

Cobra Trading Inc.
3008 E. Hebron Pkwy Building 400
Carrollton, TX 75010
972-491-7999

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TAN CAPITAL MANAGEMENT LLC
19 BELMONT ST
QUINCY, MA 02171

Account Summary for
10-01-20 thru 10-30-20

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Your Investment Executive
DOMESTIC ACCOUNTS
COBRA TRADING INC
4800 HEDGCOXE RD SUITE 300
PLANO, TX 75024

Account Number: 1RB10387
IE Code: RB01

972-491-7999

YOUR SECURITIES DEALER HAS ENGAGED WEDBUSH SECURITIES (THE FIRM) AS ITS CLEARING AGENT PURSUANT TO A CORRESPONDENT BROKER AGREEMENT. ACCORDINGLY, THE FIRM WILL PROVIDE CASHIERING SERVICES, MONITOR COMPLIANCE OF CREDIT ACCORDING TO APPLICABLE RULES, REGULATIONS AND POLICIES; PREPARE AND MAIL TRADE NOTIFICATIONS AND PERIODIC ACCOUNT STATEMENTS; AND PROVIDE FOR THE DISSEMINATION OF PROXY, TENDER OFFER AND OTHER SIMILAR SHAREHOLDERS' MATERIALS. THE FIRM MAY PROVIDE, UPON SPECIFIC INSTRUCTIONS FROM YOUR SECURITIES DEALER, ORDER EXECUTION AND/OR CERTIFICATE CLEARANCE. HOWEVER, THE FIRM WILL NOT BE INVOLVED WITH OR HAVE RESPONSIBILITY FOR DECISIONS REGARDING TRANSACTIONS IN YOUR ACCOUNT. YOUR SECURITIES DEALER IS RESPONSIBLE FOR ALL ACTIVITIES CONCERNING YOUR ACCOUNT. INQUIRIES, COMPLAINTS, INSTRUCTIONS, AND NOTICES OF ADDRESS CHANGE SHOULD BE DIRECTED PROMPTLY TO YOUR SECURITIES DEALER. THE SECURITIES AND/OR CASH REFLECTED ON THIS STATEMENT ARE HELD BY THE FIRM UNLESS NOTED, AND NOT BY THE SECURITIES DEALER. ANY DISCREPANCY OR INACCURACY SHOULD BE DIRECTED TO BOTH YOUR SECURITIES DEALER AND THE FIRM. THE FIRM CAN BE CONTACTED AT CORRESPONDENT SERVICES DEPT, PO BOX 30014, LOS ANGELES, CA 90030 AND AT 213-688-4568. ALL VERBAL COMMUNICATIONS BY YOU SHOULD BE RE-CONFIRMED IN WRITING TO FURTHER PROTECT YOUR RIGHTS, INCLUDING RIGHTS UNDER THE SECURITIES INVESTOR PROTECTION ACT (SIPA).

TYPE OF ACCOUNT 1. Cash 2. Margin 3. Short 4. Fully Paid Loan 6. Repo E. TEFRA Escrow C. Credit Interest M. Money Market

EXPLANATION OF SELECTED FINANCIAL TERMS

Money Balances: These balances represent a combination of all account types. Movements of money between account types will not appear on your statement, but a complete record of such movements is retained by us and available for your inspection upon request.

Estimated Current Yield: Estimated current yield percentage is calculated on a current basis, not yield to maturity.

Short Account Balances: If you have sold securities which you do not own under the short sale rule, the Firm has, in accordance with regulations, segregated the proceeds from such transactions into your type 3 Short Account. The Short Account

balance is included in the combined money balances. Any market increases and/or decreases from the original selling prices will be moved to your Margin Account on a daily basis. The daily closing prices are used in determining any appreciation or depreciation of the securities sold short.

Market Value/Accounting Net Worth: These amounts represent total market value of all priced securities listed in your portfolio summary. Generally, the market prices of securities have been obtained from the various quotation services whose appraisals are based on the closing prices,

the mean between the bid and the asking price, or a matrix based on interest rates for similar securities (pricing may reflect round lot/odd lot differentials). Where prices are not available from quotation services, the Firm may use prices which in its judgment reflect the approximate market prices for such securities in either case, the Firm does not guarantee the accuracy of such prices. These prices should not be considered to constitute prevailing bids or offers and are subject to change in the trading markets. Prices may differ from current market quotations and are provided only as a general guideline to portfolio values. Prices shown for debt issues reflect the "round lot" price (usually for

holding of one million dollars or more) and holdings of lesser size may have lower market prices and values.

Account Net Worth represents your net long or short portfolio value, plus or minus, as appropriate, the combined net debit or credit balance in your combined account types.

Tax Free Interest: This amount represents municipal bond interest that is generally exempt from federal and state personal income taxes. However, taxpayers must determine if such interest is exempt based upon the type of bonds held, state of residency and current tax laws.

SAVE FOR INCOME TAX PURPOSES. These statements constitute a complete record of your transactions. It is very important that you have them at the end of the year for income tax purposes. We are always ready to answer special questions but it would be operationally impossible to make transcripts of accounts at the end of the year. This is a combined statement of your general account and special memorandum account maintained for you under Section 220.6 of Regulation T issued by the Board of Governors of the Federal Reserve System. The permanent record of the special memorandum account as required by Regulation T is available for your inspection upon request. All trades executed in a calendar month will be reported on the respective monthly statement.

The Firm's financial statement is available for your personal inspection at its offices or a copy of it will be mailed to you upon your written request.

