

**Apex Clearing**

One Dallas Center  
350 North St Paul, Ste 1300  
Dallas, TX 75201

**IMPORTANT TAX DOCUMENTS ENCLOSED**

IN ACCOUNT WITH  
**WEBULL FINANCIAL LLC**  
**888-828-0618**

SHARAN TEJ KODUMURU  
36 CLERMONT CROSSING COURT  
SAINT LOUIS, MO 63146-1573

**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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<b>Apex Clearing</b> One Dallas Center 350 North St Paul, Ste 1300 Dallas, TX 75201 Customer Service: 214-765-1009 Payer's Federal ID No: 13-2967453 IN ACCOUNT WITH <b>WEBULL FINANCIAL LLC</b> <b>888-828-0618</b>	<b>Account 5MY28090</b>	<b>Form 1099 Composite</b>	<b>2023</b>
	SHARAN TEJ KODUMURU 36 CLERMONT CROSSING COURT SAINT LOUIS, MO 63146-1573  RECIPIENT'S ID No: XXX-XX-4544	Statement Date: 2024-01-31 <input type="checkbox"/> Corrected	

FATCA filing Requirement 

## Tax Reporting Statement

Dividends and Distributions	2023 Form1099DIV	OMB No. 1545-0110
1a- Total Ordinary Dividends (includes amount shown on 1b)	0.00	
1b- Qualified Dividends	0.00	
2a- Total Capital Gain Distributions (includes lines 2b, 2c, 2d)	0.00	
2b- Unrecaptured Section 1250 Gain	0.00	
2c- Section 1202 Gain	0.00	
2d- Collectibles (28%) Gain	0.00	
2e- Section 897 ordinary dividends	0.00	
2f- Section 897 capital gain	0.00	
3- Nondividend Distributions	0.00	
<b>4- Federal Income Tax Withheld</b>	<b>0.00</b>	
5- Section 199A Dividends	0.00	
6- Investment Expenses	0.00	
7- Foreign Tax Paid	0.00	
8- Foreign Country or U.S. Possessions		
9- Cash Liquidation Distribution	0.00	
10- Noncash Liquidation Distributions	0.00	
12- Exempt-Interest Dividends	0.00	
13- Specified Private Activity Bond Interest Dividends	0.00	

Interest Income	2023 Form1099INT	OMB No. 1545-0112
1- Interest Income	0.00	
2- Early Withdrawal Penalty	0.00	
3- Interest on US Savings Bonds & Treasury Obligations	0.00	
<b>4- Federal Income Tax Withheld</b>	<b>0.00</b>	
5- Investment Expenses	0.00	
6- Foreign Tax Paid	0.00	
7- Foreign Country or U.S. Possession		
8- Tax-Exempt Interest (includes box 9)	0.00	
9- Specified Private Activity Bond Interest	0.00	
10- Market Discount	0.00	
11- Bond Premium	0.00	
12- Bond Premium on Treasury Obligations	0.00	
13- Bond Premium on Tax-Exempt bonds	0.00	
14- Tax-Exempt and Tax Credit Bond CUSIP no.		

Miscellaneous Information	2023 Form1099MISC	OMB No. 1545-0115
2- Royalties	0.00	
3- Other Income	0.00	
<b>4- Federal Income Tax Withheld</b>	<b>0.00</b>	
8- Substitute Payments in Lieu of Dividends or Interest	0.00	

REGULATED FUTURES CONTRACTS & SECTION 1256 OPTIONS	2023 Form1099B	OMB No. 1545-0715
8- Profit or (loss) realized in 2023 on closed contracts	-3,279.42	
9- Unrealized profit or (loss) on open contracts - 12/31/2022	0.00	
10- Unrealized profit or (loss) on open contracts - 12/31/2023	0.00	
11- Aggregate profit or (loss) on contracts	-3,279.42	
<i>As applicable, proceeds from other sale transactions are summarized below and details are provided in subsequent sections of this document. More details on futures and section 1256 options transactions are also provided in other sections of this document.</i>		

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Dividends may be reclassified for tax purposes after the original Form 1099 is sent in certain cases where information from issuers is received late. This may require us to provide you an amended tax form.

C - Corrected

Apex Clearing

# Tax Summary

2023

5MY28090

2024-01-31

## 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	70,243.02	68,461.54	0.00	674.69	2,456.17
Short-term transactions for noncovered tax lots	0.00	0.00	0.00	0.00	0.00
<b>Total Short-term</b>	<b>70,243.02</b>	<b>68,461.54</b>	<b>0.00</b>	<b>674.69</b>	<b>2,456.17</b>
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
<b>Total Long-term</b>	<b>0.00</b>	<b>0.00</b>	<b>0.00</b>	<b>0.00</b>	<b>0.00</b>
Undetermined transactions for noncovered tax lots	0.00	0.00	0.00	0.00	0.00
<b>Total Undetermined-term</b>	<b>0.00</b>	<b>0.00</b>	<b>0.00</b>	<b>0.00</b>	<b>0.00</b>

### Original Issue Discount

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 Form1099-OID section of this document.

### FEDERAL TAX WITHHELD

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

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Proceeds from Broker and Barter Exchange Transactions 2023 Form 1099-B\*

5MY28090

2024-01-31

OMB No. 1545-0715

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

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

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

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

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

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

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

FATCA filing requirement [ ]

SHORT-TERM TRANSACTIONS FOR COVERED TAX LOTS

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

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

Box 5: Box Not Checked (Covered Security)

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

Box 12: Basis Reported to the IRS

1a - Description of property | CUSIP | Symbol

1c - Date Sold or Disposed	Quantity	1d - Proceeds	1b - Date Acquired	1e - Cost or Other Basis	1f - Accrued Market Discount (M) & 1g - Wash Sale Loss Disallowed (D)	Gain or Loss (-)	Additional Notes
CALL META 05/19/23	245 META PLATFORMS INC CL A	CUSIP: *8BSDDT7   Symbol: META--230519C00245000					
2023-05-16	2.0	83.88	2023-05-15	190.10	0.00	-106.22	
CALL SPY 02/28/23	400 STANDARD & POORS DEPOSITORY	CUSIP: *8BSKFF9   Symbol: #8BSKFF9					
2023-02-28	10.0	339.47	2023-02-28	310.50	0.00	28.97	
PUT SPY 02/28/23	400 STANDARD & POORS DEPOSITORY	CUSIP: *8BSKFG0   Symbol: SPY---230228P00400000					
2023-02-28	1.0	349.93	2023-02-27	294.05	0.00	55.88	

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## Proceeds from Broker and Barter Exchange Transactions 2023 Form 1099-B\*

5MY28090

(continued)

2024-01-31

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

## 1a - Description of property | CUSIP | Symbol

1c - Date Sold or Disposed	Quantity	1d - Proceeds	1b - Date Acquired	1e - Cost or Other Basis	1f - Accrued Market Discount (M) & 1g - Wash Sale Loss Disallowed (D)	Gain or Loss (-)	Additional Notes		
CALL GOOGL 05/19/23	120	ALPHABET INC CLASS A   CUSIP: *8BSPPJ6   Symbol: GOOGL-230519C00120000	2023-05-17	1.0	204.93	2023-05-15	80.05	0.00	124.88
CALL UPST 06/09/23	32	UPSTART HOLDINGS INC   CUSIP: *8BTKNB0   Symbol: UPST--230609C00032000	2023-06-06	1.0	101.93	2023-06-06	62.05	0.00	39.88
CALL AI 06/09/23	40	C3 AI INC CLASS A   CUSIP: *8BVVKR9   Symbol: AI---230609C00040000	2023-06-09	2.0	0.00	2023-06-05	110.10	0.00	-110.10
CALL TQQQ 03/17/23	24	PROSHARES ULTRAPRO QQQ   CUSIP: *8BVXVT5   Symbol: TQQQ--230317C00024000	2023-03-14	2.0	35.87	2023-03-13	38.10	0.00	-2.23
PUT SPY 04/26/23	405	STANDARD & POORS DEPOSITORY   CUSIP: *8BWZZJ7   Symbol: SPY---230426P00405000	2023-04-26	8.0	551.57	2023-04-26	424.40	0.00	127.17
CALL AYX 07/21/23	50	ALTERYX INC   CUSIP: *8BXHFN8   Symbol: AYX---230721C00050000	2023-06-15	1.0	152.93	2023-06-01	150.05	0.00	2.88
CALL URI 03/17/23	380	UNITED RENTALS INC   CUSIP: *8BXHKP3   Symbol: URI---230317C00380000	2023-03-17	1.0	0.00	2023-03-17	75.05	0.00	-75.05
CALL AAPL 06/02/23	180	APPLE INC   CUSIP: *8BXVQT4   Symbol: AAPL--230602C00180000	2023-06-01	2.0	189.88	2023-05-22	96.10	0.00	93.78
CALL SPY 03/28/23	397	STANDARD & POORS DEPOSITORY   CUSIP: *8BYZBJ4   Symbol: SPY---230328C00397000	2023-03-28	20.0	1,548.95	2023-03-28	1,240.98	0.00	307.97
CALL SPY 03/28/23	400	STANDARD & POORS DEPOSITORY   CUSIP: *8BYZFN4   Symbol: SPY---230328C00400000	2023-03-27	3.0	239.83	2023-03-27	249.15	0.00	-9.32
PUT QQQ 03/31/23	250	INVESCO QQQ TRUST SERIES 1   CUSIP: *8BZNFZ4   Symbol: QQQ---230331P00250000	2023-03-31	4.0	0.00	2023-03-17	88.20	0.00	-88.20
PUT LULU 06/02/23	300	LULULEMON ATHLETICA INC   CUSIP: *8C12492   Symbol: LULU--230602P00300000	2023-06-02	1.0	0.00	2023-06-01	395.05	0.00	-395.05
CALL CAT 06/02/23	210	CATERPILLAR INC   CUSIP: *8CSGNK7   Symbol: CAT---230602C00210000	2023-06-02	1.0	509.93	2023-05-31	90.05	0.00	419.88

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Proceeds from Broker and Barter Exchange Transactions 2023 Form 1099-B\*

5MY28090

(continued)

2024-01-31

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

1a - Description of property | CUSIP | Symbol

1c - Date Sold or Disposed	Quantity	1d - Proceeds	1b - Date Acquired	1e - Cost or Other Basis	1f - Accrued Market Discount (M) & 1g - Wash Sale Loss Disallowed (D)	Gain or Loss (-)	Additional Notes
CALL IWM 03/17/23	175	ISHARES RUSSELL 2000 ETF   CUSIP: *8CVHNV7   Symbol: IWM---230317C00175000					
2023-03-16	4.0	567.77	Various	484.20	0.00	83.57	
CALL LRCX 06/02/23	625	LAM RESEARCH CORP   CUSIP: *8D43898   Symbol: LRCX--230602C00625000					
2023-05-26	1.0	1,249.93	2023-05-22	240.05	0.00	1,009.88	
CALL LRCX 06/09/23	625	LAM RESEARCH CORP   CUSIP: *8D44298   Symbol: LRCX--230609C00625000					
2023-06-06	1.0	339.93	2023-06-06	228.05	0.00	111.88	
CALL NFLX 04/28/23	322.50	NETFLIX INC   CUSIP: *8D68845   Symbol: NFLX--230428C00322500					
2023-04-27	1.0	489.93	2023-04-27	138.05	0.00	351.88	
PUT SPY 04/27/23	405	STANDARD & POORS DEPOSITORY   CUSIP: *8GCSWB2   Symbol: SPY---230427P00405000					
2023-04-27	10.0	219.48	2023-04-27	350.49	0.00	-131.01	
PUT TSLA 06/02/23	190	TESLA INC   CUSIP: *8GHJPR5   Symbol: TSLA--230602P00190000					
2023-06-02	1.0	0.00	2023-05-30	150.05	0.00	-150.05	
PUT TSLA 06/02/23	195	TESLA INC   CUSIP: *8GHJQL9   Symbol: TSLA--230602P00195000					
2023-06-02	1.0	0.00	2023-05-30	330.05	0.00	-330.05	
CALL GOOGL 06/16/23	130	ALPHABET INC CLASS A ADJ 20:1 STOCK SPLIT   CUSIP: *8GLCSF7   Symbol: GOOGL-230616C00130000					
2023-06-16	1.0	0.00	2023-06-07	170.05	0.00	-170.05	
CALL AMD 06/02/23	130	ADVANCED MICRO DEVICES INC   CUSIP: *8GMCPB2   Symbol: AMD---230602C00130000					
2023-06-02	1.0	0.00	2023-05-30	188.05	0.00	-188.05	
CALL GM 09/15/23	40	GENERAL MOTORS COMPANY   CUSIP: *8GRKVT7   Symbol: GM----230915C00040000					
2023-06-06	1.0	83.93	2023-04-25	97.05	0.00	-13.12	
CALL KO 07/21/23	62.50	COCA COLA CO   CUSIP: *8GSGJS9   Symbol: KO----230721C00062500					
2023-04-12	1.0	231.93	2023-03-27	188.05	0.00	43.88	
CALL VFC 06/16/23	20	V F CORPORATION   CUSIP: *8GSJVVO   Symbol: VFC---230616C00020000					
2023-06-13	1.0	9.93	2023-05-22	115.05	0.00	-105.12	
CALL AAPL 06/16/23	175	APPLE INC   CUSIP: *8GSKXN0   Symbol: AAPL--230616C00175000					
2023-05-17	1.0	304.93	2023-05-17	252.05	0.00	52.88	

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## Proceeds from Broker and Barter Exchange Transactions 2023 Form 1099-B\*

5MY28090

(continued)

