

 Member FINRA/SIPC PO BOX 2209 OMAHA, NE 68103-2209 Client Services: 800-669-3900	Tax Information Account 277896547	Statement Date: 02/17/2022 Document ID: FH09 J2P 61Z1	2021
	SRINIVAS GOTTE 5775 PARKWOOD BLVD APT 938 FRISCO, TX 75034-7313		
PAYER'S TIN: 47-0533629	RECIPIENT'S TIN: XXX-XX-2807		

Summary Information

<p>DIVIDENDS AND DISTRIBUTIONS 2021 1099-DIV* OMB No. 1545-0110</p> <p>1a- Total ordinary dividends (includes lines 1b, 5, 2e) 932.40</p> <p>1b- Qualified dividends 924.29</p> <p>2a- Total capital gain distributions (includes lines 2b, 2c, 2d, 2f) 0.00</p> <p>2b- Unrecaptured Section 1250 gain 0.00</p> <p>2c- Section 1202 gain 0.00</p> <p>2d- Collectibles (28%) gain 0.00</p> <p>2e- Section 897 ordinary dividends 0.00</p> <p>2f- Section 897 capital gain 0.00</p> <p>3- Nondividend distributions 57.65</p> <p>4- Federal income tax withheld 0.00</p> <p>5- Section 199A dividends 0.00</p> <p>6- Investment expenses 0.00</p> <p>8- Foreign country or US possession: See detail 7- Foreign tax paid: 3.71</p> <p>9- Cash liquidation distributions 0.00</p> <p>10- Noncash liquidation distributions 0.00</p> <p>11- Exempt-interest dividends (includes line 12) 0.00</p> <p>12- Specified private activity bond interest dividends (AMT) 0.00</p>	<p>MISCELLANEOUS INFORMATION 2021 1099-MISC* OMB No. 1545-0115</p> <p>2- Royalties 0.00</p> <p>3- Other income 0.00</p> <p>4- Federal income tax withheld 0.00</p> <p>8- Substitute payments in lieu of dividends or interest 0.00</p> <p>SECTION 1256 CONTRACTS 2021 1099-B* OMB No. 1545-0715</p> <p>8- Profit or (loss) realized in 2021 on closed contracts 0.00</p> <p>9- Unrealized profit or (loss) on open contracts-12/31/2020 0.00</p> <p>10- Unrealized profit or (loss) on open contracts-12/31/2021 0.00</p> <p>11- Aggregate profit or (loss) on contracts 0.00</p> <p style="text-align: center;"><i>If applicable, proceeds from sale transactions appear summarized below and are detailed in subsequent sections of this document.</i></p> <p>* 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.</p>
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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)	1,591,215.59	1,669,078.02	0.00	19,247.71	-58,614.72
Short	B (basis not reported to the IRS)	19,087.58	19,899.74	0.00	482.64	-329.52
Short	C (Form 1099-B not received)	0.00	0.00	0.00	0.00	0.00
	Total Short-term	1,610,303.17	1,688,977.76	0.00	19,730.35	-58,944.24
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	1,610,303.17	1,688,977.76	0.00	19,730.35	-58,944.24
Withholding		Amount				
	Federal income tax withheld	0.00				

Changes to dividend tax classifications processed after your original tax form is issued for 2021 may require an amended tax form.

TD Ameritrade Clearing, Inc.

Account 277896547

Summary Information

2021

(continued)

02/17/2022

INTEREST INCOME

2021 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)	0.03
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
<i>Tax-exempt obligations (covered lots)</i>	0.00
<i>Tax-exempt private activity obligations (AMT, covered lots)</i>	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 interest paid	0.00
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 (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 (noncovered lots)	0.00
Bond premium- Tax-exempt obligations (AMT, noncovered lots)	0.00
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	0.00
Acquisition premium (covered lots)	0.00
Acquisition premium (noncovered lots)	0.00
Original issue discount on Treasury obligations	0.00
Acquisition premium, Treasury obligations (covered lots)	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	124.00
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	5,681.15
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	213.32
Fees & Expenses- Tax-exempt investment expense	0.00
Foreign Exchange Gains & Losses- Foreign currency gain/loss	0.00

TD Ameritrade Clearing, Inc.

Account 277896547

Proceeds from Broker and Barter Exchange Transactions

2021 1099-B* OMB No. 1545-0715

02/17/2022

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)

"Gain or loss (-)" is NOT reported to the IRS.

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
ACCO BRANDS CORPORATION COM / CUSIP: 00081T108 / Symbol: ACCO							
06/01/21	250.000	2,295.19	05/13/21	2,362.43	...	-67.24	Sale
06/04/21	250.000	2,244.99	05/13/21	2,362.42	...	-117.43	Sale
	Security total:	4,540.18		4,724.85	...	-184.67	
AMC ENTERTAINMENT HOLDINGS INC COM CL A / CUSIP: 00165C104 / Symbol: AMC							
01/26/21	8,500.000	59,667.67	01/26/21	49,125.00	...	10,542.67	Sale
01/27/21	5,000.000	89,917.41	Various	77,623.86	...	12,293.55	Total of 2 transactions
02/02/21	600.000	4,619.83	02/01/21	9,890.04	...	-5,270.21	Sale
02/02/21	400.000	3,083.88	02/01/21	5,716.00	1,316.06 W	-1,316.06	Sale
	Security total:	157,288.79		142,354.90	1,316.06 W	16,249.95	
AMMO INC COM / CUSIP: 00175J107 / Symbol: POWW							
02/05/21	100.000	738.97	02/04/21	778.00	...	-39.03	Sale
06/18/21	126.000	1,007.98	Various	757.46	...	250.52	Sale
	Security total:	1,746.95		1,535.46	...	211.49	
AMTD INTERNATIONAL INC ADR / CUSIP: 00180G106 / Symbol: AMTD							
03/01/21	200.000	1,122.97	02/22/21	1,220.00	...	-97.03	Sale

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Account 277896547

Proceeds from Broker and Barter Exchange Transactions

2021 1099-B* OMB No. 1545-0715

(continued)

02/17/2022

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ATYR PHARMA INC COM / CUSIP: 002120202 / Symbol: LIFE							
06/10/21	50.000	264.99	05/20/21	224.50	...	40.49	Sale
09/15/21	50.000	443.00	06/01/21	229.50	...	213.50	Sale
	Security total:	707.99		454.00	...	253.99	
ACASTI PHARMA INC 1:8 R/S 8/31/21 00430K873 / CUSIP: 00430K402 / Symbol:							
05/06/21	250.000	100.40	03/09/21	174.98	...	-74.58	Sale
ADAMIS PHARMAS CORP COM / CUSIP: 00547W208 / Symbol: ADMP							
02/11/21	3,000.000	4,619.84	02/09/21	4,890.00	...	-270.16	Sale
07/14/21	100.000	96.01	06/09/21	113.99	...	-17.98	Sale
	Security total:	4,715.85		5,003.99	...	-288.14	
ADVAXIS INC COM / CUSIP: 007624307 / Symbol: ADXS							
02/05/21	1,000.000	999.96	02/04/21	934.00	...	65.96	Sale
AETERNA ZENTARIS INC COM / CUSIP: 007975402 / Symbol: AEZS							
02/08/21	10,000.000	27,498.20	02/08/21	17,500.00	...	9,998.20	Sale
02/08/21	7,000.000	21,838.69	02/08/21	21,800.00	15.05 W	53.74	Sale
05/06/21	250.000	230.67	02/23/21	315.03	...	-84.36	Sale
	Security total:	49,567.56		39,615.03	15.05 W	9,967.58	
AETHLON MEDICAL INC COM / CUSIP: 00808Y307 / Symbol: AEMD							
06/08/21	1,000.000	3,999.86	06/01/21	2,152.71	...	1,847.15	Sale
AGEAGLE AERIAL SYSTEMS INC COM / CUSIP: 00848K101 / Symbol: UAVS							
07/14/21	100.000	404.53	Various	501.93	...	-97.40	Total of 2 transactions
AILERON THERAPEUTICS INC COM / CUSIP: 00887A105 / Symbol: ALRN							
02/05/21	1,000.000	2,140.13	02/04/21	2,199.90	...	-59.77	Sale
AIRBNB INC COM CL A / CUSIP: 009066101 / Symbol: ABNB							
05/06/21	20.000	3,032.98	04/23/21	3,520.70	...	-487.72	Sale
THE ALKALINE WATER CO INC COM / CUSIP: 01643A207 / Symbol: WTER							
02/18/21	10,000.000	12,999.52	02/09/21	15,800.00	...	-2,800.48	Sale

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Proceeds from Broker and Barter Exchange Transactions

2021 1099-B* OMB No. 1545-0715

(continued)

02/17/2022

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

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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)	7- Loss not allowed (X) also not reported (Z)	Gain or loss(-) & Additional information
ALLIED ESPORTS ENTERTAINMENT I COM / CUSIP: 019170109 / Symbol: AESE							
03/26/21	37.000	102.49	03/24/21	129.75	...	-27.26	Sale
ALSET EHOME INTERNATIONAL INC COM / CUSIP: 02116A104 / Symbol: AEI							
07/14/21	100.000	525.00	Various	601.48	...	-76.48	Sale
ALZAMEND NEURO INC COM / CUSIP: 02262M308 / Symbol: ALZN							
11/05/21	750.000	2,062.48	11/05/21	2,369.93	...	-307.45	Sale
AMAZON COM INC COM / CUSIP: 023135106 / Symbol: AMZN							
08/06/21	1.000	3,336.99	07/14/21	3,715.00	378.01 W	0.00	Sale
08/13/21	3.000	9,860.16	Various	11,130.69	...	-1,270.53	Total of 3 transactions
08/13/21	2.000	6,573.75	07/14/21	7,430.00	856.25 W	0.00	Sale
08/26/21	1.000	3,292.48	07/14/21	3,710.23	...	-417.75	Sale
09/09/21	4.000	13,924.56	Various	16,075.18	...	-2,150.62	Total of 4 transactions
	Security total:	36,987.94		42,061.10	1,234.26 W	-3,838.90	
AMERICAN AIRLINES GROUP INC COM / CUSIP: 02376R102 / Symbol: AAL							
02/10/21	1,200.000	20,915.52	Various	22,957.58	...	-2,042.06	Sale
AMPLITECH GROUP INC 1:20 R/S 2/17/21 03211Q200 / CUSIP: 03211Q101 / Symbol:							
01/28/21	10,450.000	7,235.35	Various	8,086.02	...	-850.67	Total of 3 transactions
01/28/21	9,550.000	6,216.67	Various	7,072.11	624.23 W	-231.21	Total of 2 transactions
	Security total:	13,452.02		15,158.13	624.23 W	-1,081.88	
APPLE INC COM / CUSIP: 037833100 / Symbol: AAPL							
08/09/21	26.000	3,745.98	07/14/21	3,868.54	122.56 W	0.00	Sale
08/13/21	84.000	12,511.74	07/14/21	12,506.15	...	5.59	Sale
10/04/21	100.000	13,859.90	Various	15,013.06	...	-1,153.16	Total of 2 transactions
12/16/21	102.000	17,506.16	Various	15,204.27	...	2,301.89	Sale
12/20/21	15.000	2,541.80	Various	2,234.81	...	306.99	Total of 3 transactions
	Security total:	50,165.58		48,826.83	122.56 W	1,461.31	
AQUABOUTY TECHNOLOGIES INC COM / CUSIP: 03842K200 / Symbol: AQB							
02/16/21	200.000	1,753.94	02/12/21	1,974.07	...	-220.13	Sale
02/16/21	550.000	4,812.32	02/12/21	5,120.50	112.07 W	-196.11	Sale
	Security total:	6,566.26		7,094.57	112.07 W	-416.24	

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Account 277896547

Proceeds from Broker and Barter Exchange Transactions

2021 1099-B* OMB No. 1545-0715

(continued)

02/17/2022

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)

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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
ARCADIA BIOSCIENCES INC COM / CUSIP: 039014204 / Symbol: RKDA							
05/06/21	26.000	64.48	03/31/21	83.69	...	-19.21	Sale
ARTIFICIAL INTELLIGENC TECH SO COM / CUSIP: 04316D201 / Symbol: AITX							
05/06/21	8,500.000	655.04	Various	1,531.80	...	-876.76	Sale
ASENSUS SURGICAL INC COM / CUSIP: 04367G103 / Symbol: ASXC							
04/06/21	250.000	795.00	03/02/21	997.25	...	-202.25	Sale
ASHFORD HOSPITALITY TRUST INC 1:10 R/S 7/19/21 044103869 / CUSIP: 044103877 / Symbol:							
06/02/21	260.000	1,559.96	06/01/21	1,318.60	...	241.36	Sale
07/02/21	500.000	1,544.93	06/08/21	3,219.80	...	-1,674.87	Sale
07/02/21	50.000	202.10	06/08/21	302.50	100.40 W	0.00	Sale
	Security total:	3,306.99		4,840.90	100.40 W	-1,433.51	
ATOSSA THERAPEUTICS INC COM / CUSIP: 04962H506 / Symbol: ATOS							
03/26/21	500.000	1,089.98	03/01/21	1,505.05	...	-415.07	Sale
06/09/21	100.000	525.11	Various	613.95	...	-88.84	Sale
	Security total:	1,615.09		2,119.00	...	-503.91	
AULT GLOBAL HOLDINGS INC N/C 12/13/21 09175M101 / CUSIP: 05150X104 / Symbol: DPW							
02/22/21	1,000.000	5,424.76	02/16/21	6,280.00	256.57 W	-598.67	Sale
03/02/21	300.000	1,253.95	02/18/21	2,259.07	...	-1,005.12	Sale
07/14/21	328.000	787.19	Various	955.74	...	-168.55	Sale
	Security total:	7,465.90		9,494.81	256.57 W	-1,772.34	
AURINIA PHARMACEUTICALS INC COM / CUSIP: 05156V102 / Symbol: AUPH							
01/26/21	1,400.000	24,653.29	01/25/21	28,961.97	...	-4,308.68	Sale
AURORA CANNABIS INC COM / CUSIP: 05156X884 / Symbol: ACB							
11/17/21	250.000	1,962.49	11/12/21	2,122.50	...	-160.01	Sale
AXSOME THERAPEUTICS INC COM / CUSIP: 05464T104 / Symbol: AXSM							
05/21/21	100.000	5,466.25	05/11/21	5,689.99	...	-223.74	Sale
BIT MINING LTD ADR / CUSIP: 055474100 / Symbol: BTCM							
06/11/21	50.000	385.93	06/10/21	433.18	...	-47.25	Sale

