

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

LAXMI PRIYA MOLUGU  
5572 MAGNOLIA RUN CIR  
VIRGINIA BEACH, VA 23464-1598

IN ACCOUNT WITH  
**WEBULL FINANCIAL LLC**  
**917-725-2448**

**IMPORTANT YEAR END MESSAGES**

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

Please verify your personal information for accuracy and contact us to correct any discrepancies. If you own Mutual Funds, Real Estate Trusts (REITs), REMIC Securities or certain fixed investment trusts (WHFITs), income distributions may be reclassified by the issuer after the original 1099 is sent. If you hold these securities or another security that is subject to a reclassification event, you may receive a corrected Form 1099.

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|   |  |                            |             |
|---|--|----------------------------|-------------|
| <b>APEX CLEARING</b><br>ONE DALLAS CENTER<br>350 NORTH ST PAUL SUITE 1300<br>DALLAS, TX 75201<br>Customer Service: 214-765-1009<br><br>PAYER'S Federal ID No: 13-2967453<br><br>IN ACCOUNT WITH<br><b>WEBULL FINANCIAL LLC</b><br><b>(917) 725-2448</b> | <b>Account 5NG11669</b>  | <b>Form 1099 Composite</b> | <b>2021</b> |
|   | LAXMI PRIYA MOLUGU<br>5572 MAGNOLIA RUN CIR<br>VIRGINIA BEACH, VA 23464-1598<br><br>RECIPIENT'S ID No: XXX-XX-8122 | Statement Date: 01/31/2022 |             |

FATCA filing requirement [ ]

### Tax Reporting Statement

| DIVIDENDS AND DISTRIBUTIONS  | 2021 Form 1099-DIV* | OMB No. 1545-0110 |
|--|---------------------|-------------------|
| 1a- Total Ordinary Dividends (includes amount shown on 1b, 2e)       | 149.10              |                   |
| 1b- Qualified Dividends  | 149.10              |                   |
| 2a- Total Capital Gain Distributions (includes lines 2b, 2c, 2d, 2f) | 0.00                |                   |
| 2b- Unrecaptured Section 1250 gain                                   | 0.00                |                   |
| 2c- Section 1202 Gain  | 0.00                |                   |
| 2d- Collectibles (28%) Gain  | 0.00                |                   |
| 2e- Section 897 Ordinary Dividends                                   | 0.00                |                   |
| 2f- Section 897 Capital Gain   | 0.00                |                   |
| 3- Nondividend Distributions   | 0.00                |                   |
| <b>4- Federal Income Tax Withheld</b>                                | <b>0.00</b>         |                   |
| 5- Section 199A Dividends  | 0.00                |                   |
| 6- Investment Expenses   | 0.00                |                   |
| 7- Foreign tax Paid  | 0.00                |                   |
| 8- Foreign country or US Possession                                  |                     |                   |
| 9- Cash Liquidation Distributions                                    | 0.00                |                   |
| 10- Noncash Liquidation Distribution                                 | 0.00                |                   |
| 11- Exempt-Interest Dividends  | 0.00                |                   |
| 12- Specified Private Activity Bond Interest Dividends               | 0.00                |                   |

| MISCELLANEOUS INFORMATION                               | 2021 Form 1099-MISC* | OMB No. 1545-0115 |
|---|----------------------|-------------------|
| 2- Royalties  | 0.00                 |                   |
| 3- Other Income   | 45.48                |                   |
| <b>4- Federal Income Tax Withheld</b>                   | <b>0.00</b>          |                   |
| 8- Substitute Payments in Lieu of Dividends or Interest | 0.00                 |                   |

| INTEREST INCOME  | 2021 Form 1099-INT* | OMB No. 1545-0112 |
|--|---------------------|-------------------|
| 1- Interest Income                                       | 34.93               |                   |
| 2- Early Withdrawal Penalty                              | 0.00                |                   |
| 3- Interest on U.S. Savings Bonds & Treasury Obligations | 0.00                |                   |
| <b>4- Federal Income Tax Withheld</b>                    | <b>0.00</b>         |                   |
| 5- Investment Expenses                                   | 0.00                |                   |
| 6- Foreign Tax Paid                                      | 0.00                |                   |
| 7- Foreign Country or U.S. Possession                    |                     |                   |
| 8- Tax-Exempt Interest (includes box 9)                  | 0.00                |                   |
| 9- Specified Private Activity Bond Interest              | 0.00                |                   |
| 10- Market Discount                                      | 0.00                |                   |
| 11- Bond Premium   | 0.00                |                   |
| 12- Bond Premium on Treasury Obligations                 | 0.00                |                   |
| 13- Bond Premium on Tax-Exempt Bonds                     | 0.00                |                   |
| 14- Tax-Exempt and Tax Credit Bond CUSIP no.             |                     |                   |

| REGULATED FUTURES CONTRACTS & SECTION 1256 OPTIONS   | 2021 Form 1099-B* | OMB No. 1545-0715 |
|--|-------------------|-------------------|
| 8- Profit or (loss) realized in 2021 on closed contracts   | 0.00              |                   |
| 9- Unrealized profit or (loss) on open contracts - 12/31/2020  | 0.00              |                   |
| 10- Unrealized profit or (loss) on open contracts - 12/31/2021   | 0.00              |                   |
| 11- Aggregate profit or (loss) on contracts  | 0.00              |                   |
| <i>As applicable, proceeds from other sale transactions are summarized below and details are provided in subsequent sections of this document. More details on futures and section 1256 options transactions are also provided in other sections of this document.</i> |                   |                   |

APEX CLEARING

**Tax Summary**

2021

5NG11669

01/31/2022

**Summary Of Sale Proceeds**

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

| <b>Section</b>                                    | <b>Total Proceeds</b> | <b>Total Cost Basis</b> | <b>Total Market Discount</b> | <b>Wash Sale Loss Disallowed</b> | <b>Total Net Gain or Loss(-)</b> |
|---|-----------------------|-------------------------|------------------------------|----------------------------------|----------------------------------|
| Short-term transactions for covered tax lots      | 277,792.06            | 292,986.85              | 0.00                         | 10,619.96                        | -4,574.83                        |
| Short-term transactions for noncovered tax lots   | 0.00                  | 0.00                    | 0.00                         | 0.00                             | 0.00                             |
| <b>Total Short-term</b>                           | <b>277,792.06</b>     | <b>292,986.85</b>       | <b>0.00</b>                  | <b>10,619.96</b>                 | <b>-4,574.83</b>                 |
| Long-term transactions for covered tax lots       | 19.56                 | 19.10                   | 0.00                         | 0.00                             | 0.46                             |
| Long-term transactions for noncovered tax lots    | 0.00                  | 0.00                    | 0.00                         | 0.00                             | 0.00                             |
| <b>Total Long-term</b>                            | <b>19.56</b>          | <b>19.10</b>            | <b>0.00</b>                  | <b>0.00</b>                      | <b>0.46</b>                      |
| Undetermined transactions for noncovered tax lots | 0.00                  | 0.00                    | 0.00                         | 0.00                             | 0.00                             |
| <b>Total Undetermined-term</b>                    | <b>0.00</b>           | <b>0.00</b>             | <b>0.00</b>                  | <b>0.00</b>                      | <b>0.00</b>                      |

**ORIGINAL ISSUE DISCOUNT SUMMARY\***

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

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

**FEDERAL TAX WITHHELD**

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

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

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

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

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

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

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

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

FATCA filing requirement [ ]

**SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS**

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

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

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

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

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

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

**Description of property | CUSIP | Symbol(Box 1a)**

| Date Sold or Disposed (Box 1c) | Quantity                 | Proceeds (Box 1d) | Date Acquired (Box 1b)   | Cost or Other Basis (Box 1e) | Accrued Market Discount (M)(Box 1f) & Wash Sale Loss Disallowed (D)(Box 1g) |                     | Gain or Loss(-) | Additional Notes |
|--------------------------------|--------------------------|-------------------|--------------------------|------------------------------|---|---------------------|-----------------|------------------|
|                                |                          |                   |                          |                              |   |                     |                 |                  |
| ***SOS LTD                     | AMERICAN DPSTRY SHRS ECH |                   | RPRSNTNG TEN CL A SHARES |                              | CUSIP: 83587W106  | Symbol(Box 1a): SOS |                 |                  |
| 02/11/2021                     | 200.00                   | 807.96            | Various                  | 795.89                       | 1.02  | D                   | 13.09           | Sale             |
| 03/02/2021                     | 500.00                   | 3,484.92          | Various                  | 3,371.34                     | 33.41   | D                   | 146.99          | Sale             |
| 03/02/2021                     | 1,065.00                 | 7,156.63          | Various                  | 7,168.91                     | 33.09   | D                   | 20.81           | Sale             |
| 03/04/2021                     | 450.00                   | 3,316.43          | Various                  | 3,084.01                     | 23.65   | D                   | 256.07          | Sale             |
| 03/11/2021                     | 800.00                   | 5,175.87          | Various                  | 4,650.23                     | 18.85   | D                   | 544.49          | Sale             |
| 03/12/2021                     | 46.00                    | 289.37            | Various                  | 283.35                       | 15.3  | D                   | 21.32           | Sale             |
| 03/15/2021                     | 79.00                    | 574.31            | Various                  | 528.33                       | 10.83   | D                   | 56.81           | Sale             |
| 04/01/2021                     | 600.00                   | 2,933.91          | Various                  | 3,612.75                     | 678.84  | D                   | 0.00            | Sale             |

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APEX CLEARING

Proceeds from Broker and Barter Exchange Transactions

2021 Form 1099-B\*

5NG11669

(continued)

01/31/2022

OMB No. 1545-0715

SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

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

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

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

Box 12: Basis Reported to the IRS

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Description of property | CUSIP | Symbol(Box 1a)

| Date Sold or Disposed (Box 1c)  | Quantity | Proceeds (Box 1d) | Date Acquired (Box 1b) | Cost or Other Basis (Box 1e) | Accrued Market Discount (M)(Box 1f) & Wash Sale Loss Disallowed (D)(Box 1g) | Gain or Loss(-) | Additional Notes |
|---|----------|-------------------|------------------------|------------------------------|---|-----------------|------------------|
| ***SOS LTD AMERICAN DPSTRY SHRS ECH RPRSNTNG TEN CL A SHARES   CUSIP: 83587W106   Symbol(Box 1a): SOS |          |                   |                        |                              |   |                 |                  |
| 04/08/2021  | 1,200.00 | 6,347.82          | Various                | 6,573.93                     | 448.37 D  | 222.26          | Sale             |
| 04/09/2021  | 600.00   | 3,149.91          | Various                | 3,589.32                     | 439.41 D  | 0.00            | Sale             |
| <b>Security Totals:</b>   |          | <b>33,237.13</b>  |                        | <b>33,658.06</b>             |   | <b>1,281.84</b> |                  |
| CALL RKT 06/11/21 24.50 ROCKET COMPANIES INC CL A   CUSIP:   Symbol(Box 1a): RKT210611C00024500       |          |                   |                        |                              |   |                 |                  |
| 06/11/2021  | 9.00     | 0.00              | Various                | 266.67                       | 0.00  | -266.67         | Expiration       |
| BROOKLYN IMMUNOTHERAPEUTICS INC COMMON STOCK   CUSIP: 114082100   Symbol(Box 1a): BTX                 |          |                   |                        |                              |   |                 |                  |
| 04/15/2021  | 137.00   | 997.33            | 04/13/2021             | 876.62                       | 0.00  | 120.71          | Sale             |
| 04/15/2021  | 613.00   | 4,290.90          | 04/13/2021             | 3,922.38                     | 0.00  | 368.52          | Sale             |
| <b>Security Totals:</b>   |          | <b>5,288.23</b>   |                        | <b>4,799.00</b>              |   | <b>489.23</b>   |                  |
| AIKIDO PHARMA INC COMMON STOCK   CUSIP: 008875106   Symbol(Box 1a): AIKI                              |          |                   |                        |                              |   |                 |                  |
| 01/26/2021  | 10.00    | 15.28             | 01/06/2021             | 11.50                        | 0.00  | 3.78            | Sale             |
| 01/26/2021  | 40.00    | 68.78             | 01/06/2021             | 46.00                        | 0.00  | 22.78           | Sale             |
| 01/26/2021  | 50.00    | 75.48             | 01/06/2021             | 66.01                        | 0.00  | 9.47            | Sale             |
| 01/26/2021  | 100.00   | 149.98            | Various                | 149.00                       | 3.51 D  | 4.49            | Sale             |
| <b>Security Totals:</b>   |          | <b>309.52</b>     |                        | <b>272.51</b>                |   | <b>40.52</b>    |                  |
| ADAMIS PHARMACEUTICALS CORPORATION   CUSIP: 00547W208   Symbol(Box 1a): ADMP                          |          |                   |                        |                              |   |                 |                  |
| 01/21/2021  | 130.00   | 206.67            | Various                | 166.80                       | 0.00  | 39.87           | Sale             |
| MICROVISION INC DEL   CUSIP: 594960304   Symbol(Box 1a): MVIS   |          |                   |                        |                              |   |                 |                  |
| 04/28/2021  | 80.00    | 1,927.98          | 04/27/2021             | 1,660.00                     | 0.00  | 267.98          | Sale             |
| 05/04/2021  | 25.00    | 412.48            | 05/03/2021             | 347.75                       | 0.00  | 64.73           | Sale             |
| 05/04/2021  | 25.00    | 417.48            | 05/03/2021             | 347.75                       | 0.00  | 69.73           | Sale             |

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**SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS**

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

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

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

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

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

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

**Description of property | CUSIP | Symbol(Box 1a)**

| Date Sold or Disposed (Box 1c)   | Quantity | Proceeds (Box 1d) | Date Acquired (Box 1b) | Cost or Other Basis (Box 1e) | Accrued Market Discount (M)(Box 1f) & Wash Sale Loss Disallowed (D)(Box 1g) | Gain or Loss(-) | Additional Notes |
|--|----------|-------------------|------------------------|------------------------------|---|-----------------|------------------|
| 05/06/2021   | 25.00    | 342.98            | 05/03/2021             | 347.75                       | 0.00  | -4.77           | Sale             |
| <b>Security Totals:</b>  |          | <b>3,100.92</b>   |                        | <b>2,703.25</b>              |   | <b>397.67</b>   |                  |
| DATASEA INC COMMON STOCK   CUSIP: 238116206   Symbol(Box 1a): DTSS                     |          |                   |                        |                              |   |                 |                  |
| 01/14/2021   | 100.00   | 436.98            | 01/13/2021             | 252.00                       | 0.00  | 184.98          | Sale             |
| ***UTSTARCOM HOLDINGS CORP SHS   CUSIP: G9310A114   Symbol(Box 1a): UTSI               |          |                   |                        |                              |   |                 |                  |
| 02/09/2021   | 200.00   | 417.97            | Various                | 373.00                       | 0.00  | 44.97           | Sale             |
| RIOT BLOCKCHAIN INC COMMON STOCK   CUSIP: 767292105   Symbol(Box 1a): RIOT             |          |                   |                        |                              |   |                 |                  |
| 04/26/2021   | 100.00   | 4,093.97          | Various                | 3,435.00                     | 0.00  | 658.97          | Sale             |
| CALL GE 02/26/21 12 GENERAL ELECTRIC CO   CUSIP:   Symbol(Box 1a): GE210226C00012000   |          |                   |                        |                              |   |                 |                  |
| 02/22/2021   | 1.00     | 47.90             | 02/12/2021             | 20.08                        | 0.00  | 27.82           | Sell to Close    |
| 02/22/2021   | 1.00     | 72.90             | 02/18/2021             | 11.08                        | 0.00  | 61.82           | Sell to Close    |
| 02/22/2021   | 3.00     | 119.74            | 02/12/2021             | 66.24                        | 0.00  | 53.50           | Sell to Close    |
| 02/22/2021   | 1.00     | 52.90             | 02/18/2021             | 11.08                        | 0.00  | 41.82           | Sell to Close    |
| <b>Security Totals:</b>  |          | <b>293.44</b>     |                        | <b>108.48</b>                |   | <b>184.96</b>   |                  |
| CALL NOK 02/19/21 8 NOKIA CORPORATION   CUSIP:   Symbol(Box 1a): NOK210219C00008000    |          |                   |                        |                              |   |                 |                  |
| 02/19/2021   | 8.00     | 0.00              | Various                | 594.64                       | 0.00  | -594.64         | Expiration       |
| ESPORTS ENTERTAINMENT GROUP INC COMMON STOCK   CUSIP: 29667K306   Symbol(Box 1a): GMBL |          |                   |                        |                              |   |                 |                  |
| 02/11/2021   | 40.00    | 731.97            | Various                | 656.00                       | 0.00  | 75.97           | Sale             |
| IDEANOMICS INC COMMON STOCK   CUSIP: 45166V106   Symbol(Box 1a): IDEX                  |          |                   |                        |                              |   |                 |                  |
| 01/15/2021   | 40.00    | 147.18            | 01/08/2021             | 124.00                       | 0.00  | 23.18           | Sale             |
| 01/15/2021   | 100.00   | 363.98            | 01/08/2021             | 339.00                       | 0.00  | 24.98           | Sale             |
| 01/21/2021   | 200.00   | 647.96            | Various                | 606.50                       | 0.00  | 41.46           | Sale             |
| <b>Security Totals:</b>  |          | <b>1,159.12</b>   |                        | <b>1,069.50</b>              |   | <b>89.62</b>    |                  |

