

TD Ameritrade Clearing, Inc.

Account 686108785

Summary Information

2021

(continued)

01/20/2022

INTEREST INCOME

2021 1099-INT

OMB No. 1545-0112

This is important tax information and is being furnished to the Internal Revenue Service. If you are required to file a return, a negligence penalty or other sanction may be imposed on you if this income is taxable and the IRS determines that it has not been reported.

1- Interest income (not included in line 3)	1.54
2- Early withdrawal penalty	0.00
3- Interest on US Savings Bonds & Treasury obligations	0.00
4- Federal income tax withheld	0.00
5- Investment expenses	0.00
7- Foreign country or US possession:	0.00
6- Foreign tax paid:	0.00
8- Tax-exempt interest (includes line 9)	0.00
9- Specified private activity bond interest (AMT)	0.00
10- Market discount (covered lots)	0.00
11- Bond premium (covered lots)	0.00
12- Bond premium on Treasury obligations (covered lots)	0.00
13- Bond premium on tax-exempt bonds (categorized below)	0.00
Tax-exempt obligations (covered lots)	0.00
Tax-exempt private activity obligations (AMT, covered lots)	0.00
14- Tax-exempt and tax credit bond CUSIP number	See detail

The following amounts are not reported to the IRS. They are presented here for your reference when preparing your tax return(s).

Taxable accrued interest paid	0.00
Taxable accrued Treasury interest paid	0.00
Tax-exempt accrued interest paid	0.00
Tax-exempt accrued interest paid (AMT)	0.00
Taxable accrued nonqualified interest paid	0.00
Tax-exempt accrued nonqualified interest paid	0.00
Tax-exempt accrued nonqualified interest paid (AMT)	0.00
Nonqualified interest	0.00
Tax-exempt nonqualified interest	0.00
Tax-exempt nonqualified interest (AMT)	0.00
Interest shortfall on contingent payment debt	0.00
Bond premium- Non Treasury obligations (noncovered lots)	0.00
Bond premium- Treasury obligations (noncovered lots)	0.00
Bond premium- Tax-exempt obligations (noncovered lots)	0.00
Bond premium- Tax-exempt obligations (AMT, noncovered lots)	0.00
Market discount (noncovered lots)	0.00

STATE TAX WITHHELD

Use the details of the State Tax Withholding page(s) to determine the appropriate amounts for your income tax return(s). The amounts shown in this section are for your reference.

1099-DIV total withheld	0.00
1099-INT total withheld	0.00
1099-OID total withheld	0.00
1099-MISC total withheld	0.00
1099-B total withheld	0.00

ORIGINAL ISSUE DISCOUNT AND ADJUSTMENTS

Use bond-by-bond details from the Form 1099-OID page(s) to determine amounts of Original Issue Discount income for your income tax return(s). The amounts shown in this section are for your reference when preparing your income tax return(s).

Original issue discount for the year	0.00
Acquisition premium (covered lots)	0.00
Acquisition premium (noncovered lots)	0.00
Original issue discount on Treasury obligations	0.00
Acquisition premium, Treasury obligations (covered lots)	0.00
Acquisition premium, Treasury obligations (noncovered lots)	0.00
Tax-exempt OID	0.00
Tax-exempt OID (lots not reported)	0.00
Acquisition premium (covered)	0.00
Acquisition premium (lots not reported)	0.00
Tax-exempt OID on private activity bonds	0.00
Tax-exempt OID on private activity bonds (lots not reported)	0.00
Acquisition premium (AMT, covered)	0.00
Acquisition premium (AMT, lots not reported)	0.00
Market discount (all lots)	0.00
Early withdrawal penalty	0.00
Investment expenses	0.00

RECONCILIATIONS, FEES, EXPENSES AND EXPENDITURES

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Other Receipts & Reconciliations- Partnership distributions	0.00
Other Receipts & Reconciliations- Foreign tax paid- partnership	0.00
Other Receipts & Reconciliations- Return of principal	0.00
Other Receipts & Reconciliations- Deferred income payment	0.00
Other Receipts & Reconciliations- Deemed premium	0.00
Other Receipts & Reconciliations- Income accrual- UIT	0.00
Other Receipts & Reconciliations- Basis adjustments	0.00
Other Receipts & Reconciliations- Foreign tax pd beyond treaty	0.00
Fees & Expenses- Margin interest	3,707.13
Fees & Expenses- Dividends paid on short position	0.00
Fees & Expenses- Interest paid on short position	0.00
Fees & Expenses- Non reportable distribution expense	0.00
Fees & Expenses- Other expenses	0.00
Fees & Expenses- Severance tax	0.00
Fees & Expenses- Organizational expense	0.00
Fees & Expenses- Miscellaneous fees	0.00
Fees & Expenses- Tax-exempt investment expense	0.00
Foreign Exchange Gains & Losses- Foreign currency gain/loss	0.00

TD Ameritrade Clearing, Inc.

Account 686108785

Proceeds from Broker and Barter Exchange Transactions

2021 1099-B* OMB No. 1545-0715

01/20/2022

Sales transactions are grouped by their term (long, short or undetermined) and covered status (covered or noncovered). For tax lots whose term is undetermined, use your historical documents to establish the cost basis and date of purchase. Tax lots with an additional notation of "Ordinary" represent neither short- nor long-term capital transactions. You may wish to consult with your tax advisor, the IRS or your state tax authority regarding the proper treatment.

Closing of written options is presented in a distinct manner in accordance with IRS regulation. For these transactions the Cost or other basis (column 1e) is always presented as \$0.00 and the Proceeds (column 1d) is the net of proceeds received when the option was written and the cost to close the position.

Several column headings describe two related items: a quantity and a qualifier. For example, proceeds and, if the sale is the result of an option exercise or assignment, whether the proceeds are gross or net (adjusted for any option premium). When these conditions exist, the qualifier is shown to the right of the amount.

Long positions are reported based on the trade date and short positions are reported based on the settlement date of the trade.

FATCA filing requirement []

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

Report on Form 8949, Part I with Box A checked. Basis is provided to the IRS. (Line 12)

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

1a- Description of property/CUSIP/Symbol

1c- Date sold or disposed	Quantity	1d- Proceeds & 6- Reported (G)ross or (N)et	1b- Date acquired	1e- Cost or other basis	1f- Accrued mkt disc (D) & 1g- Wash sale loss disallowed (W)	7- Gain or loss(-) & Loss not allowed (X) also not reported (Z)	Additional information
ALFI INC COM / CUSIP: 00161P109 / Symbol: ALF							
06/18/21	3,000.000	23,699.52	06/18/21	24,707.00	1,007.48 W	0.00	Sale
06/21/21	1,720.000	13,759.90	06/21/21	14,838.40	174.07 W	-904.43	Sale
06/22/21	1,580.000	15,285.63	Various	16,203.80	...	-918.17	Total of 2 transactions
	Security total:	52,745.05		55,749.20	1,181.55 W	-1,822.60	
AMC ENTERTAINMENT HOLDINGS INC COM CL A / CUSIP: 00165C104 / Symbol: AMC							
06/03/21	580.000	27,996.39	06/03/21	27,639.00	...	357.39	Sale
06/04/21	2,740.000	121,342.12	Various	129,202.03	7,904.93 W	45.02	Total of 9 transactions
06/10/21	56.000	2,685.75	06/09/21	2,848.20	...	-162.45	Sale
06/10/21	112.000	5,365.88	06/09/21	5,591.09	48.53 W	-176.68	Sale
06/17/21	190.000	11,532.94	Various	12,068.46	...	-535.52	Total of 2 transactions
06/18/21	190.000	11,711.52	06/18/21	12,250.47	...	-538.95	Sale
	Security total:	180,634.60		189,599.25	7,953.46 W	-1,011.19	
AEMETIS INC COM / CUSIP: 00770K202 / Symbol: AMTX							
03/02/21	1,361.000	23,075.08	Various	30,052.68	...	-6,977.60	Total of 7 transactions
03/02/21	4,639.000	78,768.45	Various	92,943.55	10,283.53 W	-3,891.57	Total of 8 transactions
	Security total:	101,843.53		122,996.23	10,283.53 W	-10,869.17	

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2021 1099-B* OMB No. 1545-0715

(continued)

01/20/2022

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AETHLON MEDICAL INC COM / CUSIP: 00808Y307 / Symbol: AEMD							
06/09/21	3,000.000	33,203.08	Various	33,144.75	...	58.33	Total of 4 transactions
06/09/21	2,000.000	21,544.85	Various	22,984.79	1,439.94 W	0.00	Total of 2 transactions
	Security total:	54,747.93		56,129.54	1,439.94 W	58.33	
ALLIED HEALTHCARE PRODUCTS INC COM / CUSIP: 019222207 / Symbol: AHPI							
07/14/21	1,860.000	11,366.74	07/13/21	13,899.13	2,532.39 W	0.00	Sale
07/19/21	700.000	6,631.55	07/19/21	4,971.19	...	1,660.36	Sale
07/20/21	1,300.000	7,568.41	07/19/21	8,877.60	...	-1,309.19	Sale
	Security total:	25,566.70		27,747.92	2,532.39 W	351.17	
ALPHA PRO TECH COM / CUSIP: 020772109 / Symbol: APT							
07/19/21	2,000.000	18,870.27	Various	15,920.00	...	2,950.27	Total of 2 transactions
ALTERITY THERAPEUTICS LIMITED ADR SPONSORED / CUSIP: 02155X106 / Symbol: ATHE							
07/02/21	800.000	1,463.89	07/01/21	1,910.00	...	-446.11	Sale
ALTERYX INC COM CL A / CUSIP: 02156B103 / Symbol: AYX							
02/12/21	5,165.000	617,285.69	Various	613,281.97	...	4,003.72	Total of 12 transactions
02/12/21	3,859.000	452,984.37	Various	453,688.38	723.27 W	19.26	Total of 6 transactions
	Security total:	1,070,270.06		1,066,970.35	723.27 W	4,022.98	
AMARIN CORP ADR SPONSORED / CUSIP: 023111206 / Symbol: AMRN							
02/01/21	19,590.000	151,425.02	02/01/21	159,569.76	...	-8,144.74	Sale
02/01/21	21,615.000	172,146.12	Various	177,618.94	5,472.82 W	0.00	Total of 4 transactions
	Security total:	323,571.14		337,188.70	5,472.82 W	-8,144.74	
AMERICAN REALTY INVESTORS INC COM / CUSIP: 029174109 / Symbol: ARL							
07/15/21	700.000	8,686.87	07/15/21	12,487.90	...	-3,801.03	Sale
APOLLO ENDOSURGERY INC COM / CUSIP: 03767D108 / Symbol: APEN							
03/01/21	9,743.000	57,748.35	Various	79,514.46	...	-21,766.11	Total of 6 transactions
03/01/21	40,257.000	250,735.70	Various	305,618.96	51,544.23 W	-3,339.03	Total of 17 transactions
	Security total:	308,484.05		385,133.42	51,544.23 W	-25,105.14	

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Proceeds from Broker and Barter Exchange Transactions

2021 1099-B* OMB No. 1545-0715

(continued)

01/20/2022

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APEX TECHNOLOGY ACQUISITION CO 1:1 EXC 7/2/21 053604104 / CUSIP: 03768F102 / Symbol: APXT							
04/14/21	9,504.000	116,027.08	Various	123,679.77	...	-7,652.69	Total of 5 transactions
04/14/21	696.000	8,498.04	04/14/21	9,048.00	305.01 W	-244.95	Sale
	Security total:	124,525.12		132,727.77	305.01 W	-7,897.64	
APPLIED UV INC COM / CUSIP: 03828V105 / Symbol: AUVI							
02/09/21	14,972.000	139,150.10	Various	133,299.37	...	5,850.73	Total of 24 transactions
02/09/21	20,104.000	182,738.85	Various	195,576.90	14,471.29 W	1,633.24	Total of 19 transactions
	Security total:	321,888.95		328,876.27	14,471.29 W	7,483.97	
ATOSSA THERAPEUTICS INC COM / CUSIP: 04962H506 / Symbol: ATOS							
06/07/21	8,000.000	51,275.54	Various	49,200.00	...	2,075.54	Total of 8 transactions
BED BATH AND BEYOND COM / CUSIP: 075896100 / Symbol: BBBY							
06/02/21	500.000	21,554.83	06/02/21	20,879.89	...	674.94	Sale
06/03/21	1,175.000	36,943.75	Various	42,913.11	...	-5,969.36	Total of 5 transactions
06/03/21	1,510.000	55,222.81	Various	61,988.25	5,670.46 W	-1,094.98	Sale
	Security total:	113,721.39		125,781.25	5,670.46 W	-6,389.40	
BEYOND MEAT INC COM / CUSIP: 08862E109 / Symbol: BYND							
01/26/21	3,275.000	611,811.21	Various	632,964.15	...	-21,152.94	Total of 5 transactions
01/26/21	21,725.000	4,081,418.91	Various	4,291,521.35	209,498.08 W	-604.36	Total of 31 transactions
01/27/21	1,000.000	177,998.98	Various	183,564.07	...	-5,565.09	Total of 2 transactions
	Security total:	4,871,229.10		5,108,049.57	209,498.08 W	-27,322.39	
BIOGEN INC COM / CUSIP: 09062X103 / Symbol: BIIB							
06/04/21	375.000	108,131.19	Various	107,552.12	...	579.07	Total of 8 transactions
06/04/21	870.000	249,335.56	Various	249,557.42	369.08 W	147.22	Total of 5 transactions
06/07/21	130.000	38,187.29	06/04/21	37,751.87	...	435.42	Sale
06/07/21	380.000	140,097.48	Various	141,571.89	14,215.06 W	12,740.65	Total of 4 transactions
06/08/21	319.000	123,534.68	Various	137,449.23	13,993.15 W	78.60	Total of 5 transactions
06/18/21	200.000	77,514.21	06/18/21	91,618.78	...	-14,104.57	Sale
	Security total:	736,800.41		765,501.31	28,577.29 W	-123.61	

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Proceeds from Broker and Barter Exchange Transactions

2021 1099-B* OMB No. 1545-0715

(continued)

01/20/2022

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

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BLACKBERRY LTD COM / CUSIP: 09228F103 / Symbol: BB							
01/14/21	10,000.000	105,507.88	Various	103,053.00	...	2,454.88	Total of 12 transactions
01/15/21	6,200.000	69,545.85	Various	67,185.88	...	2,359.97	Total of 2 transactions
01/15/21	56,545.000	572,022.52	Various	655,887.86	84,164.51 W	299.17	Total of 23 transactions
01/19/21	5,000.000	61,600.54	01/15/21	50,665.31	...	10,935.23	Sale
01/19/21	12,981.000	140,924.50	Various	152,934.51	14,765.02 W	2,755.01	Total of 6 transactions
01/20/21	8,000.000	102,963.17	Various	80,184.47	...	22,778.70	Total of 5 transactions
01/21/21	7,853.000	98,095.61	Various	88,064.23	...	10,031.38	Total of 9 transactions
01/21/21	22,147.000	276,251.48	Various	274,220.30	3,756.24 W	5,787.42	Total of 10 transactions
01/22/21	8,000.000	120,400.45	Various	99,250.08	...	21,150.37	Total of 3 transactions
01/22/21	16,000.000	199,034.50	Various	200,939.82	2,476.26 W	570.94	Total of 2 transactions
01/25/21	16,000.000	313,250.90	Various	257,362.43	...	55,888.47	Total of 8 transactions
01/25/21	22,000.000	389,925.28	Various	386,288.45	2,421.81 W	6,058.64	Total of 9 transactions
01/27/21	15,000.000	279,753.59	Various	280,411.60	755.35 W	97.34	Total of 3 transactions
01/28/21	9,963.000	177,323.13	Various	169,860.56	...	7,462.57	Total of 8 transactions
01/28/21	17,537.000	278,849.19	Various	302,505.67	24,376.09 W	719.61	Total of 6 transactions
01/29/21	2,000.000	52,058.81	01/27/21	47,987.62	...	4,071.19	Short sale closed
01/29/21	140,478.000	3,404,051.76	Various	3,840,888.13	441,474.47 W	4,638.10	Total of 114 transactions
02/01/21	15,000.000	381,941.89	Various	373,049.00	...	8,892.89	Total of 3 transactions
02/01/21	25,000.000	399,756.03	Various	420,350.34	20,834.64 W	240.33	Total of 10 transactions
02/02/21	26,170.000	301,267.14	Various	332,256.76	31,085.99 W	96.37	Total of 8 transactions
02/03/21	30,000.000	352,692.11	Various	385,329.93	32,637.82 W	0.00	Total of 5 transactions
02/10/21	10,000.000	132,512.55	Various	146,038.11	6,527.37 W	-6,998.19	Total of 2 transactions
02/24/21	10,000.000	112,540.18	Various	122,258.19	...	-9,718.01	Total of 3 transactions
	Security total:	8,322,269.06		8,836,972.25	665,275.57 W	150,572.38	
BRIDGELINE DIGITAL INC COM / CUSIP: 10807Q700 / Symbol: BLIN							
07/01/21	300.000	1,871.98	06/30/21	1,677.00	...	194.98	Sale
07/02/21	630.000	5,531.36	07/02/21	4,638.37	...	892.99	Sale
07/09/21	565.000	4,463.47	07/08/21	4,369.54	...	93.93	Sale
07/13/21	300.000	2,177.95	07/13/21	2,431.73	...	-253.78	Sale
07/13/21	1,800.000	12,239.73	07/13/21	13,769.90	255.05 W	-1,275.12	Sale
	Security total:	26,284.49		26,886.54	255.05 W	-347.00	

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CHF SOLUTIONS INC N/C 4/27/21 67113Y108 / CUSIP: 12542Q870 / Symbol: CHFS							
03/02/21	3,241.000	28,617.49	03/02/21	33,606.72	...	-4,989.23	Sale
03/02/21	1,759.000	15,624.26	Various	18,962.21	3,337.95 W	0.00	Total of 9 transactions
	Security total:	44,241.75		52,568.93	3,337.95 W	-4,989.23	
CIIG MERGER CORP 1:1 EXC 3/25/21 L0423Q108 / CUSIP: 12559C103 / Symbol: CIIC							
01/14/21	2,000.000	58,798.46	Various	59,065.75	...	-267.29	Total of 2 transactions
01/14/21	10,000.000	290,550.72	Various	293,341.85	3,508.88 W	717.75	Total of 6 transactions
	Security total:	349,349.18		352,407.60	3,508.88 W	450.46	
CANGO INC ADR / CUSIP: 137586103 / Symbol: CANG							
01/04/21	16,500.000	116,035.75	Various	161,801.91	45,974.88 W	208.72	Total of 9 transactions
01/12/21	3,000.000	22,063.65	Various	35,156.76	...	-13,093.11	Total of 4 transactions
01/12/21	5,000.000	36,805.95	Various	54,587.49	17,886.29 W	104.75	Total of 6 transactions
	Security total:	174,905.35		251,546.16	63,861.17 W	-12,779.64	
CANOO INC COM CL A / CUSIP: 13803R102 / Symbol: GOEV							
06/15/21	1,000.000	10,860.93	Various	10,950.00	89.07 W	0.00	Total of 2 transactions
06/16/21	1,500.000	15,471.36	Various	16,106.69	...	-635.33	Total of 3 transactions
06/16/21	10,200.000	104,845.85	Various	108,246.37	2,348.77 W	-1,051.75	Total of 2 transactions
	Security total:	131,178.14		135,303.06	2,437.84 W	-1,687.08	
CAPRICOR THERAPEUTICS INC COM / CUSIP: 14070B309 / Symbol: CAPR							
01/25/21	10,000.000	76,726.44	Various	75,300.00	...	1,426.44	Total of 4 transactions
CASSAVA SCIENCES INC COM / CUSIP: 14817C107 / Symbol: SAVA							
02/02/21	3,501.000	235,666.02	Various	219,521.60	...	16,144.42	Total of 16 transactions
02/02/21	5,499.000	324,894.45	Various	359,969.99	35,571.96 W	496.42	Total of 13 transactions
02/03/21	200.000	12,254.68	Various	11,270.28	...	984.40	Total of 4 transactions
02/03/21	2,800.000	217,773.36	Various	222,338.68	6,786.18 W	2,220.86	Total of 4 transactions
02/04/21	1,278.000	121,217.61	Various	105,710.76	...	15,506.85	Total of 5 transactions
02/04/21	7,606.000	522,399.16	Various	559,441.52	43,220.11 W	6,177.75	Total of 11 transactions
02/05/21	5,000.000	226,134.40	Various	351,646.85	125,512.45 W	0.00	Total of 5 transactions
02/08/21	1,000.000	56,598.64	02/08/21	80,794.17	...	-24,195.53	Sale
	Security total:	1,716,938.32		1,910,693.85	211,090.70 W	17,335.17	

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TD Ameritrade Clearing, Inc.

