



1000 W. FULTON MARKET, CHICAGO, IL 60607 | 312.724.7075

January 1, 2021 - January 31, 2021

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ACCOUNT NUMBER **SWT-39810-13 TUA**

RENE ZACHO

RENE ZACHO
TROJBORGVEJ 72C 4 4
8200 AARHUS N
DENMARK

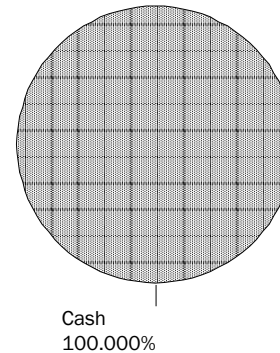
► ACCOUNT SUMMARY

	OPENING BALANCE	CLOSING BALANCE
Margin account	\$10,354.16	\$13,635.11
NET ACCOUNT BALANCE	10,354.16	13,635.11
TOTAL PRICED PORTFOLIO	0.00	0.00
Total Equity Holdings	\$10,354.16	\$13,635.11

► INCOME AND EXPENSE SUMMARY

	THIS PERIOD	YEAR TO DATE
Credit interest	\$0.08	\$0.08

► PORTFOLIO EQUITY ALLOCATION



Cash
100.000%

ACCOUNT CARRIED BY:
**APEX CLEARING
CORPORATION**
MEMBER FINRA, NYSE and SIPC

See Reverse Side for Important Tax Information. This statement shall be conclusive if not objected to in writing within ten days. Errors and omissions excepted. Please address all communications to the firm and not to individuals. Address changes or other material changes on your account should be directed to the office servicing your account. Kindly mention your account number. **This statement should be retained for income tax purposes.**

IMPORTANT INFORMATION

You may have received a confirmation for a trade, which does not appear on this statement. If the settlement date of the trade as shown on the confirmation is later than the period ending date that appears at the top of this statement the trade will appear on your next regular monthly statement.

If this is a margin account and we maintain a special miscellaneous account for you, this is a combined statement of your general account and special miscellaneous account maintained for you under Regulation T issued by the Board of Governors of the Federal Reserve System. The permanent record of the special miscellaneous account as required by Regulation T is available for your inspection at your request.

The per annum rate of interest charged on the debit balance in your account is shown on this statement. This rate may change from time to time in accordance with fluctuations in interest rates. Interest is computed from the 16th day of the preceding month to the 15th day of the current month except in December and January. In December, the charges include the last day of the year and, in January, the interest is calculated from the first day of the month. The interest is based on the average daily net debit balance in your account with us, and for the actual number of days based on an interest year of 360 days. When calculating margin interest, free credit balances in all accounts will be offset against any debit in the margin account and the interest will be charged on the net debit balance.

We are required to report to the Internal Revenue Service all cash dividends and registered bond interest credited to your account on securities held for you in our name. We also report coupon bond interest. All dividends and interest credits should be included in your income tax return.

Information relative to commission and any other charges incurred in connection with listed option transactions occurring during the month has previously been furnished to you in confirmation of such transactions. A summary of this information will be made available to you promptly upon request. Exercise assignment notices for option contracts are allocated among customer short positions pursuant to a manual procedure with randomly selects form among all customer short option positions including those contracts which are subject to exercise. All short American style option positions are liable for assignment at any time whereas European style options are assigned at expiration. A more detailed description of our random allocation procedure is available upon request.

You are to promptly advise your brokerage firm or bank of any material changes concerning your investment objectives or financial situation.

Our financial statement is available for your personal inspection at our office, or a copy of it will be mailed upon your written request.

SIPC Protection. As a member of the Securities Investor Protection Corporation (SIPC), funds are available to meet customer claims up to a ceiling of \$500,000, including a maximum of \$250,000 for cash claims. For additional information regarding SIPC coverage, including a brochure, please contact SIPC at (202) 371-8300 or visit www.sipc.org. Apex has purchased an additional insurance policy through a group of London Underwriters to supplement SIPC protection. This additional insurance policy becomes available to customers in the event that SIPC limits are exhausted and provides protection for securities and cash up to certain limits. Similar to SIPC protection, this additional insurance does not protect against a loss in the market value of securities.

Any free credit balance represents funds payable upon demand which, although properly accounted for on our books of records, is not segregated, and may be used in the conduct of this firm's business as permissible under the SEC Rule 15c3-2.

NOTICE TO CUSTOMERS

Apex is a member of the New York Stock Exchange and various other exchanges. Apex acts as clearing agent for your trades.

As required under SEC rules, both the Firm's Order Routing Report as well as information regarding specific order routing information is available free of charge upon request.

Your account, which was introduced to us by your broker or bank, is established under your name on a "fully disclosed" basis at Apex. As a clearing agent, we provide securities clearance and may provide order execution on you broker's or bank's instructions.

You will remain a customer of your broker or bank. Apex will not be involved with or have any responsibility for decisions regarding securities transactions in your account. Your broker or bank will be responsible for opening, approving and monitoring all activities in connection with your account. The entry of orders, and any instructions regarding the deposit or withdrawal of securities or monies should be made through your broker or bank.

In addition to the above mentioned services, Apex will provide cashiering services, safeguarding of funds and securities while in Apex's possession, monitoring compliance with applicable credit Regulation T and Apex's internal policies, preparing and mailing your account records (including transaction confirmations and periodic statements of your account).

Interest charges to your account will be based on the size and net debit balance during the interest period. These rates are subject to revision without notice in accordance with any changes in the broker call loan rate, as published in the Wall Street Journal. For more complete information regarding interest charged to customers, consult the Truth in Lending Notice which is made available through your broker or bank.

