

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

HIMA GOTLUR MURALIDHAR  
1715 NW 173RD AVE, APT 204  
BEAVERTON, OR 97006-7325

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

**IMPORTANT YEAR END MESSAGES**

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

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

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<b>APEX CLEARING</b> ONE DALLAS CENTER 350 NORTH ST PAUL SUITE 1300 DALLAS, TX 75201 Customer Service: 214-765-1009  PAYER'S Federal ID No: 13-2967453  IN ACCOUNT WITH <b>WEBULL FINANCIAL LLC</b> <b>(917) 725-2448</b>	<b>Account 5NK11077</b>	<b>Form 1099 Composite</b>	<b>2021</b>
	HIMA GOTLUR MURALIDHAR 1715 NW 173RD AVE, APT 204 BEAVERTON, OR 97006-7325  RECIPIENT'S ID No: XXX-XX-0445	Statement Date: 01/31/2022	

FATCA filing requirement [ ]

### Tax Reporting Statement

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

MISCELLANEOUS INFORMATION	2021 Form 1099-MISC*	OMB No. 1545-0115
2- Royalties	0.00	
3- Other Income	30.42	
<b>4- Federal Income Tax Withheld</b>	<b>0.00</b>	
8- Substitute Payments in Lieu of Dividends or Interest	0.00	

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

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

APEX CLEARING

## Tax Summary

2021

5NK11077

01/31/2022

## Summary Of Sale Proceeds

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

Section	Total Proceeds	Total Cost Basis	Total Market Discount	Wash Sale Loss Disallowed	Total Net Gain or Loss(-)
Short-term transactions for covered tax lots	522,881.11	542,407.00	0.00	4,738.90	-14,786.99
Short-term transactions for noncovered tax lots	0.00	0.00	0.00	0.00	0.00
<b>Total Short-term</b>	<b>522,881.11</b>	<b>542,407.00</b>	<b>0.00</b>	<b>4,738.90</b>	<b>-14,786.99</b>
Long-term transactions for covered tax lots	0.00	0.00	0.00	0.00	0.00
Long-term transactions for noncovered tax lots	0.00	0.00	0.00	0.00	0.00
<b>Total Long-term</b>	<b>0.00</b>	<b>0.00</b>	<b>0.00</b>	<b>0.00</b>	<b>0.00</b>
Undetermined transactions for noncovered tax lots	0.00	0.00	0.00	0.00	0.00
<b>Total Undetermined-term</b>	<b>0.00</b>	<b>0.00</b>	<b>0.00</b>	<b>0.00</b>	<b>0.00</b>

## ORIGINAL ISSUE DISCOUNT SUMMARY\*

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

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

## FEDERAL TAX WITHHELD

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

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

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

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

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

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

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

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

FATCA filing requirement [ ]

**SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS**

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

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

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

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

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

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

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

Date Sold or Disposed (Box 1c)	Quantity	Proceeds (Box 1d)	Date Acquired (Box 1b)	Cost or Other Basis (Box 1e)	Accrued Market Discount (M)(Box 1f) & Wash Sale Loss Disallowed (D)(Box 1g)		Gain or Loss(-)	Additional Notes
***SOS LTD AMERICAN DPSTRY SHRS ECH RPRSNTNG TEN CL A SHARES   CUSIP: 83587W106  Symbol(Box 1a): SOS								
01/29/2021	25.00	65.48	01/29/2021	72.75	5.24	D	-2.03	Sale
02/16/2021	8.00	91.50	02/16/2021	96.53	0.00		-5.03	Sale
02/16/2021	10.00	115.28	02/16/2021	115.51	0.00		-0.23	Sale
04/21/2021	10.00	42.08	04/20/2021	41.80	0.00		0.28	Sale
<b>Security Totals:</b>		<b>314.34</b>		<b>326.59</b>			<b>-7.01</b>	

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APEX CLEARING

Proceeds from Broker and Barter Exchange Transactions

2021 Form 1099-B\*

5NK11077

(continued)

01/31/2022

OMB No. 1545-0715

SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

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

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

Date Sold or Disposed (Box 1c)	Quantity	Proceeds (Box 1d)	Date Acquired (Box 1b)	Cost or Other Basis (Box 1e)	Accrued Market Discount (M)(Box 1f) & Wash Sale Loss Disallowed (D)(Box 1g)	Gain or Loss(-)	Additional Notes
CALL QS 09/24/21 23 QUANTUMSCAPE CORPORATION CL A   CUSIP:   Symbol(Box 1a): QS210924C00023000							
09/21/2021	3.00	323.82	09/21/2021	501.16	0.00	-177.34	Sell to Close
CALL NVDA 09/10/21 225 NVIDIA CORPORATION   CUSIP:   Symbol(Box 1a): NVDA210910C00225000							
09/09/2021	8.00	1,127.55	09/09/2021	992.42	0.00	135.13	Sell to Close
CALL HOOD 08/20/21 85 ROBINHOOD MARKET INC   CUSIP:   Symbol(Box 1a): HOOD210820C00085000							
08/06/2021	2.00	579.87	08/06/2021	720.11	0.00	-140.24	Sell to Close
BSQUARE CORPORATION   CUSIP: 11776U300   Symbol(Box 1a): BSQR							
02/08/2021	50.00	273.79	02/08/2021	292.00	0.00	-18.21	Sale
CALL ETSY 01/21/22 220 ETSY INC   CUSIP:   Symbol(Box 1a): ETSY220121C00220000							
06/30/2021	1.00	2,374.92	06/30/2021	2,270.05	0.00	104.87	Sell to Close
***LIZHI INC AMERICAN DEPOSITARY SHARES   CUSIP: 53933L104   Symbol(Box 1a): LIZI							
02/03/2021	5.00	45.78	02/03/2021	49.95	4.17 D	0.00	Sale
02/04/2021	10.00	130.48	Various	130.57	2.13 D	2.04	Sale
02/04/2021	15.00	208.85	Various	227.71	0.00	-18.86	Sale
<b>Security Totals:</b>		<b>385.11</b>		<b>408.23</b>		<b>-16.82</b>	
CALL AFRM 12/23/21 110 AFFIRM HOLDINGS INC CL A   CUSIP:   Symbol(Box 1a): AFRM211223C00110000							
12/21/2021	1.00	64.96	12/21/2021	60.02	0.00	4.94	Sell to Close
CALL TTD 08/20/21 89 TRADE DESK INC CLASS A   CUSIP:   Symbol(Box 1a): TTD210820C00089000							
08/10/2021	3.00	1,079.82	08/10/2021	978.16	0.00	101.66	Sell to Close
CALL TTD 08/20/21 88 TRADE DESK INC CLASS A   CUSIP:   Symbol(Box 1a): TTD210820C00088000							
08/10/2021	4.00	1,059.77	08/10/2021	1,140.21	0.00	-80.44	Sell to Close
PUT ETSY 08/20/21 180 ETSY INC   CUSIP:   Symbol(Box 1a): ETSY210820P00180000							
08/06/2021	2.00	1,029.87	08/06/2021	1,270.11	0.00	-240.24	Sell to Close

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**SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS**

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

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

Date Sold or Disposed (Box 1c)	Quantity	Proceeds (Box 1d)	Date Acquired (Box 1b)	Cost or Other Basis (Box 1e)	Accrued Market Discount (M)(Box 1f) & Wash Sale Loss Disallowed (D)(Box 1g)	Gain or Loss(-)	Additional Notes
CALL PINS 08/20/21 100 PINTEREST INC CLASS A   CUSIP:   Symbol(Box 1a): PINS210820C00100000							
07/30/2021	3.00	23.82	07/29/2021	96.16	0.00	-72.34	Sell to Close
PUT ROKU 08/20/21 390 ROKU INC   CUSIP:   Symbol(Box 1a): ROKU210820P00390000							
08/10/2021	2.00	3,259.86	08/10/2021	2,946.11	0.00	313.75	Sell to Close
CALL CRWD 08/20/21 245 CROWDSTRIKE HOLDINGS INC CL A   CUSIP:   Symbol(Box 1a): CRWD210820C00245000							
08/12/2021	4.00	2,579.76	08/12/2021	2,312.21	0.00	267.55	Sell to Close
RIOT BLOCKCHAIN INC COMMON STOCK   CUSIP: 767292105   Symbol(Box 1a): RIOT							
05/10/2021	45.00	1,412.46	Various	2,380.70	0.00	-968.24	Sale
PUT UPST 09/24/21 310 UPSTART HOLDINGS INC   CUSIP:   Symbol(Box 1a): UPST210924P00310000							
09/21/2021	2.00	2,439.87	09/21/2021	3,040.10	0.00	-600.23	Sell to Close
PUT SQ 10/01/21 255 SQUARE INC   CUSIP:   Symbol(Box 1a): SQ211001P00255000							
09/20/2021	2.00	2,619.87	09/20/2021	2,110.10	0.00	509.77	Sell to Close
CALL ENPH 08/20/21 185 ENPHASE ENERGY INC   CUSIP:   Symbol(Box 1a): ENPH210820C00185000							
06/18/2021	1.00	1,109.93	06/18/2021	1,025.05	0.00	84.88	Sell to Close
CALL CRVS 11/19/21 7.50 CORVUS PHARMACEUTICALS INC   CUSIP:   Symbol(Box 1a): CRVS211119C00007500							
11/03/2021	4.00	87.81	11/03/2021	84.17	0.00	3.64	Sell to Close
CALL BTBT 10/15/21 10 BIT DIGITAL INC   CUSIP:   Symbol(Box 1a): BTBT211015C00010000							
10/05/2021	1.00	69.94	10/05/2021	64.04	0.00	5.90	Sell to Close
CALL RIOT 07/30/21 41 RIOT BLOCKCHAIN INC   CUSIP:   Symbol(Box 1a): RIOT210730C00041000							
07/01/2021	1.00	297.93	06/29/2021	425.05	0.00	-127.12	Sell to Close
CALL SNOW 01/21/22 280 SNOWFLAKE INC CLASS A   CUSIP:   Symbol(Box 1a): SNOW220121C00280000							
08/03/2021	1.00	3,779.92	08/03/2021	3,612.05	0.00	167.87	Sell to Close

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APEX CLEARING

## Proceeds from Broker and Barter Exchange Transactions

2021 Form 1099-B\*

5NK11077

(continued)

01/31/2022

OMB No. 1545-0715

**SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS**

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

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

Date Sold or Disposed (Box 1c)	Quantity	Proceeds (Box 1d)	Date Acquired (Box 1b)	Cost or Other Basis (Box 1e)	Accrued Market Discount (M)(Box 1f) & Wash Sale Loss Disallowed (D)(Box 1g)	Gain or Loss(-)	Additional Notes
SIEBERT FINANCIAL CORP   CUSIP: 826176109   Symbol(Box 1a): SIEB							
01/29/2021	12.00	146.45	Various	216.25	0.00	-69.80	Sale
CALL SAVA 08/20/21 80 CASSAVA SCIENCES INC   CUSIP:   Symbol(Box 1a): SAVA210820C00080000							
08/02/2021	2.00	2,255.86	08/02/2021	2,120.11	0.00	135.75	Sell to Close
BLOCK INC CLASS A COMMON STOCK   CUSIP: 852234103   Symbol(Box 1a): SQ							
07/23/2021	1.00	263.08	04/14/2021	256.68	0.00	6.40	Sale
CALL FB 12/23/21 360 META PLATFORMS INC CL A   CUSIP:   Symbol(Box 1a): FB211223C00360000							
12/23/2021	1.00	0.00	12/09/2021	152.02	0.00	-152.02	Expiration
CALL TTD 01/21/22 92 TRADE DESK INC CLASS A ADJ 10:1 STOCK SPLIT   CUSIP:   Symbol(Box 1a): TTD220121C00092000							
08/05/2021	1.00	969.93	08/03/2021	870.05	0.00	99.88	Sell to Close
CALL RWLK 11/19/21 2.50 REWALK ROBOTICS LTD   CUSIP:   Symbol(Box 1a): RWLK21119C00002500							
11/19/2021	20.00	0.00	11/05/2021	400.83	0.00	-400.83	Expiration
CALL PROG 11/19/21 4.50 PROGENITY INC   CUSIP:   Symbol(Box 1a): PROG21119C00004500							
10/26/2021	1.00	79.94	10/26/2021	75.04	0.00	4.90	Sell to Close
CALL LCID 10/01/21 31 LUCID GROUP INC   CUSIP:   Symbol(Box 1a): LCID211001C00031000							
09/29/2021	1.00	29.93	09/29/2021	52.05	0.00	-22.12	Sell to Close
***TAOPING INC ORDINARY SHARES   CUSIP: G8675V119   Symbol(Box 1a): TAOP							
02/22/2021	20.00	227.18	02/22/2021	234.40	7.22 D	0.00	Sale
02/22/2021	20.00	229.98	02/22/2021	245.22	0.00	-15.24	Sale
<b>Security Totals:</b>		<b>457.16</b>		<b>479.62</b>		<b>-15.24</b>	
CALL ETSY 08/20/21 210 ETSY INC   CUSIP:   Symbol(Box 1a): ETSY210820C00210000							
08/04/2021	1.00	749.93	08/04/2021	740.05	0.00	9.88	Sell to Close

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APEX CLEARING

Proceeds from Broker and Barter Exchange Transactions

2021 Form 1099-B\*

5NK11077

(continued)

01/31/2022

OMB No. 1545-0715

SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

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

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

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

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

Date Sold or Disposed (Box 1c)	Quantity	Proceeds (Box 1d)	Date Acquired (Box 1b)	Cost or Other Basis (Box 1e)	Accrued Market Discount (M)(Box 1f) & Wash Sale Loss Disallowed (D)(Box 1g)	Gain or Loss(-)	Additional Notes
CALL AMC 06/18/21 65 AMC ENTERTAINMENT HOLDINGS INC   CUSIP:   Symbol(Box 1a): AMC210618C00065000							
06/17/2021	1.00	399.93	06/17/2021	335.05	0.00	64.88	Sell to Close
BIO PATH HOLDINGS INC COMMON STOCK   CUSIP: 09057N300   Symbol(Box 1a): BPTH							
02/10/2021	20.00	377.78	02/10/2021	536.02	39.56 D	-118.68	Sale
02/10/2021	10.00	196.59	Various	261.81	0.00	-65.22	Sale
02/10/2021	25.00	398.73	02/10/2021	482.50	83.77 D	0.00	Sale
<b>Security Totals:</b>		<b>973.10</b>		<b>1,280.33</b>		<b>-183.90</b>	
CALL TSLA 06/25/21 655 TESLA INC   CUSIP:   Symbol(Box 1a): TSLA210625C00655000							
06/23/2021	2.00	1,183.87	06/23/2021	1,004.11	0.00	179.76	Sell to Close
CALL SAVA 08/20/21 120 CASSAVA SCIENCES INC   CUSIP:   Symbol(Box 1a): SAVA210820C00120000							
08/02/2021	1.00	220.93	08/02/2021	315.05	0.00	-94.12	Sell to Close
CALL NET 01/21/22 125 CLOUDFLARE INC CL A   CUSIP:   Symbol(Box 1a): NET220121C00125000							
07/28/2021	1.00	1,319.93	07/27/2021	1,070.05	0.00	249.88	Sell to Close
***NLS PHARMACEUTICS LTD ORDINARY SHARES   CUSIP: H57830103   Symbol(Box 1a): NLSP							
03/12/2021	200.00	1,353.97	Various	1,477.69	0.00	-123.72	Sale
03/12/2021	100.00	668.98	Various	688.17	19.19 D	0.00	Sale
<b>Security Totals:</b>		<b>2,022.95</b>		<b>2,165.86</b>		<b>-123.72</b>	
OCUGEN INC COMMON STOCK   CUSIP: 67577C105   Symbol(Box 1a): OCGN							
02/02/2021	25.00	82.51	02/02/2021	57.99	0.00	24.52	Sale
02/02/2021	25.00	75.79	02/02/2021	58.00	0.00	17.79	Sale
02/04/2021	100.00	333.09	02/04/2021	366.00	32.91 D	0.00	Sale
02/08/2021	30.00	478.17	Various	511.18	14.52 D	-18.49	Sale