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2021 1099-B* OMB No. 1545-0715

(continued)

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BANCO BRADESCO SA ADR SPONSORED / CUSIP: 059460303 / Symbol: BBD							
07/14/21	201.000	986.90	Various	1,071.76	...	-84.86	Sale
BED BATH AND BEYOND COM / CUSIP: 075896100 / Symbol: BBBY							
07/14/21	25.000	714.25	06/02/21	892.00	...	-177.75	Sale
11/29/21	300.000	6,073.34	Various	7,587.27	...	-1,513.93	Total of 2 transactions
11/29/21	125.000	2,533.73	11/02/21	2,918.75	385.02 W	0.00	Sale
	Security total:	9,321.32		11,398.02	385.02 W	-1,691.68	
BENITEC BIOPHARMA INC COM / CUSIP: 08205P100 / Symbol: BNTC							
06/09/21	100.000	499.99	05/13/21	483.93	...	16.06	Sale
BIOVIE INC COM CL A / CUSIP: 09074F207 / Symbol: BIVI							
05/06/21	2.000	26.87	03/09/21	43.36	...	-16.49	Sale
BIONANO GENOMICS INC COM / CUSIP: 09075F107 / Symbol: BNGO							
06/08/21	135.000	1,102.93	Various	827.26	...	275.67	Sale
BIOLASE INC COM / CUSIP: 090911207 / Symbol: BIOL							
03/26/21	1,000.000	900.18	02/23/21	968.65	...	-68.47	Sale
07/14/21	600.000	364.19	05/20/21	447.63	...	-83.44	Sale
	Security total:	1,264.37		1,416.28	...	-151.91	
BLUE OWL CAPITAL INC COM CL A / CUSIP: 09581B103 / Symbol: OWL							
09/20/21	50.000	774.50	07/06/21	634.05	...	140.45	Sale
BONSO ELECTRONICS COM / CUSIP: 098529308 / Symbol: BNSO							
04/08/21	70.000	634.89	04/07/21	729.00	...	-94.11	Sale
BRIACELL THERAPEUTICS INC COM / CUSIP: 10778Y302 / Symbol: BCTX							
06/02/21	100.000	799.99	06/02/21	638.00	...	161.99	Sale
12/01/21	100.000	1,079.99	12/01/21	1,241.01	...	-161.02	Sale
12/01/21	100.000	1,080.13	12/01/21	1,176.00	95.87 W	0.00	Sale
	Security total:	2,960.11		3,055.01	95.87 W	0.97	
BSQUARE CORP COM / CUSIP: 11776U300 / Symbol: BSQR							
07/14/21	50.000	187.83	07/06/21	286.97	...	-99.14	Sale

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Account 277896547

Proceeds from Broker and Barter Exchange Transactions

2021 1099-B* OMB No. 1545-0715

(continued)

02/17/2022

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

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CBDMD INC COM / CUSIP: 12482W101 / Symbol: YCBD							
04/08/21	55.000	196.90	03/15/21	256.14	...	-59.24	Sale
04/08/21	50.000	178.99	Various	228.16	3.75 W	-45.42	Sale
	Security total:	375.89		484.30	3.75 W	-104.66	
CF FINANCE ACQUISTN CORP III 1:1 EXC 8/18/21 008183105 / CUSIP: 12529D108 / Symbol: CFAC							
04/08/21	25.000	248.75	02/18/21	286.75	...	-38.00	Sale
05/06/21	50.000	499.00	02/18/21	573.50	...	-74.50	Sale
	Security total:	747.75		860.25	...	-112.50	
CALADRIUS BIOSCIENCES INC COM / CUSIP: 128058203 / Symbol: CLBS							
05/06/21	200.000	300.98	03/03/21	415.98	...	-115.00	Sale
CAMBER ENERGY INC COM / CUSIP: 13200M508 / Symbol: CEI							
01/28/21	2,000.000	2,360.31	01/27/21	2,332.50	...	27.81	Sale
02/19/21	1,000.000	2,132.84	Various	2,780.00	...	-647.16	Total of 2 transactions
10/07/21	400.000	699.95	10/07/21	529.43	...	170.52	Sale
	Security total:	5,193.10		5,641.93	...	-448.83	
CANAAN INC ADR / CUSIP: 134748102 / Symbol: CAN							
06/11/21	200.000	1,726.41	Various	2,076.22	...	-349.81	Sale
CANGO INC ADR / CUSIP: 137586103 / Symbol: CANG							
07/14/21	500.000	2,429.98	06/08/21	2,899.54	...	-469.56	Sale
08/09/21	1.000	3.96	06/08/21	5.80	...	-1.84	Sale
	Security total:	2,433.94		2,905.34	...	-471.40	
CANOPY GROWTH CORPORATION COM / CUSIP: 138035100 / Symbol: CGC							
11/17/21	250.000	3,409.98	11/12/21	3,742.48	...	-332.50	Sale
CANOO INC COM CL A / CUSIP: 13803R102 / Symbol: GOEV							
06/08/21	61.000	679.53	Various	495.94	...	183.59	Sale
CARLOTZ INC COM CL A / CUSIP: 142552108 / Symbol: LOTZ							
06/01/21	100.000	455.24	04/23/21	744.99	...	-289.75	Sale

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CARNIVAL CORP UNITS / CUSIP: 143658300 / Symbol: CCL							
09/15/21	205.000	4,677.62	Various	5,263.00	...	-585.38	Total of 2 transactions
CATABASIS PHARMACEUTICALS INC 1:6 R/S 8/20/21 14875P305 / CUSIP: 14875P206 / Symbol:							
03/26/21	250.000	730.97	02/19/21	945.03	...	-214.06	Sale
CATO CORP COM CL A / CUSIP: 149205106 / Symbol: CATO							
09/20/21	20.000	333.20	Various	313.55	...	19.65	Total of 2 transactions
CBAK ENERGY TECHNOLOGY INC COM / CUSIP: 14986C102 / Symbol: CBAT							
05/06/21	900.000	3,680.96	04/06/21	4,760.03	...	-1,079.07	Sale
05/06/21	100.000	409.01	04/06/21	517.64	108.63 W	0.00	Sale
07/02/21	506.000	2,150.48	06/08/21	2,443.95	289.81 W	-3.66	Sale
07/14/21	500.000	2,000.03	06/08/21	2,754.81	...	-754.78	Sale
	Security total:	8,240.48		10,476.43	398.44 W	-1,837.51	
CELLECTAR BIOSCIENCES INC COM / CUSIP: 15117F500 / Symbol: CLRB							
02/24/21	650.000	1,371.41	02/19/21	1,834.97	...	-463.56	Sale
02/24/21	100.000	211.49	02/19/21	273.00	61.51 W	0.00	Sale
	Security total:	1,582.90		2,107.97	61.51 W	-463.56	
CELSION CORPORATION COM / CUSIP: 15117N503 / Symbol: CLSN							
02/16/21	1,000.000	2,310.33	02/12/21	2,614.29	303.96 W	0.00	Sale
03/02/21	1,000.000	2,210.97	02/22/21	3,353.96	...	-1,142.99	Sale
	Security total:	4,521.30		5,968.25	303.96 W	-1,142.99	
CENTERPOINT ENERGY INC COM / CUSIP: 15189T107 / Symbol: CNP							
11/02/21	50.000	1,300.48	Various	1,191.93	...	108.55	Sale
CHEESECAKE FACTORY COM / CUSIP: 163072101 / Symbol: CAKE							
05/18/21	10.000	580.00	04/06/21	589.80	...	-9.80	Sale
CHINA XD PLASTICS COM / CUSIP: 16948F107 / Symbol: CXDC							
10/27/21	2,600.000	2,652.98	10/27/21	4,357.00	...	-1,704.02	Sale

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CHINA HGS REAL ESTATE INC COM / CUSIP: 16948W209 / Symbol: HGSH							
05/06/21	100.000	190.00	03/31/21	229.00	39.00 W	0.00	Sale
06/01/21	101.000	202.04	05/18/21	286.09	...	-84.05	Sale
	Security total:	392.04		515.09	39.00 W	-84.05	
CHURCHILL CAPITAL CORP IV 1:1 EXC 7/26/21 549498103 / CUSIP: 171439102 / Symbol:							
01/29/21	42.000	958.84	01/25/21	1,135.02	176.18 W	0.00	Sale
02/16/21	500.000	25,699.37	02/11/21	17,776.18	...	7,923.19	Sale
	Security total:	26,658.21		18,911.20	176.18 W	7,923.19	
CIDARA THERAPEUTICS INC COM / CUSIP: 171757107 / Symbol: CDTX							
05/06/21	550.000	1,099.98	Various	1,542.49	...	-442.51	Sale
CINEDIGM CORPORATION COM / CUSIP: 172406209 / Symbol: CIDM							
01/29/21	1,000.000	1,229.85	01/27/21	1,357.60	127.75 W	0.00	Sale
02/05/21	300.000	515.95	02/04/21	563.33	47.38 W	0.00	Sale
02/18/21	1,000.000	1,899.84	02/08/21	2,256.70	...	-356.86	Sale
05/06/21	502.000	602.39	Various	788.54	...	-186.15	Sale
	Security total:	4,248.03		4,966.17	175.13 W	-543.01	
CITIUS PHARMACEUTICALS INC COM / CUSIP: 17322U207 / Symbol: CTXR							
06/15/21	500.000	1,499.93	02/19/21	947.50	...	552.43	Sale
CLEAN ENERGY FUELS CORPORATION COM / CUSIP: 184499101 / Symbol: CLNE							
02/08/21	1,000.000	17,299.50	02/08/21	14,840.00	...	2,459.50	Sale
CLEARONE INC COM / CUSIP: 18506U104 / Symbol: CLRO							
09/15/21	500.000	1,224.98	07/06/21	1,269.95	...	-44.97	Sale
CLOVER HEALTH INVESTMENTS CORP COM CL A / CUSIP: 18914F103 / Symbol: CLOV							
09/15/21	100.000	816.00	09/03/21	888.86	...	-72.86	Sale
CNS PHARMACEUTICALS INC COM / CUSIP: 18978H102 / Symbol: CNSP							
02/05/21	1,000.000	3,469.90	02/04/21	2,800.00	...	669.90	Sale

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COCRYSTAL PHARMA INC COM / CUSIP: 19188J300 / Symbol: COCP							
05/06/21	50.000	69.50	04/07/21	79.93	10.43 W	0.00	Sale
07/14/21	1,000.000	1,079.97	05/13/21	1,130.33	...	-50.36	Sale
	Security total:	1,149.47		1,210.26	10.43 W	-50.36	
COHBAR INC COM / CUSIP: 19249J109 / Symbol: CWBR							
02/05/21	2,501.000	4,601.69	01/26/21	5,777.37	...	-1,175.68	Sale
COINBASE GLOBAL INC COM CL A / CUSIP: 19260Q107 / Symbol: COIN							
06/02/21	15.000	3,598.28	Various	4,544.85	...	-946.57	Total of 2 transactions
COMSOVEREIGN HLDG COM / CUSIP: 205650203 / Symbol: COMS							
02/25/21	1,000.000	3,921.56	02/18/21	5,165.86	...	-1,244.30	Sale
11/19/21	1,500.000	1,874.81	11/17/21	2,204.85	...	-330.04	Sale
	Security total:	5,796.37		7,370.71	...	-1,574.34	
COMSTOCK MINING INC COM / CUSIP: 205750300 / Symbol: LODE							
02/04/21	3,000.000	5,459.82	02/01/21	10,738.50	...	-5,278.68	Sale
CONSOL ENERGY INC COM / CUSIP: 20854L108 / Symbol: CEIX							
09/20/21	1.000	23.28	07/14/21	19.72	...	3.56	Sale
CONTANGO OIL & GAS CO .2:1 EXC 12/8/21 44952J104 / CUSIP: 21075N204 / Symbol: MCF							
11/02/21	200.000	836.00	09/22/21	809.98	...	26.02	Sale
CONTEXTLOGIC INC COM CL A / CUSIP: 21077C107 / Symbol: WISH							
06/08/21	611.000	7,331.89	06/08/21	5,713.50	...	1,618.39	Sale
07/14/21	55.000	548.84	06/14/21	577.80	...	-28.96	Sale
	Security total:	7,880.73		6,291.30	...	1,589.43	
CORVUS PHARMACEUTICALS INC COM / CUSIP: 221015100 / Symbol: CRVS							
03/02/21	1,000.000	3,329.96	02/22/21	4,039.90	...	-709.94	Sale
COTY INC COM CL A / CUSIP: 222070203 / Symbol: COTY							
05/21/21	295.000	2,489.78	Various	2,883.73	...	-393.95	Sale
CUMBERLAND PHARMACEUTICALS INC COM / CUSIP: 230770109 / Symbol: CPIX							
12/01/21	200.000	780.00	11/29/21	909.25	...	-129.25	Sale

