

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

SURESH GANGULA  
16414 SW ESTUARY DR APT 108  
BEAVERTON, OR 97006-7921

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. If you own Mutual Funds, Real Estate Trusts (REITs), REMIC Securities or certain fixed investment trusts (WHFITs), income distributions may be reclassified by the issuer after the original 1099 is sent. If you hold these securities or another security that is subject to a reclassification event, you may receive a corrected Form 1099.

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<b>APEX CLEARING</b> ONE DALLAS CENTER 350 NORTH ST PAUL SUITE 1300 DALLAS, TX 75201 Customer Service: 214-765-1009  PAYER'S Federal ID No: 13-2967453  IN ACCOUNT WITH <b>WEBULL FINANCIAL LLC</b> <b>(917) 725-2448</b>	<b>Account 5MZ16801</b>	<b>Form 1099 Composite</b>	<b>2020</b>
	SURESH GANGULA 16414 SW ESTUARY DR APT 108 BEAVERTON, OR 97006-7921  RECIPIENT'S ID No: XXX-XX-5080	Statement Date: 02/28/2021 [X] Corrected	

FATCA filing requirement [ ]

### Tax Reporting Statement

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

MISCELLANEOUS INCOME	2020 Form 1099-MISC*	OMB No. 1545-0115
2- Royalties	0.00	
3- Other Income	15.65	
<b>4- Federal Income Tax Withheld</b>	<b>0.00</b>	
8- Substitute Payments in Lieu of Dividends or Interest	0.00	

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

REGULATED FUTURES CONTRACTS & SECTION 1256 OPTIONS	2020 Form 1099-B*	OMB No. 1545-0715
8- Profit or (loss) realized in 2020 on closed contracts	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>		

\* 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. 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

5MZ16801

02/28/2021

### Summary Of Sale Proceeds

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

Section	Total Proceeds	Total Cost Basis	Total Market Discount	Wash Sale Loss Disallowed	Total Net Gain or Loss(-)
Short term transactions for covered tax lots	16,157.72	18,440.68	0.00	501.12	-1,781.84 C
Short term transactions for noncovered tax lots	0.00	0.00	0.00	0.00	0.00
<b>Total Short-term</b>	<b>16,157.72</b>	<b>18,440.68</b>	<b>0.00</b>	<b>501.12</b>	<b>-1,781.84</b>
Long-term transactions for covered tax lots	15.45	15.65	0.00	0.00	-0.20
Long-term transactions for noncovered tax lots	0.00	0.00	0.00	0.00	0.00
<b>Total Long-term</b>	<b>15.45</b>	<b>15.65</b>	<b>0.00</b>	<b>0.00</b>	<b>-0.20</b>
Undetermined transactions for noncovered tax lots	0.00	0.00	0.00	0.00	0.00
<b>Total Undetermined-term</b>	<b>0.00</b>	<b>0.00</b>	<b>0.00</b>	<b>0.00</b>	<b>0.00</b>

#### ORIGINAL ISSUE DISCOUNT SUMMARY

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

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

#### FEDERAL TAX WITHHELD

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

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

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

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

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

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

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

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

FATCA filing requirement [ ]

## SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

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

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

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

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

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

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

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

1c - Date Sold or Disposed	Quantity	1d - Proceeds	1b - Date Acquired	1e - Cost or Other Basis	1f - Accrued Market Discount (M) & 1g - Wash Sale Loss Disallowed (D)	Gain or Loss (-)	Additional Notes
PUT SPY 10/14/20	350	STANDARD & POORS DEPOSITORY   CUSIP:   Symbol: SPY201014P00350000					
10/14/2020	1.00	45.90	10/14/2020	40.08	0.00	5.82	Sell to Close C
CALL SPY 09/28/20	335	STANDARD & POORS DEPOSITORY   CUSIP:   Symbol: SPY200928C00335000					
09/28/2020	2.00	115.82	Various	57.16	0.00	58.66	Sell to Close
CALL SPY 12/18/20	372	STANDARD & POORS DEPOSITORY   CUSIP:   Symbol: SPY201218C00372000					
12/17/2020	1.00	97.90	12/17/2020	93.08	0.00	4.82	Sell to Close
NANOVIBRONIX INC		COMMON STOCK   CUSIP: 63008J108   Symbol: NAOV					
09/22/2020	100.00	120.98	Various	115.75	0.00	5.23	Sale
PUT SPY 09/30/20	330	STANDARD & POORS DEPOSITORY   CUSIP:   Symbol: SPY200930P00330000					
09/29/2020	1.00	130.90	09/29/2020	121.08	0.00	9.82	Sell to Close

APEX CLEARING

## Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B\*

OMB No. 1545-0715

5MZ16801

(continued)

02/28/2021

**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
09/30/2020	1.00	9.90	09/29/2020	113.08	0.00	-103.18	Sell to Close
<b>Security Totals:</b>		<b>140.80</b>		<b>234.16</b>		<b>-93.36</b>	
CALL AAPL 11/27/20 119							APPLE INC   CUSIP:   Symbol: AAPL201127C00119000
11/23/2020	1.00	38.90	11/23/2020	79.08	0.00	-40.18	Sell to Close
PUT SPY 10/14/20 349							STANDARD & POORS DEPOSITORY   CUSIP:   Symbol: SPY201014P00349000
10/14/2020	1.00	63.90	10/14/2020	74.08	0.00	-10.18	Sell to Close C
PUT SPY 10/26/20 333							STANDARD & POORS DEPOSITORY   CUSIP:   Symbol: SPY201026P00333000
10/26/2020	2.00	13.82	10/26/2020	20.16	0.00	-6.34	Sell to Close
PUT SPY 10/09/20 343							STANDARD & POORS DEPOSITORY   CUSIP:   Symbol: SPY201009P00343000
10/08/2020	1.00	172.90	10/08/2020	150.08	0.00	22.82	Sell to Close
10/09/2020	1.00	28.90	10/09/2020	26.08	0.00	2.82	Sell to Close
<b>Security Totals:</b>		<b>201.80</b>		<b>176.16</b>		<b>25.64</b>	
CALL MSFT 11/20/20 225							MICROSOFT CORP   CUSIP:   Symbol: MSFT201120C00225000
11/13/2020	1.00	46.90	11/13/2020	39.08	0.00	7.82	Sell to Close
CALL AMD 10/09/20 87.50							ADVANCED MICRO DEVICES INC   CUSIP:   Symbol: AMD201009C00087500
10/08/2020	2.00	285.82	Various	262.16	0.00	23.66	Sell to Close
***DRAGON VICTORY							INTERNATIONAL LIMITED ORDINARY SHARES   CUSIP: G28365107   Symbol: LYL
10/19/2020	6.00	13.30	10/19/2020	12.69	0.00	0.61	Sale
CALL SPY 10/02/20 341							STANDARD & POORS DEPOSITORY   CUSIP:   Symbol: SPY201002C00341000
09/30/2020	1.00	81.90	09/30/2020	80.08	0.00	1.82	Sell to Close
PUT SPY 10/21/20 342							STANDARD & POORS DEPOSITORY   CUSIP:   Symbol: SPY201021P00342000
10/20/2020	3.00	446.74	Various	399.24	0.00	47.50	Sell to Close
CALL AMD 10/02/20 84							ADVANCED MICRO DEVICES INC   CUSIP:   Symbol: AMD201002C00084000
10/02/2020	1.00	10.90	10/02/2020	32.08	0.00	-21.18	Sell to Close
PUT AAPL 10/02/20 115							APPLE INC ADJ 4:1 STOCK SPLIT   CUSIP:   Symbol: AAPL201002P00115000
10/01/2020	1.00	67.90	10/01/2020	57.08	0.00	10.82	Sell to Close
PUT SPY 11/02/20 310							STANDARD & POORS DEPOSITORY   CUSIP:   Symbol: SPY201102P00310000
11/02/2020	1.00	0.90	10/30/2020	71.08	0.00	-70.18	Sell to Close
PUT AAPL 10/02/20 113.75							APPLE INC ADJ 4:1 STOCK SPLIT   CUSIP:   Symbol: AAPL201002P00113750
10/02/2020	2.00	171.82	Various	64.16	0.00	107.66	Sell to Close

