

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

RAVI SATHISH KUMAR THANNEERU
245 ROONEY CT
EAST BRUNSWICK, NJ 08816-5832

IN ACCOUNT WITH
WEBULL FINANCIAL LLC
917-725-2448

IMPORTANT YEAR END MESSAGES

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

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

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APEX CLEARING ONE DALLAS CENTER 350 NORTH ST PAUL SUITE 1300 DALLAS, TX 75201 Customer Service: 214-765-1009 PAYER'S Federal ID No: 13-2967453 IN ACCOUNT WITH WEBULL FINANCIAL LLC (917) 725-2448	Account 5MR56588	Form 1099 Composite	2020
	RAVI SATHISH KUMAR THANNEERU 245 ROONEY CT EAST BRUNSWICK, NJ 08816-5832 RECIPIENT'S ID No: XXX-XX-7301	Statement Date: 01/24/2021	

FATCA filing requirement []

Tax Reporting Statement

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

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

MISCELLANEOUS INCOME	2020 Form 1099-MISC*	OMB No. 1545-0115
2- Royalties	0.00	
3- Other Income	14.72	
4- Federal Income Tax Withheld	0.00	
8- Substitute Payments in Lieu of Dividends or Interest	0.00	

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

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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

5MR56588

01/24/2021

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	Wash Sale Loss Disallowed	Total Net Gain or Loss(-)
Short term transactions for covered tax lots	56,206.29	63,005.41	0.00		-6,742.08
Short term transactions for noncovered tax lots	0.00	0.00	0.00	57.04	0.00
Total Short-term	56,206.29	63,005.41	0.00	57.04	-6,742.08
Long-term transactions for covered tax lots	2.55	2.05	0.00	0.00	0.50
Long-term transactions for noncovered tax lots	0.00	0.00	0.00	0.00	0.00
Total Long-term	2.55	2.05	0.00	0.00	0.50
Undetermined transactions for noncovered tax lots	0.00	0.00	0.00	0.00	0.00
Total Undetermined-term	0.00	0.00	0.00	0.00	0.00

ORIGINAL ISSUE DISCOUNT SUMMARY

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

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

FEDERAL TAX WITHHELD

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

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 WKHS 07/17/20	20	WORKHORSE GROUP INC CUSIP: Symbol: WKHS200717C00020000					
07/09/2020	1.00	104.89	07/08/2020	130.09	0.00	-25.20	Sell to Close
CALL AMD 07/31/20	80	ADVANCED MICRO DEVICES INC CUSIP: Symbol: AMD200731C00080000					
07/31/2020	4.00	3.60	Various	73.37	0.00	-69.77	Sell to Close
CALL WKHS 07/31/20	20	WORKHORSE GROUP INC CUSIP: Symbol: WKHS200731C00020000					
07/28/2020	3.00	14.70	Various	160.28	0.00	-145.58	Sell to Close
CALL CAT 07/24/20	140	CATERPILLAR INC CUSIP: Symbol: CAT200724C00140000					
07/16/2020	1.00	304.89	07/16/2020	200.09	0.00	104.80	Sell to Close
CALL MA 07/17/20	305	MASTERCARD INC CUSIP: Symbol: MA200717C00305000					
07/13/2020	8.00	1,519.19	Various	1,353.74	0.00	165.45	Sell to Close

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APEX CLEARING

Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B*

OMB No. 1545-0715

5MR56588

(continued)

01/24/2021

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 NIO 12/24/20	50	NIO INC ADS CUSIP: Symbol: NIO201224C00050000					
12/07/2020	1.00	289.90	12/04/2020	270.08	0.00	19.82	Sell to Close
PUT NIO 08/21/20	14	NIO INC ADS CUSIP: Symbol: NIO200821P00014000					
08/20/2020	1.00	39.89	08/04/2020	180.09	0.00	-140.20	Sell to Close
CALL DKNG 07/24/20	34.50	DRAFTKINGS INC CL A CUSIP: Symbol: DKNG200724C00034500					
07/17/2020	1.00	264.89	07/16/2020	230.09	0.00	34.80	Sell to Close
CALL STM 07/17/20	30	STMICROELECTRONICS N V CUSIP: Symbol: STM200717C00030000					
07/15/2020	1.00	34.89	07/14/2020	25.09	0.00	9.80	Sell to Close
CALL SPY 08/19/20	340	STANDARD & POORS DEPOSITORY CUSIP: Symbol: SPY200819C00340000					
08/18/2020	1.00	40.89	08/14/2020	80.09	0.00	-39.20	Sell to Close
CALL HD 08/21/20	310	HOME DEPOT INC CUSIP: Symbol: HD200821C00310000					
08/20/2020	1.00	1.89	08/17/2020	94.09	0.00	-92.20	Sell to Close
CALL SRNE 12/11/20	8.50	SORRENTO THERAPEUTICS INC CUSIP: Symbol: SRNE201211C00008500					
12/08/2020	4.00	79.66	11/27/2020	360.32	0.00	-280.66	Sell to Close
CALL SPR 07/17/20	26	SPIRIT AEROSYSTEMS HOLDINGS CUSIP: Symbol: SPR200717C00026000					
07/13/2020	1.00	24.89	06/29/2020	235.09	0.00	-210.20	Sell to Close
CALL CHGG 07/17/20	70	CHEGG INC CUSIP: Symbol: CHGG200717C00070000					
07/07/2020	1.00	349.89	06/29/2020	285.09	0.00	64.80	Sell to Close
CALL KHC 08/21/20	35	KRAFT HEINZ COMPANY (THE) CUSIP: Symbol: KHC200821C00035000					
07/29/2020	1.00	164.89	07/17/2020	150.09	0.00	14.80	Sell to Close
ALTERYX INC		CLASS A COMMON STOCK CUSIP: 02156B103 Symbol: AYX					
10/12/2020	5.00	749.57	08/13/2020	545.00	0.00	204.57	Sale
CALL GM 07/31/20	26.50	GENERAL MOTORS COMPANY CUSIP: Symbol: GM200731C00026500					
07/28/2020	1.00	74.89	07/24/2020	75.09	0.00	-0.20	Sell to Close
CALL SPY 07/24/20	330	STANDARD & POORS DEPOSITORY CUSIP: Symbol: SPY200724C00330000					
07/22/2020	1.00	59.89	07/22/2020	44.09	0.00	15.80	Sell to Close
CALL WKHS 09/04/20	17	WORKHORSE GROUP INC CUSIP: Symbol: WKHS200904C00017000					
08/26/2020	1.00	249.89	08/25/2020	160.09	0.00	89.80	Sell to Close
CALL HD 07/24/20	265	HOME DEPOT INC CUSIP: Symbol: HD200724C00265000					
07/21/2020	1.00	169.89	07/17/2020	169.09	0.00	0.80	Sell to Close

