

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

BHARGAV RAJAMMAGARI
9724 HOLMES PL UNIT 1
MANASSAS PARK, VA 20111-7016

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.

This page is intentionally left blank.

APEX CLEARING ONE DALLAS CENTER 350 NORTH ST PAUL SUITE 1300 DALLAS, TX 75201 Customer Service: 214-765-1009 PAYER'S Federal ID No: 13-2967453 IN ACCOUNT WITH WEBULL FINANCIAL LLC (917) 725-2448	Account 5MS28753	Form 1099 Composite	2021
	BHARGAV RAJAMMAGARI 9724 HOLMES PL UNIT 1 MANASSAS PARK, VA 20111-7016 RECIPIENT'S ID No: XXX-XX-7402	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)	156.00	
1b- Qualified Dividends	156.00	
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	
4- Federal Income Tax Withheld	0.00	
5- Section 199A Dividends	0.00	
6- Investment Expenses	0.00	
7- Foreign tax Paid	0.00	
8- Foreign country or US Possession		
9- Cash Liquidation Distributions	0.00	
10- Noncash Liquidation Distribution	0.00	
11- Exempt-Interest Dividends	0.00	
12- Specified Private Activity Bond Interest Dividends	0.00	

MISCELLANEOUS INFORMATION	2021 Form 1099-MISC*	OMB No. 1545-0115
2- Royalties	0.00	
3- Other Income	292.98	
4- Federal Income Tax Withheld	0.00	
8- Substitute Payments in Lieu of Dividends or Interest	0.00	

INTEREST INCOME	2021 Form 1099-INT*	OMB No. 1545-0112
1- Interest Income	40.45	
2- Early Withdrawal Penalty	0.00	
3- Interest on U.S. Savings Bonds & Treasury Obligations	0.00	
4- Federal Income Tax Withheld	0.00	
5- Investment Expenses	0.00	
6- Foreign Tax Paid	0.00	
7- Foreign Country or U.S. Possession		
8- Tax-Exempt Interest (includes box 9)	0.00	
9- Specified Private Activity Bond Interest	0.00	
10- Market Discount	0.00	
11- Bond Premium	0.00	
12- Bond Premium on Treasury Obligations	0.00	
13- Bond Premium on Tax-Exempt Bonds	0.00	
14- Tax-Exempt and Tax Credit Bond CUSIP no.		

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

5MS28753

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.

Section	Total Proceeds	Total Cost Basis	Total Market Discount	Wash Sale Loss Disallowed	Total Net Gain or Loss(-)
Short-term transactions for covered tax lots	1,830,501.98	1,883,713.40	0.00	23,266.69	-29,944.73
Short-term transactions for noncovered tax lots	5,787.27	5,965.00	0.00	0.00	-177.73
Total Short-term	1,836,289.25	1,889,678.40	0.00	23,266.69	-30,122.46
Long-term transactions for covered tax lots	20,126.40	11,736.26	0.00	0.00	8,390.14
Long-term transactions for noncovered tax lots	0.00	0.00	0.00	0.00	0.00
Total Long-term	20,126.40	11,736.26	0.00	0.00	8,390.14
Undetermined transactions for noncovered tax lots	0.00	0.00	0.00	0.00	0.00
Total Undetermined-term	0.00	0.00	0.00	0.00	0.00

ORIGINAL ISSUE DISCOUNT SUMMARY*

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

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

FEDERAL TAX WITHHELD

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

APEX CLEARING

Proceeds from Broker and Barter Exchange Transactions

2021 Form 1099-B*

5MS28753

01/31/2022

OMB No. 1545-0715

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
SENECA BIOPHARMA INC COMMON STOCK CUSIP: 81689B103 Symbol(Box 1a): SNCA							
01/25/2021	500.00	739.92	01/25/2021	795.00	0.00	-55.08	Sale
CALL AFRM 11/26/21 160 AFFIRM HOLDINGS INC CL A CUSIP: Symbol(Box 1a): AFRM211126C00160000							
11/17/2021	5.00	2,909.86	11/17/2021	3,650.11	0.00	-740.25	Sell to Close
SILVERBACK THERAPEUTICS INC COMMON STOCK CUSIP: 82835W108 Symbol(Box 1a): SBTX							
10/14/2021	500.00	4,629.91	Various	4,811.25	181.34 D	0.00	Sale
10/28/2021	500.00	4,294.96	Various	4,731.34	0.00	-436.38	Sale
Security Totals:		8,924.87		9,542.59		-436.38	

* 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*

5MS28753

(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
LISTED FUNDS TRUST							
							ROUNDHILL SPORTS BETTING & IGAMING ETF CUSIP: 53656F789 Symbol(Box 1a): BETZ
02/24/2021	30.00	938.38	01/19/2021	862.18	0.00	76.20	Sale
CALL ATER	11/19/21 20						ATERIAN INC CUSIP: Symbol(Box 1a): ATER211119C00020000
09/29/2021	2.00	213.88	Various	515.10	0.00	-301.22	Sell to Close
CALL GOEV	10/15/21 8.50						CANOO INC CL A CUSIP: Symbol(Box 1a): GOEV211015C00008500
09/24/2021	1.00	127.93	09/24/2021	88.05	0.00	39.88	Sell to Close
CALL COMS	05/21/21 2.50						COMSOVEREIGN HOLDING CORP CUSIP: Symbol(Box 1a): COMS210521C00002500
04/12/2021	2.00	61.82	04/06/2021	140.16	0.00	-78.34	Sell to Close
CALL AMZN	10/01/21 3310						AMAZON.COM INC CUSIP: Symbol(Box 1a): AMZN211001C03310000
09/30/2021	1.00	2,440.92	09/30/2021	2,480.05	0.00	-39.13	Sell to Close
PUT AMZN	10/01/21 3310						AMAZON.COM INC CUSIP: Symbol(Box 1a): AMZN211001P03310000
09/30/2021	1.00	2,099.92	09/30/2021	2,496.05	0.00	-396.13	Sell to Close
CALL NIO	11/12/21 45						NIO INC ADS CUSIP: Symbol(Box 1a): NIO211112C00045000
11/12/2021	5.00	0.00	11/09/2021	450.21	0.00	-450.21	Expiration
CALL OMI	03/19/21 40						OWENS & MINOR INC HOLDING CO CUSIP: Symbol(Box 1a): OMI210319C00040000
01/25/2021	2.00	79.82	12/23/2020	316.16	0.00	-236.34	Sell to Close
***RISE EDUCATION CAYMAN LTD							AMERICAN DEPOSITARY SHARES CUSIP: 76761L102 Symbol(Box 1a): REDU
10/28/2021	2,000.00	1,939.95	Various	2,490.00	0.00	-550.05	Sale
CALL DBI	10/15/21 15						DESIGNER BRANDS INC CLASS A CUSIP: Symbol(Box 1a): DBI211015C00015000
09/28/2021	1.00	104.93	09/21/2021	70.05	0.00	34.88	Sell to Close
GENERAL ELECTRIC COMPANY							COM CUSIP: 369604103 Symbol(Box 1a): GE
05/11/2021	1.00	13.12	04/28/2021	13.20	0.00	-0.08	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*

5MS28753

(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 DKNG 02/18/22	40						
DRAFTKINGS INC CL A CUSIP: Symbol(Box 1a): DKNG220218C00040000							
11/26/2021	10.00	2,924.75	11/19/2021	3,440.21	0.00	-515.46	Sell to Close
RENOVORX INC							
COMMON STOCK CUSIP: 75989R107 Symbol(Box 1a): RNXT							
11/10/2021	200.00	2,039.96	11/10/2021	1,804.00	0.00	235.96	Sale
CALL TSLA 11/05/21	1195						
TESLA INC CUSIP: Symbol(Box 1a): TSLA211105C01195000							
11/02/2021	1.00	2,554.93	11/02/2021	2,289.04	0.00	265.89	Sell to Close
CALL COST 01/07/22	575						
COSTCO WHOLESALE CORPORATION CUSIP: Symbol(Box 1a): COST220107C00575000							
12/29/2021	2.00	1,079.94	12/29/2021	926.04	0.00	153.90	Sell to Close
ADVISORSHARES TRUST							
ADVISORSHARES PURE US CANNABIS ETF CUSIP: 00768Y453 Symbol(Box 1a): MSOS							
02/05/2021	100.00	4,940.88	Various	4,866.25	0.00	74.63	Sale
CALL IPOF 11/19/21	11						
SOCIAL CPTL HEDOSOPHIA HLDNGS CUSIP: Symbol(Box 1a): IPOF211119C00011000							
10/27/2021	286.00	3,133.30	Various	4,790.12	0.00	-1,656.82	Sell to Close
PUT AMZN 10/01/21	3340						
AMAZON.COM INC CUSIP: Symbol(Box 1a): AMZN211001P03340000							
09/28/2021	1.00	3,809.92	09/28/2021	3,470.05	0.00	339.87	Sell to Close
CALL ROKU 11/26/21	335						
ROKU INC CUSIP: Symbol(Box 1a): ROKU211126C00335000							
11/09/2021	10.00	839.56	Various	1,635.42	0.00	-795.86	Sell to Close
CALL OTRK 01/21/22	7.50						
ONTRAK INC CUSIP: Symbol(Box 1a): OTRK220121C00007500							
12/28/2021	10.00	399.76	12/28/2021	570.21	0.00	-170.45	Sell to Close
CALL DKNG 10/15/21	50						
DRAFTKINGS INC CL A CUSIP: Symbol(Box 1a): DKNG211015C00050000							
10/12/2021	3.00	293.85	10/12/2021	261.13	0.00	32.72	Sell to Close
10/12/2021	2.00	159.90	10/12/2021	174.08	0.00	-14.18	Sell to Close
Security Totals:		453.75		435.21		18.54	
CALL APPS 06/18/21	90						
DIGITAL TURBINE INC CUSIP: Symbol(Box 1a): APPS210618C00090000							
06/18/2021	40.00	0.00	Various	7,403.19	0.00	-7,403.19	Expiration

* 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*

5MS28753

(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
GLOBAL X FUNDS GLOBAL X URANIUM ETF CUSIP: 37954Y871 Symbol(Box 1a): URA							
11/12/2021	200.00	6,010.80	11/11/2021	5,972.00	0.00	38.80	Sale
CALL AFRM 11/19/21 170 AFFIRM HOLDINGS INC CL A CUSIP: Symbol(Box 1a): AFIRM211119C00170000							
11/08/2021	3.00	3,599.85	11/08/2021	3,690.12	0.00	-90.27	Sell to Close
SMILEDIRECTCLUB INC CLASS A COMMON STOCK CUSIP: 83192H106 Symbol(Box 1a): SDC							
09/02/2021	250.00	1,372.46	08/31/2021	1,346.98	0.00	25.48	Sale
09/29/2021	500.00	2,699.97	09/28/2021	2,773.50	73.53 D	0.00	Sale
10/06/2021	500.00	3,257.42	09/30/2021	2,752.18	0.00	505.24	Sale
12/23/2021	500.00	1,389.93	12/16/2021	1,294.95	0.00	94.98	Sale
Security Totals:		8,719.78		8,167.61		625.70	
ANTERO RESOURCES CORPORATION CUSIP: 03674X106 Symbol(Box 1a): AR							
03/31/2021	1.00	10.16	03/26/2021	10.47	0.00	-0.31	Sale
05/11/2021	17.00	184.60	Various	172.89	0.00	11.71	Sale
Security Totals:		194.76		183.36		11.40	
CALL SNOW 12/23/21 340 SNOWFLAKE INC CLASS A CUSIP: Symbol(Box 1a): SNOW211223C00340000							
12/21/2021	5.00	2,649.86	12/21/2021	3,600.11	0.00	-950.25	Sell to Close
CALL PFE 12/03/21 53.50 PFIZER INC CUSIP: Symbol(Box 1a): PFE211203C00053500							
11/30/2021	5.00	474.87	11/30/2021	490.11	0.00	-15.24	Sell to Close
CALL AYX 11/19/21 90 ALTERYX INC CUSIP: Symbol(Box 1a): AYX211119C00090000							
08/04/2021	4.00	599.77	Various	1,705.21	0.00	-1,105.44	Sell to Close
***FLORA GROWTH CORP COMMON CUSIP: 339764102 Symbol(Box 1a): FLGC							
05/25/2021	200.00	731.13	05/17/2021	714.00	0.00	17.13	Sale

APEX CLEARING

Proceeds from Broker and Barter Exchange Transactions

2021 Form 1099-B*

5MS28753

(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
LIPOCINE INC CUSIP: 53630X104 Symbol(Box 1a): LPCN							
01/25/2021	200.00	460.18	01/20/2021	410.00	0.00	50.18	Sale
CALL SDC 01/21/22 6 SMILEDIRECTCLUB INC CL A CUSIP: Symbol(Box 1a): SDC220121C00006000							
10/29/2021	5.00	374.77	10/19/2021	465.21	90.44 D	0.00	Sell to Close
11/02/2021	5.00	369.77	10/29/2021	470.65	0.00	-100.88	Sell to Close
Security Totals:		744.54		935.86		-100.88	
CALL MGM 05/28/21 41.50 MGM RESORTS INTERNATIONAL CUSIP: Symbol(Box 1a): MGM210528C00041500							
05/25/2021	1.00	179.91	05/24/2021	104.07	0.00	75.84	Sell to Close
CALL NET 03/18/22 200 CLOUDFLARE INC CL A CUSIP: Symbol(Box 1a): NET220318C00200000							
12/22/2021	2.00	697.94	12/17/2021	810.04	0.00	-112.10	Sell to Close
CALL QCOM 11/19/21 170 QUALCOMM INC CUSIP: Symbol(Box 1a): QCOM211119C00170000							
11/10/2021	10.00	1,109.56	Various	3,955.42	0.00	-2,845.86	Sell to Close
CALL NVAX 12/17/21 250 NOVAVAX INC CUSIP: Symbol(Box 1a): NVAX211217C00250000							
11/17/2021	5.00	1,774.87	Various	1,538.10	0.00	236.77	Sell to Close
CALL NVDA 11/12/21 262.50 NVIDIA CORPORATION CUSIP: Symbol(Box 1a): NVDA211112C00262500							
11/02/2021	5.00	3,149.76	11/02/2021	3,150.21	0.00	-0.45	Sell to Close
CALL PLUG 09/24/21 27 PLUG POWER INC CUSIP: Symbol(Box 1a): PLUG210924C00027000							
09/23/2021	2.00	119.88	09/17/2021	96.10	0.00	23.78	Sell to Close
CALL NFLX 11/05/21 675 NETFLIX INC CUSIP: Symbol(Box 1a): NFLX211105C00675000							
11/04/2021	2.00	523.90	11/04/2021	644.08	0.00	-120.18	Sell to Close
SELECTQUOTE INC COMMON STOCK CUSIP: 816307300 Symbol(Box 1a): SLQT							
09/29/2021	500.00	6,479.95	09/27/2021	6,970.00	0.00	-490.05	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*

5MS28753

(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
PUT AAPL 08/06/21 145 APPLE INC CUSIP: Symbol(Box 1a): AAPL210806P00145000							
07/30/2021	2.00	391.87	07/29/2021	290.11	0.00	101.76	Sell to Close
CALL KPLT 10/15/21 7.50 KATAPULT HOLDINGS INC CUSIP: Symbol(Box 1a): KPLT211015C00007500							
09/29/2021	2.00	49.88	09/23/2021	128.10	0.00	-78.22	Sell to Close
CALL MSFT 10/15/21 305 MICROSOFT CORP CUSIP: Symbol(Box 1a): MSFT211015C00305000							
09/10/2021	1.00	435.93	09/10/2021	356.05	0.00	79.88	Sell to Close
09/13/2021	1.00	279.93	09/10/2021	375.05	0.00	-95.12	Sell to Close
Security Totals:		715.86		731.10		-15.24	
CALL FCEL 11/12/21 11 FUELCELL ENERGY INC CUSIP: Symbol(Box 1a): FCEL211112C00011000							
11/08/2021	10.00	379.56	11/08/2021	490.41	0.00	-110.85	Sell to Close
PUT MARA 01/07/22 35 MARATHON DIGITAL HOLDINGS INC CUSIP: Symbol(Box 1a): MARA220107P00035000							
12/28/2021	5.00	1,299.87	12/28/2021	1,175.11	0.00	124.76	Sell to Close
CALL MP 06/18/21 30 MP MATERIALS CORPORATION CL A CUSIP: Symbol(Box 1a): MP210618C00030000							
04/22/2021	2.00	533.82	04/21/2021	700.16	0.00	-166.34	Sell to Close
CALL MU 10/15/21 75 MICRON TECHNOLOGY INC CUSIP: Symbol(Box 1a): MU211015C00075000							
09/29/2021	4.00	423.77	Various	1,012.20	0.00	-588.43	Sell to Close
PUT AFRM 12/31/21 97 AFFIRM HOLDINGS INC CL A CUSIP: Symbol(Box 1a): AFRM211231P00097000							
12/29/2021	2.00	439.94	12/29/2021	400.04	0.00	39.90	Sell to Close
CALL SOFI 11/12/21 22 SOFI TECHNOLOGIES INC CUSIP: Symbol(Box 1a): SOFI211112C00022000							
11/10/2021	3.00	245.86	11/09/2021	423.12	0.00	-177.26	Sell to Close
CALL COST 12/03/21 540 COSTCO WHOLESALE CORPORATION CUSIP: Symbol(Box 1a): COST211203C00540000							
11/19/2021	4.00	1,799.89	Various	1,764.08	0.00	35.81	Sell to Close
CALL DKNG 05/21/21 70 DRAFTKINGS INC CL A CUSIP: Symbol(Box 1a): DKNG210521C00070000							
04/12/2021	4.00	659.66	Various	990.32	0.00	-330.66	Sell to Close

* 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*

5MS28753

(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 MRNA 12/03/21 400 MODERNA INC CUSIP: Symbol(Box 1a): MRNA211203C00400000							
11/29/2021	5.00	3,559.86	Various	6,130.10	0.00	-2,570.24	Sell to Close
CALL TLRX 11/05/21 11 TILRAY INC CUSIP: Symbol(Box 1a): TLRX211105C00011000							
10/29/2021	10.00	169.55	10/28/2021	310.42	0.00	-140.87	Sell to Close
NIKOLA CORPORATION COMMON STOCK CUSIP: 654110105 Symbol(Box 1a): NKLA							
12/23/2021	140.00	1,546.97	12/22/2021	1,351.00	0.00	195.97	Sale
CALL PLUG 10/22/21 34 PLUG POWER INC CUSIP: Symbol(Box 1a): PLUG211022C00034000							
10/20/2021	5.00	149.77	10/14/2021	400.21	0.00	-250.44	Sell to Close
ROBINHOOD MARKETS INC CLASS A COMMON STOCK CUSIP: 770700102 Symbol(Box 1a): HOOD							
08/03/2021	100.00	4,764.97	07/29/2021	3,628.00	0.00	1,136.97	Sale
10/27/2021	100.00	3,485.97	10/14/2021	4,170.00	0.00	-684.03	Sale
Security Totals:		8,250.94		7,798.00		452.94	
***SPHERE 3D CORP NEW COM NO PAR CUSIP: 84841L308 Symbol(Box 1a): ANY							
09/29/2021	100.00	603.99	09/27/2021	740.00	136.01 D	0.00	Sale
10/14/2021	200.00	1,690.97	Various	1,774.01	0.00	-83.04	Sale
Security Totals:		2,294.96		2,514.01		-83.04	
AEHR TEST SYSTEMS CUSIP: 00760J108 Symbol(Box 1a): AEHR							
05/11/2021	500.00	1,050.83	05/06/2021	1,195.00	0.00	-144.17	Sale
10/13/2021	100.00	2,128.97	10/11/2021	1,983.00	0.00	145.97	Sale
Security Totals:		3,179.80		3,178.00		1.80	
CALL AMC 12/23/21 31 AMC ENTERTAINMENT HOLDINGS INC CUSIP: Symbol(Box 1a): AMC211223C00031000							
12/21/2021	5.00	759.87	12/21/2021	1,015.11	0.00	-255.24	Sell to Close

* 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*

5MS28753

(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
QUANTUMSCAPE CORPORATION CLASS A COMMON STOCK CUSIP: 74767V109 Symbol(Box 1a): QS							
02/25/2021	50.00	2,867.47	02/23/2021	2,863.00	0.00	4.47	Sale
03/03/2021	100.00	5,443.96	02/25/2021	5,745.00	301.04 D	0.00	Sale
03/31/2021	100.00	4,849.96	03/05/2021	4,841.04	0.00	8.92	Sale
05/03/2021	99.00	3,481.88	04/22/2021	3,474.90	0.00	6.98	Sale
09/27/2021	401.00	10,790.80	Various	10,098.56	0.00	692.24	Sale
11/08/2021	250.00	8,622.42	11/04/2021	8,149.98	0.00	472.44	Sale
Security Totals:		36,056.49		35,172.48		1,185.05	
PPD INC COMMON STOCK CUSIP: 69355F102 Symbol(Box 1a): PPD							
12/08/2021	200.00	9,500.00	Various	6,908.00	0.00	2,592.00	Merger
PUT PYPL 10/15/21 260 PAYPAL HOLDINGS INC CUSIP: Symbol(Box 1a): PYPL211015P00260000							
10/08/2021	3.00	677.85	10/07/2021	732.13	0.00	-54.28	Sell to Close
CALL AFRM 10/15/21 113 AFFIRM HOLDINGS INC CL A CUSIP: Symbol(Box 1a): AFRM211015C00113000							
10/06/2021	2.00	799.90	10/05/2021	1,400.08	0.00	-600.18	Sell to Close
PUT AFRM 10/15/21 113 AFFIRM HOLDINGS INC CL A CUSIP: Symbol(Box 1a): AFRM211015P00113000							
10/05/2021	1.00	620.94	10/05/2021	670.04	0.00	-49.10	Sell to Close
CALL COST 11/19/21 500 COSTCO WHOLESALE CORPORATION CUSIP: Symbol(Box 1a): COST211119C00500000							
11/01/2021	5.00	2,824.76	10/29/2021	1,975.21	0.00	849.55	Sell to Close
CALL TSLA 09/17/21 760 TESLA INC ADJ 5:1 STOCK SPLIT CUSIP: Symbol(Box 1a): TSLA210917C00760000							
09/13/2021	4.00	881.77	Various	3,860.20	0.00	-2,978.43	Sell to Close
PUT NVDA 12/31/21 295 NVIDIA CORPORATION CUSIP: Symbol(Box 1a): NVDA211231P00295000							
12/29/2021	2.00	749.94	12/29/2021	660.04	0.00	89.90	Sell to Close

* 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*

5MS28753

(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 JPM 12/17/21	170	JPMORGAN CHASE & CO	CUSIP: Symbol(Box 1a): JPM211217C00170000				
11/24/2021	6.00	1,889.85	Various	1,923.18	0.00	-33.33	Sell to Close
CALL FRXS 11/19/21	5	FORESIGHT AUTONOMOUS HLDGS LTD	CUSIP: Symbol(Box 1a): FRXS211119C00005000				
11/19/2021	10.00	0.00	10/22/2021	100.42	0.00	-100.42	Expiration
CALL QLGN 05/21/21	2.50	QUALIGEN THERAPEUTICS INC	CUSIP: Symbol(Box 1a): QLGN210521C00002500				
05/21/2021	10.00	0.00	04/19/2021	140.80	0.00	-140.80	Expiration
CALL ROKU 12/31/21	240	ROKU INC	CUSIP: Symbol(Box 1a): ROKU211231C00240000				
12/31/2021	5.00	1,899.87	12/31/2021	1,419.11	0.00	480.76	Sell to Close
CALL BIGC 11/19/21	50	BIGCOMMERCE HOLDINGS INC	CUSIP: Symbol(Box 1a): BIGC211119C00050000				
11/05/2021	1.00	549.94	11/04/2021	183.04	0.00	366.90	Sell to Close
11/05/2021	4.00	2,119.80	11/04/2021	732.17	0.00	1,387.63	Sell to Close
Security Totals:		2,669.74		915.21		1,754.53	
CALL SHOP 12/03/21	1650	SHOPIFY INC	CUSIP: Symbol(Box 1a): SHOP211203C01650000				
11/30/2021	1.00	1,599.96	11/30/2021	2,390.02	790.06 D	0.00	Sell to Close
12/02/2021	5.00	199.87	Various	4,590.17	0.00	-4,390.30	Sell to Close
Security Totals:		1,799.83		6,980.19		-4,390.30	
CALL AI 06/17/22	50	C3 AI INC CLASS A	CUSIP: Symbol(Box 1a): AI220617C00050000				
12/16/2021	5.00	1,689.87	12/15/2021	1,550.11	0.00	139.76	Sell to Close
PUT MARA 09/10/21	39	MARATHON DIGITAL HOLDINGS INC	CUSIP: Symbol(Box 1a): MARA210910P00039000				
09/07/2021	1.00	119.93	09/07/2021	158.05	0.00	-38.12	Sell to Close
CALL FUBO 02/19/21	45	FUBOTV INC	CUSIP: Symbol(Box 1a): FUBO210219C00045000				
01/25/2021	1.00	589.89	12/30/2020	475.08	0.00	114.81	Sell to Close

