



SUMMARY OF SALES 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 MarketDiscount	Total Wash sale loss disallowed	Total Net gain or loss(-)
Short-term transactions for which basis <u>is reported</u> to the IRS	\$45,430,341.07	\$52,224,283.82	\$0.00	\$8,250,316.81	\$456,588.46
Short-term transactions for which basis <u>is not reported</u> to the IRS	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00
<b>Total Short-term</b>	\$45,430,341.07	\$52,224,283.82	\$0.00	\$8,250,316.81	\$456,588.46
Long-term transactions for which basis <u>is reported</u> to the IRS	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00
Long-term transactions for which basis <u>is not reported</u> to the IRS	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00
<b>Total Long-term</b>	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00
Undetermined transactions for which basis <u>is not reported</u> to the IRS	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00
<b>Total Undetermined-term</b>	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00
<b>Grand Total</b>	\$45,430,341.07	\$52,224,283.82	\$0.00	\$8,250,316.81	\$456,588.46

ORIGINAL ISSUE DISCOUNT SUMMARY

Original Issue Discount (Non-US Treasury Obligations)	0.00
Original Issue Discount on U.S. Treasury Obligations	0.00
Other Periodic Interest	0.00
Market Discount – Covered Positions	0.00
Bond Premium – Covered Positions	0.00
Tax-Exempt OID – Covered Positions	
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):	0.00
1099-DIV Total:	0.00
1099-INT Total:	0.00
1099-OID Total	0.00

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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 12 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.

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

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 Box 12: Basis Reported to the IRS Box 5: Box Not Checked Box 6: Net proceeds  
The 1099-B data referenced by a Box Number is reported to the IRS.

1a -Symbol   CUSIP   Description of property	1c-Date Sold or Disposed	Quantity	1d - Proceeds	1b - Date Acquired	1e - Cost or Other Basis	1g - Wash Sale Loss Disallowed	Gain or Loss (-)	Additional Notes
ACY[007737109]AEROCENTURY CORP COM	01/05/2021	1	10.62	12/31/2020	9.94	0.00	0.68	Short sale closed
	01/05/2021	500	4,905.66	12/31/2020	5,031.13	125.47	0.00	Short sale closed
	01/05/2021	500	5,046.07	12/31/2020	5,031.13	0.00	14.94	Short sale closed
	01/05/2021	501	5,319.41	12/31/2020	4,891.64	0.00	427.77	Short sale closed
	01/05/2021	1000	10,441.52	12/31/2020	9,912.25	0.00	529.27	Short sale closed
	01/05/2021	1000	10,361.80	12/31/2020	9,886.27	0.00	475.53	Short sale closed
	01/05/2021	1704	16,877.41	12/31/2020	17,146.07	268.66	0.00	Short sale closed
	01/05/2021	1998	21,233.73	12/31/2020	19,978.64	0.00	1,255.09	Short sale closed
	01/05/2021	2500	24,143.78	12/31/2020	25,155.63	1,011.85	0.00	Short sale closed
	01/05/2021	2500	26,955.25	12/31/2020	25,155.63	0.00	1,799.62	Short sale closed
	01/05/2021	2500	25,372.84	12/31/2020	27,487.63	2,114.79	0.00	Short sale closed
	01/05/2021	2500	26,548.95	12/31/2020	25,034.75	0.00	1,514.20	Short sale closed
		17,204	\$177,217.04		\$174,720.71		\$6,017.10	
AEMD[00808Y307]AETHLON MED INC COM	12/18/2020	200	654.19	12/16/2020	574.75	0.00	79.44	Short sale closed
	12/18/2020	379	886.73	12/16/2020	1,220.38	333.65	0.00	Short sale closed
	12/18/2020	600	1,756.50	12/16/2020	1,697.97	0.00	58.53	Short sale closed
	12/18/2020	686	1,685.39	12/16/2020	2,074.34	388.95	0.00	Short sale closed
	12/18/2020	770	1,838.72	12/16/2020	2,394.31	555.59	0.00	Short sale closed
	12/18/2020	800	2,302.13	12/16/2020	2,247.60	0.00	54.53	Short sale closed
	12/18/2020	800	2,307.96	12/16/2020	2,283.04	0.00	24.92	Short sale closed
	12/18/2020	843	2,473.44	12/16/2020	2,545.86	72.42	0.00	Short sale closed
	12/18/2020	900	2,597.90	12/16/2020	2,474.55	0.00	123.35	Short sale closed
	12/18/2020	900	2,472.99	12/16/2020	2,297.03	0.00	175.96	Short sale closed
	12/18/2020	1000	2,747.77	12/16/2020	2,562.25	0.00	185.52	Short sale closed
	12/18/2020	1053	2,790.25	12/16/2020	2,737.80	0.00	52.45	Short sale closed
	12/18/2020	1060	2,731.76	12/16/2020	2,978.60	246.84	0.00	Short sale closed
	12/18/2020	1241	3,062.76	12/16/2020	2,953.58	0.00	109.18	Short sale closed
	12/18/2020	1304	3,257.10	12/16/2020	3,301.92	44.82	0.00	Short sale closed
	12/18/2020	1342	4,146.28	12/16/2020	3,773.46	0.00	372.82	Short sale closed
	12/18/2020	1400	3,439.58	12/16/2020	4,214.00	774.42	0.00	Short sale closed
	12/18/2020	1447	3,834.27	12/16/2020	3,722.81	0.00	111.46	Short sale closed
	12/18/2020	1600	4,694.53	12/16/2020	4,543.20	0.00	151.33	Short sale closed
	12/18/2020	1899	5,571.82	12/16/2020	5,678.58	106.76	0.00	Short sale closed
	12/18/2020	2098	5,445.15	12/16/2020	5,102.02	0.00	343.13	Short sale closed
	12/18/2020	2316	7,485.29	12/16/2020	6,606.30	0.00	878.99	Short sale closed
	12/18/2020	2500	6,628.92	12/16/2020	6,673.75	44.83	0.00	Short sale closed
	12/18/2020	2500	6,955.22	12/16/2020	6,448.75	0.00	506.47	Short sale closed
	12/18/2020	2500	7,287.16	12/16/2020	6,974.20	0.00	312.96	Short sale closed
	12/18/2020	2902	7,531.85	12/16/2020	7,029.37	0.00	502.48	Short sale closed
	12/18/2020	2914	7,309.87	12/16/2020	8,800.28	1,490.41	0.00	Short sale closed
	12/18/2020	3100	8,518.09	12/16/2020	7,911.98	0.00	606.11	Short sale closed
	12/18/2020	3940	10,033.40	12/16/2020	10,953.31	919.91	0.00	Short sale closed
	12/18/2020	4200	12,105.43	12/16/2020	11,987.81	0.00	117.62	Short sale closed
	12/18/2020	4200	12,119.17	12/16/2020	11,970.40	0.00	148.77	Short sale closed
	12/18/2020	4621	10,494.32	12/16/2020	14,798.58	4,304.26	0.00	Short sale closed
	12/18/2020	4684	13,729.39	12/16/2020	12,743.33	0.00	986.06	Short sale closed
	12/18/2020	4858	14,005.42	12/16/2020	13,664.35	0.00	341.07	Short sale closed
	12/18/2020	5000	13,796.84	12/16/2020	14,047.50	250.66	0.00	Short sale closed
	12/18/2020	5000	13,433.25	12/16/2020	13,999.19	565.94	0.00	Short sale closed
	12/18/2020	5000	11,737.50	12/16/2020	14,897.50	3,160.00	0.00	Short sale closed
	12/18/2020	5000	11,924.99	12/16/2020	16,053.25	4,128.26	0.00	Short sale closed
	12/18/2020	5000	11,266.34	12/16/2020	15,800.50	4,534.16	0.00	Short sale closed
	12/18/2020	5000	11,784.66	12/16/2020	15,813.54	4,028.88	0.00	Short sale closed
	12/18/2020	5000	12,253.07	12/16/2020	15,922.50	3,669.43	0.00	Short sale closed
	12/18/2020	5000	12,674.28	12/16/2020	15,448.50	2,774.22	0.00	Short sale closed
	12/18/2020	5000	12,858.61	12/16/2020	15,172.50	2,313.89	0.00	Short sale closed

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AEMD 00808Y307 AETHLON MED INC COM	12/18/2020	5000	13,358.29	12/16/2020	15,172.50	1,814.21	0.00	Short sale closed
	12/18/2020	5000	14,748.56	12/16/2020	13,347.50	0.00	1,401.06	Short sale closed
	12/18/2020	5000	14,194.08	12/16/2020	13,297.50	0.00	896.58	Short sale closed
	12/18/2020	5000	14,424.28	12/16/2020	13,221.90	0.00	1,202.38	Short sale closed
	12/18/2020	5000	13,747.05	12/16/2020	13,022.25	0.00	724.80	Short sale closed
	12/18/2020	5000	13,762.13	12/16/2020	13,022.50	0.00	739.63	Short sale closed
	12/18/2020	5000	12,982.94	12/16/2020	12,186.25	0.00	796.69	Short sale closed
	12/18/2020	5000	12,488.87	12/16/2020	12,261.25	0.00	227.62	Short sale closed
	12/18/2020	5000	12,488.36	12/16/2020	11,847.50	0.00	640.86	Short sale closed
	12/18/2020	5000	12,487.87	12/16/2020	11,784.88	0.00	702.99	Short sale closed
	12/18/2020	5000	12,837.87	12/16/2020	11,811.25	0.00	1,026.62	Short sale closed
	12/18/2020	6300	16,235.71	12/16/2020	15,242.85	0.00	992.86	Short sale closed
	12/18/2020	6900	20,428.89	12/16/2020	19,320.00	0.00	1,108.89	Short sale closed
	12/18/2020	7300	23,228.16	12/16/2020	21,097.00	0.00	2,131.16	Short sale closed
	12/18/2020	7744	19,827.15	12/16/2020	18,891.48	0.00	935.67	Short sale closed
	12/18/2020	8759	21,944.40	12/16/2020	20,672.45	0.00	1,271.95	Short sale closed
	12/18/2020	10000	27,516.05	12/16/2020	25,395.00	0.00	2,121.05	Short sale closed
	12/18/2020	10000	27,475.70	12/16/2020	24,295.00	0.00	3,180.70	Short sale closed
	12/18/2020	10000	24,977.01	12/16/2020	25,222.50	245.49	0.00	Short sale closed
	12/18/2020	10000	25,040.51	12/16/2020	24,702.00	0.00	338.51	Short sale closed
	12/18/2020	10000	24,701.76	12/16/2020	24,895.00	193.24	0.00	Short sale closed
	12/18/2020	10000	25,814.32	12/16/2020	24,003.02	0.00	1,811.30	Short sale closed
		264,560	\$701,340.25		\$709,807.02		\$28,494.47	
AHT 044103877 ASHFORD HOSPITALITY TR INC COM SHS	11/20/2020	2500	15,248.56	11/18/2020	14,897.50	0.00	351.06	Short sale closed
		2,500	\$15,248.56		\$14,897.50		\$351.06	
ANCN 03280X102 ANCHIANO THERAPEUTICS LTD SPONSORED ADS	12/17/2020	90	489.23	12/15/2020	474.98	0.00	14.25	Short sale closed
	12/17/2020	90	418.29	12/15/2020	423.90	5.61	0.00	Short sale closed
	12/17/2020	281	1,221.66	12/15/2020	1,129.60	0.00	92.06	Short sale closed
	12/17/2020	560	2,452.55	12/15/2020	2,318.15	0.00	134.40	Short sale closed
	12/17/2020	700	3,423.19	12/15/2020	3,638.75	215.56	0.00	Short sale closed
	12/17/2020	700	3,260.25	12/15/2020	3,101.75	0.00	158.50	Short sale closed
	12/17/2020	900	4,577.19	12/15/2020	4,454.81	0.00	122.38	Short sale closed
	12/17/2020	943	4,611.52	12/15/2020	4,983.28	371.76	0.00	Short sale closed
	12/17/2020	1160	6,305.73	12/15/2020	6,087.00	0.00	218.73	Short sale closed
	12/17/2020	1250	6,794.96	12/15/2020	6,649.37	0.00	145.59	Short sale closed
	12/17/2020	1600	8,137.22	12/15/2020	7,874.91	0.00	262.31	Short sale closed
	12/17/2020	1800	8,887.35	12/15/2020	9,180.00	292.65	0.00	Short sale closed
	12/17/2020	1800	8,383.50	12/15/2020	7,992.00	0.00	391.50	Short sale closed
	12/17/2020	1940	8,496.32	12/15/2020	8,021.64	0.00	474.68	Short sale closed
	12/17/2020	2219	9,647.16	12/15/2020	8,898.29	0.00	748.87	Short sale closed
	12/17/2020	2410	11,309.13	12/15/2020	11,061.90	0.00	247.23	Short sale closed
	12/17/2020	2500	12,496.86	12/15/2020	12,648.75	151.89	0.00	Short sale closed
	12/17/2020	2500	11,873.79	12/15/2020	11,547.87	0.00	325.92	Short sale closed
	12/17/2020	2500	12,425.67	12/15/2020	11,798.75	0.00	626.92	Short sale closed
	12/17/2020	2500	11,938.03	12/15/2020	12,023.75	85.72	0.00	Short sale closed
	12/17/2020	2500	12,846.36	12/15/2020	12,523.75	0.00	322.61	Short sale closed
	12/17/2020	2500	12,950.66	12/15/2020	12,548.75	0.00	401.91	Short sale closed
	12/17/2020	2500	11,295.57	12/15/2020	11,036.25	0.00	259.32	Short sale closed
	12/17/2020	2500	11,570.31	12/15/2020	10,423.75	0.00	1,146.56	Short sale closed
	12/17/2020	2500	11,244.07	12/15/2020	10,298.75	0.00	945.32	Short sale closed
		40,943	\$197,056.57		\$191,140.70		\$7,039.06	
ANPC 03635R107 ANPAC BIO MED SCIENCE CO LTD SPONSORED ADS	11/30/2020	50	360.55	11/25/2020	358.19	0.00	2.36	Short sale closed
	11/30/2020	100	485.15	11/25/2020	880.10	394.95	0.00	Short sale closed
	11/30/2020	192	1,348.81	11/25/2020	1,539.80	190.99	0.00	Short sale closed

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ANPC03635R107 ANPAC BIO MED SCIENCE CO LTD SPONSORED ADS	11/30/2020	198	1,370.21	11/25/2020	1,312.74	0.00	57.47	Short sale closed
	11/30/2020	200	1,004.14	11/25/2020	1,549.95	545.81	0.00	Short sale closed
	11/30/2020	248	1,713.19	11/25/2020	1,639.06	0.00	74.13	Short sale closed
	11/30/2020	252	1,743.79	11/25/2020	1,789.20	45.41	0.00	Short sale closed
	11/30/2020	272	2,140.70	11/25/2020	1,880.99	0.00	259.71	Short sale closed
	11/30/2020	280	2,141.25	11/25/2020	2,144.66	3.41	0.00	Short sale closed
	11/30/2020	370	2,587.15	11/25/2020	2,972.77	385.62	0.00	Short sale closed
	11/30/2020	400	3,017.41	11/25/2020	3,145.60	128.19	0.00	Short sale closed
	11/30/2020	503	3,682.65	11/25/2020	3,539.87	0.00	142.78	Short sale closed
	11/30/2020	555	3,323.17	11/25/2020	3,950.88	627.71	0.00	Short sale closed
	11/30/2020	674	3,228.13	11/25/2020	5,668.34	2,440.21	0.00	Short sale closed
	11/30/2020	685	4,743.53	11/25/2020	4,799.22	55.69	0.00	Short sale closed
	11/30/2020	710	5,160.26	11/25/2020	5,686.75	526.49	0.00	Short sale closed
	11/30/2020	800	5,368.74	11/25/2020	5,327.60	0.00	41.14	Short sale closed
	11/30/2020	808	5,676.24	11/25/2020	6,471.68	795.44	0.00	Short sale closed
	11/30/2020	835	4,050.99	11/25/2020	7,389.34	3,338.35	0.00	Short sale closed
	11/30/2020	900	5,492.58	11/25/2020	6,516.00	1,023.42	0.00	Short sale closed
	11/30/2020	945	6,532.28	11/25/2020	7,560.00	1,027.72	0.00	Short sale closed
	11/30/2020	1000	4,851.49	11/25/2020	8,873.40	4,021.91	0.00	Short sale closed
	11/30/2020	1024	6,663.66	11/25/2020	8,310.49	1,646.83	0.00	Short sale closed
	11/30/2020	1200	8,652.99	11/25/2020	8,506.48	0.00	146.51	Short sale closed
	11/30/2020	1250	9,786.61	11/25/2020	9,149.87	0.00	636.74	Short sale closed
	11/30/2020	1250	9,767.90	11/25/2020	9,024.37	0.00	743.53	Short sale closed
	11/30/2020	1250	10,220.57	11/25/2020	9,136.87	0.00	1,083.70	Short sale closed
	11/30/2020	1250	9,188.28	11/25/2020	8,899.37	0.00	288.91	Short sale closed
	11/30/2020	1250	8,502.12	11/25/2020	8,311.87	0.00	190.25	Short sale closed
	11/30/2020	1476	9,605.04	11/25/2020	12,117.96	2,512.92	0.00	Short sale closed
	11/30/2020	1500	9,450.84	11/25/2020	10,064.25	613.41	0.00	Short sale closed
	11/30/2020	1555	10,928.10	11/25/2020	12,516.50	1,588.40	0.00	Short sale closed
	11/30/2020	1569	10,761.99	11/25/2020	10,880.23	118.24	0.00	Short sale closed
	11/30/2020	1700	8,770.45	11/25/2020	13,973.15	5,202.70	0.00	Short sale closed
	11/30/2020	1964	15,325.69	11/25/2020	14,179.09	0.00	1,146.60	Short sale closed
	11/30/2020	1997	14,620.79	11/25/2020	14,098.82	0.00	521.97	Short sale closed
	11/30/2020	2032	14,569.89	11/25/2020	15,279.62	709.73	0.00	Short sale closed
	11/30/2020	2100	16,139.84	11/25/2020	16,210.95	71.11	0.00	Short sale closed
	11/30/2020	2228	17,731.20	11/25/2020	15,440.04	0.00	2,291.16	Short sale closed
	11/30/2020	2325	14,694.05	11/25/2020	15,855.34	1,161.29	0.00	Short sale closed
	11/30/2020	2500	17,035.15	11/25/2020	17,136.25	101.10	0.00	Short sale closed
	11/30/2020	2500	16,820.53	11/25/2020	18,536.25	1,715.72	0.00	Short sale closed
	11/30/2020	2500	15,200.97	11/25/2020	17,823.75	2,622.78	0.00	Short sale closed
	11/30/2020	2500	15,862.03	11/25/2020	17,773.75	1,911.72	0.00	Short sale closed
	11/30/2020	2500	14,982.35	11/25/2020	19,548.75	4,566.40	0.00	Short sale closed
	11/30/2020	2500	13,421.12	11/25/2020	19,298.75	5,877.63	0.00	Short sale closed
	11/30/2020	2500	13,160.30	11/25/2020	21,446.30	8,286.00	0.00	Short sale closed
	11/30/2020	2500	13,994.22	11/25/2020	21,149.25	7,155.03	0.00	Short sale closed
	11/30/2020	2500	14,788.60	11/25/2020	21,048.50	6,259.90	0.00	Short sale closed
	11/30/2020	2500	15,327.49	11/25/2020	20,798.75	5,471.26	0.00	Short sale closed
	11/30/2020	2500	15,579.86	11/25/2020	20,628.79	5,048.93	0.00	Short sale closed
	11/30/2020	2500	16,689.03	11/25/2020	20,279.25	3,590.22	0.00	Short sale closed
	11/30/2020	2500	17,405.32	11/25/2020	19,799.25	2,393.93	0.00	Short sale closed
	11/30/2020	2500	17,833.47	11/25/2020	20,258.85	2,425.38	0.00	Short sale closed
	11/30/2020	2500	17,597.31	11/25/2020	20,209.25	2,611.94	0.00	Short sale closed
	11/30/2020	2500	17,740.22	11/25/2020	20,049.25	2,309.03	0.00	Short sale closed
	11/30/2020	2500	18,316.89	11/25/2020	20,073.75	1,756.86	0.00	Short sale closed
	11/30/2020	2500	18,320.49	11/25/2020	19,552.12	1,231.63	0.00	Short sale closed
	11/30/2020	2500	18,886.18	11/25/2020	18,798.75	0.00	87.43	Short sale closed
	11/30/2020	2500	20,698.69	11/25/2020	19,186.25	0.00	1,512.44	Short sale closed
	11/30/2020	2500	19,188.18	11/25/2020	19,149.75	0.00	38.43	Short sale closed

SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

Report on Form 8949, Part I with Box A checked.  
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The 1099-B data referenced by a Box Number is reported to the IRS.

1a -Symbol   CUSIP   Description of property	1c-Date Sold or Disposed	Quantity	1d - Proceeds	1b - Date Acquired	1e - Cost or Other Basis	1g - Wash Sale Loss Disallowed	Gain or Loss (-)	Additional Notes
ANPC 03635R107 ANPAC BIO MED SCIENCE CO LTD SPONSORED ADS	11/30/2020	2500	19,103.66	11/25/2020	19,423.75	320.09	0.00	Short sale closed
	11/30/2020	2500	18,848.13	11/25/2020	18,898.75	50.62	0.00	Short sale closed
	11/30/2020	2500	19,246.74	11/25/2020	18,548.75	0.00	697.99	Short sale closed
	11/30/2020	2500	18,000.01	11/25/2020	18,048.75	48.74	0.00	Short sale closed
	11/30/2020	2500	18,661.04	11/25/2020	17,698.75	0.00	962.29	Short sale closed
	11/30/2020	2500	18,400.54	11/25/2020	18,798.75	398.21	0.00	Short sale closed
	11/30/2020	2500	19,639.65	11/25/2020	17,548.75	0.00	2,090.90	Short sale closed
	11/30/2020	2500	18,501.63	11/25/2020	18,048.75	0.00	452.88	Short sale closed
	11/30/2020	2500	18,133.26	11/25/2020	17,798.75	0.00	334.51	Short sale closed
	11/30/2020	2500	18,175.54	11/25/2020	17,548.75	0.00	626.79	Short sale closed
	11/30/2020	2500	18,425.54	11/25/2020	17,548.75	0.00	876.79	Short sale closed
	11/30/2020	2500	18,173.19	11/25/2020	17,548.75	0.00	624.44	Short sale closed
	11/30/2020	2500	18,425.54	11/25/2020	17,656.25	0.00	769.29	Short sale closed
	11/30/2020	2950	15,558.35	11/25/2020	24,821.93	9,263.58	0.00	Short sale closed
	11/30/2020	2968	21,281.21	11/25/2020	22,614.68	1,333.47	0.00	Short sale closed
	11/30/2020	4165	22,645.48	11/25/2020	35,900.22	13,254.74	0.00	Short sale closed
	11/30/2020	5000	32,116.16	11/25/2020	44,048.10	11,931.94	0.00	Short sale closed
	11/30/2020	5000	34,708.28	11/25/2020	38,097.50	3,389.22	0.00	Short sale closed
	11/30/2020	5000	36,477.50	11/25/2020	35,597.50	0.00	880.00	Short sale closed
		149,980	\$1,028,772.27		\$1,145,693.15		\$17,581.14	
ATHE 02155X106 ALTERITY THERAPEUTICS LTD SPONSORED ADR	11/18/2020	1064	2,776.74	11/16/2020	2,723.84	0.00	52.90	Short sale closed
	11/18/2020	1200	2,905.06	11/16/2020	3,925.13	1,020.07	0.00	Short sale closed
	11/18/2020	1200	2,905.06	11/16/2020	3,935.40	1,030.34	0.00	Short sale closed
	11/18/2020	1200	2,905.04	11/16/2020	3,964.80	1,059.76	0.00	Short sale closed
	11/18/2020	1200	2,905.06	11/16/2020	3,953.06	1,048.00	0.00	Short sale closed
	11/18/2020	1200	2,760.05	11/16/2020	3,964.80	1,204.75	0.00	Short sale closed
	11/18/2020	1200	2,731.06	11/16/2020	3,965.40	1,234.34	0.00	Short sale closed
	11/18/2020	1200	3,124.91	11/16/2020	2,999.40	0.00	125.51	Short sale closed
	11/18/2020	1200	3,494.67	11/16/2020	3,447.20	0.00	47.47	Short sale closed
	11/18/2020	1400	3,936.53	11/16/2020	4,018.30	81.77	0.00	Short sale closed
	11/18/2020	1540	3,404.79	11/16/2020	4,142.60	737.81	0.00	Short sale closed
	11/18/2020	1550	4,594.61	11/16/2020	4,370.22	0.00	224.39	Short sale closed
	11/18/2020	1600	3,795.74	11/16/2020	4,982.40	1,186.66	0.00	Short sale closed
	11/18/2020	1605	3,901.50	11/16/2020	4,205.10	303.60	0.00	Short sale closed
	11/18/2020	1700	4,684.04	11/16/2020	4,726.00	41.96	0.00	Short sale closed
	11/18/2020	1799	4,707.17	11/16/2020	4,685.50	0.00	21.67	Short sale closed
	11/18/2020	1800	5,121.57	11/16/2020	4,950.00	0.00	171.57	Short sale closed
	11/18/2020	1900	4,515.10	11/16/2020	5,487.65	972.55	0.00	Short sale closed
	11/18/2020	2050	3,573.06	11/16/2020	6,210.47	2,637.41	0.00	Short sale closed
	11/18/2020	2067	6,263.39	11/16/2020	6,378.64	115.25	0.00	Short sale closed
	11/18/2020	2374	5,512.06	11/16/2020	7,500.65	1,988.59	0.00	Short sale closed
	11/18/2020	2500	5,927.86	11/16/2020	6,023.75	95.89	0.00	Short sale closed
	11/18/2020	2500	7,022.40	11/16/2020	6,798.75	0.00	223.65	Short sale closed
	11/18/2020	2500	7,035.30	11/16/2020	6,648.75	0.00	386.55	Short sale closed
	11/18/2020	18	52.33	11/16/2020	51.46	0.00	0.87	Short sale closed
	11/18/2020	196	557.68	11/16/2020	548.80	0.00	8.88	Short sale closed
	11/18/2020	200	472.43	11/16/2020	580.00	107.57	0.00	Short sale closed
	11/18/2020	229	662.74	11/16/2020	655.99	0.00	6.75	Short sale closed
	11/18/2020	300	718.78	11/16/2020	760.35	41.57	0.00	Short sale closed
	11/18/2020	315	909.45	11/16/2020	853.81	0.00	55.64	Short sale closed
	11/18/2020	350	821.44	11/16/2020	927.00	105.56	0.00	Short sale closed
	11/18/2020	575	1,331.49	11/16/2020	1,490.66	159.17	0.00	Short sale closed
	11/18/2020	598	1,569.22	11/16/2020	1,560.48	0.00	8.74	Short sale closed
	11/18/2020	800	2,204.25	11/16/2020	2,214.75	10.50	0.00	Short sale closed
	11/18/2020	800	2,386.45	11/16/2020	2,255.50	0.00	130.95	Short sale closed
	11/18/2020	800	2,276.25	11/16/2020	2,190.70	0.00	85.55	Short sale closed

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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 Box 12: Basis Reported to the IRS Box 5: Box Not Checked Box 6: Net proceeds  
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1a -Symbol   CUSIP   Description of property	1c-Date Sold or Disposed	Quantity	1d - Proceeds	1b - Date Acquired	1e - Cost or Other Basis	1g - Wash Sale Loss Disallowed	Gain or Loss (-)	Additional Notes
ATHEJ02155X106 ALTERITY THERAPEUTICS LTD SPONSORED ADR	11/18/2020	900	2,170.72	11/16/2020	2,357.50	186.78	0.00	Short sale closed
	11/18/2020	900	2,326.79	11/16/2020	2,337.50	10.71	0.00	Short sale closed
	11/18/2020	900	2,577.77	11/16/2020	2,537.55	0.00	40.22	Short sale closed
	11/18/2020	1056	2,335.52	11/16/2020	2,725.46	389.94	0.00	Short sale closed
	11/18/2020	5000	11,434.91	11/16/2020	13,557.00	2,122.09	0.00	Short sale closed
	11/18/2020	5000	12,935.54	11/16/2020	13,072.50	136.96	0.00	Short sale closed
	11/18/2020	5000	12,853.29	11/16/2020	13,053.00	199.71	0.00	Short sale closed
	11/18/2020	5000	12,597.68	11/16/2020	13,549.37	951.69	0.00	Short sale closed
	11/18/2020	5000	11,873.03	11/16/2020	16,345.59	4,472.56	0.00	Short sale closed
	11/18/2020	5000	9,038.04	11/16/2020	15,946.61	6,908.57	0.00	Short sale closed
	11/18/2020	5000	7,080.82	11/16/2020	15,470.33	8,389.51	0.00	Short sale closed
	11/18/2020	5000	5,909.29	11/16/2020	13,602.10	7,692.81	0.00	Short sale closed
	11/18/2020	5000	9,587.75	11/16/2020	15,647.50	6,059.75	0.00	Short sale closed
	11/18/2020	5000	9,390.19	11/16/2020	15,147.50	5,757.31	0.00	Short sale closed
	11/18/2020	5000	13,628.47	11/16/2020	14,550.00	921.53	0.00	Short sale closed
	11/18/2020	5000	14,999.58	11/16/2020	14,322.50	0.00	677.08	Short sale closed
	11/18/2020	5000	14,100.68	11/16/2020	13,598.50	0.00	502.18	Short sale closed
	11/18/2020	5000	13,733.52	11/16/2020	13,406.35	0.00	327.17	Short sale closed
	11/18/2020	5000	14,120.48	11/16/2020	13,048.00	0.00	1,072.48	Short sale closed
	11/18/2020	5000	13,978.78	11/16/2020	12,847.50	0.00	1,131.28	Short sale closed
	11/18/2020	5000	14,078.22	11/16/2020	12,902.35	0.00	1,175.87	Short sale closed
	11/18/2020	5000	12,731.16	11/16/2020	13,012.17	281.01	0.00	Short sale closed
	11/18/2020	5000	13,066.81	11/16/2020	13,101.00	34.19	0.00	Short sale closed
	11/18/2020	5000	12,663.25	11/16/2020	13,118.80	455.55	0.00	Short sale closed
	11/18/2020	5000	13,067.36	11/16/2020	12,547.50	0.00	519.86	Short sale closed
	11/18/2020	5000	14,451.58	11/16/2020	15,047.83	596.25	0.00	Short sale closed
	11/18/2020	5000	14,726.96	11/16/2020	14,547.50	0.00	179.46	Short sale closed
	11/18/2020	5000	15,249.17	11/16/2020	13,847.50	0.00	1,401.67	Short sale closed
	11/18/2020	5000	13,507.72	11/16/2020	15,148.71	1,640.99	0.00	Short sale closed
	11/18/2020	5000	13,914.95	11/16/2020	14,899.30	984.35	0.00	Short sale closed
	11/18/2020	5000	13,876.80	11/16/2020	14,566.23	689.43	0.00	Short sale closed
	11/18/2020	5000	13,876.60	11/16/2020	14,272.49	395.89	0.00	Short sale closed
	11/18/2020	5000	14,626.97	11/16/2020	14,048.69	0.00	578.28	Short sale closed
	11/18/2020	5000	14,470.41	11/16/2020	14,300.00	0.00	170.41	Short sale closed
	11/18/2020	5000	14,365.37	11/16/2020	14,099.00	0.00	266.37	Short sale closed
	11/18/2020	5000	14,359.93	11/16/2020	14,047.96	0.00	311.97	Short sale closed
	11/18/2020	5000	14,433.08	11/16/2020	13,872.50	0.00	560.58	Short sale closed
	11/18/2020	5000	14,428.47	11/16/2020	13,872.50	0.00	555.97	Short sale closed
	11/18/2020	5000	14,430.62	11/16/2020	14,472.35	41.73	0.00	Short sale closed
	11/18/2020	5000	14,313.15	11/16/2020	13,859.90	0.00	453.25	Short sale closed
	11/18/2020	5000	14,226.60	11/16/2020	13,798.00	0.00	428.60	Short sale closed
	11/18/2020	5310	13,421.40	11/16/2020	13,489.00	67.60	0.00	Short sale closed
	11/18/2020	5433	16,295.64	11/16/2020	16,733.64	438.00	0.00	Short sale closed
	11/18/2020	6300	18,236.59	11/16/2020	18,144.00	0.00	92.59	Short sale closed
	11/18/2020	7304	20,782.20	11/16/2020	20,447.45	0.00	334.75	Short sale closed
	11/18/2020	7500	16,181.97	11/16/2020	23,471.26	7,289.29	0.00	Short sale closed
	11/18/2020	7500	15,889.16	11/16/2020	23,826.62	7,937.46	0.00	Short sale closed
	11/18/2020	7500	17,963.04	11/16/2020	25,233.75	7,270.71	0.00	Short sale closed
	11/18/2020	7500	21,989.77	11/16/2020	23,282.20	1,292.43	0.00	Short sale closed
	11/18/2020	7500	20,864.23	11/16/2020	21,989.25	1,125.02	0.00	Short sale closed
	11/18/2020	7500	20,933.10	11/16/2020	21,899.33	966.23	0.00	Short sale closed
	11/18/2020	7500	21,674.54	11/16/2020	22,577.55	903.01	0.00	Short sale closed
	11/18/2020	7500	21,915.47	11/16/2020	22,571.25	655.78	0.00	Short sale closed
	11/18/2020	7500	21,771.91	11/16/2020	23,799.00	2,027.09	0.00	Short sale closed
	11/18/2020	7500	22,425.12	11/16/2020	21,146.25	0.00	1,278.87	Short sale closed
	11/18/2020	7500	22,663.98	11/16/2020	21,229.52	0.00	1,434.46	Short sale closed
	11/18/2020	7500	21,023.32	11/16/2020	21,930.00	906.68	0.00	Short sale closed
	11/18/2020	7500	21,511.71	11/16/2020	22,706.01	1,194.30	0.00	Short sale closed

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SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

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ATHEJ02155X106 ALTERITY THERAPEUTICS LTD SPONSORED ADR								
	11/18/2020	7500	21,249.53	11/16/2020	22,680.00	1,430.47	0.00	Short sale closed
	11/18/2020	7500	21,847.35	11/16/2020	22,233.75	386.40	0.00	Short sale closed
	11/18/2020	7500	21,776.65	11/16/2020	21,783.75	7.10	0.00	Short sale closed
	11/18/2020	7500	22,927.82	11/16/2020	21,783.75	0.00	1,144.07	Short sale closed
	11/18/2020	7500	21,663.25	11/16/2020	21,783.65	120.40	0.00	Short sale closed
	11/18/2020	7500	21,356.94	11/16/2020	20,471.25	0.00	885.69	Short sale closed
	11/18/2020	7500	20,924.35	11/16/2020	21,858.75	934.40	0.00	Short sale closed
	11/18/2020	7500	21,566.11	11/16/2020	21,780.00	213.89	0.00	Short sale closed
	11/18/2020	7500	21,667.60	11/16/2020	22,008.75	341.15	0.00	Short sale closed
	11/18/2020	7500	21,631.82	11/16/2020	22,008.01	376.19	0.00	Short sale closed
	11/18/2020	7500	21,340.42	11/16/2020	20,997.05	0.00	343.37	Short sale closed
	11/18/2020	9371	27,186.84	11/16/2020	25,489.12	0.00	1,697.72	Short sale closed
	11/18/2020	2500	7,146.58	11/16/2020	6,578.25	0.00	568.33	Short sale closed
	11/18/2020	2575	5,959.13	11/16/2020	6,667.97	708.84	0.00	Short sale closed
	11/18/2020	2626	6,652.78	11/16/2020	6,623.76	0.00	29.02	Short sale closed
	11/18/2020	2757	6,113.76	11/16/2020	7,143.25	1,029.49	0.00	Short sale closed
	11/18/2020	2931	6,811.93	11/16/2020	7,561.98	750.05	0.00	Short sale closed
	11/18/2020	3076	6,319.55	11/16/2020	9,626.35	3,306.80	0.00	Short sale closed
	11/18/2020	3201	8,368.47	11/16/2020	8,325.00	0.00	43.47	Short sale closed
	11/18/2020	3395	8,278.89	11/16/2020	8,800.20	521.31	0.00	Short sale closed
	11/18/2020	3450	10,226.70	11/16/2020	9,675.53	0.00	551.17	Short sale closed
	11/18/2020	3460	7,681.45	11/16/2020	9,278.44	1,596.99	0.00	Short sale closed
	11/18/2020	3621	10,347.43	11/16/2020	10,392.03	44.60	0.00	Short sale closed
	11/18/2020	3879	10,920.62	11/16/2020	11,103.91	183.29	0.00	Short sale closed
	11/18/2020	4090	10,573.96	11/16/2020	11,043.00	469.04	0.00	Short sale closed
	11/18/2020	4100	10,152.55	11/16/2020	10,742.00	589.45	0.00	Short sale closed
	11/18/2020	4200	12,726.33	11/16/2020	11,886.00	0.00	840.33	Short sale closed
	11/18/2020	4447	12,934.06	11/16/2020	13,047.97	113.91	0.00	Short sale closed
	11/18/2020	4612	12,868.39	11/16/2020	12,865.17	0.00	3.22	Short sale closed
	11/18/2020	4616	10,858.72	11/16/2020	13,478.72	2,620.00	0.00	Short sale closed
	11/18/2020	4650	11,621.39	11/16/2020	12,322.50	701.11	0.00	Short sale closed
	11/18/2020	4771	14,187.71	11/16/2020	14,358.32	170.61	0.00	Short sale closed
	11/18/2020	4800	12,595.34	11/16/2020	11,757.60	0.00	837.74	Short sale closed
	11/18/2020	4800	13,720.35	11/16/2020	13,535.60	0.00	184.75	Short sale closed
	11/18/2020	4900	13,942.05	11/16/2020	13,766.55	0.00	175.50	Short sale closed
	11/18/2020	4982	14,486.70	11/16/2020	14,946.00	459.30	0.00	Short sale closed
	11/18/2020	5000	11,641.57	11/16/2020	13,413.80	1,772.23	0.00	Short sale closed
	11/18/2020	2500	7,136.40	11/16/2020	6,523.75	0.00	612.65	Short sale closed
		547,143	\$1,470,957.95		\$1,563,419.51		\$22,961.49	
ATIFG0602B100 ATIF HOLDINGS LIMITED SHS								
	12/30/2020	800	1,184.52	12/28/2020	1,122.00	0.00	62.52	Short sale closed
	12/30/2020	1187	2,223.60	12/28/2020	1,909.65	0.00	313.95	Short sale closed
	12/30/2020	2000	3,075.19	12/28/2020	2,680.00	0.00	395.19	Short sale closed
	12/30/2020	2194	2,845.66	12/28/2020	3,732.14	886.48	0.00	Short sale closed
	12/30/2020	2500	4,383.17	12/28/2020	4,010.00	0.00	373.17	Short sale closed
	12/30/2020	4200	6,218.75	12/28/2020	5,964.00	0.00	254.75	Short sale closed
	12/30/2020	5000	7,939.23	12/28/2020	9,972.50	2,033.27	0.00	Short sale closed
	12/30/2020	5000	5,971.96	12/28/2020	9,992.03	4,020.07	0.00	Short sale closed
	12/30/2020	5000	7,360.39	12/28/2020	8,494.00	1,133.61	0.00	Short sale closed
	12/30/2020	5000	8,393.40	12/28/2020	8,594.00	200.60	0.00	Short sale closed
	12/30/2020	5000	8,562.70	12/28/2020	8,494.00	0.00	68.70	Short sale closed
	12/30/2020	5000	9,022.85	12/28/2020	8,104.03	0.00	918.82	Short sale closed
	12/30/2020	5000	7,403.28	12/28/2020	6,594.00	0.00	809.28	Short sale closed
	12/30/2020	5000	7,505.24	12/28/2020	6,601.98	0.00	903.26	Short sale closed
	12/30/2020	5500	8,456.78	12/28/2020	7,306.00	0.00	1,150.78	Short sale closed
		58,381	\$90,546.72		\$93,570.33		\$5,250.42	

