

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

VIJAYAKUMAR KANNAN
1302 TIMBER OAKS ROAD
EDISON, NJ 08820-1548

IN ACCOUNT WITH
WEBULL FINANCIAL LLC
917-725-2448

IMPORTANT YEAR END MESSAGES

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

Please verify your personal information for accuracy and contact us to correct any discrepancies.

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APEX CLEARING ONE DALLAS CENTER 350 NORTH ST PAUL SUITE 1300 DALLAS, TX 75201 Customer Service: 214-765-1009 PAYER'S Federal ID No: 13-2967453 IN ACCOUNT WITH WEBULL FINANCIAL LLC (917) 725-2448	Account 5MW60817	Form 1099 Composite	2020
	VIJAYAKUMAR KANNAN 1302 TIMBER OAKS ROAD EDISON, NJ 08820-1548 RECIPIENT'S ID No: XXX-XX-7215	Statement Date: 02/03/2021	

FATCA filing requirement []

Tax Reporting Statement

DIVIDENDS AND DISTRIBUTIONS	2020 Form 1099-DIV*	OMB No. 1545-0110
1a- Total Ordinary Dividends (includes amount shown on 1b)	81.63	
1b- Qualified Dividends	81.63	
2a- Total Capital Gain Distributions (includes lines 2b, 2c, 2d)	0.00	
2b- Unrecaptured Section 1250 gain	0.00	
2c- Section 1202 Gain	0.00	
2d- Collectibles (28%) Gain	0.00	
3- Nondividend Distributions	0.00	
4- Federal Income Tax Withheld	0.00	
5- Section 199A Dividends	0.00	
6- Investment Expenses	0.00	
7- Foreign tax Paid	0.00	
8- Foreign country or US Possession		
9- Cash Liquidation Distributions	0.00	
10- Noncash Liquidation Distribution	0.00	
11- Exempt-Interest Dividends	0.00	
12- Specified Private Activity Bond Interest Dividends	0.00	

INTEREST INCOME	2020 Form 1099-INT*	OMB No. 1545-0112
1- Interest Income	0.00	
2- Early Withdrawal penalty	0.00	
3- Interest on U.S. Savings Bonds & Treasury Obligations	0.00	
4- Federal Income Tax Withheld	0.00	
5- Investment Expenses	0.00	
6- Foreign Tax Paid	0.00	
7- Foreign Country or U.S. Possession		
8- Tax-Exempt Interest (includes box 9)	0.00	
9- Specified Private Activity Bond Interest	0.00	
10- Market Discount	0.00	
11- Bond Premium	0.00	
12- Bond Premium on Treasury Obligations	0.00	
13- Bond Premium on Tax-Exempt Bonds	0.00	
14- Tax-Exempt and Tax Credit Bond CUSIP no.		

MISCELLANEOUS INCOME	2020 Form 1099-MISC*	OMB No. 1545-0115
2- Royalties	11.00 ⁰¹	
3- Other Income	104.33	
4- Federal Income Tax Withheld	0.00	
8- Substitute Payments in Lieu of Dividends or Interest	0.00	

REGULATED FUTURES CONTRACTS & SECTION 1256 OPTIONS	2020 Form 1099-B*	OMB No. 1545-0715
8- Profit or (loss) realized in 2020 on closed contracts	0.00	
9- Unrealized profit or (loss) on open contracts - 12/31/2019	0.00	
10- Unrealized profit or (loss) on open contracts - 12/31/2020	0.00	
11- Aggregate profit or (loss) on contracts	0.00	
<i>As applicable, proceeds from other sale transactions are summarized below and details are provided in subsequent sections of this document. More details on futures and section 1256 options transactions are also provided in other sections of this document.</i>		

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APEX CLEARING

Tax Summary

2020

5MW60817

02/03/2021

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	Market Discount	Total Wash Sale Loss Disallowed	Total Net Gain or Loss(-)
Short term transactions for covered tax lots	235,531.53	239,944.16	0.00	4,847.37	434.74
Short term transactions for noncovered tax lots	8,003.32	8,433.02	0.00	133.76	-295.94
Total Short-term	243,534.85	248,377.18	0.00	4,981.13	138.80
Long-term transactions for covered tax lots	2.06	2.23	0.00	0.00	-0.17
Long-term transactions for noncovered tax lots	0.00	0.00	0.00	0.00	0.00
Total Long-term	2.06	2.23	0.00	0.00	-0.17
Undetermined transactions for noncovered tax lots	0.00	0.00	0.00	0.00	0.00
Total Undetermined-term	0.00	0.00	0.00	0.00	0.00

ORIGINAL ISSUE DISCOUNT SUMMARY

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

Amounts shown in this section are summary totals for your reference. For bond-by-bond detail, use the Form 1099-OID section of this document.

FEDERAL TAX WITHHELD

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

APEX CLEARING

Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B*

OMB No. 1545-0715

5MW60817

02/03/2021

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

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

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

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

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

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

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

FATCA filing requirement []

SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

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

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

Box 5: Box Not Checked (Covered Security)

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

Box 12: Basis Reported to the IRS

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

1a - Description of property | CUSIP | Symbol

1c - Date Sold or Disposed	Quantity	1d - Proceeds	1b - Date Acquired	1e - Cost or Other Basis	1f - Accrued Market Discount (M) & 1g - Wash Sale Loss Disallowed (D)	Gain or Loss (-)	Additional Notes
CALL HAL 12/24/20	20	HALLIBURTON CO CUSIP: Symbol: HAL201224C00020000					
12/15/2020	1.00	67.90	12/15/2020	53.08	0.00	14.82	Sell to Close
12/15/2020	1.00	67.90	12/15/2020	53.08	0.00	14.82	Sell to Close
12/15/2020	2.00	137.82	12/15/2020	106.16	0.00	31.66	Sell to Close
Security Totals:		273.62		212.32		61.30	
CALL COST 12/18/20	380	COSTCO WHOLESALE CORPORATION ADJ CASH DISTRIBUTION CUSIP: Symbol: COST201218C00380000					
12/15/2020	1.00	120.90	12/14/2020	113.08	0.00	7.82	Sell to Close
CALL JD 12/18/20	86	JD.COM INC CUSIP: Symbol: JD201218C00086000					
12/08/2020	2.00	267.82	12/03/2020	630.16	0.00	-362.34	Sell to Close

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APEX CLEARING

Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B*

OMB No. 1545-0715

5MW60817

(continued)

02/03/2021

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.**

1a - Description of property | CUSIP | Symbol

1c - Date Sold or Disposed	Quantity	1d - Proceeds	1b - Date Acquired	1e - Cost or Other Basis	1f - Accrued Market Discount (M) & 1g - Wash Sale Loss Disallowed (D)	Gain or Loss (-)	Additional Notes
CALL AMD 01/15/21 95							
ADVANCED MICRO DEVICES INC CUSIP: Symbol: AMD210115C00095000							
12/28/2020	1.00	262.90	12/24/2020	300.08	0.00	-37.18	Sell to Close
CALL JPM 01/08/21 123							
JPMORGAN CHASE & CO CUSIP: Symbol: JPM210108C00123000							
12/28/2020	1.00	396.90	12/24/2020	299.08	0.00	97.82	Sell to Close
CORTEXME INC							
COMMON STOCK CUSIP: 22053A107 Symbol: CRTX							
12/16/2020	30.00	950.06	12/15/2020	938.40	0.00	11.66	Sale
12/16/2020	60.00	1,913.34	12/15/2020	1,876.80	0.00	36.54	Sale
Security Totals:		2,863.40		2,815.20		48.20	
MICROVISION INC DEL CUSIP: 594960304 Symbol: MVIS							
08/31/2020	300.00	515.94	07/29/2020	582.00	66.06 D	0.00	Sale
09/01/2020	200.00	311.97	Various	395.54	83.57 D	0.00	Sale
09/01/2020	300.00	467.94	Various	542.59	0.00	-74.65	Sale
Security Totals:		1,295.85		1,520.13		-74.65	
PRECIPIO INC							
COMMON STOCK CUSIP: 74019L503 Symbol: PRPO							
12/07/2020	450.00	1,057.42	12/03/2020	1,165.50	0.00	-108.08	Sale
***KAIXIN AUTO HOLDINGS							
ORDINARY SHARE CUSIP: G5223X100 Symbol: KXIN							
11/05/2020	300.00	1,334.99	11/05/2020	1,320.00	0.00	14.99	Sale
11/05/2020	300.00	1,120.10	11/05/2020	1,170.00	49.9 D	0.00	Sale
11/20/2020	600.00	3,119.86	Various	2,683.90	0.00	435.96	Sale
Security Totals:		5,574.95		5,173.90		450.95	
PUT NVDA 12/31/20 505							
NVIDIA CORP CUSIP: Symbol: NVDA201231P00505000							
12/28/2020	1.00	165.90	12/24/2020	246.08	0.00	-80.18	Sell to Close
CALL NET 12/31/20 90							
CLOUDFLARE INC CL A CUSIP: Symbol: NET201231C00090000							
12/17/2020	1.00	124.90	12/16/2020	195.08	0.00	-70.18	Sell to Close
TRXADE GROUP INC							
COMMON STOCK CUSIP: 89846A207 Symbol: MEDS							
10/26/2020	200.00	1,519.94	10/26/2020	1,594.01	0.00	-74.07	Sale
CALL OSTK 12/18/20 80							
OVERSTOCK.COM INC CUSIP: Symbol: OSTK201218C00080000							
11/30/2020	2.00	419.82	11/24/2020	560.16	0.00	-140.34	Sell to Close
CALL XLF 01/21/22 23							
SECTOR SPDR FINANCIAL ETF CUSIP: Symbol: XLF220121C00023000							
09/28/2020	1.00	339.90	09/24/2020	300.09	0.00	39.81	Sell to Close

