

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

LAKSHMI SUDHEERA DAMA  
741 MOROSGO DR NE  
ATLANTA, GA 30324-3510

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

**IMPORTANT YEAR END MESSAGES**

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

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

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<b>APEX CLEARING</b> ONE DALLAS CENTER 350 NORTH ST PAUL SUITE 1300 DALLAS, TX 75201 Customer Service: 214-765-1009  PAYER'S Federal ID No: 13-2967453  IN ACCOUNT WITH <b>WEBULL FINANCIAL LLC</b> <b>(917) 725-2448</b>	<b>Account 5NB95646</b>	<b>Form 1099 Composite</b>	<b>2021</b>
	LAKSHMI SUDHEERA DAMA 741 MOROSGO DR NE ATLANTA, GA 30324-3510  RECIPIENT'S ID No: XXX-XX-2967	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)	0.00	
1b- Qualified Dividends	0.00	
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	
<b>4- Federal Income Tax Withheld</b>	<b>0.00</b>	
5- Section 199A Dividends	0.00	
6- Investment Expenses	0.00	
7- Foreign tax Paid	0.00	
8- Foreign country or US Possession		
9- Cash Liquidation Distributions	0.00	
10- Noncash Liquidation Distribution	0.00	
11- Exempt-Interest Dividends	0.00	
12- Specified Private Activity Bond Interest Dividends	0.00	

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

INTEREST INCOME	2021 Form 1099-INT*	OMB No. 1545-0112
1- Interest Income	0.00	
2- Early Withdrawal Penalty	0.00	
3- Interest on U.S. Savings Bonds & Treasury Obligations	0.00	
<b>4- Federal Income Tax Withheld</b>	<b>0.00</b>	
5- Investment Expenses	0.00	
6- Foreign Tax Paid	0.00	
7- Foreign Country or U.S. Possession		
8- Tax-Exempt Interest (includes box 9)	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

5NB95646

01/31/2022

**Summary Of Sale Proceeds**

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

<b>Section</b>	<b>Total Proceeds</b>	<b>Total Cost Basis</b>	<b>Total Market Discount</b>	<b>Wash Sale Loss Disallowed</b>	<b>Total Net Gain or Loss(-)</b>
Short-term transactions for covered tax lots	426,908.79	446,161.46	0.00	17,166.28	-2,086.39
Short-term transactions for noncovered tax lots	0.00	0.00	0.00	0.00	0.00
<b>Total Short-term</b>	<b>426,908.79</b>	<b>446,161.46</b>	<b>0.00</b>	<b>17,166.28</b>	<b>-2,086.39</b>
Long-term transactions for covered tax lots	37.60	47.61	0.00	0.00	-10.01
Long-term transactions for noncovered tax lots	0.00	0.00	0.00	0.00	0.00
<b>Total Long-term</b>	<b>37.60</b>	<b>47.61</b>	<b>0.00</b>	<b>0.00</b>	<b>-10.01</b>
Undetermined transactions for noncovered tax lots	0.00	0.00	0.00	0.00	0.00
<b>Total Undetermined-term</b>	<b>0.00</b>	<b>0.00</b>	<b>0.00</b>	<b>0.00</b>	<b>0.00</b>

**ORIGINAL ISSUE DISCOUNT SUMMARY\***

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

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

**FEDERAL TAX WITHHELD**

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

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

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

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

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

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

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

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

FATCA filing requirement [ ]

**SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS**

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

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

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

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

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

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

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

Date Sold or Disposed (Box 1c)	Quantity	Proceeds (Box 1d)	Date Acquired (Box 1b)	Cost or Other Basis (Box 1e)	Accrued Market Discount (M)(Box 1f) & Wash Sale Loss Disallowed (D)(Box 1g)	Gain or Loss(-)	Additional Notes
CALL MSFT 09/03/21 305 MICROSOFT CORP   CUSIP:   Symbol(Box 1a): MSFT210903C00305000							
08/31/2021	1.00	109.94	08/30/2021	150.05	0.00	-40.11	Sell to Close
CALL ESTC 08/20/21 155 ELASTIC NV   CUSIP:   Symbol(Box 1a): ESTC210820C00155000							
08/05/2021	1.00	699.93	08/05/2021	550.05	0.00	149.88	Sell to Close
CALL AMZN 12/03/21 3570 AMAZON.COM INC   CUSIP:   Symbol(Box 1a): AMZN211203C03570000							
12/01/2021	1.00	1,969.95	12/01/2021	2,430.08	460.13 D	0.00	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\*

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(continued)

01/31/2022

OMB No. 1545-0715

SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

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

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

Box 5: Box Not Checked (Covered Security)

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

Box 12: Basis Reported to the IRS

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

Date Sold or Disposed (Box 1c)	Quantity	Proceeds (Box 1d)	Date Acquired (Box 1b)	Cost or Other Basis (Box 1e)	Accrued Market Discount (M)(Box 1f) & Wash Sale Loss Disallowed (D)(Box 1g)	Gain or Loss(-)	Additional Notes
CALL AMZN 12/03/21 3570 AMAZON.COM INC   CUSIP:   Symbol(Box 1a): AMZN211203C03570000							
12/01/2021	1.00	1,939.96	11/30/2021	2,430.02	490.06 D	0.00	Sell to Close
12/02/2021	2.00	1,029.94	Various	3,151.17	0.00	-2,121.23	Sell to Close
<b>Security Totals:</b>		<b>4,939.85</b>		<b>8,011.27</b>		<b>-2,121.23</b>	
CALL DBI 10/15/21 15 DESIGNER BRANDS INC CLASS A   CUSIP:   Symbol(Box 1a): DBI211015C00015000							
09/27/2021	1.00	59.93	09/21/2021	55.05	0.00	4.88	Sell to Close
CALL BB 08/13/21 10.50 BLACKBERRY LIMITED   CUSIP:   Symbol(Box 1a): BB210813C00010500							
08/05/2021	1.00	31.93	08/04/2021	28.05	0.00	3.88	Sell to Close
CALL GRWG 01/21/22 40 GROWGENERATION CORP   CUSIP:   Symbol(Box 1a): GRWG220121C00040000							
11/08/2021	2.00	137.90	10/13/2021	84.08	0.00	53.82	Sell to Close
CALL BB 07/30/21 11 BLACKBERRY LIMITED   CUSIP:   Symbol(Box 1a): BB210730C00011000							
07/28/2021	1.00	21.93	07/28/2021	28.05	0.00	-6.12	Sell to Close
PUT TSLA 12/10/21 1000 TESLA INC   CUSIP:   Symbol(Box 1a): TSLA211210P01000000							
12/07/2021	1.00	914.96	12/07/2021	1,419.02	0.00	-504.06	Sell to Close
CALL IPOF 11/19/21 11 SOCIAL CPTL HEDOSOPHIA HLDNGS   CUSIP:   Symbol(Box 1a): IPOF211119C00011000							
11/09/2021	4.00	199.81	10/21/2021	64.17	0.00	135.64	Sell to Close
11/18/2021	6.00	11.85	Various	212.25	0.00	-200.40	Sell to Close
<b>Security Totals:</b>		<b>211.66</b>		<b>276.42</b>		<b>-64.76</b>	
CALL BTBT 09/17/21 12.50 BIT DIGITAL INC   CUSIP:   Symbol(Box 1a): BTBT210917C00012500							
08/27/2021	1.00	169.93	08/25/2021	130.05	0.00	39.88	Sell to Close
CALL NVDA 10/22/21 227.50 NVIDIA CORPORATION   CUSIP:   Symbol(Box 1a): NVDA211022C00227500							
10/22/2021	1.00	139.94	10/22/2021	125.04	0.00	14.90	Sell to Close
10/22/2021	1.00	369.94	10/22/2021	252.04	0.00	117.90	Sell to Close

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APEX CLEARING

Proceeds from Broker and Barter Exchange Transactions

2021 Form 1099-B\*

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(continued)

01/31/2022

OMB No. 1545-0715

SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

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

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

Box 5: Box Not Checked (Covered Security)

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

Box 12: Basis Reported to the IRS

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

Date Sold or Disposed (Box 1c)	Quantity	Proceeds (Box 1d)	Date Acquired (Box 1b)	Cost or Other Basis (Box 1e)	Accrued Market Discount (M)(Box 1f) & Wash Sale Loss Disallowed (D)(Box 1g)	Gain or Loss(-)	Additional Notes
10/22/2021	1.00	117.94	10/22/2021	150.04	0.00	-32.10	Sell to Close
<b>Security Totals:</b>		<b>627.82</b>		<b>527.12</b>		<b>100.70</b>	
CALL NFLX 11/05/21 700			NETFLIX INC   CUSIP:   Symbol(Box 1a): NFLX211105C00700000				
11/04/2021	1.00	67.94	11/03/2021	204.04	0.00	-136.10	Sell to Close
CALL AFRM 11/19/21 170			AFFIRM HOLDINGS INC CL A   CUSIP:   Symbol(Box 1a): AFRM211119C00170000				
11/18/2021	2.00	9.94	Various	167.04	0.00	-157.10	Sell to Close
PUT TSLA 12/17/21 1000			TESLA INC   CUSIP:   Symbol(Box 1a): TSLA211217P01000000				
12/09/2021	1.00	2,619.95	12/09/2021	2,446.02	0.00	173.93	Sell to Close
CALL XL 09/17/21 7			XL FLEET CORPORATION CL A   CUSIP:   Symbol(Box 1a): XL210917C00007000				
09/13/2021	2.00	9.88	09/02/2021	70.10	0.00	-60.22	Sell to Close
CALL BGFV 10/15/21 30			BIG 5 SPORTING GOODS CORP   CUSIP:   Symbol(Box 1a): BGFV211015C00030000				
09/02/2021	1.00	869.93	09/01/2021	340.05	0.00	529.88	Sell to Close
CALL QQQ 12/31/21 396			INVESCO QQQ TRUST SERIES 1   CUSIP:   Symbol(Box 1a): QQQ211231C00396000				
12/20/2021	1.00	159.96	12/17/2021	321.02	0.00	-161.06	Sell to Close
PUT TSLA 11/26/21 1160			TESLA INC   CUSIP:   Symbol(Box 1a): TSLA211126P01160000				
11/22/2021	1.00	1,806.96	11/22/2021	1,681.02	0.00	125.94	Sell to Close
CALL SPCE 08/20/21 35			VIRGIN GALACTIC HOLDINGS INC   CUSIP:   Symbol(Box 1a): SPCE210820C00035000				
08/09/2021	1.00	187.93	07/19/2021	350.05	0.00	-162.12	Sell to Close
CALL NVDA 10/29/21 227.50			NVIDIA CORPORATION   CUSIP:   Symbol(Box 1a): NVDA211029C00227500				
10/25/2021	1.00	679.94	10/25/2021	455.04	0.00	224.90	Sell to Close
10/25/2021	1.00	564.94	10/22/2021	340.04	0.00	224.90	Sell to Close
10/25/2021	9.00	4,094.57	10/25/2021	4,095.38	0.09 D	-0.72	Sell to Close

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APEX CLEARING

## Proceeds from Broker and Barter Exchange Transactions

2021 Form 1099-B\*

5NB95646

(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
10/26/2021	1.00	1,339.94	10/25/2021	560.13	0.00	779.81	Sell to Close
<b>Security Totals:</b>		<b>6,679.39</b>		<b>5,450.59</b>		<b>1,228.89</b>	
CALL NVDA 11/05/21 252.50 NVIDIA CORPORATION   CUSIP:   Symbol(Box 1a): NVDA211105C00252500							
10/29/2021	1.00	574.94	10/29/2021	554.04	0.00	20.90	Sell to Close
CALL MU 10/15/21 75 MICRON TECHNOLOGY INC   CUSIP:   Symbol(Box 1a): MU211015C00075000							
09/22/2021	2.00	513.88	Various	514.10	81.11 D	80.89	Sell to Close
10/07/2021	2.00	31.90	Various	427.21	0.00	-395.31	Sell to Close
<b>Security Totals:</b>		<b>545.78</b>		<b>941.31</b>		<b>-314.42</b>	
CALL TTD 09/24/21 80 TRADE DESK INC CLASS A   CUSIP:   Symbol(Box 1a): TTD210924C00080000							
08/23/2021	1.00	400.93	08/19/2021	320.05	0.00	80.88	Sell to Close
CALL BA 09/17/21 245 BOEING CO   CUSIP:   Symbol(Box 1a): BA210917C00245000							
07/28/2021	1.00	784.93	07/20/2021	276.05	0.00	508.88	Sell to Close
07/28/2021	1.00	624.93	07/28/2021	620.05	0.00	4.88	Sell to Close
08/04/2021	1.00	484.93	07/30/2021	485.05	0.00	-0.12	Sell to Close
<b>Security Totals:</b>		<b>1,894.79</b>		<b>1,381.15</b>		<b>513.64</b>	
CALL AMZN 12/10/21 3515 AMAZON.COM INC   CUSIP:   Symbol(Box 1a): AMZN211210C03515000							
12/07/2021	1.00	3,799.95	12/07/2021	3,475.02	0.00	324.93	Sell to Close
PUT RBLX 11/12/21 72 ROBLOX CORPORATION   CUSIP:   Symbol(Box 1a): RBLX211112P00072000							
11/09/2021	1.00	0.94	11/08/2021	215.04	0.00	-214.10	Sell to Close
CALL MRNA 12/03/21 400 MODERNA INC   CUSIP:   Symbol(Box 1a): MRNA211203C00400000							
11/29/2021	1.00	1,419.96	11/29/2021	1,195.02	0.00	224.94	Sell to Close

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APEX CLEARING

## Proceeds from Broker and Barter Exchange Transactions

2021 Form 1099-B\*

5NB95646

(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
11/29/2021	1.00	1,419.96	11/29/2021	1,325.02	0.00	94.94	Sell to Close
<b>Security Totals:</b>		<b>2,839.92</b>		<b>2,520.04</b>		<b>319.88</b>	
PUT OXY 08/20/21 22			OCCIDENTAL PETROLEUM CORP   CUSIP:   Symbol(Box 1a): OXY210820P00022000				
07/27/2021	2.00	63.87	07/27/2021	64.11	0.00	-0.24	Sell to Close
CALL RKT 12/10/21 17			ROCKET COMPANIES INC CL A   CUSIP:   Symbol(Box 1a): RKT211210C00017000				
11/24/2021	3.00	56.92	11/17/2021	111.06	0.00	-54.14	Sell to Close
CALL SNOW 12/17/21 390			SNOWFLAKE INC CLASS A   CUSIP:   Symbol(Box 1a): SNOW211217C00390000				
12/13/2021	1.00	129.96	12/13/2021	450.02	0.00	-320.06	Sell to Close
CALL AFRM 11/12/21 200			AFFIRM HOLDINGS INC CL A   CUSIP:   Symbol(Box 1a): AFRM211112C00200000				
11/11/2021	2.00	109.94	Various	270.08	0.00	-160.14	Sell to Close
CALL ATER 10/15/21 7.50			ATERIAN INC   CUSIP:   Symbol(Box 1a): ATER211015C00007500				
09/01/2021	1.00	209.93	09/01/2021	165.05	0.00	44.88	Sell to Close
CALL ATER 10/15/21 20			ATERIAN INC   CUSIP:   Symbol(Box 1a): ATER211015C00020000				
09/20/2021	1.00	164.93	09/20/2021	130.05	0.00	34.88	Sell to Close
CALL SPCE 09/10/21 26			VIRGIN GALACTIC HOLDINGS INC   CUSIP:   Symbol(Box 1a): SPCE210910C00026000				
08/24/2021	1.00	207.93	08/24/2021	170.05	0.00	37.88	Sell to Close
CALL GOOGL 12/03/21 2920			ALPHABET INC CLASS A   CUSIP:   Symbol(Box 1a): GOOGL211203C02920000				
12/02/2021	1.00	349.96	12/02/2021	190.02	0.00	159.94	Sell to Close
CALL NIO 08/20/21 37.50			NIO INC ADS   CUSIP:   Symbol(Box 1a): NIO210820C00037500				
08/20/2021	1.00	37.93	08/20/2021	37.05	0.00	0.88	Sell to Close
CALL SNAP 12/17/21 57			SNAP INC   CUSIP:   Symbol(Box 1a): SNAP211217C00057000				
12/09/2021	1.00	110.96	12/08/2021	101.02	0.00	9.94	Sell to Close

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APEX CLEARING

Proceeds from Broker and Barter Exchange Transactions

2021 Form 1099-B\*

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(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 AMC 08/06/21 32 AMC ENTERTAINMENT HOLDINGS INC   CUSIP:   Symbol(Box 1a): AMC210806C00032000							
08/04/2021	1.00	120.93	08/04/2021	150.05	0.00	-29.12	Sell to Close
CALL LCID 11/05/21 37 LUCID GROUP INC   CUSIP:   Symbol(Box 1a): LCID211105C00037000							
11/04/2021	1.00	139.94	11/03/2021	114.04	0.00	25.90	Sell to Close
CALL WISH 08/13/21 11 CONTEXTLOGIC INC CL A   CUSIP:   Symbol(Box 1a): WISH210813C00011000							
08/13/2021	1.00	0.00	08/02/2021	70.05	0.00	-70.05	Expiration
CALL SHOP 12/03/21 1650 SHOPIFY INC   CUSIP:   Symbol(Box 1a): SHOP211203C01650000							
11/30/2021	1.00	1,829.96	11/30/2021	1,650.02	0.00	179.94	Sell to Close
12/01/2021	1.00	569.96	11/30/2021	1,500.02	930.06 D	0.00	Sell to Close
12/01/2021	1.00	569.96	11/30/2021	1,400.08	0.00	-830.12	Sell to Close
<b>Security Totals:</b>		<b>2,969.88</b>		<b>4,550.12</b>		<b>-650.18</b>	
CALL NVDA 12/31/21 300 NVIDIA CORPORATION   CUSIP:   Symbol(Box 1a): NVDA211231C00300000							
12/27/2021	1.00	1,219.96	12/23/2021	580.02	0.00	639.94	Sell to Close
CALL AMZN 11/19/21 3820 AMAZON.COM INC   CUSIP:   Symbol(Box 1a): AMZN211119C03820000							
11/19/2021	1.00	85.96	11/19/2021	200.02	0.00	-114.06	Sell to Close
11/19/2021	1.00	211.96	11/19/2021	200.02	0.00	11.94	Sell to Close
<b>Security Totals:</b>		<b>297.92</b>		<b>400.04</b>		<b>-102.12</b>	
CALL SQ 10/08/21 230 SQUARE INC   CUSIP:   Symbol(Box 1a): SQ211008C00230000							
10/04/2021	1.00	279.94	10/04/2021	300.04	20.1 D	0.00	Sell to Close
10/05/2021	1.00	399.94	10/04/2021	325.14	0.00	74.80	Sell to Close
10/05/2021	1.00	394.94	10/05/2021	340.04	0.00	54.90	Sell to Close

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**SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS**

