

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

KRISHNA JAYANTH KOTHARI
10 MOUNT HOOD RD, APT 2
BOSTON, MA 02135-7371

IN ACCOUNT WITH
WEBULL FINANCIAL LLC
917-725-2448

IMPORTANT YEAR END MESSAGES

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

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

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APEX CLEARING ONE DALLAS CENTER 350 NORTH ST PAUL SUITE 1300 DALLAS, TX 75201 Customer Service: 214-765-1009 PAYER'S Federal ID No: 13-2967453 IN ACCOUNT WITH WEBULL FINANCIAL LLC (917) 725-2448	Account 5IB33668	Form 1099 Composite	2021
	KRISHNA JAYANTH KOTHARI 10 MOUNT HOOD RD, APT 2 BOSTON, MA 02135-7371 RECIPIENT'S ID No: XXX-XX-6411	Statement Date: 01/31/2022	

FATCA filing requirement []

Tax Reporting Statement

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

MISCELLANEOUS INFORMATION	2021 Form 1099-MISC*	OMB No. 1545-0115
2- Royalties	0.00	
3- Other Income	11.64	
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

5IB33668

01/31/2022

Summary Of Sale Proceeds

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

Section	Total Proceeds	Total Cost Basis	Total Market Discount	Wash Sale Loss Disallowed	Total Net Gain or Loss(-)
Short-term transactions for covered tax lots	52,163.95	55,594.71	0.00	2,399.84	-1,030.92
Short-term transactions for noncovered tax lots	0.00	0.00	0.00	0.00	0.00
Total Short-term	52,163.95	55,594.71	0.00	2,399.84	-1,030.92
Long-term transactions for covered tax lots	0.00	0.00	0.00	0.00	0.00
Long-term transactions for noncovered tax lots	0.00	0.00	0.00	0.00	0.00
Total Long-term	0.00	0.00	0.00	0.00	0.00
Undetermined transactions for noncovered tax lots	0.00	0.00	0.00	0.00	0.00
Total Undetermined-term	0.00	0.00	0.00	0.00	0.00

ORIGINAL ISSUE DISCOUNT SUMMARY*

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

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

FEDERAL TAX WITHHELD

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

APEX CLEARING

Proceeds from Broker and Barter Exchange Transactions

2021 Form 1099-B*

5IB33668

01/31/2022

OMB No. 1545-0715

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

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

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

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

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

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

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

FATCA filing requirement []

SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

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

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

Box 5: Box Not Checked (Covered Security)

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

Box 12: Basis Reported to the IRS

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

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

Date Sold or Disposed (Box 1c)	Quantity	Proceeds (Box 1d)	Date Acquired (Box 1b)	Cost or Other Basis (Box 1e)	Accrued Market Discount (M)(Box 1f) & Wash Sale Loss Disallowed (D)(Box 1g)	Gain or Loss(-)	Additional Notes
CALL NVDA 09/10/21 225			NVIDIA CORPORATION CUSIP: Symbol(Box 1a): NVDA210910C00225000				
09/09/2021	1.00	137.93	09/09/2021	127.05	0.00	10.88	Sell to Close
PUT SPY 09/17/21 440			STANDARD & POORS DEPOSITORY CUSIP: Symbol(Box 1a): SPY210917P00440000				
09/14/2021	1.00	194.93	09/14/2021	177.05	0.00	17.88	Sell to Close
09/14/2021	1.00	206.93	09/14/2021	212.05	0.00	-5.12	Sell to Close
Security Totals:		401.86		389.10		12.76	

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APEX CLEARING

Proceeds from Broker and Barter Exchange Transactions

2021 Form 1099-B*

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(continued)

01/31/2022

OMB No. 1545-0715

SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

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

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

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

Date Sold or Disposed (Box 1c)	Quantity	Proceeds (Box 1d)	Date Acquired (Box 1b)	Cost or Other Basis (Box 1e)	Accrued Market Discount (M)(Box 1f) & Wash Sale Loss Disallowed (D)(Box 1g)	Gain or Loss(-)	Additional Notes
CALL BA 09/17/21	215	BOEING CO CUSIP: Symbol(Box 1a): BA210917C00215000					
09/13/2021	1.00	201.93	09/13/2021	217.05	0.00	-15.12	Sell to Close
CALL AAPL 08/27/21	150	APPLE INC CUSIP: Symbol(Box 1a): AAPL210827C00150000					
08/24/2021	2.00	247.87	Various	311.10	0.00	-63.23	Sell to Close
PUT AAPL 09/24/21	147	APPLE INC CUSIP: Symbol(Box 1a): AAPL210924P00147000					
09/15/2021	1.00	243.93	09/15/2021	224.05	0.00	19.88	Sell to Close
CALL RBLX 08/27/21	85	ROBLOX CORPORATION CUSIP: Symbol(Box 1a): RBLX210827C00085000					
08/24/2021	1.00	394.93	08/23/2021	210.05	0.00	184.88	Sell to Close
CALL PENN 10/15/21	80	PENN NATIONAL GAMING INC CUSIP: Symbol(Box 1a): PENN211015C00080000					
09/24/2021	1.00	211.93	09/24/2021	186.05	0.00	25.88	Sell to Close
CALL AMD 12/17/21	138	ADVANCED MICRO DEVICES INC CUSIP: Symbol(Box 1a): AMD211217C00138000					
12/14/2021	1.00	197.96	12/14/2021	248.02	0.00	-50.06	Sell to Close
CALL LCID 12/17/21	45	LUCID GROUP INC CUSIP: Symbol(Box 1a): LCID211217C00045000					
11/16/2021	1.00	800.96	11/12/2021	580.02	0.00	220.94	Sell to Close
CALL MSFT 09/03/21	305	MICROSOFT CORP CUSIP: Symbol(Box 1a): MSFT210903C00305000					
08/31/2021	1.00	90.93	08/31/2021	116.05	0.00	-25.12	Sell to Close
CALL PLTR 09/17/21	27	PALANTIR TECHNOLOGIES INC CL A CUSIP: Symbol(Box 1a): PLTR210917C00027000					
08/30/2021	3.00	179.82	08/30/2021	231.16	51.34 D	0.00	Sell to Close
09/02/2021	1.00	81.93	08/31/2021	80.16	0.00	1.77	Sell to Close
09/07/2021	2.00	97.88	09/02/2021	192.33	94.45 D	0.00	Sell to Close
09/08/2021	2.00	57.88	09/02/2021	214.55	0.00	-156.67	Sell to Close
Security Totals:		417.51		718.20		-154.90	

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APEX CLEARING

Proceeds from Broker and Barter Exchange Transactions

2021 Form 1099-B*

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01/31/2022

OMB No. 1545-0715

SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

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

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

Box 5: Box Not Checked (Covered Security)

