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

IN ACCOUNT WITH

WEBULL FINANCIAL LLC 917-725-2448

JAYAKKUMAR THIRUNAVUKKARASU 4400 COLLEGE PARK DRIVE CONROE, TX 77384-4566

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	Account 5MQ16480	Form 1099 Composite	2021	
	JAYAKKUMAR THIRUNAVUKKARASU	Statement Date: 01/31/2022		
	4400 COLLEGE PARK DRIVE CONROE, TX 77384-4566			
IN ACCOUNT WITH				
WEBULL FINANCIAL LLC (917) 725-2448				
FATCA filing requirement []	RECIPIENT'S ID No: XXX-XX-1278			

Tax Reporting Statement

DIVIDENDS AND DISTRIBUTIONS	2021 Form 1099-DIV*	OMB No. 1545-0110
1a- Total Ordinary Dividends (includes ar	nount shown on 1b, 2e)	19.50
1b- Qualified Dividends		19.50
2a- Total Capital Gain Distributions (inclu	udes 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 Intere	st Dividends	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 Bo	onds & Treasury Obligations	0.00
4- Federal Income Tax Withh	neld	0.00
5- Investment Expenses		0.00
6- Foreign Tax Paid		0.00
7- Foreign Country or U.S. Po	ssession	
8- Tax-Exempt Interest (inclue	des box 9)	0.00
9- Specified Private Activity B	ond Interest	0.00
10- Market Discount		0.00
11- Bond Premium		0.00
12- Bond Premium on Treasur	ry Obligations	0.00
13- Bond Premium on Tax-Ex	empt Bonds	0.00
14- Tax-Exempt and Tax Cree	dit 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					
As applicable, proceeds from other sale transactions are summarized b provided in subsequent sections of this document. More details on futur options transactions are also provided in other sections of this	res and section 1256					

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

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APEX CLEARING	Tax Summary	2021
5MQ16480		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	Total Wash Sale Loss Disallowed	Total Net Gain or Loss(-)
Short-term transactions for covered tax lots	1,089,742.74	1,231,063.14	0.00	120,690.10	-20,630.30
Short-term transactions for noncovered tax lots	0.00	0.00	0.00	0.00	0.00
Total Short-term	1,089,742.74	1,231,063.14	0.00	120,690.10	-20,630.30
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 bonc detail, use the OID section of this document.	l-by-bond

FEDERAL TAX WITHHELD

0.00
0.00
0.00
0.00
0.00

Proceeds from Broker and Barter Exchange Transactions	2021 Form 1099-B*
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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 correspondinggain 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		Date		Accrued Market Discount (M)(Box 1f) &		
Disposed		Proceeds Acquired	Cost or Other	Wash Sale Loss		
(Box 1c)	Quantity	(Box 1d) (Box 1b)	Basis (Box 1e)	Disallowed (D)(Box 1g)	Gain or Loss(-)	Additional Notes
PUT AMZN 03/26/2	21 3045 AMAZON	N.COM INC CUSIP: Symbol(Bo	x 1a): AMZN210326P0	03045000		
03/25/2021	1.00	1,549.90 03/25/2021	1,550.08	0.00	-0.18	Sell to Close
CALL SBUX 03/19/2	21 113 STARBU	CKS CORPORATION CUSIP: \$	Symbol(Box 1a): SBUX	(210319C00113000		
03/16/2021	1.00	77.90 03/16/2021	92.08	0.00	-14.18	Sell to Close
CALL AMZN 03/12/2	21 3300 AMAZOI	N.COM INC CUSIP: Symbol(Bo	ox 1a): AMZN210312C0	03300000		
02/19/2021	1.00	8,299.72 02/19/2021	8,300.08	0.00	-0.36	Sell to Close

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APEX CLEARING

5MQ16480				(continu	ed)		01/3	0MB No. 1545-0715
SHORT TERM	TRANSACT	IONS FOR	COVERED	ΤΔΧΙΟΤS				
Report on Form 8949, P			00121122					
•			as Ordinary in A	dditional Notes Column)				
Box 5: Box Not Checke				unless indicated as Net in A	Additional Notes Column)		Box 12: Basis	Reported to the IRS
	,	57	•		,	lumbe		the IRS but may be helpful to
complete your return.					,			
Description of propert	ty CUSIP Symbo	ol(Box 1a)						
Date Sold or Disposed	-	Proceeds	Date Acquired	Cost or Other	crued Market Discount (M)(Box 1f) & Wash Sale Loss		.	
(Box 1c) CALL AMZN 02/05/21	Quantity 3350 AMAZON	(Box 1d)	(Box 1b)	Basis (Box 1e) (x 1a): AMZN210205C0335	Disallowed (D)(Box 1g)		Gain or Loss(-)	Additional Notes
				π π μ π μ				
02/01/2021	1.00	8,299.72	01/28/2021	9,200.42	0.00		-900.70	Sell to Close
02/01/2021	1.00	7,499.74	01/26/2021	10,200.08	2700.34	D	0.00	Sell to Close
Security Totals:		15,799.46		19,400.50			-900.70	
CALL TWTR 05/21/21	65 TWITTER	INC CUSIP: S	Symbol(Box 1a):	TWTR210521C00065000				
05/03/2021	1.00	20.91	05/03/2021	23.08	0.00		-2.17	Sell to Close
05/03/2021	2.00	41.82	05/03/2021	46.15	0.00		-4.33	Sell to Close
Security Totals:		62.73		69.23			-6.50	
CALL PINS 01/15/21	80 PINTEREST	INC CLASS A	CUSIP: Symb	ol(Box 1a): PINS210115C0	00080000			
01/13/2021	1.00	44.90	01/13/2021	49.08	0.00		-4.18	Sell to Close
01/13/2021	1.00	57.90	01/13/2021	49.08	0.00		8.82	Sell to Close
Security Totals:		102.80		98.16			4.64	
CALL PRTS 02/19/21	15 CARPARTS	S.COM INC CUS	SIP: Symbol(B	ox 1a): PRTS210219C000	15000			
01/25/2021	1.00	164.90	01/25/2021	164.08	0.00		0.82	Sell to Close
CALL UVXY 01/08/21					: UVXY210108C00010500	0	5.62	
01/08/2021	5.00	59.58	01/08/2021	80.40	0.00		-20.82	Sell to Close
PUT FUTU 01/15/21	50 FUTU HOLD	DINGS LTD ADS	CUSIP: Sym	bol(Box 1a): FUTU210115	P00050000			
01/06/2021	1.00		01/06/2021	110.08	0.00		-3.18	Sell to Close
PUT AMZN 03/19/21	3085 AMAZON.	COM INC CUSI	P: Symbol(Bo:	x1a): AMZN210319P0308	5000			
03/17/2021	1.00	899.90	03/17/2021	3,235.08	2335.18	D	0.00	Sell to Close

Proceeds from Broker and Barter Exchange Transactions 2021 Form 1099-B*

5101Q16480				(cont	inuea)		01/3	31/2022	JWID INU. 1343-0715
SHORT TERM		IONS FOR	COVERED	TAX LOTS					
Report on Form 8949,	Part I with Box A ch	ecked.							
Box 2: Type of Gain o	r Loss - Short-Term	(unless indicated	as Ordinary in A	dditional Notes Column)				
Box 5: Box Not Check	ked (Covered Securi	ty)	Box 6: Gross (u	unless indicated as Net	in Additional Notes Column)		Box 12: Basis	Reported to the IRS	
The 1099-B data refer complete your return		umber is reporte	d to the IRS. The	e additional informatio	on not referenced by a Box N	lumb	er is not reported to	the IRS but may be help	oful to
Description of prope	rty CUSIP Symbo	ol(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 N	otes
PUT AMZN 03/19/21	1 3085 AMAZON	COM INC CUSI	P: Symbol(Box	(1a): AMZN210319P03	085000				
03/17/2021	1.00	949.90	03/17/2021	3,185.44	2235.54	D	0.00	Sell to Close	
03/18/2021	1.00	2,599.89	03/18/2021	4,635.62	0.00		-2,035.73	Sell to Close	
Security Totals:		5,399.59		14,491.40			-2,035.73		
CALL AMZN 03/12/2	1 3280 AMAZON	I.COM INC CUS	IP: Symbol(Bo	x 1a): AMZN210312C03	3280000				
02/22/2021	1.00	4,924.80	02/19/2021	8,300.08	3375.28	D	0.00	Sell to Close	
02/23/2021	1.00	4,199.81	02/22/2021	8,962.61	4762.8	D	0.00	Sell to Close	
02/23/2021	1.00	3,239.83	02/22/2021	7,852.36	4612.53	D	0.00	Sell to Close	
03/02/2021	1.00	1,199.90	02/23/2021	7,762.88	0.00		-6,562.98	Sell to Close	
Security Totals:		13,564.34		32,877.93			-6,562.98		
CALL GOOGL 11/05/	21 2900 ALPHAE	BET INC CLASS	A CUSIP: Syr	mbol(Box 1a): GOOGL2	11105C02900000				
10/26/2021	1.00	2.349.93	10/22/2021	1,950.04	0.00		399.89	Sell to Close	
CALL DG 04/01/21				P: Symbol(Box 1a): D					
03/23/2021	1.00	181.90	03/23/2021	155.08	0.00		26.82	Sell to Close	
CALL AMZN 04/30/2	1 3550 AMAZON	I.COM INC CUS	IP: Symbol(Bo	x 1a): AMZN210430C03	3550000				
04/27/2021	1.00	,	04/27/2021	4,000.07	0.00		99.82	Sell to Close	
CALL AMZN 04/16/2	1 3500 AMAZON	I.COM INC CUS	IP: Symbol(Bo	x 1a): AMZN210416C03	3500000				
04/09/2021	1.00	799.91	04/09/2021	700.07	0.00		99.84	Sell to Close	
RIOT BLOCKCHAIN II	NC COMMO	N STOCK CUSI	P: 767292105 S	ymbol(Box 1a): RIOT					
03/24/2021	1.00	54.23	03/24/2021	53.60	0.00		0.63	Sale	
03/24/2021	24.00	1,281.58	Various	1,284.00	0.1	D	-2.32	Sale	
Security Totals:		1,335.81		1,337.60			-1.69		

APEX CLEARING Proceeds from Broker and Barter Exchange Transactions

(continued)

01/31/2022

2021 Form 1099-B*

OMB No. 1545-0715

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(continued)

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OMB No. 1545-0715

2021 Form 1099-B*

01/31/2022

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) **Accrued Market Discount** Date Sold or Date (M)(Box 1f) & Disposed Proceeds Acquired Cost or Other Wash Sale Loss (Box 1c) Quantity (Box 1d) (Box 1b) Basis (Box 1e) Disallowed (D)(Box 1g) Gain or Loss(-) Additional Notes PUT AMZN 04/30/21 3500 AMAZON.COM INC | CUSIP: | Symbol(Box 1a): AMZN210430P03500000 04/30/2021 1.00 949.91 04/30/2021 1,300.23 350.32 D 0.00 Sell to Close 04/30/2021 1.00 1,399.91 04/30/2021 1,300.07 0.00 99.84 Sell to Close Sell to Close 04/30/2021 D 04/30/2021 1.00 999.91 1.050.39 50.48 0.00 04/30/2021 1.00 04/30/2021 900.71 0.00 99.20 Sell to Close 999.91 04/30/2021 1.00 949.91 04/30/2021 1,050.55 100.64 D 0.00 Sell to Close 04/30/2021 1.00 1,299.91 04/30/2021 1,300.07 0.16 D 0.00 Sell to Close Security Totals: 6.599.46 6.902.02 199.04 PALANTIR TECHNOLOGIES INC CL A | CUSIP: | Symbol(Box 1a): PLTR210122C00026000 CALL PLTR 01/22/21 26 01/07/2021 1.00 109.90 01/07/2021 107.08 0.00 2.82 Sell to Close CALL AMZN 04/30/21 3500 AMAZON.COM INC | CUSIP: | Symbol(Box 1a): AMZN210430C03500000 04/27/2021 1.00 5,299.89 04/27/2021 5,100.07 0.00 199.82 Sell to Close 04/27/2021 1.00 5,099.89 04/27/2021 5,000.07 0.00 99.82 Sell to Close 04/28/2021 1.00 5,460.89 04/28/2021 5,400.07 0.00 60.82 Sell to Close 04/29/2021 1.00 7.504.88 04/28/2021 5.500.07 0.00 2,004.81 Sell to Close Security Totals: 23.365.55 21.000.28 2,365.27 PUT AMZN 02/26/21 3295 AMAZON.COM INC | CUSIP: | Symbol(Box 1a): AMZN210226P03295000 02/17/2021 1.00 5,549.78 02/17/2021 5,000.08 0.00 549.70 Sell to Close CALL AMD 01/29/21 90 ADVANCED MICRO DEVICES INC | CUSIP: | Symbol (Box 1a): AMD210129C00090000 0.00 01/21/2021 1.00 390.90 01/20/2021 355.08 35.82 Sell to Close

APEX CLEARING		Proce	eds from	n Broker and B	arter Exchange Tr	ansactions ²⁰	21 Form 1099-B*	
5MQ16480				(conti	nued)	01,	/31/2022	OMB No. 1545-0715
SHORT TERM T Report on Form 8949, Par Box 2: Type of Gain or Lo Box 5: Box Not Checked The 1099-B data referen complete your return.	rt I with Box A ch oss - Short-Term (Covered Securit	ecked. (unless indicated as y) B	ordinary in A ox 6: Gross (Additional Notes Column) unless indicated as Net i	n Additional Notes Column) n not referenced by a Box N		is Reported to the o the IRS but may	
Description of property Date Sold or Disposed (Box 1c) Qu CALL NFLX 04/16/21 5	uantity	Proceeds (Box 1d)	Date Acquired (Box 1b) bol(Box 1a): N	Cost or Other Basis (Box 1e)	Accrued Market Discount (M)(Box 1f) & Wash Sale Loss Disallowed (D)(Box 1g)	Gain or Loss(-)	Add	itional Notes
04/09/2021 PUT AMZN 05/07/21 33	1.00 315 AMAZON.	219.91 04 COM INC CUSIP:		200.07 x 1a): AMZN210507P033	0.00	19.84	Sell to Close	
05/07/2021 CALL NUGT 01/22/21 01/22/2021	1.00 66 DIREXION 1.00	899.91 05 DLY GLD MNRS IN 55.90 0	NDX BUL CU	936.07 JSIP: Symbol(Box 1a): 55.08	0.00 NUGT210122C00066000 0.00		Sell to Close	
CALL NOW 01/29/21 5 01/07/2021 PUT AMZN 01/29/21 3	1.00	NOW INC CUSIP: 589.89 0 ⁻	Symbol(Box	(1a): NOW210129C0056 600.08 x 1a): AMZN210129P03	0.00	-10.19		
01/28/2021 CALL AMZN 05/07/21 3	1.00 305 AMAZON	367.90 0 .COM INC CUSIP:		290.08 px 1a): AMZN210507C03	0.00	77.82	Sell to Close	
05/06/2021 PUT AMZN 04/01/21 30	1.00 090 AMAZON.	1,999.90 05 COM INC CUSIP:		2,000.07 x 1a): AMZN210401P03(0.00	-0.17	Sell to Close	
03/31/2021 PUT AMZN 05/07/21 32	1.00 285 AMAZON.	1,011.90 00 COM INC CUSIP:		1,200.08 x 1a): AMZN210507P03	0.00	-188.18	Sell to Close	
05/04/2021	1.00	3,649.90 05	5/04/2021	3,500.07	0.00	149.83	Sell to Close	
05/04/2021	1.00	3,512.90 05	5/04/2021	3,800.24	0.00	-287.34	Sell to Close	
05/04/2021	1.00		5/04/2021	3,400.07	300.17		Sell to Close	
Security Totals: PUT AMD 04/30/21 8	5 ADVANCED	10,262.70 MICRO DEVICES	INC CUSIP:	10,700.38 Symbol(Box 1a): AMD	210430P00085000	-137.51		
04/28/2021	1.00	49.91 04	4/27/2021	240.07	0.00	-190.16	Sell to Close	

APEX CLEARING		Proc	eeds fron	n Broker and B	arter Exchange Tr	rans	actions 202	1 Form 1099-B*	
5MQ16480				(conti	nued)		01/3	31/2022	OMB No. 1545-0715
SHORT TERM			COVERED	TAX LOTS					
Report on Form 8949,			•••						
			as Ordinarv in A	dditional Notes Column)				
Box 5: Box Not Check		•			n Additional Notes Column)		Box 12: Basis	Reported to the II	RS
	renced by a Box N	27			n not referenced by a Box N	Numbe		•	
Description of prope	rty CUSIP Symb	ol(Box1a)							
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(-)	Addit	ional Notes
CALL AMZN 02/05/2	1 3355 AMAZON	N.COM INC CUSI	: Symbol(Bo	x 1a): AMZN210205C03	3355000				
01/26/2021 PUT TSLA 01/29/21	1.00 715 TESLA INC	10,599.67 C CUSIP: Symb		10,000.08 A210129P00715000	0.00		599.59	Sell to Close	
01/27/2021	1.00		01/27/2021	145.08	0.00		7.82	Sell to Close	
CALL TSLA 03/12/2	1 750 TESLA IN	IC CUSIP: Syml	ool(Box 1a): TSI	LA210312C00750000					
03/11/2021	1.00	179.90	03/11/2021	190.08	10.18	D	0.00	Sell to Close	
03/12/2021	1.00	9.90	03/11/2021	198.26	0.00		-188.36	Sell to Close	
Security Totals: CALL NVDA 01/22/2			umbal/Day 1a)	388.34 NVDA210122C0055000	20		-188.36		
JALL NVDA 01/22/2	I 550 INVIDIA C	URP CUSIP: 5		INVDA210122C0055000	JU				
01/21/2021	1.00		01/21/2021	210.08	0.00		39.82	Sell to Close	
CALL AI 04/16/21	110 C3 AI INC C	LASS A CUSIP:	Symbol(Box 1a	a): Al210416C00110000)				
03/15/2021	1.00	415.90	03/15/2021	418.08	0.00		-2.18	Sell to Close	
CALL CLOV 02/19/2					1a): CLOV210219C00015000	0	-2.10		
01/26/2021	1.00	237.90	01/26/2021	230.08	0.00		7.82	Sell to Close	
CALL DAL 04/09/21				bol(Box 1a): DAL210409					
03/30/2021	1.00		03/30/2021	66.08	0.00		4.82	Sell to Close	
CALL SNAP 03/19/2	1 55 SNAP INC	C CUSIP: Symbo	ol(Box 1a): SNA	P210319C00055000					
01/28/2021	1.00		01/27/2021	490.08	0.00		94.81	Sell to Close	
PUT SPY 01/27/21	384 STANDARI	D & POORS DEPO	SITORY CUS	IP: Symbol(Box 1a): S	SPY210127P00384000				
01/26/2021	1.00		01/26/2021	158.08	0.00		-10.18	Sell to Close	
CALL AMZN 03/12/2	1 3275 AMAZON	N.COM INC CUSII	P: Symbol(Bo	x 1a): AMZN210312C03	3275000				
02/19/2021	1.00	8,399.72	02/19/2021	8,300.08	0.00		99.64	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.

8 of 110

		ii (uiiless iiluicaleu	as Orunnary in P	Additional Notes Colum	iii)		
Box 5: Box Not Cheo			· · · · · ·		t in Additional Notes Column)		Reported to the IRS
The 1099-B data refe complete your retur		lumber is reported	d to the IRS. Th	e additional informat	ion not referenced by a Box Num	ber is not reported to	the IRS but may be helpful to
Description of prop Date Sold or Disposed	erty CUSIP Syml	ool(Box 1a) Proceeds	Date Acquired	Cost or Other	Accrued Market Discount (M)(Box 1f) & Wash Sale Loss		
(Box 1c)	Quantity	(Box 1d)	(Box 1b)	Basis (Box 1e)	Disallowed (D) (Box 1g)	Gain or Loss(-)	Additional Notes
CALL VALE 01/29/2	21 21 VALESA	CUSIP: Symbo	ol(Box 1a): VALE	210129C00021000			
01/13/2021	3.00	41.74	01/13/2021	51.24	0.00	-9.50	Sell to Close
01/13/2021	2.00	21.82	01/13/2021	34.16	0.00	-12.34	Sell to Close
Security Totals:		63.56		85.40		-21.84	
CALL AMZN 04/30/	21 3450 AMAZO	N.COM INC CUS	IP: Symbol(Bo	ox 1a): AMZN210430C	03450000		
04/26/2021	1.00	7.499.88	04/26/2021	5,500.07	0.00	1,999.81	Sell to Close
CALL AMZN 01/08/	21 3200 AMAZO	N.COM INC CUS	IP: Symbol(Bo	ox 1a): AMZN210108C	03200000		
01/06/2021	1.00	1,649.87	01/06/2021	1,517.08	0.00	132.79	Sell to Close
01/07/2021	1.00	1,804.87	01/07/2021	1,700.08	0.00	104.79	Sell to Close
Security Totals:		3,454.74		3,217.16		237.58	
PUT AMZN 04/30/2	21 3400 AMAZOI		P: Symbol(Bo	x 1a): AMZN210430PC	03400000		
04/29/2021	1.00	3,999.89	04/29/2021	3,900.07	0.00	99.82	Sell to Close
04/30/2021	1.00	0.00	04/29/2021	3,650.07	0.00	-3,650.07	Expiration
Security Totals:		3,999.89		7,550.14		-3,550.25	·
CALL CI 07/16/21	250 CIGNA CO	RPORATION CUS	SIP: Symbol(B	lox 1a): Cl210716C002	250000	· · ·	
01/07/2021	1.00	739.89	01/04/2021	580.08	0.00	159.81	Sell to Close
CALL AMZN 04/30/				ox 1a): AMZN210430C			
04/00/0001	4.00	(000 65	0.4/00/0001	- 000 0-	0.00	o : -	
04/26/2021 CALL DAL 02/26/2	1.00 1 45 DELTA AU		04/26/2021	5,000.07 bol(Box 1a): DAL2102	0.00	-0.18	Sell to Close
				DON TO, DALETOE			
02/18/2021	1.00		02/18/2021	75.08	0.00	6.82	Sell to Close
CALL WWR 02/19/	21 12.50 WESTW	ATER RESOURC	ES INC CUSIP	: Symbol(Box 1a): W	/WR210219C00012500		
01/27/2021	1.00	134 00	01/27/2021	180.08	0.00	-45 1 8	Sell to Close

(continued)

01/31/2022

2021 Form 1099-B*

OMB No. 1545-0715

PEX CLEARING		FIUC		(contin	arter Exchange Tr	a1150		1 Form 1099-B*	OMB No. 1545-0715
				(01/0		
SHORT TERN	I TRANSACT	IONS FOR	COVERED	D TAX LOTS					
•	, Part I with Box A cł								
		,	,	dditional Notes Column)					_
	ked (Covered Securi	<i>,</i>	· · · · ·		Additional Notes Column)			Reported to the IF	
complete your retur		umber is reported	to the IRS. In	e additional information	not referenced by a Box N	nadmn	is not reported to	the IRS but may b	e neiptul to
Description of prop	erty CUSIP Symb	ol(Boy 1a)							
				Å	Accrued Market Discount				
Date Sold or		Duccode	Date	Ocot or Other	(M)(Box 1f) &				
Disposed (Box 1c)	Quantity	Proceeds (Box 1d)	Acquired (Box 1b)	Cost or Other Basis (Box 1e)	Wash Sale Loss Disallowed (D)(Box 1g)		Gain or Loss(-)	Additi	onal Notes
PUT AMZN 04/09/2	21 3225 AMAZON	.COM INC CUSIP	: Symbol(Bo	x 1a): AMZN210409P032	25000				
04/07/2021	1.00	2,199.90	04/07/2021	2,000.07	0.00		199.83	Sell to Close	
CALL DLTR 02/19/2	21 110 DOLLAR	TREE INC CUSIP	: Symbol(Bo	x 1a): DLTR210219C001	10000				
01/21/2021	1.00	309.90	01/21/2021	287.08	0.00		22.82	Sell to Close	
PUT AMZN 04/09/2	21 3220 AMAZON	.COM INC CUSIP	: Symbol(Bo	x 1a): AMZN210409P032	20000				
04/06/2021	1.00	2,399.90	04/06/2021	2,300.07	0.00		99.83	Sell to Close	
04/06/2021	1.00	1,899.91	04/06/2021	2,200.07	300.16	D	0.00	Sell to Close	
04/06/2021	1.00	1,949.91	04/06/2021	2,000.23	50.32	D	0.00	Sell to Close	
04/07/2021	1.00	499.91	04/07/2021	2,810.55	2310.64	D	0.00	Sell to Close	
04/07/2021	1.00	539.91	04/07/2021	1,850.39	1310.48	D	0.00	Sell to Close	
04/08/2021	1.00	129.91	04/07/2021	4,453.87	4323.96	D	0.00	Sell to Close	
04/08/2021	1.00	106.91	04/07/2021	3,560.71	3453.8	D	0.00	Sell to Close	
04/09/2021	1.00	4.91	04/07/2021	4,894.03	0.00		-4,889.12	Sell to Close	
Security Totals:		7,531.27		24,069.92			-4,789.29		
CALL NVDA 01/15/2	21 550 NVIDIA C	ORP CUSIP: S	ymbol(Box 1a):	NVDA210115C00550000)				
01/06/2021	1.00		01/06/2021	250.08	0.00		-20.18	Sell to Close	
ALL TSLA 02/05/2	21 900 TESLA IN	C CUSIP: Symb	ool(Box 1a): TS	LA210205C00900000					
01/22/2021	1.00	2,659.85	01/22/2021	2,650.08	0.00		9.77	Sell to Close	
ALL LYFT 05/07/2	21 54 LYFT INC	CLASS A CUSIP:	Symbol(Box	1a): LYFT210507C00054	1000				

ox 5: Box Not Checke			-	dditional Notes Column			Devide D	Demonstration that ID2
ha 1000 B data rafara		• ·	•		in Additional Notes Column)	lumb		Reported to the IRS the IRS but may be helpful to
omplete your return.	Inceu by a box is					unib	er is not reported to	the Ins but may be helpful to
Description of property	y CUSIP Symb	ool(Box 1a)						
Date Sold or			Data		Accrued Market Discount			
Disposed		Proceeds	Date Acquired	Cost or Other	(M)(Box 1f) & Wash Sale Loss			
			(Box 1b)	Basis (Box 1e) IP: Symbol(Box 1a): S	Disallowed (D)(Box 1g)		Gain or Loss(-)	Additional Notes
01 5P1 01/22/21 3	83 STANDAR	D & POORS DEPO	JSITURY CUS		5P1210122P00383000			
01/21/2021	1.00	109.90	01/21/2021	93.08	0.00		16.82	Sell to Close
01/01/0001	1.00	50.00	01/01/0001	70.00	07.10	-	0.00	
01/21/2021	1.00	50.90	01/21/2021	78.08	27.18	D	0.00	Sell to Close
01/22/2021	1.00	46.90	01/22/2021	73.26	0.00		-26.36	Sell to Close
Security Totals:		207.70		244.42			-9.54	
PUT LYFT 05/07/21	54 LYFT INC	CLASS A CUSIP:	: Symbol(Box ⁻	1a): LYFT210507P0005	4000			
05/04/2021	1.00	199.91	05/04/2021	220.07	0.00		-20.16	Sell to Close
PUT TSLA 01/15/21	735 TESLA IN	C CUSIP: Sym	bol(Box 1a): TSL	A210115P00735000				
01/08/2021	1.00	509.89	01/08/2021	500.08	0.00		9.81	Sell to Close
01/00/2021	1.00	000.00	01/00/2021	000.00	0.00		0.01	
01/08/2021	1.00	399.90	01/08/2021	415.08	0.00		-15.18	Sell to Close
Security Totals:		909.79		915.16			-5.37	
PUT AMZN 04/01/21	3095 AMAZON	1.COM INC CUSI	P: Symbol(Bo	x 1a): AMZN210401P03	095000			
03/31/2021	1.00	1,299.90	03/31/2021	1,200.08	0.00		99.82	Sell to Close
							_	
03/31/2021	1.00	1,299.90	03/31/2021	1,200.08	0.00		99.82	Sell to Close
03/31/2021	1.00	1,449.90	03/31/2021	1,300.08	0.00		149.82	Sell to Close
Security Totals:		4,049.70		3.700.24			349.46	

APEX CLEARING Proceeds from Broker and Barter Exchange Transactions

5MQ16480

(continued)

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2021 Form 1099-B* 01/31/2022

OMB No. 1545-0715

5MQ16480				(continu	ied)		01/3	31/2022	OMB No. 1545-0715
SHORT TERM	I TRANSACT	IONS FOR	COVERE	D TAX LOTS					
Report on Form 8949	Part I with Box A ch	ecked.							
			as Ordinary in	Additional Notes Column)					
Box 5: Box Not Chec		·	2	(unless indicated as Net in A	Additional Notes Column)		Box 12: Basis	Reported to the IRS	
		imber is reporte	d to the IRS. T	he additional information r	not referenced by a Box N	lumb	er is not reported to	the IRS but may be h	elpful to
complete your return	n.								
Description of prope	erty CUSIP Symbo	ol(Box1a)							
Date Sold or Disposed (Box 1c) PUT PLTR 02/19/2 ⁻	Quantity 1 25 PALANTIR ⁻	Proceeds (Box 1d)	Date Acquired (Box 1b)	Cost or Other	ccrued Market Discount (M)(Box 1f) & Wash Sale Loss Disallowed (D)(Box 1g) TB210219P00025000		Gain or Loss(-)	Additiona	Il Notes
01/22/2021	1.00	145.90	01/22/2021	157.26	0.00		-11.36	Sell to Close	
01/22/2021	1.00	127.90	01/22/2021	140.08	12.18	D	0.00	Sell to Close	
Security Totals:		273.80		297.34			-11.36		
CALL PTON 04/30/2	21 110 PELOTON	INTERACTIVE	INC CL A CUS	SIP: Symbol(Box 1a): PTC	N210430C00110000				
04/22/2021	1.00	154.91	04/22/2021	168.07	0.00		-13.16	Sell to Close	
PUT TSLA 04/16/21	1 700 TESLA INC	CUSIP: Sym	bol(Box 1a): TS	SLA210416P00700000					
04/13/2021	1.00	274.91	04/13/2021	290.07	0.00		-15.16	Sell to Close	
CALL FSLY 02/19/2				(Box 1a): FSLY210219C001					
01/27/2021	1.00	799.89	01/26/2021	790.08	0.00		9.81	Sell to Close	
CALL AMZN 04/01/2				Box 1a): AMZN210401C0311					
03/26/2021	1.00	1,699.90	03/25/2021	2,000.08	300.18	D	0.00	Sell to Close	
03/26/2021	1.00	1,199.90	03/26/2021	1,850.26	650.36	D	0.00	Sell to Close	
03/26/2021	1.00	1,249.90	03/26/2021	2,150.44	900.54	D	0.00	Sell to Close	
03/29/2021	1.00	1,399.90	03/26/2021	2,000.62	0.00		-600.72	Sell to Close	
Security Totals:		5,549.60		8,001.40			-600.72		
CALL SBUX 03/19/2	21 111 STARBUC	KS CORPORATI	ON CUSIP:	Symbol(Box 1a): SBUX210	319C00111000				
03/16/2021	1.00		03/16/2021	93.08	0.00		71.82	Sell to Close	
CALL JMIA 05/07/21	I 31 JUMIA TECH	INOLOGIES AG	CUSIP: Sy	mbol(Box 1a): JMIA2105070	200031000				
05/03/2021	1.00	184.91	05/03/2021	130.07	0.00		54.84	Sell to Close	

Proceeds from Broker and Barter Exchange Transactions

APEX CLEARING

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2021 Form 1099-B*

APEX CLEARING		Proc	ceeds from	n Broker and B	arter Exchange Trans	sactions 202	1 Form 1099-B*	
5MQ16480				(cont	inued)	01/3	31/2022	OMB No. 1545-0715
CHORT TERM 1 Report on Form 8949, Pa Box 2: Type of Gain or L Box 5: Box Not Checked The 1099-B data referer complete your return.	rt I with Box A ch oss - Short-Term (Covered Securi	necked. (unless indicated ty)	as Ordinary in A Box 6: Gross (dditional Notes Column unless indicated as Net) in Additional Notes Column) i n not referenced by a Box Num l		Reported to the I the IRS but may	
Description of property	CUSIP Symbo	ol(Box 1a)						
Date Sold or Disposed (Box 1c) Q CALL BIDU 04/16/21 2		Proceeds (Box 1d)	Date Acquired (Box 1b)	Cost or Other Basis (Box 1e) U210416C00225000	Accrued Market Discount (M)(Box 1f) & Wash Sale Loss Disallowed (D)(Box 1g)	Gain or Loss(-)	Addit	ional Notes
			. ,					
04/12/2021 PUT TSLA 04/16/21 6	1.00 00 TESLA INC		04/09/2021 pol(Box 1a): TSL	290.07 A210416P00600000	0.00	-25.16	Sell to Close	
04/06/2021 PUT SBUX 03/19/21 1	1.00 11 STARBUC		04/06/2021 DN CUSIP: S	335.07 Symbol(Box 1a): SBUX2	0.00 10319P00111000	-5.16	Sell to Close	
03/16/2021	1.00	149.90	03/16/2021	160.08	0.00	-10.18	Sell to Close	
CALL BIDU 03/12/21 2	75 BAIDU INC	CUSIP: Symb	ool(Box 1a): BID	U210312C00275000				
03/11/2021 CALL EBON 03/19/21	1.00 12.50 EBANG II		03/11/2021 HLDNGS INC	239.08 CUSIP: Symbol(Box)	0.00 1a): EBON210319C00012500	-17.18	Sell to Close	
02/17/2021 CALL WKHS 02/12/21	1.00 25 WORKHO		02/17/2021 CUSIP: Syr	330.08 nbol(Box 1a): WKHS210	0.00	-5.18	Sell to Close	
01/25/2021 CALL ON 02/05/21 3	1.00 7 ON SEMICC		01/14/2021 P CUSIP: Sy	295.08 mbol(Box 1a): ON21020	0.00	-15.18	Sell to Close	
02/01/2021 CALL VXX 01/15/21 1	1.00 I7 IPATH SER		02/01/2021 HORT CUSIP:	96.08 Symbol(Box 1a): VX	0.00 X210115C00017000	-16.18	Sell to Close	
01/11/2021	1.00	73.90	01/11/2021	74.08	0.00	-0.18	Sell to Close	
01/11/2021	1.00	73.90	01/11/2021	74.08	0.00	-0.18	Sell to Close	
Security Totals: CALL FUBO 01/15/21	30 FUBOTV II		mbol(Box 1a): F	148.16 UBO210115C00030000	1	-0.36		
01/05/2021	1.00		01/05/2021	330.08	0.00	-10.18	Sell to Close	
CALL SPY 02/16/21 3				BIP: Symbol(Box 1a):			00110 01036	

APEX CLEARING		Pro	ceeds from	Broker and B	arter Exchange Tr	ransactions ²⁰²	21 Form 1099-B*
5MQ16480				(conti	nued)	01/	31/2022 OMB No. 1545-0715
SHORT TERM		IONS FOR	COVERED	TAX LOTS			
Report on Form 8949,							
Box 2: Type of Gain o	r Loss - Short-Term	(unless indicated	as Ordinary in Ad	ditional Notes Column)			
Box 5: Box Not Check	ked (Covered Security	y)	Box 6: Gross (u	nless indicated as Net i	n Additional Notes Column)	Box 12: Basi	s Reported to the IRS
The 1099-B data refer complete your return		mber is reported	d to the IRS. The	additional informatio	n not referenced by a Box N	Number is not reported to	the IRS but may be helpful to
Description of prope	rty CUSIP Symbo	ol(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 FSLY 05/21/21	I 75 FASTLY INC	C CLASS A CUS	SIP: Symbol(Bo	x 1a): FSLY210521C0	0075000		
04/13/2021	1.00	429.91	04/13/2021	385.07	0.00	44.84	Sell to Close
CALL DG 03/19/21			- 1 -1 -	: Symbol(Box 1a): DO			
02/02/2021	1.00	699.89	02/02/2021	680.08	0.00	19.81	Sell to Close
PUT MRNA 05/07/2				MRNA210507P001600		19.01	
05/07/2021	1.00	21.91	05/07/2021	421.23	0.00	-399.32	Sell to Close
05/07/2021	1.00	29.91	05/06/2021	350.07	320.16	D 0.00	Sell to Close
Security Totals:		51.82		771.30		-399.32	
CALL AMD 01/29/21	1 93.50 ADVANCE	D MICRO DEVIC	CES INC CUSIP:	Symbol(Box 1a): AM	ID210129C00093500		
01/22/2021	1.00	385.90	01/22/2021	400.08	0.00	-14.18	Sell to Close
CALL TSLA 01/08/21	1 850 TESLA INC			A210108C00850000			
01/00/0001	1.00	1 004 00	01/00/0001	700.00	0.00	004.00	
01/08/2021 CALL BILI 02/19/21	1.00 135 BILIBILI INC	1	01/08/2021 Symbol(Box 1a):	780.08 BILI210219C00135000	0.00	284.80	Sell to Close
02/02/2021 CALL AMD 01/29/21	1.00 1 93 ADVANCED		02/02/2021	700.08 Symbol(Box 1a): AMI	0.00	-0.19	Sell to Close
ALL AND 01/29/21	I 93 ADVANCEL		_3 INC CO3IF.	Symbol(Box Ta). Alvin	J210129C00093000		
01/25/2021	1.00	499.89	01/22/2021	400.08	0.00	99.81	Sell to Close
01/26/2021	1.00	400.80	01/25/2021	382.08	0.00	117.81	Sell to Close
Security Totals:	1.00	<u> </u>	01/25/2021	782.16	0.00	217.62	Seli to Close
PUT TSLA 01/08/21	750 TESLA INC		bol(Box 1a): TSLA	A210108P00750000		217.02	
			. ,				
01/07/2021	1.00		01/07/2021	125.08	7.18		Sell to Close
01/08/2021	2.00	59.82	Various	71.34	0.00	-11.52	Sell to Close
Security Totals:		177.72		196.42		-11.52	

* 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 dete	mines that it
has not been reported. Taxpayers are reminded that they are ultimately responsible for the accuracy of their tax returns.	

PEX CLEARING		Proceeds	from Broker and B	Barter Exchange Tran	sactions 202	1 Form 1099-B*
MQ16480			(cont	inued)	01/3	0MB No. 1545-0715
	BANSACT	IONS FOR COVE	RED TAX LOTS			
eport on Form 8949, Pa						
1 /			ry in Additional Notes Column)		
ox 5: Box Not Checked			aross (unless indicated as Net		Box 12: Basis	Reported to the IRS
he 1099-B data referen omplete your return.	ced by a Box Nu	mber is reported to the IF	S. The additional informatio	on not referenced by a Box Num	ber is not reported to	the IRS but may be helpful to
escription of property	CUSIP Symbo	ol(Box 1a)				
Date Sold or Disposed (Box 1c) Q	uantity	Da Proceeds Acquir (Box 1d) (Box 1	ed Cost or Other	Accrued Market Discount (M)(Box 1f) & Wash Sale Loss Disallowed (D)(Box 1g)	Gain or Loss(-)	Additional Notes
UT ABNB 01/08/21 1	37 AIRBNB IN	C CUSIP: Symbol(Box	la): ABNB210108P00137000			
01/04/2021	1.00	349.90 01/04/20	21 310.08	0.00	39.82	Sell to Close
UT NVAX 01/29/21 1			x 1a): NVAX210129P0018500		00.02	
01/00/0001	1.00	10.00 01/00/00	100.00	0.00	100.10	
01/29/2021 UT BABA 01/08/21 2	1.00 20 ALIBABA G	19.90 01/29/20 ROUP HOLDING LIMITED	21 180.08 CUSIP: Symbol(Box 1a):		-160.18	Sell to Close
0//. 0.//00/						
01/06/2021	1.00	239.90 01/04/20		0.00	44.82	Sell to Close
ALL DKNG 01/08/21	46 DRAFTKIN	IGS INCICLA CUSIP: S	Symbol(Box 1a): DKNG210108	3C00046000		
01/05/2021	1.00	133.90 01/05/20	21 100.08	0.00	33.82	Sell to Close
ALL GM 03/12/21 5	8 GENERAL M	IOTORS COMPANY CUS	IP: Symbol(Box 1a): GM210	0312C00058000		
03/11/2021	1.00	26.90 03/11/20	21 28.08	0.00	1 10	Sell to Close
			ol(Box 1a): CAT210205P0017		-1.10	
02/02/2021 UT SPY 02/05/21 35		29.90 01/29/20	21 240.08 CUSIP: Symbol(Box 1a): 5	0.00	-210.18	Sell to Close
01 3F1 02/03/21 33	14 STANDARD	& FOONS DEFOSITION I		SF 1210203F00334000		
01/25/2021	1.00	82.90 01/25/20	21 56.08	0.00	26.82	Sell to Close
01/05/0001	1.00		50.00	0.00	4.40	
01/25/2021 ecurity Totals:	1.00	51.90 01/25/20 134.80	<u>21 56.08</u> 112.16	0.00	-4.18 22.64	Sell to Close
ALL QCOM 02/05/21	170 QUALCO		I(Box 1a): QCOM210205C001	70000	22.04	
			(,			
02/01/2021	1.00	204.90 02/01/20		0.00	74.82	Sell to Close
UT WKHS 01/29/21	30 WORKHOF	RSE GROUP INC CUSIP:	Symbol (Box 1a): WKHS210	129P00030000		
01/26/2021	1.00	143.90 01/26/20	21 148.08	0.00	-4.18	Sell to Close
UT AMZN 04/30/21 3	515 AMAZON.	COM INC CUSIP: Syml	ool(Box 1a): AMZN210430P03	8515000		
04/30/2021	1.00	1,199.91 04/30/20	21 1,200.23	0.00	0.00	Sell to Close
04/30/2021	1.00	1,199.91 04/30/20	1,200.23	0.00	-0.32	

5MQ16480				(cont	inued)	01/	31/2022 OMB No. 1545-0	5-0715
		IONS FOR	COVERED	TAX LOTS				
_	, Part I with Box A ch							
•			l as Ordinary in A	dditional Notes Columr	0			
	ked (Covered Securi	•			in Additional Notes Column)	Box 12: Basi	s Reported to the IRS	
			•		,		the IRS but may be helpful to	
omplete your return		umber is reporte			on not referenced by a box i	Number is not reported to	the IRS but may be helpful to	
Description of prope	erty CUSIP Symbo	ol(Box 1a)						
Date Sold or Disposed		Proceeds	Date Acquired	Cost or Other	Accrued Market Discount (M)(Box 1f) & Wash Sale Loss			
(Box 1c)	Quantity	(Box 1d)	(Box 1b)	Basis (Box 1e)	Disallowed (D)(Box 1g)	Gain or Loss(-)	Additional Notes	
04/30/2021	1.00	1,499.91	04/30/2021	1,500.07	0.16	D 0.00	Sell to Close	
Security Totals:		2,699.82		2,700.30		-0.32		
CALL CHWY 01/15/	21 95 CHEWY II	NC CLASS A CL	JSIP: Symbol(Box 1a): CHWY210115	C00095000			
01/05/2021	1.00	349.90	- 11 -	350.08	0.00	-0.18	Sell to Close	
CALL CCL 03/19/21	I 31 CARNIVAL	CORP CUSIP:	Symbol (Box 1a): CCL210319C000310	000			
03/15/2021	1.00	50.91	03/15/2021	52.08	0.00	-1.17	Sell to Close	
03/15/2021	1.00	54.90	03/15/2021	52.08	0.00	2.82	Sell to Close	
Security Totals:		105.81		104.16		1.65		
PUT AMZN 05/07/2	1 3280 AMAZON	.COM INC CUSI	P: Symbol(Box	(1a): AMZN210507P03	3280000			
05/06/2021	1.00	1,499.91	05/06/2021	1,994.07	0.00	-494.16	Sell to Close	
05/06/2021	1.00	2,299.90	05/06/2021	2,115.07	0.00	184.83	Sell to Close	
Security Totals:		3,799.81		4,109.14		-309.33		
CALL EBAY 03/19/2	1 55 EBAY INC	CUSIP: Symb	ool(Box 1a): EBA`	/210319C00055000				
01/08/2021	1.00		01/05/2021	210.08	0.00	81.82	Sell to Close	
CALL JETS 01/22/2	1 22.50 ETF SERI	ES SOLUTIONS	US GLBL CUSI	P: Symbol(Box 1a):	ETS210122C00022500			
01/05/2021	1.00	66.90	01/05/2021	63.08	0.00	3.82	Sell to Close	
CALL TSLA 03/12/2	1 650 TESLA IN	C CUSIP: Svm	nbol(Box 1a): TSI	A210312C00650000				

Proceeds from Broker and Barter Exchange Transactions

APEX CLEARING

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2021 Form 1099-B*

03/04/2021	1.00	1,609.90 03/04/2021	1,720.08	0.00	-110.18	Sell to Close	
CALL COIN 05/07/21	302.50 COINBAS	SE GLOBAL INC CUSIP: Symbol	(Box 1a): COIN210507C00302500				
05/03/2021	1.00	799.91 04/30/2021	600.07	0.00	199.84	Sell to Close	
CALL RKT 01/08/21	19.50 ROCKET (COMPANIES INC CL A CUSIP: S	Symbol(Box 1a): RKT210108C0001	19500			
01/07/2021	2.00	63.82 01/07/2021	58.16	0.00	5.66	Sell to Close	

5MQ16480				(conti	nued)		01/3	81/2022	OMB No. 1545-0715
SHORT TERM	TRANSACT	IONS FOR	COVERED	D TAX LOTS					
Report on Form 8949, F	Part I with Box A ch	ecked.							
Box 2: Type of Gain or	Loss - Short-Term	(unless indicated	as Ordinary in A	Additional Notes Column)				
Box 5: Box Not Checke	ed (Covered Securit	y)	Box 6: Gross (unless indicated as Net i	n Additional Notes Column)		Box 12: Basis	Reported to the If	RS
	enced by a Box Nu	mber is reported	d to the IRS. Th	e additional informatio	n not referenced by a Box N	Number	is not reported to	the IRS but may I	be helpful to
complete your return.									
Description of proper	ty CUSIP Symbo	ol(Box 1a)							
Date Sold or			Date		Accrued Market Discount (M)(Box 1f) &				
Disposed		Proceeds	Acquired	Cost or Other	Wash Sale Loss				
(Box 1c) CALL TSLA 03/12/21	Quantity		(Box 1b)	Basis (Box 1e)	Disallowed (D)(Box 1g)		Gain or Loss(-)	Addit	onal Notes
CALL 13LA 03/12/21	730 TESLA INC		IDUI(BUX 18). 13	LA210312C00730000					
03/11/2021	1.00	599.90	03/11/2021	600.08	0.18	D	0.00	Sell to Close	
03/11/2021	1.00	483.90	03/11/2021	500.26	0.00		-16.36	Sell to Close	
Security Totals:		1,083.80		1,100.34			-16.36		
CALL PM 02/19/21	87.50 PHILIP MOI	RRIS INTERNAT	IONAL CUSIP:	: Symbol(Box 1a): PM	210219C00087500				
01/11/2021	1.00		01/11/2021	125.08	0.00		-5.18	Sell to Close	
CALL BA 02/19/21	200 BOEING CO	CUSIP: Syml	ool(Box 1a): BA2	210219C00200000					
01/27/2021	1.00	794.89	01/27/2021	800.08	0.00		-5.19	Sell to Close	
CALL NVDA 03/19/21	550 NVIDIA CO	DRP CUSIP: S	Symbol(Box 1a):	NVDA210319C0055000	00				
03/15/2021	1.00	205.90	03/15/2021	247.08	0.00		-41.18	Sell to Close	
PUT AMZN 04/30/21	3520 AMAZON.	COM INC CUSI	P: Symbol(Bo	x 1a): AMZN210430P03	520000				
04/30/2021	1.00		04/30/2021	2,700.07	0.00		1,134.83	Sell to Close	
PUT AMZN 02/26/21	3250 AMAZON.	COM INC CUSI	P: Symbol(Bo	x 1a): AMZN210226P03	250000				
02/04/2021	1.00		02/04/2021	7,100.08	0.00		399.66	Sell to Close	
CALL AMZN 02/12/21	3320 AMAZON	COM INC CUSI	P: Symbol(Bo	ox 1a): AMZN210212C03	3320000				
02/08/2021	1.00	3,499.83	02/08/2021	3,500.08	0.00		-0.25	Sell to Close	
CALL TSLA 03/12/21	740 TESLA INC	CUSIP: Sym	bol(Box 1a): TS	LA210312C00740000					
03/11/2021	1.00		03/11/2021	200.08	0.00		34.83	Sell to Close	
CALL BABA 02/19/21	310 ALIBABA G	BROUP HOLDING	G LIMITED CU	ISIP: Symbol(Box 1a):	BABA210219C00310000				
01/20/2021	1.00	154.90	01/20/2021	153.08	0.00		1.82	Sell to Close	
01/20/2021	1.00	194.90	01/20/2021	120.08	0.00		74.82	Sell to Close	
Security Totals:		349.80		273.16			76.64		