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**SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS**

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

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

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

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

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

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

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

Date Sold or Disposed (Box 1c)	Quantity	Proceeds (Box 1d)	Date Acquired (Box 1b)	Cost or Other Basis (Box 1e)	Accrued Market Discount (M)(Box 1f) & Wash Sale Loss Disallowed (D)(Box 1g)	Gain or Loss(-)	Additional Notes
OCUGEN INC COMMON STOCK   CUSIP: 67577C105   Symbol(Box 1a): OCGN							
02/08/2021	5.00	83.13	02/08/2021	97.70	0.00	-14.57	Sale
02/08/2021	40.00	427.58	Various	403.16	0.00	24.42	Sale
02/08/2021	40.00	534.77	02/08/2021	448.37	0.00	86.40	Sale
03/03/2021	7.00	93.92	03/03/2021	92.47	0.00	1.45	Sale
<b>Security Totals:</b>		<b>2,108.96</b>		<b>2,034.87</b>		<b>121.52</b>	
CALL TSLA 01/21/22 1000 TESLA INC   CUSIP:   Symbol(Box 1a): TSLA220121C01000000							
07/30/2021	1.00	2,379.92	07/30/2021	2,365.05	0.00	14.87	Sell to Close
08/02/2021	1.00	2,994.92	08/02/2021	2,825.05	0.00	169.87	Sell to Close
<b>Security Totals:</b>		<b>5,374.84</b>		<b>5,190.10</b>		<b>184.74</b>	
CALL SNOW 01/21/22 300 SNOWFLAKE INC CLASS A   CUSIP:   Symbol(Box 1a): SNOW220121C00300000							
08/05/2021	1.00	2,629.92	08/04/2021	2,660.05	0.00	-30.13	Sell to Close
CALL FCEL 09/17/21 6 FUELCELL ENERGY INC   CUSIP:   Symbol(Box 1a): FCEL210917C00006000							
09/14/2021	150.00	14,541.80	09/14/2021	10,357.82	0.00	4,183.98	Sell to Close
09/14/2021	13.00	1,455.28	09/14/2021	1,378.68	0.00	76.60	Sell to Close
<b>Security Totals:</b>		<b>15,997.08</b>		<b>11,736.50</b>		<b>4,260.58</b>	
PUT UPST 10/08/21 300 UPSTART HOLDINGS INC   CUSIP:   Symbol(Box 1a): UPST211008P00300000							
09/30/2021	2.00	1,539.88	09/30/2021	1,462.10	0.00	77.78	Sell to Close
CALL TTD 01/21/22 82 TRADE DESK INC CLASS A ADJ 10:1 STOCK SPLIT   CUSIP:   Symbol(Box 1a): TTD220121C00082000							
07/23/2021	2.00	2,539.86	07/07/2021	2,520.11	0.00	19.75	Sell to Close
CALL BNGO 07/16/21 7 BIONANO GENOMICS INC   CUSIP:   Symbol(Box 1a): BNGO210716C00007000							
07/08/2021	1.00	22.93	07/08/2021	26.05	0.00	-3.12	Sell to Close

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APEX CLEARING

Proceeds from Broker and Barter Exchange Transactions

2021 Form 1099-B\*

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01/31/2022

OMB No. 1545-0715

SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

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

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

Box 5: Box Not Checked (Covered Security)

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

Box 12: Basis Reported to the IRS

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

Date Sold or Disposed (Box 1c)	Quantity	Proceeds (Box 1d)	Date Acquired (Box 1b)	Cost or Other Basis (Box 1e)	Accrued Market Discount (M)(Box 1f) & Wash Sale Loss Disallowed (D)(Box 1g)	Gain or Loss(-)	Additional Notes
CALL SE 08/20/21	325	SEA LTD   CUSIP:   Symbol(Box 1a): SE210820C00325000					
08/18/2021	2.00	619.87	08/18/2021	436.11	0.00	183.76	Sell to Close
PUT SE 08/20/21	297.50	SEA LTD   CUSIP:   Symbol(Box 1a): SE210820P00297500					
08/06/2021	2.00	2,478.86	08/06/2021	2,662.11	0.00	-183.25	Sell to Close
PUT NVDA 01/07/22	267.50	NVIDIA CORPORATION   CUSIP:   Symbol(Box 1a): NVDA220107P00267500					
12/28/2021	1.00	122.96	12/28/2021	116.02	0.00	6.94	Sell to Close
CALL SQ 06/25/21	240	SQUARE INC   CUSIP:   Symbol(Box 1a): SQ210625C00240000					
06/23/2021	1.00	329.93	06/23/2021	315.05	0.00	14.88	Sell to Close
CALL DDOG 01/21/22	120	DATADOG INC CL A   CUSIP:   Symbol(Box 1a): DDOG220121C00120000					
06/18/2021	1.00	794.93	06/16/2021	680.05	0.00	114.88	Sell to Close
CALL CRWD 01/21/22	280	CROWDSTRIKE HOLDINGS INC CL A   CUSIP:   Symbol(Box 1a): CRWD220121C00280000					
06/22/2021	1.00	2,459.92	06/21/2021	1,777.05	0.00	682.87	Sell to Close
CALL PLTR 01/21/22	25	PALANTIR TECHNOLOGIES INC CL A   CUSIP:   Symbol(Box 1a): PLTR220121C00025000					
06/18/2021	1.00	474.93	06/16/2021	415.05	0.00	59.88	Sell to Close
06/23/2021	1.00	449.93	06/21/2021	420.05	0.00	29.88	Sell to Close
<b>Security Totals:</b>		<b>924.86</b>		<b>835.10</b>		<b>89.76</b>	
CALL CEI 10/15/21	2	CAMBER ENERGY INC   CUSIP:   Symbol(Box 1a): CEI211015C00002000					
10/07/2021	9.00	449.59	10/07/2021	279.38	0.00	170.21	Sell to Close
CALL CEI 10/15/21	3	CAMBER ENERGY INC   CUSIP:   Symbol(Box 1a): CEI211015C00003000					
10/08/2021	4.00	159.81	10/08/2021	172.17	12.36 D	0.00	Sell to Close
10/08/2021	6.00	95.73	Various	282.61	0.00	-186.88	Sell to Close
<b>Security Totals:</b>		<b>255.54</b>		<b>454.78</b>		<b>-186.88</b>	

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APEX CLEARING

Proceeds from Broker and Barter Exchange Transactions

2021 Form 1099-B\*

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01/31/2022

OMB No. 1545-0715

SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

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

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

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

Box 12: Basis Reported to the IRS

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

Date Sold or Disposed (Box 1c)	Quantity	Proceeds (Box 1d)	Date Acquired (Box 1b)	Cost or Other Basis (Box 1e)	Accrued Market Discount (M)(Box 1f) & Wash Sale Loss Disallowed (D)(Box 1g)	Gain or Loss(-)	Additional Notes
PUT DOCU 09/17/21 285 DOCUSIGN INC   CUSIP:   Symbol(Box 1a): DOCU210917P00285000							
09/10/2021	3.00	2,624.81	09/10/2021	2,400.16	0.00	224.65	Sell to Close
MATTERPORT INC CLASS A COMMON STOCK   CUSIP: 577096100   Symbol(Box 1a): MTTR							
08/03/2021	5.00	75.49	07/20/2021	66.65	0.00	8.84	Sale
08/25/2021	100.00	1,496.99	08/20/2021	1,480.07	0.00	16.92	Sale
<b>Security Totals:</b>		<b>1,572.48</b>		<b>1,546.72</b>		<b>25.76</b>	
PUT FUV 06/18/21 15 ARCIMOTO INC   CUSIP:   Symbol(Box 1a): FUV210618P00015000							
06/16/2021	2.00	259.87	06/16/2021	260.11	0.24 D	0.00	Sell to Close
06/16/2021	3.00	419.82	Various	480.40	0.00	-60.58	Sell to Close
<b>Security Totals:</b>		<b>679.69</b>		<b>740.51</b>		<b>-60.58</b>	
CALL PYR 01/21/22 7.50 PYROGENESIS CANADA INC   CUSIP:   Symbol(Box 1a): PYR220121C00007500							
12/27/2021	3.00	119.92	12/27/2021	105.06	0.00	14.86	Sell to Close
PUT LVS 09/24/21 37 LAS VEGAS SANDS CORP   CUSIP:   Symbol(Box 1a): LVS210924P00037000							
09/21/2021	1.00	101.93	09/21/2021	112.05	0.00	-10.12	Sell to Close
CALL DDD 08/20/21 37 3 D SYSTEMS CORP DEL   CUSIP:   Symbol(Box 1a): DDD210820C00037000							
08/10/2021	5.00	1,199.71	08/10/2021	1,110.27	0.00	89.44	Sell to Close
CALL AMD 08/20/21 122 ADVANCED MICRO DEVICES INC   CUSIP:   Symbol(Box 1a): AMD210820C00122000							
08/04/2021	1.00	594.93	08/04/2021	705.05	0.00	-110.12	Sell to Close
INVO BIOSCIENCE INC COMMON STOCK   CUSIP: 44984F302   Symbol(Box 1a): INVO							
03/09/2021	3.00	30.58	03/09/2021	35.01	0.00	-4.43	Sale
SENSEONICS HOLDINGS INC COMMON STOCK \$0.001 PAR VALUE   CUSIP: 81727U105   Symbol(Box 1a): SENS							
06/10/2021	150.00	531.22	06/10/2021	530.87	0.00	0.35	Sale
06/10/2021	281.00	981.13	Various	1,017.97	34.41 D	-2.43	Sale

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APEX CLEARING

Proceeds from Broker and Barter Exchange Transactions

2021 Form 1099-B\*

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01/31/2022

OMB No. 1545-0715

SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

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

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

Box 5: Box Not Checked (Covered Security)

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

Box 12: Basis Reported to the IRS

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

Date Sold or Disposed (Box 1c)	Quantity	Proceeds (Box 1d)	Date Acquired (Box 1b)	Cost or Other Basis (Box 1e)	Accrued Market Discount (M)(Box 1f) & Wash Sale Loss Disallowed (D)(Box 1g)	Gain or Loss(-)	Additional Notes
SENSEONICS HOLDINGS INC COMMON STOCK \$0.001 PAR VALUE   CUSIP: 81727U105   Symbol(Box 1a): SENS							
06/11/2021	200.00	813.97	Various	814.49	0.00	-0.52	Sale
06/14/2021	50.00	213.10	06/14/2021	225.92	0.00	-12.82	Sale
<b>Security Totals:</b>		<b>2,539.42</b>		<b>2,589.25</b>		<b>-15.42</b>	
CALL UBER 10/08/21 47 UBER TECHNOLOGIES INC   CUSIP:   Symbol(Box 1a): UBER211008C00047000							
09/24/2021	23.00	3,218.73	09/22/2021	2,968.20	0.00	250.53	Sell to Close
CALL CRVS 10/15/21 5 CORVUS PHARMACEUTICALS INC   CUSIP:   Symbol(Box 1a): CRVS211015C00005000							
09/17/2021	35.00	2,273.08	09/17/2021	2,976.83	0.00	-703.75	Sell to Close
CALL SNOW 08/20/21 282.50 SNOWFLAKE INC CLASS A   CUSIP:   Symbol(Box 1a): SNOW210820C00282500							
08/12/2021	2.00	1,399.87	08/12/2021	1,320.11	0.00	79.76	Sell to Close
APPLIED UV INC COMMON STOCK   CUSIP: 03828V105   Symbol(Box 1a): AUVI							
02/09/2021	3.00	101.86	02/09/2021	86.37	0.00	15.49	Sale
02/09/2021	5.00	130.36	02/09/2021	114.25	0.00	16.11	Sale
02/09/2021	5.00	88.03	02/09/2021	76.45	0.00	11.58	Sale
02/10/2021	20.00	431.58	02/10/2021	529.60	0.00	-98.02	Sale
<b>Security Totals:</b>		<b>751.83</b>		<b>806.67</b>		<b>-54.84</b>	
CALL MRIN 10/15/21 10 MARIN SOFTWARE INCORPORATED   CUSIP:   Symbol(Box 1a): MRIN211015C00010000							
09/28/2021	7.00	699.61	09/24/2021	1,400.37	0.00	-700.76	Sell to Close
CALL COIN 08/20/21 260 COINBASE GLOBAL INC   CUSIP:   Symbol(Box 1a): COIN210820C00260000							
08/17/2021	4.00	2,203.76	08/17/2021	2,200.21	0.00	3.55	Sell to Close
CALL CRVS 10/15/21 7.50 CORVUS PHARMACEUTICALS INC   CUSIP:   Symbol(Box 1a): CRVS211015C00007500							
09/27/2021	5.00	799.72	09/27/2021	785.26	0.00	14.46	Sell to Close

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APEX CLEARING

## Proceeds from Broker and Barter Exchange Transactions

2021 Form 1099-B\*

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(continued)