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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 Box 12: Basis Reported to the IRS Box 5: Box Not Checked Box 6: Net proceeds The 1099-B data referenced by a Box Number is reported to the IRS.								
1a -Symbol   CUSIP   Description of property	1c-Date Sold or Disposed	Quantity	1d - Proceeds	1b - Date Acquired	1e - Cost or Other Basis	1g - Wash Sale Loss Disallowed	Gain or Loss (-)	Additional Notes
AYRO 054748108 AYRO INC    COM	11/24/2020	5000	44,350.92	11/20/2020	43,097.50	0.00	1,253.42	Short sale closed
	11/24/2020	5000	45,044.55	11/20/2020	43,447.50	0.00	1,597.05	Short sale closed
	11/24/2020	5000	48,257.18	11/20/2020	43,498.58	0.00	4,758.60	Short sale closed
	11/24/2020	5000	45,900.89	11/20/2020	40,947.50	0.00	4,953.39	Short sale closed
	11/25/2020	88	746.32	11/23/2020	888.80	142.48	0.00	Short sale closed
	11/25/2020	146	1,244.11	11/23/2020	1,278.26	34.15	0.00	Short sale closed
	11/25/2020	500	4,269.70	11/23/2020	4,324.95	55.25	0.00	Short sale closed
	11/25/2020	1000	8,126.10	11/23/2020	10,117.50	1,991.40	0.00	Short sale closed
	11/25/2020	1127	9,929.66	11/23/2020	10,061.52	131.86	0.00	Short sale closed
	11/25/2020	1150	9,916.93	11/23/2020	9,929.75	12.82	0.00	Short sale closed
	11/25/2020	2000	17,178.03	11/23/2020	17,241.25	63.22	0.00	Short sale closed
	11/25/2020	2409	20,756.86	11/23/2020	20,800.51	43.65	0.00	Short sale closed
	11/25/2020	2500	21,194.33	11/23/2020	21,561.25	366.92	0.00	Short sale closed
	11/25/2020	2500	21,287.32	11/23/2020	21,548.75	261.43	0.00	Short sale closed
	11/25/2020	2500	21,070.95	11/23/2020	21,536.25	465.30	0.00	Short sale closed
	11/25/2020	2500	21,912.16	11/23/2020	23,050.50	1,138.34	0.00	Short sale closed
	11/25/2020	2500	21,026.34	11/23/2020	22,623.75	1,597.41	0.00	Short sale closed
	11/25/2020	3850	33,342.08	11/23/2020	33,299.50	0.00	42.58	Short sale closed
	11/25/2020	3912	32,644.95	11/23/2020	39,628.56	6,983.61	0.00	Short sale closed
	11/25/2020	4390	36,882.86	11/23/2020	43,902.22	7,019.36	0.00	Short sale closed
	11/25/2020	5000	43,780.95	11/23/2020	50,097.50	6,316.55	0.00	Short sale closed
	11/25/2020	5000	40,833.31	11/23/2020	50,051.97	9,218.66	0.00	Short sale closed
	11/25/2020	5000	40,682.14	11/23/2020	50,197.50	9,515.36	0.00	Short sale closed
	11/25/2020	5000	42,276.17	11/23/2020	50,222.50	7,946.33	0.00	Short sale closed
	11/25/2020	5000	42,079.52	11/23/2020	50,047.50	7,967.98	0.00	Short sale closed
	11/25/2020	5610	49,435.55	11/23/2020	56,289.62	0.00	(6,854.07)	Short sale closed
		83,682	\$724,169.88		\$779,690.99		\$5,750.97	
BLNK 09354A100 BLINK CHARGING CO    COM	11/24/2020	14	264.34	11/20/2020	259.37	0.00	4.97	Short sale closed
	11/24/2020	25	472.02	11/20/2020	463.00	0.00	9.02	Short sale closed
	11/24/2020	65	1,227.27	11/20/2020	1,203.80	0.00	23.47	Short sale closed
	11/24/2020	111	2,357.84	11/20/2020	2,484.18	126.34	0.00	Short sale closed
	11/24/2020	140	3,278.33	11/20/2020	3,285.74	0.00	(7.41)	Short sale closed
	11/24/2020	350	7,449.04	11/20/2020	7,420.00	0.00	29.04	Short sale closed
	11/24/2020	600	12,769.77	11/20/2020	12,671.52	0.00	98.25	Short sale closed
	11/24/2020	890	17,814.27	11/20/2020	18,779.00	964.73	0.00	Short sale closed
	11/24/2020	987	21,033.63	11/20/2020	22,058.20	1,024.57	0.00	Short sale closed
	11/24/2020	1055	20,118.96	11/20/2020	22,086.40	1,967.44	0.00	Short sale closed
	11/24/2020	1100	21,541.29	11/20/2020	21,833.75	292.46	0.00	Short sale closed
	11/24/2020	1110	25,992.49	11/20/2020	25,996.20	0.00	(3.71)	Short sale closed
	11/24/2020	1176	22,872.31	11/20/2020	23,542.94	670.63	0.00	Short sale closed
	11/24/2020	1250	29,030.32	11/20/2020	29,774.37	0.00	(744.05)	Short sale closed
	11/24/2020	1324	24,866.88	11/20/2020	27,962.21	3,095.33	0.00	Short sale closed
	11/24/2020	1400	27,577.22	11/20/2020	27,738.25	161.03	0.00	Short sale closed
	11/24/2020	1402	29,781.03	11/20/2020	31,404.80	1,623.77	0.00	Short sale closed
	11/24/2020	1445	27,535.62	11/20/2020	30,344.65	2,809.03	0.00	Short sale closed
	11/24/2020	1550	32,988.59	11/20/2020	32,890.22	0.00	98.37	Short sale closed
	11/24/2020	1610	31,980.71	11/20/2020	33,953.65	1,972.94	0.00	Short sale closed
	11/24/2020	1810	34,872.12	11/20/2020	38,045.29	3,173.17	0.00	Short sale closed
	11/24/2020	2100	48,019.26	11/20/2020	50,020.95	2,001.69	0.00	Short sale closed
	11/24/2020	2396	43,556.43	11/20/2020	44,564.41	1,007.98	0.00	Short sale closed
	11/24/2020	2500	47,263.67	11/20/2020	50,998.60	3,734.93	0.00	Short sale closed
	11/24/2020	2500	45,633.31	11/20/2020	50,298.75	4,665.44	0.00	Short sale closed
	11/24/2020	2500	46,153.63	11/20/2020	50,123.75	3,970.12	0.00	Short sale closed
	11/24/2020	2500	48,549.20	11/20/2020	52,548.75	3,999.55	0.00	Short sale closed
	11/24/2020	2500	48,774.72	11/20/2020	53,048.75	4,274.03	0.00	Short sale closed
	11/24/2020	2500	49,275.33	11/20/2020	53,298.75	4,023.42	0.00	Short sale closed

SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

Report on Form 8949, Part I with Box A checked.  
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1a -Symbol   CUSIP   Description of property	1c-Date Sold or Disposed	Quantity	1d - Proceeds	1b - Date Acquired	1e - Cost or Other Basis	1g - Wash Sale Loss Disallowed	Gain or Loss (-)	Additional Notes
BLNK 09354A100 BLINK CHARGING CO COM	11/24/2020	2500	50,238.62	11/20/2020	51,960.99	1,722.37	0.00	Short sale closed
	11/24/2020	2500	52,167.47	11/20/2020	51,709.28	0.00	458.19	Short sale closed
	11/24/2020	2500	52,281.89	11/20/2020	52,549.25	267.36	0.00	Short sale closed
	11/24/2020	2500	51,550.77	11/20/2020	52,548.75	997.98	0.00	Short sale closed
	11/24/2020	2500	53,424.76	11/20/2020	55,298.75	1,873.99	0.00	Short sale closed
	11/24/2020	2500	55,290.97	11/20/2020	54,298.75	0.00	992.22	Short sale closed
	11/24/2020	2500	52,924.78	11/20/2020	55,073.75	2,148.97	0.00	Short sale closed
	11/24/2020	2500	51,525.79	11/20/2020	55,074.20	3,548.41	0.00	Short sale closed
	11/24/2020	2500	51,067.84	11/20/2020	54,548.75	3,480.91	0.00	Short sale closed
	11/24/2020	2500	51,139.83	11/20/2020	54,759.01	3,619.18	0.00	Short sale closed
		63,910	\$1,294,662.32		\$1,356,921.73		\$958.36	
BNGO 09075F107 BIONANO GENOMICS INC COM	01/04/2021	100	180.94	12/30/2020	177.00	0.00	3.94	Short sale closed
	01/04/2021	1000	1,730.45	12/30/2020	2,698.00	967.55	0.00	Short sale closed
	01/04/2021	1000	1,900.25	12/30/2020	2,273.80	373.55	0.00	Short sale closed
	01/04/2021	1000	1,900.25	12/30/2020	2,273.80	373.55	0.00	Short sale closed
	01/04/2021	1100	1,990.34	12/30/2020	1,947.00	0.00	43.34	Short sale closed
	01/04/2021	1400	2,533.16	12/30/2020	2,447.48	0.00	85.68	Short sale closed
	01/04/2021	1453	2,761.06	12/30/2020	3,354.68	593.62	0.00	Short sale closed
	01/04/2021	2400	4,342.56	12/30/2020	4,256.40	0.00	86.16	Short sale closed
	01/04/2021	2500	4,532.36	12/30/2020	6,397.00	1,864.64	0.00	Short sale closed
	01/04/2021	3000	5,700.73	12/30/2020	6,866.40	1,165.67	0.00	Short sale closed
	01/04/2021	3547	6,134.53	12/30/2020	8,261.38	2,126.85	0.00	Short sale closed
	01/04/2021	5000	9,438.21	12/30/2020	8,972.50	0.00	465.71	Short sale closed
	01/04/2021	5000	9,955.19	12/30/2020	10,044.00	88.81	0.00	Short sale closed
	01/04/2021	5000	9,440.37	12/30/2020	9,594.00	153.63	0.00	Short sale closed
	01/04/2021	5000	9,955.19	12/30/2020	10,494.00	538.81	0.00	Short sale closed
	01/04/2021	5000	10,005.18	12/30/2020	10,494.00	488.82	0.00	Short sale closed
	01/04/2021	9000	15,075.06	12/30/2020	24,570.00	9,494.94	0.00	Short sale closed
	01/04/2021	9825	19,569.54	12/30/2020	27,388.47	7,818.93	0.00	Short sale closed
	01/04/2021	10000	21,880.14	12/30/2020	22,707.52	827.38	0.00	Short sale closed
	01/04/2021	10000	20,982.95	12/30/2020	25,238.63	4,255.68	0.00	Short sale closed
	01/04/2021	10000	15,709.92	12/30/2020	26,916.62	11,206.70	0.00	Short sale closed
	01/04/2021	10000	15,691.05	12/30/2020	26,433.60	10,742.55	0.00	Short sale closed
	01/04/2021	10000	18,207.24	12/30/2020	25,588.00	7,380.76	0.00	Short sale closed
	01/04/2021	10000	17,766.66	12/30/2020	23,439.95	5,673.29	0.00	Short sale closed
	01/04/2021	10000	16,357.14	12/30/2020	21,022.50	4,665.36	0.00	Short sale closed
	01/04/2021	10000	16,110.49	12/30/2020	21,422.50	5,312.01	0.00	Short sale closed
	01/05/2021	10000	25,398.12	12/31/2020	29,788.00	0.00	(4,389.88)	Short sale closed
		152,325	\$285,249.08		\$365,067.23		(\$3,705.05)	
CAAS 16936R105 CHINA AUTOMOTIVE SYS INC COM	12/02/2020	116	1,042.86	11/30/2020	1,010.27	0.00	32.59	Short sale closed
	12/02/2020	125	629.66	11/30/2020	1,079.34	449.68	0.00	Short sale closed
	12/02/2020	300	1,666.77	11/30/2020	2,556.00	889.23	0.00	Short sale closed
	12/02/2020	500	3,162.09	11/30/2020	4,226.27	1,064.18	0.00	Short sale closed
	12/02/2020	762	3,738.29	11/30/2020	6,437.28	2,698.99	0.00	Short sale closed
	12/02/2020	800	6,434.29	11/30/2020	6,399.60	0.00	34.69	Short sale closed
	12/02/2020	800	6,587.59	11/30/2020	6,437.20	0.00	150.39	Short sale closed
	12/02/2020	802	4,299.42	11/30/2020	6,849.43	2,550.01	0.00	Short sale closed
	12/02/2020	900	5,773.68	11/30/2020	5,952.19	178.51	0.00	Short sale closed
	12/02/2020	1200	6,975.01	11/30/2020	9,673.15	2,698.14	0.00	Short sale closed
	12/02/2020	1250	11,372.23	11/30/2020	11,149.37	0.00	222.86	Short sale closed
	12/02/2020	1250	11,372.22	11/30/2020	11,167.38	0.00	204.84	Short sale closed
	12/02/2020	1500	10,619.36	11/30/2020	12,222.50	1,603.14	0.00	Short sale closed
	12/02/2020	1600	10,264.31	11/30/2020	10,592.00	327.69	0.00	Short sale closed
	12/02/2020	2384	21,432.59	11/30/2020	21,003.04	0.00	429.55	Short sale closed
	12/02/2020	2400	13,397.62	11/30/2020	20,964.80	7,567.18	0.00	Short sale closed

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Velocity Clearing LLC		Proceeds from Broker and Barter Exchange Transactions				2020 Form 1099-B*		OMB No. 1545-0715	
1GDN-GDN-871410									
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 Box 12: Basis Reported to the IRS Box 5: Box Not Checked Box 6: Net proceeds									
The 1099-B data referenced by a Box Number is reported to the IRS.									
1a -Symbol   CUSIP   Description of property		1c-Date Sold or Disposed	Quantity	1d - Proceeds	1b - Date Acquired	1e - Cost or Other Basis	1g - Wash Sale Loss Disallowed	Gain or Loss (-)	Additional Notes
CAAS 16936R105 CHINA AUTOMOTIVE SYS INC COM									
		12/02/2020	2500	16,712.98	11/30/2020	17,011.25	298.27	0.00	Short sale closed
		12/02/2020	2500	16,877.30	11/30/2020	16,298.75	0.00	578.55	Short sale closed
		12/02/2020	2500	22,875.44	11/30/2020	22,548.75	0.00	326.69	Short sale closed
		12/02/2020	2500	23,511.42	11/30/2020	23,004.69	0.00	506.73	Short sale closed
		12/02/2020	2600	15,557.33	11/30/2020	22,775.92	7,218.59	0.00	Short sale closed
		12/02/2020	3400	28,351.94	11/30/2020	27,437.09	0.00	914.85	Short sale closed
		12/02/2020	3500	23,719.75	11/30/2020	28,700.00	4,980.25	0.00	Short sale closed
		12/02/2020	3800	22,337.55	11/30/2020	30,666.00	8,328.45	0.00	Short sale closed
		12/02/2020	4198	22,504.92	11/30/2020	36,519.91	14,014.99	0.00	Short sale closed
		12/02/2020	4238	20,791.19	11/30/2020	35,679.19	14,888.00	0.00	Short sale closed
		12/02/2020	4700	26,112.80	11/30/2020	39,947.50	13,834.70	0.00	Short sale closed
		12/02/2020	4875	25,763.16	11/30/2020	42,412.50	16,649.34	0.00	Short sale closed
		12/02/2020	5000	35,276.11	11/30/2020	36,701.27	1,425.16	0.00	Short sale closed
		12/02/2020	5000	32,509.81	11/30/2020	40,898.31	8,388.50	0.00	Short sale closed
		12/02/2020	5000	25,301.95	11/30/2020	42,598.45	17,296.50	0.00	Short sale closed
		12/02/2020	5000	25,190.57	11/30/2020	43,097.50	17,906.93	0.00	Short sale closed
		12/02/2020	5000	26,263.58	11/30/2020	42,097.50	15,833.92	0.00	Short sale closed
		12/02/2020	5000	29,001.01	11/30/2020	42,265.00	13,263.99	0.00	Short sale closed
		12/02/2020	5000	32,192.38	11/30/2020	42,247.50	10,055.12	0.00	Short sale closed
		12/02/2020	5000	31,620.57	11/30/2020	40,597.50	8,976.93	0.00	Short sale closed
		12/02/2020	5000	33,229.24	11/30/2020	40,097.50	6,868.26	0.00	Short sale closed
		12/02/2020	5000	40,248.77	11/30/2020	40,147.50	0.00	101.27	Short sale closed
		12/02/2020	5918	42,762.64	11/30/2020	47,577.76	4,815.12	0.00	Short sale closed
		12/02/2020	6082	46,974.68	11/30/2020	48,774.60	1,799.92	0.00	Short sale closed
			120,000	\$784,455.08		\$987,821.76		\$3,503.01	
CATB 14875P206 CATABASIS PHARMACEUTICALS INC COM NEW									
		12/04/2020	400	1,095.24	12/02/2020	1,251.01	155.77	0.00	Short sale closed
		12/04/2020	698	1,723.16	12/02/2020	1,600.66	0.00	122.50	Short sale closed
		12/04/2020	1802	4,448.61	12/02/2020	4,162.62	0.00	285.99	Short sale closed
		12/04/2020	2500	6,421.81	12/02/2020	6,273.75	0.00	148.06	Short sale closed
		12/04/2020	2500	6,421.81	12/02/2020	6,223.75	0.00	198.06	Short sale closed
		12/04/2020	2500	6,171.78	12/02/2020	5,798.75	0.00	373.03	Short sale closed
		12/04/2020	5000	12,444.50	12/02/2020	12,797.50	353.00	0.00	Short sale closed
		12/04/2020	5000	12,487.01	12/02/2020	12,647.50	160.49	0.00	Short sale closed
		12/04/2020	5000	11,945.83	12/02/2020	11,747.50	0.00	198.33	Short sale closed
		12/04/2020	9600	26,255.49	12/02/2020	30,239.68	3,984.19	0.00	Short sale closed
		12/04/2020	10000	26,296.03	12/02/2020	28,195.00	1,898.97	0.00	Short sale closed
		12/04/2020	10000	27,472.84	12/02/2020	29,095.00	1,622.16	0.00	Short sale closed
		12/04/2020	10000	25,588.15	12/02/2020	30,800.60	5,212.45	0.00	Short sale closed
		12/04/2020	10000	24,557.95	12/02/2020	30,195.00	5,637.05	0.00	Short sale closed
		12/04/2020	10000	24,918.62	12/02/2020	30,195.00	5,276.38	0.00	Short sale closed
		12/04/2020	10000	26,615.73	12/02/2020	29,095.00	2,479.27	0.00	Short sale closed
		12/04/2020	10000	28,523.85	12/02/2020	28,195.00	0.00	328.85	Short sale closed
		12/04/2020	10000	30,101.37	12/02/2020	27,741.36	0.00	2,360.01	Short sale closed
			115,000	\$303,489.78		\$326,254.68		\$4,014.83	
CBAT 14986C102 CBAK ENERGY TECHNOLOGY INC COM									
		11/18/2020	911	8,536.23	11/16/2020	8,307.67	0.00	228.56	Short sale closed
		11/18/2020	1500	11,365.09	11/16/2020	11,264.25	0.00	100.84	Short sale closed
		11/18/2020	1589	14,889.20	11/16/2020	14,744.72	0.00	144.48	Short sale closed
		11/18/2020	2000	14,957.03	11/16/2020	15,019.35	62.32	0.00	Short sale closed
		11/18/2020	2500	19,465.21	11/16/2020	19,548.75	83.54	0.00	Short sale closed
		11/18/2020	2500	19,858.03	11/16/2020	19,523.75	0.00	334.28	Short sale closed
		11/18/2020	2500	19,345.66	11/16/2020	19,273.75	0.00	71.91	Short sale closed
		11/18/2020	2500	19,975.50	11/16/2020	20,048.75	73.25	0.00	Short sale closed
		11/18/2020	2500	20,426.28	11/16/2020	19,798.75	0.00	627.53	Short sale closed
		11/18/2020	2500	21,750.46	11/16/2020	21,360.02	0.00	390.44	Short sale closed
		11/18/2020	2500	25,164.34	11/16/2020	25,048.75	0.00	115.59	Short sale closed

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 Box 12: Basis Reported to the IRS Box 5: Box Not Checked Box 6: Net proceeds The 1099-B data referenced by a Box Number is reported to the IRS.								
1a -Symbol   CUSIP   Description of property	1c-Date Sold or Disposed	Quantity	1d - Proceeds	1b - Date Acquired	1e - Cost or Other Basis	1g - Wash Sale Loss Disallowed	Gain or Loss (-)	Additional Notes
CBAT 14986C102 CBAK ENERGY TECHNOLOGY INC COM	11/18/2020	2500	25,837.48	11/16/2020	25,298.75	0.00	538.73	Short sale closed
	11/18/2020	2500	26,175.37	11/16/2020	24,548.75	0.00	1,626.62	Short sale closed
	11/18/2020	2500	23,813.92	11/16/2020	23,198.75	0.00	615.17	Short sale closed
	11/18/2020	2500	23,800.42	11/16/2020	23,498.75	0.00	301.67	Short sale closed
	11/18/2020	2500	24,975.39	11/16/2020	24,623.75	0.00	351.64	Short sale closed
	11/18/2020	2500	25,001.23	11/16/2020	24,573.75	0.00	427.48	Short sale closed
	11/18/2020	2500	24,993.76	11/16/2020	24,273.75	0.00	720.01	Short sale closed
	11/18/2020	2500	23,639.20	11/16/2020	23,274.03	0.00	365.17	Short sale closed
	11/18/2020	2500	23,538.27	11/16/2020	23,273.75	0.00	264.52	Short sale closed
	11/18/2020	2500	23,314.32	11/16/2020	23,123.75	0.00	190.57	Short sale closed
	11/18/2020	2500	23,664.17	11/16/2020	23,135.00	0.00	529.17	Short sale closed
	11/18/2020	3800	35,893.59	11/16/2020	36,669.22	775.63	0.00	Short sale closed
	11/19/2020	799	8,275.83	11/17/2020	8,117.84	0.00	157.99	Short sale closed
	11/19/2020	1100	11,319.17	11/17/2020	11,186.45	0.00	132.72	Short sale closed
	11/19/2020	1201	12,358.47	11/17/2020	12,213.19	0.00	145.28	Short sale closed
	11/19/2020	2500	23,421.14	11/17/2020	22,945.66	0.00	475.48	Short sale closed
	11/23/2020	1124	8,841.21	11/19/2020	8,845.31	4.10	0.00	Short sale closed
	11/23/2020	1250	9,170.90	11/19/2020	9,492.29	321.39	0.00	Short sale closed
	11/23/2020	1250	9,158.13	11/19/2020	9,274.37	116.24	0.00	Short sale closed
	11/23/2020	1250	10,118.17	11/19/2020	9,774.37	0.00	343.80	Short sale closed
	11/23/2020	1250	10,112.75	11/19/2020	9,768.13	0.00	344.62	Short sale closed
	11/23/2020	1376	10,823.42	11/19/2020	10,855.96	32.54	0.00	Short sale closed
	11/23/2020	2500	18,975.53	11/19/2020	20,309.00	1,333.47	0.00	Short sale closed
	11/23/2020	2500	19,237.88	11/19/2020	19,798.75	560.87	0.00	Short sale closed
	11/23/2020	2500	20,208.44	11/19/2020	19,429.96	0.00	778.48	Short sale closed
		75,400	\$672,401.19		\$665,441.79		\$10,322.75	
CCRC G2118P102 CHINA CUST RELATIONS CNTR INC COM	12/23/2020	11	82.92	12/21/2020	85.22	2.30	0.00	Short sale closed
	12/23/2020	100	671.76	12/21/2020	762.03	90.27	0.00	Short sale closed
	12/23/2020	400	2,335.00	12/21/2020	2,696.00	361.00	0.00	Short sale closed
	12/23/2020	465	3,083.00	12/21/2020	3,035.04	0.00	47.96	Short sale closed
	12/23/2020	827	6,041.36	12/21/2020	7,426.13	1,384.77	0.00	Short sale closed
	12/23/2020	885	5,166.19	12/21/2020	5,940.25	774.06	0.00	Short sale closed
	12/23/2020	1215	7,092.56	12/21/2020	8,202.13	1,109.57	0.00	Short sale closed
	12/23/2020	1443	10,272.57	12/21/2020	13,014.16	2,741.59	0.00	Short sale closed
	12/23/2020	1900	13,357.82	12/21/2020	14,475.72	1,117.90	0.00	Short sale closed
	12/23/2020	2035	13,492.23	12/21/2020	13,329.21	0.00	163.02	Short sale closed
	12/23/2020	2188	14,698.16	12/21/2020	17,091.69	2,393.53	0.00	Short sale closed
	12/23/2020	2285	16,198.01	12/21/2020	18,551.46	2,353.45	0.00	Short sale closed
	12/23/2020	2489	18,759.84	12/21/2020	20,160.90	1,401.06	0.00	Short sale closed
	12/23/2020	2500	18,576.19	12/21/2020	22,031.31	3,455.12	0.00	Short sale closed
	12/23/2020	2500	16,794.06	12/21/2020	19,547.00	2,752.94	0.00	Short sale closed
	12/23/2020	2500	13,961.62	12/21/2020	16,797.00	2,835.38	0.00	Short sale closed
	12/23/2020	2500	15,248.52	12/21/2020	16,747.00	1,498.48	0.00	Short sale closed
	12/23/2020	2500	16,283.91	12/21/2020	16,697.00	413.09	0.00	Short sale closed
	12/23/2020	2500	15,120.45	12/21/2020	16,447.00	0.00	(1,326.55)	Short sale closed
	12/23/2020	2730	19,745.40	12/21/2020	24,460.80	4,715.40	0.00	Short sale closed
	12/23/2020	5000	39,635.60	12/21/2020	46,094.00	6,458.40	0.00	Short sale closed
	12/23/2020	5000	33,621.85	12/21/2020	41,494.00	7,872.15	0.00	Short sale closed
	12/23/2020	5000	34,177.60	12/21/2020	40,594.00	6,416.40	0.00	Short sale closed
		48,973	\$334,416.62		\$385,679.05		(\$1,115.57)	
CREG 168913309 CHINA RECYCLING ENERGY CORP COM	12/30/2020	66	578.65	12/28/2020	592.32	13.67	0.00	Short sale closed
	12/30/2020	100	947.27	12/28/2020	897.03	0.00	50.24	Short sale closed
	12/30/2020	1456	11,236.62	12/28/2020	10,306.74	0.00	929.88	Short sale closed
	12/30/2020	2400	22,754.11	12/28/2020	22,079.88	0.00	674.23	Short sale closed
	12/30/2020	2434	21,326.26	12/28/2020	22,052.04	725.78	0.00	Short sale closed

SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

Report on Form 8949, Part I with Box A checked.  
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CREG 168913309 CHINA RECYCLING ENERGY CORP COM	12/30/2020	3544	28,668.06	12/28/2020	24,467.77	0.00	4,200.29	Short sale closed
	12/30/2020	3544	27,408.10	12/28/2020	24,467.77	0.00	2,940.33	Short sale closed
		13,544	\$112,919.07		\$104,863.55		\$8,794.97	
CRIS 231269200 CURIS INC COM NEW	12/10/2020	10000	11,730.60	12/08/2020	68,200.98	56,470.38	0.00	Short sale closed
	12/10/2020	10000	14,596.03	12/08/2020	67,195.50	52,599.47	0.00	Short sale closed
	12/10/2020	10000	21,190.61	12/08/2020	61,039.37	39,848.76	0.00	Short sale closed
	12/10/2020	10000	22,696.35	12/08/2020	62,955.66	40,259.31	0.00	Short sale closed
	12/10/2020	10000	19,667.56	12/08/2020	65,040.00	45,372.44	0.00	Short sale closed
	12/10/2020	10000	18,801.32	12/08/2020	65,040.00	46,238.68	0.00	Short sale closed
	12/10/2020	10000	17,222.96	12/08/2020	62,195.50	44,972.54	0.00	Short sale closed
	12/10/2020	10000	17,963.33	12/08/2020	63,389.95	45,426.62	0.00	Short sale closed
	12/10/2020	10000	23,020.66	12/08/2020	60,195.00	37,174.34	0.00	Short sale closed
	12/10/2020	10000	27,862.68	12/08/2020	59,958.20	32,095.52	0.00	Short sale closed
	12/10/2020	10000	29,816.14	12/08/2020	60,318.00	30,501.86	0.00	Short sale closed
	12/10/2020	10000	30,733.84	12/08/2020	61,538.98	30,805.14	0.00	Short sale closed
	12/10/2020	10000	31,292.18	12/08/2020	61,630.70	30,338.52	0.00	Short sale closed
	12/10/2020	10000	30,704.12	12/08/2020	61,929.60	31,225.48	0.00	Short sale closed
	12/10/2020	10000	28,428.95	12/08/2020	64,540.90	36,111.95	0.00	Short sale closed
	12/10/2020	10000	32,506.60	12/08/2020	65,195.46	32,688.86	0.00	Short sale closed
	12/10/2020	11000	36,950.31	12/08/2020	69,531.50	32,581.19	0.00	Short sale closed
	12/10/2020	11378	41,961.72	12/08/2020	74,648.94	32,687.22	0.00	Short sale closed
	12/10/2020	11546	35,645.06	12/08/2020	70,776.98	35,131.92	0.00	Short sale closed
	12/10/2020	15000	44,765.85	12/08/2020	100,340.96	55,575.11	0.00	Short sale closed
	12/10/2020	15000	38,701.00	12/08/2020	99,058.50	60,357.50	0.00	Short sale closed
	12/10/2020	15000	32,811.43	12/08/2020	93,615.12	60,803.69	0.00	Short sale closed
	12/10/2020	15000	53,441.93	12/08/2020	97,867.22	44,425.29	0.00	Short sale closed
	12/10/2020	15000	51,432.31	12/08/2020	97,900.48	46,468.17	0.00	Short sale closed
	12/10/2020	20000	68,804.48	12/08/2020	134,089.75	65,285.27	0.00	Short sale closed
	12/10/2020	30	77.05	12/08/2020	199.24	122.19	0.00	Short sale closed
	12/10/2020	59	172.13	12/08/2020	361.67	189.54	0.00	Short sale closed
	12/10/2020	76	139.31	12/08/2020	487.68	348.37	0.00	Short sale closed
	12/10/2020	120	325.40	12/08/2020	789.67	464.27	0.00	Short sale closed
	12/10/2020	184	351.40	12/08/2020	1,172.08	820.68	0.00	Short sale closed
	12/10/2020	200	379.65	12/08/2020	1,350.00	970.35	0.00	Short sale closed
	12/10/2020	288	1,195.85	12/08/2020	1,380.82	184.97	0.00	Short sale closed
	12/10/2020	300	882.77	12/08/2020	1,819.14	936.37	0.00	Short sale closed
	12/10/2020	374	847.65	12/08/2020	2,629.03	1,781.38	0.00	Short sale closed
	12/10/2020	400	601.12	12/08/2020	2,696.00	2,094.88	0.00	Short sale closed
	12/10/2020	459	1,040.29	12/08/2020	3,235.72	2,195.43	0.00	Short sale closed
	12/10/2020	490	1,461.64	12/08/2020	2,971.36	1,509.72	0.00	Short sale closed
	12/10/2020	498	1,932.21	12/08/2020	2,238.60	306.39	0.00	Short sale closed
	12/10/2020	596	1,228.52	12/08/2020	3,708.30	2,479.78	0.00	Short sale closed
	12/10/2020	673	1,727.59	12/08/2020	4,458.29	2,730.70	0.00	Short sale closed
	12/10/2020	690	2,954.63	12/08/2020	3,525.55	570.92	0.00	Short sale closed
	12/10/2020	700	2,997.45	12/08/2020	3,881.15	883.70	0.00	Short sale closed
	12/10/2020	732	1,100.05	12/08/2020	4,916.51	3,816.46	0.00	Short sale closed
	12/10/2020	800	2,663.20	12/08/2020	5,000.00	2,336.80	0.00	Short sale closed
	12/10/2020	865	1,717.48	12/08/2020	5,725.87	4,008.39	0.00	Short sale closed
	12/10/2020	900	3,558.30	12/08/2020	3,840.00	281.70	0.00	Short sale closed
	12/10/2020	900	3,760.77	12/08/2020	4,967.55	1,206.78	0.00	Short sale closed
	12/10/2020	900	1,180.17	12/08/2020	5,489.99	4,309.82	0.00	Short sale closed
	12/10/2020	1000	3,941.89	12/08/2020	4,207.50	265.61	0.00	Short sale closed
	12/10/2020	1000	2,849.85	12/08/2020	6,165.90	3,316.05	0.00	Short sale closed
	12/10/2020	1000	1,473.81	12/08/2020	5,959.50	4,485.69	0.00	Short sale closed
	12/10/2020	1039	3,672.95	12/08/2020	6,523.48	2,850.53	0.00	Short sale closed
	12/10/2020	1087	57.83	12/08/2020	7,630.20	7,572.37	0.00	Short sale closed

\* 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.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.

SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

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1a -Symbol   CUSIP   Description of property	1c-Date Sold or Disposed	Quantity	1d - Proceeds	1b - Date Acquired	1e - Cost or Other Basis	1g - Wash Sale Loss Disallowed	Gain or Loss (-)	Additional Notes
CRIS[231269200]CURIS INC COM NEW	12/10/2020	1100	2,689.59	12/08/2020	7,160.45	4,470.86	0.00	Short sale closed
	12/10/2020	1101	4,683.39	12/08/2020	4,789.35	105.96	0.00	Short sale closed
	12/10/2020	1130	4,202.73	12/08/2020	7,363.68	3,160.95	0.00	Short sale closed
	12/10/2020	1399	5,951.00	12/08/2020	6,098.39	147.39	0.00	Short sale closed
	12/10/2020	1400	2,658.13	12/08/2020	8,568.54	5,910.41	0.00	Short sale closed
	12/10/2020	1400	3,800.42	12/08/2020	8,463.00	4,662.58	0.00	Short sale closed
	12/10/2020	1500	6,610.98	12/08/2020	6,509.25	0.00	101.73	Short sale closed
	12/10/2020	1500	6,728.49	12/08/2020	7,378.75	650.26	0.00	Short sale closed
	12/10/2020	1500	2,411.84	12/08/2020	8,917.65	6,505.81	0.00	Short sale closed
	12/10/2020	1500	4,314.94	12/08/2020	9,329.25	5,014.31	0.00	Short sale closed
	12/10/2020	1557	4,704.17	12/08/2020	9,765.33	5,061.16	0.00	Short sale closed
	12/10/2020	1565	4,045.01	12/08/2020	9,684.66	5,639.65	0.00	Short sale closed
	12/10/2020	1600	5,326.41	12/08/2020	9,983.79	4,657.38	0.00	Short sale closed
	12/10/2020	1663	5,536.13	12/08/2020	10,510.16	4,974.03	0.00	Short sale closed
	12/10/2020	1700	4,530.70	12/08/2020	10,424.24	5,893.54	0.00	Short sale closed
	12/10/2020	1758	6,477.08	12/08/2020	11,462.16	4,985.08	0.00	Short sale closed
	12/10/2020	2000	5,896.16	12/08/2020	12,171.03	6,274.87	0.00	Short sale closed
	12/10/2020	2020	6,786.92	12/08/2020	13,203.66	0.00	(6,416.74)	Short sale closed
	12/10/2020	2147	2,834.72	12/08/2020	12,923.87	10,089.15	0.00	Short sale closed
	12/10/2020	2191	6,756.48	12/08/2020	14,190.16	7,433.68	0.00	Short sale closed
	12/10/2020	2250	5,263.12	12/08/2020	14,142.13	8,879.01	0.00	Short sale closed
	12/10/2020	2337	7,779.88	12/08/2020	14,793.21	7,013.33	0.00	Short sale closed
	12/10/2020	2382	4,910.91	12/08/2020	14,720.76	9,809.85	0.00	Short sale closed
	12/10/2020	2427	4,444.14	12/08/2020	16,380.25	11,936.11	0.00	Short sale closed
	12/10/2020	2500	10,743.50	12/08/2020	10,751.75	8.25	0.00	Short sale closed
	12/10/2020	2500	10,743.49	12/08/2020	10,286.25	0.00	457.24	Short sale closed
	12/10/2020	2500	11,342.44	12/08/2020	10,098.75	0.00	1,243.69	Short sale closed
	12/10/2020	2500	9,887.27	12/08/2020	10,223.75	336.48	0.00	Short sale closed
	12/10/2020	2500	10,462.49	12/08/2020	10,973.75	511.26	0.00	Short sale closed
	12/10/2020	2500	10,414.44	12/08/2020	10,998.75	584.31	0.00	Short sale closed
	12/10/2020	2500	10,972.36	12/08/2020	10,798.75	0.00	173.61	Short sale closed
	12/10/2020	2500	5,519.19	12/08/2020	15,815.71	10,296.52	0.00	Short sale closed
	12/10/2020	2500	8,664.28	12/08/2020	16,298.75	6,617.56	(1,016.91)	Short sale closed
	12/10/2020	2511	4,795.41	12/08/2020	15,968.46	11,173.05	0.00	Short sale closed
	12/10/2020	2826	3,504.14	12/08/2020	18,169.77	14,665.63	0.00	Short sale closed
	12/10/2020	3200	13,268.43	12/08/2020	15,070.40	1,801.97	0.00	Short sale closed
	12/10/2020	3435	8,890.53	12/08/2020	21,297.00	12,406.47	0.00	Short sale closed
	12/10/2020	3710	7,003.16	12/08/2020	26,081.44	19,078.28	0.00	Short sale closed
	12/10/2020	3852	9,856.98	12/08/2020	23,112.57	13,255.59	0.00	Short sale closed
	12/10/2020	3961	14,002.44	12/08/2020	24,875.08	10,872.64	0.00	Short sale closed
	12/10/2020	4000	15,827.85	12/08/2020	16,880.00	1,052.15	0.00	Short sale closed
	12/10/2020	4000	7,942.07	12/08/2020	28,121.50	20,179.43	0.00	Short sale closed
	12/10/2020	4000	14,147.65	12/08/2020	26,154.00	12,006.35	0.00	Short sale closed
	12/10/2020	4150	7,358.64	12/08/2020	24,360.50	17,001.86	0.00	Short sale closed
	12/10/2020	4238	8,481.21	12/08/2020	27,628.76	19,147.55	0.00	Short sale closed
	12/10/2020	4258	11,462.62	12/08/2020	25,641.91	14,179.29	0.00	Short sale closed
	12/10/2020	4502	17,883.49	12/08/2020	20,078.92	2,195.43	0.00	Short sale closed
	12/10/2020	4622	17,406.88	12/08/2020	30,237.24	12,830.36	0.00	Short sale closed
	12/10/2020	4851	12,518.85	12/08/2020	32,523.46	20,004.61	0.00	Short sale closed
	12/10/2020	4930	4,681.05	12/08/2020	34,458.84	29,777.79	0.00	Short sale closed
	12/10/2020	4945	17,513.91	12/08/2020	32,241.40	14,727.49	0.00	Short sale closed
	12/10/2020	4964	16,678.33	12/08/2020	32,534.39	0.00	(15,856.06)	Short sale closed
	12/10/2020	5000	20,551.43	12/08/2020	22,597.50	2,046.07	0.00	Short sale closed
	12/10/2020	5000	19,615.60	12/08/2020	21,597.50	1,981.90	0.00	Short sale closed
	12/10/2020	5000	20,955.42	12/08/2020	22,172.50	1,217.08	0.00	Short sale closed
	12/10/2020	5000	20,186.65	12/08/2020	20,847.50	660.85	0.00	Short sale closed
	12/10/2020	5000	21,200.64	12/08/2020	20,601.50	0.00	599.14	Short sale closed
	12/10/2020	5000	22,382.71	12/08/2020	22,797.50	414.79	0.00	Short sale closed

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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 Box 12: Basis Reported to the IRS Box 5: Box Not Checked Box 6: Net proceeds  
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1a -Symbol   CUSIP   Description of property	1c-Date Sold or Disposed	Quantity	1d - Proceeds	1b - Date Acquired	1e - Cost or Other Basis	1g - Wash Sale Loss Disallowed	Gain or Loss (-)	Additional Notes
CRIS 231269200 CURIS INC COM NEW	12/10/2020	5000	22,342.31	12/08/2020	23,072.50	730.19	0.00	Short sale closed
	12/10/2020	5000	22,172.37	12/08/2020	25,172.50	3,000.13	0.00	Short sale closed
	12/10/2020	5000	12,788.49	12/08/2020	31,020.00	18,231.51	0.00	Short sale closed
	12/10/2020	5000	14,291.03	12/08/2020	31,048.00	16,756.97	0.00	Short sale closed
	12/10/2020	5000	12,740.84	12/08/2020	32,259.97	19,519.13	0.00	Short sale closed
	12/10/2020	5026	13,202.59	12/08/2020	33,217.14	20,014.55	0.00	Short sale closed
	12/10/2020	5100	20,424.48	12/08/2020	21,879.00	1,454.52	0.00	Short sale closed
	12/10/2020	5762	11,683.21	12/08/2020	37,741.10	26,057.89	0.00	Short sale closed
	12/10/2020	5850	9,503.76	12/08/2020	34,073.70	24,569.94	0.00	Short sale closed
	12/10/2020	5871	25,984.81	12/08/2020	27,947.02	1,962.21	0.00	Short sale closed
	12/10/2020	5900	13,382.30	12/08/2020	35,692.05	22,309.75	0.00	Short sale closed
	12/10/2020	5950	20,673.64	12/08/2020	38,734.50	0.00	(18,060.86)	Short sale closed
	12/10/2020	6000	27,010.34	12/08/2020	29,460.00	2,449.66	0.00	Short sale closed
	12/10/2020	6218	10,139.36	12/08/2020	38,240.70	28,101.34	0.00	Short sale closed
	12/10/2020	6241	11,840.05	12/08/2020	42,064.34	30,224.29	0.00	Short sale closed
	12/10/2020	6300	8,263.50	12/08/2020	38,371.25	30,107.75	0.00	Short sale closed
	12/10/2020	6372	17,080.18	12/08/2020	40,459.01	23,378.83	0.00	Short sale closed
	12/10/2020	6695	18,982.31	12/08/2020	40,972.06	21,989.75	0.00	Short sale closed
	12/10/2020	6733	22,926.71	12/08/2020	44,082.42	0.00	(21,155.71)	Short sale closed
	12/10/2020	6853	10,386.37	12/08/2020	41,280.16	30,893.79	0.00	Short sale closed
	12/10/2020	7305	14,238.76	12/08/2020	46,898.10	32,659.34	0.00	Short sale closed
	12/10/2020	7500	31,946.32	12/08/2020	36,408.75	4,462.43	0.00	Short sale closed
	12/10/2020	7500	31,146.95	12/08/2020	40,346.25	9,199.30	0.00	Short sale closed
	12/10/2020	7500	16,557.59	12/08/2020	47,550.00	30,992.41	0.00	Short sale closed
	12/10/2020	7530	4,794.51	12/08/2020	52,704.89	47,910.38	0.00	Short sale closed
	12/10/2020	7540	2,995.89	12/08/2020	53,686.53	50,690.64	0.00	Short sale closed
	12/10/2020	7600	26,410.87	12/08/2020	47,576.00	21,165.13	0.00	Short sale closed
	12/10/2020	7809	23,637.47	12/08/2020	50,602.32	26,964.85	0.00	Short sale closed
	12/10/2020	8443	25,476.64	12/08/2020	53,355.54	27,878.90	0.00	Short sale closed
	12/10/2020	8500	14,342.81	12/08/2020	50,574.99	36,232.18	0.00	Short sale closed
	12/10/2020	8550	15,058.81	12/08/2020	54,460.72	39,401.91	0.00	Short sale closed
	12/10/2020	8600	25,306.04	12/08/2020	52,406.92	27,100.88	0.00	Short sale closed
	12/10/2020	8800	25,116.80	12/08/2020	53,890.70	28,773.90	0.00	Short sale closed
	12/10/2020	9300	25,599.92	12/08/2020	57,226.60	31,626.68	0.00	Short sale closed
	12/10/2020	9404	18,508.65	12/08/2020	58,869.04	40,360.39	0.00	Short sale closed
	12/10/2020	10000	42,753.38	12/08/2020	46,199.50	3,446.12	0.00	Short sale closed
	12/10/2020	10000	43,869.32	12/08/2020	54,195.00	10,325.68	0.00	Short sale closed
	12/10/2020	10000	41,545.40	12/08/2020	54,744.94	13,199.54	0.00	Short sale closed
	12/10/2020	10000	41,631.95	12/08/2020	66,995.00	25,363.05	0.00	Short sale closed
	12/10/2020	10000	29,797.01	12/08/2020	65,202.00	35,404.99	0.00	Short sale closed
	12/10/2020	10000	13,256.04	12/08/2020	62,998.50	49,742.46	0.00	Short sale closed
	12/10/2020	10000	11,336.30	12/08/2020	62,195.00	50,858.70	0.00	Short sale closed
	12/10/2020	10000	15,048.65	12/08/2020	66,036.77	50,988.12	0.00	Short sale closed
	12/10/2020	10000	13,919.25	12/08/2020	65,828.70	51,909.45	0.00	Short sale closed
	12/10/2020	10000	12,997.92	12/08/2020	71,996.50	58,998.58	0.00	Short sale closed
	12/10/2020	10000	5,860.79	12/08/2020	71,847.00	65,986.21	0.00	Short sale closed
	12/10/2020	10000	967.45	12/08/2020	71,195.00	70,227.55	0.00	Short sale closed
	12/10/2020	10000	8,908.67	12/08/2020	70,995.00	62,086.33	0.00	Short sale closed
	12/10/2020	10000	10,515.44	12/08/2020	60,206.37	49,690.93	0.00	Short sale closed
	12/10/2020	10000	14,471.55	12/08/2020	61,195.00	46,723.45	0.00	Short sale closed
	12/10/2020	10000	20,375.70	12/08/2020	65,201.25	44,825.55	0.00	Short sale closed
	12/10/2020	10000	15,893.95	12/08/2020	70,597.00	54,703.05	0.00	Short sale closed
	12/10/2020	10000	12,999.77	12/08/2020	69,195.00	56,195.23	0.00	Short sale closed
		893,618	\$2,356,353.09			\$5,506,921.92	(\$59,930.87)	
CTIB 98873Q100 YUNHONG CTI LTD COM	11/19/2020	2500	5,925.81	11/17/2020	5,956.25	30.44	0.00	Short sale closed
	11/19/2020	2500	6,145.37	11/17/2020	6,398.75	253.38	0.00	Short sale closed

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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 Box 12: Basis Reported to the IRS Box 5: Box Not Checked Box 6: Net proceeds The 1099-B data referenced by a Box Number is reported to the IRS.								
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CTIB 98873Q100 YUNHONG CTI LTD COM	11/19/2020	2500	5,922.43	11/17/2020	6,098.75	176.32	0.00	Short sale closed
	11/19/2020	2500	6,549.48	11/17/2020	6,173.75	0.00	375.73	Short sale closed
	11/19/2020	2500	6,177.85	11/17/2020	6,423.75	245.90	0.00	Short sale closed
	11/19/2020	2500	6,500.80	11/17/2020	6,798.75	297.95	0.00	Short sale closed
	11/19/2020	2500	6,479.90	11/17/2020	6,823.75	343.85	0.00	Short sale closed
	11/19/2020	2500	6,456.94	11/17/2020	6,523.75	66.81	0.00	Short sale closed
	11/19/2020	2500	6,658.99	11/17/2020	6,451.75	0.00	207.24	Short sale closed
	11/19/2020	2500	6,975.79	11/17/2020	6,398.75	0.00	577.04	Short sale closed
	11/19/2020	2500	6,763.30	11/17/2020	6,298.75	0.00	464.55	Short sale closed
	11/19/2020	2500	6,763.30	11/17/2020	6,198.75	0.00	564.55	Short sale closed
	11/19/2020	2500	6,739.55	11/17/2020	6,229.70	0.00	509.85	Short sale closed
		32,500	\$84,059.51		\$82,775.20		\$2,698.96	
CURO 23131L107 CURO GROUP HOLDINGS CORP COM	12/22/2020	1035	20,337.30	12/18/2020	19,789.20	0.00	548.10	Short sale closed
	12/22/2020	1465	28,786.61	12/18/2020	28,301.30	0.00	485.31	Short sale closed
	12/22/2020	2500	33,813.99	12/18/2020	33,822.50	8.51	0.00	Short sale closed
	12/22/2020	2500	47,224.51	12/18/2020	48,447.50	0.00	(1,222.99)	Short sale closed
	12/22/2020	7500	99,700.18	12/18/2020	101,205.08	1,003.27	(501.63)	Short sale closed
		15,000	\$229,862.59		\$231,565.58		(\$691.21)	
CYTH 23254X201 CYCLO THERAPEUTICS INC COM NEW	12/22/2020	40	294.75	12/18/2020	294.88	0.13	0.00	Short sale closed
	12/22/2020	100	774.93	12/18/2020	745.00	0.00	29.93	Short sale closed
	12/22/2020	100	774.93	12/18/2020	765.74	0.00	9.19	Short sale closed
	12/22/2020	110	742.24	12/18/2020	761.28	19.04	0.00	Short sale closed
	12/22/2020	336	2,598.19	12/18/2020	2,523.20	0.00	74.99	Short sale closed
	12/22/2020	410	3,238.81	12/18/2020	2,988.90	0.00	249.91	Short sale closed
	12/22/2020	532	4,463.15	12/18/2020	4,313.27	0.00	149.88	Short sale closed
	12/22/2020	596	4,637.00	12/18/2020	4,361.47	0.00	275.53	Short sale closed
	12/22/2020	754	5,664.95	12/18/2020	5,216.90	0.00	448.05	Short sale closed
	12/22/2020	800	6,010.56	12/18/2020	5,600.00	0.00	410.56	Short sale closed
	12/22/2020	819	5,945.19	12/18/2020	5,912.77	0.00	32.42	Short sale closed
	12/22/2020	902	6,218.26	12/18/2020	6,095.49	0.00	122.77	Short sale closed
	12/22/2020	911	7,044.50	12/18/2020	6,850.26	0.00	194.24	Short sale closed
	12/22/2020	980	7,077.70	12/18/2020	6,961.33	0.00	116.37	Short sale closed
	12/22/2020	1262	9,395.86	12/18/2020	9,540.09	144.23	0.00	Short sale closed
	12/22/2020	1550	11,578.77	12/18/2020	11,714.85	136.08	0.00	Short sale closed
	12/22/2020	1600	12,477.44	12/18/2020	11,680.00	0.00	797.44	Short sale closed
	12/22/2020	1795	12,374.48	12/18/2020	12,205.45	0.00	169.03	Short sale closed
	12/22/2020	1904	14,813.52	12/18/2020	13,937.28	0.00	876.24	Short sale closed
	12/22/2020	1968	16,510.29	12/18/2020	15,999.84	0.00	510.45	Short sale closed
	12/22/2020	2216	16,370.79	12/18/2020	16,663.22	292.43	0.00	Short sale closed
	12/22/2020	2303	15,872.15	12/18/2020	15,458.18	0.00	413.97	Short sale closed
	12/22/2020	2400	18,079.66	12/18/2020	15,724.14	0.00	2,355.52	Short sale closed
	12/22/2020	2500	20,522.21	12/18/2020	20,548.75	26.54	0.00	Short sale closed
	12/22/2020	2500	19,088.33	12/18/2020	18,073.75	0.00	1,014.58	Short sale closed
	12/22/2020	2500	17,454.07	12/18/2020	17,298.75	0.00	155.32	Short sale closed
	12/22/2020	2500	17,461.43	12/18/2020	17,536.25	74.82	0.00	Short sale closed
	12/22/2020	2500	19,459.18	12/18/2020	17,898.75	0.00	1,560.43	Short sale closed
	12/22/2020	2600	19,768.89	12/18/2020	17,056.00	0.00	2,712.89	Short sale closed
	12/22/2020	2700	19,920.61	12/18/2020	19,222.65	0.00	697.96	Short sale closed
	12/22/2020	2990	23,340.88	12/18/2020	21,898.30	0.00	1,442.58	Short sale closed
	12/22/2020	3114	25,528.64	12/18/2020	24,052.02	0.00	1,476.62	Short sale closed
	12/22/2020	3154	21,282.10	12/18/2020	22,075.27	793.17	0.00	Short sale closed
	12/22/2020	3363	26,091.88	12/18/2020	25,335.62	0.00	756.26	Short sale closed
	12/22/2020	3380	25,694.36	12/18/2020	25,111.66	0.00	582.70	Short sale closed
	12/22/2020	3387	25,644.30	12/18/2020	25,807.25	162.95	0.00	Short sale closed
	12/22/2020	3466	25,307.28	12/18/2020	24,364.25	0.00	943.03	Short sale closed

SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

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CYTH 23254X201 CYCLO THERAPEUTICS INC COM NEW								
	12/22/2020	3493	26,140.30	12/18/2020	26,372.15	231.85	0.00	Short sale closed
	12/22/2020	4000	29,254.98	12/18/2020	27,278.00	0.00	1,976.98	Short sale closed
	12/22/2020	4013	31,524.69	12/18/2020	30,423.90	0.00	1,100.79	Short sale closed
	12/22/2020	4050	32,361.59	12/18/2020	30,660.88	0.00	1,700.71	Short sale closed
	12/22/2020	4204	32,601.07	12/18/2020	31,445.92	0.00	1,155.15	Short sale closed
	12/22/2020	4575	32,757.54	12/18/2020	33,534.75	777.21	0.00	Short sale closed
	12/22/2020	4960	36,984.89	12/18/2020	33,976.00	0.00	3,008.89	Short sale closed
	12/22/2020	5000	41,650.56	12/18/2020	40,643.29	0.00	1,007.27	Short sale closed
	12/22/2020	5000	41,793.78	12/18/2020	40,647.50	0.00	1,146.28	Short sale closed
	12/22/2020	5000	40,848.90	12/18/2020	38,669.06	0.00	2,179.84	Short sale closed
	12/22/2020	5000	39,098.57	12/18/2020	36,597.50	0.00	2,501.07	Short sale closed
	12/22/2020	5000	38,255.94	12/18/2020	36,797.50	0.00	1,458.44	Short sale closed
	12/22/2020	5000	38,754.82	12/18/2020	36,499.34	0.00	2,255.48	Short sale closed
	12/22/2020	5000	39,513.71	12/18/2020	36,597.50	0.00	2,916.21	Short sale closed
	12/22/2020	5000	37,850.04	12/18/2020	35,097.50	0.00	2,752.54	Short sale closed
	12/22/2020	5000	38,037.83	12/18/2020	35,097.50	0.00	2,940.33	Short sale closed
	12/22/2020	5000	34,816.03	12/18/2020	35,021.88	205.85	0.00	Short sale closed
	12/22/2020	5000	35,713.27	12/18/2020	35,597.50	0.00	115.77	Short sale closed
	12/22/2020	5000	36,213.60	12/18/2020	35,097.50	0.00	1,116.10	Short sale closed
	12/22/2020	5000	34,781.86	12/18/2020	34,591.45	0.00	190.41	Short sale closed
	12/22/2020	5000	36,401.10	12/18/2020	34,097.50	0.00	2,303.60	Short sale closed
	12/22/2020	5000	36,154.67	12/18/2020	33,598.05	0.00	2,556.62	Short sale closed
	12/22/2020	5000	34,966.02	12/18/2020	37,422.46	2,456.44	0.00	Short sale closed
	12/22/2020	5000	36,385.98	12/18/2020	36,480.22	94.24	0.00	Short sale closed
	12/22/2020	5000	37,144.07	12/18/2020	35,806.40	0.00	1,337.67	Short sale closed
	12/22/2020	5000	37,235.62	12/18/2020	38,097.50	861.88	0.00	Short sale closed
	12/22/2020	5000	38,904.26	12/18/2020	36,097.50	0.00	2,806.76	Short sale closed
	12/22/2020	5425	38,678.86	12/18/2020	39,728.52	1,049.66	0.00	Short sale closed
		199,762	\$1,504,346.83		\$1,454,567.58		\$57,105.77	
DNK 719156101 PHOENIX TREE HLDGS LTD SPONSORED ADS								
	11/20/2020	405	1,755.59	11/18/2020	1,682.53	0.00	73.06	Short sale closed
	11/20/2020	500	1,688.44	11/18/2020	2,104.50	416.06	0.00	Short sale closed
	11/20/2020	700	2,953.81	11/18/2020	2,941.58	0.00	12.23	Short sale closed
	11/20/2020	728	2,825.80	11/18/2020	2,781.04	0.00	44.76	Short sale closed
	11/20/2020	800	2,981.54	11/18/2020	3,287.20	305.66	0.00	Short sale closed
	11/20/2020	920	3,865.38	11/18/2020	3,850.51	0.00	14.87	Short sale closed
	11/20/2020	954	3,788.13	11/18/2020	3,672.90	0.00	115.23	Short sale closed
	11/20/2020	979	4,363.92	11/18/2020	4,282.64	0.00	81.28	Short sale closed
	11/20/2020	1120	4,705.68	11/18/2020	4,726.38	20.70	0.00	Short sale closed
	11/20/2020	1325	4,987.71	11/18/2020	5,086.68	98.97	0.00	Short sale closed
	11/20/2020	1405	4,519.58	11/18/2020	6,224.15	1,704.57	0.00	Short sale closed
	11/20/2020	1521	6,779.90	11/18/2020	6,630.04	0.00	149.86	Short sale closed
	11/20/2020	1585	5,857.97	11/18/2020	7,305.27	1,447.30	0.00	Short sale closed
	11/20/2020	2005	8,691.25	11/18/2020	8,409.73	0.00	281.52	Short sale closed
	11/20/2020	2100	7,880.71	11/18/2020	9,090.90	1,210.19	0.00	Short sale closed
	11/20/2020	2200	8,735.75	11/18/2020	8,838.30	102.55	0.00	Short sale closed
	11/20/2020	2240	8,256.69	11/18/2020	9,542.40	1,285.71	0.00	Short sale closed
	11/20/2020	2365	9,622.17	11/18/2020	10,450.94	828.77	0.00	Short sale closed
	11/20/2020	2500	9,466.97	11/18/2020	10,022.50	555.53	0.00	Short sale closed
	11/20/2020	2500	10,476.96	11/18/2020	11,484.75	1,007.79	0.00	Short sale closed
	11/20/2020	2500	10,293.63	11/18/2020	11,272.50	978.87	0.00	Short sale closed
	11/20/2020	2500	10,705.28	11/18/2020	11,535.88	830.60	0.00	Short sale closed
	11/20/2020	2500	11,646.32	11/18/2020	11,010.78	0.00	635.54	Short sale closed
	11/20/2020	2500	11,270.81	11/18/2020	11,023.05	0.00	247.76	Short sale closed
	11/20/2020	2500	11,204.57	11/18/2020	10,631.25	0.00	573.32	Short sale closed
	11/20/2020	135	550.68	11/18/2020	608.83	58.15	0.00	Short sale closed
	11/20/2020	164	611.21	11/18/2020	678.96	67.75	0.00	Short sale closed

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SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

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1a -Symbol   CUSIP   Description of property	1c-Date Sold or Disposed	Quantity	1d - Proceeds	1b - Date Acquired	1e - Cost or Other Basis	1g - Wash Sale Loss Disallowed	Gain or Loss (-)	Additional Notes
DNKJ719156101 PHOENIX TREE HLDGS LTD SPONSORED ADS	11/20/2020	209	872.71	11/18/2020	882.23	9.52	0.00	Short sale closed
	11/20/2020	250	1,083.69	11/18/2020	1,043.50	0.00	40.19	Short sale closed
	11/20/2020	300	1,260.45	11/18/2020	1,263.00	2.55	0.00	Short sale closed
	11/20/2020	400	1,499.51	11/18/2020	1,741.68	242.17	0.00	Short sale closed
	11/20/2020	5000	15,932.34	11/18/2020	22,095.00	6,162.66	0.00	Short sale closed
	11/20/2020	5000	16,169.57	11/18/2020	21,595.00	5,425.43	0.00	Short sale closed
	11/20/2020	5000	18,726.14	11/18/2020	21,395.00	2,668.86	0.00	Short sale closed
	11/20/2020	5000	18,567.14	11/18/2020	21,095.00	2,527.86	0.00	Short sale closed
	11/20/2020	5000	17,023.16	11/18/2020	19,145.00	2,121.84	0.00	Short sale closed
	11/20/2020	5000	17,905.79	11/18/2020	19,222.50	1,316.71	0.00	Short sale closed
	11/20/2020	5000	21,242.27	11/18/2020	21,108.25	0.00	134.02	Short sale closed
	11/20/2020	5028	19,521.11	11/18/2020	19,455.69	0.00	65.42	Short sale closed
	11/20/2020	5028	19,720.44	11/18/2020	19,052.73	0.00	667.71	Short sale closed
	11/20/2020	5260	19,421.56	11/18/2020	22,381.79	2,960.23	0.00	Short sale closed
	11/20/2020	7500	27,838.89	11/18/2020	31,683.55	3,844.66	0.00	Short sale closed
	11/20/2020	7500	28,480.22	11/18/2020	32,283.75	3,803.53	0.00	Short sale closed
	11/20/2020	7500	28,769.60	11/18/2020	32,616.91	3,847.31	0.00	Short sale closed
	11/20/2020	7500	28,538.92	11/18/2020	32,358.38	3,819.46	0.00	Short sale closed
	11/20/2020	7500	27,419.26	11/18/2020	32,620.44	5,201.18	0.00	Short sale closed
	11/20/2020	7500	26,687.84	11/18/2020	32,617.95	5,930.11	0.00	Short sale closed
	11/20/2020	2500	10,380.37	11/18/2020	10,297.50	0.00	82.87	Short sale closed
	11/20/2020	2500	10,401.97	11/18/2020	10,485.25	83.28	0.00	Short sale closed
	11/20/2020	2500	11,464.82	11/18/2020	11,297.50	0.00	167.32	Short sale closed
	11/20/2020	2500	11,468.81	11/18/2020	11,222.50	0.00	246.31	Short sale closed
	11/20/2020	2788	9,203.21	11/18/2020	12,711.07	3,507.86	0.00	Short sale closed
	11/20/2020	3127	11,557.01	11/18/2020	14,262.32	2,705.31	0.00	Short sale closed
	11/20/2020	3436	12,829.22	11/18/2020	14,259.40	1,430.18	0.00	Short sale closed
	11/20/2020	3500	14,002.77	11/18/2020	14,070.00	67.23	0.00	Short sale closed
	11/20/2020	3595	11,417.25	11/18/2020	15,906.92	4,489.67	0.00	Short sale closed
	11/20/2020	3744	14,540.78	11/18/2020	14,376.96	0.00	163.82	Short sale closed
	11/20/2020	3900	14,535.03	11/18/2020	16,072.80	1,537.77	0.00	Short sale closed
	11/20/2020	4046	15,993.68	11/18/2020	15,515.83	0.00	477.85	Short sale closed
	11/20/2020	4300	18,042.43	11/18/2020	18,098.70	56.27	0.00	Short sale closed
	11/20/2020	4791	20,005.53	11/18/2020	20,189.50	183.97	0.00	Short sale closed
	11/20/2020	5000	21,997.19	11/18/2020	20,595.00	0.00	1,402.19	Short sale closed
	11/20/2020	5000	20,980.00	11/18/2020	20,595.00	0.00	385.00	Short sale closed
	11/20/2020	5000	21,027.74	11/18/2020	21,095.00	67.26	0.00	Short sale closed
	11/20/2020	5000	21,012.79	11/18/2020	20,545.00	0.00	467.79	Short sale closed
	11/20/2020	5000	21,926.60	11/18/2020	22,018.73	92.13	0.00	Short sale closed
	11/20/2020	5000	21,703.91	11/18/2020	22,220.50	516.59	0.00	Short sale closed
	11/20/2020	5000	21,653.87	11/18/2020	20,795.00	0.00	858.87	Short sale closed
	11/20/2020	5000	21,319.38	11/18/2020	20,961.48	0.00	357.90	Short sale closed
	11/20/2020	5000	20,876.44	11/18/2020	21,121.50	245.06	0.00	Short sale closed
	11/20/2020	5000	20,727.95	11/18/2020	21,121.30	393.35	0.00	Short sale closed
	11/20/2020	5000	20,833.66	11/18/2020	21,519.94	686.28	0.00	Short sale closed
	11/20/2020	5000	20,722.60	11/18/2020	23,022.15	2,299.55	0.00	Short sale closed
		245,353	\$967,792.07			\$1,039,210.39	\$7,746.69	
DPWJ26140E600 DIGITAL PWR CORP COM	11/25/2020	1000	4,050.79	11/23/2020	3,944.20	0.00	106.59	Short sale closed
	11/25/2020	5000	30,853.72	11/23/2020	28,595.00	0.00	2,258.72	Short sale closed
	11/27/2020	126	1,155.17	11/24/2020	1,139.04	0.00	16.13	Short sale closed
	11/27/2020	400	3,551.92	11/24/2020	3,356.80	0.00	195.12	Short sale closed
	11/27/2020	575	5,271.57	11/24/2020	5,178.94	0.00	92.63	Short sale closed
	11/27/2020	700	6,143.53	11/24/2020	6,019.30	0.00	124.23	Short sale closed
	11/27/2020	727	4,834.72	11/24/2020	4,644.81	0.00	189.91	Short sale closed
	11/27/2020	820	6,597.71	11/24/2020	6,098.30	0.00	499.41	Short sale closed
	11/27/2020	1250	11,221.11	11/24/2020	11,290.87	69.76	0.00	Short sale closed

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SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

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DPW 26140E600 DIGITAL PWR CORP COM	11/27/2020	1680	13,517.25	11/24/2020	12,516.00	0.00	1,001.25	Short sale closed
	11/27/2020	1773	11,798.85	11/24/2020	11,462.06	0.00	336.79	Short sale closed
	11/27/2020	1799	16,493.15	11/24/2020	16,244.97	0.00	248.18	Short sale closed
	11/27/2020	2500	22,487.95	11/24/2020	22,511.25	23.30	0.00	Short sale closed
	11/27/2020	2500	22,027.68	11/24/2020	22,572.50	544.82	0.00	Short sale closed
	11/27/2020	2500	23,564.32	11/24/2020	25,301.91	1,737.59	0.00	Short sale closed
	11/27/2020	2500	23,785.44	11/24/2020	25,297.50	1,512.06	0.00	Short sale closed
	11/27/2020	2500	25,328.16	11/24/2020	25,297.50	0.00	30.66	Short sale closed
	11/27/2020	2500	25,390.32	11/24/2020	25,047.50	0.00	342.82	Short sale closed
	11/27/2020	2500	21,399.22	11/24/2020	21,297.50	0.00	101.72	Short sale closed
	11/27/2020	2500	20,700.71	11/24/2020	20,761.25	60.54	0.00	Short sale closed
	11/27/2020	2500	19,926.75	11/24/2020	19,322.50	0.00	604.25	Short sale closed
	11/27/2020	2500	20,326.75	11/24/2020	19,047.50	0.00	1,279.25	Short sale closed
	11/27/2020	2500	20,263.24	11/24/2020	18,797.50	0.00	1,465.74	Short sale closed
	11/27/2020	2500	20,114.96	11/24/2020	18,547.50	0.00	1,567.46	Short sale closed
	11/27/2020	2500	18,014.19	11/24/2020	18,214.25	200.06	0.00	Short sale closed
	11/27/2020	4600	40,650.87	11/24/2020	38,604.21	0.00	2,046.66	Short sale closed
	11/27/2020	5000	41,903.47	11/24/2020	43,595.00	1,691.53	0.00	Short sale closed
	11/27/2020	5000	41,196.91	11/24/2020	43,095.00	1,898.09	0.00	Short sale closed
	11/27/2020	5000	42,105.34	11/24/2020	42,595.00	489.66	0.00	Short sale closed
	11/27/2020	5000	44,338.75	11/24/2020	41,595.00	0.00	2,743.75	Short sale closed
		72,950	\$609,014.52		\$601,990.66		\$15,251.27	
DTEA 238661102 DAVIDSTEAM INC COM	12/18/2020	400	1,161.10	12/16/2020	1,108.00	0.00	53.10	Short sale closed
	12/18/2020	2100	6,078.94	12/16/2020	5,796.75	0.00	282.19	Short sale closed
	12/18/2020	2151	6,195.56	12/16/2020	5,958.27	0.00	237.29	Short sale closed
	12/18/2020	2500	7,200.79	12/16/2020	6,923.75	0.00	277.04	Short sale closed
	12/18/2020	349	1,005.23	12/16/2020	948.03	0.00	57.20	Short sale closed
		7,500	\$21,641.62		\$20,734.80		\$906.82	
EARS G07025201 AURIS MEDICAL HOLDING LTD SHS	12/03/2020	111	408.78	12/01/2020	375.18	0.00	33.60	Short sale closed
	12/03/2020	128	742.71	12/01/2020	706.56	0.00	36.15	Short sale closed
	12/03/2020	320	1,590.14	12/01/2020	1,875.04	284.90	0.00	Short sale closed
	12/03/2020	347	1,056.75	12/01/2020	1,009.77	0.00	46.98	Short sale closed
	12/03/2020	365	1,476.53	12/01/2020	1,697.06	220.53	0.00	Short sale closed
	12/03/2020	400	1,598.86	12/01/2020	1,883.80	284.94	0.00	Short sale closed
	12/03/2020	500	2,870.31	12/01/2020	2,835.00	0.00	35.31	Short sale closed
	12/03/2020	500	2,890.13	12/01/2020	2,747.50	0.00	142.63	Short sale closed
	12/03/2020	582	1,263.13	12/01/2020	1,274.29	11.16	0.00	Short sale closed
	12/03/2020	600	3,565.08	12/01/2020	3,595.62	30.54	0.00	Short sale closed
	12/03/2020	600	3,474.15	12/01/2020	3,180.00	0.00	294.15	Short sale closed
	12/03/2020	700	1,581.42	12/01/2020	1,510.75	0.00	70.67	Short sale closed
	12/03/2020	700	2,572.44	12/01/2020	2,559.50	0.00	12.94	Short sale closed
	12/03/2020	800	2,541.09	12/01/2020	2,335.60	0.00	205.49	Short sale closed
	12/03/2020	800	3,285.16	12/01/2020	3,455.60	170.44	0.00	Short sale closed
	12/03/2020	800	4,183.50	12/01/2020	4,525.50	342.00	0.00	Short sale closed
	12/03/2020	889	4,548.49	12/01/2020	5,079.75	531.26	0.00	Short sale closed
	12/03/2020	898	2,564.80	12/01/2020	2,702.53	137.73	0.00	Short sale closed
	12/03/2020	1000	3,045.38	12/01/2020	2,930.00	0.00	115.38	Short sale closed
	12/03/2020	1153	3,464.91	12/01/2020	3,367.01	0.00	97.90	Short sale closed
	12/03/2020	1249	6,484.81	12/01/2020	7,456.65	971.84	0.00	Short sale closed
	12/03/2020	1250	2,797.38	12/01/2020	2,636.87	0.00	160.51	Short sale closed
	12/03/2020	1250	2,781.80	12/01/2020	2,668.08	0.00	113.72	Short sale closed
	12/03/2020	1400	8,106.35	12/01/2020	7,368.39	0.00	737.96	Short sale closed
	12/03/2020	1418	6,509.02	12/01/2020	6,564.63	55.61	0.00	Short sale closed
	12/03/2020	1497	7,235.34	12/01/2020	7,214.79	0.00	20.55	Short sale closed
	12/03/2020	1500	7,138.24	12/01/2020	7,514.25	376.01	0.00	Short sale closed

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SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

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EARS[G07025201 AURIS MEDICAL HOLDING LTD SHS	12/03/2020	1652	8,209.09	12/01/2020	9,613.81	1,404.72	0.00	Short sale closed
	12/03/2020	1800	3,947.45	12/01/2020	3,906.00	0.00	41.45	Short sale closed
	12/03/2020	1820	10,538.26	12/01/2020	9,627.80	0.00	910.46	Short sale closed
	12/03/2020	1902	11,108.09	12/01/2020	10,841.40	0.00	266.69	Short sale closed
	12/03/2020	1957	8,078.30	12/01/2020	10,391.67	2,313.37	0.00	Short sale closed
	12/03/2020	2500	5,361.57	12/01/2020	5,473.75	112.18	0.00	Short sale closed
	12/03/2020	2500	5,574.50	12/01/2020	5,460.54	0.00	113.96	Short sale closed
	12/03/2020	2500	6,389.75	12/01/2020	6,298.75	0.00	91.00	Short sale closed
	12/03/2020	2500	7,460.53	12/01/2020	7,573.75	113.22	0.00	Short sale closed
	12/03/2020	2500	7,095.39	12/01/2020	7,298.75	203.36	0.00	Short sale closed
	12/03/2020	2500	7,827.99	12/01/2020	7,148.75	0.00	679.24	Short sale closed
	12/03/2020	2500	7,436.41	12/01/2020	7,523.75	87.34	0.00	Short sale closed
	12/03/2020	2500	9,375.74	12/01/2020	9,548.75	173.01	0.00	Short sale closed
	12/03/2020	2500	9,349.61	12/01/2020	9,298.75	0.00	50.86	Short sale closed
	12/03/2020	2500	9,081.21	12/01/2020	9,323.75	242.54	0.00	Short sale closed
	12/03/2020	2500	11,390.35	12/01/2020	12,523.75	1,133.40	0.00	Short sale closed
	12/03/2020	2500	12,480.92	12/01/2020	11,935.00	0.00	545.92	Short sale closed
	12/03/2020	2500	11,098.93	12/01/2020	11,548.75	449.82	0.00	Short sale closed
	12/03/2020	2500	10,633.80	12/01/2020	12,298.75	1,664.95	0.00	Short sale closed
	12/03/2020	2911	10,999.75	12/01/2020	9,663.01	0.00	1,336.74	Short sale closed
	12/03/2020	3000	10,849.07	12/01/2020	10,528.50	0.00	320.57	Short sale closed
	12/03/2020	7200	36,717.39	12/01/2020	45,344.00	8,626.61	0.00	Short sale closed
	12/03/2020	7200	36,726.21	12/01/2020	45,634.85	8,908.64	0.00	Short sale closed
	12/03/2020	7500	40,018.07	12/01/2020	41,846.25	1,828.18	0.00	Short sale closed
	12/03/2020	7500	40,213.41	12/01/2020	45,002.87	4,789.46	0.00	Short sale closed
	12/03/2020	7500	38,899.34	12/01/2020	45,821.25	6,921.91	0.00	Short sale closed
	12/03/2020	7500	40,602.31	12/01/2020	41,960.54	1,358.23	0.00	Short sale closed
	12/03/2020	7598	43,596.21	12/01/2020	43,077.28	0.00	518.93	Short sale closed
	12/03/2020	8043	33,027.10	12/01/2020	42,622.90	9,595.80	0.00	Short sale closed
	12/03/2020	8151	47,175.24	12/01/2020	48,987.51	1,812.27	0.00	Short sale closed
	12/03/2020	8600	33,933.37	12/01/2020	44,887.70	10,954.33	0.00	Short sale closed
	12/03/2020	9200	48,380.73	12/01/2020	52,072.00	3,691.27	0.00	Short sale closed
	12/03/2020	10000	40,816.90	12/01/2020	44,195.00	3,378.10	0.00	Short sale closed
	12/03/2020	10000	44,323.29	12/01/2020	52,195.00	7,871.71	0.00	Short sale closed
	12/03/2020	10000	40,531.18	12/01/2020	54,195.00	13,663.82	0.00	Short sale closed
	12/03/2020	10000	42,783.39	12/01/2020	50,195.00	7,411.61	0.00	Short sale closed
	12/03/2020	10000	48,472.27	12/01/2020	48,195.00	0.00	277.27	Short sale closed
	12/03/2020	10000	47,144.37	12/01/2020	51,295.00	4,150.63	0.00	Short sale closed
	12/03/2020	10000	49,783.25	12/01/2020	50,195.00	411.75	0.00	Short sale closed
	12/03/2020	10000	53,877.56	12/01/2020	60,045.00	6,167.44	0.00	Short sale closed
	12/03/2020	10000	51,023.10	12/01/2020	60,045.00	9,021.90	0.00	Short sale closed
	12/03/2020	10000	49,376.16	12/01/2020	60,195.00	10,818.84	0.00	Short sale closed
	12/03/2020	10000	48,613.70	12/01/2020	58,195.00	9,581.30	0.00	Short sale closed
	12/03/2020	10000	49,986.23	12/01/2020	58,595.00	8,608.77	0.00	Short sale closed
	12/03/2020	10000	58,346.64	12/01/2020	54,995.00	0.00	3,351.64	Short sale closed
	12/03/2020	10000	58,422.39	12/01/2020	56,200.50	0.00	2,221.89	Short sale closed
	12/03/2020	10000	58,365.10	12/01/2020	55,095.00	0.00	3,270.10	Short sale closed
	12/03/2020	5000	25,509.28	12/01/2020	24,918.75	0.00	590.53	Short sale closed
	12/03/2020	5000	24,170.78	12/01/2020	24,597.50	426.72	0.00	Short sale closed
	12/03/2020	5000	24,285.00	12/01/2020	24,097.50	0.00	187.50	Short sale closed
	12/03/2020	5000	22,041.90	12/01/2020	21,097.50	0.00	944.40	Short sale closed
	12/03/2020	5000	21,712.10	12/01/2020	20,849.55	0.00	862.55	Short sale closed
	12/03/2020	5000	22,861.21	12/01/2020	25,097.50	2,236.29	0.00	Short sale closed
	12/03/2020	5000	25,837.52	12/01/2020	25,097.50	0.00	740.02	Short sale closed
	12/03/2020	5000	25,945.20	12/01/2020	24,860.06	0.00	1,085.14	Short sale closed
	12/03/2020	5000	22,758.35	12/01/2020	23,797.72	1,039.37	0.00	Short sale closed
	12/03/2020	5000	24,285.40	12/01/2020	23,947.50	0.00	337.90	Short sale closed
	12/03/2020	5000	23,263.53	12/01/2020	25,097.50	1,833.97	0.00	Short sale closed