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

Box 12: Basis Reported to the IRS

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

Date Sold or Disposed (Box 1c)	Quantity	Proceeds (Box 1d)	Date Acquired (Box 1b)	Cost or Other Basis (Box 1e)	Accrued Market Discount (M)(Box 1f) & Wash Sale Loss Disallowed (D)(Box 1g)	Gain or Loss(-)	Additional Notes
CALL RBLX 08/27/21 91 ROBLOX CORPORATION CUSIP: Symbol(Box 1a): RBLX210827C00091000							
08/25/2021	3.00	341.82	08/25/2021	423.03	0.00	-81.21	Sell to Close
08/25/2021	5.00	567.71	08/25/2021	680.27	112.56 D	0.00	Sell to Close
08/25/2021	2.00	225.87	08/25/2021	287.35	0.00	-61.48	Sell to Close
08/25/2021	6.00	599.66	Various	818.88	219.22 D	0.00	Sell to Close
08/25/2021	1.00	98.93	08/25/2021	121.16	0.00	-22.23	Sell to Close
Security Totals:		1,833.99		2,330.69		-164.92	
CALL NVDA 08/20/21 205 NVIDIA CORPORATION ADJ 4:1 STOCK SPLIT CUSIP: Symbol(Box 1a): NVDA210820C00205000							
08/18/2021	1.00	201.93	08/17/2021	170.05	0.00	31.88	Sell to Close
08/20/2021	1.00	94.93	08/20/2021	83.05	0.00	11.88	Sell to Close
Security Totals:		296.86		253.10		43.76	
CALL AAPL 09/17/21 150 APPLE INC ADJ 4:1 STOCK SPLIT CUSIP: Symbol(Box 1a): AAPL210917C00150000							
08/26/2021	1.00	189.93	08/26/2021	243.05	0.00	-53.12	Sell to Close
CALL NVDA 09/24/21 225 NVIDIA CORPORATION CUSIP: Symbol(Box 1a): NVDA210924C00225000							
09/15/2021	1.00	314.93	09/15/2021	289.05	0.00	25.88	Sell to Close
09/16/2021	1.00	204.93	09/16/2021	240.05	0.00	-35.12	Sell to Close
Security Totals:		519.86		529.10		-9.24	
CALL AMAT 08/27/21 134 APPLIED MATERIALS INC CUSIP: Symbol(Box 1a): AMAT210827C00134000							
08/25/2021	2.00	241.87	08/25/2021	224.11	0.00	17.76	Sell to Close
PUT BA 08/27/21 215 BOEING CO CUSIP: Symbol(Box 1a): BA210827P00215000							
08/19/2021	1.00	359.93	08/18/2021	279.05	0.00	80.88	Sell to Close

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APEX CLEARING

Proceeds from Broker and Barter Exchange Transactions

2021 Form 1099-B*

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01/31/2022

OMB No. 1545-0715

SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

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

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 08/20/21 149							
APPLE INC CUSIP: Symbol(Box 1a): AAPL210820C00149000							
08/18/2021	1.00	114.93	08/18/2021	112.05	0.00	2.88	Sell to Close
PUT SPY 09/15/21 445							
STANDARD & POORS DEPOSITORY CUSIP: Symbol(Box 1a): SPY210915P00445000							
09/13/2021	1.00	234.93	09/13/2021	209.05	0.00	25.88	Sell to Close
CALL DDOG 09/17/21 135							
DATADOG INC CL A CUSIP: Symbol(Box 1a): DDOG210917C00135000							
08/23/2021	1.00	402.93	08/23/2021	357.05	0.00	45.88	Sell to Close
PUT AMD 12/10/21 135							
ADVANCED MICRO DEVICES INC CUSIP: Symbol(Box 1a): AMD211210P00135000							
12/08/2021	1.00	32.96	12/06/2021	380.02	0.00	-347.06	Sell to Close
PUT RIVN 12/10/21 113							
RIVIAN AUTOMOTIVE INC CLASS A CUSIP: Symbol(Box 1a): RIVN211210P00113000							
12/08/2021	1.00	269.96	12/08/2021	350.02	0.00	-80.06	Sell to Close
CALL SPY 09/20/21 446							
STANDARD & POORS DEPOSITORY CUSIP: Symbol(Box 1a): SPY210920C00446000							
09/14/2021	1.00	199.93	09/14/2021	229.05	0.00	-29.12	Sell to Close
PUT AAPL 10/15/21 140							
APPLE INC CUSIP: Symbol(Box 1a): AAPL211015P00140000							
09/20/2021	1.00	304.93	09/20/2021	298.05	0.00	6.88	Sell to Close
CALL SNAP 11/19/21 53							
SNAP INC CUSIP: Symbol(Box 1a): SNAP211119C00053000							
11/08/2021	1.00	257.94	11/05/2021	221.04	0.00	36.90	Sell to Close
CALL ROOT 10/15/21 7.50							
ROOT INC CL A CUSIP: Symbol(Box 1a): ROOT211015C00007500							
09/13/2021	1.00	84.93	09/09/2021	110.05	0.00	-25.12	Sell to Close
PUT SPY 12/20/21 465							
STANDARD & POORS DEPOSITORY CUSIP: Symbol(Box 1a): SPY211220P00465000							
12/16/2021	1.00	207.96	12/16/2021	247.02	0.00	-39.06	Sell to Close
PUT PFE 09/24/21 44							
PFIZER INC CUSIP: Symbol(Box 1a): PFE210924P00044000							
09/22/2021	1.00	32.93	09/22/2021	37.05	0.00	-4.12	Sell to Close

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APEX CLEARING

Proceeds from Broker and Barter Exchange Transactions

2021 Form 1099-B*

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(continued)

01/31/2022

OMB No. 1545-0715

SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

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

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

Date Sold or Disposed (Box 1c)	Quantity	Proceeds (Box 1d)	Date Acquired (Box 1b)	Cost or Other Basis (Box 1e)	Accrued Market Discount (M)(Box 1f) & Wash Sale Loss Disallowed (D)(Box 1g)	Gain or Loss(-)	Additional Notes
09/22/2021	1.00	46.93	09/22/2021	41.05	0.00	5.88	Sell to Close
Security Totals:		79.86		78.10		1.76	
CALL AMD 09/17/21 110			ADVANCED MICRO DEVICES INC CUSIP: Symbol(Box 1a): AMD210917C00110000				
09/08/2021	1.00	212.93	09/07/2021	235.05	0.00	-22.12	Sell to Close
PUT SPY 09/20/21 443			STANDARD & POORS DEPOSITORY CUSIP: Symbol(Box 1a): SPY210920P00443000				
09/17/2021	1.00	195.93	09/17/2021	183.05	0.00	12.88	Sell to Close
CALL AMD 09/17/21 115			ADVANCED MICRO DEVICES INC CUSIP: Symbol(Box 1a): AMD210917C00115000				
08/27/2021	1.00	250.93	08/25/2021	199.05	0.00	51.88	Sell to Close
CALL MRNA 09/24/21 440			MODERNA INC CUSIP: Symbol(Box 1a): MRNA210924C00440000				
09/22/2021	1.00	524.93	09/22/2021	513.05	0.00	11.88	Sell to Close
PUT NVDA 08/20/21 190			NVIDIA CORPORATION ADJ 4:1 STOCK SPLIT CUSIP: Symbol(Box 1a): NVDA210820P00190000				
08/17/2021	1.00	299.93	08/17/2021	348.05	0.00	-48.12	Sell to Close
CALL SBUX 09/03/21 117			STARBUCKS CORPORATION CUSIP: Symbol(Box 1a): SBUX210903C00117000				
08/26/2021	1.00	28.93	08/26/2021	53.05	0.00	-24.12	Sell to Close
CALL SPY 08/25/21 449			STANDARD & POORS DEPOSITORY CUSIP: Symbol(Box 1a): SPY210825C00449000				
08/24/2021	2.00	99.87	08/24/2021	128.11	0.00	-28.24	Sell to Close
CALL AMD 08/27/21 105			ADVANCED MICRO DEVICES INC CUSIP: Symbol(Box 1a): AMD210827C00105000				
08/19/2021	2.00	563.87	08/19/2021	474.11	0.00	89.76	Sell to Close
08/23/2021	1.00	336.93	08/20/2021	230.05	0.00	106.88	Sell to Close
Security Totals:		900.80		704.16		196.64	
CALL NVDA 09/03/21 222.50			NVIDIA CORPORATION CUSIP: Symbol(Box 1a): NVDA210903C00222500				
08/31/2021	1.00	295.93	08/31/2021	267.05	0.00	28.88	Sell to Close

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APEX CLEARING

Proceeds from Broker and Barter Exchange Transactions

2021 Form 1099-B*

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(continued)

01/31/2022

OMB No. 1545-0715

SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

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

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

Box 5: Box Not Checked (Covered Security)

