Ameritrade Member FINRA/SIPC	Tax Information Account 686108785	Statement Date: Document ID:	02/04/2021 CORRECTED E438 1F3 X7F1	2020
PO BOX 2209 OMAHA, NE 68103-2209 Client Services: 800-669-3900	VIJAY BODEPUDI 620 ILLINOIS CT EL SEGUNDO, CA 90245-3441			
PAYER'S TIN: 47-0533629	RECIPIENT'S TIN: XXX-XX-4074			

[] FATCA filing requirement (see instructions)	Summary Inf	ormation		
DIVIDENDS AND DISTRIBUTIONS 2020 1099-DIV*	OMB No. 1545-0110	MISCELLANEOUS INCOME	2020 1099-MISC*	OMB No. 1545-0115
1a- Total ordinary dividends (includes lines 1b, 5)	0.00	2- Royalties		0.00
1b- Qualified dividends	0.00	3- Other income		0.00
2a- Total capital gain distributions (includes lines 2b, 2c, 2d)	0.00	4- Federal income tax withheld		0.00
2b- Unrecaptured Section 1250 gain	0.00	8- Substitute payments in lieu of dividends o	r interest	0.00
2c- Section 1202 gain	0.00	• •		
2d- Collectibles (28%) gain	0.00	SECTION 1256 CONTRACTS	2020 1099-B*	OMB No. 1545-0715
3- Nondividend distributions	0.00	8- Profit or (loss) realized in 2020 on closed	contracts	0.00
4- Federal income tax withheld	0.00	9- Unrealized profit or (loss) on open contract		0.00
5- Section 199A dividends	0.00	10- Unrealized profit or (loss) on open contract		0.00
6- Investment expenses	0.00	11- Aggregate profit or (loss) on contracts	0.03 12/01/2020	0.00
8- Foreign country or US possession: 7- Foreign tax paid:	0.00	The Aggregate profit of (1033) of contracts		0.00
9- Cash liquidation distributions	0.00	If applicable, proceeds from sale transaction	ons appear summarized belo	ow and are
10- Noncash liquidation distributions	0.00	detailed in subsequent sections of this doc		
11- Exempt-interest dividends (includes line 12)	0.00	•		
12- Specified private activity bond interest dividends (AMT)	0.00			

^{*} 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.

SUMMARY OF PROCEEDS, GAINS & LOSSES, ADJUSTMENTS AND WITHHOLDING

Refer to the 1099-B and Proceeds not reported to the IRS pages to ensure that you consider all relevant items and to determine the correct gains and losses. The amounts shown below are for informational purposes.

Term	Form 8949 type	Proceeds	Cost basis	Market discount	Wash sale loss disallowed	Net gain or loss(-)
Short	A (basis reported to the IRS)	7,303,862.66	7,739,426.69	0.00	467,376.83	31,812.80 C
Short	B (basis not reported to the IRS)	0.00	0.00	0.00	0.00	0.00
Short	C (Form 1099-B not received)	0.00	0.00	0.00	0.00	0.00
	Total Short-term	7,303,862.66	7,739,426.69	0.00	467,376.83	31,812.80
Long	D (basis reported to the IRS)	0.00	0.00	0.00	0.00	0.00
Long	E (basis not reported to the IRS)	0.00	0.00	0.00	0.00	0.00
Long	F (Form 1099-B not received)	0.00	0.00	0.00	0.00	0.00
	Total Long-term	0.00	0.00	0.00	0.00	0.00
Undetermined	B or E (basis not reported to the IRS)	0.00	0.00	0.00	0.00	0.00
Undetermined	C or F (Form 1099-B not received)	0.00	0.00	0.00	0.00	0.00
	Total Undetermined-term	0.00	0.00	0.00	0.00	0.00
	Grand total	7,303,862.66	7,739,426.69	0.00	467,376.83	31,812.80
Withholding		Amount				
Federal income	tax withheld	0.00				

2020 (continued) 02/04/2021 CORRECTED

INTEREST INCOME

2020 1099-INT

OMB No. 1545-0112

This is important tax information and is being furnished to the Internal Revenue Service. If you are required to file a return, a negligence penalty or other sanction may be imposed on you if this income is taxable and the IRS determines that it has not been reported.

1- Interest income (not included in line 3)	0.16
2- Early withdrawal penalty	0.00
3- Interest on US Savings Bonds & Treasury obligations	0.00
4- Federal income tax withheld	0.00
5- Investment expenses	0.00
7- Foreign country or US possession: 6- Foreign tax paid:	0.00
8- Tax-exempt interest (includes line 9)	0.00
9- Specified private activity bond interest (AMT)	0.00
10- Market discount (covered lots)	0.00
11- Bond premium (covered lots)	0.00
12- Bond premium on Treasury obligations (covered lots)	0.00
13- Bond premium on tax-exempt bonds (categorized below)	0.00
Tax-exempt obligations (covered lots)	0.00
Tax-exempt private activity obligations (AMT, covered lots)	0.00
14- Tax-exempt and tax credit bond CUSIP number	See detail

The following amounts are not reported to the IRS. They are presented here for your reference when preparing your tax return(s).