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APEX CLEARING

Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B*

OMB No. 1545-0715

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(continued)

02/03/2021

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.****1a - Description of property | CUSIP | Symbol**

1c - Date Sold or Disposed	Quantity	1d - Proceeds	1b - Date Acquired	1e - Cost or Other Basis	1f - Accrued Market Discount (M) & 1g - Wash Sale Loss Disallowed (D)	Gain or Loss (-)	Additional Notes
GENERAL ELECTRIC COMPANY COM CUSIP: 369604103 Symbol: GE							
08/07/2020	163.00	1,038.68	07/24/2020	1,125.52	0.00	-86.84	Sale
***VERONA PHARMA PLC AMERICAN DEPOSITARY SHARE CUSIP: 925050106 Symbol: VRNA							
08/07/2020	50.00	389.98	Various	453.35	63.37 D	0.00	Sale
08/20/2020	100.00	792.97	Various	839.67	84.38 D	37.68	Sale
09/14/2020	100.00	682.97	Various	782.63	0.00	-99.66	Sale
Security Totals:		1,865.92		2,075.65		-61.98	
***SKILLFUL CRAFTSMAN EDUCATION TECHNOLOGY LIMITED ORDINARY SHARE CUSIP: G8211A108 Symbol: EDTK							
08/04/2020	106.00	400.68	Various	499.95	92.13 D	-7.14	Sale
08/05/2020	64.00	242.54	Various	338.08	0.00	-95.54	Sale
Security Totals:		643.22		838.03		-102.68	
HELIX ENERGY SOLUTIONS GROUP INC CUSIP: 42330P107 Symbol: HLX							
12/01/2020	270.00	1,036.74	11/23/2020	1,001.35	0.00	35.39	Sale
ALTERYX INC CLASS A COMMON STOCK CUSIP: 02156B103 Symbol: AYX							
08/31/2020	3.00	358.78	08/26/2020	357.51	0.00	1.27	Sale
PHOTRONICS INC CUSIP: 719405102 Symbol: PLAB							
09/28/2020	7.00	69.78	Various	62.44	0.00	7.34	Sale
CALL BABA 12/24/20 260 ALIBABA GROUP HOLDING LIMITED CUSIP: Symbol: BABA201224C00260000							
12/17/2020	1.00	689.89	12/16/2020	585.08	0.00	104.81	Sell to Close
HEWLETT PACKARD ENTERPRISE COMPANY COM CUSIP: 42824C109 Symbol: HPE							
09/28/2020	3.00	27.98	Various	27.72	0.00	0.26	Sale
BOQI INTERNATIONAL MEDICAL INC COMMON STOCK CUSIP: 099501108 Symbol: BIM1							
10/21/2020	400.00	820.81	Various	1,354.00	0.00	-533.19	Sale
***JUST ENERGY GROUP INC CUSIP: 48213W101 Symbol: JE							
07/20/2020	900.00	902.14	Various	331.45	0.00	570.69	Sale
07/20/2020	100.00	102.98	07/10/2020	35.89	0.00	67.09	Sale
08/10/2020	2,000.00	694.74	Various	801.30	106.56 D	0.00	Sale
08/21/2020	1,980.00	574.34	Various	677.42	73.66 D	-29.42	Sale
08/31/2020	1,000.00	360.47	Various	574.93	0.00	-214.46	Sale
Security Totals:		2,634.67		2,420.99		393.90	

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APEX CLEARING

Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B*

OMB No. 1545-0715

5MW60817

(continued)

02/03/2021

SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

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

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1c - Date Sold or Disposed	Quantity	1d - Proceeds	1b - Date Acquired	1e - Cost or Other Basis	1f - Accrued Market Discount (M) & 1g - Wash Sale Loss Disallowed (D)	Gain or Loss (-)	Additional Notes
CALL TRVN 03/19/21	2.50	TREVENA INC CUSIP: Symbol: TRVN210319C00002500					
09/10/2020	1.00	76.89	08/27/2020	65.28	0.00	11.61	Sell to Close
09/10/2020	2.00	149.80	Various	169.18	10.19 D	-9.19	Sell to Close
Security Totals:		226.69		234.46		2.42	
CALL AMD 01/15/21	92.50	ADVANCED MICRO DEVICES INC CUSIP: Symbol: AMD210115C00092500					
12/14/2020	1.00	634.89	12/10/2020	535.08	0.00	99.81	Sell to Close
LIPOCINE INC CUSIP: 53630X104 Symbol: LPCN							
08/27/2020	100.00	168.98	08/26/2020	176.00	0.00	-7.02	Sale
***TRANSATLANTIC PETROLEUM LTD SHS NEW CUSIP: G89982113 Symbol: TAT							
08/12/2020	1,100.00	296.75	Various	449.24	0.00	-152.49	Sale
CALL DBX 11/06/20	18	DROPBOX INC CUSIP: Symbol: DBX201106C00018000					
11/03/2020	1.00	97.90	10/30/2020	80.08	0.00	17.82	Sell to Close
ADVANCED MICRO DEVICES INC COM CUSIP: 007903107 Symbol: AMD							
12/23/2020	27.00	2,511.47	Various	2,488.86	0.00	22.61	Sale
PUT SPY 11/06/20	352.50	STANDARD & POORS DEPOSITORY CUSIP: Symbol: SPY201106P00352500					
11/05/2020	3.00	1,010.72	11/05/2020	936.24	0.00	74.48	Sell to Close
CALL PFE 12/18/20	42	PFIZER INC CUSIP: Symbol: PFE201218C00042000					
12/18/2020	2.00	0.00	12/10/2020	364.16	0.00	-364.16	Expiration
PUT ET 11/06/20	5.50	ENERGY TRANSFER LP CUSIP: Symbol: ET201106P00005500					
11/02/2020	1.00	8.82	10/30/2020	0.00	0.00	8.82	Buy to Close
CALL PTON 07/24/20	68	PELTON INTERACTIVE INC CL A CUSIP: Symbol: PTON200724C00068000					
07/22/2020	2.00	53.79	07/20/2020	153.19	0.00	-99.40	Sell to Close
PUT AAPL 01/08/21	134	APPLE INC CUSIP: Symbol: AAPL210108P00134000					
12/30/2020	1.00	296.90	12/29/2020	264.08	0.00	32.82	Sell to Close
CALL MVIS 02/19/21	2	MICROVISION INC CUSIP: Symbol: MVIS210219C00002000					
08/27/2020	2.00	139.80	08/07/2020	140.18	0.38 D	0.00	Sell to Close
09/02/2020	5.00	274.53	Various	305.83	0.00	-31.30	Sell to Close
Security Totals:		414.33		446.01		-31.30	
CALL CHWY 01/15/21	100	CHEWY INC CLASS A CUSIP: Symbol: CHWY210115C00100000					
12/17/2020	1.00	681.89	12/16/2020	400.08	0.00	281.81	Sell to Close

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APEX CLEARING

Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B*

OMB No. 1545-0715

5MW60817

(continued)

02/03/2021

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.****1a - Description of property | CUSIP | Symbol**