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

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

Date Sold or Disposed (Box 1c)	Quantity	Proceeds (Box 1d)	Date Acquired (Box 1b)	Cost or Other Basis (Box 1e)	Accrued Market Discount (M)(Box 1f) & Wash Sale Loss Disallowed (D)(Box 1g)	Gain or Loss(-)	Additional Notes
CALL NVDA 09/03/21 222.50 NVIDIA CORPORATION CUSIP: Symbol(Box 1a): NVDA210903C00222500							
08/31/2021	3.00	851.82	08/31/2021	846.50	0.00	5.32	Sell to Close
08/31/2021	1.00	311.93	08/31/2021	286.05	0.00	25.88	Sell to Close
08/31/2021	3.00	821.82	08/31/2021	915.16	93.34 D	0.00	Sell to Close
Security Totals:		2,281.50		2,314.76		60.08	
PUT AMD 08/27/21 107 ADVANCED MICRO DEVICES INC CUSIP: Symbol(Box 1a): AMD210827P00107000							
08/26/2021	1.00	86.93	08/26/2021	115.05	0.00	-28.12	Sell to Close
CALL AMAT 09/17/21 140 APPLIED MATERIALS INC CUSIP: Symbol(Box 1a): AMAT210917C00140000							
09/14/2021	1.00	145.93	09/14/2021	135.05	0.00	10.88	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	0.00	09/16/2021	12.05	0.00	-12.05	Expiration
COTY INC COM CL A CUSIP: 222070203 Symbol(Box 1a): COTY							
08/19/2021	1.00	7.86	08/17/2021	0.00	0.00	7.86	Sale
CALL LCID 12/17/21 40 LUCID GROUP INC CUSIP: Symbol(Box 1a): LCID211217C00040000							
11/05/2021	1.00	639.94	11/05/2021	585.04	0.00	54.90	Sell to Close
11/05/2021	1.00	564.94	11/05/2021	600.04	0.00	-35.10	Sell to Close
Security Totals:		1,204.88		1,185.08		19.80	
PUT AMD 11/05/21 121 ADVANCED MICRO DEVICES INC CUSIP: Symbol(Box 1a): AMD211105P00121000							
10/28/2021	1.00	254.94	10/28/2021	287.04	0.00	-32.10	Sell to Close
PUT SPY 09/20/21 432 STANDARD & POORS DEPOSITORY CUSIP: Symbol(Box 1a): SPY210920P00432000							
09/20/2021	1.00	85.93	09/20/2021	78.05	0.00	7.88	Sell to Close

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APEX CLEARING

Proceeds from Broker and Barter Exchange Transactions

2021 Form 1099-B*

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(continued)

01/31/2022

OMB No. 1545-0715

SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

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

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

Box 5: Box Not Checked (Covered Security)

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

Box 12: Basis Reported to the IRS

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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 09/20/21 432 STANDARD & POORS DEPOSITORY CUSIP: Symbol(Box 1a): SPY210920P00432000							
09/20/2021	2.00	173.88	09/20/2021	156.10	0.00	17.78	Sell to Close
09/20/2021	2.00	173.88	09/20/2021	156.10	0.00	17.78	Sell to Close
Security Totals:		433.69		390.25		43.44	
CALL SPY 08/27/21 448 STANDARD & POORS DEPOSITORY CUSIP: Symbol(Box 1a): SPY210827C00448000							
08/17/2021	1.00	108.93	08/17/2021	142.05	0.00	-33.12	Sell to Close
CALL X 11/19/21 23 UNITED STATES STL CORP NEW CUSIP: Symbol(Box 1a): X211119C00023000							
10/25/2021	1.00	165.94	10/22/2021	141.04	0.00	24.90	Sell to Close
DRAFTKINGS INC CLASS A COMMON STOCK CUSIP: 26142R104 Symbol(Box 1a): DKNB							
10/08/2021	3.00	145.87	Various	180.40	0.00	-34.53	Sale
PUT SNAP 09/17/21 71 SNAP INC CUSIP: Symbol(Box 1a): SNAP210917P00071000							
09/15/2021	1.00	83.93	09/15/2021	89.05	0.00	-5.12	Sell to Close
PUT ROKU 12/10/21 190 ROKU INC CUSIP: Symbol(Box 1a): ROKU211210P00190000							
12/06/2021	1.00	325.96	12/03/2021	380.02	0.00	-54.06	Sell to Close
PUT SPY 11/29/21 467 STANDARD & POORS DEPOSITORY CUSIP: Symbol(Box 1a): SPY211129P00467000							
11/24/2021	1.00	199.96	11/24/2021	250.02	0.00	-50.06	Sell to Close
CALL CHWY 12/17/21 80 CHEWY INC CLASS A CUSIP: Symbol(Box 1a): CHWY211217C00080000							
11/22/2021	1.00	268.96	11/19/2021	335.02	0.00	-66.06	Sell to Close
CALL NVAX 09/17/21 300 NOVAVAX INC CUSIP: Symbol(Box 1a): NVAX210917C00300000							
09/08/2021	1.00	579.93	09/08/2021	505.05	0.00	74.88	Sell to Close
PUT FB 10/08/21 310 FACEBOOK INC CL A CUSIP: Symbol(Box 1a): FB211008P00310000							
10/06/2021	1.00	46.94	10/05/2021	83.04	0.00	-36.10	Sell to Close

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APEX CLEARING

Proceeds from Broker and Barter Exchange Transactions

2021 Form 1099-B*

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(continued)

01/31/2022

OMB No. 1545-0715

SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

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

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

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

Date Sold or Disposed (Box 1c)	Quantity	Proceeds (Box 1d)	Date Acquired (Box 1b)	Cost or Other Basis (Box 1e)	Accrued Market Discount (M)(Box 1f) & Wash Sale Loss Disallowed (D)(Box 1g)	Gain or Loss(-)	Additional Notes
CALL NVDA 09/24/21	215						
NVIDIA CORPORATION CUSIP: Symbol(Box 1a): NVDA210924C00215000							
09/22/2021	1.00	292.93	09/22/2021	289.05	0.00	3.88	Sell to Close
PUT VXX 08/20/21	30						
IPATH SRS B S&P 500 VIX SHRT CUSIP: Symbol(Box 1a): VXX210820P00030000							
08/19/2021	1.00	111.93	08/19/2021	100.05	0.00	11.88	Sell to Close
PUT SPY 09/22/21	435						
STANDARD & POORS DEPOSITORY CUSIP: Symbol(Box 1a): SPY210922P00435000							
09/21/2021	1.00	171.93	09/21/2021	183.05	0.00	-11.12	Sell to Close
CALL DIS 09/10/21	185						
WALT DISNEY CO CUSIP: Symbol(Box 1a): DIS210910C00185000							
09/08/2021	1.00	127.93	09/08/2021	145.05	0.00	-17.12	Sell to Close
PUT SPY 10/04/21	425						
STANDARD & POORS DEPOSITORY CUSIP: Symbol(Box 1a): SPY211004P00425000							
10/01/2021	1.00	43.94	10/01/2021	64.04	0.00	-20.10	Sell to Close
CALL VXX 09/24/21	25.50						
IPATH SRS B S&P 500 VIX SHRT CUSIP: Symbol(Box 1a): VXX210924C00025500							
09/13/2021	1.00	212.93	09/13/2021	194.05	0.00	18.88	Sell to Close
CALL F 09/10/21	13						
FORD MOTOR COMPANY CUSIP: Symbol(Box 1a): F210910C00013000							
09/08/2021	1.00	22.93	09/07/2021	17.05	0.00	5.88	Sell to Close
CALL SPY 09/15/21	447						
STANDARD & POORS DEPOSITORY CUSIP: Symbol(Box 1a): SPY210915C00447000							
09/14/2021	1.00	79.93	09/14/2021	98.05	0.00	-18.12	Sell to Close
CALL SPWR 09/17/21	25						
SUNPOWER CORPORATION CUSIP: Symbol(Box 1a): SPWR210917C00025000							
09/08/2021	3.00	29.82	09/02/2021	96.16	0.00	-66.34	Sell to Close
PUT NVDA 08/27/21	217.50						
NVIDIA CORPORATION ADJ 4:1 STOCK SPLIT CUSIP: Symbol(Box 1a): NVDA210827P00217500							
08/26/2021	1.00	61.93	08/26/2021	75.05	0.00	-13.12	Sell to Close
CALL AMD 09/24/21	106						
ADVANCED MICRO DEVICES INC CUSIP: Symbol(Box 1a): AMD210924C00106000							
09/15/2021	1.00	201.93	09/15/2021	205.05	0.00	-3.12	Sell to Close