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CURIS INC COM / CUSIP: 231269200 / Symbol: CRIS							
07/14/21	100.000	743.00	06/14/21	810.50	...	-67.50	Sale
DENISON MINES CORPORATION COM / CUSIP: 248356107 / Symbol: DNN							
06/08/21	1,500.000	2,114.96	06/04/21	1,993.85	...	121.11	Sale
DIGITAL ALLY INC COM / CUSIP: 25382P208 / Symbol: DGLY							
01/29/21	1,000.000	2,579.82	01/28/21	2,890.00	...	-310.18	Sale
03/26/21	4.000	6.68	03/02/21	10.38	...	-3.70	Sale
03/26/21	71.000	118.92	03/02/21	151.44	1.82 W	-30.70	Sale
11/22/21	1,000.000	1,299.97	11/19/21	1,482.26	...	-182.29	Sale
	Security total:	4,005.39		4,534.08	1.82 W	-526.87	
DIRTT ENVIRONMENTAL SOLUTIONS COM / CUSIP: 25490H106 / Symbol: DRTT							
09/20/21	150.000	487.50	Various	506.39	...	-18.89	Sale
DOCUMENT SECURITIE N/C 10/1/21 26253C102 / CUSIP: 25614T309 / Symbol:							
02/10/21	600.000	2,462.17	Various	2,340.00	...	122.17	Total of 6 transactions
05/06/21	402.000	1,137.60	Various	1,567.46	...	-429.86	Sale
	Security total:	3,599.77		3,907.46	...	-307.69	
DOLPHIN ENTERTAINMENT INC COM / CUSIP: 25686H209 / Symbol: DLPN							
04/07/21	100.000	1,262.98	03/29/21	1,535.99	...	-273.01	Sale
DONNELLEY RR & SONS CO COM / CUSIP: 257867200 / Symbol: RRD							
05/20/21	500.000	2,749.93	02/24/21	1,995.00	...	754.93	Sale
DUNE ACQUISITION CORP COM CL A / CUSIP: 265334102 / Symbol: DUNE							
06/02/21	11.000	106.26	Various	107.41	...	-1.15	Sale
EASTMAN KODAK CO COM / CUSIP: 277461406 / Symbol: KODK							
06/08/21	50.000	547.49	06/02/21	420.92	...	126.57	Sale
1847 GOEDEKER INC COM / CUSIP: 28252C109 / Symbol: GOED							
12/01/21	300.000	650.99	11/29/21	664.50	...	-13.51	Sale

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8X8 INC NEW COM / CUSIP: 282914100 / Symbol: EGHT							
06/01/21	50.000	1,160.55	05/18/21	1,219.99	...	-59.44	Sale
08/19/21	50.000	1,173.99	05/18/21	1,219.98	...	-45.99	Sale
	Security total:	2,334.54		2,439.97	...	-105.43	
ELECTRAMECCANICA VEHS CORP COM / CUSIP: 284849205 / Symbol: SOLO							
05/06/21	1.000	3.55	04/07/21	5.04	1.49 W	0.00	Sale
06/24/21	500.000	2,134.93	06/02/21	2,150.00	15.07 W	0.00	Sale
07/14/21	1,000.000	3,566.06	Various	4,326.56	...	-760.50	Total of 2 transactions
	Security total:	5,704.54		6,481.60	16.56 W	-760.50	
ELECTRIC CAR COMPANY INC COM / CUSIP: 28486A101 / Symbol: ELCR							
02/01/21	1,045,000.000	2,599.54	01/27/21	4,998.40	...	-2,398.86	Sale
ELECTRO-SENSORS INC COM / CUSIP: 285233102 / Symbol: ELSE							
05/06/21	100.000	441.04	04/08/21	602.00	...	-160.96	Sale
ELECTROCORE INC COM / CUSIP: 28531P103 / Symbol: ECOR							
04/08/21	150.000	292.49	Various	367.50	...	-75.01	Total of 2 transactions
05/06/21	100.000	153.00	02/24/21	245.00	...	-92.00	Sale
	Security total:	445.49		612.50	...	-167.01	
ENERGY FUELS INC COM / CUSIP: 292671708 / Symbol: UUUU							
02/05/21	5,000.000	24,013.34	Various	23,899.30	...	114.04	Total of 2 transactions
ENERGOUS CORP COM / CUSIP: 29272C103 / Symbol: WATT							
05/06/21	100.000	257.00	02/19/21	665.00	...	-408.00	Sale
ENGLOBAL CORPORATION COM / CUSIP: 293306106 / Symbol: ENG							
06/11/21	25.000	69.00	06/09/21	78.25	...	-9.25	Sale
ENVERIC BIOSCI COM / CUSIP: 29405E109 / Symbol: ENVB							
06/01/21	500.000	1,125.23	05/20/21	1,400.00	60.45 W	-214.32	Sale
06/30/21	110.000	258.50	06/28/21	363.15	...	-104.65	Sale
	Security total:	1,383.73		1,763.15	60.45 W	-318.97	

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TD Ameritrade Clearing, Inc.

Account 277896547

Proceeds from Broker and Barter Exchange Transactions

2021 1099-B* OMB No. 1545-0715

(continued)

02/17/2022

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

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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)	7- Loss not allowed (X) also not reported (Z)	Gain or loss(-) & Additional information
EQUINOR ASA ADR / CUSIP: 29446M102 / Symbol: EQNR							
07/14/21	50.000	1,021.69	05/21/21	1,071.00	...	-49.31	Sale
EQY LIFESTYLE PROP INC COM USD0.01 / CUSIP: 29472R108 / Symbol: ELS							
09/20/21	1.000	81.94	07/14/21	79.13	...	2.81	Sale
ESPORTS ENTERTAINMENT GRP INC COM / CUSIP: 29667K306 / Symbol: GMBL							
03/23/21	500.000	8,328.52	Various	10,750.00	...	-2,421.48	Total of 3 transactions
EXPRESS INC COM / CUSIP: 30219E103 / Symbol: EXPR							
01/26/21	2,000.000	6,019.83	01/25/21	5,225.00	...	794.83	Sale
02/01/21	500.000	2,649.88	01/29/21	2,625.00	...	24.88	Sale
05/26/21	100.000	449.99	05/18/21	404.99	...	45.00	Sale
07/14/21	120.000	590.40	06/02/21	680.39	...	-89.99	Sale
	Security total:	9,710.10		8,935.38	...	774.72	
EXTREME NETWORKS COM / CUSIP: 30226D106 / Symbol: EXTR							
02/05/21	2,000.000	17,959.56	02/01/21	17,481.79	...	477.77	Sale
EXXON MOBIL CORPORATION COM / CUSIP: 30231G102 / Symbol: XOM							
11/29/21	15.000	923.25	11/22/21	936.90	...	-13.65	Sale
EYEGATE PHARMACEUTICALS INC N/C 11/8/21 49721T101 / CUSIP: 30233M503 / Symbol: EYEG							
06/01/21	100.000	420.00	06/01/21	450.28	...	-30.28	Sale
FTC SOLAR INC COM / CUSIP: 30320C103 / Symbol: FTCL							
06/01/21	25.000	264.00	04/28/21	369.25	...	-105.25	Sale
FLEXSHOPPER INC COM / CUSIP: 33939J303 / Symbol: FPAY							
07/14/21	101.000	262.60	06/02/21	294.93	...	-32.33	Sale
FORD MOTOR CO COM / CUSIP: 345370860 / Symbol: F							
02/05/21	750.000	8,634.25	Various	8,197.43	...	436.82	Total of 2 transactions

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2021 1099-B* OMB No. 1545-0715

(continued)

02/17/2022

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FORESIGHT AUTONOMOUS HLDGS LTD ADR SPONSORED / CUSIP: 345523104 / Symbol: FRSX							
05/06/21	500.000	1,954.93	04/27/21	2,775.00	...	-820.07	Sale
07/02/21	55.000	222.75	06/08/21	271.55	48.80 W	0.00	Sale
07/14/21	500.000	1,744.98	06/08/21	2,532.28	...	-787.30	Sale
11/02/21	300.000	971.99	10/22/21	944.97	...	27.02	Sale
	Security total:	4,894.65		6,523.80	48.80 W	-1,580.35	
FORUM MERGER IV CORP UNIT 1 COM CL A & 1/4 WT EX / CUSIP: 349875203 / Symbol: FMIVU							
06/02/21	1.000	9.92	04/05/21	10.15	...	-0.23	Sale
FRANKLIN UNIVERSAL TRUST SH BEN INT / CUSIP: 355145103 / Symbol: FT							
11/29/21	250.000	2,034.99	11/16/21	2,069.81	...	-34.82	Sale
FREELINE THERAPEUTICS HLDGS PL ADR / CUSIP: 35655L107 / Symbol: FRLN							
08/19/21	100.000	312.49	08/12/21	419.00	...	-106.51	Sale
FUEL TECH INC COM / CUSIP: 359523107 / Symbol: FTEK							
05/24/21	600.000	1,196.92	05/13/21	1,441.35	...	-244.43	Sale
FUELCELL ENERGY INC COM / CUSIP: 35952H601 / Symbol: FCEL							
05/06/21	341.000	2,626.26	03/26/21	4,546.14	...	-1,919.88	Sale
11/02/21	135.000	1,234.18	09/23/21	937.10	...	297.08	Sale
	Security total:	3,860.44		5,483.24	...	-1,622.80	
FUBOTV INC COM / CUSIP: 35953D104 / Symbol: FUBO							
05/21/21	100.000	2,049.99	05/11/21	2,142.00	41.40 W	-50.61	Sale
09/15/21	50.000	1,337.99	Various	1,544.50	206.51 W	0.00	Sale
11/22/21	75.000	1,589.48	Various	2,397.26	...	-807.78	Total of 2 transactions
	Security total:	4,977.46		6,083.76	247.91 W	-858.39	
GEE GROUP INC COM / CUSIP: 36165A102 / Symbol: JOB							
08/19/21	2,000.000	933.96	04/21/21	1,224.90	...	-290.94	Sale
10/25/21	1,000.000	501.08	10/25/21	566.90	...	-65.82	Sale
	Security total:	1,435.04		1,791.80	...	-356.76	
GALECTIN THERAPEUTICS INC COM / CUSIP: 363225202 / Symbol: GALT							
04/27/21	100.000	413.01	04/08/21	245.00	...	168.01	Sale

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Proceeds from Broker and Barter Exchange Transactions

2021 1099-B* OMB No. 1545-0715

(continued)

02/17/2022

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GEMINI THERAPEUTIC COM / CUSIP: 36870G105 / Symbol: GMTX							
04/06/21	52.000	690.31	03/12/21	926.70	...	-236.39	Sale
GENETIC TECH ADR SPONSORED / CUSIP: 37185R307 / Symbol: GENE							
04/05/21	1,000.000	4,274.91	Various	4,750.00	...	-475.09	Total of 2 transactions
04/06/21	1,000.000	4,309.91	Various	4,750.00	...	-440.09	Total of 2 transactions
06/10/21	250.000	1,018.16	06/09/21	1,164.93	...	-146.77	Sale
	Security total:	9,602.98		10,664.93	...	-1,061.95	
GENFIT ADR SPONSORED / CUSIP: 372279109 / Symbol: GNFT							
02/11/21	1,000.000	5,829.75	02/10/21	7,260.00	...	-1,430.25	Sale
GENIUS BRANDS INTL INC COM / CUSIP: 37229T301 / Symbol: GNUS							
05/06/21	51.000	79.56	03/24/21	147.57	...	-68.01	Sale
GERDAU SA ADR SPONSORED / CUSIP: 373737105 / Symbol: GGB							
08/19/21	300.000	1,536.07	03/31/21	1,588.15	...	-52.08	Sale
GEVO INC COM / CUSIP: 374396406 / Symbol: GEVO							
07/19/21	200.000	1,126.01	Various	1,175.98	...	-49.97	Total of 2 transactions
08/13/21	100.000	527.00	05/14/21	587.99	...	-60.99	Sale
08/19/21	200.000	1,010.17	05/14/21	1,175.98	...	-165.81	Sale
	Security total:	2,663.18		2,939.95	...	-276.77	
GLOBAL BLOOD THERAPEUTICS INC COM / CUSIP: 37890U108 / Symbol: GBT							
02/05/21	300.000	14,942.63	02/03/21	15,258.00	...	-315.37	Sale
GLOBALSTAR INC COM / CUSIP: 378973408 / Symbol: GSAT							
02/17/21	1,000.000	2,209.83	02/16/21	2,560.00	...	-350.17	Sale
GRAN TIERRA ENERGY INC COM / CUSIP: 38500T101 / Symbol: GTE							
03/02/21	1,100.000	857.76	02/16/21	1,210.00	...	-352.24	Sale
GRUPO SUPERVIELLE S.A. ADR SPONSORED / CUSIP: 40054A108 / Symbol: SUPV							
02/25/21	1,000.000	1,929.87	02/19/21	2,750.00	...	-820.13	Sale
GULF ISLAND FABRICATION INC COM / CUSIP: 402307102 / Symbol: GIFI							
05/21/21	150.000	714.00	05/20/21	778.96	...	-64.96	Sale