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EARS[G07025201 AURIS MEDICAL HOLDING LTD SHS	12/03/2020	5000	26,241.68	12/01/2020	30,045.00	3,803.32	0.00	Short sale closed
	12/03/2020	5000	26,236.61	12/01/2020	29,597.50	3,360.89	0.00	Short sale closed
	12/03/2020	5000	30,295.72	12/01/2020	27,549.50	0.00	2,746.22	Short sale closed
	12/03/2020	5000	28,534.44	12/01/2020	26,147.50	0.00	2,386.94	Short sale closed
	12/03/2020	5000	25,778.28	12/01/2020	28,097.50	2,319.22	0.00	Short sale closed
	12/03/2020	5000	28,901.26	12/01/2020	28,097.50	0.00	803.76	Short sale closed
	12/03/2020	5000	28,759.11	12/01/2020	27,897.50	0.00	861.61	Short sale closed
	12/03/2020	5000	28,520.27	12/01/2020	26,697.50	0.00	1,822.77	Short sale closed
	12/03/2020	5000	28,951.26	12/01/2020	26,363.74	0.00	2,587.52	Short sale closed
	12/03/2020	5000	28,951.27	12/01/2020	27,597.50	0.00	1,353.77	Short sale closed
	12/03/2020	5000	27,446.79	12/01/2020	27,819.84	373.05	0.00	Short sale closed
	12/03/2020	5700	28,539.70	12/01/2020	28,611.15	71.45	0.00	Short sale closed
	12/03/2020	6000	35,065.75	12/01/2020	32,703.75	0.00	2,362.00	Short sale closed
	12/03/2020	6400	31,126.19	12/01/2020	37,884.80	6,758.61	0.00	Short sale closed
	12/03/2020	7100	29,144.38	12/01/2020	33,368.80	4,224.42	0.00	Short sale closed
	12/03/2020	3200	10,164.34	12/01/2020	9,982.40	0.00	181.94	Short sale closed
	12/03/2020	3631	21,701.07	12/01/2020	18,588.90	0.00	3,112.17	Short sale closed
	12/03/2020	3872	22,467.05	12/01/2020	21,218.56	0.00	1,248.49	Short sale closed
	12/03/2020	3978	14,369.74	12/01/2020	14,000.57	0.00	369.17	Short sale closed
	12/03/2020	4123	16,328.29	12/01/2020	16,531.17	202.88	0.00	Short sale closed
	12/03/2020	4300	15,802.14	12/01/2020	15,308.00	0.00	494.14	Short sale closed
	12/03/2020	4500	26,011.14	12/01/2020	24,975.00	0.00	1,036.14	Short sale closed
	12/03/2020	4590	21,479.34	12/01/2020	23,002.76	1,523.42	0.00	Short sale closed
	12/03/2020	4635	18,074.93	12/01/2020	21,411.39	3,336.46	0.00	Short sale closed
	12/03/2020	5000	13,751.59	12/01/2020	14,097.50	345.91	0.00	Short sale closed
	12/03/2020	5000	14,975.40	12/01/2020	15,597.50	622.10	0.00	Short sale closed
	12/03/2020	5000	15,079.14	12/01/2020	15,098.90	19.76	0.00	Short sale closed
	12/03/2020	5000	15,676.54	12/01/2020	17,597.50	1,920.96	0.00	Short sale closed
	12/03/2020	5000	16,366.58	12/01/2020	17,597.50	1,230.92	0.00	Short sale closed
	12/03/2020	5000	16,770.59	12/01/2020	17,097.50	326.91	0.00	Short sale closed
	12/03/2020	5000	17,468.36	12/01/2020	17,597.50	129.14	0.00	Short sale closed
	12/03/2020	5000	18,267.40	12/01/2020	17,097.50	0.00	1,169.90	Short sale closed
	12/03/2020	5000	19,508.45	12/01/2020	20,547.50	1,039.05	0.00	Short sale closed
	12/03/2020	5000	19,909.45	12/01/2020	20,597.50	688.05	0.00	Short sale closed
	12/03/2020	5000	19,431.75	12/01/2020	20,097.50	665.75	0.00	Short sale closed
	12/03/2020	5000	20,221.18	12/01/2020	19,097.50	0.00	1,123.68	Short sale closed
	12/03/2020	5000	20,063.40	12/01/2020	22,547.50	2,484.10	0.00	Short sale closed
	12/03/2020	5000	27,727.18	12/01/2020	23,597.50	0.00	4,129.68	Short sale closed
	12/03/2020	5000	26,293.59	12/01/2020	23,097.50	0.00	3,196.09	Short sale closed
	12/03/2020	5000	24,851.36	12/01/2020	25,097.50	246.14	0.00	Short sale closed
		559,820	\$2,623,141.30			\$2,763,402.91	\$51,854.69	
EDRY[Y23508107 EURODRY LTD COM	11/16/2020	100	1,058.08	11/12/2020	914.54	0.00	143.54	Short sale closed
	11/16/2020	400	4,232.33	11/12/2020	3,727.65	0.00	504.68	Short sale closed
	11/16/2020	500	5,146.36	11/12/2020	4,909.50	0.00	236.86	Short sale closed
	11/16/2020	800	8,320.61	11/12/2020	7,535.05	0.00	785.56	Short sale closed
			1,800	\$18,757.38			\$17,086.74	\$1,670.64
ELYS[290734102 ELYS GAME TECHNOLOGY CORP COM	12/24/2020	850	6,073.43	12/22/2020	5,957.48	0.00	115.95	Short sale closed
	12/24/2020	1000	6,490.29	12/22/2020	6,408.80	0.00	81.49	Short sale closed
	12/24/2020	1610	10,579.20	12/22/2020	10,261.50	0.00	317.70	Short sale closed
	12/24/2020	1717	11,163.80	12/22/2020	11,021.08	0.00	142.72	Short sale closed
	12/24/2020	2500	17,925.74	12/22/2020	17,547.00	0.00	378.74	Short sale closed
			7,677	\$52,232.46			\$51,195.86	\$1,036.60
EVK[299766204 EVER-GLORY INTL GROUP INC COM NEW	12/03/2020	1257	4,883.81	12/03/2020	4,889.10	5.29	0.00	Sale
	12/07/2020	15	105.46	12/03/2020	106.40	0.94	0.00	Short sale closed

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SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

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EVKJ299766204 EVER-GLORY INTL GROUP INC COM NEW	12/07/2020	28	192.51	12/03/2020	199.08	6.57	0.00	Short sale closed
	12/07/2020	30	184.37	12/03/2020	227.31	42.94	0.00	Short sale closed
	12/07/2020	75	364.89	12/03/2020	525.41	160.52	0.00	Short sale closed
	12/07/2020	100	687.53	12/03/2020	711.10	23.57	0.00	Short sale closed
	12/07/2020	100	717.92	12/03/2020	689.10	0.00	28.82	Short sale closed
	12/07/2020	128	705.08	12/03/2020	1,026.62	321.54	0.00	Short sale closed
	12/07/2020	252	1,561.54	12/03/2020	1,885.97	324.43	0.00	Short sale closed
	12/07/2020	269	973.34	12/03/2020	2,060.41	1,087.07	0.00	Short sale closed
	12/07/2020	269	1,149.09	12/03/2020	1,905.60	756.51	0.00	Short sale closed
	12/07/2020	286	1,438.52	12/03/2020	1,770.34	331.82	0.00	Short sale closed
	12/07/2020	353	2,055.13	12/03/2020	2,548.48	493.35	0.00	Short sale closed
	12/07/2020	410	2,491.67	12/03/2020	2,578.90	87.23	0.00	Short sale closed
	12/07/2020	599	2,914.20	12/03/2020	4,216.96	1,302.76	0.00	Short sale closed
	12/07/2020	700	4,499.09	12/03/2020	4,326.38	0.00	172.71	Short sale closed
	12/07/2020	700	3,791.61	12/03/2020	4,423.65	632.04	0.00	Short sale closed
	12/07/2020	717	3,537.39	12/03/2020	4,376.93	839.54	0.00	Short sale closed
	12/07/2020	738	4,302.95	12/03/2020	5,623.19	1,320.24	0.00	Short sale closed
	12/07/2020	797	4,162.64	12/03/2020	4,796.69	634.05	0.00	Short sale closed
	12/07/2020	830	4,077.56	12/03/2020	4,921.48	843.92	0.00	Short sale closed
	12/07/2020	900	4,378.60	12/03/2020	6,318.00	1,939.40	0.00	Short sale closed
	12/07/2020	924	6,196.17	12/03/2020	6,569.17	373.00	0.00	Short sale closed
	12/07/2020	1000	6,011.94	12/03/2020	7,259.50	1,247.56	0.00	Short sale closed
	12/07/2020	1049	4,790.94	12/03/2020	7,352.97	2,562.03	0.00	Short sale closed
	12/07/2020	1148	6,775.49	12/03/2020	6,324.91	0.00	450.58	Short sale closed
	12/07/2020	1152	6,345.73	12/03/2020	9,335.12	2,989.39	0.00	Short sale closed
	12/07/2020	1154	6,892.51	12/03/2020	7,304.24	411.73	0.00	Short sale closed
	12/07/2020	1250	6,721.99	12/03/2020	6,461.87	0.00	260.12	Short sale closed
	12/07/2020	1250	6,721.98	12/03/2020	6,443.13	0.00	278.85	Short sale closed
	12/07/2020	1580	9,342.53	12/03/2020	9,669.31	326.78	0.00	Short sale closed
	12/07/2020	1588	9,372.37	12/03/2020	8,772.91	0.00	599.46	Short sale closed
	12/07/2020	1600	7,425.46	12/03/2020	8,349.50	924.04	0.00	Short sale closed
	12/07/2020	1605	10,701.73	12/03/2020	11,831.07	1,129.34	0.00	Short sale closed
	12/07/2020	1703	8,893.60	12/03/2020	10,337.21	1,443.61	0.00	Short sale closed
	12/07/2020	1752	10,199.96	12/03/2020	12,473.36	2,273.40	0.00	Short sale closed
	12/07/2020	1755	11,279.85	12/03/2020	10,818.69	0.00	461.16	Short sale closed
	12/07/2020	1763	11,200.60	12/03/2020	12,111.81	911.21	0.00	Short sale closed
	12/07/2020	1897	13,998.40	12/03/2020	13,114.35	0.00	884.05	Short sale closed
	12/07/2020	2090	13,086.92	12/03/2020	15,922.90	2,835.98	0.00	Short sale closed
	12/07/2020	2500	12,982.28	12/03/2020	12,723.75	0.00	258.53	Short sale closed
	12/07/2020	2500	13,080.22	12/03/2020	12,573.75	0.00	506.47	Short sale closed
	12/07/2020	2501	12,423.54	12/03/2020	15,054.77	2,631.23	0.00	Short sale closed
	12/07/2020	2545	16,315.01	12/03/2020	15,779.00	0.00	536.01	Short sale closed
	12/07/2020	2556	18,337.97	12/03/2020	18,247.34	0.00	90.63	Short sale closed
	12/07/2020	2710	16,481.64	12/03/2020	16,963.94	482.30	0.00	Short sale closed
	12/07/2020	2750	14,977.99	12/03/2020	20,047.50	5,069.51	0.00	Short sale closed
	12/07/2020	3103	22,897.74	12/03/2020	21,114.34	0.00	1,783.40	Short sale closed
	12/07/2020	3115	19,415.62	12/03/2020	22,643.32	3,227.70	0.00	Short sale closed
	12/07/2020	3237	20,565.15	12/03/2020	21,855.18	1,290.03	0.00	Short sale closed
	12/07/2020	3400	16,042.21	12/03/2020	17,884.00	1,841.79	0.00	Short sale closed
	12/07/2020	3650	15,246.97	12/03/2020	27,774.67	12,527.70	0.00	Short sale closed
	12/07/2020	3718	22,881.92	12/03/2020	28,368.34	5,486.42	0.00	Short sale closed
	12/07/2020	4074	23,113.63	12/03/2020	30,961.64	7,848.01	0.00	Short sale closed
	12/07/2020	4126	20,666.74	12/03/2020	24,838.44	4,171.70	0.00	Short sale closed
	12/07/2020	4162	24,720.62	12/03/2020	31,464.72	6,744.10	0.00	Short sale closed
	12/07/2020	4367	21,205.12	12/03/2020	30,787.35	9,582.23	0.00	Short sale closed
	12/07/2020	4714	23,592.09	12/03/2020	29,044.93	5,452.84	0.00	Short sale closed
	12/07/2020	4733	23,026.55	12/03/2020	33,173.33	10,146.78	0.00	Short sale closed
	12/07/2020	4900	36,265.03	12/03/2020	33,415.55	0.00	2,849.48	Short sale closed

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SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

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EVKJ299766204 EVER-GLORY INTL GROUP INC COM NEW	12/07/2020	4972	33,435.45	12/03/2020	35,348.42	1,912.97	0.00	Short sale closed
	12/07/2020	4985	35,045.78	12/03/2020	36,390.50	1,344.72	0.00	Short sale closed
	12/07/2020	5000	22,957.08	12/03/2020	26,603.83	3,646.75	0.00	Short sale closed
	12/07/2020	5000	24,795.60	12/03/2020	30,097.78	5,302.18	0.00	Short sale closed
	12/07/2020	5000	25,387.10	12/03/2020	31,447.50	6,060.40	0.00	Short sale closed
	12/07/2020	2200	14,752.77	12/03/2020	15,574.90	822.13	0.00	Short sale closed
	12/07/2020	2250	12,231.36	12/03/2020	16,355.00	4,123.64	0.00	Short sale closed
	12/07/2020	2264	13,362.13	12/03/2020	12,360.30	0.00	1,001.83	Short sale closed
	12/07/2020	2300	14,022.92	12/03/2020	14,490.00	467.08	0.00	Short sale closed
	12/07/2020	2336	15,756.61	12/03/2020	16,959.36	1,202.75	0.00	Short sale closed
	12/07/2020	2374	14,794.71	12/03/2020	17,570.02	2,775.31	0.00	Short sale closed
	12/07/2020	2444	17,301.99	12/03/2020	17,499.04	197.05	0.00	Short sale closed
	12/07/2020	2500	11,320.00	12/03/2020	13,300.75	1,980.75	0.00	Short sale closed
	12/07/2020	2500	12,473.90	12/03/2020	15,549.24	3,075.34	0.00	Short sale closed
	12/07/2020	2500	13,033.14	12/03/2020	15,373.75	2,340.61	0.00	Short sale closed
	12/07/2020	2500	14,816.74	12/03/2020	15,386.25	569.51	0.00	Short sale closed
	12/07/2020	2500	14,890.56	12/03/2020	15,136.25	245.69	0.00	Short sale closed
	12/07/2020	2500	15,280.57	12/03/2020	15,909.21	628.64	0.00	Short sale closed
	12/07/2020	2500	15,156.60	12/03/2020	16,099.55	942.95	0.00	Short sale closed
	12/07/2020	2500	15,064.97	12/03/2020	16,073.75	1,008.78	0.00	Short sale closed
	12/07/2020	2500	14,745.75	12/03/2020	15,824.07	1,078.32	0.00	Short sale closed
	12/07/2020	2500	15,444.17	12/03/2020	15,501.60	57.43	0.00	Short sale closed
	12/07/2020	2500	15,469.94	12/03/2020	15,548.75	78.81	0.00	Short sale closed
	12/07/2020	2500	14,890.03	12/03/2020	13,898.75	0.00	991.28	Short sale closed
	12/07/2020	2500	14,685.60	12/03/2020	13,548.75	0.00	1,136.85	Short sale closed
	12/07/2020	2500	12,097.32	12/03/2020	13,173.75	1,076.43	0.00	Short sale closed
	12/07/2020	2500	12,348.27	12/03/2020	12,873.75	525.48	0.00	Short sale closed
	12/07/2020	2500	12,744.57	12/03/2020	13,048.75	304.18	0.00	Short sale closed
	12/07/2020	2500	12,381.22	12/03/2020	12,673.75	292.53	0.00	Short sale closed
	12/07/2020	2500	12,080.61	12/03/2020	12,798.75	718.14	0.00	Short sale closed
	12/07/2020	10000	51,357.24	12/03/2020	68,240.00	16,882.76	0.00	Short sale closed
	12/07/2020	10000	57,738.32	12/03/2020	68,195.00	10,456.68	0.00	Short sale closed
	12/07/2020	10000	58,714.31	12/03/2020	81,332.00	22,617.69	0.00	Short sale closed
	12/07/2020	10000	52,070.22	12/03/2020	76,195.00	24,124.78	0.00	Short sale closed
	12/07/2020	10000	53,695.67	12/03/2020	72,095.00	18,399.33	0.00	Short sale closed
	12/07/2020	5000	25,005.08	12/03/2020	29,598.05	4,592.97	0.00	Short sale closed
	12/07/2020	5000	26,061.28	12/03/2020	29,098.00	3,036.72	0.00	Short sale closed
	12/07/2020	5000	27,824.00	12/03/2020	29,172.50	1,348.50	0.00	Short sale closed
	12/07/2020	5000	29,725.40	12/03/2020	31,098.00	1,372.60	0.00	Short sale closed
	12/07/2020	5000	29,888.51	12/03/2020	28,097.50	0.00	1,791.01	Short sale closed
	12/07/2020	5000	28,660.20	12/03/2020	26,347.50	0.00	2,312.70	Short sale closed
	12/07/2020	5000	23,460.87	12/03/2020	25,597.50	2,136.63	0.00	Short sale closed
	12/07/2020	5000	26,026.33	12/03/2020	26,097.50	71.17	0.00	Short sale closed
	12/07/2020	5000	22,859.66	12/03/2020	25,597.50	2,737.84	0.00	Short sale closed
	12/07/2020	5000	26,017.45	12/03/2020	26,097.50	80.05	0.00	Short sale closed
	12/07/2020	5000	25,406.64	12/03/2020	26,097.50	690.86	0.00	Short sale closed
	12/07/2020	5000	26,676.01	12/03/2020	27,522.45	846.44	0.00	Short sale closed
	12/07/2020	5000	27,400.93	12/03/2020	30,047.50	2,646.57	0.00	Short sale closed
	12/07/2020	5000	27,350.85	12/03/2020	32,797.50	5,446.65	0.00	Short sale closed
	12/07/2020	5000	27,086.12	12/03/2020	34,597.50	7,511.38	0.00	Short sale closed
	12/07/2020	5000	23,586.77	12/03/2020	32,597.50	9,010.73	0.00	Short sale closed
	12/07/2020	5000	23,867.72	12/03/2020	32,097.50	8,229.78	0.00	Short sale closed
	12/07/2020	5000	28,299.25	12/03/2020	36,247.50	7,948.25	0.00	Short sale closed
	12/07/2020	5000	26,875.34	12/03/2020	36,197.50	9,322.16	0.00	Short sale closed
	12/07/2020	5000	27,537.73	12/03/2020	34,597.50	7,059.77	0.00	Short sale closed
	12/07/2020	5000	28,085.47	12/03/2020	36,369.50	8,284.03	0.00	Short sale closed
	12/07/2020	5000	30,333.73	12/03/2020	36,385.10	6,051.37	0.00	Short sale closed
	12/07/2020	5000	29,797.45	12/03/2020	34,097.50	4,300.05	0.00	Short sale closed

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EVKJ299766204 EVER-GLORY INTL GROUP INC COM NEW	12/07/2020	5000	31,049.18	12/03/2020	33,997.50	2,948.32	0.00	Short sale closed
	12/07/2020	5000	33,937.17	12/03/2020	34,285.48	348.31	0.00	Short sale closed
	12/07/2020	5000	32,802.16	12/03/2020	35,870.00	3,067.84	0.00	Short sale closed
	12/07/2020	5000	34,655.08	12/03/2020	35,870.00	1,214.92	0.00	Short sale closed
	12/07/2020	5000	31,956.28	12/03/2020	35,972.50	4,016.22	0.00	Short sale closed
	12/07/2020	5000	32,854.54	12/03/2020	37,122.50	4,267.96	0.00	Short sale closed
	12/07/2020	5000	34,855.21	12/03/2020	36,097.50	1,242.29	0.00	Short sale closed
	12/07/2020	5000	35,122.57	12/03/2020	36,697.50	1,574.93	0.00	Short sale closed
	12/07/2020	5000	35,522.69	12/03/2020	36,147.50	624.81	0.00	Short sale closed
	12/07/2020	5000	35,761.90	12/03/2020	34,470.00	0.00	1,291.90	Short sale closed
	12/07/2020	5000	37,786.79	12/03/2020	33,097.50	0.00	4,689.29	Short sale closed
	12/07/2020	5000	29,451.25	12/03/2020	28,597.50	0.00	853.75	Short sale closed
	12/07/2020	5000	29,646.79	12/03/2020	28,097.50	0.00	1,549.29	Short sale closed
	12/07/2020	5051	23,387.68	12/03/2020	35,404.98	12,017.30	0.00	Short sale closed
	12/07/2020	5926	34,036.86	12/03/2020	44,928.03	10,891.17	0.00	Short sale closed
	12/07/2020	6789	40,815.00	12/03/2020	49,013.19	8,198.19	0.00	Short sale closed
	12/07/2020	7019	39,831.64	12/03/2020	53,483.90	13,652.26	0.00	Short sale closed
	12/07/2020	7895	46,159.42	12/03/2020	56,832.58	10,673.16	0.00	Short sale closed
	12/07/2020	8720	48,078.45	12/03/2020	70,540.44	22,461.99	0.00	Short sale closed
	12/07/2020	9731	35,339.72	12/03/2020	73,172.25	37,832.53	0.00	Short sale closed
	12/07/2020	9731	41,724.93	12/03/2020	70,782.27	29,057.34	0.00	Short sale closed
	12/07/2020	10000	52,408.30	12/03/2020	71,539.17	19,130.87	0.00	Short sale closed
	12/07/2020	10000	48,305.80	12/03/2020	77,998.50	29,692.70	0.00	Short sale closed
	12/07/2020	10000	42,614.68	12/03/2020	80,133.36	37,518.68	0.00	Short sale closed
	12/07/2020	10000	37,758.55	12/03/2020	72,195.00	34,436.45	0.00	Short sale closed
	12/07/2020	10000	47,388.78	12/03/2020	69,195.00	21,806.22	0.00	Short sale closed
	12/07/2020	10000	52,254.26	12/03/2020	70,195.00	17,940.74	0.00	Short sale closed
		542,161	\$3,009,052.80		\$3,641,958.30		\$24,778.17	
EYEGJ30233M503 EYEGATE PHARMACEUTICALS INC COM NEW	12/23/2020	2036	14,788.22	12/21/2020	14,493.88	0.00	294.34	Short sale closed
	12/23/2020	2225	14,463.21	12/21/2020	14,126.08	0.00	337.13	Short sale closed
	12/23/2020	2250	15,345.09	12/21/2020	15,907.50	562.41	0.00	Short sale closed
	12/23/2020	2298	17,448.09	12/21/2020	16,200.90	0.00	1,247.19	Short sale closed
	12/23/2020	2486	17,586.05	12/21/2020	18,520.70	934.65	0.00	Short sale closed
	12/23/2020	2500	14,908.93	12/21/2020	15,627.17	718.24	0.00	Short sale closed
	12/23/2020	2500	14,695.69	12/21/2020	15,747.57	1,051.88	0.00	Short sale closed
	12/23/2020	2500	16,125.00	12/21/2020	16,797.00	672.00	0.00	Short sale closed
	12/23/2020	2500	17,933.80	12/21/2020	18,323.71	389.91	0.00	Short sale closed
	12/23/2020	2500	18,084.11	12/21/2020	18,154.38	70.27	0.00	Short sale closed
	12/23/2020	2514	17,604.75	12/21/2020	18,647.88	1,043.13	0.00	Short sale closed
	12/23/2020	2775	18,038.39	12/21/2020	17,784.42	0.00	253.97	Short sale closed
	12/23/2020	2802	20,897.78	12/21/2020	19,770.15	0.00	1,127.63	Short sale closed
	12/23/2020	4100	31,345.01	12/21/2020	28,085.00	0.00	3,260.01	Short sale closed
	12/23/2020	4187	31,268.72	12/21/2020	31,863.07	594.35	0.00	Short sale closed
	12/23/2020	4310	29,446.43	12/21/2020	31,721.60	2,275.17	0.00	Short sale closed
	12/23/2020	4461	33,109.21	12/21/2020	31,271.98	0.00	1,837.23	Short sale closed
	12/23/2020	4622	32,987.89	12/21/2020	32,903.09	0.00	84.80	Short sale closed
	12/23/2020	4794	34,507.57	12/21/2020	36,098.82	1,591.25	0.00	Short sale closed
	12/23/2020	5000	35,573.23	12/21/2020	37,657.26	2,084.03	0.00	Short sale closed
	12/23/2020	5000	36,847.64	12/21/2020	36,594.60	0.00	253.04	Short sale closed
	12/23/2020	5000	37,467.64	12/21/2020	36,572.35	0.00	895.29	Short sale closed
	12/23/2020	5000	36,754.29	12/21/2020	37,769.98	1,015.69	0.00	Short sale closed
	12/23/2020	5000	36,819.14	12/21/2020	37,694.00	874.86	0.00	Short sale closed
	12/23/2020	5000	37,009.01	12/21/2020	36,594.00	0.00	415.01	Short sale closed
	12/23/2020	12	89.72	12/21/2020	91.31	1.59	0.00	Short sale closed
	12/23/2020	250	1,714.51	12/21/2020	1,752.57	38.06	0.00	Short sale closed
	12/23/2020	263	1,893.56	12/21/2020	1,972.83	79.27	0.00	Short sale closed

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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 Box 12: Basis Reported to the IRS Box 5: Box Not Checked Box 6: Net proceeds  
The 1099-B data referenced by a Box Number is reported to the IRS.

1a -Symbol   CUSIP   Description of property	1c-Date Sold or Disposed	Quantity	1d - Proceeds	1b - Date Acquired	1e - Cost or Other Basis	1g - Wash Sale Loss Disallowed	Gain or Loss (-)	Additional Notes
EYEG 30233M503 EYEGATE PHARMACEUTICALS INC COM NEW	12/23/2020	370	2,546.94	12/21/2020	2,598.01	51.07	0.00	Short sale closed
	12/23/2020	464	2,728.48	12/21/2020	2,946.13	217.65	0.00	Short sale closed
	12/23/2020	600	4,081.27	12/21/2020	4,269.00	187.73	0.00	Short sale closed
	12/23/2020	623	4,120.97	12/21/2020	3,818.73	0.00	302.24	Short sale closed
	12/23/2020	690	4,674.13	12/21/2020	5,044.80	370.67	0.00	Short sale closed
	12/23/2020	813	6,028.35	12/21/2020	6,164.67	136.32	0.00	Short sale closed
	12/23/2020	880	6,057.59	12/21/2020	6,028.00	0.00	29.59	Short sale closed
	12/23/2020	900	6,850.96	12/21/2020	6,133.45	0.00	717.51	Short sale closed
	12/23/2020	1002	6,869.40	12/21/2020	7,364.70	495.30	0.00	Short sale closed
	12/23/2020	1140	7,533.28	12/21/2020	7,113.60	0.00	419.68	Short sale closed
	12/23/2020	1250	8,604.53	12/21/2020	8,636.00	31.47	0.00	Short sale closed
	12/23/2020	1310	8,930.71	12/21/2020	9,615.40	684.69	0.00	Short sale closed
	12/23/2020	1360	8,984.21	12/21/2020	8,472.79	0.00	511.42	Short sale closed
	12/23/2020	1659	11,379.34	12/21/2020	12,124.23	744.89	0.00	Short sale closed
	12/23/2020	1800	12,952.20	12/21/2020	13,173.84	221.64	0.00	Short sale closed
	12/23/2020	1877	12,425.57	12/21/2020	11,543.55	0.00	882.02	Short sale closed
	12/23/2020	1900	12,924.03	12/21/2020	13,604.00	679.97	0.00	Short sale closed
	12/23/2020	5000	37,650.84	12/21/2020	36,094.00	0.00	1,556.84	Short sale closed
	12/23/2020	5000	37,476.53	12/21/2020	33,355.22	0.00	4,121.31	Short sale closed
	12/23/2020	5004	37,977.96	12/21/2020	36,122.87	0.00	1,855.09	Short sale closed
		122,527	\$875,549.97		\$872,966.79		\$20,401.34	
FAT 30258N105 FAT BRANDS INC COM	12/15/2020	1083	10,910.47	12/11/2020	10,103.85	0.00	806.62	Short sale closed
		1,083	\$10,910.47		\$10,103.85		\$806.62	
FCEL 35952H601 FUELCELL ENERGY INC COM	11/18/2020	2500	12,793.78	11/18/2020	12,803.05	9.27	0.00	Sale
	11/18/2020	200	1,065.45	11/18/2020	1,079.77	14.32	0.00	Sale
	11/20/2020	2500	12,960.89	11/18/2020	12,748.75	0.00	212.14	Short sale closed
	11/20/2020	2500	12,750.73	11/18/2020	12,751.75	1.02	0.00	Short sale closed
	11/20/2020	2500	13,467.75	11/18/2020	13,434.25	0.00	33.50	Short sale closed
	11/20/2020	2500	13,568.29	11/18/2020	13,105.63	0.00	462.66	Short sale closed
	11/20/2020	2500	13,610.17	11/18/2020	13,072.63	0.00	537.54	Short sale closed
	11/20/2020	2500	13,009.50	11/18/2020	12,934.50	0.00	75.00	Short sale closed
	11/20/2020	2500	12,959.30	11/18/2020	12,980.63	21.33	0.00	Short sale closed
	11/20/2020	2500	12,772.45	11/18/2020	12,779.88	7.43	0.00	Short sale closed
	11/20/2020	2500	12,631.29	11/18/2020	12,800.73	169.44	0.00	Short sale closed
	11/20/2020	2800	13,478.09	11/18/2020	15,703.00	2,224.91	0.00	Short sale closed
	11/20/2020	5000	25,893.56	11/18/2020	26,110.75	217.19	0.00	Short sale closed
	11/20/2020	5000	25,441.31	11/18/2020	26,110.25	668.94	0.00	Short sale closed
	11/20/2020	5000	25,755.13	11/18/2020	26,311.25	556.12	0.00	Short sale closed
	11/20/2020	5000	25,282.46	11/18/2020	26,118.50	836.04	0.00	Short sale closed
	11/20/2020	5000	25,301.54	11/18/2020	26,059.50	757.96	0.00	Short sale closed
	11/20/2020	5000	25,429.62	11/18/2020	26,011.25	581.63	0.00	Short sale closed
	11/20/2020	5000	24,604.40	11/18/2020	27,019.96	2,415.56	0.00	Short sale closed
	11/20/2020	5000	26,655.86	11/18/2020	27,469.10	813.24	0.00	Short sale closed
	11/20/2020	7200	34,465.11	11/18/2020	40,392.00	5,926.89	0.00	Short sale closed
	11/20/2020	7500	38,638.74	11/18/2020	39,166.88	528.14	0.00	Short sale closed
	11/20/2020	7500	38,890.72	11/18/2020	39,466.88	576.16	0.00	Short sale closed
	11/20/2020	7500	38,581.94	11/18/2020	40,141.88	1,559.94	0.00	Short sale closed
	11/20/2020	7500	37,422.17	11/18/2020	40,216.88	2,794.71	0.00	Short sale closed
	11/20/2020	7500	36,741.64	11/18/2020	39,952.38	3,210.74	0.00	Short sale closed
	11/20/2020	7500	40,412.75	11/18/2020	41,054.54	641.79	0.00	Short sale closed
	11/20/2020	7500	40,032.94	11/18/2020	40,827.55	794.61	0.00	Short sale closed
	11/20/2020	10000	50,398.96	11/18/2020	56,105.88	5,706.92	0.00	Short sale closed
	11/20/2020	10000	47,268.54	11/18/2020	56,640.00	9,371.46	0.00	Short sale closed
	11/20/2020	10000	46,956.59	11/18/2020	56,027.77	9,071.18	0.00	Short sale closed
	11/20/2020	10000	47,797.92	11/18/2020	55,538.67	7,740.75	0.00	Short sale closed

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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 Box 12: Basis Reported to the IRS Box 5: Box Not Checked Box 6: Net proceeds  
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1a -Symbol   CUSIP   Description of property	1c-Date Sold or Disposed	Quantity	1d - Proceeds	1b - Date Acquired	1e - Cost or Other Basis	1g - Wash Sale Loss Disallowed	Gain or Loss (-)	Additional Notes
FCEL 35952H601 FUELCCELL ENERGY INC COM	11/20/2020	10000	48,879.19	11/18/2020	55,199.94	6,320.75	0.00	Short sale closed
	11/20/2020	10000	50,632.65	11/18/2020	55,221.50	4,588.85	0.00	Short sale closed
	11/20/2020	10000	51,281.09	11/18/2020	55,240.00	3,958.91	0.00	Short sale closed
	11/20/2020	10000	52,507.13	11/18/2020	54,095.00	1,587.87	0.00	Short sale closed
	11/20/2020	10000	53,170.30	11/18/2020	53,195.00	24.70	0.00	Short sale closed
	11/20/2020	10000	55,068.84	11/18/2020	53,539.72	0.00	1,529.12	Short sale closed
	11/20/2020	10000	54,086.49	11/18/2020	54,540.00	453.51	0.00	Short sale closed
	11/23/2020	2500	13,048.84	11/19/2020	12,711.25	0.00	337.59	Short sale closed
	11/25/2020	5000	41,061.74	11/23/2020	40,160.50	0.00	901.24	Short sale closed
	11/25/2020	5000	41,487.61	11/23/2020	39,571.54	0.00	1,916.07	Short sale closed
	11/25/2020	5000	41,347.49	11/23/2020	40,110.50	0.00	1,236.99	Short sale closed
		255,200	\$1,349,610.96		\$1,416,521.39		\$7,241.85	
FRAN 351793203 FRANSCAS HLDGS CORP COM NEW	12/11/2020	300	1,697.92	12/09/2020	1,544.85	0.00	153.07	Short sale closed
	12/11/2020	340	1,782.05	12/09/2020	1,810.95	28.90	0.00	Short sale closed
	12/11/2020	653	3,704.48	12/09/2020	3,496.49	0.00	207.99	Short sale closed
	12/11/2020	700	3,980.26	12/09/2020	3,597.65	0.00	382.61	Short sale closed
	12/11/2020	1000	5,659.72	12/09/2020	5,379.50	0.00	280.22	Short sale closed
	12/11/2020	1000	5,780.27	12/09/2020	5,004.50	0.00	775.77	Short sale closed
	12/11/2020	1000	5,771.42	12/09/2020	4,919.50	0.00	851.92	Short sale closed
	12/11/2020	1000	5,239.86	12/09/2020	4,819.50	0.00	420.36	Short sale closed
	12/11/2020	1000	5,239.87	12/09/2020	4,619.50	0.00	620.37	Short sale closed
	12/11/2020	1000	5,259.59	12/09/2020	4,519.50	0.00	740.09	Short sale closed
	12/11/2020	2160	11,317.27	12/09/2020	11,556.00	238.73	0.00	Short sale closed
	12/11/2020	2500	12,525.02	12/09/2020	13,848.75	1,323.73	0.00	Short sale closed
	12/11/2020	2500	10,501.96	12/09/2020	10,022.50	0.00	479.46	Short sale closed
	12/11/2020	2500	8,700.75	12/09/2020	8,323.75	0.00	377.00	Short sale closed
	12/11/2020	2500	8,695.75	12/09/2020	8,223.75	0.00	472.00	Short sale closed
	12/11/2020	2500	8,700.75	12/09/2020	8,148.75	0.00	552.00	Short sale closed
	12/11/2020	2500	8,945.75	12/09/2020	8,423.75	0.00	522.00	Short sale closed
	12/11/2020	3500	12,246.05	12/09/2020	11,968.25	0.00	277.80	Short sale closed
		28,653	\$125,748.74		\$120,227.44		\$7,112.66	
FTEK 359523107 FUEL TECH INC COM	11/27/2020	800	4,574.46	11/24/2020	4,415.60	0.00	158.86	Short sale closed
	11/27/2020	850	5,356.06	11/24/2020	5,401.04	44.98	0.00	Short sale closed
	11/27/2020	1047	5,552.97	11/24/2020	6,321.94	768.97	0.00	Short sale closed
	11/27/2020	1250	8,087.02	11/24/2020	8,024.37	0.00	62.65	Short sale closed
	11/27/2020	1250	8,087.02	11/24/2020	7,989.91	0.00	97.11	Short sale closed
	11/27/2020	1250	7,787.85	11/24/2020	8,024.77	236.92	0.00	Short sale closed
	11/27/2020	1250	7,787.85	11/24/2020	7,962.62	174.77	0.00	Short sale closed
	11/27/2020	1606	9,568.11	11/24/2020	9,362.98	0.00	205.13	Short sale closed
	11/27/2020	1734	9,749.19	11/24/2020	9,944.42	195.23	0.00	Short sale closed
	11/27/2020	1900	11,390.97	11/24/2020	11,044.50	0.00	346.47	Short sale closed
	11/27/2020	2285	11,780.16	11/24/2020	11,744.90	0.00	35.26	Short sale closed
	11/27/2020	2500	15,672.20	11/24/2020	15,761.25	89.05	0.00	Short sale closed
	11/27/2020	2500	15,309.97	11/24/2020	15,149.25	0.00	160.72	Short sale closed
	11/27/2020	2500	15,255.92	11/24/2020	15,023.75	0.00	232.17	Short sale closed
	11/27/2020	2500	15,925.59	11/24/2020	16,800.47	874.88	0.00	Short sale closed
	11/27/2020	2500	15,747.00	11/24/2020	16,298.75	551.75	0.00	Short sale closed
	11/27/2020	2500	14,410.91	11/24/2020	15,298.75	887.84	0.00	Short sale closed
	11/27/2020	2500	14,430.81	11/24/2020	15,048.75	617.94	0.00	Short sale closed
	11/27/2020	2500	15,387.59	11/24/2020	15,553.03	165.44	0.00	Short sale closed
	11/27/2020	2500	15,287.75	11/24/2020	15,298.75	11.00	0.00	Short sale closed
	11/27/2020	2500	14,443.83	11/24/2020	13,858.72	0.00	585.11	Short sale closed
	11/27/2020	2500	14,092.02	11/24/2020	14,336.20	244.18	0.00	Short sale closed
	11/27/2020	2500	12,541.35	11/24/2020	15,481.25	2,939.90	0.00	Short sale closed
	11/27/2020	2500	14,738.12	11/24/2020	13,798.75	0.00	939.37	Short sale closed

