

 Member FINRA/SIPC PO BOX 2209 OMAHA, NE 68103-2209 Client Services: 800-669-3900	Tax Information Account 777530988	Statement Date: 02/01/2024 Document ID: G743 F85 SZ6T	2023
	HIMANSHU KAPOOR 4837 WIGLEY RD NE MARIETTA, GA 30066-1539	PAYER'S TIN: 47-0533629	

11 - [] FATCA filing requirement (see instructions)

Summary Information

13 - [] FATCA filing requirement (see instructions)

DIVIDENDS AND DISTRIBUTIONS		2023 1099-DIV*	OMB No. 1545-0110	MISCELLANEOUS INFORMATION		2023 1099-MISC*	OMB No. 1545-0115
1a- Total ordinary dividends (includes lines 1b, 5, 2e)		1,098.81		2- Royalties		0.00	
1b- Qualified dividends		1,098.81		3- Other income		0.00	
2a- Total capital gain distributions (includes lines 2b, 2c, 2d, 2f)		0.00		4- Federal income tax withheld		0.00	
2b- Unrecaptured Section 1250 gain		0.00		8- Substitute payments in lieu of dividends or interest		0.00	
2c- Section 1202 gain		0.00					
2d- Collectibles (28%) gain		0.00		SECTION 1256 CONTRACTS		2023 1099-B*	OMB No. 1545-0715
2e- Section 897 ordinary dividends		0.00		8- Profit or (loss) realized in 2023 on closed contracts		0.00	
2f- Section 897 capital gain		0.00		9- Unrealized profit or (loss) on open contracts-12/31/2022		0.00	
3- Nondividend distributions		0.00		10- Unrealized profit or (loss) on open contracts-12/31/2023		0.00	
4- Federal income tax withheld		0.00		11- Aggregate profit or (loss) on contracts		0.00	
5- Section 199A dividends		0.00					
6- Investment expenses		0.00		<i>If applicable, proceeds from sale transactions appear summarized below and are detailed in subsequent sections of this document.</i>			
8- Foreign country or US possession: See detail	7- Foreign tax paid:	18.15		* 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.			
9- Cash liquidation distributions		0.00					
10- Noncash liquidation distributions		0.00					
12- Exempt-interest dividends (includes line 13)		0.00					
13- Specified private activity bond interest dividends (AMT)		0.00					

SUMMARY OF PROCEEDS, GAINS & LOSSES, ADJUSTMENTS AND WITHHOLDING

Refer to the 1099-B and Proceeds not reported to the IRS pages to ensure that you consider all relevant items and to determine the correct gains and losses. The amounts shown below are for informational purposes.

Term	Form 8949 type	Proceeds	Cost basis	Market discount	Wash sale loss disallowed	Net gain or loss(-)
Short	A (basis reported to the IRS)	4,019,980.55	4,212,295.66	0.00	193,063.12	748.01
Short	B (basis not reported to the IRS)	0.00	0.00	0.00	0.00	0.00
Short	C (Form 1099-B not received)	0.00	0.00	0.00	0.00	0.00
	Total Short-term	4,019,980.55	4,212,295.66	0.00	193,063.12	748.01
Long	D (basis reported to the IRS)	1,702.90	3,800.55	0.00	0.00	-2,097.65
Long	E (basis not reported to the IRS)	0.00	0.00	0.00	0.00	0.00
Long	F (Form 1099-B not received)	0.00	0.00	0.00	0.00	0.00
	Total Long-term	1,702.90	3,800.55	0.00	0.00	-2,097.65
Undetermined	B or E (basis not reported to the IRS)	0.00	0.00	0.00	0.00	0.00
Undetermined	C or F (Form 1099-B not received)	0.00	0.00	0.00	0.00	0.00
	Total Undetermined-term	0.00	0.00	0.00	0.00	0.00
	Grand total	4,021,683.45	4,216,096.21	0.00	193,063.12	-1,349.64
Withholding		Amount				
	Federal income tax withheld	0.00				

Changes to dividend tax classifications processed after your original tax form is issued for 2023 may require an amended tax form.

TD Ameritrade Clearing, Inc.

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Summary Information

2023

(continued)

02/01/2024

INTEREST INCOME

2023 1099-INT

OMB No. 1545-0112

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.

1- Interest income (not included in line 3)	11.25
2- Early withdrawal penalty	0.00
3- Interest on US Savings Bonds & Treasury obligations	0.00
4- Federal income tax withheld	0.00
5- Investment expenses	0.00
7- Foreign country or US possession: 6- Foreign tax paid:	0.00
8- Tax-exempt interest (includes line 9)	0.00
9- Specified private activity bond interest (AMT)	0.00
10- Market discount (covered lots)	0.00
11- Bond premium (covered lots)	0.00
12- Bond premium on Treasury obligations (covered lots)	0.00
13- Bond premium on tax-exempt bonds (categorized below)	0.00
<i>Tax-exempt obligations (covered lots)</i>	0.00
<i>Tax-exempt private activity obligations (AMT, covered lots)</i>	0.00
14- Tax-exempt and tax credit bond CUSIP number	See detail
FATCA filing requirement []	

The following amounts are not reported to the IRS. They are presented here for your reference when preparing your tax return(s).

Taxable accrued interest paid	0.00
Taxable accrued Treasury interest paid	0.00
Tax-exempt accrued interest paid	0.00
Tax-exempt accrued interest paid (AMT)	0.00
Taxable accrued nonqualified interest paid	0.00
Tax-exempt accrued nonqualified interest paid	0.00
Tax-exempt accrued nonqualified interest paid (AMT)	0.00
Nonqualified interest	0.00
Tax-exempt nonqualified interest	0.00
Tax-exempt nonqualified interest (AMT)	0.00
Interest shortfall on contingent payment debt	0.00
Bond premium- Non Treasury obligations (noncovered lots)	0.00
Bond premium- Treasury obligations (noncovered lots)	0.00
Bond premium- Tax-exempt obligations (noncovered lots)	0.00
Bond premium- Tax-exempt obligations (AMT, noncovered lots)	0.00
Market discount (noncovered lots)	0.00

STATE TAX WITHHELD

Use the details of the State Tax Withholding page(s) to determine the appropriate amounts for your income tax return(s). The amounts shown in this section are for your reference.

1099-DIV total withheld	0.00
1099-INT total withheld	0.00
1099-OID total withheld	0.00
1099-MISC total withheld	0.00
1099-B total withheld	0.00

ORIGINAL ISSUE DISCOUNT AND ADJUSTMENTS

Use bond-by-bond details from the Form 1099-OID page(s) to determine amounts of Original Issue Discount income for your income tax return(s). The amounts shown in this section are for your reference when preparing your income tax return(s).

Original issue discount for the year	0.00
Acquisition premium (covered lots)	0.00
Acquisition premium (noncovered lots)	0.00
Original issue discount on Treasury obligations	0.00
Acquisition premium, Treasury obligations (covered lots)	0.00
Acquisition premium, Treasury obligations (noncovered lots)	0.00
Tax-exempt OID	0.00
Tax-exempt OID (lots not reported)	0.00
Acquisition premium (covered)	0.00
Acquisition premium (lots not reported)	0.00
Tax-exempt OID on private activity bonds	0.00
Tax-exempt OID on private activity bonds (lots not reported)	0.00
Acquisition premium (AMT, covered)	0.00
Acquisition premium (AMT, lots not reported)	0.00
Market discount (all lots)	0.00
Early withdrawal penalty	0.00
Investment expenses	0.00

RECONCILIATIONS, FEES, EXPENSES AND EXPENDITURES

The amounts in this section are not reported to the IRS. They are presented here for your reference when preparing your income tax return(s).

Other Receipts & Reconciliations- Partnership distributions	0.00
Other Receipts & Reconciliations- Foreign tax paid- partnership	0.00
Other Receipts & Reconciliations- Return of principal	0.00
Other Receipts & Reconciliations- Deferred income payment	0.00
Other Receipts & Reconciliations- Deemed premium	0.00
Other Receipts & Reconciliations- Income accrual- UIT	0.00
Other Receipts & Reconciliations- Basis adjustments	0.00
Other Receipts & Reconciliations- Foreign tax pd beyond treaty	0.00
Fees & Expenses- Margin interest	643.55
Fees & Expenses- Dividends paid on short position	1,200.00
Fees & Expenses- Interest paid on short position	0.00
Fees & Expenses- Non reportable distribution expense	0.00
Fees & Expenses- Other expenses	0.00
Fees & Expenses- Severance tax	0.00
Fees & Expenses- Organizational expense	0.00
Fees & Expenses- Miscellaneous fees	68.68
Fees & Expenses- Tax-exempt investment expense	0.00
Foreign Exchange Gains & Losses- Foreign currency gain/loss	0.00

TD Ameritrade Clearing, Inc.

Account 777530988

Proceeds from Broker and Barter Exchange Transactions

2023 1099-B* OMB No. 1545-0715

02/01/2024

Sales transactions are grouped by their term (long, short or undetermined) and covered status (covered or noncovered). For tax lots whose term is undetermined, use your historical documents to establish the cost basis and date of purchase. Tax lots with an additional notation of "Ordinary" represent neither short- nor long-term capital transactions. You may wish to consult with your tax advisor, the IRS or your state tax authority regarding the proper treatment.

Closing of written options is presented in a distinct manner in accordance with IRS regulation. For these transactions the Cost or other basis (column 1e) is always presented as \$0.00 and the Proceeds (column 1d) is the net of proceeds received when the option was written and the cost to close the position.

Several column headings describe two related items: a quantity and a qualifier. For example, proceeds and, if the sale is the result of an option exercise or assignment, whether the proceeds are gross or net (adjusted for any option premium). When these conditions exist, the qualifier is shown to the right of the amount.

Long positions are reported based on the trade date and short positions are reported based on the settlement date of the trade.

FATCA filing requirement []

SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS [Ordinary gains or losses are identified in the Additional information column] (Lines 2 & 5)

Report on Form 8949, Part I with Box A checked. Basis is provided to the IRS. (Line 12)

"Gain or loss (-)" is NOT reported to the IRS.

