

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

KRISHNA CHAITANYA MANAJIGARI
2250 HOLLY HALL ST
HOUSTON, TX 77054-4025

IN ACCOUNT WITH
WEBULL FINANCIAL LLC
917-725-2448

IMPORTANT YEAR END MESSAGES

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

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

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APEX CLEARING ONE DALLAS CENTER 350 NORTH ST PAUL SUITE 1300 DALLAS, TX 75201 Customer Service: 214-765-1009 PAYER'S Federal ID No: 13-2967453 IN ACCOUNT WITH WEBULL FINANCIAL LLC (917) 725-2448	Account 5NA77394	Form 1099 Composite	2021
	KRISHNA CHAITANYA MANAJIGARI 2250 HOLLY HALL ST HOUSTON, TX 77054-4025 RECIPIENT'S ID No: XXX-XX-9824	Statement Date: 01/31/2022	

FATCA filing requirement []

Tax Reporting Statement

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

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

INTEREST INCOME	2021 Form 1099-INT*	OMB No. 1545-0112
1- Interest Income	12.86	
2- Early Withdrawal Penalty	0.00	
3- Interest on U.S. Savings Bonds & Treasury Obligations	0.00	
4- Federal Income Tax Withheld	0.00	
5- Investment Expenses	0.00	
6- Foreign Tax Paid	0.00	
7- Foreign Country or U.S. Possession		
8- Tax-Exempt Interest (includes box 9)	0.00	
9- Specified Private Activity Bond Interest	0.00	
10- Market Discount	0.00	
11- Bond Premium	0.00	
12- Bond Premium on Treasury Obligations	0.00	
13- Bond Premium on Tax-Exempt Bonds	0.00	
14- Tax-Exempt and Tax Credit Bond CUSIP no.		

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

APEX CLEARING

Tax Summary

2021

5NA77394

01/31/2022

Summary Of Sale Proceeds

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

Section	Total Proceeds	Total Cost Basis	Total Market Discount	Wash Sale Loss Disallowed	Total Net Gain or Loss(-)
Short-term transactions for covered tax lots	2,970,702.47	3,176,627.36	0.00	190,034.66	-15,890.23
Short-term transactions for noncovered tax lots	1,130.83	1,176.78	0.00	0.00	-45.95
Total Short-term	2,971,833.30	3,177,804.14	0.00	190,034.66	-15,936.18
Long-term transactions for covered tax lots	0.00	0.00	0.00	0.00	0.00
Long-term transactions for noncovered tax lots	0.00	0.00	0.00	0.00	0.00
Total Long-term	0.00	0.00	0.00	0.00	0.00
Undetermined transactions for noncovered tax lots	0.00	0.00	0.00	0.00	0.00
Total Undetermined-term	0.00	0.00	0.00	0.00	0.00

ORIGINAL ISSUE DISCOUNT SUMMARY*

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

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

FEDERAL TAX WITHHELD

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

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

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

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

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

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

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

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

FATCA filing requirement []

SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

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

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

Box 5: Box Not Checked (Covered Security)

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

Box 12: Basis Reported to the IRS

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

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

Date Sold or Disposed (Box 1c)	Quantity	Proceeds (Box 1d)	Date Acquired (Box 1b)	Cost or Other Basis (Box 1e)	Accrued Market Discount (M)(Box 1f) & Wash Sale Loss Disallowed (D)(Box 1g)		Gain or Loss(-)	Additional Notes
SENECA BIOPHARMA INC COMMON STOCK CUSIP: 81689B103 Symbol(Box 1a): SNCA								
01/13/2021	144.00	213.16	01/13/2021	266.40	53.24	D	0.00	Sale
01/13/2021	143.00	255.94	01/13/2021	264.55	8.61	D	0.00	Sale
02/10/2021	508.00	884.09	02/10/2021	924.56	0.00		-40.47	Sale
02/10/2021	2,034.00	3,640.19	Various	3,763.59	77.96	D	-45.44	Sale
02/11/2021	170.00	322.97	02/10/2021	309.40	0.00		13.57	Sale

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APEX CLEARING

Proceeds from Broker and Barter Exchange Transactions

2021 Form 1099-B*

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(continued)

01/31/2022

OMB No. 1545-0715

SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

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

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

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

Date Sold or Disposed (Box 1c)	Quantity	Proceeds (Box 1d)	Date Acquired (Box 1b)	Cost or Other Basis (Box 1e)	Accrued Market Discount (M)(Box 1f) & Wash Sale Loss Disallowed (D)(Box 1g)	Gain or Loss(-)	Additional Notes
SENECA BIOPHARMA INC COMMON STOCK CUSIP: 81689B103 Symbol(Box 1a): SNCA							
02/12/2021	128.00	243.17	02/12/2021	259.79	0.00	-16.62	Sale
02/17/2021	129.00	258.43	Various	297.08	0.00	-38.65	Sale
02/18/2021	139.00	264.07	Various	264.11	0.00	-0.04	Sale
02/18/2021	140.00	257.64	02/18/2021	254.84	0.00	2.80	Sale
Security Totals:		6,339.66		6,604.32		-124.85	
***SOS LTD AMERICAN DPSTRY SHRS ECH RPRSNTNG TEN CL A SHARES CUSIP: 83587W106 Symbol(Box 1a): SOS							
01/07/2021	140.00	473.31	01/07/2021	556.20	82.89 D	0.00	Sale
01/27/2021	63.00	170.08	01/27/2021	186.54	16.46 D	0.00	Sale
01/27/2021	63.00	155.03	01/27/2021	186.54	31.51 D	0.00	Sale
02/05/2021	64.00	237.42	Various	281.62	44.20 D	0.00	Sale
02/12/2021	58.00	421.64	02/12/2021	420.46	0.00	1.18	Sale
02/12/2021	61.00	396.48	Various	429.94	51.34 D	17.88	Sale
02/12/2021	350.00	2,516.40	Various	2,536.11	80.64 D	60.93	Sale
02/16/2021	11.00	138.36	02/12/2021	79.74	0.00	58.62	Sale
02/16/2021	22.00	243.30	02/12/2021	159.49	0.00	83.81	Sale
02/16/2021	14.00	137.18	02/12/2021	101.49	0.00	35.69	Sale
02/16/2021	26.00	310.16	Various	285.54	31.54 D	56.16	Sale
02/17/2021	10.00	144.98	02/16/2021	139.62	0.00	5.36	Sale
02/17/2021	11.00	141.55	02/17/2021	141.56	0.01 D	0.00	Sale

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APEX CLEARING

Proceeds from Broker and Barter Exchange Transactions

2021 Form 1099-B*

5NA77394

(continued)

01/31/2022

OMB No. 1545-0715

SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

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

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

Date Sold or Disposed (Box 1c)	Quantity	Proceeds (Box 1d)	Date Acquired (Box 1b)	Cost or Other Basis (Box 1e)	Accrued Market Discount (M)(Box 1f) & Wash Sale Loss Disallowed (D)(Box 1g)	Gain or Loss(-)	Additional Notes
***SOS LTD AMERICAN DPSTRY SHRS ECH RPRSNTNG TEN CL A SHARES CUSIP: 83587W106 Symbol(Box 1a): SOS							
02/17/2021	6.00	90.88	02/16/2021	83.77	0.00	7.11	Sale
02/17/2021	76.00	1,050.28	Various	1,138.04	92.31 D	4.55	Sale
02/18/2021	13.00	153.51	Various	173.25	19.74 D	0.00	Sale
02/18/2021	41.00	457.53	Various	504.59	47.06 D	0.00	Sale
02/19/2021	22.00	242.64	Various	254.27	11.63 D	0.00	Sale
02/22/2021	16.00	169.42	02/19/2021	193.24	23.82 D	0.00	Sale
02/22/2021	17.00	168.79	02/19/2021	205.32	36.53 D	0.00	Sale
02/24/2021	32.00	274.54	02/24/2021	293.74	19.2 D	0.00	Sale
03/01/2021	84.00	673.66	Various	735.70	84.62 D	22.58	Sale
03/01/2021	42.00	333.88	Various	381.62	8.51 D	-39.23	Sale
03/02/2021	21.00	160.42	Various	181.52	0.00	-21.10	Sale
03/02/2021	22.00	145.18	Various	181.83	0.00	-36.65	Sale
03/03/2021	133.00	1,017.67	Various	1,150.66	0.00	-132.99	Sale
07/22/2021	21.00	59.83	Various	178.19	0.00	-118.36	Sale
Security Totals:		10,484.12		11,160.59		5.54	
CONFORMIS INC COM CUSIP: 20717E101 Symbol(Box 1a): CFMS							
02/22/2021	76.00	92.70	Various	102.96	0.56 D	-9.70	Sale
02/22/2021	112.00	150.27	Various	143.08	0.00	7.19	Sale
02/22/2021	225.00	256.87	Various	287.06	30.19 D	0.00	Sale
02/23/2021	113.00	120.89	02/22/2021	144.45	0.00	-23.56	Sale
Security Totals:		620.73		677.55		-26.07	
BIO KEY INTERNATIONAL INC COMMON STOCK CUSIP: 09060C408 Symbol(Box 1a): BKYI							
01/06/2021	390.00	1,513.11	Various	1,496.00	0.00	17.11	Sale

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APEX CLEARING

Proceeds from Broker and Barter Exchange Transactions

2021 Form 1099-B*

5NA77394

(continued)

01/31/2022

OMB No. 1545-0715

SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

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

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

Date Sold or Disposed (Box 1c)	Quantity	Proceeds (Box 1d)	Date Acquired (Box 1b)	Cost or Other Basis (Box 1e)	Accrued Market Discount (M)(Box 1f) & Wash Sale Loss Disallowed (D)(Box 1g)	Gain or Loss(-)	Additional Notes
FUSION ACQUISITION CORP CLASS A COMMON STOCK CUSIP: 36118H105 Symbol(Box 1a): FUSE							
01/07/2021	44.00	500.69	01/07/2021	494.56	0.00	6.13	Sale
CALL PRTS 02/19/21 15 CARPARTS.COM INC CUSIP: Symbol(Box 1a): PRTS210219C00015000							
01/26/2021	1.00	274.90	01/25/2021	160.08	0.00	114.82	Sell to Close
***XPENG INC ADS EACH REPRESENTING TWO CLASS A ORDINARY SHARES CUSIP: 98422D105 Symbol(Box 1a): XPEV							
01/04/2021	5.00	233.48	Various	255.60	0.00	-22.12	Sale
MICROVISION INC DEL CUSIP: 594960304 Symbol(Box 1a): MVIS							
01/05/2021	66.00	318.77	Various	504.45	185.68 D	0.00	Sale
01/06/2021	153.00	835.34	Various	1,142.23	306.89 D	0.00	Sale
01/14/2021	95.00	631.72	Various	717.09	85.37 D	0.00	Sale
01/14/2021	119.00	766.33	Various	998.40	232.07 D	0.00	Sale
01/15/2021	50.00	331.86	Various	483.11	0.00	-151.25	Sale
01/15/2021	75.00	513.05	01/15/2021	541.50	0.00	-28.45	Sale
01/15/2021	190.00	1,333.75	01/15/2021	1,371.80	0.00	-38.05	Sale
01/15/2021	291.00	2,068.93	Various	2,389.44	169.66 D	-150.85	Sale
01/19/2021	51.00	345.31	Various	369.27	0.00	-23.96	Sale
02/24/2021	4.00	68.54	02/24/2021	71.80	0.00	-3.26	Sale
02/24/2021	12.00	204.10	02/24/2021	215.40	6.59 D	-4.71	Sale
06/08/2021	3.00	65.98	03/10/2021	44.52	0.00	21.46	Sale
07/16/2021	4.00	54.66	03/10/2021	59.37	0.00	-4.71	Sale
Security Totals:		7,538.34		8,908.38		-383.78	
CALL SPY 02/16/21 393 STANDARD & POORS DEPOSITORY CUSIP: Symbol(Box 1a): SPY210216C00393000							
02/16/2021	1.00	79.90	02/16/2021	84.08	0.00	-4.18	Sell to Close

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APEX CLEARING

Proceeds from Broker and Barter Exchange Transactions

2021 Form 1099-B*

5NA77394

(continued)

01/31/2022

OMB No. 1545-0715

SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

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

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

Date Sold or Disposed (Box 1c)	Quantity	Proceeds (Box 1d)	Date Acquired (Box 1b)	Cost or Other Basis (Box 1e)	Accrued Market Discount (M)(Box 1f) & Wash Sale Loss Disallowed (D)(Box 1g)	Gain or Loss(-)	Additional Notes
CALL RIOT 02/19/21 80 RIOT BLOCKCHAIN INC CUSIP: Symbol(Box 1a): RIOT210219C00080000							
02/17/2021	1.00	734.89	02/17/2021	765.08	0.00	-30.19	Sell to Close
CALL HYLN 02/19/21 22 HYLIION HOLDINGS CORPORATION CUSIP: Symbol(Box 1a): HYLN210219C00022000							
02/16/2021	2.00	97.82	Various	281.16	0.00	-183.34	Sell to Close
CALL TWTR 02/19/21 70 TWITTER INC CUSIP: Symbol(Box 1a): TWTR210219C00070000							
02/10/2021	1.00	195.90	02/09/2021	135.08	0.00	60.82	Sell to Close
RIOT BLOCKCHAIN INC COMMON STOCK CUSIP: 767292105 Symbol(Box 1a): RIOT							
01/05/2021	8.00	125.10	Various	154.19	0.00	-29.09	Sale
01/11/2021	3.00	65.26	01/08/2021	83.19	17.93 D	0.00	Sale
01/11/2021	10.00	239.78	Various	251.11	26.27 D	14.94	Sale
01/13/2021	9.00	204.10	Various	219.73	15.63 D	0.00	Sale
01/14/2021	34.00	972.70	Various	963.73	12.03 D	21.00	Sale
01/20/2021	8.00	191.50	Various	221.86	30.36 D	0.00	Sale
01/21/2021	3.00	59.48	01/15/2021	78.47	18.99 D	0.00	Sale
02/08/2021	9.00	285.91	02/08/2021	258.78	0.00	27.13	Sale
02/08/2021	12.00	371.62	02/08/2021	345.04	0.00	26.58	Sale
02/08/2021	17.00	528.33	02/08/2021	488.81	0.00	39.52	Sale
02/08/2021	17.00	588.17	02/08/2021	554.27	0.00	33.90	Sale
02/08/2021	33.00	1,047.35	Various	1,105.03	57.68 D	0.00	Sale
02/08/2021	39.00	1,330.25	02/08/2021	1,271.57	0.00	58.68	Sale
02/08/2021	45.00	1,455.58	Various	1,411.33	63.54 D	107.79	Sale
02/08/2021	201.00	5,742.42	Various	5,835.88	114.17 D	20.71	Sale

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APEX CLEARING

Proceeds from Broker and Barter Exchange Transactions

2021 Form 1099-B*

5NA77394

(continued)

01/31/2022

OMB No. 1545-0715

SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

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

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

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RIOT BLOCKCHAIN INC	COMMON STOCK	CUSIP: 767292105	Symbol(Box 1a): RIOT				
02/08/2021	68.00	2,228.98	Various	2,316.71	93.41 D	5.68	Sale
02/09/2021	108.00	4,255.09	Various	4,360.28	118.02 D	12.83	Sale
02/09/2021	20.00	717.77	Various	721.70	40.53 D	36.60	Sale
02/09/2021	20.00	759.17	02/09/2021	796.60	37.43 D	0.00	Sale
02/09/2021	108.00	4,434.37	Various	4,618.74	184.37 D	0.00	Sale
02/11/2021	6.00	275.38	02/11/2021	252.74	0.00	22.64	Sale
02/11/2021	15.00	670.67	Various	641.03	0.00	29.64	Sale
02/11/2021	30.00	1,271.96	Various	1,315.41	64.09 D	20.64	Sale
02/12/2021	10.00	464.27	02/11/2021	421.23	0.00	43.04	Sale
02/12/2021	5.00	254.28	02/11/2021	223.85	0.00	30.43	Sale
02/16/2021	4.00	235.98	02/12/2021	194.53	0.00	41.45	Sale
02/16/2021	4.00	253.26	02/16/2021	264.05	10.79 D	0.00	Sale
02/16/2021	48.00	3,047.92	Various	3,086.41	97.95 D	59.46	Sale
02/16/2021	8.00	447.10	Various	365.90	0.00	81.20	Sale
02/17/2021	5.00	401.03	02/17/2021	385.47	0.00	15.56	Sale
02/17/2021	3.00	206.98	02/16/2021	198.04	0.00	8.94	Sale
02/17/2021	6.00	423.94	Various	386.83	0.00	37.11	Sale
02/17/2021	11.00	827.39	Various	821.09	5.23 D	11.53	Sale
02/17/2021	13.00	898.27	Various	935.23	58.56 D	21.60	Sale
02/17/2021	21.00	1,727.20	Various	1,687.12	23.76 D	63.84	Sale
02/18/2021	2.00	133.06	Various	168.13	35.07 D	0.00	Sale
02/18/2021	12.00	879.57	Various	1,071.01	191.44 D	0.00	Sale

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APEX CLEARING

Proceeds from Broker and Barter Exchange Transactions

2021 Form 1099-B*

5NA77394

(continued)

01/31/2022

OMB No. 1545-0715

SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

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

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

Box 5: Box Not Checked (Covered Security)

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

Box 12: Basis Reported to the IRS

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

Date Sold or Disposed (Box 1c)	Quantity	Proceeds (Box 1d)	Date Acquired (Box 1b)	Cost or Other Basis (Box 1e)	Accrued Market Discount (M)(Box 1f) & Wash Sale Loss Disallowed (D)(Box 1g)	Gain or Loss(-)	Additional Notes
RIOT BLOCKCHAIN INC COMMON STOCK CUSIP: 767292105 Symbol(Box 1a): RIOT							
02/19/2021	3.00	216.34	Various	259.73	43.39 D	0.00	Sale
02/19/2021	5.00	361.03	Various	428.03	67.00 D	0.00	Sale
02/22/2021	2.00	132.84	02/19/2021	176.49	43.65 D	0.00	Sale
02/24/2021	2.00	106.96	02/24/2021	141.62	34.66 D	0.00	Sale
02/24/2021	3.00	163.57	Various	227.75	64.18 D	0.00	Sale
03/02/2021	5.00	276.33	Various	369.04	0.00	-92.71	Sale
03/02/2021	12.00	662.98	Various	894.64	0.00	-231.66	Sale
07/19/2021	1.00	25.96	03/09/2021	67.74	0.00	-41.78	Sale
Security Totals:		39,967.20		41,040.13		497.20	
CALL RIOT 02/12/21 52 RIOT BLOCKCHAIN INC CUSIP: Symbol(Box 1a): RIOT210212C00052000							
02/12/2021	1.00	79.90	02/12/2021	82.08	0.00	-2.18	Sell to Close
02/12/2021	1.00	125.90	02/12/2021	82.08	0.00	43.82	Sell to Close
02/12/2021	1.00	161.90	02/12/2021	82.08	0.00	79.82	Sell to Close
Security Totals:		367.70		246.24		121.46	
3-D SYSTEMS CORP-DEL CUSIP: 88554D205 Symbol(Box 1a): DDD							
01/07/2021	8.00	193.90	01/07/2021	195.60	0.00	-1.70	Sale
NANOVI BRONIX INC COMMON STOCK CUSIP: 63008J108 Symbol(Box 1a): NAOV							
01/22/2021	233.00	351.79	01/22/2021	382.12	0.00	-30.33	Sale
01/22/2021	697.00	1,101.15	01/22/2021	1,143.08	0.00	-41.93	Sale
01/22/2021	929.00	1,504.83	Various	1,494.66	0.00	10.17	Sale
Security Totals:		2,957.77		3,019.86		-62.09	

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APEX CLEARING

Proceeds from Broker and Barter Exchange Transactions

2021 Form 1099-B*

5NA77394

(continued)

01/31/2022

OMB No. 1545-0715

SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

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MARIN SOFTWARE INCORPORATED COMMON STOCK CUSIP: 56804T205 Symbol(Box 1a): MRIN							
01/29/2021	198.00	409.87	Various	422.24	8.57 D	-3.80	Sale
02/05/2021	195.00	552.24	Various	531.61	0.00	20.63	Sale
02/05/2021	390.00	1,103.62	Various	952.66	0.00	150.96	Sale
02/05/2021	421.00	1,094.52	Various	900.21	0.00	194.31	Sale
02/09/2021	73.00	221.98	02/05/2021	202.86	0.00	19.12	Sale
02/11/2021	110.00	287.08	02/05/2021	305.68	16.57 D	-2.03	Sale
02/22/2021	111.00	288.58	Various	350.51	0.00	-61.93	Sale
Security Totals:		3,957.89		3,665.77		317.26	
GRITSTONE BIO INC COMMON STOCK CUSIP: 39868T105 Symbol(Box 1a): GRTS							
01/19/2021	36.00	330.46	01/19/2021	295.20	0.00	35.26	Sale
BROADWIND INC COMMON STOCK CUSIP: 11161T207 Symbol(Box 1a): BWEN							
01/05/2021	55.00	406.43	Various	482.70	76.27 D	0.00	Sale
01/12/2021	21.00	186.88	Various	215.69	28.81 D	0.00	Sale
01/20/2021	172.00	1,491.18	Various	1,603.99	0.00	-112.81	Sale
Security Totals:		2,084.49		2,302.38		-112.81	
IDEAL POWER INC COMMON STOCK CUSIP: 451622203 Symbol(Box 1a): IPWR							
01/14/2021	65.00	612.27	01/14/2021	681.20	0.00	-68.93	Sale
01/14/2021	195.00	2,006.48	01/14/2021	2,043.60	26.27 D	-10.85	Sale
01/15/2021	33.00	297.54	01/14/2021	297.34	0.00	0.20	Sale
01/21/2021	10.00	158.65	01/21/2021	125.91	0.00	32.74	Sale
01/21/2021	23.00	336.01	Various	319.73	0.00	16.28	Sale
01/21/2021	60.00	737.47	01/21/2021	755.42	0.00	-17.95	Sale

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APEX CLEARING

Proceeds from Broker and Barter Exchange Transactions

2021 Form 1099-B*

5NA77394

(continued)

01/31/2022

OMB No. 1545-0715

SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

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

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

Date Sold or Disposed (Box 1c)	Quantity	Proceeds (Box 1d)	Date Acquired (Box 1b)	Cost or Other Basis (Box 1e)	Accrued Market Discount (M)(Box 1f) & Wash Sale Loss Disallowed (D)(Box 1g)	Gain or Loss(-)	Additional Notes
02/03/2021	12.00	254.40	02/03/2021	283.45	0.00	-29.05	Sale
Security Totals:		4,402.82		4,506.65		-77.56	
***EHANG HOLDINGS LIMITED ADS CUSIP: 26853E102 Symbol(Box 1a): EH							
02/17/2021	3.00	218.47	02/17/2021	190.68	0.00	27.79	Sale
CALL RIOT 02/19/21 48 RIOT BLOCKCHAIN INC CUSIP: Symbol(Box 1a): RIOT210219C00048000							
02/12/2021	1.00	579.89	02/12/2021	595.08	0.00	-15.19	Sell to Close
CALL PLTR 01/15/21 25 PALANTIR TECHNOLOGIES INC CL A CUSIP: Symbol(Box 1a): PLTR210115C00025000							
01/12/2021	1.00	134.90	01/07/2021	123.08	0.00	11.82	Sell to Close
***ATIF HOLDINGS LIMITED ORDINARY SHARES CUSIP: G0602B100 Symbol(Box 1a): ATIF							
02/22/2021	80.00	175.98	02/22/2021	197.60	0.00	-21.62	Sale
CALL MARA 02/05/21 25 MARATHON PATENT GROUP INC CUSIP: Symbol(Box 1a): MARA210205C00025000							
01/29/2021	1.00	279.90	01/29/2021	274.08	0.00	5.82	Sell to Close
STURM RUGER & CO INC CUSIP: 864159108 Symbol(Box 1a): RGR							
07/16/2021	1.00	77.46	05/17/2021	77.04	0.00	0.42	Sale
CALL CLOV 02/19/21 15 CLOVER HEALTH INVESTMENTS CORP CUSIP: Symbol(Box 1a): CLOV210219C00015000							
01/13/2021	1.00	194.90	01/12/2021	240.08	45.18 D	0.00	Sell to Close
01/13/2021	1.00	209.90	01/12/2021	240.08	30.18 D	0.00	Sell to Close
01/15/2021	1.00	170.90	01/14/2021	230.26	59.36 D	0.00	Sell to Close
01/26/2021	1.00	224.90	01/26/2021	246.44	0.00	-21.54	Sell to Close
01/26/2021	1.00	134.90	01/25/2021	215.26	80.36 D	0.00	Sell to Close

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APEX CLEARING

Proceeds from Broker and Barter Exchange Transactions

2021 Form 1099-B*

5NA77394

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01/31/2022

OMB No. 1545-0715

SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

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

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

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

Date Sold or Disposed (Box 1c)	Quantity	Proceeds (Box 1d)	Date Acquired (Box 1b)	Cost or Other Basis (Box 1e)	Accrued Market Discount (M)(Box 1f) & Wash Sale Loss Disallowed (D)(Box 1g)	Gain or Loss(-)	Additional Notes
01/28/2021	1.00	174.90	01/28/2021	294.44	0.00	-119.54	Sell to Close
Security Totals:		1,110.40		1,466.56		-141.08	
CALL SNDL 01/22/21	1		SUNDIAL GROWERS INC CUSIP: Symbol(Box 1a): SNDL210122C00001000				
01/22/2021	10.00	0.00	01/13/2021	50.81	0.00	-50.81	Expiration
PUT MARA 01/22/21	16		MARATHON PATENT GROUP INC CUSIP: Symbol(Box 1a): MARA210122P00016000				
01/21/2021	1.00	18.90	01/21/2021	60.08	0.00	-41.18	Sell to Close
CALL NOK 02/19/21	5		NOKIA CORPORATION CUSIP: Symbol(Box 1a): NOK210219C00005000				
01/26/2021	2.00	219.82	01/25/2021	140.16	0.00	79.66	Sell to Close
CALL AAPL 02/05/21	150		APPLE INC CUSIP: Symbol(Box 1a): AAPL210205C00150000				
01/27/2021	1.00	339.90	01/27/2021	467.26	0.00	-127.36	Sell to Close
***LION ELEC CO			COM CUSIP: 536221104 Symbol(Box 1a): LEV				
07/20/2021	5.00	73.08	03/09/2021	85.50	0.00	-12.42	Sale
CALL GME 02/05/21	140		GAMESTOP CORP CUSIP: Symbol(Box 1a): GME210205C00140000				
02/05/2021	1.00	173.90	02/05/2021	390.08	0.00	-216.18	Sell to Close
CALL RIOT 02/12/21	48		RIOT BLOCKCHAIN INC CUSIP: Symbol(Box 1a): RIOT210212C00048000				
02/09/2021	1.00	143.90	02/09/2021	220.08	0.00	-76.18	Sell to Close
PUT MVIS 02/19/21	14		MICROVISION INC CUSIP: Symbol(Box 1a): MVIS210219P00014000				
02/09/2021	1.00	144.90	02/08/2021	210.08	0.00	-65.18	Sell to Close
CALL FUBO 02/05/21	50		FUBOTV INC CUSIP: Symbol(Box 1a): FUBO210205C00050000				
01/25/2021	1.00	267.90	01/25/2021	350.08	0.00	-82.18	Sell to Close
CALL FUBO 02/05/21	51.50		FUBOTV INC CUSIP: Symbol(Box 1a): FUBO210205C00051500				
01/27/2021	1.00	544.89	01/26/2021	330.08	0.00	214.81	Sell to Close

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2021 Form 1099-B*

5NA77394

(continued)

01/31/2022

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SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

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CALL RIOT 01/08/21 25 RIOT BLOCKCHAIN INC CUSIP: Symbol(Box 1a): RIOT210108C00025000							
01/07/2021	3.00	158.74	Various	296.24	0.00	-137.50	Sell to Close
CALL SPCE 01/22/21 34 VIRGIN GALACTIC HOLDINGS INC CUSIP: Symbol(Box 1a): SPCE210122C00034000							
01/14/2021	1.00	249.90	01/14/2021	266.08	0.00	-16.18	Sell to Close
CALL GTHX 02/19/21 35 G1 THERAPEUTICS INC CUSIP: Symbol(Box 1a): GTHX210219C00035000							
02/12/2021	2.00	709.81	Various	778.16	53.17 D	-15.18	Sell to Close
02/16/2021	1.00	94.90	02/16/2021	178.25	0.00	-83.35	Sell to Close
Security Totals:		804.71		956.41		-98.53	
ACLARIS THERAPEUTICS INC COM CUSIP: 00461U105 Symbol(Box 1a): ACRS							
01/19/2021	13.00	183.41	01/19/2021	189.41	0.00	-6.00	Sale
01/19/2021	22.00	215.80	01/19/2021	198.00	0.00	17.80	Sale
Security Totals:		399.21		387.41		11.80	
SINGULARITY FUTURE TECHNOLOGY LTD COMMON STOCK CUSIP: 82935V208 Symbol(Box 1a): SINO							
02/03/2021	16.00	177.04	02/03/2021	198.56	21.52 D	0.00	Sale
02/08/2021	26.00	263.88	02/08/2021	250.38	0.00	13.50	Sale
02/08/2021	78.00	780.50	02/08/2021	751.14	0.00	29.36	Sale
02/08/2021	103.00	1,011.39	Various	1,013.41	18.49 D	16.47	Sale
02/11/2021	64.00	492.13	Various	516.27	21.41 D	-2.73	Sale
02/17/2021	17.00	163.69	Various	150.65	0.00	13.04	Sale
02/17/2021	16.00	165.42	02/16/2021	163.91	0.00	1.51	Sale
Security Totals:		3,054.05		3,044.32		71.15	
CALL GHIV 02/19/21 15 GORES HOLDINGS IV INC CL A CUSIP: Symbol(Box 1a): GHIV210219C00015000							
01/15/2021	1.00	121.90	12/24/2020	215.08	93.18 D	0.00	Sell to Close

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2021 Form 1099-B*

5NA77394

(continued)

01/31/2022

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01/15/2021	1.00	129.90	01/07/2021	223.26	0.00	-93.36	Sell to Close
Security Totals:		251.80		438.34		-93.36	
CALL OPTT 03/19/21 7.50 OCEAN POWER TECHNOLOGIES INC CUSIP: Symbol(Box 1a): OPTT210319C00007500							
02/10/2021	1.00	104.90	02/09/2021	110.08	0.00	-5.18	Sell to Close
CALL LMND 01/15/21 200 LEMONADE INC CUSIP: Symbol(Box 1a): LMND210115C00200000							
01/12/2021	1.00	257.90	01/12/2021	310.08	0.00	-52.18	Sell to Close
PUT JG 02/19/21 5 AURORA MOBILE LTD ADR CUSIP: Symbol(Box 1a): JG210219P00005000							
02/05/2021	1.00	119.90	02/05/2021	95.08	0.00	24.82	Sell to Close
02/05/2021	1.00	119.90	02/05/2021	95.08	0.00	24.82	Sell to Close
Security Totals:		239.80		190.16		49.64	
ICONIX BRAND GROUP INC COMMON STOCK CUSIP: 451055305 Symbol(Box 1a): ICON							
01/29/2021	5.00	16.03	01/29/2021	18.70	2.67 D	0.00	Sale
01/29/2021	131.00	441.75	01/29/2021	509.59	67.84 D	0.00	Sale
01/29/2021	391.00	1,369.27	01/29/2021	1,520.99	151.72 D	0.00	Sale
01/29/2021	401.00	1,447.52	01/29/2021	1,559.89	112.37 D	0.00	Sale
01/29/2021	522.00	1,798.71	01/29/2021	2,030.58	231.87 D	0.00	Sale
01/29/2021	1,852.00	6,203.84	Various	6,751.62	0.00	-547.78	Sale
02/02/2021	63.00	206.00	01/29/2021	206.64	0.64 D	0.00	Buy to Cover Short
02/02/2021	303.00	990.75	Various	1,005.44	14.69 D	0.00	Buy to Cover Short

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ICONIX BRAND GROUP INC COMMON STOCK CUSIP: 451055305 Symbol(Box 1a): ICON							
02/02/2021	290.00	997.86	01/29/2021	1,003.40	5.54 D	0.00	Buy to Cover Short
Security Totals:		13,471.73		14,606.85		-547.78	
PUT FUBO 01/15/21 25 FUBOTV INC CUSIP: Symbol(Box 1a): FUBO210115P00025000							
01/08/2021	1.00	115.90	01/08/2021	138.08	22.18 D	0.00	Sell to Close
01/11/2021	1.00	96.90	01/08/2021	160.26	0.00	-63.36	Sell to Close
Security Totals:		212.80		298.34		-63.36	
CALL FUBO 01/15/21 30 FUBOTV INC CUSIP: Symbol(Box 1a): FUBO210115C00030000							
01/07/2021	1.00	188.90	01/07/2021	265.08	76.18 D	0.00	Sell to Close
01/08/2021	1.00	75.90	01/07/2021	276.26	200.36 D	0.00	Sell to Close
01/11/2021	2.00	217.82	Various	486.52	268.70 D	0.00	Sell to Close
01/12/2021	1.00	276.90	01/08/2021	356.61	0.00	-79.71	Sell to Close
01/12/2021	1.00	235.90	01/11/2021	106.25	0.00	129.65	Sell to Close
Security Totals:		995.42		1,490.72		49.94	
***TAT TECHNOLOGIES LTD ORD CUSIP: M8740S227 Symbol(Box 1a): TATT							
01/06/2021	49.00	336.61	01/06/2021	349.37	0.00	-12.76	Sale
CALL IZEA 02/19/21 5 IZEA WORLDWIDE INC CUSIP: Symbol(Box 1a): IZEA210219C00005000							
02/18/2021	2.00	29.82	02/17/2021	40.16	0.00	-10.34	Sell to Close
02/19/2021	1.00	0.00	02/17/2021	20.08	0.00	-20.08	Expiration
Security Totals:		29.82		60.24		-30.42	

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APEX CLEARING

Proceeds from Broker and Barter Exchange Transactions

2021 Form 1099-B*

5NA77394

(continued)

01/31/2022

OMB No. 1545-0715

SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

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

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

Box 5: Box Not Checked (Covered Security)

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

Box 12: Basis Reported to the IRS

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

Date Sold or Disposed (Box 1c)	Quantity	Proceeds (Box 1d)	Date Acquired (Box 1b)	Cost or Other Basis (Box 1e)	Accrued Market Discount (M)(Box 1f) & Wash Sale Loss Disallowed (D)(Box 1g)	Gain or Loss(-)	Additional Notes
PUT APHA 02/19/21 21.50 APHRIA INC CUSIP: Symbol(Box 1a): APHA210219P00021500							
02/11/2021	1.00	287.90	02/10/2021	205.08	0.00	82.82	Sell to Close
AVINGER INC COMMON STOCK CUSIP: 053734604 Symbol(Box 1a): AVGR							
02/18/2021	203.00	487.38	02/17/2021	369.46	0.00	117.92	Sale
02/18/2021	68.00	143.53	02/17/2021	123.76	0.00	19.77	Sale
Security Totals:		630.91		493.22		137.69	
MOLECULIN BIOTECH INC COMMON STOCK CUSIP: 60855D200 Symbol(Box 1a): MBRX							
02/02/2021	30.00	195.91	02/02/2021	199.50	0.00	-3.59	Sale
CALL SNDL 01/15/21 1 SUNDIAL GROWERS INC CUSIP: Symbol(Box 1a): SNDL210115C00001000							
01/15/2021	50.00	0.00	01/11/2021	454.04	0.00	-454.04	Expiration
CALL IDEX 02/19/21 5.50 IDEANOMICS INC CUSIP: Symbol(Box 1a): IDEX210219C00005500							
01/28/2021	1.00	83.90	01/27/2021	130.08	0.00	-46.18	Sell to Close
PUT SPY 03/19/21 368 STANDARD & POORS DEPOSITORY CUSIP: Symbol(Box 1a): SPY210319P00368000							
03/19/2021	1.00	0.00	03/09/2021	128.08	0.00	-128.08	Expiration
CALL IDEX 02/19/21 4.50 IDEANOMICS INC CUSIP: Symbol(Box 1a): IDEX210219C00004500							
02/03/2021	1.00	71.90	02/03/2021	89.26	17.36 D	0.00	Sell to Close
02/03/2021	1.00	71.90	02/03/2021	80.08	8.18 D	0.00	Sell to Close
02/03/2021	1.00	79.90	02/03/2021	89.08	9.18 D	0.00	Sell to Close
02/04/2021	1.00	103.90	02/04/2021	107.44	0.00	-3.54	Sell to Close
02/04/2021	2.00	199.82	02/03/2021	160.16	0.00	39.66	Sell to Close

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APEX CLEARING

Proceeds from Broker and Barter Exchange Transactions

2021 Form 1099-B*

5NA77394

(continued)

01/31/2022

OMB No. 1545-0715

SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

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

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

Date Sold or Disposed (Box 1c)	Quantity	Proceeds (Box 1d)	Date Acquired (Box 1b)	Cost or Other Basis (Box 1e)	Accrued Market Discount (M)(Box 1f) & Wash Sale Loss Disallowed (D)(Box 1g)	Gain or Loss(-)	Additional Notes
CALL IDEX 02/19/21 4.50 IDEANOMICS INC CUSIP: Symbol(Box 1a): IDEX210219C00004500							
02/05/2021	1.00	103.90	02/04/2021	90.08	0.00	13.82	Sell to Close
02/05/2021	1.00	113.90	02/04/2021	98.26	0.00	15.64	Sell to Close
Security Totals:		745.22		714.36		65.58	
***LION GROUP HOLDING LTD AMERICAN DEPOSITARY SHARE CUSIP: 53620U102 Symbol(Box 1a): LGHL							
02/12/2021	45.00	193.48	02/12/2021	177.30	0.00	16.18	Sale
02/12/2021	91.00	399.47	Various	347.06	0.00	52.41	Sale
02/12/2021	155.00	681.96	Various	647.52	0.00	34.44	Sale
02/12/2021	181.00	760.16	02/12/2021	687.80	0.00	72.36	Sale
02/16/2021	52.00	237.62	Various	227.04	0.00	10.58	Sale
02/17/2021	51.00	232.03	02/17/2021	247.35	15.32 D	0.00	Sale
02/17/2021	52.00	243.86	02/17/2021	252.20	8.34 D	0.00	Sale
02/17/2021	66.00	341.20	02/17/2021	319.92	0.00	21.28	Sale
02/17/2021	102.00	557.91	02/17/2021	494.70	0.00	63.21	Sale
02/17/2021	133.00	679.01	02/17/2021	644.69	0.00	34.32	Sale
02/17/2021	265.00	1,295.79	Various	1,290.09	4.71 D	10.41	Sale
02/17/2021	530.00	2,595.56	Various	2,593.29	19.06 D	21.33	Sale
02/18/2021	55.00	306.33	Various	308.51	3.12 D	0.94	Sale
02/18/2021	67.00	317.63	02/17/2021	324.77	7.14 D	0.00	Sale
02/22/2021	63.00	300.56	Various	349.12	48.56 D	0.00	Sale
02/23/2021	10.00	38.98	02/22/2021	51.27	12.29 D	0.00	Sale

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APEX CLEARING

Proceeds from Broker and Barter Exchange Transactions

2021 Form 1099-B*

5NA77394

(continued)

01/31/2022

OMB No. 1545-0715

SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

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

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

Date Sold or Disposed (Box 1c)	Quantity	Proceeds (Box 1d)	Date Acquired (Box 1b)	Cost or Other Basis (Box 1e)	Accrued Market Discount (M)(Box 1f) & Wash Sale Loss Disallowed (D)(Box 1g)	Gain or Loss(-)	Additional Notes
***LION GROUP HOLDING LTD AMERICAN DEPOSITORY SHARE CUSIP: 53620U102 Symbol(Box 1a): LGHL							
02/24/2021	69.00	291.16	Various	296.97	13.74 D	7.93	Sale
02/24/2021	70.00	290.08	Various	317.68	31.18 D	3.58	Sale
03/01/2021	129.00	503.07	Various	552.75	0.00	-49.68	Sale
Security Totals:		10,265.86		10,130.03		299.29	
LAM RESEARCH CORP CUSIP: 512807108 Symbol(Box 1a): LRCX							
03/19/2021	1.00	542.60	03/18/2021	548.81	0.00	-6.21	Sale
CALL FUBO 02/05/21 50.50 FUBOTV INC CUSIP: Symbol(Box 1a): FUBO210205C00050500							
02/03/2021	1.00	309.90	02/03/2021	330.08	0.00	-20.18	Sell to Close
NOVABAY PHARMACEUTICALS INC COM CUSIP: 66987P201 Symbol(Box 1a): NBY							
01/15/2021	268.00	251.88	01/15/2021	249.24	0.00	2.64	Sale
01/19/2021	269.00	250.94	01/15/2021	250.17	0.00	0.77	Sale
Security Totals:		502.82		499.41		3.41	
PITNEY BOWES INC CUSIP: 724479100 Symbol(Box 1a): PBI							
01/15/2021	32.00	245.36	Various	247.62	0.00	-2.26	Sale
GUARDION HEALTH SCIENCES INC COMMON STOCK CUSIP: 40145Q203 Symbol(Box 1a): GHSI							
01/19/2021	1,293.00	994.01	01/19/2021	999.49	1.01 D	-4.47	Sale
02/11/2021	119.00	153.62	02/09/2021	127.84	0.00	25.78	Sale
02/19/2021	119.00	123.74	02/09/2021	127.83	0.00	-4.09	Sale
Security Totals:		1,271.37		1,255.16		17.22	
JAGUAR HEALTH INC COMMON STOCK CUSIP: 47010C409 Symbol(Box 1a): JAGX							
01/04/2021	940.00	1,279.29	Various	1,434.52	36.89 D	-118.34	Sale
01/08/2021	51.00	208.12	01/08/2021	215.37	0.00	-7.25	Sale
01/08/2021	105.00	367.48	Various	376.45	0.00	-8.97	Sale

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APEX CLEARING

Proceeds from Broker and Barter Exchange Transactions

2021 Form 1099-B*

5NA77394

(continued)

01/31/2022

OMB No. 1545-0715

SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

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

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

Date Sold or Disposed (Box 1c)	Quantity	Proceeds (Box 1d)	Date Acquired (Box 1b)	Cost or Other Basis (Box 1e)	Accrued Market Discount (M)(Box 1f) & Wash Sale Loss Disallowed (D)(Box 1g)	Gain or Loss(-)	Additional Notes
JAGUAR HEALTH INC COMMON STOCK CUSIP: 47010C409 Symbol(Box 1a): JAGX							
01/12/2021	32.00	104.62	01/11/2021	122.34	0.00	-17.72	Sale
01/13/2021	81.00	310.21	Various	346.26	0.00	-36.05	Sale
01/25/2021	194.00	661.50	Various	691.12	29.62 D	0.00	Sale
02/22/2021	22.00	58.50	02/19/2021	67.56	0.00	-9.06	Sale
02/22/2021	43.00	118.28	Various	132.12	4.88 D	-8.96	Sale
02/24/2021	72.00	172.78	Various	198.29	23.04 D	-2.47	Sale
07/19/2021	178.00	265.19	Various	375.81	0.00	-110.62	Sale
Security Totals:		3,545.97		3,959.84		-319.44	
CALL RIOT 02/19/21 28.50 RIOT BLOCKCHAIN INC CUSIP: Symbol(Box 1a): RIOT210219C00028500							
02/08/2021	1.00	469.89	02/08/2021	355.08	0.00	114.81	Sell to Close
CALL TRXC 01/15/21 1 TRANSENERIX INC CUSIP: Symbol(Box 1a): TRXC210115C00001000							
01/08/2021	5.00	99.58	01/08/2021	50.41	0.00	49.17	Sell to Close
01/08/2021	5.00	80.58	01/08/2021	50.40	0.00	30.18	Sell to Close
Security Totals:		180.16		100.81		79.35	
MICROSOFT CORP CUSIP: 594918104 Symbol(Box 1a): MSFT							
01/26/2021	11.00	2,667.54	01/26/2021	2,684.99	0.00	-17.45	Sale
01/26/2021	10.00	2,464.83	01/26/2021	2,440.90	0.00	23.93	Sale
01/26/2021	17.00	4,130.24	01/26/2021	4,116.55	0.00	13.69	Sale
01/26/2021	34.00	8,278.46	01/26/2021	8,233.10	0.00	45.36	Sale
01/26/2021	61.00	14,938.55	Various	14,854.56	0.00	83.99	Sale
Security Totals:		32,479.62		32,330.10		149.52	

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APEX CLEARING

Proceeds from Broker and Barter Exchange Transactions

2021 Form 1099-B*

5NA77394

(continued)

01/31/2022

OMB No. 1545-0715

SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

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CALL CLNE 01/15/21 9 CLEAN ENERGY FUELS CORP CUSIP: Symbol(Box 1a): CLNE210115C00009000							
01/04/2021	1.00	34.90	12/28/2020	105.08	70.18 D	0.00	Sell to Close
01/05/2021	3.00	194.74	Various	295.42	0.00	-100.68	Sell to Close
Security Totals:		229.64		400.50		-100.68	
AEHR TEST SYSTEMS CUSIP: 00760J108 Symbol(Box 1a): AEHR							
02/22/2021	101.00	315.10	02/22/2021	348.45	0.00	-33.35	Sale
***MEIWU TECHNOLOGY COMPANY LIMITED ORDINARY SHARES CUSIP: G9604C107 Symbol(Box 1a): WNW							
02/12/2021	3.00	84.25	02/12/2021	94.53	0.00	-10.28	Sale
CALL FUBO 01/29/21 45 FUBOTV INC CUSIP: Symbol(Box 1a): FUBO210129C00045000							
01/15/2021	1.00	159.90	01/14/2021	210.08	0.00	-50.18	Sell to Close
CALL EBON 02/19/21 10 EBANG INTERNATIONAL HLDNGS INC CUSIP: Symbol(Box 1a): EBON210219C00010000							
02/17/2021	1.00	154.90	02/17/2021	155.08	0.00	-0.18	Sell to Close
SENSEONICS HOLDINGS INC COMMON STOCK \$0.001 PAR VALUE CUSIP: 81727U105 Symbol(Box 1a): SENS							
01/19/2021	40.00	119.98	01/19/2021	124.00	4.02 D	0.00	Sale
01/19/2021	120.00	365.98	01/19/2021	372.00	6.02 D	0.00	Sale
01/22/2021	94.00	239.68	01/22/2021	252.88	13.2 D	0.00	Sale
01/25/2021	118.00	343.36	Various	361.90	7.12 D	-11.42	Sale
02/08/2021	66.00	226.36	Various	206.89	0.00	19.47	Sale
02/24/2021	32.00	125.10	Various	150.00	0.00	-24.90	Sale
Security Totals:		1,420.46		1,467.67		-16.85	
QUANTUMSCAPE CORPORATION CLASS A COMMON STOCK CUSIP: 74767V109 Symbol(Box 1a): QS							
01/05/2021	15.00	786.87	01/05/2021	831.17	0.00	-44.30	Sale

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2021 Form 1099-B*

5NA77394

(continued)

01/31/2022

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SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

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QUANTUMSCAPE CORPORATION CLASS A COMMON STOCK CUSIP: 74767V109 Symbol(Box 1a): QS							
01/05/2021	15.00	802.75	01/05/2021	831.18	0.00	-28.43	Sale
01/07/2021	3.00	204.37	Various	200.95	0.00	3.42	Sale
01/07/2021	11.00	767.22	01/06/2021	739.56	0.00	27.66	Sale
01/12/2021	1.00	53.88	01/06/2021	66.48	0.00	-12.60	Sale
02/16/2021	17.00	944.65	02/16/2021	954.21	0.00	-9.56	Sale
07/19/2021	2.00	46.04	03/29/2021	85.50	0.00	-39.46	Sale
Security Totals:		3,605.78		3,709.05		-103.27	
CALL NXTD 02/19/21 7.50 NXT ID INC CUSIP: Symbol(Box 1a): NXTD210219C00007500							
02/17/2021	2.00	9.82	02/17/2021	10.16	0.00	-0.34	Sell to Close
02/17/2021	4.00	19.66	02/17/2021	20.33	0.00	-0.67	Sell to Close
02/17/2021	4.00	19.66	02/17/2021	20.32	0.00	-0.66	Sell to Close
Security Totals:		49.14		50.81		-1.67	
CASTLIGHT HEALTH INC CL B CUSIP: 14862Q100 Symbol(Box 1a): CSLT							
02/01/2021	140.00	243.57	02/01/2021	250.60	0.00	-7.03	Sale
02/01/2021	140.00	251.97	02/01/2021	250.60	0.00	1.37	Sale
Security Totals:		495.54		501.20		-5.66	
CALL FUBO 01/15/21 40 FUBOTV INC CUSIP: Symbol(Box 1a): FUBO210115C00040000							
01/13/2021	1.00	282.90	01/12/2021	191.44	0.00	91.46	Sell to Close

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2021 Form 1099-B*

5NA77394

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01/31/2022

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SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

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01/13/2021	1.00	224.90	01/12/2021	154.08	0.00	70.82	Sell to Close
Security Totals:		507.80		345.52		162.28	
CALL BA 03/19/21	237.50	BOEING CO CUSIP: Symbol(Box 1a): BA210319C00237500					
03/03/2021	1.00	544.90	03/03/2021	595.08	0.00	-50.18	Sell to Close
CALL RIOT 02/12/21	47	RIOT BLOCKCHAIN INC CUSIP: Symbol(Box 1a): RIOT210212C00047000					
02/12/2021	1.00	129.90	02/12/2021	144.08	0.00	-14.18	Sell to Close
02/12/2021	1.00	117.90	02/12/2021	144.08	0.00	-26.18	Sell to Close
02/12/2021	1.00	110.90	02/12/2021	144.08	0.00	-33.18	Sell to Close
Security Totals:		358.70		432.24		-73.54	
CALL BBY 01/29/21	60	BED BATH & BEYOND INC CUSIP: Symbol(Box 1a): BBY210129C00060000					
01/27/2021	1.00	604.89	01/27/2021	725.08	0.00	-120.19	Sell to Close
***ALBERTON ACQUISITION CORPORATION ORDINARY SHARES CUSIP: G35006108 Symbol(Box 1a): ALAC							
01/06/2021	34.00	487.53	01/05/2021	486.54	0.00	0.99	Sale
01/06/2021	35.00	502.92	01/05/2021	500.85	0.00	2.07	Sale
Security Totals:		990.45		987.39		3.06	
CALL LAZR 02/26/21	35	LUMINAR TECHNOLOGIES INC CL A CUSIP: Symbol(Box 1a): LAZR210226C00035000					
02/19/2021	1.00	182.90	02/19/2021	265.08	0.00	-82.18	Sell to Close
CALL TRXC 01/15/21	2	TRANSENTERIX INC CUSIP: Symbol(Box 1a): TRXC210115C00002000					
01/14/2021	3.00	44.74	01/14/2021	60.73	0.00	-15.99	Sell to Close
01/14/2021	5.00	49.58	01/14/2021	100.40	30.49 D	-20.33	Sell to Close
Security Totals:		94.32		161.13		-36.32	

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APEX CLEARING

Proceeds from Broker and Barter Exchange Transactions

2021 Form 1099-B*

5NA77394

(continued)

01/31/2022

OMB No. 1545-0715

SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

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

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

Box 5: Box Not Checked (Covered Security)

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

Box 12: Basis Reported to the IRS

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

Date Sold or Disposed (Box 1c)	Quantity	Proceeds (Box 1d)	Date Acquired (Box 1b)	Cost or Other Basis (Box 1e)	Accrued Market Discount (M)(Box 1f) & Wash Sale Loss Disallowed (D)(Box 1g)	Gain or Loss(-)	Additional Notes
G1 THERAPEUTICS INC COMMON STOCK CUSIP: 3621LQ109 Symbol(Box 1a): GTHX							
02/12/2021	90.00	3,301.91	Various	3,336.48	24.29 D	-10.28	Sale
02/16/2021	4.00	159.90	02/12/2021	143.05	0.00	16.85	Sale
02/16/2021	8.00	339.42	Various	291.91	0.00	47.51	Sale
02/16/2021	5.00	173.53	02/12/2021	178.81	0.00	-5.28	Sale
02/16/2021	16.00	655.17	02/12/2021	603.20	0.00	51.97	Sale
02/16/2021	11.00	417.98	02/12/2021	414.70	0.00	3.28	Sale
02/22/2021	10.00	258.98	02/16/2021	296.92	0.00	-37.94	Sale
Security Totals:		5,306.89		5,265.07		66.11	
AILERON THERAPEUTICS INC COMMON STOCK CUSIP: 00887A105 Symbol(Box 1a): ALRN							
02/17/2021	99.00	194.02	02/12/2021	200.48	0.00	-6.46	Sale
TWITTER INC CUSIP: 90184L102 Symbol(Box 1a): TWTR							
01/26/2021	28.00	1,416.75	Various	1,434.04	17.29 D	0.00	Sale
01/26/2021	5.00	253.08	01/26/2021	258.43	5.35 D	0.00	Sale
01/27/2021	5.00	244.33	01/26/2021	258.42	14.09 D	0.00	Sale
02/08/2021	51.00	2,996.98	Various	3,028.01	31.03 D	0.00	Sale
02/09/2021	32.00	1,984.90	Various	1,990.22	0.00	-5.32	Sale
02/09/2021	24.00	1,490.35	02/09/2021	1,491.00	0.00	-0.65	Sale
02/09/2021	194.00	12,062.63	Various	12,064.42	2.21 D	0.42	Sale
02/10/2021	9.00	581.73	02/09/2021	559.12	0.00	22.61	Sale
Security Totals:		21,030.75		21,083.66		17.06	

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APEX CLEARING

Proceeds from Broker and Barter Exchange Transactions

2021 Form 1099-B*

5NA77394

(continued)

01/31/2022

OMB No. 1545-0715

SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

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

Date Sold or Disposed (Box 1c)	Quantity	Proceeds (Box 1d)	Date Acquired (Box 1b)	Cost or Other Basis (Box 1e)	Accrued Market Discount (M)(Box 1f) & Wash Sale Loss Disallowed (D)(Box 1g)	Gain or Loss(-)	Additional Notes
***CASTOR MARITIME INC COMMON STOCK CUSIP: Y1146L109 Symbol(Box 1a): CTRM							
01/11/2021	283.00	67.85	01/11/2021	80.75	12.9 D	0.00	Sale
01/20/2021	794.00	253.98	Various	307.37	53.39 D	0.00	Sale
01/20/2021	1,059.00	352.08	Various	400.00	47.92 D	0.00	Sale
01/21/2021	265.00	105.24	Various	110.42	5.18 D	0.00	Sale
01/21/2021	7,511.00	3,078.75	Various	3,166.84	94.85 D	6.76	Sale
01/21/2021	7,466.00	3,134.76	Various	3,199.36	66.05 D	1.45	Sale
01/22/2021	6,300.00	2,459.34	Various	2,552.18	92.84 D	0.00	Sale
01/27/2021	358.00	159.05	01/27/2021	174.75	15.7 D	0.00	Sale
01/27/2021	715.00	493.24	Various	565.97	72.73 D	0.00	Sale
01/27/2021	808.00	557.40	Various	530.78	0.00	26.62	Sale
01/27/2021	1,411.00	847.26	Various	1,108.75	261.49 D	0.00	Sale
01/27/2021	1,431.00	1,022.97	Various	1,060.83	69.01 D	31.15	Sale
01/27/2021	1,616.00	1,114.82	01/27/2021	901.51	0.00	213.31	Sale
01/27/2021	2,166.00	1,064.30	Various	1,173.40	110.26 D	1.16	Sale
01/27/2021	1,740.00	960.24	Various	907.89	0.27 D	52.62	Sale
01/28/2021	203.00	116.61	Various	236.28	119.67 D	0.00	Sale
01/28/2021	203.00	195.09	Various	212.73	17.64 D	0.00	Sale
01/28/2021	261.00	224.79	Various	267.57	42.78 D	0.00	Sale
01/28/2021	421.00	286.26	Various	386.06	99.80 D	0.00	Sale
01/28/2021	853.00	647.90	Various	632.87	4.1 D	19.13	Sale
01/28/2021	427.00	311.18	Various	347.86	36.68 D	0.00	Sale
01/28/2021	476.00	412.53	Various	436.23	23.70 D	0.00	Sale
01/28/2021	475.00	421.73	Various	482.42	60.69 D	0.00	Sale
01/28/2021	892.00	797.32	Various	844.20	77.94 D	31.06	Sale
01/28/2021	951.00	890.96	Various	923.40	46.34 D	13.90	Sale

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APEX CLEARING

Proceeds from Broker and Barter Exchange Transactions

2021 Form 1099-B*

5NA77394

(continued)

01/31/2022

OMB No. 1545-0715

SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

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

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

Date Sold or Disposed (Box 1c)	Quantity	Proceeds (Box 1d)	Date Acquired (Box 1b)	Cost or Other Basis (Box 1e)	Accrued Market Discount (M)(Box 1f) & Wash Sale Loss Disallowed (D)(Box 1g)	Gain or Loss(-)	Additional Notes
***CASTOR MARITIME INC COMMON STOCK CUSIP: Y1146L109 Symbol(Box 1a): CTRM							
01/29/2021	255.00	169.54	Various	193.30	23.76 D	0.00	Sale
01/29/2021	208.00	143.53	Various	159.34	15.81 D	0.00	Sale
01/29/2021	369.00	262.31	Various	393.80	131.51 D	0.02	Sale
01/29/2021	670.00	410.69	Various	576.32	165.63 D	0.00	Sale
02/10/2021	180.00	201.57	Various	260.89	59.32 D	0.00	Sale
02/11/2021	142.00	227.17	Various	292.52	12.81 D	-52.54	Sale
02/16/2021	200.00	271.97	Various	409.93	0.00	-137.96	Sale
02/17/2021	100.00	118.09	Various	164.06	0.00	-45.97	Sale
02/22/2021	168.00	211.65	Various	277.43	0.00	-65.78	Sale
02/23/2021	84.00	90.70	Various	121.98	31.28 D	0.00	Sale
02/24/2021	252.00	292.28	Various	365.19	11.70 D	-61.21	Sale
Security Totals:		22,375.15		24,225.18		33.72	
ROCKET COMPANIES INC CLASS A COMMON STOCK CUSIP: 77311W101 Symbol(Box 1a): RKT							
03/02/2021	3.00	109.03	03/02/2021	111.54	2.51 D	0.00	Sale
03/02/2021	4.00	147.78	03/02/2021	148.72	0.94 D	0.00	Sale
03/02/2021	6.00	219.46	03/02/2021	223.08	3.62 D	0.00	Sale
03/02/2021	14.00	560.82	Various	572.09	11.27 D	0.00	Sale
03/02/2021	19.00	786.20	03/02/2021	777.06	0.00	9.14	Sale
03/02/2021	19.00	770.05	03/02/2021	745.36	0.00	24.69	Sale
03/02/2021	27.00	977.11	Various	1,039.48	0.00	-62.37	Sale
03/02/2021	30.00	1,169.38	03/02/2021	1,135.94	0.00	33.44	Sale
03/02/2021	39.00	1,515.46	Various	1,483.79	0.00	31.67	Sale

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APEX CLEARING

Proceeds from Broker and Barter Exchange Transactions

2021 Form 1099-B*

5NA77394

(continued)

01/31/2022

OMB No. 1545-0715

SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

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

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

Date Sold or Disposed (Box 1c)	Quantity	Proceeds (Box 1d)	Date Acquired (Box 1b)	Cost or Other Basis (Box 1e)	Accrued Market Discount (M)(Box 1f) & Wash Sale Loss Disallowed (D)(Box 1g)	Gain or Loss(-)	Additional Notes
ROCKET COMPANIES INC CLASS A COMMON STOCK CUSIP: 77311W101 Symbol(Box 1a): RKT							
03/02/2021	37.00	1,516.98	03/02/2021	1,513.22	0.00	3.76	Sale
03/02/2021	45.00	1,763.08	03/02/2021	1,703.91	0.00	59.17	Sale
03/02/2021	53.00	2,225.44	Various	2,270.67	0.00	-45.23	Sale
03/02/2021	75.00	3,074.97	03/02/2021	3,067.35	0.00	7.62	Sale
03/02/2021	164.00	5,895.74	Various	6,135.28	239.54 D	0.00	Sale
03/02/2021	162.00	6,136.35	Various	6,216.67	80.32 D	0.00	Sale
03/02/2021	167.00	6,137.19	Various	6,293.29	132.81 D	-23.29	Sale
03/02/2021	188.00	7,401.50	Various	7,368.14	34.37 D	67.73	Sale
03/04/2021	9.00	253.25	03/03/2021	265.61	0.00	-12.36	Sale
03/04/2021	25.00	680.27	03/03/2021	737.82	0.00	-57.55	Sale
Security Totals:		41,340.06		41,809.02		36.42	
HEAT BIOLOGICS INC COMMON STOCK CUSIP: 42237K409 Symbol(Box 1a): HTBX							
02/09/2021	21.00	272.56	02/09/2021	290.64	0.00	-18.08	Sale
***FUSION FUEL GREEN PLC CLASS A ORDINARY SHARES CUSIP: G3R25D118 Symbol(Box 1a): HTOO							
01/21/2021	42.00	939.92	01/21/2021	980.70	0.00	-40.78	Sale
FISKER INC CLASS A COMMON STOCK CUSIP: 33813J106 Symbol(Box 1a): FSR							
02/12/2021	18.00	334.78	02/12/2021	331.92	0.00	2.86	Sale
02/12/2021	54.00	989.78	Various	956.34	3.99 D	37.43	Sale
02/24/2021	43.00	933.94	Various	982.24	0.00	-48.30	Sale
Security Totals:		2,258.50		2,270.50		-8.01	
CALL BFT 01/15/21 15 FOLEY TRASIMENE ACQSTN CRP II CUSIP: Symbol(Box 1a): BFT210115C00015000							
01/12/2021	1.00	69.90	01/11/2021	110.08	0.00	-40.18	Sell to Close

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Proceeds from Broker and Barter Exchange Transactions

2021 Form 1099-B*

5NA77394

(continued)

01/31/2022

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SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

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

Date Sold or Disposed (Box 1c)	Quantity	Proceeds (Box 1d)	Date Acquired (Box 1b)	Cost or Other Basis (Box 1e)	Accrued Market Discount (M)(Box 1f) & Wash Sale Loss Disallowed (D)(Box 1g)	Gain or Loss(-)	Additional Notes
CALL FUBO 01/29/21 65 FUBOTV INC CUSIP: Symbol(Box 1a): FUBO210129C00065000							
01/27/2021	1.00	289.90	01/27/2021	300.08	0.00	-10.18	Sell to Close
CALL ARKG 02/19/21 124.21 ARK GENOMIC REVOLUTION ETF ADJ CASH DISTRIBUTION CUSIP: Symbol(Box 1a): ARKG210219C00124210							
01/15/2021	1.00	272.90	01/15/2021	299.08	0.00	-26.18	Sell to Close
CALL PLTR 02/05/21 25 PALANTIR TECHNOLOGIES INC CL A CUSIP: Symbol(Box 1a): PLTR210205C00025000							
01/13/2021	1.00	374.90	01/07/2021	225.08	0.00	149.82	Sell to Close
01/13/2021	1.00	314.90	01/08/2021	234.08	0.00	80.82	Sell to Close
Security Totals:		689.80		459.16		230.64	
CALL RIOT 02/19/21 58 RIOT BLOCKCHAIN INC CUSIP: Symbol(Box 1a): RIOT210219C00058000							
02/16/2021	1.00	684.89	02/16/2021	616.08	0.00	68.81	Sell to Close
CALL AAPL 06/18/21 200 APPLE INC ADJ 4:1 STOCK SPLIT CUSIP: Symbol(Box 1a): AAPL210618C00200000							
01/06/2021	1.00	96.90	01/05/2021	179.26	0.00	-82.36	Sell to Close
01/06/2021	1.00	97.90	12/30/2020	154.08	56.18 D	0.00	Sell to Close
Security Totals:		194.80		333.34		-82.36	
***PERIDOT ACQUISITION CORP CLASS A ORDINARY SHARES CUSIP: G7008A115 Symbol(Box 1a): PDAC							
01/19/2021	16.00	181.62	01/19/2021	191.52	0.00	-9.90	Sale
CASSAVA SCIENCES INC COMMON STOCK CUSIP: 14817C107 Symbol(Box 1a): SAVA							
01/13/2021	30.00	335.08	01/13/2021	338.70	0.97 D	-2.65	Sale
02/02/2021	8.00	489.01	02/02/2021	476.97	0.00	12.04	Sale
Security Totals:		824.09		815.67		9.39	
CALL DGLY 01/15/21 3.50 DIGITAL ALLY INC CUSIP: Symbol(Box 1a): DGLY210115C00003500							
01/06/2021	1.00	84.90	01/06/2021	67.58	0.00	17.32	Sell to Close

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APEX CLEARING

Proceeds from Broker and Barter Exchange Transactions

2021 Form 1099-B*

5NA77394

(continued)

01/31/2022

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SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

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

Date Sold or Disposed (Box 1c)	Quantity	Proceeds (Box 1d)	Date Acquired (Box 1b)	Cost or Other Basis (Box 1e)	Accrued Market Discount (M)(Box 1f) & Wash Sale Loss Disallowed (D)(Box 1g)	Gain or Loss(-)	Additional Notes
CALL DGLY 01/15/21 3.50 DIGITAL ALLY INC CUSIP: Symbol(Box 1a): DGLY210115C00003500							
01/06/2021	1.00	79.90	01/06/2021	67.58	0.00	12.32	Sell to Close
01/12/2021	10.00	99.16	01/11/2021	250.81	90.99 D	-60.66	Sell to Close
01/15/2021	6.00	0.00	01/12/2021	181.47	0.00	-181.47	Expiration
Security Totals:		263.96		567.44		-212.49	
CALL TDOC 03/19/21 202.50 TELADOC HEALTH INC CUSIP: Symbol(Box 1a): TDOC210319C00202500							
03/11/2021	1.00	529.90	03/11/2021	325.08	0.00	204.82	Sell to Close
***NAKED BRAND GROUP LIMITED ORDINARY SHARES CUSIP: Q6519T117 Symbol(Box 1a): NAKD							
01/05/2021	360.00	113.48	Various	122.32	8.84 D	0.00	Sale
01/05/2021	1,080.00	358.53	Various	385.67	27.14 D	0.00	Sale
01/05/2021	623.00	221.09	01/05/2021	190.83	0.00	30.26	Sale
01/05/2021	1,867.00	625.02	01/05/2021	571.86	0.00	53.16	Sale
01/05/2021	2,489.00	788.69	Various	769.71	0.04 D	19.02	Sale
01/05/2021	4,979.00	1,536.79	Various	1,545.31	15.52 D	7.00	Sale
01/06/2021	2,130.00	730.53	Various	782.46	52.43 D	0.50	Sale
01/12/2021	468.00	243.85	Various	293.13	49.28 D	0.00	Sale
01/21/2021	652.00	315.54	Various	431.12	115.58 D	0.00	Sale
01/21/2021	653.00	317.20	Various	370.72	53.52 D	0.00	Sale
01/27/2021	26.00	38.98	Various	79.03	40.05 D	0.00	Sale
01/27/2021	77.00	214.81	01/27/2021	234.83	20.02 D	0.00	Sale
01/27/2021	99.00	285.10	Various	339.39	54.29 D	0.00	Sale
01/27/2021	104.00	330.70	Various	250.27	0.00	80.43	Sale
01/27/2021	181.00	501.33	Various	570.42	69.09 D	0.00	Sale
01/27/2021	199.00	638.75	Various	576.36	21.36 D	83.75	Sale

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2021 Form 1099-B*

5NA77394

(continued)

01/31/2022

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SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

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

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

Date Sold or Disposed (Box 1c)	Quantity	Proceeds (Box 1d)	Date Acquired (Box 1b)	Cost or Other Basis (Box 1e)	Accrued Market Discount (M)(Box 1f) & Wash Sale Loss Disallowed (D)(Box 1g)	Gain or Loss(-)	Additional Notes
***NAKED BRAND GROUP LIMITED ORDINARY SHARES CUSIP: Q6519T117 Symbol(Box 1a): NAKD							
01/27/2021	184.00	257.57	01/27/2021	299.71	42.14 D	0.00	Sale
01/27/2021	208.00	532.44	01/27/2021	501.05	0.00	31.39	Sale
01/27/2021	307.00	884.10	Various	944.39	60.29 D	0.00	Sale
01/27/2021	362.00	430.73	01/27/2021	306.39	0.00	124.34	Sale
01/27/2021	362.00	329.12	01/27/2021	306.39	0.00	22.73	Sale
01/27/2021	424.00	328.50	01/27/2021	364.51	36.01 D	0.00	Sale
01/27/2021	582.00	426.64	01/27/2021	349.78	0.00	76.86	Sale
01/27/2021	582.00	421.87	01/27/2021	349.77	0.00	72.10	Sale
01/27/2021	723.00	595.21	Various	596.66	9.00 D	7.55	Sale
01/27/2021	802.00	515.81	Various	667.09	151.28 D	0.00	Sale
01/27/2021	1,163.00	681.13	01/27/2021	686.17	5.04 D	0.00	Sale
01/27/2021	849.00	689.01	01/27/2021	729.89	40.88 D	0.00	Sale
01/27/2021	5,094.00	4,132.56	Various	4,452.58	320.02 D	0.00	Sale
01/27/2021	1,238.00	441.81	Various	722.14	280.33 D	0.00	Sale
01/27/2021	10,217.00	6,024.38	Various	6,049.42	76.10 D	51.06	Sale
01/27/2021	10,504.00	6,264.99	Various	6,381.05	123.55 D	7.49	Sale
01/27/2021	11,226.00	6,397.33	Various	6,229.80	107.05 D	274.58	Sale
01/28/2021	33.00	86.11	01/28/2021	98.95	12.84 D	0.00	Sale
01/28/2021	62.00	158.08	Various	154.15	0.07 D	4.00	Sale