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Velocity Clearing LLC		Proceeds from Broker and Barter Exchange Transactions				2020 Form 1099-B*		OMB No. 1545-0715	
1GDN-GDN-871410									
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 Box 12: Basis Reported to the IRS Box 5: Box Not Checked Box 6: Net proceeds									
The 1099-B data referenced by a Box Number is reported to the IRS.									
1a -Symbol   CUSIP   Description of property		1c-Date Sold or Disposed	Quantity	1d - Proceeds	1b - Date Acquired	1e - Cost or Other Basis	1g - Wash Sale Loss Disallowed	Gain or Loss (-)	Additional Notes
FTEK 359523107 FUEL TECH INC COM									
		11/27/2020	2500	15,038.08	11/24/2020	13,911.10	0.00	1,126.98	Short sale closed
		11/27/2020	2715	14,064.05	11/24/2020	13,900.75	0.00	163.30	Short sale closed
		11/27/2020	2798	16,372.14	11/24/2020	15,999.56	0.00	372.58	Short sale closed
		11/27/2020	5000	29,727.50	11/24/2020	28,597.50	0.00	1,130.00	Short sale closed
		11/27/2020	5000	29,477.50	11/24/2020	28,553.05	0.00	924.45	Short sale closed
		11/27/2020	5639	30,999.60	11/24/2020	34,145.43	3,145.83	0.00	Short sale closed
		11/27/2020	7202	43,813.36	11/24/2020	41,915.64	0.00	1,897.72	Short sale closed
		11/27/2020	7500	41,439.34	11/24/2020	42,729.85	1,290.51	0.00	Short sale closed
		11/27/2020	7500	41,458.06	11/24/2020	46,493.73	5,035.67	0.00	Short sale closed
		11/27/2020	7500	40,155.35	11/24/2020	45,296.70	5,141.35	0.00	Short sale closed
		11/27/2020	7500	37,333.70	11/24/2020	45,878.62	8,544.92	0.00	Short sale closed
		11/27/2020	7500	46,207.38	11/24/2020	45,521.25	0.00	686.13	Short sale closed
		11/27/2020	7500	44,724.60	11/24/2020	45,134.45	409.85	0.00	Short sale closed
		11/27/2020	7500	45,252.73	11/24/2020	44,396.25	0.00	856.48	Short sale closed
		11/27/2020	7500	46,556.50	11/24/2020	44,391.79	0.00	2,164.71	Short sale closed
		11/27/2020	10000	51,664.93	11/24/2020	63,295.00	11,630.07	0.00	Short sale closed
		11/27/2020	10000	59,256.35	11/24/2020	58,596.85	0.00	659.50	Short sale closed
		11/27/2020	10000	56,460.05	11/24/2020	59,195.00	2,734.95	0.00	Short sale closed
		11/27/2020	3100	18,585.27	11/24/2020	18,041.94	0.00	543.33	Short sale closed
		11/27/2020	3187	16,810.06	11/24/2020	19,195.49	2,385.43	0.00	Short sale closed
		11/27/2020	3266	18,362.68	11/24/2020	18,808.16	445.48	0.00	Short sale closed
		11/27/2020	3394	20,220.51	11/24/2020	19,719.48	0.00	501.03	Short sale closed
		11/27/2020	3600	16,680.33	11/24/2020	20,923.29	4,242.96	0.00	Short sale closed
		11/27/2020	3900	19,328.36	11/24/2020	22,386.05	3,057.69	0.00	Short sale closed
		11/27/2020	3953	21,414.64	11/24/2020	24,176.47	2,761.83	0.00	Short sale closed
		11/27/2020	4150	25,813.15	11/24/2020	24,980.92	0.00	832.23	Short sale closed
		11/27/2020	4866	26,072.70	11/24/2020	29,341.80	3,269.10	0.00	Short sale closed
		11/27/2020	5000	27,478.80	11/24/2020	30,597.62	3,118.82	0.00	Short sale closed
		11/27/2020	5000	26,153.55	11/24/2020	30,060.02	3,906.47	0.00	Short sale closed
		11/27/2020	5000	26,651.35	11/24/2020	30,597.50	3,946.15	0.00	Short sale closed
		11/27/2020	5000	26,462.15	11/24/2020	30,597.50	4,135.35	0.00	Short sale closed
		11/27/2020	5000	25,486.17	11/24/2020	31,020.00	5,533.83	0.00	Short sale closed
		11/27/2020	5000	25,940.15	11/24/2020	29,597.50	3,657.35	0.00	Short sale closed
		11/27/2020	5000	26,226.02	11/24/2020	29,919.35	3,693.33	0.00	Short sale closed
		11/27/2020	5000	28,043.07	11/24/2020	30,198.90	2,155.83	0.00	Short sale closed
		11/27/2020	5000	28,239.52	11/24/2020	29,097.50	857.98	0.00	Short sale closed
		11/27/2020	5000	27,800.17	11/24/2020	29,547.50	1,747.33	0.00	Short sale closed
		11/27/2020	5000	28,603.90	11/24/2020	28,597.50	0.00	6.40	Short sale closed
		11/27/2020	5000	25,604.84	11/24/2020	26,447.50	842.66	0.00	Short sale closed
		11/27/2020	5000	26,129.18	11/24/2020	26,097.50	0.00	31.68	Short sale closed
		11/27/2020	5000	25,518.99	11/24/2020	25,097.50	0.00	421.49	Short sale closed
		11/27/2020	5000	26,065.42	11/24/2020	25,211.00	0.00	854.42	Short sale closed
		11/27/2020	5000	31,410.56	11/24/2020	30,015.90	0.00	1,394.66	Short sale closed
			281,992	\$1,588,067.48		\$1,666,171.13		\$17,389.94	
GBR 643611106 NEW CONCEPT ENERGY INC COM									
		12/31/2020	993	3,455.74	12/29/2020	3,206.20	0.00	249.54	Short sale closed
		12/31/2020	1713	5,965.60	12/29/2020	5,533.13	0.00	432.47	Short sale closed
		12/31/2020	2500	8,550.38	12/29/2020	8,272.00	0.00	278.38	Short sale closed
		12/31/2020	2500	7,114.13	12/29/2020	7,047.00	0.00	67.13	Short sale closed
		12/31/2020	2500	7,113.29	12/29/2020	6,797.00	0.00	316.29	Short sale closed
		12/31/2020	2500	7,507.52	12/29/2020	7,047.00	0.00	460.52	Short sale closed
		12/31/2020	2500	7,602.53	12/29/2020	6,547.00	0.00	1,055.53	Short sale closed
		12/31/2020	2500	7,300.68	12/29/2020	6,297.00	0.00	1,003.68	Short sale closed
			17,706	\$54,609.87		\$50,746.33		\$3,863.54	
GLS 396879108 GREENWICH LIFESCIENCES INC COM									
		12/11/2020	100	4,194.35	12/09/2020	4,111.95	0.00	82.40	Short sale closed
		12/11/2020	100	3,571.15	12/09/2020	4,150.00	578.85	0.00	Short sale closed

SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

Report on Form 8949, Part I with Box A checked.  
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1a -Symbol   CUSIP   Description of property	1c-Date Sold or Disposed	Quantity	1d - Proceeds	1b - Date Acquired	1e - Cost or Other Basis	1g - Wash Sale Loss Disallowed	Gain or Loss (-)	Additional Notes
GLSI 396879108 GREENWICH LIFESCIENCES INC COM	12/11/2020	100	4,519.22	12/09/2020	4,503.10	0.00	16.12	Short sale closed
	12/11/2020	100	4,619.22	12/09/2020	4,412.10	0.00	207.12	Short sale closed
	12/11/2020	100	4,387.79	12/09/2020	4,508.10	120.31	0.00	Short sale closed
	12/11/2020	100	4,629.97	12/09/2020	4,812.19	182.22	0.00	Short sale closed
	12/11/2020	100	4,516.56	12/09/2020	6,600.11	2,083.55	0.00	Short sale closed
	12/11/2020	100	6,422.92	12/09/2020	7,310.10	887.18	0.00	Short sale closed
	12/11/2020	100	6,422.91	12/09/2020	7,270.99	848.08	0.00	Short sale closed
	12/11/2020	100	7,271.16	12/09/2020	7,000.10	0.00	271.06	Short sale closed
	12/11/2020	200	6,792.41	12/09/2020	8,223.95	1,431.54	0.00	Short sale closed
	12/11/2020	200	8,304.55	12/09/2020	8,023.95	0.00	280.60	Short sale closed
	12/11/2020	200	7,699.21	12/09/2020	8,023.95	324.74	0.00	Short sale closed
	12/11/2020	200	8,668.83	12/09/2020	8,823.95	155.12	0.00	Short sale closed
	12/11/2020	200	8,509.98	12/09/2020	13,979.59	5,469.61	0.00	Short sale closed
	12/11/2020	200	574.34	12/09/2020	18,000.50	17,426.16	0.00	Short sale closed
	12/11/2020	200	1,823.16	12/09/2020	18,000.50	16,177.34	0.00	Short sale closed
	12/11/2020	200	14,233.38	12/09/2020	14,400.95	167.57	0.00	Short sale closed
	12/11/2020	200	15,432.11	12/09/2020	16,600.61	1,168.50	0.00	Short sale closed
	12/11/2020	250	5,724.97	12/09/2020	5,769.87	44.90	0.00	Short sale closed
	12/11/2020	250	5,655.07	12/09/2020	6,498.40	843.33	0.00	Short sale closed
	12/11/2020	250	6,550.40	12/09/2020	6,832.78	282.38	0.00	Short sale closed
	12/11/2020	250	6,255.48	12/09/2020	6,764.87	509.39	0.00	Short sale closed
	12/11/2020	250	6,519.47	12/09/2020	6,750.90	231.43	0.00	Short sale closed
	12/11/2020	300	15,391.13	12/09/2020	38,979.68	23,588.55	0.00	Short sale closed
	12/11/2020	300	11,108.06	12/09/2020	14,937.68	3,829.62	0.00	Short sale closed
	12/11/2020	400	30,800.33	12/09/2020	31,247.80	447.47	0.00	Short sale closed
	12/11/2020	400	32,257.58	12/09/2020	30,847.80	0.00	1,409.78	Short sale closed
	12/11/2020	500	12,175.69	12/09/2020	13,559.75	1,384.06	0.00	Short sale closed
	12/11/2020	500	12,553.14	12/09/2020	13,537.07	983.93	0.00	Short sale closed
		6,450	\$267,584.54		\$344,483.29		\$2,267.08	
GRNQ 39540F101 GREENPRO CAP CORP COM	12/30/2020	5000	9,899.85	12/28/2020	11,894.00	1,994.15	0.00	Short sale closed
	12/30/2020	5000	10,080.50	12/28/2020	12,044.00	0.00	(1,963.50)	Short sale closed
	12/30/2020	5000	9,951.87	12/28/2020	11,497.85	0.00	(1,545.98)	Short sale closed
	12/30/2020	10000	20,500.97	12/28/2020	25,188.00	4,687.03	0.00	Short sale closed
	12/30/2020	10000	18,638.76	12/28/2020	24,188.00	5,549.24	0.00	Short sale closed
	12/30/2020	1858	4,015.92	12/28/2020	4,407.64	391.72	0.00	Short sale closed
	12/30/2020	2500	5,951.37	12/28/2020	5,804.41	0.00	146.96	Short sale closed
	12/30/2020	3142	6,709.80	12/28/2020	6,940.05	230.25	0.00	Short sale closed
	12/30/2020	5000	11,067.14	12/28/2020	11,619.51	552.37	0.00	Short sale closed
	12/30/2020	5000	11,116.03	12/28/2020	11,759.90	643.87	0.00	Short sale closed
	12/30/2020	5000	10,630.32	12/28/2020	12,994.00	2,363.68	0.00	Short sale closed
		57,500	\$118,562.53		\$138,337.36		(\$3,362.52)	
GTEC G4095T107 GREENLAND TECHNOLOGIES HLDG SHS NEW	11/16/2020	184	1,023.31	11/12/2020	967.84	0.00	55.47	Short sale closed
	11/16/2020	300	1,650.31	11/12/2020	1,588.30	0.00	62.01	Short sale closed
	11/16/2020	450	2,515.44	11/12/2020	2,367.00	0.00	148.44	Short sale closed
	11/16/2020	768	4,224.81	11/12/2020	4,039.68	0.00	185.13	Short sale closed
	11/16/2020	800	4,480.92	11/12/2020	4,301.85	0.00	179.07	Short sale closed
	11/16/2020	800	4,480.93	11/12/2020	4,312.00	0.00	168.93	Short sale closed
	11/16/2020	800	4,501.62	11/12/2020	4,174.37	0.00	327.25	Short sale closed
	11/16/2020	1048	5,989.03	11/12/2020	5,467.81	0.00	521.22	Short sale closed
	11/16/2020	1250	7,045.67	11/12/2020	6,648.37	0.00	397.30	Short sale closed
	11/16/2020	2300	13,041.66	11/12/2020	12,445.32	0.00	596.34	Short sale closed
	11/16/2020	2500	13,952.89	11/12/2020	13,546.50	0.00	406.39	Short sale closed
	12/09/2020	2500	23,113.69	12/07/2020	23,473.75	360.06	0.00	Short sale closed
	12/09/2020	2500	22,573.51	12/07/2020	23,306.25	732.74	0.00	Short sale closed
	12/09/2020	2500	22,208.40	12/07/2020	22,998.75	790.35	0.00	Short sale closed

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SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

Report on Form 8949, Part I with Box A checked.  
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GTEC G4095T107 GREENLAND TECHNOLOGIES HLDG SHS NEW	12/09/2020	2500	22,749.41	12/07/2020	22,811.25	61.84	0.00	Short sale closed
	12/09/2020	2500	23,089.34	12/07/2020	22,798.75	0.00	290.59	Short sale closed
	12/09/2020	2500	25,567.10	12/07/2020	25,298.75	0.00	268.35	Short sale closed
	12/09/2020	2500	25,689.87	12/07/2020	25,048.75	0.00	641.12	Short sale closed
	12/09/2020	2500	25,777.25	12/07/2020	24,548.75	0.00	1,228.50	Short sale closed
	12/09/2020	2500	23,923.18	12/07/2020	23,573.75	0.00	349.43	Short sale closed
	12/09/2020	15	145.60	12/07/2020	176.23	30.63	0.00	Short sale closed
	12/09/2020	100	924.81	12/07/2020	867.10	0.00	57.71	Short sale closed
	12/09/2020	300	3,117.05	12/07/2020	3,062.60	0.00	54.45	Short sale closed
	12/09/2020	300	3,304.73	12/07/2020	3,202.75	0.00	101.98	Short sale closed
	12/09/2020	500	5,195.07	12/07/2020	5,110.00	0.00	85.07	Short sale closed
	12/09/2020	630	5,784.62	12/07/2020	5,672.84	0.00	111.78	Short sale closed
	12/09/2020	700	6,327.56	12/07/2020	6,194.65	0.00	132.91	Short sale closed
	12/09/2020	701	6,554.92	12/07/2020	6,684.25	129.33	0.00	Short sale closed
	12/09/2020	1100	11,499.11	12/07/2020	11,341.10	0.00	158.01	Short sale closed
	12/09/2020	1141	10,455.79	12/07/2020	10,440.15	0.00	15.64	Short sale closed
	12/09/2020	1161	12,852.42	12/07/2020	12,805.83	0.00	46.59	Short sale closed
	12/09/2020	1250	12,200.80	12/07/2020	11,399.37	0.00	801.43	Short sale closed
	12/09/2020	1250	12,431.30	12/07/2020	11,786.87	0.00	644.43	Short sale closed
	12/09/2020	1339	14,822.91	12/07/2020	14,754.53	0.00	68.38	Short sale closed
	12/09/2020	1359	12,577.95	12/07/2020	12,399.65	0.00	178.30	Short sale closed
	12/09/2020	1400	14,658.21	12/07/2020	14,406.00	0.00	252.21	Short sale closed
	12/09/2020	1600	16,624.23	12/07/2020	16,351.20	0.00	273.03	Short sale closed
	12/09/2020	1799	16,692.77	12/07/2020	17,270.40	577.63	0.00	Short sale closed
	12/09/2020	1870	17,170.24	12/07/2020	16,623.87	0.00	546.37	Short sale closed
	12/09/2020	2200	24,234.71	12/07/2020	23,562.00	0.00	672.71	Short sale closed
	12/09/2020	2400	26,372.21	12/07/2020	25,005.95	0.00	1,366.26	Short sale closed
	12/09/2020	2400	22,180.34	12/07/2020	20,782.80	0.00	1,397.54	Short sale closed
	12/09/2020	2500	22,500.45	12/07/2020	22,774.25	273.80	0.00	Short sale closed
	12/09/2020	2500	22,713.13	12/07/2020	22,573.75	0.00	139.38	Short sale closed
	12/09/2020	2500	23,272.77	12/07/2020	23,798.75	525.98	0.00	Short sale closed
	12/09/2020	2500	23,483.75	12/07/2020	23,778.75	295.00	0.00	Short sale closed
	12/09/2020	4036	43,095.13	12/07/2020	41,691.71	0.00	1,403.42	Short sale closed
	12/09/2020	4985	49,249.14	12/07/2020	52,341.74	3,092.60	0.00	Short sale closed
	12/09/2020	5000	50,975.32	12/07/2020	51,946.32	971.00	0.00	Short sale closed
	12/09/2020	5000	53,927.16	12/07/2020	53,097.50	0.00	829.66	Short sale closed
	12/09/2020	5000	44,783.51	12/07/2020	43,497.50	0.00	1,286.01	Short sale closed
	12/09/2020	2500	25,179.85	12/07/2020	24,548.75	0.00	631.10	Short sale closed
	12/09/2020	2500	25,179.84	12/07/2020	24,298.75	0.00	881.09	Short sale closed
	12/09/2020	2500	24,925.39	12/07/2020	25,505.76	580.37	0.00	Short sale closed
	12/09/2020	2500	26,198.37	12/07/2020	25,298.75	0.00	899.62	Short sale closed
	12/09/2020	2500	25,798.93	12/07/2020	25,497.05	0.00	301.88	Short sale closed
	12/09/2020	2500	26,325.36	12/07/2020	25,548.75	0.00	776.61	Short sale closed
	12/09/2020	2500	26,425.36	12/07/2020	26,548.75	123.39	0.00	Short sale closed
	12/09/2020	2500	27,200.34	12/07/2020	27,563.25	362.91	0.00	Short sale closed
	12/09/2020	2500	27,300.34	12/07/2020	27,074.75	0.00	225.59	Short sale closed
	12/09/2020	2500	28,175.32	12/07/2020	27,573.75	0.00	601.57	Short sale closed
	12/09/2020	2500	27,963.14	12/07/2020	27,048.75	0.00	914.39	Short sale closed
	12/09/2020	2500	28,425.32	12/07/2020	26,823.75	0.00	1,601.57	Short sale closed
	12/09/2020	2500	25,594.69	12/07/2020	25,098.75	0.00	495.94	Short sale closed
	12/09/2020	2500	22,956.82	12/07/2020	21,548.75	0.00	1,408.07	Short sale closed
	12/09/2020	2500	22,960.78	12/07/2020	21,748.82	0.00	1,211.96	Short sale closed
	12/09/2020	2600	28,572.28	12/07/2020	27,195.99	0.00	1,376.29	Short sale closed
	12/09/2020	3579	32,351.92	12/07/2020	31,887.10	0.00	464.82	Short sale closed
		136,915	\$1,319,260.10			\$1,299,928.42	\$28,239.31	
HGSH 16948W209 CHINA HGS REAL ESTATE INC COM NEW	12/08/2020	161	657.24	12/04/2020	662.02	4.78	0.00	Short sale closed

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SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

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HGSH 16948W209 CHINA HGS REAL ESTATE INC COM NEW	12/08/2020	500	2,422.89	12/04/2020	2,339.25	0.00	83.64	Short sale closed
	12/08/2020	518	2,272.46	12/04/2020	2,220.17	0.00	52.29	Short sale closed
	12/08/2020	600	2,907.46	12/04/2020	2,753.30	0.00	154.16	Short sale closed
	12/08/2020	670	3,347.43	12/04/2020	3,285.68	0.00	61.75	Short sale closed
	12/08/2020	680	2,998.00	12/04/2020	2,780.86	0.00	217.14	Short sale closed
	12/08/2020	721	3,163.70	12/04/2020	3,100.30	0.00	63.40	Short sale closed
	12/08/2020	950	4,913.02	12/04/2020	4,644.25	0.00	268.77	Short sale closed
	12/08/2020	1000	4,645.55	12/04/2020	4,689.50	43.95	0.00	Short sale closed
	12/08/2020	1000	4,845.77	12/04/2020	4,710.00	0.00	135.77	Short sale closed
	12/08/2020	1309	6,374.73	12/04/2020	6,558.09	183.36	0.00	Short sale closed
	12/08/2020	1339	5,466.08	12/04/2020	5,476.51	10.43	0.00	Short sale closed
	12/08/2020	1550	8,015.99	12/04/2020	7,641.50	0.00	374.49	Short sale closed
	12/08/2020	1761	7,770.85	12/04/2020	7,518.59	0.00	252.26	Short sale closed
	12/08/2020	2194	9,950.40	12/04/2020	9,257.58	0.00	692.82	Short sale closed
	12/08/2020	2500	10,339.71	12/04/2020	10,048.75	0.00	290.96	Short sale closed
	12/08/2020	2500	10,690.19	12/04/2020	10,823.75	133.56	0.00	Short sale closed
	12/08/2020	2500	10,592.15	12/04/2020	10,723.75	131.60	0.00	Short sale closed
	12/08/2020	2500	10,842.10	12/04/2020	10,448.75	0.00	393.35	Short sale closed
	12/08/2020	2500	10,480.53	12/04/2020	10,673.75	193.22	0.00	Short sale closed
	12/08/2020	2500	10,920.10	12/04/2020	11,073.75	153.65	0.00	Short sale closed
	12/08/2020	2500	9,950.29	12/04/2020	11,023.75	1,073.46	0.00	Short sale closed
	12/08/2020	2500	10,481.04	12/04/2020	10,798.75	317.71	0.00	Short sale closed
	12/08/2020	2500	11,038.20	12/04/2020	10,723.75	0.00	314.45	Short sale closed
	12/08/2020	2500	12,711.96	12/04/2020	12,548.75	0.00	163.21	Short sale closed
	12/08/2020	2500	12,711.96	12/04/2020	12,323.75	0.00	388.21	Short sale closed
	12/08/2020	2500	12,573.31	12/04/2020	12,984.02	410.71	0.00	Short sale closed
	12/08/2020	2500	12,539.95	12/04/2020	12,698.75	158.80	0.00	Short sale closed
	12/08/2020	2500	13,041.85	12/04/2020	12,673.75	0.00	368.10	Short sale closed
	12/08/2020	2500	12,827.15	12/04/2020	12,548.75	0.00	278.40	Short sale closed
	12/08/2020	2500	12,826.27	12/04/2020	12,548.75	0.00	277.52	Short sale closed
	12/08/2020	2500	12,914.44	12/04/2020	12,298.75	0.00	615.69	Short sale closed
	12/08/2020	2500	12,829.78	12/04/2020	12,025.37	0.00	804.41	Short sale closed
	12/08/2020	2500	12,890.42	12/04/2020	11,984.25	0.00	906.17	Short sale closed
	12/08/2020	2500	11,989.44	12/04/2020	12,298.75	309.31	0.00	Short sale closed
	12/08/2020	2500	11,994.15	12/04/2020	11,198.75	0.00	795.40	Short sale closed
	12/08/2020	2500	12,002.89	12/04/2020	11,048.75	0.00	954.14	Short sale closed
	12/08/2020	2500	11,997.28	12/04/2020	10,998.75	0.00	998.53	Short sale closed
	12/08/2020	2500	11,988.88	12/04/2020	11,073.75	0.00	915.13	Short sale closed
	12/08/2020	2500	10,993.25	12/04/2020	10,773.75	0.00	219.50	Short sale closed
	12/08/2020	2637	10,613.35	12/04/2020	10,863.12	249.77	0.00	Short sale closed
	12/08/2020	2830	14,122.46	12/04/2020	13,809.13	0.00	313.33	Short sale closed
	12/08/2020	3356	16,094.02	12/04/2020	16,174.25	80.23	0.00	Short sale closed
	12/08/2020	3500	16,785.03	12/04/2020	17,218.25	433.22	0.00	Short sale closed
	12/08/2020	3500	17,484.50	12/04/2020	17,129.98	0.00	354.52	Short sale closed
	12/08/2020	3500	17,684.39	12/04/2020	17,130.18	0.00	554.21	Short sale closed
	12/08/2020	3500	17,464.45	12/04/2020	16,430.75	0.00	1,033.70	Short sale closed
	12/08/2020	3500	17,181.02	12/04/2020	16,457.53	0.00	723.49	Short sale closed
	12/08/2020	3500	15,782.31	12/04/2020	15,608.25	0.00	174.06	Short sale closed
	12/08/2020	3691	17,974.89	12/04/2020	18,489.41	514.52	0.00	Short sale closed
	12/08/2020	4144	20,535.27	12/04/2020	20,344.96	0.00	190.31	Short sale closed
	12/08/2020	4400	21,144.84	12/04/2020	20,064.00	0.00	1,080.84	Short sale closed
	12/08/2020	5000	22,647.12	12/04/2020	25,097.93	2,450.81	0.00	Short sale closed
	12/08/2020	5000	23,627.15	12/04/2020	25,097.50	1,470.35	0.00	Short sale closed
	12/08/2020	5000	25,085.51	12/04/2020	25,047.50	0.00	38.01	Short sale closed
	12/08/2020	5000	25,267.09	12/04/2020	24,489.79	0.00	777.30	Short sale closed
	12/08/2020	5000	22,719.12	12/04/2020	22,097.50	0.00	621.62	Short sale closed
	12/08/2020	5000	22,924.11	12/04/2020	22,047.50	0.00	876.61	Short sale closed
	12/08/2020	5000	21,326.42	12/04/2020	21,750.50	424.08	0.00	Short sale closed

\* 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.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.

Velocity Clearing LLC		Proceeds from Broker and Barter Exchange Transactions				2020 Form 1099-B*		OMB No. 1545-0715	
1GDN-GDN-871410									
SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS									
Report on Form 8949, Part I with Box A checked.									
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1a -Symbol   CUSIP   Description of property		1c-Date Sold or Disposed	Quantity	1d - Proceeds	1b - Date Acquired	1e - Cost or Other Basis	1g - Wash Sale Loss Disallowed	Gain or Loss (-)	Additional Notes
HGSH 16948W209 CHINA HGS REAL ESTATE INC COM NEW									
		12/08/2020	7500	37,155.13	12/04/2020	37,646.25	491.12	0.00	Short sale closed
			162,011	\$767,537.04		\$758,998.02		\$17,777.66	
HPR 43114K207 HIGHPOINT RESOURCES CORP COM									
		11/18/2020	100	577.78	11/16/2020	580.70	2.92	0.00	Short sale closed
		11/18/2020	2400	13,866.83	11/16/2020	13,728.00	0.00	138.83	Short sale closed
		11/18/2020	2500	15,948.92	11/16/2020	15,297.50	0.00	651.42	Short sale closed
		11/18/2020	2500	16,201.84	11/16/2020	15,047.50	0.00	1,154.34	Short sale closed
		11/18/2020	2500	14,400.87	11/16/2020	14,047.50	0.00	353.37	Short sale closed
			10,000	\$60,996.24		\$58,701.20		\$2,297.96	
HX 428295208 HEXINDAI INC ADR NEW									
		12/08/2020	45	146.94	12/04/2020	161.55	14.61	0.00	Short sale closed
		12/08/2020	120	391.84	12/04/2020	432.00	40.16	0.00	Short sale closed
		12/08/2020	200	638.15	12/04/2020	633.63	0.00	4.52	Short sale closed
		12/08/2020	500	1,729.46	12/04/2020	1,720.75	0.00	8.71	Short sale closed
		12/08/2020	626	1,871.62	12/04/2020	1,889.27	17.65	0.00	Short sale closed
		12/08/2020	1037	3,387.18	12/04/2020	3,426.77	39.59	0.00	Short sale closed
		12/08/2020	1050	3,292.47	12/04/2020	3,307.50	0.00	(15.03)	Short sale closed
		12/08/2020	1200	3,546.03	12/04/2020	3,864.00	317.97	0.00	Short sale closed
		12/08/2020	1233	3,512.29	12/04/2020	3,612.07	0.00	(99.78)	Short sale closed
		12/08/2020	1250	4,094.82	12/04/2020	3,999.37	0.00	95.45	Short sale closed
		12/08/2020	1250	4,094.82	12/04/2020	3,899.37	0.00	195.45	Short sale closed
		12/08/2020	1250	3,988.44	12/04/2020	3,911.87	0.00	76.57	Short sale closed
		12/08/2020	1300	3,841.55	12/04/2020	4,184.25	342.70	0.00	Short sale closed
		12/08/2020	1874	5,602.92	12/04/2020	5,659.48	56.56	0.00	Short sale closed
		12/08/2020	2500	7,938.35	12/04/2020	8,061.25	122.90	0.00	Short sale closed
		12/08/2020	5000	15,770.05	12/04/2020	16,297.50	527.45	0.00	Short sale closed
		12/08/2020	5000	15,496.04	12/04/2020	16,018.04	522.00	0.00	Short sale closed
		12/08/2020	5000	16,297.15	12/04/2020	17,998.50	1,701.35	0.00	Short sale closed
		12/08/2020	5000	16,554.09	12/04/2020	17,662.76	347.68	(760.99)	Short sale closed
			35,435	\$112,194.21		\$116,739.93		(\$495.10)	
ICON 451055305 ICONIX BRAND GROUP INC COM NEW									
		12/08/2020	700	896.24	12/04/2020	859.75	0.00	36.49	Short sale closed
		12/08/2020	1800	2,304.63	12/04/2020	2,232.00	0.00	72.63	Short sale closed
		12/08/2020	2500	3,224.62	12/04/2020	2,923.75	0.00	300.87	Short sale closed
			5,000	\$6,425.49		\$6,015.50		\$409.99	
IMAC 44967K104 IMAC HLDGS INC COM									
		01/04/2021	2704	4,372.54	12/30/2020	4,052.75	0.00	319.79	Short sale closed
		01/04/2021	5000	8,024.08	12/30/2020	8,044.00	19.92	0.00	Short sale closed
		01/04/2021	5000	8,346.07	12/30/2020	7,644.00	0.00	702.07	Short sale closed
			12,704	\$20,742.69		\$19,740.75		\$1,021.86	
IPDN 74312Y202 PROFESSIONAL DVRSTY NETWORK INC COM NEW									
		01/04/2021	2233	5,260.24	12/30/2020	7,659.19	2,398.95	0.00	Short sale closed
		01/04/2021	2349	5,252.16	12/30/2020	8,010.09	0.00	(2,757.93)	Short sale closed
		01/04/2021	2500	6,402.55	12/30/2020	7,284.04	881.49	0.00	Short sale closed
		01/04/2021	2500	5,593.78	12/30/2020	9,775.55	4,181.77	0.00	Short sale closed
		01/04/2021	2500	2,545.78	12/30/2020	9,805.63	7,259.85	0.00	Short sale closed
		01/04/2021	2651	5,927.41	12/30/2020	9,166.46	0.00	(3,239.05)	Short sale closed
		01/04/2021	2767	6,525.10	12/30/2020	9,469.67	2,944.57	0.00	Short sale closed
		01/04/2021	2816	5,421.59	12/30/2020	11,260.62	5,839.03	0.00	Short sale closed
		01/04/2021	3500	5,907.08	12/30/2020	13,230.00	7,322.92	0.00	Short sale closed
		01/04/2021	4759	2,361.09	12/30/2020	18,608.30	16,247.21	0.00	Short sale closed
		01/04/2021	4880	3,229.80	12/30/2020	17,599.96	14,370.16	0.00	Short sale closed
		01/04/2021	4923	9,576.07	12/30/2020	17,323.05	7,746.98	0.00	Short sale closed
		01/04/2021	5000	7,513.66	12/30/2020	26,756.25	19,242.59	0.00	Short sale closed
		01/04/2021	5000	2,389.28	12/30/2020	25,031.75	27,421.03	0.00	Short sale closed
		01/04/2021	5000	7,284.97	12/30/2020	21,685.12	28,970.09	0.00	Short sale closed
		01/04/2021	5000	3,978.49	12/30/2020	21,748.50	25,726.99	0.00	Short sale closed