01/01/0000

2021 Form 1099-B*

OMB No. 1545 0715

APEX CLEARING		Proc	eeds fror	n Broker and Ba	ter Exchange Tr	ansactions 202	1 Form 1099-B*	
5MQ16480				(continu	ed)	01/3	31/2022	OMB No. 1545-0715
Box 5: Box Not Checke	Part I with Box A ch Loss - Short-Term ed (Covered Securi	necked. n (unless indicated a ity)	as Ordinary in A Box 6: Gross (D TAX LOTS Additional Notes Column) (unless indicated as Net in A re additional information r	,		Reported to the IF the IRS but may b	
Description of propert	y CUSIP Symbo	ol(Box 1a)						
	Quantity 55 JUMIA TEC	Proceeds (Box 1d) HNOLOGIES AG	Date Acquired (Box 1b) CUSIP: Syn	Cost or Other	crued Market Discount (M)(Box 1f) & Wash Sale Loss Disallowed (D)(Box 1g) 000055000	Gain or Loss(-)	Additi	onal Notes
01/25/2021	1.00	559.89	01/25/2021	540.08	0.00	19.81	Sell to Close	
CALL LYFT 01/15/21				1a): LYFT210115C000500		10.01		
01/07/2021	1.00		01/07/2021	120.08	0.00	-25.18	Sell to Close	
CALL NFLX 01/15/21	505 NETFLIX I	NC CUSIP: Sy	mbol(Box 1a): I	NFLX210115C00505000				
01/12/2021	1.00		01/12/2021	330.08	0.00	29.82	Sell to Close	
CALL AMZN 01/15/21	3275 AMAZON	I.COM INC CUSIF	P: Symbol(Bo	ox 1a): AMZN210115C0327	5000			
01/13/2021	1.00	699.89	01/11/2021	900.08	0.00	-200.19	Sell to Close	
CALL GOOG 04/30/21	2500 ALPHAB	BET INC CLASS C	CUSIP: Syr	mbol(Box 1a): GOOG21043	0C02500000			
04/26/2021	1.00	609.91	04/26/2021	650.07	0.00	-40.16	Sell to Close	
PUT AMZN 03/05/21	3200 AMAZON	.COM INC CUSIF	: Symbol(Bo	x 1a): AMZN210305P0320	0000			
02/04/2021	1.00	6,999.75	02/04/2021	6,600.08	0.00	399.67	Sell to Close	
CALL TSLA 01/08/21	1020 TESLA IN	IC CUSIP: Sym	bol(Box 1a): TS	SLA210108C01020000				
01/07/2021	3.00	11.74	01/07/2021	6.24	0.00	5.50	Sell to Close	
01/07/2021	5.00	19.58	Various	16.40	0.00	3.18	Sell to Close	
Security Totals:		31.32		22.64		8.68		
CALL ZM 01/29/21 4	450 ZOOM VIDE	EO COMMUNICAT	IONS INC CL	ISIP: Symbol(Box 1a): ZN	1210129C00450000			
01/14/2021	1.00	453.89	01/14/2021	410.08	0.00	43.81	Sell to Close	
01/14/2021	1.00	599.89	01/14/2021	450.08	0.00	149.81	Sell to Close	
ecurity Totals:		1,053.78		860.16		193.62		
CALL ZM 01/29/21 4	475 ZOOM VIDE	EO COMMUNICAT	IONS INC CL	ISIP: Symbol(Box 1a): ZN	1210129C00475000			
01/14/2021	1.00	313.90	01/14/2021	350.08	36.18	D 0.00	Sell to Close	

APEX CLEARING		Proc	eeds fron	n Broker and Bar	ter Exchange Tran	sactions 202	1 Form 1099-B*	
MQ16480				(continue	ed)	01/3	31/2022	OMB No. 1545-0715
Report on Form 8949 Box 2: Type of Gain Box 5: Box Not Chec	cked (Covered Securit erenced by a Box Nu	necked. (unless indicated a ty)	as Ordinary in A Box 6: Gross (additional Notes Column) unless indicated as Net in A	dditional Notes Column) ot referenced by a Box Num		Reported to the IRS the IRS but may be f	nelpful to
Description of prop	erty CUSIP Symbo	ol(Box 1a)						
Date Sold or Disposed (Box 1c) CALL ZM 01/29/21	Quantity 1 475 ZOOM VIDE	Proceeds (Box 1d) EO COMMUNICAT	Date Acquired (Box 1b) TONS INC CU	Cost or Other	crued Market Discount (M)(Box 1f) & Wash Sale Loss Disallowed (D)(Box 1g) 210129C00475000	Gain or Loss(-)	Addition	al Notes
01/19/2021	1.00	479.89	01/15/2021	466.26	0.00	13.63	Sell to Close	
Security Totals:		793.79		816.34		13.63		
CALL AAL 02/26/2	1 18.50 AMERICAN	N AIRLINES GROU	JP INC CUSIP	2: Symbol(Box 1a): AAL21	0226C00018500			
02/19/2021	1.00	59.90	02/17/2021	49.08	0.00	10.82	Sell to Close	
02/19/2021	1.00	59.90	02/17/2021	49.08	0.00	10.82	Sell to Close	
Security Totals:		119.80		98.16		21.64		
CALL AMD 01/22/2	21 89.50 ADVANCE	ED MICRO DEVIC	ES INC CUSIF	P: Symbol(Box 1a): AMD2	10122C00089500			
01/21/2021	1.00	131.90	01/21/2021	128.08	0.00	3.82	Sell to Close	
CALL GOOGL 11/05	5/21 2850 ALPHAE	BET INC CLASS A	CUSIP: Sy	mbol(Box 1a): GOOGL2111	05C02850000			
10/27/2021	1.00	2,499.93	10/26/2021	3.500.04	0.00	-1,000.11	Sell to Close	
CALL BABA 01/08/2				SIP: Symbol(Box 1a): BA		.,		
01/07/2021	1.00	159.90	01/07/2021	134.08	0.00	25.82	Sell to Close	
CALL TSLA 02/19/2				LA210219C00880000	0.00			
02/16/2021	1.00	107.00	02/16/2021	250.08	0.00	-52.18	Sell to Close	
PUT AMZN 04/30/2			- 1 -1 -	x 1a): AMZN210430P03510		-52.10		
04/30/2021 PUT AMZN 03/26/2	1.00 1.2085 AMAZON		04/30/2021	1,600.07 x 1a): AMZN210326P03085	0.00	99.84	Sell to Close	
- UT AIVIZIN U3/20/2	21 JUOJ AIVIAZUN.			x 1aj. AIVIZINZ 10320203080				
03/25/2021	1.00	2,299.89	<u> </u>	2,000.08	0.00	299.81	Sell to Close	
CALL AMZN 11/19/	21 3500 AMAZON	I.COM INC CUSI	P: Symbol(Bo	ox 1a): AMZN211119C03500	0000			
10/25/2021	1.00	4,199.92	10/22/2021	4,200.04	0.00	-0 12	Sell to Close	
	1.00	7,133.32		7,200.04	0.00	-0.12		

5MQ16480				(cont	inued)	01/3	31/2022 OMB No. 1545-0715
SHORT TERM		TIONS FOR	COVEREI	D TAX LOTS			
Report on Form 8949			•••				
•			as Ordinary in /	Additional Notes Column)		
Box 5: Box Not Chec					, in Additional Notes Column)	Box 12: Basis	Reported to the IRS
The 1099-B data refe	erenced by a Box N	umber is reporte	d to the IRS. Th	e additional informatio	on not referenced by a Box N	Number is not reported to	the IRS but may be helpful to
complete your return	n.						
Description of prope	erty CUSIP Symb	ol(Box1a)					
Date Sold or			Date		Accrued Market Discount (M)(Box 1f) &		
Disposed		Proceeds	Acquired	Cost or Other	Wash Sale Loss		
	Quantity			Basis (Box 1e)	Disallowed (D)(Box 1g)): PLTR210219C00032500	Gain or Loss(-)	Additional Notes
GALL FLIN 02/19/2	1 32.30 FALANTI				J. FLINZ 102 19000032000		
02/17/2021	1.00		02/17/2021	60.08	0.00	-17.18	Sell to Close
CALL AMZN 04/16/2	21 3400 AMAZON	N.COM INC CUS	IP: Symbol(B	ox 1a): AMZN210416C0	3400000		
04/09/2021	1.00	1,299.91	04/09/2021	1,200.07	0.00	99.84	Sell to Close
04/09/2021	1.00	2,549.90	04/09/2021	2,500.07	0.00	49.83	Sell to Close
04/09/2021	1.00	1,279.91	04/09/2021	1,180.07	0.00	99.84	Sell to Close
04/12/2021	1.00	2,799.90	04/09/2021	2,650.07	0.00	149.83	Sell to Close
04/12/2021	1.00	2,599.90	04/12/2021	2,400.07	0.00	199.83	Sell to Close
04/14/2021	1.00	849.91	04/14/2021	1,230.23	380.32	D 0.00	Sell to Close
04/14/2021	1.00	799.91	04/14/2021	1,150.07	350.16	D 0.00	Sell to Close
04/15/2021	1.00	949.91	04/15/2021	1,000.07	0.00	-50.16	Sell to Close
04/15/2021	2.00	2,199.81	Various	1,630.46	0.00	569.35	Sell to Close
Security Totals:		15,329.06		14,941.18		1,118.36	
CALL BA 01/15/21	215 BOEING CO	O CUSIP: Sym	bol(Box 1a): BA	210115C00215000			
01/14/2021	1.00	157.90	01/12/2021	104.08	0.00	53.82	Sell to Close
CALL FUBO 02/19/2				UBO210219C00040000			
01/05/2021	1.00	388.90	01/04/2021	275.08	0.00	113.82	Sell to Close
CALL TSLA 03/12/2				SLA210312C00700000			
03/10/2021	1.00	1 149 90	03/10/2021	800.08	0.00	349.82	Sell to Close
00/10/2021	1.00	1,149.90	00/10/2021	000.00	0.00		

Proceeds from Broker and Barter Exchange Transactions

APEX CLEARING

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2021 Form 1099-B*

APEX CLEARING		Proceeds fr	om Broker and B	arter Exchange Tran	sactions 202	1 Form 1099-B*	
5MQ16480			(cont	inued)	01/3	31/2022	OMB No. 1545-0715
Report on Form 8949, Pa Rox 2: Type of Gain or I Rox 5: Box Not Checker	art I with Box A ch Loss - Short-Term d (Covered Securi	ty) Box 6: Gro	in Additional Notes Column ss (unless indicated as Net) in Additional Notes Column) o n not referenced by a Box Num		Reported to the IF	
Description of property	y CUSIP Symbo	ol(Box 1a)					
	Quantity 144 MODERN	Date Proceeds Acquired (Box 1d) (Box 1b) IA INC CUSIP: Symbol(Bo	Cost or Other Basis (Box 1e)	Accrued Market Discount (M)(Box 1f) & Wash Sale Loss Disallowed (D)(Box 1g)	Gain or Loss(-)	Addit	onal Notes
03/15/2021	1.00	319.90 03/15/2021	,	0.00	-31.18	Sell to Close	
CALL AMZN 02/05/21		I.COM INC CUSIP: Symbo			-31.10	Sell to Close	
02/02/2021	1.00	6,519.76 02/02/2021	6,500.08	0.00	19.68	Sell to Close	
02/04/2021	1.00	209.90 02/02/2021	6,600.08	0.00	-6,390.18	Sell to Close	
ecurity Totals:		6,729.66	13,100.16		-6,370.50		
ALL SLV 07/16/21	30 ISHARES S	ILVER SHARES CUSIP: S	Symbol(Box 1a): SLV210716	6C00030000	·		
02/01/2021	1.00	354.90 01/29/2021	252.08	0.00	102.82	Sell to Close	
ALL KO 04/16/21	52.50 COCA COL	_A CO CUSIP: Symbol(Bo>	<1a): KO210416C00052500)			
03/08/2021	1.00	107.90 03/08/2021		0.00	-4.18	Sell to Close	
CALL PLTR 01/29/21	35 PALANTIR	TECHNOLOGIES INC CL A	CUSIP: Symbol(Box 1a)	: PLTR210129C00035000			
01/25/2021	1.00	349.90 01/25/2021	232.08	0.00	117.82	Sell to Close	
PUT AMZN 03/19/21	3135 AMAZON	.COM INC CUSIP: Symbol	(Box 1a): AMZN210319P03	3135000			
03/17/2021	1.00	2,649.89 03/17/2021	2,500.08	0.00	149.81	Sell to Close	
CALL VZ 03/19/21 6	50 VERIZON CO	OMMUNICATIONS CUSIP:	Symbol(Box 1a): VZ21031	9C00060000			
02/17/2021	1.00	27.90 02/17/2021	38.08	0.00	-10.18	Sell to Close	
02/17/2021	1.00	28.90 02/17/2021	38.08	0.00	-9.18	Sell to Close	
ecurity Totals:		56.80	76.16		-19.36		
ALL AMD 01/29/21	96 ADVANCE	D MICRO DEVICES INC CU	SIP: Symbol(Box 1a): AM	D210129C00096000			
01/20/2021	1.00	179.90 01/20/2021		0.00	-10.18	Sell to Close	
ALL BABA 02/05/21	267.50 ALIBABA	GROUP HOLDING LIMITED	CUSIP: Symbol(Box 1a): BABA210205C00267500			

APEX CLEARING		Proc	eeds from	n Broker and I	Barter Exchange Tr	ans	actions ²⁰²	1 Form 1099-B*	
5MQ16480				(con	tinued)		01/3	31/2022	OMB No. 1545-0715
SHORT TERM		NS FOR (COVERED	TAX LOTS					
	, Part I with Box A checke								
•	or Loss - Short-Term (unl		s Ordinary in Ad	dditional Notes Colum	n)				
Box 5: Box Not Chec	ked (Covered Security)	I	Box 6: Gross (u	unless indicated as Net	t in Additional Notes Column)		Box 12: Basis	Reported to the IRS	8
		er is reported	to the IRS. The	e additional informati	on not referenced by a Box N	aumbe	er is not reported to	the IRS but may be	neiptul to
complete your retur		-	to the IRS. The	additional informati	on not referenced by a Box F		er is not reported to	the IRS but may be	
complete your retur	n.	-	Date Acquired (Box 1b)	Cost or Other Basis (Box 1e)	Accrued Market Discount (M)(Box 1f) & Wash Sale Loss Disallowed (D)(Box 1g)	NUMDE	Gain or Loss(-)		nal Notes
complete your retur Description of prope Date Sold or Disposed (Box 1c)	n. erty CUSIP Symbol(Bo Quantity	Proceeds (Box 1d)	Date Acquired (Box 1b)	Cost or Other Basis (Box 1e)	Accrued Market Discount (M)(Box 1f) & Wash Sale Loss				
complete your retur Description of prope Date Sold or Disposed (Box 1c)	n. erty CUSIP Symbol(Bo Quantity	Proceeds (Box 1d) UP HOLDING	Date Acquired (Box 1b)	Cost or Other Basis (Box 1e)	Accrued Market Discount (M)(Box 1f) & Wash Sale Loss Disallowed (D)(Box 1g)				

534.46

620.08

860.08

1,100.04

305.08

315.08

620.16

55.08

145.08

830.04

1.958.81

0.00

0.00

0.00

0.00

0.00

0.00

0.00

0.00

0.00

-28.57 Sell to Close

-7.18 Sell to Close

-25.18 Sell to Close

-80.10 Sell to Close

-28.57

4.81

-10.19

449.90

14.82

4.82

19.64

02/01/2021

CALL JMIA 02/05/21 60

Security Totals:

01/25/2021

01/22/2021

10/28/2021

01/27/2021

01/27/2021

Security Totals:

01/25/2021

01/08/2021

10/28/2021

CALL COTY 03/19/21

PUT GME 03/05/21 20

1.00

1.00

1.00

1.00

1.00

1.00

1.00

1.00

1.00

9

505.89 02/01/2021

624.89 01/25/2021

849.89 01/22/2021

1,549.94 10/28/2021

319.90 01/27/2021

319.90 01/27/2021

COTY INC | CUSIP: | Symbol(Box 1a): COTY210319C00009000

47.90 01/25/2021

119.90 11/18/2020

749.94 10/27/2021

GAMESTOP CORP | CUSIP: | Symbol(Box 1a): GME210305P00020000

JUMIA TECHNOLOGIES AG | CUSIP: | Symbol(Box 1a): JMIA210205C00060000

1.526.67

PUT AMZN 10/29/21 3300 AMAZON.COM INC | CUSIP: | Symbol(Box 1a): AMZN211029P03300000

639.80

PUT TRVN 01/21/22 2.50 TREVENA INC | CUSIP: | Symbol(Box 1a): TRVN220121P00002500

PUT AMZN 10/29/21 3200 AMAZON.COM INC | CUSIP: | Symbol(Box 1a): AMZN211029P03200000

PUT NFLX 01/29/21 565 NETFLIX INC | CUSIP: | Symbol(Box 1a): NFLX210129P00565000

APEX CLEARING		Proc	ceeds fror		rter Exchange Tr	ans		1 Form 1099-B*	
MQ16480				(continu	Jed)		01/3	1/2022	OMB No. 1545-0715
eport on Form 8949, I ox 2: Type of Gain or	Part I with Box A ch	ecked.		D TAX LOTS					
ox 5: Box Not Check	ed (Covered Securit	y)	Box 6: Gross	unless indicated as Net in A	Additional Notes Column)		Box 12: Basis	Reported to the If	RS
he 1099-B data refer omplete your return		imber is reported	to the IRS. Th	e additional information	not referenced by a Box N	lumb	er is not reported to	the IRS but may I	e helpful to
escription of proper	ty CUSIP Symbo	ol(Box1a)							
Date Sold or Disposed (Box 1c)	Quantity	Proceeds (Box 1d)	Date Acquired (Box 1b)	A Cost or Other Basis (Box 1e)	ccrued Market Discount (M)(Box 1f) & Wash Sale Loss Disallowed (D)(Box 1g)		Gain or Loss(-)	Addit	onal Notes
JT AMZN 04/30/21	3470 AMAZON.	COM INC CUSI	P: Symbol(Bo	x 1a): AMZN210430P0347	0000				
04/30/2021	1.00		04/30/2021	700.07	0.00	-	-400.16	Sell to Close	
ALL LULU 04/09/21	315 LULULEMO	JN ATHLETICA I	NC CUSIP:	Symbol(Box 1a): LULU210	409C00315000				
04/06/2021	1.00	69.92	04/01/2021	435.24	0.00		-365.32	Sell to Close	
04/06/2021	1.00	74.91	04/05/2021	182.23	0.00		-107.32	Sell to Close	
04/06/2021	2.00	79.82	Various	502.15	422.33	D	0.00	Sell to Close	
ecurity Totals:		224.65		1,119.62			-472.64		
ALL AAPL 04/30/21	135 APPLE INC	C CUSIP: Sym	bol(Box 1a): AA	PL210430C00135000					
04/27/2021	1.00	259.91	04/26/2021	272.07	12.16	D	0.00	Sell to Close	
04/28/2021	1.00	194.91	04/28/2021	219.39	24.48	D	0.00	Sell to Close	
04/28/2021	1.00	208.91	04/28/2021	245.23	36.32	D	0.00	Sell to Close	
04/29/2021	1.00	231.91	04/28/2021	224.55	0.00		7.36	Sell to Close	
ecurity Totals:		895.64		961.24			7.36		
ALL ZM 02/26/21	500 ZOOM VIDE	O COMMUNICAT	FIONS INC CL	ISIP: Symbol(Box 1a): ZI	M210226C00500000				
01/21/2021	1.00		01/20/2021	450.08	0.00		19.81	Sell to Close	
ALL AOS 07/16/21	55 A O SMITH	CORPORATION	CUSIP: Syn	nbol(Box 1a): AOS2107160	200055000				
03/08/2021	1.00		03/08/2021	1,048.08	0.00		1.82	Sell to Close	
ALL SPOT 01/08/21	327.50 SPOTIFY	TECHNOLOGY	SA CUSIP:	Symbol(Box 1a): SPOT21	0108C00327500				
01/07/2021	1.00		01/07/2021	297.08	0.00	-	22.82	Sell to Close	
ALL GE 01/29/21	11 GENERAL E	LECTRIC CO C	USIP: Symbo	l(Box 1a): GE210129C000	11000				

APEX CLEARING		Proceeds	from Broker and	Barter Exchange Tra	nsactions 202	1 Form 1099-B*
5MQ16480			(cor	ntinued)	01/3	0MB No. 1545-0715
		TIONS FOR COVE	RED TAX LOTS			
Report on Form 8949						
		n (unless indicated as Ordina		,		
Box 5: Box Not Chec	,			t in Additional Notes Column)		Reported to the IRS
The 1099-B data refe complete your retur		lumber is reported to the IR	S. The additional informat	ion not referenced by a Box Nu	mber is not reported to	the IRS but may be helpful to
Description of prop	erty CUSIP Symb	ool(Box1a)				
Date Sold or Disposed (Box 1c)	Quantity	Da Proceeds Acquire (Box 1d) (Box 1	ed Cost or Other b) Basis (Box 1e)	Accrued Market Discount (M)(Box 1f) & Wash Sale Loss Disallowed (D)(Box 1g)	Gain or Loss(-)	Additional Notes
CALL AMZN 02/12/	21 3350 AMAZON	N.COM INC CUSIP: Syml	ool(Box 1a): AMZN210212C	03350000		
02/09/2021	1.00	2,541.85 02/08/202	3,210.08	0.00	-668.23	Sell to Close
PUT QQQ 04/09/2		QQQ TRUST SERIES 1 CL	,		-000.20	
03/30/2021	1.00	580.90 03/29/202		0.00	10.82	Sell to Close
CALL TSLA 01/08/2	21 940 TESLA IN	IC CUSIP: Symbol(Box 1a	a): TSLA210108C00940000			
01/08/2021	1.00	69.90 01/08/202	21 72.08	0.00	-2.18	Sell to Close
01/08/2021	1.00	69.90 01/08/202	21 72.08	0.00	-2.18	Sell to Close
Security Totals:		139.80	144.16		-4.36	
CALL AMZN 03/12/	21 3150 AMAZON	N.COM INC CUSIP: Syml	ool(Box 1a): AMZN210312C	03150000		
03/11/2021	1.00	799.90 03/11/202	21 700.08	0.00	99.82	Sell to Close
03/11/2021	1.00	614.90 03/11/202	600.08	0.00	14.82	Sell to Close
Security Totals:		1,414.80	1,300.16		114.64	
MARATHON DIGITA	L HLDGS INC CO	OMMON STOCK CUSIP: 56	,	MARA		
03/24/2021	1.00	40.13 03/24/202	21 39.70	0.00	0.43	Sale
03/24/2021	49.00	1,975.16 03/24/202	1,945.30	0.00	29.86	Sale
Security Totals:		2,015.29	1,985.00		30.29	
	21 65 SNAP INC	C CUSIP: Symbol (Box 1a)	1			
04/15/2021	1.00	22.91 04/14/202		0.00	-137.16	Sell to Close
CALL CMG 04/16/2	21 1600 CHIPOTL	LE MEXICAN GRILL INC C	USIP: Symbol(Box 1a): Cl	MG210416C01600000		
04/13/2021	1.00	499.91 04/12/202		0.00	159.84	Sell to Close
CALL TTD 02/05/2	1 850 TRADE DI	ESK INC CLASS A CUSIP:	Symbol(Box 1a): TTD210	205C00850000		
01/28/2021	1.00	1,119.88 01/28/202	21 1,100.08	0.00	19.80	Sell to Close

5MQ16480				(conti	nued)	01/3	0MB No. 1545-0715
	M TRANSACT		COVERE	210 Ι ΧΑΤ Π			
	9, Part I with Box A ch		aa Ordinary in	Additional Natao Column			
			2	Additional Notes Column)		Bey 10. Decis	Deported to the IDC
	cked (Covered Securit	.,		•	n Additional Notes Column)		Reported to the IRS
complete your retur		umber is reported	a to the IRS. If	ie additional informatio	n not referenced by a Box h	Number is not reported to	the IRS but may be helpful to
Description of prop	erty CUSIP Symbo	ol(Box 1a)					
Data Cald an			Dete		Accrued Market Discount		
Date Sold or Disposed		Proceeds	Date Acquired	Cost or Other	(M)(Box 1f) & Wash Sale Loss		
(Box 1c)	Quantity	(Box 1d)	(Box 1b)	Basis (Box 1e)	Disallowed (D)(Box 1g)	Gain or Loss(-)	Additional Notes
CALL EBAY 01/29/2	21 56.50 EBAY INC	C CUSIP: Sym	bol(Box 1a): EB	AY210129C00056500			
01/22/2021	1.00	75.90	01/20/2021	111.08	0.00	-35.18	Sell to Close
CALL AMZN 01/15/	21 3260 AMAZON	I.COM INC CUS	P: Symbol(B	ox 1a): AMZN210115C03			
01/11/2021	1.00	1,034.88	01/11/2021	950.08	0.00	84.80	Sell to Close
01/11/2021	1.00	1,029.88	01/11/2021	950.08	0.00	79.80	Sell to Close
01/11/2021	1.00	999.88	01/11/2021	960.08	0.00	39.80	Sell to Close
01/13/2021	1.00	617.89	01/11/2021	950.08	0.00	-332.19	Sell to Close
Security Totals:		3,682.53		3,810.32		-127.79	
CALL TWTR 02/05/	21 48.50 TWITTER	R INC CUSIP:	Symbol(Box 1a): TWTR210205C000485	500		
01/22/2021	1.00	156.90	01/22/2021	162.08	0.00	-5.18	Sell to Close
CALL MSFT 02/19/	21 245 MICROSC	OFT CORP CUSI	P: Symbol(B	ox 1a): MSFT210219C00	245000		
02/18/2021	1.00	39.90	02/16/2021	200.08	0.00	-160.18	Sell to Close
CALL AMZN 03/05/	21 3600 AMAZON	I.COM INC CUS	P: Symbol(B	ox 1a): AMZN210305C03	600000		
02/02/2021	1.00	7,399.74	02/02/2021	7,400.08	0.34	D 0.00	Sell to Close
02/02/2021	1.00	6,699.76	02/02/2021	6,700.42	0.00	-0.66	Sell to Close
02/02/2021	1.00	7,999.73	02/02/2021	7,500.08	0.00	499.65	Sell to Close
Security Totals:		22,099.23		21,600.58		498.99	
CALL TSLA 01/08/2	21 920 TESLA INC	C CUSIP: Sym	ibol(Box 1a): TS	SLA210108C00920000			
01/08/2021	1.00		01/08/2021	135.08	0.00	24.82	Sell to Close
CALL KNDI 02/19/2	1 11 KANDITEC	HNOLOGIES CC	RP CUSIP:	Symbol (Box 1a): KNDI2	0219C00011000		
01/25/2021	1.00	41.90	01/25/2021	42.08	0.00	-0.18	Sell to Close

Proceeds from Broker and Barter Exchange Transactions 2021 Form 1099-B*

APEX CLEARING

APEX CLEARING		Proc	eeds froi	m Broker and B	arter Exchange Tr	ansactions ²⁰²	21 Form 1099-B*	
5MQ16480				(conti	nued)	01/	/31/2022	OMB No. 1545-0715
SHORT TERM				210 Ι ΧΔΤ Ο				
Report on Form 8949				Additional Natao Caluman				
		·		Additional Notes Column			-	
Box 5: Box Not Chec The 1099-B data refe complete your return	erenced by a Box Ni			•	in Additional Notes Column) n not referenced by a Box N		s Reported to the I the IRS but may	
Description of prope	erty CUSIP Symbo	ol(Box 1a)						
			_		Accrued Market Discount			
Date Sold or Disposed		Proceeds	Date Acquired	Cost or Other	(M)(Box 1f) & Wash Sale Loss			
(Box 1c)	Quantity	(Box 1d)	(Box 1b)	Basis (Box 1e)	Disallowed (D)(Box 1g)	Gain or Loss(-)	Addit	ional Notes
CALL KNDI 02/19/2				Symbol (Box 1a): KNDI2				
01/25/2021	1.00	41.90	01/25/2021	42.08	0.00	-0.18	Sell to Close	
Security Totals:		83.80		84.16		-0.36		
	1 1050 TESLA IN	IC CUSIP: Sym	bol(Box 1a): T	SLA210129C01050000				
01/25/2021	1.00	489.89	01/25/2021	600.08	0.00	-110.19	Sell to Close	
01/25/2021	1.00	614.89	01/25/2021	513.08	0.00	101.81	Sell to Close	
Security Totals:		1,104.78		1,113.16		-8.38		
CALL AMZN 11/12/2	21 4000 AMAZON	I.COM INC CUSIF	P: Symbol(B	ox 1a): AMZN211112C04	400000			
10/28/2021	1.00		10/28/2021	600.04	0.00	-10.10	Sell to Close	
CALL AMZN 04/09/2	21 3330 AMAZON	I.COM INC CUSIF	P: Symbol(B	ox 1a): AMZN210409C03	3330000			
04/09/2021	1.00	2,199.90	04/09/2021	900.07	0.00	1,299.83	Sell to Close	
CALL AMD 01/29/2				: Symbol(Box 1a): AM		,		
01/07/2021	1.00	419.90	01/06/2021	385.08	0.00	34.82	Sell to Close	
CALL AMZN 04/30/2	21 3600 AMAZON	I.COM INC CUSIF	P: Symbol(B	ox 1a): AMZN210430C03	3600000			
04/23/2021	1.00	949.91	04/22/2021	1,050.07	100.16	D 0.00	Sell to Close	
04/23/2021	1.00	814.91	04/22/2021	940.23	125.32	D 0.00	Sell to Close	
04/29/2021	1.00	3,299.90	04/29/2021	3,225.39	0.00	74.51	Sell to Close	
Security Totals:		5,064.72		5,215.69		74.51		
PUT AMZN 04/09/2	1 3310 AMAZON	.COM INC CUSIF	: Symbol(Bo	x 1a): AMZN210409P03	310000			
04/08/2021	1.00	1,499.91	04/08/2021	1,800.07	300.16	D 0.00	Sell to Close	

				•					
SHORT TER	M TRANSAC	FIONS FOR	COVERE	D TAX LOTS					
Report on Form 8949	9, Part I with Box A cl	hecked.							
ox 2: Type of Gain	or Loss - Short-Term	n (unless indicated	as Ordinary in A	Additional Notes Column)				
ox 5: Box Not Che	cked (Covered Secur	ity)	Box 6: Gross (unless indicated as Net	in Additional Notes Column)		Box 12: Basis	Reported to the IRS	
		umber is reporte	d to the IRS. Th	e additional informatio	on not referenced by a Box N	lumb	er is not reported to	the IRS but may be help	ul to
complete your retui									
Description of prop	erty CUSIP Symb	ol(Box1a)							
Date Sold or			Date		Accrued Market Discount (M)(Box 1f) &				
Disposed		Proceeds	Acquired	Cost or Other	Wash Sale Loss				
(Box 1c)	Quantity	(Box 1d)	(Box 1b)	Basis (Box 1e)	Disallowed (D)(Box 1g)		Gain or Loss(-)	Additional No	otes
04/08/2021	1.00	1,499.91	04/08/2021	1,700.23	0.00		-200.32	Sell to Close	
Security Totals:		2,999.82		3,500.30			-200.32		
PUT AMZN 03/26/2	21 3150 AMAZON	I.COM INC CUSI	P: Symbol(Bo	x 1a): AMZN210326P03	150000				
03/23/2021	1.00		03/23/2021	2,500.08	0.00		-0.19	Sell to Close	
CALL AMD 01/29/2	21 94.50 ADVANC	ED MICRO DEVIC	CES INC CUSII	P: Symbol(Box 1a): Al	MD210129C00094500				
01/29/2021	2.00	0.00	Various	524.16	0.00		-524.16	Expiration	
CALL AMZN 04/09/	21 3310 AMAZON	N.COM INC CUS	IP: Symbol(Bo	ox 1a): AMZN210409C0	3310000				
04/08/2021	1.00	1,299.91	04/08/2021	1,350.07	50.16	D	0.00	Sell to Close	
04/09/2021	1.00	949.91	04/09/2021	1,050.39	100.48	D	0.00	Sell to Close	
04/09/2021	1.00	899.91	04/08/2021	1,150.23	250.32	D	0.00	Sell to Close	
04/09/2021	1.00	1,999.90	04/09/2021	800.55	0.00		1,199.35	Sell to Close	
ecurity Totals:		5,149.63		4,351.24			1,199.35		
CALL AMZN 03/26/	21 3150 AMAZON	N.COM INC CUS	IP: Symbol(Bo	ox 1a): AMZN210326C03	3150000				
03/24/2021	1.00	2,299.89	03/24/2021	2,200.08	0.00		99.81	Sell to Close	
03/24/2021	1.00	1,499.90	03/24/2021	2,000.08	0.00		-500.18	Sell to Close	
03/24/2021	1.00	2,299.89	03/24/2021	2,100.08	0.00		199.81	Sell to Close	
03/24/2021	1.00	2,449.89	03/24/2021	2,250.08	0.00		199.81	Sell to Close	
		8,549.57		8,550.32		-	-0.75		

Proceeds from Broker and Barter Exchange Transactions

(continued)

APEX CLEARING

03/09/2021

1.00

5,299.88 03/08/2021

5MQ16480

27 of 110

OMB No. 1545-0715

2021 Form 1099-B*

01/31/2022

2,399.80 Sell to Close

2,900.08

0.00

5MQ16480	IQ16480			(contin	0	1/31/2022	OMB No. 1545-0715	
	M TRANSACT	IONS FOR	COVEREI	TAX LOTS				
	9, Part I with Box A ch							
•			as Ordinary in A	Additional Notes Column)				
51	cked (Covered Securit			,	Additional Notes Column)	Box 12: Ba	sis Reported to the IRS	5
	,				not referenced by a Box N		•	
complete your retur	rn.	-			-			-
Description of prop	erty CUSIP Symbo	ol(Box 1a)						
				A	ccrued Market Discount			
Date Sold or Disposed		Proceeds	Date Acquired	Cost or Other	(M)(Box 1f) & Wash Sale Loss			
(Box 1c)	Quantity	(Box 1d)	(Box 1b)	Basis (Box 1e)	Disallowed (D)(Box 1g)	Gain or Loss() Additio	nal Notes
ALL TWTR 01/29/	21 50 TWITTER	INC CUSIP: S	Symbol(Box 1a):	TWTR210129C00050000)			
01/21/2021	1.00	50.90	01/21/2021	69.26	0.00	-18.3	6 Sell to Close	
01/21/2021	1.00		01/21/2021	71.08	5.18			
Security Totals:		116.80		140.34	400000	-18.3	6	
CALL FSLY 01/29/2	21 100 FASILY IN	IC CLASS A CU	SIP: Symbol(Box 1a): FSLY210129C00	100000			
01/07/2021	1.00	229.90	01/07/2021	200.08	0.00	29.8	2 Sell to Close	
CALL LAZR 02/19/2	21 50 LUMINAR T	ECHNOLOGIES	INC CL A CU	SIP: Symbol(Box 1a): LA	ZR210219C00050000			
01/13/2021	1.00	124.90	01/13/2021	125.08	0.00	-0.1	8 Sell to Close	
PUT FB 11/05/21				mbol(Box 1a): FB211105F				
10/28/2021 CALL AMZN 01/22/	1.00		10/26/2021	310.04 (x 1a): AMZN210122C032	0.00	-70.1	0 Sell to Close	
JALL AWIZN 01/22/	ZI 3200 AWAZON			JX 1a). AIVIZINZ 101220032				
01/13/2021	1.00		01/12/2021	3,250.08	0.00	49.7	5 Sell to Close	
CALL AAL 02/19/2	1 17 AMERICAN	AIRLINES GROU	IP INC CUSIP:	Symbol(Box 1a): AAL2	10219C00017000			
01/14/2021	1.00	103 90	01/13/2021	76.08	0.00	27.8	2 Sell to Close	
51/17/2021	1.00	100.00		70.00	0.00	27.0		
01/14/2021	1.00	112.90	01/13/2021	76.08	0.00	36.8	2 Sell to Close	
Security Totals:		216.80		152.16		64.6	4	
CALL CGEN 02/19/	21 15 COMPUGE	EN LIMITED CU	SIP: Symbol(Box 1a): CGEN210219C0	0015000			
01/13/2021	1.00	94.90	01/13/2021	95.08	0.00	-0.1	8 Sell to Close	
		000		00.00	0.00	0		
01/13/2021	1.00		01/13/2021	95.08	0.00	0.8		
Security Totals:		190.80		190.16		0.6	4	
CALL PLTR 05/07/2	21 21.50 PALANTIF	RTECHNOLOGIE	ES INC CL A C	USIP: Symbol(Box 1a):	PLTR210507C00021500			
05/04/2021	1.00	40.91	05/04/2021	44.07	0.00	-3 1	6 Sell to Close	
		10.01		1.107	0.00	0.1		

* 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.

Proceeds from Broker and Barter Exchange Transactions

2021 Form 1099-B*

APEX CLEARING		Proceeds from Broker and Barter Exchange Transactions 2021 Form 1099-B*									
MQ16480	(continued)						01/31/2022				
Box 5: Box Not Checked	rt I with Box A cl oss - Short-Term (Covered Securi	hecked. n (unless indicated a ity)	as Ordinary in A Box 6: Gross (Additional Notes Column) unless indicated as Net ir	n Additional Notes Column) n not referenced by a Box N	Number is n		Reported to the II			
omplete your return.					,						
Description of property	CUSIP Symb	ol(Box1a)									
Date Sold or Disposed (Box 1c) Qu	uantity	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)	G	ain or Loss(-)	Addit	ional Notes		
ALL AXP 02/19/21 12	20 AMERICAN	N EXPRESS COM	PANY CUSIP:	Symbol(Box 1a): AXP2	210219C00120000						
01/28/2021 CALL DBX 01/29/21 2	1.00 24 DROPBOX		01/28/2021 ymbol(Box 1a):	369.08 DBX210129C00024000	0.00		20.82	Sell to Close			
01/27/2021 CALL AMD 01/29/21 1	1.00 00 ADVANCE		01/27/2021 ES INC CUSIF	83.08 P: Symbol(Box 1a): AMI	0.00 D210129C00100000		-3.18	Sell to Close			
01/11/2021 PFIZER INC CUSIP: 717	1.00 7081103 Symbo		01/11/2021	400.08	0.00		-0.18	Sell to Close			
03/05/2021 CALL NVDA 01/29/21 6	50.00 600 NVIDIA C		<u>12/10/2020</u> ymbol(Box 1a):	2,138.05 NVDA210129C0060000	0.00		-424.46	Sale			
01/11/2021	1.00	754.89	01/11/2021	750.08	0.00		4.81	Sell to Close			
01/21/2021	1.00	268.90	01/21/2021	154.08	0.00		114.82	Sell to Close			
Security Totals:		1,023.79		904.16	0101000000000		119.63				
PUT QQQ 01/29/21 32	22 INVESCO	QQQ INUSI SER		Symbol(Box 1a): QQQ	210129200322000						
01/28/2021	1.00		01/28/2021	129.08	0.00		13.82	Sell to Close			
CALL SNAP 02/12/21	55 SNAP INC	CUSIP: Symbo	ol(Box 1a): SNA	P210212C00055000							
02/01/2021	1.00		01/28/2021	460.08	0.00		-15.18	Sell to Close			
PUT TSLA 05/07/21 63	30 TESLA INC	C CUSIP: Symb	ool(Box 1a): TSI	_A210507P00630000							
05/06/2021	1.00		05/06/2021	260.07	0.00		-20.16	Sell to Close			
PUT AMZN 04/30/21 34	495 AMAZON	I.COM INC CUSIF	P: Symbol(Bo	x 1a): AMZN210430P034	195000						
04/30/2021	1.00	799.91	04/30/2021	5,500.55	4700.64	D	0.00	Sell to Close			
04/30/2021	1.00	799.91	04/30/2021	5,485.71	4685.8	D	0.00	Sell to Close			

Proceeds from Broker and Barter Exchange Transaction	2021 Form 1099-B*	
(continued)	01/31/2022	OMB No. 1545-0715
IS FOR COVERED TAX LOTS		
d.		
ess indicated as Ordinary in Additional Notes Column)		
Box 6: Gross (unless indicated as Net in Additional Notes Column)	Box 12: Basis Reported to the	IRS
	(continued) NS FOR COVERED TAX LOTS d. ess indicated as Ordinary in Additional Notes Column) Box 6: Gross (unless indicated as Net in Additional Notes Column)	(continued) 01/31/2022 NS FOR COVERED TAX LOTS d. ess indicated as Ordinary in Additional Notes Column)

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 AMZN 04/30/2	1 3495 AMAZON	I.COM INC CUSI	P: Symbol(E	Box 1a): AMZN210430P03	3495000			
04/30/2021	1.00	849.91	04/30/2021	4,985.87	0.00		-4,135.96	Sell to Close
04/30/2021	1.00	549.91	04/30/2021	3,950.23	3400.32	D	0.00	Sell to Close
04/30/2021	1.00	549.91	04/30/2021	2,500.07	1950.16	D	0.00	Sell to Close
04/30/2021	1.00	699.91	04/30/2021	5,000.39	4300.48	D	0.00	Sell to Close
Security Totals: CALL AMZN 03/26/2		4,249.46	ID: Symbol/	27,422.82 Box 1a): AMZN210326C0	210000		-4,135.96	
CALL AWIZIN 03/20/2	21 3100 AMAZOI			DUX 10). ANIZINZ 1032000	510000			
03/19/2021	1.00	2,599.89	03/19/2021	2,400.08	0.00		199.81	Sell to Close
03/19/2021	1.00	2,599.89	03/19/2021	2,400.08	0.00		199.81	Sell to Close
03/19/2021	1.00	2,749.89	03/19/2021	2,500.08	0.00		249.81	Sell to Close
03/22/2021	1.00	3,099.89	03/19/2021	3,000.08	0.00		99.81	Sell to Close
03/25/2021	1.00	499.90	03/25/2021	617.44	0.00		-117.54	Sell to Close
03/25/2021	1.00	469.90	03/25/2021	617.26	147.36	D	0.00	Sell to Close
03/25/2021	1.00	462.90	03/25/2021	630.08	167.18	D	0.00	Sell to Close
Security Totals:		12,482.26		12,165.10			631.70	
CALL BBY 01/29/2	I 124 BEST BUY		: Symbol(Bo	x 1a): BBY210129C0012	4000			
01/25/2021	1.00	23.90	01/25/2021	42.08	0.00		-18.18	Sell to Close
01/25/2021	1.00	39.90	01/25/2021	42.08	0.00		-2.18	Sell to Close
Security Totals:		63.80		84.16			-20.36	

5MQ16480				(conti	nued)		01/3	0MB No. 1545-0715
SHORT TERM	TRANSACT		COVERE					
			COVENE					
Report on Form 8949, F			as Ordinary in	Additional Notes Column)				
Box 5: Box Not Checke			-		n Additional Notes Column)	Box 12	• Basie	Reported to the IRS
	,				,			the IRS but may be helpful to
complete your return.								
Description of propert	y CUSIP Symbo	ol(Box1a)						
Date Sold or			Date	· · · · · · · · · · · · · · · · · · ·	Accrued Market Discount (M)(Box 1f) &			
Disposed		Proceeds	Acquired	Cost or Other	Wash Sale Loss			
(Box 1c) CALL MSFT 01/15/21	Quantity		(Box 1b)	Basis (Box 1e) ox 1a): MSFT210115C00	Disallowed (D)(Box 1g)	Gain or Lo	oss(-)	Additional Notes
01/15/2021	3.00	0.00	Various	323.24	0.00	-3	23.24	Expiration
CALL AAPL 01/22/21					0.00	0	20.21	Expiration
01/00/0001	1.00	1 40 00	01/10/0001	050.00	0.00		01 10	
01/20/2021 PUT AMZN 03/26/21	1.00 3100 AMAZON		01/13/2021 P: Symbol(B	350.08 (x 1a): AMZN210326P03	0.00	-2	01.18	Sell to Close
03/24/2021	1.00	2,149.89	03/24/2021	1,640.26	0.00	5	09.63	Sell to Close
03/24/2021	1.00	2,499.89	03/24/2021	2,300.08	0.00	1	99.81	Sell to Close
03/24/2021	1.00	1,859.90	03/24/2021	2,000.08	140.18	D	0.00	Sell to Close
Security Totals:		6,509.68		5,940.42		7	09.44	
CALL AMZN 03/26/21	3120 AMAZON	I.COM INC CUS	IP: Symbol(B	ox 1a): AMZN210326C03	120000			
03/25/2021	1.00	1,399.90	03/24/2021	1,900.26	0.00	-5	00.36	Sell to Close
03/25/2021	1.00	1,299.90	03/24/2021	1,900.08	600.18	D	0.00	Sell to Close
Security Totals:		2,699.80		3,800.34		-5	00.36	
PUT AMZN 03/26/21	3110 AMAZON	COM INC CUSI	P: Symbol(Be	ox 1a): AMZN210326P03	110000			
03/24/2021	1.00	2,399.89	03/24/2021	2,200.08	0.00	1	99.81	Sell to Close
PUT AMZN 04/30/21	3490 AMAZON	COM INC CUSI	P: Symbol(Bo	ox 1a): AMZN210430P03	490000			
04/30/2021	1.00		04/30/2021	700.07	0.00	1	99.84	Sell to Close
CALL AMZN 04/30/21	3490 AMAZON	I.COM INC CUS	IP: Symbol(B	ox 1a): AMZN210430C03	3490000			
04/23/2021	1.00	3,063.90	04/23/2021	3,000.07	0.00		63.83	Sell to Close
04/26/2021	1.00	2,479.90	04/26/2021	2,973.24	493.34	D	0.00	Sell to Close
04/26/2021	1.00	2,399.90	04/23/2021	3,000.07	600.17	D	0.00	Sell to Close

Proceeds from Broker and Barter Exchange Transactions

APEX CLEARING

2021 Form 1099-B*

5MQ16480		(continued)		01	/31/2022 OMB No. 1545-0715		
				ED TAX LOTS			
			COVENE	DIAX LUIS			
•	9, Part I with Box A ch		oo Ordinom in	Additional Natas Calum	2)		
••		•	-	Additional Notes Colum	,	Bey 10: Dec	is Departed to the IDC
	cked (Covered Securi	.,		·	in Additional Notes Column)		is Reported to the IRS o the IRS but may be helpful to
complete your retur							o the ind but may be helpful to
Description of prop	erty CUSIP Symb	ol(Box 1a)					
Date Sold or			Date		Accrued Market Discount (M)(Box 1f) &		
Disposed		Proceeds	Acquired	Cost or Other	Wash Sale Loss		
(Box 1c)	Quantity	(Box 1d)	(Box 1b)	Basis (Box 1e)	Disallowed (D) (Box 1g)	Gain or Loss(-	Additional Notes
04/26/2021	1.00	2,799.90	04/26/2021	2,643.41	0.00	156.49	Sell to Close
Security Totals:		10,743.60		11,616.79		220.32	
CALL JD 01/29/21	100 JD.COM INC	C CUSIP: Sym	bol(Box 1a): J	D210129C00100000			
01/11/2021	1.00	134.90	01/11/2021	129.08	0.00	5.82	2 Sell to Close
PUT AMZN 03/26/2				Box 1a): AMZN210326P0			
03/24/2021	1.00	2,099.89	03/24/2021	2,000.08	0.00	99.81	Sell to Close
CALL AMZN 05/28/	21 3300 AMAZON	I.COM INC CUS	IP: Symbol(Box 1a): AMZN210528C0	03300000		
05/24/2021	1.00	999.91	05/21/2021	1,000.07	0.00	-0.16	S Sell to Close
CALL AMZN 04/30/	21 3480 AMAZON	I.COM INC CUS	IP: Symbol(Box 1a): AMZN210430C0	03480000		
04/26/2021	1.00	2,899.90	04/23/2021	3,000.07	0.00	-100.17	' Sell to Close
CALL DIS 04/16/21	1 190 WALT DISN	IEY CO CUSIP:	Symbol(Bo>	<1a): DIS210416C00190	000		
01/28/2021	1.00	579.89	01/28/2021	495.08	0.00	84.81	Sell to Close
04/09/2021	1.00	155.91	04/06/2021	360.07	204.16	D 0.00) Sell to Close
04/12/2021	1.00	159.91	04/09/2021	344.23	0.00	-184.32	2 Sell to Close
Security Totals:		895.71		1,199.38		-99.51	
CALL SPWR 01/29	/21 50 SUNPOW	ERCORPORATIO	ON CUSIP:	Symbol (Box 1a): SPWR	210129C00050000		
01/26/2021	1.00		01/26/2021	200.08	0.00	19.82	2 Sell to Close
CALL IQ 04/01/21	17.50 IQIYI INC 0	CUSIP: Symbol	(Box 1a): IQ21	0401C00017500			
03/29/2021	1.00	79.90	03/29/2021	86.08	0.00	-6.18	3 Sell to Close
03/29/2021	1.00	80.90	03/29/2021	86.08	0.00	-5.18	3 Sell to Close
Security Totals:		160.80		172.16		-11.36	j