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HQ GLOBAL EDUCATION INC COM / CUSIP: 40431B100 / Symbol: HQGE							
12/20/21	50,000.000	32.10	02/11/21	2,789.45	...	-2,757.35	Sale
HTG MOLECULAR DIAGNOSTICS INC COM / CUSIP: 40434H203 / Symbol: HTGM							
04/08/21	50.000	249.99	04/06/21	312.50	...	-62.51	Sale
05/06/21	50.000	201.00	04/06/21	312.50	...	-111.50	Sale
	Security total:	450.99		625.00	...	-174.01	
HALL OF FAME RESORT & ENTERTAI COM / CUSIP: 40619L102 / Symbol: HOFV							
03/26/21	26.000	134.94	03/24/21	180.93	...	-45.99	Sale
07/14/21	501.000	1,614.30	06/08/21	2,252.08	...	-637.78	Sale
	Security total:	1,749.24		2,433.01	...	-683.77	
HALLIBURTON CO COM / CUSIP: 406216101 / Symbol: HAL							
07/14/21	108.000	2,341.43	Various	2,374.84	...	-33.41	Sale
HEPION PHARMACEUTICALS INC COM / CUSIP: 426897104 / Symbol: HEPA							
05/06/21	500.000	791.19	02/19/21	1,180.00	...	-388.81	Sale
HERITAGE GLOBAL INC COM / CUSIP: 42727E103 / Symbol: HGBL							
03/31/21	250.000	692.70	03/02/21	841.68	...	-148.98	Sale
06/01/21	250.000	712.50	03/02/21	841.67	...	-129.17	Sale
	Security total:	1,405.20		1,683.35	...	-278.15	
HERTZ GLOBAL HOLDINGS INC MRG @.09044939:1 7/1/21 / CUSIP: 42806J106 / Symbol: HTZGQ							
07/01/21	1,000.000	1,530.00	05/12/21	0.00	...	1,530.00	Merger
HEWLETT PACKARD ENTERPRISE CO COM / CUSIP: 42824C109 / Symbol: HPE							
07/14/21	55.000	772.75	Various	835.87	...	-63.12	Sale
HIGHPOINT RESOURCES CORP 0.11464:1 EXC 4/5/21 097793400 / CUSIP: 43114K207 / Symbol: HPR							
02/25/21	1,000.000	10,419.83	02/16/21	11,970.00	...	-1,550.17	Sale
HIVE BLOCKCHAIN TECH LTD COM / CUSIP: 43366H100 / Symbol: HIVE							
11/22/21	750.000	3,011.14	11/19/21	3,149.78	...	-138.64	Sale
HUDSON TECHNOLOGIES INC COM / CUSIP: 444144109 / Symbol: HDSN							
01/27/21	10,000.000	15,714.46	01/27/21	17,499.98	...	-1,785.52	Sale

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HUNTINGTON BANCSHARES INC COM / CUSIP: 446150104 / Symbol: HBAN							
07/14/21	100.000	1,398.99	Various	1,434.77	...	-35.78	Sale
HYLIION HOLDINGS CORP COM / CUSIP: 449109107 / Symbol: HYLN							
02/11/21	1,200.000	24,902.38	Various	24,532.00	...	370.38	Total of 3 transactions
IBIO INC COM / CUSIP: 451033203 / Symbol: IBIO							
06/01/21	1,000.000	1,450.07	05/07/21	1,954.91	...	-504.84	Sale
ICONIX BRAND GROUP INC CSH MRG \$3.15/SH 8/5/21 / CUSIP: 451055305 / Symbol: ICON							
08/05/21	100.000	315.00	07/06/21	312.99	...	2.01	Merger
IDEANOMICS INC COM / CUSIP: 45166V106 / Symbol: IDEX							
05/06/21	260.000	668.40	Various	901.70	...	-233.30	Total of 2 transactions
09/20/21	30.000	62.40	08/30/21	73.80	...	-11.40	Sale
11/02/21	25.000	51.50	10/29/21	51.88	...	-0.38	Sale
11/02/21	550.000	1,132.98	10/29/21	1,117.15	0.25 W	16.08	Sale
	Security total:	1,915.28		2,144.53	0.25 W	-229.00	
IMMUTEP LTD ADR SPONSORED / CUSIP: 45257L108 / Symbol: IMMP							
05/06/21	100.000	313.00	04/08/21	374.00	...	-61.00	Sale
INSIGNIA SYSTEMS INC COM / CUSIP: 45765Y204 / Symbol: ISIG							
07/13/21	50.000	464.99	Various	385.72	...	79.27	Sale
INSPIREMD INC COM / CUSIP: 45779A846 / Symbol: NSPR							
06/02/21	1.000	5.21	03/18/21	8.33	...	-3.12	Sale
INSPIREMD INC 1:15 R/S 4/27/21 45779A846 / CUSIP: 45779A853 / Symbol:							
02/09/21	1,000.000	1,080.96	02/08/21	1,390.00	...	-309.04	Sale
INNSUITES HOSPITALITY TRUST SBI NPV / CUSIP: 457919108 / Symbol: IHT							
05/11/21	1,100.000	6,439.83	Various	5,524.20	...	915.63	Total of 6 transactions
06/08/21	470.000	5,757.41	05/21/21	2,924.30	...	2,833.11	Sale
	Security total:	12,197.24		8,448.50	...	3,748.74	
INTEGRATED VENTURES INC COM / CUSIP: 45826P200 / Symbol: INTV							
05/06/21	950.000	235.19	04/07/21	317.31	...	-82.12	Sale

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INVESCO MORTGAGE CAPITAL INC COM / CUSIP: 46131B100 / Symbol: IVR							
05/06/21	500.000	1,794.98	02/19/21	1,779.95	...	15.03	Sale
INVIVO THERA HLDGS COM / CUSIP: 46186M506 / Symbol: NVIV							
01/29/21	1,000.000	1,189.85	01/25/21	1,660.00	...	-470.15	Sale
IPSIDY INC 1:30 R/S 6/14/21 46264C206 / CUSIP: 46264C107 / Symbol:							
05/06/21	5,000.000	1,142.94	02/23/21	1,481.95	...	-339.01	Sale
IQIYI INC ADR / CUSIP: 46267X108 / Symbol: IQ							
07/14/21	200.000	2,523.99	Various	2,807.99	...	-284.00	Sale
IT TECH PACKAGING INC COM / CUSIP: 46527C100 / Symbol: ITP							
02/18/21	550.000	676.42	02/16/21	808.00	...	-131.58	Sale
ITAU UNIBANCO HOLDINGS S.A. ADR SPONSORED / CUSIP: 465562106 / Symbol: ITUB							
08/19/21	151.000	836.55	Various	863.49	...	-26.94	Sale
IZEA WORLDWIDE INC COM / CUSIP: 46604H105 / Symbol: IZEA							
05/06/21	300.000	1,017.01	02/16/21	1,520.55	...	-503.54	Sale
JAGUAR HEALTH INC 1:3 R/S 9/8/2021 47010C607 / CUSIP: 47010C409 / Symbol:							
06/08/21	1,000.000	1,819.97	05/07/21	1,309.90	...	510.07	Sale
JUMIA TECHNOLOGIES AG ADR SPONSORED / CUSIP: 48138M105 / Symbol: JMIA							
10/29/21	50.000	869.50	Various	984.59	...	-115.09	Sale
KE HOLDINGS INC ADR / CUSIP: 482497104 / Symbol: BEKE							
12/02/21	100.000	1,824.00	11/09/21	1,999.00	...	-175.00	Sale
KANDI TECHNOLGIES GROUP INC COM / CUSIP: 483709101 / Symbol: KNDI							
05/06/21	100.000	519.12	04/06/21	640.97	...	-121.85	Sale
07/14/21	711.000	3,854.55	Various	4,468.11	...	-613.56	Total of 2 transactions
	Security total:	4,373.67		5,109.08	...	-735.41	

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KEMPHARM INC COM / CUSIP: 488445206 / Symbol: KMPH							
04/05/21	100.000	984.98	03/04/21	1,134.00	...	-149.02	Sale
05/06/21	200.000	1,739.99	03/04/21	2,360.00	...	-620.01	Sale
	Security total:	2,724.97		3,494.00	...	-769.03	
KINDRED BIOSCIENCES INC CSH MRG \$9.25/SH 8/30/21 / CUSIP: 494577109 / Symbol: KIN							
05/06/21	210.000	953.40	Various	1,166.89	...	-213.49	Sale
KIRKLAND'S INC COM / CUSIP: 497498105 / Symbol: KIRK							
06/02/21	350.000	8,374.44	Various	9,873.99	...	-1,499.55	Total of 3 transactions
KL ACQUISITION CORP COM CL A / CUSIP: 49837C109 / Symbol: KLAQ							
06/02/21	31.000	298.22	Various	302.51	...	-4.29	Sale
KOHLS CORPORATION COM / CUSIP: 500255104 / Symbol: KSS							
01/26/21	525.000	23,523.07	Various	19,460.52	...	4,062.55	Total of 4 transactions
KRAFT HEINZ CO COM / CUSIP: 500754106 / Symbol: KHC							
06/14/21	50.000	2,122.99	05/07/21	2,176.81	...	-53.82	Sale
07/14/21	50.000	1,951.75	Various	2,176.80	...	-225.05	Total of 2 transactions
	Security total:	4,074.74		4,353.61	...	-278.87	
LKQ CORPORATION COM / CUSIP: 501889208 / Symbol: LKQ							
02/24/21	10.000	390.80	02/18/21	387.99	...	2.81	Sale
03/25/21	140.000	5,669.95	Various	5,431.86	...	238.09	Total of 2 transactions
04/20/21	350.000	15,241.92	02/18/21	13,578.13	...	1,663.79	Sale
	Security total:	21,302.67		19,397.98	...	1,904.69	
LABOR SMART INC COM / CUSIP: 50541A108 / Symbol: LTNC							
03/25/21	100,000.000	3,744.18	Various	1,226.95	...	2,517.23	Total of 2 transactions
12/20/21	100,000.000	87.10	03/02/21	2,056.95	...	-1,969.85	Sale
	Security total:	3,831.28		3,283.90	...	547.38	
LANNETT CO INC COM / CUSIP: 516012101 / Symbol: LCI							
03/26/21	400.000	2,323.98	03/10/21	2,793.88	112.99 W	-356.91	Sale
04/08/21	100.000	504.00	03/10/21	809.99	...	-305.99	Sale
	Security total:	2,827.98		3,603.87	112.99 W	-662.90	

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Proceeds from Broker and Barter Exchange Transactions

2021 1099-B* OMB No. 1545-0715

(continued)

02/17/2022

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LIFEMD INC COM / CUSIP: 53216B104 / Symbol: LFMD							
05/18/21	76.000	683.99	05/14/21	649.79	...	34.20	Sale
05/21/21	50.000	649.99	05/20/21	583.10	...	66.89	Sale
	Security total:	1,333.98		1,232.89	...	101.09	
LIGHTPATH TECHNOLOGY INC COM CL A / CUSIP: 532257805 / Symbol: LPTH							
04/01/21	100.000	315.03	03/01/21	431.51	...	-116.48	Sale
04/06/21	400.000	1,252.78	03/01/21	1,726.04	...	-473.26	Sale
	Security total:	1,567.81		2,157.55	...	-589.74	
LIGHTNING EMOTORS INCORPORATED COM / CUSIP: 53228T101 / Symbol: ZEV							
08/13/21	100.000	912.00	08/10/21	1,159.99	...	-247.99	Sale
LIVEXLIVE MEDIA INC N/C 10/6/21 53814X102 / CUSIP: 53839L208 / Symbol: LIVX							
03/26/21	101.000	567.48	03/26/21	631.14	...	-63.66	Sale
LIXTE BIOTECHNOLOG COM / CUSIP: 539319202 / Symbol: LIXT							
05/06/21	1.000	2.68	03/24/21	4.00	...	-1.32	Sale
LIZHI INC ADR / CUSIP: 53933L104 / Symbol: LIZI							
02/05/21	100.000	1,609.95	02/05/21	1,670.00	...	-60.05	Sale
LORDSTOWN MOTORS CORP COM CL A / CUSIP: 54405Q100 / Symbol: RIDE							
02/16/21	10.000	253.69	02/10/21	303.10	...	-49.41	Sale
LUCID GROUP INC COM / CUSIP: 549498103 / Symbol: LCID							
12/09/21	100.000	3,649.97	10/28/21	3,196.97	...	453.00	Sale
12/29/21	50.000	1,837.05	Various	1,598.48	...	238.57	Total of 8 transactions
	Security total:	5,487.02		4,795.45	...	691.57	
MICT INC COM / CUSIP: 55328R109 / Symbol: MICT							
03/26/21	1,000.000	2,089.97	02/23/21	2,325.00	...	-235.03	Sale
MP MATERIALS CORP COM CL A / CUSIP: 553368101 / Symbol: MP							
02/25/21	100.000	4,550.46	Various	4,161.82	...	388.64	Total of 4 transactions
05/06/21	400.000	11,855.93	02/17/21	16,647.28	...	-4,791.35	Sale
	Security total:	16,406.39		20,809.10	...	-4,402.71	

