

 <p>Member FINRA/SIPC</p>	<p align="center">Tax Information Account 270353223</p>	<p>Statement Date: 01/14/2021 Document ID: 1NA9 JAT 6GJ2</p>	<p align="center">2020</p>
<p>PO BOX 2209 OMAHA, NE 68103-2209 Client Services: 800-669-3900</p>	<p>KEVIN NGUYEN 12012 SE 218TH PL KENT, WA 98031-3930</p>		
<p>PAYER'S TIN: 47-0533629</p>	<p>RECIPIENT'S TIN: XXX-XX-7258</p>		

[] FATCA filing requirement (see instructions)					
Summary Information					
DIVIDENDS AND DISTRIBUTIONS		2020 1099-DIV*	OMB No. 1545-0110	MISCELLANEOUS INCOME	2020 1099-MISC* OMB No. 1545-0115
1a- Total ordinary dividends (includes lines 1b, 5)			0.00	2- Royalties	0.00
1b- Qualified dividends			0.00	3- Other income	0.00
2a- Total capital gain distributions (includes lines 2b, 2c, 2d)			0.00	4- Federal income tax withheld	0.00
2b- Unrecaptured Section 1250 gain			0.00	8- Substitute payments in lieu of dividends or interest	0.00
2c- Section 1202 gain			0.00		
2d- Collectibles (28%) gain			0.00	SECTION 1256 CONTRACTS	2020 1099-B* OMB No. 1545-0715
3- Nondividend distributions			0.00	8- Profit or (loss) realized in 2020 on closed contracts	-1,811.80
4- Federal income tax withheld			0.00	9- Unrealized profit or (loss) on open contracts-12/31/2019	0.00
5- Section 199A dividends			0.00	10- Unrealized profit or (loss) on open contracts-12/31/2020	0.00
6- Investment expenses			0.00	11- Aggregate profit or (loss) on contracts	-1,811.80
8- Foreign country or US possession:	7- Foreign tax paid:		0.00	<i>If applicable, proceeds from sale transactions appear summarized below and are detailed in subsequent sections of this document.</i>	
9- Cash liquidation distributions			0.00		
10- Noncash liquidation distributions			0.00		
11- Exempt-interest dividends (includes line 12)			0.00		
12- Specified private activity bond interest dividends (AMT)			0.00		

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SUMMARY OF PROCEEDS, GAINS & LOSSES, ADJUSTMENTS AND WITHHOLDING

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

Term	Form 8949 type	Proceeds	Cost basis	Market discount	Wash sale loss disallowed	Net gain or loss(-)
Short	A (basis reported to the IRS)	676,560.50	637,068.33	0.00	545.22	40,037.39
Short	B (basis not reported to the IRS)	0.00	0.00	0.00	0.00	0.00
Short	C (Form 1099-B not received)	0.00	0.00	0.00	0.00	0.00
	Total Short-term	676,560.50	637,068.33	0.00	545.22	40,037.39
Long	D (basis reported to the IRS)	0.00	0.00	0.00	0.00	0.00
Long	E (basis not reported to the IRS)	0.00	0.00	0.00	0.00	0.00
Long	F (Form 1099-B not received)	0.00	0.00	0.00	0.00	0.00
	Total Long-term	0.00	0.00	0.00	0.00	0.00
Undetermined	B or E (basis not reported to the IRS)	0.00	0.00	0.00	0.00	0.00
Undetermined	C or F (Form 1099-B not received)	0.00	0.00	0.00	0.00	0.00
	Total Undetermined-term	0.00	0.00	0.00	0.00	0.00
	Grand total	676,560.50	637,068.33	0.00	545.22	40,037.39
Withholding		Amount				
Federal income tax withheld		0.00				

Changes to dividend tax classifications processed after your original tax form is issued for 2020 may require an amended tax form.

TD Ameritrade Clearing, Inc.

Account 270353223

Summary Information

2020

(continued)

01/14/2021

INTEREST INCOME**2020 1099-INT**

OMB No. 1545-0112

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1- Interest income (not included in line 3)	0.41
2- Early withdrawal penalty	0.00
3- Interest on US Savings Bonds & Treasury obligations	0.00
4- Federal income tax withheld	0.00
5- Investment expenses	0.00
7- Foreign country or US possession:	0.00
6- Foreign tax paid:	0.00
8- Tax-exempt interest (includes line 9)	0.00
9- Specified private activity bond interest (AMT)	0.00
10- Market discount (covered lots)	0.00
11- Bond premium (covered lots)	0.00
12- Bond premium on Treasury obligations (covered lots)	0.00
13- Bond premium on tax-exempt bonds (categorized below)	0.00
Tax-exempt obligations (covered lots)	0.00
Tax-exempt private activity obligations (AMT, covered lots)	0.00
14- Tax-exempt and tax credit bond CUSIP number	See detail

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

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

STATE TAX WITHHELD

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

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

ORIGINAL ISSUE DISCOUNT AND ADJUSTMENTS

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

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

RECONCILIATIONS, FEES, EXPENSES AND EXPENDITURES

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

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

TD Ameritrade Clearing, Inc.

