

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

BHARATH YADAV POLAM
3640 S FULTON AVE UNIT 1342
HAPEVILLE, GA 30354-1768

IN ACCOUNT WITH
WEBULL FINANCIAL LLC
917-725-2448

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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 5MT93970	Form 1099 Composite	2021
	BHARATH YADAV POLAM 3640 S FULTON AVE UNIT 1342 HAPEVILLE, GA 30354-1768 RECIPIENT'S ID No: XXX-XX-3261	Statement Date: 03/15/2022 [X] Corrected	

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)	36.96	
1b- Qualified Dividends	36.96	
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	0.00	
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

5MT93970

03/15/2022

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	163,149.21	168,111.31	0.00	624.18	-4,337.92
Short-term transactions for noncovered tax lots	555.37	494.60	0.00	0.00	60.77
Total Short-term	163,704.58	168,605.91	0.00	624.18	-4,277.15
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	9,678.11	0.00	0.00	0.00	0.00 C
Total Undetermined-term	9,678.11	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

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							
04/07/2021	167.00	982.13	04/07/2021	985.30	0.00	-3.17	Sale
CALL BABA 07/16/21 225 ALIBABA GROUP HOLDING LIMITED CUSIP: Symbol(Box 1a): BABA210716C00225000							
06/25/2021	1.00	409.93	06/24/2021	279.05	0.00	130.88	Sell to Close
06/25/2021	1.00	467.93	06/24/2021	279.06	0.00	188.87	Sell to Close
Security Totals:		877.86		558.11		319.75	

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APEX CLEARING

Proceeds from Broker and Barter Exchange Transactions

2021 Form 1099-B*

5MT93970

(continued)

03/15/2022

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 AMAT 06/18/21 140	APPLIED MATERIALS INC CUSIP: Symbol(Box 1a): AMAT210618C00140000						
05/27/2021	1.00	344.91	05/27/2021	370.07	0.00	-25.16	Sell to Close
CALL DAL 12/10/21 40	DELTA AIR LINES INC DEL CUSIP: Symbol(Box 1a): DAL211210C00040000						
	1.00	10.96	12/10/2021	0.00	0.00	10.96	Expiration
PUT SPY 07/02/21 427	STANDARD & POORS DEPOSITORY CUSIP: Symbol(Box 1a): SPY210702P00427000						
06/30/2021	1.00	88.93	06/29/2021	118.05	0.00	-29.12	Sell to Close
CALL TSLA 07/30/21 700	TESLA INC CUSIP: Symbol(Box 1a): TSLA210730C00700000						
07/21/2021	1.00	1,069.93	07/20/2021	914.05	0.00	155.88	Sell to Close
CALL NVDA 12/10/21 335	NVIDIA CORPORATION CUSIP: Symbol(Box 1a): NVDA211210C00335000						
12/01/2021	2.00	879.94	Various	1,050.04	0.00	-170.10	Sell to Close
PUT AMD 12/10/21 135	ADVANCED MICRO DEVICES INC CUSIP: Symbol(Box 1a): AMD211210P00135000						
12/07/2021	2.00	221.94	12/06/2021	760.04	0.00	-538.10	Sell to Close
CALL AAPL 08/20/21 148	APPLE INC CUSIP: Symbol(Box 1a): AAPL210820C00148000						
08/10/2021	3.00	263.82	Various	576.16	0.00	-312.34	Sell to Close
DELTA AIR LINES INC DEL COM	CUSIP: 247361702 Symbol(Box 1a): DAL						
11/29/2021	150.00	5,516.95	Various	5,918.20	401.25 D	0.00	Sale
CALL TSLA 08/06/21 750	TESLA INC CUSIP: Symbol(Box 1a): TSLA210806C00750000						
08/02/2021	1.00	629.93	08/02/2021	540.05	0.00	89.88	Sell to Close
CALL VIPS 07/16/21 27	VIPSHOP HOLDINGS LIMITED CUSIP: Symbol(Box 1a): VIPS210716C00027000						
06/25/2021	4.00	79.76	06/24/2021	116.22	0.00	-36.46	Sell to Close
CALL AAPL 07/09/21 143	APPLE INC CUSIP: Symbol(Box 1a): AAPL210709C00143000						
07/06/2021	14.00	1,651.19	Various	1,706.77	0.00	-55.58	Sell to Close
CALL UAL 06/18/21 60	UNITED AIRLINES HOLDINGS INC CUSIP: Symbol(Box 1a): UAL210618C00060000						
05/25/2021	1.00	150.91	05/20/2021	102.07	0.00	48.84	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)

03/15/2022

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
PUT QQQ 07/14/21 360 INVESCO QQQ TRUST SERIES 1 CUSIP: Symbol(Box 1a): QQQ210714P00360000							
07/13/2021	1.00	46.93	07/12/2021	132.05	0.00	-85.12	Sell to Close
PUT SPY 12/01/21 465 STANDARD & POORS DEPOSITORY CUSIP: Symbol(Box 1a): SPY211201P00465000							
11/30/2021	1.00	462.96	11/29/2021	233.02	0.00	229.94	Sell to Close
CALL DAL 12/10/21 41 DELTA AIR LINES INC DEL CUSIP: Symbol(Box 1a): DAL211210C00041000							
12/10/2021	1.00	0.00	12/06/2021	32.02	0.00	-32.02	Expiration
CALL AXL 05/21/21 11 AMERICAN AXLE & MANUFACTURING CUSIP: Symbol(Box 1a): AXL210521C00011000							
05/17/2021	1.00	9.91	05/14/2021	15.07	0.00	-5.16	Sell to Close
PUT DIS 07/16/21 182.50 WALT DISNEY CO CUSIP: Symbol(Box 1a): DIS210716P00182500							
07/15/2021	4.00	183.76	07/15/2021	176.22	0.00	7.54	Sell to Close
CALL BABA 06/04/21 230 ALIBABA GROUP HOLDING LIMITED CUSIP: Symbol(Box 1a): BABA210604C00230000							
06/01/2021	2.00	125.82	06/01/2021	122.16	0.00	3.66	Sell to Close
CALL TSLA 09/17/21 800 TESLA INC ADJ 5:1 STOCK SPLIT CUSIP: Symbol(Box 1a): TSLA210917C00800000							
09/17/2021	1.00	0.93	09/16/2021	11.05	0.00	-10.12	Sell to Close
CALL AMZN 06/25/21 3700 AMAZON.COM INC CUSIP: Symbol(Box 1a): AMZN210625C03700000							
06/22/2021	1.00	184.93	06/22/2021	202.05	0.00	-17.12	Sell to Close
CALL UVXY 07/16/21 32 PROSHARES ULTRA VIX SHORT TERM CUSIP: Symbol(Box 1a): UVXY210716C00032000							
07/06/2021	1.00	118.93	07/02/2021	118.05	0.00	0.88	Sell to Close
CALL TSLA 05/28/21 630 TESLA INC CUSIP: Symbol(Box 1a): TSLA210528C00630000							
05/28/2021	1.00	227.91	05/28/2021	207.07	0.00	20.84	Sell to Close
CALL NVDA 08/06/21 206.25 NVIDIA CORPORATION ADJ 4:1 STOCK SPLIT CUSIP: Symbol(Box 1a): NVDA210806C00206250							
08/05/2021	2.00	335.87	08/05/2021	322.11	0.00	13.76	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)

03/15/2022

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
PUT SPY 07/19/21	430						STANDARD & POORS DEPOSITORY CUSIP: Symbol(Box 1a): SPY210719P00430000
07/16/2021	1.00	105.93	07/16/2021	70.05	0.00	35.88	Sell to Close
CALL TSLA 07/16/21	800						TESLA INC ADJ 5:1 STOCK SPLIT CUSIP: Symbol(Box 1a): TSLA210716C00800000
07/02/2021	1.00	255.93	07/01/2021	300.05	0.00	-44.12	Sell to Close
CALL SPY 06/18/21	421						STANDARD & POORS DEPOSITORY CUSIP: Symbol(Box 1a): SPY210618C00421000
06/16/2021	1.00	217.93	06/16/2021	206.05	0.00	11.88	Sell to Close
CALL UBER 07/16/21	60						UBER TECHNOLOGIES INC CUSIP: Symbol(Box 1a): UBER210716C00060000
06/22/2021	2.00	15.87	05/27/2021	136.16	0.00	-120.29	Sell to Close
CALL SPY 06/18/21	423						STANDARD & POORS DEPOSITORY CUSIP: Symbol(Box 1a): SPY210618C00423000
06/16/2021	1.00	134.93	06/16/2021	135.05	0.00	-0.12	Sell to Close
URBAN ONE INC							CLASS D COMMON STOCK CUSIP: 91705J204 Symbol(Box 1a): UONEK
01/19/2021	200.00	342.19	11/25/2020	308.00	0.00	34.19	Sale
CALL PLUG 07/16/21	34						PLUG POWER INC CUSIP: Symbol(Box 1a): PLUG210716C00034000
06/25/2021	2.00	243.87	Various	377.10	0.00	-133.23	Sell to Close
PUT SPY 07/19/21	432						STANDARD & POORS DEPOSITORY CUSIP: Symbol(Box 1a): SPY210719P00432000
07/14/2021	2.00	151.87	07/14/2021	138.11	0.00	13.76	Sell to Close
CALL AAPL 01/21/22	175						APPLE INC ADJ 4:1 STOCK SPLIT CUSIP: Symbol(Box 1a): AAPL220121C00175000
12/09/2021	1.00	732.96	12/08/2021	675.02	0.00	57.94	Sell to Close
CALL SPY 03/18/22	500						STANDARD & POORS DEPOSITORY CUSIP: Symbol(Box 1a): SPY220318C00500000
11/09/2021	1.00	351.94	10/29/2021	201.04	0.00	150.90	Sell to Close
CALL NIO 08/20/21	45						NIO INC ADS CUSIP: Symbol(Box 1a): NIO210820C00045000
07/21/2021	1.00	449.93	07/19/2021	277.06	0.00	172.87	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)