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APEX CLEARING

Proceeds from Broker and Barter Exchange Transactions

2021 Form 1099-B*

5NA77394

(continued)

01/31/2022

OMB No. 1545-0715

SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

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

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

Box 5: Box Not Checked (Covered Security)

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

Box 12: Basis Reported to the IRS

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

Date Sold or Disposed (Box 1c)	Quantity	Proceeds (Box 1d)	Date Acquired (Box 1b)	Cost or Other Basis (Box 1e)	Accrued Market Discount (M)(Box 1f) & Wash Sale Loss Disallowed (D)(Box 1g)	Gain or Loss(-)	Additional Notes
***NAKED BRAND GROUP LIMITED ORDINARY SHARES CUSIP: Q6519T117 Symbol(Box 1a): NAKD							
01/28/2021	78.00	197.32	01/27/2021	181.44	0.00	15.88	Sale
01/28/2021	78.00	191.08	Various	187.97	0.00	3.11	Sale
01/28/2021	98.00	290.06	Various	246.04	0.00	44.02	Sale
01/28/2021	99.00	325.69	01/28/2021	263.18	0.00	62.51	Sale
01/28/2021	101.00	291.87	01/28/2021	303.85	11.98 D	0.00	Sale
01/28/2021	543.00	955.59	01/28/2021	1,025.43	69.84 D	0.00	Sale
01/29/2021	290.00	481.35	01/29/2021	512.85	31.5 D	0.00	Sale
02/10/2021	597.00	984.95	Various	1,092.97	108.02 D	0.00	Sale
02/10/2021	796.00	1,329.20	Various	1,483.99	159.17 D	4.38	Sale
02/10/2021	798.00	1,332.54	02/10/2021	1,531.04	198.5 D	0.00	Sale
02/10/2021	1,063.00	1,828.18	Various	1,973.66	145.73 D	0.25	Sale
02/10/2021	5,632.00	8,390.82	Various	9,423.63	1032.81 D	0.00	Sale
02/11/2021	133.00	236.05	02/10/2021	255.18	19.13 D	0.00	Sale
02/11/2021	149.00	281.58	02/11/2021	348.45	66.87 D	0.00	Sale
02/11/2021	150.00	272.97	02/11/2021	350.79	77.82 D	0.00	Sale
02/11/2021	299.00	588.97	Various	643.38	61.22 D	6.81	Sale
02/16/2021	171.00	237.66	02/12/2021	292.17	54.51 D	0.00	Sale
02/17/2021	171.00	222.27	Various	270.38	48.11 D	0.00	Sale
02/22/2021	237.00	279.62	Various	340.95	61.33 D	0.00	Sale
02/24/2021	285.00	376.16	Various	474.78	0.00	-98.62	Sale

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APEX CLEARING

Proceeds from Broker and Barter Exchange Transactions

2021 Form 1099-B*

5NA77394

(continued)

01/31/2022

OMB No. 1545-0715

SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

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

Date Sold or Disposed (Box 1c)	Quantity	Proceeds (Box 1d)	Date Acquired (Box 1b)	Cost or Other Basis (Box 1e)	Accrued Market Discount (M)(Box 1f) & Wash Sale Loss Disallowed (D)(Box 1g)	Gain or Loss(-)	Additional Notes
***NAKED BRAND GROUP LIMITED ORDINARY SHARES CUSIP: Q6519T117 Symbol(Box 1a): NAKD							
02/24/2021	535.00	711.48	Various	872.75	0.00	-161.27	Sale
02/24/2021	3,291.00	4,343.70	Various	5,247.16	0.00	-903.46	Sale
02/24/2021	3,454.00	4,524.30	Various	5,353.85	407.87 D	-421.68	Sale
02/25/2021	316.00	413.91	02/25/2021	508.26	0.00	-94.35	Sale
02/25/2021	946.00	1,267.52	Various	1,528.77	0.00	-261.25	Sale
07/22/2021	103.00	57.66	Various	124.87	0.00	-67.21	Sale
Security Totals:		67,270.28		72,541.11		-924.66	
CALL RIOT 02/19/21 59 RIOT BLOCKCHAIN INC CUSIP: Symbol(Box 1a): RIOT210219C00059000							
02/16/2021	1.00	509.89	02/16/2021	555.08	0.00	-45.19	Sell to Close
CALL IPOE 02/19/21 30 SOCIAL CPTL HEDOSOPHIA HLDNGS CUSIP: Symbol(Box 1a): IPOE210219C00030000							
01/29/2021	1.00	229.90	01/29/2021	240.08	0.00	-10.18	Sell to Close
CALL PSAC 02/19/21 15 PROPERTY SOLUTIONS ACQSTNCORP CUSIP: Symbol(Box 1a): PSAC210219C00015000							
01/28/2021	1.00	289.90	01/28/2021	310.08	0.00	-20.18	Sell to Close
CALL FCEL 02/19/21 20 FUELCELL ENERGY INC CUSIP: Symbol(Box 1a): FCEL210219C00020000							
01/12/2021	1.00	336.90	01/12/2021	264.08	0.00	72.82	Sell to Close
CALL IPOE 02/19/21 25 SOCIAL CPTL HEDOSOPHIA HLDNGS CUSIP: Symbol(Box 1a): IPOE210219C00025000							
01/29/2021	1.00	359.90	01/29/2021	189.08	0.00	170.82	Sell to Close
02/02/2021	1.00	258.90	02/02/2021	255.08	0.00	3.82	Sell to Close
Security Totals:		618.80		444.16		174.64	
SPDR S&P 500 ETF TRUST CUSIP: 78462F103 Symbol(Box 1a): SPY							
01/25/2021	18.00	6,831.73	01/25/2021	6,833.32	0.00	-1.59	Sale

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APEX CLEARING

Proceeds from Broker and Barter Exchange Transactions

2021 Form 1099-B*

5NA77394

(continued)

01/31/2022

OMB No. 1545-0715

SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

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

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

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

Date Sold or Disposed (Box 1c)	Quantity	Proceeds (Box 1d)	Date Acquired (Box 1b)	Cost or Other Basis (Box 1e)	Accrued Market Discount (M)(Box 1f) & Wash Sale Loss Disallowed (D)(Box 1g)	Gain or Loss(-)	Additional Notes
PUT RIOT 02/26/21 50 RIOT BLOCKCHAIN INC CUSIP: Symbol(Box 1a): RIOT210226P00050000							
02/18/2021	1.00	354.90	02/18/2021	382.08	27.18 D	0.00	Sell to Close
02/22/2021	2.00	237.82	Various	408.34	0.00	-170.52	Sell to Close
Security Totals:		592.72		790.42		-170.52	
PUT GME 03/05/21 20 GAMESTOP CORP CUSIP: Symbol(Box 1a): GME210305P00020000							
02/03/2021	1.00	206.90	02/02/2021	272.08	0.00	-65.18	Sell to Close
CALL DKNG 02/19/21 64 DRAFTKINGS INC CL A CUSIP: Symbol(Box 1a): DKNG210219C00064000							
02/09/2021	1.00	164.90	02/09/2021	215.08	0.00	-50.18	Sell to Close
CALL AMD 01/29/21 97.50 ADVANCED MICRO DEVICES INC CUSIP: Symbol(Box 1a): AMD210129C00097500							
01/15/2021	1.00	174.91	01/15/2021	196.08	0.00	-21.17	Sell to Close
PUT RIOT 02/19/21 60 RIOT BLOCKCHAIN INC CUSIP: Symbol(Box 1a): RIOT210219P00060000							
02/18/2021	1.00	185.90	02/18/2021	270.08	0.00	-84.18	Sell to Close
02/18/2021	1.00	263.90	02/18/2021	270.08	0.00	-6.18	Sell to Close
Security Totals:		449.80		540.16		-90.36	
CALL RIOT 02/19/21 60 RIOT BLOCKCHAIN INC CUSIP: Symbol(Box 1a): RIOT210219C00060000							
02/11/2021	1.00	289.90	02/11/2021	310.08	20.18 D	0.00	Sell to Close
02/12/2021	1.00	349.90	02/12/2021	390.26	40.36 D	0.00	Sell to Close
02/12/2021	1.00	354.90	02/12/2021	415.44	0.00	-60.54	Sell to Close
Security Totals:		994.70		1,115.78		-60.54	
CALL KNDI 02/19/21 10 KANDI TECHNOLOGIES CORP CUSIP: Symbol(Box 1a): KNDI210219C00010000							
01/15/2021	1.00	50.90	01/11/2021	86.08	35.18 D	0.00	Sell to Close

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APEX CLEARING

Proceeds from Broker and Barter Exchange Transactions

2021 Form 1099-B*

5NA77394

(continued)

01/31/2022

OMB No. 1545-0715

SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

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

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CALL KNDI 02/19/21 10 KANDI TECHNOLOGIES CORP CUSIP: Symbol(Box 1a): KNDI210219C00010000							
01/15/2021	1.00	50.91	01/12/2021	115.26	0.00	-64.35	Sell to Close
Security Totals:		101.81		201.34		-64.35	
GEVO INC COMMON STOCK CUSIP: 374396406 Symbol(Box 1a): GEVO							
01/07/2021	395.00	1,832.70	Various	1,817.18	40.7 D	56.22	Sale
01/08/2021	71.00	313.17	Various	366.81	53.64 D	0.00	Sale
01/08/2021	141.00	621.93	Various	791.90	169.97 D	0.00	Sale
01/12/2021	44.00	265.74	Various	214.15	0.00	51.59	Sale
01/12/2021	88.00	454.93	Various	450.54	10.98 D	15.37	Sale
01/13/2021	58.00	394.38	Various	317.18	15.96 D	93.16	Sale
01/13/2021	59.00	431.33	Various	482.13	50.80 D	0.00	Sale
01/14/2021	12.00	83.14	01/14/2021	106.64	23.5 D	0.00	Sale
01/14/2021	35.00	241.52	Various	303.31	61.79 D	0.00	Sale
01/19/2021	17.00	188.34	Various	206.05	17.71 D	0.00	Sale
01/19/2021	29.00	302.16	Various	347.00	44.84 D	0.00	Sale
01/19/2021	29.00	298.42	01/19/2021	344.11	45.69 D	0.00	Sale
01/19/2021	123.00	1,327.13	Various	1,307.62	67.47 D	86.98	Sale
01/19/2021	139.00	1,459.44	Various	1,662.77	203.33 D	0.00	Sale
01/19/2021	218.00	2,301.99	Various	2,556.37	254.38 D	0.00	Sale
01/20/2021	127.00	1,126.44	Various	1,262.12	0.00	-135.68	Sale
01/20/2021	180.00	1,582.14	Various	1,751.46	179.19 D	9.87	Sale
01/20/2021	636.00	5,908.22	Various	6,134.73	232.18 D	5.67	Sale
01/20/2021	671.00	6,052.20	Various	6,274.92	222.72 D	0.00	Sale
01/20/2021	516.00	4,685.11	Various	4,811.29	166.41 D	40.23	Sale
01/20/2021	679.00	6,168.50	Various	6,305.77	160.20 D	22.93	Sale
01/21/2021	77.00	722.23	Various	781.60	0.00	-59.37	Sale

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APEX CLEARING

Proceeds from Broker and Barter Exchange Transactions

2021 Form 1099-B*

5NA77394

(continued)

01/31/2022

OMB No. 1545-0715

SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

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GEVO INC COMMON STOCK CUSIP: 374396406 Symbol(Box 1a): GEVO							
01/21/2021	38.00	346.92	01/20/2021	346.59	0.00	0.33	Sale
01/22/2021	7.00	76.98	01/20/2021	63.85	0.00	13.13	Sale
01/22/2021	10.00	109.78	01/20/2021	91.21	0.00	18.57	Sale
01/22/2021	19.00	198.36	01/20/2021	173.29	0.00	25.07	Sale
01/25/2021	25.00	329.48	Various	322.40	5.1 D	12.18	Sale
01/27/2021	19.00	220.57	Various	249.91	29.34 D	0.00	Sale
01/29/2021	39.00	398.56	Various	440.01	5.64 D	-35.81	Sale
02/02/2021	81.00	917.69	02/02/2021	937.24	0.00	-19.55	Sale
02/02/2021	81.00	918.91	Various	927.42	0.00	-8.51	Sale
02/17/2021	14.00	177.50	Various	188.07	0.00	-10.57	Sale
02/17/2021	36.00	481.29	Various	525.33	19.48 D	-24.56	Sale
02/22/2021	35.00	431.53	Various	427.42	0.00	4.11	Sale
02/23/2021	6.00	62.44	02/19/2021	71.71	0.00	-9.27	Sale
02/24/2021	37.00	399.58	Various	443.47	0.00	-43.89	Sale
02/24/2021	13.00	143.89	Various	149.13	0.00	-5.24	Sale
07/22/2021	11.00	70.27	03/09/2021	116.28	0.00	-46.01	Sale
Security Totals:		42,044.91		44,068.98		56.95	
CALL DKNG 03/05/21 70 DRAFTKINGS INC CL A CUSIP: Symbol(Box 1a): DKNG210305C00070000							
02/10/2021	1.00	196.90	02/09/2021	214.08	0.00	-17.18	Sell to Close
PLUG POWER INC CUSIP: 72919P202 Symbol(Box 1a): PLUG							
01/06/2021	6.00	209.57	01/06/2021	212.57	0.00	-3.00	Sale

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2021 Form 1099-B*

5NA77394

(continued)

01/31/2022

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SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

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PLUG POWER INC CUSIP: 72919P202 Symbol(Box 1a): PLUG							
01/06/2021	19.00	660.62	Various	654.59	21.94 D	27.97	Sale
01/06/2021	26.00	1,147.60	Various	1,032.09	0.00	115.51	Sale
01/06/2021	27.00	946.38	01/06/2021	956.54	0.00	-10.16	Sale
01/06/2021	108.00	3,760.46	Various	3,820.32	41.19 D	-18.67	Sale
01/07/2021	13.00	622.28	Various	534.98	0.00	87.30	Sale
01/08/2021	4.00	204.22	01/06/2021	165.35	0.00	38.87	Sale
01/08/2021	9.00	460.86	01/06/2021	372.05	0.00	88.81	Sale
01/12/2021	7.00	497.32	01/12/2021	407.46	0.00	89.86	Sale
01/13/2021	1.00	71.16	01/12/2021	58.21	0.00	12.95	Sale
01/13/2021	3.00	210.79	01/12/2021	174.63	0.00	36.16	Sale
01/13/2021	3.00	196.99	01/12/2021	174.62	0.00	22.37	Sale
02/24/2021	2.00	98.70	02/24/2021	99.50	0.8 D	0.00	Sale
02/24/2021	4.00	194.38	02/24/2021	199.00	4.62 D	0.00	Sale
03/04/2021	6.00	230.56	03/04/2021	244.98	0.00	-14.42	Sale
03/04/2021	18.00	734.07	Various	740.36	5.26 D	-1.03	Sale
07/16/2021	5.00	130.28	Various	170.57	0.00	-40.29	Sale
Security Totals:		10,376.24		10,017.82		432.23	
FORD MOTOR CO PAR \$0.01 CUSIP: 345370860 Symbol(Box 1a): F							
02/02/2021	104.00	1,132.52	Various	1,158.15	25.63 D	0.00	Sale
02/05/2021	26.00	298.46	02/02/2021	288.55	0.00	9.91	Sale

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2021 Form 1099-B*

5NA77394

(continued)

01/31/2022

OMB No. 1545-0715

SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

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

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

Box 5: Box Not Checked (Covered Security)

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

Box 12: Basis Reported to the IRS

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

Date Sold or Disposed (Box 1c)	Quantity	Proceeds (Box 1d)	Date Acquired (Box 1b)	Cost or Other Basis (Box 1e)	Accrued Market Discount (M)(Box 1f) & Wash Sale Loss Disallowed (D)(Box 1g)	Gain or Loss(-)	Additional Notes
FORD MOTOR CO PAR \$0.01 CUSIP: 345370860 Symbol(Box 1a): F							
02/05/2021	26.00	296.38	02/02/2021	288.54	0.00	7.84	Sale
02/05/2021	52.00	601.09	Various	577.82	0.00	23.27	Sale
02/16/2021	21.00	241.90	02/12/2021	240.24	0.00	1.66	Sale
02/17/2021	80.00	930.36	Various	933.18	0.00	-2.82	Sale
02/17/2021	27.00	311.35	02/17/2021	317.25	0.00	-5.90	Sale
Security Totals:		3,812.06		3,803.73		33.96	
CALL DKNG 03/05/21 75 DRAFTKINGS INC CL A CUSIP: Symbol(Box 1a): DKNG210305C00075000							
02/08/2021	1.00	136.90	02/04/2021	200.08	0.00	-63.18	Sell to Close
CALL IGC 01/15/21 2 INDIA GLOBALIZATION CPTL INC CUSIP: Symbol(Box 1a): IGC210115C00002000							
01/04/2021	5.00	54.58	12/23/2020	175.40	0.00	-120.82	Sell to Close
IFRESH INC COMMON STOCK CUSIP: 449538107 Symbol(Box 1a): IFMK							
02/11/2021	53.00	169.98	02/11/2021	214.65	0.00	-44.67	Sale
02/11/2021	123.00	490.74	Various	480.66	0.00	10.08	Sale
Security Totals:		660.72		695.31		-34.59	
CALL AAPL 02/19/21 200 APPLE INC CUSIP: Symbol(Box 1a): AAPL210219C00200000							
01/11/2021	1.00	18.90	12/22/2020	43.08	0.00	-24.18	Sell to Close
01/11/2021	1.00	18.90	12/22/2020	43.08	0.00	-24.18	Sell to Close
Security Totals:		37.80		86.16		-48.36	
CALL DIS 02/12/21 200 WALT DISNEY CO CUSIP: Symbol(Box 1a): DIS210212C00200000							
02/08/2021	1.00	277.90	02/08/2021	285.08	0.00	-7.18	Sell to Close

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APEX CLEARING

Proceeds from Broker and Barter Exchange Transactions

2021 Form 1099-B*

5NA77394

(continued)

01/31/2022

OMB No. 1545-0715

SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

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

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

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MUSCLE MAKER INC COMMON STOCK CUSIP: 627333107 Symbol(Box 1a): GRIL							
02/17/2021	78.00	212.92	02/12/2021	248.82	0.00	-35.90	Sale
CALL KERN 01/15/21 5 AKERNA CORP CUSIP: Symbol(Box 1a): KERN210115C00005000							
01/07/2021	1.00	69.90	01/07/2021	85.08	15.18 D	0.00	Sell to Close
01/07/2021	1.00	54.90	01/07/2021	85.08	0.00	-30.18	Sell to Close
01/07/2021	1.00	69.90	01/07/2021	85.08	0.00	-15.18	Sell to Close
01/07/2021	1.00	54.90	01/07/2021	85.26	0.00	-30.36	Sell to Close
Security Totals:		249.60		340.50		-75.72	
ELECTRO-SENSORS INC CUSIP: 285233102 Symbol(Box 1a): ELSE							
01/26/2021	51.00	297.31	01/25/2021	370.26	0.00	-72.95	Sale
OPENDOOR TECHNOLOGIES INC COMMON STOCK CUSIP: 683712103 Symbol(Box 1a): OPEN							
01/20/2021	3.00	89.68	01/20/2021	91.98	0.00	-2.30	Sale
01/20/2021	9.00	276.02	01/20/2021	275.94	0.00	0.08	Sale
01/20/2021	253.00	7,782.07	Various	7,731.42	0.00	50.65	Sale
Security Totals:		8,147.77		8,099.34		48.43	
PROTALIX BIOTHERAPEUTICS INC COMMON STOCK CUSIP: 74365A309 Symbol(Box 1a): PLX							
02/09/2021	32.00	205.42	02/09/2021	205.12	0.00	0.30	Sale
02/10/2021	241.00	1,520.64	Various	1,582.70	103.68 D	41.62	Sale
02/11/2021	42.00	221.36	Various	266.40	0.00	-45.04	Sale
02/11/2021	85.00	477.01	Various	561.94	6.83 D	-78.10	Sale
02/17/2021	43.00	204.28	02/10/2021	276.07	0.00	-71.79	Sale
Security Totals:		2,628.71		2,892.23		-153.01	

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2021 Form 1099-B*

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(continued)

01/31/2022

OMB No. 1545-0715

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

Date Sold or Disposed (Box 1c)	Quantity	Proceeds (Box 1d)	Date Acquired (Box 1b)	Cost or Other Basis (Box 1e)	Accrued Market Discount (M)(Box 1f) & Wash Sale Loss Disallowed (D)(Box 1g)	Gain or Loss(-)	Additional Notes
FLUENT INC COMMON STOCK CUSIP: 34380C102 Symbol(Box 1a): FLNT							
01/27/2021	34.00	195.14	01/26/2021	199.58	0.00	-4.44	Sale
***SEANERGY MARITIME HOLDINGS CORP COMMON STOCK CUSIP: Y73760194 Symbol(Box 1a): SHIP							
01/21/2021	329.00	325.66	01/21/2021	300.71	0.00	24.95	Sale
01/28/2021	159.00	195.54	01/28/2021	200.34	0.00	-4.80	Sale
Security Totals:		521.20		501.05		20.15	
FUTURE FINTECH GROUP INC COMMON STOCK CUSIP: 36117V105 Symbol(Box 1a): FTFT							
01/08/2021	28.00	213.62	01/08/2021	244.15	0.00	-30.53	Sale
SUNWORKS INC COMMON STOCK CUSIP: 86803X204 Symbol(Box 1a): SUNW							
01/06/2021	62.00	364.48	Various	340.80	0.00	23.68	Sale
01/06/2021	50.00	295.98	Various	288.62	0.24 D	7.60	Sale
01/07/2021	82.00	697.79	Various	563.52	0.00	134.27	Sale
01/08/2021	20.00	172.68	01/07/2021	139.80	0.00	32.88	Sale
01/08/2021	41.00	370.21	Various	287.88	0.00	82.33	Sale
01/12/2021	10.00	104.48	01/07/2021	69.90	0.00	34.58	Sale
01/13/2021	11.00	113.83	01/07/2021	76.89	0.00	36.94	Sale
01/14/2021	23.00	303.81	01/14/2021	296.01	0.00	7.80	Sale
01/20/2021	88.00	1,268.04	01/20/2021	1,253.12	0.00	14.92	Sale
01/20/2021	232.00	3,489.17	Various	3,446.68	16.24 D	58.73	Sale
01/20/2021	89.00	1,331.40	01/20/2021	1,356.36	0.00	-24.96	Sale
01/21/2021	9.00	170.62	01/20/2021	144.37	0.00	26.25	Sale

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Proceeds from Broker and Barter Exchange Transactions

2021 Form 1099-B*

5NA77394

(continued)

01/31/2022

OMB No. 1545-0715

SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

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

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Date Sold or Disposed (Box 1c)	Quantity	Proceeds (Box 1d)	Date Acquired (Box 1b)	Cost or Other Basis (Box 1e)	Accrued Market Discount (M)(Box 1f) & Wash Sale Loss Disallowed (D)(Box 1g)	Gain or Loss(-)	Additional Notes
SUNWORKS INC COMMON STOCK CUSIP: 86803X204 Symbol(Box 1a): SUNW							
01/21/2021	11.00	206.34	01/21/2021	223.09	0.00	-16.75	Sale
01/21/2021	14.00	267.61	01/21/2021	283.92	0.00	-16.31	Sale
01/21/2021	29.00	568.37	Various	549.96	0.00	18.41	Sale
01/25/2021	4.00	94.66	01/21/2021	81.12	0.00	13.54	Sale
02/02/2021	14.00	238.87	02/02/2021	251.31	12.44 D	0.00	Sale
02/24/2021	4.00	47.14	Various	53.27	0.00	-6.13	Sale
02/24/2021	11.00	136.38	02/24/2021	148.92	6.84 D	-5.70	Sale
07/16/2021	6.00	49.78	03/10/2021	93.72	0.00	-43.94	Sale
Security Totals:		10,291.64		9,949.26		378.14	
LUMEN TECHNOLOGIES INC COMMON STOCK CUSIP: 550241103 Symbol(Box 1a): LUMN							
01/26/2021	13.00	194.98	01/26/2021	188.38	0.00	6.60	Sale
01/26/2021	301.00	4,275.97	01/26/2021	4,307.01	1.34 D	-29.70	Sale
Security Totals:		4,470.95		4,495.39		-23.10	
PUT IPOC 01/15/21 12.50 SOCIAL CPTL HDSPH HLDNGS CORP CUSIP: Symbol(Box 1a): IPOC210115P00012500							
01/07/2021	1.00	29.90	01/06/2021	50.08	0.00	-20.18	Sell to Close
01/07/2021	1.00	19.90	01/06/2021	50.08	0.00	-30.18	Sell to Close
Security Totals:		49.80		100.16		-50.36	
MARATHON PATENT GROUP INC COMMON STOCK CUSIP: 56585W401 Symbol(Box 1a): MARA							
01/05/2021	21.00	225.52	Various	307.77	82.25 D	0.00	Sale
01/05/2021	33.00	459.00	Various	389.30	0.00	69.70	Sale

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2021 Form 1099-B*

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(continued)

01/31/2022

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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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MARATHON PATENT GROUP INC COMMON STOCK CUSIP: 56585W401 Symbol(Box 1a): MARA							
01/06/2021	7.00	121.92	01/06/2021	122.49	0.57 D	0.00	Sale
01/06/2021	27.00	380.68	Various	377.64	0.11 D	3.15	Sale
01/06/2021	41.00	705.17	01/06/2021	717.46	12.29 D	0.00	Sale
01/06/2021	165.00	2,927.01	Various	3,335.76	444.43 D	35.68	Sale
01/07/2021	25.00	494.48	Various	525.05	46.53 D	15.96	Sale
01/08/2021	33.00	884.70	Various	981.80	97.10 D	0.00	Sale
01/08/2021	36.00	967.64	Various	1,009.37	100.97 D	59.24	Sale
01/11/2021	6.00	134.44	Various	151.83	17.39 D	0.00	Sale
01/11/2021	22.00	484.19	Various	619.46	135.27 D	0.00	Sale
01/11/2021	40.00	890.37	Various	1,013.55	123.18 D	0.00	Sale
01/14/2021	9.00	227.15	Various	229.86	2.71 D	0.00	Sale
01/14/2021	18.00	459.16	Various	435.45	0.00	23.71	Sale
01/15/2021	11.00	248.74	Various	251.23	11.56 D	9.07	Sale
01/20/2021	8.00	167.50	Various	206.25	38.75 D	0.00	Sale
01/21/2021	18.00	309.40	Various	403.86	94.46 D	0.00	Sale
01/29/2021	10.00	215.88	Various	268.15	52.27 D	0.00	Sale
01/29/2021	10.00	215.58	Various	261.80	46.22 D	0.00	Sale
01/29/2021	19.00	411.52	Various	518.14	106.62 D	0.00	Sale
01/29/2021	23.00	554.27	Various	673.12	118.85 D	0.00	Sale
01/29/2021	31.00	725.06	Various	856.28	131.22 D	0.00	Sale
02/04/2021	14.00	317.37	Various	365.51	48.14 D	0.00	Sale
02/08/2021	33.00	1,009.76	Various	1,118.10	0.00	-108.34	Sale
02/08/2021	99.00	3,060.01	Various	3,557.01	185.83 D	-311.17	Sale
02/12/2021	6.00	231.82	Various	238.50	0.00	-6.68	Sale
02/17/2021	6.00	264.34	Various	247.26	0.00	17.08	Sale
02/17/2021	6.00	296.38	Various	307.73	0.00	-11.35	Sale

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Proceeds from Broker and Barter Exchange Transactions

2021 Form 1099-B*

5NA77394

(continued)

01/31/2022

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MARATHON PATENT GROUP INC COMMON STOCK CUSIP: 56585W401 Symbol(Box 1a): MARA							
02/24/2021	4.00	131.98	Various	157.58	0.00	-25.60	Sale
02/24/2021	31.00	1,009.33	Various	1,271.90	0.00	-262.57	Sale
Security Totals:		18,530.37		20,919.21		-492.12	
AQUA METALS INC COM CUSIP: 03837J101 Symbol(Box 1a): AQMS							
01/04/2021	292.00	1,007.34	Various	1,016.85	44.01 D	34.50	Sale
01/05/2021	303.00	1,036.19	Various	1,158.33	122.14 D	0.00	Sale
01/06/2021	72.00	244.22	01/06/2021	287.62	43.4 D	0.00	Sale
01/06/2021	289.00	999.88	Various	1,132.90	133.02 D	0.00	Sale
01/19/2021	99.00	411.93	Various	392.47	0.00	19.46	Sale
01/19/2021	310.00	1,466.22	Various	1,513.86	67.87 D	20.23	Sale
01/19/2021	878.00	4,038.61	Various	4,016.22	91.46 D	113.85	Sale
01/25/2021	86.00	423.96	Various	431.63	11.39 D	3.72	Sale
01/26/2021	36.00	247.70	Various	259.00	11.30 D	0.00	Sale
02/01/2021	81.00	484.35	Various	523.95	39.60 D	0.00	Sale
02/22/2021	72.00	411.18	Various	520.19	109.01 D	0.00	Sale
02/24/2021	139.00	735.28	Various	867.07	131.79 D	0.00	Sale
02/24/2021	1,424.00	7,739.23	Various	7,954.40	0.00	-215.17	Sale
Security Totals:		19,246.09		20,074.49		-23.41	
CALL UAVS 03/19/21 17.50 AGEAGLE AERIAL SYSTEM INC CUSIP: Symbol(Box 1a): UAVS210319C00017500							
02/10/2021	1.00	387.90	02/10/2021	500.08	112.18 D	0.00	Sell to Close
02/12/2021	1.00	339.90	02/12/2021	462.26	0.00	-122.36	Sell to Close
Security Totals:		727.80		962.34		-122.36	
CALL IPOC 01/15/21 15 SOCIAL CPTL HDSPH HLDNGS CORP CUSIP: Symbol(Box 1a): IPOC210115C00015000							
01/04/2021	1.00	219.90	01/04/2021	240.08	20.18 D	0.00	Sell to Close

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2021 Form 1099-B*

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(continued)

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CALL IPOC 01/15/21 15 SOCIAL CPTL HDSPH HLDNGS CORP CUSIP: Symbol(Box 1a): IPOC210115C00015000							
01/04/2021	1.00	220.90	01/04/2021	305.26	84.36 D	0.00	Sell to Close
01/05/2021	1.00	199.90	01/05/2021	284.44	0.00	-84.54	Sell to Close
01/05/2021	1.00	214.90	01/04/2021	240.08	0.00	-25.18	Sell to Close
Security Totals:		855.60		1,069.86		-109.72	
CALL RIOT 02/19/21 55 RIOT BLOCKCHAIN INC CUSIP: Symbol(Box 1a): RIOT210219C00055000							
02/12/2021	1.00	439.90	02/12/2021	437.43	0.00	2.47	Sell to Close
02/12/2021	1.00	287.91	02/11/2021	350.26	62.35 D	0.00	Sell to Close
02/12/2021	1.00	499.89	02/12/2021	455.08	0.00	44.81	Sell to Close
02/12/2021	1.00	314.90	02/11/2021	375.08	60.18 D	0.00	Sell to Close
Security Totals:		1,542.60		1,617.85		47.28	
CALL DKNG 03/05/21 65 DRAFTKINGS INC CL A CUSIP: Symbol(Box 1a): DKNG210305C00065000							
02/16/2021	1.00	258.90	02/11/2021	260.08	0.00	-1.18	Sell to Close
CALL DKNG 02/19/21 60 DRAFTKINGS INC CL A CUSIP: Symbol(Box 1a): DKNG210219C00060000							
02/02/2021	1.00	324.90	02/02/2021	411.26	0.00	-86.36	Sell to Close
02/02/2021	1.00	336.90	02/02/2021	370.08	33.18 D	0.00	Sell to Close
Security Totals:		661.80		781.34		-86.36	
STABLE ROAD ACQUISITION CORP CLASS A COMMON STOCK CUSIP: 85236Q109 Symbol(Box 1a): SRAC							
01/19/2021	1.00	23.49	01/19/2021	24.14	0.00	-0.65	Sale
01/19/2021	40.00	957.96	01/19/2021	960.40	2.44 D	0.00	Sale

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Proceeds from Broker and Barter Exchange Transactions

2021 Form 1099-B*

5NA77394

(continued)

01/31/2022

OMB No. 1545-0715

SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

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

Box 2: Type of Gain or Loss - Short-Term (unless indicated as Ordinary in Additional Notes Column)**Box 5:** Box Not Checked (Covered Security)**Box 6:** Gross (unless indicated as Net in Additional Notes Column)**Box 12:** Basis Reported to the IRS

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

Date Sold or Disposed (Box 1c)	Quantity	Proceeds (Box 1d)	Date Acquired (Box 1b)	Cost or Other Basis (Box 1e)	Accrued Market Discount (M)(Box 1f) & Wash Sale Loss Disallowed (D)(Box 1g)	Gain or Loss(-)	Additional Notes
01/19/2021	193.00	4,583.62	Various	4,631.17	0.26 D	-47.29	Sale
Security Totals:		5,565.07		5,615.71		-47.94	
CALL TTCF 01/15/21 25 TATTOOED CHEF INC CL A CUSIP: Symbol(Box 1a): TTCF210115C00025000							
01/06/2021	1.00	89.90	01/06/2021	130.08	0.00	-40.18	Sell to Close
***SAFE T GROUP LTD AMERICAN DEPOSITARY SHARE CUSIP: 78643B401 Symbol(Box 1a): SFET							
02/11/2021	232.00	568.35	Various	595.48	27.13 D	0.00	Sale
02/12/2021	152.00	465.24	Various	406.99	0.00	58.25	Sale
02/17/2021	133.00	307.20	Various	340.66	0.00	-33.46	Sale
Security Totals:		1,340.79		1,343.13		24.79	
CALL CGC 01/22/21 32 CANOPY GROWTH CORPORATION CUSIP: Symbol(Box 1a): CGC210122C00032000							
01/13/2021	1.00	197.90	01/07/2021	130.08	0.00	67.82	Sell to Close
DELEK US HOLDINGS INC COMMON STOCK CUSIP: 24665A103 Symbol(Box 1a): DK							
02/05/2021	4.00	86.73	02/05/2021	87.76	0.00	-1.03	Sale
CALL GHIV 02/19/21 17.50 GORES HOLDINGS IV INC CL A CUSIP: Symbol(Box 1a): GHIV210219C00017500							
01/15/2021	1.00	89.90	12/29/2020	180.08	90.18 D	0.00	Sell to Close
01/15/2021	1.00	91.90	01/07/2021	175.26	0.00	-83.36	Sell to Close
Security Totals:		181.80		355.34		-83.36	
CALL NGA 01/15/21 25 NORTHERN GENESIS ACQSTN CORP CUSIP: Symbol(Box 1a): NGA210115C00025000							
01/11/2021	1.00	139.90	01/08/2021	155.08	15.18 D	0.00	Sell to Close
01/12/2021	1.00	268.90	01/08/2021	135.26	0.00	133.64	Sell to Close
Security Totals:		408.80		290.34		133.64	
ORBITAL ENERGY GROUP INC COMMON STOCK CUSIP: 68559A109 Symbol(Box 1a): OEG							
01/07/2021	248.00	676.99	Various	763.74	87.66 D	0.91	Sale
01/08/2021	31.00	102.90	Various	78.88	0.00	24.02	Sale

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APEX CLEARING

Proceeds from Broker and Barter Exchange Transactions

2021 Form 1099-B*

5NA77394

(continued)

01/31/2022

OMB No. 1545-0715

SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

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

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ORBITAL ENERGY GROUP INC COMMON STOCK CUSIP: 68559A109 Symbol(Box 1a): OEG							
01/08/2021	62.00	212.02	Various	166.37	0.00	45.65	Sale
01/08/2021	124.00	460.01	Various	366.52	0.00	93.49	Sale
01/11/2021	225.00	978.69	Various	876.48	0.00	102.21	Sale
01/13/2021	76.00	310.06	Various	289.02	0.00	21.04	Sale
01/15/2021	23.00	91.75	01/14/2021	96.60	4.85 D	0.00	Sale
01/19/2021	24.00	95.05	01/14/2021	100.80	5.75 D	0.00	Sale
01/20/2021	53.00	211.98	01/20/2021	253.34	41.36 D	0.00	Sale
01/20/2021	156.00	680.12	Various	756.28	76.16 D	0.00	Sale
01/22/2021	195.00	987.63	Various	1,098.93	111.30 D	0.00	Sale
01/25/2021	26.00	217.34	01/25/2021	179.40	0.00	37.94	Sale
01/25/2021	66.00	499.59	Various	493.08	2.34 D	8.85	Sale
01/25/2021	35.00	295.03	Various	275.71	0.00	19.32	Sale
01/25/2021	53.00	425.57	Various	397.72	0.00	27.85	Sale
01/25/2021	302.00	2,101.83	Various	2,132.09	53.28 D	23.02	Sale
01/25/2021	1.00	5.48	01/22/2021	5.76	0.28 D	0.00	Sale
01/25/2021	140.00	1,037.35	Various	907.00	0.00	130.35	Sale
01/26/2021	70.00	711.02	Various	609.94	0.00	101.08	Sale
01/26/2021	70.00	635.23	Various	575.12	0.59 D	60.70	Sale
01/26/2021	339.00	3,169.53	01/26/2021	3,206.94	22.29 D	-15.12	Sale
02/01/2021	56.00	478.77	02/01/2021	497.86	0.00	-19.09	Sale
02/01/2021	56.00	484.37	02/01/2021	503.46	0.00	-19.09	Sale

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APEX CLEARING

Proceeds from Broker and Barter Exchange Transactions

2021 Form 1099-B*

5NA77394

(continued)

01/31/2022

OMB No. 1545-0715

SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

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

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

Date Sold or Disposed (Box 1c)	Quantity	Proceeds (Box 1d)	Date Acquired (Box 1b)	Cost or Other Basis (Box 1e)	Accrued Market Discount (M)(Box 1f) & Wash Sale Loss Disallowed (D)(Box 1g)	Gain or Loss(-)	Additional Notes
ORBITAL ENERGY GROUP INC COMMON STOCK CUSIP: 68559A109 Symbol(Box 1a): OEG							
02/03/2021	32.00	280.62	02/02/2021	253.45	0.00	27.17	Sale
02/17/2021	32.00	310.70	02/02/2021	253.45	0.00	57.25	Sale
04/21/2021	39.00	140.38	Various	273.79	0.00	-133.41	Sale
07/19/2021	39.00	142.33	Various	217.25	0.00	-74.92	Sale
Security Totals:		15,742.34		15,628.98		519.22	
NEW CONCEPT ENERGY INC CUSIP: 643611106 Symbol(Box 1a): GBR							
06/21/2021	13.00	109.44	Various	107.48	0.00	1.96	Sale
07/19/2021	13.00	58.74	03/10/2021	85.15	0.00	-26.41	Sale
Security Totals:		168.18		192.63		-24.45	
CALL DKNG 02/05/21 60.50 DRAFTKINGS INC CL A CUSIP: Symbol(Box 1a): DKNG210205C00060500							
02/02/2021	1.00	145.90	02/02/2021	198.08	0.00	-52.18	Sell to Close
CALL FSR 02/26/21 19 FISKER INC CL A CUSIP: Symbol(Box 1a): FSR210226C00019000							
02/17/2021	1.00	124.90	02/17/2021	164.08	0.00	-39.18	Sell to Close
ATOSSA THERAPEUTICS INC COMMON STOCK CUSIP: 04962H506 Symbol(Box 1a): ATOS							
01/25/2021	147.00	370.50	01/25/2021	348.39	0.00	22.11	Sale
02/01/2021	85.00	187.88	02/01/2021	198.05	0.00	-10.17	Sale
Security Totals:		558.38		546.44		11.94	
ACAMAR PARTNERS ACQUISITION CORP CLASS A COMMON STOCK CUSIP: 004285102 Symbol(Box 1a): ACAM							
01/04/2021	135.00	1,522.94	Various	1,500.28	0.00	22.66	Sale
01/05/2021	34.00	379.42	01/04/2021	377.70	0.00	1.72	Sale
01/05/2021	101.00	1,112.98	01/04/2021	1,122.00	9.02 D	0.00	Sale

APEX CLEARING

Proceeds from Broker and Barter Exchange Transactions

2021 Form 1099-B*

5NA77394

(continued)

01/31/2022

OMB No. 1545-0715

SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

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

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

Date Sold or Disposed (Box 1c)	Quantity	Proceeds (Box 1d)	Date Acquired (Box 1b)	Cost or Other Basis (Box 1e)	Accrued Market Discount (M)(Box 1f) & Wash Sale Loss Disallowed (D)(Box 1g)	Gain or Loss(-)	Additional Notes
ACAMAR PARTNERS ACQUISITION CORP CLASS A COMMON STOCK CUSIP: 004285102 Symbol(Box 1a): ACAM							
01/06/2021	44.00	491.01	01/05/2021	500.25	9.24 D	0.00	Sale
01/06/2021	44.00	493.65	01/05/2021	500.25	6.6 D	0.00	Sale
01/12/2021	49.00	564.94	Various	558.79	0.00	6.15	Sale
01/12/2021	49.00	578.71	Various	565.82	0.00	12.89	Sale
01/21/2021	57.00	686.82	Various	687.46	4.10 D	3.46	Sale
Security Totals:		5,830.47		5,812.55		46.88	
CALL BNGO 02/19/21 12 BIONANO GENOMICS INC CUSIP: Symbol(Box 1a): BNGO210219C00012000							
01/25/2021	1.00	289.90	01/25/2021	279.08	0.00	10.82	Sell to Close
CALL LAZR 02/05/21 36 LUMINAR TECHNOLOGIES INC CL A CUSIP: Symbol(Box 1a): LAZR210205C00036000							
01/25/2021	1.00	319.90	01/25/2021	340.08	0.00	-20.18	Sell to Close
PIONEER POWER SOLUTIONS INC CUSIP: 723836300 Symbol(Box 1a): PPSI							
01/14/2021	31.00	182.88	01/14/2021	169.88	0.00	13.00	Sale
01/15/2021	32.00	181.10	01/14/2021	175.36	0.00	5.74	Sale
01/22/2021	104.00	977.56	01/22/2021	988.00	4.02 D	-6.42	Sale
02/16/2021	30.00	267.80	02/16/2021	256.52	0.00	11.28	Sale
02/16/2021	10.00	89.48	02/16/2021	85.50	0.00	3.98	Sale
Security Totals:		1,698.82		1,675.26		27.58	
***BORQS TECHNOLOGIES INC ORDINARY SHARES CUSIP: G1466B103 Symbol(Box 1a): BRQS							
01/14/2021	680.00	883.90	01/13/2021	992.80	108.9 D	0.00	Sale
02/01/2021	211.00	308.06	02/01/2021	329.19	21.13 D	0.00	Sale

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5NA77394

(continued)

01/31/2022

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***BORQS TECHNOLOGIES INC ORDINARY SHARES CUSIP: G1466B103 Symbol(Box 1a): BRQS							
02/08/2021	400.00	767.93	Various	793.76	25.83 D	0.00	Sale
02/09/2021	319.00	625.18	Various	648.64	23.83 D	0.37	Sale
02/10/2021	320.00	591.94	Various	673.90	81.96 D	0.00	Sale
02/11/2021	99.00	245.61	Various	224.01	0.00	21.60	Sale
02/11/2021	129.00	332.93	Various	356.95	24.02 D	0.00	Sale
02/11/2021	162.00	502.16	02/11/2021	497.37	0.00	4.79	Sale
02/11/2021	198.00	465.26	Various	414.41	0.00	50.85	Sale
02/11/2021	312.00	829.74	Various	853.90	24.16 D	0.00	Sale
02/11/2021	323.00	926.94	Various	933.01	11.70 D	5.63	Sale
02/11/2021	396.00	946.36	Various	866.74	1.53 D	81.15	Sale
02/11/2021	514.00	1,316.88	Various	1,440.54	123.66 D	0.00	Sale
02/11/2021	635.00	1,200.04	Various	1,303.70	103.66 D	0.00	Sale
02/11/2021	567.00	1,105.55	Various	1,079.24	1.32 D	27.63	Sale
02/11/2021	775.00	2,035.26	Various	2,059.72	63.05 D	38.59	Sale
02/12/2021	88.00	219.98	02/12/2021	287.80	0.00	-67.82	Sale
02/12/2021	159.00	381.57	Various	363.53	0.00	18.04	Sale
02/12/2021	317.00	760.74	Various	857.98	72.4 D	-24.84	Sale
02/12/2021	175.00	442.72	Various	391.02	0.00	51.70	Sale
02/17/2021	88.00	241.10	Various	243.15	0.00	-2.05	Sale
Security Totals:		15,129.85		15,611.36		205.64	

CALL OEG 02/19/21 10 ORBITAL ENERGY GROUP INC | CUSIP: | Symbol(Box 1a): OEG210219C00010000

01/26/2021	1.00	229.90	01/26/2021	245.08	15.18 D	0.00	Sell to Close
02/03/2021	1.00	169.90	02/03/2021	160.26	0.00	9.64	Sell to Close

APEX CLEARING

Proceeds from Broker and Barter Exchange Transactions

2021 Form 1099-B*

5NA77394

(continued)

01/31/2022

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02/04/2021	1.00	134.90	02/03/2021	169.08	0.00	-34.18	Sell to Close
Security Totals:		534.70		574.42		-24.54	
CALL LMND 01/08/21 165 LEMONADE INC CUSIP: Symbol(Box 1a): LMND210108C00165000							
01/08/2021	3.00	152.74	Various	586.24	0.00	-433.50	Sell to Close
CALL CLOV 02/19/21 20 CLOVER HEALTH INVESTMENTS CORP CUSIP: Symbol(Box 1a): CLOV210219C00020000							
01/27/2021	1.00	124.90	01/27/2021	165.08	0.00	-40.18	Sell to Close
INVIVO THERAPEUTICS HOLDINGS CORP COMMON STOCK CUSIP: 46186M506 Symbol(Box 1a): NVIV							
01/15/2021	221.00	236.43	01/15/2021	255.64	19.21 D	0.00	Sale
01/15/2021	663.00	736.16	Various	772.15	35.99 D	0.00	Sale
01/15/2021	1,969.00	2,192.00	Various	2,249.89	57.89 D	0.00	Sale
01/21/2021	764.00	947.24	Various	988.06	44.09 D	3.27	Sale
01/22/2021	255.00	331.74	01/21/2021	338.04	6.3 D	0.00	Sale
01/25/2021	100.00	171.98	Various	158.94	0.00	13.04	Sale
01/25/2021	157.00	279.43	01/25/2021	253.37	0.00	26.06	Sale
01/26/2021	158.00	275.06	Various	254.13	0.00	20.93	Sale
02/03/2021	130.00	166.62	02/03/2021	178.10	0.00	-11.48	Sale
02/03/2021	1,459.00	1,955.34	Various	2,025.80	0.00	-70.46	Sale
02/17/2021	130.00	215.91	02/03/2021	178.10	0.00	37.81	Sale
Security Totals:		7,507.91		7,652.22		19.17	
PUT RKT 03/12/21 30 ROCKET COMPANIES INC CL A CUSIP: Symbol(Box 1a): RKT210312P00030000							
03/02/2021	1.00	289.90	03/02/2021	310.08	0.00	-20.18	Sell to Close

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CALL SUNW 02/19/21 10 SUNWORKS INC CUSIP: Symbol(Box 1a): SUNW210219C00010000							
01/12/2021	1.00	224.90	01/11/2021	185.08	0.00	39.82	Sell to Close
***JUMIA TECHNOLOGIES AG AMERICAN DEPOSITARY SHARES ECH REPRESENTING TWO ORDINARY SHS CUSIP: 48138M105 Symbol(Box 1a): JMIA							
01/05/2021	14.00	486.89	Various	681.59	194.70 D	0.00	Sale
01/06/2021	11.00	389.49	Various	457.99	68.50 D	0.00	Sale
01/06/2021	15.00	533.22	Various	709.09	175.87 D	0.00	Sale
01/08/2021	16.00	603.97	Various	755.68	151.71 D	0.00	Sale
01/11/2021	8.00	292.06	Various	317.39	25.33 D	0.00	Sale
01/11/2021	8.00	299.10	Various	309.63	10.53 D	0.00	Sale
01/13/2021	28.00	1,228.60	Various	1,434.92	63.3 D	-143.02	Sale
01/14/2021	3.00	141.13	01/13/2021	134.94	0.00	6.19	Sale
01/14/2021	7.00	326.41	Various	320.78	0.00	5.63	Sale
01/26/2021	4.00	240.02	01/22/2021	275.66	35.64 D	0.00	Sale
02/24/2021	2.00	101.50	02/24/2021	133.91	0.00	-32.41	Sale
02/24/2021	5.00	245.68	Various	305.80	31.15 D	-28.97	Sale
Security Totals:		4,888.07		5,837.38		-192.58	
GAMESTOP CORP CLASS A CUSIP: 36467W109 Symbol(Box 1a): GME							
01/25/2021	2.00	239.98	01/25/2021	236.00	0.00	3.98	Sale
01/25/2021	11.00	1,023.07	01/25/2021	970.88	0.00	52.19	Sale
01/25/2021	4.00	432.58	01/25/2021	353.05	0.00	79.53	Sale
01/25/2021	34.00	2,804.92	01/25/2021	2,804.97	0.05 D	0.00	Sale
01/25/2021	14.00	1,308.96	Various	1,166.51	0.00	142.45	Sale

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2021 Form 1099-B*

5NA77394

(continued)

01/31/2022

OMB No. 1545-0715

SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

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

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

Box 5: Box Not Checked (Covered Security)

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

Box 12: Basis Reported to the IRS

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

Date Sold or Disposed (Box 1c)	Quantity	Proceeds (Box 1d)	Date Acquired (Box 1b)	Cost or Other Basis (Box 1e)	Accrued Market Discount (M)(Box 1f) & Wash Sale Loss Disallowed (D)(Box 1g)	Gain or Loss(-)	Additional Notes
GAMESTOP CORP CLASS A CUSIP: 36467W109 Symbol(Box 1a): GME							
01/25/2021	2.00	244.68	01/25/2021	238.58	0.00	6.10	Sale
01/26/2021	2.00	432.50	01/26/2021	391.92	0.00	40.58	Sale
01/26/2021	3.00	533.97	01/26/2021	557.28	23.31 D	0.00	Sale
01/26/2021	3.00	661.14	01/26/2021	587.88	0.00	73.26	Sale
01/26/2021	6.00	1,127.66	01/26/2021	1,043.34	0.00	84.32	Sale
01/26/2021	15.00	2,968.27	Various	2,962.71	17.54 D	23.10	Sale
01/26/2021	16.00	2,901.68	Various	2,782.26	0.00	119.42	Sale
01/27/2021	1.00	338.59	01/27/2021	289.85	0.00	48.74	Sale
01/27/2021	1.00	229.72	01/27/2021	285.67	55.95 D	0.00	Sale
01/28/2021	1.00	415.23	01/28/2021	410.34	0.00	4.89	Sale
01/28/2021	1.00	466.63	01/28/2021	454.18	0.00	12.45	Sale
01/28/2021	1.00	309.99	01/28/2021	292.55	0.00	17.44	Sale
01/28/2021	1.00	478.78	01/28/2021	460.26	0.00	18.52	Sale
01/28/2021	1.00	291.98	01/28/2021	292.55	0.57 D	0.00	Sale
01/28/2021	1.00	424.98	01/28/2021	390.83	0.00	34.15	Sale
01/28/2021	1.00	447.81	01/28/2021	454.19	6.38 D	0.00	Sale
01/28/2021	2.00	583.97	01/28/2021	585.10	1.13 D	0.00	Sale

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APEX CLEARING

Proceeds from Broker and Barter Exchange Transactions

2021 Form 1099-B*

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(continued)

01/31/2022

OMB No. 1545-0715

SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

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

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

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

Box 12: Basis Reported to the IRS

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

Date Sold or Disposed (Box 1c)	Quantity	Proceeds (Box 1d)	Date Acquired (Box 1b)	Cost or Other Basis (Box 1e)	Accrued Market Discount (M)(Box 1f) & Wash Sale Loss Disallowed (D)(Box 1g)	Gain or Loss(-)	Additional Notes
GAMESTOP CORP CLASS A CUSIP: 36467W109 Symbol(Box 1a): GME							
01/28/2021	2.00	896.05	01/28/2021	844.00	0.00	52.05	Sale
01/28/2021	4.00	1,168.72	01/28/2021	1,170.20	1.48 D	0.00	Sale
01/28/2021	8.00	2,359.93	Various	2,312.35	0.00	47.58	Sale
01/28/2021	15.00	5,045.87	Various	5,097.73	95.70 D	43.84	Sale
01/28/2021	1.00	310.24	01/27/2021	304.84	0.00	5.40	Sale
02/01/2021	1.00	328.97	02/01/2021	334.98	6.01 D	0.00	Sale
02/01/2021	1.00	326.98	02/01/2021	334.98	8 D	0.00	Sale
02/01/2021	1.00	322.10	02/01/2021	334.97	12.87 D	0.00	Sale
02/02/2021	42.00	4,352.11	Various	4,538.32	186.21 D	0.00	Sale
02/03/2021	2.00	218.38	Various	222.93	4.55 D	0.00	Sale
02/03/2021	2.00	224.40	Various	223.12	0.00	1.28	Sale
02/12/2021	4.00	205.18	02/12/2021	247.25	42.07 D	0.00	Sale
02/17/2021	5.00	246.03	Various	309.86	63.83 D	0.00	Sale
02/24/2021	2.00	267.78	02/24/2021	295.99	28.21 D	0.00	Sale
02/24/2021	3.00	249.40	02/24/2021	261.07	11.67 D	0.00	Sale
02/24/2021	4.00	447.50	02/24/2021	554.70	107.2 D	0.00	Sale
02/24/2021	4.00	578.70	Various	560.41	0.00	18.29	Sale
02/24/2021	4.00	650.50	Various	541.04	0.00	109.46	Sale
02/24/2021	7.00	473.21	Various	509.26	36.05 D	0.00	Sale
02/24/2021	8.00	892.22	Various	1,058.33	166.11 D	0.00	Sale

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APEX CLEARING

Proceeds from Broker and Barter Exchange Transactions

2021 Form 1099-B*

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01/31/2022

OMB No. 1545-0715

SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

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

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

Date Sold or Disposed (Box 1c)	Quantity	Proceeds (Box 1d)	Date Acquired (Box 1b)	Cost or Other Basis (Box 1e)	Accrued Market Discount (M)(Box 1f) & Wash Sale Loss Disallowed (D)(Box 1g)	Gain or Loss(-)	Additional Notes
GAMESTOP CORP CLASS A CUSIP: 36467W109 Symbol(Box 1a): GME							
02/24/2021	11.00	1,809.48	Various	2,088.32	278.84 D	0.00	Sale
02/24/2021	23.00	2,612.77	Various	2,956.43	343.66 D	0.00	Sale
02/24/2021	31.00	3,687.42	Various	4,117.70	430.28 D	0.00	Sale
02/24/2021	33.00	3,747.45	Various	4,290.47	543.02 D	0.00	Sale
02/25/2021	3.00	445.33	Various	497.55	52.22 D	0.00	Sale
02/25/2021	4.00	477.78	Various	532.80	55.02 D	0.00	Sale
02/26/2021	26.00	2,749.47	Various	2,817.06	0.00	-67.59	Sale
02/26/2021	25.00	2,640.03	Various	3,144.83	148.59 D	-356.21	Sale
03/03/2021	3.00	365.97	Various	443.38	0.00	-77.41	Sale
03/04/2021	2.00	266.58	03/03/2021	275.63	0.00	-9.05	Sale
03/04/2021	3.00	364.48	Various	425.90	0.00	-61.42	Sale
Security Totals:		57,398.12		59,657.30		467.34	
***TRINITY BIOTECH PLC ADR CUSIP: 896438306 Symbol(Box 1a): TRIB							
01/29/2021	60.00	284.38	01/29/2021	300.00	0.00	-15.62	Sale
CALL FUBO 01/29/21 40 FUBOTV INC CUSIP: Symbol(Box 1a): FUBO210129C00040000							
01/25/2021	1.00	324.90	01/25/2021	300.08	0.00	24.82	Sell to Close
CALL QEP 01/15/21 3 QEP RESOURCES INC CUSIP: Symbol(Box 1a): QEP210115C00003000							
01/14/2021	1.00	10.90	12/09/2020	20.08	0.00	-9.18	Sell to Close
CALL PLTR 03/19/21 32 PALANTIR TECHNOLOGIES INC CL A CUSIP: Symbol(Box 1a): PLTR210319C00032000							
02/19/2021	1.00	263.90	02/19/2021	305.08	0.00	-41.18	Sell to Close
PUT UAVS 02/19/21 7.50 AGEAGLE AERIAL SYSTEM INC CUSIP: Symbol(Box 1a): UAVS210219P00007500							
02/18/2021	1.00	24.90	02/18/2021	25.08	0.18 D	0.00	Sell to Close
02/18/2021	4.00	99.66	02/18/2021	100.32	0.66 D	0.00	Sell to Close

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APEX CLEARING

Proceeds from Broker and Barter Exchange Transactions

2021 Form 1099-B*

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(continued)

01/31/2022

OMB No. 1545-0715

SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

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

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

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

Date Sold or Disposed (Box 1c)	Quantity	Proceeds (Box 1d)	Date Acquired (Box 1b)	Cost or Other Basis (Box 1e)	Accrued Market Discount (M)(Box 1f) & Wash Sale Loss Disallowed (D)(Box 1g)	Gain or Loss(-)	Additional Notes
PUT UAVS 02/19/21 7.50 AGEAGLE AERIAL SYSTEM INC CUSIP: Symbol(Box 1a): UAVS210219P00007500							
02/18/2021	3.00	149.74	Various	110.97	0.00	38.77	Sell to Close
02/18/2021	4.00	199.66	Various	171.63	0.00	28.03	Sell to Close
02/18/2021	5.00	204.58	02/18/2021	275.40	0.00	-70.82	Sell to Close
02/18/2021	10.00	469.15	Various	501.61	0.00	-32.46	Sell to Close
Security Totals:		1,147.69		1,185.01		-36.48	
CALL F 02/19/21 12 FORD MOTOR COMPANY CUSIP: Symbol(Box 1a): F210219C00012000							
02/03/2021	2.00	83.82	02/02/2021	68.16	0.00	15.66	Sell to Close
02/04/2021	1.00	43.90	02/02/2021	34.08	0.00	9.82	Sell to Close
02/04/2021	2.00	87.82	02/02/2021	68.16	0.00	19.66	Sell to Close
02/04/2021	2.00	83.82	02/02/2021	68.16	0.00	15.66	Sell to Close
02/05/2021	1.00	51.90	02/02/2021	34.08	0.00	17.82	Sell to Close
02/05/2021	2.00	99.82	02/02/2021	68.17	0.00	31.65	Sell to Close
02/17/2021	1.00	3.90	02/16/2021	8.08	0.00	-4.18	Sell to Close
Security Totals:		454.98		348.89		106.09	
***EQONEX LIMITED ORDINARY SHARES CUSIP: Y2074E109 Symbol(Box 1a): EQOS							
01/07/2021	3.00	55.03	01/07/2021	61.62	6.59 D	0.00	Sale
01/07/2021	6.00	111.88	01/07/2021	123.24	11.36 D	0.00	Sale
01/08/2021	20.00	385.38	Various	380.54	5.09 D	9.93	Sale
01/11/2021	15.00	278.83	Various	289.40	0.00	-10.57	Sale

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APEX CLEARING

Proceeds from Broker and Barter Exchange Transactions

2021 Form 1099-B*

5NA77394

(continued)

01/31/2022

OMB No. 1545-0715

SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

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

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

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01/13/2021	5.00	94.28	01/08/2021	88.75	0.00	5.53	Sale
Security Totals:		925.40		943.55		4.89	
VTV THERAPEUTICS INC CLASS A COM CUSIP: 918385105 Symbol(Box 1a): VTVT							
02/03/2021	70.00	182.68	02/03/2021	197.40	0.00	-14.72	Sale
AEMETIS INC CUSIP: 00770K202 Symbol(Box 1a): AMTX							
01/25/2021	31.00	213.57	01/25/2021	201.19	0.00	12.38	Sale
01/25/2021	31.00	194.66	01/25/2021	201.19	0.00	-6.53	Sale
01/25/2021	62.00	393.68	01/25/2021	402.38	8.14 D	-0.56	Sale
02/01/2021	58.00	466.29	02/01/2021	500.56	0.00	-34.27	Sale
Security Totals:		1,268.20		1,305.32		-28.98	
CALL FSR 03/05/21 20 FISKER INC CL A CUSIP: Symbol(Box 1a): FSR210305C00020000							
02/17/2021	1.00	177.90	02/12/2021	219.08	0.00	-41.18	Sell to Close
***SOCIAL CAPITAL HEDOSOPHIA HOLDINGS CORP V CLASS A ORDINARY SHARES CUSIP: G8252P105 Symbol(Box 1a): IPOE							
01/29/2021	13.00	332.52	01/29/2021	300.30	0.00	32.22	Sale
01/29/2021	16.00	390.22	Various	415.14	24.92 D	0.00	Sale
01/29/2021	16.00	407.98	Various	394.84	1.35 D	14.49	Sale
01/29/2021	40.00	922.36	Various	918.61	1.19 D	4.94	Sale
02/01/2021	18.00	480.21	Various	522.47	0.00	-42.26	Sale
02/01/2021	38.00	957.94	Various	1,004.01	34.13 D	-11.94	Sale
Security Totals:		3,491.23		3,555.37		-2.55	
CALL FUBO 02/05/21 60 FUBOTV INC CUSIP: Symbol(Box 1a): FUBO210205C00060000							
01/29/2021	1.00	279.90	01/29/2021	325.26	45.36 D	0.00	Sell to Close

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APEX CLEARING

Proceeds from Broker and Barter Exchange Transactions

2021 Form 1099-B*

5NA77394

(continued)

01/31/2022

OMB No. 1545-0715

SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

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

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Date Sold or Disposed (Box 1c)	Quantity	Proceeds (Box 1d)	Date Acquired (Box 1b)	Cost or Other Basis (Box 1e)	Accrued Market Discount (M)(Box 1f) & Wash Sale Loss Disallowed (D)(Box 1g)	Gain or Loss(-)	Additional Notes
CALL FUBO 02/05/21 60 FUBOTV INC CUSIP: Symbol(Box 1a): FUBO210205C00060000							
01/29/2021	1.00	444.90	01/29/2021	470.08	25.18 D	0.00	Sell to Close
02/01/2021	1.00	225.90	02/01/2021	297.44	0.00	-71.54	Sell to Close
Security Totals:		950.70		1,092.78		-71.54	
***XUNLEI LIMITED ADR CUSIP: 98419E108 Symbol(Box 1a): XNET							
02/17/2021	46.00	442.96	02/17/2021	441.60	0.00	1.36	Sale
02/17/2021	61.00	580.08	Various	588.43	25.49 D	17.14	Sale
02/17/2021	184.00	1,772.63	02/17/2021	1,766.40	0.00	6.23	Sale
02/17/2021	246.00	2,388.57	Various	2,387.09	0.00	1.48	Sale
02/18/2021	16.00	135.50	02/17/2021	153.60	0.00	-18.10	Sale
Security Totals:		5,319.74		5,337.12		8.11	
CALL RIOT 02/19/21 50 RIOT BLOCKCHAIN INC CUSIP: Symbol(Box 1a): RIOT210219C00050000							
02/11/2021	1.00	449.90	02/11/2021	355.08	0.00	94.82	Sell to Close
02/11/2021	1.00	434.90	02/11/2021	370.08	0.00	64.82	Sell to Close
Security Totals:		884.80		725.16		159.64	
CORBUS PHARMACEUTICALS HOLDINGS INC CUSIP: 21833P103 Symbol(Box 1a): CRBP							
02/09/2021	193.00	629.14	02/09/2021	580.72	0.00	48.42	Sale
02/09/2021	385.00	1,158.77	Various	1,135.95	0.00	22.82	Sale
02/10/2021	193.00	569.52	02/09/2021	580.72	11.2 D	0.00	Sale
02/10/2021	856.00	3,355.34	Various	3,383.84	28.5 D	0.00	Sale
02/11/2021	43.00	167.68	02/11/2021	190.07	0.00	-22.39	Sale

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Proceeds from Broker and Barter Exchange Transactions

2021 Form 1099-B*

5NA77394

(continued)

01/31/2022

OMB No. 1545-0715

SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

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Date Sold or Disposed (Box 1c)	Quantity	Proceeds (Box 1d)	Date Acquired (Box 1b)	Cost or Other Basis (Box 1e)	Accrued Market Discount (M)(Box 1f) & Wash Sale Loss Disallowed (D)(Box 1g)	Gain or Loss(-)	Additional Notes
CORBUS PHARMACEUTICALS HOLDINGS INC CUSIP: 21833P103 Symbol(Box 1a): CRBP							
02/11/2021	127.00	533.36	02/11/2021	561.37	20.73 D	-7.28	Sale
02/11/2021	508.00	2,199.53	Various	2,170.91	23.78 D	52.40	Sale
02/12/2021	72.00	229.74	02/12/2021	212.02	0.00	17.72	Sale
02/12/2021	71.00	225.13	Various	206.61	0.00	18.52	Sale
02/12/2021	143.00	411.81	Various	389.30	0.00	22.51	Sale
02/17/2021	62.00	183.50	02/16/2021	204.24	0.00	-20.74	Sale
02/23/2021	38.00	88.14	02/23/2021	103.38	0.00	-15.24	Sale
02/23/2021	38.00	85.90	02/23/2021	103.37	0.00	-17.47	Sale
02/24/2021	83.00	209.97	Various	238.54	0.00	-28.57	Sale
02/24/2021	28.00	69.98	02/24/2021	81.21	0.00	-11.23	Sale
Security Totals:		10,117.51		10,142.25		59.47	
***FIRST MAJESTIC SILVER CORP CUSIP: 32076V103 Symbol(Box 1a): AG							
02/01/2021	11.00	277.84	02/01/2021	286.00	0.00	-8.16	Sale
CALL BNGO 02/19/21 13 BIONANO GENOMICS INC CUSIP: Symbol(Box 1a): BNGO210219C00013000							
01/25/2021	1.00	279.90	01/25/2021	300.08	0.00	-20.18	Sell to Close
SECOND SIGHT MEDICAL PRODUCTS INC COMMON STOCK CUSIP: 81362J209 Symbol(Box 1a): EYES							
03/12/2021	3.00	43.87	03/12/2021	45.81	0.00	-1.94	Sale
SOLITON INC COMMON STOCK CUSIP: 834251100 Symbol(Box 1a): SOLY							
02/01/2021	23.00	268.19	02/01/2021	298.77	0.00	-30.58	Sale