Account 686108785

Proceeds from Broker and Barter Exchange Transactions

2021 1099-B* OMB No. 1545-0715

(continued)

01/20/2022

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

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CHEMOCENTRYX INC COM / CUSIP: 16383L106 / Symbol: CCXI							
06/18/21	1,490.000	19,965.72	06/18/21	20,085.05	112.92 W	-6.41	Sale
06/21/21	1,510.000	20,248.82	06/18/21	20,224.84	...	23.98	Sale
07/06/21	410.000	5,868.43	Various	5,793.59	...	74.84	Total of 2 transactions
	Security total:	46,082.97		46,103.48	112.92 W	92.41	
CHEMOMAB THERAPEUTICS LTD ADR / CUSIP: 16385C104 / Symbol: CMMB							
06/15/21	486.000	11,183.52	06/15/21	11,510.74	...	-327.22	Sale
06/15/21	14.000	322.70	06/15/21	331.90	9.20 W	0.00	Sale
	Security total:	11,506.22		11,842.64	9.20 W	-327.22	
CINEMARK HOLDINGS INC COM / CUSIP: 17243V102 / Symbol: CNK							
01/14/21	5,000.000	95,897.78	01/14/21	95,089.50	...	808.28	Sale
CLEAN ENERGY FUELS CORPORATION COM / CUSIP: 184499101 / Symbol: CLNE							
06/09/21	842.000	11,585.76	06/09/21	12,074.44	...	-488.68	Sale
06/09/21	3,158.000	43,642.96	06/09/21	45,241.85	513.78 W	-1,085.11	Sale
	Security total:	55,228.72		57,316.29	513.78 W	-1,573.79	
CLEANSPARK INC COM / CUSIP: 18452B209 / Symbol: CLSK							
02/18/21	6,198.000	239,232.34	Various	221,085.84	...	18,146.50	Total of 22 transactions
02/18/21	38,802.000	1,421,195.70	Various	1,487,378.41	79,933.61 W	13,750.90	Total of 21 transactions
02/19/21	2,266.000	82,503.29	Various	80,743.68	...	1,759.61	Total of 9 transactions
02/19/21	26,329.000	939,918.44	Various	955,387.71	22,560.71 W	7,091.44	Total of 35 transactions
02/22/21	4,739.000	147,852.97	02/22/21	169,502.76	...	-21,649.79	Sale
02/22/21	17,266.000	551,870.65	Various	605,430.01	40,028.90 W	-13,530.46	Total of 3 transactions
04/12/21	551.000	11,135.58	04/12/21	11,537.97	...	-402.39	Sale
04/12/21	29,449.000	595,632.41	Various	609,716.95	1,754.88 W	-12,329.66	Total of 12 transactions
	Security total:	3,989,341.38		4,140,783.33	144,278.10 W	-7,163.85	
CLIMATE CHANGE CRISIS REAL IMP 1:1 EXC 7/2/21 30052F100 / CUSIP: 18716C100 / Symbol: CLII							
01/22/21	6,000.000	133,235.03	Various	126,724.24	...	6,510.79	Total of 5 transactions
01/22/21	4,000.000	86,217.61	Various	89,891.91	3,674.30 W	0.00	Total of 2 transactions
	Security total:	219,452.64		216,616.15	3,674.30 W	6,510.79	

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TD Ameritrade Clearing, Inc.

Account 686108785

Proceeds from Broker and Barter Exchange Transactions

2021 1099-B* OMB No. 1545-0715

(continued)

01/20/2022

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

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CLOUDFLARE INC COM CL A / CUSIP: 18915M107 / Symbol: NET							
02/16/21	3,000.000	257,922.04	Various	255,758.80	...	2,163.24	Total of 4 transactions
CLOVIS ONCOLOGY INC COM / CUSIP: 189464100 / Symbol: CLVS							
03/19/21	32,000.000	262,077.24	Various	246,461.10	...	15,616.14	Total of 8 transactions
03/19/21	19,322.000	149,799.77	Various	150,548.08	1,637.49 W	889.18	Total of 8 transactions
03/22/21	10,678.000	81,898.57	Various	84,464.36	...	-2,565.79	Sale
06/16/21	964.000	5,687.46	06/16/21	5,687.60	...	-0.14	Sale
	Security total:	499,463.04		487,161.14	1,637.49 W	13,939.39	
COINBASE GLOBAL INC COM CL A / CUSIP: 19260Q107 / Symbol: COIN							
04/14/21	760.000	279,742.13	Various	293,502.54	13,795.17 W	34.76	Total of 2 transactions
04/15/21	265.000	90,499.66	04/15/21	94,265.59	...	-3,765.93	Sale
04/15/21	810.000	286,854.92	Various	291,062.43	4,424.28 W	216.77	Total of 7 transactions
	Security total:	657,096.71		678,830.56	18,219.45 W	-3,514.40	
COMSTOCK MINING INC COM / CUSIP: 205750300 / Symbol: LODE							
02/17/21	8,000.000	65,937.59	Various	65,840.00	...	97.59	Total of 2 transactions
CONTEXTLOGIC INC COM CL A / CUSIP: 21077C107 / Symbol: WISH							
06/08/21	8,996.000	110,054.85	Various	103,401.80	...	6,653.05	Total of 7 transactions
06/08/21	10,813.000	144,119.99	Various	148,006.74	5,102.87 W	1,216.12	Total of 11 transactions
06/21/21	2,945.000	41,293.81	Various	44,825.08	2,706.51 W	-824.76	Total of 4 transactions
06/22/21	925.000	12,561.42	06/21/21	14,212.60	...	-1,651.18	Sale
	Security total:	308,030.07		310,446.22	7,809.38 W	5,393.23	
CORMEDIX INC COM / CUSIP: 21900C308 / Symbol: CRMD							
03/01/21	30,000.000	272,944.43	Various	269,267.18	...	3,677.25	Total of 9 transactions
03/01/21	10,000.000	91,320.35	Various	91,603.25	282.90 W	0.00	Total of 2 transactions
	Security total:	364,264.78		360,870.43	282.90 W	3,677.25	
DIGITAL TURBINE INC COM / CUSIP: 25400W102 / Symbol: APPS							
02/03/21	4,608.000	336,482.19	Various	332,345.68	...	4,136.51	Total of 7 transactions
02/04/21	4,388.000	336,310.75	Various	321,361.17	...	14,949.58	Total of 9 transactions
02/04/21	6,976.000	529,416.58	Various	544,297.20	16,019.70 W	1,139.08	Total of 13 transactions
02/05/21	2,000.000	156,712.10	Various	156,462.23	...	249.87	Sale

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Account 686108785

Proceeds from Broker and Barter Exchange Transactions

2021 1099-B* OMB No. 1545-0715

(continued)

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DIGITAL TURBINE INC COM / CUSIP: 25400W102 / Symbol: APPS (cont'd)							
02/05/21	636.000	48,843.70	02/04/21	50,120.13	1,276.43 W	0.00	Sale
03/08/21	2,200.000	137,583.46	Various	139,897.78	2,314.32 W	0.00	Total of 14 transactions
03/09/21	6,800.000	464,888.09	Various	428,788.14	...	36,099.95	Total of 12 transactions
	Security total:	2,010,236.87		1,973,272.33	19,610.45 W	56,574.99	
EHANG HOLDINGS LIMITED ADR / CUSIP: 26853E102 / Symbol: EH							
02/16/21	1,375.000	76,674.30	Various	74,110.37	...	2,563.93	Total of 5 transactions
02/16/21	40,075.000	2,107,725.03	Various	2,964,285.00	858,340.97 W	1,781.00	Total of 53 transactions
02/17/21	2,102.000	154,304.95	Various	131,426.92	...	22,878.03	Total of 9 transactions
02/17/21	16,692.000	1,013,922.01	Various	1,186,175.32	189,983.43 W	17,730.12	Total of 51 transactions
02/18/21	49,721.000	3,157,009.67	Various	3,577,584.55	423,187.08 W	2,612.20	Total of 67 transactions
02/19/21	952.000	60,290.17	Various	57,060.10	...	3,230.07	Total of 6 transactions
02/19/21	9,357.000	597,484.83	Various	622,709.25	32,043.15 W	6,818.73	Total of 41 transactions
02/22/21	8,105.000	455,495.64	02/22/21	563,662.81	108,167.17 W	0.00	Sale
02/24/21	17,295.000	935,229.91	Various	1,155,613.42	223,157.71 W	2,774.20	Total of 21 transactions
02/25/21	10,405.000	546,865.46	Various	716,813.94	169,948.48 W	0.00	Total of 3 transactions
03/09/21	5,000.000	220,380.70	Various	254,091.35	32,317.39 W	-1,393.26	Total of 8 transactions
03/22/21	9,500.000	406,359.30	03/22/21	563,043.06	156,683.76 W	0.00	Sale
04/12/21	7,347.000	215,509.54	Various	215,345.12	...	-99,835.58	Total of 6 transactions
04/12/21	12,653.000	371,923.40	Various	600,675.76	170,445.38 W	-58,306.98	Total of 7 transactions
06/04/21	1,000.000	34,009.81	06/04/21	36,479.90	...	-2,470.09	Sale
	Security total:	10,353,184.72		12,819,076.87	2,364,274.52 W	-101,617.63	
EASTMAN KODAK CO COM / CUSIP: 277461406 / Symbol: KODK							
01/26/21	4,705.000	53,363.82	Various	53,281.45	22.53 W	104.90	Total of 2 transactions
01/27/21	20,000.000	254,817.75	Various	265,044.04	10,226.29 W	0.00	Total of 9 transactions
02/03/21	10,000.000	108,896.40	02/03/21	125,999.43	...	-17,103.03	Sale
02/03/21	5,000.000	56,452.39	Various	65,747.50	9,295.11 W	0.00	Total of 3 transactions
	Security total:	473,530.36		510,072.42	19,543.93 W	-16,998.13	
ENERGOUS CORP COM / CUSIP: 29272C103 / Symbol: WATT							
02/19/21	7,839.000	49,781.67	Various	56,883.93	...	-7,102.26	Total of 3 transactions
02/19/21	20,363.000	131,453.27	Various	145,502.83	13,292.64 W	-756.92	Total of 6 transactions
	Security total:	181,234.94		202,386.76	13,292.64 W	-7,859.18	

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2021 1099-B* OMB No. 1545-0715

(continued)

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ENOCHIAN BIOSCIENCES INC COM / CUSIP: 29350E104 / Symbol: ENOB							
06/14/21	5,700.000	41,039.68	06/14/21	51,104.43	...	-10,064.75	Sale
06/14/21	1,300.000	9,371.93	Various	12,109.46	2,737.53 W	0.00	Total of 2 transactions
	Security total:	50,411.61		63,213.89	2,737.53 W	-10,064.75	
EXELA TECHNOLOGIES INC COM / CUSIP: 30162V409 / Symbol: XELA							
03/09/21	11,300.000	71,354.39	Various	69,851.38	...	1,503.01	Total of 2 transactions
03/10/21	23,000.000	145,553.31	Various	132,743.30	...	12,810.01	Total of 6 transactions
07/13/21	2,650.000	11,739.47	Various	10,863.24	...	876.23	Total of 2 transactions
07/16/21	6,650.000	25,262.88	Various	21,748.50	...	3,514.38	Total of 3 transactions
	Security total:	253,910.05		235,206.42	...	18,703.63	
EXPRESS INC COM / CUSIP: 30219E103 / Symbol: EXPR							
01/26/21	10,000.000	38,107.97	Various	38,600.00	492.03 W	0.00	Total of 2 transactions
02/24/21	40,000.000	167,945.14	Various	160,747.38	...	7,197.76	Total of 12 transactions
02/25/21	5,950.000	21,062.18	02/25/21	21,002.50	...	59.68	Sale
06/02/21	12,000.000	76,318.18	06/02/21	77,300.00	36.05 W	-945.77	Sale
07/02/21	300.000	2,078.95	07/01/21	2,178.02	...	-99.07	Sale
	Security total:	305,512.42		299,827.90	528.08 W	6,212.60	
FASTLY INC COM CL A / CUSIP: 31188V100 / Symbol: FSLY							
04/26/21	1,500.000	104,371.54	04/23/21	106,800.00	...	-2,428.46	Sale
FIBROGEN INC COM / CUSIP: 31572Q808 / Symbol: FGEN							
07/19/21	1,000.000	14,589.81	07/16/21	14,599.90	...	-10.09	Sale
FISKER INC COM CL A / CUSIP: 33813J106 / Symbol: FSR							
02/24/21	38,000.000	759,054.19	Various	722,758.86	...	36,295.33	Total of 6 transactions
03/01/21	20,000.000	535,312.84	Various	520,986.36	...	14,326.48	Total of 11 transactions
03/04/21	5,000.000	112,893.69	Various	116,292.37	3,398.68 W	0.00	Total of 5 transactions
03/05/21	7,000.000	136,743.46	Various	157,898.65	...	-21,155.19	Sale
03/05/21	9,100.000	212,207.86	Various	213,076.55	2,649.77 W	1,781.08	Total of 3 transactions
	Security total:	1,756,212.04		1,731,012.79	6,048.45 W	31,247.70	
FOLEY TRASIMENE ACQUISITION CO 1:1 EXC 3/31/21 G6964L107 / CUSIP: 344328109 / Symbol:							
01/28/21	5,000.000	78,447.68	01/28/21	76,000.00	...	2,447.68	Sale

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(continued)

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FOREST ROAD ACQ CORP 1:1 EXC 6/28/21 073463101 / CUSIP: 34619R102 / Symbol:							
02/22/21	34,349.000	582,789.12	Various	569,387.68	...	13,401.44	Total of 12 transactions
02/24/21	28,000.000	414,396.66	Various	411,957.86	...	2,438.80	Total of 5 transactions
03/01/21	10,000.000	132,007.66	Various	130,699.95	...	1,307.71	Total of 2 transactions
03/01/21	10,000.000	129,918.21	Various	130,462.98	568.76 W	23.99	Total of 2 transactions
03/03/21	24,869.000	286,078.92	Various	289,409.62	6,037.83 W	2,707.13	Total of 3 transactions
03/04/21	22,513.000	244,124.65	Various	277,041.06	32,916.41 W	0.00	Total of 8 transactions
03/11/21	27,000.000	302,305.26	Various	337,385.60	35,134.59 W	54.25	Total of 2 transactions
03/16/21	50,000.000	562,682.22	Various	687,613.65	124,931.43 W	0.00	Total of 20 transactions
03/19/21	903.000	9,689.03	03/19/21	9,639.52	...	49.51	Sale
03/19/21	10,900.000	117,075.13	Various	131,887.85	15,323.42 W	510.70	Total of 4 transactions
03/22/21	8,697.000	94,172.58	Various	95,985.31	2,945.11 W	1,132.38	Total of 3 transactions
03/24/21	15,294.000	154,466.83	Various	208,251.31	...	-53,784.48	Sale
03/24/21	38,706.000	395,148.89	Various	503,298.08	101,221.46 W	-6,927.73	Total of 5 transactions
06/23/21	1,500.000	15,819.91	Various	15,765.13	...	54.78	Total of 2 transactions
06/23/21	4,400.000	46,243.23	06/23/21	46,227.45	0.13 W	15.91	Sale
	Security total:	3,486,918.30		3,845,013.05	319,079.14 W	-39,015.61	
FORUM MERGER III CORP 1:1 EXC 6/28/21 28489L104 / CUSIP: 349885103 / Symbol:							
02/10/21	6,671.000	80,308.26	Various	78,905.38	...	1,402.88	Total of 8 transactions
02/10/21	13,682.000	163,980.58	Various	164,606.86	1,358.10 W	731.82	Total of 6 transactions
02/11/21	15,347.000	180,803.77	Various	185,862.56	...	-5,058.79	Total of 3 transactions
02/11/21	4,300.000	50,695.36	02/10/21	50,963.68	390.01 W	121.69	Sale
	Security total:	475,787.97		480,338.48	1,748.11 W	-2,802.40	
FOSSIL GROUP INC COM / CUSIP: 34988V106 / Symbol: FOSL							
01/27/21	1,700.000	41,514.72	Various	39,763.89	...	1,750.83	Total of 7 transactions
01/27/21	21,300.000	503,203.00	Various	523,937.15	22,950.41 W	2,216.26	Total of 17 transactions
02/01/21	5,000.000	74,148.26	Various	73,343.22	...	805.04	Total of 2 transactions
02/01/21	5,800.000	84,807.62	Various	91,024.37	6,633.94 W	417.19	Total of 4 transactions
	Security total:	703,673.60		728,068.63	29,584.35 W	5,189.32	
FUBOTV INC COM / CUSIP: 35953D104 / Symbol: FUBO							
01/04/21	3,720.000	98,761.77	Various	102,477.03	3,715.26 W	0.00	Total of 2 transactions
01/05/21	3,200.000	89,432.56	Various	97,869.62	8,437.06 W	0.00	Total of 7 transactions
01/06/21	4,200.000	116,661.97	Various	131,375.10	14,713.13 W	0.00	Total of 9 transactions

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FUBOTV INC COM / CUSIP: 35953D104 / Symbol: FUBO (cont'd)							
01/07/21	200.000	5,551.86	01/06/21	5,512.16	...	39.70	Sale
01/07/21	8,300.000	234,454.42	Various	248,328.11	14,665.55 W	791.86	Total of 13 transactions
01/08/21	1,400.000	40,654.93	Various	39,445.97	...	1,208.96	Total of 5 transactions
01/08/21	699.000	20,298.43	Various	20,886.20	663.22 W	75.45	Total of 3 transactions
01/11/21	12,500.000	342,371.53	Various	355,646.48	14,294.75 W	1,019.80	Total of 7 transactions
01/12/21	1,429.000	52,286.91	Various	52,229.81	...	57.10	Total of 4 transactions
01/12/21	6,571.000	240,837.83	Various	245,691.09	4,858.60 W	5.34	Total of 15 transactions
01/13/21	705.000	25,706.79	Various	25,379.66	...	327.13	Total of 3 transactions
01/13/21	4,595.000	164,603.72	Various	167,765.53	3,777.40 W	615.59	Total of 4 transactions
01/14/21	4,825.000	171,888.54	Various	167,550.79	...	4,337.75	Total of 8 transactions
01/14/21	9,211.000	328,447.42	Various	328,432.51	2,332.07 W	2,346.98	Total of 8 transactions
01/15/21	2,075.000	73,208.41	Various	71,157.54	...	2,050.87	Total of 5 transactions
01/15/21	1,000.000	33,019.25	01/15/21	33,946.86	965.58 W	37.97	Sale
01/20/21	7,000.000	214,715.11	Various	214,733.81	...	-18.70	Total of 2 transactions
01/20/21	8,400.000	261,331.74	Various	263,077.12	3,129.24 W	1,383.86	Total of 4 transactions
03/01/21	249.000	9,433.37	Various	9,427.14	...	6.23	Total of 3 transactions
03/01/21	6,751.000	255,523.25	03/01/21	254,979.60	37.44 W	581.09	Sale
03/02/21	12,900.000	499,040.61	Various	543,787.14	...	-44,746.53	Total of 25 transactions
03/02/21	12,900.000	516,502.20	Various	590,800.37	74,298.17 W	0.00	Total of 12 transactions
04/09/21	48,300.000	1,105,222.34	Various	1,063,012.50	...	42,209.84	Total of 34 transactions
04/09/21	1,700.000	38,308.91	Various	41,292.83	2,983.92 W	0.00	Total of 6 transactions
04/12/21	30,000.000	639,744.74	Various	712,942.08	65,417.26 W	-7,780.08	Total of 10 transactions
04/14/21	15,000.000	320,770.56	Various	360,587.30	...	-39,816.74	Total of 12 transactions
	Security total:	5,898,779.17		6,148,334.35	214,288.65 W	-35,266.53	
FULGENT GENETICS INC COM / CUSIP: 359664109 / Symbol: FLGT							
03/05/21	6,700.000	656,711.97	Various	761,416.00	111,863.54 W	7,159.51	Total of 5 transactions
03/08/21	500.000	51,184.73	03/08/21	49,594.95	...	1,589.78	Sale
03/08/21	3,500.000	337,434.61	03/08/21	386,492.71	49,058.10 W	0.00	Sale
03/09/21	5,000.000	535,904.47	Various	560,807.60	...	-24,903.13	Total of 3 transactions
04/13/21	8,000.000	707,396.64	Various	704,660.22	...	2,736.42	Total of 2 transactions
	Security total:	2,288,632.42		2,462,971.48	160,921.64 W	-13,417.42	
GALECTIN THERAPEUTICS INC COM / CUSIP: 363225202 / Symbol: GALT							
07/12/21	3,958.000	12,510.70	07/09/21	16,198.22	...	-3,687.52	Sale

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TD Ameritrade Clearing, Inc.