03/15/2022

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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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 NIO 08/20/21 45 NIO INC ADS CUSIP: Symbol(Box 1a): NIO210820C00045000							
07/21/2021	3.00	1,199.82	07/19/2021	831.16	0.00	368.66	Sell to Close
07/23/2021	1.00	293.93	07/19/2021	277.05	0.00	16.88	Sell to Close
Security Totals:		1,943.68		1,385.27		558.41	
CALL DKNK 07/09/21 53 DRAFTKINGS INC CL A CUSIP: Symbol(Box 1a): DKNK210709C00053000							
07/02/2021	4.00	239.76	07/02/2021	320.22	0.00	-80.46	Sell to Close
CALL AAPL 05/21/21 126 APPLE INC CUSIP: Symbol(Box 1a): AAPL210521C00126000							
05/21/2021	1.00	18.91	05/21/2021	18.07	0.00	0.84	Sell to Close
CALL RBLX 06/04/21 100 ROBLOX CORPORATION CUSIP: Symbol(Box 1a): RBLX210604C00100000							
06/02/2021	1.00	222.91	06/01/2021	160.07	0.00	62.84	Sell to Close
CALL AAPL 07/16/21 144 APPLE INC CUSIP: Symbol(Box 1a): AAPL210716C00144000							
07/07/2021	20.00	4,126.84	07/07/2021	3,541.09	0.00	585.75	Sell to Close
CALL DPW 07/16/21 3.50 AULT GLOBAL HOLDINGS INC CUSIP: Symbol(Box 1a): DPW210716C00003500							
06/15/2021	1.00	39.93	06/15/2021	60.05	0.00	-20.12	Sell to Close
CALL JD 08/20/21 75 JD.COM INC CUSIP: Symbol(Box 1a): JD210820C00075000							
06/25/2021	2.00	955.87	Various	843.12	0.00	112.75	Sell to Close
CALL SNAP 07/23/21 64 SNAP INC CUSIP: Symbol(Box 1a): SNAP210723C00064000							
07/19/2021	1.00	169.93	07/14/2021	335.05	0.00	-165.12	Sell to Close
CALL NNDM 12/17/21 15 NANO DIMENSION LTD ADS CUSIP: Symbol(Box 1a): NNDM211217C00015000							
06/04/2021	4.00	295.66	06/04/2021	304.32	0.00	-8.66	Sell to Close
CALL NIO 10/29/21 40 NIO INC ADS CUSIP: Symbol(Box 1a): NIO211029C00040000							
10/21/2021	3.00	380.85	10/21/2021	315.13	0.00	65.72	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)

03/15/2022

OMB No. 1545-0715

SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

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

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

Date Sold or Disposed (Box 1c)	Quantity	Proceeds (Box 1d)	Date Acquired (Box 1b)	Cost or Other Basis (Box 1e)	Accrued Market Discount (M)(Box 1f) & Wash Sale Loss Disallowed (D)(Box 1g)	Gain or Loss(-)	Additional Notes
10/21/2021	2.00	209.90	10/21/2021	210.08	0.00	-0.18	Sell to Close
Security Totals:		590.75		525.21		65.54	
CALL SPY 05/19/21 412			STANDARD & POORS DEPOSITORY CUSIP: Symbol(Box 1a): SPY210519C00412000				
05/19/2021	1.00	4.91	05/19/2021	12.07	0.00	-7.16	Sell to Close
CALL RKT 07/02/21 21			ROCKET COMPANIES INC CL A CUSIP: Symbol(Box 1a): RKT210702C00021000				
06/25/2021	2.00	53.87	06/24/2021	90.11	0.00	-36.24	Sell to Close
CALL FB 06/25/21 345			FACEBOOK INC CL A CUSIP: Symbol(Box 1a): FB210625C00345000				
06/23/2021	1.00	173.93	06/22/2021	132.05	0.00	41.88	Sell to Close
CALL MRNA 07/23/21 340			MODERNA INC CUSIP: Symbol(Box 1a): MRNA210723C00340000				
07/20/2021	1.00	1,079.93	07/20/2021	895.05	0.00	184.88	Sell to Close
PUT SPY 05/26/21 418			STANDARD & POORS DEPOSITORY CUSIP: Symbol(Box 1a): SPY210526P00418000				
05/25/2021	1.00	93.91	05/25/2021	100.23	0.00	-6.32	Sell to Close
05/25/2021	1.00	95.91	05/25/2021	108.07	12.16 D	0.00	Sell to Close
Security Totals:		189.82		208.30		-6.32	
CALL BTBT 11/19/21 15			BIT DIGITAL INC CUSIP: Symbol(Box 1a): BTBT211119C00015000				
10/21/2021	10.00	305.55	Various	850.42	0.00	-544.87	Sell to Close
CALL WISH 07/16/21 14			CONTEXTLOGIC INC CL A CUSIP: Symbol(Box 1a): WISH210716C00014000				
06/24/2021	4.00	979.76	06/24/2021	800.22	0.00	179.54	Sell to Close
06/25/2021	1.00	234.93	06/24/2021	200.05	0.00	34.88	Sell to Close
Security Totals:		1,214.69		1,000.27		214.42	
CALL SBUX 07/23/21 122			STARBUCKS CORPORATION CUSIP: Symbol(Box 1a): SBUX210723C00122000				
07/14/2021	1.00	61.93	07/14/2021	68.05	0.00	-6.12	Sell to Close

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APEX CLEARING

Proceeds from Broker and Barter Exchange Transactions

2021 Form 1099-B*

5MT93970

(continued)

03/15/2022

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
07/14/2021	4.00	299.76	07/14/2021	272.22	0.00	27.54	Sell to Close
Security Totals:		361.69		340.27		21.42	
CALL PYPL 05/28/21 262.50 PAYPAL HOLDINGS INC CUSIP: Symbol(Box 1a): PYPL210528C00262500							
05/27/2021	1.00	69.91	05/27/2021	60.07	0.00	9.84	Sell to Close
CALL UWMC 06/18/21 9 UWM HOLDINGS CORPORATION CL A CUSIP: Symbol(Box 1a): UWMC210618C00009000							
06/09/2021	2.00	409.82	Various	88.14	0.00	321.68	Sell to Close
CALL ROKU 10/08/21 330 ROKU INC CUSIP: Symbol(Box 1a): ROKU211008C00330000							
10/07/2021	1.00	294.94	10/07/2021	268.04	0.00	26.90	Sell to Close
CALL ROKU 08/20/21 435 ROKU INC CUSIP: Symbol(Box 1a): ROKU210820C00435000							
08/10/2021	1.00	203.93	08/06/2021	590.05	0.00	-386.12	Sell to Close
CALL NVDA 12/31/21 300 NVIDIA CORPORATION CUSIP: Symbol(Box 1a): NVDA211231C00300000							
12/22/2021	1.00	689.96	12/22/2021	589.02	0.00	100.94	Sell to Close
12/27/2021	1.00	1,129.96	12/22/2021	475.02	0.00	654.94	Sell to Close
Security Totals:		1,819.92		1,064.04		755.88	
PUT MARA 12/17/21 42 MARATHON DIGITAL HOLDINGS INC CUSIP: Symbol(Box 1a): MARA211217P00042000							
12/13/2021	1.00	399.96	12/09/2021	300.02	0.00	99.94	Sell to Close
PUT SPY 07/23/21 411 STANDARD & POORS DEPOSITORY CUSIP: Symbol(Box 1a): SPY210723P00411000							
07/19/2021	1.00	66.93	07/16/2021	37.05	0.00	29.88	Sell to Close
CALL BBIG 06/18/21 7.50 VINCO VENTURES INC CUSIP: Symbol(Box 1a): BBIG210618C00007500							
06/09/2021	1.00	54.91	06/09/2021	60.07	0.00	-5.16	Sell to Close
ROCKET COMPANIES INC CLASS A COMMON STOCK CUSIP: 77311W101 Symbol(Box 1a): RKT							
08/04/2021	100.00	1,718.98	08/02/2021	1,736.00	0.00	-17.02	Sale

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APEX CLEARING

Proceeds from Broker and Barter Exchange Transactions

2021 Form 1099-B*

5MT93970

(continued)