* 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*												
5MQ16480			01/3	31/2022 OMB No. 1545-071								
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) 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 propert	y CUSIP Symbo	l(Box 1a)										
Date Sold or Disposed (Box 1c)	Quantity	Proceeds (Box 1d)	Date Acquired (Box 1b) P: Symbol(Bo	Cost or Other Basis (Box 1e) x 1a): AMZN210319P03	Accrued Market Discount (M)(Box 1f) & Wash Sale Loss Disallowed (D)(Box 1g) 3105000	Gain or Loss(-)	Additional Notes					
03/18/2021 CALL FUBO 01/29/21	1.00 42 FUBOTV IN		03/18/2021 mbol(Box 1a): F	2,418.08 UBO210129C0004200	0.00	181.81	Sell to Close					
01/26/2021 PUT MSFT 01/15/21	1.00	223.90	01/26/2021	330.08 x 1a): MSFT210115P00	0.00	-106.18	Sell to Close					
01/11/2021 CALL F 02/19/21 1	1.00 2 FORD MOTOF		01/11/2021 JSIP: Symbol	121.08 (Box 1a): F210219C000	0.00	5.82	Sell to Close					
01/27/2021	1.00	37.90	01/27/2021	37.08	0.00	0.82	Sell to Close					
01/27/2021	1.00	37.90	01/27/2021	37.08	0.00	0.82	Sell to Close					
Security Totals: PUT AMZN 03/19/21	3115 AMAZON (75.80	P· Symbol/Bo	74.16 (x 1a): AMZN210319P0	3115000	1.64						
03/16/2021	1.00	·	03/16/2021	3,000.08	0.00	199.81	Sell to Close					
03/16/2021	1.00	3,099.89	03/16/2021	2,900.08	0.00	199.81	Sell to Close					
03/17/2021	1.00	1,399.90	03/17/2021	3,000.08	1600.18	D 0.00	Sell to Close					
03/17/2021	1.00	1,404.90	03/17/2021	2,750.26	0.00	-1,345.36	Sell to Close					
Security Totals:		9,104.58		11,650.50	0150000	-945.74						
CALL PDD 04/16/21	150 PINDUODU	IU INC ADS CU	SIP: Symbol(Box 1a): PDD210416C0	00150000							
03/22/2021	1.00		03/22/2021	389.08	0.00	-4.18	Sell to Close					
CALL NUGT 01/15/21	75 DIREXION	DLY GLD MNRS	INDX BUL CL	JSIP: Symbol(Box 1a): NUGT210115C00075000							
01/15/2021	1.00	0.00	01/08/2021	170.08	0.00	-170.08	Expiration					

APEX CLEARING		Procee	ds from B	Broker and B	arter Exchange Tran	sactions 202	1 Form 1099-B*		
5MQ16480	(continued)					01/3	01/31/2022 OME		
	TDANGACT								
Report on Form 8949,				AN LUIS					
•		i (unless indicated as O	rdinany in Additi	onal Notes Column					
Box 5: Box Not Check		·	2		, in Additional Notes Column)	Boy 12: Basis	Reported to the IRS		
	,	37	,		n not referenced by a Box Nur		•	eloful to	
complete your return			ne mo. me au				the mo but may be i		
Description of proper	ty CUSIP Symbo	ol(Box 1a)							
		、			Accrued Market Discount				
Date Sold or Disposed		Proceeds Ac	Date guired	Cost or Other	(M)(Box 1f) & Wash Sale Loss				
(Box 1c)	Quantity			Basis (Box 1e)	Disallowed (D)(Box 1g)	Gain or Loss(-)	Addition	al Notes	
ALL LMT 01/22/21	340 LOCKHEE	D MARTIN CORP CU							
01/22/2021	1.00	79.90 01/2	2/2021	100.08	0.00	-20.18	Sell to Close		
ALL WDAY 01/15/2		AY INC CUSIP: Syn							
01/11/2021	1.00	179.90 01/1	1/2021	180.08	0.00	-0.18	Sell to Close		
					: BABA210521C00237500	-0.10			
04/21/2021	1.00	499.91 04/2	1/2021	500.07	0.00	-0.16	Sell to Close		
PUT TSLA 05/07/21	635 TESLA INC	C CUSIP: Symbol(B	ox 1a): TSLA21	0507P00635000					
05/05/2021	1.00	269.91 05/0	5/2021	275.07	0.00	-5.16	Sell to Close		
		NC CUSIP: Symbol(
00/05/0004	4.00	500.00 00/0	E/0004	550.00	0.00	40.00			
03/25/2021 PUT JNJ 04/16/21	1.00 157.50 JOHNSON	569.90 03/2 & JOHNSON CUSIP:		550.08 1a): JNJ210416P0	0.00	19.82	Sell to Close		
			10,	,					
04/13/2021	1.00	<u>159.91 04/1</u> KINC CL A CUSIP:		150.07	0.00	9.84	Sell to Close		
ALL FD 01/22/21	252.50 FACEBOO	KINC CL A CUSIP:	Symbol(Box 18	a): FD2101220002	02500				
01/15/2021	1.00	524.89 01/1		480.08	0.00	44.81	Sell to Close		
ALL FSLY 01/29/21	106 FASTLY IN	NC CLASS A CUSIP:	Symbol (Box 1	la): FSLY210129C	00106000				
01/12/2021	1.00	201.90 01/1	2/2021	175.08	0.00	26.82	Sell to Close		
PUT AMZN 03/26/21		.COM INC CUSIP:							
03/25/2021	1.00	1,485.90 03/2	5/2021	1,400.08	0.00	85 82	Sell to Close		
03/26/2021	1.00	1,299.90 03/2	6/2021	1,100.08	0.00	199.82	Sell to Close		
ecurity Totals: ALL SPCE 01/29/21				2,500.16 Symbol/Box 1a): SI	PCE210129C00060000	285.64			
ALL OF UL 01/29/21			NO UUSIF.	Symbol(Dox Ta): SI					
01/28/2021	1.00	59.90 01/2	0/0004	233.08	0.00		Sell to Close		

APEX CLEARING		Pro	ceeds fro	m Broker and I	Barter Exchange Tr	ansactions ²	021 Form 1099-B*	
5MQ16480				(con	tinued)	0	1/31/2022	OMB No. 1545-0715
Report on Form 894 Box 2: Type of Gain Box 5: Box Not Che	ecked (Covered Security ferenced by a Box Nu	ecked. (unless indicated y)	as Ordinary in Box 6: Gross	Additional Notes Colum (unless indicated as Ne	n) t in Additional Notes Column) i on not referenced by a Box N		sis Reported to the to the IRS but may	
Description of prop	perty CUSIP Symbo	l(Box 1a)						
Date Sold or Disposed (Box 1c) PUT AMZN 03/26/	Quantity /21 3070 AMAZON.0	Proceeds (Box 1d) COM INC CUSI	Date Acquired (Box 1b) P: Symbol(Bo	Cost or Other Basis (Box 1e) ox 1a): AMZN210326P0	Accrued Market Discount (M)(Box 1f) & Wash Sale Loss Disallowed (D)(Box 1g) 3070000	Gain or Loss() Addi	tional Notes
03/25/2021	1.00	2.099.89	03/25/2021	2.100.08	0.00	-0.1	9 Sell to Close	
CALL FB 01/22/2		1	1 - 1 -	ox 1a): FB210122C0025				
01/14/2021	1.00	446.90	01/13/2021	440.08	0.00	6.8	2 Sell to Close	
01/19/2021	1.00	397.90	01/15/2021	385.08	0.00	12.8	2 Sell to Close	
Security Totals:		844.80	hal/Davida), O	825.16		19.6	4	
PUT SQ 04/09/2 ⁻	1 255 SQUAREINC	, CUSIP: Syn	nboi(Box Ta): 5	Q210409P00255000				
04/09/2021	1.00	19.91	04/09/2021	20.08	0.00	-0.1	7 Sell to Close	
04/09/2021	1.00	19.91	04/09/2021	20.08	0.00	-0.1	7 Sell to Close	
Security Totals:		39.82		40.16		-0.3	4	
PUT AMZN 03/26/	/21 3080 AMAZON.0	COM INC CUSI	P: Symbol(Be	ox 1a): AMZN210326P0	3080000			
03/22/2021	1.00	1,999.89	03/22/2021	3,000.08	1000.19	D 0.0	0 Sell to Close	
03/22/2021	1.00	1,999.89	03/22/2021	3,150.27	1150.38	D 0.0	0 Sell to Close	
03/22/2021	1.00	3,199.89	03/22/2021	3,000.08	0.00	199.8	1 Sell to Close	
03/23/2021	1.00	1,199.90	03/23/2021	2,750.63	0.00	-1,550.7	3 Sell to Close	
03/23/2021	1.00	1,199.90	03/23/2021	925.26	0.00	274.6	4 Sell to Close	
03/23/2021	2.00	2,399.81	Various	4,250.54	1850.73	D 0.0	0 Sell to Close	
Security Totals:		11,999.28		17,076.86		-1,076.2	8	
CALL TSLA 03/19/	/21 730 TESLA INC	CUSIP: Syn	nbol(Box 1a): TS	SLA210319C00730000				
02/23/2021	1.00	4,044.82	02/22/2021	4,800.08	755.26	D 0.0	0 Sell to Close	

APEX CLEARING		Proce	eds from	n Broker and E	Barter Exchange Tran	sactions 202	1 Form 1099-B*	
5MQ16480			01/3	31/2022	OMB No. 1545-0715			
Box 5: Box Not Check	Part I with Box A ch Loss - Short-Term ed (Covered Securi enced by a Box Nu	necked. (unless indicated as ty) B	Ordinary in A	dditional Notes Columr unless indicated as Net	n) in Additional Notes Column) on not referenced by a Box Num		Reported to the I	
Description of proper Date Sold or Disposed (Box 1c) CALL TSLA 03/19/21	Quantity	Proceeds (Box 1d)	Date Acquired (Box 1b) I(Box 1a): TSL	Cost or Other Basis (Box 1e) A210319C00730000	Accrued Market Discount (M)(Box 1f) & Wash Sale Loss Disallowed (D)(Box 1g)	Gain or Loss(-)	Addit	ional Notes
02/24/2021	1.00	4,027.88 02	2/23/2021	2,655.34	0.00	1,372.54	Sell to Close	
Security Totals:		8,072.70		7,455.42		1,372.54		
PUT AMZN 03/26/21	3090 AMAZON	COM INC CUSIP:	Symbol(Box	(1a): AMZN210326P03	3090000			
03/24/2021	1.00	2,099.89 03	3/24/2021	2,000.08	0.00	99.81	Sell to Close	
03/25/2021	1.00	2,599.89 03	3/25/2021	2,200.08	0.00	399.81	Sell to Close	
Security Totals:		4,699.78		4,200.16		499.62		
CALL AMZN 03/05/21	3500 AMAZON	I.COM INC CUSIP:	Symbol (Bo	x 1a): AMZN210305C0	3500000			
02/02/2021	1.00	11,749.65 02	2/01/2021	9,650.08	0.00	2,099.57	Sell to Close	
02/04/2021	1.00	4,419.81 02	2/03/2021	6,150.08	0.00	-1,730.27	Sell to Close	
Security Totals:		16,169.46		15,800.16		369.30		
CALL AAPL 01/15/21	136 APPLE INC	C CUSIP: Symbo	l(Box 1a): AAF	PL210115C00136000				
01/05/2021	1.00	119.90 01	1/05/2021	126.08	0.00	-6.18	Sell to Close	
PUT TSLA 04/23/21				A210423P00725000	0.00	0.10		
04/23/2021	1.00	104.91 04	1/23/2021	123.07	0.00	-18 16	Sell to Close	
CALL INTC 03/19/21				ITC210319C00063500		.0.10		
02/00/0001	1.00	105.00		150.00	0.00	04.40	Coll to Class	
03/09/2021 CALL CCIV 02/19/21	1.00 17.50 CHURCHI	125.90 03 LL CAPITAL CORP		150.08 SIP: Symbol(Box 1a):	0.00 CCIV210219C00017500	-24.18	Sell to Close	
01/15/2021	1.00	549.89 01		400.08	0.00	149.81	Sell to Close	
CALL CHWY 04/16/2	1 80 CHEWY II	NC CLASS A CUSI	P: Symbol(E	Box 1a): CHWY210416	C00080000			

5MQ16480				(conti	nued)		01/3	0MB No. 1545	5-0715
SHORT TERM									
			COVENEL	TAX LOTS					
Report on Form 8949			aa Ordinary in A	dditional Natao Calumn)					
				dditional Notes Column)			Bay 10, Davia	Deported to the IDC	
Box 5: Box Not Chec		.,			n Additional Notes Column)	lumbo		Reported to the IRS the IRS but may be helpful to	
complete your retur						umbe		the Ins but may be helpful to	
Description of prope	erty CUSIP Symbo	ol(Box 1a)							
Date Sold or			Date		Accrued Market Discount				
Disposed		Proceeds	Acquired	Cost or Other	(M)(Box 1f) & Wash Sale Loss				
(Box 1c)	Quantity	(Box 1d)	(Box 1b)	Basis (Box 1e)	Disallowed (D)(Box 1g)		Gain or Loss(-)	Additional Notes	
CALL MSFT 01/29/2	21 240 MICROSO	OFT CORP CUS	IP: Symbol(Bo	x 1a): MSFT210129C00	240000				
01/26/2021	1.00	271.90	01/26/2021	282.08	10.18	D	0.00	Sell to Close	
01/27/2021	1.00	282.90	01/27/2021	334.26	0.00		-51.36	Sell to Close	
Security Totals:		554.80		616.34			-51.36		
CALL NVDA 05/14/2	21 610 NVIDIA CO	ORP CUSIP:	Symbol(Box 1a):	NVDA210514C0061000	00				
05/05/2021	1.00	469.91	05/05/2021	400.07	0.00		69.84	Sell to Close	
CALL TSLA 04/23/2				LA210423C00750000					
/						_			
04/19/2021	1.00	779.91	04/19/2021	955.07	175.16	D	0.00	Sell to Close	
04/20/2021	1.00	1,079.91	04/19/2021	835.23	0.00		244.68	Sell to Close	
04/22/2021	1.00	699.91	04/22/2021	700.07	0.00		-0.16	Sell to Close	
Security Totals: CALL M 02/05/21		2,559.73 CUSIP: Symb	ol(Box 1a): M21(2,490.37			244.52		
UALL MI 02/03/21				20300020000					
01/27/2021	1.00		01/27/2021	167.08	0.00		-1.18	Sell to Close	
PETCO HEALTH AN	ID WELLNESS CO	OMPANY INC CL	ASS A COMMO	N STOCK CUSIP: 71	601V105 Symbol(Box 1a): \	NOOF			
01/14/2021	50.00	1,496.95	Various	1,474.59	0.00		22.36	Sale	
01/14/2021	99.00	2,914.09	01/14/2021	2,879.91	0.00		34.18	Sale	
04/01/2021	26.00	586.28	Various	748.25	0.00		-161.97	Sale	
Security Totals:		4,997.32		5,102.75			-105.43		
CALL UPST 05/21/2	21 115 UPSTART	HOLDINGS INC	CUSIP: Sym	bol(Box 1a): UPST2105	21C00115000				
04/22/2021	1.00		04/22/2021	950.07	0.00		-0.16	Sell to Close	
CALL ZM 01/29/21	1 480 ZOOM VIDE	EO COMMUNICA	TIONS INC CU	SIP: Symbol(Box 1a):	ZM210129C00480000				
01/15/2021	1.00	449 90	01/15/2021	430.08	0.00		19.82	Sell to Close	
51/15/2021	1.00		01/10/2021	-00.00	0.00		13.02		

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5MQ16480

(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
POSHMARK INC	CLASS A C	OMMON STOCK	CUSIP: 73739	W104 Symbol(Box 1a): F				
01/14/2021	15.00	1,464.85	Various	1,475.75	11.81	D	0.91	Sale
01/14/2021	16.00	1,597.23	Various	1,579.44	0.00		17.79	Sale
01/14/2021	19.00	1,916.09	Various	1,874.87	0.00		41.22	Sale
01/14/2021	29.00	2,872.19	01/14/2021	2,805.75	0.00		66.44	Sale
02/11/2021	20.00	1,480.75	Various	1,937.66	456.91	D	0.00	Sale
03/11/2021	10.00	576.98	Various	1,190.92	613.94	D	0.00	Sale
04/01/2021	10.00	428.78	Various	1,011.74	0.00		-582.96	Sale
04/01/2021	10.00	429.81	Various	1,096.39	0.00		-666.58	Sale
Security Totals:		10,766.68		12,972.52			-1,123.18	
CALL TSLA 04/23/2	1 735 TESLA IN	NC CUSIP: Sym	nbol(Box 1a): TS	SLA210423C00735000				
04/22/2021	1.00		04/22/2021	700.07	0.00		-0.16	Sell to Close
CALL ABNB 01/15/2	21 160 AIRBNB	INC CUSIP: Sy	mbol(Box 1a): A	ABNB210115C00160000				
01/07/2021	1.00		01/07/2021	190.08	0.00		-20.18	Sell to Close
CALL NIO 02/12/21	59.50 NIO INC A	NDS CUSIP: Sy	mbol(Box 1a): N	NIO210212C00059500				
02/01/2021	1.00		01/29/2021	400.08	0.00		4.82	Sell to Close
CALL XP 02/19/21	42 XP INC CLA	ASS A CUSIP: \$	Symbol(Box 1a)	: XP210219C00042000				
01/14/2021	1.00		01/13/2021	167.08	0.00		-0.18	Sell to Close
CALL BABA 03/26/2	21 232.50 ALIBAB	A GROUP HOLDIN	IG LIMITED C	CUSIP: Symbol(Box 1a)	BABA210326C00232500			
03/12/2021	1.00		03/12/2021	670.08	0.00		-0.18	Sell to Close
CALL X 04/30/21	23 UNITED STA	ATES STL CORP I	NEW CUSIP:	Symbol(Box 1a): X2104	30C00023000			
04/09/2021	1.00		04/08/2021	182.07	0.00		-12.16	Sell to Close
CALL MCD 03/26/2	21 220 MCDONA	ALDS CORP CUS	IP: Symbol(B	Box 1a): MCD210326C002	220000			
03/15/2021	1.00	274.90	03/15/2021	220.08	0.00		54.82	Sell to Close

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SHORT TERM		FIONS FOR	COVERE	D TAX LOTS			
Report on Form 8949,	, Part I with Box A c	hecked.					
Box 2: Type of Gain of	or Loss - Short-Term	n (unless indicated	as Ordinary in	Additional Notes Column)		
Box 5: Box Not Chec	ked (Covered Secur	ity)	Box 6: Gross	s (unless indicated as Net i	n Additional Notes Column)	Box 12: Basis	Reported to the IRS
The 1099-B data refe complete your return		umber is reporte	d to the IRS. T	The additional informatio	n not referenced by a Box N	lumber is not reported to	the IRS but may be helpful to
Description of prope	erty CUSIP Symb	ol(Box1a)					
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
03/15/2021	1.00	215.90	03/15/2021	205.08	0.00	10.82	Sell to Close
Security Totals:		490.80		425.16		65.64	
CALL LULU 03/26/2	1 322.50 LULULE	MON ATHLETICA	INC CUSIP:	Symbol(Box 1a): LULU	210326C00322500		
03/22/2021	1.00		03/22/2021	179.08	0.00	2.82	Sell to Close
PUT FDX 01/22/21	252.50 FEDEX C	ORP CUSIP: S	Symbol (Box 1a)): FDX210122P00252500			
01/21/2021	1.00		01/21/2021	110.08	0.00	-25.18	Sell to Close
CALL PLTR 02/19/2	21 35 PALANTIF	RIECHNOLOGIE		CUSIP: Symbol(Box 1a):	PL1R210219C00035000		
01/11/2021	1.00	89.90	01/11/2021	89.08	0.00	0.82	Sell to Close
CALL GILD 05/21/21	1 70 GILEAD SO	CIENCES INC CU	JSIP: Symbo	ol(Box 1a): GILD210521C	00070000		
03/29/2021	1.00	96 90	03/26/2021	107.08	0.00	-10.18	Sell to Close
CALL TSLA 01/29/2				SLA210129C00840000	0.00		
01/29/2021	1.00	151.90	01/29/2021	184.08	0.00	-32.18	Sell to Close
CALL PLTR 02/05/2	21 27.50 PALANTI	R TECHNOLOGI	ES INC CL A	CUSIP: Symbol(Box 1a)): PLTR210205C00027500		
01/22/2021	1.00	242.90	01/20/2021	235.26	0.00	7.64	Sell to Close
01/22/2021	1.00	385.90	01/21/2021	146.08	0.00	239.82	Sell to Close
01/22/2021	1.00	184.90	01/20/2021	230.08	45.18	D 0.00	Sell to Close
Security Totals:		813.70		611.42		247.46	
CALL BABA 01/15/2	21 237.50 ALIBABA	A GROUP HOLDIN	IG LIMITED	CUSIP: Symbol(Box 1a)	: BABA210115C00237500		
01/13/2021	1.00		01/13/2021	150.08	0.00	1.82	Sell to Close
CALL FSR 02/19/21	1 18 FISKER IN	C CL A CUSIP:	Symbol (Box *	1a): FSR210219C0001800	00		
01/29/2021	1.00	84.90	01/27/2021	181.08	96.18	D 0.00	Sell to Close

Proceeds from Broker and Barter Exchange Transactions

(continued)

APEX CLEARING

5MQ16480

* 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.

OMB No. 1545-0715

2021 Form 1099-B*

01/31/2022

APEX CLEARING	Proceeds from Broker and Barter Exchange Trans	actions 2021 Form 1099-B*	
5MQ16480	(continued)	01/31/2022	OMB No. 1545-0715
SHORT TERM TRANSACTION	S FOR COVERED TAX LOTS		
Report on Form 8949, Part I with Box A checked.			
Box 2: Type of Gain or Loss - Short-Term (unless	s 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 IF	RS
The 1099-B data referenced by a Box Number complete your return.	s reported to the IRS. The additional information not referenced by a Box Number	er is not reported to the IRS but may b	e helpful to

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
	Quantity				Disallowed (D)(Dox 1g)		Additional Notes
02/09/2021	1.00	43.90	01/28/2021	186.26	0.00	-142.36	Sell to Close
Security Totals:		128.80		367.34		-142.36	
CALL SKLZ 02/19/2	1 25 SKILLZ IN	IC CL A CUSIP:	Symbol(Box 1a	a): SKLZ210219C00025	000		
01/05/2021	1.00	199.90	01/05/2021	200.08	0.00	-0.18	Sell to Close
CALL MSFT 01/29/2	1 230 MICROS	OFT CORP CUS	P: Symbol(Bo	x 1a): MSFT210129C0	0230000		
01/21/2021	1.00	270.90	01/20/2021	265.08	0.00	5.82	Sell to Close
01/21/2021	1.00	299.90	01/21/2021	230.08	0.00	69.82	Sell to Close
01/25/2021	1.00	455.89	01/22/2021	450.08	0.00	5.81	Sell to Close
01/25/2021	1.00	492.89	01/25/2021	365.08	0.00	127.81	Sell to Close
01/25/2021	1.00	444.90	01/22/2021	359.08	0.00	85.82	Sell to Close
Security Totals:		1,964.48		1,669.40		295.08	
CALL AMZN 01/29/2	1 3490 AMAZO	N.COM INC CUS	IP: Symbol(Bo	x 1a): AMZN210129C0	3490000		
01/08/2021	1.00	2,259.86	01/07/2021	2,200.08	0.00	59.78	Sell to Close
01/13/2021	1.00	2,054.86	01/13/2021	1,950.08	0.00	104.78	Sell to Close
Security Totals:		4,314.72		4,150.16		164.56	
CALL MSFT 01/29/2	1 232.50 MICRO	SOFT CORP CU	SIP: Symbol(B	lox 1a): MSFT210129C	00232500		
01/25/2021	1.00	377.90	01/22/2021	337.08	0.00	40.82	Sell to Close
01/26/2021	1.00	564.89	01/26/2021	442.08	0.00	122.81	Sell to Close
01/27/2021	1.00	755.89	01/26/2021	540.08	0.00	215.81	Sell to Close
Security Totals:		1,698.68		1,319.24		379.44	

APEX CLEARING		Proc	eeds fror	n Broker and B	arter Exchange Tr	ansactions 202	1 Form 1099-B*	
MQ16480				(conti	nued)	01/3	31/2022	OMB No. 1545-0715
SHORT TERM T Report on Form 8949, Pau Box 2: Type of Gain or Lo Box 5: Box Not Checked The 1099-B data referen complete your return.	rt I with Box A ch oss - Short-Term (Covered Securit	ecked. (unless indicated a ty)	as Ordinary in A Box 6: Gross (Additional Notes Column) (unless indicated as Net i	n Additional Notes Column) n not referenced by a Box N		s Reported to the IF the IRS but may b	
Description of property	CUSIP Symbo	ol(Box 1a)						
Date Sold or Disposed (Box 1c) Qu	uantity	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(-)	Additi	onal Notes
CALL TSLA 05/14/21 7	00 TESLA INC	C CUSIP: Symb	ool(Box 1a): TS	LA210514C00700000				
05/10/2021 CALL OCGN 05/21/21	1.00 12.50 OCUGEN		05/10/2021 Symbol(Box 1a)	327.07 : OCGN210521C000125	0.00	-50.16	Sell to Close	
03/30/2021	1.00	49.90	03/30/2021	55.08	0.00	-5.18	Sell to Close	
PUT CHWY 02/19/21	65 CHEWY IN	IC CLASS A CUS	IP: Symbol(Box 1a): CHWY210219P	00065000			
01/15/2021 CALL CHGG 05/21/21	3.00 95 CHEGG IN		01/07/2021 1bol(Box 1a): C	105.24 2HGG210521C00095000	0.00	-87.50	Sell to Close	
05/03/2021	1.00		04/30/2021	310.07	0.00	-167.16	Sell to Close	
PUT MSFT 04/30/21 2	60 MICROSO	FT CORP CUSIP:	: Symbol(Bo	x 1a): MSFT210430P002	260000			
04/28/2021	1.00		04/27/2021	325.07	0.00	174.84	Sell to Close	
CALL XL 02/19/21 25	XL FLEET CO	JRPORATION CL	A CUSIP: 3	Symbol(Box 1a): XL2102	19C00025000			
01/29/2021	1.00	119.90	01/26/2021	200.08	80.18	D 0.00	Sell to Close	
01/29/2021	1.00	109.90	01/28/2021	185.26	0.00	-75.36	Sell to Close	
Security Totals:	MIC DOCC	229.80		385.34	00000	-75.36		
CALL MSFT 04/30/21 2	100 MICROSO		r: Symbol(Bo	ox 1a): MSFT210430C00	20000			
04/23/2021	1.00		04/22/2021	385.07	0.00	14.84	Sell to Close	
CALL CRM 05/21/21 2	00 SALESFOR	RCE.COM INC CU	JSIP: Symbo	ol(Box 1a): CRM2105210	00200000			
03/15/2021	1.00	1,789.90	••, ••,=•=•	1,800.08	0.00	-10.18	Sell to Close	
CALL FSLR 02/19/21 1	20 FIRST SOL	LAR INC CUSIP:	Symbol(Box	1a): FSLR210219C0012	20000			
01/11/2021 CALL AAPL 01/29/21 1			01/11/2021	300.08	0.00	24.82	Sell to Close	
			on bux raj. AA					
01/26/2021	1.00	522.89	01/25/2021	450.08	0.00	72.81	Sell to Close	

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5MQ16480				(cont	inued)	01/3	0MB No. 1545-0715
SHORT TERM	TDANGACT						
			COVENEL	JIAN LUIS			
Report on Form 8949, F					N		
		·		Additional Notes Column			
Box 5: Box Not Checke	·				in Additional Notes Column)		Reported to the IRS
complete your return.		umber is reported	a to the IRS. In	e additional informatio	on not referenced by a Box r	Number is not reported to	the IRS but may be helpful to
Description of propert	ty CUSIP Symb	ol(Box 1a)					
Date Sold or			Date		Accrued Market Discount		
Disposed		Proceeds	Acquired	Cost or Other	(M)(Box 1f) & Wash Sale Loss		
(Box 1c)	Quantity	(Box 1d)	(Box 1b)	Basis (Box 1e)	Disallowed (D)(Box 1g)	Gain or Loss(-)	Additional Notes
01/26/2021	1.00	491.89	01/26/2021	460.08	0.00	31.81	Sell to Close
Security Totals:		1,014.78		910.16		104.62	
CALL TRIT 03/19/21	10 TRITERRA	S INC CL A CUS	SIP: Symbol(B	ox 1a): TRIT210319C00	010000		
03/09/2021	1.00	14.90	01/27/2021	165.08	0.00	-150.18	Sell to Close
CALL BABA 04/30/21	232.50 ALIBABA	A GROUP HOLDIN	IG LIMITED C	USIP: Symbol(Box 1a)): BABA210430C00232500		
04/26/2021	1.00		04/26/2021	276.07	0.00	13.84	Sell to Close
CALL AAPL 01/29/21	142 APPLE IN	C CUSIP: Sym	nbol(Box 1a): AA	PL210129C00142000			
01/27/2021	1.00		01/26/2021	530.08	0.00	36.81	Sell to Close
CALL JPM 01/15/21	140 JPMORGA	N CHASE & CO	CUSIP: Symb	ool(Box 1a): JPM210115	C00140000		
01/11/2021	1.00		01/11/2021	115.08	0.00	-1.18	Sell to Close
CALL BABA 04/30/21	230 ALIBABA	GROUP HOLDING	G LIMITED CU	SIP: Symbol(Box 1a):	BABA210430C00230000		
04/12/2021	1.00		04/09/2021	470.07	0.00	729.84	Sell to Close
CALL ZM 01/15/21 3	365 ZOOM VID	EO COMMUNICA	TIONS INC CU	ISIP: Symbol(Box 1a):	ZM210115C00365000		
01/13/2021	1.00	549.89	01/13/2021	471.27	0.00	78.62	Sell to Close
01/13/2021	1.00	533.89	01/13/2021	630.08	96.19	D 0.00	Sell to Close
Security Totals:		1,083.78		1,101.35		78.62	
PUT GOOGL 04/30/21	1 2200 ALPHAE	BET INC CLASS A	CUSIP: Syr	mbol(Box 1a): GOOGL2	10430P02200000		
04/28/2021	1.00		04/27/2021	1,000.07	0.00	-900.16	Sell to Close
CALL WFC 01/08/21	33 WELLS FA	RGO & CO CUS	IP: Symbol(B	ox 1a): WFC210108C00	033000		
01/06/2021	2.00	79.82	01/06/2021	50.16	0.00	29.66	Sell to Close
01/06/2021	2.00	61.82	01/06/2021	50.16	0.00	11.66	Sell to Close

Security Totals:

141.64

41.32

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100.32

PEX CLEARING		Proc	eeds fror	n Broker and B	arter Exchange Tr	ansactions ²⁰²	1 Form 1099-B*	
MQ16480				(conti	nued)	01/3	31/2022	OMB No. 1545-0715
ox 5: Box Not Checked	rt I with Box A cho oss - Short-Term (Covered Securit	ecked. (unless indicated a y)	as Ordinary in A Box 6: Gross (Additional Notes Column) unless indicated as Net i	n Additional Notes Column) n not referenced by a Box N		Reported to the IF the IRS but may b	
escription of property	CUSIP Symbo	ol(Box 1a)			Accrued Market Discount			
	uantity	Proceeds (Box 1d)	Date Acquired (Box 1b)	Cost or Other Basis (Box 1e)	(M)(Box 1f) & Wash Sale Loss Disallowed (D)(Box 1g)	Gain or Loss(-)	Additi	onal Notes
ALL CVX 02/26/21 9	7 CHEVRON	CORPORATION	CUSIP: Sym	bol(Box 1a): CVX210226	SC00097000			
02/18/2021	1.00		02/17/2021	150.08	0.00	-47.18	Sell to Close	
ALL DKNG 01/29/21	55.50 DRAFTKI	NGS INC CL A C	USIP: Symb	ol(Box 1a): DKNG21012	9C00055500			
01/28/2021	1.00		01/28/2021	119.08	0.00	36.82	Sell to Close	
ALL TSLA 01/15/21 8	90 TESLA INC	C CUSIP: Symb	ool(Box 1a): TS	LA210115C00890000				
01/15/2021	1.00	0.00	01/15/2021	220.08	0.00	-220.08	Expiration	
ALL SPY 01/25/21 3	77 STANDARD	& POORS DEPC	SITORY CUS	SIP: Symbol(Box 1a): S	PY210125C00377000			
01/07/2021	1.00	569.89	01/07/2021	520.08	0.00	49.81	Sell to Close	
UT AMZN 02/05/21 3	235 AMAZON.	COM INC CUSIP	: Symbol(Bo	x 1a): AMZN210205P03	235000			
02/02/2021	1.00	2,249.86	02/02/2021	2,350.08	0.00	-100.22	Sell to Close	
				x 1a): AMZN210129P03				
01/29/2021	1.00	309.90	01/29/2021	300.08	0.00	9.82	Sell to Close	
ALL TSLA 04/23/21 8					5.00	3.62		
04/22/2021	1.00	159.91	04/21/2021	98.07	0.00	61.84	Sell to Close	
UT TSLA 05/07/21 6				_A210507P00640000	0.00	01.04		
05/05/2021	1.00	359 91	05/05/2021	413.07	0.00	-53.16	Sell to Close	
ALL BA 03/19/21 22				210319C00220000	0.00			
01/25/2021	1.00	771 00	01/25/2021	785.08	0.00	10 10	Sell to Close	
				x 1a): AMZN210129P03		-13.19		
04/00/0001	1.00	00405		001.00				
01/29/2021 ALL BA 04/16/21 25	1.00 7.50 BOEING CO		01/29/2021 bol(Box 1a): BA	291.08 A210416C00257500	0.00	13.82	Sell to Close	
						_		
04/09/2021	1.00	211 01	04/06/2021	530.07	318.16	D 0.00	Sell to Close	

5MQ16480				(conti	nued)		01/3	1/2022	OMB No. 1545-0715	
SHORT TERM	TRANSACT	IONS FOR	COVERED	D TAX LOTS						
Report on Form 8949, I	Part I with Box A ch	necked.								
Box 2: Type of Gain or	r Loss - Short-Term	(unless indicated	as Ordinary in A	Additional Notes Column)						
Box 5: Box Not Check	ed (Covered Securi	ty)	Box 6: Gross (unless indicated as Net i	n Additional Notes Column)		Box 12: Basis	Reported to the IRS		
The 1099-B data refer	enced by a Box Ni	umber is reporte	d to the IRS. Th	e additional informatio	n not referenced by a Box N	lumb	er is not reported to	the IRS but may be hel	pful to	
complete your return.		-			-		-	-		
Description of proper	ty CUSIP Symbo	ol(Box 1a)								
Date Sold or			Date		Accrued Market Discount (M)(Box 1f) &					
Disposed	.	Proceeds	Acquired	Cost or Other	Wash Sale Loss					
(Box 1c) CALL BA 04/16/21	Quantity		(Box 1b)	Basis (Box 1e) A210416C00257500	Disallowed (D) (Box 1g)		Gain or Loss(-)	Additional	Notes	
	207.00 DOLING O			1210410000237300						
04/12/2021	1.00	106.91	04/09/2021	538.23	431.32	D	0.00	Sell to Close		
04/13/2021	1.00	239.91	04/12/2021	566.39	0.00		-326.48	Sell to Close		
Security Totals:		558.73		1,634.69			-326.48			
PUT CVX 02/05/21	85 CHEVRON	CORPORATION	CUSIP: Sym	bol(Box 1a): CVX210205	P00085000					
01/29/2021	1.00	109.90	01/29/2021	160.08	50.18	D	0.00	Sell to Close		
01/29/2021	1.00	189.90	01/29/2021	174.26	0.00		15.64	Sell to Close		
Security Totals:		299.80		334.34			15.64			
CALL AAPL 01/29/21	145 APPLE INC	C CUSIP: Syn	nbol(Box 1a): AA	PL210129C00145000						
01/27/2021	1.00	399.90	01/26/2021	415.08	15.18	D	0.00	Sell to Close		
01/27/2021	1.00	450.90	01/27/2021	407.26	0.00		43.64	Sell to Close		
Security Totals:		850.80		822.34			43.64			
CALL NFLX 04/23/21	510 NETFLIX I	NC CUSIP: S	ymbol(Box 1a): N	NFLX210423C00510000						
04/22/2021	1.00	649.91	04/21/2021	470.07	0.00		179.84	Sell to Close		
CALL AMZN 03/19/21			- 1 1 -	ox 1a): AMZN210319C03						
00/40/0004	4.00		00/11/0001	0.400.65		-				
03/12/2021	1.00	1,189.90	03/11/2021	2,100.08	910.18	D	0.00	Sell to Close		
03/12/2021	1.00	1,174.90	03/12/2021	2,010.26	0.00		-835.36	Sell to Close		
Security Totals:		2,364.80		4,110.34			-835.36			
PUT SPY 01/29/21	370 STANDARD	0 & POORS DEP	OSITORY CUS	SIP: Symbol(Box 1a): S	PY210129P00370000					
01/29/2021	1.00	164.90	01/29/2021	135.08	0.00		29.82	Sell to Close		

Proceeds from Broker and Barter Exchange Transactions

* 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.

2021 Form 1099-B*

APEX CLEARING

110,	ceeds from	Broker and Ba	arter Exchange Tr	ansactions ²⁰²	1 Form 1099-B*
		(contin	ued)	01/3	1/2022 OMB No. 1545-0715
		ταγιότς			
	OOVENED				
	as Ordinary in Add	litional Notes Column)			
,		,	Additional Notes Column)	Box 12: Basis	Reported to the IRS
			,		•
Symbol (Box 1a)					
	_ .	A			
Proceeds		Cost or Other			
(Box 1d)	(Box 1b)	Basis (Box 1e)	Disallowed (D)(Box 1g)	Gain or Loss(-)	Additional Notes
VANCED MICRO DEVICE	ES INC CUSIP:	Symbol(Box 1a): AMD	210108C00095000		
0 78.90	01/07/2021	60.08	0.00	18.82	Sell to Close
TFLIX INC CUSIP: Sy	/mbol(Box 1a): NFL	_X210108C00510000			
0 414.90	01/06/2021	400.08	0.00	14.82	Sell to Close
ETFLIX INC CUSIP: Sy	/mbol(Box 1a): NFL	X210423C00505000			
0 319.91	04/22/2021	250.07	0.00	69.84	Sell to Close
VANCED MICRO DEVICE	ES INC CUSIP:	Symbol(Box 1a): AMD	210401C00076000		
0.90	03/30/2021	80.08	0.00	0.82	Sell to Close
-IBABA GROUP HOLDING	G LIMITED CUSIF	P: Symbol(Box 1a): E	3ABA210129C00240000		
0 1,099.88	01/13/2021	850.08	0.00	249.80	Sell to Close
FARBUCKS CORPORATI	ON CUSIP: Syr	nbol(Box 1a): SBUX21	0326C00110000		
0 79.90	03/19/2021	56.26	0.00	23.64	Sell to Close
59.90	03/19/2021	69.08	9.18	D 0.00	Sell to Close
139.80		125.34		23.64	
PLE INC CUSIP: Sym	ibol(Box 1a): AAPL	210129C00140000			
504.89	01/25/2021	450.08	0.00	54.81	Sell to Close
FINTECH HOLDINGS LI	MITED CUSIP:	Symbol(Box 1a): TIGF	210416C00030000		
		225.08	0.00	-5.18	Sell to Close
LANTIR TECHNOLOGIES	S INC CL A CUSII	P: Symbol(Box 1a): I	PLTR210205C00036000		
		350.08	0.00	-15.18	Sell to Close
EYOND MEAT INC CUS	IP: Symbol(Box 1	1a): BYND210129C00	136000		
) 419.90	01/22/2021	404.08	0.00	15.82	Sell to Close
	Box A checked. ort-Term (unless indicated a Box Number is reported by Symbol(Box 1a) Proceeds (Box 1d) VANCED MICRO DEVICE 0 78.90 ETFLIX INC CUSIP: Sy 0 414.90 ETFLIX INC CUSIP: Sy 0 319.91 VANCED MICRO DEVICE 0 80.90 IBABA GROUP HOLDING 0 1,099.88 TARBUCKS CORPORATI 0 79.90 0 59.90 139.80 PPLE INC CUSIP: Sym 0 504.89 FINTECH HOLDINGS LII 0 219.90 LIANTIR TECHNOLOGIES 0 334.90 EYOND MEAT INC CUS	Box A checked. ort-Term (unless indicated as Ordinary in Add d Security) Box 6: Gross (unl a Box Number is reported to the IRS. The a Proceeds Acquired (Box 1d) Date Proceeds Acquired (Box 1d) (Box 1b) VANCED MICRO DEVICES INC CUSIP: 0 78.90 0 14.90 0 414.90 0 19.91 0 319.91 0 319.91 0 319.91 0 100 0 80.90 0 319.91 0 104/22/2021 VANCED MICRO DEVICES INC CUSIP: 0 80.90 0 319.91 0 10/99.88 0 1,099.88 0 1,099.88 0 79.90 0 79.90 0 59.90 0 59.90 0 504.89 0 219.90 0 <td< td=""><td>SACTIONS FOR COVERED TAX LOTS Box A checked. ort-Term (unless indicated as Ordinary in Additional Notes Column) d Security) Box 6: Gross (unless indicated as Net in a Box Number is reported to the IRS. The additional information a Box Number is reported to the IRS. The additional information a Box Number is reported to the IRS. The additional information a Box Number is reported to the IRS. The additional information a Box Number is reported to the IRS. The additional information by Symbol(Box 1a) bate Proceeds Acquired Cost or Other Basis (Box 1e) VANCED MICRO DEVICES INC CUSIP: Symbol(Box 1a): AMD 0 78.90 01/07/2021 60.08 ETFLIX INC CUSIP: Symbol(Box 1a): NFLX210108C00510000 0 414.90 01/06/2021 400.08 ETFLIX INC CUSIP: Symbol(Box 1a): NFLX210108C00510000 0 414.90 01/06/2021 250.07 VANCED MICRO DEVICES INC CUSIP: Symbol(Box 1a): AMD 0 0 319.91 04/22/2021 250.07 VANCED MICRO DEVICES INC CUSIP: Symbol(Box 1a): AMD 0 0 0 0 0 0 0 0 0 0 0 0 0 0 0 0 0 0 0</td><td>Box A checked. ort. Term (unless indicated as Ordinary in Additional Notes Column) d Security) Box 6: Gross (unless indicated as Net in Additional Notes Column) a Box Number is reported to the IRS. The additional information not referenced by a Box N Acquired Corst or Other Wash Sale Loss (MORX 10) Proceeds Acquired Cost or Other Basis (Box 1e) Disallowed (D)(Box 1g) VANCED MICRO DEVICES INC CUSIP: Symbol(Box 1a): AMD210108C00095000 0 78.90 01/07/2021 60.08 0.00 0 78.90 01/07/2021 40.08 0.00 0 78.90 01/06/2021 400.08 0.00 0 414.90 01/06/2021 400.08 0.00 0 414.90 01/06/2021 20.07 0.00 0 319.91 04/22/2021 250.07 0.00 0 319.91 04/22/2021 250.07 0.00 0 30.90 03/30/2021 80.08 0.00 0 80.90 03/30/2021 80.08 0.00 <</td><td>SACTIONS FOR COVERED TAX LOTS Box A checked. ort-Term (unless indicated as Ordinary in Additional Notes Column) Box 12: Basis A checked. So the second of the second o</td></td<>	SACTIONS FOR COVERED TAX LOTS Box A checked. ort-Term (unless indicated as Ordinary in Additional Notes Column) d Security) Box 6: Gross (unless indicated as Net in a Box Number is reported to the IRS. The additional information a Box Number is reported to the IRS. The additional information a Box Number is reported to the IRS. The additional information a Box Number is reported to the IRS. The additional information a Box Number is reported to the IRS. The additional information by Symbol(Box 1a) bate Proceeds Acquired Cost or Other Basis (Box 1e) VANCED MICRO DEVICES INC CUSIP: Symbol(Box 1a): AMD 0 78.90 01/07/2021 60.08 ETFLIX INC CUSIP: Symbol(Box 1a): NFLX210108C00510000 0 414.90 01/06/2021 400.08 ETFLIX INC CUSIP: Symbol(Box 1a): NFLX210108C00510000 0 414.90 01/06/2021 250.07 VANCED MICRO DEVICES INC CUSIP: Symbol(Box 1a): AMD 0 0 319.91 04/22/2021 250.07 VANCED MICRO DEVICES INC CUSIP: Symbol(Box 1a): AMD 0 0 0 0 0 0 0 0 0 0 0 0 0 0 0 0 0 0 0	Box A checked. ort. Term (unless indicated as Ordinary in Additional Notes Column) d Security) Box 6: Gross (unless indicated as Net in Additional Notes Column) a Box Number is reported to the IRS. The additional information not referenced by a Box N Acquired Corst or Other Wash Sale Loss (MORX 10) Proceeds Acquired Cost or Other Basis (Box 1e) Disallowed (D)(Box 1g) VANCED MICRO DEVICES INC CUSIP: Symbol(Box 1a): AMD210108C00095000 0 78.90 01/07/2021 60.08 0.00 0 78.90 01/07/2021 40.08 0.00 0 78.90 01/06/2021 400.08 0.00 0 414.90 01/06/2021 400.08 0.00 0 414.90 01/06/2021 20.07 0.00 0 319.91 04/22/2021 250.07 0.00 0 319.91 04/22/2021 250.07 0.00 0 30.90 03/30/2021 80.08 0.00 0 80.90 03/30/2021 80.08 0.00 <	SACTIONS FOR COVERED TAX LOTS Box A checked. ort-Term (unless indicated as Ordinary in Additional Notes Column) Box 12: Basis A checked. So the second of the second o