1c - Date Sold or Disposed	Quantity	1d - Proceeds	1b - Date Acquired	1e - Cost or Other Basis	1f - Accrued Market Discount (M) & 1g - Wash Sale Loss Disallowed (D)	Gain or Loss (-)	Additional Notes
CALL PRPL 12/18/20	35	PURPLE INNOVATION INC CUSIP: Symbol: PRPL201218C00035000					
12/08/2020	3.00	29.74	12/04/2020	180.24	0.00	-150.50	Sell to Close
CALL MVIS 02/19/21	1	MICROVISION INC CUSIP: Symbol: MVIS210219C00001000					
09/02/2020	1.00	84.89	08/25/2020	70.09	0.00	14.80	Sell to Close
PUT SAVE 01/15/21	25	SPIRIT AIRLINES INC CUSIP: Symbol: SAVE210115P00025000					
12/21/2020	2.00	359.82	12/16/2020	330.16	0.00	29.66	Sell to Close
CALL FUBO 01/15/21	35	FUBOTV INC CUSIP: Symbol: FUBO210115C00035000					
12/17/2020	2.00	1,015.80	12/17/2020	700.16	0.00	315.64	Sell to Close
FUEL TECH INC CUSIP: 359523107 Symbol: FTEK							
12/03/2020	240.00	1,015.14	Various	1,325.10	0.00	-309.96	Sale
FORUM ENERGY TECHNOLOGIES INC COM CUSIP: 34984V100 Symbol: FET							
07/21/2020	100.00	49.05	07/20/2020	68.91	0.00	-19.86	Sale
07/21/2020	200.00	101.47	07/20/2020	137.82	0.00	-36.35	Sale
Security Totals:		150.52		206.73		-56.21	
SPARTAN ENERGY ACQUISITION CORP CLASS A COMMON STOCK CUSIP: 846784106 Symbol: SPAQ							
08/21/2020	25.00	304.98	07/22/2020	351.75	46.77 D	0.00	Sale
08/21/2020	25.00	306.23	07/22/2020	351.75	45.52 D	0.00	Sale
08/24/2020	100.00	1,309.96	Various	1,471.79	161.83 D	0.00	Sale
09/15/2020	50.00	858.97	Various	643.52	0.00	215.45	Sale
09/21/2020	200.00	3,199.94	Various	2,747.32	15.01 D	467.63	Sale
Security Totals:		5,980.08		5,566.13		683.08	
PUT NVDA 12/31/20	510	NVIDIA CORP CUSIP: Symbol: NVDA201231P00510000					
12/28/2020	1.00	92.82	12/24/2020	0.00	0.00	92.82	Buy to Close
EVOFEM BIOSCIENCES INC COMMON STOCK CUSIP: 30048L104 Symbol: EVFM							
12/22/2020	450.00	954.42	12/21/2020	929.50	0.00	24.92	Sale
CALL OAS 07/17/20	.50	OASIS PETROLEUM INC CUSIP: Symbol: OAS200717C00000500					
07/16/2020	2.00	39.79	07/16/2020	50.19	0.00	-10.40	Sell to Close
***CREDIT SUISSE AG NASSAU BRH VELOCITY SHS DAILY 2X SHORT TERM ETN CUSIP: 22542D258 Symbol: TVIX							
06/30/2020	1.00	126.92	06/30/2020	126.05	0.00	0.87	Sale
PUT AMC 07/31/20	5	AMC ENTERTAINMENT HOLDINGS INC CUSIP: Symbol: AMC200731P00005000					
07/28/2020	1.00	-4.19	07/23/2020	0.00	4.19 D	0.00	Buy to Close

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APEX CLEARING

Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B*

OMB No. 1545-0715

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(continued)

02/03/2021

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.****1a - Description of property | CUSIP | Symbol**

1c - Date Sold or Disposed	Quantity	1d - Proceeds	1b - Date Acquired	1e - Cost or Other Basis	1f - Accrued Market Discount (M) & 1g - Wash Sale Loss Disallowed (D)	Gain or Loss (-)	Additional Notes
ASHFORD HOSPITALITY TR INC COMMON STOCK CUSIP: 044103877 Symbol: AHT							
07/27/2020	100.00	418.00	07/23/2020	437.00	0.00	-19.00	Sale
12/11/2020	300.00	1,191.59	12/10/2020	1,169.67	0.00	21.92	Sale
Security Totals:		1,609.59		1,606.67		2.92	
BIOVIE INC CLASS A COMMON STOCK CUSIP: 09074F207 Symbol: BIVI							
12/15/2020	90.00	1,148.36	12/14/2020	1,078.40	0.00	69.96	Sale
FISKER INC CLASS A COMMON STOCK CUSIP: 33813J106 Symbol: FSR							
11/09/2020	300.00	4,340.86	Various	4,988.01	647.15 D	0.00	Sale
11/09/2020	600.00	8,514.85	Various	8,581.77	435.44 D	368.52	Sale
11/25/2020	120.00	2,050.74	Various	1,916.57	0.00	134.17	Sale
11/25/2020	180.00	3,403.70	Various	3,509.17	0.00	-105.47	Sale
Security Totals:		18,310.15		18,995.52		397.22	
CALL WLL 08/07/20 1 WHITING PETROLEUM CORPORATION CUSIP: Symbol: WLL200807C00001000							
08/05/2020	8.00	87.24	08/05/2020	120.73	0.00	-33.49	Sell to Close
08/07/2020	2.00	0.00	08/05/2020	30.18	0.00	-30.18	Expiration
Security Totals:		87.24		150.91		-63.67	
CASSAVA SCIENCES INC COMMON STOCK CUSIP: 14817C107 Symbol: SAVA							
12/23/2020	120.00	908.36	12/21/2020	942.00	0.00	-33.64	Sale
DIREXION SHARES ETF TRUST DIREXION DAILY S&P 500 BEAR 3X SHARES CUSIP: 25460E885 Symbol: SPXS							
11/20/2020	450.00	2,056.40	11/19/2020	2,083.50	0.00	-27.10	Sale
***BIT DIGITAL INC ORDINARY SHARES CUSIP: G1144A105 Symbol: BTBT							
11/06/2020	300.00	1,229.93	Various	1,352.91	0.00	-122.98	Sale
11/06/2020	100.00	407.98	11/05/2020	444.63	36.65 D	0.00	Sale
Security Totals:		1,637.91		1,797.54		-122.98	
CALL AAPL 01/21/22 145 APPLE INC ADJ 4:1 STOCK SPLIT CUSIP: Symbol: AAPL220121C00145000							
10/12/2020	1.00	1,479.87	09/03/2020	1,815.09	335.22 D	0.00	Sell to Close
10/12/2020	1.00	1,444.87	08/31/2020	1,875.09	430.22 D	0.00	Sell to Close
12/07/2020	2.00	2,249.78	Various	2,805.62	0.00	-555.84	Sell to Close
Security Totals:		5,174.52		6,495.80		-555.84	

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SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

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

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INFRASTRUCTURE AND ENERGY ALTERNATIVES INC COMMON STOCK CUSIP: 45686J104 Symbol: IEA							
11/03/2020	40.00	313.58	11/02/2020	320.00	0.00	-6.42	Sale
EQUILLIUM INC COMMON STOCK CUSIP: 29446K106 Symbol: EQ							
11/24/2020	180.00	907.15	11/23/2020	963.00	0.00	-55.85	Sale
CARVER BANCORP INC CUSIP: 146875604 Symbol: CARV							
12/09/2020	360.00	2,406.45	12/02/2020	2,678.40	0.00	-271.95	Sale
GEVO INC COMMON STOCK CUSIP: 374396406 Symbol: GEVO							
08/20/2020	99.00	183.13	08/04/2020	54.45	0.00	128.68	Sale
08/20/2020	300.00	224.95	07/13/2020	190.53	0.00	34.42	Sale
08/20/2020	1,000.00	999.85	Various	609.86	0.00	389.99	Sale
08/20/2020	300.00	329.95	Various	163.72	0.00	166.23	Sale
09/24/2020	300.00	246.85	Various	271.12	0.00	-24.27	Sale
Security Totals:		1,984.73		1,289.68		695.05	
CALL JPM 01/08/21 124 JPMORGAN CHASE & CO CUSIP: Symbol: JPM210108C00124000							
12/28/2020	1.00	-83.18	12/24/2020	0.00	0.00	-83.18	Buy to Close
PUT QQQ 11/27/20 290 INVESCO QQQ TRUST SERIES 1 CUSIP: Symbol: QQQ201127P00290000							
11/24/2020	1.00	100.90	11/23/2020	218.08	0.00	-117.18	Sell to Close
***HEXINDAI INC ADR CUSIP: 428295208 Symbol: HX							
10/19/2020	300.00	704.94	10/19/2020	675.00	0.00	29.94	Sale
CALL RKT 12/18/20 22 ROCKET COMPANIES INC CL A CUSIP: Symbol: RKT201218C00022000							
12/14/2020	2.00	95.82	12/10/2020	82.16	0.00	13.66	Sell to Close
12/14/2020	4.00	263.66	12/10/2020	164.32	0.00	99.34	Sell to Close
Security Totals:		359.48		246.48		113.00	
IMMUNOME INC COMMON STOCK CUSIP: 45257U108 Symbol: IMNM							
10/06/2020	17.00	203.98	10/02/2020	204.00	0.00	-0.02	Sale
CALL JMIA 12/18/20 35 JUMIA TECHNOLOGIES AG CUSIP: Symbol: JMIA201218C00035000							
12/08/2020	1.00	279.90	12/07/2020	265.08	0.00	14.82	Sell to Close
12/08/2020	2.00	559.81	12/07/2020	530.16	0.00	29.65	Sell to Close
Security Totals:		839.71		795.24		44.47	

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Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B*