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

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

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

Date Sold or Disposed (Box 1c)	Quantity	Proceeds (Box 1d)	Date Acquired (Box 1b)	Cost or Other Basis (Box 1e)	Accrued Market Discount (M)(Box 1f) & Wash Sale Loss Disallowed (D)(Box 1g)	Gain or Loss(-)	Additional Notes
CALL SQ 10/08/21 230 SQUARE INC   CUSIP:   Symbol(Box 1a): SQ211008C00230000							
10/06/2021	1.00	1,099.94	10/06/2021	790.04	0.00	309.90	Sell to Close
10/06/2021	1.00	964.94	10/06/2021	995.04	0.00	-30.10	Sell to Close
<b>Security Totals:</b>		<b>3,139.70</b>		<b>2,750.30</b>		<b>409.50</b>	
PUT TSLA 12/10/21 950 TESLA INC   CUSIP:   Symbol(Box 1a): TSLA211210P00950000							
12/06/2021	1.00	3,644.95	12/06/2021	2,860.02	0.00	784.93	Sell to Close
12/06/2021	1.00	2,994.95	12/06/2021	2,865.02	0.00	129.93	Sell to Close
12/06/2021	1.00	3,638.95	12/06/2021	2,817.02	0.00	821.93	Sell to Close
<b>Security Totals:</b>		<b>10,278.85</b>		<b>8,542.06</b>		<b>1,736.79</b>	
CALL AAPL 12/23/21 172.50 APPLE INC   CUSIP:   Symbol(Box 1a): AAPL211223C00172500							
12/17/2021	1.00	329.96	12/17/2021	320.02	0.00	9.94	Sell to Close
CALL CLOV 08/13/21 8.50 CLOVER HEALTH INVESTMENTS CORP   CUSIP:   Symbol(Box 1a): CLOV210813C00008500							
08/09/2021	1.00	40.93	08/02/2021	57.05	0.00	-16.12	Sell to Close
PUT DOCU 12/10/21 180 DOCUSIGN INC   CUSIP:   Symbol(Box 1a): DOCU211210P00180000							
12/03/2021	1.00	2,599.95	12/02/2021	90.02	0.00	2,509.93	Sell to Close
CALL GOOGL 12/17/21 2950 ALPHABET INC CLASS A   CUSIP:   Symbol(Box 1a): GOOGL211217C02950000							
12/16/2021	1.00	1,699.96	12/15/2021	1,300.02	0.00	399.94	Sell to Close
12/16/2021	1.00	339.96	12/16/2021	1,450.13	0.00	-1,110.17	Sell to Close
12/16/2021	2.00	1,879.94	Various	2,260.04	520.05 D	139.95	Sell to Close
12/16/2021	2.00	2,299.93	Various	2,380.09	300.11 D	219.95	Sell to Close
<b>Security Totals:</b>		<b>6,219.79</b>		<b>7,390.28</b>		<b>-350.33</b>	

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APEX CLEARING

## Proceeds from Broker and Barter Exchange Transactions

2021 Form 1099-B\*

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(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 NKE 09/10/21 165	NIKE INC CLASS B   CUSIP:   Symbol(Box 1a): NKE210910C00165000						
09/09/2021	1.00	133.93	09/09/2021	81.05	0.00	52.88	Sell to Close
CALL TTD 09/24/21 73	TRADE DESK INC CLASS A   CUSIP:   Symbol(Box 1a): TTD210924C00073000						
09/21/2021	1.00	99.93	09/21/2021	90.05	0.00	9.88	Sell to Close
CALL MRK 10/15/21 82.50	MERCK & CO INC   CUSIP:   Symbol(Box 1a): MRK211015C00082500						
10/01/2021	2.00	399.90	Various	335.08	0.00	64.82	Sell to Close
10/04/2021	2.00	519.90	10/01/2021	336.08	0.00	183.82	Sell to Close
10/11/2021	3.00	80.85	Various	564.12	0.00	-483.27	Sell to Close
<b>Security Totals:</b>		<b>1,000.65</b>		<b>1,235.28</b>		<b>-234.63</b>	
CALL AMZN 11/19/21 3730	AMAZON.COM INC   CUSIP:   Symbol(Box 1a): AMZN211119C03730000						
11/18/2021	1.00	489.96	11/18/2021	275.02	0.00	214.94	Sell to Close
CALL AMD 08/06/21 100	ADVANCED MICRO DEVICES INC   CUSIP:   Symbol(Box 1a): AMD210806C00100000						
07/29/2021	1.00	295.93	07/29/2021	274.05	0.00	21.88	Sell to Close
07/29/2021	1.00	273.93	07/29/2021	262.05	0.00	11.88	Sell to Close
07/29/2021	1.00	259.93	07/29/2021	246.05	0.00	13.88	Sell to Close
<b>Security Totals:</b>		<b>829.79</b>		<b>782.15</b>		<b>47.64</b>	
CALL TSM 09/10/21 112	TAIWAN SEMICONDUCTOR MFG CO   CUSIP:   Symbol(Box 1a): TSM210910C00112000						
08/23/2021	2.00	309.87	Various	414.10	0.00	-104.23	Sell to Close
CALL ANY 09/17/21 7	SPHERE 3D CORPORATION   CUSIP:   Symbol(Box 1a): ANY210917C00007000						
09/08/2021	1.00	109.93	09/08/2021	90.05	0.00	19.88	Sell to Close
CALL AEO 11/19/21 27	AMERICAN EAGLE OUTFITTERS INC   CUSIP:   Symbol(Box 1a): AEO211119C00027000						
09/23/2021	1.00	199.93	09/08/2021	180.05	0.00	19.88	Sell to Close

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APEX CLEARING

Proceeds from Broker and Barter Exchange Transactions

2021 Form 1099-B\*

5NB95646

(continued)

01/31/2022

OMB No. 1545-0715

SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

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

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

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

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

Date Sold or Disposed (Box 1c)	Quantity	Proceeds (Box 1d)	Date Acquired (Box 1b)	Cost or Other Basis (Box 1e)	Accrued Market Discount (M)(Box 1f) & Wash Sale Loss Disallowed (D)(Box 1g)	Gain or Loss(-)	Additional Notes
CALL CZR 07/16/21	100	CAESARS ENTERTAINMENT INC   CUSIP:   Symbol(Box 1a): CZR210716C00100000					
07/12/2021	1.00	142.93	07/12/2021	142.05	0.00	0.88	Sell to Close
CALL AFRM 10/29/21	170	AFFIRM HOLDINGS INC CL A   CUSIP:   Symbol(Box 1a): AFRM211029C00170000					
10/26/2021	1.00	163.94	10/26/2021	165.04	0.00	-1.10	Sell to Close
CALL BYND 10/15/21	120	BEYOND MEAT INC   CUSIP:   Symbol(Box 1a): BYND211015C00120000					
10/06/2021	1.00	15.94	09/27/2021	170.05	0.00	-154.11	Sell to Close
CALL SDC 09/17/21	6	SMILEDIRECTCLUB INC CL A   CUSIP:   Symbol(Box 1a): SDC210917C00006000					
08/27/2021	4.00	115.77	08/27/2021	96.21	0.00	19.56	Sell to Close
CALL ASAN 10/15/21	130	ASANA INC CL A   CUSIP:   Symbol(Box 1a): ASAN211015C00130000					
09/23/2021	1.00	419.93	09/23/2021	370.05	0.00	49.88	Sell to Close
09/24/2021	2.00	755.88	Various	730.10	22.11 D	47.89	Sell to Close
09/27/2021	1.00	284.93	09/27/2021	287.16	0.00	-2.23	Sell to Close
<b>Security Totals:</b>		<b>1,460.74</b>		<b>1,387.31</b>		<b>95.54</b>	
CALL COST 12/17/21	560	COSTCO WHOLESALE CORPORATION   CUSIP:   Symbol(Box 1a): COST211217C00560000					
12/10/2021	1.00	158.96	12/07/2021	450.02	0.00	-291.06	Sell to Close
CALL ROKU 08/13/21	400	ROKU INC   CUSIP:   Symbol(Box 1a): ROKU210813C00400000					
08/05/2021	1.00	1,259.93	08/05/2021	1,270.05	0.00	-10.12	Sell to Close
CALL X 08/20/21	25	UNITED STATES STL CORP NEW   CUSIP:   Symbol(Box 1a): X210820C00025000					
07/19/2021	2.00	99.87	Various	278.10	0.00	-178.23	Sell to Close
CALL MELI 12/10/21	1280	MERCADOLIBRE INC   CUSIP:   Symbol(Box 1a): MELI211210C01280000					
12/09/2021	1.00	34.96	12/07/2021	530.02	0.00	-495.06	Sell to Close
PUT SPY 12/08/21	468	STANDARD & POORS DEPOSITORY   CUSIP:   Symbol(Box 1a): SPY211208P00468000					
12/07/2021	1.00	167.96	12/07/2021	188.02	0.00	-20.06	Sell to Close

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APEX CLEARING

## Proceeds from Broker and Barter Exchange Transactions

2021 Form 1099-B\*

5NB95646

(continued)

01/31/2022

OMB No. 1545-0715

## SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

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

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

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

Date Sold or Disposed (Box 1c)	Quantity	Proceeds (Box 1d)	Date Acquired (Box 1b)	Cost or Other Basis (Box 1e)	Accrued Market Discount (M)(Box 1f) & Wash Sale Loss Disallowed (D)(Box 1g)	Gain or Loss(-)	Additional Notes
CALL GME 11/19/21 225 GAMESTOP CORP   CUSIP:   Symbol(Box 1a): GME211119C00225000							
11/16/2021	1.00	299.96	11/15/2021	256.02	0.00	43.94	Sell to Close
CALL TSLA 11/05/21 1200 TESLA INC   CUSIP:   Symbol(Box 1a): TSLA211105C01200000							
11/01/2021	1.00	2,104.93	11/01/2021	1,695.04	0.00	409.89	Sell to Close
11/01/2021	1.00	2,354.93	11/01/2021	2,110.04	0.00	244.89	Sell to Close
11/01/2021	1.00	2,225.93	11/01/2021	2,060.04	0.00	165.89	Sell to Close
11/01/2021	1.00	2,632.93	11/01/2021	2,885.04	252.11 D	0.00	Sell to Close
11/03/2021	1.00	2,639.93	11/03/2021	2,540.04	0.00	99.89	Sell to Close
11/03/2021	1.00	2,474.93	11/03/2021	2,575.04	0.00	-100.11	Sell to Close
11/03/2021	2.00	3,599.89	Various	4,382.19	882.2 D	99.90	Sell to Close
11/03/2021	1.00	2,539.93	11/03/2021	2,187.24	0.00	352.69	Sell to Close
<b>Security Totals:</b>		<b>20,573.40</b>		<b>20,434.67</b>		<b>1,273.04</b>	
PUT AMZN 12/03/21 3600 AMAZON.COM INC   CUSIP:   Symbol(Box 1a): AMZN211203P03600000							
11/22/2021	1.00	6,999.93	11/22/2021	6,585.02	0.00	414.91	Sell to Close
CALL AMC 12/17/21 50 AMC ENTERTAINMENT HOLDINGS INC   CUSIP:   Symbol(Box 1a): AMC211217C00050000							
11/24/2021	1.00	161.96	11/16/2021	370.02	0.00	-208.06	Sell to Close
CALL TDUP 10/15/21 20 THREDUP INC CLASS A   CUSIP:   Symbol(Box 1a): TDUP211015C00020000							
09/29/2021	1.00	164.93	09/23/2021	160.05	0.00	4.88	Sell to Close
CALL AFRM 10/22/21 142 AFFIRM HOLDINGS INC CL A   CUSIP:   Symbol(Box 1a): AFRM211022C00142000							
10/11/2021	1.00	999.94	10/11/2021	900.04	0.00	99.90	Sell to Close

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APEX CLEARING

## Proceeds from Broker and Barter Exchange Transactions

2021 Form 1099-B\*

5NB95646

(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.

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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 AFRM 10/22/21 142			AFFIRM HOLDINGS INC CL A   CUSIP:   Symbol(Box 1a): AFRM211022C00142000				
10/12/2021	1.00	749.94	10/12/2021	830.14	0.00	-80.20	Sell to Close
10/12/2021	1.00	739.94	10/11/2021	990.04	250.1 D	0.00	Sell to Close
<b>Security Totals:</b>		<b>2,489.82</b>		<b>2,720.22</b>		<b>19.70</b>	
CALL INTC 07/23/21 60			INTEL CORP   CUSIP:   Symbol(Box 1a): INTC210723C00060000				
07/22/2021	1.00	28.93	07/21/2021	30.05	0.00	-1.12	Sell to Close
CALL NVDA 11/05/21 310			NVIDIA CORPORATION   CUSIP:   Symbol(Box 1a): NVDA211105C00310000				
11/05/2021	2.00	919.90	Various	726.08	0.00	193.82	Sell to Close
CALL C 11/19/21 72			CITIGROUP INC   CUSIP:   Symbol(Box 1a): C211119C00072000				
11/03/2021	1.00	53.94	11/02/2021	43.04	0.00	10.90	Sell to Close
CALL AFRM 11/19/21 180			AFFIRM HOLDINGS INC CL A   CUSIP:   Symbol(Box 1a): AFRM211119C00180000				
11/11/2021	1.00	299.96	11/11/2021	220.02	0.00	79.94	Sell to Close
11/15/2021	1.00	49.96	11/11/2021	205.02	0.00	-155.06	Sell to Close
<b>Security Totals:</b>		<b>349.92</b>		<b>425.04</b>		<b>-75.12</b>	
PUT OPEN 11/12/21 17			OPENDOOR TECHNOLOGIES INC   CUSIP:   Symbol(Box 1a): OPEN211112P00017000				
11/11/2021	1.00	4.96	11/10/2021	85.04	0.00	-80.08	Sell to Close
CALL FUBO 09/17/21 28			FUBOTV INC   CUSIP:   Symbol(Box 1a): FUBO210917C00028000				
08/31/2021	1.00	209.93	08/31/2021	180.05	0.00	29.88	Sell to Close
CALL FB 12/17/21 340			META PLATFORMS INC CL A   CUSIP:   Symbol(Box 1a): FB211217C00340000				
12/13/2021	1.00	412.96	12/13/2021	400.02	0.00	12.94	Sell to Close
CALL PLUG 11/12/21 43			PLUG POWER INC   CUSIP:   Symbol(Box 1a): PLUG211112C00043000				
11/09/2021	1.00	196.94	11/08/2021	145.04	0.00	51.90	Sell to Close

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APEX CLEARING

Proceeds from Broker and Barter Exchange Transactions

2021 Form 1099-B\*

5NB95646

(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.

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

Date Sold or Disposed (Box 1c)	Quantity	Proceeds (Box 1d)	Date Acquired (Box 1b)	Cost or Other Basis (Box 1e)	Accrued Market Discount (M)(Box 1f) & Wash Sale Loss Disallowed (D)(Box 1g)	Gain or Loss(-)	Additional Notes
CALL SOFI 08/20/21 20 SOFI TECHNOLOGIES INC   CUSIP:   Symbol(Box 1a): SOFI210820C00020000							
08/13/2021	1.00	3.93	08/12/2021	37.05	0.00	-33.12	Sell to Close
PUT BA 09/03/21 215 BOEING CO   CUSIP:   Symbol(Box 1a): BA210903P00215000							
08/30/2021	1.00	144.93	08/27/2021	230.05	0.00	-85.12	Sell to Close
CALL COST 11/12/21 500 COSTCO WHOLESALE CORPORATION   CUSIP:   Symbol(Box 1a): COST211112C00500000							
11/01/2021	1.00	269.94	11/01/2021	229.04	0.00	40.90	Sell to Close
11/02/2021	1.00	386.94	11/02/2021	340.04	0.00	46.90	Sell to Close
<b>Security Totals:</b>		<b>656.88</b>		<b>569.08</b>		<b>87.80</b>	
PUT MRNA 12/31/21 250 MODERNA INC   CUSIP:   Symbol(Box 1a): MRNA211231P00250000							
12/22/2021	1.00	839.96	12/22/2021	750.02	0.00	89.94	Sell to Close
CALL SDC 11/12/21 6 SMILEDIRECTCLUB INC CL A   CUSIP:   Symbol(Box 1a): SDC211112C00006000							
11/08/2021	3.00	101.86	11/05/2021	90.12	0.00	11.74	Sell to Close
CALL TSLA 11/26/21 1110 TESLA INC   CUSIP:   Symbol(Box 1a): TSLA211126C01110000							
11/19/2021	1.00	3,844.95	11/19/2021	3,280.02	0.00	564.93	Sell to Close
11/19/2021	1.00	3,859.95	11/19/2021	3,710.02	0.00	149.93	Sell to Close
<b>Security Totals:</b>		<b>7,704.90</b>		<b>6,990.04</b>		<b>714.86</b>	
CALL SBUX 11/19/21 115 STARBUCKS CORPORATION   CUSIP:   Symbol(Box 1a): SBUX211119C00115000							
10/20/2021	1.00	239.94	10/19/2021	204.04	0.00	35.90	Sell to Close
CALL ROKU 11/19/21 280 ROKU INC   CUSIP:   Symbol(Box 1a): ROKU211119C00280000							
11/15/2021	1.00	584.96	11/12/2021	435.02	0.00	149.94	Sell to Close
11/17/2021	1.00	51.96	11/15/2021	500.02	0.00	-448.06	Sell to Close
<b>Security Totals:</b>		<b>636.92</b>		<b>935.04</b>		<b>-298.12</b>	

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APEX CLEARING

Proceeds from Broker and Barter Exchange Transactions

2021 Form 1099-B\*

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(continued)

01/31/2022

OMB No. 1545-0715

SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

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

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

Box 5: Box Not Checked (Covered Security)

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

Box 12: Basis Reported to the IRS

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

Date Sold or Disposed (Box 1c)	Quantity	Proceeds (Box 1d)	Date Acquired (Box 1b)	Cost or Other Basis (Box 1e)	Accrued Market Discount (M)(Box 1f) & Wash Sale Loss Disallowed (D)(Box 1g)	Gain or Loss(-)	Additional Notes
CALL DIS 08/13/21 180 WALT DISNEY CO   CUSIP:   Symbol(Box 1a): DIS210813C00180000							
08/13/2021	1.00	649.93	08/11/2021	213.05	0.00	436.88	Sell to Close
CALL CMCSA 08/20/21 60 COMCAST CORPORATION CLASS A   CUSIP:   Symbol(Box 1a): CMCSA210820C00060000							
08/11/2021	2.00	53.87	07/08/2021	220.11	0.00	-166.24	Sell to Close
WILHELMINA INTERNATIONAL INC COM NEW   CUSIP: 968235200   Symbol(Box 1a): WHLM							
08/03/2021	10.00	61.98	08/02/2021	62.00	0.00	-0.02	Sale
CALL COUP 12/17/21 225 COUPA SOFTWARE INCORPORATED   CUSIP:   Symbol(Box 1a): COUP211217C00225000							
12/07/2021	1.00	16.96	12/06/2021	130.02	0.00	-113.06	Sell to Close
CALL QQQ 12/31/21 395 INVESCO QQQ TRUST SERIES 1   CUSIP:   Symbol(Box 1a): QQQ211231C00395000							
12/17/2021	1.00	401.96	12/17/2021	375.02	0.00	26.94	Sell to Close
CALL GOOGL 12/23/21 2930 ALPHABET INC CLASS A   CUSIP:   Symbol(Box 1a): GOOGL211223C02930000							
12/22/2021	1.00	699.96	12/22/2021	600.02	0.00	99.94	Sell to Close
12/22/2021	1.00	649.96	12/22/2021	630.08	0.00	19.88	Sell to Close
12/22/2021	1.00	389.96	12/22/2021	540.02	150.06 D	0.00	Sell to Close
12/22/2021	1.00	601.96	12/22/2021	490.02	0.00	111.94	Sell to Close
<b>Security Totals:</b>		<b>2,341.84</b>		<b>2,260.14</b>		<b>231.76</b>	
CALL BA 09/17/21 215 BOEING CO   CUSIP:   Symbol(Box 1a): BA210917C00215000							
09/15/2021	1.00	104.93	09/15/2021	120.05	0.00	-15.12	Sell to Close
CALL UNH 09/17/21 430 UNITEDHEALTH GROUP INC   CUSIP:   Symbol(Box 1a): UNH210917C00430000							
09/02/2021	1.00	215.93	08/25/2021	340.05	0.00	-124.12	Sell to Close