Account 686108785

Proceeds from Broker and Barter Exchange Transactions

2021 1099-B* OMB No. 1545-0715

(continued)

01/20/2022

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GAMESTOP CORPORATION COM CL A / CUSIP: 36467W109 / Symbol: GME							
01/13/21	5,000.000	163,754.96	Various	159,165.17	...	4,589.79	Total of 9 transactions
01/13/21	5,000.000	158,891.08	Various	161,891.54	4,514.11 W	1,513.65	Total of 3 transactions
01/26/21	3,000.000	646,358.46	Various	626,794.46	...	19,564.00	Total of 11 transactions
01/26/21	2,000.000	427,999.75	Various	433,852.06	5,857.81 W	5.50	Total of 3 transactions
01/27/21	103.000	30,610.48	Various	29,905.13	...	705.35	Total of 3 transactions
01/27/21	7,976.000	2,131,621.38	Various	2,257,827.57	126,955.36 W	749.17	Total of 28 transactions
02/03/21	500.000	56,860.68	Various	68,773.04	11,912.36 W	0.00	Total of 2 transactions
02/09/21	81.000	4,191.65	02/09/21	4,163.60	...	28.05	Sale
02/09/21	6,218.000	315,971.23	Various	374,430.77	58,687.32 W	227.78	Total of 15 transactions
02/10/21	1,000.000	51,798.74	02/09/21	52,925.81	1,355.31 W	228.24	Sale
02/24/21	1,000.000	118,687.14	Various	103,298.05	...	15,389.09	Total of 5 transactions
	Security total:	4,106,745.55		4,273,027.20	209,282.27 W	43,000.62	
GERON CORP COM / CUSIP: 374163103 / Symbol: GERN							
06/17/21	7,000.000	11,689.10	06/17/21	11,830.00	...	-140.90	Sale
GOPRO INC COM CL A / CUSIP: 38268T103 / Symbol: GPRO							
02/02/21	13,978.000	145,637.02	Various	142,218.52	...	3,418.50	Total of 8 transactions
02/02/21	16,022.000	164,354.91	Various	164,900.19	870.18 W	324.90	Total of 5 transactions
02/04/21	10,000.000	104,596.78	Various	103,600.00	...	996.78	Total of 3 transactions
02/04/21	4,500.000	43,100.19	Various	46,015.10	2,917.69 W	2.78	Total of 4 transactions
02/05/21	800.000	7,919.72	02/04/21	7,539.48	...	380.24	Sale
02/05/21	32,200.000	284,986.68	Various	296,372.53	13,033.58 W	1,647.73	Total of 8 transactions
02/08/21	20,000.000	163,381.23	Various	173,185.10	9,275.37 W	-528.50	Total of 7 transactions
02/10/21	10,000.000	83,473.74	Various	85,603.76	...	-2,130.02	Total of 7 transactions
	Security total:	997,450.27		1,019,434.68	26,096.82 W	4,112.41	
GRAYBUG VISION INC COM / CUSIP: 38942Q103 / Symbol: GRAY							
06/10/21	620.000	4,618.91	06/10/21	5,049.60	...	-430.69	Sale
GREENWICH LIFESCIENCES INC COM / CUSIP: 396879108 / Symbol: GLSI							
04/09/21	592.000	38,302.13	04/09/21	45,181.65	...	-6,879.52	Sale
04/09/21	4,533.000	285,107.88	Various	317,196.71	27,984.91 W	-4,103.92	Total of 19 transactions
	Security total:	323,410.01		362,378.36	27,984.91 W	-10,983.44	

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2021 1099-B* OMB No. 1545-0715

(continued)

01/20/2022

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GROUPON INC COM / CUSIP: 399473206 / Symbol: GRPN							
02/10/21	3,000.000	114,179.42	Various	111,323.24	...	2,856.18	Total of 2 transactions
02/22/21	5,000.000	204,119.89	02/22/21	201,425.00	...	2,694.89	Sale
02/26/21	10,000.000	432,532.38	Various	430,676.60	...	1,855.78	Total of 15 transactions
	Security total:	750,831.69		743,424.84	...	7,406.85	
HEAT BIOLOGICS INC COM / CUSIP: 42237K409 / Symbol: HTBX							
02/09/21	29,920.000	397,012.36	Various	373,176.60	...	23,835.76	Total of 29 transactions
02/09/21	31,168.000	433,285.44	Various	451,221.42	25,527.56 W	7,591.58	Total of 12 transactions
03/03/21	3,500.000	34,334.40	03/02/21	35,504.67	1,170.27 W	0.00	Sale
03/11/21	9,000.000	82,798.51	03/11/21	84,059.37	...	-1,260.86	Sale
06/10/21	1,900.000	16,510.89	06/10/21	16,064.50	...	446.39	Sale
	Security total:	963,941.60		960,026.56	26,697.83 W	30,612.87	
HIMS AND HERS COM CL A / CUSIP: 433000106 / Symbol: HIMS							
01/28/21	13,000.000	221,749.68	Various	216,155.69	...	5,593.99	Total of 7 transactions
01/28/21	2,000.000	33,695.57	Various	33,872.13	182.07 W	5.51	Total of 3 transactions
02/01/21	19,513.000	429,536.02	Various	415,092.85	...	14,443.17	Total of 11 transactions
02/01/21	31,987.000	701,350.25	Various	726,785.99	26,351.36 W	915.62	Total of 30 transactions
02/02/21	5,000.000	105,998.80	Various	107,766.74	2,172.27 W	404.33	Total of 3 transactions
02/19/21	158.000	3,073.62	Various	3,070.77	...	2.85	Total of 3 transactions
02/19/21	9,842.000	192,281.21	Various	194,368.59	2,795.35 W	707.97	Total of 10 transactions
02/22/21	4,000.000	76,546.02	Various	75,901.34	...	644.68	Total of 5 transactions
02/22/21	10,005.000	190,235.21	Various	192,746.12	2,610.73 W	99.82	Total of 3 transactions
03/08/21	5,000.000	67,999.09	Various	68,620.00	...	-620.91	Total of 2 transactions
	Security total:	2,022,465.47		2,034,380.22	34,111.78 W	22,197.03	
HYLIION HOLDINGS CORP COM / CUSIP: 449109107 / Symbol: HYLN							
02/11/21	22,604.000	463,837.02	Various	431,699.80	...	32,137.22	Total of 11 transactions
02/12/21	1,227.000	23,407.20	Various	23,246.50	...	160.70	Total of 10 transactions
02/12/21	81,834.000	1,557,944.69	Various	1,616,506.78	65,591.47 W	7,029.38	Total of 64 transactions
02/16/21	5,200.000	111,747.41	Various	100,500.02	...	11,247.39	Total of 2 transactions
02/16/21	36,134.000	744,674.40	Various	750,993.06	16,098.21 W	9,779.55	Total of 12 transactions
02/17/21	20,000.000	372,690.88	Various	385,550.88	13,115.97 W	255.97	Total of 4 transactions
02/18/21	10,067.000	183,843.59	Various	191,899.24	8,121.30 W	65.65	Total of 6 transactions

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2021 1099-B* OMB No. 1545-0715

(continued)

01/20/2022

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HYLIION HOLDINGS CORP COM / CUSIP: 449109107 / Symbol: HYLN (cont'd)							
02/19/21	550.000	10,433.20	02/18/21	10,306.14	16.13 W	143.19	Sale
02/22/21	8,809.000	159,263.03	02/19/21	165,745.67	...	-6,482.64	Sale
	Security total:	3,627,841.42		3,676,448.09	102,943.08 W	54,336.41	
INVO BIO SCIENCE INC COM / CUSIP: 44984F302 / Symbol: INVO							
03/09/21	6,992.000	54,268.95	Various	62,693.87	...	-8,424.92	Total of 3 transactions
03/09/21	7,508.000	58,124.46	Various	70,474.33	12,412.97 W	63.10	Total of 3 transactions
	Security total:	112,393.41		133,168.20	12,412.97 W	-8,361.82	
INOVIO PHARMACEUTICALS INC COM / CUSIP: 45773H201 / Symbol: INO							
04/15/21	6,000.000	64,609.97	Various	64,493.51	...	116.46	Total of 2 transactions
IZEA WORLDWIDE INC COM / CUSIP: 46604H105 / Symbol: IZEA							
04/12/21	10,675.000	60,454.78	Various	61,851.35	1,396.57 W	0.00	Total of 7 transactions
04/13/21	81,123.000	411,301.98	Various	455,237.25	35,758.53 W	-8,176.74	Total of 12 transactions
04/16/21	30,000.000	112,045.86	Various	132,205.06	...	-20,159.20	Total of 3 transactions
	Security total:	583,802.62		649,293.66	37,155.10 W	-28,335.94	
KALVISTA PHARMACEUTICALS INC COM / CUSIP: 483497103 / Symbol: KALV							
02/09/21	3,000.000	92,187.90	02/09/21	89,265.00	...	2,922.90	Sale
KEMPHARM INC COM / CUSIP: 488445206 / Symbol: KMPH							
03/02/21	4,313.000	43,402.46	Various	42,641.01	...	761.45	Total of 8 transactions
03/03/21	5,158.000	71,687.82	Various	51,631.58	...	20,056.24	Total of 2 transactions
03/03/21	17,729.000	236,142.20	Various	251,194.03	22,026.76 W	6,974.93	Total of 9 transactions
03/08/21	10,000.000	95,939.67	Various	108,496.75	12,557.08 W	0.00	Total of 5 transactions
03/10/21	10,000.000	100,149.28	Various	102,089.59	...	-1,940.31	Total of 2 transactions
	Security total:	547,321.43		556,052.96	34,583.84 W	25,852.31	
KOSS CORP COM / CUSIP: 500692108 / Symbol: KOSS							
02/24/21	2,317.000	46,223.64	02/24/21	46,240.75	...	-17.11	Sale
05/27/21	1,500.000	31,504.27	Various	33,959.85	2,455.58 W	0.00	Total of 4 transactions
05/28/21	1,550.000	40,750.10	Various	39,714.51	...	1,035.59	Total of 12 transactions
05/28/21	400.000	10,319.90	05/27/21	9,888.88	0.81 W	431.83	Sale
	Security total:	128,797.91		129,803.99	2,456.39 W	1,450.31	

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Proceeds from Broker and Barter Exchange Transactions

2021 1099-B* OMB No. 1545-0715

(continued)

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KUBIENT INC COM / CUSIP: 50116V107 / Symbol: KBNT							
02/16/21	5,000.000	60,198.57	02/16/21	56,949.90	...	3,248.67	Sale
LIMINAL BIOSCIENCES INC COM / CUSIP: 53272L103 / Symbol: LMNL							
06/07/21	2,000.000	11,259.90	06/07/21	12,166.28	...	-906.38	Sale
LORDSTOWN MOTORS CORP COM CL A / CUSIP: 54405Q100 / Symbol: RIDE							
01/11/21	2,000.000	54,259.56	Various	50,770.00	...	3,489.56	Total of 3 transactions
01/11/21	3,988.000	109,409.98	Various	110,626.72	1,216.74 W	0.00	Total of 10 transactions
01/12/21	10,000.000	260,258.36	Various	265,435.21	...	-5,176.85	Total of 2 transactions
01/12/21	53,712.000	1,356,193.05	Various	1,441,455.47	83,561.89 W	-1,700.53	Total of 27 transactions
06/08/21	7,000.000	75,728.79	Various	73,957.00	...	1,771.79	Total of 2 transactions
06/08/21	6,942.000	73,866.54	Various	75,352.72	1,486.18 W	0.00	Total of 3 transactions
06/09/21	3,750.000	41,096.09	Various	41,918.10	822.01 W	0.00	Total of 7 transactions
06/14/21	2,000.000	18,502.20	Various	19,815.76	428.31 W	-885.25	Total of 4 transactions
06/15/21	2,635.000	24,623.38	Various	25,350.21	...	-726.83	Total of 2 transactions
	Security total:	2,013,937.95		2,104,681.19	87,515.13 W	-3,228.11	
LUCIRA HEALTH INC COM / CUSIP: 54948U105 / Symbol: LHDX							
06/03/21	7,000.000	37,731.78	Various	37,413.19	...	318.59	Total of 4 transactions
07/20/21	2,000.000	14,238.12	Various	14,078.25	...	159.87	Total of 3 transactions
	Security total:	51,969.90		51,491.44	...	478.46	
LUCKIN COFFEE INC ADR SPONSORED / CUSIP: 54951L109 / Symbol: LKNKY							
01/05/21	6,000.000	51,880.61	Various	22,679.51	...	29,201.10	Total of 5 transactions
01/06/21	4,000.000	34,404.87	Various	17,235.08	...	17,169.79	Total of 2 transactions
01/07/21	5,000.000	41,744.58	Various	30,538.87	...	11,205.71	Total of 2 transactions
01/07/21	6,000.000	50,024.27	Various	51,848.22	1,930.98 W	107.03	Total of 2 transactions
01/12/21	17,087.000	144,112.04	Various	148,761.85	4,740.30 W	90.49	Total of 11 transactions
01/13/21	3,913.000	35,993.58	Various	34,899.01	...	1,094.57	Total of 2 transactions
01/15/21	6,000.000	55,137.52	Various	61,024.67	5,887.15 W	0.00	Total of 4 transactions
01/26/21	6,000.000	69,590.79	01/15/21	60,022.61	...	9,568.18	Sale
01/27/21	10,000.000	143,860.29	Various	126,113.90	...	17,746.39	Total of 9 transactions
02/03/21	3,100.000	39,074.86	Various	42,754.39	3,679.53 W	0.00	Total of 2 transactions
02/05/21	12,500.000	90,054.24	Various	176,975.32	87,324.06 W	402.98	Total of 5 transactions
02/12/21	7,500.000	42,154.29	Various	105,464.88	63,341.99 W	31.40	Total of 3 transactions

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2021 1099-B* OMB No. 1545-0715

(continued)

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LUCKIN COFFEE INC ADR SPONSORED / CUSIP: 54951L109 / Symbol: LKNCY (cont'd)							
02/16/21	4,500.000	27,036.91	02/05/21	72,445.93	45,409.02 W	0.00	Sale
02/17/21	7,495.000	50,962.02	Various	106,960.32	56,440.59 W	442.29	Total of 2 transactions
02/18/21	2,500.000	17,927.51	Various	26,281.32	10,497.22 W	2,143.41	Total of 3 transactions
02/26/21	12,505.000	80,097.38	Various	156,078.31	77,069.71 W	1,088.78	Total of 2 transactions
03/02/21	2,146.000	14,182.83	Various	13,671.43	...	511.40	Total of 2 transactions
03/02/21	10,320.000	68,110.42	02/26/21	110,698.38	43,594.38 W	1,006.42	Sale
03/03/21	12,500.000	83,473.81	Various	132,943.92	49,473.42 W	3.31	Total of 2 transactions
03/04/21	3,900.000	24,622.41	Various	60,826.45	36,204.04 W	0.00	Total of 3 transactions
03/10/21	3,266.000	19,523.25	03/05/21	24,074.78	4,551.53 W	0.00	Sale
03/11/21	9,000.000	53,541.70	03/05/21	101,433.50	47,891.80 W	0.00	Sale
03/16/21	550.000	4,794.71	Various	3,438.77	...	1,355.94	Total of 2 transactions
03/16/21	8,899.000	77,593.34	Various	85,439.64	22,058.13 W	14,211.83	Total of 2 transactions
03/17/21	8,000.000	70,391.74	Various	101,794.08	32,003.42 W	601.08	Sale
03/18/21	1,170.000	10,529.81	03/16/21	15,459.28	...	-4,929.47	Sale
03/18/21	19,003.000	171,406.02	Various	235,269.28	38,442.96 W	-25,420.30	Total of 3 transactions
	Security total:	1,572,225.80		2,125,133.70	630,540.23 W	77,632.33	
LYFT INC COM CL A / CUSIP: 55087P104 / Symbol: LYFT							
02/11/21	9,862.000	582,931.01	Various	595,827.61	...	-12,896.60	Total of 15 transactions
02/11/21	16,476.000	976,133.06	Various	992,158.35	15,269.30 W	-755.99	Total of 5 transactions
	Security total:	1,559,064.07		1,587,985.96	15,269.30 W	-13,652.59	
MARATHON PATENT GROUP INC N/C 3/1/21 565788106 / CUSIP: 56585W401 / Symbol:							
02/08/21	1,850.000	66,801.81	02/08/21	69,116.92	...	-2,315.11	Sale
02/08/21	1,150.000	41,539.44	Various	42,308.50	668.42 W	-100.64	Total of 3 transactions
	Security total:	108,341.25		111,425.42	668.42 W	-2,415.75	
MICROVISION INC WASHINGTON COM / CUSIP: 594960304 / Symbol: MVIS							
02/10/21	11,617.000	236,436.63	Various	219,297.42	...	17,139.21	Total of 12 transactions
02/10/21	5,986.000	109,683.55	Various	112,754.96	3,071.41 W	0.00	Total of 8 transactions
02/11/21	18,000.000	347,636.64	Various	331,735.88	...	15,900.76	Total of 18 transactions
02/11/21	21,500.000	405,377.80	Various	404,099.30	2,223.22 W	3,501.72	Total of 10 transactions
02/23/21	10,000.000	156,895.34	02/23/21	156,121.50	...	773.84	Sale
02/26/21	11,000.000	164,897.69	Various	163,790.00	...	1,107.69	Total of 9 transactions
03/01/21	27,299.000	448,643.97	Various	430,652.51	...	17,991.46	Total of 19 transactions

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TD Ameritrade Clearing, Inc.