2024-01-31

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

## 1a - Description of property | CUSIP | Symbol

1c - Date Sold or Disposed	Quantity	1d - Proceeds	1b - Date Acquired	1e - Cost or Other Basis	1f - Accrued Market Discount (M) & 1g - Wash Sale Loss Disallowed (D)	Gain or Loss (-)	Additional Notes
CALL AAPL 04/21/23	165	APPLE INC   CUSIP: *8GWFKG8   Symbol: AAPL--230421C00165000					
2023-04-18	1.0	204.93	2023-04-17	143.05	0.00	61.88	
CALL NFLX 06/02/23	415	NETFLIX INC   CUSIP: *8GWNJP7   Symbol: NFLX--230602C00415000					
2023-05-30	1.0	314.93	2023-05-30	240.05	0.00	74.88	
2023-06-01	1.0	80.93	2023-05-31	112.05	0.00	-31.12	
<b>Security Totals:</b>		<b>395.86</b>		<b>352.10</b>		<b>43.76</b>	
CALL NFLX 06/02/23	440	NETFLIX INC   CUSIP: *8GWNJQ5   Symbol: NFLX--230602C00440000					
2023-06-02	1.0	0.00	2023-05-30	95.05	0.00	-95.05	
CALL JPM 04/21/23	140	JPMORGAN CHASE & CO   CUSIP: *8K73032   Symbol: JPM---230421C00140000					
2023-03-30	1.0	32.93	2023-03-21	110.05	0.00	-77.12	
CALL ONON 07/21/23	32.50	ON HOLDING AG CLASS A   CUSIP: *8KBFQQ7   Symbol: ONON--230721C00032500					
2023-04-26	1.0	379.93	2023-04-14	285.05	0.00	94.88	
CALL ADSK 07/21/23	230	AUTODESK INC   CUSIP: *8KBMCL9   Symbol: ADSK--230721C00230000					
2023-06-20	1.0	194.93	2023-06-02	145.05	0.00	49.88	
CALL BABA 07/21/23	95	ALIBABA GROUP HOLDING LIMITED   CUSIP: *8KXCJK9   Symbol: BABA--230721C00095000					
2023-06-02	1.0	238.93	2023-05-30	137.05	0.00	101.88	
CALL BABA 07/21/23	120	ALIBABA GROUP HOLDING LIMITED   CUSIP: *8KXCJN1   Symbol: BABA--230721C00120000					
2023-06-01	1.0	35.93	2023-05-22	45.05	0.00	-9.12	
PUT TSLA 04/28/23	146	TESLA INC   CUSIP: *8KGPVZ4   Symbol: TSLA--230428P00146000					
2023-04-28	1.0	0.00	2023-04-20	105.05	0.00	-105.05	
CALL DIS 07/21/23	100	WALT DISNEY CO   CUSIP: *8KJCFX8   Symbol: DIS---230721C00100000					
2023-06-01	2.0	85.87	2023-05-22	162.10	0.00	-76.23	
CALL MBLY 06/16/23	45	MOBILEYE GLOBAL INC CL A   CUSIP: *8KJJSJ2   Symbol: MBLY--230616C00045000					
2023-06-16	1.0	0.00	2023-06-07	110.05	0.00	-110.05	
CALL SPY 02/23/23	403	STANDARD & POORS DEPOSITORY   CUSIP: *8KMVYQ3   Symbol: SPY---230223C00403000					
2023-02-23	6.0	307.78	2023-02-23	348.30	0.00	-40.52	

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Apex Clearing

## Proceeds from Broker and Barter Exchange Transactions 2023 Form 1099-B\*

5MY28090

(continued)

2024-01-31

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

## 1a - Description of property | CUSIP | Symbol

1c - Date Sold or Disposed	Quantity	1d - Proceeds	1b - Date Acquired	1e - Cost or Other Basis	1f - Accrued Market Discount (M) & 1g - Wash Sale Loss Disallowed (D)	Gain or Loss (-)	Additional Notes
PUT SPY 02/27/23	398	STANDARD & POORS DEPOSITORY   CUSIP: *8KMWKH7   Symbol: SPY---230227P00398000					
2023-02-27	6.0	323.69	2023-02-27	216.30	0.00	107.39	
CALL SPY 03/02/23	395	STANDARD & POORS DEPOSITORY   CUSIP: *8KMWSB9   Symbol: SPY---230302C00395000					
2023-03-02	1.0	105.93	2023-03-02	48.05	0.00	57.88	
PUT QQQ 05/03/23	317	INVESCO QQQ TRUST SERIES 1   CUSIP: *8KRNXV3   Symbol: QQQ---230503P00317000					
2023-05-03	3.0	35.83	2023-05-03	171.15	0.00	-135.32	
CALL XLF 04/21/23	31	SECTOR SPDR FINANCIAL ETF   CUSIP: *8KRXZW2   Symbol: XLF---230421C00031000					
2023-03-30	1.0	151.93	2023-03-24	110.05	0.00	41.88	
CALL FFIV 05/19/23	145	F5 INC   CUSIP: *8KSCQL3   Symbol: FFIV--230519C00145000					
2023-04-26	1.0	14.93	2023-04-19	250.05	0.00	-235.12	
CALL NKE 04/21/23	120	NIKE INC CLASS B   CUSIP: *8KWWSR5   Symbol: NKE---230421C00120000					
2023-03-30	1.0	389.93	2023-03-28	242.05	0.00	147.88	
CALL PANW 06/09/23	227.50	PALO ALTO NETWORKS INC   CUSIP: *8KXYKJ8   Symbol: PANW--230609C00227500					
2023-06-09	2.0	0.00	2023-06-09	44.10	0.00	-44.10	
CALL HUM 05/19/23	515	HUMANA   CUSIP: *8KYFNL1   Symbol: HUM---230519C00515000					
2023-05-19	1.0	279.93	2023-05-18	140.05	0.00	139.88	
CALL SQ 02/17/23	77	BLOCK INC   CUSIP: *8LBDYG1   Symbol: SQ----230217C00077000					
2023-02-17	1.0	0.00	2023-02-17	24.05	0.00	-24.05	
PUT SPY 03/01/23	398	STANDARD & POORS DEPOSITORY   CUSIP: *8LCLFR0   Symbol: SPY---230301P00398000					
2023-02-28	1.0	281.93	2023-02-28	178.05	0.00	103.88	
CALL AAPL 03/17/23	157.50	APPLE INC   CUSIP: *8LCQWW4   Symbol: AAPL--230317C00157500					
2023-03-17	2.0	17.87	2023-03-17	70.10	0.00	-52.23	
CALL AMZN 03/17/23	101	AMAZON.COM INC   CUSIP: *8LCSJY1   Symbol: AMZN--230317C00101000					
2023-03-16	1.0	40.93	2023-03-16	46.05	0.00	-5.12	
CALL COIN 03/17/23	64	COINBASE GLOBAL INC   CUSIP: *8LCXKQ6   Symbol: COIN--230317C00064000					
2023-03-16	1.0	364.93	2023-03-15	250.05	0.00	114.88	

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Apex Clearing

## Proceeds from Broker and Barter Exchange Transactions 2023 Form 1099-B\*

5MY28090

(continued)

2024-01-31

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

## 1a - Description of property | CUSIP | Symbol

1c - Date Sold or Disposed	Quantity	1d - Proceeds	1b - Date Acquired	1e - Cost or Other Basis	1f - Accrued Market Discount (M) & 1g - Wash Sale Loss Disallowed (D)	Gain or Loss (-)	Additional Notes
CALL QQQ 03/17/23	309	INVESTCO QQQ TRUST SERIES 1   CUSIP: *8LDKSB0   Symbol: QQQ---230317C00309000	2023-03-17	218.96	380.98	0.00	-162.02
CALL ADBE 06/09/23	475	ADOBE INC   CUSIP: *8LDLSP2   Symbol: ADBE--230609C00475000	2023-06-09	0.00	32.20	0.00	-32.20
PUT SPY 03/06/23	404	STANDARD & POORS DEPOSITORY   CUSIP: *8LDZVH3   Symbol: SPY---230306P00404000	2023-03-06	21.88	40.10	0.00	-18.22
CALL AAPL 06/16/23	187.50	APPLE INC   CUSIP: *8LGCHD1   Symbol: AAPL--230616C00187500	2023-06-16	0.00	260.50	0.00	-260.50
PUT BABA 06/16/23	86	ALIBABA GROUP HOLDING LIMITED   CUSIP: *8LGFHS2   Symbol: BABA--230616P00086000	2023-06-16	0.00	152.10	0.00	-152.10
CALL RIVN 06/16/23	16	RIVIAN AUTOMOTIVE INC CLASS A   CUSIP: *8LJDRR0   Symbol: RIVN--230616C00016000	2023-06-16	47.83	78.15	0.00	-30.32
CALL IWM 03/08/23	188	ISHARES RUSSELL 2000 ETF   CUSIP: *8LJNSR2   Symbol: IWM---230308C00188000	2023-03-08	189.76	156.20	0.00	33.56
CALL SBUX 06/16/23	102	STARBUCKS CORPORATION   CUSIP: *8LJXXL7   Symbol: SBUX--230616C00102000	2023-06-15	345.46	140.49	0.00	204.97
CALL SEDG 03/17/23	270	SOLAREEDGE TECHNOLOGIES INC   CUSIP: *8LKWNG3   Symbol: SEDG--230317C00270000	2023-03-17	59.93	135.05	0.00	-75.12
CALL SQ 06/16/23	67	BLOCK INC   CUSIP: *8LLDBN9   Symbol: SQ---230616C00067000	2023-06-15	170.83	210.15	0.00	-39.32
CALL QQQ 03/08/23	297	INVESTCO QQQ TRUST SERIES 1   CUSIP: *8LLDYJ3   Symbol: QQQ---230308C00297000	2023-03-08	125.87	110.10	0.00	15.77
PUT SPY 03/02/23	392	STANDARD & POORS DEPOSITORY   CUSIP: *8LLXLY3   Symbol: SPY---230302P00392000	2023-03-02	257.69	1,483.19	372.60 D	-852.90
PUT PYPL 03/17/23	75	PAYPAL HOLDINGS INC   CUSIP: *8LMVJG6   Symbol: PYPL--230317P00075000	2023-03-07	184.93	173.05	0.00	11.88

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Apex Clearing

Proceeds from Broker and Barter Exchange Transactions 2023 Form 1099-B\*

5MY28090

(continued)

2024-01-31

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

1a - Description of property | CUSIP | Symbol

1c - Date Sold or Disposed	Quantity	1d - Proceeds	1b - Date Acquired	1e - Cost or Other Basis	1f - Accrued Market Discount (M) & 1g - Wash Sale Loss Disallowed (D)	Gain or Loss (-)	Additional Notes
CALL BABA 03/10/23	84	ALIBABA GROUP HOLDING LIMITED   CUSIP: *8LRCKN7   Symbol: BABA--230310C00084000					
2023-03-10	1.0	7.93	2023-03-10	55.05	0.00	-47.12	
CALL BABA 03/24/23	88	ALIBABA GROUP HOLDING LIMITED   CUSIP: *8LRCKR2   Symbol: BABA--230324C00088000					
2023-03-23	1.0	84.93	2023-03-22	35.05	0.00	49.88	
CALL SPY 03/17/23	390	STANDARD & POORS DEPOSITORY   CUSIP: *8LRZFB2   Symbol: SPY---230317C00390000					
2023-03-16	2.0	435.88	2023-03-16	270.10	0.00	165.78	
2023-03-17	1.0	52.93	2023-03-17	62.05	0.00	-9.12	
<b>Security Totals:</b>		<b>488.81</b>		<b>332.15</b>		<b>156.66</b>	
PUT SPY 03/17/23	390	STANDARD & POORS DEPOSITORY   CUSIP: *8LRZFB4   Symbol: SPY---230317P00390000					
2023-03-17	1.0	82.93	2023-03-17	62.05	0.00	20.88	
CALL PACW 03/24/23	12	PACWEST BANCORP   CUSIP: *8LSRBZ6   Symbol: PACW--230324C00012000					
2023-03-24	4.0	0.00	Various	280.20	0.00	-280.20	
CALL AMZN 03/10/23	95	AMAZON.COM INC   CUSIP: *8LSXYS8   Symbol: AMZN--230310C00095000					
2023-03-08	3.0	191.83	2023-03-08	165.15	0.00	26.68	
2023-03-09	1.0	69.93	2023-03-08	55.05	0.00	14.88	
<b>Security Totals:</b>		<b>261.76</b>		<b>220.20</b>		<b>41.56</b>	
CALL AMZN 03/10/23	96	AMAZON.COM INC   CUSIP: *8LSXYT0   Symbol: AMZN--230310C00096000					
2023-03-08	4.0	131.77	2023-03-08	132.20	0.00	-0.43	
PUT DIS 04/06/23	93	WALT DISNEY CO   CUSIP: *8LTJXS3   Symbol: DIS---230406P00093000					
2023-03-23	2.0	257.88	2023-03-23	204.10	0.00	53.78	
CALL NFLX 04/06/23	355	NETFLIX INC   CUSIP: *8LTWGJ3   Symbol: NFLX--230406C00355000					
2023-03-30	7.0	2,332.59	Various	2,083.56	110.21 D	359.24	
CALL RH 04/06/23	300	RH   CUSIP: *8LTYGP0   Symbol: RH----230406C00300000					
2023-03-30	2.0	9.87	2023-03-29	120.10	0.00	-110.23	
PUT SPY 04/06/23	405	STANDARD & POORS DEPOSITORY   CUSIP: *8LTZYR8   Symbol: SPY---230406P00405000					
2023-04-06	15.0	929.19	2023-04-06	840.74	0.00	88.45	

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Apex Clearing

**Proceeds from Broker and Barter Exchange Transactions 2023 Form 1099-B\***

5MY28090

(continued)