01/31/2022

OMB No. 1545-0715

## SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

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

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

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

Date Sold or Disposed (Box 1c)	Quantity	Proceeds (Box 1d)	Date Acquired (Box 1b)	Cost or Other Basis (Box 1e)	Accrued Market Discount (M)(Box 1f) & Wash Sale Loss Disallowed (D)(Box 1g)	Gain or Loss(-)	Additional Notes
CALL CRWD 09/17/21	275						
							CROWDSTRIKE HOLDINGS INC CL A   CUSIP:   Symbol(Box 1a): CRWD210917C00275000
08/24/2021	6.00	7,289.63	08/24/2021	7,080.32	0.00	209.31	Sell to Close
CALL SNOW 08/20/21	287.50						SNOWFLAKE INC CLASS A   CUSIP:   Symbol(Box 1a): SNOW210820C00287500
08/13/2021	1.00	789.93	08/13/2021	930.05	0.00	-140.12	Sell to Close
CALL SE 06/17/22	400						SEA LTD   CUSIP:   Symbol(Box 1a): SE220617C00400000
08/12/2021	1.00	2,124.92	08/12/2021	2,185.05	0.00	-60.13	Sell to Close
PUT SNOW 08/20/21	277.50						SNOWFLAKE INC CLASS A   CUSIP:   Symbol(Box 1a): SNOW210820P00277500
08/11/2021	5.00	4,019.69	08/11/2021	3,900.27	0.00	119.42	Sell to Close
PUT TSLA 09/17/21	680						TESLA INC ADJ 5:1 STOCK SPLIT   CUSIP:   Symbol(Box 1a): TSLA210917P00680000
08/19/2021	1.00	3,674.92	08/19/2021	3,615.05	0.00	59.87	Sell to Close
CALL MRIN 10/15/21	5						MARIN SOFTWARE INCORPORATED   CUSIP:   Symbol(Box 1a): MRIN211015C00005000
09/22/2021	4.00	1,919.77	09/22/2021	2,280.21	0.00	-360.44	Sell to Close
CALL ENPH 01/21/22	200						ENPHASE ENERGY INC   CUSIP:   Symbol(Box 1a): ENPH220121C00200000
06/30/2021	1.00	2,644.92	06/25/2021	2,455.05	0.00	189.87	Sell to Close
07/30/2021	1.00	2,439.92	07/29/2021	2,520.05	80.13 D	0.00	Sell to Close
08/03/2021	1.00	2,746.92	08/03/2021	3,320.18	0.00	-573.26	Sell to Close
<b>Security Totals:</b>		<b>7,831.76</b>		<b>8,295.28</b>		<b>-383.39</b>	
PUT TSLA 09/17/21	700						TESLA INC ADJ 5:1 STOCK SPLIT   CUSIP:   Symbol(Box 1a): TSLA210917P00700000
08/27/2021	3.00	5,459.80	08/27/2021	6,118.16	0.00	-658.36	Sell to Close
CALL SQ 08/20/21	280						SQUARE INC   CUSIP:   Symbol(Box 1a): SQ210820C00280000
08/06/2021	2.00	1,389.87	08/06/2021	1,690.11	0.00	-300.24	Sell to Close

APEX CLEARING

## Proceeds from Broker and Barter Exchange Transactions

2021 Form 1099-B\*

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(continued)

01/31/2022

OMB No. 1545-0715

**SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS**

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

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

Date Sold or Disposed (Box 1c)	Quantity	Proceeds (Box 1d)	Date Acquired (Box 1b)	Cost or Other Basis (Box 1e)	Accrued Market Discount (M)(Box 1f) & Wash Sale Loss Disallowed (D)(Box 1g)	Gain or Loss(-)	Additional Notes
SHINECO INC COMMON STOCK   CUSIP: 824567309   Symbol(Box 1a): TYHT							
02/17/2021	10.00	53.08	02/17/2021	56.70	0.00	-3.62	Sale
CALL PLTR 01/21/22 28 PALANTIR TECHNOLOGIES INC CL A   CUSIP:   Symbol(Box 1a): PLTR220121C00028000							
06/28/2021	3.00	1,304.82	06/28/2021	1,305.16	0.00	-0.34	Sell to Close
CASSAVA SCIENCES INC COMMON STOCK   CUSIP: 14817C107   Symbol(Box 1a): SAVA							
02/02/2021	1.00	32.93	02/02/2021	34.92	1.99 D	0.00	Sale
02/02/2021	3.00	152.09	Various	175.49	23.40 D	0.00	Sale
02/02/2021	5.00	348.98	Various	338.12	0.45 D	11.31	Sale
02/02/2021	3.00	121.12	Various	134.58	13.46 D	0.00	Sale
02/04/2021	3.00	222.34	Various	223.44	0.00	-1.10	Sale
<b>Security Totals:</b>		<b>877.46</b>		<b>906.55</b>		<b>10.21</b>	
CALL UPST 10/01/21 335 UPSTART HOLDINGS INC   CUSIP:   Symbol(Box 1a): UPST211001C00335000							
09/27/2021	2.00	2,624.87	09/27/2021	2,222.10	0.00	402.77	Sell to Close
PUT NVDA 09/03/21 225 NVIDIA CORPORATION   CUSIP:   Symbol(Box 1a): NVDA210903P00225000							
08/31/2021	1.00	354.93	08/31/2021	472.05	0.00	-117.12	Sell to Close
FERRO CORP   CUSIP: 315405100   Symbol(Box 1a): FOE							
05/11/2021	8.00	172.22	05/11/2021	173.60	0.00	-1.38	Sale
***ATA CREATIVITY GLOBAL AMERICAN DEPOSITARY SHARES   CUSIP: 00211V106   Symbol(Box 1a): AACG							
02/04/2021	16.00	203.98	02/04/2021	206.55	2.57 D	0.00	Sale
02/04/2021	99.00	1,469.57	Various	1,237.14	0.00	232.43	Sale
<b>Security Totals:</b>		<b>1,673.55</b>		<b>1,443.69</b>		<b>232.43</b>	
CALL IRNT 10/01/21 32 IRONNET INC   CUSIP:   Symbol(Box 1a): IRNT211001C00032000							
09/21/2021	2.00	719.88	09/21/2021	880.10	0.00	-160.22	Sell to Close

APEX CLEARING

## Proceeds from Broker and Barter Exchange Transactions

2021 Form 1099-B\*

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OMB No. 1545-0715

**SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS**

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

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Date Sold or Disposed (Box 1c)	Quantity	Proceeds (Box 1d)	Date Acquired (Box 1b)	Cost or Other Basis (Box 1e)	Accrued Market Discount (M)(Box 1f) & Wash Sale Loss Disallowed (D)(Box 1g)	Gain or Loss(-)	Additional Notes
CALL IRNT 09/24/21	41	IRONNET INC   CUSIP:   Symbol(Box 1a): IRNT210924C00041000					
09/20/2021	2.00	89.88	09/16/2021	1,920.10	0.00	-1,830.22	Sell to Close
PUT SE 08/20/21	302.50	SEA LTD   CUSIP:   Symbol(Box 1a): SE210820P00302500					
08/10/2021	2.00	2,859.86	08/10/2021	2,740.11	0.00	119.75	Sell to Close
CALL MRNA 08/20/21	430	MODERNA INC   CUSIP:   Symbol(Box 1a): MRNA210820C00430000					
08/09/2021	2.00	4,779.85	08/09/2021	4,450.11	0.00	329.74	Sell to Close
CALL HOOD 08/20/21	70	ROBINHOOD MARKET INC   CUSIP:   Symbol(Box 1a): HOOD210820C00070000					
08/04/2021	2.00	3,359.86	08/04/2021	2,880.11	0.00	479.75	Sell to Close
CALL SNOW 08/20/21	305	SNOWFLAKE INC CLASS A   CUSIP:   Symbol(Box 1a): SNOW210820C00305000					
08/06/2021	2.00	329.87	08/06/2021	380.11	0.00	-50.24	Sell to Close
CALL COIN 07/23/21	270	COINBASE GLOBAL INC   CUSIP:   Symbol(Box 1a): COIN210723C00270000					
06/29/2021	1.00	939.93	06/29/2021	850.05	0.00	89.88	Sell to Close
PUT PTON 09/17/21	110	PELTON INTERACTIVE INC CL A   CUSIP:   Symbol(Box 1a): PTON210917P00110000					
09/15/2021	5.00	3,189.71	09/15/2021	3,125.26	0.00	64.45	Sell to Close
PUT TSLA 10/01/21	750	TESLA INC   CUSIP:   Symbol(Box 1a): TSLA211001P00750000					
09/28/2021	1.00	979.93	09/28/2021	860.05	0.00	119.88	Sell to Close
FORD MOTOR CO		PAR \$0.01   CUSIP: 345370860   Symbol(Box 1a): F					
02/19/2021	1.00	11.48	02/17/2021	11.48	0.00	0.00	Sale
PUT TSLA 09/03/21	650	TESLA INC   CUSIP:   Symbol(Box 1a): TSLA210903P00650000					
08/27/2021	10.00	2,479.43	08/27/2021	2,680.53	0.00	-201.10	Sell to Close
CALL PATH 01/21/22	65	UIPATH INC CLASS A   CUSIP:   Symbol(Box 1a): PATH220121C00065000					
08/02/2021	1.00	699.93	07/30/2021	914.05	0.00	-214.12	Sell to Close

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APEX CLEARING

## Proceeds from Broker and Barter Exchange Transactions

2021 Form 1099-B\*

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(continued)

01/31/2022

OMB No. 1545-0715

**SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS**

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

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

Date Sold or Disposed (Box 1c)	Quantity	Proceeds (Box 1d)	Date Acquired (Box 1b)	Cost or Other Basis (Box 1e)	Accrued Market Discount (M)(Box 1f) & Wash Sale Loss Disallowed (D)(Box 1g)	Gain or Loss(-)	Additional Notes
***ANCHIANO THERAPEUTICS LTD AMERICAN DEPOSITARY SHARE   CUSIP: 03280X102   Symbol(Box 1a): ANCN							
02/10/2021	9.00	73.87	02/10/2021	82.89	0.00	-9.02	Sale
PUT UPST 10/08/21 270 UPSTART HOLDINGS INC   CUSIP:   Symbol(Box 1a): UPST211008P00270000							
10/04/2021	1.00	359.94	10/04/2021	653.04	0.00	-293.10	Sell to Close
PUT TSLA 09/03/21 727.50 TESLA INC   CUSIP:   Symbol(Box 1a): TSLA210903P00727500							
09/03/2021	4.00	887.77	09/03/2021	620.21	0.00	267.56	Sell to Close
CALL PROG 10/15/21 2.50 PROGENITY INC   CUSIP:   Symbol(Box 1a): PROG211015C00002500							
10/12/2021	5.00	274.77	10/12/2021	220.21	0.00	54.56	Sell to Close
PUT MRNA 08/20/21 420 MODERNA INC   CUSIP:   Symbol(Box 1a): MRNA210820P00420000							
08/11/2021	1.00	2,724.92	08/11/2021	2,412.05	0.00	312.87	Sell to Close
CALL NVDA 12/31/21 335 NVIDIA CORPORATION   CUSIP:   Symbol(Box 1a): NVDA211231C00335000							
12/22/2021	1.00	91.96	12/22/2021	81.02	0.00	10.94	Sell to Close
CALL RIOT 09/10/21 37 RIOT BLOCKCHAIN INC   CUSIP:   Symbol(Box 1a): RIOT210910C00037000							
09/08/2021	4.00	59.77	09/07/2021	120.21	0.00	-60.44	Sell to Close
CANCER GENETICS INC COMMON STOCK   CUSIP: 13739U203   Symbol(Box 1a): CGIX							
02/10/2021	73.00	763.71	Various	841.48	0.00	-77.77	Sale
02/10/2021	109.00	1,144.46	Various	1,217.38	48.70 D	-24.22	Sale
<b>Security Totals:</b>		<b>1,908.17</b>		<b>2,058.86</b>		<b>-101.99</b>	
PUT LMND 06/18/21 97 LEMONADE INC   CUSIP:   Symbol(Box 1a): LMND210618P00097000							
06/16/2021	1.00	379.93	06/16/2021	380.05	0.00	-0.12	Sell to Close
CALL BAC 09/10/21 41 BANK OF AMERICA CORP   CUSIP:   Symbol(Box 1a): BAC210910C00041000							
09/09/2021	10.00	249.45	09/08/2021	559.52	0.00	-310.07	Sell to Close

APEX CLEARING

## Proceeds from Broker and Barter Exchange Transactions

2021 Form 1099-B\*

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01/31/2022

OMB No. 1545-0715

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Date Sold or Disposed (Box 1c)	Quantity	Proceeds (Box 1d)	Date Acquired (Box 1b)	Cost or Other Basis (Box 1e)	Accrued Market Discount (M)(Box 1f) & Wash Sale Loss Disallowed (D)(Box 1g)	Gain or Loss(-)	Additional Notes
CALL TSLA 09/03/21	750	TESLA INC   CUSIP:   Symbol(Box 1a): TSLA210903C00750000					
08/30/2021	2.00	297.87	08/30/2021	580.11	0.00	-282.24	Sell to Close
PUT SPRT 09/17/21	10	SUPPORT.COM INC   CUSIP:   Symbol(Box 1a): SPRT210917P00010000					
09/14/2021	1.00	74.93	09/14/2021	65.05	0.00	9.88	Sell to Close
CALL UPST 08/20/21	170	UPSTART HOLDINGS INC   CUSIP:   Symbol(Box 1a): UPST210820C00170000					
08/11/2021	5.00	4,069.69	08/11/2021	4,450.27	0.00	-380.58	Sell to Close
VAXART INC		COMMON STOCK   CUSIP: 92243A200   Symbol(Box 1a): VXRT					
04/27/2021	10.00	90.28	04/27/2021	89.79	0.00	0.49	Sale
PINTEREST INC		CLASS A COMMON STOCK   CUSIP: 72352L106   Symbol(Box 1a): PINS					
03/10/2021	2.00	137.86	03/09/2021	135.48	0.00	2.38	Sale
05/18/2021	2.00	116.34	Various	124.71	0.00	-8.37	Sale
<b>Security Totals:</b>		<b>254.20</b>		<b>260.19</b>		<b>-5.99</b>	
CALL AFRM 09/17/21	140	AFFIRM HOLDINGS INC CL A   CUSIP:   Symbol(Box 1a): AFRM210917C00140000					
09/03/2021	1.00	27.88	08/31/2021	0.00	0.00	27.88	Buy to Close
PUT UPST 08/20/21	170	UPSTART HOLDINGS INC   CUSIP:   Symbol(Box 1a): UPST210820P00170000					
08/11/2021	1.00	1,059.93	08/11/2021	1,060.05	0.00	-0.12	Sell to Close
CALL ALZN 10/15/21	5	ALZAMEND NEURO INC   CUSIP:   Symbol(Box 1a): ALZN211015C00005000					
10/01/2021	43.00	428.08	09/30/2021	1,507.24	0.00	-1,079.16	Sell to Close
10/01/2021	7.00	48.68	09/30/2021	245.37	0.00	-196.69	Sell to Close
<b>Security Totals:</b>		<b>476.76</b>		<b>1,752.61</b>		<b>-1,275.85</b>	
CALL ETSY 07/02/21	205	ETSY INC   CUSIP:   Symbol(Box 1a): ETSY210702C00205000					
06/30/2021	1.00	286.93	06/29/2021	266.05	0.00	20.88	Sell to Close