APEX CLEARING

Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B*

OMB No. 1545-0715

5MR56588

(continued)

01/24/2021

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 KODK 09/25/20	14	EASTMAN KODAK COMPANY CUSIP: Symbol: KODK200925C00014000					
09/25/2020	1.00	0.00	09/18/2020	120.09	0.00	-120.09	Expiration
CALL AMRN 11/27/20	6	AMARIN CORP PLC CUSIP: Symbol: AMRN201127C00006000					
11/25/2020	20.00	18.34	11/23/2020	21.61	0.00	-3.27	Sell to Close
CALL QS 12/31/20	120	QUANTUMSCAPE CORPORATION CL A CUSIP: Symbol: QS201231C00120000					
12/22/2020	1.00	1,799.87	12/22/2020	1,600.08	0.00	199.79	Sell to Close
12/28/2020	2.00	399.82	Various	2,230.16	0.00	-1,830.34	Sell to Close
Security Totals:		2,199.69		3,830.24		-1,630.55	
CALL TLRV 12/04/20	8.50	TILRAY INC CUSIP: Symbol: TLRV201204C00008500					
11/30/2020	1.00	104.90	11/27/2020	80.08	0.00	24.82	Sell to Close
CALL NIO 07/17/20	14	NIO INC ADS CUSIP: Symbol: NIO200717C00014000					
07/07/2020	2.00	219.79	07/02/2020	74.19	0.00	145.60	Sell to Close
07/08/2020	1.00	299.89	07/07/2020	198.09	0.00	101.80	Sell to Close
07/08/2020	2.00	439.79	07/08/2020	570.19	0.00	-130.40	Sell to Close
Security Totals:		959.47		842.47		117.00	
CALL ZM 08/21/20	300	ZOOM VIDEO COMMUNICATIONS INC CUSIP: Symbol: ZM200821C00300000					
08/21/2020	1.00	19.89	08/20/2020	90.09	0.00	-70.20	Sell to Close
***WIMI HOLOGRAM CLOUD INC	AMERICAN DEPOSITARY SHARE CUSIP: 97264L100 Symbol: WIMI						
12/09/2020	200.00	1,285.95	Various	3,009.50	0.00	-1,723.55	Sale
CALL AMRN 08/07/20	7	AMARIN CORP PLC CUSIP: Symbol: AMRN200807C00007000					
08/04/2020	3.00	44.71	08/03/2020	45.27	0.00	-0.56	Sell to Close
CALL XPEV 12/04/20	48	XPENG INC ADR CLASS A CUSIP: Symbol: XPEV201204C00048000					
11/20/2020	1.00	624.89	11/19/2020	385.08	0.00	239.81	Sell to Close
ENVISTA HOLDINGS CORPORATION	COMMON STOCK \$0.01 PAR VALUE PER SHARE CUSIP: 29415F104 Symbol: NVST						
10/26/2020	20.00	529.57	08/13/2020	477.76	0.00	51.81	Sale
CTI BIOPHARMA CORP	COM NEW CUSIP: 12648L601 Symbol: CTIC						
10/28/2020	10.00	30.78	10/26/2020	32.00	0.00	-1.22	Sale
CALL PFE 12/18/20	41	PFIZER INC CUSIP: Symbol: PFE201218C00041000					
12/01/2020	6.00	869.49	11/20/2020	168.48	0.00	701.01	Sell to Close
CALL MARA 12/18/20	5	MARATHON PATENT GROUP INC CUSIP: Symbol: MARA201218C00005000					
11/24/2020	1.00	154.90	11/23/2020	100.08	0.00	54.82	Sell to Close

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APEX CLEARING

Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B*

OMB No. 1545-0715

5MR56588

(continued)

01/24/2021

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 NIO 07/17/20	12	NIO INC ADS CUSIP: Symbol: NIO200717P00012000					
07/15/2020	3.00	50.70	07/09/2020	216.28	0.00	-165.58	Sell to Close
CALL FCCEL 01/15/21	9	FUELCELL ENERGY INC CUSIP: Symbol: FCCEL210115C00009000					
12/22/2020	1.00	249.90	12/08/2020	168.08	0.00	81.82	Sell to Close
CALL JPM 08/28/20	103	JPMORGAN CHASE & CO CUSIP: Symbol: JPM200828C00103000					
08/28/2020	1.00	0.00	08/27/2020	50.09	0.00	-50.09	Expiration
CALL BABA 08/28/20	290	ALIBABA GROUP HOLDING LIMITED CUSIP: Symbol: BABA200828C00290000					
08/28/2020	1.00	0.00	08/28/2020	105.09	0.00	-105.09	Expiration
CALL PCG 08/21/20	9.50	PG&E CORP CUSIP: Symbol: PCG200821C00009500					
08/20/2020	2.00	1.80	Various	62.18	0.00	-60.38	Sell to Close
CALL AYRO 12/18/20	5	AYRO INC CUSIP: Symbol: AYRO201218C00005000					
11/19/2020	4.00	639.65	11/13/2020	259.32	0.00	380.33	Sell to Close
CALL MSFT 07/17/20	217.50	MICROSOFT CORP CUSIP: Symbol: MSFT200717C00217500					
07/15/2020	1.00	44.89	07/09/2020	256.09	0.00	-211.20	Sell to Close
QUANTUMSCAPE CORPORATION		CLASS A COMMON STOCK CUSIP: 74767V109 Symbol: QS					
12/21/2020	1.00	91.98	12/08/2020	70.75	0.00	21.23	Sale
CALL DVAX 12/18/20	6	DYNAVAX TECHNOLOGIES CORP CUSIP: Symbol: DVAX201218C00006000					
12/14/2020	5.00	24.58	Various	218.40	0.00	-193.82	Sell to Close
MATINAS BIOPHARMA HOLDINGS INC COMMON STOCK CUSIP: 576810105 Symbol: MTNB							
12/09/2020	100.00	105.48	12/07/2020	121.00	0.00	-15.52	Sale
CALL SRNE 08/21/20	7	SORRENTO THERAPEUTICS INC CUSIP: Symbol: SRNE200821C00007000					
07/30/2020	4.00	859.59	Various	530.38	0.00	329.21	Sell to Close
SORRENTO THERAPEUTICS INC CUSIP: 83587F202 Symbol: SRNE							
11/24/2020	10.00	69.58	11/09/2020	58.50	0.00	11.08	Sale
ARCA BIOPHARMA INC		COMMON STOCK CUSIP: 00211Y506 Symbol: ABIO					
09/22/2020	10.00	46.08	09/15/2020	51.50	0.00	-5.42	Sale
CALL UPWK 12/18/20	40	UPWORK INC CUSIP: Symbol: UPWK201218C00040000					
12/15/2020	1.00	64.90	12/09/2020	35.08	0.00	29.82	Sell to Close
CALL JE 10/16/20	1	JUST ENERGY GROUP INC CUSIP: Symbol: JE201016C00001000					
09/25/2020	1.00	9.89	09/25/2020	15.09	0.00	-5.20	Sell to Close