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APEX CLEARING

Proceeds from Broker and Barter Exchange Transactions

2021 Form 1099-B*

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(continued)

01/31/2022

OMB No. 1545-0715

SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

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

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

Box 5: Box Not Checked (Covered Security)

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

Box 12: Basis Reported to the IRS

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

Date Sold or Disposed (Box 1c)	Quantity	Proceeds (Box 1d)	Date Acquired (Box 1b)	Cost or Other Basis (Box 1e)	Accrued Market Discount (M)(Box 1f) & Wash Sale Loss Disallowed (D)(Box 1g)	Gain or Loss(-)	Additional Notes
CALL SPY 09/17/21 443 STANDARD & POORS DEPOSITORY CUSIP: Symbol(Box 1a): SPY210917C00443000							
09/17/2021	1.00	89.93	09/17/2021	103.05	0.00	-13.12	Sell to Close
CALL NNDM 12/17/21 7.50 NANO DIMENSION LTD ADS CUSIP: Symbol(Box 1a): NNDM211217C00007500							
08/31/2021	3.00	221.82	08/31/2021	198.16	0.00	23.66	Sell to Close
08/31/2021	3.00	209.82	08/25/2021	192.16	0.00	17.66	Sell to Close
09/02/2021	1.00	74.93	08/31/2021	66.05	0.00	8.88	Sell to Close
Security Totals:		506.57		456.37		50.20	
PUT ROKU 10/01/21 300 ROKU INC CUSIP: Symbol(Box 1a): ROKU211001P00300000							
09/28/2021	1.00	327.93	09/28/2021	300.05	0.00	27.88	Sell to Close
CALL AAL 10/01/21 21 AMERICAN AIRLINES GROUP INC CUSIP: Symbol(Box 1a): AAL211001C00021000							
09/21/2021	1.00	32.93	09/21/2021	47.05	0.00	-14.12	Sell to Close
ALSET EHOME INTERNATIONAL INC COMMON STOCK CUSIP: 02116A104 Symbol(Box 1a): AEI							
09/13/2021	20.00	54.18	09/07/2021	47.60	0.00	6.58	Sale
CALL TWTR 09/03/21 66 TWITTER INC CUSIP: Symbol(Box 1a): TWTR210903C00066000							
09/01/2021	1.00	69.93	09/01/2021	89.05	19.12 D	0.00	Sell to Close
09/01/2021	2.00	127.88	Various	219.44	0.00	-91.56	Sell to Close
09/01/2021	1.00	41.93	09/01/2021	100.16	0.00	-58.23	Sell to Close
09/01/2021	5.00	324.72	Various	464.38	139.66 D	0.00	Sell to Close
09/01/2021	1.00	49.93	09/01/2021	100.16	0.00	-50.23	Sell to Close
09/02/2021	1.00	26.93	09/01/2021	100.16	0.00	-73.23	Sell to Close
Security Totals:		641.32		1,073.35		-273.25	

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APEX CLEARING

Proceeds from Broker and Barter Exchange Transactions

2021 Form 1099-B*

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(continued)

01/31/2022

OMB No. 1545-0715

SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

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

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

Date Sold or Disposed (Box 1c)	Quantity	Proceeds (Box 1d)	Date Acquired (Box 1b)	Cost or Other Basis (Box 1e)	Accrued Market Discount (M)(Box 1f) & Wash Sale Loss Disallowed (D)(Box 1g)	Gain or Loss(-)	Additional Notes
PUT SPY 11/17/21 464 STANDARD & POORS DEPOSITORY CUSIP: Symbol(Box 1a): SPY211117P00464000							
11/11/2021	1.00	289.96	11/11/2021	262.02	0.00	27.94	Sell to Close
11/11/2021	1.00	270.96	11/11/2021	272.02	0.00	-1.06	Sell to Close
Security Totals:		560.92		534.04		26.88	
CALL UBER 09/24/21 46 UBER TECHNOLOGIES INC CUSIP: Symbol(Box 1a): UBER210924C00046000							
09/22/2021	2.00	135.88	09/22/2021	130.10	0.00	5.78	Sell to Close
PUT SPY 09/20/21 445 STANDARD & POORS DEPOSITORY CUSIP: Symbol(Box 1a): SPY210920P00445000							
09/16/2021	1.00	197.93	09/16/2021	238.05	0.00	-40.12	Sell to Close
CALL DIS 10/29/21 170 WALT DISNEY CO CUSIP: Symbol(Box 1a): DIS211029C00170000							
10/28/2021	1.00	84.94	10/28/2021	85.04	0.00	-0.10	Sell to Close
PUT SPY 09/20/21 441 STANDARD & POORS DEPOSITORY CUSIP: Symbol(Box 1a): SPY210920P00441000							
09/17/2021	1.00	183.93	09/17/2021	166.05	0.00	17.88	Sell to Close
CALL AAPL 10/15/21 150 APPLE INC CUSIP: Symbol(Box 1a): AAPL211015C00150000							
09/15/2021	1.00	319.93	09/15/2021	297.05	0.00	22.88	Sell to Close
09/16/2021	1.00	290.93	09/16/2021	270.05	0.00	20.88	Sell to Close
Security Totals:		610.86		567.10		43.76	
CALL SNAP 10/15/21 75 SNAP INC CUSIP: Symbol(Box 1a): SNAP211015C00075000							
09/14/2021	1.00	227.93	09/14/2021	266.05	0.00	-38.12	Sell to Close
09/14/2021	1.00	273.93	09/13/2021	266.05	0.00	7.88	Sell to Close
Security Totals:		501.86		532.10		-30.24	
PUT NIO 12/10/21 37 NIO INC ADS CUSIP: Symbol(Box 1a): NIO211210P00037000							
12/02/2021	1.00	303.96	12/02/2021	170.02	0.00	133.94	Sell to Close

APEX CLEARING

Proceeds from Broker and Barter Exchange Transactions

2021 Form 1099-B*

5IB33668

(continued)

01/31/2022

OMB No. 1545-0715

SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

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

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CALL AAPL 12/10/21 165 APPLE INC CUSIP: Symbol(Box 1a): AAPL211210C00165000							
11/30/2021	1.00	381.96	11/30/2021	298.02	0.00	83.94	Sell to Close
CALL JPM 08/20/21 157.50 JPMORGAN CHASE & CO CUSIP: Symbol(Box 1a): JPM210820C00157500							
08/18/2021	1.00	118.93	08/18/2021	117.05	0.00	1.88	Sell to Close
CALL CLF 08/20/21 24.50 CLEVELAND CLIFFS INC CUSIP: Symbol(Box 1a): CLF210820C00024500							
08/17/2021	1.00	52.93	08/17/2021	64.05	0.00	-11.12	Sell to Close
CALL ROKU 09/10/21 400 ROKU INC CUSIP: Symbol(Box 1a): ROKU210910C00400000							
09/02/2021	1.00	206.93	09/01/2021	319.05	0.00	-112.12	Sell to Close
CALL SPY 09/01/21 452 STANDARD & POORS DEPOSITORY CUSIP: Symbol(Box 1a): SPY210901C00452000							
08/31/2021	1.00	66.93	08/31/2021	58.05	0.00	8.88	Sell to Close
CALL SPY 09/01/21 453 STANDARD & POORS DEPOSITORY CUSIP: Symbol(Box 1a): SPY210901C00453000							
09/01/2021	4.00	87.77	Various	84.63	0.00	3.14	Sell to Close
09/01/2021	1.00	18.93	09/01/2021	20.16	0.00	-1.23	Sell to Close
09/01/2021	4.00	79.77	09/01/2021	108.64	0.00	-28.87	Sell to Close
09/01/2021	18.00	503.01	Various	498.93	12.96 D	17.04	Sell to Close
Security Totals:		689.48		712.36		-9.92	
PUT FB 10/29/21 310 FACEBOOK INC CL A CUSIP: Symbol(Box 1a): FB211029P00310000							
10/27/2021	1.00	247.94	10/27/2021	210.04	0.00	37.90	Sell to Close
CALL DKNG 08/27/21 60 DRAFTKINGS INC CL A CUSIP: Symbol(Box 1a): DKNG210827C00060000							
08/27/2021	1.00	8.93	08/27/2021	25.05	0.00	-16.12	Sell to Close
PUT MARA 12/17/21 42 MARATHON DIGITAL HOLDINGS INC CUSIP: Symbol(Box 1a): MARA211217P00042000							
12/10/2021	1.00	323.96	12/09/2021	298.02	0.00	25.94	Sell to Close