OMB No. 1545-0715

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02/03/2021

SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

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

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CALL FSR 12/11/20	16.50	FISKER INC CL A CUSIP: Symbol: FSR201211C00016500					
11/25/2020	1.00	219.90	11/20/2020	155.08	0.00	64.82	Sell to Close
11/25/2020	1.00	241.90	11/20/2020	155.08	0.00	86.82	Sell to Close
11/25/2020	1.00	259.90	11/20/2020	155.08	0.00	104.82	Sell to Close
Security Totals:		721.70		465.24		256.46	
CALL CRM 01/08/21 235		SALESFORCE.COM INC CUSIP: Symbol: CRM210108C00235000					
12/29/2020	1.00	141.90	12/24/2020	230.08	0.00	-88.18	Sell to Close
CALL BABA 11/27/20 280		ALIBABA GROUP HOLDING LIMITED CUSIP: Symbol: BABA201127C00280000					
11/24/2020	1.00	181.90	11/23/2020	124.08	0.00	57.82	Sell to Close
***QUHUO LIMITED		AMERICAN DEPOSITORY SHARES CUSIP: 74841Q100 Symbol: QH					
07/10/2020	10.00	139.98	07/10/2020	100.00	0.00	39.98	Sale
REGENERON PHARMACEUTICALS INC CUSIP: 75886F107 Symbol: REGN							
10/29/2020	10.00	5,670.58	10/28/2020	5,810.90	0.00	-140.32	Sale
***SEANERGY MARITIME HOLDINGS CORP COMMON STOCK CUSIP: Y73760194 Symbol: SHIP							
10/29/2020	2,000.00	937.73	10/28/2020	1,096.20	0.00	-158.47	Sale
CALL INTC 01/15/21 55		INTEL CORP CUSIP: Symbol: INTC210115C00055000					
12/10/2020	6.00	335.50	12/08/2020	294.48	0.00	41.02	Sell to Close
CALL IQ 12/18/20 22.50		IQIYI INC CUSIP: Symbol: IQ201218C00022500					
12/14/2020	3.00	110.74	12/01/2020	306.24	0.00	-195.50	Sell to Close
***CREDIT SUISSE AG		VELOCITYSHS 3X LNG NAT GAS ETN LKD TO S&P GSCI NAT GAS IDX CUSIP: 22539T183 Symbol: UGAZ					
06/30/2020	36.00	356.74	06/30/2020	376.20	0.00	-19.46	Sale
VAXART INC		COMMON STOCK CUSIP: 92243A200 Symbol: VXRT					
11/13/2020	270.00	1,439.03	11/12/2020	1,514.70	0.00	-75.67	Sale
PINTEREST INC		CLASS A COMMON STOCK CUSIP: 72352L106 Symbol: PINS					
10/29/2020	100.00	6,663.48	10/29/2020	6,803.00	0.00	-139.52	Sale
CALL DKNQ 12/31/20 51		DRAFTKINGS INC CL A CUSIP: Symbol: DKNQ201231C00051000					
12/16/2020	2.00	639.81	Various	550.16	0.00	89.65	Sell to Close
ELECTROCORE INC		COMMON STOCK CUSIP: 28531P103 Symbol: ECOR					
07/30/2020	650.00	1,761.38	Various	1,122.20	0.00	639.18	Sale
CALL FSR 12/18/20 17.50		FISKER INC CL A CUSIP: Symbol: FSR201218C00017500					
11/25/2020	1.00	219.90	11/18/2020	190.08	0.00	29.82	Sell to Close

APEX CLEARING

Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B*

OMB No. 1545-0715

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(continued)

02/03/2021

SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

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PFIZER INC CUSIP: 717081103 Symbol: PFE							
11/16/2020	100.00	3,761.11	11/13/2020	3,882.00	0.00	-120.89	Sale
CALL FSR 12/11/20 18 FISKER INC CL A CUSIP: Symbol: FSR201211C00018000							
12/08/2020	6.00	359.50	12/07/2020	330.48	0.00	29.02	Sell to Close
VIRGIN GALACTIC HLDGS INC COMMON STOCK CUSIP: 92766K106 Symbol: SPCE							
12/23/2020	90.00	2,294.00	12/22/2020	2,277.00	0.00	17.00	Sale
CALL OAS 01/21/22 .50 OASIS PETROLEUM INC CUSIP: Symbol: OAS220121C00000500							
09/30/2020	4.00	79.66	09/24/2020	100.36	0.00	-20.70	Sell to Close
UNITI GROUP INC COMMON STOCK CUSIP: 91325V108 Symbol: UNIT							
12/22/2020	90.00	1,001.82	12/14/2020	993.44	0.00	8.38	Sale
PIONEER POWER SOLUTIONS INC CUSIP: 723836300 Symbol: PPSI							
12/04/2020	630.00	3,108.50	Various	2,764.96	0.00	343.54	Sale
CALL AMC 11/13/20 5 AMC ENTERTAINMENT HOLDINGS INC CUSIP: Symbol: AMC201113C00005000							
11/13/2020	8.00	0.00	Various	148.64	0.00	-148.64	Expiration
MODERNA INC COMMON STOCK CUSIP: 60770K107 Symbol: MRNA							
12/23/2020	9.00	1,077.08	12/22/2020	1,121.76	0.00	-44.68	Sale
***TOP SHIPS INC COMMON STOCK CUSIP: Y8897Y164 Symbol: TOPS							
07/13/2020	3,000.00	323.93	07/10/2020	329.70	0.00	-5.77	Sale
CALL CRM 01/08/21 237.50 SALESFORCE.COM INC CUSIP: Symbol: CRM210108C00237500							
12/29/2020	1.00	70.82	12/24/2020	0.00	0.00	70.82	Buy to Close
VTV THERAPEUTICS INC CLASS A COM CUSIP: 918385105 Symbol: VTVT							
12/23/2020	1,440.00	2,822.21	Various	3,613.77	0.00	-791.56	Sale
ONEMAIN HOLDINGS INC COM CUSIP: 68268W103 Symbol: OMF							
08/10/2020	25.00	748.47	08/03/2020	718.97	0.00	29.50	Sale
DEVON ENERGY CORPORATION NEW CUSIP: 25179M103 Symbol: DVN							
08/07/2020	30.00	358.23	08/05/2020	357.30	0.00	0.93	Sale
***XUNLEI LIMITED ADR CUSIP: 98419E108 Symbol: XNET							
12/01/2020	450.00	1,669.41	12/01/2020	1,426.50	0.00	242.91	Sale
WIRELESS TELECOM GROUP INC CUSIP: 976524108 Symbol: WTT							
12/14/2020	450.00	954.58	12/10/2020	1,030.50	0.00	-75.92	Sale

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5MW60817

(continued)

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SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

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TREVENA INC CUSIP: 89532E109 Symbol: TRVN							
09/21/2020	600.00	1,649.89	Various	2,467.50	817.61 D	0.00	Sale
09/24/2020	1,000.00	2,763.71	Various	2,722.49	123.26 D	164.48	Sale
09/24/2020	800.00	2,187.85	Various	1,516.00	0.00	671.85	Sale
10/12/2020	500.00	1,524.90	Various	1,943.09	0.00	-418.19	Sale
10/28/2020	300.00	728.94	Various	1,121.78	0.00	-392.84	Sale
Security Totals:		8,855.29		9,770.86		25.30	
AQUABOUNTY TECHNOLOGIES INC COMMON STOCK CUSIP: 03842K200 Symbol: AQB							
12/24/2020	180.00	1,740.54	12/23/2020	1,803.60	0.00	-63.06	Sale
CALL DISH 12/31/20 32.50 DISH NETWORK CORP CL A CUSIP: Symbol: DISH201231C00032500							
12/23/2020	5.00	39.58	12/17/2020	425.40	0.00	-385.82	Sell to Close
CALL NIO 01/15/21 50 NIO INC ADS CUSIP: Symbol: NIO210115C00050000							
12/30/2020	1.00	299.90	12/29/2020	256.08	0.00	43.82	Sell to Close
CALL AAPL 04/16/21 115 APPLE INC ADJ 4:1 STOCK SPLIT CUSIP: Symbol: AAPL210416C00115000							
10/12/2020	1.00	1,939.86	10/12/2020	1,965.08	0.00	-25.22	Sell to Close
CALL VRNA 08/21/20 10 VERONA PHARMA PLC ADS CUSIP: Symbol: VRNA200821C00010000							
08/17/2020	1.00	14.89	08/14/2020	15.09	0.00	-0.20	Sell to Close
SG BLOCKS INC COMMON STOCK CUSIP: 78418A505 Symbol: SGBX							
10/20/2020	300.00	863.94	10/20/2020	893.25	0.00	-29.31	Sale
HALL OF FAME RESORT & ENTERTAINMENT COMPANY COMMON STOCK CUSIP: 40619L102 Symbol: HOFV							
11/13/2020	300.00	941.93	11/13/2020	1,005.00	0.00	-63.07	Sale
***YUNJI INC AMERICAN DEPOSITORY SHARES CUSIP: 98873N107 Symbol: YJ							
12/23/2020	540.00	1,123.51	Various	1,172.60	0.00	-49.09	Sale
***ELECTRAMECCANICA VEHICLES CORP LTD CUSIP: 284849205 Symbol: SOLO							
12/16/2020	180.00	1,175.35	12/14/2020	1,152.00	0.00	23.35	Sale
CALL PLTR 12/24/20 30 PALANTIR TECHNOLOGIES INC CL A CUSIP: Symbol: PLTR201224C00030000							
12/15/2020	2.00	215.82	12/14/2020	352.16	0.00	-136.34	Sell to Close
ESPORTS ENTERTAINMENT GROUP INC COMMON STOCK CUSIP: 29667K306 Symbol: GMBL							
10/27/2020	300.00	1,394.92	10/26/2020	1,650.00	0.00	-255.08	Sale
PUT FDX 12/31/20 260 FEDEX CORP CUSIP: Symbol: FDX201231P00260000							
12/29/2020	1.00	231.90	12/29/2020	123.08	0.00	108.82	Sell to Close

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OMB No. 1545-0715

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(continued)