2024-01-31

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

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

1c - Date Sold or Disposed	Quantity	1d - Proceeds	1b - Date Acquired	1e - Cost or Other Basis	1f - Accrued Market Discount (M) & 1g - Wash Sale Loss Disallowed (D)	Gain or Loss (-)	Additional Notes
PUT SQ 04/06/23	65	BLOCK INC   CUSIP: *8LTZZV0   Symbol: SQ----	230406P00065000				
2023-04-06	1.0	0.00	2023-03-31	67.05	0.00	-67.05	
CALL SQ 04/06/23	70	BLOCK INC   CUSIP: *8LTZZW1   Symbol: SQ----	230406C00070000				
2023-03-30	5.0	859.73	2023-03-28	445.25	0.00	414.48	
CALL SWKS 04/06/23	117	SKYWORKS SOLUTIONS INC   CUSIP: *8LVBKX7   Symbol: SWKS--	230406C00117000				
2023-04-06	1.0	0.00	2023-04-04	95.05	0.00	-95.05	
CALL TSLA 04/06/23	205	TESLA INC   CUSIP: *8LVCWV6   Symbol: TSLA--	230406C00205000				
2023-04-06	1.0	0.00	2023-04-04	45.05	0.00	-45.05	
CALL TSLA 04/06/23	210	TESLA INC   CUSIP: *8LVCWW0   Symbol: TSLA--	230406C00210000				
2023-04-06	2.0	0.00	2023-04-03	102.10	0.00	-102.10	
CALL PYPL 05/19/23	82.50	PAYPAL HOLDINGS INC   CUSIP: *8LVKCX8   Symbol: PYPL--	230519C00082500				
2023-05-19	1.0	0.00	2023-04-14	170.05	0.00	-170.05	
CALL XOM 04/06/23	105	EXXON MOBIL CORP   CUSIP: *8LVVXC8   Symbol: XOM---	230406C00105000				
2023-03-27	3.0	743.81	2023-03-23	540.15	0.00	203.66	
CALL COP 04/21/23	104	CONOCOPHILLIPS   CUSIP: *8LVWDL9   Symbol: COP---	230421C00104000				
2023-04-21	2.0	0.00	2023-04-21	52.10	0.00	-52.10	
PUT QQQ 03/14/23	295	INVESCO QQQ TRUST SERIES 1   CUSIP: *8LVZQF4   Symbol: QQQ---	230314P00295000				
2023-03-14	2.0	269.88	2023-03-14	234.10	0.00	35.78	
PUT SPY 03/14/23	388	STANDARD & POORS DEPOSITORY   CUSIP: *8LVZTC7   Symbol: SPY---	230314P00388000				
2023-03-14	4.0	203.76	2023-03-14	164.20	0.00	39.56	
CALL NTNX 06/16/23	27.50	NUTANIX INC   CUSIP: *8LWBQB0   Symbol: NTNX--	230616C00027500				
2023-05-25	1.0	244.93	2023-05-24	93.05	0.00	151.88	
CALL NEM 04/06/23	46.50	NEWMONT CORPORATION   CUSIP: *8LWMNZ5   Symbol: NEM---	230406C00046500				
2023-03-22	1.0	193.93	2023-03-21	138.05	0.00	55.88	
CALL LCID 03/10/23	9.50	LUCID GROUP INC   CUSIP: *8LWYCD3   Symbol: LCID--	230310C00009500				
2023-03-07	6.0	17.67	2023-03-06	108.29	0.00	-90.62	

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Apex Clearing

Proceeds from Broker and Barter Exchange Transactions 2023 Form 1099-B\*

5MY28090

(continued)

2024-01-31

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

1a - Description of property | CUSIP | Symbol

1c - Date Sold or Disposed	Quantity	1d - Proceeds	1b - Date Acquired	1e - Cost or Other Basis	1f - Accrued Market Discount (M) & 1g - Wash Sale Loss Disallowed (D)	Gain or Loss (-)	Additional Notes
CALL QQQ 05/04/23	317	INVESTCO QQQ TRUST SERIES 1   CUSIP: *8LXCCV6   Symbol: QQQ---230504C00317000	2023-05-04	68.93	60.05	8.88	
2023-05-04	1.0		2023-05-04	60.05	0.00	8.88	
CALL QQQ 04/03/23	314	INVESTCO QQQ TRUST SERIES 1   CUSIP: *8LXJGP5   Symbol: QQQ---230403C00314000	2023-03-30	585.87	404.10	181.77	
2023-03-30	2.0		2023-03-29	404.10	0.00	181.77	
PUT QQQ 03/21/23	308	INVESTCO QQQ TRUST SERIES 1   CUSIP: *8LXSCM6   Symbol: QQQ---230321P00308000	2023-03-21	229.88	196.10	33.78	
2023-03-21	2.0		2023-03-21	196.10	0.00	33.78	
CALL SPY 06/07/23	435	STANDARD & POORS DEPOSITORY   CUSIP: *8LXTFB0   Symbol: SPY---230607C00435000	2023-06-07	0.00	52.10	-52.10	
2023-06-07	2.0		2023-06-02	52.10	0.00	-52.10	
CALL SPY 03/21/23	397	STANDARD & POORS DEPOSITORY   CUSIP: *8LXVPS4   Symbol: SPY---230321C00397000	2023-03-21	512.60	573.56	-32.75	
2023-03-21	7.0		2023-03-21	573.56	28.21 D	-32.75	
CALL SPY 05/03/23	416	STANDARD & POORS DEPOSITORY   CUSIP: *8LXZWY1   Symbol: SPY---230503C00416000	2023-05-03	0.00	132.15	-132.15	
2023-05-03	3.0		2023-05-03	132.15	0.00	-132.15	
PUT NVDA 03/10/23	230	NVIDIA CORPORATION   CUSIP: *8LYMNG0   Symbol: NVDA--230310P00230000	2023-03-10	719.78	456.20	263.58	
2023-03-10	4.0		2023-03-10	456.20	0.00	263.58	
PUT SPY 04/03/23	405	STANDARD & POORS DEPOSITORY   CUSIP: *8LZNYL6   Symbol: SPY---230403P00405000	2023-04-03	9.44	846.50	-837.06	
2023-04-03	10.0		2023-03-31	846.50	0.00	-837.06	
PUT AAPL 04/14/23	160	APPLE INC   CUSIP: *8NCNXQ0   Symbol: AAPL--230414P00160000	2023-04-10	308.81	325.15	-16.34	
2023-04-10	3.0		2023-04-10	325.15	0.00	-16.34	
CALL AAPL 04/14/23	162.50	APPLE INC   CUSIP: *8NCNXQ6   Symbol: AAPL--230414C00162500	2023-04-12	195.78	292.20	-96.42	
2023-04-12	4.0		2023-04-12	292.20	0.00	-96.42	
CALL AAPL 04/14/23	170	APPLE INC   CUSIP: *8NCNXS3   Symbol: AAPL--230414C00170000	2023-04-12	3.78	228.20	-224.42	
2023-04-12	4.0		2023-04-05	228.20	0.00	-224.42	
CALL DAL 04/14/23	36	DELTA AIR LINES INC DEL   CUSIP: *8NJTQF8   Symbol: DAL---230414C00036000	2023-04-12	50.81	99.15	-48.34	
2023-04-12	3.0		2023-04-11	99.15	0.00	-48.34	
CALL NVDA 06/16/23	450	NVIDIA CORPORATION   CUSIP: *8NKDVM3   Symbol: NVDA--230616C00450000	2023-06-16	0.00	198.10	-198.10	
2023-06-16	2.0		2023-06-15	198.10	0.00	-198.10	

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Apex Clearing

Proceeds from Broker and Barter Exchange Transactions 2023 Form 1099-B\*

5MY28090

(continued)

2024-01-31

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

1a - Description of property | CUSIP | Symbol

1c - Date Sold or Disposed	Quantity	1d - Proceeds	1b - Date Acquired	1e - Cost or Other Basis	1f - Accrued Market Discount (M) & 1g - Wash Sale Loss Disallowed (D)	Gain or Loss (-)	Additional Notes
CALL TSLA 03/17/23	180	TESLA INC ADJ 3:1 STOCK SPLIT   CUSIP: *8NKGYC5   Symbol: TSLA--230317C00180000	2023-03-17	1,312.31	1,009.64	0.00	302.67
CALL TSLA 04/21/23	200	TESLA INC ADJ 3:1 STOCK SPLIT   CUSIP: *8NKHWW5   Symbol: TSLA--230421C00200000	2023-04-21	0.00	117.05	0.00	-117.05
CALL UNH 04/21/23	487.50	UNITEDHEALTH GROUP INC   CUSIP: *8NKVZX8   Symbol: UNH---230421C00487500	2023-04-21	0.00	168.10	0.00	-168.10
CALL UNH 04/21/23	515	UNITEDHEALTH GROUP INC   CUSIP: *8NKWDF5   Symbol: UNH---230421C00515000	2023-04-05	1,609.86	597.10	0.00	1,012.76
CALL SPY 03/10/23	390	STANDARD & POORS DEPOSITORY   CUSIP: *8NLVVC1   Symbol: SPY---230310C00390000	2023-03-10	105.88	118.10	0.00	-12.22
PUT SPY 03/10/23	392	STANDARD & POORS DEPOSITORY   CUSIP: *8NLVVF8   Symbol: SPY---230310P00392000	2023-03-10	355.93	151.05	0.00	204.88
CALL JPM 04/14/23	133	JPMORGAN CHASE & CO   CUSIP: *8NNPPX2   Symbol: JPM---230414C00133000	2023-04-12	125.88	128.10	0.00	-2.22
CALL NFLX 04/14/23	345	NETFLIX INC   CUSIP: *8NPSCC7   Symbol: NFLX--230414C00345000	2023-04-13	419.88	426.10	0.00	-6.22
PUT NVDA 04/14/23	260	NVIDIA CORPORATION   CUSIP: *8NPXBM3   Symbol: NVDA--230414P00260000	2023-04-10	326.81	745.15	0.00	-418.34
PUT SPY 03/17/23	388	STANDARD & POORS DEPOSITORY   CUSIP: *8NQHKB8   Symbol: SPY---230317P00388000	2023-03-14	336.93	235.05	0.00	101.88
PUT SPY 04/03/23	409	STANDARD & POORS DEPOSITORY   CUSIP: *8NRNLB3   Symbol: SPY---230403P00409000	2023-04-03	23.88	124.10	0.00	-100.22
CALL SPY 04/04/23	410	STANDARD & POORS DEPOSITORY   CUSIP: *8NRNYH0   Symbol: SPY---230404C00410000	2023-04-03	143.93	120.05	0.00	23.88
PUT SPY 04/04/23	407	STANDARD & POORS DEPOSITORY   CUSIP: *8NSDVH8   Symbol: SPY---230404P00407000	2023-04-03	116.83	315.15	0.00	-198.32

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Apex Clearing

## Proceeds from Broker and Barter Exchange Transactions 2023 Form 1099-B\*

5MY28090

(continued)

2024-01-31

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

## 1a - Description of property | CUSIP | Symbol

1c - Date Sold or Disposed	Quantity	1d - Proceeds	1b - Date Acquired	1e - Cost or Other Basis	1f - Accrued Market Discount (M) & 1g - Wash Sale Loss Disallowed (D)	Gain or Loss (-)	Additional Notes
CALL SPY 04/04/23	411	STANDARD & POORS DEPOSITORY   CUSIP: *8NSDVS3   Symbol: SPY---230404C00411000					
2023-04-04	2.0	0.00	2023-04-04	16.10	0.00	-16.10	
CALL SNOW 04/14/23	144	SNOWFLAKE INC CLASS A   CUSIP: *8NSXCN4   Symbol: SNOW--230414C00144000					
2023-04-12	1.0	287.93	2023-04-11	128.05	0.00	159.88	
PUT SPY 03/15/23	386	STANDARD & POORS DEPOSITORY   CUSIP: *8NSZHD4   Symbol: SPY---230315P00386000					
2023-03-15	3.0	758.80	2023-03-15	568.15	0.00	190.65	
CALL SPY 03/16/23	390	STANDARD & POORS DEPOSITORY   CUSIP: *8NSZMM1   Symbol: SPY---230316C00390000					
2023-03-16	1.0	173.93	2023-03-16	69.05	0.00	104.88	
CALL SQ 04/14/23	65	BLOCK INC   CUSIP: *8NTBJD5   Symbol: SQ----230414C00065000					
2023-04-14	1.0	66.93	2023-04-14	54.05	0.00	12.88	
CALL ZS 06/16/23	110	ZSCALER INC   CUSIP: *8NVCLC4   Symbol: ZS----230616C00110000					
2023-05-08	1.0	749.93	2023-04-28	180.05	0.00	569.88	
CALL TSLA 04/14/23	190	TESLA INC   CUSIP: *8NVDCJ0   Symbol: TSLA--230414C00190000					
2023-04-14	5.0	0.00	2023-04-14	50.25	0.00	-50.25	
CALL AMD 04/21/23	90	ADVANCED MICRO DEVICES INC   CUSIP: *8NWMJR5   Symbol: AMD---230421C00090000					
2023-04-20	1.0	122.93	2023-04-18	125.05	0.00	-2.12	
CALL UNH 04/14/23	520	UNITEDHEALTH GROUP INC   CUSIP: *8NWNZV1   Symbol: UNH---230414C00520000					
2023-04-14	2.0	101.88	2023-04-14	272.10	0.00	-170.22	
CALL MRNA 03/17/23	155	MODERNA INC   CUSIP: *8NXSGY1   Symbol: MRNA--230317C00155000					
2023-03-17	1.0	89.93	2023-03-16	64.05	0.00	25.88	
CALL WMT 04/14/23	150	WALMART INC   CUSIP: *8NYKQV8   Symbol: WMT---230414C00150000					
2023-04-12	1.0	80.93	2023-04-10	168.05	0.00	-87.12	
CALL QQQ 03/21/23	317	INVESCO QQQ TRUST SERIES 1   CUSIP: *8NZGWC4   Symbol: QQQ---230321C00317000					
2023-03-21	10.0	0.00	2023-03-21	10.49	0.00	-10.49	
CALL SPY 04/11/23	408	STANDARD & POORS DEPOSITORY   CUSIP: *8NZXXM8   Symbol: SPY---230411C00408000					
2023-04-10	1.0	151.93	2023-04-10	121.05	0.00	30.88	