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APEX CLEARING

## Proceeds from Broker and Barter Exchange Transactions

2021 Form 1099-B\*

5NB95646

(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 RBLX 09/17/21 90 ROBLOX CORPORATION   CUSIP:   Symbol(Box 1a): RBLX210917C00090000							
08/11/2021	1.00	589.93	08/10/2021	550.05	0.00	39.88	Sell to Close
08/17/2021	1.00	103.93	08/11/2021	550.05	446.12 D	0.00	Sell to Close
08/24/2021	1.00	359.93	08/23/2021	750.17	0.00	-390.24	Sell to Close
<b>Security Totals:</b>		<b>1,053.79</b>		<b>1,850.27</b>		<b>-350.36</b>	
PUT AMZN 11/26/21 3500 AMAZON.COM INC   CUSIP:   Symbol(Box 1a): AMZN211126P03500000							
11/23/2021	1.00	1,599.96	11/23/2021	1,300.02	0.00	299.94	Sell to Close
11/23/2021	1.00	1,584.96	11/23/2021	1,525.07	0.00	59.89	Sell to Close
11/23/2021	1.00	1,404.96	11/23/2021	1,300.02	0.00	104.94	Sell to Close
11/23/2021	1.00	1,899.96	11/23/2021	1,685.02	0.00	214.94	Sell to Close
11/23/2021	2.00	3,299.93	Various	3,180.04	50.05 D	169.94	Sell to Close
<b>Security Totals:</b>		<b>9,789.77</b>		<b>8,990.17</b>		<b>849.65</b>	
CALL VXRT 10/15/21 9 VAXART INC   CUSIP:   Symbol(Box 1a): VXRT211015C00009000							
10/06/2021	2.00	9.90	09/22/2021	66.10	0.00	-56.20	Sell to Close
PUT BIDU 12/03/21 144 Baidu INC   CUSIP:   Symbol(Box 1a): BIDU211203P00144000							
12/03/2021	1.00	299.96	12/02/2021	135.02	0.00	164.94	Sell to Close
CALL M 11/19/21 31 MACYS INC   CUSIP:   Symbol(Box 1a): M211119C00031000							
11/16/2021	1.00	194.96	11/11/2021	178.02	0.00	16.94	Sell to Close
CALL AFRM 10/15/21 155 AFFIRM HOLDINGS INC CL A   CUSIP:   Symbol(Box 1a): AFRM211015C00155000							
10/14/2021	1.00	329.94	10/14/2021	265.04	0.00	64.90	Sell to Close

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APEX CLEARING

## Proceeds from Broker and Barter Exchange Transactions

2021 Form 1099-B\*

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(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 12/17/21	600	COSTCO WHOLESALE CORPORATION   CUSIP:   Symbol(Box 1a): COST211217C00600000					
12/10/2021	1.00	26.96	12/06/2021	84.02	0.00	-57.06	Sell to Close
CALL MRNA 12/17/21	400	MODERNA INC   CUSIP:   Symbol(Box 1a): MRNA211217C00400000					
12/02/2021	1.00	249.96	12/01/2021	295.02	0.00	-45.06	Sell to Close
CALL NFLX 10/22/21	750	NETFLIX INC   CUSIP:   Symbol(Box 1a): NFLX211022C00750000					
10/20/2021	1.00	3.94	10/19/2021	70.04	0.00	-66.10	Sell to Close
CALL NFLX 11/19/21	665	NETFLIX INC   CUSIP:   Symbol(Box 1a): NFLX211119C00665000					
11/12/2021	1.00	1,529.96	11/11/2021	950.02	0.00	579.94	Sell to Close
CALL PLAY 12/10/21	36	DAVE & BUSTERS ENTERTAINMENT   CUSIP:   Symbol(Box 1a): PLAY211210C00036000					
12/08/2021	1.00	49.96	12/07/2021	130.02	0.00	-80.06	Sell to Close
CALL NVDA 10/22/21	220	NVIDIA CORPORATION   CUSIP:   Symbol(Box 1a): NVDA211022C00220000					
10/15/2021	1.00	299.94	10/14/2021	206.04	0.00	93.90	Sell to Close
10/18/2021	1.00	302.94	10/15/2021	231.04	0.00	71.90	Sell to Close
10/21/2021	1.00	319.94	10/20/2021	265.04	0.00	54.90	Sell to Close
<b>Security Totals:</b>		<b>922.82</b>		<b>702.12</b>		<b>220.70</b>	
CALL NVDA 10/22/21	215	NVIDIA CORPORATION   CUSIP:   Symbol(Box 1a): NVDA211022C00215000					
10/06/2021	1.00	295.94	10/06/2021	330.13	0.00	-34.19	Sell to Close
10/06/2021	2.00	599.90	Various	597.08	45.09 D	47.91	Sell to Close
<b>Security Totals:</b>		<b>895.84</b>		<b>927.21</b>		<b>13.72</b>	
CALL GEVO 10/15/21	7.50	GEVO INC   CUSIP:   Symbol(Box 1a): GEVO211015C00007500					
09/23/2021	2.00	79.88	Various	140.10	0.00	-60.22	Sell to Close
CALL APPS 09/03/21	60	DIGITAL TURBINE INC   CUSIP:   Symbol(Box 1a): APPS210903C00060000					
08/31/2021	1.00	209.93	08/31/2021	175.05	0.00	34.88	Sell to Close

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APEX CLEARING

## Proceeds from Broker and Barter Exchange Transactions

2021 Form 1099-B\*

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(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 PTON 08/20/21 110 PELOTON INTERACTIVE INC CL A   CUSIP:   Symbol(Box 1a): PTON210820C00110000							
07/19/2021	1.00	969.93	07/16/2021	700.05	0.00	269.88	Sell to Close
CALL BA 01/21/22 250 BOEING CO   CUSIP:   Symbol(Box 1a): BA220121C00250000							
11/15/2021	2.00	1,419.94	Various	1,155.04	0.00	264.90	Sell to Close
CALL ATVI 01/21/22 70 ACTIVISION BLIZZARD INC   CUSIP:   Symbol(Box 1a): ATVI220121C00070000							
11/24/2021	1.00	103.96	11/16/2021	220.02	0.00	-116.06	Sell to Close
PUT TSLA 12/23/21 880 TESLA INC   CUSIP:   Symbol(Box 1a): TSLA211223P00880000							
12/20/2021	1.00	1,229.96	12/20/2021	1,630.02	0.00	-400.06	Sell to Close
CALL FUBO 11/05/21 35 FUBOTV INC   CUSIP:   Symbol(Box 1a): FUBO211105C00035000							
11/02/2021	1.00	64.94	11/01/2021	50.04	0.00	14.90	Sell to Close
CALL AMD 09/03/21 108 ADVANCED MICRO DEVICES INC   CUSIP:   Symbol(Box 1a): AMD210903C00108000							
08/26/2021	1.00	253.93	08/26/2021	241.05	0.00	12.88	Sell to Close
PUT UPST 12/17/21 140 UPSTART HOLDINGS INC   CUSIP:   Symbol(Box 1a): UPST211217P00140000							
12/13/2021	1.00	349.96	12/13/2021	349.02	0.00	0.94	Sell to Close
CALL CAN 01/21/22 10 CANAAN INC SPONSORED ADR   CUSIP:   Symbol(Box 1a): CAN220121C00010000							
10/21/2021	4.00	555.81	Various	562.19	99.2 D	92.82	Sell to Close
10/28/2021	2.00	357.90	Various	397.28	66.19 D	26.81	Sell to Close
11/04/2021	2.00	409.90	Various	404.27	0.00	5.63	Sell to Close
<b>Security Totals:</b>		<b>1,323.61</b>		<b>1,363.74</b>		<b>125.26</b>	
CALL TSLA 12/10/21 1140 TESLA INC   CUSIP:   Symbol(Box 1a): TSLA211210C01140000							
11/29/2021	1.00	5,129.94	11/29/2021	5,400.02	0.00	-270.08	Sell to Close
CALL ZM 09/03/21 400 ZOOM VIDEO COMMUNICATIONS INC   CUSIP:   Symbol(Box 1a): ZM210903C00400000							
09/03/2021	1.00	0.00	08/27/2021	200.05	0.00	-200.05	Expiration

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## Proceeds from Broker and Barter Exchange Transactions

2021 Form 1099-B\*

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(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	1.00	49.93	09/13/2021	155.17	0.00	-105.24	Sell to Close
09/13/2021	1.00	49.93	09/10/2021	160.05	110.12 D	0.00	Sell to Close
<b>Security Totals:</b>		<b>99.86</b>		<b>315.22</b>		<b>-105.24</b>	
CALL MRNA 12/17/21	300	MODERNA INC   CUSIP:   Symbol(Box 1a): MRNA211217C00300000					
12/14/2021	1.00	179.96	12/13/2021	320.02	0.00	-140.06	Sell to Close
CALL PINS 11/19/21	50	PINTEREST INC CLASS A   CUSIP:   Symbol(Box 1a): PINS211119C00050000					
11/17/2021	1.00	41.96	11/16/2021	57.02	0.00	-15.06	Sell to Close
CALL CLOV 01/20/23	10	CLOVER HEALTH INVESTMENTS CORP   CUSIP:   Symbol(Box 1a): CLOV230120C00010000					
11/24/2021	1.00	135.96	10/22/2021	260.04	0.00	-124.08	Sell to Close
CALL F 11/12/21	21	FORD MOTOR COMPANY   CUSIP:   Symbol(Box 1a): F211112C00021000					
11/11/2021	1.00	4.96	11/08/2021	53.04	0.00	-48.08	Sell to Close
CALL TSLA 12/17/21	1100	TESLA INC   CUSIP:   Symbol(Box 1a): TSLA211217C01100000					
12/07/2021	1.00	2,359.95	12/07/2021	2,740.02	0.00	-380.07	Sell to Close
CALL CHWY 11/05/21	80	CHEWY INC CLASS A   CUSIP:   Symbol(Box 1a): CHWY211105C00080000					
11/04/2021	1.00	99.94	11/04/2021	67.04	0.00	32.90	Sell to Close
CALL QCOM 07/30/21	142	QUALCOMM INC   CUSIP:   Symbol(Box 1a): QCOM210730C00142000					
07/09/2021	1.00	354.93	07/09/2021	330.05	0.00	24.88	Sell to Close
CALL QCOM 01/21/22	170	QUALCOMM INC   CUSIP:   Symbol(Box 1a): QCOM220121C00170000					
07/29/2021	1.00	419.93	07/14/2021	400.05	0.00	19.88	Sell to Close
CALL V 09/17/21	275	VISA INC   CUSIP:   Symbol(Box 1a): V210917C00275000					
08/23/2021	2.00	9.87	Various	135.10	0.00	-125.23	Sell to Close

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APEX CLEARING

## Proceeds from Broker and Barter Exchange Transactions

2021 Form 1099-B\*

5NB95646

(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.

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<b>CALL TSLA 12/23/21 930 TESLA INC   CUSIP:   Symbol(Box 1a): TSLA211223C00930000</b>							
12/20/2021	1.00	1,454.96	12/20/2021	1,725.02	0.00	-270.06	Sell to Close
12/20/2021	1.00	1,848.96	12/20/2021	1,575.02	0.00	273.94	Sell to Close
<b>Security Totals:</b>		<b>3,303.92</b>		<b>3,300.04</b>		<b>3.88</b>	
<b>CALL ANY 03/18/22 20 SPHERE 3D CORP   CUSIP:   Symbol(Box 1a): ANY220318C00020000</b>							
11/24/2021	2.00	49.94	Various	92.08	0.00	-42.14	Sell to Close
<b>CALL PTON 09/10/21 105 PELOTON INTERACTIVE INC CL A   CUSIP:   Symbol(Box 1a): PTON210910C00105000</b>							
09/02/2021	1.00	159.93	09/02/2021	148.05	0.00	11.88	Sell to Close
<b>PUT SPY 11/10/21 455 STANDARD &amp; POORS DEPOSITORY   CUSIP:   Symbol(Box 1a): SPY211110P00455000</b>							
11/09/2021	1.00	6.94	11/02/2021	155.04	0.00	-148.10	Sell to Close
<b>CALL AMD 11/26/21 155 ADVANCED MICRO DEVICES INC   CUSIP:   Symbol(Box 1a): AMD211126C00155000</b>							
11/16/2021	1.00	309.96	11/16/2021	189.02	0.00	120.94	Sell to Close
<b>CALL TSLA 11/19/21 1055 TESLA INC   CUSIP:   Symbol(Box 1a): TSLA211119C01055000</b>							
11/16/2021	1.00	1,928.96	11/16/2021	1,800.02	0.00	128.94	Sell to Close
11/16/2021	1.00	2,129.95	11/16/2021	1,962.02	0.00	167.93	Sell to Close
11/16/2021	1.00	1,965.95	11/16/2021	1,800.02	0.00	165.93	Sell to Close
<b>Security Totals:</b>		<b>6,024.86</b>		<b>5,562.06</b>		<b>462.80</b>	
<b>CALL JD 01/20/23 100 JD.COM INC   CUSIP:   Symbol(Box 1a): JD230120C00100000</b>							
10/05/2021	2.00	1,319.90	Various	1,325.09	0.00	-5.19	Sell to Close
<b>PUT MRNA 12/03/21 320 MODERNA INC   CUSIP:   Symbol(Box 1a): MRNA211203P00320000</b>							
11/30/2021	1.00	654.96	11/30/2021	610.02	0.00	44.94	Sell to Close
<b>CALL JD 01/20/23 105 JD.COM INC   CUSIP:   Symbol(Box 1a): JD230120C00105000</b>							
09/03/2021	1.00	929.93	09/03/2021	940.05	0.00	-10.12	Sell to Close

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APEX CLEARING

Proceeds from Broker and Barter Exchange Transactions

2021 Form 1099-B\*

5NB95646

(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 XOM 08/20/21 58.50 EXXON MOBIL CORP   CUSIP:   Symbol(Box 1a): XOM210820C00058500							
07/29/2021	1.00	171.93	07/26/2021	172.05	0.00	-0.12	Sell to Close
PUT TSLA 12/23/21 900 TESLA INC   CUSIP:   Symbol(Box 1a): TSLA211223P00900000							
12/14/2021	1.00	2,699.95	12/14/2021	2,324.02	0.00	375.93	Sell to Close
12/14/2021	1.00	2,064.95	12/14/2021	1,900.02	0.00	164.93	Sell to Close
12/15/2021	1.00	2,359.95	12/15/2021	2,305.02	0.00	54.93	Sell to Close
<b>Security Totals:</b>		<b>7,124.85</b>		<b>6,529.06</b>		<b>595.79</b>	
PUT MRNA 09/17/21 400 MODERNA INC   CUSIP:   Symbol(Box 1a): MRNA210917P00400000							
09/13/2021	1.00	669.93	09/13/2021	530.05	0.00	139.88	Sell to Close
CALL PTON 07/30/21 115 PELOTON INTERACTIVE INC CL A   CUSIP:   Symbol(Box 1a): PTON210730C00115000							
07/12/2021	1.00	649.93	07/12/2021	575.05	0.00	74.88	Sell to Close
CALL RUN 11/19/21 50 SUNRUN INC   CUSIP:   Symbol(Box 1a): RUN211119C00050000							
09/08/2021	2.00	819.88	Various	820.10	50.11 D	49.89	Sell to Close
09/10/2021	1.00	365.93	09/08/2021	400.16	34.23 D	0.00	Sell to Close
09/27/2021	1.00	269.93	09/14/2021	314.28	44.35 D	0.00	Sell to Close
10/01/2021	1.00	244.94	09/24/2021	249.40	0.00	-4.46	Sell to Close
<b>Security Totals:</b>		<b>1,700.68</b>		<b>1,783.94</b>		<b>45.43</b>	
CALL SPCE 07/23/21 32.50 VIRGIN GALACTIC HOLDINGS INC   CUSIP:   Symbol(Box 1a): SPCE210723C00032500							
07/16/2021	1.00	173.93	07/16/2021	226.05	0.00	-52.12	Sell to Close
CALL CHWY 01/21/22 70 CHEWY INC CLASS A   CUSIP:   Symbol(Box 1a): CHWY220121C00070000							
10/29/2021	1.00	894.94	10/22/2021	407.04	0.00	487.90	Sell to Close

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APEX CLEARING

Proceeds from Broker and Barter Exchange Transactions

2021 Form 1099-B\*

5NB95646

(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.

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

Date Sold or Disposed (Box 1c)	Quantity	Proceeds (Box 1d)	Date Acquired (Box 1b)	Cost or Other Basis (Box 1e)	Accrued Market Discount (M)(Box 1f) & Wash Sale Loss Disallowed (D)(Box 1g)	Gain or Loss(-)	Additional Notes
CALL UPS 12/17/21 220 UNITED PARCEL SVC INC   CUSIP:   Symbol(Box 1a): UPS211217C00220000							
08/18/2021	1.00	314.93	08/02/2021	252.05	0.00	62.88	Sell to Close
11/16/2021	1.00	234.96	11/15/2021	190.02	0.00	44.94	Sell to Close
<b>Security Totals:</b>		<b>549.89</b>		<b>442.07</b>		<b>107.82</b>	
CALL CVS 10/22/21 90 CVS HEALTH CORPORATION   CUSIP:   Symbol(Box 1a): CVS211022C00090000							
10/07/2021	1.00	6.94	09/07/2021	110.05	0.00	-103.11	Sell to Close
PUT TSLA 12/10/21 1050 TESLA INC   CUSIP:   Symbol(Box 1a): TSLA211210P01050000							
12/02/2021	1.00	3,834.95	12/02/2021	3,520.02	0.00	314.93	Sell to Close
12/03/2021	1.00	3,914.95	12/03/2021	3,907.09	0.00	7.86	Sell to Close
12/03/2021	1.00	3,909.95	12/03/2021	3,917.02	7.07 D	0.00	Sell to Close
<b>Security Totals:</b>		<b>11,659.85</b>		<b>11,344.13</b>		<b>322.79</b>	
CALL FUBO 07/16/21 30 FUBOTV INC   CUSIP:   Symbol(Box 1a): FUBO210716C00030000							
07/14/2021	1.00	8.93	07/13/2021	74.05	0.00	-65.12	Sell to Close
CALL AMZN 01/07/22 3630 AMAZON.COM INC   CUSIP:   Symbol(Box 1a): AMZN220107C03630000							
12/10/2021	2.00	8,699.90	Various	12,400.04	3700.14 D	0.00	Sell to Close
12/15/2021	1.00	1,859.96	12/15/2021	3,880.09	2020.13 D	0.00	Sell to Close
12/16/2021	2.00	4,699.92	Various	9,370.24	0.00	-4,670.32	Sell to Close
<b>Security Totals:</b>		<b>15,259.78</b>		<b>25,650.37</b>		<b>-4,670.32</b>	
CALL TTD 11/12/21 95 TRADE DESK INC CLASS A   CUSIP:   Symbol(Box 1a): TTD211112C00095000							
11/09/2021	1.00	399.94	11/09/2021	295.04	0.00	104.90	Sell to Close
11/09/2021	1.00	379.94	11/09/2021	290.04	0.00	89.90	Sell to Close
<b>Security Totals:</b>		<b>779.88</b>		<b>585.08</b>		<b>194.80</b>	

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APEX CLEARING

## Proceeds from Broker and Barter Exchange Transactions

2021 Form 1099-B\*

5NB95646

(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 SNAP 10/29/21	80	SNAP INC   CUSIP:   Symbol(Box 1a): SNAP211029C00080000					
10/20/2021	1.00	329.94	10/19/2021	324.04	0.00	5.90	Sell to Close
CALL BBIG 10/08/21	7	VINCO VENTURES INC   CUSIP:   Symbol(Box 1a): BBIG211008C00007000					
10/06/2021	1.00	3.94	09/30/2021	55.05	0.00	-51.11	Sell to Close
PUT WDAY 09/03/21	270	WORKDAY INC   CUSIP:   Symbol(Box 1a): WDAY210903P00270000					
08/27/2021	1.00	384.93	08/27/2021	385.05	0.00	-0.12	Sell to Close
PUT M 08/13/21	16	MACYS INC   CUSIP:   Symbol(Box 1a): M210813P00016000					
08/03/2021	4.00	71.77	08/03/2021	96.21	0.00	-24.44	Sell to Close
CALL TSLA 10/15/21	835	TESLA INC   CUSIP:   Symbol(Box 1a): TSLA211015C00835000					
10/15/2021	1.00	162.94	10/15/2021	160.04	0.00	2.90	Sell to Close
CALL UPST 11/12/21	300	UPSTART HOLDINGS INC   CUSIP:   Symbol(Box 1a): UPST211112C00300000					
11/10/2021	1.00	399.94	11/10/2021	292.04	0.00	107.90	Sell to Close
11/10/2021	1.00	349.94	11/10/2021	290.04	0.00	59.90	Sell to Close
11/10/2021	1.00	409.94	11/10/2021	290.04	0.00	119.90	Sell to Close
11/11/2021	1.00	34.96	11/10/2021	300.04	0.00	-265.08	Sell to Close
<b>Security Totals:</b>		<b>1,194.78</b>		<b>1,172.16</b>		<b>22.62</b>	
PUT MRNA 10/29/21	320	MODERNA INC   CUSIP:   Symbol(Box 1a): MRNA211029P00320000					
10/26/2021	2.00	189.90	Various	459.08	0.00	-269.18	Sell to Close
CALL MSFT 11/05/21	320	MICROSOFT CORP   CUSIP:   Symbol(Box 1a): MSFT211105C00320000					
10/27/2021	1.00	480.94	10/27/2021	360.04	0.00	120.90	Sell to Close
PUT UPS 08/20/21	180	UNITED PARCEL SVC INC   CUSIP:   Symbol(Box 1a): UPS210820P00180000					
07/30/2021	1.00	106.93	07/27/2021	160.05	0.00	-53.12	Sell to Close