* 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*

5MS28753

(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 SQ 10/08/21	230	SQUARE INC CUSIP: Symbol(Box 1a): SQ211008C00230000					
10/05/2021	2.00	707.90	10/04/2021	660.08	0.00	47.82	Sell to Close
CALL AI 06/17/22	45	C3 AI INC CLASS A CUSIP: Symbol(Box 1a): AI220617C00045000					
08/31/2021	1.00	1,509.93	08/12/2021	1,510.05	0.00	-0.12	Sell to Close
VIACOMCBS INC	CLASS B COMMON STOCK CUSIP: 92556H206 Symbol(Box 1a): VIAC						
11/09/2021	100.00	3,531.97	11/08/2021	3,600.00	0.00	-68.03	Sale
PUT RCL 12/23/21	72.50	ROYAL CARIBBEAN GROUP CUSIP: Symbol(Box 1a): RCL211223P00072500					
12/20/2021	3.00	719.92	12/20/2021	624.06	0.00	95.86	Sell to Close
CALL AMD 10/15/21	110	ADVANCED MICRO DEVICES INC CUSIP: Symbol(Box 1a): AMD211015C00110000					
10/07/2021	2.00	253.90	10/07/2021	172.08	0.00	81.82	Sell to Close
CALL X 10/22/21	22	UNITED STATES STL CORP NEW CUSIP: Symbol(Box 1a): X211022C00022000					
10/19/2021	10.00	379.55	10/19/2021	300.42	0.00	79.13	Sell to Close
INTERLINK ELECTRONICS INC	COMMON STOCK CUSIP: 458751302 Symbol(Box 1a): LINK						
10/28/2021	100.00	809.98	10/25/2021	914.00	0.00	-104.02	Sale
CALL APPS 11/12/21	90	DIGITAL TURBINE INC CUSIP: Symbol(Box 1a): APPS211112C00090000					
11/01/2021	3.00	2,159.85	10/29/2021	1,419.13	0.00	740.72	Sell to Close
11/02/2021	2.00	1,279.90	10/29/2021	946.08	0.00	333.82	Sell to Close
Security Totals:		3,439.75		2,365.21		1,074.54	
CASSAVA SCIENCES INC	COMMON STOCK CUSIP: 14817C107 Symbol(Box 1a): SAVA						
11/04/2021	100.00	8,906.44	11/04/2021	8,520.00	0.00	386.44	Sale
CALL PLTR 01/21/22	23	PALANTIR TECHNOLOGIES INC CL A CUSIP: Symbol(Box 1a): PLTR220121C00023000					
08/24/2021	5.00	2,209.70	07/07/2021	1,900.27	0.00	309.43	Sell to Close

* 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*

5MS28753

(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							
02/19/2021	5,000.00	6,249.26	02/19/2021	6,200.00	0.00	49.26	Sale
CALL NKE 09/10/21 165 NIKE INC CLASS B CUSIP: Symbol(Box 1a): NKE210910C00165000							
09/09/2021	10.00	1,299.45	09/09/2021	1,050.52	0.00	248.93	Sell to Close
CALL TDOC 10/29/21 140 TELADOC HEALTH INC CUSIP: Symbol(Box 1a): TDOC211029C00140000							
10/19/2021	3.00	1,409.85	10/18/2021	1,200.13	0.00	209.72	Sell to Close
CALL NFLX 10/08/21 650 NETFLIX INC CUSIP: Symbol(Box 1a): NFLX211008C00650000							
10/07/2021	2.00	723.90	10/07/2021	815.08	0.00	-91.18	Sell to Close
ALLENA PHARMACEUTICALS INC COMMON STOCK CUSIP: 018119107 Symbol(Box 1a): ALNA							
11/03/2021	2,000.00	2,199.74	11/03/2021	2,041.81	0.00	157.93	Sale
OPTIMUMBANK HOLDINGS INC COM CUSIP: 68401P403 Symbol(Box 1a): OPHC							
07/19/2021	250.00	1,312.46	07/13/2021	1,304.98	0.00	7.48	Sale
PLUG POWER INC CUSIP: 72919P202 Symbol(Box 1a): PLUG							
09/23/2021	100.00	2,732.47	09/07/2021	2,698.00	0.00	34.47	Sale
FORD MOTOR CO PAR \$0.01 CUSIP: 345370860 Symbol(Box 1a): F							
09/23/2021	200.00	2,709.96	09/16/2021	2,667.04	0.00	42.92	Sale
PUT MRK 10/15/21 82.50 MERCK & CO INC CUSIP: Symbol(Box 1a): MRK211015P00082500							
10/04/2021	2.00	275.90	10/01/2021	500.08	0.00	-224.18	Sell to Close
PUT ETSY 11/12/21 250 ETSY INC CUSIP: Symbol(Box 1a): ETSY211112P00250000							
11/09/2021	2.00	381.90	11/09/2021	600.08	0.00	-218.18	Sell to Close
CALL RCL 10/29/21 87 ROYAL CARIBBEAN GROUP CUSIP: Symbol(Box 1a): RCL211029C00087000							
10/21/2021	3.00	302.85	10/20/2021	420.13	0.00	-117.28	Sell to Close

* 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*

5MS28753

(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 10/15/21 800 TESLA INC CUSIP: Symbol(Box 1a): TSLA211015C00800000							
10/07/2021	2.00	4,417.88	10/05/2021	3,020.08	0.00	1,397.80	Sell to Close
10/11/2021	2.00	2,247.89	Various	2,533.08	285.19 D	0.00	Sell to Close
10/11/2021	2.00	2,249.89	Various	3,005.27	0.00	-755.38	Sell to Close
Security Totals:		8,915.66		8,558.43		642.42	
CALL REGN 10/22/21 600 REGENERON PHARMACEUTICALS INC CUSIP: Symbol(Box 1a): REGN211022C00600000							
10/18/2021	2.00	51.90	10/14/2021	220.08	0.00	-168.18	Sell to Close
CALL ANY 09/17/21 7 SPHERE 3D CORPORATION CUSIP: Symbol(Box 1a): ANY210917C00007000							
09/08/2021	2.00	219.88	09/08/2021	180.10	0.00	39.78	Sell to Close
CALL AEO 11/19/21 27 AMERICAN EAGLE OUTFITTERS INC CUSIP: Symbol(Box 1a): AEO211119C00027000							
10/29/2021	16.00	239.28	Various	953.69	0.00	-714.41	Sell to Close
CALL AFRM 10/29/21 165 AFFIRM HOLDINGS INC CL A CUSIP: Symbol(Box 1a): AFRM211029C00165000							
10/25/2021	3.00	1,442.85	10/25/2021	1,099.13	0.00	343.72	Sell to Close
PUT FB 11/05/21 310 META PLATFORMS INC CL A CUSIP: Symbol(Box 1a): FB211105P00310000							
10/27/2021	10.00	4,149.53	10/27/2021	4,200.43	0.00	-50.90	Sell to Close
10/27/2021	10.00	4,749.53	10/27/2021	4,200.42	0.00	549.11	Sell to Close
Security Totals:		8,899.06		8,400.85		498.21	
CALL NVAX 12/17/21 210 NOVAVAX INC CUSIP: Symbol(Box 1a): NVAX211217C00210000							
10/14/2021	4.00	4,519.79	10/11/2021	4,560.17	0.00	-40.38	Sell to Close
CALL QCOM 11/05/21 140 QUALCOMM INC CUSIP: Symbol(Box 1a): QCOM211105C00140000							
11/03/2021	2.00	569.90	11/03/2021	344.08	0.00	225.82	Sell to Close
11/03/2021	5.00	1,279.77	11/03/2021	860.21	0.00	419.56	Sell to Close

* 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*

5MS28753

(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
11/03/2021	3.00	593.86	11/03/2021	516.12	0.00	77.74	Sell to Close
Security Totals:		2,443.53		1,720.41		723.12	
MARATHON DIGITAL HLDGS INC COMMON STOCK CUSIP: 565788106 Symbol(Box 1a): MARA							
09/24/2021	200.00	6,967.66	09/16/2021	7,315.68	0.00	-348.02	Sale
***FORESIGHT AUTONOMOUS HOLDINGS LTD AMERICAN DEPOSITARY SHARES CUSIP: 345523104 Symbol(Box 1a): FRSX							
11/12/2021	200.00	573.99	10/22/2021	651.00	0.00	-77.01	Sale
CALL ASAN 10/15/21 130 ASANA INC CL A CUSIP: Symbol(Box 1a): ASAN211015C00130000							
09/23/2021	1.00	496.93	09/23/2021	409.05	0.00	87.88	Sell to Close
PUT UPST 10/15/21 170 UPSTART HOLDINGS INC CUSIP: Symbol(Box 1a): UPST211015P00170000							
09/07/2021	1.00	154.93	09/07/2021	180.05	0.00	-25.12	Sell to Close
CALL ZM 05/21/21 500 ZOOM VIDEO COMMUNICATIONS INC CUSIP: Symbol(Box 1a): ZM210521C00500000							
04/05/2021	10.00	349.17	Various	896.81	0.00	-547.64	Sell to Close
ALLIANCE DATA SYSTEM CORP CUSIP: 018581108 Symbol(Box 1a): ADS							
11/05/2021	100.00	9,062.44	11/05/2021	9,011.00	0.00	51.44	Sale
CALL DDD 10/29/21 30 3 D SYSTEMS CORP DEL CUSIP: Symbol(Box 1a): DDD211029C00030000							
10/19/2021	10.00	599.55	10/19/2021	360.42	0.00	239.13	Sell to Close
SUNWORKS INC COMMON STOCK CUSIP: 86803X204 Symbol(Box 1a): SUNW							
10/13/2021	500.00	3,307.92	10/12/2021	3,259.80	0.00	48.12	Sale
CALL AZN 01/29/21 52.50 ASTRAZENECA PLC CUSIP: Symbol(Box 1a): AZN210129C00052500							
01/29/2021	2.00	0.00	01/29/2021	46.16	0.00	-46.16	Expiration
VOYAGER THERAPEUTICS INC COM CUSIP: 92915B106 Symbol(Box 1a): VYGR							
10/08/2021	100.00	542.98	10/08/2021	477.00	0.00	65.98	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*

5MS28753

(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
FIVE BELOW INC CUSIP: 33829M101 Symbol(Box 1a): FIVE							
10/15/2021	50.00	9,485.44	10/14/2021	9,329.39	0.00	156.05	Sale
CALL ABNB 11/05/21 180 AIRBNB INC CUSIP: Symbol(Box 1a): ABNB211105C00180000							
11/01/2021	1.00	339.94	11/01/2021	319.04	0.00	20.90	Sell to Close
11/01/2021	4.00	1,619.81	11/01/2021	1,276.17	0.00	343.64	Sell to Close
Security Totals:		1,959.75		1,595.21		364.54	
CALL TSLA 11/05/21 1200 TESLA INC CUSIP: Symbol(Box 1a): TSLA211105C01200000							
11/01/2021	2.00	3,479.89	11/01/2021	4,680.08	0.00	-1,200.19	Sell to Close
CALL PENN 10/15/21 70 PENN NATIONAL GAMING INC CUSIP: Symbol(Box 1a): PENN211015C00070000							
10/01/2021	1.00	861.94	10/01/2021	720.04	0.00	141.90	Sell to Close
RA MEDICAL SYSTEMS INC COMMON STOCK CUSIP: 74933X203 Symbol(Box 1a): RMED							
09/16/2021	500.00	1,484.98	08/11/2021	1,625.00	0.00	-140.02	Sale
CALL TSLA 11/05/21 1100 TESLA INC CUSIP: Symbol(Box 1a): TSLA211105C01100000							
10/29/2021	3.00	10,979.80	10/29/2021	11,256.13	0.00	-276.33	Sell to Close
PUT TSLA 11/05/21 1050 TESLA INC CUSIP: Symbol(Box 1a): TSLA211105P01050000							
10/28/2021	3.00	9,164.81	10/28/2021	10,500.13	1335.32 D	0.00	Sell to Close
10/29/2021	5.00	12,549.71	Various	16,680.53	0.00	-4,130.82	Sell to Close
Security Totals:		21,714.52		27,180.66		-4,130.82	
CALL TDUP 10/15/21 20 THREDUP INC CLASS A CUSIP: Symbol(Box 1a): TDUP211015C00020000							
09/29/2021	2.00	359.88	09/23/2021	322.10	0.00	37.78	Sell to Close
CALL AFRM 10/22/21 142 AFFIRM HOLDINGS INC CL A CUSIP: Symbol(Box 1a): AFRM211022C00142000							
10/11/2021	1.00	1,069.94	10/11/2021	924.04	0.00	145.90	Sell to Close

* 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*

5MS28753

(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 MU 10/29/21	70	MICRON TECHNOLOGY INC CUSIP: Symbol(Box 1a): MU211029C00070000					
10/20/2021	5.00	419.77	10/19/2021	200.21	0.00	219.56	Sell to Close
10/21/2021	5.00	204.77	10/19/2021	200.21	0.00	4.56	Sell to Close
Security Totals:		624.54		400.42		224.12	
CALL BILL 09/17/21	310	BILL.COM HOLDINGS INC CUSIP: Symbol(Box 1a): BILL210917C00310000					
09/07/2021	1.00	449.93	09/07/2021	380.05	0.00	69.88	Sell to Close
CALL TDOC 11/26/21	139	TELADOC HEALTH INC CUSIP: Symbol(Box 1a): TDOC211126C00139000					
11/17/2021	5.00	1,634.88	11/17/2021	1,580.11	0.00	54.77	Sell to Close
REDBOX ENTERTAINMENT INC		CLASS A COMMON STOCK CUSIP: 75724T103 Symbol(Box 1a): RDBX					
11/04/2021	100.00	1,698.12	11/04/2021	1,569.00	0.00	129.12	Sale
CALL C 11/19/21	72	CITIGROUP INC CUSIP: Symbol(Box 1a): C211119C00072000					
11/01/2021	5.00	259.77	10/28/2021	470.21	0.00	-210.44	Sell to Close
CALL DIS 08/13/21	175	WALT DISNEY CO CUSIP: Symbol(Box 1a): DIS210813C00175000					
08/06/2021	1.00	449.93	08/03/2021	287.05	0.00	162.88	Sell to Close
CALL XOM 01/21/22	65	EXXON MOBIL CORP CUSIP: Symbol(Box 1a): XOM220121C00065000					
11/22/2021	10.00	1,739.76	11/19/2021	1,250.21	0.00	489.55	Sell to Close
11/22/2021	10.00	1,749.76	11/19/2021	1,250.21	0.00	499.55	Sell to Close
Security Totals:		3,489.52		2,500.42		989.10	
CALL UPST 01/21/22	160	UPSTART HOLDINGS INC CUSIP: Symbol(Box 1a): UPST220121C00160000					
12/31/2021	4.00	3,643.88	Various	3,560.08	0.00	83.80	Sell to Close
***BORQS TECHNOLOGIES INC		ORDINARY SHARES CUSIP: G1466B103 Symbol(Box 1a): BRQS					
10/21/2021	1,000.00	586.47	10/13/2021	568.30	0.00	18.17	Sale

APEX CLEARING

Proceeds from Broker and Barter Exchange Transactions

2021 Form 1099-B*

5MS28753

(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
***SOCIAL CAPITAL HEDOSOPHIA HOLDINGS CORP VI CLASS A ORDINARY SHARES CUSIP: G8251L105 Symbol(Box 1a): IPOF							
02/03/2021	100.00	1,645.95	02/03/2021	1,654.50	0.00	-8.55	Sale
CALL TSLA 10/15/21 850 TESLA INC CUSIP: Symbol(Box 1a): TSLA211015C00850000							
10/08/2021	2.00	261.90	Various	1,120.08	0.00	-858.18	Sell to Close
CALL CVS 11/05/21 91 CVS HEALTH CORPORATION CUSIP: Symbol(Box 1a): CVS211105C00091000							
11/03/2021	3.00	1,169.86	11/01/2021	480.12	0.00	689.74	Sell to Close
CALL AMD 10/08/21 105 ADVANCED MICRO DEVICES INC CUSIP: Symbol(Box 1a): AMD211008C00105000							
10/01/2021	2.00	183.90	09/30/2021	362.10	0.00	-178.20	Sell to Close
***JUMIA TECHNOLOGIES AG AMERICAN DEPOSITARY SHARES ECH REPRESENTING TWO ORDINARY SHS CUSIP: 48138M105 Symbol(Box 1a): JMIA							
10/12/2021	100.00	1,904.98	10/07/2021	1,909.00	0.00	-4.02	Sale
CALL TSLA 10/15/21 810 TESLA INC CUSIP: Symbol(Box 1a): TSLA211015C00810000							
10/12/2021	2.00	2,079.89	10/12/2021	1,640.08	0.00	439.81	Sell to Close
PUT MRNA 12/31/21 240 MODERNA INC CUSIP: Symbol(Box 1a): MRNA211231P00240000							
12/29/2021	2.00	2,089.93	12/29/2021	1,610.04	0.00	479.89	Sell to Close
PUT FB 10/29/21 300 FACEBOOK INC CL A CUSIP: Symbol(Box 1a): FB211029P003000000							
10/22/2021	10.00	2,429.54	Various	2,375.42	95.44 D	149.56	Sell to Close
10/25/2021	5.00	1,429.77	10/22/2021	1,533.65	0.00	-103.88	Sell to Close
Security Totals:		3,859.31		3,909.07		45.68	
CALL QQQ 12/01/21 396 INVESCO QQQ TRUST SERIES 1 CUSIP: Symbol(Box 1a): QQQ211201C00396000							
11/30/2021	5.00	899.87	11/30/2021	1,100.11	0.00	-200.24	Sell to Close
CALL NIO 01/21/22 40 NIO INC ADS CUSIP: Symbol(Box 1a): NIO220121C00040000							
11/23/2021	5.00	2,874.86	11/19/2021	1,710.11	0.00	1,164.75	Sell to Close

* 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*

5MS28753

(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 AMD 10/08/21 104 ADVANCED MICRO DEVICES INC CUSIP: Symbol(Box 1a): AMD211008C00104000							
09/29/2021	2.00	267.88	09/28/2021	476.10	0.00	-208.22	Sell to Close
CALL COST 11/12/21 500 COSTCO WHOLESALE CORPORATION CUSIP: Symbol(Box 1a): COST211112C00500000							
11/01/2021	6.00	1,511.73	Various	1,833.24	264.25 D	-57.26	Sell to Close
11/02/2021	3.00	1,199.86	11/02/2021	1,359.37	0.00	-159.51	Sell to Close
Security Totals:		2,711.59		3,192.61		-216.77	
CALL SNOW 10/29/21 345 SNOWFLAKE INC CLASS A CUSIP: Symbol(Box 1a): SNOW211029C00345000							
10/26/2021	3.00	989.85	10/26/2021	1,260.13	0.00	-270.28	Sell to Close
CALL CHWY 11/12/21 80 CHEWY INC CLASS A CUSIP: Symbol(Box 1a): CHWY211112C00080000							
11/12/2021	5.00	24.87	11/09/2021	425.21	0.00	-400.34	Sell to Close
CALL SBUX 11/19/21 115 STARBUCKS CORPORATION CUSIP: Symbol(Box 1a): SBUX211119C00115000							
11/05/2021	2.00	577.90	11/05/2021	594.08	0.00	-16.18	Sell to Close
CALL ROKU 11/19/21 280 ROKU INC CUSIP: Symbol(Box 1a): ROKU211119C00280000							
11/12/2021	3.00	1,544.92	11/12/2021	1,336.87	0.00	208.05	Sell to Close
11/16/2021	2.00	383.94	11/12/2021	891.24	0.00	-507.30	Sell to Close
Security Totals:		1,928.86		2,228.11		-299.25	
PUT LULU 09/10/21 425 LULULEMON ATHLETICA INC CUSIP: Symbol(Box 1a): LULU210910P00425000							
09/09/2021	2.00	1,079.88	Various	985.10	0.00	94.78	Sell to Close
CALL MARA 10/15/21 37 MARATHON DIGITAL HOLDINGS INC CUSIP: Symbol(Box 1a): MARA211015C00037000							
10/06/2021	4.00	1,359.81	Various	790.16	0.00	569.65	Sell to Close
SECOND SIGHT MEDICAL PRODUCTS INC COMMON STOCK CUSIP: 81362J209 Symbol(Box 1a): EYES							
11/17/2021	500.00	1,469.93	11/16/2021	1,467.50	0.00	2.43	Sale
CALL AFRM 10/22/21 140 AFFIRM HOLDINGS INC CL A CUSIP: Symbol(Box 1a): AFRM211022C00140000							
10/12/2021	2.00	1,719.90	10/12/2021	1,480.08	0.00	239.82	Sell to Close

* 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*

5MS28753

(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 FFIE 09/17/21 10 FARADAY FUTURE INTLGNT ELCTRC CUSIP: Symbol(Box 1a): FFIE210917C00010000							
09/17/2021	10.00	299.45	Various	300.52	0.00	-1.07	Sell to Close
CALL DWAC 11/05/21 70 DIGITAL WORLD ACQUISITION CORP CUSIP: Symbol(Box 1a): DWAC211105C00070000							
11/02/2021	3.00	614.86	11/02/2021	583.92	0.00	30.94	Sell to Close
11/02/2021	4.00	719.81	11/02/2021	778.57	0.00	-58.76	Sell to Close
11/02/2021	3.00	737.86	11/02/2021	583.92	0.00	153.94	Sell to Close
Security Totals:		2,072.53		1,946.41		126.12	
PUT AMZN 10/15/21 3300 AMAZON.COM INC CUSIP: Symbol(Box 1a): AMZN211015P03300000							
10/08/2021	1.00	3,799.93	10/08/2021	4,115.15	0.00	-315.22	Sell to Close
10/08/2021	1.00	3,574.93	10/08/2021	3,920.04	345.11 D	0.00	Sell to Close
Security Totals:		7,374.86		8,035.19		-315.22	
FLOTEK INDUSTRIES INC CUSIP: 343389102 Symbol(Box 1a): FTK							
12/30/2021	500.00	569.93	12/29/2021	550.00	0.00	19.93	Sale
ALLAKOS INC COMMON STOCK CUSIP: 01671P100 Symbol(Box 1a): ALLK							
12/23/2021	100.00	1,057.98	12/23/2021	1,099.00	0.00	-41.02	Sale
CALL FUBO 08/20/21 45 FUBOTV INC CUSIP: Symbol(Box 1a): FUBO210820C00045000							
04/15/2021	3.00	332.75	04/13/2021	420.23	0.00	-87.48	Sell to Close
***COLOR STAR TECHNOLOGY CO LTD ORDINARY SHARES CUSIP: G2287A100 Symbol(Box 1a): CSCW							
02/17/2021	250.00	324.96	02/11/2021	302.23	0.00	22.73	Sale
07/27/2021	1,000.00	781.57	06/09/2021	1,095.00	0.00	-313.43	Sale
10/28/2021	1,000.00	590.57	10/22/2021	580.20	0.00	10.37	Sale
Security Totals:		1,697.10		1,977.43		-280.33	