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MACY'S INC COM / CUSIP: 55616P104 / Symbol: M							
01/26/21	550.000	8,827.23	Various	5,608.91	...	3,218.32	Sale
05/06/21	300.000	5,132.96	03/12/21	5,540.49	...	-407.53	Sale
	Security total:	13,960.19		11,149.40	...	2,810.79	
MARATHON OIL CORPORATION COM / CUSIP: 565849106 / Symbol: MRO							
08/19/21	112.000	1,199.51	Various	1,265.68	...	-66.17	Sale
MARKER THERAPEUTICS INC COM / CUSIP: 57055L107 / Symbol: MRKR							
07/14/21	1,490.000	3,487.26	Various	4,119.91	...	-632.65	Total of 2 transactions
MEDALIST DIVERSIFIED REIT INC COM USD0.01 / CUSIP: 58403P105 / Symbol: MDRR							
07/02/21	100.000	132.00	06/08/21	175.00	...	-43.00	Sale
MEROE BIOPHARMA GROUP PLC ADR / CUSIP: 589492107 / Symbol: MREO							
02/19/21	150.000	637.47	02/16/21	541.50	...	95.97	Sale
05/06/21	3,950.000	12,640.17	Various	14,650.24	...	-2,010.07	Total of 2 transactions
	Security total:	13,277.64		15,191.74	...	-1,914.10	
MICROSOFT CORP COM / CUSIP: 594918104 / Symbol: MSFT							
02/05/21	100.000	24,168.47	12/22/20	22,437.00	...	1,731.47	Sale
MODERNA INC COM / CUSIP: 60770K107 / Symbol: MRNA							
10/04/21	10.000	3,252.18	Various	4,900.66	1,648.48 W	0.00	Total of 2 transactions
10/22/21	35.000	11,200.29	Various	17,025.16	...	-5,824.87	Sale
	Security total:	14,452.47		21,925.82	1,648.48 W	-5,824.87	
MOGO INC COM / CUSIP: 60800C109 / Symbol: MOGO							
05/06/21	375.000	2,932.49	04/07/21	3,566.90	...	-634.41	Sale
MONEYGRAM INTERNATIONAL INC COM / CUSIP: 60935Y208 / Symbol: MGI							
02/05/21	500.000	4,314.84	02/04/21	4,429.04	...	-114.20	Sale
MOSYS INC N/C 12/20/21 71360T101 / CUSIP: 619718307 / Symbol: MOSY							
06/03/21	201.000	1,607.97	Various	1,028.16	...	579.81	Sale
MUSCLE MAKER INC COM / CUSIP: 627333107 / Symbol: GRIL							
11/02/21	750.000	952.49	11/01/21	1,191.22	...	-238.73	Sale

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MYERS INDUSTRIES INC COM / CUSIP: 628464109 / Symbol: MYE							
09/20/21	30.000	590.56	04/01/21	611.10	...	-20.54	Sale
NIO INC ADR / CUSIP: 62914V106 / Symbol: NIO							
12/02/21	275.000	9,726.70	11/22/21	11,469.49	...	-1,742.79	Sale
NANO DIMENSION LTD ADR SPONSORED / CUSIP: 63008G203 / Symbol: NNDM							
01/29/21	100.000	1,383.96	01/25/21	1,622.00	...	-238.04	Sale
05/06/21	100.000	641.00	03/11/21	1,045.99	...	-404.99	Sale
	Security total:	2,024.96		2,667.99	...	-643.03	
NETGEAR INC COM / CUSIP: 64111Q104 / Symbol: NTGR							
03/03/21	100.000	4,010.05	Various	4,245.00	...	-234.95	Total of 2 transactions
NEW AMERICA ENERGY CORP COM / CUSIP: 641872106 / Symbol: NECA							
12/20/21	280,000.000	155.10	Various	1,459.75	...	-1,304.65	Sale
NEXTDECADE CORPORATION COM / CUSIP: 65342K105 / Symbol: NEXT							
05/06/21	710.000	1,448.38	04/06/21	2,076.07	...	-627.69	Sale
NIKOLA CORPORATION COM / CUSIP: 654110105 / Symbol: NKLA							
05/18/21	100.000	1,399.98	04/22/21	1,104.99	...	294.99	Sale
NOKIA OYJ ADR SPONSORED / CUSIP: 654902204 / Symbol: NOK							
09/20/21	100.000	542.01	02/18/21	412.00	...	130.01	Sale
11/02/21	150.000	835.50	02/18/21	618.00	...	217.50	Sale
	Security total:	1,377.51		1,030.00	...	347.51	
NORDSTROM INC COM / CUSIP: 655664100 / Symbol: JWN							
01/14/21	250.000	9,018.06	Various	7,242.16	...	1,775.90	Total of 2 transactions
NORTONLIFELOCK INC COM / CUSIP: 668771108 / Symbol: NLOK							
04/07/21	100.000	2,178.00	04/05/21	2,190.96	7.00 W	-5.96	Sale
05/06/21	200.000	4,168.46	04/05/21	4,386.82	...	-218.36	Sale
	Security total:	6,346.46		6,577.78	7.00 W	-224.32	
NOVA LIFESTYLE INC COM / CUSIP: 66979P201 / Symbol: NVFY							
03/26/21	10.000	33.81	03/11/21	80.50	...	-46.69	Sale

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NVIDIA CORP COM / CUSIP: 67066G104 / Symbol: NVDA							
12/20/21	8.000	2,192.47	Various	1,779.48	...	412.99	Sale
12/29/21	5.000	1,487.49	08/26/21	1,103.80	...	383.69	Sale
	Security total:	3,679.96		2,883.28	...	796.68	
NUZEE INC COM / CUSIP: 67073S208 / Symbol: NUZE							
04/01/21	250.000	853.82	03/26/21	967.99	114.17 W	0.00	Sale
05/06/21	750.000	2,294.98	03/26/21	3,038.09	...	-743.11	Sale
	Security total:	3,148.80		4,006.08	114.17 W	-743.11	
NXT-ID INC 1:10 R/S 10/18/21 67091J404 / CUSIP: 67091J206 / Symbol:							
02/17/21	1,900.000	6,044.64	Various	3,781.00	...	2,263.64	Total of 2 transactions
04/08/21	50.000	62.99	02/09/21	99.50	...	-36.51	Sale
05/06/21	50.000	38.30	02/09/21	99.50	...	-61.20	Sale
	Security total:	6,145.93		3,980.00	...	2,165.93	
OCEAN POWER TECHNOLOGIES INC COM / CUSIP: 674870506 / Symbol: OPTT							
07/14/21	400.000	817.47	Various	1,025.85	...	-208.38	Total of 3 transactions
OCUGEN INC COM / CUSIP: 67577C105 / Symbol: OCGN							
02/11/21	1,000.000	9,599.67	02/10/21	11,790.00	1,095.17 W	-1,095.16	Sale
02/12/21	500.000	5,249.82	02/11/21	7,215.12	...	-1,965.30	Sale
04/22/21	100.000	977.99	03/31/21	796.00	...	181.99	Sale
	Security total:	15,827.48		19,801.12	1,095.17 W	-2,878.47	
ONCONOVA THERAPEUTICS INC 1:15 R/S 5/21/21 68232V801 / CUSIP: 68232V405 / Symbol:							
02/18/21	1,000.000	1,629.84	02/18/21	1,675.00	...	-45.16	Sale
ONCONOVA THERAPEUTICS INC COM / CUSIP: 68232V801 / Symbol: ONTX							
05/24/21	0.067	0.61	05/20/21	0.89	...	-0.28	Sale
OPGEN INC COM / CUSIP: 68373L307 / Symbol: OPGN							
04/08/21	50.000	132.49	03/09/21	157.00	24.51 W	0.00	Sale
05/06/21	100.000	224.26	03/09/21	353.51	...	-129.25	Sale
	Security total:	356.75		510.51	24.51 W	-129.25	

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OVERSTOCK COM INC DEL COM / CUSIP: 690370101 / Symbol: OSTK							
04/29/21	20.000	1,719.99	04/23/21	1,383.50	...	336.49	Sale
OZOP ENERGY SOLUTIONS INC COM / CUSIP: 692732209 / Symbol: OZSC							
12/20/21	15,000.000	519.26	Various	3,512.40	...	-2,993.14	Sale
PG&E CORP COM / CUSIP: 69331C108 / Symbol: PCG							
07/14/21	50.000	497.50	06/04/21	522.50	...	-25.00	Sale
PALATIN TECHNOLOGIES INC COM / CUSIP: 696077403 / Symbol: PTN							
02/05/21	1,000.000	946.36	02/04/21	1,009.90	63.54 W	0.00	Sale
02/10/21	600.000	738.14	Various	713.58	...	24.56	Total of 6 transactions
02/18/21	3,900.000	3,580.05	02/10/21	4,700.81	...	-1,120.76	Sale
	Security total:	5,264.55		6,424.29	63.54 W	-1,096.20	
PALANTIR TECH INC COM CL A / CUSIP: 69608A108 / Symbol: PLTR							
11/02/21	100.000	2,597.99	Various	2,560.40	...	37.59	Sale
PETROLEO BRASILEIRO SA ADR SPONSORED / CUSIP: 71654V408 / Symbol: PBR							
09/20/21	500.000	4,669.19	Various	4,657.50	...	11.69	Total of 5 transactions
PFIZER INC COM / CUSIP: 717081103 / Symbol: PFE							
12/08/21	20.000	1,024.59	12/01/21	1,097.80	...	-73.21	Sale
PIERIS PHARMACEUTICALS INC COM / CUSIP: 720795103 / Symbol: PIRS							
06/25/21	152.000	759.98	06/24/21	642.79	...	117.19	Sale
PILGRIMS PRIDE CORP COM / CUSIP: 72147K108 / Symbol: PPC							
06/14/21	50.000	1,152.49	05/11/21	1,230.48	...	-77.99	Sale
07/14/21	50.000	1,071.14	05/11/21	1,230.00	...	-158.86	Sale
	Security total:	2,223.63		2,460.48	...	-236.85	
PLANTRONICS INC COM / CUSIP: 727493108 / Symbol: POLY							
04/07/21	32.000	1,203.22	03/12/21	1,368.11	...	-164.89	Sale
POLAR POWER INC COM / CUSIP: 73102V105 / Symbol: POLA							
02/18/21	300.000	4,330.61	Various	5,154.00	...	-823.39	Total of 2 transactions

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PREDICTIVE ONCOLOGY INC COM / CUSIP: 74039M200 / Symbol: POAI							
04/01/21	500.000	596.19	Various	811.39	215.20 W	0.00	Sale
04/06/21	1,500.000	2,010.11	03/02/21	2,694.45	...	-684.34	Sale
	Security total:	2,606.30		3,505.84	215.20 W	-684.34	
PROGENITY INC COM / CUSIP: 74319F107 / Symbol: PROG							
10/26/21	1,000.000	4,699.86	Various	2,518.41	...	2,181.45	Sale
QUDIAN INC ADR / CUSIP: 747798106 / Symbol: QD							
05/06/21	500.000	959.99	03/11/21	1,188.95	...	-228.96	Sale
QUMU CORPORATION COM / CUSIP: 749063103 / Symbol: QUMU							
06/30/21	350.000	1,056.99	06/28/21	1,336.97	79.99 W	-199.99	Sale
07/02/21	200.000	576.00	06/28/21	763.98	...	-187.98	Sale
07/14/21	300.000	817.46	06/28/21	1,223.96	...	-406.50	Sale
	Security total:	2,450.45		3,324.91	79.99 W	-794.47	
RAVE RESTAURANT GROUP INC COM / CUSIP: 754198109 / Symbol: RAVE							
04/07/21	225.000	337.49	03/15/21	436.00	...	-98.51	Sale
REALOGY HLDGS CORP COM / CUSIP: 75605Y106 / Symbol: RLGY							
02/25/21	300.000	4,469.94	02/11/21	5,399.43	...	-929.49	Sale
REDBOX ENTERTAINMENT INC COM CL A / CUSIP: 75724T103 / Symbol: RDBX							
11/04/21	100.000	1,614.98	11/04/21	1,546.75	...	68.23	Sale
REMARK HOLDINGS INC COM / CUSIP: 75955K102 / Symbol: MARK							
10/22/21	2,000.000	5,599.73	10/22/21	3,721.96	...	1,877.77	Sale
10/29/21	750.000	1,544.90	10/29/21	1,672.43	...	-127.53	Sale
	Security total:	7,144.63		5,394.39	...	1,750.24	
RENEO PHARMACEUTIC COM / CUSIP: 75974E103 / Symbol: RPHM							
09/15/21	50.000	381.96	08/30/21	400.00	...	-18.04	Sale
REVOLUTION ACCELERATION ACQSTN 1:1 EXC 7/22/21 084656107 / CUSIP: 76156P106 / Symbol:							
05/06/21	50.000	495.24	02/24/21	647.50	...	-152.26	Sale

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RING ENERGY INC COM / CUSIP: 76680V108 / Symbol: REI							
02/11/21	500.000	1,027.42	02/10/21	1,175.00	...	-147.58	Sale
ROBLOX CORP COM CL A / CUSIP: 771049103 / Symbol: RBLX							
12/20/21	24.000	2,338.07	Various	2,969.68	100.45 W	-531.16	Total of 2 transactions
12/31/21	1.000	103.90	12/08/21	144.25	...	-40.35	Sale
	Security total:	2,441.97		3,113.93	100.45 W	-571.51	
ROCKET COMPANIES INC COM CL A / CUSIP: 77311W101 / Symbol: RKT							
04/07/21	50.000	1,131.59	Various	1,387.65	...	-256.06	Sale
04/07/21	25.000	566.35	03/08/21	646.25	79.90 W	0.00	Sale
	Security total:	1,697.94		2,033.90	79.90 W	-256.06	
ROMEO POWER INC COM / CUSIP: 776153108 / Symbol: RMO							
05/06/21	50.000	376.50	03/10/21	594.70	...	-218.20	Sale
SAFE-T GROUP LTD ADR SPONSORED / CUSIP: 78643B401 / Symbol: SFET							
02/18/21	250.000	524.96	02/11/21	650.00	125.04 W	0.00	Sale
03/02/21	1,000.000	1,859.97	02/22/21	2,344.84	...	-484.87	Sale
05/06/21	10.000	12.60	04/08/21	16.20	...	-3.60	Sale
	Security total:	2,397.53		3,011.04	125.04 W	-488.47	
SCYNEXIS INC COM / CUSIP: 811292200 / Symbol: SCYX							
06/02/21	60.000	512.37	06/02/21	642.60	...	-130.23	Sale
SECOND SIGHT MEDICAL PRODUCTS COM / CUSIP: 81362J209 / Symbol: EYES							
11/17/21	400.000	1,111.98	11/16/21	1,176.95	...	-64.97	Sale
SENSEONICS HOLDINGS INC COM / CUSIP: 81727U105 / Symbol: SENS							
01/26/21	1,000.000	2,801.57	Various	2,980.00	178.43 W	0.00	Total of 2 transactions
02/16/21	100.000	491.98	02/09/21	413.51	...	78.47	Sale
03/02/21	3,000.000	10,799.58	Various	12,410.91	608.25 W	-1,003.08	Sale
04/01/21	100.000	267.99	03/10/21	402.98	...	-134.99	Sale
05/06/21	410.000	774.89	03/10/21	1,725.04	...	-950.15	Sale
07/14/21	500.000	1,439.98	06/08/21	1,686.53	...	-246.55	Sale
11/04/21	250.000	962.47	11/03/21	981.22	...	-18.75	Sale
	Security total:	17,538.46		20,600.19	786.68 W	-2,275.05	