Account 686108785

Proceeds from Broker and Barter Exchange Transactions

2021 1099-B* OMB No. 1545-0715

(continued)

01/20/2022

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MICROVISION INC WASHINGTON COM / CUSIP: 594960304 / Symbol: MVIS (cont'd)							
03/01/21	2,231.000	35,700.04	Various	36,546.36	846.32 W	0.00	Total of 2 transactions
03/04/21	17,000.000	230,253.67	Various	235,637.37	5,383.70 W	0.00	Total of 4 transactions
03/19/21	10,000.000	168,164.53	Various	171,254.22	3,089.69 W	0.00	Total of 4 transactions
03/22/21	5,348.000	95,634.71	Various	97,735.82	2,101.11 W	0.00	Total of 12 transactions
03/23/21	4,652.000	85,317.16	03/22/21	85,558.07	323.57 W	82.66	Sale
03/26/21	24,000.000	319,577.13	Various	381,675.63	62,098.50 W	0.00	Total of 6 transactions
03/31/21	5,000.000	93,785.21	Various	85,385.15	...	8,400.06	Total of 4 transactions
03/31/21	15,000.000	262,797.37	Various	282,318.32	21,792.84 W	2,271.89	Total of 2 transactions
04/01/21	10,000.000	160,843.59	Various	175,154.67	14,585.81 W	274.73	Total of 3 transactions
04/09/21	30,765.000	436,109.12	Various	485,282.39	40,002.56 W	-9,170.71	Total of 8 transactions
04/14/21	9,500.000	118,035.02	Various	127,733.92	...	-9,698.90	Total of 7 transactions
	Security total:	3,875,789.17		3,982,733.49	155,518.73 W	48,574.41	
MODERNA INC COM / CUSIP: 60770K107 / Symbol: MRNA							
02/02/21	400.000	85,621.92	Various	82,606.00	...	3,015.92	Total of 5 transactions
07/20/21	160.000	45,947.05	07/16/21	45,728.00	...	219.05	Short sale closed
	Security total:	131,568.97		128,334.00	...	3,234.97	
MORPHIC HOLDING INC COM / CUSIP: 61775R105 / Symbol: MORF							
03/01/21	3,000.000	224,712.49	Various	208,299.70	...	16,412.79	Total of 3 transactions
NANTKWEST INC N/C 3/10/21 45256X103 / CUSIP: 63016Q102 / Symbol: NK							
01/14/21	1,000.000	19,359.55	01/14/21	19,325.00	...	34.55	Sale
NEW PROVIDENCE ACQUISITION COR 1:1 EXC 4/7/21 00217D100 / CUSIP: 64822P106 / Symbol: NPA							
02/08/21	10,000.000	194,775.70	Various	189,144.25	...	5,631.45	Total of 4 transactions
NOVAN INC COM / CUSIP: 66988N205 / Symbol: NOVN							
06/11/21	3,600.000	53,041.88	Various	52,958.85	2,104.83 W	2,187.86	Total of 4 transactions
06/14/21	1,500.000	28,803.21	Various	31,060.77	2,257.56 W	0.00	Total of 4 transactions
06/16/21	1,000.000	12,428.65	Various	14,078.41	...	-1,649.76	Total of 6 transactions
06/16/21	1,000.000	12,249.82	06/16/21	13,037.23	689.88 W	-97.53	Sale
06/17/21	1,200.000	13,427.81	06/17/21	14,211.95	...	-784.14	Sale
	Security total:	119,951.37		125,347.21	5,052.27 W	-343.57	

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Account 686108785

Proceeds from Broker and Barter Exchange Transactions

2021 1099-B* OMB No. 1545-0715

(continued)

01/20/2022

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NOVAVAX INC COM / CUSIP: 670002401 / Symbol: NVAX							
01/29/21	1,520.000	311,569.97	Various	302,477.43	...	9,092.54	Total of 8 transactions
01/29/21	4,980.000	978,483.76	Various	1,078,517.72	100,050.50 W	16.54	Total of 25 transactions
02/01/21	500.000	131,997.07	02/01/21	131,771.79	...	225.28	Sale
02/01/21	500.000	130,052.12	02/01/21	131,823.96	1,771.84 W	0.00	Sale
02/03/21	2,400.000	683,471.86	Various	692,561.31	10,798.55 W	1,709.10	Total of 3 transactions
02/19/21	2,700.000	756,679.95	Various	770,699.69	14,248.66 W	228.92	Total of 3 transactions
03/11/21	4,000.000	906,896.43	Various	925,034.80	18,996.57 W	858.20	Total of 7 transactions
03/12/21	1,350.000	270,426.47	Various	287,412.05	...	-16,985.58	Total of 6 transactions
03/12/21	1,400.000	281,923.39	03/12/21	296,173.25	14,320.68 W	70.82	Sale
04/13/21	3,200.000	616,077.14	Various	609,411.39	...	6,665.75	Total of 8 transactions
	Security total:	5,067,578.16		5,225,883.39	160,186.80 W	1,881.57	
OCUGEN INC COM / CUSIP: 67577C105 / Symbol: OCGN							
02/05/21	17,111.000	129,286.06	Various	124,313.68	...	4,972.38	Total of 6 transactions
02/05/21	35,725.000	262,630.45	Various	271,686.87	6,823.29 W	-2,233.13	Total of 3 transactions
04/07/21	145,000.000	1,008,148.62	Various	1,066,422.73	57,183.46 W	-1,090.65	Total of 9 transactions
04/14/21	70,000.000	489,794.18	Various	549,931.31	...	-60,137.13	Total of 5 transactions
06/21/21	1,350.000	9,800.79	06/21/21	9,801.00	0.11 W	-0.10	Sale
07/06/21	700.000	5,631.39	07/02/21	5,782.11	...	-150.72	Sale
	Security total:	1,905,291.49		2,027,937.70	64,006.86 W	-58,639.35	
180 LIFE SCIENCES CORP COM / CUSIP: 68236V104 / Symbol: ATNF							
04/08/21	30,000.000	302,624.68	Various	284,505.74	...	18,118.94	Total of 6 transactions
04/08/21	50,000.000	444,991.78	04/08/21	465,815.42	20,823.64 W	0.00	Sale
04/12/21	45,000.000	491,245.03	Various	559,235.11	...	-67,990.08	Total of 65 transactions
04/12/21	50,000.000	614,671.91	Various	640,669.66	22,289.61 W	-3,708.14	Total of 25 transactions
	Security total:	1,853,533.40		1,950,225.93	43,113.25 W	-53,579.28	
ON24 INC COM / CUSIP: 68339B104 / Symbol: ONTF							
02/03/21	5,191.000	378,714.30	Various	375,382.77	...	3,331.53	Total of 10 transactions
02/03/21	2,482.000	181,004.21	Various	181,179.65	121.01 W	-54.43	Total of 3 transactions
03/18/21	1,600.000	85,735.38	03/18/21	87,729.83	...	-1,994.45	Sale
03/18/21	400.000	21,438.85	Various	22,088.00	649.15 W	0.00	Total of 2 transactions
	Security total:	666,892.74		666,380.25	770.16 W	1,282.65	

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Proceeds from Broker and Barter Exchange Transactions

2021 1099-B* OMB No. 1545-0715

(continued)

01/20/2022

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OPIANT PHARMACEUTICALS INC COM / CUSIP: 683750103 / Symbol: OPNT							
07/08/21	480.000	7,027.10	07/07/21	8,018.51	...	-991.41	Sale
ORPHAZYME A/S ADR SPONSORED / CUSIP: 687305102 / Symbol: ORPH							
06/17/21	826.000	12,714.89	Various	12,034.82	...	680.07	Total of 4 transactions
06/17/21	324.000	4,672.51	Various	4,720.68	7.02 W	-41.15	Total of 2 transactions
06/18/21	100.000	696.99	06/17/21	1,523.02	...	-826.03	Sale
	Security total:	18,084.39		18,278.52	7.02 W	-187.11	
OVERSTOCK COM INC DEL COM / CUSIP: 690370101 / Symbol: OSTK							
01/25/21	1,000.000	74,829.47	Various	74,630.00	...	199.47	Total of 8 transactions
OVID THERAPEUTICS INC COM / CUSIP: 690469101 / Symbol: OVID							
03/03/21	51,000.000	205,258.10	Various	228,210.77	24,289.33 W	1,336.66	Total of 7 transactions
03/04/21	20,000.000	77,397.25	03/03/21	87,727.65	521.47 W	-9,808.93	Sale
03/08/21	3,065.000	12,321.19	03/05/21	12,594.57	...	-273.38	Sale
	Security total:	294,976.54		328,532.99	24,810.80 W	-8,745.65	
PETCO HEALTH & WELLNESS CO INC COM / CUSIP: 71601V105 / Symbol: WOOF							
06/14/21	5,404.000	149,914.47	Various	153,083.29	3,441.15 W	272.33	Total of 5 transactions
06/15/21	5,000.000	129,253.94	Various	132,018.61	...	-2,764.67	Total of 7 transactions
	Security total:	279,168.41		285,101.90	3,441.15 W	-2,492.34	
PINTEREST INC COM CL A / CUSIP: 72352L106 / Symbol: PINS							
02/04/21	4,000.000	336,439.69	Various	332,199.70	...	4,239.99	Total of 6 transactions
02/05/21	18,500.000	1,517,105.95	Various	1,530,171.74	14,354.49 W	1,288.70	Total of 16 transactions
02/08/21	751.000	61,304.31	Various	60,899.88	...	404.43	Total of 5 transactions
02/08/21	2,898.000	232,542.77	Various	235,389.28	343.25 W	-2,503.26	Total of 6 transactions
	Security total:	2,147,392.72		2,158,660.60	14,697.74 W	3,429.86	
PURPLE BIOTECH LTD ADR SPONSORED / CUSIP: 74638P109 / Symbol: PPBT							
06/03/21	5,373.000	39,060.87	06/03/21	39,998.20	...	-937.33	Sale

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(continued)

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QUALCOMM INC COM / CUSIP: 747525103 / Symbol: QCOM							
02/05/21	4,105.000	625,279.36	Various	625,518.41	...	-239.05	Total of 5 transactions
02/05/21	7,995.000	1,203,397.81	Various	1,211,946.46	9,844.82 W	1,296.17	Total of 6 transactions
04/28/21	1,300.000	187,211.88	Various	186,702.44	...	509.44	Total of 2 transactions
	Security total:	2,015,889.05		2,024,167.31	9,844.82 W	1,566.56	
QUANTUMSCAPE CORP COM CL A / CUSIP: 74767V109 / Symbol: QS							
02/17/21	3,005.000	195,934.87	Various	189,984.27	...	5,950.60	Total of 2 transactions
04/15/21	1,200.000	43,691.64	04/15/21	44,520.00	...	-828.36	Sale
04/15/21	1,800.000	65,537.46	04/15/21	66,780.00	1,035.45 W	-207.09	Sale
04/16/21	2,500.000	92,886.41	Various	93,185.45	...	-299.04	Total of 3 transactions
	Security total:	398,050.38		394,469.72	1,035.45 W	4,616.11	
RA MEDICAL SYSTEMS INC COM / CUSIP: 74933X203 / Symbol: RMED							
06/04/21	14,200.000	69,955.72	Various	92,475.43	22,519.71 W	0.00	Total of 5 transactions
06/07/21	1,007.000	8,699.20	Various	8,641.75	...	57.45	Total of 3 transactions
06/07/21	16,886.000	147,395.83	Various	162,077.25	13,615.10 W	-1,066.32	Total of 11 transactions
06/08/21	1,500.000	12,378.29	Various	13,128.98	...	-750.69	Total of 3 transactions
06/09/21	1,500.000	11,474.76	06/08/21	13,211.89	...	-1,737.13	Sale
	Security total:	249,903.80		289,535.30	36,134.81 W	-3,496.69	
RESHAPE LIFESCIENCES INC COM / CUSIP: 76090R101 / Symbol: RSL5							
07/12/21	3,685.000	18,585.79	Various	20,552.29	1,966.50 W	0.00	Total of 3 transactions
07/13/21	3,570.000	16,171.95	07/12/21	19,259.11	...	-3,087.16	Sale
	Security total:	34,757.74		39,811.40	1,966.50 W	-3,087.16	
RIOT BLOCKCHAIN INC COM / CUSIP: 767292105 / Symbol: RIOT							
04/08/21	9,999.000	510,667.39	Various	510,998.90	...	-331.51	Total of 4 transactions
RITE AID CORP COM / CUSIP: 767754872 / Symbol: RAD							
01/27/21	634.000	18,068.53	01/27/21	17,942.20	...	126.33	Sale
01/28/21	2,000.000	56,724.65	Various	54,359.86	...	2,364.79	Total of 3 transactions
01/28/21	2,366.000	68,441.20	Various	68,903.72	462.52 W	0.00	Total of 5 transactions
06/24/21	1,500.000	26,849.68	06/24/21	26,810.00	...	239.68	Sale
06/25/21	3,300.000	54,944.66	06/25/21	55,751.67	...	-807.01	Sale
	Security total:	225,028.72		223,567.45	462.52 W	1,923.79	

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(continued)

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ROCKET COMPANIES INC COM CL A / CUSIP: 77311W101 / Symbol: RKT							
03/02/21	2,000.000	72,099.59	03/02/21	67,371.69	...	4,727.90	Sale
03/02/21	2,000.000	67,719.61	03/02/21	68,379.80	660.19 W	0.00	Sale
	Security total:	139,819.20		135,751.49	660.19 W	4,727.90	
RODGERS SILICON VALLEY ACQUI SI 1:1 EXC 7/15/21 293594107 / CUSIP: 774873103 / Symbol: RSVA							
02/22/21	5,000.000	130,590.00	Various	115,716.87	...	14,873.13	Total of 4 transactions
02/23/21	12,800.000	228,371.19	Various	385,284.61	156,913.42 W	0.00	Total of 36 transactions
02/24/21	28,135.000	559,366.96	Various	831,496.07	273,999.18 W	1,870.07	Total of 20 transactions
02/25/21	4,664.000	75,934.31	Various	142,564.91	66,630.60 W	0.00	Total of 42 transactions
02/26/21	21,622.000	336,924.79	Various	629,230.67	292,305.88 W	0.00	Total of 29 transactions
03/01/21	10,000.000	171,198.93	Various	207,458.51	36,259.58 W	0.00	Total of 2 transactions
03/03/21	9,542.000	162,860.11	Various	316,924.39	154,064.28 W	0.00	Total of 7 transactions
03/05/21	26,480.000	344,235.08	Various	614,234.28	269,999.20 W	0.00	Sale
03/19/21	7,510.000	108,040.64	Various	162,074.15	54,033.51 W	0.00	Total of 6 transactions
03/24/21	3,066.000	43,308.08	Various	144,709.57	101,401.49 W	0.00	Total of 4 transactions
03/26/21	3,000.000	40,787.81	Various	85,758.60	44,970.79 W	0.00	Total of 6 transactions
03/31/21	4,100.000	55,157.43	Various	89,137.80	33,980.37 W	0.00	Total of 11 transactions
04/05/21	1,500.000	20,961.41	Various	36,193.42	15,232.01 W	0.00	Total of 2 transactions
04/06/21	23,500.000	319,932.32	Various	602,088.68	...	-282,156.36	Total of 14 transactions
04/06/21	12,050.000	166,241.23	Various	234,257.39	51,043.04 W	-16,973.12	Total of 33 transactions
	Security total:	2,763,910.29		4,597,129.92	1,550,833.35 W	-282,386.28	
RODGERS SILICON VALLEY ACQUI SI 1:1 EXC 7/15/21 293594115 / CUSIP: 774873111 / Symbol: RSVAW							
03/11/21	11,216.000	72,146.24	Various	53,640.53	...	18,505.71	Total of 10 transactions
ROKU INC COM CL A / CUSIP: 77543R102 / Symbol: ROKU							
03/22/21	400.000	142,799.73	Various	142,460.93	...	338.80	Total of 2 transactions
03/22/21	600.000	214,343.88	Various	214,399.14	173.72 W	118.46	Total of 2 transactions
	Security total:	357,143.61		356,860.07	173.72 W	457.26	
SALESFORCE.COM INC COM / CUSIP: 79466L302 / Symbol: CRM							
06/17/21	105.000	25,304.86	06/17/21	25,291.04	...	13.82	Sale
06/17/21	95.000	22,875.87	06/17/21	22,883.60	5.29 W	-2.44	Sale
	Security total:	48,180.73		48,174.64	5.29 W	11.38	

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TD Ameritrade Clearing, Inc.

Account 686108785

Proceeds from Broker and Barter Exchange Transactions

2021 1099-B* OMB No. 1545-0715

(continued)

01/20/2022

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

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SAREPTA THERAPEUTICS INC COM / CUSIP: 803607100 / Symbol: SRPT							
01/08/21	500.000	44,123.96	01/07/21	40,025.00	...	4,098.96	Sale
01/08/21	500.000	41,512.02	Various	42,000.00	487.98 W	0.00	Total of 2 transactions
01/11/21	1,000.000	86,110.12	Various	84,948.18	...	1,161.94	Total of 3 transactions
02/01/21	700.000	61,668.63	02/01/21	61,970.93	302.30 W	0.00	Sale
02/25/21	949.000	81,313.48	Various	80,573.12	...	740.36	Total of 4 transactions
	Security total:	314,728.21		309,517.23	790.28 W	6,001.26	
SECOND SIGHT MEDICAL PRODUCTS COM / CUSIP: 81362J209 / Symbol: EYES							
03/05/21	34,258.000	250,149.37	Various	219,704.97	...	30,444.40	Total of 10 transactions
03/05/21	28,742.000	176,042.01	Various	212,918.68	36,981.37 W	104.70	Total of 12 transactions
03/08/21	3,000.000	39,599.74	03/08/21	37,531.70	...	2,068.04	Sale
03/08/21	6,841.000	77,494.31	Various	104,396.30	16,918.71 W	-9,983.28	Total of 7 transactions
	Security total:	543,285.43		574,551.65	53,900.08 W	22,633.86	
SELLAS LIFE SCIENCES GROUP INC COM / CUSIP: 81642T209 / Symbol: SLS							
02/02/21	8,000.000	59,178.24	Various	57,525.89	...	1,652.35	Total of 2 transactions
02/03/21	5,000.000	59,998.69	Various	63,600.00	...	-3,601.31	Total of 2 transactions
	Security total:	119,176.93		121,125.89	...	-1,948.96	
SENSEONICS HOLDINGS INC COM / CUSIP: 81727U105 / Symbol: SENS							
06/04/21	18,500.000	53,668.33	Various	52,374.55	...	1,293.78	Total of 2 transactions
06/11/21	7,434.000	31,593.46	06/11/21	31,891.86	298.40 W	0.00	Sale
06/14/21	9,566.000	41,706.45	06/11/21	41,604.04	...	102.41	Sale
	Security total:	126,968.24		125,870.45	298.40 W	1,396.19	
SHIFT TECHNOLOGIES INC COM CL A / CUSIP: 82452T107 / Symbol: SFT							
02/08/21	7,340.000	72,296.53	02/08/21	73,185.55	...	-889.02	Sale
02/08/21	2,699.000	26,639.25	Various	26,936.02	296.77 W	0.00	Total of 3 transactions
	Security total:	98,935.78		100,121.57	296.77 W	-889.02	
SKILLZ INC COM / CUSIP: 83067L109 / Symbol: SKLZ							
03/09/21	4,000.000	101,940.15	Various	101,818.80	...	121.35	Total of 7 transactions
03/11/21	10,050.000	261,448.98	Various	256,304.40	...	5,144.58	Total of 2 transactions
03/26/21	10,000.000	192,248.82	Various	220,967.48	28,718.66 W	0.00	Total of 2 transactions
03/31/21	34,300.000	654,466.56	Various	698,319.58	44,897.94 W	1,044.92	Total of 16 transactions

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Account 686108785

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2021 1099-B* OMB No. 1545-0715

(continued)

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SKILLZ INC COM / CUSIP: 83067L109 / Symbol: SKLZ (cont'd)							
04/01/21	20,000.000	374,076.68	Various	408,200.08	34,123.40 W	0.00	Total of 6 transactions
04/08/21	40,000.000	700,586.53	Various	753,152.75	52,566.22 W	0.00	Total of 13 transactions
04/09/21	15,000.000	259,071.89	Various	275,365.10	...	-16,293.21	Total of 4 transactions
04/09/21	15,000.000	261,758.15	Various	296,608.94	3,913.77 W	-30,937.02	Total of 2 transactions
04/22/21	5,000.000	89,398.96	04/22/21	93,091.69	...	-3,692.73	Sale
	Security total:	2,894,996.72		3,103,828.82	164,219.99 W	-44,612.11	
SOCKET MOBILE INC COM / CUSIP: 83368E200 / Symbol: SCKT							
02/16/21	1,000.000	21,809.50	02/16/21	22,599.90	...	-790.40	Sale
SOLID BIOSCIENCES INC COM / CUSIP: 83422E105 / Symbol: SLDB							
02/23/21	30,000.000	268,427.67	Various	258,564.98	...	9,862.69	Total of 12 transactions
SOS LIMITED ADR / CUSIP: 83587W106 / Symbol: SOS							
02/12/21	2,798.000	20,778.78	Various	20,167.69	...	611.09	Total of 14 transactions
02/12/21	48,090.000	349,564.71	Various	353,588.51	5,945.85 W	1,922.05	Total of 54 transactions
02/25/21	10,000.000	69,498.47	02/25/21	71,426.10	1,927.63 W	0.00	Sale
03/01/21	414.000	3,295.37	03/01/21	3,241.62	...	53.75	Sale
03/01/21	19,586.000	155,705.59	03/01/21	155,222.93	729.22 W	1,211.88	Sale
03/02/21	3,990.000	32,107.48	Various	30,670.36	...	1,437.12	Total of 3 transactions
03/02/21	94,010.000	679,896.22	Various	739,541.91	61,583.95 W	1,938.26	Total of 14 transactions
03/03/21	10,898.000	83,715.33	Various	79,726.76	...	3,988.57	Total of 5 transactions
03/03/21	80,102.000	629,440.80	Various	695,345.68	69,294.02 W	3,389.14	Total of 11 transactions
03/04/21	300.000	2,106.94	Various	2,097.00	...	9.94	Total of 2 transactions
03/04/21	47,700.000	346,684.55	Various	388,782.67	42,449.39 W	351.27	Total of 3 transactions
03/05/21	573.000	3,728.35	Various	3,713.04	...	15.31	Total of 2 transactions
03/05/21	17,927.000	121,843.70	Various	135,976.33	14,146.31 W	13.68	Total of 2 transactions
03/08/21	23,000.000	140,829.30	Various	166,905.18	26,075.88 W	0.00	Total of 2 transactions
03/09/21	41,750.000	240,056.36	03/09/21	274,281.87	...	-34,225.51	Sale
03/09/21	18,250.000	109,496.80	Various	132,241.73	22,744.93 W	0.00	Total of 4 transactions
04/13/21	50,765.000	243,750.16	Various	249,818.25	6,068.09 W	0.00	Total of 12 transactions
04/14/21	21,987.000	107,626.27	Various	113,462.63	...	-5,836.36	Total of 2 transactions
04/14/21	53,592.000	261,607.83	Various	276,445.68	6,528.19 W	-8,309.66	Total of 3 transactions
	Security total:	3,601,733.01		3,892,655.94	257,493.46 W	-33,429.47	