* 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*

5MS28753

(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 BIDU 05/21/21 300 BAIDU INC CUSIP: Symbol(Box 1a): BIDU210521C00300000							
04/12/2021	1.00	66.91	04/06/2021	190.08	0.00	-123.17	Sell to Close
04/12/2021	1.00	65.91	04/06/2021	190.08	0.00	-124.17	Sell to Close
Security Totals:		132.82		380.16		-247.34	
CALL CHWY 10/15/21 65 CHEWY INC CLASS A CUSIP: Symbol(Box 1a): CHWY211015C00065000							
10/08/2021	2.00	197.90	10/08/2021	286.08	0.00	-88.18	Sell to Close
CALL COST 11/12/21 525 COSTCO WHOLESALE CORPORATION CUSIP: Symbol(Box 1a): COST211112C00525000							
11/08/2021	10.00	799.56	Various	2,035.42	0.00	-1,235.86	Sell to Close
CALL APPS 05/21/21 100 DIGITAL TURBINE INC CUSIP: Symbol(Box 1a): APPS210521C00100000							
04/13/2021	5.00	2,749.58	03/24/2021	1,750.41	0.00	999.17	Sell to Close
04/14/2021	9.00	3,149.25	Various	3,110.72	0.82 D	39.35	Sell to Close
04/19/2021	20.00	2,097.35	Various	5,322.41	0.00	-3,225.06	Sell to Close
Security Totals:		7,996.18		10,183.54		-2,186.54	
***SHARPLINK GAMING LTD ORDINARY SHARES CUSIP: M8273L102 Symbol(Box 1a): SBET							
09/16/2021	200.00	1,039.97	Various	1,330.00	290.03 D	0.00	Sale
10/14/2021	200.00	879.97	Various	1,165.19	285.22 D	0.00	Sale
10/28/2021	1,000.00	3,609.86	Various	4,155.12	350.22 D	-195.04	Sale
11/12/2021	250.00	917.46	Various	1,300.22	0.00	-382.76	Sale
Security Totals:		6,447.26		7,950.53		-577.80	
CALL AGC 11/19/21 15 ALTIMETER GROWTH CORP CLASS A CUSIP: Symbol(Box 1a): AGC211119C00015000							
11/12/2021	5.00	1,209.87	11/09/2021	1,080.21	0.00	129.66	Sell to Close
CALL CLOV 01/21/22 7 CLOVER HEALTH INVESTMENTS CORP CUSIP: Symbol(Box 1a): CLOV220121C00007000							
08/10/2021	5.00	1,524.71	08/10/2021	1,750.27	0.00	-225.56	Sell to Close

* 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*

5MS28753

(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 COTY 10/15/21 9	COTY INC CUSIP: Symbol(Box 1a): COTY211015C00009000						
09/29/2021	10.00	59.45	09/10/2021	380.52	0.00	-321.07	Sell to Close
***MOGO INC	COM CUSIP: 60800C109 Symbol(Box 1a): MOGO						
09/16/2021	250.00	1,134.96	08/11/2021	1,680.00	0.00	-545.04	Sale
12/28/2021	100.00	391.98	12/21/2021	353.99	0.00	37.99	Sale
Security Totals:		1,526.94		2,033.99		-507.05	
CALL SHOP 10/29/21 1500	SHOPIFY INC CUSIP: Symbol(Box 1a): SHOP211029C01500000						
10/21/2021	3.00	13,499.79	10/21/2021	13,653.13	0.00	-153.34	Sell to Close
CALL XPEV 11/26/21 51.50	XPENG INC ADR CLASS A CUSIP: Symbol(Box 1a): XPEV211126C00051500						
11/24/2021	3.00	360.92	11/23/2021	411.06	0.00	-50.14	Sell to Close
NEXTPLAY TECHNOLOGIES INC	COMMON STOCK CUSIP: 65344G102 Symbol(Box 1a): NXTP						
12/22/2021	1,000.00	945.27	12/21/2021	954.40	0.00	-9.13	Sale
***GRUPO SIMEC SAB DE CV-ADR	REPSTG 1 SER B SHS CUSIP: 400491106 Symbol(Box 1a): SIM						
11/05/2021	100.00	2,601.98	11/05/2021	2,590.00	0.00	11.98	Sale
PUT TSLA 01/07/22 1050	TESLA INC CUSIP: Symbol(Box 1a): TSLA220107P01050000						
12/28/2021	1.00	2,864.95	12/28/2021	2,898.02	0.00	-33.07	Sell to Close
CALL TDOC 12/17/21 120	TELADOC HEALTH INC CUSIP: Symbol(Box 1a): TDOC211217C00120000						
11/29/2021	5.00	769.87	11/26/2021	1,725.11	0.00	-955.24	Sell to Close
CALL WISH 10/15/21 5	CONTEXTLOGIC INC CL A CUSIP: Symbol(Box 1a): WISH211015C00005000						
10/11/2021	5.00	149.77	10/06/2021	135.21	0.00	14.56	Sell to Close
CALL AYRO 03/19/21 7.50	AYRO INC CUSIP: Symbol(Box 1a): AYRO210319C00007500						
01/25/2021	1.00	119.90	12/15/2020	160.08	0.00	-40.18	Sell to Close

* 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*

5MS28753

(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
01/25/2021	1.00	124.90	12/15/2020	160.08	0.00	-35.18	Sell to Close
Security Totals:		244.80		320.16		-75.36	
CALL MRIN 11/19/21	7.50	MARIN SOFTWARE INCORPORATED CUSIP: Symbol(Box 1a): MRIN211119C00007500					
11/05/2021	2.00	239.90	11/05/2021	240.08	0.00	-0.18	Sell to Close
CALL APRN 12/17/21	9	BLUE APRON HOLDINGS INC CL A CUSIP: Symbol(Box 1a): APRN211217C00009000					
11/17/2021	10.00	809.76	11/16/2021	770.21	0.00	39.55	Sell to Close
CALL FLGT 06/18/21	85	FULGENT GENETICS INC CUSIP: Symbol(Box 1a): FLGT210618C00085000					
05/21/2021	5.00	749.59	05/18/2021	1,050.39	0.00	-300.80	Sell to Close
CALL MRNA 05/21/21	170	MODERNA INC CUSIP: Symbol(Box 1a): MRNA210521C00170000					
04/12/2021	1.00	244.91	03/29/2021	245.08	0.00	-0.17	Sell to Close
CLIMATE CHANGE CRISIS REAL		IMPACT I ACQUISITION CORPORATION CL A COMMON STOCK CUSIP: 18716C100 Symbol(Box 1a): CLII					
01/25/2021	50.00	1,061.46	01/22/2021	1,123.50	0.00	-62.04	Sale
CALL NIO 12/03/21	45	NIO INC ADS CUSIP: Symbol(Box 1a): NIO211203C00045000					
11/23/2021	5.00	579.87	11/23/2021	485.11	0.00	94.76	Sell to Close
11/23/2021	10.00	1,409.76	11/23/2021	970.21	0.00	439.55	Sell to Close
11/23/2021	5.00	644.88	11/23/2021	485.11	0.00	159.77	Sell to Close
Security Totals:		2,634.51		1,940.43		694.08	
CALL RIDE 12/10/21	5	LORDSTOWN MOTORS CRP CL A CUSIP: Symbol(Box 1a): RIDE211210C00005000					
11/03/2021	6.00	695.73	Various	690.24	0.00	5.49	Sell to Close
CALL ROKU 01/07/22	240	ROKU INC CUSIP: Symbol(Box 1a): ROKU220107C00240000					
12/28/2021	3.00	2,194.91	12/28/2021	2,220.06	0.00	-25.15	Sell to Close

APEX CLEARING

Proceeds from Broker and Barter Exchange Transactions

2021 Form 1099-B*

5MS28753

(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 SKLZ 11/12/21 12 SKILLZ INC CL A CUSIP: Symbol(Box 1a): SKLZ211112C00012000							
11/04/2021	10.00	599.56	11/04/2021	750.41	0.00	-150.85	Sell to Close
KATAPULT HOLDINGS INC COMMON STOCK CUSIP: 485859102 Symbol(Box 1a): KPLT							
10/12/2021	200.00	965.99	10/11/2021	1,020.00	0.00	-54.01	Sale
CALL NVDA 10/22/21 220 NVIDIA CORPORATION CUSIP: Symbol(Box 1a): NVDA211022C00220000							
10/14/2021	5.00	1,048.77	10/14/2021	1,025.21	0.00	23.56	Sell to Close
CALL DIS 03/18/22 175 WALT DISNEY CO CUSIP: Symbol(Box 1a): DIS220318C00175000							
11/26/2021	5.00	1,154.87	11/24/2021	1,335.11	0.00	-180.24	Sell to Close
CALL AMC 10/22/21 40 AMC ENTERTAINMENT HOLDINGS INC CUSIP: Symbol(Box 1a): AMC211022C00040000							
10/11/2021	5.00	929.77	10/11/2021	1,025.21	95.44 D	0.00	Sell to Close
10/13/2021	5.00	674.77	10/13/2021	720.65	0.00	-45.88	Sell to Close
Security Totals:		1,604.54		1,745.86		-45.88	
CALL APPS 03/18/22 60 DIGITAL TURBINE INC CUSIP: Symbol(Box 1a): APPS220318C00060000							
09/27/2021	10.00	22,399.34	09/09/2021	13,300.52	0.00	9,098.82	Sell to Close
CALL NVDA 10/22/21 215 NVIDIA CORPORATION CUSIP: Symbol(Box 1a): NVDA211022C00215000							
10/04/2021	2.00	299.90	10/01/2021	670.08	0.00	-370.18	Sell to Close
CALL GEVO 10/15/21 7.50 GEVO INC CUSIP: Symbol(Box 1a): GEVO211015C00007500							
09/29/2021	3.00	74.82	09/13/2021	207.16	0.00	-132.34	Sell to Close
TAKUNG ART CO LTD COM CUSIP: 87407Q207 Symbol(Box 1a): TKAT							
07/29/2021	500.00	3,289.92	07/29/2021	3,290.00	0.00	-0.08	Sale
CALL MRK 10/22/21 80 MERCK & CO INC CUSIP: Symbol(Box 1a): MRK211022C00080000							
10/14/2021	5.00	284.77	10/13/2021	380.21	0.00	-95.44	Sell to Close

* 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*

5MS28753

(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 AMZN 10/29/21 3430 AMAZON.COM INC CUSIP: Symbol(Box 1a): AMZN211029C03430000							
10/19/2021	1.00	7,636.91	10/19/2021	8,805.16	0.00	-1,168.25	Sell to Close
10/19/2021	2.00	14,719.83	Various	15,000.08	130.12 D	-150.13	Sell to Close
Security Totals:		22,356.74		23,805.24		-1,318.38	
CALL DKNG 11/12/21 45 DRAFTKINGS INC CL A CUSIP: Symbol(Box 1a): DKNG21112C00045000							
11/10/2021	10.00	189.56	11/09/2021	640.41	0.00	-450.85	Sell to Close
PUT CLOV 01/21/22 7 CLOVER HEALTH INVESTMENTS CORP CUSIP: Symbol(Box 1a): CLOV220121P00007000							
08/10/2021	10.00	1,249.44	08/10/2021	1,500.53	0.00	-251.09	Sell to Close
***ALIBABA GROUP HOLDING LTD SPONSORED ADR CUSIP: 01609W102 Symbol(Box 1a): BABA							
08/11/2021	50.00	9,768.94	08/10/2021	9,871.00	0.00	-102.06	Sale
PUT ROKU 09/17/21 335 ROKU INC CUSIP: Symbol(Box 1a): ROKU210917P00335000							
09/08/2021	1.00	849.93	09/08/2021	900.05	0.00	-50.12	Sell to Close
CALL BA 01/21/22 250 BOEING CO CUSIP: Symbol(Box 1a): BA220121C00250000							
11/16/2021	5.00	2,999.86	11/12/2021	2,325.11	0.00	674.75	Sell to Close
***NIO INC AMERICAN DEPOSITARY SHARES ECH RPRSNTNG ONE CL A ORD SHARE CUSIP: 62914V106 Symbol(Box 1a): NIO							
02/24/2021	50.00	2,401.05	02/23/2021	2,410.00	0.00	-8.95	Sale
10/19/2021	150.00	6,084.11	Various	5,489.94	0.00	594.17	Sale
Security Totals:		8,485.16		7,899.94		585.22	
CALL TSLA 09/17/21 755 TESLA INC CUSIP: Symbol(Box 1a): TSLA210917C00755000							
09/08/2021	1.00	2,039.92	09/07/2021	1,620.05	0.00	419.87	Sell to Close
CALL MRNA 01/29/21 150 MODERNA INC CUSIP: Symbol(Box 1a): MRNA210129C00150000							
01/25/2021	1.00	509.89	01/25/2021	250.08	0.00	259.81	Sell to Close

* 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*

5MS28753

(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
PUT MSFT 10/29/21 310 MICROSOFT CORP CUSIP: Symbol(Box 1a): MSFT211029P00310000							
10/26/2021	3.00	884.85	10/26/2021	1,350.13	0.00	-465.28	Sell to Close
CALL TSLA 05/21/21 905 TESLA INC CUSIP: Symbol(Box 1a): TSLA210521C00905000							
04/21/2021	2.00	1,407.82	Various	855.15	0.00	552.67	Sell to Close
CALL SNOW 10/08/21 305 SNOWFLAKE INC CLASS A CUSIP: Symbol(Box 1a): SNOW211008C00305000							
09/30/2021	2.00	1,495.88	09/30/2021	1,140.10	0.00	355.78	Sell to Close
CALL OCGN 12/31/21 5 OCUGEN INC CUSIP: Symbol(Box 1a): OCGN211231C00005000							
12/28/2021	10.00	179.78	12/23/2021	470.21	0.00	-290.43	Sell to Close
CALL UPS 01/21/22 220 UNITED PARCEL SVC INC CUSIP: Symbol(Box 1a): UPS220121C00220000							
12/29/2021	2.00	553.94	12/28/2021	480.04	0.00	73.90	Sell to Close
CALL CAN 01/21/22 10 CANAAN INC SPONSORED ADR CUSIP: Symbol(Box 1a): CAN220121C00010000							
09/29/2021	6.00	491.67	Various	920.31	0.00	-428.64	Sell to Close
PUT AMC 09/17/21 49 AMC ENTERTAINMENT HOLDINGS INC CUSIP: Symbol(Box 1a): AMC210917P00049000							
09/09/2021	1.00	559.93	09/08/2021	505.05	0.00	54.88	Sell to Close
PUT AMZN 10/08/21 3230 AMAZON.COM INC CUSIP: Symbol(Box 1a): AMZN211008P03230000							
10/05/2021	1.00	3,699.93	10/05/2021	3,780.04	0.00	-80.11	Sell to Close
TORCHLIGHT ENERGY RESOURCES INC CUSIP: 89102U103 Symbol(Box 1a): TRCH							
03/17/2021	1,000.00	2,309.86	Various	2,345.04	33.83 D	-1.35	Sale
03/17/2021	250.00	537.46	03/09/2021	563.75	26.29 D	0.00	Sale
04/16/2021	500.00	674.93	Various	1,093.83	0.00	-418.90	Sale
Security Totals:		3,522.25		4,002.62		-420.25	
PUT WYNN 01/15/21 100 WYNN RESORTS LIMITED CUSIP: Symbol(Box 1a): WYNN210115P00100000							
01/14/2021	1.00	6.90	12/10/2020	275.08	0.00	-268.18	Sell to Close

APEX CLEARING

Proceeds from Broker and Barter Exchange Transactions

2021 Form 1099-B*

5MS28753

(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 UPST 09/17/21	330		UPSTART HOLDINGS INC CUSIP: Symbol(Box 1a): UPST210917C00330000				
09/13/2021	4.00	247.77	Various	510.20	0.00	-262.43	Sell to Close
CALL STM 02/19/21	50		STMICROELECTRONICS N V CUSIP: Symbol(Box 1a): STM210219C00050000				
01/05/2021	3.00	119.74	12/30/2020	99.24	0.00	20.50	Sell to Close
***NANO X IMAGING LTD			ORDINARY SHARES CUSIP: M70700105 Symbol(Box 1a): NNOX				
03/10/2021	100.00	3,972.96	03/09/2021	4,000.00	0.00	-27.04	Sale
ALSET EHOME INTERNATIONAL INC COMMON STOCK			CUSIP: 02116A104 Symbol(Box 1a): AEI				
05/13/2021	200.00	740.17	05/12/2021	828.00	0.00	-87.83	Sale
HISTOGEN INC			COMMON STOCK CUSIP: 43358Y103 Symbol(Box 1a): HSTO				
04/29/2021	500.00	549.93	04/28/2021	557.50	0.00	-7.57	Sale
ARK ETF TR			ARK SPACE EXPLORATION & INNOVATION ETF CUSIP: 00214Q807 Symbol(Box 1a): ARKX				
04/12/2021	20.00	417.58	03/31/2021	410.40	0.00	7.18	Sale
***ENERGY FUELS INC			COM NEW CUSIP: 292671708 Symbol(Box 1a): UUUU				
10/14/2021	250.00	1,901.21	10/12/2021	1,796.65	0.00	104.56	Sale
10/25/2021	100.00	874.98	10/25/2021	875.65	0.00	-0.67	Sale
Security Totals:		2,776.19		2,672.30		103.89	
CALL DBX 04/16/21	30		DROPBOX INC CUSIP: Symbol(Box 1a): DBX210416C00030000				
01/25/2021	4.00	259.66	12/31/2020	300.32	0.00	-40.66	Sell to Close
PUT SPY 11/10/21	455		STANDARD & POORS DEPOSITORY CUSIP: Symbol(Box 1a): SPY211110P00455000				
11/02/2021	6.00	923.73	Various	1,443.24	0.00	-519.51	Sell to Close
COMSOVEREIGN HOLDING CORP			COMMON STOCK CUSIP: 205650203 Symbol(Box 1a): COMS				
02/23/2021	250.00	967.46	02/05/2021	1,170.00	0.00	-202.54	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*

5MS28753

(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 AMD 11/26/21	155						
ADVANCED MICRO DEVICES INC CUSIP: Symbol(Box 1a): AMD211126C00155000							
11/16/2021	5.00	1,549.87	11/16/2021	1,005.11	0.00	544.76	Sell to Close
CALL CLOV 11/05/21	8						
CLOVER HEALTH INVESTMENTS CORP CUSIP: Symbol(Box 1a): CLOV211105C00008000							
11/02/2021	10.00	69.56	11/01/2021	140.41	0.00	-70.85	Sell to Close
CALL VISL 08/20/21	2.50						
VISLINK TECHNOLOGIES INC CUSIP: Symbol(Box 1a): VISL210820C00002500							
08/03/2021	10.00	149.44	07/19/2021	350.55	0.00	-201.11	Sell to Close
CALL CRM 05/21/21	260						
SALESFORCE.COM INC CUSIP: Symbol(Box 1a): CRM210521C00260000							
04/19/2021	2.00	149.82	04/06/2021	150.16	0.00	-0.34	Sell to Close
***UXIN LIMITED							
ADS CUSIP: 91818X108 Symbol(Box 1a): UXIN							
12/31/2021	1,000.00	1,549.97	12/31/2021	1,527.90	0.00	22.07	Sale
PUT MRNA 12/03/21	320						
MODERNA INC CUSIP: Symbol(Box 1a): MRNA211203P00320000							
11/30/2021	5.00	3,374.86	11/30/2021	2,900.11	0.00	474.75	Sell to Close
NEXPOINT DIVERSIFIED REAL ESTATE TRUST							
CUSIP: 65340G205 Symbol(Box 1a): NHF							
11/04/2021	100.00	1,468.98	11/03/2021	1,481.00	0.00	-12.02	Sale
***PAINREFORM LTD							
ORDINARY SHARES CUSIP: M77798102 Symbol(Box 1a): PRFX							
02/10/2021	200.00	1,283.87	02/10/2021	1,096.00	0.00	187.87	Sale
CALL ROKU 12/03/21	227.50						
ROKU INC CUSIP: Symbol(Box 1a): ROKU211203C00227500							
11/23/2021	4.00	2,599.88	11/23/2021	3,128.09	0.00	-528.21	Sell to Close
***MEDIGUS LTD							
AMERICAN DEPOSITARY SHARES SPONSORED CUSIP: 58471G300 Symbol(Box 1a): MDGS							
01/20/2021	50.00	140.48	01/20/2021	136.95	0.00	3.53	Sale
01/27/2021	100.00	340.09	01/26/2021	347.89	7.8 D	0.00	Sale
02/17/2021	750.00	2,579.85	Various	2,542.30	64.6 D	102.15	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*

5MS28753

(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
***MEDIGUS LTD AMERICAN DEPOSITARY SHARES SPONSORED CUSIP: 58471G300 Symbol(Box 1a): MDGS							
02/23/2021	500.00	1,324.93	02/17/2021	1,779.60	454.67 D	0.00	Sale
04/16/2021	500.00	809.93	03/22/2021	1,649.67	0.00	-839.74	Sale
Security Totals:		5,195.28		6,456.41		-734.06	
PUT MRNA 09/24/21 400 MODERNA INC CUSIP: Symbol(Box 1a): MRNA210924P00400000							
09/13/2021	1.00	999.93	09/13/2021	960.05	0.00	39.88	Sell to Close
CALL RIDE 11/12/21 7 LORDSTOWN MOTORS CRP CL A CUSIP: Symbol(Box 1a): RIDE211112C00007000							
11/11/2021	10.00	449.76	11/11/2021	330.21	0.00	119.55	Sell to Close
CALL GOOGL 10/15/21 2800 ALPHABET INC CLASS A CUSIP: Symbol(Box 1a): GOOGL211015C02800000							
10/07/2021	2.00	6,619.87	10/07/2021	6,140.08	0.00	479.79	Sell to Close
CALL CHWY 01/21/22 70 CHEWY INC CLASS A CUSIP: Symbol(Box 1a): CHWY220121C00070000							
10/29/2021	2.00	1,779.90	10/21/2021	852.08	0.00	927.82	Sell to Close
10/29/2021	3.00	2,627.84	10/21/2021	1,278.13	0.00	1,349.71	Sell to Close
Security Totals:		4,407.74		2,130.21		2,277.53	
CALL UPS 12/17/21 220 UNITED PARCEL SVC INC CUSIP: Symbol(Box 1a): UPS211217C00220000							
11/12/2021	5.00	1,339.87	11/09/2021	1,026.21	0.00	313.66	Sell to Close
CALL CVS 10/22/21 90 CVS HEALTH CORPORATION CUSIP: Symbol(Box 1a): CVS211022C00090000							
09/29/2021	4.00	263.77	Various	324.20	0.00	-60.43	Sell to Close
CALL ULTA 05/28/21 340 ULTA BEAUTY INC CUSIP: Symbol(Box 1a): ULTA210528C00340000							
05/26/2021	1.00	519.91	05/24/2021	340.07	0.00	179.84	Sell to Close
***POP CULTURE GROUP CO LTD CLASS A ORDINARY SHARES CUSIP: G71700101 Symbol(Box 1a): CPOP							
07/21/2021	100.00	807.98	07/20/2021	849.99	0.00	-42.01	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*

5MS28753

(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
12/28/2021	500.00	1,171.98	12/28/2021	973.90	0.00	198.08	Sale
Security Totals:		1,979.96		1,823.89		156.07	
SABRE CORPORATION CUSIP: 78573M104 Symbol(Box 1a): SABR							
12/29/2021	200.00	1,705.97	12/28/2021	1,768.00	0.00	-62.03	Sale
CALL BA 11/12/21 225 BOEING CO CUSIP: Symbol(Box 1a): BA211112C00225000							
11/05/2021	5.00	1,724.77	11/05/2021	1,025.21	0.00	699.56	Sell to Close
PALANTIR TECHNOLOGIES INC CLASS A COMMON STOCK CUSIP: 69608A108 Symbol(Box 1a): PLTR							
01/08/2021	200.00	4,996.08	Various	4,818.00	0.00	178.08	Sale
01/11/2021	50.00	1,318.96	01/11/2021	1,319.50	0.00	-0.54	Sale
01/25/2021	50.00	1,905.94	01/11/2021	1,319.50	0.00	586.44	Sale
03/24/2021	500.00	11,049.88	Various	14,462.50	3412.62 D	0.00	Sale
04/21/2021	500.00	11,124.88	Various	14,512.62	0.00	-3,387.74	Sale
10/06/2021	100.00	2,478.97	Various	2,517.50	0.00	-38.53	Sale
Security Totals:		32,874.71		38,949.62		-2,662.29	
CALL SNAP 10/29/21 80 SNAP INC CUSIP: Symbol(Box 1a): SNAP211029C00080000							
10/22/2021	5.00	24.77	Various	1,604.21	0.00	-1,579.44	Sell to Close
CHEMOCENTRYX INC CUSIP: 16383L106 Symbol(Box 1a): CCXI							
10/12/2021	100.00	4,163.96	10/11/2021	4,069.00	0.00	94.96	Sale
PUT MRNA 10/29/21 320 MODERNA INC CUSIP: Symbol(Box 1a): MRNA211029P00320000							
10/25/2021	2.00	759.90	10/25/2021	930.08	0.00	-170.18	Sell to Close
CALL MSFT 11/05/21 320 MICROSOFT CORP CUSIP: Symbol(Box 1a): MSFT211105C00320000							
10/27/2021	5.00	2,499.76	10/27/2021	1,925.21	0.00	574.55	Sell to Close

* 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.