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SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS									
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1a -Symbol   CUSIP   Description of property		1c-Date Sold or Disposed	Quantity	1d - Proceeds	1b - Date Acquired	1e - Cost or Other Basis	1g - Wash Sale Loss Disallowed	Gain or Loss (-)	Additional Notes
IPDN 74312Y202 PROFESSIONAL DVRSTY NETWORK INC COM NEW									
		01/04/2021	5000	1,239.38	12/30/2020	20,799.50	22,038.88	0.00	Short sale closed
		01/04/2021	5000	2,370.44	12/30/2020	20,457.75	18,087.31	0.00	Short sale closed
		01/04/2021	5000	6,350.88	12/30/2020	20,510.75	14,159.87	0.00	Short sale closed
		01/04/2021	5000	10,127.75	12/30/2020	20,511.25	10,383.50	0.00	Short sale closed
		01/04/2021	5000	9,254.22	12/30/2020	20,311.25	11,057.03	0.00	Short sale closed
		01/04/2021	5000	9,250.05	12/30/2020	22,494.00	13,243.95	0.00	Short sale closed
		01/04/2021	5000	7,849.12	12/30/2020	21,820.00	13,970.88	0.00	Short sale closed
		01/04/2021	5000	6,816.82	12/30/2020	19,961.67	13,144.85	0.00	Short sale closed
		01/04/2021	120	46.09	12/30/2020	443.99	397.90	0.00	Short sale closed
		01/04/2021	241	119.56	12/30/2020	951.85	832.29	0.00	Short sale closed
		01/04/2021	1092	2,166.84	12/30/2020	4,071.85	1,905.01	0.00	Short sale closed
		01/04/2021	1092	2,126.47	12/30/2020	4,377.61	2,251.14	0.00	Short sale closed
		01/04/2021	1500	2,531.61	12/30/2020	5,581.50	3,049.89	0.00	Short sale closed
		01/04/2021	5000	6,499.85	12/30/2020	20,120.00	13,620.15	0.00	Short sale closed
		01/04/2021	5000	7,867.53	12/30/2020	20,044.00	12,176.47	0.00	Short sale closed
		01/04/2021	5000	7,061.26	12/30/2020	20,044.00	12,982.74	0.00	Short sale closed
		01/04/2021	5000	6,454.99	12/30/2020	20,544.00	14,089.01	0.00	Short sale closed
		01/04/2021	5000	4,998.72	12/30/2020	21,171.51	16,172.79	0.00	Short sale closed
		01/04/2021	5000	2,816.95	12/30/2020	21,170.10	18,353.15	0.00	Short sale closed
		01/04/2021	5000	637.65	12/30/2020	21,594.00	20,956.35	0.00	Short sale closed
		01/04/2021	5000	472.73	12/30/2020	21,094.00	21,566.73	0.00	Short sale closed
		01/04/2021	5000	323.34	12/30/2020	19,594.00	19,917.34	0.00	Short sale closed
		01/04/2021	5000	1,922.46	12/30/2020	18,494.00	16,571.54	0.00	Short sale closed
		01/04/2021	5000	2,416.18	12/30/2020	18,094.00	15,677.82	0.00	Short sale closed
		01/04/2021	5000	4,358.80	12/30/2020	17,983.87	13,625.07	0.00	Short sale closed
		01/04/2021	5000	5,423.67	12/30/2020	16,594.00	11,170.33	0.00	Short sale closed
		01/04/2021	5000	7,867.40	12/30/2020	16,496.55	8,629.15	0.00	Short sale closed
		01/04/2021	5000	10,967.42	12/30/2020	17,594.00	6,626.58	0.00	Short sale closed
		01/04/2021	5000	11,010.38	12/30/2020	17,544.00	6,533.62	0.00	Short sale closed
		01/04/2021	5000	10,318.56	12/30/2020	17,094.00	6,775.44	0.00	Short sale closed
			187,423	\$236,836.17		\$741,977.18		(\$5,996.98)	
JG 051857100 AURORA MOBILE LTD ADS									
		12/01/2020	1250	6,369.96	11/27/2020	6,149.37	0.00	220.59	Short sale closed
		12/01/2020	1250	6,369.95	11/27/2020	6,024.37	0.00	345.58	Short sale closed
			2,500	\$12,739.91		\$12,173.74		\$566.17	
KNDI 483709101 KANDI TECHNOLOGIES GROUP INC COM									
		11/19/2020	488	5,070.39	11/17/2020	4,999.92	0.00	70.47	Short sale closed
		11/19/2020	500	5,176.21	11/17/2020	5,109.37	0.00	66.84	Short sale closed
		11/19/2020	750	7,792.61	11/17/2020	7,665.00	0.00	127.61	Short sale closed
		11/19/2020	762	7,917.30	11/17/2020	7,810.50	0.00	106.80	Short sale closed
		11/19/2020	2500	25,948.21	11/17/2020	25,548.75	0.00	399.46	Short sale closed
		11/19/2020	2500	25,739.13	11/17/2020	25,510.00	0.00	229.13	Short sale closed
		11/23/2020	295	3,874.54	11/19/2020	3,849.43	0.00	25.11	Short sale closed
		11/23/2020	2205	28,946.71	11/19/2020	28,753.20	0.00	193.51	Short sale closed
		11/23/2020	2500	32,700.22	11/19/2020	31,298.75	0.00	1,401.47	Short sale closed
		11/23/2020	2500	32,263.23	11/19/2020	31,548.75	0.00	714.48	Short sale closed
		11/23/2020	2500	31,093.89	11/19/2020	31,248.75	154.86	0.00	Short sale closed
		11/23/2020	2500	31,015.32	11/19/2020	30,749.20	0.00	266.12	Short sale closed
		11/23/2020	2500	33,364.04	11/19/2020	32,798.75	0.00	565.29	Short sale closed
			22,500	\$270,901.80		\$266,890.37		\$4,166.29	
KODK 277461406 EASTMAN KODAK CO COM NEW									
		12/09/2020	47	617.64	12/07/2020	612.01	0.00	5.63	Short sale closed
		12/09/2020	50	580.94	12/07/2020	588.50	7.56	0.00	Short sale closed
		12/09/2020	103	1,307.17	12/07/2020	1,311.23	4.06	0.00	Short sale closed
		12/09/2020	493	6,466.98	12/07/2020	6,379.42	0.00	87.56	Short sale closed
		12/09/2020	506	6,258.47	12/07/2020	6,582.56	324.09	0.00	Short sale closed
		12/09/2020	600	7,182.37	12/07/2020	6,911.40	0.00	270.97	Short sale closed

SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

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KODK 277461406 EASTMAN KODAK CO COM NEW	12/09/2020	674	8,155.81	12/07/2020	7,904.86	0.00	250.95	Short sale closed
	12/09/2020	700	9,252.32	12/07/2020	9,064.30	0.00	188.02	Short sale closed
	12/09/2020	700	8,942.76	12/07/2020	8,959.15	16.39	0.00	Short sale closed
	12/09/2020	901	11,144.05	12/07/2020	11,722.07	578.02	0.00	Short sale closed
	12/09/2020	934	11,278.62	12/07/2020	10,934.41	0.00	344.21	Short sale closed
	12/09/2020	1075	13,008.16	12/07/2020	12,609.75	0.00	398.41	Short sale closed
	12/09/2020	1789	21,603.28	12/07/2020	20,913.41	0.00	689.87	Short sale closed
	12/09/2020	1800	23,389.18	12/07/2020	23,308.20	0.00	80.98	Short sale closed
	12/09/2020	1800	22,995.67	12/07/2020	23,308.20	312.53	0.00	Short sale closed
	12/09/2020	1960	25,711.81	12/07/2020	25,381.40	0.00	330.41	Short sale closed
	12/09/2020	2277	27,496.17	12/07/2020	26,686.92	0.00	809.25	Short sale closed
	12/09/2020	2301	27,603.02	12/07/2020	27,153.30	0.00	449.72	Short sale closed
	12/09/2020	2500	31,169.18	12/07/2020	32,268.97	1,099.79	0.00	Short sale closed
	12/09/2020	2500	31,068.04	12/07/2020	32,622.50	1,554.46	0.00	Short sale closed
	12/09/2020	2500	30,570.48	12/07/2020	32,572.50	2,002.02	0.00	Short sale closed
	12/09/2020	2500	29,873.67	12/07/2020	32,524.31	2,650.64	0.00	Short sale closed
	12/09/2020	2500	29,850.84	12/07/2020	32,297.50	2,446.66	0.00	Short sale closed
	12/09/2020	2500	30,502.61	12/07/2020	32,572.50	2,069.89	0.00	Short sale closed
	12/09/2020	2500	31,161.79	12/07/2020	32,058.95	897.16	0.00	Short sale closed
	12/09/2020	2500	32,049.35	12/07/2020	32,547.50	498.15	0.00	Short sale closed
	12/09/2020	2500	32,458.15	12/07/2020	32,582.05	123.90	0.00	Short sale closed
	12/09/2020	2500	32,852.57	12/07/2020	32,272.50	0.00	580.07	Short sale closed
	12/09/2020	2500	31,758.55	12/07/2020	31,297.50	0.00	461.05	Short sale closed
	12/09/2020	2500	31,515.88	12/07/2020	31,047.50	0.00	468.38	Short sale closed
	12/09/2020	2500	30,628.21	12/07/2020	31,882.07	1,253.86	0.00	Short sale closed
	12/09/2020	2500	30,671.02	12/07/2020	31,822.50	1,151.48	0.00	Short sale closed
	12/09/2020	2500	32,351.02	12/07/2020	30,297.50	0.00	2,053.52	Short sale closed
	12/09/2020	2500	32,410.77	12/07/2020	30,297.50	0.00	2,113.27	Short sale closed
	12/09/2020	2500	33,189.50	12/07/2020	30,047.50	0.00	3,142.00	Short sale closed
	12/09/2020	2500	33,122.94	12/07/2020	29,598.00	0.00	3,524.94	Short sale closed
	12/09/2020	2500	30,042.13	12/07/2020	29,549.12	0.00	493.01	Short sale closed
	12/09/2020	2500	30,179.10	12/07/2020	29,586.19	0.00	592.91	Short sale closed
	12/09/2020	2500	29,590.96	12/07/2020	29,547.50	0.00	43.46	Short sale closed
	12/09/2020	2500	30,163.31	12/07/2020	29,422.50	0.00	740.81	Short sale closed
	12/09/2020	2550	30,525.07	12/07/2020	29,908.95	0.00	616.12	Short sale closed
	12/09/2020	2617	32,676.42	12/07/2020	33,547.33	870.91	0.00	Short sale closed
	12/09/2020	2800	33,737.51	12/07/2020	32,900.00	0.00	837.51	Short sale closed
	12/09/2020	3600	45,885.64	12/07/2020	46,112.40	226.76	0.00	Short sale closed
	12/09/2020	3600	47,029.49	12/07/2020	46,144.47	0.00	885.02	Short sale closed
	12/09/2020	4950	57,530.17	12/07/2020	58,806.00	1,275.83	0.00	Short sale closed
	12/09/2020	5000	61,919.32	12/07/2020	62,770.50	851.18	0.00	Short sale closed
	12/09/2020	5000	62,138.87	12/07/2020	62,645.00	506.13	0.00	Short sale closed
	12/09/2020	5000	63,103.60	12/07/2020	63,760.20	656.60	0.00	Short sale closed
	12/09/2020	5000	58,440.05	12/07/2020	59,345.00	904.95	0.00	Short sale closed
	12/09/2020	5000	58,128.10	12/07/2020	58,847.50	719.40	0.00	Short sale closed
	12/09/2020	5000	59,927.35	12/07/2020	59,295.00	0.00	632.35	Short sale closed
	12/09/2020	6400	83,871.21	12/07/2020	82,496.00	0.00	1,375.21	Short sale closed
	12/09/2020	7500	98,329.43	12/07/2020	101,129.23	2,799.80	0.00	Short sale closed
	12/09/2020	10000	128,121.67	12/07/2020	134,959.77	6,838.10	0.00	Short sale closed
	12/09/2020	10000	128,914.41	12/07/2020	133,038.00	4,123.59	0.00	Short sale closed
	12/09/2020	10000	129,852.11	12/07/2020	135,190.00	5,337.89	0.00	Short sale closed
	12/09/2020	10000	128,999.31	12/07/2020	133,106.36	4,107.05	0.00	Short sale closed
		177,727	\$2,229,304.22		\$2,253,047.46		\$22,465.61	
KOPN 500600101 KOPIN CORP COM	12/28/2020	167	663.16	12/23/2020	637.82	0.00	25.34	Short sale closed
	12/28/2020	600	2,382.59	12/23/2020	2,291.28	0.00	91.31	Short sale closed
	12/28/2020	770	2,979.83	12/23/2020	2,961.69	0.00	18.14	Short sale closed

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KOPN 500600101 KOPIN CORP COM	12/28/2020	851	3,295.74	12/23/2020	3,299.04	3.30	0.00	Short sale closed
	12/28/2020	879	3,401.66	12/23/2020	3,375.36	0.00	26.30	Short sale closed
	12/28/2020	929	3,694.93	12/23/2020	3,580.83	0.00	114.10	Short sale closed
	12/28/2020	1733	6,881.73	12/23/2020	6,645.19	0.00	236.54	Short sale closed
		5,929	\$23,299.64		\$22,791.21		\$511.73	
KXIN G5223X100 KAIXIN AUTO HLDGS SHS	11/24/2020	700	5,147.56	11/20/2020	4,291.00	0.00	856.56	Short sale closed
	11/24/2020	1800	13,236.59	11/20/2020	11,123.85	0.00	2,112.74	Short sale closed
	11/24/2020	2500	18,425.54	11/20/2020	15,035.85	0.00	3,389.69	Short sale closed
	11/25/2020	44	416.18	11/23/2020	404.68	0.00	11.50	Short sale closed
	11/25/2020	100	960.68	11/23/2020	900.50	0.00	60.18	Short sale closed
	11/25/2020	485	4,609.72	11/23/2020	4,379.68	0.00	230.04	Short sale closed
	11/25/2020	2040	19,270.79	11/23/2020	18,522.18	0.00	748.61	Short sale closed
	11/25/2020	2413	22,209.44	11/23/2020	21,723.55	0.00	485.89	Short sale closed
	11/25/2020	2500	22,621.00	11/23/2020	23,798.75	1,177.75	0.00	Short sale closed
	11/25/2020	2500	22,773.37	11/23/2020	23,800.10	1,026.73	0.00	Short sale closed
	11/25/2020	2960	27,648.51	11/23/2020	26,875.32	0.00	773.19	Short sale closed
	11/25/2020	4515	42,913.18	11/23/2020	40,923.51	0.00	1,989.67	Short sale closed
	11/25/2020	4900	47,073.43	11/23/2020	44,247.00	0.00	2,826.43	Short sale closed
	11/25/2020	4956	46,876.48	11/23/2020	46,140.36	0.00	736.12	Short sale closed
	11/25/2020	5000	45,662.62	11/23/2020	45,917.08	254.46	0.00	Short sale closed
	11/25/2020	5000	46,935.49	11/23/2020	46,497.50	0.00	437.99	Short sale closed
	11/25/2020	5000	45,506.47	11/23/2020	45,297.50	0.00	208.97	Short sale closed
	11/25/2020	5000	48,404.01	11/23/2020	45,147.50	0.00	3,256.51	Short sale closed
	11/25/2020	5000	47,733.46	11/23/2020	45,097.50	0.00	2,635.96	Short sale closed
	11/25/2020	5000	48,499.64	11/23/2020	50,020.00	1,520.36	0.00	Short sale closed
	11/25/2020	5000	48,047.79	11/23/2020	48,520.81	473.02	0.00	Short sale closed
	11/25/2020	5000	47,928.84	11/23/2020	47,270.00	0.00	658.84	Short sale closed
	11/25/2020	5000	47,770.80	11/23/2020	49,869.50	2,098.70	0.00	Short sale closed
	11/25/2020	5000	48,488.48	11/23/2020	46,665.00	0.00	1,823.48	Short sale closed
	11/25/2020	5000	48,256.04	11/23/2020	46,447.50	0.00	1,808.54	Short sale closed
	11/30/2020	950	8,065.68	11/25/2020	7,903.52	0.00	162.16	Short sale closed
	11/30/2020	1950	16,655.87	11/25/2020	16,348.41	0.00	307.46	Short sale closed
	11/30/2020	2500	21,700.47	11/25/2020	20,701.48	0.00	998.99	Short sale closed
	12/03/2020	397	3,334.88	12/01/2020	3,254.15	0.00	80.73	Short sale closed
	12/03/2020	550	4,664.10	12/01/2020	4,345.00	0.00	319.10	Short sale closed
	12/03/2020	825	6,958.02	12/01/2020	6,525.75	0.00	432.27	Short sale closed
	12/03/2020	900	7,443.18	12/01/2020	7,388.91	0.00	54.27	Short sale closed
	12/03/2020	971	8,234.27	12/01/2020	7,680.61	0.00	553.66	Short sale closed
	12/03/2020	979	8,302.11	12/01/2020	7,703.48	0.00	598.63	Short sale closed
	12/03/2020	1160	9,593.43	12/01/2020	9,417.95	0.00	175.48	Short sale closed
	12/03/2020	1340	11,082.06	12/01/2020	11,001.40	0.00	80.66	Short sale closed
	12/03/2020	1500	12,554.64	12/01/2020	12,314.25	0.00	240.39	Short sale closed
	12/03/2020	1600	13,232.31	12/01/2020	13,090.80	0.00	141.51	Short sale closed
	12/03/2020	1675	14,103.78	12/01/2020	13,331.75	0.00	772.03	Short sale closed
	12/03/2020	2100	17,574.00	12/01/2020	17,050.95	0.00	523.05	Short sale closed
	12/03/2020	2103	17,665.60	12/01/2020	17,265.63	0.00	399.97	Short sale closed
	12/03/2020	2500	20,925.48	12/01/2020	20,149.77	0.00	775.71	Short sale closed
	12/03/2020	2500	20,848.48	12/01/2020	20,523.75	0.00	324.73	Short sale closed
	12/03/2020	2688	22,577.79	12/01/2020	21,556.42	0.00	1,021.37	Short sale closed
		116,601	\$1,062,932.26		\$1,036,470.20		\$33,013.08	
KZIA 48669G105 KAZIA THERAPEUTICS LTD SPONSORED ADR	11/20/2020	2500	33,675.20	11/18/2020	32,823.75	0.00	851.45	Short sale closed
		2,500	\$33,675.20		\$32,823.75		\$851.45	
LIZI 53933L104 LIZHI INC ADS	12/07/2020	5000	25,928.97	12/03/2020	26,297.50	368.53	0.00	Short sale closed
	12/07/2020	5000	25,900.67	12/03/2020	27,793.64	1,892.97	0.00	Short sale closed

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LIZI 53933L104 LIZHI INC  ADS	12/07/2020	5000	26,701.31	12/03/2020	27,947.50	1,246.19	0.00	Short sale closed
	12/07/2020	5000	27,812.93	12/03/2020	27,147.50	0.00	665.43	Short sale closed
	12/07/2020	7500	32,177.15	12/03/2020	32,431.87	254.72	0.00	Short sale closed
	12/07/2020	7500	32,161.91	12/03/2020	32,433.30	271.39	0.00	Short sale closed
	12/07/2020	8356	35,662.85	12/03/2020	37,347.15	1,684.30	0.00	Short sale closed
	12/07/2020	10000	42,652.86	12/03/2020	43,195.00	542.14	0.00	Short sale closed
	12/07/2020	10000	44,902.81	12/03/2020	46,096.50	1,193.69	0.00	Short sale closed
	12/07/2020	10000	45,777.85	12/03/2020	47,989.06	2,211.21	0.00	Short sale closed
	12/07/2020	10000	44,421.45	12/03/2020	48,043.50	3,622.05	0.00	Short sale closed
	12/07/2020	10000	43,578.73	12/03/2020	48,104.58	4,525.85	0.00	Short sale closed
	12/07/2020	10000	42,927.39	12/03/2020	48,095.00	5,167.61	0.00	Short sale closed
	12/07/2020	10000	42,285.15	12/03/2020	46,895.00	4,609.85	0.00	Short sale closed
	12/07/2020	10000	44,276.54	12/03/2020	46,095.00	1,818.46	0.00	Short sale closed
	12/07/2020	10000	47,008.69	12/03/2020	47,095.00	86.31	0.00	Short sale closed
	12/07/2020	10000	45,946.82	12/03/2020	43,195.00	0.00	2,751.82	Short sale closed
	12/07/2020	20000	91,452.83	12/03/2020	90,390.00	0.00	1,062.83	Short sale closed
	12/07/2020	20000	92,298.63	12/03/2020	88,390.00	0.00	3,908.63	Short sale closed
	12/07/2020	1705	9,275.64	12/03/2020	9,069.75	0.00	205.89	Short sale closed
	12/07/2020	1836	7,831.19	12/03/2020	8,397.87	566.68	0.00	Short sale closed
	12/07/2020	2085	10,241.36	12/03/2020	10,032.48	0.00	208.88	Short sale closed
	12/07/2020	2100	9,975.57	12/03/2020	10,120.95	145.38	0.00	Short sale closed
	12/07/2020	2450	10,387.48	12/03/2020	10,461.50	74.02	0.00	Short sale closed
	12/07/2020	2500	10,888.08	12/03/2020	11,048.75	160.67	0.00	Short sale closed
	12/07/2020	2500	11,084.46	12/03/2020	11,036.25	0.00	48.21	Short sale closed
	12/07/2020	2500	12,169.67	12/03/2020	12,193.66	23.99	0.00	Short sale closed
	12/07/2020	2500	11,100.22	12/03/2020	11,048.75	0.00	51.47	Short sale closed
	12/07/2020	2500	10,824.46	12/03/2020	10,673.75	0.00	150.71	Short sale closed
	12/07/2020	2500	10,869.71	12/03/2020	10,549.00	0.00	320.71	Short sale closed
	12/07/2020	2500	10,827.41	12/03/2020	10,398.99	0.00	428.42	Short sale closed
	12/07/2020	2500	9,834.40	12/03/2020	10,023.75	189.35	0.00	Short sale closed
	12/07/2020	2500	9,986.38	12/03/2020	9,798.75	0.00	187.63	Short sale closed
	12/07/2020	2500	9,616.42	12/03/2020	10,023.75	407.33	0.00	Short sale closed
	12/07/2020	2500	9,616.42	12/03/2020	9,798.75	182.33	0.00	Short sale closed
	12/07/2020	2500	10,515.78	12/03/2020	10,298.75	0.00	217.03	Short sale closed
	12/07/2020	2500	10,515.77	12/03/2020	10,048.75	0.00	467.02	Short sale closed
	12/07/2020	2500	10,515.81	12/03/2020	10,548.75	32.94	0.00	Short sale closed
	12/07/2020	2500	10,642.77	12/03/2020	10,548.75	0.00	94.02	Short sale closed
	12/07/2020	2500	10,685.17	12/03/2020	10,473.75	0.00	211.42	Short sale closed
	12/07/2020	2500	10,685.15	12/03/2020	10,298.75	0.00	386.40	Short sale closed
	12/07/2020	2500	10,821.25	12/03/2020	10,398.75	0.00	422.50	Short sale closed
	12/07/2020	2884	13,666.42	12/03/2020	13,480.90	0.00	185.52	Short sale closed
	12/07/2020	3354	17,127.57	12/03/2020	16,169.51	0.00	958.06	Short sale closed
	12/07/2020	3410	16,055.74	12/03/2020	15,616.09	0.00	439.65	Short sale closed
	12/07/2020	3525	19,317.92	12/03/2020	19,456.24	138.32	0.00	Short sale closed
	12/07/2020	3632	15,555.70	12/03/2020	16,380.32	824.62	0.00	Short sale closed
	12/07/2020	4562	25,340.51	12/03/2020	25,227.23	0.00	113.28	Short sale closed
	12/07/2020	4700	19,732.98	12/03/2020	19,788.37	55.39	0.00	Short sale closed
	12/07/2020	4900	20,900.23	12/03/2020	21,902.00	1,001.77	0.00	Short sale closed
	12/07/2020	5000	22,851.82	12/03/2020	22,097.50	0.00	754.32	Short sale closed
	12/07/2020	5000	23,843.75	12/03/2020	24,097.50	253.75	0.00	Short sale closed
	12/07/2020	5000	24,800.73	12/03/2020	25,447.50	646.77	0.00	Short sale closed
	12/07/2020	5000	24,646.25	12/03/2020	25,497.50	851.25	0.00	Short sale closed
	12/07/2020	5000	24,830.99	12/03/2020	24,647.65	0.00	183.34	Short sale closed
	12/07/2020	5000	20,896.56	12/03/2020	22,097.50	1,200.94	0.00	Short sale closed
	12/07/2020	5000	21,845.02	12/03/2020	22,097.50	252.48	0.00	Short sale closed
	12/07/2020	5000	21,811.75	12/03/2020	21,597.50	0.00	214.25	Short sale closed
	12/07/2020	5000	22,755.28	12/03/2020	21,097.50	0.00	1,657.78	Short sale closed
	12/07/2020	5000	22,401.41	12/03/2020	23,098.00	696.59	0.00	Short sale closed

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LIZI 53933L104 LIZHI INC ADS	12/07/2020	5000	23,079.36	12/03/2020	22,597.50	0.00	481.86	Short sale closed
	12/07/2020	5000	22,370.15	12/03/2020	22,697.50	327.35	0.00	Short sale closed
	12/07/2020	5000	23,351.39	12/03/2020	24,520.00	1,168.61	0.00	Short sale closed
	12/07/2020	5000	23,951.38	12/03/2020	24,097.50	146.12	0.00	Short sale closed
	12/07/2020	5000	24,124.01	12/03/2020	24,097.50	0.00	26.51	Short sale closed
	12/07/2020	5000	23,943.51	12/03/2020	23,597.50	0.00	346.01	Short sale closed
	12/07/2020	5000	24,446.04	12/03/2020	23,097.50	0.00	1,348.54	Short sale closed
	12/07/2020	5000	24,376.54	12/03/2020	22,597.50	0.00	1,779.04	Short sale closed
	12/07/2020	5000	23,749.93	12/03/2020	22,547.50	0.00	1,202.43	Short sale closed
	12/07/2020	50	211.99	12/03/2020	211.60	0.00	0.39	Short sale closed
	12/07/2020	100	426.54	12/03/2020	467.44	40.90	0.00	Short sale closed
	12/07/2020	900	4,041.25	12/03/2020	4,050.00	8.75	0.00	Short sale closed
	12/07/2020	968	4,094.88	12/03/2020	3,988.16	0.00	106.72	Short sale closed
	12/07/2020	1368	5,883.59	12/03/2020	6,167.18	283.59	0.00	Short sale closed
	12/07/2020	1532	6,451.32	12/03/2020	6,310.59	0.00	140.73	Short sale closed
	12/07/2020	1600	7,184.45	12/03/2020	7,187.25	2.80	0.00	Short sale closed
	12/07/2020	1644	7,201.18	12/03/2020	7,347.85	146.67	0.00	Short sale closed
	12/07/2020	1646	8,144.29	12/03/2020	8,065.40	0.00	78.89	Short sale closed
		374,307	\$1,708,198.54		\$1,725,716.83		\$21,806.34	
LXRX 528872302 LEXICON PHARMACEUTICALS INC COM NEW	11/19/2020	700	1,264.07	11/17/2020	1,278.50	14.43	0.00	Short sale closed
	11/19/2020	2500	5,119.00	11/17/2020	4,773.75	0.00	345.25	Short sale closed
	11/19/2020	2500	5,118.99	11/17/2020	4,777.67	0.00	341.32	Short sale closed
	11/19/2020	4300	7,763.67	11/17/2020	7,912.00	148.33	0.00	Short sale closed
	11/19/2020	5000	9,349.84	11/17/2020	9,522.50	172.66	0.00	Short sale closed
	11/19/2020	5000	9,378.93	11/17/2020	10,572.50	1,193.57	0.00	Short sale closed
	11/19/2020	5000	8,253.13	11/17/2020	10,620.80	2,367.67	0.00	Short sale closed
	11/19/2020	5000	7,078.53	11/17/2020	10,622.50	3,543.97	0.00	Short sale closed
	11/19/2020	5000	6,772.19	11/17/2020	10,597.50	3,825.31	0.00	Short sale closed
	11/19/2020	5000	8,242.26	11/17/2020	10,997.50	2,755.24	0.00	Short sale closed
	11/19/2020	5000	10,168.74	11/17/2020	10,197.50	28.76	0.00	Short sale closed
	11/19/2020	5000	10,459.00	11/17/2020	10,047.50	0.00	411.50	Short sale closed
	11/19/2020	5000	10,607.32	11/17/2020	9,697.50	0.00	909.82	Short sale closed
	11/19/2020	7500	12,454.69	11/17/2020	16,454.44	3,999.75	0.00	Short sale closed
	11/19/2020	7500	12,126.51	11/17/2020	15,971.25	3,844.74	0.00	Short sale closed
	11/19/2020	7500	12,671.24	11/17/2020	15,896.25	3,225.01	0.00	Short sale closed
	11/19/2020	7500	14,041.93	11/17/2020	15,853.79	1,811.86	0.00	Short sale closed
	11/19/2020	7500	16,500.95	11/17/2020	14,696.25	0.00	1,804.70	Short sale closed
	11/19/2020	7600	14,988.56	11/17/2020	14,512.20	0.00	476.36	Short sale closed
		100,100	\$182,359.55		\$205,001.90		\$4,288.95	
MARPS 568423107 MARINE PETE TR UNIT BEN INT	12/30/2020	1250	6,517.38	12/28/2020	6,317.50	0.00	199.88	Short sale closed
		1,250	\$6,517.38		\$6,317.50		\$199.88	
MDGS 58471G300 MEDIGUS LTD SPONSORED ADS	11/23/2020	563	1,711.70	11/19/2020	1,524.48	0.00	187.22	Short sale closed
	11/23/2020	800	2,388.25	11/19/2020	2,238.75	0.00	149.50	Short sale closed
	11/23/2020	1541	4,145.78	11/19/2020	4,005.83	0.00	139.95	Short sale closed
	11/23/2020	1700	5,075.03	11/19/2020	4,777.00	0.00	298.03	Short sale closed
	11/23/2020	1937	5,791.08	11/19/2020	5,268.64	0.00	522.44	Short sale closed
	11/23/2020	2500	7,994.50	11/19/2020	7,310.00	0.00	684.50	Short sale closed
	11/23/2020	2500	7,514.53	11/19/2020	7,198.75	0.00	315.78	Short sale closed
	11/23/2020	2500	7,572.29	11/19/2020	6,948.75	0.00	623.54	Short sale closed
	11/23/2020	2500	7,474.28	11/19/2020	6,723.75	0.00	750.53	Short sale closed
	11/23/2020	2500	7,200.60	11/19/2020	6,473.75	0.00	726.85	Short sale closed
	11/23/2020	2500	7,213.49	11/19/2020	6,273.75	0.00	939.74	Short sale closed
	11/23/2020	2500	6,426.76	11/19/2020	6,273.75	0.00	153.01	Short sale closed
	11/23/2020	2500	6,424.86	11/19/2020	6,198.75	0.00	226.11	Short sale closed

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Velocity Clearing LLC		Proceeds from Broker and Barter Exchange Transactions				2020 Form 1099-B*		OMB No. 1545-0715	
1GDN-GDN-871410									
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 Box 12: Basis Reported to the IRS Box 5: Box Not Checked Box 6: Net proceeds									
The 1099-B data referenced by a Box Number is reported to the IRS.									
1a -Symbol   CUSIP   Description of property		1c-Date Sold or Disposed	Quantity	1d - Proceeds	1b - Date Acquired	1e - Cost or Other Basis	1g - Wash Sale Loss Disallowed	Gain or Loss (-)	Additional Notes
			26,541	\$76,933.15		\$71,215.95		\$5,717.20	
MTC G6181K106 MMTEC INC SHS									
		12/04/2020	300	671.17	12/02/2020	635.65	0.00	35.52	Short sale closed
		12/04/2020	2200	4,921.92	12/02/2020	4,642.00	0.00	279.92	Short sale closed
			2,500	\$5,593.09		\$5,277.65		\$315.44	
NAOV 63008J108 NANOVIBRONIX INC COM									
		12/04/2020	22	27.45	12/02/2020	26.68	0.00	0.77	Short sale closed
		12/04/2020	1000	1,247.70	12/02/2020	1,174.00	0.00	73.70	Short sale closed
		12/04/2020	1978	2,467.96	12/02/2020	2,381.49	0.00	86.47	Short sale closed
		12/04/2020	2000	2,495.41	12/02/2020	2,424.50	0.00	70.91	Short sale closed
		12/04/2020	2500	3,362.94	12/02/2020	2,905.88	0.00	457.06	Short sale closed
		12/04/2020	2500	3,362.94	12/02/2020	2,930.63	0.00	432.31	Short sale closed
		12/04/2020	5000	6,843.68	12/02/2020	6,261.25	0.00	582.43	Short sale closed
		12/04/2020	5000	6,803.23	12/02/2020	6,211.25	0.00	591.98	Short sale closed
		12/04/2020	5000	6,648.26	12/02/2020	6,061.25	0.00	587.01	Short sale closed
		12/04/2020	5000	6,540.51	12/02/2020	6,111.25	0.00	429.26	Short sale closed
			30,000	\$39,800.08		\$36,488.18		\$3,311.90	
NIO 62914V106 NIO INC SPON ADS									
		11/16/2020	2	97.23	11/12/2020	96.76	0.00	0.47	Short sale closed
		11/16/2020	300	14,544.74	11/12/2020	14,520.70	0.00	24.04	Short sale closed
		11/16/2020	490	23,853.54	11/12/2020	23,727.27	0.00	126.27	Short sale closed
		11/16/2020	2010	97,848.22	11/12/2020	97,444.80	0.00	403.42	Short sale closed
		11/16/2020	2200	106,661.45	11/12/2020	106,546.00	0.00	115.45	Short sale closed
		11/16/2020	2498	121,442.03	11/12/2020	120,857.80	0.00	584.23	Short sale closed
		11/16/2020	2500	121,668.32	11/12/2020	122,007.70	339.38	0.00	Short sale closed
		11/16/2020	2500	122,890.18	11/12/2020	120,320.25	0.00	2,569.93	Short sale closed
		11/16/2020	2500	120,938.83	11/12/2020	120,070.25	0.00	868.58	Short sale closed
		11/17/2020	2500	135,057.46	11/13/2020	132,504.75	0.00	2,552.71	Short sale closed
		11/17/2020	2500	133,676.49	11/13/2020	130,320.25	0.00	3,356.24	Short sale closed
		11/17/2020	2500	130,926.55	11/13/2020	128,546.88	0.00	2,379.67	Short sale closed
		11/25/2020	2500	134,924.21	11/23/2020	134,485.00	0.00	439.21	Short sale closed
		11/25/2020	2500	136,261.54	11/23/2020	133,772.75	0.00	2,488.79	Short sale closed
			27,500	\$1,400,790.79		\$1,385,221.16		\$15,909.01	
NURO 641255807 NEUROMETRIX INC COM									
		12/10/2020	200	794.06	12/08/2020	884.00	89.94	0.00	Short sale closed
		12/10/2020	203	804.07	12/08/2020	821.46	17.39	0.00	Short sale closed
		12/10/2020	762	3,017.57	12/08/2020	3,063.24	45.67	0.00	Short sale closed
		12/10/2020	911	3,621.10	12/08/2020	3,671.33	50.23	0.00	Short sale closed
		12/10/2020	1250	4,603.09	12/08/2020	4,649.37	46.28	0.00	Short sale closed
		12/10/2020	1929	8,394.69	12/08/2020	8,467.35	72.66	0.00	Short sale closed
		12/10/2020	2500	10,213.50	12/08/2020	10,176.85	0.00	36.65	Short sale closed
		12/10/2020	2500	8,922.91	12/08/2020	9,536.25	613.34	0.00	Short sale closed
		12/10/2020	5100	17,960.48	12/08/2020	18,974.65	1,014.17	0.00	Short sale closed
		12/10/2020	5584	26,076.91	12/08/2020	25,238.64	0.00	838.27	Short sale closed
		12/10/2020	8071	33,251.11	12/08/2020	35,594.28	2,343.17	0.00	Short sale closed
		12/10/2020	9800	39,403.23	12/08/2020	44,100.00	4,696.77	0.00	Short sale closed
		12/10/2020	10000	42,765.65	12/08/2020	44,950.37	2,184.72	0.00	Short sale closed
		12/10/2020	10000	44,517.05	12/08/2020	45,006.96	489.91	0.00	Short sale closed
		12/10/2020	10000	38,702.95	12/08/2020	37,195.00	0.00	1,507.95	Short sale closed
		12/10/2020	10660	48,492.54	12/08/2020	48,071.27	0.00	421.27	Short sale closed
		12/10/2020	10800	51,454.96	12/08/2020	49,890.60	0.00	1,564.36	Short sale closed
			90,270	\$382,995.87		\$390,291.62		\$4,368.50	
OBLN 67424L209 OBALON THERAPEUTICS INC COM NEW									
		12/09/2020	600	1,615.33	12/07/2020	1,599.25	0.00	16.08	Short sale closed
		12/09/2020	800	1,658.86	12/07/2020	2,255.60	596.74	0.00	Short sale closed
		12/09/2020	800	2,080.21	12/07/2020	1,944.00	0.00	136.21	Short sale closed
		12/09/2020	1700	4,420.46	12/07/2020	4,099.75	0.00	320.71	Short sale closed
		12/09/2020	2500	6,500.68	12/07/2020	6,198.75	0.00	301.93	Short sale closed

SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

Report on Form 8949, Part I with Box A checked.  
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The 1099-B data referenced by a Box Number is reported to the IRS.