Taxable accrued Treasury interest paid 0.00 Tax-exempt accrued interest paid 0.00 Tax-exempt accrued interest paid (AMT) 0.00 Taxable accrued nonqualified interest paid 0.00 Tax-exempt accrued nonqualified interest paid 0.00 Tax-exempt accrued nonqualified interest paid 0.00 Tax-exempt accrued nonqualified interest paid (AMT) 0.00 Nonqualified interest 0.00 Tax-exempt nonqualified interest 0.00 Tax-exempt nonqualified interest 0.00 Tax-exempt nonqualified interest 0.00 Tax-exempt nonqualified interest 0.00 Bond premium- Non Treasury obligations (noncovered lots) 0.00 Bond premium- Treasury obligations (noncovered lots) 0.00 Bond premium- Tax-exempt obligations (noncovered lots) 0.00 Bond premium- Tax-exempt obligations (AMT, noncovered lots) 0.00 Market discount (noncovered lots) 0.00 Market discount (noncovered lots) 0.00	Taxable accrued interest paid	0.00
Tax-exempt accrued interest paid (AMT) Taxable accrued nonqualified interest paid Tax-exempt accrued nonqualified interest paid Tax-exempt accrued nonqualified interest paid Tax-exempt accrued nonqualified interest paid (AMT) Nonqualified interest Tax-exempt nonqualified interest Tax-exempt nonqualified interest Tax-exempt nonqualified interest Tax-exempt nonqualified interest (AMT) Tax-exempt noncovered lots) Doub Bond premium- Tax-exempt obligations (noncovered lots) Doub Bond premium- Tax-exempt obligations (AMT, noncovered lots) Doub Bond premium- Tax-exempt obligations (AMT, noncovered lots)	Taxable accrued Treasury interest paid	0.00
Taxable accrued nonqualified interest paid 0.00 Tax-exempt accrued nonqualified interest paid 0.00 Tax-exempt accrued nonqualified interest paid (AMT) 0.00 Nonqualified interest 0.00 Tax-exempt nonqualified interest 0.00 Tax-exempt nonqualified interest 0.00 Tax-exempt nonqualified interest 0.00 Interest shortfall on contingent payment debt 0.00 Bond premium- Non Treasury obligations (noncovered lots) 0.00 Bond premium- Tax-exempt obligations (noncovered lots) 0.00 Bond premium- Tax-exempt obligations (AMT, noncovered lots) 0.00 Bond premium- Tax-exempt obligations (AMT, noncovered lots) 0.00		0.00
Tax-exempt accrued nonqualified interest paid (AMT) 0.00 Tax-exempt accrued nonqualified interest paid (AMT) 0.00 Nonqualified interest 0.00 Tax-exempt nonqualified interest 0.00 Tax-exempt nonqualified interest (AMT) 0.00 Interest shortfall on contingent payment debt 0.00 Bond premium- Non Treasury obligations (noncovered lots) 0.00 Bond premium- Treasury obligations (noncovered lots) 0.00 Bond premium- Tax-exempt obligations (AMT, noncovered lots) 0.00 Bond premium- Tax-exempt obligations (AMT, noncovered lots) 0.00	Tax-exempt accrued interest paid (AMT)	0.00
Tax-exempt accrued nonqualified interest paid (AMT) Nonqualified interest 0.00 Tax-exempt nonqualified interest 10.00 Tax-exempt nonqualified interest (AMT) 10.00 Interest shortfall on contingent payment debt 10.00 Bond premium- Non Treasury obligations (noncovered lots) 10.00	Taxable accrued nonqualified interest paid	0.00
Nonqualified interest 0.00 Tax-exempt nonqualified interest 0.00 Tax-exempt nonqualified interest (AMT) 0.00 Interest shortfall on contingent payment debt 0.00 Bond premium- Non Treasury obligations (noncovered lots) 0.00 Bond premium- Treasury obligations (noncovered lots) 0.00 Bond premium- Tax-exempt obligations (noncovered lots) 0.00 Bond premium- Tax-exempt obligations (AMT, noncovered lots) 0.00	Tax-exempt accrued nonqualified interest paid	0.00
Tax-exempt nonqualified interest0.00Tax-exempt nonqualified interest (AMT)0.00Interest shortfall on contingent payment debt0.00Bond premium- Non Treasury obligations (noncovered lots)0.00Bond premium- Treasury obligations (noncovered lots)0.00Bond premium- Tax-exempt obligations (noncovered lots)0.00Bond premium- Tax-exempt obligations (AMT, noncovered lots)0.00	Tax-exempt accrued nonqualified interest paid (AMT)	0.00
Tax-exempt nonqualified interest (AMT) Interest shortfall on contingent payment debt Bond premium- Non Treasury obligations (noncovered lots) Bond premium- Treasury obligations (noncovered lots) Bond premium- Tax-exempt obligations (noncovered lots) Bond premium- Tax-exempt obligations (AMT, noncovered lots) 0.00	Nonqualified interest	0.00
Interest shortfall on contingent payment debt Bond premium- Non Treasury obligations (noncovered lots) Bond premium- Treasury obligations (noncovered lots) Bond premium- Tax-exempt obligations (noncovered lots) Bond premium- Tax-exempt obligations (AMT, noncovered lots) 0.00 Control of the state o	Tax-exempt nonqualified interest	0.00
Bond premium- Non Treasury obligations (noncovered lots) Bond premium- Treasury obligations (noncovered lots) Bond premium- Tax-exempt obligations (noncovered lots) Bond premium- Tax-exempt obligations (AMT, noncovered lots) 0.00 Output Descriptions (AMT, noncovered lots)		0.00
Bond premium- Treasury obligations (noncovered lots) 0.00 Bond premium- Tax-exempt obligations (noncovered lots) 0.00 Bond premium- Tax-exempt obligations (AMT, noncovered lots) 0.00	Interest shortfall on contingent payment debt	0.00
Bond premium- Tax-exempt obligations (noncovered lots) 0.00 Bond premium- Tax-exempt obligations (AMT, noncovered lots) 0.00		0.00
Bond premium- Tax-exempt obligations (AMT, noncovered lots) 0.00		0.00
	Bond premium- Tax-exempt obligations (noncovered lots)	0.00
Market discount (noncovered lots) 0.00		0.00
market discount (noncovered lots)	Market discount (noncovered lots)	0.00

STATE TAX WITHHELD

Use the details of the State Tax Withholding page(s) to determine the appropriate amounts for your income tax return(s). The amounts shown in this section are for your reference.

1099-DIV total withheld	0.00
1099-INT total withheld	0.00
1099-OID total withheld	0.00
1099-MISC total withheld	0.00
1099-B total withheld	0.00

ORIGINAL ISSUE DISCOUNT AND ADJUSTMENTS

Use bond-by-bond details from the Form 1099-OID page(s) to determine amounts of Original Issue Discount income for your income tax return(s). The amounts shown in this section are for your reference when preparing your income tax return(s).

Original issue discount for the year Acquisition premium (covered lots) Acquisition premium (noncovered lots)	0.00 0.00 0.00
Original issue discount on Treasury obligations Acquisition premium, Treasury obligations (covered lots)	0.00 0.00
Acquisition premium, Treasury obligations (noncovered lots)	0.00
Tax-exempt OID	0.00
Tax-exempt OID (lots not reported)	0.00
Acquisition premium (covered)	0.00
Acquisition premium (lots not reported)	0.00
Tax-exempt OID on private activity bonds	0.00
Tax-exempt OID on private activity bonds (lots not reported)	0.00
Acquisition premium (AMT, covered)	0.00
Acquisition premium (AMT, lots not reported)	0.00
Market discount (all lots)	0.00
Early withdrawal penalty	0.00
Investment expenses	0.00

RECONCILIATIONS, FEES, EXPENSES AND EXPENDITURES

The amounts in this section are not reported to the IRS. They are presented here for your reference when preparing your income tax return(s).

