

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

SANDEEP GOLLA
1220 BRAHMS CMN
FREMONT, CA 94538-4681

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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APEX CLEARING ONE DALLAS CENTER 350 NORTH ST PAUL SUITE 1300 DALLAS, TX 75201 Customer Service: 214-765-1009 PAYER'S Federal ID No: 13-2967453 IN ACCOUNT WITH WEBULL FINANCIAL LLC (917) 725-2448	Account 5JQ46848	Form 1099 Composite	2021
	SANDEEP GOLLA 1220 BRAHMS CMN FREMONT, CA 94538-4681 RECIPIENT'S ID No: XXX-XX-8703	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	
4- Federal Income Tax Withheld	0.00	
5- Section 199A Dividends	0.00	
6- Investment Expenses	0.00	
7- Foreign tax Paid	0.00	
8- Foreign country or US Possession		
9- Cash Liquidation Distributions	0.00	
10- Noncash Liquidation Distribution	0.00	
11- Exempt-Interest Dividends	0.00	
12- Specified Private Activity Bond Interest Dividends	0.00	

MISCELLANEOUS INFORMATION	2021 Form 1099-MISC*	OMB No. 1545-0115
2- Royalties	0.00	
3- Other Income	102.87	
4- Federal Income Tax Withheld	0.00	
8- Substitute Payments in Lieu of Dividends or Interest	0.00	

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

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

APEX CLEARING

Tax Summary

2021

5JQ46848

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	386,554.26	387,441.37	0.00	1,922.74	1,035.63
Short-term transactions for noncovered tax lots	0.00	0.00	0.00	0.00	0.00
Total Short-term	386,554.26	387,441.37	0.00	1,922.74	1,035.63
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
Total Long-term	0.00	0.00	0.00	0.00	0.00
Undetermined transactions for noncovered tax lots	0.00	0.00	0.00	0.00	0.00
Total Undetermined-term	0.00	0.00	0.00	0.00	0.00

ORIGINAL ISSUE DISCOUNT SUMMARY*

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

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

FEDERAL TAX WITHHELD

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

APEX CLEARING

Proceeds from Broker and Barter Exchange Transactions

2021 Form 1099-B*

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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 SPY 12/31/21 455 STANDARD & POORS DEPOSITORY CUSIP: Symbol(Box 1a): SPY211231C00455000							
12/21/2021	10.00	7,199.73	12/20/2021	5,360.21	0.00	1,839.52	Sell to Close
CALL AAPL 11/12/21 150 APPLE INC CUSIP: Symbol(Box 1a): AAPL211112C00150000							
11/01/2021	10.00	1,529.56	11/01/2021	1,481.26	0.00	48.30	Sell to Close
11/01/2021	10.00	1,529.56	11/01/2021	1,580.41	50.85 D	0.00	Sell to Close
Security Totals:		3,059.12		3,061.67		48.30	
***CEMEX S A B DE C V SPONSOR ADR REP 10 ORD PRTCP CRTS OF CEMEX S A DE C V CUSIP: 151290889 Symbol(Box 1a): CX							
06/10/2021	3.00	25.21	Various	25.29	0.00	-0.08	Sale
CALL AAPL 11/19/21 155 APPLE INC CUSIP: Symbol(Box 1a): AAPL211119C00155000							
11/09/2021	20.00	1,659.12	Various	1,710.82	0.00	-51.70	Sell to Close
CALL LCID 12/17/21 45 LUCID GROUP INC CUSIP: Symbol(Box 1a): LCID211217C00045000							
11/16/2021	2.00	1,439.94	11/11/2021	1,398.04	0.00	41.90	Sell to Close
PUT BABA 11/19/21 170 ALIBABA GROUP HOLDING LIMITED CUSIP: Symbol(Box 1a): BABA211119P00170000							
10/28/2021	2.00	1,611.90	10/27/2021	1,640.08	0.00	-28.18	Sell to Close
CALL MSFT 12/31/21 320 MICROSOFT CORP CUSIP: Symbol(Box 1a): MSFT211231C00320000							
12/22/2021	2.00	2,119.93	12/21/2021	1,180.05	0.00	939.88	Sell to Close
12/22/2021	2.00	2,219.93	12/21/2021	1,180.04	0.00	1,039.89	Sell to Close
Security Totals:		4,339.86		2,360.09		1,979.77	
CALL FB 12/17/21 350 META PLATFORMS INC CL A CUSIP: Symbol(Box 1a): FB211217C00350000							
11/30/2021	2.00	653.94	11/29/2021	1,190.04	0.00	-536.10	Sell to Close
CALL MU 11/19/21 75 MICRON TECHNOLOGY INC CUSIP: Symbol(Box 1a): MU211119C00075000							
11/09/2021	5.00	989.77	11/08/2021	790.21	0.00	199.56	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 BABA 11/19/21 170 ALIBABA GROUP HOLDING LIMITED CUSIP: Symbol(Box 1a): BABA211119C00170000							
10/27/2021	3.00	2,579.84	10/26/2021	2,112.13	0.00	467.71	Sell to Close
10/28/2021	3.00	1,979.84	10/27/2021	1,980.13	0.00	-0.29	Sell to Close
Security Totals:		4,559.68		4,092.26		467.42	
CALL LCID 12/17/21 42 LUCID GROUP INC CUSIP: Symbol(Box 1a): LCID211217C00042000							
12/16/2021	20.00	2,819.51	Various	3,435.43	0.00	-615.92	Sell to Close
CALL IWM 12/17/21 235 ISHARES RUSSELL 2000 ETF CUSIP: Symbol(Box 1a): IWM211217C00235000							
11/29/2021	7.00	1,119.83	Various	2,232.15	0.00	-1,112.32	Sell to Close
CALL AAPL 11/19/21 150 APPLE INC CUSIP: Symbol(Box 1a): AAPL211119C00150000							
11/11/2021	35.00	3,219.16	Various	5,406.05	0.00	-2,186.89	Sell to Close
CALL MSFT 12/31/21 335 MICROSOFT CORP CUSIP: Symbol(Box 1a): MSFT211231C00335000							
12/27/2021	5.00	2,424.86	12/23/2021	1,770.10	0.00	654.76	Sell to Close
12/27/2021	5.00	2,599.86	12/23/2021	1,770.11	0.00	829.75	Sell to Close
Security Totals:		5,024.72		3,540.21		1,484.51	
CALL FB 10/29/21 340 FACEBOOK INC CL A CUSIP: Symbol(Box 1a): FB211029C00340000							
10/25/2021	10.00	4,552.53	10/25/2021	3,480.42	0.00	1,072.11	Sell to Close
PUT AMD 12/10/21 135 ADVANCED MICRO DEVICES INC CUSIP: Symbol(Box 1a): AMD211210P00135000							
12/06/2021	3.00	689.92	Various	1,068.06	0.00	-378.14	Sell to Close
PUT PTON 11/12/21 50 PELOTON INTERACTIVE INC CL A CUSIP: Symbol(Box 1a): PTON211112P00050000							
11/09/2021	5.00	434.77	11/08/2021	775.21	0.00	-340.44	Sell to Close
FULGENT GENETICS INC COM CUSIP: 359664109 Symbol(Box 1a): FLGT							
06/07/2021	5.00	372.33	06/01/2021	347.75	0.00	24.58	Sale
CALL MSFT 10/22/21 310 MICROSOFT CORP CUSIP: Symbol(Box 1a): MSFT211022C00310000							
10/20/2021	2.00	263.90	10/19/2021	246.08	0.00	17.82	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.