1a- Description of property/CUSIP/Symbol

1c- Date sold or disposed	Quantity	1d- Proceeds & 6- Reported (G)ross or (N)et	1b- Date acquired	1e- Cost or other basis	1f- Accrued mkt disc (D) & 1g- Wash sale loss disallowed (W)	7- Gain or loss(-) & Loss not allowed (X) also not reported (Z)	Additional information
AMTD IDEA GROUP 1:3 R/S 11/17/23 00180G304 / CUSIP: 00180G205 / Symbol:							
01/05/23	2,500.000	5,351.31	Various	5,225.00	...	126.31	Total of 2 transactions
AMTD DIGITAL INC ADR / CUSIP: 00180N101 / Symbol: HKD							
01/05/23	400.000	11,499.68	Various	11,404.71	...	94.97	Total of 2 transactions
01/05/23	300.000	7,574.79	01/05/23	8,612.00	1,037.21 W	0.00	Sale ²⁶
	Security total:	19,074.47		20,016.71	1,037.21 W	94.97	
ACER THERAPEUTICS INC 0.121:1 EXC 11/21/23 488445206 / CUSIP: 00444P108 / Symbol: ACER							
08/31/23	8,000.000	9,918.76	08/31/23	9,759.90	...	158.86	Sale ²⁶
ACELYRIN INC COM / CUSIP: 00445A100 / Symbol: SLRN							
09/15/23	500.000	5,149.89	09/13/23	5,115.00	...	34.89	Short sale closed ²⁶
DMK PHARMACEUTICALS CORP COM / CUSIP: 00547W307 / Symbol: DMK							
12/21/23	5,000.000	4,701.73	Various	4,698.08	...	3.65	Total of 2 transactions
AEHR TEST SYSTEMS COM / CUSIP: 00760J108 / Symbol: AEHR							
01/10/23	300.000	8,459.77	01/10/23	8,406.54	...	53.23	Sale ²⁶
ADVANCED HEALTH INTLGNCE LTD 1:4 R/S 6/30/23 00777C203 / CUSIP: 00777C104 / Symbol:							
06/09/23	4,454.000	13,851.18	06/09/23	12,694.63	...	1,156.55	Sale ²⁶
06/09/23	5,000.000	10,799.18	06/09/23	14,107.74	3,341.23 W	32.67	Sale ²⁶
	Security total:	24,650.36		26,802.37	3,341.23 W	1,189.22	

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Proceeds from Broker and Barter Exchange Transactions

2023 1099-B* OMB No. 1545-0715

(continued)

02/01/2024

SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS [Ordinary gains or losses are identified in the Additional information column] (Lines 2 & 5)

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1a- Description of property/CUSIP/Symbol

1c- Date sold or disposed	Quantity	1d- Proceeds & 6- Reported (G)ross or (N)et	1b- Date acquired	1e- Cost or other basis	1f- Accrued mkt disc (D) & 1g- Wash sale loss disallowed (W)	Gain or loss(-) & 7- Loss not allowed (X) also not reported (Z)	Additional information
ADVANCED HEALTH INTLGNCE LTD ADR SPONSORED / CUSIP: 00777C203 / Symbol: AHI							
08/02/23	2,500.000	12,399.54	08/02/23	12,505.00	140.37 W	34.91	Sale ²⁶
08/04/23	2,000.000	10,059.63	08/02/23	9,920.37	...	139.26	Sale ²⁶
08/17/23	2,500.000	12,574.54	08/17/23	13,825.00	...	-1,250.46	Sale ²⁶
	Security total:	35,033.71		36,250.37	140.37 W	-1,076.29	
AERWINS TECHNOLOGIES INC COM / CUSIP: 00810J108 / Symbol: AWIN							
02/27/23	8,000.000	22,443.65	Various	21,963.33	...	480.32	Total of 3 transactions
02/27/23	8,500.000	22,158.59	Various	23,652.30	1,513.63 W	19.92	Total of 3 transactions
	Security total:	44,602.24		45,615.63	1,513.63 W	500.24	
ALDEYRA THERAPEUTICS COM / CUSIP: 01438T106 / Symbol: ALDX							
11/01/23	2,500.000	6,674.59	11/01/23	6,475.42	...	199.17	Sale ²⁶
11/01/23	3,000.000	7,859.50	11/01/23	7,884.95	50.42 W	24.97	Sale ²⁶
	Security total:	14,534.09		14,360.37	50.42 W	224.14	
ATERIAN INC COM / CUSIP: 02156U101 / Symbol: ATER							
01/17/23	10,000.000	14,848.20	Various	14,741.34	...	106.86	Total of 2 transactions
01/17/23	5,000.000	6,849.11	01/17/23	7,490.60	641.49 W	0.00	Sale ²⁶
	Security total:	21,697.31		22,231.94	641.49 W	106.86	
AMBRX BIOPHARMA INC 1:1 EXC 10/12/23 641871108 / CUSIP: 02290A102 / Symbol:							
02/21/23	2,000.000	10,499.47	02/21/23	10,262.17	...	237.30	Sale ²⁶
02/23/23	4,500.000	28,859.10	Various	28,671.02	...	188.08	Total of 3 transactions
02/23/23	3,000.000	16,814.42	Various	19,247.55	2,433.13 W	0.00	Total of 2 transactions
	Security total:	56,172.99		58,180.74	2,433.13 W	425.38	
AMERICAN ONCOLOGY NETWORK INC COM CL A / CUSIP: 028719102 / Symbol: AONC							
09/21/23	200.000	6,975.96	09/20/23	6,389.67	...	586.29	Sale ²⁶
APPLIED DIGITAL CORP COM / CUSIP: 038169207 / Symbol: APLD							
05/16/23	2,000.000	11,159.62	05/16/23	10,819.18	...	340.44	Sale ²⁶
05/16/23	2,500.000	13,374.53	05/16/23	13,672.80	359.18 W	60.91	Sale ²⁶
07/25/23	500.000	5,285.39	07/25/23	5,240.00	...	45.39	Sale ²⁶
	Security total:	29,819.54		29,731.98	359.18 W	446.74	

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Proceeds from Broker and Barter Exchange Transactions

2023 1099-B* OMB No. 1545-0715

(continued)

02/01/2024

SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS [Ordinary gains or losses are identified in the Additional information column] (Lines 2 & 5)

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1a- Description of property/CUSIP/Symbol

1c- Date sold or disposed	Quantity	1d- Proceeds & 6- Reported (G)ross or (N)et	1b- Date acquired	1e- Cost or other basis	1f- Accrued mkt disc (D) & 1g- Wash sale loss disallowed (W)	7- Loss not allowed (X) also not reported (Z)	Gain or loss(-) & Additional information
APPRECIATE HLDGS INC COM / CUSIP: 03832J106 / Symbol: SFRT							
04/25/23	3,000.000	6,869.51	04/25/23	6,870.00	...	-0.49	Sale ²⁶
ARDELYX INC COM / CUSIP: 039697107 / Symbol: ARDX							
03/03/23	2,500.000	9,449.56	03/03/23	9,400.00	...	49.56	Sale ²⁶
ARM HOLDINGS PLC ADR / CUSIP: 042068205 / Symbol: ARM							
09/14/23	200.000	11,719.88	09/14/23	11,592.75	...	127.13	Sale ²⁶
ATLIS MOTOR VEHICLES INC N/C 5/15/23 62956D105 / CUSIP: 049506108 / Symbol: AMV							
01/11/23	1,200.000	13,079.53	01/11/23	12,869.22	...	210.31	Sale ²⁶
AVINGER INC COM / CUSIP: 053734877 / Symbol: AVGR							
09/19/23	700.000	7,174.84	09/19/23	7,042.00	...	132.84	Sale ²⁶
BIT MINING LTD ADR / CUSIP: 055474209 / Symbol: BTCM							
01/17/23	1,500.000	8,174.59	01/17/23	7,917.27	...	257.32	Sale ²⁶
01/17/23	1,500.000	7,844.60	01/17/23	8,096.87	252.27 W	0.00	Sale ²⁶
	Security total:	16,019.19		16,014.14	252.27 W	257.32	
BAUDAX BIO INC COM / CUSIP: 07160F404 / Symbol: BXRX							
06/30/23	5,000.000	6,649.22	06/30/23	6,450.59	...	198.63	Sale ²⁶
06/30/23	6,000.000	5,879.08	06/30/23	7,509.90	1,650.77 W	19.95	Sale ²⁶
	Security total:	12,528.30		13,960.49	1,650.77 W	218.58	
BED BATH AND BEYOND DELISTED 10/2/23 / CUSIP: 075896100 / Symbol: BBYQ							
01/11/23	2,500.000	8,849.44	01/11/23	8,849.00	...	0.44	Sale ²⁶
01/12/23	3,500.000	18,699.06	Various	18,490.89	...	208.17	Total of 2 transactions
01/12/23	3,500.000	16,274.12	Various	18,630.00	2,355.88 W	0.00	Total of 2 transactions
02/06/23	3,000.000	20,024.10	Various	19,769.62	...	254.48	Total of 2 transactions
02/06/23	3,000.000	16,649.18	Various	19,888.80	3,239.62 W	0.00	Total of 2 transactions
	Security total:	80,495.90		85,628.31	5,595.50 W	463.09	

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Proceeds from Broker and Barter Exchange Transactions

2023 1099-B* OMB No. 1545-0715

(continued)

02/01/2024

SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS [Ordinary gains or losses are identified in the Additional information column] (Lines 2 & 5)

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1c- Date sold or disposed	Quantity	1d- Proceeds & 6- Reported (G)ross or (N)et	1b- Date acquired	1e- Cost or other basis	1f- Accrued mkt disc (D) & 1g- Wash sale loss disallowed (W)	Gain or loss(-) & 7- Loss not allowed (X) also not reported (Z)	Additional information
BELLEROPHON THERAPEUTICS INC COM / CUSIP: 078771300 / Symbol: BLPH							
03/06/23	2,500.000	10,621.44	Various	10,301.43	...	320.01	Total of 3 transactions
03/06/23	10,100.000	37,488.76	Various	39,845.31	2,475.38 W	118.83	Total of 5 transactions
03/07/23	2,000.000	10,259.63	03/07/23	10,282.01	22.85 W	0.47	Sale ²⁶
03/09/23	1,500.000	9,749.70	03/09/23	11,212.85	...	-1,463.15	Sale ²⁶
	Security total:	68,119.53		71,641.60	2,498.23 W	-1,023.84	
BIGBEAR AI HOLDINGS INC COM / CUSIP: 08975B109 / Symbol: BBAI							
01/30/23	2,500.000	10,299.40	01/30/23	10,174.48	...	124.92	Sale ²⁶
01/30/23	2,500.000	9,799.42	01/30/23	10,198.90	399.48 W	0.00	Sale ²⁶
02/03/23	6,500.000	33,777.54	Various	33,248.04	...	529.50	Total of 3 transactions
02/03/23	5,000.000	22,973.76	Various	26,241.80	3,268.04 W	0.00	Total of 2 transactions
02/06/23	3,000.000	18,599.16	Various	18,412.42	...	186.74	Total of 3 transactions
02/06/23	1,500.000	8,939.58	02/06/23	9,403.96	464.38 W	0.00	Sale ²⁶
03/06/23	2,000.000	7,079.65	03/06/23	7,080.00	...	-0.35	Sale ²⁶
	Security total:	111,468.51		114,759.60	4,131.90 W	840.81	
BIOAFFINITY TECHNOLOGIES INC COM / CUSIP: 09076W109 / Symbol: BIAF							
01/24/23	5,000.000	18,923.84	Various	18,500.99	...	422.85	Total of 2 transactions
01/24/23	4,500.000	14,474.01	Various	16,940.00	2,465.99 W	0.00	Total of 2 transactions
	Security total:	33,397.85		35,440.99	2,465.99 W	422.85	
BLUE APRON HOLDINGS INC 1:12 R/S 6/8/23 09523Q309 / CUSIP: 09523Q200 / Symbol:							
02/06/23	4,000.000	5,454.00	Various	5,398.00	...	56.00	Total of 2 transactions
BLUE APRON HOLDINGS INC CSH MRG \$13.00/SH 11/14/23 / CUSIP: 09523Q309 / Symbol: APRN							
06/09/23	700.000	6,915.84	06/09/23	6,837.44	...	78.40	Sale ²⁶
BULLFROG AI HLDGS INC COM / CUSIP: 12021E109 / Symbol: BFRG							
04/04/23	1,500.000	14,174.67	04/04/23	14,040.00	...	134.67	Sale ²⁶
BUZZFEED INC COM / CUSIP: 12430A102 / Symbol: BZFD							
01/27/23	3,000.000	9,029.35	01/27/23	8,939.95	...	89.40	Sale ²⁶