If not prohibited by State Law, you will be paid interest on account free credit balances pending investment or reinvestment. Unless you advise otherwise, it is understood that credit balances held in your account are for investment or reinvestment only. However, your Securities Dealer may impose an administration charge, in the form of a rate decrease of no more than one-half of one percent that will be determined by, and paid directly to, your Security Dealer. The Firm's policy on Securities Dealers' participation is non-discriminating, uniform, and fair. A free credit balance represents funds payable to you upon demand (including checks deposited pending satisfactory clearance) which, although properly accounted for on the Firm's books or records, are not segregated and may be used in the conduct of the Firm's business, including the financing of customer securities purchased on margin, subject to the limitations of Section 240.15c3.3 of the Securities Exchange Act of 1934, as amended. Upon demand and in the course of normal business operations, you have the right to receive: (a) any free credit balances to which you are entitled; (b) any fully paid securities to which you are entitled; and (c) any securities purchased on margin upon full payment of any indebtedness to the Firm. All securities held by the Firm for you, but which are not registered in your name, are commingled with identical securities being held for other clients. In the event any securities so held are "called" (redeemed) by the issuer, the Firm will determine the beneficial ownership thereof by an impartial random selection system as required by New York Stock Exchange rules.

Other Remuneration: Remuneration in the form of cash, order swapping or other reciprocal arrangements may be received by the Firm for directing orders to specific brokers and dealers or to market centers for execution. When such remuneration is received, it is considered compensation to the Firm. The source and amount of such remuneration, if any, will be furnished to you upon written request. All orders received are directed to whatever source will offer customers the best execution.

Information has been included in confirmations previously furnished to you with respect to commissions and other charges incurred concerning the execution of options and other securities transactions, and a summary of this information will be made available to you promptly upon request. Monthly statements will be mailed only to customers who have transactions during the month which affect money balances and/or securities positions. All other accounts will receive statements at least four times during a calendar year providing that the account contains money and/or securities.

Securities and Exchange Commission Rule 10b-16 requires that all brokers disclose to their credit customers the terms and conditions under which the purpose of purchasing, carrying or trading in any security or otherwise. The annual rate of interest to be charged to your account may vary, depending on the size of your daily net debit balance and the prime lending rate. The actual rate charged will not exceed the maximum rate of 2% above the prime rate.

INTEREST IS CALCULATED AND ACCUMULATED DAILY AND IS CHARGED AND COMPOUNDED MONTHLY. Your account will be charged interest using a 365 day per year factor on the daily net debit balance in your combined

account types. Each day your settled money balances in each account type will be combined in determining your daily net debit balance. A daily net debit balance results whenever the total of combined debit balances exceeds the total of combined free credit balances. For purposes of this calculation, free credit balances exclude credit balances in short accounts, and the sales proceeds included in settled balances from transactions in cash accounts involving non-negotiable long positions, technical short positions and uncovered option positions. Short account credit balances are disregarded because the securities sold by you are not available to the Firm for delivery and collection of the sales proceeds resulting from short sales. Sales proceeds included in settled balances from the other described sales transactions in cash accounts are disregarded because such credit items are not available to the Firm, until the related securities sold are rendered deliverable. Although the interest charge is calculated daily, it is generally posted once per month and compounded monthly. Interest charges are summarized on your monthly account statement. The summary uses a weighted average of the daily net debit balance (weighted average balance) and an imputed average interest rate for the period shown. The summary is determined by dividing the total amount of the interest charge (calculated on a daily basis using the actual daily net debit balance and the applicable interest rate) by the product of the weighted average balance multiplied by the number of calendar days the account has a daily net debit balance divided by 365 days. A copy of the daily calculation is available upon written request.

On all property which the Firm has, or at any time may hold or carry for you, in an account of yours (either individually or jointly with others) or which may be deposited with the Firm for any purposes, including safekeeping, the Firm, as pledgee, has a general lien for the discharge of all of your obligations to it however arising and irrespective of the number of accounts you may have with the Firm. The Firm may require you to deposit additional property as collateral in accordance with the rules and regulations of the Securities and Exchange Commission, the Federal Reserve Board, the New York Stock Exchange, or any other regulatory agency having jurisdiction over the Firm. In addition, the Firm may (but shall have no obligation to do so) require you to deposit additional collateral as the Firm, at its sole discretion, determines is needed as security for your obligations to it. Although the Firm does not limit the factors which may cause it to require additional collateral, factors such as market fluctuation, securities concentration, unusual or volatile market conditions, precipitous market declines, illiquid trading markets, quality of collateral and/or overall credit standing of the account may be considered. Usually additional collateral is requested when the equity in the account falls within a range of 25 percent to 35 percent of the total market value of the collateral in the account. In the event a maintenance margin call for additional collateral is not fully satisfied by a deposit of additional funds or collateral and/or by improved market conditions, the Firm may liquidate (but shall not be required to do so) all or any part of the collateral in the account.

Customer Account Protection. The Firm is a member of the Securities Investor Protection Corporation ("SIPC"), which provides protection up to \$500,000, of which a maximum of \$250,000 applies to cash credit balances. In addition to the coverage provided by SIPC, the Firm has purchased from Lloyd's of London an excess SIPC bond that provides additional coverage for up to \$25,000,000 in cash and securities for each client, subject to an aggregate loss limit of \$100,000,000. The excess SIPC bond, together with SIPC coverage, provides protection for cash credit balances for each client to a maximum of \$1,000,000. This protection will replace clients' cash and/or securities that are otherwise unrecoverable. It does not cover clients from losses resulting from the decline in the market value of securities in their accounts.

Clients may purchase additional protection for their accounts by contacting their Investment Executive, who can provide information and pricing.