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APEX CLEARING

## Proceeds from Broker and Barter Exchange Transactions

2021 Form 1099-B\*

5NG11669

(continued)

01/31/2022

OMB No. 1545-0715

**SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS**

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

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

| Date Sold or Disposed (Box 1c)  | Quantity  | Proceeds (Box 1d)   | Date Acquired (Box 1b) | Cost or Other Basis (Box 1e) | Accrued Market Discount (M)(Box 1f) & Wash Sale Loss Disallowed (D)(Box 1g) | Gain or Loss(-) | Additional Notes |
|---------------------------------|---|---|------------------------|------------------------------|---|-----------------|------------------|
| CALL SPCE 02/05/21              | 55  | VIRGIN GALACTIC HOLDINGS INC   CUSIP:   Symbol(Box 1a): SPCE210205C00055000 |                        |                              |   |                 |                  |
| 02/03/2021                      | 1.00  | 514.89  | 02/02/2021             | 192.08                       | 0.00  | 322.81          | Sell to Close    |
| ***NANO DIMENSION LTD           | AMERICAN DEPOSITARY SHARES   CUSIP: 63008G203   Symbol(Box 1a): NNDM            |   |                        |                              |   |                 |                  |
| 05/26/2021                      | 100.00  | 695.98  | 05/06/2021             | 633.50                       | 0.00  | 62.48           | Sale             |
| 06/17/2021                      | 50.00   | 399.12  | 05/06/2021             | 316.75                       | 0.00  | 82.37           | Sale             |
| <b>Security Totals:</b>         |   | <b>1,095.10</b>   |                        | <b>950.25</b>                |   | <b>144.85</b>   |                  |
| PULMATRIX INC                   | COMMON STOCK   CUSIP: 74584P202   Symbol(Box 1a): PULM                          |   |                        |                              |   |                 |                  |
| 03/08/2021                      | 100.00  | 122.98  | 02/10/2021             | 246.00                       | 0.00  | -123.02         | Sale             |
| BIOLASE INC                     | COMMON STOCK   CUSIP: 090911207   Symbol(Box 1a): BIOL                          |   |                        |                              |   |                 |                  |
| 01/21/2021                      | 600.00  | 647.91  | Various                | 602.49                       | 0.00  | 45.42           | Sale             |
| ***HUDSON CAPITAL INC           | ORDINARY SHARES   CUSIP: G4645C208   Symbol(Box 1a): HUSN                       |   |                        |                              |   |                 |                  |
| 02/02/2021                      | 50.00   | 194.98  | 01/27/2021             | 194.50                       | 0.00  | 0.48            | Sale             |
| MEDALIST DIVERSIFIED REIT INC   | COMMON STOCK   CUSIP: 58403P105   Symbol(Box 1a): MDRR                          |   |                        |                              |   |                 |                  |
| 03/24/2021                      | 1,100.00  | 2,144.85  | 03/11/2021             | 3,652.00                     | 0.00  | -1,507.15       | Sale             |
| SUNDANCE ENERGY INC             | COMMON STOCK   CUSIP: 86725N102   Symbol(Box 1a): SNDE                          |   |                        |                              |   |                 |                  |
| 01/28/2021                      | 100.00  | 281.98  | 01/25/2021             | 231.00                       | 0.00  | 50.98           | Sale             |
| ***ORIENTAL CULTURE HOLDING LTD | ORDINARY SHARES   CUSIP: G6796W107   Symbol(Box 1a): OCG                        |   |                        |                              |   |                 |                  |
| 03/17/2021                      | 30.00   | 236.98  | Various                | 224.35                       | 0.00  | 12.63           | Sale             |
| 10X CAPITAL VENTURE             | ACQUISITION CORP CLASS A COMMON STOCK   CUSIP: 88025V107   Symbol(Box 1a): VCVC |   |                        |                              |   |                 |                  |
| 03/08/2021                      | 20.00   | 206.58  | Various                | 312.30                       | 0.00  | -105.72         | Sale             |
| MOXIAN INC                      | COMMON STOCK   CUSIP: 624697306   Symbol(Box 1a): MOXC                          |   |                        |                              |   |                 |                  |
| 02/08/2021                      | 150.00  | 391.47  | Various                | 363.50                       | 0.00  | 27.97           | Sale             |
| NXT ID INC                      | COM NEW   CUSIP: 67091J206   Symbol(Box 1a): NXTD                               |   |                        |                              |   |                 |                  |
| 01/29/2021                      | 100.00  | 173.98  | 01/08/2021             | 168.00                       | 0.00  | 5.98            | Sale             |

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APEX CLEARING

## Proceeds from Broker and Barter Exchange Transactions

2021 Form 1099-B\*

5NG11669

(continued)

01/31/2022

OMB No. 1545-0715

**SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS**

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

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

| Date Sold or Disposed (Box 1c)  | Quantity | Proceeds (Box 1d) | Date Acquired (Box 1b) | Cost or Other Basis (Box 1e) | Accrued Market Discount (M)(Box 1f) & Wash Sale Loss Disallowed (D)(Box 1g) | Gain or Loss(-) | Additional Notes |
|---|----------|-------------------|------------------------|------------------------------|---|-----------------|------------------|
| <b>NXT ID INC</b>   COMMON NEW   CUSIP: 67091J206   Symbol(Box 1a): NXTD  |          |                   |                        |                              |   |                 |                  |
| 01/29/2021  | 100.00   | 165.98            | 01/08/2021             | 168.00                       | 2.02 D  | 0.00            | Sale             |
| 01/29/2021  | 100.00   | 172.98            | 01/08/2021             | 168.00                       | 0.00  | 4.98            | Sale             |
| 02/08/2021  | 100.00   | 179.98            | 01/08/2021             | 168.00                       | 0.00  | 11.98           | Sale             |
| 02/08/2021  | 800.00   | 1,343.87          | Various                | 1,179.72                     | 0.00  | 164.15          | Sale             |
| <b>Security Totals:</b>   |          | <b>2,036.79</b>   |                        | <b>1,851.72</b>              |   | <b>187.09</b>   |                  |
| <b>VERICITY INC</b>   COMMON STOCK   CUSIP: 92347D100   Symbol(Box 1a): VERY                                    |          |                   |                        |                              |   |                 |                  |
| 04/08/2021  | 100.00   | 2,039.97          | 04/08/2021             | 1,491.33                     | 0.00  | 548.64          | Sale             |
| 04/08/2021  | 100.00   | 2,049.97          | Various                | 1,492.86                     | 0.00  | 557.11          | Sale             |
| 04/08/2021  | 150.00   | 3,029.96          | 04/08/2021             | 2,237.00                     | 0.00  | 792.96          | Sale             |
| 04/09/2021  | 5.00     | 69.29             | 04/08/2021             | 68.60                        | 0.00  | 0.69            | Sale             |
| <b>Security Totals:</b>   |          | <b>7,189.19</b>   |                        | <b>5,289.79</b>              |   | <b>1,899.40</b> |                  |
| <b>CALL MVIS</b> 02/19/21 15   MICROVISION INC   CUSIP:   Symbol(Box 1a): MVIS210219C00015000                   |          |                   |                        |                              |   |                 |                  |
| 02/03/2021  | 2.00     | 69.82             | 01/28/2021             | 60.16                        | 0.00  | 9.66            | Sell to Close    |
| <b>APTEVO THERAPEUTICS INC</b>   COMMON STOCK   CUSIP: 03835L207   Symbol(Box 1a): APVO                         |          |                   |                        |                              |   |                 |                  |
| 11/02/2021  | 250.00   | 4,299.94          | Various                | 5,021.01                     | 1083.43 D   | 362.36          | Sale             |
| <b>CALL AVEO</b> 10/15/21 12   AVEO PHARMACEUTICALS INC   CUSIP:   Symbol(Box 1a): AVEO211015C00012000          |          |                   |                        |                              |   |                 |                  |
| 10/15/2021  | 3.00     | 0.00              | Various                | 125.17                       | 0.00  | -125.17         | Expiration       |
| <b>***POWERBRIDGE TECHNOLOGIES CO LTD ORDINARY SHARES</b>   CUSIP: G72007100   Symbol(Box 1a): PBTS             |          |                   |                        |                              |   |                 |                  |
| 03/12/2021  | 50.00    | 192.40            | 02/19/2021             | 288.00                       | 0.00  | -95.60          | Sale             |
| <b>***HAPPINESS DEVELOPMENT GROUP LIMITED CLASS A ORDINARY SHARES</b>   CUSIP: G4289N114   Symbol(Box 1a): HAPP |          |                   |                        |                              |   |                 |                  |
| 01/12/2021  | 400.00   | 1,067.92          | Various                | 850.95                       | 0.00  | 216.97          | Sale             |

APEX CLEARING

Proceeds from Broker and Barter Exchange Transactions

2021 Form 1099-B\*

5NG11669

(continued)

01/31/2022

OMB No. 1545-0715

SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

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

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

Box 5: Box Not Checked (Covered Security)

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

Box 12: Basis Reported to the IRS

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Description of property | CUSIP | Symbol(Box 1a)

| Date Sold or Disposed (Box 1c)   | Quantity | Proceeds (Box 1d) | Date Acquired (Box 1b) | Cost or Other Basis (Box 1e) | Accrued Market Discount (M)(Box 1f) & Wash Sale Loss Disallowed (D)(Box 1g) | Gain or Loss(-) | Additional Notes |
|--|----------|-------------------|------------------------|------------------------------|---|-----------------|------------------|
| WILLAMETTE VALLEY VINEYARD INC   CUSIP: 969136100   Symbol(Box 1a): WVVI |          |                   |                        |                              |   |                 |                  |
| 04/29/2021   | 50.00    | 784.98            | 04/29/2021             | 837.61                       | 52.63 D   | 0.00            | Sale             |
| 04/29/2021   | 50.00    | 790.98            | 04/29/2021             | 837.61                       | 46.63 D   | 0.00            | Sale             |
| 04/29/2021   | 100.00   | 1,242.98          | 04/29/2021             | 1,639.84                     | 396.86 D  | 0.00            | Sale             |
| 04/29/2021   | 100.00   | 1,243.55          | 04/29/2021             | 1,655.93                     | 0.00  | -412.38         | Sale             |
| 04/29/2021   | 100.00   | 1,559.98          | 04/29/2021             | 1,695.22                     | 135.24 D  | 0.00            | Sale             |
| 04/29/2021   | 100.00   | 1,247.98          | Various                | 1,943.89                     | 0.00  | -695.91         | Sale             |
| 04/29/2021   | 100.00   | 1,624.98          | 04/29/2021             | 1,637.46                     | 12.48 D   | 0.00            | Sale             |
| 04/29/2021   | 100.00   | 1,449.98          | 04/29/2021             | 1,575.20                     | 125.22 D  | 0.00            | Sale             |
| 04/29/2021   | 100.00   | 1,469.98          | 04/29/2021             | 1,575.20                     | 105.22 D  | 0.00            | Sale             |
| 04/29/2021   | 100.00   | 1,529.98          | 04/29/2021             | 1,575.20                     | 45.22 D   | 0.00            | Sale             |
| 04/29/2021   | 100.00   | 1,296.98          | Various                | 1,601.48                     | 304.50 D  | 0.00            | Sale             |
| 04/29/2021   | 100.00   | 1,559.98          | 04/29/2021             | 1,645.22                     | 85.24 D   | 0.00            | Sale             |
| 04/29/2021   | 100.00   | 1,499.98          | 04/29/2021             | 1,575.20                     | 75.22 D   | 0.00            | Sale             |
| 04/29/2021   | 100.00   | 1,255.98          | 04/29/2021             | 1,587.46                     | 331.48 D  | 0.00            | Sale             |
| 04/29/2021   | 100.00   | 1,232.98          | 04/29/2021             | 1,517.46                     | 284.48 D  | 0.00            | Sale             |
| 04/29/2021   | 100.00   | 1,241.98          | 04/29/2021             | 1,660.09                     | 418.11 D  | 0.00            | Sale             |
| 04/29/2021   | 100.00   | 1,599.98          | 04/29/2021             | 1,615.22                     | 15.24 D   | 0.00            | Sale             |

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APEX CLEARING

Proceeds from Broker and Barter Exchange Transactions

2021 Form 1099-B\*

5NG11669

(continued)

01/31/2022

OMB No. 1545-0715

SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

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

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

Box 5: Box Not Checked (Covered Security)

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

Box 12: Basis Reported to the IRS

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Description of property | CUSIP | Symbol(Box 1a)

| Date Sold or Disposed (Box 1c)   | Quantity | Proceeds (Box 1d) | Date Acquired (Box 1b) | Cost or Other Basis (Box 1e) | Accrued Market Discount (M)(Box 1f) & Wash Sale Loss Disallowed (D)(Box 1g) | Gain or Loss(-)  | Additional Notes |
|--|----------|-------------------|------------------------|------------------------------|---|------------------|------------------|
| WILLAMETTE VALLEY VINEYARD INC   CUSIP: 969136100   Symbol(Box 1a): WVVI |          |                   |                        |                              |   |                  |                  |
| 04/29/2021   | 200.00   | 2,475.96          | Various                | 3,008.12                     | 532.16 D  | 0.00             | Sale             |
| 04/29/2021   | 200.00   | 2,473.96          | Various                | 3,576.87                     | 1102.91 D   | 0.00             | Sale             |
| 04/29/2021   | 300.00   | 3,719.94          | Various                | 5,559.19                     | 0.00  | -1,839.25        | Sale             |
| <b>Security Totals:</b>  |          | <b>31,303.09</b>  |                        | <b>38,319.47</b>             |   | <b>-2,947.54</b> |                  |
| TAKUNG ART CO LTD COM   CUSIP: 87407Q207   Symbol(Box 1a): TKAT          |          |                   |                        |                              |   |                  |                  |
| 04/22/2021   | 45.00    | 1,282.48          | Various                | 924.45                       | 0.00  | 358.03           | Sale             |
| 04/22/2021   | 50.00    | 1,350.98          | Various                | 1,033.34                     | 0.00  | 317.64           | Sale             |
| 04/22/2021   | 100.00   | 2,624.97          | Various                | 2,055.00                     | 0.00  | 569.97           | Sale             |
| 04/22/2021   | 100.00   | 2,679.97          | Various                | 2,066.81                     | 0.00  | 613.16           | Sale             |
| 06/01/2021   | 6.00     | 143.98            | 05/20/2021             | 119.28                       | 0.00  | 24.70            | Sale             |
| <b>Security Totals:</b>  |          | <b>8,082.38</b>   |                        | <b>6,198.88</b>              |   | <b>1,883.50</b>  |                  |
| T2 BIOSYSTEMS INC COM   CUSIP: 89853L104   Symbol(Box 1a): TTOO          |          |                   |                        |                              |   |                  |                  |
| 01/26/2021   | 10.00    | 32.48             | 01/12/2021             | 19.20                        | 0.00  | 13.28            | Sale             |
| 01/26/2021   | 20.00    | 46.98             | 01/12/2021             | 38.40                        | 0.00  | 8.58             | Sale             |
| 01/26/2021   | 20.00    | 58.98             | 01/12/2021             | 38.40                        | 0.00  | 20.58            | Sale             |
| 01/26/2021   | 50.00    | 131.48            | 01/12/2021             | 99.00                        | 0.00  | 32.48            | Sale             |
| 01/26/2021   | 50.00    | 137.48            | 01/12/2021             | 97.00                        | 0.00  | 40.48            | Sale             |
| 01/26/2021   | 100.00   | 247.98            | Various                | 203.00                       | 0.00  | 44.98            | Sale             |
| 01/26/2021   | 100.00   | 217.98            | 01/12/2021             | 205.00                       | 0.00  | 12.98            | Sale             |
| 01/26/2021   | 100.00   | 254.98            | Various                | 199.50                       | 0.00  | 55.48            | Sale             |
| 01/26/2021   | 100.00   | 218.98            | 01/12/2021             | 205.00                       | 0.00  | 13.98            | Sale             |
| <b>Security Totals:</b>  |          | <b>1,347.32</b>   |                        | <b>1,104.50</b>              |   | <b>242.82</b>    |                  |