Other Receipts & Reconciliations- Partnership distributions	0.00
Other Receipts & Reconciliations- Foreign tax paid- partnership	0.00
Other Receipts & Reconciliations- Return of principal	0.00
Other Receipts & Reconciliations- Deferred income payment	0.00
Other Receipts & Reconciliations- Deemed premium	0.00
Other Receipts & Reconciliations- Income accrual- UIT	0.00
Other Receipts & Reconciliations- Basis adjustments	0.00
Other Receipts & Reconciliations- Foreign tax pd beyond treaty	0.00
Fees & Expenses- Margin interest	131.24
Fees & Expenses- Dividends paid on short position	0.00
Fees & Expenses- Interest paid on short position	0.00
Fees & Expenses- Non reportable distribution expense	0.00
Fees & Expenses- Other expenses	0.00
Fees & Expenses- Severance tax	0.00
Fees & Expenses- Organizational expense	0.00
Fees & Expenses- Miscellaneous fees	0.00
Fees & Expenses- Tax-exempt investment expense	0.00
Foreign Exchange Gains & Losses- Foreign currency gain/loss	0.00

Proceeds from Broker and Barter Exchange Transactions

02/04/2021 CORRECTED

Account 686108785

2020 1099-B* OMB No. 1545-0715

Sales transactions are grouped by their term (long, short or undetermined) and covered status (covered or noncovered). For tax lots whose term is undetermined, use your historical documents to establish the cost basis and date of purchase. Tax lots with an additional notation of "Ordinary" represent neither short- nor long-term capital transactions. You may wish to consult with your tax advisor, the IRS or your state tax authority regarding the proper treatment.

Closing of written options is presented in a distinct manner in accordance with IRS regulation. For these transactions the Cost or other basis (column 1e) is always presented as \$0.00 and the Proceeds (column 1d) is the net of proceeds received when the option was written and the cost to close the position.

Several column headings describe two related items: a quantity and a qualifier. For example, proceeds and, if the sale is the result of an option exercise or assignment, whether the proceeds are gross or net (adjusted for any option premium). When these conditions exist, the qualifier is shown to the right of the amount.

Long positions are reported based on the trade date and short positions are reported based on the settlement date of the trade.

FATCA filing requirement []

SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS [Ordinary gains or losses are identified in the Additional information column] (Lines 2 & 5)

Report on Form 8949, Part I with Box A checked. Basis is provided to the IRS. (Line 12)

1- Date Sold or 1- Proceeds 1- Proceeds 1- Proceed 1- Proc	1a- Description of p	roperty/CUSIP/Symbol						
12/21/20	sold or	Quantity	6- Reported		1e- Cost or	1g- Wash sale loss	7- Loss not allowed (X)	
12/21/20 1,616.000 67,936.73 Various 68,559.42 1,005.06 W 382.37 Total of 6 transactions 12/22/20 900.000 38,009.68 Various 41,889.17 -3,879.49 Total of 3 transactions 12/22/20 934.000 39,462.32 Various 41,972.38 2,325.85 W -1,492.21 Total of 3 transactions Security total: 418,516.75 408,417.02 3,330.91 W 13,430.64 Total of 3 transactions AYTU BIOSCIENCE INC COM / CUSIP: 054754874 / Symbol: AYTU 12/10/20 1,900.000 17,023.58 12/10/20 18,219.02 -1,195.44 Sale 12/10/20 100.000 899.98 12/10/20 976.91 76.93 W 0.00 Sale Security total: 17,923.56 19,195.93 76.93 W -1,195.44 Sale BEST INC ADR / CUSIP: 08653C106 / Symbol: BEST 12/18/20 11,000.000 27,828.11 12/18/20 30,627.01 -2,798.90 Sale Security total: </td <td>ANTERIX INC COM</td> <td>/ CUSIP: 03676C100 / Symbo</td> <td>ol: ATEX</td> <td></td> <td></td> <td></td> <td></td> <td></td>	ANTERIX INC COM	/ CUSIP: 03676C100 / Symbo	ol: ATEX					
AYTU BIOSCIENCE INC COM / CUSIP: 054754874 / Symbol: AYTU 12/10/20	12/21/20 12/22/20	1,616.000 900.000 934.000	67,936.73 38,009.68 39,462.32	Various Various	68,559.42 41,889.17 41,972.38	1,005.06 W 2,325.85 W	382.37 -3,879.49 -184.21	Total of 6 transactions Total of 3 transactions
12/10/20 1,900.000 17,023.58 12/10/20 18,219.02 -1,195.44 Sale Security total: 17,923.56 19,195.93 76.93 W -1,195.44 Sale BEST INC ADR / CUSIP: 08653C106 / Symbol: BEST 12/18/20 11,000.000 27,828.11 12/18/20 30,627.01 -2,798.90 Sale 12/18/20 11,000.000 27,828.07 12/18/20 30,340.08 2,512.01 W 0.00 Sale Security total: 55,656.18 60,967.09 2,512.01 W -2,798.90 Sale CANAAN INC ADR / CUSIP: 134748102 / Symbol: CAN 55,656.18 63,091.63 499.95 Total of 2 transactions 12/31/20 11,000.000 63,591.58 Various 63,091.63 499.95 Total of 2 transactions 12/31/20 22,500.000 119,794.68 Various 127,341.83 7,342.22 W -204.93 Total of 2 transactions	AYTU BIOSCIENCE	•	•		400,417.02	3,330.91 **	13,430.04	
12/18/20 11,000.000 27,828.11 12/18/20 30,627.01 -2,798.90 Sale 12/18/20 11,000.000 27,828.07 12/18/20 30,340.08 2,512.01 W 0.00 Sale Security total: 55,656.18 60,967.09 2,512.01 W -2,798.90 CANAAN INC ADR / CUSIP: 134748102 / Symbol: CAN 12/31/20 11,000.000 63,591.58 Various 63,091.63 499.95 Total of 2 transactions 12/31/20 22,500.000 119,794.68 Various 127,341.83 7,342.22 W -204.93 Total of 2 transactions	12/10/20	1,900.000 100.000	17,023.58 899.98		976.91	76.93 W	0.00	
12/18/20 11,000.000 27,828.07 12/18/20 30,340.08 2,512.01 W 0.00 Sale Security total: 55,656.18 60,967.09 2,512.01 W -2,798.90 CANAAN INC ADR / CUSIP: 134748102 / Symbol: CAN 12/31/20 11,000.000 63,591.58 Various 63,091.63 499.95 Total of 2 transactions 12/31/20 22,500.000 119,794.68 Various 127,341.83 7,342.22 W -204.93 Total of 2 transactions	BEST INC ADR / CU	SIP: 08653C106 / Symbol: B	EST					
12/31/20 11,000.000 63,591.58 Various 63,091.63 499.95 Total of 2 transactions 12/31/20 22,500.000 119,794.68 Various 127,341.83 7,342.22 W -204.93 Total of 2 transactions		11,000.000	27,828.07		30,340.08	2,512.01 W	0.00	
12/31/20 22,500.000 119,794.68 Various 127,341.83 7,342.22 W -204.93 Total of 2 transactions	CANAAN INC ADR /	CUSIP: 134748102 / Symbol	: CAN					
		22,500.000	119,794.68		127,341.83	7,342.22 W	-204.93	