03/15/2022

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 07/23/21 155							
APPLE INC CUSIP: Symbol(Box 1a): AAPL210723C00155000							
07/14/2021	10.00	559.42	Various	626.54	0.00	-67.12	Sell to Close
PUT SPY 07/02/21 433							
STANDARD & POORS DEPOSITORY CUSIP: Symbol(Box 1a): SPY210702P00433000							
07/02/2021	4.00	131.76	07/02/2021	120.22	0.00	11.54	Sell to Close
CALL HD 07/30/21 325							
HOME DEPOT INC CUSIP: Symbol(Box 1a): HD210730C00325000							
07/16/2021	1.00	384.93	07/15/2021	320.05	0.00	64.88	Sell to Close
CALL PTON 08/20/21 125							
PELTON INTERACTIVE INC CL A CUSIP: Symbol(Box 1a): PTON210820C00125000							
08/10/2021	1.00	89.93	08/04/2021	340.05	0.00	-250.12	Sell to Close
CALL WOOF 06/18/21 30							
PETCO HEALTH AND WLLNSS CMPNY CUSIP: Symbol(Box 1a): WOOF210618C00030000							
06/14/2021	1.00	209.93	06/14/2021	235.05	0.00	-25.12	Sell to Close
CALL AMD 12/31/21 144							
ADVANCED MICRO DEVICES INC CUSIP: Symbol(Box 1a): AMD211231C00144000							
12/22/2021	2.00	879.94	12/22/2021	726.04	0.00	153.90	Sell to Close
12/27/2021	1.00	829.96	12/22/2021	320.02	0.00	509.94	Sell to Close
Security Totals:		1,709.90		1,046.06		663.84	
CALL AAPL 07/09/21 137							
APPLE INC CUSIP: Symbol(Box 1a): AAPL210709C00137000							
06/30/2021	4.00	619.76	06/30/2021	564.22	0.00	55.54	Sell to Close
CALL CLF 07/16/21 23							
CLEVELAND CLIFFS INC CUSIP: Symbol(Box 1a): CLF210716C00023000							
07/02/2021	1.00	65.94	07/01/2021	78.05	0.00	-12.11	Sell to Close
CALL SPY 07/02/21 434							
STANDARD & POORS DEPOSITORY CUSIP: Symbol(Box 1a): SPY210702C00434000							
07/02/2021	1.00	10.93	07/02/2021	11.05	0.00	-0.12	Sell to Close
CALL DAL 12/10/21 38							
DELTA AIR LINES INC DEL CUSIP: Symbol(Box 1a): DAL211210C00038000							
12/08/2021	1.00	181.96	12/08/2021	178.02	0.00	3.94	Sell to Close

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APEX CLEARING

Proceeds from Broker and Barter Exchange Transactions

2021 Form 1099-B*

5MT93970

(continued)

03/15/2022

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
12/08/2021	2.00	379.94	12/08/2021	356.04	0.00	23.90	Sell to Close
Security Totals:		561.90		534.06		27.84	
CALL VALE 08/20/21 22 VALE S A CUSIP: Symbol(Box 1a): VALE210820C00022000							
07/12/2021	4.00	395.76	07/07/2021	360.22	0.00	35.54	Sell to Close
***NAKED BRAND GROUP LIMITED ORDINARY SHARES CUSIP: Q6519T117 Symbol(Box 1a): NAKD							
01/27/2021	2.00	2.88	01/27/2021	2.64	0.00	0.24	Sale
01/27/2021	798.00	1,133.04	01/27/2021	1,053.36	0.00	79.68	Sale
01/27/2021	628.00	822.59	01/27/2021	998.52	121.02 D	-54.91	Sale
01/28/2021	432.00	1,166.32	Various	1,118.35	0.00	47.97	Sale
Security Totals:		3,124.83		3,172.87		72.98	
FISERV INC CUSIP: 337738108 Symbol(Box 1a): FISV							
11/11/2021	40.00	4,017.56	Various	4,152.50	0.00	-134.94	Sale
CALL AAPL 01/21/22 165 APPLE INC ADJ 4:1 STOCK SPLIT CUSIP: Symbol(Box 1a): AAPL220121C00165000							
11/30/2021	1.00	544.96	11/29/2021	450.02	0.00	94.94	Sell to Close
12/01/2021	1.00	859.96	11/29/2021	450.02	0.00	409.94	Sell to Close
Security Totals:		1,404.92		900.04		504.88	
CALL RBLX 08/13/21 82 ROBLOX CORPORATION CUSIP: Symbol(Box 1a): RBLX210813C00082000							
08/05/2021	3.00	647.82	08/05/2021	628.16	0.00	19.66	Sell to Close
CALL AMD 06/11/21 81.50 ADVANCED MICRO DEVICES INC CUSIP: Symbol(Box 1a): AMD210611C00081500							
06/08/2021	1.00	72.91	06/08/2021	81.07	0.00	-8.16	Sell to Close
ARK ETF TRUST ARK FINTECH INNOVATION ETF CUSIP: 00214Q708 Symbol(Box 1a): ARKF							
11/15/2021	10.00	531.68	Various	526.04	0.00	5.64	Sale

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APEX CLEARING

Proceeds from Broker and Barter Exchange Transactions

2021 Form 1099-B*

5MT93970

(continued)

03/15/2022

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 WKHS 03/26/21 15							
							WORKHORSE GROUP INC CUSIP: Symbol(Box 1a): WKHS210326C00015000
03/25/2021	1.00	6.90	03/23/2021	56.08	0.00	-49.18	Sell to Close
CALL TSLA 07/23/21 700							TESLA INC CUSIP: Symbol(Box 1a): TSLA210723C00700000
07/19/2021	2.00	181.87	07/19/2021	206.11	0.00	-24.24	Sell to Close
CALL IWM 11/05/21 227							ISHARES RUSSELL 2000 ETF CUSIP: Symbol(Box 1a): IWM211105C00227000
10/20/2021	1.00	370.94	10/20/2021	309.04	0.00	61.90	Sell to Close
CALL AMC 06/18/21 145							AMC ENTERTAINMENT HOLDINGS INC CUSIP: Symbol(Box 1a): AMC210618C00145000
06/17/2021	1.00	11.93	06/14/2021	83.05	0.00	-71.12	Sell to Close
***PINDUODUO INC							AMERICAN DEPOSITARY SHARES CUSIP: 722304102 Symbol(Box 1a): PDD
11/30/2021	10.00	662.48	09/15/2021	988.70	0.00	-326.22	Sale
CALL QCOM 12/17/21 182.50							QUALCOMM INC CUSIP: Symbol(Box 1a): QCOM211217C00182500
12/08/2021	1.00	432.96	12/08/2021	400.02	0.00	32.94	Sell to Close
PUT NFLX 07/23/21 475							NETFLIX INC CUSIP: Symbol(Box 1a): NFLX210723P00475000
07/21/2021	1.00	9.93	07/20/2021	100.05	0.00	-90.12	Sell to Close
CALL AAPL 07/09/21 141							APPLE INC CUSIP: Symbol(Box 1a): AAPL210709C00141000
07/06/2021	2.00	351.88	07/06/2021	310.11	0.00	41.77	Sell to Close
07/06/2021	6.00	887.65	Various	709.32	0.00	178.33	Sell to Close
Security Totals:		1,239.53		1,019.43		220.10	
PUT NKE 07/30/21 155							NIKE INC CLASS B CUSIP: Symbol(Box 1a): NKE210730P00155000
07/26/2021	2.00	15.87	Various	250.10	0.00	-234.23	Sell to Close
PUT FB 07/16/21 342.50							FACEBOOK INC CL A CUSIP: Symbol(Box 1a): FB210716P00342500
07/15/2021	2.00	303.87	07/15/2021	359.11	0.00	-55.24	Sell to Close

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2021 Form 1099-B*

5MT93970

(continued)

03/15/2022

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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
CALL AHT 06/18/21	7.50	ASHFORD HOSPITALITY TRUST INC CUSIP: Symbol(Box 1a): AHT210618C00007500					
06/02/2021	4.00	271.66	06/02/2021	160.32	0.00	111.34	Sell to Close
CALL AAPL 12/10/21	175	APPLE INC CUSIP: Symbol(Box 1a): AAPL211210C00175000					
12/08/2021	3.00	377.92	12/08/2021	501.06	0.00	-123.14	Sell to Close
CALL SPY 08/20/21	440	STANDARD & POORS DEPOSITORY CUSIP: Symbol(Box 1a): SPY210820C00440000					
07/20/2021	2.00	595.87	07/20/2021	492.11	0.00	103.76	Sell to Close
08/04/2021	1.00	438.93	07/20/2021	246.05	0.00	192.88	Sell to Close
Security Totals:		1,034.80		738.16		296.64	
CALL SPY 07/21/21	424	STANDARD & POORS DEPOSITORY CUSIP: Symbol(Box 1a): SPY210721C00424000					
07/19/2021	10.00	2,229.41	07/19/2021	2,669.55	0.00	-440.14	Sell to Close
PUT NVDA 07/23/21	720	NVIDIA CORP CUSIP: Symbol(Box 1a): NVDA210723P00720000					
07/16/2021	1.00	1,564.93	07/16/2021	1,050.05	0.00	514.88	Sell to Close
CALL BFLY 07/16/21	15	BUTTERFLY NETWORK INC CL A CUSIP: Symbol(Box 1a): BFLY210716C00015000					
07/01/2021	1.00	40.93	07/01/2021	45.05	0.00	-4.12	Sell to Close
CALL TGT 06/11/21	240	TARGET CORP CUSIP: Symbol(Box 1a): TGT210611C00240000					
06/09/2021	1.00	39.91	06/09/2021	57.07	0.00	-17.16	Sell to Close
CALL ORCL 06/25/21	80	ORACLE CORP CUSIP: Symbol(Box 1a): ORCL210625C00080000					
06/22/2021	2.00	21.87	06/21/2021	26.11	0.00	-4.24	Sell to Close
CALL PLUG 11/26/21	42	PLUG POWER INC CUSIP: Symbol(Box 1a): PLUG211126C00042000					
11/11/2021	1.00	344.96	11/10/2021	215.04	0.00	129.92	Sell to Close
CALL NIO 01/07/22	30	NIO INC ADS CUSIP: Symbol(Box 1a): NIO220107C00030000					
12/23/2021	3.00	368.92	12/21/2021	534.06	0.00	-165.14	Sell to Close