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2021 Form 1099-B*

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01/31/2022

OMB No. 1545-0715

SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

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Date Sold or Disposed (Box 1c)	Quantity	Proceeds (Box 1d)	Date Acquired (Box 1b)	Cost or Other Basis (Box 1e)	Accrued Market Discount (M)(Box 1f) & Wash Sale Loss Disallowed (D)(Box 1g)	Gain or Loss(-)	Additional Notes
***UP FINTECH HOLDING LTD AMERICAN DEPOSITARY SHARE RPRSNTNG FIFTEEN CL A ORD SHS CUSIP: 91531W106 Symbol(Box 1a): TIGR							
01/14/2021	35.00	493.82	01/14/2021	490.00	0.00	3.82	Sale
01/15/2021	35.00	504.72	01/15/2021	493.85	0.00	10.87	Sale
01/19/2021	33.00	504.21	01/19/2021	494.34	0.00	9.87	Sale
01/21/2021	174.00	2,778.70	01/21/2021	2,806.62	1.93 D	-25.99	Sale
02/02/2021	12.00	252.69	02/02/2021	238.45	0.00	14.24	Sale
Security Totals:		4,534.14		4,523.26		12.81	
***COLOR STAR TECHNOLOGY CO LTD ORDINARY SHARES CUSIP: G2287A100 Symbol(Box 1a): CSCW							
01/13/2021	179.00	164.65	01/13/2021	184.97	0.00	-20.32	Sale
01/13/2021	179.00	151.91	01/13/2021	184.97	0.00	-33.06	Sale
01/13/2021	2,993.00	2,878.98	Various	2,978.11	20.53 D	-78.60	Sale
Security Totals:		3,195.54		3,348.05		-131.98	
CALL AAPL 03/19/21 135 APPLE INC ADJ 4:1 STOCK SPLIT CUSIP: Symbol(Box 1a): AAPL210319C00135000							
02/22/2021	1.00	137.90	02/22/2021	160.08	0.00	-22.18	Sell to Close
CALL EVFM 03/19/21 5.50 EVOFEM BIOSCIENCES INC CUSIP: Symbol(Box 1a): EVFM210319C00005500							
02/17/2021	1.00	89.90	02/17/2021	86.08	0.00	3.82	Sell to Close
02/17/2021	1.00	64.90	02/17/2021	86.08	0.00	-21.18	Sell to Close
02/17/2021	3.00	299.74	02/17/2021	258.24	0.00	41.50	Sell to Close
Security Totals:		454.54		430.40		24.14	
OCEAN POWER TECHNOLOGIES INC COMMON STOCK CUSIP: 674870506 Symbol(Box 1a): OPTT							
01/11/2021	216.00	615.55	Various	630.32	14.77 D	0.00	Sale

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APEX CLEARING

Proceeds from Broker and Barter Exchange Transactions

2021 Form 1099-B*

5NA77394

(continued)

01/31/2022

OMB No. 1545-0715

SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

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

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

Date Sold or Disposed (Box 1c)	Quantity	Proceeds (Box 1d)	Date Acquired (Box 1b)	Cost or Other Basis (Box 1e)	Accrued Market Discount (M)(Box 1f) & Wash Sale Loss Disallowed (D)(Box 1g)	Gain or Loss(-)	Additional Notes
OCEAN POWER TECHNOLOGIES INC COMMON STOCK CUSIP: 674870506 Symbol(Box 1a): OPTT							
01/11/2021	108.00	316.54	Various	322.26	6.35 D	0.63	Sale
01/13/2021	94.00	271.17	01/13/2021	266.02	0.00	5.15	Sale
01/13/2021	95.00	286.41	01/13/2021	268.85	0.00	17.56	Sale
01/13/2021	251.00	733.87	Various	792.41	58.54 D	0.00	Sale
01/13/2021	565.00	1,651.19	Various	1,869.41	231.90 D	13.68	Sale
01/13/2021	668.00	1,850.23	Various	2,202.77	352.54 D	0.00	Sale
01/19/2021	500.00	1,554.90	Various	1,773.48	218.58 D	0.00	Sale
01/20/2021	186.00	580.28	Various	770.71	190.43 D	0.00	Sale
01/20/2021	555.00	1,981.23	Various	2,241.27	260.04 D	0.00	Sale
01/20/2021	602.00	2,124.94	Various	2,374.27	249.33 D	0.00	Sale
01/21/2021	287.00	1,004.44	Various	1,131.07	126.63 D	0.00	Sale
01/22/2021	543.00	2,666.01	Various	3,056.66	124.31 D	-266.34	Sale
01/25/2021	88.00	589.57	Various	552.95	0.00	36.62	Sale
01/25/2021	88.00	595.18	Various	583.23	0.00	11.95	Sale
02/01/2021	117.00	494.88	Various	553.50	0.00	-58.62	Sale
02/03/2021	53.00	253.32	Various	277.98	0.00	-24.66	Sale
02/11/2021	60.00	330.58	Various	332.80	0.00	-2.22	Sale
Security Totals:		17,900.29		19,999.96		-266.25	
TUSCAN HOLDINGS CORP COMMON STOCK CUSIP: 90069K104 Symbol(Box 1a): THCB							
02/02/2021	8.00	184.78	02/01/2021	198.16	0.00	-13.38	Sale
CALL GUSH 01/15/21 45 DIREXION DLY S&P OIL & GAS EXP CUSIP: Symbol(Box 1a): GUSH210115C00045000							
01/05/2021	1.00	348.90	01/05/2021	195.25	0.00	153.65	Sell to Close
HALL OF FAME RESORT & ENTERTAINMENT COMPANY COMMON STOCK CUSIP: 40619L102 Symbol(Box 1a): HOFV							
01/11/2021	185.00	342.22	01/08/2021	386.65	44.43 D	0.00	Sale

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APEX CLEARING

Proceeds from Broker and Barter Exchange Transactions

2021 Form 1099-B*

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(continued)

01/31/2022

OMB No. 1545-0715

SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

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

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

Box 5: Box Not Checked (Covered Security)

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

Box 12: Basis Reported to the IRS

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

Date Sold or Disposed (Box 1c)	Quantity	Proceeds (Box 1d)	Date Acquired (Box 1b)	Cost or Other Basis (Box 1e)	Accrued Market Discount (M)(Box 1f) & Wash Sale Loss Disallowed (D)(Box 1g)	Gain or Loss(-)	Additional Notes
HALL OF FAME RESORT & ENTERTAINMENT COMPANY COMMON STOCK CUSIP: 40619L102 Symbol(Box 1a): HOFV							
01/25/2021	151.00	357.84	01/25/2021	383.56	25.72 D	0.00	Sale
02/03/2021	334.00	985.23	Various	1,034.00	0.00	-48.77	Sale
02/03/2021	496.00	1,477.98	Various	1,523.17	38.68 D	-6.51	Sale
02/03/2021	1,554.00	4,548.06	Various	4,509.41	25.25 D	63.90	Sale
Security Totals:		7,711.33		7,836.79		8.62	
ARK ETF TRUST ARK GENOMIC REVOLUTION ETF CUSIP: 00214Q302 Symbol(Box 1a): ARKG							
01/05/2021	3.00	284.38	12/31/2020	280.65	0.00	3.73	Sale
01/05/2021	7.00	644.32	12/31/2020	654.85	6.02 D	-4.51	Sale
01/25/2021	4.00	440.02	01/20/2021	457.54	0.00	-17.52	Sale
Security Totals:		1,368.72		1,393.04		-18.30	
***MOGO INC COM CUSIP: 60800C109 Symbol(Box 1a): MOGO							
02/17/2021	453.00	4,811.64	Various	4,860.34	0.00	-48.70	Sale
02/22/2021	20.00	184.98	02/17/2021	215.60	0.00	-30.62	Sale
Security Totals:		4,996.62		5,075.94		-79.32	
ZYNERBA PHARMACEUTICALS INC COM CUSIP: 98986X109 Symbol(Box 1a): ZYNE							
02/01/2021	142.00	496.96	02/01/2021	498.42	1.41 D	-0.05	Sale
02/02/2021	137.00	487.68	02/02/2021	498.72	0.00	-11.04	Sale
Security Totals:		984.64		997.14		-11.09	
CALL SPCE 03/05/21 125 VIRGIN GALACTIC HOLDINGS INC CUSIP: Symbol(Box 1a): SPCE210305C00125000							
02/12/2021	1.00	80.90	02/11/2021	153.08	0.00	-72.18	Sell to Close
PETCO HEALTH AND WELLNESS COMPANY INC CLASS A COMMON STOCK CUSIP: 71601V105 Symbol(Box 1a): WOOF							
01/14/2021	4.00	117.82	01/14/2021	111.71	0.00	6.11	Sale

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Proceeds from Broker and Barter Exchange Transactions

2021 Form 1099-B*

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(continued)

01/31/2022

OMB No. 1545-0715

SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

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Date Sold or Disposed (Box 1c)	Quantity	Proceeds (Box 1d)	Date Acquired (Box 1b)	Cost or Other Basis (Box 1e)	Accrued Market Discount (M)(Box 1f) & Wash Sale Loss Disallowed (D)(Box 1g)	Gain or Loss(-)	Additional Notes
PETCO HEALTH AND WELLNESS COMPANY INC CLASS A COMMON STOCK CUSIP: 71601V105 Symbol(Box 1a): WOOF							
01/14/2021	6.00	175.12	01/14/2021	167.57	0.00	7.55	Sale
01/15/2021	7.00	201.37	01/14/2021	195.49	0.00	5.88	Sale
Security Totals:		494.31		474.77		19.54	
CALL RIOT 01/15/21 30 RIOT BLOCKCHAIN INC CUSIP: Symbol(Box 1a): RIOT210115C00030000							
01/11/2021	1.00	54.90	01/08/2021	273.08	0.00	-218.18	Sell to Close
PERFORMANT FINANCIAL CORPORATION COMMON STOCK CUSIP: 71377E105 Symbol(Box 1a): PFMT							
02/16/2021	126.00	200.32	Various	210.42	10.73 D	0.63	Sale
02/17/2021	126.00	195.28	Various	199.73	0.00	-4.45	Sale
Security Totals:		395.60		410.15		-3.82	
CALL XL 02/19/21 22.50 XL FLEET CORPORATION CL A CUSIP: Symbol(Box 1a): XL210219C00022500							
02/04/2021	1.00	189.90	02/04/2021	199.08	9.18 D	0.00	Sell to Close
02/12/2021	1.00	64.90	02/11/2021	94.26	0.00	-29.36	Sell to Close
Security Totals:		254.80		293.34		-29.36	
BED BATH & BEYOND INC CUSIP: 075896100 Symbol(Box 1a): BBBY							
01/27/2021	9.00	395.53	Various	391.69	0.54 D	4.38	Sale
01/27/2021	10.00	482.47	01/27/2021	444.90	0.00	37.57	Sale
01/27/2021	10.00	490.57	Various	548.69	0.00	-58.12	Sale
Security Totals:		1,368.57		1,385.28		-16.17	
***NANO DIMENSION LTD AMERICAN DEPOSITARY SHARES CUSIP: 63008G203 Symbol(Box 1a): NNDM							
01/04/2021	26.00	248.28	Various	271.96	23.68 D	0.00	Sale
01/05/2021	60.00	505.67	Various	612.21	106.54 D	0.00	Sale
01/06/2021	47.00	379.79	Various	472.86	93.07 D	0.00	Sale
01/13/2021	63.00	684.22	Various	675.69	12.15 D	20.68	Sale
01/19/2021	16.00	177.42	Various	204.41	26.99 D	0.00	Sale

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APEX CLEARING

Proceeds from Broker and Barter Exchange Transactions

2021 Form 1099-B*

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(continued)

01/31/2022

OMB No. 1545-0715

SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

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***NANO DIMENSION LTD AMERICAN DEPOSITARY SHARES CUSIP: 63008G203 Symbol(Box 1a): NNDM								
01/20/2021	29.00	333.19	Various	362.03	28.84	D	0.00	Sale
01/22/2021	15.00	216.00	Various	184.74	0.00		31.26	Sale
01/22/2021	7.00	102.74	Various	95.91	0.00		6.83	Sale
01/25/2021	25.00	406.73	Various	403.54	20.13	D	23.32	Sale
01/26/2021	12.00	192.82	Various	202.39	9.57	D	0.00	Sale
01/27/2021	13.00	198.10	Various	230.95	32.85	D	0.00	Sale
02/01/2021	34.00	478.01	Various	526.64	48.63	D	0.00	Sale
02/03/2021	14.00	199.76	02/01/2021	190.26	0.00		9.50	Buy to Cover Short
02/23/2021	99.00	1,162.46	Various	1,334.68	188.94	D	16.72	Sale
02/23/2021	20.00	220.38	Various	305.24	84.86	D	0.00	Sale
02/23/2021	99.00	1,153.33	Various	1,208.84	83.57	D	28.06	Sale
02/24/2021	25.00	286.48	Various	385.24	3.78	D	-94.98	Sale
02/26/2021	13.00	124.43	Various	185.01	0.00		-60.58	Sale
03/12/2021	18.00	189.88	Various	216.82	0.00		-26.94	Sale
07/06/2021	10.00	77.18	Various	114.64	0.00		-37.46	Sale
07/19/2021	10.00	62.08	04/12/2021	74.00	0.00		-11.92	Sale
Security Totals:		7,398.95		8,258.06			-95.51	
U S ENERGY CORP COMMON STOCK CUSIP: 911805307 Symbol(Box 1a): USEG								
01/15/2021	53.00	249.08	01/15/2021	243.36	0.00		5.72	Sale
01/15/2021	53.00	232.65	01/15/2021	243.36	10.71	D	0.00	Sale
01/19/2021	208.00	985.87	Various	1,036.31	50.44	D	0.00	Sale
01/20/2021	68.00	305.98	Various	368.40	62.42	D	0.00	Sale
01/21/2021	81.00	366.10	01/21/2021	375.87	9.77	D	0.00	Sale
01/25/2021	87.00	434.11	Various	419.86	14.36	D	28.61	Sale

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2021 Form 1099-B*

5NA77394

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U S ENERGY CORP COMMON STOCK CUSIP: 911805307 Symbol(Box 1a): USEG							
01/26/2021	43.00	210.68	Various	240.07	29.48 D	0.09	Sale
01/27/2021	44.00	208.98	01/25/2021	214.31	5.33 D	0.00	Sale
02/04/2021	56.00	289.50	Various	311.74	12.33 D	-9.91	Sale
02/22/2021	26.00	141.94	Various	167.83	0.00	-25.89	Sale
02/23/2021	13.00	67.58	02/11/2021	81.39	0.00	-13.81	Sale
02/24/2021	72.00	362.18	Various	400.41	0.00	-38.23	Sale
Security Totals:		3,854.65		4,102.91		-53.42	
***RETO ECO SOLUTIONS INC COMMON SHARES CUSIP: G75271109 Symbol(Box 1a): RETO							
02/19/2021	243.00	454.36	02/19/2021	483.57	0.00	-29.21	Sale
PUT SPCE 02/05/21 48 VIRGIN GALACTIC HOLDINGS INC CUSIP: Symbol(Box 1a): SPCE210205P00048000							
02/02/2021	1.00	229.90	02/02/2021	300.08	0.00	-70.18	Sell to Close
CALL NCLH 02/19/21 30 NORWEIGIAN CRUISE LINE HOLDING CUSIP: Symbol(Box 1a): NCLH210219C00030000							
01/04/2021	2.00	173.82	12/29/2020	310.16	0.00	-136.34	Sell to Close
CLIMATE CHANGE CRISIS REAL IMPACT I ACQUISITION CORPORATION CL A COMMON STOCK CUSIP: 18716C100 Symbol(Box 1a): CLII							
01/22/2021	12.00	274.18	01/22/2021	250.20	0.00	23.98	Sale
01/22/2021	13.00	293.29	01/22/2021	271.05	0.00	22.24	Sale
01/22/2021	25.00	549.97	01/22/2021	521.25	0.00	28.72	Sale
01/22/2021	150.00	3,116.91	Various	3,114.45	0.00	2.46	Sale
Security Totals:		4,234.35		4,156.95		77.40	
***HEXO CORP COM NEW CUSIP: 428304307 Symbol(Box 1a): HEXO							
01/15/2021	21.00	150.34	01/14/2021	158.55	8.21 D	0.00	Sale

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2021 Form 1099-B*

5NA77394

(continued)

01/31/2022

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SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

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***HEXO CORP COM NEW CUSIP: 428304307 Symbol(Box 1a): HEXO							
01/15/2021	41.00	302.36	01/14/2021	309.55	7.19 D	0.00	Sale
01/15/2021	82.00	610.87	Various	619.10	8.23 D	0.00	Sale
01/26/2021	77.00	519.72	Various	557.72	38.00 D	0.00	Sale
01/27/2021	77.00	512.79	Various	528.58	20.42 D	4.63	Sale
02/10/2021	12.00	117.82	02/10/2021	130.36	12.54 D	0.00	Sale
02/10/2021	70.00	709.07	Various	773.03	63.96 D	0.00	Sale
02/11/2021	58.00	615.35	Various	655.34	40.02 D	0.03	Sale
02/16/2021	28.00	243.86	Various	267.31	0.00	-23.45	Sale
02/16/2021	57.00	484.47	Various	550.29	57.80 D	-8.02	Sale
02/17/2021	29.00	243.58	Various	268.69	0.00	-25.11	Sale
02/18/2021	36.00	285.86	Various	348.31	0.00	-62.45	Sale
07/19/2021	13.00	53.54	Various	107.24	0.00	-53.70	Sale
Security Totals:		4,849.63		5,274.07		-168.07	
***VILLAGE FARMS INTERNATIONAL INC CUSIP: 92707Y108 Symbol(Box 1a): VFF							
01/06/2021	12.00	148.78	Various	141.71	0.00	7.07	Sale
01/06/2021	51.00	616.56	Various	609.27	0.00	7.29	Sale
01/15/2021	5.00	64.18	12/29/2020	50.60	0.00	13.58	Sale
01/29/2021	39.00	477.40	01/29/2021	492.18	4.17 D	-10.61	Sale
02/22/2021	11.00	184.56	02/19/2021	187.98	0.00	-3.42	Sale
Security Totals:		1,491.48		1,481.74		13.91	
CALL SNAP 01/29/21 51 SNAP INC CUSIP: Symbol(Box 1a): SNAP210129C00051000							
01/19/2021	1.00	174.90	01/15/2021	191.08	0.00	-16.18	Sell to Close

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APEX CLEARING

Proceeds from Broker and Barter Exchange Transactions

2021 Form 1099-B*

5NA77394

(continued)

01/31/2022

OMB No. 1545-0715

SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

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

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

Date Sold or Disposed (Box 1c)	Quantity	Proceeds (Box 1d)	Date Acquired (Box 1b)	Cost or Other Basis (Box 1e)	Accrued Market Discount (M)(Box 1f) & Wash Sale Loss Disallowed (D)(Box 1g)	Gain or Loss(-)	Additional Notes
***AURORA MOBILE LIMITED AMERICAN DEPOSITARY SHARES CUSIP: 051857100 Symbol(Box 1a): JG							
02/05/2021	3.00	16.15	02/05/2021	26.97	0.00	-10.82	Sale
02/05/2021	8.00	57.90	02/05/2021	71.92	0.00	-14.02	Sale
Security Totals:		74.05		98.89		-24.84	
CALL DIS 02/26/21 190 WALT DISNEY CO CUSIP: Symbol(Box 1a): DIS210226C00190000							
02/19/2021	2.00	175.82	02/18/2021	210.16	0.00	-34.34	Sell to Close
CALL XL 02/19/21 25 XL FLEET CORPORATION CL A CUSIP: Symbol(Box 1a): XL210219C00025000							
01/19/2021	1.00	169.90	01/15/2021	180.08	0.00	-10.18	Sell to Close
FORUM MERGER III CORPORATION CLASS A COMMON STOCK CUSIP: 349885103 Symbol(Box 1a): FIII							
01/05/2021	25.00	343.73	12/28/2020	365.50	0.00	-21.77	Sale
01/06/2021	9.00	128.41	12/28/2020	131.58	0.00	-3.17	Sale
01/12/2021	37.00	505.02	Various	517.40	0.00	-12.38	Sale
Security Totals:		977.16		1,014.48		-37.32	
***36KR HOLDINGS INC AMERICAN DEPOSITARY SHARES CUSIP: 88429K103 Symbol(Box 1a): KRKR							
01/20/2021	476.00	2,775.59	01/20/2021	2,933.56	0.00	-157.97	Sale
01/20/2021	476.00	2,779.71	Various	2,933.56	0.00	-153.85	Sale
01/20/2021	488.00	2,713.16	01/20/2021	2,826.84	108.32 D	-5.36	Sale
01/20/2021	487.00	2,707.60	01/20/2021	2,821.04	113.44 D	0.00	Sale
Security Totals:		10,976.06		11,515.00		-317.18	
CALL UWMC 03/19/21 12.50 UWM HOLDINGS CORPORATION CL A CUSIP: Symbol(Box 1a): UWMC210319C00012500							
03/04/2021	1.00	109.90	03/04/2021	123.08	0.00	-13.18	Sell to Close

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2021 Form 1099-B*

5NA77394

(continued)

01/31/2022

OMB No. 1545-0715

SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

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

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CALL AAPL 01/29/21	142	APPLE INC CUSIP: Symbol(Box 1a): AAPL210129C00142000					
01/25/2021	1.00	414.90	01/25/2021	470.08	0.00	-55.18	Sell to Close
CALL CCIV 03/19/21	40	CHURCHILL CAPITAL CORP IV CL A CUSIP: Symbol(Box 1a): CCIV210319C00040000					
02/02/2021	1.00	949.88	02/02/2021	680.08	0.00	269.80	Sell to Close
T2 BIOSYSTEMS INC		COM CUSIP: 89853L104 Symbol(Box 1a): T2OO					
01/11/2021	165.00	332.28	01/11/2021	343.20	4.17 D	-6.75	Sale
01/12/2021	55.00	110.53	01/11/2021	114.40	0.00	-3.87	Sale
01/27/2021	63.00	149.29	01/26/2021	203.25	0.00	-53.96	Sale
Security Totals:		592.10		660.85		-64.58	
CALL PLTR 02/26/21	29.50	PALANTIR TECHNOLOGIES INC CL A CUSIP: Symbol(Box 1a): PLTR210226C00029500					
02/22/2021	1.00	139.90	02/22/2021	164.08	0.00	-24.18	Sell to Close
INFINITY PHARMACEUTICALS INC		CUSIP: 45665G303 Symbol(Box 1a): INFI					
02/11/2021	51.00	206.53	02/11/2021	251.84	0.00	-45.31	Sale
02/11/2021	68.00	390.98	02/11/2021	362.44	0.00	28.54	Sale
02/11/2021	68.00	333.85	02/11/2021	362.44	0.00	-28.59	Sale
02/11/2021	135.00	745.16	02/11/2021	719.55	0.00	25.61	Sale
02/11/2021	271.00	1,420.57	02/11/2021	1,444.43	4.49 D	-19.37	Sale
Security Totals:		3,097.09		3,140.70		-39.12	
***ALIBABA GROUP HOLDING LTD		SPONSORED ADR CUSIP: 01609W102 Symbol(Box 1a): BABA					
01/08/2021	1.00	236.14	01/08/2021	236.06	0.00	0.08	Sale

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2021 Form 1099-B*

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(continued)

01/31/2022

OMB No. 1545-0715

SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

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

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CALL SOLO 03/26/21 8 ELECTrameccanica Vehicles Corp CUSIP: Symbol(Box 1a): SOLO210326C00008000							
02/25/2021	1.00	51.90	02/19/2021	146.08	0.00	-94.18	Sell to Close
CALL DPW 03/19/21 9 AULT GLOBAL HOLDINGS INC CUSIP: Symbol(Box 1a): DPW210319C00009000							
02/17/2021	1.00	249.90	02/17/2021	244.08	0.00	5.82	Sell to Close
PROFESSIONAL DIVERSITY NETWORK INC COM NEW CUSIP: 74312Y202 Symbol(Box 1a): IPDN							
01/05/2021	315.00	743.34	01/05/2021	733.26	0.00	10.08	Sale
01/08/2021	120.00	369.58	01/08/2021	328.80	0.00	40.78	Sale
01/08/2021	121.00	350.90	01/08/2021	331.54	0.00	19.36	Sale
02/17/2021	94.00	465.27	Various	460.67	32.35 D	36.95	Sale
02/17/2021	97.00	392.83	02/17/2021	371.51	0.00	21.32	Sale
02/22/2021	67.00	274.68	Various	368.75	0.00	-94.07	Sale
02/22/2021	68.00	271.98	Various	347.00	58.68 D	-16.34	Sale
Security Totals:		2,868.58		2,941.53		18.08	
***PYXIS TANKERS INC COM CUSIP: Y71726106 Symbol(Box 1a): PXS							
02/16/2021	22.00	53.66	02/16/2021	95.70	0.00	-42.04	Sale
RCM TECHNOLOGIES INC NEW CUSIP: 749360400 Symbol(Box 1a): RCMT							
02/11/2021	12.00	79.90	02/11/2021	93.60	13.7 D	0.00	Sale
02/11/2021	44.00	450.10	Various	528.94	0.00	-78.84	Sale
Security Totals:		530.00		622.54		-78.84	
NETFLIX INC COM CUSIP: 64110L106 Symbol(Box 1a): NFLX							
01/19/2021	1.00	563.63	01/19/2021	510.92	0.00	52.71	Sale
01/19/2021	1.00	554.29	01/19/2021	510.92	0.00	43.37	Sale

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Proceeds from Broker and Barter Exchange Transactions

2021 Form 1099-B*

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(continued)

01/31/2022

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SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

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

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NETFLIX INC COM CUSIP: 64110L106 Symbol(Box 1a): NFLX							
01/19/2021	2.00	1,113.70	01/19/2021	1,021.84	0.00	91.86	Sale
01/19/2021	4.00	2,108.74	01/19/2021	2,043.68	0.00	65.06	Sale
01/19/2021	8.00	4,221.41	01/19/2021	4,087.36	0.00	134.05	Sale
01/19/2021	16.00	8,498.36	Various	8,128.97	0.00	369.39	Sale
01/20/2021	1.00	572.50	01/19/2021	510.92	0.00	61.58	Sale
Security Totals:		17,632.63		16,814.61		818.02	
***NIO INC AMERICAN DEPOSITARY SHARES ECH RPRSNTNG ONE CL A ORD SHARE CUSIP: 62914V106 Symbol(Box 1a): NIO							
01/04/2021	7.00	377.70	Various	328.10	0.00	49.60	Sale
01/11/2021	19.00	1,156.72	Various	1,153.99	4.8 D	7.53	Sale
01/13/2021	7.00	434.40	01/11/2021	431.76	0.00	2.64	Sale
01/19/2021	3.00	174.70	01/19/2021	176.70	1.33 D	-0.67	Sale
01/19/2021	3.00	170.29	01/19/2021	176.70	6.41 D	0.00	Sale
02/16/2021	5.00	295.33	Various	303.99	8.66 D	0.00	Sale
03/01/2021	39.00	1,997.94	03/01/2021	1,971.06	0.00	26.88	Sale
03/01/2021	48.00	2,432.61	03/01/2021	2,466.24	33.63 D	0.00	Sale
03/01/2021	78.00	4,009.16	Various	3,950.78	4.38 D	62.76	Sale
03/01/2021	141.00	7,241.70	Various	7,216.20	6.46 D	31.96	Sale
03/09/2021	25.00	999.23	Various	987.65	0.00	11.58	Sale
03/09/2021	75.00	2,960.22	Various	2,932.02	0.09 D	28.29	Sale
03/09/2021	100.00	3,924.96	Various	3,892.42	3.27 D	35.81	Sale

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2021 Form 1099-B*

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***NIO INC AMERICAN DEPOSITARY SHARES ECH RPRSNTNG ONE CL A ORD SHARE CUSIP: 62914V106 Symbol(Box 1a): NIO							
06/07/2021	1.00	43.06	03/09/2021	42.91	0.00	0.15	Sale
06/29/2021	1.00	49.17	03/09/2021	42.91	0.00	6.26	Sale
07/06/2021	1.00	49.03	03/25/2021	38.43	0.00	10.60	Sale
07/16/2021	1.00	42.64	03/25/2021	37.43	0.00	5.21	Sale
Security Totals:		26,358.86		26,149.29		278.60	
CALL WWR 02/19/21 10 WESTWATER RESOURCES INC CUSIP: Symbol(Box 1a): WWR210219C00010000							
01/27/2021	1.00	79.90	01/26/2021	110.08	0.00	-30.18	Sell to Close
CALL PLTR 01/29/21 38 PALANTIR TECHNOLOGIES INC CL A CUSIP: Symbol(Box 1a): PLTR210129C00038000							
01/25/2021	1.00	256.90	01/25/2021	270.08	0.00	-13.18	Sell to Close
URANIUM ENERGY CORP CUSIP: 916896103 Symbol(Box 1a): UEC							
01/08/2021	192.00	391.86	12/28/2020	376.32	0.00	15.54	Sale
OLB GROUP INC THE COMMON STOCK CUSIP: 67086U307 Symbol(Box 1a): OLB							
01/06/2021	107.00	628.42	01/06/2021	633.44	0.00	-5.02	Sale
02/10/2021	30.00	278.08	02/10/2021	296.40	0.00	-18.32	Sale
Security Totals:		906.50		929.84		-23.34	
PUT UAVS 02/19/21 10 AGEAGLE AERIAL SYSTEM INC CUSIP: Symbol(Box 1a): UAVS210219P00010000							
02/18/2021	1.00	114.90	02/18/2021	53.08	0.00	61.82	Sell to Close
CPS TECHNOLOGIES CORP CUSIP: 12619F104 Symbol(Box 1a): CPSH							
01/13/2021	42.00	304.48	01/13/2021	335.16	30.68	0.00	Sale
01/13/2021	125.00	967.74	01/13/2021	997.50	29.76	0.00	Sale

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CPS TECHNOLOGIES CORP CUSIP: 12619F104 Symbol(Box 1a): CPSH							
01/14/2021	29.00	232.27	01/14/2021	251.37	19.1 D	0.00	Sale
01/14/2021	32.00	337.22	01/14/2021	302.66	0.00	34.56	Sale
01/22/2021	162.00	1,378.56	Various	1,455.42	8.4 D	-68.46	Sale
02/03/2021	27.00	273.49	02/03/2021	250.05	0.00	23.44	Sale
Security Totals:		3,493.76		3,592.16		-10.46	
***CASTOR MARITIME INC COMMON SHARES CUSIP: Y1146L125 Symbol(Box 1a): CTRM							
07/19/2021	59.00	120.05	Various	440.90	0.00	-320.85	Sale
CALL UAVS 02/19/21 12.50 AGEAGLE AERIAL SYSTEM INC CUSIP: Symbol(Box 1a): UAVS210219C00012500							
02/05/2021	1.00	204.90	02/04/2021	250.08	45.18 D	0.00	Sell to Close
02/09/2021	1.00	214.90	02/09/2021	275.26	0.00	-60.36	Sell to Close
Security Totals:		419.80		525.34		-60.36	
***CANOPY GROWTH CORPORATION COMMON SHARES CUSIP: 138035100 Symbol(Box 1a): CGC							
01/14/2021	14.00	465.89	Various	453.47	0.00	12.42	Sale
CALL GSAT 03/19/21 3 GLOBALSTAR INC CUSIP: Symbol(Box 1a): GSAT210319C00003000							
02/10/2021	1.00	49.90	02/10/2021	70.08	0.00	-20.18	Sell to Close
02/10/2021	1.00	49.90	02/10/2021	78.25	0.00	-28.35	Sell to Close
02/10/2021	2.00	113.82	02/10/2021	140.16	13.17 D	-13.17	Sell to Close
Security Totals:		213.62		288.49		-61.70	
WESTWATER RESOURCES INC COMMON STOCK CUSIP: 961684206 Symbol(Box 1a): WWR							
01/06/2021	72.00	354.22	Various	437.19	82.97 D	0.00	Sale
01/13/2021	134.00	716.52	Various	801.18	84.67 D	0.01	Sale
01/15/2021	595.00	2,974.86	Various	3,116.86	142.18 D	0.18	Sale

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

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WESTWATER RESOURCES INC COMMON STOCK CUSIP: 961684206 Symbol(Box 1a): WWR							
01/19/2021	23.00	157.76	01/19/2021	155.69	0.00	2.07	Sale
01/19/2021	46.00	311.40	01/19/2021	311.38	0.00	0.02	Sale
01/19/2021	61.00	363.59	01/15/2021	308.64	0.00	54.95	Sale
01/19/2021	91.00	541.42	01/15/2021	460.44	0.00	80.98	Sale
01/19/2021	252.00	1,531.07	Various	1,604.00	77.22 D	4.29	Sale
01/19/2021	323.00	2,118.79	Various	2,199.78	105.80 D	24.81	Sale
01/19/2021	400.00	2,367.89	Various	2,437.70	114.67 D	44.86	Sale
01/19/2021	465.00	2,989.82	Various	3,163.48	173.66 D	0.00	Sale
01/19/2021	659.00	4,131.75	Various	4,215.37	107.47 D	23.85	Sale
01/20/2021	23.00	148.10	01/19/2021	155.69	7.59 D	0.00	Sale
01/21/2021	120.00	727.17	Various	839.15	111.98 D	0.00	Sale
01/21/2021	94.00	619.43	Various	643.20	31.97 D	8.20	Sale
01/26/2021	47.00	374.57	01/21/2021	327.13	0.00	47.44	Sale
01/27/2021	47.00	347.78	01/21/2021	327.12	0.00	20.66	Sale
01/27/2021	757.00	6,709.11	Various	6,975.48	266.37 D	0.00	Sale
01/28/2021	88.00	607.17	Various	803.74	196.57 D	0.00	Sale
01/29/2021	32.00	225.58	Various	238.38	12.80 D	0.00	Sale
01/29/2021	33.00	236.55	Various	247.01	10.46 D	0.00	Sale
01/29/2021	65.00	463.42	Various	481.56	18.14 D	0.00	Sale
01/29/2021	231.00	1,448.46	Various	1,548.27	99.81 D	0.00	Sale
02/01/2021	74.00	487.63	02/01/2021	507.92	20.29 D	0.00	Sale

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APEX CLEARING

Proceeds from Broker and Barter Exchange Transactions

2021 Form 1099-B*

5NA77394

(continued)

01/31/2022

OMB No. 1545-0715

SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

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

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

Box 5: Box Not Checked (Covered Security)

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

Box 12: Basis Reported to the IRS

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

Date Sold or Disposed (Box 1c)	Quantity	Proceeds (Box 1d)	Date Acquired (Box 1b)	Cost or Other Basis (Box 1e)	Accrued Market Discount (M)(Box 1f) & Wash Sale Loss Disallowed (D)(Box 1g)	Gain or Loss(-)	Additional Notes
WESTWATER RESOURCES INC COMMON STOCK CUSIP: 961684206 Symbol(Box 1a): WWR							
02/01/2021	75.00	488.97	02/01/2021	514.78	25.81 D	0.00	Sale
02/02/2021	578.00	4,289.04	Various	4,617.85	236.75 D	-92.06	Sale
02/03/2021	48.00	355.20	Various	358.81	0.00	-3.61	Sale
02/05/2021	24.00	212.88	Various	179.47	0.00	33.41	Sale
02/08/2021	64.00	668.77	Various	765.16	1.82 D	-94.57	Sale
02/08/2021	82.00	898.76	Various	836.23	27.72 D	90.25	Sale
02/10/2021	29.00	270.26	Various	294.38	0.00	-24.12	Sale
02/10/2021	58.00	518.54	Various	708.62	0.00	-190.08	Sale
02/12/2021	73.00	680.33	Various	668.80	0.00	11.53	Sale
02/12/2021	36.00	331.18	02/12/2021	313.08	0.00	18.10	Sale
02/22/2021	31.00	245.52	02/12/2021	269.59	0.00	-24.07	Sale
02/23/2021	15.00	97.18	Various	123.42	0.00	-26.24	Sale
02/24/2021	70.00	444.78	Various	479.27	0.00	-34.49	Sale
03/12/2021	12.00	73.90	03/09/2021	97.32	0.00	-23.42	Sale
07/19/2021	5.00	19.43	03/09/2021	30.82	0.00	-11.39	Sale
Security Totals:		40,548.80		42,563.96		-58.44	
NOVAN INC COM CUSIP: 66988N106 Symbol(Box 1a): NOVN							
01/04/2021	277.00	296.65	Various	339.19	42.54 D	0.00	Sale
01/05/2021	87.00	89.59	Various	109.55	19.96 D	0.00	Sale
01/05/2021	261.00	276.62	Various	331.70	55.08 D	0.00	Sale
01/08/2021	353.00	358.25	Various	364.81	8.31 D	1.75	Sale
01/15/2021	201.00	235.14	Various	253.89	18.75 D	0.00	Sale
01/15/2021	813.00	983.60	Various	1,111.52	127.92 D	0.00	Sale
01/15/2021	1,942.00	2,621.41	Various	3,047.65	426.24 D	0.00	Sale

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APEX CLEARING

Proceeds from Broker and Barter Exchange Transactions

2021 Form 1099-B*

5NA77394

(continued)

01/31/2022

OMB No. 1545-0715

SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

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

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

Date Sold or Disposed (Box 1c)	Quantity	Proceeds (Box 1d)	Date Acquired (Box 1b)	Cost or Other Basis (Box 1e)	Accrued Market Discount (M)(Box 1f) & Wash Sale Loss Disallowed (D)(Box 1g)	Gain or Loss(-)	Additional Notes
NOVAN INC COM CUSIP: 66988N106 Symbol(Box 1a): NOVN							
01/15/2021	2,254.00	3,065.10	Various	3,562.82	158.27 D	-339.45	Sale
01/19/2021	166.00	250.63	Various	248.30	2.64 D	4.97	Sale
01/19/2021	177.00	251.50	Various	257.07	1.90 D	-3.67	Sale
01/19/2021	178.00	254.51	Various	308.86	0.00	-54.35	Sale
01/22/2021	250.00	350.24	Various	384.99	0.00	-34.75	Sale
02/12/2021	106.00	249.08	Various	233.61	0.00	15.47	Sale
02/17/2021	180.00	395.97	Various	477.88	0.00	-81.91	Sale
02/19/2021	61.00	105.82	Various	138.22	0.00	-32.40	Sale
Security Totals:		9,784.11		11,170.06		-524.34	
IZEA WORLDWIDE INC COMMON STOCK CUSIP: 46604H105 Symbol(Box 1a): IZEA							
01/05/2021	79.00	142.97	Various	150.27	7.30 D	0.00	Sale
01/14/2021	121.00	372.79	01/14/2021	372.68	0.00	0.11	Sale
01/14/2021	122.00	361.10	01/14/2021	375.76	9.13 D	-5.53	Sale
01/14/2021	242.00	757.41	01/14/2021	745.36	0.00	12.05	Sale
01/14/2021	484.00	1,506.20	Various	1,496.14	19.33 D	29.39	Sale
01/20/2021	65.00	243.08	Various	253.44	6.37 D	-3.99	Sale
01/25/2021	72.00	382.30	Various	304.00	0.00	78.30	Sale
01/25/2021	165.00	1,023.45	Various	1,057.75	11.34 D	-22.96	Sale
01/25/2021	56.00	406.54	01/25/2021	361.17	0.00	45.37	Sale
02/22/2021	41.00	176.28	Various	201.94	0.00	-25.66	Sale
02/24/2021	28.00	117.58	02/24/2021	130.27	0.00	-12.69	Sale
02/24/2021	28.00	123.46	02/24/2021	130.27	0.00	-6.81	Sale
Security Totals:		5,613.16		5,579.05		87.58	

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APEX CLEARING

Proceeds from Broker and Barter Exchange Transactions

2021 Form 1099-B*

5NA77394

(continued)

01/31/2022

OMB No. 1545-0715

SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

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

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

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

Date Sold or Disposed (Box 1c)	Quantity	Proceeds (Box 1d)	Date Acquired (Box 1b)	Cost or Other Basis (Box 1e)	Accrued Market Discount (M)(Box 1f) & Wash Sale Loss Disallowed (D)(Box 1g)	Gain or Loss(-)	Additional Notes
PUT AAPL 03/19/21 112.50 APPLE INC ADJ 4:1 STOCK SPLIT CUSIP: Symbol(Box 1a): AAPL210319P00112500							
03/05/2021	1.00	197.90	03/03/2021	100.08	0.00	97.82	Sell to Close
CALL LMND 01/15/21 160 LEMONADE INC CUSIP: Symbol(Box 1a): LMND210115C00160000							
01/07/2021	1.00	591.89	01/07/2021	390.08	0.00	201.81	Sell to Close
CALL UAVS 02/19/21 15 AGEAGLE AERIAL SYSTEM INC CUSIP: Symbol(Box 1a): UAVS210219C00015000							
02/10/2021	1.00	209.90	02/10/2021	275.08	0.00	-65.18	Sell to Close
02/10/2021	1.00	279.90	02/10/2021	275.08	0.00	4.82	Sell to Close
02/10/2021	2.00	589.81	Various	500.16	0.00	89.65	Sell to Close
Security Totals:		1,079.61		1,050.32		29.29	
GORES HOLDINGS IV INC CLASS A COMMON STOCK CUSIP: 382865103 Symbol(Box 1a): GHIV							
01/05/2021	93.00	1,177.34	Various	1,239.80	62.46 D	0.00	Sale
01/13/2021	28.00	358.94	12/31/2020	377.11	18.17 D	0.00	Sale
01/20/2021	84.00	981.92	Various	1,084.05	102.13 D	0.00	Sale
01/20/2021	516.00	6,124.72	Various	6,456.82	114.76 D	-217.34	Sale
Security Totals:		8,642.92		9,157.78		-217.34	
CALL MARA 02/19/21 30 MARATHON PATENT GROUP INC CUSIP: Symbol(Box 1a): MARA210219C00030000							
01/13/2021	1.00	394.90	01/12/2021	600.08	0.00	-205.18	Sell to Close
TORCHLIGHT ENERGY RESOURCES INC CUSIP: 89102U103 Symbol(Box 1a): TRCH							
01/05/2021	660.00	514.70	Various	529.07	14.37 D	0.00	Sale
01/06/2021	360.00	323.91	Various	310.96	0.5 D	13.45	Sale
01/06/2021	480.00	369.53	Various	395.06	25.53 D	0.00	Sale
01/07/2021	90.00	100.78	01/05/2021	81.62	0.00	19.16	Sale
01/07/2021	31.00	32.84	01/05/2021	28.11	0.00	4.73	Sale

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APEX CLEARING

Proceeds from Broker and Barter Exchange Transactions

2021 Form 1099-B*

5NA77394

(continued)

01/31/2022

OMB No. 1545-0715

SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

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

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Date Sold or Disposed (Box 1c)	Quantity	Proceeds (Box 1d)	Date Acquired (Box 1b)	Cost or Other Basis (Box 1e)	Accrued Market Discount (M)(Box 1f) & Wash Sale Loss Disallowed (D)(Box 1g)	Gain or Loss(-)	Additional Notes
TORCHLIGHT ENERGY RESOURCES INC CUSIP: 89102U103 Symbol(Box 1a): TRCH							
01/11/2021	414.00	538.13	Various	549.00	15.86 D	4.99	Sale
01/12/2021	139.00	172.48	Various	188.86	16.38 D	0.00	Sale
01/13/2021	448.00	641.06	Various	605.03	0.00	36.03	Sale
01/15/2021	135.00	197.07	01/14/2021	203.24	6.17 D	0.00	Sale
01/19/2021	393.00	593.36	Various	604.13	11.02 D	0.25	Sale
01/19/2021	642.00	937.21	Various	961.91	33.72 D	9.02	Sale
01/22/2021	1,041.00	1,842.40	Various	1,920.74	78.34 D	0.00	Sale
01/28/2021	187.00	265.51	Various	283.37	17.86 D	0.00	Sale
01/29/2021	240.00	434.36	Various	385.54	0.00	48.82	Sale
02/02/2021	252.00	456.07	Various	409.35	0.00	46.72	Sale
02/04/2021	461.00	779.02	Various	741.66	3.58 D	40.94	Sale
02/08/2021	230.00	305.86	Various	407.65	101.79 D	0.00	Sale
02/08/2021	241.00	385.83	Various	511.34	125.51 D	0.00	Sale
02/08/2021	362.00	572.30	Various	635.93	87.86 D	24.23	Sale
02/09/2021	290.00	466.85	02/08/2021	394.40	0.00	72.45	Sale
02/10/2021	93.00	265.96	02/10/2021	282.64	16.68 D	0.00	Sale
02/10/2021	112.00	300.14	02/10/2021	326.95	26.81 D	0.00	Sale
02/10/2021	135.00	353.82	Various	381.80	27.98 D	0.00	Sale
02/10/2021	165.00	457.19	Various	541.70	84.51 D	0.00	Sale
02/10/2021	185.00	530.91	Various	561.48	30.57 D	0.00	Sale
02/10/2021	218.00	582.01	02/10/2021	483.96	0.00	98.05	Sale
02/10/2021	336.00	974.70	Various	993.80	19.10 D	0.00	Sale
02/10/2021	370.00	1,091.43	Various	1,061.08	22.93 D	53.28	Sale
02/10/2021	778.00	2,389.17	Various	2,350.29	35.70 D	74.58	Sale

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APEX CLEARING

Proceeds from Broker and Barter Exchange Transactions

2021 Form 1099-B*

5NA77394

(continued)

01/31/2022

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SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

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

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TORCHLIGHT ENERGY RESOURCES INC CUSIP: 89102U103 Symbol(Box 1a): TRCH							
02/10/2021	778.00	2,326.93	Various	2,521.91	194.98 D	0.00	Sale
02/10/2021	817.00	2,246.60	Various	2,445.68	199.08 D	0.00	Sale
02/10/2021	1,313.00	2,875.24	Various	2,807.19	32.88 D	100.93	Sale
02/10/2021	1,342.00	3,891.55	Various	4,009.58	118.03 D	0.00	Sale
02/12/2021	102.00	361.06	02/12/2021	320.88	0.00	40.18	Sale
02/12/2021	136.00	390.44	Various	352.35	0.00	38.09	Sale
02/12/2021	160.00	588.76	Various	626.70	37.94 D	0.00	Sale
02/12/2021	203.00	560.24	Various	622.75	62.51 D	0.00	Sale
02/12/2021	216.00	753.79	Various	891.54	137.75 D	0.00	Sale
02/12/2021	222.00	765.85	02/12/2021	795.93	30.08 D	0.00	Sale
02/12/2021	243.00	673.06	Various	706.75	36.71 D	3.02	Sale
02/12/2021	272.00	701.71	Various	709.79	15.99 D	7.91	Sale
02/12/2021	319.00	1,167.47	Various	1,157.86	10.17 D	19.78	Sale
02/12/2021	444.00	1,580.55	Various	1,697.05	151.84 D	35.34	Sale
02/12/2021	1,218.00	3,423.70	Various	3,712.64	288.94 D	0.00	Sale
02/16/2021	76.00	313.86	02/16/2021	335.16	21.3 D	0.00	Sale
02/16/2021	72.00	269.26	02/12/2021	288.91	19.65 D	0.00	Sale
02/16/2021	86.00	399.88	Various	382.18	0.04 D	17.74	Sale
02/16/2021	115.00	488.72	Various	524.84	36.12 D	0.00	Sale
02/16/2021	109.00	481.87	Various	416.76	0.00	65.11	Sale
02/16/2021	697.00	3,053.48	Various	3,172.30	216.61 D	97.79	Sale
02/17/2021	48.00	189.15	Various	203.16	14.01 D	0.00	Sale
02/17/2021	96.00	370.54	Various	437.68	67.14 D	0.00	Sale
02/18/2021	273.00	925.71	Various	1,158.87	233.16 D	0.00	Sale

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APEX CLEARING

Proceeds from Broker and Barter Exchange Transactions

2021 Form 1099-B*

5NA77394

(continued)

01/31/2022

OMB No. 1545-0715

SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

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

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Date Sold or Disposed (Box 1c)	Quantity	Proceeds (Box 1d)	Date Acquired (Box 1b)	Cost or Other Basis (Box 1e)	Accrued Market Discount (M)(Box 1f) & Wash Sale Loss Disallowed (D)(Box 1g)	Gain or Loss(-)	Additional Notes
TORCHLIGHT ENERGY RESOURCES INC CUSIP: 89102U103 Symbol(Box 1a): TRCH							
02/19/2021	41.00	125.49	Various	150.78	0.00	-25.29	Sale
02/19/2021	83.00	269.82	Various	316.55	17.32 D	-29.41	Sale
02/22/2021	69.00	228.37	Various	255.29	0.00	-26.92	Sale
02/22/2021	69.00	230.57	Various	274.23	0.00	-43.66	Sale
02/24/2021	72.00	212.38	Various	281.38	0.00	-69.00	Sale
03/02/2021	79.00	204.68	Various	245.04	0.00	-40.36	Sale
03/03/2021	62.00	161.80	Various	208.41	0.00	-46.61	Sale
03/04/2021	31.00	73.45	Various	110.43	0.00	-36.98	Sale
03/12/2021	56.00	166.30	Various	195.33	0.00	-29.03	Sale
06/04/2021	72.00	192.94	Various	256.26	0.00	-63.32	Sale
06/07/2021	18.00	55.62	Various	63.12	0.00	-7.50	Sale
Security Totals:		47,595.44		49,785.95		554.51	
BOXLIGHT CORPORATION CLASS A COMMON STOCK CUSIP: 103197109 Symbol(Box 1a): BOXL							
02/09/2021	79.00	223.55	02/03/2021	199.08	0.00	24.47	Sale
02/18/2021	309.00	1,100.31	Various	1,115.25	0.00	-14.94	Sale
02/18/2021	78.00	265.96	02/18/2021	284.70	0.00	-18.74	Sale
02/19/2021	26.00	87.60	02/18/2021	94.90	0.00	-7.30	Sale
Security Totals:		1,677.42		1,693.93		-16.51	
***APHRIA INC COM CUSIP: 03765K104 Symbol(Box 1a): APHA							
02/11/2021	10.00	282.58	02/11/2021	294.00	0.00	-11.42	Sale
02/11/2021	29.00	831.69	02/11/2021	852.60	0.00	-20.91	Sale
02/11/2021	114.00	3,333.27	02/11/2021	3,351.60	16.08 D	-2.25	Sale
02/16/2021	12.00	250.09	02/16/2021	237.97	0.00	12.12	Sale

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APEX CLEARING

Proceeds from Broker and Barter Exchange Transactions

2021 Form 1099-B*

5NA77394

(continued)

01/31/2022

OMB No. 1545-0715

SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

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

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

Date Sold or Disposed (Box 1c)	Quantity	Proceeds (Box 1d)	Date Acquired (Box 1b)	Cost or Other Basis (Box 1e)	Accrued Market Discount (M)(Box 1f) & Wash Sale Loss Disallowed (D)(Box 1g)	Gain or Loss(-)	Additional Notes
***APHRIA INC COM CUSIP: 03765K104 Symbol(Box 1a): APHA							
02/17/2021	14.00	286.14	02/17/2021	290.65	0.00	-4.51	Sale
02/17/2021	13.00	276.49	02/16/2021	257.80	0.00	18.69	Sale
02/24/2021	15.00	279.58	02/24/2021	295.21	0.00	-15.63	Sale
03/02/2021	26.00	484.36	03/01/2021	497.40	0.00	-13.04	Sale
03/03/2021	11.00	199.54	03/02/2021	219.57	0.00	-20.03	Sale
Security Totals:		6,223.74		6,296.80		-56.98	
CALL W 01/22/21 425 WAYFAIR INC CUSIP: Symbol(Box 1a): W210122C00425000							
01/14/2021	1.00	249.90	01/14/2021	350.08	0.00	-100.18	Sell to Close
CALL SNAP 02/12/21 62 SNAP INC CUSIP: Symbol(Box 1a): SNAP210212C00062000							
02/05/2021	1.00	175.90	02/05/2021	200.08	0.00	-24.18	Sell to Close
CALL SPWR 02/12/21 45 SUNPOWER CORPORATION CUSIP: Symbol(Box 1a): SPWR210212C00045000							
01/21/2021	1.00	364.90	01/21/2021	282.08	0.00	82.82	Sell to Close
***NANO X IMAGING LTD ORDINARY SHARES CUSIP: M70700105 Symbol(Box 1a): NNOX							
01/12/2021	2.00	103.42	01/08/2021	104.86	0.00	-1.44	Sale
MACERICH CO CUSIP: 554382101 Symbol(Box 1a): MAC							
02/01/2021	17.00	275.21	02/01/2021	294.78	0.00	-19.57	Sale
CALL UAVS 04/16/21 12.50 AGEAGLE AERIAL SYSTEM INC CUSIP: Symbol(Box 1a): UAVS210416C00012500							
02/19/2021	1.00	329.90	02/19/2021	370.08	0.00	-40.18	Sell to Close
CALL UAVS 03/19/21 12.50 AGEAGLE AERIAL SYSTEM INC CUSIP: Symbol(Box 1a): UAVS210319C00012500							
02/04/2021	1.00	399.90	02/04/2021	300.08	0.00	99.82	Sell to Close

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APEX CLEARING

Proceeds from Broker and Barter Exchange Transactions

2021 Form 1099-B*

5NA77394

(continued)

01/31/2022

OMB No. 1545-0715

SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

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

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

Box 5: Box Not Checked (Covered Security)

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

Box 12: Basis Reported to the IRS

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

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

Date Sold or Disposed (Box 1c)	Quantity	Proceeds (Box 1d)	Date Acquired (Box 1b)	Cost or Other Basis (Box 1e)	Accrued Market Discount (M)(Box 1f) & Wash Sale Loss Disallowed (D)(Box 1g)	Gain or Loss(-)	Additional Notes
CALL UAVS 03/19/21 12.50 AGEAGLE AERIAL SYSTEM INC CUSIP: Symbol(Box 1a): UAVS210319C00012500							
02/18/2021	1.00	184.90	02/18/2021	307.26	122.36 D	0.00	Sell to Close
02/18/2021	1.00	194.90	02/18/2021	251.08	56.18 D	0.00	Sell to Close
02/19/2021	1.00	233.90	02/19/2021	367.44	0.00	-133.54	Sell to Close
Security Totals:		1,013.60		1,225.86		-33.72	
PUT IPOC 01/15/21 15 SOCIAL CPTL HDSPL HLDNGS CORP CUSIP: Symbol(Box 1a): IPOC210115P00015000							
01/06/2021	1.00	160.90	01/06/2021	169.08	0.00	-8.18	Sell to Close
CALL BB 02/05/21 25 BLACKBERRY LIMITED CUSIP: Symbol(Box 1a): BB210205C00025000							
01/25/2021	1.00	290.90	01/25/2021	321.08	0.00	-30.18	Sell to Close
PUT GUSH 03/19/21 50 DIREXION DLY S&P OIL & GAS EXP CUSIP: Symbol(Box 1a): GUSH210319P00050000							
02/26/2021	1.00	109.90	02/26/2021	160.08	0.00	-50.18	Sell to Close
AMERICAN AIRLINES GROUP INC CUSIP: 02376R102 Symbol(Box 1a): AAL							
01/05/2021	19.00	282.32	Various	343.59	61.27 D	0.00	Sale
01/13/2021	39.00	604.47	Various	652.01	47.54 D	0.00	Sale
01/28/2021	5.00	109.88	Various	147.18	37.30 D	0.00	Sale
01/28/2021	9.00	232.27	01/28/2021	257.85	25.58 D	0.00	Sale
01/28/2021	15.00	436.63	01/28/2021	384.27	0.00	52.36	Sale
01/28/2021	17.00	307.68	Various	401.39	93.71 D	0.00	Sale
01/28/2021	21.00	528.12	Various	555.28	27.24 D	0.08	Sale
01/28/2021	30.00	863.07	01/28/2021	768.53	0.00	94.54	Sale
01/28/2021	32.00	750.37	Various	899.54	149.17 D	0.00	Sale
01/28/2021	37.00	979.72	Various	1,025.94	60.00 D	13.78	Sale
01/28/2021	243.00	6,381.00	Various	6,259.10	16.67 D	138.57	Sale

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APEX CLEARING

Proceeds from Broker and Barter Exchange Transactions

2021 Form 1099-B*

5NA77394

(continued)

01/31/2022

OMB No. 1545-0715

SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

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

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

Date Sold or Disposed (Box 1c)	Quantity	Proceeds (Box 1d)	Date Acquired (Box 1b)	Cost or Other Basis (Box 1e)	Accrued Market Discount (M)(Box 1f) & Wash Sale Loss Disallowed (D)(Box 1g)	Gain or Loss(-)	Additional Notes
AMERICAN AIRLINES GROUP INC CUSIP: 02376R102 Symbol(Box 1a): AAL							
01/28/2021	61.00	1,835.43	01/28/2021	1,562.69	0.00	272.74	Sale
01/28/2021	121.00	3,555.47	Various	3,102.01	0.00	453.46	Sale
01/29/2021	6.00	115.24	Various	149.52	34.28 D	0.00	Sale
01/29/2021	12.00	236.74	Various	297.94	61.20 D	0.00	Sale
01/29/2021	15.00	275.71	Various	384.59	108.88 D	0.00	Sale
01/29/2021	18.00	305.62	Various	442.59	0.00	-136.97	Sale
01/29/2021	24.00	418.78	Various	589.51	158.98 D	-11.75	Sale
02/17/2021	19.00	335.52	Various	464.60	0.00	-129.08	Sale

Security Totals: 18,554.04 18,688.13 747.73

CALL UAVS 03/19/21 15 AGEAGLE AERIAL SYSTEM INC CUSIP: Symbol(Box 1a): UAVS210319C00015000							
02/04/2021	1.00	299.90	02/04/2021	390.08	90.18 D	0.00	Sell to Close
02/09/2021	1.00	409.90	02/05/2021	410.26	0.36 D	0.00	Sell to Close
02/10/2021	1.00	449.90	02/08/2021	300.44	0.00	149.46	Sell to Close
02/16/2021	1.00	400.90	02/12/2021	390.08	0.00	10.82	Sell to Close
02/17/2021	1.00	268.90	02/17/2021	290.08	0.00	-21.18	Sell to Close

Security Totals: 1,829.50 1,780.94 139.10

COMSOVEREIGN HOLDING CORP COMMON STOCK CUSIP: 205650203 Symbol(Box 1a): COMS							
02/02/2021	62.00	290.76	02/02/2021	300.08	9.32 D	0.00	Sale
02/12/2021	43.00	230.03	02/12/2021	254.93	0.00	-24.90	Sale
02/12/2021	48.00	238.54	02/11/2021	253.83	15.29 D	0.00	Sale
02/12/2021	49.00	243.02	Various	253.86	8.17 D	-2.67	Sale

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APEX CLEARING

Proceeds from Broker and Barter Exchange Transactions

2021 Form 1099-B*

5NA77394

(continued)

01/31/2022

OMB No. 1545-0715

SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

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

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

Date Sold or Disposed (Box 1c)	Quantity	Proceeds (Box 1d)	Date Acquired (Box 1b)	Cost or Other Basis (Box 1e)	Accrued Market Discount (M)(Box 1f) & Wash Sale Loss Disallowed (D)(Box 1g)	Gain or Loss(-)	Additional Notes
COMSOVEREIGN HOLDING CORP COMMON STOCK CUSIP: 205650203 Symbol(Box 1a): COMS							
02/22/2021	39.00	174.70	Various	205.93	0.00	-31.23	Sale
Security Totals:		1,177.05		1,268.63		-58.80	
TYME TECHNOLOGIES INC COMMON STOCK CUSIP: 90238J103 Symbol(Box 1a): TYME							
01/29/2021	138.00	241.47	01/28/2021	249.78	8.31 D	0.00	Sale
02/01/2021	138.00	230.58	01/28/2021	249.78	19.2 D	0.00	Sale
02/03/2021	35.00	125.28	Various	64.57	0.00	60.71	Sale
02/03/2021	139.00	510.09	Various	268.05	0.00	242.04	Sale
02/03/2021	105.00	383.23	02/01/2021	194.27	0.00	188.96	Sale
02/10/2021	94.00	284.80	02/09/2021	297.98	13.18 D	0.00	Sale
02/22/2021	94.00	228.57	02/16/2021	270.74	42.17 D	0.00	Sale
02/23/2021	47.00	101.03	Various	136.42	35.39 D	0.00	Sale
07/20/2021	198.00	205.89	Various	435.40	0.00	-229.51	Sale
Security Totals:		2,310.94		2,166.99		262.20	
UNITED AIRLINES HOLDINGS INC COMMON STOCK CUSIP: 910047109 Symbol(Box 1a): UAL							
01/21/2021	11.00	486.06	01/19/2021	487.85	0.00	-1.79	Sale
***NORTHERN DYNASTY MINERALS LTD CUSIP: 66510M204 Symbol(Box 1a): NAK							
01/21/2021	454.00	231.71	01/21/2021	249.16	17.45 D	0.00	Sale
01/25/2021	416.00	205.86	01/21/2021	265.59	59.73 D	0.00	Sale
01/27/2021	126.00	67.73	01/27/2021	86.42	18.69 D	0.00	Sale
01/27/2021	1,717.00	870.99	Various	974.23	103.24 D	0.00	Sale
02/01/2021	462.00	326.94	Various	409.02	0.00	-82.08	Sale

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APEX CLEARING

Proceeds from Broker and Barter Exchange Transactions

2021 Form 1099-B*

5NA77394

(continued)

01/31/2022

OMB No. 1545-0715

SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

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

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

Date Sold or Disposed (Box 1c)	Quantity	Proceeds (Box 1d)	Date Acquired (Box 1b)	Cost or Other Basis (Box 1e)	Accrued Market Discount (M)(Box 1f) & Wash Sale Loss Disallowed (D)(Box 1g)	Gain or Loss(-)	Additional Notes
***NORTHERN DYNASTY MINERALS LTD CUSIP: 66510M204 Symbol(Box 1a): NAK							
02/01/2021	684.00	486.91	Various	540.92	0.00	-54.01	Sale
02/01/2021	666.00	509.26	Various	535.66	0.00	-26.40	Sale
02/01/2021	2,036.00	1,476.97	Various	1,612.89	135.92 D	0.00	Sale
02/01/2021	6,931.00	5,455.04	Various	5,620.95	163.27 D	-2.64	Sale
02/01/2021	6,885.00	5,442.93	Various	5,656.13	157.26 D	-55.94	Sale
02/02/2021	457.00	288.76	02/02/2021	326.70	0.00	-37.94	Sale
02/10/2021	238.00	247.48	Various	208.11	0.00	39.37	Sale
02/11/2021	413.00	483.14	Various	506.95	0.00	-23.81	Sale
02/17/2021	168.00	148.31	02/12/2021	152.26	0.00	-3.95	Sale
02/23/2021	289.00	188.99	Various	254.80	0.00	-65.81	Sale
02/26/2021	264.00	215.83	02/24/2021	204.44	0.00	11.39	Sale
Security Totals:		16,646.85		17,604.23		-301.82	
***PAINREFORM LTD ORDINARY SHARES CUSIP: M77798102 Symbol(Box 1a): PRFX							
02/18/2021	28.00	164.43	02/16/2021	196.00	0.00	-31.57	Sale
STAFFING 360 SOLUTIONS INC COMMON STOCK CUSIP: 852387307 Symbol(Box 1a): STAF							
01/08/2021	617.00	505.79	01/07/2021	499.77	0.00	6.02	Sale
CALL RIOT 02/19/21 77 RIOT BLOCKCHAIN INC CUSIP: Symbol(Box 1a): RIOT210219C00077000							
02/19/2021	1.00	226.90	02/19/2021	250.08	0.00	-23.18	Sell to Close
CBAK ENERGY TECHNOLOGY INC COMMON STOCK CUSIP: 14986C102 Symbol(Box 1a): CBAT							
01/06/2021	56.00	366.78	Various	376.67	9.89 D	0.00	Sale
01/06/2021	255.00	1,784.93	Various	1,812.86	27.93 D	0.00	Sale
01/07/2021	12.00	92.38	01/07/2021	92.14	0.00	0.24	Sale
01/07/2021	74.00	567.55	Various	569.18	1.63 D	0.00	Sale

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APEX CLEARING

Proceeds from Broker and Barter Exchange Transactions

2021 Form 1099-B*

5NA77394

(continued)

01/31/2022

OMB No. 1545-0715

SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

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CBAK ENERGY TECHNOLOGY INC COMMON STOCK CUSIP: 14986C102 Symbol(Box 1a): CBAT							
01/07/2021	194.00	1,543.27	Various	1,782.23	264.13 D	25.17	Sale
01/13/2021	52.00	380.10	Various	380.64	4.79 D	4.25	Sale
01/15/2021	297.00	2,034.36	Various	2,332.50	298.14 D	0.00	Sale
01/15/2021	533.00	3,528.32	Various	3,849.87	321.55 D	0.00	Sale
01/19/2021	98.00	667.35	01/19/2021	664.04	0.00	3.31	Sale
01/19/2021	99.00	685.70	Various	673.49	0.00	12.21	Sale
01/19/2021	196.00	1,336.67	Various	1,557.19	222.16 D	1.64	Sale
01/22/2021	694.00	5,315.84	Various	5,687.13	0.00	-371.29	Sale
01/22/2021	1,410.00	10,588.69	Various	10,970.70	359.45 D	-22.56	Sale
01/25/2021	67.00	553.00	Various	580.13	20.92 D	-6.21	Sale
01/25/2021	67.00	658.58	Various	541.43	0.00	117.15	Sale
02/04/2021	46.00	340.48	02/03/2021	355.00	0.00	-14.52	Sale
02/05/2021	59.00	477.87	02/05/2021	503.34	0.00	-25.47	Sale
02/17/2021	41.00	354.63	02/11/2021	300.33	0.00	54.30	Sale
02/19/2021	12.00	103.54	02/19/2021	105.97	0.00	-2.43	Sale
02/19/2021	16.00	142.38	02/19/2021	141.29	0.00	1.09	Sale
02/24/2021	21.00	134.59	02/24/2021	149.38	0.00	-14.79	Sale
02/24/2021	8.00	51.26	02/24/2021	56.91	0.00	-5.65	Sale
02/24/2021	28.00	184.78	Various	207.19	0.00	-22.41	Sale
Security Totals:		31,893.05		33,689.61		-265.97	

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APEX CLEARING

Proceeds from Broker and Barter Exchange Transactions

2021 Form 1099-B*

5NA77394

(continued)

01/31/2022

OMB No. 1545-0715

SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

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

Date Sold or Disposed (Box 1c)	Quantity	Proceeds (Box 1d)	Date Acquired (Box 1b)	Cost or Other Basis (Box 1e)	Accrued Market Discount (M)(Box 1f) & Wash Sale Loss Disallowed (D)(Box 1g)	Gain or Loss(-)	Additional Notes
***MEDIGUS LTD AMERICAN DEPOSITARY SHARES SPONSORED CUSIP: 58471G300 Symbol(Box 1a): MDGS							
01/08/2021	98.00	286.14	01/08/2021	298.90	12.76 D	0.00	Sale
01/08/2021	183.00	462.95	Various	559.63	96.68 D	0.00	Sale
01/15/2021	317.00	732.21	Various	851.14	118.93 D	0.00	Sale
01/19/2021	647.00	1,623.58	Various	1,743.26	140.25 D	20.57	Sale
01/19/2021	159.00	372.03	01/15/2021	378.42	6.39 D	0.00	Sale
01/19/2021	568.00	1,482.37	Various	1,616.75	145.48 D	11.10	Sale
01/20/2021	274.00	708.87	Various	737.36	28.49 D	0.00	Sale
01/20/2021	2,034.00	5,694.83	Various	5,938.92	134.06 D	-110.03	Sale
01/21/2021	142.00	389.21	Various	418.84	0.00	-29.63	Sale
02/09/2021	274.00	937.32	Various	1,110.02	0.00	-172.70	Sale
Security Totals:		12,689.51		13,653.24		-280.69	
***CHINA LIBERAL EDUCATION HOLDINGS LIMITED ORDINARY SHARES CUSIP: G2161Y109 Symbol(Box 1a): CLEU							
02/11/2021	19.00	114.93	02/11/2021	99.75	0.00	15.18	Sale
CALL GUSH 02/19/21 60 DIREXION DLY S&P OIL & GAS EXP CUSIP: Symbol(Box 1a): GUSH210219C00060000							
01/13/2021	1.00	379.90	01/12/2021	410.08	0.00	-30.18	Sell to Close
CALL GUSH 02/19/21 65 DIREXION DLY S&P OIL & GAS EXP CUSIP: Symbol(Box 1a): GUSH210219C00065000							
01/14/2021	1.00	419.90	01/14/2021	360.08	0.00	59.82	Sell to Close
01/15/2021	1.00	264.90	01/15/2021	335.26	70.36 D	0.00	Sell to Close
01/15/2021	1.00	264.90	01/15/2021	290.08	25.18 D	0.00	Sell to Close
01/15/2021	1.00	284.90	01/15/2021	360.44	75.54 D	0.00	Sell to Close

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2021 Form 1099-B*

5NA77394

(continued)

01/31/2022

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SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