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Apex Clearing

Proceeds from Broker and Barter Exchange Transactions 2023 Form 1099-B\*

5MY28090

(continued)

2024-01-31

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

1a - Description of property | CUSIP | Symbol

1c - Date Sold or Disposed	Quantity	1d - Proceeds	1b - Date Acquired	1e - Cost or Other Basis	1f - Accrued Market Discount (M) & 1g - Wash Sale Loss Disallowed (D)	Gain or Loss (-)	Additional Notes
CALL SPY 03/21/23	393	STANDARD & POORS DEPOSITORY   CUSIP: *8NZYXC0   Symbol: SPY---230321C00393000					
2023-03-20	1.0	199.93	2023-03-20	174.05	0.00	25.88	
PUT SPY 03/22/23	390	STANDARD & POORS DEPOSITORY   CUSIP: *8PBCSV1   Symbol: SPY---230322P00390000					
2023-03-22	2.0	0.00	2023-03-22	66.10	0.00	-66.10	
PUT SPY 03/22/23	393	STANDARD & POORS DEPOSITORY   CUSIP: *8PBCXL5   Symbol: SPY---230322P00393000					
2023-03-22	1.0	104.93	2023-03-22	82.05	0.00	22.88	
PUT AI 04/28/23	21	C3 AI INC CLASS A   CUSIP: *8PDJXB3   Symbol: AI---230428P00021000					
2023-04-05	1.0	219.93	2023-03-23	95.05	0.00	124.88	
CALL COIN 04/28/23	61	COINBASE GLOBAL INC   CUSIP: *8PDWPW6   Symbol: COIN--230428C00061000					
2023-04-24	1.0	53.93	2023-04-24	140.05	0.00	-86.12	
CALL QQQ 04/12/23	318	INVESCO QQQ TRUST SERIES 1   CUSIP: *8PFBWF3   Symbol: QQQ---230412C00318000					
2023-04-12	6.0	161.69	2023-04-12	420.30	0.00	-258.61	
CALL COIN 04/06/23	73	COINBASE GLOBAL INC   CUSIP: *8PFDLT7   Symbol: COIN--230406C00073000					
2023-04-03	1.0	29.93	2023-04-03	111.05	0.00	-81.12	
CALL AAPL 05/12/23	175	APPLE INC   CUSIP: *8PFWPH6   Symbol: AAPL--230512C00175000					
2023-04-12	1.0	67.93	2023-04-04	223.05	0.00	-155.12	
CALL AMD 05/12/23	98	ADVANCED MICRO DEVICES INC   CUSIP: *8PGZKP9   Symbol: AMD---230512C00098000					
2023-05-12	5.0	79.73	2023-05-11	320.25	0.00	-240.52	
CALL COIN 05/12/23	60	COINBASE GLOBAL INC   CUSIP: *8PHHBS1   Symbol: COIN--230512C00060000					
2023-05-09	1.0	195.93	2023-05-09	140.05	0.00	55.88	
CALL BA 04/14/23	217.50	BOEING CO   CUSIP: *8PJNHC6   Symbol: BA---230414C00217500					
2023-04-11	2.0	121.87	2023-04-10	320.10	0.00	-198.23	
PUT TTD 05/19/23	57	TRADE DESK INC CLASS A   CUSIP: *8PJPJ2   Symbol: TTD---230519P00057000					
2023-05-19	1.0	0.00	2023-05-10	135.05	0.00	-135.05	
CALL AMZN 05/05/23	105	AMAZON.COM INC   CUSIP: *8PJTV6   Symbol: AMZN--230505C00105000					
2023-05-03	3.0	488.81	2023-05-02	228.15	0.00	260.66	

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Apex Clearing

**Proceeds from Broker and Barter Exchange Transactions 2023 Form 1099-B\***

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(continued)

2024-01-31

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

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

1c - Date Sold or Disposed	Quantity	1d - Proceeds	1b - Date Acquired	1e - Cost or Other Basis	1f - Accrued Market Discount (M) & 1g - Wash Sale Loss Disallowed (D)	Gain or Loss (-)	Additional Notes
CALL BA 05/05/23	210	BOEING CO   CUSIP: *8PKBKP9   Symbol: BA----	2023-05-01	138.05	0.00	-77.12	230505C00210000
CALL AAPL 05/19/23	172.50	APPLE INC   CUSIP: *8PKGHN9   Symbol: AAPL--	2023-05-17	61.05	0.00	47.88	230519C00172500
CALL ADSK 05/19/23	202.50	AUTODESK INC   CUSIP: *8PKHGV7   Symbol: ADSK--	2023-05-19	90.15	0.00	-90.15	230519C00202500
CALL BABA 03/17/23	84	ALIBABA GROUP HOLDING LIMITED   CUSIP: *8PKMFY9   Symbol: BABA--	2023-03-16	183.10	0.00	-93.22	230317C00084000
CALL COIN 07/21/23	60	COINBASE GLOBAL INC   CUSIP: *8PKPSX2   Symbol: COIN--	2023-06-20	410.05	0.00	-5.12	230721C00060000
CALL ADBE 06/16/23	525	ADOBE INC   CUSIP: *8PKVGV9   Symbol: ADBE--	2023-06-16	79.05	0.00	-79.05	230616C00525000
CALL ADBE 06/16/23	600	ADOBE INC   CUSIP: *8PKVGY6   Symbol: ADBE--	2023-06-16	126.05	0.00	-126.05	230616C00600000
CALL NFLX 05/12/23	347.50	NETFLIX INC   CUSIP: *8PLVGT4   Symbol: NFLX--	2023-05-11	98.10	0.00	243.78	230512C00347500
CALL SEDG 05/12/23	307.50	SOLAREEDGE TECHNOLOGIES INC   CUSIP: *8PMYRW5   Symbol: SEDG--	2023-05-12	70.05	0.00	-70.05	230512C00307500
CALL SPY 05/08/23	412	STANDARD & POORS DEPOSITORY   CUSIP: *8PNBTH2   Symbol: SPY---	2023-05-08	158.10	0.00	17.78	230508C00412000
CALL NFLX 06/16/23	430	NETFLIX INC   CUSIP: *8PNMKW7   Symbol: NFLX--	2023-06-13	288.05	0.00	826.88	230616C00430000
CALL XOM 06/16/23	105	EXXON MOBIL CORP   CUSIP: *8PNQPH0   Symbol: XOM---	2023-06-02	169.05	0.00	56.88	230616C00105000
PUT SPY 03/31/23	380	STANDARD & POORS DEPOSITORY   CUSIP: *8PPJZL4   Symbol: SPY---	2023-03-23	171.05	0.00	58.88	230331P00380000

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Apex Clearing

Proceeds from Broker and Barter Exchange Transactions 2023 Form 1099-B\*

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(continued)

2024-01-31

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

1a - Description of property | CUSIP | Symbol

1c - Date Sold or Disposed	Quantity	1d - Proceeds	1b - Date Acquired	1e - Cost or Other Basis	1f - Accrued Market Discount (M) & 1g - Wash Sale Loss Disallowed (D)	Gain or Loss (-)	Additional Notes
CALL NVDA 04/21/23	290	NVIDIA CORPORATION   CUSIP: *8PVSJW5   Symbol: NVDA--230421C00290000					
2023-04-20	1.0	2.93	2023-04-18	112.05	0.00	-109.12	
CALL SPY 06/16/23	440	STANDARD & POORS DEPOSITORY   CUSIP: *8PWGNG6   Symbol: SPY---230616C00440000					
2023-06-15	1.0	141.93	2023-06-14	124.05	0.00	17.88	
CALL AAPL 06/09/23	180	APPLE INC   CUSIP: *8PXGGZ1   Symbol: AAPL--230609C00180000					
2023-06-09	1.0	189.93	2023-06-06	102.05	0.00	87.88	
CALL AMGN 06/09/23	220	AMGEN INC   CUSIP: *8PZBBZ3   Symbol: AMGN--230609C00220000					
2023-06-09	1.0	75.93	2023-06-09	50.05	0.00	25.88	
CALL META 04/21/23	225	META PLATFORMS INC CL A   CUSIP: *8PZFNT4   Symbol: META--230421C00225000					
2023-04-20	1.0	4.93	2023-04-14	170.05	0.00	-165.12	
CALL BA 06/09/23	215	BOEING CO   CUSIP: *8PZVFG6   Symbol: BA----230609C00215000					
2023-06-02	1.0	199.93	2023-05-22	166.05	0.00	33.88	
PUT NVDA 03/17/23	220	NVIDIA CORPORATION   CUSIP: *8SDBXH6   Symbol: NVDA--230317P00220000					
2023-03-13	1.0	569.93	2023-03-13	400.05	0.00	169.88	
CALL TSLA 05/19/23	170	TESLA INC   CUSIP: *8SDHHQ3   Symbol: TSLA--230519C00170000					
2023-05-15	1.0	208.93	2023-05-15	350.05	0.00	-141.12	
CALL TSLA 05/19/23	175	TESLA INC   CUSIP: *8SDHHR7   Symbol: TSLA--230519C00175000					
2023-05-18	3.0	758.83	2023-05-15	431.15	0.00	327.68	
PUT TSLA 04/21/23	160	TESLA INC   CUSIP: *8SDJWC1   Symbol: TSLA--230421P00160000					
2023-04-20	1.0	205.93	2023-04-19	94.05	0.00	111.88	
CALL AAPL 05/19/23	180	APPLE INC   CUSIP: *8SDLLN4   Symbol: AAPL--230519C00180000					
2023-05-19	1.0	0.00	2023-05-19	4.05	0.00	-4.05	
PUT AMZN 03/24/23	100	AMAZON.COM INC   CUSIP: *8SFJZM2   Symbol: AMZN--230324P00100000					
2023-03-23	8.0	863.58	2023-03-23	726.40	0.00	137.18	
CALL BA 03/24/23	205	BOEING CO   CUSIP: *8SFKZX9   Symbol: BA----230324C00205000					
2023-03-20	1.0	464.93	2023-03-20	350.05	0.00	114.88	

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Apex Clearing

## Proceeds from Broker and Barter Exchange Transactions 2023 Form 1099-B\*

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(continued)

2024-01-31

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

## 1a - Description of property | CUSIP | Symbol

1c - Date Sold or Disposed	Quantity	1d - Proceeds	1b - Date Acquired	1e - Cost or Other Basis	1f - Accrued Market Discount (M) & 1g - Wash Sale Loss Disallowed (D)	Gain or Loss (-)	Additional Notes
CALL EXPR 03/24/23	1 EXPRESS INC   CUSIP: *8SGNFQ6   Symbol: EXPR--230324C00001000						
2023-03-24	2.0	0.00	2023-03-23	16.10	0.00	-16.10	
CALL GOOGL 04/14/23	107 ALPHABET INC CLASS A   CUSIP: *8SGRKC3   Symbol: GOOGL-230414C00107000						
2023-04-12	3.0	116.82	2023-04-12	282.15	0.00	-165.33	
CALL GOOGL 04/14/23	110 ALPHABET INC CLASS A   CUSIP: *8SGRLN6   Symbol: GOOGL-230414C00110000						
2023-04-12	10.0	29.48	2023-04-11	200.49	0.00	-171.01	
CALL JPM 03/24/23	135 JPMORGAN CHASE & CO   CUSIP: *8SGRMB9   Symbol: JPM---230324C00135000						
2023-03-24	1.0	0.00	2023-03-21	58.05	0.00	-58.05	
CALL META 02/24/23	172.50 META PLATFORMS INC CL A   CUSIP: *8SGTYB4   Symbol: META--230224C00172500						
2023-02-24	1.0	4.93	2023-02-24	16.05	0.00	-11.12	
PUT NFLX 03/24/23	295 NETFLIX INC   CUSIP: *8SGWHP6   Symbol: NFLX--230324P00295000						
2023-03-22	5.0	1,274.72	2023-03-22	1,045.25	0.00	229.47	
PUT NVDA 03/24/23	260 NVIDIA CORPORATION   CUSIP: *8SGXDV3   Symbol: NVDA--230324P00260000						
2023-03-24	3.0	152.83	2023-03-23	93.15	0.00	59.68	
CALL QQQ 03/24/23	320 INVESCO QQQ TRUST SERIES 1   CUSIP: *8SGYTF1   Symbol: QQQ---230324C00320000						
2023-03-22	2.0	207.88	2023-03-22	154.10	0.00	53.78	
CALL SNOW 03/24/23	140 SNOWFLAKE INC CLASS A   CUSIP: *8SHBGL4   Symbol: SNOW--230324C00140000						
2023-03-21	1.0	236.93	2023-03-21	205.05	0.00	31.88	
PUT SPY 03/24/23	390 STANDARD & POORS DEPOSITORY   CUSIP: *8SHBSG0   Symbol: SPY---230324P00390000						
2023-03-24	3.0	556.81	2023-03-24	435.15	0.00	121.66	
CALL SPY 03/24/23	394 STANDARD & POORS DEPOSITORY   CUSIP: *8SHBSH7   Symbol: SPY---230324C00394000						
2023-03-24	7.0	713.61	2023-03-24	482.35	0.00	231.26	
CALL TSLA 03/24/23	190 TESLA INC   CUSIP: *8SHDDY2   Symbol: TSLA--230324C00190000						
2023-03-24	1.0	221.93	2023-03-24	165.05	0.00	56.88	

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Apex Clearing

# Proceeds from Broker and Barter Exchange Transactions 2023 Form 1099-B\*

5MY28090

(continued)