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Proceeds from Broker and Barter Exchange Transactions

2021 Form 1099-B*

5MT93970

(continued)

03/15/2022

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 RIOT 07/16/21 40 RIOT BLOCKCHAIN INC CUSIP: Symbol(Box 1a): RIOT210716C00040000							
07/01/2021	2.00	281.87	Various	425.10	0.00	-143.23	Sell to Close
***CERAGON NETWORKS LTD CUSIP: M22013102 Symbol(Box 1a): CRNT							
02/04/2021	200.00	1,027.95	02/03/2021	1,180.00	0.00	-152.05	Sale
PUT JNJ 07/16/21 165 JOHNSON & JOHNSON CUSIP: Symbol(Box 1a): JNJ210716P00165000							
07/13/2021	2.00	15.87	07/12/2021	38.11	0.00	-22.24	Sell to Close
CALL SPY 05/28/21 421 STANDARD & POORS DEPOSITORY CUSIP: Symbol(Box 1a): SPY210528C00421000							
05/27/2021	1.00	85.91	05/27/2021	76.07	0.00	9.84	Sell to Close
***TANTECH HOLDINGS LTD COM CUSIP: G8675X107 Symbol(Box 1a): TANH							
01/26/2021	233.00	461.29	01/25/2021	498.62	0.00	-37.33	Sale
CALL MSFT 06/25/21 265 MICROSOFT CORP CUSIP: Symbol(Box 1a): MSFT210625C00265000							
06/21/2021	1.00	151.93	06/21/2021	140.05	0.00	11.88	Sell to Close
06/22/2021	2.00	289.87	06/21/2021	244.11	0.00	45.76	Sell to Close
Security Totals:		441.80		384.16		57.64	
CALL SNAP 07/09/21 69 SNAP INC CUSIP: Symbol(Box 1a): SNAP210709C00069000							
06/30/2021	4.00	643.76	Various	644.22	2.23 D	1.77	Sell to Close
07/06/2021	10.00	1,389.42	Various	1,352.78	0.00	36.64	Sell to Close
Security Totals:		2,033.18		1,997.00		38.41	
PUT SNAP 07/09/21 69 SNAP INC CUSIP: Symbol(Box 1a): SNAP210709P00069000							
07/06/2021	5.00	534.71	07/06/2021	580.27	0.00	-45.56	Sell to Close
PUT SPY 06/21/21 421 STANDARD & POORS DEPOSITORY CUSIP: Symbol(Box 1a): SPY210621P00421000							
06/21/2021	4.00	283.76	06/21/2021	248.22	0.00	35.54	Sell to Close
PUT AMD 12/03/21 150 ADVANCED MICRO DEVICES INC CUSIP: Symbol(Box 1a): AMD211203P00150000							
12/01/2021	3.00	365.92	12/01/2021	381.06	0.00	-15.14	Sell to Close

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APEX CLEARING

Proceeds from Broker and Barter Exchange Transactions

2021 Form 1099-B*

5MT93970

(continued)

03/15/2022

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
KOSS CORP CUSIP: 500692108 Symbol(Box 1a): KOSS							
01/25/2021	53.00	490.75	01/25/2021	482.30	0.00	8.45	Sale
01/25/2021	138.00	1,025.29	01/25/2021	986.70	0.00	38.59	Sale
Security Totals:		1,516.04		1,469.00		47.04	
CALL AMZN 05/28/21 3300 AMAZON.COM INC CUSIP: Symbol(Box 1a): AMZN210528C03300000							
05/28/2021	3.00	53.75	05/28/2021	93.23	0.00	-39.48	Sell to Close
PUT NFLX 11/19/21 640 NETFLIX INC CUSIP: Symbol(Box 1a): NFLX211119P00640000							
11/10/2021	1.00	999.94	11/10/2021	760.04	0.00	239.90	Sell to Close
CALL PLUG 12/17/21 45 PLUG POWER INC CUSIP: Symbol(Box 1a): PLUG211217C00045000							
11/17/2021	2.00	543.94	11/16/2021	562.04	0.00	-18.10	Sell to Close
CALL JD 06/25/21 75 JD.COM INC CUSIP: Symbol(Box 1a): JD210625C00075000							
06/24/2021	3.00	119.82	06/24/2021	111.16	0.00	8.66	Sell to Close
PUT SPY 10/20/21 420 STANDARD & POORS DEPOSITORY CUSIP: Symbol(Box 1a): SPY211020P00420000							
10/12/2021	1.00	109.94	10/11/2021	123.04	0.00	-13.10	Sell to Close
10/20/2021	1.00	0.00	10/11/2021	123.04	0.00	-123.04	Expiration
Security Totals:		109.94		246.08		-136.14	
CALL BA 05/21/21 235 BOEING CO CUSIP: Symbol(Box 1a): BA210521C00235000							
05/21/2021	1.00	26.91	05/21/2021	58.07	0.00	-31.16	Sell to Close
CALL SNAP 07/09/21 68.50 SNAP INC CUSIP: Symbol(Box 1a): SNAP210709C00068500							
07/06/2021	1.00	172.93	07/06/2021	163.05	0.00	9.88	Sell to Close
07/06/2021	5.00	999.71	Various	799.28	0.00	200.43	Sell to Close
Security Totals:		1,172.64		962.33		210.31	

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APEX CLEARING

Proceeds from Broker and Barter Exchange Transactions

2021 Form 1099-B*

5MT93970

(continued)

03/15/2022

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
CALL AMD 12/03/21	160	ADVANCED MICRO DEVICES INC CUSIP: Symbol(Box 1a): AMD211203C00160000					
11/29/2021	1.00	489.96	11/29/2021	395.02	0.00	94.94	Sell to Close
CALL AMD 12/10/21	160	ADVANCED MICRO DEVICES INC CUSIP: Symbol(Box 1a): AMD211210C00160000					
12/01/2021	2.00	587.94	12/01/2021	840.04	0.00	-252.10	Sell to Close
CALL TSLA 12/03/21	1220	TESLA INC CUSIP: Symbol(Box 1a): TSLA211203C01220000					
12/01/2021	1.00	436.96	11/30/2021	360.02	0.00	76.94	Sell to Close
CALL FB 08/06/21	362.50	FACEBOOK INC CL A CUSIP: Symbol(Box 1a): FB210806C00362500					
08/05/2021	1.00	180.93	08/05/2021	177.05	0.00	3.88	Sell to Close
CALL DIS 08/20/21	180	WALT DISNEY CO CUSIP: Symbol(Box 1a): DIS210820C00180000					
07/02/2021	2.00	963.87	Various	1,000.10	53.12 D	16.89	Sell to Close
07/12/2021	1.00	590.93	07/02/2021	497.17	0.00	93.76	Sell to Close
Security Totals:		1,554.80		1,497.27		110.65	
CALL LOW 07/16/21	202.50	LOWES COMPANIES INC CUSIP: Symbol(Box 1a): LOW210716C00202500					
06/29/2021	2.00	151.87	06/23/2021	124.11	0.00	27.76	Sell to Close
CALL AAPL 02/26/21	134	APPLE INC CUSIP: Symbol(Box 1a): AAPL210226C00134000					
02/22/2021	1.00	21.90	02/11/2021	330.08	0.00	-308.18	Sell to Close
CALL FB 01/07/22	345	META PLATFORMS INC CL A CUSIP: Symbol(Box 1a): FB220107C00345000					
12/31/2021	2.00	609.94	12/31/2021	700.04	0.00	-90.10	Sell to Close
CALL DAL 11/19/21	45	DELTA AIR LINES INC DEL CUSIP: Symbol(Box 1a): DAL211119C00045000					
11/16/2021	1.00	1.96	11/12/2021	10.02	0.00	-8.06	Sell to Close
CALL MSFT 07/09/21	275	MICROSOFT CORP CUSIP: Symbol(Box 1a): MSFT210709C00275000					
06/30/2021	4.00	443.76	06/30/2021	424.22	0.00	19.54	Sell to Close