Apex is a member of the Financial Industry Regulatory Authority, Inc. ("FINRA") and we are required to inform you of the availability of the FINRA Investor Brochure, which contains information on FINRA BrokerCheck. You may contact FINRA at 800-289-9999 or at their website at www.finra.org. Apex carries your account and acts as your custodian for funds and securities deposited with us directly by you, through your brokerage firm or bank or as a result of transactions we process for your account. Any suspected inaccuracy or discrepancy in your account statement must be promptly reported to both your brokerage firm or bank (not to your individual broker or agent) and Apex. In order to protect your rights, including your right to SIPC coverage, please confirm any oral communication in writing and include your brokerage account number. General inquiries or concerns regarding your account should be directed to your brokerage firm or bank. Account positions and balance inquiries or concerns should be directed to Apex by telephone at 214-765-1009.

ACCOUNT SUMMARY:

Displays applicable account type balance, money fund balances, priced portfolio value, and total account equity as of the opening and closing of the statement period. Priced Portfolio Value and Total Portfolio Equity are rounded to the nearest dollar. Total Priced Portfolio and Expense does not include unpriced securities.

INCOME AND EXPENSE SUMMARY:

Lists all income earned during the current statement period, as well as year to date. Section includes taxable and non-taxable dividends and interest, capital gains and MLP (Master Limited Partnership) distributions. This section also displays and Margin Interest Expenses.

PORTFOLIO EQUITY ALLOCATION:

The Pie Chart is an estimate for illustrative purposes only.

PORTFOLIO SUMMARY:

Lists all securities held in your account.

MARKET VALUE:

This amount represents the value of the security position in your portfolio based on appraisals obtained from the various quotation services. These appraisals are based on the closing prices, bond yields and/or the mean bid and ask on the last day of the statement period. Because of the nature of the data provided by the quotation services, we cannot guarantee the accuracy of such prices or the valuation dates particularly in the case of inactive or infrequently traded securities.

Some securities in your portfolio may be listed as "Unpriced" on your statement. We use an automated pricing service from an outside vendor and certain prices may not be available to them. You can obtain a current quotation, upon request, from your broker or bank.

Bond prices might differ from current market quotes. Similarly, bond ratings may differ from current actual ratings. Computerized pricing and rating services are often unable to supply us with up to the minute information. Your broker or bank will be pleased to obtain a current quotation upon request.

ESTIMATED ANNUAL INCOME

The current annual dividend or bond interest rate for each security held, if available from quotation services. The rate is multiplied by the number of shares or par value of bonds to determine estimated annual income.

OPEN ORDERS:

Displays all GTC (Good-Till-Cancelled) orders in your account. Also included in the section are GTX orders (GTC orders eligible for extended trading hours).

MONEY MARKET ACTIVITY:

Purchases, reinvestments and liquidations of money market funds, plus redemptions of money market fund checks.

DEFINITION OF ACCOUNT TYPES C=Cash, M=Margin, I=Income, L=Legal, S=Short, X=RVP/DVP, and O=Other

REALIZED GAIN/LOSS DETAIL AND PORTFOLIO SUMMARY SECTIONS:

Displays mutual funds by average cost and other securities by individual tax lot. Realized gains (losses) are reflected on a trade date basis for transactions settling during the current period or the period in which the shares were received, if later. Realized gains and losses may include transactions that settle during the following statement cycle. These transactions appear in the Portfolio Holdings section. Estimated unrealized gains (losses) are displayed for most securities currently held. The cost basis used in determining gains (losses) does not reflect wash sales and may not reflect all capital adjustments. Most exchanges reflected on this statement are treated as non-taxable, unless or until other information has been communicated to us. Cost basis of preferred securities with original issue discount ("OID") is not adjusted for the accretion of OID. For most long positions transferred between beneficial owners, the transferor's cost basis will be retained. For shares acquired from a decedent, you should consult your tax advisor to determine the appropriate valuations and holding period that applies. ALTHOUGH THE COST BASIS SHOWN MAY HAVE BEEN ADJUSTED, YOUR COST BASIS MAY REQUIRE ADDITIONAL ADJUSTMENTS. NOTE: WE DO NOT REPRESENT THE CALCULATIONS OF REALIZED AND UNREALIZED GAINS (LOSSES) AS AN OFFICIAL TAX ACCOUNTING OF SUCH FIGURES. FOR TAX PURPOSES, YOU SHOULD RELY ON YOUR OWN RECORDS AND THE CONSOLIDATED FORM 1099 SENT TO YOU.

Order Routing:

The SEC requires all broker-dealers that route orders in equity securities and options to make available quarterly reports that present a general overview of their routing practices. The reports must identify the significant venues to which customer orders were routed for execution during the applicable quarter and disclose the material aspects of the broker-dealer's relationship with such venues. In addition, the Rule (SEC 606) requires broker-dealers to disclose, on customer request, the venues to which the individual customer's orders were routed for the six months prior to the request, and the execution time for the orders that were executed. For further information, please contact your broker or financial advisor.

PLEASE RETAIN THIS STATEMENT AS IT WILL BE HELPFUL IN PREPARING YOUR INCOME TAX RETURNS AND MAY BE NEEDED ALONG WITH SUBSEQUENT STATEMENTS TO VERIFY INTEREST CHARGES IN YOUR ACCOUNT. THIS STATEMENT SHALL BE DEEMED CONCLUSIVE UNLESS OBJECTED TO IN WRITING WITHIN 10 BUSINESS DAYS OF THE STATEMENT CLOSING DATE.

MUTUAL FUNDS AND OTHER SECURITIES ARE NOT INSURED BY THE FDIC, ARE NOT DEPOSITS OR OBLIGATIONS OF, OR GUARANTEED BY APEX, AND INVOLVE INVESTMENT RISKS, INCLUDING THE POSSIBLE LOSS OF THE PRINCIPAL AMOUNT INVESTED.