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APEX CLEARING

Proceeds from Broker and Barter Exchange Transactions

2021 Form 1099-B*

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(continued)

01/31/2022

OMB No. 1545-0715

SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

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

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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 FB 11/19/21 355 META PLATFORMS INC CL A CUSIP: Symbol(Box 1a): FB211119C00355000							
11/16/2021	1.00	145.96	11/15/2021	270.02	124.06 D	0.00	Sell to Close
11/16/2021	1.00	109.96	11/16/2021	265.08	0.00	-155.12	Sell to Close
Security Totals:		255.92		535.10		-155.12	
PUT SPY 09/17/21 446 STANDARD & POORS DEPOSITORY CUSIP: Symbol(Box 1a): SPY210917P00446000							
09/13/2021	1.00	312.93	09/13/2021	295.05	0.00	17.88	Sell to Close
CALL SPY 09/17/21 447 STANDARD & POORS DEPOSITORY CUSIP: Symbol(Box 1a): SPY210917C00447000							
09/15/2021	1.00	123.93	09/15/2021	113.05	0.00	10.88	Sell to Close
CALL MS 08/20/21 103 MORGAN STANLEY CUSIP: Symbol(Box 1a): MS210820C00103000							
08/20/2021	1.00	0.00	08/18/2021	40.05	0.00	-40.05	Expiration
CALL AMD 10/01/21 106 ADVANCED MICRO DEVICES INC CUSIP: Symbol(Box 1a): AMD211001C00106000							
09/27/2021	1.00	188.93	09/24/2021	164.05	0.00	24.88	Sell to Close
PUT UPST 09/17/21 180 UPSTART HOLDINGS INC CUSIP: Symbol(Box 1a): UPST210917P00180000							
08/19/2021	1.00	1,149.93	08/19/2021	960.05	0.00	189.88	Sell to Close
PUT QQQ 09/15/21 374 INVESCO QQQ TRUST SERIES 1 CUSIP: Symbol(Box 1a): QQQ210915P00374000							
09/15/2021	1.00	102.93	09/15/2021	97.05	0.00	5.88	Sell to Close
09/15/2021	1.00	120.93	09/15/2021	110.05	0.00	10.88	Sell to Close
Security Totals:		223.86		207.10		16.76	
PUT SPY 09/08/21 449 STANDARD & POORS DEPOSITORY CUSIP: Symbol(Box 1a): SPY210908P00449000							
09/08/2021	1.00	40.93	09/08/2021	60.05	0.00	-19.12	Sell to Close
CALL AMD 10/15/21 105 ADVANCED MICRO DEVICES INC CUSIP: Symbol(Box 1a): AMD211015C00105000							
09/13/2021	1.00	419.93	09/13/2021	400.05	0.00	19.88	Sell to Close

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APEX CLEARING

Proceeds from Broker and Barter Exchange Transactions

2021 Form 1099-B*

5IB33668

(continued)

01/31/2022

OMB No. 1545-0715

SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

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

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

Box 5: Box Not Checked (Covered Security)

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

Box 12: Basis Reported to the IRS

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

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

Date Sold or Disposed (Box 1c)	Quantity	Proceeds (Box 1d)	Date Acquired (Box 1b)	Cost or Other Basis (Box 1e)	Accrued Market Discount (M)(Box 1f) & Wash Sale Loss Disallowed (D)(Box 1g)	Gain or Loss(-)	Additional Notes
CALL NFLX 09/10/21 610 NETFLIX INC CUSIP: Symbol(Box 1a): NFLX210910C00610000							
09/10/2021	2.00	105.88	09/10/2021	300.10	0.00	-194.22	Sell to Close
CALL TSM 08/27/21 120 TAIWAN SEMICONDUCTOR MFG CO CUSIP: Symbol(Box 1a): TSM210827C00120000							
08/25/2021	2.00	87.87	08/25/2021	110.11	0.00	-22.24	Sell to Close
CALL UPST 08/27/21 240 UPSTART HOLDINGS INC CUSIP: Symbol(Box 1a): UPST210827C00240000							
08/24/2021	1.00	149.93	08/24/2021	150.05	0.00	-0.12	Sell to Close
PUT WYNN 09/17/21 85 WYNN RESORTS LIMITED CUSIP: Symbol(Box 1a): WYNN210917P00085000							
09/15/2021	1.00	259.93	09/15/2021	269.17	0.00	-9.24	Sell to Close
09/15/2021	1.00	243.93	09/15/2021	261.05	17.12 D	0.00	Sell to Close
Security Totals:		503.86		530.22		-9.24	
CALL IWM 08/20/21 218 ISHARES RUSSELL 2000 ETF CUSIP: Symbol(Box 1a): IWM210820C00218000							
08/18/2021	1.00	132.93	08/18/2021	137.05	0.00	-4.12	Sell to Close
PUT AAPL 10/08/21 138 APPLE INC CUSIP: Symbol(Box 1a): AAPL211008P00138000							
10/01/2021	1.00	173.94	10/01/2021	143.04	0.00	30.90	Sell to Close
CALL ATVI 11/19/21 80 ACTIVISION BLIZZARD INC CUSIP: Symbol(Box 1a): ATVI211119C00080000							
10/20/2021	1.00	188.94	10/18/2021	158.04	0.00	30.90	Sell to Close
CALL UAL 10/08/21 50 UNITED AIRLINES HOLDINGS INC CUSIP: Symbol(Box 1a): UAL211008C00050000							
09/29/2021	1.00	69.93	09/29/2021	89.05	0.00	-19.12	Sell to Close
PUT TNA 09/03/21 80 DIREXION DAILY SMALL CP BLL 3X CUSIP: Symbol(Box 1a): TNA210903P00080000							
08/26/2021	1.00	119.93	08/26/2021	153.05	0.00	-33.12	Sell to Close
CALL CLF 09/03/21 25 CLEVELAND CLIFFS INC CUSIP: Symbol(Box 1a): CLF210903C00025000							
08/27/2021	2.00	87.87	08/27/2021	110.11	0.00	-22.24	Sell to Close

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APEX CLEARING

Proceeds from Broker and Barter Exchange Transactions

2021 Form 1099-B*

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01/31/2022

OMB No. 1545-0715

SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

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

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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 EDU 10/15/21 2.50 NEW ORIENTAL EDUCATION & TECH CUSIP: Symbol(Box 1a): EDU211015C00002500							
09/02/2021	1.00	29.93	09/01/2021	45.05	0.00	-15.12	Sell to Close
CALL CLF 09/03/21 24 CLEVELAND CLIFFS INC CUSIP: Symbol(Box 1a): CLF210903C00024000							
08/23/2021	2.00	177.87	08/23/2021	188.10	10.23 D	0.00	Sell to Close
08/23/2021	2.00	201.87	08/23/2021	188.11	0.00	13.76	Sell to Close
08/24/2021	1.00	147.93	08/24/2021	148.17	0.00	-0.24	Sell to Close
08/24/2021	1.00	144.93	08/24/2021	148.17	0.00	-3.24	Sell to Close
Security Totals:		672.60		672.55		10.28	
CALL AFRM 01/07/22 110 AFFIRM HOLDINGS INC CL A CUSIP: Symbol(Box 1a): AFRM220107C00110000							
12/28/2021	1.00	379.96	12/27/2021	480.02	0.00	-100.06	Sell to Close
PUT QQQ 09/17/21 374 INVESCO QQQ TRUST SERIES 1 CUSIP: Symbol(Box 1a): QQQ210917P00374000							
09/15/2021	1.00	130.93	09/15/2021	244.53	0.00	-113.60	Sell to Close
09/15/2021	1.00	207.93	09/15/2021	202.05	0.00	5.88	Sell to Close
09/15/2021	1.00	143.93	09/15/2021	226.41	82.48 D	0.00	Sell to Close
09/15/2021	1.00	177.93	09/15/2021	194.05	16.12 D	0.00	Sell to Close
09/15/2021	1.00	187.93	09/15/2021	230.29	42.36 D	0.00	Sell to Close
09/15/2021	1.00	187.93	09/15/2021	230.17	42.24 D	0.00	Sell to Close
Security Totals:		1,036.58		1,327.50		-107.72	
CALL TSLA 10/01/21 820 TESLA INC CUSIP: Symbol(Box 1a): TSLA211001C00820000							
09/27/2021	1.00	147.93	09/27/2021	184.05	0.00	-36.12	Sell to Close