APEX CLEARING		Proc	ceeds fror	n Broker and B	arter Exchange Tr	ansactions ²⁰²	1 Form 1099-B*
5MQ16480				(conti	inued)	01/3	0MB No. 1545-071
ox 5: Box Not Checke	Part I with Box A ch Loss - Short-Term ed (Covered Securit	ecked. (unless indicated y)	as Ordinary in A Box 6: Gross (Additional Notes Column (unless indicated as Net	in Additional Notes Column)		Reported to the IRS the IRS but may be helpful to
Description of propert	y CUSIP Symbo	ol(Box 1a)					
Date Sold or Disposed (Box 1c) CALL PLTR 01/29/21	Quantity 39 PALANTIR	Proceeds (Box 1d) TECHNOLOGIES	Date Acquired (Box 1b) S INC CL A CL	Cost or Other Basis (Box 1e) JSIP: Symbol(Box 1a):	Accrued Market Discount (M)(Box 1f) & Wash Sale Loss Disallowed (D)(Box 1g) PLTR210129C00039000	Gain or Loss(-)	Additional Notes
01/27/2021	1.00		01/27/2021	190.08	0.00	-1.18	Sell to Close
CALL TSLA 03/26/21 03/23/2021 CALL AAPL 04/30/21	1.00	1,199.90	03/23/2021	1,100.08 PL210430C00134000	0.00	99.82	Sell to Close
04/22/2021 ALL CRWD 04/01/21	1.00		04/21/2021 GS INC CL A C	320.07 CUSIP: Symbol(Box 1a	0.00 a): CRWD210401C00180000	9.84	Sell to Close
03/30/2021 ALL AAPL 04/30/21	1.00 133 APPLE INC		03/30/2021 bol(Box 1a): AA	150.08 PL210430C00133000	0.00	-0.18	Sell to Close
04/23/2021 ALL TSLA 05/14/21	1.00 750 TESLA INC		<u>04/22/2021</u> bol(Box 1a): TS	290.07 LA210514C00750000	0.00	14.84	Sell to Close
05/06/2021 CALL CHWY 04/01/21	1.00 80 CHEWY IN		05/06/2021 SIP: Symbol	276.07 (Box 1a): CHWY2104010	0.00	-35.16	Sell to Close
03/31/2021 ALL DBX 04/16/21	1.00 30 DROPBOX		<u>03/30/2021</u> ymbol(Box 1a):	330.08 DBX210416C00030000	0.00	794.82	Sell to Close
01/13/2021	1.00	94.90	01/12/2021	103.08	8.18	D 0.00	Sell to Close
01/25/2021	1.00	72.90	01/14/2021	98.26	25.36	D 0.00	Sell to Close
01/26/2021	1.00	68.90	01/14/2021	90.08	0.00	-21.18	Sell to Close
02/01/2021	1.00	85.90	01/14/2021	114.44	0.00	-28.54	Sell to Close
ecurity Totals:		322.60		405.86		-49.72	

5MQ 16480 (continued) 01/31/2022 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 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 he complete your return. Description of property CUSIP Symbol(Box 1a) Accrued Market Discount (M)(Box 1f) & Date Sold or Date Sold or	OMB No. 1545-07
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) 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 here complete your return. Description of property CUSIP Symbol(Box 1a) Date Sold or Date	
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 he complete your return. Description of property CUSIP Symbol(Box 1a) Date Sold or Date (M)(Box 1f) &	
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 he complete your return. Description of property CUSIP Symbol(Box 1a) Date Sold or Date (M)(Box 1f) &	
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 he complete your return. Description of property CUSIP Symbol(Box 1a) Date Sold or Date Date Date	
complete your return. Description of property CUSIP Symbol(Box 1a) Date Sold or Date (M)(Box 1f) &	
Complete your return. Description of property CUSIP Symbol(Box 1a) Date Sold or Date Date (M)(Box 1f) &	elpful to
Date Sold or Date Accrued Market Discount (M)(Box 1f) &	
Dispessed Descenter Other Wash Sale Loss	
Disposed Proceeds Acquired Cost or Other Wash Sale Loss (Box 1c) Quantity (Box 1d) (Box 1b) Basis (Box 1e) Disallowed (D)(Box 1g) Gain or Loss(-) Additional	l Notes
PUT AMZN 04/01/21 3045 AMAZON.COM INC CUSIP: Symbol(Box 1a): AMZN210401P03045000	moteo
03/29/2021 1.00 1,999.89 03/29/2021 2,900.08 900.19 D 0.00 Sell to Close	
03/30/2021 1.00 2.649.89 03/30/2021 3.200.46 550.57 D 0.00 Sell to Close	

2,400.84

2,850.65

14,252.30

176.08

52.16

52.16

104.32

2,300.08

2.600.08

2.700.08

1,950.27

9,550.51

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2021 Form 1099-B*

-400.95

-400.95

0.00

-5.18

-8.34

-12.34

-20.68

0.00

149.81

99.81

294.62

544.24

Sell to Close

Drak

APEX CLEARING

03/30/2021

03/30/2021

01/20/2021

01/20/2021

01/21/2021

03/30/2021

03/30/2021

03/30/2021

03/30/2021

Security Totals:

Security Totals:

CALL BA 01/29/21 230

CALL CCL 01/22/21 21

Security Totals:

1.00

1.00

1.00

2.00

2.00

1.00

1.00

1.00

1.00

1,999.89 03/30/2021

2,449.89 03/30/2021

BOEING CO | CUSIP: | Symbol(Box 1a): BA210129C00230000

170.90 01/20/2021

43.82 01/20/2021

39.82 01/20/2021

2,099.89 03/30/2021

2,749.89 03/30/2021

2,799.89 03/30/2021

2,244.89 03/30/2021

83.64

PUT AMZN 04/01/21 3040 AMAZON.COM INC | CUSIP: | Symbol(Box 1a): AMZN210401P03040000

9,894.56

CARNIVAL CORP | CUSIP: | Symbol(Box 1a): CCL210122C00021000

11,299.45

5MQ16480				(continu	ed)	01/3	1/2022 OMB No. 1545-0715
SHORT TERM	TRANSACT		COVERE	σταγιστς			
Report on Form 8949,			OOVENE				
1 ,			l oo Ordinory in	Additional Notes Column)			
Box 5: Box Not Check		•		(unless indicated as Net in A	dditional Natao Column)	Box 12: Pooio	Reported to the IRS
	,			·	,		the IRS but may be helpful to
complete your return							
Description of prope	erty CUSIP Symbo	ol(Box 1a)					
Data Cald ar			Data	Ac	crued Market Discount		
Date Sold or Disposed		Proceeds	Date Acquired	Cost or Other	(M)(Box 1f) & Wash Sale Loss		
(Box 1c)	Quantity	(Box 1d)	(Box 1b)	Basis (Box 1e)	Disallowed (D) (Box 1g)	Gain or Loss(-)	Additional Notes
CALL SQQQ 01/15/2	21 16 PROSHAR	ES ULTRAPRO	SHORT QQQ	CUSIP: Symbol(Box 1a):	SQQQ210115C00016000		
01/04/2021	1.00	102.90	12/28/2020	80.08	0.00	22.82	Sell to Close
01/06/2021	1.00	80.90	12/28/2020	80.08	0.00	0.82	Sell to Close
Security Totals:		183.80		160.16		23.64	
PUT QQQ 01/15/21	309 INVESCOC	QQ TRUST SEF	RIES 1 CUSIP	: Symbol(Box 1a): QQQ21	0115P00309000		
01/15/2021	1.00	0.00	01/07/2021	250.08	0.00	-250.08	Expiration
PUT AMZN 04/16/2	1 3300 AMAZON.	COM INC CUSI	P: Symbol(B	ox 1a): AMZN210416P0330	0000		
04/12/2021	1.00	1,399.91	04/12/2021	1,400.07	0.00	-0.16	Sell to Close
04/12/2021	1.00	1,499.91	04/12/2021	1,400.07	0.00	99.84	Sell to Close
Security Totals:		2,899.82		2,800.14		99.68	
CALL NFLX 01/15/2	1 520 NETFLIX I	NC CUSIP: S	ymbol(Box 1a):	NFLX210115C00520000			
01/11/2021	1.00	394.90	01/11/2021	400.08	5.18	D 0.00	Sell to Close
01/13/2021	1.00	209.90	01/13/2021	195.26	0.00	14.64	Sell to Close
Security Totals:		604.80		595.34		14.64	
CALL TLRY 03/19/2	1 30 TILRAY INC	C CUSIP: Syn	nbol(Box 1a): T	LRY210319C00030000			
03/12/2021	1.00		03/12/2021	260.08	0.00	0.82	Sell to Close
CALL PLTR 01/29/2	1 33 PALANTIR	TECHNOLOGIE	S INC CL A C	USIP: Symbol(Box 1a): Pl	TR210129C00033000		
01/25/2021	1.00		01/22/2021	210.08	0.00	186.82	Sell to Close
CALL TSLA 02/19/2	1 790 TESLA INC	CUSIP: Syn	nbol(Box 1a): T	SLA210219C00790000			
02/17/2021	1.00		02/17/2021	1,500.08	0.00	-250.20	Sell to Close
CALL BABA 04/23/2	1 235 ALIBABA G	ROUP HOLDIN	G LIMITED C	USIP: Symbol(Box 1a): BA	BA210423C00235000		
04/19/2021	1.00	274.91	04/19/2021	275.07	0.00	-0.16	Sell to Close

Proceeds from Broker and Barter Exchange Transactions

APEX CLEARING

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2021 Form 1099-B*

APEX CLEARING		Proc	eeds fror	n Broker and B	arter Exchange Tr	ansactions 202	1 Form 1099-B*	
5MQ16480				(cont	inued)	01/3	31/2022	OMB No. 1545-0715
Box 5: Box Not Check	Part I with Box A cho or Loss - Short-Term ked (Covered Securit renced by a Box Nu	ecked. (unless indicated a y)	as Ordinary in A Box 6: Gross (Additional Notes Column (unless indicated as Net) in Additional Notes Column) on not referenced by a Box I		Reported to the IRS the IRS but may be	helpful to
Description of prope	erty CUSIP Symbo	ol(Box 1a)						
Date Sold or Disposed (Box 1c) PUT TSLA 02/19/21		Proceeds (Box 1d)	Date Acquired (Box 1b)	Cost or Other Basis (Box 1e) LA210219P00770000	Accrued Market Discount (M)(Box 1f) & Wash Sale Loss Disallowed (D)(Box 1g)	Gain or Loss(-)	Addition	al Notes
			X Y					
02/17/2021 CALL V 01/22/21	1.00 215 VISA INC CL	1,765.87 JSIP: Symbol(B	02/17/2021 lox 1a): V21012	1,645.08 22C00215000	0.00	120.79	Sell to Close	
01/20/2021	1.00	9.90	01/13/2021	149.08	139.18	D 0.00	Sell to Close	
01/22/2021	1.00	0.00	01/14/2021	223.26	0.00	-223.26	Expiration	
ecurity Totals:		9.90		372.34		-223.26		
ALL ORCL 03/19/2	1 68 ORACLE C	ORP CUSIP:	Symbol(Box 1a)): ORCL210319C00068	000			
03/16/2021	1.00	29.90	03/16/2021	35.08	0.00	-5.18	Sell to Close	
03/16/2021	1.00	29.90	03/16/2021	35.08	0.00	-5.18	Sell to Close	
ecurity Totals:		59.80		70.16		-10.36		
CALL XL 03/19/21	25 XL FLEET CO	ORPORATION CL	A CUSIP:	Symbol(Box 1a): XL2103	319C00025000			
01/29/2021	1.00	244.90	01/28/2021	230.08	0.00	14.82	Sell to Close	
CALL ED 02/19/21	75 CONSOLIDA	TED EDISON INC	C CUSIP: S	ymbol(Box 1a): ED2102	19C00075000			
01/27/2021	1.00	89 90	01/27/2021	90.08	0.00	-0.18	Sell to Close	
CALL BABA 04/01/2					BABA210401C00230000			
02/00/0001	1.00	260.00	02/00/0001	200.00	0.00	10.10		
03/29/2021 CALL TSLA 01/15/2	1.00 1 855 TESLA INC		<u>03/29/2021</u> col(Box 1a): TS	380.08 LA210115C00855000	0.00	-10.18	Sell to Close	
01/14/2021	1.00	,	01/14/2021	1,100.08	0.00	46.80	Sell to Close	
CALL MSFT 11/05/2	1 315 MICKUSU	FI CORP CUSIF	Symbol(BC	ox 1a): MSFT211105C00	0000			
10/27/2021	1.00		10/26/2021	290.04	0.00	218.90	Sell to Close	
CALL NIO 02/26/21	70 NIO INC ADS	S CUSIP: Syml	bol(Box 1a): NI	O210226C00070000				
02/02/2021	1.00	189.90	02/01/2021	200.08	0.00	-10.18	Sell to Close	
02/02/2021	1.00	189.90	02/01/2021	200.08	0.00	-10.18	Sell to Close	

APEX CLEARING

APEX CLEARING		Proceeds fro	om Broker and Ba	arter Exchange Tran	sactions 202	1 Form 1099-B*	
MQ16480			(contir	nued)	01/3	0MB No. 1545-0	0715
	M TRANSACT	IONS FOR COVERI	ΕΠ ΤΔΧΙΟΤS				
	9, Part I with Box A ch						
•		(unless indicated as Ordinary in	n Additional Notes Column)				
Sox 5: Box Not Cheo	cked (Covered Securit	y) Box 6: Gros	s (unless indicated as Net ir	Additional Notes Column)	Box 12: Basis	Reported to the IRS	
he 1099-B data reference in the second se		mber is reported to the IRS.	The additional information	not referenced by a Box Num	ber is not reported to	the IRS but may be helpful to	
escription of prop	erty CUSIP Symbo	bl(Box1a)					
Date Sold or Disposed (Box 1c)	Quantity	Date Proceeds Acquired (Box 1d) (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	
ALL DIS 03/19/21	1 200 WALT DISN	EY CO CUSIP: Symbol(Bo	x 1a): DIS210319C0020000	· / · - /			
03/09/2021	1.00	277.90 03/09/2021	360.08	0.00	-82.18	Sell to Close	
ALL INTC 01/15/2	21 54 INTEL COR	P CUSIP: Symbol(Box 1a):	INTC210115C00054000				
01/08/2021	1.00	32.90 01/07/2021	47.08	0.00	-14.18	Sell to Close	
UT ORCL 03/19/2	21 68 ORACLE C	ORP CUSIP: Symbol(Box 1	a): ORCL210319P0006800	0			
03/16/2021	1.00	125.90 03/16/2021	130.08	0.00	-4.18	Sell to Close	
ALL AMZN 02/19/	21 3260 AMAZON	COM INC CUSIP: Symbol	(Box 1a): AMZN210219C03	260000			
02/12/2021	1.00	3,299.84 02/12/2021	3.200.08	0.00	99.76	Sell to Close	
PUT SPY 01/15/2	1 375 STANDARD	& POORS DEPOSITORY CI	USIP: Symbol(Box 1a): SI	PY210115P00375000			
01/11/2021	1.00	200.90 01/11/2021	199.08	0.00	1.82	Sell to Close	
CALL BB 02/19/21		RY LIMITED CUSIP: Symbo					
01/26/2021	1.00	359.90 01/26/2021	337.08	0.00	22.82	Sell to Close	
CALL VXX 01/29/2		B S&P 500 VIX SHORT CUS					
01/06/2021	1.00	144.90 01/06/2021	115.08	0.00	29.82	Sell to Close	
CALL CMG 04/16/2		E MEXICAN GRILL INC CUS					
04/15/2021	1.00	529.91 04/15/2021	550.07	0.00	-20.16	Sell to Close	
CALL VXX 01/29/2		R B S&P 500 VIX SHORT CU					
01/29/2021	1.00	94.90 01/28/2021	55.08	0.00	39.82	Sell to Close	
ALL INTC 02/19/2		P CUSIP: Symbol(Box 1a):					
01/25/2021	1.00	179.90 01/25/2021	160.08	0.00	19.82	Sell to Close	
ALL TSLA 03/12/2		C CUSIP: Symbol(Box 1a):		0.00	10.02		
03/08/2021	1.00	574.90 03/08/2021	500.08	0.00	74.82	Sell to Close	
00/00/2021	1.00	374.30 03/06/2021	000.00	0.00	/ 4.02		

		Proc	ceeds from	n Broker and Barte	r Exchange in	ansactions -	21101111035-D	
5MQ16480				(continued)	1	01	/31/2022	OMB No. 1545-0715
SHORT TERM	TRANSACT	IONS FOR	COVERED	TAX LOTS				
Report on Form 8949, F	Part I with Box A ch	necked.						
1 /			as Ordinary in A	dditional Notes Column)				
Box 5: Box Not Checke		·	2	unless indicated as Net in Add	itional Notes Column)	Box 12: Bas	s Reported to the	RS
	,	<i>,</i>	· · · · · ·	e additional information not	,		•	
Description of proper	ty CUSIP Symb	ol(Box 1a)						
Date Sold or Disposed (Box 1c)	Quantity	Proceeds (Box 1d)	Date Acquired (Box 1b)	Cost or Other	ued Market Discount (M)(Box 1f) & Wash Sale Loss sallowed (D)(Box 1g)	Gain or Loss(-)	Addi	tional Notes
PUT SPY 01/29/21	380 STANDARE	0 & POORS DEPC	DSITORY CUS	IP: Symbol(Box 1a): SPY21	0129P00380000			
01/28/2021	1.00		01/28/2021	222.08	0.00	-63.18	Sell to Close	
CALL AMZN 04/23/21	3460 AMAZON	I.COM INC CUSI	IP: Symbol(Bo	x 1a): AMZN210423C0346000	00			
04/20/2021	2.00	809.82	Various	1,800.14	595.16	D -395.16	Sell to Close	
04/20/2021	1.00	399.91	04/20/2021	1,189.23	0.00	-789.32	Sell to Close	
Security Totals:		1,209.73		2,989.37		-1,184.48		
PUT AMZN 04/01/21		1	1, 5, (x1a): AMZN210401P0312000				
04/01/2021	3.00	0.00	Various	740.21	0.00	-740.21	Expiration	
CALL RIOT 03/12/21	63 RIOT BLOC	CKCHAIN INC CU	JSIP: Symbol	(Box 1a): RIOT210312C00063	3000			
03/11/2021	1.00	179.90	03/11/2021	186.08	0.00	-6.18	Sell to Close	
PUT AMZN 04/01/21	3130 AMAZON	COM INC CUSI	P: Symbol(Bo	x 1a): AMZN210401P0313000	0			
04/01/2021	1.00	1,499.91	04/01/2021	1,000.07	0.00	499.84	Sell to Close	
04/01/2021	1.00	1,249.91	04/01/2021	1,153.07	0.00	96.84	Sell to Close	
Security Totals:		2,749.82		2,153.14		596.68		
CALL ZM 03/05/21	425 ZOOM VIDE	EO COMMUNICA	TIONS INC CU	SIP: Symbol(Box 1a): ZM21	0305C00425000			
02/18/2021	1.00	3 000 94	02/17/2021	3,000.08	0.00	00.76	Sell to Close	
***ZOMEDICA CORP		3,099.84 SIP: 98980M109			0.00			
01/25/2021	500.00	510.47	01/25/2021	580.00	0.00	-69.53	Sale	
02/02/2021	250.00	277.46	01/25/2021	290.00	0.00	-12.54	Sale	
02/02/2021	250.00	274.96	01/25/2021	290.00	0.00	-15.04	Sale	
Security Totals:		1,062.89		1,160.00		-97.11		

APEX CLEARING		Pro	ceeds fron	n Broker and B	arter Exchange Tr	ansa	ctions ²⁰²	1 Form 1099-B*	
5MQ16480				(conti	inued)		01/3	31/2022	OMB No. 1545-0715
SHORT TERM									
Report on Form 8949.			COVEREL	TAX LUIS					
•			as Ordinary in A	dditional Notes Column)				
Box 5: Box Not Chec		· ·	2		, in Additional Notes Column)		Box 12. Basis	Reported to the I	BS
	(<i>,</i>	•		n not referenced by a Box N	Number			
complete your return									
Description of prope	erty CUSIP Symbo	ol(Box 1a)							
Description of prope					Accrued Market Discount				
Date Sold or			Date		(M)(Box 1f) &				
Disposed (Box 1c)	Quantity	Proceeds (Box 1d)	Acquired (Box 1b)	Cost or Other Basis (Box 1e)	Wash Sale Loss Disallowed (D)(Box 1g)		Gain or Loss(-)	Δddi	ional Notes
CALL TDOC 01/29/2				ol(Box 1a): TDOC21012				Addi	
01/00/0001	1.00	400.00	01/00/0001	405.00	0.00		04.01		
01/22/2021 ***YALLA GROUP LIN	1.00 MITED AMERIO		_01/22/2021 Y SHARES ECH	465.08 I REPSTG ONE CLA C	0.00 RDINARY SHARE CUSIP:	98459U	34.81 103 Symbol(Box 1	Sell to Close a): YALA	
01/25/2021	50.00		01/20/2021	890.00	0.00		74.96	Sale	
CALL IPOE 01/15/21	I 20 SOCIAL CF	YTL HEDOSOPHI	A HLDNGS CU	SIP: Symbol(Box 1a):	IPOE210115C00020000				
01/11/2021	1.00	109.90	01/11/2021	110.08	0.00		-0.18	Sell to Close	
CALL AMZN 04/23/2				x 1a): AMZN210423C03					
04/19/2021	1.00	3,299.90	04/19/2021	3,000.07	0.00		299.83	Sell to Close	
04/19/2021	1.00	3,199.90	04/16/2021	2,150.07	0.00		1,049.83	Sell to Close	
- , -, -		-,		,			,		
04/19/2021	1.00	1,149.91	04/19/2021	2,700.07	1550.16	D	0.00	Sell to Close	
04/10/0001	1.00	2 0 4 0 0 0	04/10/0001	2 000 07	0.00		40.00	Sell to Close	
04/19/2021	1.00	3,049.90	04/19/2021	3,000.07	0.00		49.83	Sell to Close	
04/20/2021	1.00	1,199.91	04/19/2021	3,850.39	2650.48	D	0.00	Sell to Close	
04/20/2021	2.00	2,599.81	Various	5,350.30	2750.49	D	0.00	Sell to Close	
04/20/2021	2.00	2,599.81	Various	5,150.79	0.00		-2,550.98	Sell to Close	
Security Totals:		17,099.14		25,201.76			-1,151.49		
PUT AMZN 04/01/2	1 3100 AMAZON	.COM INC CUSI	P: Symbol(Box	<1a): AMZN210401P03	100000				
03/31/2021	1.00	1 649 90	03/31/2021	1,500.08	0.00		149.82	Sell to Close	
00,01,2021		1,010.00	00,01,2021	1,000.00	0.00		1.0.02		
03/31/2021	1.00	1,849.90	03/31/2021	1,700.08	0.00		149.82	Sell to Close	
00/01/0001	1.00	1 740.00	02/21/0201	1 000 00	0.00		1 40 00	Coll to Olass	
03/31/2021	1.00		03/31/2021	1,600.08	0.00		149.82	Sell to Close	
03/31/2021	3.00	3,899.73	Various	3,885.24	0.00		14.49	Sell to Close	

APEX CLEARING		Proc	ceeds from	Broker and E	Barter Exchange Tr	ansa	ctions 202	1 Form 1099-B*	
5MQ16480				(cont	tinued)		01/3	31/2022	OMB No. 1545-0715
Report on Form 8949 Box 2: Type of Gain Box 5: Box Not Chec		ecked. (unless indicated ty)	as Ordinary in Ado Box 6: Gross (un	litional Notes Columr less indicated as Net	n) in Additional Notes Column) on not referenced by a Box N	Number		Reported to the II	
Description of prope	erty CUSIP Symbo	ol(Box1a)			Accrued Market Discount				
Date Sold or Disposed (Box 1c)	Quantity	Proceeds (Box 1d)	Date Acquired (Box 1b)	Cost or Other Basis (Box 1e)	(M)(Box 1f) & Wash Sale Loss Disallowed (D)(Box 1g)		Gain or Loss(-)	Addit	ional Notes
CALL ORGO 02/19/	/21 12.50 ORGANC	DGENESIS HOLD	INGS INC CUSIF	P: Symbol(Box 1a):	ORGO210219C00012500				
02/01/2021 CALL BABA 01/29/2	1.00 21 245 ALIBABA (01/20/2021 G LIMITED CUSI	90.08 P: Symbol(Box 1a)	0.00 : BABA210129C00245000		-35.18	Sell to Close	
01/08/2021	1.00		01/08/2021	660.08	0.00		24.81	Sell to Close	
ALL WFC 01/15/2	21 35 WELLS FAR	•	IP: Symbol(Box	1a): WFC210115C00					
01/07/2021	3.00	152.74	Various	194.28	42.36	D	0.82	Sell to Close	
01/07/2021	2.00	123.82	08/20/2020	74.18	0.00		49.64	Sell to Close	
01/12/2021	2.00	99.82	Various	82.35	0.00		17.47	Sell to Close	
01/13/2021	3.00	134.74	Various	115.42	1.35	D	20.67	Sell to Close	
01/14/2021	1.00	54.90	01/13/2021	35.08	0.00		19.82	Sell to Close	
01/14/2021	2.00	101.82	Various	80.51	0.00		21.31	Sell to Close	
01/15/2021	1.00	0.00	01/13/2021	35.08	0.00		-35.08	Expiration	
ecurity Totals:		667.84		616.90			94.65		
ALL BABA 01/29/2	21 250 ALIBABA (GROUP HOLDING	G LIMITED CUSI	P: Symbol(Box 1a)	: BABA210129C00250000				
01/20/2021	1.00	1,899.86	01/15/2021	500.08	0.00		1,399.78	Sell to Close	
CALL RKT 02/12/2	1 26 ROCKET CO	OMPANIES INC (CLA CUSIP: S	ymbol(Box 1a): RKT2	210212C00026000				
01/27/2021	1.00		01/27/2021	143.08	0.00		24.82	Sell to Close	
PUT BIDU 03/12/21	1 240 BAIDU INC	CUSIP: Symb	ol(Box 1a): BIDU2	10312P00240000					
03/10/2021	1.00		03/10/2021	345.08	0.00		-90.18	Sell to Close	
ALL NVDA 03/19/2	21 600 NVIDIA CO	ORP CUSIP: S	Symbol(Box 1a): N	VDA210319C006000	000				

* 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		Proc	eeds fron	n Broker and Ba	arter Exchange Tr	ansactions ²⁰²	1 Form 1099-B*	
MQ16480				(contin	nued)	01/3	31/2022	OMB No. 1545-0715
ox 5: Box Not Check	Part I with Box A ch r Loss - Short-Term ed (Covered Securi	necked. (unless indicated a ty)	is Ordinary in A Box 6: Gross (dditional Notes Column) unless indicated as Net ir	n Additional Notes Column)		Reported to the IRS	
omplete your return.		umber is reported	to the IRS. I h	e additional information	not referenced by a Box N	Number is not reported to	the IRS but may be	
Description of proper	ty CUSIP Symbo	ol(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(-)	Additio	nal Notes
PUT NVDA 03/26/21	480 NVIDIA CC	DRP CUSIP: Sy	mbol(Box 1a):	NVDA210326P00480000)			
03/25/2021	1.00		03/25/2021	190.08	0.00	-15.18	Sell to Close	
CALL AMZN 01/15/21	1 3250 AMAZON	I.COM INC CUSIF	P: Symbol(Bo	ox 1a): AMZN210115C03	250000			
01/11/2021	1.00	1,299.88 (01/11/2021	1,200.08	0.00	99.80	Sell to Close	
01/13/2021	1.00	809.89	01/13/2021	800.08	0.00	9.81	Sell to Close	
Security Totals:		2,109.77		2,000.16		109.61		
PUT AMZN 05/07/21	3450 AMAZON	.COM INC CUSIP	: Symbol(Bo	x 1a): AMZN210507P034	50000			
05/03/2021	1.00	3,599.90 (05/03/2021	3,500.07	0.00	99.83	Sell to Close	
CALL TSLA 05/07/21	700 TESLA INC	C CUSIP: Symb	ol(Box 1a): TS	LA210507C00700000				
05/03/2021 CALL AMZN 05/07/21	1.00 1 3500 AMAZON	1	05/03/2021 P: Symbol(Bo	1,100.07 x 1a): AMZN210507C03	0.00	-16.16	Sell to Close	
05/03/2021	1.00	3.626.90 (1/20/2021	3.300.07	0.00	326.83	Sell to Close	
CALL AYRO 03/19/21				RO210319C00010000	0.00	320.83		
02/10/2021	1.00	110.00 (02/01/2021	113.08	0.00	6.82	Sell to Close	
PUT AMZN 03/26/21				x 1a): AMZN210326P030		0.02		
03/26/2021	1.00	799.90 (03/26/2021	900.08	100.18	D 0.00	Sell to Close	
03/26/2021	1.00	799.90 (03/26/2021	700.26	0.00	99.64	Sell to Close	
Security Totals:		1,599.80		1,600.34		99.64		
CALL NFLX 03/26/21	530 NETFLIX I	NC CUSIP: Syr	nbol(Box 1a): N	VFLX210326C00530000				
03/22/2021	1.00	409.90 (03/22/2021	365.08	0.00	44.82	Sell to Close	
PUT AMZN 03/26/21	3040 AMAZON	.COM INC CUSIP	: Symbol(Bo	x 1a): AMZN210326P030	40000			
03/25/2021	1.00	1,649.90 (03/25/2021	1,550.08	0.00	99 82	Sell to Close	
00/20/2021	1.00	1,049.90	JJ/2J/2U21	0.000	0.00	99.02		

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APEX CLEARING		Pro	ceeds fro	om Broker and E	Barter Exchange Tr	ansactions ²⁰²	1 Form 1099-B*
5MQ16480				(cont	tinued)	01/3	0MB No. 1545-0715
		TIONS FOR	COVERE	ED TAX LOTS			
Report on Form 8949							
Box 2: Type of Gain	or Loss - Short-Tern	n (unless indicated	l as Ordinary ir	n Additional Notes Columr	ו)		
Box 5: Box Not Chec	ked (Covered Secur	ity)	Box 6: Gros	s (unless indicated as Net	in Additional Notes Column)	Box 12: Basis	Reported to the IRS
The 1099-B data refe complete your retur		lumber is reporte	d to the IRS.	The additional information	on not referenced by a Box N	Number is not reported to	the IRS but may be helpful to
Description of prope	erty CUSIP Symb	ool(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 ZM 01/22/21	390 ZOOM VID	EO COMMUNICA	TIONS INC C	CUSIP: Symbol(Box 1a)	: ZM210122C00390000		
01/13/2021	1.00	1,029.88	01/13/2021	1,050.08	0.00	-20.20	Sell to Close
PUT SNOW 01/08/2	21 282.50 SNOWF	LAKE INC CLASS	SA CUSIP:	Symbol(Box 1a): SNOW	210108P00282500		
01/07/2021	1.00	469.89	01/07/2021	360.08	0.00	109.81	Sell to Close
CALL AMD 04/23/2		D MICRO DEVIC	ES INC CUS	IP: Symbol(Box 1a): AM			
04/16/2021	1.00	69.91	04/16/2021	71.08	0.00	-1.17	Sell to Close
04/16/2021	1.00	68.91	04/16/2021	71.08	0.00	-2.17	Sell to Close
Security Totals:		138.82		142.16		-3.34	
CALL AMZN 04/23/2	21 3400 AMAZOI	N.COM INC CUS	SIP: Symbol(Box 1a): AMZN210423C0	3400000		
04/14/2021	1.00	2,599.90	04/14/2021	2,400.07	0.00	199.83	Sell to Close
04/14/2021	1.00	2,414.90	04/14/2021	2,400.07	0.00	14.83	Sell to Close
04/16/2021	1.00	3,099.90	04/16/2021	3,000.07	0.00	99.83	Sell to Close
04/20/2021	1.00	1,149.91	04/20/2021	2,610.87	1460.96	D 0.00	Sell to Close
04/20/2021	1.00	1,009.91	04/20/2021	2,620.55	1610.64	D 0.00	Sell to Close
04/20/2021	1.00	999.91	04/20/2021	2,610.71	1610.8	D 0.00	Sell to Close
04/20/2021	1.00	1,149.91	04/20/2021	2,750.39	1600.48	D 0.00	Sell to Close
04/20/2021	1.00	2,399.90	04/20/2021	2,300.07	0.00	99.83	Sell to Close
04/20/2021	1.00	1,149.91	04/20/2021	2,100.07	950.16	D 0.00	Sell to Close
04/20/2021	1.00	1,049.91	04/20/2021	2,700.23	1650.32	D 0.00	Sell to Close

APEX CLEARING		Pro	ceeds fror	n Broker and Ba	rter Exchange Tr	ans	actions 202	1 Form 1099-B*	
5MQ16480				(contine	ued)		01/3	31/2022	OMB No. 1545-0715
Report on Form 894 Box 2: Type of Gair Box 5: Box Not Che	ecked (Covered Securit ferenced by a Box Nu	ecked. (unless indicated ty)	as Ordinary in A Box 6: Gross (dditional Notes Column) unless indicated as Net in	Additional Notes Column) not referenced by a Box N	lumbe		Reported to the the IRS but may	
Description of prop	perty CUSIP Symbo	ol(Box 1a)							
Date Sold or Disposed (Box 1c)	Quantity 3/21 3400 AMAZON	Proceeds (Box 1d)	Date Acquired (Box 1b)	A Cost or Other Basis (Box 1e) (x 1a): AMZN210423C034	ccrued Market Discount (M)(Box 1f) & Wash Sale Loss Disallowed (D)(Box 1g)		Gain or Loss(-)	Addi	tional Notes
04/21/2021	1.00	, i	04/20/2021	2,461.03	1761.12	D	0.00	Sell to Close	
04/22/2021	1.00	309.91		2,161.19	0.00	_	-1,851.28	Sell to Close	
	1.00	18.033.88	04/22/2021	30.115.32	0.00		· · ·	Sell to 0103e	
Security Totals: PUT NFLX 04/23/2	21 540 NETFLIX IN	-,	vmbol(Box 1a): N	FLX210423P00540000			-1,436.96		
04/21/2021	1.00	3,499.90		1,320.07	0.00		2,179.83	Sell to Close	
CALL DIS 02/26/2	21 205 WALT DISN	IEY CO CUSIP:	Symbol(Box 1	a): DIS210226C00205000)				
02/02/2021	1.00	109.90	02/01/2021	89.08	0.00		20.82	Sell to Close	
CALL AMZN 05/07	7/21 3350 AMAZON	.COM INC CUS	IP: Symbol(Bo	ox 1a): AMZN210507C033	50000				
05/04/2021	1.00	1,699.91	05/04/2021	1,900.07	0.00		-200.16	Sell to Close	
PUT CHGG 05/21	/21 80 CHEGG IN	IC CUSIP: Sy	mbol(Box 1a): C	HGG210521P00080000					
05/04/2021 PUT AMZN 05/07/	1.00 /21 3400 AMAZON		05/03/2021 P: Symbol(Bo	300.07 x 1a): AMZN210507P0340	0.00		-100.16	Sell to Close	
05/03/2021	1.00		05/03/2021	3.450.07	0.00		149.83	Sell to Close	
CALL ENPH 01/15				ol(Box 1a): ENPH2101150			149.03	Sell to Close	
01/05/2021	1.00	819.89	12/31/2020	705.27	0.00		114.62	Sell to Close	
01/05/2021	1.00	619.89	12/31/2020	550.08	0.00		69.81	Sell to Close	
01/05/2021	1.00	774.89	12/31/2020	830.08	55.19	D	0.00	Sell to Close	
01/06/2021	1.00	1,449.87	01/05/2021	575.08	0.00		874.79	Sell to Close	
01/06/2021	1.00	1,359.87	01/05/2021	620.08	0.00		739.79	Sell to Close	
Security Totals:		5,024.41		3,280.59			1,799.01		

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APEX CLEARING		Proc	eeds fron	n Broker and B	arter Exchange Tr	ans	sactions 202	1 Form 1099-B*	
5MQ16480				(conti	nued)		01/3	31/2022	OMB No. 1545-0715
Report on Form 8949 Box 2: Type of Gain Box 5: Box Not Chec	cked (Covered Security erenced by a Box Nu	ecked. (unless indicated a y)	as Ordinary in A Box 6: Gross (I	dditional Notes Column) unless indicated as Net i	n Additional Notes Column) n not referenced by a Box N	lumb		Reported to the II the IRS but may	
Description of prop	erty CUSIP Symbo	l(Box 1a)							
Date Sold or Disposed (Box 1c) CALL CBAT 03/19/	Quantity 21 10 CBAK ENEI	Proceeds (Box 1d) RGY TECHNOLC	Date Acquired (Box 1b) GY INC CUSII	Cost or Other Basis (Box 1e)	Accrued Market Discount (M)(Box 1f) & Wash Sale Loss Disallowed (D)(Box 1g) BAT210319C00010000		Gain or Loss(-)	Addit	ional Notes
02/18/2021	1.00		02/18/2021	120.08	0.00		9.82	Sell to Close	
				DR CUSIP: 10554B104	, ,			.	
01/25/2021 ALL WKHS 01/08/	100.00 /21 23 WORKHOF	505.97 RSE GROUP INC	Various CUSIP: Syn	515.50 hbol(Box 1a): WKHS210	0.00 108C00023000		-9.53	Sale	
01/05/2021	1.00	49.90	01/05/2021	59.08	0.00		-9.18	Sell to Close	
01/05/2021	1.00	50.90	01/05/2021	59.08	8.18	D	0.00	Sell to Close	
01/05/2021	1.00	55.90	01/05/2021	57.26	0.00		-1.36	Sell to Close	
ecurity Totals:		156.70		175.42			-10.54		
ALL CHWY 03/19	21 130 CHEWY IN	NC CLASS A CL	ISIP: Symbol(Box 1a): CHWY210319	C00130000				
02/03/2021	1.00		02/02/2021	210.08	0.00		10.82	Sell to Close	
ALL CAT 02/19/2	1 190 CATERPILL	AR INC CUSIP:	Symbol(Box	1a): CAT210219C00190	0000				
01/29/2021	1.00	309.90	01/28/2021	475.08	0.00		-165.18	Sell to Close	
ALL ZM 01/15/2	I 390 ZOOM VIDE	O COMMUNICAT	IONS INC CU	SIP: Symbol(Box 1a):	ZM210115C00390000				
01/13/2021	1.00	409.90	12/24/2020	1,600.08	0.00		-1,190.18	Sell to Close	
ALL BABA 04/23/2	21 232.50 ALIBABA	GROUP HOLDIN	G LIMITED CU	JSIP: Symbol(Box 1a)	: BABA210423C00232500				
04/23/2021	1.00	91.91	04/22/2021	200.07	108.16	D	0.00	Sell to Close	
04/23/2021	1.00	89.91	04/22/2021	168.23	0.00		-78.32	Sell to Close	
ecurity Totals:		181.82		368.30			-78.32		
ALL ZI 02/19/21	50 ZOOMINFOTE	ECHNOLOGIES	NC CUSIP:	Symbol(Box 1a): Zl2102	19C00050000				
01/07/2021	1.00	179.90	01/07/2021	165.08	0.00		14.90	Sell to Close	

APEX CLEARING		Proc	ceeds fron	n Broker and B	arter Exchange Trans	sactions 202	1 Form 1099-B*	
MQ16480				(conti	01/3	31/2022	OMB No. 1545-0715	
Box 5: Box Not Checke	Part I with Box A cl Loss - Short-Term d (Covered Secur	hecked. n (unless indicated i ity)	as Ordinary in A Box 6: Gross (i	dditional Notes Column) unless indicated as Net i	n Additional Notes Column) n not referenced by a Box Numl		Reported to the IR the IRS but may b	
Description of propert	y CUSIP Symb	ol(Box1a)						
	Quantity	Proceeds (Box 1d)	Date Acquired (Box 1b)	Cost or Other Basis (Box 1e) x 1a): AMZN210423C03	Accrued Market Discount (M)(Box 1f) & Wash Sale Loss Disallowed (D)(Box 1g)	Gain or Loss(-)	Additio	nal Notes
							0.11.01	
04/23/2021 CALL SNAP 01/22/21	1.00 55 SNAP INC		04/23/2021 ol(Box 1a): SNA	600.07 P210122C00055000	0.00	-0.16	Sell to Close	
01/14/2021 CALL UUP 03/19/21	1.00 24 INVESCO		01/14/2021 BULLISH CUS	50.08 IP: Symbol(Box 1a): L	0.00 JUP210319C00024000	-4.18	Sell to Close	
01/27/2021 CALL AMZN 04/23/21	1.00		01/27/2021	60.08 x 1a): AMZN210423C03	0.00	-2.18	Sell to Close	
04/23/2021 CALL COST 01/29/21	1.00	799.91	04/23/2021	700.07	0.00 a): COST210129C00375000	99.84	Sell to Close	
01/21/2021	1.00	84.90	01/21/2021	92.08	0.00	-7.18	Sell to Close	
CALL ZM 01/29/21	400 ZOOM VID	EO COMMUNICAT	FIONS INC CU	SIP: Symbol(Box 1a):	ZM210129C00400000			
01/21/2021	1.00	629.89	01/21/2021	550.08	0.00	79.81	Sell to Close	
01/25/2021	1.00	769.89	01/22/2021	574.08	0.00	195.81	Sell to Close	
Security Totals:		1,399.78		1,124.16		275.62		
PUT BA 02/05/21 1	95 BOEING CC	O CUSIP: Symb	ol(Box 1a): BA2	10205P00195000				
02/02/2021 CALL AAL 01/29/21	1.00 15.50 AMERICA		02/02/2021 UP INC CUSIP	135.08 : Symbol(Box 1a): AA	0.00 L210129C00015500	-34.18	Sell to Close	
01/26/2021	1.00		01/26/2021	45.08	0.00	-0.18	Sell to Close	
01/27/2021	1.00	129.90	01/26/2021	45.08	0.00	84.82	Sell to Close	
01/27/2021	1.00	170.90	01/26/2021	45.08	0.00	125.82	Sell to Close	
		-						

APEX CLEARING		Pro	ceeds fror	n Broker and	Barter Exchange Tr	rans	actions 202	1 Form 1099-B*	
5MQ16480				(cor	tinued)		01/3	81/2022	OMB No. 1545-0715
SHORT TERM	TRANSACT		COVERED	2101 ΧΑΤ (
Report on Form 8949,			COVENEL						
1 /			as Ordinary in A	dditional Notes Colum	n				
Box 5: Box Not Check		,	,		t in Additional Notes Column)		Box 12: Basis	Reported to the IF	
	renced by a Box Ni	.,	·		ion not referenced by a Box N	Numb		•	
Description of proper	rty CUSIP Symbo	ol(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(-)	Additi	onal Notes
CALL TIGR 02/19/21		H HOLDINGS LI			GR210219C00010000			, automatical and a second sec	
01/05/2021	1.00	134.90	01/04/2021	145.08	10.18	D	0.00	Sell to Close	
01/07/2021	1.00	149.90	01/06/2021	135.08	0.00		14.82	Sell to Close	
01/07/2021	1.00	138.90	01/06/2021	145.26	0.00		-6.36	Sell to Close	
Security Totals:		423.70		425.42		-	8.46		
PUT AMZN 02/19/21	3250 AMAZON	.COM INC CUSI	P: Symbol(Bo	x 1a): AMZN210219P0	3250000				
02/08/2021 CALL GE 01/15/21	1.00 11 GENERAL E	1	02/04/2021 USIP: Symbo	5,895.08 I(Box 1a): GE210115C	0.00		-3,695.22	Sell to Close	
01/07/2021 CALL GSX 04/16/21	1.00 30 GSX TECH		07/30/2020	10.09 bl(Box 1a): GSX210416	0.00		45.81	Sell to Close	
04/09/2021	1.00		04/08/2021	215.07	80.16	D	0.00	Sell to Close	
04/13/2021	1.00		04/09/2021	190.23	0.00	-	-146.32	Sell to Close	

CALL BABA 01/29/21 265 ALIBABA GROUP HOLDING LIMITED | CUSIP: | Symbol(Box 1a): BABA210129C00265000

178.82

Security Totals:

01/21/2021	1.00	414.90 01/21/2021	430.08	0.00	-15.18	Sell to Close
CAI INTERNATIONAL IN	NC COM C	USIP: 12477X106 Symbol(Box 1a): CA	AI			
02/09/2021	25.00	899.47 01/21/2021	895.00	0.00	4.47	Sale
PUT ROKU 05/07/21	250 ROKU INC	CUSIP: Symbol(Box 1a): ROKU210	0507P00250000			
05/07/2021	1.00	0.00 05/06/2021	300.07	0.00	-300.07	Expiration
CALL DAL 01/29/21	41 DELTA AIR	LINES INC DEL CUSIP: Symbol(Bo	ox 1a): DAL210129C000410	00		
01/28/2021	2.00	59.82 01/28/2021	56.16	0.00	3.66	Sell to Close

405.30

-146.32

MQ16480				Barter Exchange Tran		31/2022	OMB No. 1545-0715
SHORT TERM	TRANSACT	IONS FOR CO	ERED TAX LOTS				
Report on Form 8949,	Part I with Box A ch	ecked.					
Box 2: Type of Gain o	r Loss - Short-Term	(unless indicated as Ord	linary in Additional Notes Colum	ın)			
Box 5: Box Not Check		.,	: Gross (unless indicated as Ne	,		Reported to the IRS	
The 1099-B data refer complete your return		umber is reported to the	e IRS. The additional informat	ion not referenced by a Box Num	ber is not reported to	the IRS but may be help	oful to
Description of prope	rty CUSIP Symbo	ol(Box1a)					
Date Sold or			Date	Accrued Market Discount			
Disposed		Proceeds Acq	uired Cost or Other	(M)(Box 1f) & Wash Sale Loss			
(Box 1c)	Quantity	(Box 1d) (Bo	x 1b) Basis (Box 1e)	Disallowed (D)(Box 1g)	Gain or Loss(-)	Additional N	lotes
CALL WIMI 02/19/21	7.50 WIMI HOLO	OGRAM CLOUD INC AD	S CUSIP: Symbol(Box 1a):	WIMI210219C00007500			
01/21/2021	1.00	99.90 01/20	/2021 90.08	0.00	9.82	Sell to Close	
CALL CLVS 02/19/21	9 CLOVIS ON		Symbol (Box 1a): CLVS2102				
01/27/2021	1.00	190.90 01/27		0.00	45.82	Sell to Close	
CALL AMZN 01/08/2	1 3155 AMAZON	.COM INC CUSIP: S	ymbol(Box 1a): AMZN210108C	03155000			
01/08/2021	1.00	749.89 01/08	/2021 650.08	0.00	99.81	Sell to Close	
	4.00		(000 d				
01/08/2021	1.00	801.89 01/08		0.00	151.81	Sell to Close	
Security Totals: PUT PLTR 04/09/21	22 PALANTIR	1,551.78 TECHNOLOGIES INC (1,300.16 L A CUSIP: Symbol(Box 1a): PI TR210409P00022000	251.62		
01 1 2111 04/00/21							
04/01/2021	1.00	41.91 04/01	2021 39.08	0.00	2.83	Sell to Close	
04/01/2021	2.00	83.82 04/01	/2021 78.15	0.00	5.67	Sell to Close	
Security Totals:		125.73	117.23		8.50		
CALL RIG 01/29/21	3.50 TRANSOCE		mbol(Box 1a): RIG210129C000	03500			
01/14/2021	4.00	147.66 01/14	2021 116.32	0.00	31.34	Sell to Close	
01/27/2021	1.00	23.90 01/14	/2021 29.08	0.00	-5.18	Sell to Close	
Security Totals:		171.56	145.40		26.16		
CALL EBAY 02/19/21	60 EBAY INC	CUSIP: Symbol(Box	1a): EBAY210219C00060000				
01/22/2021	1.00	110.90 01/20		0.00	-16.18	Sell to Close	
OT AMZN 04/01/21	3085 AMAZON.	COM INC CUSIP: S	/mbol(Box 1a): AMZN210401P	03085000			
03/31/2021	1.00	1,099.90 03/31		0.00	69.82	Sell to Close	
CALL NFLX 01/29/21	570 NETFLIX I	NC CUSIP: Symbol(Box 1a): NFLX210129C005700	00			

APEX CLEARING		Pro	ceeds fro	m Broker and E	Barter Exchange Tr	ansactions 202	1 Form 1099-B*	
MQ16480				(con	tinued)	01/3	31/2022	OMB No. 1545-0715
SHORT TERM			COVERE	DTAX LUIS				
Report on Form 8949, F								
		,		Additional Notes Colum	,			
Sox 5: Box Not Checke	· ·	37		(in Additional Notes Column)		Reported to the IRS	
The 1099-B data refere complete your return.		umber is reporte	d to the IRS. Th	ne additional informati	on not referenced by a Box N	Number is not reported to	the IRS but may be he	elpful to
Description of proper		ol/Box 1a)						
Date Sold or Disposed	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(-)	Additiona	l Notes
				O210108C00060000	<u> </u>			
01/06/2021	1.00	59.90	01/04/2021	100.08	40.18	D 0.00	Sell to Close	
			- , - ,					
01/07/2021	1.00	10.90	01/07/2021	51.26	0.00	-40.36	Sell to Close	
01/07/2021	4.00	43.66	01/07/2021	44.32	0.00	-0.66	Sell to Close	
ecurity Totals:		114.46		195.66		-41.02		
ELP INC	COMMON STOC	K CUSIP: 98581	7105 Symbol	Box 1a): YELP				
01/25/2021	30.00	949.46	01/21/2021	952.50	0.00	-3.04	Sale	
CALL CHWY 04/09/21				(Box 1a): CHWY210409				
03/31/2021	1.00	369.90	03/31/2021	425.08	55.18	D 0.00	Sell to Close	
00/01/2021	1.00	309.90	03/31/2021	420.08	55.16	0.00		
04/01/2021	1.00	169.91	03/31/2021	355.26	185.35	D 0.00	Sell to Close	
04/06/2021	1.00	29.91	03/31/2021	385.43	355.52	D 0.00	Sell to Close	
04/09/2021	1.00	0.00	04/01/2021	419.59	0.00	-419.59	Expiration	

569.72 CALL CRM 01/22/21 220 SALESFORCE.COM INC | CUSIP: | Symbol(Box 1a): CRM210122C00220000

01/14/2021	1.00	349.90 01/13/2021	315.08	0.00	34.82	Sell to Close
BLOCK INC	CLASS A COM	MON STOCK CUSIP: 852234103	Symbol(Box 1a): SQ			
03/24/2021	5.00	1,118.53 03/24/2021	1.117.24	0.00	1.29	Sale
03/24/2021	5.00	1,118.55 05/24/2021	1,117.24	0.00	1.29	Sale
03/24/2021	5.00	1,117.48 03/24/2021	1,117.24	0.00	0.24	Sale
Security Totals:		2,236.01	2,234.48		1.53	
CALL CCL 02/19/21	19 CARNIVAL	CORP CUSIP: Symbol (Box 1a):	CCL210219C00019000			
01/00/0001	4.00	105.00 01/00/0001	400.00	0.00	0.40	
01/26/2021	1.00	125.90 01/26/2021	128.08	0.00	-2.18	Sell to Close

-419.59

1,585.36

* 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.