APEX CLEARING

## Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B\*

OMB No. 1545-0715

5MZ16801

(continued)

02/28/2021

**SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS**

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

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

1c - Date Sold or Disposed	Quantity	1d - Proceeds	1b - Date Acquired	1e - Cost or Other Basis	1f - Accrued Market Discount (M) & 1g - Wash Sale Loss Disallowed (D)	Gain or Loss (-)	Additional Notes
PUT SPY 10/21/20	343	STANDARD & POORS DEPOSITORY   CUSIP:   Symbol: SPY201021P00343000					
10/21/2020	4.00	499.65	Various	288.32	0.00	211.33	Sell to Close
CALL SPY 10/09/20	344	STANDARD & POORS DEPOSITORY   CUSIP:   Symbol: SPY201009C00344000					
10/08/2020	1.00	134.90	10/08/2020	127.08	0.00	7.82	Sell to Close
10/08/2020	2.00	271.82	Various	230.16	0.00	41.66	Sell to Close
<b>Security Totals:</b>		<b>406.72</b>		<b>357.24</b>		<b>49.48</b>	
PUT SPY 10/09/20	344	STANDARD & POORS DEPOSITORY   CUSIP:   Symbol: SPY201009P00344000					
10/09/2020	1.00	21.90	10/09/2020	21.08	0.00	0.82	Sell to Close
PUT SPY 10/30/20	320	STANDARD & POORS DEPOSITORY   CUSIP:   Symbol: SPY201030P00320000					
10/29/2020	1.00	39.90	10/29/2020	81.25	0.00	-41.35	Sell to Close
10/29/2020	3.00	119.74	Various	208.24	37.17 D	-51.33	Sell to Close
<b>Security Totals:</b>		<b>159.64</b>		<b>289.49</b>		<b>-92.68</b>	
PUT SPY 11/06/20	345	STANDARD & POORS DEPOSITORY   CUSIP:   Symbol: SPY201106P00345000					
11/06/2020	1.00	51.90	11/06/2020	63.08	0.00	-11.18	Sell to Close
CALL SPY 11/02/20	333	STANDARD & POORS DEPOSITORY   CUSIP:   Symbol: SPY201102C00333000					
11/02/2020	1.00	19.90	11/02/2020	36.08	0.00	-16.18	Sell to Close
CALL SPY 11/04/20	345	STANDARD & POORS DEPOSITORY   CUSIP:   Symbol: SPY201104C00345000					
11/03/2020	1.00	100.90	11/03/2020	99.08	0.00	1.82	Sell to Close
PUT SPY 11/06/20	340	STANDARD & POORS DEPOSITORY   CUSIP:   Symbol: SPY201106P00340000					
11/05/2020	1.00	19.90	11/05/2020	22.08	0.00	-2.18	Sell to Close
PUT SPY 11/04/20	335	STANDARD & POORS DEPOSITORY   CUSIP:   Symbol: SPY201104P00335000					
11/04/2020	1.00	13.90	11/04/2020	19.26	0.00	-5.36	Sell to Close
11/04/2020	1.00	16.90	11/04/2020	21.08	4.18 D	0.00	Sell to Close
<b>Security Totals:</b>		<b>30.80</b>		<b>40.34</b>		<b>-5.36</b>	
CALL SPY 10/12/20	352	STANDARD & POORS DEPOSITORY   CUSIP:   Symbol: SPY201012C00352000					
10/12/2020	1.00	72.90	10/12/2020	63.08	0.00	9.82	Sell to Close
PUT SPY 10/12/20	351	STANDARD & POORS DEPOSITORY   CUSIP:   Symbol: SPY201012P00351000					
10/12/2020	1.00	32.90	10/12/2020	45.08	0.00	-12.18	Sell to Close C
CALL SPY 11/06/20	352	STANDARD & POORS DEPOSITORY   CUSIP:   Symbol: SPY201106C00352000					
11/06/2020	1.00	39.90	11/06/2020	48.08	0.00	-8.18	Sell to Close

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APEX CLEARING

## Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B\*

OMB No. 1545-0715

5MZ16801

(continued)