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ACCOUNT NUMBER **5WT-39810-13 TUA**

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▶ ACCOUNT ACTIVITY

TRANSACTION	DATE	ACCOUNT TYPE	DESCRIPTION	QUANTITY	PRICE	DEBIT	CREDIT
DIVIDENDS AND INTEREST							
INTEREST	01/19/21	M	INTEREST ON CREDIT BALANCE AT 0.010% 01/01 THRU 01/15 CUSIP: 00099A109				\$0.08
Total Dividends And Interest							\$0.08
MISCELLANEOUS TRANSACTIONS							
FUR	01/04/21	M	daily futures settlement DFS(1609506029182)				\$10,449.72
FUD	01/05/21	M	daily futures settlement DFS(1609851633884)			15,909.19	
FUR	01/06/21	M	daily futures settlement DFS(1609938032669)				6,700.56
FUR	01/07/21	M	daily futures settlement DFS(1610024434412)				11,708.07
FUD	01/08/21	M	daily futures settlement DFS(1610110834929)			82.56	
FUD	01/11/21	M	daily futures settlement DFS(1610197231728)			90.38	
FUD	01/14/21	M	daily futures settlement DFS(1610629234204)			456.24	
FUR	01/20/21	M	daily futures settlement DFS(1611147629619)				559.08
FUR	01/21/21	M	daily futures settlement DFS(1611234036778)				11.28
FUD	01/25/21	M	daily futures settlement DFS(1611406824043)			10,433.90	

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► ACCOUNT ACTIVITY (CONTINUED)

TRANSACTION	DATE	ACCOUNT TYPE	DESCRIPTION	QUANTITY	PRICE	DEBIT	CREDIT
MISCELLANEOUS TRANSACTIONS (continued)							
FUD	01/27/21	M	daily futures settlement DFS(1611752437402)			36.50	
FUD	01/28/21	M	daily futures settlement DFS(1611844081364)			1,124.96	
FUR	01/29/21	M	daily futures settlement DFS(1611925251277)				1,985.89
Total Miscellaneous Transactions						\$28,133.73	\$31,414.60

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► **ANNOUNCEMENTS**

IMPORTANT INFORMATION

Statement of Financial Condition

A copy of Apex Clearing Corporation's Unaudited Statement of Financial Condition as of June 30, 2020 is available on the website at www.apexclearing.com. A copy may also be obtained at no cost by calling Apex Clearing Corp. As of June 30, 2020, Apex Clearing Corporation had net capital of \$190,092,117 and was \$174,149,622 in excess of its required net capital of \$15,942,495. As of July 31, 2020, Apex Clearing Corporation had net capital of \$193,448,398 and was \$175,262,786 in excess of its required net capital of \$18,185,612.

Apex's Policy for Dividends and Interest

Apex's policy is to pay all dividends and interest in US Dollars. Apex will allow the following countries to be paid in their foreign currency (Canadian Dollars, British Pounds, Euros, Argentine Peso, Chinese Renminbi, Korean Won, Philippine Peso and Brazilian Real).

Participation in Fully Paid Lending Program

Customers who participate in the Fully Paid Lending Program should be aware that shares on loan are not covered by SIPC.

Information Regarding Cost Basis for Foreign Account Statements

Foreign Currency: Cost basis is required to be reported in U.S. dollars for tax purposes. It is the responsibility of the account holder to convert sales proceeds paid in foreign currency to U.S. dollars to avoid inaccurate cost basis calculations. When reporting the purchase or sale, you must determine the U.S. dollar amounts to be reported as of the settlement date, at the spot rate or by following a reasonable spot rate convention. See Regulations section 1.6045-1(d)(8).

Payment of Interest to holders of Municipal Securities - you may be subject to a substitute interest payment if the transfer of ownership of your municipal security has not been completed prior to the next interest payment. Please contact a tax professional for more specific details.

IMPORTANT INFORMATION

To our valued customers:

FINRA Rule 2231 requires that we advise you to promptly report any inaccuracy or discrepancy in your account (within 10 days after available) to your brokerage firm and clearing firm (where these are different firms) and to re-confirm any oral communications in writing.

<https://www.finra.org/rules-guidance/notices/06-72>

"IMPORTANT - Part of your distribution includes a return of capital. Any distribution that represents a return of capital reduces the estimated per share value shown on your account statement."

The preceding notice is required when reporting distributions on Direct Participation Programs and/or REITs and is subject to the DPP or REIT sponsor's final capital return determination as detailed in the IRS Form 1099 or K-1, as applicable.

Alternative or Other Investments, DPP, and Unlisted securities are not listed on a national securities exchange, are generally illiquid and that, even if a customer is able to sell the securities, the price received may be less than the per share estimated value provided in the account. The evaluation method used for any particular DPP or REIT will be provided to clients upon request.

Certain positions are not held on Apex's books or custodied by Apex and are not Protected by SIPC.

Pursuant to SEC Rule 606, Apex Clearing Corporation is required to make publicly available a quarterly report with regard to its routing of non-directed orders. For the purpose of this Rule, we have entered into an agreement with Quantum5 Market Surveillance (a Division of S3 Matching Technologies) to disclose all required information pertaining to this rule. This information can be accessed on the internet at: <http://public.s3.com/rule606/apex/>, or a written copy will be furnished at no cost upon request via telephone to (214) 765-1009.

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► ANNOUNCEMENTS (CONTINUED)

SEC Rule 606 (b) requires a broker-dealer to disclose to its customers, upon request, "the identity of the venue to which the customer's orders were routed for execution in the six months prior to the request, whether the orders were directed orders or non-directed orders, and the time of the transactions, if any, that resulted from such orders."