Security Totals:

APEX CLEARING		Pro	ceeds fro	m Broker and E	Barter Exchange Tr	ans	sactions 202	1 Form 1099-B*	
5MQ16480				(con	tinued)		01/3	31/2022	OMB No. 1545-0715
Report on Form 8949 Box 2: Type of Gain Box 5: Box Not Chec	cked (Covered Security erenced by a Box Nu	ecked. (unless indicated y)	as Ordinary in Box 6: Gross	Additional Notes Column (unless indicated as Net	n) : in Additional Notes Column) on not referenced by a Box N	Numb		Reported to the IF	
Description of prop Date Sold or Disposed (Box 1c) CALL BA 02/19/21	erty CUSIP Symbo Quantity 1 250 BOEING CO	Proceeds (Box 1d)	Date Acquired (Box 1b) bol(Box 1a): BA	Cost or Other Basis (Box 1e) \210219C00250000	Accrued Market Discount (M)(Box 1f) & Wash Sale Loss Disallowed (D)(Box 1g)		Gain or Loss(-)	Additi	onal Notes
01/26/2021	1.00	114.90	01/26/2021	117.08	0.00		-2.18	Sell to Close	
CALL AMC 01/29/2					a): AMC210129C00005000		2.10		
01/25/2021	1.00	85.90	01/25/2021	105.08	19.18	D	0.00	Sell to Close	
01/25/2021	1.00	79.90	01/25/2021	99.26	0.00		-19.36	Sell to Close	
Security Totals:		165.80		204.34			-19.36		
CALL AMD 02/05/2	21 99 ADVANCED	MICRO DEVICI	ES INC CUSIF	P: Symbol(Box 1a): AN	/ID210205C00099000				
01/25/2021	1.00	324.90	01/25/2021	340.08	0.00		-15.18	Sell to Close	
CALL SLV 04/16/2	1 27 ISHARES SI	LVER SHARES	CUSIP: Syn	nbol(Box 1a): SLV21041	6C00027000				
03/17/2021	1.00	29.90	02/01/2021	310.08	280.18	D	0.00	Sell to Close	
03/31/2021	1.00	4.90	03/08/2021	306.26	0.00		-301.36	Sell to Close	
ecurity Totals:		34.80		616.34			-301.36		
CALL AMZN 02/05/	21 3750 AMAZON.	COM INC CUS	IP: Symbol(B	Box 1a): AMZN210205C0	03750000				
01/27/2021	1.00	1,899.86	01/27/2021	1,900.08	0.22	D	0.00	Sell to Close	
02/01/2021	1.00	809.89	01/29/2021	2,175.69	0.00		-1,365.80	Sell to Close	
02/01/2021	1.00	899.89	01/27/2021	1,900.30	1000.41	D	0.00	Sell to Close	
02/01/2021	1.00	999.88	01/28/2021	2,200.49	1200.61	D	0.00	Sell to Close	
Security Totals:		4,609.52		8,176.56			-1,365.80		
FTC SOLAR INC	COMMON STO	OCK CUSIP: 30	0320C103 Sym	nbol(Box 1a): FTCI					
04/28/2021	50.00	745.03	04/28/2021	755.00	0.00		-9.97	Sale	

0110480					nued)	· · · ·	31/2022 OMB N	
SHORT TERM	I TRANSAC	TIONS FOR	COVERE	D TAX LOTS				
eport on Form 8949	, Part I with Box A c	checked.						
ox 2: Type of Gain	or Loss - Short-Terr	m (unless indicated	as Ordinary in A	Additional Notes Column)			
ox 5: Box Not Chec	ked (Covered Secu	rity)	Box 6: Gross	(unless indicated as Net	in Additional Notes Column)	Box 12: Basi	s Reported to the IRS	
he 1099-B data refe omplete your retur		Number is reporte	d to the IRS. Th	ne additional information	n not referenced by a Box N	Number is not reported to	the IRS but may be helpful to)
Description of prope	erty CUSIP Symb	bol(Box1a)						
Date Sold or			Date		Accrued Market Discount (M)(Box 1f) &			
Disposed	Overstite	Proceeds	Acquired	Cost or Other	Wash Sale Loss			
(Box 1c)	Quantity	(Box 1d)	(Box 1b)	Basis (Box 1e)	Disallowed (D)(Box 1g)	Gain or Loss(-)	Additional Notes	
04/29/2021	50.00	735.98	04/28/2021	755.00	0.00	-19.02	Sale	
ecurity Totals:		1,481.01		1,510.00		-28.99		
PUT AMZN 03/19/2	21 3140 AMAZON	N.COM INC CUSI	P: Symbol(Bo	ox 1a): AMZN210319P03	140000			
03/17/2021	1.00	2.599.89	03/17/2021	2,500.08	0.00	99.81	Sell to Close	
ALL QS 01/15/21				USIP: Symbol(Box 1a)				
01/00/0001	1.00	770.00	01/00/0001	coo oo	0.00	150.01		
01/06/2021 CALL JPM 04/16/2	1.00 1 157.50 JPMORG		_01/06/2021 CUSIP: Svr	620.08 mbol(Box 1a): JPM21041	0.00 6C00157500	159.81	Sell to Close	
			1					
04/13/2021	1.00	132.91	04/13/2021	143.23	0.00	-10.32	Sell to Close	
04/13/2021	1.00	120.91	04/12/2021	174.07	53.16	D 0.00	Sell to Close	
Security Totals:		253.82		317.30		-10.32		
ALL PINS 01/22/2	1 82 PINTERES	ST INC CLASS A	CUSIP: Syml	bol(Box 1a): PINS210122	2C00082000			
01/13/2021	1.00	102.90	01/13/2021	100.08	0.00	2.82	Sell to Close	
CALL AMZN 01/15/2				ox 1a): AMZN210115C0				
01/00/0001	1.00	0.004.00	01/00/0001	0.000.00		00475	Call to Close	
01/08/2021	1.00	3,204.83	01/08/2021	3,000.08	0.00	204.75	Sell to Close	
01/11/2021	1.00	2,241.86	01/11/2021	1,995.08	0.00	246.78	Sell to Close	
ecurity Totals:		5,446.69		4,995.16		451.53		
CALL CRM 02/19/2	21 260 SALESFO	ORCE.COM INC (CUSIP: Symb	ol(Box 1a): CRM210219	C00260000			
01/07/2021	1.00	93,90	12/29/2020	182.08	0.00	-88 18	Sell to Close	
ALL TSLA 02/19/2				SLA210219C00795000	0.00			
00/10/0001	1.00	0 500 05	00/10/0001	0 500 00		00.77	Call to Class	
02/12/2021 CALL NVDA 01/08/2	1.00 21 540 NVIDIA (02/12/2021 Symbol(Box 1a)	2,500.08 : NVDA210108C005400	0.00	99.77	Sell to Close	
			-,					
01/07/2021	1.00	134.90	01/07/2021	140.08	0.00	-5.18	Sell to Close	

APEX CLEARING 5MQ16480

(continued)

Proceeds from Broker and Barter Exchange Transactions

OMB No. 1545-0715

* 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.

01/31/2022

2021 Form 1099-B*

5MQ16480	6480			(conti	nued)	01/3	31/2022 OMB No. 1545-0715
SHORT TERM ⁻	TRANSACT	IONS FOR	COVERE	TAX LOTS			
Report on Form 8949, Pa							
1 ,			as Ordinary in A	dditional Notes Column)			
Box 5: Box Not Checked				,	n Additional Notes Column)	Box 12: Basis	Reported to the IRS
		• •			,		the IRS but may be helpful to
complete your return.							
Description of property	y CUSIP Symbo	ol(Box 1a)					
		. ,			Accrued Market Discount		
Date Sold or Disposed		Proceeds	Date Acquired	Cost or Other	(M)(Box 1f) & Wash Sale Loss		
•	Quantity	(Box 1d)	(Box 1b)	Basis (Box 1e)	Disallowed (D)(Box 1g)	Gain or Loss(-)	Additional Notes
CALL INTC 02/05/21	61 INTEL COF	RP CUSIP: Syi	nbol(Box 1a): IN	TC210205C00061000			
01/29/2021	1.00	18.90	01/29/2021	17.08	0.00	1.82	Sell to Close
01/29/2021	2.00	47.82	01/29/2021	34.16	0.00	13.66	Sell to Close
01/29/2021	1.00	22.90	01/29/2021	17.08	0.00	5.82	Sell to Close
ecurity Totals:		89.62		68.32		21.30	
ALL AMZN 06/04/21	3300 AMAZON	I.COM INC CUS	IP: Symbol(Bo	x 1a): AMZN210604C03	300000		
06/04/2021	1.00	0.00	06/01/2021	550.07	0.00	-550.07	Expiration
ALL CRM 02/19/21	240 SALESFO	RCE.COM INC 0	CUSIP: Symbo	ol(Box 1a): CRM2102190	00240000		
02/02/2021	1.00		02/02/2021	370.08	0.00	-30.18	Sell to Close
ALL RIOT 03/12/21	65 RIOT BLOC	CKCHAIN INC C	USIP: Symbol	(Box 1a): RIOT210312C	00065000		
03/12/2021	1.00		03/12/2021	128.08	0.00	1.82	Sell to Close
ALL BIDU 04/30/21	220 BAIDU INC	CUSIP: Sym	bol(Box 1a): BID	U210430C00220000			
04/22/2021	1.00	454.91	04/22/2021	450.07	0.00	4.84	Sell to Close
UT TSLA 04/09/21 5	500 TESLA INC	C CUSIP: Sym	bol(Box 1a): TSI	_A210409P00500000			
04/01/2021	1.00	86.91	03/31/2021	129.25	0.00	-42.34	Sell to Close
04/01/2021	1.00	34.91	03/31/2021	98.08	63.17	D 0.00	Sell to Close
ecurity Totals:		121.82		227.33		-42.34	
ALL JD 01/15/21 9	95 JD.COM INC	CUSIP: Syml	ool(Box 1a): JD2	10115C00095000			
01/08/2021	1.00	94.90	01/08/2021	93.08	0.00	1.82	Sell to Close
ALL BLNK 02/19/21	70 BLINK CHA	ARGING CO CU	SIP: Symbol(E	Box 1a): BLNK210219C0	0070000		

01/07/2021

1.00

264.90 12/30/2020

Proceeds from Broker and Barter Exchange Transactions 2021 Form 1099-B*

-65.18 Sell to Close

64 of 110

* 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.

0.00

330.08

		Proc	ceeds fro	m Broker and Bar	ter Exchange Tran	sactions 2021	l Form 1099-B*
5MQ16480				(continu	ed)	01/3	1/2022 OMB No. 1545-07
SHORT TERM	TRANSACT		COVERE	ΤΔΧΙΟΤS			
Report on Form 8949, I			OOVENE				
•			as Ordinary in	Additional Notes Column)			
Box 5: Box Not Check	ed (Covered Securi	ity)	Box 6: Gross	(unless indicated as Net in A	Additional Notes Column)	Box 12: Basis	Reported to the IRS
he 1099-B data refer complete your return.		umber is reported	d to the IRS. T	he additional information n	ot referenced by a Box Num	ber is not reported to	the IRS but may be helpful to
Description of proper	ty CUSIP Symbo	ol(Box1a)					
Date Sold or Disposed (Box 1c)	Quantity	Proceeds (Box 1d)	Date Acquired (Box 1b)	Cost or Other	crued Market Discount (M)(Box 1f) & Wash Sale Loss Disallowed (D)(Box 1g)	Gain or Loss(-)	Additional Notes
CALL UAA 02/19/21	20 UNDER AR	RMOUR INC CL A	CUSIP: Sy	mbol(Box 1a): UAA210219C0	00020000		
01/20/2021	1.00	94.90	01/20/2021	97.08	0.00	-2.18	Sell to Close
CALL CYBR 02/05/21			- 1 -1 -	Symbol (Box 1a): CYBR210			
01/10/0001	1.00	E0.00	01/11/0001	50.00	0.00	0.00	
01/12/2021 ALL SNDL 04/16/21	1.00 1 SUNDIAL 0		01/11/2021 CUSIP: Sym	59.08 bol(Box 1a): SNDL210416C0	0.00	0.82	Sell to Close
		·					
01/05/2021	3.00	44.74	01/04/2021	45.24	0.00	-0.50	Sell to Close
				Box 1a): AMZN210312C0310			
				Box 1a): AMZN210312C0310			
		N.COM INC CUSI		3ox 1a): AMZN210312C0310 1,100.08		149.82	Sell to Close
CALL AMZN 03/12/21 03/10/2021	3100 AMAZON 1.00	N.COM INC CUSI 1,249.90	P: Symbol(E 03/10/2021	1,100.08	0000	149.82	Sell to Close
CALL AMZN 03/12/21 03/10/2021 03/10/2021	3100 AMAZON	N.COM INC CUSI 1,249.90 1,499.90	P: Symbol(E	1,100.08	0000	-0.18	
CALL AMZN 03/12/21 03/10/2021 03/10/2021 Gecurity Totals:	3100 AMAZON 1.00 1.00	N.COM INC CUSI 1,249.90 1,499.90 2,749.80	P: Symbol(E 03/10/2021 03/10/2021	1,100.08	0000	149.82	Sell to Close
CALL AMZN 03/12/21 03/10/2021 03/10/2021 Gecurity Totals: CALL NIO 01/08/21	3100 AMAZON 1.00 1.00 57.50 NIO INC AI	N.COM INC CUSI 1,249.90 1,499.90 2,749.80 DS CUSIP: Syr	P: Symbol(E 03/10/2021 03/10/2021 mbol(Box 1a):	1,100.08 <u>1,500.08</u> 2,600.16 NIO210108C00057500	0000 0.00 0.00	149.82 -0.18 149.64	Sell to Close Sell to Close
CALL AMZN 03/12/21 03/10/2021 03/10/2021 Security Totals: CALL NIO 01/08/21 01/08/2021	3100 AMAZON 1.00 1.00 57.50 NIO INC AI 1.00	N.COM INC CUSI 1,249.90 <u>1,499.90</u> <u>2,749.80</u> DS CUSIP: Syr 99.90	P: Symbol(E 03/10/2021 03/10/2021 mbol(Box 1a): 01/08/2021	1,100.08 <u>1,500.08</u> 2,600.16 NIO210108C00057500 81.08	0000	149.82 -0.18 149.64	Sell to Close
CALL AMZN 03/12/21 03/10/2021 03/10/2021 Security Totals: CALL NIO 01/08/21 01/08/2021	3100 AMAZON 1.00 1.00 57.50 NIO INC AI 1.00	N.COM INC CUSI 1,249.90 <u>1,499.90</u> <u>2,749.80</u> DS CUSIP: Syr 99.90	P: Symbol(E 03/10/2021 03/10/2021 mbol(Box 1a): 01/08/2021	1,100.08 <u>1,500.08</u> 2,600.16 NIO210108C00057500	0000 0.00 0.00	149.82 -0.18 149.64	Sell to Close Sell to Close
CALL AMZN 03/12/21 03/10/2021 03/10/2021 Cecurity Totals: CALL NIO 01/08/21 01/08/2021 CALL WMT 01/15/21 01/05/2021	3100 AMAZON 1.00 1.00 57.50 NIO INC AI 1.00 147 WALMAR 1.00	N.COM INC CUSI 1,249.90 1,499.90 2,749.80 DS CUSIP: Syi 99.90 IT INC CUSIP: 210.90	P: Symbol(f 03/10/2021 03/10/2021 mbol(Box 1a): 01/08/2021 Symbol(Box 1 01/04/2021	1,100.08 1,500.08 2,600.16 NIO210108C00057500 81.08 a): WMT210115C00147000 212.08	0000 0.00 0.00	149.82 -0.18 149.64 18.82	Sell to Close Sell to Close
CALL AMZN 03/12/21 03/10/2021 03/10/2021 Security Totals: CALL NIO 01/08/21 01/08/2021 CALL WMT 01/15/21 01/05/2021	3100 AMAZON 1.00 1.00 57.50 NIO INC AI 1.00 147 WALMAR 1.00	N.COM INC CUSI 1,249.90 1,499.90 2,749.80 DS CUSIP: Syi 99.90 IT INC CUSIP: 210.90	P: Symbol(f 03/10/2021 03/10/2021 mbol(Box 1a): 01/08/2021 Symbol(Box 1 01/04/2021	1,100.08 <u>1,500.08</u> <u>2,600.16</u> NIO210108C00057500 <u>81.08</u> a): WMT210115C00147000	0.00 0.00 0.00 0.00	149.82 -0.18 149.64 18.82	Sell to Close Sell to Close Sell to Close
ALL AMZN 03/12/21 03/10/2021 03/10/2021 Eccurity Totals: ALL NIO 01/08/21 01/08/2021 ALL WMT 01/15/21 01/05/2021	3100 AMAZON 1.00 1.00 57.50 NIO INC AI 1.00 147 WALMAR 1.00	N.COM INC CUSI 1,249.90 1,499.90 2,749.80 DS CUSIP: Syr 99.90 IT INC CUSIP: 210.90 NC CUSIP: Syr	P: Symbol(f 03/10/2021 03/10/2021 mbol(Box 1a): 01/08/2021 Symbol(Box 1 01/04/2021	1,100.08 1,500.08 2,600.16 NIO210108C00057500 81.08 a): WMT210115C00147000 212.08	0.00 0.00 0.00 0.00	149.82 -0.18 149.64 18.82 -1.18	Sell to Close Sell to Close Sell to Close
CALL AMZN 03/12/21 03/10/2021 03/10/2021 CALL VIO 01/08/21 CALL NIO 01/08/2021 CALL WMT 01/15/21 01/05/2021 OT/OHGG 05/21/21 05/03/2021	3100 AMAZON 1.00 1.00 57.50 NIO INC AI 1.00 147 WALMAR 1.00 75 CHEGG IN 1.00	N.COM INC CUSI 1,249.90 1,499.90 2,749.80 DS CUSIP: Syr 99.90 IT INC CUSIP: 210.90 NC CUSIP: Syr 170.91	P: Symbol(E 03/10/2021 03/10/2021 mbol(Box 1a): 01/08/2021 Symbol(Box 1 01/04/2021 nbol(Box 1a): 05/03/2021	1,100.08 1,500.08 2,600.16 NIO210108C00057500 81.08 a): WMT210115C00147000 212.08 CHGG210521P00075000	0000 0.00 0.00 0.00 0.00 0.00	149.82 -0.18 149.64 18.82 -1.18	Sell to Close Sell to Close Sell to Close Sell to Close
CALL AMZN 03/12/21 03/10/2021 03/10/2021 CALL NIO 01/08/21 01/08/2021 CALL WMT 01/15/21 01/05/2021 CHGG 05/21/21 05/03/2021 CALL DDD 04/30/21	3100 AMAZON 1.00 1.00 57.50 NIO INC AI 1.00 147 WALMAR 1.00 75 CHEGG IN 1.00 22.50 3 D SYST	N.COM INC CUSI 1,249.90 2,749.80 DS CUSIP: Syr 99.90 IT INC CUSIP: 210.90 NC CUSIP: Syr 170.91 FEMS CORP DEL	P: Symbol(E 03/10/2021 03/10/2021 mbol(Box 1a): 01/08/2021 Symbol(Box 1 01/04/2021 nbol(Box 1a): 05/03/2021 CUSIP: Sy	1,100.08 1,500.08 2,600.16 NIO210108C00057500 81.08 a): WMT210115C00147000 212.08 CHGG210521P00075000 174.07 mbol(Box 1a): DDD210430C	00000 0.00 0.00 0.00 0.00 0.00 0.00	149.82 -0.18 149.64 18.82 -1.18 -3.16	Sell to Close
CALL AMZN 03/12/21 03/10/2021 03/10/2021 CALL NIO 01/08/21 01/08/2021 CALL WMT 01/15/21 01/05/2021 PUT CHGG 05/21/21 05/03/2021 CALL DDD 04/30/21 04/22/2021	3100 AMAZON 1.00 1.00 57.50 NIO INC AI 1.00 147 WALMAR 1.00 75 CHEGG IN 1.00 22.50 3 D SYST 1.00	N.COM INC CUSI 1,249.90 1,499.90 2,749.80 DS CUSIP: Syr 99.90 IT INC CUSIP: 210.90 NC CUSIP: Syr 170.91 FEMS CORP DEL 119.91	P: Symbol(F 03/10/2021 03/10/2021 mbol(Box 1a): 01/08/2021 Symbol(Box 1 01/04/2021 nbol(Box 1a): 05/03/2021 CUSIP: Sy 04/22/2021	1,100.08 1,500.08 2,600.16 NIO210108C00057500 81.08 a): WMT210115C00147000 212.08 CHGG210521P00075000 174.07	0000 0.00 0.00 0.00 0.00 0.00	149.82 -0.18 149.64 18.82 -1.18 -3.16	Sell to Close Sell to Close Sell to Close Sell to Close
CALL AMZN 03/12/21 03/10/2021 03/10/2021 CALL NIO 01/08/21 01/08/2021 CALL WMT 01/15/21 01/05/2021 CALL WMT 01/15/21 05/03/2021 CALL DDD 04/30/21 04/22/2021 CALL TSLA 05/14/21	3100 AMAZON 1.00 1.00 57.50 NIO INC AI 1.00 147 WALMAR 1.00 75 CHEGG IN 1.00 22.50 3 D SYST 1.00 650 TESLA INC	N.COM INC CUSI 1,249.90 1,499.90 2,749.80 DS CUSIP: Syn 99.90 IT INC CUSIP: 210.90 NC CUSIP: Syn 170.91 TEMS CORP DEL 119.91 IC CUSIP: Sym	P: Symbol(E 03/10/2021 03/10/2021 mbol(Box 1a): 01/08/2021 Symbol(Box 1 01/04/2021 nbol(Box 1a): 1 05/03/2021 CUSIP: Sy 04/22/2021 .bol(Box 1a): T	1,100.08 1,500.08 2,600.16 NIO210108C00057500 81.08 a): WMT210115C00147000 212.08 CHGG210521P00075000 174.07 mbol(Box 1a): DDD210430C 120.07 SLA210514C00650000	00000 0.00 0.00 0.00 0.00 0.00 0.00 0.	149.82 -0.18 149.64 18.82 -1.18 -3.16 -0.16	Sell to Close
CALL AMZN 03/12/21 03/10/2021 03/10/2021 CALL NIO 01/08/21 01/08/2021 CALL WMT 01/15/21 01/05/2021 CHGG 05/21/21 05/03/2021 CALL DDD 04/30/21 04/22/2021 CALL TSLA 05/14/21 05/12/2021	3100 AMAZON 1.00 1.00 57.50 NIO INC AI 1.00 147 WALMAR 1.00 75 CHEGG IN 1.00 22.50 3 D SYST 1.00 650 TESLA ING 1.00	N.COM INC CUSI 1,249.90 1,499.90 2,749.80 DS CUSIP: Syn 99.90 IT INC CUSIP: 210.90 NC CUSIP: Syn 170.91 TEMS CORP DEL 119.91 IC CUSIP: Sym 279.91	P: Symbol(f 03/10/2021 03/10/2021 mbol(Box 1a): 01/08/2021 Symbol(Box 1a): 01/04/2021 nbol(Box 1a): 1 05/03/2021 CUSIP: Sy 04/22/2021 .bol(Box 1a): T 05/11/2021	1,100.08 1,500.08 2,600.16 NIO210108C00057500 81.08 a): WMT210115C00147000 212.08 CHGG210521P00075000 174.07 mbol(Box 1a): DDD210430C 120.07 SLA210514C00650000 413.07	00000 0.00 0.00 0.00 0.00 00022500 0.00 0.	149.82 -0.18 149.64 18.82 -1.18 -3.16	Sell to Close
CALL AMZN 03/12/21 03/10/2021 03/10/2021 CALL NIO 01/08/21 01/08/2021 CALL WMT 01/15/21 01/05/2021 CALL WMT 01/15/21 05/03/2021 CALL DDD 04/30/21 04/22/2021 CALL TSLA 05/14/21	3100 AMAZON 1.00 1.00 57.50 NIO INC AI 1.00 147 WALMAR 1.00 75 CHEGG IN 1.00 22.50 3 D SYST 1.00 650 TESLA ING 1.00	N.COM INC CUSI 1,249.90 1,499.90 2,749.80 DS CUSIP: Syn 99.90 IT INC CUSIP: 210.90 NC CUSIP: Syn 170.91 TEMS CORP DEL 119.91 IC CUSIP: Sym 279.91	P: Symbol(f 03/10/2021 03/10/2021 mbol(Box 1a): 01/08/2021 Symbol(Box 1a): 01/04/2021 nbol(Box 1a): 1 05/03/2021 CUSIP: Sy 04/22/2021 .bol(Box 1a): T 05/11/2021	1,100.08 1,500.08 2,600.16 NIO210108C00057500 81.08 a): WMT210115C00147000 212.08 CHGG210521P00075000 174.07 mbol(Box 1a): DDD210430C 120.07 SLA210514C00650000	00000 0.00 0.00 0.00 0.00 00022500 0.00 0.	149.82 -0.18 149.64 18.82 -1.18 -3.16 -0.16	Sell to Close

5MQ16480	16480			(conti	nued)	01/3	0MB No. 1545-0715
SHORT TERM T	RANSACT	IONS FOR	COVERE	D TAX LOTS			
Report on Form 8949, Par							
Box 2: Type of Gain or Lo			as Ordinary in A	Additional Notes Column)			
Box 5: Box Not Checked				,	n Additional Notes Column)	Boy 12: Basis	Reported to the IRS
		57		·	n not referenced by a Box Num		•
Description of property	CUSIP Symbo	ol(Box1a)					
					Accrued Market Discount		
Date Sold or Disposed (Box 1c) Qu	uantitv	Proceeds (Box 1d)	Date Acquired (Box 1b)	Cost or Other Basis (Box 1e)	(M)(Box 1f) & Wash Sale Loss Disallowed (D)(Box 1q)	Gain or Loss(-)	Additional Notes
CALL NIO 04/16/21 45				O210416C00045000	Disanowed (D)(Box 1g)		Additional Notes
04/05/2021	1.00	50.91	04/05/2021	49.08	0.00	1.83	Sell to Close
04/05/2021	1.00	49.91	04/05/2021	49.08	0.00	0.83	Sell to Close
Security Totals:		100.82		98.16		2.66	
CALL JKS 02/19/21 80	0 JINKOSOLA		MPANY LTD C		: JKS210219C00080000	2.00	
01/11/2021	1.00		01/11/2021	420.08	0.00	-0.18	Sell to Close
PUT NIO 01/08/21 58	8 NIO INC ADS	S CUSIP: Sym	bol(Box 1a): NIC	D210108P00058000			
01/08/2021	1.00	52.90	01/08/2021	45.08	0.00	7.82	Sell to Close
01/08/2021	1.00	55.90	01/08/2021	45.08	0.00	10.82	Sell to Close
Security Totals:		108.80		90.16		18.64	
CALL SNAP 02/26/21	65 SNAP INC	CUSIP: Symb	ool(Box 1a): SNA	P210226C00065000			
02/19/2021	1.00	179.90	02/18/2021	193.08	0.00	-13.18	Sell to Close
CALL AYRO 02/19/21	7.50 AYRO INC	C CUSIP: Sym	bol(Box 1a): AY	RO210219C00007500			
01/26/2021	1.00	91.90	01/26/2021	105.08	0.00	-13.18	Sell to Close
CALL DDOG 01/22/21				Box 1a): DDOG210122C			
01/07/2021	1.00	188.90	01/07/2021	210.08	0.00	-21.18	Sell to Close
CALL TSLA 04/01/21 6	50 TESLA INC	C CUSIP: Sym	nbol(Box 1a): TS	LA210401C00650000			
03/26/2021	1.00		03/26/2021	900.08	0.00	-10.18	Sell to Close
CALL ROKU 05/07/21 3	350 ROKU ING	C CUSIP: Sym	bol(Box 1a): RC	0KU210507C00350000			
05/03/2021	1.00		04/30/2021	1,600.07	0.00	-535.16	Sell to Close
CALL AAPL 01/29/21 1	32 APPLE IN	C CUSIP: Sym	ibol(Box 1a): AA	PL210129C00132000			
01/21/2021	1.00	538.89	01/20/2021	395.08	0.00	143.81	Sell to Close

Proceeds from Broker and Barter Exchange Transactions

2021 Form 1099-B*

APEX CLEARING		Pro	ceeds fror	n Broker and I	Barter Exchange Tr	ansactions	2021 Form 1099-B	*			
MQ16480				(con	tinued)		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 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 proper	ty CUSIP Symbo	ol(Box 1a)									
Date Sold or Disposed (Box 1c) CALL AMZN 01/15/21	Quantity 1 3150 AMAZON	Proceeds (Box 1d) .COM INC CUS	Date Acquired (Box 1b) IP: Symbol(Bo	Cost or Other Basis (Box 1e) x 1a): AMZN210115C	Accrued Market Discount (M)(Box 1f) & Wash Sale Loss Disallowed (D)(Box 1g) 03150000	Gain or Loss	s(-) Ad	ditional Notes			
01/07/2021 CALL XPEV 04/16/21	1.00 37 XPENG INC		01/06/2021	5,550.08 bol(Box 1a): XPEV210	0.00	950	.68 Sell to Close				
03/31/2021	1.00		03/31/2021	209.08	29.18	D 0	.00 Sell to Close				
04/01/2021	1.00	329.91	03/31/2021	224.26	0.00	105	.65 Sell to Close				
04/01/2021	1.00	299.91	03/31/2021	209.08	0.00	90	.83 Sell to Close				
Security Totals: PUT BA 03/12/21 2	250 BOEING CO	809.72	ool(Box 1a): BA2	642.42 10312P00250000		196	.48				
03/11/2021	1.00		03/11/2021	164.08	0.00	5	.82 Sell to Close				
03/11/2021	1.00	200.90	03/11/2021	190.08	0.00	10	.82 Sell to Close				
03/11/2021	1.00		03/11/2021	230.08	0.00		.82 Sell to Close				
Security Totals: CALL X 03/19/21	20 UNITED STAT	625.70 TES STL CORP	NEW CUSIP:	584.24 Symbol(Box 1a): X210	0319C00020000	41	.46				
02/16/2021	1.00	110.90	02/03/2021	83.08	0.00	27	.82 Sell to Close				
02/16/2021	1.00	88.90	02/03/2021	83.08	0.00	5	.82 Sell to Close				
Security Totals:		199.80		166.16		33	.64				
CALL NOW 01/29/21	562.50 SERVICE	NOW INC CUS	IP: Symbol(Bo	ox 1a): NOW210129C0	0562500						
01/07/2021 CALL CAT 05/07/21	1.00 235 CATERPILI		01/07/2021	550.08 1a): CAT210507C002	0.00	-0	.19 Sell to Close				
04/29/2021	1.00		04/29/2021	165.07	0.00	-4	.16 Sell to Close				

APEX CLEARING		Proc	eeds from	n Broker and Ba	arter Exchange Tr	ansactions ²⁰	021 Form 1099-B*			
5MQ16480			(contir	0	1/31/2022 OMB No. 1545-07					
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 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 additional information not 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 proper	ty CUSIP Symb	ol(Box1a)								
Date Sold or Disposed (Box 1c)	Quantity	Proceeds (Box 1d)	Date Acquired (Box 1b) nbol(Box 1a): A	Cost or Other Basis (Box 1e) BNB210312C00190000	Accrued Market Discount (M)(Box 1f) & Wash Sale Loss Disallowed (D)(Box 1g)	Gain or Loss(-) Addi	tional Notes		
03/09/2021	1.00	304.90	03/09/2021	350.08	0.00	-45.1	8 Sell to Close			
CALL MMM 04/16/21	200 3M COMP	PANY CUSIP: S	ymbol(Box 1a):	MMM210416C0020000)					
04/12/2021	1.00	89.91	04/12/2021	131.07	0.00	-41.1	6 Sell to Close			
CALL FB 01/15/21	280 FACEBOOK			x 1a): FB210115C002800			· · · · · · · · · · · · · · · · · · ·			
01/05/2021	1.00	278.90	01/05/2021	294.08	15.18	D 0.0	0 Sell to Close			
01/07/2021	1.00	120.90	01/06/2021	160.26	0.00	-39.3	6 Sell to Close			
Security Totals:		399.80		454.34		-39.3	6			
CALL V 01/22/21 2	25 VISA INC C	CUSIP: Symbol(B	ox 1a): V21012	2C00225000						
01/05/2021	1.00	133.90	01/05/2021	160.08	0.00	-26.1	8 Sell to Close			
				(Box 1a): FSLY210507C0			·			
05/03/2021	1.00	251 91	04/30/2021	430.07	0.00	-178 1	6 Sell to Close			
CALL JD 01/22/21		C CUSIP: Symbo			0.00					
01/08/2021	1.00	220.00	01/07/2021	190.08	0.00	39.8	2 Sell to Close			
CALL SNAP 02/19/21				P210219C00060000	0.00	39.0				
00/00/0001	1.00	444.00	00/01/0001	055.00		50.0				
02/02/2021 CALL LPCN 01/21/22	1.00 5 LIPOCINE		02/01/2021 mbol(Box 1a): L	355.08 PCN220121C00005000	0.00	59.8	2 Sell to Close			
			. ,							
02/05/2021 CALL LYFT 05/07/21	1.00		02/01/2021	85.08 1a): LYFT210507C00056	0.00	-0.1	8 Sell to Close			
UALL LIFT 00/07/21	JU LIFTINU	0LA33 A 003IP:		Taj. ETET21030700003	0000					
05/05/2021	1.00		05/04/2021	205.07	0.00	-87.1	6 Sell to Close			
CALL TSLA 01/29/21	920 TESLA IN	C CUSIP: Symb	bol(Box 1a): TS	LA210129C00920000						
	1.00									

5MQ16480	Q16480			(continued)			01/31/2022		OMB No. 1545-0715
SHORT TERI	M TRANSACTI	ONS FOR	COVERED	D TAX LOTS					
Report on Form 8949	9, Part I with Box A che	cked.							
	·		as Ordinary in A	Additional Notes Column)					
	cked (Covered Security)			,	n Additional Notes Column)		Box 12: Basis	Reported to the IRS	
	ferenced by a Box Nun				n not referenced by a Box N	Number is no		•	elpful to
Description of prop	erty 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)	Ga	Gain or Loss(-) Addit		al Notes
CALL AAPL 01/29/	21 146 APPLE INC	CUSIP: Syn	nbol(Box 1a): AA	PL210129C00146000					
01/28/2021	1.00	48.90	01/27/2021	402.08	353.18	D	0.00	Sell to Close	
01/29/2021	1.00	0.00	01/27/2021	708.26	0.00		-708.26	Expiration	
Security Totals:		48.90		1,110.34			-708.26	•	
CALL QCOM 03/19	9/21 133 QUALCOM		Symbol(Box	1a): QCOM210319C001	33000				
03/11/2021	1.00		03/11/2021	230.08	0.00		-7.18	Sell to Close	
PUT AMZN 03/19/	21 3100 AMAZON.C	OM INC CUSI	P: Symbol(Bo	x 1a): AMZN210319P03	100000				
03/16/2021	1.00	3,199.89	03/16/2021	3,100.08	0.00		99.81	Sell to Close	
03/16/2021	1.00	2,899.89	03/16/2021	2,800.08	0.00		99.81	Sell to Close	
03/16/2021	1.00	2,899.89	03/16/2021	2,800.08	0.00		99.81	Sell to Close	
03/16/2021	1.00	3,067.89	03/16/2021	2,900.08	0.00		167.81	Sell to Close	
03/16/2021	1.00	2,999.89	03/16/2021	3,000.08	0.19	D	0.00	Sell to Close	
03/16/2021	1.00	2,899.89	03/16/2021	2,900.27	0.38	D	0.00	Sell to Close	
03/17/2021	1.00	3,299.89	03/17/2021	3,000.46	0.00		299.43	Sell to Close	
03/18/2021	1.00	2,599.89	03/18/2021	2,400.08	0.00		199.81	Sell to Close	
Security Totals:		23,867.12		22,901.21			966.48		
CALL AAPL 04/16/	21 145 APPLE INC	AD	J 4:1 STOCK S	PLIT CUSIP: Symbol	(Box 1a): AAPL210416C001	45000			
02/22/2021	1.00	128.90	02/02/2021	524.08	395.18	D	0.00	Sell to Close	
02/25/2021	1.00	122.90	02/12/2021	740.26	0.00		-617.36	Sell to Close	
Security Totals:		251.80		1,264.34			-617.36		

APEX CLEARING

Proceeds from Broker and Barter Exchange Transactions 2021 Form 1099-B*

		Proc	ceeds fro	m Broker and Ba	ansactions	21 Form 1099-B*	OMB No. 1545-0715	
MQ16480				(contir	01	1/31/2022 OMB No. 154		
SHORT TERM	I TRANSACT	IONS FOR	COVERE	D TAX LOTS				
Report on Form 8949,	, Part I with Box A ch	necked.						
Box 2: Type of Gain o	or Loss - Short-Term	(unless indicated	as Ordinary in	Additional Notes Column)				
Box 5: Box Not Checl	ked (Covered Securi	ty)	Box 6: Gross	(unless indicated as Net ir	n Additional Notes Column)	Box 12: Bas	is Reported to the IF	IS
The 1099-B data refe complete your returr		umber is reported	I to the IRS. T	he additional information	not referenced by a Box N	Number is not reported to	o the IRS but may b	e helpful to
Description of prope	erty CUSIP Symbo	ol(Box 1a)						
			Date		Accrued Market Discount			
Date Sold or Disposed		Proceeds		Cost or Other	(M)(Box 1f) & Wash Sale Loss			
(Box 1c)	Quantity	(Box 1d)	Acquired (Box 1b)	Basis (Box 1e)	Disallowed (D) (Box 1g)	Gain or Loss(-)	Additi	onal Notes
CALL ABNB 01/29/2	21 190 AIRBNB IN	NC CUSIP: Syr	nbol(Box 1a):	ABNB210129C00190000				
01/26/2021	1.00	669.89	01/26/2021	630.08	0.00	39.81	Sell to Close	
CALL KGC 01/15/2	1 15 KINROSS			l(Box 1a): KGC210115C00				
01/15/2021	4.00	0.00	07/10/2020	56.37	0.00	-56.37	Expiration	
CALL VIPS 04/30/21				Symbol(Box 1a): VIPS21			Expiration	
0.440/0001	4.00	0 1 0 1	04/00/0004	50.00		a · · -		
04/12/2021	1.00	31.91	04/09/2021	56.08	0.00	-24.17	Sell to Close	
04/12/2021	1.00	53.91	04/09/2021	56.08	0.00	-2.17	Sell to Close	
Security Totals:		85.82		112.16		-26.34		
PUT AMZN 04/01/2	1 3125 AMAZON.	.COM INC CUSIF	P: Symbol(B	ox 1a): AMZN210401P031	25000			
04/01/2021	1.00	399.91	04/01/2021	550.23	150.32	D 0.00	Sell to Close	
- , - ,			,,					
04/01/2021	1.00	399.91	04/01/2021	550.39	150.48	D 0.00	Sell to Close	
04/01/2021	1.00	749.91	04/01/2021	650.07	0.00	99.84	Sell to Close	
0.,0.,2021		1 10.01	,,	000.01	5.00	00.01		
04/01/2021	1.00	599.91	04/01/2021	650.07	50.16	D 0.00	Sell to Close	
04/01/2021	1.00	449.91	04/01/2021	470.55	0.00	-20.64	Sell to Close	
Security Totals:		2,599.55		2,871.31	0.00	79.20		
PUT AMZN 03/19/2	1 3090 AMAZON	,	P: Symbol(B	box 1a): AMZN210319P030	90000	- • •		
03/17/2021	1.00	3 500 80	03/16/2021	3,100.08	0.00	100 01	Sell to Close	
00/17/2021	1.00	3,399.09	00/10/2021	3,100.00	0.00	499.01		
03/18/2021	1.00	2,699.89	03/18/2021	2,500.08	0.00	199.81	Sell to Close	
Security Totals:		6,299.78		5,600.16		699.62		
CALL AMZN 03/19/2	21 3100 AMAZON	I.COM INC CUSI	P: Symbol(E	Box 1a): AMZN210319C03	100000			
03/08/2021	1.00	3.199.89	03/08/2021	3,000.08	0.00	199.81	Sell to Close	
,,		-,	,, .	3,000.00	5.00			

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APEX CLEARING		Pro	ceeds fror	n Broker and E	Barter Exchange Trans	sactions 202	1 Form 1099-B*	
5MQ16480				(cont	inued)	01/3	31/2022	OMB No. 1545-0715
			COVERE					
	9, Part I with Box A cl							
•			as Ordinary in A	Additional Notes Columr)			
	cked (Covered Secur	·			n Additional Notes Column)	Box 12: Basis	Reported to the IRS	
	ferenced by a Box N	57			on not referenced by a Box Numb		•	
Description of pro	perty CUSIP Symb	ol(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(-)	Addition	nal Notes
CALL AMZN 03/19		N.COM INC CUS		ox 1a): AMZN210319C0	· // •			
03/09/2021	1.00	3,699.89	03/08/2021	3,000.08	0.00	699.81	Sell to Close	
03/15/2021	1.00	2,499.89	03/15/2021	2,300.08	0.00	199.81	Sell to Close	
03/15/2021	1.00	2,299.89	03/15/2021	2,100.08	0.00	199.81	Sell to Close	
03/15/2021	1.00	3,099.89	03/15/2021	3,000.08	0.00	99.81	Sell to Close	
Security Totals:		14,799.45		13,400.40		1,399.05		

Security rotals:		14,799.45	13,400.40		1,399.05		
CALL LUMN 01/22/21	10.50 LUMEN T	ECHNOLOGIES INC CUSIP: Syr	mbol(Box 1a): LUMN210122	2C00010500			
01/14/2021	1.00	92.90 01/14/2021	60.08	0.00	32.82	Sell to Close	
01/14/2021	1.00	93.90 01/14/2021	60.08	0.00	33.82	Sell to Close	
Security Totals:		186.80	120.16		66.64		
CALL BABA 01/15/21 2	245 ALIBABA	GROUP HOLDING LIMITED CUSIP	: Symbol(Box 1a): BABA2	210115C00245000			
01/14/2021	1.00	199.90 01/14/2021	296.08	0.00	-96.18	Sell to Close	
CALL AMC 02/19/21	6 AMCENTE	RTAINMENT HOLDINGS INC CUSI	IP: Symbol(Box 1a): AMC	210219C00006000			
02/18/2021	1.00	13.90 02/18/2021	24.08	0.00	-10.18	Sell to Close	
CALL TDOC 01/29/21	300 TELADOO	C HEALTH INC CUSIP: Symbol(B	lox 1a): TDOC210129C003	00000			
01/25/2021	1.00	749.89 01/25/2021	750.08	0.00	-0.19	Sell to Close	
PUT AMZN 04/16/21 3	355 AMAZON	.COM INC CUSIP: Symbol(Box 1a	a): AMZN210416P03355000)			
04/16/2021	3.00	0.00 Various	670.21	0.00	-670.21	Expiration	
CALL BA 01/22/21 21	0 BOEING CC	O CUSIP: Symbol(Box 1a): BA210	122C00210000				
01/21/2021	1.00	113.90 01/21/2021	118.08	0.00	-4.18	Sell to Close	
CALL MU 01/22/21 8	5 MICRON TE	CHNOLOGY INC CUSIP: Symbo	I(Box 1a): MU210122C0008	35000			

APEX CLEARING		Pro	ceeds fro	om Broker and B	arter Exchange Tr	ans	actions 202	1 Form 1099-B*	
MQ16480				(cont	inued)		01/3	1/2022	OMB No. 1545-0715
		TIONS FOR	COVER	ED TAX LOTS					
	9, Part I with Box A cl		OOVEIII						
	,		as Ordinary ii	n Additional Notes Column)				
Box 5: Box Not Cheo	cked (Covered Secur	ity)	Box 6: Gros	s (unless indicated as Net	in Additional Notes Column)		Box 12: Basis	Reported to the IR	S
The 1099-B data refe complete your retur		umber is reporte	d to the IRS.	The additional information	on not referenced by a Box N	lumb	er is not reported to	the IRS but may b	e helpful to
Description of prop	erty CUSIP Symb	ol(Box1a)							
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(-)	Additio	onal Notes
CALL MU 01/22/2	1 85 MICRON TE	ECHNOLOGY INC	CUSIP: S	Symbol(Box 1a): MU21012	2C00085000				
01/20/2021	1.00	85.90	01/20/2021	85.08	0.00		0.82	Sell to Close	
Security Totals:		150.80		160.16			-9.36		
CALL AMZN 05/14/	21 3350 AMAZON	N.COM INC CUS	IP: Symbol((Box 1a): AMZN210514C0	3350000				
05/10/2021	1.00	494.91	05/07/2021	1,800.07	1305.16	D	0.00	Sell to Close	
05/11/2021	1.00	214.91	05/10/2021	1,870.23	0.00	-	-1,655.32	Sell to Close	
Security Totals:		709.82		3,670.30			-1,655.32		
PUT BA 01/22/21	210 BOEING CC	O CUSIP: Symb	ool(Box 1a): B	A210122P00210000					
01/20/2021	1.00	124.90	01/20/2021	104.08	0.00		20.82	Sell to Close	
CALL SPOT 01/08/	21 330 SPOTIFY	TECHNOLOGY S	SA CUSIP:	Symbol (Box 1a): SPOT2	10108C00330000				
01/07/2021	1.00	-20.18	01/07/2021	0.00	0.00		-20.18	Buy to Close	
PUT AMZN 04/16/2				Box 1a): AMZN210416P03			20.10	Buy to blobb	
04/14/2021	1.00	2,099.90	04/14/2021	1,900.07	0.00		199.83	Sell to Close	
04/15/2021	1.00	1,049.91	04/15/2021	1,200.23	150.32	D	0.00	Sell to Close	
04/15/2021	1.00	1,049.91	04/15/2021	1,000.39	0.00		49.52	Sell to Close	
04/15/2021	1.00	999.91	04/15/2021	1,200.07	200.16	D	0.00	Sell to Close	
04/15/2021	1.00	999.91	04/15/2021	1,350.07	350.16	D	0.00	Sell to Close	
04/15/2021	1.00	1,049.91	04/15/2021	1,450.23	400.32	D	0.00	Sell to Close	
04/15/2021	1.00	649.91	04/15/2021	1,020.55	370.64	D	0.00	Sell to Close	
04/15/2021	1.00	1,099.91	04/15/2021	1,320.39	220.48	D	0.00	Sell to Close	