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APEX CLEARING

Proceeds from Broker and Barter Exchange Transactions

2021 Form 1099-B\*

5NB95646

(continued)

01/31/2022

OMB No. 1545-0715

SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

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

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

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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 ORCL 11/19/21 92.50 ORACLE CORP   CUSIP:   Symbol(Box 1a): ORCL211119C00092500							
10/07/2021	3.00	824.85	Various	515.15	0.1 D	309.80	Sell to Close
10/08/2021	1.00	309.94	10/07/2021	261.14	0.00	48.80	Sell to Close
<b>Security Totals:</b>		<b>1,134.79</b>		<b>776.29</b>		<b>358.60</b>	
CALL TTD 09/10/21 90 TRADE DESK INC CLASS A   CUSIP:   Symbol(Box 1a): TTD210910C00090000							
08/10/2021	1.00	449.93	08/04/2021	450.05	0.12 D	0.00	Sell to Close
08/23/2021	1.00	49.93	08/10/2021	350.17	0.00	-300.24	Sell to Close
<b>Security Totals:</b>		<b>499.86</b>		<b>800.22</b>		<b>-300.24</b>	
CALL TTD 11/05/21 75 TRADE DESK INC CLASS A   CUSIP:   Symbol(Box 1a): TTD211105C00075000							
10/13/2021	1.00	379.94	10/13/2021	340.04	0.00	39.90	Sell to Close
10/13/2021	1.00	339.94	10/12/2021	260.04	0.00	79.90	Sell to Close
<b>Security Totals:</b>		<b>719.88</b>		<b>600.08</b>		<b>119.80</b>	
CALL SQ 09/03/21 272.50 SQUARE INC   CUSIP:   Symbol(Box 1a): SQ210903C00272500							
09/02/2021	1.00	249.93	09/02/2021	217.05	0.00	32.88	Sell to Close
09/03/2021	1.00	12.93	09/02/2021	40.05	0.00	-27.12	Sell to Close
<b>Security Totals:</b>		<b>262.86</b>		<b>257.10</b>		<b>5.76</b>	
CALL AMC 11/12/21 50 AMC ENTERTAINMENT HOLDINGS INC   CUSIP:   Symbol(Box 1a): AMC211112C00050000							
11/11/2021	2.00	7.94	Various	221.08	0.00	-213.14	Sell to Close
CALL AFRM 10/15/21 135 AFFIRM HOLDINGS INC CL A   CUSIP:   Symbol(Box 1a): AFRM211015C00135000							
10/06/2021	1.00	559.94	10/06/2021	510.04	0.00	49.90	Sell to Close
10/06/2021	1.00	549.94	10/06/2021	500.04	0.00	49.90	Sell to Close

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Proceeds from Broker and Barter Exchange Transactions

2021 Form 1099-B\*

5NB95646

(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.

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

Date Sold or Disposed (Box 1c)	Quantity	Proceeds (Box 1d)	Date Acquired (Box 1b)	Cost or Other Basis (Box 1e)	Accrued Market Discount (M)(Box 1f) & Wash Sale Loss Disallowed (D)(Box 1g)	Gain or Loss(-)	Additional Notes
10/06/2021	1.00	549.94	10/06/2021	510.04	0.00	39.90	Sell to Close
<b>Security Totals:</b>		<b>1,659.82</b>		<b>1,520.12</b>		<b>139.70</b>	
PUT TSLA 12/23/21 980 TESLA INC   CUSIP:   Symbol(Box 1a): TSLA211223P00980000							
12/13/2021	1.00	3,819.95	12/13/2021	3,805.02	0.00	14.93	Sell to Close
CALL BA 10/01/21 225 BOEING CO   CUSIP:   Symbol(Box 1a): BA211001C00225000							
08/31/2021	1.00	549.93	08/30/2021	495.05	0.00	54.88	Sell to Close
09/01/2021	1.00	574.93	08/31/2021	475.05	0.00	99.88	Sell to Close
<b>Security Totals:</b>		<b>1,124.86</b>		<b>970.10</b>		<b>154.76</b>	
CALL SNOW 11/05/21 350 SNOWFLAKE INC CLASS A   CUSIP:   Symbol(Box 1a): SNOW211105C00350000							
10/28/2021	1.00	899.94	10/27/2021	815.04	0.00	84.90	Sell to Close
10/29/2021	1.00	808.94	10/28/2021	780.04	0.00	28.90	Sell to Close
<b>Security Totals:</b>		<b>1,708.88</b>		<b>1,595.08</b>		<b>113.80</b>	
CALL EA 09/10/21 140 ELECTRONIC ARTS INC   CUSIP:   Symbol(Box 1a): EA210910C00140000							
08/09/2021	1.00	239.93	08/05/2021	239.05	0.00	0.88	Sell to Close
PUT VLDR 08/20/21 7.50 VELODYNE LIDAR INC   CUSIP:   Symbol(Box 1a): VLDR210820P00007500							
07/23/2021	1.00	62.93	07/19/2021	45.05	0.00	17.88	Sell to Close
CALL SNOW 08/06/21 280 SNOWFLAKE INC CLASS A   CUSIP:   Symbol(Box 1a): SNOW210806C00280000							
07/08/2021	1.00	519.93	07/07/2021	360.05	0.00	159.88	Sell to Close
CALL NFLX 11/12/21 665 NETFLIX INC   CUSIP:   Symbol(Box 1a): NFLX211112C00665000							
11/09/2021	1.00	589.94	11/08/2021	560.04	0.00	29.90	Sell to Close
CALL GGPI 01/21/22 10 GORES GUGGENHEIM INC   CUSIP:   Symbol(Box 1a): GGPI220121C00010000							
11/12/2021	1.00	229.96	11/12/2021	185.02	0.00	44.94	Sell to Close

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APEX CLEARING

Proceeds from Broker and Barter Exchange Transactions

2021 Form 1099-B\*

5NB95646

(continued)

01/31/2022

OMB No. 1545-0715

SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

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

Date Sold or Disposed (Box 1c)	Quantity	Proceeds (Box 1d)	Date Acquired (Box 1b)	Cost or Other Basis (Box 1e)	Accrued Market Discount (M)(Box 1f) & Wash Sale Loss Disallowed (D)(Box 1g)	Gain or Loss(-)	Additional Notes
11/15/2021	1.00	529.96	11/12/2021	225.02	0.00	304.94	Sell to Close
<b>Security Totals:</b>		<b>759.92</b>		<b>410.04</b>		<b>349.88</b>	
CALL TSLA 12/23/21 970			TESLA INC   CUSIP:   Symbol(Box 1a): TSLA211223C00970000				
12/17/2021	1.00	1,279.96	12/17/2021	1,270.02	0.00	9.94	Sell to Close
CALL AMZN 11/05/21 3550			AMAZON.COM INC   CUSIP:   Symbol(Box 1a): AMZN211105C03550000				
11/04/2021	1.00	499.94	11/04/2021	350.04	0.00	149.90	Sell to Close
11/05/2021	1.00	1,059.94	11/05/2021	1,000.04	0.00	59.90	Sell to Close
11/05/2021	1.00	1,399.94	11/05/2021	1,205.04	0.00	194.90	Sell to Close
11/05/2021	1.00	859.94	11/05/2021	1,170.04	0.00	-310.10	Sell to Close
11/05/2021	1.00	719.94	11/05/2021	660.04	0.00	59.90	Sell to Close
<b>Security Totals:</b>		<b>4,539.70</b>		<b>4,385.20</b>		<b>154.50</b>	
CALL TSLA 12/23/21 960			TESLA INC   CUSIP:   Symbol(Box 1a): TSLA211223C00960000				
12/17/2021	2.00	3,539.93	Various	4,540.04	0.00	-1,000.11	Sell to Close
CALL PTON 10/01/21 87			PELOTON INTERACTIVE INC CL A   CUSIP:   Symbol(Box 1a): PTON211001C00087000				
09/30/2021	1.00	97.93	09/30/2021	94.05	0.00	3.88	Sell to Close
CALL PATH 11/19/21 60			UIPATH INC CLASS A   CUSIP:   Symbol(Box 1a): PATH211119C00060000				
11/15/2021	1.00	15.96	11/11/2021	120.02	0.00	-104.06	Sell to Close
CALL PAYX 01/21/22 120			PAYCHEX INC   CUSIP:   Symbol(Box 1a): PAYX220121C00120000				
10/22/2021	1.00	599.94	10/18/2021	430.04	0.00	169.90	Sell to Close
CALL LOVE 12/17/21 85			LOVESAC COMPANY   CUSIP:   Symbol(Box 1a): LOVE211217C00085000				
12/08/2021	2.00	79.94	Various	170.04	0.00	-90.10	Sell to Close

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APEX CLEARING

Proceeds from Broker and Barter Exchange Transactions

2021 Form 1099-B\*

5NB95646

(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 11/05/21 260 NVIDIA CORPORATION   CUSIP:   Symbol(Box 1a): NVDA211105C00260000							
11/02/2021	1.00	439.94	11/02/2021	380.04	0.00	59.90	Sell to Close
11/02/2021	1.00	405.94	11/02/2021	376.04	0.00	29.90	Sell to Close
11/02/2021	1.00	469.94	11/02/2021	399.04	0.00	70.90	Sell to Close
11/02/2021	1.00	457.94	11/02/2021	392.04	0.00	65.90	Sell to Close
11/02/2021	1.00	459.94	11/02/2021	380.04	0.00	79.90	Sell to Close
11/02/2021	1.00	403.94	11/02/2021	390.04	0.00	13.90	Sell to Close
<b>Security Totals:</b>		<b>2,637.64</b>		<b>2,317.24</b>		<b>320.40</b>	
CALL NVDA 11/05/21 265 NVIDIA CORPORATION   CUSIP:   Symbol(Box 1a): NVDA211105C00265000							
11/03/2021	1.00	364.94	11/03/2021	335.04	0.00	29.90	Sell to Close
CALL SHOP 11/19/21 1800 SHOPIFY INC   CUSIP:   Symbol(Box 1a): SHOP211119C01800000							
11/19/2021	1.00	259.96	11/19/2021	235.02	0.00	24.94	Sell to Close
11/19/2021	1.00	119.96	11/19/2021	151.02	0.00	-31.06	Sell to Close
<b>Security Totals:</b>		<b>379.92</b>		<b>386.04</b>		<b>-6.12</b>	
CALL BA 10/01/21 227.50 BOEING CO   CUSIP:   Symbol(Box 1a): BA211001C00227500							
09/29/2021	1.00	185.93	09/29/2021	237.05	0.00	-51.12	Sell to Close
CALL BITO 12/17/21 45 PROSHARES BITCOIN STRATEGY ETF   CUSIP:   Symbol(Box 1a): BITO211217C00045000							
11/24/2021	1.00	66.96	11/17/2021	183.02	0.00	-116.06	Sell to Close
CALL JMIA 10/15/21 23 JUMIA TECHNOLOGIES AG   CUSIP:   Symbol(Box 1a): JMIA211015C00023000							
09/27/2021	1.00	50.93	09/01/2021	190.05	0.00	-139.12	Sell to Close

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**SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS**

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

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

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

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

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

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

Date Sold or Disposed (Box 1c)	Quantity	Proceeds (Box 1d)	Date Acquired (Box 1b)	Cost or Other Basis (Box 1e)	Accrued Market Discount (M)(Box 1f) & Wash Sale Loss Disallowed (D)(Box 1g)	Gain or Loss(-)	Additional Notes
PUT AMZN 12/03/21 3400 AMAZON.COM INC   CUSIP:   Symbol(Box 1a): AMZN211203P03400000							
12/02/2021	1.00	1,699.96	12/02/2021	1,450.02	0.00	249.94	Sell to Close
12/03/2021	1.00	1,374.96	12/02/2021	1,900.02	0.00	-525.06	Sell to Close
<b>Security Totals:</b>		<b>3,074.92</b>		<b>3,350.04</b>		<b>-275.12</b>	
CALL AMZN 12/17/21 3410 AMAZON.COM INC   CUSIP:   Symbol(Box 1a): AMZN211217C03410000							
12/17/2021	1.00	999.96	12/17/2021	910.02	0.00	89.94	Sell to Close
12/17/2021	1.00	1,224.96	12/17/2021	1,200.02	0.00	24.94	Sell to Close
12/17/2021	1.00	649.96	12/17/2021	620.02	0.00	29.94	Sell to Close
<b>Security Totals:</b>		<b>2,874.88</b>		<b>2,730.06</b>		<b>144.82</b>	
CALL UAL 01/21/22 55 UNITED AIRLINES HOLDINGS INC   CUSIP:   Symbol(Box 1a): UAL220121C00055000							
11/05/2021	1.00	289.94	11/03/2021	153.04	0.00	136.90	Sell to Close
CALL TSLA 12/23/21 1000 TESLA INC   CUSIP:   Symbol(Box 1a): TSLA211223C01000000							
12/21/2021	1.00	160.96	12/20/2021	143.02	0.00	17.94	Sell to Close
CALL AFRM 10/22/21 160 AFFIRM HOLDINGS INC CL A   CUSIP:   Symbol(Box 1a): AFRM211022C00160000							
10/19/2021	1.00	549.94	10/19/2021	532.04	0.00	17.90	Sell to Close
CALL DDD 10/15/21 32 3 D SYSTEMS CORP DEL   CUSIP:   Symbol(Box 1a): DDD211015C00032000							
10/15/2021	1.00	0.00	09/16/2021	170.05	0.00	-170.05	Expiration
CALL MILE 09/17/21 5 METROMILE INC   CUSIP:   Symbol(Box 1a): MILE210917C00005000							
09/17/2021	2.00	0.00	Various	98.10	0.00	-98.10	Expiration
CALL SQ 10/15/21 250 SQUARE INC   CUSIP:   Symbol(Box 1a): SQ211015C00250000							
10/13/2021	3.00	269.85	Various	723.12	453.27 D	0.00	Sell to Close
10/14/2021	2.00	519.90	Various	517.26	0.00	2.64	Sell to Close

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APEX CLEARING

## Proceeds from Broker and Barter Exchange Transactions

2021 Form 1099-B\*

5NB95646

(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	1.00	76.94	10/14/2021	307.13	0.00	-230.19	Sell to Close
<b>Security Totals:</b>		<b>866.69</b>		<b>1,547.51</b>		<b>-227.55</b>	
PUT BABA 12/03/21 115 ALIBABA GROUP HOLDING LIMITED   CUSIP:   Symbol(Box 1a): BABA211203P00115000							
12/03/2021	1.00	99.96	12/02/2021	83.02	0.00	16.94	Sell to Close
CALL BA 11/26/21 232.50 BOEING CO   CUSIP:   Symbol(Box 1a): BA211126C00232500							
11/15/2021	1.00	629.96	11/15/2021	510.02	0.00	119.94	Sell to Close
11/15/2021	1.00	579.96	11/15/2021	540.02	0.00	39.94	Sell to Close
<b>Security Totals:</b>		<b>1,209.92</b>		<b>1,050.04</b>		<b>159.88</b>	
CALL NVDA 11/05/21 285 NVIDIA CORPORATION   CUSIP:   Symbol(Box 1a): NVDA211105C00285000							
11/04/2021	1.00	199.94	11/04/2021	164.04	0.00	35.90	Sell to Close
CALL FDX 09/24/21 232.50 FEDEX CORP   CUSIP:   Symbol(Box 1a): FDX210924C00232500							
09/23/2021	2.00	131.88	09/23/2021	116.10	0.00	15.78	Sell to Close
PUT TSLA 12/17/21 860 TESLA INC   CUSIP:   Symbol(Box 1a): TSLA211217P00860000							
12/14/2021	1.00	509.96	12/13/2021	238.02	0.00	271.94	Sell to Close
CALL MARK 11/19/21 2 REMARK HOLDINGS INC   CUSIP:   Symbol(Box 1a): MARK211119C00002000							
10/22/2021	1.00	49.94	10/22/2021	65.04	15.1 D	0.00	Sell to Close
11/19/2021	1.00	0.00	10/29/2021	65.14	0.00	-65.14	Expiration
<b>Security Totals:</b>		<b>49.94</b>		<b>130.18</b>		<b>-65.14</b>	
CALL FB 12/23/21 342.50 META PLATFORMS INC CL A   CUSIP:   Symbol(Box 1a): FB211223C00342500							
12/13/2021	1.00	504.96	12/13/2021	636.02	0.00	-131.06	Sell to Close
CALL SPY 10/15/21 445 STANDARD & POORS DEPOSITORY   CUSIP:   Symbol(Box 1a): SPY211015C00445000							
10/15/2021	1.00	88.94	10/15/2021	89.04	0.00	-0.10	Sell to Close

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APEX CLEARING

Proceeds from Broker and Barter Exchange Transactions

2021 Form 1099-B\*

5NB95646

(continued)

01/31/2022

OMB No. 1545-0715

SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

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

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

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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 ABNB 11/26/21 210 AIRBNB INC   CUSIP:   Symbol(Box 1a): ABNB211126C00210000							
11/23/2021	1.00	9.96	11/19/2021	100.02	0.00	-90.06	Sell to Close
CALL TSLA 10/29/21 1100 TESLA INC   CUSIP:   Symbol(Box 1a): TSLA211029C01100000							
10/28/2021	1.00	1,024.94	10/28/2021	915.04	0.00	109.90	Sell to Close
10/29/2021	1.00	509.94	10/29/2021	373.04	0.00	136.90	Sell to Close
10/29/2021	1.00	864.94	10/29/2021	780.04	0.00	84.90	Sell to Close
10/29/2021	1.00	759.94	10/29/2021	750.04	0.00	9.90	Sell to Close
10/29/2021	1.00	499.94	10/29/2021	445.04	0.00	54.90	Sell to Close
10/29/2021	1.00	509.94	10/29/2021	490.04	0.00	19.90	Sell to Close
<b>Security Totals:</b>		<b>4,169.64</b>		<b>3,753.24</b>		<b>416.40</b>	
CALL SQ 11/05/21 270 SQUARE INC   CUSIP:   Symbol(Box 1a): SQ211105C00270000							
10/28/2021	1.00	509.94	10/27/2021	490.04	0.00	19.90	Sell to Close
CALL AAPL 12/17/21 170 APPLE INC   CUSIP:   Symbol(Box 1a): AAPL211217C00170000							
11/22/2021	1.00	243.96	11/22/2021	207.02	0.00	36.94	Sell to Close
CALL SFIX 08/20/21 65 STITCH FIX INC   CUSIP:   Symbol(Box 1a): SFIX210820C00065000							
07/28/2021	2.00	209.87	Various	371.10	0.00	-161.23	Sell to Close
CALL TSLA 10/29/21 1050 TESLA INC   CUSIP:   Symbol(Box 1a): TSLA211029C01050000							
10/27/2021	1.00	2,180.93	10/27/2021	1,900.04	0.00	280.89	Sell to Close
CALL AMD 07/30/21 89 ADVANCED MICRO DEVICES INC   CUSIP:   Symbol(Box 1a): AMD210730C00089000							
07/22/2021	1.00	359.93	07/21/2021	256.05	0.00	103.88	Sell to Close

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APEX CLEARING

Proceeds from Broker and Barter Exchange Transactions

2021 Form 1099-B\*

5NB95646

(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.