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01/19/2021	1.00	319.90	01/15/2021	365.62	0.00	-45.72	Sell to Close
Security Totals:		1,554.50		1,711.48		14.10	
PUT SPY 01/08/21 373 STANDARD & POORS DEPOSITORY CUSIP: Symbol(Box 1a): SPY210108P00373000							
01/07/2021	2.00	75.82	Various	490.16	0.00	-414.34	Sell to Close
CALL NNDM 03/19/21 17.50 NANO DIMENSION LTD ADS CUSIP: Symbol(Box 1a): NNDM210319C00017500							
02/19/2021	1.00	165.90	02/16/2021	220.08	0.00	-54.18	Sell to Close
***BELLUS HEALTH INC COM CUSIP: 07987C204 Symbol(Box 1a): BLU							
02/02/2021	54.00	196.00	02/02/2021	197.10	0.73 D	-0.37	Sale
02/19/2021	36.00	162.74	02/18/2021	147.97	0.00	14.77	Sale
Security Totals:		358.74		345.07		14.40	
CALL ENG 01/15/21 5 ENGLOBAL CORPORATION CUSIP: Symbol(Box 1a): ENG210115C00005000							
01/12/2021	1.00	159.90	01/12/2021	90.08	0.00	69.82	Sell to Close
CALL TLRV 02/05/21 14 TILRAY INC CUSIP: Symbol(Box 1a): TLRV210205C00014000							
01/13/2021	1.00	286.90	01/12/2021	133.08	0.00	153.82	Sell to Close
WALT DISNEY CO CUSIP: 254687106 Symbol(Box 1a): DIS							
02/11/2021	10.00	1,939.44	02/11/2021	1,943.60	0.00	-4.16	Sale
CALL AAPL 01/15/21 130 APPLE INC ADJ 4:1 STOCK SPLIT CUSIP: Symbol(Box 1a): AAPL210115C00130000							
01/08/2021	1.00	371.90	01/07/2021	273.08	0.00	98.82	Sell to Close
CALL DKNG 02/05/21 64 DRAFTKINGS INC CL A CUSIP: Symbol(Box 1a): DKNG210205C00064000							
02/03/2021	1.00	69.90	02/02/2021	60.08	0.00	9.82	Sell to Close
02/03/2021	1.00	55.90	02/02/2021	60.08	0.00	-4.18	Sell to Close
Security Totals:		125.80		120.16		5.64	

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APEX CLEARING

Proceeds from Broker and Barter Exchange Transactions

2021 Form 1099-B*

5NA77394

(continued)

01/31/2022

OMB No. 1545-0715

SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

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

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

Date Sold or Disposed (Box 1c)	Quantity	Proceeds (Box 1d)	Date Acquired (Box 1b)	Cost or Other Basis (Box 1e)	Accrued Market Discount (M)(Box 1f) & Wash Sale Loss Disallowed (D)(Box 1g)	Gain or Loss(-)	Additional Notes
PALANTIR TECHNOLOGIES INC CLASS A COMMON STOCK CUSIP: 69608A108 Symbol(Box 1a): PLTR							
01/05/2021	22.00	505.31	Various	648.95	143.64 D	0.00	Sale
01/06/2021	26.00	626.31	Various	817.49	191.18 D	0.00	Sale
01/06/2021	34.00	826.85	Various	1,037.01	210.16 D	0.00	Sale
01/08/2021	12.00	311.63	Various	314.32	13.71 D	11.02	Sale
01/13/2021	14.00	355.32	01/07/2021	334.95	0.00	20.37	Sale
01/13/2021	19.00	491.50	01/07/2021	454.58	0.00	36.92	Sale
01/14/2021	17.00	445.21	Various	443.63	2.57 D	4.15	Sale
01/14/2021	22.00	576.15	Various	569.19	4.36 D	11.32	Sale
01/15/2021	13.00	342.66	01/14/2021	332.74	0.00	9.92	Sale
01/15/2021	39.00	1,046.33	01/14/2021	998.21	0.00	48.12	Sale
01/19/2021	19.00	509.93	Various	512.75	4.18 D	1.36	Sale
01/21/2021	57.00	1,457.50	Various	1,856.79	399.29 D	0.00	Sale
01/22/2021	2.00	64.40	Various	61.12	1.32 D	4.60	Sale
01/22/2021	5.00	160.93	Various	154.58	3.09 D	9.44	Sale
01/22/2021	9.00	287.62	Various	274.57	8.49 D	21.54	Sale
01/25/2021	6.00	215.98	Various	223.00	7.02 D	0.00	Sale
01/25/2021	6.00	217.30	01/25/2021	223.00	5.7 D	0.00	Sale
01/25/2021	8.00	267.66	Various	291.34	23.68 D	0.00	Sale
01/25/2021	16.00	567.97	Various	616.48	72.00 D	23.49	Sale
01/25/2021	34.00	1,219.92	Various	1,289.96	73.93 D	3.89	Sale
01/28/2021	6.00	234.28	Various	280.88	46.6 D	0.00	Sale
01/28/2021	17.00	713.46	Various	807.46	94.00 D	0.00	Sale
01/29/2021	7.00	255.13	Various	325.05	69.92 D	0.00	Sale
01/29/2021	20.00	730.14	Various	887.27	157.13 D	0.00	Sale

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APEX CLEARING

Proceeds from Broker and Barter Exchange Transactions

2021 Form 1099-B*

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(continued)

01/31/2022

OMB No. 1545-0715

SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

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

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

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PALANTIR TECHNOLOGIES INC CLASS A COMMON STOCK CUSIP: 69608A108 Symbol(Box 1a): PLTR							
02/16/2021	16.00	464.93	Various	593.02	128.09 D	0.00	Sale
02/19/2021	28.00	775.01	Various	812.23	44.35 D	7.13	Sale
02/19/2021	31.00	816.20	Various	1,015.97	199.77 D	0.00	Sale
02/22/2021	21.00	601.68	Various	658.02	60.87 D	4.53	Sale
02/23/2021	3.00	77.32	Various	93.81	16.49 D	0.00	Sale
02/23/2021	22.00	571.56	Various	759.77	188.21 D	0.00	Sale
02/23/2021	46.00	1,192.11	Various	1,556.06	363.95 D	0.00	Sale
02/24/2021	5.00	135.48	Various	168.40	32.92 D	0.00	Sale
02/25/2021	87.00	2,101.90	Various	2,758.49	439.09 D	-217.50	Sale
03/04/2021	7.00	166.30	Various	234.04	0.00	-67.74	Sale
03/05/2021	10.00	208.18	Various	303.83	0.00	-95.65	Sale
03/05/2021	37.00	901.30	Various	1,128.94	0.00	-227.64	Sale
03/12/2021	9.00	232.18	Various	298.60	0.00	-66.42	Sale
06/07/2021	3.00	73.24	Various	90.60	0.00	-17.36	Sale
06/10/2021	2.00	48.02	Various	60.55	0.00	-12.53	Sale
06/29/2021	1.00	26.69	03/19/2021	24.40	0.00	2.29	Sale
07/06/2021	3.00	73.57	Various	71.43	0.00	2.14	Sale
07/16/2021	3.00	63.97	Various	83.35	0.00	-19.38	Sale
Security Totals:		20,959.13		24,466.83		-501.99	
CALL AAPL 01/15/21 135 APPLE INC ADJ 4:1 STOCK SPLIT CUSIP: Symbol(Box 1a): AAPL210115C00135000							
01/04/2021	1.00	181.90	12/31/2020	270.08	0.00	-88.18	Sell to Close
ENSERVO CORPORATION COMMON STOCK CUSIP: 29358Y201 Symbol(Box 1a): ENSV							
01/04/2021	162.00	304.56	12/29/2020	354.81	50.25 D	0.00	Sale
01/06/2021	186.00	407.31	Various	455.85	48.54 D	0.00	Sale
01/13/2021	107.00	240.73	Various	286.85	46.12 D	0.00	Sale

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APEX CLEARING

Proceeds from Broker and Barter Exchange Transactions

2021 Form 1099-B*

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(continued)

01/31/2022

OMB No. 1545-0715

SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

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

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

Date Sold or Disposed (Box 1c)	Quantity	Proceeds (Box 1d)	Date Acquired (Box 1b)	Cost or Other Basis (Box 1e)	Accrued Market Discount (M)(Box 1f) & Wash Sale Loss Disallowed (D)(Box 1g)	Gain or Loss(-)	Additional Notes
ENSERVCO CORPORATION COMMON STOCK CUSIP: 29358Y201 Symbol(Box 1a): ENSV							
01/13/2021	108.00	239.74	01/12/2021	267.74	28 D	0.00	Sale
01/28/2021	418.00	1,103.44	Various	1,130.27	2 D	-24.83	Sale
02/04/2021	73.00	185.40	Various	218.14	0.00	-32.74	Sale
Security Totals:		2,481.18		2,713.66		-57.57	
CALL GSAT 03/19/21 1 GLOBALSTAR INC CUSIP: Symbol(Box 1a): GSAT210319C00001000							
02/09/2021	2.00	129.82	01/27/2021	70.16	0.00	59.66	Sell to Close
02/09/2021	1.00	99.90	02/03/2021	40.08	0.00	59.82	Sell to Close
02/09/2021	2.00	109.82	01/27/2021	70.16	0.00	39.66	Sell to Close
Security Totals:		339.54		180.40		159.14	
ADITXT INC COMMON STOCK CUSIP: 007025109 Symbol(Box 1a): ADTX							
01/21/2021	57.00	277.00	01/21/2021	248.52	0.00	28.48	Sale
CALL AAPL 01/15/21 150 APPLE INC ADJ 4:1 STOCK SPLIT CUSIP: Symbol(Box 1a): AAPL210115C000150000							
01/06/2021	1.00	5.90	12/22/2020	84.08	0.00	-78.18	Sell to Close
GROWGENERATION CORP COMMON STOCK CUSIP: 39986L109 Symbol(Box 1a): GRWG							
01/05/2021	11.00	426.78	12/31/2020	459.14	11.77 D	-20.59	Sale
01/06/2021	3.00	131.42	12/31/2020	129.01	0.00	2.41	Sale
01/13/2021	1.00	48.43	12/31/2020	43.00	0.00	5.43	Sale
Security Totals:		606.63		631.15		-12.75	
CHINA PHARMA HOLDINGS INC CUSIP: 16941T104 Symbol(Box 1a): CPHI							
01/11/2021	423.00	279.12	01/11/2021	299.61	20.49 D	0.00	Sale
01/13/2021	488.00	334.26	Various	372.21	0.00	-37.95	Sale

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APEX CLEARING

Proceeds from Broker and Barter Exchange Transactions

2021 Form 1099-B*

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01/31/2022

OMB No. 1545-0715

SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

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

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

Date Sold or Disposed (Box 1c)	Quantity	Proceeds (Box 1d)	Date Acquired (Box 1b)	Cost or Other Basis (Box 1e)	Accrued Market Discount (M)(Box 1f) & Wash Sale Loss Disallowed (D)(Box 1g)	Gain or Loss(-)	Additional Notes
CHINA PHARMA HOLDINGS INC CUSIP: 16941T104 Symbol(Box 1a): CPHI							
01/13/2021	1,035.00	741.02	Various	765.69	22.46 D	-2.21	Sale
Security Totals:		1,354.40		1,437.51		-40.16	
BLINK CHARGING CO COMMON STOCK CUSIP: 09354A100 Symbol(Box 1a): BLNK							
01/05/2021	5.00	182.48	Various	238.81	56.33 D	0.00	Sale
01/05/2021	114.00	4,540.71	Various	4,657.95	108.66 D	-8.58	Sale
01/06/2021	3.00	125.11	01/06/2021	134.43	0.00	-9.32	Sale
01/06/2021	2.00	79.18	01/06/2021	89.62	0.00	-10.44	Sale
01/06/2021	48.00	2,126.69	01/06/2021	2,150.84	0.00	-24.15	Sale
01/06/2021	65.00	2,902.82	Various	2,803.49	0.00	99.33	Sale
01/06/2021	12.00	526.53	01/06/2021	537.71	0.00	-11.18	Sale
02/10/2021	3.00	164.12	02/03/2021	152.76	0.00	11.36	Sale
07/19/2021	2.00	62.48	03/09/2021	70.86	0.00	-8.38	Sale
Security Totals:		10,710.12		10,836.47		38.64	
PUT RCMT 02/19/21 5 RCM TECHNOLOGIES INC CUSIP: Symbol(Box 1a): RCMT210219P00005000							
02/12/2021	1.00	39.90	02/11/2021	54.08	0.00	-14.18	Sell to Close
CALL GME 02/05/21 800 GAMESTOP CORP CUSIP: Symbol(Box 1a): GME210205C00800000							
02/02/2021	1.00	764.89	02/02/2021	635.08	0.00	129.81	Sell to Close
02/02/2021	1.00	484.89	02/02/2021	510.08	0.00	-25.19	Sell to Close
Security Totals:		1,249.78		1,145.16		104.62	
CALL IPOC 01/15/21 17.50 SOCIAL CPTL HDSPH HLDNGS CORP CUSIP: Symbol(Box 1a): IPOC210115C00017500							
01/05/2021	1.00	129.90	12/28/2020	270.26	140.36 D	0.00	Sell to Close

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2021 Form 1099-B*

5NA77394

(continued)

01/31/2022

OMB No. 1545-0715

SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

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CALL IPOC 01/15/21 17.50 SOCIAL CPTL HDSPH HLDNGS CORP CUSIP: Symbol(Box 1a): IPOC210115C00017500							
01/05/2021	1.00	129.90	12/28/2020	190.08	60.18 D	0.00	Sell to Close
01/05/2021	3.00	422.74	Various	744.60	321.86 D	0.00	Sell to Close
Security Totals:		682.54		1,204.94		0.00	
HUDSON TECHNOLOGIES INC CUSIP: 444144109 Symbol(Box 1a): HDSN							
02/02/2021	132.00	262.65	02/02/2021	244.97	0.00	17.68	Sale
02/02/2021	119.00	180.86	02/02/2021	199.79	0.00	-18.93	Sale
02/02/2021	132.00	252.24	02/02/2021	244.96	0.00	7.28	Sale
Security Totals:		695.75		689.72		6.03	
CALL PLUG 01/22/21 33 PLUG POWER INC CUSIP: Symbol(Box 1a): PLUG210122C00033000							
01/05/2021	1.00	239.90	01/05/2021	270.08	0.00	-30.18	Sell to Close
SKILLZ INC CLASS A COMMON STOCK CUSIP: 83067L109 Symbol(Box 1a): SKLZ							
07/16/2021	8.00	116.46	Various	185.66	0.00	-69.20	Sale
INSIGNIA SYSTEMS INC COMMON STOCK CUSIP: 45765Y204 Symbol(Box 1a): ISIG							
01/20/2021	429.00	4,294.14	01/20/2021	4,427.28	0.00	-133.14	Sale
01/20/2021	144.00	1,418.34	01/20/2021	1,486.08	0.00	-67.74	Sale
Security Totals:		5,712.48		5,913.36		-200.88	
TRADE DESK INC (THE) CLASS A COMMON STOCK CUSIP: 88339J105 Symbol(Box 1a): TTD							
02/18/2021	1.00	827.87	02/18/2021	839.90	0.00	-12.03	Sale
02/18/2021	1.00	824.51	02/18/2021	860.29	35.78 D	0.00	Sale
02/18/2021	1.00	818.61	02/18/2021	862.08	43.47 D	0.00	Sale

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2021 Form 1099-B*

5NA77394

(continued)

01/31/2022

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SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

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TRADE DESK INC (THE) CLASS A COMMON STOCK CUSIP: 88339J105 Symbol(Box 1a): TTD							
02/18/2021	3.00	2,487.71	02/18/2021	2,519.70	0.00	-31.99	Sale
02/18/2021	3.00	2,487.02	02/18/2021	2,519.70	0.00	-32.68	Sale
02/18/2021	7.00	5,835.76	Various	5,922.77	0.00	-87.01	Sale
Security Totals:		13,281.48		13,524.44		-163.71	
***CRH MEDICAL CORPORATION CUSIP: 12626F105 Symbol(Box 1a): CRHM							
02/08/2021	76.00	301.02	02/08/2021	303.24	0.00	-2.22	Sale
02/08/2021	77.00	302.67	02/08/2021	307.23	0.00	-4.56	Sale
02/08/2021	152.00	606.44	02/08/2021	606.48	0.00	-0.04	Sale
02/08/2021	913.00	3,642.67	Various	3,642.87	0.00	-0.20	Sale
Security Totals:		4,852.80		4,859.82		-7.02	
PUT SPY 01/29/21 382.50 STANDARD & POORS DEPOSITORY CUSIP: Symbol(Box 1a): SPY210129P00382500							
01/21/2021	1.00	261.90	01/21/2021	299.08	0.00	-37.18	Sell to Close
FOLEY TRASIMENE ACQUISITION CORP II CLASS A COMMON STOCK CUSIP: 344328109 Symbol(Box 1a): BFT							
01/19/2021	30.00	525.07	01/15/2021	492.00	0.00	33.07	Sale
01/21/2021	22.00	434.66	01/21/2021	417.54	0.00	17.12	Sale
01/21/2021	22.00	435.14	01/21/2021	417.53	0.00	17.61	Sale
01/21/2021	130.00	2,494.65	01/21/2021	2,467.26	0.00	27.39	Sale
Security Totals:		3,889.52		3,794.33		95.19	
CALL GUSH 03/19/21 60 DIREXION DLY S&P OIL & GAS EXP CUSIP: Symbol(Box 1a): GUSH210319C00060000							
01/04/2021	1.00	164.90	12/29/2020	208.43	0.00	-43.53	Sell to Close

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2021 Form 1099-B*

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(continued)

01/31/2022

OMB No. 1545-0715

SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

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

Date Sold or Disposed (Box 1c)	Quantity	Proceeds (Box 1d)	Date Acquired (Box 1b)	Cost or Other Basis (Box 1e)	Accrued Market Discount (M)(Box 1f) & Wash Sale Loss Disallowed (D)(Box 1g)	Gain or Loss(-)	Additional Notes
CALL GUSH 03/19/21 60 DIREXION DLY S&P OIL & GAS EXP CUSIP: Symbol(Box 1a): GUSH210319C00060000							
01/04/2021	1.00	170.90	12/29/2020	193.25	0.00	-22.35	Sell to Close
Security Totals:		335.80		401.68		-65.88	
***ZOMEDICA CORP COM CUSIP: 98980M109 Symbol(Box 1a): ZOM							
01/05/2021	936.00	417.34	Various	424.11	5.55 D	-1.22	Sale
01/05/2021	937.00	392.76	01/05/2021	419.63	0.00	-26.87	Sale
01/19/2021	381.00	422.85	Various	452.38	29.53 D	0.00	Sale
01/28/2021	203.00	195.68	01/28/2021	201.68	6 D	0.00	Sale
02/05/2021	157.00	301.58	02/05/2021	319.46	17.88 D	0.00	Sale
02/05/2021	793.00	1,474.85	Various	1,514.48	39.63 D	0.00	Sale
02/08/2021	107.00	258.92	Various	307.83	48.91 D	0.00	Sale
02/08/2021	457.00	1,119.57	02/08/2021	1,142.50	0.00	-22.93	Sale
02/08/2021	1,369.00	3,381.19	Various	3,502.67	113.18 D	-8.30	Sale
02/11/2021	388.00	1,160.04	Various	1,161.19	0.73 D	-0.42	Sale
02/11/2021	388.00	1,117.36	Various	1,208.85	0.00	-91.49	Sale
02/12/2021	159.00	414.96	Various	433.34	0.00	-18.38	Sale
02/17/2021	119.00	265.35	02/11/2021	324.89	0.00	-59.54	Sale
02/22/2021	30.00	66.01	02/11/2021	81.91	0.00	-15.90	Sale
02/23/2021	10.00	17.98	02/11/2021	27.30	9.32 D	0.00	Sale
07/19/2021	78.00	47.17	Various	159.34	0.00	-112.17	Sale
Security Totals:		11,053.61		11,681.56		-357.22	

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APEX CLEARING

Proceeds from Broker and Barter Exchange Transactions

2021 Form 1099-B*

5NA77394

(continued)

01/31/2022

OMB No. 1545-0715

SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

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

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

Box 5: Box Not Checked (Covered Security)

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

Box 12: Basis Reported to the IRS

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

Date Sold or Disposed (Box 1c)	Quantity	Proceeds (Box 1d)	Date Acquired (Box 1b)	Cost or Other Basis (Box 1e)	Accrued Market Discount (M)(Box 1f) & Wash Sale Loss Disallowed (D)(Box 1g)	Gain or Loss(-)	Additional Notes
PUT SOS 02/19/21 10 SOS LIMITED ADS CUSIP: Symbol(Box 1a): SOS210219P00010000							
02/18/2021	1.00	25.90	02/18/2021	52.08	0.00	-26.18	Sell to Close
CALL BTBT 02/19/21 35 BIT DIGITAL INC CUSIP: Symbol(Box 1a): BTBT210219C00035000							
02/09/2021	1.00	149.90	02/08/2021	185.08	0.00	-35.18	Sell to Close
CALL XL 01/15/21 25 XL FLEET CORPORATION CL A CUSIP: Symbol(Box 1a): XL210115C00025000							
01/04/2021	1.00	129.90	12/31/2020	310.26	180.36 D	0.00	Sell to Close
01/04/2021	1.00	135.90	12/31/2020	379.44	0.00	-243.54	Sell to Close
01/04/2021	1.00	139.90	12/31/2020	215.08	75.18 D	0.00	Sell to Close
Security Totals:		405.70		904.78		-243.54	
CALL SOS 02/19/21 12.50 SOS LIMITED ADS CUSIP: Symbol(Box 1a): SOS210219C00012500							
02/16/2021	1.00	184.90	02/16/2021	275.26	90.36 D	0.00	Sell to Close
02/16/2021	1.00	179.90	02/16/2021	290.44	110.54 D	0.00	Sell to Close
02/16/2021	1.00	199.90	02/16/2021	275.08	75.18 D	0.00	Sell to Close
02/16/2021	1.00	239.90	02/16/2021	275.62	0.00	-35.72	Sell to Close
Security Totals:		804.60		1,116.40		-35.72	
VERTEX ENERGY INC CUSIP: 92534K107 Symbol(Box 1a): VTNR							
01/14/2021	341.00	385.28	Various	398.87	0.00	-13.59	Sale
COMSTOCK MINING INC COMMON STOCK CUSIP: 205750300 Symbol(Box 1a): LODD							
02/01/2021	87.00	192.25	02/01/2021	190.53	0.00	1.72	Sale
02/01/2021	73.00	181.75	02/01/2021	193.45	11.7 D	0.00	Sale
02/01/2021	87.00	209.65	02/01/2021	190.53	0.00	19.12	Sale

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APEX CLEARING

Proceeds from Broker and Barter Exchange Transactions

2021 Form 1099-B*

5NA77394

(continued)

01/31/2022

OMB No. 1545-0715

SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

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

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

Date Sold or Disposed (Box 1c)	Quantity	Proceeds (Box 1d)	Date Acquired (Box 1b)	Cost or Other Basis (Box 1e)	Accrued Market Discount (M)(Box 1f) & Wash Sale Loss Disallowed (D)(Box 1g)	Gain or Loss(-)	Additional Notes
COMSTOCK MINING INC COMMON STOCK CUSIP: 205750300 Symbol(Box 1a): LODE							
02/01/2021	173.00	418.63	Various	373.63	0.00	45.00	Sale
02/17/2021	15.00	89.53	Various	102.10	0.00	-12.57	Sale
02/17/2021	30.00	185.98	02/17/2021	190.80	4.66 D	-0.16	Sale
02/18/2021	15.00	72.43	02/17/2021	102.58	0.00	-30.15	Sale
Security Totals:		1,350.22		1,343.62		22.96	
KEMP HARM INC COMMON STOCK CUSIP: 488445206 Symbol(Box 1a): KMPH							
01/26/2021	23.00	173.85	01/25/2021	192.05	0.00	-18.20	Sale
CALL LMND 01/22/21 190 LEMONADE INC CUSIP: Symbol(Box 1a): LMND210122C00190000							
01/14/2021	1.00	369.90	01/14/2021	310.08	0.00	59.82	Sell to Close
AMCI ACQUISITION CORP CLASS A COMMON STOCK CUSIP: 00165R101 Symbol(Box 1a): AMCI							
01/05/2021	24.00	345.68	Various	399.40	53.72 D	0.00	Sale
01/08/2021	60.00	944.96	Various	962.79	14.46 D	-3.37	Sale
01/13/2021	20.00	356.78	Various	368.75	0.00	-11.97	Sale
Security Totals:		1,647.42		1,730.94		-15.34	
ALPHABET INC CLASS C CAPITAL STOCK CUSIP: 02079K107 Symbol(Box 1a): GOOG							
02/02/2021	1.00	2,072.66	02/02/2021	2,062.50	0.00	10.16	Sale
02/02/2021	1.00	2,072.25	02/02/2021	2,062.50	0.00	9.75	Sale
02/02/2021	3.00	6,161.59	02/02/2021	6,050.70	0.00	110.89	Sale
02/02/2021	3.00	6,074.85	02/02/2021	6,050.70	0.00	24.15	Sale
02/02/2021	6.00	12,372.31	02/02/2021	12,375.00	0.00	-2.69	Sale
Security Totals:		28,753.66		28,601.40		152.26	

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APEX CLEARING

Proceeds from Broker and Barter Exchange Transactions

2021 Form 1099-B*

5NA77394

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01/31/2022

OMB No. 1545-0715

SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

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

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

Date Sold or Disposed (Box 1c)	Quantity	Proceeds (Box 1d)	Date Acquired (Box 1b)	Cost or Other Basis (Box 1e)	Accrued Market Discount (M)(Box 1f) & Wash Sale Loss Disallowed (D)(Box 1g)	Gain or Loss(-)	Additional Notes
CALL GENE 02/19/21 5 GENETIC TECHNOLOGIES LTD ADS CUSIP: Symbol(Box 1a): GENE210219C00005000							
02/17/2021	1.00	87.90	02/17/2021	105.08	0.00	-17.18	Sell to Close
PUT GME 02/05/21 40 GAMESTOP CORP CUSIP: Symbol(Box 1a): GME210205P00040000							
02/02/2021	1.00	299.90	02/02/2021	355.08	0.00	-55.18	Sell to Close
TIMBER PHARMACEUTICALS INC COMMON STOCK CUSIP: 887080109 Symbol(Box 1a): TMBR							
02/16/2021	42.00	123.46	02/12/2021	100.38	0.00	23.08	Sale
02/16/2021	43.00	128.98	02/12/2021	102.77	0.00	26.21	Sale
Security Totals:		252.44		203.15		49.29	
***JUST ENERGY GROUP INC COMMON SHARES CUSIP: 48213W408 Symbol(Box 1a): JE							
02/26/2021	207.00	968.73	02/26/2021	986.60	0.00	-17.87	Sale
CALL AYRO 03/19/21 10 AYRO INC CUSIP: Symbol(Box 1a): AYRO210319C00010000							
02/11/2021	1.00	179.90	02/11/2021	229.08	0.00	-49.18	Sell to Close
02/11/2021	1.00	204.90	02/11/2021	229.08	0.00	-24.18	Sell to Close
Security Totals:		384.80		458.16		-73.36	
CALL CBAT 02/19/21 7.50 CBAK ENERGY TECHNOLOGY INC CUSIP: Symbol(Box 1a): CBAT210219C00007500							
01/22/2021	1.00	149.90	01/21/2021	134.08	0.00	15.82	Sell to Close
01/22/2021	1.00	124.90	01/21/2021	134.08	0.00	-9.18	Sell to Close
01/22/2021	1.00	124.90	01/21/2021	134.08	0.00	-9.18	Sell to Close
01/22/2021	1.00	174.90	01/21/2021	134.08	0.00	40.82	Sell to Close
01/22/2021	1.00	119.90	01/21/2021	106.08	0.00	13.82	Sell to Close
Security Totals:		694.50		642.40		52.10	

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APEX CLEARING

Proceeds from Broker and Barter Exchange Transactions

2021 Form 1099-B*

5NA77394

(continued)

01/31/2022

OMB No. 1545-0715

SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

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

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

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Date Sold or Disposed (Box 1c)	Quantity	Proceeds (Box 1d)	Date Acquired (Box 1b)	Cost or Other Basis (Box 1e)	Accrued Market Discount (M)(Box 1f) & Wash Sale Loss Disallowed (D)(Box 1g)	Gain or Loss(-)	Additional Notes
ENPHASE ENERGY INC CUSIP: 29355A107 Symbol(Box 1a): ENPH							
01/04/2021	1.00	169.09	12/31/2020	174.35	0.00	-5.26	Sale
CALL CBAT 02/19/21 10 CBAK ENERGY TECHNOLOGY INC CUSIP: Symbol(Box 1a): CBAT210219C00010000							
01/25/2021	1.00	89.90	01/25/2021	124.08	0.00	-34.18	Sell to Close
CALL EVFM 02/19/21 5 EVOFEM BIOSCIENCES INC CUSIP: Symbol(Box 1a): EVFM210219C00005000							
02/17/2021	1.00	69.90	02/17/2021	50.08	0.00	19.82	Sell to Close
CALL NIO 02/19/21 63 NIO INC ADS CUSIP: Symbol(Box 1a): NIO210219C00063000							
02/10/2021	1.00	252.90	02/09/2021	320.08	0.00	-67.18	Sell to Close
CALL PENN 02/12/21 135 PENN NATIONAL GAMING INC CUSIP: Symbol(Box 1a): PENN210212C00135000							
01/22/2021	1.00	185.90	01/22/2021	198.08	0.00	-12.18	Sell to Close
MP MATERIALS CORP CLASS A COMMON STOCK CUSIP: 553368101 Symbol(Box 1a): MP							
01/19/2021	20.00	661.97	01/19/2021	671.00	0.00	-9.03	Sale
01/19/2021	58.00	1,936.56	Various	1,945.65	0.00	-9.09	Sale
Security Totals:		2,598.53		2,616.65		-18.12	
PHUNWARE INC COMMON STOCK CUSIP: 71948P100 Symbol(Box 1a): PHUN							
01/08/2021	215.00	292.36	Various	260.94	0.00	31.42	Sale
01/11/2021	162.00	197.61	Various	200.20	3.25 D	0.66	Sale
01/14/2021	122.00	172.00	Various	160.86	0.00	11.14	Sale
01/15/2021	122.00	163.56	Various	171.85	8.29 D	0.00	Sale
01/25/2021	177.00	338.04	Various	333.78	0.36 D	4.62	Sale
01/25/2021	59.00	112.67	01/25/2021	112.94	0.27 D	0.00	Sale
01/25/2021	196.00	331.21	Various	310.52	0.00	20.69	Sale
01/25/2021	391.00	547.33	Various	589.34	42.01 D	0.00	Sale
01/25/2021	236.00	436.56	Various	366.18	2.57 D	72.95	Sale

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APEX CLEARING

Proceeds from Broker and Barter Exchange Transactions

2021 Form 1099-B*

5NA77394

(continued)

01/31/2022

OMB No. 1545-0715

SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

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

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PHUNWARE INC COMMON STOCK CUSIP: 71948P100 Symbol(Box 1a): PHUN							
01/26/2021	1,271.00	2,910.37	Various	2,952.00	41.63 D	0.00	Sale
01/29/2021	170.00	498.06	Various	519.02	20.96 D	0.00	Sale
01/29/2021	171.00	511.25	Various	523.81	13.04 D	0.48	Sale
01/29/2021	198.00	326.67	Various	357.52	30.85 D	0.00	Sale
01/29/2021	313.00	776.18	Various	785.06	17.75 D	8.87	Sale
01/29/2021	313.00	810.61	Various	764.52	0.00	46.09	Sale
01/29/2021	529.00	1,534.00	Various	1,519.55	8.49 D	22.94	Sale
02/01/2021	82.00	272.22	Various	307.83	35.61 D	0.00	Sale
02/10/2021	149.00	426.23	02/10/2021	449.82	0.00	-23.59	Sale
02/10/2021	1,788.00	5,238.51	Various	5,418.98	0.00	-180.47	Sale
02/10/2021	4,102.00	11,982.08	Various	12,341.08	185.21 D	-173.79	Sale
02/10/2021	447.00	1,287.28	02/10/2021	1,349.48	0.00	-62.20	Sale
02/11/2021	162.00	510.39	02/11/2021	511.76	0.00	-1.37	Sale
02/12/2021	40.00	105.58	02/11/2021	126.36	0.00	-20.78	Sale
02/17/2021	123.00	353.22	Various	362.85	0.00	-9.63	Sale
02/17/2021	208.00	565.89	Various	639.86	0.00	-73.97	Sale
02/18/2021	62.00	158.75	02/17/2021	176.02	0.00	-17.27	Sale
02/18/2021	62.00	170.53	Various	183.30	0.00	-12.77	Sale
03/12/2021	57.00	105.43	03/11/2021	115.08	0.00	-9.65	Sale
07/19/2021	20.00	21.38	03/11/2021	40.38	0.00	-19.00	Sale
Security Totals:		31,155.97		31,950.89		-384.63	

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2021 Form 1099-B*

5NA77394

(continued)

01/31/2022

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CALL CCIV 02/19/21 30 CHURCHILL CAPITAL CORP IV CL A CUSIP: Symbol(Box 1a): CCIV210219C00030000							
01/22/2021	1.00	224.90	01/22/2021	319.26	94.36 D	0.00	Sell to Close
01/22/2021	1.00	197.90	01/22/2021	300.08	102.18 D	0.00	Sell to Close
01/25/2021	1.00	409.90	01/25/2021	514.44	104.54 D	0.00	Sell to Close
01/29/2021	1.00	379.90	01/29/2021	441.62	0.00	-61.72	Sell to Close
Security Totals:		1,212.60		1,575.40		-61.72	
HUMANIGEN INC COMMON STOCK CUSIP: 444863203 Symbol(Box 1a): HGEN							
01/22/2021	9.00	175.30	01/22/2021	180.90	0.00	-5.60	Sale
VENUS CONCEPT LTD COMMON STOCK CUSIP: 92332W105 Symbol(Box 1a): VERO							
01/19/2021	152.00	357.17	01/15/2021	349.60	0.00	7.57	Sale
01/25/2021	50.00	115.98	01/19/2021	121.00	5.02 D	0.00	Sale
01/29/2021	160.00	295.97	Various	332.30	0.00	-36.33	Sale
Security Totals:		769.12		802.90		-28.76	
CALL KERN 01/15/21 7.50 AKERNA CORP CUSIP: Symbol(Box 1a): KERN210115C00007500							
01/11/2021	2.00	121.82	01/08/2021	68.16	0.00	53.66	Sell to Close
01/11/2021	1.00	59.90	01/08/2021	34.08	0.00	25.82	Sell to Close
Security Totals:		181.72		102.24		79.48	
CALL CCIV 02/19/21 25 CHURCHILL CAPITAL CORP IV CL A CUSIP: Symbol(Box 1a): CCIV210219C00025000							
01/28/2021	1.00	399.90	01/28/2021	367.08	0.00	32.82	Sell to Close
01/28/2021	1.00	454.89	01/28/2021	490.08	0.00	-35.19	Sell to Close
Security Totals:		854.79		857.16		-2.37	

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2021 Form 1099-B*

5NA77394

(continued)

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SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

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

Date Sold or Disposed (Box 1c)	Quantity	Proceeds (Box 1d)	Date Acquired (Box 1b)	Cost or Other Basis (Box 1e)	Accrued Market Discount (M)(Box 1f) & Wash Sale Loss Disallowed (D)(Box 1g)	Gain or Loss(-)	Additional Notes
LEMONADE INC COMMON STOCK CUSIP: 52567D107 Symbol(Box 1a): LMND							
01/04/2021	1.00	122.48	12/31/2020	136.38	0.00	-13.90	Sale
07/06/2021	1.00	107.68	03/12/2021	100.80	0.00	6.88	Sale
Security Totals:		230.16		237.18		-7.02	
CALL CCIV 02/19/21 40 CHURCHILL CAPITAL CORP IV CL A CUSIP: Symbol(Box 1a): CCIV210219C00040000							
01/15/2021	1.00	209.90	01/15/2021	240.08	30.18 D	0.00	Sell to Close
02/02/2021	1.00	280.90	02/02/2021	348.26	67.36 D	0.00	Sell to Close
02/12/2021	1.00	389.90	02/12/2021	352.44	0.00	37.46	Sell to Close
Security Totals:		880.70		940.78		37.46	
CALL PLTR 03/19/21 49 PALANTIR TECHNOLOGIES INC CL A CUSIP: Symbol(Box 1a): PLTR210319C00049000							
02/10/2021	1.00	251.90	02/09/2021	268.08	0.00	-16.18	Sell to Close
***BRIDGETOWN HOLDINGS LIMITED CLASS A ORDINARY SHARES CUSIP: G1355U113 Symbol(Box 1a): BTWN							
01/28/2021	34.00	487.59	01/28/2021	485.30	0.00	2.29	Sale
SCWORX CORP COMMON STOCK CUSIP: 78396V109 Symbol(Box 1a): WORX							
01/21/2021	131.00	251.49	01/21/2021	248.90	0.00	2.59	Sale
CALL LMND 03/19/21 135 LEMONADE INC CUSIP: Symbol(Box 1a): LMND210319C00135000							
03/12/2021	2.00	59.82	Various	175.16	0.00	-115.34	Sell to Close
CALL LMND 02/12/21 165 LEMONADE INC CUSIP: Symbol(Box 1a): LMND210212C00165000							
02/11/2021	1.00	284.90	02/11/2021	320.08	0.00	-35.18	Sell to Close
CALL CCIV 02/19/21 35 CHURCHILL CAPITAL CORP IV CL A CUSIP: Symbol(Box 1a): CCIV210219C00035000							
01/25/2021	1.00	329.90	01/22/2021	240.08	0.00	89.82	Sell to Close
02/02/2021	1.00	469.89	02/02/2021	497.08	27.19 D	0.00	Sell to Close

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APEX CLEARING

Proceeds from Broker and Barter Exchange Transactions

2021 Form 1099-B*

5NA77394

(continued)

01/31/2022

OMB No. 1545-0715

SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

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

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

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

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CALL CCIV 02/19/21 35 CHURCHILL CAPITAL CORP IV CL A CUSIP: Symbol(Box 1a): CCIV210219C00035000							
02/02/2021	1.00	629.89	02/02/2021	565.27	0.00	64.62	Sell to Close
02/03/2021	1.00	519.89	02/03/2021	560.08	40.19 D	0.00	Sell to Close
02/09/2021	1.00	349.90	02/09/2021	420.27	0.00	-70.37	Sell to Close
Security Totals:		2,299.47		2,282.78		84.07	
INSPIREMD INC COMMON STOCK CUSIP: 45779A853 Symbol(Box 1a): NSPR							
01/20/2021	100.00	81.48	01/20/2021	84.87	0.00	-3.39	Sale
01/20/2021	1,078.00	868.83	01/20/2021	914.90	0.00	-46.07	Sale
Security Totals:		950.31		999.77		-49.46	
CALL FUBO 01/29/21 50 FUBOTV INC CUSIP: Symbol(Box 1a): FUBO210129C00050000							
01/14/2021	1.00	117.90	01/13/2021	175.08	0.00	-57.18	Sell to Close
01/14/2021	1.00	139.90	01/13/2021	175.08	0.00	-35.18	Sell to Close
Security Totals:		257.80		350.16		-92.36	
SHIFTPIXY INC COMMON STOCK CUSIP: 82452L203 Symbol(Box 1a): PIXY							
01/21/2021	318.00	985.73	01/20/2021	998.52	0.00	-12.79	Sale
NEUROMETRIX INC COMMON STOCK CUSIP: 641255807 Symbol(Box 1a): NURO							
01/15/2021	387.00	1,474.38	01/15/2021	1,497.69	0.00	-23.31	Sale
CALL BLNK 01/08/21 45 BLINK CHARGING CO CUSIP: Symbol(Box 1a): BLNK210108C00045000							
01/06/2021	1.00	244.90	01/06/2021	187.08	0.00	57.82	Sell to Close
***AMBO EDUCATION HOLDING LTD AMERICAN DEPOSITARY SHS EACH RPRSNTNG TWO CL A ORD SHS CUSIP: 02322P200 Symbol(Box 1a): AMBO							
02/12/2021	131.00	457.15	Various	500.10	0.00	-42.95	Sale

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2021 Form 1099-B*

5NA77394

(continued)

01/31/2022

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SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

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CALL AYRO 02/19/21 10 AYRO INC CUSIP: Symbol(Box 1a): AYRO210219C00010000							
01/26/2021	1.00	74.90	01/26/2021	83.08	8.18 D	0.00	Sell to Close
02/17/2021	1.00	14.90	02/11/2021	93.26	0.00	-78.36	Sell to Close
Security Totals:		89.80		176.34		-78.36	
CALL HEXO 02/19/21 11 HEXO CORPORATION CUSIP: Symbol(Box 1a): HEXO210219C00011000							
02/10/2021	1.00	87.90	02/10/2021	114.08	0.00	-26.18	Sell to Close
CALL CLOV 01/15/21 15 CLOVER HEALTH INVESTMENTS CORP CUSIP: Symbol(Box 1a): CLOV210115C00015000							
01/12/2021	3.00	134.74	Various	455.60	0.00	-320.86	Sell to Close
01/12/2021	1.00	54.90	01/06/2021	195.26	140.36 D	0.00	Sell to Close
Security Totals:		189.64		650.86		-320.86	
ZW DATA ACTION TECHNOLOGIES INC COMMON STOCK CUSIP: 98880R109 Symbol(Box 1a): CNET							
01/06/2021	126.00	175.12	12/31/2020	176.26	1.14 D	0.00	Sale
01/07/2021	108.00	223.54	01/06/2021	209.22	0.00	14.32	Sale
01/08/2021	20.00	75.00	01/06/2021	33.56	0.00	41.44	Sale
01/08/2021	81.00	302.92	Various	141.11	0.00	161.81	Sale
01/13/2021	126.00	296.09	Various	333.97	42.59 D	4.71	Sale
01/14/2021	257.00	706.70	Various	790.92	84.22 D	0.00	Sale
01/19/2021	162.00	387.15	Various	487.37	100.22 D	0.00	Sale
01/20/2021	121.00	285.54	Various	354.31	68.77 D	0.00	Sale
01/21/2021	121.00	286.75	Various	365.93	79.18 D	0.00	Sale
01/28/2021	175.00	481.21	Various	592.78	111.57 D	0.00	Sale
02/04/2021	113.00	287.12	Various	375.09	87.97 D	0.00	Sale
02/08/2021	111.00	337.66	02/08/2021	317.39	0.00	20.27	Sale

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2021 Form 1099-B*

5NA77394

(continued)

01/31/2022

OMB No. 1545-0715

SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

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ZW DATA ACTION TECHNOLOGIES INC COMMON STOCK CUSIP: 98880R109 Symbol(Box 1a): CNET							
02/08/2021	396.00	1,176.04	02/08/2021	1,195.42	19.38 D	0.00	Sale
02/08/2021	546.00	1,670.66	Various	1,778.07	127.79 D	20.38	Sale
02/08/2021	792.00	2,361.01	Various	2,576.78	256.55 D	40.78	Sale
02/08/2021	1,336.00	3,781.70	Various	4,059.43	271.12 D	-6.61	Sale
02/09/2021	187.00	613.53	Various	599.82	9.14 D	22.85	Sale
02/09/2021	124.00	409.32	Various	474.84	65.52 D	0.00	Sale
02/10/2021	188.00	714.57	02/08/2021	601.40	0.00	113.17	Sale
02/11/2021	80.00	295.98	02/11/2021	301.42	5.44 D	0.00	Sale
02/11/2021	92.00	349.58	Various	388.23	38.73 D	0.08	Sale
02/11/2021	184.00	658.88	Various	728.87	76.17 D	6.18	Sale
02/16/2021	46.00	179.43	Various	184.02	4.59 D	0.00	Sale
02/17/2021	37.00	220.50	Various	197.58	0.00	22.92	Sale
02/17/2021	47.00	226.99	Various	173.59	0.00	53.40	Sale
02/17/2021	55.00	280.48	Various	296.44	4.72 D	-11.24	Sale
02/17/2021	57.00	316.90	Various	313.26	0.00	3.64	Sale
02/17/2021	47.00	261.30	Various	278.93	18.90 D	1.27	Sale
02/18/2021	57.00	273.07	Various	336.65	0.00	-63.58	Sale
02/19/2021	42.00	192.76	Various	212.73	0.00	-19.97	Sale
02/24/2021	20.00	71.98	Various	83.79	0.00	-11.81	Sale
02/24/2021	60.00	219.04	Various	234.35	0.00	-15.31	Sale
07/19/2021	34.00	54.38	Various	109.10	0.00	-54.72	Sale
Security Totals:		18,172.90		19,302.63		343.98	
CALL LMND 03/05/21 200 LEMONADE INC CUSIP: Symbol(Box 1a): LMND210305C00200000							
02/19/2021	1.00	185.90	02/19/2021	250.08	0.00	-64.18	Sell to Close

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2021 Form 1099-B*

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(continued)

01/31/2022

OMB No. 1545-0715

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INUVO INC CUSIP: 46122W204 Symbol(Box 1a): INUV							
01/12/2021	703.00	522.79	Various	511.92	0.00	10.87	Sale
01/19/2021	109.00	115.64	01/19/2021	116.22	0.00	-0.58	Sale
01/19/2021	224.00	215.87	01/19/2021	199.14	0.00	16.73	Sale
01/19/2021	324.00	337.27	01/19/2021	345.45	6.41 D	-1.77	Sale
01/19/2021	332.00	382.12	Various	376.90	0.00	5.22	Sale
01/19/2021	995.00	1,115.34	01/19/2021	1,129.56	0.00	-14.22	Sale
01/19/2021	1,297.00	1,350.13	Various	1,343.41	27.08 D	33.80	Sale
Security Totals:		4,039.16		4,022.60		50.05	
AGEAGLE AERIAL SYSTEMS INC COMMON STOCK CUSIP: 00848K101 Symbol(Box 1a): UAVS							
01/04/2021	162.00	902.30	Various	1,335.07	432.77 D	0.00	Sale
01/04/2021	107.00	625.92	Various	1,057.36	431.44 D	0.00	Sale
01/05/2021	62.00	367.09	Various	687.13	320.04 D	0.00	Sale
01/05/2021	251.00	1,498.40	Various	2,286.09	787.69 D	0.00	Sale
01/05/2021	383.00	2,032.54	Various	3,700.25	1667.71 D	0.00	Sale
01/06/2021	62.00	373.91	Various	602.99	229.08 D	0.00	Sale
01/06/2021	281.00	1,678.91	Various	2,960.67	1281.76 D	0.00	Sale
01/06/2021	372.00	2,258.14	Various	3,563.57	1305.43 D	0.00	Sale
01/11/2021	138.00	1,017.01	Various	1,518.31	501.30 D	0.00	Sale
01/11/2021	275.00	2,062.42	Various	2,513.12	456.50 D	5.80	Sale
01/13/2021	132.00	1,013.71	Various	1,574.05	560.34 D	0.00	Sale
01/14/2021	16.00	157.58	01/14/2021	243.34	85.76 D	0.00	Sale
01/14/2021	58.00	556.90	Various	670.62	113.72 D	0.00	Sale
01/14/2021	72.00	707.01	Various	841.98	134.97 D	0.00	Sale
01/14/2021	72.00	707.73	Various	1,011.76	304.03 D	0.00	Sale

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2021 Form 1099-B*

5NA77394

(continued)

01/31/2022

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AGEAGLE AERIAL SYSTEMS INC COMMON STOCK CUSIP: 00848K101 Symbol(Box 1a): UAVS							
01/14/2021	94.00	743.61	Various	986.47	243.14 D	0.28	Sale
01/14/2021	125.00	1,001.21	Various	1,149.82	148.80 D	0.19	Sale
01/14/2021	93.00	881.71	Various	969.84	103.01 D	14.88	Sale
01/14/2021	130.00	1,198.55	Various	1,548.22	349.67 D	0.00	Sale
01/14/2021	140.00	1,415.34	Various	1,592.85	221.07 D	43.56	Sale
01/14/2021	213.00	1,757.18	Various	2,478.96	721.78 D	0.00	Sale
01/14/2021	241.00	2,356.89	Various	3,058.23	701.34 D	0.00	Sale
01/15/2021	34.00	330.80	Various	407.24	76.44 D	0.00	Sale
01/15/2021	73.00	732.89	Various	980.15	247.26 D	0.00	Sale
01/15/2021	95.00	985.35	Various	1,106.14	121.04 D	0.25	Sale
01/15/2021	111.00	1,121.06	Various	1,439.06	318.00 D	0.00	Sale
01/15/2021	300.00	3,095.89	Various	4,102.55	1006.66 D	0.00	Sale
01/19/2021	45.00	583.17	Various	617.77	40.07 D	5.47	Sale
01/19/2021	50.00	566.97	Various	712.25	145.28 D	0.00	Sale
01/19/2021	67.00	757.56	Various	954.34	196.78 D	0.00	Sale
01/19/2021	102.00	1,211.72	Various	1,476.32	264.60 D	0.00	Sale
01/19/2021	118.00	1,328.64	Various	1,594.38	265.74 D	0.00	Sale
01/19/2021	146.00	1,609.63	Various	2,087.30	477.67 D	0.00	Sale
01/19/2021	188.00	2,122.45	Various	2,815.82	693.37 D	0.00	Sale
01/19/2021	222.00	2,579.55	Various	3,288.94	709.39 D	0.00	Sale
01/19/2021	320.00	3,846.27	Various	4,960.29	1114.02 D	0.00	Sale
01/20/2021	69.00	977.00	Various	1,322.12	345.12 D	0.00	Sale
01/20/2021	85.00	1,223.96	Various	1,444.57	236.44 D	15.83	Sale
01/20/2021	408.00	6,042.33	Various	7,202.93	1160.60 D	0.00	Sale
01/20/2021	445.00	6,242.61	Various	7,385.29	1147.03 D	4.35	Sale
01/20/2021	100.00	1,299.96	Various	1,814.83	514.87 D	0.00	Sale
01/21/2021	30.00	408.88	Various	470.85	61.97 D	0.00	Sale

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Proceeds from Broker and Barter Exchange Transactions

2021 Form 1099-B*

5NA77394

(continued)

01/31/2022

OMB No. 1545-0715

SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

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AGEAGLE AERIAL SYSTEMS INC COMMON STOCK CUSIP: 00848K101 Symbol(Box 1a): UAVS							
01/21/2021	28.00	380.78	Various	459.83	79.05 D	0.00	Sale
01/21/2021	181.00	2,494.10	Various	3,185.79	691.69 D	0.00	Sale
01/21/2021	35.00	490.67	Various	689.77	199.10 D	0.00	Sale
01/25/2021	47.00	624.60	Various	777.97	155.15 D	1.78	Sale
01/27/2021	46.00	501.83	Various	791.53	289.70 D	0.00	Sale
01/27/2021	69.00	701.70	Various	1,198.94	497.24 D	0.00	Sale
01/27/2021	91.00	1,049.19	Various	1,233.13	183.94 D	0.00	Sale
01/28/2021	57.00	622.98	Various	768.93	145.95 D	0.00	Sale
01/28/2021	47.00	505.69	Various	658.82	153.13 D	0.00	Sale
01/28/2021	94.00	1,012.34	Various	1,243.87	231.53 D	0.00	Sale
01/29/2021	39.00	379.06	Various	741.66	362.60 D	0.00	Sale
01/29/2021	53.00	536.33	Various	920.91	384.58 D	0.00	Sale
01/29/2021	56.00	554.93	Various	792.02	237.09 D	0.00	Sale
01/29/2021	86.00	903.88	Various	1,088.01	184.13 D	0.00	Sale
01/29/2021	132.00	1,293.66	Various	1,667.48	373.82 D	0.00	Sale
01/29/2021	143.00	1,387.14	Various	2,200.17	813.03 D	0.00	Sale
02/01/2021	461.00	5,510.77	Various	7,024.24	1412.85 D	-100.62	Sale
02/01/2021	107.00	1,102.06	Various	1,560.14	458.08 D	0.00	Sale
02/02/2021	44.00	483.97	Various	561.38	77.41 D	0.00	Sale
02/02/2021	88.00	979.40	02/01/2021	1,060.40	81 D	0.00	Sale
02/03/2021	42.00	465.75	Various	574.48	108.73 D	0.00	Sale
02/04/2021	32.00	395.18	Various	560.83	167.13 D	1.48	Sale
02/05/2021	48.00	556.87	Various	950.44	393.57 D	0.00	Sale
02/10/2021	36.00	538.53	Various	694.67	156.38 D	0.24	Sale
02/10/2021	50.00	802.47	02/10/2021	894.03	91.56 D	0.00	Sale
02/10/2021	50.00	849.97	Various	905.19	55.22 D	0.00	Sale

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APEX CLEARING

Proceeds from Broker and Barter Exchange Transactions

2021 Form 1099-B*

5NA77394

(continued)

01/31/2022

OMB No. 1545-0715

SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

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

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

Box 5: Box Not Checked (Covered Security)

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

Box 12: Basis Reported to the IRS

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

Date Sold or Disposed (Box 1c)	Quantity	Proceeds (Box 1d)	Date Acquired (Box 1b)	Cost or Other Basis (Box 1e)	Accrued Market Discount (M)(Box 1f) & Wash Sale Loss Disallowed (D)(Box 1g)	Gain or Loss(-)	Additional Notes
AGEAGLE AERIAL SYSTEMS INC COMMON STOCK CUSIP: 00848K101 Symbol(Box 1a): UAVS							
02/10/2021	103.00	1,609.84	Various	1,761.20	151.36 D	0.00	Sale
02/10/2021	297.00	4,796.40	Various	6,193.85	1397.45 D	0.00	Sale
02/10/2021	306.00	4,783.19	Various	6,132.99	1349.80 D	0.00	Sale
02/10/2021	412.00	6,437.89	Various	7,795.04	1358.23 D	1.08	Sale
02/16/2021	18.00	268.18	Various	365.51	97.33 D	0.00	Sale
02/17/2021	39.00	552.21	Various	644.92	92.71 D	0.00	Sale
02/18/2021	10.00	87.48	Various	150.31	62.83 D	0.00	Sale
02/18/2021	15.00	154.05	Various	226.41	72.36 D	0.00	Sale
02/18/2021	21.00	185.25	Various	333.02	147.77 D	0.00	Sale
02/18/2021	30.00	312.28	Various	510.99	198.71 D	0.00	Sale
02/18/2021	28.00	325.90	Various	526.16	200.26 D	0.00	Sale
02/18/2021	32.00	299.82	02/18/2021	328.82	29 D	0.00	Sale
02/18/2021	93.00	763.60	Various	1,613.65	850.05 D	0.00	Sale
02/18/2021	105.00	979.61	Various	1,352.03	372.42 D	0.00	Sale
02/18/2021	52.00	588.09	Various	1,095.53	507.44 D	0.00	Sale
02/18/2021	513.00	5,093.91	Various	7,030.35	1936.44 D	0.00	Sale
02/18/2021	129.00	1,280.92	02/18/2021	1,325.57	44.65 D	0.00	Sale
02/18/2021	633.00	5,867.70	Various	7,932.34	2064.64 D	0.00	Sale
02/19/2021	29.00	288.53	Various	563.22	0.00	-274.69	Sale
02/19/2021	47.00	517.44	02/19/2021	474.97	0.00	42.47	Sale
02/19/2021	58.00	593.31	Various	777.46	0.00	-184.15	Sale
02/19/2021	63.00	689.82	Various	751.56	63.08 D	1.34	Sale
02/19/2021	116.00	1,259.72	02/19/2021	1,172.28	0.00	87.44	Sale
02/19/2021	252.00	2,681.19	Various	3,422.06	740.87 D	0.00	Sale

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APEX CLEARING

Proceeds from Broker and Barter Exchange Transactions

2021 Form 1099-B*

5NA77394

(continued)

01/31/2022

OMB No. 1545-0715

SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

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

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

Date Sold or Disposed (Box 1c)	Quantity	Proceeds (Box 1d)	Date Acquired (Box 1b)	Cost or Other Basis (Box 1e)	Accrued Market Discount (M)(Box 1f) & Wash Sale Loss Disallowed (D)(Box 1g)	Gain or Loss(-)	Additional Notes
AGEAGLE AERIAL SYSTEMS INC COMMON STOCK CUSIP: 00848K101 Symbol(Box 1a): UAVS							
02/19/2021	398.00	3,979.86	Various	5,646.20	1721.92 D	55.58	Sale
02/19/2021	504.00	5,266.62	Various	6,352.47	1107.87 D	22.02	Sale
02/23/2021	21.00	171.55	Various	442.36	0.00	-270.81	Sale
02/24/2021	64.00	545.26	Various	1,092.49	0.00	-547.23	Sale
02/24/2021	147.00	1,308.27	Various	1,805.37	0.00	-497.10	Sale
02/25/2021	60.00	540.58	Various	602.51	0.00	-61.93	Sale
03/04/2021	10.00	61.28	Various	105.23	35.53 D	-8.42	Sale
03/10/2021	12.00	97.78	Various	118.82	0.00	-21.04	Sale
07/19/2021	45.00	181.33	Various	408.73	0.00	-227.40	Sale
Security Totals:		140,073.46		184,792.89		-1,889.35	
MEDLEY MGMT INC COMMON STOCK CUSIP: 58503T205 Symbol(Box 1a): MDLY							
01/20/2021	18.00	278.98	01/20/2021	241.56	0.00	37.42	Sale
CALL TYME 03/19/21 3 TYME TECHNOLOGIES INC CUSIP: Symbol(Box 1a): TYME210319C00003000							
02/25/2021	1.00	19.90	02/16/2021	70.08	0.00	-50.18	Sell to Close
***VASCULAR BIOGENICS LTD ORDINARY SHARES CUSIP: M96883109 Symbol(Box 1a): VBLT							
02/22/2021	108.00	264.58	02/22/2021	298.08	0.00	-33.50	Sale
***THUNDER BRIDGE ACQUISITION II LTD CLASS A ORDINARY SHARES CUSIP: G8857S116 Symbol(Box 1a): THBR							
01/05/2021	27.00	345.58	Various	376.90	0.00	-31.32	Sale
01/12/2021	9.00	117.90	Various	124.35	0.00	-6.45	Sale
Security Totals:		463.48		501.25		-37.77	
CALL NNDM 03/19/21 15 NANO DIMENSION LTD ADS CUSIP: Symbol(Box 1a): NNDM210319C00015000							
02/23/2021	1.00	84.90	02/23/2021	242.26	0.00	-157.36	Sell to Close
02/23/2021	1.00	99.90	02/18/2021	234.08	134.18 D	0.00	Sell to Close
Security Totals:		184.80		476.34		-157.36	

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APEX CLEARING

Proceeds from Broker and Barter Exchange Transactions

2021 Form 1099-B*

5NA77394

(continued)

01/31/2022

OMB No. 1545-0715

SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

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

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

Date Sold or Disposed (Box 1c)	Quantity	Proceeds (Box 1d)	Date Acquired (Box 1b)	Cost or Other Basis (Box 1e)	Accrued Market Discount (M)(Box 1f) & Wash Sale Loss Disallowed (D)(Box 1g)	Gain or Loss(-)	Additional Notes
BUTTERFLY NETWORK INC CLASS A COMMON STOCK CUSIP: 124155102 Symbol(Box 1a): BFLY							
02/17/2021	8.00	205.98	02/12/2021	198.97	0.00	7.01	Sale
02/17/2021	21.00	475.83	Various	499.69	23.86 D	0.00	Sale
02/18/2021	10.00	271.68	02/17/2021	269.50	0.00	2.18	Sale
02/18/2021	27.00	716.82	Various	743.66	0.00	-26.84	Sale
Security Totals:		1,670.31		1,711.82		-17.65	
CALL CLOV 01/15/21 17.50 CLOVER HEALTH INVESTMENTS CORP CUSIP: Symbol(Box 1a): CLOV210115C00017500							
01/15/2021	10.00	0.00	Various	1,493.66	0.00	-1,493.66	Expiration
WORKHORSE GROUP INC COM CUSIP: 98138J206 Symbol(Box 1a): WKHS							
01/04/2021	15.00	308.53	Various	336.62	0.00	-28.09	Sale
06/10/2021	3.00	47.71	03/08/2021	46.79	0.00	0.92	Sale
06/29/2021	2.00	33.44	03/08/2021	31.19	0.00	2.25	Sale
07/06/2021	4.00	57.14	Various	54.57	0.00	2.57	Sale
07/19/2021	4.00	42.78	03/29/2021	51.96	0.00	-9.18	Sale
Security Totals:		489.60		521.13		-31.53	
SESEN BIO INC COMMON STOCK CUSIP: 817763105 Symbol(Box 1a): SESN							
02/19/2021	104.00	327.69	Various	324.08	0.00	3.61	Sale
02/22/2021	52.00	155.72	02/19/2021	162.76	0.00	-7.04	Sale
02/23/2021	52.00	128.48	02/19/2021	162.76	0.00	-34.28	Sale
Security Totals:		611.89		649.60		-37.71	
ENERGOUS CORPORATION CUSIP: 29272C103 Symbol(Box 1a): WATT							
01/06/2021	123.00	265.80	Various	308.72	0.00	-42.92	Sale
01/06/2021	123.00	271.81	01/05/2021	290.31	0.00	-18.50	Sale

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APEX CLEARING

Proceeds from Broker and Barter Exchange Transactions

2021 Form 1099-B*

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01/31/2022

OMB No. 1545-0715

SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

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

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

Date Sold or Disposed (Box 1c)	Quantity	Proceeds (Box 1d)	Date Acquired (Box 1b)	Cost or Other Basis (Box 1e)	Accrued Market Discount (M)(Box 1f) & Wash Sale Loss Disallowed (D)(Box 1g)	Gain or Loss(-)	Additional Notes
ENERGIOUS CORPORATION CUSIP: 29272C103 Symbol(Box 1a): WATT							
02/16/2021	45.00	192.13	02/16/2021	198.00	5.87 D	0.00	Sale
02/19/2021	60.00	308.98	Various	347.39	0.00	-38.41	Sale
Security Totals:		1,038.72		1,144.42		-99.83	
ADVISORSHARES TRUST ADVISORSHARES PURE CANNABIS ETF CUSIP: 00768Y495 Symbol(Box 1a): YOLO							
02/11/2021	15.00	496.62	02/10/2021	478.35	0.00	18.27	Sale
CALL NFLX 01/29/21 575 NETFLIX INC CUSIP: Symbol(Box 1a): NFLX210129C00575000							
01/19/2021	1.00	234.90	01/19/2021	279.08	0.00	-44.18	Sell to Close
CALL GUSH 01/15/21 50 DIREXION DLY S&P OIL & GAS EXP CUSIP: Symbol(Box 1a): GUSH210115C00050000							
01/06/2021	1.00	169.90	01/06/2021	200.08	0.00	-30.18	Sell to Close
***ACASTI PHARMA INC CLASS A COM CUSIP: 00430K402 Symbol(Box 1a): ACST							
01/05/2021	555.00	260.77	Various	263.39	2.54 D	-0.08	Sale
01/05/2021	1,000.00	520.06	Various	530.19	0.00	-10.13	Sale
01/06/2021	1,090.00	482.72	Various	636.29	0.00	-153.57	Sale
01/08/2021	427.00	241.66	Various	238.85	0.00	2.81	Sale
01/21/2021	233.00	209.68	01/21/2021	257.26	0.00	-47.58	Sale
01/27/2021	353.00	248.04	Various	255.64	0.00	-7.60	Sale
01/27/2021	353.00	237.87	01/27/2021	251.69	0.00	-13.82	Sale
Security Totals:		2,200.80		2,433.31		-229.97	
PUT GME 02/05/21 50 GAMESTOP CORP CUSIP: Symbol(Box 1a): GME210205P00050000							
02/02/2021	1.00	494.89	02/02/2021	530.08	35.19 D	0.00	Sell to Close
02/02/2021	1.00	679.89	02/02/2021	405.08	0.00	274.81	Sell to Close

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Proceeds from Broker and Barter Exchange Transactions

2021 Form 1099-B*

5NA77394

(continued)

01/31/2022

OMB No. 1545-0715

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PUT GME 02/05/21 50 GAMESTOP CORP CUSIP: Symbol(Box 1a): GME210205P00050000							
02/03/2021	1.00	253.90	02/03/2021	400.27	0.00	-146.37	Sell to Close
Security Totals:		1,428.68		1,335.43		128.44	
***PLATINUM GROUP METAL LTD COM NO PAR 2018 CUSIP: 72765Q882 Symbol(Box 1a): PLG							
01/05/2021	65.00	367.23	01/05/2021	371.80	4.57 D	0.00	Sale
01/06/2021	66.00	368.92	01/05/2021	377.52	8.6 D	0.00	Sale
01/21/2021	81.00	355.57	Various	358.76	0.00	-3.19	Sale
01/22/2021	81.00	334.58	Various	352.63	0.00	-18.05	Sale
Security Totals:		1,426.30		1,460.71		-21.24	
LUMINAR TECHNOLOGIES INC CLASS A COMMON STOCK CUSIP: 550424105 Symbol(Box 1a): LAZR							
01/05/2021	5.00	150.73	12/29/2020	174.89	0.00	-24.16	Sale
01/05/2021	13.00	384.13	Various	457.40	11.92 D	-61.35	Sale
01/14/2021	26.00	850.17	Various	986.62	0.00	-136.45	Sale
01/25/2021	9.00	319.93	Various	313.67	5.58 D	11.84	Sale
02/22/2021	5.00	155.84	Various	181.03	0.00	-25.19	Sale
Security Totals:		1,860.80		2,113.61		-235.31	
DIREXION SHS ETF TR DAILY S&P OIL & GAS EXPL & PRO BULL 2X SHARES CUSIP: 25460G500 Symbol(Box 1a): GUSH							
01/05/2021	26.00	1,147.60	Various	1,008.24	0.00	139.36	Sale
01/06/2021	3.00	138.85	Various	124.51	0.00	14.34	Sale
01/06/2021	19.00	871.31	Various	763.22	0.00	108.09	Sale
01/07/2021	12.00	587.97	Various	569.83	9.67 D	27.81	Sale
01/15/2021	19.00	976.43	Various	956.99	12.78 D	32.22	Sale
01/19/2021	10.00	546.97	Various	533.37	4.69 D	18.29	Sale
01/20/2021	8.00	423.50	Various	441.68	18.18 D	0.00	Sale
01/28/2021	9.00	435.81	Various	482.94	47.13 D	0.00	Sale
02/01/2021	10.00	457.45	Various	509.83	52.38 D	0.00	Sale

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APEX CLEARING

Proceeds from Broker and Barter Exchange Transactions

2021 Form 1099-B*

5NA77394

(continued)

01/31/2022

OMB No. 1545-0715

SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

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

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DIREXION SHS ETF TR DAILY S&P OIL & GAS EXPL & PRO BULL 2X SHARES CUSIP: 25460G500 Symbol(Box 1a): GUSH							
02/22/2021	3.00	208.69	Various	209.88	0.00	-1.19	Sale
02/24/2021	2.00	144.08	Various	154.95	0.00	-10.87	Sale
02/26/2021	2.00	131.60	02/24/2021	158.44	0.00	-26.84	Sale
03/02/2021	2.00	146.34	02/25/2021	168.15	0.00	-21.81	Sale
06/29/2021	1.00	96.11	02/25/2021	80.23	0.00	15.88	Sale
Security Totals:		6,312.71		6,162.26		295.28	
ROKU INC CLASS A COMMON STOCK CUSIP: 77543R102 Symbol(Box 1a): ROKU							
02/18/2021	1.00	441.99	02/18/2021	454.00	0.00	-12.01	Sale
CALL CCIV 02/19/21 50 CHURCHILL CAPITAL CORP IV CL A CUSIP: Symbol(Box 1a): CCIV210219C00050000							
02/03/2021	1.00	409.90	02/03/2021	441.08	31.18 D	0.00	Sell to Close
02/09/2021	1.00	194.90	02/09/2021	180.26	0.00	14.64	Sell to Close
02/10/2021	1.00	124.90	02/09/2021	205.08	0.00	-80.18	Sell to Close
Security Totals:		729.70		826.42		-65.54	
CVR ENERGY INC CUSIP: 12662P108 Symbol(Box 1a): CVI							
01/12/2021	13.00	232.04	01/12/2021	233.74	0.00	-1.70	Sale
JUPITER WELLNESS INC COMMON STOCK CUSIP: 48208F105 Symbol(Box 1a): JUPW							
01/11/2021	74.00	488.37	Various	527.11	12.92 D	-25.82	Sale
01/12/2021	35.00	219.08	Various	264.98	0.00	-45.90	Sale
02/12/2021	38.00	282.32	Various	308.78	0.00	-26.46	Sale
02/17/2021	19.00	151.98	02/12/2021	144.40	0.00	7.58	Sale

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2021 Form 1099-B*

5NA77394

(continued)