2024-01-31

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

### 1a - Description of property | CUSIP | Symbol

1c - Date Sold or Disposed	Quantity	1d - Proceeds	1b - Date Acquired	1e - Cost or Other Basis	1f - Accrued Market Discount (M) & 1g - Wash Sale Loss Disallowed (D)	Gain or Loss (-)	Additional Notes
CALL TSLA 03/24/23 195 TESLA INC   CUSIP: *8SHDDY8   Symbol: TSLA--230324C00195000							
2023-03-23	1.0	170.93	2023-03-23	127.05	0.00	43.88	
2023-03-24	1.0	0.00	2023-03-24	91.05	0.00	-91.05	
<b>Security Totals:</b>		<b>170.93</b>		<b>218.10</b>		<b>-47.17</b>	
CALL TSLA 03/24/23 202.50 TESLA INC   CUSIP: *8SJGCP2   Symbol: TSLA--230324C00202500							
2023-03-21	1.0	216.93	2023-03-21	169.05	0.00	47.88	
2023-03-22	2.0	491.88	2023-03-22	463.10	0.00	28.78	
<b>Security Totals:</b>		<b>708.81</b>		<b>632.15</b>		<b>76.66</b>	
PUT QQQ 03/20/23 301 INVESCO QQQ TRUST SERIES 1   CUSIP: *8SJQYF0   Symbol: QQQ---230320P00301000							
2023-03-20	2.0	45.88	2023-03-20	104.10	0.00	-58.22	
CALL SEDG 03/17/23 275 SOLAREEDGE TECHNOLOGIES INC   CUSIP: *8SJRLM8   Symbol: SEDG--230317C00275000							
2023-03-17	1.0	319.93	2023-03-17	190.05	0.00	129.88	
CALL SPY 03/20/23 393 STANDARD & POORS DEPOSITORY   CUSIP: *8SJRWC9   Symbol: SPY---230320C00393000							
2023-03-20	18.0	1,337.03	2023-03-20	1,237.21	27.32 D	127.14	
PUT EXPE 06/09/23 93 EXPEDIA GROUP INC   CUSIP: *8SJSZY6   Symbol: EXPE--230609P00093000							
2023-06-09	1.0	0.00	2023-05-05	365.05	0.00	-365.05	
PUT NOW 05/05/23 390 SERVICENOW INC   CUSIP: *8SJXDY5   Symbol: NOW---230505P00390000							
2023-05-05	1.0	0.00	2023-04-26	149.05	0.00	-149.05	
CALL NVDA 05/05/23 300 NVIDIA CORPORATION   CUSIP: *8SJXRD4   Symbol: NVDA--230505C00300000							
2023-05-05	1.0	0.00	2023-05-01	160.05	0.00	-160.05	
PUT SPY 04/05/23 407 STANDARD & POORS DEPOSITORY   CUSIP: *8SKFWZ4   Symbol: SPY---230405P00407000							
2023-04-05	1.0	119.93	2023-04-05	93.05	0.00	26.88	
CALL SPY 04/05/23 409 STANDARD & POORS DEPOSITORY   CUSIP: *8SKFWZ7   Symbol: SPY---230405C00409000							
2023-04-05	4.0	139.78	Various	312.20	0.00	-172.42	
PUT SPY 05/05/23 400 STANDARD & POORS DEPOSITORY   CUSIP: *8SKFYP9   Symbol: SPY---230505P00400000							
2023-04-21	2.0	321.88	2023-04-20	288.10	0.00	33.78	

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Proceeds from Broker and Barter Exchange Transactions 2023 Form 1099-B\*

5MY28090

(continued)

2024-01-31

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

1a - Description of property | CUSIP | Symbol

1c - Date Sold or Disposed	Quantity	1d - Proceeds	1b - Date Acquired	1e - Cost or Other Basis	1f - Accrued Market Discount (M) & 1g - Wash Sale Loss Disallowed (D)	Gain or Loss (-)	Additional Notes
PUT SPY 05/05/23 408 STANDARD & POORS DEPOSITORY   CUSIP: *8SKFYW3   Symbol: SPY---230505P00408000							
2023-05-02	4.0	915.78	2023-04-28	500.20	0.00	415.58	
2023-05-03	1.0	179.93	2023-04-28	125.05	0.00	54.88	
<b>Security Totals:</b>		<b>1,095.71</b>		<b>625.25</b>		<b>470.46</b>	
PUT TSLA 05/05/23 150 TESLA INC   CUSIP: *8SKHBK9   Symbol: TSLA--230505P00150000							
2023-05-05	2.0	0.00	2023-04-28	170.10	0.00	-170.10	
CALL TSLA 05/05/23 170 TESLA INC   CUSIP: *8SKHBM7   Symbol: TSLA--230505C00170000							
2023-05-05	5.0	211.70	2023-05-04	60.25	0.00	151.45	
CALL IBM 04/28/23 130 INTL BUSINESS MACHINE   CUSIP: *8SKMBX6   Symbol: IBM---230428C00130000							
2023-04-20	1.0	16.93	2023-04-19	137.05	0.00	-120.12	
CALL ISRG 04/28/23 300 INTUITIVE INTUITIVE INC   CUSIP: *8SKMHZ4   Symbol: ISRG--230428C00300000							
2023-04-19	2.0	1,279.87	2023-04-18	100.10	0.00	1,179.77	
CALL MSFT 04/28/23 305 MICROSOFT CORP   CUSIP: *8SKPVR1   Symbol: MSFT--230428C00305000							
2023-04-27	1.0	161.93	2023-04-27	84.05	0.00	77.88	
CALL NFLX 04/28/23 340 NETFLIX INC   CUSIP: *8SKQHN6   Symbol: NFLX--230428C00340000							
2023-04-24	2.0	327.88	2023-04-24	424.10	0.00	-96.22	
PUT NVDA 04/06/23 262.50 NVIDIA CORPORATION   CUSIP: *8SKRKN9   Symbol: NVDA--230406P00262500							
2023-04-06	1.0	0.00	2023-03-30	245.05	0.00	-245.05	
PUT SPY 04/10/23 398 STANDARD & POORS DEPOSITORY   CUSIP: *8SKTMR1   Symbol: SPY---230410P00398000							
2023-04-10	1.0	0.00	2023-03-30	248.05	0.00	-248.05	
PUT MCK 05/12/23 390 MCKESSON CORP   CUSIP: *8SKYJK1   Symbol: MCK---230512P00390000							
2023-05-11	1.0	99.93	2023-05-10	80.05	0.00	19.88	
CALL NFLX 05/12/23 335 NETFLIX INC   CUSIP: *8SKZGY9   Symbol: NFLX--230512C00335000							
2023-05-08	2.0	405.88	2023-05-08	326.10	0.00	79.78	
CALL PDD 05/12/23 69 PDD HOLDINGS INC ADS   CUSIP: *8SKZWZ6   Symbol: PDD---230512C00069000							
2023-05-09	3.0	20.81	2023-05-08	30.15	0.00	-9.34	

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Apex Clearing

Proceeds from Broker and Barter Exchange Transactions 2023 Form 1099-B\*

5MY28090

(continued)

2024-01-31

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

1a - Description of property | CUSIP | Symbol

1c - Date Sold or Disposed	Quantity	1d - Proceeds	1b - Date Acquired	1e - Cost or Other Basis	1f - Accrued Market Discount (M) & 1g - Wash Sale Loss Disallowed (D)	Gain or Loss (-)	Additional Notes
CALL PLUG 05/12/23	10 PLUG POWER INC   CUSIP: *8SLBCT4   Symbol: PLUG--230512C00010000						
2023-05-12	1.0	0.00	2023-05-08	38.05	0.00	-38.05	
PUT ROKU 04/28/23	58 ROKU INC   CUSIP: *8SLCZF8   Symbol: ROKU--230428P00058000						
2023-04-26	1.0	413.93	2023-04-18	199.05	0.00	214.88	
PUT SPY 03/23/23	394 STANDARD & POORS DEPOSITORY   CUSIP: *8SLFFD5   Symbol: SPY---230323P00394000						
2023-03-23	3.0	212.83	2023-03-23	183.15	0.00	29.68	
PUT SPY 04/28/23	410 STANDARD & POORS DEPOSITORY   CUSIP: *8SLFGH1   Symbol: SPY---230428P00410000						
2023-04-20	2.0	453.88	2023-04-19	350.10	0.00	103.78	
PUT TQQQ 04/28/23	25 PROSHARES ULTRAPRO QQQ   CUSIP: *8SLGRX3   Symbol: TQQQ--230428P00025000						
2023-04-25	2.0	71.88	2023-04-24	56.10	0.00	15.78	
PUT TSLA 04/28/23	150 TESLA INC   CUSIP: *8SLHCJ7   Symbol: TSLA--230428P00150000						
2023-04-26	2.0	271.88	2023-04-26	102.10	0.00	169.78	
CALL COIN 05/05/23	50 COINBASE GLOBAL INC   CUSIP: *8SLHRL4   Symbol: COIN--230505C00050000						
2023-05-05	1.0	474.93	2023-05-04	251.05	0.00	223.88	
CALL TXN 04/28/23	190 TEXAS INSTRUMENTS INC   CUSIP: *8SLHRP0   Symbol: TXN---230428C00190000						
2023-04-28	1.0	0.00	2023-04-04	282.05	0.00	-282.05	
CALL COIN 05/05/23	60 COINBASE GLOBAL INC   CUSIP: *8SLHRP6   Symbol: COIN--230505C00060000						
2023-05-01	1.0	74.93	2023-05-01	113.05	0.00	-38.12	
PUT META 06/09/23	220 META PLATFORMS INC CL A   CUSIP: *8SLPBM2   Symbol: META--230609P00220000						
2023-06-09	1.0	0.00	2023-05-16	162.05	0.00	-162.05	
PUT RBLX 06/09/23	36 ROBLOX CORPORATION   CUSIP: *8SLSXW6   Symbol: RBLX--230609P00036000						
2023-06-02	1.0	2.93	2023-05-10	125.05	0.00	-122.12	
CALL ROKU 06/09/23	62 ROKU INC   CUSIP: *8SLTJG7   Symbol: ROKU--230609C00062000						
2023-06-06	1.0	201.93	2023-06-06	135.05	0.00	66.88	
PUT SPY 05/11/23	410 STANDARD & POORS DEPOSITORY   CUSIP: *8SLVRW7   Symbol: SPY---230511P00410000						
2023-05-11	2.0	0.00	2023-05-11	142.10	0.00	-142.10	

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Apex Clearing

Proceeds from Broker and Barter Exchange Transactions 2023 Form 1099-B\*

5MY28090

(continued)

2024-01-31

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

1a - Description of property | CUSIP | Symbol

1c - Date Sold or Disposed	Quantity	1d - Proceeds	1b - Date Acquired	1e - Cost or Other Basis	1f - Accrued Market Discount (M) & 1g - Wash Sale Loss Disallowed (D)	Gain or Loss (-)	Additional Notes
CALL SPY 06/09/23	415	STANDARD & POORS DEPOSITORY   CUSIP: *8SLVTC7   Symbol: SPY---230609C00415000					
2023-05-18	1.0	651.93	2023-05-18	626.05	0.00	25.88	
PUT SPY 06/09/23	420	STANDARD & POORS DEPOSITORY   CUSIP: *8SLVTF0   Symbol: SPY---230609P00420000					
2023-06-09	2.0	0.00	2023-06-02	116.10	0.00	-116.10	
PUT SPY 05/10/23	408	STANDARD & POORS DEPOSITORY   CUSIP: *8SLYDY0   Symbol: SPY---230510P00408000					
2023-05-10	3.0	23.81	2023-05-05	351.15	0.00	-327.34	
CALL TGT 06/09/23	170	TARGET CORP   CUSIP: *8SMBQH9   Symbol: TGT---230609C00170000					
2023-05-17	1.0	91.93	2023-05-08	200.05	0.00	-108.12	
PUT TSLA 06/09/23	180	TESLA INC   CUSIP: *8SMCDM9   Symbol: TSLA--230609P00180000					
2023-06-01	1.0	33.93	2023-05-31	157.05	0.00	-123.12	
PUT SNOW 05/12/23	155	SNOWFLAKE INC CLASS A   CUSIP: *8SMLBG7   Symbol: SNOW--230512P00155000					
2023-05-12	1.0	0.00	2023-05-08	208.05	0.00	-208.05	
CALL SQ 05/12/23	70	BLOCK INC   CUSIP: *8SMLXL7   Symbol: SQ---230512C00070000					
2023-05-12	1.0	0.00	2023-04-17	200.05	0.00	-200.05	
CALL TSLA 05/12/23	175	TESLA INC   CUSIP: *8SMMVQ5   Symbol: TSLA--230512C00175000					
2023-05-11	4.0	371.75	2023-05-11	116.20	0.00	255.55	
CALL TSLA 05/12/23	182.50	TESLA INC   CUSIP: *8SMMVR3   Symbol: TSLA--230512C00182500					
2023-05-12	2.0	0.00	2023-05-08	112.10	0.00	-112.10	
CALL AMD 06/09/23	121	ADVANCED MICRO DEVICES INC   CUSIP: *8SMQGK0   Symbol: AMD---230609C00121000					
2023-06-06	2.0	609.88	2023-06-06	440.10	0.00	169.78	
CALL AI 06/02/23	65	C3 AI INC CLASS A   CUSIP: *8SMWXW6   Symbol: AI---230602C00065000					
2023-06-02	1.0	0.00	2023-05-31	70.05	0.00	-70.05	
CALL TSLA 06/09/23	257.50	TESLA INC   CUSIP: *8SNBZP8   Symbol: TSLA--230609C00257500					
2023-06-09	1.0	111.93	2023-06-09	68.05	0.00	43.88	
CALL SPY 05/17/23	414	STANDARD & POORS DEPOSITORY   CUSIP: *8SNHWK9   Symbol: SPY---230517C00414000					
2023-05-17	5.0	885.71	2023-05-16	245.25	0.00	640.46	

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Apex Clearing

Proceeds from Broker and Barter Exchange Transactions 2023 Form 1099-B\*

5MY28090

(continued)