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APEX CLEARING

## Proceeds from Broker and Barter Exchange Transactions

2021 Form 1099-B\*

5NG11669

(continued)

01/31/2022

OMB No. 1545-0715

**SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS**

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

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

| Date Sold or Disposed (Box 1c)   | Quantity | Proceeds (Box 1d) | Date Acquired (Box 1b) | Cost or Other Basis (Box 1e) | Accrued Market Discount (M)(Box 1f) & Wash Sale Loss Disallowed (D)(Box 1g) | Gain or Loss(-) | Additional Notes |
|--|----------|-------------------|------------------------|------------------------------|---|-----------------|------------------|
| SINGULARITY FUTURE TECHNOLOGY LTD COMMON STOCK   CUSIP: 82935V208   Symbol(Box 1a): SINO         |          |                   |                        |                              |   |                 |                  |
| 02/18/2021   | 50.00    | 453.36            | 02/08/2021             | 508.00                       | 54.64 D   | 0.00            | Sale             |
| 02/19/2021   | 100.00   | 997.96            | Various                | 927.64                       | 0.00  | 70.32           | Sale             |
| <b>Security Totals:</b>  |          | <b>1,451.32</b>   |                        | <b>1,435.64</b>              |   | <b>70.32</b>    |                  |
| SYNTHETIC BIOLOGICS INC COMMON STOCK   CUSIP: 87164U201   Symbol(Box 1a): SYN                    |          |                   |                        |                              |   |                 |                  |
| 01/05/2021   | 100.00   | 149.98            | 01/05/2021             | 130.00                       | 0.00  | 19.98           | Sale             |
| 01/25/2021   | 800.00   | 783.96            | Various                | 740.66                       | 0.00  | 43.30           | Sale             |
| 01/25/2021   | 1,000.00 | 999.85            | Various                | 1,106.20                     | 167.06 D  | 60.71           | Sale             |
| <b>Security Totals:</b>  |          | <b>1,933.79</b>   |                        | <b>1,976.86</b>              |   | <b>123.99</b>   |                  |
| ***NLS PHARMACEUTICS LTD ORDINARY SHARES   CUSIP: H57830103   Symbol(Box 1a): NLSP               |          |                   |                        |                              |   |                 |                  |
| 03/24/2021   | 300.00   | 1,106.95          | Various                | 1,584.10                     | 0.00  | -477.15         | Sale             |
| ***PHOENIX NEW MEDIA LTD SPONSORED ADS REPSTG CL A SHS   CUSIP: 71910C103   Symbol(Box 1a): FENG |          |                   |                        |                              |   |                 |                  |
| 02/08/2021   | 100.00   | 174.98            | 02/05/2021             | 164.50                       | 0.00  | 10.48           | Sale             |
| OCUGEN INC COMMON STOCK   CUSIP: 67577C105   Symbol(Box 1a): OCGN                                |          |                   |                        |                              |   |                 |                  |
| 02/04/2021   | 100.00   | 324.98            | Various                | 237.50                       | 0.00  | 87.48           | Sale             |
| 02/05/2021   | 100.00   | 579.97            | 01/26/2021             | 192.00                       | 0.00  | 387.97          | Sale             |
| 02/05/2021   | 100.00   | 624.97            | 02/05/2021             | 498.00                       | 0.00  | 126.97          | Sale             |
| 02/17/2021   | 10.00    | 103.08            | 02/05/2021             | 49.19                        | 0.00  | 53.89           | Sale             |
| 02/17/2021   | 10.00    | 103.19            | 02/05/2021             | 49.19                        | 0.00  | 54.00           | Sale             |
| 02/17/2021   | 10.00    | 102.99            | 02/05/2021             | 49.19                        | 0.00  | 53.80           | Sale             |
| 03/10/2021   | 70.00    | 596.39            | 02/05/2021             | 344.32                       | 0.00  | 252.07          | Sale             |
| 04/23/2021   | 100.00   | 1,159.98          | 04/22/2021             | 926.00                       | 0.00  | 233.98          | Sale             |

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APEX CLEARING

## Proceeds from Broker and Barter Exchange Transactions

2021 Form 1099-B\*

5NG11669

(continued)

01/31/2022

OMB No. 1545-0715

**SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS**

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

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

| Date Sold or Disposed (Box 1c)   | Quantity | Proceeds (Box 1d) | Date Acquired (Box 1b) | Cost or Other Basis (Box 1e) | Accrued Market Discount (M)(Box 1f) & Wash Sale Loss Disallowed (D)(Box 1g) | Gain or Loss(-) | Additional Notes |
|--|----------|-------------------|------------------------|------------------------------|---|-----------------|------------------|
| OCUGEN INC COMMON STOCK   CUSIP: 67577C105   Symbol(Box 1a): OCGN  |          |                   |                        |                              |   |                 |                  |
| 04/27/2021   | 100.00   | 1,201.98          | 04/23/2021             | 1,177.92                     | 0.00  | 24.06           | Sale             |
| 04/29/2021   | 150.00   | 1,624.47          | Various                | 1,491.04                     | 0.00  | 133.43          | Sale             |
| 04/30/2021   | 65.00    | 864.48            | Various                | 775.25                       | 0.00  | 89.23           | Sale             |
| 04/30/2021   | 100.00   | 1,291.98          | Various                | 1,195.25                     | 0.00  | 96.73           | Sale             |
| <b>Security Totals:</b>  |          | <b>8,578.46</b>   |                        | <b>6,984.85</b>              |   | <b>1,593.61</b> |                  |
| ***NIO INC AMERICAN DEPOSITARY SHARES ECH RPRSNTNG ONE CL A ORD SHARE   CUSIP: 62914V106   Symbol(Box 1a): NIO |          |                   |                        |                              |   |                 |                  |
| 03/12/2021   | 10.00    | 452.01            | 03/05/2021             | 364.80                       | 0.00  | 87.21           | Sale             |
| ***SCIENJOY HOLDING CORPRATION CLASS A ORDINARY SHARES   CUSIP: G7864D112   Symbol(Box 1a): SJ                 |          |                   |                        |                              |   |                 |                  |
| 04/29/2021   | 560.00   | 4,910.72          | Various                | 6,634.90                     | 0.00  | -1,724.18       | Sale             |
| ***TAT TECHNOLOGIES LTD ORD   CUSIP: M8740S227   Symbol(Box 1a): TATT  |          |                   |                        |                              |   |                 |                  |
| 03/10/2021   | 20.00    | 107.84            | Various                | 142.90                       | 0.00  | -35.06          | Sale             |
| CALL FUBO 02/19/21 55 FUBOTV INC   CUSIP:   Symbol(Box 1a): FUBO210219C00055000                                |          |                   |                        |                              |   |                 |                  |
| 02/19/2021   | 3.00     | 0.00              | Various                | 716.24                       | 0.00  | -716.24         | Expiration       |
| GLOBALSTAR INC   CUSIP: 378973408   Symbol(Box 1a): GSAT   |          |                   |                        |                              |   |                 |                  |
| 02/11/2021   | 100.00   | 224.09            | 02/04/2021             | 111.00                       | 0.00  | 113.09          | Sale             |
| CALL EYES 11/19/21 7.50 SECOND SIGHT MDCL PRDCTS INC   CUSIP:   Symbol(Box 1a): EYES211119C00007500            |          |                   |                        |                              |   |                 |                  |
| 11/19/2021   | 1.00     | 0.00              | 06/02/2021             | 145.07                       | 0.00  | -145.07         | Expiration       |
| CINEDIGM CORP CLASS A COMMON STOCK   CUSIP: 172406209   Symbol(Box 1a): CIDM                                   |          |                   |                        |                              |   |                 |                  |
| 01/22/2021   | 100.00   | 136.98            | 01/21/2021             | 134.00                       | 0.00  | 2.98            | Sale             |
| 04/01/2021   | 1,700.00 | 2,685.78          | Various                | 3,406.50                     | 0.00  | -720.72         | Sale             |
| <b>Security Totals:</b>  |          | <b>2,822.76</b>   |                        | <b>3,540.50</b>              |   | <b>-717.74</b>  |                  |
| AVEO PHARMACEUTICALS INC COMMON STOCK   CUSIP: 053588307   Symbol(Box 1a): AVEO                                |          |                   |                        |                              |   |                 |                  |
| 03/12/2021   | 200.00   | 2,299.96          | 03/11/2021             | 2,814.75                     | 283.14 D  | -231.65         | Sale             |

APEX CLEARING

## Proceeds from Broker and Barter Exchange Transactions

2021 Form 1099-B\*

5NG11669

(continued)

01/31/2022

OMB No. 1545-0715

**SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS**

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

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

| Date Sold or Disposed (Box 1c)   | Quantity  | Proceeds (Box 1d) | Date Acquired (Box 1b) | Cost or Other Basis (Box 1e) | Accrued Market Discount (M)(Box 1f) & Wash Sale Loss Disallowed (D)(Box 1g) | Gain or Loss(-) | Additional Notes |
|--|---|-------------------|------------------------|------------------------------|---|-----------------|------------------|
| 04/29/2021   | 500.00  | 3,524.92          | Various                | 5,817.79                     | 2375.55 D   | 82.68           | Sale             |
| <b>Security Totals:</b>  |   | <b>5,824.88</b>   |                        | <b>8,632.54</b>              |   | <b>-148.97</b>  |                  |
| CALL FCEL 05/14/21 12  | FUELCELL ENERGY INC   CUSIP:   Symbol(Box 1a): FCEL210514C00012000            |                   |                        |                              |   |                 |                  |
| 05/14/2021   | 10.00   | 0.00              | Various                | 240.78                       | 0.00  | -240.78         | Expiration       |
| CALL COST 01/22/21 370   | COSTCO WHOLESALE CORPORATION   CUSIP:   Symbol(Box 1a): COST210122C00370000   |                   |                        |                              |   |                 |                  |
| 01/22/2021   | 3.00  | 0.00              | Various                | 55.24                        | 0.00  | -55.24          | Expiration       |
| CALL SPCE 02/05/21 57.50   | VIRGIN GALACTIC HOLDINGS INC   CUSIP:   Symbol(Box 1a): SPCE210205C00057500   |                   |                        |                              |   |                 |                  |
| 02/05/2021   | 4.00  | 0.00              | Various                | 570.32                       | 0.00  | -570.32         | Expiration       |
| CALL NIO 04/23/21 40   | NIO INC ADS   CUSIP:   Symbol(Box 1a): NIO210423C00040000                     |                   |                        |                              |   |                 |                  |
| 04/22/2021   | 1.00  | 54.91             | 04/15/2021             | 35.07                        | 0.00  | 19.84           | Sell to Close    |
| SOUTHWESTERN ENERGY CO   CUSIP: 845467109   Symbol(Box 1a): SWN                |   |                   |                        |                              |   |                 |                  |
| 01/13/2021   | 2.00  | 7.50              | Various                | 6.56                         | 0.00  | 0.94            | Sale             |
| CALL SPY 06/23/21 424  | STANDARD & POORS DEPOSITORY   CUSIP:   Symbol(Box 1a): SPY210623C00424000     |                   |                        |                              |   |                 |                  |
| 06/23/2021   | 11.00   | 0.00              | Various                | 167.57                       | 0.00  | -167.57         | Expiration       |
| PUT PLBY 04/16/21 40   | PLBY GROUP INC   CUSIP:   Symbol(Box 1a): PLBY210416P00040000                 |                   |                        |                              |   |                 |                  |
| 04/16/2021   | 1.00  | 74.91             | 04/16/2021             | 35.08                        | 0.00  | 39.83           | Sell to Close    |
| 04/16/2021   | 1.00  | 89.91             | 04/16/2021             | 35.08                        | 0.00  | 54.83           | Sell to Close    |
| <b>Security Totals:</b>  |   | <b>164.82</b>     |                        | <b>70.16</b>                 |   | <b>94.66</b>    |                  |
| CALL BIDU 04/23/21 225   | BAIDU INC   CUSIP:   Symbol(Box 1a): BIDU210423C00225000                      |                   |                        |                              |   |                 |                  |
| 04/23/2021   | 10.00   | 39.17             | Various                | 313.76                       | 0.00  | -274.59         | Sell to Close    |
| CALL PLTR 01/29/21 39  | PALANTIR TECHNOLOGIES INC CL A   CUSIP:   Symbol(Box 1a): PLTR210129C00039000 |                   |                        |                              |   |                 |                  |
| 01/27/2021   | 1.00  | 639.89            | 01/25/2021             | 138.08                       | 0.00  | 501.81          | Sell to Close    |
| OBALON THERAPEUTICS INC COMMON STOCK   CUSIP: 67424L209   Symbol(Box 1a): OBLN |   |                   |                        |                              |   |                 |                  |
| 04/21/2021   | 100.00  | 279.48            | 04/20/2021             | 295.00                       | 15.52 D   | 0.00            | Sale             |
| 04/21/2021   | 2,095.00  | 5,828.96          | Various                | 6,043.46                     | 0.00  | -214.50         | Sale             |
| <b>Security Totals:</b>  |   | <b>6,108.44</b>   |                        | <b>6,338.46</b>              |   | <b>-214.50</b>  |                  |

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APEX CLEARING

Proceeds from Broker and Barter Exchange Transactions

2021 Form 1099-B\*

5NG11669

(continued)

01/31/2022

OMB No. 1545-0715

SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

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

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

Box 5: Box Not Checked (Covered Security)

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

Box 12: Basis Reported to the IRS

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

Description of property | CUSIP | Symbol(Box 1a)

| Date Sold or Disposed (Box 1c)   | Quantity | Proceeds (Box 1d) | Date Acquired (Box 1b) | Cost or Other Basis (Box 1e) | Accrued Market Discount (M)(Box 1f) & Wash Sale Loss Disallowed (D)(Box 1g) | Gain or Loss(-) | Additional Notes |
|--|----------|-------------------|------------------------|------------------------------|---|-----------------|------------------|
| FUBOTV INC COMMON STOCK   CUSIP: 35953D104   Symbol(Box 1a): FUBO  |          |                   |                        |                              |   |                 |                  |
| 01/05/2021   | 3.00     | 86.68             | Various                | 71.03                        | 0.00  | 15.65           | Sale             |
| CALL ROOT 07/16/21 17.50 ROOT INC CL A   CUSIP:   Symbol(Box 1a): ROOT210716C00017500                      |          |                   |                        |                              |   |                 |                  |
| 07/16/2021   | 1.00     | 0.00              | 06/09/2021             | 260.07                       | 0.00  | -260.07         | Expiration       |
| INVO BIOSCIENCE INC COMMON STOCK   CUSIP: 44984F302   Symbol(Box 1a): INVO                                 |          |                   |                        |                              |   |                 |                  |
| 04/28/2021   | 371.00   | 1,558.15          | Various                | 2,186.22                     | 0.00  | -628.07         | Sale             |
| ***CHINA SXT PHARMACEUTICALS INC ORDINARY SHARES   CUSIP: G2161P108   Symbol(Box 1a): SXTC                 |          |                   |                        |                              |   |                 |                  |
| 01/13/2021   | 100.00   | 67.39             | 01/11/2021             | 63.00                        | 0.00  | 4.39            | Sale             |
| 01/13/2021   | 100.00   | 67.98             | 01/11/2021             | 63.00                        | 0.00  | 4.98            | Sale             |
| 01/13/2021   | 100.00   | 66.98             | 01/12/2021             | 55.86                        | 0.00  | 11.12           | Sale             |
| 01/13/2021   | 100.00   | 69.48             | 01/12/2021             | 52.50                        | 0.00  | 16.98           | Sale             |
| 01/13/2021   | 100.00   | 69.28             | 01/12/2021             | 55.00                        | 0.00  | 14.28           | Sale             |
| 01/13/2021   | 100.00   | 69.98             | 01/13/2021             | 64.22                        | 0.00  | 5.76            | Sale             |
| 01/13/2021   | 300.00   | 191.95            | 01/11/2021             | 189.00                       | 0.00  | 2.95            | Sale             |
| 02/09/2021   | 300.00   | 282.85            | 01/28/2021             | 258.33                       | 0.00  | 24.52           | Sale             |
| <b>Security Totals:</b>  |          | <b>885.89</b>     |                        | <b>800.91</b>                |   | <b>84.98</b>    |                  |
| ***BLUE HAT INTERACTIVE ENTERTAINMENT TECHNOLOGY ORDINARY SHARES   CUSIP: G1329V106   Symbol(Box 1a): BHAT |          |                   |                        |                              |   |                 |                  |
| 03/12/2021   | 400.00   | 603.98            | 03/12/2021             | 604.00                       | 0.00  | -0.02           | Sale             |
| ***SPHERE 3D CORP NEW COM NO PAR   CUSIP: 84841L308   Symbol(Box 1a): ANY                                  |          |                   |                        |                              |   |                 |                  |
| 02/08/2021   | 400.00   | 1,199.92          | Various                | 1,023.89                     | 0.00  | 176.03          | Sale             |
| CALL DIS 01/29/21 175 WALT DISNEY CO   CUSIP:   Symbol(Box 1a): DIS210129C00175000                         |          |                   |                        |                              |   |                 |                  |
| 01/25/2021   | 1.00     | 139.90            | 01/25/2021             | 97.08                        | 0.00  | 42.82           | Sell to Close    |

