	Sell to Close
CALL TSLA 11/13/20	465	TESLA INC   CUSIP:   Symbol: TSLA201113C00465000					
11/09/2020	3.00	1,901.53	11/06/2020	876.41	0.00	1,025.12	Sell to Close
CALL GOOGL 05/29/20	1445	ALPHABET INC CLASS A   CUSIP:   Symbol: GOOGL200529C01445000					
05/29/2020	2.00	129.70	05/27/2020	362.28	0.00	-232.58	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)

01/23/2021

**SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS**

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

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CALL TSLA 11/20/20	470	TESLA INC	ADJ 5:1 STOCK SPLIT   CUSIP:   Symbol: TSLA201120C00470000				
11/17/2020	1.00	475.69	11/17/2020	0.00	0.00	475.69	Buy to Close
CALL AMZN 05/22/20	2510	AMAZON.COM INC   CUSIP:   Symbol: AMZN200522C02510000					
05/21/2020	1.00	376.84	05/18/2020	596.14	0.00	-219.30	Sell to Close
CALL SPY 05/15/20	306	STANDARD & POORS DEPOSITORY   CUSIP:   Symbol: SPY200515C00306000					
04/22/2020	1.00	71.84	04/17/2020	164.14	0.00	-92.30	Sell to Close
PUT TSLA 05/08/20	685	TESLA INC   CUSIP:   Symbol: TSLA200508P00685000					
04/29/2020	1.00	447.67	04/28/2020	0.00	0.00	447.67	Buy to Close
PUT SBUX 04/03/20	56	STARBUCKS CORPORATION   CUSIP:   Symbol: SBUX200403P00056000					
04/01/2020	2.00	33.69	03/30/2020	114.28	0.00	-80.59	Sell to Close
CALL AMZN 11/13/20	3325	AMAZON.COM INC   CUSIP:   Symbol: AMZN201113C03325000					
11/03/2020	1.00	2,353.62	10/30/2020	0.00	0.00	2,353.62	Buy to Close
PUT GOOGL 10/02/20	1380	ALPHABET INC CLASS A   CUSIP:   Symbol: GOOGL201002P01380000					
09/28/2020	1.00	352.84	09/25/2020	976.14	0.00	-623.30	Sell to Close
CALL DIS 04/03/20	102	WALT DISNEY CO   CUSIP:   Symbol: DIS200403C00102000					
04/02/2020	1.00	46.70	04/01/2020	0.00	0.00	46.70	Buy to Close
PUT MSFT 02/28/20	162.50	MICROSOFT CORP   CUSIP:   Symbol: MSFT200228P00162500					
02/28/2020	1.00	-733.30	02/24/2020	0.00	0.00	-733.30	Buy to Close
PUT GOOGL 02/28/20	1370	ALPHABET INC CLASS A   CUSIP:   Symbol: GOOGL200228P01370000					
02/28/2020	1.00	-8,930.31	02/25/2020	0.00	0.00	-8,930.31	Buy to Close
CALL AMZN 03/20/20	2190	AMAZON.COM INC   CUSIP:   Symbol: AMZN200320C02190000					
02/24/2020	2.00	2,117.66	02/03/2020	2,603.28	0.00	-485.62	Sell to Close
CALL GILD 06/19/20	82.50	GILEAD SCIENCES INC   CUSIP:   Symbol: GILD200619C00082500					
05/12/2020	4.00	2,054.79	04/17/2020	0.00	0.00	2,054.79	Buy to Close
05/12/2020	2.00	1,027.40	04/17/2020	0.00	0.00	1,027.40	Buy to Close
<b>Security Totals:</b>		<b>3,082.19</b>		<b>0.00</b>		<b>3,082.19</b>	
PUT COST 03/06/20	297.50	COSTCO WHOLESALE CORPORATION   CUSIP:   Symbol: COST200306P00297500					
03/06/2020	2.00	291.43	03/05/2020	0.00	0.00	291.43	Buy to Close
PUT DIS 04/03/20	89	WALT DISNEY CO   CUSIP:   Symbol: DIS200403P00089000					
04/02/2020	1.00	18.70	04/01/2020	0.00	0.00	18.70	Buy to Close

APEX CLEARING

## Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B\*

OMB No. 1545-0715

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(continued)