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
10/27/2021	5.00	2,959.76	10/27/2021	1,925.21	0.00	1,034.55	Sell to Close
Security Totals:		5,459.52		3,850.42		1,609.10	
CALL ORCL 11/19/21	92.50	ORACLE CORP CUSIP: Symbol(Box 1a): ORCL211119C00092500					
09/29/2021	4.00	1,059.77	Various	788.20	0.00	271.57	Sell to Close
BLINK CHARGING CO		COMMON STOCK CUSIP: 09354A100 Symbol(Box 1a): BLNK					
09/07/2021	100.00	3,282.97	09/07/2021	3,287.99	5.02 D	0.00	Sale
09/27/2021	100.00	3,056.97	09/07/2021	3,290.02	233.05 D	0.00	Sale
10/20/2021	150.00	4,273.45	Various	4,571.89	0.00	-298.44	Sale
Security Totals:		10,613.39		11,149.90		-298.44	
CALL BABA 12/17/21	180	ALIBABA GROUP HOLDING LIMITED CUSIP: Symbol(Box 1a): BABA211217C00180000					
11/17/2021	10.00	3,119.75	Various	4,730.32	0.00	-1,610.57	Sell to Close
CALL GNUS 10/15/21	1.50	GENIUS BRANDS INTRNTNL INC CUSIP: Symbol(Box 1a): GNUS211015C00001500					
09/29/2021	10.00	49.45	09/21/2021	130.52	0.00	-81.07	Sell to Close
CALL TTD 11/05/21	75	TRADE DESK INC CLASS A CUSIP: Symbol(Box 1a): TTD211105C00075000					
10/13/2021	3.00	1,019.85	10/12/2021	840.13	0.00	179.72	Sell to Close
CALL DKNG 05/21/21	60	DRAFTKINGS INC CL A CUSIP: Symbol(Box 1a): DKNG210521C00060000					
04/22/2021	3.00	992.75	04/21/2021	973.23	0.00	19.52	Sell to Close
CALL CRTX 12/17/21	20	CORTEXIME INC CUSIP: Symbol(Box 1a): CRTX211217C00020000					
11/03/2021	3.00	677.86	11/02/2021	960.12	0.00	-282.26	Sell to Close
SKILLZ INC		CLASS A COMMON STOCK CUSIP: 83067L109 Symbol(Box 1a): SKLZ					
05/13/2021	100.00	1,337.63	04/30/2021	1,808.71	0.00	-471.08	Sale
10/14/2021	200.00	1,859.97	10/07/2021	1,798.00	0.00	61.97	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*

5MS28753

(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
10/15/2021	300.00	2,687.94	Various	2,671.98	0.00	15.96	Sale
Security Totals:		5,885.54		6,278.69		-393.15	
TRADE DESK INC (THE) CLASS A COMMON STOCK CUSIP: 88339J105 Symbol(Box 1a): TTD							
10/14/2021	50.00	3,889.97	10/12/2021	3,629.91	0.00	260.06	Sale
CALL SENS 12/17/21 4 SENSEONICS HOLDINGS INC CUSIP: Symbol(Box 1a): SENS211217C00004000							
11/12/2021	5.00	190.87	11/03/2021	296.21	0.00	-105.34	Sell to Close
FOLEY TRASIMENE ACQUISITION CORP II CLASS A COMMON STOCK CUSIP: 344328109 Symbol(Box 1a): BFT							
02/23/2021	100.00	1,486.98	01/08/2021	1,481.00	0.00	5.98	Sale
03/09/2021	200.00	3,002.14	03/09/2021	3,000.00	0.00	2.14	Sale
Security Totals:		4,489.12		4,481.00		8.12	
CALL SHOP 11/26/21 1660 SHOPIFY INC CUSIP: Symbol(Box 1a): SHOP211126C01660000							
11/18/2021	1.00	4,589.94	11/18/2021	4,320.02	0.00	269.92	Sell to Close
CALL SNOW 11/05/21 350 SNOWFLAKE INC CLASS A CUSIP: Symbol(Box 1a): SNOW211105C00350000							
10/28/2021	5.00	2,599.76	10/27/2021	4,425.21	0.00	-1,825.45	Sell to Close
CALL SNAP 11/12/21 55 SNAP INC CUSIP: Symbol(Box 1a): SNAP211112C00055000							
11/08/2021	10.00	1,209.56	11/08/2021	1,050.41	0.00	159.15	Sell to Close
PUT AMC 11/12/21 40 AMC ENTERTAINMENT HOLDINGS INC CUSIP: Symbol(Box 1a): AMC211112P00040000							
11/02/2021	3.00	1,349.86	11/02/2021	1,368.12	0.00	-18.26	Sell to Close
CALL LIDR 10/15/21 10 AEYE INC CLASS A CUSIP: Symbol(Box 1a): LIDR211015C00010000							
09/20/2021	2.00	173.88	09/17/2021	176.10	0.00	-2.22	Sell to Close
CALL RIOT 12/17/21 40 RIOT BLOCKCHAIN INC CUSIP: Symbol(Box 1a): RIOT211217C00040000							
11/04/2021	5.00	1,999.76	Various	1,650.20	0.00	349.56	Sell to Close

* 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*

5MS28753

(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
***ZOMEDICA CORP COM CUSIP: 98980M109 Symbol(Box 1a): ZOM							
10/27/2021	10,000.00	5,090.78	10/25/2021	5,349.00	0.00	-258.22	Sale
PUT QQQ 04/01/21 323 INVESCO QQQ TRUST SERIES 1 CUSIP: Symbol(Box 1a): QQQ210401P00323000							
04/01/2021	1.00	42.91	04/01/2021	50.07	0.00	-7.16	Sell to Close
***KUKU MUSIC HOLDING LIMITED AMERICAN DEPOSITARY SHARES ECH REPRESENTING ONE ORDNR Y SHARE CUSIP: 501229108 Symbol(Box 1a): KUKU							
11/16/2021	250.00	1,274.99	11/16/2021	1,427.50	0.00	-152.51	Sale
PUT SPY 12/01/21 463 STANDARD & POORS DEPOSITORY CUSIP: Symbol(Box 1a): SPY211201P00463000							
11/29/2021	5.00	789.87	11/29/2021	660.11	0.00	129.76	Sell to Close
CALL COST 10/29/21 485 COSTCO WHOLESALE CORPORATION CUSIP: Symbol(Box 1a): COST211029C00485000							
10/26/2021	5.00	2,249.76	10/26/2021	2,175.21	0.00	74.55	Sell to Close
CALL GME 11/12/21 200 GAMESTOP CORP CUSIP: Symbol(Box 1a): GME211112C00200000							
11/01/2021	3.00	2,549.85	11/01/2021	1,965.12	0.00	584.73	Sell to Close
CALL BLNK 10/29/21 30 BLINK CHARGING CO CUSIP: Symbol(Box 1a): BLNK211029C00030000							
10/20/2021	5.00	289.77	10/19/2021	445.21	0.00	-155.44	Sell to Close
CALL BBBY 12/17/21 15 BED BATH & BEYOND INC CUSIP: Symbol(Box 1a): BBBY211217C00015000							
11/02/2021	3.00	788.86	11/01/2021	444.13	0.00	344.73	Sell to Close
11/03/2021	4.00	3,459.80	Various	604.16	0.00	2,855.64	Sell to Close
Security Totals:		4,248.66		1,048.29		3,200.37	
CALL PPD 05/21/21 40 PPD INC CUSIP: Symbol(Box 1a): PPD210521C00040000							
01/19/2021	1.00	249.90	12/17/2020	250.08	0.00	-0.18	Sell to Close
CALL GGPI 01/21/22 10 GORES GUGGENHEIM INC CUSIP: Symbol(Box 1a): GGPI220121C00010000							
11/12/2021	3.00	689.92	11/12/2021	549.06	0.00	140.86	Sell to Close

* 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*

5MS28753

(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 AMZN 10/22/21 3500 AMAZON.COM INC CUSIP: Symbol(Box 1a): AMZN211022C03500000							
10/20/2021	2.00	1,399.90	10/20/2021	2,080.08	0.00	-680.18	Sell to Close
NACCO INDUSTRIES INC-CL A CUSIP: 629579103 Symbol(Box 1a): NC							
10/18/2021	200.00	7,069.94	10/15/2021	7,960.00	0.00	-890.06	Sale
WARNER MUSIC GROUP CORP CLASS A COMMON STOCK CUSIP: 934550203 Symbol(Box 1a): WMG							
10/29/2021	100.00	4,899.96	10/28/2021	4,964.86	0.00	-64.90	Sale
CALL PATH 11/19/21 60 UIPATH INC CLASS A CUSIP: Symbol(Box 1a): PATH211119C00060000							
11/09/2021	5.00	559.77	11/05/2021	725.21	0.00	-165.44	Sell to Close
CALL PAYX 01/21/22 120 PAYCHEX INC CUSIP: Symbol(Box 1a): PAYX220121C00120000							
10/19/2021	3.00	1,319.85	10/18/2021	1,287.13	0.00	32.72	Sell to Close
SYPRIS SOLUTIONS INC CUSIP: 871655106 Symbol(Box 1a): SYPR							
02/08/2021	200.00	739.96	02/03/2021	588.00	0.00	151.96	Sale
08/17/2021	499.00	1,561.80	08/16/2021	1,570.55	0.00	-8.75	Sale
11/26/2021	1.00	2.80	08/16/2021	3.15	0.00	-0.35	Sale
Security Totals:		2,304.56		2,161.70		142.86	
PUT AMC 02/12/21 2 AMC ENTERTAINMENT HOLDINGS INC CUSIP: Symbol(Box 1a): AMC210212P00002000							
01/29/2021	2.00	13.83	01/27/2021	30.16	0.00	-16.33	Sell to Close
PUT APPS 02/19/21 70 DIGITAL TURBINE INC CUSIP: Symbol(Box 1a): APPS210219P00070000							
02/04/2021	1.00	239.90	02/04/2021	195.08	0.00	44.82	Sell to Close
CALL NVDA 11/05/21 260 NVIDIA CORPORATION CUSIP: Symbol(Box 1a): NVDA211105C00260000							
11/02/2021	10.00	4,549.54	11/02/2021	4,500.41	0.00	49.13	Sell to Close

* 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*

5MS28753

(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
BRIDGEBIO PHARMA INC COMMON STOCK CUSIP: 10806X102 Symbol(Box 1a): BBIO							
12/31/2021	50.00	779.48	12/31/2021	801.00	0.00	-21.52	Sale
CALL BA 09/17/21 217.50 BOEING CO CUSIP: Symbol(Box 1a): BA210917C00217500							
09/16/2021	2.00	119.88	Various	472.10	0.00	-352.22	Sell to Close
PHUNWARE INC COMMON STOCK CUSIP: 71948P100 Symbol(Box 1a): PHUN							
09/10/2021	1,250.00	1,318.59	Various	1,327.43	0.00	-8.84	Sale
MP MATERIALS CORP CLASS A COMMON STOCK CUSIP: 553368101 Symbol(Box 1a): MP							
06/08/2021	200.00	7,009.94	Various	6,917.00	0.00	92.94	Sale
CALL APPS 02/19/21 75 DIGITAL TURBINE INC CUSIP: Symbol(Box 1a): APPS210219C00075000							
02/04/2021	3.00	1,199.72	02/01/2021	570.24	0.00	629.48	Sell to Close
***KELSO TECHNOLOGIES INC CUSIP: 48826D201 Symbol(Box 1a): KIQ							
01/25/2021	500.00	362.43	01/25/2021	392.40	0.00	-29.97	Sale
03/24/2021	1,000.00	854.27	03/22/2021	969.50	0.00	-115.23	Sale
Security Totals:		1,216.70		1,361.90		-145.20	
REDWIRE CORPORATION COMMON STOCK CUSIP: 75776W103 Symbol(Box 1a): RDW							
11/16/2021	200.00	2,079.98	11/16/2021	2,304.00	0.00	-224.02	Sale
CALL MS 11/19/21 105 MORGAN STANLEY CUSIP: Symbol(Box 1a): MS211119C00105000							
10/29/2021	20.00	2,299.09	10/27/2021	2,200.85	0.00	98.24	Sell to Close
LEMONADE INC COMMON STOCK CUSIP: 52567D107 Symbol(Box 1a): LMND							
11/12/2021	50.00	3,165.97	11/04/2021	3,622.00	0.00	-456.03	Sale
PUT TSLA 10/29/21 1110 TESLA INC CUSIP: Symbol(Box 1a): TSLA211029P01110000							
10/28/2021	3.00	13,559.79	10/28/2021	13,245.13	0.00	314.66	Sell to Close
CALL DOCU 10/29/21 265 DOCUSIGN INC CUSIP: Symbol(Box 1a): DOCU211029C00265000							
10/12/2021	2.00	1,039.90	10/11/2021	1,580.08	0.00	-540.18	Sell to Close

* 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*

5MS28753

(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 WKHS 11/19/21 10 WORKHORSE GROUP INC CUSIP: Symbol(Box 1a): WKHS21119C00010000							
11/03/2021	20.00	679.12	10/28/2021	480.85	0.00	198.27	Sell to Close
CALL AFRM 10/15/21 95 AFFIRM HOLDINGS INC CL A CUSIP: Symbol(Box 1a): AFRM211015C00095000							
09/10/2021	1.00	1,619.93	09/09/2021	719.05	0.00	900.88	Sell to Close
CALL NFLX 09/17/21 650 NETFLIX INC CUSIP: Symbol(Box 1a): NFLX210917C00650000							
09/07/2021	1.00	144.93	09/07/2021	144.05	0.00	0.88	Sell to Close
CALL ROKU 10/22/21 340 ROKU INC CUSIP: Symbol(Box 1a): ROKU211022C00340000							
10/13/2021	2.00	879.90	10/13/2021	840.08	0.00	39.82	Sell to Close
CALL UAL 01/21/22 55 UNITED AIRLINES HOLDINGS INC CUSIP: Symbol(Box 1a): UAL220121C00055000							
11/05/2021	6.00	1,745.73	Various	957.24	0.00	788.49	Sell to Close
DESKTOP METAL INC CLASS A COMMON STOCK CUSIP: 25058X105 Symbol(Box 1a): DM							
10/12/2021	100.00	692.99	10/07/2021	721.87	0.00	-28.88	Sale
GREENIDGE GENERATION HOLDINGS INC CLASS A COMMON STOCK CUSIP: 39531G100 Symbol(Box 1a): GREE							
11/08/2021	200.00	5,431.97	11/05/2021	5,121.50	0.00	310.47	Sale
CALL APPS 01/21/22 65 DIGITAL TURBINE INC CUSIP: Symbol(Box 1a): APPS220121C00065000							
07/29/2021	10.00	11,599.37	07/29/2021	11,900.55	301.18 D	0.00	Sell to Close
09/08/2021	40.00	31,997.66	Various	29,243.32	0.00	2,754.34	Sell to Close
Security Totals:		43,597.03		41,143.87		2,754.34	
CALL MYOV 06/18/21 25 MYOVANT SCIENCES LTD CUSIP: Symbol(Box 1a): MYOV210618C00025000							
05/13/2021	1.00	109.91	05/11/2021	135.07	0.00	-25.16	Sell to Close
CALL SKLZ 12/17/21 12.50 SKILLZ INC CL A CUSIP: Symbol(Box 1a): SKLZ211217C00012500							
11/26/2021	6.00	137.85	11/08/2021	1,008.25	0.00	-870.40	Sell to Close

* 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*

5MS28753

(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
CRICUT INC CLASS A COMMON STOCK CUSIP: 22658D100 Symbol(Box 1a): CRCT							
10/14/2021	100.00	2,739.37	10/14/2021	2,743.00	3.63 D	0.00	Sale
10/19/2021	200.00	5,175.95	Various	5,501.62	0.00	-325.67	Sale
Security Totals:		7,915.32		8,244.62		-325.67	
CALL TSLA 10/01/21 780 TESLA INC CUSIP: Symbol(Box 1a): TSLA211001C00780000							
09/27/2021	1.00	1,075.93	09/27/2021	1,300.05	0.00	-224.12	Sell to Close
CALL AFRM 01/21/22 120 AFFIRM HOLDINGS INC CL A CUSIP: Symbol(Box 1a): AFRM220121C00120000							
12/23/2021	10.00	2,699.75	12/23/2021	2,600.21	0.00	99.54	Sell to Close
PUT SPY 01/21/22 300 STANDARD & POORS DEPOSITORY CUSIP: Symbol(Box 1a): SPY220121P00300000							
08/16/2021	10.00	1,749.44	08/13/2021	1,680.53	0.00	68.91	Sell to Close
CALL DIS 01/21/22 160 WALT DISNEY CO CUSIP: Symbol(Box 1a): DIS220121C00160000							
12/30/2021	3.00	659.92	12/30/2021	645.06	0.00	14.86	Sell to Close
QUALTRICS INTERNATIONAL INC CLASS A COMMON STOCK CUSIP: 747601201 Symbol(Box 1a): XM							
02/01/2021	100.00	4,835.88	02/01/2021	4,920.00	0.00	-84.12	Sale
WORKHORSE GROUP INC COM CUSIP: 98138J206 Symbol(Box 1a): WKHS							
11/03/2021	200.00	1,467.97	10/28/2021	1,383.00	0.00	84.97	Sale
SESEN BIO INC COMMON STOCK CUSIP: 817763105 Symbol(Box 1a): SESN							
10/28/2021	1,000.00	1,174.87	10/21/2021	1,230.00	0.00	-55.13	Sale
CALL DOCU 10/29/21 290 DOCUSIGN INC CUSIP: Symbol(Box 1a): DOCU211029C00290000							
10/25/2021	1.00	99.94	10/25/2021	78.04	0.00	21.90	Sell to Close
PUT TSLA 10/29/21 1000 TESLA INC CUSIP: Symbol(Box 1a): TSLA211029P01000000							
10/28/2021	5.00	1,334.77	Various	3,375.21	0.00	-2,040.44	Sell to Close

* 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*

5MS28753

(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 FCEL 11/26/21 10 FUELCELL ENERGY INC CUSIP: Symbol(Box 1a): FCEL211126C00010000							
11/19/2021	30.00	1,559.29	11/18/2021	1,200.64	0.00	358.65	Sell to Close
CALL TSLA 10/29/21 1050 TESLA INC CUSIP: Symbol(Box 1a): TSLA211029C01050000							
10/26/2021	5.00	12,554.71	10/26/2021	10,500.21	0.00	2,054.50	Sell to Close
10/27/2021	4.00	9,399.77	10/27/2021	9,400.17	0.00	-0.40	Sell to Close
Security Totals:		21,954.48		19,900.38		2,054.10	
STARBUCKS CORP CUSIP: 855244109 Symbol(Box 1a): SBUX							
10/21/2021	100.00	11,394.93	10/19/2021	11,322.00	0.00	72.93	Sale
CALL SPY 09/30/21 435 STANDARD & POORS DEPOSITORY CUSIP: Symbol(Box 1a): SPY210930C00435000							
09/29/2021	5.00	1,114.72	Various	993.26	0.00	121.46	Sell to Close
CALL XPEV 12/17/21 50 XPENG INC ADR CLASS A CUSIP: Symbol(Box 1a): XPEV211217C00050000							
10/27/2021	5.00	1,424.77	10/26/2021	1,400.21	0.00	24.56	Sell to Close
WAITR HOLDINGS INC COMMON STOCK CUSIP: 930752100 Symbol(Box 1a): WTRH							
10/15/2021	200.00	295.97	10/13/2021	256.00	0.00	39.97	Sale
CALL DOCU 10/29/21 280 DOCUSIGN INC CUSIP: Symbol(Box 1a): DOCU211029C00280000							
10/25/2021	2.00	749.90	Various	680.08	0.00	69.82	Sell to Close
CALL SKLZ 10/29/21 10 SKILLZ INC CL A CUSIP: Symbol(Box 1a): SKLZ211029C00010000							
10/21/2021	5.00	174.77	10/20/2021	195.21	0.00	-20.44	Sell to Close
CALL NFLX 09/17/21 610 NETFLIX INC CUSIP: Symbol(Box 1a): NFLX210917C00610000							
09/16/2021	1.00	9.93	09/10/2021	827.05	0.00	-817.12	Sell to Close
***ACASTI PHARMA INC CLASS A COM CUSIP: 00430K402 Symbol(Box 1a): ACST							
02/17/2021	250.00	272.46	02/10/2021	285.00	0.00	-12.54	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*

5MS28753

(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
PUT APPS 03/19/21 65 DIGITAL TURBINE INC CUSIP: Symbol(Box 1a): APPS210319P00065000							
02/10/2021	3.00	599.73	02/08/2021	548.24	0.00	51.49	Sell to Close
SUPER LEAGUE GAMING INC COMMON STOCK CUSIP: 86804F202 Symbol(Box 1a): SLGG							
11/11/2021	200.00	729.97	Various	726.80	0.00	3.17	Sale
CALL UPST 11/12/21 350 UPSTART HOLDINGS INC CUSIP: Symbol(Box 1a): UPST211112C00350000							
11/03/2021	2.00	4,159.88	11/02/2021	4,880.08	0.00	-720.20	Sell to Close
PUT NFLX 10/22/21 570 NETFLIX INC CUSIP: Symbol(Box 1a): NFLX211022P00570000							
10/19/2021	2.00	227.90	10/19/2021	230.08	0.00	-2.18	Sell to Close
CALL DOCU 12/10/21 165 DOCUSIGN INC CUSIP: Symbol(Box 1a): DOCU211210C00165000							
12/06/2021	5.00	324.87	12/06/2021	615.11	0.00	-290.24	Sell to Close
CALL BYND 11/19/21 110 BEYOND MEAT INC CUSIP: Symbol(Box 1a): BYND211119C00110000							
10/13/2021	2.00	935.90	10/11/2021	1,000.08	0.00	-64.18	Sell to Close
CALL BYND 11/19/21 120 BEYOND MEAT INC CUSIP: Symbol(Box 1a): BYND211119C00120000							
11/19/2021	10.00	0.00	11/04/2021	2,350.41	0.00	-2,350.41	Expiration
CALL SQ 10/29/21 260 SQUARE INC CUSIP: Symbol(Box 1a): SQ211029C00260000							
10/20/2021	4.00	2,239.80	10/19/2021	1,780.17	0.00	459.63	Sell to Close
JUPITER WELLNESS INC COMMON STOCK CUSIP: 48208F105 Symbol(Box 1a): JUPW							
10/12/2021	200.00	361.97	10/08/2021	350.00	0.00	11.97	Sale
RENEWABLE ENERGY GROUP INC CUSIP: 75972A301 Symbol(Box 1a): REGI							
11/04/2021	100.00	6,014.45	10/28/2021	6,062.00	0.00	-47.55	Sale
CALL UPST 11/12/21 360 UPSTART HOLDINGS INC CUSIP: Symbol(Box 1a): UPST211112C00360000							
11/02/2021	5.00	8,999.73	11/02/2021	11,850.21	0.00	-2,850.48	Sell to Close

* 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*

5MS28753

(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
AEROCLEAN TECHNOLOGIES INC COMMON STOCK CUSIP: 007744105 Symbol(Box 1a): AERC							
12/20/2021	100.00	1,391.98	12/20/2021	1,338.00	0.00	53.98	Sale
ADAMIS PHARMACEUTICALS CORPORATION CUSIP: 00547W208 Symbol(Box 1a): ADMP							
10/14/2021	500.00	544.98	10/11/2021	527.50	0.00	17.48	Sale
CALL DIS 11/19/21 165 WALT DISNEY CO CUSIP: Symbol(Box 1a): DIS211119C00165000							
11/17/2021	20.00	199.52	11/12/2021	1,480.43	0.00	-1,280.91	Sell to Close
CALL NVDA 09/10/21 230 NVIDIA CORPORATION CUSIP: Symbol(Box 1a): NVDA210910C00230000							
09/07/2021	1.00	132.94	09/07/2021	199.05	0.00	-66.11	Sell to Close
CALL MU 11/12/21 75 MICRON TECHNOLOGY INC CUSIP: Symbol(Box 1a): MU211112C00075000							
11/08/2021	10.00	989.56	11/08/2021	800.41	0.00	189.15	Sell to Close
VERIZON COMMUNICATIONS CUSIP: 92343V104 Symbol(Box 1a): VZ							
02/17/2021	100.00	5,608.06	02/16/2021	5,580.00	0.00	28.06	Sale
CALL BA 11/26/21 235 BOEING CO CUSIP: Symbol(Box 1a): BA211126C00235000							
11/19/2021	50.00	4,848.90	Various	9,141.07	0.00	-4,292.17	Sell to Close
CALL BA 11/26/21 230 BOEING CO CUSIP: Symbol(Box 1a): BA211126C00230000							
11/18/2021	10.00	2,819.75	11/18/2021	2,550.21	0.00	269.54	Sell to Close
11/18/2021	10.00	3,349.75	11/18/2021	4,141.21	0.00	-791.46	Sell to Close
Security Totals:		6,169.50		6,691.42		-521.92	
CALL RKT 10/15/21 17 ROCKET COMPANIES INC CL A CUSIP: Symbol(Box 1a): RKT211015C00017000							
09/29/2021	2.00	67.88	09/23/2021	118.10	0.00	-50.22	Sell to Close
SPECTRUM PHARMACEUTICALS INC CUSIP: 84763A108 Symbol(Box 1a): SPPI							
09/20/2021	500.00	1,219.93	09/16/2021	1,168.65	0.00	51.28	Sale