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APEX CLEARING

## Proceeds from Broker and Barter Exchange Transactions

2021 Form 1099-B\*

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01/31/2022

OMB No. 1545-0715

## SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

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

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

Date Sold or Disposed (Box 1c)	Quantity	Proceeds (Box 1d)	Date Acquired (Box 1b)	Cost or Other Basis (Box 1e)	Accrued Market Discount (M)(Box 1f) & Wash Sale Loss Disallowed (D)(Box 1g)	Gain or Loss(-)	Additional Notes
PUT HOOD 12/17/21 18 ROBINHOOD MARKET INC   CUSIP:   Symbol(Box 1a): HOOD211217P00018000							
12/16/2021	1.00	46.96	12/16/2021	44.02	0.00	2.94	Sell to Close
CALL MRNA 10/08/21 350 MODERNA INC   CUSIP:   Symbol(Box 1a): MRNA211008C00350000							
10/06/2021	1.00	75.94	10/05/2021	505.04	0.00	-429.10	Sell to Close
CALL UPST 08/20/21 250 UPSTART HOLDINGS INC   CUSIP:   Symbol(Box 1a): UPST210820C00250000							
08/16/2021	1.00	239.93	08/16/2021	210.05	0.00	29.88	Sell to Close
CALL SQ 08/20/21 272.50 SQUARE INC   CUSIP:   Symbol(Box 1a): SQ210820C00272500							
08/13/2021	3.00	1,264.82	08/13/2021	1,680.16	0.00	-415.34	Sell to Close
CALL DDD 08/20/21 41 3 D SYSTEMS CORP DEL   CUSIP:   Symbol(Box 1a): DDD210820C00041000							
08/10/2021	1.00	224.93	08/10/2021	225.05	0.00	-0.12	Sell to Close
CALL NVDA 08/20/21 920 NVIDIA CORP   CUSIP:   Symbol(Box 1a): NVDA210820C00920000							
07/19/2021	1.00	304.93	07/19/2021	320.05	0.00	-15.12	Sell to Close
PUT CRWD 08/20/21 232.50 CROWDSTRIKE HOLDINGS INC CL A   CUSIP:   Symbol(Box 1a): CRWD210820P00232500							
08/17/2021	5.00	2,524.70	08/17/2021	2,925.27	320.46 D	-80.11	Sell to Close
08/17/2021	4.00	2,511.76	08/17/2021	2,600.67	0.00	-88.91	Sell to Close
<b>Security Totals:</b>		<b>5,036.46</b>		<b>5,525.94</b>		<b>-169.02</b>	
PUT SQ 08/20/21 277.50 SQUARE INC   CUSIP:   Symbol(Box 1a): SQ210820P00277500							
08/11/2021	2.00	1,749.87	08/11/2021	1,606.11	0.00	143.76	Sell to Close
CALL AMC 12/17/21 33 AMC ENTERTAINMENT HOLDINGS INC   CUSIP:   Symbol(Box 1a): AMC211217C00033000							
12/17/2021	2.00	61.94	12/17/2021	50.04	0.00	11.90	Sell to Close
ORBITAL ENERGY GROUP INC COMMON STOCK   CUSIP: 68559A109   Symbol(Box 1a): OEG							
06/01/2021	25.00	139.98	06/01/2021	127.25	0.00	12.73	Sale

APEX CLEARING

## Proceeds from Broker and Barter Exchange Transactions

2021 Form 1099-B\*

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01/31/2022

OMB No. 1545-0715

**SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS**

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

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Date Sold or Disposed (Box 1c)	Quantity	Proceeds (Box 1d)	Date Acquired (Box 1b)	Cost or Other Basis (Box 1e)	Accrued Market Discount (M)(Box 1f) & Wash Sale Loss Disallowed (D)(Box 1g)	Gain or Loss(-)	Additional Notes
CALL ROKU 09/17/21	600	ROKU INC   CUSIP:   Symbol(Box 1a): ROKU210917C00600000					
07/23/2021	1.00	649.93	07/23/2021	635.05	0.00	14.88	Sell to Close
PUT AFRM 01/07/22	92	AFFIRM HOLDINGS INC CL A   CUSIP:   Symbol(Box 1a): AFRM220107P00092000					
12/31/2021	1.00	114.96	12/30/2021	110.02	0.00	4.94	Sell to Close
CALL UPST 08/20/21	195	UPSTART HOLDINGS INC   CUSIP:   Symbol(Box 1a): UPST210820C00195000					
08/13/2021	4.00	3,239.76	08/13/2021	2,480.21	0.00	759.55	Sell to Close
CALL XENE 10/15/21	35	XENON PHARMACEUTICALS INC   CUSIP:   Symbol(Box 1a): XENE211015C00035000					
10/04/2021	2.00	157.90	10/04/2021	120.08	0.00	37.82	Sell to Close
CALL DLO 11/19/21	70	DLOCAL LTD   CUSIP:   Symbol(Box 1a): DLO211119C00070000					
08/23/2021	1.00	1,029.93	08/20/2021	868.05	0.00	161.88	Sell to Close
PUT ARKK 09/17/21	114	ARK INNOVATION ETF   CUSIP:   Symbol(Box 1a): ARKK210917P00114000					
07/19/2021	1.00	739.93	07/19/2021	795.05	0.00	-55.12	Sell to Close
VIRGIN GALACTIC HLDGS INC		COMMON STOCK   CUSIP: 92766K106   Symbol(Box 1a): SPCE					
07/08/2021	20.00	1,028.58	07/08/2021	1,048.40	0.00	-19.82	Sale
ATOSSA THERAPEUTICS INC		COMMON STOCK   CUSIP: 04962H506   Symbol(Box 1a): ATOS					
02/02/2021	15.00	41.39	02/02/2021	47.08	0.00	-5.69	Sale
CALL SE 09/17/21	330	SEA LTD   CUSIP:   Symbol(Box 1a): SE210917C00330000					
08/26/2021	2.00	1,389.87	08/25/2021	1,840.11	0.00	-450.24	Sell to Close
CALL SE 08/20/21	305	SEA LTD   CUSIP:   Symbol(Box 1a): SE210820C00305000					
08/19/2021	2.00	3,609.86	08/19/2021	3,010.11	0.00	599.75	Sell to Close
CALL SQ 01/21/22	280	BLOCK INC   CUSIP:   Symbol(Box 1a): SQ220121C00280000					
06/23/2021	1.00	1,749.93	06/23/2021	1,690.05	0.00	59.88	Sell to Close

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## Proceeds from Broker and Barter Exchange Transactions

2021 Form 1099-B\*

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(continued)

01/31/2022

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Date Sold or Disposed (Box 1c)	Quantity	Proceeds (Box 1d)	Date Acquired (Box 1b)	Cost or Other Basis (Box 1e)	Accrued Market Discount (M)(Box 1f) & Wash Sale Loss Disallowed (D)(Box 1g)	Gain or Loss(-)	Additional Notes
08/03/2021	1.00	2,589.92	08/03/2021	2,995.05	0.00	-405.13	Sell to Close
<b>Security Totals:</b>		<b>4,339.85</b>		<b>4,685.10</b>		<b>-345.25</b>	
***BORQS TECHNOLOGIES INC ORDINARY SHARES   CUSIP: G1466B103   Symbol(Box 1a): BRQS							
02/16/2021	50.00	147.48	02/16/2021	145.50	0.00	1.98	Sale
CALL TSLA 10/15/21 810 TESLA INC   CUSIP:   Symbol(Box 1a): TSLA211015C00810000							
09/29/2021	1.00	1,733.93	09/29/2021	1,905.05	0.00	-171.12	Sell to Close
CALL ZM 01/21/22 500 ZOOM VIDEO COMMUNICATIONS INC   CUSIP:   Symbol(Box 1a): ZM220121C00500000							
08/04/2021	1.00	2,179.92	08/04/2021	1,640.05	0.00	539.87	Sell to Close
GAMESTOP CORP CLASS A   CUSIP: 36467W109   Symbol(Box 1a): GME							
02/24/2021	5.00	475.13	02/24/2021	336.78	0.00	138.35	Sale
03/03/2021	14.00	1,693.98	Various	1,944.02	250.04 D	0.00	Sale
03/05/2021	3.00	425.98	Various	560.48	134.50 D	0.00	Sale
03/09/2021	5.00	1,267.98	Various	1,189.04	0.00	78.94	Sale
03/10/2021	5.00	1,399.98	Various	1,168.77	0.00	231.21	Sale
03/23/2021	12.00	1,971.81	Various	2,719.73	722.60 D	-25.32	Sale
03/25/2021	10.00	1,749.98	Various	2,397.27	0.00	-647.29	Sale
03/25/2021	1.00	184.75	03/25/2021	205.41	0.00	-20.66	Sale
05/26/2021	1.00	236.54	05/26/2021	232.82	0.00	3.72	Sale
<b>Security Totals:</b>		<b>9,406.13</b>		<b>10,754.32</b>		<b>-241.05</b>	
LM FUNDING AMERICA INC COMMON STOCK   CUSIP: 502074305   Symbol(Box 1a): LMFA							
01/29/2021	50.00	135.54	01/29/2021	120.50	0.00	15.04	Sale
01/29/2021	100.00	305.98	Various	266.50	0.00	39.48	Sale
<b>Security Totals:</b>		<b>441.52</b>		<b>387.00</b>		<b>54.52</b>	

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2021 Form 1099-B\*

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01/31/2022

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CALL CCIV 01/21/22 30 CHURCHILL CAPITAL CORP IV CL A   CUSIP:   Symbol(Box 1a): CCIV220121C00030000							
07/12/2021	1.00	599.93	07/12/2021	619.05	0.00	-19.12	Sell to Close
CALL ENPH 07/09/21 162.50 ENPHASE ENERGY INC   CUSIP:   Symbol(Box 1a): ENPH210709C00162500							
06/17/2021	1.00	859.93	06/16/2021	530.05	0.00	329.88	Sell to Close
CLOVER HEALTH INVESTMENTS CORP CLASS A COMMON STOCK   CUSIP: 18914F103   Symbol(Box 1a): CLOV							
06/08/2021	10.00	195.98	06/08/2021	193.60	0.00	2.38	Sale
06/08/2021	30.00	603.88	Various	525.70	0.00	78.18	Sale
06/09/2021	12.00	299.86	Various	302.75	5.08 D	2.19	Sale
06/10/2021	40.00	700.38	Various	728.08	12.89 D	-14.81	Sale
06/15/2021	20.00	290.58	Various	316.69	0.00	-26.11	Sale
<b>Security Totals:</b>		<b>2,090.68</b>		<b>2,066.82</b>		<b>41.83</b>	
BIONANO GENOMICS INC COMMON STOCK   CUSIP: 09075F107   Symbol(Box 1a): BNGO							
06/07/2021	2.00	17.44	06/07/2021	17.30	0.00	0.14	Sale
CALL MRNA 08/20/21 450 MODERNA INC   CUSIP:   Symbol(Box 1a): MRNA210820C00450000							
07/30/2021	1.00	374.93	07/30/2021	385.05	0.00	-10.12	Sell to Close
TENGASCO INC COM   CUSIP: 88033R502   Symbol(Box 1a): TGC							
02/02/2021	20.00	58.18	02/02/2021	64.20	0.00	-6.02	Sale
***SOCIAL CAPITAL HEDOSOPHIA HOLDINGS CORP V CLASS A ORDINARY SHARES   CUSIP: G8252P105   Symbol(Box 1a): IPOE							
05/17/2021	2.00	31.30	Various	31.21	0.00	0.09	Sale
CALL MRNA 09/10/21 450 MODERNA INC   CUSIP:   Symbol(Box 1a): MRNA210910C00450000							
09/07/2021	5.00	3,124.71	09/07/2021	1,975.26	0.00	1,149.45	Sell to Close
CORBUS PHARMACEUTICALS HOLDINGS INC   CUSIP: 21833P103   Symbol(Box 1a): CRBP							
02/02/2021	100.00	241.09	02/02/2021	247.00	0.00	-5.91	Sale

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APEX CLEARING

## Proceeds from Broker and Barter Exchange Transactions

2021 Form 1099-B\*

5NK11077

(continued)

01/31/2022

OMB No. 1545-0715

**SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS**

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

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

Date Sold or Disposed (Box 1c)	Quantity	Proceeds (Box 1d)	Date Acquired (Box 1b)	Cost or Other Basis (Box 1e)	Accrued Market Discount (M)(Box 1f) & Wash Sale Loss Disallowed (D)(Box 1g)	Gain or Loss(-)	Additional Notes
CALL PTON 07/16/21 129 PELOTON INTERACTIVE INC CL A   CUSIP:   Symbol(Box 1a): PTON210716C00129000							
07/13/2021	1.00	47.93	07/07/2021	430.05	0.00	-382.12	Sell to Close
CALL DKNG 01/20/23 85 DRAFTKINGS INC CL A   CUSIP:   Symbol(Box 1a): DKNG230120C00085000							
07/23/2021	1.00	484.93	07/21/2021	440.05	0.00	44.88	Sell to Close
SECOND SIGHT MEDICAL PRODUCTS INC COMMON STOCK   CUSIP: 81362J209   Symbol(Box 1a): EYES							
03/05/2021	25.00	149.98	03/05/2021	108.00	0.00	41.98	Sale
CALL NVDA 09/10/21 227.50 NVIDIA CORPORATION   CUSIP:   Symbol(Box 1a): NVDA210910C00227500							
09/09/2021	10.00	979.45	09/08/2021	950.52	0.00	28.93	Sell to Close
CALL MRNA 09/10/21 430 MODERNA INC   CUSIP:   Symbol(Box 1a): MRNA210910C00430000							
09/09/2021	1.00	1,389.93	09/09/2021	1,175.05	0.00	214.88	Sell to Close
09/09/2021	3.00	6,209.79	09/09/2021	4,560.16	0.00	1,649.63	Sell to Close
09/09/2021	3.00	3,899.81	09/09/2021	3,525.16	0.00	374.65	Sell to Close
<b>Security Totals:</b>		<b>11,499.53</b>		<b>9,260.37</b>		<b>2,239.16</b>	
PUT TSLA 09/24/21 695 TESLA INC   CUSIP:   Symbol(Box 1a): TSLA210924P00695000							
09/20/2021	1.00	841.93	09/20/2021	520.05	0.00	321.88	Sell to Close
CALL UPST 09/17/21 220 UPSTART HOLDINGS INC   CUSIP:   Symbol(Box 1a): UPST210917C00220000							
08/26/2021	3.00	3,959.80	08/25/2021	5,670.16	0.00	-1,710.36	Sell to Close
CALL AMD 12/31/21 157.50 ADVANCED MICRO DEVICES INC   CUSIP:   Symbol(Box 1a): AMD211231C00157500							
12/23/2021	1.00	96.96	12/23/2021	88.02	0.00	8.94	Sell to Close
CALL UPST 09/17/21 210 UPSTART HOLDINGS INC   CUSIP:   Symbol(Box 1a): UPST210917C00210000							
08/24/2021	3.00	5,579.80	08/20/2021	5,430.16	0.00	149.64	Sell to Close