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APEX CLEARING

Proceeds from Broker and Barter Exchange Transactions

2021 Form 1099-B*

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01/31/2022

OMB No. 1545-0715

SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

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

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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 DDOG 09/17/21 140 DATADOG INC CL A CUSIP: Symbol(Box 1a): DDOG210917C00140000							
09/07/2021	1.00	269.93	09/07/2021	245.05	0.00	24.88	Sell to Close
09/08/2021	1.00	339.93	09/08/2021	294.05	0.00	45.88	Sell to Close
Security Totals:		609.86		539.10		70.76	
PUT AMD 11/26/21 147 ADVANCED MICRO DEVICES INC CUSIP: Symbol(Box 1a): AMD211126P00147000							
11/23/2021	1.00	237.96	11/23/2021	260.02	0.00	-22.06	Sell to Close
PUT TSM 10/15/21 115 TAIWAN SEMICONDUCTOR MFG CO CUSIP: Symbol(Box 1a): TSM211015P00115000							
09/20/2021	1.00	367.93	09/20/2021	348.05	0.00	19.88	Sell to Close
PUT AMD 10/15/21 90 ADVANCED MICRO DEVICES INC CUSIP: Symbol(Box 1a): AMD211015P00090000							
08/30/2021	1.00	57.93	08/26/2021	114.05	0.00	-56.12	Sell to Close
CALL SPY 10/27/21 454 STANDARD & POORS DEPOSITORY CUSIP: Symbol(Box 1a): SPY211027C00454000							
10/22/2021	1.00	177.94	10/22/2021	145.04	0.00	32.90	Sell to Close
CALL NVDA 09/17/21 225 NVIDIA CORPORATION ADJ 4:1 STOCK SPLIT CUSIP: Symbol(Box 1a): NVDA210917C00225000							
08/23/2021	1.00	480.93	08/23/2021	455.05	0.00	25.88	Sell to Close
PUT SPY 11/15/21 465 STANDARD & POORS DEPOSITORY CUSIP: Symbol(Box 1a): SPY211115P00465000							
11/09/2021	1.00	221.95	11/09/2021	209.04	0.00	12.91	Sell to Close
***PINDUODUO INC AMERICAN DEPOSITORY SHARES CUSIP: 722304102 Symbol(Box 1a): PDD							
10/08/2021	2.00	189.98	09/08/2021	213.06	0.00	-23.08	Sale
CALL SNAP 09/03/21 74 SNAP INC CUSIP: Symbol(Box 1a): SNAP210903C00074000							
08/30/2021	1.00	105.93	08/27/2021	153.05	0.00	-47.12	Sell to Close
CALL MRNA 09/17/21 450 MODERNA INC CUSIP: Symbol(Box 1a): MRNA210917C00450000							
09/16/2021	1.00	289.93	09/16/2021	355.05	0.00	-65.12	Sell to Close

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APEX CLEARING

Proceeds from Broker and Barter Exchange Transactions

2021 Form 1099-B*

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01/31/2022

OMB No. 1545-0715

SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

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

Box 2: Type of Gain or Loss - Short-Term (unless indicated as Ordinary in Additional Notes Column)**Box 5:** Box Not Checked (Covered Security)**Box 6:** Gross (unless indicated as Net in Additional Notes Column)**Box 12:** Basis Reported to the IRS**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 ROKU 08/20/21	380	ROKU INC CUSIP: Symbol(Box 1a): ROKU210820C00380000					
08/17/2021	1.00	421.93	08/17/2021	355.05	0.00	66.88	Sell to Close
CALL AAPL 11/19/21	160	APPLE INC CUSIP: Symbol(Box 1a): AAPL211119C00160000					
11/19/2021	1.00	12.96	11/18/2021	39.02	0.00	-26.06	Sell to Close
PUT NVDA 08/27/21	222.50	NVIDIA CORPORATION	ADJ 4:1 STOCK SPLIT CUSIP: Symbol(Box 1a): NVDA210827P00222500				
08/27/2021	1.00	0.00	08/27/2021	20.05	0.00	-20.05	Expiration
PUT SPY 09/10/21	449	STANDARD & POORS DEPOSITORY CUSIP: Symbol(Box 1a): SPY210910P00449000					
09/01/2021	2.00	339.88	Various	322.10	0.00	17.78	Sell to Close
09/01/2021	5.00	809.73	Various	742.25	0.00	67.48	Sell to Close
09/01/2021	4.00	631.77	Various	612.21	0.00	19.56	Sell to Close
09/08/2021	1.00	186.93	09/08/2021	151.05	0.00	35.88	Sell to Close
Security Totals:		1,968.31		1,827.61		140.70	
PUT AAPL 12/03/21	160	APPLE INC CUSIP: Symbol(Box 1a): AAPL211203P00160000					
11/23/2021	1.00	309.96	11/23/2021	260.02	0.00	49.94	Sell to Close
PUT SPY 09/10/21	450	STANDARD & POORS DEPOSITORY CUSIP: Symbol(Box 1a): SPY210910P00450000					
09/02/2021	1.00	189.93	09/02/2021	145.05	0.00	44.88	Sell to Close
09/07/2021	1.00	159.93	09/02/2021	145.05	0.00	14.88	Sell to Close
Security Totals:		349.86		290.10		59.76	
PUT MSFT 09/17/21	292.50	MICROSOFT CORP CUSIP: Symbol(Box 1a): MSFT210917P00292500					
09/13/2021	1.00	148.93	09/13/2021	181.05	0.00	-32.12	Sell to Close
CALL TSLA 09/03/21	750	TESLA INC CUSIP: Symbol(Box 1a): TSLA210903C00750000					
08/31/2021	1.00	296.93	08/31/2021	309.05	0.00	-12.12	Sell to Close

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APEX CLEARING

Proceeds from Broker and Barter Exchange Transactions

2021 Form 1099-B*

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(continued)

01/31/2022

OMB No. 1545-0715

SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

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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 FB 08/27/21 370 FACEBOOK INC CL A CUSIP: Symbol(Box 1a): FB210827C00370000							
08/26/2021	1.00	59.93	08/26/2021	79.05	19.12 D	0.00	Sell to Close
08/27/2021	1.00	114.93	08/27/2021	112.29	0.00	2.64	Sell to Close
08/27/2021	1.00	128.93	08/27/2021	148.17	19.24 D	0.00	Sell to Close
Security Totals:		303.79		339.51		2.64	
CALL SOFI 11/19/21 21 SOFI TECHNOLOGIES INC CUSIP: Symbol(Box 1a): SOFI211119C00021000							
10/26/2021	1.00	139.94	10/25/2021	156.04	0.00	-16.10	Sell to Close
CALL AMAT 08/20/21 130 APPLIED MATERIALS INC CUSIP: Symbol(Box 1a): AMAT210820C00130000							
08/17/2021	1.00	254.93	08/17/2021	270.05	0.00	-15.12	Sell to Close
CALL NVDA 08/27/21 225 NVIDIA CORPORATION ADJ 4:1 STOCK SPLIT CUSIP: Symbol(Box 1a): NVDA210827C00225000							
08/25/2021	1.00	151.93	08/25/2021	194.05	42.12 D	0.00	Sell to Close
08/27/2021	1.00	135.93	08/27/2021	144.17	8.24 D	0.00	Sell to Close
08/27/2021	1.00	83.93	08/27/2021	85.29	0.00	-1.36	Sell to Close
Security Totals:		371.79		423.51		-1.36	
CALL AMC 11/19/21 40 AMC ENTERTAINMENT HOLDINGS INC CUSIP: Symbol(Box 1a): AMC211119C00040000							
11/03/2021	1.00	504.94	11/02/2021	335.04	0.00	169.90	Sell to Close
DATCHAT INC COMMON STOCK CUSIP: 23816M107 Symbol(Box 1a): DATS							
09/07/2021	50.00	349.98	08/31/2021	392.50	0.00	-42.52	Sale
CALL SKLZ 09/03/21 13 SKILLZ INC CL A CUSIP: Symbol(Box 1a): SKLZ210903C00013000							
09/02/2021	1.00	22.93	09/01/2021	30.05	0.00	-7.12	Sell to Close