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APEX CLEARING

Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B*

OMB No. 1545-0715

5MR56588

(continued)

01/24/2021

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 WKHS 07/17/20	16	WORKHORSE GROUP INC CUSIP: Symbol: WKHS200717P00016000					
07/13/2020	1.00	119.89	07/09/2020	199.09	0.00	-79.20	Sell to Close
CALL WMT 08/21/20	143	WALMART INC CUSIP: Symbol: WMT200821C00143000					
08/21/2020	1.00	0.00	08/17/2020	92.09	0.00	-92.09	Expiration
CALL ZM 08/28/20	320	ZOOM VIDEO COMMUNICATIONS INC CUSIP: Symbol: ZM200828C00320000					
08/28/2020	1.00	0.00	08/26/2020	90.09	0.00	-90.09	Expiration
CALL BAC 10/02/20	24.50	BANK OF AMERICA CORP CUSIP: Symbol: BAC201002C00024500					
10/02/2020	1.00	0.00	09/30/2020	18.08	0.00	-18.08	Expiration
CALL MYOV 08/21/20	20	MYOVANT SCIENCES LTD CUSIP: Symbol: MYOV200821C00020000					
08/12/2020	10.00	94.06	Various	230.90	0.00	-136.84	Sell to Close
CALL AMRN 12/24/20	6	AMARIN CORP PLC CUSIP: Symbol: AMRN201224C00006000					
12/17/2020	3.00	14.74	11/20/2020	66.24	0.00	-51.50	Sell to Close
12/21/2020	17.00	15.59	11/20/2020	375.37	0.00	-359.78	Sell to Close
Security Totals:		30.33		441.61		-411.28	
CALL EWZ 07/24/20	32	ISHARES MSCI BRAZIL ETF CUSIP: Symbol: EWZ200724C00032000					
07/15/2020	1.00	35.89	07/14/2020	43.09	0.00	-7.20	Sell to Close
CALL NTN 08/21/20	24	NUTANIX INC CUSIP: Symbol: NTN200821C00024000					
08/21/2020	1.00	0.00	08/10/2020	59.09	0.00	-59.09	Expiration
CALL AMD 07/24/20	58	ADVANCED MICRO DEVICES INC CUSIP: Symbol: AMD200724C00058000					
07/13/2020	1.00	199.89	07/09/2020	148.09	0.00	51.80	Sell to Close
CALL CCJ 09/18/20	11	CAMECO CORP CUSIP: Symbol: CCJ200918C00011000					
08/20/2020	1.00	49.89	07/30/2020	50.09	0.00	-0.20	Sell to Close
CALL ON 08/21/20	21	ON SEMICONDUCTOR CORP CUSIP: Symbol: ON200821C00021000					
08/11/2020	6.00	1,139.42	Various	1,085.55	0.00	53.87	Sell to Close
CALL ERIC 08/21/20	10	ERICSSON CUSIP: Symbol: ERIC200821C00010000					
07/17/2020	1.00	114.89	07/14/2020	40.09	0.00	74.80	Sell to Close
CALL BA 07/02/20	200	BOEING CO CUSIP: Symbol: BA200702C00200000					
06/25/2020	1.00	144.89	06/24/2020	355.09	0.00	-210.20	Sell to Close
CALL BA 08/07/20	180	BOEING CO CUSIP: Symbol: BA200807C00180000					
08/04/2020	1.00	64.89	08/03/2020	57.09	0.00	7.80	Sell to Close

APEX CLEARING

Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B*

OMB No. 1545-0715

5MR56588

(continued)

01/24/2021

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 BOX 10/16/20	21	BOX INC CUSIP: Symbol: BOX201016C00021000	10/16/2020	1.00	0.00	08/27/2020	175.09	0.00	-175.09	Expiration
CALL APT 07/31/20	25	ALPHA PRO TECH LIMITED CUSIP: Symbol: APT200731C00025000	07/29/2020	1.00	34.89	07/22/2020	158.09	0.00	-123.20	Sell to Close
PUT NIO 09/04/20	16	NIO INC ADS CUSIP: Symbol: NIO200904P00016000	09/04/2020	1.00	0.00	08/25/2020	85.09	0.00	-85.09	Expiration
CALL NVAX 08/14/20	146	NOVAVAX INC CUSIP: Symbol: NVAX200814C00146000	08/14/2020	1.00	389.89	08/14/2020	375.09	0.00	14.80	Sell to Close
ELECTRO-SENSORS INC CUSIP: 285233102 Symbol: ELSE			10/07/2020	10.00	59.18	10/06/2020	60.65	0.00	-1.47	Sale
CALL RIOT 08/14/20	4.50	RIOT BLOCKCHAIN INC CUSIP: Symbol: RIOT200814C00004500	08/14/2020	1.00	0.00	08/06/2020	65.09	0.00	-65.09	Expiration
MARATHON PATENT GROUP INC COMMON STOCK CUSIP: 56585W401 Symbol: MARA			11/23/2020	10.00	39.98	11/05/2020	24.90	0.00	15.08	Sale
CALL JPM 07/17/20	100	JPMORGAN CHASE & CO CUSIP: Symbol: JPM200717C00100000	07/15/2020	1.00	120.89	07/13/2020	214.09	0.00	-93.20	Sell to Close
CALL EVRI 08/21/20	7.50	EVERI HOLDINGS INC CUSIP: Symbol: EVRI200821C00007500	08/11/2020	5.00	274.53	Various	255.46	0.00	19.07	Sell to Close
CALL PLUG 07/24/20	8	PLUG POWER INC CUSIP: Symbol: PLUG200724C00008000	06/24/2020	5.00	499.51	06/24/2020	400.46	0.00	99.05	Sell to Close
CALL UBER 09/25/20	38.50	UBER TECHNOLOGIES INC CUSIP: Symbol: UBER200925C00038500	09/01/2020	1.00	37.89	09/01/2020	42.09	0.00	-4.20	Sell to Close
CALL DELL 08/21/20	55	DELL TECHNOLOGIES INC CL C CUSIP: Symbol: DELL200821C00055000	06/29/2020	1.00	289.89	06/25/2020	215.09	0.00	74.80	Sell to Close
CALL PM 07/31/20	73	PHILIP MORRIS INTERNATIONAL CUSIP: Symbol: PM200731C00073000	07/21/2020	1.00	309.89	07/20/2020	160.09	0.00	149.80	Sell to Close
CALL MSFT 07/17/20	210	MICROSOFT CORP CUSIP: Symbol: MSFT200717C00210000	07/08/2020	1.00	559.88	07/06/2020	330.09	0.00	229.79	Sell to Close
CALL AAPL 10/02/20	121.25	APPLE INC ADJ 4:1 STOCK SPLIT CUSIP: Symbol: AAPL201002C00121250	10/02/2020	1.00	0.00	09/22/2020	70.09	0.00	-70.09	Expiration