ACCOUNT SUMMARY

INCOME/PRINCIPAL SUMMARY	CURRENT MONTH	YEAR TO DATE
CREDIT INTEREST	14.38	67.98
TOTAL INCOME/PRINCIPAL	14.38	67.98

ACCOUNT PORTFOLIO

QUANTITY	DESCRIPTION	SYMBOL/ CUSIP	PRICE ACCRUED	CURRENT VALUE	TYPE
MONEY BALANCE					
	Cash			0.00	1
	Margin			389,349.97	2
	Short			0.00	3
MONEY BALANCE TOTAL				389,349.97	
ACCOUNT NET WORTH				389,349.97	

ACCOUNT ACTIVITY

DATE	ACTIVITY	QUANTITY	DESCRIPTION	PRICE	AMOUNT CHARGED	AMOUNT CREDITED	TYPE
			OPENING BALANCE			279,567.90	
10-01-20	Journal		9/30 C STOCK BORROW FEE		1,905.00		2
10-01-20	Mark to Market		SHORT ACCT. MARK TO MARKET			19,328.99	2
10-01-20	Mark to Market		SHORT ACCT. MARK TO MARKET		19,328.99		3
10-01-20	Short Sale	-1,491	SOLID BIOSCIENCES INC COM SYMBOL:SLDB	3.39000		5,054.19	3
10-01-20	Cover Short	1,491	SOLID BIOSCIENCES INC COM SYMBOL:SLDB	3.26534	4,874.25		3
10-01-20	Short Sale	-272,618	ENLIVEX THERAPEUTICS LTD COM SYMBOL:ENLV	10.02061		2,730,753.80	3
10-01-20	Cover Short	272,618	ENLIVEX THERAPEUTICS LTD COM SYMBOL:ENLV	9.94458	2,711,604.75		3
10-02-20	Disbursement		ONE TIME ACH		49,567.90		1
10-02-20	Journal		*FROM MARGIN*			49,567.90	1
10-02-20	Journal		*TO CASH*		49,567.90		2
10-02-20	Journal		10/1 X STOCK BORROW FEE		891.10		2
10-02-20	Journal		10/1 C STOCK BORROW FEE		522.50		2
10-02-20	Mark to Market		SHORT ACCT. MARK TO MARKET			15,770.94	2

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DATE	ACTIVITY	QUANTITY	DESCRIPTION	PRICE	AMOUNT CHARGED	AMOUNT CREDITED	TYPE
10-02-20	Mark to Market		SHORT ACCT. MARK TO MARKET		15,770.94		3
10-02-20	Short Sale	-1,500	ASHFORD HOSPITALITY TR INC COM SHS SYMBOL:AHT	2.02000		3,029.93	3
10-02-20	Cover Short	1,500	ASHFORD HOSPITALITY TR INC COM SHS SYMBOL:AHT	1.95000	2,925.00		3
10-02-20	Short Sale	-83,450	NIKOLA CORP COM SYMBOL:NKLA	25.35097		2,115,202.58	3
10-02-20	Cover Short	83,450	NIKOLA CORP COM SYMBOL:NKLA	25.25852	2,107,965.25		3
10-02-20	Short Sale	-39,119	XTANT MED HLDGS INC COM NEW SYMBOL:XTNT	2.20208		86,047.38	3
10-02-20	Cover Short	39,119	XTANT MED HLDGS INC COM NEW SYMBOL:XTNT	1.98391	77,618.70		3
10-05-20	Journal		10/2 X STOCK BORROW FEE		766.50		2
10-05-20	Journal		10/2 C STOCK BORROW FEE		337.50		2
10-05-20	Mark to Market		SHORT ACCT. MARK TO MARKET			20,057.42	2
10-05-20	Mark to Market		SHORT ACCT. MARK TO MARKET		20,057.42		3
10-05-20	Short Sale	-2,500	CORVUS PHARMACEUTICALS INC COM SYMBOL:CRVS	5.58000		13,949.39	3
10-05-20	Cover Short	2,500	CORVUS PHARMACEUTICALS INC COM SYMBOL:CRVS	5.40000	13,513.13		3
10-05-20	Short Sale	-110,005	GREENPRO INC COM SYMBOL:GRNQ	2.33081		256,336.51	3
10-05-20	Cover Short	110,005	GREENPRO INC COM SYMBOL:GRNQ	2.26193	249,083.24		3
10-05-20	Bought	3,000	WESTWATER RES INC COM NEW SYMBOL:WWR	7.99917	24,007.76		2
10-05-20	Sold	-3,000	WESTWATER RES INC COM NEW SYMBOL:WWR	8.20833		24,624.08	2
10-05-20	Short Sale	-119,209	WESTWATER RES INC COM NEW SYMBOL:WWR	7.83950		934,084.23	3
10-05-20	Cover Short	119,209	WESTWATER RES INC COM NEW SYMBOL:WWR	7.74041	922,908.61		3
10-05-20	Short Sale	-5,761	SPI ENERGY CO LTD SHS NEW SYMBOL:SPI	7.22602		41,604.99	3
10-05-20	Cover Short	5,761	SPI ENERGY CO LTD SHS NEW SYMBOL:SPI	7.01488	40,412.72		3
10-06-20	Journal		10/5 C STOCK BORROW FEE		1,339.00		2
10-06-20	Journal		10/5 X STOCK BORROW FEE		2,065.00		2
10-06-20	Mark to Market		SHORT ACCT. MARK TO MARKET			31,139.96	2
10-06-20	Mark to Market		SHORT ACCT. MARK TO MARKET		31,139.96		3
10-06-20	Short Sale	-1,700	COMSTOCK HLDG COS INC CL A NEW SYMBOL:CHCI	3.67000		6,238.66	3