MQ16480				(cont	inued)		01/3	0MB No. 1545-071
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eport on Form 8949, F			ac Ordinary in A	dditional Notes Column	٠			
ox 5: Box Not Checke					in Additional Notes Column)		Boy 12. Basis	Reported to the IRS
		.,	·		,	Jumb		the IRS but may be helpful to
omplete your return.								the mo but may be helpful to
Description of propert	y CUSIP Symb	ol(Box1a)						
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
		/		x 1a): AMZN210416P03				
04/16/2021	1.00	519.91	04/15/2021	1,030.71	510.8	D	0.00	Sell to Close
04/16/2021	1.00	599.91	04/15/2021	1,141.87	541.96	D	0.00	Sell to Close
04/16/2021	3.00	0.00	Various	1,035.17	0.00		-1,035.17	Expiration
ecurity Totals:		10,119.09		13,649.75			-785.82	
ALL VXRT 01/29/21	8 VAXART IN	NC CUSIP: Sy	mbol(Box 1a): V	XRT210129C00008000				
01/25/2021	1.00		01/25/2021	47.08	0.00		-1.18	Sell to Close
ALL TSLA 01/29/21	1100 TESLA IN	NC CUSIP: Syi	mbol(Box 1a): TS	SLA210129C01100000				
01/25/2021	1.00	400.90	01/25/2021	502.26	101.36	D	0.00	Sell to Close
01/25/2021	1.00	339.90	01/25/2021	425.08	85.18	D	0.00	Sell to Close
01/26/2021	1.00	454.89	01/25/2021	451.44	0.00		3.45	Sell to Close
ecurity Totals:		1,195.69		1,378.78			3.45	
	2.50 CITIGROUP	PINC CUSIP:	Symbol(Box 1a):	C210115C00062500				
01/06/2021	1.00	070.00	07/00/0000	150.00	0.00		101.01	
01/06/2021 PUT CCIV 02/19/21	1.00 55 CHURCHIL		07/20/2020 PIV CL A CUSI	158.09 P: Symbol(Box 1a): C			121.81	Sell to Close
02/19/2021	1.00		02/19/2021	40.08	0.00		19.82	Sell to Close
UT AMZN 03/19/21	3045 AMAZON	I.COM INC CUS	P: Symbol(Bo	x 1a): AMZN210319P03	3045000			
03/19/2021	1.00	1,049.90	03/19/2021	950.08	0.00		99.82	Sell to Close
03/19/2021	1.00	849.90	03/19/2021	800.08	0.00		49.82	Sell to Close

67.08

0.00

68.90 03/23/2021

03/23/2021

1.00

APEX CLEARING

1.82 Sell to Close

				(cont	nued)	01/3	0MB No. 1545-07
		TIONS FOR	COVERE	D TAX LOTS			
	, Part I with Box A ch						
•			as Ordinary in	Additional Notes Column)		
	cked (Covered Securi	·			, in Additional Notes Column)	Boy 12: Basis	Reported to the IRS
	,	<i>,</i>		· ·	,		the IRS but may be helpful to
complete your retur					In not referenced by a Box r	number is not reported to	the Ins but may be helpful to
Description of prop	erty CUSIP Symb	ol(Box 1a)					
Data Oald an			D.4.		Accrued Market Discount		
Date Sold or Disposed		Proceeds	Date Acquired	Cost or Other	(M)(Box 1f) & Wash Sale Loss		
(Box 1c)	Quantity	(Box 1d)	(Box 1b)	Basis (Box 1e)	Disallowed (D)(Box 1g)	Gain or Loss(-)	Additional Notes
03/23/2021	1.00	65.91	03/23/2021	67.08	0.00	-1.17	Sell to Close
	1.00	134.81	03/23/2021	134.16	0.00	0.65	
Security Totals: PUT AMZN 03/19/2	21 3080 AMAZON		P· Symbol/B	ox 1a): AMZN210319P03	080000	0.05	
- 01 AIVIZIN 03/19/2	21 3000 AMAZON			0X Ta). AWIZINZ 103 19F 03	00000		
03/17/2021	1.00	3,399.89	03/16/2021	3,100.08	0.00	299.81	Sell to Close
CALL TSLA 04/09/2	1 700 TESLA IN	C CUSIP: Syn	nbol(Box 1a): T	SLA210409C00700000			
04/06/2021	1.00	1 150 01	04/06/2021	1 160 07	0.00	-0.16	Sell to Close
04/06/2021 PUT AMZN 03/19/2	1.00 21.3130 AMAZON	1,159.91	04/06/2021 P: Symbol(B	1,160.07 ox 1a): AMZN210319P03	0.00	-0.16	Sell to Close
		.,		1,160.07 ox 1a): AMZN210319P03		-0.16	Sell to Close
04/06/2021 PUT AMZN 03/19/2 03/17/2021		.,		,		-0.16 99.81	Sell to Close Sell to Close
PUT AMZN 03/19/2	21 3130 AMAZON 1.00	COM INC CUSI	P: Symbol(B	ox 1a): AMZN210319P03	130000		
PUT AMZN 03/19/2	21 3130 AMAZON	COM INC CUSI	P: Symbol(B	ox 1a): AMZN210319P03	130000		
PUT AMZN 03/19/2 03/17/2021 03/18/2021 Security Totals:	21 3130 AMAZON 1.00 1.00	.COM INC CUSI 2,599.89 4,499.88 7,099.77	P: Symbol(B 03/17/2021 03/17/2021	ox 1a): AMZN210319P03 2,500.08 2,400.08 4,900.16	130000 0.00 0.00	99.81	Sell to Close
PUT AMZN 03/19/2 03/17/2021	21 3130 AMAZON 1.00 1.00	.COM INC CUSI 2,599.89 4,499.88 7,099.77	P: Symbol(B 03/17/2021 03/17/2021	ox 1a): AMZN210319P03 2,500.08 2,400.08	130000 0.00 0.00	99.81 2,099.80	Sell to Close
PUT AMZN 03/19/2 03/17/2021 03/18/2021 Security Totals: CALL SNDL 02/19/3	21 3130 AMAZON 1.00 1.00 21 1 SUNDIAL C	.COM INC CUSI 2,599.89 4,499.88 7,099.77 GROWERS INC 1	P: Symbol(B 03/17/2021 03/17/2021 CUSIP: Syml	ox 1a): AMZN210319P03 2,500.08 2,400.08 4,900.16 bol(Box 1a): SNDL21021	130000 0.00 0.00 9C00001000	99.81 2,099.80 2,199.61	Sell to Close Sell to Close
PUT AMZN 03/19/2 03/17/2021 03/18/2021 Security Totals:	21 3130 AMAZON 1.00 1.00	.COM INC CUSI 2,599.89 4,499.88 7,099.77 GROWERS INC 1	P: Symbol(B 03/17/2021 03/17/2021	ox 1a): AMZN210319P03 2,500.08 2,400.08 4,900.16	130000 0.00 0.00	99.81 2,099.80 2,199.61	Sell to Close
PUT AMZN 03/19/2 03/17/2021 03/18/2021 Security Totals: CALL SNDL 02/19/3	21 3130 AMAZON 1.00 1.00 21 1 SUNDIAL C	.COM INC CUSI 2,599.89 4,499.88 7,099.77 GROWERS INC 49.58	P: Symbol(B 03/17/2021 03/17/2021 CUSIP: Syml	ox 1a): AMZN210319P03 2,500.08 2,400.08 4,900.16 bol(Box 1a): SNDL21021	130000 0.00 0.00 9C00001000	99.81 2,099.80 2,199.61	Sell to Close Sell to Close
PUT AMZN 03/19/2 03/17/2021 03/18/2021 Security Totals: CALL SNDL 02/19/: 01/05/2021 01/05/2021	21 3130 AMAZON 1.00 1.00 21 1 SUNDIAL C 5.00	.COM INC CUSI 2,599.89 4,499.88 7,099.77 GROWERS INC 49.58	P: Symbol(B 03/17/2021 03/17/2021 CUSIP: Syml 01/04/2021	ox 1a): AMZN210319P03 2,500.08 2,400.08 4,900.16 bol(Box 1a): SNDL210219 50.40	130000 0.00 0.00 9C00001000 0.49	99.81 2,099.80 2,199.61 D -0.33	Sell to Close Sell to Close Sell to Close
PUT AMZN 03/19/2 03/17/2021 03/18/2021 Security Totals: CALL SNDL 02/19/2 01/05/2021 01/05/2021 Security Totals:	21 3130 AMAZON 1.00 1.00 21 1 SUNDIAL C 5.00 3.00	.COM INC CUSI 2,599.89 4,499.88 7,099.77 GROWERS INC 49.58 29.74 79.32	P: Symbol(B 03/17/2021 03/17/2021 CUSIP: Syml 01/04/2021 01/04/2021	ox 1a): AMZN210319P03 2,500.08 2,400.08 4,900.16 bol(Box 1a): SNDL210219 50.40 30.73	130000 0.00 0.00 9C00001000 0.49	99.81 2,099.80 2,199.61 D -0.33 -0.99	Sell to Close Sell to Close Sell to Close
PUT AMZN 03/19/2 03/17/2021 03/18/2021 Security Totals: CALL SNDL 02/19/: 01/05/2021 01/05/2021 01/05/2021 Security Totals: CALL NIO 01/29/2	21 3130 AMAZON 1.00 1.00 21 1 SUNDIAL O 5.00 3.00 1 70 NIO INC AD	.COM INC CUSI 2,599.89 4,499.88 7,099.77 GROWERS INC 49.58 29.74 79.32 S CUSIP: Syn	P: Symbol(B 03/17/2021 03/17/2021 CUSIP: Syml 01/04/2021 01/04/2021 nbol(Box 1a): N	ox 1a): AMZN210319P03 2,500.08 2,400.08 4,900.16 bol(Box 1a): SNDL210219 50.40 30.73 81.13 IO210129C00070000	130000 0.00 0.00 0.00 0.49 0.00	99.81 2,099.80 2,199.61 D -0.33 -0.99 -1.32	Sell to Close Sell to Close Sell to Close Sell to Close
PUT AMZN 03/19/2 03/17/2021 03/18/2021 Security Totals: CALL SNDL 02/19/: 01/05/2021 01/05/2021 Security Totals: CALL NIO 01/29/2 01/26/2021	21 3130 AMAZON 1.00 1.00 21 1 SUNDIAL O 5.00 3.00 1 70 NIO INC AD 1.00	.COM INC CUSI 2,599.89 4,499.88 7,099.77 GROWERS INC 1 49.58 29.74 79.32 S CUSIP: Syn 18.90	P: Symbol(B 03/17/2021 03/17/2021 CUSIP: Syml 01/04/2021 01/04/2021 nbol(Box 1a): N 01/25/2021	ox 1a): AMZN210319P03 2,500.08 2,400.08 4,900.16 bol(Box 1a): SNDL210213 50.40 30.73 81.13 IO210129C00070000 71.08	130000 0.00 0.00 9C00001000 0.49	99.81 2,099.80 2,199.61 D -0.33 -0.99 -1.32	Sell to Close Sell to Close Sell to Close
PUT AMZN 03/19/2 03/17/2021 03/18/2021 Security Totals: CALL SNDL 02/19/: 01/05/2021 01/05/2021 01/05/2021 Security Totals: CALL NIO 01/29/2	21 3130 AMAZON 1.00 1.00 21 1 SUNDIAL O 5.00 3.00 1 70 NIO INC AD 1.00	.COM INC CUSI 2,599.89 4,499.88 7,099.77 GROWERS INC 1 49.58 29.74 79.32 S CUSIP: Syn 18.90	P: Symbol(B 03/17/2021 03/17/2021 CUSIP: Syml 01/04/2021 01/04/2021 nbol(Box 1a): N 01/25/2021	ox 1a): AMZN210319P03 2,500.08 2,400.08 4,900.16 bol(Box 1a): SNDL210219 50.40 30.73 81.13 IO210129C00070000	130000 0.00 0.00 0.00 0.49 0.00	99.81 2,099.80 2,199.61 D -0.33 -0.99 -1.32	Sell to Close Sell to Close Sell to Close Sell to Close
PUT AMZN 03/19/2 03/17/2021 03/18/2021 Security Totals: CALL SNDL 02/19/: 01/05/2021 01/05/2021 Security Totals: CALL NIO 01/29/2 01/26/2021	21 3130 AMAZON 1.00 1.00 21 1 SUNDIAL O 5.00 3.00 1 70 NIO INC AD 1.00	.COM INC CUSI 2,599.89 4,499.88 7,099.77 GROWERS INC 1 49.58 29.74 79.32 S CUSIP: Syn 18.90 O CUSIP: Syn	P: Symbol(B 03/17/2021 03/17/2021 CUSIP: Syml 01/04/2021 01/04/2021 nbol(Box 1a): N 01/25/2021	ox 1a): AMZN210319P03 2,500.08 2,400.08 4,900.16 bol(Box 1a): SNDL210213 50.40 30.73 81.13 IO210129C00070000 71.08	130000 0.00 0.00 0.00 0.49 0.00	99.81 2,099.80 2,199.61 D -0.33 -0.99 -1.32 -52.18	Sell to Close Sell to Close Sell to Close Sell to Close

APEX CLEARING

74 of 110

5MQ16480				(conti	nued)		01/3	1/2022	OMB No. 1545-0715
SHORT TERM TR	ANSACTI	ONS FOR	COVERE	D TAX LOTS					
Report on Form 8949, Part I	with Box A che	ecked.							
Box 2: Type of Gain or Loss			as Ordinary in	Additional Notes Column)					
Box 5: Box Not Checked (Co	overed Security	` /)	Box 6: Gross	(unless indicated as Net i	n Additional Notes Column)		Box 12: Basis	Reported to the IRS	
The 1099-B data referenced complete your return.	d by a Box Nu	mber is reported	d to the IRS. T	he additional information	n not referenced by a Box I	Num	ber is not reported to t	the IRS but may be	helpful to
Description of property C	USIP Symbo	l(Box 1a)							
Data Califar			Data		Accrued Market Discount				
Date Sold or Disposed		Proceeds	Date Acquired	Cost or Other	(M)(Box 1f) & Wash Sale Loss				
(Box 1c) Quar		(Box 1d)	(Box 1b)	Basis (Box 1e)	Disallowed (D)(Box 1g)		Gain or Loss(-)	Additio	nal Notes
CALL TSLA 04/09/21 690	TESLA INC	CUSIP: Sym	nbol(Box 1a): TS	SLA210409C00690000					
04/09/2021	1.00	34.91	04/09/2021	147.07	112.16	D	0.00	Sell to Close	
04/09/2021	1.00	39.91	04/09/2021	246.23	206.32	D	0.00	Sell to Close	
Security Totals:		106.73		658.69			-233.48		
CALL NET 02/19/21 95	CLOUDFLAF	RE INC CL A CI	USIP: Symbo	ol(Box 1a): NET210219C0	0095000				
01/13/2021	1.00	389.90	01/13/2021	300.08	0.00		89.82	Sell to Close	
CALL ROKU 04/01/21 305	ROKU INC	CUSIP: Sym	bol(Box 1a): R	OKU210401C00305000					
03/26/2021	1.00	1	03/26/2021	900.08	0.00		149.82	Sell to Close	
CALL UBER 03/19/21 60	UBER TECH	INOLOGIES INC	C CUSIP: S	ymbol(Box 1a): UBER210	319C00060000				
02/02/2021	1.00		02/01/2021	211.08	0.00		115.82	Sell to Close	
CALL WM 03/19/21 120	WASTE MA	NAGEMENT INC	C DEL CUSIP:	: Symbol(Box 1a): WM2	10319C00120000				
01/25/2021	1.00		01/25/2021	175.08	0.00		0.82	Sell to Close	
PUT RIOT 02/19/21 66	RIOT BLOCK	CHAIN INC CU	JSIP: Symbo	I(Box 1a): RIOT210219P0	0066000				
02/18/2021	1.00		02/18/2021	391.08	0.00		3.82	Sell to Close	
CALL FSLY 01/22/21 105	FASTLY INC	C CLASS A CU	ISIP: Symbol	(Box 1a): FSLY210122C0	0105000				
01/21/2021	1.00		01/21/2021	240.08	0.00		-40.18	Sell to Close	
PUT TSLA 04/16/21 720	TESLA INC	CUSIP: Sym	bol(Box 1a): TS	SLA210416P00720000					
04/16/2021	1.00		04/16/2021	136.07	0.00		-136.07	Expiration	
CALL ROKU 04/01/21 310	ROKUINC	CUSIP: Sym	ibol(Box 1a): R	OKU210401C00310000					
03/30/2021	1.00	499.90	03/30/2021	600.08	100.18	D	0.00	Sell to Close	
03/30/2021	1.00	554.90	03/30/2021	441.44	0.00		113.46	Sell to Close	

APEX CLEARING

5MQ16480				(conti	nued)	01/3	31/2022 OMB No. 1545-0715
SHORT TERM	TRANSACT	TIONS FOR	COVERE	TAX LOTS			
Report on Form 8949, F							
•			as Ordinary in A	dditional Notes Column)			
Box 5: Box Not Checke			2	,	n Additional Notes Column)	Box 12: Basic	s Reported to the IRS
		• ·	·		,		the IRS but may be helpful to
complete your return.					Inflot referenced by a Box r		the InS but may be helpful to
Description of proper	ty CUSIP Symb	ool(Box 1a)					
			- .		Accrued Market Discount		
Date Sold or Disposed		Proceeds	Date Acquired	Cost or Other	(M)(Box 1f) & Wash Sale Loss		
	Quantity	(Box 1d)	(Box 1b)	Basis (Box 1e)	Disallowed (D)(Box 1g)	Gain or Loss(-)	Additional Notes
03/30/2021	1.00		03/30/2021	570.26	41.36		Sell to Close
ecurity Totals:		1,583.70		1,611.78		113.46	
CALL OXY 03/26/21	32.50 OCCIDEN	NTAL PETROLEUN	M CORP CUSI	P: Symbol(Box 1a): OX	(Y210326C00032500		
03/15/2021	1.00	61.90	03/15/2021	60.08	0.00	1.82	Sell to Close
CALL SLV 01/15/21	29 ISHARES S			bol(Box 1a): SLV210115			
01/15/2021	4.00	0.00	Various	769.74	0.00	-769.74	Expiration
CALL JETS 02/05/21	23 ETF SERIE	ES SOLUTIONS U	S GLBL CUSIF	P: Symbol(Box 1a): JE	FS210205C00023000		
01/06/2021	1.00	83.90	01/06/2021	82.08	0.00	1.82	Sell to Close
01/06/2021	1.00	82.90	01/06/2021	82.08	0.00	0.82	Sell to Close
Security Totals:		166.80		164.16		2.64	
PUT COIN 05/07/21	290 COINBASI	E GLOBAL INC C	USIP: Symbo	l(Box 1a): COIN210507F	200290000		
05/03/2021	1.00	409.91	05/03/2021	340.07	0.00	69.84	Sell to Close
CALL V 06/18/21 2	50 VISA INC C	CUSIP: Symbol(3ox 1a): V21061	8C00250000			
02/02/2021	1.00	199.90	02/01/2021	190.08	0.00	9.82	Sell to Close
CALL SHOP 02/05/21	1300 SHOPIF	YINC CUSIP: \$	Symbol(Box 1a):	SHOP210205C013000	00		
02/02/2021	1.00	209.90	02/02/2021	200.08	0.00	9.82	Sell to Close
OT NFLX 02/19/21	540 NETFLIX I	INC CUSIP: Sy	mbol(Box 1a): N	FLX210219P00540000			
02/19/2021	1.00	99.90	02/19/2021	170.08	0.00	-70.18	Sell to Close
CALL AAPL 01/29/21	135 APPLE IN	IC CUSIP: Sym	bol(Box 1a): AA	PL210129C00135000			
01/21/2021	1.00	480.89	01/21/2021	420.08	0.00	60.81	Sell to Close
CALL ZM 01/15/21				SIP: Symbol(Box 1a):		20.01	

0.00

750.08

01/13/2021

1.00

799.89 01/13/2021

49.81 Sell to Close

				(con	inued)	01/3	0MB No. 1545-0715
SHORT TER		TIONS FOR	COVERED	TAX LOTS			
	9, Part I with Box A c						
•			as Ordinary in A	dditional Notes Colum	1)		
Box 5: Box Not Che	cked (Covered Secur	rity)	Box 6: Gross (unless indicated as Net	in Additional Notes Column)	Box 12: Basis	Reported to the IRS
The 1099-B data ref	ferenced by a Box N	lumber is reporte				Number is not reported to	the IRS but may be helpful to
complete your retu	rn.	-			-	-	
Description of prop	perty CUSIP Symb	ool(Box1a)					
Date Sold or			Date		Accrued Market Discount (M)(Box 1f) &		
Disposed	Quantity	Proceeds	Acquired	Cost or Other	Wash Sale Loss		Additional Notae
(Box 1c) CALL CRON 01/15	Quantity	(Box 1d) GROUP INC CL	Box 1b) SIP: Symbol(Basis (Box 1e) Box 1a): CRON210115	Disallowed (D)(Box 1g)	Gain or Loss(-)	Additional Notes
	,						
01/07/2021	3.00	44.74	01/07/2021	54.24	0.00	-9.50	Sell to Close
01/08/2021	1.00	10.00	01/07/2021	18.08	0.00	-7.18	Sell to Close
01/00/2021	1.00	10.90	01/07/2021	10.00	0.00	-7.10	Sell to Close
01/08/2021	1.00	6.90	01/07/2021	18.08	0.00	-11.18	Sell to Close
Security Totals:		62.54		90.40		-27.86	
PUT AMZN 03/19/	21 3120 AMAZON	N.COM INC CUSI	P: Symbol(Bo	x 1a): AMZN210319P0	3120000		
03/16/2021							
	1 00	2 100 80	00/10/0001	2 000 00	0.00	100.81	Sall to Class
1 - 1	1.00 21 3110 AMAZON		03/16/2021 P: Symbol(Bo	3,000.08 x 1a): AMZN210319P0	0.00	199.81	Sell to Close
1 - 1				3,000.08 x 1a): AMZN210319P03		199.81	Sell to Close
PUT AMZN 03/19/ 03/16/2021	21 3110 AMAZON	1.COM INC CUSI 3,099.89	P: Symbol(Bo 03/16/2021	x 1a): AMZN210319P0 3,000.08	0.00	<u>199.81</u> 99.81	Sell to Close Sell to Close
PUT AMZN 03/19/ 03/16/2021	21 3110 AMAZON	1.COM INC CUSI 3,099.89	P: Symbol(Bo 03/16/2021	x 1a): AMZN210319P0	0.00		
PUT AMZN 03/19/ 03/16/2021 CALL HTHT 03/19	21 3110 AMAZON	3,099.89 GROUP LIMITED	P: Symbol(Bo 03/16/2021 ADS CUSIP:	x 1a): AMZN210319P0 3,000.08	0.00	99.81	Sell to Close
PUT AMZN 03/19/ 03/16/2021 CALL HTHT 03/19 03/16/2021	21 3110 AMAZON 1.00 /21 60 HUAZHU 1.00	N.COM INC CUSI 3,099.89 GROUP LIMITED 179.90	P: Symbol(Bo 03/16/2021 ADS CUSIP: 03/16/2021	x 1a): AMZN210319P0 3,000.08 Symbol(Box 1a): HTH	0.00 0.00 0.00 0.00 0.00	99.81	
PUT AMZN 03/19/ 03/16/2021 CALL HTHT 03/19 03/16/2021 PUT AMZN 04/16/	21 3110 AMAZON <u>1.00</u> /21 60 HUAZHU <u>1.00</u> /21 3340 AMAZON	3,099.89 3,099.89 GROUP LIMITED 179.90 N.COM INC CUSI	P: Symbol(Bo 03/16/2021 ADS CUSIP: 03/16/2021 P: Symbol(Bo	x 1a): AMZN210319P0 3,000.08 Symbol(Box 1a): HTH 180.08 x 1a): AMZN210416P0	0.00 0.00 0.00 0.00 0.00 0.00 0.00	99.81 -0.18	Sell to Close Sell to Close
PUT AMZN 03/19/ 03/16/2021 CALL HTHT 03/19 03/16/2021	21 3110 AMAZON 1.00 /21 60 HUAZHU 1.00	3,099.89 3,099.89 GROUP LIMITED 179.90 N.COM INC CUSI	P: Symbol(Bo 03/16/2021 ADS CUSIP: 03/16/2021	x 1a): AMZN210319P0 3,000.08 Symbol(Box 1a): HTH 180.08	0.00 0.00 0.00 0.00 0.00	99.81 -0.18	Sell to Close
PUT AMZN 03/19/ 03/16/2021 CALL HTHT 03/19 03/16/2021 PUT AMZN 04/16/	21 3110 AMAZON <u>1.00</u> /21 60 HUAZHU <u>1.00</u> /21 3340 AMAZON	3,099.89 3,099.89 GROUP LIMITED 179.90 N.COM INC CUSI 1,699.91	P: Symbol(Bo 03/16/2021 ADS CUSIP: 03/16/2021 P: Symbol(Bo	x 1a): AMZN210319P0 3,000.08 Symbol(Box 1a): HTH 180.08 x 1a): AMZN210416P0	0.00 0.00 0.00 0.00 0.00 0.00 0.00	99.81 -0.18 D 0.00	Sell to Close Sell to Close
PUT AMZN 03/19/ 03/16/2021 CALL HTHT 03/19 03/16/2021 PUT AMZN 04/16/ 04/14/2021	21 3110 AMAZON 1.00 /21 60 HUAZHU 1.00 21 3340 AMAZON 1.00	3,099.89 3,099.89 GROUP LIMITED 179.90 N.COM INC CUSI 1,699.91	P: Symbol(Bo 03/16/2021 ADS CUSIP: 03/16/2021 P: Symbol(Bo 04/14/2021	x 1a): AMZN210319P0 3,000.08 Symbol(Box 1a): HTH 180.08 x 1a): AMZN210416P0 2,300.07	0.00 0.00 0.00 0.00 0.00 0.00 0.00 0.0	99.81 -0.18 D 0.00	Sell to Close Sell to Close Sell to Close
PUT AMZN 03/19/ 03/16/2021 CALL HTHT 03/19 03/16/2021 PUT AMZN 04/16/ 04/14/2021	21 3110 AMAZON 1.00 /21 60 HUAZHU 1.00 21 3340 AMAZON 1.00	N.COM INC CUSI 3,099.89 GROUP LIMITED 179.90 N.COM INC CUSI 1,699.91 1,699.91	P: Symbol(Bo 03/16/2021 ADS CUSIP: 03/16/2021 P: Symbol(Bo 04/14/2021	x 1a): AMZN210319P0 3,000.08 Symbol(Box 1a): HTH 180.08 x 1a): AMZN210416P0 2,300.07	0.00 0.00 0.00 0.00 0.00 0.00 0.00 0.0	99.81 -0.18 D 0.00	Sell to Close Sell to Close Sell to Close
PUT AMZN 03/19/ 03/16/2021 CALL HTHT 03/19 03/16/2021 PUT AMZN 04/16/ 04/14/2021 04/14/2021 04/14/2021 Security Totals:	21 3110 AMAZON 1.00 21 60 HUAZHU 1.00 21 3340 AMAZON 1.00 1.00 1.00	N.COM INC CUSI 3,099.89 GROUP LIMITED 179.90 N.COM INC CUSI 1,699.91 1,699.91 1,749.91 5,149.73	P: Symbol(Bo 03/16/2021 ADS CUSIP: 03/16/2021 P: Symbol(Bo 04/14/2021 04/14/2021 04/14/2021	x 1a): AMZN210319P0 3,000.08 Symbol(Box 1a): HTH 180.08 x 1a): AMZN210416P0 2,300.07 2,650.23 2,500.39 7,450.69	3110000 0.00 T210319C00060000 0.00 3340000 600.16 950.32 0.00	99.81 -0.18 D 0.00 D 0.00	Sell to Close Sell to Close Sell to Close Sell to Close
PUT AMZN 03/19/ 03/16/2021 CALL HTHT 03/19 03/16/2021 PUT AMZN 04/16/ 04/14/2021 04/14/2021 04/14/2021 Security Totals:	21 3110 AMAZON 1.00 21 60 HUAZHU 1.00 21 3340 AMAZON 1.00 1.00 1.00	N.COM INC CUSI 3,099.89 GROUP LIMITED 179.90 N.COM INC CUSI 1,699.91 1,699.91 1,749.91 5,149.73	P: Symbol(Bo 03/16/2021 ADS CUSIP: 03/16/2021 P: Symbol(Bo 04/14/2021 04/14/2021 04/14/2021	x 1a): AMZN210319P0 3,000.08 Symbol(Box 1a): HTH 180.08 x 1a): AMZN210416P0 2,300.07 2,650.23 2,500.39	3110000 0.00 T210319C00060000 0.00 3340000 600.16 950.32 0.00	99.81 -0.18 D 0.00 D 0.00 -750.48	Sell to Close Sell to Close Sell to Close Sell to Close
PUT AMZN 03/19/ 03/16/2021 CALL HTHT 03/19 03/16/2021 PUT AMZN 04/16/ 04/14/2021 04/14/2021 04/14/2021 Security Totals:	21 3110 AMAZON 1.00 21 60 HUAZHU 1.00 21 3340 AMAZON 1.00 1.00 1.00	N.COM INC CUSI 3,099.89 GROUP LIMITED 179.90 N.COM INC CUSI 1,699.91 1,699.91 1,749.91 5,149.73 CLASS A COMM	P: Symbol(Bo 03/16/2021 ADS CUSIP: 03/16/2021 P: Symbol(Bo 04/14/2021 04/14/2021 04/14/2021	x 1a): AMZN210319P0 3,000.08 Symbol(Box 1a): HTH 180.08 x 1a): AMZN210416P0 2,300.07 2,650.23 2,500.39 7,450.69	3110000 0.00 T210319C00060000 0.00 3340000 600.16 950.32 0.00	99.81 -0.18 D 0.00 D 0.00 -750.48 - 750.48	Sell to Close Sell to Close Sell to Close Sell to Close
PUT AMZN 03/19/ 03/16/2021 CALL HTHT 03/19 03/16/2021 PUT AMZN 04/16/ 04/14/2021 04/14/2021 04/14/2021 04/14/2021 SHOALS TECHNOL 01/27/2021	21 3110 AMAZON 1.00 /21 60 HUAZHU 1.00 21 3340 AMAZON 1.00 1.00 1.00 1.00 1.00 1.00 1.00	N.COM INC CUSI 3,099.89 GROUP LIMITED 179.90 N.COM INC CUSI 1,699.91 1,699.91 1,749.91 5,149.73 CLASS A COMM 32.22	P: Symbol(Bo 03/16/2021 ADS CUSIP: 03/16/2021 P: Symbol(Bo 04/14/2021 04/14/2021 04/14/2021 04/14/2021 10N STOCK Cl 01/27/2021	x 1a): AMZN210319P0: 3,000.08 Symbol(Box 1a): HTH 180.08 x 1a): AMZN210416P0: 2,300.07 2,650.23 2,500.39 7,450.69 JSIP: 82489W107 Syr 31.70	0.00 T210319C00060000 0.00 3340000 600.16 950.32 0.00 nbol(Box 1a): SHLS 0.00	99.81 -0.18 D 0.00 D 0.00 -750.48 - 750.48 0.52	Sell to Close
PUT AMZN 03/19/ 03/16/2021 CALL HTHT 03/19 03/16/2021 PUT AMZN 04/16/ 04/14/2021 04/14/2021 04/14/2021 04/14/2021 SHOALS TECHNOL	21 3110 AMAZON 1.00 21 60 HUAZHU 1.00 21 3340 AMAZON 1.00 1.00 1.00 1.00	N.COM INC CUSI 3,099.89 GROUP LIMITED 179.90 N.COM INC CUSI 1,699.91 1,699.91 1,749.91 5,149.73 CLASS A COMM 32.22	P: Symbol(Bo 03/16/2021 ADS CUSIP: 03/16/2021 P: Symbol(Bo 04/14/2021 04/14/2021 04/14/2021 04/14/2021	x 1a): AMZN210319P0: 3,000.08 Symbol(Box 1a): HTH 180.08 x 1a): AMZN210416P0: 2,300.07 2,650.23 2,500.39 7,450.69 JSIP: 82489W107 Syr	0.00 T210319C00060000 0.00 3340000 600.16 950.32 0.00 nbol(Box 1a): SHLS	99.81 -0.18 D 0.00 D 0.00 -750.48 - 750.48	Sell to Close Sell to Close Sell to Close Sell to Close 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.

2021 Form 1099-B*

APEX CLEARING

MQ16480				(con	tinued)		01/3	31/2022	OMB No. 1545-0715
		IONS FOR	COVERE	D TAX LOTS					
eport on Form 8949	, Part I with Box A ch	necked.							
ox 2: Type of Gain	or Loss - Short-Term	(unless indicated	as Ordinary in	Additional Notes Colum	ו)				
ox 5: Box Not Cheo	cked (Covered Securi	ty)	Box 6: Gross	s (unless indicated as Net	in Additional Notes Column)		Box 12: Basis	Reported to the IRS	
		umber is reporte	d to the IRS. T	he additional information	on not referenced by a Box N	lumbe	er is not reported to	the IRS but may be he	elpful to
complete your retur	n.								
escription of prop	erty CUSIP Symbo	ol(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(-)	Additiona	l Notes
		· · · · · ·		Box 1a): AMZN210401P0				Additiona	
04/01/2021	1.00	699.91	04/01/2021	880.07	180.16	D	0.00	Sell to Close	
04/01/2021	1.00	549.91	04/01/2021	680.39	0.00		-130.48	Sell to Close	
04/01/2021	4.00	1,999.65	Various	2,280.44	380.32	D	99.53	Sell to Close	
ecurity Totals:		3,249.47		3,840.90			-30.95		
ALL AAPL 04/16/2	21 125 APPLE IN	C AE	J 4:1 STOCK	SPLIT CUSIP: Symbo	bl(Box 1a): AAPL210416C0012	25000			
03/22/2021	1.00	269.90	03/22/2021	266.08	0.00		3.82	Sell to Close	
ALL SBUX 04/01/2	21 112 STARBUC	KS CORPORAT	ON CUSIP:	Symbol(Box 1a): SBUX	210401C00112000				
03/26/2021	1.00	27.90	03/22/2021	102.25	0.00		-74.35	Sell to Close	
03/26/2021	3.00	86.74	03/22/2021	216.24	86.34	D	-43.16	Sell to Close	
03/26/2021	1.00	27.90	03/22/2021	92.25	0.00		-64.35	Sell to Close	
ecurity Totals:		142.54		410.74			-181.86		
UT AMZN 03/05/2	21 3270 AMAZON	.COM INC CUSI	P: Symbol(E	Box 1a): AMZN210305P0	3270000				
02/16/2021	1.00	7.549.74	02/16/2021	7.500.08	0.00		49.66	Sell to Close	
CALL AMZN 04/01/				Box 1a): AMZN210401C0					
03/29/2021	1.00		03/29/2021	1,300.08	0.00		-0.18	Sell to Close	
CALL SLCA 02/19/2	21 12 USSILICA	HOLDINGS INC	CUSIP: Sy	mbol(Box 1a): SLCA210	219C00012000				
01/25/2021	1.00	9.90	01/15/2021	55.08	0.00		-45.18	Sell to Close	
02/17/2021	1.00	4.90	01/15/2021	55.08	0.00		-50.18	Sell to Close	
ecurity Totals:		14.80		110.16			-95.36		
CALL FB 01/29/21	300 FACEBOOK	INC CL A CUS	P: Symbol(E	Box 1a): FB210129C0030	0000				
01/21/2021	1.00	231.90	01/20/2021	175.08	0.00		56.82	Sell to Close	

APEX CLEARING 5MO16480

(continued)

Proceeds from Broker and Barter Exchange Transactions

01/21/2022

2021 Form 1099-B*

OMB No. 1545-0715

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APEX CLEARING		Proce	eds fron	n Broker and E	Barter Exchange Tran	sactions 202	1 Form 1099-B*	
5MQ16480				(con	tinued)	01/3	31/2022	OMB No. 1545-0715
Box 5: Box Not Check	, Part I with Box A ch or Loss - Short-Term ked (Covered Securit erenced by a Box Nu	necked. (unless indicated as ty) E	s Ordinary in A 3ox 6: Gross (I	dditional Notes Colum unless indicated as Net	n) : in Additional Notes Column) on not referenced by a Box Num		Reported to the IR the IRS but may b	
Description of prope Date Sold or Disposed (Box 1c) CALL FB 01/29/21	Quantity	Proceeds (Box 1d)	Date Acquired (Box 1b) Symbol(Box	Cost or Other Basis (Box 1e) <1a): FB210129C0030	Accrued Market Discount (M)(Box 1f) & Wash Sale Loss Disallowed (D)(Box 1g)	Gain or Loss(-)	Additio	onal Notes
01/25/2021	1.00	323.90 0	1/22/2021	272.08	0.00	51.82	Sell to Close	
Security Totals:		555.80		447.16		108.64		
CALL PEIX 02/19/21	9 ALTO INGRE		SIP: Symbol	(Box 1a): PEIX210219	C00009000			
01/14/2021	1.00	40.90 0	1/13/2021	60.08	0.00	-19.18	Sell to Close	
01/14/2021	1.00	54.90 0	1/13/2021	60.08	0.00	-5.18	Sell to Close	
Security Totals:		95.80		120.16		-24.36		
PUT BIDU 02/19/21	170 BAIDU INC	CUSIP: Symbol	(Box 1a): BIDU	J210219P00170000				
01/13/2021	1.00	194.90 0	1/13/2021	197.08	0.00	-2.18	Sell to Close	
CALL BABA 01/15/2					: BABA210115C00230000			
01/07/2021	1.00	421.90 0	1/07/2021	420.08	0.00	1.82	Sell to Close	
CALL DIS 02/19/21				a): DIS210219C00205				
01/20/2021	1.00	75.90 0	1/20/2021	75.08	0.00	0.82	Sell to Close	
01/20/2021	1.00	66.90 0	1/20/2021	75.08	0.00	-8.18	Sell to Close	
Security Totals:		142.80		150.16		-7.36		
CALL F 01/15/21	11 FORD MOTOR	R COMPANY CUS	SIP: Symbol	Box 1a): F210115C00	011000			
01/15/2021	5.00	0.00 0	7/10/2020	45.47	0.00	-45.47	Expiration	
CALL FB 01/29/21				(1a): FB210129C0029			•	
01/26/2021	1.00	394.90 0	1/25/2021	372.08	0.00	22.82	Sell to Close	
CALL ZM 01/22/21					: ZM210122C00420000			
01/14/2021	1.00	459.89 0	1/13/2021	350.26	0.00	109.63	Sell to Close	

APEX CLEARING		Pro	ceeds from	n Broker and E	Barter Exchange Tr	ansactio	ons ²⁰²	1 Form 1099-B*	
5MQ16480				(con	tinued)		01/3	31/2022	OMB No. 1545-0715
Report on Form 8949 Box 2: Type of Gain Box 5: Box Not Che	cked (Covered Securit ferenced by a Box Nւ	necked. (unless indicated ty)	as Ordinary in A Box 6: Gross (additional Notes Column unless indicated as Net	n) in Additional Notes Column) on not referenced by a Box N			Reported to the IF	
Description of prop	erty CUSIP Symbo	ol(Box1a)							
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)	Gai	n or Loss(-)	Additi	onal Notes
01/14/2021	1.00	359.90	01/13/2021	450.08	90.18	D	0.00	Sell to Close	
Security Totals:		819.79		800.34			109.63		
PUT ROKU 05/07/	21 280 ROKU INC	CUSIP: Symb	ool(Box 1a): ROI	KU210507P00280000					
05/06/2021 CALL AMZN 03/05,	1.00 /21 4000 AMAZON		05/05/2021 P: Symbol(Bo	440.07 ox 1a): AMZN210305C0	0.00		179.84	Sell to Close	
01/26/2021	1.00	2,029.86	01/26/2021	1,940.08	0.00		89.78	Sell to Close	
***TANTECH HOLD	INGS LTD COM	CUSIP: G8675X	107 Symbol (Bo	ox 1a): TANH					
01/25/2021	500.00		01/25/2021	1,025.00	0.00		-10.09	Sale	
PUT AMZN 04/01/	21 3050 AMAZON.	COM INC CUSI	P: Symbol(Bo	x 1a): AMZN210401P0	3050000				
03/29/2021	1.00	3,199.89	03/29/2021	3,000.08	0.00		199.81	Sell to Close	
03/29/2021	1.00	2,199.89	03/29/2021	2,200.08	0.19	D	0.00	Sell to Close	
03/30/2021	1.00	2,799.89	03/30/2021	2,700.08	0.00		99.81	Sell to Close	
03/30/2021	1.00	2,899.89	03/30/2021	2,700.27	0.00		199.62	Sell to Close	
Security Totals:		11,099.56		10,600.51			499.24		
CALL ZM 01/15/2	1 345 ZOOM VIDE	EO COMMUNICA	TIONS INC CU	SIP: Symbol(Box 1a)	: ZM210115C00345000				
01/12/2021	1.00		01/11/2021	800.08	0.00		99.81	Sell to Close	
PUT AMZN 04/09/	21 3100 AMAZON.	COM INC CUSI	P: Symbol(Bo	x 1a): AMZN210409P0	3100000				
04/06/2021	1.00	239.91	04/05/2021	1,460.23	1220.32	D	0.00	Sell to Close	

1.00

1.00

2.00

269.91 04/05/2021

259.91 04/06/2021

Various

449.82

04/06/2021

04/06/2021

04/06/2021

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0.00 Sell to Close

0.00 Sell to Close

-1,565.80 Sell to Close

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1450.48 D

0.00

1700.80 D

1,720.39

1,825.71

2,150.62

5MQ16480				(continued)		01/3	01/2022 OMB No. 1545-0715
SHORT TERM	TRANSACT	IONS FOR	COVER	ED TAX LOTS				
Report on Form 8949, F			001200					
· · · · ·				n Additional Notes Column)				
			-				Davida Davia	Departed to the JDC
Box 5: Box Not Checke	·			s (unless indicated as Net in Add	,			Reported to the IRS
complete your return.		imper is reporte	d to the IRS.	The additional information not	referenced by a Box r	vumber	r is not reported to	the IRS but may be helpful to
Description of proper	ty CUSIP Symbo	ol(Box1a)						
Date Sold or			Date	Accr	ued Market Discount (M)(Box 1f) &			
Disposed		Proceeds	Acquired	Cost or Other	Wash Sale Loss			
	Quantity	(Box 1d)	(Box 1b)		sallowed (D)(Box 1g)		Gain or Loss(-)	Additional Notes
PUT AMZN 04/09/21	3100 AMAZON.	COM INC CUSI	P: Symbol(Box 1a): AMZN210409P031000	00			
04/06/2021	1.00	239.91	04/05/2021	1,000.07	760.16	D	0.00	Sell to Close
04/07/2021	1.00	100.91	04/06/2021	275.23	0.00		-174.32	Sell to Close
Security Totals:		1.560.37		8,432,25			-1,740.12	
	7.50 VAXART I	,	ymbol(Box 1a)): VXRT210219C00007500			.,	
01/25/2021	1.00	119.90	01/25/2021	150.08	0.00		-30.18	Sell to Close
CALL BYND 02/19/21	150 BEYOND	MEAT INC CUS	IP: Symbol	(Box 1a): BYND210219C001500	000			
01/06/2021 CALL FANG 01/15/21	1.00		01/06/2021	255.08 Symbol(Box 1a): FANG21011	0.00		44.82	Sell to Close
, -,							00740	Frusingtion
01/15/2021 CALL PFE 05/07/21	2.00 39.50 PEIZEB IN	0.00 C CUSIP: Svr	Various	337.18 PFE210507C00039500	0.00		-337.18	Expiration
			nbol(Box ru).					
05/05/2021	1.00	139.91	05/04/2021	61.07	0.00		78.84	Sell to Close
PUT AMZN 03/05/21	3300 AMAZON.	COM INC CUSI	P: Symbol(Box 1a): AMZN210305P033000	00			
02/18/2021	1.00	7,069.75	02/18/2021	7,000.08	0.00		69.67	Sell to Close
02/19/2021	1.00	6,699.76	02/18/2021	7,000.08	0.00		-300.32	Sell to Close
Security Totals:		13,769.51		14,000.16			-230.65	
CALL TSLA 01/08/21	830 TESLA INC	C CUSIP: Syn	nbol(Box 1a):	TSLA210108C00830000				
01/07/2021	1.00	241.90	01/07/2021	197.08	0.00		44.82	Sell to Close
							04.00	
01/07/2021	1.00	374.90	01/07/2021	350.08	0.00		24.82	Sell to Close
		616.80		547.16			<u> </u>	
01/07/2021 Security Totals: PUT AMZN 03/05/21		616.80						

APEX CLEARING		Proc	eeds from	m Broker and Ba	arter Exchange Trans	sactions ²⁰²	1 Form 1099-B*	
MQ16480				(contir	nued)	01/3	31/2022	OMB No. 1545-0715
ox 5: Box Not Checke	Part I with Box A ch Loss - Short-Term ed (Covered Securi	necked. (unless indicated a ty)	as Ordinary in A Box 6: Gross	Additional Notes Column) (unless indicated as Net ir	n Additional Notes Column) n not referenced by a Box Numl		Reported to the IF the IRS but may b	
escription of propert	y CUSIP Symbo	ol(Box1a)						
	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(-)	Additi	onal Notes
CALL MU 01/15/21	90 MICRON IE	CHNOLOGY INC	CUSIP: Sy	mbol(Box 1a): MU210115	C00090000			
01/07/2021 CALL AMZN 03/05/21	2.00 3285 AMAZON		01/07/2021 P: Symbol(Be	136.16 ox 1a): AMZN210305C03	0.00	-10.34	Sell to Close	
02/18/2021 CALL FUBO 02/19/21	1.00	7,324.74	02/18/2021	7,275.08 FUBO210219C00060000	0.00	49.66	Sell to Close	
01/28/2021	1.00		01/28/2021	560.08	0.00	29.81	Sell to Close	
ALL ROKU 01/29/21				0KU210129C00450000				
01/21/2021	1.00	630.89	01/21/2021	530.08	0.00	100.81	Sell to Close	
01/25/2021	1.00	569.89	01/25/2021	580.08	0.00	-10.19	Sell to Close	
ecurity Totals:		1,200.78		1,110.16		90.62		
ALL SOLO 01/15/21	6 ELECTRAN	IECCANICA VEH	CLES CORP	CUSIP: Symbol(Box 1a	a): SOLO210115C00006000			
01/07/2021 CALL TSLA 01/08/21	1.00 810 TESLA IN		01/07/2021 bol(Box 1a): TS	125.08 SLA210108C00810000	0.00	-10.18	Sell to Close	
01/06/2021 CALL PLTR 01/29/21	1.00 36 PALANTIR		01/06/2021	177.08 JSIP: Symbol(Box 1a):	0.00 PLTB210129C00036000	12.82	Sell to Close	
01/26/2021	1.00		01/25/2021	300.08	0.00	-62 18	Sell to Close	
PUT GME 04/16/21				1a): GME210416P000100		-02.10		
01/25/2021 PUT MSFT 04/16/21	1.00 250 MICBOSO		01/25/2021	106.08 x 1a): MSFT210416P002	0.00	-2.18	Sell to Close	
04/06/2021 ETSY INC	1.00 COM CUSIP: 29	459.91 9786A106 Symbo	04/06/2021 I(Box 1a): ETS`	419.07 Y	0.00	40.84	Sell to Close	
01/26/2021	5.00			1.100.00	0.00	40.66	Sale	
01/20/2021	5.00	1,140.66	01/20/2021	1,100.00	0.00	40.66	Sale	