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Proceeds from Broker and Barter Exchange Transactions

2021 Form 1099-B*

5MT93970

(continued)

03/15/2022

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
PUT MSFT 07/09/21 275 MICROSOFT CORP CUSIP: Symbol(Box 1a): MSFT210709P00275000							
07/07/2021	1.00	41.93	07/06/2021	142.05	0.00	-100.12	Sell to Close
CALL AAPL 11/12/21 150 APPLE INC CUSIP: Symbol(Box 1a): AAPL211112C00150000							
11/12/2021	1.00	0.00	11/12/2021	18.02	0.00	-18.02	Expiration
CALL AMD 12/17/21 138 ADVANCED MICRO DEVICES INC CUSIP: Symbol(Box 1a): AMD211217C00138000							
12/14/2021	2.00	299.94	12/14/2021	398.04	0.00	-98.10	Sell to Close
PETCO HEALTH AND WELLNESS COMPANY INC CLASS A COMMON STOCK CUSIP: 71601V105 Symbol(Box 1a): WOOF							
06/15/2021	10.00	249.98	06/14/2021	279.30	0.00	-29.32	Sale
CALL EXPR 06/11/21 6 EXPRESS INC CUSIP: Symbol(Box 1a): EXPR210611C00006000							
06/08/2021	3.00	188.75	06/08/2021	180.23	0.00	8.52	Sell to Close
CALL X 05/21/21 24.50 UNITED STATES STL CORP NEW CUSIP: Symbol(Box 1a): X210521C00024500							
05/21/2021	1.00	42.91	05/21/2021	33.07	0.00	9.84	Sell to Close
CALL NVDA 12/17/21 320 NVIDIA CORPORATION CUSIP: Symbol(Box 1a): NVDA211217C00320000							
12/08/2021	1.00	904.96	12/07/2021	1,115.02	0.00	-210.06	Sell to Close
PUT SPY 08/20/21 355 STANDARD & POORS DEPOSITORY CUSIP: Symbol(Box 1a): SPY210820P00355000							
08/04/2021	1.00	8.93	07/20/2021	55.05	0.00	-46.12	Sell to Close
PUT TTD 06/25/21 73 TRADE DESK INC CLASS A ADJ 10:1 STOCK SPLIT CUSIP: Symbol(Box 1a): TTD210625P00073000							
06/24/2021	1.00	84.93	06/24/2021	90.05	0.00	-5.12	Sell to Close
CALL AAPL 06/25/21 134 APPLE INC CUSIP: Symbol(Box 1a): AAPL210625C00134000							
06/22/2021	2.00	151.88	06/22/2021	138.11	0.00	13.77	Sell to Close
FLUIDIGM CORPORATION CUSIP: 34385P108 Symbol(Box 1a): FLDM							
03/25/2021	59.00	248.45	02/10/2021	493.24	0.00	-244.79	Sale

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APEX CLEARING

Proceeds from Broker and Barter Exchange Transactions

2021 Form 1099-B*

5MT93970

(continued)

03/15/2022

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
PUT UPS 08/20/21 187.50 UNITED PARCEL SVC INC CUSIP: Symbol(Box 1a): UPS210820P00187500							
08/10/2021	2.00	243.87	08/05/2021	440.11	0.00	-196.24	Sell to Close
CALL SPY 08/06/21 444 STANDARD & POORS DEPOSITORY CUSIP: Symbol(Box 1a): SPY210806C00444000							
08/06/2021	2.00	0.00	08/05/2021	28.11	0.00	-28.11	Expiration
CALL SPY 07/12/21 430 STANDARD & POORS DEPOSITORY CUSIP: Symbol(Box 1a): SPY210712C00430000							
07/08/2021	10.00	1,866.42	07/08/2021	2,100.55	0.00	-234.13	Sell to Close
PUT RIVN 12/10/21 113 RIVIAN AUTOMOTIVE INC CLASS A CUSIP: Symbol(Box 1a): RIVN211210P00113000							
12/08/2021	1.00	169.96	12/08/2021	340.02	0.00	-170.06	Sell to Close
PUT SPY 07/21/21 415 STANDARD & POORS DEPOSITORY CUSIP: Symbol(Box 1a): SPY210721P00415000							
07/19/2021	10.00	1,289.42	Various	1,254.54	0.00	34.88	Sell to Close
CALL AMD 10/29/21 110 ADVANCED MICRO DEVICES INC CUSIP: Symbol(Box 1a): AMD211029C00110000							
10/12/2021	1.00	221.94	10/11/2021	280.04	0.00	-58.10	Sell to Close
CALL PFE 09/24/21 44 PFIZER INC CUSIP: Symbol(Box 1a): PFE210924C00044000							
09/22/2021	1.00	31.93	09/22/2021	40.05	0.00	-8.12	Sell to Close
PUT SPY 07/16/21 432 STANDARD & POORS DEPOSITORY CUSIP: Symbol(Box 1a): SPY210716P00432000							
07/16/2021	1.00	7.94	07/15/2021	81.05	0.00	-73.11	Sell to Close
CALL BA 07/16/21 265 BOEING CO CUSIP: Symbol(Box 1a): BA210716C00265000							
06/15/2021	1.00	311.93	06/15/2021	310.05	0.00	1.88	Sell to Close
PHIO PHARMACEUTICALS CORP COMMON STOCK CUSIP: 71880W303 Symbol(Box 1a): PHIO							
01/26/2021	110.00	394.88	01/26/2021	473.00	0.00	-78.12	Sale
PUT SPY 05/19/21 405 STANDARD & POORS DEPOSITORY CUSIP: Symbol(Box 1a): SPY210519P00405000							
05/19/2021	1.00	22.91	05/19/2021	9.07	0.00	13.84	Sell to Close

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2021 Form 1099-B*

5MT93970

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03/15/2022

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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
CALL SPY 06/14/21 425 STANDARD & POORS DEPOSITORY CUSIP: Symbol(Box 1a): SPY210614C00425000							
06/10/2021	4.00	311.66	Various	322.30	0.00	-10.64	Sell to Close
TRACON PHARMACEUTICALS INC COMMON STOCK CUSIP: 89237H209 Symbol(Box 1a): TCON							
05/06/2021	254.00	1,676.36	Various	1,990.12	0.00	-313.76	Sale
CALL PENN 11/19/21 80 PENN NATIONAL GAMING INC CUSIP: Symbol(Box 1a): PENN211119C00080000							
10/15/2021	3.00	1,469.85	Various	1,045.13	0.00	424.72	Sell to Close
10/18/2021	1.00	359.94	10/11/2021	315.04	0.00	44.90	Sell to Close
Security Totals:		1,829.79		1,360.17		469.62	
CALL SPY 07/23/21 428 STANDARD & POORS DEPOSITORY CUSIP: Symbol(Box 1a): SPY210723C00428000							
07/19/2021	2.00	337.87	07/19/2021	450.11	0.00	-112.24	Sell to Close
CALL X 06/18/21 27 UNITED STATES STL CORP NEW CUSIP: Symbol(Box 1a): X210618C00027000							
06/09/2021	1.00	114.91	06/01/2021	141.07	0.00	-26.16	Sell to Close
CALL AAPL 06/18/21 130 APPLE INC ADJ 4:1 STOCK SPLIT CUSIP: Symbol(Box 1a): AAPL210618C00130000							
05/27/2021	1.00	105.92	05/20/2021	227.07	0.00	-121.15	Sell to Close
CALL AAPL 07/16/21 135 APPLE INC CUSIP: Symbol(Box 1a): AAPL210716C00135000							
06/22/2021	1.00	160.94	06/22/2021	149.05	0.00	11.89	Sell to Close
06/29/2021	4.00	1,055.76	06/29/2021	916.22	0.00	139.54	Sell to Close
Security Totals:		1,216.70		1,065.27		151.43	
CALL AFRM 12/17/21 127 AFFIRM HOLDINGS INC CL A CUSIP: Symbol(Box 1a): AFRM211217C00127000							
12/08/2021	1.00	679.96	12/08/2021	565.02	0.00	114.94	Sell to Close
***NIO INC AMERICAN DEPOSITARY SHARES ECH RPRSNTNG ONE CL A ORD SHARE CUSIP: 62914V106 Symbol(Box 1a): NIO							
12/29/2021	60.00	1,675.78	12/23/2021	1,832.36	0.00	-156.58	Sale
PUT ROKU 12/10/21 190 ROKU INC CUSIP: Symbol(Box 1a): ROKU211210P00190000							
12/06/2021	1.00	334.96	12/03/2021	420.02	0.00	-85.06	Sell to Close

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5MT93970

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03/15/2022

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SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