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APEX CLEARING

Proceeds from Broker and Barter Exchange Transactions

2021 Form 1099-B\*

5NK11077

(continued)

01/31/2022

OMB No. 1545-0715

SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

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

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

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Box 12: Basis Reported to the IRS

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

Date Sold or Disposed (Box 1c)	Quantity	Proceeds (Box 1d)	Date Acquired (Box 1b)	Cost or Other Basis (Box 1e)	Accrued Market Discount (M)(Box 1f) & Wash Sale Loss Disallowed (D)(Box 1g)	Gain or Loss(-)	Additional Notes
CALL ENPH 11/19/21 180 ENPHASE ENERGY INC   CUSIP:   Symbol(Box 1a): ENPH211119C00180000							
06/22/2021	1.00	2,089.92	06/21/2021	1,873.05	0.00	216.87	Sell to Close
CALL MRK 10/08/21 90 MERCK & CO INC   CUSIP:   Symbol(Box 1a): MRK211008C00090000							
10/04/2021	10.00	309.55	10/04/2021	280.42	0.00	29.13	Sell to Close
AFFIRM HOLDINGS INC CLASS A COMMON STOCK   CUSIP: 00827B106   Symbol(Box 1a): AFRM							
09/07/2021	100.00	9,267.94	08/30/2021	10,127.00	0.00	-859.06	Sale
CALL DDOG 01/21/22 110 DATADOG INC CL A   CUSIP:   Symbol(Box 1a): DDOG220121C00110000							
07/06/2021	1.00	1,369.93	06/30/2021	1,285.05	0.00	84.88	Sell to Close
07/28/2021	1.00	1,414.93	07/26/2021	1,325.05	0.00	89.88	Sell to Close
<b>Security Totals:</b>		<b>2,784.86</b>		<b>2,610.10</b>		<b>174.76</b>	
HALL OF FAME RESORT & ENTERTAINMENT COMPANY COMMON STOCK   CUSIP: 40619L102   Symbol(Box 1a): HOFV							
02/04/2021	50.00	155.98	02/04/2021	157.95	0.00	-1.97	Sale
PUT COIN 08/20/21 257.50 COINBASE GLOBAL INC   CUSIP:   Symbol(Box 1a): COIN210820P00257500							
08/17/2021	3.00	2,579.81	08/17/2021	2,070.16	0.00	509.65	Sell to Close
ZYNERBA PHARMACEUTICALS INC COM   CUSIP: 98986X109   Symbol(Box 1a): ZYNE							
02/10/2021	25.00	173.29	02/10/2021	177.00	0.00	-3.71	Sale
CALL SPCE 06/25/21 40 VIRGIN GALACTIC HOLDINGS INC   CUSIP:   Symbol(Box 1a): SPCE210625C00040000							
06/23/2021	5.00	1,049.71	06/23/2021	965.27	0.00	84.44	Sell to Close
U S WELL SERVICES INC CLASS A COMMON STOCK   CUSIP: 91274U101   Symbol(Box 1a): USWS							
02/18/2021	100.00	335.42	02/18/2021	330.00	0.00	5.42	Sale
ARCIMOTO INC COMMON STOCK   CUSIP: 039587100   Symbol(Box 1a): FUV							
07/13/2021	100.00	1,508.98	07/13/2021	1,499.00	0.00	9.98	Sale

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APEX CLEARING

## Proceeds from Broker and Barter Exchange Transactions

2021 Form 1099-B\*

5NK11077

(continued)

01/31/2022

OMB No. 1545-0715

**SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS**

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

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

Date Sold or Disposed (Box 1c)	Quantity	Proceeds (Box 1d)	Date Acquired (Box 1b)	Cost or Other Basis (Box 1e)	Accrued Market Discount (M)(Box 1f) & Wash Sale Loss Disallowed (D)(Box 1g)	Gain or Loss(-)	Additional Notes
CALL AFRM 10/15/21 155							
AFFIRM HOLDINGS INC CL A   CUSIP:   Symbol(Box 1a): AFRM211015C00155000							
10/15/2021	1.00	19.94	10/14/2021	313.04	0.00	-293.10	Sell to Close
CALL CRWD 09/17/21 260							
CROWDSTRIKE HOLDINGS INC CL A   CUSIP:   Symbol(Box 1a): CRWD210917C00260000							
08/26/2021	2.00	4,232.85	08/25/2021	4,670.11	0.00	-437.26	Sell to Close
PUT TSLA 08/20/21 665							
TESLA INC   CUSIP:   Symbol(Box 1a): TSLA210820P00665000							
08/17/2021	3.00	5,459.80	08/17/2021	4,470.16	0.00	989.64	Sell to Close
CALL ETSY 01/21/22 200							
ETSY INC   CUSIP:   Symbol(Box 1a): ETSY220121C00200000							
06/25/2021	1.00	2,019.92	06/23/2021	1,930.05	0.00	89.87	Sell to Close
07/23/2021	1.00	3,145.92	07/01/2021	2,935.05	0.00	210.87	Sell to Close
<b>Security Totals:</b>		<b>5,165.84</b>		<b>4,865.10</b>		<b>300.74</b>	
CALL SNOW 09/03/21 310							
SNOWFLAKE INC CLASS A   CUSIP:   Symbol(Box 1a): SNOW210903C00310000							
08/27/2021	5.00	1,414.71	08/27/2021	1,535.27	0.00	-120.56	Sell to Close
CALL TSLA 08/20/21 675							
TESLA INC   CUSIP:   Symbol(Box 1a): TSLA210820C00675000							
08/18/2021	4.00	6,799.74	08/18/2021	6,092.21	0.00	707.53	Sell to Close
CALL CRWD 01/21/22 270							
CROWDSTRIKE HOLDINGS INC CL A   CUSIP:   Symbol(Box 1a): CRWD220121C00270000							
08/02/2021	1.00	2,534.92	07/29/2021	3,180.05	0.00	-645.13	Sell to Close
ARTELO BIOSCIENCES INC							
COMMON STOCK   CUSIP: 04301G201   Symbol(Box 1a): ARTL							
02/12/2021	50.00	152.48	02/12/2021	160.00	7.52 D	0.00	Sale
02/12/2021	50.00	172.54	02/12/2021	183.52	10.98 D	0.00	Sale
02/12/2021	50.00	159.98	02/12/2021	173.48	0.00	-13.50	Sale
<b>Security Totals:</b>		<b>485.00</b>		<b>517.00</b>		<b>-13.50</b>	

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APEX CLEARING

Proceeds from Broker and Barter Exchange Transactions

2021 Form 1099-B\*

5NK11077

(continued)

01/31/2022

OMB No. 1545-0715

SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

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

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

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

Date Sold or Disposed (Box 1c)	Quantity	Proceeds (Box 1d)	Date Acquired (Box 1b)	Cost or Other Basis (Box 1e)	Accrued Market Discount (M)(Box 1f) & Wash Sale Loss Disallowed (D)(Box 1g)	Gain or Loss(-)	Additional Notes
***INSPIRA TECHNOLOGIES OXY B H N LTD ORDINARY SHARES   CUSIP: M53637100   Symbol(Box 1a): IINN							
10/26/2021	65.00	500.48	Various	484.04	0.00	16.44	Sale
11/01/2021	96.00	398.39	Various	600.94	0.00	-202.55	Sale
<b>Security Totals:</b>		<b>898.87</b>		<b>1,084.98</b>		<b>-186.11</b>	
PHIO PHARMACEUTICALS CORP COMMON STOCK   CUSIP: 71880W303   Symbol(Box 1a): PHIO							
02/16/2021	20.00	72.98	02/16/2021	73.80	0.00	-0.82	Sale
***ARYA SCIENCES ACQUISITION CORP III CLASS A ORDINARY SHARES   CUSIP: G3166W106   Symbol(Box 1a): ARYA							
02/08/2021	3.00	70.69	02/08/2021	76.29	0.00	-5.60	Sale
PUT SNOW 08/20/21 270 SNOWFLAKE INC CLASS A   CUSIP:   Symbol(Box 1a): SNOW210820P00270000							
08/06/2021	2.00	1,263.87	08/06/2021	1,720.11	0.00	-456.24	Sell to Close
CALL MTTR 01/21/22 17.50 MATTERPORT INC CLASS A   CUSIP:   Symbol(Box 1a): MTTR220121C00017500							
08/02/2021	2.00	519.87	07/30/2021	556.11	0.00	-36.24	Sell to Close
CALL BA 09/17/21 220 BOEING CO   CUSIP:   Symbol(Box 1a): BA210917C00220000							
09/10/2021	4.00	347.77	09/10/2021	404.21	0.00	-56.44	Sell to Close
CALL BFLY 01/21/22 15 BUTTERFLY NETWORK INC CL A   CUSIP:   Symbol(Box 1a): BFLY220121C00015000							
07/28/2021	2.00	145.87	07/26/2021	170.11	0.00	-24.24	Sell to Close
CALL SPCE 06/25/21 42 VIRGIN GALACTIC HOLDINGS INC   CUSIP:   Symbol(Box 1a): SPCE210625C00042000							
06/23/2021	3.00	290.82	06/23/2021	312.16	0.00	-21.34	Sell to Close
CALL TTD 01/21/22 80 TRADE DESK INC CLASS A   CUSIP:   Symbol(Box 1a): TTD220121C00080000							
06/29/2021	2.00	2,519.86	06/28/2021	2,368.11	0.00	151.75	Sell to Close
07/28/2021	1.00	1,499.93	07/26/2021	1,190.05	0.00	309.88	Sell to Close
<b>Security Totals:</b>		<b>4,019.79</b>		<b>3,558.16</b>		<b>461.63</b>	

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APEX CLEARING

Proceeds from Broker and Barter Exchange Transactions

2021 Form 1099-B\*

5NK11077

(continued)

01/31/2022

OMB No. 1545-0715

SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

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

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PUT ASAN 10/15/21 115 ASANA INC CL A   CUSIP:   Symbol(Box 1a): ASAN211015P00115000							
09/21/2021	2.00	1,659.88	09/21/2021	1,520.10	0.00	139.78	Sell to Close
PUT UPST 12/31/21 138 UPSTART HOLDINGS INC   CUSIP:   Symbol(Box 1a): UPST211231P00138000							
12/29/2021	1.00	99.96	12/29/2021	110.02	0.00	-10.06	Sell to Close
CALL ZM 01/21/22 400 ZOOM VIDEO COMMUNICATIONS INC   CUSIP:   Symbol(Box 1a): ZM220121C00400000							
07/26/2021	1.00	3,559.92	07/26/2021	3,420.05	0.00	139.87	Sell to Close
CALL MRNA 09/24/21 430 MODERNA INC   CUSIP:   Symbol(Box 1a): MRNA210924C00430000							
09/20/2021	2.00	2,469.87	09/16/2021	5,010.10	0.00	-2,540.23	Sell to Close
PUT SQ 08/20/21 267.50 SQUARE INC   CUSIP:   Symbol(Box 1a): SQ210820P00267500							
08/03/2021	1.00	784.93	08/03/2021	1,065.05	280.12 D	0.00	Sell to Close
08/12/2021	2.00	1,251.87	Various	1,720.23	0.00	-468.36	Sell to Close
<b>Security Totals:</b>		<b>2,036.80</b>		<b>2,785.28</b>		<b>-468.36</b>	
CALL PTON 01/21/22 140 PELOTON INTERACTIVE INC CL A   CUSIP:   Symbol(Box 1a): PTON220121C00140000							
06/24/2021	1.00	1,454.93	06/24/2021	1,255.05	0.00	199.88	Sell to Close
***NIO INC AMERICAN DEPOSITARY SHARES ECH RPRSNTNG ONE CL A ORD SHARE   CUSIP: 62914V106   Symbol(Box 1a): NIO							
04/21/2021	3.00	110.92	04/14/2021	110.52	0.00	0.40	Sale
05/20/2021	16.00	547.10	Various	541.78	0.00	5.32	Sale
<b>Security Totals:</b>		<b>658.02</b>		<b>652.30</b>		<b>5.72</b>	
CALL SE 08/20/21 320 SEA LTD   CUSIP:   Symbol(Box 1a): SE210820C00320000							
08/19/2021	1.00	924.93	08/19/2021	880.05	0.00	44.88	Sell to Close
CALL PTON 10/15/21 125 PELOTON INTERACTIVE INC CL A   CUSIP:   Symbol(Box 1a): PTON211015C00125000							
06/22/2021	1.00	954.93	06/18/2021	850.05	0.00	104.88	Sell to Close

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APEX CLEARING

Proceeds from Broker and Barter Exchange Transactions

2021 Form 1099-B\*

5NK11077

(continued)

01/31/2022

OMB No. 1545-0715

SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

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Date Sold or Disposed (Box 1c)	Quantity	Proceeds (Box 1d)	Date Acquired (Box 1b)	Cost or Other Basis (Box 1e)	Accrued Market Discount (M)(Box 1f) & Wash Sale Loss Disallowed (D)(Box 1g)	Gain or Loss(-)	Additional Notes
***GREENLAND TECHNOLOGIES HOLDING CORPORATION ORDINARY SHARES   CUSIP: G4095T107   Symbol(Box 1a): GTEC							
02/18/2021	10.00	236.58	02/18/2021	237.30	0.72 D	0.00	Sale
02/18/2021	20.00	442.67	Various	561.40	0.00	-118.73	Sale
02/18/2021	20.00	455.37	Various	495.72	40.35 D	0.00	Sale
<b>Security Totals:</b>		<b>1,134.62</b>		<b>1,294.42</b>		<b>-118.73</b>	
CALL PTON 10/15/21 130 PELOTON INTERACTIVE INC CL A   CUSIP:   Symbol(Box 1a): PTON211015C00130000							
06/22/2021	1.00	809.93	06/21/2021	605.05	0.00	204.88	Sell to Close
06/28/2021	1.00	1,324.93	06/28/2021	1,210.05	0.00	114.88	Sell to Close
<b>Security Totals:</b>		<b>2,134.86</b>		<b>1,815.10</b>		<b>319.76</b>	
PUT SE 09/17/21 320 SEA LTD   CUSIP:   Symbol(Box 1a): SE210917P00320000							
08/18/2021	2.00	3,915.86	08/18/2021	4,790.11	0.00	-874.25	Sell to Close
CALL SE 09/17/21 320 SEA LTD   CUSIP:   Symbol(Box 1a): SE210917C00320000							
08/18/2021	4.00	5,179.75	08/18/2021	5,080.21	0.00	99.54	Sell to Close
NVIDIA CORP   CUSIP: 67066G104   Symbol(Box 1a): NVDA							
07/13/2021	2.00	1,635.98	07/01/2021	1,611.90	0.00	24.08	Sale
CALL NVDA 09/03/21 230 NVIDIA CORPORATION   CUSIP:   Symbol(Box 1a): NVDA210903C00230000							
08/27/2021	5.00	1,149.71	08/27/2021	1,050.27	0.00	99.44	Sell to Close
PUT DOCU 08/20/21 285 DOCUSIGN INC   CUSIP:   Symbol(Box 1a): DOCU210820P00285000							
08/16/2021	5.00	2,474.70	08/16/2021	2,425.27	0.00	49.43	Sell to Close
CALL AMC 09/17/21 55 AMC ENTERTAINMENT HOLDINGS INC   CUSIP:   Symbol(Box 1a): AMC210917C00055000							
09/13/2021	4.00	715.77	09/13/2021	652.21	0.00	63.56	Sell to Close
CALL CRWD 08/20/21 265 CROWDSTRIKE HOLDINGS INC CL A   CUSIP:   Symbol(Box 1a): CRWD210820C00265000							
08/09/2021	1.00	724.93	08/09/2021	750.05	0.00	-25.12	Sell to Close