Account 270353223

Proceeds from Broker and Barter Exchange Transactions

2020 1099-B* OMB No. 1545-0715

01/14/2021

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

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

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

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

FATCA filing requirement []

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

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

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

1a- Description of property/CUSIP/Symbol

1c- Date sold or disposed	Quantity	1d- Proceeds & 6- Reported (G)ross or (N)et	1b- Date acquired	1e- Cost or other basis	1f- Accrued mkt disc (D) & 1g- Wash sale loss disallowed (W)	Gain or loss(-) & 7- Loss not allowed (X) also not reported (Z)	Additional information
DEXCOM INC COM / CUSIP: 252131107 / Symbol: DXCM							
07/22/20	3.000	1,292.43	06/15/20	1,182.28	...	110.15	Sale
08/03/20	6.000	2,628.42	06/15/20	2,364.57	...	263.85	Sale
Security total:		3,920.85		3,546.85	...	374.00	
MICROSOFT CORP COM / CUSIP: 594918104 / Symbol: MSFT							
07/14/20	14.000	2,887.86	06/04/20	2,586.92	...	300.94	Sale
NINTENDO CO LTD ADR UNSPONSORED / CUSIP: 654445303 / Symbol: NTDOY							
07/09/20	35.000	2,010.06	06/12/20	1,940.05	...	70.01	Sale
TREX COMPANY INC COM / CUSIP: 89531P105 / Symbol: TREX							
07/20/20	15.000	2,051.88	06/05/20	1,945.94	...	105.94	Sale
UNIVERSAL DISPLAY CORP COM / CUSIP: 91347P105 / Symbol: OLED							
07/20/20	12.000	1,863.08	06/04/20	1,864.08	...	-1.00	Sale
APPLE INC AAPL Jan 15 2021 101.25 Call / CUSIP: / Symbol: AAPL 01/15/21 C 101.250							
10/30/20	2.000	2,678.61	09/28/20	3,701.33	...	-1,022.72	Option sale
APPLE INC AAPL Apr 16 2021 106.25 Call / CUSIP: / Symbol: AAPL 04/16/21 C 106.250							
12/22/20	4.000	11,257.08	11/27/20	6,382.66	...	4,874.42	Option sale

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Account 270353223

Proceeds from Broker and Barter Exchange Transactions

2020 1099-B* OMB No. 1545-0715

(continued)

01/14/2021

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1c- Date sold or disposed	Quantity	1d- Proceeds & 6- Reported (G)ross or (N)et	1b- Date acquired	1e- Cost or other basis	1f- Accrued mkt disc (D) & 1g- Wash sale loss disallowed (W)	Gain or loss(-) & 7- Loss not allowed (X) also not reported (Z)	Additional information
ADOBE INC ADBE Oct 16 2020 410.0 Call / CUSIP: / Symbol: ADBE 10/16/20 C 410.000							
08/27/20	1.000	11,421.08	08/05/20	5,280.67	...	6,140.41	Option sale
ADOBE INC ADBE Nov 20 2020 455.0 Call / CUSIP: / Symbol: ADBE 11/20/20 C 455.000							
10/30/20	2.000	3,358.60	10/07/20	9,551.33	...	-6,192.73	Option sale
ALARM.COM HOLDINGS INC ALRM Dec 18 2020 52.5 Call / CUSIP: / Symbol: ALRM 12/18/20 C 52.500							
09/17/20	3.000	2,037.94	08/26/20	3,152.00	...	-1,114.06	Option sale
ADVANCED MICRO DEVICES INC AMD Jan 15 2021 72.5 Call / CUSIP: / Symbol: AMD 01/15/21 C 72.500							
10/28/20	4.000	3,857.24	10/23/20	5,424.66	...	-1,567.42	Option sale
ADVANCED MICRO DEVICES INC AMD Jan 15 2021 77.5 Call / CUSIP: / Symbol: AMD 01/15/21 C 77.500							
11/23/20	10.000	10,103.11	11/19/20	9,456.64	...	646.47	Option sale
DIGITAL TURBINE INC APPS Dec 18 2020 30.0 Call / CUSIP: / Symbol: APPS 12/18/20 C 30.000							
10/21/20	10.000	8,253.16	10/21/20	9,646.64	...	-1,393.48	Option sale
DIGITAL TURBINE INC APPS Dec 18 2020 40.0 Put / CUSIP: / Symbol: APPS 12/18/20 P 40.000							
11/02/20	4.000	4,857.22	10/30/20	5,042.66	...	-185.44	Option sale
DIGITAL TURBINE INC APPS Jan 15 2021 30.0 Call / CUSIP: / Symbol: APPS 01/15/21 C 30.000							
11/24/20	6.000	5,329.89	11/11/20	4,989.98	...	339.91	Option sale
ALIBABA GROUP HOLDING LTD BABA Mar 19 2021 260.0 Call / CUSIP: / Symbol: BABA 03/19/21 C 260.000							
12/07/20	2.000	4,608.57	12/03/20	5,151.33	...	-542.76	Option sale
ALIBABA GROUP HOLDING LTD BABA Mar 19 2021 270.0 Call / CUSIP: / Symbol: BABA 03/19/21 C 270.000							
11/11/20	1.000	2,349.29	11/06/20	4,444.66	...	-2,095.37	Option sale
BEST BUY CO INC BBY Feb 19 2021 95.0 Call / CUSIP: / Symbol: BBY 02/19/21 C 95.000							
12/28/20	13.000	11,886.09	12/21/20	14,087.63	...	-2,201.54	Option sale
BEYOND MEAT INC BYND Oct 23 2020 155.0 Call / CUSIP: / Symbol: BYND 10/23/20 C 155.000							
10/02/20	4.000	6,437.19	10/02/20	6,942.66	...	-505.47	Option sale