APEX CLEARING

Proceeds from Broker and Barter Exchange Transactions

2021 Form 1099-B*

5MS28753

(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
***KAIXIN AUTO HOLDINGS ORDINARY SHARE CUSIP: G5223X100 Symbol(Box 1a): KXIN							
02/16/2021	500.00	2,244.89	02/16/2021	2,240.00	0.00	4.89	Sale
CALL PTON 10/15/21 90 PELOTON INTERACTIVE INC CL A CUSIP: Symbol(Box 1a): PTON211015C00090000							
10/11/2021	4.00	335.81	10/11/2021	352.17	0.00	-16.36	Sell to Close
CALL DIDI 10/15/21 8.50 DIDI GLOBAL INC CUSIP: Symbol(Box 1a): DIDI211015C00008500							
10/11/2021	2.00	57.90	10/11/2021	56.08	0.00	1.82	Sell to Close
CALL QQQ 12/06/21 390 INVESCO QQQ TRUST SERIES 1 CUSIP: Symbol(Box 1a): QQQ211206C00390000							
12/06/2021	4.00	0.00	Various	268.08	0.00	-268.08	Expiration
CALL LCID 11/12/21 45 LUCID GROUP INC CUSIP: Symbol(Box 1a): LCID211112C00045000							
11/08/2021	10.00	3,799.55	11/08/2021	4,150.41	0.00	-350.86	Sell to Close
PUT DDOG 07/09/21 101 DATADOG INC CL A CUSIP: Symbol(Box 1a): DDOG210709P00101000							
07/02/2021	1.00	43.93	06/30/2021	90.05	0.00	-46.12	Sell to Close
CALL FTEK 11/19/21 2 FUEL TECH INC CUSIP: Symbol(Box 1a): FTEK211119C00002000							
10/19/2021	20.00	1,199.10	10/18/2021	540.85	0.00	658.25	Sell to Close
SNAP INC CLASS A COMMON STOCK CUSIP: 83304A106 Symbol(Box 1a): SNAP							
10/21/2021	100.00	5,799.96	10/21/2021	5,299.00	0.00	500.96	Sale
CALL UPST 11/05/21 330 UPSTART HOLDINGS INC CUSIP: Symbol(Box 1a): UPST211105C00330000							
10/28/2021	1.00	1,899.94	10/28/2021	1,530.04	0.00	369.90	Sell to Close
10/28/2021	2.00	3,099.89	10/28/2021	3,060.09	0.00	39.80	Sell to Close
11/01/2021	5.00	6,599.74	Various	6,580.21	0.00	19.53	Sell to Close
Security Totals:		11,599.57		11,170.34		429.23	
CALL NVDA 11/05/21 245 NVIDIA CORPORATION CUSIP: Symbol(Box 1a): NVDA211105C00245000							
10/26/2021	3.00	2,129.84	10/26/2021	1,710.13	0.00	419.71	Sell to Close

* 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*

5MS28753

(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 NVDA 11/05/21 245 NVIDIA CORPORATION CUSIP: Symbol(Box 1a): NVDA211105C00245000							
10/26/2021	2.00	1,799.90	10/26/2021	1,140.08	0.00	659.82	Sell to Close
10/26/2021	5.00	3,374.76	10/26/2021	2,850.21	0.00	524.55	Sell to Close
Security Totals:		7,304.50		5,700.42		1,604.08	
CALL DKNG 06/18/21 50 DRAFTKINGS INC CL A CUSIP: Symbol(Box 1a): DKNG210618C00050000							
06/02/2021	1.00	166.91	05/24/2021	185.07	0.00	-18.16	Sell to Close
PUT MRNA 10/08/21 375 MODERNA INC CUSIP: Symbol(Box 1a): MRNA211008P00375000							
10/01/2021	1.00	2,339.93	09/30/2021	1,240.05	0.00	1,099.88	Sell to Close
CALL BLDE 02/18/22 12.50 BLADE AIR MOBILITY INC CLASS A CUSIP: Symbol(Box 1a): BLDE220218C00012500							
11/08/2021	5.00	624.77	11/05/2021	360.21	0.00	264.56	Sell to Close
NXT ID INC COM NEW CUSIP: 67091J206 Symbol(Box 1a): NXTD							
10/06/2021	1,000.00	407.47	09/29/2021	399.90	0.00	7.57	Sale
***BURGUNDY TECHNOLOGY ACQUISITION CORPORATION CLASS A ORDINARY SHARES CUSIP: G1702T116 Symbol(Box 1a): BTAQ							
01/29/2021	100.00	1,093.96	01/21/2021	1,144.00	0.00	-50.04	Sale
***TAOPING INC ORDINARY SHARES CUSIP: G8675V119 Symbol(Box 1a): TAOP							
09/10/2021	100.00	300.98	08/31/2021	324.00	0.00	-23.02	Sale
CALL ON 12/23/21 63.50 ON SEMICONDUCTOR CORP CUSIP: Symbol(Box 1a): ON211223C00063500							
12/21/2021	10.00	699.76	12/21/2021	1,000.21	0.00	-300.45	Sell to Close
CALL COIN 11/12/21 340 COINBASE GLOBAL INC CUSIP: Symbol(Box 1a): COIN211112C00340000							
11/02/2021	5.00	9,449.73	11/02/2021	9,265.21	0.00	184.52	Sell to Close
11/03/2021	4.00	6,279.78	Various	8,120.16	0.00	-1,840.38	Sell to Close
Security Totals:		15,729.51		17,385.37		-1,655.86	

APEX CLEARING

Proceeds from Broker and Barter Exchange Transactions

2021 Form 1099-B*

5MS28753

(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 NVAX 12/10/21	190	NOVAVAX INC CUSIP: Symbol(Box 1a): NVAX211210C00190000					
12/07/2021	6.00	1,025.85	Various	943.13	0.00	82.72	Sell to Close
CALL SDC 10/15/21	8	SMILEDIRECTCLUB INC CL A CUSIP: Symbol(Box 1a): SDC211015C00008000					
10/11/2021	3.00	17.85	10/07/2021	105.13	0.00	-87.28	Sell to Close
DRAFTKINGS INC		CLASS A COMMON STOCK CUSIP: 26142R104 Symbol(Box 1a): DKNG					
05/07/2021	100.00	4,985.96	11/03/2020	3,692.00	0.00	1,293.96	Sale
11/18/2021	200.00	7,447.96	11/18/2021	7,666.00	0.00	-218.04	Sale
Security Totals:		12,433.92		11,358.00		1,075.92	
PUT TSLA 11/26/21	1050	TESLA INC CUSIP: Symbol(Box 1a): TSLA211126P01050000					
11/24/2021	3.00	4,229.90	11/24/2021	6,060.06	0.00	-1,830.16	Sell to Close
OCUGEN INC		COMMON STOCK CUSIP: 67577C105 Symbol(Box 1a): OCGN					
10/12/2021	100.00	828.98	10/11/2021	738.79	0.00	90.19	Sale
CALL PINS 01/14/22	38	PINTEREST INC CLASS A CUSIP: Symbol(Box 1a): PINS220114C00038000					
12/28/2021	5.00	544.87	12/23/2021	950.11	0.00	-405.24	Sell to Close
CALL NKE 12/17/21	175	NIKE INC CLASS B CUSIP: Symbol(Box 1a): NKE211217C00175000					
11/02/2021	2.00	511.90	10/18/2021	270.08	0.00	241.82	Sell to Close
ARC DOCUMENT SOLUTIONS INC		COM CUSIP: 00191G103 Symbol(Box 1a): ARC					
11/04/2021	500.00	1,601.25	11/03/2021	1,720.00	0.00	-118.75	Sale
***ELTEK LTD		ORDINARY SHARES CUSIP: M40184208 Symbol(Box 1a): ELTK					
07/06/2021	500.00	3,439.92	07/02/2021	3,255.00	0.00	184.92	Sale
AULT GLOBAL HOLDINGS INC		COMMON STOCK CUSIP: 05150X104 Symbol(Box 1a): DPW					
04/16/2021	500.00	1,149.93	03/18/2021	1,930.00	0.00	-780.07	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*

5MS28753

(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
09/08/2021	1,000.00	2,759.86	08/10/2021	2,500.00	0.00	259.86	Sale
Security Totals:		3,909.79		4,430.00		-520.21	
CALL CDEV 11/19/21	8	CENTENNIAL RESRCE DEV INC CL A CUSIP: Symbol(Box 1a): CDEV211119C00008000					
11/09/2021	10.00	199.56	10/25/2021	550.42	0.00	-350.86	Sell to Close
PUT TSLA 01/22/21	650	TESLA INC CUSIP: Symbol(Box 1a): TSLA210122P00650000					
01/08/2021	2.00	899.81	01/08/2021	920.16	0.00	-20.35	Sell to Close
CALL RBLX 12/03/21	140	ROBLOX CORPORATION CUSIP: Symbol(Box 1a): RBLX211203C00140000					
11/30/2021	5.00	1,849.87	11/30/2021	1,725.11	0.00	124.76	Sell to Close
CALL CEI 11/26/21	1.50	CAMBER ENERGY INC CUSIP: Symbol(Box 1a): CEI211126C00001500					
11/17/2021	20.00	319.52	11/17/2021	500.43	0.00	-180.91	Sell to Close
CALL BB 10/01/21	10	BLACKBERRY LIMITED CUSIP: Symbol(Box 1a): BB211001C00010000					
09/23/2021	3.00	272.82	09/22/2021	150.16	0.00	122.66	Sell to Close
CALL APPS 10/01/21	75	DIGITAL TURBINE INC CUSIP: Symbol(Box 1a): APPS211001C00075000					
09/28/2021	2.00	199.88	09/28/2021	350.10	0.00	-150.22	Sell to Close
CINEDIGM CORP	CLASS A COMMON STOCK CUSIP: 172406209 Symbol(Box 1a): CIDM						
02/25/2021	4,000.00	5,919.48	Various	5,795.80	258.26 D	381.94	Sale
03/16/2021	1,750.00	2,222.27	Various	2,518.58	349.36 D	53.05	Sale
03/24/2021	25.00	46.98	03/17/2021	41.36	0.00	5.62	Sale
03/24/2021	1,000.00	1,869.87	Various	1,540.55	0.00	329.32	Sale
04/07/2021	1,225.00	1,678.09	Various	1,677.23	0.00	0.86	Sale
Security Totals:		11,736.69		11,573.52		770.79	
***WIMI HOLOGRAM CLOUD INC	AMERICAN DEPOSITARY SHARE CUSIP: 97264L100 Symbol(Box 1a): WIMI						
11/01/2021	250.00	1,179.96	10/29/2021	1,245.00	0.00	-65.04	Sale

APEX CLEARING

Proceeds from Broker and Barter Exchange Transactions

2021 Form 1099-B*

5MS28753

(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
SALESFORCE.COM INC CUSIP: 79466L302 Symbol(Box 1a): CRM							
10/14/2021	50.00	14,290.91	10/08/2021	13,683.00	0.00	607.91	Sale
CALL YALA 11/19/21 7.50 YALLA GROUP LIMITED ADR CUSIP: Symbol(Box 1a): YALA211119C00007500							
11/09/2021	10.00	1,449.56	11/05/2021	700.41	0.00	749.15	Sell to Close
CALL COST 11/05/21 490 COSTCO WHOLESALE CORPORATION CUSIP: Symbol(Box 1a): COST211105C00490000							
10/26/2021	3.00	1,364.85	10/26/2021	1,146.13	0.00	218.72	Sell to Close
CALL F 10/29/21 15.50 FORD MOTOR COMPANY CUSIP: Symbol(Box 1a): F211029C00015500							
10/08/2021	5.00	269.77	10/07/2021	170.21	0.00	99.56	Sell to Close
CALL MRNA 10/22/21 320 MODERNA INC CUSIP: Symbol(Box 1a): MRNA211022C00320000							
10/14/2021	3.00	5,099.83	10/13/2021	3,480.13	0.00	1,619.70	Sell to Close
CALL COST 11/05/21 495 COSTCO WHOLESALE CORPORATION CUSIP: Symbol(Box 1a): COST211105C00495000							
10/27/2021	3.00	749.85	10/26/2021	726.13	0.00	23.72	Sell to Close
UIPATH INC CLASS A COMMON STOCK CUSIP: 90364P105 Symbol(Box 1a): PATH							
11/09/2021	50.00	2,806.97	11/04/2021	2,939.50	0.00	-132.53	Sale
CALL RKT 10/29/21 17 ROCKET COMPANIES INC CL A CUSIP: Symbol(Box 1a): RKT211029C00017000							
10/21/2021	5.00	234.77	10/18/2021	235.21	0.00	-0.44	Sell to Close
CALL APPS 09/17/21 70 DIGITAL TURBINE INC CUSIP: Symbol(Box 1a): APPS210917C00070000							
07/02/2021	5.00	6,149.69	06/18/2021	4,200.27	0.00	1,949.42	Sell to Close
07/29/2021	24.00	11,038.58	Various	10,972.67	0.00	65.91	Sell to Close
07/29/2021	24.00	11,038.58	Various	13,731.31	2811.36 D	118.63	Sell to Close
Security Totals:		28,226.85		28,904.25		2,133.96	
CALL CEI 10/15/21 2 CAMBER ENERGY INC CUSIP: Symbol(Box 1a): CEI211015C00002000							
10/07/2021	10.00	449.55	10/06/2021	200.42	0.00	249.13	Sell to Close

* 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*

5MS28753

(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 LMND 12/17/21	100	LEMONADE INC CUSIP: Symbol(Box 1a): LMND211217C00100000					
11/12/2021	20.00	1,217.52	Various	3,230.82	0.00	-2,013.30	Sell to Close
ENERGY FOCUS INC		COMMON STOCK CUSIP: 29268T409 Symbol(Box 1a): EFOI					
02/22/2021	100.00	610.86	02/22/2021	597.29	0.00	13.57	Sale
***BITFARMS LTD		COM CUSIP: 09173B107 Symbol(Box 1a): BITF					
11/12/2021	250.00	1,982.45	11/09/2021	2,225.00	0.00	-242.55	Sale
CALL GOOG 11/05/21	2860	ALPHABET INC CLASS C CUSIP: Symbol(Box 1a): GOOG211105C02860000					
10/27/2021	2.00	10,399.85	10/27/2021	7,660.08	0.00	2,739.77	Sell to Close
CALL FB 12/17/21	360	META PLATFORMS INC CL A CUSIP: Symbol(Box 1a): FB211217C00360000					
10/20/2021	5.00	4,399.75	10/18/2021	3,400.21	0.00	999.54	Sell to Close
CALL TSLA 11/26/21	1100	TESLA INC CUSIP: Symbol(Box 1a): TSLA211126C01100000					
11/19/2021	1.00	3,539.95	11/19/2021	3,735.02	0.00	-195.07	Sell to Close
CALL SHOP 11/12/21	1600	SHOPIFY INC CUSIP: Symbol(Box 1a): SHOP211112C01600000					
11/08/2021	9.00	13,049.54	11/08/2021	12,906.37	0.00	143.17	Sell to Close
11/09/2021	10.00	13,557.50	Various	13,854.41	0.00	-296.91	Sell to Close
Security Totals:		26,607.04		26,760.78		-153.74	
CALL AMZN 11/26/21	3600	AMAZON.COM INC CUSIP: Symbol(Box 1a): AMZN211126C03600000					
11/18/2021	3.00	12,899.86	Various	12,063.06	0.00	836.80	Sell to Close
CALL APPS 11/12/21	110	DIGITAL TURBINE INC CUSIP: Symbol(Box 1a): APPS211112C00110000					
11/12/2021	25.00	0.00	Various	756.03	0.00	-756.03	Expiration
C3 AI INC		CLASS A COMMON STOCK CUSIP: 12468P104 Symbol(Box 1a): AI					
12/16/2021	75.00	2,489.22	12/10/2021	2,573.25	0.00	-84.03	Sale
PUT MRNA 09/17/21	430	MODERNA INC CUSIP: Symbol(Box 1a): MRNA210917P00430000					
09/08/2021	1.00	2,079.92	09/08/2021	1,875.05	0.00	204.87	Sell to Close

* 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*

5MS28753

(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 GREE 12/17/21	55						
GREENIDGE GENERATION HLDNG INC CUSIP: Symbol(Box 1a): GREE211217C00055000							
09/28/2021	5.00	449.72	09/27/2021	695.26	0.00	-245.54	Sell to Close
DOCUMENT SECURITY SYSTEMS INC COMMON STOCK CUSIP: 25614T309 Symbol(Box 1a): DSS							
09/29/2021	5,000.00	6,349.86	09/10/2021	7,500.00	0.00	-1,150.14	Sale
CALL NKE 12/17/21	160						
NIKE INC CLASS B CUSIP: Symbol(Box 1a): NKE211217C00160000							
11/02/2021	2.00	2,009.89	10/18/2021	1,090.08	0.00	919.81	Sell to Close
CALL SOS 11/19/21	2.50						
SOS LIMITED ADS CUSIP: Symbol(Box 1a): SOS211119C00002500							
10/21/2021	5.00	249.77	10/20/2021	150.21	0.00	99.56	Sell to Close
CALL JPM 11/19/21	172.50						
JPMORGAN CHASE & CO CUSIP: Symbol(Box 1a): JPM211119C00172500							
10/28/2021	5.00	869.77	10/27/2021	850.21	0.00	19.56	Sell to Close
11/01/2021	6.00	1,661.73	Various	1,524.26	0.00	137.47	Sell to Close
Security Totals:		2,531.50		2,374.47		157.03	
CALL NEGG 12/17/21	15						
NEWEGG COMMERCE INC CUSIP: Symbol(Box 1a): NEGG211217C00015000							
11/15/2021	3.00	1,499.92	11/09/2021	1,074.12	0.00	425.80	Sell to Close
CALL AMD 11/19/21	160						
ADVANCED MICRO DEVICES INC CUSIP: Symbol(Box 1a): AMD211119C00160000							
11/09/2021	5.00	1,524.77	11/09/2021	2,650.21	0.00	-1,125.44	Sell to Close
***ERICSSON							
ADR CL B SEK 10 CUSIP: 294821608 Symbol(Box 1a): ERIC							
05/11/2021	3.00	39.58	Various	42.12	0.00	-2.54	Sale
CALL SPCE 11/19/21	25						
VIRGIN GALACTIC HOLDINGS INC CUSIP: Symbol(Box 1a): SPCE211119C00025000							
11/19/2021	10.00	0.00	11/09/2021	360.41	0.00	-360.41	Expiration
CALL AMD 10/29/21	122						
ADVANCED MICRO DEVICES INC CUSIP: Symbol(Box 1a): AMD211029C00122000							
10/25/2021	3.00	968.85	10/25/2021	819.13	0.00	149.72	Sell to Close

* 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*

5MS28753

(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
***BLACKBERRY LTD COM CUSIP: 09228F103 Symbol(Box 1a): BB							
11/03/2021	100.00	1,222.98	11/02/2021	1,200.00	0.00	22.98	Sale
INTERNATIONAL BUSINESS MACHINES CORP CUSIP: 459200101 Symbol(Box 1a): IBM							
10/21/2021	100.00	13,247.92	10/19/2021	14,204.00	0.00	-956.08	Sale
PUT PENN 10/15/21 75 PENN NATIONAL GAMING INC CUSIP: Symbol(Box 1a): PENN211015P00075000							
10/01/2021	1.00	63.90	10/01/2021	0.00	0.00	63.90	Buy to Close
PUT FB 12/31/21 340 META PLATFORMS INC CL A CUSIP: Symbol(Box 1a): FB211231P00340000							
12/31/2021	2.00	131.94	12/31/2021	128.04	0.00	3.90	Sell to Close
CALL AMD 10/01/21 106 ADVANCED MICRO DEVICES INC CUSIP: Symbol(Box 1a): AMD211001C00106000							
09/27/2021	2.00	437.88	09/23/2021	510.10	0.00	-72.22	Sell to Close
CALL PPD 02/19/21 40 PPD INC CUSIP: Symbol(Box 1a): PPD210219C00040000							
02/19/2021	81.00	0.00	Various	10,841.72	0.00	-10,841.72	Expiration
CALL NFLX 11/19/21 700 NETFLIX INC CUSIP: Symbol(Box 1a): NFLX211119C00700000							
11/17/2021	5.00	3,724.86	11/17/2021	3,550.11	0.00	174.75	Sell to Close
ZOOM VIDEO COMMUNICATIONS INC CLASS A COMMON STOCK CUSIP: 98980L101 Symbol(Box 1a): ZM							
10/19/2021	50.00	13,814.42	10/14/2021	13,533.22	0.00	281.20	Sale
CALL APPS 11/05/21 100 DIGITAL TURBINE INC CUSIP: Symbol(Box 1a): APPS211105C00100000							
10/29/2021	10.00	1,349.55	10/27/2021	1,300.42	0.00	49.13	Sell to Close
CALL CHPT 05/21/21 40 CHARGEPOINT HOLDINGS INC CUSIP: Symbol(Box 1a): CHPT210521C00040000							
04/05/2021	2.00	407.82	04/05/2021	470.16	0.00	-62.34	Sell to Close
CALL AMD 12/31/21 142 ADVANCED MICRO DEVICES INC CUSIP: Symbol(Box 1a): AMD211231C00142000							
12/23/2021	5.00	3,049.86	12/22/2021	2,050.11	0.00	999.75	Sell to Close

* 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*

5MS28753

(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
***LITHIUM AMERICAS CORP COM CUSIP: 53680Q207 Symbol(Box 1a): LAC							
10/18/2021	100.00	2,563.97	10/18/2021	2,765.00	0.00	-201.03	Sale
CALL JPM 07/16/21 155 JPMORGAN CHASE & CO CUSIP: Symbol(Box 1a): JPM210716C00155000							
07/13/2021	1.00	189.93	07/13/2021	99.05	0.00	90.88	Sell to Close
CALL ANY 10/15/21 8 SPHERE 3D CORP CUSIP: Symbol(Box 1a): ANY211015C00008000							
10/13/2021	5.00	209.77	10/13/2021	210.21	0.00	-0.44	Sell to Close
CALL BIDU 11/19/21 175 BAIDU INC CUSIP: Symbol(Box 1a): BIDU211119C00175000							
11/17/2021	5.00	164.87	11/12/2021	1,950.11	0.00	-1,785.24	Sell to Close
CALL LAZR 11/19/21 20 LUMINAR TECHNOLOGIES INC CL A CUSIP: Symbol(Box 1a): LAZR211119C00020000							
11/03/2021	5.00	199.77	11/02/2021	160.21	0.00	39.56	Sell to Close
11/09/2021	5.00	1,799.78	11/02/2021	160.20	0.00	1,639.58	Sell to Close
Security Totals:		1,999.55		320.41		1,679.14	
CALL DKNG 03/19/21 65 DRAFTKINGS INC CL A CUSIP: Symbol(Box 1a): DKNG210319C00065000							
01/25/2021	4.00	819.65	11/04/2020	840.32	0.00	-20.67	Sell to Close
CALL FUBO 01/21/22 30 FUBOTV INC CUSIP: Symbol(Box 1a): FUBO220121C00030000							
07/02/2021	5.00	3,714.70	04/21/2021	1,950.39	0.00	1,764.31	Sell to Close
CALL PG 05/21/21 150 PROCTER & GAMBLE CO CUSIP: Symbol(Box 1a): PG210521C00150000							
04/16/2021	1.00	21.91	04/06/2021	35.07	0.00	-13.16	Sell to Close
CALL NFLX 10/29/21 655 NETFLIX INC CUSIP: Symbol(Box 1a): NFLX211029C00655000							
10/21/2021	2.00	1,623.90	10/21/2021	1,888.08	0.00	-264.18	Sell to Close
CALL CHPT 11/19/21 30 CHARGEPOINT HOLDINGS INC CUSIP: Symbol(Box 1a): CHPT211119C00030000							
11/09/2021	5.00	449.77	11/08/2021	600.21	0.00	-150.44	Sell to Close