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APEX CLEARING

Proceeds from Broker and Barter Exchange Transactions

2021 Form 1099-B\*

5NK11077

(continued)

01/31/2022

OMB No. 1545-0715

SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

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

Date Sold or Disposed (Box 1c)	Quantity	Proceeds (Box 1d)	Date Acquired (Box 1b)	Cost or Other Basis (Box 1e)	Accrued Market Discount (M)(Box 1f) & Wash Sale Loss Disallowed (D)(Box 1g)	Gain or Loss(-)	Additional Notes
CALL IMGN 12/17/21 9 IMMUNOGEN INC   CUSIP:   Symbol(Box 1a): IMGN211217C00009000							
12/02/2021	1.00	4.96	12/01/2021	35.02	0.00	-30.06	Sell to Close
CALL ZM 08/20/21 430 ZOOM VIDEO COMMUNICATIONS INC   CUSIP:   Symbol(Box 1a): ZM210820C00430000							
07/29/2021	1.00	369.93	07/29/2021	571.05	0.00	-201.12	Sell to Close
PUT UPST 10/01/21 300 UPSTART HOLDINGS INC   CUSIP:   Symbol(Box 1a): UPST211001P00300000							
09/29/2021	1.00	139.93	09/28/2021	485.05	0.00	-345.12	Sell to Close
TORCHLIGHT ENERGY RESOURCES INC   CUSIP: 89102U103   Symbol(Box 1a): TRCH							
02/16/2021	25.00	113.48	02/16/2021	115.50	0.00	-2.02	Sale
CALL ETSY 08/20/21 195 ETSY INC   CUSIP:   Symbol(Box 1a): ETSY210820C00195000							
08/17/2021	5.00	1,259.71	08/17/2021	1,625.27	0.00	-365.56	Sell to Close
CALL CRWD 01/21/22 300 CROWDSTRIKE HOLDINGS INC CL A   CUSIP:   Symbol(Box 1a): CRWD220121C00300000							
06/29/2021	1.00	1,924.93	06/24/2021	1,912.05	0.00	12.88	Sell to Close
07/23/2021	1.00	2,269.92	07/13/2021	2,235.05	0.00	34.87	Sell to Close
07/28/2021	2.00	4,019.85	Various	3,775.10	0.00	244.75	Sell to Close
08/05/2021	1.00	1,964.92	08/03/2021	1,839.05	0.00	125.87	Sell to Close
<b>Security Totals:</b>		<b>10,179.62</b>		<b>9,761.25</b>		<b>418.37</b>	
PUT ARKK 08/20/21 118 ARK INNOVATION ETF   CUSIP:   Symbol(Box 1a): ARKK210820P00118000							
07/15/2021	2.00	1,319.87	07/15/2021	1,280.11	0.00	39.76	Sell to Close
PUT COIN 09/17/21 240 COINBASE GLOBAL INC   CUSIP:   Symbol(Box 1a): COIN210917P00240000							
08/19/2021	2.00	2,699.86	08/19/2021	2,680.11	0.00	19.75	Sell to Close
CALL DKNG 01/21/22 50 DRAFTKINGS INC CL A   CUSIP:   Symbol(Box 1a): DKNG220121C00050000							
07/09/2021	1.00	734.93	07/08/2021	724.05	0.00	10.88	Sell to Close

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APEX CLEARING

## Proceeds from Broker and Barter Exchange Transactions

2021 Form 1099-B\*

5NK11077

(continued)

01/31/2022

OMB No. 1545-0715

**SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS**

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

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

Date Sold or Disposed (Box 1c)	Quantity	Proceeds (Box 1d)	Date Acquired (Box 1b)	Cost or Other Basis (Box 1e)	Accrued Market Discount (M)(Box 1f) & Wash Sale Loss Disallowed (D)(Box 1g)	Gain or Loss(-)	Additional Notes
CALL COIN 09/17/21	240	COINBASE GLOBAL INC   CUSIP:   Symbol(Box 1a): COIN210917C00240000					
08/23/2021	2.00	5,979.84	08/20/2021	5,253.11	0.00	726.73	Sell to Close
PUT HOOD 08/20/21	55	ROBINHOOD MARKET INC   CUSIP:   Symbol(Box 1a): HOOD210820P00055000					
08/05/2021	1.00	719.93	08/05/2021	746.05	0.00	-26.12	Sell to Close
CALL AFRM 10/08/21	165	AFFIRM HOLDINGS INC CL A   CUSIP:   Symbol(Box 1a): AFRM211008C00165000					
10/07/2021	1.00	15.94	10/07/2021	62.04	0.00	-46.10	Sell to Close
CALL UPST 08/20/21	180	UPSTART HOLDINGS INC   CUSIP:   Symbol(Box 1a): UPST210820C00180000					
08/12/2021	2.00	1,513.87	08/12/2021	1,470.11	0.00	43.76	Sell to Close
CALL NVDA 07/02/21	825	NVIDIA CORP   CUSIP:   Symbol(Box 1a): NVDA210702C00825000					
07/01/2021	1.00	241.93	07/01/2021	231.05	0.00	10.88	Sell to Close
CALL UPST 08/20/21	185	UPSTART HOLDINGS INC   CUSIP:   Symbol(Box 1a): UPST210820C00185000					
08/12/2021	8.00	5,839.53	Various	4,870.43	0.00	969.10	Sell to Close
CALL AAPL 09/10/21	155	APPLE INC   CUSIP:   Symbol(Box 1a): AAPL210910C00155000					
08/30/2021	2.00	203.87	08/30/2021	196.11	0.00	7.76	Sell to Close
***EPSILON ENERGY LTD		COM NEW   CUSIP: 294375209   Symbol(Box 1a): EPSN					
02/12/2021	20.00	149.58	Various	168.20	0.00	-18.62	Sale
CALL AVIR 10/15/21	40	ATE PHARMACEUTICAL INC   CUSIP:   Symbol(Box 1a): AVIR211015C00040000					
09/30/2021	1.00	224.93	09/30/2021	233.05	0.00	-8.12	Sell to Close
PUT MRNA 09/17/21	450	MODERNA INC   CUSIP:   Symbol(Box 1a): MRNA210917P00450000					
09/15/2021	2.00	5,799.86	09/15/2021	5,314.10	0.00	485.76	Sell to Close
PUT SENS 07/16/21	6	SENSEONICS HOLDINGS INC   CUSIP:   Symbol(Box 1a): SENS210716P00006000					
06/17/2021	1.00	254.93	06/17/2021	270.05	0.00	-15.12	Sell to Close

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APEX CLEARING

Proceeds from Broker and Barter Exchange Transactions

2021 Form 1099-B\*

5NK11077

(continued)

01/31/2022

OMB No. 1545-0715

SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

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

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

Box 5: Box Not Checked (Covered Security)

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

Box 12: Basis Reported to the IRS

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

Date Sold or Disposed (Box 1c)	Quantity	Proceeds (Box 1d)	Date Acquired (Box 1b)	Cost or Other Basis (Box 1e)	Accrued Market Discount (M)(Box 1f) & Wash Sale Loss Disallowed (D)(Box 1g)	Gain or Loss(-)	Additional Notes
CALL NVDA 01/21/22	250	NVIDIA CORPORATION	ADJ 4:1 STOCK SPLIT   CUSIP:   Symbol(Box 1a): NVDA220121C00250000				
07/23/2021	1.00	589.93	07/21/2021	580.05	0.00	9.88	Sell to Close
CALL CRWD 10/15/21	300	CROWDSTRIKE HOLDINGS INC CL A   CUSIP:   Symbol(Box 1a): CRWD211015C00300000					
09/01/2021	2.00	1,420.88	08/30/2021	2,780.11	0.00	-1,359.23	Sell to Close
CALL CCMP 12/17/21	200	CMC MATERIALS INC   CUSIP:   Symbol(Box 1a): CCMP211217C00200000					
12/15/2021	1.00	54.96	12/15/2021	50.02	0.00	4.94	Sell to Close
PUT TSLA 09/17/21	690	TESLA INC   CUSIP:   Symbol(Box 1a): TSLA210917P00690000					
09/10/2021	3.00	1,559.82	09/10/2021	1,800.16	0.00	-240.34	Sell to Close
PUT DDOG 08/20/21	127	DATADOG INC CL A   CUSIP:   Symbol(Box 1a): DDOG210820P00127000					
08/10/2021	3.00	1,184.82	08/10/2021	1,140.16	0.00	44.66	Sell to Close
CALL CPNG 01/21/22	40	COUPANG INC   CUSIP:   Symbol(Box 1a): CPNG220121C00040000					
07/09/2021	1.00	629.93	07/08/2021	520.05	0.00	109.88	Sell to Close
CALL CRWD 10/15/21	290	CROWDSTRIKE HOLDINGS INC CL A   CUSIP:   Symbol(Box 1a): CRWD211015C00290000					
06/18/2021	1.00	914.93	06/18/2021	875.05	0.00	39.88	Sell to Close
ARK ETF TRUST		ARK INNOVATION ETF   CUSIP: 00214Q104   Symbol(Box 1a): ARKK					
05/27/2021	2.00	223.78	05/26/2021	223.03	0.00	0.75	Sale
CALL MRNA 09/17/21	420	MODERNA INC   CUSIP:   Symbol(Box 1a): MRNA210917C00420000					
08/26/2021	2.00	3,479.86	08/25/2021	5,190.11	1710.25 D	0.00	Sell to Close
09/14/2021	2.00	2,849.87	09/14/2021	5,210.35	0.00	-2,360.48	Sell to Close
<b>Security Totals:</b>		<b>6,329.73</b>		<b>10,400.46</b>		<b>-2,360.48</b>	
CALL MSFT 09/03/21	302.50	MICROSOFT CORP   CUSIP:   Symbol(Box 1a): MSFT210903C00302500					
08/27/2021	10.00	1,739.44	08/27/2021	1,660.53	0.00	78.91	Sell to Close

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APEX CLEARING

## Proceeds from Broker and Barter Exchange Transactions

2021 Form 1099-B\*

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(continued)

01/31/2022

OMB No. 1545-0715

**SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS**

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

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

Date Sold or Disposed (Box 1c)	Quantity	Proceeds (Box 1d)	Date Acquired (Box 1b)	Cost or Other Basis (Box 1e)	Accrued Market Discount (M)(Box 1f) & Wash Sale Loss Disallowed (D)(Box 1g)	Gain or Loss(-)	Additional Notes
AMC ENTERTAINMENT HOLDINGS INC CL A COM   CUSIP: 00165C104   Symbol(Box 1a): AMC							
01/29/2021	10.00	133.98	01/28/2021	121.90	0.00	12.08	Sale
02/22/2021	50.00	306.04	02/22/2021	305.50	0.00	0.54	Sale
03/12/2021	19.00	207.12	Various	208.81	0.99 D	-0.70	Sale
03/26/2021	10.00	114.78	03/25/2021	112.69	0.00	2.09	Sale
05/28/2021	8.00	228.78	05/28/2021	223.20	0.00	5.58	Sale
06/02/2021	4.00	257.18	06/02/2021	268.40	11.22 D	0.00	Sale
06/02/2021	10.00	509.98	06/02/2021	434.30	0.00	75.68	Sale
06/03/2021	4.00	266.86	06/03/2021	263.38	0.00	3.48	Sale
06/04/2021	14.00	739.78	Various	741.86	3.19 D	1.11	Sale
06/07/2021	5.00	269.26	06/07/2021	244.15	0.00	25.11	Sale
06/10/2021	10.00	472.39	Various	505.39	33.00 D	0.00	Sale
06/11/2021	10.00	464.39	Various	517.40	0.00	-53.01	Sale
07/27/2021	100.00	3,823.97	07/16/2021	3,723.50	0.00	100.47	Sale
<b>Security Totals:</b>		<b>7,794.51</b>		<b>7,670.48</b>		<b>172.43</b>	
PUT HOOD 08/20/21 50 ROBINHOOD MARKET INC   CUSIP:   Symbol(Box 1a): HOOD210820P00050000							
08/06/2021	1.00	469.93	08/05/2021	460.05	0.00	9.88	Sell to Close
08/06/2021	2.00	1,013.87	08/06/2021	1,140.11	0.00	-126.24	Sell to Close
<b>Security Totals:</b>		<b>1,483.80</b>		<b>1,600.16</b>		<b>-116.36</b>	

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APEX CLEARING

## Proceeds from Broker and Barter Exchange Transactions

2021 Form 1099-B\*

5NK11077

(continued)