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Account 777530988

Proceeds from Broker and Barter Exchange Transactions

2023 1099-B* OMB No. 1545-0715

(continued)

02/01/2024

SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS [Ordinary gains or losses are identified in the Additional information column] (Lines 2 & 5)

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CAMBER ENERGY INC COM / CUSIP: 13200M607 / Symbol: CEI							
07/12/23	7,000.000	6,508.93	07/12/23	6,420.07	...	88.86	Sale ²⁶
07/12/23	7,000.000	6,039.93	07/12/23	6,440.00	400.07 W	0.00	Sale ²⁶
	Security total:	12,548.86		12,860.07	400.07 W	88.86	
CARDIO DIAGNOSTICS HLDGS INC COM / CUSIP: 14159C103 / Symbol: CDIO							
03/01/23	19,500.000	117,882.08	Various	117,227.15	...	654.93	Total of 11 transactions
03/01/23	17,500.000	87,382.78	Various	106,157.95	18,775.17 W	0.00	Total of 10 transactions
11/07/23	3,041.000	4,834.71	11/07/23	4,318.22	...	516.49	Sale ²⁶
	Security total:	210,099.57		227,703.32	18,775.17 W	1,171.42	
CARDLYTICS INC COM / CUSIP: 14161W105 / Symbol: CDLX							
04/04/23	1,500.000	9,719.70	04/04/23	9,720.00	...	-0.30	Sale ²⁶
CARVANA CO COM CL A / CUSIP: 146869102 / Symbol: CVNA							
01/12/23	3,000.000	24,074.01	Various	23,817.71	...	256.30	Total of 2 transactions
01/12/23	3,000.000	18,284.14	Various	23,952.00	5,667.86 W	0.00	Total of 2 transactions
01/13/23	1,500.000	12,509.49	01/13/23	12,450.00	...	59.49	Sale ²⁶
01/30/23	4,200.000	42,256.42	Various	41,954.83	...	301.59	Total of 3 transactions
01/30/23	3,000.000	27,388.93	Various	30,326.00	2,937.07 W	0.00	Total of 2 transactions
02/01/23	1,000.000	13,259.55	02/01/23	13,229.61	...	29.94	Sale ²⁶
02/01/23	1,000.000	11,229.69	02/01/23	13,259.30	2,029.61 W	0.00	Sale ²⁶
	Security total:	149,002.23		158,989.45	10,634.54 W	647.32	
CELYAD ADR TERMINATION 10/26/23 / CUSIP: 151205200 / Symbol:							
01/18/23	5,000.000	14,873.94	Various	14,685.24	...	188.70	Total of 2 transactions
01/18/23	3,000.000	7,739.38	01/18/23	8,905.00	1,165.62 W	0.00	Sale ²⁶
	Security total:	22,613.32		23,590.24	1,165.62 W	188.70	
CIDARA THERAPEUTICS INC COM / CUSIP: 171757107 / Symbol: CDTX							
01/25/23	5,000.000	6,149.13	01/25/23	6,100.00	...	49.13	Sale ²⁶
CLEARMIND MEDICINE INC COM / CUSIP: 185053402 / Symbol: CMND							
12/05/23	700.000	4,542.86	12/05/23	4,543.00	...	-0.14	Sale ²⁶

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Account 777530988

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COSMOS HEALTH INC COM / CUSIP: 221413305 / Symbol: COSM							
01/25/23	1,500.000	11,009.53	01/25/23	10,905.46	...	104.07	Sale ²⁶
01/25/23	1,500.000	10,649.54	01/25/23	11,010.00	360.46 W	0.00	Sale ²⁶
	Security total:	21,659.07		21,915.46	360.46 W	104.07	
CXAPP INC COM / CUSIP: 23248B109 / Symbol: CXAI							
04/13/23	15,500.000	88,494.85	Various	87,892.82	...	602.03	Total of 8 transactions
04/13/23	16,500.000	68,197.05	Various	92,729.12	24,551.89 W	19.82	Total of 6 transactions
05/31/23	1,300.000	19,920.66	Various	19,659.27	...	261.39	Total of 2 transactions
05/31/23	1,000.000	14,389.73	05/31/23	15,330.00	940.27 W	0.00	Sale ²⁶
	Security total:	191,002.29		215,611.21	25,492.16 W	883.24	
DWAVE QUANTUM INC COM / CUSIP: 26740W109 / Symbol: QBTS							
07/18/23	2,500.000	7,999.58	07/18/23	7,775.42	...	224.16	Sale ²⁶
07/18/23	3,000.000	8,759.49	07/18/23	9,355.00	625.42 W	29.91	Sale ²⁶
	Security total:	16,759.07		17,130.42	625.42 W	254.07	
EBIX INC COM / CUSIP: 278715206 / Symbol: EBIXQ							
12/20/23	2,500.000	6,074.59	12/18/23	5,975.00	...	99.59	Short sale closed ²⁶
EDTECHX HLDGS ACQUISITION CORP LIQ \$10.34800008/SH 9/1/23 / CUSIP: 28139A102 / Symbol: EDTX							
07/13/23	200.000	10,249.89	07/13/23	10,062.00	...	187.89	Sale ²⁶
89BIO INC COM / CUSIP: 282559103 / Symbol: ETNB							
03/22/23	700.000	10,870.81	03/22/23	10,808.18	...	62.63	Sale ²⁶
03/22/23	700.000	10,569.82	03/22/23	10,871.00	301.18 W	0.00	Sale ²⁶
03/23/23	500.000	7,874.87	03/23/23	7,903.96	...	-29.09	Sale ²⁶
	Security total:	29,315.50		29,583.14	301.18 W	33.54	
ENSYSCE BIOSCIENCES INC 1:12 R/S 3/31/23 293602405 / CUSIP: 293602207 / Symbol:							
01/25/23	5,000.000	6,944.11	Various	7,150.88	...	-206.77	Total of 3 transactions
01/25/23	5,000.000	6,499.12	01/25/23	7,300.00	800.88 W	0.00	Sale ²⁶
	Security total:	13,443.23		14,450.88	800.88 W	-206.77	
EXELA TECHNOLOGIES INC COM / CUSIP: 30162V805 / Symbol: XELA							
05/17/23	1,428.000	11,960.73	Various	11,821.07	...	139.66	Total of 2 transactions

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(continued)

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EXPION360 INC COM / CUSIP: 30218B100 / Symbol: XPON							
01/12/23	1,600.000	6,008.63	Various	5,866.33	...	142.30	Total of 2 transactions
01/12/23	1,500.000	4,949.67	01/12/23	5,640.00	690.33 W	0.00	Sale ²⁶
	Security total:	10,958.30		11,506.33	690.33 W	142.30	
FEMASYS INC COM / CUSIP: 31447E105 / Symbol: FEMY							
07/27/23	12,408.000	12,638.54	Various	12,450.01	...	188.53	Total of 3 transactions
07/27/23	17,592.000	16,719.57	Various	17,671.29	1,011.84 W	60.12	Total of 2 transactions
10/02/23	3,000.000	11,249.47	10/02/23	14,090.45	...	-2,840.98	Sale ²⁶
10/02/23	2,500.000	11,249.55	10/02/23	11,825.00	575.45 W	0.00	Sale ²⁶
	Security total:	51,857.13		56,036.75	1,587.29 W	-2,592.33	
FIBROGEN INC COM / CUSIP: 31572Q808 / Symbol: FGEN							
06/28/23	3,000.000	9,479.48	06/26/23	9,150.00	...	329.48	Short sale closed ²⁶
FINANCE OF AMERICA COMPANIES I COM CL A / CUSIP: 31738L107 / Symbol: FOA							
04/06/23	2,500.000	5,574.60	04/06/23	5,525.00	...	49.60	Sale ²⁶
FIRST REPUBLIC BANK SAN FRANCI COM / CUSIP: 33616C100 / Symbol: FRCB							
03/16/23	200.000	5,979.92	03/16/23	5,898.00	...	81.92	Sale ²⁶
03/17/23	200.000	7,441.91	03/15/23	7,430.00	...	11.91	Short sale closed ²⁶
03/21/23	400.000	6,892.24	03/21/23	7,060.05	...	-167.81	Sale ²⁶
03/22/23	200.000	3,589.94	03/20/23	3,444.06	...	145.88	Short sale closed ²⁶
03/22/23	500.000	8,674.86	Various	8,705.00	56.11 W	25.97	Total of 2 transactions
03/24/23	300.000	4,346.93	03/22/23	4,311.00	...	35.93	Short sale closed ²⁶
05/02/23	1,500.000	7,124.72	04/28/23	7,020.00	...	104.72	Short sale closed ²⁶
	Security total:	44,050.52		43,868.11	56.11 W	238.52	
FREELINE THERAPEUTICS HLDGS PL ADR / CUSIP: 35655L206 / Symbol: FRLN							
07/12/23	1,200.000	9,939.26	Various	9,792.00	...	147.26	Total of 4 transactions
GSI TECHNOLOGY INC COM / CUSIP: 36241U106 / Symbol: GSIT							
05/12/23	2,500.000	10,805.35	Various	10,797.59	...	7.76	Total of 2 transactions
05/12/23	3,000.000	8,579.49	05/12/23	12,205.00	3,625.42 W	-0.09	Sale ²⁶
	Security total:	19,384.84		23,002.59	3,625.42 W	7.67	