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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 NIO 12/17/21	40	NIO INC ADS CUSIP: Symbol(Box 1a): NIO211217C00040000					
11/02/2021	5.00	2,099.76	Various	1,648.20	0.00	451.56	Sell to Close
CALL LCID 11/12/21	45	LUCID GROUP INC CUSIP: Symbol(Box 1a): LCID211112C00045000					
11/08/2021	10.00	4,649.54	11/08/2021	3,940.41	0.00	709.13	Sell to Close
CALL SNAP 11/19/21	53	SNAP INC CUSIP: Symbol(Box 1a): SNAP211119C00053000					
11/08/2021	10.00	2,529.55	11/05/2021	2,210.41	0.00	319.14	Sell to Close
CALL RBLX 11/05/21	86	ROBLOX CORPORATION CUSIP: Symbol(Box 1a): RBLX211105C00086000					
10/29/2021	10.00	1,749.55	Various	1,941.30	0.00	-191.75	Sell to Close
10/29/2021	20.00	3,539.09	Various	4,210.84	671.75 D	0.00	Sell to Close
11/01/2021	10.00	929.56	10/29/2021	1,491.30	0.00	-561.74	Sell to Close
Security Totals:		6,218.20		7,643.44		-753.49	
CALL UAL 06/18/21	60	UNITED AIRLINES HOLDINGS INC CUSIP: Symbol(Box 1a): UAL210618C00060000					
05/25/2021	3.00	554.75	05/19/2021	390.23	0.00	164.52	Sell to Close
PUT AMD 11/05/21	132	ADVANCED MICRO DEVICES INC CUSIP: Symbol(Box 1a): AMD211105P00132000					
11/04/2021	20.00	3,539.11	Various	3,390.82	0.00	148.29	Sell to Close
SNAP INC		CLASS A COMMON STOCK CUSIP: 83304A106 Symbol(Box 1a): SNAP					
10/28/2021	100.00	5,281.96	10/27/2021	5,266.00	0.00	15.96	Sale
CALL DIS 11/05/21	175	WALT DISNEY CO CUSIP: Symbol(Box 1a): DIS211105C00175000					
10/21/2021	10.00	2,139.54	Various	1,865.42	0.00	274.12	Sell to Close
PUT SPY 10/29/21	453	STANDARD & POORS DEPOSITORY CUSIP: Symbol(Box 1a): SPY211029P00453000					
10/28/2021	1.00	56.94	10/27/2021	86.04	0.00	-29.10	Sell to Close
CALL VIAC 06/25/21	42	VIACOMCBS INC CLASS B CUSIP: Symbol(Box 1a): VIAC210625C00042000					
06/14/2021	5.00	604.71	06/11/2021	405.27	0.00	199.44	Sell to Close
06/15/2021	5.00	779.71	Various	730.27	0.00	49.44	Sell to Close
Security Totals:		1,384.42		1,135.54		248.88	

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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)

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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 SPY 07/09/21 428 STANDARD & POORS DEPOSITORY CUSIP: Symbol(Box 1a): SPY210709C00428000							
07/08/2021	2.00	697.87	07/08/2021	406.11	0.00	291.76	Sell to Close
CALL FB 12/03/21 350 META PLATFORMS INC CL A CUSIP: Symbol(Box 1a): FB211203C00350000							
11/19/2021	1.00	964.96	11/17/2021	531.02	0.00	433.94	Sell to Close
11/19/2021	2.00	1,617.94	11/17/2021	1,104.04	0.00	513.90	Sell to Close
11/19/2021	2.00	2,003.93	Various	1,110.04	0.00	893.89	Sell to Close
Security Totals:		4,586.83		2,745.10		1,841.73	
CALL DKNK 05/28/21 47.50 DRAFTKINGS INC CL A CUSIP: Symbol(Box 1a): DKNK210528C00047500							
05/25/2021	3.00	470.75	05/25/2021	384.23	0.00	86.52	Sell to Close
CALL AMC 11/19/21 60 AMC ENTERTAINMENT HOLDINGS INC CUSIP: Symbol(Box 1a): AMC211119C00060000							
11/03/2021	1.00	128.94	11/02/2021	85.04	0.00	43.90	Sell to Close
CALL MARA 11/26/21 56 MARATHON DIGITAL HOLDINGS INC CUSIP: Symbol(Box 1a): MARA211126C00056000							
11/17/2021	3.00	557.92	Various	1,495.06	0.00	-937.14	Sell to Close
CALL PYPL 11/19/21 230 PAYPAL HOLDINGS INC CUSIP: Symbol(Box 1a): PYPL211119C00230000							
11/05/2021	2.00	1,649.90	11/04/2021	1,654.08	0.00	-4.18	Sell to Close
CALL NVDA 10/22/21 222.50 NVIDIA CORPORATION CUSIP: Symbol(Box 1a): NVDA211022C00222500							
10/18/2021	1.00	230.94	10/15/2021	170.04	0.00	60.90	Sell to Close
CALL PENN 11/19/21 80 PENN NATIONAL GAMING INC CUSIP: Symbol(Box 1a): PENN211119C00080000							
10/15/2021	10.00	4,419.53	Various	3,885.42	0.00	534.11	Sell to Close
CALL PYPL 11/19/21 250 PAYPAL HOLDINGS INC CUSIP: Symbol(Box 1a): PYPL211119C00250000							
10/22/2021	3.00	1,844.85	Various	2,428.12	0.00	-583.27	Sell to Close
CALL SNAP 10/22/21 77 SNAP INC CUSIP: Symbol(Box 1a): SNAP211022C00077000							
10/18/2021	10.00	4,189.53	10/15/2021	4,170.42	0.00	19.11	Sell to Close

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Proceeds from Broker and Barter Exchange Transactions

2021 Form 1099-B*

5JQ46848

(continued)