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APEX CLEARING

Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B*

OMB No. 1545-0715

5MR56588

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01/24/2021

SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

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

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PUT QCOM 08/07/20	110	QUALCOMM INC CUSIP: Symbol: QCOM200807P00110000					
08/05/2020	1.00	79.89	08/03/2020	140.09	0.00	-60.20	Sell to Close
CALL NVAX 12/18/20	210	NOVAVAX INC CUSIP: Symbol: NVAX201218C00210000					
12/17/2020	1.00	0.90	12/01/2020	380.08	0.00	-379.18	Sell to Close
CALL NVAX 12/18/20	200	NOVAVAX INC CUSIP: Symbol: NVAX201218C00200000					
12/16/2020	1.00	4.90	12/01/2020	180.08	0.00	-175.18	Sell to Close
CALL DKNG 08/14/20	32	DRAFTKINGS INC CL A CUSIP: Symbol: DKNG200814C00032000					
08/11/2020	1.00	189.89	08/10/2020	190.09	0.00	-0.20	Sell to Close
CALL AYRO 11/20/20	5	AYRO INC CUSIP: Symbol: AYRO201120C00005000					
11/12/2020	10.00	99.16	11/12/2020	50.81	0.00	48.35	Sell to Close
CALL MSFT 08/28/20	240	MICROSOFT CORP CUSIP: Symbol: MSFT200828C00240000					
08/28/2020	1.00	13.89	08/27/2020	144.09	0.00	-130.20	Sell to Close
CALL WKHS 07/17/20	17.50	WORKHORSE GROUP INC CUSIP: Symbol: WKHS200717C00017500					
07/02/2020	3.00	1,679.67	Various	1,100.27	0.00	579.40	Sell to Close
CALL AZN 07/10/20	55	ASTRAZENECA PLC CUSIP: Symbol: AZN200710C00055000					
07/07/2020	10.00	549.02	07/06/2020	850.94	0.00	-301.92	Sell to Close
CALL NIO 11/20/20	54	NIO INC ADS CUSIP: Symbol: NIO201120C00054000					
11/13/2020	1.00	299.90	11/13/2020	350.08	0.00	-50.18	Sell to Close
CALL TLT 08/14/15	125.50	DTC/ESCROW RECEIPTS TLT CUSIP: Symbol: BBY201002P00019000					
10/02/2020	1.00	0.00	10/01/2020	45.08	0.00	-45.08	Expiration
MODERNA INC		COMMON STOCK CUSIP: 60770K107 Symbol: MRNA					
11/30/2020	5.00	759.97	07/14/2020	435.70	0.00	324.27	Sale
CALL M 09/18/20	7.50	MACYS INC CUSIP: Symbol: M200918C00007500					
09/02/2020	1.00	27.89	09/01/2020	45.09	0.00	-17.20	Sell to Close
PUT AYRO 12/18/20	5	AYRO INC CUSIP: Symbol: AYRO201218P00005000					
11/23/2020	1.00	30.90	11/19/2020	80.08	0.00	-49.18	Sell to Close
CALL WMT 07/17/20	125	WALMART INC CUSIP: Symbol: WMT200717C00125000					
07/09/2020	1.00	274.89	07/07/2020	188.09	0.00	86.80	Sell to Close
CALL MSFT 09/18/20	232.50	MICROSOFT CORP CUSIP: Symbol: MSFT200918C00232500					
09/18/2020	1.00	0.00	09/09/2020	66.09	0.00	-66.09	Expiration

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APEX CLEARING

Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B*

OMB No. 1545-0715

5MR56588

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01/24/2021

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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BIONANO GENOMICS INC COMMON STOCK CUSIP: 09075F107 Symbol: BNGO							
12/30/2020	200.00	499.96	12/30/2020	416.00	0.00	83.96	Sale
CALL BA 07/17/20 180 BOEING CO CUSIP: Symbol: BA200717C00180000							
07/13/2020	1.00	699.88	07/10/2020	500.09	0.00	199.79	Sell to Close
CALL SPCE 08/07/20 35 VIRGIN GALACTIC HOLDINGS INC CUSIP: Symbol: SPCE200807C00035000							
08/07/2020	5.00	0.00	Various	189.46	0.00	-189.46	Expiration
CLEVELAND BIOLABS INC COM NEW CUSIP: 185860202 Symbol: CBLI							
12/24/2020	100.00	359.98	12/22/2020	312.00	0.00	47.98	Sale
CALL MU 08/28/20 45 MICRON TECHNOLOGY INC CUSIP: Symbol: MU200828C00045000							
08/28/2020	1.00	61.89	08/18/2020	85.09	0.00	-23.20	Sell to Close
CALL CSCO 08/28/20 42.50 CISCO SYSTEMS INC CUSIP: Symbol: CSCO200828C00042500							
08/28/2020	1.00	0.00	08/27/2020	17.09	0.00	-17.09	Expiration
CALL SBUX 07/31/20 76 STARBUCKS CORPORATION CUSIP: Symbol: SBUX200731C00076000							
07/30/2020	1.00	79.89	07/30/2020	50.09	0.00	29.80	Sell to Close
CALL DIS 07/17/20 119 WALT DISNEY CO CUSIP: Symbol: DIS200717C00119000							
07/13/2020	1.00	269.89	07/01/2020	163.09	0.00	106.80	Sell to Close
CALL PENN 07/10/20 40 PENN NATIONAL GAMING INC CUSIP: Symbol: PENN200710C00040000							
06/26/2020	5.00	249.52	06/24/2020	550.46	0.00	-300.94	Sell to Close
CALL AMRN 12/31/20 6 AMARIN CORP PLC CUSIP: Symbol: AMRN201231C0006000							
12/17/2020	6.00	59.50	12/07/2020	120.48	0.00	-60.98	Sell to Close
AYRO INC COMMON STOCK CUSIP: 054748108 Symbol: AYRO							
11/19/2020	200.00	1,219.95	07/07/2020	1,130.00	0.00	89.95	Sale
CALL MRNA 12/24/20 195 MODERNA INC CUSIP: Symbol: MRNA201224C00195000							
12/17/2020	1.00	99.90	12/08/2020	1,010.08	0.00	-910.18	Sell to Close
CALL WMT 07/24/20 135 WALMART INC CUSIP: Symbol: WMT200724C00135000							
07/22/2020	10.00	249.03	Various	2,126.95	0.00	-1,877.92	Sell to Close
CALL BA 07/17/20 195 BOEING CO CUSIP: Symbol: BA200717C00195000							
07/16/2020	1.00	84.89	07/15/2020	320.09	0.00	-235.20	Sell to Close
PUT XPEV 11/20/20 40 XPENG INC ADR CLASS A CUSIP: Symbol: XPEV201120P00040000							
11/13/2020	1.00	196.90	11/12/2020	295.08	0.00	-98.18	Sell to Close