In accordance with the Emergency Economic Stabilization Act of 2008 broker-dealers are required to track and report cost basis to the IRS in three phases over the next three years.

- Equity securities acquired on or after January 1, 2011
- Mutual fund and dividend reinvestment plan (DRIP) shares acquired on or after January 1, 2012:
- Debit securities, options, and all other financial instruments acquired on or after January 1, 2014. (The IRS has extended this date from the previously announced date of January 1, 2013.)

Beginning this upcoming tax reporting season the cost basis of any covered equity security transaction (purchased after 12/31/10) that is required to be reported on a 1099-B will include its associated cost basis. If you have any questions about this important change to the IRS mandated reporting requirements, please contact your broker-dealer or registered advisor.

IMPORTANT INFORMATION CONTINUED

Please take note of the following description of Apex Clearing Corporation's excess SIPC coverage, which reflects certain changes made to the coverage effective August 8, 2013. The Securities Investor Protection Corporation ("SIPC") protects certain customer funds up to a ceiling of \$500,000, including a maximum of \$250,000 for cash claims. **Please note SIPC does not cover commodity contracts and options on futures.** For additional information regarding SIPC coverage, including a brochure, please contact SIPC at (202) 371-8300 or visit www.sipc.org.

Apex has purchased an additional insurance policy to supplement SIPC protection. This additional insurance policy, widely known as "excess SIPC," becomes available to customers in the event that SIPC limits are exhausted. This additional insurance provides protection for securities and cash up to an aggregate limit of \$150 million, subject to sub-limits for any one customer of \$37.5 million for securities and \$900,000 for cash. Similar to SIPC protection, this additional insurance does not protect against a loss in the market value of securities. For additional information, please contact your broker.

FDIC SWEEP PROGRAM

For customers with balances in a bank deposit account as part of the FDIC Sweep Program or shares of a money market mutual fund in which you have a beneficial interest, those balances or shares may be liquidated on your order and the proceeds returned to your account or remitted to you in accordance with the applicable prospectus and/or Terms and Conditions of the program.

For customers participating in the FDIC Sweep Program, the FDIC Sweep Program allows your cash balance to be eligible for insurance protection through the FDIC up to the maximum applicable insurance limits. Customers may obtain information about FDIC, by contacting the FDIC at 1-877-275-3342, 1-800-925-4618 (TDD) or by visiting www.fdic.gov. Deposit Account balances in the FDIC Sweep Program are not protected by SIPC or any other excess coverage by Apex Clearing Corporation. Deposit Account balances are protected as established by current applicable laws regulated by the FDIC.

Customers may obtain information about SIPC, including the SIPC brochure, by contacting SIPC at 202-371-8300 or by visiting www.SIPC.org.

IMPORTANT INFORMATION

APEX CLEARING CORPORATION DISCLOSURE STATEMENT

Apex Clearing Corporation ("Apex") recognizes the importance of providing information on an ongoing basis to the customers whose accounts are cleared through Apex. Your broker/dealer has designated Apex as its clearing firm. In accordance with industry rules and regulations, Apex is required to disclose on an annual basis certain important regulatory notices and disclosures. To

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► **ANNOUNCEMENTS (CONTINUED)**

comply with these requirements, Apex has published an Annual Disclosure Statement which is available on the Apex corporate web site, www.apexclearing.com. For customers who do not have access to the internet please call Apex at 214-765-1009 and request a complete copy of the Annual Disclosure Statement be mailed to your address of record.

A brief summary of the content of the Annual Disclosure Statement is as follows:

- Anti-Money Laundering - Federal law requires all financial institutions to obtain, verify and record information that identifies each person who opens an account.
- Privacy Policy - The privacy of customers is a responsibility which Apex respects and protects for former customers as well as current customers.
- Margin Disclosure Statement: FINRA Rule 2264 - The Information furnished provides basic facts about purchasing securities on margin and alerts customers of certain risks involved in trading securities in a margin account.
- Day-Trading Risk Disclosure Statement: FINRA Rule 2270 - Information to be considered before engaging in a day-trading strategy.
- Business Continuity Plan: FINRA Rule 4370 - A further summary of Apex's Disaster Recovery Plan to reasonable ensure business continuity.
- SEC Rule 606 and 607 (Payment for Order Flow and Order Routing information) - (Rule 606) Requires Apex to make public a quarterly report with regard to routing of non-directed orders and (Rule 607) Requires Apex to disclose its payment for order flow practices.
- SEC Rule 10b-10 - Requires customers are provided with prior written notification of certain transactions that are not reported immediately through a trade confirmation.
- SIPC Information: FINRA Rule 2266 - The Securities Investor Protection Corporation ("SIPC") requires that funds are available to meet customer claims up to a ceiling of \$500,000, including a maximum of \$250,000 for cash claims. For more information about SIPC coverage or to receive a brochure, please visit the SIPC website at www.sipc.org or, call (202) 371-8300.
- Investor Education and Protection: FINRA Rule 2267 - Requires Apex to provide information about FINRA's BrokerCheck program. The investor brochure may be obtained from FINRA BrokerCheck hotline number (800) 289-9999 or the FINRA web site address www.FINRA.org.
- Joint NASD Industry Breakpoint Task Force - A further summary of a July 2003 report which recommends written disclosure regarding mutual fund breakpoints.
- Carrying Agreements: FINRA Rule 4311 - The firm with which you have opened your securities account has retained Apex to provide certain record keeping, clearance, and settlement functions. A further summary of details is disclosed.
- Extended Hours Trading Risk Disclosure: FINRA Rule 2265 - Risks to consider include lower liquidity, higher volatility, changing prices, unlinked markets, news announcements, wider spreads, and lack of calculation.
- Liens and Levies - Apex will abide by the directions of federal, state, or other levying authorities.
- Regulation E - Disclosure regarding certain electronic transfers is required under the provisions of this regulation as issued by the Board of Governors of the Federal Reserve System.
- Municipal Securities Rulemaking Board ("MSRB") Rule G-10 requires an annual notification that 1) Apex Clearing Corporation is registered with the U.S. Securities and Exchange Commission and the Municipal Securities Rulemaking Board, 2) the MSRB publishes an investor brochure that is published on their website that describes the protections that may be provided by the MSRB and how to file a complaint with the regulatory authorities and 3) a copy of the MSRB Investor Brochure as well as information regarding prospective, new and existing MSRB rules may be found on the MSRB website by going to the following link: <http://www.msrb.org/>,