01/31/2022

OMB No. 1545-0715

SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

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

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

Date Sold or Disposed (Box 1c)	Quantity	Proceeds (Box 1d)	Date Acquired (Box 1b)	Cost or Other Basis (Box 1e)	Accrued Market Discount (M)(Box 1f) & Wash Sale Loss Disallowed (D)(Box 1g)	Gain or Loss(-)	Additional Notes
CALL SNAP 06/11/21	62	SNAP INC CUSIP: Symbol(Box 1a): SNAP210611C00062000					
06/07/2021	7.00	412.43	Various	827.55	0.00	-415.12	Sell to Close
PUT SNAP 10/22/21	77	SNAP INC CUSIP: Symbol(Box 1a): SNAP211022P00077000					
10/15/2021	5.00	2,294.76	10/15/2021	2,300.21	0.00	-5.45	Sell to Close
CALL LCID 12/17/21	40	LUCID GROUP INC CUSIP: Symbol(Box 1a): LCID211217C00040000					
11/08/2021	2.00	1,739.90	11/05/2021	1,170.08	0.00	569.82	Sell to Close
CALL BABA 11/12/21	170	ALIBABA GROUP HOLDING LIMITED CUSIP: Symbol(Box 1a): BABA211112C00170000					
11/03/2021	5.00	1,244.77	11/02/2021	1,350.21	0.00	-105.44	Sell to Close
CALL SNAP 11/19/21	55	SNAP INC CUSIP: Symbol(Box 1a): SNAP211119C00055000					
11/03/2021	22.00	3,255.03	Various	3,539.90	0.00	-284.87	Sell to Close
PUT AMD 11/05/21	121	ADVANCED MICRO DEVICES INC CUSIP: Symbol(Box 1a): AMD211105P00121000					
10/29/2021	4.00	1,115.81	10/28/2021	1,096.17	0.00	19.64	Sell to Close
CALL AAPL 07/16/21	135	APPLE INC CUSIP: Symbol(Box 1a): AAPL210716C00135000					
06/29/2021	3.00	725.82	06/25/2021	429.16	0.00	296.66	Sell to Close
CALL FB 11/19/21	335	META PLATFORMS INC CL A CUSIP: Symbol(Box 1a): FB211119C00335000					
11/11/2021	5.00	1,699.87	Various	2,764.20	0.00	-1,064.33	Sell to Close
CALL VIAC 07/16/21	43	VIACOMCBS INC CLASS B CUSIP: Symbol(Box 1a): VIAC210716C00043000					
07/07/2021	4.00	419.76	Various	315.21	0.00	104.55	Sell to Close
CALL FB 12/03/21	340	META PLATFORMS INC CL A CUSIP: Symbol(Box 1a): FB211203C00340000					
11/24/2021	4.00	2,991.88	11/23/2021	2,460.09	0.00	531.79	Sell to Close
11/24/2021	3.00	2,066.91	Various	1,833.06	0.00	233.85	Sell to Close
11/29/2021	5.00	2,584.86	Various	2,105.11	0.00	479.75	Sell to Close
Security Totals:		7,643.65		6,398.26		1,245.39	
CALL FB 12/03/21	345	META PLATFORMS INC CL A CUSIP: Symbol(Box 1a): FB211203C00345000					
11/29/2021	9.00	2,006.77	Various	3,726.20	0.00	-1,719.43	Sell to Close

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SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

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

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

Box 5: Box Not Checked (Covered Security)

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

Box 12: Basis Reported to the IRS

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

Date Sold or Disposed (Box 1c)	Quantity	Proceeds (Box 1d)	Date Acquired (Box 1b)	Cost or Other Basis (Box 1e)	Accrued Market Discount (M)(Box 1f) & Wash Sale Loss Disallowed (D)(Box 1g)	Gain or Loss(-)	Additional Notes
CALL SNAP 10/15/21 77	SNAP INC CUSIP: Symbol(Box 1a): SNAP211015C00077000						
10/14/2021	30.00	1,408.66	Various	1,941.27	0.00	-532.61	Sell to Close
CALL SPY 06/18/21 423	STANDARD & POORS DEPOSITORY CUSIP: Symbol(Box 1a): SPY210618C00423000						
06/14/2021	3.00	701.82	06/14/2021	705.16	0.00	-3.34	Sell to Close
CALL SNAP 07/16/21 65	SNAP INC CUSIP: Symbol(Box 1a): SNAP210716C00065000						
06/23/2021	2.00	563.87	06/21/2021	474.11	0.00	89.76	Sell to Close
PUT SPY 11/29/21 467	STANDARD & POORS DEPOSITORY CUSIP: Symbol(Box 1a): SPY211129P00467000						
11/24/2021	10.00	1,969.75	11/24/2021	2,160.21	0.00	-190.46	Sell to Close
CALL PLUG 07/16/21 34	PLUG POWER INC CUSIP: Symbol(Box 1a): PLUG210716C00034000						
06/25/2021	3.00	386.82	Various	631.16	0.00	-244.34	Sell to Close
PUT NFLX 11/19/21 635	NETFLIX INC CUSIP: Symbol(Box 1a): NFLX211119P00635000						
11/09/2021	3.00	1,718.86	Various	2,435.12	0.00	-716.26	Sell to Close
CALL AMZN 12/31/21 3350	AMAZON.COM INC CUSIP: Symbol(Box 1a): AMZN211231C03350000						
12/22/2021	1.00	10,809.91	12/21/2021	5,775.02	0.00	5,034.89	Sell to Close
KRAFT HEINZ COMPANY (THE)	COMMON STOCK CUSIP: 500754106 Symbol(Box 1a): KHC						
06/02/2021	1.00	44.12	05/30/2021	43.59	0.00	0.53	Sale
CALL MSFT 11/19/21 340	MICROSOFT CORP CUSIP: Symbol(Box 1a): MSFT211119C00340000						
11/05/2021	5.00	1,674.77	11/04/2021	1,425.21	0.00	249.56	Sell to Close
CALL ASO 06/18/21 40	ACADEMY SPORTS AND OUTDORS INC CUSIP: Symbol(Box 1a): ASO210618C00040000						
06/01/2021	2.00	261.82	05/28/2021	290.16	0.00	-28.34	Sell to Close
CALL TSLA 11/19/21 1150	TESLA INC CUSIP: Symbol(Box 1a): TSLA211119C01150000						
11/15/2021	1.00	297.96	11/12/2021	763.02	0.00	-465.06	Sell to Close
CALL SQ 12/17/21 250	BLOCK INC CUSIP: Symbol(Box 1a): SQ211217C00250000						
11/16/2021	2.00	1,311.94	11/15/2021	1,090.04	0.00	221.90	Sell to Close

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APEX CLEARING

Proceeds from Broker and Barter Exchange Transactions

2021 Form 1099-B*

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(continued)

01/31/2022

OMB No. 1545-0715

SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

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

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

Date Sold or Disposed (Box 1c)	Quantity	Proceeds (Box 1d)	Date Acquired (Box 1b)	Cost or Other Basis (Box 1e)	Accrued Market Discount (M)(Box 1f) & Wash Sale Loss Disallowed (D)(Box 1g)	Gain or Loss(-)	Additional Notes
CALL SQ 12/17/21	250	BLOCK INC CUSIP: Symbol(Box 1a): SQ211217C00250000					
11/16/2021	3.00	1,889.92	11/15/2021	1,635.07	0.00	254.85	Sell to Close
11/18/2021	5.00	2,499.86	Various	2,394.10	0.09 D	105.85	Sell to Close
11/22/2021	10.00	2,199.75	Various	4,090.31	0.00	-1,890.56	Sell to Close
Security Totals:		7,901.47		9,209.52		-1,307.96	
CALL AMD 12/17/21	130	ADVANCED MICRO DEVICES INC CUSIP: Symbol(Box 1a): AMD211217C00130000					
11/04/2021	2.00	1,703.90	11/03/2021	1,273.08	0.00	430.82	Sell to Close
CALL AAPL 07/16/21	143	APPLE INC CUSIP: Symbol(Box 1a): AAPL210716C00143000					
07/08/2021	2.00	484.87	07/08/2021	404.11	0.00	80.76	Sell to Close
CALL SPY 05/17/21	416	STANDARD & POORS DEPOSITORY CUSIP: Symbol(Box 1a): SPY210517C00416000					
05/17/2021	3.00	104.75	05/17/2021	311.51	0.00	-206.76	Sell to Close
05/17/2021	5.00	176.59	05/17/2021	375.39	119.28 D	-79.52	Sell to Close
Security Totals:		281.34		686.90		-286.28	
CALL NIO 10/29/21	40	NIO INC ADS CUSIP: Symbol(Box 1a): NIO211029C00040000					
10/22/2021	10.00	699.55	10/21/2021	1,150.42	0.00	-450.87	Sell to Close
CALL SQ 11/12/21	260	SQUARE INC CUSIP: Symbol(Box 1a): SQ211112C00260000					
11/02/2021	2.00	1,259.90	11/01/2021	1,436.08	0.00	-176.18	Sell to Close
CALL SPCE 06/18/21	35	VIRGIN GALACTIC HOLDINGS INC CUSIP: Symbol(Box 1a): SPCE210618C00035000					
06/08/2021	4.00	1,460.66	06/07/2021	884.32	0.00	576.34	Sell to Close
FUBOTV INC		COMMON STOCK CUSIP: 35953D104 Symbol(Box 1a): FUBO					
06/01/2021	2.00	49.14	05/25/2021	41.40	0.00	7.74	Sale
CALL AAPL 01/07/22	175	APPLE INC CUSIP: Symbol(Box 1a): AAPL220107C00175000					
12/23/2021	5.00	2,299.86	12/22/2021	1,950.11	0.00	349.75	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.