01/23/2021

**SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS**

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

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CALL BA 04/03/20	145	BOEING CO   CUSIP:   Symbol: BA200403C00145000					
04/03/2020	1.00	1.84	04/02/2020	50.14	0.00	-48.30	Sell to Close
PUT TLRV 03/20/20	10	TILRAY INC   CUSIP:   Symbol: TLRV200320P00010000					
03/09/2020	1.00	267.84	03/03/2020	23.14	0.00	244.70	Sell to Close
PUT IWM 06/19/20	137	ISHARES RUSSELL 2000 ETF   CUSIP:   Symbol: IWM200619P00137000					
06/12/2020	1.00	460.83	06/05/2020	70.14	0.00	390.69	Sell to Close
PUT AMZN 06/19/20	2250	AMAZON.COM INC   CUSIP:   Symbol: AMZN200619P02250000					
06/03/2020	1.00	472.83	05/29/2020	1,427.14	0.00	-954.31	Sell to Close
PUT AMZN 06/19/20	2220	AMAZON.COM INC   CUSIP:   Symbol: AMZN200619P02220000					
05/21/2020	1.00	5,102.56	04/30/2020	0.00	0.00	5,102.56	Buy to Close
PUT AMZN 05/08/20	2290	AMAZON.COM INC   CUSIP:   Symbol: AMZN200508P02290000					
05/05/2020	1.00	891.83	04/30/2020	3,653.14	0.00	-2,761.31	Sell to Close
PUT COST 03/06/20	302.50	COSTCO WHOLESALE CORPORATION   CUSIP:   Symbol: COST200306P00302500					
03/06/2020	2.00	3.70	Various	443.28	0.00	-439.58	Sell to Close
PUT TSLA 06/19/20	650	TESLA INC   CUSIP:   Symbol: TSLA200619P00650000					
05/28/2020	3.00	1,385.53	Various	3,053.42	0.00	-1,667.89	Sell to Close
PUT SPY 03/06/20	287.50	STANDARD & POORS DEPOSITORY   CUSIP:   Symbol: SPY200306P00287500					
03/06/2020	1.00	0.00	03/03/2020	206.14	0.00	-206.14	Expiration
CALL QQQ 09/25/20	278	INVESCO QQQ TRUST SERIES 1   CUSIP:   Symbol: QQQ200925C00278000					
09/24/2020	3.00	23.57	09/23/2020	90.41	0.00	-66.84	Sell to Close
AMAZON.COM INC   CUSIP: 023135106   Symbol: AMZN							
07/02/2020	200.00	543,446.67	07/02/2020	544,327.28	0.00	-880.61	Sale Box 6 – Net
PUT IWM 05/29/20	137	ISHARES RUSSELL 2000 ETF   CUSIP:   Symbol: IWM200529P00137000					
	1.00	35.84	05/29/2020	0.00	0.00	35.84	Expiration
CALL TSLA 11/20/20	470	TESLA INC ADJ 5:1 STOCK SPLIT   CUSIP:   Symbol: TSLA201120C00470000					
10/06/2020	1.00	3,003.78	09/25/2020	3,536.14	0.00	-532.36	Sell to Close
PUT BA 04/03/20	115	BOEING CO   CUSIP:   Symbol: BA200403P00115000					
04/03/2020	1.00	58.70	04/02/2020	0.00	0.00	58.70	Buy to Close
CALL QQQ 09/25/20	275	INVESCO QQQ TRUST SERIES 1   CUSIP:   Symbol: QQQ200925C00275000					
09/24/2020	3.00	179.15	09/23/2020	0.00	0.00	179.15	Buy 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)

01/23/2021

**SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS**

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

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CALL TSLA 06/19/20 900 TESLA INC   CUSIP:   Symbol: TSLA200619C009000000							
04/27/2020	1.00	-266.41	04/14/2020	0.00	0.00	-266.41	Buy to Close
<b>Totals:</b>		<b>1,334,971.07</b>		<b>1,347,919.19</b>		<b>1,019.42</b>	