02/28/2021

## 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
***TAT TECHNOLOGIES LTD ORD   CUSIP: M8740S227   Symbol: TATT							
09/24/2020	10.00	84.98	09/24/2020	78.20	0.00	6.78	Sale
CALL SPY 10/23/20 345 STANDARD & POORS DEPOSITORY   CUSIP:   Symbol: SPY201023C00345000							
10/22/2020	4.00	471.65	Various	427.32	0.00	44.33	Sell to Close
CALL AAPL 10/16/20 121 APPLE INC   CUSIP:   Symbol: AAPL201016C00121000							
10/15/2020	2.00	209.82	Various	201.16	0.00	8.66	Sell to Close
PUT SPY 12/11/20 365 STANDARD & POORS DEPOSITORY   CUSIP:   Symbol: SPY201211P00365000							
12/11/2020	1.00	67.90	12/11/2020	60.08	0.00	7.82	Sell to Close
PUT AAPL 11/20/20 118 APPLE INC   CUSIP:   Symbol: AAPL201120P00118000							
11/17/2020	1.00	67.90	11/17/2020	54.08	0.00	13.82	Sell to Close
CALL SPY 12/24/20 369 STANDARD & POORS DEPOSITORY   CUSIP:   Symbol: SPY201224C00369000							
12/24/2020	1.00	18.90	12/24/2020	18.08	0.00	0.82	Sell to Close
CALL SPY 11/11/20 359 STANDARD & POORS DEPOSITORY   CUSIP:   Symbol: SPY201111C00359000							
11/11/2020	1.00	9.90	11/11/2020	23.08	0.00	-13.18	Sell to Close
FLUX POWER HOLDINGS INC COMMON STOCK   CUSIP: 344057302   Symbol: FLUX							
09/28/2020	10.00	79.98	09/28/2020	70.00	0.00	9.98	Sale
WESTWATER RESOURCES INC COMMON STOCK   CUSIP: 961684206   Symbol: WWR							
09/28/2020	20.00	54.98	09/28/2020	48.60	0.00	6.38	Sale
CALL SPY 10/19/20 346 STANDARD & POORS DEPOSITORY   CUSIP:   Symbol: SPY201019C00346000							
10/19/2020	1.00	25.90	10/19/2020	36.08	0.00	-10.18	Sell to Close
***SPI ENERGY CO LTD ORDINARY SHARES   CUSIP: G8651P110   Symbol: SPI							
09/23/2020	20.00	169.98	Various	160.90	0.00	9.08	Sale
PUT SPY 10/28/20 336 STANDARD & POORS DEPOSITORY   CUSIP:   Symbol: SPY201028P00336000							
10/27/2020	3.00	206.74	Various	344.24	0.00	-137.50	Sell to Close C
CTI BIOPHARMA CORP COM NEW   CUSIP: 12648L601   Symbol: CTIC							
09/29/2020	10.00	22.98	09/29/2020	20.90	0.00	2.08	Sale
09/30/2020	20.00	44.98	09/30/2020	43.40	0.00	1.58	Sale
10/01/2020	10.00	21.08	09/30/2020	22.35	0.00	-1.27	Sale
<b>Security Totals:</b>		<b>89.04</b>		<b>86.65</b>		<b>2.39</b>	
PUT SPY 11/11/20 353 STANDARD & POORS DEPOSITORY   CUSIP:   Symbol: SPY201111P00353000							
11/11/2020	1.00	30.90	11/11/2020	39.08	0.00	-8.18	Sell to Close

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APEX CLEARING

## Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B\*

OMB No. 1545-0715

5MZ16801

(continued)

02/28/2021

**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 SPY 10/30/20	332	STANDARD & POORS DEPOSITORY   CUSIP:   Symbol: SPY201030C00332000					
10/30/2020	1.00	40.90	10/30/2020	63.08	0.00	-22.18	Sell to Close
CALL SPY 10/30/20	330	STANDARD & POORS DEPOSITORY   CUSIP:   Symbol: SPY201030C00330000					
10/30/2020	1.00	13.90	10/30/2020	37.25	0.00	-23.35	Sell to Close
10/30/2020	1.00	83.90	10/30/2020	80.08	0.00	3.82	Sell to Close
10/30/2020	2.00	29.82	Various	48.16	13.17 D	-5.17	Sell to Close
<b>Security Totals:</b>		<b>127.62</b>		<b>165.49</b>		<b>-24.70</b>	
CALL SPY 10/23/20	347	STANDARD & POORS DEPOSITORY   CUSIP:   Symbol: SPY201023C00347000					
10/23/2020	7.00	48.42	Various	286.56	0.00	-238.14	Sell to Close
MARINUS PHARMACEUTICALS INC	COM	CUSIP: 56854Q101   Symbol: MRNS					
09/15/2020	1.00	3.80	09/15/2020	3.34	0.00	0.46	Sale
PUT SPY 09/25/20	324	STANDARD & POORS DEPOSITORY   CUSIP:   Symbol: SPY200925P00324000					
09/25/2020	2.00	1.80	Various	104.18	0.00	-102.38	Sell to Close
CALL FB 10/09/20	265	FACEBOOK INC CL A   CUSIP:   Symbol: FB201009C00265000					
10/09/2020	1.00	68.90	10/09/2020	65.08	0.00	3.82	Sell to Close
PUT SPY 09/25/20	323	STANDARD & POORS DEPOSITORY   CUSIP:   Symbol: SPY200925P00323000					
09/25/2020	1.00	63.89	09/25/2020	53.09	0.00	10.80	Sell to Close
PUT PTON 12/04/20	110	PELTON INTERACTIVE INC CL A   CUSIP:   Symbol: PTON201204P00110000					
12/03/2020	1.00	64.90	12/03/2020	88.08	0.00	-23.18	Sell to Close
CALL SPY 10/19/20	348	STANDARD & POORS DEPOSITORY   CUSIP:   Symbol: SPY201019C00348000					
10/19/2020	1.00	23.90	10/19/2020	71.42	0.00	-47.52	Sell to Close
10/19/2020	2.00	147.82	Various	173.50	33.34 D	7.66	Sell to Close
10/19/2020	2.00	137.82	Various	185.16	47.34 D	0.00	Sell to Close
<b>Security Totals:</b>		<b>309.54</b>		<b>430.08</b>		<b>-39.86</b>	
CALL SPY 10/02/20	336	STANDARD & POORS DEPOSITORY   CUSIP:   Symbol: SPY201002C00336000					
10/02/2020	3.00	143.74	Various	142.24	0.00	1.50	Sell to Close
CALL SPY 12/23/20	378	STANDARD & POORS DEPOSITORY   CUSIP:   Symbol: SPY201223C00378000					
12/16/2020	1.00	35.90	12/15/2020	29.08	0.00	6.82	Sell to Close
CALL SPY 12/14/20	368	STANDARD & POORS DEPOSITORY   CUSIP:   Symbol: SPY201214C00368000					
12/14/2020	3.00	77.74	Various	67.24	0.00	10.50	Sell to Close

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APEX CLEARING

## Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B\*

OMB No. 1545-0715

5MZ16801

(continued)