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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 12/23/21	225	ROKU INC CUSIP: Symbol(Box 1a): ROKU211223C00225000					
12/17/2021	3.00	2,474.91	Various	1,652.06	0.00	822.85	Sell to Close
12/17/2021	2.00	1,799.94	12/16/2021	880.04	0.00	919.90	Sell to Close
Security Totals:		4,274.85		2,532.10		1,742.75	
C3 AI INC		CLASS A COMMON STOCK CUSIP: 12468P104 Symbol(Box 1a): AI					
06/01/2021	3.00	192.52	05/27/2021	178.74	0.00	13.78	Sale
12/15/2021	2.00	66.92	12/14/2021	61.66	0.00	5.26	Sale
Security Totals:		259.44		240.40		19.04	
CALL VIAC 08/06/21	40.50	VIACOMCBS INC CLASS B CUSIP: Symbol(Box 1a): VIAC210806C00040500					
08/05/2021	1.00	49.93	08/04/2021	58.05	0.00	-8.12	Sell to Close
PUT SPY 05/26/21	419	STANDARD & POORS DEPOSITORY CUSIP: Symbol(Box 1a): SPY210526P00419000					
05/25/2021	3.00	509.75	05/25/2021	384.23	0.00	125.52	Sell to Close
CALL TRLY 11/26/21	14	TILRAY INC CUSIP: Symbol(Box 1a): TRLY211126C00014000					
11/17/2021	20.00	799.52	Various	1,503.42	0.00	-703.90	Sell to Close
CALL MSFT 01/21/22	335	MICROSOFT CORP CUSIP: Symbol(Box 1a): MSFT220121C00335000					
12/20/2021	6.00	2,585.84	Various	4,366.13	0.00	-1,780.29	Sell to Close
CALL LCID 12/23/21	42	LUCID GROUP INC CUSIP: Symbol(Box 1a): LCID211223C00042000					
12/17/2021	20.00	1,399.52	Various	3,945.43	0.00	-2,545.91	Sell to Close
PUT LCID 12/03/21	49	LUCID GROUP INC CUSIP: Symbol(Box 1a): LCID211203P00049000					
12/02/2021	12.00	1,631.71	Various	1,532.25	0.00	99.46	Sell to Close
CALL FB 11/19/21	320	META PLATFORMS INC CL A CUSIP: Symbol(Box 1a): FB211119C00320000					
10/29/2021	3.00	3,689.84	Various	2,195.12	0.00	1,494.72	Sell to Close
10/29/2021	3.00	3,614.84	10/28/2021	1,491.13	0.00	2,123.71	Sell to Close
Security Totals:		7,304.68		3,686.25		3,618.43	

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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.

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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 FUTU 06/18/21	150	FUTU HOLDINGS LTD ADS CUSIP: Symbol(Box 1a): FUTU210618C00150000					
06/04/2021	1.00	773.91	06/01/2021	730.07	0.00	43.84	Sell to Close
CALL SQ 11/19/21	230	SQUARE INC CUSIP: Symbol(Box 1a): SQ211119C00230000					
11/15/2021	5.00	3,174.86	11/15/2021	2,460.11	0.00	714.75	Sell to Close
11/15/2021	5.00	3,234.86	11/15/2021	2,460.10	0.00	774.76	Sell to Close
Security Totals:		6,409.72		4,920.21		1,489.51	
CALL NVDA 12/31/21	290	NVIDIA CORPORATION CUSIP: Symbol(Box 1a): NVDA211231C00290000					
12/23/2021	2.00	2,639.93	12/22/2021	1,758.05	0.00	881.88	Sell to Close
12/23/2021	2.00	2,439.93	12/22/2021	1,758.04	0.00	681.89	Sell to Close
Security Totals:		5,079.86		3,516.09		1,563.77	
CALL NVDA 12/23/21	300	NVIDIA CORPORATION CUSIP: Symbol(Box 1a): NVDA211223C00300000					
12/20/2021	13.00	1,247.68	Various	6,406.27	0.00	-5,158.59	Sell to Close
CALL NVDA 12/31/21	295	NVIDIA CORPORATION CUSIP: Symbol(Box 1a): NVDA211231C00295000					
12/23/2021	5.00	4,474.85	12/23/2021	4,443.10	0.00	31.75	Sell to Close
12/23/2021	5.00	5,074.85	12/23/2021	4,443.10	0.00	631.75	Sell to Close
Security Totals:		9,549.70		8,886.20		663.50	
PUT RUN 11/19/21	50	SUNRUN INC CUSIP: Symbol(Box 1a): RUN211119P00050000					
10/15/2021	10.00	3,799.54	10/15/2021	3,826.42	0.00	-26.88	Sell to Close
CALL TSLA 11/26/21	1200	TESLA INC CUSIP: Symbol(Box 1a): TSLA211126C01200000					
11/19/2021	1.00	1,139.96	11/19/2021	670.02	0.00	469.94	Sell to Close
11/19/2021	1.00	1,525.96	11/19/2021	670.02	0.00	855.94	Sell to Close
Security Totals:		2,665.92		1,340.04		1,325.88	

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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