DATE	ACTIVITY	QUANTITY	DESCRIPTION	PRICE	AMOUNT CHARGED	AMOUNT CREDITED	TYPE
10-06-20	Cover Short	1,700	COMSTOCK HLDG COS INC CL A NEW SYMBOL:CHCI	3.44412	5,860.84		3
10-06-20	Short Sale	-491,603	PIONEER PWR SOLUTIONS INC COM NEW SYMBOL:PPSI	6.03821		2,966,825.74	3
10-06-20	Cover Short	491,603	PIONEER PWR SOLUTIONS INC COM NEW SYMBOL:PPSI	5.96993	2,936,034.07		3
10-06-20	Short Sale	-18,750	AXOVANT GENE THERAPIES LTD COM SYMBOL:AXGT	4.83489		90,558.08	3
10-06-20	Cover Short	18,750	AXOVANT GENE THERAPIES LTD COM SYMBOL:AXGT	4.82780	90,587.61		3
10-07-20	Journal		10/6 C STOCK BORROW FEE		2,643.25		2
10-07-20	Mark to Market		SHORT ACCT. MARK TO MARKET			28,270.55	2
10-07-20	Mark to Market		SHORT ACCT. MARK TO MARKET		28,270.55		3
10-07-20	Short Sale	-399,612	AMERICAN RES CORP COM NEW SYMBOL:AREC	3.72128		1,485,890.08	3
10-07-20	Cover Short	399,612	AMERICAN RES CORP COM NEW SYMBOL:AREC	3.65890	1,462,736.22		3
10-07-20	Short Sale	-48,009	CVD EQUIPMENT CORP COM SYMBOL:CVV	6.61605		317,566.51	3
10-07-20	Cover Short	48,009	CVD EQUIPMENT CORP COM SYMBOL:CVV	6.56426	315,180.87		3
10-07-20	Short Sale	-94,629	SUNWORKS INC COM NEW SYMBOL:SUNW	4.40093		416,134.59	3
10-07-20	Cover Short	94,629	SUNWORKS INC COM NEW SYMBOL:SUNW	4.36705	413,403.54		3
10-08-20	Journal		10/7 C STOCK BORROW FEE		87.50		2
10-08-20	Journal		10/7 X STOCK BORROW FEE		416.50		2
10-08-20	Journal		FEE REVERSAL			469.00	2
10-08-20	Mark to Market		SHORT ACCT. MARK TO MARKET			18,185.39	2
10-08-20	Mark to Market		SHORT ACCT. MARK TO MARKET		18,185.39		3
10-08-20	Short Sale	-576,724	AGEX THERAPEUTICS INC COM SYMBOL:AGE	2.77923		1,600,862.68	3
10-08-20	Cover Short	576,724	AGEX THERAPEUTICS INC COM SYMBOL:AGE	2.75544	1,590,167.58		3
10-08-20	Bought	19,715	CARVER BANCORP INC COM NEW SYMBOL:CARV	8.44997	166,592.11		2
10-08-20	Sold	-19,715	CARVER BANCORP INC COM NEW SYMBOL:CARV	8.33248		164,220.04	2
10-08-20	Short Sale	-7,500	CARVER BANCORP INC COM NEW SYMBOL:CARV	9.01333		67,597.59	3
10-08-20	Cover Short	7,500	CARVER BANCORP INC COM NEW SYMBOL:CARV	8.59666	64,474.95		3
10-08-20	Bought	900	DPW HLDGS INC COM SYMBOL:DPW	3.22281	2,900.53		2

DATE	ACTIVITY	QUANTITY	DESCRIPTION	PRICE	AMOUNT CHARGED	AMOUNT CREDITED	TYPE
10-08-20	Sold	-900	DPW HLDGS INC COM SYMBOL:DPW	3.21000		2,884.10	2
10-08-20	Short Sale	-24,231	DPW HLDGS INC COM SYMBOL:DPW	3.00202		72,699.80	3
10-08-20	Cover Short	24,231	DPW HLDGS INC COM SYMBOL:DPW	2.91862	70,768.17		3
10-08-20	Short Sale	-125,278	OXBRIDGE RE HLDGS LTD SHS SYMBOL:OXBR	2.77527		347,328.16	3
10-08-20	Cover Short	125,278	OXBRIDGE RE HLDGS LTD SHS SYMBOL:OXBR	2.75126	344,892.14		3
10-09-20	Journal		10/7 C STOCK BORROW FEE		87.50		2
10-09-20	Journal		10/7 X STOCK BORROW FEE		416.50		2
10-09-20	Journal		FEE REVERSAL			469.00	2
10-09-20	Journal		10/7 C STOCK BORROW FEE DUPLIC			87.50	2
10-09-20	Journal		10/7 X STOCK BORROW FEE DULPIC			416.50	2
10-09-20	Journal		FEE REVERSAL DULPLICATE ENTRY		469.00		2
10-09-20	Journal		10/8 C STOCK BORROW FEE		1,608.60		2
10-09-20	Journal		10/8 X STOCK BORROW FEE		329.00		2
10-09-20	Mark to Market		SHORT ACCT. MARK TO MARKET		29,521.32		2
10-09-20	Mark to Market		SHORT ACCT. MARK TO MARKET			29,521.32	3
10-09-20	Short Sale	-7,500	EASTMAN KODAK CO COM NEW SYMBOL:KODK	10.49667		78,716.23	3
10-09-20	Cover Short	7,500	EASTMAN KODAK CO COM NEW SYMBOL:KODK	10.40133	78,009.98		3
10-09-20	Short Sale	-10,550	JINKOSOLAR HLDG CO LTD SPONSORED ADR ADR SYMBOL:JKS	60.00706		633,048.43	3
10-09-20	Cover Short	10,550	JINKOSOLAR HLDG CO LTD SPONSORED ADR ADR SYMBOL:JKS	59.92839	632,244.51		3
10-09-20	Short Sale	-5,000	MICROVISION INC DEL COM NEW SYMBOL:MVIS	2.89500		14,474.08	3
10-09-20	Cover Short	5,000	MICROVISION INC DEL COM NEW SYMBOL:MVIS	2.83823	14,210.80		3
10-09-20	Bought	1,178	VIVOPOWER INTERNATIONAL PLC SHS SYMBOL:VVPR	15.02000	17,693.56		2
10-09-20	Sold	-1,178	VIVOPOWER INTERNATIONAL PLC SHS SYMBOL:VVPR	15.25075		17,963.06	2
10-09-20	Short Sale	-573,858	VIVOPOWER INTERNATIONAL PLC SHS SYMBOL:VVPR	17.32666		9,940,735.62	3
10-09-20	Cover Short	573,858	VIVOPOWER INTERNATIONAL PLC SHS SYMBOL:VVPR	17.37515	9,972,030.39		3