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APEX CLEARING

Proceeds from Broker and Barter Exchange Transactions

2021 Form 1099-B\*

5NG11669

(continued)

01/31/2022

OMB No. 1545-0715

SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

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

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

Box 5: Box Not Checked (Covered Security)

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

Box 12: Basis Reported to the IRS

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

Description of property | CUSIP | Symbol(Box 1a)

| Date Sold or Disposed (Box 1c)  | Quantity | Proceeds (Box 1d) | Date Acquired (Box 1b) | Cost or Other Basis (Box 1e) | Accrued Market Discount (M)(Box 1f) & Wash Sale Loss Disallowed (D)(Box 1g) | Gain or Loss(-) | Additional Notes |
|---|----------|-------------------|------------------------|------------------------------|---|-----------------|------------------|
| CALL DIS 01/29/21 175 WALT DISNEY CO   CUSIP:   Symbol(Box 1a): DIS210129C00175000                    |          |                   |                        |                              |   |                 |                  |
| 01/29/2021  | 4.00     | 0.00              | Various                | 206.32                       | 0.00  | -206.32         | Expiration       |
| <b>Security Totals:</b>   |          | <b>139.90</b>     |                        | <b>303.40</b>                |   | <b>-163.50</b>  |                  |
| SENSEONICS HOLDINGS INC COMMON STOCK \$0.001 PAR VALUE   CUSIP: 81727U105   Symbol(Box 1a): SENS      |          |                   |                        |                              |   |                 |                  |
| 01/14/2021  | 300.00   | 287.68            | Various                | 294.70                       | 8.21 D  | 1.19            | Sale             |
| 01/14/2021  | 300.00   | 287.68            | Various                | 277.25                       | 0.13 D  | 10.56           | Sale             |
| 02/03/2021  | 50.00    | 136.06            | 02/01/2021             | 134.58                       | 0.00  | 1.48            | Sale             |
| <b>Security Totals:</b>   |          | <b>711.42</b>     |                        | <b>706.53</b>                |   | <b>13.23</b>    |                  |
| CALL AVEO 04/16/21 15 AVEO PHARMACEUTICALS INC   CUSIP:   Symbol(Box 1a): AVEO210416C00015000         |          |                   |                        |                              |   |                 |                  |
| 04/16/2021  | 3.00     | 0.00              | Various                | 295.24                       | 0.00  | -295.24         | Expiration       |
| ***ADDEX THERAPEUTICS LTD AMERICAN DEPOSITARY SHARES   CUSIP: 00654J107   Symbol(Box 1a): ADXN        |          |                   |                        |                              |   |                 |                  |
| 02/23/2021  | 90.00    | 1,033.08          | Various                | 1,359.80                     | 0.00  | -326.72         | Sale             |
| CALL F 01/22/21 12 FORD MOTOR COMPANY   CUSIP:   Symbol(Box 1a): F210122C00012000                     |          |                   |                        |                              |   |                 |                  |
| 01/22/2021  | 4.00     | 0.00              | Various                | 93.32                        | 0.00  | -93.32          | Expiration       |
| CALL SPY 04/23/21 416 STANDARD & POORS DEPOSITORY   CUSIP:   Symbol(Box 1a): SPY210423C00416000       |          |                   |                        |                              |   |                 |                  |
| 04/23/2021  | 1.00     | 65.91             | 04/22/2021             | 40.07                        | 0.00  | 25.84           | Sell to Close    |
| BIOGEN INC   CUSIP: 09062X103   Symbol(Box 1a): BIIB  |          |                   |                        |                              |   |                 |                  |
| 06/09/2021  | 1.00     | 406.39            | 06/08/2021             | 377.44                       | 0.00  | 28.95           | Sale             |
| CALL CCL 02/19/21 20 CARNIVAL CORP   CUSIP:   Symbol(Box 1a): CCL210219C00020000                      |          |                   |                        |                              |   |                 |                  |
| 02/04/2021  | 1.00     | 173.90            | 01/26/2021             | 92.08                        | 0.00  | 81.82           | Sell to Close    |
| PUT SPY 04/23/21 414 STANDARD & POORS DEPOSITORY   CUSIP:   Symbol(Box 1a): SPY210423P00414000        |          |                   |                        |                              |   |                 |                  |
| 04/22/2021  | 1.00     | 205.91            | 04/22/2021             | 40.07                        | 0.00  | 165.84          | Sell to Close    |
| ***ALTERITY THERAPEUTICS LIMITED AMERICAN DEPOSITARY SHARES   CUSIP: 02155X106   Symbol(Box 1a): ATHE |          |                   |                        |                              |   |                 |                  |
| 03/08/2021  | 100.00   | 137.98            | 02/08/2021             | 245.00                       | 0.00  | -107.02         | Sale             |

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APEX CLEARING

## Proceeds from Broker and Barter Exchange Transactions

2021 Form 1099-B\*

5NG11669

(continued)

01/31/2022

OMB No. 1545-0715

**SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS**

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

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

| Date Sold or Disposed (Box 1c)   | Quantity | Proceeds (Box 1d) | Date Acquired (Box 1b) | Cost or Other Basis (Box 1e) | Accrued Market Discount (M)(Box 1f) & Wash Sale Loss Disallowed (D)(Box 1g) | Gain or Loss(-) | Additional Notes |
|--|----------|-------------------|------------------------|------------------------------|---|-----------------|------------------|
| CALL RIOT 02/12/21 45 RIOT BLOCKCHAIN INC   CUSIP:   Symbol(Box 1a): RIOT210212C00045000 |          |                   |                        |                              |   |                 |                  |
| 02/12/2021   | 1.00     | 319.90            | 02/11/2021             | 179.08                       | 0.00  | 140.82          | Sell to Close    |
| 02/12/2021   | 1.00     | 344.90            | 02/11/2021             | 148.08                       | 0.00  | 196.82          | Sell to Close    |
| 02/12/2021   | 1.00     | 319.90            | 02/11/2021             | 205.08                       | 0.00  | 114.82          | Sell to Close    |
| <b>Security Totals:</b>  |          | <b>984.70</b>     |                        | <b>532.24</b>                |   | <b>452.46</b>   |                  |
| AILERON THERAPEUTICS INC COMMON STOCK   CUSIP: 00887A105   Symbol(Box 1a): ALRN          |          |                   |                        |                              |   |                 |                  |
| 01/12/2021   | 100.00   | 179.98            | 01/08/2021             | 134.00                       | 0.00  | 45.98           | Sale             |
| 01/13/2021   | 400.00   | 719.93            | 01/08/2021             | 536.00                       | 0.00  | 183.93          | Sale             |
| <b>Security Totals:</b>  |          | <b>899.91</b>     |                        | <b>670.00</b>                |   | <b>229.91</b>   |                  |
| OPGEN INC COMMON STOCK   CUSIP: 68373L307   Symbol(Box 1a): OPGN                         |          |                   |                        |                              |   |                 |                  |
| 04/01/2021   | 10.00    | 25.48             | 03/08/2021             | 31.90                        | 6.42 D  | 0.00            | Sale             |
| 04/20/2021   | 110.00   | 252.98            | Various                | 324.30                       | 0.00  | -71.32          | Sale             |
| 04/20/2021   | 1,000.00 | 2,319.86          | Various                | 3,170.42                     | 0.00  | -850.56         | Sale             |
| <b>Security Totals:</b>  |          | <b>2,598.32</b>   |                        | <b>3,526.62</b>              |   | <b>-921.88</b>  |                  |
| ***CASTOR MARITIME INC COMMON STOCK   CUSIP: Y1146L109   Symbol(Box 1a): CTRM            |          |                   |                        |                              |   |                 |                  |
| 01/28/2021   | 300.00   | 314.95            | Various                | 115.98                       | 0.00  | 198.97          | Sale             |
| 02/08/2021   | 400.00   | 391.94            | 01/25/2021             | 139.92                       | 0.00  | 252.02          | Sale             |
| <b>Security Totals:</b>  |          | <b>706.89</b>     |                        | <b>255.90</b>                |   | <b>450.99</b>   |                  |
| ***BLACKBERRY LTD COM   CUSIP: 09228F103   Symbol(Box 1a): BB                            |          |                   |                        |                              |   |                 |                  |
| 06/07/2021   | 25.00    | 411.23            | 06/04/2021             | 376.73                       | 0.00  | 34.50           | Sale             |
| REGIONAL HEALTH PROPERTIES INC COMMON STOCK   CUSIP: 75903M309   Symbol(Box 1a): RHE     |          |                   |                        |                              |   |                 |                  |
| 04/29/2021   | 275.00   | 1,649.96          | Various                | 1,540.50                     | 0.00  | 109.46          | Sale             |

APEX CLEARING

## Proceeds from Broker and Barter Exchange Transactions

2021 Form 1099-B\*

5NG11669

(continued)

01/31/2022

OMB No. 1545-0715

**SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS**

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

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

| Date Sold or Disposed (Box 1c)  | Quantity | Proceeds (Box 1d) | Date Acquired (Box 1b) | Cost or Other Basis (Box 1e) | Accrued Market Discount (M)(Box 1f) & Wash Sale Loss Disallowed (D)(Box 1g) | Gain or Loss(-) | Additional Notes |
|---|----------|-------------------|------------------------|------------------------------|---|-----------------|------------------|
| REGIONAL HEALTH PROPERTIES INC COMMON STOCK   CUSIP: 75903M309   Symbol(Box 1a): RHE              |          |                   |                        |                              |   |                 |                  |
| 04/30/2021  | 100.00   | 899.98            | 04/30/2021             | 700.00                       | 0.00  | 199.98          | Sale             |
| <b>Security Totals:</b>   |          | <b>2,549.94</b>   |                        | <b>2,240.50</b>              |   | <b>309.44</b>   |                  |
| ROCKET COMPANIES INC CLASS A COMMON STOCK   CUSIP: 77311W101   Symbol(Box 1a): RKT                |          |                   |                        |                              |   |                 |                  |
| 03/02/2021  | 200.00   | 7,399.94          | 03/02/2021             | 7,280.00                     | 0.00  | 119.94          | Sale             |
| 03/08/2021  | 130.00   | 3,355.22          | 03/03/2021             | 4,217.76                     | 0.00  | -862.54         | Sale             |
| <b>Security Totals:</b>   |          | <b>10,755.16</b>  |                        | <b>11,497.76</b>             |   | <b>-742.60</b>  |                  |
| CALL SPCE 01/29/21 46 VIRGIN GALACTIC HOLDINGS INC   CUSIP:   Symbol(Box 1a): SPCE210129C00046000 |          |                   |                        |                              |   |                 |                  |
| 01/27/2021  | 1.00     | 1,524.87          | 01/26/2021             | 110.08                       | 0.00  | 1,414.79        | Sell to Close    |
| 01/27/2021  | 1.00     | 744.89            | 01/26/2021             | 153.08                       | 0.00  | 591.81          | Sell to Close    |
| <b>Security Totals:</b>   |          | <b>2,269.76</b>   |                        | <b>263.16</b>                |   | <b>2,006.60</b> |                  |
| CALL NOK 04/01/21 4.50 NOKIA CORPORATION   CUSIP:   Symbol(Box 1a): NOK210401C00004500            |          |                   |                        |                              |   |                 |                  |
| 04/01/2021  | 3.00     | 0.00              | 03/12/2021             | 46.24                        | 0.00  | -46.24          | Expiration       |
| CALL SPY 03/17/21 403 STANDARD & POORS DEPOSITORY   CUSIP:   Symbol(Box 1a): SPY210317C00403000   |          |                   |                        |                              |   |                 |                  |
| 03/16/2021  | 2.00     | 31.82             | 03/15/2021             | 22.16                        | 0.00  | 9.66            | Sell to Close    |
| 03/17/2021  | 1.00     | 0.00              | 03/15/2021             | 11.08                        | 0.00  | -11.08          | Expiration       |
| <b>Security Totals:</b>   |          | <b>31.82</b>      |                        | <b>33.24</b>                 |   | <b>-1.42</b>    |                  |
| AMC ENTERTAINMENT HOLDINGS INC CL A COM   CUSIP: 00165C104   Symbol(Box 1a): AMC                  |          |                   |                        |                              |   |                 |                  |
| 02/23/2021  | 90.00    | 660.58            | Various                | 1,067.00                     | 406.42 D  | 0.00            | Sale             |
| 02/23/2021  | 100.00   | 737.98            | Various                | 1,110.19                     | 0.00  | -372.21         | Sale             |
| 06/14/2021  | 6.00     | 325.24            | Various                | 306.40                       | 0.00  | 18.84           | Sale             |
| <b>Security Totals:</b>   |          | <b>1,723.80</b>   |                        | <b>2,483.59</b>              |   | <b>-353.37</b>  |                  |

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APEX CLEARING

## Proceeds from Broker and Barter Exchange Transactions

2021 Form 1099-B\*

5NG11669

(continued)

01/31/2022

OMB No. 1545-0715

**SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS**

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

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

| Date Sold or Disposed (Box 1c)  | Quantity | Proceeds (Box 1d) | Date Acquired (Box 1b) | Cost or Other Basis (Box 1e) | Accrued Market Discount (M)(Box 1f) & Wash Sale Loss Disallowed (D)(Box 1g) | Gain or Loss(-) | Additional Notes |
|---|----------|-------------------|------------------------|------------------------------|---|-----------------|------------------|
| <b>CALL TLRV 03/19/21 30 TILRAY INC   CUSIP:   Symbol(Box 1a): TLRV210319C00030000</b>        |          |                   |                        |                              |   |                 |                  |
| 03/19/2021  | 2.00     | 0.00              | Various                | 228.16                       | 0.00  | -228.16         | Expiration       |
| <b>NCS MULTISTAGE HOLDINGS INC COMMON STOCK   CUSIP: 628877201   Symbol(Box 1a): NCSM</b>     |          |                   |                        |                              |   |                 |                  |
| 04/12/2021  | 212.00   | 5,939.05          | Various                | 6,683.75                     | 0.00  | -744.70         | Sale             |
| <b>EASTMAN KODAK COMPANY COM NEW   CUSIP: 277461406   Symbol(Box 1a): KODK</b>                |          |                   |                        |                              |   |                 |                  |
| 02/05/2021  | 40.00    | 448.78            | Various                | 446.80                       | 0.00  | 1.98            | Sale             |
| <b>PETROS PHARMACEUTICALS INC COMMON STOCK   CUSIP: 71678J100   Symbol(Box 1a): PTPI</b>      |          |                   |                        |                              |   |                 |                  |
| 11/03/2021  | 500.00   | 1,814.93          | 11/03/2021             | 1,480.00                     | 0.00  | 334.93          | Sale             |
| 11/29/2021  | 140.00   | 587.97            | 11/08/2021             | 336.00                       | 0.00  | 251.97          | Sale             |
| <b>Security Totals:</b>   |          | <b>2,402.90</b>   |                        | <b>1,816.00</b>              |   | <b>586.90</b>   |                  |
| <b>CALL SOS 04/01/21 7 SOS LIMITED ADS   CUSIP:   Symbol(Box 1a): SOS210401C00007000</b>      |          |                   |                        |                              |   |                 |                  |
| 04/01/2021  | 1.00     | 0.00              | 03/25/2021             | 30.08                        | 0.00  | -30.08          | Expiration       |
| <b>CALL MVIS 07/16/21 24 MICROVISION INC   CUSIP:   Symbol(Box 1a): MVIS210716C00024000</b>   |          |                   |                        |                              |   |                 |                  |
| 05/04/2021  | 1.00     | 279.91            | 04/30/2021             | 190.08                       | 0.00  | 89.83           | Sell to Close    |
| 06/02/2021  | 1.00     | 249.91            | 04/30/2021             | 190.08                       | 0.00  | 59.83           | Sell to Close    |
| <b>Security Totals:</b>   |          | <b>529.82</b>     |                        | <b>380.16</b>                |   | <b>149.66</b>   |                  |
| <b>TITAN PHARMACEUTICALS INC COMMON STOCK   CUSIP: 888314606   Symbol(Box 1a): TTNP</b>       |          |                   |                        |                              |   |                 |                  |
| 02/01/2021  | 50.00    | 194.98            | 01/21/2021             | 158.50                       | 0.00  | 36.48           | Sale             |
| <b>EASTSIDE DISTILLING INC COMMON STOCK   CUSIP: 277802302   Symbol(Box 1a): EAST</b>         |          |                   |                        |                              |   |                 |                  |
| 04/30/2021  | 1,000.00 | 1,769.87          | 04/29/2021             | 1,810.00                     | 0.00  | -40.13          | Sale             |
| <b>***NAKED BRAND GROUP LIMITED ORDINARY SHARES   CUSIP: Q6519T117   Symbol(Box 1a): NAKD</b> |          |                   |                        |                              |   |                 |                  |
| 01/21/2021  | 100.00   | 61.86             | 01/13/2021             | 51.19                        | 0.00  | 10.67           | Sale             |
| 01/21/2021  | 100.00   | 51.98             | 01/14/2021             | 46.50                        | 0.00  | 5.48            | Sale             |