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CALL SPY 12/31/21	470		STANDARD & POORS DEPOSITORY CUSIP: Symbol(Box 1a): SPY211231C00470000				
12/20/2021	10.00	759.78	Various	3,041.21	0.00	-2,281.43	Sell to Close
CALL RUN 11/19/21	50		SUNRUN INC CUSIP: Symbol(Box 1a): RUN211119C00050000				
10/19/2021	5.00	2,499.76	10/15/2021	2,084.21	0.00	415.55	Sell to Close
10/19/2021	5.00	2,439.76	10/15/2021	2,084.21	0.00	355.55	Sell to Close
Security Totals:		4,939.52		4,168.42		771.10	
ROCKET COMPANIES INC			CLASS A COMMON STOCK CUSIP: 77311W101 Symbol(Box 1a): RKT				
06/02/2021	4.00	81.18	Various	71.64	0.00	9.54	Sale
AMC ENTERTAINMENT HOLDINGS INC CL A COM CUSIP: 00165C104 Symbol(Box 1a): AMC							
06/17/2021	10.00	611.18	06/08/2021	595.30	0.00	15.88	Sale
CALL ATVI 11/26/21	70		ACTIVISION BLIZZARD INC CUSIP: Symbol(Box 1a): ATVI211126C00070000				
11/16/2021	10.00	2,299.75	Various	1,735.22	0.00	564.53	Sell to Close
CALL RIOT 11/26/21	42		RIOT BLOCKCHAIN INC CUSIP: Symbol(Box 1a): RIOT211126C00042000				
11/15/2021	5.00	3,499.86	11/12/2021	2,150.11	0.00	1,349.75	Sell to Close
CALL UBER 11/05/21	50		UBER TECHNOLOGIES INC CUSIP: Symbol(Box 1a): UBER211105C00050000				
11/05/2021	2.00	25.90	11/04/2021	92.08	0.00	-66.18	Sell to Close
CALL BA 11/12/21	215		BOEING CO CUSIP: Symbol(Box 1a): BA211112C00215000				
11/05/2021	2.00	1,119.90	11/04/2021	558.08	0.00	561.82	Sell to Close
CALL QQQ 12/10/21	405		INVESCO QQQ TRUST SERIES 1 CUSIP: Symbol(Box 1a): QQQ211210C00405000				
12/09/2021	12.00	167.71	Various	514.25	0.00	-346.54	Sell to Close
PUT MSFT 01/07/22	340		MICROSOFT CORP CUSIP: Symbol(Box 1a): MSFT220107P00340000				
12/28/2021	5.00	2,099.86	12/27/2021	2,385.11	285.25 D	0.00	Sell to Close
12/30/2021	10.00	3,409.75	Various	3,915.46	0.00	-505.71	Sell to Close
Security Totals:		5,509.61		6,300.57		-505.71	

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Proceeds from Broker and Barter Exchange Transactions

2021 Form 1099-B*

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(continued)

01/31/2022

OMB No. 1545-0715

SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

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CALL QQQ 12/03/21	395	INVESTCO QQQ TRUST SERIES 1 CUSIP: Symbol(Box 1a): QQQ211203C00395000					
12/01/2021	3.00	1,424.92	11/30/2021	888.06	0.00	536.86	Sell to Close
CALL FUBO 07/16/21	30	FUBOTV INC CUSIP: Symbol(Box 1a): FUBO210716C00030000					
07/13/2021	12.00	371.31	Various	920.66	0.00	-549.35	Sell to Close
CALL ATVI 11/19/21	80	ACTIVISION BLIZZARD INC CUSIP: Symbol(Box 1a): ATVI211119C00080000					
10/20/2021	5.00	939.77	10/19/2021	805.21	0.00	134.56	Sell to Close
TESLA INC		COMMON STOCK CUSIP: 88160R101 Symbol(Box 1a): TSLA					
12/16/2021	10.00	9,902.01	Various	9,702.44	0.00	199.57	Sale
CALL FSLY 11/19/21	50	FASTLY INC CLASS A CUSIP: Symbol(Box 1a): FSLY211119C00050000					
10/20/2021	5.00	2,849.76	10/19/2021	2,225.21	0.00	624.55	Sell to Close
CALL QQQ 12/10/21	400	INVESTCO QQQ TRUST SERIES 1 CUSIP: Symbol(Box 1a): QQQ211210C00400000					
12/10/2021	2.00	35.94	12/09/2021	160.04	0.00	-124.10	Sell to Close
CALL LCID 11/05/21	40	LUCID GROUP INC CUSIP: Symbol(Box 1a): LCID211105C00040000					
11/01/2021	4.00	1,323.81	10/29/2021	876.17	0.00	447.64	Sell to Close
CALL PLUG 10/29/21	35	PLUG POWER INC CUSIP: Symbol(Box 1a): PLUG211029C00035000					
10/26/2021	10.00	619.55	10/25/2021	670.42	0.00	-50.87	Sell to Close
CALL DIS 11/12/21	170	WALT DISNEY CO CUSIP: Symbol(Box 1a): DIS211112C00170000					
11/04/2021	5.00	1,849.77	11/03/2021	1,890.21	0.00	-40.44	Sell to Close
CALL SPY 07/09/21	435	STANDARD & POORS DEPOSITORY CUSIP: Symbol(Box 1a): SPY210709C00435000					
07/07/2021	3.00	308.82	07/07/2021	342.16	0.00	-33.34	Sell to Close
CALL AFRM 12/17/21	128	AFFIRM HOLDINGS INC CL A CUSIP: Symbol(Box 1a): AFRM211217C00128000					
12/09/2021	1.00	509.96	12/08/2021	592.02	0.00	-82.06	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

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SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