DATE	ACTIVITY	QUANTITY	DESCRIPTION	PRICE	AMOUNT CHARGED	AMOUNT CREDITED	TYPE
10-12-20	Journal		10/9 C STOCK BORROW FEE		1,769.50		2
10-12-20	Journal		10/9 X STOCK BORROW FEE		329.00		2
10-12-20	Mark to Market		SHORT ACCT. MARK TO MARKET			10,513.62	2
10-12-20	Mark to Market		SHORT ACCT. MARK TO MARKET		10,513.62		3
10-12-20	Short Sale	-25,270	JAKKS PAC INC COM NEW SYMBOL:JAKK	4.97888		125,683.49	3
10-12-20	Cover Short	25,270	JAKKS PAC INC COM NEW SYMBOL:JAKK	5.05742	127,854.19		3
10-12-20	Short Sale	-75,849	LIZHI INC ADS SYMBOL:LIZI	4.24307		321,568.40	3
10-12-20	Cover Short	75,849	LIZHI INC ADS SYMBOL:LIZI	4.17526	316,856.31		3
10-12-20	Short Sale	-390,864	WIMI HOLOGRAM CLOUD INC SPON ADS CL B SYMBOL:WIMI	7.19112		2,809,113.16	3
10-12-20	Cover Short	390,864	WIMI HOLOGRAM CLOUD INC SPON ADS CL B SYMBOL:WIMI	7.16775	2,802,770.96		3
10-12-20	Short Sale	-24,216	WORKHORSE GROUP INC COM NEW SYMBOL:WKHS	29.38410		711,454.69	3
10-12-20	Cover Short	24,216	WORKHORSE GROUP INC COM NEW SYMBOL:WKHS	29.39113	711,764.21		3
10-12-20	Short Sale	-26,875	WAH FU EDUCATION GROUP LIMITED SHS SYMBOL:WAFU	6.56347		176,356.96	3
10-12-20	Cover Short	26,875	WAH FU EDUCATION GROUP LIMITED SHS SYMBOL:WAFU	6.48995	174,417.41		3
10-13-20	Journal		10/12 C STOCK BORROW FEE		3,402.36		2
10-13-20	Journal		10/12 X STOCK BORROW FEE		8.75		2
10-13-20	Mark to Market		SHORT ACCT. MARK TO MARKET			15,823.26	2
10-13-20	Mark to Market		SHORT ACCT. MARK TO MARKET		15,823.26		3
10-13-20	Short Sale	-769,702	MEDIGUS LTD SPONSORED ADS SYMBOL:MDGS	3.37219		2,592,440.47	3
10-13-20	Cover Short	769,702	MEDIGUS LTD SPONSORED ADS SYMBOL:MDGS	3.35100	2,581,932.79		3
10-13-20	Short Sale	-52,233	PEDEVCO CORP COM PAR SYMBOL:PED	2.92076		152,387.34	3
10-13-20	Cover Short	52,233	PEDEVCO CORP COM PAR SYMBOL:PED	2.81431	147,071.76		3
10-14-20	Journal		10/13 X STOCK BORROW FEE		689.00		2
10-14-20	Journal		10/13 C STOCK BORROW FEE		376.00		2
10-14-20	Mark to Market		SHORT ACCT. MARK TO MARKET		6,454.77		2
10-14-20	Mark to Market		SHORT ACCT. MARK TO MARKET			6,454.77	3
10-14-20	Short Sale	-14,843	ENERGY FOCUS INC COM SYMBOL:EFOI	11.12808		165,132.16	3
10-14-20	Cover Short	14,843	ENERGY FOCUS INC COM SYMBOL:EFOI	10.95337	162,594.44		3

DATE	ACTIVITY	QUANTITY	DESCRIPTION	PRICE	AMOUNT CHARGED	AMOUNT CREDITED	TYPE
10-14-20	Short Sale	-925	FASTLY INC CL A COM SYMBOL:FSLY	90.97919		84,153.78	3
10-14-20	Cover Short	925	FASTLY INC CL A COM SYMBOL:FSLY	90.01919	83,267.75		3
10-14-20	Bought	2,500	INTERPACE BIOSCIENCES INC COM SYMBOL:IDXG	4.86000	12,160.32		2
10-14-20	Sold	-2,500	INTERPACE BIOSCIENCES INC COM SYMBOL:IDXG	4.99000		12,474.42	2
10-14-20	Short Sale	-408,834	INTERPACE BIOSCIENCES INC COM SYMBOL:IDXG	4.57831		1,870,023.75	3
10-14-20	Cover Short	408,834	INTERPACE BIOSCIENCES INC COM SYMBOL:IDXG	4.59058	1,877,918.74		3
10-14-20	Short Sale	-2,500	NIO INC ADS SYMBOL:NIO	26.60800		66,505.09	3
10-14-20	Cover Short	2,500	NIO INC ADS SYMBOL:NIO	26.59000	66,487.41		3
10-14-20	Short Sale	-30,300	PELOTON INTERACTIVE INC CL A COM SYMBOL:PTON	129.83720		3,933,896.99	3
10-14-20	Cover Short	30,300	PELOTON INTERACTIVE INC CL A COM SYMBOL:PTON	129.88890	3,935,729.47		3
10-14-20	Short Sale	-3,500	REPLIMUNE GROUP INC COM SYMBOL:REPL	39.78479		139,234.73	3
10-14-20	Cover Short	3,500	REPLIMUNE GROUP INC COM SYMBOL:REPL	39.75429	139,140.02		3
10-14-20	Short Sale	-15,000	XCEL BRANDS INC COM NEW SYMBOL:XELB	1.29340		19,398.78	3
10-14-20	Cover Short	15,000	XCEL BRANDS INC COM NEW SYMBOL:XELB	1.30828	19,662.22		3
10-15-20	Journal		10/14 X STOCK BORROW FEE		1,100.00		2
10-15-20	Journal		10/14 C STOCK BORROW FEE		1,595.00		2
10-15-20	Journal		REVERSE ENTRY		416.50		2
10-15-20	Journal		REVERSE ENTRY		329.00		2
10-15-20	Journal		REVERSE ENTRY		329.00		2
10-15-20	Journal		REVERSE ENTRY		8.75		2
10-15-20	Journal		10/7 X STOCK BORROW FEE		416.50		2
10-15-20	Journal		10/8 X STOCK BORROW FEE		329.00		2
10-15-20	Journal		10/9 X STOCK BORROW FEE		329.00		2
10-15-20	Journal		FEE CORRECTION			1,499.75	2
10-15-20	Mark to Market		SHORT ACCT. MARK TO MARKET			41,338.66	2
10-15-20	Mark to Market		SHORT ACCT. MARK TO MARKET		41,338.66		3
10-15-20	Short Sale	-131,139	SPI ENERGY CO LTD SHS NEW SYMBOL:SPI	12.52817		1,642,360.68	3
10-15-20	Cover Short	131,139	SPI ENERGY CO LTD SHS NEW SYMBOL:SPI	12.20665	1,601,022.02		3
10-16-20	Disbursement		ONE TIME ACH		42,908.40		1
10-16-20	Journal		*FROM MARGIN*			42,908.40	1