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APEX CLEARING

Proceeds from Broker and Barter Exchange Transactions

2021 Form 1099-B\*

5NG11669

(continued)

01/31/2022

OMB No. 1545-0715

SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

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

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

Box 5: Box Not Checked (Covered Security)

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

Box 12: Basis Reported to the IRS

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

Description of property | CUSIP | Symbol(Box 1a)

| Date Sold or Disposed (Box 1c)  | Quantity | Proceeds (Box 1d) | Date Acquired (Box 1b) | Cost or Other Basis (Box 1e) | Accrued Market Discount (M)(Box 1f) & Wash Sale Loss Disallowed (D)(Box 1g) | Gain or Loss(-) | Additional Notes |
|---|----------|-------------------|------------------------|------------------------------|---|-----------------|------------------|
| ***NAKED BRAND GROUP LIMITED ORDINARY SHARES   CUSIP: Q6519T117   Symbol(Box 1a): NAKD    |          |                   |                        |                              |   |                 |                  |
| 01/21/2021  | 500.00   | 289.93            | Various                | 265.10                       | 0.00  | 24.83           | Sale             |
| 01/27/2021  | 100.00   | 104.98            | 01/25/2021             | 40.87                        | 0.00  | 64.11           | Sale             |
| 01/27/2021  | 100.00   | 294.98            | 01/27/2021             | 35.97                        | 0.00  | 259.01          | Sale             |
| 01/27/2021  | 100.00   | 124.98            | 01/26/2021             | 39.02                        | 0.00  | 85.96           | Sale             |
| 01/27/2021  | 100.00   | 134.98            | 01/26/2021             | 39.19                        | 0.00  | 95.79           | Sale             |
| 01/27/2021  | 100.00   | 144.98            | 01/27/2021             | 35.97                        | 0.00  | 109.01          | Sale             |
| 01/27/2021  | 100.00   | 92.98             | 01/14/2021             | 46.50                        | 0.00  | 46.48           | Sale             |
| 01/27/2021  | 100.00   | 93.98             | 01/25/2021             | 43.88                        | 0.00  | 50.10           | Sale             |
| 01/27/2021  | 200.00   | 179.97            | Various                | 93.00                        | 0.00  | 86.97           | Sale             |
| 02/11/2021  | 200.00   | 365.97            | 02/08/2021             | 229.00                       | 0.00  | 136.97          | Sale             |
| <b>Security Totals:</b>   |          | <b>1,941.57</b>   |                        | <b>966.19</b>                |   | <b>975.38</b>   |                  |
| ***MOLECULAR DATA INC AMERICAN DEPOSITARY SHARES   CUSIP: 60852L106   Symbol(Box 1a): MKD |          |                   |                        |                              |   |                 |                  |
| 02/05/2021  | 500.00   | 845.14            | Various                | 662.00                       | 0.00  | 183.14          | Sale             |
| 02/05/2021  | 200.00   | 323.97            | 01/25/2021             | 272.00                       | 0.00  | 51.97           | Sale             |
| 02/09/2021  | 500.00   | 709.92            | Various                | 581.00                       | 0.00  | 128.92          | Sale             |
| <b>Security Totals:</b>   |          | <b>1,879.03</b>   |                        | <b>1,515.00</b>              |   | <b>364.03</b>   |                  |
| CALL WKHS 06/18/21 20 WORKHORSE GROUP INC   CUSIP:   Symbol(Box 1a): WKHS210618C00020000  |          |                   |                        |                              |   |                 |                  |
| 06/18/2021  | 1.00     | 0.00              | 06/09/2021             | 196.07                       | 0.00  | -196.07         | Expiration       |
| CHEMOCENTRYX INC   CUSIP: 16383L106   Symbol(Box 1a): CCXI                                |          |                   |                        |                              |   |                 |                  |
| 05/27/2021  | 180.00   | 1,842.27          | Various                | 1,788.00                     | 0.00  | 54.27           | Sale             |

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APEX CLEARING

## Proceeds from Broker and Barter Exchange Transactions

2021 Form 1099-B\*

5NG11669

(continued)

01/31/2022

OMB No. 1545-0715

**SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS**

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

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

| Date Sold or Disposed (Box 1c)  | Quantity | Proceeds (Box 1d) | Date Acquired (Box 1b) | Cost or Other Basis (Box 1e) | Accrued Market Discount (M)(Box 1f) & Wash Sale Loss Disallowed (D)(Box 1g) | Gain or Loss(-)  | Additional Notes |
|---|----------|-------------------|------------------------|------------------------------|---|------------------|------------------|
| 06/22/2021  | 15.00    | 192.66            | 06/14/2021             | 202.80                       | 0.00  | -10.14           | Sale             |
| <b>Security Totals:</b>   |          | <b>2,034.93</b>   |                        | <b>1,990.80</b>              |   | <b>44.13</b>     |                  |
| SUPERIOR DRILLING PRODUCTS INC   CUSIP: 868153107   Symbol(Box 1a): SDPI                            |          |                   |                        |                              |   |                  |                  |
| 01/20/2021  | 200.00   | 171.97            | Various                | 166.80                       | 0.00  | 5.17             | Sale             |
| CALL TLRV 02/19/21 42 TILRAY INC   CUSIP:   Symbol(Box 1a): TLRV210219C00042000                     |          |                   |                        |                              |   |                  |                  |
| 02/19/2021  | 6.00     | 0.00              | Various                | 1,185.48                     | 0.00  | -1,185.48        | Expiration       |
| ELYS GAME TECHNOLOGY CORP COMMON STOCK   CUSIP: 290734102   Symbol(Box 1a): ELYS                    |          |                   |                        |                              |   |                  |                  |
| 02/17/2021  | 100.00   | 606.97            | Various                | 596.60                       | 0.00  | 10.37            | Sale             |
| COINBASE GLOBAL INC CLASS A COMMON STOCK   CUSIP: 19260Q107   Symbol(Box 1a): COIN                  |          |                   |                        |                              |   |                  |                  |
| 10/19/2021  | 1.00     | 306.25            | 04/30/2021             | 297.28                       | 0.00  | 8.97             | Sale             |
| SALARIUS PHARMACEUTICALS INC COMMON STOCK   CUSIP: 79400X107   Symbol(Box 1a): SLRX                 |          |                   |                        |                              |   |                  |                  |
| 02/09/2021  | 100.00   | 243.98            | 02/08/2021             | 218.00                       | 0.00  | 25.98            | Sale             |
| CALL SPCE 01/29/21 43 VIRGIN GALACTIC HOLDINGS INC   CUSIP:   Symbol(Box 1a): SPCE210129C00043000   |          |                   |                        |                              |   |                  |                  |
| 01/26/2021  | 1.00     | 329.90            | 01/26/2021             | 174.08                       | 0.00  | 155.82           | Sell to Close    |
| PUT SPY 06/25/21 424 STANDARD & POORS DEPOSITORY   CUSIP:   Symbol(Box 1a): SPY210625P00424000      |          |                   |                        |                              |   |                  |                  |
| 06/25/2021  | 3.00     | 0.00              | Various                | 32.15                        | 0.00  | -32.15           | Expiration       |
| CALL CCIV 02/19/21 55 CHURCHILL CAPITAL CORP IV CL A   CUSIP:   Symbol(Box 1a): CCIV210219C00055000 |          |                   |                        |                              |   |                  |                  |
| 02/19/2021  | 1.00     | 0.00              | 02/17/2021             | 400.08                       | 0.00  | -400.08          | Expiration       |
| CALL NXTD 07/16/21 2.50 NXT ID INC   CUSIP:   Symbol(Box 1a): NXTD210716C00002500                   |          |                   |                        |                              |   |                  |                  |
| 07/16/2021  | 3.00     | 0.00              | Various                | 294.24                       | 0.00  | -294.24          | Expiration       |
| CHURCHILL CAPITAL CORP IV CLASS A COMMON STOCK   CUSIP: 171439102   Symbol(Box 1a): CCIV            |          |                   |                        |                              |   |                  |                  |
| 01/22/2021  | 12.00    | 263.98            | Various                | 228.00                       | 0.00  | 35.98            | Sale             |
| 03/11/2021  | 170.00   | 4,565.12          | Various                | 5,629.46                     | 0.00  | -1,064.34        | Sale             |
| <b>Security Totals:</b>   |          | <b>4,829.10</b>   |                        | <b>5,857.46</b>              |   | <b>-1,028.36</b> |                  |
| ***ANCHIANO THERAPEUTICS LTD AMERICAN DEPOSITARY SHARE   CUSIP: 03280X102   Symbol(Box 1a): ANCN    |          |                   |                        |                              |   |                  |                  |
| 03/15/2021  | 50.00    | 414.98            | 02/10/2021             | 288.50                       | 0.00  | 126.48           | Sale             |

APEX CLEARING

## Proceeds from Broker and Barter Exchange Transactions

2021 Form 1099-B\*

5NG11669

(continued)

01/31/2022

OMB No. 1545-0715

**SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS**

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

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

| Date Sold or Disposed (Box 1c)  | Quantity | Proceeds (Box 1d) | Date Acquired (Box 1b) | Cost or Other Basis (Box 1e) | Accrued Market Discount (M)(Box 1f) & Wash Sale Loss Disallowed (D)(Box 1g) | Gain or Loss(-) | Additional Notes |
|---|----------|-------------------|------------------------|------------------------------|---|-----------------|------------------|
| <b>CALL MARA 02/12/21 45 MARATHON PATENT GROUP INC   CUSIP:   Symbol(Box 1a): MARA210212C00045000</b> |          |                   |                        |                              |   |                 |                  |
| 02/12/2021  | 21.00    | 0.00              | Various                | 1,228.68                     | 0.00  | -1,228.68       | Expiration       |
| <b>CALL WKHS 02/05/21 42 WORKHORSE GROUP INC   CUSIP:   Symbol(Box 1a): WKHS210205C00042000</b>       |          |                   |                        |                              |   |                 |                  |
| 02/04/2021  | 1.00     | 103.90            | 02/03/2021             | 27.08                        | 0.00  | 76.82           | Sell to Close    |
| 02/04/2021  | 1.00     | 136.90            | 02/02/2021             | 32.08                        | 0.00  | 104.82          | Sell to Close    |
| 02/04/2021  | 1.00     | 59.90             | 02/03/2021             | 32.08                        | 0.00  | 27.82           | Sell to Close    |
| <b>Security Totals:</b>   |          | <b>300.70</b>     |                        | <b>91.24</b>                 |   | <b>209.46</b>   |                  |
| <b>CALL RIOT 02/12/21 49 RIOT BLOCKCHAIN INC   CUSIP:   Symbol(Box 1a): RIOT210212C00049000</b>       |          |                   |                        |                              |   |                 |                  |
| 02/12/2021  | 1.00     | 61.90             | 02/12/2021             | 97.08                        | 0.00  | -35.18          | Sell to Close    |
| <b>ALLIED ESPORTS ENTERTAINMENT INC COMMON STOCK   CUSIP: 019170109   Symbol(Box 1a): AESE</b>        |          |                   |                        |                              |   |                 |                  |
| 03/11/2021  | 2,800.00 | 7,048.73          | 03/05/2021             | 7,756.00                     | 25.26 D   | -682.01         | Sale             |
| 03/17/2021  | 200.00   | 535.97            | Various                | 555.76                       | 0.00  | -19.79          | Sale             |
| <b>Security Totals:</b>   |          | <b>7,584.70</b>   |                        | <b>8,311.76</b>              |   | <b>-701.80</b>  |                  |
| <b>CALL WKHS 02/05/21 43 WORKHORSE GROUP INC   CUSIP:   Symbol(Box 1a): WKHS210205C00043000</b>       |          |                   |                        |                              |   |                 |                  |
| 02/05/2021  | 3.00     | 0.00              | Various                | 58.24                        | 0.00  | -58.24          | Expiration       |
| <b>CALL VIAC 06/18/21 42 VIACOMCBS INC CLASS B   CUSIP:   Symbol(Box 1a): VIAC210618C00042000</b>     |          |                   |                        |                              |   |                 |                  |
| 06/18/2021  | 1.00     | 0.00              | 06/14/2021             | 105.05                       | 0.00  | -105.05         | Expiration       |
| <b>CALL RIOT 02/19/21 70 RIOT BLOCKCHAIN INC   CUSIP:   Symbol(Box 1a): RIOT210219C00070000</b>       |          |                   |                        |                              |   |                 |                  |
| 02/17/2021  | 1.00     | 824.89            | 02/17/2021             | 350.08                       | 0.00  | 474.81          | Sell to Close    |
| <b>***ZOMEDICA CORP COM   CUSIP: 98980M109   Symbol(Box 1a): ZOM</b>                                  |          |                   |                        |                              |   |                 |                  |
| 01/07/2021  | 100.00   | 40.98             | 01/05/2021             | 40.00                        | 0.00  | 0.98            | Sale             |
| 01/12/2021  | 300.00   | 353.95            | Various                | 257.98                       | 0.00  | 95.97           | Sale             |
| 02/02/2021  | 100.00   | 107.98            | 01/12/2021             | 123.50                       | 15.52 D   | 0.00            | Sale             |

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APEX CLEARING

## Proceeds from Broker and Barter Exchange Transactions

2021 Form 1099-B\*

5NG11669

(continued)

01/31/2022

OMB No. 1545-0715

**SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS**

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

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

| Date Sold or Disposed (Box 1c)  | Quantity | Proceeds (Box 1d) | Date Acquired (Box 1b) | Cost or Other Basis (Box 1e) | Accrued Market Discount (M)(Box 1f) & Wash Sale Loss Disallowed (D)(Box 1g) | Gain or Loss(-) | Additional Notes |
|---|----------|-------------------|------------------------|------------------------------|---|-----------------|------------------|
| <b>***ZOMEDICA CORP</b> COM   CUSIP: 98980M109   Symbol(Box 1a): ZOM  |          |                   |                        |                              |   |                 |                  |
| 02/02/2021  | 100.00   | 108.98            | Various                | 136.52                       | 27.54 D   | 0.00            | Sale             |
| 02/02/2021  | 850.00   | 943.37            | Various                | 867.00                       | 38.57 D   | 114.94          | Sale             |
| 02/08/2021  | 200.00   | 557.96            | Various                | 408.46                       | 0.00  | 149.50          | Sale             |
| <b>Security Totals:</b>   |          | <b>2,113.22</b>   |                        | <b>1,833.46</b>              |   | <b>361.39</b>   |                  |
| <b>CALL PLTR</b> 03/19/21 27.50 PALANTIR TECHNOLOGIES INC CL A   CUSIP:   Symbol(Box 1a): PLTR210319C00027500 |          |                   |                        |                              |   |                 |                  |
| 03/19/2021  | 3.00     | 0.00              | Various                | 191.24                       | 0.00  | -191.24         | Expiration       |
| <b>***GAMIDA CELL LTD</b> ORDINARY SHARES   CUSIP: M47364100   Symbol(Box 1a): GMDA                           |          |                   |                        |                              |   |                 |                  |
| 03/10/2021  | 20.00    | 173.58            | 02/09/2021             | 327.40                       | 0.00  | -153.82         | Sale             |
| <b>ADT INC</b> COMMON STOCK   CUSIP: 00090Q103   Symbol(Box 1a): ADT  |          |                   |                        |                              |   |                 |                  |
| 02/25/2021  | 2.00     | 19.87             | Various                | 19.44                        | 0.00  | 0.43            | Sale             |
| <b>CELSION CORPORATION</b> COMMON STOCK   CUSIP: 15117N503   Symbol(Box 1a): CLSN                             |          |                   |                        |                              |   |                 |                  |
| 02/08/2021  | 50.00    | 109.98            | 01/21/2021             | 106.00                       | 0.00  | 3.98            | Sale             |
| <b>FUTURE FINTECH GROUP INC</b> COMMON STOCK   CUSIP: 36117V105   Symbol(Box 1a): FTFT                        |          |                   |                        |                              |   |                 |                  |
| 02/09/2021  | 100.00   | 718.97            | 02/08/2021             | 697.00                       | 0.00  | 21.97           | Sale             |
| <b>PUT SPY</b> 06/18/21 420 STANDARD & POORS DEPOSITORY   CUSIP:   Symbol(Box 1a): SPY210618P00420000         |          |                   |                        |                              |   |                 |                  |
| 06/18/2021  | 1.00     | 291.93            | 06/17/2021             | 105.05                       | 0.00  | 186.88          | Sell to Close    |
| 06/18/2021  | 1.00     | 348.93            | 06/17/2021             | 110.05                       | 0.00  | 238.88          | Sell to Close    |
| <b>Security Totals:</b>   |          | <b>640.86</b>     |                        | <b>215.10</b>                |   | <b>425.76</b>   |                  |
| <b>KEMPHARM INC</b> COMMON STOCK   CUSIP: 488445206   Symbol(Box 1a): KMPH                                    |          |                   |                        |                              |   |                 |                  |
| 03/03/2021  | 200.00   | 3,439.96          | 03/03/2021             | 3,234.00                     | 0.00  | 205.96          | Sale             |
| <b>CAMBER ENERGY INC</b> COMMON STOCK   CUSIP: 13200M508   Symbol(Box 1a): CEI                                |          |                   |                        |                              |   |                 |                  |
| 02/08/2021  | 150.00   | 239.97            | Various                | 236.00                       | 0.00  | 3.97            | Sale             |
| <b>CALL SPCE</b> 03/26/21 33 VIRGIN GALACTIC HOLDINGS INC   CUSIP:   Symbol(Box 1a): SPCE210326C00033000      |          |                   |                        |                              |   |                 |                  |
| 03/26/2021  | 3.00     | 0.00              | 03/25/2021             | 18.24                        | 0.00  | -18.24          | Expiration       |