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APEX CLEARING

Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B*

OMB No. 1545-0715

5MR56588

(continued)

01/24/2021

SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

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

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KANDI TECHNOLOGIES GROUP INC CUSIP: 483709101 Symbol: KNDI							
11/09/2020	10.00	90.18	11/05/2020	84.48	0.00	5.70	Sale
CALL WORK 08/14/20 30.50 SLACK TECHNOLOGIES INC CL A CUSIP: Symbol: WORK200814C00030500							
08/12/2020	3.00	44.71	Various	185.27	0.00	-140.56	Sell to Close
CALL IDEX 12/18/20 3 IDEANOMICS INC CUSIP: Symbol: IDEX201218C00003000							
12/08/2020	1.00	9.90	11/23/2020	65.08	0.00	-55.18	Sell to Close
CALL TLRV 08/07/20 8 TILRAY INC CUSIP: Symbol: TLRV200807C00008000							
08/04/2020	1.00	26.89	07/29/2020	26.09	0.00	0.80	Sell to Close
CALL INO 07/10/20 30 INOVIO PHARMACEUTICALS INC CUSIP: Symbol: INO200710C00030000							
06/29/2020	1.00	699.88	06/25/2020	570.09	0.00	129.79	Sell to Close
CALL NOK 07/24/20 4.50 NOKIA CORPORATION CUSIP: Symbol: NOK200724C00004500							
07/23/2020	5.00	24.52	07/14/2020	60.46	0.00	-35.94	Sell to Close
CALL CVS 08/07/20 65 CVS HEALTH CORPORATION CUSIP: Symbol: CVS200807C00065000							
08/06/2020	1.00	11.89	08/04/2020	120.09	0.00	-108.20	Sell to Close
PUT XPEV 12/11/20 51 XPENG INC ADR CLASS A CUSIP: Symbol: XPEV201211P00051000							
12/01/2020	1.00	349.90	11/30/2020	275.08	0.00	74.82	Sell to Close
CALL NKLA 11/20/20 23 NIKOLA CORPORATION CUSIP: Symbol: NKLA201120C00023000							
11/13/2020	2.00	139.82	11/13/2020	180.16	0.00	-40.34	Sell to Close
CALL Z 07/31/20 70 ZILLOW GROUP INC CLASS C CUSIP: Symbol: Z200731C00070000							
07/24/2020	1.00	118.89	07/22/2020	152.09	0.00	-33.20	Sell to Close
CALL UBER 09/18/20 30 UBER TECHNOLOGIES INC CUSIP: Symbol: UBER200918C00030000							
08/27/2020	1.00	339.89	08/26/2020	280.09	0.00	59.80	Sell to Close
CALL WBA 07/24/20 41.50 WALGREENS BOOTS ALLIANCE INC CUSIP: Symbol: WBA200724C00041500							
07/23/2020	1.00	6.89	07/17/2020	89.09	0.00	-82.20	Sell to Close
CALL GOOGL 07/17/20 1600 ALPHABET INC CLASS A CUSIP: Symbol: GOOGL200717C01600000							
07/16/2020	1.00	42.89	07/13/2020	1,300.09	0.00	-1,257.20	Sell to Close
CALL M 07/24/20 7.50 MACYS INC CUSIP: Symbol: M200724C00007500							
07/15/2020	10.00	219.03	07/13/2020	170.94	0.00	48.09	Sell to Close
CALL RTX 07/31/20 62 RAYTHEON TECHNOLOGIES CORP CUSIP: Symbol: RTX200731C00062000							
07/21/2020	1.00	229.89	07/20/2020	166.09	0.00	63.80	Sell to Close

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2020 Form 1099-B*

OMB No. 1545-0715

5MR56588

(continued)

01/24/2021

SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

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

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CALL UBER 08/21/20	33	UBER TECHNOLOGIES INC CUSIP: Symbol: UBER200821C00033000					
08/06/2020	1.00	289.89	07/22/2020	185.09	0.00	104.80	Sell to Close
CALL FCCEL 12/18/20	6	FUELCELL ENERGY INC CUSIP: Symbol: FCCEL201218C00006000					
11/23/2020	2.00	359.82	11/19/2020	200.16	0.00	159.66	Sell to Close
CALL AMZN 07/17/20	3710	AMAZON.COM INC CUSIP: Symbol: AMZN200717C03710000					
07/15/2020	1.00	125.89	07/15/2020	150.09	0.00	-24.20	Sell to Close
CALL TWTR 07/17/20	36	TWITTER INC CUSIP: Symbol: TWTR200717C00036000					
07/15/2020	3.00	122.70	Various	273.28	0.00	-150.58	Sell to Close
CALL AAPL 08/07/20	450	APPLE INC CUSIP: Symbol: AAPL200807C00450000					
08/06/2020	1.00	449.89	08/06/2020	395.09	0.00	54.80	Sell to Close
***NIO INC		AMERICAN DEPOSITARY SHARES ECH RPRSNTNG ONE CL A ORD SHARE CUSIP: 62914V106 Symbol: NIO					
07/07/2020	200.00	2,419.92	06/22/2020	1,500.00	0.00	919.92	Sale
CALL NIO 07/10/20	9	NIO INC ADS CUSIP: Symbol: NIO200710C00009000					
06/29/2020	1.00	12.89	06/22/2020	40.09	0.00	-27.20	Sell to Close
CALL GNUS 07/10/20	4	GENIUS BRANDS INTRNTNL INC CUSIP: Symbol: GNUS200710C00004000					
07/07/2020	6.00	29.42	Various	345.56	0.00	-316.14	Sell to Close
CALL BA 07/10/20	210	BOEING CO CUSIP: Symbol: BA200710C00210000					
06/29/2020	1.00	649.88	06/29/2020	440.09	0.00	209.79	Sell to Close
CALL SPCE 07/02/20	17	VIRGIN GALACTIC HOLDINGS INC CUSIP: Symbol: SPCE200702C00017000					
07/01/2020	1.00	24.89	07/01/2020	21.09	0.00	3.80	Sell to Close
CALL NIO 08/28/20	15	NIO INC ADS CUSIP: Symbol: NIO200828C00015000					
08/25/2020	1.00	111.89	08/24/2020	60.09	0.00	51.80	Sell to Close
CALL TSLA 09/04/20	640	TESLA INC ADJ 5:1 STOCK SPLIT CUSIP: Symbol: TSLA200904C00640000					
08/31/2020	1.00	89.89	08/31/2020	89.09	0.00	0.80	Sell to Close
CALL SBUX 09/18/20	80	STARBUCKS CORPORATION CUSIP: Symbol: SBUX200918C00080000					
07/29/2020	1.00	214.89	07/20/2020	160.09	0.00	54.80	Sell to Close
CALL MRNA 12/11/20	106	MODERNA INC CUSIP: Symbol: MRNA201211C00106000					
11/25/2020	2.00	1,249.80	Various	730.16	0.00	519.64	Sell to Close
CALL NVDA 11/20/20	600	NVIDIA CORP CUSIP: Symbol: NVDA201120C00600000					
11/11/2020	1.00	355.90	11/10/2020	210.08	0.00	145.82	Sell to Close