* 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*

5MS28753

(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 PLTR 01/21/22 30							
PALANTIR TECHNOLOGIES INC CL A CUSIP: Symbol(Box 1a): PLTR220121C00030000							
04/29/2021	10.00	2,699.16	04/21/2021	2,686.80	0.00	12.36	Sell to Close
PUT TSLA 10/01/21 750							
TESLA INC CUSIP: Symbol(Box 1a): TSLA211001P00750000							
09/28/2021	1.00	993.93	09/28/2021	846.05	0.00	147.88	Sell to Close
***NEW ORIENTAL EDUCATION AND TECHNOLOGY GROUP INC SPONSORED ADR CUSIP: 647581107 Symbol(Box 1a): EDU							
09/16/2021	250.00	472.46	09/07/2021	611.25	0.00	-138.79	Sale
CALL GE 01/21/22 15							
GENERAL ELECTRIC CO CUSIP: Symbol(Box 1a): GE220121C00015000							
03/10/2021	1.00	151.90	02/22/2021	129.00	0.00	22.90	Sell to Close
CALL MCD 12/17/21 260							
MCDONALDS CORP CUSIP: Symbol(Box 1a): MCD211217C00260000							
11/26/2021	5.00	599.87	11/04/2021	1,120.21	0.00	-520.34	Sell to Close
CALL GME 10/01/21 210							
GAMESTOP CORP CUSIP: Symbol(Box 1a): GME211001C00210000							
09/24/2021	1.00	159.93	09/22/2021	370.05	0.00	-210.12	Sell to Close
CALL LCID 10/01/21 26							
LUCID GROUP INC CUSIP: Symbol(Box 1a): LCID211001C00026000							
09/27/2021	2.00	289.88	09/23/2021	264.10	0.00	25.78	Sell to Close
SPRUCE BIOSCIENCES INC COMMON STOCK CUSIP: 85209E109 Symbol(Box 1a): SPRB							
12/16/2021	250.00	819.96	12/16/2021	752.50	0.00	67.46	Sale
UWM HOLDINGS CORPORATION CLASS A COMMON STOCK CUSIP: 91823B109 Symbol(Box 1a): UWMC							
10/15/2021	100.00	713.98	10/14/2021	684.00	0.00	29.98	Sale
PUT NET 10/15/21 105							
CLOUDFLARE INC CL A CUSIP: Symbol(Box 1a): NET211015P00105000							
09/28/2021	1.00	227.93	09/28/2021	235.05	0.00	-7.12	Sell to Close
CALL AAPL 10/15/21 160							
APPLE INC CUSIP: Symbol(Box 1a): AAPL211015C00160000							
09/10/2021	1.00	146.93	09/07/2021	308.05	0.00	-161.12	Sell to Close

* 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*

5MS28753

(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 PLTR 10/22/21	25						
PALANTIR TECHNOLOGIES INC CL A CUSIP: Symbol(Box 1a): PLTR211022C00025000							
10/19/2021	5.00	259.77	10/14/2021	220.21	0.00	39.56	Sell to Close
PUT SOFI 10/01/21	16						
SOFI TECHNOLOGIES INC CUSIP: Symbol(Box 1a): SOFI211001P00016000							
09/27/2021	10.00	149.45	09/24/2021	110.52	0.00	38.93	Sell to Close
CALL AA 03/18/22	55						
ALCOA CORPORATION CUSIP: Symbol(Box 1a): AA220318C00055000							
11/16/2021	5.00	1,999.86	11/02/2021	1,600.21	0.00	399.65	Sell to Close
CALL ON 12/17/21	70						
ON SEMICONDUCTOR CORP CUSIP: Symbol(Box 1a): ON211217C00070000							
11/17/2021	10.00	579.76	11/16/2021	650.21	0.00	-70.45	Sell to Close
PUT TSLA 11/19/21	980						
TESLA INC CUSIP: Symbol(Box 1a): TSLA211119P00980000							
11/15/2021	4.00	7,319.86	Various	11,607.08	0.00	-4,287.22	Sell to Close
CALL BIDU 01/21/22	200						
BAIDU INC CUSIP: Symbol(Box 1a): BIDU220121C00200000							
09/28/2021	5.00	1,299.72	09/27/2021	1,450.26	0.00	-150.54	Sell to Close
CALL SNAP 06/17/22	60						
SNAP INC CUSIP: Symbol(Box 1a): SNAP220617C00060000							
11/24/2021	5.00	2,364.86	11/23/2021	2,375.11	0.00	-10.25	Sell to Close
CAMBER ENERGY INC							
COMMON STOCK CUSIP: 13200M508 Symbol(Box 1a): CEI							
11/17/2021	2,000.00	2,699.74	11/17/2021	2,680.00	0.00	19.74	Sale
PUT MRNA 11/05/21	260						
MODERNA INC CUSIP: Symbol(Box 1a): MRNA211105P00260000							
11/04/2021	10.00	1,449.56	11/04/2021	544.41	0.00	905.15	Sell to Close
CALL GEVO 11/19/21	7.50						
GEVO INC CUSIP: Symbol(Box 1a): GEVO211119C00007500							
11/03/2021	5.00	424.77	10/29/2021	345.21	0.00	79.56	Sell to Close
PINTEREST INC							
CLASS A COMMON STOCK CUSIP: 72352L106 Symbol(Box 1a): PINS							
10/20/2021	200.00	12,763.91	10/19/2021	11,028.00	0.00	1,735.91	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*

5MS28753

(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
Security Totals:							
		1,664.47		1,674.98		-10.51	
DATCHAT INC COMMON STOCK CUSIP: 23816M107 Symbol(Box 1a): DATS							
10/08/2021	100.00	871.98	10/07/2021	875.00	0.00	-3.02	Sale
12/21/2021	250.00	792.49	12/21/2021	799.98	0.00	-7.49	Sale
Security Totals:							
		1,664.47		1,674.98		-10.51	
CALL LYFT 12/17/21 60 LYFT INC CLASS A CUSIP: Symbol(Box 1a): LYFT211217C00060000							
11/26/2021	10.00	89.76	11/12/2021	870.21	0.00	-780.45	Sell to Close
CALL TAN 04/16/21 125 INVESCO SOLAR ETF CUSIP: Symbol(Box 1a): TAN210416C00125000							
01/21/2021	4.00	3,851.58	Various	2,000.32	0.00	1,851.26	Sell to Close
CLOUDFLARE INC CLASS A COMMON STOCK PAR VALUE \$0.001 PER SHARE CUSIP: 18915M107 Symbol(Box 1a): NET							
03/30/2021	50.00	3,209.97	03/09/2021	3,283.50	0.00	-73.53	Sale
FASTLY INC CLASS A COMMON STOCK CUSIP: 31188V100 Symbol(Box 1a): FSLY							
02/17/2021	50.00	4,649.88	02/17/2021	4,950.00	300.12 D	0.00	Sale
03/08/2021	50.00	3,241.47	03/08/2021	3,647.43	0.00	-405.96	Sale
Security Totals:							
		7,891.35		8,597.43		-405.96	
PUT SAVA 11/05/21 61 CASSAVA SCIENCES INC CUSIP: Symbol(Box 1a): SAVA211105P00061000							
11/04/2021	2.00	309.90	11/04/2021	270.08	0.00	39.82	Sell to Close
WW INTERNATIONAL INC COMMON STOCK CUSIP: 98262P101 Symbol(Box 1a): WW							
10/28/2021	100.00	1,709.98	10/21/2021	1,867.99	0.00	-158.01	Sale
PUT MRNA 08/13/21 470 MODERNA INC CUSIP: Symbol(Box 1a): MRNA210813P00470000							
08/10/2021	1.00	2,019.92	08/10/2021	1,990.05	0.00	29.87	Sell to Close
CALL KNDI 11/19/21 5 KANDI TECHNOLOGIES CORP CUSIP: Symbol(Box 1a): KNDI211119C00005000							
10/28/2021	10.00	269.55	10/28/2021	240.42	0.00	29.13	Sell to Close

* 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*

5MS28753

(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 CLOV 10/15/21 8 CLOVER HEALTH INVESTMENTS CORP CUSIP: Symbol(Box 1a): CLOV211015C00008000							
09/29/2021	1.00	38.93	09/22/2021	68.05	0.00	-29.12	Sell to Close
VISLINK TECHNOLOGIES INC COMMON STOCK CUSIP: 92836Y300 Symbol(Box 1a): VISL							
02/05/2021	250.00	1,037.44	02/01/2021	675.00	0.00	362.44	Sale
02/12/2021	1,150.00	4,657.25	Various	4,734.73	435.20 D	357.72	Sale
02/23/2021	300.00	1,051.95	Various	1,470.07	418.12 D	0.00	Sale
02/25/2021	200.00	702.47	Various	788.97	86.50 D	0.00	Sale
03/03/2021	300.00	1,104.28	03/01/2021	1,191.07	86.79 D	0.00	Sale
03/17/2021	999.00	3,347.61	Various	3,995.74	648.13 D	0.00	Sale
05/13/2021	1,000.00	2,119.86	Various	3,891.62	0.00	-1,771.76	Sale
09/16/2021	1,000.00	1,889.87	04/12/2021	2,617.50	0.00	-727.63	Sale
11/08/2021	1,000.00	1,754.87	10/28/2021	1,680.00	0.00	74.87	Sale
Security Totals:		17,665.60		21,044.70		-1,704.36	
CALL AYX 06/18/21 90 ALTERYX INC CUSIP: Symbol(Box 1a): AYX210618C00090000							
05/21/2021	10.00	447.17	05/18/2021	980.80	0.00	-533.63	Sell to Close
GEE GROUP INC COM CUSIP: 36165A102 Symbol(Box 1a): JOB							
10/28/2021	1,000.00	473.22	10/25/2021	550.00	0.00	-76.78	Sale
CALL LCID 10/29/21 26 LUCID GROUP INC CUSIP: Symbol(Box 1a): LCID211029C00026000							
10/19/2021	5.00	341.77	10/18/2021	485.21	0.00	-143.44	Sell to Close
KOSS CORP CUSIP: 500692108 Symbol(Box 1a): KOSS							
11/03/2021	100.00	1,759.98	11/02/2021	1,746.00	0.00	13.98	Sale
CALL DOCS 11/19/21 90 DOXIMITY INC CUSIP: Symbol(Box 1a): DOCS211119C00090000							
11/19/2021	20.00	0.00	Various	4,830.83	0.00	-4,830.83	Expiration

* 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*

5MS28753

(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
BONE BIOLOGICS CORP COMMON STOCK CUSIP: 098070303 Symbol(Box 1a): BBLG							
12/31/2021	500.00	1,824.93	12/31/2021	1,850.00	0.00	-25.07	Sale
CALL ANY 11/19/21 8 SPHERE 3D CORP CUSIP: Symbol(Box 1a): ANY211119C00008000							
11/01/2021	13.00	727.42	Various	937.55	0.00	-210.13	Sell to Close
CALL QS 10/15/21 25 QUANTUMSCAPE CORPORATION CL A CUSIP: Symbol(Box 1a): QS211015C00025000							
10/08/2021	5.00	389.77	10/07/2021	175.21	0.00	214.56	Sell to Close
CALL DKNQ 11/05/21 50 DRAFTKINGS INC CL A CUSIP: Symbol(Box 1a): DKNQ211105C00050000							
11/02/2021	10.00	509.56	Various	930.42	0.00	-420.86	Sell to Close
CALL QS 08/20/21 20 QUANTUMSCAPE CORPORATION CL A CUSIP: Symbol(Box 1a): QS210820C00020000							
08/03/2021	2.00	497.87	Various	880.10	0.00	-382.23	Sell to Close
CALL UBER 03/18/22 52.50 UBER TECHNOLOGIES INC CUSIP: Symbol(Box 1a): UBER220318C00052500							
11/26/2021	10.00	1,009.76	Various	2,835.42	0.00	-1,825.66	Sell to Close
CALL JMIA 10/15/21 19 JUMIA TECHNOLOGIES AG CUSIP: Symbol(Box 1a): JMIA211015C00019000							
10/11/2021	2.00	99.90	10/06/2021	116.08	0.00	-16.18	Sell to Close
GREENPRO CAPITAL CORP COMMON STOCK CUSIP: 39540F101 Symbol(Box 1a): GRNQ							
02/23/2021	500.00	1,164.93	02/19/2021	1,705.00	0.00	-540.07	Sale
12/21/2021	2,000.00	1,316.25	12/21/2021	1,418.00	0.00	-101.75	Sale
Security Totals:		2,481.18		3,123.00		-641.82	
MODERNA INC COMMON STOCK CUSIP: 60770K107 Symbol(Box 1a): MRNA							
01/29/2021	60.00	11,999.72	Various	4,474.41	0.00	7,525.31	Sale
08/11/2021	1.00	409.44	08/09/2021	452.71	0.00	-43.27	Buy to Cover Short
Security Totals:		12,409.16		4,927.12		7,482.04	
PUT CHK 11/19/21 65 CHESAPEAKE ENERGY CORPORATION CUSIP: Symbol(Box 1a): CHK211119P00065000							
11/10/2021	4.00	479.81	11/09/2021	384.17	0.00	95.64	Sell to Close

* 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*

5MS28753

(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
11/10/2021	1.00	137.94	11/09/2021	96.04	0.00	41.90	Sell to Close
Security Totals:		617.75		480.21		137.54	
CALL BBIG 10/15/21	6	VINCO VENTURES INC CUSIP: Symbol(Box 1a): BBIG211015C00006000					
10/07/2021	2.00	91.90	10/07/2021	110.08	0.00	-18.18	Sell to Close
ENGLOBAL CORPORATION CUSIP: 293306106 Symbol(Box 1a): ENG							
10/01/2021	100.00	340.98	10/01/2021	314.00	0.00	26.98	Sale
CALL RKT 11/19/21	20	ROCKET COMPANIES INC CL A CUSIP: Symbol(Box 1a): RKT211119C00020000					
11/08/2021	20.00	119.12	Various	700.83	0.00	-581.71	Sell to Close
CLOVER HEALTH INVESTMENTS CORP CLASS A COMMON STOCK CUSIP: 18914F103 Symbol(Box 1a): CLOV							
08/09/2021	250.00	2,167.45	07/16/2021	2,087.50	0.00	79.95	Sale
10/21/2021	500.00	3,994.91	10/11/2021	4,055.00	0.00	-60.09	Sale
Security Totals:		6,162.36		6,142.50		19.86	
TENGASCO INC COM CUSIP: 88033R502 Symbol(Box 1a): TGC							
02/11/2021	200.00	881.96	02/11/2021	870.00	0.00	11.96	Sale
CALL LCID 11/26/21	52	LUCID GROUP INC CUSIP: Symbol(Box 1a): LCID211126C00052000					
11/16/2021	20.00	7,999.48	11/16/2021	6,300.43	0.00	1,699.05	Sell to Close
11/18/2021	20.00	3,959.50	Various	6,350.42	0.00	-2,390.92	Sell to Close
Security Totals:		11,958.98		12,650.85		-691.87	
CALL ANY 10/15/21	7	SPHERE 3D CORP CUSIP: Symbol(Box 1a): ANY211015C00007000					
09/29/2021	1.00	39.93	09/21/2021	86.05	0.00	-46.12	Sell to Close
CALL MRNA 09/10/21	450	MODERNA INC CUSIP: Symbol(Box 1a): MRNA210910C00450000					
09/07/2021	1.00	384.93	09/07/2021	330.05	0.00	54.88	Sell to Close

* 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*

5MS28753

(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
WIRELESS TELECOM GROUP INC CUSIP: 976524108 Symbol(Box 1a): WTT							
02/23/2021	200.00	399.97	02/03/2021	420.00	0.00	-20.03	Sale
PUT AMD 10/08/21 100 ADVANCED MICRO DEVICES INC CUSIP: Symbol(Box 1a): AMD211008P00100000							
10/06/2021	1.00	30.94	10/06/2021	80.04	0.00	-49.10	Sell to Close
NUZEE INC COMMON STOCK CUSIP: 67073S208 Symbol(Box 1a): NUZE							
11/12/2021	100.00	504.98	11/12/2021	615.00	0.00	-110.02	Sale
PUT MRNA 10/15/21 310 MODERNA INC CUSIP: Symbol(Box 1a): MRNA211015P00310000							
10/06/2021	1.00	1,249.94	10/06/2021	1,150.04	0.00	99.90	Sell to Close
CALL X 11/19/21 30 UNITED STATES STL CORP NEW CUSIP: Symbol(Box 1a): X211119C00030000							
11/09/2021	10.00	199.56	11/08/2021	310.41	0.00	-110.85	Sell to Close
***HELLO GROUP INC AMERICAN DEPOSITARY SHARES CUSIP: 423403104 Symbol(Box 1a): MOMO							
10/25/2021	300.00	4,010.93	Various	3,985.50	0.00	25.43	Sale
ATERIAN INC COMMON STOCK CUSIP: 02156U101 Symbol(Box 1a): ATER							
11/09/2021	100.00	724.98	11/09/2021	798.00	0.00	-73.02	Sale
12/29/2021	100.00	394.12	12/23/2021	449.80	0.00	-55.68	Sale
Security Totals:		1,119.10		1,247.80		-128.70	
PUT MRNA 10/15/21 300 MODERNA INC CUSIP: Symbol(Box 1a): MRNA211015P00300000							
10/08/2021	2.00	2,457.89	10/08/2021	2,080.08	0.00	377.81	Sell to Close
CALL RXT 11/19/21 15 RACKSPACE TECHNOLOGY INC CUSIP: Symbol(Box 1a): RXT211119C00015000							
09/29/2021	4.00	315.77	Various	420.20	0.00	-104.43	Sell to Close
CALL SOFI 10/22/21 25 SOFI TECHNOLOGIES INC CUSIP: Symbol(Box 1a): SOFI211022C00025000							
10/11/2021	20.00	99.10	10/11/2021	71.85	0.00	27.25	Sell to Close

APEX CLEARING

Proceeds from Broker and Barter Exchange Transactions

2021 Form 1099-B*

5MS28753

(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 AMD 12/03/21	165		ADVANCED MICRO DEVICES INC CUSIP: Symbol(Box 1a): AMD211203C00165000				
11/30/2021	5.00	1,724.87	11/30/2021	1,720.11	0.00	4.76	Sell to Close
AIKIDO PHARMA INC			COMMON STOCK CUSIP: 008875106 Symbol(Box 1a): AIKI				
03/15/2021	2,000.00	2,699.74	03/15/2021	2,740.00	0.00	-40.26	Sale
CALL SNOW 10/22/21	320		SNOWFLAKE INC CLASS A CUSIP: Symbol(Box 1a): SNOW211022C00320000				
10/13/2021	1.00	919.94	10/13/2021	901.04	0.00	18.90	Sell to Close
CALL DKNG 05/28/21	58.50		DRAFTKINGS INC CL A CUSIP: Symbol(Box 1a): DKNG210528C00058500				
05/07/2021	2.00	133.82	04/29/2021	739.16	0.00	-605.34	Sell to Close
SG BLOCKS INC			COMMON STOCK CUSIP: 78418A505 Symbol(Box 1a): SGBX				
03/16/2021	200.00	1,061.97	03/09/2021	984.66	0.00	77.31	Sale
JASPER THERAPEUTICS INC			COMMON STOCK CUSIP: 471871103 Symbol(Box 1a): JSPR				
10/13/2021	250.00	2,764.95	10/13/2021	2,782.08	6.85 D	-10.28	Sale
10/28/2021	100.00	979.98	10/25/2021	1,177.85	0.00	-197.87	Sale
Security Totals:		3,744.93		3,959.93		-208.15	
AFFIRM HOLDINGS INC			CLASS A COMMON STOCK CUSIP: 00827B106 Symbol(Box 1a): AFRM				
11/08/2021	50.00	7,964.94	11/04/2021	8,100.00	0.00	-135.06	Sale
AYRO INC			COMMON STOCK CUSIP: 054748108 Symbol(Box 1a): AYRO				
05/04/2021	500.00	2,444.92	04/22/2021	2,445.00	0.08 D	0.00	Sale
05/11/2021	500.00	2,049.92	05/04/2021	2,485.08	0.00	-435.16	Sale
11/01/2021	500.00	1,550.13	10/28/2021	1,537.50	0.00	12.63	Sale
11/16/2021	1,500.00	3,847.30	Various	4,747.38	0.00	-900.08	Sale
Security Totals:		9,892.27		11,214.96		-1,322.61	

* 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*

5MS28753

(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 PYPL 11/05/21	240	PAYPAL HOLDINGS INC CUSIP: Symbol(Box 1a): PYPL211105C00240000					
10/29/2021	5.00	1,749.77	10/28/2021	1,460.21	0.00	289.56	Sell to Close
CALL BABA 11/19/21	175	ALIBABA GROUP HOLDING LIMITED CUSIP: Symbol(Box 1a): BABA211119C00175000					
11/01/2021	3.00	1,724.86	10/29/2021	1,053.13	0.00	671.73	Sell to Close
CALL UPST 10/15/21	320	UPSTART HOLDINGS INC CUSIP: Symbol(Box 1a): UPST211015C00320000					
10/07/2021	2.00	2,539.89	10/07/2021	3,006.08	0.00	-466.19	Sell to Close
CALL PYPL 11/19/21	220	PAYPAL HOLDINGS INC CUSIP: Symbol(Box 1a): PYPL211119C00220000					
11/16/2021	3.00	377.92	Various	444.06	0.00	-66.14	Sell to Close
CALL ZM 11/12/21	300	ZOOM VIDEO COMMUNICATIONS INC CUSIP: Symbol(Box 1a): ZM211112C00300000					
11/04/2021	5.00	1,249.77	11/04/2021	1,425.21	0.00	-175.44	Sell to Close
CALL BBIG 09/17/21	12	VINCO VENTURES INC CUSIP: Symbol(Box 1a): BBIG210917C00012000					
09/17/2021	1.00	0.00	09/08/2021	250.05	0.00	-250.05	Expiration
CALL PFE 11/19/21	45	PFIZER INC CUSIP: Symbol(Box 1a): PFE211119C00045000					
11/01/2021	5.00	354.77	10/29/2021	390.21	0.00	-35.44	Sell to Close
CALL MARA 11/12/21	60	MARATHON DIGITAL HOLDINGS INC CUSIP: Symbol(Box 1a): MARA211112C00060000					
11/02/2021	5.00	2,974.76	11/02/2021	2,150.21	0.00	824.55	Sell to Close
CALL FCCEL 10/15/21	7	FUELCELL ENERGY INC CUSIP: Symbol(Box 1a): FCCEL211015C00007000					
09/27/2021	2.00	207.88	09/23/2021	120.10	0.00	87.78	Sell to Close
U S WELL SERVICES INC		CLASS A COMMON STOCK CUSIP: 91274U101 Symbol(Box 1a): USWS					
01/25/2021	1,000.00	920.95	01/22/2021	779.00	0.00	141.95	Sale
03/16/2021	500.00	674.93	03/09/2021	788.75	0.00	-113.82	Sale
Security Totals:		1,595.88		1,567.75		28.13	