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Proceeds from Broker and Barter Exchange Transactions

2021 1099-B* OMB No. 1545-0715

(continued)

01/20/2022

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BLOCK INC COM CL A / CUSIP: 852234103 / Symbol: SQ							
01/25/21	1,200.000	264,162.27	Various	263,504.34	...	657.93	Total of 3 transactions
STITCH FIX INC COM CL A / CUSIP: 860897107 / Symbol: SFIX							
06/10/21	61.000	3,812.92	Various	3,812.80	...	0.12	Total of 4 transactions
SUPER LEAGUE GAMING INC COM / CUSIP: 86804F202 / Symbol: SLGG							
03/03/21	18,000.000	134,640.69	Various	123,600.00	...	11,040.69	Total of 5 transactions
03/04/21	16,734.000	132,221.02	Various	121,635.39	...	10,585.63	Total of 9 transactions
03/04/21	17,766.000	137,794.86	Various	132,518.20	1,832.94 W	7,109.60	Total of 6 transactions
03/05/21	5,000.000	34,449.22	03/04/21	37,876.70	3,427.48 W	0.00	Sale
03/09/21	25,000.000	127,373.12	Various	134,110.60	7,353.26 W	615.78	Total of 10 transactions
03/11/21	15,000.000	106,351.22	Various	100,020.27	...	6,330.95	Total of 3 transactions
03/11/21	49,385.000	305,086.76	Various	377,688.38	72,601.62 W	0.00	Total of 14 transactions
03/16/21	3,600.000	25,487.44	03/16/21	31,101.29	5,613.85 W	0.00	Sale
03/17/21	17,182.000	121,688.26	Various	147,659.65	25,971.39 W	0.00	Total of 4 transactions
03/18/21	6,249.000	53,330.98	Various	69,258.01	15,927.03 W	0.00	Total of 6 transactions
03/19/21	17,000.000	176,908.77	Various	200,941.86	...	-24,033.09	Total of 3 transactions
03/19/21	13,751.000	122,752.33	Various	140,192.08	16,110.92 W	-1,328.83	Total of 3 transactions
	Security total:	1,478,084.67		1,616,602.43	148,838.49 W	10,320.73	
SUPPORT COM INC .115:1 EXC 9/15/21 39531G100 / CUSIP: 86858W200 / Symbol: SPRT							
03/22/21	13,290.000	90,300.56	Various	90,721.74	...	-421.18	Total of 2 transactions
03/22/21	6,210.000	40,814.08	Various	41,587.92	773.84 W	0.00	Total of 2 transactions
	Security total:	131,114.64		132,309.66	773.84 W	-421.18	
TANGER FACTORY OUTLET CENTERS COM USD0.01 / CUSIP: 875465106 / Symbol: SKT							
03/04/21	1,250.000	26,574.84	03/04/21	25,859.66	...	715.18	Sale
TESLA INC COM / CUSIP: 88160R101 / Symbol: TSLA							
06/23/21	80.000	53,058.25	Various	53,046.16	...	12.09	Total of 2 transactions
06/23/21	160.000	105,996.24	Various	106,108.28	112.04 W	0.00	Total of 2 transactions
	Security total:	159,054.49		159,154.44	112.04 W	12.09	
THE9 LTD ADR / CUSIP: 88337K302 / Symbol: NCTY							
06/04/21	1,850.000	25,975.32	06/04/21	25,082.00	...	893.32	Sale

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(continued)

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TILRAY BRANDS INC COM / CUSIP: 88688T100 / Symbol: TLRY							
02/10/21	5,000.000	326,315.62	Various	314,087.51	...	12,228.11	Total of 13 transactions
TORCHLIGHT ENERGY RESOURCES IN 1:2 R/S 6/28/21 59134N104 / CUSIP: 89102U103 / Symbol: TRCH							
06/21/21	625.000	6,543.65	06/21/21	6,846.90	...	-303.25	Sale
06/21/21	610.000	6,716.00	06/21/21	7,062.90	346.90 W	0.00	Sale
	Security total:	13,259.65		13,909.80	346.90 W	-303.25	
TRANSETERIX INC N/C 3/5/21 04367G103 / CUSIP: 89366M300 / Symbol: TRXC							
02/10/21	45,000.000	282,443.41	Various	291,659.19	...	-9,215.78	Total of 2 transactions
02/10/21	16,164.000	104,149.64	Various	108,309.34	4,200.42 W	40.72	Total of 6 transactions
	Security total:	386,593.05		399,968.53	4,200.42 W	-9,175.06	
TRIDENT ACQUISITIONS CORP 1:1 EXC 11/1/21 54570M108 / CUSIP: 89615T106 / Symbol: TDAC							
02/22/21	8,595.000	131,303.55	Various	138,909.74	...	-7,606.19	Total of 11 transactions
02/22/21	11,410.000	184,874.30	Various	189,987.44	5,121.43 W	8.29	Total of 3 transactions
	Security total:	316,177.85		328,897.18	5,121.43 W	-7,597.90	
TYME TECHNOLOGIES INC COM / CUSIP: 90238J103 / Symbol: TYME							
02/03/21	6,300.000	23,308.73	02/03/21	24,959.41	...	-1,650.68	Sale
02/03/21	23,700.000	88,208.92	Various	100,300.57	12,091.65 W	0.00	Total of 8 transactions
	Security total:	111,517.65		125,259.98	12,091.65 W	-1,650.68	
UPSTART HLDGS INC COM / CUSIP: 91680M107 / Symbol: UPST							
03/17/21	500.000	43,015.22	Various	43,440.00	424.78 W	0.00	Total of 4 transactions
03/18/21	1,500.000	146,994.57	Various	132,869.23	...	14,125.34	Total of 3 transactions
	Security total:	190,009.79		176,309.23	424.78 W	14,125.34	
UWM HLDGS CORP COM CL A / CUSIP: 91823B109 / Symbol: UWMC							
03/02/21	85,777.000	822,803.29	Various	806,099.51	...	16,703.78	Total of 19 transactions
03/02/21	13,373.000	122,614.77	Various	122,492.16	3.86 W	126.47	Total of 2 transactions
	Security total:	945,418.06		928,591.67	3.86 W	16,830.25	

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VAXART INC COM / CUSIP: 92243A200 / Symbol: VXRT							
05/04/21	30.000	268.50	04/30/21	351.30	...	-82.80	Sale
06/17/21	2,000.000	16,579.72	Various	16,580.00	...	-0.28	Total of 2 transactions
	Security total:	16,848.22		16,931.30	...	-83.08	
VELODYNE LIDAR INC COM / CUSIP: 92259F101 / Symbol: VLDR							
01/13/21	3,000.000	70,465.08	01/13/21	69,810.00	...	655.08	Sale
01/13/21	24,000.000	552,975.17	Various	582,798.17	29,841.12 W	18.12	Total of 8 transactions
01/14/21	3,000.000	71,068.37	01/14/21	74,030.15	2,961.78 W	0.00	Sale
02/02/21	6,753.000	148,282.29	Various	154,400.46	...	-6,118.17	Total of 7 transactions
02/02/21	3,247.000	71,491.02	Various	73,773.12	2,405.73 W	123.63	Total of 2 transactions
	Security total:	914,281.93		954,811.90	35,208.63 W	-5,321.34	
VERB TECHNOLOGY COMPANY INC COM / CUSIP: 92337U104 / Symbol: VERB							
07/15/21	6,975.000	21,412.32	07/15/21	22,532.56	...	-1,120.24	Sale
07/15/21	3,025.000	9,377.10	07/15/21	9,785.88	408.78 W	0.00	Sale
	Security total:	30,789.42		32,318.44	408.78 W	-1,120.24	
VERICITY INC COM / CUSIP: 92347D100 / Symbol: VERY							
04/08/21	13,745.000	255,289.88	Various	253,250.02	...	2,039.86	Total of 19 transactions
04/08/21	5,255.000	94,588.90	04/08/21	96,388.08	1,643.00 W	-156.18	Sale
	Security total:	349,878.78		349,638.10	1,643.00 W	1,883.68	
VERU INC COM / CUSIP: 92536C103 / Symbol: VERU							
02/04/21	20,080.000	270,864.71	Various	276,441.42	5,588.62 W	11.91	Total of 14 transactions
02/08/21	20,570.000	302,114.84	Various	279,276.71	...	22,838.13	Total of 7 transactions
02/08/21	35,163.000	478,296.02	Various	488,671.35	17,030.68 W	6,655.35	Total of 30 transactions
02/09/21	2,970.000	65,782.91	Various	65,607.30	...	175.61	Total of 5 transactions
02/09/21	27,613.000	594,771.49	Various	609,141.02	17,607.96 W	3,238.43	Total of 20 transactions
02/18/21	10,000.000	155,446.37	Various	154,380.35	...	1,066.02	Total of 2 transactions
	Security total:	1,867,276.34		1,873,518.15	40,227.26 W	33,985.45	

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VIRGIN GALACTIC HLDGS INC COM / CUSIP: 92766K106 / Symbol: SPCE							
02/01/21	2,000.000	116,797.18	02/01/21	115,820.00	...	977.18	Sale
06/25/21	1,200.000	59,040.18	Various	56,255.72	...	2,784.46	Total of 2 transactions
07/16/21	1.000	32.95	07/15/21	32.75	...	0.20	Sale
	Security total:	175,870.31		172,108.47	...	3,761.84	
WASHINGTON PRIME GROUP INC LIQ \$.78228528 10/21/21 / CUSIP: 93964W405 / Symbol: WPGGQ							
03/09/21	3,000.000	10,899.60	Various	9,900.00	...	999.60	Total of 2 transactions
03/09/21	51,411.000	181,228.91	Various	211,720.37	33,794.28 W	3,302.82	Total of 33 transactions
03/10/21	5,489.000	19,321.08	03/09/21	20,837.02	...	-1,515.94	Sale
	Security total:	211,449.59		242,457.39	33,794.28 W	2,786.48	
WESTPORT FUEL SYSTEMS INC COM / CUSIP: 960908309 / Symbol: WPRT							
02/05/21	5,000.000	62,148.04	02/05/21	61,976.00	...	172.04	Sale
WILHELMINA INTERNATIONAL INC COM / CUSIP: 968235200 / Symbol: WHLM							
07/14/21	60.000	351.64	07/14/21	461.40	109.76 W	0.00	Sale
07/15/21	1,900.000	10,981.71	07/14/21	13,907.45	...	-2,925.74	Sale
	Security total:	11,333.35		14,368.85	109.76 W	-2,925.74	
WINDTREE THERAPEUTICS INC COM / CUSIP: 97382D303 / Symbol: WINT							
06/04/21	4,941.000	13,131.75	Various	14,083.46	...	-951.71	Total of 2 transactions
06/04/21	11,059.000	29,356.22	Various	30,376.22	780.70 W	-239.30	Total of 8 transactions
	Security total:	42,487.97		44,459.68	780.70 W	-1,191.01	
WORKHORSE GROUP INC COM / CUSIP: 98138J206 / Symbol: WKHS							
02/18/21	45,005.000	1,409,023.55	Various	1,425,624.99	17,013.07 W	411.63	Total of 6 transactions
02/23/21	5,000.000	76,922.70	02/23/21	73,853.56	...	3,069.14	Sale
02/23/21	15,800.000	237,613.47	Various	279,644.76	42,031.29 W	0.00	Total of 6 transactions
02/24/21	14,444.000	214,825.42	Various	252,505.60	37,680.18 W	0.00	Total of 2 transactions
03/01/21	15,000.000	247,498.04	Various	289,791.28	42,293.24 W	0.00	Total of 3 transactions
03/08/21	11,700.000	181,748.70	Various	205,626.40	...	-23,877.70	Total of 3 transactions
03/08/21	10,800.000	167,775.85	03/08/21	191,309.11	17,668.25 W	-5,865.01	Sale
04/08/21	37,918.000	504,302.31	04/08/21	509,389.97	...	-5,087.66	Sale
04/08/21	12,082.000	160,872.73	Various	162,140.44	1,267.71 W	0.00	Total of 5 transactions
	Security total:	3,200,582.77		3,389,886.11	157,953.74 W	-31,349.60	

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Account 686108785

Proceeds from Broker and Barter Exchange Transactions

2021 1099-B* OMB No. 1545-0715

(continued)

01/20/2022

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XL FLEET CORP COM CL A / CUSIP: 9837FR100 / Symbol: XL							
01/04/21	5,400.000	114,557.57	Various	139,517.87	24,960.30 W	0.00	Total of 3 transactions
01/05/21	2,100.000	43,175.01	Various	55,421.88	12,253.56 W	6.69	Sale
01/12/21	24,000.000	503,836.51	Various	548,761.85	46,339.37 W	1,414.03	Total of 3 transactions
01/13/21	46,000.000	1,025,502.03	Various	1,101,062.15	88,556.97 W	12,996.85	Total of 15 transactions
01/14/21	5,000.000	108,497.50	01/14/21	117,745.07	9,519.06 W	271.49	Sale
01/21/21	500.000	9,579.73	Various	9,549.95	...	29.78	Total of 2 transactions
01/21/21	13,500.000	260,298.52	Various	287,382.04	27,566.52 W	483.00	Total of 3 transactions
01/22/21	3,000.000	60,988.29	01/22/21	68,035.64	7,102.75 W	55.40	Sale
01/25/21	961.000	19,967.21	Various	18,893.16	...	1,074.05	Total of 5 transactions
01/25/21	3,627.000	76,512.94	Various	76,614.90	3,025.28 W	2,923.32	Total of 3 transactions
01/26/21	7,500.000	154,696.39	Various	164,837.42	10,293.81 W	152.78	Total of 6 transactions
02/01/21	200.000	4,139.89	02/01/21	4,106.05	...	33.84	Sale
02/01/21	34,143.000	695,400.87	Various	732,575.96	37,286.50 W	111.41	Total of 15 transactions
02/02/21	10,857.000	227,093.82	Various	229,726.01	4,560.63 W	1,928.44	Total of 2 transactions
02/04/21	5,903.000	127,119.52	Various	128,274.00	2,248.39 W	1,093.91	Total of 2 transactions
02/25/21	2,089.000	32,800.84	Various	32,930.64	...	-129.80	Total of 8 transactions
02/25/21	63,271.000	969,315.37	Various	978,004.90	13,874.87 W	5,185.34	Total of 13 transactions
03/01/21	14,000.000	209,583.46	Various	219,008.94	...	-9,425.48	Total of 2 transactions
03/10/21	7,722.000	90,265.44	Various	92,683.24	2,417.80 W	0.00	Total of 4 transactions
04/05/21	47,739.000	348,489.41	Various	401,629.25	...	-53,139.84	Sale
04/05/21	20,761.000	151,759.70	04/01/21	174,018.45	22,258.75 W	0.00	Sale
06/08/21	8,000.000	68,798.70	06/08/21	68,880.00	...	-81.30	Sale
	Security total:	5,302,378.72		5,649,659.37	312,264.56 W	-35,016.09	
ZILLOW GROUP INC COM CL C / CUSIP: 98954M200 / Symbol: Z							
02/12/21	1,500.000	278,477.01	Various	276,250.00	...	2,227.01	Total of 3 transactions
ZOOM VIDEO COMMUNICATIONS INC COM CL A / CUSIP: 98980L101 / Symbol: ZM							
03/03/21	121.000	53,856.82	Various	54,890.29	...	-1,033.47	Total of 3 transactions
03/03/21	2,769.000	1,232,928.13	Various	1,250,987.01	19,933.79 W	1,874.91	Total of 16 transactions
06/29/21	2.000	778.52	06/28/21	778.80	...	-0.28	Sale
	Security total:	1,287,563.47		1,306,656.10	19,933.79 W	841.16	

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Account 686108785

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2021 1099-B* OMB No. 1545-0715

(continued)

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AIRBNB INC ABNB May 28 2021 140.0 Call / CUSIP: / Symbol: ABNB 05/28/21 C 140.000							
05/27/21	100.000	31,283.26	Various	21,566.39	...	9,716.87	Total of 2 transactions
05/28/21	50.000	23,091.57	Various	13,833.19	...	9,258.38	Total of 2 transactions
	Security total:	54,374.83		35,399.58	...	18,975.25	
C3.AI INC AI Apr 16 2021 70.0 Call / CUSIP: / Symbol: AI 04/16/21 C 70.000							
04/14/21	400.000	65,887.44	Various	85,362.66	...	-19,475.22	Total of 15 transactions
04/14/21	324.000	56,107.98	Various	65,015.10	8,907.12 W	0.00	Total of 9 transactions
04/16/21	50.000	-2,816.53	04/15/21	0.00	...	-2,816.53	Short sale closed- option
	Security total:	119,178.89		150,377.76	8,907.12 W	-22,291.75	
C3.AI INC AI Apr 16 2021 75.0 Call / CUSIP: / Symbol: AI 04/16/21 C 75.000							
04/14/21	299.000	13,241.54	Various	108,117.40	...	-94,875.86	Total of 2 transactions
04/14/21	701.000	36,220.14	Various	160,314.77	106,652.28 W	-17,442.35	Total of 3 transactions
04/15/21	22.000	-189.96	Various	0.00	...	-189.96	Total of 2 transactions
	Security total:	49,271.72		268,432.17	106,652.28 W	-112,508.17	
AMC ENTERTAINMENT HOLDINGS INC AMC Jun 18 2021 60.0 Call / CUSIP: / Symbol: AMC 06/18/21 C 60.000							
06/17/21	27.000	10,700.98	06/17/21	15,492.93	4,791.95 W	0.00	Option sale
06/18/21	30.000	11,979.97	Various	18,084.87	...	-6,104.90	Total of 2 transactions
	Security total:	22,680.95		33,577.80	4,791.95 W	-6,104.90	
AMC ENTERTAINMENT HOLDINGS INC AMC Jun 25 2021 60.0 Call / CUSIP: / Symbol: AMC 06/25/21 C 60.000							
06/22/21	30.000	10,479.97	06/22/21	11,019.92	...	-539.95	Option sale
AMC ENTERTAINMENT HOLDINGS INC AMC Jul 02 2021 60.0 Call / CUSIP: / Symbol: AMC 07/02/21 C 60.000							
07/01/21	9.000	534.01	06/30/21	914.97	...	-380.96	Option sale
AMC ENTERTAINMENT HOLDINGS INC AMC Jul 16 2021 38.0 Call / CUSIP: / Symbol: AMC 07/16/21 C 38.000							
07/16/21	15.000	92.02	Various	1,929.96	...	-1,837.94	Total of 2 transactions
AMC ENTERTAINMENT HOLDINGS INC AMC Jun 04 2021 30.0 Put / CUSIP: / Symbol: AMC 06/04/21 P 30.000							
06/02/21	80.000	9,706.68	06/02/21	10,293.11	...	-586.43	Option sale
AMC ENTERTAINMENT HOLDINGS INC AMC Jun 04 2021 70.0 Put / CUSIP: / Symbol: AMC 06/04/21 P 70.000							
06/02/21	6.000	13,495.94	06/02/21	13,353.98	...	141.96	Option sale