2024-01-31

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

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

1c - Date Sold or Disposed	Quantity	1d - Proceeds	1b - Date Acquired	1e - Cost or Other Basis	1f - Accrued Market Discount (M) & 1g - Wash Sale Loss Disallowed (D)	Gain or Loss (-)	Additional Notes
<b>CALL AAPL 06/23/23 190 APPLE INC   CUSIP: *8SNJWL5   Symbol: AAPL--230623C00190000</b>							
2023-06-09	3.0	125.82	2023-06-08	75.15	0.00	50.67	
2023-06-12	1.0	40.93	2023-06-08	25.05	0.00	15.88	
<b>Security Totals:</b>		<b>166.75</b>		<b>100.20</b>		<b>66.55</b>	
<b>CALL SPY 06/30/23 426 STANDARD &amp; POORS DEPOSITORY   CUSIP: *8SNTFW2   Symbol: SPY---230630C00426000</b>							
2023-06-02	1.0	593.93	2023-05-18	378.05	0.00	215.88	
<b>CALL UPST 01/19/24 20 UPSTART HOLDINGS INC   CUSIP: *8SRZGK9   Symbol: UPST--240119C00020000</b>							
2023-04-12	1.0	288.93	2023-03-28	182.05	0.00	106.88	
<b>CALL AMZN 07/21/23 130 AMAZON.COM INC   CUSIP: *8STXYH0   Symbol: AMZN--230721C00130000</b>							
2023-06-09	1.0	309.93	2023-06-07	234.05	0.00	75.88	
<b>CALL AMZN 03/17/23 95 AMAZON.COM INC ADJ 20:1 STOCK SPLIT   CUSIP: *8STZYM9   Symbol: AMZN--230317C00095000</b>							
2023-03-10	1.0	81.93	2023-03-10	138.05	56.12 D	-0.00	
2023-03-14	1.0	143.93	2023-03-14	173.17	0.00	-29.24	
<b>Security Totals:</b>		<b>225.86</b>		<b>311.22</b>		<b>-29.24</b>	
<b>CALL AMZN 03/17/23 99 AMAZON.COM INC ADJ 20:1 STOCK SPLIT   CUSIP: *8STZYN7   Symbol: AMZN--230317C00099000</b>							
2023-03-17	5.0	244.73	2023-03-17	170.25	0.00	74.48	
<b>CALL XLF 06/30/23 33 SECTOR SPDR FINANCIAL ETF   CUSIP: *8SWLZK1   Symbol: XLF---230630C00033000</b>							
2023-06-01	2.0	43.87	2023-05-19	122.10	0.00	-78.23	
<b>CALL GOOG 04/21/23 105 ALPHABET INC CLASS C   CUSIP: *8SYVJD3   Symbol: GOOG--230421C00105000</b>							
2023-03-21	1.0	449.93	2023-03-21	395.05	0.00	54.88	
<b>CALL COP 03/17/23 95 CONOCOPHILLIPS   CUSIP: *8SZYZB8   Symbol: COP---230317C00095000</b>							
2023-03-17	1.0	85.93	2023-03-17	63.05	0.00	22.88	
<b>CALL HD 09/15/23 360 HOME DEPOT INC   CUSIP: *8UBXYK8   Symbol: HD---230915C00360000</b>							
2023-06-06	1.0	39.93	2023-03-24	170.05	0.00	-130.12	
<b>CALL QQQ 03/17/23 306 INVESCO QQQ TRUST SERIES 1   CUSIP: *8UCCKY4   Symbol: QQQ---230317C00306000</b>							
2023-03-17	11.0	296.42	2023-03-17	462.54	0.00	-166.12	

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Apex Clearing

Proceeds from Broker and Barter Exchange Transactions 2023 Form 1099-B\*

5MY28090

(continued)

2024-01-31

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

1a - Description of property | CUSIP | Symbol

1c - Date Sold or Disposed	Quantity	1d - Proceeds	1b - Date Acquired	1e - Cost or Other Basis	1f - Accrued Market Discount (M) & 1g - Wash Sale Loss Disallowed (D)	Gain or Loss (-)	Additional Notes
CALL SPY 03/03/23	401	STANDARD & POORS DEPOSITORY   CUSIP: *8UCDYD4   Symbol: SPY---230303C00401000					
2023-03-03	1.0	59.93	2023-03-03	105.05	0.00	-45.12	
CALL SPY 03/03/23	425	STANDARD & POORS DEPOSITORY   CUSIP: *8UCDYG8   Symbol: SPY---230303C00425000					
2023-03-03	2.0	0.00	2023-02-17	50.10	0.00	-50.10	
CALL SPY 07/21/23	445	STANDARD & POORS DEPOSITORY   CUSIP: *8UCDYW4   Symbol: SPY---230721C00445000					
2023-06-02	3.0	388.81	2023-06-01	213.15	0.00	175.66	
CALL SQ 03/03/23	78	BLOCK INC   CUSIP: *8UCDZS4   Symbol: SQ----230303C00078000					
2023-03-02	2.0	197.88	2023-03-01	140.10	0.00	57.78	
CALL BABA 03/03/23	95	ALIBABA GROUP HOLDING LIMITED   CUSIP: *8UCGVV4   Symbol: BABA--230303C00095000					
2023-03-02	1.0	10.93	2023-03-02	19.05	0.00	-8.12	
CALL SNOW 03/03/23	170	SNOWFLAKE INC CLASS A   CUSIP: *8UCKLG9   Symbol: SNOW--230303C00170000					
2023-03-03	1.0	0.00	2023-03-01	210.05	0.00	-210.05	
CALL TSLA 03/03/23	215	TESLA INC   CUSIP: *8UCKWL2   Symbol: TSLA--230303C00215000					
2023-02-27	1.0	524.93	2023-02-27	400.05	0.00	124.88	
CALL TSLA 04/21/23	180	TESLA INC   CUSIP: *8UCPLK2   Symbol: TSLA--230421C00180000					
2023-04-20	1.0	5.93	2023-04-20	39.05	0.00	-33.12	
CALL GOOGL 02/24/23	92	ALPHABET INC CLASS A   CUSIP: *8UCQHZ9   Symbol: GOOGL-230224C00092000					
2023-02-23	1.0	31.93	2023-02-23	19.05	0.00	12.88	
CALL RIOT 02/24/23	7	RIOT PLATFORMS INC   CUSIP: *8UCSZN2   Symbol: RIOT--230224C00007000					
2023-02-22	1.0	6.93	2023-02-21	30.05	0.00	-23.12	
CALL SQ 02/24/23	78	BLOCK INC   CUSIP: *8UCTSF1   Symbol: SQ----230224C00078000					
2023-02-24	1.0	0.00	2023-02-24	80.05	0.00	-80.05	
PUT SPY 02/22/23	399	STANDARD & POORS DEPOSITORY   CUSIP: *8UCZYW2   Symbol: SPY---230222P00399000					
2023-02-22	3.0	461.81	2023-02-22	300.15	0.00	161.66	
CALL AMZN 03/31/23	98	AMAZON.COM INC   CUSIP: *8UDCKN1   Symbol: AMZN--230331C00098000					
2023-03-29	4.0	731.78	2023-03-28	376.20	0.00	355.58	

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Apex Clearing

Proceeds from Broker and Barter Exchange Transactions 2023 Form 1099-B\*

5MY28090

(continued)

2024-01-31

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

1a - Description of property | CUSIP | Symbol

1c - Date Sold or Disposed	Quantity	1d - Proceeds	1b - Date Acquired	1e - Cost or Other Basis	1f - Accrued Market Discount (M) & 1g - Wash Sale Loss Disallowed (D)	Gain or Loss (-)	Additional Notes
CALL AMZN 03/31/23	100	AMAZON.COM INC   CUSIP: *8UDCKN5   Symbol: AMZN--230331C00100000					
2023-03-21	1.0	210.93	2023-03-20	177.05	0.00	33.88	
CALL COIN 03/31/23	65	COINBASE GLOBAL INC   CUSIP: *8UDKJV4   Symbol: COIN--230331C00065000					
2023-03-29	2.0	553.88	2023-03-28	358.10	0.00	195.78	
CALL COIN 03/31/23	67	COINBASE GLOBAL INC   CUSIP: *8UDKJV8   Symbol: COIN--230331C00067000					
2023-03-30	1.0	191.93	2023-03-29	138.05	0.00	53.88	
CALL FDX 03/31/23	225	FEDEX CORP   CUSIP: *8UDLGH0   Symbol: FDX---230331C00225000					
2023-03-22	1.0	264.93	2023-03-21	215.05	0.00	49.88	
CALL GOOGL 03/31/23	104	ALPHABET INC CLASS A   CUSIP: *8UDLPV6   Symbol: GOOGL-230331C00104000					
2023-03-30	1.0	7.93	2023-03-27	124.05	0.00	-116.12	
PUT SPY 02/21/23	402	STANDARD & POORS DEPOSITORY   CUSIP: *8UDMRX6   Symbol: SPY---230221P00402000					
2023-02-21	6.0	869.66	2023-02-21	650.30	0.00	219.36	
CALL MSFT 03/31/23	290	MICROSOFT CORP   CUSIP: *8UDPCJ5   Symbol: MSFT--230331C00290000					
2023-03-24	1.0	101.93	2023-03-24	103.05	0.00	-1.12	
CALL NFLX 03/31/23	345	NETFLIX INC   CUSIP: *8UDPGN1   Symbol: NFLX--230331C00345000					
2023-03-27	2.0	769.88	2023-03-27	630.10	0.00	139.78	
CALL NKE 03/31/23	121	NIKE INC CLASS B   CUSIP: *8UDPHC1   Symbol: NKE---230331C00121000					
2023-03-30	1.0	82.93	2023-03-24	165.05	0.00	-82.12	
CALL NVDA 03/31/23	270	NVIDIA CORPORATION   CUSIP: *8UDPMC5   Symbol: NVDA--230331C00270000					
2023-03-28	1.0	185.93	2023-03-27	370.05	0.00	-184.12	
PUT PYPL 03/31/23	74	PAYPAL HOLDINGS INC   CUSIP: *8UDPXG4   Symbol: PYPL--230331P00074000					
2023-03-31	1.0	33.93	2023-03-29	76.05	0.00	-42.12	
CALL SQ 03/31/23	71	BLOCK INC   CUSIP: *8UDQPG7   Symbol: SQ----230331C00071000					
2023-03-30	2.0	47.87	2023-03-23	128.10	80.23 D	0.00	
2023-03-31	2.0	63.88	2023-03-30	112.33	0.00	-48.45	
<b>Security Totals:</b>		<b>111.75</b>		<b>240.43</b>		<b>-48.45</b>	

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Apex Clearing

## Proceeds from Broker and Barter Exchange Transactions 2023 Form 1099-B\*

5MY28090

(continued)

2024-01-31

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

## 1a - Description of property | CUSIP | Symbol

1c - Date Sold or Disposed	Quantity	1d - Proceeds	1b - Date Acquired	1e - Cost or Other Basis	1f - Accrued Market Discount (M) & 1g - Wash Sale Loss Disallowed (D)	Gain or Loss (-)	Additional Notes
CALL TSLA 03/31/23	195	TESLA INC   CUSIP: *8UDQZJ9   Symbol: TSLA--230331C00195000					
2023-03-27	1.0	609.93	2023-03-24	415.05	0.00	194.88	
2023-03-28	1.0	175.93	2023-03-28	201.05	0.00	-25.12	
<b>Security Totals:</b>		<b>785.86</b>		<b>616.10</b>		<b>169.76</b>	
PUT TSLA 03/31/23	195	TESLA INC   CUSIP: *8UDQZK0   Symbol: TSLA--230331P00195000					
2023-03-27	1.0	539.93	2023-03-27	460.05	0.00	79.88	
CALL TSLA 03/31/23	205	TESLA INC   CUSIP: *8UDQZK7   Symbol: TSLA--230331C00205000					
2023-03-31	1.0	128.93	2023-03-27	148.05	0.00	-19.12	
CALL TSLA 03/31/23	207.50	TESLA INC   CUSIP: *8UDQZK9   Symbol: TSLA--230331C00207500					
2023-03-31	2.0	65.88	2023-03-31	62.10	0.00	3.78	
CALL UNH 03/31/23	470	UNITEDHEALTH GROUP INC   CUSIP: *8UDRFG5   Symbol: UNH---230331C00470000					
2023-03-30	1.0	84.93	2023-03-29	170.05	0.00	-85.12	
CALL AMZN 04/28/23	112	AMAZON.COM INC   CUSIP: *8UFCXL9   Symbol: AMZN--230428C00112000					
2023-04-20	2.0	239.87	2023-04-17	232.10	0.00	7.77	
CALL GOOGL 04/28/23	108	ALPHABET INC CLASS A   CUSIP: *8UFDYS3   Symbol: GOOGL-230428C00108000					
2023-04-28	2.0	0.00	2023-04-25	388.10	0.00	-388.10	
CALL SPY 04/28/23	416	STANDARD & POORS DEPOSITORY   CUSIP: *8UFGGB7   Symbol: SPY---230428C00416000					
2023-04-28	1.0	24.93	2023-04-20	122.05	0.00	-97.12	
CALL GS 03/24/23	322.50	GOLDMAN SACHS GROUP INC   CUSIP: *8UFJSB3   Symbol: GS----230324C00322500					
2023-03-21	1.0	309.93	2023-03-21	245.05	0.00	64.88	
CALL SHOP 03/31/23	46.50	SHOPIFY INC CL A   CUSIP: *8UFLPJ3   Symbol: SHOP--230331C00046500					
2023-03-22	1.0	185.93	2023-03-21	135.05	0.00	50.88	
PUT SPY 03/27/23	390	STANDARD & POORS DEPOSITORY   CUSIP: *8UFLVJ4   Symbol: SPY---230327P00390000					
2023-03-27	1.0	0.00	2023-03-24	48.05	0.00	-48.05	
PUT SPY 03/27/23	392	STANDARD & POORS DEPOSITORY   CUSIP: *8UFLVJ8   Symbol: SPY---230327P00392000					
2023-03-27	2.0	0.00	2023-03-27	32.10	0.00	-32.10	