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2020 Form 1099-B*

OMB No. 1545-0715

5MR56588

(continued)

01/24/2021

SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

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CALL GUSH 07/17/20	36	DIREXION DLY S&P OIL & GAS EXP CUSIP: Symbol: GUSH200717C00036000					
07/15/2020	1.00	74.89	07/06/2020	235.09	0.00	-160.20	Sell to Close
CALL VBIV 09/18/20	5.50	VBI VACCINES INC CUSIP: Symbol: VBIV200918C00005500					
09/18/2020	2.00	0.00	Various	95.18	0.00	-95.18	Expiration
CALL UBER 07/17/20	33.50	UBER TECHNOLOGIES INC CUSIP: Symbol: UBER200717C00033500					
07/13/2020	5.00	299.52	07/07/2020	570.46	0.00	-270.94	Sell to Close
CALL AAPL 12/18/20	123	APPLE INC CUSIP: Symbol: AAPL201218C00123000					
12/07/2020	1.00	339.90	12/01/2020	330.08	0.00	9.82	Sell to Close
PUT WKHS 07/24/20	15	WORKHORSE GROUP INC CUSIP: Symbol: WKHS200724P00015000					
07/20/2020	1.00	124.89	07/09/2020	197.09	0.00	-72.20	Sell to Close
CALL AYRO 12/18/20	10	AYRO INC CUSIP: Symbol: AYRO201218C00010000					
11/27/2020	1.00	97.90	11/20/2020	255.08	0.00	-157.18	Sell to Close
CALL BA 08/28/20	175	BOEING CO CUSIP: Symbol: BA200828C00175000					
08/26/2020	1.00	129.89	08/26/2020	231.09	0.00	-101.20	Sell to Close
REGIONS FINANCIAL CORP CUSIP: 7591EP100 Symbol: RF							
11/20/2020	1.00	15.06	06/16/2020	12.58	0.00	2.48	Sale
CALL FB 07/10/20	250	FACEBOOK INC CL A CUSIP: Symbol: FB200710C00250000					
07/07/2020	1.00	224.89	07/06/2020	104.09	0.00	120.80	Sell to Close
CALL WKHS 07/24/20	14.50	WORKHORSE GROUP INC CUSIP: Symbol: WKHS200724C00014500					
07/20/2020	1.00	219.89	07/20/2020	90.09	0.00	129.80	Sell to Close
CALL VBIV 01/15/21	3.50	VBI VACCINES INC CUSIP: Symbol: VBIV210115C00003500					
12/22/2020	1.00	39.90	11/30/2020	65.08	0.00	-25.18	Sell to Close
CALL QS 02/19/21	55	QUANTUMSCAPE CORPORATION CL A CUSIP: Symbol: QS210219C00055000					
12/08/2020	1.00	999.88	12/01/2020	260.08	0.00	739.80	Sell to Close
GENIUS BRANDS INTERNATIONAL INC COMMON STOCK CUSIP: 37229T301 Symbol: GNUS							
06/03/2020	150.00	1,027.45	06/03/2020	972.04	0.00	55.41	Sale
06/03/2020	150.00	874.46	06/03/2020	931.50	57.04 D	0.00	Sale
06/03/2020	150.00	1,079.95	06/03/2020	930.00	0.00	149.95	Sale
06/05/2020	100.00	609.97	06/04/2020	930.00	0.00	-320.03	Sale
Security Totals:		3,591.83		3,763.54		-114.67	

* 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

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(continued)

01/24/2021

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 UBER 07/17/20	32	UBER TECHNOLOGIES INC CUSIP: Symbol: UBER200717P00032000					
07/13/2020	1.00	43.89	07/09/2020	85.09	0.00	-41.20	Sell to Close
CALL TXN 07/31/20	133	TEXAS INSTRUMENTS INC CUSIP: Symbol: TXN200731C00133000					
07/29/2020	6.00	239.42	Various	463.55	0.00	-224.13	Sell to Close
CALL NFLX 07/10/20	505	NETFLIX INC CUSIP: Symbol: NFLX200710C00505000					
07/06/2020	2.00	1,499.76	Various	587.18	0.00	912.58	Sell to Close
CALL SBUX 07/24/20	76	STARBUCKS CORPORATION CUSIP: Symbol: SBUX200724C00076000					
07/21/2020	1.00	119.89	07/20/2020	54.09	0.00	65.80	Sell to Close
CALL NIO 07/10/20	12	NIO INC ADS CUSIP: Symbol: NIO200710C00012000					
07/07/2020	3.00	227.70	07/06/2020	360.28	0.00	-132.58	Sell to Close
CALL ATVI 08/07/20	84	ACTIVISION BLIZZARD INC CUSIP: Symbol: ATVI200807C00084000					
08/05/2020	1.00	186.89	08/03/2020	380.09	0.00	-193.20	Sell to Close
PUT BA 07/17/20	165	BOEING CO CUSIP: Symbol: BA200717P00165000					
07/09/2020	1.00	379.89	07/08/2020	235.09	0.00	144.80	Sell to Close
PUT BA 07/10/20	170	BOEING CO CUSIP: Symbol: BA200710P00170000					
07/10/2020	1.00	159.89	07/09/2020	140.09	0.00	19.80	Sell to Close
CALL ROKU 07/17/20	160	ROKU INC CUSIP: Symbol: ROKU200717C00160000					
07/10/2020	1.00	624.88	07/09/2020	295.09	0.00	329.79	Sell to Close
PUT DIS 08/14/20	125	WALT DISNEY CO CUSIP: Symbol: DIS200814P00125000					
08/14/2020	1.00	0.00	08/05/2020	135.09	0.00	-135.09	Expiration
CALL DKNG 07/17/20	35	DRAFTKINGS INC CL A CUSIP: Symbol: DKNG200717C00035000					
07/13/2020	1.00	34.89	07/02/2020	170.09	0.00	-135.20	Sell to Close
CALL DDOG 08/07/20	101	DATADOG INC CL A CUSIP: Symbol: DDOG200807C00101000					
08/06/2020	1.00	154.89	07/31/2020	280.09	0.00	-125.20	Sell to Close
CALL BA 08/07/20	190	BOEING CO CUSIP: Symbol: BA200807C00190000					
08/05/2020	1.00	56.89	08/05/2020	65.09	0.00	-8.20	Sell to Close
CALL SNAP 09/04/20	22.50	SNAP INC CUSIP: Symbol: SNAP200904C00022500					
08/31/2020	1.00	82.89	08/28/2020	59.09	0.00	23.80	Sell to Close
CALL GNUS 07/10/20	4.50	GENIUS BRANDS INTRNTNL INC CUSIP: Symbol: GNUS200710C00004500					
07/07/2020	4.00	19.60	07/02/2020	160.38	0.00	-140.78	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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01/24/2021