02/28/2021

**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 12/04/20	125	APPLE INC   CUSIP:   Symbol: AAPL201204C00125000					
12/01/2020	1.00	83.90	12/01/2020	74.08	0.00	9.82	Sell to Close
STAFFING 360 SOLUTIONS INC	COMMON STOCK   CUSIP: 852387307   Symbol: STAF						
10/14/2020	20.00	23.98	Various	20.30	0.00	3.68	Sale
PUT SPY 10/19/20	348	STANDARD & POORS DEPOSITORY   CUSIP:   Symbol: SPY201019P00348000					
10/19/2020	2.00	233.82	Various	140.16	0.00	93.66	Sell to Close C
CALL SPY 09/23/20	329	STANDARD & POORS DEPOSITORY   CUSIP:   Symbol: SPY200923C00329000					
09/23/2020	3.00	11.71	Various	192.27	0.00	-180.56	Sell to Close
***DOGNESS INTERNATIONAL	CORPORATION CLASS A COMMON STOCK   CUSIP: G2788T103   Symbol: DOGZ						
10/23/2020	30.00	71.68	Various	69.20	0.00	2.48	Sale
PUT SPY 10/23/20	340	STANDARD & POORS DEPOSITORY   CUSIP:   Symbol: SPY201023P00340000					
10/22/2020	3.00	119.74	Various	168.24	0.00	-48.50	Sell to Close
PUT SPY 09/28/20	332	STANDARD & POORS DEPOSITORY   CUSIP:   Symbol: SPY200928P00332000					
09/28/2020	2.00	9.82	Various	53.16	0.00	-43.34	Sell to Close
CALL SPY 09/25/20	325	STANDARD & POORS DEPOSITORY   CUSIP:   Symbol: SPY200925C00325000					
09/25/2020	1.00	109.89	09/25/2020	93.09	0.00	16.80	Sell to Close
PUT SPY 12/02/20	365	STANDARD & POORS DEPOSITORY   CUSIP:   Symbol: SPY201202P00365000					
12/02/2020	2.00	67.82	Various	158.16	0.00	-90.34	Sell to Close
CALL SPY 10/12/20	354	STANDARD & POORS DEPOSITORY   CUSIP:   Symbol: SPY201012C00354000					
10/12/2020	3.00	137.74	Various	63.24	0.00	74.50	Sell to Close
CALL SPY 10/07/20	342	STANDARD & POORS DEPOSITORY   CUSIP:   Symbol: SPY201007C00342000					
10/06/2020	2.00	223.82	Various	199.16	0.00	24.66	Sell to Close
10/07/2020	2.00	35.82	Various	200.16	91.17 D	-73.17	Sell to Close
10/07/2020	1.00	14.90	10/07/2020	101.25	0.00	-86.35	Sell to Close
<b>Security Totals:</b>		<b>274.54</b>		<b>500.57</b>		<b>-134.86</b>	
CALL SPY 09/30/20	336	STANDARD & POORS DEPOSITORY   CUSIP:   Symbol: SPY200930C00336000					
09/30/2020	1.00	234.90	09/30/2020	99.08	0.00	135.82	Sell to Close
CALL TSLA 10/16/20	500	TESLA INC ADJ 5:1 STOCK SPLIT   CUSIP:   Symbol: TSLA201016C00500000					
10/13/2020	3.00	329.74	Various	312.24	0.00	17.50	Sell to Close
10/13/2020	3.00	269.74	Various	196.24	0.00	73.50	Sell to Close
<b>Security Totals:</b>		<b>599.48</b>		<b>508.48</b>		<b>91.00</b>	

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APEX CLEARING

## Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B\*

OMB No. 1545-0715

5MZ16801

(continued)

02/28/2021

**SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS**

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

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EASTMAN KODAK COMPANY COM NEW   CUSIP: 277461406   Symbol: KODK							
09/17/2020	10.00	89.38	09/17/2020	87.20	0.00	2.18	Sale
CALL SPY 10/21/20 345 STANDARD & POORS DEPOSITORY   CUSIP:   Symbol: SPY201021C00345000							
10/21/2020	1.00	49.90	10/21/2020	49.08	0.00	0.82	Sell to Close
PUT SPY 11/09/20 358 STANDARD & POORS DEPOSITORY   CUSIP:   Symbol: SPY201109P00358000							
11/09/2020	1.00	42.90	11/09/2020	91.08	0.00	-48.18	Sell to Close
HERTZ GLOBAL HOLDINGS INC COMMON STOCK   CUSIP: 42806J106   Symbol: HTZ							
10/16/2020	10.00	21.28	10/16/2020	21.70	0.42 D	0.00	Sale
10/16/2020	30.00	79.48	Various	79.05	0.00	0.43	Sale
<b>Security Totals:</b>		<b>100.76</b>		<b>100.75</b>		<b>0.43</b>	
PUT SPY 12/11/20 364 STANDARD & POORS DEPOSITORY   CUSIP:   Symbol: SPY201211P00364000							
12/10/2020	2.00	87.82	12/10/2020	92.16	0.00	-4.34	Sell to Close
CALL BA 10/09/20 170 BOEING CO   CUSIP:   Symbol: BA201009C00170000							
10/08/2020	1.00	67.90	10/08/2020	51.08	0.00	16.82	Sell to Close
CALL BA 10/09/20 182.50 BOEING CO   CUSIP:   Symbol: BA201009C00182500							
10/06/2020	1.00	138.90	10/06/2020	120.08	0.00	18.82	Sell to Close
GEVO INC COMMON STOCK   CUSIP: 374396406   Symbol: GEVO							
09/01/2020	4.00	4.70	08/25/2020	5.72	0.00	-1.02	Sale
PUT TSLA 11/06/20 360 TESLA INC   CUSIP:   Symbol: TSLA201106P00360000							
11/04/2020	1.00	41.90	11/04/2020	52.08	0.00	-10.18	Sell to Close
CALL SPY 10/12/20 351 STANDARD & POORS DEPOSITORY   CUSIP:   Symbol: SPY201012C00351000							
10/12/2020	2.00	65.82	Various	46.16	0.00	19.66	Sell to Close
CALL TSLA 11/06/20 500 TESLA INC   CUSIP:   Symbol: TSLA201106C00500000							
11/04/2020	3.00	37.74	Various	66.24	26.0 D	-2.50	Sell to Close
11/04/2020	2.00	25.82	Various	50.16	0.00	-24.34	Sell to Close
<b>Security Totals:</b>		<b>63.56</b>		<b>116.40</b>		<b>-26.84</b>	
PUT SPY 12/02/20 364 STANDARD & POORS DEPOSITORY   CUSIP:   Symbol: SPY201202P00364000							
12/02/2020	1.00	65.90	12/02/2020	58.08	0.00	7.82	Sell to Close
CALL AMD 12/18/20 100 ADVANCED MICRO DEVICES INC   CUSIP:   Symbol: AMD201218C00100000							
12/15/2020	1.00	82.90	12/15/2020	74.08	0.00	8.82	Sell to Close