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Apex Clearing

Proceeds from Broker and Barter Exchange Transactions 2023 Form 1099-B\*

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(continued)

2024-01-31

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

1a - Description of property | CUSIP | Symbol

1c - Date Sold or Disposed	Quantity	1d - Proceeds	1b - Date Acquired	1e - Cost or Other Basis	1f - Accrued Market Discount (M) & 1g - Wash Sale Loss Disallowed (D)	Gain or Loss (-)	Additional Notes
CALL BABA 05/12/23	85	ALIBABA GROUP HOLDING LIMITED   CUSIP: *8UFPMW7   Symbol: BABA--230512C00085000	2023-05-11	103.05	0.00	51.88	
CALL ZM 06/23/23	70	ZOOM VIDEO COMMUNICATIONS INC   CUSIP: *8UFVBM6   Symbol: ZM---230623C00070000	2023-06-20	163.05	0.00	-47.12	
CALL AAPL 05/26/23	175	APPLE INC   CUSIP: *8UFYYS0   Symbol: AAPL--230526C00175000	2023-05-26	59.05	0.00	-27.12	
PUT ACN 05/26/23	290	ACCENTURE PLC IRELAND   CUSIP: *8UFZBZ7   Symbol: ACN---230526P00290000	2023-05-22	225.05	0.00	84.88	
CALL COIN 05/26/23	60	COINBASE GLOBAL INC   CUSIP: *8UGBJR8   Symbol: COIN--230526C00060000	2023-05-22	167.05	0.00	12.88	
CALL COIN 05/26/23	65	COINBASE GLOBAL INC   CUSIP: *8UGBJS8   Symbol: COIN--230526C00065000	2023-05-26	212.10	0.00	-212.10	
CALL HD 05/26/23	305	HOME DEPOT INC   CUSIP: *8UGCTV0   Symbol: HD---230526C00305000	2023-05-23	52.10	0.00	33.77	
CALL NFLX 05/26/23	370	NETFLIX INC   CUSIP: *8UGFFH6   Symbol: NFLX--230526C00370000	2023-05-25	145.05	0.00	22.88	
CALL NFLX 05/26/23	390	NETFLIX INC   CUSIP: *8UGFFJ4   Symbol: NFLX--230526C00390000	2023-05-26	93.05	0.00	-93.05	
CALL NKE 05/26/23	115	NIKE INC CLASS B   CUSIP: *8UGFFQ8   Symbol: NKE---230526C00115000	2023-05-26	260.10	0.00	-260.10	
CALL RIVN 05/26/23	14	RIVIAN AUTOMOTIVE INC CLASS A   CUSIP: *8UGGDD0   Symbol: RIVN--230526C00014000	2023-05-22	400.49	0.00	108.99	
PUT TSLA 05/26/23	175	TESLA INC   CUSIP: *8UGHFM9   Symbol: TSLA--230526P00175000	2023-05-26	257.05	0.00	-257.05	
CALL TSLA 05/26/23	190	TESLA INC   CUSIP: *8UGHFN4   Symbol: TSLA--230526C00190000	2023-05-26	181.05	0.00	-30.12	

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Apex Clearing

Proceeds from Broker and Barter Exchange Transactions 2023 Form 1099-B\*

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2024-01-31

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

1a - Description of property | CUSIP | Symbol

1c - Date Sold or Disposed	Quantity	1d - Proceeds	1b - Date Acquired	1e - Cost or Other Basis	1f - Accrued Market Discount (M) & 1g - Wash Sale Loss Disallowed (D)	Gain or Loss (-)	Additional Notes
PUT UAL 05/26/23	44	UNITED AIRLINES HOLDINGS INC   CUSIP: *8UGHJF2   Symbol: UAL---230526P00044000					
2023-04-26	1.0	279.93	2023-04-19	176.05	0.00	103.88	
CALL GOOG 05/19/23	123	ALPHABET INC CLASS C   CUSIP: *8UGKBP9   Symbol: GOOG--230519C00123000					
2023-05-17	2.0	139.88	2023-05-16	80.10	0.00	59.78	
CALL MSFT 05/19/23	317.50	MICROSOFT CORP   CUSIP: *8UGKPL5   Symbol: MSFT--230519C00317500					
2023-05-18	1.0	200.93	2023-05-18	82.05	0.00	118.88	
CALL SPY 05/23/23	421	STANDARD & POORS DEPOSITORY   CUSIP: *8UGLCS7   Symbol: SPY---230523C00421000					
2023-05-23	4.0	0.00	2023-05-22	180.20	0.00	-180.20	
CALL AI 06/09/23	30	C3 AI INC CLASS A   CUSIP: *8UGNGZ8   Symbol: AI----230609C00030000					
2023-05-25	1.0	229.93	2023-05-16	130.05	0.00	99.88	
CALL CELH 06/09/23	130	CELSIUS HOLDINGS INC   CUSIP: *8UGNPT8   Symbol: CELH--230609C00130000					
2023-06-01	1.0	449.93	2023-05-26	295.05	0.00	154.88	
CALL GOOG 06/09/23	125	ALPHABET INC CLASS C   CUSIP: *8UGPDG2   Symbol: GOOG--230609C00125000					
2023-06-09	5.0	0.00	2023-06-07	340.25	0.00	-340.25	
CALL SPY 06/09/23	432	STANDARD & POORS DEPOSITORY   CUSIP: *8UGQHZ6   Symbol: SPY---230609C00432000					
2023-06-09	4.0	171.76	2023-06-08	88.20	0.00	83.56	
PUT SPY 05/24/23	410	STANDARD & POORS DEPOSITORY   CUSIP: *8UGWTY0   Symbol: SPY---230524P00410000					
2023-05-24	2.0	151.87	2023-05-22	80.10	0.00	71.77	
PUT DG 06/30/23	165	DOLLAR GENERAL CORPORATION   CUSIP: *8UHGZ2   Symbol: DG----230630P00165000					
2023-06-06	1.0	979.93	2023-06-02	410.05	0.00	569.88	
PUT FIVE 06/30/23	175	FIVE BELOW INC   CUSIP: *8UHHCX5   Symbol: FIVE--230630P00175000					
2023-06-05	1.0	279.93	2023-06-02	510.05	0.00	-230.12	
CALL SHAK 06/16/23	72.50	SHAKE SHACK INC   CUSIP: *8UHLGB7   Symbol: SHAK--230616C00072500					
2023-06-14	2.0	165.88	2023-06-13	50.10	0.00	115.78	
PUT QQQ 05/24/23	334	INVESCO QQQ TRUST SERIES 1   CUSIP: *8UHLVM2   Symbol: QQQ---230524P00334000					
2023-05-23	2.0	183.88	2023-05-23	120.10	0.00	63.78	

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Apex Clearing

**Proceeds from Broker and Barter Exchange Transactions 2023 Form 1099-B\***

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2024-01-31

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

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

<b>1c - Date Sold or Disposed</b>	<b>Quantity</b>	<b>1d - Proceeds</b>	<b>1b - Date Acquired</b>	<b>1e - Cost or Other Basis</b>	<b>1f - Accrued Market Discount (M) &amp; 1g - Wash Sale Loss Disallowed (D)</b>	<b>Gain or Loss (-)</b>	<b>Additional Notes</b>
SHIFT TECHNOLOGIES INC COMMON SHARES   CUSIP: 82452T305   Symbol: SFTGQ							
2023-03-29	300.0	371.95	2023-03-23	495.00	0.00	-123.05	
<b>Totals:</b>		<b>70,243.02</b>		<b>68,461.54</b>		<b>2,456.17</b>	

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**Regulated Futures Contracts & Section 1256 Options**

2023

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The detailed transactional information below is furnished only for your information. Only the aggregate profit/loss information in each section is reported to the IRS. Taxpayers are reminded that they are ultimately responsible for the accuracy of their tax returns.

**PROFIT OR LOSS REALIZED IN 2023 ON CLOSED CONTRACTS**

Description of property CUSIP	Expiration Date/ Strike Price	Closing Trade Process Date	Number of Contracts	Buy/Sell/Expire	Opening Contract Amount	Closing Contract Amount	Realized Profit/(Loss)
CALL SPXW 05/15/23 4135 CBOE S&P 500 CLOSE/EURO INDEX 2023-05-15							
CUSIP:		2023-05-15	1.00	Sell	171.18	23.91	-147.27
CALL SPXW 06/05/23 4300 CBOE S&P 500 CLOSE/EURO INDEX 2023-06-05							
CUSIP:		2023-06-05	3.00	Sell	613.36	588.82	-24.54
CALL SPXW 05/16/23 4130 CBOE S&P 500 CLOSE/EURO INDEX 2023-05-16							
CUSIP:		2023-05-16	2.00	Sell	192.18	7.82	-184.36
CALL SPXW 05/24/23 4135 CBOE S&P 500 CLOSE/EURO INDEX 2023-05-24							
CUSIP:		2023-05-24	1.00	Sell	251.18	0.00	-251.18
CALL SPXW 05/30/23 4250 CBOE S&P 500 CLOSE/EURO INDEX 2023-05-30							
CUSIP:		2023-05-30	2.00	Sell	152.18	0.00	-152.18
PUT SPXW 05/01/23 4175 CBOE S&P 500 CLOSE/EURO INDEX 2023-05-01							
CUSIP:		2023-05-01	1.00	Sell	251.18	828.82	577.64
CALL SPXW 05/22/23 4215 CBOE S&P 500 CLOSE/EURO INDEX 2023-05-22							
CUSIP:		2023-05-22	3.00	Sell	348.54	0.00	-348.54
CALL SPXW 05/18/23 4195 CBOE S&P 500 CLOSE/EURO INDEX 2023-05-18							
CUSIP:		2023-05-18	1.00	Sell	231.18	293.82	62.64
CALL SPXW 06/08/23 4300 CBOE S&P 500 CLOSE/EURO INDEX 2023-06-08							
CUSIP:		2023-06-08	1.00	Sell	101.18	73.91	-27.27
CALL SPXW 06/07/23 4300 CBOE S&P 500 CLOSE/EURO INDEX 2023-06-07							
CUSIP:		2023-06-07	1.00	Sell	451.18	688.82	237.64

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## Regulated Futures Contracts &amp; Section 1256 Options

2023

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## PROFIT OR LOSS REALIZED IN 2023 ON CLOSED CONTRACTS

Description of property CUSIP	Expiration Date/ Strike Price	Closing Trade Process Date	Number of Contracts	Buy/Sell/Expire	Opening Contract Amount	Closing Contract Amount	Realized Profit/(Loss)
PUT SPXW 05/23/23 4170 CBOE S&P 500 CLOSE/EURO INDEX 2023-05-23							
CUSIP:		2023-05-23	1.00	Sell	261.18	408.82	147.64
CALL SPXW 06/07/23 4280 CBOE S&P 500 CLOSE/EURO INDEX 2023-06-07							
CUSIP:		2023-06-07	1.00	Sell	371.18	93.91	-277.27
CALL SPXW 06/07/23 4290 CBOE S&P 500 CLOSE/EURO INDEX 2023-06-07							
CUSIP:		2023-06-07	1.00	Sell	81.09	0.00	-81.09
PUT SPXW 06/12/23 4310 CBOE S&P 500 CLOSE/EURO INDEX 2023-06-12							
CUSIP:		2023-06-12	1.00	Sell	166.18	0.00	-166.18
CALL SPXW 06/07/23 4320 CBOE S&P 500 CLOSE/EURO INDEX 2023-06-07							
CUSIP:		2023-06-07	1.00	Sell	101.18	0.00	-101.18
CALL SPXW 06/12/23 4320 CBOE S&P 500 CLOSE/EURO INDEX 2023-06-12							
CUSIP:		2023-06-12	2.00	Sell	382.36	497.64	115.28
CALL SPXW 06/05/23 4310 CBOE S&P 500 CLOSE/EURO INDEX 2023-06-05							
CUSIP:		2023-06-05	1.00	Sell	136.18	0.00	-136.18
CALL SPXW 06/21/23 4400 CBOE S&P 500 CLOSE/EURO INDEX 2023-06-21							
CUSIP:		2023-06-21	1.00	Sell	61.09	63.91	2.82
CALL SPXW 06/14/23 4400 CBOE S&P 500 CLOSE/EURO INDEX 2023-06-14							
CUSIP:		2023-06-14	1.00	Sell	561.18	3.91	-557.27
CALL SPXW 06/08/23 4285 CBOE S&P 500 CLOSE/EURO INDEX 2023-06-08							
CUSIP:		2023-06-08	1.00	Sell	331.18	498.82	167.64
CALL SPXW 06/14/23 4425 CBOE S&P 500 CLOSE/EURO INDEX 2023-06-14							
CUSIP:		2023-06-14	1.00	Sell	236.18	0.00	-236.18

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## Regulated Futures Contracts &amp; Section 1256 Options

2023

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(continued)