DATE	ACTIVITY	QUANTITY	DESCRIPTION	PRICE	AMOUNT CHARGED	AMOUNT CREDITED	TYPE
10-16-20	Journal		*TO CASH*		42,908.40		2
10-16-20	Journal		10/15 C STOCK BORROW FEE		3,876.00		2
10-16-20	Journal		FEE CORRECTION			1,097.75	2
10-16-20	Mark to Market		SHORT ACCT. MARK TO MARKET			24,909.25	2
10-16-20	Mark to Market		SHORT ACCT. MARK TO MARKET		24,909.25		3
10-16-20	Short Sale	-427,030	HERTZ RENT CAR HLDG CO INC COM SYMBOL:HTZGQ	2.12995		907,763.96	3
10-16-20	Cover Short	427,030	HERTZ RENT CAR HLDG CO INC COM SYMBOL:HTZGQ	2.09777	897,084.52		3
10-16-20	Short Sale	-57,200	KAIXIN AUTO HLDGS SHS SYMBOL:KXIN	3.43955		196,731.96	3
10-16-20	Cover Short	57,200	KAIXIN AUTO HLDGS SHS SYMBOL:KXIN	3.18725	182,502.15		3
10-19-20	Disbursement		ONE TIME ACH		47,985.66		1
10-19-20	Journal		*FROM MARGIN*			47,985.66	1
10-19-20	Journal		*TO CASH*		47,985.66		2
10-19-20	Journal		10/16 X STOCK BORROW FEE		125.00		2
10-19-20	Journal		10/16 C STOCK BORROW FEE		250.00		2
10-19-20	Mark to Market		SHORT ACCT. MARK TO MARKET			20,099.93	2
10-19-20	Mark to Market		SHORT ACCT. MARK TO MARKET		20,099.93		3
10-19-20	Short Sale	-425,440	BOQI INTL MED INC COM SYMBOL:BIMI	3.49834		1,486,671.43	3
10-19-20	Cover Short	425,440	BOQI INTL MED INC COM SYMBOL:BIMI	3.44527	1,466,571.50		3
10-20-20	Journal		10/19 X STOCK BORROW FEE		125.00		2
10-20-20	Journal		10/19 C STOCK BORROW FEE		860.00		2
10-20-20	Mark to Market		SHORT ACCT. MARK TO MARKET			10,278.84	2
10-20-20	Mark to Market		SHORT ACCT. MARK TO MARKET		10,278.84		3
10-20-20	Short Sale	-12,500	ACORDA THERAPEUTICS INC COM SYMBOL:ACOR	1.40632		17,534.60	3
10-20-20	Cover Short	12,500	ACORDA THERAPEUTICS INC COM SYMBOL:ACOR	1.37600	17,214.63		3
10-20-20	Short Sale	-28,902	ANCHIANO THERAPEUTICS LTD SPONSORED ADS SYMBOL:ANCN	2.12313		61,308.18	3
10-20-20	Cover Short	28,902	ANCHIANO THERAPEUTICS LTD SPONSORED ADS SYMBOL:ANCN	2.07970	60,207.53		3
10-20-20	Short Sale	-65,525	APTINYX INC COM SYMBOL:PTX	7.12161		466,481.26	3
10-20-20	Cover Short	65,525	APTINYX INC COM SYMBOL:PTX	7.13397	467,549.91		3
10-20-20	Short Sale	-291,612	CLEVELAND BIOLABS INC COM NEW SYMBOL:CBLI	4.33378		1,262,837.18	3