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Proceeds from Broker and Barter Exchange Transactions

Account 686108785

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

(continued)

02/04/2021 CORRECTED

SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS [Ordinary gains or losses are identified in the Additional information column] (Lines 2 & 5) Report on Form 8949, Part I with Box A checked. Basis is provided to the IRS. (Line 12)

1a- Description of pro	operty/CUSIP/Symbol						
1c- Date sold or disposed	Quantity	1d- Proceeds & 6- Reported (G)ross or (N)et	1b- Date acquired	1e- Cost or other basis	1f- Accrued mkt disc (D) & 1g- Wash sale loss disallowed (W)	Gain or loss(-) & 7- Loss not allowed (X) also not reported (Z)	Additional information
CANGO INC ADR / C	USIP: 137586103 / Symbol:	CANG					
12/29/20 12/30/20 12/31/20	3,000.000 5,600.000 12,910.000 Security total:	25,787.17 44,532.69 95,011.33 165,331.19	Various Various Various	28,877.90 54,577.35 146,799.63 230,254.88	3,090.73 W 10,044.66 W 51,788.30 W 64,923.69 W	0.00 0.00 0.00 0.00	Total of 2 transactions Total of 10 transactions Total of 15 transactions
EASTMAN KODAK C	O COM / CUSIP: 277461406	6 / Symbol: KODK					
12/07/20	1,990.000	23,978.93	12/07/20	23,997.96		-19.03	Sale
FIREEYE INC COM /	CUSIP: 31816Q101 / Symbo	ol: FEYE					
12/18/20 12/18/20	19,000.000 800.000 Security total:	366,608.61 15,191.64 381,800.25	Various 12/18/20	364,040.12 15,516.00 379,556.12	 324.36 W 324.36 W	2,568.49 0.00 2,568.49	Total of 8 transactions Sale
FUBOTV INC COM / (CUSIP: 35953D104 / Symbo	I: FUBO					
12/22/20 12/24/20 12/31/20	1,000.000 1,800.000 13,000.000 Security total:	54,498.78 82,434.06 376,283.98 513,216.82	12/22/20 Various Various	53,205.00 85,328.48 387,658.90 526,192.38	2,894.42 W 11,553.10 W 14,447.52 W	1,293.78 0.00 178.18 1,471.96	Sale Total of 4 transactions Total of 8 transactions
GROUPON INC COM	I / CUSIP: 399473206 / Symb	ool: GRPN					
12/14/20 12/14/20 12/24/20	900.000 100.000 1,000.000 Security total:	31,427.19 3,489.22 37,029.16 71,945.57	Various 12/10/20 12/22/20	31,145.00 3,490.00 37,012.12 71,647.12	 2.12 W 2.12 W	282.19 1.34 17.04 300.57	Total of 4 transactions Short sale closed Short sale closed
IMMUTEP LTD ADR	SPONSORED / CUSIP: 4525	57L108 / Symbol: IMMP					
12/10/20 12/10/20 12/11/20	4,500.000 11,600.000 5,000.000 Security total :	27,954.30 68,906.04 17,899.50 114,759.84	Various Various 12/11/20	26,362.93 73,725.82 18,563.52 118,652.27	5,280.45 W 5,280.45 W	1,591.37 460.67 -664.02 1,388.02	Total of 5 transactions Total of 6 transactions Sale

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Proceeds from Broker and Barter Exchange Transactions

02/04/2021 CORRECTED

Account 686108785

2020 1099-B* OMB No. 1545-0715

(continued)

SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS [Ordinary gains or losses are identified in the Additional information column] (Lines 2 & 5) Report on Form 8949, Part I with Box A checked. Basis is provided to the IRS. (Line 12)