APEX CLEARING

## Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B\*

OMB No. 1545-0715

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02/28/2021

**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 SPY 11/18/20	355	STANDARD & POORS DEPOSITORY   CUSIP:   Symbol: SPY201118P00355000					
11/17/2020	1.00	78.90	11/17/2020	53.08	0.00	25.82	Sell to Close
CALL SPY 10/28/20	343	STANDARD & POORS DEPOSITORY   CUSIP:   Symbol: SPY201028C00343000					
10/27/2020	1.00	57.90	10/27/2020	104.25	0.00	-46.35	Sell to Close C
10/27/2020	2.00	117.82	Various	163.16	28.17 D	-17.17	Sell to Close C
<b>Security Totals:</b>		<b>175.72</b>		<b>267.41</b>		<b>-63.52</b>	
NEUROTROPE INC	COMMON STOCK   CUSIP: 64129T207   Symbol: NTRP						
10/01/2020	20.00	21.58	09/30/2020	26.78	0.00	-5.20	Sale
PUT SPY 10/16/20	348	STANDARD & POORS DEPOSITORY   CUSIP:   Symbol: SPY201016P00348000					
10/16/2020	1.00	30.90	10/16/2020	41.08	10.18 D	0.00	Sell to Close
10/16/2020	1.00	49.90	10/16/2020	54.26	0.00	-4.36	Sell to Close
<b>Security Totals:</b>		<b>80.80</b>		<b>95.34</b>		<b>-4.36</b>	
CALL ROKU 10/02/20	205	ROKU INC   CUSIP:   Symbol: ROKU201002C00205000					
10/02/2020	1.00	112.90	10/02/2020	105.08	0.00	7.82	Sell to Close
CALL SPY 10/28/20	335	STANDARD & POORS DEPOSITORY   CUSIP:   Symbol: SPY201028C00335000					
10/28/2020	2.00	127.82	Various	103.16	0.00	24.66	Sell to Close
10/28/2020	4.00	59.66	Various	113.32	0.00	-53.66	Sell to Close
<b>Security Totals:</b>		<b>187.48</b>		<b>216.48</b>		<b>-29.00</b>	
CALL AAL 10/30/20	12	AMERICAN AIRLINES GROUP INC   CUSIP:   Symbol: AAL201030C00012000					
10/26/2020	1.00	32.90	10/26/2020	39.08	0.00	-6.18	Sell to Close
PUT SPY 12/02/20	366	STANDARD & POORS DEPOSITORY   CUSIP:   Symbol: SPY201202P00366000					
12/01/2020	1.00	152.90	12/01/2020	132.08	0.00	20.82	Sell to Close
PUT SPY 10/19/20	345	STANDARD & POORS DEPOSITORY   CUSIP:   Symbol: SPY201019P00345000					
10/19/2020	4.00	247.66	Various	186.32	0.00	61.34	Sell to Close
CALL SPY 10/16/20	349	STANDARD & POORS DEPOSITORY   CUSIP:   Symbol: SPY201016C00349000					
10/16/2020	1.00	98.90	10/16/2020	85.25	0.00	13.65	Sell to Close
10/16/2020	1.00	73.90	10/16/2020	63.08	0.00	10.82	Sell to Close
10/16/2020	2.00	187.82	Various	182.16	4.17 D	9.83	Sell to Close
<b>Security Totals:</b>		<b>360.62</b>		<b>330.49</b>		<b>34.30</b>	

APEX CLEARING

## Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B\*

OMB No. 1545-0715

5MZ16801

(continued)

02/28/2021

**SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS**

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PUT SPY 10/30/20	326	STANDARD & POORS DEPOSITORY   CUSIP:   Symbol: SPY201030P00326000					
10/30/2020	1.00	155.90	10/30/2020	97.08	0.00	58.82	Sell to Close
PUT MSFT 11/06/20	220	MICROSOFT CORP   CUSIP:   Symbol: MSFT201106P00220000					
11/05/2020	2.00	109.82	Various	126.16	0.00	-16.34	Sell to Close
***JIAYIN GROUP INC	AMERICAN DEPOSITARY SHARES   CUSIP: 47737C104   Symbol: JFIN						
09/29/2020	10.00	41.98	09/29/2020	40.50	0.00	1.48	Sale
PUT SPY 10/09/20	341	STANDARD & POORS DEPOSITORY   CUSIP:   Symbol: SPY201009P00341000					
10/08/2020	1.00	92.90	10/08/2020	90.08	0.00	2.82	Sell to Close
SUNWORKS INC	COMMON STOCK   CUSIP: 86803X204   Symbol: SUNW						
09/23/2020	10.00	14.33	09/23/2020	12.90	0.00	1.43	Sale
CALL SPY 10/21/20	344	STANDARD & POORS DEPOSITORY   CUSIP:   Symbol: SPY201021C00344000					
10/21/2020	1.00	87.90	10/21/2020	66.08	0.00	21.82	Sell to Close
CALL SPY 10/05/20	339	STANDARD & POORS DEPOSITORY   CUSIP:   Symbol: SPY201005C00339000					
10/05/2020	2.00	81.82	Various	120.16	0.00	-38.34	Sell to Close
10/05/2020	2.00	175.82	Various	144.16	0.00	31.66	Sell to Close
<b>Security Totals:</b>		<b>257.64</b>		<b>264.32</b>		<b>-6.68</b>	
***OXBRIDGE RE HOLDINGS	LIMITED   CUSIP: G6856M106   Symbol: OXBR						
10/01/2020	10.00	18.29	10/01/2020	20.89	0.00	-2.60	Sale
PUT SPY 09/28/20	333	STANDARD & POORS DEPOSITORY   CUSIP:   Symbol: SPY200928P00333000					
09/28/2020	1.00	70.90	09/28/2020	69.08	0.00	1.82	Sell to Close
CALL SPY 10/05/20	338	STANDARD & POORS DEPOSITORY   CUSIP:   Symbol: SPY201005C00338000					
10/05/2020	1.00	107.90	10/05/2020	88.08	0.00	19.82	Sell to Close
10/05/2020	2.00	213.82	Various	239.16	0.00	-25.34	Sell to Close
<b>Security Totals:</b>		<b>321.72</b>		<b>327.24</b>		<b>-5.52</b>	
CALL SPY 10/14/20	353	STANDARD & POORS DEPOSITORY   CUSIP:   Symbol: SPY201014C00353000					
10/14/2020	5.00	64.58	Various	511.40	0.00	-446.82	Sell to Close C
PUT SPY 10/05/20	338	STANDARD & POORS DEPOSITORY   CUSIP:   Symbol: SPY201005P00338000					
10/05/2020	2.00	119.82	Various	148.16	19.17 D	-9.17	Sell to Close
10/05/2020	1.00	31.90	10/05/2020	83.25	0.00	-51.35	Sell to Close
<b>Security Totals:</b>		<b>151.72</b>		<b>231.41</b>		<b>-60.52</b>	