DATE	ACTIVITY	QUANTITY	DESCRIPTION	PRICE	AMOUNT CHARGED	AMOUNT CREDITED	TYPE
10-20-20	Cover Short	291,612	CLEVELAND BIOLABS INC COM NEW SYMBOL:CBLI	4.29503	1,252,910.31		3
10-21-20	Journal		10/20 X STOCK BORROW FEE		1,410.00		2
10-21-20	Journal		10/20 C STOCK BORROW FEE		500.00		2
10-21-20	Mark to Market		SHORT ACCT. MARK TO MARKET			30,637.90	2
10-21-20	Mark to Market		SHORT ACCT. MARK TO MARKET		30,637.90		3
10-21-20	Short Sale	-593,917	ASTROTECH CORP COM NEW SYMBOL:ASTC	4.40820		2,615,878.03	3
10-21-20	Cover Short	593,917	ASTROTECH CORP COM NEW SYMBOL:ASTC	4.35127	2,585,699.85		3
10-21-20	Short Sale	-2,500	CARVER BANCORP INC COM NEW SYMBOL:CARV	8.00680		20,009.72	3
10-21-20	Cover Short	2,500	CARVER BANCORP INC COM NEW SYMBOL:CARV	7.82000	19,550.00		3
10-22-20	Journal		10/21 X STOCK BORROW FEE		4,001.00		2
10-22-20	Journal		10/21 C STOCK BORROW FEE		1,069.00		2
10-22-20	Mark to Market		SHORT ACCT. MARK TO MARKET			30,030.90	2
10-22-20	Mark to Market		SHORT ACCT. MARK TO MARKET		30,030.90		3
10-22-20	Short Sale	-327,417	BIO PATH HOLDINGS INC COM SYMBOL:BPTH	5.56932		1,822,529.99	3
10-22-20	Cover Short	327,417	BIO PATH HOLDINGS INC COM SYMBOL:BPTH	5.47508	1,793,083.72		3
10-22-20	Short Sale	-2,500	KBS FASHION GROUP LTD COM NEW SYMBOL:KBSF	3.15760		7,884.33	3
10-22-20	Cover Short	2,500	KBS FASHION GROUP LTD COM NEW SYMBOL:KBSF	2.91620	7,299.70		3
10-23-20	Disbursement		ONE TIME ACH		49,877.67		1
10-23-20	Journal		*FROM MARGIN*			49,877.67	1
10-23-20	Journal		*TO CASH*		49,877.67		2
10-23-20	Journal		10/22 X STOCK BORROW FEE		1,000.00		2
10-23-20	Mark to Market		SHORT ACCT. MARK TO MARKET			27,853.52	2
10-23-20	Mark to Market		SHORT ACCT. MARK TO MARKET		27,853.52		3
10-23-20	Short Sale	-7,500	MARIN SOFTWARE INC COM NEW SYMBOL:MRIN	2.97233		22,291.09	3
10-23-20	Cover Short	7,500	MARIN SOFTWARE INC COM NEW SYMBOL:MRIN	2.84000	21,300.00		3
10-23-20	Short Sale	-778,305	SOCKET MOBILE INC COM NEW SYMBOL:SCKT	3.61374		2,809,659.74	3
10-23-20	Cover Short	778,305	SOCKET MOBILE INC COM NEW SYMBOL:SCKT	3.58449	2,791,991.21		3

DATE	ACTIVITY	QUANTITY	DESCRIPTION	PRICE	AMOUNT CHARGED	AMOUNT CREDITED	TYPE
10-23-20	Short Sale	-11,401	DOGNESS INTERNATIONAL CORP COM CL A SYMBOL:DOGZ	3.05240		34,798.28	3
10-23-20	Cover Short	11,401	DOGNESS INTERNATIONAL CORP COM CL A SYMBOL:DOGZ	2.99972	34,202.61		3
10-23-20	Short Sale	-2,500	CLPS INCORPORATION COM SYMBOL:CLPS	5.83264		14,580.97	3
10-23-20	Cover Short	2,500	CLPS INCORPORATION COM SYMBOL:CLPS	5.52000	13,800.00		3
10-23-20	Short Sale	-35,325	KAIXIN AUTO HLDGS SHS SYMBOL:KXIN	5.89297		208,011.46	3
10-23-20	Cover Short	35,325	KAIXIN AUTO HLDGS SHS SYMBOL:KXIN	5.66525	200,194.20		3
10-26-20	Journal		10/23 X STOCK BORROW FEE		2,047.50		2
10-26-20	Journal		10/23 C STOCK BORROW FEE		1,750.00		2
10-26-20	Mark to Market		SHORT ACCT. MARK TO MARKET			13,566.86	2
10-26-20	Mark to Market		SHORT ACCT. MARK TO MARKET		13,566.86		3
10-26-20	Short Sale	-2,500	GEOVAX LABS INC COM SYMBOL:GOVX	4.20000		10,497.41	3
10-26-20	Cover Short	2,500	GEOVAX LABS INC COM SYMBOL:GOVX	4.03930	10,100.85		3
10-26-20	Short Sale	-15,511	MARIN SOFTWARE INC COM NEW SYMBOL:MRIN	4.22412		65,517.03	3
10-26-20	Cover Short	15,511	MARIN SOFTWARE INC COM NEW SYMBOL:MRIN	3.99911	62,030.20		3
10-26-20	Short Sale	-73,684	LIANLUO SMART LTD COM CL A NEW SYMBOL:LLIT	4.90951		361,738.38	3
10-26-20	Cover Short	73,684	LIANLUO SMART LTD COM CL A NEW SYMBOL:LLIT	4.77588	352,054.91		3
10-27-20	Journal		10/26 X STOCK BORROW FEE		910.00		2
10-27-20	Mark to Market		SHORT ACCT. MARK TO MARKET			17,648.30	2
10-27-20	Mark to Market		SHORT ACCT. MARK TO MARKET		17,648.30		3
10-27-20	Short Sale	-2,500	SYNALLOY CP DEL COM SYMBOL:SYNL	4.81968		12,036.13	3
10-27-20	Cover Short	2,500	SYNALLOY CP DEL COM SYMBOL:SYNL	4.71733	11,801.47		3
10-27-20	Bought	152	SPI ENERGY CO LTD SHS NEW SYMBOL:SPI	10.99000	1,671.24		2
10-27-20	Sold	-152	SPI ENERGY CO LTD SHS NEW SYMBOL:SPI	11.03000		1,675.74	2
10-27-20	Short Sale	-111,720	SPI ENERGY CO LTD SHS NEW SYMBOL:SPI	9.98401		1,115,043.96	3
10-27-20	Cover Short	111,720	SPI ENERGY CO LTD SHS NEW SYMBOL:SPI	9.82331	1,097,630.32		3
10-28-20	Disbursement		ONE TIME ACH		41,583.78		1
10-28-20	Journal		*FROM MARGIN*			41,583.78	1
10-28-20	Journal		*TO CASH*		41,583.78		2
10-28-20	Journal		10/27 X STOCK BORROW FEE		1,031.80		2
10-28-20	Journal		10/27 C STOCK BORROW FEE		1,820.20		2