1a- Description of	property/CUSIP/Symbol						
1c- Date sold or disposed	Quantity	1d- Proceeds & 6- Reported (G)ross or (N)et	1b- Date acquired	1e- Cost or other basis	1f- Accrued mkt disc (D) & 1g- Wash sale loss disallowed (W)		Additional information
LIQUIDITY SVCS II	NC COM / CUSIP: 53635B107	/ Symbol: LQDT					
12/09/20	3,198.000	49,730.10	Various	57,849.37	···	-8,119.27	Total of 14 transactions
12/09/20	23,924.000	372,412.64	Various	435,700.20	62,321.03 W	-966.53	Total of 169 transactions
12/10/20	1,377.000	21,155.57	Various	25,038.20		-3,882.63	Total of 15 transactions
	Security total:	443,298.31		518,587.77	62,321.03 W	-12,968.43	
LUCKIN COFFEE II	NC ADR SPONSORED / CUS	IP: 54951L109 / Symbol:	LKNCY				
11/30/20	1,928.000	8,617.75	11/25/20	9,261.02	···	-643.27	Sale
11/30/20	2,072.000	9,264.80	11/25/20	9,628.74	283.01 W	-80.93	Sale
12/04/20	5,000.000	19,892.02	12/04/20	20,303.90	411.88 W	0.00	Sale
12/07/20	6,000.000	22,138.45	Various	24,669.66	2,531.21 W	0.00	Total of 3 transactions
12/08/20	12,256.000	44,512.56	Various	51,903.09	7,390.53 W	0.00	Total of 3 transactions
12/10/20	500.000	2,047.94	12/08/20	1,840.29		207.65	Sale
12/15/20	3,100.000	11,524.43	12/08/20	11,409.77		114.66	Sale
12/16/20	3,000.000	11,205.49	Various	12,140.37	955.00 W	20.12	Total of 2 transactions
12/17/20	7,265.000	38,092.44	Various	31,471.99		6,620.45	Total of 5 transactions
12/18/20	6,000.000	50,913.24	Various	24,257.72		26,655.52	Total of 5 transactions
	Security total:	218,209.12		196,886.55	11,571.63 W	32,894.20	
MICROVISION INC	WASHINGTON COM / CUSIF	P: 594960304 / Symbol: N	MVIS				
12/22/20	150.000	1,389.12	12/22/20	1,403.72		-14.60	Sale
NANTHEALTH INC	COM / CUSIP: 630104107 / S	Symbol: NH					
12/11/20	10,780.000	41,001.32	Various	45,529.95	•	-4,528.63	Total of 4 transactions
12/11/20	9,220.000	34,691.17	Various	38,139.88	3,448.71 W	0.00	Total of 7 transactions
	Security total:	75,692.49		83,669.83	3,448.71 W	-4,528.63	
NIKOLA CORPORA	ATION COM / CUSIP: 6541101	105 / Symbol: NKLA					
12/11/20	1,000.000	17,640.89	12/10/20	18,535.00		-894.11	Sale
RITE AID CORP CO	OM / CUSIP: 767754872 / Sym	nbol: RAD					
12/17/20	7,870.000	157,242.18	Various	162,026.11	5,574.15 W	790.22	Total of 2 transactions
12/17/20	50.000	941.47	12/18/20	936.52	,	4.95	Sale
12/18/20	550.000	10,351.71	Various	10,604.20	259.62 W	7.13	Total of 2 transactions
12/10/20	4,200.000	79,869.85	Various	80,273.08	821.90 W	418.67	Total of 3 transactions
		· · · · · · · · · · · · · · · · · · ·					
12/22/20	3,000.000	53,548.46	12/22/20	54,815.15	1,266.69 W	0.00	Sale

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Proceeds from Broker and Barter Exchange Transactions

Account 686108785

2020 1099-B* OMB No. 1545-0715

(continued)

02/04/2021 CORRECTED

SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS [Ordinary gains or losses are identified in the Additional information column] (Lines 2 & 5) Report on Form 8949, Part I with Box A checked. Basis is provided to the IRS. (Line 12)

Report on Form 8949, Part I with Box A checked. Basis is provided to the IRS. (Line 12 "Gain or loss (-)" is NOT reported to the IRS.

1a- Description of p	roperty/CUSIP/Symbol						
1c- Date sold or disposed	Quantity	1d- Proceeds & 6- Reported (G)ross or (N)et	1b- Date acquired	1e- Cost or other basis	1f- Accrued mkt disc (D) & 1g- Wash sale loss disallowed (W)	Gain or loss(-) & 7- Loss not allowed (X) also not reported (Z)	Additional information
RITE AID CORP CO	M / CUSIP: 767754872 / Syr	nbol: RAD (cont'd)					
12/23/20 12/23/20	3,000.000 2,000.000 Security total:	53,998.75 35,299.18 391,251.60	12/22/20 12/22/20	54,503.75 36,534.04 399,692.85	 1,234.86 W 9,157.22 W	-505.00 0.00 715.97	Sale Sale
RUBIUS THERAPEL	JTICS INC COM / CUSIP: 78	3116T103 / Symbol: RUB	(
12/14/20 12/14/20 12/15/20 12/16/20 12/17/20 12/17/20	5,000.000 9,600.000 3,100.000 10,400.000 3,000.000 8,058.000	49,548.81 92,326.28 23,657.29 76,427.92 21,749.17 58,593.79	Various Various Various Various 12/17/20 Various	46,773.20 97,940.45 31,640.77 116,478.85 30,680.14 75,212.65	6,995.17 W 7,983.48 W 40,050.93 W 16,861.19 W	2,775.61 1,381.00 0.00 0.00 -8,930.97 242.33	Total of 2 transactions Total of 11 transactions Total of 11 transactions Total of 18 transactions Sale Total of 5 transactions
	Security total:	322,303.26		398,726.06	71,890.77 W	-4,532.03	
SELLAS LIFE SCIEN	NCES GROUP INC COM / C	USIP: 81642T209 / Symb	ol: SLS				
12/10/20 12/10/20	1,800.000 1,300.000 Security total:	28,668.60 17,389.99 46,058.59	Various Various	24,989.43 17,376.25 42,365.68	 367.78 W 367.78 W	3,679.17 381.52 4,060.69	Total of 8 transactions Total of 2 transactions
SLACK TECHNOLO	GIES INC COM CL A / CUSI	P: 83088V102 / Symbol: 1	WORK				
11/30/20 12/01/20 12/02/20 12/04/20	94.000 500.000 1,001.000 999.000 Security total:	4,031.09 21,969.45 43,034.17 42,926.55 111,961.26	11/30/20 11/30/20 Various 12/02/20	3,984.19 21,195.97 43,245.26 42,905.95 111,331.37	 	46.90 773.48 -211.09 20.60 629.89	Sale Sale Total of 3 transactions Short sale closed
SNOWFLAKE INC C	OM CL A / CUSIP: 8334451	09 / Symbol: SNOW					
12/10/20 12/10/20	150.000 50.000 Security total:	62,990.59 20,671.54 83,662.13	12/08/20 12/08/20	62,965.96 21,125.00 84,090.9 6	 453.46 W 453.46 W	24.63 0.00 24.63	Short sale closed Short sale closed
SOCKET MOBILE IN	NC COM / CUSIP: 83368E20	0 / Symbol: SCKT					
12/14/20	900.000	2,591.65	12/11/20	3,285.00		-693.35	Sale

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Proceeds from Broker and Barter Exchange Transactions

Account 686108785

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

(continued)