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SIERRA METALS INC COM / CUSIP: 82639W106 / Symbol: SMTS							
01/29/21	500.000	1,549.97	Various	1,880.00	...	-330.03	Total of 2 transactions
SIGMA LABS INC COM / CUSIP: 826598500 / Symbol: SGLB							
05/06/21	2.000	6.80	03/15/21	17.42	...	-10.62	Sale
SKILLZ INC COM / CUSIP: 83067L109 / Symbol: SKLZ							
05/06/21	100.000	1,527.98	04/22/21	1,955.99	428.01 W	0.00	Sale
06/01/21	100.000	1,670.98	05/10/21	1,902.00	...	-231.02	Sale
10/25/21	150.000	1,679.97	10/07/21	1,348.25	...	331.72	Sale
	Security total:	4,878.93		5,206.24	428.01 W	100.70	
SOCKET MOBILE INC COM / CUSIP: 83368E200 / Symbol: SCKT							
02/16/21	250.000	2,624.91	02/16/21	1,925.00	...	699.91	Sale
SOLID BIOSCIENCES INC COM / CUSIP: 83422E105 / Symbol: SLDB							
05/06/21	1.000	4.55	03/24/21	5.92	1.37 W	0.00	Sale
06/02/21	11.000	40.26	05/18/21	44.01	...	-3.75	Sale
	Security total:	44.81		49.93	1.37 W	-3.75	
SORRENTO THERAPEUTICS INC COM / CUSIP: 83587F202 / Symbol: SRNE							
07/14/21	20.000	164.02	06/25/21	236.69	...	-72.67	Sale
07/14/21	30.000	245.74	Various	299.12	33.89 W	-19.49	Sale
09/09/21	300.000	2,408.95	08/24/21	2,699.98	...	-291.03	Sale
	Security total:	2,818.71		3,235.79	33.89 W	-383.19	
SOS LIMITED ADR / CUSIP: 83587W106 / Symbol: SOS							
02/11/21	400.000	2,331.90	02/11/21	2,376.59	69.02 W	24.33	Sale
02/12/21	100.000	719.98	02/12/21	548.99	...	170.99	Sale
05/06/21	201.000	793.95	Various	1,581.79	8.46 W	-779.38	Sale
06/02/21	2.000	7.12	05/27/21	16.12	...	-9.00	Sale
	Security total:	3,852.95		4,523.49	77.48 W	-593.06	
SPHERE 3D CORP NEW COM / CUSIP: 84841L308 / Symbol: ANY							
10/26/21	800.000	5,327.95	Various	5,915.81	...	-587.86	Sale

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SPIRIT AIRLINES INC COM / CUSIP: 848577102 / Symbol: SAVE							
02/05/21	108.000	3,205.60	Various	2,865.16	...	340.44	Sale
STEALTH BIOTHERAPEUTICS CORP ADR / CUSIP: 85789A105 / Symbol: MITO							
06/02/21	300.000	659.96	06/01/21	576.00	...	83.96	Sale
SUNDIAL GROWERS INC COM / CUSIP: 86730L109 / Symbol: SNDL							
02/03/21	2,000.000	2,499.70	Various	1,873.40	...	626.30	Sale
SUNLANDS TECHNOLOGY GROUP 1:12.5 R/S 8/31/21 86740P207 / CUSIP: 86740P108 / Symbol:							
02/05/21	1,000.000	2,209.83	02/05/21	2,710.00	...	-500.17	Sale
SUPER LEAGUE GAMING INC COM / CUSIP: 86804F202 / Symbol: SLGG							
03/03/21	2,500.000	17,574.61	Various	11,818.96	...	5,755.65	Total of 3 transactions
03/04/21	200.000	1,629.97	03/03/21	1,116.78	...	513.19	Sale
	Security total:	19,204.58		12,935.74	...	6,268.84	
SYPRIS SOLUTIONS INC COM / CUSIP: 871655106 / Symbol: SYPR							
02/08/21	300.000	923.94	02/08/21	1,295.48	...	-371.54	Sale
02/08/21	9,703.000	29,694.45	Various	36,829.67	268.08 W	-6,867.14	Total of 2 transactions
	Security total:	30,618.39		38,125.15	268.08 W	-7,238.68	
TANGER FACTORY OUTLET CENTERS COM USD0.01 / CUSIP: 875465106 / Symbol: SKT							
05/06/21	60.000	1,004.98	03/10/21	1,034.40	...	-29.42	Sale
TANZANIAN GOLD CORPORATION COM / CUSIP: 87601A107 / Symbol: TRX							
02/01/21	5,000.000	3,779.32	01/29/21	4,986.40	...	-1,207.08	Sale
TATTOOED CHEF INC COM CL A / CUSIP: 87663X102 / Symbol: TTCF							
09/15/21	20.000	389.03	08/30/21	421.37	...	-32.34	Sale
TELLURIAN INC COM / CUSIP: 87968A104 / Symbol: TELL							
09/20/21	150.000	477.00	09/15/21	530.99	...	-53.99	Sale
TENGASCO 1:12 R/S 3/1/21 76665T102 / CUSIP: 88033R502 / Symbol: TGC							
02/01/21	1,000.000	2,239.93	01/28/21	4,820.00	...	-2,580.07	Sale

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THERAPEUTICSMD INC COM / CUSIP: 88338N107 / Symbol: TXMD							
04/06/21	1,000.000	1,389.87	03/03/21	1,730.00	...	-340.13	Sale
THE TRADE DESK INC COM CL A / CUSIP: 88339J105 / Symbol: TTD							
05/20/21	10.000	5,381.27	05/11/21	5,023.20	...	358.07	Sale
TILRAY BRANDS INC COM / CUSIP: 88688T100 / Symbol: TLR							
08/19/21	4.000	52.56	06/24/21	73.09	...	-20.53	Sale
TONIX PHARMAS HLDG CORP COM / CUSIP: 890260706 / Symbol: TNXP							
07/14/21	600.000	590.45	06/24/21	850.18	...	-259.73	Sale
07/14/21	500.000	492.04	06/24/21	665.00	53.96 W	-119.00	Sale
	Security total:	1,082.49		1,515.18	53.96 W	-378.73	
TORCHLIGHT ENERGY RESOURCES IN 1:2 R/S 6/28/21 59134N104 / CUSIP: 89102U103 / Symbol: TRCH							
02/25/21	1,000.000	2,609.97	02/22/21	3,749.81	...	-1,139.84	Sale
05/06/21	1.000	1.90	04/30/21	2.28	...	-0.38	Sale
	Security total:	2,611.87		3,752.09	...	-1,140.22	
TRANSETERIX INC N/C 3/5/21 04367G103 / CUSIP: 89366M300 / Symbol: TRXC							
02/10/21	1,000.000	4,912.22	Various	3,980.00	...	932.22	Total of 4 transactions
TRILLIUM THERAPEUTICS INC CSH MRG \$18.50/SH 11/18/21 / CUSIP: 89620X506 / Symbol: TRIL							
02/11/21	400.000	5,327.83	02/09/21	5,975.84	...	-648.01	Sale
02/11/21	1,600.000	21,231.34	02/09/21	22,917.34	344.16 W	-1,341.84	Sale
	Security total:	26,559.17		28,893.18	344.16 W	-1,989.85	
TRIVAGO N V ADR / CUSIP: 89686D105 / Symbol: TRVG							
08/26/21	1,000.000	2,819.97	02/22/21	3,586.20	...	-766.23	Sale
T2 BIOSYSTEMS INC COM / CUSIP: 89853L104 / Symbol: TTOO							
06/02/21	1.000	1.22	05/07/21	1.33	...	-0.11	Sale
TYME TECHNOLOGIES INC COM / CUSIP: 90238J103 / Symbol: TYME							
02/03/21	1,000.000	3,810.60	02/03/21	3,450.00	...	360.60	Sale
US WELL SERVICES INC 1:3.5 R/S 10/1/21 91274U200 / CUSIP: 91274U101 / Symbol:							
06/04/21	1,001.000	1,131.70	Various	1,260.31	...	-128.61	Sale

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UNITED STATES STEEL CORP COM / CUSIP: 912909108 / Symbol: X							
02/25/21	100.000	1,756.78	Various	1,706.87	...	49.91	Total of 2 transactions
03/30/21	200.000	4,799.97	Various	3,413.74	...	1,386.23	Total of 2 transactions
04/20/21	425.000	9,005.74	02/16/21	7,254.20	...	1,751.54	Sale
04/26/21	275.000	6,737.47	02/16/21	4,693.89	...	2,043.58	Sale
	Security total:	22,299.96		17,068.70	...	5,231.26	
UNIVERSAL SEC INST COM / CUSIP: 913821302 / Symbol: UUU							
08/26/21	400.000	2,619.98	08/26/21	3,236.04	...	-616.06	Sale
UR ENERGY INC COM / CUSIP: 91688R108 / Symbol: URG							
06/08/21	1,000.000	1,631.17	02/23/21	1,085.00	...	546.17	Sale
UXIN LIMITED ADR SPONSORED / CUSIP: 91818X108 / Symbol: UXIN							
11/02/21	150.000	348.49	10/29/21	373.40	...	-24.91	Sale
UWM HLDGS CORP COM CL A / CUSIP: 91823B109 / Symbol: UWMC							
03/02/21	500.000	5,149.91	03/02/21	4,680.00	...	469.91	Sale
VACCINEX INC COM / CUSIP: 918640103 / Symbol: VCNX							
03/26/21	10.000	31.37	02/19/21	58.10	...	-26.73	Sale
07/14/21	1,000.000	2,611.87	06/08/21	2,839.00	...	-227.13	Sale
	Security total:	2,643.24		2,897.10	...	-253.86	
VAPORBRANDS INTL INC COM / CUSIP: 922105101 / Symbol: VAPR							
12/20/21	50,000.000	372.10	02/11/21	1,942.95	...	-1,570.85	Sale
VAXART INC COM / CUSIP: 92243A200 / Symbol: VXRT							
05/06/21	350.000	2,404.45	04/30/21	4,082.50	...	-1,678.05	Sale
VELODYNE LIDAR INC COM / CUSIP: 92259F101 / Symbol: VLDR							
05/06/21	50.000	595.99	02/24/21	835.00	...	-239.01	Sale
VERITONE INC COM / CUSIP: 92347M100 / Symbol: VERI							
02/22/21	200.000	7,317.82	02/19/21	8,400.00	...	-1,082.18	Sale
VERU INC COM / CUSIP: 92536C103 / Symbol: VERU							
02/08/21	1,000.000	13,699.58	02/08/21	13,500.00	...	199.58	Sale

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VINCO VENTURES INC COM / CUSIP: 927330100 / Symbol: BBIG							
09/07/21	150.000	1,674.97	Various	669.09	...	1,005.88	Total of 2 transactions
11/02/21	110.000	530.29	10/29/21	559.88	13.05 W	-16.54	Sale
11/17/21	50.000	199.07	11/09/21	237.05	...	-37.98	Sale
	Security total:	2,404.33		1,466.02	13.05 W	951.36	
VIRGIN GALACTIC HLDGS INC COM / CUSIP: 92766K106 / Symbol: SPCE							
11/11/21	400.000	7,704.23	11/09/21	8,566.02	...	-861.79	Sale
11/11/21	100.000	1,927.98	11/09/21	2,094.00	166.02 W	0.00	Sale
	Security total:	9,632.21		10,660.02	166.02 W	-861.79	
VIRTU FINANCIAL INC COM CL A / CUSIP: 928254101 / Symbol: VIRT							
06/09/21	200.000	5,836.59	05/11/21	5,717.66	...	118.93	Sale
VISLINK TECHNOLOGIES INC COM / CUSIP: 92836Y300 / Symbol: VISL							
03/03/21	750.000	2,752.40	02/16/21	3,239.68	...	-487.28	Sale
VIVEVE MEDICAL INC COM / CUSIP: 92852W501 / Symbol: VIVE							
05/06/21	250.000	720.00	02/22/21	1,037.50	...	-317.50	Sale
WELLS FARGO & COMPANY COM / CUSIP: 949746101 / Symbol: WFC							
02/04/21	10.000	317.50	Various	284.30	...	33.20	Total of 2 transactions
02/05/21	240.000	7,804.60	Various	6,877.70	...	926.90	Sale
	Security total:	8,122.10		7,162.00	...	960.10	
WESTERN COPPER & GOLD CORP COM / CUSIP: 95805V108 / Symbol: WRN							
06/08/21	115.000	269.10	Various	248.53	...	20.57	Total of 2 transactions
WESTPORT FUEL SYSTEMS INC COM / CUSIP: 960908309 / Symbol: WPRT							
02/05/21	1,000.000	13,499.58	02/05/21	11,000.00	...	2,499.58	Sale
WILLIAMS INDL SVCS GROUP INC COM / CUSIP: 96951A104 / Symbol: WLMS							
05/13/21	100.000	451.24	Various	354.00	...	97.24	Total of 3 transactions
WISDOMTREE INVESTMENTS INC COM / CUSIP: 97717P104 / Symbol: WETF							
07/14/21	300.000	1,850.98	04/01/21	1,926.00	...	-75.02	Sale