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Proceeds from Broker and Barter Exchange Transactions

2020 1099-B* OMB No. 1545-0715

(continued)

01/14/2021

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BEYOND MEAT INC BYND Oct 30 2020 139.0 Call / CUSIP: / Symbol: BYND 10/30/20 C 139.000							
10/02/20	2.000	6,368.53	09/25/20	4,321.33	...	2,047.20	Option sale
10/13/20	1.000	4,254.25	09/25/20	2,160.66	...	2,093.59	Option sale
Security total:		10,622.78		6,481.99	...	4,140.79	
BEYOND MEAT INC BYND Jan 15 2021 155.0 Call / CUSIP: / Symbol: BYND 01/15/21 C 155.000							
10/26/20	2.000	5,128.56	10/26/20	6,661.33	...	-1,532.77	Option sale
BEYOND MEAT INC BYND Feb 19 2021 125.0 Call / CUSIP: / Symbol: BYND 02/19/21 C 125.000							
12/24/20	7.000	12,644.06	12/23/20	14,599.65	...	-1,955.59	Option sale
COSTCO WHOLESALE CORP COST Aug 28 2020 317.5 Call / CUSIP: / Symbol: COST 08/28/20 C 317.500							
08/10/20	1.000	2,319.28	07/22/20	1,526.67	...	792.61	Option sale
COUPA SOFTWARE INCORPORATED COUP Jan 15 2021 290.0 Call / CUSIP: / Symbol: COUP 01/15/21 C 290.000							
12/01/20	2.000	8,456.48	11/24/20	8,387.33	...	69.15	Option sale
COPART INC CPRT Dec 18 2020 70.0 Call / CUSIP: / Symbol: CPRT 12/18/20 C 70.000							
08/05/20	1.000	2,829.27	06/30/20	1,714.67	...	1,114.60	Option sale
COPART INC CPRT Jan 15 2021 110.0 Call / CUSIP: / Symbol: CPRT 01/15/21 C 110.000							
12/16/20	10.000	12,033.07	12/01/20	8,346.64	...	3,686.43	Option sale
WALT DISNEY COMPANY (THE) DIS Mar 19 2021 110.0 Call / CUSIP: / Symbol: DIS 03/19/21 C 110.000							
10/19/20	4.000	8,173.16	10/09/20	7,982.66	...	190.50	Option sale
ENPHASE ENERGY INC ENPH Jan 15 2021 30.0 Call / CUSIP: / Symbol: ENPH 01/15/21 C 30.000							
09/03/20	1.000	3,794.25	06/29/20	2,161.67	...	1,632.58	Option sale
ENPHASE ENERGY INC ENPH Jan 15 2021 60.0 Call / CUSIP: / Symbol: ENPH 01/15/21 C 60.000							
10/02/20	2.000	6,762.52	09/14/20	3,485.33	...	3,277.19	Option sale
10/21/20	1.000	4,910.23	09/14/20	1,742.67	...	3,167.56	Option sale
Security total:		11,672.75		5,228.00	...	6,444.75	
ENPHASE ENERGY INC ENPH Jan 15 2021 87.5 Call / CUSIP: / Symbol: ENPH 01/15/21 C 87.500							
11/24/20	2.000	9,528.46	11/02/20	4,701.33	...	4,827.13	Option sale
11/27/20	1.000	5,773.21	11/02/20	2,350.66	...	3,422.55	Option sale
Security total:		15,301.67		7,051.99	...	8,249.68	

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Account 270353223

Proceeds from Broker and Barter Exchange Transactions

2020 1099-B* OMB No. 1545-0715

(continued)

01/14/2021

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

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1a- Description of property/CUSIP/Symbol