IMPORTANT INFORMATION - Privacy Policy

Apex Clearing Corporation ("Apex") carries your account as a clearing broker by arrangement with your broker-dealer or registered investment advisor as Apex's introducing client. At Apex, we understand that privacy is an important issue for customers of our introducing firms. It is our policy to respect the privacy of all accounts that we maintain as clearing broker and to protect the security and confidentiality of non-public personal information relating to those accounts. Please note that this policy generally applies to former customers of Apex as well as current customers.

Personal Information Collected

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► ANNOUNCEMENTS (CONTINUED)

In order to service your account as a clearing broker, information is provided to Apex by your introducing firm who collects information from you in order to provide the financial services that you have requested. The information collected by your introducing firm and provided to Apex or otherwise obtained by Apex may come from the following sources and is not limited to:

- Information included in your applications or forms, such as your name, address, telephone number, social security number, occupation, and income;
- Information relating to your transactions, including account balances, positions, and activity;
- Information which may be received from consumer reporting agencies, such as credit bureau reports;
- Information relating to your creditworthiness;
- Information which may be received from other sources with your consent or with the consent of your introducing firm.

In addition to servicing your account, Apex may make use of your personal information for analysis purposes, for example, to draw conclusions, detect patterns or determine preferences.

Sharing of Nonpublic Personal Information

Apex does not disclose non-public personal information relating to current or former customers of introducing firms to any third parties, except as required or permitted by law, including but not limited to any obligations of Apex under the USA PATRIOT Act, and in order to facilitate the clearing of customer transactions in the ordinary course of business.

Apex has multiple affiliates and relationships with third party companies. Examples of these companies include financial and non-financial companies that perform services such as data processing and companies that perform securities executions on your behalf. We may share information among our affiliates and third parties, as permitted by law, in order to better service your financial needs and to pursue legitimate business interests, including to carry out, monitor and analyze our business, systems and operations.

Security

Apex strives to ensure that our systems are secure and that they meet industry standards. We seek to protect non- public personal information that is provided to Apex by your introducing firm or otherwise obtained by Apex by implementing physical and electronic safeguards. Where we believe appropriate, we employ firewalls, encryption technology, user authentication systems (i.e. passwords and personal identification numbers) and access control mechanisms to control access to systems and data. Apex endeavors to ensure that third party service providers who may have access to non-public personal information are following appropriate standards of security and confidentiality. Further, we instruct our employees to use strict standards of care in handling the personal financial information of customers. As a general policy, our staff will not discuss or disclose information regarding an account except; 1) with authorized personnel of your introducing firm, 2) as required by law or pursuant to regulatory request, or 3) as authorized by Apex to a third party or affiliate providing services to your account or pursuing Apex's legitimate business interests.

Access to Your Information

You may access your account information through a variety of media offered by your introducing firm and Apex (i.e. statements or online services). Please contact your introducing firm if you require any additional information.

IMPORTANT INFORMATION - Privacy Policy - CONTINUED

Apex may use "cookies" in order to provide better service, to facilitate its customers' use of the website, to track usage of the website, and to address security hazards. A cookie is a small piece of information that a website stores on a personal computer, and which it can later retrieve.

Changes to Apex's Privacy Policy

Apex reserves the right to make changes to this policy.

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► ANNOUNCEMENTS (CONTINUED)

How to Get in Touch with Apex about this Privacy Policy

For reference, this Privacy Policy is available on our website at www.apexclearing.com. For more information relating to Apex's Privacy Policy or to limit our sharing of your personal information, please contact:

Apex Clearing Corporation
Attn: Compliance Department 350 N. St. Paul St., Suite 1300
Dallas, Texas 75201
cs@apexclearing.com

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RENE ZACHO

RENE ZACHO
TROJBORGVEJ 72C 4 4
8200 AARHUS N
DENMARK

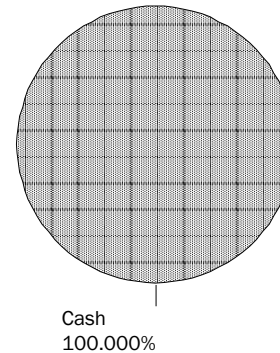
► ACCOUNT SUMMARY

	OPENING BALANCE	CLOSING BALANCE
Margin account	\$13,635.11	\$22,053.88
NET ACCOUNT BALANCE	13,635.11	22,053.88
TOTAL PRICED PORTFOLIO	0.00	0.00
Total Equity Holdings	\$13,635.11	\$22,053.88

► INCOME AND EXPENSE SUMMARY

	THIS PERIOD	YEAR TO DATE
Credit interest	\$0.14	\$0.22

► PORTFOLIO EQUITY ALLOCATION



ACCOUNT CARRIED BY:
**APEX CLEARING
CORPORATION**
MEMBER FINRA, NYSE and SIPC

See Reverse Side for Important Tax Information. This statement shall be conclusive if not objected to in writing within ten days. Errors and omissions excepted. Please address all communications to the firm and not to individuals. Address changes or other material changes on your account should be directed to the office servicing your account. Kindly mention your account number. **This statement should be retained for income tax purposes.**

IMPORTANT INFORMATION

You may have received a confirmation for a trade, which does not appear on this statement. If the settlement date of the trade as shown on the confirmation is later than the period ending date that appears at the top of this statement the trade will appear on your next regular monthly statement.