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APEX CLEARING

## Proceeds from Broker and Barter Exchange Transactions

2021 Form 1099-B\*

5NG11669

(continued)

01/31/2022

OMB No. 1545-0715

## SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

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

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

## Description of property | CUSIP | Symbol(Box 1a)

| Date Sold or Disposed (Box 1c)   | Quantity | Proceeds (Box 1d) | Date Acquired (Box 1b) | Cost or Other Basis (Box 1e) | Accrued Market Discount (M)(Box 1f) & Wash Sale Loss Disallowed (D)(Box 1g) | Gain or Loss(-) | Additional Notes |
|--|----------|-------------------|------------------------|------------------------------|---|-----------------|------------------|
| ***OXBRIDGE RE HOLDINGS LIMITED   CUSIP: G6856M106   Symbol(Box 1a): OXBR  |          |                   |                        |                              |   |                 |                  |
| 03/30/2021   | 25.00    | 64.26             | 03/12/2021             | 81.75                        | 0.00  | -17.49          | Sale             |
| ***GAOTU TECHEDU INC AMERICAN DEPOSITARY SHS THREE OF WHICH RPRSNTNG TWO CL A ORD   CUSIP: 36257Y109   Symbol(Box 1a): GSX |          |                   |                        |                              |   |                 |                  |
| 04/20/2021   | 180.00   | 4,951.75          | Various                | 4,605.93                     | 0.00  | 345.82          | Sale             |
| CALL RIOT 02/19/21 86 RIOT BLOCKCHAIN INC   CUSIP:   Symbol(Box 1a): RIOT210219C00086000                                   |          |                   |                        |                              |   |                 |                  |
| 02/19/2021   | 13.00    | 0.00              | Various                | 708.04                       | 0.00  | -708.04         | Expiration       |
| HARBOR CUSTOM DEVELOPMENT INC COMMON STOCK   CUSIP: 41150T108   Symbol(Box 1a): HCDI                                       |          |                   |                        |                              |   |                 |                  |
| 02/09/2021   | 100.00   | 364.98            | 02/08/2021             | 348.00                       | 0.00  | 16.98           | Sale             |
| ***AETERNA ZENTARIS INC COM NO PAR   CUSIP: 007975402   Symbol(Box 1a): AEZS   |          |                   |                        |                              |   |                 |                  |
| 03/10/2021   | 1,000.00 | 1,019.87          | Various                | 1,948.00                     | 0.00  | -928.13         | Sale             |
| CALL SPY 06/09/21 424 STANDARD & POORS DEPOSITORY   CUSIP:   Symbol(Box 1a): SPY210609C00424000                            |          |                   |                        |                              |   |                 |                  |
| 06/09/2021   | 10.00    | 0.00              | Various                | 98.80                        | 0.00  | -98.80          | Expiration       |
| PUT PLTR 04/09/21 22.50 PALANTIR TECHNOLOGIES INC CL A   CUSIP:   Symbol(Box 1a): PLTR210409P00022500                      |          |                   |                        |                              |   |                 |                  |
| 04/08/2021   | 25.00    | 247.95            | 04/08/2021             | 252.00                       | 4.05 D  | 0.00            | Sell to Close    |
| 04/09/2021   | 75.00    | 0.00              | Various                | 635.02                       | 0.00  | -635.02         | Expiration       |
| <b>Security Totals:</b>  |          | <b>247.95</b>     |                        | <b>887.02</b>                |   | <b>-635.02</b>  |                  |
| ZOSANO PHARMA CORPORATION COMMON STOCK   CUSIP: 98979H202   Symbol(Box 1a): ZSAN   |          |                   |                        |                              |   |                 |                  |
| 02/09/2021   | 32.00    | 84.14             | 02/08/2021             | 49.92                        | 0.00  | 34.22           | Sale             |
| ***MMTEC INC COMMON SHARES   CUSIP: G6181K106   Symbol(Box 1a): MTC  |          |                   |                        |                              |   |                 |                  |
| 02/19/2021   | 60.00    | 371.98            | Various                | 276.20                       | 0.00  | 95.78           | Sale             |
| 02/19/2021   | 100.00   | 609.97            | 02/17/2021             | 469.10                       | 0.00  | 140.87          | Sale             |
| <b>Security Totals:</b>  |          | <b>981.95</b>     |                        | <b>745.30</b>                |   | <b>236.65</b>   |                  |
| CHEMBIO DIAGNOSTICS INC   CUSIP: 163572209   Symbol(Box 1a): CEMI  |          |                   |                        |                              |   |                 |                  |
| 01/11/2021   | 100.00   | 524.97            | 01/08/2021             | 500.00                       | 0.00  | 24.97           | Sale             |
| 02/01/2021   | 50.00    | 359.48            | 01/27/2021             | 331.50                       | 0.00  | 27.98           | Sale             |

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APEX CLEARING

## Proceeds from Broker and Barter Exchange Transactions

2021 Form 1099-B\*

5NG11669

(continued)

01/31/2022

OMB No. 1545-0715

**SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS**

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

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

| Date Sold or Disposed (Box 1c)   | Quantity | Proceeds (Box 1d) | Date Acquired (Box 1b) | Cost or Other Basis (Box 1e) | Accrued Market Discount (M)(Box 1f) & Wash Sale Loss Disallowed (D)(Box 1g) | Gain or Loss(-) | Additional Notes |
|--|----------|-------------------|------------------------|------------------------------|---|-----------------|------------------|
| CHEMBIO DIAGNOSTICS INC   CUSIP: 163572209   Symbol(Box 1a): CEMI                          |          |                   |                        |                              |   |                 |                  |
| 02/03/2021   | 100.00   | 740.97            | Various                | 657.00                       | 0.00  | 83.97           | Sale             |
| 04/01/2021   | 900.00   | 4,697.86          | Various                | 4,365.00                     | 0.00  | 332.86          | Sale             |
| 04/09/2021   | 450.00   | 1,854.66          | Various                | 1,981.50                     | 0.00  | -126.84         | Sale             |
| <b>Security Totals:</b>  |          | <b>8,177.94</b>   |                        | <b>7,835.00</b>              |   | <b>342.94</b>   |                  |
| CALL VIAC 12/17/21 60 VIACOMCBS INC CLASS B   CUSIP:   Symbol(Box 1a): VIAC211217C00060000 |          |                   |                        |                              |   |                 |                  |
| 12/17/2021   | 1.00     | 0.00              | 05/04/2021             | 153.07                       | 0.00  | -153.07         | Expiration       |
| SEMILEDS CORP COM NEW   CUSIP: 816645204   Symbol(Box 1a): LEDS                            |          |                   |                        |                              |   |                 |                  |
| 05/07/2021   | 150.00   | 1,262.97          | Various                | 1,245.90                     | 0.00  | 17.07           | Sale             |
| ***JUST ENERGY GROUP INC COMMON SHARES   CUSIP: 48213W408   Symbol(Box 1a): JENGQ          |          |                   |                        |                              |   |                 |                  |
| 06/23/2021   | 100.00   | 145.18            | 03/12/2021             | 186.00                       | 0.00  | -40.82          | Sale             |
| CALL FUBO 02/05/21 45 FUBOTV INC   CUSIP:   Symbol(Box 1a): FUBO210205C00045000            |          |                   |                        |                              |   |                 |                  |
| 01/27/2021   | 1.00     | 1,029.88          | 01/25/2021             | 276.08                       | 0.00  | 753.80          | Sell to Close    |
| ***SUNDIAL GROWERS INC COM   CUSIP: 86730L109   Symbol(Box 1a): SNDL                       |          |                   |                        |                              |   |                 |                  |
| 01/07/2021   | 100.00   | 72.98             | 01/07/2021             | 63.50                        | 0.00  | 9.48            | Sale             |
| 01/07/2021   | 100.00   | 72.98             | 01/07/2021             | 64.00                        | 0.00  | 8.98            | Sale             |
| 01/07/2021   | 100.00   | 68.98             | 01/07/2021             | 63.40                        | 0.00  | 5.58            | Sale             |
| 01/28/2021   | 100.00   | 122.98            | 01/27/2021             | 66.66                        | 0.00  | 56.32           | Sale             |
| 01/28/2021   | 500.00   | 519.92            | Various                | 312.83                       | 0.00  | 207.09          | Sale             |
| 02/01/2021   | 100.00   | 121.98            | 01/27/2021             | 66.65                        | 0.00  | 55.33           | Sale             |
| 02/01/2021   | 300.00   | 311.95            | 01/27/2021             | 199.97                       | 0.00  | 111.98          | Sale             |

APEX CLEARING

Proceeds from Broker and Barter Exchange Transactions

2021 Form 1099-B\*

5NG11669

(continued)

01/31/2022

OMB No. 1545-0715

**SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS**

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

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

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

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

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

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**Description of property | CUSIP | Symbol(Box 1a)**

| Date Sold or Disposed (Box 1c)  | Quantity | Proceeds (Box 1d) | Date Acquired (Box 1b) | Cost or Other Basis (Box 1e) | Accrued Market Discount (M)(Box 1f) & Wash Sale Loss Disallowed (D)(Box 1g) | Gain or Loss(-) | Additional Notes |
|---|----------|-------------------|------------------------|------------------------------|---|-----------------|------------------|
| ***SUNDIAL GROWERS INC COM   CUSIP: 86730L109   Symbol(Box 1a): SNDL                      |          |                   |                        |                              |   |                 |                  |
| 02/02/2021  | 200.00   | 223.97            | 01/27/2021             | 133.31                       | 0.00  | 90.66           | Sale             |
| <b>Security Totals:</b>   |          | <b>1,515.74</b>   |                        | <b>970.32</b>                |   | <b>545.42</b>   |                  |
| RA MEDICAL SYSTEMS INC COMMON STOCK   CUSIP: 74933X203   Symbol(Box 1a): RMED             |          |                   |                        |                              |   |                 |                  |
| 06/07/2021  | 50.00    | 469.98            | 06/07/2021             | 402.00                       | 0.00  | 67.98           | Sale             |
| 06/07/2021  | 50.00    | 459.98            | 06/07/2021             | 402.00                       | 0.00  | 57.98           | Sale             |
| <b>Security Totals:</b>   |          | <b>929.96</b>     |                        | <b>804.00</b>                |   | <b>125.96</b>   |                  |
| CALL UA 03/26/21 20 UNDER ARMOUR INC CLASS C   CUSIP:   Symbol(Box 1a): UA210326C00020000 |          |                   |                        |                              |   |                 |                  |
| 03/26/2021  | 1.00     | 0.00              | 03/16/2021             | 50.08                        | 0.00  | -50.08          | Expiration       |
| CALL TGT 04/16/21 210 TARGET CORP   CUSIP:   Symbol(Box 1a): TGT210416C00210000           |          |                   |                        |                              |   |                 |                  |
| 04/16/2021  | 10.00    | 399.17            | 04/16/2021             | 250.80                       | 0.00  | 148.37          | Sell to Close    |
| 04/16/2021  | 10.00    | 0.00              | 04/16/2021             | 180.80                       | 0.00  | -180.80         | Expiration       |
| <b>Security Totals:</b>   |          | <b>399.17</b>     |                        | <b>431.60</b>                |   | <b>-32.43</b>   |                  |
| PHUNWARE INC COMMON STOCK   CUSIP: 71948P100   Symbol(Box 1a): PHUN                       |          |                   |                        |                              |   |                 |                  |
| 02/10/2021  | 100.00   | 303.98            | 02/08/2021             | 277.00                       | 0.00  | 26.98           | Sale             |
| 02/10/2021  | 100.00   | 306.98            | 02/08/2021             | 277.00                       | 0.00  | 29.98           | Sale             |
| 02/10/2021  | 100.00   | 315.06            | 02/08/2021             | 277.00                       | 0.00  | 38.06           | Sale             |
| 02/11/2021  | 100.00   | 309.98            | 02/08/2021             | 276.00                       | 0.00  | 33.98           | Sale             |
| 02/11/2021  | 100.00   | 310.98            | 02/08/2021             | 255.00                       | 0.00  | 55.98           | Sale             |

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APEX CLEARING

## Proceeds from Broker and Barter Exchange Transactions

2021 Form 1099-B\*

5NG11669

(continued)

01/31/2022

OMB No. 1545-0715

**SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS**

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

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

| Date Sold or Disposed (Box 1c)   | Quantity | Proceeds (Box 1d) | Date Acquired (Box 1b) | Cost or Other Basis (Box 1e) | Accrued Market Discount (M)(Box 1f) & Wash Sale Loss Disallowed (D)(Box 1g) | Gain or Loss(-) | Additional Notes |
|--|----------|-------------------|------------------------|------------------------------|---|-----------------|------------------|
| 02/11/2021   | 100.00   | 314.98            | 02/08/2021             | 265.00                       | 0.00  | 49.98           | Sale             |
| <b>Security Totals:</b>  |          | <b>1,861.96</b>   |                        | <b>1,627.00</b>              |   | <b>234.96</b>   |                  |
| ***CHEMOMAB THERAPEUTICS LTD AMERICAN DEPOSITARY SHARE   CUSIP: 16385C104   Symbol(Box 1a): CMMB |          |                   |                        |                              |   |                 |                  |
| 04/09/2021   | 25.00    | 1,221.23          | Various                | 1,283.54                     | 255.85 D  | 193.54          | Sale             |
| NEW CONCEPT ENERGY INC   CUSIP: 643611106   Symbol(Box 1a): GBR                                  |          |                   |                        |                              |   |                 |                  |
| 03/09/2021   | 10.00    | 45.58             | Various                | 92.02                        | 0.00  | -46.44          | Sale             |
| ***FSD PHARMA INC CL B SUB VTG SHS NEW   CUSIP: 35954B206   Symbol(Box 1a): HUGE                 |          |                   |                        |                              |   |                 |                  |
| 03/08/2021   | 500.00   | 879.93            | Various                | 1,825.90                     | 0.00  | -945.97         | Sale             |
| PUT SPY 02/19/21 380 STANDARD & POORS DEPOSITORY   CUSIP:   Symbol(Box 1a): SPY210219P00380000   |          |                   |                        |                              |   |                 |                  |
| 02/19/2021   | 3.00     | 0.00              | Various                | 369.24                       | 0.00  | -369.24         | Expiration       |
| CALL SPY 04/09/21 410 STANDARD & POORS DEPOSITORY   CUSIP:   Symbol(Box 1a): SPY210409C00410000  |          |                   |                        |                              |   |                 |                  |
| 04/09/2021   | 7.00     | 664.43            | Various                | 317.53                       | 0.00  | 346.90          | Sell to Close    |
| CALL NOK 02/05/21 7 NOKIA CORPORATION   CUSIP:   Symbol(Box 1a): NOK210205C00007000              |          |                   |                        |                              |   |                 |                  |
| 02/05/2021   | 7.00     | 0.00              | Various                | 173.56                       | 0.00  | -173.56         | Expiration       |
| ATOSSA THERAPEUTICS INC COMMON STOCK   CUSIP: 04962H506   Symbol(Box 1a): ATOS                   |          |                   |                        |                              |   |                 |                  |
| 01/26/2021   | 20.00    | 73.98             | 01/25/2021             | 48.40                        | 0.00  | 25.58           | Sale             |
| 01/26/2021   | 50.00    | 124.98            | 01/25/2021             | 103.00                       | 0.00  | 21.98           | Sale             |
| 01/26/2021   | 20.00    | 74.38             | 01/25/2021             | 48.40                        | 0.00  | 25.98           | Sale             |
| 01/26/2021   | 50.00    | 126.48            | 01/25/2021             | 117.97                       | 0.00  | 8.51            | Sale             |
| 01/26/2021   | 60.00    | 173.98            | 01/25/2021             | 145.20                       | 0.00  | 28.78           | Sale             |
| <b>Security Totals:</b>  |          | <b>573.80</b>     |                        | <b>462.97</b>                |   | <b>110.83</b>   |                  |
| ***TANTECH HOLDINGS LTD COM   CUSIP: G8675X107   Symbol(Box 1a): TANH                            |          |                   |                        |                              |   |                 |                  |
| 01/25/2021   | 300.00   | 599.94            | 01/20/2021             | 544.55                       | 0.00  | 55.39           | Sale             |