01/31/2022

OMB No. 1545-0715

## SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

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

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

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

Date Sold or Disposed (Box 1c)	Quantity	Proceeds (Box 1d)	Date Acquired (Box 1b)	Cost or Other Basis (Box 1e)	Accrued Market Discount (M)(Box 1f) & Wash Sale Loss Disallowed (D)(Box 1g)	Gain or Loss(-)	Additional Notes
CALL ETSY 12/17/21 230 ETSY INC   CUSIP:   Symbol(Box 1a): ETSY211217C00230000							
08/02/2021	1.00	1,004.93	07/26/2021	1,675.05	0.00	-670.12	Sell to Close
CALL LMND 12/17/21 110 LEMONADE INC   CUSIP:   Symbol(Box 1a): LMND211217C00110000							
08/02/2021	1.00	853.93	07/02/2021	1,930.05	0.00	-1,076.12	Sell to Close
TESLA INC COMMON STOCK   CUSIP: 88160R101   Symbol(Box 1a): TSLA							
02/25/2021	1.00	714.59	02/23/2021	661.54	0.00	53.05	Sale
03/05/2021	3.00	1,722.46	Various	1,926.52	204.06 D	0.00	Sale
04/01/2021	3.00	2,001.18	Various	2,155.11	104.13 D	-49.80	Sale
06/24/2021	2.00	1,358.82	Various	1,414.06	0.00	-55.24	Sale
<b>Security Totals:</b>		<b>5,797.05</b>		<b>6,157.23</b>		<b>-51.99</b>	
PUT TSLA 10/08/21 770 TESLA INC   CUSIP:   Symbol(Box 1a): TSLA211008P00770000							
09/29/2021	1.00	1,581.93	09/28/2021	2,010.05	0.00	-428.12	Sell to Close
PALANTIR TECHNOLOGIES INC CLASS A COMMON STOCK   CUSIP: 69608A108   Symbol(Box 1a): PLTR							
05/27/2021	3.00	66.97	05/26/2021	66.03	0.00	0.94	Sale
07/23/2021	3.00	64.83	07/19/2021	62.70	0.00	2.13	Sale
<b>Security Totals:</b>		<b>131.80</b>		<b>128.73</b>		<b>3.07</b>	
PUT CRWD 09/17/21 255 CROWDSTRIKE HOLDINGS INC CL A   CUSIP:   Symbol(Box 1a): CRWD210917P00255000							
09/13/2021	4.00	2,019.76	09/13/2021	3,428.21	0.00	-1,408.45	Sell to Close
PUT UBER 10/01/21 45 UBER TECHNOLOGIES INC   CUSIP:   Symbol(Box 1a): UBER211001P00045000							
09/23/2021	7.00	643.61	09/23/2021	812.37	0.00	-168.76	Sell to Close
PUT ASAN 01/21/22 50 ASANA INC CL A   CUSIP:   Symbol(Box 1a): ASAN220121P00050000							
12/20/2021	1.00	79.96	12/20/2021	70.02	0.00	9.94	Sell to Close

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APEX CLEARING

## Proceeds from Broker and Barter Exchange Transactions

2021 Form 1099-B\*

5NK11077

(continued)

01/31/2022

OMB No. 1545-0715

## SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

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

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

Date Sold or Disposed (Box 1c)	Quantity	Proceeds (Box 1d)	Date Acquired (Box 1b)	Cost or Other Basis (Box 1e)	Accrued Market Discount (M)(Box 1f) & Wash Sale Loss Disallowed (D)(Box 1g)	Gain or Loss(-)	Additional Notes
CALL SPCE 10/15/21 40 VIRGIN GALACTIC HOLDINGS INC   CUSIP:   Symbol(Box 1a): SPCE211015C00040000							
06/17/2021	1.00	759.93	06/17/2021	755.05	0.00	4.88	Sell to Close
CALL AFRM 10/08/21 116 AFFIRM HOLDINGS INC CL A   CUSIP:   Symbol(Box 1a): AFRM211008C00116000							
10/05/2021	1.00	284.94	10/05/2021	247.04	0.00	37.90	Sell to Close
ATLANTIC AMERICAN CORP   CUSIP: 048209100   Symbol(Box 1a): AAME							
02/05/2021	5.00	64.28	02/05/2021	77.00	0.00	-12.72	Sale
ELYS GAME TECHNOLOGY CORP COMMON STOCK   CUSIP: 290734102   Symbol(Box 1a): ELYS							
08/31/2021	160.00	988.77	08/31/2021	1,007.98	0.00	-19.21	Sale
CALL MRNA 09/03/21 405 MODERNA INC   CUSIP:   Symbol(Box 1a): MRNA210903C00405000							
09/02/2021	1.00	151.93	09/02/2021	423.05	0.00	-271.12	Sell to Close
COINBASE GLOBAL INC CLASS A COMMON STOCK   CUSIP: 19260Q107   Symbol(Box 1a): COIN							
05/18/2021	4.00	956.58	Various	1,307.97	0.00	-351.39	Sale
AMERICAN RESOURCES CORPORATION CLASS A COMMON SHARES   CUSIP: 02927U208   Symbol(Box 1a): AREC							
02/02/2021	20.00	72.38	02/02/2021	75.96	3.58 D	0.00	Sale
02/03/2021	1.00	4.46	02/03/2021	4.90	0.44 D	0.00	Sale
02/04/2021	10.00	49.58	02/04/2021	52.58	0.00	-3.00	Sale
02/04/2021	15.00	72.43	Various	78.23	0.00	-5.80	Sale
03/17/2021	50.00	264.98	03/17/2021	273.48	0.00	-8.50	Sale
<b>Security Totals:</b>		<b>463.83</b>		<b>485.15</b>		<b>-17.30</b>	
CALL UPST 08/20/21 305 UPSTART HOLDINGS INC   CUSIP:   Symbol(Box 1a): UPST210820C00305000							
08/17/2021	3.00	29.82	08/17/2021	60.16	0.00	-30.34	Sell to Close

APEX CLEARING

Proceeds from Broker and Barter Exchange Transactions

2021 Form 1099-B\*

5NK11077

(continued)

01/31/2022

OMB No. 1545-0715

SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

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

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

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

Date Sold or Disposed (Box 1c)	Quantity	Proceeds (Box 1d)	Date Acquired (Box 1b)	Cost or Other Basis (Box 1e)	Accrued Market Discount (M)(Box 1f) & Wash Sale Loss Disallowed (D)(Box 1g)	Gain or Loss(-)	Additional Notes
CALL UPST 08/20/21 210 UPSTART HOLDINGS INC   CUSIP:   Symbol(Box 1a): UPST210820C00210000							
08/16/2021	4.00	5,411.75	08/16/2021	4,080.21	0.00	1,331.54	Sell to Close
PUT UPST 08/20/21 210 UPSTART HOLDINGS INC   CUSIP:   Symbol(Box 1a): UPST210820P00210000							
08/16/2021	3.00	3,785.81	08/16/2021	4,050.16	176.23 D	-88.12	Sell to Close
08/16/2021	2.00	3,675.86	08/16/2021	3,616.34	0.00	59.52	Sell to Close
<b>Security Totals:</b>		<b>7,461.67</b>		<b>7,666.50</b>		<b>-28.60</b>	
PUT BBBY 11/05/21 23 BED BATH & BEYOND INC   CUSIP:   Symbol(Box 1a): BBBY211105P00023000							
11/03/2021	1.00	319.94	11/03/2021	291.04	0.00	28.90	Sell to Close
CALL UPST 08/20/21 200 UPSTART HOLDINGS INC   CUSIP:   Symbol(Box 1a): UPST210820C00200000							
08/13/2021	2.00	1,459.87	08/13/2021	1,680.11	220.24 D	0.00	Sell to Close
08/13/2021	4.00	4,239.75	Various	4,020.45	0.00	219.30	Sell to Close
<b>Security Totals:</b>		<b>5,699.62</b>		<b>5,700.56</b>		<b>219.30</b>	
CALL COIN 01/20/23 500 COINBASE GLOBAL INC   CUSIP:   Symbol(Box 1a): COIN230120C00500000							
08/05/2021	1.00	2,370.92	08/05/2021	2,117.05	0.00	253.87	Sell to Close
CALL GOEV 09/24/21 7 CANOO INC CL A   CUSIP:   Symbol(Box 1a): GOEV210924C00007000							
09/23/2021	14.00	629.23	09/23/2021	980.73	0.00	-351.50	Sell to Close
CHURCHILL CAPITAL CORP IV CLASS A COMMON STOCK   CUSIP: 171439102   Symbol(Box 1a): CCIV							
02/12/2021	5.00	204.33	02/12/2021	211.11	0.00	-6.78	Sale
02/12/2021	10.00	399.48	Various	402.70	2.82 D	-0.40	Sale
02/12/2021	10.00	390.68	Various	380.50	0.00	10.18	Sale
02/23/2021	4.00	154.02	02/23/2021	152.76	0.00	1.26	Sale
05/20/2021	7.00	137.32	Various	134.56	0.00	2.76	Sale
<b>Security Totals:</b>		<b>1,285.83</b>		<b>1,281.63</b>		<b>7.02</b>	

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APEX CLEARING

## Proceeds from Broker and Barter Exchange Transactions

2021 Form 1099-B\*

5NK11077

(continued)

01/31/2022

OMB No. 1545-0715

**SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS**

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

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

Date Sold or Disposed (Box 1c)	Quantity	Proceeds (Box 1d)	Date Acquired (Box 1b)	Cost or Other Basis (Box 1e)	Accrued Market Discount (M)(Box 1f) & Wash Sale Loss Disallowed (D)(Box 1g)	Gain or Loss(-)	Additional Notes
RELIANCE GLOBAL GROUP INC COMMON STOCK   CUSIP: 75946W207   Symbol(Box 1a): RELI							
05/13/2021	39.00	156.37	05/13/2021	170.82	0.00	-14.45	Sale
CALL SE 08/20/21 315 SEA LTD   CUSIP:   Symbol(Box 1a): SE210820C00315000							
08/13/2021	2.00	2,013.86	08/13/2021	2,560.11	0.00	-546.25	Sell to Close
CALL ZM 08/20/21 390 ZOOM VIDEO COMMUNICATIONS INC   CUSIP:   Symbol(Box 1a): ZM210820C00390000							
07/29/2021	2.00	3,895.86	07/29/2021	3,067.11	0.00	828.75	Sell to Close
PUT UPST 09/17/21 300 UPSTART HOLDINGS INC   CUSIP:   Symbol(Box 1a): UPST210917P00300000							
09/10/2021	1.00	2,409.92	09/10/2021	2,360.05	0.00	49.87	Sell to Close
***ORGANIGRAM HOLDINGS INC COMMON   CUSIP: 68620P101   Symbol(Box 1a): OGI							
02/12/2021	100.00	422.98	Various	437.95	0.00	-14.97	Sale
WASHINGTON PRIME GROUP INC COMMON SHARES   CUSIP: 93964W405   Symbol(Box 1a): WPG							
06/01/2021	15.00	84.58	06/01/2021	82.50	0.00	2.08	Sale
CELSION CORPORATION COMMON STOCK   CUSIP: 15117N503   Symbol(Box 1a): CLSN							
02/22/2021	50.00	143.98	02/22/2021	177.01	0.00	-33.03	Sale
02/22/2021	100.00	301.98	02/22/2021	351.00	24.51 D	-24.51	Sale
<b>Security Totals:</b>		<b>445.96</b>		<b>528.01</b>		<b>-57.54</b>	
COMSTOCK MINING INC COMMON STOCK   CUSIP: 205750300   Symbol(Box 1a): LODE							
02/01/2021	25.00	86.48	02/01/2021	88.97	1 D	-1.49	Sale
02/19/2021	10.00	59.18	02/19/2021	58.10	0.00	1.08	Sale
<b>Security Totals:</b>		<b>145.66</b>		<b>147.07</b>		<b>-0.41</b>	
VACCINEX INC COMMON STOCK   CUSIP: 918640103   Symbol(Box 1a): VCNX							
02/19/2021	50.00	466.58	Various	437.78	0.00	28.80	Sale

APEX CLEARING

## Proceeds from Broker and Barter Exchange Transactions

2021 Form 1099-B\*

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(continued)

01/31/2022

OMB No. 1545-0715

**SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS**

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

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Date Sold or Disposed (Box 1c)	Quantity	Proceeds (Box 1d)	Date Acquired (Box 1b)	Cost or Other Basis (Box 1e)	Accrued Market Discount (M)(Box 1f) & Wash Sale Loss Disallowed (D)(Box 1g)	Gain or Loss(-)	Additional Notes
CALL VYGR 10/15/21	2.50	VOYAGER THERAPEUTICS INC   CUSIP:   Symbol(Box 1a): VYGR211015C00002500					
10/06/2021	2.00	265.90	10/06/2021	350.08	0.00	-84.18	Sell to Close
CALL NVDA 07/09/21	812.50	NVIDIA CORP   CUSIP:   Symbol(Box 1a): NVDA210709C00812500					
07/01/2021	1.00	1,529.94	07/01/2021	1,375.05	0.00	154.89	Sell to Close
CALL TTD 01/21/22	76	TRADE DESK INC CLASS A ADJ 10:1 STOCK SPLIT   CUSIP:   Symbol(Box 1a): TTD220121C00076000					
06/24/2021	2.00	2,439.86	06/24/2021	1,790.11	0.00	649.75	Sell to Close
CALL BBIG 10/15/21	7.50	VINCO VENTURES INC   CUSIP:   Symbol(Box 1a): BBIG211015C00007500					
10/13/2021	7.00	307.68	10/13/2021	294.30	0.00	13.38	Sell to Close
CALL UPST 09/17/21	260	UPSTART HOLDINGS INC   CUSIP:   Symbol(Box 1a): UPST210917C00260000					
09/13/2021	4.00	7,639.74	09/13/2021	6,360.21	0.00	1,279.53	Sell to Close
CALL SE 01/21/22	300	SEA LTD   CUSIP:   Symbol(Box 1a): SE220121C00300000					
08/02/2021	1.00	2,679.92	07/29/2021	3,095.05	0.00	-415.13	Sell to Close
PUT UPST 09/17/21	260	UPSTART HOLDINGS INC   CUSIP:   Symbol(Box 1a): UPST210917P00260000					
09/17/2021	20.00	130.91	Various	9,003.04	0.00	-8,872.13	Sell to Close
CALL SE 09/17/21	300	SEA LTD   CUSIP:   Symbol(Box 1a): SE210917C00300000					
08/24/2021	2.00	4,599.85	08/20/2021	5,440.11	0.00	-840.26	Sell to Close
PUT SE 09/17/21	300	SEA LTD   CUSIP:   Symbol(Box 1a): SE210917P00300000					
08/27/2021	3.00	1,358.82	08/27/2021	1,425.16	0.00	-66.34	Sell to Close
PUT CRWD 08/20/21	260	CROWDSTRIKE HOLDINGS INC CL A   CUSIP:   Symbol(Box 1a): CRWD210820P00260000					
08/06/2021	2.00	1,879.87	08/06/2021	1,614.11	0.00	265.76	Sell to Close
GENWORTH FINANCIAL INC		COM CL A   CUSIP: 37247D106   Symbol(Box 1a): GNW					
02/09/2021	2.00	7.46	Various	7.40	0.00	0.06	Sale

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APEX CLEARING

## Proceeds from Broker and Barter Exchange Transactions

2021 Form 1099-B\*

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(continued)