* 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*

5MS28753

(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 APPS 10/15/21 75 DIGITAL TURBINE INC CUSIP: Symbol(Box 1a): APPS211015C00075000							
10/07/2021	5.00	2,249.76	Various	1,340.21	0.00	909.55	Sell to Close
CALL TQQQ 09/17/21 155 PROSHARES ULTRAPRO QQQ CUSIP: Symbol(Box 1a): TQQQ210917C00155000							
09/13/2021	2.00	53.88	09/10/2021	324.10	0.00	-270.22	Sell to Close
MEDALIST DIVERSIFIED REIT INC COMMON STOCK CUSIP: 58403P105 Symbol(Box 1a): MDRR							
02/09/2021	500.00	1,564.90	02/09/2021	1,560.00	0.00	4.90	Sale
02/10/2021	200.00	586.86	02/10/2021	603.78	0.00	-16.92	Sale
12/31/2021	250.00	332.46	12/30/2021	345.00	0.00	-12.54	Sale
Security Totals:		2,484.22		2,508.78		-24.56	
CALL ZM 10/22/21 270 ZOOM VIDEO COMMUNICATIONS INC CUSIP: Symbol(Box 1a): ZM211022C00270000							
10/19/2021	4.00	3,359.80	Various	1,886.16	0.00	1,473.64	Sell to Close
PUT FB 10/22/21 317.50 FACEBOOK INC CL A CUSIP: Symbol(Box 1a): FB211022P00317500							
10/12/2021	3.00	1,979.84	10/12/2021	1,800.13	0.00	179.71	Sell to Close
CONOCOPHILLIPS COMMON STOCK CUSIP: 20825C104 Symbol(Box 1a): COP							
09/29/2021	50.00	3,378.56	09/28/2021	3,393.43	0.00	-14.87	Sale
CALL BBIG 10/01/21 7 VINCO VENTURES INC CUSIP: Symbol(Box 1a): BBIG211001C00007000							
09/27/2021	1.00	86.93	09/21/2021	69.05	0.00	17.88	Sell to Close
CALL DIS 09/17/21 185 WALT DISNEY CO CUSIP: Symbol(Box 1a): DIS210917C00185000							
09/16/2021	2.00	81.88	Various	600.10	0.00	-518.22	Sell to Close
CALL SFIX 11/19/21 35 STITCH FIX INC CUSIP: Symbol(Box 1a): SFIX211119C00035000							
11/03/2021	5.00	1,254.77	11/01/2021	780.21	0.00	474.56	Sell to Close
11/04/2021	5.00	999.77	11/02/2021	510.21	0.00	489.56	Sell to Close
Security Totals:		2,254.54		1,290.42		964.12	

* 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*

5MS28753

(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
PUT DIS 09/17/21 185 WALT DISNEY CO CUSIP: Symbol(Box 1a): DIS210917P00185000							
09/08/2021	1.00	194.93	09/08/2021	205.05	0.00	-10.12	Sell to Close
CALL ATER 11/19/21 10 ATERIAN INC CUSIP: Symbol(Box 1a): ATER211119C00010000							
10/14/2021	1.00	149.94	10/14/2021	137.04	0.00	12.90	Sell to Close
11/01/2021	8.00	319.64	Various	528.34	0.00	-208.70	Sell to Close
Security Totals:		469.58		665.38		-195.80	
CALL TSLA 10/29/21 870 TESLA INC CUSIP: Symbol(Box 1a): TSLA211029C00870000							
10/21/2021	4.00	5,199.79	Various	9,244.16	0.00	-4,044.37	Sell to Close
CALL TSLA 09/10/21 760 TESLA INC CUSIP: Symbol(Box 1a): TSLA210910C00760000							
09/07/2021	1.00	656.93	09/07/2021	500.05	0.00	156.88	Sell to Close
CALL APPS 04/23/21 100 DIGITAL TURBINE INC CUSIP: Symbol(Box 1a): APPS210423C00100000							
03/24/2021	20.00	3,998.32	03/08/2021	3,301.61	0.00	696.71	Sell to Close
PROGENITY INC COMMON STOCK CUSIP: 74319F107 Symbol(Box 1a): PROG							
10/14/2021	100.00	211.98	10/13/2021	241.00	29.02 D	0.00	Sale
10/18/2021	200.00	473.97	Various	472.02	0.00	1.95	Sale
Security Totals:		685.95		713.02		1.95	
UNITED STATES ANTIMONY CORP CUSIP: 911549103 Symbol(Box 1a): UAMY							
02/23/2021	200.00	267.97	02/10/2021	299.78	31.81 D	0.00	Sale
03/17/2021	999.00	1,228.64	Various	1,280.56	51.92 D	0.00	Sale
04/16/2021	1,001.00	867.54	Various	1,333.17	0.00	-465.63	Sale
09/16/2021	1,500.00	1,282.01	Various	1,616.51	0.00	-334.50	Sale
Security Totals:		3,646.16		4,530.02		-800.13	
QUALIGEN THERAPEUTICS INC COMMON STOCK CUSIP: 74754R103 Symbol(Box 1a): QLGN							
01/13/2021	500.00	1,744.90	12/17/2020	1,745.00	0.00	-0.10	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*

5MS28753

(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
QUALIGEN THERAPEUTICS INC COMMON STOCK CUSIP: 74754R103 Symbol(Box 1a): QLGN							
03/05/2021	500.00	1,349.93	03/04/2021	1,494.50	0.00	-144.57	Sale
11/23/2021	2,000.00	3,799.74	11/22/2021	3,720.00	0.00	79.74	Sale
Security Totals:		6,894.57		6,959.50		-64.93	
CALL AMZN 10/15/21 3320 AMAZON.COM INC CUSIP: Symbol(Box 1a): AMZN211015C03320000							
10/07/2021	2.00	8,839.86	10/07/2021	8,200.08	0.00	639.78	Sell to Close
PUT ENPH 10/29/21 225 ENPHASE ENERGY INC CUSIP: Symbol(Box 1a): ENPH211029P00225000							
10/27/2021	4.00	211.63	10/27/2021	0.00	0.00	211.63	Buy to Close
CALL DIDI 02/18/22 7.50 DIDI GLOBAL INC CUSIP: Symbol(Box 1a): DIDI220218C00007500							
09/29/2021	5.00	844.72	09/27/2021	1,010.26	0.00	-165.54	Sell to Close
CALL TWTR 10/15/21 65 TWITTER INC CUSIP: Symbol(Box 1a): TWTR211015C00065000							
09/27/2021	2.00	529.88	09/23/2021	576.10	0.00	-46.22	Sell to Close
CALL X 10/22/21 28 UNITED STATES STL CORP NEW CUSIP: Symbol(Box 1a): X211022C00028000							
09/29/2021	8.00	103.55	Various	438.41	0.00	-334.86	Sell to Close
ASTROTECH CORPORATION COMMON STOCK CUSIP: 046484200 Symbol(Box 1a): ASTC							
02/23/2021	500.00	1,259.93	Various	1,517.50	0.00	-257.57	Sale
CALL EA 10/29/21 140 ELECTRONIC ARTS INC CUSIP: Symbol(Box 1a): EA211029C00140000							
10/20/2021	2.00	245.90	10/19/2021	164.08	0.00	81.82	Sell to Close
BENESSERE CAPITAL ACQUISITION CORP CLASS A COMMON STOCK CUSIP: 08179B103 Symbol(Box 1a): BENE							
11/24/2021	100.00	1,284.98	11/24/2021	1,355.00	0.00	-70.02	Sale
CLARUS THERAPEUTICS HOLDINGS INC COMMON STOCK CUSIP: 18271L107 Symbol(Box 1a): CRXT							
11/23/2021	1,000.00	6,099.94	11/23/2021	6,519.90	0.00	-419.96	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*

5MS28753

(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
GEOVAX LABS INC COMMON STOCK CUSIP: 373678507 Symbol(Box 1a): GOVX							
11/16/2021	200.00	983.97	11/16/2021	1,041.98	0.00	-58.01	Sale
PUT MRNA 08/13/21 425 MODERNA INC CUSIP: Symbol(Box 1a): MRNA210813P00425000							
08/09/2021	1.00	319.93	08/09/2021	600.05	0.00	-280.12	Sell to Close
ALZAMEND NEURO INC COMMON STOCK CUSIP: 02262M308 Symbol(Box 1a): ALZN							
11/05/2021	500.00	1,564.93	11/04/2021	1,224.95	0.00	339.98	Sale
CALL OCGN 10/22/21 7.50 OCGEN INC CUSIP: Symbol(Box 1a): OCGN211022C00007500							
10/12/2021	5.00	599.77	10/11/2021	415.21	0.00	184.56	Sell to Close
GLOBALSTAR INC CUSIP: 378973408 Symbol(Box 1a): GSAT							
02/09/2021	500.00	1,119.91	02/01/2021	550.00	0.00	569.91	Sale
02/17/2021	500.00	1,104.43	02/03/2021	540.00	0.00	564.43	Sale
02/24/2021	500.00	954.93	02/24/2021	950.00	0.00	4.93	Sale
03/16/2021	250.00	419.96	03/15/2021	412.50	0.00	7.46	Sale
03/16/2021	500.00	832.43	03/09/2021	794.80	0.00	37.63	Sale
04/16/2021	1,250.00	1,202.97	Various	2,052.50	0.00	-849.53	Sale
Security Totals:		5,634.63		5,299.80		334.83	
RIVIAN AUTOMOTIVE INC CLASS A COMMON STOCK CUSIP: 76954A103 Symbol(Box 1a): RIVN							
11/10/2021	50.00	5,799.96	11/10/2021	5,359.50	0.00	440.46	Sale
PUT TSLA 11/12/21 1100 TESLA INC CUSIP: Symbol(Box 1a): TSLA211112P01100000							
10/29/2021	3.00	15,419.78	10/29/2021	17,565.13	0.00	-2,145.35	Sell to Close

* 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*

5MS28753

(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
FUELCELL ENERGY INC COMMON STOCK CUSIP: 35952H601 Symbol(Box 1a): FCEL							
10/14/2021	100.00	719.98	10/11/2021	665.00	0.00	54.98	Sale
CALL MSFT 11/19/21 340 MICROSOFT CORP CUSIP: Symbol(Box 1a): MSFT211119C00340000							
11/16/2021	5.00	914.87	11/12/2021	799.11	0.00	115.76	Sell to Close
CALL MSFT 11/19/21 335 MICROSOFT CORP CUSIP: Symbol(Box 1a): MSFT211119C00335000							
11/04/2021	3.00	1,124.86	11/04/2021	849.12	0.00	275.74	Sell to Close
PUT AMZN 10/08/21 3300 AMAZON.COM INC CUSIP: Symbol(Box 1a): AMZN211008P03300000							
10/08/2021	2.00	1,859.90	10/08/2021	2,060.08	0.00	-200.18	Sell to Close
CALL ROOT 10/15/21 5 ROOT INC CL A CUSIP: Symbol(Box 1a): ROOT211015C00005000							
10/13/2021	10.00	159.55	10/12/2021	250.42	0.00	-90.87	Sell to Close
CALL MMYT 11/19/21 35 MAKEMYTRIP LIMITED CUSIP: Symbol(Box 1a): MMYT211119C00035000							
11/01/2021	2.00	299.90	11/01/2021	550.08	0.00	-250.18	Sell to Close
CALL MU 12/31/21 90 MICRON TECHNOLOGY INC CUSIP: Symbol(Box 1a): MU211231C00090000							
12/22/2021	5.00	939.87	12/21/2021	1,015.11	0.00	-75.24	Sell to Close
CALL BBIG 11/19/21 5 VINCO VENTURES INC CUSIP: Symbol(Box 1a): BBIG211119C00005000							
11/19/2021	20.00	0.00	11/09/2021	400.83	0.00	-400.83	Expiration
CALL UPST 10/22/21 330 UPSTART HOLDINGS INC CUSIP: Symbol(Box 1a): UPST211022C00330000							
10/12/2021	1.00	1,349.94	10/12/2021	1,480.04	0.00	-130.10	Sell to Close
CONTEXTLOGIC INC CLASS A COMMON STOCK CUSIP: 21077C107 Symbol(Box 1a): WISH							
07/21/2021	500.00	5,149.91	07/14/2021	4,845.00	0.00	304.91	Sale
08/11/2021	500.00	5,049.91	07/27/2021	4,555.00	0.00	494.91	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*

5MS28753

(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
CONTEXTLOGIC INC CLASS A COMMON STOCK CUSIP: 21077C107 Symbol(Box 1a): WISH							
12/23/2021	500.00	1,769.93	12/21/2021	1,752.50	0.00	17.43	Sale
Security Totals:		11,969.75		11,152.50		817.25	
FUBOTV INC COMMON STOCK CUSIP: 35953D104 Symbol(Box 1a): FUBO							
02/24/2021	100.00	3,666.97	02/23/2021	3,672.00	5.03 D	0.00	Sale
02/25/2021	100.00	3,498.97	02/25/2021	3,781.06	282.09 D	0.00	Sale
02/25/2021	100.00	3,589.47	02/24/2021	3,751.53	162.06 D	0.00	Sale
03/03/2021	100.00	3,572.97	02/26/2021	3,869.09	296.12 D	0.00	Sale
07/02/2021	500.00	14,819.86	Various	12,238.46	0.00	2,581.40	Sale
09/29/2021	200.00	4,778.95	Various	5,437.00	658.05 D	0.00	Sale
10/14/2021	100.00	2,782.97	10/14/2021	3,380.19	0.00	-597.22	Sale
10/29/2021	100.00	2,979.07	Various	2,955.53	0.00	23.54	Sale
Security Totals:		39,689.23		39,084.86		2,007.72	
CALL TSLA 11/26/21 1180 TESLA INC CUSIP: Symbol(Box 1a): TSLA211126C01180000							
11/23/2021	2.00	3,999.92	Various	4,845.04	0.00	-845.12	Sell to Close
CALL COIN 10/29/21 315 COINBASE GLOBAL INC CUSIP: Symbol(Box 1a): COIN211029C00315000							
10/20/2021	3.00	3,509.84	10/20/2021	3,450.13	0.00	59.71	Sell to Close
CALL INTC 12/17/21 50 INTEL CORP CUSIP: Symbol(Box 1a): INTC211217C00050000							
11/26/2021	5.00	374.87	11/03/2021	750.21	0.00	-375.34	Sell to Close
CALL LCID 10/15/21 24 LUCID GROUP INC CUSIP: Symbol(Box 1a): LCID211015C00024000							
10/12/2021	10.00	249.55	10/12/2021	500.42	0.00	-250.87	Sell to Close

* 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*

5MS28753

(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
Description of property CUSIP Symbol(Box 1a): NVDA210910P00222500							
09/08/2021	1.00	309.93	09/08/2021	177.05	0.00	132.88	Sell to Close
Description of property CUSIP Symbol(Box 1a): V211210C00205000							
12/06/2021	3.00	599.92	12/06/2021	543.06	0.00	56.86	Sell to Close
Description of property CUSIP Symbol(Box 1a): JMIA211119C00020000							
11/16/2021	5.00	49.87	11/09/2021	685.21	0.00	-635.34	Sell to Close
Description of property CUSIP Symbol(Box 1a): TSLA211112P01200000							
11/02/2021	1.00	7,974.90	11/02/2021	6,665.04	0.00	1,309.86	Sell to Close
Description of property CUSIP Symbol(Box 1a): SNAP211015C00080000							
09/22/2021	3.00	929.82	Various	820.15	0.00	109.67	Sell to Close
Description of property CUSIP Symbol(Box 1a): AFRM211217C00140000							
11/26/2021	3.00	2,069.91	11/24/2021	2,310.06	0.00	-240.15	Sell to Close
Description of property CUSIP Symbol(Box 1a): TSLA211112C01200000							
11/02/2021	2.00	11,079.85	11/02/2021	9,920.08	0.00	1,159.77	Sell to Close
Description of property CUSIP Symbol(Box 1a): LAZR211119C00017500							
10/26/2021	5.00	324.77	10/21/2021	350.21	0.00	-25.44	Sell to Close
Description of property CUSIP Symbol(Box 1a): NFLX211008P00610000							
10/01/2021	1.00	1,599.94	09/30/2021	1,100.05	0.00	499.89	Sell to Close
Description of property CUSIP Symbol(Box 1a): AMZN211008P03310000							
09/30/2021	1.00	6,809.90	09/30/2021	4,940.05	0.00	1,869.85	Sell to Close
Description of property CUSIP Symbol(Box 1a): PLTR220121C00020000							
07/02/2021	10.00	6,499.39	Various	5,200.78	0.00	1,298.61	Sell to Close

* 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*

5MS28753

(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 WISH 11/12/21 6 CONTEXTLOGIC INC CL A CUSIP: Symbol(Box 1a): WISH211112C00006000							
11/12/2021	20.00	0.00	11/09/2021	620.83	0.00	-620.83	Expiration
CALL COIN 10/22/21 260 COINBASE GLOBAL INC CUSIP: Symbol(Box 1a): COIN211022C00260000							
10/11/2021	1.00	1,059.94	10/11/2021	840.04	0.00	219.90	Sell to Close
10/11/2021	1.00	1,059.94	10/11/2021	840.04	0.00	219.90	Sell to Close
Security Totals:		2,119.88		1,680.08		439.80	
EXP WORLD HOLDINGS INC COMMON STOCK CUSIP: 30212W100 Symbol(Box 1a): EXP1							
09/29/2021	100.00	4,304.97	09/27/2021	5,204.00	0.00	-899.03	Sale
VINCO VENTURES INC COMMON STOCK CUSIP: 927330100 Symbol(Box 1a): BBIG							
10/20/2021	200.00	1,383.97	Various	1,492.00	108.03 D	0.00	Sale
11/10/2021	500.00	2,204.92	Various	2,329.28	0.00	-124.36	Sale
Security Totals:		3,588.89		3,821.28		-124.36	
CALL PINS 12/17/21 50 PINTEREST INC CLASS A CUSIP: Symbol(Box 1a): PINS211217C00050000							
11/16/2021	3.00	659.92	11/05/2021	510.12	0.00	149.80	Sell to Close
CALL BIDU 01/21/22 150 BAIDU INC CUSIP: Symbol(Box 1a): BIDU220121C00150000							
08/09/2021	2.00	5,479.85	08/06/2021	5,240.11	0.00	239.74	Sell to Close
CALL BBIG 11/19/21 6 VINCO VENTURES INC CUSIP: Symbol(Box 1a): BBIG211119C00006000							
11/05/2021	10.00	149.56	10/28/2021	410.42	0.00	-260.86	Sell to Close
CALL FCCEL 10/15/21 6.50 FUELCELL ENERGY INC CUSIP: Symbol(Box 1a): FCCEL211015C00006500							
10/11/2021	5.00	169.77	10/11/2021	110.21	0.00	59.56	Sell to Close
PUT APPS 10/08/21 75 DIGITAL TURBINE INC CUSIP: Symbol(Box 1a): APPS211008P00075000							
10/07/2021	1.00	21.94	10/07/2021	35.04	0.00	-13.10	Sell to Close

* 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*

5MS28753

(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
PUT APPS 10/22/21 85 DIGITAL TURBINE INC CUSIP: Symbol(Box 1a): APPS211022P00085000							
10/20/2021	2.00	139.90	10/20/2021	300.08	0.00	-160.18	Sell to Close
APPLE INC CUSIP: 037833100 Symbol(Box 1a): AAPL							
03/24/2021	50.00	6,054.20	Various	5,956.31	0.00	97.89	Sale
CALL PFE 10/15/21 45 PFIZER INC CUSIP: Symbol(Box 1a): PFE211015C00045000							
10/08/2021	100.00	295.55	10/07/2021	704.24	0.00	-408.69	Sell to Close
CALL FISV 11/19/21 120 FISERV INC CUSIP: Symbol(Box 1a): FISV211119C00120000							
09/29/2021	24.00	2,878.68	Various	3,075.25	0.00	-196.57	Sell to Close
CALL QS 11/05/21 29 QUANTUMSCAPE CORPORATION CL A CUSIP: Symbol(Box 1a): QS211105C00029000							
11/03/2021	5.00	899.77	11/02/2021	550.21	0.00	349.56	Sell to Close
CALL SHOP 01/21/22 1500 SHOPIFY INC CUSIP: Symbol(Box 1a): SHOP220121C01500000							
12/29/2021	1.00	2,579.95	12/29/2021	2,120.02	0.00	459.93	Sell to Close
AMC ENTERTAINMENT HOLDINGS INC CL A COM CUSIP: 00165C104 Symbol(Box 1a): AMC							
11/03/2021	100.00	4,299.96	11/02/2021	3,988.00	0.00	311.96	Sale
PUT NFLX 12/31/21 610 NETFLIX INC CUSIP: Symbol(Box 1a): NFLX211231P00610000							
12/31/2021	2.00	859.94	12/31/2021	576.04	0.00	283.90	Sell to Close
CALL MSFT 01/07/22 345 MICROSOFT CORP CUSIP: Symbol(Box 1a): MSFT220107C00345000							
12/29/2021	2.00	679.94	12/29/2021	668.04	0.00	11.90	Sell to Close
CALL RBLX 07/16/21 90 ROBLOX CORPORATION CUSIP: Symbol(Box 1a): RBLX210716C00090000							
06/28/2021	1.00	719.93	06/24/2021	330.05	0.00	389.88	Sell to Close
CALL DKNG 04/16/21 58 DRAFTKINGS INC CL A CUSIP: Symbol(Box 1a): DKNG210416C00058000							
04/14/2021	1.00	239.91	04/13/2021	202.07	0.00	37.84	Sell to Close

* 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*

5MS28753

(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 COST 12/03/21	550	COSTCO WHOLESALE CORPORATION CUSIP: Symbol(Box 1a): COST211203C00550000					
11/22/2021	5.00	1,649.87	11/22/2021	1,550.11	0.00	99.76	Sell to Close
CALL AMZN 10/15/21	3250	AMAZON.COM INC CUSIP: Symbol(Box 1a): AMZN211015C03250000					
10/06/2021	1.00	3,439.93	10/05/2021	5,430.04	0.00	-1,990.11	Sell to Close
CALL MSFT 12/10/21	327.50	MICROSOFT CORP CUSIP: Symbol(Box 1a): MSFT211210C00327500					
12/06/2021	1.00	227.96	12/06/2021	293.02	0.00	-65.06	Sell to Close
CALL COST 12/03/21	560	COSTCO WHOLESALE CORPORATION CUSIP: Symbol(Box 1a): COST211203C00560000					
11/24/2021	10.00	3,899.75	11/24/2021	3,100.21	0.00	799.54	Sell to Close
CALL ASAN 03/18/22	90	ASANA INC CL A CUSIP: Symbol(Box 1a): ASAN220318C00090000					
12/20/2021	5.00	5,399.85	12/16/2021	2,550.11	0.00	2,849.74	Sell to Close
12/28/2021	5.00	3,199.86	12/16/2021	2,550.10	0.00	649.76	Sell to Close
Security Totals:		8,599.71		5,100.21		3,499.50	
CALL MU 01/07/22	95	MICRON TECHNOLOGY INC CUSIP: Symbol(Box 1a): MU220107C00095000					
12/29/2021	2.00	449.94	12/28/2021	284.04	0.00	165.90	Sell to Close
TESLA INC		COMMON STOCK CUSIP: 88160R101 Symbol(Box 1a): TSLA					
04/28/2021	20.00	13,900.11	03/19/2021	12,834.60	0.00	1,065.51	Sale
CALL AMD 10/22/21	110	ADVANCED MICRO DEVICES INC CUSIP: Symbol(Box 1a): AMD211022C00110000					
10/14/2021	10.00	2,529.54	10/13/2021	2,270.42	0.00	259.12	Sell to Close
CALL AMZN 11/19/21	3600	AMAZON.COM INC CUSIP: Symbol(Box 1a): AMZN211119C03600000					
11/09/2021	3.00	15,347.79	11/09/2021	10,800.12	0.00	4,547.67	Sell to Close
11/18/2021	3.00	9,899.87	11/18/2021	8,250.06	0.00	1,649.81	Sell to Close
Security Totals:		25,247.66		19,050.18		6,197.48	