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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 SDC 10/08/21 5.50 SMILEDIRECTCLUB INC CL A   CUSIP:   Symbol(Box 1a): SDC211008C00005500							
10/05/2021	5.00	74.77	09/30/2021	100.26	0.00	-25.49	Sell to Close
CALL SKLZ 09/03/21 11 SKILLZ INC CL A   CUSIP:   Symbol(Box 1a): SKLZ210903C00011000							
08/31/2021	2.00	49.87	08/25/2021	110.11	0.00	-60.24	Sell to Close
CALL SQ 10/29/21 260 SQUARE INC   CUSIP:   Symbol(Box 1a): SQ211029C00260000							
10/21/2021	1.00	617.94	10/19/2021	445.04	0.00	172.90	Sell to Close
10/21/2021	1.00	661.94	10/20/2021	445.04	0.00	216.90	Sell to Close
<b>Security Totals:</b>		<b>1,279.88</b>		<b>890.08</b>		<b>389.80</b>	
PUT TSLA 12/17/21 900 TESLA INC   CUSIP:   Symbol(Box 1a): TSLA211217P00900000							
12/14/2021	1.00	949.96	12/14/2021	920.02	0.00	29.94	Sell to Close
12/14/2021	1.00	1,057.96	12/14/2021	1,000.02	0.00	57.94	Sell to Close
<b>Security Totals:</b>		<b>2,007.92</b>		<b>1,920.04</b>		<b>87.88</b>	
CALL DIS 11/19/21 165 WALT DISNEY CO   CUSIP:   Symbol(Box 1a): DIS211119C00165000							
11/15/2021	1.00	30.96	11/12/2021	69.02	0.00	-38.06	Sell to Close
PUT MRNA 09/03/21 360 MODERNA INC   CUSIP:   Symbol(Box 1a): MRNA210903P00360000							
08/30/2021	1.00	439.93	08/30/2021	330.05	0.00	109.88	Sell to Close
CALL NVDA 08/06/21 200 NVIDIA CORPORATION ADJ 4:1 STOCK SPLIT   CUSIP:   Symbol(Box 1a): NVDA210806C00200000							
07/29/2021	1.00	346.93	07/29/2021	330.05	0.00	16.88	Sell to Close
07/29/2021	1.00	299.93	07/29/2021	300.05	0.00	-0.12	Sell to Close
07/29/2021	1.00	309.93	07/29/2021	295.05	0.00	14.88	Sell to Close
<b>Security Totals:</b>		<b>956.79</b>		<b>925.15</b>		<b>31.64</b>	

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Proceeds from Broker and Barter Exchange Transactions

2021 Form 1099-B\*

5NB95646

(continued)

01/31/2022

OMB No. 1545-0715

SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

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

Date Sold or Disposed (Box 1c)	Quantity	Proceeds (Box 1d)	Date Acquired (Box 1b)	Cost or Other Basis (Box 1e)	Accrued Market Discount (M)(Box 1f) & Wash Sale Loss Disallowed (D)(Box 1g)	Gain or Loss(-)	Additional Notes
CALL BA 11/26/21 235 BOEING CO   CUSIP:   Symbol(Box 1a): BA211126C00235000							
11/18/2021	1.00	239.96	11/18/2021	227.02	0.00	12.94	Sell to Close
11/19/2021	1.00	97.96	11/18/2021	189.02	0.00	-91.06	Sell to Close
<b>Security Totals:</b>		<b>337.92</b>		<b>416.04</b>		<b>-78.12</b>	
CALL C 07/30/21 70 CITIGROUP INC   CUSIP:   Symbol(Box 1a): C210730C00070000							
07/27/2021	2.00	25.87	Various	78.10	0.00	-52.23	Sell to Close
CALL BA 11/26/21 230 BOEING CO   CUSIP:   Symbol(Box 1a): BA211126C00230000							
11/18/2021	1.00	298.96	11/18/2021	294.02	0.00	4.94	Sell to Close
11/18/2021	1.00	329.96	11/18/2021	380.02	0.00	-50.06	Sell to Close
<b>Security Totals:</b>		<b>628.92</b>		<b>674.04</b>		<b>-45.12</b>	
CALL PTON 10/15/21 90 PELOTON INTERACTIVE INC CL A   CUSIP:   Symbol(Box 1a): PTON211015C00090000							
10/14/2021	1.00	34.94	10/11/2021	96.04	0.00	-61.10	Sell to Close
CALL BA 08/27/21 220 BOEING CO   CUSIP:   Symbol(Box 1a): BA210827C00220000							
08/23/2021	1.00	294.93	08/23/2021	250.05	0.00	44.88	Sell to Close
CALL HOOD 09/17/21 42 ROBINHOOD MARKET INC   CUSIP:   Symbol(Box 1a): HOOD210917C00042000							
09/17/2021	1.00	54.93	09/16/2021	45.05	0.00	9.88	Sell to Close
CALL BA 10/01/21 222.50 BOEING CO   CUSIP:   Symbol(Box 1a): BA211001C00222500							
09/30/2021	1.00	136.93	09/30/2021	137.05	0.00	-0.12	Sell to Close
CALL QCOM 09/17/21 139 QUALCOMM INC   CUSIP:   Symbol(Box 1a): QCOM210917C00139000							
09/15/2021	1.00	79.93	09/15/2021	95.05	0.00	-15.12	Sell to Close
CALL FTEK 11/19/21 2 FUEL TECH INC   CUSIP:   Symbol(Box 1a): FTEK211119C00002000							
10/19/2021	3.00	146.85	10/19/2021	75.13	0.00	71.72	Sell to Close

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APEX CLEARING

Proceeds from Broker and Barter Exchange Transactions

2021 Form 1099-B\*

5NB95646

(continued)

01/31/2022

OMB No. 1545-0715

SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

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

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

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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 11/05/21 330 UPSTART HOLDINGS INC   CUSIP:   Symbol(Box 1a): UPST211105C00330000							
10/28/2021	1.00	1,789.94	10/28/2021	1,480.04	0.00	309.90	Sell to Close
CALL NVDA 11/05/21 245 NVIDIA CORPORATION   CUSIP:   Symbol(Box 1a): NVDA211105C00245000							
10/26/2021	1.00	614.94	10/26/2021	525.04	0.00	89.90	Sell to Close
10/26/2021	1.00	807.94	10/26/2021	802.04	0.00	5.90	Sell to Close
10/26/2021	1.00	751.94	10/26/2021	750.04	0.00	1.90	Sell to Close
10/27/2021	1.00	799.94	10/26/2021	740.04	0.00	59.90	Sell to Close
10/28/2021	1.00	599.94	10/27/2021	800.04	0.00	-200.10	Sell to Close
<b>Security Totals:</b>		<b>3,574.70</b>		<b>3,617.20</b>		<b>-42.50</b>	
PUT MRNA 10/08/21 375 MODERNA INC   CUSIP:   Symbol(Box 1a): MRNA211008P00375000							
10/01/2021	1.00	2,499.93	09/30/2021	850.05	0.00	1,649.88	Sell to Close
CALL COIN 11/12/21 340 COINBASE GLOBAL INC   CUSIP:   Symbol(Box 1a): COIN211112C00340000							
11/02/2021	1.00	1,999.93	11/02/2021	1,750.04	0.00	249.89	Sell to Close
CALL SDC 10/15/21 8 SMILEDIRECTCLUB INC CL A   CUSIP:   Symbol(Box 1a): SDC211015C00008000							
10/12/2021	4.00	27.81	10/07/2021	136.17	0.00	-108.36	Sell to Close
CALL TSLA 11/19/21 1110 TESLA INC   CUSIP:   Symbol(Box 1a): TSLA211119C01110000							
11/17/2021	1.00	1,599.96	11/17/2021	1,600.02	0.06 D	0.00	Sell to Close
11/18/2021	2.00	2,359.93	Various	2,110.10	0.00	249.83	Sell to Close
11/18/2021	1.00	1,106.96	11/18/2021	1,235.02	128.06 D	0.00	Sell to Close
11/19/2021	1.00	499.96	11/19/2021	1,276.20	776.24 D	0.00	Sell to Close

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APEX CLEARING

## Proceeds from Broker and Barter Exchange Transactions

2021 Form 1099-B\*

5NB95646

(continued)

01/31/2022

OMB No. 1545-0715

**SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS**

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

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

Date Sold or Disposed (Box 1c)	Quantity	Proceeds (Box 1d)	Date Acquired (Box 1b)	Cost or Other Basis (Box 1e)	Accrued Market Discount (M)(Box 1f) & Wash Sale Loss Disallowed (D)(Box 1g)	Gain or Loss(-)	Additional Notes
<b>CALL TSLA 11/19/21 1110 TESLA INC   CUSIP:   Symbol(Box 1a): TSLA211119C01110000</b>							
11/19/2021	1.00	1,159.96	11/19/2021	1,851.26	0.00	-691.30	Sell to Close
11/19/2021	1.00	707.96	11/19/2021	1,128.08	420.12 D	0.00	Sell to Close
11/19/2021	1.00	418.96	11/19/2021	1,220.14	801.18 D	0.00	Sell to Close
<b>Security Totals:</b>		<b>7,853.69</b>		<b>10,420.82</b>		<b>-441.47</b>	
<b>CALL UPS 09/17/21 200 UNITED PARCEL SVC INC   CUSIP:   Symbol(Box 1a): UPS210917C00200000</b>							
09/02/2021	1.00	168.93	08/23/2021	175.05	0.00	-6.12	Sell to Close
<b>PUT TSLA 11/26/21 1050 TESLA INC   CUSIP:   Symbol(Box 1a): TSLA211126P01050000</b>							
11/24/2021	1.00	2,024.95	11/24/2021	1,875.02	0.00	149.93	Sell to Close
11/24/2021	7.00	1,273.83	Various	5,066.14	0.00	-3,792.31	Sell to Close
<b>Security Totals:</b>		<b>3,298.78</b>		<b>6,941.16</b>		<b>-3,642.38</b>	
<b>CALL MDB 12/17/21 600 MONGODB INC   CUSIP:   Symbol(Box 1a): MDB211217C00600000</b>							
12/07/2021	2.00	599.94	Various	753.04	0.00	-153.10	Sell to Close
<b>CALL RIDE 11/19/21 7 LORDSTOWN MOTORS CRP CL A   CUSIP:   Symbol(Box 1a): RIDE211119C00007000</b>							
11/12/2021	4.00	47.89	Various	158.08	0.00	-110.19	Sell to Close
<b>CALL PLTR 09/17/21 26.50 PALANTIR TECHNOLOGIES INC CL A   CUSIP:   Symbol(Box 1a): PLTR210917C00026500</b>							
09/14/2021	1.00	53.93	09/14/2021	42.05	0.00	11.88	Sell to Close
<b>CALL BABA 09/03/21 225 ALIBABA GROUP HOLDING LIMITED   CUSIP:   Symbol(Box 1a): BABA210903C00225000</b>							
08/23/2021	2.00	13.87	Various	300.10	0.00	-286.23	Sell to Close
<b>CALL FCX 08/20/21 36 FREEPORT MCMORAN INC   CUSIP:   Symbol(Box 1a): FCX210820C00036000</b>							
07/29/2021	1.00	259.93	07/26/2021	182.05	0.00	77.88	Sell to Close
<b>CALL ASO 01/21/22 50 ACADEMY SPORTS AND OUTDORS INC   CUSIP:   Symbol(Box 1a): ASO220121C00050000</b>							
12/10/2021	1.00	209.96	12/10/2021	185.02	0.00	24.94	Sell to Close

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APEX CLEARING

## Proceeds from Broker and Barter Exchange Transactions

2021 Form 1099-B\*

5NB95646

(continued)

01/31/2022

OMB No. 1545-0715

## SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

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

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

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

Date Sold or Disposed (Box 1c)	Quantity	Proceeds (Box 1d)	Date Acquired (Box 1b)	Cost or Other Basis (Box 1e)	Accrued Market Discount (M)(Box 1f) & Wash Sale Loss Disallowed (D)(Box 1g)	Gain or Loss(-)	Additional Notes
CALL ABNB 09/24/21 170	AIRBNB INC   CUSIP:   Symbol(Box 1a): ABNB210924C00170000						
09/21/2021	2.00	199.88	Various	194.10	0.00	5.78	Sell to Close
PUT TSLA 12/10/21 900	TESLA INC   CUSIP:   Symbol(Box 1a): TSLA211210P00900000						
12/07/2021	2.00	187.94	Various	2,264.04	0.00	-2,076.10	Sell to Close
CALL AMC 12/17/21 27	AMC ENTERTAINMENT HOLDINGS INC   CUSIP:   Symbol(Box 1a): AMC211217C00027000						
12/17/2021	1.00	259.96	12/17/2021	247.02	0.00	12.94	Sell to Close
CALL RKT 10/29/21 17	ROCKET COMPANIES INC CL A   CUSIP:   Symbol(Box 1a): RKT211029C00017000						
10/21/2021	3.00	137.85	10/18/2021	99.13	0.00	38.72	Sell to Close
CALL CLOV 09/24/21 8	CLOVER HEALTH INVESTMENTS CORP   CUSIP:   Symbol(Box 1a): CLOV210924C00008000						
08/24/2021	1.00	117.93	08/20/2021	101.05	0.00	16.88	Sell to Close
PUT TSLA 11/26/21 1100	TESLA INC   CUSIP:   Symbol(Box 1a): TSLA211126P01100000						
11/26/2021	1.00	839.96	11/24/2021	545.02	0.00	294.94	Sell to Close
11/26/2021	1.00	2,119.95	11/24/2021	935.02	0.00	1,184.93	Sell to Close
<b>Security Totals:</b>		<b>2,959.91</b>		<b>1,480.04</b>		<b>1,479.87</b>	
CALL MOS 03/18/22 38	MOSAIC CO   CUSIP:   Symbol(Box 1a): MOS220318C00038000						
11/24/2021	1.00	277.96	11/15/2021	340.02	0.00	-62.06	Sell to Close
CALL WISH 11/19/21 6	CONTEXTLOGIC INC CL A   CUSIP:   Symbol(Box 1a): WISH211119C00006000						
11/17/2021	2.00	1.94	11/11/2021	36.04	0.00	-34.10	Sell to Close
CALL RBLX 08/20/21 80	ROBLOX CORPORATION   CUSIP:   Symbol(Box 1a): RBLX210820C00080000						
08/02/2021	1.00	429.93	08/02/2021	375.05	0.00	54.88	Sell to Close
CALL JPM 11/19/21 172.50	JPMORGAN CHASE & CO   CUSIP:   Symbol(Box 1a): JPM211119C00172500						
10/28/2021	2.00	359.90	Various	294.08	0.00	65.82	Sell to Close
CALL ROOT 09/17/21 7.50	ROOT INC CL A   CUSIP:   Symbol(Box 1a): ROOT210917C00007500						
09/09/2021	1.00	59.93	08/30/2021	90.05	0.00	-30.12	Sell to Close

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APEX CLEARING

Proceeds from Broker and Barter Exchange Transactions

2021 Form 1099-B\*

5NB95646

(continued)

01/31/2022

OMB No. 1545-0715

SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

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

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

Box 5: Box Not Checked (Covered Security)

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

Box 12: Basis Reported to the IRS

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

Date Sold or Disposed (Box 1c)	Quantity	Proceeds (Box 1d)	Date Acquired (Box 1b)	Cost or Other Basis (Box 1e)	Accrued Market Discount (M)(Box 1f) & Wash Sale Loss Disallowed (D)(Box 1g)	Gain or Loss(-)	Additional Notes
CALL ZNGA 08/20/21 11 ZYNGA INC   CUSIP:   Symbol(Box 1a): ZNGA210820C00011000							
07/28/2021	2.00	49.87	07/12/2021	94.11	0.00	-44.24	Sell to Close
CALL PATH 09/17/21 65 UIPATH INC CLASS A   CUSIP:   Symbol(Box 1a): PATH210917C00065000							
09/03/2021	1.00	229.93	09/02/2021	208.05	0.00	21.88	Sell to Close
CALL MRIN 10/15/21 7.50 MARIN SOFTWARE INCORPORATED   CUSIP:   Symbol(Box 1a): MRIN211015C00007500							
09/22/2021	2.00	719.88	09/21/2021	70.10	0.00	649.78	Sell to Close
CALL TSLA 12/23/21 1150 TESLA INC   CUSIP:   Symbol(Box 1a): TSLA211223C01150000							
12/13/2021	2.00	537.94	Various	1,055.04	431.05 D	-86.05	Sell to Close
12/15/2021	1.00	180.96	12/15/2021	563.07	0.00	-382.11	Sell to Close
<b>Security Totals:</b>		<b>718.90</b>		<b>1,618.11</b>		<b>-468.16</b>	
CALL TSLA 11/26/21 1150 TESLA INC   CUSIP:   Symbol(Box 1a): TSLA211126C01150000							
11/23/2021	1.00	1,874.96	11/23/2021	1,835.02	0.00	39.94	Sell to Close
CALL RBLX 09/17/21 86 ROBLOX CORPORATION   CUSIP:   Symbol(Box 1a): RBLX210917C00086000							
09/02/2021	1.00	314.93	09/02/2021	305.05	0.00	9.88	Sell to Close
09/03/2021	2.00	385.88	Various	511.10	0.00	-125.22	Sell to Close
<b>Security Totals:</b>		<b>700.81</b>		<b>816.15</b>		<b>-115.34</b>	
CALL ZM 10/29/21 300 ZOOM VIDEO COMMUNICATIONS INC   CUSIP:   Symbol(Box 1a): ZM211029C00300000							
10/22/2021	1.00	89.94	10/21/2021	40.04	0.00	49.90	Sell to Close
CALL TSLA 11/26/21 1200 TESLA INC   CUSIP:   Symbol(Box 1a): TSLA211126C01200000							
11/18/2021	1.00	989.96	11/17/2021	1,078.02	88.06 D	0.00	Sell to Close
11/18/2021	1.00	849.96	11/18/2021	851.08	1.12 D	0.00	Sell to Close
11/22/2021	1.00	3,199.95	11/22/2021	3,467.21	267.26 D	0.00	Sell to Close

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APEX CLEARING

## Proceeds from Broker and Barter Exchange Transactions

2021 Form 1099-B\*

5NB95646

(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 11/26/21 1200 TESLA INC   CUSIP:   Symbol(Box 1a): TSLA211126C01200000							
11/22/2021	1.00	2,745.95	11/22/2021	3,068.14	322.19 D	0.00	Sell to Close
11/23/2021	1.00	1,349.96	11/23/2021	2,202.28	0.00	-852.32	Sell to Close
<b>Security Totals:</b>		<b>9,135.78</b>		<b>10,666.73</b>		<b>-852.32</b>	
CALL AMD 10/29/21 122 ADVANCED MICRO DEVICES INC   CUSIP:   Symbol(Box 1a): AMD211029C00122000							
10/25/2021	1.00	310.94	10/25/2021	275.04	0.00	35.90	Sell to Close
PUT TSLA 11/26/21 1150 TESLA INC   CUSIP:   Symbol(Box 1a): TSLA211126P01150000							
11/23/2021	1.00	2,649.95	11/23/2021	2,600.02	0.00	49.93	Sell to Close
CALL SE 10/15/21 355 SEA LTD   CUSIP:   Symbol(Box 1a): SE211015C00355000							
10/14/2021	1.00	78.94	10/14/2021	116.04	37.1 D	0.00	Sell to Close
10/15/2021	1.00	105.94	10/15/2021	123.14	0.00	-17.20	Sell to Close
<b>Security Totals:</b>		<b>184.88</b>		<b>239.18</b>		<b>-17.20</b>	
CALL JD 10/01/21 77 JD.COM INC   CUSIP:   Symbol(Box 1a): JD211001C00077000							
09/28/2021	1.00	65.93	09/28/2021	65.05	0.00	0.88	Sell to Close
PUT NIO 11/12/21 39 NIO INC ADS   CUSIP:   Symbol(Box 1a): NIO211112P00039000							
11/10/2021	1.00	20.94	11/09/2021	123.04	0.00	-102.10	Sell to Close
PUT PENN 09/24/21 75 PENN NATIONAL GAMING INC   CUSIP:   Symbol(Box 1a): PENN210924P00075000							
09/14/2021	1.00	272.93	09/14/2021	294.05	0.00	-21.12	Sell to Close
CALL DELL 08/20/21 100 DELL TECHNOLOGIES INC CL C   CUSIP:   Symbol(Box 1a): DELL210820C00100000							
08/03/2021	1.00	106.93	07/26/2021	105.05	0.00	1.88	Sell to Close
CALL NFLX 11/19/21 700 NETFLIX INC   CUSIP:   Symbol(Box 1a): NFLX211119C00700000							
11/17/2021	1.00	829.96	11/17/2021	730.02	0.00	99.94	Sell to Close