02/04/2021 CORRECTED

SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS [Ordinary gains or losses are identified in the Additional information column] (Lines 2 & 5) Report on Form 8949, Part I with Box A checked. Basis is provided to the IRS. (Line 12)

1a- Description of p	property/CUSIP/Symbol							
1c- Date sold or disposed	Quantity	1d- Proceeds & 6- Reported (G)ross or (N)et	1b- Date acquired	1e- Cost or other basis	1f- Accrued mkt disc (D) & 1g- Wash sale loss disallowed (W)	Gain or loss(-) & 7- Loss not allowed (X) also not reported (Z)	Additional information	
SONOMA PHARMA	CEUTICALS INC COM / CUS	SIP: 83558L204 / Symbol:	: SNOA					
12/11/20 12/11/20	900.000 1,100.000 Security total :	8,436.83 10,342.53 18,779.36	Various Various	8,967.50 10,931.55 19,899.05	532.75 W 532.75 W	-530.67 -56.27 -586.94	Total of 3 transactions Total of 3 transactions	
STITCH FIX INC CO	OM CL A / CUSIP: 860897107	/ / Symbol: SFIX						
12/08/20 12/08/20	6,293.000 6,207.000 Security total :	320,498.91 316,494.91 636,993.82	Various Various	317,933.87 319,131.25 637,065.12	3,054.33 W 3,054.33 W	2,565.04 417.99 2,983.03	Total of 7 transactions Total of 13 transactions	
TWITTER INC COM	I / CUSIP: 90184L102 / Symb	ol: TWTR						
12/10/20 12/10/20	2,000.000 1,000.000 Security total:	102,644.40 51,368.74 154,013.14	Various 12/10/20	102,514.13 51,529.90 154,044.03	 161.16 W 161.16 W	130.27 0.00 130.27	Total of 4 transactions Sale	
	INC COM / CUSIP: 92259F10	,						
12/07/20 12/10/20 12/10/20 12/21/20 12/22/20 12/22/20 12/23/20 12/24/20 12/28/20	5,035.000 4,400.000 2,000.000 1,000.000 5,000.000 7,054.000 3,446.000 4,000.000 3,500.000	93,182.86 87,857.23 40,051.66 26,778.26 141,074.18 192,404.86 91,686.06 99,832.31 81,057.79	Various Various Various Various Various Various Various Various 12/28/20	90,105.95 82,687.56 40,610.98 26,287.79 137,566.11 206,654.37 95,784.54 109,424.22 84,490.19	 559.32 W 14,273.35 W 4,209.33 W 9,823.50 W 3,689.85 W	3,076.91 5,169.67 0.00 490.47 3,508.07 23.84 110.85 231.59 257.45	Total of 11 transactions Total of 4 transactions Total of 4 transactions Total of 3 transactions Total of 4 transactions Total of 8 transactions Total of 5 transactions Total of 3 transactions Total of 3 transactions Sale	С
	Security total:	853,925.21	1-1-1-1	873,611.71	32,555.35 W	12,868.85		
VERU INC COM / C	USIP: 92536C103 / Symbol: \	VERU						
12/10/20 12/11/20 12/11/20 12/21/20 12/21/20	6,000.000 2,000.000 9,088.000 3,000.000 2,000.000 Security total:	32,429.52 10,574.63 47,568.78 26,500.66 17,859.57 134,933.16	Various Various Various Various 12/17/20	30,348.50 9,980.92 50,407.91 27,643.20 18,599.80 136,980.33	 3,700.11 W 740.23 W 4,440.34 W	2,081.02 593.71 860.98 -1,142.54 0.00 2,393.17	Total of 5 transactions Total of 3 transactions Total of 8 transactions Total of 4 transactions Sale	

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Proceeds from Broker and Barter Exchange Transactions

Account 686108785

2020 1099-B* OMB No. 1545-0715

(continued)

02/04/2021 CORRECTED

SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS [Ordinary gains or losses are identified in the Additional information column] (Lines 2 & 5) Report on Form 8949, Part I with Box A checked. Basis is provided to the IRS. (Line 12)

1a- Description of pr	roperty/CUSIP/Symbol						
1c- Date sold or disposed	Quantity	1d- Proceeds & 6- Reported (G)ross or (N)et	1b- Date acquired	1e- Cost or other basis	1f- Accrued mkt disc (D) & 1g- Wash sale loss disallowed (W)	Gain or loss(-) & 7- Loss not allowed (X) also not reported (Z)	Additional information
XL FLEET CORP CO	OM CL A / CUSIP: 9837FR100	/ Symbol: XL					
12/23/20 12/24/20 12/24/20 12/28/20 12/29/20	5,000.000 1,000.000 3,200.000 10,200.000 4,560.000 Security total:	132,671.37 33,959.13 94,397.54 282,634.15 113,979.08 657,641.27	Various 12/24/20 12/24/20 Various Various	117,040.00 33,716.62 102,126.32 329,024.41 139,523.31 721,430.66	 7,728.78 W 46,761.16 W 25,544.23 W 80.034.17 W	15,631.37 242.51 0.00 370.90 0.00 16,244.78	Total of 15 transactions Sale Sale Total of 10 transactions Total of 5 transactions
ZEDGE INC COM CI	B / CUSIP: 98923T104 / Syn	•		721,430.00	00,034.17	10,244.70	
12/11/20 12/14/20 12/14/20	300.000 3,300.000 4,490.000 Security total:	1,612.95 16,697.57 22,750.92 41,061.44	Various Various Various	2,022.00 20,771.39 28,826.86 51,620.25	409.05 W 6,075.94 W 6,484.99 W	0.00 -4,073.82 0.00 -4,073.82	Total of 2 transactions Sale Total of 8 transactions
ZOOM VIDEO COM	MUNICATIONS INC COM CL	A / CUSIP: 98980L101 /	Symbol: ZM				
12/11/20 DOCUSIGN INC DO	308.000 CU Dec 04 2020 240.0 Call / 0	121,484.55 CUSIP: / Symbol: DOC	12/09/20 U 12/04/20 C 24	123,958.02 0.000		-2,473.47	Short sale closed
12/04/20 12/04/20	10.000 10.000 Security total:	7,843.17 7,443.18 15,286.35	12/04/20 12/04/20	7,392.10 8,128.64 15,520.74	 685.46 W 685.46 W	451.07 0.00 451.07	Option sale Option sale
FASTLY INC FSLY D	Dec 04 2020 90.0 Call / CUSIP	: / Symbol: FSLY 12/04	4/20 C 90.000				
12/04/20 EBANG INTERNATION	131.000 DNAL HLDGS INC COM / CU	15,357.42 SIP: G3R33A106 / Syml	Various ool: EBON	46,662.98		-31,305.56	Total of 4 transactions
12/31/20 PERION NETWORK	1,100.000 LTD COM / CUSIP: M786731	6,137.73 14 / Symbol: PERI	12/31/20	6,410.80		-273.07	Sale
12/23/20 12/24/20 12/28/20 12/29/20 12/30/20	14,000.000 14,800.000 18,133.000 10,597.000 2,000.000 Security total:	214,189.48 205,665.46 234,126.19 137,599.59 25,099.41 816,680.13	Various Various Various Various 12/29/20	219,431.56 219,805.37 265,732.95 149,294.43 30,493.60 884,757.91	5,717.48 W 14,139.91 W 31,606.76 W 11,694.84 W 5,394.19 W 68,553.18 W	475.40 0.00 0.00 0.00 0.00 475.40	Total of 36 transactions Total of 4 transactions Total of 17 transactions Total of 6 transactions Sale