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## PROFIT OR LOSS REALIZED IN 2023 ON CLOSED CONTRACTS

Description of property CUSIP	Expiration Date/ Strike Price	Closing Trade Process Date	Number of Contracts	Buy/Sell/Expire	Opening Contract Amount	Closing Contract Amount	Realized Profit/(Loss)
CALL SPXW 06/15/23 4405 CBOE S&P 500 CLOSE/EURO INDEX 2023-06-15							
CUSIP:		2023-06-15	1.00	Sell	61.09	328.82	267.73
PUT SPX 04/21/23 3900 S & P 500 INDEX 2023-04-21							
CUSIP:		2023-04-04	1.00	Sell	881.26	1,218.74	337.48
CALL SPXW 03/31/23 4080 CBOE S&P 500 CLOSE/EURO INDEX 2023-03-31							
CUSIP:		2023-03-30	1.00	Sell	181.18	518.82	337.64
CALL SPXW 03/17/23 4000 CBOE S&P 500 CLOSE/EURO INDEX 2023-03-17							
CUSIP:		2023-03-17	1.00	Sell	111.18	88.91	-22.27
PUT SPXW 04/14/23 4120 CBOE S&P 500 CLOSE/EURO INDEX 2023-04-14							
CUSIP:		2023-04-14	3.00	Sell	268.36	821.46	553.10
CALL SPXW 03/01/23 3960 CBOE S&P 500 CLOSE/EURO INDEX 2023-03-01							
CUSIP:		2023-03-01	1.00	Sell	96.09	93.91	-2.18
CALL SPXW 03/06/23 4085 CBOE S&P 500 CLOSE/EURO INDEX 2023-03-06							
CUSIP:		2023-03-06	1.00	Sell	66.09	38.91	-27.18
CALL SPXW 06/16/23 4500 CBOE S&P 500 CLOSE/EURO INDEX 2023-06-16							
CUSIP:		2023-06-16	1.00	Sell	136.18	0.00	-136.18
CALL SPXW 04/06/23 4100 CBOE S&P 500 CLOSE/EURO INDEX 2023-04-06							
CUSIP:		2023-04-06	3.00	Sell	493.54	816.46	322.92
CALL SPXW 03/02/23 3990 CBOE S&P 500 CLOSE/EURO INDEX 2023-03-02							
CUSIP:		2023-03-02	1.00	Sell	46.09	18.91	-27.18
PUT SPXW 03/29/23 3980 CBOE S&P 500 CLOSE/EURO INDEX 2023-03-29							
CUSIP:		2023-03-29	1.00	Sell	271.18	183.82	-87.36

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## Regulated Futures Contracts &amp; Section 1256 Options

2023

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(continued)

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## PROFIT OR LOSS REALIZED IN 2023 ON CLOSED CONTRACTS

Description of property CUSIP	Expiration Date/ Strike Price	Closing Trade Process Date	Number of Contracts	Buy/Sell/Expire	Opening Contract Amount	Closing Contract Amount	Realized Profit/(Loss)
CALL SPXW 03/16/23 3950 CBOE S&P 500 CLOSE/EURO INDEX 2023-03-16							
CUSIP:		2023-03-16	1.00	Sell	101.18	148.82	47.64
PUT SPXW 04/03/23 4025 CBOE S&P 500 CLOSE/EURO INDEX 2023-04-03							
CUSIP:		2023-04-03	2.00	Sell	302.36	0.00	-302.36
PUT SPXW 03/23/23 3950 CBOE S&P 500 CLOSE/EURO INDEX 2023-03-23							
CUSIP:		2023-03-23	11.00	Sell	1,837.97	2,187.03	349.06
PUT SPXW 04/03/23 4100 CBOE S&P 500 CLOSE/EURO INDEX 2023-04-03							
CUSIP:		2023-04-03	8.00	Sell	3,309.44	4,070.56	761.12
CALL SPXW 04/05/23 4100 CBOE S&P 500 CLOSE/EURO INDEX 2023-04-05							
CUSIP:		2023-04-05	16.00	Sell	882.43	1,033.66	151.23
CALL SPXW 04/05/23 4120 CBOE S&P 500 CLOSE/EURO INDEX 2023-04-05							
CUSIP:		2023-04-05	1.00	Sell	171.18	78.91	-92.27
CALL SPXW 03/21/23 3990 CBOE S&P 500 CLOSE/EURO INDEX 2023-03-21							
CUSIP:		2023-03-21	5.00	Sell	1,655.90	2,124.10	468.20
CALL SPXW 04/03/23 4150 CBOE S&P 500 CLOSE/EURO INDEX 2023-04-03							
CUSIP:		2023-04-03	1.00	Sell	161.18	68.91	-92.27
PUT SPXW 03/30/23 4020 CBOE S&P 500 CLOSE/EURO INDEX 2023-03-30							
CUSIP:		2023-03-30	4.00	Sell	589.72	435.28	-154.44
CALL SPXW 03/22/23 4085 CBOE S&P 500 CLOSE/EURO INDEX 2023-03-22							
CUSIP:		2023-03-22	5.00	Sell	1,105.90	0.00	-1,105.90
CALL SPXW 04/04/23 4200 CBOE S&P 500 CLOSE/EURO INDEX 2023-04-04							
CUSIP:		2023-04-04	2.00	Sell	32.18	0.00	-32.18

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## Regulated Futures Contracts &amp; Section 1256 Options

2023

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## PROFIT OR LOSS REALIZED IN 2023 ON CLOSED CONTRACTS

Description of property CUSIP	Expiration Date/ Strike Price	Closing Trade Process Date	Number of Contracts	Buy/Sell/Expire	Opening Contract Amount	Closing Contract Amount	Realized Profit/(Loss)
CALL SPXW 05/05/23 4130 CBOE S&P 500 CLOSE/EURO INDEX 2023-05-05							
CUSIP:		2023-05-05	1.00	Sell	331.18	418.82	87.64
CALL SPXW 04/04/23 4120 CBOE S&P 500 CLOSE/EURO INDEX 2023-04-04							
CUSIP:		2023-04-04	1.00	Sell	191.18	0.00	-191.18
PUT SPXW 03/30/23 4000 CBOE S&P 500 CLOSE/EURO INDEX 2023-03-30							
CUSIP:		2023-03-30	1.00	Sell	61.09	63.91	2.82
CALL SPXW 04/24/23 4200 CBOE S&P 500 CLOSE/EURO INDEX 2023-04-24							
CUSIP:		2023-04-20	2.00	Sell	282.36	357.64	75.28
PUT SPXW 04/03/23 4090 CBOE S&P 500 CLOSE/EURO INDEX 2023-04-03							
CUSIP:		2023-04-03	2.00	Sell	272.27	17.82	-254.45
CALL SPXW 04/04/23 4140 CBOE S&P 500 CLOSE/EURO INDEX 2023-04-04							
CUSIP:		2023-04-04	1.00	Sell	481.18	258.82	-222.36
CALL SPXW 04/11/23 4130 CBOE S&P 500 CLOSE/EURO INDEX 2023-04-11							
CUSIP:		2023-04-11	11.00	Sell	2,167.97	483.02	-1,684.95
PUT SPXW 04/05/23 4050 CBOE S&P 500 CLOSE/EURO INDEX 2023-04-05							
CUSIP:		2023-04-05	1.00	Sell	166.18	0.00	-166.18
PUT SPXW 04/03/23 4080 CBOE S&P 500 CLOSE/EURO INDEX 2023-04-03							
CUSIP:		2023-04-03	1.00	Sell	166.18	68.91	-97.27
PUT SPXW 04/17/23 4120 CBOE S&P 500 CLOSE/EURO INDEX 2023-04-17							
CUSIP:		2023-04-17	2.00	Sell	452.36	67.82	-384.54

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

Apex Clearing

## Regulated Futures Contracts &amp; Section 1256 Options

2023

5MY28090

(continued)

2024-01-31

## PROFIT OR LOSS REALIZED IN 2023 ON CLOSED CONTRACTS

Description of property CUSIP	Expiration Date/ Strike Price	Closing Trade Process Date	Number of Contracts	Buy/Sell/Expire	Opening Contract Amount	Closing Contract Amount	Realized Profit/(Loss)
CALL SPXW 06/02/23 4300 CBOE S&P 500 CLOSE/EURO INDEX 2023-06-02							
CUSIP:		2023-05-26	1.00	Sell	91.09	283.82	192.73
CUSIP:	2023-06-02						
CUSIP:		2023-06-02	1.00	Sell	91.09	13.91	-77.18
PUT SPXW 04/05/23 4070 CBOE S&P 500 CLOSE/EURO INDEX 2023-04-05							
CUSIP:		2023-04-05	2.00	Sell	762.36	1,117.64	355.28
PUT SPXW 04/04/23 4090 CBOE S&P 500 CLOSE/EURO INDEX 2023-04-04							
CUSIP:		2023-04-04	2.00	Sell	862.36	307.64	-554.72
CALL SPXW 04/13/23 4130 CBOE S&P 500 CLOSE/EURO INDEX 2023-04-13							
CUSIP:		2023-04-13	1.00	Sell	331.18	428.82	97.64
PUT SPXW 04/19/23 4100 CBOE S&P 500 CLOSE/EURO INDEX 2023-04-19							
CUSIP:		2023-04-19	1.00	Sell	11.09	0.00	-11.09
CALL SPXW 04/11/23 4115 CBOE S&P 500 CLOSE/EURO INDEX 2023-04-11							
CUSIP:		2023-04-11	2.00	Sell	1,302.36	717.64	-584.72
CALL SPXW 05/03/23 4120 CBOE S&P 500 CLOSE/EURO INDEX 2023-05-03							
CUSIP:		2023-05-03	1.00	Sell	521.18	138.82	-382.36
CALL SPXW 05/08/23 4160 CBOE S&P 500 CLOSE/EURO INDEX 2023-05-08							
CUSIP:		2023-05-08	2.00	Sell	132.18	82.82	-49.36
CALL SPXW 04/18/23 4165 CBOE S&P 500 CLOSE/EURO INDEX 2023-04-18							
CUSIP:		2023-04-18	1.00	Sell	96.09	148.82	52.73
PUT SPXW 05/10/23 4130 CBOE S&P 500 CLOSE/EURO INDEX 2023-05-10							
CUSIP:		2023-05-10	5.00	Sell	230.45	0.00	-230.45

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

Apex Clearing

**Regulated Futures Contracts & Section 1256 Options**

2023

5MY28090

(continued)

2024-01-31

**PROFIT OR LOSS REALIZED IN 2023 ON CLOSED CONTRACTS**

Description of property CUSIP	Expiration Date/ Strike Price	Closing Trade Process Date	Number of Contracts	Buy/Sell/Expire	Opening Contract Amount	Closing Contract Amount	Realized Profit/(Loss)
CALL SPXW 05/10/23 4150 CBOE S&P 500 CLOSE/EURO INDEX 2023-05-10							
CUSIP:		2023-05-10	2.00	Sell	272.36	307.64	35.28
PUT SPXW 05/01/23 4155 CBOE S&P 500 CLOSE/EURO INDEX 2023-05-01							
CUSIP:		2023-05-01	1.00	Sell	186.18	88.91	-97.27
CALL SPXW 05/09/23 4140 CBOE S&P 500 CLOSE/EURO INDEX 2023-05-09							
CUSIP:		2023-05-09	4.00	Sell	444.54	135.64	-308.90
PUT SPXW 05/04/23 4060 CBOE S&P 500 CLOSE/EURO INDEX 2023-05-04							
CUSIP:		2023-05-04	2.00	Sell	802.36	1,517.64	715.28
CALL SPXW 05/10/23 4135 CBOE S&P 500 CLOSE/EURO INDEX 2023-05-10							
CUSIP:		2023-05-10	1.00	Sell	201.18	188.82	-12.36
CALL SPXW 05/09/23 4130 CBOE S&P 500 CLOSE/EURO INDEX 2023-05-09							
CUSIP:		2023-05-09	2.00	Sell	322.36	602.64	280.28
<b>Short-Term Profit/(Loss) Total: 40%</b>							<b>-1,311.77</b>
<b>Long-Term Profit/(Loss) Total: 60%</b>							<b>-1,967.65</b>
<b>Total:</b>							<b>-3,279.42</b>

Aggregate Short-Term Profit or (Loss): 40% -1,311.77  
 Aggregate Long-Term Profit or (Loss): 60% -1,967.65  
**11 - Aggregate Profit or (Loss) on Contracts -3,279.42**

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

**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 2023 General Instructions for Certain Information Returns.

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

**Future developments.** For the latest information about developments related to forms and instructions, such as legislation enacted after they were published, go to [www.irs.gov/forms-instructions](http://www.irs.gov/forms-instructions).

**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 Form 1040 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 Form 1040.

**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 to disposition 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 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 Form 1040.

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

**Box 12.** Shows exempt-interest dividends from a mutual fund or other RIC paid to you during the calendar year. See the Instructions for Form 1040 for where to report. This amount may be subject to backup withholding. See Box 4 above.

**Box 13.** Shows exempt-interest dividends subject to the alternative minimum tax. This amount is included in box 12. See the Instructions for Form 6251.

**Boxes 14-16.** 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 must generally 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 the calendar year 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 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. 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. Market discount on a tax-exempt security is includible 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 includible in income on Form 1040 or 1040-SR with respect to the security. If an amount is not reported in this box for a taxable covered security acquired at a premium and the payer is reporting premium amortization, the payer has reported a net amount of interest in box 1. If the amount in box 11 is greater than the amount of interest paid on the covered security, 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 includible 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.

**1099-B Instructions to Recipients**

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 is also 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 the 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, the 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 the 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 the 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 is generally 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 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.** 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 2023.
- Box 9.** Shows any year-end adjustment to the profit or (loss) shown in box 8 due to open contracts on December 31, 2022.
- Box 10.** Shows the unrealized profit or (loss) on open contracts held in your account on December 31, 2023. These are considered closed out as of that date. This will become an adjustment reported as unrealized profit or (loss) on open contracts—12/31/2023 in 2024.
- 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 2023 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.** Show state(s)/local income tax information.

#### 1099-MISC Instructions to Recipients

- 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 appropriate 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 information 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) 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 you as a fishing boat crew member by the operator, who considers you 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 11.** Shows the amount of cash you received for the sale of fish if you are in the trade or business of catching fish.
- 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.** If the FATCA filing requirement box is checked, the payer is reporting on this Form 1099 to satisfy its account reporting requirement under chapter 4 of the Internal Revenue Code. You may also have a filing requirement. See the Instructions for Form 8938.
- Box 14.** 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 15.** 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.
- Boxes 16–18.** Show state or local income tax withheld from the payments.

#### 1099-OID Instructions to Recipients

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, you generally 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 Forms 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 Forms 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 Forms 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 is 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.