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GAOTU TECHEDU INC ADR / CUSIP: 36257Y109 / Symbol: GOTU							
03/03/23	2,500.000	11,599.55	03/03/23	11,500.00	...	99.55	Sale ²⁶
GENETIC TECH 1:5 R/S 12/14/23 37185R406 / CUSIP: 37185R307 / Symbol:							
02/03/23	3,000.000	6,569.41	02/03/23	6,480.00	...	89.41	Sale ²⁶
GREENPOWER MTR CO INC COM / CUSIP: 39540E302 / Symbol: GP							
07/17/23	4,252.000	22,157.24	Various	23,851.08	...	-1,693.84	Total of 3 transactions
07/17/23	3,748.000	19,429.22	Various	21,479.20	2,049.98 W	0.00	Total of 3 transactions
	Security total:	41,586.46		45,330.28	2,049.98 W	-1,693.84	
GROM SOCIAL ENTERPRISES INC 1:20 R/S 9/7/23 39878L506 / CUSIP: 39878L407 / Symbol:							
01/23/23	5,000.000	11,599.00	01/23/23	11,385.99	...	213.01	Sale ²⁶
01/23/23	5,000.000	11,199.01	01/23/23	11,600.00	400.99 W	0.00	Sale ²⁶
01/24/23	2,000.000	6,899.75	01/24/23	6,700.00	...	199.75	Sale ²⁶
	Security total:	29,697.76		29,685.99	400.99 W	412.76	
HARBOR CUSTOM DEVELOPMENT INC COM / CUSIP: 41150T306 / Symbol: HCDIQ							
05/10/23	500.000	7,774.87	05/10/23	7,476.00	...	298.87	Sale ²⁶
HEARTCORE ENTERPRISES INC COM / CUSIP: 42240Q104 / Symbol: HTCR							
05/23/23	3,000.000	9,869.48	05/23/23	9,718.82	...	150.66	Sale ²⁶
HEART TEST LABORATORIES INC COM / CUSIP: 42254E104 / Symbol: HSCS							
01/30/23	9,000.000	20,178.22	Various	19,890.93	...	287.29	Total of 2 transactions
01/30/23	5,000.000	8,949.07	01/30/23	11,870.00	2,920.93 W	0.00	Sale ²⁶
	Security total:	29,127.29		31,760.93	2,920.93 W	287.29	
HEMPACCO CO INC COM / CUSIP: 42371L106 / Symbol: HPCO							
02/09/23	5,500.000	24,273.64	Various	23,745.70	...	527.94	Total of 2 transactions
02/09/23	3,000.000	11,549.30	02/09/23	13,310.00	1,760.70 W	0.00	Sale ²⁶
	Security total:	35,822.94		37,055.70	1,760.70 W	527.94	
THARIMMUNIE INC 1:25 R/S 11/21/23 432705200 / CUSIP: 432705101 / Symbol:							
01/31/23	5,000.000	8,949.07	01/31/23	8,850.91	...	98.16	Sale ²⁶
01/31/23	5,000.000	7,849.09	01/31/23	8,900.00	1,050.91 W	0.00	Sale ²⁶
	Security total:	16,798.16		17,750.91	1,050.91 W	98.16	

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HYPERFINE INC COM CL A / CUSIP: 44916K106 / Symbol: HYPR							
07/18/23	2,500.000	7,999.58	07/18/23	8,000.00	...	-0.42	Sale ²⁶
ICORECONNECT INC COM / CUSIP: 450958103 / Symbol: ICCT							
08/29/23	1,500.000	7,454.72	08/29/23	7,448.96	0.24 W	6.00	Sale ²⁶
08/30/23	3,000.000	30,819.30	Various	30,617.98	...	201.32	Total of 3 transactions
08/30/23	1,000.000	8,599.78	08/30/23	12,430.00	3,830.22 W	0.00	Sale ²⁶
	Security total:	46,873.80		50,496.94	3,830.46 W	207.32	
IBIO INC 1:20 R/S 11/29/23 451033708 / CUSIP: 451033609 / Symbol:							
03/08/23	1,500.000	3,419.75	03/08/23	3,615.00	...	-195.25	Sale ²⁶
03/20/23	1,000.000	2,319.83	03/08/23	2,410.00	...	-90.17	Sale ²⁶
	Security total:	5,739.58		6,025.00	...	-285.42	
IMMUNOGEN INC COM / CUSIP: 45253H101 / Symbol: IMGN							
05/03/23	1,000.000	12,399.75	05/03/23	12,212.00	...	187.75	Sale ²⁶
INNOVATIVE EYEWEAR INC COM / CUSIP: 45791D109 / Symbol: LUCY							
02/02/23	2,500.000	10,949.39	02/02/23	10,175.58	...	773.81	Sale ²⁶
02/02/23	5,000.000	18,898.85	Various	20,500.00	1,601.15 W	0.00	Total of 2 transactions
02/07/23	2,500.000	9,724.42	02/07/23	10,100.55	...	-376.13	Sale ²⁶
04/11/23	5,000.000	22,499.10	Various	24,482.73	...	-1,983.63	Total of 2 transactions
04/11/23	5,000.000	20,499.12	Various	24,635.60	4,136.48 W	0.00	Total of 2 transactions
	Security total:	82,570.88		89,894.46	5,737.63 W	-1,585.95	
IONQ INC COM / CUSIP: 46222L108 / Symbol: IONQ							
07/26/23	600.000	9,437.33	Various	9,792.00	...	-354.67	Total of 2 transactions
JAGUAR HEALTH INC COM / CUSIP: 47010C706 / Symbol: JAGX							
05/11/23	5,000.000	5,813.34	Various	5,750.00	...	63.34	Total of 2 transactions
JASPER THERAPEUTICS INC 1:10 R/S 1/4/24 471871202 / CUSIP: 471871103 / Symbol:							
01/13/23	3,000.000	7,889.38	01/13/23	8,190.40	325.52 W	24.50	Sale ²⁶
01/18/23	2,500.000	4,349.54	01/13/23	6,779.82	...	-2,430.28	Sale ²⁶
	Security total:	12,238.92		14,970.22	325.52 W	-2,405.78	

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KALA BIO INC COM / CUSIP: 483119202 / Symbol: KALA							
03/06/23	300.000	6,704.91	03/06/23	6,507.09	...	197.82	Sale ²⁶
03/06/23	300.000	6,494.91	03/06/23	6,600.00	105.09 W	0.00	Sale ²⁶
03/08/23	100.000	2,286.73	03/08/23	2,349.00	...	-62.27	Sale ²⁶
	Security total:	15,486.55		15,456.09	105.09 W	135.55	
LIANBIO ADR / CUSIP: 53000N108 / Symbol: LIAN							
10/24/23	2,500.000	8,075.83	10/24/23	7,425.18	...	650.65	Sale ²⁶
10/24/23	7,500.000	23,748.73	Various	25,000.18	1,251.45 W	0.00	Total of 3 transactions
10/25/23	2,500.000	9,199.57	10/25/23	9,175.85	...	23.72	Sale ²⁶
	Security total:	41,024.13		41,601.21	1,251.45 W	674.37	
LIPOCINE INC COM / CUSIP: 53630X203 / Symbol: LPCN							
07/27/23	2,000.000	11,539.62	07/27/23	11,440.38	...	99.24	Sale ²⁶
07/27/23	2,000.000	11,159.62	07/27/23	11,400.00	240.38 W	0.00	Sale ²⁶
	Security total:	22,699.24		22,840.38	240.38 W	99.24	
LIVEPERSON INC COM / CUSIP: 538146101 / Symbol: LPSN							
07/12/23	1,200.000	7,646.76	Various	7,440.71	...	206.05	Total of 2 transactions
07/12/23	1,200.000	7,403.77	07/12/23	7,623.48	219.71 W	0.00	Sale ²⁶
	Security total:	15,050.53		15,064.19	219.71 W	206.05	
LORDSTOWN MOTORS CORP COM CL A / CUSIP: 54405Q209 / Symbol: RIDEQ							
06/16/23	1,200.000	7,787.77	06/16/23	7,685.00	...	102.77	Sale ²⁶
MBIA INC COM / CUSIP: 55262C100 / Symbol: MBI							
12/28/23	150.000	2,047.46	Various	919.46	...	1,128.00	Total of 2 transactions
MGO GLOBAL INC COM / CUSIP: 55317F108 / Symbol: MGOL							
06/22/23	2,500.000	7,549.58	06/22/23	7,525.00	...	24.58	Sale ²⁶
MANGOCEUTICALS INC COM / CUSIP: 56270V106 / Symbol: MGRX							
04/21/23	6,000.000	11,729.02	Various	11,670.00	...	59.02	Total of 2 transactions
MARATHON DIGITAL HOLDINGS INC COM / CUSIP: 565788106 / Symbol: MARA							
01/12/23	1,500.000	9,686.31	Various	9,735.00	...	-48.69	Total of 2 transactions

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TD Ameritrade Clearing, Inc.

Account 777530988

Proceeds from Broker and Barter Exchange Transactions

2023 1099-B* OMB No. 1545-0715

(continued)

02/01/2024

SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS [Ordinary gains or losses are identified in the Additional information column] (Lines 2 & 5)

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MARPAI INC COM CL A / CUSIP: 571354208 / Symbol: MRAI							
11/16/23	148.000	233.82	11/16/23	233.94	...	-0.12	Sale ²⁶
11/16/23	2,852.000	4,192.00	11/16/23	4,506.15	0.10 W	-314.05	Sale ²⁶
	Security total:	4,425.82		4,740.09	0.10 W	-314.17	
BIODEXA PHARMACEUTICALS PLC ADR / CUSIP: 59564R708 / Symbol: BDRX							
08/31/23	1,000.000	9,499.77	08/31/23	9,398.82	...	100.95	Sale ²⁶
MINERVA NEUROSCIENCES INC COM / CUSIP: 603380205 / Symbol: NERV							
06/28/23	2,000.000	21,339.53	Various	21,229.85	...	109.68	Total of 2 transactions
06/28/23	1,000.000	10,319.77	06/28/23	10,860.00	540.23 W	0.00	Sale ²⁶
	Security total:	31,659.30		32,089.85	540.23 W	109.68	
MINIM INC COM / CUSIP: 60365W201 / Symbol: MINM							
05/11/23	1,000.000	6,449.80	05/10/23	7,679.80	...	-1,230.00	Sale ²⁶
MOBILE GLOBAL ESPORTS INC COM / CUSIP: 607371101 / Symbol: MGAM							
01/31/23	4,000.000	8,879.22	01/31/23	8,800.76	...	78.46	Sale ²⁶
01/31/23	4,000.000	7,679.24	01/31/23	8,840.00	1,160.76 W	0.00	Sale ²⁶
	Security total:	16,558.46		17,640.76	1,160.76 W	78.46	
MOONLAKE IMMUNOTHERAPEUTICS COM / CUSIP: 61559X104 / Symbol: MLTX							
06/27/23	150.000	7,919.92	06/27/23	7,867.50	...	52.42	Sale ²⁶
MORPHIC HOLDING INC COM / CUSIP: 61775R105 / Symbol: MORF							
09/27/23	300.000	9,458.88	09/25/23	9,375.00	...	83.88	Short sale closed ²⁶
MOTORSPORT GAMES INC COM CL A / CUSIP: 62011B201 / Symbol: MSGM							
01/31/23	2,400.000	23,783.11	Various	23,585.99	...	197.12	Total of 2 transactions
01/31/23	1,300.000	11,790.54	01/31/23	13,057.00	1,266.46 W	0.00	Sale ²⁶
	Security total:	35,573.65		36,642.99	1,266.46 W	197.12	
NEKTAR THERAPEUTICS COM / CUSIP: 640268108 / Symbol: NKTR							
08/07/23	10,000.000	10,798.46	08/07/23	10,700.00	...	98.46	Sale ²⁶