5MQ16480				(contir	nued)	01/	31/2022 OMB No. 1545-0715
			COVEREI	ο ταχι ότς			
•), Part I with Box A cl		ac Ordinary in	Additional Notes Column)			
51	cked (Covered Securi		2	,	n Additional Notes Column)	Boy 12: Basi	s Reported to the IRS
	•				,		the IRS but may be helpful to
complete your retur							
Description of prop	erty CUSIP Symb	ol(Box1a)					
Data Sald ar			Dete		Accrued Market Discount		
Date Sold or Disposed		Proceeds	Date Acquired	Cost or Other	(M)(Box 1f) & Wash Sale Loss		
(Box 1c)	Quantity	(Box 1d)	(Box 1b)	Basis (Box 1e)	Disallowed (D)(Box 1g)	Gain or Loss(-)	Additional Notes
CALL FB 01/29/21	280 FACEBOOK	KINC CL A CUSI	P: Symbol(Bo	ox 1a): FB210129C002800	000		
01/21/2021	1.00	662.89	01/21/2021	630.08	0.00	32.81	Sell to Close
01/27/2021	1.00	859.89	01/27/2021	820.08	0.00	39.81	Sell to Close
Security Totals:		1,522.78		1,450.16		72.62	
CALL AMZN 04/23/	21 3355 AMAZON	N.COM INC CUS	IP: Symbol(B	ox 1a): AMZN210423C03	355000		
04/22/2021	1.00	1,599.91	04/22/2021	1,600.07	0.16	D 0.00	Sell to Close
04/23/2021	1.00	699.91	04/23/2021	600.23	0.00	99.68	Sell to Close
04/23/2021	1.00	699.91	04/23/2021	600.07	0.00	99.84	Sell to Close
Security Totals:		2,999.73		2,800.37		199.52	
CALL FB 01/29/21	290 FACEBOOK	KINC CL A CUSI	P: Symbol(Bo	ox 1a): FB210129C002900	000		
01/26/2021	1.00	659.89	01/26/2021	563.08	0.00	96.81	Sell to Close
01/27/2021	1.00	509.89	01/26/2021	620.08	110.19	D 0.00	Sell to Close
01/28/2021	1.00	72.90	01/27/2021	635.45	0.00	-562.55	Sell to Close
01/28/2021	1.00	324.90	01/27/2021	522.27	197.37	D 0.00	Sell to Close
Security Totals:		1,567.58		2,340.88		-465.74	
CALL DBX 01/22/2	1 25 DROPBOX		Symbol(Box 1a):	DBX210122C00025000			
01/05/2021	1.00	20.90	01/04/2021	18.08	0.00	2.82	Sell to Close
01/05/2021	3.00	65.74	01/04/2021	54.24	0.00	11.50	Sell to Close
01/05/2021	1.00	23.90	01/04/2021	18.08	0.00	5.82	Sell to Close
Security Totals:		110.54		90.40		20.14	

APEX CLEARING

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APEX CLEARING		Proc	eeds fro	m Broker and B	arter Exchange Tr	ansactions ²⁰²	1 Form 1099-B*
MQ16480				(conti	01/3	31/2022 OMB No. 1545-0715	
eport on Form 8949 Iox 2: Type of Gain I ox 5: Box Not Cheo	cked (Covered Security	ecked. (unless indicated y)	as Ordinary in <i>J</i> Box 6: Gross	Additional Notes Column) (unless indicated as Net i	n Additional Notes Column)		s Reported to the IRS the IRS but may be helpful to
escription of prop	erty CUSIP Symbo	l(Box 1a)					
Date Sold or Disposed (Box 1c) CALL JD 01/08/21	Quantity	Proceeds (Box 1d)	Date Acquired (Box 1b) ol(Box 1a): JD2	Cost or Other Basis (Box 1e) 210108C00093000	Accrued Market Discount (M)(Box 1f) & Wash Sale Loss Disallowed (D)(Box 1g)	Gain or Loss(-)	Additional Notes
01/05/2021	1.00	212.90	01/05/2021	182.08	0.00	30.82	Sell to Close
CALL AMZN 05/14/ 05/04/2021 CALL ZM 04/23/21	1.00	1,149.91	05/04/2021	ox 1a): AMZN210514C03 1,450.07 JSIP: Symbol(Box 1a):	0.00	-300.16	Sell to Close
04/09/2021 CALL TSLA 01/29/2	1.00 21 1000 TESLA INC		04/09/2021 bol(Box 1a): T	<u>300.07</u> SLA210129C01000000	0.00	-60.16	Sell to Close
01/25/2021	1.00	489.89	01/25/2021	345.08	0.00	144.81	Sell to Close
01/25/2021	1.00	706.89	01/25/2021	685.08	0.00	21.81	Sell to Close
01/25/2021	1.00	884.89	01/25/2021	800.08	0.00	84.81	Sell to Close
01/27/2021	1.00	778.89	01/26/2021	1,045.08	266.19	D 0.00	Sell to Close
01/27/2021	1.00	749.89	01/27/2021	771.27	21.38	D 0.00	Sell to Close
01/29/2021	1.00	0.00	01/27/2021	721.46	0.00	-721.46	Expiration
ecurity Totals: ALL WMT 01/15/2	21 150 WALMART	3,610.45	Symbol(Box 1a	4,368.05): WMT210115C0015000	00	-470.03	
01/11/2021 ALL BIDU 04/01/2	3.00 21 220 BAIDU INC		<u>01/11/2021</u> ol(Box 1a): BIE	132.24 0U210401C00220000	0.00	17.50	Sell to Close
03/26/2021	1.00		03/26/2021	245.44	0.00	104.46	Sell to Close
03/26/2021	1.00	499.90	03/25/2021	500.08	0.18	D 0.00	Sell to Close

APEX CLEARING		Pro	ceeds fror	m Broker and E	Barter Exchange Tr	ansactio	ns ²⁰²	1 Form 1099-B*	
5MQ16480				(cont	tinued)		01/3	31/2022	OMB No. 1545-0715
SHORT TERM		TIONS FOR	COVERE	TAX LOTS					
Report on Form 8949									
			as Ordinary in A	Additional Notes Columr	ו)				
Box 5: Box Not Chec	cked (Covered Secur	ity)	Box 6: Gross ((unless indicated as Net	in Additional Notes Column)	В	ox 12: Basis	Reported to the IF	RS
The 1099-B data ref	erenced by a Box N	umber is reported	d to the IRS. Th	e additional information	on not referenced by a Box N	lumber is not	reported to	the IRS but may b	be helpful to
complete your retur	rn.	•			•		•	-	-
Description of prop	ertv CUSIP Svmb	ol(Box1a)							
Description of propo Date Sold or Disposed (Box 1c)	erty CUSIP Symb	ol(Box 1a) 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)	Gair	or Loss(-)	Additi	onal Notes
Date Sold or Disposed		Proceeds (Box 1d)	Acquired		(M)(Box 1f) & Wash Sale Loss		i or Loss(-) 0.00	Additi Sell to Close	onal Notes
Date Sold or Disposed (Box 1c)	Quantity	Proceeds (Box 1d)	Acquired (Box 1b)	Basis (Box 1e)	(M)(Box 1f) & Wash Sale Loss Disallowed (D)(Box 1g)				onal Notes
Date Sold or Disposed (Box 1c) 03/26/2021 Security Totals:	Quantity 1.00	Proceeds (Box 1d) 314.90	Acquired (Box 1b) 03/26/2021	Basis (Box 1e) 320.26	(M)(Box 1f) & Wash Sale Loss Disallowed (D)(Box 1g) 5.36		0.00		onal Notes
Date Sold or Disposed (Box 1c) 03/26/2021 Security Totals: CALL XL 03/19/21	Quantity 1.00 35 XL FLEET C	Proceeds (Box 1d) 314.90 1,164.70 CORPORATION CI	Acquired (Box 1b) 03/26/2021	Basis (Box 1e) 320.26 1,065.78 Symbol(Box 1a): XL210	(M)(Box 1f) & Wash Sale Loss Disallowed (D)(Box 1g) 5.36 319C00035000		0.00 104.46	Sell to Close	onal Notes
Date Sold or Disposed (Box 1c) 03/26/2021 Security Totals: CALL XL 03/19/21 02/01/2021	Quantity 1.00 35 XL FLEET C 1.00	Proceeds (Box 1d) 314.90 1,164.70 CORPORATION CI 194.90	Acquired (Box 1b) 03/26/2021 L A CUSIP: \$ 02/01/2021	Basis (Box 1e) 320.26 1,065.78 Symbol(Box 1a): XL210 112.08	(M)(Box 1f) & Wash Sale Loss Disallowed (D)(Box 1g) 5.36 319C00035000 0.00		0.00		onal Notes
Date Sold or Disposed (Box 1c) 03/26/2021 Security Totals: CALL XL 03/19/21	Quantity 1.00 35 XL FLEET C 1.00	Proceeds (Box 1d) 314.90 1,164.70 CORPORATION CI 194.90	Acquired (Box 1b) 03/26/2021 L A CUSIP: \$ 02/01/2021	Basis (Box 1e) 320.26 1,065.78 Symbol(Box 1a): XL210	(M)(Box 1f) & Wash Sale Loss Disallowed (D)(Box 1g) 5.36 319C00035000 0.00		0.00 104.46	Sell to Close	onal Notes

00, 1, 1, 2021			00/11/2021		0.00	00101	
05/14/2021	1.00	649.91	05/14/2021	600.07	0.00	49.84	Sell to Close
05/14/2021	1.00	699.91	05/14/2021	600.23	0.00	99.68	Sell to Close
05/14/2021	1.00	899.91	05/14/2021	900.07	0.16	D 0.00	Sell to Close
Security Totals:		3,249.64		3,000.44		249.36	
CALL AMZN 04/16/21	3450 AMAZON		P· Symbol/B	ox 1a): AMZN210416C03450000			
0, 122, 10, 21	0400 / 10/ 1201			0x 14). / III/2/12/10+10000+00000			
04/09/2021	1.00	1,359.91	04/09/2021	1,240.23	0.00	119.68	Sell to Close
04/09/2021	1.00	1,359.91	04/09/2021	1,400.07	40.16	D 0.00	Sell to Close
04/12/2021	1.00	1,249.91	04/12/2021	1,250.07	0.16	D 0.00	Sell to Close
04/12/2021	1.00	1,279.91	04/12/2021	1,250.07	0.00	29.84	Sell to Close
04/12/2021	1.00	1,999.90	04/12/2021	1,800.07	0.00	199.83	Sell to Close
04/13/2021	1.00	1,899.91	04/13/2021	1,900.07	0.16	D 0.00	Sell to Close
04/13/2021	1.00	2,199.90	04/13/2021	2,100.07	0.00	99.83	Sell to Close
04/13/2021	1.00	2,049.90	04/13/2021	1,950.07	0.00	99.83	Sell to Close

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		Proceeds	Date Acquired	Cost or Other	Accrued Market Discount (M)(Box 1f) & Wash Sale Loss		
(Box 1c)	Quantity	(Box 1d)	(Box 1b)	Basis (Box 1e)	Disallowed (D)(Box 1g)	Gain or Loss(-)	Additional Notes
CALL AMZN 04/16/21	1 3450 AMAZOI	N.COM INC CUS	IP: Symbol	(Box 1a): AMZN210416C0	3450000		
04/13/2021	1.00	2,099.90	04/13/2021	2,000.07	0.00	99.83	Sell to Close
04/13/2021	1.00	2,049.90	04/13/2021	1,950.07	0.00	99.83	Sell to Close
04/13/2021	1.00	2,149.90	04/13/2021	2,000.07	0.00	149.83	Sell to Close
04/13/2021	1.00	1,799.91	04/13/2021	1,800.23	0.32	D 0.00	Sell to Close
04/13/2021	1.00	2,199.90	04/13/2021	2,000.07	0.00	199.83	Sell to Close
04/13/2021	1.00	2,099.90	04/12/2021	1,200.23	0.00	899.67	Sell to Close
04/13/2021	1.00	1,527.91	04/13/2021	1,400.39	0.00	127.52	Sell to Close
04/14/2021	1.00	799.91	04/13/2021	1,500.07	700.16	D 0.00	Sell to Close
04/14/2021	1.00	649.91	04/13/2021	2,000.23	1350.32	D 0.00	Sell to Close
04/14/2021	1.00	659.91	04/14/2021	2,250.39	0.00	-1,590.48	Sell to Close
Security Totals:		29,436.30		30,992.54		535.04	
CALL TSLA 04/30/21	750 TESLA IN	C CUSIP: Syn	nbol(Box 1a): ⁻	TSLA210430C00750000			
04/21/2021	1.00	,	04/16/2021	3,450.07	0.00	-550.17	Sell to Close
CALL TSLA 01/29/21	815 TESLAIN	IC CUSIP: Syn	nbol(Box 1a):	TSLA210129C00815000			
01/29/2021	1.00	339.90	01/29/2021	215.08	0.00	124.82	Sell to Close
CALL TSLA 04/30/21	740 TESLA IN	C CUSIP: Syn	nbol(Box 1a):	TSLA210430C00740000			
04/26/2021	1.00	2,799.90	04/26/2021	2,890.07	90.17	D 0.00	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.

OMB No. 1545-0715

APEX CLEARING		Proc	eeds fror	n Broker and Ba	rter Exchange Tra	ansactions ²⁰²	1 Form 1099-B*	
MQ16480				(contin	ued)	01/3	1/2022	OMB No. 1545-0715
			COVERE	ΤΑΧΙ ΟΤS				
	, Part I with Box A ch							
•	-		as Ordinarv in A	Additional Notes Column)				
	ked (Covered Securit		-	unless indicated as Net in	Additional Notes Column)	Box 12: Basis	Reported to the IRS	
		37			not referenced by a Box N		•	elpful to
complete your retur	n.	•			•	•	•	•
Description of prope	erty CUSIP Symbo	ol(Box 1a)						
		`		А	ccrued Market Discount			
Date Sold or		Dreesede	Date	Cost or Other	(M)(Box 1f) &			
Disposed (Box 1c)	Quantity	Proceeds (Box 1d)	Acquired (Box 1b)	Basis (Box 1e)	Wash Sale Loss Disallowed (D)(Box 1g)	Gain or Loss(-)	Additiona	l Notes
CALL TSLA 04/30/2	21 740 TESLA INC	C CUSIP: Symb	ool(Box 1a): TS	LA210430C00740000	· / · · · · · · · · · · · · · · · · · ·			
04/26/2021	1.00	2,854.90	04/26/2021	2,810.24	0.00	44.66	Sell to Close	
Security Totals:		5,654.80		5,700.31		44.66		
PUT AMZN 05/14/2	21 3200 AMAZON.	.COM INC CUSIP	: Symbol(Bo	x 1a): AMZN210514P0320	00000			
05/14/2021	1.00	499.91	05/14/2021	400.07	0.00	99.84	Sell to Close	
05/14/2021	1.00		05/14/2021	400.07	0.00	-400.07	Expiration	
Security Totals:		499.91	ol(Boy 1a). TS	800.14 LA210212C00800000		-300.23		
UALL 13LA 02/12/2			JOI(DOX 14). 10	LA21021200000000				
02/12/2021	1.00		02/12/2021	485.08	0.00	-170.18	Sell to Close	
AFFIRM HOLDINGS	INC CLASS A	A COMMON STOC	K CUSIP: 008	27B106 Symbol (Box 1a):				
01/14/2021	50.00	5,346.87	Various	4,879.30	0.00	467.57	Sale	
CALL UBER 04/16/2	21 62 UBERTEC	HNOLOGIES INC	CUSIP: Sy	mbol(Box 1a): UBER2104	16000062000			
04/13/2021	1.00	52.91	04/13/2021	45.07	0.00	7.84	Sell to Close	
CALL BABA 01/22/2	21 240 ALIBABA (GROUP HOLDING	LIMITED CU	SIP: Symbol(Box 1a): B	ABA210122C00240000			
01/13/2021	1.00	299 90	01/13/2021	235.08	0.00	64 82	Sell to Close	
				U210409C00220000	0.00	.02		
					_			
04/01/2021 CALL DIS 03/19/21	1.00 210 WALT DISN		04/01/2021	500.07 a): DIS210319C00210000	0.00	39.84	Sell to Close	
UALL DIG 00/19/21	210 WALI DISN	1 00 003IF.		aj. DISZ 103 190002 10000	,			
02/18/2021	2.00	199.82	02/17/2021	268.16	34.17	D -34.17	Sell to Close	
02/22/2021	1.00	131.90	02/17/2021	164.25	0.00	-32.35	Sell to Close	
Security Totals:		331.72		432.41		-66.52		
CALL NOK 01/29/2	1 7 NOKIA COR		IP: Symbol(E	Box 1a): NOK210129C000	07000			
01/07/0001	1.00	000.00	01/07/0001	145.00	0.00	E7 00	Soll to Class	
01/27/2021	1.00	202.90	01/27/2021	145.08	0.00	57.82	Sell to Close	

APEX CLEARING		Proc	ceeds fro	m Broker and B	ansactions ²⁰²	ONS 2021 Form 1099-B*		
MQ16480				(cont	01,	31/2022 OMB N	o. 1545-0715	
Sox 5: Box Not Checked	rt I with Box A che oss - Short-Term ((Covered Security	ncked. unless indicated	as Ordinary in A	Additional Notes Column (unless indicated as Net	in Additional Notes Column)		s Reported to the IRS • the IRS but may be helpful t	þ
Description of property	CUSIP Symbol	(Box 1a)						
Date Sold or Disposed (Box 1c) Q CALL NFLX 01/22/21 6	uantity 600 NETFLIX IN	Proceeds (Box 1d) C CUSIP: Sy	Date Acquired (Box 1b) (mbol(Box 1a):	Cost or Other Basis (Box 1e) NFLX210122C00600000	Accrued Market Discount (M)(Box 1f) & Wash Sale Loss Disallowed (D)(Box 1g)	Gain or Loss(-)	Additional Notes	
01/20/2021	1.00		01/20/2021	400.08	0.00	-5.18	Sell to Close	
CALL MU 03/26/21 9 03/16/2021	1.00	199.90	03/16/2021	mbol(Box 1a): MU21032 173.08	0.00	26.82	Sell to Close	
ALL AMZN 04/16/21 3 04/15/2021 CALL TSLA 04/30/21 7	1.00	179.91	04/15/2021	ox 1a): AMZN210416C0 140.07 SLA210430C00730000	0.00	39.84	Sell to Close	
04/27/2021 ALL AMZN 03/05/21 3	1.00	879.91	04/27/2021	800.07 ox 1a): AMZN210305C0	0.00	79.84	Sell to Close	
03/04/2021	1.00	249.90	03/04/2021	350.08	100.18	D 0.00	Sell to Close	
03/04/2021	1.00	249.90	03/04/2021	260.26	0.00	-10.36	Sell to Close	
03/04/2021	1.00	499.90	03/04/2021	415.26	0.00	84.64	Sell to Close	
03/04/2021	1.00		03/04/2021	550.08	15.18		Sell to Close	
ecurity Totals: ALL SLV 07/16/21 3		1,534.60		1,575.68 abol(Box 1a): SLV210716	00035000	74.28		
01/29/2021	1.00	183.90	01/29/2021	187.08	0.00	-3.18	Sell to Close	
ALL SQ 02/19/21 22	O SQUARE INC	CUSIP: Syn	ndol(Box 1a): S	Q210219C00220000				
01/28/2021 CALL PLUG 05/14/21	1.00 30 PLUG POW		01/28/2021 : Symbol(Box	1,135.08 (1a): PLUG210514C000	0.00	-35.20	Sell to Close	
04/21/2021	1.00		04/21/2021	150.07	0.00	-1.16	Sell to Close	

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5MQ16480	MQ16480			(conti	nued)	01/	31/2022 OMB No. 1545-0715
		IONS FOR	COVERE	D TAX LOTS			
	, Part I with Box A ch						
•	·		as Ordinary in	Additional Notes Column)			
	ked (Covered Securi	·		,	n Additional Notes Column)	Box 12: Baci	s Reported to the IRS
	,			·	,		the IRS but may be helpful to
complete your return					Inflot referenced by a box is		
Description of prope	erty CUSIP Symbo	ol(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 MRO 04/16/2				(Box 1a): MRO210416C0			Additional Notes
01/05/2021	1.00	51.90	01/04/2021	35.08	0.00	16.82	Sell to Close
01/05/2021	2.00	83.82	01/04/2021	70.16	0.00	13.66	Sell to Close
ecurity Totals:		135.72		105.24		30.48	
CALL VERU 04/16/2	21 10 VERU INC	CUSIP: Syml	ool(Box 1a): VEI	RU210416C00010000			
01/07/2021	1.00		01/05/2021	292.08	0.00	-12.18	Sell to Close
CALL ORCL 03/12/2	21 67 ORACLEC	CORP CUSIP:	Symbol(Box 1a): ORCL210312C000670	00		
03/11/2021	1.00	49.90	03/11/2021	51.08	0.00	-1.18	Sell to Close
OT BYND 05/07/2	1 110 BEYOND	MEAT INC CUS	IP: Symbol(B	ox 1a): BYND210507P00	110000		
05/06/2021	1.00	239.91	05/06/2021	250.07	10.16	D 0.00	Sell to Close
05/07/2021	1.00	302.91	05/06/2021	230.23	0.00	72.68	Sell to Close
ecurity Totals:		542.82		480.30		72.68	
ALL TSLA 04/30/2	1 800 TESLA INC	C CUSIP: Syn	nbol(Box 1a): TS	SLA210430C00800000			
04/22/2021	1.00	1,379.91	04/22/2021	1,250.07	0.00	129.84	Sell to Close
04/23/2021	1.00	949.91	04/22/2021	1,130.23	180.32	D 0.00	Sell to Close
04/23/2021	1.00	849.91	04/22/2021	1,150.07	300.16	D 0.00	Sell to Close
04/26/2021	1.00	994.91	04/23/2021	945.39	0.00	49.52	Sell to Close
ecurity Totals:		4,174.64		4,475.76		179.36	
CALL SOLO 01/15/2	21 7 ELECTRAN	IECCANICA VEH	IICLES CORP	CUSIP: Symbol(Box 1)	a): SOLO210115C00007000		
01/07/2021	2.00	133.82	01/07/2021	130.16	0.00	3.66	Sell to Close
· · · ·						,	

APEX CLEARING

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2021 Form 1099-B*

APEX CLEARING		Proc	ceeds froi	m Broker and E	Barter Exchange Tr	ansactions 202	1 Form 1099-B*	
5MQ16480				(cont	inued)	01/3	31/2022 OMB No. 15	45-0715
Box 5: Box Not Check	Part I with Box A ch Loss - Short-Term ed (Covered Securit enced by a Box Nu	ecked. (unless indicated y)	as Ordinary in <i>J</i> Box 6: Gross	Additional Notes Columr (unless indicated as Net	in Additional Notes Column)		Reported to the IRS the IRS but may be helpful to	
Description of proper Date Sold or Disposed (Box 1c) PUT BYND 05/07/21	Quantity	Proceeds (Box 1d)	Date Acquired (Box 1b) P: Symbol(Bo	Cost or Other Basis (Box 1e) ox 1a): BYND210507P0	Accrued Market Discount (M)(Box 1f) & Wash Sale Loss Disallowed (D)(Box 1g) 0115000	Gain or Loss(-)	Additional Notes	
05/06/2021	1.00	397.91	05/06/2021	400.07	0.00	-2.16	Sell to Close	
	1 3740 AMAZON			ox 1a): AMZN210205C0				
01/25/2021	1.00	2,029.86	01/22/2021	1,714.28	0.00	315.58	Sell to Close	
01/25/2021	1.00	1,800.88	01/21/2021	2,200.08	399.2	D 0.00	Sell to Close	
Security Totals:		3,830.74		3,914.36		315.58		
CALL DKNG 02/05/2	1 60 DRAFTKIN	IGS INC CL A C	USIP: Symbo	ol(Box 1a): DKNG21020	5C00060000			
02/02/2021	1.00	159.90	02/02/2021	172.08	0.00	-12.18	Sell to Close	
CALL AMZN 02/05/21	1 3700 AMAZON	.COM INC CUSI	IP: Symbol(B	ox 1a): AMZN210205C0	3700000			
01/25/2021	1.00	1,699.87	01/25/2021	1,622.08	0.00	77.79	Sell to Close	
01/25/2021	1.00	1,669.87	01/25/2021	1,550.08	0.00	119.79	Sell to Close	
01/26/2021	1.00	1,719.87	01/25/2021	1,600.08	0.00	119.79	Sell to Close	
Security Totals:		5,089.61		4,772.24		317.37		
CARLOTZ INC	CLASS A COM	IMON STOCK C	USIP: 1425521	08 Symbol(Box 1a): LC	DTZ			
04/26/2021	60.00	454.78	04/26/2021	454.80	0.00	-0.02	Sale	
CALL TSLA 05/07/21				SLA210507C00670000				
05/06/2021	1.00		05/06/2021	445.07	0.00	104.84	Sell to Close	
PUT FCEL 03/26/21	15 FUELCELL	ENERGY INC C	USIP: Symbo	ol(Box 1a): FCEL210326	P00015000			
03/16/2021	1.00	158.90	03/16/2021	159.08	0.00	-0.18	Sell to Close	
CALL MRVL 03/12/21	43 MARVELL	TECHNOLOGY (GROUP CUSI	P: Symbol(Box 1a): M	RVL210312C00043000			
03/09/2021	1.00	84.90	03/08/2021	33.26	0.00	51.64	Sell to Close	

APEX CLEARING		Proceed	ds from Broker and	Barter Exchange Tr	ansactions ²⁰	21 Form 1099-B*
5MQ16480			(co	01	/31/2022 OMB No. 1545-071	
Report on Form 8949, Box 2: Type of Gain o Box 5: Box Not Check	Part I with Box A che or Loss - Short-Term (ked (Covered Security renced by a Box Nu	ecked. (unless indicated as Or y) Box	VERED TAX LOTS dinary in Additional Notes Colun 6: Gross (unless indicated as Ne ne IRS. The additional informat	et in Additional Notes Column)		s Reported to the IRS o the IRS but may be helpful to
Description of prope Date Sold or Disposed (Box 1c) CALL MRVL 03/12/2	Quantity	Proceeds Ac	Date quired Cost or Other ox 1b) Basis (Box 1e) IP CUSIP: Symbol (Box 1a): I	Accrued Market Discount (M)(Box 1f) & Wash Sale Loss Disallowed (D)(Box 1g) MRVL210312C00043000	Gain or Loss(-)	Additional Notes
03/09/2021	1.00	102.90 03/08	3/2021 104.08	1.18	D 0.00	Sell to Close
Security Totals:		187.80	137.34		51.64	
CALL NAK 01/21/22	1 NORTHERN	DYNASTY MINERALS	S CUSIP: Symbol(Box 1a): N	AK220121C00001000		
01/27/2021	1.00	39.90 01/2	7/2021 36.08	0.00	3.82	Sell to Close
01/28/2021	1.00	39.90 01/2	7/2021 36.08	0.00	3.82	Sell to Close
ecurity Totals:		79.80	72.16		7.64	
ALL NIO 01/15/21	75 NIO INC ADS	CUSIP: Symbol(B	ox 1a): NIO210115C00075000			
01/11/2021	1.00	129.90 01/1	1/2021 92.08	0.00	37.82	Sell to Close
CALL TDOC 04/30/2			P: Symbol(Box 1a): TDOC2104			
04/23/2021	1.00	499.91 04/22	2/2021 560.07	0.00	-60.16	Sell to Close
CALL SNDL 01/29/2			P: Symbol(Box 1a): SNDL210			
01/28/2021	2.00	9.82 01/28	3/2021 40.16	0.00	-30.34	Sell to Close
			: Symbol(Box 1a): DKNG2101		-30.34	Sell to Close
01/26/2021	1.00 1 147 APPLE INC	111.90 01/20	6/2021 153.08 ox 1a): AAPL210129C00147000	0.00	-41.18	Sell to Close
			ox (a). / W = E 1012000014/000	, ,		
01/25/2021	1.00	344.90 01/2	5/2021 403.08	58.18	D 0.00	Sell to Close
01/25/2021	1.00	349.90 01/25	5/2021 372.26	0.00	-22.36	Sell to Close
Security Totals:		694.80	775.34	0.00	-22.36	
PUT MO 04/16/21	45 ALTRIA GRO		mbol(Box 1a): MO210416P0004	15000		
03/16/2021	1.00	31.90 03/16	6/2021 37.08	0.00	-5.18	Sell to Close

APEX CLEARING		Proc	eeds from	n Broker and I	Barter Exchange Tr	ansactions 202	21 Form 1099-B*	
5MQ16480				(con	tinued)	01/	31/2022	OMB No. 1545-0715
Report on Form 8949 Box 2: Type of Gain Box 5: Box Not Chee		cked. unless indicated a	as Ordinary in A Box 6: Gross (Additional Notes Colum unless indicated as Net	n) : in Additional Notes Column) on not referenced by a Box N		s Reported to the IF the IRS but may b	
Description of prop Date Sold or Disposed (Box 1c) PUT MO 04/16/21	erty CUSIP Symbol Quantity 1 45 ALTRIA GROU	Proceeds (Box 1d)	Date Acquired (Box 1b) Symbol(Box	Cost or Other Basis (Box 1e) 1a): MO210416P00045	Accrued Market Discount (M)(Box 1f) & Wash Sale Loss Disallowed (D)(Box 1g)	Gain or Loss(-)	Additi	onal Notes
03/16/2021	1.00	34.90	03/16/2021	37.08	0.00	-2.18	Sell to Close	
Security Totals:		66.80		74.16	0.00	-7.36		
PUT AMZN 03/19/2	21 3030 AMAZON.C	OM INC CUSIF	P: Symbol(Bo	x 1a): AMZN210319P0	3030000			
03/19/2021	1.00	1,349.90	03/19/2021	1,500.08	150.18	D 0.00	Sell to Close	
03/19/2021	1.00	1,199.90	03/19/2021	1,050.26	0.00	149.64	Sell to Close	
Security Totals:		2,549.80		2,550.34		149.64		
CALL SNOW 04/16	21 240 SNOWFLA	KE INC CLASS A	A CUSIP: Sy	ymbol(Box 1a): SNOW2	210416C00240000			
04/08/2021	1.00	499.91	04/08/2021	500.07	0.00	-0.16	Sell to Close	
CALL TSLA 03/19/2					ol(Box 1a): TSLA210319C0080			
03/11/2021	1.00	444 90	03/11/2021	525.08	0.00	-80.18	Sell to Close	
CALL DBX 04/16/2				DBX210416C0002300				
00/00/0001	1.00	000.00	00/01/0001	075.00	0.00	14.00		
02/02/2021 CALL BABA 01/22/2	1.00 21 265 ALIBABA GF		02/01/2021 LIMITED CU	275.08 SIP: Symbol(Box 1a	0.00 : BABA210122C00265000	14.82	Sell to Close	
01/21/2021 PUT JD 02/19/21			01/21/2021	149.08 10219P00085000	0.00	0.82	Sell to Close	
01 30 02/13/21			DI(DOX 18). 302	102131 00003000				
01/26/2021	1.00		01/26/2021	92.08	0.00	1.82	Sell to Close	
PUT SPY 01/06/2	1 375 STANDARD &	& POORS DEPO	SITORY CUS	IP: Symbol(Box 1a):	SPY210106P00375000			
01/06/2021	1.00	99.90	01/06/2021	53.08	0.00	46.82	Sell to Close	
01/06/2021	1.00	103.90	01/06/2021	53.08	0.00	50.82	Sell to Close	
Security Totals:		203.80						

5MQ16480				(continue	ed)		01/3	1/2022 OMB No. 15	45-0715
SHORT TERM	I TRANSACT	IONS FOR	COVERE	ΤΔΧΙΟΤS					
Report on Form 8949,			UUVENE						
1 2			as Ordinary in	Additional Notes Column)					
Box 5: Box Not Check		·		s (unless indicated as Net in A	dditional Notes Column)		Box 12: Basis	Reported to the IRS	
	,	,		,	,	lumb		the IRS but may be helpful to	
complete your return					,,,			·····, ····,	
Description of prope	erty CUSIP Symbo	ol(Box1a)							
Date Sold or			Date	Ace	crued Market Discount (M)(Box 1f) &				
Disposed		Proceeds	Acquired	Cost or Other	Wash Sale Loss				
(Box 1c)		(Box 1d)	(Box 1b)		Disallowed (D) (Box 1g)		Gain or Loss(-)	Additional Notes	
CALL BABA 01/08/2	I 240 ALIBABA (AROUP HOLDING		USIP: Symbol(Box 1a): BA	BA210108C00240000				
01/05/2021	1.00	372.91	01/05/2021	270.08	0.00		102.83	Sell to Close	
01/08/2021	1.00	79.90	01/08/2021	98.08	0.00		-18.18	Sell to Close	
Security Totals:		452.81		368.16			84.65		
CALL AMZN 01/29/2	21 3310 AMAZON	.COM INC CUS	IP: Symbol(Box 1a): AMZN210129C03310	0000				
01/21/2021	1.00	6,544.76	01/21/2021	6,222.08	0.00		322.68	Sell to Close	
PUT AMZN 03/19/2	1 3020 AMAZON.	COM INC CUSI	P: Symbol(E	Box 1a): AMZN210319P03020	000				
03/19/2021	1.00	1,399.90	03/19/2021	2,000.08	600.18	D	0.00	Sell to Close	
03/19/2021	1.00	1,699.90	03/19/2021	1,800.26	0.00		-100.36	Sell to Close	
Security Totals:		3,099.80		3,800.34			-100.36		
CALL AMZN 01/22/2	21 3290 AMAZON	.COM INC CUS	IP: Symbol(Box 1a): AMZN210122C03290	0000				
01/20/2021	1.00	579.89	01/14/2021	2,830.27	2250.38	D	0.00	Sell to Close	
01/20/2021	1.00	499.89	01/13/2021	2,000.08	1500.19	D	0.00	Sell to Close	
01/20/2021	1.00	820.89	01/14/2021	3,300.46	0.00		-2,479.57	Sell to Close	
Security Totals:		1,900.67		8,130.81			-2,479.57		
CALL GOLD 01/15/2	21 32 BARRICK	GOLD CORPOR	ATION CUSIF	P: Symbol(Box 1a): GOLD2	10115C00032000				
01/15/2021	2.00		09/23/2020	266.18	0.00		-266.18	Expiration	
CALL JPM 03/26/21	150 JPMORGAN	N CHASE & CO	CUSIP: Syn	nbol(Box 1a): JPM210326C00)150000				
03/23/2021	1.00		03/23/2021	250.08	0.00		-14.18	Sell to Close	
CALL TSLA 01/15/2	1 1000 TESLA IN	C CUSIP: Syr	nbol(Box 1a): ⊺	TSLA210115C01000000					
01/11/2021	1.00	242.90	01/11/2021	350.08	0.00		-107.18	Sell to Close	

APEX CLEARING

2021 Form 1099-B*

* 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		Proc	eeds from	Broker and E	Barter Exchange Tr	ansactions 20	21 Form 1099-B*	
5MQ16480				(cont	inued)	01	/31/2022	OMB No. 1545-0715
SHORT TERM Report on Form 8949, Box 2: Type of Gain o Box 5: Box Not Check The 1099-B data refer complete your return	Part I with Box A char r Loss - Short-Term ked (Covered Security renced by a Box Nu	ecked. (unless indicated a y)	as Ordinary in Ac Box 6: Gross (u	ditional Notes Column	n) in Additional Notes Column) on not referenced by a Box N		is Reported to the IF o the IRS but may I	
Description of prope	rty CUSIP Symbo	l(Box1a)						
Date Sold or Disposed (Box 1c) CALL SNDL 02/05/2 ⁻	Quantity	Proceeds (Box 1d) BOWEBS INC 1 CI	Date Acquired (Box 1b)	Cost or Other Basis (Box 1e) I(Box 1a): SNDL21020	Accrued Market Discount (M)(Box 1f) & Wash Sale Loss Disallowed (D)(Box 1g) 5C00001000	Gain or Loss(-)	Addit	ional Notes
						0.00		
01/07/2021 CALL SPY 03/31/21	5.00 395 STANDARD		01/07/2021 SITORY CUSI	75.40 P: Symbol(Box 1a):	0.00 SPY210331C00395000	-0.82	Sell to Close	
03/31/2021	1.00	151.90 (03/30/2021	123.08	0.00	28.82	Sell to Close	
CALL FCEL 03/26/21	15 FUELCELL	ENERGY INC CU	JSIP: Symbol	(Box 1a): FCEL21032	6C00015000			
03/16/2021	1.00		03/16/2021	159.08	0.00	60.82	Sell to Close	
CALL NVDA 02/19/2		JRP CUSIP: 5y	/mbol(Box Ta): h	VDA210219C006050				
02/19/2021 CALL AMZN 02/19/2	1.00 1 3300 AMAZON.		02/19/2021 P: Symbol(Box	40.08 (1a): AMZN210219C0	0.00	-31.18	Sell to Close	
02/18/2021 PUT BABA 02/05/21	1.00 250 ALIBABA G	1,599.87 (ROUP HOLDING		1,502.08 IP: Symbol(Box 1a):	0.00 BABA210205P00250000	97.79	Sell to Close	
02/05/2021	1.00		02/01/2021	230.08	0.00	-230.08	Expiration	
CALL MSFT 02/05/2	1 235 MICROSO	FT CORP CUSIP	: Symbol(Box	(1a): MSFT210205C0	0235000			
01/29/2021 CALL FB 04/30/21	1.00 310 FACEBOOK		01/29/2021 · Symbol(Box	397.08 1a): FB210430C0031	0.00	-12.18	Sell to Close	
				,		1 400 00		
04/29/2021 CALL ETSY 05/07/21	1.00 1 210 ETSY INC	1,999.90 (CUSIP: Symbo		590.07 (210507C00210000	0.00	1,409.83	Sell to Close	
05/03/2021	1.00	319.91 (05/03/2021	1,055.55	0.00	-735.64	Sell to Close	
05/03/2021	1.00	329.91 (05/03/2021	820.39	490.48	D 0.00	Sell to Close	
05/03/2021	1.00	529.91 (04/30/2021	750.07	220.16	D 0.00	Sell to Close	

5MQ16480				(continu	Jed)		01/3	0MB No. 1545-0715
	M TRANSACT		COVEREI	ΑΤΟ Ι ΧΑΤ Ο				
-			OOVENE					
•	9, Part I with Box A ch		as Ordinary in	Additional Notes Column)				
		·		,	Additional Natas Column)		Bey 10. Decis	Departed to the IDC
	cked (Covered Securi	• ·		(unless indicated as Net in a		l maha		Reported to the IRS
omplete your retu		umber is reporte		le additional information	not referenced by a Box r	admur	r is not reported to	the IRS but may be helpful to
Description of prop	perty CUSIP Symbo	ol(Box1a)						
			- .	A	ccrued Market Discount			
Date Sold or Disposed		Proceeds	Date Acquired	Cost or Other	(M)(Box 1f) & Wash Sale Loss			
(Box 1c)	Quantity	(Box 1d)	(Box 1b)	Basis (Box 1e)	Disallowed (D)(Box 1g)		Gain or Loss(-)	Additional Notes
05/00/0004	4.00	5 40 04	0.4/00/0004			-	0.00	
05/03/2021	1.00	549.91	04/30/2021	820.23	270.32	D	0.00	Sell to Close
ecurity Totals: ALL ABNB 01/22		1,729.64	mbal/Pay 1a): A	3,446.24 BNB210122C00180000			-735.64	
ALL ADIND UT/22		NC CUSIF. Sy		ADIND210122C00160000				
01/21/2021	1.00	199.90	01/21/2021	180.08	0.00		19.82	Sell to Close
CALL OPK 03/19/2	21 5 OPKO HEAL	TH INC CUSIP	: Symbol(Box	1a): OPK210319C0000500	00			
01/25/2021 ALL AI 02/19/21	1.00	46.90	01/25/2021	46.08 a): Al210219C00170000	0.00		0.82	Sell to Close
ALL AI 02/19/21	170 C3 ALINC CL	A33 A CU3IF.		a). AI210219000170000				
01/25/2021	1.00	649.89	01/25/2021	570.08	0.00		79.81	Sell to Close
ALL BILI 02/19/2	1 140 BILIBILI INC	ADS CUSIP:	Symbol(Box 1a): BILI210219C00140000				
0.1/00/0001	4.00	050.00	0.1.10.0.10.0.0.1	070.07			10.00	
01/20/2021	1.00	659.89	01/20/2021	670.27	0.00		-10.38	Sell to Close
01/20/2021	1.00	679.89	01/20/2021	690.08	10.19	D	0.00	Sell to Close
ecurity Totals:		1,339.78		1,360.35			-10.38	
ALL AAPL 04/09/	21 125 APPLE INC	C CUSIP: Syn	nbol(Box 1a): AA	PL210409C00125000				
03/31/2021	1.00	100.90	03/31/2021	90.08	0.00		10.82	Sell to Close
03/31/2021	1.00	85.90	03/31/2021	90.08	4.18	П	0.00	Sell to Close
00,01,2021	1.00	00.00	00/01/2021	00.00	4.10	D	0.00	
04/05/2021	1.00	199.91	04/05/2021	164.25	0.00		35.66	Sell to Close
ecurity Totals:		386.71		344.41			46.48	
UT ATVI 02/12/2	1 90 ACTIVISION	BLIZZARD INC	CUSIP: Sym	bol(Box 1a): ATVI210212P	00090000			
02/12/2021	1.00	0.00	02/04/2021	132.08	0.00		-132.08	Expiration
CALL BYND 01/15				ox 1a): BYND210115C001			102.00	Expiration

APEX CLEARING

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2021 Form 1099-B*

01/11/2021 1.00 144.90 01/11/2021 145.08 0.00 -0.18 Sell to Close

			(conti	nued)		01/3	31/2022	OMB No. 1545-0715
	FIONS FOR	COVERED	TAX LOTS					
,		as Ordinary in A	dditional Notes Column)					
	·	,	,			Box 12. Basis	Reported to the IRS	3
·		·		,	Jumbe		•	
erty CUSIP Symb	ol(Box1a)							
				Accrued Market Discount				
	Dressede		Ocot or Other					
Quantity						Gain or Loss(-)	Additio	nal Notes
ENT HOLDINGS INC	C CL A COM CU	SIP: 00165C104	Symbol(Box 1a): AMC					
500.00	2,384.88	Various	2,349.00	1.02	D	36.90	Sale	
100.00	1,389.95	01/27/2021	1,199.02	0.00		190.93	Sale	
	3,774.83		3,548.02			227.83		
21 217.50 SALESF	ORCE.COM INC	CUSIP: Symb	ool(Box 1a): CRM210115	C00217500				
1.00	199.90	01/13/2021	195.08	0.00		4.82	Sell to Close	
21 255 FEDEX CO	ORP CUSIP: S	ymbol(Box 1a): F	DX210115C00255000					
1.00			108.08	0.00		-8.18	Sell to Close	
COMMON STO	CK CUSIP: 8816	0R101 Symbol	(Box 1a): TSLA					
15.00	10,072.43	Various	9,974.45	0.00		97.98	Sale	
10.00	6,359.95	Various	6,408.85	59.45	D	10.55	Sale	
10.00	6,371.15	03/24/2021	6,700.00	328.85	D	0.00	Sale	
10.00	6,859.95	Various	6,919.45	59.47	D	-0.03	Sale	
5.00	2,995.97	05/11/2021	2,994.47	0.00		1.50	Sale	
	32,659.45		32,997.22			110.00		
21 133 APPLE IN	C CUSIP: Syn	nbol(Box 1a): AA	PL210305C00133000					
1.00	699.89	01/29/2021	705.08	0.00		-5.19	Sell to Close	
5/21 3.50 HERTZ	GLOBAL HOLDIN	IGS INC CUSIF	P: Symbol(Box 1a): HT	ZGQ210115C00003500				
1.00			15.09	0.00		-15.09	Expiration	
21 725 TESLA IN	C CUSIP: Syn	nbol(Box 1a): TS	LA210507C00725000					
1.00	650.01	04/30/2021	1,030.07	0.00		-370.16	Sell to Close	
	Part I with Box A c or Loss - Short-Term cked (Covered Securite Guantity Perty CUSIP Symbol Quantity ENT HOLDINGS ING 500.00 100.00 21 217.50 SALESF 1.00 21 255 FEDEX CO 1.00 COMMON STO 15.00 10.00 10.00 10.00 10.00 10.00 10.00 10.00 10.00 10.00 10.00 10.00 10.00 21 133 APPLE IN 1.00 5/21 3.50 HERTZ 1.00 21 725 TESLA IN	9, Part I with Box A checked. or Loss - Short-Term (unless indicated cked (Covered Security)) ierenced by a Box Number is reportern. perty CUSIP Symbol(Box 1a) Proceeds Quantity (Box 1d) ENT HOLDINGS INC CL A COM CU 500.00 2,384.88 100.00 1,389.95 3,774.83 21 217.50 21 217.50 SALESFORCE.COM INC 1.00 199.90 COMMON STOCK CUSIP: S 1.00 6,359.95 10.00 6,371.15 10.00 6,859.95 5.00 2,995.97 32,659.45 21 21 133 APPLE INC CUSIP: Syn 1.00 699.89 5/21 3.50 1.00 0.00 21 725 TESLA INC CUSIP: Syn	9, Part I with Box A checked. or Loss - Short-Term (unless indicated as Ordinary in A cked (Covered Security) Box 6: Gross (cerenced by a Box Number is reported to the IRS. Therty CUSIP Symbol(Box 1a) Proceeds Acquired Quantity (Box 1d) (Box 1b) ENT HOLDINGS INC CL A COM CUSIP: 00165C104 500.00 2,384.88 Various 100.00 1,389.95 01/27/2021 3,774.83 21 217.50 SALESFORCE.COM INC CUSIP: Symbol(Box 1a): F 1.00 199.90 01/12/2021 1.00 199.90 01/12/2021 1.00 1.00 1.00 1.00 1.00 1.00 99.90 01/12/2021 COMMON STOCK CUSIP: 88160R101 Symbol(Box 1a): F 1.00 6,359.95 Various 10.00 6,371.15 03/24/2021 10.00 6,859.95 Various 10.00 6,379.95 Various 5.00 2,995.97 05/11/2021 32,659.45 21 133 APPLE INC CUSIP: Symbol(Box 1a): AA 1.00 699.89 01/29/2021 5/21 3.50 HERTZ GLOBAL HOLDINGS INC CUSIF 1.00 0.00 0.00 <td>M TRANSACTIONS FOR COVERED TAX LOTS 9, Part I with Box A checked. or Loss - Short-Term (unless indicated as Ordinary in Additional Notes Column) cked (Covered Security) Box 6: Gross (unless indicated as Net in terenced by a Box Number is reported to the IRS. The additional information rn. werty CUSIP Symbol(Box1a) Date Cost or Other Proceeds Acquired (Box 10) Basis (Box 1e) Part I Util P Symbol(Box1a) Date Cost or Other Proceeds Acquired (Box 1b) Basis (Box 1e) Proceeds Acquired (Box 1b) Basis (Box 1e) Proceeds Acquired (Box 1a) Cost or Other Bent I OLDINGS INC CL A COM CUSIP: 00165C104 Symbol(Box 1a): AMC 500.00 2,384.88 Various 2,349.00 100.00 1,389.95 01/27/2021 1,199.02 3,774.83 3,548.02 21 217.50 SALESFORCE.COM INC CUSIP: Symbol(Box 1a): CRM210115 1.00 199.90 01/12/2021 108.08 COMMON STOCK CUSIP: Symbol(Box 1a): FDX210115C00255000 1.00 6,359.95 Various 6,919.45 1.00 10,072.43 Various 9,974.45 10.00 6,359.95</td> <td>a) Part I with Box A checked. or Loss - Short-Term (unless indicated as Ordinary in Additional Notes Column) cked (Covered Security) Box 6: Gross (unless indicated as Net in Additional Notes Column) erenced by a Box Number is reported to the IRS. The additional information not referenced by a Box Number is reported to the IRS. The additional information not referenced by a Box Number is reported to the IRS. The additional information not referenced by a Box Number is reported to the IRS. The additional information not referenced by a Box Number is reported to the IRS. The additional information not referenced by a Box Number is reported to the IRS. The additional information not referenced by a Box Number is reported to the IRS. The additional Notes Column) erent VI CUSIP Symbol(Box 1a) Date Accurued Market Discount (MI)(Box 11) & Wash Sale Loss Quantity (Box 1d) (Box 1b) Basis (Box 1e) Disallowed (D)(Box 1g) 500.00 2,384.88 Various 2,349.00 1.02 100.00 1,389.95 01/27/2021 1,199.02 0.00 100.00 1,389.95 01/27/2021 1,95.08 0.00 1.00 199.90 01/12/2021 195.08 0.00 1.00 9.99.00 01/2/2021 108.08 0.00 1.00 6,379.95 Various 6,919.45 59.45 <</td> <td>M TRANSACTIONS FOR COVERED TAX LOTS a, Part I with Box A checked. or Loss - Short-Term (unless indicated as Ordinary in Additional Notes Column) cked (Covered Security) Box 6: Gross (unless indicated as Net in Additional Notes Column) cked (Covered Security) Box 6: Gross (unless indicated as Net in Additional Notes Column) cked (Covered Security) Box 6: Gross (unless indicated as Net in Additional Notes Column) cenced by a Box Number is reported to the IRS. The additional information not referenced by a Box Number. erty CUSIP Symbol(Box 1a) Accured Market Discount (Box 1d) Quantity Proceeds (Box 1d) (Box 1d) Basis (Box 1e) Date Wash Sale Loss (Box 1a): AMC 500.00 2,384.88 Various 500.00 2,384.88 Various 21<217.50</td> SALESFORCECOM INC CUSIP: Symbol(Box 1a): CRM210115C00217500 11 1.00 199.90 12 1.05 Stores CORP CUSIP: Symbol(Box 1a): FDX210115C00255000 11.00 10,072.43 Various 9,974.45 0.00 10.00 6,359.95 Various 6,919.45 59.47 D	M TRANSACTIONS FOR COVERED TAX LOTS 9, Part I with Box A checked. or Loss - Short-Term (unless indicated as Ordinary in Additional Notes Column) cked (Covered Security) Box 6: Gross (unless indicated as Net in terenced by a Box Number is reported to the IRS. The additional information rn. werty CUSIP Symbol(Box1a) Date Cost or Other Proceeds Acquired (Box 10) Basis (Box 1e) Part I Util P Symbol(Box1a) Date Cost or Other Proceeds Acquired (Box 1b) Basis (Box 1e) Proceeds Acquired (Box 1b) Basis (Box 1e) Proceeds Acquired (Box 1a) Cost or Other Bent I OLDINGS INC CL A COM CUSIP: 00165C104 Symbol(Box 1a): AMC 500.00 2,384.88 Various 2,349.00 100.00 1,389.95 01/27/2021 1,199.02 3,774.83 3,548.02 21 217.50 SALESFORCE.COM INC CUSIP: Symbol(Box 1a): CRM210115 1.00 199.90 01/12/2021 108.08 COMMON STOCK CUSIP: Symbol(Box 1a): FDX210115C00255000 1.00 6,359.95 Various 6,919.45 1.00 10,072.43 Various 9,974.45 10.00 6,359.95	a) Part I with Box A checked. or Loss - Short-Term (unless indicated as Ordinary in Additional Notes Column) cked (Covered Security) Box 6: Gross (unless indicated as Net in Additional Notes Column) erenced by a Box Number is reported to the IRS. The additional information not referenced by a Box Number is reported to the IRS. The additional information not referenced by a Box Number is reported to the IRS. The additional information not referenced by a Box Number is reported to the IRS. The additional information not referenced by a Box Number is reported to the IRS. The additional information not referenced by a Box Number is reported to the IRS. The additional information not referenced by a Box Number is reported to the IRS. The additional Notes Column) erent VI CUSIP Symbol(Box 1a) Date Accurued Market Discount (MI)(Box 11) & Wash Sale Loss Quantity (Box 1d) (Box 1b) Basis (Box 1e) Disallowed (D)(Box 1g) 500.00 2,384.88 Various 2,349.00 1.02 100.00 1,389.95 01/27/2021 1,199.02 0.00 100.00 1,389.95 01/27/2021 1,95.08 0.00 1.00 199.90 01/12/2021 195.08 0.00 1.00 9.99.00 01/2/2021 108.08 0.00 1.00 6,379.95 Various 6,919.45 59.45 <	M TRANSACTIONS FOR COVERED TAX LOTS a, Part I with Box A checked. or Loss - Short-Term (unless indicated as Ordinary in Additional Notes Column) cked (Covered Security) Box 6: Gross (unless indicated as Net in Additional Notes Column) cked (Covered Security) Box 6: Gross (unless indicated as Net in Additional Notes Column) cked (Covered Security) Box 6: Gross (unless indicated as Net in Additional Notes Column) cenced by a Box Number is reported to the IRS. The additional information not referenced by a Box Number. erty CUSIP Symbol(Box 1a) Accured Market Discount (Box 1d) Quantity Proceeds (Box 1d) (Box 1d) Basis (Box 1e) Date Wash Sale Loss (Box 1a): AMC 500.00 2,384.88 Various 500.00 2,384.88 Various 21<217.50	W TRANSACTIONS FOR COVERED TAX LOTS a, Part I with Box A checked. or Loss - Short-Term (unless indicated as Ordinary in Additional Notes Column) Box 12: Basis or Loss - Short-Term (unless indicated as Ordinary in Additional Notes Column) Box 12: Basis oread Security) Box 6: Gross (unless indicated as Net in Additional Notes Column) Box 12: Basis oread by a Box Number is reported to the IRS. The additional information not referenced by a Box Number is not reported to m. Column 12: Colu	W TRANSACTIONS FOR COVERED TAX LOTS 3, Part I with Box A checked. or Loss - Short-Term (unless indicated as Ordinary in Additional Notes Column) Box 12: Basis Reported to the IRS. creation of the part of the term (unless indicated as Ordinary in Additional Information not referenced by a Box Number is not reported to the IRS. The additional Information not referenced by a Box Number is not reported to the IRS. The additional Information not referenced by a Box Number is not reported to the IRS. The additional Information not referenced by a Box Number is not reported to the IRS but may be merit. erry [CUSIP] Symbol(Box 1a) Accrued Market Discount (M)(Box 11) & Cost of Other (Box 14): ABS 16 Loss Gain or Loss(). Additional Information not referenced by a Box Number is not reported to the IRS but may be many transition (ICUSIP): Other (ICUSIP): ICUSIP): Other (ICUSIP): ICUSIP): ICUSIP: IC