APEX CLEARING

## Proceeds from Broker and Barter Exchange Transactions

2021 Form 1099-B\*

5NG11669

(continued)

01/31/2022

OMB No. 1545-0715

**SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS**

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

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

| Date Sold or Disposed (Box 1c)  | Quantity | Proceeds (Box 1d) | Date Acquired (Box 1b) | Cost or Other Basis (Box 1e) | Accrued Market Discount (M)(Box 1f) & Wash Sale Loss Disallowed (D)(Box 1g) | Gain or Loss(-)  | Additional Notes |
|---|----------|-------------------|------------------------|------------------------------|---|------------------|------------------|
| CALL NNDM 11/19/21 15 NANO DIMENSION LTD ADS   CUSIP:   Symbol(Box 1a): NNDM211119C00015000         |          |                   |                        |                              |   |                  |                  |
| 11/19/2021  | 2.00     | 0.00              | 05/28/2021             | 92.16                        | 0.00  | -92.16           | Expiration       |
| CALL BB 06/18/21 20 BLACKBERRY LIMITED   CUSIP:   Symbol(Box 1a): BB210618C00020000                 |          |                   |                        |                              |   |                  |                  |
| 06/18/2021  | 1.00     | 0.00              | 06/09/2021             | 86.07                        | 0.00  | -86.07           | Expiration       |
| CALL GOLD 03/19/21 30 BARRICK GOLD CORPORATION   CUSIP:   Symbol(Box 1a): GOLD210319C00030000       |          |                   |                        |                              |   |                  |                  |
| 03/19/2021  | 30.00    | 0.00              | Various                | 232.41                       | 0.00  | -232.41          | Expiration       |
| DARE BIOSCIENCE INC COMMON STOCK   CUSIP: 23666P101   Symbol(Box 1a): DARE                          |          |                   |                        |                              |   |                  |                  |
| 01/19/2021  | 100.00   | 179.98            | 01/14/2021             | 148.00                       | 0.00  | 31.98            | Sale             |
| CALL CCIV 07/16/21 30 CHURCHILL CAPITAL CORP IV CL A   CUSIP:   Symbol(Box 1a): CCIV210716C00030000 |          |                   |                        |                              |   |                  |                  |
| 07/16/2021  | 1.00     | 0.00              | 05/05/2021             | 111.07                       | 0.00  | -111.07          | Expiration       |
| CALL AMC 02/05/21 17 AMC ENTERTAINMENT HOLDINGS INC   CUSIP:   Symbol(Box 1a): AMC210205C00017000   |          |                   |                        |                              |   |                  |                  |
| 02/05/2021  | 1.00     | 0.00              | 02/01/2021             | 380.08                       | 0.00  | -380.08          | Expiration       |
| AKERNA CORP COMMON STOCK   CUSIP: 00973W102   Symbol(Box 1a): KERN                                  |          |                   |                        |                              |   |                  |                  |
| 03/25/2021  | 750.00   | 3,569.89          | 03/11/2021             | 4,718.91                     | 0.00  | -1,149.02        | Sale             |
| 04/15/2021  | 50.00    | 216.98            | 03/11/2021             | 314.59                       | 0.00  | -97.61           | Sale             |
| <b>Security Totals:</b>   |          | <b>3,786.87</b>   |                        | <b>5,033.50</b>              |   | <b>-1,246.63</b> |                  |
| SIGMA LABS INC COMMON STOCK   CUSIP: 826598500   Symbol(Box 1a): SGLB                               |          |                   |                        |                              |   |                  |                  |
| 03/15/2021  | 50.00    | 434.98            | 03/15/2021             | 293.00                       | 0.00  | 141.98           | Sale             |
| 03/15/2021  | 50.00    | 382.48            | 03/15/2021             | 293.00                       | 0.00  | 89.48            | Sale             |
| <b>Security Totals:</b>   |          | <b>817.46</b>     |                        | <b>586.00</b>                |   | <b>231.46</b>    |                  |
| CALL CLOV 02/19/21 20 CLOVER HEALTH INVESTMENTS CORP   CUSIP:   Symbol(Box 1a): CLOV210219C00020000 |          |                   |                        |                              |   |                  |                  |
| 02/19/2021  | 2.00     | 0.00              | 02/05/2021             | 40.16                        | 0.00  | -40.16           | Expiration       |

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APEX CLEARING

## Proceeds from Broker and Barter Exchange Transactions

2021 Form 1099-B\*

5NG11669

(continued)

01/31/2022

OMB No. 1545-0715

**SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS**

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

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

| Date Sold or Disposed (Box 1c)  | Quantity | Proceeds (Box 1d) | Date Acquired (Box 1b) | Cost or Other Basis (Box 1e) | Accrued Market Discount (M)(Box 1f) & Wash Sale Loss Disallowed (D)(Box 1g) | Gain or Loss(-) | Additional Notes |
|---|----------|-------------------|------------------------|------------------------------|---|-----------------|------------------|
| <b>***NOKIA CORPORATION</b> SPONSORED ADR REPSTG 1 SER A   CUSIP: 654902204   Symbol(Box 1a): NOK   |          |                   |                        |                              |   |                 |                  |
| 02/25/2021  | 400.00   | 1,655.94          | Various                | 1,878.75                     | 0.00  | -222.81         | Sale             |
| <b>CALL CGC</b> 04/16/21 65 CANOPY GROWTH CORPORATION   CUSIP:   Symbol(Box 1a): CGC210416C00065000 |          |                   |                        |                              |   |                 |                  |
| 04/16/2021  | 3.00     | 0.00              | Various                | 363.24                       | 0.00  | -363.24         | Expiration       |
| <b>XPRESSPA GROUP INC</b> COMMON STOCK   CUSIP: 98420U703   Symbol(Box 1a): XSPA                    |          |                   |                        |                              |   |                 |                  |
| 02/11/2021  | 300.00   | 802.44            | Various                | 583.52                       | 0.00  | 218.92          | Sale             |
| <b>ASENSUS SURGICAL INC</b> COMMON STOCK   CUSIP: 04367G103   Symbol(Box 1a): ASXC                  |          |                   |                        |                              |   |                 |                  |
| 06/14/2021  | 50.00    | 170.09            | 06/01/2021             | 125.00                       | 0.00  | 45.09           | Sale             |
| <b>CALL TLR</b> 02/19/21 30 TILRAY INC   CUSIP:   Symbol(Box 1a): TLR210219C00030000                |          |                   |                        |                              |   |                 |                  |
| 02/08/2021  | 1.00     | 299.90            | 02/03/2021             | 266.08                       | 0.00  | 33.82           | Sell to Close    |
| 02/09/2021  | 1.00     | 959.88            | 02/04/2021             | 172.08                       | 0.00  | 787.80          | Sell to Close    |
| <b>Security Totals:</b>   |          | <b>1,259.78</b>   |                        | <b>438.16</b>                |   | <b>821.62</b>   |                  |
| <b>***NEPTUNE WELLNESS SOLUTIONS</b> ORDINARY SHARES   CUSIP: 64079L105   Symbol(Box 1a): NEPT      |          |                   |                        |                              |   |                 |                  |
| 05/06/2021  | 800.00   | 1,047.89          | Various                | 1,229.50                     | 0.00  | -181.61         | Sale             |
| <b>ORAGENICS INC</b> COMMON STOCK   CUSIP: 684023302   Symbol(Box 1a): OGEN                         |          |                   |                        |                              |   |                 |                  |
| 01/11/2021  | 1,000.00 | 793.86            | Various                | 785.00                       | 0.00  | 8.86            | Sale             |
| 01/20/2021  | 500.00   | 499.92            | 01/14/2021             | 465.00                       | 0.00  | 34.92           | Sale             |
| <b>Security Totals:</b>   |          | <b>1,293.78</b>   |                        | <b>1,250.00</b>              |   | <b>43.78</b>    |                  |
| <b>CALL WKHS</b> 01/29/21 35 WORKHORSE GROUP INC   CUSIP:   Symbol(Box 1a): WKHS210129C00035000     |          |                   |                        |                              |   |                 |                  |
| 01/29/2021  | 1.00     | 0.00              | 01/26/2021             | 167.08                       | 0.00  | -167.08         | Expiration       |
| <b>LM FUNDING AMERICA INC</b> COMMON STOCK   CUSIP: 502074305   Symbol(Box 1a): LMFA                |          |                   |                        |                              |   |                 |                  |
| 01/14/2021  | 150.00   | 307.47            | Various                | 283.50                       | 0.00  | 23.97           | Sale             |
| <b>CALL FSR</b> 04/30/21 20 FISKER INC CL A   CUSIP:   Symbol(Box 1a): FSR210430C00020000           |          |                   |                        |                              |   |                 |                  |
| 04/30/2021  | 20.00    | 0.00              | Various                | 201.60                       | 0.00  | -201.60         | Expiration       |
| <b>CALL SOS</b> 04/30/21 8 SOS LIMITED ADS   CUSIP:   Symbol(Box 1a): SOS210430C00008000            |          |                   |                        |                              |   |                 |                  |
| 04/30/2021  | 24.00    | 0.00              | Various                | 765.78                       | 0.00  | -765.78         | Expiration       |

APEX CLEARING

## Proceeds from Broker and Barter Exchange Transactions

2021 Form 1099-B\*

5NG11669

(continued)

01/31/2022

OMB No. 1545-0715

## SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

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

**Box 2:** Type of Gain or Loss - Short-Term (unless indicated as Ordinary in Additional Notes Column)**Box 5:** Box Not Checked (Covered Security)**Box 6:** Gross (unless indicated as Net in Additional Notes Column)**Box 12:** Basis Reported to the IRS

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

## Description of property | CUSIP | Symbol(Box 1a)

| Date Sold or Disposed (Box 1c)  | Quantity | Proceeds (Box 1d) | Date Acquired (Box 1b) | Cost or Other Basis (Box 1e) | Accrued Market Discount (M)(Box 1f) & Wash Sale Loss Disallowed (D)(Box 1g) | Gain or Loss(-) | Additional Notes |
|---|----------|-------------------|------------------------|------------------------------|---|-----------------|------------------|
| CALL TSLA 04/16/21 770 TESLA INC   CUSIP:   Symbol(Box 1a): TSLA210416C00770000               |          |                   |                        |                              |   |                 |                  |
| 04/16/2021  | 1.00     | 0.00              | 04/15/2021             | 170.07                       | 0.00  | -170.07         | Expiration       |
| CALL NVO 06/18/21 85 NOVO NORDISK A/S-ADR   CUSIP:   Symbol(Box 1a): NVO210618C00085000       |          |                   |                        |                              |   |                 |                  |
| 06/09/2021  | 2.00     | 129.82            | Various                | 90.14                        | 0.00  | 39.68           | Sell to Close    |
| CLOVER HEALTH INVESTMENTS CORP CLASS A COMMON STOCK   CUSIP: 18914F103   Symbol(Box 1a): CLOV |          |                   |                        |                              |   |                 |                  |
| 03/03/2021  | 670.00   | 6,197.38          | Various                | 6,166.43                     | 75.18 D   | 106.13          | Sale             |
| 03/08/2021  | 600.00   | 4,416.88          | Various                | 5,431.18                     | 0.00  | -1,014.30       | Sale             |
| 06/07/2021  | 50.00    | 576.48            | 05/06/2021             | 413.38                       | 0.00  | 163.10          | Sale             |
| 06/08/2021  | 40.00    | 707.98            | 05/06/2021             | 330.71                       | 0.00  | 377.27          | Sale             |
| 06/09/2021  | 99.00    | 1,980.03          | 05/06/2021             | 818.50                       | 0.00  | 1,161.53        | Sale             |
| <b>Security Totals:</b>   |          | <b>13,878.75</b>  |                        | <b>13,160.20</b>             |   | <b>793.73</b>   |                  |
| CALL CRNT 02/19/21 7.50 CERAGON NETWORKS LTD   CUSIP:   Symbol(Box 1a): CRNT210219C00007500   |          |                   |                        |                              |   |                 |                  |
| 02/05/2021  | 6.00     | 149.50            | Various                | 122.48                       | 0.33 D  | 27.35           | Sell to Close    |
| 02/19/2021  | 5.00     | 0.00              | Various                | 75.73                        | 0.00  | -75.73          | Expiration       |
| <b>Security Totals:</b>   |          | <b>149.50</b>     |                        | <b>198.21</b>                |   | <b>-48.38</b>   |                  |
| WILHELMINA INTERNATIONAL INC COM NEW   CUSIP: 968235200   Symbol(Box 1a): WHLM                |          |                   |                        |                              |   |                 |                  |
| 04/13/2021  | 520.00   | 3,641.92          | Various                | 4,063.15                     | 0.00  | -421.23         | Sale             |
| ***CHECK CAP LTD ORDINARY SHARE   CUSIP: M2361E203   Symbol(Box 1a): CHEK                     |          |                   |                        |                              |   |                 |                  |
| 01/04/2021  | 25.00    | 41.98             | 01/04/2021             | 18.00                        | 0.00  | 23.98           | Sale             |
| 01/04/2021  | 25.00    | 39.23             | 01/04/2021             | 18.00                        | 0.00  | 21.23           | Sale             |
| 01/04/2021  | 50.00    | 57.98             | 01/04/2021             | 36.00                        | 0.00  | 21.98           | Sale             |
| 01/04/2021  | 50.00    | 68.98             | 01/04/2021             | 36.00                        | 0.00  | 32.98           | Sale             |
| 01/04/2021  | 50.00    | 60.98             | 01/04/2021             | 36.00                        | 0.00  | 24.98           | Sale             |

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

APEX CLEARING

## Proceeds from Broker and Barter Exchange Transactions

2021 Form 1099-B\*

5NG11669

(continued)

01/31/2022

OMB No. 1545-0715

**SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS**

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

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

| Date Sold or Disposed (Box 1c)  | Quantity | Proceeds (Box 1d) | Date Acquired (Box 1b) | Cost or Other Basis (Box 1e) | Accrued Market Discount (M)(Box 1f) & Wash Sale Loss Disallowed (D)(Box 1g) | Gain or Loss(-) | Additional Notes |
|---|----------|-------------------|------------------------|------------------------------|---|-----------------|------------------|
| <b>***CHECK CAP LTD</b> ORDINARY SHARE   CUSIP: M2361E203   Symbol(Box 1a): CHEK                |          |                   |                        |                              |   |                 |                  |
| 01/04/2021  | 50.00    | 63.48             | 01/04/2021             | 36.00                        | 0.00  | 27.48           | Sale             |
| 01/04/2021  | 50.00    | 72.48             | 01/04/2021             | 36.00                        | 0.00  | 36.48           | Sale             |
| <b>Security Totals:</b>   |          | <b>405.11</b>     |                        | <b>216.00</b>                |   | <b>189.11</b>   |                  |
| <b>CALL DKNG</b> 02/12/21 68 DRAFTKINGS INC CL A   CUSIP:   Symbol(Box 1a): DKNG210212C00068000 |          |                   |                        |                              |   |                 |                  |
| 02/12/2021  | 2.00     | 0.00              | Various                | 142.16                       | 0.00  | -142.16         | Expiration       |
| <b>CORBUS PHARMACEUTICALS</b> HOLDINGS INC   CUSIP: 21833P103   Symbol(Box 1a): CRBP            |          |                   |                        |                              |   |                 |                  |
| 02/10/2021  | 100.00   | 389.98            | 02/09/2021             | 306.00                       | 0.00  | 83.98           | Sale             |
| 02/10/2021  | 100.00   | 399.98            | 02/09/2021             | 306.00                       | 0.00  | 93.98           | Sale             |
| 02/11/2021  | 100.00   | 442.98            | 02/09/2021             | 306.00                       | 0.00  | 136.98          | Sale             |
| 02/11/2021  | 200.00   | 731.96            | 02/09/2021             | 612.00                       | 0.00  | 119.96          | Sale             |
| <b>Security Totals:</b>   |          | <b>1,964.90</b>   |                        | <b>1,530.00</b>              |   | <b>434.90</b>   |                  |
| <b>SECOND SIGHT MEDICAL PRODUCTS</b> INC COMMON STOCK   CUSIP: 81362J209   Symbol(Box 1a): EYES |          |                   |                        |                              |   |                 |                  |
| 06/04/2021  | 100.00   | 639.98            | 05/06/2021             | 592.81                       | 0.00  | 47.17           | Sale             |
| 06/17/2021  | 300.00   | 2,071.59          | 05/06/2021             | 1,778.43                     | 0.00  | 293.16          | Sale             |
| <b>Security Totals:</b>   |          | <b>2,711.57</b>   |                        | <b>2,371.24</b>              |   | <b>340.33</b>   |                  |
| <b>***ACASTI PHARMA INC</b> CLASS A COM   CUSIP: 00430K402   Symbol(Box 1a): ACST               |          |                   |                        |                              |   |                 |                  |
| 02/08/2021  | 700.00   | 587.90            | Various                | 514.02                       | 0.00  | 73.88           | Sale             |
| <b>ONCONOVA THERAPEUTICS INC</b> COMMON STOCK   CUSIP: 68232V405   Symbol(Box 1a): ONTX         |          |                   |                        |                              |   |                 |                  |
| 01/07/2021  | 400.00   | 259.94            | Various                | 255.98                       | 0.00  | 3.96            | Sale             |