01/31/2022

OMB No. 1545-0715

SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

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Date Sold or Disposed (Box 1c)	Quantity	Proceeds (Box 1d)	Date Acquired (Box 1b)	Cost or Other Basis (Box 1e)	Accrued Market Discount (M)(Box 1f) & Wash Sale Loss Disallowed (D)(Box 1g)	Gain or Loss(-)	Additional Notes
02/17/2021	19.00	143.05	02/12/2021	144.40	0.00	-1.35	Sale
Security Totals:		1,284.80		1,389.67		-91.95	
CALL AMD 01/15/21 95			ADVANCED MICRO DEVICES INC CUSIP: Symbol(Box 1a): AMD210115C00095000				
01/04/2021	1.00	364.90	12/29/2020	261.26	0.00	103.64	Sell to Close
ADAMIS PHARMACEUTICALS			CORPORATION CUSIP: 00547W208 Symbol(Box 1a): ADMP				
01/21/2021	117.00	239.83	01/21/2021	246.87	0.00	-7.04	Sale
CALL CCIV 03/19/21 50			CHURCHILL CAPITAL CORP IV CL A CUSIP: Symbol(Box 1a): CCIV210319C00050000				
02/25/2021	1.00	89.90	02/24/2021	120.08	0.00	-30.18	Sell to Close
02/25/2021	1.00	109.90	02/24/2021	120.08	0.00	-10.18	Sell to Close
Security Totals:		199.80		240.16		-40.36	
CALL AMD 02/26/21 100			ADVANCED MICRO DEVICES INC CUSIP: Symbol(Box 1a): AMD210226C00100000				
01/20/2021	1.00	262.90	01/20/2021	270.08	7.18 D	0.00	Sell to Close
01/22/2021	1.00	474.89	01/20/2021	285.26	0.00	189.63	Sell to Close
Security Totals:		737.79		555.34		189.63	
POLAR POWER INC			COMMON STOCK CUSIP: 73102V105 Symbol(Box 1a): POLA				
01/13/2021	48.00	394.08	Various	460.55	66.47 D	0.00	Sale
01/14/2021	22.00	229.66	01/14/2021	222.21	0.00	7.45	Sale
01/14/2021	22.00	224.38	01/14/2021	222.20	0.00	2.18	Sale
01/14/2021	44.00	460.65	Various	402.09	0.00	58.56	Sale
01/15/2021	64.00	935.00	Various	996.28	0.00	-61.28	Sale
01/15/2021	70.00	952.66	Various	1,053.67	101.01 D	0.00	Sale
01/15/2021	71.00	1,030.17	Various	1,058.49	31.48 D	3.16	Sale

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APEX CLEARING

Proceeds from Broker and Barter Exchange Transactions

2021 Form 1099-B*

5NA77394

(continued)

01/31/2022

OMB No. 1545-0715

SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

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

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

Box 5: Box Not Checked (Covered Security)

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

Box 12: Basis Reported to the IRS

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

Date Sold or Disposed (Box 1c)	Quantity	Proceeds (Box 1d)	Date Acquired (Box 1b)	Cost or Other Basis (Box 1e)	Accrued Market Discount (M)(Box 1f) & Wash Sale Loss Disallowed (D)(Box 1g)	Gain or Loss(-)	Additional Notes
POLAR POWER INC COMMON STOCK CUSIP: 73102V105 Symbol(Box 1a): POLA							
01/15/2021	139.00	1,795.82	Various	1,857.19	61.37 D	0.00	Sale
01/15/2021	139.00	1,792.82	Various	1,918.15	125.33 D	0.00	Sale
01/15/2021	192.00	2,831.91	Various	3,075.50	23.55 D	-220.04	Sale
01/15/2021	236.00	3,237.81	Various	3,295.27	57.46 D	0.00	Sale
01/15/2021	254.00	3,525.41	Various	3,783.29	257.88 D	0.00	Sale
01/15/2021	260.00	3,746.48	Various	3,748.11	58.57 D	56.94	Sale
01/15/2021	280.00	3,640.88	Various	3,879.90	239.02 D	0.00	Sale
01/15/2021	292.00	3,708.66	Various	3,988.30	279.64 D	0.00	Sale
01/22/2021	47.00	978.91	Various	1,022.60	0.00	-43.69	Sale
01/26/2021	47.00	975.21	01/22/2021	979.95	1.11 D	-3.63	Buy to Cover Short
01/26/2021	1.00	20.75	01/22/2021	20.85	0.00	-0.10	Buy to Cover Short
02/17/2021	11.00	179.28	02/16/2021	192.32	11.85 D	-1.19	Sale
07/20/2021	10.00	73.38	Various	148.57	0.00	-75.19	Sale
Security Totals:		30,733.92		32,325.49		-276.83	
***KAIXIN AUTO HOLDINGS ORDINARY SHARE CUSIP: G5223X100 Symbol(Box 1a): KXIN							
02/10/2021	131.00	493.02	Various	493.84	4.3 D	3.48	Sale
02/11/2021	48.00	228.46	Various	247.45	0.00	-18.99	Sale
02/11/2021	48.00	228.46	02/11/2021	251.25	0.00	-22.79	Sale
Security Totals:		949.94		992.54		-38.30	
CALL DKNG 01/22/21 55 DRAFTKINGS INC CL A CUSIP: Symbol(Box 1a): DKNG210122C00055000							
01/15/2021	1.00	159.90	01/11/2021	211.08	51.18 D	0.00	Sell to Close
01/15/2021	1.00	130.90	01/15/2021	159.26	0.00	-28.36	Sell to Close
Security Totals:		290.80		370.34		-28.36	

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APEX CLEARING

Proceeds from Broker and Barter Exchange Transactions

2021 Form 1099-B*

5NA77394

(continued)

01/31/2022

OMB No. 1545-0715

SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

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

Date Sold or Disposed (Box 1c)	Quantity	Proceeds (Box 1d)	Date Acquired (Box 1b)	Cost or Other Basis (Box 1e)	Accrued Market Discount (M)(Box 1f) & Wash Sale Loss Disallowed (D)(Box 1g)	Gain or Loss(-)	Additional Notes
WAYFAIR INC CL A CUSIP: 94419L101 Symbol(Box 1a): W							
01/14/2021	1.00	330.39	01/14/2021	366.45	0.00	-36.06	Sale
01/19/2021	1.00	296.14	01/14/2021	366.45	0.00	-70.31	Sale
Security Totals:		626.53		732.90		-106.37	
TILRAY BRANDS INC CLASS 2 COMMON STOCK CUSIP: 88688T100 Symbol(Box 1a): TLR							
01/05/2021	27.00	249.46	Various	310.60	61.14 D	0.00	Sale
01/06/2021	20.00	217.98	Various	222.99	6.80 D	1.79	Sale
01/06/2021	7.00	76.42	12/24/2020	74.50	0.00	1.92	Sale
01/07/2021	10.00	112.98	01/07/2021	128.59	15.61 D	0.00	Sale
01/07/2021	61.00	727.09	Various	825.99	98.90 D	0.00	Sale
01/11/2021	5.00	55.28	01/07/2021	64.29	9.01 D	0.00	Sale
01/14/2021	9.00	172.69	01/14/2021	167.94	0.00	4.75	Sale
01/14/2021	33.00	592.98	Various	579.42	19.2 D	32.76	Sale
01/15/2021	12.00	238.31	01/15/2021	244.43	0.00	-6.12	Sale
01/15/2021	16.00	340.14	Various	319.92	5.77 D	25.99	Sale
01/15/2021	17.00	330.31	01/15/2021	377.74	47.43 D	0.00	Sale
01/15/2021	301.00	5,986.70	Various	6,138.88	58.72 D	-93.46	Sale
01/27/2021	17.00	303.09	Various	344.77	41.68 D	0.00	Sale
01/27/2021	17.00	328.42	Various	345.96	17.54 D	0.00	Sale
02/01/2021	19.00	358.13	Various	389.57	31.44 D	0.00	Sale
02/01/2021	77.00	1,468.34	Various	1,605.82	137.48 D	0.00	Sale
02/02/2021	7.00	154.76	02/01/2021	139.65	0.00	15.11	Sale

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APEX CLEARING

Proceeds from Broker and Barter Exchange Transactions

2021 Form 1099-B*

5NA77394

(continued)

01/31/2022

OMB No. 1545-0715

SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

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

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

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

Date Sold or Disposed (Box 1c)	Quantity	Proceeds (Box 1d)	Date Acquired (Box 1b)	Cost or Other Basis (Box 1e)	Accrued Market Discount (M)(Box 1f) & Wash Sale Loss Disallowed (D)(Box 1g)	Gain or Loss(-)	Additional Notes
TILRAY BRANDS INC CLASS 2 COMMON STOCK CUSIP: 88688T100 Symbol(Box 1a): TLR							
02/09/2021	7.00	287.82	02/09/2021	296.59	8.77 D	0.00	Sale
02/10/2021	106.00	6,489.04	Various	6,646.43	157.39 D	0.00	Sale
02/10/2021	3.00	177.64	02/10/2021	168.94	0.00	8.70	Sale
02/11/2021	4.00	272.14	02/10/2021	282.16	10.02 D	0.00	Sale
02/17/2021	5.00	162.38	02/16/2021	184.40	22.02 D	0.00	Sale
02/17/2021	5.00	174.53	02/17/2021	175.91	0.00	-1.38	Sale
02/17/2021	21.00	750.30	Various	749.29	0.00	1.01	Sale
02/17/2021	42.00	1,409.47	Various	1,509.53	5.91 D	-94.15	Sale
02/17/2021	85.00	2,884.77	Various	3,053.42	168.65 D	0.00	Sale
02/18/2021	17.00	553.83	Various	612.52	0.00	-58.69	Sale
02/18/2021	6.00	173.62	02/18/2021	210.50	0.00	-36.88	Sale
02/24/2021	8.00	208.46	Various	232.14	0.00	-23.68	Sale
02/24/2021	103.00	3,000.76	Various	3,150.66	0.00	-149.90	Sale
03/02/2021	17.00	474.79	Various	534.14	0.00	-59.35	Sale
03/02/2021	7.00	180.51	Various	205.19	0.00	-24.68	Sale
03/02/2021	18.00	501.28	Various	548.18	0.00	-46.90	Sale
03/12/2021	2.00	53.84	03/02/2021	58.47	0.00	-4.63	Sale
07/19/2021	11.00	149.58	Various	273.28	0.00	-123.70	Sale
Security Totals:		29,617.84		31,172.81		-631.49	

CALL EXPR 03/19/21 8 EXPRESS INC CUSIP: Symbol(Box 1a): EXPR210319C00008000							
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03/10/2021	1.00	34.90	03/08/2021	55.08	0.00	-20.18	Sell to Close
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APEX CLEARING

Proceeds from Broker and Barter Exchange Transactions

2021 Form 1099-B*

5NA77394

(continued)

01/31/2022

OMB No. 1545-0715

SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

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

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

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

Date Sold or Disposed (Box 1c)	Quantity	Proceeds (Box 1d)	Date Acquired (Box 1b)	Cost or Other Basis (Box 1e)	Accrued Market Discount (M)(Box 1f) & Wash Sale Loss Disallowed (D)(Box 1g)	Gain or Loss(-)	Additional Notes
03/19/2021	1.00	0.00	03/08/2021	55.08	0.00	-55.08	Expiration
Security Totals:		34.90		110.16		-75.26	
***NORWEGIAN CRUISE LINE HOLDINGS LTD ORDINARY SHARES CUSIP: G66721104 Symbol(Box 1a): NCLH							
01/05/2021	31.00	720.72	12/23/2020	750.51	0.00	-29.79	Sale
CALL OEG 02/19/21 2.50 ORBITAL ENERGY GROUP INC CUSIP: Symbol(Box 1a): OEG210219C00002500							
01/08/2021	1.00	118.90	01/08/2021	150.08	0.00	-31.18	Sell to Close
CALL FUBO 02/05/21 35 FUBOTV INC CUSIP: Symbol(Box 1a): FUBO210205C00035000							
01/12/2021	1.00	609.89	01/12/2021	435.08	0.00	174.81	Sell to Close
CALL CCIV 02/19/21 80 CHURCHILL CAPITAL CORP IV CL A CUSIP: Symbol(Box 1a): CCIV210219C00080000							
02/17/2021	1.00	84.90	02/17/2021	110.08	0.00	-25.18	Sell to Close
CALL AMD 02/05/21 101 ADVANCED MICRO DEVICES INC CUSIP: Symbol(Box 1a): AMD210205C00101000							
01/12/2021	1.00	374.90	01/12/2021	555.08	180.18 D	0.00	Sell to Close
01/12/2021	1.00	374.90	01/12/2021	670.26	295.36 D	0.00	Sell to Close
01/14/2021	1.00	239.90	01/13/2021	567.44	0.00	-327.54	Sell to Close
Security Totals:		989.70		1,792.78		-327.54	
CALL SENS 02/19/21 5 SENSEONICS HOLDINGS INC CUSIP: Symbol(Box 1a): SENS210219C00005000							
02/17/2021	1.00	44.90	02/16/2021	45.08	0.00	-0.18	Sell to Close
CALL SOL 02/19/21 35 RENESOLA LTD ADR CUSIP: Symbol(Box 1a): SOL210219C00035000							
01/22/2021	1.00	379.90	01/21/2021	280.08	0.00	99.82	Sell to Close
PUT DGLY 02/19/21 2.50 DIGITAL ALLY INC CUSIP: Symbol(Box 1a): DGLY210219P00002500							
01/20/2021	1.00	34.90	01/20/2021	39.08	0.00	-4.18	Sell to Close

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APEX CLEARING

Proceeds from Broker and Barter Exchange Transactions

2021 Form 1099-B*

5NA77394

(continued)

01/31/2022

OMB No. 1545-0715

SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

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

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

Date Sold or Disposed (Box 1c)	Quantity	Proceeds (Box 1d)	Date Acquired (Box 1b)	Cost or Other Basis (Box 1e)	Accrued Market Discount (M)(Box 1f) & Wash Sale Loss Disallowed (D)(Box 1g)	Gain or Loss(-)	Additional Notes
CALL TSLA 03/12/21	685	TESLA INC CUSIP: Symbol(Box 1a): TSLA210312C00685000					
03/05/2021	1.00	439.90	03/05/2021	515.08	0.00	-75.18	Sell to Close
PUT SPY 03/12/21	385	STANDARD & POORS DEPOSITORY CUSIP: Symbol(Box 1a): SPY210312P00385000					
03/09/2021	1.00	191.90	03/09/2021	238.08	0.00	-46.18	Sell to Close
CALL AMC 01/29/21	5.50	AMC ENTERTAINMENT HOLDINGS INC CUSIP: Symbol(Box 1a): AMC210129C00005500					
01/26/2021	1.00	61.90	01/26/2021	72.08	0.00	-10.18	Sell to Close
01/26/2021	3.00	185.74	01/26/2021	216.24	0.00	-30.50	Sell to Close
Security Totals:		247.64		288.32		-40.68	
NXT ID INC	COM NEW CUSIP: 67091J206 Symbol(Box 1a): NXTD						
01/06/2021	176.00	236.00	Various	326.89	0.00	-90.89	Sale
01/12/2021	59.00	86.12	01/06/2021	93.82	7.7 D	0.00	Sale
02/08/2021	253.00	475.59	Various	515.79	0.00	-40.20	Sale
02/08/2021	2,622.00	4,485.31	Various	4,593.32	27.37 D	-80.64	Sale
02/09/2021	162.00	348.27	02/09/2021	356.12	0.00	-7.85	Sale
02/17/2021	49.00	160.70	02/16/2021	100.86	0.00	59.84	Sale
02/17/2021	50.00	153.88	02/16/2021	102.91	0.00	50.97	Sale
Security Totals:		5,945.87		6,089.71		-108.77	
RAVE RESTAURANT GROUP INC	COM CUSIP: 754198109 Symbol(Box 1a): RAVE						
02/03/2021	136.00	193.24	02/03/2021	199.77	6.53 D	0.00	Sale
02/17/2021	140.00	214.17	Various	257.13	0.00	-42.96	Sale
Security Totals:		407.41		456.90		-42.96	

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APEX CLEARING

Proceeds from Broker and Barter Exchange Transactions

2021 Form 1099-B*

5NA77394

(continued)

01/31/2022

OMB No. 1545-0715

SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

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

Date Sold or Disposed (Box 1c)	Quantity	Proceeds (Box 1d)	Date Acquired (Box 1b)	Cost or Other Basis (Box 1e)	Accrued Market Discount (M)(Box 1f) & Wash Sale Loss Disallowed (D)(Box 1g)	Gain or Loss(-)	Additional Notes
GOGO INC CUSIP: 38046C109 Symbol(Box 1a): GOGO							
01/14/2021	142.00	1,882.85	01/14/2021	1,820.44	0.00	62.41	Sale
01/14/2021	141.00	1,866.77	01/14/2021	1,807.62	0.00	59.15	Sale
Security Totals:		3,749.62		3,628.06		121.56	
PUT W 01/22/21 270 WAYFAIR INC CUSIP: Symbol(Box 1a): W210122P00270000							
01/19/2021	1.00	189.90	01/19/2021	240.08	0.00	-50.18	Sell to Close
CALL BLNK 01/15/21 45 BLINK CHARGING CO CUSIP: Symbol(Box 1a): BLNK210115C00045000							
01/05/2021	1.00	232.90	01/05/2021	236.08	0.00	-3.18	Sell to Close
CALL PLTR 05/21/21 50 PALANTIR TECHNOLOGIES INC CL A CUSIP: Symbol(Box 1a): PLTR210521C00050000							
02/10/2021	1.00	454.89	02/10/2021	470.08	0.00	-15.19	Sell to Close
CALL SOLO 02/26/21 8.50 ELECTROMECCANICA VEHICLES CORP CUSIP: Symbol(Box 1a): SOLO210226C00008500							
02/04/2021	1.00	103.90	02/02/2021	116.08	12.18 D	0.00	Sell to Close
02/04/2021	1.00	173.90	02/03/2021	135.26	0.00	38.64	Sell to Close
Security Totals:		277.80		251.34		38.64	
CALL FCEL 01/15/21 12 FUELCELL ENERGY INC CUSIP: Symbol(Box 1a): FCEL210115C00012000							
01/04/2021	1.00	86.90	12/30/2020	168.08	0.00	-81.18	Sell to Close
CALL AMD 02/05/21 97.50 ADVANCED MICRO DEVICES INC CUSIP: Symbol(Box 1a): AMD210205C00097500							
01/27/2021	1.00	81.90	01/25/2021	330.08	0.00	-248.18	Sell to Close
DRAFTKINGS INC CLASS A COMMON STOCK CUSIP: 26142R104 Symbol(Box 1a): DKNB							
01/04/2021	8.00	361.92	12/31/2020	381.84	19.92 D	0.00	Sale
01/25/2021	9.00	463.92	Various	500.52	36.60 D	0.00	Sale
01/27/2021	6.00	317.14	01/27/2021	348.08	30.94 D	0.00	Sale

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2021 Form 1099-B*

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(continued)

01/31/2022

OMB No. 1545-0715

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Box 12: Basis Reported to the IRS

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

Date Sold or Disposed (Box 1c)	Quantity	Proceeds (Box 1d)	Date Acquired (Box 1b)	Cost or Other Basis (Box 1e)	Accrued Market Discount (M)(Box 1f) & Wash Sale Loss Disallowed (D)(Box 1g)	Gain or Loss(-)	Additional Notes
DRAFTKINGS INC CLASS A COMMON STOCK CUSIP: 26142R104 Symbol(Box 1a): DKNNG							
02/01/2021	5.00	289.98	02/01/2021	283.60	0.00	6.38	Sale
02/01/2021	33.00	1,913.28	02/01/2021	1,871.76	0.00	41.52	Sale
02/01/2021	44.00	2,512.33	Various	2,537.16	38.07 D	13.24	Sale
02/02/2021	11.00	649.74	Various	653.84	18.18 D	14.08	Sale
02/04/2021	15.00	929.66	Various	973.13	43.47 D	0.00	Sale
02/04/2021	16.00	991.80	02/04/2021	1,001.76	9.96 D	0.00	Sale
02/08/2021	24.00	1,506.43	Various	1,549.16	42.73 D	0.00	Sale
02/08/2021	24.00	1,504.51	Various	1,504.45	3.06 D	3.12	Sale
02/22/2021	3.00	185.68	Various	191.36	5.68 D	0.00	Sale
02/26/2021	2.00	117.41	02/26/2021	121.58	0.00	-4.17	Sale
02/26/2021	8.00	479.98	02/26/2021	486.32	0.00	-6.34	Sale
02/26/2021	33.00	1,981.62	02/26/2021	2,006.07	0.00	-24.45	Sale
02/26/2021	129.00	7,857.32	02/26/2021	7,841.91	0.00	15.41	Sale
02/26/2021	172.00	10,457.52	Various	10,495.99	0.00	-38.47	Sale
07/19/2021	1.00	43.09	02/26/2021	60.79	0.00	-17.70	Sale
Security Totals:		32,563.33		32,809.32		2.62	
CALL OEG 02/19/21 5 ORBITAL ENERGY GROUP INC CUSIP: Symbol(Box 1a): OEG210219C00005000							
01/11/2021	1.00	99.90	01/11/2021	88.58	0.00	11.32	Sell to Close
01/13/2021	1.00	89.90	01/12/2021	108.76	0.00	-18.86	Sell to Close

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APEX CLEARING

Proceeds from Broker and Barter Exchange Transactions

2021 Form 1099-B*

5NA77394

(continued)

01/31/2022

OMB No. 1545-0715

SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

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

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

Box 5: Box Not Checked (Covered Security)

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

Box 12: Basis Reported to the IRS

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

Date Sold or Disposed (Box 1c)	Quantity	Proceeds (Box 1d)	Date Acquired (Box 1b)	Cost or Other Basis (Box 1e)	Accrued Market Discount (M)(Box 1f) & Wash Sale Loss Disallowed (D)(Box 1g)	Gain or Loss(-)	Additional Notes
01/13/2021	1.00	84.90	01/11/2021	88.58	3.68 D	0.00	Sell to Close
Security Totals:		274.70		285.92		-7.54	
PUT OEG 02/19/21 2.50 ORBITAL ENERGY GROUP INC CUSIP: Symbol(Box 1a): OEG210219P00002500							
01/20/2021	1.00	14.90	01/20/2021	24.08	0.00	-9.18	Sell to Close
CALL PLUG 02/05/21 50 PLUG POWER INC CUSIP: Symbol(Box 1a): PLUG210205C00050000							
01/07/2021	1.00	304.90	01/07/2021	350.26	0.00	-45.36	Sell to Close
01/07/2021	1.00	304.90	01/07/2021	355.08	50.18 D	0.00	Sell to Close
Security Totals:		609.80		705.34		-45.36	
OCUGEN INC COMMON STOCK CUSIP: 67577C105 Symbol(Box 1a): OCGN							
02/08/2021	11.00	174.99	02/08/2021	195.36	20.37 D	0.00	Sale
02/08/2021	39.00	545.58	02/08/2021	493.35	0.00	52.23	Sale
02/08/2021	53.00	512.01	02/08/2021	494.49	0.00	17.52	Sale
02/10/2021	23.00	265.17	Various	313.16	47.99 D	0.00	Sale
02/11/2021	9.00	95.56	Various	127.23	31.67 D	0.00	Sale
02/11/2021	18.00	209.32	Various	284.45	75.13 D	0.00	Sale
02/17/2021	13.00	137.78	Various	183.85	46.07 D	0.00	Sale
02/22/2021	16.00	161.92	Various	246.22	84.30 D	0.00	Sale
02/22/2021	16.00	157.26	Various	216.67	59.41 D	0.00	Sale
02/24/2021	21.00	183.73	Various	298.49	114.76 D	0.00	Sale
02/26/2021	122.00	1,310.26	02/26/2021	1,364.62	0.00	-54.36	Sale
02/26/2021	129.00	1,518.30	Various	1,618.08	134.71 D	34.93	Sale
02/26/2021	209.00	2,200.73	Various	2,413.02	212.29 D	0.00	Sale
02/26/2021	258.00	2,955.34	Various	3,093.37	164.46 D	26.43	Sale

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APEX CLEARING

Proceeds from Broker and Barter Exchange Transactions

2021 Form 1099-B*

5NA77394

(continued)

01/31/2022

OMB No. 1545-0715

SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

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

Date Sold or Disposed (Box 1c)	Quantity	Proceeds (Box 1d)	Date Acquired (Box 1b)	Cost or Other Basis (Box 1e)	Accrued Market Discount (M)(Box 1f) & Wash Sale Loss Disallowed (D)(Box 1g)	Gain or Loss(-)	Additional Notes
OCUGEN INC COMMON STOCK CUSIP: 67577C105 Symbol(Box 1a): OCGN							
02/26/2021	363.00	3,938.48	Various	4,191.18	0.00	-252.70	Sale
02/26/2021	558.00	6,243.91	Various	6,570.22	326.31 D	0.00	Sale
02/26/2021	1,390.00	15,831.84	Various	16,084.53	279.16 D	26.47	Sale
03/03/2021	15.00	180.01	Various	190.43	0.00	-10.42	Sale
03/03/2021	18.00	246.58	03/03/2021	219.89	0.00	26.69	Sale
03/11/2021	24.00	231.13	Various	237.95	0.00	-6.82	Sale
03/12/2021	18.00	173.86	Various	161.49	0.00	12.37	Sale
06/07/2021	4.00	38.74	03/11/2021	32.47	0.00	6.27	Sale
07/06/2021	6.00	50.38	Various	51.79	0.00	-1.41	Sale
07/19/2021	7.00	52.34	03/19/2021	62.21	0.00	-9.87	Sale
Security Totals:		37,415.22		39,144.52		-132.67	
PUT SPY 01/25/21 379 STANDARD & POORS DEPOSITORY CUSIP: Symbol(Box 1a): SPY210125P00379000							
01/25/2021	3.00	533.73	01/25/2021	476.04	0.00	57.69	Sell to Close
01/25/2021	1.00	147.90	01/25/2021	158.68	0.00	-10.78	Sell to Close
01/25/2021	2.00	291.82	01/25/2021	317.37	0.00	-25.55	Sell to Close
01/25/2021	3.00	497.73	01/25/2021	476.04	0.00	21.69	Sell to Close
01/25/2021	1.00	137.90	01/25/2021	158.68	0.00	-20.78	Sell to Close
Security Totals:		1,609.08		1,586.81		22.27	
AULT GLOBAL HOLDINGS INC COMMON STOCK CUSIP: 05150X104 Symbol(Box 1a): DPW							
01/19/2021	114.00	560.85	Various	745.13	184.28 D	0.00	Sale
01/22/2021	75.00	392.32	Various	492.72	100.40 D	0.00	Sale
01/22/2021	319.00	1,748.04	Various	2,145.93	397.89 D	0.00	Sale

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APEX CLEARING

Proceeds from Broker and Barter Exchange Transactions

2021 Form 1099-B*

5NA77394

(continued)

01/31/2022

OMB No. 1545-0715

SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

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

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

Date Sold or Disposed (Box 1c)	Quantity	Proceeds (Box 1d)	Date Acquired (Box 1b)	Cost or Other Basis (Box 1e)	Accrued Market Discount (M)(Box 1f) & Wash Sale Loss Disallowed (D)(Box 1g)	Gain or Loss(-)	Additional Notes
AULT GLOBAL HOLDINGS INC COMMON STOCK CUSIP: 05150X104 Symbol(Box 1a): DPW							
01/22/2021	482.00	2,660.52	Various	3,302.92	642.40 D	0.00	Sale
01/29/2021	40.00	192.38	Various	270.56	78.18 D	0.00	Sale
01/29/2021	104.00	484.61	Various	650.09	165.48 D	0.00	Sale
01/29/2021	120.00	583.60	Various	754.27	170.67 D	0.00	Sale
02/01/2021	79.00	366.80	Various	473.39	106.59 D	0.00	Sale
02/01/2021	52.00	242.30	Various	308.94	66.64 D	0.00	Sale
02/05/2021	82.00	380.51	Various	518.65	138.14 D	0.00	Sale
02/05/2021	110.00	520.34	Various	659.14	138.80 D	0.00	Sale
02/08/2021	1,044.00	5,168.19	Various	5,841.62	673.63 D	0.20	Sale
02/09/2021	103.00	535.57	Various	620.88	85.31 D	0.00	Sale
02/09/2021	137.00	694.55	Various	857.66	163.11 D	0.00	Sale
02/10/2021	155.00	734.75	Various	930.23	195.48 D	0.00	Sale
02/16/2021	35.00	231.68	Various	215.19	0.23 D	16.72	Sale
02/16/2021	46.00	305.42	Various	320.95	17.96 D	2.43	Sale
02/16/2021	53.00	335.47	Various	362.44	27.36 D	0.39	Sale
02/16/2021	62.00	381.90	Various	393.08	22.19 D	11.01	Sale
02/17/2021	34.00	251.58	Various	284.96	0.00	-33.38	Sale
02/17/2021	50.00	303.77	Various	308.87	7.03 D	1.93	Sale
02/17/2021	67.00	505.97	Various	522.63	0.00	-16.66	Sale
02/17/2021	825.00	5,675.77	Various	6,047.91	368.57 D	-3.57	Sale
02/18/2021	37.00	255.55	Various	285.51	0.00	-29.96	Sale
02/18/2021	80.00	540.77	Various	629.17	0.00	-88.40	Sale
02/18/2021	18.00	119.51	Various	142.81	0.00	-23.30	Sale
02/19/2021	81.00	522.42	Various	642.50	0.00	-120.08	Sale
02/22/2021	20.00	125.58	Various	170.29	0.00	-44.71	Sale
02/22/2021	31.00	195.28	Various	253.41	0.00	-58.13	Sale
02/22/2021	31.00	182.88	Various	244.71	0.00	-61.83	Sale

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APEX CLEARING

Proceeds from Broker and Barter Exchange Transactions

2021 Form 1099-B*

5NA77394

(continued)

01/31/2022

OMB No. 1545-0715

SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

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

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

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AULT GLOBAL HOLDINGS INC COMMON STOCK CUSIP: 05150X104 Symbol(Box 1a): DPW							
02/22/2021	70.00	372.38	Various	430.19	0.00	-57.81	Sale
03/04/2021	37.00	122.82	03/03/2021	149.12	0.00	-26.30	Sale
07/19/2021	40.00	84.78	Various	152.85	0.00	-68.07	Sale
Security Totals:		25,778.86		30,128.72		-599.52	
ADVANCED MICRO DEVICES INC COM CUSIP: 007903107 Symbol(Box 1a): AMD							
01/04/2021	3.00	279.73	Various	275.06	0.00	4.67	Sale
01/26/2021	81.00	7,779.05	01/26/2021	7,957.44	0.00	-178.39	Sale
01/26/2021	81.00	7,760.42	Various	7,944.42	0.00	-184.00	Sale
07/06/2021	1.00	95.52	03/09/2021	78.71	0.00	16.81	Sale
07/16/2021	1.00	85.81	03/09/2021	78.71	0.00	7.10	Sale
Security Totals:		16,000.53		16,334.34		-333.81	
CALL TLR 02/12/21 35 TILRAY INC CUSIP: Symbol(Box 1a): TLR210212C00035000							
02/12/2021	1.00	66.90	02/12/2021	189.08	0.00	-122.18	Sell to Close
DOLPHIN ENTERTAINMENT INC COMMON STOCK CUSIP: 25686H209 Symbol(Box 1a): DLPN							
01/13/2021	58.00	243.58	01/12/2021	277.82	0.00	-34.24	Sale
CINEDIGM CORP CLASS A COMMON STOCK CUSIP: 172406209 Symbol(Box 1a): CIDM							
01/19/2021	280.00	319.16	01/19/2021	355.44	36.28 D	0.00	Sale
01/19/2021	560.00	655.11	Various	658.47	23.21 D	19.85	Sale
01/19/2021	1,376.00	1,472.12	01/19/2021	1,499.84	27.72 D	0.00	Sale
01/19/2021	3,126.00	3,500.67	Various	3,481.77	9.9 D	28.80	Sale
01/20/2021	1,493.00	1,671.94	Various	1,917.34	72.02 D	-173.38	Sale
01/21/2021	267.00	398.08	01/21/2021	336.31	0.00	61.77	Sale

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Proceeds from Broker and Barter Exchange Transactions

2021 Form 1099-B*

5NA77394

(continued)

01/31/2022

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SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

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CINEDIGM CORP CLASS A COMMON STOCK CUSIP: 172406209 Symbol(Box 1a): CIDM							
01/26/2021	173.00	238.90	Various	270.01	0.00	-31.11	Sale
02/22/2021	92.00	177.71	02/16/2021	210.64	0.00	-32.93	Sale
Security Totals:		8,433.69		8,729.82		-127.00	
CALL SPWR 02/19/21 55 SUNPOWER CORPORATION CUSIP: Symbol(Box 1a): SPWR210219C00055000							
01/22/2021	1.00	211.90	01/22/2021	246.08	0.00	-34.18	Sell to Close
NORTHERN GENESIS ACQUISITION CORP COMMON STOCK CUSIP: 66516T104 Symbol(Box 1a): NGA							
01/04/2021	19.00	385.13	Various	394.29	9.16 D	0.00	Sale
01/04/2021	4.00	75.14	01/04/2021	80.88	5.74 D	0.00	Sale
01/12/2021	4.00	107.10	01/08/2021	100.14	0.00	6.96	Sale
01/14/2021	15.00	503.82	01/14/2021	484.80	0.00	19.02	Sale
Security Totals:		1,071.19		1,060.11		25.98	
CALL RIOT 02/12/21 38 RIOT BLOCKCHAIN INC CUSIP: Symbol(Box 1a): RIOT210212C00038000							
02/09/2021	1.00	408.90	02/08/2021	146.08	0.00	262.82	Sell to Close
CALL RIOT 03/05/21 35 RIOT BLOCKCHAIN INC CUSIP: Symbol(Box 1a): RIOT210305C00035000							
02/08/2021	1.00	412.90	02/08/2021	470.08	0.00	-57.18	Sell to Close
CALL FUBO 02/05/21 40 FUBOTV INC CUSIP: Symbol(Box 1a): FUBO210205C00040000							
01/21/2021	1.00	256.90	01/21/2021	276.08	19.18 D	0.00	Sell to Close
01/22/2021	1.00	256.90	01/22/2021	294.26	0.00	-37.36	Sell to Close
Security Totals:		513.80		570.34		-37.36	
CALL AYRO 02/19/21 7.50 AYRO INC CUSIP: Symbol(Box 1a): AYRO210219C00007500							
01/19/2021	1.00	74.90	01/08/2021	120.08	45.18 D	0.00	Sell to Close

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Proceeds from Broker and Barter Exchange Transactions

2021 Form 1099-B*

5NA77394

(continued)

01/31/2022

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CALL AYRO 02/19/21 7.50 AYRO INC CUSIP: Symbol(Box 1a): AYRO210219C00007500							
01/21/2021	3.00	269.74	Various	345.42	75.68 D	0.00	Sell to Close
01/26/2021	1.00	129.90	01/26/2021	145.25	0.00	-15.35	Sell to Close
01/26/2021	1.00	89.90	01/25/2021	90.24	0.00	-0.34	Sell to Close
01/26/2021	1.00	89.90	01/25/2021	135.43	0.00	-45.53	Sell to Close
Security Totals:		654.34		836.42		-61.22	
***VISION MARINE TECHNOLOGIES INC COM NEW GLOBAL CUSIP: C96657116 Symbol(Box 1a): VMAR							
01/06/2021	22.00	329.98	01/06/2021	344.52	0.00	-14.54	Sale
CALL AAPL 01/29/21 131 APPLE INC CUSIP: Symbol(Box 1a): AAPL210129C00131000							
01/15/2021	1.00	359.90	01/15/2021	366.08	0.00	-6.18	Sell to Close
CALL BFLY 02/19/21 25 BUTTERFLY NETWORK INC CL A CUSIP: Symbol(Box 1a): BFLY210219C00025000							
02/18/2021	1.00	294.90	02/18/2021	320.08	0.00	-25.18	Sell to Close
NET ELEMENT INC COMMON STOCK CUSIP: 64111R300 Symbol(Box 1a): NETE							
01/19/2021	116.00	1,613.51	Various	1,666.55	53.04 D	0.00	Sale
01/21/2021	100.00	1,567.95	Various	1,536.81	0.00	31.14	Sale
01/21/2021	118.00	1,801.81	Various	1,763.43	0.00	38.38	Sale
Security Totals:		4,983.27		4,966.79		69.52	
CALL GUSH 02/19/21 55 DIREXION DLY S&P OIL & GAS EXP CUSIP: Symbol(Box 1a): GUSH210219C00055000							
01/05/2021	1.00	335.90	12/30/2020	145.08	0.00	190.82	Sell to Close
CALL MVIS 02/19/21 7 MICROVISION INC CUSIP: Symbol(Box 1a): MVIS210219C00007000							
01/13/2021	1.00	74.90	01/11/2021	110.08	35.18 D	0.00	Sell to Close
01/13/2021	1.00	74.90	01/11/2021	110.08	35.18 D	0.00	Sell to Close
01/14/2021	3.00	410.74	Various	489.60	31.35 D	-47.51	Sell to Close

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APEX CLEARING

Proceeds from Broker and Barter Exchange Transactions

2021 Form 1099-B*

5NA77394

(continued)

01/31/2022

OMB No. 1545-0715

SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

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

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

Box 5: Box Not Checked (Covered Security)

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

Box 12: Basis Reported to the IRS

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

Date Sold or Disposed (Box 1c)	Quantity	Proceeds (Box 1d)	Date Acquired (Box 1b)	Cost or Other Basis (Box 1e)	Accrued Market Discount (M)(Box 1f) & Wash Sale Loss Disallowed (D)(Box 1g)	Gain or Loss(-)	Additional Notes
CALL MVIS 02/19/21 7 MICROVISION INC CUSIP: Symbol(Box 1a): MVIS210219C00007000							
01/15/2021	1.00	134.90	01/14/2021	174.43	0.00	-39.53	Sell to Close
Security Totals:		695.44		884.19		-87.04	
CALL NOK 03/05/21 10 NOKIA CORPORATION CUSIP: Symbol(Box 1a): NOK210305C00010000							
01/29/2021	1.00	91.90	01/27/2021	102.08	10.18 D	0.00	Sell to Close
01/29/2021	1.00	72.90	01/27/2021	239.26	166.36 D	0.00	Sell to Close
03/05/2021	1.00	0.00	01/28/2021	210.44	0.00	-210.44	Expiration
Security Totals:		164.80		551.78		-210.44	
IBIO INC COMMON STOCK CUSIP: 451033203 Symbol(Box 1a): IBIO							
01/21/2021	217.00	386.22	01/21/2021	353.75	0.00	32.47	Sale
01/21/2021	900.00	1,430.85	01/21/2021	1,449.00	18.15 D	0.00	Sale
01/22/2021	158.00	267.29	01/22/2021	284.40	0.00	-17.11	Sale
01/22/2021	228.00	398.96	01/22/2021	376.24	0.00	22.72	Sale
01/22/2021	473.00	841.86	Various	847.65	0.00	-5.79	Sale
Security Totals:		3,325.18		3,311.04		32.29	
CALL PLTR 02/19/21 30 PALANTIR TECHNOLOGIES INC CL A CUSIP: Symbol(Box 1a): PLTR210219C00030000							
01/04/2021	1.00	141.90	12/30/2020	231.08	0.00	-89.18	Sell to Close
DOCUMENT SECURITY SYSTEMS INC COMMON STOCK CUSIP: 25614T309 Symbol(Box 1a): DSS							
02/11/2021	58.00	243.00	02/11/2021	248.82	5.82 D	0.00	Sale
02/12/2021	56.00	254.78	02/11/2021	249.22	0.00	5.56	Sale
02/17/2021	59.00	264.30	Various	264.33	0.00	-0.03	Sale

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APEX CLEARING

Proceeds from Broker and Barter Exchange Transactions

2021 Form 1099-B*

5NA77394

(continued)

01/31/2022

OMB No. 1545-0715

SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

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

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

Date Sold or Disposed (Box 1c)	Quantity	Proceeds (Box 1d)	Date Acquired (Box 1b)	Cost or Other Basis (Box 1e)	Accrued Market Discount (M)(Box 1f) & Wash Sale Loss Disallowed (D)(Box 1g)	Gain or Loss(-)	Additional Notes
02/17/2021	19.00	84.34	Various	85.73	1.32 D	-0.07	Sale
Security Totals:		846.42		848.10		5.46	
CALL QS 01/08/21 75 QUANTUMSCAPE CORPORATION CL A CUSIP: Symbol(Box 1a): QS210108C00075000							
01/06/2021	1.00	451.90	01/06/2021	400.08	0.00	51.82	Sell to Close
CLEANSPARK INC COMMON STOCK CUSIP: 18452B209 Symbol(Box 1a): CLSK							
02/17/2021	8.00	218.38	02/17/2021	235.84	13.1 D	-4.36	Sale
02/17/2021	8.00	221.98	Various	243.70	21.72 D	0.00	Sale
02/19/2021	14.00	492.77	Various	532.94	0.00	-40.17	Sale
Security Totals:		933.13		1,012.48		-44.53	
HOLICITY INC CLASS A COMMON STOCK CUSIP: 435063102 Symbol(Box 1a): HOL							
02/26/2021	157.00	2,543.36	02/26/2021	2,585.37	0.00	-42.01	Sale
02/26/2021	468.00	7,628.30	02/26/2021	7,706.71	0.00	-78.41	Sale
Security Totals:		10,171.66		10,292.08		-120.42	
CALL CCIV 02/19/21 45 CHURCHILL CAPITAL CORP IV CL A CUSIP: Symbol(Box 1a): CCIV210219C00045000							
02/05/2021	1.00	379.90	02/05/2021	410.08	30.18 D	0.00	Sell to Close
02/12/2021	1.00	409.90	02/12/2021	347.62	0.00	62.28	Sell to Close
02/12/2021	1.00	194.90	02/12/2021	286.26	91.36 D	0.00	Sell to Close
02/12/2021	1.00	184.90	02/12/2021	302.44	117.54 D	0.00	Sell to Close
Security Totals:		1,169.60		1,346.40		62.28	
CALL FCCEL 01/15/21 15 FUELCELL ENERGY INC CUSIP: Symbol(Box 1a): FCCEL210115C00015000							
01/07/2021	1.00	138.90	01/07/2021	105.08	0.00	33.82	Sell to Close
01/07/2021	1.00	145.90	01/07/2021	105.08	0.00	40.82	Sell to Close

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APEX CLEARING

Proceeds from Broker and Barter Exchange Transactions

2021 Form 1099-B*

5NA77394

(continued)

01/31/2022

OMB No. 1545-0715

SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

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

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

Date Sold or Disposed (Box 1c)	Quantity	Proceeds (Box 1d)	Date Acquired (Box 1b)	Cost or Other Basis (Box 1e)	Accrued Market Discount (M)(Box 1f) & Wash Sale Loss Disallowed (D)(Box 1g)	Gain or Loss(-)	Additional Notes
01/07/2021	1.00	140.90	01/07/2021	105.08	0.00	35.82	Sell to Close
Security Totals:		425.70		315.24		110.46	
CALL LMND 02/12/21 162.50 LEMONADE INC CUSIP: Symbol(Box 1a): LMND210212C00162500							
02/11/2021	1.00	339.90	02/11/2021	380.08	0.00	-40.18	Sell to Close
CALL RIOT 02/12/21 31 RIOT BLOCKCHAIN INC CUSIP: Symbol(Box 1a): RIOT210212C00031000							
02/08/2021	1.00	179.90	02/08/2021	207.08	0.00	-27.18	Sell to Close
CALL RIOT 02/12/21 32 RIOT BLOCKCHAIN INC CUSIP: Symbol(Box 1a): RIOT210212C00032000							
02/08/2021	1.00	248.90	02/08/2021	258.08	0.00	-9.18	Sell to Close
CALL AAPL 01/08/21 128 APPLE INC CUSIP: Symbol(Box 1a): AAPL210108C00128000							
01/06/2021	1.00	132.90	01/06/2021	136.08	0.00	-3.18	Sell to Close
CALL KERN 02/19/21 5 AKERNA CORP CUSIP: Symbol(Box 1a): KERN210219C00005000							
01/12/2021	1.00	191.90	01/08/2021	170.08	0.00	21.82	Sell to Close
SORRENTO THERAPEUTICS INC CUSIP: 83587F202 Symbol(Box 1a): SRNE							
02/04/2021	67.00	986.87	02/04/2021	997.63	4.98 D	-5.78	Sale
03/03/2021	15.00	136.48	03/03/2021	144.76	0.00	-8.28	Sale
07/06/2021	8.00	79.10	03/03/2021	77.21	0.00	1.89	Sale
07/19/2021	8.00	65.42	03/03/2021	77.20	0.00	-11.78	Sale
Security Totals:		1,267.87		1,296.80		-23.95	
CALL CCIV 02/19/21 20 CHURCHILL CAPITAL CORP IV CL A CUSIP: Symbol(Box 1a): CCIV210219C00020000							
01/15/2021	1.00	469.89	01/15/2021	380.08	0.00	89.81	Sell to Close

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APEX CLEARING

Proceeds from Broker and Barter Exchange Transactions

2021 Form 1099-B*

5NA77394

(continued)

01/31/2022

OMB No. 1545-0715

SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

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

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

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

Date Sold or Disposed (Box 1c)	Quantity	Proceeds (Box 1d)	Date Acquired (Box 1b)	Cost or Other Basis (Box 1e)	Accrued Market Discount (M)(Box 1f) & Wash Sale Loss Disallowed (D)(Box 1g)	Gain or Loss(-)	Additional Notes
***SUPERCOM LTD NEW CUSIP: M87095119 Symbol(Box 1a): SPCB							
01/06/2021	416.00	528.25	01/06/2021	499.20	0.00	29.05	Sale
01/20/2021	434.00	576.81	Various	598.92	22.11 D	0.00	Sale
02/03/2021	209.00	338.55	Various	315.79	0.00	22.76	Sale
02/03/2021	211.00	293.25	02/03/2021	316.70	11.45 D	-12.00	Sale
02/04/2021	117.00	183.67	Various	208.72	0.00	-25.05	Sale
Security Totals:		1,920.53		1,939.33		14.76	
***BLACKBERRY LTD COM CUSIP: 09228F103 Symbol(Box 1a): BB							
01/15/2021	95.00	984.26	01/15/2021	995.60	11.34 D	0.00	Sale
01/22/2021	34.00	483.11	01/22/2021	495.70	12.59 D	0.00	Sale
01/25/2021	17.00	330.63	01/25/2021	322.49	0.00	8.14	Sale
01/25/2021	13.00	250.23	01/25/2021	246.61	0.00	3.62	Sale
01/25/2021	20.00	363.98	01/25/2021	373.51	9.53 D	0.00	Sale
01/25/2021	23.00	455.14	01/25/2021	438.85	0.00	16.29	Sale
01/25/2021	26.00	503.07	01/25/2021	493.22	0.00	9.85	Sale
01/25/2021	24.00	476.61	01/25/2021	448.21	0.00	28.40	Sale
01/25/2021	31.00	550.26	Various	592.97	42.71 D	0.00	Sale
01/25/2021	93.00	1,832.97	Various	1,804.50	27.19 D	55.66	Sale
01/25/2021	52.00	932.84	01/25/2021	886.57	0.00	46.27	Sale
01/25/2021	111.00	2,016.81	Various	2,077.75	68.36 D	7.42	Sale
01/25/2021	26.00	481.75	Various	465.01	0.00	16.74	Sale

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APEX CLEARING

Proceeds from Broker and Barter Exchange Transactions

2021 Form 1099-B*

5NA77394

(continued)

01/31/2022

OMB No. 1545-0715

SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

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

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***BLACKBERRY LTD COM CUSIP: 09228F103 Symbol(Box 1a): BB							
01/25/2021	32.00	607.65	01/25/2021	597.62	0.00	10.03	Sale
01/25/2021	42.00	795.87	Various	769.72	0.00	26.15	Sale
01/25/2021	48.00	887.01	01/25/2021	896.42	9.41 D	0.00	Sale
01/26/2021	14.00	275.92	01/25/2021	265.58	0.00	10.34	Sale
01/27/2021	17.00	346.61	01/27/2021	419.39	72.78 D	0.00	Sale
01/27/2021	1.00	23.70	01/27/2021	24.85	1.15 D	0.00	Sale
01/27/2021	17.00	404.41	Various	420.29	15.88 D	0.00	Sale
01/27/2021	34.00	809.51	01/27/2021	844.93	35.42 D	0.00	Sale
01/27/2021	136.00	3,357.74	Various	3,292.16	39.30 D	104.88	Sale
01/27/2021	183.00	4,170.45	Various	4,230.70	60.25 D	0.00	Sale
01/27/2021	68.00	1,665.95	01/27/2021	1,689.84	23.89 D	0.00	Sale
01/28/2021	5.00	86.33	01/28/2021	83.94	0.00	2.39	Sale
01/28/2021	7.00	161.82	01/28/2021	156.36	0.00	5.46	Sale
01/28/2021	14.00	242.60	Various	232.31	0.00	10.29	Sale
01/28/2021	6.00	124.00	01/28/2021	134.03	10.03 D	0.00	Sale
02/24/2021	25.00	297.48	Various	378.00	0.00	-80.52	Sale
02/24/2021	26.00	306.26	Various	373.90	0.00	-67.64	Sale
02/24/2021	150.00	1,808.97	Various	1,928.93	14.86 D	-105.10	Sale
Security Totals:		26,033.94		26,379.96		108.67	

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Proceeds from Broker and Barter Exchange Transactions

2021 Form 1099-B*

5NA77394

(continued)

01/31/2022

OMB No. 1545-0715

SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

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EVOFEM BIOSCIENCES INC COMMON STOCK CUSIP: 30048L104 Symbol(Box 1a): EVFM							
02/17/2021	104.00	502.40	Various	499.45	0.00	2.95	Sale
02/17/2021	55.00	246.93	02/17/2021	249.64	2.41 D	-0.30	Sale
Security Totals:		749.33		749.09		2.65	
CALL AAPL 01/29/21 149 APPLE INC CUSIP: Symbol(Box 1a): AAPL210129C00149000							
01/26/2021	1.00	223.90	01/25/2021	274.08	50.18 D	0.00	Sell to Close
01/27/2021	1.00	240.90	01/26/2021	340.26	0.00	-99.36	Sell to Close
Security Totals:		464.80		614.34		-99.36	
***DOGNESS INTERNATIONAL CORPORATION CLASS A COMMON STOCK CUSIP: G2788T103 Symbol(Box 1a): DOGZ							
01/14/2021	125.00	334.69	01/14/2021	347.50	12.81 D	0.00	Sale
01/14/2021	140.00	355.57	Various	358.61	0.00	-3.04	Sale
Security Totals:		690.26		706.11		-3.04	
ACORDA THERAPEUTICS INC COMMON STOCK CUSIP: 00484M601 Symbol(Box 1a): ACOR							
01/13/2021	17.00	116.27	01/13/2021	130.90	0.00	-14.63	Sale
ASHFORD HOSPITALITY TR INC COMMON STOCK CUSIP: 044103877 Symbol(Box 1a): AHT							
02/22/2021	71.00	294.63	02/22/2021	296.43	0.00	-1.80	Sale
MESA AIR GROUP INC COMMON STOCK CUSIP: 590479135 Symbol(Box 1a): MESA							
02/17/2021	12.00	142.66	02/17/2021	141.30	0.00	1.36	Sale
02/17/2021	13.00	153.38	02/17/2021	153.08	0.00	0.30	Sale
Security Totals:		296.04		294.38		1.66	
ZOOM VIDEO COMMUNICATIONS INC CLASS A COMMON STOCK CUSIP: 98980L101 Symbol(Box 1a): ZM							
03/01/2021	2.00	907.06	03/01/2021	913.25	0.00	-6.19	Sale

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APEX CLEARING

Proceeds from Broker and Barter Exchange Transactions

2021 Form 1099-B*

5NA77394

(continued)

01/31/2022

OMB No. 1545-0715

SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

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ZOOM VIDEO COMMUNICATIONS INC CLASS A COMMON STOCK CUSIP: 98980L101 Symbol(Box 1a): ZM							
03/01/2021	5.00	2,281.82	03/01/2021	2,283.12	0.00	-1.30	Sale
03/01/2021	18.00	8,198.40	03/01/2021	8,219.24	1.16 D	-19.68	Sale
06/04/2021	1.00	331.65	03/18/2021	319.11	0.00	12.54	Sale
Security Totals:		11,718.93		11,734.72		-14.63	
CALL SQ 02/19/21 295 SQUARE INC CUSIP: Symbol(Box 1a): SQ210219C00295000							
02/16/2021	1.00	179.90	02/16/2021	202.08	0.00	-22.18	Sell to Close
EASTMAN KODAK COMPANY COM NEW CUSIP: 277461406 Symbol(Box 1a): KODK							
01/27/2021	25.00	275.73	01/27/2021	289.50	13.77 D	0.00	Sale
01/27/2021	28.00	323.38	Various	357.33	0.00	-33.95	Sale
Security Totals:		599.11		646.83		-33.95	
CALL SKLZ 01/15/21 25 SKILLZ INC CL A CUSIP: Symbol(Box 1a): SKLZ210115C00025000							
01/06/2021	1.00	159.90	01/06/2021	145.08	0.00	14.82	Sell to Close
CALL AMC 02/19/21 5.50 AMC ENTERTAINMENT HOLDINGS INC CUSIP: Symbol(Box 1a): AMC210219C00005500							
01/25/2021	2.00	289.82	Various	331.16	2.17 D	-39.17	Sell to Close
01/25/2021	1.00	145.90	01/25/2021	158.25	0.00	-12.35	Sell to Close
Security Totals:		435.72		489.41		-51.52	
***BORR DRILLING LIMITED COM ON SHARES OF PAR VALUE \$0.05 PER SHARE CUSIP: G1466R207 Symbol(Box 1a): BORR							
01/04/2021	380.00	326.74	Various	380.12	0.00	-53.38	Sale
CALL PLTR 03/19/21 30 PALANTIR TECHNOLOGIES INC CL A CUSIP: Symbol(Box 1a): PLTR210319C00030000							
02/19/2021	1.00	295.90	02/19/2021	320.08	0.00	-24.18	Sell to Close
CALL DPW 03/19/21 5 AULT GLOBAL HOLDINGS INC CUSIP: Symbol(Box 1a): DPW210319C00005000							
02/16/2021	1.00	279.90	02/02/2021	150.08	0.00	129.82	Sell to Close

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APEX CLEARING

Proceeds from Broker and Barter Exchange Transactions

2021 Form 1099-B*

5NA77394

(continued)

01/31/2022

OMB No. 1545-0715

SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

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

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

Box 5: Box Not Checked (Covered Security)

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

Box 12: Basis Reported to the IRS

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

Date Sold or Disposed (Box 1c)	Quantity	Proceeds (Box 1d)	Date Acquired (Box 1b)	Cost or Other Basis (Box 1e)	Accrued Market Discount (M)(Box 1f) & Wash Sale Loss Disallowed (D)(Box 1g)	Gain or Loss(-)	Additional Notes
CALL DPW 03/19/21 5 AULT GLOBAL HOLDINGS INC CUSIP: Symbol(Box 1a): DPW210319C00005000							
02/16/2021	1.00	259.90	02/08/2021	150.08	0.00	109.82	Sell to Close
Security Totals:		539.80		300.16		239.64	
***TRANSOCEAN LTD US LISTED CUSIP: H8817H100 Symbol(Box 1a): RIG							
01/05/2021	136.00	308.69	Various	345.55	36.86 D	0.00	Sale
01/05/2021	366.00	996.11	Various	927.17	0.00	68.94	Sale
01/06/2021	92.00	254.07	01/05/2021	228.00	0.00	26.07	Sale
01/11/2021	31.00	83.37	01/05/2021	76.83	0.00	6.54	Sale
01/13/2021	136.00	428.63	Various	488.95	60.32 D	0.00	Sale
01/13/2021	136.00	431.35	01/12/2021	508.64	77.29 D	0.00	Sale
01/15/2021	109.00	358.80	Various	402.07	43.27 D	0.00	Sale
01/15/2021	126.00	410.74	Various	477.27	66.53 D	0.00	Sale
01/15/2021	146.00	499.28	Various	581.28	82.00 D	0.00	Sale
01/20/2021	126.00	359.32	Various	469.23	109.91 D	0.00	Sale
01/28/2021	305.00	978.98	Various	1,158.72	179.74 D	0.00	Sale
01/29/2021	323.00	1,065.89	Various	1,319.82	14.14 D	-239.79	Sale
02/24/2021	43.00	144.03	Various	171.82	0.00	-27.79	Sale
02/26/2021	22.00	73.68	Various	85.21	0.00	-11.53	Sale
07/06/2021	11.00	57.07	Various	43.45	0.00	13.62	Sale
07/19/2021	11.00	36.09	Various	43.93	0.00	-7.84	Sale
Security Totals:		6,486.10		7,327.94		-171.78	
CALL BA 01/22/21 210 BOEING CO CUSIP: Symbol(Box 1a): BA210122C00210000							
01/19/2021	1.00	253.90	01/19/2021	216.08	0.00	37.82	Sell to Close

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APEX CLEARING

Proceeds from Broker and Barter Exchange Transactions

2021 Form 1099-B*

5NA77394

(continued)

01/31/2022

OMB No. 1545-0715

SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

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CALL GHIV 02/19/21 12.50 GORES HOLDINGS IV INC CL A CUSIP: Symbol(Box 1a): GHIV210219C00012500							
01/15/2021	1.00	174.90	01/11/2021	235.08	0.00	-60.18	Sell to Close
***BIT DIGITAL INC ORDINARY SHARES CUSIP: G1144A105 Symbol(Box 1a): BTBT							
01/29/2021	4.00	97.50	01/29/2021	112.92	15.42 D	0.00	Sale
01/29/2021	5.00	118.93	01/29/2021	141.16	22.23 D	0.00	Sale
01/29/2021	9.00	238.48	01/29/2021	254.08	15.6 D	0.00	Sale
01/29/2021	16.00	305.19	Various	366.16	60.97 D	0.00	Sale
02/08/2021	21.00	476.25	Various	570.19	93.94 D	0.00	Sale
02/08/2021	29.00	780.07	02/08/2021	753.42	0.00	26.65	Sale
02/08/2021	22.00	587.59	02/08/2021	571.56	0.00	16.03	Sale
02/08/2021	33.00	863.91	02/08/2021	857.34	0.00	6.57	Sale
02/08/2021	61.00	1,500.04	02/08/2021	1,488.40	0.00	11.64	Sale
02/08/2021	116.00	2,948.64	Various	3,002.85	25.59 D	-28.62	Sale
02/08/2021	122.00	3,025.52	Various	3,044.12	85.55 D	66.95	Sale
02/09/2021	33.00	811.77	02/08/2021	857.34	0.00	-45.57	Sale
07/22/2021	5.00	23.48	03/10/2021	110.54	0.00	-87.06	Sale
Security Totals:		11,777.37		12,130.08		-33.41	
CALL BA 01/22/21 215 BOEING CO CUSIP: Symbol(Box 1a): BA210122C00215000							
01/19/2021	1.00	135.90	01/19/2021	140.08	0.00	-4.18	Sell to Close

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APEX CLEARING

Proceeds from Broker and Barter Exchange Transactions

2021 Form 1099-B*

5NA77394

(continued)

01/31/2022

OMB No. 1545-0715

SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

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

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

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

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

Date Sold or Disposed (Box 1c)	Quantity	Proceeds (Box 1d)	Date Acquired (Box 1b)	Cost or Other Basis (Box 1e)	Accrued Market Discount (M)(Box 1f) & Wash Sale Loss Disallowed (D)(Box 1g)	Gain or Loss(-)	Additional Notes
CALL RKT 03/05/21 36 ROCKET COMPANIES INC CL A CUSIP: Symbol(Box 1a): RKT210305C00036000							
03/02/2021	1.00	599.90	03/02/2021	675.08	75.18 D	0.00	Sell to Close
03/02/2021	1.00	554.90	03/02/2021	660.26	0.00	-105.36	Sell to Close
03/02/2021	1.00	769.90	03/02/2021	650.08	0.00	119.82	Sell to Close
Security Totals:		1,924.70		1,985.42		14.46	
CALL AAPL 02/19/21 139 APPLE INC CUSIP: Symbol(Box 1a): AAPL210219C00139000							
01/29/2021	1.00	280.90	01/29/2021	297.08	0.00	-16.18	Sell to Close
***LITHIUM AMERICAS CORP COM CUSIP: 53680Q207 Symbol(Box 1a): LAC							
01/19/2021	10.00	278.59	01/19/2021	249.10	0.00	29.49	Sale
CALL VFF 02/19/21 15 VILLAGE FARMS INTRNATIONAL INC CUSIP: Symbol(Box 1a): VFF210219C00015000							
01/15/2021	1.00	104.90	01/12/2021	130.08	0.00	-25.18	Sell to Close
PROPERTY SOLUTIONS ACQUISITION CORP COMMON STOCK CUSIP: 74348Q108 Symbol(Box 1a): PSAC							
01/26/2021	66.00	836.85	01/26/2021	841.11	0.00	-4.26	Sale
01/26/2021	131.00	1,651.85	01/26/2021	1,669.46	15.73 D	-1.88	Sale
01/26/2021	262.00	3,333.77	01/26/2021	3,338.93	5.16 D	0.00	Sale
01/27/2021	16.00	206.22	Various	220.94	0.00	-14.72	Sale
01/27/2021	31.00	391.51	Various	454.04	0.00	-62.53	Sale
01/27/2021	49.00	661.47	01/26/2021	624.45	0.00	37.02	Sale
01/27/2021	63.00	847.32	Various	905.26	0.00	-57.94	Sale
01/28/2021	16.00	320.14	01/27/2021	214.23	0.00	105.91	Sale
01/28/2021	16.00	280.14	01/28/2021	283.36	0.00	-3.22	Sale

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APEX CLEARING

Proceeds from Broker and Barter Exchange Transactions

2021 Form 1099-B*

5NA77394

(continued)

01/31/2022

OMB No. 1545-0715

SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

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

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Date Sold or Disposed (Box 1c)	Quantity	Proceeds (Box 1d)	Date Acquired (Box 1b)	Cost or Other Basis (Box 1e)	Accrued Market Discount (M)(Box 1f) & Wash Sale Loss Disallowed (D)(Box 1g)	Gain or Loss(-)	Additional Notes
PROPERTY SOLUTIONS ACQUISITION CORP COMMON STOCK CUSIP: 74348Q108 Symbol(Box 1a): PSAC							
01/28/2021	35.00	559.62	Various	607.87	0.00	-48.25	Sale
01/28/2021	61.00	953.39	Various	1,018.45	0.00	-65.06	Sale
01/29/2021	12.00	254.38	01/28/2021	193.25	0.00	61.13	Sale
01/29/2021	14.00	272.84	Various	251.11	0.00	21.73	Sale
01/29/2021	29.00	520.52	Various	507.53	0.00	12.99	Sale
01/29/2021	46.00	1,016.56	Various	736.10	0.00	280.46	Sale
02/01/2021	10.00	213.28	01/29/2021	187.15	0.00	26.13	Sale
02/01/2021	11.00	230.98	01/29/2021	205.86	0.00	25.12	Sale
02/01/2021	21.00	451.69	Various	381.48	0.00	70.21	Sale
02/02/2021	15.00	287.23	02/01/2021	296.32	0.00	-9.09	Sale
Security Totals:		13,289.76		12,936.90		373.75	
CALL CCIV 02/19/21 70 CHURCHILL CAPITAL CORP IV CL A CUSIP: Symbol(Box 1a): CCIV210219C00070000							
02/18/2021	1.00	196.90	02/18/2021	195.08	0.00	1.82	Sell to Close
SUPERIOR DRILLING PRODUCTS INC CUSIP: 868153107 Symbol(Box 1a): SDPI							
02/03/2021	279.00	261.44	02/03/2021	249.98	0.00	11.46	Sale
CALL CCIV 02/19/21 65 CHURCHILL CAPITAL CORP IV CL A CUSIP: Symbol(Box 1a): CCIV210219C00065000							
02/18/2021	1.00	249.90	02/18/2021	320.08	0.00	-70.18	Sell to Close
PUT AMC 03/05/21 5 AMC ENTERTAINMENT HOLDINGS INC CUSIP: Symbol(Box 1a): AMC210305P00005000							
02/03/2021	1.00	107.90	02/02/2021	136.08	0.00	-28.18	Sell to Close
VELODYNE LIDAR INC COMMON STOCK CUSIP: 92259F101 Symbol(Box 1a): VLDR							
01/08/2021	14.00	341.58	01/07/2021	332.85	0.00	8.73	Sale

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Proceeds from Broker and Barter Exchange Transactions

2021 Form 1099-B*

5NA77394

(continued)

01/31/2022

OMB No. 1545-0715

SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

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DIFFUSION PHARMACEUTICALS INC COMMON STOCK CUSIP: 253748305 Symbol(Box 1a): DFFN							
02/19/2021	170.00	234.76	02/18/2021	249.71	0.00	-14.95	Sale
CALL CCIV 02/19/21 60 CHURCHILL CAPITAL CORP IV CL A CUSIP: Symbol(Box 1a): CCIV210219C00060000							
02/16/2021	1.00	369.90	02/16/2021	500.08	130.18 D	0.00	Sell to Close
02/16/2021	1.00	369.90	02/16/2021	540.26	170.36 D	0.00	Sell to Close
02/16/2021	1.00	419.90	02/16/2021	410.08	0.00	9.82	Sell to Close
02/17/2021	1.00	399.90	02/16/2021	520.44	120.54 D	0.00	Sell to Close
02/17/2021	1.00	290.90	02/17/2021	418.98	128.08 D	0.00	Sell to Close
02/17/2021	1.00	319.90	02/17/2021	444.80	124.9 D	0.00	Sell to Close
02/17/2021	1.00	435.90	02/17/2021	540.62	104.72 D	0.00	Sell to Close
02/17/2021	1.00	409.90	02/17/2021	498.16	0.00	-88.26	Sell to Close
Security Totals:		3,016.20		3,873.42		-78.44	
CALL CCIV 02/19/21 55 CHURCHILL CAPITAL CORP IV CL A CUSIP: Symbol(Box 1a): CCIV210219C00055000							
02/16/2021	1.00	589.89	02/16/2021	650.08	60.19 D	0.00	Sell to Close
02/16/2021	1.00	676.89	02/16/2021	634.27	0.00	42.62	Sell to Close
02/16/2021	1.00	529.89	02/16/2021	520.27	0.00	9.62	Sell to Close
02/16/2021	1.00	529.89	02/16/2021	584.08	54.19 D	0.00	Sell to Close
02/17/2021	1.00	479.89	02/17/2021	460.08	0.00	19.81	Sell to Close
Security Totals:		2,806.45		2,848.78		72.05	

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2021 Form 1099-B*

5NA77394

(continued)

01/31/2022

OMB No. 1545-0715

SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

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PIMCO ENERGY AND TACTICAL CREDIT OPPORTUNITIES FUND COM CUSIP: 69346N107 Symbol(Box 1a): NRGX							
02/18/2021	20.00	195.78	02/12/2021	197.60	0.00	-1.82	Sale
CALL PLTR 03/19/21 26.50 PALANTIR TECHNOLOGIES INC CL A CUSIP: Symbol(Box 1a): PLTR210319C00026500							
03/10/2021	1.00	98.90	03/10/2021	129.08	0.00	-30.18	Sell to Close
TRANSENERX INC COMMON STOCK CUSIP: 89366M300 Symbol(Box 1a): TRXC							
01/08/2021	156.00	173.30	01/08/2021	156.00	0.00	17.30	Sale
01/12/2021	138.00	234.57	01/11/2021	247.02	12.45 D	0.00	Sale
01/14/2021	76.00	149.78	01/14/2021	149.64	0.00	0.14	Sale
01/14/2021	114.00	230.26	01/14/2021	224.45	0.00	5.81	Sale
01/14/2021	115.00	240.33	01/14/2021	226.42	0.00	13.91	Sale
01/14/2021	913.00	1,753.81	Various	1,818.90	65.09 D	0.00	Sale
01/19/2021	117.00	387.25	Various	355.30	0.00	31.95	Sale
01/19/2021	158.00	426.57	Various	477.55	50.98 D	0.00	Sale
01/19/2021	261.00	974.61	01/19/2021	1,011.86	37.25 D	0.00	Sale
01/20/2021	502.00	1,952.67	Various	2,055.82	103.15 D	0.00	Sale
01/21/2021	69.00	222.85	Various	262.93	40.08 D	0.00	Sale
01/26/2021	87.00	329.81	01/25/2021	357.81	28 D	0.00	Sale
02/01/2021	97.00	293.89	02/01/2021	311.63	17.74 D	0.00	Sale
02/03/2021	107.00	360.57	Various	384.43	23.86 D	0.00	Sale
02/08/2021	132.00	543.95	02/08/2021	545.16	1.21 D	0.00	Sale
02/08/2021	363.00	1,488.62	Various	1,534.69	46.11 D	0.04	Sale

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2021 Form 1099-B*

5NA77394

(continued)

01/31/2022

OMB No. 1545-0715

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TRANSENERIX INC COMMON STOCK CUSIP: 89366M300 Symbol(Box 1a): TRXC							
02/08/2021	394.00	1,623.62	Various	1,683.92	60.30 D	0.00	Sale
02/08/2021	484.00	1,984.82	Various	2,122.15	137.33 D	0.00	Sale
02/08/2021	525.00	2,163.47	Various	2,291.36	130.42 D	2.53	Sale
02/10/2021	48.00	281.74	02/10/2021	304.37	0.00	-22.63	Sale
02/10/2021	69.00	351.27	Various	320.08	0.00	31.19	Sale
02/10/2021	668.00	4,123.72	Various	4,400.15	22.84 D	-253.59	Sale
02/11/2021	24.00	157.66	Various	151.26	0.00	6.40	Sale
02/12/2021	38.00	215.06	Various	230.01	0.00	-14.95	Sale
02/17/2021	38.00	218.48	02/11/2021	219.19	0.00	-0.71	Sale
02/22/2021	21.00	106.28	02/19/2021	100.15	0.00	6.13	Sale
02/23/2021	21.00	96.58	02/19/2021	100.15	0.00	-3.57	Sale
02/24/2021	61.00	281.19	Various	318.11	0.00	-36.92	Sale
Security Totals:		21,366.73		22,360.51		-216.97	
CALL NIO 02/05/21 65 NIO INC ADS CUSIP: Symbol(Box 1a): NIO210205C00065000							
01/08/2021	1.00	464.89	01/08/2021	365.08	0.00	99.81	Sell to Close
01/22/2021	1.00	299.90	01/22/2021	311.08	0.00	-11.18	Sell to Close
Security Totals:		764.79		676.16		88.63	
CALL PLTR 03/26/21 29 PALANTIR TECHNOLOGIES INC CL A CUSIP: Symbol(Box 1a): PLTR210326C00029000							
02/18/2021	1.00	251.90	02/18/2021	268.08	0.00	-16.18	Sell to Close
02/18/2021	1.00	241.90	02/18/2021	268.08	0.00	-26.18	Sell to Close
Security Totals:		493.80		536.16		-42.36	