1c- Date sold or disposed	Quantity	1d- Proceeds & 6- Reported (G)ross or (N)et	1b- Date acquired	1e- Cost or other basis	1f- Accrued mkt disc (D) & 1g- Wash sale loss disallowed (W)	Gain or loss(-) & 7- Loss not allowed (X) also not reported (Z)	Additional information
ENPHASE ENERGY INC ENPH Feb 19 2021 90.0 Call / CUSIP: / Symbol: ENPH 02/19/21 C 90.000							
10/29/20	3.000	6,987.85	10/28/20	8,311.99	...	-1,324.14	Option sale
ENPHASE ENERGY INC ENPH Dec 18 2020 120.0 Put / CUSIP: / Symbol: ENPH 12/18/20 P 120.000							
11/02/20	2.000	4,998.56	10/30/20	5,641.33	...	-642.77	Option sale
ENPHASE ENERGY INC ENPH Feb 19 2021 115.0 Call / CUSIP: / Symbol: ENPH 02/19/21 C 115.000							
12/15/20	3.000	14,502.68	12/10/20	7,742.00	...	6,760.68	Option sale
12/16/20	1.000	4,496.24	12/10/20	2,580.66	...	1,915.58	Option sale
Security total:		18,998.92		10,322.66	...	8,676.26	
FACEBOOK INC FB Dec 18 2020 225.0 Call / CUSIP: / Symbol: FB 12/18/20 C 225.000							
09/08/20	1.000	5,994.20	07/10/20	3,735.67	...	2,258.53	Option sale
FACEBOOK INC FB Jan 15 2021 260.0 Call / CUSIP: / Symbol: FB 01/15/21 C 260.000							
12/09/20	4.000	9,713.12	11/27/20	10,034.66	...	-321.54	Option sale
FRESHPET INC FRPT Feb 19 2021 110.0 Call / CUSIP: / Symbol: FRPT 02/19/21 C 110.000							
11/06/20	4.000	12,245.06	11/02/20	7,610.66	...	4,634.40	Option sale
FORTINET INC FTNT Mar 19 2021 105.0 Call / CUSIP: / Symbol: FTNT 03/19/21 C 105.000							
10/30/20	3.000	4,998.89	10/08/20	7,294.99	...	-2,296.10	Option sale
FUTU HOLDINGS LIMITED FUTU Feb 19 2021 40.0 Call / CUSIP: / Symbol: FUTU 02/19/21 C 40.000							
12/23/20	14.000	7,494.49	12/09/20	12,259.30	...	-4,764.81	Option sale
FIVERR INTERNATIONAL LTD FVRR Dec 18 2020 180.0 Put / CUSIP: / Symbol: FVRR 12/18/20 P 180.000							
11/02/20	2.000	7,798.50	10/30/20	8,227.33	...	-428.83	Option sale
FIVERR INTERNATIONAL LTD FVRR Apr 16 2021 175.0 Call / CUSIP: / Symbol: FVRR 04/16/21 C 175.000							
12/23/20	1.000	5,966.21	12/16/20	4,751.67	...	1,214.54	Option sale
12/28/20	3.000	14,109.69	12/16/20	14,254.99	...	-145.30	Option sale
Security total:		20,075.90		19,006.66	...	1,069.24	
NORDIC AMER TANKERS LTD COM / CUSIP: G65773106 / Symbol: NAT							
07/09/20	60.000	250.48	06/08/20	289.29	...	-38.81	Sale

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2020 1099-B* OMB No. 1545-0715