APEX CLEARING

Proceeds from Broker and Barter Exchange Transactions

2021 Form 1099-B\*

5NG11669

(continued)

01/31/2022

OMB No. 1545-0715

**SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS**

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

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

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

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

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

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

Description of property | CUSIP | Symbol(Box 1a)

| Date Sold or Disposed (Box 1c) | Quantity | Proceeds (Box 1d)   | Date Acquired (Box 1b) | Cost or Other Basis (Box 1e) | Accrued Market Discount (M)(Box 1f) & Wash Sale Loss Disallowed (D)(Box 1g) | Gain or Loss(-)  | Additional Notes |
|--------------------------------|----------|---|------------------------|------------------------------|---|------------------|------------------|
| CALL ET 02/19/21               | 8        | ENERGY TRANSFER LP   CUSIP:   Symbol(Box 1a): ET210219C00008000 |                        |                              |   |                  |                  |
| 02/19/2021                     | 10.00    | 0.00  | 01/19/2021             | 78.81                        | 0.00  | -78.81           | Expiration       |
| <b>Totals:</b>                 |          | <b>277,792.06</b>   |                        | <b>292,986.85</b>            |   | <b>-4,574.83</b> |                  |

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APEX CLEARING

Proceeds from Broker and Barter Exchange Transactions

2021 Form 1099-B\*

5NG11669

(continued)

01/31/2022

OMB No. 1545-0715

**LONG TERM TRANSACTIONS FOR COVERED TAX LOTS**

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

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

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

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

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

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

Description of property | CUSIP | Symbol(Box 1a)

| Date Sold or Disposed (Box 1c)                                       | Quantity | Proceeds (Box 1d) | Date Acquired (Box 1b) | Cost or Other Basis (Box 1e) | Accrued Market Discount (M)(Box 1f) & Wash Sale Loss Disallowed (D)(Box 1g) | Gain or Loss(-) | Additional Notes |
|--|----------|-------------------|------------------------|------------------------------|---|-----------------|------------------|
| ***ALAMOS GOLD INC COM CL A   CUSIP: 011532108   Symbol(Box 1a): AGI |          |                   |                        |                              |   |                 |                  |
| 01/22/2021   | 1.00     | 7.88              | 01/20/2021             | 8.24                         | 0.00  | -0.36           | Sale             |
| FORD MOTOR CO PAR \$0.01   CUSIP: 345370860   Symbol(Box 1a): F      |          |                   |                        |                              |   |                 |                  |
| 02/04/2021   | 1.00     | 11.68             | 01/20/2021             | 10.86                        | 0.00  | 0.82            | Sale             |
| <b>Totals:</b>   |          | <b>19.56</b>      |                        | <b>19.10</b>                 |   | <b>0.46</b>     |                  |

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

APEX CLEARING

## Dividends and Distributions - Details of Form 1099-DIV

2021

5NG11669

01/31/2022

This section of the information statement provides payment-level details for dividend-related distributions reported in aggregate on Form 1099-DIV. The information provided below is for your reference only. The break-out details provide payment-level information (including payment date and issuer) for different categories of distributions reported on Form 1099-DIV: ordinary dividends, including portions classified as qualified dividends and section 199A dividends, non-dividend distributions, exempt-interest dividends, and liquidation distributions.

Taxes withheld for federal, state, or foreign tax purposes are shown as negative numbers but do not offset the income amounts.

For dividends classified as "qualified dividends," the classification is made only from the issuer perspective without accounting for your holding period. Under IRS rules, classification as a qualified dividend for a taxpayer also depends on the taxpayer's holding period in the relevant stock, and a taxpayer is responsible for confirming such qualification based on the taxpayer's actual holding period. Taxpayers are reminded that they are ultimately responsible for the accuracy of their own tax returns.

| Description   CUSIP   Symbol   |                                   |                              |                                   |                                |                             |                          |  |
|--|-----------------------------------|------------------------------|-----------------------------------|--------------------------------|-----------------------------|--------------------------|--|
| Date   | Total Ordinary Dividends (Box 1a) | Qualified Dividends (Box 1b) | Nondividend Distributions (Box 3) | Section 199A Dividends (Box 5) | Investment Expenses (Box 6) | Foreign Tax Paid (Box 7) | Foreign Country or US Possession (Box 8) |
| ROCKET COMPANIES INC CLASS A COMMON STOCK   CUSIP: 77311W101   Symbol: RKT |                                   |                              |                                   |                                |                             |                          |  |
| 03/23/2021   | 144.30                            | 144.30                       | 0.00                              | 0.00                           | 0.00                        | 0.00                     |  |
| VIACOMCBS INC CLASS B COMMON STOCK   CUSIP: 92556H206   Symbol: VIAC       |                                   |                              |                                   |                                |                             |                          |  |
| 07/01/2021   | 2.40                              | 2.40                         | 0.00                              | 0.00                           | 0.00                        | 0.00                     |  |
| 10/01/2021   | 2.40                              | 2.40                         | 0.00                              | 0.00                           | 0.00                        | 0.00                     |  |
| <b>Security Totals:</b>  | <b>4.80</b>                       | <b>4.80</b>                  | <b>0.00</b>                       | <b>0.00</b>                    | <b>0.00</b>                 | <b>0.00</b>              |  |
| <b>Totals:</b>   | <b>149.10</b>                     | <b>149.10</b>                | <b>0.00</b>                       | <b>0.00</b>                    | <b>0.00</b>                 | <b>0.00</b>              |  |

APEX CLEARING

## Interest Income - Details of Form 1099-INT

2021

5NG11669

01/31/2022

This section of the information statement provides the payment-level details for interest that is reported in aggregate on Form 1099-INT. Market discount is provided only if you have made an election to recognize market discount on a current basis. Any such market discount and bond premium are reported on Form 1099-INT for covered lots, as detailed below. For noncovered lots, bond premium and market discount are shown below only for your information and are not reported on Form 1099-INT.

## Interest Income

| Description   CUSIP   Symbol                |                               |                                   |                                |   |                                |   |                          |  |
|---|-------------------------------|-----------------------------------|--------------------------------|---|--------------------------------|---|--------------------------|--|
| Date  | Interest<br>Income<br>(Box 1) | Investment<br>Expenses<br>(Box 5) | Foreign Tax<br>Paid<br>(Box 6) | Foreign<br>Country or US<br>Possession<br>(Box 7) | Market<br>Discount<br>(Box 10) | Market Discount<br>(NOT reported to<br>IRS) | Bond Premium<br>(Box 11) | Bond Premium<br>(NOT reported to<br>IRS) |
| FULLYPAID LENDING REBATE   CUSIP:   Symbol: |                               |                                   |                                |   |                                |   |                          |  |
| 05/14/2021                                  | 6.31                          | 0.00                              | 0.00                           |   | 0.00                           | 0.00  | 0.00                     | 0.00                                     |
| 06/14/2021                                  | 7.78                          | 0.00                              | 0.00                           |   | 0.00                           | 0.00  | 0.00                     | 0.00                                     |
| 07/14/2021                                  | 5.73                          | 0.00                              | 0.00                           |   | 0.00                           | 0.00  | 0.00                     | 0.00                                     |
| 08/12/2021                                  | 4.62                          | 0.00                              | 0.00                           |   | 0.00                           | 0.00  | 0.00                     | 0.00                                     |
| 09/13/2021                                  | 2.93                          | 0.00                              | 0.00                           |   | 0.00                           | 0.00  | 0.00                     | 0.00                                     |
| 10/14/2021                                  | 2.12                          | 0.00                              | 0.00                           |   | 0.00                           | 0.00  | 0.00                     | 0.00                                     |
| 11/11/2021                                  | 1.97                          | 0.00                              | 0.00                           |   | 0.00                           | 0.00  | 0.00                     | 0.00                                     |
| 12/14/2021                                  | 3.47                          | 0.00                              | 0.00                           |   | 0.00                           | 0.00  | 0.00                     | 0.00                                     |
| <b>Security Totals:</b>                     | <b>34.93</b>                  | <b>0.00</b>                       | <b>0.00</b>                    |   | <b>0.00</b>                    | <b>0.00</b>                                 | <b>0.00</b>              | <b>0.00</b>                              |
| <b>Totals:</b>                              | <b>34.93</b>                  | <b>0.00</b>                       | <b>0.00</b>                    |   | <b>0.00</b>                    | <b>0.00</b>                                 | <b>0.00</b>              | <b>0.00</b>                              |

APEX CLEARING

## Miscellaneous Information - Details of Form 1099-MISC

2021

5NG11669

01/31/2022

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

| Description   CUSIP   Symbol |   | Substitute Payments in Lieu of Dividends or Interest (Box 8) |             |
|------------------------------|---|--|-------------|
| Date                         | Royalties(Box 2)                              | Other Income(Box 3)  | (Box 8)     |
| ***ALAMOS GOLD INC           | COM CL A   CUSIP: 011532108   Symbol: AGI     |  |             |
| 01/20/2021                   | 0.00  | 8.24   | 0.00        |
| ADT INC                      | COMMON STOCK   CUSIP: 00090Q103   Symbol: ADT |  |             |
| 02/23/2021                   | 0.00  | 19.82  | 0.00        |
| SOUTHWESTERN ENERGY CO       | CUSIP: 845467109   Symbol: SWN                |  |             |
| 01/11/2021                   | 0.00  | 6.56   | 0.00        |
| FORD MOTOR CO                | PAR \$0.01   CUSIP: 345370860   Symbol: F     |  |             |
| 01/20/2021                   | 0.00  | 10.86  | 0.00        |
| <b>Totals:</b>               | <b>0.00</b>                                   | <b>45.48</b>   | <b>0.00</b> |

APEX CLEARING

## Supplemental Information

2021

5NG11669

01/31/2022

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

**Cash in Lieu <\$20**

| Description   CUSIP   Symbol   |          |             |               |                     |                 |
|--|----------|-------------|---------------|---------------------|-----------------|
| Date   | Quantity | Proceeds    | Date Acquired | Cost or Other Basis | Gain or Loss(-) |
| ***CHEMOMAB THERAPEUTICS LTD AMERICAN DEPOSITARY SHARE   CUSIP: 16385C104   Symbol: CMMB |          |             |               |                     |                 |
| 04/20/2021   | 0.125    | 3.49        | 03/15/2021    | 16.50               | -13.01          |
| <b>Totals:</b>   |          | <b>3.49</b> |               | <b>16.50</b>        | <b>-13.01</b>   |

**Fees & Expenses**

| Description             |              |
|-------------------------|--------------|
| Date                    | Amount       |
| Margin Interest Expense |              |
| 02/16/2021              | 2.61         |
| 03/16/2021              | 3.72         |
| 05/17/2021              | 4.39         |
| 06/16/2021              | 10.21        |
| 07/16/2021              | 5.88         |
| 08/16/2021              | 5.50         |
| 09/16/2021              | 5.51         |
| 10/18/2021              | 5.34         |
| 11/16/2021              | 2.35         |
| 12/16/2021              | 1.34         |
| <b>Total:</b>           | <b>46.85</b> |
| ADR Fees                |              |
| 05/11/2021              | 22.00        |
| 12/10/2021              | 0.38         |
| <b>Total:</b>           | <b>22.38</b> |
| <b>Totals:</b>          | <b>69.23</b> |

## Common Instructions for Recipient

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

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

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

**Nominees.** If this form includes amounts belonging to another person, you are considered a nominee recipient. You must file as the "payer" the respective Form 1099 (DIV, INT, or OID) (with a Form 1096) to the IRS for each of the other owners to show their share of the income, and you must furnish the respective Copy B Form(s) to each. A spouse is not required to file a nominee return to show amounts owned by the other spouse. See the 2021 General Instructions for Certain Information Returns.

**FreeFile.** Go to [www.irs.gov/FreeFile](http://www.irs.gov/FreeFile) to see if you qualify for no-cost online federal tax preparation, e-filing, and direct deposit or payment options.

## Keep tax documents for your records.

### 1099-DIV Instructions for Recipient

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

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

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

**Box 2a.** Shows total capital gain distributions from a regulated investment company (RIC) or real estate investment trust (REIT). See *How To Report* in the Instructions for Schedule D (Form 1040). But, if no amount is shown in boxes 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 box 2a on your Form 1040 or 1040-SR rather than Schedule D. See the Instructions for Forms 1040 or 1040-SR.

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

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

**Box 2d.** Shows the portion of the amount in box 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).

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

**Box 2f.** Shows the portion of the amount in box 2a that is section 897 gain attributable of USRPI.

**Note:** Boxes 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.

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

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

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

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

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

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

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

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

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

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

### 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.

**Box 1.** Shows taxable interest paid to you during the calendar year by the payer. This does not include interest shown in box 3. May also show the total amount of the credits from clean renewable energy bonds, new clean renewable energy bonds, qualified energy conservation bonds, qualified zone academy bonds, qualified school construction bonds, and build America bonds that must be included in your interest income. These amounts were treated as paid to you during 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.

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

### 1099-B Instructions for Recipient

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

**Box 8.** Shows the profit or (loss) realized on regulated futures, foreign currency, or Section 1256 option contracts closed during 2021.

**Box 9.** Shows any year-end adjustment to the profit or (loss) shown in box 8 due to open contracts on December 31, 2020.

**Box 10.** Shows the unrealized profit or (loss) on open contracts held in your account on December 31, 2021. These are considered closed out as of that date. This will become an adjustment reported as unrealized profit or (loss) on open contracts—12/31/2021 in 2022.

**Box 11.** Boxes 8, 9, and 10 are all used to figure the aggregate profit or (loss) on regulated futures, foreign currency, or Section 1256 option contracts for the year. Include this amount on your 2021 Form 6781.

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

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

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

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

#### 1099-MISC Instructions for Recipient

**Amounts shown may be subject to self-employment (SE) tax.** Individuals should see the Instructions for Schedule SE (Form 1040). Corporations, fiduciaries, or partnerships must report the amounts on the proper line of their tax returns.

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

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

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

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

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

**Box 5.** Shows the amount paid to a fishing boat crew member who is considered by the operator to be self-employed. Self-employed individuals must report this amount on Schedule C (Form 1040). See Pub. 334.

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

**Box 7.** If checked, consumer products totaling \$5,000 or more were sold to you for resale, on a buy-sell, a deposit-commission, or other basis. Generally, report any income from your sale of these products on Schedule C (Form 1040).

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

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

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

**Box 12.** May show current year deferrals as a nonemployee under a nonqualified deferred compensation (NQDC) plan that is subject to the requirements of section 409A, plus any earnings on current and prior year deferrals.

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

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

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

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

#### 1099-OID Instructions for Recipient

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

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

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

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

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

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

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

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

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

**Box 5.** For a covered security acquired with OID, if you made an election under section 1278(b) to include market discount in income as it accrues and you notified your payer of the election in writing in accordance with Regulations section 1.6045-1(n)(5), shows the market discount that

accrued on the debt instrument during the year while held by you. For a tax-exempt obligation that is a covered security acquired on or after January 1, 2017, and issued with OID, shows the market discount that accrued on the obligation during the year while held by you. For a covered

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

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

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

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

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

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

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

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

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

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

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

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

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

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