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APEX CLEARING

Proceeds from Broker and Barter Exchange Transactions

2021 Form 1099-B*

5NA77394

(continued)

01/31/2022

OMB No. 1545-0715

SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

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

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

Box 5: Box Not Checked (Covered Security)

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

Box 12: Basis Reported to the IRS

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

Date Sold or Disposed (Box 1c)	Quantity	Proceeds (Box 1d)	Date Acquired (Box 1b)	Cost or Other Basis (Box 1e)	Accrued Market Discount (M)(Box 1f) & Wash Sale Loss Disallowed (D)(Box 1g)	Gain or Loss(-)	Additional Notes
CALL MARA 01/15/21 28 MARATHON PATENT GROUP INC CUSIP: Symbol(Box 1a): MARA210115C00028000							
01/08/2021	1.00	369.90	01/08/2021	505.08	0.00	-135.18	Sell to Close
ARCADIA BIOSCIENCES INC COMMON STOCK CUSIP: 039014204 Symbol(Box 1a): RKDA							
01/27/2021	80.00	249.58	01/26/2021	247.20	0.00	2.38	Sale
UWM HOLDINGS CORPORATION CLASS A COMMON STOCK CUSIP: 91823B109 Symbol(Box 1a): UWMC							
01/22/2021	84.00	955.04	Various	1,110.16	0.00	-155.12	Sale
02/03/2021	25.00	290.23	02/03/2021	315.73	25.5 D	0.00	Sale
03/04/2021	26.00	239.71	03/03/2021	259.74	0.00	-20.03	Sale
03/04/2021	34.00	313.46	Various	365.16	0.00	-51.70	Sale
03/12/2021	9.00	77.38	03/03/2021	89.91	0.00	-12.53	Sale
Security Totals:		1,875.82		2,140.70		-239.38	
CALL RIOT 02/19/21 70 RIOT BLOCKCHAIN INC CUSIP: Symbol(Box 1a): RIOT210219C00070000							
02/16/2021	1.00	319.90	02/16/2021	262.08	0.00	57.82	Sell to Close
02/18/2021	1.00	499.89	02/18/2021	530.08	0.00	-30.19	Sell to Close
Security Totals:		819.79		792.16		27.63	
CALL MARA 01/15/21 30 MARATHON PATENT GROUP INC CUSIP: Symbol(Box 1a): MARA210115C00030000							
01/11/2021	1.00	98.90	01/08/2021	320.08	0.00	-221.18	Sell to Close
HEPION PHARMACEUTICALS INC COMMON STOCK CUSIP: 426897104 Symbol(Box 1a): HEPA							
02/18/2021	128.00	283.02	02/16/2021	298.24	0.00	-15.22	Sale
PUT LMND 01/29/21 120 LEMONADE INC CUSIP: Symbol(Box 1a): LMND210129P00120000							
01/19/2021	1.00	319.90	01/19/2021	350.08	0.00	-30.18	Sell to Close

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APEX CLEARING

Proceeds from Broker and Barter Exchange Transactions

2021 Form 1099-B*

5NA77394

(continued)

01/31/2022

OMB No. 1545-0715

SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

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

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

Date Sold or Disposed (Box 1c)	Quantity	Proceeds (Box 1d)	Date Acquired (Box 1b)	Cost or Other Basis (Box 1e)	Accrued Market Discount (M)(Box 1f) & Wash Sale Loss Disallowed (D)(Box 1g)	Gain or Loss(-)	Additional Notes
CALL RIOT 02/19/21	75	RIOT BLOCKCHAIN INC CUSIP: Symbol(Box 1a): RIOT210219C00075000					
02/17/2021	1.00	469.89	02/17/2021	430.08	0.00	39.81	Sell to Close
AMMO INC	COMMON STOCK CUSIP: 00175J107 Symbol(Box 1a): POWW						
02/11/2021	22.00	206.78	02/11/2021	195.36	0.00	11.42	Sale
CANCER GENETICS INC	COMMON STOCK CUSIP: 13739U203 Symbol(Box 1a): CGIX						
01/05/2021	109.00	370.58	01/05/2021	408.75	0.00	-38.17	Sale
01/05/2021	109.00	419.63	01/05/2021	408.75	0.00	10.88	Sale
Security Totals:		790.21		817.50		-27.29	
CALL RIOT 02/19/21	66	RIOT BLOCKCHAIN INC CUSIP: Symbol(Box 1a): RIOT210219C00066000					
02/17/2021	1.00	459.89	02/17/2021	540.08	0.00	-80.19	Sell to Close
CALL PLUG 01/08/21	35	PLUG POWER INC CUSIP: Symbol(Box 1a): PLUG210108C00035000					
01/06/2021	1.00	104.90	01/06/2021	130.08	0.00	-25.18	Sell to Close
***GENETIC TECHNOLOGIES LTD	SPONSORED ADR CUSIP: 37185R307 Symbol(Box 1a): GENE						
02/17/2021	124.00	716.69	02/17/2021	746.48	0.00	-29.79	Sale
02/18/2021	42.00	235.18	02/17/2021	252.84	0.00	-17.66	Sale
Security Totals:		951.87		999.32		-47.45	
CALL RIOT 02/19/21	65	RIOT BLOCKCHAIN INC CUSIP: Symbol(Box 1a): RIOT210219C00065000					
02/16/2021	1.00	459.89	02/16/2021	480.08	0.00	-20.19	Sell to Close
PUT RIOT 02/19/21	65	RIOT BLOCKCHAIN INC CUSIP: Symbol(Box 1a): RIOT210219P00065000					
02/18/2021	1.00	519.89	02/18/2021	356.08	0.00	163.81	Sell to Close
02/18/2021	1.00	550.89	02/18/2021	435.08	0.00	115.81	Sell to Close
Security Totals:		1,070.78		791.16		279.62	

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APEX CLEARING

Proceeds from Broker and Barter Exchange Transactions

2021 Form 1099-B*

5NA77394

(continued)

01/31/2022

OMB No. 1545-0715

SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

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

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

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

Date Sold or Disposed (Box 1c)	Quantity	Proceeds (Box 1d)	Date Acquired (Box 1b)	Cost or Other Basis (Box 1e)	Accrued Market Discount (M)(Box 1f) & Wash Sale Loss Disallowed (D)(Box 1g)	Gain or Loss(-)	Additional Notes
CAMBER ENERGY INC COMMON STOCK CUSIP: 13200M508 Symbol(Box 1a): CEI							
01/28/2021	290.00	556.75	01/28/2021	516.20	0.00	40.55	Sale
01/28/2021	380.00	759.93	Various	812.05	0.00	-52.12	Sale
01/28/2021	380.00	683.93	01/28/2021	820.71	0.00	-136.78	Sale
01/28/2021	1,918.00	4,027.48	Various	3,983.49	20.7 D	64.69	Sale
02/16/2021	108.00	238.66	02/16/2021	251.62	0.00	-12.96	Sale
02/19/2021	109.00	222.38	02/16/2021	253.94	0.00	-31.56	Sale
Security Totals:		6,489.13		6,638.01		-128.18	
PUT LODE 02/19/21 5 COMSTOCK MINING INC CUSIP: Symbol(Box 1a): LODE210219P00005000							
02/18/2021	1.00	79.90	02/18/2021	65.08	0.00	14.82	Sell to Close
HILL INTERNATIONAL INC COMMON STOCK CUSIP: 431466101 Symbol(Box 1a): HIL							
01/06/2021	205.00	447.32	01/06/2021	448.95	0.00	-1.63	Sale
CALL LAZR 01/29/21 37 LUMINAR TECHNOLOGIES INC CL A CUSIP: Symbol(Box 1a): LAZR210129C00037000							
01/25/2021	1.00	219.90	01/25/2021	238.08	0.00	-18.18	Sell to Close
CALL APHA 02/19/21 21 APHRIA INC CUSIP: Symbol(Box 1a): APHA210219C00021000							
02/16/2021	1.00	202.90	02/16/2021	158.08	0.00	44.82	Sell to Close
PINTEREST INC CLASS A COMMON STOCK CUSIP: 72352L106 Symbol(Box 1a): PINS							
02/11/2021	9.00	774.06	02/11/2021	786.15	0.00	-12.09	Sale
02/11/2021	35.00	3,059.62	02/11/2021	3,057.25	0.00	2.37	Sale
02/11/2021	46.00	4,024.90	02/11/2021	4,018.10	0.00	6.80	Sale

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APEX CLEARING

Proceeds from Broker and Barter Exchange Transactions

2021 Form 1099-B*

5NA77394

(continued)

01/31/2022

OMB No. 1545-0715

SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

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

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

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

Date Sold or Disposed (Box 1c)	Quantity	Proceeds (Box 1d)	Date Acquired (Box 1b)	Cost or Other Basis (Box 1e)	Accrued Market Discount (M)(Box 1f) & Wash Sale Loss Disallowed (D)(Box 1g)	Gain or Loss(-)	Additional Notes
02/12/2021	3.00	261.58	02/11/2021	262.05	0.00	-0.47	Sale
Security Totals:		8,120.16		8,123.55		-3.39	
***MMTEC INC COMMON SHARES CUSIP: G6181K106 Symbol(Box 1a): MTC							
02/18/2021	63.00	263.32	Various	295.02	0.00	-31.70	Sale
CALL FUBO 01/08/21 30 FUBOTV INC CUSIP: Symbol(Box 1a): FUBO210108C00030000							
01/05/2021	1.00	213.90	01/05/2021	274.08	0.00	-60.18	Sell to Close
CALL RIOT 02/19/21 69 RIOT BLOCKCHAIN INC CUSIP: Symbol(Box 1a): RIOT210219C00069000							
02/18/2021	1.00	429.90	02/18/2021	435.08	0.00	-5.18	Sell to Close
PENN NATIONAL GAMING INC CUSIP: 707569109 Symbol(Box 1a): PENN							
02/02/2021	106.00	11,750.89	02/02/2021	11,762.03	0.00	-11.14	Sale
02/02/2021	36.00	3,980.83	02/02/2021	3,994.65	0.00	-13.82	Sale
Security Totals:		15,731.72		15,756.68		-24.96	
CALL FUBO 03/05/21 45 FUBOTV INC CUSIP: Symbol(Box 1a): FUBO210305C00045000							
03/02/2021	1.00	190.90	03/02/2021	236.08	0.00	-45.18	Sell to Close
CALL LAZR 01/08/21 37 LUMINAR TECHNOLOGIES INC CL A CUSIP: Symbol(Box 1a): LAZR210108C00037000							
01/04/2021	1.00	49.90	12/30/2020	259.08	0.00	-209.18	Sell to Close
***LONGEVITY ACQUISITION CORPORATION ORDINARY SHARES CUSIP: G56372132 Symbol(Box 1a): LOAC							
02/03/2021	16.00	188.78	02/03/2021	198.40	0.00	-9.62	Sale
CALL CNET 02/19/21 6 ZW DATA ACTION TCHNLGS INC CUSIP: Symbol(Box 1a): CNET210219C00006000							
02/17/2021	1.00	69.90	02/17/2021	50.08	0.00	19.82	Sell to Close
VIRGIN GALACTIC HLDGS INC COMMON STOCK CUSIP: 92766K106 Symbol(Box 1a): SPCE							
01/13/2021	18.00	572.19	01/13/2021	533.70	0.00	38.49	Sale

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APEX CLEARING

Proceeds from Broker and Barter Exchange Transactions

2021 Form 1099-B*

5NA77394

(continued)

01/31/2022

OMB No. 1545-0715

SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

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

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

Date Sold or Disposed (Box 1c)	Quantity	Proceeds (Box 1d)	Date Acquired (Box 1b)	Cost or Other Basis (Box 1e)	Accrued Market Discount (M)(Box 1f) & Wash Sale Loss Disallowed (D)(Box 1g)	Gain or Loss(-)	Additional Notes
VIRGIN GALACTIC HLDGS INC COMMON STOCK CUSIP: 92766K106 Symbol(Box 1a): SPCE							
01/14/2021	10.00	314.40	01/14/2021	328.70	0.00	-14.30	Sale
01/14/2021	11.00	365.73	01/14/2021	361.57	0.00	4.16	Sale
01/14/2021	13.00	405.32	01/13/2021	385.45	0.00	19.87	Sale
01/14/2021	31.00	964.99	01/13/2021	919.15	0.00	45.84	Sale
01/14/2021	61.00	1,924.49	01/14/2021	2,005.07	34.35 D	-46.23	Sale
01/14/2021	82.00	2,715.76	Various	2,659.92	0.00	55.84	Sale
01/27/2021	3.00	127.48	01/27/2021	159.89	0.00	-32.41	Sale
02/01/2021	6.00	347.98	02/01/2021	352.87	0.00	-4.89	Sale
02/01/2021	11.00	639.07	Various	588.55	0.00	50.52	Sale
02/02/2021	6.00	299.56	02/01/2021	352.86	0.00	-53.30	Sale
06/29/2021	1.00	48.99	03/30/2021	30.12	0.00	18.87	Sale
07/16/2021	2.00	60.46	03/30/2021	60.24	0.00	0.22	Sale
Security Totals:		8,786.42		8,738.09		82.68	

CALL LAZR 01/29/21 36 LUMINAR TECHNOLOGIES INC CL A | CUSIP: | Symbol(Box 1a): LAZR210129C00036000

01/25/2021	1.00	244.90	01/25/2021	235.08	0.00	9.82	Sell to Close
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VISLINK TECHNOLOGIES INC COMMON STOCK | CUSIP: 92836Y300 | Symbol(Box 1a): VISL

01/06/2021	117.00	243.34	01/06/2021	189.54	0.00	53.80	Sale
01/06/2021	269.00	548.71	Various	604.46	72.12 D	16.37	Sale
01/06/2021	623.00	1,022.31	Various	1,010.74	1.38 D	12.95	Sale

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Proceeds from Broker and Barter Exchange Transactions

2021 Form 1099-B*

5NA77394

(continued)

01/31/2022

OMB No. 1545-0715

SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

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VISLINK TECHNOLOGIES INC COMMON STOCK CUSIP: 92836Y300 Symbol(Box 1a): VISL							
01/06/2021	467.00	961.93	01/06/2021	756.54	0.00	205.39	Sale
01/06/2021	1,245.00	2,042.97	Various	2,259.01	216.04 D	0.00	Sale
01/08/2021	571.00	993.44	Various	1,145.05	151.61 D	0.00	Sale
01/11/2021	245.00	426.53	Various	465.98	39.45 D	0.00	Sale
01/13/2021	123.00	210.31	01/11/2021	252.77	42.46 D	0.00	Sale
01/13/2021	123.00	206.62	Various	254.28	47.66 D	0.00	Sale
01/13/2021	1,493.00	2,612.51	Various	2,982.86	370.35 D	0.00	Sale
01/14/2021	128.00	240.61	01/14/2021	265.74	25.13 D	0.00	Sale
01/15/2021	173.00	337.82	Various	400.93	63.11 D	0.00	Sale
01/19/2021	92.00	257.58	Various	257.22	1.36 D	1.72	Sale
01/19/2021	97.00	244.42	Various	223.25	0.00	21.17	Sale
01/19/2021	184.00	505.96	Various	464.06	3.14 D	45.04	Sale
01/19/2021	194.00	508.45	Various	504.50	6.42 D	10.37	Sale
01/19/2021	213.00	455.77	Various	535.72	79.95 D	0.00	Sale
01/19/2021	580.00	1,322.30	Various	1,503.72	181.42 D	0.00	Sale
01/20/2021	351.00	976.76	Various	1,095.53	120.50 D	1.73	Sale
01/20/2021	88.00	232.30	01/20/2021	293.44	61.14 D	0.00	Sale
01/27/2021	96.00	271.66	01/27/2021	338.36	66.7 D	0.00	Sale
01/27/2021	30.00	88.78	01/20/2021	100.04	11.26 D	0.00	Sale
02/01/2021	389.00	988.41	Various	1,122.71	134.30 D	0.00	Sale
02/01/2021	2,316.00	6,069.82	Various	6,425.27	379.41 D	23.96	Sale
02/03/2021	64.00	198.38	Various	220.23	21.85 D	0.00	Sale
02/04/2021	370.00	1,087.73	Various	1,157.69	69.96 D	0.00	Sale

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Proceeds from Broker and Barter Exchange Transactions

2021 Form 1099-B*

5NA77394

(continued)

01/31/2022

OMB No. 1545-0715

SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

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VISLINK TECHNOLOGIES INC COMMON STOCK CUSIP: 92836Y300 Symbol(Box 1a): VISL							
02/04/2021	370.00	1,058.13	Various	1,133.57	75.44 D	0.00	Sale
02/04/2021	740.00	2,175.46	Various	2,459.70	284.24 D	0.00	Sale
02/08/2021	90.00	404.98	Various	399.06	2.6 D	8.52	Sale
02/08/2021	168.00	729.08	Various	778.45	49.37 D	0.00	Sale
02/08/2021	209.00	821.33	Various	966.25	93.72 D	-51.20	Sale
02/09/2021	70.00	325.48	Various	395.09	0.00	-69.61	Sale
02/10/2021	109.00	477.51	Various	554.28	0.00	-76.77	Sale
02/11/2021	189.00	843.32	Various	904.39	0.00	-61.07	Sale
02/11/2021	190.00	834.27	02/11/2021	864.11	0.00	-29.84	Sale
02/11/2021	379.00	1,690.67	Various	1,768.92	0.00	-78.25	Sale
02/17/2021	37.00	178.73	Various	166.67	0.00	12.06	Sale
02/18/2021	81.00	362.86	Various	379.35	0.00	-16.49	Sale
03/02/2021	248.00	943.34	Various	1,096.99	0.00	-153.65	Sale
Security Totals:		33,900.58		36,696.47		-123.80	
SENMIAO TECHNOLOGY LIMITED COMMON STOCK CUSIP: 817225105 Symbol(Box 1a): AIHS							
01/21/2021	344.00	577.86	01/21/2021	598.56	7.64 D	-13.06	Sale
01/21/2021	242.00	362.96	Various	404.59	0.00	-41.63	Sale
02/22/2021	133.00	296.81	02/22/2021	297.92	1.11 D	0.00	Sale
02/22/2021	280.00	630.20	02/22/2021	641.20	0.00	-11.00	Sale
02/22/2021	839.00	1,895.99	02/22/2021	1,921.31	0.00	-25.32	Sale
02/22/2021	1,119.00	2,547.44	Various	2,563.62	0.00	-16.18	Sale
Security Totals:		6,311.26		6,427.20		-107.19	

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APEX CLEARING

Proceeds from Broker and Barter Exchange Transactions

2021 Form 1099-B*

5NA77394

(continued)

01/31/2022

OMB No. 1545-0715

SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

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

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

Box 5: Box Not Checked (Covered Security)

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

Box 12: Basis Reported to the IRS

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

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

Date Sold or Disposed (Box 1c)	Quantity	Proceeds (Box 1d)	Date Acquired (Box 1b)	Cost or Other Basis (Box 1e)	Accrued Market Discount (M)(Box 1f) & Wash Sale Loss Disallowed (D)(Box 1g)	Gain or Loss(-)	Additional Notes
CALL GUSH 02/19/21 56 DIREXION DLY S&P OIL & GAS EXP CUSIP: Symbol(Box 1a): GUSH210219C00056000							
01/12/2021	1.00	479.89	01/08/2021	370.08	0.00	109.81	Sell to Close
01/12/2021	1.00	587.89	01/11/2021	330.08	0.00	257.81	Sell to Close
Security Totals:		1,067.78		700.16		367.62	
CALL SNDL 01/08/21 .50 SUNDIAL GROWERS INC CUSIP: Symbol(Box 1a): SNDL210108C00000500							
01/08/2021	2.00	35.82	01/08/2021	40.16	0.00	-4.34	Sell to Close
01/08/2021	4.00	79.66	01/08/2021	100.99	0.00	-21.33	Sell to Close
01/08/2021	8.00	119.32	Various	145.64	26.32 D	0.00	Sell to Close
01/08/2021	4.00	71.66	Various	85.98	0.00	-14.32	Sell to Close
Security Totals:		306.46		372.77		-39.99	
GEE GROUP INC COM CUSIP: 36165A102 Symbol(Box 1a): JOB							
01/14/2021	362.00	481.40	01/14/2021	499.56	0.00	-18.16	Sale
KOSS CORP CUSIP: 500692108 Symbol(Box 1a): KOSS							
01/27/2021	2.00	116.46	01/27/2021	159.82	43.36 D	0.00	Sale
01/28/2021	2.00	138.98	01/28/2021	119.68	0.00	19.30	Sale
01/28/2021	2.00	124.38	01/28/2021	119.68	0.00	4.70	Sale
02/24/2021	24.00	471.58	02/24/2021	512.40	0.00	-40.82	Sale
02/24/2021	69.00	1,339.27	Various	1,516.51	58.88 D	-118.36	Sale
02/25/2021	5.00	193.03	Various	244.76	0.00	-51.73	Sale
03/10/2021	3.00	86.41	03/10/2021	82.11	0.00	4.30	Sale
Security Totals:		2,470.11		2,754.96		-182.61	

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APEX CLEARING

Proceeds from Broker and Barter Exchange Transactions

2021 Form 1099-B*

5NA77394

(continued)

01/31/2022

OMB No. 1545-0715

SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

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

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

Date Sold or Disposed (Box 1c)	Quantity	Proceeds (Box 1d)	Date Acquired (Box 1b)	Cost or Other Basis (Box 1e)	Accrued Market Discount (M)(Box 1f) & Wash Sale Loss Disallowed (D)(Box 1g)	Gain or Loss(-)	Additional Notes
CALL NCLH 03/19/21 27.50 NORWEIGIAN CRUISE LINE HOLDING CUSIP: Symbol(Box 1a): NCLH210319C00027500							
01/05/2021	1.00	230.90	12/28/2020	320.08	0.00	-89.18	Sell to Close
SOLIGENIX INC COMMON STOCK CUSIP: 834223307 Symbol(Box 1a): SNGX							
02/11/2021	121.00	263.76	02/11/2021	250.47	0.00	13.29	Sale
02/12/2021	186.00	384.99	Various	379.82	0.02 D	5.19	Sale
02/16/2021	46.00	110.89	02/12/2021	91.55	0.00	19.34	Sale
02/17/2021	140.00	309.37	Various	278.61	0.00	30.76	Sale
Security Totals:		1,069.01		1,000.45		68.58	
XPRESSPA GROUP INC COMMON STOCK CUSIP: 98420U703 Symbol(Box 1a): XSPA							
01/28/2021	80.00	236.78	01/28/2021	248.80	0.00	-12.02	Sale
01/28/2021	157.00	500.79	01/28/2021	499.26	0.00	1.53	Sale
Security Totals:		737.57		748.06		-10.49	
CALL PLTR 03/05/21 29 PALANTIR TECHNOLOGIES INC CL A CUSIP: Symbol(Box 1a): PLTR210305C00029000							
02/18/2021	1.00	163.90	02/16/2021	261.08	0.00	-97.18	Sell to Close
***THE9 LIMITED AMERICAN DEPOSITORY SHARES CUSIP: 88337K302 Symbol(Box 1a): NCTY							
01/25/2021	19.00	272.63	01/25/2021	243.20	0.00	29.43	Sale
02/08/2021	23.00	617.03	02/08/2021	690.00	3.17 D	-69.80	Sale
Security Totals:		889.66		933.20		-40.37	
PUT CNET 02/19/21 4 ZW DATA ACTION TCHNLGS INC CUSIP: Symbol(Box 1a): CNET210219P00004000							
02/19/2021	20.00	0.00	02/19/2021	61.61	0.00	-61.61	Expiration
CALL DPW 02/19/21 5 ADULT GLOBAL HOLDINGS INC CUSIP: Symbol(Box 1a): DPW210219C00005000							
02/04/2021	1.00	79.90	02/04/2021	99.08	0.00	-19.18	Sell to Close

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APEX CLEARING

Proceeds from Broker and Barter Exchange Transactions

2021 Form 1099-B*

5NA77394

(continued)

01/31/2022

OMB No. 1545-0715

SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

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

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

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

Date Sold or Disposed (Box 1c)	Quantity	Proceeds (Box 1d)	Date Acquired (Box 1b)	Cost or Other Basis (Box 1e)	Accrued Market Discount (M)(Box 1f) & Wash Sale Loss Disallowed (D)(Box 1g)	Gain or Loss(-)	Additional Notes
CALL DPW 02/19/21 5 ADULT GLOBAL HOLDINGS INC CUSIP: DPW210219C00005000 Symbol(Box 1a): DPW210219C00005000							
02/04/2021	3.00	269.74	Various	305.42	0.00	-35.68	Sell to Close
02/04/2021	1.00	89.90	02/02/2021	103.08	13.18 D	0.00	Sell to Close
02/05/2021	1.00	74.90	02/04/2021	99.08	0.00	-24.18	Sell to Close
02/10/2021	1.00	69.90	02/04/2021	99.08	0.00	-29.18	Sell to Close
Security Totals:		584.34		705.74		-108.22	
GREENPRO CAPITAL CORP COMMON STOCK CUSIP: 39540F101 Symbol(Box 1a): GRNQ							
01/11/2021	55.00	119.89	01/08/2021	171.08	51.19 D	0.00	Sale
01/12/2021	19.00	46.55	01/08/2021	59.10	12.55 D	0.00	Sale
02/02/2021	90.00	188.98	Various	263.54	74.56 D	0.00	Sale
02/09/2021	516.00	1,408.58	Various	1,567.42	75.15 D	-83.69	Sale
02/17/2021	63.00	192.13	Various	272.97	0.00	-80.84	Sale
Security Totals:		1,956.13		2,334.11		-164.53	
APPLIED DNA SCIENCES INC COMMON STOCK CUSIP: 03815U300 Symbol(Box 1a): APDN							
01/19/2021	20.00	227.98	01/19/2021	241.80	0.00	-13.82	Sale
LM FUNDING AMERICA INC COMMON STOCK CUSIP: 502074305 Symbol(Box 1a): LMFA							
01/08/2021	110.00	116.70	Various	149.91	33.21 D	0.00	Sale
01/11/2021	74.00	191.64	01/11/2021	247.67	40.89 D	-15.14	Sale
02/08/2021	164.00	318.31	Various	372.58	0.00	-54.27	Sale
Security Totals:		626.65		770.16		-69.41	
TATTOOED CHEF INC CLASS A COMMON STOCK CUSIP: 87663X102 Symbol(Box 1a): TTCF							
01/06/2021	31.00	735.06	Various	771.80	36.74 D	0.00	Sale
01/06/2021	41.00	1,001.18	Various	1,004.63	11.80 D	8.35	Sale
01/12/2021	15.00	361.63	Various	369.02	7.67 D	0.28	Sale

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APEX CLEARING

Proceeds from Broker and Barter Exchange Transactions

2021 Form 1099-B*

5NA77394

(continued)

01/31/2022

OMB No. 1545-0715

SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

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

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

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

Date Sold or Disposed (Box 1c)	Quantity	Proceeds (Box 1d)	Date Acquired (Box 1b)	Cost or Other Basis (Box 1e)	Accrued Market Discount (M)(Box 1f) & Wash Sale Loss Disallowed (D)(Box 1g)	Gain or Loss(-)	Additional Notes
TATTOOED CHEF INC CLASS A COMMON STOCK CUSIP: 87663X102 Symbol(Box 1a): TTCF							
01/13/2021	16.00	405.26	Various	396.91	0.02 D	8.37	Sale
01/15/2021	18.00	485.07	Various	493.77	0.00	-8.70	Sale
01/15/2021	19.00	488.27	01/14/2021	528.10	0.00	-39.83	Sale
Security Totals:		3,476.47		3,564.23		-31.53	
CALL ENPH 02/19/21 290 ENPHASE ENERGY INC CUSIP: Symbol(Box 1a): ENPH210219C00290000							
01/22/2021	1.00	239.90	01/21/2021	248.08	0.00	-8.18	Sell to Close
CALL IPOC 01/15/21 20 SOCIAL CPTL HDSPH HLDNGS CORP CUSIP: Symbol(Box 1a): IPOC210115C00020000							
01/05/2021	2.00	189.82	Various	297.16	0.00	-107.34	Sell to Close
ROMEO POWER INC COMMON STOCK CUSIP: 776153108 Symbol(Box 1a): RMO							
01/27/2021	14.00	281.80	01/19/2021	296.52	14.72 D	0.00	Sale
02/22/2021	18.00	251.08	02/22/2021	264.42	0.00	-13.34	Sale
02/22/2021	18.00	256.68	Various	291.14	0.00	-34.46	Sale
Security Totals:		789.56		852.08		-47.80	
CALL SOLO 03/19/21 10 ELECTRAMECANICA VEHICLES CORP CUSIP: Symbol(Box 1a): SOLO210319C00010000							
02/19/2021	2.00	127.82	02/18/2021	160.16	0.00	-32.34	Sell to Close
02/22/2021	1.00	41.90	02/18/2021	80.08	0.00	-38.18	Sell to Close
Security Totals:		169.72		240.24		-70.52	
ENGLOBAL CORPORATION CUSIP: 293306106 Symbol(Box 1a): ENG							
01/12/2021	44.00	299.18	Various	212.50	0.00	86.68	Sale
01/13/2021	10.00	79.58	01/13/2021	84.61	5.03 D	0.00	Sale
01/13/2021	113.00	890.41	Various	862.12	39.5 D	67.79	Sale
01/13/2021	28.00	220.62	01/13/2021	236.89	16.27 D	0.00	Sale

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APEX CLEARING

Proceeds from Broker and Barter Exchange Transactions

2021 Form 1099-B*

5NA77394

(continued)

01/31/2022

OMB No. 1545-0715

SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

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

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ENGLOBAL CORPORATION CUSIP: 293306106 Symbol(Box 1a): ENG							
01/15/2021	54.00	367.18	Various	431.98	35.13 D	-29.67	Sale
01/19/2021	15.00	122.98	Various	113.40	0.00	9.58	Sale
01/20/2021	16.00	124.78	Various	132.49	0.00	-7.71	Sale
01/25/2021	20.00	146.98	Various	159.92	0.00	-12.94	Sale
02/05/2021	26.00	185.88	Various	235.05	0.00	-49.17	Sale
Security Totals:		2,437.59		2,468.96		64.56	
SUNPOWER CORPORATION CUSIP: 867652406 Symbol(Box 1a): SPWR							
01/21/2021	4.00	175.90	01/20/2021	149.88	0.00	26.02	Sale
01/22/2021	2.00	84.04	01/20/2021	74.94	0.00	9.10	Sale
01/22/2021	9.00	386.08	Various	382.03	0.00	4.05	Sale
01/25/2021	4.00	186.67	01/22/2021	175.48	0.00	11.19	Sale
Security Totals:		832.69		782.33		50.36	
CLOVER HEALTH INVESTMENTS CORP CLASS A COMMON STOCK CUSIP: 18914F103 Symbol(Box 1a): CLOV							
01/12/2021	73.00	1,107.37	Various	1,254.49	147.12 D	0.00	Sale
01/15/2021	100.00	1,346.96	Various	1,590.46	243.50 D	0.00	Sale
01/19/2021	18.00	244.06	Various	310.98	66.92 D	0.00	Sale
01/19/2021	40.00	561.17	Various	658.30	97.13 D	0.00	Sale
01/19/2021	72.00	997.88	Various	1,190.49	192.61 D	0.00	Sale
01/19/2021	106.00	1,439.58	Various	1,737.11	297.53 D	0.00	Sale
01/21/2021	122.00	1,653.05	Various	1,971.64	318.59 D	0.00	Sale
01/25/2021	37.00	532.48	01/25/2021	525.03	0.00	7.45	Sale
01/25/2021	38.00	546.03	Various	658.30	112.27 D	0.00	Sale
01/25/2021	148.00	2,076.40	Various	2,440.12	363.72 D	0.00	Sale
01/26/2021	31.00	467.45	01/26/2021	469.19	1.74 D	0.00	Sale

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APEX CLEARING

Proceeds from Broker and Barter Exchange Transactions

2021 Form 1099-B*

5NA77394

(continued)

01/31/2022

OMB No. 1545-0715

SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

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

Date Sold or Disposed (Box 1c)	Quantity	Proceeds (Box 1d)	Date Acquired (Box 1b)	Cost or Other Basis (Box 1e)	Accrued Market Discount (M)(Box 1f) & Wash Sale Loss Disallowed (D)(Box 1g)	Gain or Loss(-)	Additional Notes
CLOVER HEALTH INVESTMENTS CORP CLASS A COMMON STOCK CUSIP: 18914F103 Symbol(Box 1a): CLOV							
01/26/2021	55.00	773.27	01/25/2021	780.45	7.18 D	0.00	Sale
01/26/2021	36.00	546.09	01/26/2021	544.86	0.00	1.23	Sale
01/26/2021	73.00	1,116.13	Various	1,122.75	15.25 D	8.63	Sale
01/26/2021	437.00	6,673.75	Various	7,019.29	410.60 D	65.06	Sale
01/27/2021	27.00	386.08	01/27/2021	436.59	0.00	-50.51	Sale
01/27/2021	47.00	728.00	Various	841.73	115.86 D	2.13	Sale
01/27/2021	161.00	2,607.28	01/27/2021	2,603.37	0.00	3.91	Sale
01/27/2021	643.00	10,358.42	Various	10,779.14	394.75 D	-25.97	Sale
01/28/2021	45.00	642.57	Various	794.06	0.00	-151.49	Sale
01/28/2021	60.00	859.77	Various	1,084.53	0.00	-224.76	Sale
01/29/2021	42.00	590.07	Various	693.01	0.00	-102.94	Sale
01/29/2021	43.00	598.62	Various	622.40	0.00	-23.78	Sale
02/02/2021	24.00	336.28	Various	341.64	0.00	-5.36	Sale
Security Totals:		37,188.76		40,469.93		-496.40	

BIONANO GENOMICS INC COMMON STOCK | CUSIP: 09075F107 | Symbol(Box 1a): BNGO

01/04/2021	42.00	249.04	01/04/2021	208.50	0.00	40.54	Sale
01/04/2021	62.00	416.00	Various	441.99	25.99 D	0.00	Sale
01/05/2021	302.00	1,531.06	Various	1,600.99	52.80 D	-17.13	Sale
01/07/2021	44.00	216.90	01/05/2021	227.87	10.97 D	0.00	Buy to Cover Short
01/11/2021	42.00	236.02	Various	198.11	0.00	37.91	Sale
01/12/2021	14.00	75.72	01/08/2021	65.24	0.00	10.48	Sale
01/14/2021	45.00	253.33	Various	261.72	0.00	-8.39	Sale

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Proceeds from Broker and Barter Exchange Transactions

2021 Form 1099-B*

5NA77394

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01/31/2022

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SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

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BIONANO GENOMICS INC COMMON STOCK CUSIP: 09075F107 Symbol(Box 1a): BNGO							
01/15/2021	28.00	204.10	Various	202.23	0.00	1.87	Sale
01/25/2021	16.00	201.92	01/25/2021	197.75	0.00	4.17	Sale
02/24/2021	7.00	76.63	02/24/2021	78.05	1.42 D	0.00	Sale
02/24/2021	19.00	201.95	02/24/2021	211.85	9.9 D	0.00	Sale
03/08/2021	48.00	366.22	Various	381.88	0.00	-15.66	Sale
03/12/2021	12.00	109.06	03/05/2021	92.64	0.00	16.42	Sale
07/16/2021	4.00	22.94	03/05/2021	30.88	0.00	-7.94	Sale
Security Totals:		4,160.89		4,199.70		62.27	
TENGASCO INC COM CUSIP: 88033R502 Symbol(Box 1a): TGC							
01/14/2021	274.00	428.00	01/13/2021	436.09	8.09 D	0.00	Sale
01/21/2021	31.00	66.63	01/21/2021	82.01	15.38 D	0.00	Sale
01/21/2021	162.00	416.31	Various	338.10	0.00	78.21	Sale
01/21/2021	180.00	304.17	Various	385.96	76.27 D	-5.52	Sale
01/21/2021	208.00	582.36	Various	541.08	4.98 D	46.26	Sale
01/21/2021	240.00	561.55	01/20/2021	482.29	0.00	79.26	Sale
01/21/2021	334.00	758.12	Various	875.45	117.33 D	0.00	Sale
01/25/2021	47.00	107.15	01/21/2021	98.70	0.00	8.45	Buy to Cover Short
01/25/2021	395.00	900.53	01/21/2021	853.20	0.00	47.33	Buy to Cover Short
01/25/2021	179.00	298.90	Various	383.89	84.99 D	0.00	Sale
01/27/2021	161.00	251.13	Various	284.76	33.63 D	0.00	Sale

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APEX CLEARING

Proceeds from Broker and Barter Exchange Transactions

2021 Form 1099-B*

5NA77394

(continued)

01/31/2022

OMB No. 1545-0715

SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

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

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

Box 5: Box Not Checked (Covered Security)

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

Box 12: Basis Reported to the IRS

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

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

Date Sold or Disposed (Box 1c)	Quantity	Proceeds (Box 1d)	Date Acquired (Box 1b)	Cost or Other Basis (Box 1e)	Accrued Market Discount (M)(Box 1f) & Wash Sale Loss Disallowed (D)(Box 1g)	Gain or Loss(-)	Additional Notes
TENGASCO INC COM CUSIP: 88033R502 Symbol(Box 1a): TGC							
01/28/2021	30.00	163.18	Various	196.22	0.00	-33.04	Sale
01/28/2021	1,884.00	4,986.42	Various	5,202.53	160.97 D	-55.14	Sale
02/02/2021	62.00	185.36	02/02/2021	157.09	0.00	28.27	Sale
02/02/2021	66.00	205.24	02/02/2021	206.14	0.00	-0.90	Sale
02/02/2021	66.00	188.08	02/02/2021	206.13	0.00	-18.05	Sale
02/02/2021	101.00	301.97	Various	317.80	0.00	-15.83	Sale
02/02/2021	131.00	416.24	Various	392.84	0.00	23.40	Sale
02/02/2021	203.00	625.20	Various	652.73	0.00	-27.53	Sale
02/10/2021	73.00	357.68	02/10/2021	301.00	0.00	56.68	Sale
02/22/2021	45.00	200.23	02/22/2021	200.40	0.00	-0.17	Sale
02/24/2021	36.00	154.78	02/24/2021	150.96	0.00	3.82	Sale
02/24/2021	36.00	146.86	02/24/2021	150.96	0.00	-4.10	Sale
Security Totals:		12,606.09		12,896.33		211.40	
CLEVELAND BIOLABS INC COM NEW CUSIP: 185860202 Symbol(Box 1a): CBLI							
02/22/2021	32.00	217.58	Various	294.96	0.00	-77.38	Sale
TELADOC HEALTH INC COMMON STOCK CUSIP: 87918A105 Symbol(Box 1a): TDOC							
01/21/2021	2.00	490.97	01/20/2021	493.00	0.00	-2.03	Sale
07/19/2021	2.00	302.72	Various	380.03	0.00	-77.31	Sale
Security Totals:		793.69		873.03		-79.34	
CALL NIO 01/15/21 70 NIO INC ADS CUSIP: Symbol(Box 1a): NIO210115C00070000							
01/12/2021	1.00	64.90	01/12/2021	90.08	25.18 D	0.00	Sell to Close

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APEX CLEARING

Proceeds from Broker and Barter Exchange Transactions

2021 Form 1099-B*

5NA77394

(continued)

01/31/2022

OMB No. 1545-0715

SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

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

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

Date Sold or Disposed (Box 1c)	Quantity	Proceeds (Box 1d)	Date Acquired (Box 1b)	Cost or Other Basis (Box 1e)	Accrued Market Discount (M)(Box 1f) & Wash Sale Loss Disallowed (D)(Box 1g)	Gain or Loss(-)	Additional Notes
CALL NIO 01/15/21 70 NIO INC ADS CUSIP: Symbol(Box 1a): NIO210115C00070000							
01/12/2021	1.00	64.90	01/12/2021	98.26	0.00	-33.36	Sell to Close
Security Totals:		129.80		188.34		-33.36	
CALL CNET 02/19/21 3 ZW DATA ACTION TCHNLGS INC CUSIP: Symbol(Box 1a): CNET210219C00003000							
02/09/2021	1.00	59.90	02/08/2021	42.08	0.00	17.82	Sell to Close
02/09/2021	3.00	167.74	02/08/2021	126.24	0.00	41.50	Sell to Close
02/09/2021	2.00	109.82	02/08/2021	84.16	0.00	25.66	Sell to Close
02/10/2021	1.00	87.90	02/08/2021	42.08	0.00	45.82	Sell to Close
Security Totals:		425.36		294.56		130.80	
CALL ABNB 02/12/21 225 AIRBNB INC CUSIP: Symbol(Box 1a): ABNB210212C00225000							
02/04/2021	1.00	185.90	02/04/2021	202.08	0.00	-16.18	Sell to Close
CALL CNET 02/19/21 4 ZW DATA ACTION TCHNLGS INC CUSIP: Symbol(Box 1a): CNET210219C00004000							
01/19/2021	2.00	59.82	01/14/2021	100.16	40.34 D	0.00	Sell to Close
02/17/2021	1.00	69.90	02/11/2021	70.25	0.00	-0.35	Sell to Close
02/17/2021	1.00	124.90	02/11/2021	70.25	0.00	54.65	Sell to Close
Security Totals:		254.62		240.66		54.30	
PAYPAL HOLDINGS INC COM CUSIP: 70450Y103 Symbol(Box 1a): PYPL							
01/15/2021	2.00	473.39	01/15/2021	474.56	0.00	-1.17	Sale
CALL FUBO 01/08/21 35 FUBOTV INC CUSIP: Symbol(Box 1a): FUBO210108C00035000							
01/04/2021	1.00	20.90	12/31/2020	133.08	0.00	-112.18	Sell to Close

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APEX CLEARING

Proceeds from Broker and Barter Exchange Transactions

2021 Form 1099-B*

5NA77394

(continued)

01/31/2022

OMB No. 1545-0715

SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

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

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

Box 5: Box Not Checked (Covered Security)

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

Box 12: Basis Reported to the IRS

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

Date Sold or Disposed (Box 1c)	Quantity	Proceeds (Box 1d)	Date Acquired (Box 1b)	Cost or Other Basis (Box 1e)	Accrued Market Discount (M)(Box 1f) & Wash Sale Loss Disallowed (D)(Box 1g)	Gain or Loss(-)	Additional Notes
CALL FUBO 01/08/21 35 FUBOTV INC CUSIP: Symbol(Box 1a): FUBO210108C00035000							
01/04/2021	1.00	52.90	12/31/2020	133.08	0.00	-80.18	Sell to Close
Security Totals:		73.80		266.16		-192.36	
CALL GME 02/19/21 70 GAMESTOP CORP CUSIP: Symbol(Box 1a): GME210219C00070000							
02/12/2021	1.00	259.90	02/12/2021	274.08	14.18 D	0.00	Sell to Close
02/12/2021	1.00	203.90	02/12/2021	304.26	0.00	-100.36	Sell to Close
Security Totals:		463.80		578.34		-100.36	
CALL NIO 02/05/21 70 NIO INC ADS CUSIP: Symbol(Box 1a): NIO210205C00070000							
01/12/2021	1.00	379.90	01/11/2021	500.08	120.18 D	0.00	Sell to Close
01/13/2021	1.00	389.90	01/11/2021	695.26	0.00	-305.36	Sell to Close
Security Totals:		769.80		1,195.34		-305.36	
CALL CCIV 03/19/21 95 CHURCHILL CAPITAL CORP IV CL A CUSIP: Symbol(Box 1a): CCIV210319C00095000							
02/22/2021	1.00	559.89	02/22/2021	576.08	0.00	-16.19	Sell to Close
NOVAVAX INC COMMON STOCK CUSIP: 670002401 Symbol(Box 1a): NVAX							
03/11/2021	1.00	228.31	03/11/2021	210.07	0.00	18.24	Sale
03/11/2021	6.00	1,338.58	03/11/2021	1,301.52	0.00	37.06	Sale
03/11/2021	3.00	648.13	03/11/2021	630.21	0.00	17.92	Sale
03/11/2021	6.00	1,289.92	03/11/2021	1,301.52	11.6 D	0.00	Sale
03/11/2021	12.00	2,645.25	03/11/2021	2,603.04	0.00	42.21	Sale
03/11/2021	18.00	3,743.97	Various	3,792.86	0.00	-48.89	Sale

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APEX CLEARING

Proceeds from Broker and Barter Exchange Transactions

2021 Form 1099-B*

5NA77394

(continued)

01/31/2022

OMB No. 1545-0715

SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

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

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

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

Date Sold or Disposed (Box 1c)	Quantity	Proceeds (Box 1d)	Date Acquired (Box 1b)	Cost or Other Basis (Box 1e)	Accrued Market Discount (M)(Box 1f) & Wash Sale Loss Disallowed (D)(Box 1g)	Gain or Loss(-)	Additional Notes
NOVAVAX INC COMMON STOCK CUSIP: 670002401 Symbol(Box 1a): NVAX							
03/12/2021	2.00	447.98	03/11/2021	420.14	0.00	27.84	Sale
07/06/2021	1.00	213.56	03/11/2021	210.07	0.00	3.49	Sale
Security Totals:		10,555.70		10,469.43		97.87	
AIKIDO PHARMA INC COMMON STOCK CUSIP: 008875106 Symbol(Box 1a): AIKI							
01/29/2021	176.00	304.57	01/29/2021	313.28	0.00	-8.71	Sale
01/29/2021	3,174.00	5,585.73	Various	5,642.68	0.00	-56.95	Sale
Security Totals:		5,890.30		5,955.96		-65.66	
CALL LRCX 03/19/21 600 LAM RESEARCH CORP CUSIP: Symbol(Box 1a): LRCX210319C00600000							
03/19/2021	2.00	0.00	Various	64.16	0.00	-64.16	Expiration
SG BLOCKS INC COMMON STOCK CUSIP: 78418A505 Symbol(Box 1a): SGBX							
01/15/2021	5.00	41.23	01/15/2021	44.50	0.00	-3.27	Sale
01/15/2021	24.00	217.90	01/15/2021	201.60	0.00	16.30	Sale
01/15/2021	32.00	283.50	01/15/2021	268.80	0.00	14.70	Sale
01/15/2021	37.00	332.61	01/15/2021	310.80	0.00	21.81	Sale
01/15/2021	37.00	322.99	01/15/2021	310.80	0.00	12.19	Sale
01/15/2021	43.00	383.54	01/15/2021	361.20	0.00	22.34	Sale
01/15/2021	172.00	1,439.68	01/15/2021	1,444.80	0.15 D	-4.97	Sale
01/20/2021	28.00	245.82	01/15/2021	248.36	0.00	-2.54	Buy to Cover Short
Security Totals:		3,267.27		3,190.86		76.56	

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APEX CLEARING

Proceeds from Broker and Barter Exchange Transactions

2021 Form 1099-B*

5NA77394

(continued)

01/31/2022

OMB No. 1545-0715

SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

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

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

Date Sold or Disposed (Box 1c)	Quantity	Proceeds (Box 1d)	Date Acquired (Box 1b)	Cost or Other Basis (Box 1e)	Accrued Market Discount (M)(Box 1f) & Wash Sale Loss Disallowed (D)(Box 1g)	Gain or Loss(-)	Additional Notes
CALL RIOT 02/19/21 72 RIOT BLOCKCHAIN INC CUSIP: Symbol(Box 1a): RIOT210219C00072000							
02/17/2021	1.00	579.89	02/17/2021	585.08	5.19 D	0.00	Sell to Close
02/19/2021	1.00	258.90	02/19/2021	300.27	0.00	-41.37	Sell to Close
Security Totals:		838.79		885.35		-41.37	
CALL AAL 02/19/21 18 AMERICAN AIRLINES GROUP INC CUSIP: Symbol(Box 1a): AAL210219C00018000							
01/06/2021	2.00	117.82	Various	194.16	0.00	-76.34	Sell to Close
***ELECTRAMECCANICA VEHICLES CORP LTD CUSIP: 284849205 Symbol(Box 1a): SOLO							
01/06/2021	27.00	178.45	Various	181.70	3.25 D	0.00	Sale
01/06/2021	107.00	735.06	Various	695.66	0.09 D	39.49	Sale
01/12/2021	68.00	596.33	Various	529.27	30.03 D	97.09	Sale
01/13/2021	34.00	295.79	01/11/2021	246.86	0.00	48.93	Sale
01/14/2021	88.00	705.73	Various	813.90	133.99 D	25.82	Sale
01/19/2021	48.00	363.34	Various	671.43	308.09 D	0.00	Sale
01/20/2021	144.00	1,064.11	Various	1,507.64	443.53 D	0.00	Sale
01/21/2021	52.00	397.78	Various	444.46	46.68 D	0.00	Sale
01/21/2021	86.00	704.42	Various	925.67	230.96 D	9.71	Sale
01/21/2021	313.00	2,388.09	Various	3,308.40	920.31 D	0.00	Sale
01/25/2021	67.00	554.06	Various	957.85	403.79 D	0.00	Sale
01/27/2021	79.00	668.31	Various	897.18	228.87 D	0.00	Sale
01/27/2021	92.00	766.33	Various	780.98	6.26 D	-8.39	Sale
01/27/2021	31.00	258.83	Various	272.15	0.00	-13.32	Sale
02/04/2021	21.00	195.28	Various	183.73	0.00	11.55	Sale
02/04/2021	28.00	258.14	Various	236.80	0.00	21.34	Sale
02/05/2021	32.00	276.14	Various	304.32	0.00	-28.18	Sale
02/11/2021	45.00	347.89	Various	545.89	183.95 D	-14.05	Sale
02/22/2021	114.00	812.93	Various	1,506.72	0.00	-693.79	Sale

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APEX CLEARING

Proceeds from Broker and Barter Exchange Transactions

2021 Form 1099-B*

5NA77394

(continued)

01/31/2022

OMB No. 1545-0715

SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

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

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

Date Sold or Disposed (Box 1c)	Quantity	Proceeds (Box 1d)	Date Acquired (Box 1b)	Cost or Other Basis (Box 1e)	Accrued Market Discount (M)(Box 1f) & Wash Sale Loss Disallowed (D)(Box 1g)	Gain or Loss(-)	Additional Notes
***ELECTRAMECCANICA VEHICLES CORP LTD CUSIP: 284849205 Symbol(Box 1a): SOLO							
02/23/2021	19.00	103.15	Various	160.42	0.00	-57.27	Sale
02/24/2021	48.00	321.58	Various	351.88	0.00	-30.30	Sale
07/19/2021	59.00	208.25	Various	540.15	0.00	-331.90	Sale
Security Totals:		12,199.99		16,063.06		-923.27	
CALL EBON 03/19/21 10 EBANG INTERNATIONAL HLDNGS INC CUSIP: Symbol(Box 1a): EBON210319C00010000							
02/17/2021	1.00	389.90	02/17/2021	410.08	0.00	-20.18	Sell to Close
PUT APHA 02/19/21 20 APHRIA INC CUSIP: Symbol(Box 1a): APHA210219P00020000							
02/17/2021	1.00	129.90	02/17/2021	138.08	0.00	-8.18	Sell to Close
AYRO INC COMMON STOCK CUSIP: 054748108 Symbol(Box 1a): AYRO							
01/14/2021	73.00	539.23	01/07/2021	499.17	0.00	40.06	Sale
01/21/2021	111.00	771.42	Various	769.47	6.32 D	8.27	Sale
01/25/2021	242.00	1,679.15	Various	1,741.23	63.32 D	1.24	Sale
01/26/2021	57.00	448.57	Various	372.37	0.00	76.20	Sale
01/26/2021	114.00	793.41	Various	810.80	19.30 D	1.91	Sale
01/26/2021	57.00	424.63	Various	381.89	0.00	42.74	Sale
02/01/2021	71.00	495.55	Various	513.70	18.15 D	0.00	Sale
02/10/2021	27.00	290.50	02/01/2021	189.54	0.00	100.96	Sale
02/10/2021	35.00	267.03	02/01/2021	245.70	0.00	21.33	Sale
02/11/2021	9.00	90.97	02/01/2021	63.18	0.00	27.79	Sale
02/11/2021	158.00	1,414.04	Various	1,525.47	48.60 D	-62.83	Sale
02/17/2021	27.00	253.24	Various	268.58	0.00	-15.34	Sale
02/18/2021	27.00	232.45	02/11/2021	274.04	0.00	-41.59	Sale
Security Totals:		7,700.19		7,655.14		200.74	

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APEX CLEARING

Proceeds from Broker and Barter Exchange Transactions

2021 Form 1099-B*

5NA77394

(continued)

01/31/2022

OMB No. 1545-0715

SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

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

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

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

Date Sold or Disposed (Box 1c)	Quantity	Proceeds (Box 1d)	Date Acquired (Box 1b)	Cost or Other Basis (Box 1e)	Accrued Market Discount (M)(Box 1f) & Wash Sale Loss Disallowed (D)(Box 1g)	Gain or Loss(-)	Additional Notes
***9F INC AMERICAN DEPOSITARY SHARES CUSIP: 65442R109 Symbol(Box 1a): JFU							
02/09/2021	279.00	486.41	02/08/2021	488.25	0.00	-1.84	Sale
PUT RIOT 02/26/21 50 RIOT BLOCKCHAIN INC CUSIP: Symbol(Box 1a): RIOT210226P00050000							
02/23/2021	2.00	-373.37	Various	0.00	0.00	-373.37	Buy to Close
IDEANOMICS INC COMMON STOCK CUSIP: 45166V106 Symbol(Box 1a): IDEX							
01/06/2021	317.00	738.55	Various	943.76	205.21 D	0.00	Sale
01/06/2021	766.00	1,647.61	Various	2,340.07	692.46 D	0.00	Sale
01/07/2021	415.00	1,186.82	Various	1,368.76	185.53 D	3.59	Sale
01/11/2021	516.00	1,527.26	Various	1,735.03	234.25 D	26.48	Sale
01/14/2021	75.00	250.56	Various	266.06	15.50 D	0.00	Sale
01/14/2021	100.00	361.09	Various	345.46	12.78 D	28.41	Sale
01/14/2021	100.00	318.09	Various	389.74	71.65 D	0.00	Sale
01/14/2021	113.00	377.40	Various	380.94	13.06 D	9.52	Sale
01/14/2021	134.00	419.54	Various	510.42	90.88 D	0.00	Sale
01/14/2021	151.00	537.69	Various	591.24	55.29 D	1.74	Sale
01/14/2021	660.00	2,218.13	Various	2,599.98	381.85 D	0.00	Sale
01/15/2021	179.00	601.40	Various	734.98	133.58 D	0.00	Sale
01/19/2021	109.00	368.40	Various	405.02	36.62 D	0.00	Sale
01/19/2021	217.00	735.82	Various	912.23	176.41 D	0.00	Sale
01/19/2021	942.00	2,985.96	Various	3,527.75	541.79 D	0.00	Sale
01/19/2021	1,303.00	4,157.22	Various	4,730.37	573.15 D	0.00	Sale
01/21/2021	264.00	813.07	Various	1,024.30	211.23 D	0.00	Sale
01/25/2021	152.00	569.96	Various	480.86	0.00	89.10	Sale
01/25/2021	213.00	839.17	Various	799.30	15.58 D	55.45	Sale
01/25/2021	229.00	913.65	Various	1,074.29	160.64 D	0.00	Sale
01/25/2021	568.00	2,300.27	Various	2,620.67	320.40 D	0.00	Sale
01/25/2021	569.00	2,275.87	Various	2,320.82	150.15 D	105.20	Sale
01/26/2021	195.00	781.91	Various	918.14	136.23 D	0.00	Sale

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APEX CLEARING

Proceeds from Broker and Barter Exchange Transactions

2021 Form 1099-B*

5NA77394

(continued)

01/31/2022

OMB No. 1545-0715

SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

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

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

Box 5: Box Not Checked (Covered Security)

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

Box 12: Basis Reported to the IRS

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

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

Date Sold or Disposed (Box 1c)	Quantity	Proceeds (Box 1d)	Date Acquired (Box 1b)	Cost or Other Basis (Box 1e)	Accrued Market Discount (M)(Box 1f) & Wash Sale Loss Disallowed (D)(Box 1g)	Gain or Loss(-)	Additional Notes
IDEANOMICS INC COMMON STOCK CUSIP: 45166V106 Symbol(Box 1a): IDEX							
01/27/2021	146.00	534.32	Various	623.41	89.09 D	0.00	Sale
01/27/2021	213.00	841.30	Various	947.51	106.21 D	0.00	Sale
01/28/2021	180.00	703.76	Various	863.49	159.73 D	0.00	Sale
01/29/2021	114.00	437.74	Various	525.88	88.14 D	0.00	Sale
01/29/2021	152.00	594.28	Various	727.48	133.20 D	0.00	Sale
02/02/2021	112.00	483.83	Various	512.01	29.02 D	0.84	Sale
02/04/2021	84.00	439.30	Various	354.46	0.00	84.84	Sale
02/04/2021	63.00	331.36	Various	299.01	5.11 D	37.46	Sale
02/05/2021	62.00	305.09	Various	316.36	13.49 D	2.22	Sale
02/05/2021	124.00	649.73	Various	622.80	3.00 D	29.93	Sale
02/11/2021	31.00	156.22	Various	188.89	32.67 D	0.00	Sale
02/12/2021	122.00	563.61	Various	678.99	62.01 D	-53.37	Sale
02/18/2021	61.00	234.90	Various	360.37	0.00	-125.47	Sale
02/23/2021	42.00	115.53	Various	183.91	0.00	-68.38	Sale
02/23/2021	57.00	177.25	Various	300.87	78.55 D	-45.07	Sale
02/24/2021	71.00	259.13	Various	283.45	0.00	-24.32	Sale
03/04/2021	25.00	71.53	Various	88.20	0.00	-16.67	Sale
03/04/2021	49.00	150.41	Various	181.35	0.00	-30.94	Sale
03/12/2021	90.00	296.08	Various	362.57	0.00	-66.49	Sale
06/07/2021	16.00	48.99	Various	61.71	0.00	-12.72	Sale
07/16/2021	51.00	124.93	Various	231.85	0.00	-106.92	Sale
Security Totals:		34,444.73		39,734.76		-75.57	
U S WELL SERVICES INC CLASS A COMMON STOCK CUSIP: 91274U101 Symbol(Box 1a): USWS							
01/06/2021	1,113.00	472.99	01/05/2021	498.51	25.52 D	0.00	Sale
01/06/2021	1,114.00	473.41	01/05/2021	498.96	25.55 D	0.00	Sale

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APEX CLEARING

Proceeds from Broker and Barter Exchange Transactions

2021 Form 1099-B*

5NA77394

(continued)

01/31/2022

OMB No. 1545-0715

SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

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

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

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Box 12: Basis Reported to the IRS

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

Date Sold or Disposed (Box 1c)	Quantity	Proceeds (Box 1d)	Date Acquired (Box 1b)	Cost or Other Basis (Box 1e)	Accrued Market Discount (M)(Box 1f) & Wash Sale Loss Disallowed (D)(Box 1g)	Gain or Loss(-)	Additional Notes
U S WELL SERVICES INC CLASS A COMMON STOCK CUSIP: 91274U101 Symbol(Box 1a): USWS							
01/11/2021	401.00	465.09	01/11/2021	442.27	0.00	22.82	Sale
01/14/2021	267.00	189.53	01/14/2021	205.44	15.91 D	0.00	Sale
01/25/2021	352.00	411.79	01/25/2021	398.69	0.00	13.10	Sale
01/25/2021	761.00	729.16	01/25/2021	731.17	2.01 D	0.00	Sale
01/25/2021	703.00	836.47	Various	820.33	2.63 D	18.77	Sale
01/25/2021	352.00	387.15	Various	398.63	11.48 D	0.00	Sale
01/25/2021	2,029.00	1,928.89	Various	1,971.40	42.51 D	0.00	Sale
01/25/2021	507.00	493.23	01/25/2021	487.13	0.00	6.10	Sale
01/25/2021	1,406.00	1,560.45	Various	1,476.63	23.83 D	107.65	Sale
02/02/2021	326.00	288.13	02/01/2021	317.30	29.17 D	0.00	Sale
02/09/2021	270.00	424.16	Various	364.18	0.00	59.98	Sale
02/11/2021	135.00	210.57	Various	201.86	0.00	8.71	Sale
02/16/2021	135.00	265.92	02/09/2021	199.78	0.00	66.14	Sale
02/17/2021	102.00	237.64	02/17/2021	260.97	0.00	-23.33	Sale
02/17/2021	203.00	580.54	Various	564.09	0.00	16.45	Sale
02/17/2021	204.00	471.20	02/17/2021	521.95	0.00	-50.75	Sale
02/17/2021	1,082.00	2,531.69	Various	2,605.43	68.19 D	-5.55	Sale
02/17/2021	1,082.00	2,510.05	02/17/2021	2,564.34	0.00	-54.29	Sale
02/18/2021	49.00	134.29	02/17/2021	154.50	0.00	-20.21	Sale

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APEX CLEARING

Proceeds from Broker and Barter Exchange Transactions

2021 Form 1099-B*

5NA77394

(continued)

01/31/2022

OMB No. 1545-0715

SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

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

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

Date Sold or Disposed (Box 1c)	Quantity	Proceeds (Box 1d)	Date Acquired (Box 1b)	Cost or Other Basis (Box 1e)	Accrued Market Discount (M)(Box 1f) & Wash Sale Loss Disallowed (D)(Box 1g)	Gain or Loss(-)	Additional Notes
U S WELL SERVICES INC CLASS A COMMON STOCK CUSIP: 91274U101 Symbol(Box 1a): USWS							
02/24/2021	133.00	271.29	02/24/2021	302.63	0.00	-31.34	Sale
03/04/2021	84.00	133.54	Various	152.20	18.66 D	0.00	Sale
04/21/2021	109.00	68.65	Various	184.94	14.04 D	-102.25	Sale
07/16/2021	110.00	112.18	Various	150.20	0.00	-38.02	Sale
Security Totals:		16,188.01		16,473.53		-6.02	
KANDI TECHNOLOGIES GROUP INC CUSIP: 483709101 Symbol(Box 1a): KNDI							
01/21/2021	90.00	713.87	Various	742.84	28.97 D	0.00	Sale
01/25/2021	90.00	740.67	01/20/2021	735.30	0.00	5.37	Sale
01/27/2021	33.00	303.25	01/26/2021	303.87	0.62 D	0.00	Sale
01/28/2021	93.00	988.55	Various	1,009.87	7.40 D	-13.92	Sale
01/29/2021	14.00	132.00	01/28/2021	154.09	0.00	-22.09	Sale
01/29/2021	14.00	125.42	Various	153.69	0.00	-28.27	Sale
Security Totals:		3,003.76		3,099.66		-58.91	
CALL PENN 01/29/21 106 PENN NATIONAL GAMING INC CUSIP: Symbol(Box 1a): PENN210129C00106000							
01/19/2021	1.00	293.90	01/19/2021	300.08	0.00	-6.18	Sell to Close
***ALMADEN MINERALS LTD COM CUSIP: 020283305 Symbol(Box 1a): AAU							
01/14/2021	326.00	215.93	01/14/2021	249.39	0.00	-33.46	Sale
CALL RIOT 02/19/21 74 RIOT BLOCKCHAIN INC CUSIP: Symbol(Box 1a): RIOT210219C00074000							
02/17/2021	1.00	774.89	02/17/2021	595.08	0.00	179.81	Sell to Close
CALL IDEX 03/19/21 5 IDEANOMICS INC CUSIP: Symbol(Box 1a): IDEX210319C00005000							
02/25/2021	2.00	31.82	Various	196.16	0.00	-164.34	Sell to Close
CALL ABNB 02/05/21 220 AIRBNB INC CUSIP: Symbol(Box 1a): ABNB210205C00220000							
01/21/2021	1.00	284.90	01/21/2021	358.44	0.00	-73.54	Sell to Close

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APEX CLEARING

Proceeds from Broker and Barter Exchange Transactions

2021 Form 1099-B*

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(continued)

01/31/2022

OMB No. 1545-0715

SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

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

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

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

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

Date Sold or Disposed (Box 1c)	Quantity	Proceeds (Box 1d)	Date Acquired (Box 1b)	Cost or Other Basis (Box 1e)	Accrued Market Discount (M)(Box 1f) & Wash Sale Loss Disallowed (D)(Box 1g)	Gain or Loss(-)	Additional Notes
CALL ABNB 02/05/21 220 AIRBNB INC CUSIP: Symbol(Box 1a): ABNB210205C00220000							
01/21/2021	1.00	264.90	01/21/2021	285.08	20.18 D	0.00	Sell to Close
01/21/2021	1.00	284.90	01/21/2021	303.26	18.36 D	0.00	Sell to Close
Security Totals:		834.70		946.78		-73.54	
***RECON TECHNOLOGY LTD CLASS A ORDINARY SHARES CUSIP: G7415M124 Symbol(Box 1a): RCON							
01/26/2021	174.00	398.62	Various	495.52	0.00	-96.90	Sale
CALL WWR 03/19/21 7.50 WESTWATER RESOURCES INC CUSIP: Symbol(Box 1a): WWR210319C00007500							
01/21/2021	5.00	774.57	Various	780.40	10.33 D	4.50	Sell to Close
01/22/2021	4.00	599.65	01/21/2021	640.33	0.00	-40.68	Sell to Close
01/25/2021	2.00	339.82	01/21/2021	320.16	0.00	19.66	Sell to Close
01/26/2021	1.00	149.90	01/22/2021	150.25	0.00	-0.35	Sell to Close
02/02/2021	1.00	189.90	02/02/2021	210.24	0.00	-20.34	Sell to Close
Security Totals:		2,053.84		2,101.38		-37.21	
***CYREN LTD CUSIP: M26895108 Symbol(Box 1a): CYRN							
01/20/2021	198.00	296.97	01/19/2021	348.48	0.00	-51.51	Sale
ARTELO BIOSCIENCES INC COMMON STOCK CUSIP: 04301G201 Symbol(Box 1a): ARTL							
02/02/2021	104.00	191.34	02/02/2021	199.68	8.34 D	0.00	Sale
02/02/2021	174.00	273.15	Various	307.62	34.47 D	0.00	Sale
02/11/2021	259.00	484.28	Various	534.34	50.06 D	0.00	Sale
02/12/2021	68.00	174.74	Various	222.38	0.00	-47.64	Sale
02/12/2021	168.00	473.72	Various	525.84	0.00	-52.12	Sale
02/12/2021	169.00	412.33	Various	496.89	0.00	-84.56	Sale
02/17/2021	362.00	1,013.53	02/12/2021	1,038.94	19.59 D	-5.82	Buy to Cover Short

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APEX CLEARING

Proceeds from Broker and Barter Exchange Transactions

2021 Form 1099-B*

5NA77394

(continued)

01/31/2022

OMB No. 1545-0715

SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

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ARTELO BIOSCIENCES INC COMMON STOCK CUSIP: 04301G201 Symbol(Box 1a): ARTL							
02/17/2021	65.00	184.00	02/17/2021	203.46	0.00	-19.46	Sale
02/17/2021	68.00	183.58	02/12/2021	202.58	0.00	-19.00	Sale
Security Totals:		3,390.67		3,731.73		-228.60	
***ORIENTAL CULTURE HOLDING LTD ORDINARY SHARES CUSIP: G6796W107 Symbol(Box 1a): OCG							
02/12/2021	34.00	185.62	02/12/2021	199.50	0.00	-13.88	Sale
02/12/2021	33.00	201.61	02/12/2021	193.64	0.00	7.97	Sale
02/12/2021	66.00	410.50	02/12/2021	387.28	0.00	23.22	Sale
02/12/2021	133.00	742.10	Various	747.31	0.00	-5.21	Sale
Security Totals:		1,539.83		1,527.73		12.10	
CALL IDEX 03/19/21 8 IDEANOMICS INC CUSIP: Symbol(Box 1a): IDEX210319C00008000							
01/28/2021	1.00	92.90	01/27/2021	114.08	21.18 D	0.00	Sell to Close
02/01/2021	1.00	75.90	01/27/2021	110.26	34.36 D	0.00	Sell to Close
02/02/2021	1.00	74.90	02/01/2021	130.44	0.00	-55.54	Sell to Close
Security Totals:		243.70		354.78		-55.54	
CALL AAPL 02/05/21 136 APPLE INC CUSIP: Symbol(Box 1a): AAPL210205C00136000							
02/02/2021	1.00	179.90	02/02/2021	202.08	0.00	-22.18	Sell to Close
CALL AAPL 02/05/21 160 APPLE INC CUSIP: Symbol(Box 1a): AAPL210205C00160000							
01/25/2021	1.00	179.90	01/25/2021	196.08	0.00	-16.18	Sell to Close
CALL AAPL 02/05/21 135 APPLE INC CUSIP: Symbol(Box 1a): AAPL210205C00135000							
02/01/2021	1.00	203.90	02/01/2021	225.08	0.00	-21.18	Sell to Close