APEX CLEARING

## Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B\*

OMB No. 1545-0715

5MZ16801

(continued)

02/28/2021

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DIGITAL TURBINE INC COM NEW   CUSIP: 25400W102   Symbol: APPS							
09/15/2020	4.00	111.66	08/17/2020	101.47	0.00	10.19	Sale
***THE9 LIMITED AMERICAN DPSTRY SHRS RPRSNTNG THREE CL A ORDINARY SHARES   CUSIP: 88337K203   Symbol: NCTY							
09/24/2020	100.00	69.98	09/24/2020	67.99	0.00	1.99	Sale
CALL MSFT 10/09/20 215 MICROSOFT CORP   CUSIP:   Symbol: MSFT201009C00215000							
10/09/2020	1.00	28.90	10/09/2020	27.08	0.00	1.82	Sell to Close
PUT SPY 10/26/20 336 STANDARD & POORS DEPOSITORY   CUSIP:   Symbol: SPY201026P00336000							
10/26/2020	1.00	127.90	10/26/2020	95.08	0.00	32.82	Sell to Close
10/26/2020	1.00	33.90	10/26/2020	62.08	0.00	-28.18	Sell to Close
<b>Security Totals:</b>		<b>161.80</b>		<b>157.16</b>		<b>4.64</b>	
CALL AAPL 10/02/20 117.50 APPLE INC ADJ 4:1 STOCK SPLIT   CUSIP:   Symbol: AAPL201002C00117500							
10/01/2020	2.00	159.82	Various	140.16	0.00	19.66	Sell to Close
CALL SPY 10/26/20 338 STANDARD & POORS DEPOSITORY   CUSIP:   Symbol: SPY201026C00338000							
10/26/2020	1.00	80.90	10/26/2020	60.08	0.00	20.82	Sell to Close
CALL AAPL 10/16/20 125 APPLE INC ADJ 4:1 STOCK SPLIT   CUSIP:   Symbol: AAPL201016C00125000							
10/12/2020	1.00	109.90	10/12/2020	125.08	15.18 D	0.00	Sell to Close
10/12/2020	2.00	231.82	Various	216.34	5.35 D	20.83	Sell to Close
10/13/2020	1.00	101.90	10/13/2020	100.43	0.00	1.47	Sell to Close
10/14/2020	1.00	68.90	10/14/2020	66.08	0.00	2.82	Sell to Close
<b>Security Totals:</b>		<b>512.52</b>		<b>507.93</b>		<b>25.12</b>	
PUT SPY 11/30/20 359 STANDARD & POORS DEPOSITORY   CUSIP:   Symbol: SPY201130P00359000							
11/30/2020	1.00	43.90	11/30/2020	50.08	0.00	-6.18	Sell to Close
PUT SPY 12/14/20 365 STANDARD & POORS DEPOSITORY   CUSIP:   Symbol: SPY201214P00365000							
12/14/2020	1.00	14.90	12/14/2020	21.08	0.00	-6.18	Sell to Close
CALL SPY 11/06/20 353 STANDARD & POORS DEPOSITORY   CUSIP:   Symbol: SPY201106C00353000							
11/05/2020	1.00	109.90	11/05/2020	99.08	0.00	10.82	Sell to Close
11/05/2020	1.00	115.90	11/05/2020	104.08	0.00	11.82	Sell to Close
11/06/2020	1.00	26.90	11/06/2020	34.08	0.00	-7.18	Sell to Close
<b>Security Totals:</b>		<b>252.70</b>		<b>237.24</b>		<b>15.46</b>	

APEX CLEARING

## Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B\*

OMB No. 1545-0715

5MZ16801

(continued)

02/28/2021

**SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS**

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

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

1c - Date Sold or Disposed	Quantity	1d - Proceeds	1b - Date Acquired	1e - Cost or Other Basis	1f - Accrued Market Discount (M) & 1g - Wash Sale Loss Disallowed (D)	Gain or Loss (-)	Additional Notes
CALL SPY 11/16/20	364	STANDARD & POORS DEPOSITORY   CUSIP:   Symbol: SPY201116C00364000					
11/16/2020	1.00	10.90	11/16/2020	24.08	0.00	-13.18	Sell to Close
PUT SPY 11/30/20	352	STANDARD & POORS DEPOSITORY   CUSIP:   Symbol: SPY201130P00352000					
11/25/2020	1.00	15.90	11/24/2020	40.08	0.00	-24.18	Sell to Close
CALL SPY 10/26/20	345	STANDARD & POORS DEPOSITORY   CUSIP:   Symbol: SPY201026C00345000					
10/26/2020	10.00	59.16	Various	165.80	48.33 D	-58.31	Sell to Close
10/26/2020	2.00	9.83	10/26/2020	66.49	0.00	-56.66	Sell to Close
<b>Security Totals:</b>		<b>68.99</b>		<b>232.29</b>		<b>-114.97</b>	
CALL SPY 11/18/20	364	STANDARD & POORS DEPOSITORY   CUSIP:   Symbol: SPY201118C00364000					
11/18/2020	1.00	10.91	11/18/2020	13.08	0.00	-2.17	Sell to Close
PUT SPY 11/16/20	358	STANDARD & POORS DEPOSITORY   CUSIP:   Symbol: SPY201116P00358000					
11/16/2020	1.00	39.90	11/16/2020	38.08	0.00	1.82	Sell to Close
CALL AAPL 11/13/20	122	APPLE INC   CUSIP:   Symbol: AAPL201113C00122000					
11/10/2020	1.00	39.90	11/10/2020	49.08	0.00	-9.18	Sell to Close
PUT SPY 10/28/20	325	STANDARD & POORS DEPOSITORY   CUSIP:   Symbol: SPY201028P00325000					
10/28/2020	1.00	31.90	10/28/2020	103.25	0.00	-71.35	Sell to Close
10/28/2020	2.00	79.82	Various	136.16	38.17 D	-18.17	Sell to Close
<b>Security Totals:</b>		<b>111.72</b>		<b>239.41</b>		<b>-89.52</b>	
PUT SPY 10/26/20	345	STANDARD & POORS DEPOSITORY   CUSIP:   Symbol: SPY201026P00345000					
10/23/2020	1.00	146.90	10/23/2020	151.08	0.00	-4.18	Sell to Close
PUT SPY 10/12/20	350	STANDARD & POORS DEPOSITORY   CUSIP:   Symbol: SPY201012P00350000					
10/12/2020	1.00	33.90	10/12/2020	39.08	5.18 D	0.00	Sell to Close
10/12/2020	1.00	4.90	10/12/2020	18.44	0.00	-13.54	Sell to Close
10/12/2020	1.00	10.90	10/12/2020	22.26	11.36 D	0.00	Sell to Close
<b>Security Totals:</b>		<b>49.70</b>		<b>79.78</b>		<b>-13.54</b>	
CALL SPY 10/12/20	355	STANDARD & POORS DEPOSITORY   CUSIP:   Symbol: SPY201012C00355000					
10/12/2020	1.00	1.90	10/12/2020	10.08	0.00	-8.18	Sell to Close
PIONEER POWER SOLUTIONS INC   CUSIP: 723836300   Symbol: PPSI							
10/06/2020	10.00	58.78	10/06/2020	62.50	3.72 D	0.00	Sale