APEX CLEARING

Proceeds from Broker and Barter Exchange Transactions

2021 Form 1099-B*

5IB33668

(continued)

01/31/2022

OMB No. 1545-0715

SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

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Date Sold or Disposed (Box 1c)	Quantity	Proceeds (Box 1d)	Date Acquired (Box 1b)	Cost or Other Basis (Box 1e)	Accrued Market Discount (M)(Box 1f) & Wash Sale Loss Disallowed (D)(Box 1g)	Gain or Loss(-)	Additional Notes
GENWORTH FINANCIAL INC COM CL A CUSIP: 37247D106 Symbol(Box 1a): GNW							
08/17/2021	1.00	3.62	08/11/2021	0.00	0.00	3.62	Sale
CALL PLTR 08/27/21 25.50 PALANTIR TECHNOLOGIES INC CL A CUSIP: Symbol(Box 1a): PLTR210827C00025500							
08/24/2021	2.00	64.87	08/23/2021	52.11	0.00	12.76	Sell to Close
PUT VXX 09/10/21 25 IPATH SRS B S&P 500 VIX SHRT CUSIP: Symbol(Box 1a): VXX210910P00025000							
09/07/2021	1.00	46.93	09/07/2021	41.05	0.00	5.88	Sell to Close
CALL PLUG 11/26/21 42 PLUG POWER INC CUSIP: Symbol(Box 1a): PLUG211126C00042000							
11/10/2021	1.00	169.94	11/10/2021	228.04	58.1 D	0.00	Sell to Close
11/11/2021	1.00	179.96	11/10/2021	288.14	108.18 D	0.00	Sell to Close
11/11/2021	1.00	278.96	11/10/2021	320.22	0.00	-41.26	Sell to Close
Security Totals:		628.86		836.40		-41.26	
PUT BA 09/17/21 212.50 BOEING CO CUSIP: Symbol(Box 1a): BA210917P00212500							
09/13/2021	1.00	218.93	09/13/2021	212.05	0.00	6.88	Sell to Close
PUT SPY 09/30/21 444 STANDARD & POORS DEPOSITORY CUSIP: Symbol(Box 1a): SPY210930P00444000							
08/26/2021	1.00	669.93	08/26/2021	602.05	0.00	67.88	Sell to Close
PETVIVO HOLDINGS INC COMMON STOCK CUSIP: 716817408 Symbol(Box 1a): PETV							
09/02/2021	50.00	181.99	09/01/2021	159.25	0.00	22.74	Sale
CALL AMD 08/27/21 112 ADVANCED MICRO DEVICES INC CUSIP: Symbol(Box 1a): AMD210827C00112000							
08/23/2021	2.00	109.87	08/23/2021	100.11	0.00	9.76	Sell to Close
08/25/2021	3.00	203.82	08/25/2021	198.16	0.00	5.66	Sell to Close
Security Totals:		313.69		298.27		15.42	

APEX CLEARING

Proceeds from Broker and Barter Exchange Transactions

2021 Form 1099-B*

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01/31/2022

OMB No. 1545-0715

SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

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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 SBUX 09/17/21	115	STARBUCKS CORPORATION CUSIP: Symbol(Box 1a): SBUX210917C00115000					
08/19/2021	1.00	200.93	08/17/2021	337.05	0.00	-136.12	Sell to Close
CALL PDD 09/03/21	97	PINDUODUO INC ADS CUSIP: Symbol(Box 1a): PDD210903C00097000					
08/27/2021	1.00	135.93	08/27/2021	174.05	0.00	-38.12	Sell to Close
PUT SPY 08/23/21	440	STANDARD & POORS DEPOSITORY CUSIP: Symbol(Box 1a): SPY210823P00440000					
08/18/2021	1.00	159.93	08/18/2021	144.05	0.00	15.88	Sell to Close
CALL TSLA 08/27/21	750	TESLA INC CUSIP: Symbol(Box 1a): TSLA210827C00750000					
08/25/2021	1.00	45.93	08/24/2021	58.05	0.00	-12.12	Sell to Close
CALL SPY 08/20/21	443	STANDARD & POORS DEPOSITORY CUSIP: Symbol(Box 1a): SPY210820C00443000					
08/19/2021	1.00	62.93	08/19/2021	54.05	0.00	8.88	Sell to Close
PUT FB 08/20/21	360	FACEBOOK INC CL A CUSIP: Symbol(Box 1a): FB210820P00360000					
08/17/2021	1.00	238.93	08/17/2021	265.05	0.00	-26.12	Sell to Close
PUT JD 09/17/21	77.50	JD.COM INC CUSIP: Symbol(Box 1a): JD210917P00077500					
09/17/2021	1.00	22.93	09/17/2021	31.05	0.00	-8.12	Sell to Close
PUT CCL 09/17/21	22.50	CARNIVAL CORP CUSIP: Symbol(Box 1a): CCL210917P00022500					
09/15/2021	1.00	34.93	09/15/2021	38.05	0.00	-3.12	Sell to Close
CALL SOS 01/20/23	2.50	SOS LIMITED ADS CUSIP: Symbol(Box 1a): SOS230120C00002500					
09/02/2021	1.00	149.93	08/17/2021	127.05	0.00	22.88	Sell to Close
CALL PYPL 09/03/21	290	PAYPAL HOLDINGS INC CUSIP: Symbol(Box 1a): PYPL210903C00290000					
08/31/2021	1.00	199.93	08/31/2021	203.05	0.00	-3.12	Sell to Close
CALL DIS 08/27/21	177.50	WALT DISNEY CO CUSIP: Symbol(Box 1a): DIS210827C00177500					
08/19/2021	1.00	85.93	08/19/2021	115.05	0.00	-29.12	Sell to Close

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

APEX CLEARING

Proceeds from Broker and Barter Exchange Transactions

2021 Form 1099-B*

51B33668

(continued)

01/31/2022

OMB No. 1545-0715

SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

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

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

Box 5: Box Not Checked (Covered Security)