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APEX CLEARING

## Proceeds from Broker and Barter Exchange Transactions

2021 Form 1099-B\*

5NB95646

(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
11/18/2021	1.00	212.96	11/17/2021	500.02	0.00	-287.06	Sell to Close
<b>Security Totals:</b>		<b>1,042.92</b>		<b>1,230.04</b>		<b>-187.12</b>	
CALL NFLX 11/19/21 710			NETFLIX INC   CUSIP:   Symbol(Box 1a): NFLX211119C00710000				
11/17/2021	1.00	374.96	11/15/2021	245.02	0.00	129.94	Sell to Close
CALL FCEL 01/21/22 8			FUELCELL ENERGY INC   CUSIP:   Symbol(Box 1a): FCEL220121C00008000				
11/01/2021	1.00	200.94	09/14/2021	127.05	0.00	73.89	Sell to Close
CALL SQ 10/22/21 262.50			SQUARE INC   CUSIP:   Symbol(Box 1a): SQ211022C00262500				
10/22/2021	1.00	45.94	10/22/2021	144.04	0.00	-98.10	Sell to Close
10/22/2021	1.00	170.94	10/22/2021	140.04	0.00	30.90	Sell to Close
<b>Security Totals:</b>		<b>216.88</b>		<b>284.08</b>		<b>-67.20</b>	
CALL NVDA 09/03/21 225			NVIDIA CORPORATION   CUSIP:   Symbol(Box 1a): NVDA210903C00225000				
08/27/2021	1.00	424.93	08/27/2021	360.05	0.00	64.88	Sell to Close
CALL AMD 12/10/21 165			ADVANCED MICRO DEVICES INC   CUSIP:   Symbol(Box 1a): AMD211210C00165000				
11/30/2021	1.00	595.96	11/30/2021	569.02	0.00	26.94	Sell to Close
CALL APO 12/17/21 65			APOLLO GLOBAL MNGMNT INC CL A   CUSIP:   Symbol(Box 1a): APO211217C00065000				
09/23/2021	2.00	349.88	Various	340.10	0.00	9.78	Sell to Close
CALL AMC 08/20/21 40			AMC ENTERTAINMENT HOLDINGS INC   CUSIP:   Symbol(Box 1a): AMC210820C00040000				
08/17/2021	1.00	120.93	08/17/2021	105.05	0.00	15.88	Sell to Close
CALL CSCO 09/17/21 55			CISCO SYSTEMS INC   CUSIP:   Symbol(Box 1a): CSCO210917C00055000				
07/08/2021	10.00	1,349.42	07/07/2021	1,270.55	0.00	78.87	Sell to Close
CALL BA 10/08/21 225			BOEING CO   CUSIP:   Symbol(Box 1a): BA211008C00225000				
10/05/2021	1.00	290.94	10/05/2021	270.04	0.00	20.90	Sell to Close

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APEX CLEARING

## Proceeds from Broker and Barter Exchange Transactions

2021 Form 1099-B\*

5NB95646

(continued)

01/31/2022

OMB No. 1545-0715

## SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

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

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

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

Date Sold or Disposed (Box 1c)	Quantity	Proceeds (Box 1d)	Date Acquired (Box 1b)	Cost or Other Basis (Box 1e)	Accrued Market Discount (M)(Box 1f) & Wash Sale Loss Disallowed (D)(Box 1g)	Gain or Loss(-)	Additional Notes
CALL BA 10/08/21 225 BOEING CO   CUSIP:   Symbol(Box 1a): BA211008C00225000							
10/05/2021	1.00	300.94	10/04/2021	282.04	0.00	18.90	Sell to Close
<b>Security Totals:</b>		<b>591.88</b>		<b>552.08</b>		<b>39.80</b>	
CALL ANY 10/15/21 8 SPHERE 3D CORP   CUSIP:   Symbol(Box 1a): ANY211015C00008000							
09/15/2021	1.00	124.93	09/15/2021	125.05	0.12 D	0.00	Sell to Close
10/11/2021	1.00	65.94	10/06/2021	46.16	0.00	19.78	Sell to Close
<b>Security Totals:</b>		<b>190.87</b>		<b>171.21</b>		<b>19.78</b>	
CALL NFLX 10/29/21 655 NETFLIX INC   CUSIP:   Symbol(Box 1a): NFLX211029C00655000							
10/21/2021	1.00	874.94	10/21/2021	950.04	75.1 D	0.00	Sell to Close
10/21/2021	1.00	959.94	10/21/2021	885.14	0.00	74.80	Sell to Close
<b>Security Totals:</b>		<b>1,834.88</b>		<b>1,835.18</b>		<b>74.80</b>	
AUDDIA INC COMMON STOCK   CUSIP: 05072K107   Symbol(Box 1a): AUUD							
12/08/2021	100.00	233.48	12/08/2021	230.00	0.00	3.48	Sale
CALL VLDR 10/15/21 7.50 VELOCITYNE LIDAR INC   CUSIP:   Symbol(Box 1a): VLDR211015C00007500							
10/15/2021	2.00	0.00	09/17/2021	80.10	0.00	-80.10	Expiration
CALL BB 09/24/21 10.50 BLACKBERRY LIMITED   CUSIP:   Symbol(Box 1a): BB210924C00010500							
09/17/2021	1.00	34.93	09/16/2021	42.05	0.00	-7.12	Sell to Close
CALL ROKU 09/24/21 400 ROKU INC   CUSIP:   Symbol(Box 1a): ROKU210924C00400000							
09/01/2021	1.00	799.93	08/30/2021	500.05	0.00	299.88	Sell to Close
CALL PTON 08/20/21 130 PELOTON INTERACTIVE INC CL A   CUSIP:   Symbol(Box 1a): PTON210820C00130000							
08/10/2021	3.00	224.82	Various	951.15	375.11 D	-351.22	Sell to Close

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APEX CLEARING

Proceeds from Broker and Barter Exchange Transactions

2021 Form 1099-B\*

5NB95646

(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
08/12/2021	1.00	34.93	08/05/2021	505.16	0.00	-470.23	Sell to Close
<b>Security Totals:</b>		<b>259.75</b>		<b>1,456.31</b>		<b>-821.45</b>	
PUT AMC 08/20/21 25			AMC ENTERTAINMENT HOLDINGS INC   CUSIP:   Symbol(Box 1a): AMC210820P00025000				
07/14/2021	1.00	304.93	07/13/2021	245.05	0.00	59.88	Sell to Close
CALL AMD 11/19/21 155			ADVANCED MICRO DEVICES INC   CUSIP:   Symbol(Box 1a): AMD211119C00155000				
11/17/2021	1.00	195.96	11/16/2021	158.02	0.00	37.94	Sell to Close
CALL AAPL 10/15/21 165			APPLE INC   CUSIP:   Symbol(Box 1a): AAPL211015C00165000				
09/10/2021	2.00	161.88	Various	274.10	0.00	-112.22	Sell to Close
CALL WBA 08/20/21 50			WALGREENS BOOTS ALLIANCE INC   CUSIP:   Symbol(Box 1a): WBA210820C00050000				
07/12/2021	2.00	155.87	07/09/2021	128.11	0.00	27.76	Sell to Close
CALL IDEX 01/21/22 2.50			IDEANOMICS INC   CUSIP:   Symbol(Box 1a): IDEX220121C00002500				
11/24/2021	2.00	25.94	10/29/2021	56.08	0.00	-30.14	Sell to Close
PUT FB 08/06/21 350			FACEBOOK INC CL A   CUSIP:   Symbol(Box 1a): FB210806P00350000				
08/03/2021	1.00	334.93	08/03/2021	240.05	0.00	94.88	Sell to Close
CALL NTN 10/15/21 40			NUTANIX INC   CUSIP:   Symbol(Box 1a): NTN211015C00040000				
07/23/2021	2.00	358.87	Various	405.10	0.00	-46.23	Sell to Close
CALL DASH 11/12/21 240			DOORDASH INC CL A   CUSIP:   Symbol(Box 1a): DASH211112C00240000				
11/11/2021	1.00	189.96	11/11/2021	160.02	0.00	29.94	Sell to Close
11/11/2021	1.00	184.96	11/11/2021	150.02	0.00	34.94	Sell to Close
<b>Security Totals:</b>		<b>374.92</b>		<b>310.04</b>		<b>64.88</b>	
CALL AA 03/18/22 55			ALCOA CORPORATION   CUSIP:   Symbol(Box 1a): AA220318C00055000				
11/11/2021	1.00	399.96	11/04/2021	315.04	0.00	84.92	Sell to Close

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APEX CLEARING

Proceeds from Broker and Barter Exchange Transactions

2021 Form 1099-B\*

5NB95646

(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.

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

Date Sold or Disposed (Box 1c)	Quantity	Proceeds (Box 1d)	Date Acquired (Box 1b)	Cost or Other Basis (Box 1e)	Accrued Market Discount (M)(Box 1f) & Wash Sale Loss Disallowed (D)(Box 1g)	Gain or Loss(-)	Additional Notes
PUT TSLA 11/19/21 980 TESLA INC   CUSIP:   Symbol(Box 1a): TSLA211119P00980000							
11/15/2021	1.00	2,612.95	11/15/2021	2,450.02	0.00	162.93	Sell to Close
11/15/2021	1.00	2,599.95	11/15/2021	2,450.02	0.00	149.93	Sell to Close
<b>Security Totals:</b>		<b>5,212.90</b>		<b>4,900.04</b>		<b>312.86</b>	
CALL ACB 10/15/21 8 AURORA CANNABIS INC   CUSIP:   Symbol(Box 1a): ACB211015C00008000							
09/27/2021	1.00	11.93	08/31/2021	63.05	0.00	-51.12	Sell to Close
CALL AMZN 12/17/21 3480 AMAZON.COM INC   CUSIP:   Symbol(Box 1a): AMZN211217C03480000							
12/06/2021	1.00	5,489.94	12/06/2021	5,315.02	0.00	174.92	Sell to Close
CALL RIOT 10/22/21 31 RIOT BLOCKCHAIN INC   CUSIP:   Symbol(Box 1a): RIOT211022C00031000							
10/20/2021	1.00	133.94	10/19/2021	129.04	0.00	4.90	Sell to Close
CALL RKT 09/03/21 18.50 ROCKET COMPANIES INC CL A   CUSIP:   Symbol(Box 1a): RKT210903C00018500							
08/13/2021	1.00	117.93	08/02/2021	108.05	0.00	9.88	Sell to Close
CALL TIGR 08/20/21 17.50 UP FINTECH HOLDINGS LIMITED   CUSIP:   Symbol(Box 1a): TIGR210820C00017500							
08/09/2021	1.00	184.93	08/04/2021	170.05	0.00	14.88	Sell to Close
CALL SUNW 10/15/21 7.50 SUNWORKS INC   CUSIP:   Symbol(Box 1a): SUNW211015C00007500							
10/13/2021	1.00	6.94	09/13/2021	65.05	0.00	-58.11	Sell to Close
CALL DKNG 07/23/21 50 DRAFTKINGS INC CL A   CUSIP:   Symbol(Box 1a): DKNG210723C00050000							
07/09/2021	1.00	142.93	07/09/2021	155.05	0.00	-12.12	Sell to Close
CALL DASH 11/12/21 245 DOORDASH INC CL A   CUSIP:   Symbol(Box 1a): DASH211112C00245000							
11/11/2021	1.00	59.96	11/10/2021	170.04	0.00	-110.08	Sell to Close
CALL PDD 09/03/21 100 PINDUODUO INC ADS   CUSIP:   Symbol(Box 1a): PDD210903C00100000							
08/31/2021	1.00	193.93	08/31/2021	179.05	0.00	14.88	Sell to Close

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APEX CLEARING

## Proceeds from Broker and Barter Exchange Transactions

2021 Form 1099-B\*

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(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 FB 11/26/21	360	META PLATFORMS INC CL A   CUSIP:   Symbol(Box 1a): FB211126C00360000					
11/15/2021	1.00	409.96	11/15/2021	475.02	0.00	-65.06	Sell to Close
PUT TSLA 12/17/21	960	TESLA INC   CUSIP:   Symbol(Box 1a): TSLA211217P00960000					
12/13/2021	1.00	2,862.95	12/13/2021	2,540.02	0.00	322.93	Sell to Close
CALL CPNG 11/19/21	35	COUPANG INC   CUSIP:   Symbol(Box 1a): CPNG211119C00035000					
10/07/2021	1.00	21.94	09/07/2021	175.05	0.00	-153.11	Sell to Close
CALL SAVA 09/03/21	55	CASSAVA SCIENCES INC   CUSIP:   Symbol(Box 1a): SAVA210903C00055000					
09/01/2021	1.00	215.93	09/01/2021	215.05	0.00	0.88	Sell to Close
PUT AMZN 12/10/21	3500	AMAZON.COM INC   CUSIP:   Symbol(Box 1a): AMZN211210P03500000					
12/01/2021	1.00	4,269.94	12/01/2021	4,040.02	0.00	229.92	Sell to Close
CALL PINS 06/17/22	55	PINTEREST INC CLASS A   CUSIP:   Symbol(Box 1a): PINS220617C00055000					
08/23/2021	1.00	929.93	08/19/2021	850.05	0.00	79.88	Sell to Close
CALL TSLA 11/26/21	1105	TESLA INC   CUSIP:   Symbol(Box 1a): TSLA211126C01105000					
11/18/2021	1.00	4,019.94	11/18/2021	3,510.02	0.00	509.92	Sell to Close
11/19/2021	1.00	3,899.95	11/18/2021	3,975.02	0.00	-75.07	Sell to Close
<b>Security Totals:</b>		<b>7,919.89</b>		<b>7,485.04</b>		<b>434.85</b>	
CALL NFLX 11/05/21	705	NETFLIX INC   CUSIP:   Symbol(Box 1a): NFLX211105C00705000					
11/02/2021	1.00	187.94	11/02/2021	189.04	0.00	-1.10	Sell to Close
CALL NEE 08/20/21	77.50	NEXTERA ENERGY INC   CUSIP:   Symbol(Box 1a): NEE210820C00077500					
07/30/2021	1.00	214.93	07/16/2021	210.05	0.00	4.88	Sell to Close
CALL DOCS 11/19/21	90	DOXIMITY INC   CUSIP:   Symbol(Box 1a): DOCS211119C00090000					
11/10/2021	1.00	39.94	11/03/2021	290.04	0.00	-250.10	Sell to Close

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APEX CLEARING

Proceeds from Broker and Barter Exchange Transactions

2021 Form 1099-B\*

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(continued)

01/31/2022

OMB No. 1545-0715

SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

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

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

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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 SNOW 07/30/21	275	SNOWFLAKE INC CLASS A	CUSIP:   Symbol(Box 1a): SNOW210730C00275000				
07/22/2021	1.00	429.93	07/22/2021	340.05	0.00	89.88	Sell to Close
CALL OSTK 07/23/21	85	OVERSTOCK.COM INC	CUSIP:   Symbol(Box 1a): OSTK210723C00085000				
07/20/2021	1.00	109.93	07/19/2021	164.05	0.00	-54.12	Sell to Close
CALL ANY 11/19/21	8	SPHERE 3D CORP	CUSIP:   Symbol(Box 1a): ANY211119C00008000				
11/17/2021	2.00	1.94	Various	163.08	0.00	-161.14	Sell to Close
CALL MRK 01/21/22	85	MERCK & CO INC	CUSIP:   Symbol(Box 1a): MRK220121C00085000				
11/24/2021	1.00	183.96	11/16/2021	285.02	0.00	-101.06	Sell to Close
CALL CLNE 09/17/21	8	CLEAN ENERGY FUELS CORP	CUSIP:   Symbol(Box 1a): CLNE210917C00008000				
08/10/2021	1.00	74.93	08/06/2021	55.05	0.00	19.88	Sell to Close
CALL BBIG 10/15/21	6	VINCO VENTURES INC	CUSIP:   Symbol(Box 1a): BBIG211015C00006000				
10/12/2021	3.00	80.85	10/08/2021	78.13	0.00	2.72	Sell to Close
CALL AMZN 12/17/21	3500	AMAZON.COM INC	CUSIP:   Symbol(Box 1a): AMZN211217C03500000				
12/07/2021	1.00	7,119.93	12/07/2021	6,770.02	0.00	349.91	Sell to Close
CALL RKT 11/19/21	20	ROCKET COMPANIES INC CL A	CUSIP:   Symbol(Box 1a): RKT211119C00020000				
11/16/2021	4.00	3.89	11/05/2021	60.17	0.00	-56.28	Sell to Close
PUT LLY 07/23/21	225	ELI LILLY & CO	CUSIP:   Symbol(Box 1a): LLY210723P00225000				
07/19/2021	1.00	52.93	07/19/2021	94.05	0.00	-41.12	Sell to Close
CALL SOFI 01/21/22	15	SOFI TECHNOLOGIES INC	CUSIP:   Symbol(Box 1a): SOFI220121C00015000				
12/22/2021	1.00	140.96	12/20/2021	160.02	0.00	-19.06	Sell to Close
CALL AMD 12/10/21	145	ADVANCED MICRO DEVICES INC	CUSIP:   Symbol(Box 1a): AMD211210C00145000				
12/06/2021	1.00	190.96	12/06/2021	137.02	0.00	53.94	Sell to Close

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APEX CLEARING

## Proceeds from Broker and Barter Exchange Transactions

2021 Form 1099-B\*

5NB95646

(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)**

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CALL AMD 12/10/21 145 ADVANCED MICRO DEVICES INC   CUSIP:   Symbol(Box 1a): AMD211210C00145000							
12/06/2021	1.00	149.96	12/06/2021	123.02	0.00	26.94	Sell to Close
12/08/2021	1.00	190.96	12/08/2021	320.02	0.00	-129.06	Sell to Close
<b>Security Totals:</b>		<b>531.88</b>		<b>580.06</b>		<b>-48.18</b>	
CALL ABNB 09/17/21 167.50 AIRBNB INC   CUSIP:   Symbol(Box 1a): ABNB210917C00167500							
09/14/2021	1.00	69.93	09/14/2021	99.05	0.00	-29.12	Sell to Close
CALL CMG 12/10/21 1800 CHIPOTLE MEXICAN GRILL INC   CUSIP:   Symbol(Box 1a): CMG211210C01800000							
12/09/2021	1.00	40.96	12/08/2021	225.02	0.00	-184.06	Sell to Close
CALL ANY 10/15/21 7 SPHERE 3D CORP   CUSIP:   Symbol(Box 1a): ANY211015C00007000							
09/22/2021	1.00	84.93	09/21/2021	75.05	0.00	9.88	Sell to Close
CALL X 11/19/21 30 UNITED STATES STL CORP NEW   CUSIP:   Symbol(Box 1a): X211119C00030000							
11/19/2021	4.00	0.00	11/11/2021	56.09	0.00	-56.09	Expiration
PUT ULTA 12/10/21 320 ULTA BEAUTY INC   CUSIP:   Symbol(Box 1a): ULTA211210P00320000							
12/03/2021	1.00	29.96	12/02/2021	190.02	0.00	-160.06	Sell to Close
PUT MRNA 10/15/21 300 MODERNA INC   CUSIP:   Symbol(Box 1a): MRNA211015P00300000							
10/08/2021	1.00	1,211.94	10/08/2021	1,025.04	0.00	186.90	Sell to Close
CALL RXT 11/19/21 15 RACKSPACE TECHNOLOGY INC   CUSIP:   Symbol(Box 1a): RXT211119C00015000							
10/07/2021	1.00	124.94	09/09/2021	125.05	0.00	-0.11	Sell to Close
CALL DIS 08/20/21 180 WALT DISNEY CO   CUSIP:   Symbol(Box 1a): DIS210820C00180000							
07/09/2021	1.00	449.93	07/09/2021	420.05	0.00	29.88	Sell to Close
CALL SPY 12/20/21 461 STANDARD & POORS DEPOSITORY   CUSIP:   Symbol(Box 1a): SPY211220C00461000							
12/17/2021	1.00	293.96	12/17/2021	357.02	0.00	-63.06	Sell to Close

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Proceeds from Broker and Barter Exchange Transactions

2021 Form 1099-B\*

5NB95646

(continued)

01/31/2022

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SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

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

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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 URI 10/01/21 352.50 UNITED RENTALS INC   CUSIP:   Symbol(Box 1a): URI211001P00352500							
09/30/2021	1.00	179.93	09/29/2021	166.05	0.00	13.88	Sell to Close
CALL MSFT 10/15/21 315 MICROSOFT CORP   CUSIP:   Symbol(Box 1a): MSFT211015C00315000							
09/22/2021	2.00	173.88	Various	363.10	0.00	-189.22	Sell to Close
CALL MGNI 03/18/22 40 MAGNITE INC   CUSIP:   Symbol(Box 1a): MGNI220318C00040000							
08/11/2021	1.00	429.93	08/11/2021	400.05	0.00	29.88	Sell to Close
CALL PYPL 11/05/21 240 PAYPAL HOLDINGS INC   CUSIP:   Symbol(Box 1a): PYPL211105C00240000							
10/29/2021	1.00	272.94	10/29/2021	285.04	0.00	-12.10	Sell to Close
CALL MVIS 09/17/21 14 MICROVISION INC   CUSIP:   Symbol(Box 1a): MVIS210917C00014000							
09/14/2021	2.00	49.88	09/14/2021	60.10	0.00	-10.22	Sell to Close
CALL PYPL 07/23/21 305 PAYPAL HOLDINGS INC   CUSIP:   Symbol(Box 1a): PYPL210723C00305000							
07/21/2021	1.00	61.93	07/21/2021	115.05	0.00	-53.12	Sell to Close
CALL MSFT 12/23/21 330 MICROSOFT CORP   CUSIP:   Symbol(Box 1a): MSFT211223C00330000							
12/15/2021	1.00	575.96	12/15/2021	539.02	0.00	36.94	Sell to Close
CALL PYPL 11/19/21 220 PAYPAL HOLDINGS INC   CUSIP:   Symbol(Box 1a): PYPL211119C00220000							
11/16/2021	1.00	79.96	11/16/2021	131.02	51.06 D	0.00	Sell to Close
11/18/2021	1.00	14.96	11/16/2021	136.08	0.00	-121.12	Sell to Close
<b>Security Totals:</b>		<b>94.92</b>		<b>267.10</b>		<b>-121.12</b>	
PUT SPY 12/08/21 450 STANDARD & POORS DEPOSITORY   CUSIP:   Symbol(Box 1a): SPY211208P00450000							
12/03/2021	1.00	416.96	12/02/2021	378.02	0.00	38.94	Sell to Close
CALL ATOS 10/15/21 4 ATOSSA THERAPEUTICS INC   CUSIP:   Symbol(Box 1a): ATOS211015C00004000							
10/15/2021	3.00	0.00	09/20/2021	60.16	0.00	-60.16	Expiration

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APEX CLEARING

Proceeds from Broker and Barter Exchange Transactions

2021 Form 1099-B\*

5NB95646

(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.