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NEXTPLAY TECHNOLOGIES INC COM / CUSIP: 65344G201 / Symbol: NXTP							
12/22/23	2,000.000	7,281.65	Various	7,169.13	...	112.52	Total of 2 transactions
12/22/23	3,000.000	6,239.51	12/22/23	9,278.90	3,069.33 W	29.94	Sale ²⁶
	Security total:	13,521.16		16,448.03	3,069.33 W	142.46	
NOKIA OYJ ADR SPONSORED / CUSIP: 654902204 / Symbol: NOK							
12/29/23	9.694	32.77	Various	38.20	...	-5.43	Sale ²⁶
NOGIN INC COM / CUSIP: 65528N204 / Symbol: NOGNQ							
04/11/23	2,500.000	5,974.59	04/11/23	6,025.00	...	-50.41	Sale ²⁶
NUBURU INC COM / CUSIP: 67021W103 / Symbol: BURU							
04/05/23	1,500.000	9,659.70	04/05/23	9,600.00	...	59.70	Sale ²⁶
OCEAN BIOMEDICAL INC COM / CUSIP: 67644C104 / Symbol: OCEA							
05/23/23	500.000	5,974.88	05/23/23	5,800.11	...	174.77	Sale ²⁶
05/23/23	1,200.000	11,099.74	05/23/23	12,242.44	1,250.11 W	107.41	Sale ²⁶
	Security total:	17,074.62		18,042.55	1,250.11 W	282.18	
180 LIFE SCIENCES CORP COM / CUSIP: 68236V203 / Symbol: ATNF							
01/03/23	6,000.000	33,805.49	Various	33,298.58	...	506.91	Total of 5 transactions
01/03/23	3,000.000	15,742.03	Various	17,100.15	1,358.12 W	0.00	Total of 3 transactions
01/05/23	2,000.000	13,799.39	Various	13,620.41	...	178.98	Total of 2 transactions
01/05/23	1,500.000	9,179.57	01/05/23	10,424.98	1,245.41 W	0.00	Sale ²⁶
01/25/23	1,500.000	7,874.60	01/25/23	7,830.00	...	44.60	Sale ²⁶
	Security total:	80,401.08		82,274.12	2,603.53 W	730.49	
ONTRAK INC 1:6 R/S 7/28/23 683373302 / CUSIP: 683373104 / Symbol:							
01/18/23	5,000.000	6,149.13	01/18/23	6,050.00	...	99.13	Sale ²⁶
PSQ HOLDINGS INC COM CL A / CUSIP: 693691107 / Symbol: PSQH							
07/20/23	5.000	138.30	07/20/23	136.60	...	1.70	Sale ²⁶

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PACWEST BANCORP 0.6569:1 EXC 12/1/23 05990K106 / CUSIP: 695263103 / Symbol: PACW							
03/14/23	300.000	5,129.92	03/14/23	5,088.48	...	41.44	Sale ²⁶
03/14/23	400.000	6,479.89	03/14/23	6,867.84	387.95 W	0.00	Sale ²⁶
05/02/23	300.000	2,003.94	03/14/23	5,138.57	...	-3,134.63	Sale ²⁶
	Security total:	13,613.75		17,094.89	387.95 W	-3,093.19	
PAXMEDICA INC 1:17 R/S 10/31/23 70424C203 / CUSIP: 70424C104 / Symbol:							
01/24/23	1,500.000	5,234.66	01/24/23	5,235.00	...	-0.34	Sale ²⁶
PETROS PHARMACEUTICALS INC COM / CUSIP: 71678J209 / Symbol: PTPI							
04/14/23	2,500.000	8,799.57	04/14/23	8,650.43	...	149.14	Sale ²⁶
04/14/23	2,500.000	8,349.57	04/14/23	8,750.00	400.43 W	0.00	Sale ²⁶
	Security total:	17,149.14		17,400.43	400.43 W	149.14	
BIORA THERAPEUTICS INC COM / CUSIP: 74319F305 / Symbol: BIOR							
01/10/23	5,000.000	21,423.79	Various	21,450.54	...	-26.75	Total of 2 transactions
01/10/23	2,500.000	7,824.46	01/10/23	13,175.00	5,350.54 W	0.00	Sale ²⁶
	Security total:	29,248.25		34,625.54	5,350.54 W	-26.75	
PYXIS ONCOLOGY INC COM / CUSIP: 747324101 / Symbol: PYXS							
03/28/23	2,500.000	9,599.56	03/28/23	9,574.99	...	24.57	Sale ²⁶
03/29/23	2,500.000	11,549.55	03/29/23	11,449.00	...	100.55	Sale ²⁶
03/30/23	2,500.000	14,499.52	03/30/23	14,400.47	...	99.05	Sale ²⁶
03/30/23	2,500.000	13,424.53	03/30/23	14,500.00	1,075.47 W	0.00	Sale ²⁶
	Security total:	49,073.16		49,924.46	1,075.47 W	224.17	
REALPHA TECH CORP COM / CUSIP: 75607T105 / Symbol: AIRE							
11/14/23	400.000	5,879.89	11/14/23	5,792.80	...	87.09	Sale ²⁶
11/14/23	500.000	5,929.88	11/14/23	6,981.70	1,052.80 W	0.98	Sale ²⁶
	Security total:	11,809.77		12,774.50	1,052.80 W	88.07	
RECURSION PHARMACEUTICALS INC COM CL A / CUSIP: 75629V104 / Symbol: RXXR							
07/19/23	500.000	7,849.87	07/19/23	7,844.22	...	5.65	Sale ²⁶

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(continued)

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RIOT PLATFORMS INC COM / CUSIP: 767292105 / Symbol: RIOT							
04/11/23	700.000	8,504.90	04/11/23	8,498.00	...	6.90	Sale ²⁶
04/12/23	900.000	11,602.78	Various	11,801.10	198.32 W	0.00	Total of 2 transactions
04/13/23	700.000	9,246.83	04/13/23	9,297.22	...	-50.39	Sale ²⁶
04/14/23	500.000	6,044.88	04/12/23	6,015.00	...	29.88	Short sale closed ²⁶
	Security total:	35,399.39		35,611.32	198.32 W	-13.61	
RITE AID CORP COM / CUSIP: 767754872 / Symbol: RADCQ							
08/04/23	3,000.000	8,639.49	08/04/23	8,640.00	...	-0.51	Sale ²⁶
SVB FINANCIAL GROUP COM / CUSIP: 78486Q101 / Symbol: SIVBQ							
03/09/23	50.000	4,502.45	03/09/23	4,500.00	...	2.45	Sale ²⁶
08/04/23	50.000	3.04	03/10/23	2,000.00	...	-1,996.96	Sale ²⁶
	Security total:	4,505.49		6,500.00	...	-1,994.51	
SAGE THERAPEUTICS INC COM / CUSIP: 78667J108 / Symbol: SAGE							
08/09/23	1,000.000	18,149.70	08/07/23	18,129.90	...	19.80	Short sale closed ²⁶
SCILEX HOLDING COMPANY COM / CUSIP: 80880W106 / Symbol: SCLX							
04/05/23	1,000.000	12,948.76	Various	12,937.31	...	11.45	Total of 3 transactions
04/05/23	500.000	6,239.88	04/05/23	6,557.20	317.32 W	0.00	Sale ²⁶
	Security total:	19,188.64		19,494.51	317.32 W	11.45	
SECOO HOLDING LIMITED ADR / CUSIP: 81367P200 / Symbol: SECO							
02/06/23	2,500.000	11,524.38	02/06/23	11,346.61	...	177.77	Sale ²⁶
02/06/23	2,500.000	10,753.39	Various	11,425.00	671.61 W	0.00	Total of 2 transactions
04/04/23	2,500.000	4,074.61	04/04/23	3,950.15	...	124.46	Sale ²⁶
04/04/23	3,000.000	4,589.82	04/04/23	4,775.00	200.15 W	14.97	Sale ²⁶
	Security total:	30,942.20		31,496.76	871.76 W	317.20	
SIDUS SPACE INC 1:100 R/S 12/20/23 826165201 / CUSIP: 826165102 / Symbol:							
01/10/23	5,000.000	7,049.11	01/10/23	6,999.01	...	50.10	Sale ²⁶
SILICON MOTION TECHNOLOGY CORP ADR / CUSIP: 82706C108 / Symbol: SIMO							
07/31/23	300.000	16,493.83	07/27/23	16,434.00	...	59.83	Short sale closed ²⁶

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SIRIUS XM HOLDINGS INC COM / CUSIP: 82968B103 / Symbol: SIRI							
07/20/23	700.000	5,494.86	07/20/23	5,389.73	...	105.13	Sale ²⁶
07/20/23	1,000.000	7,679.79	07/20/23	7,721.58	62.73 W	20.94	Sale ²⁶
	Security total:	13,174.65		13,111.31	62.73 W	126.07	
SMART FOR LIFE INC 1:3 R/S 8/2/23 83204U400 / CUSIP: 83204U301 / Symbol:							
05/17/23	2,500.000	11,724.55	05/17/23	11,374.43	...	350.12	Sale ²⁶
05/17/23	2,500.000	9,924.56	05/17/23	11,499.99	1,575.43 W	0.00	Sale ²⁶
	Security total:	21,649.11		22,874.42	1,575.43 W	350.12	
SOUNDHOUND AI INC COM / CUSIP: 836100107 / Symbol: SOUN							
02/08/23	5,000.000	23,723.73	Various	23,570.26	...	153.47	Total of 2 transactions
TEMPEST THERAPEUTICS INC COM / CUSIP: 87978U108 / Symbol: TPST							
10/11/23	2,500.000	6,599.59	10/11/23	6,400.00	...	199.59	Sale ²⁶
TENON MEDICAL INC COM / CUSIP: 88066N204 / Symbol: TNON							
11/08/23	2,500.000	11,674.55	11/08/23	11,461.92	...	212.63	Sale ²⁶
11/08/23	2,500.000	7,849.58	11/08/23	11,475.00	3,625.42 W	0.00	Sale ²⁶
	Security total:	19,524.13		22,936.92	3,625.42 W	212.63	
TERRAN ORBITAL CORPORATION COM / CUSIP: 88105P103 / Symbol: LLAP							
02/22/23	200.000	623.96	02/22/23	602.00	...	21.96	Sale ²⁶
02/22/23	1,000.000	3,049.78	02/22/23	3,429.60	379.82 W	0.00	Sale ²⁶
02/23/23	1,000.000	3,149.82	02/22/23	3,695.75	83.93 W	-462.00	Sale ²⁶
02/27/23	1,000.000	3,289.82	02/22/23	3,627.88	...	-338.06	Sale ²⁶
	Security total:	10,113.38		11,355.23	463.75 W	-778.10	
TILRAY BRANDS INC COM / CUSIP: 88688T100 / Symbol: TLRV							
07/26/23	5,000.000	10,449.19	07/26/23	10,446.00	...	3.19	Sale ²⁶
TIMBER PHARMACEUTICALS INC COM / CUSIP: 887080208 / Symbol: TMBRQ							
02/24/23	3,000.000	9,149.49	02/24/23	9,000.00	...	149.49	Sale ²⁶