APEX CLEARING

## Regulated Futures Contracts &amp; Section 1256 Options

2020

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

## PROFIT OR LOSS REALIZED IN 2020 ON CLOSED CONTRACTS

Description of property CUSIP	Expiration Date/ Strike Price	Closing Trade Process Date	Number of Contracts	Buy/Sell/Expire	Opening Contract Amount	Closing Contract Amount	Realized Profit/(Loss)
CALL RUT 12/18/20 1900	CBOE RUSSELL 2000 INDEX						
	12/18/2020						
CUSIP:	@ 1,900.00	12/09/2020	1.00	Buy	1,247.68	3,497.32	-2,249.64
CALL SPXW 04/30/20 2955	CBOE S&P 500 CLOSE/EURO INDEX						
	04/30/2020						
CUSIP:	@ 2,955.00	04/28/2020	1.00	Sell	456.79	367.21	-89.58
CALL SPXW 04/30/20 2935	CBOE S&P 500 CLOSE/EURO INDEX						
	04/30/2020						
CUSIP:	@ 2,935.00	04/28/2020	1.00	Buy	798.21	699.79	98.42
PUT NDXP 04/06/20 7830	CBOE NASDAQ 100 INDEX						
	04/06/2020						
CUSIP:	@ 7,830.00	04/06/2020	1.00	Expire	39.32	0.00	-39.32
PUT SPXW 04/30/20 2755	CBOE S&P 500 CLOSE/EURO INDEX						
	04/30/2020						
CUSIP:	@ 2,755.00	04/28/2020	1.00	Sell	466.79	273.21	-193.58
PUT SPXW 04/30/20 2775	CBOE S&P 500 CLOSE/EURO INDEX						
	04/30/2020						
CUSIP:	@ 2,775.00	04/28/2020	1.00	Buy	658.21	433.79	224.42
CALL NDXP 04/06/20 8010	CBOE NASDAQ 100 INDEX						
	04/06/2020						
CUSIP:	@ 8,010.00	04/06/2020	1.00	Sell	7,171.00	975.68	-6,195.32
PUT NDXP 04/06/20 7860	CBOE NASDAQ 100 INDEX						
	04/06/2020						
CUSIP:	@ 7,860.00	04/06/2020	1.00	Expire	73.68	0.00	73.68
CALL RUT 12/18/20 1910	CBOE RUSSELL 2000 INDEX						
	12/18/2020						
CUSIP:	@ 1,910.00	12/09/2020	1.00	Sell	1,030.32	2,936.68	1,906.36
CALL NDXP 04/06/20 8040	CBOE NASDAQ 100 INDEX						
	04/06/2020						
CUSIP:	@ 8,040.00	04/06/2020	1.00	Buy	4,161.00	395.32	3,765.68
<b>Short-Term Profit/(Loss) Total: 40%</b>							<b>-1,079.55</b>
<b>Long-Term Profit/(Loss) Total: 60%</b>							<b>-1,619.33</b>
<b>Total:</b>							<b>-2,698.88</b>

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

APEX CLEARING

## Regulated Futures Contracts &amp; Section 1256 Options

2020

5WT99723

(continued)

01/23/2021

## UNREALIZED PROFIT OR LOSS ON OPEN CONTRACTS – 12/31/2020

Description of property CUSIP	Expiration Date/ Strike Price	Number of Contracts	Long or Short	Opening Contract Amount	Market Value 12/31/2020	Unrealized Profit/(Loss)
CALL RUT 02/19/21 2000 CBOE RUSSELL 2000 INDEX						
CUSIP:	02/19/2021 @ 2,000.00	1.00	Long	3,000.32	6,689.00	3,688.68
CALL RUT 02/19/21 1950 CBOE RUSSELL 2000 INDEX						
CUSIP:	02/19/2021 @ 1,950.00	1.00	Short	4,467.68	9,792.00	-5,324.32
<b>Short-Term Profit/(Loss) Total: 40%</b>						<b>-654.26</b>
<b>Long-Term Profit/(Loss) Total: 60%</b>						<b>-981.38</b>
<b>Total:</b>						<b>-1,635.64</b>

Aggregate Short-Term Profit or (Loss): 40%	-1,733.81
Aggregate Long-Term Profit or (Loss): 60%	-2,600.71
<b>11 - Aggregate Profit or (Loss) on Contracts</b>	<b>-4,334.52</b>

## Common Instructions for Recipient

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

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

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

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

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

### Keep tax documents for your records.

#### 1099-DIV Instructions for Recipient

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

#### 1099-INT Instructions for Recipient

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

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

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

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

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

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

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

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

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

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

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

**Box 11.** For a taxable covered security (other than a U.S. Treasury obligation), shows the amount of premium amortization allocable to the interest payment(s), unless you notified the payer in writing in accordance with Regulations section 1.6045-1(n)(5) that you did not want to amortize bond premium under section 171. If an amount is reported in this box, see the Instructions for Schedule B (Form 1040 or 1040-SR) to determine the net amount of interest includible 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 includible in income on Form 1040 or 1040-SR with respect to the U.S. Treasury obligation. If an amount is not reported in this box for a U.S. Treasury obligation that is a covered security acquired at a premium and the payer is reporting premium amortization, the payer has reported a net amount of interest in box 3. If the amount in box 12 is greater than the amount of interest paid on the U.S. Treasury obligation, see Regulations section 1.171-2(a)(4).

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

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

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

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

#### 1099-B Instructions for Recipient

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

#### 1099-MISC Instructions for Recipient

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

#### 1099-OID Instructions for Recipient

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

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

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

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

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

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

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

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

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



withheld.

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