02/03/2021

SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

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IDEANOMICS INC COMMON STOCK CUSIP: 45166V106 Symbol: IDEX							
07/29/2020	100.00	128.98	07/17/2020	138.00	9.02 D	0.00	Sale
07/29/2020	500.00	660.67	Various	677.02	0.00	-16.35	Sale
Security Totals:		789.65		815.02		-16.35	
WHITING PETROLEUM CORPORATION COMMON STOCK CUSIP: 966387409 Symbol: WLL							
08/10/2020	1.00	0.94	08/06/2020	1.02	0.00	-0.08	Sale
AYTU BIOSCIENCE INC COMMON STOCK CUSIP: 054754700 Symbol: AYTU							
11/19/2020	1,200.00	1,083.55	Various	1,185.06	0.00	-101.51	Sale
KANDI TECHNOLOGIES GROUP INC CUSIP: 483709101 Symbol: KNDI							
11/24/2020	32.00	414.70	11/20/2020	394.56	0.00	20.14	Buy to Cover Short
CALL DBX 12/18/20 24 DROPBOX INC CUSIP: Symbol: DBX201218C00024000							
12/15/2020	2.00	119.82	12/14/2020	110.16	0.00	9.66	Sell to Close
12/16/2020	2.00	77.82	12/14/2020	110.16	0.00	-32.34	Sell to Close
Security Totals:		197.64		220.32		-22.68	
***DRAGON VICTORY INTERNATIONAL LIMITED ORDINARY SHARES CUSIP: G28365107 Symbol: LYL							
10/21/2020	400.00	1,283.92	Various	1,282.00	0.00	1.92	Sale
CALL BBY 12/18/20 100 BEST BUY CO INC CUSIP: Symbol: BBY201218C00100000							
12/16/2020	1.00	349.90	12/15/2020	286.08	0.00	63.82	Sell to Close
MEDALIST DIVERSIFIED REIT INC COMMON STOCK CUSIP: 58403P105 Symbol: MDRR							
10/14/2020	200.00	755.96	10/14/2020	728.00	0.00	27.96	Sale
CALL UBER 01/15/21 55 UBER TECHNOLOGIES INC CUSIP: Symbol: UBER210115C00055000							
12/24/2020	3.00	527.73	12/23/2020	567.24	0.00	-39.51	Sell to Close
CALL DKNK 01/15/21 55 DRAFTKINGS INC CL A CUSIP: Symbol: DKNK210115C00055000							
12/18/2020	1.00	489.89	12/17/2020	446.08	0.00	43.81	Sell to Close
WESTELL TECHNOLOGIES INC CLASS A COMMON STOCK CUSIP: 957541204 Symbol: WSTL							
07/20/2020	100.00	110.98	07/16/2020	120.00	0.00	-9.02	Sale
CALL AAPL 01/21/22 115 APPLE INC ADJ 4:1 STOCK SPLIT CUSIP: Symbol: AAPL220121C00115000							
10/12/2020	1.00	2,314.85	09/21/2020	1,545.09	0.00	769.76	Sell to Close
CALL VRNA 12/18/20 10 VERONA PHARMA PLC ADS CUSIP: Symbol: VRNA201218C00010000							
08/19/2020	1.00	124.89	08/14/2020	250.09	0.00	-125.20	Sell to Close

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APEX CLEARING

Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B*

OMB No. 1545-0715

5MW60817

(continued)

02/03/2021

SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

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

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CALL D 12/18/20 80	DOMINION ENERGY INC CUSIP: Symbol: D201218C00080000						
12/01/2020	2.00	259.82	11/24/2020	270.16	10.34 D	0.00	Sell to Close
12/02/2020	1.00	124.90	11/25/2020	80.25	0.00	44.65	Sell to Close
12/03/2020	1.00	64.90	11/27/2020	85.25	0.00	-20.35	Sell to Close
Security Totals:		449.62		435.66		24.30	
CALL VRNA 03/19/21 10	VERONA PHARMA PLC ADS CUSIP: Symbol: VRNA210319C00010000						
09/15/2020	1.00	114.90	09/02/2020	150.09	0.00	-35.19	Sell to Close
CALL PLTR 12/24/20 31	PALANTIR TECHNOLOGIES INC CL A CUSIP: Symbol: PLTR201224C00031000						
12/24/2020	6.00	0.00	12/23/2020	72.48	0.00	-72.48	Expiration
NTN BUZZTIME INC	COM CUSIP: 629410606 Symbol: NTN						
12/10/2020	540.00	1,144.71	Various	1,137.60	1.82 D	8.93	Sale
***ALIBABA GROUP HOLDING LTD	SPONSORED ADR CUSIP: 01609W102 Symbol: BABA						
07/16/2020	1.00	258.18	07/14/2020	249.75	0.00	8.43	Buy to Cover Short
GREENWICH LIFESCIENCES INC	COMMON STOCK CUSIP: 396879108 Symbol: GLSI						
12/09/2020	90.00	2,249.99	12/09/2020	1,513.80	0.00	736.19	Sale
MAGNITE INC	COMMON STOCK CUSIP: 55955D100 Symbol: MGNI						
12/02/2020	108.00	2,069.22	Various	2,059.56	0.00	9.66	Sale
CALL NXTD 02/19/21 5	NXT ID INC CUSIP: Symbol: NXTD210219C00005000						
12/22/2020	10.00	219.16	12/17/2020	500.81	0.00	-281.65	Sell to Close
WESTWATER RESOURCES INC	COMMON STOCK CUSIP: 961684206 Symbol: WWR						
10/13/2020	100.00	622.06	10/13/2020	676.96	0.00	-54.90	Sale
CALL WMT 12/24/20 147	WALMART INC CUSIP: Symbol: WMT201224C00147000						
12/22/2020	1.00	59.90	12/21/2020	81.08	0.00	-21.18	Sell to Close
***LIMINAL BIOSCIENCES INC	COM CUSIP: 53272L103 Symbol: LMNL						
12/22/2020	270.00	1,359.16	12/17/2020	1,123.20	0.00	235.96	Sale
CALL RVP 01/15/21 15	RETRACTABLE TECHNOLOGIES INC CUSIP: Symbol: RVP210115C00015000						
12/17/2020	1.00	109.90	12/15/2020	235.08	0.00	-125.18	Sell to Close
CALL FSLY 12/24/20 103	FASTLY INC CLASS A CUSIP: Symbol: FSLY201224C00103000						
12/24/2020	3.00	74.74	12/23/2020	420.24	0.00	-345.50	Sell to Close
BIOCEPT INC	COMMON STOCK CUSIP: 09072V501 Symbol: BIOC						
11/23/2020	360.00	1,612.72	Various	1,907.40	0.00	-294.68	Sale

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APEX CLEARING

Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B*

OMB No. 1545-0715

5MW60817

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02/03/2021

SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

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CALL LOW 12/11/20	152.50	LOWES COMPANIES INC CUSIP: Symbol: LOW201211C00152500					
12/07/2020	1.00	231.90	12/07/2020	151.08	0.00	80.82	Sell to Close
SOUTHWESTERN ENERGY CO CUSIP: 845467109 Symbol: SWN							
12/10/2020	300.00	1,013.93	12/10/2020	1,011.00	0.00	2.93	Sale
CALL VXX 11/13/20	25.50	IPATH SER B S&P 500 VIX SHORT CUSIP: Symbol: VXX201113C00025500					
10/15/2020	1.00	186.90	10/12/2020	166.08	0.00	20.82	Sell to Close
CALL PLUG 01/15/21	35	PLUG POWER INC CUSIP: Symbol: PLUG210115C00035000					
12/21/2020	2.00	459.81	Various	404.16	0.00	55.65	Sell to Close
CALL XLE 12/18/20	42	ENERGY SELECT SCTR SPDR FD TR CUSIP: Symbol: XLE201218C00042000					
12/10/2020	2.00	165.82	12/08/2020	84.16	0.00	81.66	Sell to Close
12/10/2020	4.00	379.66	12/08/2020	168.32	0.00	211.34	Sell to Close
Security Totals:		545.48		252.48		293.00	
CALL LOW 03/19/21	180	LOWES COMPANIES INC CUSIP: Symbol: LOW210319C00180000					
12/24/2020	1.00	344.90	12/23/2020	350.08	0.00	-5.18	Sell to Close
***CREDIT SUISSE AG		VELOCITYSHS 3X INVRSE NATRL GAS ETN LKD TO S&P GSCI NATURL CUSIP: 22542D282 Symbol: DGAZ					
06/30/2020	1.00	430.63	06/30/2020	432.39	0.00	-1.76	Sale
CALL UAA 12/24/20	17.50	UNDER ARMOUR INC CL A CUSIP: Symbol: UAA201224C00017500					
12/24/2020	6.00	0.00	12/16/2020	288.48	0.00	-288.48	Expiration
***GRIDSUM HOLDING INC		AMERICAN DEPOSITARY SHARES CUSIP: 398132100 Symbol: GSUM					
08/11/2020	1,000.00	725.86	08/10/2020	750.00	0.00	-24.14	Sale
TRINE ACQUISITION CORP		CLASS A COMMON STOCK CUSIP: 89628U108 Symbol: TRNE					
12/01/2020	120.00	1,561.75	Various	1,478.50	0.00	83.25	Sale
CALL SAVA 01/15/21	10	CASSAVA SCIENCES INC CUSIP: Symbol: SAVA210115C00010000					
12/24/2020	5.00	89.58	12/17/2020	300.40	0.00	-210.82	Sell to Close
***PHOENIX TREE HOLDINGS LTD		AMERICAN DEPOSITARY SHS EACH REPRSNTNG 10 CLS A ORD SHS CUSIP: 719156101 Symbol: DNK					
11/18/2020	300.00	932.93	11/17/2020	656.97	0.00	275.96	Sale
CALL ET 12/11/20	6	ENERGY TRANSFER LP CUSIP: Symbol: ET201211C00006000					
11/23/2020	5.00	224.58	11/17/2020	75.40	0.00	149.18	Sell to Close
AMERICAN AIRLINES GROUP INC CUSIP: 02376R102 Symbol: AAL							
07/17/2020	1.00	12.00	07/16/2020	12.41	0.00	-0.41	Sale