APEX CLEARING

## Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B\*

OMB No. 1545-0715

5MZ16801

(continued)

02/28/2021

**SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS**

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

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

1c - Date Sold or Disposed	Quantity	1d - Proceeds	1b - Date Acquired	1e - Cost or Other Basis	1f - Accrued Market Discount (M) & 1g - Wash Sale Loss Disallowed (D)	Gain or Loss (-)	Additional Notes
10/06/2020	10.00	54.18	10/06/2020	74.22	0.00	-20.04	Sale
<b>Security Totals:</b>		<b>112.96</b>		<b>136.72</b>		<b>-20.04</b>	
PUT SPY 12/18/20 365	STANDARD & POORS DEPOSITORY   CUSIP:   Symbol: SPY201218P00365000						
12/17/2020	1.00	39.90	12/17/2020	38.08	0.00	1.82	Sell to Close
PUT AAPL 11/20/20 115	APPLE INC						
	ADJ 4:1 STOCK SPLIT   CUSIP:   Symbol: AAPL201120P00115000						
11/18/2020	1.00	27.90	11/18/2020	26.08	0.00	1.82	Sell to Close
11/19/2020	1.00	22.90	11/19/2020	49.08	0.00	-26.18	Sell to Close
<b>Security Totals:</b>		<b>50.80</b>		<b>75.16</b>		<b>-24.36</b>	
PUT SPY 11/06/20 349	STANDARD & POORS DEPOSITORY   CUSIP:   Symbol: SPY201106P00349000						
11/06/2020	1.00	13.90	11/06/2020	106.08	0.00	-92.18	Sell to Close
CALL SPY 12/11/20 369	STANDARD & POORS DEPOSITORY   CUSIP:   Symbol: SPY201211C00369000						
12/09/2020	1.00	102.90	12/09/2020	93.08	0.00	9.82	Sell to Close
PUT SPY 10/26/20 337	STANDARD & POORS DEPOSITORY   CUSIP:   Symbol: SPY201026P00337000						
10/26/2020	1.00	32.90	10/26/2020	29.08	0.00	3.82	Sell to Close C
PUT SPY 11/02/20 329	STANDARD & POORS DEPOSITORY   CUSIP:   Symbol: SPY201102P00329000						
11/02/2020	1.00	96.90	11/02/2020	74.08	0.00	22.82	Sell to Close
GREENPRO CAPITAL CORP	COMMON STOCK   CUSIP: 39540F101   Symbol: GRNQ						
10/06/2020	10.00	17.13	10/05/2020	18.80	0.00	-1.67	Sale
LM FUNDING AMERICA INC	COMMON STOCK   CUSIP: 502074305   Symbol: LMFA						
10/01/2020	100.00	63.68	09/29/2020	91.99	0.00	-28.31	Sale
CALL SPY 09/18/20 333	STANDARD & POORS DEPOSITORY   CUSIP:   Symbol: SPY200918C00333000						
09/18/2020	1.00	122.89	09/18/2020	87.09	0.00	35.80	Sell to Close
09/18/2020	2.00	0.00	Various	114.18	0.00	-114.18	Expiration
<b>Security Totals:</b>		<b>122.89</b>		<b>201.27</b>		<b>-78.38</b>	
CALL SPY 11/30/20 362	STANDARD & POORS DEPOSITORY   CUSIP:   Symbol: SPY201130C00362000						
11/30/2020	2.00	55.82	Various	86.16	0.00	-30.34	Sell to Close
CALL NFLX 10/16/20 600	NETFLIX INC   CUSIP:   Symbol: NFLX201016C00600000						
10/14/2020	2.00	103.82	Various	193.16	0.00	-89.34	Sell to Close
CALL AAPL 12/04/20 120	APPLE INC   CUSIP:   Symbol: AAPL201204C00120000						
11/30/2020	1.00	97.91	11/30/2020	90.08	0.00	7.83	Sell to Close



APEX CLEARING

## Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B\*

OMB No. 1545-0715

5MZ16801

(continued)