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CALL BBIG 09/17/21 12 VINCO VENTURES INC   CUSIP:   Symbol(Box 1a): BBIG210917C00012000							
09/16/2021	1.00	14.93	09/08/2021	240.05	0.00	-225.12	Sell to Close
CALL SDC 10/22/21 6 SMILEDIRECTCLUB INC CL A   CUSIP:   Symbol(Box 1a): SDC211022C00006000							
09/03/2021	1.00	86.93	09/02/2021	75.05	0.00	11.88	Sell to Close
10/05/2021	2.00	87.90	Various	171.10	0.00	-83.20	Sell to Close
<b>Security Totals:</b>		<b>174.83</b>		<b>246.15</b>		<b>-71.32</b>	
CALL JD 09/03/21 72 JD.COM INC   CUSIP:   Symbol(Box 1a): JD210903C00072000							
08/24/2021	1.00	227.93	08/10/2021	325.05	0.00	-97.12	Sell to Close
CALL UAL 09/17/21 49 UNITED AIRLINES HOLDINGS INC   CUSIP:   Symbol(Box 1a): UAL210917C00049000							
07/21/2021	1.00	314.93	07/21/2021	293.05	0.00	21.88	Sell to Close
08/02/2021	2.00	501.87	Various	485.10	0.00	16.77	Sell to Close
<b>Security Totals:</b>		<b>816.80</b>		<b>778.15</b>		<b>38.65</b>	
CALL SOFI 10/15/21 15 SOFI TECHNOLOGIES INC   CUSIP:   Symbol(Box 1a): SOFI211015C00015000							
09/02/2021	1.00	144.93	09/02/2021	116.05	0.00	28.88	Sell to Close
CALL ROOT 10/15/21 7.50 ROOT INC CL A   CUSIP:   Symbol(Box 1a): ROOT211015C00007500							
10/06/2021	2.00	9.90	09/17/2021	130.10	0.00	-120.20	Sell to Close
CALL BBIG 10/01/21 7 VINCO VENTURES INC   CUSIP:   Symbol(Box 1a): BBIG211001C00007000							
09/22/2021	1.00	84.93	09/21/2021	70.05	0.00	14.88	Sell to Close
CALL ROKU 12/17/21 240 ROKU INC   CUSIP:   Symbol(Box 1a): ROKU211217C00240000							
12/08/2021	1.00	1,264.96	12/08/2021	1,025.08	0.00	239.88	Sell to Close
12/08/2021	1.00	1,099.96	12/08/2021	1,235.02	135.06 D	0.00	Sell to Close
<b>Security Totals:</b>		<b>2,364.92</b>		<b>2,260.10</b>		<b>239.88</b>	

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APEX CLEARING

Proceeds from Broker and Barter Exchange Transactions

2021 Form 1099-B\*

5NB95646

(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 RBLX 10/22/21 80 ROBLOX CORPORATION   CUSIP:   Symbol(Box 1a): RBLX211022C00080000							
09/22/2021	2.00	911.88	Various	729.10	0.00	182.78	Sell to Close
10/11/2021	2.00	73.90	Various	490.10	0.00	-416.20	Sell to Close
<b>Security Totals:</b>		<b>985.78</b>		<b>1,219.20</b>		<b>-233.42</b>	
CALL FIS 01/21/22 150 FIDELITY NATIONAL INFO SVCS   CUSIP:   Symbol(Box 1a): FIS220121C00150000							
08/09/2021	1.00	329.93	08/04/2021	240.05	0.00	89.88	Sell to Close
08/11/2021	1.00	279.93	08/10/2021	260.05	0.00	19.88	Sell to Close
11/24/2021	3.00	74.92	Various	195.10	0.00	-120.18	Sell to Close
<b>Security Totals:</b>		<b>684.78</b>		<b>695.20</b>		<b>-10.42</b>	
PUT SPY 12/01/21 466 STANDARD & POORS DEPOSITORY   CUSIP:   Symbol(Box 1a): SPY211201P00466000							
11/24/2021	1.00	302.96	11/23/2021	268.02	0.00	34.94	Sell to Close
PUT AMC 07/16/21 40 AMC ENTERTAINMENT HOLDINGS INC   CUSIP:   Symbol(Box 1a): AMC210716P00040000							
07/12/2021	1.00	156.93	07/12/2021	150.05	0.00	6.88	Sell to Close
CALL XOM 10/22/21 58 EXXON MOBIL CORP   CUSIP:   Symbol(Box 1a): XOM211022C00058000							
09/13/2021	1.00	110.93	09/02/2021	111.05	0.00	-0.12	Sell to Close
CALL CRM 08/27/21 275 SALESFORCE.COM INC   CUSIP:   Symbol(Box 1a): CRM210827C00275000							
08/26/2021	1.00	189.93	08/26/2021	299.05	0.00	-109.12	Sell to Close
CALL TWTR 10/15/21 65 TWITTER INC   CUSIP:   Symbol(Box 1a): TWTR211015C00065000							
09/23/2021	1.00	309.93	09/23/2021	265.05	0.00	44.88	Sell to Close
CALL TSLA 12/31/21 930 TESLA INC   CUSIP:   Symbol(Box 1a): TSLA211231C00930000							
12/21/2021	1.00	3,099.95	12/21/2021	2,961.02	0.00	138.93	Sell to Close
CALL CLOV 09/10/21 10 CLOVER HEALTH INVESTMENTS CORP   CUSIP:   Symbol(Box 1a): CLOV210910C00010000							
09/07/2021	2.00	59.88	09/03/2021	54.10	0.00	5.78	Sell to Close

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APEX CLEARING

## Proceeds from Broker and Barter Exchange Transactions

2021 Form 1099-B\*

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(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 11/12/21	1150	TESLA INC   CUSIP:   Symbol(Box 1a): TSLA211112C01150000					
11/11/2021	2.00	197.94	Various	743.04	0.00	-545.10	Sell to Close
CALL GOOGL 12/10/21	3020	ALPHABET INC CLASS A   CUSIP:   Symbol(Box 1a): GOOGL211210C03020000					
12/08/2021	1.00	229.96	12/08/2021	160.02	0.00	69.94	Sell to Close
CALL UBER 09/03/21	40	UBER TECHNOLOGIES INC   CUSIP:   Symbol(Box 1a): UBER210903C00040000					
08/25/2021	1.00	153.93	08/23/2021	150.05	0.00	3.88	Sell to Close
CALL MU 12/31/21	85	MICRON TECHNOLOGY INC   CUSIP:   Symbol(Box 1a): MU211231C00085000					
12/21/2021	1.00	499.96	12/20/2021	240.02	0.00	259.94	Sell to Close
CALL NIO 08/20/21	47	NIO INC ADS   CUSIP:   Symbol(Box 1a): NIO210820C00047000					
08/02/2021	1.00	247.93	08/02/2021	241.05	0.00	6.88	Sell to Close
PUT AMZN 12/10/21	3480	AMAZON.COM INC   CUSIP:   Symbol(Box 1a): AMZN211210P03480000					
12/10/2021	1.00	1,959.96	12/10/2021	1,965.02	0.00	-5.06	Sell to Close
CALL QCOM 09/17/21	150	QUALCOMM INC   CUSIP:   Symbol(Box 1a): QCOM210917C00150000					
08/13/2021	1.00	319.93	08/12/2021	285.05	0.00	34.88	Sell to Close
PUT OXY 07/16/21	30	OCCIDENTAL PETROLEUM CORP   CUSIP:   Symbol(Box 1a): OXY210716P00030000					
07/12/2021	5.00	549.71	07/08/2021	625.27	0.00	-75.56	Sell to Close
CALL PFE 10/15/21	55	PFIZER INC   CUSIP:   Symbol(Box 1a): PFE211015C00055000					
08/31/2021	4.00	47.77	08/30/2021	100.21	0.00	-52.44	Sell to Close
PUT TSLA 12/03/21	1140	TESLA INC   CUSIP:   Symbol(Box 1a): TSLA211203P01140000					
11/30/2021	1.00	2,294.95	11/30/2021	2,280.02	0.00	14.93	Sell to Close
11/30/2021	1.00	2,444.95	11/30/2021	2,390.02	0.00	54.93	Sell to Close
11/30/2021	1.00	1,938.96	11/30/2021	1,700.02	0.00	238.94	Sell to Close

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APEX CLEARING

Proceeds from Broker and Barter Exchange Transactions

2021 Form 1099-B\*

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(continued)

01/31/2022

OMB No. 1545-0715

SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

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

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

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

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

Date Sold or Disposed (Box 1c)	Quantity	Proceeds (Box 1d)	Date Acquired (Box 1b)	Cost or Other Basis (Box 1e)	Accrued Market Discount (M)(Box 1f) & Wash Sale Loss Disallowed (D)(Box 1g)	Gain or Loss(-)	Additional Notes
11/30/2021	1.00	1,869.96	11/30/2021	1,805.02	0.00	64.94	Sell to Close
<b>Security Totals:</b>		<b>8,548.82</b>		<b>8,175.08</b>		<b>373.74</b>	
CALL SHOP 07/16/21 1600 SHOPIFY INC   CUSIP:   Symbol(Box 1a): SHOP210716C01600000							
07/08/2021	1.00	669.93	07/07/2021	3,580.05	0.00	-2,910.12	Sell to Close
CALL AFRM 11/12/21 170 AFFIRM HOLDINGS INC CL A   CUSIP:   Symbol(Box 1a): AFRM211112C00170000							
11/08/2021	1.00	1,029.94	11/08/2021	1,020.04	0.00	9.90	Sell to Close
PUT NVDA 09/10/21 222.50 NVIDIA CORPORATION   CUSIP:   Symbol(Box 1a): NVDA210910P00222500							
09/08/2021	1.00	197.93	09/08/2021	185.05	0.00	12.88	Sell to Close
CALL JMIA 11/19/21 20 JUMIA TECHNOLOGIES AG   CUSIP:   Symbol(Box 1a): JMIA211119C00020000							
11/16/2021	1.00	5.96	11/15/2021	87.02	0.00	-81.06	Sell to Close
CALL TMUS 09/03/21 145 T MOBILE US INC   CUSIP:   Symbol(Box 1a): TMUS210903C00145000							
08/30/2021	1.00	4.93	08/12/2021	251.05	0.00	-246.12	Sell to Close
CALL SNAP 10/15/21 80 SNAP INC   CUSIP:   Symbol(Box 1a): SNAP211015C00080000							
09/13/2021	2.00	271.88	Various	403.10	0.00	-131.22	Sell to Close
CALL TIGR 10/15/21 15 UP FINTECH HOLDINGS LIMITED   CUSIP:   Symbol(Box 1a): TIGR211015C00015000							
09/10/2021	1.00	195.93	08/31/2021	140.05	0.00	55.88	Sell to Close
CALL TSLA 11/12/21 1200 TESLA INC   CUSIP:   Symbol(Box 1a): TSLA211112C01200000							
11/10/2021	2.00	287.90	Various	679.08	321.09 D	-70.09	Sell to Close
11/11/2021	1.00	179.96	11/10/2021	461.13	0.00	-281.17	Sell to Close
<b>Security Totals:</b>		<b>467.86</b>		<b>1,140.21</b>		<b>-351.26</b>	
PUT NFLX 10/08/21 610 NETFLIX INC   CUSIP:   Symbol(Box 1a): NFLX211008P00610000							
09/30/2021	1.00	1,189.93	09/30/2021	1,100.05	0.00	89.88	Sell to Close

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APEX CLEARING

## Proceeds from Broker and Barter Exchange Transactions

2021 Form 1099-B\*

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(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 XEL 08/20/21	70	XCEL ENERGY INC   CUSIP:   Symbol(Box 1a): XEL210820C00070000					
07/19/2021	1.00	147.93	07/12/2021	70.05	0.00	77.88	Sell to Close
PUT TSLA 12/03/21	1050	TESLA INC   CUSIP:   Symbol(Box 1a): TSLA211203P01050000					
12/02/2021	1.00	1,124.96	12/02/2021	1,091.02	0.00	33.94	Sell to Close
CALL SNAP 10/08/21	80	SNAP INC   CUSIP:   Symbol(Box 1a): SNAP211008C00080000					
09/22/2021	1.00	246.93	09/22/2021	210.05	0.00	36.88	Sell to Close
CALL PLTR 08/20/21	22.50	PALANTIR TECHNOLOGIES INC CL A   CUSIP:   Symbol(Box 1a): PLTR210820C00022500					
08/09/2021	1.00	135.93	08/05/2021	120.05	0.00	15.88	Sell to Close
CALL PINS 12/17/21	50	PINTEREST INC CLASS A   CUSIP:   Symbol(Box 1a): PINS211217C00050000					
11/24/2021	1.00	32.96	11/05/2021	160.04	0.00	-127.08	Sell to Close
CALL BBIG 11/19/21	6	VINCO VENTURES INC   CUSIP:   Symbol(Box 1a): BBIG211119C00006000					
11/17/2021	4.00	7.89	10/29/2021	144.17	0.00	-136.28	Sell to Close
CALL V 09/17/21	250	VISA INC   CUSIP:   Symbol(Box 1a): V210917C00250000					
09/02/2021	1.00	15.93	08/24/2021	64.05	0.00	-48.12	Sell to Close
CALL PFE 10/15/21	45	PFIZER INC   CUSIP:   Symbol(Box 1a): PFE211015C00045000					
10/13/2021	3.00	2.85	10/07/2021	18.13	0.00	-15.28	Sell to Close
10/15/2021	2.00	0.00	10/07/2021	12.08	0.00	-12.08	Expiration
<b>Security Totals:</b>		<b>2.85</b>		<b>30.21</b>		<b>-27.36</b>	
CALL FISV 11/19/21	120	FISERV INC   CUSIP:   Symbol(Box 1a): FISV211119C00120000					
10/07/2021	3.00	233.85	Various	602.15	0.00	-368.30	Sell to Close
CALL PYPL 10/29/21	242.50	PAYPAL HOLDINGS INC   CUSIP:   Symbol(Box 1a): PYPL211029C00242500					
10/28/2021	2.00	99.90	10/27/2021	164.08	0.00	-64.18	Sell to Close

APEX CLEARING

## Proceeds from Broker and Barter Exchange Transactions

2021 Form 1099-B\*

5NB95646

(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.

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

Date Sold or Disposed (Box 1c)	Quantity	Proceeds (Box 1d)	Date Acquired (Box 1b)	Cost or Other Basis (Box 1e)	Accrued Market Discount (M)(Box 1f) & Wash Sale Loss Disallowed (D)(Box 1g)	Gain or Loss(-)	Additional Notes
CALL AMD 11/19/21 146 ADVANCED MICRO DEVICES INC   CUSIP:   Symbol(Box 1a): AMD211119C00146000							
11/12/2021	1.00	459.96	11/11/2021	370.02	0.00	89.94	Sell to Close
CALL AFRM 10/08/21 140 AFFIRM HOLDINGS INC CL A   CUSIP:   Symbol(Box 1a): AFRM211008C00140000							
10/07/2021	1.00	359.94	10/07/2021	327.04	0.00	32.90	Sell to Close
10/07/2021	2.00	189.90	Various	507.08	235.09 D	-82.09	Sell to Close
10/08/2021	1.00	194.94	10/08/2021	400.13	0.00	-205.19	Sell to Close
<b>Security Totals:</b>		<b>744.78</b>		<b>1,234.25</b>		<b>-254.38</b>	
PUT MU 12/23/21 73 MICRON TECHNOLOGY INC   CUSIP:   Symbol(Box 1a): MU211223P00073000							
12/21/2021	1.00	1.96	12/20/2021	65.02	0.00	-63.06	Sell to Close
CALL AMC 10/08/21 42 AMC ENTERTAINMENT HOLDINGS INC   CUSIP:   Symbol(Box 1a): AMC211008C00042000							
10/01/2021	1.00	241.94	09/30/2021	275.05	0.00	-33.11	Sell to Close
CALL MARA 12/10/21 55 MARATHON DIGITAL HOLDINGS INC   CUSIP:   Symbol(Box 1a): MARA211210C00055000							
12/01/2021	1.00	404.96	12/01/2021	346.02	0.00	58.94	Sell to Close
CALL MSFT 12/10/21 327.50 MICROSOFT CORP   CUSIP:   Symbol(Box 1a): MSFT211210C00327500							
12/06/2021	1.00	216.96	12/06/2021	280.02	0.00	-63.06	Sell to Close
CALL AMD 10/22/21 110 ADVANCED MICRO DEVICES INC   CUSIP:   Symbol(Box 1a): AMD211022C00110000							
10/14/2021	1.00	299.94	10/14/2021	242.04	0.00	57.90	Sell to Close
10/14/2021	2.00	559.90	10/13/2021	466.08	0.00	93.82	Sell to Close
10/15/2021	1.00	339.94	10/14/2021	278.04	0.00	61.90	Sell to Close
<b>Security Totals:</b>		<b>1,199.78</b>		<b>986.16</b>		<b>213.62</b>	
PUT AMZN 12/10/21 3350 AMAZON.COM INC   CUSIP:   Symbol(Box 1a): AMZN211210P03350000							
12/03/2021	1.00	4,499.94	12/03/2021	3,980.02	0.00	519.92	Sell to Close

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APEX CLEARING

Proceeds from Broker and Barter Exchange Transactions

2021 Form 1099-B\*

5NB95646

(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.