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CALL SPY 07/16/21	438	STANDARD & POORS DEPOSITORY CUSIP: Symbol(Box 1a): SPY210716C00438000					
07/14/2021	4.00	475.76	07/14/2021	588.22	0.00	-112.46	Sell to Close
CALL SNAP 07/16/21	70	SNAP INC CUSIP: Symbol(Box 1a): SNAP210716C00070000					
07/06/2021	1.00	192.93	07/02/2021	146.05	0.00	46.88	Sell to Close
07/06/2021	1.00	203.93	07/02/2021	166.05	0.00	37.88	Sell to Close
Security Totals:		396.86		312.10		84.76	
CALL SPCE 08/20/21	50	VIRGIN GALACTIC HOLDINGS INC CUSIP: Symbol(Box 1a): SPCE210820C00050000					
07/12/2021	4.00	1,799.76	07/12/2021	2,340.22	0.00	-540.46	Sell to Close
CALL AMD 06/11/21	83	ADVANCED MICRO DEVICES INC CUSIP: Symbol(Box 1a): AMD210611C00083000					
06/08/2021	3.00	71.75	Various	262.21	0.00	-190.46	Sell to Close
CALL UAL 06/04/21	60	UNITED AIRLINES HOLDINGS INC CUSIP: Symbol(Box 1a): UAL210604C00060000					
06/01/2021	1.00	74.91	06/01/2021	82.07	0.00	-7.16	Sell to Close
CALL WFC 06/25/21	45	WELLS FARGO & CO CUSIP: Symbol(Box 1a): WFC210625C00045000					
06/24/2021	2.00	119.87	06/24/2021	106.11	0.00	13.76	Sell to Close
PUT SPY 07/16/21	436	STANDARD & POORS DEPOSITORY CUSIP: Symbol(Box 1a): SPY210716P00436000					
07/14/2021	2.00	249.87	07/14/2021	230.11	0.00	19.76	Sell to Close
CALL DKNG 07/16/21	55	DRAFTKINGS INC CL A CUSIP: Symbol(Box 1a): DKNG210716C00055000					
06/24/2021	3.00	338.82	Various	312.16	0.00	26.66	Sell to Close
CALL SPY 07/16/21	437	STANDARD & POORS DEPOSITORY CUSIP: Symbol(Box 1a): SPY210716C00437000					
07/13/2021	42.00	5,578.59	Various	7,088.29	0.00	-1,509.70	Sell to Close
CALL SPY 07/16/21	436	STANDARD & POORS DEPOSITORY CUSIP: Symbol(Box 1a): SPY210716C00436000					
07/15/2021	5.00	439.71	07/15/2021	540.27	0.00	-100.56	Sell to Close
CALL SNAP 07/02/21	68	SNAP INC CUSIP: Symbol(Box 1a): SNAP210702C00068000					
06/29/2021	8.00	1,095.53	Various	1,020.44	0.00	75.09	Sell to Close

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2021 Form 1099-B*

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(continued)

03/15/2022

OMB No. 1545-0715

SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

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CALL SPY 06/23/21 424 STANDARD & POORS DEPOSITORY CUSIP: Symbol(Box 1a): SPY210623C00424000							
06/23/2021	1.00	35.93	06/23/2021	49.05	0.00	-13.12	Sell to Close
CALL CCV 08/20/21 10 CHURCHILL CAPITAL CORP V CUSIP: Symbol(Box 1a): CCV210820C00010000							
06/22/2021	1.00	30.93	06/14/2021	80.05	0.00	-49.12	Sell to Close
PUT SPY 12/01/21 455 STANDARD & POORS DEPOSITORY CUSIP: Symbol(Box 1a): SPY211201P00455000							
12/01/2021	1.00	19.96	11/30/2021	226.02	0.00	-206.06	Sell to Close
PUT SPY 06/23/21 423 STANDARD & POORS DEPOSITORY CUSIP: Symbol(Box 1a): SPY210623P00423000							
06/23/2021	2.00	119.87	06/23/2021	118.11	0.00	1.76	Sell to Close
CALL ABNB 07/16/21 160 AIRBNB INC CUSIP: Symbol(Box 1a): ABNB210716C00160000							
06/16/2021	1.00	344.93	06/15/2021	445.05	0.00	-100.12	Sell to Close
CALL C 07/16/21 70 CITIGROUP INC CUSIP: Symbol(Box 1a): C210716C00070000							
07/14/2021	4.00	111.76	07/14/2021	380.22	0.00	-268.46	Sell to Close
CALL TSLA 06/04/21 607.50 TESLA INC CUSIP: Symbol(Box 1a): TSLA210604C00607500							
06/02/2021	1.00	939.91	06/02/2021	930.07	0.00	9.84	Sell to Close
GENERAL MOTORS COMPANY CUSIP: 37045V100 Symbol(Box 1a): GM							
10/11/2021	36.00	2,093.37	Various	1,955.52	0.00	137.85	Sale
PUT FB 12/03/21 305 META PLATFORMS INC CL A CUSIP: Symbol(Box 1a): FB211203P00305000							
12/02/2021	1.00	143.96	12/02/2021	164.02	0.00	-20.06	Sell to Close
CALL NVDA 07/16/21 820 NVIDIA CORP CUSIP: Symbol(Box 1a): NVDA210716C00820000							
07/13/2021	6.00	4,991.63	Various	5,780.32	0.00	-788.69	Sell to Close
PUT NIO 12/10/21 37 NIO INC ADS CUSIP: Symbol(Box 1a): NIO211210P00037000							
12/02/2021	2.00	377.94	12/02/2021	340.04	0.00	37.90	Sell to Close

APEX CLEARING

Proceeds from Broker and Barter Exchange Transactions

2021 Form 1099-B*

5MT93970

(continued)

03/15/2022

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
PUT BYND 07/23/21 125 BEYOND MEAT INC CUSIP: Symbol(Box 1a): BYND210723P00125000							
07/15/2021	1.00	267.93	07/15/2021	243.05	0.00	24.88	Sell to Close
***CRISPR THERAPEUTICS AG NAMEN AKT CHF0.03 CUSIP: H17182108 Symbol(Box 1a): CRSP							
08/06/2021	1.00	137.35	08/05/2021	129.47	0.00	7.88	Sale
08/06/2021	19.00	2,606.07	08/05/2021	2,459.93	0.00	146.14	Sale
Security Totals:		2,743.42		2,589.40		154.02	
CALL FRX 10/15/21 20 FOREST ROAD ACQSTN CORP CL A CUSIP: Symbol(Box 1a): FRX211015C00020000							
06/25/2021	1.00	84.93	02/23/2021	509.08	0.00	-424.15	Sell to Close
CALL ZNGA 07/09/21 10.50 ZYNGA INC CUSIP: Symbol(Box 1a): ZNGA210709C00010500							
06/28/2021	5.00	244.71	06/28/2021	245.27	0.00	-0.56	Sell to Close
AMC ENTERTAINMENT HOLDINGS INC CL A COM CUSIP: 00165C104 Symbol(Box 1a): AMC							
01/25/2021	392.00	1,599.27	Various	1,505.44	0.00	93.83	Sale
01/27/2021	80.00	931.16	01/26/2021	500.00	0.00	431.16	Sale
02/02/2021	8.00	81.26	01/29/2021	157.20	0.00	-75.94	Sale
02/02/2021	138.00	1,395.12	Various	1,859.77	34.4 D	-430.25	Sale
Security Totals:		4,006.81		4,022.41		18.80	
CALL AMZN 06/25/21 3600 AMAZON.COM INC CUSIP: Symbol(Box 1a): AMZN210625C03600000							
06/23/2021	2.00	885.87	06/23/2021	750.11	0.00	135.76	Sell to Close
CALL ORCL 06/11/21 82 ORACLE CORP CUSIP: Symbol(Box 1a): ORCL210611C00082000							
06/02/2021	1.00	50.91	06/02/2021	46.07	0.00	4.84	Sell to Close
CALL MSFT 07/09/21 280 MICROSOFT CORP CUSIP: Symbol(Box 1a): MSFT210709C00280000							
07/07/2021	2.00	201.87	Various	285.10	0.00	-83.23	Sell to Close

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APEX CLEARING

Proceeds from Broker and Barter Exchange Transactions

2021 Form 1099-B*

5MT93970

(continued)