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Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B*

OMB No. 1545-0715

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02/03/2021

SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

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07/17/2020	59.00	707.97	Various	731.61	0.00	-23.64	Sale
Security Totals:		719.97		744.02		-24.05	
HYRECAR INC COMMON STOCK CUSIP: 44916T107 Symbol: HYRE							
12/11/2020	225.00	1,543.70	Various	1,668.60	0.00	-124.90	Sale
CALL TRVN 09/18/20 5 TREVENA INC CUSIP: Symbol: TRVN200918C00005000							
09/18/2020	1.00	0.00	08/17/2020	10.09	0.00	-10.09	Expiration
CALL SPY 12/30/20 372 STANDARD & POORS DEPOSITORY CUSIP: Symbol: SPY201230C00372000							
12/30/2020	1.00	87.90	12/29/2020	92.08	0.00	-4.18	Sell to Close
12/30/2020	2.00	223.82	12/29/2020	184.16	0.00	39.66	Sell to Close
Security Totals:		311.72		276.24		35.48	
PROSHARES TRUST II PROSHARES ULTRA BLOOMBERG CRUDE OIL CUSIP: 74347Y888 Symbol: UCO							
07/22/2020	30.00	967.46	07/22/2020	945.75	0.00	21.71	Sale
08/03/2020	20.00	621.18	07/22/2020	630.50	9.32 D	0.00	Sale
08/10/2020	30.00	975.28	Various	931.55	0.00	43.73	Sale
Security Totals:		2,563.92		2,507.80		65.44	
CALL ORCL 12/24/20 64 ORACLE CORP CUSIP: Symbol: ORCL201224C00064000							
12/18/2020	4.00	375.66	12/17/2020	260.32	0.00	115.34	Sell to Close
AMC ENTERTAINMENT HOLDINGS INC CL A COM CUSIP: 00165C104 Symbol: AMC							
07/28/2020	200.00	825.96	07/23/2020	820.00	0.00	5.96	Sale
08/03/2020	200.00	788.96	07/31/2020	815.41	0.13 D	-26.32	Sale
08/11/2020	1.00	4.71	08/06/2020	4.18	0.00	0.53	Sale
10/21/2020	200.00	598.96	Various	772.08	0.00	-173.12	Sale
Security Totals:		2,218.59		2,411.67		-192.95	
CALL UCO 01/15/21 29 PROSHARES ULTRA BLMBRG CRD OIL CUSIP: Symbol: UCO210115C00029000							
07/29/2020	1.00	814.88	07/27/2020	805.09	0.00	9.79	Sell to Close
AMERI HOLDINGS INC COMMON STOCK CUSIP: 02362F302 Symbol: AMRH							
12/02/2020	900.00	1,317.86	11/30/2020	1,647.00	263.31 D	-65.83	Sale
12/11/2020	720.00	1,122.08	Various	1,444.71	0.00	-322.63	Sale
Security Totals:		2,439.94		3,091.71		-388.46	

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2020 Form 1099-B*

OMB No. 1545-0715

5MW60817

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02/03/2021

SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

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CALL FSR 02/19/21 10 FISKER INC CL A CUSIP: Symbol: FSR210219C00010000							
11/03/2020	1.00	299.90	10/30/2020	200.08	0.00	99.82	Sell to Close
CALL PTON 07/24/20 66.50 PELOTON INTERACTIVE INC CL A CUSIP: Symbol: PTON200724C00066500							
07/22/2020	1.00	44.89	07/20/2020	129.09	0.00	-84.20	Sell to Close
***ANTELOPE ENTERPRISE HOLDINGS LIMITED COMMON STOCK CUSIP: G041JN106 Symbol: AEHL							
12/14/2020	900.00	2,024.84	Various	1,909.20	0.00	115.64	Sale
GENIUS BRANDS INTERNATIONAL INC COMMON STOCK CUSIP: 37229T301 Symbol: GNUS							
07/14/2020	100.00	226.98	07/13/2020	228.00	0.00	-1.02	Sale
TESLA INC COMMON STOCK CUSIP: 88160R101 Symbol: TSLA							
07/13/2020	1.00	1,679.97	07/08/2020	1,399.51	0.00	280.46	Sale
07/16/2020	1.00	1,507.67	07/14/2020	1,539.11	31.44 D	0.00	Sale
07/23/2020	1.00	1,546.00	07/22/2020	1,691.43	145.43 D	0.00	Sale
08/10/2020	1.00	1,452.11	08/07/2020	1,583.36	131.25 D	0.00	Sale
08/12/2020	1.00	1,512.65	08/11/2020	1,616.33	103.68 D	0.00	Sale
09/02/2020	4.00	1,800.07	08/21/2020	1,723.74	0.00	76.33	Sale
09/03/2020	2.00	858.01	Various	870.31	12.30 D	0.00	Sale
09/15/2020	5.00	2,186.49	Various	2,180.88	0.00	5.61	Sale
11/17/2020	9.00	4,115.59	11/16/2020	3,968.92	0.00	146.67	Sale
Security Totals:		16,658.56		16,573.59		509.07	
PUT TSLA 11/20/20 480 TESLA INC ADJ 5:1 STOCK SPLIT CUSIP: Symbol: TSLA201120P00480000							
11/19/2020	1.00	224.90	11/19/2020	416.08	0.00	-191.18	Sell to Close
ONEOK INC CUSIP: 682680103 Symbol: OKE							
09/14/2020	69.00	1,833.96	Various	2,047.27	213.86 D	0.55	Sale
09/16/2020	49.00	1,375.87	Various	1,505.45	101.76 D	-27.82	Sale
09/22/2020	49.00	1,295.52	Various	1,389.00	0.00	-93.48	Sale
10/28/2020	1.00	29.69	09/21/2020	26.13	0.00	3.56	Sale
Security Totals:		4,535.04		4,967.85		-117.19	
CALL PTON 11/27/20 109 PELOTON INTERACTIVE INC CL A CUSIP: Symbol: PTON201127C00109000							
11/24/2020	1.00	133.90	11/24/2020	216.08	0.00	-82.18	Sell to Close

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2020 Form 1099-B*

OMB No. 1545-0715

5MW60817

(continued)

02/03/2021

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11/25/2020	1.00	92.90	11/24/2020	216.08	0.00	-123.18	Sell to Close
Security Totals:		226.80		432.16		-205.36	
ABERDEEN STANDARD GLOBAL			INFRASTRUCTURE INCOME FD	COMMON SHS OF BENEFICIAL INTR	CUSIP: 00326W106	Symbol: ASGI	
07/29/2020	25.00	480.97	07/29/2020	500.00	0.00	-19.03	Sale
CALL WFC	01/15/21 35		WELLS FARGO & CO	CUSIP:	Symbol: WFC210115C00035000		
12/14/2020	18.00	412.54	Various	511.45	0.00	-98.91	Sell to Close
CALL TLRY	12/24/20 10		TILRAY INC	CUSIP:	Symbol: TLRY201224C00010000		
12/17/2020	6.00	137.50	12/16/2020	288.48	0.00	-150.98	Sell to Close
CALL FSR	02/19/21 20		FISKER INC CL A	CUSIP:	Symbol: FSR210219C00020000		
11/25/2020	1.00	269.90	11/17/2020	260.08	0.00	9.82	Sell to Close
CALL HON	10/16/20 175		HONEYWELL INTL INC	CUSIP:	Symbol: HON201016C00175000		
10/13/2020	1.00	135.90	10/12/2020	204.08	0.00	-68.18	Sell to Close
TECHNICAL COMMUNICATIONS CORP			COMMON STOCK	CUSIP: 878409101	Symbol: TCCO		
12/29/2020	135.00	772.16	Various	1,495.80	0.00	-723.64	Sale
DIGITAL ALLY INC			COM	CUSIP: 25382P208	Symbol: DGLY		
10/28/2020	500.00	1,189.91	10/28/2020	1,264.50	0.00	-74.59	Sale
CHEMBIO DIAGNOSTICS INC			CUSIP: 163572209	Symbol: CEMI			
11/19/2020	180.00	890.96	11/11/2020	794.70	0.00	96.26	Sale
11/23/2020	1.00	5.14	11/12/2020	4.44	0.00	0.70	Sale
11/23/2020	180.00	930.55	Various	796.80	0.00	133.75	Sale
12/02/2020	89.00	630.29	11/12/2020	395.16	0.00	235.13	Sale
12/02/2020	90.00	641.67	11/13/2020	432.90	0.00	208.77	Sale
12/02/2020	90.00	642.57	11/16/2020	414.90	0.00	227.67	Sale
12/02/2020	90.00	635.37	11/20/2020	450.90	0.00	184.47	Sale
12/02/2020	90.00	641.67	11/20/2020	450.90	0.00	190.77	Sale
12/07/2020	180.00	1,159.15	12/04/2020	1,158.88	0.00	0.27	Sale
12/10/2020	270.00	1,703.63	12/04/2020	1,738.31	0.00	-34.68	Sale
Security Totals:		7,881.00		6,637.89		1,243.11	
CO DIAGNOSTICS INC			COMMON STOCK	CUSIP: 189763105	Symbol: CODX		
11/17/2020	180.00	2,132.93	11/16/2020	1,954.80	0.00	178.13	Sale