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Proceeds from Broker and Barter Exchange Transactions

Account 686108785

2020 1099-B* OMB No. 1545-0715

(continued)

02/04/2021 CORRECTED

SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS [Ordinary gains or losses are identified in the Additional information column] (Lines 2 & 5) Report on Form 8949, Part I with Box A checked. Basis is provided to the IRS. (Line 12)

1a- Description of property/CUSIP/Symbol								
1c- Date sold or disposed	Quantity	1d- Proceeds & 6- Reported (G)ross or (N)et	1b- Date acquired	1e- Cost or other basis	1f- Accrued mkt disc (D) & 1g- Wash sale loss disallowed (W)	Gain or loss(-) & 7- Loss not allowed (X) also not reported (Z)	Additional information	
NIO INC NIO Dec 04 20	20 46.0 Put / CUSIP: / Syn	nbol: NIO 12/04/20 P 46	6.000		, ,	, , ,		
12/02/20 12/03/20 12/03/20	194.000 100.000 89.000 Security total:	29,435.17 17,983.01 15,515.38 62,933.56	Various Various 12/02/20	36,163.21 13,345.69 14,291.50 63,800.40	6,775.79 W 98.29 W 6,874.08 W	47.75 4,637.32 1,322.17 6,007.24	Total of 7 transactions Total of 2 transactions Option sale	
SNOWFLAKE INC SNO	W Dec 04 2020 390.0 Call /	CUSIP: / Symbol: SN	IOW 12/04/20 C	390.000				
12/04/20	26.000	2,452.63	12/04/20	9,923.26		-7,470.63	Option sale	
SNOWFLAKE INC SNO	W Dec 04 2020 370.0 Put /	CUSIP: / Symbol: SNo	OW 12/04/20 P	370.000				
12/04/20 12/04/20	20.000 6.000 Security total:	286.67 56.01 342.68	12/04/20 12/04/20	1,894.61 543.98 2,438.59	81.33 W 81.33 W	-1,607.94 -406.64 -2,014.58	Option sale Option sale	
TESLA INC TSLA Dec 0	4 2020 555.0 Put / CUSIP:	/ Symbol: TSLA 12/04	/20 P 555.000					
12/02/20 12/02/20	5.000 32.000 Security total:	4,371.57 27,445.08 31,816.65	12/02/20 Various	4,244.61 29,439.69 33,684.30	 2,484.75 W 2,484.75 W	126.96 490.14 617.10	Option sale Total of 4 transactions	
ZOOM VIDEO COMMU	NICATIONS INC ZM Dec 04	2020 415.0 Put / CUS	IP: / Symbol: 2	ZM 12/04/20 P 415	.000			
12/04/20	10.000	7,363.18	12/04/20	6,086.64		1,276.54	Option sale	
ZOOM VIDEO COMMUNICATIONS INC ZM Dec 04 2020 420.0 Put / CUSIP: / Symbol: ZM 12/04/20 P 420.000								
12/02/20 12/03/20	16.000 10.000 Security total:	19,310.93 13,413.04 32,723.97	Various 12/03/20	17,180.63 11,601.64 28,782.27	 	2,130.30 1,811.40 3,941.70	Total of 4 transactions Option sale	
ZSCALER INC ZS Dec 04 2020 175.0 Call / CUSIP: / Symbol: ZS 12/04/20 C 175.000								
12/04/20 12/04/20 Totals :	20.000 50.000 Security total:	10,886.44 22,476.20 33,362.64 7,303,862.66	Various Various	9,288.22 25,572.39 34,860.61 7,739,426.69	3,984.13 W 3,984.13 W 467,376.83 W	1,598.22 887.94 2,486.16 31,812.80	Total of 2 transactions Total of 5 transactions	
					•	•		

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TD Ameritrade Clearing, Inc. Account 686108785

Detail for Interest Income

2020 02/04/2021 CORRECTED

This section of your tax information statement contains the payment level detail of taxable interest and associated bond premium. Market discount will be shown here only if you have elected to recognize it currently rather than at the time of sale or maturity. Bond premium and market discount for covered tax lots are totaled on Form 1099-INT and reported to the IRS. For noncovered tax lots, they are totaled in the Adjustments to Interest and Original Issue Discount and are not reported to the IRS.

To provide a complete picture of activity for each investment, we also include here nonreportable transactions such as accrued interest paid on purchases and payment or receipt of nonqualified interest. Other amounts, such as federal, state and foreign tax withheld and investment expenses are shown as negative amounts but do not net against the reportable income totals.

Security description	CUSIP and/or symbol	Date	Amount	Transaction type	Notes
Interest Credited		11/30/20	0.02	Credit interest	
		12/31/20	0.14	Credit interest	
		_	0.16	Total Interest	
		_	0.16	Total Interest	

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TD Ameritrade Clearing, Inc.

Fees and Expenses

02/04/2021 CORRECTED

This section of your tax information statement contains the detail of fees and investment expenses that are not accounted for in amounts reportable to the IRS on the various Forms 1099. You may wish to consult with your tax advisor, the IRS or your state tax authority regarding the proper treatment.