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

Date Sold or Disposed (Box 1c)	Quantity	Proceeds (Box 1d)	Date Acquired (Box 1b)	Cost or Other Basis (Box 1e)	Accrued Market Discount (M)(Box 1f) & Wash Sale Loss Disallowed (D)(Box 1g)	Gain or Loss(-)	Additional Notes
CALL YELP 02/18/22 39 YELP INC   CUSIP:   Symbol(Box 1a): YELP220218C00039000							
11/24/2021	1.00	189.96	11/05/2021	380.04	0.00	-190.08	Sell to Close
CALL PBR 01/21/22 8 PETROLEO BRASILEIRO SA   CUSIP:   Symbol(Box 1a): PBR220121C00008000							
10/14/2021	1.00	315.94	08/16/2021	315.05	0.00	0.89	Sell to Close
10/15/2021	1.00	314.94	10/14/2021	300.04	0.00	14.90	Sell to Close
10/20/2021	1.00	279.94	10/19/2021	272.04	0.00	7.90	Sell to Close
10/25/2021	1.00	241.94	10/22/2021	202.04	0.00	39.90	Sell to Close
<b>Security Totals:</b>		<b>1,152.76</b>		<b>1,089.17</b>		<b>63.59</b>	
CALL QCOM 11/12/21 170 QUALCOMM INC   CUSIP:   Symbol(Box 1a): QCOM211112C00170000							
11/08/2021	1.00	191.94	11/05/2021	170.04	0.00	21.90	Sell to Close
CALL NNDM 08/20/21 7.50 NANO DIMENSION LTD ADS   CUSIP:   Symbol(Box 1a): NNDM210820C00007500							
08/10/2021	3.00	86.82	08/05/2021	60.16	0.00	26.66	Sell to Close
CALL FB 08/20/21 367.50 FACEBOOK INC CL A   CUSIP:   Symbol(Box 1a): FB210820C00367500							
08/16/2021	1.00	213.93	08/16/2021	102.05	0.00	111.88	Sell to Close
CALL CCL 08/20/21 25 CARNIVAL CORP   CUSIP:   Symbol(Box 1a): CCL210820C00025000							
07/15/2021	2.00	69.87	Various	190.10	0.00	-120.23	Sell to Close
CALL GSAT 12/17/21 2.50 GLOBALSTAR INC   CUSIP:   Symbol(Box 1a): GSAT211217C00002500							
09/15/2021	2.00	49.88	Various	155.10	0.00	-105.22	Sell to Close
CALL ASTR 11/19/21 10 ASTRA SPACE INC CLASS A   CUSIP:   Symbol(Box 1a): ASTR211119C00010000							
10/28/2021	1.00	104.94	10/21/2021	105.04	0.00	-0.10	Sell to Close
CALL GREE 11/19/21 30 GREENIDGE GENERATION HLDNG INC   CUSIP:   Symbol(Box 1a): GREE211119C00030000							
11/08/2021	1.00	569.94	11/08/2021	440.04	0.00	129.90	Sell to Close

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APEX CLEARING

Proceeds from Broker and Barter Exchange Transactions

2021 Form 1099-B\*

5NB95646

(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 SNOW 11/19/21 420 SNOWFLAKE INC CLASS A   CUSIP:   Symbol(Box 1a): SNOW211119C00420000							
11/18/2021	1.00	29.96	11/16/2021	170.02	0.00	-140.06	Sell to Close
PUT DIS 10/08/21 170 WALT DISNEY CO   CUSIP:   Symbol(Box 1a): DIS211008P00170000							
09/21/2021	1.00	374.93	09/21/2021	315.05	0.00	59.88	Sell to Close
09/22/2021	1.00	299.93	09/21/2021	305.05	0.00	-5.12	Sell to Close
<b>Security Totals:</b>		<b>674.86</b>		<b>620.10</b>		<b>54.76</b>	
CALL TSLA 12/03/21 1200 TESLA INC   CUSIP:   Symbol(Box 1a): TSLA211203C01200000							
12/01/2021	1.00	909.96	12/01/2021	897.02	0.00	12.94	Sell to Close
CALL ANY 11/05/21 6.50 SPHERE 3D CORP   CUSIP:   Symbol(Box 1a): ANY211105C00006500							
11/02/2021	1.00	71.94	10/28/2021	58.04	0.00	13.90	Sell to Close
EXELA TECHNOLOGIES INC COMMON STOCK   CUSIP: 30162V409   Symbol(Box 1a): XELA							
10/29/2021	200.00	391.97	10/28/2021	428.00	0.00	-36.03	Sale
PUT SPY 08/27/21 449 STANDARD & POORS DEPOSITORY   CUSIP:   Symbol(Box 1a): SPY210827P00449000							
08/26/2021	1.00	140.93	08/25/2021	116.05	0.00	24.88	Sell to Close
CALL AAL 12/17/21 20 AMERICAN AIRLINES GROUP INC   CUSIP:   Symbol(Box 1a): AAL211217C00020000							
10/04/2021	1.00	292.94	09/13/2021	150.05	0.00	142.89	Sell to Close
11/05/2021	2.00	501.90	Various	378.08	0.00	123.82	Sell to Close
11/23/2021	1.00	93.96	10/22/2021	96.04	0.00	-2.08	Sell to Close
<b>Security Totals:</b>		<b>888.80</b>		<b>624.17</b>		<b>264.63</b>	
CALL PATH 10/15/21 55 UIPATH INC CLASS A   CUSIP:   Symbol(Box 1a): PATH211015C00055000							
09/27/2021	1.00	179.93	09/23/2021	180.05	0.00	-0.12	Sell to Close

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APEX CLEARING

## Proceeds from Broker and Barter Exchange Transactions

2021 Form 1099-B\*

5NB95646

(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 NIO 01/20/23	80	NIO INC ADS   CUSIP:   Symbol(Box 1a): NIO230120C00080000					
11/22/2021	1.00	399.96	11/05/2021	375.04	0.00	24.92	Sell to Close
11/23/2021	1.00	434.96	11/22/2021	375.02	0.00	59.94	Sell to Close
<b>Security Totals:</b>		<b>834.92</b>		<b>750.06</b>		<b>84.86</b>	
CALL BBBY 11/19/21	28	BED BATH & BEYOND INC   CUSIP:   Symbol(Box 1a): BBBY211119C00028000					
11/16/2021	1.00	13.96	11/11/2021	90.02	0.00	-76.06	Sell to Close
CALL AFRM 11/05/21	160	AFFIRM HOLDINGS INC CL A   CUSIP:   Symbol(Box 1a): AFRM211105C00160000					
11/01/2021	1.00	399.94	11/01/2021	360.04	0.00	39.90	Sell to Close
CALL HD 08/20/21	345	HOME DEPOT INC   CUSIP:   Symbol(Box 1a): HD210820C00345000					
08/03/2021	1.00	169.93	07/09/2021	210.05	0.00	-40.12	Sell to Close
CALL DIS 10/01/21	177.50	WALT DISNEY CO   CUSIP:   Symbol(Box 1a): DIS211001C00177500					
09/28/2021	1.00	111.93	09/28/2021	89.05	0.00	22.88	Sell to Close
CALL RIDE 07/23/21	9	LORDSTOWN MOTORS CRP CL A   CUSIP:   Symbol(Box 1a): RIDE210723C00009000					
07/15/2021	1.00	51.93	07/15/2021	78.05	0.00	-26.12	Sell to Close
CALL CSCO 11/19/21	58	CISCO SYSTEMS INC   CUSIP:   Symbol(Box 1a): CSCO211119C00058000					
11/18/2021	1.00	0.96	11/17/2021	94.02	0.00	-93.06	Sell to Close
PUT MRNA 11/05/21	310	MODERNA INC   CUSIP:   Symbol(Box 1a): MRNA211105P00310000					
11/04/2021	1.00	2,099.93	11/03/2021	161.04	0.00	1,938.89	Sell to Close
CALL BAC 09/17/21	41	BANK OF AMERICA CORP   CUSIP:   Symbol(Box 1a): BAC210917C00041000					
08/23/2021	1.00	89.93	08/20/2021	77.05	0.00	12.88	Sell to Close
CALL GOOGL 12/23/21	2840	ALPHABET INC CLASS A   CUSIP:   Symbol(Box 1a): GOOGL211223C02840000					
12/20/2021	1.00	1,399.96	12/20/2021	1,360.02	0.00	39.94	Sell to Close

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APEX CLEARING

## Proceeds from Broker and Barter Exchange Transactions

2021 Form 1099-B\*

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(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
12/21/2021	1.00	2,999.95	12/21/2021	2,900.02	0.00	99.93	Sell to Close
<b>Security Totals:</b>		<b>4,399.91</b>		<b>4,260.04</b>		<b>139.87</b>	
CALL BA 07/16/21 245			BOEING CO   CUSIP:   Symbol(Box 1a): BA210716C00245000				
07/12/2021	1.00	93.93	07/12/2021	81.05	0.00	12.88	Sell to Close
CALL RBLX 10/15/21 90			ROBLOX CORPORATION   CUSIP:   Symbol(Box 1a): RBLX211015C00090000				
09/09/2021	1.00	329.93	09/03/2021	300.05	0.00	29.88	Sell to Close
CALL BABA 09/03/21 177.50			ALIBABA GROUP HOLDING LIMITED   CUSIP:   Symbol(Box 1a): BABA210903C00177500				
09/02/2021	1.00	135.93	09/02/2021	118.05	0.00	17.88	Sell to Close
09/03/2021	1.00	2.93	09/02/2021	30.05	0.00	-27.12	Sell to Close
<b>Security Totals:</b>		<b>138.86</b>		<b>148.10</b>		<b>-9.24</b>	
CALL MU 09/17/21 75			MICRON TECHNOLOGY INC   CUSIP:   Symbol(Box 1a): MU210917C00075000				
08/25/2021	1.00	141.93	08/18/2021	144.05	0.00	-2.12	Sell to Close
CALL GM 12/03/21 60			GENERAL MOTORS COMPANY   CUSIP:   Symbol(Box 1a): GM211203C00060000				
11/04/2021	1.00	168.94	11/04/2021	130.04	0.00	38.90	Sell to Close
PUT PLAY 12/10/21 31			DAVE & BUSTERS ENTERTAINMENT   CUSIP:   Symbol(Box 1a): PLAY211210P00031000				
12/07/2021	1.00	138.96	12/07/2021	130.02	0.00	8.94	Sell to Close
CALL LEN 09/17/21 110			LENNAR CORP   CUSIP:   Symbol(Box 1a): LEN210917C00110000				
08/13/2021	1.00	349.93	08/12/2021	330.05	0.00	19.88	Sell to Close
CALL TSLA 11/05/21 1250			TESLA INC   CUSIP:   Symbol(Box 1a): TSLA211105C01250000				
11/02/2021	1.00	1,849.94	11/02/2021	1,780.04	0.00	69.90	Sell to Close
11/02/2021	1.00	1,149.94	11/02/2021	1,850.04	700.1 D	0.00	Sell to Close

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APEX CLEARING

## Proceeds from Broker and Barter Exchange Transactions

2021 Form 1099-B\*

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(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 11/05/21 1250 TESLA INC   CUSIP:   Symbol(Box 1a): TSLA211105C01250000							
11/02/2021	1.00	1,429.94	11/02/2021	1,700.14	270.2 D	0.00	Sell to Close
11/02/2021	1.00	1,925.94	11/02/2021	1,750.04	0.00	175.90	Sell to Close
11/04/2021	1.00	1,399.94	11/04/2021	1,350.04	0.00	49.90	Sell to Close
11/04/2021	1.00	1,859.94	11/04/2021	1,910.45	50.51 D	0.00	Sell to Close
11/04/2021	1.00	1,879.94	11/04/2021	1,860.55	0.00	19.39	Sell to Close
11/04/2021	1.00	1,999.93	11/04/2021	2,120.24	120.31 D	0.00	Sell to Close
11/04/2021	1.00	1,849.94	11/04/2021	1,800.04	0.00	49.90	Sell to Close
11/04/2021	1.00	1,899.94	11/04/2021	1,960.35	60.41 D	0.00	Sell to Close
11/04/2021	1.00	1,799.94	11/04/2021	1,744.04	0.00	55.90	Sell to Close
<b>Security Totals:</b>		<b>19,045.33</b>		<b>19,825.97</b>		<b>420.89</b>	
CALL ZM 11/19/21 290 ZOOM VIDEO COMMUNICATIONS INC   CUSIP:   Symbol(Box 1a): ZM211119C00290000							
11/03/2021	1.00	729.94	11/01/2021	430.04	0.00	299.90	Sell to Close
CALL BBBY 11/19/21 23 BED BATH & BEYOND INC   CUSIP:   Symbol(Box 1a): BBBY211119C00023000							
11/17/2021	1.00	169.96	11/16/2021	65.02	0.00	104.94	Sell to Close
11/18/2021	1.00	119.96	11/17/2021	86.02	0.00	33.94	Sell to Close
<b>Security Totals:</b>		<b>289.92</b>		<b>151.04</b>		<b>138.88</b>	
CALL BA 10/22/21 232.50 BOEING CO   CUSIP:   Symbol(Box 1a): BA211022C00232500							
10/15/2021	4.00	131.81	Various	742.16	0.00	-610.35	Sell to Close

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APEX CLEARING

## Proceeds from Broker and Barter Exchange Transactions

2021 Form 1099-B\*

5NB95646

(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 SPY 12/17/21 461 STANDARD & POORS DEPOSITORY   CUSIP:   Symbol(Box 1a): SPY211217C00461000							
12/17/2021	1.00	266.96	12/17/2021	386.02	0.00	-119.06	Sell to Close
12/17/2021	1.00	399.96	12/17/2021	381.02	0.00	18.94	Sell to Close
<b>Security Totals:</b>		<b>666.92</b>		<b>767.04</b>		<b>-100.12</b>	
CALL NIO 07/30/21 46 NIO INC ADS   CUSIP:   Symbol(Box 1a): NIO210730C00046000							
07/12/2021	1.00	319.93	07/09/2021	283.05	0.00	36.88	Sell to Close
CALL PTON 03/18/22 100 PELOTON INTERACTIVE INC CL A   CUSIP:   Symbol(Box 1a): PTON220318C00100000							
11/24/2021	1.00	44.96	11/05/2021	135.04	0.00	-90.08	Sell to Close
CALL NVDA 10/01/21 215 NVIDIA CORPORATION   CUSIP:   Symbol(Box 1a): NVDA211001C00215000							
09/29/2021	1.00	119.93	09/28/2021	117.05	0.00	2.88	Sell to Close
CALL PATH 12/17/21 55 UIPATH INC CLASS A   CUSIP:   Symbol(Box 1a): PATH211217C00055000							
12/09/2021	1.00	44.96	12/08/2021	150.02	0.00	-105.06	Sell to Close
CALL BABA 11/19/21 180 ALIBABA GROUP HOLDING LIMITED   CUSIP:   Symbol(Box 1a): BABA211119C00180000							
11/18/2021	1.00	1.96	11/15/2021	117.02	0.00	-115.06	Sell to Close
CALL AFRM 09/17/21 115 AFFIRM HOLDINGS INC CL A   CUSIP:   Symbol(Box 1a): AFRM210917C00115000							
09/15/2021	1.00	219.93	09/15/2021	200.05	0.00	19.88	Sell to Close
CALL HPQ 09/03/21 29 HP INC   CUSIP:   Symbol(Box 1a): HPQ210903C00029000							
08/24/2021	1.00	81.93	08/02/2021	139.05	0.00	-57.12	Sell to Close
CALL TSLA 10/08/21 820 TESLA INC   CUSIP:   Symbol(Box 1a): TSLA211008C00820000							
10/04/2021	2.00	1,199.90	Various	1,145.08	0.00	54.82	Sell to Close
PUT MU 10/01/21 69 MICRON TECHNOLOGY INC   CUSIP:   Symbol(Box 1a): MU211001P00069000							
09/29/2021	1.00	48.93	09/28/2021	57.05	0.00	-8.12	Sell to Close

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APEX CLEARING

## Proceeds from Broker and Barter Exchange Transactions

2021 Form 1099-B\*

5NB95646

(continued)

01/31/2022

OMB No. 1545-0715

**SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS**

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

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

Date Sold or Disposed (Box 1c)	Quantity	Proceeds (Box 1d)	Date Acquired (Box 1b)	Cost or Other Basis (Box 1e)	Accrued Market Discount (M)(Box 1f) & Wash Sale Loss Disallowed (D)(Box 1g)	Gain or Loss(-)	Additional Notes
<b>Description of property   CUSIP   Symbol(Box 1a)</b>							
PUT FB 07/16/21	340	FACEBOOK INC CL A   CUSIP:   Symbol(Box 1a): FB210716P00340000					
07/08/2021	9.00	3,419.47	07/08/2021	3,420.50	0.00	-1.03	Sell to Close
07/08/2021	1.00	384.93	07/08/2021	380.05	0.00	4.88	Sell to Close
<b>Security Totals:</b>		<b>3,804.40</b>		<b>3,800.55</b>		<b>3.85</b>	
<b>Description of property   CUSIP   Symbol(Box 1a)</b>							
PUT UBER 07/30/21	45	UBER TECHNOLOGIES INC   CUSIP:   Symbol(Box 1a): UBER210730P00045000					
07/19/2021	1.00	138.93	07/15/2021	88.05	0.00	50.88	Sell to Close
<b>Description of property   CUSIP   Symbol(Box 1a)</b>							
CALL BA 07/16/21	240	BOEING CO   CUSIP:   Symbol(Box 1a): BA210716C00240000					
07/09/2021	1.00	379.93	07/09/2021	340.05	0.00	39.88	Sell to Close
<b>Description of property   CUSIP   Symbol(Box 1a)</b>							
PUT TSLA 11/12/21	990	TESLA INC   CUSIP:   Symbol(Box 1a): TSLA211112P00990000					
11/12/2021	1.00	48.96	11/12/2021	200.02	0.00	-151.06	Sell to Close
<b>Totals:</b>		<b>426,908.79</b>		<b>446,161.46</b>		<b>-2,086.39</b>	

APEX CLEARING

## Proceeds from Broker and Barter Exchange Transactions

2021 Form 1099-B\*

5NB95646

(continued)

01/31/2022

OMB No. 1545-0715

**LONG TERM TRANSACTIONS FOR COVERED TAX LOTS**

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

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

Date Sold or Disposed (Box 1c)	Quantity	Proceeds (Box 1d)	Date Acquired (Box 1b)	Cost or Other Basis (Box 1e)	Accrued Market Discount (M)(Box 1f) & Wash Sale Loss Disallowed (D)(Box 1g)	Gain or Loss(-)	Additional Notes
***ALAMOS GOLD INC COM CL A   CUSIP: 011532108   Symbol(Box 1a): AGI							
12/16/2021	1.00	7.13	11/08/2020	10.02	0.00	-2.89	Sale
SOUTHWESTERN ENERGY CO   CUSIP: 845467109   Symbol(Box 1a): SWN							
12/16/2021	1.00	4.77	11/01/2020	2.67	0.00	2.10	Sale
ZYNGA INC CLASS A   CUSIP: 98986T108   Symbol(Box 1a): ZNGA							
12/16/2021	4.00	25.70	Various	34.92	0.00	-9.22	Sale
<b>Totals:</b>		<b>37.60</b>		<b>47.61</b>		<b>-10.01</b>	

## Common Instructions for Recipient

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

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

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

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

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

## Keep tax documents for your records.

### 1099-DIV Instructions for Recipient

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

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

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

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

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

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

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

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

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

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

See the instructions for your tax return.

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

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

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

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

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

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

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

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

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

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

### 1099-INT Instructions for Recipient

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

**Box 1.** Shows taxable interest paid to you during the calendar year by the payer. This does not include interest shown in box 3. May also show the total amount of the credits from clean renewable energy bonds, new clean renewable energy bonds, qualified energy conservation bonds, qualified zone academy bonds, qualified school construction bonds, and build America bonds that must be included in your interest income. These amounts were treated as paid to you during 2021 on the credit allowance dates (March 15, June 15, September 15, and December 15). For more information, see Form 8912. See the instructions above for a taxable covered security acquired at a premium.

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

### 1099-B Instructions for Recipient

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

#### 1099-MISC Instructions for Recipient

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

#### 1099-OID Instructions for Recipient

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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