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

Date Sold or Disposed (Box 1c)	Quantity	Proceeds (Box 1d)	Date Acquired (Box 1b)	Cost or Other Basis (Box 1e)	Accrued Market Discount (M)(Box 1f) & Wash Sale Loss Disallowed (D)(Box 1g)	Gain or Loss(-)	Additional Notes
CALL BA 06/18/21 255 BOEING CO CUSIP: Symbol(Box 1a): BA210618C00255000							
06/11/2021	2.00	313.87	06/10/2021	539.16	0.00	-225.29	Sell to Close
CALL BABA 11/26/21 145 ALIBABA GROUP HOLDING LIMITED CUSIP: Symbol(Box 1a): BABA211126C00145000							
11/22/2021	3.00	371.92	11/19/2021	510.06	0.00	-138.14	Sell to Close
CALL QQQ 11/24/21 400 INVESCO QQQ TRUST SERIES 1 CUSIP: Symbol(Box 1a): QQQ211124C00400000							
11/18/2021	10.00	2,849.75	11/18/2021	2,670.21	0.00	179.54	Sell to Close
SKILLZ INC CLASS A COMMON STOCK CUSIP: 83067L109 Symbol(Box 1a): SKLZ							
10/26/2021	500.00	5,779.91	10/25/2021	5,579.45	0.00	200.46	Sale
10/26/2021	500.00	5,704.91	10/25/2021	5,579.45	0.00	125.46	Sale
10/27/2021	500.00	5,589.91	10/26/2021	5,527.50	0.00	62.41	Sale
Security Totals:		17,074.73		16,686.40		388.33	
CALL IWM 11/05/21 227 ISHARES RUSSELL 2000 ETF CUSIP: Symbol(Box 1a): IWM211105C00227000							
10/21/2021	5.00	1,789.77	10/20/2021	1,550.21	0.00	239.56	Sell to Close
CALL FB 11/05/21 315 META PLATFORMS INC CL A CUSIP: Symbol(Box 1a): FB211105C00315000							
10/27/2021	4.00	3,279.80	Various	3,025.16	0.00	254.64	Sell to Close
CALL RBLX 11/12/21 80 ROBLOX CORPORATION CUSIP: Symbol(Box 1a): RBLX211112C00080000							
11/03/2021	5.00	2,149.76	11/02/2021	2,170.21	0.00	-20.45	Sell to Close
CALL NFLX 10/22/21 660 NETFLIX INC CUSIP: Symbol(Box 1a): NFLX211022C00660000							
10/15/2021	2.00	1,734.90	Various	1,913.08	0.00	-178.18	Sell to Close
CALL SPCE 06/25/21 38 VIRGIN GALACTIC HOLDINGS INC CUSIP: Symbol(Box 1a): SPCE210625C00038000							
06/21/2021	4.00	279.76	06/17/2021	664.22	0.00	-384.46	Sell to Close
CALL TWTR 06/18/21 58 TWITTER INC CUSIP: Symbol(Box 1a): TWTR210618C00058000							
05/26/2021	3.00	698.75	05/25/2021	594.23	0.00	104.52	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 NFLX 11/05/21	650	NETFLIX INC CUSIP: Symbol(Box 1a): NFLX211105C00650000					
10/21/2021	2.00	1,279.90	Various	1,406.08	0.00	-126.18	Sell to Close
PUT AMD 11/12/21	135	ADVANCED MICRO DEVICES INC CUSIP: Symbol(Box 1a): AMD211112P00135000					
11/05/2021	20.00	4,559.10	Various	6,550.82	0.00	-1,991.72	Sell to Close
CALL AAPL 11/19/21	160	APPLE INC CUSIP: Symbol(Box 1a): AAPL211119C00160000					
11/19/2021	1.00	21.96	11/18/2021	41.02	0.00	-19.06	Sell to Close
CALL SNAP 06/04/21	61	SNAP INC CUSIP: Symbol(Box 1a): SNAP210604C00061000					
05/28/2021	2.00	345.82	05/27/2021	278.16	0.00	67.66	Sell to Close
06/01/2021	2.00	415.82	05/27/2021	278.16	0.00	137.66	Sell to Close
Security Totals:		761.64		556.32		205.32	
ADT INC		COMMON STOCK CUSIP: 00090Q103 Symbol(Box 1a): ADT					
06/10/2021	1.00	11.65	06/07/2021	11.12	0.00	0.53	Sale
CALL MRNA 10/29/21	355	MODERNA INC CUSIP: Symbol(Box 1a): MRNA211029C00355000					
10/28/2021	1.00	257.94	10/27/2021	236.04	0.00	21.90	Sell to Close
CALL SPCE 06/18/21	32	VIRGIN GALACTIC HOLDINGS INC CUSIP: Symbol(Box 1a): SPCE210618C00032000					
06/07/2021	3.00	1,094.75	06/07/2021	822.23	0.00	272.52	Sell to Close
CAMBER ENERGY INC		COMMON STOCK CUSIP: 13200M508 Symbol(Box 1a): CEI					
10/14/2021	5,500.00	7,149.86	Various	8,757.50	0.00	-1,607.64	Sale
CALL FUBO 07/16/21	27	FUBOTV INC CUSIP: Symbol(Box 1a): FUBO210716C00027000					
07/14/2021	5.00	210.71	07/14/2021	305.27	0.00	-94.56	Sell to Close
CALL SPY 06/28/21	425	STANDARD & POORS DEPOSITORY CUSIP: Symbol(Box 1a): SPY210628C00425000					
06/23/2021	5.00	499.71	06/23/2021	440.27	0.00	59.44	Sell to Close
CALL AMD 01/07/22	145	ADVANCED MICRO DEVICES INC CUSIP: Symbol(Box 1a): AMD220107C00145000					
12/23/2021	5.00	3,099.86	12/22/2021	2,685.11	0.00	414.75	Sell to Close

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APEX CLEARING

Proceeds from Broker and Barter Exchange Transactions

2021 Form 1099-B*

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(continued)

01/31/2022

OMB No. 1545-0715

SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

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

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

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

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

Date Sold or Disposed (Box 1c)	Quantity	Proceeds (Box 1d)	Date Acquired (Box 1b)	Cost or Other Basis (Box 1e)	Accrued Market Discount (M)(Box 1f) & Wash Sale Loss Disallowed (D)(Box 1g)	Gain or Loss(-)	Additional Notes
CALL AMD 11/19/21 147 ADVANCED MICRO DEVICES INC CUSIP: Symbol(Box 1a): AMD211119C00147000							
11/12/2021	2.00	819.94	11/11/2021	740.04	0.00	79.90	Sell to Close
CALL SNAP 11/05/21 80 SNAP INC CUSIP: Symbol(Box 1a): SNAP211105C00080000							
10/19/2021	5.00	1,599.77	10/18/2021	1,530.21	0.00	69.56	Sell to Close
10/20/2021	3.00	968.85	10/18/2021	918.13	0.00	50.72	Sell to Close
10/22/2021	3.00	29.85	Various	909.12	0.00	-879.27	Sell to Close
Security Totals:		2,598.47		3,357.46		-758.99	
CALL FB 12/17/21 355 META PLATFORMS INC CL A CUSIP: Symbol(Box 1a): FB211217C00355000							
11/22/2021	2.00	2,029.93	Various	1,913.04	113.05 D	229.94	Sell to Close
11/23/2021	5.00	2,399.86	Various	5,558.16	0.00	-3,158.30	Sell to Close
Security Totals:		4,429.79		7,471.20		-2,928.36	
CALL BLNK 11/19/21 42 BLINK CHARGING CO CUSIP: Symbol(Box 1a): BLNK211119C00042000							
11/12/2021	10.00	2,809.75	Various	2,705.22	0.00	104.53	Sell to Close
GENWORTH FINANCIAL INC COM CL A CUSIP: 37247D106 Symbol(Box 1a): GNW							
06/01/2021	3.00	12.62	Various	12.51	0.00	0.11	Sale
PUT AFRM 11/05/21 155 AFFIRM HOLDINGS INC CL A CUSIP: Symbol(Box 1a): AFRM211105P00155000							
10/28/2021	5.00	3,304.76	10/27/2021	3,135.21	0.00	169.55	Sell to Close
CALL LCID 11/19/21 28 LUCID GROUP INC CUSIP: Symbol(Box 1a): LCID211119C00028000							
10/27/2021	10.00	2,749.54	Various	2,070.42	0.00	679.12	Sell to Close
CALL PLUG 11/26/21 42 PLUG POWER INC CUSIP: Symbol(Box 1a): PLUG211126C00042000							
11/11/2021	10.00	2,169.75	11/10/2021	2,290.41	0.00	-120.66	Sell to Close
CALL SOFI 12/17/21 25 SOFI TECHNOLOGIES INC CUSIP: Symbol(Box 1a): SOFI211217C00025000							
11/09/2021	5.00	704.77	11/08/2021	820.21	0.00	-115.44	Sell to Close
CALL MARA 11/05/21 53 MARATHON DIGITAL HOLDINGS INC CUSIP: Symbol(Box 1a): MARA211105C00053000							
10/29/2021	5.00	919.77	Various	1,138.20	0.00	-218.43	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 RIOT 07/16/21	40	RIOT BLOCKCHAIN INC CUSIP: Symbol(Box 1a): RIOT210716C00040000					
07/06/2021	3.00	311.82	Various	732.16	0.00	-420.34	Sell to Close
CALL RBLX 06/18/21	90	ROBLOX CORPORATION CUSIP: Symbol(Box 1a): RBLX210618C00090000					
06/16/2021	2.00	69.87	06/15/2021	630.11	0.00	-560.24	Sell to Close
CALL PTON 12/17/21	40	PELTON INTERACTIVE INC CL A CUSIP: Symbol(Box 1a): PTON211217C00040000					
12/17/2021	1.00	44.96	12/16/2021	91.02	0.00	-46.06	Sell to Close
CALL FB 11/26/21	350	META PLATFORMS INC CL A CUSIP: Symbol(Box 1a): FB211126C00350000					
11/17/2021	5.00	1,619.87	11/16/2021	1,850.11	0.00	-230.24	Sell to Close
FASTLY INC		CLASS A COMMON STOCK CUSIP: 31188V100 Symbol(Box 1a): FSLY					
10/14/2021	25.00	1,111.98	Various	1,056.62	0.00	55.36	Sale
PUT FUBO 05/21/21	22	FUBOTV INC CUSIP: Symbol(Box 1a): FUBO210521P00022000					
05/19/2021	3.00	422.75	05/18/2021	279.23	0.00	143.52	Sell to Close
CALL NIO 12/31/21	30	NIO INC ADS CUSIP: Symbol(Box 1a): NIO211231C00030000					
12/23/2021	10.00	1,309.76	Various	1,152.21	0.00	157.55	Sell to Close
CALL QQQ 12/20/21	384	INVESCO QQQ TRUST SERIES 1 CUSIP: Symbol(Box 1a): QQQ211220C00384000					
12/15/2021	3.00	1,619.92	12/15/2021	1,467.07	0.00	152.85	Sell to Close
12/15/2021	2.00	1,643.94	12/15/2021	978.04	0.00	665.90	Sell to Close
Security Totals:		3,263.86		2,445.11		818.75	
CALL NVDA 10/22/21	230	NVIDIA CORPORATION CUSIP: Symbol(Box 1a): NVDA211022C00230000					
10/22/2021	2.00	315.90	10/22/2021	234.08	0.00	81.82	Sell to Close
10/22/2021	8.00	1,247.63	10/22/2021	936.34	0.00	311.29	Sell to Close
Security Totals:		1,563.53		1,170.42		393.11	
CALL MSFT 06/18/21	260	MICROSOFT CORP CUSIP: Symbol(Box 1a): MSFT210618C00260000					
06/10/2021	5.00	669.59	06/08/2021	675.39	0.00	-5.80	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)**