* 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*

5MS28753

(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
PUT ATVI 11/19/21 70 ACTIVISION BLIZZARD INC CUSIP: Symbol(Box 1a): ATVI211119P00070000							
11/03/2021	10.00	4,799.54	11/02/2021	560.41	0.00	4,239.13	Sell to Close
CALL AMZN 10/29/21 3450 AMAZON.COM INC CUSIP: Symbol(Box 1a): AMZN211029C03450000							
10/20/2021	4.00	21,199.71	Various	25,470.16	0.00	-4,270.45	Sell to Close
CALL YELP 02/18/22 39 YELP INC CUSIP: Symbol(Box 1a): YELP220218C00039000							
11/26/2021	5.00	749.87	11/05/2021	2,050.21	0.00	-1,300.34	Sell to Close
CALL QS 10/15/21 24 QUANTUMSCAPE CORPORATION CL A CUSIP: Symbol(Box 1a): QS211015C00024000							
09/21/2021	1.00	184.93	09/21/2021	119.05	0.00	65.88	Sell to Close
CALL TSLA 12/31/21 1065 TESLA INC CUSIP: Symbol(Box 1a): TSLA211231C01065000							
12/23/2021	1.00	3,679.95	12/23/2021	3,620.02	0.00	59.93	Sell to Close
CALL TTD 10/29/21 85 TRADE DESK INC CLASS A CUSIP: Symbol(Box 1a): TTD211029C00085000							
10/19/2021	5.00	619.77	10/18/2021	525.21	0.00	94.56	Sell to Close
CALL BABA 01/21/22 200 ALIBABA GROUP HOLDING LIMITED CUSIP: Symbol(Box 1a): BABA220121C00200000							
09/28/2021	5.00	1,214.72	09/27/2021	1,350.26	135.54 D	0.00	Sell to Close
10/01/2021	5.00	1,044.77	09/28/2021	1,595.80	0.00	-551.03	Sell to Close
Security Totals:		2,259.49		2,946.06		-551.03	
BIOFRONTERA INC COMMON STOCK CUSIP: 09077D100 Symbol(Box 1a): BFRI							
11/29/2021	250.00	2,074.95	11/29/2021	1,975.00	0.00	99.95	Sale
11/29/2021	250.00	2,124.95	11/29/2021	2,107.50	0.00	17.45	Sale
Security Totals:		4,199.90		4,082.50		117.40	
CALL LCID 11/05/21 30 LUCID GROUP INC CUSIP: Symbol(Box 1a): LCID211105C00030000							
10/28/2021	10.00	4,749.53	10/28/2021	1,350.42	0.00	3,399.11	Sell to Close

* 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*

5MS28753

(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
PUT ENPH 10/29/21 220 ENPHASE ENERGY INC CUSIP: Symbol(Box 1a): ENPH211029P00220000							
10/27/2021	4.00	1,499.81	10/27/2021	1,672.17	0.00	-172.36	Sell to Close
XERIS BIOPHARMA HOLDINGS INC COMMON STOCK CUSIP: 98422E103 Symbol(Box 1a): XERS							
12/31/2021	250.00	767.49	12/30/2021	777.50	0.00	-10.01	Sale
CHURCHILL CAPITAL CORP IV CLASS A COMMON STOCK CUSIP: 171439102 Symbol(Box 1a): CCIV							
02/19/2021	100.00	5,457.86	Various	1,826.50	0.00	3,631.36	Sale
02/22/2021	100.00	5,990.85	02/22/2021	5,988.94	0.00	1.91	Sale
Security Totals:		11,448.71		7,815.44		3,633.27	
CALL ASTR 11/19/21 10 ASTRA SPACE INC CLASS A CUSIP: Symbol(Box 1a): ASTR211119C00010000							
10/29/2021	5.00	524.77	10/21/2021	530.21	0.00	-5.44	Sell to Close
PUT AI 02/19/21 90 C3 AI INC CLASS A CUSIP: Symbol(Box 1a): AI210219P00090000							
01/07/2021	1.00	179.90	12/21/2020	306.08	0.00	-126.18	Sell to Close
***GOLD STANDARD VENTURES CORP CUSIP: 380738104 Symbol(Box 1a): GSV							
02/10/2021	2,000.00	1,741.32	02/10/2021	1,770.40	0.00	-29.08	Sale
MULTIPLAN CORPORATION CLASS A COMMON STOCK CUSIP: 62548M100 Symbol(Box 1a): MPLN							
10/28/2021	250.00	1,093.71	10/25/2021	1,232.50	0.00	-138.79	Sale
CALL GREE 11/19/21 30 GREENIDGE GENERATION HLDNG INC CUSIP: Symbol(Box 1a): GREE211119C00030000							
11/08/2021	3.00	1,499.86	11/08/2021	1,404.12	0.00	95.74	Sell to Close
CALL DKNG 04/30/21 65 DRAFTKINGS INC CL A CUSIP: Symbol(Box 1a): DKNG210430C00065000							
04/29/2021	10.00	29.19	04/27/2021	142.80	0.00	-113.61	Sell to Close
ARMATA PHARMACEUTICALS INC COMMON STOCK CUSIP: 04216R102 Symbol(Box 1a): ARMP							
11/01/2021	1,000.00	4,001.23	11/01/2021	4,344.75	0.00	-343.52	Sale

APEX CLEARING

Proceeds from Broker and Barter Exchange Transactions

2021 Form 1099-B*

5MS28753

(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 PSTH 12/17/21	21						
PERSHING SQR TONTINE HLDNGS CUSIP: Symbol(Box 1a): PSTH211217C00021000							
11/22/2021	100.00	997.65	11/18/2021	1,982.14	0.00	-984.49	Sell to Close
CALL TSLA 12/03/21	1200						
TESLA INC CUSIP: Symbol(Box 1a): TSLA211203C01200000							
12/01/2021	1.00	912.96	12/01/2021	1,140.02	0.00	-227.06	Sell to Close
CALL BBBY 11/19/21	30						
BED BATH & BEYOND INC CUSIP: Symbol(Box 1a): BBBY211119C00030000							
09/27/2021	1.00	94.93	09/09/2021	187.05	0.00	-92.12	Sell to Close
CALL RBLX 10/22/21	79						
ROBLOX CORPORATION CUSIP: Symbol(Box 1a): RBLX211022C00079000							
09/24/2021	2.00	1,279.88	09/21/2021	787.10	0.00	492.78	Sell to Close
PUT PYPL 12/31/21	185						
PAYPAL HOLDINGS INC CUSIP: Symbol(Box 1a): PYPL211231P00185000							
12/29/2021	2.00	89.94	12/29/2021	120.04	0.00	-30.10	Sell to Close
CALL ANY 11/05/21	6.50						
SPHERE 3D CORP CUSIP: Symbol(Box 1a): ANY211105C00006500							
11/01/2021	5.00	274.77	10/28/2021	320.21	0.00	-45.44	Sell to Close
VIA RENEWABLES INC							
CLASS A COMMON STOCK CUSIP: 92556D106 Symbol(Box 1a): VIA							
10/12/2021	200.00	2,137.96	10/08/2021	2,092.00	0.00	45.96	Sale
CALL PFE 06/18/21	45						
PFIZER INC CUSIP: Symbol(Box 1a): PFE210618C00045000							
06/18/2021	12.00	0.00	Various	1,568.96	0.00	-1,568.96	Expiration
CIDARA THERAPEUTICS INC							
COM CUSIP: 171757107 Symbol(Box 1a): CDTX							
11/16/2021	1,000.00	1,599.97	11/15/2021	1,680.00	0.00	-80.03	Sale
EXELA TECHNOLOGIES INC							
COMMON STOCK CUSIP: 30162V409 Symbol(Box 1a): XELA							
10/28/2021	200.00	415.97	10/28/2021	424.00	0.00	-8.03	Sale
CALL AAL 12/17/21	20						
AMERICAN AIRLINES GROUP INC CUSIP: Symbol(Box 1a): AAL211217C00020000							
09/27/2021	2.00	619.88	09/13/2021	304.10	0.00	315.78	Sell to Close

* 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*

5MS28753

(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
PUT UPST 10/29/21 350 UPSTART HOLDINGS INC CUSIP: Symbol(Box 1a): UPST211029P00350000							
10/18/2021	3.00	2,309.84	10/18/2021	3,060.13	0.00	-750.29	Sell to Close
CALL UAL 12/17/21 50 UNITED AIRLINES HOLDINGS INC CUSIP: Symbol(Box 1a): UAL211217C00050000							
11/05/2021	5.00	2,179.76	11/01/2021	885.21	0.00	1,294.55	Sell to Close
PELTON INTERACTIVE INC CLASS A COMMON STOCK CUSIP: 70614W100 Symbol(Box 1a): PTON							
10/12/2021	50.00	4,309.46	10/08/2021	4,308.62	0.00	0.84	Sale
10/14/2021	50.00	4,357.46	10/12/2021	4,328.16	0.00	29.30	Sale
11/04/2021	100.00	6,275.95	11/04/2021	6,411.00	0.00	-135.05	Sale
11/04/2021	100.00	6,449.95	11/04/2021	6,433.00	0.00	16.95	Sale
11/04/2021	100.00	6,459.95	11/04/2021	6,433.00	0.00	26.95	Sale
11/04/2021	200.00	13,299.91	11/04/2021	13,000.00	0.00	299.91	Sale
Security Totals:		41,152.68		40,913.78		238.90	
CALL AI 04/16/21 60 C3 AI INC CLASS A CUSIP: Symbol(Box 1a): AI210416C00060000							
04/12/2021	1.00	274.91	04/12/2021	200.07	0.00	74.84	Sell to Close
CALL AFRM 11/05/21 160 AFFIRM HOLDINGS INC CL A CUSIP: Symbol(Box 1a): AFRM211105C00160000							
11/01/2021	5.00	2,249.76	11/01/2021	1,825.21	0.00	424.55	Sell to Close
11/02/2021	5.00	1,099.77	11/02/2021	1,460.21	0.00	-360.44	Sell to Close
Security Totals:		3,349.53		3,285.42		64.11	
IT TECH PACKAGING INC COMMON STOCK CUSIP: 46527C100 Symbol(Box 1a): ITP							
01/27/2021	100.00	82.98	01/20/2021	71.50	0.00	11.48	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*

5MS28753

(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
02/10/2021	1,000.00	1,174.85	02/09/2021	1,130.00	0.00	44.85	Sale
Security Totals:		1,257.83		1,201.50		56.33	
CALL AMD 11/12/21 128			ADVANCED MICRO DEVICES INC CUSIP: Symbol(Box 1a): AMD211112C00128000				
11/03/2021	10.00	3,699.55	11/02/2021	3,189.41	0.00	510.14	Sell to Close
CALL MU 11/26/21 80			MICRON TECHNOLOGY INC CUSIP: Symbol(Box 1a): MU211126C00080000				
11/12/2021	10.00	1,159.76	11/09/2021	760.41	0.00	399.35	Sell to Close
PUT AMZN 09/17/21 3500			AMAZON.COM INC CUSIP: Symbol(Box 1a): AMZN210917P03500000				
09/09/2021	1.00	3,419.92	09/09/2021	3,410.05	0.00	9.87	Sell to Close
CALL AMZN 11/12/21 3500			AMAZON.COM INC CUSIP: Symbol(Box 1a): AMZN211112C03500000				
11/05/2021	2.00	11,299.85	11/05/2021	11,800.08	0.00	-500.23	Sell to Close
MEDICINOVA INC CUSIP: 58468P206 Symbol(Box 1a): MNOV							
11/23/2021	1,000.00	3,629.86	11/23/2021	3,330.00	0.00	299.86	Sale
***TDH HOLDINGS INC			COMMON SHARES CUSIP: G87084102 Symbol(Box 1a): PETZ				
11/10/2021	200.00	1,147.97	11/09/2021	1,542.00	0.00	-394.03	Sale
CALL SKX 11/19/21 49			SKECHERS U S A INC CLASS A CUSIP: Symbol(Box 1a): SKX211119C00049000				
10/28/2021	5.00	699.77	10/25/2021	750.21	0.00	-50.44	Sell to Close
CALL TME 11/12/21 9			TENCENT MUSIC ENTRTNMNT GROUP CUSIP: Symbol(Box 1a): TME211112C00009000				
11/12/2021	5.00	0.00	11/08/2021	135.21	0.00	-135.21	Expiration
CALL GM 12/03/21 60			GENERAL MOTORS COMPANY CUSIP: Symbol(Box 1a): GM211203C00060000				
11/12/2021	5.00	2,224.86	11/04/2021	810.21	0.00	1,414.65	Sell to Close
MONAKER GROUP INC			COMMON STOCK CUSIP: 609011200 Symbol(Box 1a): MKGI				
02/23/2021	500.00	1,409.93	02/19/2021	2,010.00	0.00	-600.07	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*

5MS28753

(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 FSLY 05/21/21 90							
FASTLY INC CLASS A CUSIP: Symbol(Box 1a): FSLY210521C00090000							
04/12/2021	2.00	197.82	04/06/2021	430.16	0.00	-232.34	Sell to Close
CALL WKHS 12/17/21 10							
WORKHORSE GROUP INC CUSIP: Symbol(Box 1a): WKHS211217C00010000							
11/26/2021	11.00	65.74	Various	484.44	0.00	-418.70	Sell to Close
***CI&T INC							
CLASS A COMMON SHARES CUSIP: G21307106 Symbol(Box 1a): CINT							
11/10/2021	200.00	3,601.96	11/10/2021	3,960.00	0.00	-358.04	Sale
AKERNA CORP							
COMMON STOCK CUSIP: 00973W102 Symbol(Box 1a): KERN							
10/11/2021	500.00	1,512.43	10/08/2021	1,445.00	0.00	67.43	Sale
CALL RKL B 11/19/21 20							
ROCKET LAB USA INC CUSIP: Symbol(Box 1a): RKL B211119C00020000							
10/08/2021	3.00	107.85	10/07/2021	240.13	0.00	-132.28	Sell to Close
REGULUS THERAPEUTICS INC							
COMMON STOCK CUSIP: 75915K200 Symbol(Box 1a): RGLS							
10/21/2021	1,000.00	477.27	10/13/2021	531.20	0.00	-53.93	Sale
CALL TSLA 11/05/21 1250							
TESLA INC CUSIP: Symbol(Box 1a): TSLA211105C01250000							
11/03/2021	2.00	1,819.90	11/03/2021	1,020.08	0.00	799.82	Sell to Close
11/03/2021	2.00	2,039.89	11/03/2021	1,040.08	0.00	999.81	Sell to Close
11/04/2021	2.00	3,109.89	11/04/2021	3,840.08	0.00	-730.19	Sell to Close
Security Totals:		6,969.68		5,900.24		1,069.44	
CALL UPST 09/17/21 290							
UPSTART HOLDINGS INC CUSIP: Symbol(Box 1a): UPST210917C00290000							
09/09/2021	1.00	1,219.93	09/09/2021	1,320.05	0.00	-100.12	Sell to Close
CALL MSFT 04/01/21 240							
MICROSOFT CORP CUSIP: Symbol(Box 1a): MSFT210401C00240000							
04/01/2021	1.00	159.91	03/31/2021	50.08	0.00	109.83	Sell to Close
CALL ICLN 07/16/21 40							
ISHARES GLOBAL CLEAN ENRGY ETF CUSIP: Symbol(Box 1a): ICLN210716C00040000							
02/09/2021	2.00	279.82	Various	635.16	0.00	-355.34	Sell to Close

* 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*

5MS28753

(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 JPM 12/31/21	160	JPMORGAN CHASE & CO	CUSIP: Symbol(Box 1a): JPM211231C00160000				
12/30/2021	2.00	94.94	12/30/2021	136.04	0.00	-41.10	Sell to Close
CALL ZM 11/19/21	290	ZOOM VIDEO COMMUNICATIONS INC	CUSIP: Symbol(Box 1a): ZM211119C00290000				
11/02/2021	3.00	1,439.86	11/01/2021	1,380.12	0.00	59.74	Sell to Close
CALL APPS 01/21/22	55	DIGITAL TURBINE INC	CUSIP: Symbol(Box 1a): APPS220121C00055000				
07/29/2021	3.00	4,889.80	07/14/2021	4,560.16	0.00	329.64	Sell to Close
ORAGENICS INC		COMMON STOCK	CUSIP: 684023302 Symbol(Box 1a): OGEN				
08/24/2021	500.00	325.08	08/17/2021	312.05	0.00	13.03	Sale
11/01/2021	2,000.00	1,419.15	10/27/2021	1,293.60	0.00	125.55	Sale
Security Totals:		1,744.23		1,605.65		138.58	
CALL BA 10/22/21	232.50	BOEING CO	CUSIP: Symbol(Box 1a): BA211022C00232500				
10/11/2021	2.00	819.90	10/11/2021	900.08	0.00	-80.18	Sell to Close
CALL BEKE 02/18/22	20	KE HOLDINGS INC ADS	CUSIP: Symbol(Box 1a): BEKE220218C00020000				
12/30/2021	3.00	689.92	12/29/2021	492.06	0.00	197.86	Sell to Close
CALL AI 03/19/21	155	C3 AI INC CLASS A	CUSIP: Symbol(Box 1a): AI210319C00155000				
03/02/2021	2.00	159.82	Various	790.16	0.00	-630.34	Sell to Close
CALL PTON 03/18/22	100	PELTON INTERACTIVE INC CL A	CUSIP: Symbol(Box 1a): PTON220318C00100000				
11/16/2021	30.00	2,909.28	Various	2,736.25	0.00	173.03	Sell to Close
CALL AAPL 12/03/21	162.50	APPLE INC	CUSIP: Symbol(Box 1a): AAPL211203C00162500				
11/29/2021	20.00	2,319.51	11/29/2021	2,500.43	0.00	-180.92	Sell to Close
CALL CPNG 11/19/21	30	COUPANG INC	CUSIP: Symbol(Box 1a): CPNG211119C00030000				
10/21/2021	6.00	629.73	10/20/2021	660.25	0.00	-30.52	Sell to Close

* 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*

5MS28753

(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 10/08/21	820	TESLA INC CUSIP: Symbol(Box 1a): TSLA211008C00820000					
10/04/2021	1.00	700.94	10/04/2021	995.04	0.00	-294.10	Sell to Close
ZYNGA INC	CLASS A CUSIP: 98986T108 Symbol(Box 1a): ZNGA						
03/31/2021	1.00	10.25	03/26/2021	10.06	0.00	0.19	Sale
05/11/2021	4.00	40.34	Various	44.24	0.00	-3.90	Sale
Security Totals:		50.59		54.30		-3.71	
***CANAAN INC	AMERICAN DEPOSITARY SHARES CUSIP: 134748102 Symbol(Box 1a): CAN						
09/29/2021	100.00	568.99	09/10/2021	887.99	0.00	-319.00	Sale
CALL BAC 02/18/22	45	BANK OF AMERICA CORP CUSIP: Symbol(Box 1a): BAC220218C00045000					
12/28/2021	10.00	1,739.76	12/23/2021	1,640.21	0.00	99.55	Sell to Close
***MYOVANT SCIENCES LTD	COMMON SHARES CUSIP: G637AM102 Symbol(Box 1a): MYOV						
09/29/2021	250.00	5,699.94	09/09/2021	6,327.50	0.00	-627.56	Sale
CALL TSLA 10/08/21	790	TESLA INC CUSIP: Symbol(Box 1a): TSLA211008C00790000					
09/30/2021	1.00	1,799.93	09/30/2021	1,930.05	0.00	-130.12	Sell to Close
CALL FB 11/19/21	400	META PLATFORMS INC CL A CUSIP: Symbol(Box 1a): FB211119C00400000					
09/29/2021	20.00	3,158.90	Various	7,758.17	2736.85 D	-1,862.42	Sell to Close
09/29/2021	6.00	923.67	Various	1,976.75	0.00	-1,053.08	Sell to Close
09/29/2021	2.00	315.88	Various	2,264.52	0.00	-1,948.64	Sell to Close
09/29/2021	20.00	3,218.90	Various	6,996.03	3777.13 D	0.00	Sell to Close
Security Totals:		7,617.35		18,995.47		-4,864.14	
Totals:		1,830,501.98		1,883,713.40		-29,944.73	

APEX CLEARING

Proceeds from Broker and Barter Exchange Transactions

2021 Form 1099-B*

5MS28753

(continued)

01/31/2022

OMB No. 1545-0715

SHORT TERM TRANSACTIONS FOR NONCOVERED TAX LOTS

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

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

Box 5: Box Checked (Noncovered Security)

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

Box 12: Basis Not 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	Cost or Other Basis	Accrued Market Discount (M) & Wash Sale Loss Disallowed (D)	Gain or Loss(-)	Additional Notes
EVOLVE TRANSITN INFRASTRUCTURE LP COMMON UNITS REPRESNTNG CL B LIMITD LIABILITY COMPANY INT CUSIP: 30053M104 Symbol(Box 1a): SNMP							
09/16/2021	250.00	262.46	08/16/2021	292.50	0.00	-30.04	Sale
PROSHARES TRUST II PROSHARES ULTRA VIX SHORT TERM FUTURES ETF CUSIP: 74347W148 Symbol(Box 1a): UVXY							
01/25/2021	500.00	5,524.81	01/25/2021	5,672.50	0.00	-147.69	Sale
Totals:		5,787.27		5,965.00		-177.73	

* 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*

5MS28753

(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
PFIZER INC CUSIP: 717081103 Symbol(Box 1a): PFE							
12/06/2021	100.00	5,363.96	11/23/2020	3,635.10	0.00	1,728.86	Sale
PPD INC COMMON STOCK CUSIP: 69355F102 Symbol(Box 1a): PPD							
12/08/2021	200.00	9,500.00	11/27/2020	6,974.00	0.00	2,526.00	Merger
DIGITAL TURBINE INC COM NEW CUSIP: 25400W102 Symbol(Box 1a): APPS							
11/30/2021	50.00	2,631.47	Various	579.66	0.00	2,051.81	Sale
11/30/2021	50.00	2,630.97	06/24/2020	547.50	0.00	2,083.47	Sale
Security Totals:		5,262.44		1,127.16		4,135.28	
Totals:		20,126.40		11,736.26		8,390.14	

APEX CLEARING

Dividends and Distributions - Details of Form 1099-DIV

2021

5MS28753

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)
PFIZER INC CUSIP: 717081103 Symbol: PFE							
03/05/2021	39.00	39.00	0.00	0.00	0.00	0.00	
06/04/2021	39.00	39.00	0.00	0.00	0.00	0.00	
09/07/2021	39.00	39.00	0.00	0.00	0.00	0.00	
12/06/2021	39.00	39.00	0.00	0.00	0.00	0.00	
Security Totals:	156.00	156.00	0.00	0.00	0.00	0.00	
Totals:	156.00	156.00	0.00	0.00	0.00	0.00	

APEX CLEARING

Interest Income - Details of Form 1099-INT

2021

5MS28753

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 Income (Box 1)	Investment Expenses (Box 5)	Foreign Tax Paid (Box 6)	Foreign Country or US Possession (Box 7)	Market Discount (Box 10)	Market Discount (NOT reported to IRS)	Bond Premium (Box 11)	Bond Premium (NOT reported to IRS)
FULLYPAID LENDING REBATE CUSIP: Symbol:								
04/14/2021	0.82	0.00	0.00		0.00	0.00	0.00	0.00
05/14/2021	7.69	0.00	0.00		0.00	0.00	0.00	0.00
06/14/2021	12.58	0.00	0.00		0.00	0.00	0.00	0.00
07/14/2021	6.75	0.00	0.00		0.00	0.00	0.00	0.00
08/12/2021	6.05	0.00	0.00		0.00	0.00	0.00	0.00
09/13/2021	3.68	0.00	0.00		0.00	0.00	0.00	0.00
10/14/2021	1.06	0.00	0.00		0.00	0.00	0.00	0.00
11/11/2021	1.60	0.00	0.00		0.00	0.00	0.00	0.00
12/14/2021	0.22	0.00	0.00		0.00	0.00	0.00	0.00
Security Totals:	40.45	0.00	0.00		0.00	0.00	0.00	0.00
Totals:	40.45	0.00	0.00		0.00	0.00	0.00	0.00

APEX CLEARING

Miscellaneous Information - Details of Form 1099-MISC

2021

5MS28753

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

Date	Royalties(Box 2)	Other Income(Box 3)	Substitute Payments in Lieu of Dividends or Interest (Box 8)
ZYNGA INC	CLASS A CUSIP: 98986T108 Symbol: ZNGA		
03/26/2021	0.00	10.06	0.00
04/28/2021	0.00	44.24	0.00
Security Totals:	0.00	54.30	0.00
GENERAL ELECTRIC COMPANY	COM CUSIP: 369604103 Symbol:		
04/28/2021	0.00	13.20	0.00
ANTERO RESOURCES CORPORATION	CUSIP: 03674X106 Symbol: AR		
03/26/2021	0.00	10.47	0.00
04/28/2021	0.00	172.89	0.00
Security Totals:	0.00	183.36	0.00
***ERICSSON	ADR CL B SEK 10 CUSIP: 294821608 Symbol: ERIC		
04/28/2021	0.00	42.12	0.00
Totals:	0.00	292.98	0.00

APEX CLEARING

Supplemental Information

2021

5MS28753

01/31/2022

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

Fees & Expenses

Description	
Date	Amount
Margin Interest Expense	
03/16/2021	9.67
04/16/2021	4.58
05/17/2021	5.54
06/16/2021	4.05
08/16/2021	11.91
09/16/2021	133.92
10/18/2021	109.53
11/16/2021	148.05
12/16/2021	96.00
12/31/2021	36.47
Total:	559.72
Totals:	559.72

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 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.

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.

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.

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.