01/31/2022

OMB No. 1545-0715

**SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS**

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

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

Date Sold or Disposed (Box 1c)	Quantity	Proceeds (Box 1d)	Date Acquired (Box 1b)	Cost or Other Basis (Box 1e)	Accrued Market Discount (M)(Box 1f) & Wash Sale Loss Disallowed (D)(Box 1g)	Gain or Loss(-)	Additional Notes
PUT SPY 10/15/21 450 STANDARD & POORS DEPOSITORY   CUSIP:   Symbol(Box 1a): SPY211015P00450000							
09/10/2021	2.00	1,847.88	09/10/2021	1,780.10	0.00	67.78	Sell to Close
CALL ROKU 08/20/21 410 ROKU INC   CUSIP:   Symbol(Box 1a): ROKU210820C00410000							
08/05/2021	1.00	1,639.93	08/05/2021	1,791.05	0.00	-151.12	Sell to Close
***SUNDIAL GROWERS INC COM   CUSIP: 86730L109   Symbol(Box 1a): SNDL							
02/03/2021	25.00	31.11	02/03/2021	31.75	0.64 D	0.00	Sale
02/12/2021	50.00	114.48	Various	105.64	0.00	8.84	Sale
<b>Security Totals:</b>		<b>145.59</b>		<b>137.39</b>		<b>8.84</b>	
PUT MRNA 09/10/21 400 MODERNA INC   CUSIP:   Symbol(Box 1a): MRNA210910P00400000							
09/09/2021	5.00	289.72	09/08/2021	1,130.26	0.00	-840.54	Sell to Close
PUT NFLX 09/17/21 630 NETFLIX INC   CUSIP:   Symbol(Box 1a): NFLX210917P00630000							
09/10/2021	1.00	3,569.92	09/10/2021	3,500.05	0.00	69.87	Sell to Close
CALL MRNA 08/20/21 400 MODERNA INC   CUSIP:   Symbol(Box 1a): MRNA210820C00400000							
07/20/2021	1.00	1,044.93	07/20/2021	975.05	0.00	69.88	Sell to Close
MEXCO ENERGY CORP   CUSIP: 592770101   Symbol(Box 1a): MXC							
02/10/2021	20.00	249.98	02/10/2021	278.60	0.00	-28.62	Sale
PUT TSLA 08/20/21 680 TESLA INC   CUSIP:   Symbol(Box 1a): TSLA210820P00680000							
08/19/2021	6.00	6,137.63	Various	6,480.32	0.00	-342.69	Sell to Close
PUT LMND 08/20/21 88 LEMONADE INC   CUSIP:   Symbol(Box 1a): LMND210820P00088000							
08/03/2021	1.00	689.93	08/03/2021	740.05	0.00	-50.12	Sell to Close
CALL FUV 12/17/21 15 ARCIMOTO INC   CUSIP:   Symbol(Box 1a): FUV211217C00015000							
06/17/2021	1.00	489.93	06/16/2021	460.05	0.00	29.88	Sell to Close
SOCKET MOBILE INC   CUSIP: 83368E200   Symbol(Box 1a): SCKT							
02/18/2021	30.00	429.97	Various	453.20	0.00	-23.23	Sale

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APEX CLEARING

Proceeds from Broker and Barter Exchange Transactions

2021 Form 1099-B\*

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01/31/2022

OMB No. 1545-0715

SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

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

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

Box 5: Box Not Checked (Covered Security)

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

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

Date Sold or Disposed (Box 1c)	Quantity	Proceeds (Box 1d)	Date Acquired (Box 1b)	Cost or Other Basis (Box 1e)	Accrued Market Discount (M)(Box 1f) & Wash Sale Loss Disallowed (D)(Box 1g)	Gain or Loss(-)	Additional Notes
CALL DLO 09/17/21 95 DLOCAL LTD   CUSIP:   Symbol(Box 1a): DLO210917C00095000							
08/27/2021	6.00	95.66	08/27/2021	180.32	0.00	-84.66	Sell to Close
CALL HUT 09/17/21 12.50 HUT 8 MINING CORP   CUSIP:   Symbol(Box 1a): HUT210917C00012500							
09/03/2021	4.00	235.77	09/03/2021	216.21	0.00	19.56	Sell to Close
CALL UPST 09/10/21 280 UPSTART HOLDINGS INC   CUSIP:   Symbol(Box 1a): UPST210910C00280000							
09/08/2021	2.00	1,019.88	09/08/2021	900.10	0.00	119.78	Sell to Close
PUT CRWD 08/20/21 270 CROWDSTRIKE HOLDINGS INC CL A   CUSIP:   Symbol(Box 1a): CRWD210820P00270000							
07/15/2021	1.00	2,519.92	07/15/2021	2,470.05	0.00	49.87	Sell to Close
CALL SQ 07/23/21 252.50 SQUARE INC   CUSIP:   Symbol(Box 1a): SQ210723C00252500							
07/07/2021	1.00	799.93	06/29/2021	1,030.05	0.00	-230.12	Sell to Close
LEMONADE INC COMMON STOCK   CUSIP: 52567D107   Symbol(Box 1a): LMND							
03/19/2021	1.00	99.68	03/18/2021	98.84	0.00	0.84	Sale
04/16/2021	3.00	263.20	04/15/2021	261.15	0.00	2.05	Sale
05/19/2021	3.00	211.93	05/12/2021	184.80	0.00	27.13	Sale
<b>Security Totals:</b>		<b>574.81</b>		<b>544.79</b>		<b>30.02</b>	
CALL AMC 08/20/21 37 AMC ENTERTAINMENT HOLDINGS INC   CUSIP:   Symbol(Box 1a): AMC210820C00037000							
07/27/2021	1.00	164.88	07/16/2021	0.00	0.00	164.88	Buy to Close
CALL SQ 08/20/21 285 SQUARE INC   CUSIP:   Symbol(Box 1a): SQ210820C00285000							
08/05/2021	2.00	2,479.86	08/05/2021	2,160.11	0.00	319.75	Sell to Close
PUT SQ 08/20/21 275 SQUARE INC   CUSIP:   Symbol(Box 1a): SQ210820P00275000							
08/06/2021	2.00	1,619.87	08/06/2021	1,724.11	0.00	-104.24	Sell to Close

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APEX CLEARING

## Proceeds from Broker and Barter Exchange Transactions

2021 Form 1099-B\*

5NK11077

(continued)

01/31/2022

OMB No. 1545-0715

## SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

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

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

Date Sold or Disposed (Box 1c)	Quantity	Proceeds (Box 1d)	Date Acquired (Box 1b)	Cost or Other Basis (Box 1e)	Accrued Market Discount (M)(Box 1f) & Wash Sale Loss Disallowed (D)(Box 1g)	Gain or Loss(-)	Additional Notes
PUT COIN 08/20/21 270 COINBASE GLOBAL INC   CUSIP:   Symbol(Box 1a): COIN210820P00270000							
08/10/2021	2.00	3,059.86	08/10/2021	3,100.11	0.00	-40.25	Sell to Close
CALL COIN 08/20/21 275 COINBASE GLOBAL INC   CUSIP:   Symbol(Box 1a): COIN210820C00275000							
08/09/2021	4.00	7,707.74	Various	6,710.22	0.00	997.52	Sell to Close
PUT MRNA 10/08/21 305 MODERNA INC   CUSIP:   Symbol(Box 1a): MRNA211008P00305000							
10/01/2021	2.00	541.90	10/01/2021	1,780.08	0.00	-1,238.18	Sell to Close
CALL AFRM 01/21/22 110 AFFIRM HOLDINGS INC CL A   CUSIP:   Symbol(Box 1a): AFRM220121C00110000							
09/10/2021	1.00	2,299.92	09/10/2021	1,966.05	0.00	333.87	Sell to Close
CALL LMND 01/21/22 120 LEMONADE INC   CUSIP:   Symbol(Box 1a): LMND220121C00120000							
06/18/2021	1.00	1,419.93	06/16/2021	1,390.05	0.00	29.88	Sell to Close
CALL CRWD 08/20/21 250 CROWDSTRIKE HOLDINGS INC CL A   CUSIP:   Symbol(Box 1a): CRWD210820C00250000							
08/13/2021	3.00	1,165.82	08/13/2021	1,485.16	0.00	-319.34	Sell to Close
CALL DLO 02/18/22 55 DLOCAL LTD   CUSIP:   Symbol(Box 1a): DLO220218C00055000							
08/02/2021	1.00	589.93	07/13/2021	1,040.05	0.00	-450.12	Sell to Close
ALJ REGIONAL HOLDINGS INC   CUSIP: 001627108   Symbol(Box 1a): ALJJ							
02/16/2021	50.00	134.23	02/16/2021	131.00	0.00	3.23	Sale
CALL QS 09/24/21 26 QUANTUMSCAPE CORPORATION CL A   CUSIP:   Symbol(Box 1a): QS210924C00026000							
09/23/2021	1.00	107.93	09/23/2021	105.05	0.00	2.88	Sell to Close
CALL DLO 02/18/22 100 DLOCAL LTD   CUSIP:   Symbol(Box 1a): DLO220218C00100000							
09/02/2021	1.00	639.93	09/02/2021	630.05	0.00	9.88	Sell to Close
CALL UPST 09/17/21 270 UPSTART HOLDINGS INC   CUSIP:   Symbol(Box 1a): UPST210917C00270000							
09/13/2021	3.00	4,829.80	09/13/2021	4,173.16	0.00	656.64	Sell to Close

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APEX CLEARING

## Proceeds from Broker and Barter Exchange Transactions

2021 Form 1099-B\*

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01/31/2022

OMB No. 1545-0715

## SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

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

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

Date Sold or Disposed (Box 1c)	Quantity	Proceeds (Box 1d)	Date Acquired (Box 1b)	Cost or Other Basis (Box 1e)	Accrued Market Discount (M)(Box 1f) & Wash Sale Loss Disallowed (D)(Box 1g)	Gain or Loss(-)	Additional Notes
CALL UPST 09/17/21 270 UPSTART HOLDINGS INC   CUSIP:   Symbol(Box 1a): UPST210917C00270000							
09/16/2021	2.00	3,119.87	09/16/2021	3,460.10	0.00	-340.23	Sell to Close
<b>Security Totals:</b>		<b>7,949.67</b>		<b>7,633.26</b>		<b>316.41</b>	
BUTTERFLY NETWORK INC CLASS A COMMON STOCK   CUSIP: 124155102   Symbol(Box 1a): BFLY							
05/03/2021	5.00	71.28	04/29/2021	71.15	0.00	0.13	Sale
05/18/2021	10.00	99.98	05/18/2021	100.00	0.00	-0.02	Sale
<b>Security Totals:</b>		<b>171.26</b>		<b>171.15</b>		<b>0.11</b>	
CALL SPRT 09/17/21 30 SUPPORT.COM INC   CUSIP:   Symbol(Box 1a): SPRT210917C00030000							
09/07/2021	2.00	439.88	09/03/2021	960.10	0.00	-520.22	Sell to Close
ENERGOUS CORPORATION   CUSIP: 29272C103   Symbol(Box 1a): WATT							
02/19/2021	1.00	6.98	02/19/2021	7.40	0.00	-0.42	Sale
CALL BABA 01/21/22 245 ALIBABA GROUP HOLDING LIMITED   CUSIP:   Symbol(Box 1a): BABA220121C00245000							
06/25/2021	1.00	1,389.93	06/25/2021	1,369.05	0.00	20.88	Sell to Close
CALL CLOV 07/02/21 14 CLOVER HEALTH INVESTMENTS CORP   CUSIP:   Symbol(Box 1a): CLOV210702C00014000							
06/30/2021	5.00	349.71	06/30/2021	335.27	0.00	14.44	Sell to Close
***PUHUI WEALTH INVESTMENT MANAGEMENT CO LTD ORDINARY SHARES   CUSIP: G7306H101   Symbol(Box 1a): PHCF							
02/17/2021	50.00	438.30	Various	474.50	30.92 D	-5.28	Sale
02/18/2021	30.00	200.23	Various	300.42	0.00	-100.19	Sale
<b>Security Totals:</b>		<b>638.53</b>		<b>774.92</b>		<b>-105.47</b>	
CALL CRWD 08/20/21 260 CROWDSTRIKE HOLDINGS INC CL A   CUSIP:   Symbol(Box 1a): CRWD210820C00260000							
07/06/2021	1.00	1,634.93	06/30/2021	1,335.05	0.00	299.88	Sell to Close
ZYNGA INC CLASS A   CUSIP: 98986T108   Symbol(Box 1a): ZNGA							
02/19/2021	1.00	12.13	02/17/2021	11.54	0.00	0.59	Sale

APEX CLEARING

## Proceeds from Broker and Barter Exchange Transactions

2021 Form 1099-B\*

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01/31/2022

OMB No. 1545-0715

**SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS**

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

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CALL UPST 09/03/21 225			UPSTART HOLDINGS INC   CUSIP:   Symbol(Box 1a): UPST210903C00225000				
09/02/2021	1.00	1,119.93	09/02/2021	880.05	0.00	239.88	Sell to Close
PUT FCEL 09/17/21 7			FUELCELL ENERGY INC   CUSIP:   Symbol(Box 1a): FCEL210917P00007000				
09/15/2021	15.00	1,514.18	09/15/2021	1,485.78	0.00	28.40	Sell to Close
***ENTERA BIO LTD			ORDINARY SHARES   CUSIP: M40527109   Symbol(Box 1a): ENTX				
03/12/2021	50.00	414.98	03/12/2021	479.50	0.00	-64.52	Sale
PUT PLTR 07/16/21 21.50			PALANTIR TECHNOLOGIES INC CL A   CUSIP:   Symbol(Box 1a): PLTR210716P00021500				
07/15/2021	3.00	161.82	07/15/2021	150.16	0.00	11.66	Sell to Close
<b>Totals:</b>		<b>522,881.11</b>		<b>542,407.00</b>		<b>-14,786.99</b>	

APEX CLEARING

## Miscellaneous Information - Details of Form 1099-MISC

2021

5NK11077

01/31/2022

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

## Description | CUSIP | Symbol

Date	Royalties(Box 2)	Other Income(Box 3)	Substitute Payments in Lieu of Dividends or Interest (Box 8)
GENWORTH FINANCIAL INC	COM CL A   CUSIP: 37247D106   Symbol: GNW		
02/07/2021	0.00	7.40	0.00
ZYNGA INC	CLASS A   CUSIP: 98986T108   Symbol: ZNGA		
02/17/2021	0.00	11.54	0.00
FORD MOTOR CO	PAR \$0.01   CUSIP: 345370860   Symbol: F		
02/17/2021	0.00	11.48	0.00
<b>Totals:</b>	<b>0.00</b>	<b>30.42</b>	<b>0.00</b>

## Common Instructions for Recipient

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

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

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

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

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

## Keep tax documents for your records.

### 1099-DIV Instructions for Recipient

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

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

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

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

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

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

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

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

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

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

See the instructions for your tax return.

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

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

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

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

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

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

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

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

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

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

### 1099-INT Instructions for Recipient

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

### 1099-B Instructions for Recipient

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

#### 1099-MISC Instructions for Recipient

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

#### 1099-OID Instructions for Recipient

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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