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2020 Form 1099-B*

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SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

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CO DIAGNOSTICS INC COMMON STOCK CUSIP: 189763105 Symbol: CODX							
12/08/2020	270.00	2,834.90	12/02/2020	3,040.20	0.00	-205.30	Sale
Security Totals:		4,967.83		4,995.00		-27.17	
***SUNDIAL GROWERS INC COM CUSIP: 86730L109 Symbol: SNDL							
11/30/2020	1,800.00	1,429.67	Various	866.25	0.00	563.42	Sale
12/03/2020	1,500.00	1,176.24	12/02/2020	1,160.86	0.00	15.38	Sale
Security Totals:		2,605.91		2,027.11		578.80	
PHUNWARE INC COMMON STOCK CUSIP: 71948P100 Symbol: PHUN							
12/22/2020	1,170.00	1,368.95	Various	1,070.62	0.00	298.33	Sale
CALL NLS 01/15/21 20 NAUTILUS INC CUSIP: Symbol: NLS210115C00020000							
12/22/2020	2.00	389.82	12/21/2020	330.16	0.00	59.66	Sell to Close
***EURODRY LTD COMMON SHARES CUSIP: Y23508107 Symbol: EDRY							
11/12/2020	100.00	1,098.96	11/12/2020	1,183.00	0.00	-84.04	Sale
CHAPARRAL ENERGY INC CLASS A COMMON STOCK CUSIP: 15942R208 Symbol: CHAP							
07/23/2020	500.00	249.68	07/13/2020	281.50	0.00	-31.82	Sale
***BLUECITY HOLDINGS LIMITED AMERICAN DEPOSITARY SHARES CUSIP: 09610L106 Symbol: BLCT							
07/08/2020	6.00	148.48	07/08/2020	96.00	0.00	52.48	Sale
CALL TWTR 01/15/21 55 TWITTER INC CUSIP: Symbol: TWTR210115C00055000							
12/16/2020	2.00	543.81	12/14/2020	396.16	0.00	147.65	Sell to Close
12/16/2020	1.00	289.90	12/14/2020	198.08	0.00	91.82	Sell to Close
Security Totals:		833.71		594.24		239.47	
SOUTHWEST AIRLINES CO CUSIP: 844741108 Symbol: LUV							
08/07/2020	40.00	1,320.81	Various	1,290.82	0.00	29.99	Sale
***EBANG INTRNATNL HLDGS INC CLASS A ORDINARY SHARES CUSIP: G3R33A106 Symbol: EBON							
12/16/2020	270.00	1,133.94	12/16/2020	1,260.90	84.64 D	-42.32	Sale
12/22/2020	180.00	865.76	12/21/2020	896.44	0.00	-30.68	Sale
Security Totals:		1,999.70		2,157.34		-73.00	
PLANET GREEN HOLDINGS CORP COMMON STOCK CUSIP: 72703U102 Symbol: PLAG							
12/14/2020	450.00	931.42	12/10/2020	1,143.00	0.00	-211.58	Sale

APEX CLEARING

Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B*

OMB No. 1545-0715

5MW60817

(continued)

02/03/2021

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.****1a - Description of property | CUSIP | Symbol**

1c - Date Sold or Disposed	Quantity	1d - Proceeds	1b - Date Acquired	1e - Cost or Other Basis	1f - Accrued Market Discount (M) & 1g - Wash Sale Loss Disallowed (D)	Gain or Loss (-)	Additional Notes
CALL AMD 11/06/20	90	ADVANCED MICRO DEVICES INC CUSIP: Symbol: AMD201106C00090000					
10/13/2020	1.00	399.90	10/12/2020	350.08	0.00	49.82	Sell to Close
SIGMA LABS INC	COMMON STOCK CUSIP: 826598500 Symbol: SGLB						
12/14/2020	990.00	2,647.22	Various	3,252.86	0.00	-605.64	Sale
***CHINA XIANGTAI FOOD CO LTD	ORDINARY SHARES CUSIP: G21621100 Symbol: PLIN						
10/21/2020	800.00	1,151.87	10/21/2020	1,128.00	0.00	23.87	Sale
AKERS BIOSCIENCES INC	COMMON STOCK CUSIP: 00973E409 Symbol: AKER						
11/12/2020	100.00	234.48	11/12/2020	218.00	0.00	16.48	Sale
11/12/2020	800.00	1,880.17	11/12/2020	1,744.00	0.00	136.17	Sale
Security Totals:		2,114.65		1,962.00		152.65	
CALL MS 12/24/20	65	MORGAN STANLEY CUSIP: Symbol: MS201224C00065000					
12/21/2020	3.00	878.73	12/17/2020	258.99	0.00	619.74	Sell to Close
12/21/2020	1.00	169.90	12/17/2020	86.33	0.00	83.57	Sell to Close
Security Totals:		1,048.63		345.32		703.31	
LEXINGTON REALTY TRUST CUSIP: 529043101 Symbol: LXP							
12/22/2020	108.00	1,166.54	12/14/2020	1,165.14	0.00	1.40	Sale
CALL AMD 12/31/20	95	ADVANCED MICRO DEVICES INC CUSIP: Symbol: AMD201231C00095000					
12/14/2020	2.00	591.81	12/10/2020	566.16	0.00	25.65	Sell to Close
***BIONDVAX PHARMACEUTICALS	LTD AMERICAN DEPOSITARY SHARES CUSIP: 09073Q105 Symbol: BVXV						
10/28/2020	600.00	1,811.88	Various	2,412.50	0.00	-600.62	Sale
NCINO INC	COMMON STOCK CUSIP: 63947U107 Symbol: NCNO						
12/22/2020	12.00	969.92	12/16/2020	889.80	0.00	80.12	Sale
PUT AMC 08/21/20	5	AMC ENTERTAINMENT HOLDINGS INC CUSIP: Symbol: AMC200821P00005000					
08/07/2020	2.00	89.60	Various	0.00	0.00	89.60	Buy to Close
Totals:		235,531.53		239,944.16		434.74	

APEX CLEARING

Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B*

OMB No. 1545-0715

5MW60817

(continued)

02/03/2021

SHORT TERM TRANSACTIONS FOR NONCOVERED TAX LOTS

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

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

1c - Date Sold or Disposed	Quantity	1d - Proceeds	Date Acquired	Cost or Other Basis	Accrued Market Discount (M) & Wash Sale Loss Disallowed (D)	Gain or Loss (-)	Additional Notes
SANCHEZ MIDSTREAM PARTNERS LP COMMON UNITS REPRESENTING CL B LIMITED LIABILITY COMPANY CUSIP: 79971C201 Symbol: SNMP							
10/12/2020	100.00	76.91	10/09/2020	122.00	0.00	-45.09	Sale
UNITED STATES OIL FUND LP SHARES OF UNITED STATES OIL FUND LP CUSIP: 91232N207 Symbol: USO							
07/27/2020	50.00	1,487.95	07/21/2020	1,496.50	0.00	-8.55	Sale
ENERGY TRANSFER LP COMMON UNITS REPRESENTING LIMITED PARTNER INTERESTS CUSIP: 29273V100 Symbol: ET							
11/04/2020	100.00	564.98	10/30/2020	560.08	0.00	4.90	Sale
NORTH EUROPEAN OIL ROYALTY TRUST-CBI CUSIP: 659310106 Symbol: NRT							
08/10/2020	100.00	363.98	07/20/2020	314.00	0.00	49.98	Sale
09/23/2020	299.00	887.97	Various	933.07	0.17 D	-44.93	Sale
10/28/2020	1.00	3.10	09/21/2020	3.10	0.00	0.00	Sale
Security Totals:		1,255.05		1,250.17		5.05	
VOC ENERGY TRUST TR UNIT CUSIP: 91829B103 Symbol: VOC							
08/12/2020	600.00	1,035.90	Various	1,128.00	0.00	-92.10	Sale
MPLX LP COM UNIT REPSTG LTD PARTNER INT CUSIP: 55336V100 Symbol: MPLX							
08/19/2020	30.00	570.87	07/06/2020	532.50	0.00	38.37	Sale
09/22/2020	59.00	1,014.76	Various	1,081.13	0.55 D	-65.82	Sale
10/28/2020	1.00	16.90	09/21/2020	17.74	0.00	-0.84	Sale
Security Totals:		1,602.53		1,631.37		-28.29	
USD PARTNERS LP COM UNIT REPSTG LTD PARTNER INTS CUSIP: 903318103 Symbol: USDP							
08/07/2020	50.00	186.98	07/31/2020	166.22	0.00	20.76	Sale
08/17/2020	26.00	104.76	07/31/2020	86.43	0.00	18.33	Sale
08/19/2020	100.00	382.57	Various	338.14	0.89 D	45.32	Sale
09/22/2020	241.00	722.96	Various	859.28	132.15 D	-4.17	Sale
09/23/2020	8.00	23.99	09/21/2020	32.28	0.00	-8.29	Sale
10/28/2020	201.00	558.74	Various	762.55	0.00	-203.81	Sale
Security Totals:		1,980.00		2,244.90		-131.86	
Totals:		8,003.32		8,433.02		-295.94	

APEX CLEARING

Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B*

OMB No. 1545-0715

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(continued)

02/03/2021

LONG TERM TRANSACTIONS FOR COVERED TAX LOTS

Report on Form 8949, Part II with Box D checked.