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TREVENA INC COM / CUSIP: 89532E208 / Symbol: TRVN							
05/08/23	10,000.000	29,848.31	Various	28,963.44	...	884.87	Total of 4 transactions
05/08/23	8,000.000	20,698.78	Various	23,908.22	3,209.44 W	0.00	Total of 3 transactions
05/10/23	5,000.000	11,026.95	Various	10,850.40	...	176.55	Total of 2 transactions
05/10/23	2,500.000	5,199.60	05/08/23	5,550.00	350.40 W	0.00	Short sale closed ²⁶
	Security total:	66,773.64		69,272.06	3,559.84 W	1,061.42	
TSCAN THERAPEUTICS INC COM / CUSIP: 89854M101 / Symbol: TCRX							
05/10/23	1,224.000	6,034.09	05/10/23	5,960.88	...	73.21	Sale ²⁶
TUPPERWARE BRANDS CORPORATION COM / CUSIP: 899896104 / Symbol: TUP							
07/26/23	5,000.000	9,749.20	Various	9,449.89	...	299.31	Total of 2 transactions
07/27/23	2,500.000	7,574.58	07/27/23	7,475.17	...	99.41	Sale ²⁶
07/27/23	2,500.000	7,324.83	07/27/23	7,525.00	200.17 W	0.00	Sale ²⁶
08/01/23	2,000.000	11,559.62	08/01/23	11,580.00	...	-20.38	Sale ²⁶
	Security total:	36,208.23		36,030.06	200.17 W	378.34	
ULTRALIFE CORPORATION COM / CUSIP: 903899102 / Symbol: ULBI							
07/27/23	1,000.000	7,649.79	07/27/23	8,125.21	...	-475.42	Sale ²⁶
07/27/23	1,000.000	7,919.79	07/27/23	8,250.00	330.21 W	0.00	Sale ²⁶
	Security total:	15,569.58		16,375.21	330.21 W	-475.42	
UNICYCIVE THERAPEUTICS INC COM / CUSIP: 90466Y103 / Symbol: UNCY							
03/07/23	10,500.000	21,653.30	Various	21,585.81	...	67.49	Total of 4 transactions
03/07/23	10,500.000	18,598.35	Various	21,820.97	3,222.62 W	0.00	Total of 5 transactions
	Security total:	40,251.65		43,406.78	3,222.62 W	67.49	
BARINTHUS BIOTHERAPEUTICS PLC ADR / CUSIP: 91864C107 / Symbol: BRNS							
09/25/23	2,500.000	9,349.57	09/25/23	8,725.43	...	624.14	Sale ²⁶
09/25/23	2,500.000	8,874.57	09/25/23	9,175.00	300.43 W	0.00	Sale ²⁶
	Security total:	18,224.14		17,900.43	300.43 W	624.14	
VERB TECHNOLOGY COMPANY INC COM / CUSIP: 92337U203 / Symbol: VERB							
09/05/23	6,000.000	9,779.05	09/05/23	9,600.00	...	179.05	Sale ²⁶
VIKING THERAPEUTICS INC COM / CUSIP: 92686J106 / Symbol: VKTX							
03/28/23	500.000	7,294.87	03/28/23	7,288.77	...	6.10	Sale ²⁶

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Proceeds from Broker and Barter Exchange Transactions

2023 1099-B* OMB No. 1545-0715

(continued)

02/01/2024

SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS [Ordinary gains or losses are identified in the Additional information column] (Lines 2 & 5)

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VINCO VENTURES INC COM / CUSIP: 927330209 / Symbol: BBIG							
07/24/23	2,000.000	11,679.62	07/24/23	11,580.00	...	99.62	Sale ²⁶
VIRNETX HOLDING CORP COM / CUSIP: 92823T207 / Symbol: VHC							
10/26/23	50.000	225.52	03/30/23	1,450.00	...	-1,224.48	Sale ²⁶
WESTERN ALLIANCE BANCORP COM / CUSIP: 957638109 / Symbol: WAL							
03/13/23	150.000	4,353.70	03/13/23	4,122.00	...	231.70	Sale ²⁶
03/16/23	600.000	20,803.35	Various	20,349.14	...	454.21	Total of 3 transactions
03/16/23	450.000	14,414.00	Various	15,967.16	1,553.16 W	0.00	Total of 2 transactions
03/21/23	250.000	8,787.39	03/21/23	8,887.50	...	-100.11	Sale ²⁶
03/22/23	400.000	12,963.84	Various	12,844.06	...	119.78	Total of 2 transactions
03/22/23	200.000	5,753.94	03/20/23	6,486.00	732.06 W	0.00	Short sale closed ²⁶
03/24/23	300.000	9,770.88	03/22/23	9,840.00	...	-69.12	Short sale closed ²⁶
05/08/23	500.000	11,221.58	05/04/23	11,095.35	...	126.23	Short sale closed ²⁶
07/18/23	200.000	8,519.90	07/18/23	8,516.00	...	3.90	Sale ²⁶
	Security total:	96,588.58		98,107.21	2,285.22 W	766.59	
WW INTERNATIONAL INC COM / CUSIP: 98262P101 / Symbol: WW							
03/07/23	2,000.000	11,079.62	03/07/23	11,059.87	...	19.75	Sale ²⁶
03/07/23	2,000.000	10,539.63	03/07/23	11,080.00	540.37 W	0.00	Sale ²⁶
	Security total:	21,619.25		22,139.87	540.37 W	19.75	
Y-MABS THERAPEUTICS INC COM / CUSIP: 984241109 / Symbol: YMAB							
03/31/23	3,500.000	20,224.33	Various	20,130.36	...	93.97	Total of 2 transactions
03/31/23	2,000.000	11,199.62	03/31/23	11,639.98	440.36 W	0.00	Sale ²⁶
	Security total:	31,423.95		31,770.34	440.36 W	93.97	
AMBIPAR EMERGENCY RESPONSE COM CL A / CUSIP: G02532102 / Symbol: AMBI							
03/14/23	600.000	12,404.82	Various	12,134.53	...	270.29	Total of 2 transactions
03/14/23	400.000	5,959.89	03/14/23	8,267.95	2,308.06 W	0.00	Sale ²⁶
03/20/23	500.000	7,824.87	03/20/23	7,600.13	...	224.74	Sale ²⁶
03/20/23	500.000	7,674.87	03/20/23	7,750.00	75.13 W	0.00	Sale ²⁶
03/21/23	300.000	4,814.92	03/21/23	4,740.00	...	74.92	Sale ²⁶
	Security total:	38,679.37		40,492.61	2,383.19 W	569.95	

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(continued)

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ANGHAMI INC COM / CUSIP: G0369L101 / Symbol: ANGH							
11/21/23	2,500.000	8,224.57	11/21/23	8,022.75	...	201.82	Sale ²⁶
APOLLOMICS INC COM CL A / CUSIP: G0411D107 / Symbol: APLM							
10/27/23	3,000.000	3,721.14	Various	4,650.98	...	-929.84	Total of 4 transactions
10/27/23	2,000.000	1,799.70	10/27/23	2,853.06	360.98 W	-692.38	Sale ²⁶
	Security total:	5,520.84		7,504.04	360.98 W	-1,622.22	
AURORA ACQUISITION CORP 1:1 EXC 8/24/23 08774B102 / CUSIP: G0698L103 / Symbol: AURC							
07/25/23	137.000	4,109.96	07/25/23	4,044.24	...	65.72	Sale ²⁶
BAOSHENG MEDIA GROUP COM / CUSIP: G08908124 / Symbol: BAOS							
06/08/23	300.000	4,163.93	06/08/23	4,056.00	...	107.93	Sale ²⁶
EUDA HEALTH HLDGS COM / CUSIP: G3142E105 / Symbol: EUDA							
03/10/23	2,500.000	6,524.59	03/10/23	6,475.00	...	49.59	Sale ²⁶
03/13/23	2,500.000	7,349.58	03/13/23	7,300.00	...	49.58	Sale ²⁶
	Security total:	13,874.17		13,775.00	...	99.17	
GOLDEN SUN ED GROUP LTD COM / CUSIP: G4013A107 / Symbol: GSUN							
01/06/23	4,591.000	10,209.74	Various	10,109.42	...	100.32	Total of 3 transactions
01/06/23	2,500.000	5,199.52	01/06/23	5,644.22	444.70 W	0.00	Sale ²⁶
01/10/23	7,000.000	18,903.65	Various	18,607.71	...	295.94	Total of 4 transactions
01/10/23	5,000.000	12,499.00	Various	13,531.71	1,032.71 W	0.00	Total of 2 transactions
02/01/23	5,450.000	17,287.86	Various	16,978.51	...	309.35	Total of 3 transactions
02/01/23	7,500.000	19,823.47	Various	22,726.41	3,005.01 W	102.07	Total of 3 transactions
	Security total:	83,923.24		87,597.98	4,482.42 W	807.68	
GUARDFORCE AI CO LTD COM / CUSIP: G4236L138 / Symbol: GFAI							
04/03/23	900.000	17,666.74	Various	17,201.22	...	465.52	Total of 3 transactions
04/03/23	800.000	13,664.78	Various	15,622.00	1,957.22 W	0.00	Total of 2 transactions
04/12/23	300.000	6,431.91	04/12/23	6,366.00	...	65.91	Sale ²⁶
	Security total:	37,763.43		39,189.22	1,957.22 W	531.43	

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HUADI INTERNATIONAL GRP COM / CUSIP: G4645E105 / Symbol: HUDI							
04/28/23	3,000.000	39,129.24	Various	38,006.68	...	1,122.56	Total of 3 transactions
04/28/23	2,820.000	24,910.31	Various	35,502.25	10,458.76 W	-133.18	Total of 3 transactions
	Security total:	64,039.55		73,508.93	10,458.76 W	989.38	
FREIGHT TECHNOLOGIES INC COM / CUSIP: G51413113 / Symbol: FRGT							
04/05/23	2,500.000	6,074.59	04/05/23	6,025.00	...	49.59	Sale ²⁶
MANCHESTER UTD PLC NEW COM CL A / CUSIP: G5784H106 / Symbol: MANU							
06/15/23	300.000	7,484.90	06/15/23	7,962.00	...	-477.10	Sale ²⁶
LYTUS TECHNOLOGS HLDGS COM / CUSIP: G5851A109 / Symbol: LYT							
01/20/23	2,500.000	5,624.51	01/20/23	5,600.00	...	24.51	Sale ²⁶
MAGIC EMPIRE GLOBAL LTD COM / CUSIP: G5865E105 / Symbol: MEGL							
01/06/23	2,500.000	7,324.47	01/06/23	7,275.00	...	49.47	Sale ²⁶
01/06/23	2,500.000	6,971.48	Various	7,375.00	403.52 W	0.00	Total of 2 transactions
01/09/23	2,500.000	6,399.49	01/05/23	6,375.50	...	23.99	Short sale closed ²⁶
01/09/23	2,500.000	5,899.50	01/05/23	6,300.00	400.50 W	0.00	Short sale closed ²⁶
01/20/23	3,000.000	10,589.32	01/20/23	10,933.52	...	-344.20	Sale ²⁶
04/28/23	1,500.000	8,699.71	04/28/23	8,697.15	...	2.56	Sale ²⁶
	Security total:	45,883.97		46,956.17	804.02 W	-268.18	
MALLINCKRODT PUB LTD CO COM / CUSIP: G5890A102 / Symbol: MNKTQ							
05/19/23	4,000.000	17,959.27	Various	20,590.45	...	-2,631.18	Total of 2 transactions
05/19/23	5,000.000	21,324.11	Various	24,038.32	3,070.45 W	356.24	Total of 2 transactions
	Security total:	39,283.38		44,628.77	3,070.45 W	-2,274.94	
MICROALGO INC COM / CUSIP: G6077Y103 / Symbol: MLGO							
01/26/23	5,000.000	17,723.88	Various	17,505.66	...	218.22	Total of 2 transactions
01/26/23	3,000.000	9,659.34	01/26/23	10,985.00	1,325.66 W	0.00	Sale ²⁶
09/22/23	1,200.000	7,391.77	09/22/23	7,392.00	...	-0.23	Sale ²⁶
12/06/23	500.000	5,099.89	12/06/23	5,030.00	...	69.89	Sale ²⁶
	Security total:	39,874.88		40,912.66	1,325.66 W	287.88	