DATE	ACTIVITY	QUANTITY	DESCRIPTION	PRICE	AMOUNT CHARGED	AMOUNT CREDITED	TYPE
10-28-20	Mark to Market		SHORT ACCT. MARK TO MARKET			18,412.25	2
10-28-20	Mark to Market		SHORT ACCT. MARK TO MARKET		18,412.25		3
10-28-20	Short Sale	-88,265	APPLIED UV INC COM SYMBOL:AUVI	9.33852		823,921.38	3
10-28-20	Cover Short	88,265	APPLIED UV INC COM SYMBOL:AUVI	9.23660	815,453.11		3
10-28-20	Short Sale	-251,800	MIRAGEN THERAPEUTICS INC COM SYMBOL:MGEN	1.21481		305,419.49	3
10-28-20	Cover Short	251,800	MIRAGEN THERAPEUTICS INC COM SYMBOL:MGEN	1.19564	301,355.11		3
10-28-20	Short Sale	-2,500	SCHOLAR ROCK HLDG CORP COM SYMBOL:SRRK	41.17000		102,922.42	3
10-28-20	Cover Short	2,500	SCHOLAR ROCK HLDG CORP COM SYMBOL:SRRK	40.53140	101,328.50		3
10-28-20	Short Sale	-35,039	SOCKET MOBILE INC COM NEW SYMBOL:SCKT	3.69728		129,541.95	3
10-28-20	Cover Short	35,039	SOCKET MOBILE INC COM NEW SYMBOL:SCKT	3.61431	126,713.91		3
10-28-20	Short Sale	-2,500	TUPPERWARE BRANDS CORP COM SYMBOL:TUP	29.50000		73,748.07	3
10-28-20	Cover Short	2,500	TUPPERWARE BRANDS CORP COM SYMBOL:TUP	29.07400	72,685.00		3
10-28-20	Short Sale	-6,000	WEIDAI LTD ADS SYMBOL:WEI	2.48083		14,883.94	3
10-28-20	Cover Short	6,000	WEIDAI LTD ADS SYMBOL:WEI	2.41417	14,489.37		3
10-29-20	Journal		10/28 X STOCK BORROW FEE		1,625.00		2
10-29-20	Journal		10/28 C STOCK BORROW FEE		1,169.00		2
10-29-20	Mark to Market		SHORT ACCT. MARK TO MARKET			8,994.59	2
10-29-20	Mark to Market		SHORT ACCT. MARK TO MARKET		8,994.59		3
10-29-20	Short Sale	-864	PIONEER PWR SOLUTIONS INC COM NEW SYMBOL:PPSI	3.18000		2,747.35	3
10-29-20	Cover Short	864	PIONEER PWR SOLUTIONS INC COM NEW SYMBOL:PPSI	3.07000	2,656.80		3
10-29-20	Short Sale	-15,000	POLAR PWR INC COM SYMBOL:POLA	3.09100		46,353.18	3
10-29-20	Cover Short	15,000	POLAR PWR INC COM SYMBOL:POLA	2.98667	44,812.09		3
10-29-20	Short Sale	-345,114	UNIVERSAL SEC INSTRS INC COM NEW SYMBOL:UUU	4.46230		1,538,786.67	3
10-29-20	Cover Short	345,114	UNIVERSAL SEC INSTRS INC COM NEW SYMBOL:UUU	4.43500	1,531,423.72		3
10-30-20	Journal		10/29 X STOCK BORROW FEE		2,100.00		2

DATE	ACTIVITY	QUANTITY	DESCRIPTION	PRICE	AMOUNT CHARGED	AMOUNT CREDITED	TYPE
10-30-20	Journal		10/29 C STOCK BORROW FEE		782.50		2
10-30-20	Journal		SEP SOFTWARE/MD FEE		87.00		2
10-30-20	Mark to Market		SHORT ACCT. MARK TO MARKET			23,801.45	2
10-30-20	Mark to Market		SHORT ACCT. MARK TO MARKET		23,801.45		3
10-30-20	Short Sale	-28,500	BIOLINERX LTD SPONSORED ADS SYMBOL:BLRX	2.17870		62,048.25	3
10-30-20	Cover Short	28,500	BIOLINERX LTD SPONSORED ADS SYMBOL:BLRX	2.09854	59,853.80		3
10-30-20	Short Sale	-19,705	EQUILLIUM INC COM SYMBOL:EQ	7.20690		141,989.19	3
10-30-20	Cover Short	19,705	EQUILLIUM INC COM SYMBOL:EQ	7.07656	139,458.46		3
10-30-20	Short Sale	-164,689	MARINE PETE TR UNIT BEN INT SYMBOL:MARPS	4.65228		765,791.62	3
10-30-20	Cover Short	164,689	MARINE PETE TR UNIT BEN INT SYMBOL:MARPS	4.53699	747,322.31		3
10-30-20	Short Sale	-5,000	MONEYGRAM INTL INC COM NEW SYMBOL:MGI	5.76332		28,813.46	3
10-30-20	Cover Short	5,000	MONEYGRAM INTL INC COM NEW SYMBOL:MGI	5.64130	28,206.50		3
10-31-20	Interest		.05000%31 DAYS,BAL= \$338678			14.38	2
CLOSING BALANCE						389,349.97	