If this is a margin account and we maintain a special miscellaneous account for you, this is a combined statement of your general account and special miscellaneous account maintained for you under Regulation T issued by the Board of Governors of the Federal Reserve System. The permanent record of the special miscellaneous account as required by Regulation T is available for your inspection at your request.

The per annum rate of interest charged on the debit balance in your account is shown on this statement. This rate may change from time to time in accordance with fluctuations in interest rates. Interest is computed from the 16th day of the preceding month to the 15th day of the current month except in December and January. In December, the charges include the last day of the year and, in January, the interest is calculated from the first day of the month. The interest is based on the average daily net debit balance in your account with us, and for the actual number of days based on an interest year of 360 days. When calculating margin interest, free credit balances in all accounts will be offset against any debit in the margin account and the interest will be charged on the net debit balance.

We are required to report to the Internal Revenue Service all cash dividends and registered bond interest credited to your account on securities held for you in our name. We also report coupon bond interest. All dividends and interest credits should be included in your income tax return.

Information relative to commission and any other charges incurred in connection with listed option transactions occurring during the month has previously been furnished to you in confirmation of such transactions. A summary of this information will be made available to you promptly upon request. Exercise assignment notices for option contracts are allocated among customer short positions pursuant to a manual procedure with randomly selects form among all customer short option positions including those contracts which are subject to exercise. All short American style option positions are liable for assignment at any time whereas European style options are assigned at expiration. A more detailed description of our random allocation procedure is available upon request.

You are to promptly advise your brokerage firm or bank of any material changes concerning your investment objectives or financial situation.

Our financial statement is available for your personal inspection at our office, or a copy of it will be mailed upon your written request.

SIPC Protection. As a member of the Securities Investor Protection Corporation (SIPC), funds are available to meet customer claims up to a ceiling of \$500,000, including a maximum of \$250,000 for cash claims. For additional information regarding SIPC coverage, including a brochure, please contact SIPC at (202) 371-8300 or visit www.sipc.org. Apex has purchased an additional insurance policy through a group of London Underwriters to supplement SIPC protection. This additional insurance policy becomes available to customers in the event that SIPC limits are exhausted and provides protection for securities and cash up to certain limits. Similar to SIPC protection, this additional insurance does not protect against a loss in the market value of securities.

Any free credit balance represents funds payable upon demand which, although properly accounted for on our books of records, is not segregated, and may be used in the conduct of this firm's business as permissible under the SEC Rule 15c3-2.

NOTICE TO CUSTOMERS

Apex is a member of the New York Stock Exchange and various other exchanges. Apex acts as clearing agent for your trades.

As required under SEC rules, both the Firm's Order Routing Report as well as information regarding specific order routing information is available free of charge upon request.

Your account, which was introduced to us by your broker or bank, is established under your name on a "fully disclosed" basis at Apex. As a clearing agent, we provide securities clearance and may provide order execution on you broker's or bank's instructions.

You will remain a customer of your broker or bank. Apex will not be involved with or have any responsibility for decisions regarding securities transactions in your account. Your broker or bank will be responsible for opening, approving and monitoring all activities in connection with your account. The entry of orders, and any instructions regarding the deposit or withdrawal of securities or monies should be made through your broker or bank.

In addition to the above mentioned services, Apex will provide cashiering services, safeguarding of funds and securities while in Apex's possession, monitoring compliance with applicable credit Regulation T and Apex's internal policies, preparing and mailing your account records (including transaction confirmations and periodic statements of your account).

Interest charges to your account will be based on the size and net debit balance during the interest period. These rates are subject to revision without notice in accordance with any changes in the broker call loan rate, as published in the Wall Street Journal. For more complete information regarding interest charged to customers, consult the Truth in Lending Notice which is made available through your broker or bank.

Apex is a member of the Financial Industry Regulatory Authority, Inc. ("FINRA") and we are required to inform you of the availability of the FINRA Investor Brochure, which contains information on FINRA BrokerCheck. You may contact FINRA at 800-289-9999 or at their website at www.finra.org. Apex carries your account and acts as your custodian for funds and securities deposited with us directly by you, through your brokerage firm or bank or as a result of transactions we process for your account. Any suspected inaccuracy or discrepancy in your account statement must be promptly reported to both your brokerage firm or bank (not to your individual broker or agent) and Apex. In order to protect your rights, including your right to SIPC coverage, please confirm any oral communication in writing and include your brokerage account number. General inquiries or concerns regarding your account should be directed to your brokerage firm or bank. Account positions and balance inquiries or concerns should be directed to Apex by telephone at 214-765-1009.

ACCOUNT SUMMARY:

Displays applicable account type balance, money fund balances, priced portfolio value, and total account equity as of the opening and closing of the statement period. Priced Portfolio Value and Total Portfolio Equity are rounded to the nearest dollar. Total Priced Portfolio and Expense does not include unpriced securities.

INCOME AND EXPENSE SUMMARY:

Lists all income earned during the current statement period, as well as year to date. Section includes taxable and non-taxable dividends and interest, capital gains and MLP (Master Limited Partnership) distributions. This section also displays and Margin Interest Expenses.