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GUARDANT HEALTH INC GH Nov 20 2020 100.0 Call / CUSIP: / Symbol: GH 11/20/20 C 100.000							
10/07/20	4.000	4,057.24	10/05/20	7,082.66	...	-3,025.42	Option sale
JD.COM INC JD Nov 20 2020 70.0 Call / CUSIP: / Symbol: JD 11/20/20 C 70.000							
10/22/20	6.000	7,113.85	Various	5,889.98	...	1,223.87	Total of 2 transactions
LAM RESEARCH CORP LRCX Jan 15 2021 300.0 Call / CUSIP: / Symbol: LRCX 01/15/21 C 300.000							
09/23/20	1.000	4,396.24	09/21/20	4,385.67	...	10.57	Option sale
MONOLITHIC POWER SYSTEM INC MPWR Mar 19 2021 280.0 Call / CUSIP: / Symbol: MPWR 03/19/21 C 280.000							
11/16/20	1.000	4,154.25	11/02/20	6,077.66	...	-1,923.41	Option sale
MICROSOFT CORP MSFT Dec 18 2020 200.0 Call / CUSIP: / Symbol: MSFT 12/18/20 C 200.000							
09/18/20	1.000	1,399.30	08/03/20	2,445.67	...	-1,046.37	Option sale
MICROSOFT CORP MSFT Oct 16 2020 210.0 Put / CUSIP: / Symbol: MSFT 10/16/20 P 210.000							
09/21/20	1.000	1,501.30	09/18/20	1,517.67	...	-16.37	Option sale
MICROSOFT CORP MSFT Feb 19 2021 200.0 Call / CUSIP: / Symbol: MSFT 02/19/21 C 200.000							
10/30/20	3.000	4,983.89	10/09/20	7,543.99	...	-2,560.10	Option sale
MICRON TECHNOLOGY INC MU Apr 16 2021 65.0 Call / CUSIP: / Symbol: MU 04/16/21 C 65.000							
12/18/20	14.000	15,474.33	12/17/20	16,669.30	...	-1,194.97	Option sale
NETFLIX INC NFLX Sep 18 2020 460.0 Call / CUSIP: / Symbol: NFLX 09/18/20 C 460.000							
08/11/20	1.000	2,884.27	07/31/20	4,808.67	...	-1,924.40	Option sale
NETFLIX INC NFLX Jan 15 2021 450.0 Call / CUSIP: / Symbol: NFLX 01/15/21 C 450.000							
08/27/20	1.000	11,348.08	08/18/20	7,195.67	...	4,152.41	Option sale
NIO INC NIO Feb 19 2021 41.0 Call / CUSIP: / Symbol: NIO 02/19/21 C 41.000							
12/28/20	14.000	12,268.40	12/28/20	14,289.30	...	-2,020.90	Option sale
NIO INC NIO Feb 19 2021 42.0 Call / CUSIP: / Symbol: NIO 02/19/21 C 42.000							
12/24/20	9.000	8,273.82	12/23/20	10,085.98	...	-1,812.16	Option sale
NAUTILUS INC NLS Jan 15 2021 17.5 Call / CUSIP: / Symbol: NLS 01/15/21 C 17.500							
12/03/20	13.000	4,281.25	12/01/20	5,914.63	...	-1,633.38	Option sale

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TD Ameritrade Clearing, Inc.

Account 270353223

Proceeds from Broker and Barter Exchange Transactions

2020 1099-B* OMB No. 1545-0715

(continued)

01/14/2021

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

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

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

1a- Description of property/CUSIP/Symbol

1c- Date sold or disposed	Quantity	1d- Proceeds & 6- Reported (G)ross or (N)et	1b- Date acquired	1e- Cost or other basis	1f- Accrued mkt disc (D) & 1g- Wash sale loss disallowed (W)	Gain or loss(-) & 7- Loss not allowed (X) also not reported (Z)	Additional information
UNIVERSAL DISPLAY CORP OLED Jan 15 2021	170.0	Call / CUSIP: / Symbol: OLED 01/15/21	C 170.000				
10/30/20	2.000	6,440.53	10/22/20	6,101.33	...	339.20	Option sale
UNIVERSAL DISPLAY CORP OLED Mar 19 2021	180.0	Call / CUSIP: / Symbol: OLED 03/19/21	C 180.000				
11/11/20	1.000	4,109.25	11/02/20	3,479.66	...	629.59	Option sale
PAYCOM SOFTWARE INC PAYC Nov 20 2020	270.0	Call / CUSIP: / Symbol: PAYC 11/20/20	C 270.000				
09/08/20	1.000	2,549.27	08/05/20	4,750.67	...	-2,201.40	Option sale
PAYCOM SOFTWARE INC PAYC Jan 15 2021	270.0	Call / CUSIP: / Symbol: PAYC 01/15/21	C 270.000				
07/31/20	1.000	4,249.24	07/20/20	5,903.67	...	-1,654.43	Option sale
PAYCOM SOFTWARE INC PAYC Jan 15 2021	350.0	Call / CUSIP: / Symbol: PAYC 01/15/21	C 350.000				
11/16/20	2.000	7,818.50	11/06/20	9,301.33	...	-1,482.83	Option sale
PENN NATIONAL GAMING INC PENN Apr 16 2021	60.0	Call / CUSIP: / Symbol: PENN 04/16/21	C 60.000				
12/17/20	2.000	6,444.53	12/02/20	3,801.33	...	2,643.20	Option sale
12/21/20	2.000	6,398.53	12/02/20	3,801.33	...	2,597.20	Option sale
Security total:		12,843.06		7,602.66	...	5,240.40	
PINTEREST INC PINS Dec 18 2020	40.0	Call / CUSIP: / Symbol: PINS 12/18/20	C 40.000				
10/20/20	3.000	2,337.95	10/16/20	2,392.99	...	-55.04	Option sale
PALANTIR TECH INC PLTR Feb 19 2021	24.0	Call / CUSIP: / Symbol: PLTR 02/19/21	C 24.000				
12/24/20	14.000	8,250.49	12/10/20	9,865.30	...	-1,614.81	Option sale
PLUG POWER INC PLUG Mar 19 2021	13.0	Call / CUSIP: / Symbol: PLUG 03/19/21	C 13.000				
11/13/20	10.000	10,153.13	11/02/20	4,256.64	...	5,896.49	Option sale
PELOTON INTERACTIVE INC PTON Feb 19 2021	95.0	Call / CUSIP: / Symbol: PTON 02/19/21	C 95.000				
12/07/20	3.000	7,602.83	11/25/20	6,367.99	...	1,234.84	Option sale
12/09/20	2.000	4,974.56	11/25/20	4,245.33	...	729.23	Option sale
Security total:		12,577.39		10,613.32	...	1,964.07	
PAYPAL HOLDINGS INC PYPL Sep 25 2020	182.5	Put / CUSIP: / Symbol: PYPL 09/25/20	P 182.500				
09/21/20	4.000	1,897.28	09/21/20	2,942.67	...	-1,045.39	Option sale

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TD Ameritrade Clearing, Inc.