02/28/2021

**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 SPY 11/06/20	346	STANDARD & POORS DEPOSITORY   CUSIP:   Symbol: SPY201106P00346000					
11/06/2020	3.00	125.74	Various	185.24	0.00	-59.50	Sell to Close
PUT SPY 10/02/20	333	STANDARD & POORS DEPOSITORY   CUSIP:   Symbol: SPY201002P00333000					
10/02/2020	2.00	51.82	Various	261.16	0.00	-209.34	Sell to Close
CALL SPY 12/11/20	367	STANDARD & POORS DEPOSITORY   CUSIP:   Symbol: SPY201211C00367000					
12/11/2020	3.00	41.74	Various	76.24	0.00	-34.50	Sell to Close
CALL AAPL 11/13/20	118	APPLE INC   CUSIP:   Symbol: AAPL201113C00118000					
11/10/2020	1.00	80.90	11/10/2020	132.08	0.00	-51.18	Sell to Close
***BIONDVAX PHARMACEUTICALS LTD AMERICAN DEPOSITARY SHARES   CUSIP: 09073Q105   Symbol: BVXV							
10/23/2020	10.00	73.78	10/23/2020	52.60	0.00	21.18	Sale
PUT SPY 09/30/20	335	STANDARD & POORS DEPOSITORY   CUSIP:   Symbol: SPY200930P00335000					
09/30/2020	1.00	34.90	09/30/2020	108.08	0.00	-73.18	Sell to Close
CALL FB 11/27/20	280	FACEBOOK INC CL A   CUSIP:   Symbol: FB201127C00280000					
11/27/2020	3.00	23.74	Various	72.24	0.00	-48.50	Sell to Close
PUT SPY 11/04/20	326	STANDARD & POORS DEPOSITORY   CUSIP:   Symbol: SPY201104P00326000					
11/03/2020	1.00	147.90	11/03/2020	143.08	0.00	4.82	Sell to Close
HERITAGE GLOBAL INC COMMON STOCK   CUSIP: 42727E103   Symbol: HGBL							
12/08/2020	34.00	67.98	12/08/2020	69.70	0.00	-1.72	Sale
CALL FB 11/27/20	277.50	FACEBOOK INC CL A   CUSIP:   Symbol: FB201127C00277500					
11/27/2020	2.00	215.82	Various	95.16	0.00	120.66	Sell to Close
PUT SPY 10/09/20	345	STANDARD & POORS DEPOSITORY   CUSIP:   Symbol: SPY201009P00345000					
10/09/2020	1.00	23.90	10/09/2020	31.26	0.00	-7.36	Sell to Close
10/09/2020	1.00	27.90	10/09/2020	32.08	4.18 D	0.00	Sell to Close
<b>Security Totals:</b>		<b>51.80</b>		<b>63.34</b>		<b>-7.36</b>	
CALL SPY 10/09/20	345	STANDARD & POORS DEPOSITORY   CUSIP:   Symbol: SPY201009C00345000					
10/08/2020	1.00	87.90	10/08/2020	86.08	0.00	1.82	Sell to Close
PUT SPY 10/07/20	339	STANDARD & POORS DEPOSITORY   CUSIP:   Symbol: SPY201007P00339000					
10/06/2020	2.00	263.82	Various	322.16	55.17 D	-3.17	Sell to Close
10/07/2020	1.00	42.90	10/07/2020	154.25	0.00	-111.35	Sell to Close
<b>Security Totals:</b>		<b>306.72</b>		<b>476.41</b>		<b>-114.52</b>	

APEX CLEARING

## Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B\*

OMB No. 1545-0715

5MZ16801

(continued)

02/28/2021

**SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS**

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

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

<b>1c - Date Sold or Disposed</b>	<b>Quantity</b>	<b>1d - Proceeds</b>	<b>1b - Date Acquired</b>	<b>1e - Cost or Other Basis</b>	<b>1f - Accrued Market Discount (M) &amp; 1g - Wash Sale Loss Disallowed (D)</b>	<b>Gain or Loss (-)</b>	<b>Additional Notes</b>
CALL AAPL 11/20/20	120		APPLE INC	ADJ 4:1 STOCK SPLIT   CUSIP:   Symbol: AAPL201120C00120000			
11/18/2020	1.00	79.90	11/18/2020	74.08	0.00	5.82	Sell to Close
CALL SPY 10/09/20	347		STANDARD & POORS DEPOSITORY   CUSIP:   Symbol: SPY201009C00347000				
10/09/2020	1.00	46.90	10/09/2020	79.08	0.00	-32.18	Sell to Close
CALL SPY 10/26/20	343		STANDARD & POORS DEPOSITORY   CUSIP:   Symbol: SPY201026C00343000				
10/26/2020	2.00	11.82	10/26/2020	28.16	0.00	-16.34	Sell to Close
CALL SPY 10/09/20	346		STANDARD & POORS DEPOSITORY   CUSIP:   Symbol: SPY201009C00346000				
10/09/2020	2.00	143.82	Various	138.16	0.00	5.66	Sell to Close
<b>Totals:</b>		<b>16,157.72</b>		<b>18,440.68</b>		<b>-1,781.84</b>	

APEX CLEARING

Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B\*

OMB No. 1545-0715

5MZ16801

(continued)

02/28/2021

**LONG TERM TRANSACTIONS FOR COVERED TAX LOTS**

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

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

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

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

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

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

1a - Description of property | CUSIP | Symbol

1c - Date Sold or Disposed	Quantity	1d - Proceeds	1b - Date Acquired	1e - Cost or Other Basis	1f - Accrued Market Discount (M) & 1g - Wash Sale Loss Disallowed (D)	Gain or Loss (-)	Additional Notes
***CEMEX S A B DE C V SPONSOR ADR REP 10 ORD PRTCP CRTS OF CEMEX S A DE C V   CUSIP: 151290889   Symbol: CX							
09/28/2020	1.00	3.70	08/26/2020	3.50	0.00	0.20	Sale
***UBS GROUP AG SHS   CUSIP: H42097107   Symbol: UBS							
10/07/2020	1.00	11.75	08/31/2020	12.15	0.00	-0.40	Sale
<b>Totals:</b>		<b>15.45</b>		<b>15.65</b>		<b>-0.20</b>	

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

APEX CLEARING

## Miscellaneous Income - Details of Form 1099-MISC

2020

5MZ16801

02/28/2021

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

Description   CUSIP   Symbol							
Date	Royalties (Box 2)	Other Income (Box 3)	Substitute Payments in Lieu of Dividends or Interest (Box 8)	Federal Income Tax Withheld (Box 4)	State Tax Withheld (Box 15)	State (Box 13) State Identification No. (Box 14)	
***CEMEX S A B DE C V	SPONSOR ADR REP 10 ORD PRTCP CRTS OF CEMEX S A DE C V   CUSIP: 151290889   Symbol: CX						
08/26/2020	0.00	3.50	0.00	0.00	0.00		
***UBS GROUP AG	SHS   CUSIP: H42097107   Symbol: UBS						
08/31/2020	0.00	12.15	0.00	0.00	0.00		
<b>Totals:</b>	<b>0.00</b>	<b>15.65</b>	<b>0.00</b>	<b>0.00</b>	<b>0.00</b>		

## Common Instructions for Recipient

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

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

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

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

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

### Keep tax documents for your records.

#### 1099-DIV Instructions for Recipient

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

#### 1099-INT Instructions for Recipient

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

#### 1099-B Instructions for Recipient

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

#### 1099-MISC Instructions for Recipient

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

#### 1099-OID Instructions for Recipient

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

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

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

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

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

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

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

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

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

withheld.

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