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 AUDC 08/21/20	40	AUDICODES LTD ORD CUSIP: Symbol: AUDC200821C00040000					
08/03/2020	1.00	79.89	07/31/2020	76.09	0.00	3.80	Sell to Close
CALL PFE 12/18/20	45	PFIZER INC CUSIP: Symbol: PFE201218C00045000					
12/08/2020	1.00	69.90	12/01/2020	69.08	0.00	0.82	Sell to Close
CALL IWM 08/21/20	155	ISHARES RUSSELL 2000 ETF CUSIP: Symbol: IWM200821C00155000					
08/21/2020	1.00	5.89	08/21/2020	20.09	0.00	-14.20	Sell to Close
CALL NVAX 12/04/20	139	NOVAVAX INC CUSIP: Symbol: NVAX201204C00139000					
11/30/2020	1.00	619.89	11/27/2020	380.08	0.00	239.81	Sell to Close
CALL QS 02/19/21	80	QUANTUMSCAPE CORPORATION CL A CUSIP: Symbol: QS210219C00080000					
12/21/2020	1.00	1,549.87	12/09/2020	1,000.08	0.00	549.79	Sell to Close
CALL AAL 06/18/21	20	AMERICAN AIRLINES GROUP INC CUSIP: Symbol: AAL210618C00020000					
12/10/2020	2.00	699.81	12/03/2020	460.16	0.00	239.65	Sell to Close
CALL QCOM 08/14/20	117	QUALCOMM INC CUSIP: Symbol: QCOM200814C00117000					
08/14/2020	1.00	3.89	08/12/2020	94.09	0.00	-90.20	Sell to Close
CALL AZN 07/24/20	63	ASTRAZENECA PLC CUSIP: Symbol: AZN200724C00063000					
07/20/2020	1.00	499.88	07/17/2020	190.09	0.00	309.79	Sell to Close
07/23/2020	1.00	4.89	07/20/2020	90.09	0.00	-85.20	Sell to Close
Security Totals:		504.77		280.18		224.59	
CALL AAPL 08/28/20	550	APPLE INC CUSIP: Symbol: AAPL200828C00550000					
08/27/2020	1.00	19.89	08/25/2020	115.09	0.00	-95.20	Sell to Close
CALL AMD 08/21/20	100	ADVANCED MICRO DEVICES INC CUSIP: Symbol: AMD200821C00100000					
08/21/2020	1.00	0.00	08/05/2020	84.09	0.00	-84.09	Expiration
LYFT INC		CLASS A COMMON STOCK CUSIP: 55087P104 Symbol: LYFT					
11/10/2020	10.00	359.88	08/12/2020	310.00	0.00	49.88	Sale
CALL GE 07/17/20	7	GENERAL ELECTRIC CO CUSIP: Symbol: GE200717C00007000					
07/13/2020	20.00	118.07	07/07/2020	301.88	0.00	-183.81	Sell to Close
CALL CRM 09/11/20	315	SALESFORCE.COM INC CUSIP: Symbol: CRM200911C00315000					
09/01/2020	1.00	149.89	08/31/2020	88.09	0.00	61.80	Sell to Close
CALL TWTR 10/23/20	50	TWITTER INC CUSIP: Symbol: TWTR201023C00050000					
10/01/2020	1.00	65.90	10/01/2020	65.08	0.00	0.82	Sell to Close

APEX CLEARING

Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B*

OMB No. 1545-0715

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01/24/2021

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 UBER 09/25/20	30	UBER TECHNOLOGIES INC CUSIP: Symbol: UBER200925C00030000					
08/26/2020	1.00	294.89	08/17/2020	168.09	0.00	126.80	Sell to Close
CALL WKHS 07/17/20	17	WORKHORSE GROUP INC CUSIP: Symbol: WKHS200717C00017000					
07/15/2020	1.00	74.89	07/13/2020	150.09	0.00	-75.20	Sell to Close
CALL TSLA 08/21/20	2500	TESLA INC CUSIP: Symbol: TSLA200821C02500000					
08/20/2020	1.00	29.89	08/20/2020	42.09	0.00	-12.20	Sell to Close
CALL TSLA 07/31/20	3000	TESLA INC CUSIP: Symbol: TSLA200731C03000000					
07/22/2020	1.00	379.89	07/21/2020	485.09	0.00	-105.20	Sell to Close
CALL NIO 11/27/20	49	NIO INC ADS CUSIP: Symbol: NIO201127C00049000					
11/13/2020	1.00	902.89	11/12/2020	485.08	0.00	417.81	Sell to Close
CALL DIS 07/31/20	120	WALT DISNEY CO CUSIP: Symbol: DIS200731C00120000					
07/29/2020	1.00	7.89	07/23/2020	150.09	0.00	-142.20	Sell to Close
CALL MRNA 12/11/20	145	MODERNA INC CUSIP: Symbol: MRNA201211C00145000					
12/01/2020	1.00	899.89	11/27/2020	653.08	0.00	246.81	Sell to Close
PUT TSLA 12/18/20	450	TESLA INC	ADJ 5:1 STOCK SPLIT CUSIP: Symbol: TSLA201218P00450000				
11/27/2020	1.00	359.90	11/25/2020	480.08	0.00	-120.18	Sell to Close
CALL SESN 08/21/20	2	SESEN BIO INC CUSIP: Symbol: SESN200821C00002000					
08/21/2020	9.00	0.00	Various	45.84	0.00	-45.84	Expiration
CALL INO 07/10/20	25	INOVIO PHARMACEUTICALS INC CUSIP: Symbol: INO200710C00025000					
06/24/2020	1.00	559.88	06/24/2020	440.09	0.00	119.79	Sell to Close
CALL BA 07/24/20	182.50	BOEING CO CUSIP: Symbol: BA200724C00182500					
07/22/2020	1.00	349.89	07/21/2020	350.09	0.00	-0.20	Sell to Close
CALL VUZI 07/17/20	5	VUZIX CORPORATION CUSIP: Symbol: VUZI200717C00005000					
07/16/2020	20.00	98.07	Various	351.88	0.00	-253.81	Sell to Close
CALL UNH 09/18/20	330	UNITEDHEALTH GROUP INC CUSIP: Symbol: UNH200918C00330000					
07/14/2020	1.00	729.88	07/13/2020	600.09	0.00	129.79	Sell to Close
CALL AAPL 07/10/20	375	APPLE INC CUSIP: Symbol: AAPL200710C00375000					
06/30/2020	1.00	259.89	06/24/2020	540.09	0.00	-280.20	Sell to Close
CALL SHOP 09/25/20	1080	SHOPIFY INC CUSIP: Symbol: SHOP200925C01080000					
09/25/2020	1.00	0.00	09/22/2020	70.09	0.00	-70.09	Expiration