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

Box 12: Basis Reported to the IRS

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

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

Date Sold or Disposed (Box 1c)	Quantity	Proceeds (Box 1d)	Date Acquired (Box 1b)	Cost or Other Basis (Box 1e)	Accrued Market Discount (M)(Box 1f) & Wash Sale Loss Disallowed (D)(Box 1g)	Gain or Loss(-)	Additional Notes
PUT AMD 12/03/21 150 ADVANCED MICRO DEVICES INC CUSIP: Symbol(Box 1a): AMD211203P00150000							
12/01/2021	1.00	133.96	12/01/2021	121.02	0.00	12.94	Sell to Close
CALL V 09/17/21 240 VISA INC CUSIP: Symbol(Box 1a): V210917C00240000							
08/18/2021	1.00	249.93	08/17/2021	320.05	70.12 D	0.00	Sell to Close
08/27/2021	1.00	97.93	08/26/2021	203.17	0.00	-105.24	Sell to Close
Security Totals:		347.86		523.22		-105.24	
PUT SPY 08/20/21 439 STANDARD & POORS DEPOSITORY CUSIP: Symbol(Box 1a): SPY210820P00439000							
08/18/2021	2.00	381.87	Various	291.10	0.00	90.77	Sell to Close
CALL DIS 10/15/21 190 WALT DISNEY CO CUSIP: Symbol(Box 1a): DIS211015C00190000							
09/17/2021	1.00	243.93	09/17/2021	215.05	0.00	28.88	Sell to Close
09/28/2021	10.00	249.45	Various	832.50	583.05 D	0.00	Sell to Close
09/28/2021	6.00	137.68	Various	731.94	414.41 D	-179.85	Sell to Close
10/01/2021	3.00	59.85	Various	519.66	0.00	-459.81	Sell to Close
10/05/2021	1.00	18.94	09/28/2021	44.16	0.00	-25.22	Sell to Close
10/07/2021	1.00	14.94	09/28/2021	43.16	0.00	-28.22	Sell to Close
10/08/2021	1.00	7.94	09/28/2021	43.16	0.00	-35.22	Sell to Close
Security Totals:		732.73		2,429.63		-699.44	
CALL VXX 09/03/21 27 IPATH SRS B S&P 500 VIX SHRT CUSIP: Symbol(Box 1a): VXX210903C00027000							
08/26/2021	1.00	159.93	08/26/2021	137.05	0.00	22.88	Sell to Close
PUT NFLX 11/19/21 640 NETFLIX INC CUSIP: Symbol(Box 1a): NFLX211119P00640000							
11/10/2021	1.00	844.94	11/10/2021	774.04	0.00	70.90	Sell to Close

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APEX CLEARING

Proceeds from Broker and Barter Exchange Transactions

2021 Form 1099-B*

5IB33668

(continued)

01/31/2022

OMB No. 1545-0715

SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

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

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

Date Sold or Disposed (Box 1c)	Quantity	Proceeds (Box 1d)	Date Acquired (Box 1b)	Cost or Other Basis (Box 1e)	Accrued Market Discount (M)(Box 1f) & Wash Sale Loss Disallowed (D)(Box 1g)	Gain or Loss(-)	Additional Notes
CALL SNAP 09/17/21	76	SNAP INC CUSIP: Symbol(Box 1a): SNAP210917C00076000					
09/08/2021	1.00	185.93	09/07/2021	242.05	0.00	-56.12	Sell to Close
CALL CLF 09/17/21	24	CLEVELAND CLIFFS INC CUSIP: Symbol(Box 1a): CLF210917C00024000					
09/09/2021	1.00	47.93	09/09/2021	59.05	0.00	-11.12	Sell to Close
CALL FSLY 11/19/21	55	FASTLY INC CLASS A CUSIP: Symbol(Box 1a): FSLY211119C00055000					
10/20/2021	1.00	324.94	10/19/2021	280.04	0.00	44.90	Sell to Close
CALL FUBO 11/19/21	35	FUBOTV INC CUSIP: Symbol(Box 1a): FUBO211119C00035000					
11/09/2021	1.00	251.94	11/08/2021	227.04	0.00	24.90	Sell to Close
CALL PLUG 12/17/21	45	PLUG POWER INC CUSIP: Symbol(Box 1a): PLUG211217C00045000					
11/17/2021	1.00	227.96	11/16/2021	282.02	0.00	-54.06	Sell to Close
CALL VXX 10/08/21	29	IPATH SRS B S&P 500 VIX SHRT CUSIP: Symbol(Box 1a): VXX211008C00029000					
10/08/2021	1.00	0.94	10/05/2021	39.04	0.00	-38.10	Sell to Close
PUT SPY 10/01/21	434	STANDARD & POORS DEPOSITORY CUSIP: Symbol(Box 1a): SPY211001P00434000					
09/29/2021	1.00	227.93	09/29/2021	260.05	0.00	-32.12	Sell to Close
CALL SPY 08/18/21	445	STANDARD & POORS DEPOSITORY CUSIP: Symbol(Box 1a): SPY210818C00445000					
08/18/2021	1.00	8.93	08/18/2021	14.05	0.00	-5.12	Sell to Close
PUT ROKU 12/17/21	225	ROKU INC CUSIP: Symbol(Box 1a): ROKU211217P00225000					
12/13/2021	1.00	784.96	12/10/2021	578.02	0.00	206.94	Sell to Close
PUT LCID 12/17/21	43	LUCID GROUP INC CUSIP: Symbol(Box 1a): LCID211217P00043000					
12/08/2021	1.00	363.96	12/07/2021	320.02	0.00	43.94	Sell to Close
PUT ROKU 11/26/21	235	ROKU INC CUSIP: Symbol(Box 1a): ROKU211126P00235000					
11/22/2021	1.00	804.96	11/19/2021	581.02	0.00	223.94	Sell to Close

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APEX CLEARING

Proceeds from Broker and Barter Exchange Transactions

2021 Form 1099-B*

5IB33668

(continued)

01/31/2022

OMB No. 1545-0715

SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

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

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

Date Sold or Disposed (Box 1c)	Quantity	Proceeds (Box 1d)	Date Acquired (Box 1b)	Cost or Other Basis (Box 1e)	Accrued Market Discount (M)(Box 1f) & Wash Sale Loss Disallowed (D)(Box 1g)	Gain or Loss(-)	Additional Notes
CALL RBLX 09/10/21	85	ROBLOX CORPORATION CUSIP: Symbol(Box 1a): RBLX210910C00085000					
08/31/2021	1.00	136.93	08/31/2021	160.05	0.00	-23.12	Sell to Close
CALL AAPL 11/05/21	150	APPLE INC CUSIP: Symbol(Box 1a): AAPL211105C00150000					
10/22/2021	1.00	274.94	10/21/2021	276.04	0.00	-1.10	Sell to Close
CALL DDOG 09/10/21	142	DATADOG INC CL A CUSIP: Symbol(Box 1a): DDOG210910C00142000					
09/09/2021	1.00	134.93	09/09/2021	148.05	0.00	-13.12	Sell to Close
CALL MRNA 09/10/21	450	MODERNA INC CUSIP: Symbol(Box 1a): MRNA210910C00450000					
09/07/2021	1.00	554.93	09/07/2021	405.05	0.00	149.88	Sell to Close
CALL AMC 01/07/22	29	AMC ENTERTAINMENT HOLDINGS INC CUSIP: Symbol(Box 1a): AMC220107C00029000					
12/27/2021	1.00	224.96	12/27/2021	236.02	0.00	-11.06	Sell to Close
PUT MRNA 09/10/21	450	MODERNA INC CUSIP: Symbol(Box 1a): MRNA210910P00450000					
09/10/2021	2.00	341.88	Various	510.10	0.00	-168.22	Sell to Close
CALL NFLX 09/17/21	600	NETFLIX INC CUSIP: Symbol(Box 1a): NFLX210917C00600000					
08/31/2021	1.00	201.93	08/31/2021	217.05	0.00	-15.12	Sell to Close
CALL CLF 08/27/21	24	CLEVELAND CLIFFS INC CUSIP: Symbol(Box 1a): CLF210827C00024000					
08/24/2021	2.00	218.87	08/24/2021	218.11	0.00	0.76	Sell to Close
CALL SNAP 08/27/21	76	SNAP INC CUSIP: Symbol(Box 1a): SNAP210827C00076000					
08/23/2021	1.00	136.93	08/23/2021	143.05	0.00	-6.12	Sell to Close
08/23/2021	2.00	309.87	08/23/2021	286.11	0.00	23.76	Sell to Close
Security Totals:		446.80		429.16		17.64	
Totals:		52,163.95		55,594.71		-1,030.92	

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APEX CLEARING

Miscellaneous Information - Details of Form 1099-MISC

2021

5IB33668

01/31/2022

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

Description | CUSIP | Symbol

Date	Royalties(Box 2)	Other Income(Box 3)	Substitute Payments in Lieu of Dividends or Interest (Box 8)
COTY INC	COM CL A CUSIP: 222070203 Symbol: COTY		
08/17/2021	0.00	7.90	0.00
GENWORTH FINANCIAL INC	COM CL A CUSIP: 37247D106 Symbol: GNW		
08/11/2021	0.00	3.74	0.00
Totals:	0.00	11.64	0.00

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.