Box 2: Type of Gain or Loss - Long-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.

1a - Description of property | CUSIP | Symbol

1c - Date Sold or Disposed	Quantity	1d - Proceeds	1b - Date Acquired	1e - Cost or Other Basis	1f - Accrued Market Discount (M) & 1g - Wash Sale Loss Disallowed (D)	Gain or Loss (-)	Additional Notes
GENWORTH FINANCIAL INC COM CL A CUSIP: 37247D106 Symbol: GNW							
07/13/2020	1.00	2.06	07/07/2020	2.23	0.00	-0.17	Sale
Totals:		2.06		2.23		-0.17	

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

APEX CLEARING

Miscellaneous Income - Details of Form 1099-MISC

2020

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02/03/2021

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

Description CUSIP Symbol						
Date	Royalties (Box 2)	Other Income (Box 3)	Substitute Payments in Lieu of Dividends or Interest (Box 8)	Federal Income Tax Withheld (Box 4)	State Tax Withheld (Box 15)	State (Box 13) State Identification No. (Box 14)
GENWORTH FINANCIAL INC 07/07/2020	COM CL A CUSIP: 37247D106 Symbol: GNW 0.00	2.23	0.00	0.00	0.00	
HEWLETT PACKARD ENTERPRISE 09/13/2020	COMPANY COM CUSIP: 42824C109 Symbol: HPE 0.00	27.72	0.00	0.00	0.00	
PHOTRONICS INC CUSIP: 719405102 Symbol: PLAB 09/13/2020	0.00	62.44	0.00	0.00	0.00	
AMERICAN AIRLINES GROUP INC CUSIP: 02376R102 Symbol: AAL 07/12/2020	0.00	11.94	0.00	0.00	0.00	
NORTH EUROPEAN OIL ROYALTY 08/26/2020	TRUST-CBI CUSIP: 659310106 Symbol: NRT 11.00	0.00	0.00	0.00	0.00	
Totals:	11.00	104.33	0.00	0.00	0.00	

APEX CLEARING

Supplemental Information

2020

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02/03/2021

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

Partnership Distributions

Description CUSIP Symbol		Amount
Date		
USD PARTNERS LP	COM UNIT REPSTG LTD PARTNER INTS CUSIP: 903318103 Symbol: USDP	
08/14/2020		11.10
MPLX LP	COM UNIT REPSTG LTD PARTNER INT CUSIP: 55336V100 Symbol: MPLX	
08/14/2020		41.25
Total:		52.35

Fees & Expenses

Description		Amount
Date		
Margin Interest Expense		
09/16/2020		6.40
10/16/2020		2.90
11/16/2020		3.35
Total:		12.65
Totals:		12.65

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Royalty trusts post tax information booklets to their websites which contain the necessary information for holders to compute and report income, gains, losses, deductions and credits attributable to their units of the trust. The trust package may be obtained at the issuer website link(s) below. The written information package will also be provided if requested

NORTH EUROPEAN OIL ROYALTY TRUST-CBI
<http://www.neort.com/tax-letters.html>

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 (social security number (SSN), individual taxpayer identification number (ITIN), adoption taxpayer identification number (ATIN), or employer identification number (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 chapter 4 account reporting requirement. 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.

Backup Withholding. 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 more information on backup withholding. Include this amount on your income tax return as tax withheld.

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) Copy A (with a Form 1096) to the IRS for each of the other owners as recipient(s) to show their allocable share of the income and you must furnish the respective Copy B Form(s) and amounts to each owner. A spouse is not required to file a nominee return to show amounts owned by the other spouse. See the 2020 General Instructions for Certain Information Returns.

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 1040 or 1040-SR. Also, report it on Schedule B (1040 or 1040-SR), 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 or 1040-SR)*. But, if no amount is shown in boxes 2c and 2d and your only capital gains and losses are capital gain distributions, you may be able to report the amounts shown in box 2a on your Form 1040 or 1040-SR rather than Schedule D. See the Instructions for Forms 1040 or 1040-SR.

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

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 or 1040-SR) instructions.

Box 2d. Shows 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 or 1040-SR).

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 89950-A.

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

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

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

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

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

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

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

Future developments. For the latest information about developments related to Form 1099-DIV and its instructions, such as legislation enacted after they were published, go to www.irs.gov/Form1099DIV.

1099-INT Instructions for Recipient

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

Box 1. Shows taxable interest paid to you during the calendar year by the payer. This does not include interest shown in box 3. May also show the total amount of the credits from clean renewable energy bonds, new clean renewable energy bonds, qualified energy conservation bonds, qualified zone academy bonds, qualified school construction bonds, and build America bonds that must be included in your interest income. These amounts were treated as paid to you during 2020 on the credit allowance dates (March 15, June 15, September 15, and December 15). For more information, see Form 8912. See the instructions above for a taxable covered security acquired at a premium.

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

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

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

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

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

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

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

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

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

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

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

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

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

Boxes 15-17. State tax withheld reporting boxes.

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

1099-B Instructions for Recipient

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

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

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

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

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

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

Box 1d. Shows the cash proceeds, reduced by any commissions or transfer taxes related to the sale, for transactions involving stocks, debt, commodities, forward contracts, non-Section 1256 option contracts, or securities futures contracts. May show the proceeds

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

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

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

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

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

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

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

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

Box 7. If checked, you cannot take a loss on your tax return based on gross proceeds from a reportable change in control or capital structure reported in box 1d. See the Form 8949 and Schedule D (Form 1040 or 1040-SR) 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 2020.

Box 9. Shows any year-end adjustment to the profit or (loss) shown in box 8 due to open contracts on December 31, 2019.

Box 10. Shows the unrealized profit or (loss) on open contracts held in your account on December 31, 2020. These are considered closed out as of that date. This will become an adjustment reported as unrealized profit or (loss) on open contracts—12/31/2020 in 2021.

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 2020 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 or 1040-SR) as you may be able to report your transaction directly on Schedule D (Form 1040 or 1040-SR). 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. If your net income from self-employment is \$400 or more, you must file a return and compute your SE tax on Schedule SE (Form 1040 or Form 1040-SR). See Pub. 334 for more information. **Note:** If you are still receiving payments on which no income, social security, and Medicare taxes are withheld, you should make estimated tax payments. See Form 1040-ES (or Form 1040-ES-NR). Individuals must report these amounts as explained in the box 14 instructions on this page. 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 or Form 1040-SR). However, report rents on Schedule C (Form 1040 or Form 1040-SR) 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 or Form 1040-SR). 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 or Form 1040-SR), or Form 1040NR 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 or Form 1040-SR).

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. An amount in this box means the fishing boat operator considers you self-employed. Report this amount on Schedule C (Form 1040 or Form 1040-SR). See Pub. 334.

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

Box 7. If checked, \$5,000 or more of sales of consumer products was sold to you on buy-sell, deposit-commission, or other basis. A dollar amount does not have to be shown. Generally, report any income from your sale of these products on Schedule C (Form 1040 or 1040-SR).

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 or Form 1040-SR), or Form 1040NR.

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

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. The amount is also shown in box 1 of Form 1099-NEC.

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. This amount is also included in box 1, Form 1099-NEC as nonemployee compensation. Any amount included in box 12 that is currently taxable is also included in this box. 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 Forms 1040 and 1040-SR, or the instructions for Form 1040-NR.

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

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

1099-OID Instructions for Recipient

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

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

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

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

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

Box 2. Shows qualified stated interest on this obligation for the year, which is an amount separate from the OID. If you held the obligation the entire year, report this amount as interest income on your tax return. If you disposed of the obligation or acquired it from another holder during the

year, see Pub. 550 for reporting instructions. If there is an amount in both boxes 2 and 8, the amount in box 2 is interest on a U.S. Treasury obligation and is exempt from state and local income taxes. If there is an amount in both boxes 2 and 11, the amount in box 2 is tax-exempt interest

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

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

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

withheld.

Box 5. For a covered security acquired with OID, if you made an election under section 1278(b) to include market discount in income as it accrues and you notified your payer of the election in writing in accordance with Regulations section 1.6045-1(n)(5), shows the market discount that accrued on the debt instrument during the year while held by you. For a tax-exempt obligation that is a covered security acquired on or after January 1, 2017, and issued with OID, shows the market discount that accrued on the obligation during the year while held by you. For a covered

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

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

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

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

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

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

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

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

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

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

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

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

Boxes 12–14. State income tax withheld reporting.

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