1a -Symbol   CUSIP   Description of property	1c-Date Sold or Disposed	Quantity	1d - Proceeds	1b - Date Acquired	1e - Cost or Other Basis	1g - Wash Sale Loss Disallowed	Gain or Loss (-)	Additional Notes
OBLN 67424L209 OBALON THERAPEUTICS INC COM NEW	12/09/2020	2800	6,093.23	12/07/2020	7,845.89	1,752.66	0.00	Short sale closed
	12/09/2020	5000	11,444.91	12/07/2020	11,797.50	352.59	0.00	Short sale closed
	12/09/2020	5000	11,792.85	12/07/2020	11,495.20	0.00	297.65	Short sale closed
	12/09/2020	5000	10,225.75	12/07/2020	11,809.50	1,583.75	0.00	Short sale closed
	12/09/2020	5000	10,616.51	12/07/2020	11,547.50	930.99	0.00	Short sale closed
	12/09/2020	6400	15,325.60	12/07/2020	18,044.80	2,719.20	0.00	Short sale closed
	12/09/2020	9400	25,283.87	12/07/2020	25,192.00	0.00	91.87	Short sale closed
	12/09/2020	10000	24,213.96	12/07/2020	27,195.00	2,981.04	0.00	Short sale closed
		55,000	\$131,272.22		\$141,024.74		\$1,164.45	
OCGN 67577C105 OCUGEN INC COM	12/28/2020	1400	3,068.88	12/23/2020	3,513.99	445.11	0.00	Short sale closed
	12/28/2020	2550	6,113.82	12/23/2020	6,400.50	286.68	0.00	Short sale closed
	12/28/2020	2701	6,948.42	12/23/2020	7,094.53	146.11	0.00	Short sale closed
	12/28/2020	7450	17,861.95	12/23/2020	18,687.50	825.55	0.00	Short sale closed
	12/28/2020	10000	23,975.77	12/23/2020	21,943.53	0.00	2,032.24	Short sale closed
	12/28/2020	10000	23,975.78	12/23/2020	24,088.00	112.22	0.00	Short sale closed
	12/28/2020	12299	31,512.04	12/23/2020	32,715.34	1,203.30	0.00	Short sale closed
	12/28/2020	13600	29,811.98	12/23/2020	34,408.00	4,596.02	0.00	Short sale closed
	12/28/2020	15000	28,833.03	12/23/2020	34,032.00	5,198.97	0.00	Short sale closed
	12/28/2020	15000	28,964.73	12/23/2020	33,737.13	4,772.40	0.00	Short sale closed
	12/28/2020	15000	35,663.67	12/23/2020	41,117.34	5,453.67	0.00	Short sale closed
	12/28/2020	15000	30,741.27	12/23/2020	40,632.00	9,890.73	0.00	Short sale closed
	12/28/2020	15000	29,299.36	12/23/2020	39,432.00	10,132.64	0.00	Short sale closed
	12/28/2020	15000	40,480.37	12/23/2020	39,360.81	0.00	1,119.56	Short sale closed
	12/28/2020	15000	40,495.19	12/23/2020	38,910.00	0.00	1,585.19	Short sale closed
	12/28/2020	15000	41,610.42	12/23/2020	40,782.00	0.00	828.42	Short sale closed
	12/28/2020	15000	41,663.53	12/23/2020	40,632.00	0.00	1,031.53	Short sale closed
	12/28/2020	20000	50,020.50	12/23/2020	48,204.50	0.00	1,816.00	Short sale closed
		215,000	\$511,040.71		\$545,691.17		\$8,412.94	
OCX 68235C107 ONCOCYTE CORP COM	12/17/2020	400	1,356.32	12/15/2020	1,275.60	0.00	80.72	Short sale closed
	12/17/2020	489	1,658.10	12/15/2020	1,558.44	0.00	99.66	Short sale closed
	12/17/2020	500	1,889.58	12/15/2020	1,740.00	0.00	149.58	Short sale closed
	12/17/2020	700	2,297.05	12/15/2020	2,386.30	89.25	0.00	Short sale closed
	12/17/2020	800	3,022.98	12/15/2020	2,773.75	0.00	249.23	Short sale closed
	12/17/2020	1200	3,991.89	12/15/2020	3,934.80	0.00	57.09	Short sale closed
	12/17/2020	1250	5,128.27	12/15/2020	5,148.75	20.48	0.00	Short sale closed
	12/17/2020	1250	5,129.71	12/15/2020	5,155.62	25.91	0.00	Short sale closed
	12/17/2020	2095	6,841.56	12/15/2020	6,587.22	0.00	254.34	Short sale closed
	12/17/2020	2500	8,236.94	12/15/2020	8,172.50	0.00	64.44	Short sale closed
	12/17/2020	2500	8,302.36	12/15/2020	8,274.70	0.00	27.66	Short sale closed
	12/17/2020	2905	9,524.04	12/15/2020	9,128.07	0.00	395.97	Short sale closed
	12/17/2020	3700	13,985.69	12/15/2020	12,913.00	0.00	1,072.69	Short sale closed
	12/17/2020	4111	13,939.61	12/15/2020	12,990.13	0.00	949.48	Short sale closed
	12/17/2020	4200	14,619.38	12/15/2020	13,271.10	0.00	1,348.28	Short sale closed
	12/17/2020	4356	15,565.12	12/15/2020	15,775.73	210.61	0.00	Short sale closed
	12/17/2020	5000	17,149.60	12/15/2020	18,045.00	895.40	0.00	Short sale closed
	12/17/2020	5000	17,851.26	12/15/2020	17,545.00	0.00	306.26	Short sale closed
	12/17/2020	5000	17,847.40	12/15/2020	18,505.88	658.48	0.00	Short sale closed
	12/17/2020	5000	18,121.85	12/15/2020	18,507.10	385.25	0.00	Short sale closed
	12/17/2020	5000	18,132.16	12/15/2020	18,600.28	468.12	0.00	Short sale closed
	12/17/2020	5000	17,758.38	12/15/2020	18,197.75	439.37	0.00	Short sale closed
	12/17/2020	5000	18,498.88	12/15/2020	17,595.00	0.00	903.88	Short sale closed
	12/17/2020	5000	17,502.11	12/15/2020	16,469.66	0.00	1,032.45	Short sale closed
	12/17/2020	5000	17,113.36	12/15/2020	16,345.00	0.00	768.36	Short sale closed
	12/17/2020	5000	17,028.19	12/15/2020	16,373.87	0.00	654.32	Short sale closed
	12/17/2020	5000	16,305.56	12/15/2020	16,095.00	0.00	210.56	Short sale closed

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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 Box 12: Basis Reported to the IRS Box 5: Box Not Checked Box 6: Net proceeds The 1099-B data referenced by a Box Number is reported to the IRS.								
1a -Symbol   CUSIP   Description of property	1c-Date Sold or Disposed	Quantity	1d - Proceeds	1b - Date Acquired	1e - Cost or Other Basis	1g - Wash Sale Loss Disallowed	Gain or Loss (-)	Additional Notes
OCX 68235C107 ONCOCYTE CORP COM	12/17/2020	7538	24,667.09	12/15/2020	24,002.23	0.00	664.86	Short sale closed
		95,494	\$333,464.44		\$327,367.48		\$9,289.83	
OSS 68247W109 ONE STOP SYS INC COM	12/30/2020	5000	25,874.86	12/28/2020	24,919.76	0.00	955.10	Short sale closed
		5,000	\$25,874.86		\$24,919.76		\$955.10	
PED 70532Y303 PEDEVCO CORP COM PAR	12/31/2020	1250	2,713.79	12/31/2020	2,675.35	0.00	38.44	Sale
	12/31/2020	945	2,041.15	12/31/2020	2,022.56	0.00	18.59	Sale
	12/31/2020	305	655.34	12/31/2020	652.79	0.00	2.55	Sale
		2,500	\$5,410.28		\$5,350.70		\$59.58	
RCON G7415M124 RECON TECHNOLOGY LTD SHS NEW	12/11/2020	637	1,968.53	12/09/2020	1,860.04	0.00	108.49	Short sale closed
	12/11/2020	745	2,302.28	12/09/2020	2,167.95	0.00	134.33	Short sale closed
	12/11/2020	853	2,610.45	12/09/2020	2,456.64	0.00	153.81	Short sale closed
	12/11/2020	1118	3,454.96	12/09/2020	3,247.86	0.00	207.10	Short sale closed
	12/11/2020	1435	4,147.59	12/09/2020	3,730.29	0.00	417.30	Short sale closed
	12/11/2020	1647	5,040.33	12/09/2020	4,746.38	0.00	293.95	Short sale closed
	12/11/2020	2097	6,857.83	12/09/2020	6,625.97	0.00	231.86	Short sale closed
	12/11/2020	2500	8,675.75	12/09/2020	8,482.27	0.00	193.48	Short sale closed
	12/11/2020	2500	8,666.75	12/09/2020	8,480.47	0.00	186.28	Short sale closed
		13,532	\$43,724.47		\$41,797.87		\$1,926.60	
	12/30/2020	2500	19,562.36	12/28/2020	15,047.00	34,609.36	0.00	Short sale closed
	12/30/2020	2500	18,868.52	12/28/2020	14,547.00	33,415.52	0.00	Short sale closed
	12/30/2020	3700	31,764.00	12/28/2020	23,334.30	55,098.30	0.00	Short sale closed
	12/30/2020	25	194.99	12/28/2020	285.25	480.24	0.00	Short sale closed
	12/30/2020	100	2,449.74	12/28/2020	694.38	3,144.12	0.00	Short sale closed
	12/30/2020	200	125.47	12/28/2020	1,329.92	1,204.45	0.00	Short sale closed
	12/30/2020	445	1,026.70	12/28/2020	5,559.50	6,586.20	0.00	Short sale closed
	12/30/2020	679	5,514.47	12/28/2020	4,229.85	9,744.32	0.00	Short sale closed
	12/30/2020	799	501.24	12/28/2020	5,272.44	4,771.20	0.00	Short sale closed
	12/30/2020	1200	29,396.84	12/28/2020	8,330.70	37,727.54	0.00	Short sale closed
	12/30/2020	1821	14,789.18	12/28/2020	11,471.25	26,260.43	0.00	Short sale closed
	12/30/2020	2055	3,319.28	12/28/2020	25,893.00	29,212.28	0.00	Short sale closed
	12/30/2020	2300	472.98	12/28/2020	15,408.16	15,881.14	0.00	Short sale closed
	12/30/2020	2475	18,087.51	12/28/2020	29,700.00	47,787.51	0.00	Short sale closed
	12/30/2020	2500	8,713.25	12/28/2020	17,497.00	8,783.75	0.00	Short sale closed
	12/30/2020	2500	30,790.44	12/28/2020	31,167.16	61,957.60	0.00	Short sale closed
	12/30/2020	2500	43,955.30	12/28/2020	38,497.00	82,452.30	0.00	Short sale closed
	12/30/2020	2500	53,234.19	12/28/2020	38,497.00	91,731.19	0.00	Short sale closed
	12/30/2020	2500	19,644.48	12/28/2020	14,997.00	34,641.48	0.00	Short sale closed
	12/31/2020	13	61.61	12/29/2020	71.90	133.51	0.00	Short sale closed
	12/31/2020	100	233.31	12/29/2020	378.00	611.31	0.00	Short sale closed
	12/31/2020	160	438.93	12/29/2020	642.41	1,081.34	0.00	Short sale closed
	12/31/2020	300	471.82	12/29/2020	1,200.00	1,671.82	0.00	Short sale closed
	12/31/2020	361	873.42	12/29/2020	1,349.76	2,223.18	0.00	Short sale closed
	12/31/2020	389	907.60	12/29/2020	1,536.55	2,444.15	0.00	Short sale closed
	12/31/2020	525	525.89	12/29/2020	2,020.62	2,546.51	0.00	Short sale closed
	12/31/2020	555	2,316.61	12/29/2020	2,477.79	4,794.40	0.00	Short sale closed
	12/31/2020	730	2,025.65	12/29/2020	2,695.34	4,720.99	0.00	Short sale closed
	12/31/2020	958	1,493.45	12/29/2020	3,578.72	5,072.17	0.00	Short sale closed
	12/31/2020	1000	2,973.27	12/29/2020	3,692.25	6,665.52	0.00	Short sale closed
	12/31/2020	1017	1,881.12	12/29/2020	3,864.60	5,745.72	0.00	Short sale closed
	12/31/2020	1200	3,065.97	12/29/2020	4,691.25	7,757.22	0.00	Short sale closed
	12/31/2020	1300	3,233.60	12/29/2020	5,070.00	8,303.60	0.00	Short sale closed
	12/31/2020	1350	1,979.87	12/29/2020	5,411.74	7,391.61	0.00	Short sale closed
	12/31/2020	1737	5,500.10	12/29/2020	6,291.85	11,791.95	0.00	Short sale closed



SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

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RHE 75903M309 REGIONAL HEALTH PPTYS INC COM	12/31/2020	2000	7,086.48	12/29/2020	7,244.30	14,330.78	0.00	Short sale closed
	12/31/2020	2500	11,945.91	12/29/2020	13,780.63	25,726.54	0.00	Short sale closed
	12/31/2020	2500	11,683.66	12/29/2020	14,921.88	26,605.54	0.00	Short sale closed
	12/31/2020	2500	12,200.08	12/29/2020	14,843.13	27,043.21	0.00	Short sale closed
	12/31/2020	2500	12,457.06	12/29/2020	11,261.25	23,718.31	0.00	Short sale closed
	12/31/2020	2500	13,085.74	12/29/2020	11,291.40	24,377.14	0.00	Short sale closed
	12/31/2020	2500	10,910.67	12/29/2020	11,161.00	22,071.67	0.00	Short sale closed
	12/31/2020	2500	10,092.72	12/29/2020	11,161.25	21,253.97	0.00	Short sale closed
	12/31/2020	2500	4,033.34	12/29/2020	11,797.00	8,991.63	(6,838.71)	Short sale closed
	12/31/2020	2500	1,429.61	12/29/2020	11,547.00	0.00	(12,976.61)	Short sale closed
	12/31/2020	2500	3,526.85	12/29/2020	11,385.80	0.00	(14,912.65)	Short sale closed
	12/31/2020	2533	5,122.15	12/29/2020	9,061.93	14,184.08	0.00	Short sale closed
	12/31/2020	6080	30,428.50	12/29/2020	20,942.56	51,371.06	0.00	Short sale closed
	12/31/2020	6080	29,148.64	12/29/2020	21,196.20	50,344.84	0.00	Short sale closed
		86,687	\$493,544.57		\$528,326.02		(\$34,727.97)	
RUBY 78116T103 RUBIUS THERAPEUTICS INC COM	12/16/2020	35	366.78	12/14/2020	379.88	13.10	0.00	Short sale closed
	12/16/2020	60	588.35	12/14/2020	593.63	5.28	0.00	Short sale closed
	12/16/2020	417	4,118.96	12/14/2020	3,973.79	0.00	145.17	Short sale closed
	12/16/2020	698	7,238.37	12/14/2020	7,091.68	0.00	146.69	Short sale closed
	12/16/2020	771	7,597.85	12/14/2020	7,343.00	0.00	254.85	Short sale closed
	12/16/2020	866	8,816.01	12/14/2020	8,599.22	0.00	216.79	Short sale closed
	12/16/2020	1250	12,474.90	12/14/2020	11,904.75	0.00	570.15	Short sale closed
	12/16/2020	1250	12,482.69	12/14/2020	11,886.87	0.00	595.82	Short sale closed
	12/16/2020	1523	14,576.87	12/14/2020	14,687.51	110.64	0.00	Short sale closed
	12/16/2020	1600	18,218.41	12/14/2020	17,920.20	0.00	298.21	Short sale closed
	12/16/2020	1634	16,634.37	12/14/2020	16,048.53	0.00	585.84	Short sale closed
	12/16/2020	1729	17,043.46	12/14/2020	16,540.04	0.00	503.42	Short sale closed
	12/16/2020	1802	18,680.55	12/14/2020	18,292.19	0.00	388.36	Short sale closed
	12/16/2020	2042	21,398.99	12/14/2020	20,950.74	0.00	448.25	Short sale closed
	12/16/2020	2083	20,574.26	12/14/2020	19,845.89	0.00	728.37	Short sale closed
	12/16/2020	2480	24,320.78	12/14/2020	24,105.60	0.00	215.18	Short sale closed
	12/16/2020	2500	28,824.87	12/14/2020	29,210.56	385.69	0.00	Short sale closed
	12/16/2020	2500	28,718.28	12/14/2020	27,784.50	0.00	933.78	Short sale closed
	12/16/2020	2500	28,404.79	12/14/2020	27,573.50	0.00	831.29	Short sale closed
	12/16/2020	2500	24,725.40	12/14/2020	24,760.00	34.60	0.00	Short sale closed
	12/16/2020	2500	24,587.22	12/14/2020	24,160.81	0.00	426.41	Short sale closed
	12/16/2020	2500	25,546.71	12/14/2020	24,110.00	0.00	1,436.71	Short sale closed
	12/16/2020	2500	24,921.32	12/14/2020	23,785.41	0.00	1,135.91	Short sale closed
	12/16/2020	2500	24,798.97	12/14/2020	25,257.90	458.93	0.00	Short sale closed
	12/16/2020	2500	25,314.08	12/14/2020	24,548.75	0.00	765.33	Short sale closed
	12/16/2020	2500	24,925.39	12/14/2020	25,298.75	373.36	0.00	Short sale closed
	12/16/2020	2500	25,675.38	12/14/2020	25,298.75	0.00	376.63	Short sale closed
	12/16/2020	2500	26,150.18	12/14/2020	24,798.75	0.00	1,351.43	Short sale closed
	12/16/2020	2500	26,149.42	12/14/2020	24,548.75	0.00	1,600.67	Short sale closed
	12/16/2020	2500	26,375.37	12/14/2020	24,648.75	0.00	1,726.62	Short sale closed
	12/16/2020	2500	26,375.37	12/14/2020	24,523.75	0.00	1,851.62	Short sale closed
	12/16/2020	2500	25,118.76	12/14/2020	24,798.75	0.00	320.01	Short sale closed
	12/16/2020	2500	24,667.80	12/14/2020	23,974.25	0.00	693.55	Short sale closed
	12/16/2020	2923	30,658.09	12/14/2020	30,165.36	0.00	492.73	Short sale closed
	12/16/2020	3000	29,563.45	12/14/2020	28,933.08	0.00	630.37	Short sale closed
	12/16/2020	5000	51,113.37	12/14/2020	50,597.50	0.00	515.87	Short sale closed
		73,663	\$757,745.82		\$738,941.39		\$20,186.03	
SCKT 83368E200 SOCKET MOBILE INC COM NEW	11/20/2020	308	934.03	11/18/2020	954.80	20.77	0.00	Short sale closed
	11/20/2020	390	1,269.12	11/18/2020	1,191.00	0.00	78.12	Short sale closed
	11/20/2020	671	2,034.83	11/18/2020	2,077.43	42.60	0.00	Short sale closed

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SCKTJ83368E200 SOCKET MOBILE INC COM NEW	11/20/2020	741	2,239.47	11/18/2020	2,408.34	168.87	0.00	Short sale closed
	11/20/2020	1521	4,702.65	11/18/2020	4,699.89	0.00	2.76	Short sale closed
	11/20/2020	2110	6,953.09	11/18/2020	6,414.40	0.00	538.69	Short sale closed
	11/20/2020	2500	7,725.77	11/18/2020	7,786.25	60.48	0.00	Short sale closed
	11/20/2020	2500	7,478.55	11/18/2020	7,786.25	307.70	0.00	Short sale closed
	11/20/2020	2500	7,566.82	11/18/2020	8,023.75	456.93	0.00	Short sale closed
	11/20/2020	2500	7,533.55	11/18/2020	7,686.25	152.70	0.00	Short sale closed
	11/20/2020	2500	8,108.50	11/18/2020	7,699.25	0.00	409.25	Short sale closed
	11/20/2020	2500	7,988.27	11/18/2020	7,674.75	0.00	313.52	Short sale closed
	11/20/2020	2500	7,988.27	11/18/2020	7,603.69	0.00	384.58	Short sale closed
	11/20/2020	2500	7,948.77	11/18/2020	7,398.75	0.00	550.02	Short sale closed
	11/20/2020	4259	13,111.03	11/18/2020	13,841.75	730.72	0.00	Short sale closed
	12/16/2020	400	1,498.12	12/14/2020	1,456.92	0.00	41.20	Short sale closed
	12/16/2020	744	2,786.50	12/14/2020	2,700.72	0.00	85.78	Short sale closed
		31,144	\$97,867.34		\$97,404.19		\$2,403.92	
SLSJ81642T209 SELLAS LIFE SCIENCES GROUP INC COM NEW	12/09/2020	207	1,043.33	12/09/2020	1,172.97	129.64	0.00	Sale
	12/09/2020	100	507.16	12/09/2020	566.65	59.49	0.00	Sale
	12/10/2020	950	9,219.90	12/10/2020	10,720.84	1,500.94	0.00	Sale
	12/11/2020	307	1,153.43	12/09/2020	1,571.69	418.26	0.00	Short sale closed
	12/11/2020	400	2,219.57	12/09/2020	2,166.75	0.00	52.82	Short sale closed
	12/11/2020	410	1,630.73	12/09/2020	2,057.49	426.76	0.00	Short sale closed
	12/11/2020	1100	4,191.41	12/09/2020	5,510.45	1,319.04	0.00	Short sale closed
	12/11/2020	1783	7,130.45	12/09/2020	8,950.66	1,820.21	0.00	Short sale closed
	12/11/2020	1804	9,906.28	12/09/2020	9,704.61	0.00	201.67	Short sale closed
	12/11/2020	1845	10,830.78	12/09/2020	12,581.98	1,751.20	0.00	Short sale closed
	12/11/2020	1994	9,047.84	12/09/2020	10,786.54	1,738.70	0.00	Short sale closed
	12/11/2020	2100	11,652.73	12/09/2020	11,403.00	0.00	249.73	Short sale closed
	12/11/2020	2500	14,539.72	12/09/2020	14,548.75	9.03	0.00	Short sale closed
	12/11/2020	2500	15,101.99	12/09/2020	14,298.75	0.00	803.24	Short sale closed
	12/11/2020	2500	14,725.62	12/09/2020	14,798.75	73.13	0.00	Short sale closed
	12/11/2020	2500	15,342.79	12/09/2020	14,548.75	0.00	794.04	Short sale closed
	12/11/2020	2500	15,394.12	12/09/2020	14,048.75	0.00	1,345.37	Short sale closed
	12/11/2020	2500	14,841.19	12/09/2020	13,798.75	0.00	1,042.44	Short sale closed
	12/11/2020	2500	13,355.98	12/09/2020	13,548.75	192.77	0.00	Short sale closed
	12/11/2020	2500	13,834.13	12/09/2020	13,281.31	0.00	552.82	Short sale closed
	12/11/2020	2500	12,989.76	12/09/2020	13,260.05	270.29	0.00	Short sale closed
	12/11/2020	2500	10,928.08	12/09/2020	12,548.75	1,620.67	0.00	Short sale closed
	12/11/2020	2500	12,765.26	12/09/2020	12,798.75	33.49	0.00	Short sale closed
	12/11/2020	2500	14,322.34	12/09/2020	15,298.75	976.41	0.00	Short sale closed
	12/11/2020	2500	13,541.77	12/09/2020	15,300.25	1,758.48	0.00	Short sale closed
	12/11/2020	3597	18,655.39	12/09/2020	18,774.54	119.15	0.00	Short sale closed
	12/11/2020	5000	25,852.74	12/09/2020	28,147.00	2,294.26	0.00	Short sale closed
	12/11/2020	5000	23,013.48	12/09/2020	27,597.50	4,584.02	0.00	Short sale closed
	12/11/2020	5000	28,557.25	12/09/2020	35,597.50	7,040.25	0.00	Short sale closed
	12/11/2020	5000	25,604.91	12/09/2020	33,522.50	7,917.59	0.00	Short sale closed
	12/14/2020	2	15.22	12/10/2020	28.29	13.07	0.00	Short sale closed
	12/14/2020	50	452.69	12/10/2020	477.68	24.99	0.00	Short sale closed
	12/14/2020	100	845.59	12/10/2020	871.00	25.41	0.00	Short sale closed
	12/14/2020	100	746.14	12/10/2020	860.00	113.86	0.00	Short sale closed
	12/14/2020	100	907.10	12/10/2020	1,228.00	320.90	0.00	Short sale closed
	12/14/2020	311	2,091.35	12/10/2020	3,772.34	1,680.99	0.00	Short sale closed
	12/14/2020	349	2,951.10	12/10/2020	2,940.88	0.00	10.22	Short sale closed
	12/14/2020	450	3,805.14	12/10/2020	3,915.00	109.86	0.00	Short sale closed
	12/14/2020	491	3,861.79	12/10/2020	4,192.89	331.10	0.00	Short sale closed
	12/14/2020	500	4,475.31	12/10/2020	4,720.68	245.37	0.00	Short sale closed
	12/14/2020	527	3,901.09	12/10/2020	4,220.02	318.93	0.00	Short sale closed

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SLS 81642T209 SELLAS LIFE SCIENCES GROUP INC COM NEW	12/14/2020	700	7,173.22	12/10/2020	9,673.17	2,499.95	0.00	Short sale closed
	12/14/2020	700	7,069.15	12/10/2020	10,163.65	3,094.50	0.00	Short sale closed
	12/14/2020	775	5,963.91	12/10/2020	9,317.38	3,353.47	0.00	Short sale closed
	12/14/2020	950	9,774.70	12/10/2020	9,547.12	0.00	227.58	Short sale closed
	12/14/2020	951	7,095.80	12/10/2020	8,188.08	1,092.28	0.00	Short sale closed
	12/14/2020	961	9,847.81	12/10/2020	13,281.02	3,433.21	0.00	Short sale closed
	12/14/2020	1000	9,199.78	12/10/2020	10,327.63	1,127.85	0.00	Short sale closed
	12/14/2020	1022	7,680.14	12/10/2020	8,926.84	1,246.70	0.00	Short sale closed
	12/14/2020	1106	7,696.57	12/10/2020	9,766.89	2,070.32	0.00	Short sale closed
	12/14/2020	1240	11,407.72	12/10/2020	12,858.80	1,451.08	0.00	Short sale closed
	12/14/2020	1240	12,522.49	12/10/2020	18,748.18	6,225.69	0.00	Short sale closed
	12/14/2020	1250	10,332.10	12/10/2020	11,249.37	917.27	0.00	Short sale closed
	12/14/2020	1250	10,287.72	12/10/2020	10,774.37	486.65	0.00	Short sale closed
	12/14/2020	1250	9,276.18	12/10/2020	10,629.13	1,352.95	0.00	Short sale closed
	12/14/2020	1250	10,066.91	12/10/2020	10,624.37	557.46	0.00	Short sale closed
	12/14/2020	1266	9,609.96	12/10/2020	11,390.70	1,780.74	0.00	Short sale closed
	12/14/2020	1437	9,663.24	12/10/2020	17,395.70	7,732.46	0.00	Short sale closed
	12/14/2020	1449	10,985.04	12/10/2020	12,437.77	1,452.73	0.00	Short sale closed
	12/14/2020	1550	13,070.40	12/10/2020	15,041.98	1,971.58	0.00	Short sale closed
	12/14/2020	1550	15,948.19	12/10/2020	15,534.03	0.00	414.16	Short sale closed
	12/14/2020	1609	14,401.59	12/10/2020	15,317.68	916.09	0.00	Short sale closed
	12/14/2020	1789	16,464.17	12/10/2020	19,142.30	2,678.13	0.00	Short sale closed
	12/14/2020	1896	17,198.52	12/10/2020	23,000.39	5,801.87	0.00	Short sale closed
	12/14/2020	1926	16,791.37	12/10/2020	26,771.40	9,980.03	0.00	Short sale closed
	12/14/2020	1973	14,794.33	12/10/2020	15,823.46	1,029.13	0.00	Short sale closed
	12/14/2020	2248	22,595.62	12/10/2020	40,877.84	18,282.22	0.00	Short sale closed
	12/14/2020	2498	18,650.60	12/10/2020	22,107.30	3,456.70	0.00	Short sale closed
	12/14/2020	2500	21,215.04	12/10/2020	25,823.55	4,608.51	0.00	Short sale closed
	12/14/2020	2500	21,733.11	12/10/2020	25,298.75	3,565.64	0.00	Short sale closed
	12/14/2020	2500	21,297.86	12/10/2020	25,249.36	3,951.50	0.00	Short sale closed
	12/14/2020	2500	22,727.10	12/10/2020	25,250.85	2,523.75	0.00	Short sale closed
	12/14/2020	2500	17,531.00	12/10/2020	21,548.75	4,017.75	0.00	Short sale closed
	12/14/2020	2500	21,188.15	12/10/2020	22,301.62	1,113.47	0.00	Short sale closed
	12/14/2020	2500	19,022.18	12/10/2020	21,548.75	2,526.57	0.00	Short sale closed
	12/14/2020	2500	19,058.62	12/10/2020	21,048.75	1,990.13	0.00	Short sale closed
	12/14/2020	2500	17,869.79	12/10/2020	20,048.75	2,178.96	0.00	Short sale closed
	12/14/2020	2500	18,420.14	12/10/2020	20,348.75	1,928.61	0.00	Short sale closed
	12/14/2020	2500	18,621.47	12/10/2020	20,323.75	1,702.28	0.00	Short sale closed
	12/14/2020	2500	22,634.37	12/10/2020	23,073.75	439.38	0.00	Short sale closed
	12/14/2020	2500	25,722.90	12/10/2020	25,366.68	0.00	356.22	Short sale closed
	12/14/2020	2500	19,464.07	12/10/2020	37,732.16	18,268.09	0.00	Short sale closed
	12/14/2020	2732	25,595.60	12/10/2020	25,790.04	194.44	0.00	Short sale closed
	12/14/2020	2760	25,391.38	12/10/2020	28,593.54	3,202.16	0.00	Short sale closed
	12/14/2020	2994	22,508.59	12/10/2020	27,004.38	4,495.79	0.00	Short sale closed
	12/14/2020	3211	29,605.50	12/10/2020	34,098.32	4,492.82	0.00	Short sale closed
	12/14/2020	3550	27,024.24	12/10/2020	31,064.50	4,040.26	0.00	Short sale closed
	12/14/2020	3652	28,538.40	12/10/2020	44,043.12	15,504.72	0.00	Short sale closed
	12/14/2020	3714	39,588.20	12/10/2020	67,965.75	28,377.55	0.00	Short sale closed
	12/14/2020	3825	28,893.92	12/10/2020	46,242.10	17,348.18	0.00	Short sale closed
	12/14/2020	3894	28,571.39	12/10/2020	34,455.80	5,884.41	0.00	Short sale closed
	12/14/2020	3913	35,397.54	12/10/2020	54,270.39	18,872.85	0.00	Short sale closed
	12/14/2020	4038	40,862.90	12/10/2020	73,179.45	32,316.55	0.00	Short sale closed
	12/14/2020	4532	40,816.90	12/10/2020	43,368.17	2,551.27	0.00	Short sale closed
	12/14/2020	4639	40,062.40	12/10/2020	79,417.36	39,354.96	0.00	Short sale closed
	12/14/2020	5000	36,708.91	12/10/2020	43,597.50	6,888.59	0.00	Short sale closed
	12/14/2020	5000	38,537.59	12/10/2020	43,097.50	4,559.91	0.00	Short sale closed
	12/14/2020	5000	39,333.15	12/10/2020	43,197.50	3,864.35	0.00	Short sale closed
	12/14/2020	5000	40,407.58	12/10/2020	47,847.50	7,439.92	0.00	Short sale closed

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SLS 81642T209 SELLAS LIFE SCIENCES GROUP INC COM NEW	12/14/2020	5000	43,176.27	12/10/2020	47,397.50	4,221.23	0.00	Short sale closed
	12/14/2020	5000	42,410.88	12/10/2020	47,747.50	5,336.62	0.00	Short sale closed
	12/14/2020	5000	44,179.61	12/10/2020	46,401.79	2,222.18	0.00	Short sale closed
	12/14/2020	5000	43,515.70	12/10/2020	46,463.36	2,947.66	0.00	Short sale closed
	12/14/2020	5000	46,199.78	12/10/2020	51,097.50	4,897.72	0.00	Short sale closed
	12/14/2020	5000	47,502.43	12/10/2020	51,047.50	3,545.07	0.00	Short sale closed
	12/14/2020	5000	45,917.97	12/10/2020	51,112.90	5,194.93	0.00	Short sale closed
	12/14/2020	5000	48,497.36	12/10/2020	50,297.50	1,800.14	0.00	Short sale closed
	12/14/2020	5000	45,699.49	12/10/2020	52,597.50	6,898.01	0.00	Short sale closed
	12/14/2020	5000	49,694.58	12/10/2020	52,097.50	2,402.92	0.00	Short sale closed
	12/14/2020	5000	46,741.09	12/10/2020	67,597.50	20,856.41	0.00	Short sale closed
	12/14/2020	5000	46,544.04	12/10/2020	72,597.50	26,053.46	0.00	Short sale closed
	12/14/2020	5361	43,402.29	12/10/2020	98,264.88	54,862.59	0.00	Short sale closed
	12/14/2020	7294	67,155.32	12/10/2020	89,662.28	22,506.96	0.00	Short sale closed
	12/14/2020	10000	83,808.44	12/10/2020	97,195.00	13,386.56	0.00	Short sale closed
	12/14/2020	10000	84,866.62	12/10/2020	135,195.00	50,328.38	0.00	Short sale closed
	12/14/2020	10000	85,476.89	12/10/2020	137,995.00	52,518.11	0.00	Short sale closed
	12/14/2020	11000	114,739.72	12/10/2020	168,624.50	53,884.78	0.00	Short sale closed
	12/15/2020	25	66.65	12/11/2020	271.57	0.00	(204.92)	Short sale closed
	12/15/2020	300	1,090.74	12/11/2020	3,336.56	0.00	(2,245.82)	Short sale closed
	12/15/2020	955	3,639.04	12/11/2020	11,102.83	0.00	(7,463.79)	Short sale closed
	12/15/2020	990	3,601.18	12/11/2020	11,127.59	0.00	(7,526.41)	Short sale closed
	12/15/2020	1393	4,530.82	12/11/2020	15,740.90	0.00	(11,210.08)	Short sale closed
	12/15/2020	1545	5,887.25	12/11/2020	17,937.15	0.00	(12,049.90)	Short sale closed
	12/15/2020	2317	9,047.49	12/11/2020	25,636.35	0.00	(16,588.86)	Short sale closed
	12/15/2020	2475	6,796.82	12/11/2020	27,520.77	20,723.95	0.00	Short sale closed
	12/15/2020	2500	6,711.62	12/11/2020	28,755.51	13,446.77	(8,597.12)	Short sale closed
	12/15/2020	2500	6,455.66	12/11/2020	29,048.75	0.00	(22,593.09)	Short sale closed
	12/15/2020	5000	22,299.46	12/11/2020	60,597.50	38,298.04	0.00	Short sale closed
		345,022	\$2,665,525.08		\$3,525,719.94		(\$82,429.68)	
SNDL 86730L109 SUNDIAL GROWERS INC COM	11/30/2020	2500	1,868.27	11/30/2020	1,755.63	0.00	112.64	Sale
		2,500	\$1,868.27		\$1,755.63		\$112.64	
SOLO 284849205 ELECTRAMECCANICA VEHS CORP COM NEW	11/25/2020	1590	18,158.11	11/23/2020	17,537.35	0.00	620.76	Short sale closed
		1,590	\$18,158.11		\$17,537.35		\$620.76	
TCCO 878409101 TECHNICAL COMMUNICATIONS CORP COM	12/31/2020	312	3,110.91	12/29/2020	2,942.27	0.00	168.64	Short sale closed
	12/31/2020	342	2,425.09	12/29/2020	2,240.10	0.00	184.99	Short sale closed
	12/31/2020	350	3,446.63	12/29/2020	3,804.08	357.45	0.00	Short sale closed
	12/31/2020	358	2,538.55	12/29/2020	2,352.06	0.00	186.49	Short sale closed
	12/31/2020	386	3,600.59	12/29/2020	3,830.86	230.27	0.00	Short sale closed
	12/31/2020	476	2,937.37	12/29/2020	2,838.55	0.00	98.82	Short sale closed
	12/31/2020	524	3,233.57	12/29/2020	3,143.84	0.00	89.73	Short sale closed
	12/31/2020	575	5,740.68	12/29/2020	6,221.10	480.42	0.00	Short sale closed
	12/31/2020	700	4,963.65	12/29/2020	4,578.00	0.00	385.65	Short sale closed
	12/31/2020	720	6,265.02	12/29/2020	8,683.20	2,418.18	0.00	Short sale closed
	12/31/2020	780	4,813.34	12/29/2020	4,686.86	0.00	126.48	Short sale closed
	12/31/2020	838	8,355.57	12/29/2020	7,955.00	0.00	400.57	Short sale closed
	12/31/2020	851	9,750.31	12/29/2020	8,849.95	0.00	900.36	Short sale closed
	12/31/2020	925	9,071.94	12/29/2020	9,766.89	694.95	0.00	Short sale closed
	12/31/2020	946	7,729.67	12/29/2020	7,112.79	0.00	616.88	Short sale closed
	12/31/2020	1000	9,807.51	12/29/2020	10,558.80	751.29	0.00	Short sale closed
	12/31/2020	1100	7,800.01	12/29/2020	7,184.34	0.00	615.67	Short sale closed
	12/31/2020	1162	8,740.56	12/29/2020	14,082.04	5,341.48	0.00	Short sale closed
	12/31/2020	1244	12,267.43	12/29/2020	13,520.78	1,253.35	0.00	Short sale closed
	12/31/2020	1250	13,673.72	12/29/2020	12,523.50	0.00	1,150.22	Short sale closed

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SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

Report on Form 8949, Part I with Box A checked.  
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TCCO 878409101 TECHNICAL COMMUNICATIONS CORP. COM	12/31/2020	1250	13,170.21	12/29/2020	12,023.50	0.00	1,146.71	Short sale closed
	12/31/2020	1250	12,463.57	12/29/2020	11,898.50	0.00	565.07	Short sale closed
	12/31/2020	1310	15,009.29	12/29/2020	13,779.63	0.00	1,229.66	Short sale closed
	12/31/2020	1356	9,953.37	12/29/2020	15,855.75	5,902.38	0.00	Short sale closed
	12/31/2020	1394	8,850.17	12/29/2020	16,357.89	7,507.72	0.00	Short sale closed
	12/31/2020	1488	16,863.52	12/29/2020	15,071.71	0.00	1,791.81	Short sale closed
	12/31/2020	1617	16,123.15	12/29/2020	16,916.39	793.24	0.00	Short sale closed
	12/31/2020	1750	15,227.48	12/29/2020	21,035.00	5,807.52	0.00	Short sale closed
	12/31/2020	1789	17,648.69	12/29/2020	19,319.05	1,670.36	0.00	Short sale closed
	12/31/2020	2224	21,330.74	12/29/2020	22,888.33	1,557.59	0.00	Short sale closed
	12/31/2020	2300	15,657.20	12/29/2020	14,720.00	0.00	937.20	Short sale closed
	12/31/2020	2490	24,574.50	12/29/2020	24,946.85	372.35	0.00	Short sale closed
	12/31/2020	2500	26,207.80	12/29/2020	29,711.25	3,503.45	0.00	Short sale closed
	12/31/2020	2500	31,907.91	12/29/2020	25,047.00	0.00	6,860.91	Short sale closed
	12/31/2020	2500	22,655.46	12/29/2020	23,011.20	355.74	0.00	Short sale closed
	12/31/2020	2500	24,571.40	12/29/2020	23,797.00	0.00	774.40	Short sale closed
	12/31/2020	2500	25,270.67	12/29/2020	28,223.55	2,952.88	0.00	Short sale closed
	12/31/2020	2500	25,274.92	12/29/2020	27,483.99	2,209.07	0.00	Short sale closed
	12/31/2020	2500	23,002.94	12/29/2020	27,493.13	4,490.19	0.00	Short sale closed
	12/31/2020	2500	16,409.28	12/29/2020	28,405.63	11,996.35	0.00	Short sale closed
	12/31/2020	2500	18,795.23	12/29/2020	28,405.63	9,610.40	0.00	Short sale closed
	12/31/2020	2500	23,358.40	12/29/2020	28,405.63	5,047.23	0.00	Short sale closed
	12/31/2020	2500	25,480.95	12/29/2020	26,930.63	1,449.68	0.00	Short sale closed
	12/31/2020	2500	27,579.47	12/29/2020	25,855.15	0.00	1,724.32	Short sale closed
	12/31/2020	2500	26,931.80	12/29/2020	25,321.93	0.00	1,609.87	Short sale closed
	12/31/2020	2500	25,894.41	12/29/2020	24,811.25	0.00	1,083.16	Short sale closed
	12/31/2020	2500	23,886.71	12/29/2020	24,811.25	924.54	0.00	Short sale closed
	12/31/2020	2500	23,945.97	12/29/2020	24,810.90	864.93	0.00	Short sale closed
	12/31/2020	2500	24,269.53	12/29/2020	24,035.38	0.00	234.15	Short sale closed
	12/31/2020	2500	26,575.52	12/29/2020	26,684.02	108.50	0.00	Short sale closed
	12/31/2020	2500	27,685.90	12/29/2020	25,547.00	0.00	2,138.90	Short sale closed
	12/31/2020	2500	26,835.33	12/29/2020	28,717.02	1,881.69	0.00	Short sale closed
	12/31/2020	2500	25,618.37	12/29/2020	26,297.00	678.63	0.00	Short sale closed
	12/31/2020	2500	26,183.88	12/29/2020	25,547.00	0.00	636.88	Short sale closed
	12/31/2020	2500	27,315.57	12/29/2020	25,536.25	0.00	1,779.32	Short sale closed
	12/31/2020	2500	20,177.25	12/29/2020	19,047.00	0.00	1,130.25	Short sale closed
	12/31/2020	2500	19,743.88	12/29/2020	18,922.00	0.00	821.88	Short sale closed
	12/31/2020	2500	20,071.46	12/29/2020	19,197.00	0.00	874.46	Short sale closed
	12/31/2020	2500	19,949.99	12/29/2020	18,947.00	0.00	1,002.99	Short sale closed
	12/31/2020	2500	16,968.94	12/29/2020	16,547.00	0.00	421.94	Short sale closed
	12/31/2020	2500	17,177.32	12/29/2020	16,329.13	0.00	848.19	Short sale closed
	12/31/2020	2500	17,427.31	12/29/2020	16,297.57	0.00	1,129.74	Short sale closed
	12/31/2020	2500	17,371.68	12/29/2020	16,047.43	0.00	1,324.25	Short sale closed
	12/31/2020	2570	26,572.76	12/29/2020	24,463.32	0.00	2,109.44	Short sale closed
	12/31/2020	2609	21,212.16	12/29/2020	19,849.63	0.00	1,362.53	Short sale closed
	12/31/2020	5000	53,306.27	12/29/2020	57,942.66	4,636.39	0.00	Short sale closed
	12/31/2020	10	99.71	12/29/2020	100.30	0.59	0.00	Short sale closed
	12/31/2020	30	261.04	12/29/2020	357.00	95.96	0.00	Short sale closed
	12/31/2020	100	997.09	12/29/2020	943.00	0.00	54.09	Short sale closed
	12/31/2020	101	630.31	12/29/2020	1,183.75	553.44	0.00	Short sale closed
	12/31/2020	149	1,120.32	12/29/2020	1,740.24	619.92	0.00	Short sale closed
	12/31/2020	153	1,643.59	12/29/2020	1,714.41	70.82	0.00	Short sale closed
	12/31/2020	200	1,394.44	12/29/2020	1,278.04	0.00	116.40	Short sale closed
	12/31/2020	276	2,644.24	12/29/2020	2,907.48	263.24	0.00	Short sale closed
		123,755	\$1,151,571.19			\$1,200,390.36	\$38,633.02	
TKAT 87407Q207 TAKUNG ART LTD. COM NEW	12/21/2020	2500	6,663.30	12/17/2020	6,072.50	0.00	590.80	Short sale closed

SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

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TKATJ87407Q207 TAKUNG ART LTD COM NEW	12/21/2020	12500	26,920.37	12/17/2020	26,241.87	0.00	678.50	Short sale closed
		15,000	\$33,583.67		\$32,314.37		\$1,269.30	
UUUJ913821302 UNIVERSAL SEC INSTRS INC COM NEW	12/31/2020	76	1,016.27	12/29/2020	962.92	0.00	53.35	Short sale closed
	12/31/2020	198	1,242.94	12/29/2020	1,211.76	0.00	31.18	Short sale closed
	12/31/2020	452	6,214.43	12/29/2020	5,955.31	0.00	259.12	Short sale closed
	12/31/2020	457	6,149.96	12/29/2020	5,972.99	0.00	176.97	Short sale closed
	12/31/2020	631	7,600.46	12/29/2020	7,699.04	98.58	0.00	Short sale closed
	12/31/2020	700	8,214.61	12/29/2020	8,539.16	324.55	0.00	Short sale closed
	12/31/2020	798	10,971.49	12/29/2020	10,383.06	0.00	588.43	Short sale closed
	12/31/2020	901	12,124.96	12/29/2020	11,863.17	0.00	261.79	Short sale closed
	12/31/2020	1142	15,368.16	12/29/2020	14,925.94	0.00	442.22	Short sale closed
	12/31/2020	1150	8,743.74	12/29/2020	8,060.12	0.00	683.62	Short sale closed
	12/31/2020	1174	15,698.61	12/29/2020	14,873.08	0.00	825.53	Short sale closed
	12/31/2020	1223	14,200.34	12/29/2020	14,429.93	229.59	0.00	Short sale closed
	12/31/2020	1223	14,200.34	12/29/2020	14,921.27	720.93	0.00	Short sale closed
	12/31/2020	1223	14,364.77	12/29/2020	14,934.18	569.41	0.00	Short sale closed
	12/31/2020	1223	14,542.13	12/29/2020	14,968.07	425.94	0.00	Short sale closed
	12/31/2020	1250	16,714.87	12/29/2020	15,512.57	0.00	1,202.30	Short sale closed
	12/31/2020	1250	16,404.64	12/29/2020	16,261.00	0.00	143.64	Short sale closed
	12/31/2020	1250	16,404.64	12/29/2020	16,661.00	256.36	0.00	Short sale closed
	12/31/2020	1250	16,582.11	12/29/2020	16,336.00	0.00	246.11	Short sale closed
	12/31/2020	1250	17,268.13	12/29/2020	16,661.00	0.00	607.13	Short sale closed
	12/31/2020	1250	16,270.96	12/29/2020	16,573.50	302.54	0.00	Short sale closed
	12/31/2020	1250	14,438.26	12/29/2020	14,523.50	85.24	0.00	Short sale closed
	12/31/2020	1250	14,645.30	12/29/2020	14,273.50	0.00	371.80	Short sale closed
	12/31/2020	1250	14,747.34	12/29/2020	14,023.50	0.00	723.84	Short sale closed
	12/31/2020	1595	9,890.12	12/29/2020	9,599.99	0.00	290.13	Short sale closed
	12/31/2020	2302	14,450.78	12/29/2020	14,154.30	0.00	296.48	Short sale closed
	12/31/2020	2500	20,623.65	12/29/2020	22,573.42	1,949.77	0.00	Short sale closed
	12/31/2020	2500	21,227.41	12/29/2020	22,511.25	1,283.84	0.00	Short sale closed
	12/31/2020	2500	30,927.01	12/29/2020	32,922.00	1,994.99	0.00	Short sale closed
	12/31/2020	2500	27,499.83	12/29/2020	28,997.00	1,497.17	0.00	Short sale closed
	12/31/2020	2500	28,112.82	12/29/2020	28,984.72	871.90	0.00	Short sale closed
	12/31/2020	2500	29,867.06	12/29/2020	30,047.00	179.94	0.00	Short sale closed
	12/31/2020	2500	29,888.49	12/29/2020	29,547.00	0.00	341.49	Short sale closed
	12/31/2020	2500	30,484.07	12/29/2020	30,003.16	0.00	480.91	Short sale closed
	12/31/2020	2500	29,532.98	12/29/2020	30,147.00	614.02	0.00	Short sale closed
	12/31/2020	2500	29,747.73	12/29/2020	30,011.25	263.52	0.00	Short sale closed
	12/31/2020	2500	29,956.03	12/29/2020	30,203.70	247.67	0.00	Short sale closed
	12/31/2020	2500	28,752.06	12/29/2020	30,875.53	2,123.47	0.00	Short sale closed
	12/31/2020	2500	29,580.96	12/29/2020	30,930.32	1,349.36	0.00	Short sale closed
	12/31/2020	2500	19,472.77	12/29/2020	17,797.00	0.00	1,675.77	Short sale closed
	12/31/2020	2500	18,315.16	12/29/2020	17,547.00	0.00	768.16	Short sale closed
	12/31/2020	2500	17,293.68	12/29/2020	18,180.39	886.71	0.00	Short sale closed
	12/31/2020	2500	17,069.87	12/29/2020	17,934.63	864.76	0.00	Short sale closed
	12/31/2020	2500	17,365.19	12/29/2020	17,047.00	0.00	318.19	Short sale closed
	12/31/2020	2500	18,184.66	12/29/2020	17,547.00	0.00	637.66	Short sale closed
	12/31/2020	2500	18,677.28	12/29/2020	17,522.00	0.00	1,155.28	Short sale closed
	12/31/2020	2500	19,200.94	12/29/2020	17,547.00	0.00	1,653.94	Short sale closed
	12/31/2020	2500	18,983.75	12/29/2020	17,047.00	0.00	1,936.75	Short sale closed
	12/31/2020	2500	18,561.62	12/29/2020	16,297.00	0.00	2,264.62	Short sale closed
	12/31/2020	2500	16,052.34	12/29/2020	15,797.00	0.00	255.34	Short sale closed
	12/31/2020	2500	16,177.34	12/29/2020	15,547.00	0.00	630.34	Short sale closed
	12/31/2020	2500	16,414.58	12/29/2020	15,435.00	0.00	979.58	Short sale closed
	12/31/2020	2500	16,546.92	12/29/2020	15,297.00	0.00	1,249.92	Short sale closed
	12/31/2020	2500	15,693.72	12/29/2020	15,047.00	0.00	646.72	Short sale closed

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SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS								
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VTVT 918385105 VTV THERAPEUTICS INC   CL A		97,718	\$948,680.28		\$943,622.23		\$22,198.31	
	12/15/2020	228	1,168.95	12/11/2020	1,182.94	13.99	0.00	Short sale closed
	12/15/2020	458	2,404.38	12/11/2020	2,212.14	0.00	192.24	Short sale closed
	12/15/2020	524	2,686.54	12/11/2020	2,724.80	38.26	0.00	Short sale closed
	12/15/2020	600	3,003.83	12/11/2020	3,152.25	148.42	0.00	Short sale closed
	12/15/2020	700	3,589.47	12/11/2020	3,674.65	85.18	0.00	Short sale closed
	12/15/2020	700	3,146.70	12/11/2020	3,162.75	16.05	0.00	Short sale closed
	12/15/2020	980	5,246.88	12/11/2020	5,100.41	0.00	146.47	Short sale closed
	12/15/2020	1800	8,091.50	12/11/2020	8,154.00	62.50	0.00	Short sale closed
	12/15/2020	1891	8,224.02	12/11/2020	7,753.04	0.00	470.98	Short sale closed
	12/15/2020	1900	9,503.18	12/11/2020	9,975.00	471.82	0.00	Short sale closed
	12/15/2020	2042	10,728.37	12/11/2020	9,844.52	0.00	883.85	Short sale closed
	12/15/2020	2200	9,537.62	12/11/2020	8,945.06	0.00	592.56	Short sale closed
	12/15/2020	2473	10,244.93	12/11/2020	9,920.99	0.00	323.94	Short sale closed
	12/15/2020	2500	12,700.66	12/11/2020	13,048.75	348.09	0.00	Short sale closed
	12/15/2020	2500	13,047.78	12/11/2020	12,873.75	0.00	174.03	Short sale closed
	12/15/2020	2500	13,111.50	12/11/2020	12,698.75	0.00	412.75	Short sale closed
	12/15/2020	3409	14,999.85	12/11/2020	13,874.63	0.00	1,125.22	Short sale closed
	12/17/2020	100	357.88	12/15/2020	329.60	0.00	28.28	Short sale closed
	12/17/2020	844	2,898.40	12/15/2020	2,827.40	0.00	71.00	Short sale closed
	12/17/2020	1656	5,686.91	12/15/2020	5,533.04	0.00	153.87	Short sale closed
		30,005	\$140,379.35		\$136,988.47		\$4,575.19	
VVOS 92859E108 VIVOS THERAPEUTICS INC COM	12/21/2020	811	5,561.51	12/17/2020	8,048.67	0.00	(2,487.16)	Short sale closed
	12/21/2020	2400	20,991.67	12/17/2020	24,286.80	3,295.13	0.00	Short sale closed
	12/21/2020	2500	19,303.01	12/17/2020	27,048.75	7,745.74	0.00	Short sale closed
	12/21/2020	2500	18,997.03	12/17/2020	27,548.75	8,551.72	0.00	Short sale closed
	12/21/2020	2500	19,087.43	12/17/2020	27,743.75	8,656.32	0.00	Short sale closed
	12/21/2020	2500	17,344.05	12/17/2020	26,002.09	8,658.04	0.00	Short sale closed
	12/21/2020	2500	16,267.35	12/17/2020	24,048.75	2,524.29	(5,257.11)	Short sale closed
		15,711	\$117,552.05		\$164,727.56		(\$7,744.27)	
WNW G9604C107 WUNONG NET TECHNOLOGY CO LTD ORD SHS	12/21/2020	100	10,184.51	12/17/2020	10,500.10	315.59	0.00	Short sale closed
	12/21/2020	100	9,684.18	12/17/2020	9,900.10	215.92	0.00	Short sale closed
	12/21/2020	100	11,083.27	12/17/2020	10,507.10	0.00	576.17	Short sale closed
	12/21/2020	100	10,999.64	12/17/2020	11,969.60	969.96	0.00	Short sale closed
	12/21/2020	100	10,427.67	12/17/2020	12,232.10	1,804.43	0.00	Short sale closed
	12/21/2020	100	11,094.17	12/17/2020	11,428.10	0.00	(333.93)	Short sale closed
		600	\$63,473.44		\$66,537.10		\$242.24	
XBIO 984015503 XENETIC BIOSCIENCES INC   COM	12/11/2020	2217	9,611.33	12/09/2020	9,222.78	0.00	388.55	Short sale closed
	12/11/2020	2256	9,706.49	12/09/2020	10,084.32	377.83	0.00	Short sale closed
	12/11/2020	2300	8,773.02	12/09/2020	10,856.00	2,082.98	0.00	Short sale closed
	12/11/2020	2320	9,862.75	12/09/2020	11,339.80	1,477.05	0.00	Short sale closed
	12/11/2020	2449	9,788.06	12/09/2020	12,047.86	2,259.80	0.00	Short sale closed
	12/11/2020	2500	8,170.58	12/09/2020	8,548.75	378.17	0.00	Short sale closed
	12/11/2020	2500	8,676.98	12/09/2020	9,823.75	1,146.77	0.00	Short sale closed
	12/11/2020	2500	10,313.59	12/09/2020	10,635.54	321.95	0.00	Short sale closed
	12/11/2020	2500	11,200.05	12/09/2020	11,075.31	0.00	124.74	Short sale closed
	12/11/2020	2500	11,600.69	12/09/2020	10,551.99	0.00	1,048.70	Short sale closed
	12/11/2020	2500	10,788.52	12/09/2020	10,148.75	0.00	639.77	Short sale closed
	12/11/2020	2500	10,755.64	12/09/2020	9,551.25	0.00	1,204.39	Short sale closed
	12/11/2020	2500	10,755.64	12/09/2020	9,462.14	0.00	1,293.50	Short sale closed
	12/11/2020	2528	10,878.84	12/09/2020	11,297.76	418.92	0.00	Short sale closed
	12/11/2020	2800	11,447.68	12/09/2020	10,734.70	0.00	712.98	Short sale closed
	12/11/2020	3207	14,421.29	12/09/2020	13,704.79	0.00	716.50	Short sale closed
	12/11/2020	3350	12,708.13	12/09/2020	16,214.00	3,505.87	0.00	Short sale closed

SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

Report on Form 8949, Part I with Box A checked.  
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1a -Symbol   CUSIP   Description of property	1c-Date Sold or Disposed	Quantity	1d - Proceeds	1b - Date Acquired	1e - Cost or Other Basis	1g - Wash Sale Loss Disallowed	Gain or Loss (-)	Additional Notes
XBIO 984015503 XENETIC BIOSCIENCES INC COM	12/11/2020	3490	12,797.18	12/09/2020	13,958.25	1,161.07	0.00	Short sale closed
	12/11/2020	3500	13,103.25	12/09/2020	17,220.00	4,116.75	0.00	Short sale closed
	12/11/2020	3698	13,305.04	12/09/2020	17,491.54	4,186.50	0.00	Short sale closed
	12/11/2020	3761	16,789.70	12/09/2020	16,783.77	0.00	5.93	Short sale closed
	12/11/2020	3822	15,344.20	12/09/2020	18,574.92	3,230.72	0.00	Short sale closed
	12/11/2020	4000	16,242.47	12/09/2020	17,205.59	963.12	0.00	Short sale closed
	12/11/2020	4230	18,213.09	12/09/2020	17,216.10	0.00	996.99	Short sale closed
	12/11/2020	4392	19,320.20	12/09/2020	18,751.64	0.00	568.56	Short sale closed
	12/11/2020	5067	19,156.28	12/09/2020	23,559.02	4,402.74	0.00	Short sale closed
	12/11/2020	5278	21,146.17	12/09/2020	25,598.30	4,452.13	0.00	Short sale closed
	12/11/2020	5500	20,909.23	12/09/2020	27,026.05	6,116.82	0.00	Short sale closed
	12/11/2020	6400	23,676.83	12/09/2020	24,540.80	863.97	0.00	Short sale closed
	12/11/2020	7500	27,844.73	12/09/2020	30,147.75	2,303.02	0.00	Short sale closed
	12/11/2020	7500	26,592.57	12/09/2020	30,146.25	3,553.68	0.00	Short sale closed
	12/11/2020	7500	28,083.88	12/09/2020	30,127.71	2,043.83	0.00	Short sale closed
	12/11/2020	7500	30,794.48	12/09/2020	33,628.50	2,834.02	0.00	Short sale closed
	12/11/2020	7680	32,649.10	12/09/2020	37,708.80	5,059.70	0.00	Short sale closed
	12/11/2020	7700	29,324.37	12/09/2020	36,262.00	6,937.63	0.00	Short sale closed
	12/11/2020	8193	31,685.97	12/09/2020	36,786.57	5,100.60	0.00	Short sale closed
	12/11/2020	8437	33,319.58	12/09/2020	33,241.78	0.00	77.80	Short sale closed
	12/11/2020	9000	32,471.31	12/09/2020	43,200.87	10,729.56	0.00	Short sale closed
	12/11/2020	9089	28,056.87	12/09/2020	45,531.35	17,474.48	0.00	Short sale closed
	12/11/2020	9900	39,572.73	12/09/2020	52,586.42	13,013.69	0.00	Short sale closed
	12/11/2020	10000	39,112.13	12/09/2020	49,295.00	10,182.87	0.00	Short sale closed
	12/11/2020	10000	32,709.62	12/09/2020	50,195.00	17,485.38	0.00	Short sale closed
	12/11/2020	10000	33,037.77	12/09/2020	52,841.99	19,804.22	0.00	Short sale closed
	12/11/2020	10000	29,958.80	12/09/2020	50,195.00	20,236.20	0.00	Short sale closed
	12/11/2020	10000	32,931.88	12/09/2020	48,007.32	15,075.44	0.00	Short sale closed
	12/11/2020	10000	35,296.92	12/09/2020	49,195.55	13,898.63	0.00	Short sale closed
	12/11/2020	10000	37,004.05	12/09/2020	53,937.00	16,932.95	0.00	Short sale closed
	12/11/2020	10000	33,969.73	12/09/2020	50,101.35	16,131.62	0.00	Short sale closed
	12/11/2020	10000	35,691.50	12/09/2020	49,794.81	14,103.31	0.00	Short sale closed
	12/11/2020	4573	16,896.80	12/09/2020	17,617.11	720.31	0.00	Short sale closed
	12/11/2020	4650	17,639.64	12/09/2020	22,088.35	4,448.71	0.00	Short sale closed
	12/11/2020	4759	19,123.56	12/09/2020	20,796.73	1,673.17	0.00	Short sale closed
	12/11/2020	4781	19,286.57	12/09/2020	21,562.31	2,275.74	0.00	Short sale closed
	12/11/2020	4939	21,958.37	12/09/2020	20,837.58	0.00	1,120.79	Short sale closed
	12/11/2020	5000	19,419.22	12/09/2020	19,172.50	0.00	246.72	Short sale closed
	12/11/2020	5000	18,670.53	12/09/2020	19,172.50	501.97	0.00	Short sale closed
	12/11/2020	5000	18,195.45	12/09/2020	19,408.05	1,212.60	0.00	Short sale closed
	12/11/2020	5000	17,748.74	12/09/2020	20,097.50	2,348.76	0.00	Short sale closed
	12/11/2020	5000	16,527.73	12/09/2020	20,097.50	3,569.77	0.00	Short sale closed
	12/11/2020	5000	20,052.94	12/09/2020	20,097.50	44.56	0.00	Short sale closed
	12/11/2020	5000	13,635.64	12/09/2020	24,251.60	10,615.96	0.00	Short sale closed
	12/11/2020	5000	15,542.95	12/09/2020	23,550.00	8,007.05	0.00	Short sale closed
	12/11/2020	5000	14,635.26	12/09/2020	23,397.50	8,762.24	0.00	Short sale closed
	12/11/2020	5000	20,372.38	12/09/2020	23,297.50	2,925.12	0.00	Short sale closed
	12/11/2020	5000	19,952.36	12/09/2020	22,317.35	2,364.99	0.00	Short sale closed
	12/11/2020	5000	20,526.81	12/09/2020	20,697.50	170.69	0.00	Short sale closed
	12/11/2020	5000	21,644.94	12/09/2020	21,897.50	252.56	0.00	Short sale closed
	12/11/2020	5000	19,309.74	12/09/2020	23,029.73	3,719.99	0.00	Short sale closed
	12/11/2020	5000	18,762.44	12/09/2020	22,547.50	3,785.06	0.00	Short sale closed
	12/11/2020	5000	22,217.90	12/09/2020	22,597.50	379.60	0.00	Short sale closed
	12/11/2020	5000	21,885.51	12/09/2020	22,397.50	511.99	0.00	Short sale closed
	12/11/2020	5000	23,098.42	12/09/2020	20,597.50	0.00	2,500.92	Short sale closed
	12/11/2020	5000	20,446.13	12/09/2020	19,447.50	0.00	998.63	Short sale closed
	12/11/2020	5064	22,224.91	12/09/2020	21,471.36	0.00	753.55	Short sale closed
	12/11/2020	250	866.52	12/09/2020	985.00	118.48	0.00	Short sale closed

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SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

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1a -Symbol   CUSIP   Description of property	1c-Date Sold or Disposed	Quantity	1d - Proceeds	1b - Date Acquired	1e - Cost or Other Basis	1g - Wash Sale Loss Disallowed	Gain or Loss (-)	Additional Notes
XBIO 984015503 XENETIC BIOSCIENCES INC COM	12/11/2020	258	953.29	12/09/2020	997.04	43.75	0.00	Short sale closed
	12/11/2020	283	1,226.89	12/09/2020	1,185.77	0.00	41.12	Short sale closed
	12/11/2020	300	1,371.30	12/09/2020	1,247.00	0.00	124.30	Short sale closed
	12/11/2020	366	1,486.18	12/09/2020	1,646.82	160.64	0.00	Short sale closed
	12/11/2020	438	1,274.51	12/09/2020	2,323.15	1,048.64	0.00	Short sale closed
	12/11/2020	605	2,613.21	12/09/2020	2,613.30	0.09	0.00	Short sale closed
	12/11/2020	634	2,593.17	12/09/2020	3,061.90	468.73	0.00	Short sale closed
	12/11/2020	647	1,774.24	12/09/2020	3,247.62	1,473.38	0.00	Short sale closed
	12/11/2020	770	3,264.42	12/09/2020	3,139.10	0.00	125.32	Short sale closed
	12/11/2020	800	3,093.95	12/09/2020	3,602.47	508.52	0.00	Short sale closed
	12/11/2020	900	3,625.77	12/09/2020	4,333.00	707.23	0.00	Short sale closed
	12/11/2020	900	3,901.76	12/09/2020	3,630.95	0.00	270.81	Short sale closed
	12/11/2020	911	2,807.79	12/09/2020	4,490.77	1,682.98	0.00	Short sale closed
	12/11/2020	1000	3,824.79	12/09/2020	4,919.50	1,094.71	0.00	Short sale closed
	12/11/2020	1000	3,607.93	12/09/2020	4,779.50	1,171.57	0.00	Short sale closed
	12/11/2020	1239	5,529.99	12/09/2020	5,529.21	0.00	0.78	Short sale closed
	12/11/2020	1491	5,184.42	12/09/2020	5,694.87	510.45	0.00	Short sale closed
	12/11/2020	1493	6,850.81	12/09/2020	6,255.67	0.00	595.14	Short sale closed
	12/11/2020	1563	6,080.53	12/09/2020	6,124.46	43.93	0.00	Short sale closed
	12/11/2020	1600	6,936.45	12/09/2020	6,480.00	0.00	456.45	Short sale closed
	12/11/2020	1800	6,476.23	12/09/2020	8,510.74	2,034.51	0.00	Short sale closed
	12/11/2020	2000	7,586.95	12/09/2020	9,660.00	2,073.05	0.00	Short sale closed
	12/11/2020	2105	7,505.25	12/09/2020	8,272.65	767.40	0.00	Short sale closed
	12/11/2020	2200	8,998.63	12/09/2020	8,580.00	0.00	418.63	Short sale closed
	12/11/2020	50	201.72	12/09/2020	222.40	20.68	0.00	Short sale closed
	12/11/2020	145	502.59	12/09/2020	565.70	63.11	0.00	Short sale closed
	12/11/2020	169	600.42	12/09/2020	656.56	56.14	0.00	Short sale closed
	12/11/2020	169	681.79	12/09/2020	755.43	73.64	0.00	Short sale closed
	12/11/2020	241	968.43	12/09/2020	1,051.86	83.43	0.00	Short sale closed
	12/11/2020	10000	43,687.75	12/09/2020	44,197.03	509.28	0.00	Short sale closed
	12/11/2020	10000	45,453.27	12/09/2020	46,393.75	940.48	0.00	Short sale closed
	12/11/2020	10000	44,126.77	12/09/2020	44,495.00	368.23	0.00	Short sale closed
	12/11/2020	10000	45,408.46	12/09/2020	43,395.00	0.00	2,013.46	Short sale closed
	12/11/2020	10000	45,775.05	12/09/2020	46,095.00	319.95	0.00	Short sale closed
	12/11/2020	10000	45,508.64	12/09/2020	50,195.55	4,686.91	0.00	Short sale closed
	12/11/2020	10000	36,674.12	12/09/2020	53,195.00	16,520.88	0.00	Short sale closed
	12/11/2020	10000	33,244.75	12/09/2020	52,195.00	18,950.25	0.00	Short sale closed
	12/11/2020	10000	32,939.30	12/09/2020	51,195.00	18,255.70	0.00	Short sale closed
	12/11/2020	10000	31,472.76	12/09/2020	46,195.00	14,722.24	0.00	Short sale closed
	12/11/2020	10000	34,268.66	12/09/2020	45,195.00	10,926.34	0.00	Short sale closed
	12/11/2020	10000	38,074.94	12/09/2020	46,195.00	8,120.06	0.00	Short sale closed
	12/11/2020	10000	39,877.68	12/09/2020	48,507.50	8,629.82	0.00	Short sale closed
	12/11/2020	10000	38,322.95	12/09/2020	47,095.00	8,772.05	0.00	Short sale closed
	12/11/2020	10000	37,587.29	12/09/2020	45,195.00	7,607.71	0.00	Short sale closed
	12/11/2020	10000	39,688.19	12/09/2020	48,041.99	8,353.80	0.00	Short sale closed
	12/11/2020	10000	39,288.54	12/09/2020	49,507.90	10,219.36	0.00	Short sale closed
	12/11/2020	10000	37,105.17	12/09/2020	49,999.00	12,893.83	0.00	Short sale closed
	12/11/2020	10000	36,936.84	12/09/2020	47,195.00	10,258.16	0.00	Short sale closed
		616,657	\$2,367,176.91			\$2,837,646.82	\$17,445.03	
XPEV 98422D105 XPENG INC ADS	11/16/2020	2500	114,926.91	11/12/2020	117,795.25	2,868.34	0.00	Short sale closed
	11/16/2020	2500	115,833.48	11/12/2020	115,295.25	0.00	538.23	Short sale closed
	11/16/2020	2500	119,815.01	11/12/2020	113,795.25	0.00	6,019.76	Short sale closed
	11/16/2020	2500	117,426.85	11/12/2020	112,507.74	0.00	4,919.11	Short sale closed
	11/17/2020	500	25,121.99	11/13/2020	24,376.50	0.00	745.49	Short sale closed
	11/17/2020	750	37,682.99	11/13/2020	36,637.35	0.00	1,045.64	Short sale closed
	11/17/2020	1250	62,804.98	11/13/2020	60,097.75	0.00	2,707.23	Short sale closed

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SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

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XPEV 98422D105 XPENG INC   ADS	11/17/2020	2500	120,926.77	11/13/2020	117,795.25	0.00	3,131.52	Short sale closed
	11/25/2020	50	3,109.52	11/23/2020	3,069.00	0.00	40.52	Short sale closed
	11/25/2020	500	31,095.22	11/23/2020	30,602.50	0.00	492.72	Short sale closed
	11/25/2020	1950	121,271.36	11/23/2020	119,593.50	0.00	1,677.86	Short sale closed
	11/25/2020	2500	153,507.36	11/23/2020	155,072.50	1,565.14	0.00	Short sale closed
	11/25/2020	2500	157,066.68	11/23/2020	160,983.04	3,916.36	0.00	Short sale closed
	11/25/2020	2500	155,923.75	11/23/2020	160,297.50	4,373.75	0.00	Short sale closed
	11/25/2020	2500	155,999.90	11/23/2020	160,873.87	0.00	(4,873.97)	Short sale closed
		27,500	\$1,492,512.77		\$1,488,792.25		\$16,444.11	
ZCMD G9897X107 ZHONGCHAO INC   CL A	11/16/2020	1000	2,802.68	11/12/2020	2,721.18	0.00	81.50	Short sale closed
	11/16/2020	2500	7,278.03	11/12/2020	6,921.50	0.00	356.53	Short sale closed
		3,500	\$10,080.71		\$9,642.68		\$438.03	
Total			\$45,430,341.07		\$52,224,283.82		\$456,588.46	

\* 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.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.

Common Instructions for Recipient

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

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

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

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

**Nominees.** If this form includes amounts belonging to another person, you are considered a nominee recipient. You must file as the payer the respective Form 1099 (DIV, INT, or OID) Copy A (with a Form 1096) to the IRS for each of the other owners as recipient(s) to show their allocable share of the income and you must furnish the respective Copy B Form(s) and amounts to each owner. A spouse is not required to file a nominee return to show amounts owned by the other spouse. See the 2019 General Instructions for Certain Information Returns.

Keep tax documents for your records.

**1099-DIV Instructions for Recipient**

**Box 1a.** Shows total ordinary dividends that are taxable. Include this amount on the Ordinary dividendsline of Form 1040. 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 Form 1040 instructions 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 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 2c2d 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 rather than Schedule D. See the Form 1040 instructions.

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

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

**Box 5.** Shows the portion of the amount in box 1a that may be eligible for the 20% qualified business income deduction under section 199A. See the Instructions for Form 1040.

**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. See the Form 1040 instructions.

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

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

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

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

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

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

**1099-INT Instructions for Recipient**

The information provided may be different for covered and noncovered securities. For a description of covered securities, see the Instructions for Form 8949. For a taxable covered security acquired at a premium, unless you notified the payer in writing in accordance with Regulations

section 1.6045-1(n)(5) that you did not want to amortize the premium under section 171, or for a tax-exempt covered security acquired at a premium, your payer generally must report either (1) a net amount of interest that reflects the offset of the amount of interest paid to you by the amount of premium amortization allocable to the payment(s), or (2) a gross amount for both the interest paid to you and the premium amortization allocable to the payment(s). If you did 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 2019 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 taxpayer identification number (TIN) or you did not furnish the correct TIN to the payer. See Form W-9. Include this amount on your income tax return as tax withheld.

**Box 5.** Any amount shown is your share of investment expenses of a single-class REMIC. This amount is included in box 1.

**Box 6.** Shows foreign tax paid. You may be able to claim this tax as a deduction or a credit on your Form 1040. See your Form 1040 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 Form 1040 (Schedule B) to determine the net amount of interest includible in income on Form 1040 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 Form 1040 (Schedule B) to determine the net amount of interest includible in income on Form 1040 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. If an amount is not reported in this box for a tax-exempt covered security acquired at a premium, the payer has reported a net amount of interest in box 8 or 9, whichever is applicable. If the amount in box 13 is greater than the amount of interest paid on the tax-exempt covered security, the excess is a nondeductible loss. See Regulations section 1.171-2(a)(4)(ii).

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

**Boxes 15-17.** State tax withheld reporting boxes.

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

**1099-B Instructions for Recipient**

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

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

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**\* 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.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.

Applicable checkbox on Form 8949. Indicates where to report this transaction on Form 8949 and Schedule D, and which checkbox is applicable. See the instructions for your Schedule D 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 63 of 65 your interest(s) in a widely held fixed investment trust. Also may 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 (whichever is applicable) as explained in the Instructions for Schedule D.

**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 no compensatory option granted or acquired before January 1, 2014, your broker is permitted, but not required, to adjust the basis to reflect your option premium. If the securities were acquired through the exercise of a compensatory option, the basis has not been adjusted to include any amount related to the option that was reported to you on a Form W-2. If box 5 is checked, box 1e may be blank. See the Instructions for Form 8949, Instructions for Schedule D, or Pub. 550 for details.

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

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

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

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

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

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

**Box 6.** If the exercise of a no compensatory 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 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 2019.

**Box 9.** Shows any year-end adjustment to the profit or (loss) shown in box 8 due to open contracts on December 31, 2018.

**Box 10.** Shows the unrealized profit or (loss) on open contracts held in your account on December 31, 2019. These are considered closed out as of that date. This will become an adjustment reported as unrealized profit or (loss) on open contracts 12/31/2019 in 2020.

**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 2019 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 as you may be able to report your transaction directly on Schedule D. If the Ordinary box in box 2 is checked, an adjustment may be required.

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

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

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

**1099-MISC Instructions for Recipient**

**Amounts shown may be subject to self-employment (SE) tax.** If your net income from self-employment is \$400 or more, you must file a return and compute your SE tax on Schedule SE (Form 1040). See Pub. 334 for more information. Note: If you are still receiving payments on which no income, social security, and Medicare taxes are withheld, you should make estimated tax payments. See Form 1040-ES (or Form 1040-ES(NR)). Individuals must report these amounts as explained in the box 7 instructions on this page. Corporations, fiduciaries, or partnerships must report the amounts on the proper line of their tax returns.

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

**Box 1.** Report rents from real estate on Schedule E (Form 1040). 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 box 7 instructions. For royalties on timber, coal, and iron ore, see Pub. 544.

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

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

**Box 5.** An amount in this box means the fishing boat operator considers you self-employed. Report this amount on Schedule C (Form 1040). See Pub. 334.

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

**Box 7.** Shows nonemployee compensation. If you are in the trade or business of catching fish, box 7 may show cash you received for the sale of fish. If the amount in this box is SE income, report it on Schedule C or F (Form 1040), and complete Schedule SE (Form 1040). You received this form instead of Form W-2 because the payer did not consider you an employee and did not withhold income tax or social security and Medicare tax. If you believe you are an employee and cannot get the payer to correct this form, report this amount on the line for Wages, salaries, tips, etc. of Form 1040 (or Form 1040NR). You also must complete Form 8919 and attach it to your return. If you are not an employee but the amount in this box is not SE income (for example, it is income from a sporadic activity or a hobby), report this amount on the Other income line of Schedule 1 (Form 1040) (or Form 1040NR).

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

**Box 9.** If checked, \$5,000 or more of sales of consumer products was paid to you on a buy-sell, deposit-commission, or other basis. A dollar amount does not have to be shown. Generally, report any income from your sale of these products on Schedule C (Form 1040).

**Box 10.** Report this amount on Schedule F (Form 1040).

**Box 13.** Shows your total compensation of excess golden parachute payments subject to a 20% excise tax. See the Form 1040 (or Form 1040NR) instructions for where to report.

**Box 14.** Shows gross proceeds paid to an attorney in connection with legal services. Report only the taxable part as income on your return.

**Box 15a.** 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 15b.** Shows income as a nonemployee under an NQDC plan that does not meet the requirements of section 409A. This amount also is included in box 7 as nonemployee compensation. Any amount included in box 15a that is currently taxable also is included in this box. This income also is subject to a substantial additional tax to be reported on Form 1040 (or Form 1040NR). See the Form 1040 (or Form 1040NR) instructions.

**Boxes 16-18.** Show state or local income tax withheld from the payments.

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

**1099-OID Instructions for Recipient**

Original issue discount (OID) is the excess of an obligations stated redemption price at maturity over its issue price (acquisition price for a stripped bond or coupon). OID on a taxable obligation is taxable as interest over the life of the obligation. If you are the holder of a taxable OID obligation, generally you must include an amount of OID in your gross income each year you hold the obligation. Obligations that may have OID include a bond, debenture, note, certificate, or other evidence of indebtedness having a term of more than 1 year. For example, the OID rules may apply to certificates of deposit (CDs), time deposits, bonus savings plans, and other deposit arrangements, especially if the payment of interest is deferred until maturity. In addition, the OID rules apply to Treasury inflation-protected securities. See Pub. 550 for more information.

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

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

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

**Box 2.** Shows qualified stated interest on this obligation for the year, which is an amount separate from the OID. If you held the obligation the entire year, report this amount as interest income on your tax return. If you disposed of the obligation or acquired it from another holder during the year, see Pub. 550 for reporting instructions. If there is an amount in both boxes 2 and 8, the amount in box 2 is interest on a U.S. Treasury obligation and is exempt from state and local income taxes. If there is an amount in both boxes 2 and 11, the amount in box 2 is tax-exempt interest and is not included in interest income on your tax return. In general, see how to report tax-

exempt interest in the Instructions for Form 1040.

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

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

**Box 5.** For a covered security acquired with OID, if you made an election under section 1278(b) to include market discount in income as it accrues and you notified your payer of the election in writing in accordance with Regulations section 1.6045-1(n)(5), shows the market discount that accrued on the debt instrument during the year while held by you. For a tax-exempt obligation that is a covered security acquired on or after January 1, 2017, and issued with OID, shows the market discount that accrued on the obligation during the year while held by you. For a covered security acquired on or after January 1, 2015, market discount will be calculated on a constant yield basis unless you notified your payer in writing in accordance with Regulations section 1.6045-1(n)(5) that you did not want to make a constant yield election for market discount under section 1276(b). The payer may, but is not required to, report the market discount for a tax-exempt obligation that is a covered security acquired before January 1, 2017. Report the accrued market discount on your income tax return as directed in the Instructions for Form 1040. 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 Form 1040 (Schedule B). 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 Form 1040 (Schedule B) and you must not make an adjustment to this amount for acquisition premium on Form 1040 (Schedule B).64 of 65 If there is an amount in both boxes 6 and 11, for a tax-exempt obligation that is a covered security acquired on or after January 1, 2017, and issued with OID, the amount in box 6 shows the amount of acquisition premium amortization for the year that reduces the amount of your tax-exempt OID for the year. The payer may, but is not required to, report the acquisition premium for a tax-exempt obligation that is a covered security acquired before January 1, 2017, and issued with OID. See the instructions above for a covered security acquired with acquisition premium.

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

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

**Box 9.** Any amount shown is your share of investment expenses of a single-class REMIC. This amount is included in box 2.

**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 Form 1040 (Schedule B). 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. See the instructions above for a covered security acquired with acquisition premium.

**Boxes 12-14.** State income tax withheld reporting.

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