03/15/2022

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 F 08/20/21 15	FORD MOTOR COMPANY CUSIP: Symbol(Box 1a): F210820C00015000						
07/19/2021	10.00	169.42	07/12/2021	680.55	0.00	-511.13	Sell to Close
PUT NVDA 12/03/21 310	NVIDIA CORPORATION CUSIP: Symbol(Box 1a): NVDA211203P00310000						
12/01/2021	1.00	354.96	12/01/2021	231.02	0.00	123.94	Sell to Close
CALL AAL 08/20/21 21	AMERICAN AIRLINES GROUP INC CUSIP: Symbol(Box 1a): AAL210820C00021000						
07/21/2021	2.00	219.87	07/15/2021	238.11	0.00	-18.24	Sell to Close
CALL AAL 01/21/22 40	AMERICAN AIRLINES GROUP INC CUSIP: Symbol(Box 1a): AAL220121C00040000						
06/02/2021	1.00	80.91	05/26/2021	54.07	0.00	26.84	Sell to Close
WALT DISNEY CO CUSIP: 254687106 Symbol(Box 1a): DIS							
11/30/2021	60.00	8,612.94	Various	9,788.56	0.00	-1,175.62	Sale
TESLA INC	COMMON STOCK CUSIP: 88160R101 Symbol(Box 1a): TSLA						
04/05/2021	6.00	4,250.36	Various	3,833.58	0.00	416.78	Sale
06/24/2021	13.00	8,732.04	Various	8,636.89	0.00	95.15	Sale
Security Totals:		12,982.40		12,470.47		511.93	
CALL WISH 07/16/21 15	CONTEXTLOGIC INC CL A CUSIP: Symbol(Box 1a): WISH210716C00015000						
06/28/2021	2.00	459.87	06/28/2021	440.11	0.00	19.76	Sell to Close
CALL CLF 07/16/21 22	CLEVELAND CLIFFS INC CUSIP: Symbol(Box 1a): CLF210716C00022000						
07/01/2021	6.00	635.66	Various	516.33	0.00	119.33	Sell to Close
COINBASE GLOBAL INC	CLASS A COMMON STOCK CUSIP: 19260Q107 Symbol(Box 1a): COIN						
04/22/2021	2.00	616.06	Various	736.58	0.00	-120.52	Sale
CALL TWTR 07/23/21 67.50	TWITTER INC CUSIP: Symbol(Box 1a): TWTR210723C00067500						
07/20/2021	1.00	374.93	07/20/2021	320.05	0.00	54.88	Sell to Close
PUT SPY 07/23/21 423	STANDARD & POORS DEPOSITORY CUSIP: Symbol(Box 1a): SPY210723P00423000						
07/19/2021	2.00	719.87	07/19/2021	820.11	0.00	-100.24	Sell to Close

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APEX CLEARING

Proceeds from Broker and Barter Exchange Transactions

2021 Form 1099-B*

5MT93970

(continued)

03/15/2022

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 RBLX 08/20/21	78						ROBLOX CORPORATION CUSIP: Symbol(Box 1a): RBLX210820C00078000
08/04/2021	1.00	664.93	08/02/2021	465.05	0.00	199.88	Sell to Close
PUT SPY 12/15/21	463						STANDARD & POORS DEPOSITORY CUSIP: Symbol(Box 1a): SPY211215P00463000
12/14/2021	1.00	330.96	12/14/2021	310.02	0.00	20.94	Sell to Close
PUT DAL 12/17/21	31						DELTA AIR LINES INC DEL CUSIP: Symbol(Box 1a): DAL211217P00031000
12/02/2021	1.00	47.96	12/01/2021	75.02	0.00	-27.06	Sell to Close
CALL TWTR 06/18/21	58						TWITTER INC CUSIP: Symbol(Box 1a): TWTR210618C00058000
05/28/2021	1.00	223.91	05/27/2021	215.07	0.00	8.84	Sell to Close
CALL SPCE 07/02/21	46						VIRGIN GALACTIC HOLDINGS INC CUSIP: Symbol(Box 1a): SPCE210702C00046000
07/01/2021	3.00	332.82	07/01/2021	441.16	0.00	-108.34	Sell to Close
CALL AAPL 11/19/21	160						APPLE INC CUSIP: Symbol(Box 1a): AAPL211119C00160000
11/18/2021	1.00	27.96	11/18/2021	38.02	0.00	-10.06	Sell to Close
CALL SPY 07/12/21	428						STANDARD & POORS DEPOSITORY CUSIP: Symbol(Box 1a): SPY210712C00428000
07/08/2021	20.00	6,054.83	07/08/2021	5,181.09	0.00	873.74	Sell to Close
PUT QQQ 06/23/21	346						INVESCO QQQ TRUST SERIES 1 CUSIP: Symbol(Box 1a): QQQ210623P00346000
06/22/2021	1.00	107.93	06/22/2021	141.05	0.00	-33.12	Sell to Close
CALL SPY 06/21/21	420						STANDARD & POORS DEPOSITORY CUSIP: Symbol(Box 1a): SPY210621C00420000
06/21/2021	2.00	193.87	06/21/2021	138.11	0.00	55.76	Sell to Close
PUT SPY 08/20/21	434						STANDARD & POORS DEPOSITORY CUSIP: Symbol(Box 1a): SPY210820P00434000
08/10/2021	1.00	115.93	08/06/2021	176.05	0.00	-60.12	Sell to Close
CALL NIO 05/28/21	40						NIO INC ADS CUSIP: Symbol(Box 1a): NIO210528C00040000
05/27/2021	2.00	19.83	05/27/2021	32.16	0.00	-12.33	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)

03/15/2022

OMB No. 1545-0715

SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

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

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

Date Sold or Disposed (Box 1c)	Quantity	Proceeds (Box 1d)	Date Acquired (Box 1b)	Cost or Other Basis (Box 1e)	Accrued Market Discount (M)(Box 1f) & Wash Sale Loss Disallowed (D)(Box 1g)	Gain or Loss(-)	Additional Notes
CALL TSLA 06/04/21	605	TESLA INC CUSIP: Symbol(Box 1a): TSLA210604C00605000					
06/04/2021	1.00	98.91	06/04/2021	96.07	0.00	2.84	Sell to Close
PUT QQQ 06/23/21	347	INVESCO QQQ TRUST SERIES 1 CUSIP: Symbol(Box 1a): QQQ210623P00347000					
06/22/2021	1.00	151.93	06/22/2021	156.05	0.00	-4.12	Sell to Close
PUT SPY 06/18/21	420	STANDARD & POORS DEPOSITORY CUSIP: Symbol(Box 1a): SPY210618P00420000					
06/16/2021	1.00	257.93	06/16/2021	297.05	0.00	-39.12	Sell to Close
CALL AMD 11/19/21	147	ADVANCED MICRO DEVICES INC CUSIP: Symbol(Box 1a): AMD211119C00147000					
11/12/2021	1.00	414.96	11/11/2021	370.02	0.00	44.94	Sell to Close
CALL AAPL 06/18/21	128	APPLE INC CUSIP: Symbol(Box 1a): AAPL210618C00128000					
06/14/2021	2.00	211.87	06/11/2021	180.11	0.00	31.76	Sell to Close
PUT AAPL 06/18/21	128	APPLE INC CUSIP: Symbol(Box 1a): AAPL210618P00128000					
06/14/2021	1.00	89.93	06/14/2021	86.05	0.00	3.88	Sell to Close
CALL SPY 11/19/21	470	STANDARD & POORS DEPOSITORY CUSIP: Symbol(Box 1a): SPY211119C00470000					
11/19/2021	1.00	68.96	11/18/2021	81.02	0.00	-12.06	Sell to Close
PUT SPY 06/18/21	416	STANDARD & POORS DEPOSITORY CUSIP: Symbol(Box 1a): SPY210618P00416000					
06/18/2021	1.00	97.93	06/18/2021	96.05	0.00	1.88	Sell to Close
CALL SPY 07/19/21	426	STANDARD & POORS DEPOSITORY CUSIP: Symbol(Box 1a): SPY210719C00426000					
07/19/2021	1.00	31.93	07/19/2021	72.05	0.00	-40.12	Sell to Close
PUT RBLX 05/28/21	90	ROBLOX CORPORATION CUSIP: Symbol(Box 1a): RBLX210528P00090000					
05/26/2021	1.00	171.91	05/26/2021	184.07	0.00	-12.16	Sell to Close
PHUNWARE INC		COMMON STOCK CUSIP: 71948P100 Symbol(Box 1a): PHUN					
01/26/2021	294.00	688.15	01/25/2021	505.68	0.00	182.47	Sale

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APEX CLEARING

Proceeds from Broker and Barter Exchange Transactions

2021 Form 1099-B*

5MT93970

(continued)

03/15/2022

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 AAPL 05/14/21 133	APPLE INC CUSIP: Symbol(Box 1a): AAPL210514C00133000						
05/05/2021	1.00	82.91	05/04/2021	55.07	0.00	27.84	Sell to Close
CALL BB 06/18/21 12.50	BLACKBERRY LIMITED CUSIP: Symbol(Box 1a): BB210618C00012500						
06/01/2021	1.00	89.91	06/01/2021	96.07	0.00	-6.16	Sell to Close
***NOKIA CORPORATION	SPONSORED ADR REPSTG 1 SER A CUSIP: 654902204 Symbol(Box 1a): NOK						
01/27/2021	71.00	440.31	01/27/2021	499.84	0.00	-59.53	Sale
CALL DIS 10/15/21 190	WALT DISNEY CO CUSIP: Symbol(Box 1a): DIS211015C00190000						
09/28/2021	4.00	99.77	09/22/2021	184.21	0.00	-84.44	Sell to Close
CALL TTD 06/25/21 75	TRADE DESK INC CLASS A ADJ 10:1 STOCK SPLIT CUSIP: Symbol(Box 1a): TTD210625C00075000						
06/24/2021	1.00	189.93	06/24/2021	115.05	0.00	74.88	Sell to Close
CALL AFRM 10/15/21 150	AFFIRM HOLDINGS INC CL A CUSIP: Symbol(Box 1a): AFRM211015C00150000						
10/07/2021	1.00	299.94	10/07/2021	380.04	0.00	-80.10	Sell to Close
PUT SPY 07/09/21 421	STANDARD & POORS DEPOSITORY CUSIP: Symbol(Box 1a): SPY210709P00421000						
06/29/2021	1.00	103.93	06/29/2021	105.05	0.00	-1.12	Sell to Close
CALL LCID 12/10/21 55	LUCID GROUP INC CUSIP: Symbol(Box 1a): LCID211210C00055000						
12/01/2021	1.00	424.96	12/01/2021	335.02	0.00	89.94	Sell to Close
CALL AMAT 01/07/22 162.50	APPLIED MATERIALS INC CUSIP: Symbol(Box 1a): AMAT220107C00162500						
12/31/2021	2.00	247.94	12/30/2021	456.04	0.00	-208.10	Sell to Close
PUT ROKU 12/17/21 225	ROKU INC CUSIP: Symbol(Box 1a): ROKU211217P00225000						
12/13/2021	2.00	1,597.94	Various	1,255.04	0.00	342.90	Sell to Close
PUT LCID 12/17/21 43	LUCID GROUP INC CUSIP: Symbol(Box 1a): LCID211217P00043000						
12/08/2021	2.00	729.94	12/07/2021	640.04	0.00	89.90	Sell to Close