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CALL SQ 11/05/21 250 SQUARE INC CUSIP: Symbol(Box 1a): SQ211105C00250000							
11/05/2021	5.00	1,764.77	11/05/2021	1,450.21	0.00	314.56	Sell to Close
11/05/2021	5.00	349.77	11/05/2021	1,450.20	0.00	-1,100.43	Sell to Close
Security Totals:		2,114.54		2,900.41		-785.87	
CALL IWM 12/17/21 240 ISHARES RUSSELL 2000 ETF CUSIP: Symbol(Box 1a): IWM211217C00240000							
11/02/2021	5.00	1,989.76	11/01/2021	1,805.21	0.00	184.55	Sell to Close
11/23/2021	12.00	1,919.71	Various	3,925.24	0.00	-2,005.53	Sell to Close
Security Totals:		3,909.47		5,730.45		-1,820.98	
CALL AAPL 11/05/21 144 APPLE INC CUSIP: Symbol(Box 1a): AAPL211105C00144000							
10/15/2021	5.00	1,799.77	10/14/2021	1,525.21	0.00	274.56	Sell to Close
CALL SPCE 07/16/21 50 VIRGIN GALACTIC HOLDINGS INC CUSIP: Symbol(Box 1a): SPCE210716C00050000							
07/08/2021	1.00	400.93	07/07/2021	346.05	0.00	54.88	Sell to Close
PUT FUBO 05/21/21 21 FUBOTV INC CUSIP: Symbol(Box 1a): FUBO210521P00021000							
05/17/2021	3.00	329.75	05/17/2021	288.23	0.00	41.52	Sell to Close
CALL DKNG 06/11/21 52 DRAFTKINGS INC CL A CUSIP: Symbol(Box 1a): DKNG210611C00052000							
06/07/2021	3.00	413.75	06/07/2021	411.23	0.00	2.52	Sell to Close
CALL BABA 10/22/21 180 ALIBABA GROUP HOLDING LIMITED CUSIP: Symbol(Box 1a): BABA211022C00180000							
10/21/2021	10.00	1,419.55	10/21/2021	1,700.42	0.00	-280.87	Sell to Close
CALL DKNG 05/21/21 45 DRAFTKINGS INC CL A CUSIP: Symbol(Box 1a): DKNG210521C00045000							
05/18/2021	3.00	299.75	Various	225.23	0.00	74.52	Sell to Close
PUT SPY 01/07/22 475 STANDARD & POORS DEPOSITORY CUSIP: Symbol(Box 1a): SPY220107P00475000							
12/31/2021	10.00	2,609.75	Various	2,016.34	0.00	593.41	Sell to Close
12/31/2021	10.00	2,869.75	Various	2,828.20	195.13 D	236.68	Sell to Close
Security Totals:		5,479.50		4,844.54		830.09	

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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CALL SPY 12/20/21	466	STANDARD & POORS DEPOSITORY CUSIP: Symbol(Box 1a): SPY211220C00466000					
12/15/2021	10.00	5,288.76	Various	2,450.22	0.00	2,838.54	Sell to Close
CALL RBLX 12/17/21	120	ROBLOX CORPORATION CUSIP: Symbol(Box 1a): RBLX211217C00120000					
12/08/2021	1.00	594.96	12/07/2021	490.02	0.00	104.94	Sell to Close
CALL PYPL 12/17/21	250	PAYPAL HOLDINGS INC CUSIP: Symbol(Box 1a): PYPL211217C00250000					
11/04/2021	5.00	2,349.76	11/03/2021	1,975.21	0.00	374.55	Sell to Close
CALL MU 11/26/21	75	MICRON TECHNOLOGY INC CUSIP: Symbol(Box 1a): MU211126C00075000					
11/12/2021	10.00	2,369.75	Various	1,620.22	0.00	749.53	Sell to Close
PUT SPY 12/03/21	465	STANDARD & POORS DEPOSITORY CUSIP: Symbol(Box 1a): SPY211203P00465000					
11/30/2021	3.00	1,589.92	11/29/2021	990.06	0.00	599.86	Sell to Close
CALL HD 05/28/21	320	HOME DEPOT INC CUSIP: Symbol(Box 1a): HD210528C00320000					
05/26/2021	2.00	241.82	05/26/2021	450.16	0.00	-208.34	Sell to Close
CALL FUBO 11/19/21	35	FUBOTV INC CUSIP: Symbol(Box 1a): FUBO211119C00035000					
11/09/2021	5.00	1,064.77	Various	1,139.21	0.00	-74.44	Sell to Close
CALL LCID 12/10/21	55	LUCID GROUP INC CUSIP: Symbol(Box 1a): LCID211210C00055000					
12/02/2021	5.00	1,019.87	12/01/2021	1,800.11	0.00	-780.24	Sell to Close
CALL PLUG 12/17/21	45	PLUG POWER INC CUSIP: Symbol(Box 1a): PLUG211217C00045000					
11/17/2021	5.00	1,739.87	11/16/2021	1,425.11	0.00	314.76	Sell to Close
CALL VIAC 07/23/21	43	VIACOMCBS INC CLASS B CUSIP: Symbol(Box 1a): VIAC210723C00043000					
07/16/2021	4.00	59.76	Various	276.21	0.00	-216.45	Sell to Close
CALL AMAT 01/07/22	162.50	APPLIED MATERIALS INC CUSIP: Symbol(Box 1a): AMAT220107C00162500					
12/30/2021	10.00	1,759.76	12/30/2021	2,450.21	0.00	-690.45	Sell to Close
CALL AAPL 12/17/21	155	APPLE INC CUSIP: Symbol(Box 1a): AAPL211217C00155000					
11/18/2021	2.00	764.94	11/17/2021	700.04	0.00	64.90	Sell to Close