Account 270353223

Proceeds from Broker and Barter Exchange Transactions

2020 1099-B* OMB No. 1545-0715

(continued)

01/14/2021

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

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

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

1a- Description of property/CUSIP/Symbol

1c- Date sold or disposed	Quantity	1d- Proceeds & 6- Reported (G)ross or (N)et	1b- Date acquired	1e- Cost or other basis	1f- Accrued mkt disc (D) & 1g- Wash sale loss disallowed (W)	Gain or loss(-) & 7- Loss not allowed (X) also not reported (Z)	Additional information
INVESCO QQQ TRUST QQQ Oct 16 2020 279.0 Put / CUSIP: / Symbol: QQQ 10/16/20 P 279.000							
09/21/20	1.000	1,843.29	09/18/20	1,830.67	...	12.62	Option sale
INVESCO QQQ TRUST QQQ Jan 15 2021 284.0 Call / CUSIP: / Symbol: QQQ 01/15/21 C 284.000							
12/09/20	8.000	20,322.22	11/30/20	15,053.31	...	5,268.91	Option sale
INVESCO QQQ TRUST QQQ Jan 15 2021 296.0 Put / CUSIP: / Symbol: QQQ 01/15/21 P 296.000							
11/02/20	2.000	6,110.53	10/30/20	6,067.33	...	43.20	Option sale
INVESCO QQQ TRUST QQQ Jan 15 2021 297.0 Put / CUSIP: / Symbol: QQQ 01/15/21 P 297.000							
11/02/20	1.000	3,155.27	10/30/20	3,048.66	...	106.61	Option sale
RENEWABLE ENERGY GROUP INC REGI Jan 15 2021 50.0 Call / CUSIP: / Symbol: REGI 01/15/21 C 50.000							
11/24/20	12.000	11,895.75	11/23/20	10,470.97	...	1,424.78	Option sale
11/25/20	10.000	10,093.12	11/24/20	10,866.64	...	-773.52	Option sale
Security total:		21,988.87		21,337.61	...	651.26	
SUNRUN INC RUN Mar 19 2021 49.0 Call / CUSIP: / Symbol: RUN 03/19/21 C 49.000							
11/30/20	3.000	5,487.88	11/13/20	4,045.99	...	1,441.89	Option sale
SOLAREDGE TECHNOLOGIES INC SEDG Dec 18 2020 135.0 Call / CUSIP: / Symbol: SEDG 12/18/20 C 135.000							
08/04/20	1.000	7,718.16	07/10/20	4,090.67	...	3,627.49	Option sale
SOLAREDGE TECHNOLOGIES INC SEDG Jan 15 2021 170.0 Call / CUSIP: / Symbol: SEDG 01/15/21 C 170.000							
10/02/20	1.000	8,995.14	09/14/20	4,448.67	...	4,546.47	Option sale
10/06/20	1.000	10,479.11	09/14/20	4,448.66	...	6,030.45	Option sale
Security total:		19,474.25		8,897.33	...	10,576.92	
SOLAREDGE TECHNOLOGIES INC SEDG Mar 19 2021 250.0 Call / CUSIP: / Symbol: SEDG 03/19/21 C 250.000							
12/16/20	2.000	14,054.36	12/07/20	11,541.33	...	2,513.03	Option sale
SPDR S&P500 ETF TRUST SPY Feb 19 2021 351.0 Put / CUSIP: / Symbol: SPY 02/19/21 P 351.000							
11/02/20	4.000	12,865.05	11/02/20	12,982.66	...	-117.61	Option sale
SQUARE INC SQ Sep 25 2020 149.0 Put / CUSIP: / Symbol: SQ 09/25/20 P 149.000							
09/21/20	3.000	1,653.95	09/21/20	2,594.00	...	-940.05	Option sale

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TD Ameritrade Clearing, Inc.