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Account 686108785

Proceeds from Broker and Barter Exchange Transactions

2021 1099-B* OMB No. 1545-0715

(continued)

01/20/2022

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AMC ENTERTAINMENT HOLDINGS INC AMC Jun 25 2021 55.0 Put / CUSIP: / Symbol: AMC 06/25/21 P 55.000							
06/23/21	9.000	1,623.00	06/23/21	1,697.97	...	-74.97	Option sale
ADVANCED MICRO DEVICES INC AMD Apr 16 2021 80.0 Call / CUSIP: / Symbol: AMD 04/16/21 C 80.000							
04/15/21	400.000	115,372.05	Various	73,528.56	...	41,843.49	Total of 5 transactions
ADVANCED MICRO DEVICES INC AMD Apr 16 2021 82.0 Call / CUSIP: / Symbol: AMD 04/16/21 C 82.000							
04/15/21	200.000	23,866.71	04/15/21	26,332.77	2,466.06 W	0.00	Option sale
04/16/21	200.000	25,866.70	04/15/21	26,664.84	...	-798.14	Option sale
	Security total:	49,733.41		52,997.61	2,466.06 W	-798.14	
ADVANCED MICRO DEVICES INC AMD Apr 30 2021 88.0 Call / CUSIP: / Symbol: AMD 04/30/21 C 88.000							
04/28/21	1,706.000	58,573.73	04/28/21	139,622.56	...	-81,048.83	Option sale
ADVANCED MICRO DEVICES INC AMD May 07 2021 85.0 Call / CUSIP: / Symbol: AMD 05/07/21 C 85.000							
04/29/21	200.000	35,866.65	04/28/21	34,132.77	...	1,733.88	Option sale
ADVANCED MICRO DEVICES INC AMD Jun 04 2021 82.5 Call / CUSIP: / Symbol: AMD 06/04/21 C 82.500							
06/01/21	450.000	28,950.19	06/01/21	29,098.74	...	-148.55	Option sale
DIGITAL TURBINE INC APPS Apr 30 2021 75.0 Call / CUSIP: / Symbol: APPS 04/30/21 C 75.000							
04/30/21	20.000	386.68	04/30/21	613.28	...	-226.60	Option sale
DIGITAL TURBINE INC APPS May 28 2021 62.0 Call / CUSIP: / Symbol: APPS 05/28/21 C 62.000							
05/26/21	60.000	22,759.92	Various	13,959.83	...	8,800.09	Total of 3 transactions
05/27/21	55.000	13,988.31	05/26/21	10,916.51	...	3,071.80	Option sale
	Security total:	36,748.23		24,876.34	...	11,871.89	
DIGITAL TURBINE INC APPS Jun 04 2021 68.0 Call / CUSIP: / Symbol: APPS 06/04/21 C 68.000							
06/03/21	197.000	9,718.78	06/03/21	18,060.78	...	-8,342.00	Option sale
DIGITAL TURBINE INC APPS Jun 04 2021 70.0 Call / CUSIP: / Symbol: APPS 06/04/21 C 70.000							
06/02/21	225.000	10,121.41	Various	57,750.93	...	-47,629.52	Option sale
06/02/21	10.000	307.09	05/28/21	2,506.64	2,199.55 W	0.00	Option sale
	Security total:	10,428.50		60,257.57	2,199.55 W	-47,629.52	

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(continued)

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DIGITAL TURBINE INC APPS Jun 18 2021 70.0 Call / CUSIP: / Symbol: APPS 06/18/21 C 70.000							
06/17/21	113.000	14,189.69	Various	15,894.28	...	-1,704.59	Total of 2 transactions
06/17/21	142.000	15,915.36	Various	32,817.12	5,752.12 W	-11,149.64	Total of 2 transactions
	Security total:	30,105.05		48,711.40	5,752.12 W	-12,854.23	
DIGITAL TURBINE INC APPS Jul 02 2021 78.0 Put / CUSIP: / Symbol: APPS 07/02/21 P 78.000							
06/29/21	21.000	4,421.01	Various	3,053.94	...	1,367.07	Total of 2 transactions
BOEING CO BA Jun 04 2021 255.0 Call / CUSIP: / Symbol: BA 06/04/21 C 255.000							
06/02/21	90.000	29,666.94	Various	28,859.75	...	807.19	Total of 5 transactions
BOEING CO BA Jun 25 2021 240.0 Call / CUSIP: / Symbol: BA 06/25/21 C 240.000							
06/21/21	7.000	3,845.32	06/21/21	3,833.65	...	11.67	Option sale
BOEING CO BA Jun 25 2021 242.5 Call / CUSIP: / Symbol: BA 06/25/21 C 242.500							
06/22/21	30.000	9,729.98	06/22/21	9,919.92	...	-189.94	Option sale
BED BATH AND BEYOND BBY Jun 04 2021 31.0 Call / CUSIP: / Symbol: BBY 06/04/21 C 31.000							
06/02/21	35.000	38,390.50	Various	19,238.23	...	19,152.27	Total of 5 transactions
06/03/21	40.000	17,573.28	Various	21,576.56	5,139.96 W	1,136.68	Option sale
06/04/21	45.000	7,170.02	06/03/21	15,294.83	...	-8,124.81	Option sale
	Security total:	63,133.80		56,109.62	5,139.96 W	12,164.14	
BED BATH AND BEYOND BBY Jun 25 2021 28.0 Call / CUSIP: / Symbol: BBY 06/25/21 C 28.000							
06/21/21	100.000	8,933.36	06/21/21	11,766.39	...	-2,833.03	Option sale
BIOGEN INC BIIB Jun 11 2021 400.0 Call / CUSIP: / Symbol: BIIB 06/11/21 C 400.000							
06/09/21	15.000	16,794.94	Various	11,707.96	...	5,086.98	Total of 6 transactions
BIOGEN INC BIIB Jun 18 2021 412.5 Call / CUSIP: / Symbol: BIIB 06/18/21 C 412.500							
06/14/21	10.000	5,293.31	06/11/21	5,006.64	...	286.67	Option sale
BIOGEN INC BIIB Jun 25 2021 380.0 Call / CUSIP: / Symbol: BIIB 06/25/21 C 380.000							
06/22/21	11.000	3,402.66	06/22/21	2,317.30	...	1,085.36	Option sale
06/23/21	7.000	695.33	06/23/21	1,938.95	...	-1,243.62	Option sale
06/23/21	72.000	6,207.04	Various	16,029.77	1,886.28 W	-7,936.45	Total of 2 transactions
	Security total:	10,305.03		20,286.02	1,886.28 W	-8,094.71	

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BEYOND MEAT INC BYND May 28 2021 150.0 Put / CUSIP: / Symbol: BYND 05/28/21 P 150.000							
05/28/21	25.000	7,434.31	Various	4,641.60	...	2,792.71	Total of 2 transactions
BEYOND MEAT INC BYND Jun 18 2021 140.0 Put / CUSIP: / Symbol: BYND 06/18/21 P 140.000							
06/15/21	100.000	18,543.32	Various	12,066.39	...	6,476.93	Total of 3 transactions
CLOVER HEALTH INVESTMENTS CORP CLOV Apr 16 2021 9.0 Call / CUSIP: / Symbol: CLOV 04/16/21 C 9.000							
04/16/21	678.000	226.59	04/16/21	40,065.62	...	-39,839.03	Option sale
04/16/21	412.000	0.00	04/16/21	23,003.52	23,003.52 W	0.00	Option expiration
	Security total:	226.59		63,069.14	23,003.52 W	-39,839.03	
CLOVER HEALTH INVESTMENTS CORP CLOV May 21 2021 10.0 Call / CUSIP: / Symbol: CLOV 05/21/21 C 10.000							
04/19/21	300.000	38,800.04	04/19/21	48,153.15	...	-9,353.11	Option sale
CLOVER HEALTH INVESTMENTS CORP CLOV Jun 18 2021 20.0 Put / CUSIP: / Symbol: CLOV 06/18/21 P 20.000							
06/09/21	25.000	9,358.32	06/09/21	6,895.88	...	2,462.44	Option sale
06/09/21	25.000	6,858.31	06/09/21	6,907.85	49.54 W	0.00	Option sale
	Security total:	16,216.63		13,803.73	49.54 W	2,462.44	
COINBASE GLOBAL INC COIN Jun 11 2021 222.5 Call / CUSIP: / Symbol: COIN 06/11/21 C 222.500							
06/11/21	40.000	6,173.34	06/11/21	6,426.55	...	-253.21	Option sale
COINBASE GLOBAL INC COIN Jun 18 2021 230.0 Call / CUSIP: / Symbol: COIN 06/18/21 C 230.000							
06/14/21	30.000	30,729.86	Various	22,529.92	...	8,199.94	Total of 2 transactions
SALESFORCE.COM INC CRM May 28 2021 240.0 Call / CUSIP: / Symbol: CRM 05/28/21 C 240.000							
05/28/21	388.000	18,749.62	Various	66,880.73	...	-48,131.11	Total of 7 transactions
05/28/21	1,189.000	51,496.09	Various	175,797.29	124,431.09 W	129.89	Total of 13 transactions
	Security total:	70,245.71		242,678.02	124,431.09 W	-48,001.22	
SALESFORCE.COM INC CRM Jun 04 2021 237.5 Call / CUSIP: / Symbol: CRM 06/04/21 C 237.500							
06/04/21	75.000	1,825.05	06/04/21	4,114.79	...	-2,289.74	Option sale
SALESFORCE.COM INC CRM Jun 18 2021 242.5 Call / CUSIP: / Symbol: CRM 06/18/21 C 242.500							
06/17/21	110.000	21,126.66	Various	14,749.03	...	6,377.63	Total of 2 transactions
SALESFORCE.COM INC CRM Jun 18 2021 245.0 Call / CUSIP: / Symbol: CRM 06/18/21 C 245.000							
06/14/21	50.000	13,116.64	06/14/21	12,533.19	...	583.45	Option sale

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TD Ameritrade Clearing, Inc.

Account 686108785

Proceeds from Broker and Barter Exchange Transactions

2021 1099-B* OMB No. 1545-0715

(continued)

01/20/2022

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

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EBANG INTERNATIONAL HLDGS INC EBON May 21 2021 5.0 Call / CUSIP: / Symbol: EBON 05/21/21 C 5.000							
04/27/21	279.000	14,621.14	Various	13,740.21	282.95 W	1,163.88	Total of 2 transactions
04/28/21	120.000	5,560.08	04/26/21	7,094.21	...	-1,534.13	Option sale
04/28/21	880.000	39,894.84	Various	47,167.84	1,715.23 W	-5,557.77	Total of 2 transactions
	Security total:	60,076.06		68,002.26	1,998.18 W	-5,928.02	
ENTERA BIO LTD ENTX Jul 16 2021 7.5 Call / CUSIP: / Symbol: ENTX 07/16/21 C 7.500							
06/25/21	5.000	146.67	06/23/21	533.65	...	-386.98	Option sale
06/25/21	9.000	228.01	06/23/21	833.97	67.33 W	-538.63	Option sale
	Security total:	374.68		1,367.62	67.33 W	-925.61	
EXPRESS INC EXPR Jul 02 2021 7.0 Call / CUSIP: / Symbol: EXPR 07/02/21 C 7.000							
07/02/21	32.000	138.70	07/01/21	1,157.25	...	-1,018.55	Option sale
FACEBOOK INC FB Apr 30 2021 330.0 Call / CUSIP: / Symbol: FB 04/30/21 C 330.000							
04/30/21	350.000	466.95	Various	44,132.36	...	-43,665.41	Option sale
THE BEACHBODY COMPANY INC FRX Jun 18 2021 10.0 Call / CUSIP: / Symbol: FRX 06/18/21 C 10.000							
06/08/21	100.000	4,433.39	06/08/21	4,485.38	...	-51.99	Option sale
FASTLY INC FSLY Apr 23 2021 72.5 Call / CUSIP: / Symbol: FSLY 04/23/21 C 72.500							
04/19/21	358.000	27,560.23	04/19/21	49,708.55	...	-22,148.32	Option sale
04/19/21	43.000	3,092.65	04/19/21	6,263.55	3,170.90 W	0.00	Option sale
	Security total:	30,652.88		55,972.10	3,170.90 W	-22,148.32	
FASTLY INC FSLY Apr 30 2021 67.5 Call / CUSIP: / Symbol: FSLY 04/30/21 C 67.500							
04/23/21	290.000	74,096.53	Various	63,992.52	...	10,104.01	Total of 5 transactions
04/26/21	150.000	46,399.92	04/23/21	32,919.58	...	13,480.34	Option sale
	Security total:	120,496.45		96,912.10	...	23,584.35	
FASTLY INC FSLY Apr 30 2021 70.0 Call / CUSIP: / Symbol: FSLY 04/30/21 C 70.000							
04/22/21	125.000	23,041.65	04/22/21	20,332.98	...	2,708.67	Option sale
FISKER INC FSR Apr 23 2021 13.0 Call / CUSIP: / Symbol: FSR 04/23/21 C 13.000							
04/23/21	504.000	59,894.09	Various	38,914.59	...	20,979.50	Total of 3 transactions

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(continued)

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FISKER INC FSR Apr 23 2021 14.0 Call / CUSIP: / Symbol: FSR 04/23/21 C 14.000							
04/22/21	670.000	19,877.79	Various	21,214.79	...	-1,337.00	Total of 4 transactions
FUBOTV INC FUBO Apr 16 2021 19.0 Call / CUSIP: / Symbol: FUBO 04/16/21 C 19.000							
04/16/21	1,200.000	23,400.84	Various	40,194.65	...	-16,793.81	Total of 2 transactions
FUBOTV INC FUBO Apr 16 2021 20.0 Call / CUSIP: / Symbol: FUBO 04/16/21 C 20.000							
04/15/21	757.000	31,561.10	Various	27,188.79	...	4,372.31	Total of 6 transactions
04/15/21	18.000	625.71	04/15/21	659.95	34.24 W	0.00	Option sale
	Security total:	32,186.81		27,848.74	34.24 W	4,372.31	
FUBOTV INC FUBO Apr 23 2021 20.0 Call / CUSIP: / Symbol: FUBO 04/23/21 C 20.000							
04/19/21	291.000	19,492.31	04/19/21	19,399.18	...	93.13	Option sale
04/19/21	209.000	13,883.60	04/19/21	13,932.75	49.15 W	0.00	Option sale
04/21/21	650.000	21,017.08	Various	40,150.66	19,133.58 W	0.00	Option sale
04/22/21	735.000	82,025.16	Various	51,341.52	...	30,683.64	Total of 3 transactions
	Security total:	136,418.15		124,824.11	19,182.73 W	30,776.77	
FUBOTV INC FUBO Apr 23 2021 21.0 Call / CUSIP: / Symbol: FUBO 04/23/21 C 21.000							
04/23/21	1,429.000	4,764.44	04/23/21	15,900.67	...	-11,136.23	Option sale
FUBOTV INC FUBO Apr 30 2021 21.0 Call / CUSIP: / Symbol: FUBO 04/30/21 C 21.000							
04/26/21	340.000	45,068.38	Various	34,225.71	...	10,842.67	Total of 3 transactions
04/27/21	300.000	46,493.02	Various	30,829.16	...	15,663.86	Total of 5 transactions
04/28/21	400.000	52,133.38	Various	50,835.54	...	1,297.84	Option sale
	Security total:	143,694.78		115,890.41	...	27,804.37	
ALUSSA ENERGY ACQUISITION CORP 1:1 EXC 7/8/21 L4135L100 / CUSIP: G0232J101 / Symbol: ALUS							
01/29/21	27,500.000	329,537.30	Various	342,064.22	11,680.15 W	-846.77	Total of 8 transactions
02/03/21	10,567.000	143,059.82	Various	146,826.16	3,686.62 W	-79.72	Total of 5 transactions
02/05/21	5,500.000	83,170.05	Various	80,726.00	...	2,444.05	Total of 13 transactions
02/08/21	1,000.000	15,279.54	02/05/21	14,296.75	...	982.79	Sale
03/02/21	10,000.000	107,274.86	Various	113,354.62	...	-6,079.76	Total of 3 transactions
	Security total:	678,321.57		697,267.75	15,366.77 W	-3,579.41	
BRIDGETOWN HLDGS LTD COM CL A / CUSIP: G1355U113 / Symbol: BTWN							
02/16/21	10,000.000	161,596.14	Various	160,356.00	...	1,240.14	Total of 2 transactions

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2021 1099-B* OMB No. 1545-0715

(continued)

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COLONNADE ACQUISITION CORP 1:1 EXC 3/12/21 68989M103 / CUSIP: G2283K110 / Symbol:							
02/09/21	2,899.000	44,304.36	Various	44,238.74	...	65.62	Total of 2 transactions
02/09/21	200.000	3,049.91	02/09/21	3,052.00	2.09 W	0.00	Sale
02/10/21	10,601.000	165,509.83	Various	161,500.71	...	4,009.12	Total of 22 transactions
02/11/21	4,300.000	66,132.03	02/10/21	65,516.68	...	615.35	Sale
	Security total:	278,996.13		274,308.13	2.09 W	4,690.09	
EBANG INTERNATIONAL HLDGS INC COM / CUSIP: G3R33A106 / Symbol: EBON							
03/12/21	41,485.000	440,210.07	Various	418,470.22	...	21,739.85	Total of 17 transactions
03/12/21	67,507.000	686,514.14	Various	711,438.05	27,410.77 W	2,486.86	Total of 23 transactions
03/15/21	10,000.000	118,895.87	Various	101,525.50	...	17,370.37	Total of 6 transactions
03/15/21	20,000.000	243,912.51	Various	246,247.17	3,403.83 W	1,069.17	Total of 5 transactions
03/17/21	40,097.000	455,656.35	Various	415,554.97	...	40,101.38	Total of 15 transactions
03/17/21	10,008.000	101,854.67	Various	106,683.06	4,828.39 W	0.00	Total of 7 transactions
03/18/21	5,000.000	62,349.08	Various	58,247.47	...	4,101.61	Sale
03/18/21	57,586.000	625,749.43	Various	704,806.45	80,933.11 W	1,876.09	Total of 26 transactions
03/19/21	30,713.000	339,474.33	Various	383,291.64	43,826.48 W	9.17	Total of 15 transactions
04/06/21	40,000.000	210,394.17	04/06/21	226,727.92	16,333.75 W	0.00	Sale
04/08/21	8,847.000	44,660.93	Various	46,360.64	...	-1,699.71	Total of 3 transactions
04/08/21	60,353.000	301,904.75	Various	324,451.33	3,316.18 W	-19,230.40	Total of 5 transactions
	Security total:	3,631,576.30		3,743,804.42	180,052.51 W	67,824.39	
NEXTGEN ACQUISITION CORP 1:1 EXC 8/20/21 98423B108 / CUSIP: G65305107 / Symbol: NGAC							
02/08/21	10,000.000	141,412.02	Various	141,500.00	...	-87.98	Total of 3 transactions
ORIENTAL CULTURE HOLDING LTD COM / CUSIP: G6796W107 / Symbol: OCG							
03/17/21	11,686.000	123,737.49	Various	107,118.44	...	16,619.05	Total of 7 transactions
03/17/21	8,314.000	82,001.41	Various	83,843.49	1,845.40 W	3.32	Total of 7 transactions
03/18/21	5,090.000	76,307.25	Various	50,408.27	...	25,898.98	Total of 5 transactions
	Security total:	282,046.15		241,370.20	1,845.40 W	42,521.35	

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(continued)