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WISEKEY INTERNATIONAL HLDG LTD ADR SPONSORED / CUSIP: 97727L200 / Symbol: WKEY							
05/06/21	10.000	78.30	04/01/21	140.50	...	-62.20	Sale
WORKHORSE GROUP INC COM / CUSIP: 98138J206 / Symbol: WKHS							
02/24/21	250.000	3,689.95	02/24/21	3,932.50	72.77 W	-169.78	Sale
05/06/21	75.000	722.25	03/09/21	1,326.77	...	-604.52	Sale
10/29/21	1,000.000	6,787.39	Various	6,919.90	...	-132.51	Total of 2 transactions
	Security total:	11,199.59		12,179.17	72.77 W	-906.81	
XL FLEET CORP COM CL A / CUSIP: 9837FR100 / Symbol: XL							
05/06/21	101.000	607.01	04/08/21	883.74	...	-276.73	Sale
XPRESSPA GROUP INC COM / CUSIP: 98420U703 / Symbol: XSPA							
02/25/21	1,000.000	1,869.97	02/18/21	2,730.00	...	-860.03	Sale
07/14/21	100.000	144.00	06/11/21	163.99	...	-19.99	Sale
	Security total:	2,013.97		2,893.99	...	-880.02	
YALLA GROUP LTD ADR / CUSIP: 98459U103 / Symbol: YALA							
11/05/21	300.000	2,008.03	11/05/21	2,087.70	...	-79.67	Sale
ZILLOW GROUP INC COM CL C / CUSIP: 98954M200 / Symbol: Z							
12/08/21	25.000	1,617.00	Various	1,626.75	...	-9.75	Total of 3 transactions
12/09/21	75.000	4,707.63	Various	4,880.25	...	-172.62	Total of 3 transactions
	Security total:	6,324.63		6,507.00	...	-182.37	
ZOSANO PHARMA CORP COM / CUSIP: 98979H202 / Symbol: ZSAN							
06/01/21	770.000	619.84	05/27/21	709.80	...	-89.96	Sale
ZOMEDICA CORP COM / CUSIP: 98980M109 / Symbol: ZOM							
02/12/21	2,000.000	5,019.85	Various	4,995.00	13.29 W	38.14	Sale
05/06/21	677.000	564.33	Various	1,053.09	488.76 W	0.00	Sale
06/04/21	1,100.000	997.34	Various	1,600.87	...	-603.53	Sale
10/27/21	10,602.000	5,363.32	10/25/21	5,746.27	...	-382.95	Sale
10/27/21	1,898.000	960.98	Various	1,015.05	54.07 W	0.00	Total of 3 transactions
	Security total:	12,905.82		14,410.28	556.12 W	-948.34	

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TD Ameritrade Clearing, Inc.

Account 277896547

Proceeds from Broker and Barter Exchange Transactions

2021 1099-B* OMB No. 1545-0715

(continued)

02/17/2022

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)

"Gain or loss (-)" is NOT reported to the IRS.

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
AURIS MEDICAL HOLDING LTD N/C 7/26/21 G0360L100 / CUSIP: G07025201 / Symbol: EARS							
05/06/21	100.000	284.00	04/06/21	346.84	62.84 W	0.00	Sale
06/01/21	100.000	354.00	05/07/21	446.76	...	-92.76	Sale
	Security total:	638.00		793.60	62.84 W	-92.76	
BIT DIGITAL INC COM / CUSIP: G1144A105 / Symbol: BTBT							
02/19/21	100.000	2,119.94	02/12/21	2,537.00	...	-417.06	Sale
DOGNESS INTL CORP COM / CUSIP: G2788T103 / Symbol: DOGZ							
02/18/21	1,000.000	2,489.92	02/17/21	4,850.00	...	-2,360.08	Sale
EBANG INTERNATIONAL HLDGS INC COM / CUSIP: G3R33A106 / Symbol: EBON							
02/04/21	100.000	609.98	02/04/21	598.00	...	11.98	Sale
02/05/21	900.000	5,444.77	02/04/21	5,293.10	...	151.67	Sale
02/16/21	300.000	2,462.91	02/16/21	2,289.00	...	173.91	Sale
05/06/21	100.000	338.00	02/24/21	780.00	...	-442.00	Sale
	Security total:	8,855.66		8,960.10	...	-104.44	
METEN HOLDING GROUP LTD COM / CUSIP: G6055H114 / Symbol: METX							
02/05/21	1,000.000	3,989.79	02/04/21	2,729.10	...	1,260.69	Sale
10/27/21	3,600.000	1,835.56	10/27/21	2,249.80	...	-414.24	Sale
	Security total:	5,825.35		4,978.90	...	846.45	
ITERUM THERAPEUTICS PLC COM / CUSIP: G6333L101 / Symbol: ITRM							
02/09/21	4,000.000	8,189.34	Various	9,570.00	...	-1,380.66	Total of 2 transactions
06/28/21	1,000.000	2,399.87	Various	1,591.83	...	808.04	Sale
	Security total:	10,589.21		11,161.83	...	-572.62	
NORWEGIAN CRUISE LINE HLDGS LT COM / CUSIP: G66721104 / Symbol: NCLH							
01/29/21	100.000	2,275.94	12/17/20	2,556.68	...	-280.74	Sale
RECON TECHNOLOGY LTD COM CL A / CUSIP: G7415M124 / Symbol: RCON							
01/26/21	672.000	1,545.49	01/25/21	1,780.91	...	-235.42	Sale
01/26/21	328.000	754.37	01/25/21	852.80	36.01 W	-62.42	Sale
06/01/21	100.000	1,092.99	05/25/21	1,130.00	...	-37.01	Sale
	Security total:	3,392.85		3,763.71	36.01 W	-334.85	

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TD Ameritrade Clearing, Inc.

Account 277896547

Proceeds from Broker and Barter Exchange Transactions

2021 1099-B* OMB No. 1545-0715

(continued)

02/17/2022

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)

"Gain or loss (-)" is NOT reported to the IRS.

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
REINVENT TECHNOLOGY PARTNERS 1:1 EXC 8/11/21 G65163100 / CUSIP: G7483N129 / Symbol: RTP							
03/02/21	50.000	575.09	Various	675.00	...	-99.91	Total of 2 transactions
VIVOPOWER INTERNATIONAL PLC COM / CUSIP: G9376R100 / Symbol: VVPR							
05/06/21	150.000	976.50	03/30/21	1,660.50	...	-684.00	Sale
VG ACQUISITION CORP 1:1 EXC 6/17/21 90138Q108 / CUSIP: G9446E105 / Symbol: VGAC							
05/06/21	100.000	995.99	02/10/21	1,435.00	...	-439.01	Sale
ZK INTERNATIONAL GROUP CO LTD COM / CUSIP: G9892K100 / Symbol: ZKIN							
05/06/21	31.000	163.68	04/05/21	323.43	...	-159.75	Sale
NLS PHARMACEUTICS LTD COM / CUSIP: H57830103 / Symbol: NLSP							
06/02/21	1.000	3.29	05/18/21	3.66	...	-0.37	Sale
TRANSOCEAN LIMITED COM / CUSIP: H8817H100 / Symbol: RIG							
02/05/21	1,000.000	3,499.80	01/27/21	3,455.00	...	44.80	Sale
REWALK ROBOTICS LTD COM / CUSIP: M8216Q200 / Symbol: RWLK							
03/26/21	100.000	238.00	03/08/21	312.00	...	-74.00	Sale
NAKED BRAND GROUP LTD 1:15 R/S 12/22/21 Q6519V120 / CUSIP: Q6519T117 / Symbol:							
01/27/21	30,000.000	25,489.87	01/27/21	14,797.93	...	10,691.94	Sale
01/27/21	26,350.000	49,533.77	01/27/21	40,927.49	6,266.84 W	14,873.12	Sale
02/01/21	10,000.000	14,502.57	Various	41,828.64	...	-27,326.07	Total of 3 transactions
	Security total:	89,526.21		97,554.06	6,266.84 W	-1,761.01	
CENNTRO ELECTRIC GROUP LTD COM / CUSIP: Q6519V120 / Symbol: CENN							
12/31/21	133.000	710.28	Various	1,551.63	...	-841.35	Sale
ROYAL CARIBBEAN GROUP COM / CUSIP: V7780T103 / Symbol: RCL							
01/27/21	50.000	3,282.07	Various	3,707.68	...	-425.61	Total of 3 transactions
CASTOR MARITIME INC 1:10 R/S 5/28/21 Y1146L125 / CUSIP: Y1146L109 / Symbol:							
02/04/21	12,000.000	8,130.79	Various	11,897.68	247.39 W	-3,519.50	Sale
02/11/21	1,300.000	2,352.80	Various	2,264.16	...	88.64	Sale
02/16/21	1,000.000	1,329.85	02/16/21	1,660.12	...	-330.27	Sale
05/06/21	250.000	106.00	02/23/21	355.59	249.59 W	0.00	Sale

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TD Ameritrade Clearing, Inc.

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Proceeds from Broker and Barter Exchange Transactions

2021 1099-B* OMB No. 1545-0715

(continued)

02/17/2022

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)

"Gain or loss (-)" is NOT reported to the IRS.

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)	7- Loss not allowed (X) also not reported (Z)	Gain or loss(-) & also not reported (Z)	Additional information
CASTOR MARITIME INC 1:10 R/S 5/28/21 Y1146L125 / CUSIP: Y1146L109 / Symbol: (cont'd)								
05/21/21	100.000	34.83	05/18/21	145.56	110.73 W		0.00	Sale
05/24/21	1,000.000	370.38	05/24/21	631.26	...		-260.88	Sale
	Security total:	12,324.65		16,954.37	607.71 W		-4,022.01	
EQONEX LIMITED COM / CUSIP: Y2074E109 / Symbol: EQOS								
10/26/21	1,000.000	5,170.15	Various	6,740.00	...		-1,569.85	Total of 2 transactions
GENCO SHIPPING & TRADING LTD COM / CUSIP: Y2685T131 / Symbol: GNK								
06/01/21	100.000	1,641.17	04/30/21	1,510.99	...		130.18	Sale
MAXEON SOLAR TECH LTD COM / CUSIP: Y58473102 / Symbol: MAXN								
05/21/21	90.000	1,515.59	05/20/21	1,632.41	...		-116.82	Sale
SEANERGY MARI HLDG COM / CUSIP: Y73760194 / Symbol: SHIP								
02/16/21	300.000	689.94	02/12/21	519.00	...		170.94	Sale
Totals :		1,591,215.59		1,669,078.02	19,247.71 W		-58,614.72	

SHORT TERM TRANSACTIONS FOR NONCOVERED TAX LOTS [Ordinary gains or losses are identified in the Additional information column] (Line 5)

Report on Form 8949, Part I with Box B checked. Basis is NOT provided to the IRS. (Line 12)

"Date acquired," "Cost or other basis," "Accrued market discount," "Wash sale loss disallowed" and "Gain or loss (-)" are NOT reported to the IRS.

1a- Description of property/CUSIP/Symbol

1c- Date sold or disposed	Quantity	1d- Proceeds & 6- Reported (G)ross or (N)et	Date acquired	Cost or other basis	Accrued mkt disc (D) & Wash sale loss disallowed (W)	7- Loss not allowed (X) also not reported (Z)	Gain or loss(-) & also not reported (Z)	Additional information
ALLIANCE RESOURCE PARTNERS LP SBI / CUSIP: 01877R108 / Symbol: ARLP								
03/11/21	500.000	2,919.93	02/17/21	3,157.50	237.57 W		0.00	Sale
03/12/21	500.000	2,912.43	02/17/21	3,157.50	245.07 W		0.00	Sale
03/23/21	500.000	2,780.58	Various	3,407.37	...		-626.79	Total of 2 transactions
04/01/21	100.000	567.00	02/17/21	682.97	...		-115.97	Sale
05/06/21	400.000	2,329.02	02/17/21	2,731.90	...		-402.88	Sale
07/19/21	100.000	677.00	06/09/21	723.00	...		-46.00	Sale
09/15/21	300.000	2,963.97	06/09/21	2,156.91	...		807.06	Sale
	Security total:	15,149.93		16,017.15	482.64 W		-384.58	

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TD Ameritrade Clearing, Inc.

Account 277896547

Proceeds from Broker and Barter Exchange Transactions

2021 1099-B* OMB No. 1545-0715

(continued)

02/17/2022

SHORT TERM TRANSACTIONS FOR NONCOVERED TAX LOTS [Ordinary gains or losses are identified in the Additional information column] (Line 5)

Report on Form 8949, Part I with Box B checked. Basis is NOT provided to the IRS. (Line 12)

"Date acquired," "Cost or other basis," "Accrued market discount," "Wash sale loss disallowed" and "Gain or loss (-)" are NOT reported to the IRS.