Account 270353223

Proceeds from Broker and Barter Exchange Transactions

2020 1099-B* OMB No. 1545-0715

(continued)

01/14/2021

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

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1a- Description of property/CUSIP/Symbol

1c- Date sold or disposed	Quantity	1d- Proceeds & 6- Reported (G)ross or (N)et	1b- Date acquired	1e- Cost or other basis	1f- Accrued mkt disc (D) & 1g- Wash sale loss disallowed (W)	Gain or loss(-) & 7- Loss not allowed (X) also not reported (Z)	Additional information
SQUARE INC SQ Jan 15 2021 130.0 Call / CUSIP: / Symbol: SQ 01/15/21 C 130.000							
10/02/20	1.000	4,446.24	09/15/20	3,050.67	...	1,395.57	Option sale
10/06/20	1.000	4,870.23	09/15/20	3,050.66	...	1,819.57	Option sale
Security total:		9,316.47		6,101.33	...	3,215.14	
SQUARE INC SQ Jan 15 2021 160.0 Call / CUSIP: / Symbol: SQ 01/15/21 C 160.000							
11/27/20	3.000	15,567.66	11/11/20	8,086.99	...	7,480.67	Option sale
SQUARE INC SQ Mar 19 2021 150.0 Call / CUSIP: / Symbol: SQ 03/19/21 C 150.000							
10/30/20	2.000	5,548.55	10/29/20	6,849.33	...	-1,300.78	Option sale
SQUARE INC SQ Jan 15 2021 190.0 Put / CUSIP: / Symbol: SQ 01/15/21 P 190.000							
11/02/20	2.000	7,348.51	10/30/20	7,341.33	...	7.18	Option sale
TESLA INC TSLA Jan 15 2021 388.0 Call / CUSIP: / Symbol: TSLA 01/15/21 C 388.000							
10/30/20	1.000	5,259.22	10/22/20	8,210.66	...	-2,951.44	Option sale
THE TRADE DESK INC TTD Oct 23 2020 522.5 Call / CUSIP: / Symbol: TTD 10/23/20 C 522.500							
10/06/20	1.000	7,299.18	10/02/20	5,470.66	...	1,828.52	Option sale
THE TRADE DESK INC TTD Jan 15 2021 410.0 Call / CUSIP: / Symbol: TTD 01/15/21 C 410.000							
09/23/20	1.000	9,099.14	09/15/20	7,930.67	...	1,168.47	Option sale
VISA INC V Jan 15 2021 180.0 Call / CUSIP: / Symbol: V 01/15/21 C 180.000							
09/08/20	1.000	2,714.27	08/11/20	2,885.67	...	-171.40	Option sale
VERTEX PHARMACEUTICAL VRTX Jan 15 2021 270.0 Call / CUSIP: / Symbol: VRTX 01/15/21 C 270.000							
09/08/20	1.000	2,037.28	08/31/20	2,958.67	...	-921.39	Option sale
WORKHORSE GROUP INC WKHS Oct 30 2020 20.0 Call / CUSIP: / Symbol: WKHS 10/30/20 C 20.000							
10/15/20	6.000	1,729.96	09/24/20	4,083.98	...	-2,354.02	Option sale
WORKHORSE GROUP INC WKHS Jan 15 2021 16.0 Call / CUSIP: / Symbol: WKHS 01/15/21 C 16.000							
11/12/20	7.000	2,935.28	11/09/20	4,204.65	...	-1,269.37	Option sale
WORKHORSE GROUP INC WKHS Apr 16 2021 19.0 Call / CUSIP: / Symbol: WKHS 04/16/21 C 19.000							
12/28/20	13.000	9,195.14	12/18/20	9,626.63	431.49 W	0.00	Option sale

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TD Ameritrade Clearing, Inc.

Account 270353223

Proceeds from Broker and Barter Exchange Transactions

2020 1099-B* OMB No. 1545-0715

(continued)

01/14/2021

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

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

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

1a- Description of property/CUSIP/Symbol

1c- Date sold or disposed	Quantity	1d- Proceeds & 6- Reported (G)ross or (N)et	1b- Date acquired	1e- Cost or other basis	1f- Accrued mkt disc (D) & 1g- Wash sale loss disallowed (W)	Gain or loss(-) & 7- Loss not allowed (X) also not reported (Z)	Additional information
WORKHORSE GROUP INC WKHS Apr 16 2021 21.0 Call / CUSIP: / Symbol: WKHS 04/16/21 C 21.000							
12/16/20	14.000	8,259.59	12/15/20	9,809.73	...	-1,550.14	Option sale
12/16/20	1.000	585.23	12/15/20	698.96	113.73 W	0.00	Option sale
Security total:		8,844.82		10,508.69	113.73 W	-1,550.14	
ZOOM VIDEO COMMUNICATIONS INC ZM Oct 30 2020 460.0 Call / CUSIP: / Symbol: ZM 10/30/20 C 460.000							
10/06/20	1.000	4,749.24	10/02/20	6,700.66	...	-1,951.42	Option sale
ZOOM VIDEO COMMUNICATIONS INC ZM Feb 19 2021 370.0 Call / CUSIP: / Symbol: ZM 02/19/21 C 370.000							
12/23/20	4.000	18,352.92	12/22/20	22,892.65	...	-4,539.73	Option sale
ZYNGA INC ZNGA Jan 15 2021 8.0 Call / CUSIP: / Symbol: ZNGA 01/15/21 C 8.000							
10/19/20	20.000	2,826.62	09/23/20	2,593.28	...	233.34	Option sale
Totals :		676,560.50		637,068.33	545.22 W	40,037.39	