APEX CLEARING

96 of 110

SHORT TERM	I TRANSAC	TIONS FOR	COVERE	D TAX LOTS			
Report on Form 8949	, Part I with Box A c	hecked.					
Box 2: Type of Gain	or Loss - Short-Terr	n (unless indicated	as Ordinary in A	Additional Notes Column)			
Box 5: Box Not Cheo	cked (Covered Secu	rity)	Box 6: Gross	(unless indicated as Net i	n Additional Notes Column)	Box 12: Basis	Reported to the IRS
The 1099-B data ref complete your retur		lumber is reporte	d to the IRS. Th	ne additional informatio	n not referenced by a Box N	Number is not reported to	the IRS but may be helpful to
Description of prop	erty CUSIP Symb	ool(Box1a)					
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
COINBASE GLOBAL		<i>i i</i>		260Q107 Symbol (Box 1a	· / · · · · · · · · · · · · · · · · · ·		
04/14/2021	8.00	3,395.25	04/14/2021	3,195.36	0.00	199.89	Sale
04/15/2021	10.00	3,499.97	Various	3,504.80	0.00	-4.83	Sale
Security Totals:		6,895.22		6,700.16		195.06	
***ITERUM THERAF	EUTICS PLC OF	DINARY SHARE	CUSIP: G6333	L101 Symbol(Box 1a): I	ſRM		
01/25/2021	350.00	640.83	01/25/2021	798.00	112.26	D -44.91	Sale
02/08/2021	400.00	883.93	Various	994.26	0.00	-110.33	Sale
Security Totals:		1,524.76		1,792.26		-155.24	
CALL GM 02/19/2	1 45 GENERAL	MOTORS COMPA	ANY CUSIP:	Symbol(Box 1a): GM210	219C00045000		
01/11/2021	1.00	210.90	01/11/2021	210.08	0.00	0.82	Sell to Close
PUT AMZN 03/26/2	21 3115 AMAZON	N.COM INC CUSI	P: Symbol(Bo	ox 1a): AMZN210326P03	115000		
03/24/2021	1.00	2,299,89	03/24/2021	2,200.08	0.00	99.81	Sell to Close
CALL GOGO 02/19	/21 12 GOGO IN			OGO210219C00012000			
01/06/2021	1.00	49.90	01/06/2021	50.08	0.00	-0.18	Sell to Close
01/06/2021	1.00	49.90	01/06/2021	50.08	0.00	-0.18	Sell to Close
Security Totals:		99.80		100.16		-0.36	
CHURCHILL CAPIT	AL CORP IV CLA	SS A COMMON S	TOCK CUSIP	: 171439102 Symbol(Bo	x1a): CCIV		
01/13/2021	100.00	1,546.45	Various	1,448.07	0.00	98.38	Sale
01/13/2021	99.00	1,534.45	01/11/2021	1,244.43	0.00	290.02	Sale
01/14/2021	101.00	1,886.45	Various	1,871.50	0.00	14.95	Sale
Security Totals:		4,967.35		4,564.00		403.35	
CALL FUBO 01/29/	21 35 FUBOTV	INC CUSIP: Sy	mbol(Box 1a): F	UBO210129C00035000			

APEX CLEARING

5MQ16480

Proceeds from Broker and Barter Exchange Transactions 2021 Form 1099-B*

01/31/2022

OMB No. 1545-0715

* 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.

(continued)

5MQ16480				(continue	d)	01/3	1/2022 OMB No. 1545-0715
SHORT TERM	TRANSACT		COVEREI	TAXIOTS			
Report on Form 8949, F			00721121				
· · · ·			as Ordinary in A	Additional Notes Column)			
lox 5: Box Not Checke		•		(unless indicated as Net in Ac	ditional Notes Column)	Boy 12. Basis	Reported to the IRS
he 1099-B data refere				·	,		the IRS but may be helpful to
omplete your return.							
Description of propert	ty CUSIP Symb	ool(Box1a)		_			
Date Sold or			Date	Acc	rued Market Discount (M)(Box 1f) &		
Disposed		Proceeds	Acquired	Cost or Other	Wash Sale Loss		
	Quantity	(Box 1d)	(Box 1b)		Disallowed (D) (Box 1g)	Gain or Loss(-)	Additional Notes
ALL PRPL 01/15/21	35 PURPLE I	NNOVATION INC	CUSIP: Sym	nbol(Box 1a): PRPL210115C	00035000		
01/13/2021	1.00	94.90	01/13/2021	85.08	0.00	9.82	Sell to Close
01/13/2021	1.00	86.90	01/13/2021	85.08	0.00	1.82	Sell to Close
ecurity Totals:		181.80		170.16		11.64	
UT AMZN 05/07/21	3470 AMAZON	I.COM INC CUSII	P: Symbol(Bo	x 1a): AMZN210507P03470	000		
05/03/2021	1.00		05/03/2021	3,600.07	0.00	99.83	Sell to Close
PUT AMZN 04/30/21	3505 AMAZON	I.COM INC CUSII	P: Symbol(Bo	x 1a): AMZN210430P035050	000		
04/30/2021	1.00	3,134.90	04/30/2021	2,500.07	0.00	634.83	Sell to Close
04/30/2021	1.00	2,999.90	04/30/2021	2,600.07	0.00	399.83	Sell to Close
ecurity Totals:		6,134.80		5,100.14		1,034.66	
ALL AMZN 03/26/21	3135 AMAZON	N.COM INC CUSI	P: Symbol(Bo	ox 1a): AMZN210326C03135	6000		
03/23/2021	1.00	2,599.89	03/22/2021	2,000.08	0.00	599.81	Sell to Close
ALL AMZN 01/22/21	3300 AMAZON	N.COM INC CUSI	P: Symbol(Bo	ox 1a): AMZN210122C03300	0000		
01/13/2021	1.00	1,999.86	01/13/2021	1,900.08	0.00	99.78	Sell to Close
UT AMZN 04/16/21	3380 AMAZON	I.COM INC CUSII	P: Symbol(Bo	x 1a): AMZN210416P03380	000		
04/16/2021	1.00		04/16/2021	550.07	0.00	49.84	Sell to Close
UT AMZN 03/26/21	3125 AMAZON	I.COM INC CUSII	P: Symbol(Bo	x 1a): AMZN210326P03125	000		
03/24/2021	1.00		03/23/2021	2,600.08	0.00	-100.19	Sell to Close
UT TSLA 04/30/21	690 TESLA IN	C CUSIP: Syml	bol(Box 1a): TS	LA210430P00690000			
04/27/2021	1.00		04/26/2021	1,050.07	0.00	-395.16	Sell to Close
ALL CVX 01/15/21	92.50 CHEVRO	N CORPORATION	I CUSIP: Sy	mbol(Box 1a): CVX210115C	00092500		
01/08/2021	1.00	133.90	01/08/2021	135.08	0.00	-1.18	Sell to Close

APEX CLEARING

2021 Form 1099-B*

APEX CLEARING		Proc	ceeds from	Broker and B	arter Exchange Trans	sactions 202	1 Form 1099-B*	
5MQ16480				(conti	nued)	01/3	1/2022 OMB No. 1	545-0715
SHORT TERM 1	RANSACT	IONS FOR	COVERED	TAXIOTS				
Report on Form 8949, Pa			OUVENED					
Box 2: Type of Gain or L			as Ordinary in A	dditional Notes Column)				
Box 5: Box Not Checked				,	n Additional Notes Column)	Box 12: Basis	Reported to the IRS	
	·		•		n not referenced by a Box Num		•	
complete your return.		p						
Description of property	CUSIP Symbo	ol(Box1a)						
Date Sold or Disposed (Box 1c) G	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 RUN 04/16/21	60 SUNRUNIN	IC CUSIP: Syi	mbol(Box 1a): RL	JN210416C00060000				
03/23/2021	1.00	400.90	03/23/2021	400.08	0.00	0.82	Sell to Close	
CALL BP 01/08/21 2	2 BPPLCSP			ool(Box 1a): BP210108C				
01/05/2021	4.00	123.66	01/05/2021	108.32	0.00	15.34	Sell to Close	
	22 IPATH SER	B S&P 500 VIX S	HORT CUSIP:	Symbol(Box 1a): VXX	210205C00022000			
01/27/2021	1.00	78.90	01/27/2021	77.08	0.00	1.82	Sell to Close	
CALL DDOG 01/08/21	95 DATADOG	G INC CL A CUS	IP: Symbol(Bo	x 1a): DDOG210108C0	0095000			
01/07/2021	1.00	99.90	01/07/2021	100.08	0.00	-0.18	Sell to Close	
CALL VXX 03/19/21 2	20 IPATH SER	B S&P 500 VIX S	HORT CUSIP:	Symbol(Box 1a): VXX	210319C00020000			
01/27/2021	1.00	236.90	01/25/2021	210.08	0.00	26.82	Sell to Close	
CALL NIO 02/19/21 6	0 NIO INC ADS			210219C00060000				
02/17/2021	1.00	72.90	02/17/2021	45.08	0.00	27.82	Sell to Close	
02/17/2021	1.00	28.00	02/17/2021	15.00	0.00	0.10	Sell to Close	
		30.90	02/11/2021	45.08	0.00	-6.18		
Security Totals:		111.80		90.16		-6.18 21.64		
Security Totals:	3315 AMAZON	111.80		90.16				
Security Totals:	1.00	<u>111.80</u> I.COM INC CUSI -328.31	P: Symbol(Bo: 01/21/2021	90.16 < 1a): AMZN210129C03 0.00			Buy to Close	
Security Totals: CALL AMZN 01/29/21 3 01/21/2021	1.00	<u>111.80</u> I.COM INC CUSI -328.31	P: Symbol(Bo: 01/21/2021	90.16 x 1a): AMZN210129C03	315000	21.64		
Security Totals: CALL AMZN 01/29/21 3 01/21/2021	1.00	111.80 I.COM INC CUSI -328.31 S CUSIP: Sym	P: Symbol(Bo: 01/21/2021	90.16 < 1a): AMZN210129C03 0.00	315000	21.64		
Security Totals: CALL AMZN 01/29/21 3 01/21/2021 CALL NIO 01/15/21 6	1.00 60 NIO INC ADS	<u>111.80</u> I.COM INC CUSI -328.31 S CUSIP: Sym 18.90	P: Symbol(Bo: 01/21/2021 bol(Box 1a): NIC	90.16 < 1a): AMZN210129C03 0.00 210115C00060000	315000	-328.31	Buy to Close	
Security Totals: CALL AMZN 01/29/21 3 01/21/2021 CALL NIO 01/15/21 6 01/15/2021 01/15/2021	1.00 50 NIO INC ADS 1.00 1.00	111.80 I.COM INC CUSI -328.31 S CUSIP: Sym 18.90 0.00 18.90	P: Symbol(Box 01/21/2021 ibol(Box 1a): NIC 01/15/2021 01/15/2021	90.16 <1a): AMZN210129C03 0.00 210115C00060000 87.08 87.08 174.16	0.00 0.00	21.64 -328.31 -68.18	Buy to Close Sell to Close	
Security Totals: CALL AMZN 01/29/21 3 01/21/2021 CALL NIO 01/15/21 6 01/15/2021	1.00 50 NIO INC ADS 1.00 1.00	111.80 I.COM INC CUSI -328.31 S CUSIP: Sym 18.90 0.00 18.90	P: Symbol(Box 01/21/2021 ibol(Box 1a): NIC 01/15/2021 01/15/2021	90.16 <1a): AMZN210129C03 0.00 210115C00060000 87.08 87.08	0.00 0.00	21.64 -328.31 -68.18 -87.08	Buy to Close Sell to Close	

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APEX CLEARING		Proc	eeds fron	n Broker and B	arter Exchange Tran	sactions 202	1 Form 1099-B*				
MQ16480				(conti	nued)	01/3	31/2022	MB 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 5: Box Not Checked (Covered Security) Box 6: Gross (unless indicated as Net in Additional Notes Column) Box 5: Box Not Checked (Covered Security) Box 6: Gross (unless indicated as Net in Additional Notes Column) Box 5: Box Not Checked (Covered Security) Box 6: Gross (unless indicated as Net in Additional Notes Column) Box 5: Box Not Checked (Covered Security) Box 6: Gross (unless indicated as Net 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 Complete your return. Description of property CUSIP Symbol(Box 1a)											
escription of property	/ CUSIP Symbo	ol(Box 1a)									
	Quantity 5 AMC ENTER	Proceeds (Box 1d) RTAINMENT HOL	Date Acquired (Box 1b) DINGS INC Cl	Cost or Other Basis (Box 1e) JSIP: Symbol(Box 1a	Accrued Market Discount (M)(Box 1f) & Wash Sale Loss Disallowed (D)(Box 1g)): AMC210205C00005000	Gain or Loss(-)	Additional N	otes			
01/26/2021	1.00		01/26/2021	110.08	0.00	-17.18	Sell to Close				
OT PLTR 01/29/21	34 PALANTIR 1	TECHNOLOGIES	INC CL A CUS	SIP: Symbol(Box 1a):	PLTR210129P00034000						
01/27/2021	1.00		01/26/2021	181.08	0.00	99.82	Sell to Close				
UT AMZN 02/05/21 3		•	• • •	(1a): AMZN210205P03							
02/05/2021	2.00	0.00	Various	2,950.16	0.00	-2,950.16	Expiration				
ALL GME 01/22/21	43 GAMESTOF	CORP CUSIP:	Symbol(Box	1a): GME210122C0004	3000						
01/21/2021	1.00	160.90	01/21/2021	160.08	0.00	0.82	Sell to Close				
PUT SPY 01/29/21 3	73 STANDARD			P: Symbol(Box 1a): S							
01/29/2021	1.00	215.90	01/29/2021	145.08	0.00	70.82	Sell to Close				
CALL SNOW 01/15/21	310 SNOWFLA			mbol(Box 1a): SNOW2							
01/07/0001	1.00	400.00	10/00/0000	1 750 00	0.00	1 050 10					
01/07/2021 CALL WFC 02/19/21	1.00 30 WELLS FAF		12/29/2020 P: Symbol(Bo	1,750.08 (x 1a): WFC210219C00		-1,250.19	Sell to Close				
02/02/2021 CALL SPY 01/11/21 3	1.00 278 STANDARD		01/29/2021	172.08 IP: Symbol(Box 1a): 9	0.00 SPY210111C00378000	-12.18	Sell to Close				
					51 1210111000070000						
01/11/2021	1.00		01/11/2021	135.08	0.00	11.82	Sell to Close				
CALL XOM 01/15/21	55 EXXON MO	BIL CORP CUSI	P: Symbol(Bo	ox 1a): XOM210115C00							
01/15/2021	8.00		Various	572.52	0.00	-572.52	Expiration				
CALL PARR 06/18/21	25 PAR PACIF			ymbol(Box 1a): PARR2	1001000025000						
03/19/2021	1.00	39.90	03/19/2021	55.08	0.00	-15.18	Sell to Close				
**SUNDIAL GROWERS		CUSIP: 86730L10		1a): SNDL							
00/00/0001	500.00		00/04/00004		0.00		0.1				
02/03/2021	500.00	602.42	02/01/2021	620.00	0.00	-17.58	Sale				

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5MQ16480			(cont	inued)	01/3	0MB No. 1545-0715
SHORT TERM T	BANSACI	TIONS FOR COVERE	σταγιστς			
Report on Form 8949, Pa		necked. n (unless indicated as Ordinary in	Additional Notas Column			
3 1				·	Boy 19. Boois	Papartad to the IPS
Box 5: Box Not Checked	·		•	in Additional Notes Column)		Reported to the IRS
complete your return.	сей бу а вох м	umber is reported to the IRS. I	ne additional informatio	n not referenced by a Box Num	ber is not reported to	the IRS but may be helpful to
Description of property	CUSIP Symb	ol(Box 1a)				
				Accrued Market Discount		
Date Sold or Disposed		Date Proceeds Acquired	Cost or Other	(M)(Box 1f) & Wash Sale Loss		
	uantity	(Box 1d) (Box 1b)	Basis (Box 1e)	Disallowed (D)(Box 1g)	Gain or Loss(-)	Additional Notes
CALL AAPL 01/22/21 1	38 APPLE IN	C CUSIP: Symbol(Box 1a): A	APL210122C00138000			
01/21/2021	1.00	50.90 01/21/2021	39.08	0.00	11.82	Sell to Close
01/21/2021	1.00	47.90 01/21/2021	39.08	0.00	8.82	Sell to Close
Security Totals:		98.80	78.16	0.00	20.64	
CALL SLV 01/15/21 2	4 ISHARES S	SILVER SHARES CUSIP: Syr		C00024000		
01/08/2021	1.00	54.91 01/08/2021	53.08	0.00	1.83	Sell to Close
01/08/2021	1.00	55.90 01/08/2021	53.08	0.00	2.82	Sell to Close
Security Totals:		110.81	106.16		4.65	
CALL LMND 04/30/21	90 LEMONAL	DE INC CUSIP: Symbol(Box		0000		
04/21/2021 CALL ABNB 01/15/21 1	1.00 190 AIRBNB II	<u>329.91 04/21/2021</u> NC CUSIP: Symbol(Box 1a):	280.07 ABNB210115C00190000	0.00	49.84	Sell to Close
OALL ADIND 01/13/21			ADIAD210113000130000			
01/14/2021	1.00	139.90 01/14/2021	195.08	0.00	-55.18	Sell to Close
CALL AAPL 01/29/21 1	37 APPLE IN	C CUSIP: Symbol(Box 1a): A	APL210129C00137000			
01/25/2021	1.00	919.88 01/21/2021	445.08	0.00	474.80	Sell to Close
PUT SPY 01/11/21 37		D & POORS DEPOSITORY CU				
01/07/2021	1.00	82.90 01/07/2021	79.08	0.00	3.82	Sell to Close
01/08/2021	1.00	56.90 01/07/2021	79.08	0.00	-22.18	Sell to Close
Security Totals:		139.80	158.16		-18.36	
	0 DELTA AIR	LINES INC DEL CUSIP: Sy		9C00050000		
00/10/0001	1.00	00.00 00/10/0001	101.00	0.00		
03/12/2021 PUT PENN 01/29/21 1	1.00 00 PENN NA	99.90 03/12/2021 TIONAL GAMING INC CUSIP:	104.08 Symbol(Box 1a): PENN	0.00 210129P00100000	-4.18	Sell to Close
01/25/2021	1.00	219.90 01/25/2021	285.08	0.00	-65.18	Sell to Close

APEX CLEARING

* 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.

MQ16480		1100		(conti	arter Exchange Tra		31/2022	OMB No. 1545-0715
ox 5: Box Not Checke ne 1099-B data refere	Part I with Box A ch Loss - Short-Term d (Covered Securi	necked. (unless indicated a ty)	as Ordinary in A Box 6: Gross (dditional Notes Column) unless indicated as Net i	n Additional Notes Column) n not referenced by a Box N		Reported to the IRS the IRS but may be he	lpful to
omplete your return.								
	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(-)	Additiona	Notes
CALL NOK 01/29/21	9 NOKIA COH	PORATION CUS	IP: Symbol(E	Box 1a): NOK210129C00	009000			
01/27/2021 CALL BAC 02/19/21	1.00 35 BANK OF A		01/27/2021 CUSIP: Symb	157.08 ool(Box 1a): BAC210219	0.00 C00035000	-17.18	Sell to Close	
01/14/2021 CALL ETSY 01/15/21	1.00 185 ETSY INC		01/12/2021 ol(Box 1a): ETS	94.08 Y210115C00185000	0.00	-4.18	Sell to Close	
01/11/2021 PUT WFC 01/22/21	1.00 33 WELLS FAR		01/11/2021 P: Symbol(Bo	350.08 x 1a): WFC210122P000	0.00	9.82	Sell to Close	
01/15/2021	1.00		01/14/2021	38.08	0.00	76.82	Sell to Close	
01/15/2021 Security Totals:	3.00	320.74 435.64	Various	190.24 228.32	0.00	130.50 207.32	Sell to Close	
CALL RKT 04/01/21	25.39 ROCKET (COMPANIES INC	CLA ADJC/	ASH DISTRIBUTION C	USIP: Symbol(Box 1a): RK	T210401C00025390		
03/29/2021 CALL CCIV 03/19/21	1.00 20 CHURCHIL		03/29/2021 IV CL A CUS	132.08 IP: Symbol(Box 1a): C	0.00 CIV210319C00020000	20.82	Sell to Close	
01/14/2021 PUT ETSY 05/07/21	1.00 175 ETSY INC		01/14/2021 bl(Box 1a): ETS`	460.08 Y210507P00175000	0.00	-20.18	Sell to Close	
05/06/2021 CALL XPEV 02/19/21	1.00 41.50 XPENG IN		05/05/2021	440.07 mbol(Box 1a): XPEV2102	0.00	439.84	Sell to Close	
02/19/2021	1.00		02/19/2021	17.08	1.18	D 0.00	Sell to Close	
02/19/2021	1.00	0.00	02/19/2021	19.26	0.00	-19.26	Expiration	
ecurity Totals:		15.90		36.34		-19.26		
**NOKIA CORPORATI	UN SPONS	URED ADR REPS	IG 1 SER A C	CUSIP: 654902204 Sym	bol(Box 1a): NOK			
01/28/2021	10.00	48.08	01/27/2021	70.59	0.00	-22.51	Sale	

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

	Pro	ceeds fror	n Broker and Ba	rter Exchange Tr	ans	actions 202	1 Form 1099-B*	
			(contin	ued)		01/3	1/2022	OMB No. 1545-0715
Part I with Box A ch Loss - Short-Term ed (Covered Securit enced by a Box Nu	ecked. (unless indicated y)	as Ordinary in A Box 6: Gross (additional Notes Column) unless indicated as Net in	,	Numbe		•	
	V/Peyde)							
Quantity	Proceeds (Box 1d)	Date Acquired (Box 1b)	Cost or Other Basis (Box 1e)	(M)(Box 1f) & Wash Sale Loss Disallowed (D)(Box 1g)		Gain or Loss(-)	Addit	ional Notes
1 3375 AMAZON	COM INC CUS	IP: Symbol(Bo	0x 1a): AMZN210416C033	75000				
1.00			800.07	0.00		149.84	Sell to Close	
1 3500 AMAZON	COM INC CUS	IP: Symbol(Bo	ox 1a): AMZN210129C035	00000				
1.00	2,299.85	01/07/2021	2,400.08	100.23	D	0.00	Sell to Close	
1.00	1,649.87	01/14/2021	1,750.28	0.00		-100.41	Sell to Close	
1.00	1,689.87	01/13/2021	2,720.50	0.00		-1,030.63	Sell to Close	
2.00	2,599.77	Various	4,240.39	1640.62	D	0.00	Sell to Close	
	8,239.36		11,111.25			-1,131.04		
365 STANDARD	& POORS DEPO	DSITORY CUS	IP: Symbol(Box 1a): SF	Y210219P00365000				
1.00	1.091.88	12/30/2020	818.27	0.00		273.61	Sell to Close	
10 AURORA C	,							
1.00	71.90	01/06/2021	55.08	0.00		16.82	Sell to Close	
1.00	64.90	01/06/2021	55.08	0.00		9.82	Sell to Close	
710 TESLA INC		nbol(Box 1a): TS						
		/ /						
				0.00		-0.16	Sell to Close	
	11 003F. 3	ymbol(box ra). r	DA210123000213000					
1.00			155.08	0.00		-30.18	Sell to Close	
3315 AMAZON.	COM INC CUSI	P: Symbol(Bo	x 1a): AMZN210409P033	15000				
1 00	1 200 01	04/08/2021	1 800 07	0.00		00 84	Sell to Close	
				0.00		33.04		
1.00		01/22/2021	350.08	18.18			Sell to Close	
	Part I with Box A ch r Loss - Short-Term ed (Covered Securit renced by a Box Nu ty CUSIP Symbol 0 0 0 0 1 3375 AMAZON 1.00	Part I with Box A checked. Part I with Box A checked. r Loss - Short-Term (unless indicated ed (Covered Security)) renced by a Box Number is reported. try CUSIP Symbol(Box 1a) Proceeds (Box 1d) 1 3375 AMAZON.COM INC CUS 1 3375 AMAZON.COM INC CUS 1 00 949.91 1 3500 AMAZON.COM INC CUS 1 00 1,649.87 1 00 1,649.87 2.00 2,599.77 8,239.36 365 STANDARD & POORS DEPO 1.00 1,091.88 10 AURORA CANNABIS INC CUSIP 1.00 1,091.88 10 AURORA CANNABIS INC CUSIP 1.00 1,991.88 10 AURORA CANNABIS INC CUSIP 1.00 1,991.83 10 AURORA CANNABIS INC CUSIP 1.00 959.91 710 TESLA INC CUSIP 1.00 124.90 3315 AMAZON.COM INC CUSI 1.00 124.90	TRANSACTIONS FOR COVERED Part I with Box A checked. I coss - Short-Term (unless indicated as Ordinary in A ed (Covered Security) Box 6: Gross (renced by a Box Number is reported to the IRS. The ty CUSIP Symbol(Box 1a) Type Counces a Box Number is reported to the IRS. The ty CUSIP Symbol(Box 1a) Type Counces a Box Number is reported to the IRS. The ty CUSIP Symbol(Box 1a) Type Counces a Box Number is reported to the IRS. The ty CUSIP Symbol(Box 1a) Type Counce a Box Number is reported to the IRS. The ty CUSIP Symbol(Box 1a) 1.00 1.00 949.91 04/16/2021 1.00 949.91 04/16/2021 1.00 1,649.87 01/07/2021 1.00 1,649.87 01/13/2021 2.00 2,599.77 Various 8,239.36 365 STANDARD & POORS DEPOSITORY CUS 1.00 1,091.88 12/30/2020 1.00 1,00/06/2021 1.00 1,00/06/2021 1.00 1,00/06/2021 1.00	Contin TRANSACTIONS FOR COVERED TAX LOTS Part I with Box A checked. Loss - Short-Term (unless indicated as Ordinary in Additional Notes Column) ed (Covered Security) Box 6: Gross (unless indicated as Net in reneed by a Box Number is reported to the IRS. The additional information The difference by a Box Number is reported to the IRS. The additional information The difference by a Box Number is reported to the IRS. The additional information The difference by a Box Number is reported to the IRS. The additional information The difference by a Box Number is reported to the IRS. The additional information The Cost or Other (Box 1a) Quantity Proceeds Acquired Cost or Other (Box 1a): AMZNN210416C033 1.00 949.91 04/16/2021 800.07 1.00 2.299.85 01/07/2021 2.400.08 1.00 1.649.87 01/14/2021 1.750.28 1.00 1.649.87 01/13/2021 2.720.50 2.200 2.8293.65 11.111.25 365 STANDARD & POORS DEPOSITORY CUSIP: Symbol(Bo	(continued) Continued Continued Continues indicated as Ordinary in Additional Notes Column) ed (Covered Security) Box 6: Gross (unless indicated as Net in Additional Notes Column) enced by a Box Number is reported to the IRS. The additional information not referenced by a Box It Accrued Market Discount ty I CUSIP Symbol(Box 1a) Accrued Market Discount Date Cost or Other Wash Sale Loss Outer (Box 1a) Accrued Market Discount Date Cost or Other Wash Sale Loss Outer (Box 1a) Accrued Market Discount 1.00 949.91 04/16/2021 800.07 0.00 1.00 949.91 04/16/2021 2,400.08 100.23 1.00 1,649.87 0.1/11/2021 1,750.28 0.00 1.00 1,649.87 <	(continued) TRANSACTIONS FOR COVERED TAX LOTS Part I with Box A checked. (Loss - Short-Term (unless indicated as Ordinary in Additional Notes Column) enced by a Box Number is reported to the IRS. The additional information not referenced by a Box Number is reported to the IRS. The additional information not referenced by a Box Number is reported to the IRS. The additional information not referenced by a Box Number is reported to the IRS. The additional information not referenced by a Box Number is reported to the IRS. The additional Notes Column) Accrued Market Discount (MM (Box 11) & Accrued Market Discount (MM (Box 11) & Out is the information not referenced by a Box Number is reported to the IRS. The additional Notes Column) Accrued Market Discount (MM (Box 11) & Out is the information not referenced by a Box Number is reported to the IRS. The additional Notes Column) Accrued Market Discount (MM (Box 11) & Out is the information not referenced by a Box Number is reported to the IRS. The additional Notes Column) Accrued Market Discount (MM (Box 11) & Out is the information not referenced by a Box Number is reported to the IRS. The additional Notes Column) Image: State Number is reported to the IRS. The additional Notes Column) Image: State Number is reported to the IRS	Intercetus nome broken and parter Excitange Hansdettons (continued) 01/3 (continued) 01/3 TRANSACTIONS FOR COVERED TAX LOTS Part I with Box A checked. *Loss - Short-Term (unless indicated as Ordinary in Additional Notes Column) Box 8: Grass (unless indicated as Net in Additional Notes Column) Box 12: Basis enced by a Box Number is reported to the IRS. The additional information not referenced by a Box Number is not reported to to the IRS. The additional Information not referenced by a Box Number is not reported to to the IRS. The additional Notes Column) Box 12: Basis enced by a Box Number is reported to the IRS. The additional Notes Column) Box 12: Basis enced by a Box Number is not reported to the IRS. The additional Notes Column) Box 12: Basis enced by a Box Number is not reported to to the IRS. The additional Notes Column) Box 12: Basis enced by a Box Number is not reported to to the IRS. The additional Notes Column) Box 12: Basis (Box 16) Additional Notes Column) Box 12: Basis (Box 16) Colspan= 2 Date Correct Market Discount (MI(Box 11) & MZN2101/200375000 1.00 2.299.85 0.00 149.80 1.00 1.01/10/2021	(continued) 01/31/2022 TRANSACTIONS FOR COVERED TAX LOTS Part I with Box A checked. Loss - Short-Term (unless indicated as Ordinary in Additional Notes Column) Box 50: Gross (unless indicated as Net in Additional Notes Column) Box 12: Basis Reported to the IRS enced 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 interferenced by a Box Number is not reported to the IRS but may interferenced by a Box Number is reported to the IRS but may interferenced by a Box Number is not reported to the IRS but may interferenced by a Box Number is not reported to the IRS but may interferenced by a Box Number is not reported to the IRS but may interferenced by a Box Number is not reported to the IRS but may interferenced by a Box Number is not reported to the IRS but may interferenced by a Box Number is reported to the IRS but may interferenced by a Box Number is not reported to the IRS but may interferenced by a Box Number is not reported to the IRS but may interferenced by a Box Number is not reported to the IRS but may interferenced by a Box Number is not reported to the IRS but may interferenced by a Box Number is not reported to the IRS but may interferenced by a Box Number is not reported to the IRS but may interferenced by a Box Number is not reported to the IRS but may interferenced by a Box Number is not reported to the IRS but may interferenced by a Box Number is not reported to the IRS but may interferenced by a Box Number is not reported to the IRS but TLSS besite interferenced by a Box Number is not reported to the IRS but Close interferenced by a Box Number is not reported to the IRS but Close into 0 (Box 1a): I (Box 1a): AMZNE(10129C02375000 1.00 <td< td=""></td<>

		Pro	ceeds fron	n Broker and I	Barter Exchange Tran	sactions 202	1 Form 1099-B*	
5MQ16480				(con	tinued)	01/3	31/2022	OMB No. 1545-0715
Box 5: Box Not Checke	Part I with Box A ch r Loss - Short-Term ed (Covered Securit renced by a Box Nu	necked. (unless indicated ty)	as Ordinary in A Box 6: Gross (dditional Notes Colum	n) t in Additional Notes Column) i on not referenced by a Box Num		Reported to the IR the IRS but may b	
Description of proper Date Sold or Disposed		ol(Box 1a) 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(-)	Additi	onal Notes
01/25/2021	1.00	884 89	01/22/2021	433.26	0.00	451.63	Sell to Close	
Security Totals:	1.00	1.216.79	01/22/2021	783.34	0.00	451.63		
CALL ABNB 01/22/21 01/21/2021 CALL MSFT 04/30/21	1.00	129.90	01/21/2021	160.08	0.00	-30.18	Sell to Close	
04/27/2021	1.00	367.91	04/26/2021	367.07	0.00	0.84	Sell to Close	
JALL VALE 03/19/21	21 VALE S A	CUSIP: Symbol	ol(Box 1a): VALE	210319C00021000				
03/19/2021	4.00	0.00	Various	111.32	0.00	-111.32	Expiration	
CALL VALE 03/19/21 03/19/2021 CALL VALE 02/19/21 02/01/2021	4.00	0.00 CUSIP: Symbo	Various		0.00	-111.32 -4.18		
03/19/2021 CALL VALE 02/19/21	4.00 20 VALE S A	0.00 CUSIP: Symbol 11.90	Various ol(Box 1a): VALE	111.32 210219C00020000				
03/19/2021 CALL VALE 02/19/21 02/01/2021 02/01/2021	4.00 20 VALE S A 1.00	0.00 CUSIP: Symbol 11.90	Various bl(Box 1a): VALE 01/28/2021	<u>111.32</u> 210219C00020000 16.08	0.00	-4.18	Sell to Close	
03/19/2021 ALL VALE 02/19/21 02/01/2021 02/01/2021 ecurity Totals:	4.00 20 VALE S A 1.00 3.00	0.00 CUSIP: Symbol 11.90 35.74 47.64	Various bl(Box 1a): VALE 01/28/2021 01/28/2021	111.32 210219C00020000 16.08 48.24 64.32	0.00	-4.18 -12.50	Sell to Close	
03/19/2021 CALL VALE 02/19/21 02/01/2021 02/01/2021 Security Totals:	4.00 20 VALE S A 1.00 3.00	0.00 CUSIP: Symbol 11.90 35.74 47.64 RTAINMENT HO	Various bl(Box 1a): VALE 01/28/2021 01/28/2021	111.32 210219C00020000 16.08 48.24 64.32	0.00	-4.18 -12.50	Sell to Close	
03/19/2021 CALL VALE 02/19/21 02/01/2021 02/01/2021 Security Totals: CALL AMC 02/19/21	4.00 20 VALE S A 1.00 3.00 3 AMC ENTER	0.00 CUSIP: Symbol 11.90 <u>35.74</u> 47.64 RTAINMENT HO 119.90	Various DI(Box 1a): VALE 01/28/2021 01/28/2021 LDINGS INC C	111.32 210219C00020000 16.08 48.24 64.32 USIP: Symbol(Box 1	0.00 0.00 a): AMC210219C00003000	-4.18 -12.50 -16.68	Sell to Close Sell to Close	
03/19/2021 CALL VALE 02/19/21 02/01/2021 02/01/2021 Security Totals: CALL AMC 02/19/21 01/22/2021	4.00 20 VALE S A 1.00 3.00 3 AMC ENTER 1.00	0.00 CUSIP: Symbol 11.90 <u>35.74</u> 47.64 RTAINMENT HO 119.90 110.90	Various DI(Box 1a): VALE 01/28/2021 01/28/2021 LDINGS INC C 01/22/2021	<u>111.32</u> 210219C00020000 16.08 <u>48.24</u> 64.32 USIP: Symbol(Box 1 118.08	0.00 0.00 a): AMC210219C00003000 0.00	-4.18 -12.50 -16.68 1.82	Sell to Close Sell to Close Sell to Close	

0.00

0.00

-1.18 Sell to Close

-4.66 Sell to Close

-5.84

10.08

40.32

50.40

02/01/2021

02/01/2021

Security Totals:

1.00

4.00

8.90 01/27/2021

35.66 01/27/2021

44.56

APEX CLEARING		Proc	eeds from	m Broker and E	Barter Exchange Tr	ansactions 202	1 Form 1099-B*
5MQ16480				(cont	01/3	31/2022 OMB No. 1545-0715	
Box 5: Box Not Check	Part I with Box A che r Loss - Short-Term ed (Covered Security renced by a Box Nu	ecked. (unless indicated a y)	as Ordinary in A Box 6: Gross	Additional Notes Column (unless indicated as Net	in Additional Notes Column)		s Reported to the IRS the IRS but may be helpful to
Description of proper		l(Box 1a)					
Date Sold or Disposed (Box 1c) GOODYEAR TIRE & F	Quantity	Proceeds (Box 1d)	Date Acquired (Box 1b) mbol(Box 1a):	Cost or Other Basis (Box 1e) GT	Accrued Market Discount (M)(Box 1f) & Wash Sale Loss Disallowed (D)(Box 1g)	Gain or Loss(-)	Additional Notes
01/25/2021	75.00	863.22	01/20/2021	851.89	0.00	11.33	Sale
CALL UBER 05/07/21	52.50 UBER TEC	CHNOLOGIES IN	C CUSIP: S	Symbol(Box 1a): UBER2	10507C00052500		
05/04/2021	1.00		05/04/2021	220.07	0.00	-15.16	Sell to Close
CALL AMZN 01/29/2	1 3350 AMAZON.	COM INC CUSIF	P: Symbol(Be	ox 1a): AMZN210129C0	3350000		
01/26/2021	1.00	2,809.84		2,450.08	0.00	359.76	Sell to Close
PUT AMZN 10/29/21	3250 AMAZON.0	COM INC CUSIP	: Symbol(Bo	ox 1a): AMZN211029P03	3250000		
10/29/2021	1.00	1,014.94		1,000.04	0.00	14.90	Sell to Close
CALL SNOW 01/29/2	1 300 SNOWFLA	AKE INC CLASS A	A CUSIP: S	ymbol(Box 1a): SNOW2	10129C00300000		
01/27/2021	1.00		01/27/2021	340.08	0.00	8.82	Sell to Close
PUT AMZN 04/16/21	3360 AMAZON.0	COM INC CUSIP	: Symbol(Bo	ox 1a): AMZN210416P03	3360000		
04/14/2021	1.00	1,899.91	04/14/2021	1,900.07	0.16	D 0.00	Sell to Close
04/14/2021	1.00	2,199.90	04/14/2021	2,100.07	0.00	99.83	Sell to Close
04/14/2021	1.00	1,949.91	04/14/2021	1,800.23	0.00	149.68	Sell to Close
Security Totals: CALL AMD 04/16/21		6,049.72		5,800.37 : Symbol(Box 1a): AM		249.51	
02/02/2021 CALL AMZN 04/09/2 ⁻	1.00		02/02/2021	690.08 ox 1a): AMZN210409C0	0.00	-10.19	Sell to Close
JALL AIVIZIN 04/09/2	I 3345 AIVIAZUN.		Symbol(B	ux 1a). AIVIZINZ 1040900	0040000		
04/09/2021	1.00	1,799.91	04/09/2021	1,200.07	0.00	599.84	Sell to Close

	110		Barter Exchange Tran	Cacherre	1 Form 1099-B*	
5MQ16480		(cor	01/3	01/31/2022		
SHORT TERM TRA	NSACTIONS FOR	COVERED TAX LOTS				
Report on Form 8949, Part I w	vith Box A checked.					
Box 2: Type of Gain or Loss -	Short-Term (unless indicated	as Ordinary in Additional Notes Colum	าท)			
Box 5: Box Not Checked (Cov	et in Additional Notes Column)	Box 12: Basis	Reported to the IRS			
	by a Box Number is reported	t to the IRS. The additional informat	,	ber is not reported to	the IRS but may be I	nelpful to
The 1099-B data referenced complete your return. Description of property CU		I to the IRS. The additional informat	,	ber is not reported to	the IRS but may be I	nelpful to
complete your return.	SIP Symbol(Box 1a) Proceeds	d to the IRS. The additional informat Date Acquired Cost or Other (Box 1b) Basis (Box 1e)	,	ber is not reported to Gain or Loss(-)	the IRS but may be I	
complete your return. Description of property CU Date Sold or Disposed	SIP Symbol(Box 1a) Proceeds iity (Box 1d)	Date Acquired Cost or Other (Box 1b) Basis (Box 1e)	ion not referenced by a Box Num Accrued Market Discount (M)(Box 1f) & Wash Sale Loss Disallowed (D)(Box 1g)			
complete your return. Description of property CU Date Sold or Disposed (Box 1c) Quant PUT AMZN 02/05/21 3290	SIP Symbol(Box 1a) Proceeds tity (Box 1d) AMAZON.COM INC CUSI	Date Acquired Cost or Other (Box 1b) Basis (Box 1e)	ion not referenced by a Box Num Accrued Market Discount (M)(Box 1f) & Wash Sale Loss Disallowed (D)(Box 1g)			

APEX CLEARING

5MQ16480

Dividends and Distributions - Details of Form 1099-DIV 2021

01/31/2022

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

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

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

Description CUSIP Symbol									
Date	Total Ordinary Dividends (Box 1a)	Qualified Dividends (Box 1b)	Nondividend Distributions (Box 3)	Section 199A Dividends (Box 5)	Investment Expenses (Box 6)	Foreign Tax Paid (Box 7)	Foreign Country or US Possession (Box 8)		
PFIZER INC CUSI	P: 717081103 Symbol: P	FE	· · · · ·	· · · · ·	, <i>r</i>	· · · · · ·	· · · · · ·		
03/05/2021	19.50	19.50	0.00	0.00	0.00	0.00			
Totals:	19.50	19.50	0.00	0.00	0.00	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 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 7a that is section 697 gain autibutable to disposite **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 nonpublicity offered RIC, generally a nonpublicity 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), 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, 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, 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 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 includible 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.

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 includible in income on Form 1040 or 1040-SR with respect to the U.S. Treasury obligation. If an amount is net 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 are remium, 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

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. Report this amount on Form 849 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 are control of the exercise of a noncompensatory option granted or acquired through the exercise of a noncompensatory option granted or acquired through the exercise of a noncompensatory option granted or acquired through the exercise of a concompensatory option premium. If the securities were acquired through the exercise of a noncompensatory option premium. If the securities were acquired through the exercise of a compensatory option, 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 before 2014, and securities to a dividend reinvestment plan before 2014, 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 generally must report either (1) a net 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.

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 is included in income. If the payer has reported a net amount of OID in box, 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) and you must not make an adjustment to this amount of acquisition premium 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) and you must not make an adjustment to this amount for acquisition premium on Schedule B (Form 1040 or 1040-SR) and you must not acquisition premium on Schedule B (Form 1040 or 1040-SR) and you must not adjustment to this amount for acquisition premium on Schedule B (Form 1040 or 1040-SR) and you must not adjustment to this amount for acquisition premium on Schedule B (Form 1040 or 1040-SR) and you must not adjustment to this amount for acquisition premium on Schedule B (Form 1040 or 1040-SR) and you must not adjustment to this amount for acquisition premium on Schedule B (Form 1040 or 1040-SR) and you must not and you must not adjustment to this amount for acquisition premium on Schedule B (Form 1040 or 1040-SR) and you must not adjustment to this amount for acquisition premium on Schedule B (Form 1040 or 1040-SR) and you must not adjustment to this amount for acquisition premium on Schedule B (Form 1040 or 1040-SR) and you must not adjustment to this amount for acquisition premium on Schedule B (Form 1040 or 1040-SR) and you must not adjustment to this amount for acquisition premium on Schedule B (Form

If there is an amount in both boxes 6 and 11, for a tax-exempt obligation that is a covered security acquisition premium for a tax-exempt obligation that is a covered security acquisition that is a covered security acquisition that is a covered security acquisition that is a covered security acquired with OLD, the amount in box 6 shows the amount of acquisition premium amortization for the year that reduces the amount of your tax-exempt OLD 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 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 refurn, 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 defiation 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

premium 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 obligation that is a covered security acquired before January 1, 2017, and assued with OID.

Box 11. For a fax-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.