1a- Description of property/CUSIP/Symbol

1c- Date sold or disposed	Quantity	1d- Proceeds & 6- Reported (G)ross or (N)et	Date acquired	Cost or other basis	Accrued mkt disc (D) & Wash sale loss disallowed (W)	Gain or loss(-) & 7- Loss not allowed (X) also not reported (Z)	Additional information
NGL ENERGY PARTNERS LP COM UNIT REPSTG LTD PARTNER / CUSIP: 62913M107 / Symbol: NGL							
09/20/21	300.000	618.68	08/30/21	495.40	...	123.28	Sale
NUSTAR ENERGY LP COM STK NPV / CUSIP: 67058H102 / Symbol: NS							
07/14/21	135.000	2,348.98	04/05/21	2,444.20	...	-95.22	Sale
PROSHARES TRUST II 1:10 R/S 5/26/21 74347Y839 / CUSIP: 74347W148 / Symbol:							
03/04/21	100.000	969.99	02/25/21	942.99	...	27.00	Sale
Totals :		19,087.58		19,899.74	482.64 W	-329.52	

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TD Ameritrade Clearing, Inc.

Account 277896547

Detail for Dividends and Distributions

2021

02/17/2022

This section of your tax information statement contains the payment level detail of your taxable dividends, capital gains distributions, exempt-interest dividends, nondividend distributions and liquidation distributions. Also shown are the fair market values of any taxable stock dividends or noncash liquidation distributions.

Federal, state and foreign tax withheld and investment expenses are presented as negative amounts but do not net against the reportable income totals. All amounts are grouped by security, with the transactions listed in chronological order. Subtotals for each security are provided. For situations in which the tax character of a distribution (or part thereof) is different than at the time it was paid, endnotes are provided for further explanation.

Note that a payment characterized as a "Qualified dividend" is only issuer-qualified. Reallocation of a dividend and its tax character is determined by the issuer.

Security description	CUSIP and/or symbol	State	Date	Amount	Transaction type	Notes
ACCO BRANDS CORPORATION COM	00081T108 ACCO		06/21/21	32.50	Qualified dividend	
APPLE INC COM	037833100 AAPL		08/12/21	68.20	Qualified dividend	
			11/11/21	66.00	Qualified dividend	
				134.20	Total Dividends & distributions	
BANCO BRADESCO SA ADR SPONSORED	059460303 BBD		07/08/21	0.39	Qualified dividend	
			07/08/21	-0.06	Foreign tax withheld-BR	
			07/19/21	20.60	Qualified dividend	
			07/19/21	-3.09	Foreign tax withheld-BR	
			08/09/21	0.75	Qualified dividend	
			08/09/21	-0.11	Foreign tax withheld-BR	
				21.74	Total Dividends & distributions	
				-3.26	Total Foreign tax withheld	
BANK OF AMERICA CORPORATION COM	060505104 BAC		06/25/21	54.00	Qualified dividend	
			09/24/21	63.00	Qualified dividend	
			12/31/21	63.00	Qualified dividend	
				180.00	Total Dividends & distributions	
BLUE OWL CAPITAL INC COM CL A	09581B103 OWL		09/08/21	2.00	Nondividend distribution	03
CATO CORP COM CL A	149205106 CATO		06/21/21	2.20	Qualified dividend	
			09/27/21	3.40	Qualified dividend	
				5.60	Total Dividends & distributions	
CENTERPOINT ENERGY INC COM	15189T107 CNP		06/10/21	4.32	Qualified dividend	
			09/09/21	8.00	Qualified dividend	
				12.32	Total Dividends & distributions	
FRANKLIN UNIVERSAL TRUST SH BEN INT	355145103 FT		12/15/21	8.11	Nonqualified dividend	03
			12/15/21	2.52	Qualified dividend	03
				10.63	Total Dividends & distributions	

TD Ameritrade Clearing, Inc.

Account 277896547

Detail for Dividends and Distributions

2021

(continued)

02/17/2022

Security description	CUSIP and/or symbol	State	Date	Amount	Transaction type	Notes
GERDAU SA ADR SPONSORED	373737105 GGB		06/03/21	22.66	Qualified dividend	
			09/02/21	30.97	Qualified dividend	
				53.63	Total Dividends & distributions	
HALLIBURTON CO COM	406216101 HAL		06/23/21	4.86	Qualified dividend	
HEWLETT PACKARD ENTERPRISE CO COM	42824C109 HPE		04/07/21	0.60	Qualified dividend	
			07/07/21	6.60	Qualified dividend	
				7.20	Total Dividends & distributions	
INVESCO MORTGAGE CAPITAL INC COM	46131B100 IVR		04/27/21	45.00	Nondividend distribution	03
ITAU UNIBANCO HOLDINGS S.A. ADR SPONSORED	465562106 ITUB		07/12/21	0.15	Qualified dividend	
			08/12/21	0.44	Qualified dividend	
			09/03/21	2.99	Qualified dividend	
			09/03/21	0.01	Qualified dividend	
			09/03/21	-0.45	Foreign tax withheld-BR	
			09/13/21	0.44	Qualified dividend	
				4.03	Total Dividends & distributions	
				-0.45	Total Foreign tax withheld	
KRAFT HEINZ CO COM	500754106 KHC		06/25/21	40.00	Qualified dividend	
MARATHON OIL CORPORATION COM	565849106 MRO		06/10/21	4.44	Qualified dividend	
			09/10/21	5.60	Qualified dividend	
				10.04	Total Dividends & distributions	
MICROSOFT CORP COM	594918104 MSFT		12/09/21	9.30	Qualified dividend	
MYERS INDUSTRIES INC COM	628464109 MYE		07/02/21	4.05	Qualified dividend	
			10/04/21	4.05	Qualified dividend	
				8.10	Total Dividends & distributions	
NVIDIA CORP COM	67066G104 NVDA		09/23/21	2.00	Qualified dividend	
			12/23/21	2.80	Qualified dividend	
				4.80	Total Dividends & distributions	
PETROLEO BRASILEIRO SA ADR SPONSORED	71654V408 PBR		09/01/21	306.45	Qualified dividend	
TANGER FACTORY OUTLET CENTERS COM USD0.01	875465106 SKT		05/14/21	10.65	Nondividend distribution	03

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Detail for Dividends and Distributions

2021

(continued)

02/17/2022

Security description	CUSIP and/or symbol	State	Date	Amount	Transaction type	Notes
VIRTU FINANCIAL INC COM CL A	928254101 VIRT		06/15/21	48.00	Qualified dividend	
WELLS FARGO & COMPANY COM	949746101 WFC		03/01/21	25.00	Qualified dividend	
WISDOMTREE INVESTMENTS INC COM	97717P104 WETF		05/26/21	9.00	Qualified dividend	
GENCO SHIPPING & TRADING LTD COM	Y2685T131 GNK		05/25/21	5.00	Qualified dividend	
				990.05	Total Dividends & distributions	
				-3.71	Total Foreign tax withheld	

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Detail for Interest Income

2021

02/17/2022

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		01/29/21	0.01	Credit interest	
		02/26/21	0.02	Credit interest	
			0.03	Total Interest	
			0.03	Total Interest	

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Other Receipts and Reconciliations

2021

02/17/2022

This section of your tax information statement contains the detail of the year-to-year adjustments between cash distributions and reportable income for Unit Investment Trusts, reflecting the fact that income is recognized at the time it is received by the trust, rather than when a distribution is made.

Also shown are distributions whose tax impact will be defined by other documentation. In the case of partnership distributions, you will receive Schedules K-1 (Forms 1065) directly from the partnership(s). For deferred income, the Form 1099-DIV issued in the following year will characterize the amounts received.

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.

Security description	CUSIP and/or symbol	Date	Amount	Transaction type	Notes
ALLIANCE RESOURCE PARTNERS LP SBI	01877R108 ARLP	05/14/21	40.00	Partnership distribution	
		08/13/21	30.00	Partnership distribution	
			70.00	Total Partnership distribution	
NUSTAR ENERGY LP COM STK NPV	67058H102 NS	05/14/21	54.00	Partnership distribution	
			124.00	Total Partnership distribution	

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Fees and Expenses

2021

02/17/2022

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
REORG FEE 42806J106		07/02/21	-38.00	Miscellaneous fee	
REORG FEE 42806J148		11/09/21	38.00	Adj- Miscellaneous fee	
		11/09/21	-38.00	Miscellaneous fee	
			0.00	Total Miscellaneous fee	
REORG FEE 451055305		08/09/21	-38.00	Miscellaneous fee	
REORG FEE 45779A853		04/27/21	-38.00	Miscellaneous fee	
REORG FEE 68232V405		05/21/21	-38.00	Miscellaneous fee	
REORG FEE Q6519T117		12/22/21	-38.00	Miscellaneous fee	
Interest Charged		01/29/21	-168.67	Margin interest paid	
		02/26/21	-269.63	Margin interest paid	
		03/31/21	-461.32	Margin interest paid	
		04/30/21	-464.95	Margin interest paid	
		05/28/21	-402.65	Margin interest paid	
		06/30/21	-378.33	Margin interest paid	
		07/30/21	-502.93	Margin interest paid	
		08/31/21	-589.81	Margin interest paid	
		09/30/21	-597.74	Margin interest paid	
		10/29/21	-508.05	Margin interest paid	
		11/30/21	-642.63	Margin interest paid	
		12/31/21	-694.44	Margin interest paid	
			-5,681.15	Total Margin interest paid	
BANCO BRADESCO SA ADR SPONSORED	059460303 BBD	07/19/21	-2.10	Depository receipt fee	
GERDAU SA ADR SPONSORED	373737105 GGB	06/03/21	-0.38	Depository receipt fee	
ITAU UNIBANCO HOLDINGS S.A. ADR SPONSORED	465562106 ITUB	09/03/21	-0.30	Depository receipt fee	
PETROLEO BRASILEIRO SA ADR SPONSORED	71654V408 PBR	09/01/21	-2.50	Depository receipt fee	

TD Ameritrade Clearing, Inc.

Account 277896547

Fees and Expenses

2021

(continued)

02/17/2022

Description	CUSIP and/or symbol	Date	Amount	Transaction type	Notes
QUDIAN INC ADR	747798106 QD	05/10/21	-10.00	Depository receipt fee	
SOS LIMITED ADR	83587W106 SOS	05/10/21	-8.04	Depository receipt fee	
			-23.32	Total Depository receipt fee	
			-190.00	Total Miscellaneous fee	
			-5,681.15	Total Margin interest paid	

TD Ameritrade Clearing, Inc.

Account 277896547

Foreign Income and Taxes Summary

2021

02/17/2022

This schedule lists all income and foreign tax by country. Mutual Funds and Unit Investment Trusts (UITs) structured as Regulated Investment Companies (RICs) are listed separately with a country designation of "RIC."

Country	Security Description	CUSIP	Nonqualified	Dividends		Interest	Total Income	Tax
				Qualified				
BR	BANCO BRADESCO SA ADR SPONSORED	059460303	0.00	21.74		0.00	21.74	-3.26
BR	GERDAU SA ADR SPONSORED	373737105	0.00	53.63		0.00	53.63	0.00
BR	ITAU UNIBANCO HOLDINGS S.A. ADR SPONSORED	465562106	0.00	4.03		0.00	4.03	-0.45
BR	PETROLEO BRASILEIRO SA ADR SPONSORED	71654V408	0.00	306.45		0.00	306.45	0.00
Total BRAZIL			0.00	385.85		0.00	385.85	-3.71
RM	GENCO SHIPPING & TRADING LTD COM	Y2685T131	0.00	5.00		0.00	5.00	0.00
Total MARSHALL ISLANDS			0.00	5.00		0.00	5.00	0.00
Grand Total	Total Foreign Source Income*			390.85				
	Qualified Foreign Source Income**			390.85				
	Foreign Tax							-3.71

* Total Foreign Source Income utilizes the "Total" column for RICs which may not always be supplied.

** Qualified Foreign Source Income utilizes the "Qualified" column for RICs which may not always be supplied.

03 The tax character of the distribution has been allocated based on information provided by the security issuer.

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 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-DIV Instructions for Recipient**

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

Line 1b. Shows the portion of the amount in Line 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.

Line 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). But, if no amount is shown in Lines 2b, 2c, 2d, and 2f and your only capital gains and losses are capital gain distributions, you may be able to report the amounts shown in Line 2a on your Form 1040 or 1040-SR rather than Schedule D. See the Instructions for Forms 1040 and 1040-SR.

Line 2b. Shows the portion of the amount in Line 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).

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

Line 2d. Shows the portion of the amount in Line 2a that is 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).

Line 2e. Shows the portion of the amount in Line 1a that is section 897 gain attributable to disposition of U.S. real property interests (USRPI).

Line 2f. Shows the portion of the amount in Line 2a that is section 897 gain attributable to disposition of USRPI.

Note: Lines 2e and 2f apply only to foreign persons and entities whose income maintains its character when passed through or distributed to its direct or indirect foreign owners or beneficiaries. It is generally treated as effectively connected to a trade or business within the United States. See the instructions for your tax return.

Line 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.

Line 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 for information on backup withholding. Include this amount on your income tax return as tax withheld.

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

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

Line 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 and 1040SR.

Instructions for Recipient

Line 8. This Line should be left blank if a RIC reported the foreign tax shown in Line 7. **Lines 9 and 10.** Show cash and noncash liquidation distributions.

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

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

Lines 13-15. State income tax withheld reporting Lines.

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.

Free File. Go to www.irs.gov/FreeFile to see if you qualify for no-cost online federal tax preparation, e-filing, and direct deposit or payment options.

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.

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 2021 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.

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.

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.

Free File. Go to www.irs.gov/FreeFile to see if you qualify for no-cost online federal tax preparation, e-filing, and direct deposit or payment options.

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.

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 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

Instructions for Recipient

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).

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.

Line 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.

Free File. Go to www.irs.gov/FreeFile to see if you qualify for no-cost online federal tax preparation, e-filing, and direct deposit or payment options.