APEX CLEARING

Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B*

OMB No. 1545-0715

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(continued)

01/24/2021

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 AAPL 08/07/20	470	APPLE INC CUSIP: Symbol: AAPL200807C00470000	08/06/2020	112.09	0.00	-104.20	Sell to Close
08/07/2020	1.00	7.89	08/06/2020	112.09	0.00	-104.20	Sell to Close
CALL FB 08/07/20	275	FACEBOOK INC CL A CUSIP: Symbol: FB200807C00275000	08/07/2020	132.09	0.00	-97.20	Sell to Close
08/07/2020	1.00	34.89	08/07/2020	132.09	0.00	-97.20	Sell to Close
CALL DAL 07/17/20	29	DELTA AIR LINES INC DEL CUSIP: Symbol: DAL200717C00029000	06/29/2020	396.19	0.00	-264.40	Sell to Close
07/13/2020	2.00	131.79	06/29/2020	396.19	0.00	-264.40	Sell to Close
CALL MCD 07/24/20	205	MCDONALDS CORP CUSIP: Symbol: MCD200724C00205000	07/15/2020	21.09	0.00	-0.20	Sell to Close
07/22/2020	1.00	20.89	07/15/2020	21.09	0.00	-0.20	Sell to Close
CALL WDC 09/04/20	38	WESTERN DIGITAL CORP CUSIP: Symbol: WDC200904C00038000	08/28/2020	87.09	0.00	-27.20	Sell to Close
09/01/2020	1.00	59.89	08/28/2020	87.09	0.00	-27.20	Sell to Close
PUT FB 09/04/20	270	FACEBOOK INC CL A CUSIP: Symbol: FB200904P00270000	08/26/2020	95.09	0.00	-58.20	Sell to Close
09/03/2020	1.00	36.89	08/26/2020	95.09	0.00	-58.20	Sell to Close
CALL WMT 07/17/20	127	WALMART INC CUSIP: Symbol: WMT200717C00127000	Various	1,036.38	0.00	-316.79	Sell to Close
07/09/2020	4.00	719.59	Various	1,036.38	0.00	-316.79	Sell to Close
CALL FB 07/17/20	255	FACEBOOK INC CL A CUSIP: Symbol: FB200717C00255000	06/23/2020	373.09	0.00	-328.20	Sell to Close
06/29/2020	1.00	44.89	06/23/2020	373.09	0.00	-328.20	Sell to Close
PUT WKHS 07/17/20	13	WORKHORSE GROUP INC CUSIP: Symbol: WKHS200717P00013000	07/10/2020	117.09	0.00	-87.20	Sell to Close
07/13/2020	1.00	29.89	07/10/2020	117.09	0.00	-87.20	Sell to Close
CALL WMT 07/17/20	126	WALMART INC CUSIP: Symbol: WMT200717C00126000	07/07/2020	600.19	0.00	-130.41	Sell to Close
07/09/2020	2.00	469.78	07/07/2020	600.19	0.00	-130.41	Sell to Close
CALL MU 07/24/20	49.50	MICRON TECHNOLOGY INC CUSIP: Symbol: MU200724C00049500	07/14/2020	158.09	0.00	46.80	Sell to Close
07/15/2020	1.00	204.89	07/14/2020	158.09	0.00	46.80	Sell to Close
Totals:		56,206.29		63,005.41		-6,742.08	

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Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B*

OMB No. 1545-0715

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01/24/2021

LONG TERM TRANSACTIONS FOR COVERED TAX LOTS

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

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

Box 5: Box Not Checked (Covered Security)

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

Box 12: Basis Reported to the IRS

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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
***BANCO SANTANDER S A SPONSORED ADR CUSIP: 05964H105 Symbol: SAN							
11/12/2020	1.00	2.55	04/20/2020	2.05	0.00	0.50	Sale
Totals:		2.55		2.05		0.50	

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APEX CLEARING

Miscellaneous Income - Details of Form 1099-MISC

2020

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

Description CUSIP Symbol							
Date	Royalties (Box 2)	Other Income (Box 3)	Substitute Payments in Lieu of Dividends or Interest (Box 8)	Federal Income Tax Withheld (Box 4)	State Tax Withheld (Box 15)	State (Box 13) State Identification No. (Box 14)	
REGIONS FINANCIAL CORP CUSIP: 7591EP100 Symbol: RF							
06/16/2020	0.00	12.58	0.00	0.00	0.00		
***BANCO SANTANDER S A SPONSORED ADR CUSIP: 05964H105 Symbol: SAN							
04/18/2020	0.00	2.14	0.00	0.00	0.00		
Totals:	0.00	14.72	0.00	0.00	0.00		

APEX CLEARING

Supplemental Information

2020

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

Fees & Expenses

Description	Amount
Date	
Margin Interest Expense	
09/16/2020	1.71
10/16/2020	3.40
Total:	5.11
Totals:	5.11

Common Instructions for Recipient

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

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

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

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

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

Keep tax documents for your records.

1099-DIV Instructions for Recipient

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

1099-INT Instructions for Recipient

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

Boxes 15-17. State tax withheld reporting boxes.

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

1099-B Instructions for Recipient

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

1099-MISC Instructions for Recipient

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

1099-OID Instructions for Recipient

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

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

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

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

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

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

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

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

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

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

withheld.

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

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

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

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

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

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

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

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

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

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

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

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

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

Boxes 12–14. State income tax withheld reporting.

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