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APEX CLEARING

Proceeds from Broker and Barter Exchange Transactions

2021 Form 1099-B*

5NA77394

(continued)

01/31/2022

OMB No. 1545-0715

SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

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

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CALL AMD 03/05/21 95 ADVANCED MICRO DEVICES INC CUSIP: Symbol(Box 1a): AMD210305C00095000							
01/27/2021	1.00	449.90	01/27/2021	354.08	0.00	95.82	Sell to Close
***WESTPORT FUEL SYSTEMS INC CUSIP: 960908309 Symbol(Box 1a): WPRT							
01/15/2021	27.00	189.25	01/14/2021	196.29	6.26 D	-0.78	Sale
02/09/2021	24.00	284.14	02/08/2021	295.22	0.00	-11.08	Sale
Security Totals:		473.39		491.51		-11.86	
CALL EVFM 03/19/21 5 EVOFEM BIOSCIENCES INC CUSIP: Symbol(Box 1a): EVFM210319C00005000							
02/17/2021	3.00	164.74	02/17/2021	201.24	0.00	-36.50	Sell to Close
***RENESOLA LTD AMERICAN DEPOSITARY ON EACH REPRESENTING TEN SHARES CUSIP: 75971T301 Symbol(Box 1a): SOL							
01/06/2021	8.00	123.26	01/05/2021	113.49	0.00	9.77	Sale
01/06/2021	58.00	956.96	Various	949.74	0.00	7.22	Sale
01/07/2021	15.00	316.73	01/06/2021	262.77	0.00	53.96	Sale
01/08/2021	4.00	82.26	01/08/2021	77.07	0.00	5.19	Sale
01/08/2021	23.00	432.58	Various	434.38	0.00	-1.80	Sale
01/14/2021	2.00	50.36	01/08/2021	38.53	0.00	11.83	Sale
01/14/2021	2.00	51.06	01/08/2021	38.53	0.00	12.53	Sale
01/22/2021	2.00	67.08	01/20/2021	56.05	0.00	11.03	Sale
01/22/2021	3.00	102.91	01/20/2021	84.08	0.00	18.83	Sale
01/22/2021	5.00	141.53	01/20/2021	140.13	0.00	1.40	Sale
01/27/2021	8.00	212.78	Various	222.05	9.27 D	0.00	Sale

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APEX CLEARING

Proceeds from Broker and Barter Exchange Transactions

2021 Form 1099-B*

5NA77394

(continued)

01/31/2022

OMB No. 1545-0715

SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

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***RENESOLA LTD AMERICAN DEPOSITARY ON EACH REPRESENTING TEN SHARES CUSIP: 75971T301 Symbol(Box 1a): SOL							
02/22/2021	11.00	190.28	Various	197.59	6.90 D	-0.41	Sale
03/12/2021	5.00	76.98	Various	72.72	0.00	4.26	Sale
Security Totals:		2,804.77		2,687.13		133.81	
CALL AAPL 06/18/21 140 APPLE INC ADJ 4:1 STOCK SPLIT CUSIP: Symbol(Box 1a): AAPL210618C00140000							
02/11/2021	1.00	919.88	02/10/2021	925.08	0.00	-5.20	Sell to Close
CALL LOTZ 03/19/21 12.50 CARLOTZ INC CUSIP: Symbol(Box 1a): LOTZ210319C00012500							
02/17/2021	1.00	90.90	02/17/2021	107.08	0.00	-16.18	Sell to Close
02/18/2021	1.00	92.90	02/17/2021	107.08	0.00	-14.18	Sell to Close
02/18/2021	1.00	84.90	02/17/2021	107.08	0.00	-22.18	Sell to Close
Security Totals:		268.70		321.24		-52.54	
NANTKWEST INC COM CUSIP: 63016Q102 Symbol(Box 1a): NK							
01/15/2021	14.00	243.58	01/15/2021	233.52	0.00	10.06	Sale
CALL BB 01/29/21 20 BLACKBERRY LIMITED CUSIP: Symbol(Box 1a): BB210129C00020000							
01/25/2021	1.00	399.90	01/25/2021	385.08	0.00	14.82	Sell to Close
CALL NNDM 02/19/21 10 NANO DIMENSION LTD ADS CUSIP: Symbol(Box 1a): NNDM210219C00010000							
01/13/2021	1.00	261.90	01/08/2021	184.08	0.00	77.82	Sell to Close
01/13/2021	1.00	239.90	01/11/2021	190.08	0.00	49.82	Sell to Close
Security Totals:		501.80		374.16		127.64	
PECK COMPANY HOLDINGS INC (THE) COMMON STOCK CUSIP: 705163103 Symbol(Box 1a): PECK							
01/05/2021	15.00	179.38	01/05/2021	194.55	0.00	-15.17	Sale

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APEX CLEARING

Proceeds from Broker and Barter Exchange Transactions

2021 Form 1099-B*

5NA77394

(continued)

01/31/2022

OMB No. 1545-0715

SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

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

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

Box 5: Box Not Checked (Covered Security)

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

Box 12: Basis Reported to the IRS

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

Date Sold or Disposed (Box 1c)	Quantity	Proceeds (Box 1d)	Date Acquired (Box 1b)	Cost or Other Basis (Box 1e)	Accrued Market Discount (M)(Box 1f) & Wash Sale Loss Disallowed (D)(Box 1g)	Gain or Loss(-)	Additional Notes
PUT BB 01/29/21 19 BLACKBERRY LIMITED CUSIP: Symbol(Box 1a): BB210129P00019000							
01/25/2021	1.00	374.90	01/25/2021	375.08	0.00	-0.18	Sell to Close
CARLOTZ INC CLASS A COMMON STOCK CUSIP: 142552108 Symbol(Box 1a): LOTZ							
01/25/2021	81.00	944.42	Various	981.81	38.70 D	1.31	Sale
01/27/2021	41.00	435.81	Various	537.16	101.35 D	0.00	Sale
01/27/2021	20.00	216.38	Various	267.57	51.19 D	0.00	Sale
01/28/2021	96.00	1,152.92	Various	1,262.09	109.17 D	0.00	Sale
01/29/2021	43.00	467.47	Various	567.11	99.64 D	0.00	Sale
01/29/2021	43.00	450.62	Various	526.22	75.60 D	0.00	Sale
02/04/2021	47.00	482.19	Various	573.93	90.77 D	-0.97	Sale
02/17/2021	20.00	189.98	Various	256.16	0.00	-66.18	Sale
02/18/2021	29.00	305.64	Various	336.74	0.00	-31.10	Sale
02/25/2021	11.00	106.48	Various	133.57	0.00	-27.09	Sale
02/25/2021	33.00	325.36	Various	456.60	0.00	-131.24	Sale
Security Totals:		5,077.27		5,898.96		-255.27	
PUT MVIS 02/19/21 20 MICROVISION INC CUSIP: Symbol(Box 1a): MVIS210219P00020000							
02/17/2021	1.00	154.90	02/17/2021	205.08	0.00	-50.18	Sell to Close
CALL BLNK 02/19/21 80 BLINK CHARGING CO CUSIP: Symbol(Box 1a): BLNK210219C00080000							
01/04/2021	1.00	100.90	12/30/2020	235.08	0.00	-134.18	Sell to Close
PUT LAC 02/19/21 20 LITHIUM AMERICAS CORP CUSIP: Symbol(Box 1a): LAC210219P00020000							
01/20/2021	1.00	184.90	01/20/2021	210.08	0.00	-25.18	Sell to Close
GREENWICH LIFESCIENCES INC COMMON STOCK CUSIP: 396879108 Symbol(Box 1a): GLSI							
01/15/2021	86.00	3,525.91	01/15/2021	3,343.68	0.00	182.23	Sale
01/15/2021	91.00	3,912.90	01/15/2021	3,799.25	0.00	113.65	Sale

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APEX CLEARING

Proceeds from Broker and Barter Exchange Transactions

2021 Form 1099-B*

5NA77394

(continued)

01/31/2022

OMB No. 1545-0715

SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

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

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

Date Sold or Disposed (Box 1c)	Quantity	Proceeds (Box 1d)	Date Acquired (Box 1b)	Cost or Other Basis (Box 1e)	Accrued Market Discount (M)(Box 1f) & Wash Sale Loss Disallowed (D)(Box 1g)	Gain or Loss(-)	Additional Notes
01/15/2021	94.00	3,798.00	01/15/2021	3,836.14	0.00	-38.14	Sale
Security Totals:		11,236.81		10,979.07		257.74	
PUT LODE 03/19/21 6 COMSTOCK MINING INC CUSIP: Symbol(Box 1a): LODE210319P00006000							
02/17/2021	1.00	224.90	02/17/2021	225.08	0.00	-0.18	Sell to Close
***CAN FITE BIOPHARMA LTD AMERICAN DEPOSITARY SHARES ECH REPRESENTING 30 ORDINARY SHS CUSIP: 13471N201 Symbol(Box 1a): CANF							
02/22/2021	40.00	110.85	02/22/2021	148.00	0.00	-37.15	Sale
GEOVAX LABS INC COMMON STOCK CUSIP: 373678507 Symbol(Box 1a): GOVX							
01/11/2021	39.00	265.18	01/11/2021	248.04	0.00	17.14	Sale
01/11/2021	146.00	1,052.86	01/11/2021	1,059.96	0.00	-7.10	Sale
01/11/2021	146.00	1,020.49	01/11/2021	1,059.96	0.00	-39.47	Sale
Security Totals:		2,338.53		2,367.96		-29.43	
GLOBALSTAR INC CUSIP: 378973408 Symbol(Box 1a): GSAT							
01/22/2021	204.00	208.05	01/21/2021	246.84	38.79 D	0.00	Sale
01/27/2021	798.00	853.75	01/27/2021	869.82	16.07 D	0.00	Sale
01/27/2021	1,596.00	1,755.37	01/27/2021	1,739.64	0.00	15.73	Sale
01/27/2021	3,192.00	3,510.74	Various	3,518.07	36.78 D	29.45	Sale
01/28/2021	1,251.00	1,313.37	Various	1,432.48	119.11 D	0.00	Sale
01/29/2021	263.00	270.85	01/28/2021	297.22	26.37 D	0.00	Sale
01/29/2021	526.00	552.22	Various	611.14	58.92 D	0.00	Sale
02/05/2021	790.00	917.15	Various	920.80	35.72 D	32.07	Sale
02/09/2021	111.00	220.99	02/09/2021	203.07	0.00	17.92	Sale

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APEX CLEARING

Proceeds from Broker and Barter Exchange Transactions

2021 Form 1099-B*

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(continued)

01/31/2022

OMB No. 1545-0715

SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

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

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

Date Sold or Disposed (Box 1c)	Quantity	Proceeds (Box 1d)	Date Acquired (Box 1b)	Cost or Other Basis (Box 1e)	Accrued Market Discount (M)(Box 1f) & Wash Sale Loss Disallowed (D)(Box 1g)	Gain or Loss(-)	Additional Notes
GLOBALSTAR INC CUSIP: 378973408 Symbol(Box 1a): GSAT							
02/09/2021	130.00	228.91	02/09/2021	256.10	27.19 D	0.00	Sale
02/09/2021	358.00	669.40	Various	704.13	34.73 D	0.00	Sale
02/09/2021	386.00	675.43	Various	758.43	83.00 D	0.00	Sale
02/09/2021	389.00	758.48	Various	773.62	15.14 D	0.00	Sale
02/09/2021	395.00	651.68	Various	517.78	0.00	133.90	Sale
02/09/2021	443.00	841.63	Various	815.63	0.00	26.00	Sale
02/09/2021	538.00	1,027.49	Various	1,167.29	139.80 D	0.00	Sale
02/09/2021	682.00	1,275.23	Various	1,345.94	70.71 D	0.00	Sale
02/09/2021	886.00	1,595.62	Various	1,695.66	100.04 D	0.00	Sale
02/09/2021	715.00	1,351.23	Various	1,172.33	50.46 D	229.36	Sale
02/09/2021	2,153.00	4,090.34	Various	4,237.45	162.53 D	15.42	Sale
02/09/2021	1,679.00	3,156.25	Various	3,260.46	104.21 D	0.00	Sale
02/09/2021	1,556.00	3,096.18	Various	3,147.98	73.56 D	21.76	Sale
02/10/2021	124.00	322.38	Various	348.10	25.72 D	0.00	Sale
02/10/2021	124.00	306.26	Various	355.93	49.67 D	0.00	Sale
02/10/2021	247.00	647.36	Various	674.87	27.51 D	0.00	Sale
02/10/2021	267.00	678.13	Various	725.18	47.05 D	0.00	Sale
02/10/2021	794.00	1,849.88	Various	2,113.00	263.12 D	0.00	Sale
02/10/2021	1,059.00	2,763.79	Various	2,989.86	226.07 D	0.00	Sale
02/10/2021	1,482.00	3,884.05	Various	4,248.51	364.46 D	0.00	Sale
02/10/2021	1,835.00	4,862.42	Various	5,336.94	474.52 D	0.00	Sale
02/11/2021	151.00	386.53	Various	418.82	0.00	-32.29	Sale
02/11/2021	151.00	351.97	Various	448.71	0.00	-96.74	Sale
02/11/2021	238.00	537.83	Various	615.93	0.00	-78.10	Sale
02/11/2021	903.00	2,338.60	Various	2,508.87	97.37 D	-72.90	Sale
02/12/2021	267.00	622.06	Various	651.30	0.00	-29.24	Sale

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APEX CLEARING

Proceeds from Broker and Barter Exchange Transactions

2021 Form 1099-B*

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(continued)

01/31/2022

OMB No. 1545-0715

SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

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

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

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

Date Sold or Disposed (Box 1c)	Quantity	Proceeds (Box 1d)	Date Acquired (Box 1b)	Cost or Other Basis (Box 1e)	Accrued Market Discount (M)(Box 1f) & Wash Sale Loss Disallowed (D)(Box 1g)	Gain or Loss(-)	Additional Notes
GLOBALSTAR INC CUSIP: 378973408 Symbol(Box 1a): GSAT							
02/17/2021	134.00	302.81	Various	338.80	0.00	-35.99	Sale
02/22/2021	67.00	129.29	Various	175.70	0.00	-46.41	Sale
02/23/2021	67.00	85.07	Various	175.75	0.00	-90.68	Sale
02/24/2021	72.00	139.66	Various	152.32	0.00	-12.66	Sale
02/24/2021	325.00	620.70	Various	741.36	0.00	-120.66	Sale
Security Totals:		49,849.15		52,711.83		-94.06	
CALL AAPL 02/19/21 210 APPLE INC CUSIP: Symbol(Box 1a): AAPL210219C00210000							
01/14/2021	2.00	23.82	12/22/2020	64.16	0.00	-40.34	Sell to Close
CALL AAPL 03/05/21 140 APPLE INC CUSIP: Symbol(Box 1a): AAPL210305C00140000							
02/10/2021	1.00	232.90	02/10/2021	225.08	0.00	7.82	Sell to Close
02/18/2021	1.00	49.90	02/10/2021	225.08	0.00	-175.18	Sell to Close
Security Totals:		282.80		450.16		-167.36	
CALL SPI 02/19/21 10 SPI ENERGY CO LTD CUSIP: Symbol(Box 1a): SPI210219C00010000							
01/13/2021	2.00	199.82	Various	195.16	0.00	4.66	Sell to Close
***INTEC PHARMA LTD ORDINARY SHARES CUSIP: M53644148 Symbol(Box 1a): NTEC							
02/02/2021	36.00	162.34	02/02/2021	197.29	0.00	-34.95	Sale
02/02/2021	912.00	4,878.98	Various	4,883.88	4.78 D	-0.12	Sale
02/10/2021	106.00	963.50	02/10/2021	996.43	0.00	-32.93	Sale
02/11/2021	53.00	476.97	02/11/2021	523.65	0.00	-46.68	Sale
02/11/2021	156.00	1,456.95	Various	1,451.05	0.00	5.90	Sale
02/25/2021	56.00	278.14	02/24/2021	296.25	0.00	-18.11	Sale
Security Totals:		8,216.88		8,348.55		-126.89	

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2021 Form 1099-B*

5NA77394

(continued)

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Date Sold or Disposed (Box 1c)	Quantity	Proceeds (Box 1d)	Date Acquired (Box 1b)	Cost or Other Basis (Box 1e)	Accrued Market Discount (M)(Box 1f) & Wash Sale Loss Disallowed (D)(Box 1g)	Gain or Loss(-)	Additional Notes
CALL NFLX 01/22/21 620 NETFLIX INC CUSIP: Symbol(Box 1a): NFLX210122C00620000							
01/20/2021	1.00	255.90	01/20/2021	298.08	0.00	-42.18	Sell to Close
FUELCELL ENERGY INC COMMON STOCK CUSIP: 35952H601 Symbol(Box 1a): FCEL							
01/05/2021	63.00	647.61	Various	798.02	0.00	-150.41	Sale
01/07/2021	66.00	943.76	Various	831.08	0.00	112.68	Sale
01/07/2021	57.00	863.58	Various	816.12	0.00	47.46	Sale
01/08/2021	43.00	675.07	Various	649.58	0.00	25.49	Sale
01/12/2021	13.00	260.63	Various	201.87	0.00	58.76	Sale
01/13/2021	5.00	96.23	Various	107.01	0.00	-10.78	Sale
01/13/2021	10.00	203.38	Various	182.52	0.00	20.86	Sale
01/13/2021	20.00	404.78	Various	341.66	0.00	63.12	Sale
01/13/2021	30.00	600.92	Various	630.85	0.00	-29.93	Sale
01/14/2021	6.00	103.90	01/13/2021	128.62	0.00	-24.72	Sale
01/21/2021	17.00	262.12	Various	305.47	37.63 D	-5.72	Sale
02/22/2021	15.00	294.28	Various	336.73	0.00	-42.45	Sale
Security Totals:		5,356.26		5,329.53		64.36	
HOUSTON AMERN ENERGY CORP COMMON STOCK CUSIP: 44183U209 Symbol(Box 1a): HUSA							
01/12/2021	342.00	670.64	01/11/2021	652.87	0.00	17.77	Sale
01/25/2021	132.00	293.16	01/25/2021	299.64	0.00	-6.48	Sale
Security Totals:		963.80		952.51		11.29	
DPW HOLDINGS INC COMMON STOCK CUSIP: 26140E600 Symbol(Box 1a): DPW							
01/05/2021	89.00	344.41	Various	496.72	152.31 D	0.00	Sale
01/06/2021	484.00	1,916.53	Various	2,311.04	394.51 D	0.00	Sale
01/06/2021	253.00	981.05	Various	1,225.52	244.47 D	0.00	Sale
01/11/2021	191.00	800.25	Various	975.43	175.18 D	0.00	Sale
01/13/2021	64.00	388.46	Various	335.45	0.00	53.01	Sale

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APEX CLEARING

Proceeds from Broker and Barter Exchange Transactions

2021 Form 1099-B*

5NA77394

(continued)

01/31/2022

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SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

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

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DPW HOLDINGS INC COMMON STOCK CUSIP: 26140E600 Symbol(Box 1a): DPW							
01/13/2021	79.00	480.29	Various	564.16	83.87 D	0.00	Sale
01/13/2021	128.00	789.72	Various	640.64	0.00	149.08	Sale
01/13/2021	159.00	1,031.86	Various	1,141.00	118.28 D	9.14	Sale
01/13/2021	232.00	1,375.37	Various	1,481.77	153.04 D	46.64	Sale
01/14/2021	223.00	1,213.06	Various	1,539.44	326.38 D	0.00	Sale
01/14/2021	377.00	2,194.05	Various	2,709.44	515.39 D	0.00	Sale
01/15/2021	37.00	193.12	Various	255.90	62.78 D	0.00	Sale
01/15/2021	157.00	843.05	Various	1,098.31	255.26 D	0.00	Sale
Security Totals:		12,551.22		14,774.82		257.87	
***SPI ENERGY CO LTD ORDINARY SHARES CUSIP: G8651P110 Symbol(Box 1a): SPI							
01/06/2021	66.00	601.89	01/06/2021	603.24	1.35 D	0.00	Sale
01/06/2021	197.00	1,802.49	Various	2,060.98	259.10 D	0.61	Sale
01/13/2021	18.00	169.36	01/12/2021	218.73	49.37 D	0.00	Sale
01/14/2021	18.00	168.46	Various	222.54	54.08 D	0.00	Sale
01/19/2021	56.00	497.27	Various	588.63	91.36 D	0.00	Sale
01/20/2021	137.00	1,467.21	Various	1,462.16	0.00	5.05	Sale
01/20/2021	46.00	492.63	01/20/2021	490.82	0.00	1.81	Sale
01/20/2021	182.00	1,947.33	Various	2,186.97	43.41 D	-196.23	Sale
01/26/2021	16.00	181.42	01/26/2021	233.81	0.00	-52.39	Sale
Security Totals:		7,328.06		8,067.88		-241.15	
***FUTU HOLDINGS LIMITED AMERICAN DEPOSITARY SHARES CUSIP: 36118L106 Symbol(Box 1a): FUTU							
02/10/2021	1.00	196.62	02/10/2021	183.57	0.00	13.05	Sale

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OMB No. 1545-0715

SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

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

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

Box 5: Box Not Checked (Covered Security)

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

Box 12: Basis Reported to the IRS

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

Date Sold or Disposed (Box 1c)	Quantity	Proceeds (Box 1d)	Date Acquired (Box 1b)	Cost or Other Basis (Box 1e)	Accrued Market Discount (M)(Box 1f) & Wash Sale Loss Disallowed (D)(Box 1g)	Gain or Loss(-)	Additional Notes
CALL AAPL 02/05/21 145 APPLE INC CUSIP: Symbol(Box 1a): AAPL210205C00145000							
01/25/2021	1.00	599.89	01/22/2021	349.08	0.00	250.81	Sell to Close
CALL SOL 02/19/21 25 RENESOLA LTD ADR CUSIP: Symbol(Box 1a): SOL210219C00025000							
01/14/2021	1.00	479.89	01/12/2021	353.08	0.00	126.81	Sell to Close
01/29/2021	1.00	314.90	01/29/2021	327.08	0.00	-12.18	Sell to Close
Security Totals:		794.79		680.16		114.63	
ENVERIC BIOSCIENCES INC COMMON STOCK CUSIP: 29405E109 Symbol(Box 1a): ENVB							
02/10/2021	61.00	288.64	Various	301.87	0.00	-13.23	Sale
02/10/2021	92.00	397.42	Various	390.89	1.26 D	7.79	Sale
02/10/2021	1,047.00	5,308.05	Various	5,274.00	8.11 D	42.16	Sale
02/11/2021	46.00	257.58	02/10/2021	249.79	0.00	7.79	Sale
02/11/2021	47.00	267.88	02/10/2021	255.22	0.00	12.66	Sale
04/21/2021	51.00	112.18	Various	231.99	86.62 D	-33.19	Sale
07/19/2021	52.00	95.15	Various	266.96	0.00	-171.81	Sale
Security Totals:		6,726.90		6,970.72		-147.83	
***CLEVER LEAVES HLDGS INC COM CUSIP: 186760104 Symbol(Box 1a): CLVR							
01/12/2021	34.00	316.52	01/12/2021	334.90	0.00	-18.38	Sale
CALL PLUG 01/15/21 35 PLUG POWER INC CUSIP: Symbol(Box 1a): PLUG210115C00035000							
01/04/2021	1.00	146.90	12/30/2020	239.08	0.00	-92.18	Sell to Close
INPIXON COMMON STOCK CUSIP: 45790J800 Symbol(Box 1a): INPX							
01/22/2021	167.00	265.68	01/22/2021	248.83	0.00	16.85	Sale
01/22/2021	1,835.00	2,770.56	Various	2,732.48	0.00	38.08	Sale
02/11/2021	106.00	236.36	02/11/2021	248.04	4.41 D	-7.27	Sale

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APEX CLEARING

Proceeds from Broker and Barter Exchange Transactions

2021 Form 1099-B*

5NA77394

(continued)

01/31/2022

OMB No. 1545-0715

SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

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INPIXON COMMON STOCK CUSIP: 45790J800 Symbol(Box 1a): INPX							
02/17/2021	107.00	230.87	02/11/2021	250.38	0.00	-19.51	Sale
07/19/2021	40.00	38.43	03/11/2021	53.97	0.00	-15.54	Sale
Security Totals:		3,541.90		3,533.70		12.61	
FUBOTV INC COMMON STOCK CUSIP: 35953D104 Symbol(Box 1a): FUBO							
01/04/2021	2.00	48.60	Various	73.44	24.84 D	0.00	Sale
01/04/2021	18.00	436.14	Various	662.94	226.80 D	0.00	Sale
01/05/2021	6.00	175.07	01/05/2021	170.86	0.00	4.21	Sale
01/05/2021	23.00	695.49	Various	646.78	0.00	48.71	Sale
01/05/2021	81.00	2,332.73	Various	2,858.11	525.19 D	-0.19	Sale
01/05/2021	91.00	2,558.85	Various	3,081.21	528.81 D	6.45	Sale
01/11/2021	12.00	327.49	Various	392.45	64.96 D	0.00	Sale
01/14/2021	3.00	103.27	01/07/2021	83.97	0.00	19.30	Sale
01/19/2021	10.00	324.08	Various	468.89	149.23 D	4.42	Sale
01/21/2021	87.00	2,991.85	Various	3,515.08	523.23 D	0.00	Sale
01/25/2021	11.00	453.28	Various	569.22	117.98 D	2.04	Sale
01/27/2021	10.00	517.07	Various	627.86	110.79 D	0.00	Sale
01/28/2021	5.00	239.58	Various	241.25	6.74 D	5.07	Sale
01/28/2021	10.00	431.28	Various	453.17	21.89 D	0.00	Sale
01/28/2021	18.00	752.91	Various	770.43	24.85 D	7.33	Sale
01/28/2021	21.00	1,023.71	Various	1,108.20	104.47 D	19.98	Sale
01/28/2021	5.00	213.13	Various	279.96	66.83 D	0.00	Sale
01/29/2021	11.00	455.81	Various	582.67	126.86 D	0.00	Sale
01/29/2021	23.00	1,000.92	Various	1,207.00	206.08 D	0.00	Sale
02/01/2021	7.00	325.48	Various	345.12	19.64 D	0.00	Sale

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Proceeds from Broker and Barter Exchange Transactions

2021 Form 1099-B*

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(continued)

01/31/2022

OMB No. 1545-0715

SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

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

Date Sold or Disposed (Box 1c)	Quantity	Proceeds (Box 1d)	Date Acquired (Box 1b)	Cost or Other Basis (Box 1e)	Accrued Market Discount (M)(Box 1f) & Wash Sale Loss Disallowed (D)(Box 1g)	Gain or Loss(-)	Additional Notes
FUBOTV INC COMMON STOCK CUSIP: 35953D104 Symbol(Box 1a): FUBO							
02/01/2021	10.00	449.08	Various	532.23	83.15 D	0.00	Sale
02/01/2021	19.00	949.39	Various	1,002.00	52.61 D	0.00	Sale
02/08/2021	2.00	97.50	Various	114.18	16.68 D	0.00	Sale
02/17/2021	6.00	268.53	Various	351.46	82.93 D	0.00	Sale
02/17/2021	5.00	222.98	Various	278.38	55.40 D	0.00	Sale
02/22/2021	4.00	165.69	Various	216.10	50.41 D	0.00	Sale
02/25/2021	37.00	1,443.35	Various	1,714.80	271.45 D	0.00	Sale
03/02/2021	37.00	1,517.35	03/02/2021	1,550.85	33.5 D	0.00	Sale
03/02/2021	108.00	4,516.52	Various	5,050.76	534.24 D	0.00	Sale
03/02/2021	136.00	5,541.95	Various	6,367.80	822.96 D	-2.89	Sale
03/02/2021	141.00	5,725.12	Various	6,467.40	742.28 D	0.00	Sale
03/02/2021	141.00	5,885.28	Various	6,656.99	0.00	-771.71	Sale
07/16/2021	3.00	77.71	03/09/2021	96.64	0.00	-18.93	Sale
Security Totals:		42,267.19		48,538.20		-676.21	
PUT SPY 02/12/21 390 STANDARD & POORS DEPOSITORY CUSIP: Symbol(Box 1a): SPY210212P00390000							
02/11/2021	1.00	203.90	02/10/2021	190.08	0.00	13.82	Sell to Close
CALL CCIV 03/05/21 35 CHURCHILL CAPITAL CORP IV CL A CUSIP: Symbol(Box 1a): CCIV210305C00035000							
02/26/2021	1.00	174.90	02/26/2021	229.08	0.00	-54.18	Sell to Close
GENERAL MOTORS COMPANY CUSIP: 37045V100 Symbol(Box 1a): GM							
01/13/2021	20.00	993.56	01/12/2021	984.40	0.00	9.16	Sale
INDIA GLOBALIZATION CAPITAL INC COMMON STOCK CUSIP: 45408X308 Symbol(Box 1a): IGC							
01/05/2021	327.00	526.51	Various	588.95	62.44 D	0.00	Sale
01/06/2021	285.00	548.58	Various	528.46	4.57 D	24.69	Sale
01/07/2021	234.00	426.10	Various	460.75	34.65 D	0.00	Sale

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APEX CLEARING

Proceeds from Broker and Barter Exchange Transactions

2021 Form 1099-B*

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01/31/2022

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SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

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

Date Sold or Disposed (Box 1c)	Quantity	Proceeds (Box 1d)	Date Acquired (Box 1b)	Cost or Other Basis (Box 1e)	Accrued Market Discount (M)(Box 1f) & Wash Sale Loss Disallowed (D)(Box 1g)	Gain or Loss(-)	Additional Notes
INDIA GLOBALIZATION CAPITAL INC COMMON STOCK CUSIP: 45408X308 Symbol(Box 1a): IGC							
01/07/2021	313.00	579.99	Various	629.04	49.05 D	0.00	Sale
01/11/2021	79.00	141.48	01/07/2021	148.52	7.04 D	0.00	Sale
01/29/2021	121.00	196.13	01/29/2021	220.22	24.09 D	0.00	Sale
01/29/2021	121.00	205.95	01/29/2021	220.22	14.27 D	0.00	Sale
01/29/2021	241.00	419.30	01/29/2021	438.62	19.32 D	0.00	Sale
01/29/2021	482.00	848.24	01/29/2021	877.24	29 D	0.00	Sale
01/29/2021	680.00	1,251.09	Various	1,325.03	76.90 D	2.96	Sale
01/29/2021	572.00	892.86	Various	976.82	6.37 D	-77.59	Sale
01/29/2021	965.00	1,719.67	01/29/2021	1,756.30	36.63 D	0.00	Sale
02/02/2021	182.00	294.81	02/01/2021	307.21	0.00	-12.40	Sale
02/02/2021	360.00	684.34	Various	611.06	0.00	73.28	Sale
02/03/2021	115.00	242.63	02/03/2021	253.91	0.00	-11.28	Sale
02/03/2021	115.00	243.91	02/03/2021	253.91	0.00	-10.00	Sale
02/10/2021	126.00	347.88	02/10/2021	356.32	0.00	-8.44	Sale
02/10/2021	163.00	451.48	Various	511.80	0.00	-60.32	Sale
02/10/2021	723.00	2,154.40	Various	2,235.40	0.00	-81.00	Sale
02/11/2021	170.00	475.96	Various	525.37	0.00	-49.41	Sale
Security Totals:		12,651.31		13,225.15		-209.51	
CALL PLUG 01/15/21 45 PLUG POWER INC CUSIP: Symbol(Box 1a): PLUG210115C00045000							
01/07/2021	1.00	273.90	01/07/2021	360.08	0.00	-86.18	Sell to Close

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2021 Form 1099-B*

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***CHINA SXT PHARMACEUTICALS INC ORDINARY SHARES CUSIP: G2161P108 Symbol(Box 1a): SXTC							
01/13/2021	498.00	333.59	01/13/2021	349.70	0.00	-16.11	Sale
CALL SUNW 01/15/21 7.50 SUNWORKS INC CUSIP: Symbol(Box 1a): SUNW210115C00007500							
01/07/2021	1.00	184.90	01/07/2021	125.08	0.00	59.82	Sell to Close
VIRNETX HOLDING CORPORATION COMMON STOCK CUSIP: 92823T108 Symbol(Box 1a): VHC							
01/15/2021	133.00	748.90	01/15/2021	778.05	0.00	-29.15	Sale
01/15/2021	396.00	2,316.49	01/15/2021	2,316.60	0.00	-0.11	Sale
Security Totals:		3,065.39		3,094.65		-29.26	
COREENERGY INFRASTRUCTURE TRUST INC COM CUSIP: 21870U502 Symbol(Box 1a): CORR							
01/13/2021	28.00	208.30	01/13/2021	222.05	0.00	-13.75	Sale
CALL MARA 01/15/21 16 MARATHON PATENT GROUP INC CUSIP: Symbol(Box 1a): MARA210115C00016000							
01/06/2021	1.00	162.90	01/06/2021	195.08	0.00	-32.18	Sell to Close
CALL AMD 01/15/21 92 ADVANCED MICRO DEVICES INC CUSIP: Symbol(Box 1a): AMD210115C00092000							
01/04/2021	1.00	519.89	12/28/2020	400.08	0.00	119.81	Sell to Close
EXPRESS INC CUSIP: 30219E103 Symbol(Box 1a): EXPR							
01/25/2021	55.00	227.13	01/25/2021	147.95	0.00	79.18	Sale
01/25/2021	110.00	305.68	01/25/2021	292.60	0.00	13.08	Sale
01/25/2021	55.00	203.49	01/25/2021	147.95	0.00	55.54	Sale
01/25/2021	327.00	876.30	Various	841.77	0.00	34.53	Sale
02/25/2021	41.00	145.12	02/25/2021	158.27	0.00	-13.15	Sale
02/25/2021	120.00	429.58	Various	493.08	30.73 D	-32.77	Sale
02/25/2021	160.00	598.37	Various	642.44	6.61 D	-37.46	Sale

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2021 Form 1099-B*

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(continued)

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EXPRESS INC CUSIP: 30219E103 Symbol(Box 1a): EXPR							
03/11/2021	52.00	199.79	Various	233.37	0.00	-33.58	Sale
Security Totals:		2,985.46		2,957.43		65.37	
PUT SPY 01/25/21 382 STANDARD & POORS DEPOSITORY CUSIP: Symbol(Box 1a): SPY210125P00382000							
01/25/2021	1.00	261.90	01/25/2021	123.08	0.00	138.82	Sell to Close
01/25/2021	2.00	275.82	01/25/2021	246.16	0.00	29.66	Sell to Close
01/25/2021	1.00	135.90	01/25/2021	123.08	0.00	12.82	Sell to Close
Security Totals:		673.62		492.32		181.30	
CALL TTCF 02/19/21 25 TATTOOED CHEF INC CL A CUSIP: Symbol(Box 1a): TTCF210219C00025000							
01/12/2021	1.00	309.90	01/08/2021	225.08	0.00	84.82	Sell to Close
01/13/2021	1.00	349.90	01/12/2021	330.08	0.00	19.82	Sell to Close
Security Totals:		659.80		555.16		104.64	
CALL SOLO 01/15/21 9 ELECTRAMECANICA VEHICLES CORP CUSIP: Symbol(Box 1a): SOLO210115C00009000							
01/12/2021	1.00	42.90	01/12/2021	34.08	0.00	8.82	Sell to Close
01/12/2021	1.00	43.90	01/12/2021	34.08	0.00	9.82	Sell to Close
01/12/2021	1.00	45.90	01/12/2021	34.08	0.00	11.82	Sell to Close
01/12/2021	1.00	37.90	01/12/2021	34.08	0.00	3.82	Sell to Close
01/12/2021	1.00	36.90	01/12/2021	34.08	0.00	2.82	Sell to Close
Security Totals:		207.50		170.40		37.10	
CALL RIOT 02/19/21 61 RIOT BLOCKCHAIN INC CUSIP: Symbol(Box 1a): RIOT210219C00061000							
02/16/2021	1.00	544.89	02/16/2021	585.08	0.00	-40.19	Sell to Close

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2021 Form 1099-B*

5NA77394

(continued)

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***ASIA PACIFIC WIRE & CABLE CORPORATION LTD CUSIP: G0535E106 Symbol(Box 1a): APWC							
01/13/2021	54.00	204.10	01/12/2021	199.80	0.00	4.30	Sale
01/13/2021	54.00	208.42	01/12/2021	199.80	0.00	8.62	Sale
01/22/2021	57.00	307.19	01/22/2021	295.83	0.00	11.36	Sale
02/04/2021	31.00	193.73	02/04/2021	196.85	0.00	-3.12	Sale
Security Totals:		913.44		892.28		21.16	
CALL KERN 02/19/21 10 AKERNA CORP CUSIP: Symbol(Box 1a): KERN210219C00010000							
02/10/2021	1.00	124.90	02/10/2021	130.08	0.00	-5.18	Sell to Close
APPLE INC CUSIP: 037833100 Symbol(Box 1a): AAPL							
01/11/2021	4.00	516.73	Various	520.67	5.9 D	1.96	Sale
01/21/2021	3.00	411.49	01/21/2021	402.39	0.00	9.10	Sale
01/21/2021	8.00	1,072.52	01/21/2021	1,073.04	0.52 D	0.00	Sale
01/21/2021	33.00	4,427.50	01/21/2021	4,426.29	0.00	1.21	Sale
01/21/2021	43.00	5,767.45	Various	5,773.49	6.04 D	0.00	Sale
01/27/2021	6.00	842.85	01/27/2021	851.72	8.87 D	0.00	Sale
01/27/2021	6.00	844.41	Various	851.84	7.43 D	0.00	Sale
01/27/2021	33.00	4,631.76	Various	4,674.00	42.24 D	0.00	Sale
01/29/2021	7.00	923.96	Various	920.06	0.00	3.90	Sale
02/03/2021	3.00	410.35	02/03/2021	413.40	3.05 D	0.00	Sale
02/03/2021	18.00	2,470.25	02/03/2021	2,451.96	0.00	18.29	Sale
02/03/2021	20.00	2,726.12	Various	2,762.90	36.78 D	0.00	Sale

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APEX CLEARING

Proceeds from Broker and Barter Exchange Transactions

2021 Form 1099-B*

5NA77394

(continued)

01/31/2022

OMB No. 1545-0715

SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

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

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

Box 5: Box Not Checked (Covered Security)

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

Box 12: Basis Reported to the IRS

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

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

Date Sold or Disposed (Box 1c)	Quantity	Proceeds (Box 1d)	Date Acquired (Box 1b)	Cost or Other Basis (Box 1e)	Accrued Market Discount (M)(Box 1f) & Wash Sale Loss Disallowed (D)(Box 1g)	Gain or Loss(-)	Additional Notes
APPLE INC CUSIP: 037833100 Symbol(Box 1a): AAPL							
02/03/2021	35.00	4,809.93	02/03/2021	4,767.70	0.00	42.23	Sale
02/03/2021	27.00	3,719.42	Various	3,695.58	3.81 D	27.65	Sale
02/03/2021	70.00	9,598.87	Various	9,593.50	21.30 D	26.67	Sale
02/04/2021	121.00	16,518.54	Various	16,582.71	64.17 D	0.00	Sale
02/24/2021	2.00	250.32	02/24/2021	255.75	5.43 D	0.00	Sale
02/24/2021	5.00	623.03	Various	642.11	19.08 D	0.00	Sale
02/25/2021	32.00	3,908.13	Various	3,949.99	41.90 D	0.04	Sale
03/01/2021	83.00	10,667.09	Various	10,695.98	18.72 D	-10.17	Sale
03/02/2021	21.00	2,691.33	03/01/2021	2,699.55	0.00	-8.22	Sale
03/02/2021	28.00	3,540.03	Various	3,605.32	0.00	-65.29	Sale
03/02/2021	41.00	5,235.66	Various	5,321.55	0.00	-85.89	Sale
06/29/2021	1.00	135.89	03/08/2021	118.74	0.00	17.15	Sale
07/06/2021	9.00	1,262.14	Various	1,070.15	0.00	191.99	Sale
07/16/2021	4.00	584.66	Various	480.06	0.00	104.60	Sale
Security Totals:		88,590.43		88,600.45		275.22	
CALL TLRV 02/05/21 23 TILRAY INC CUSIP: Symbol(Box 1a): TLRV210205C00023000							
02/02/2021	1.00	115.90	02/02/2021	140.08	0.00	-24.18	Sell to Close
OPGN INC COMMON STOCK CUSIP: 68373L307 Symbol(Box 1a): OPGN							
01/06/2021	261.00	602.86	01/05/2021	634.23	0.00	-31.37	Sale
02/08/2021	83.00	286.33	02/08/2021	299.63	0.00	-13.30	Sale
Security Totals:		889.19		933.86		-44.67	

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APEX CLEARING

Proceeds from Broker and Barter Exchange Transactions

2021 Form 1099-B*

5NA77394

(continued)

01/31/2022

OMB No. 1545-0715

SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

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

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

Date Sold or Disposed (Box 1c)	Quantity	Proceeds (Box 1d)	Date Acquired (Box 1b)	Cost or Other Basis (Box 1e)	Accrued Market Discount (M)(Box 1f) & Wash Sale Loss Disallowed (D)(Box 1g)	Gain or Loss(-)	Additional Notes
CARPARTS.COM INC COMMON STOCK CUSIP: 14427M107 Symbol(Box 1a): PRTS							
01/26/2021	14.00	237.14	01/25/2021	190.51	0.00	46.63	Sale
CALL RIOT 02/19/21 63 RIOT BLOCKCHAIN INC CUSIP: Symbol(Box 1a): RIOT210219C00063000							
02/18/2021	1.00	409.90	02/18/2021	475.08	0.00	-65.18	Sell to Close
AMC ENTERTAINMENT HOLDINGS INC CL A COM CUSIP: 00165C104 Symbol(Box 1a): AMC							
01/15/2021	125.00	295.14	01/15/2021	285.00	0.00	10.14	Sale
01/15/2021	167.00	397.43	01/15/2021	380.76	0.00	16.67	Sale
01/15/2021	251.00	597.66	01/15/2021	572.28	0.00	25.38	Sale
01/15/2021	669.00	1,599.59	Various	1,514.26	0.00	85.33	Sale
01/19/2021	103.00	290.96	01/15/2021	243.08	0.00	47.88	Sale
01/19/2021	137.00	380.83	Various	313.24	0.00	67.59	Sale
01/19/2021	191.00	584.65	01/19/2021	603.56	18.91 D	0.00	Sale
01/19/2021	191.00	552.18	01/19/2021	563.45	11.27 D	0.00	Sale
01/19/2021	382.00	1,047.10	Various	926.34	0.00	120.76	Sale
01/19/2021	752.00	2,331.05	Various	2,240.18	0.00	90.87	Sale
01/19/2021	775.00	2,262.85	Various	2,190.75	11.87 D	83.97	Sale
01/19/2021	822.00	2,548.04	Various	2,558.77	37.99 D	27.26	Sale
01/20/2021	130.00	410.12	01/20/2021	461.24	51.12 D	0.00	Sale
01/20/2021	452.00	1,541.23	Various	1,513.19	23.41 D	51.45	Sale
01/20/2021	98.00	288.23	Various	344.99	56.76 D	0.00	Sale
01/20/2021	2,053.00	6,204.18	Various	6,442.94	238.76 D	0.00	Sale
01/20/2021	780.00	2,434.39	Various	2,628.02	193.63 D	0.00	Sale

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APEX CLEARING

Proceeds from Broker and Barter Exchange Transactions

2021 Form 1099-B*

5NA77394

(continued)

01/31/2022

OMB No. 1545-0715

SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

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

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

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

Date Sold or Disposed (Box 1c)	Quantity	Proceeds (Box 1d)	Date Acquired (Box 1b)	Cost or Other Basis (Box 1e)	Accrued Market Discount (M)(Box 1f) & Wash Sale Loss Disallowed (D)(Box 1g)	Gain or Loss(-)	Additional Notes
AMC ENTERTAINMENT HOLDINGS INC CL A COM CUSIP: 00165C104 Symbol(Box 1a): AMC							
01/22/2021	68.00	239.34	Various	222.24	0.00	17.10	Sale
01/22/2021	136.00	478.86	Various	454.07	0.46 D	25.25	Sale
01/25/2021	83.00	395.06	Various	475.75	80.69 D	0.00	Sale
01/25/2021	113.00	526.55	Various	457.24	0.00	69.31	Sale
01/25/2021	204.00	916.18	Various	1,029.10	120.56 D	7.64	Sale
01/25/2021	226.00	1,071.18	Various	875.91	0.00	195.27	Sale
01/25/2021	358.00	1,736.22	Various	1,691.44	39.74 D	84.52	Sale
01/25/2021	495.00	2,365.98	Various	2,370.81	83.64 D	78.81	Sale
01/25/2021	832.00	3,161.43	Various	3,258.92	146.06 D	48.57	Sale
01/25/2021	214.00	879.49	01/25/2021	821.33	0.00	58.16	Sale
01/25/2021	463.00	1,893.56	01/25/2021	1,776.99	0.00	116.57	Sale
01/26/2021	104.00	496.19	01/26/2021	529.24	33.05 D	0.00	Sale
01/26/2021	178.00	1,194.33	Various	837.05	0.00	357.28	Sale
01/26/2021	208.00	1,017.34	Various	1,103.67	86.33 D	0.00	Sale
01/26/2021	134.00	647.18	Various	689.05	41.87 D	0.00	Sale
01/26/2021	416.00	2,088.76	Various	2,240.55	155.77 D	3.98	Sale
01/26/2021	788.00	3,664.02	Various	3,983.64	335.04 D	15.42	Sale
01/26/2021	771.00	3,500.17	Various	3,871.70	315.95 D	-55.58	Sale
01/27/2021	7.00	142.01	01/27/2021	169.69	27.68 D	0.00	Sale
01/27/2021	10.00	157.88	Various	206.36	48.48 D	0.00	Sale
01/27/2021	17.00	271.64	Various	266.64	0.00	5.00	Sale
01/27/2021	14.00	300.84	Various	337.03	36.19 D	0.00	Sale
01/27/2021	24.00	405.34	Various	434.18	28.84 D	0.00	Sale
01/27/2021	26.00	420.92	Various	505.53	84.61 D	0.00	Sale

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APEX CLEARING

Proceeds from Broker and Barter Exchange Transactions

2021 Form 1099-B*

5NA77394

(continued)

01/31/2022

OMB No. 1545-0715

SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

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

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

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

Date Sold or Disposed (Box 1c)	Quantity	Proceeds (Box 1d)	Date Acquired (Box 1b)	Cost or Other Basis (Box 1e)	Accrued Market Discount (M)(Box 1f) & Wash Sale Loss Disallowed (D)(Box 1g)	Gain or Loss(-)	Additional Notes
AMC ENTERTAINMENT HOLDINGS INC CL A COM CUSIP: 00165C104 Symbol(Box 1a): AMC							
01/27/2021	28.00	640.61	Various	638.79	1.16 D	2.98	Sale
01/27/2021	30.00	567.05	Various	668.36	101.31 D	0.00	Sale
01/27/2021	35.00	633.82	Various	618.54	26.08 D	41.36	Sale
01/27/2021	35.00	567.41	Various	555.66	0.79 D	12.54	Sale
01/27/2021	37.00	944.57	Various	844.36	0.00	100.21	Sale
01/27/2021	48.00	810.21	Various	916.97	106.76 D	0.00	Sale
01/27/2021	62.00	1,085.58	Various	1,242.88	157.30 D	0.00	Sale
01/27/2021	66.00	1,019.66	Various	787.44	0.00	232.22	Sale
01/27/2021	57.00	1,351.43	Various	1,278.47	0.00	72.96	Sale
01/27/2021	70.00	1,119.96	Various	1,207.61	87.65 D	0.00	Sale
01/27/2021	96.00	1,641.55	Various	1,769.88	128.33 D	0.00	Sale
01/27/2021	39.00	457.44	Various	796.67	339.23 D	0.00	Sale
01/27/2021	151.00	3,284.15	Various	3,314.53	133.71 D	103.33	Sale
01/27/2021	99.00	1,198.85	Various	1,290.77	91.92 D	0.00	Sale
01/27/2021	25.00	291.73	01/27/2021	348.23	56.5 D	0.00	Sale
01/27/2021	193.00	3,353.99	Various	2,989.47	199.72 D	564.24	Sale
01/27/2021	46.00	542.31	Various	616.42	74.11 D	0.00	Sale
01/27/2021	89.00	1,050.16	Various	432.73	0.00	617.43	Sale
01/27/2021	50.00	622.47	Various	665.29	42.82 D	0.00	Sale
01/27/2021	100.00	1,255.96	Various	1,356.39	100.43 D	0.00	Sale
01/27/2021	198.00	2,425.42	Various	2,574.71	154.57 D	5.28	Sale
01/27/2021	276.00	3,386.62	Various	2,959.79	161.81 D	588.64	Sale
01/27/2021	201.00	2,558.65	Various	2,744.07	185.42 D	0.00	Sale
01/28/2021	19.00	315.38	01/28/2021	321.10	5.72 D	0.00	Sale
01/28/2021	22.00	237.80	Various	314.16	76.36 D	0.00	Sale
01/28/2021	24.00	466.77	Various	512.67	45.90 D	0.00	Sale

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APEX CLEARING

Proceeds from Broker and Barter Exchange Transactions

2021 Form 1099-B*

5NA77394

(continued)

01/31/2022

OMB No. 1545-0715

SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

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

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

Date Sold or Disposed (Box 1c)	Quantity	Proceeds (Box 1d)	Date Acquired (Box 1b)	Cost or Other Basis (Box 1e)	Accrued Market Discount (M)(Box 1f) & Wash Sale Loss Disallowed (D)(Box 1g)	Gain or Loss(-)	Additional Notes
AMC ENTERTAINMENT HOLDINGS INC CL A COM CUSIP: 00165C104 Symbol(Box 1a): AMC							
01/28/2021	26.00	466.93	01/28/2021	500.78	33.85 D	0.00	Sale
01/28/2021	27.00	316.96	01/28/2021	355.88	38.92 D	0.00	Sale
01/28/2021	39.00	855.24	01/28/2021	782.34	0.00	72.90	Sale
01/28/2021	55.00	1,151.11	Various	1,207.13	56.02 D	0.00	Sale
01/28/2021	55.00	690.22	01/28/2021	724.95	34.73 D	0.00	Sale
01/28/2021	86.00	1,655.45	Various	2,004.66	349.21 D	0.00	Sale
01/28/2021	123.00	2,446.40	Various	2,464.65	30.93 D	12.68	Sale
01/28/2021	127.00	1,346.15	01/28/2021	1,139.83	0.00	206.32	Sale
01/28/2021	127.00	1,251.60	01/28/2021	1,139.82	0.00	111.78	Sale
01/28/2021	163.00	3,387.04	Various	3,571.23	243.53 D	59.34	Sale
01/28/2021	234.00	4,619.02	Various	4,926.96	301.82 D	-6.12	Sale
01/28/2021	253.00	2,436.30	Various	2,768.84	359.96 D	27.42	Sale
01/28/2021	273.00	2,912.81	01/28/2021	3,027.57	114.76 D	0.00	Sale
01/28/2021	273.00	2,964.73	Various	3,387.53	422.80 D	0.00	Sale
01/28/2021	329.00	4,115.65	Various	4,456.72	418.29 D	77.22	Sale
01/28/2021	474.00	4,953.13	Various	5,578.23	625.10 D	0.00	Sale
01/28/2021	26.00	440.68	01/28/2021	439.40	0.00	1.28	Sale
01/28/2021	87.00	1,623.37	Various	1,682.80	59.43 D	0.00	Sale
01/28/2021	104.00	1,771.07	Various	1,825.86	63.84 D	9.05	Sale
01/28/2021	187.00	3,400.96	Various	3,783.89	382.93 D	0.00	Sale
01/28/2021	207.00	3,560.30	Various	3,880.11	365.69 D	45.88	Sale
01/28/2021	210.00	3,826.09	Various	4,128.43	370.01 D	67.67	Sale

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APEX CLEARING

Proceeds from Broker and Barter Exchange Transactions

2021 Form 1099-B*

5NA77394

(continued)

01/31/2022

OMB No. 1545-0715

SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

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

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AMC ENTERTAINMENT HOLDINGS INC CL A COM CUSIP: 00165C104 Symbol(Box 1a): AMC							
01/28/2021	249.00	4,656.16	Various	4,720.89	92.04 D	27.31	Sale
01/29/2021	20.00	259.78	Various	324.61	64.83 D	0.00	Sale
01/29/2021	27.00	351.79	01/29/2021	375.32	23.53 D	0.00	Sale
01/29/2021	31.00	399.88	Various	445.57	45.69 D	0.00	Sale
01/29/2021	46.00	664.67	Various	894.84	230.17 D	0.00	Sale
01/29/2021	32.00	382.70	Various	424.66	41.96 D	0.00	Sale
01/29/2021	75.00	990.71	Various	1,035.72	45.01 D	0.00	Sale
01/29/2021	46.00	662.37	Various	718.14	55.77 D	0.00	Sale
01/29/2021	76.00	1,044.20	01/29/2021	1,062.48	18.28 D	0.00	Sale
01/29/2021	78.00	1,099.76	Various	1,200.84	101.08 D	0.00	Sale
01/29/2021	90.00	1,211.36	Various	1,275.35	63.99 D	0.00	Sale
01/29/2021	103.00	1,470.79	Various	1,746.78	275.99 D	0.00	Sale
01/29/2021	179.00	2,398.52	Various	2,761.86	363.34 D	0.00	Sale
01/29/2021	207.00	2,949.66	Various	3,154.26	210.00 D	5.40	Sale
01/29/2021	410.00	5,718.83	Various	6,303.55	586.24 D	1.52	Sale
01/29/2021	276.00	3,891.48	Various	4,204.37	312.89 D	0.00	Sale
02/01/2021	21.00	293.14	Various	340.96	47.82 D	0.00	Sale
02/01/2021	13.00	209.54	Various	202.47	6.29 D	13.36	Sale
02/01/2021	6.00	97.12	Various	110.31	13.19 D	0.00	Sale
02/02/2021	79.00	656.46	Various	664.40	15.06 D	7.12	Sale
02/02/2021	132.00	1,149.84	Various	1,196.73	46.89 D	0.00	Sale
02/02/2021	236.00	1,958.72	Various	2,258.60	302.64 D	2.76	Sale
02/02/2021	340.00	2,991.89	Various	3,472.20	480.31 D	0.00	Sale
02/02/2021	24.00	242.86	02/01/2021	308.49	65.63 D	0.00	Sale
02/03/2021	16.00	129.90	Various	177.40	47.5 D	0.00	Sale

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APEX CLEARING

Proceeds from Broker and Barter Exchange Transactions

2021 Form 1099-B*

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(continued)

01/31/2022

OMB No. 1545-0715

SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

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AMC ENTERTAINMENT HOLDINGS INC CL A COM CUSIP: 00165C104 Symbol(Box 1a): AMC							
02/03/2021	23.00	201.23	Various	217.35	16.12 D	0.00	Sale
02/03/2021	23.00	202.84	02/03/2021	215.38	12.54 D	0.00	Sale
02/03/2021	136.00	1,210.35	Various	1,211.33	29.43 D	28.45	Sale
02/03/2021	45.00	366.73	Various	448.60	81.87 D	0.00	Sale
02/12/2021	43.00	239.55	Various	272.25	32.70 D	0.00	Sale
02/22/2021	31.00	215.43	02/22/2021	194.90	0.00	20.53	Sale
02/22/2021	40.00	245.98	Various	323.93	77.95 D	0.00	Sale
02/22/2021	43.00	248.95	Various	429.00	180.05 D	0.00	Sale
02/22/2021	90.00	571.47	Various	611.83	42.67 D	2.31	Sale
02/23/2021	12.00	87.34	Various	114.44	27.10 D	0.00	Sale
02/23/2021	24.00	150.46	Various	180.10	29.64 D	0.00	Sale
02/23/2021	25.00	183.48	Various	188.65	7.87 D	2.70	Sale
02/23/2021	45.00	346.12	Various	347.81	8.82 D	7.13	Sale
02/23/2021	50.00	337.48	Various	425.38	87.90 D	0.00	Sale
02/23/2021	321.00	2,198.79	Various	2,718.28	520.40 D	0.91	Sale
02/23/2021	33.00	245.50	Various	454.16	208.66 D	0.00	Sale
02/24/2021	35.00	347.18	Various	472.71	0.00	-125.53	Sale
02/24/2021	47.00	468.57	Various	755.59	287.02 D	0.00	Sale
02/24/2021	93.00	1,014.61	Various	1,091.21	76.60 D	0.00	Sale
02/24/2021	286.00	2,674.47	Various	3,218.77	544.30 D	0.00	Sale
02/25/2021	46.00	430.54	Various	503.42	0.00	-72.88	Sale
02/25/2021	136.00	1,414.37	Various	1,524.31	0.00	-109.94	Sale
02/26/2021	61.00	489.81	Various	826.66	0.00	-336.85	Sale
Security Totals:		183,530.24		194,060.61		4,155.51	

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APEX CLEARING

Proceeds from Broker and Barter Exchange Transactions

2021 Form 1099-B*

5NA77394

(continued)

01/31/2022

OMB No. 1545-0715

SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

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

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

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

Box 12: Basis Reported to the IRS

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

Date Sold or Disposed (Box 1c)	Quantity	Proceeds (Box 1d)	Date Acquired (Box 1b)	Cost or Other Basis (Box 1e)	Accrued Market Discount (M)(Box 1f) & Wash Sale Loss Disallowed (D)(Box 1g)	Gain or Loss(-)	Additional Notes
CALL AQMS 02/19/21 5 AQUA METALS INC CUSIP: Symbol(Box 1a): AQMS210219C00005000							
01/19/2021	2.00	109.82	01/19/2021	80.16	0.00	29.66	Sell to Close
01/19/2021	3.00	164.74	Various	110.24	0.00	54.50	Sell to Close
01/19/2021	4.00	199.66	Various	155.32	0.00	44.34	Sell to Close
01/19/2021	1.00	69.90	01/19/2021	40.08	0.00	29.82	Sell to Close
01/19/2021	1.00	49.90	01/19/2021	40.08	0.00	9.82	Sell to Close
Security Totals:		594.02		425.88		168.14	
NEXTDECADE CORPORATION COMMON STOCK CUSIP: 65342K105 Symbol(Box 1a): NEXT							
01/13/2021	164.00	359.49	01/13/2021	375.56	0.00	-16.07	Sale
01/13/2021	163.00	360.38	01/13/2021	373.27	0.00	-12.89	Sale
Security Totals:		719.87		748.83		-28.96	
CALL DPW 01/15/21 5 DPW HOLDINGS INC CUSIP: Symbol(Box 1a): DPW210115C00005000							
01/06/2021	1.00	25.90	01/06/2021	39.08	13.18 D	0.00	Sell to Close
01/06/2021	1.00	24.90	01/06/2021	39.08	14.18 D	0.00	Sell to Close
01/14/2021	2.00	209.82	Various	115.52	0.00	94.30	Sell to Close
Security Totals:		260.62		193.68		94.30	
***SOCIAL CAPITAL HEDOSOPHIA HOLDINGS CORP III CLASS A ORDINARY SHARES CUSIP: G8251K107 Symbol(Box 1a): IPOC							
01/05/2021	105.00	1,614.85	Various	1,776.99	162.14 D	0.00	Sale
01/05/2021	139.00	2,119.77	Various	2,239.93	120.16 D	0.00	Sale
01/06/2021	84.00	1,262.57	Various	1,407.99	145.42 D	0.00	Sale
01/07/2021	65.00	1,034.11	Various	1,136.40	102.29 D	0.00	Sale
01/07/2021	49.00	779.07	Various	859.93	44.60 D	-36.26	Sale
Security Totals:		6,810.37		7,421.24		-36.26	

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APEX CLEARING

Proceeds from Broker and Barter Exchange Transactions

2021 Form 1099-B*

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01/31/2022

OMB No. 1545-0715

SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

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RENOVARE ENVIRONMENTAL INC COMMON STOCK CUSIP: 09074B107 Symbol(Box 1a): BHTG							
01/21/2021	189.00	324.16	01/21/2021	296.73	0.00	27.43	Sale
ROBLOX CORPORATION CLASS A COMMON STOCK CUSIP: 771049103 Symbol(Box 1a): RBLX							
03/10/2021	8.00	567.26	03/10/2021	530.00	0.00	37.26	Sale
03/10/2021	11.00	776.03	Various	724.55	0.00	51.48	Sale
03/12/2021	2.00	142.36	03/10/2021	132.50	0.00	9.86	Sale
06/07/2021	1.00	94.42	03/10/2021	66.25	0.00	28.17	Sale
Security Totals:		1,580.07		1,453.30		126.77	
CALL FSR 02/26/21 22.50 FISHER INC CL A CUSIP: Symbol(Box 1a): FSR210226C00022500							
02/24/2021	1.00	212.90	02/24/2021	161.08	0.00	51.82	Sell to Close
GENIUS BRANDS INTERNATIONAL INC COMMON STOCK CUSIP: 37229T301 Symbol(Box 1a): GNUS							
01/27/2021	172.00	388.69	Various	491.76	80.98 D	-22.09	Sale
01/28/2021	88.00	246.40	01/28/2021	381.06	0.00	-134.66	Sale
Security Totals:		635.09		872.82		-156.75	
***ANTELOPE ENTERPRISE HOLDINGS LIMITED COMMON STOCK CUSIP: G041JN106 Symbol(Box 1a): AEHL							
01/07/2021	248.00	798.51	Various	944.62	52.12 D	-93.99	Sale
01/11/2021	86.00	233.90	Various	303.24	0.00	-69.34	Sale
Security Totals:		1,032.41		1,247.86		-163.33	
TESLA INC COMMON STOCK CUSIP: 88160R101 Symbol(Box 1a): TSLA							
01/28/2021	1.00	831.41	01/28/2021	833.00	1.59 D	0.00	Sale
01/29/2021	1.00	792.33	01/29/2021	788.88	0.00	3.45	Sale
02/01/2021	1.00	818.61	02/01/2021	820.50	1.89 D	0.00	Sale
02/24/2021	16.00	11,836.08	Various	11,912.29	76.21 D	0.00	Sale

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APEX CLEARING

Proceeds from Broker and Barter Exchange Transactions

2021 Form 1099-B*

5NA77394

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01/31/2022

OMB No. 1545-0715

SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

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Date Sold or Disposed (Box 1c)	Quantity	Proceeds (Box 1d)	Date Acquired (Box 1b)	Cost or Other Basis (Box 1e)	Accrued Market Discount (M)(Box 1f) & Wash Sale Loss Disallowed (D)(Box 1g)	Gain or Loss(-)	Additional Notes
TESLA INC COMMON STOCK CUSIP: 88160R101 Symbol(Box 1a): TSLA							
02/25/2021	6.00	4,211.84	02/25/2021	4,244.40	32.56 D	0.00	Sale
02/25/2021	7.00	4,902.13	Various	4,926.06	23.93 D	0.00	Sale
02/25/2021	9.00	6,282.85	Various	6,323.35	40.50 D	0.00	Sale
02/25/2021	12.00	8,430.92	Various	8,426.61	11.54 D	15.85	Sale
02/25/2021	18.00	12,637.00	Various	12,717.89	80.89 D	0.00	Sale
02/26/2021	1.00	671.39	02/26/2021	702.89	31.5 D	0.00	Sale
02/26/2021	5.00	3,489.07	Various	3,515.13	26.06 D	0.00	Sale
02/26/2021	19.00	13,229.53	Various	13,290.45	62.97 D	2.05	Sale
02/26/2021	20.00	13,819.05	Various	14,096.41	277.36 D	0.00	Sale
02/26/2021	22.00	15,028.33	Various	15,206.14	187.24 D	9.43	Sale
02/26/2021	34.00	23,130.41	Various	23,420.85	290.44 D	0.00	Sale
03/05/2021	1.00	562.58	03/05/2021	583.19	20.61 D	0.00	Sale
03/08/2021	2.00	1,142.86	03/08/2021	1,155.05	12.19 D	0.00	Sale
03/10/2021	1.00	672.50	03/10/2021	684.14	0.00	-11.64	Sale
03/10/2021	2.00	1,361.36	Various	1,386.04	0.00	-24.68	Sale
03/10/2021	2.00	1,359.76	Various	1,264.15	6.75 D	102.36	Sale
03/10/2021	3.00	2,044.14	03/10/2021	2,091.10	0.00	-46.96	Sale
03/10/2021	12.00	8,194.38	Various	8,293.96	24.28 D	-75.30	Sale
03/10/2021	13.00	8,864.12	Various	9,012.32	0.00	-148.20	Sale
04/05/2021	1.00	702.98	03/10/2021	684.13	0.00	18.85	Sale
04/21/2021	1.00	705.54	03/10/2021	684.79	0.00	20.75	Sale

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2021 Form 1099-B*

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01/31/2022

OMB No. 1545-0715

SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

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TESLA INC COMMON STOCK CUSIP: 88160R101 Symbol(Box 1a): TSLA							
05/06/2021	1.00	658.81	03/18/2021	657.26	0.00	1.55	Sale
06/29/2021	1.00	682.55	03/19/2021	634.98	0.00	47.57	Sale
07/06/2021	2.00	1,363.48	Various	1,252.89	0.00	110.59	Sale
07/16/2021	2.00	1,283.54	Various	1,187.28	0.00	96.26	Sale
Security Totals:		149,709.55		150,796.13		121.93	
CALL NNDM 02/19/21 17.50 NANO DIMENSION LTD ADS CUSIP: Symbol(Box 1a): NNDM210219C00017500							
01/25/2021	1.00	239.90	01/25/2021	260.08	0.00	-20.18	Sell to Close
01/25/2021	1.00	252.90	01/25/2021	260.08	0.00	-7.18	Sell to Close
Security Totals:		492.80		520.16		-27.36	
VERU INC COMMON STOCK CUSIP: 92536C103 Symbol(Box 1a): VERU							
02/04/2021	14.00	184.78	02/04/2021	191.94	4.6 D	-2.56	Sale
02/10/2021	9.00	176.02	02/09/2021	196.30	0.00	-20.28	Sale
Security Totals:		360.80		388.24		-22.84	
PUT GME 02/12/21 33 GAMESTOP CORP CUSIP: Symbol(Box 1a): GME210212P00033000							
01/22/2021	1.00	272.90	01/22/2021	325.08	0.00	-52.18	Sell to Close
HOTH THERAPEUTICS INC COMMON STOCK CUSIP: 44148G105 Symbol(Box 1a): HOTH							
02/24/2021	75.00	232.48	02/24/2021	250.12	0.00	-17.64	Sale
02/24/2021	223.00	735.86	02/24/2021	743.71	0.00	-7.85	Sale
Security Totals:		968.34		993.83		-25.49	
CALL CNET 01/15/21 3 ZW DATA ACTION TCHNLGS INC CUSIP: Symbol(Box 1a): CNET210115C00003000							
01/08/2021	1.00	129.90	01/07/2021	10.08	0.00	119.82	Sell to Close

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2021 Form 1099-B*

5NA77394

(continued)

01/31/2022

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SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

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CALL CNET 01/15/21 3 ZW DATA ACTION TCHNLGS INC CUSIP: Symbol(Box 1a): CNET210115C00003000							
01/08/2021	1.00	149.90	01/07/2021	10.08	0.00	139.82	Sell to Close
01/08/2021	4.00	351.66	Various	55.32	0.00	296.34	Sell to Close
Security Totals:		631.46		75.48		555.98	
AMERICAN RESOURCES CORPORATION CLASS A COMMON SHARES CUSIP: 02927U208 Symbol(Box 1a): AREC							
01/21/2021	145.00	415.40	01/21/2021	377.00	0.00	38.40	Sale
01/22/2021	699.00	2,117.84	Various	2,122.90	26.12 D	21.06	Sale
01/27/2021	49.00	127.38	01/22/2021	150.43	23.05 D	0.00	Sale
02/02/2021	39.00	132.97	02/02/2021	126.75	0.00	6.22	Sale
02/02/2021	56.00	220.62	02/02/2021	226.24	0.00	-5.62	Sale
02/02/2021	78.00	266.74	02/02/2021	253.50	0.00	13.24	Sale
02/02/2021	112.00	437.90	02/02/2021	391.79	0.00	46.11	Sale
02/02/2021	155.00	517.66	02/02/2021	503.75	0.00	13.91	Sale
02/02/2021	182.00	633.32	Various	653.81	29.45 D	8.96	Sale
02/02/2021	223.00	747.00	02/02/2021	780.08	33.08 D	0.00	Sale
02/02/2021	447.00	1,568.88	Various	1,573.50	6.98 D	2.36	Sale
02/02/2021	552.00	2,246.52	Various	2,321.43	0.00	-74.91	Sale
02/02/2021	1,126.00	4,449.47	Various	4,557.86	131.50 D	23.11	Sale
02/05/2021	64.00	394.22	02/05/2021	414.52	0.00	-20.30	Sale
02/05/2021	64.00	383.34	Various	404.25	0.00	-20.91	Sale
02/08/2021	57.00	364.27	02/08/2021	370.98	0.00	-6.71	Sale