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MMTEC INC COM / CUSIP: G6181K114 / Symbol: MTC							
10/20/23	2,500.000	8,399.57	10/20/23	8,124.67	...	274.90	Sale ²⁶
10/20/23	2,500.000	7,974.58	10/20/23	8,350.00	375.42 W	0.00	Sale ²⁶
	Security total:	16,374.15		16,474.67	375.42 W	274.90	
NEWEGG COMMERCE INC COM CL A / CUSIP: G6483G100 / Symbol: NEGG							
01/13/23	2,500.000	6,624.49	01/13/23	6,572.25	...	52.24	Sale ²⁶
01/13/23	2,500.000	6,299.50	01/13/23	6,623.50	324.00 W	0.00	Sale ²⁶
	Security total:	12,923.99		13,195.75	324.00 W	52.24	
JOBY AVIATION INC COM / CUSIP: G65163100 / Symbol: JOBY							
06/28/23	1,200.000	9,779.75	06/28/23	9,767.04	...	12.71	Sale ²⁶
NOVOCURE LTD COM / CUSIP: G6674U108 / Symbol: NVCR							
06/09/23	300.000	13,808.85	06/07/23	13,800.00	...	8.85	Short sale closed ²⁶
OHMYHOME LTD COM / CUSIP: G6S38M107 / Symbol: OMH							
05/15/23	400.000	16,031.82	Various	15,460.08	...	571.74	Total of 2 transactions
05/15/23	200.000	6,349.92	05/15/23	9,240.00	2,890.08 W	0.00	Sale ²⁶
	Security total:	22,381.74		24,700.08	2,890.08 W	571.74	
PRESTIGE WEALTH INC COM / CUSIP: G7244A101 / Symbol: PWM							
07/11/23	250.000	6,577.41	07/11/23	7,925.00	...	-1,347.59	Sale ²⁶
SENTAGE HOLDINGS INC COM CL A / CUSIP: G8062B114 / Symbol: SNTG							
05/01/23	2,738.000	20,955.14	Various	20,341.37	...	613.77	Total of 2 transactions
05/01/23	5,000.000	26,174.07	Various	31,486.56	5,447.79 W	135.30	Total of 2 transactions
	Security total:	47,129.21		51,827.93	5,447.79 W	749.07	
SMX SEC MATTERS PUBLIC LTD CO 1:22 R/S 8/21/23 G8267K141 / CUSIP: G8267K109 / Symbol:							
05/08/23	2,500.000	5,974.59	05/08/23	5,748.98	...	225.61	Sale ²⁶
05/08/23	3,000.000	6,359.51	05/08/23	6,908.57	573.98 W	24.92	Sale ²⁶
	Security total:	12,334.10		12,657.55	573.98 W	250.53	
SUNCAR TECHNOLOGY GROUP INC COM CL A / CUSIP: G85727108 / Symbol: SDA							
05/31/23	300.000	10,523.88	05/31/23	10,377.38	...	146.50	Sale ²⁶

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TIAN RUIXIANG HLDGS LTD COM CL A / CUSIP: G8884K110 / Symbol: TIRX							
05/02/23	2,500.000	14,099.53	05/02/23	14,100.00	...	-0.47	Sale ²⁶
VS MEDIA HOLDINGS LTD COM / CUSIP: G9517U103 / Symbol: VSME							
10/05/23	700.000	5,984.85	10/05/23	5,823.86	...	160.99	Sale ²⁶
U POWER LTD COM / CUSIP: G9520U108 / Symbol: UCAR							
04/28/23	1,500.000	13,169.67	04/28/23	12,690.00	...	479.67	Sale ²⁶
06/01/23	1,000.000	11,219.76	06/01/23	10,885.68	...	334.08	Sale ²⁶
06/01/23	1,000.000	10,949.76	06/01/23	11,045.44	95.68 W	0.00	Sale ²⁶
06/02/23	500.000	6,832.59	Various	7,635.00	802.41 W	0.00	Total of 2 transactions
07/31/23	500.000	3,374.90	06/02/23	7,586.90	...	-4,212.00	Sale ²⁶
	Security total:	45,546.68		49,843.02	898.09 W	-3,398.25	
VCI GLOBAL LTD COM / CUSIP: G98218103 / Symbol: VCIG							
06/20/23	2,143.000	17,323.61	Various	16,666.25	...	657.36	Total of 5 transactions
06/20/23	732.000	5,670.21	Various	6,713.80	1,125.78 W	82.19	Total of 2 transactions
08/23/23	1,000.000	8,649.78	08/23/23	8,640.00	...	9.78	Sale ²⁶
	Security total:	31,643.60		32,020.05	1,125.78 W	749.33	
ZURA BIO LIMITED COM CL A / CUSIP: G9TY5A101 / Symbol: ZURA							
03/23/23	75.000	2,330.52	Various	2,790.00	...	-459.48	Total of 2 transactions
TRANSOCEAN LIMITED COM / CUSIP: H8817H100 / Symbol: RIG							
01/10/23	1,500.000	8,189.59	01/10/23	8,175.00	...	14.59	Sale ²⁶
BEAMR IMAGING LTD COM / CUSIP: M1R79L104 / Symbol: BMR							
05/25/23	1,200.000	7,139.77	05/25/23	9,036.00	...	-1,896.23	Sale ²⁶
HUB CYBER SECURITY LTD 1:10 R/S 12/15/23 M6000J135 / CUSIP: M6000J101 / Symbol:							
03/14/23	3,540.000	7,174.82	Various	7,134.70	...	40.12	Total of 2 transactions
03/14/23	2,460.000	4,895.00	03/14/23	4,969.20	74.20 W	0.00	Sale ²⁶
03/15/23	2,500.000	5,474.60	03/15/23	5,400.40	...	74.20	Sale ²⁶
03/15/23	2,500.000	5,174.60	03/15/23	5,450.00	275.40 W	0.00	Sale ²⁶
03/16/23	2,500.000	5,824.59	03/16/23	5,747.75	...	76.84	Sale ²⁶
	Security total:	28,543.61		28,702.05	349.60 W	191.16	

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PAINREFORM LTD COM / CUSIP: M77798128 / Symbol: PRFX							
07/14/23	700.000	9,407.82	07/14/23	9,225.91	...	181.91	Sale ²⁶
07/14/23	700.000	8,994.83	07/14/23	9,309.74	314.91 W	0.00	Sale ²⁶
	Security total:	18,402.65		18,535.65	314.91 W	181.91	
PARAZERO TECHNOLOGIES COM / CUSIP: M7S13T102 / Symbol: PRZO							
10/06/23	5,000.000	6,899.21	10/06/23	6,800.00	...	99.21	Sale ²⁶
10/13/23	2,500.000	7,549.58	10/13/23	7,504.40	...	45.18	Sale ²⁶
10/13/23	2,500.000	7,224.58	10/13/23	7,555.00	330.42 W	0.00	Sale ²⁶
	Security total:	21,673.37		21,859.40	330.42 W	144.39	
UROGEN PHARMA LTD COM / CUSIP: M96088105 / Symbol: URGN							
07/28/23	300.000	7,104.50	Various	7,029.00	...	75.50	Total of 2 transactions
WEARABLE DEVICES LTD COM / CUSIP: M97838102 / Symbol: WLDS							
05/25/23	15,000.000	24,797.61	Various	24,144.31	...	653.30	Total of 3 transactions
05/25/23	15,000.000	18,497.66	Various	24,430.48	5,932.82 W	0.00	Total of 3 transactions
05/30/23	4,173.000	8,728.09	Various	8,761.28	...	-33.19	Total of 3 transactions
05/30/23	6,000.000	12,029.02	Various	12,516.33	523.55 W	36.24	Total of 2 transactions
	Security total:	64,052.38		69,852.40	6,456.37 W	656.35	
INFLARX N V COM / CUSIP: N44821101 / Symbol: IFRX							
04/05/23	1,500.000	8,956.66	Various	8,910.00	...	46.66	Total of 2 transactions
IRIS ENERGY LTD COM / CUSIP: Q4982L109 / Symbol: IREN							
07/07/23	700.000	4,885.86	07/07/23	4,879.00	...	6.86	Sale ²⁶
GENIUS GROUP LTD COM / CUSIP: Y3005A109 / Symbol: GNS							
01/23/23	1,500.000	8,834.73	01/23/23	8,686.26	...	148.47	Sale ²⁶
01/23/23	1,500.000	8,638.38	Various	8,819.64	181.26 W	0.00	Total of 2 transactions
01/30/23	1,500.000	10,709.53	01/30/23	10,560.44	...	149.09	Sale ²⁶
01/30/23	1,500.000	9,764.56	01/30/23	10,620.00	855.44 W	0.00	Sale ²⁶
03/06/23	7,500.000	34,548.65	Various	34,295.11	...	253.54	Total of 3 transactions
03/06/23	5,000.000	21,874.10	Various	23,300.00	1,425.90 W	0.00	Total of 2 transactions
	Security total:	94,369.95		96,281.45	2,462.60 W	551.10	

* 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. Remember, taxpayers are ultimately responsible for the accuracy of their tax return(s).

TD Ameritrade Clearing, Inc.

Account 777530988

Proceeds from Broker and Barter Exchange Transactions

2023 1099-B* OMB No. 1545-0715

(continued)

02/01/2024

SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS [Ordinary gains or losses are identified in the Additional information column] (Lines 2 & 5)

Report on Form 8949, Part I with Box A checked. Basis is provided to the IRS. (Line 12)

"Gain or loss (-)" is NOT reported to the IRS.

1a- Description of property/CUSIP/Symbol

1c- Date sold or disposed	Quantity	1d- Proceeds & 6- Reported (G)ross or (N)et	1b- Date acquired	1e- Cost or other basis	1f- Accrued mkt disc (D) & 1g- Wash sale loss disallowed (W)	7- Loss not allowed (X) also not reported (Z)	Gain or loss(-) & Additional information
TOP SHIPS INC 1:12 R/S 9/29/23 Y8897Y230 / CUSIP: Y8897Y198 / Symbol:							
02/13/23	5,000.000	9,599.05	02/13/23	9,600.00	...	-0.95	Sale ²⁶
VINFAST AUTO LTD COM / CUSIP: Y9390M103 / Symbol: VFS							
08/22/23	300.000	11,999.86	08/22/23	11,778.00	...	221.86	Sale ²⁶
Totals :		4,019,980.55		4,212,295.66	193,063.12 W	748.01	

LONG TERM TRANSACTIONS FOR COVERED TAX LOTS [Ordinary gains or losses are identified in the Additional information column] (Lines 2 & 5)

Report on Form 8949, Part II with Box D checked. Basis is provided to the IRS. (Line 12)

"Gain or loss (-)" is NOT reported to the IRS.