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TD Ameritrade Clearing, Inc.	Account 270353223
Detail for Interest Income	
2020	01/14/2021

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

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

Security description	CUSIP and/or symbol	Date	Amount	Transaction type	Notes
Interest Credited		07/31/20	0.01	Credit interest	
		08/31/20	0.03	Credit interest	
		09/30/20	0.11	Credit interest	
		10/30/20	0.07	Credit interest	
		11/30/20	0.09	Credit interest	
		12/31/20	0.10	Credit interest	
			0.41	Total Interest	
			0.41	Total Interest	

TD Ameritrade Clearing, Inc.

Account 270353223

Section 1256 Contracts - Regulated Futures and Nonequity Options

2020

01/14/2021

This section of your tax information statement provides contract-by-contract detail of regulated futures and section 1256 contracts. The total for each contract is the sum of the current year's realized and unrealized profit or loss minus the prior year unrealized profit or loss. The annual total for your account is found in Regulated Futures Contracts 1099-B in the Summary Information at the beginning of this statement.

Security description	CUSIP and/or symbol	Date	Quantity	Amount	Transaction type	Notes
SPDR GOLD TRUST GLD Jan 15 2021 171.0 Call	GLD 01/15/21 C 171.000	09/22/20	5.00	-1,811.80	Realized profit/loss	

-1,811.80	Total Realized profit/loss
-1,811.80	Total Aggregate profit or (loss) on contracts

Common Instructions for Recipient

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

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

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

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

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

Keep tax documents for your records.**1099-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.

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 line is checked, the payer is reporting on this 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.

Line 1. Shows taxable interest paid to you during the calendar year by the payer. This does not include interest shown in line 3. May also show the total amount of the credits from clean renewable energy bonds, new clean renewable energy bonds, qualified energy conservation bonds, qualified zone academy bonds, qualified school construction bonds, and build America bonds that must be included in your interest income. These amounts were treated as paid to you during 2020 on the credit allowance dates (March 15, June 15, September 15, and December 15). For more information, see Form 8912. See the instructions above for a taxable covered security acquired at a premium.

Line 2. Shows interest or principal forfeited because of early withdrawal of time savings. You may deduct this amount to figure your adjusted gross income on your income tax return. See the Instructions for Forms 1040 and 1040-SR to see where to take the deduction. **Line 3.** Shows interest on U.S. Savings Bonds, Treasury bills, Treasury bonds, and Treasury notes. This may or may not all be taxable. See Pub. 550. This interest is exempt from state and local income taxes. This interest is not included in line 1. See the instructions above for a taxable covered security acquired at a premium.

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

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

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

Instructions for Recipient

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

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

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

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

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

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

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

Line 14. Shows CUSIP number(s) for tax-exempt bond(s) on which tax-exempt interest was paid, or tax credit bond(s) on which taxable interest was paid or tax credit was allowed, to you during the calendar year. If blank, no CUSIP number was issued for the bond(s). **Lines 15-17.** State tax withheld reporting lines. Nominees. If this form includes amounts belonging to another person(s), you are considered a nominee recipient.

Complete a Form 1099-INT for each of the other owners showing the income 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(s) as the "recipient." File Form(s) 1099-INT 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. Future developments. For the latest information about developments related to Form 1099-INT and its instructions, such as legislation enacted after they were published, go to www.irs.gov/Form1099INT.

1099-B Instructions for Recipient

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

Recipient's taxpayer identification number (TIN). For your protection, this form may show only the last four digits of your TIN (social security number (SSN), individual

taxpayer identification number (ITIN), adoption taxpayer identification number (ATIN), or employer identification number (EIN)). However, the issuer has reported your complete TIN to the IRS.

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

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

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

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

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

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

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

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

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

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

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

Line 2. The short-term and long-term boxes pertain to short-term gain or loss and long-term gain or loss. If the "Ordinary" box is checked, your security may be subject to special rules. For example, gain on a contingent payment debt instrument subject to the noncontingent bond method 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.

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

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

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

Instructions for Recipient

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

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

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

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

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

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

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

Line 8. Shows the profit or (loss) realized on regulated futures, foreign currency, or Section 1256 option contracts closed during 2020.

Line 9. Shows any year-end adjustment to the profit or (loss) shown in line 8 due to open contracts on December 31, 2019.

Line 10. Shows the unrealized profit or (loss) on open contracts held in your account on December 31, 2020. These are considered closed out as of that date. This will become an adjustment reported as unrealized profit or (loss) on open contracts--12/31/2020 in 2021.

Line 11. Lines 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 2020 Form 6781.

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