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APEX CLEARING

Proceeds from Broker and Barter Exchange Transactions

2021 Form 1099-B*

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(continued)

01/31/2022

OMB No. 1545-0715

SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

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

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

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PUT AMD 12/10/21	140	ADVANCED MICRO DEVICES INC CUSIP: Symbol(Box 1a): AMD211210P00140000					
12/07/2021	1.00	198.96	12/06/2021	394.02	0.00	-195.06	Sell to Close
CALL SPCE 06/18/21	28	VIRGIN GALACTIC HOLDINGS INC CUSIP: Symbol(Box 1a): SPCE210618C00028000					
05/27/2021	2.00	599.82	05/26/2021	524.16	0.00	75.66	Sell to Close
CALL FB 11/12/21	330	META PLATFORMS INC CL A CUSIP: Symbol(Box 1a): FB211112C00330000					
11/03/2021	5.00	3,339.76	11/02/2021	3,460.21	0.00	-120.45	Sell to Close
CALL SPY 06/09/21	423	STANDARD & POORS DEPOSITORY CUSIP: Symbol(Box 1a): SPY210609C00423000					
06/07/2021	5.00	469.59	06/07/2021	530.39	0.00	-60.80	Sell to Close
CALL AMZN 12/31/21	3500	AMAZON.COM INC CUSIP: Symbol(Box 1a): AMZN211231C03500000					
12/20/2021	1.00	1,994.95	12/17/2021	3,520.02	0.00	-1,525.07	Sell to Close
CALL NVDA 12/10/21	350	NVIDIA CORPORATION CUSIP: Symbol(Box 1a): NVDA211210C00350000					
12/01/2021	1.00	379.96	11/30/2021	339.02	0.00	40.94	Sell to Close
CALL AAPL 11/05/21	150	APPLE INC CUSIP: Symbol(Box 1a): AAPL211105C00150000					
10/26/2021	10.00	2,859.54	10/25/2021	1,980.42	0.00	879.12	Sell to Close
CALL AMC 01/07/22	29	AMC ENTERTAINMENT HOLDINGS INC CUSIP: Symbol(Box 1a): AMC220107C00029000					
12/28/2021	3.00	689.92	12/27/2021	728.06	0.00	-38.14	Sell to Close
CALL PFE 11/19/21	50	PFIZER INC CUSIP: Symbol(Box 1a): PFE211119C00050000					
11/09/2021	20.00	619.12	Various	1,170.82	0.00	-551.70	Sell to Close
CALL RBLX 06/18/21	82	ROBLOX CORPORATION CUSIP: Symbol(Box 1a): RBLX210618C00082000					
06/17/2021	1.00	235.93	06/16/2021	167.05	0.00	68.88	Sell to Close
ZYNGA INC	CLASS A CUSIP: 98986T108 Symbol(Box 1a): ZNGA						
06/10/2021	1.00	10.38	06/07/2021	10.36	0.00	0.02	Sale

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

APEX CLEARING

Proceeds from Broker and Barter Exchange Transactions

2021 Form 1099-B*

5JQ46848

(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 AAPL 07/16/21	145	APPLE INC CUSIP: Symbol(Box 1a): AAPL210716C00145000					
07/09/2021	2.00	429.87	07/08/2021	322.11	0.00	107.76	Sell to Close
CALL SQ 12/10/21	210	BLOCK INC CUSIP: Symbol(Box 1a): SQ211210C00210000					
12/02/2021	4.00	527.89	Various	1,810.08	0.00	-1,282.19	Sell to Close
PUT AMD 01/07/22	155	ADVANCED MICRO DEVICES INC CUSIP: Symbol(Box 1a): AMD220107P00155000					
12/28/2021	2.00	1,179.94	12/27/2021	1,170.04	0.00	9.90	Sell to Close
PUT FB 01/07/22	340	META PLATFORMS INC CL A CUSIP: Symbol(Box 1a): FB220107P00340000					
12/31/2021	10.00	4,449.74	12/31/2021	4,490.21	0.00	-40.47	Sell to Close
CALL SPY 12/03/21	457	STANDARD & POORS DEPOSITORY CUSIP: Symbol(Box 1a): SPY211203C00457000					
12/01/2021	3.00	1,718.92	11/30/2021	1,335.06	0.00	383.86	Sell to Close
CALL FB 12/31/21	332.50	META PLATFORMS INC CL A CUSIP: Symbol(Box 1a): FB211231C00332500					
12/23/2021	5.00	2,849.86	12/22/2021	2,850.11	0.25 D	0.00	Sell to Close
12/23/2021	5.00	2,874.86	12/22/2021	2,350.36	0.00	524.50	Sell to Close
Security Totals:		5,724.72		5,200.47		524.50	
CALL UPS 06/18/21	220	UNITED PARCEL SVC INC CUSIP: Symbol(Box 1a): UPS210618C00220000					
06/11/2021	6.00	47.65	Various	446.48	0.00	-398.83	Sell to Close
Totals:		386,554.26		387,441.37		1,035.63	

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

APEX CLEARING

Miscellaneous Information - Details of Form 1099-MISC

2021

5JQ46848

01/31/2022

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

Description CUSIP Symbol		Substitute Payments in Lieu of Dividends or Interest	
Date	Royalties(Box 2)	Other Income(Box 3)	(Box 8)
ADT INC	COMMON STOCK CUSIP: 00090Q103 Symbol: ADT		
06/07/2021	0.00	11.12	0.00
GENWORTH FINANCIAL INC	COM CL A CUSIP: 37247D106 Symbol: GNW		
05/24/2021	0.00	12.51	0.00
ZYNGA INC	CLASS A CUSIP: 98986T108 Symbol: ZNGA		
06/07/2021	0.00	10.36	0.00
***CEMEX S A B DE C V	SPONSOR ADR REP 10 ORD PRTCP CRTS OF CEMEX S A DE C V CUSIP: 151290889 Symbol: CX		
06/07/2021	0.00	25.29	0.00
KRAFT HEINZ COMPANY (THE)	COMMON STOCK CUSIP: 500754106 Symbol: KHC		
05/30/2021	0.00	43.59	0.00
Totals:	0.00	102.87	0.00

APEX CLEARING

Supplemental Information

2021

5JQ46848

01/31/2022

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

Fees & Expenses

Description	Amount
Margin Interest Expense	
10/18/2021	1.48
11/16/2021	7.66
12/31/2021	5.73
Total:	14.87
Totals:	14.87

Common Instructions for Recipient

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

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

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

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

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

Keep tax documents for your records.

1099-DIV Instructions for Recipient

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

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

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

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

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

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

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

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

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

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

See the instructions for your tax return.

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

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

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

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

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

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

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

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

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

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

1099-INT Instructions for Recipient

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

Boxes 15-17. State tax withheld reporting boxes.

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

1099-B Instructions for Recipient

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

1099-MISC Instructions for Recipient

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

1099-OID Instructions for Recipient

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

Boxes 12–14. State income tax withheld reporting.

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