1a- Description of property/CUSIP/Symbol

1c- Date sold or disposed	Quantity	1d- Proceeds & 6- Reported (G)ross or (N)et	1b- Date acquired	1e- Cost or other basis	1f- Accrued mkt disc (D) & 1g- Wash sale loss disallowed (W)	7- Loss not allowed (X) also not reported (Z)	Gain or loss(-) & Additional information
COIN CITADEL COM / CUSIP: 192589109 / Symbol: CCTL							
03/31/23	15,000.000	-0.01	02/22/21	531.90	...	-531.91	Zero proceeds / negative sale ²⁶
NOKIA OYJ ADR SPONSORED / CUSIP: 654902204 / Symbol: NOK							
12/29/23	503.843	1,702.91	Various	3,268.65	...	-1,565.74	Total of 2 transactions
Totals :		1,702.90		3,800.55		-2,097.65	

* 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. Remember, taxpayers are ultimately responsible for the accuracy of their tax return(s).

TD Ameritrade Clearing, Inc.

Account 777530988

Detail for Dividends and Distributions

2023

02/01/2024

This section of your tax information statement contains the payment level detail of your taxable dividends, capital gains distributions, exempt-interest dividends, nondividend distributions and liquidation distributions. Also shown are the fair market values of any taxable stock dividends or noncash liquidation distributions.

Federal, state and foreign tax withheld and investment expenses are presented as negative amounts but do not net against the reportable income totals. All amounts are grouped by security, with the transactions listed in chronological order. Subtotals for each security are provided. For situations in which the tax character of a distribution (or part thereof) is different than at the time it was paid, endnotes are provided for further explanation.

Note that a payment characterized as a "Qualified dividend" is only issuer-qualified. Reallocation of a dividend and its tax character is determined by the issuer.

Security description	CUSIP and/or symbol	State	Date	Amount	Transaction type	Notes
APPLE INC COM	037833100 AAPL		02/16/23	9.25	Qualified dividend	
			05/18/23	9.67	Qualified dividend	
			08/17/23	9.68	Qualified dividend	
			11/16/23	9.70	Qualified dividend	
				38.30	Total Dividends & distributions	
NOKIA OYJ ADR SPONSORED	654902204 NOK		02/14/23	10.86	Qualified dividend	
			02/14/23	-3.26	Foreign tax withheld-FI	
			05/09/23	16.71	Qualified dividend	
			05/09/23	-5.01	Foreign tax withheld-FI	
			08/08/23	16.63	Qualified dividend	
			08/08/23	-4.99	Foreign tax withheld-FI	
			11/07/23	16.31	Qualified dividend	
			11/07/23	-4.89	Foreign tax withheld-FI	
	60.51	Total Dividends & distributions				
	-18.15	Total Foreign tax withheld				
VIRNETX HOLDING CORP 1:20 R/S 10/26/23 92823T207	92823T108		04/17/23	1,000.00	Qualified dividend	
				1,098.81	Total Dividends & distributions	
				-18.15	Total Foreign tax withheld	

TD Ameritrade Clearing, Inc.

Account 777530988

Detail for Interest Income

2023

02/01/2024

This section of your tax information statement contains the payment level detail of taxable interest and associated bond premium. Market discount will be shown here only if you have elected to recognize it currently rather than at the time of sale or maturity. Bond premium and market discount for covered tax lots are totaled on Form 1099-INT and reported to the IRS. For noncovered tax lots, they are totaled in the Adjustments to Interest and Original Issue Discount and are not reported to the IRS.

To provide a complete picture of activity for each investment, we also include here nonreportable transactions such as accrued interest paid on purchases and payment or receipt of nonqualified interest. Other amounts, such as federal, state and foreign tax withheld and investment expenses are shown as negative amounts but do not net against the reportable income totals.

Security description	CUSIP and/or symbol	Date	Amount	Transaction type	Notes
Interest Credited		01/31/23	1.96	Credit interest	
		02/28/23	2.83	Credit interest	
		03/31/23	2.40	Credit interest	
		04/28/23	1.20	Credit interest	
		05/31/23	2.47	Credit interest	
		06/30/23	0.35	Credit interest	
		08/31/23	0.04	Credit interest	
			11.25	Total Interest	
			11.25	Total Interest	

TD Ameritrade Clearing, Inc.

Account 777530988

Fees and Expenses

2023

02/01/2024

This section of your tax information statement contains the detail of fees and investment expenses that are not accounted for in amounts reportable to the IRS on the various Forms 1099. You may wish to consult with your tax advisor, the IRS or your state tax authority regarding the proper treatment.

These amounts are provided here to facilitate an accounting of all amounts received during the year and are totaled in the Reconciliations, Fees, Expenses and Expenditures found in the Summary Information at the beginning of the statement.

Description	CUSIP and/or symbol	Date	Amount	Transaction type	Notes
HARD TO BORROW FEE		01/31/23	-9.06	Miscellaneous fee	
		03/31/23	-2.80	Miscellaneous fee	
		05/31/23	-32.16	Miscellaneous fee	
			-44.02	Total Miscellaneous fee	
Interest Charged		06/30/23	-20.18	Margin interest paid	
		07/31/23	-22.54	Margin interest paid	
		08/31/23	-101.39	Margin interest paid	
		09/29/23	-121.00	Margin interest paid	
		10/31/23	-127.47	Margin interest paid	
		11/30/23	-124.50	Margin interest paid	
		12/29/23	-126.47	Margin interest paid	
		-643.55	Total Margin interest paid		
ALIBABA GROUP HOLDING LTD ADR SPONSORED	01609W102 BABA	05/08/23	-1.40	Depository receipt fee	
BAIDU INC ADR	056752108 BIDU	01/11/23	-0.80	Depository receipt fee	
		12/08/23	-0.80	Depository receipt fee	
			-1.60	Total Depository receipt fee	
GAOTU TECHEDU INC ADR	36257Y109 GOTU	02/08/23	-15.00	Depository receipt fee	
MBIA INC COM	55262C100 MBI	12/22/23	-1,200.00	Dividend paid- short	
NIO INC ADR	62914V106 NIO	02/08/23	-2.50	Depository receipt fee	
NOKIA OYJ ADR SPONSORED	654902204 NOK	02/14/23	-0.88	Depository receipt fee	
		05/09/23	-1.09	Depository receipt fee	
		08/08/23	-1.09	Depository receipt fee	
		11/07/23	-1.10	Depository receipt fee	
			-4.16	Total Depository receipt fee	
			-24.66	Total Depository receipt fee	
			-44.02	Total Miscellaneous fee	
			-643.55	Total Margin interest paid	
			-1,200.00	Total Dividend paid- short	

TD Ameritrade Clearing, Inc.

Account 777530988

Foreign Income and Taxes Summary

2023

02/01/2024

This schedule lists all income and foreign tax by country. Mutual Funds and Unit Investment Trusts (UITs) structured as Regulated Investment Companies (RICs) are listed separately with a country designation of "RIC."

Country	Security Description	CUSIP	Nonqualified	Dividends		Interest	Total Income	Tax
				Qualified				
FI	NOKIA OYJ ADR SPONSORED	654902204	0.00	60.51		0.00	60.51	-18.15
Total FINLAND			0.00	60.51		0.00	60.51	-18.15
Grand Total	Total Foreign Source Income*			60.51				
	Qualified Foreign Source Income**			60.51				
	Foreign Tax							-18.15

* Total Foreign Source Income utilizes the "Total" column for RICs which may not always be supplied.

** Qualified Foreign Source Income utilizes the "Qualified" column for RICs which may not always be supplied.

26 Tax lot closed is a specified lot.

Common Instructions for Recipient

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

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

Backup Withholding. Shows backup withholding. Generally, a payer must backup withhold if you did not furnish your taxpayer identification number. See Form W-9 and Pub. 505 for more information. Report this amount on your income tax return as tax withheld.

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

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

Keep tax documents for your records.**1099-DIV Instructions for Recipient**

Line 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.

Line 1b. Shows the portion of the amount in Line 1a that may be eligible for reduced capital gains rates. See the Instructions for Forms 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.

Line 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 Lines 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 Line 2a on your Form 1040 or 1040-SR rather than Schedule D. See the Instructions for Form 1040.

Line 2b. Shows the portion of the amount in Line 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).

Line 2c. Shows the portion of the amount in Line 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.

Line 2d. Shows the portion of the amount in Line 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).

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

Line 2f. Shows the portion of the amount in Line 2a that is section 897 gain attributable to disposition of USRPI.

Note: Lines 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.

Line 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.

Line 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.

Line 5. Shows the portion of the amount in Line 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.

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

Line 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.

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

Instructions for Recipient

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

Line 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.

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

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

Lines 14-16. State income tax withheld reporting Lines.

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

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

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.

Line 1. Shows taxable interest paid to you during the calendar year by the payer. This does not include interest shown in line 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.

Line 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 Forms 1040 to see where to take the deduction.

Line 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 line 1. See the instructions above for a taxable covered security acquired at a premium.

Line 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.

Line 5. Any amount shown is your share of investment expenses of a singleclass REMIC. This amount is included in line 1. Note: This amount is not deductible.

Line 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.

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

Line 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 Forms 1040. This amount may be subject to backup withholding. See Line 4 above. See the instructions above for a tax-exempt covered security acquired at a premium.

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

Line 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 Forms 1040. Market discount on a tax-exempt security is includable in taxable income as interest income.

Line 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 line, see the Instructions for Schedule B (Form 1040) to determine the net amount of interest includable in income on Form 1040 or 1040-SR with respect to the security. If an amount is not reported in this line 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 line 1. If the amount in line 11 is greater than the amount of interest paid on the covered security, see Regulations section 1.171-2(a)(4).

Line 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 line, see the Instructions for Schedule B (Form 1040) to determine the net amount of interest includable in income on Form 1040 or 1040-SR with respect to the U.S. Treasury obligation. If an amount is not reported in this line 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 line 3. If the amount in line 12 is greater than the amount of interest paid on the U.S. Treasury obligation, see Regulations section 1.171-2(a)(4).

Line 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 line, 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 line for a tax-exempt covered security acquired at a premium, the payer has reported a net amount of interest in line 8 or 9, whichever is applicable. If the amount in line 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).

Line 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).

Lines 15-17. State tax withheld reporting lines.

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

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

1099-B Instructions for Recipient

Brokers and barter exchanges must report proceeds from (and in some cases, basis for) transactions to you and the IRS on Form 1099-B. Reporting 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.

Line 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).

Line 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.

Line 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.

Line 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

Instructions for Recipient

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).

Line 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), or Pub. 550 for details.

Line 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.

Line 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.

Line 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.

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

Line 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.

Line 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.

Line 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.

Line 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.

Line 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.

Line 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.

Lines 14-16. Show state(s)/local income tax information.

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

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