These amounts are provided here to facilitate an accounting of all amounts received during the year and are totaled in the Reconciliations, Fees, Expenses and Expenditures found in the Summary Information at the beginning of the statement.

Description	CUSIP and/or symbol	Date	Amount	Transaction type	Notes
Interest Charged		12/31/20	-131.24	Margin interest paid	
		•	-131.24	Total Margin interest paid	

Common Instructions for Recipient

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

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

Backup Withholding. Shows backup withholding. Generally, a payer must backup withhold if you did not furnish your taxpayer identification number. See Form W-9 and Pub. 505 for more information. Report this amount on your income tax return as tax withheld

Nominees. If this 1099 form includes amounts belonging to another person, you are considered a nominee recipient. You must file as the "payer" the respective Form 1099 (DIV, INT, or OID) Copy A (with a Form 1096) to the IRS for each of the other owners as recipient(s) to show their allocable share of the income and you must furnish the respective Copy B Form(s) and amounts to each owner. A spouse is not required to file a nominee return to show amounts owned by the other spouse. See the 2019 General Instructions for Certain Information Returns

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

Keep tax documents for your records.

1099-INT Instructions for Recipient

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

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

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

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

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

Line 2. Shows interest or principal forfeited because of early withdrawal of time savings. You may deduct this amount to figure your adjusted gross income on your income tax return. See the Instructions for Forms 1040 and 1040-SR to see where to take the deduction. Line 3. Shows interest on U.S. Savings Bonds, Treasury bills, Treasury bonds, and Treasury notes. This may or may not all be taxable. See Pub. 550. This interest is exempt from state and local income taxes. This interest is not included in line 1. See the instructions above for a taxable covered security acquired at a premium.

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

Line 5. Any amount shown is your share of investment expenses of a singleclass REMIC. This amount is included in line 1. Note: This amount is not deductible. Line 6. Shows foreign tax paid. You may be able to claim this tax as a deduction or a credit on your Form 1040 or 1040-SR. See your tax return instructions.

Instructions for Recipient

Line 7. Shows the country or U.S. possession to which the foreign tax was paid. Line 8. Shows tax-exempt interest paid to you during the calendar year by the payer. See how to report this amount in the Instructions for Forms 1040 and 1040-SR. This amount may be subject to backup withholding. See Line 4 above. See the instructions above for a tax-exempt covered security acquired at a premium.

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

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

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

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

Line 14. Shows CUSIP number(s) for tax-exempt bond(s) on which tax-exempt interest was paid, or tax credit bond(s) on which taxable interest was paid or tax credit was allowed, to you during the calendar year. If blank, no CUSIP number was issued for the bond(s). Lines 15-17. State tax withheld reporting lines. Nominees. If this form includes amounts belonging to another person(s), you are considered a nominee recipient. Complete a Form 1099-INT for each of the other owners showing the income allocable to each. File Copy A of the form with the IRS. Furnish Copy B to each owner. List yourself as the "payer" and the other owner(s) as the "recipient." File Form(s) 1099-INT with Form 1096 with the Internal Revenue Service Center for your area. On Form 1096, list yourself as the "filer." A spouse is not required to file a nominee return to show amounts owned by the other spouse. Future developments. For the latest information about developments related to Form 1099-INT and its instructions, such as legislation enacted after they were published, go to www.irs.gov/Form1099INT.

1099-B Instructions for Recipient

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

Recipient's taxpayer identification number (TIN). For your protection, this form may show only the last four digits of your TIN (social security number (SSN), individual

taxpayer identification number (ITIN), adoption taxpayer identification number (ATIN), or employer identification number (EIN)). However, the issuer has reported your complete TIN to the IRS.

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

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

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

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

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

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

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

Line 1d. Shows the cash proceeds, reduced by any commissions or transfer taxes related to the sale, for transactions involving stocks, debt, commodities, forward contracts, non-Section 1256 option contracts, or securities futures contracts. May show the proceeds from the disposition of your interest(s) in a widely held fixed investment trust. May also show the aggregate amount of cash and the fair market value of any stock or other property received in a reportable change in control or capital structure arising from the corporate transfer of property to a foreign corporation. Losses on forward contracts or nonSection 1256 option contracts are shown in parentheses. This box does not include proceeds from regulated futures contracts or Section 1256 option contracts. Report this amount on Form 8949 or on Schedule D (Form 1040 or 1040-SR) (whichever is applicable) as explained in the Instructions for Schedule D (Form 1040 or 1040-SR)

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

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

Line 1g. Shows the amount of nondeductible loss in a wash sale transaction. For details on wash sales, see the Schedule D (Form 1040 or 1040-SR) instructions, the Instructions for Form 8949, and Pub. 550. If box 5 is checked, box 1g may be blank. Line 2. The short-term and long-term boxes pertain to short-term gain or loss and long-term gain or loss. If the "Ordinary" box is checked, your security may be subject to special rules. For example, gain on a contingent payment debt instrument subject to the noncontingent bond method generally is treated as ordinary interest income rather than as capital gain. See the Instructions for Form 8949, Pub. 550, or Pub. 1212 for more details on whether there are any special rules or adjustments that might apply to your security. If box 5 is checked, box 2 may be blank.

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

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

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

- Line 6. If the exercise of a noncompensatory option resulted in a sale of a security, a checked "net proceeds" box indicates whether the amount in box 1d was adjusted for option premium.
- Line 7. If checked, you cannot take a loss on your tax return based on gross proceeds from a reportable change in control or capital structure reported in box 1d. See the Form 8949 and Schedule D (Form 1040 or 1040-SR) instructions. The broker should advise you of any losses on a separate statement.
- Line 12. If checked, the basis in box 1e has been reported to the IRS and either the short-term or the long-term gain or loss box in box 2 will be checked. If box 12 is checked on Form(s) 1099-B and NO adjustment is required, see the instructions for your Schedule D (Form 1040 or 1040-SR) as you may be able to report your transaction directly on Schedule D (Form 1040 or 1040-SR). If the "Ordinary" box in box 2 is checked, an adjustment may be required.
- Line 13. Shows the cash you received, the fair market value of any property or services you received, and the fair market value of any trade credits or scrip credited to your account by a barter exchange. See Pub. 525.

 Lines 14-16. Show state(s)/local income tax information.

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

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