PORTFOLIO EQUITY ALLOCATION:

The Pie Chart is an estimate for illustrative purposes only.

PORTFOLIO SUMMARY:

Lists all securities held in your account.

MARKET VALUE:

This amount represents the value of the security position in your portfolio based on appraisals obtained from the various quotation services. These appraisals are based on the closing prices, bond yields and/or the mean bid and ask on the last day of the statement period. Because of the nature of the data provided by the quotation services, we cannot guarantee the accuracy of such prices or the valuation dates particularly in the case of inactive or infrequently traded securities.

Some securities in your portfolio may be listed as "Unpriced" on your statement. We use an automated pricing service from an outside vendor and certain prices may not be available to them. You can obtain a current quotation, upon request, from your broker or bank.

Bond prices might differ from current market quotes. Similarly, bond ratings may differ from current actual ratings. Computerized pricing and rating services are often unable to supply us with up to the minute information. Your broker or bank will be pleased to obtain a current quotation upon request.

ESTIMATED ANNUAL INCOME

The current annual dividend or bond interest rate for each security held, if available from quotation services. The rate is multiplied by the number of shares or par value of bonds to determine estimated annual income.

OPEN ORDERS:

Displays all GTC (Good-Till-Cancelled) orders in your account. Also included in the section are GTX orders (GTC orders eligible for extended trading hours).

MONEY MARKET ACTIVITY:

Purchases, reinvestments and liquidations of money market funds, plus redemptions of money market fund checks.

DEFINITION OF ACCOUNT TYPES C=Cash, M=Margin, I=Income, L=Legal, S=Short, X=RVP/DVP, and O=Other

REALIZED GAIN/LOSS DETAIL AND PORTFOLIO SUMMARY SECTIONS:

Displays mutual funds by average cost and other securities by individual tax lot. Realized gains (losses) are reflected on a trade date basis for transactions settling during the current period or the period in which the shares were received, if later. Realized gains and losses may include transactions that settle during the following statement cycle. These transactions appear in the Portfolio Holdings section. Estimated unrealized gains (losses) are displayed for most securities currently held. The cost basis used in determining gains (losses) does not reflect wash sales and may not reflect all capital adjustments. Most exchanges reflected on this statement are treated as non-taxable, unless or until other information has been communicated to us. Cost basis of preferred securities with original issue discount ("OID") is not adjusted for the accretion of OID. For most long positions transferred between beneficial owners, the transferor's cost basis will be retained. For shares acquired from a decedent, you should consult your tax advisor to determine the appropriate valuations and holding period that applies. ALTHOUGH THE COST BASIS SHOWN MAY HAVE BEEN ADJUSTED, YOUR COST BASIS MAY REQUIRE ADDITIONAL ADJUSTMENTS. NOTE: WE DO NOT REPRESENT THE CALCULATIONS OF REALIZED AND UNREALIZED GAINS (LOSSES) AS AN OFFICIAL TAX ACCOUNTING OF SUCH FIGURES. FOR TAX PURPOSES, YOU SHOULD RELY ON YOUR OWN RECORDS AND THE CONSOLIDATED FORM 1099 SENT TO YOU.

Order Routing:

The SEC requires all broker-dealers that route orders in equity securities and options to make available quarterly reports that present a general overview of their routing practices. The reports must identify the significant venues to which customer orders were routed for execution during the applicable quarter and disclose the material aspects of the broker-dealer's relationship with such venues. In addition, the Rule (SEC 606) requires broker-dealers to disclose, on customer request, the venues to which the individual customer's orders were routed for the six months prior to the request, and the execution time for the orders that were executed. For further information, please contact your broker or financial advisor.

PLEASE RETAIN THIS STATEMENT AS IT WILL BE HELPFUL IN PREPARING YOUR INCOME TAX RETURNS AND MAY BE NEEDED ALONG WITH SUBSEQUENT STATEMENTS TO VERIFY INTEREST CHARGES IN YOUR ACCOUNT. THIS STATEMENT SHALL BE DEEMED CONCLUSIVE UNLESS OBJECTED TO IN WRITING WITHIN 10 BUSINESS DAYS OF THE STATEMENT CLOSING DATE.

MUTUAL FUNDS AND OTHER SECURITIES ARE NOT INSURED BY THE FDIC, ARE NOT DEPOSITS OR OBLIGATIONS OF, OR GUARANTEED BY APEX, AND INVOLVE INVESTMENT RISKS, INCLUDING THE POSSIBLE LOSS OF THE PRINCIPAL AMOUNT INVESTED.

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ACCOUNT NUMBER **5WT-39810-13 TUA****RENE ZACHO****tastyworks.**

1000 W. FULTON MARKET, CHICAGO, IL 60607 | 312.724.7075

▶ ACCOUNT ACTIVITY

TRANSACTION	DATE	ACCOUNT TYPE	DESCRIPTION	QUANTITY	PRICE	DEBIT	CREDIT
BUY / SELL TRANSACTIONS							
SOLD	02/17/21	M	PUT VIXW 02/24/21 20 CBOE VOLATILITY INDEX UNSOLICITED OPEN CONTRACT Security Number: 9BLRMX3	3	\$0.20		\$54.64
SOLD	02/17/21	M	CALL VIXW 02/24/21 40 CBOE VOLATILITY INDEX UNSOLICITED OPEN CONTRACT Security Number: 9BLRNB5	1	0.20		18.21
SOLD	02/17/21	M	CALL VIX 03/17/21 90 CBOE VOLATILITY INDEX UNSOLICITED OPEN CONTRACT Security Number: 9BLTQX5	1	0.20		18.21
SOLD	02/17/21	M	PUT VIX 02/17/21 21 CBOE VOLATILITY INDEX UNSOLICITED OPEN CONTRACT Security Number: 9BPFYL4	8	0.31		233.72
BOUGHT	02/18/21	M	PUT VIXW 02/24/21 20 CBOE VOLATILITY INDEX UNSOLICITED CLOSING CONTRACT Security Number: 9BLRMX3	3	0.10	32.36	
BOUGHT	02/18/21	M	CALL VIXW 02/24/21 40 CBOE VOLATILITY INDEX UNSOLICITED CLOSING CONTRACT Security Number: 9BLRNB5	1	0.24	24.79	