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TIAN RUIXIANG HLDGS LTD COM / CUSIP: G8884K102 / Symbol: TIRX							
04/12/21	10,578.000	228,569.33	Various	225,042.00	...	3,527.33	Total of 14 transactions
04/12/21	14,422.000	304,004.21	Various	302,802.08	1,026.59 W	2,228.72	Total of 17 transactions
06/18/21	1,450.000	10,294.97	Various	10,416.02	...	-121.05	Total of 2 transactions
06/18/21	200.000	1,421.97	06/18/21	1,436.00	10.52 W	-3.51	Sale
	Security total:	544,290.48		539,696.10	1,037.11 W	5,631.49	
UTIME LTD COM / CUSIP: G9411M108 / Symbol: UTME							
06/17/21	1,400.000	24,004.06	Various	23,695.00	...	309.06	Total of 3 transactions
MEIWU TECHNOLOGY COMPANY COM / CUSIP: G9604C107 / Symbol: WNW							
02/12/21	3,441.000	96,474.93	Various	118,631.31	...	-22,156.38	Total of 15 transactions
02/12/21	13,508.000	389,700.44	Various	448,882.43	57,710.64 W	-1,471.35	Total of 27 transactions
03/18/21	4,400.000	52,799.21	03/18/21	66,379.84	...	-13,580.63	Sale
03/18/21	2,600.000	31,278.37	Various	43,855.26	12,576.89 W	0.00	Total of 2 transactions
	Security total:	570,252.95		677,748.84	70,287.53 W	-37,208.36	
GAMESTOP CORPORATION GME Jun 11 2021 250.0 Call / CUSIP: / Symbol: GME 06/11/21 C 250.000							
06/10/21	30.000	14,079.95	06/10/21	29,041.21	...	-14,961.26	Option sale
06/10/21	28.000	13,421.30	06/10/21	26,858.59	13,437.29 W	0.00	Option sale
	Security total:	27,501.25		55,899.80	13,437.29 W	-14,961.26	
GAMESTOP CORPORATION GME Jun 11 2021 215.0 Put / CUSIP: / Symbol: GME 06/11/21 P 215.000							
06/11/21	20.000	486.69	06/11/21	5,794.27	...	-5,307.58	Option sale
CANOO INC GOEV Jun 18 2021 10.0 Call / CUSIP: / Symbol: GOEV 06/18/21 C 10.000							
06/17/21	241.000	7,226.14	Various	26,747.19	...	-19,521.05	Option sale
06/17/21	29.000	747.05	Various	4,224.25	3,477.20 W	0.00	Total of 3 transactions
	Security total:	7,973.19		30,971.44	3,477.20 W	-19,521.05	
GROUPON INC GRPN Jun 25 2021 44.0 Call / CUSIP: / Symbol: GRPN 06/25/21 C 44.000							
06/21/21	50.000	6,416.68	06/21/21	8,996.50	...	-2,579.82	Option sale
06/21/21	10.000	993.33	06/21/21	1,756.64	763.31 W	0.00	Option sale
	Security total:	7,410.01		10,753.14	763.31 W	-2,579.82	

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AC IMMUNE SA COM / CUSIP: H00263105 / Symbol: ACIU							
02/11/21	117,596.000	1,107,417.43	Various	1,380,228.76	281,930.61 W	9,119.28	Total of 28 transactions
02/12/21	50.000	412.48	02/12/21	392.00	...	20.48	Sale
02/12/21	26,285.000	214,998.90	Various	314,767.18	100,013.04 W	244.76	Total of 41 transactions
02/16/21	11,665.000	92,241.86	Various	130,338.44	38,096.58 W	0.00	Total of 9 transactions
02/17/21	19,500.000	163,923.00	Various	210,574.58	48,669.91 W	2,018.33	Total of 4 transactions
02/18/21	15,152.000	121,108.62	Various	172,700.93	51,614.35 W	22.04	Total of 4 transactions
02/23/21	532.000	3,996.13	Various	4,157.85	161.72 W	0.00	Total of 4 transactions
02/24/21	100.000	794.19	Various	781.35	...	12.84	Total of 2 transactions
02/24/21	18,893.000	144,537.13	Various	206,321.42	61,847.82 W	63.53	Total of 14 transactions
03/18/21	10,000.000	77,598.41	03/18/21	108,692.33	...	-31,093.92	Sale
06/02/21	4,000.000	28,399.78	06/02/21	29,400.00	...	-1,000.22	Sale
	Security total:	1,955,427.93		2,558,354.84	582,334.03 W	-20,592.88	
HIMS AND HERS HIMS Jun 18 2021 12.5 Call / CUSIP: / Symbol: HIMS 06/18/21 C 12.500							
06/18/21	100.000	0.00	06/11/21	3,066.39	...	-3,066.39	Option expiration
HIMS AND HERS HIMS Jul 16 2021 12.5 Call / CUSIP: / Symbol: HIMS 07/16/21 C 12.500							
06/17/21	2.000	88.67	06/14/21	221.33	132.66 W	0.00	Option sale
06/22/21	1.000	24.34	06/22/21	116.34	...	-92.00	Option sale
06/22/21	370.000	7,158.60	Various	22,532.21	779.58 W	-14,594.03	Total of 2 transactions
	Security total:	7,271.61		22,869.88	912.24 W	-14,686.03	
IQIYI INC IQ Jun 04 2021 14.0 Call / CUSIP: / Symbol: IQ 06/04/21 C 14.000							
05/28/21	200.000	15,966.74	Various	11,920.78	...	4,045.96	Total of 2 transactions
IQIYI INC IQ Jun 11 2021 14.0 Call / CUSIP: / Symbol: IQ 06/11/21 C 14.000							
06/01/21	350.000	29,516.80	05/28/21	22,972.35	...	6,544.45	Option sale
ARRIVAL GROUP COM / CUSIP: L0423Q108 / Symbol: ARVL							
04/06/21	4,000.000	63,989.60	Various	63,840.00	...	149.60	Total of 2 transactions
04/07/21	23,400.000	369,949.45	04/06/21	377,592.62	...	-7,643.17	Sale
04/07/21	27,600.000	436,626.48	04/06/21	440,195.06	3,054.34 W	-514.24	Sale
	Security total:	870,565.53		881,627.68	3,054.34 W	-8,007.81	
LUMINAR TECHNOLOGIES INC LAZR Apr 23 2021 19.0 Call / CUSIP: / Symbol: LAZR 04/23/21 C 19.000							
04/21/21	260.000	21,926.78	04/21/21	21,262.61	...	664.17	Option sale

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LUCIRA HEALTH INC LHDJ Jul 16 2021 5.0 Call / CUSIP: / Symbol: LHDJ 07/16/21 C 5.000							
06/28/21	44.000	3,310.67	Various	2,671.18	...	639.49	Total of 4 transactions
06/28/21	2.000	128.67	06/25/21	152.97	28.62 W	4.32	Option sale
	Security total:	3,439.34		2,824.15	28.62 W	643.81	
ENTERA BIO LTD COM / CUSIP: M40527109 / Symbol: ENTX							
03/11/21	31,990.000	182,990.90	Various	157,532.16	...	25,458.74	Total of 11 transactions
03/11/21	15,640.000	74,762.73	Various	74,626.56	759.13 W	895.30	Total of 7 transactions
03/12/21	10,000.000	64,226.55	Various	61,000.00	...	3,226.55	Total of 4 transactions
03/22/21	20,000.000	94,997.14	03/22/21	96,000.00	...	-1,002.86	Sale
06/23/21	10.000	65.80	06/23/21	67.60	...	-1.80	Sale
	Security total:	417,043.12		389,226.32	759.13 W	28,575.93	
NANO X IMAGING LTD COM / CUSIP: M70700105 / Symbol: NNOX							
04/06/21	9,000.000	402,304.08	04/05/21	471,014.95	53,476.83 W	-15,234.04	Sale
04/07/21	7,000.000	295,957.66	04/07/21	348,701.83	...	-52,744.17	Sale
	Security total:	698,261.74		819,716.78	53,476.83 W	-67,978.21	
PERION NETWORK LTD COM / CUSIP: M78673114 / Symbol: PERI							
01/04/21	5,000.000	59,846.59	Various	66,792.51	6,945.92 W	0.00	Total of 4 transactions
01/05/21	10,000.000	118,957.22	Various	136,859.53	17,902.31 W	0.00	Total of 13 transactions
01/20/21	3,128.000	41,849.27	Various	45,842.74	3,993.47 W	0.00	Total of 2 transactions
01/21/21	10,000.000	133,337.79	Various	152,532.85	19,195.06 W	0.00	Total of 6 transactions
01/22/21	5,000.000	68,148.39	01/21/21	73,805.43	5,657.04 W	0.00	Sale
01/25/21	10,000.000	138,896.23	Various	154,345.12	15,453.34 W	4.45	Total of 3 transactions
01/26/21	200.000	3,359.93	01/25/21	3,158.12	...	201.81	Sale
01/26/21	20,000.000	316,890.62	Various	312,998.33	14,475.70 W	18,367.99	Total of 2 transactions
01/27/21	8,450.000	128,608.34	Various	137,518.48	8,910.14 W	0.00	Total of 3 transactions
02/01/21	2,500.000	36,524.14	01/27/21	41,674.00	5,149.86 W	0.00	Sale
02/02/21	2,600.000	39,271.82	01/27/21	38,351.09	850.74 W	1,771.47	Sale
02/03/21	2,000.000	31,559.26	01/29/21	31,072.02	...	487.24	Sale
02/05/21	500.000	10,292.21	01/29/21	7,780.31	...	2,511.90	Sale
02/08/21	900.000	19,474.92	Various	13,916.71	...	5,558.21	Total of 8 transactions
02/09/21	3,100.000	76,723.09	Various	52,951.17	...	23,771.92	Total of 8 transactions
02/12/21	5,999.000	136,234.17	Various	96,672.74	...	39,561.43	Sale
02/12/21	3,089.000	71,084.52	Various	71,201.45	116.93 W	0.00	Total of 4 transactions

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Account 686108785

Proceeds from Broker and Barter Exchange Transactions

2021 1099-B* OMB No. 1545-0715

(continued)

01/20/2022

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PERION NETWORK LTD COM / CUSIP: M78673114 / Symbol: PERI (cont'd)							
02/16/21	6,909.000	163,349.03	Various	159,369.38	...	3,979.65	Total of 4 transactions
02/19/21	5,999.000	134,987.94	Various	133,177.80	...	1,810.14	Total of 6 transactions
03/02/21	10,000.000	270,197.92	Various	254,199.00	...	15,998.92	Total of 2 transactions
03/22/21	10,000.000	199,651.70	Various	198,100.00	...	1,551.70	Total of 12 transactions
	Security total:	2,199,245.10		2,182,318.78	98,650.51 W	115,576.83	
TAT TECHNOLOGIES COM / CUSIP: M8740S227 / Symbol: TATT							
07/02/21	650.000	5,498.96	07/02/21	5,821.00	...	-322.04	Sale
MODERNA INC MRNA Jun 25 2021 200.0 Put / CUSIP: / Symbol: MRNA 06/25/21 P 200.000							
06/23/21	32.000	1,834.69	06/23/21	7,103.81	...	-5,269.12	Option sale
06/23/21	38.000	3,584.68	06/23/21	8,575.23	4,202.57 W	-787.98	Option sale
	Security total:	5,419.37		15,679.04	4,202.57 W	-6,057.10	
MICROVISION INC WASHINGTON MVIS May 21 2021 12.0 Call / CUSIP: / Symbol: MVIS 05/21/21 C 12.000							
04/20/21	200.000	42,123.62	Various	31,132.77	...	10,990.85	Total of 4 transactions
CUREVAC N V COM / CUSIP: N2451R105 / Symbol: CVAC							
06/17/21	250.000	13,139.90	06/16/21	12,090.00	...	1,049.90	Sale
THE9 LTD NCTY Jun 18 2021 15.0 Call / CUSIP: / Symbol: NCTY 06/18/21 C 15.000							
06/09/21	49.000	17,147.27	Various	9,568.75	...	7,578.52	Total of 3 transactions
06/10/21	50.000	16,066.62	Various	9,439.97	...	6,626.65	Total of 2 transactions
06/11/21	50.000	22,516.59	Various	17,083.19	...	5,433.40	Total of 4 transactions
06/14/21	25.000	13,733.28	06/11/21	8,716.60	...	5,016.68	Option sale
	Security total:	69,463.76		44,808.51	...	24,655.25	
NIKOLA CORPORATION NKLA Apr 30 2021 11.0 Call / CUSIP: / Symbol: NKLA 04/30/21 C 11.000							
04/22/21	300.000	40,608.04	Various	50,023.61	9,415.57 W	0.00	Total of 2 transactions
04/23/21	300.000	40,832.04	Various	59,829.02	18,996.98 W	0.00	Total of 4 transactions
04/26/21	400.000	53,687.43	Various	64,623.79	...	-10,936.36	Total of 6 transactions
	Security total:	135,127.51		174,476.42	28,412.55 W	-10,936.36	
NIKOLA CORPORATION NKLA May 28 2021 13.0 Call / CUSIP: / Symbol: NKLA 05/28/21 C 13.000							
05/27/21	300.000	49,608.03	Various	17,867.16	...	31,740.87	Total of 7 transactions

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2021 1099-B* OMB No. 1545-0715

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NIKOLA CORPORATION NKLA May 28 2021 14.0 Call / CUSIP: / Symbol: NKLA 05/28/21 C 14.000							
05/27/21	50.000	7,991.67	Various	6,183.20	...	1,808.47	Total of 2 transactions
05/28/21	56.000	6,989.96	Various	6,205.45	...	784.51	Total of 2 transactions
05/28/21	94.000	-43.96	05/27/21	0.00	24.93 W	-19.03	Short sale closed- option
	Security total:	14,937.67		12,388.65	24.93 W	2,573.95	
NOVAVAX INC NVAX Jun 18 2021 195.0 Put / CUSIP: / Symbol: NVAX 06/18/21 P 195.000							
06/16/21	10.000	15,833.27	Various	10,256.64	...	5,576.63	Total of 2 transactions
NOVAVAX INC NVAX Jun 18 2021 207.5 Put / CUSIP: / Symbol: NVAX 06/18/21 P 207.500							
06/15/21	15.000	31,539.87	Various	21,509.96	...	10,029.91	Total of 4 transactions
NVIDIA CORP NVDA Jun 18 2021 750.0 Call / CUSIP: / Symbol: NVDA 06/18/21 C 750.000							
06/18/21	15.000	5,389.99	06/18/21	2,240.80	...	3,149.19	Option sale
06/18/21	25.000	6,559.32	Various	6,629.62	843.86 W	773.56	Total of 3 transactions
	Security total:	11,949.31		8,870.42	843.86 W	3,922.75	
NVIDIA CORP NVDA Jun 04 2021 700.0 Put / CUSIP: / Symbol: NVDA 06/04/21 P 700.000							
06/04/21	15.000	9,184.96	06/04/21	6,909.96	...	2,275.00	Option sale
OCUGEN INC OCGN Jun 18 2021 6.0 Call / CUSIP: / Symbol: OCGN 06/18/21 C 6.000							
06/15/21	100.000	6,438.39	Various	15,682.90	...	-9,244.51	Total of 2 transactions
06/15/21	50.000	3,816.68	Various	7,133.19	3,316.51 W	0.00	Total of 2 transactions
	Security total:	10,255.07		22,816.09	3,316.51 W	-9,244.51	
OCUGEN INC OCGN Jun 25 2021 7.0 Call / CUSIP: / Symbol: OCGN 06/25/21 C 7.000							
06/22/21	177.000	9,086.11	06/21/21	11,769.51	...	-2,683.40	Option sale
PINTEREST INC PINS Apr 16 2021 76.5 Call / CUSIP: / Symbol: PINS 04/16/21 C 76.500							
04/16/21	100.000	17,683.33	Various	10,366.39	...	7,316.94	Total of 2 transactions
PINTEREST INC PINS Apr 16 2021 77.0 Call / CUSIP: / Symbol: PINS 04/16/21 C 77.000							
04/16/21	100.000	11,593.37	Various	10,366.39	...	1,226.98	Total of 3 transactions
PINTEREST INC PINS Apr 16 2021 79.0 Call / CUSIP: / Symbol: PINS 04/16/21 C 79.000							
04/16/21	200.000	9,066.80	04/16/21	12,910.78	...	-3,843.98	Option sale

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2021 1099-B* OMB No. 1545-0715

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NAKED BRAND GROUP LTD 1:15 R/S 12/22/21 Q6519V120 / CUSIP: Q6519T117 / Symbol:							
02/11/21	20,000.000	37,596.79	02/11/21	39,799.00	2,202.21 W	0.00	Sale
02/24/21	38,432.000	53,415.63	02/24/21	54,665.84	...	-1,250.21	Sale
02/24/21	61,568.000	84,957.46	02/24/21	88,819.01	2,806.57 W	-1,054.98	Sale
	Security total:	175,969.88		183,283.85	5,008.78 W	-2,305.19	
QUALCOMM INC QCOM Apr 30 2021 142.0 Call / CUSIP: / Symbol: QCOM 04/30/21 C 142.000							
04/29/21	580.000	51,813.51	04/29/21	101,057.05	...	-49,243.54	Option sale
QUALCOMM INC QCOM Jun 25 2021 134.0 Call / CUSIP: / Symbol: QCOM 06/25/21 C 134.000							
06/21/21	100.000	12,133.35	06/21/21	16,966.39	...	-4,833.04	Option sale
QUANTUMSCAPE CORP QS Apr 16 2021 35.0 Call / CUSIP: / Symbol: QS 04/16/21 C 35.000							
04/15/21	136.000	22,254.36	Various	19,410.29	...	2,844.07	Total of 6 transactions
04/16/21	153.000	30,857.98	Various	20,201.57	...	10,656.41	Total of 2 transactions
	Security total:	53,112.34		39,611.86	...	13,500.48	
QUANTUMSCAPE CORP QS Apr 23 2021 34.0 Call / CUSIP: / Symbol: QS 04/23/21 C 34.000							
04/19/21	25.000	2,233.36	04/19/21	2,924.86	...	-691.50	Option sale
04/19/21	405.000	34,155.13	04/19/21	42,743.87	533.26 W	-8,055.48	Option sale
	Security total:	36,388.49		45,668.73	533.26 W	-8,746.98	
QUANTUMSCAPE CORP QS Apr 23 2021 35.0 Call / CUSIP: / Symbol: QS 04/23/21 C 35.000							
04/19/21	385.000	24,768.53	04/19/21	43,206.59	...	-18,438.06	Option sale
QUANTUMSCAPE CORP QS Apr 23 2021 36.0 Call / CUSIP: / Symbol: QS 04/23/21 C 36.000							
04/23/21	500.000	0.00	04/23/21	5,331.93	...	-5,331.93	Option expiration
QUANTUMSCAPE CORP QS Jun 18 2021 27.0 Call / CUSIP: / Symbol: QS 06/18/21 C 27.000							
06/17/21	100.000	10,933.35	06/17/21	9,666.39	...	1,266.96	Option sale
QUANTUMSCAPE CORP QS Jun 11 2021 30.0 Put / CUSIP: / Symbol: QS 06/11/21 P 30.000							
06/10/21	68.000	7,194.67	Various	6,005.14	...	1,189.53	Total of 2 transactions
ROBLOX CORP RBLX Apr 16 2021 75.0 Call / CUSIP: / Symbol: RBLX 04/16/21 C 75.000							
04/14/21	488.000	146,189.31	Various	134,253.97	...	11,935.34	Total of 6 transactions

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2021 1099-B* OMB No. 1545-0715