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APEX CLEARING

Proceeds from Broker and Barter Exchange Transactions

2021 Form 1099-B*

5MT93970

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03/15/2022

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 QQQ 06/21/21 344 INVESCO QQQ TRUST SERIES 1 CUSIP: Symbol(Box 1a): QQQ210621C00344000							
06/21/2021	1.00	76.93	06/21/2021	70.05	0.00	6.88	Sell to Close
CALL SPY 12/13/21 470 STANDARD & POORS DEPOSITORY CUSIP: Symbol(Box 1a): SPY211213C00470000							
12/10/2021	2.00	203.94	12/10/2021	260.04	0.00	-56.10	Sell to Close
CALL SPY 06/18/21 418 STANDARD & POORS DEPOSITORY CUSIP: Symbol(Box 1a): SPY210618C00418000							
06/18/2021	5.00	324.71	Various	309.27	0.00	15.44	Sell to Close
WORKHORSE GROUP INC COM CUSIP: 98138J206 Symbol(Box 1a): WKHS							
05/11/2021	278.00	2,115.53	Various	2,984.77	0.00	-869.24	Sale
CALL UAL 07/16/21 50 UNITED AIRLINES HOLDINGS INC CUSIP: Symbol(Box 1a): UAL210716C00050000							
07/14/2021	6.00	173.65	07/14/2021	306.33	0.00	-132.68	Sell to Close
CALL BABA 07/16/21 230 ALIBABA GROUP HOLDING LIMITED CUSIP: Symbol(Box 1a): BABA210716C00230000							
07/01/2021	2.00	591.87	Various	755.10	0.00	-163.23	Sell to Close
AMAZON.COM INC CUSIP: 023135106 Symbol(Box 1a): AMZN							
11/16/2021	1.00	3,547.97	07/29/2021	3,411.79	0.00	136.18	Sale
CALL SQQQ 08/20/21 9 PROSHARES ULTRAPRO SHORT QQQ CUSIP: Symbol(Box 1a): SQQQ210820C00009000							
07/21/2021	2.00	93.87	07/20/2021	96.11	0.00	-2.24	Sell to Close
Totals:		163,149.21		168,111.31		-4,337.92	

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APEX CLEARING

Proceeds from Broker and Barter Exchange Transactions

2021 Form 1099-B*

5MT93970

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03/15/2022

OMB No. 1545-0715

SHORT TERM TRANSACTIONS FOR NONCOVERED TAX LOTS

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

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

Box 5: Box Checked (Noncovered Security)

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

Box 12: Basis Not Reported to the IRS

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

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

Date Sold or Disposed (Box 1c)	Quantity	Proceeds (Box 1d)	Date Acquired	Cost or Other Basis	Accrued Market Discount (M) & Wash Sale Loss Disallowed (D)	Gain or Loss(-)	Additional Notes
ISHARES SILVER SHARES CUSIP: 46428Q109 Symbol(Box 1a): SLV							
02/01/2021	20.00	555.37	01/28/2021	494.60	0.00	60.77	Sale 3- <input checked="" type="checkbox"/> Collectible
Totals:		555.37		494.60		60.77	

* 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*

5MT93970

(continued)

03/15/2022

OMB No. 1545-0715

UNDETERMINED TERM TRANSACTIONS FOR NONCOVERED TAX LOTS

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

Box 5: Box Checked (Noncovered Security)

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

Box 12: Basis Not Reported to the IRS

The 1099-B data referenced by a Box Number is reported to the IRS. The additional information not referenced by a Box Number is not reported to the IRS but may be helpful to complete your return. Consult your investments records for the cost basis and/or the date of acquisition to determine whether the transaction in this section is long- or short-term.

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

Date Sold or Disposed (Box 1c)	Quantity	Proceeds (Box 1d)	Date Acquired	Cost or Other Basis	Wash Sale Loss Disallowed	Gain or Loss(-)	Additional Notes
ISHARES SILVER SHARES CUSIP: 46428Q109 Symbol(Box 1a): SLV							
01/31/2021	0.00	0.19	Unknown	Unknown	0.00	Unknown	COST BASIS FACTOR = 0. 000351032 3- <input checked="" type="checkbox"/> Collectible
HOME DEPOT INC CUSIP: 437076102 Symbol(Box 1a): HD							
11/16/2021	3.00	1,121.56	Unknown	Unknown	0.00	Unknown	Sale
11/22/2021	11.00	4,555.50	Unknown	Unknown	0.00	Unknown	Sale
12/01/2021	10.00	4,000.86	Unknown	Unknown	0.00	Unknown	Sale
Security Totals:		9,677.92					
Totals:		9,678.11					

* 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

Dividends and Distributions - Details of Form 1099-DIV

2021

5MT93970

03/15/2022

This section of the information statement provides payment-level details for dividend-related distributions reported in aggregate on Form 1099-DIV. The information provided below is for your reference only. The break-out details provide payment-level information (including payment date and issuer) for different categories of distributions reported on Form 1099-DIV: ordinary dividends, including portions classified as qualified dividends and section 199A dividends, non-dividend distributions, exempt-interest dividends, and liquidation distributions.

Taxes withheld for federal, state, or foreign tax purposes are shown as negative numbers but do not offset the income amounts.

For dividends classified as "qualified dividends," the classification is made only from the issuer perspective without accounting for your holding period. Under IRS rules, classification as a qualified dividend for a taxpayer also depends on the taxpayer's holding period in the relevant stock, and a taxpayer is responsible for confirming such qualification based on the taxpayer's actual holding period. Taxpayers are reminded that they are ultimately responsible for the accuracy of their own tax returns.

Description CUSIP Symbol	Total Ordinary Dividends (Box 1a)	Qualified Dividends (Box 1b)	Nondividend Distributions (Box 3)	Section 199A Dividends (Box 5)	Investment Expenses (Box 6)	Foreign Tax Paid (Box 7)	Foreign Country or US Possession (Box 8)
Date							
APPLE INC CUSIP: 037833100 Symbol: AAPL							
05/13/2021	6.82	6.82	0.00	0.00	0.00	0.00	
08/12/2021	6.82	6.82	0.00	0.00	0.00	0.00	
11/11/2021	6.82	6.82	0.00	0.00	0.00	0.00	
Security Totals:	20.46	20.46	0.00	0.00	0.00	0.00	
HOME DEPOT INC CUSIP: 437076102 Symbol: HD							
12/16/2021	16.50	16.50	0.00	0.00	0.00	0.00	
Totals:	36.96	36.96	0.00	0.00	0.00	0.00	

APEX CLEARING

**Widely Held Mortgage Trusts &
Other Widely Held Fixed Investment Trusts**

2021

5MT93970

03/15/2022

The following information is provided pursuant to Treasury regulation section 1.671-5 and sets forth additional details for gross income and expenses regarding your investment in Widely Held Mortgage Trusts (WHMTs) and, where applicable, other Non-Mortgage Widely Held Fixed Investment Trusts (NMWHFITs).

For interest income items, interest income has been reported on Form 1099 for interest. The income adjustment column below shows adjustments for bond premium (negative amounts) or market discount (positive amounts). These items are not separately reported to the IRS. The remaining income adjustment column shows the portion of bond premium (negative income) or market discount (positive amounts) that is unamortized as of the beginning of the period.

Where applicable, OID attributable to a WHFIT investment is reported on Form 1099-OID, and non-pro rata partial principal payments, trust sales proceeds, redemption asset proceeds, redemption proceeds, the sales asset proceeds, and the sales proceeds that are attributable to a WHFIT trust interest holder for the calendar year are included on Form 1099-B. Additional information with respect to such investments is provided below or in the broker proceeds details section where required by Treasury Regulations.

Information for royalty and commodity trusts may be obtained by the issuers' websites listed at the end of this statement.

ISHARES SILVER SHARES | CUSIP: 46428Q109 | Security Type: Collectible

Trade Date	Payment or Settlement Date	Quantity	Principal Balance	Principal Paid or Proceeds	Gross Interest	Investment Expense	Market Discount Fraction	Income Adjustment	Remaining Income Adjustment
01/31/2021		0	0.00	0.19	0.00	0.19			C
Totals:				0.19	0.00	0.19			

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.