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2021 Form 1099-B*

5NA77394

(continued)

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AMERICAN RESOURCES CORPORATION CLASS A COMMON SHARES CUSIP: 02927U208 Symbol(Box 1a): AREC							
02/09/2021	20.00	155.38	02/08/2021	130.17	0.00	25.21	Sale
Security Totals:		15,178.91		15,358.96		70.13	
***ITERUM THERAPEUTICS PLC ORDINARY SHARE CUSIP: G6333L101 Symbol(Box 1a): ITRM							
01/20/2021	514.00	1,017.63	01/20/2021	981.82	0.00	35.81	Sale
01/20/2021	1,689.00	3,259.49	Various	3,209.95	0.00	49.54	Sale
01/20/2021	1,690.00	3,261.42	01/20/2021	3,227.90	0.00	33.52	Sale
01/20/2021	1,691.00	3,297.17	01/20/2021	3,230.09	0.00	67.08	Sale
01/20/2021	5,110.00	9,861.47	Various	9,920.28	58.81 D	0.00	Sale
01/21/2021	128.00	243.17	01/21/2021	249.62	6.45 D	0.00	Sale
02/08/2021	132.00	285.09	02/08/2021	250.82	0.00	34.27	Sale
02/09/2021	100.00	219.98	02/08/2021	190.02	0.00	29.96	Sale
02/09/2021	33.00	74.56	02/08/2021	62.70	0.00	11.86	Sale
02/10/2021	386.00	1,007.38	Various	1,081.77	0.00	-74.39	Sale
02/10/2021	465.00	1,208.91	Various	1,280.70	71.79 D	0.00	Sale
02/10/2021	606.00	1,484.83	Various	1,555.54	70.71 D	0.00	Sale
02/10/2021	1,157.00	3,123.69	Various	3,182.03	45.49 D	-12.85	Sale
02/10/2021	1,385.00	3,519.66	Various	3,512.08	28.2 D	35.78	Sale
02/10/2021	1,395.00	3,752.29	Various	3,741.50	18.81 D	29.60	Sale
02/11/2021	100.00	233.98	02/11/2021	267.95	0.00	-33.97	Sale
02/17/2021	68.00	152.37	Various	160.18	0.00	-7.81	Sale

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

Date Sold or Disposed (Box 1c)	Quantity	Proceeds (Box 1d)	Date Acquired (Box 1b)	Cost or Other Basis (Box 1e)	Accrued Market Discount (M)(Box 1f) & Wash Sale Loss Disallowed (D)(Box 1g)	Gain or Loss(-)	Additional Notes
***ITERUM THERAPEUTICS PLC ORDINARY SHARE CUSIP: G6333L101 Symbol(Box 1a): ITRM							
02/17/2021	50.00	101.48	02/11/2021	133.97	0.00	-32.49	Sale
02/17/2021	137.00	298.63	Various	336.66	0.00	-38.03	Sale
02/22/2021	82.00	170.70	Various	190.44	0.00	-19.74	Sale
02/23/2021	82.00	125.44	02/18/2021	179.48	0.00	-54.04	Sale
03/03/2021	53.00	83.78	Various	101.96	0.00	-18.18	Sale
06/29/2021	6.00	14.21	02/25/2021	11.39	0.00	2.82	Sale
07/22/2021	48.00	60.94	02/25/2021	91.14	0.00	-30.20	Sale
Security Totals:		36,858.27		37,149.99		8.54	
CM LIFE SCIENCES INC CLASS A COMMON STOCK CUSIP: 18978W109 Symbol(Box 1a): CMLF							
02/19/2021	7.00	162.10	02/12/2021	189.35	27.25 D	0.00	Sale
02/22/2021	8.00	183.98	Various	227.09	43.11 D	0.00	Sale
02/22/2021	8.00	183.98	Various	235.03	0.00	-51.05	Sale
Security Totals:		530.06		651.47		-51.05	
PUT PLTR 02/19/21 22.50 PALANTIR TECHNOLOGIES INC CL A CUSIP: Symbol(Box 1a): PLTR210219P00022500							
02/19/2021	4.00	0.00	02/18/2021	60.32	0.00	-60.32	Expiration
CALL SLV 02/05/21 28 ISHARES SILVER SHARES CUSIP: Symbol(Box 1a): SLV210205C00028000							
02/02/2021	1.00	13.90	02/01/2021	130.08	0.00	-116.18	Sell to Close
CALL NXTD 03/19/21 7.50 NXT ID INC CUSIP: Symbol(Box 1a): NXTD210319C00007500							
02/17/2021	1.00	59.90	02/17/2021	30.08	0.00	29.82	Sell to Close
02/17/2021	2.00	99.82	02/17/2021	60.16	0.00	39.66	Sell to Close
Security Totals:		159.72		90.24		69.48	

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APEX CLEARING

Proceeds from Broker and Barter Exchange Transactions

2021 Form 1099-B*

5NA77394

(continued)

01/31/2022

OMB No. 1545-0715

SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

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

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

Box 5: Box Not Checked (Covered Security)

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

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CALL IPOE 02/19/21 35 SOCIAL CPTL HEDOSOPHIA HLDNGS CUSIP: Symbol(Box 1a): IPOE210219C00035000							
01/29/2021	1.00	249.90	01/29/2021	265.08	0.00	-15.18	Sell to Close
CHURCHILL CAPITAL CORP IV CLASS A COMMON STOCK CUSIP: 171439102 Symbol(Box 1a): CCIV							
01/11/2021	20.00	286.58	01/11/2021	247.80	0.00	38.78	Sale
01/11/2021	41.00	510.06	01/11/2021	507.99	0.00	2.07	Sale
01/12/2021	21.00	313.93	01/11/2021	260.19	0.00	53.74	Sale
01/13/2021	74.00	1,312.72	Various	1,252.54	0.00	60.18	Sale
01/14/2021	55.00	970.58	01/13/2021	951.49	0.00	19.09	Sale
01/15/2021	9.00	163.34	Various	178.78	15.44 D	0.00	Sale
01/15/2021	9.00	159.73	01/13/2021	155.70	0.00	4.03	Sale
01/15/2021	9.00	162.27	Various	181.94	19.67 D	0.00	Sale
01/15/2021	10.00	189.40	01/15/2021	200.60	11.2 D	0.00	Sale
01/15/2021	18.00	345.08	Various	363.25	18.17 D	0.00	Sale
01/15/2021	20.00	401.42	Various	358.19	0.00	43.23	Sale
01/15/2021	50.00	980.75	Various	874.20	0.00	106.55	Sale
01/15/2021	200.00	3,775.89	Various	3,832.85	56.96 D	0.00	Sale
01/19/2021	5.00	91.48	01/15/2021	100.64	9.16 D	0.00	Sale
01/19/2021	5.00	88.08	Various	104.06	15.98 D	0.00	Sale
01/22/2021	33.00	727.62	Various	728.46	1.15 D	0.31	Sale
01/22/2021	70.00	1,397.15	Various	1,363.16	3.53 D	37.52	Sale
01/22/2021	134.00	2,953.30	Various	2,989.36	54.79 D	18.73	Sale
01/25/2021	4.00	101.02	01/25/2021	149.47	48.45 D	0.00	Sale

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APEX CLEARING

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2021 Form 1099-B*

5NA77394

(continued)

01/31/2022

OMB No. 1545-0715

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

Date Sold or Disposed (Box 1c)	Quantity	Proceeds (Box 1d)	Date Acquired (Box 1b)	Cost or Other Basis (Box 1e)	Accrued Market Discount (M)(Box 1f) & Wash Sale Loss Disallowed (D)(Box 1g)	Gain or Loss(-)	Additional Notes
CHURCHILL CAPITAL CORP IV CLASS A COMMON STOCK CUSIP: 171439102 Symbol(Box 1a): CCIV							
01/25/2021	16.00	462.37	01/25/2021	597.86	135.49 D	0.00	Sale
01/25/2021	8.00	226.62	01/25/2021	298.93	72.31 D	0.00	Sale
01/25/2021	44.00	1,256.60	Various	1,792.11	535.51 D	0.00	Sale
01/25/2021	94.00	2,913.92	Various	3,601.15	687.23 D	0.00	Sale
01/25/2021	174.00	4,854.47	Various	5,826.60	1042.45 D	70.32	Sale
01/27/2021	4.00	91.38	01/25/2021	149.46	58.08 D	0.00	Sale
01/28/2021	23.00	513.10	01/28/2021	526.93	13.83 D	0.00	Sale
01/28/2021	24.00	538.77	01/28/2021	549.84	11.07 D	0.00	Sale
01/28/2021	43.00	942.09	Various	1,521.85	579.76 D	0.00	Sale
01/28/2021	69.00	1,477.09	Various	1,960.68	483.59 D	0.00	Sale
01/28/2021	140.00	3,117.71	01/28/2021	3,207.40	89.69 D	0.00	Sale
01/28/2021	187.00	4,262.99	Various	5,711.37	1448.38 D	0.00	Sale
01/29/2021	11.00	235.41	Various	320.25	84.84 D	0.00	Sale
02/01/2021	15.00	355.18	Various	545.37	190.19 D	0.00	Sale
02/01/2021	84.00	2,025.18	02/01/2021	2,152.26	127.08 D	0.00	Sale
02/01/2021	84.00	1,973.94	Various	2,350.39	376.45 D	0.00	Sale
02/01/2021	114.00	2,835.69	Various	3,310.95	484.98 D	9.72	Sale
02/01/2021	78.00	1,968.66	Various	2,504.66	536.00 D	0.00	Sale
02/02/2021	18.00	556.79	02/02/2021	611.33	54.54 D	0.00	Sale
02/02/2021	21.00	584.19	Various	690.33	106.14 D	0.00	Sale
02/02/2021	24.00	749.01	Various	801.08	52.07 D	0.00	Sale
02/02/2021	75.00	2,518.67	Various	2,914.46	395.79 D	0.00	Sale

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APEX CLEARING

Proceeds from Broker and Barter Exchange Transactions

2021 Form 1099-B*

5NA77394

(continued)

01/31/2022

OMB No. 1545-0715

SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

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

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

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

Date Sold or Disposed (Box 1c)	Quantity	Proceeds (Box 1d)	Date Acquired (Box 1b)	Cost or Other Basis (Box 1e)	Accrued Market Discount (M)(Box 1f) & Wash Sale Loss Disallowed (D)(Box 1g)	Gain or Loss(-)	Additional Notes
CHURCHILL CAPITAL CORP IV CLASS A COMMON STOCK CUSIP: 171439102 Symbol(Box 1a): CCIV							
02/02/2021	146.00	4,613.47	Various	5,081.07	467.60 D	0.00	Sale
02/02/2021	164.00	5,413.50	Various	6,761.41	1347.91 D	0.00	Sale
02/03/2021	4.00	133.20	02/02/2021	134.56	1.36 D	0.00	Sale
02/03/2021	8.00	245.19	02/02/2021	277.59	32.4 D	0.00	Sale
02/03/2021	14.00	393.30	Various	455.77	62.47 D	0.00	Sale
02/03/2021	47.00	1,432.98	Various	1,520.00	89.20 D	2.18	Sale
02/03/2021	48.00	1,435.63	Various	1,847.59	411.96 D	0.00	Sale
02/03/2021	95.00	2,825.22	Various	3,102.88	277.66 D	0.00	Sale
02/10/2021	9.00	279.61	Various	425.13	145.52 D	0.00	Sale
02/12/2021	9.00	309.13	Various	412.92	103.79 D	0.00	Sale
02/12/2021	29.00	1,153.00	02/12/2021	1,232.94	79.94 D	0.00	Sale
02/12/2021	31.00	1,170.83	Various	1,327.57	156.74 D	0.00	Sale
02/12/2021	15.00	598.65	02/12/2021	637.73	39.08 D	0.00	Sale
02/12/2021	62.00	2,545.25	Various	2,720.29	175.04 D	0.00	Sale
02/12/2021	31.00	1,251.37	Various	1,405.15	153.97 D	0.19	Sale
02/12/2021	63.00	2,526.23	Various	2,972.15	445.92 D	0.00	Sale
02/16/2021	6.00	301.48	02/16/2021	324.04	22.56 D	0.00	Sale
02/16/2021	15.00	764.97	Various	641.62	0.00	123.35	Sale
02/16/2021	17.00	823.45	Various	747.00	11.13 D	87.58	Sale
02/16/2021	4.00	205.42	Various	219.63	14.21 D	0.00	Sale
02/16/2021	7.00	352.83	Various	389.45	36.62 D	0.00	Sale
02/16/2021	19.00	978.27	Various	1,003.81	25.54 D	0.00	Sale
02/17/2021	4.00	213.66	02/16/2021	222.97	9.31 D	0.00	Sale

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Proceeds from Broker and Barter Exchange Transactions

2021 Form 1099-B*

5NA77394

(continued)

01/31/2022

OMB No. 1545-0715

SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

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

Date Sold or Disposed (Box 1c)	Quantity	Proceeds (Box 1d)	Date Acquired (Box 1b)	Cost or Other Basis (Box 1e)	Accrued Market Discount (M)(Box 1f) & Wash Sale Loss Disallowed (D)(Box 1g)	Gain or Loss(-)	Additional Notes
CHURCHILL CAPITAL CORP IV CLASS A COMMON STOCK CUSIP: 171439102 Symbol(Box 1a): CCIV							
02/18/2021	4.00	239.50	02/16/2021	222.97	0.00	16.53	Sale
02/19/2021	6.00	359.34	02/18/2021	375.68	16.34 D	0.00	Sale
02/22/2021	8.00	378.22	Various	550.41	172.19 D	0.00	Sale
02/22/2021	13.00	653.87	Various	689.39	35.52 D	0.00	Sale
02/22/2021	15.00	847.47	Various	1,069.12	221.65 D	0.00	Sale
02/22/2021	22.00	984.46	Various	1,046.96	62.50 D	0.00	Sale
02/22/2021	30.00	1,450.85	Various	1,778.91	328.06 D	0.00	Sale
02/22/2021	121.00	5,916.75	Various	6,255.51	342.83 D	4.07	Sale
02/22/2021	154.00	8,183.27	Various	9,895.80	1712.53 D	0.00	Sale
02/23/2021	1.00	39.28	02/22/2021	67.78	28.5 D	0.00	Sale
02/23/2021	2.00	81.08	02/22/2021	135.55	54.47 D	0.00	Sale
02/25/2021	7.00	200.04	Various	304.82	104.78 D	0.00	Sale
02/26/2021	9.00	277.45	Various	410.19	132.74 D	0.00	Sale
02/26/2021	32.00	948.14	Various	1,359.49	411.35 D	0.00	Sale
02/26/2021	155.00	4,615.85	Various	6,137.16	8.66 D	-1,512.65	Sale
02/26/2021	155.00	4,615.85	Various	5,437.47	0.00	-821.62	Sale
07/06/2021	2.00	54.90	03/09/2021	56.54	0.00	-1.64	Sale
07/19/2021	2.00	42.52	03/09/2021	61.71	0.00	-19.19	Sale
Security Totals:		109,245.71		126,464.66		-1,656.93	
JANONE INC COMMON STOCK CUSIP: 47089W104 Symbol(Box 1a): JAN							
01/27/2021	18.00	143.98	01/27/2021	153.85	0.55 D	-9.32	Sale
01/27/2021	17.00	170.32	01/27/2021	145.31	0.00	25.01	Sale

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2021 Form 1099-B*

5NA77394

(continued)

01/31/2022

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JANONE INC COMMON STOCK CUSIP: 47089W104 Symbol(Box 1a): JAN							
01/28/2021	9.00	155.14	Various	196.87	0.00	-41.73	Sale
01/28/2021	14.00	268.04	Various	296.45	0.00	-28.41	Sale
Security Totals:		737.48		792.48		-54.45	
CALL SOLO 02/19/21 10 ELECTROMECCANICA VEHICLES CORP CUSIP: Symbol(Box 1a): SOLO210219C00010000							
01/14/2021	1.00	95.90	01/12/2021	115.08	19.18 D	0.00	Sell to Close
01/15/2021	1.00	96.90	01/12/2021	156.26	0.00	-59.36	Sell to Close
Security Totals:		192.80		271.34		-59.36	
EXELA TECHNOLOGIES INC COMMON STOCK CUSIP: 30162V102 Symbol(Box 1a): XELA							
01/13/2021	210.00	174.77	01/13/2021	199.50	0.00	-24.73	Sale
AIR INDUSTRIES GROUP CUSIP: 00912N205 Symbol(Box 1a): AIRI							
01/12/2021	138.00	277.35	01/12/2021	209.76	0.00	67.59	Sale
01/12/2021	139.00	207.08	01/12/2021	211.28	4.2 D	0.00	Sale
01/12/2021	277.00	493.01	01/12/2021	421.04	0.00	71.97	Sale
01/13/2021	207.00	335.31	Various	370.59	0.00	-35.28	Sale
Security Totals:		1,312.75		1,212.67		104.28	
PUT RKT 03/05/21 32 ROCKET COMPANIES INC CL A CUSIP: Symbol(Box 1a): RKT210305P00032000							
03/02/2021	1.00	235.90	03/02/2021	268.08	0.00	-32.18	Sell to Close
CALL HEXO 02/19/21 7 HEXO CORPORATION CUSIP: Symbol(Box 1a): HEXO210219C00007000							
01/27/2021	1.00	53.90	01/26/2021	84.08	0.00	-30.18	Sell to Close
***ARCLIGHT CLEAN TRANSITION CORP CLASS A ORDINARY SHARES CUSIP: G04561109 Symbol(Box 1a): ACTC							
01/12/2021	10.00	209.56	01/12/2021	191.80	0.00	17.76	Sale

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2021 Form 1099-B*

5NA77394

(continued)

01/31/2022

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SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

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***ARCLIGHT CLEAN TRANSITION CORP CLASS A ORDINARY SHARES CUSIP: G04561109 Symbol(Box 1a): ACTC							
01/12/2021	10.00	210.48	01/12/2021	191.80	0.00	18.68	Sale
01/12/2021	59.00	1,119.78	01/12/2021	1,131.62	0.00	-11.84	Sale
Security Totals:		1,539.82		1,515.22		24.60	
CALL SOLO 02/19/21 9 ELECTRAMECANICA VEHICLES CORP CUSIP: Symbol(Box 1a): SOLO210219C00009000							
01/25/2021	2.00	253.82	01/21/2021	192.16	0.00	61.66	Sell to Close
01/25/2021	1.00	121.90	01/21/2021	96.08	0.00	25.82	Sell to Close
Security Totals:		375.72		288.24		87.48	
CALL SOLO 02/19/21 7 ELECTRAMECANICA VEHICLES CORP CUSIP: Symbol(Box 1a): SOLO210219C00007000							
01/12/2021	1.00	237.90	01/08/2021	132.08	0.00	105.82	Sell to Close
01/12/2021	1.00	229.90	01/07/2021	125.08	0.00	104.82	Sell to Close
Security Totals:		467.80		257.16		210.64	
PUT TLRY 02/12/21 45 TILRAY INC CUSIP: Symbol(Box 1a): TLR210212P00045000							
02/10/2021	1.00	240.90	02/10/2021	265.08	0.00	-24.18	Sell to Close
PUT TLRY 02/12/21 55 TILRAY INC CUSIP: Symbol(Box 1a): TLR210212P00055000							
02/11/2021	1.00	894.89	02/10/2021	498.08	0.00	396.81	Sell to Close
CALL NIO 01/15/21 55 NIO INC ADS CUSIP: Symbol(Box 1a): NIO210115C00055000							
01/04/2021	1.00	381.90	12/31/2020	315.08	0.00	66.82	Sell to Close
ACCURAY INCORPORATED CUSIP: 004397105 Symbol(Box 1a): ARAY							
01/19/2021	37.00	176.17	01/19/2021	198.69	0.00	-22.52	Sale
CELSION CORPORATION COMMON STOCK CUSIP: 15117N503 Symbol(Box 1a): CLSN							
02/11/2021	68.00	233.22	02/11/2021	246.84	13.62 D	0.00	Sale

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APEX CLEARING

Proceeds from Broker and Barter Exchange Transactions

2021 Form 1099-B*

5NA77394

(continued)

01/31/2022

OMB No. 1545-0715

SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

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

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

Box 5: Box Not Checked (Covered Security)

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

Box 12: Basis Reported to the IRS

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

Date Sold or Disposed (Box 1c)	Quantity	Proceeds (Box 1d)	Date Acquired (Box 1b)	Cost or Other Basis (Box 1e)	Accrued Market Discount (M)(Box 1f) & Wash Sale Loss Disallowed (D)(Box 1g)	Gain or Loss(-)	Additional Notes
CELSION CORPORATION COMMON STOCK CUSIP: 15117N503 Symbol(Box 1a): CLSN							
02/11/2021	69.00	225.61	02/11/2021	250.47	24.86 D	0.00	Sale
02/11/2021	497.00	1,608.18	02/11/2021	1,446.27	0.00	161.91	Sale
02/11/2021	497.00	1,550.54	02/11/2021	1,446.27	0.00	104.27	Sale
02/12/2021	70.00	189.68	Various	211.04	21.36 D	0.00	Sale
02/12/2021	146.00	375.19	02/12/2021	401.50	0.00	-26.31	Sale
02/12/2021	436.00	1,190.20	Various	1,244.50	49.84 D	-4.46	Sale
02/22/2021	33.00	105.25	02/22/2021	109.26	0.00	-4.01	Sale
02/22/2021	33.00	92.09	02/22/2021	109.25	0.00	-17.16	Sale
02/22/2021	68.00	189.02	Various	223.01	0.00	-33.99	Sale
02/23/2021	60.00	142.18	Various	148.83	0.00	-6.65	Sale
02/24/2021	21.00	49.33	02/23/2021	51.67	0.00	-2.34	Sale
Security Totals:		5,950.49		5,888.91		171.26	
ACER THERAPEUTICS INC COMMON STOCK CUSIP: 00444P108 Symbol(Box 1a): ACER							
01/15/2021	117.00	491.37	01/15/2021	504.29	0.00	-12.92	Sale
01/15/2021	710.00	2,839.85	01/15/2021	2,875.50	5.87 D	-29.78	Sale
Security Totals:		3,331.22		3,379.79		-42.70	
CALL AMC 02/05/21 3.50 AMC ENTERTAINMENT HOLDINGS INC CUSIP: Symbol(Box 1a): AMC210205C00003500							
01/22/2021	2.00	143.82	01/22/2021	110.16	0.00	33.66	Sell to Close
01/22/2021	1.00	73.90	01/22/2021	55.08	0.00	18.82	Sell to Close
Security Totals:		217.72		165.24		52.48	

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APEX CLEARING

Proceeds from Broker and Barter Exchange Transactions

2021 Form 1099-B*

5NA77394

(continued)

01/31/2022

OMB No. 1545-0715

SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

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

Date Sold or Disposed (Box 1c)	Quantity	Proceeds (Box 1d)	Date Acquired (Box 1b)	Cost or Other Basis (Box 1e)	Accrued Market Discount (M)(Box 1f) & Wash Sale Loss Disallowed (D)(Box 1g)	Gain or Loss(-)	Additional Notes
CALL AMC 02/26/21 7 AMC ENTERTAINMENT HOLDINGS INC CUSIP: Symbol(Box 1a): AMC210226C00007000							
02/22/2021	2.00	95.82	02/22/2021	116.16	0.00	-20.34	Sell to Close
FOREST ROAD ACQUISITION CORP CLASS A COMMON STOCK CUSIP: 34619R102 Symbol(Box 1a): FRX							
02/11/2021	8.00	98.14	02/11/2021	95.44	0.00	2.70	Sale
02/22/2021	12.00	194.86	02/19/2021	188.64	0.00	6.22	Sale
02/23/2021	15.00	214.48	02/23/2021	208.50	0.00	5.98	Sale
02/24/2021	6.00	81.70	02/23/2021	83.40	0.00	-1.70	Sale
Security Totals:		589.18		575.98		13.20	
BROADWAY FINANCIAL CORP-DEL CUSIP: 111444105 Symbol(Box 1a): BYFC							
01/08/2021	200.00	401.97	01/08/2021	412.00	0.00	-10.03	Sale
03/02/2021	160.00	326.37	03/02/2021	348.62	0.00	-22.25	Sale
Security Totals:		728.34		760.62		-32.28	
DIGITAL ALLY INC COM CUSIP: 25382P208 Symbol(Box 1a): DGLY							
01/04/2021	198.00	508.82	Various	500.49	0.00	8.33	Sale
01/04/2021	99.00	256.39	Various	245.18	0.00	11.21	Sale
01/05/2021	267.00	686.14	Various	672.41	0.00	13.73	Sale
01/06/2021	175.00	673.71	01/06/2021	542.50	0.00	131.21	Sale
01/06/2021	349.00	1,159.38	Various	1,088.40	0.00	70.98	Sale
01/06/2021	465.00	1,558.16	Various	1,263.60	0.00	294.56	Sale
01/06/2021	595.00	1,909.83	Various	2,040.10	149.48 D	19.21	Sale
01/06/2021	699.00	2,306.56	01/06/2021	2,236.80	0.00	69.76	Sale
01/20/2021	297.00	792.93	Various	855.19	0.00	-62.26	Sale

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Proceeds from Broker and Barter Exchange Transactions

2021 Form 1099-B*

5NA77394

(continued)

01/31/2022

OMB No. 1545-0715

SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

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

Date Sold or Disposed (Box 1c)	Quantity	Proceeds (Box 1d)	Date Acquired (Box 1b)	Cost or Other Basis (Box 1e)	Accrued Market Discount (M)(Box 1f) & Wash Sale Loss Disallowed (D)(Box 1g)	Gain or Loss(-)	Additional Notes
DIGITAL ALLY INC COM CUSIP: 25382P208 Symbol(Box 1a): DGLY							
01/20/2021	327.00	896.64	Various	1,122.07	225.43 D	0.00	Sale
01/20/2021	889.00	2,400.13	Various	2,693.45	293.32 D	0.00	Sale
01/20/2021	951.00	2,624.59	Various	2,955.43	81.56 D	-249.28	Sale
01/27/2021	73.00	219.71	01/26/2021	279.39	0.00	-59.68	Sale
Security Totals:		15,992.99		16,495.01		247.77	
CALL GUSH 03/19/21 65 DIREXION DLY S&P OIL & GAS EXP CUSIP: Symbol(Box 1a): GUSH210319C00065000							
01/05/2021	1.00	279.90	12/23/2020	210.08	0.00	69.82	Sell to Close
CALL SOLO 03/05/21 10 ELECTROMECCANICA VEHICLES CORP CUSIP: Symbol(Box 1a): SOLO210305C00010000							
02/16/2021	1.00	52.90	02/08/2021	120.08	67.18 D	0.00	Sell to Close
02/22/2021	2.00	11.82	Various	255.34	114.17 D	-129.35	Sell to Close
03/05/2021	1.00	0.00	02/16/2021	168.25	0.00	-168.25	Expiration
Security Totals:		64.72		543.67		-297.60	
***OXBRIDGE RE HOLDINGS LIMITED CUSIP: G6856M106 Symbol(Box 1a): OXBR							
01/06/2021	172.00	435.13	Various	349.17	0.00	85.96	Sale
01/19/2021	925.00	2,515.83	01/19/2021	2,543.75	27.92 D	0.00	Sale
01/26/2021	554.00	2,492.87	01/26/2021	2,376.76	0.00	116.11	Sale
01/27/2021	44.00	178.18	01/27/2021	227.34	0.00	-49.16	Sale
01/27/2021	44.00	229.22	Various	227.74	0.00	1.48	Sale
01/27/2021	155.00	778.06	01/27/2021	780.68	2.23 D	-0.39	Sale
01/27/2021	261.00	1,345.59	Various	1,333.64	0.00	11.95	Sale
01/27/2021	507.00	2,298.42	01/27/2021	2,332.20	33.78 D	0.00	Sale

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APEX CLEARING

Proceeds from Broker and Barter Exchange Transactions

2021 Form 1099-B*

5NA77394

(continued)

01/31/2022

OMB No. 1545-0715

SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

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

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

Date Sold or Disposed (Box 1c)	Quantity	Proceeds (Box 1d)	Date Acquired (Box 1b)	Cost or Other Basis (Box 1e)	Accrued Market Discount (M)(Box 1f) & Wash Sale Loss Disallowed (D)(Box 1g)	Gain or Loss(-)	Additional Notes
***OXBRIDGE RE HOLDINGS LIMITED CUSIP: G6856M106 Symbol(Box 1a): OXBR							
01/27/2021	929.00	4,692.09	Various	4,595.43	0.00	96.66	Sale
01/27/2021	676.00	3,085.13	Various	3,120.80	35.67 D	0.00	Sale
02/09/2021	52.00	182.56	02/09/2021	200.56	0.00	-18.00	Sale
Security Totals:		18,233.08		18,088.07		244.61	
CALL NNDM 02/19/21 15 NANO DIMENSION LTD ADS CUSIP: Symbol(Box 1a): NNDM210219C00015000							
01/22/2021	1.00	181.90	01/22/2021	142.08	0.00	39.82	Sell to Close
01/22/2021	1.00	167.90	01/22/2021	142.08	0.00	25.82	Sell to Close
Security Totals:		349.80		284.16		65.64	
ZOSANO PHARMA CORPORATION COMMON STOCK CUSIP: 98979H202 Symbol(Box 1a): ZSAN							
02/09/2021	296.00	562.34	Various	622.18	34.82 D	-25.02	Sale
02/09/2021	122.00	245.33	Various	275.52	27.17 D	-3.02	Sale
02/09/2021	672.00	1,277.16	Various	1,347.20	84.22 D	14.18	Sale
02/09/2021	673.00	1,251.67	Various	1,293.12	52.96 D	11.51	Sale
02/10/2021	311.00	538.31	Various	640.64	0.00	-102.33	Sale
02/24/2021	75.00	97.48	02/24/2021	118.28	0.00	-20.80	Sale
02/24/2021	75.00	101.98	Various	115.56	0.00	-13.58	Sale
Security Totals:		4,074.27		4,412.50		-139.06	
DIGITAL TURBINE INC COM NEW CUSIP: 25400W102 Symbol(Box 1a): APPS							
01/13/2021	9.00	523.41	01/13/2021	531.92	0.00	-8.51	Sale
01/14/2021	5.00	298.23	01/13/2021	295.52	0.00	2.71	Sale
01/15/2021	5.00	297.55	01/13/2021	295.51	0.00	2.04	Sale
Security Totals:		1,119.19		1,122.95		-3.76	

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2021 Form 1099-B*

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(continued)

01/31/2022

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SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

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CALL IDEX 01/15/21 2.50 IDEANOMICS INC CUSIP: Symbol(Box 1a): IDEX210115C00002500							
01/06/2021	1.00	26.90	01/06/2021	34.08	7.18 D	0.00	Sell to Close
01/06/2021	3.00	50.74	01/06/2021	102.24	51.5 D	0.00	Sell to Close
01/07/2021	2.00	111.82	Various	80.34	0.00	31.48	Sell to Close
01/08/2021	1.00	60.90	01/07/2021	56.24	0.00	4.66	Sell to Close
01/08/2021	1.00	94.90	01/07/2021	56.25	0.00	38.65	Sell to Close
01/08/2021	1.00	93.90	01/07/2021	56.25	0.00	37.65	Sell to Close
Security Totals:		439.16		385.40		112.44	
***AURORA CANNABIS INC COM NEW CUSIP: 05156X884 Symbol(Box 1a): ACB							
02/02/2021	19.00	248.50	02/02/2021	239.57	0.00	8.93	Sale
02/03/2021	23.00	305.22	02/03/2021	314.41	9.19 D	0.00	Sale
02/03/2021	24.00	328.78	02/03/2021	328.08	0.00	0.70	Sale
02/03/2021	46.00	626.49	Various	607.60	1.32 D	20.21	Sale
02/10/2021	14.00	238.00	02/10/2021	249.88	11.88 D	0.00	Sale
02/10/2021	27.00	476.25	Various	490.02	13.77 D	0.00	Sale
02/11/2021	1.00	19.48	02/11/2021	21.48	0.00	-2.00	Sale
02/11/2021	11.00	206.23	02/11/2021	236.28	0.00	-30.05	Sale
02/11/2021	34.00	718.39	02/11/2021	730.32	0.00	-11.93	Sale
02/11/2021	45.00	967.46	02/11/2021	966.60	0.00	0.86	Sale

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2021 Form 1099-B*

5NA77394

(continued)

01/31/2022

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SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

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***AURORA CANNABIS INC COM NEW CUSIP: 05156X884 Symbol(Box 1a): ACB							
02/11/2021	91.00	1,968.27	Various	1,927.09	0.00	41.18	Sale
06/07/2021	5.00	49.11	03/24/2021	46.74	0.00	2.37	Sale
07/06/2021	8.00	69.02	Various	73.35	0.00	-4.33	Sale
07/19/2021	8.00	53.98	03/25/2021	70.96	0.00	-16.98	Sale
Security Totals:		6,275.18		6,302.38		8.96	
CALL SOLO 02/05/21 9 ELECTRAMECANICA VEHICLES CORP CUSIP: Symbol(Box 1a): SOLO210205C00009000							
02/04/2021	1.00	36.90	02/04/2021	59.08	0.00	-22.18	Sell to Close
02/04/2021	1.00	60.90	02/04/2021	59.08	0.00	1.82	Sell to Close
02/04/2021	1.00	62.90	02/04/2021	59.08	0.00	3.82	Sell to Close
Security Totals:		160.70		177.24		-16.54	
***POLYMET MNG CORP COM NEW CUSIP: 731916409 Symbol(Box 1a): PLM							
01/19/2021	68.00	263.39	01/19/2021	258.14	0.00	5.25	Sale
01/19/2021	643.00	2,417.54	Various	2,431.02	0.00	-13.48	Sale
Security Totals:		2,680.93		2,689.16		-8.23	
***SUNDIAL GROWERS INC COM CUSIP: 86730L109 Symbol(Box 1a): SNDL							
01/04/2021	2,018.00	1,085.41	Various	1,411.49	327.47 D	1.39	Sale
01/05/2021	378.00	215.18	01/04/2021	213.99	0.00	1.19	Sale
01/05/2021	63.00	34.12	01/04/2021	35.67	1.55 D	0.00	Sale
01/05/2021	1,514.00	761.80	Various	868.36	106.56 D	0.00	Sale
01/07/2021	540.00	365.56	Various	400.89	42.43 D	7.10	Sale
01/11/2021	415.00	305.88	Various	380.03	74.15 D	0.00	Sale
01/15/2021	360.00	258.75	Various	315.70	60.11 D	3.16	Sale

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2021 Form 1099-B*

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***SUNDIAL GROWERS INC COM CUSIP: 86730L109 Symbol(Box 1a): SNDL							
01/15/2021	361.00	248.68	Various	341.77	93.09 D	0.00	Sale
01/27/2021	524.00	446.01	Various	463.93	48.17 D	30.25	Sale
01/27/2021	571.00	342.52	Various	515.12	172.60 D	0.00	Sale
01/27/2021	699.00	545.40	Various	739.01	193.61 D	0.00	Sale
01/27/2021	1,040.00	561.88	Various	635.42	73.54 D	0.00	Sale
01/27/2021	1,031.00	712.28	Various	847.89	135.61 D	0.00	Sale
01/27/2021	1,668.00	864.20	Various	1,423.23	559.03 D	0.00	Sale
01/27/2021	1,758.00	1,073.19	Various	1,513.97	440.78 D	0.00	Sale
01/27/2021	3,117.00	1,682.46	Various	2,523.84	841.38 D	0.00	Sale
01/28/2021	298.00	296.46	Various	278.25	0.00	18.21	Sale
01/28/2021	409.00	494.82	Various	577.75	82.93 D	0.00	Sale
01/28/2021	423.00	388.59	Various	664.18	275.59 D	0.00	Sale
01/28/2021	439.00	384.07	Various	425.86	44.42 D	2.63	Sale
01/28/2021	502.00	409.56	Various	379.64	0.00	29.92	Sale
01/28/2021	625.00	624.29	Various	719.16	114.34 D	19.47	Sale
01/28/2021	754.00	580.14	Various	765.92	187.63 D	1.85	Sale
01/28/2021	767.00	693.78	Various	885.27	206.60 D	15.11	Sale
01/28/2021	767.00	691.65	Various	783.98	92.59 D	0.26	Sale
01/28/2021	1,169.00	994.65	Various	1,326.58	331.93 D	0.00	Sale
01/28/2021	1,180.00	967.21	Various	1,143.37	176.16 D	0.00	Sale
01/28/2021	1,315.00	1,038.27	Various	1,426.24	387.97 D	0.00	Sale
01/28/2021	1,785.00	1,472.97	Various	1,909.97	437.00 D	0.00	Sale
01/29/2021	263.00	220.56	Various	317.26	96.70 D	0.00	Sale
01/29/2021	503.00	408.87	Various	481.77	76.58 D	3.68	Sale
01/29/2021	590.00	463.06	Various	714.27	251.21 D	0.00	Sale
01/29/2021	635.00	509.17	Various	906.60	397.43 D	0.00	Sale
01/29/2021	786.00	701.00	Various	1,170.34	469.34 D	0.00	Sale

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APEX CLEARING

Proceeds from Broker and Barter Exchange Transactions

2021 Form 1099-B*

5NA77394

(continued)

01/31/2022

OMB No. 1545-0715

SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

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

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

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

Box 12: Basis Reported to the IRS

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

Date Sold or Disposed (Box 1c)	Quantity	Proceeds (Box 1d)	Date Acquired (Box 1b)	Cost or Other Basis (Box 1e)	Accrued Market Discount (M)(Box 1f) & Wash Sale Loss Disallowed (D)(Box 1g)	Gain or Loss(-)	Additional Notes
***SUNDIAL GROWERS INC COM CUSIP: 86730L109 Symbol(Box 1a): SNDL							
01/29/2021	1,171.00	989.68	Various	1,197.31	207.63 D	0.00	Sale
02/01/2021	387.00	460.46	Various	667.45	206.99 D	0.00	Sale
02/01/2021	1,319.00	1,516.65	Various	1,671.03	232.32 D	77.94	Sale
02/01/2021	449.00	402.87	Various	507.82	104.95 D	0.00	Sale
02/02/2021	165.00	174.87	Various	277.62	102.75 D	0.00	Sale
02/02/2021	220.00	224.60	Various	336.29	111.69 D	0.00	Sale
02/03/2021	124.00	151.40	Various	163.01	13.42 D	1.81	Sale
02/03/2021	371.00	452.97	Various	595.87	142.90 D	0.00	Sale
02/09/2021	296.00	462.03	Various	387.17	0.00	74.86	Sale
02/09/2021	177.00	286.90	Various	354.40	67.50 D	0.00	Sale
02/09/2021	1,976.00	3,299.60	Various	4,115.18	815.58 D	0.00	Sale
02/09/2021	581.00	970.17	Various	1,149.93	179.76 D	0.00	Sale
02/10/2021	92.00	292.54	Various	354.99	62.45 D	0.00	Sale
02/10/2021	99.00	346.48	Various	353.02	6.54 D	0.00	Sale
02/10/2021	123.00	355.45	Various	341.80	0.00	13.65	Sale
02/10/2021	197.00	697.34	Various	761.75	64.71 D	0.30	Sale
02/10/2021	552.00	1,871.07	Various	2,056.87	187.02 D	1.22	Sale
02/11/2021	19.00	79.40	02/11/2021	91.94	12.54 D	0.00	Sale
02/11/2021	19.00	73.51	02/11/2021	91.93	18.42 D	0.00	Sale
02/11/2021	98.00	222.93	Various	279.21	56.28 D	0.00	Sale
02/11/2021	113.00	501.69	Various	573.17	71.48 D	0.00	Sale
02/11/2021	127.00	460.97	Various	513.59	52.62 D	0.00	Sale
02/11/2021	151.00	714.19	Various	785.54	71.35 D	0.00	Sale
02/11/2021	171.00	789.98	Various	821.54	31.56 D	0.00	Sale
02/11/2021	302.00	1,425.36	Various	1,516.40	91.04 D	0.00	Sale
02/11/2021	341.00	1,507.14	Various	1,551.89	91.07 D	46.32	Sale

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APEX CLEARING

Proceeds from Broker and Barter Exchange Transactions

2021 Form 1099-B*

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(continued)

01/31/2022

OMB No. 1545-0715

SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

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***SUNDIAL GROWERS INC COM CUSIP: 86730L109 Symbol(Box 1a): SNDL							
02/11/2021	888.00	3,206.47	Various	3,684.14	477.67 D	0.00	Sale
02/12/2021	603.00	1,223.99	Various	1,445.15	221.16 D	0.00	Sale
02/16/2021	75.00	156.73	Various	179.65	22.92 D	0.00	Sale
02/18/2021	154.00	266.56	Various	370.70	104.14 D	0.00	Sale
02/19/2021	86.00	125.63	Various	157.88	32.25 D	0.00	Sale
02/19/2021	343.00	545.69	Various	673.25	127.56 D	0.00	Sale
02/19/2021	458.00	732.73	Various	1,034.52	301.79 D	0.00	Sale
02/22/2021	84.00	127.66	Various	151.02	23.36 D	0.00	Sale
02/22/2021	85.00	126.72	Various	136.49	9.77 D	0.00	Sale
02/24/2021	161.00	216.52	Various	327.03	110.51 D	0.00	Sale
02/24/2021	744.00	1,078.70	Various	1,436.96	0.00	-358.26	Sale
02/24/2021	1,410.00	2,100.71	Various	2,798.43	336.76 D	-360.96	Sale
02/25/2021	749.00	1,145.87	Various	1,446.92	0.00	-301.05	Sale
07/16/2021	143.00	115.79	Various	252.60	0.00	-136.81	Sale
Security Totals:		50,742.46		63,118.18		-806.76	
CALL TLR 02/05/21 20 TILRAY INC CUSIP: Symbol(Box 1a): TLR210205C00020000							
01/26/2021	2.00	275.82	Various	338.16	0.00	-62.34	Sell to Close
IT TECH PACKAGING INC COMMON STOCK CUSIP: 46527C100 Symbol(Box 1a): ITP							
01/19/2021	2,646.00	1,619.20	01/19/2021	1,627.29	0.00	-8.09	Sale
SOCKET MOBILE INC CUSIP: 83368E200 Symbol(Box 1a): SCKT							
01/21/2021	89.00	246.40	01/21/2021	247.42	0.23 D	-0.79	Sale
02/16/2021	20.00	209.78	02/16/2021	198.63	0.00	11.15	Sale
Security Totals:		456.18		446.05		10.36	
CALL W 01/22/21 400 WAYFAIR INC CUSIP: Symbol(Box 1a): W210122C00400000							
01/15/2021	1.00	74.90	01/14/2021	220.08	0.00	-145.18	Sell to Close

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APEX CLEARING

Proceeds from Broker and Barter Exchange Transactions

2021 Form 1099-B*

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(continued)

01/31/2022

OMB No. 1545-0715

SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

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

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***EBANG INTRNATNL HLDGS INC CLASS A ORDINARY SHARES CUSIP: G3R33A106 Symbol(Box 1a): EBON							
02/04/2021	31.00	192.80	02/04/2021	198.20	5.4 D	0.00	Sale
02/12/2021	42.00	235.18	Various	256.47	21.29 D	0.00	Sale
02/16/2021	21.00	160.63	02/11/2021	123.06	0.00	37.57	Sale
02/17/2021	23.00	232.38	Various	154.80	0.00	77.58	Sale
02/17/2021	28.00	264.08	Various	273.25	9.17 D	0.00	Sale
02/17/2021	49.00	521.33	Various	505.00	0.14 D	16.47	Sale
02/18/2021	13.00	140.64	02/17/2021	131.54	0.00	9.10	Sale
02/18/2021	36.00	373.66	02/17/2021	364.28	0.00	9.38	Sale
02/19/2021	17.00	192.08	Various	198.02	4.92 D	-1.02	Sale
03/12/2021	7.00	74.39	Various	52.36	0.00	22.03	Sale
Security Totals:		2,387.17		2,256.98		171.11	
PUT GME 02/05/21 34 GAMESTOP CORP CUSIP: Symbol(Box 1a): GME210205P00034000							
01/25/2021	1.00	265.90	01/22/2021	271.08	0.00	-5.18	Sell to Close
CONTAINER STORE GROUP INC (THE) CUSIP: 210751103 Symbol(Box 1a): TCS							
01/04/2021	34.00	326.72	12/30/2020	343.40	0.00	-16.68	Sale
CALL NOK 01/21/22 10 NOKIA CORPORATION CUSIP: Symbol(Box 1a): NOK220121C00010000							
01/26/2021	2.00	191.82	01/25/2021	138.16	0.00	53.66	Sell to Close
01/26/2021	3.00	299.74	01/25/2021	207.24	0.00	92.50	Sell to Close
01/26/2021	3.00	203.74	01/25/2021	207.25	3.51 D	0.00	Sell to Close
01/26/2021	3.00	353.74	Various	181.24	0.00	172.50	Sell to Close
01/27/2021	2.00	503.81	Various	158.33	0.00	345.48	Sell to Close

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APEX CLEARING

Proceeds from Broker and Barter Exchange Transactions

2021 Form 1099-B*

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01/31/2022

OMB No. 1545-0715

SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

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CALL NOK 01/21/22 10 NOKIA CORPORATION CUSIP: Symbol(Box 1a): NOK220121C00010000							
02/02/2021	1.00	53.90	01/26/2021	96.92	43.02 D	0.00	Sell to Close
02/02/2021	4.00	195.66	Various	514.18	318.52 D	0.00	Sell to Close
02/02/2021	2.00	110.82	01/26/2021	178.50	67.68 D	0.00	Sell to Close
07/26/2021	1.00	16.93	02/01/2021	123.08	0.00	-106.15	Sell to Close
Security Totals:		1,930.16		1,804.90		557.99	
DARE BIOSCIENCE INC COMMON STOCK CUSIP: 23666P101 Symbol(Box 1a): DARE							
01/19/2021	108.00	235.54	01/19/2021	219.12	0.00	16.42	Sale
CALL BB 01/29/21 21 BLACKBERRY LIMITED CUSIP: Symbol(Box 1a): BB210129C00021000							
01/25/2021	1.00	201.90	01/25/2021	375.08	0.00	-173.18	Sell to Close
CALL NNOX 01/22/21 60 NANO X IMAGING LTD CUSIP: Symbol(Box 1a): NNOX210122C00060000							
01/12/2021	1.00	100.90	01/08/2021	210.08	0.00	-109.18	Sell to Close
XL FLEET CORP CLASS A COMMON STOCK CUSIP: 9837FR100 Symbol(Box 1a): XL							
01/04/2021	12.00	244.78	Various	374.73	129.95 D	0.00	Sale
01/04/2021	11.00	252.98	Various	347.20	94.22 D	0.00	Sale
01/13/2021	58.00	1,263.20	Various	1,578.30	313.11 D	-1.99	Sale
01/28/2021	21.00	412.00	Various	602.03	190.03 D	0.00	Sale
01/28/2021	22.00	429.86	Various	495.58	70.98 D	5.26	Sale
02/05/2021	12.00	242.26	02/04/2021	254.56	2.05 D	-10.25	Sale
02/25/2021	23.00	338.08	Various	569.81	175.53 D	-56.20	Sale
04/21/2021	13.00	78.63	Various	285.69	0.00	-207.06	Sale
07/20/2021	13.00	88.90	Various	254.59	0.00	-165.69	Sale
Security Totals:		3,350.69		4,762.49		-435.93	

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Proceeds from Broker and Barter Exchange Transactions

2021 Form 1099-B*

5NA77394

(continued)

01/31/2022

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SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

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

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AKERNA CORP COMMON STOCK CUSIP: 00973W102 Symbol(Box 1a): KERN							
01/11/2021	30.00	171.28	Various	154.86	0.11 D	16.53	Sale
01/12/2021	31.00	183.50	01/08/2021	180.38	0.00	3.12	Sale
01/15/2021	40.00	277.58	Various	272.51	0.00	5.07	Sale
01/15/2021	79.00	500.04	Various	540.59	40.55 D	0.00	Sale
01/20/2021	190.00	1,108.71	Various	1,210.33	101.62 D	0.00	Sale
01/26/2021	245.00	1,440.53	Various	1,596.12	155.59 D	0.00	Sale
01/29/2021	76.00	452.93	Various	586.01	133.08 D	0.00	Sale
02/04/2021	201.00	1,441.11	Various	1,682.20	241.09 D	0.00	Sale
02/04/2021	202.00	1,462.42	Various	1,508.47	46.05 D	0.00	Sale
02/05/2021	71.00	475.67	Various	596.40	83.65 D	-37.08	Sale
02/09/2021	37.00	332.17	Various	372.67	0.00	-40.50	Sale
02/10/2021	206.00	2,053.76	Various	2,137.17	0.00	-83.41	Sale
02/11/2021	33.00	275.53	Various	322.07	0.00	-46.54	Sale
02/11/2021	59.00	494.98	02/11/2021	503.27	0.00	-8.29	Sale
02/12/2021	17.00	133.45	Various	136.42	0.00	-2.97	Sale
02/17/2021	17.00	125.78	02/11/2021	129.71	3.93 D	0.00	Sale
07/19/2021	30.00	105.61	Various	171.79	0.00	-66.18	Sale
Security Totals:		11,035.05		12,100.97		-260.25	

***NOKIA CORPORATION SPONSORED ADR REPSTG 1 SER A | CUSIP: 654902204 | Symbol(Box 1a): NOK

01/26/2021	97.00	484.97	01/25/2021	476.27	0.00	8.70	Sale
01/26/2021	49.00	238.71	01/25/2021	240.59	1.88 D	0.00	Sale
01/27/2021	52.00	330.18	01/27/2021	417.54	87.36 D	0.00	Sale
01/27/2021	69.00	474.69	Various	492.15	17.46 D	0.00	Sale

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2021 Form 1099-B*

5NA77394

(continued)

01/31/2022

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***NOKIA CORPORATION SPONSORED ADR REPSTG 1 SER A CUSIP: 654902204 Symbol(Box 1a): NOK							
01/27/2021	100.00	682.01	01/27/2021	819.03	137.02 D	0.00	Sale
01/27/2021	103.00	677.64	01/27/2021	753.87	76.23 D	0.00	Sale
01/27/2021	107.00	687.12	Various	924.08	236.96 D	0.00	Sale
01/27/2021	140.00	876.36	Various	954.43	78.07 D	0.00	Sale
01/27/2021	103.00	688.01	Various	807.67	119.66 D	0.00	Sale
01/27/2021	143.00	990.94	Various	1,151.87	160.93 D	0.00	Sale
01/27/2021	144.00	994.99	Various	951.68	1.37 D	44.68	Sale
01/27/2021	172.00	1,009.59	Various	1,304.16	294.57 D	0.00	Sale
01/27/2021	203.00	1,130.66	Various	1,710.58	579.92 D	0.00	Sale
01/27/2021	200.00	1,547.94	01/27/2021	1,239.00	0.00	308.94	Sale
01/27/2021	208.00	1,230.06	01/27/2021	1,555.84	325.78 D	0.00	Sale
01/27/2021	207.00	1,405.47	Various	1,447.73	42.26 D	0.00	Sale
01/27/2021	280.00	1,716.33	Various	1,971.04	254.71 D	0.00	Sale
01/27/2021	292.00	1,979.68	Various	2,269.33	289.65 D	0.00	Sale
01/27/2021	275.00	1,796.23	Various	1,955.85	159.62 D	0.00	Sale
01/27/2021	386.00	2,605.39	01/27/2021	2,391.27	0.00	214.12	Sale
01/27/2021	561.00	3,478.05	Various	4,415.81	937.76 D	0.00	Sale
01/27/2021	550.00	3,574.85	Various	4,373.39	798.54 D	0.00	Sale
01/27/2021	624.00	3,793.76	01/27/2021	4,667.52	873.76 D	0.00	Sale
01/27/2021	806.00	4,654.44	Various	4,260.55	0.00	393.89	Sale
01/27/2021	973.00	6,256.13	Various	5,548.17	0.00	707.96	Sale
01/27/2021	832.00	5,906.96	Various	5,726.06	169.23 D	350.13	Sale
01/28/2021	74.00	356.67	Various	537.58	180.91 D	0.00	Sale

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2021 Form 1099-B*

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(continued)

01/31/2022

OMB No. 1545-0715

SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

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

Date Sold or Disposed (Box 1c)	Quantity	Proceeds (Box 1d)	Date Acquired (Box 1b)	Cost or Other Basis (Box 1e)	Accrued Market Discount (M)(Box 1f) & Wash Sale Loss Disallowed (D)(Box 1g)	Gain or Loss(-)	Additional Notes
***NOKIA CORPORATION SPONSORED ADR REPSTG 1 SER A CUSIP: 654902204 Symbol(Box 1a): NOK							
01/28/2021	120.00	596.37	Various	813.73	217.36 D	0.00	Sale
01/28/2021	148.00	791.76	Various	1,237.45	445.69 D	0.00	Sale
01/28/2021	180.00	867.93	Various	1,373.92	505.99 D	0.00	Sale
01/28/2021	200.00	1,147.95	Various	1,575.45	427.50 D	0.00	Sale
01/28/2021	343.00	1,906.99	Various	2,437.58	530.59 D	0.00	Sale
01/28/2021	399.00	2,290.15	Various	3,143.34	853.19 D	0.00	Sale
01/28/2021	644.00	3,561.16	Various	4,244.99	718.98 D	35.15	Sale
01/28/2021	798.00	4,620.22	Various	5,997.79	1385.96 D	8.39	Sale
01/28/2021	168.00	853.40	Various	1,235.69	382.29 D	0.00	Sale
01/28/2021	181.00	926.67	Various	1,353.00	426.33 D	0.00	Sale
01/29/2021	97.00	486.91	Various	643.10	156.19 D	0.00	Sale
01/29/2021	252.00	1,179.30	Various	1,623.80	444.50 D	0.00	Sale
02/01/2021	117.00	568.74	Various	772.20	5.70 D	-197.76	Sale
02/02/2021	212.00	937.23	Various	1,557.17	0.00	-619.94	Sale
02/04/2021	161.00	718.02	Various	1,123.33	0.00	-405.31	Sale
02/17/2021	122.00	495.29	Various	858.35	0.00	-363.06	Sale
02/23/2021	91.00	348.97	Various	567.12	75.18 D	-142.97	Sale
02/25/2021	138.00	564.67	Various	845.73	0.00	-281.06	Sale
03/04/2021	69.00	263.01	Various	418.60	0.00	-155.59	Sale
04/05/2021	46.00	183.98	Various	207.96	0.00	-23.98	Sale
06/07/2021	11.00	60.59	Various	51.70	0.00	8.89	Sale
06/07/2021	11.00	60.59	02/24/2021	51.91	0.00	8.68	Sale
07/19/2021	25.00	139.48	Various	176.05	0.00	-36.57	Sale
Security Totals:		73,137.21		85,673.02		-136.71	
DOCUSIGN INC COMMON STOCK CUSIP: 256163106 Symbol(Box 1a): DOCU							
07/06/2021	1.00	277.99	03/12/2021	210.44	0.00	67.55	Sale

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APEX CLEARING

Proceeds from Broker and Barter Exchange Transactions

2021 Form 1099-B*

5NA77394

(continued)

01/31/2022

OMB No. 1545-0715

SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

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

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

Box 5: Box Not Checked (Covered Security)

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

Box 12: Basis Reported to the IRS

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

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

Date Sold or Disposed (Box 1c)	Quantity	Proceeds (Box 1d)	Date Acquired (Box 1b)	Cost or Other Basis (Box 1e)	Accrued Market Discount (M)(Box 1f) & Wash Sale Loss Disallowed (D)(Box 1g)	Gain or Loss(-)	Additional Notes
CALL GTHX 02/19/21 45 G1 THERAPEUTICS INC CUSIP: Symbol(Box 1a): GTHX210219C00045000							
02/12/2021	1.00	149.90	02/11/2021	130.08	0.00	19.82	Sell to Close
02/12/2021	1.00	189.90	02/11/2021	130.08	0.00	59.82	Sell to Close
02/19/2021	1.00	0.00	02/11/2021	150.08	0.00	-150.08	Expiration
Security Totals:		339.80		410.24		-70.44	
ATLAS CREST INVESTMENT CORP CLASS A COMMON STOCK CUSIP: 049284102 Symbol(Box 1a): ACIC							
02/17/2021	12.00	192.70	02/17/2021	193.68	0.00	-0.98	Sale
ORAGENICS INC COMMON STOCK CUSIP: 684023302 Symbol(Box 1a): OGEN							
01/14/2021	275.00	283.21	01/14/2021	249.98	0.00	33.23	Sale
CALL PLTR 04/16/21 65 PALANTIR TECHNOLOGIES INC CL A CUSIP: Symbol(Box 1a): PLTR210416C00065000							
02/08/2021	1.00	242.90	02/05/2021	133.08	0.00	109.82	Sell to Close
CLEAN ENERGY FUELS CORP CUSIP: 184499101 Symbol(Box 1a): CLNE							
01/05/2021	50.00	426.98	Various	424.55	2.07 D	4.50	Sale
01/05/2021	67.00	588.90	Various	596.74	9.35 D	1.51	Sale
01/05/2021	133.00	1,170.35	Various	1,220.57	50.88 D	0.66	Sale
01/06/2021	27.00	245.98	Various	245.03	0.00	0.95	Sale
01/06/2021	109.00	985.56	Various	970.83	0.00	14.73	Sale
01/13/2021	27.00	286.72	Various	271.42	0.00	15.30	Sale
01/13/2021	10.00	104.68	Various	105.29	0.00	-0.61	Sale
Security Totals:		3,809.17		3,834.43		37.04	
PUT TLRV 02/12/21 39 TILRAY INC CUSIP: Symbol(Box 1a): TLRV210212P00039000							
02/11/2021	1.00	288.90	02/11/2021	305.08	0.00	-16.18	Sell to Close
CALL IDEX 02/19/21 3 IDEANOMICS INC CUSIP: Symbol(Box 1a): IDEX210219C00003000							
01/11/2021	2.00	197.82	01/08/2021	184.16	0.00	13.66	Sell to Close

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APEX CLEARING

Proceeds from Broker and Barter Exchange Transactions

2021 Form 1099-B*

5NA77394

(continued)

01/31/2022

OMB No. 1545-0715

SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

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

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

Date Sold or Disposed (Box 1c)	Quantity	Proceeds (Box 1d)	Date Acquired (Box 1b)	Cost or Other Basis (Box 1e)	Accrued Market Discount (M)(Box 1f) & Wash Sale Loss Disallowed (D)(Box 1g)	Gain or Loss(-)	Additional Notes
CALL IDEX 02/19/21 3 IDEANOMICS INC CUSIP: Symbol(Box 1a): IDEX210219C00003000							
01/13/2021	4.00	239.66	Various	419.32	83.33 D	-96.33	Sell to Close
01/15/2021	1.00	109.90	01/12/2021	115.24	0.00	-5.34	Sell to Close
01/19/2021	1.00	72.90	01/14/2021	139.25	0.00	-66.35	Sell to Close
Security Totals:		620.28		857.97		-154.36	
***AVINO SILVER & GOLD MINES LTD CUSIP: 053906103 Symbol(Box 1a): ASM							
02/01/2021	48.00	98.86	02/01/2021	99.36	0.00	-0.50	Sale
CALL IDEX 02/19/21 4 IDEANOMICS INC CUSIP: Symbol(Box 1a): IDEX210219C00004000							
01/25/2021	3.00	227.74	Various	229.24	15.33 D	13.83	Sell to Close
01/25/2021	2.00	187.82	01/25/2021	126.16	0.00	61.66	Sell to Close
01/26/2021	1.00	93.90	01/25/2021	91.24	0.00	2.66	Sell to Close
01/27/2021	1.00	149.90	01/27/2021	103.25	0.00	46.65	Sell to Close
Security Totals:		659.36		549.89		124.80	
AMAZON.COM INC CUSIP: 023135106 Symbol(Box 1a): AMZN							
02/02/2021	1.00	3,383.91	02/02/2021	3,436.98	0.00	-53.07	Sale
02/02/2021	1.00	3,436.90	02/02/2021	3,426.53	0.00	10.37	Sale
02/02/2021	2.00	6,859.83	02/02/2021	6,853.06	0.00	6.77	Sale
Security Totals:		13,680.64		13,716.57		-35.93	
***CANAAN INC AMERICAN DEPOSITARY SHARES CUSIP: 134748102 Symbol(Box 1a): CAN							
03/12/2021	3.00	102.85	03/09/2021	73.83	0.00	29.02	Sale

APEX CLEARING

Proceeds from Broker and Barter Exchange Transactions

2021 Form 1099-B*

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(continued)

01/31/2022

OMB No. 1545-0715

SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

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

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

Box 5: Box Not Checked (Covered Security)

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

Box 12: Basis Reported to the IRS

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

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

Date Sold or Disposed (Box 1c)	Quantity	Proceeds (Box 1d)	Date Acquired (Box 1b)	Cost or Other Basis (Box 1e)	Accrued Market Discount (M)(Box 1f) & Wash Sale Loss Disallowed (D)(Box 1g)	Gain or Loss(-)	Additional Notes
07/19/2021	1.00	5.70	03/09/2021	24.61	0.00	-18.91	Sale
Security Totals:		108.55		98.44		10.11	
CALL BNGO 02/19/21 15 BIONANO GENOMICS INC CUSIP: Symbol(Box 1a): BNGO210219C00015000							
01/25/2021	1.00	264.90	01/25/2021	220.08	0.00	44.82	Sell to Close
ONCONOVA THERAPEUTICS INC COMMON STOCK CUSIP: 68232V405 Symbol(Box 1a): ONTX							
02/03/2021	223.00	198.79	02/03/2021	199.30	0.51 D	0.00	Sale
02/04/2021	1,228.00	1,254.88	02/04/2021	1,277.12	0.00	-22.24	Sale
02/04/2021	3,683.00	3,756.13	Various	3,816.69	8.27 D	-52.29	Sale
02/17/2021	112.00	186.02	Various	201.65	0.00	-15.63	Sale
02/24/2021	75.00	122.98	02/24/2021	127.51	0.00	-4.53	Sale
02/24/2021	222.00	361.82	02/24/2021	377.43	0.00	-15.61	Sale
Security Totals:		5,880.62		5,999.70		-110.30	
CALL WWR 02/19/21 7.50 WESTWATER RESOURCES INC CUSIP: Symbol(Box 1a): WWR210219C00007500							
01/19/2021	1.00	79.90	01/12/2021	49.08	0.00	30.82	Sell to Close
01/19/2021	1.00	65.90	01/15/2021	50.08	0.00	15.82	Sell to Close
01/19/2021	1.00	65.90	01/12/2021	50.08	0.00	15.82	Sell to Close
01/19/2021	2.00	129.82	01/12/2021	98.16	0.00	31.66	Sell to Close
Security Totals:		341.52		247.40		94.12	

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APEX CLEARING

Proceeds from Broker and Barter Exchange Transactions

2021 Form 1099-B*

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(continued)

01/31/2022

OMB No. 1545-0715

SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

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

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

Box 5: Box Not Checked (Covered Security)

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

Box 12: Basis Reported to the IRS

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

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

Date Sold or Disposed (Box 1c)	Quantity	Proceeds (Box 1d)	Date Acquired (Box 1b)	Cost or Other Basis (Box 1e)	Accrued Market Discount (M)(Box 1f) & Wash Sale Loss Disallowed (D)(Box 1g)	Gain or Loss(-)	Additional Notes
DYNAVAX TECHNOLOGIES CORP CUSIP: 268158201 Symbol(Box 1a): DVAX							
02/02/2021	24.00	225.82	02/02/2021	247.20	0.00	-21.38	Sale
Totals:		2,970,702.47		3,176,627.36		-15,890.23	

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APEX CLEARING

Proceeds from Broker and Barter Exchange Transactions

2021 Form 1099-B*

5NA77394

(continued)

01/31/2022

OMB No. 1545-0715

SHORT TERM TRANSACTIONS FOR NONCOVERED TAX LOTS

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

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

Box 5: Box Checked (Noncovered Security)

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

Box 12: Basis Not Reported to the IRS

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

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

Date Sold or Disposed (Box 1c)	Quantity	Proceeds (Box 1d)	Date Acquired	Cost or Other Basis	Accrued Market Discount (M) & Wash Sale Loss Disallowed (D)	Gain or Loss(-)	Additional Notes
SANCHEZ MIDSTREAM PARTNERS LP COMMON UNITS REPRESENTING CL B LIMITED LIABILITY COMPANY CUSIP: 79971C201 Symbol(Box 1a): SNMP							
01/13/2021	1.00	0.87	01/13/2021	0.87	0.00	0.00	Sale
01/13/2021	222.00	188.79	01/13/2021	192.03	0.00	-3.24	Sale
Security Totals:		189.66		192.90		-3.24	
ISHARES SILVER SHARES CUSIP: 46428Q109 Symbol(Box 1a): SLV							
02/01/2021	18.00	489.39	02/01/2021	491.94	0.00	-2.55	Sale 3- [X] Collectible
02/02/2021	18.00	451.78	02/01/2021	491.94	0.00	-40.16	Sale 3- [X] Collectible
Security Totals:		941.17		983.88		-42.71	
Totals:		1,130.83		1,176.78		-45.95	

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APEX CLEARING

Interest Income - Details of Form 1099-INT

2021

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01/31/2022

This section of the information statement provides the payment-level details for interest that is reported in aggregate on Form 1099-INT. Market discount is provided only if you have made an election to recognize market discount on a current basis. Any such market discount and bond premium are reported on Form 1099-INT for covered lots, as detailed below. For noncovered lots, bond premium and market discount are shown below only for your information and are not reported on Form 1099-INT.

Interest Income

Description | CUSIP | Symbol

Date	Interest Income (Box 1)	Investment Expenses (Box 5)	Foreign Tax Paid (Box 6)	Foreign Country or US Possession (Box 7)	Market Discount (Box 10)	Market Discount (NOT reported to IRS)	Bond Premium (Box 11)	Bond Premium (NOT reported to IRS)
FULLYPAID LENDING REBATE CUSIP: Symbol:								
04/14/2021	1.15	0.00	0.00		0.00	0.00	0.00	0.00
05/14/2021	2.27	0.00	0.00		0.00	0.00	0.00	0.00
06/14/2021	3.96	0.00	0.00		0.00	0.00	0.00	0.00
07/14/2021	3.56	0.00	0.00		0.00	0.00	0.00	0.00
08/12/2021	1.86	0.00	0.00		0.00	0.00	0.00	0.00
09/13/2021	0.01	0.00	0.00		0.00	0.00	0.00	0.00
10/14/2021	0.01	0.00	0.00		0.00	0.00	0.00	0.00
11/11/2021	0.04	0.00	0.00		0.00	0.00	0.00	0.00
Security Totals:	12.86	0.00	0.00		0.00	0.00	0.00	0.00
Totals:	12.86	0.00	0.00		0.00	0.00	0.00	0.00

APEX CLEARING

Supplemental Information

2021

5NA77394

01/31/2022

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

Cash in Lieu <\$20

Description CUSIP Symbol						
Date	Quantity	Proceeds	Date Acquired	Cost or Other Basis	Gain or Loss(-)	
***CASTOR MARITIME INC COMMON SHARES CUSIP: Y1146L125 Symbol: CTRM						
06/18/2021	0.10	0.35	02/24/2021	1.32	-0.97	
TILRAY BRANDS INC CLASS 2 COMMON STOCK CUSIP: 88688T100 Symbol: TLRV						
05/14/2021	0.5429	8.05	03/02/2021	12.93	-4.88	
Totals:		8.40		14.25	-5.85	

Fees & Expenses

Description	
Date	Amount
Margin Interest Expense	
01/19/2021	6.84
07/16/2021	1.45
Total:	8.29
ADR Fees	
01/14/2021	3.92
05/11/2021	0.84
06/10/2021	0.08
Total:	4.84
Totals:	13.13

Common Instructions for Recipient

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

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

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

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

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

Keep tax documents for your records.

1099-DIV Instructions for Recipient

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

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

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

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

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

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

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

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

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

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

See the instructions for your tax return.

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

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

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

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

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

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

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

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

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

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

1099-INT Instructions for Recipient

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

Boxes 15-17. State tax withheld reporting boxes.

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

1099-B Instructions for Recipient

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

1099-MISC Instructions for Recipient

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

1099-OID Instructions for Recipient

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

Boxes 12–14. State income tax withheld reporting.

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