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ROBLOX CORP RBLX Apr 16 2021 80.0 Call / CUSIP: / Symbol: RBLX 04/16/21 C 80.000							
04/13/21	700.000	214,456.79	Various	177,956.91	...	36,499.88	Total of 10 transactions
04/13/21	200.000	50,891.57	Various	52,142.32	1,250.75 W	0.00	Total of 2 transactions
04/14/21	100.000	17,833.32	04/14/21	16,066.39	...	1,766.93	Option sale
	Security total:	283,181.68		246,165.62	1,250.75 W	38,266.81	
ROBLOX CORP RBLX Jun 18 2021 82.0 Call / CUSIP: / Symbol: RBLX 06/18/21 C 82.000							
06/18/21	50.000	5,966.68	06/18/21	6,483.19	...	-516.51	Option sale
ROBLOX CORP RBLX Jun 18 2021 84.0 Call / CUSIP: / Symbol: RBLX 06/18/21 C 84.000							
06/16/21	50.000	10,516.66	06/16/21	9,186.41	...	1,330.25	Option sale
06/16/21	50.000	10,466.66	06/16/21	10,333.19	53.22 W	186.69	Option sale
	Security total:	20,983.32		19,519.60	53.22 W	1,516.94	
ROBLOX CORP RBLX Jun 18 2021 85.0 Call / CUSIP: / Symbol: RBLX 06/18/21 C 85.000							
06/16/21	48.000	13,729.97	Various	10,591.87	...	3,138.10	Total of 4 transactions
ROBLOX CORP RBLX Jun 25 2021 81.0 Call / CUSIP: / Symbol: RBLX 06/25/21 C 81.000							
06/21/21	69.000	13,202.00	06/21/21	15,665.80	...	-2,463.80	Option sale
ROBLOX CORP RBLX Jun 25 2021 81.0 Put / CUSIP: / Symbol: RBLX 06/25/21 P 81.000							
06/22/21	50.000	9,141.66	Various	6,033.19	...	3,108.47	Total of 2 transactions
LORDSTOWN MOTORS CORP RIDE Jun 11 2021 11.5 Call / CUSIP: / Symbol: RIDE 06/11/21 C 11.500							
06/10/21	160.000	5,493.43	06/09/21	15,906.22	7,033.00 W	-3,379.79	Option sale
06/11/21	100.000	1,333.40	06/11/21	8,399.39	...	-7,065.99	Option sale
	Security total:	6,826.83		24,305.61	7,033.00 W	-10,445.78	
LORDSTOWN MOTORS CORP RIDE Jun 18 2021 9.0 Call / CUSIP: / Symbol: RIDE 06/18/21 C 9.000							
06/15/21	54.000	7,632.02	06/15/21	7,325.85	...	306.17	Option sale
06/16/21	50.000	7,037.67	Various	6,763.20	...	274.47	Total of 2 transactions
	Security total:	14,669.69		14,089.05	...	580.64	
RIOT BLOCKCHAIN INC RIOT Apr 16 2021 55.0 Call / CUSIP: / Symbol: RIOT 04/16/21 C 55.000							
04/14/21	156.000	18,164.45	Various	34,038.89	...	-15,874.44	Total of 7 transactions
04/14/21	544.000	65,424.07	Various	115,162.78	16,755.93 W	-32,982.78	Total of 3 transactions
	Security total:	83,588.52		149,201.67	16,755.93 W	-48,857.22	

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RIOT BLOCKCHAIN INC RIOT Apr 16 2021 60.0 Call / CUSIP: / Symbol: RIOT 04/16/21 C 60.000							
04/13/21	200.000	57,813.56	Various	52,902.78	...		4,910.78 Total of 10 transactions
RIOT BLOCKCHAIN INC RIOT Apr 30 2021 43.0 Call / CUSIP: / Symbol: RIOT 04/30/21 C 43.000							
04/28/21	500.000	94,769.57	Various	57,831.93	...		36,937.64 Total of 6 transactions
RIOT BLOCKCHAIN INC RIOT Apr 16 2021 48.0 Put / CUSIP: / Symbol: RIOT 04/16/21 P 48.000							
04/15/21	399.000	64,226.98	Various	47,886.44	...		16,340.54 Total of 7 transactions
04/15/21	852.000	98,649.25	Various	118,220.21	25,444.16 W		5,873.20 Total of 6 transactions
Security total:		162,876.23		166,106.65	25,444.16 W		22,213.74
RIOT BLOCKCHAIN INC RIOT Jun 25 2021 29.0 Put / CUSIP: / Symbol: RIOT 06/25/21 P 29.000							
06/22/21	318.000	16,960.18	06/22/21	42,546.11	...		-25,585.93 Option sale
RIOT BLOCKCHAIN INC RIOT Jun 25 2021 30.0 Put / CUSIP: / Symbol: RIOT 06/25/21 P 30.000							
06/23/21	48.000	1,072.03	06/22/21	3,151.87	...		-2,079.84 Option sale
ROCKET COMPANIES INC RKT Jun 25 2021 20.0 Call / CUSIP: / Symbol: RKT 06/25/21 C 20.000							
06/23/21	80.000	2,906.71	06/23/21	3,653.11	...		-746.40 Option sale
ROKU INC ROKU Jun 18 2021 360.0 Call / CUSIP: / Symbol: ROKU 06/18/21 C 360.000							
06/18/21	60.000	48,284.79	Various	27,439.82	...		20,844.97 Total of 4 transactions
06/18/21	40.000	27,398.22	Various	26,189.90	2,478.33 W		3,686.65 Total of 3 transactions
Security total:		75,683.01		53,629.72	2,478.33 W		24,531.62
ROKU INC ROKU Jun 18 2021 365.0 Call / CUSIP: / Symbol: ROKU 06/18/21 C 365.000							
06/18/21	22.000	10,686.32	Various	7,734.61	...		2,951.71 Total of 4 transactions
SENSEONICS HOLDINGS INC SENS Jul 16 2021 3.0 Call / CUSIP: / Symbol: SENS 07/16/21 C 3.000							
06/22/21	100.000	6,533.38	06/22/21	7,049.39	...		-516.01 Option sale
STITCH FIX INC SFIX Jun 11 2021 65.0 Call / CUSIP: / Symbol: SFIX 06/11/21 C 65.000							
06/08/21	15.000	5,014.98	06/08/21	3,909.96	...		1,105.02 Option sale
06/09/21	50.000	15,466.64	06/08/21	12,463.19	...		3,003.45 Option sale
06/10/21	200.000	3,866.81	Various	15,082.77	...		-11,215.96 Option sale
Security total:		24,348.43		31,455.92	...		-7,107.49

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STITCH FIX INC SFIX Jun 18 2021 65.0 Call / CUSIP: / Symbol: SFIX 06/18/21 C 65.000							
06/11/21	190.000	27,423.36	Various	26,156.13	...	1,267.23	Total of 3 transactions
STITCH FIX INC SFIX Jun 25 2021 60.0 Call / CUSIP: / Symbol: SFIX 06/25/21 C 60.000							
06/21/21	50.000	6,546.68	Various	6,033.19	...	513.49	Total of 5 transactions
SHOPIFY INC SHOP Apr 30 2021 1140.0 Call / CUSIP: / Symbol: SHOP 04/30/21 C 1140.000							
04/26/21	1.000	4,499.32	04/26/21	4,300.66	...	198.66	Option sale
SKILLZ INC SKLZ Apr 23 2021 14.0 Call / CUSIP: / Symbol: SKLZ 04/23/21 C 14.000							
04/19/21	600.000	44,616.26	Various	36,398.32	...	8,217.94	Total of 3 transactions
SKILLZ INC SKLZ May 07 2021 15.0 Call / CUSIP: / Symbol: SKLZ 05/07/21 C 15.000							
04/16/21	1.000	169.34	04/16/21	205.66	36.32 W	0.00	Option sale
04/19/21	551.000	74,017.73	04/16/21	109,064.02	...	-35,046.29	Option sale
04/19/21	260.000	37,715.70	Various	53,472.61	15,756.91 W	0.00	Total of 4 transactions
	Security total:	111,902.77		162,742.29	15,793.23 W	-35,046.29	
VIRGIN GALACTIC HLDGS INC SPCE Jun 18 2021 35.0 Call / CUSIP: / Symbol: SPCE 06/18/21 C 35.000							
06/14/21	25.000	7,608.32	06/14/21	7,516.60	...	91.72	Option sale
06/14/21	25.000	6,283.31	06/14/21	7,516.59	1,233.28 W	0.00	Option sale
06/16/21	150.000	18,500.05	Various	18,141.12	...	358.93	Total of 3 transactions
06/16/21	50.000	6,516.68	06/16/21	6,966.48	841.54 W	391.74	Option sale
	Security total:	38,908.36		40,140.79	2,074.82 W	842.39	
VIRGIN GALACTIC HLDGS INC SPCE Jul 02 2021 50.0 Call / CUSIP: / Symbol: SPCE 07/02/21 C 50.000							
06/30/21	11.000	971.68	06/29/21	2,518.30	1,403.29 W	-143.33	Option sale
07/01/21	10.000	423.34	06/29/21	3,698.93	...	-3,275.59	Option sale
	Security total:	1,395.02		6,217.23	1,403.29 W	-3,418.92	
VIRGIN GALACTIC HLDGS INC SPCE Jul 16 2021 35.0 Call / CUSIP: / Symbol: SPCE 07/16/21 C 35.000							
07/15/21	70.000	1,773.37	07/15/21	4,516.47	...	-2,743.10	Option sale
VIRGIN GALACTIC HLDGS INC SPCE Apr 16 2021 23.0 Put / CUSIP: / Symbol: SPCE 04/16/21 P 23.000							
04/15/21	296.000	19,748.24	Various	19,122.22	...	626.02	Total of 3 transactions
04/15/21	4.000	76.94	04/15/21	254.66	177.72 W	0.00	Option sale
	Security total:	19,825.18		19,376.88	177.72 W	626.02	

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TD Ameritrade Clearing, Inc.

Account 686108785

Proceeds from Broker and Barter Exchange Transactions

2021 1099-B* OMB No. 1545-0715

(continued)

01/20/2022

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

Report on Form 8949, Part I with Box A checked. Basis is provided to the IRS. (Line 12)

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

1a- Description of property/CUSIP/Symbol

1c- Date sold or disposed	Quantity	1d- Proceeds & 6- Reported (G)ross or (N)et	1b- Date acquired	1e- Cost or other basis	1f- Accrued mkt disc (D) & 1g- Wash sale loss disallowed (W)	Gain or loss(-) & 7- Loss not allowed (X) also not reported (Z)	Additional information
VIRGIN GALACTIC HLDGS INC SPCE Jun 25 2021 53.0 Put / CUSIP: / Symbol: SPCE 06/25/21 P 53.000							
06/25/21	15.000	2,510.00	06/25/21	2,409.96	...	100.04	Option sale
TESLA INC TSLA Jun 04 2021 600.0 Call / CUSIP: / Symbol: TSLA 06/04/21 C 600.000							
06/04/21	29.000	2,648.68	06/04/21	9,183.24	...	-6,534.56	Option sale
TESLA INC TSLA Jun 18 2021 620.0 Call / CUSIP: / Symbol: TSLA 06/18/21 C 620.000							
06/18/21	30.000	10,479.97	06/18/21	11,067.92	...	-587.95	Option sale
TESLA INC TSLA Jun 18 2021 625.0 Call / CUSIP: / Symbol: TSLA 06/18/21 C 625.000							
06/18/21	40.000	5,383.35	Various	10,754.55	...	-5,371.20	Total of 2 transactions
TESLA INC TSLA Jun 25 2021 665.0 Call / CUSIP: / Symbol: TSLA 06/25/21 C 665.000							
06/23/21	17.000	8,403.64	06/23/21	6,706.28	...	1,697.36	Option sale
TESLA INC TSLA Jun 04 2021 570.0 Put / CUSIP: / Symbol: TSLA 06/04/21 P 570.000							
06/04/21	90.000	5,700.04	06/04/21	11,849.75	...	-6,149.71	Option sale
UBER TECHNOLOGIES INC UBER Apr 30 2021 55.0 Call / CUSIP: / Symbol: UBER 04/30/21 C 55.000							
04/29/21	640.000	38,389.63	04/29/21	46,467.24	...	-8,077.61	Option sale
04/29/21	80.000	4,410.75	04/29/21	5,653.11	1,242.36 W	0.00	Option sale
	Security total:	42,800.38		52,120.35	1,242.36 W	-8,077.61	
VIACOMCBS INC VIAC Jun 25 2021 42.5 Call / CUSIP: / Symbol: VIAC 06/25/21 C 42.500							
06/23/21	40.000	1,333.36	06/23/21	1,746.56	...	-413.20	Option sale
VAXART INC VXRT Jun 25 2021 8.0 Call / CUSIP: / Symbol: VXRT 06/25/21 C 8.000							
06/18/21	100.000	9,433.36	06/18/21	9,366.39	...	66.97	Option sale
CONTEXTLOGIC INC WISH Jun 25 2021 12.5 Call / CUSIP: / Symbol: WISH 06/25/21 C 12.500							
06/21/21	50.000	8,966.66	06/21/21	5,283.20	...	3,683.46	Option sale
06/21/21	59.000	9,754.66	06/21/21	6,909.16	137.97 W	2,983.47	Option sale
06/22/21	100.000	18,833.32	Various	17,729.36	...	1,103.96	Total of 2 transactions
	Security total:	37,554.64		29,921.72	137.97 W	7,770.89	
WORKHORSE GROUP INC WKHS Apr 16 2021 12.5 Call / CUSIP: / Symbol: WKHS 04/16/21 C 12.500							
04/16/21	200.000	18,266.74	04/16/21	16,332.77	...	1,933.97	Option sale

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TD Ameritrade Clearing, Inc.

Account 686108785

Proceeds from Broker and Barter Exchange Transactions

2021 1099-B* OMB No. 1545-0715

(continued)

01/20/2022

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

Report on Form 8949, Part I with Box A checked. Basis is provided to the IRS. (Line 12)

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

1a- Description of property/CUSIP/Symbol

1c- Date sold or disposed	Quantity	1d- Proceeds & 6- Reported (G)ross or (N)et	1b- Date acquired	1e- Cost or other basis	1f- Accrued mkt disc (D) & 1g- Wash sale loss disallowed (W)	7- Gain or loss(-) & Loss not allowed (X) also not reported (Z)	Additional information
PETCO HEALTH & WELLNESS CO INC WOOF Jun 18 2021 25.0 Call / CUSIP: / Symbol: WOOF 06/18/21 C 25.000							
06/14/21	115.000	36,893.25	Various	26,876.34	...	10,016.91	Total of 3 transactions
06/15/21	25.000	4,108.33	06/14/21	5,691.59	...	-1,583.26	Option sale
	Security total:	41,001.58		32,567.93	...	8,433.65	
XL FLEET CORP XL May 21 2021 6.0 Call / CUSIP: / Symbol: XL 05/21/21 C 6.000							
04/23/21	500.000	77,166.66	Various	75,964.98	...	1,201.68	Total of 2 transactions
04/23/21	100.000	14,433.34	04/23/21	15,066.39	633.05 W	0.00	Option sale
	Security total:	91,600.00		91,031.37	633.05 W	1,201.68	
GASLOG PARTNERS LP COM UNIT REP LTD PARTNERSHI / CUSIP: Y2687W108 / Symbol: GLOP							
07/07/21	1,900.000	8,815.92	07/06/21	9,943.90	...	-1,127.98	Sale
GLOBUS MARITIME LTD COM / CUSIP: Y27265126 / Symbol: GLBS							
06/21/21	5,250.000	28,507.26	06/18/21	30,561.50	...	-2,054.24	Sale
ZOOM VIDEO COMMUNICATIONS INC ZM Apr 16 2021 330.0 Call / CUSIP: / Symbol: ZM 04/16/21 C 330.000							
04/13/21	100.000	118,009.82	Various	71,766.38	...	46,243.44	Total of 5 transactions
ZOOM VIDEO COMMUNICATIONS INC ZM May 28 2021 325.0 Call / CUSIP: / Symbol: ZM 05/28/21 C 325.000							
05/27/21	35.000	10,476.64	05/27/21	8,568.21	...	1,908.43	Option sale
05/27/21	50.000	13,466.64	05/27/21	14,033.19	169.97 W	-396.58	Option sale
	Security total:	23,943.28		22,601.40	169.97 W	1,511.85	
ZOOM VIDEO COMMUNICATIONS INC ZM Jun 04 2021 337.5 Call / CUSIP: / Symbol: ZM 06/04/21 C 337.500							
06/04/21	11.000	355.68	06/04/21	1,966.30	...	-1,610.62	Option sale
ZOOM VIDEO COMMUNICATIONS INC ZM Jun 11 2021 340.0 Call / CUSIP: / Symbol: ZM 06/11/21 C 340.000							
06/10/21	60.000	33,009.89	Various	16,873.50	...	16,136.39	Total of 4 transactions
06/10/21	22.000	10,077.30	Various	10,204.60	133.66 W	6.36	Total of 2 transactions
	Security total:	43,087.19		27,078.10	133.66 W	16,142.75	
ZOOM VIDEO COMMUNICATIONS INC ZM Jun 11 2021 355.0 Call / CUSIP: / Symbol: ZM 06/11/21 C 355.000							
06/11/21	60.000	33,159.85	Various	18,309.84	...	14,850.01	Total of 5 transactions
ZOOM VIDEO COMMUNICATIONS INC ZM Jun 11 2021 365.0 Call / CUSIP: / Symbol: ZM 06/11/21 C 365.000							
06/11/21	75.000	12,849.99	Various	11,799.79	...	1,050.20	Total of 4 transactions

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TD Ameritrade Clearing, Inc.

Account 686108785

Proceeds from Broker and Barter Exchange Transactions

2021 1099-B* OMB No. 1545-0715

(continued)

01/20/2022

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

Report on Form 8949, Part I with Box A checked. Basis is provided to the IRS. (Line 12)

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

1a- Description of property/CUSIP/Symbol

1c- Date sold or disposed	Quantity	1d- Proceeds & 6- Reported (G)ross or (N)et	1b- Date acquired	1e- Cost or other basis	1f- Accrued mkt disc (D) & 1g- Wash sale loss disallowed (W)	7- Gain or loss(-) & Loss not allowed (X) also not reported (Z)	Additional information
ZOOM VIDEO COMMUNICATIONS INC ZM Apr 16 2021 332.5 Put / CUSIP: / Symbol: ZM 04/16/21 P 332.500							
04/15/21	100.000	27,783.28	Various	22,766.39	...	5,016.89	Total of 2 transactions
Totals :		140,780,282.94		151,680,399.27	10,641,633.56 W	-258,482.77	

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TD Ameritrade Clearing, Inc.

Account 686108785

Detail for Interest Income

2021

01/20/2022

This section of your tax information statement contains the payment level detail of taxable interest and associated bond premium. Market discount will be shown here only if you have elected to recognize it currently rather than at the time of sale or maturity. Bond premium and market discount for covered tax lots are totaled on Form 1099-INT and reported to the IRS. For noncovered tax lots, they are totaled in the Adjustments to Interest and Original Issue Discount and are not reported to the IRS.

To provide a complete picture of activity for each investment, we also include here nonreportable transactions such as accrued interest paid on purchases and payment or receipt of nonqualified interest. Other amounts, such as federal, state and foreign tax withheld and investment expenses are shown as negative amounts but do not net against the reportable income totals.

Security description	CUSIP and/or symbol	Date	Amount	Transaction type	Notes
Interest Credited		01/29/21	0.33	Credit interest	
		02/26/21	0.80	Credit interest	
		03/31/21	0.03	Credit interest	
		04/30/21	0.15	Credit interest	
		05/28/21	0.07	Credit interest	
		06/30/21	0.06	Credit interest	
		07/30/21	0.03	Credit interest	
		08/31/21	0.05	Credit interest	
		09/30/21	0.02	Credit interest	
			1.54	Total Interest	
			1.54	Total Interest	

TD Ameritrade Clearing, Inc.

Account 686108785

Fees and Expenses

2021

01/20/2022

This section of your tax information statement contains the detail of fees and investment expenses that are not accounted for in amounts reportable to the IRS on the various Forms 1099. You may wish to consult with your tax advisor, the IRS or your state tax authority regarding the proper treatment.

These amounts are provided here to facilitate an accounting of all amounts received during the year and are totaled in the Reconciliations, Fees, Expenses and Expenditures found in the Summary Information at the beginning of the statement.

Description	CUSIP and/or symbol	Date	Amount	Transaction type	Notes
Interest Charged		01/29/21	-254.94	Margin interest paid	
		02/26/21	-235.63	Margin interest paid	
		03/31/21	-1,912.38	Margin interest paid	
		04/30/21	-1,228.04	Margin interest paid	
		05/28/21	-5.51	Margin interest paid	
		06/30/21	-50.37	Margin interest paid	
		07/30/21	-20.26	Margin interest paid	
			-3,707.13	Total Margin interest paid	
			-3,707.13	Total Margin interest paid	

Instructions for Recipient

Common Instructions for Recipient

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

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

Backup Withholding. Shows backup withholding. Generally, a payer must backup withhold if you did not furnish your taxpayer identification number. See Form W-9 and Pub. 505 for more information. Report this amount on your income tax return as tax withheld.

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

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

Keep tax documents for your records.**1099-INT Instructions for Recipient**

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

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

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

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

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

Line 5. Any amount shown is your share of investment expenses of a singleclass REMIC. This amount is included in line 1. Note: This amount is not deductible.

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

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

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

Line 9. Shows tax-exempt interest subject to the alternative minimum tax. This amount is included in line 8. See the Instructions for Form 8251. See the Instructions above for a tax-exempt covered security acquired at a premium.

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

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

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

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

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

Lines 15-17. State tax withheld reporting lines.

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

1099-B Instructions for Recipient

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

Lines 14-16. Show state(s)/local income tax information.

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