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ACCOUNT NUMBER **5WT-39810-13 TUA****RENE ZACHO****tastyworks.**

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▶ ACCOUNT ACTIVITY (CONTINUED)

TRANSACTION	DATE	ACCOUNT TYPE	DESCRIPTION	QUANTITY	PRICE	DEBIT	CREDIT
BUY / SELL TRANSACTIONS (continued)							
BOUGHT	02/18/21	M	CALL VIX 03/17/21 90 CBOE VOLATILITY INDEX UNSOLICITED CLOSING CONTRACT Security Number: 9BLTX5	1	0.30	30.79	
SOLD	02/25/21	M	PUT VIXW 03/02/21 22 CBOE VOLATILITY INDEX UNSOLICITED OPEN CONTRACT Security Number: 9B47413	1	0.30		28.21
BOUGHT	02/26/21	M	PUT VIXW 03/02/21 22 CBOE VOLATILITY INDEX UNSOLICITED CLOSING CONTRACT Security Number: 9B47413	1	0.35	35.79	
Total Buy / Sell Transactions						\$123.73	\$352.99
DIVIDENDS AND INTEREST							
INTEREST	02/16/21	M	INTEREST ON CREDIT BALANCE AT 0.010% 01/16 THRU 02/15 CUSIP: 00099A109				\$0.14
Total Dividends And Interest							\$0.14
MISCELLANEOUS TRANSACTIONS							
FUR	02/01/21	M	daily futures settlement DFS(1612031735035)				\$390.70
FUD	02/02/21	M	daily futures settlement DFS(1612270845414)			1,171.90	

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ACCOUNT NUMBER **5WT-39810-13 TUA**

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► ACCOUNT ACTIVITY (CONTINUED)

TRANSACTION	DATE	ACCOUNT TYPE	DESCRIPTION	QUANTITY	PRICE	DEBIT	CREDIT
MISCELLANEOUS TRANSACTIONS (continued)							
FUR	02/03/21	M	daily futures settlement DFS(1612357248401)				7,199.70
FUR	02/04/21	M	daily futures settlement DFS(1612443634310)				78.10
FUD	02/05/21	M	daily futures settlement DFS(1612530058800)			6,643.40	
FUD	02/08/21	M	daily futures settlement DFS(1612616433370)			1,171.80	
FUR	02/09/21	M	daily futures settlement DFS(1612875983168)				702.90
FUR	02/10/21	M	daily futures settlement DFS(1612962099330)				468.90
FUD	02/11/21	M	daily futures settlement DFS(1613048455560)			703.20	
FUD	02/12/21	M	daily futures settlement DFS(1613134852073)			234.30	
EXPIRED	02/17/21	M	PUT VIX 02/17/21 21 CBOE VOLATILITY INDEX OPTION EXPIRATION - EXPIRED Security Number: 9BPFYL4	8			
FUR	02/17/21	M	daily futures settlement DFS(1613566844680)				10,772.40
FUD	02/18/21	M	daily futures settlement DFS(1613653246381)			11,899.30	
FUD	02/19/21	M	daily futures settlement DFS(1613739656342)			273.35	
FUD	02/22/21	M	daily futures settlement DFS(1613826023722)			273.70	

STATEMENT OF ACCOUNTS

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ACCOUNT NUMBER **5WT-39810-13 TUA**

RENE ZACHO



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► ACCOUNT ACTIVITY (CONTINUED)

TRANSACTION	DATE	ACCOUNT TYPE	DESCRIPTION	QUANTITY	PRICE	DEBIT	CREDIT
MISCELLANEOUS TRANSACTIONS (continued)							
FUR	02/23/21	M	daily futures settlement DFS(1614085249766)				820.40
FUD	02/24/21	M	daily futures settlement DFS(1614171645488)			1,996.20	
FUR	02/25/21	M	daily futures settlement DFS(1614258043084)				6,013.22
FUR	02/26/21	M	daily futures settlement DFS(1614344438928)				6,110.20
Total Miscellaneous Transactions						\$24,367.15	\$32,556.52

► EXECUTED TRADES PENDING SETTLEMENT - THESE TRANSACTIONS MAY NOT BE REFLECTED IN OTHER SUMMARIES

TRANSACTION	TRADE DATE	SETTLEMENT DATE	ACCOUNT TYPE	DESCRIPTION	QUANTITY	PRICE	DEBIT	CREDIT
BOUGHT	02/25/21	03/01/21	M	DIREXION DAILY S&P 500 BULL 3X SHARES UNSOLICITED PRODUCT DESCRIPTION UNDER SEPARATE COVER CUSIP: 25459W862	275	\$80.5475	\$22,150.78	
Total Executed Trades Pending Settlement							\$22,150.78	

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ACCOUNT NUMBER **5WT-39810-13 TUA**

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► **ANNOUNCEMENTS**

IMPORTANT INFORMATION

Statement of Financial Condition

A copy of Apex Clearing Corporation's Unaudited Statement of Financial Condition as of June 30, 2020 is available on the website at www.apexclearing.com. A copy may also be obtained at no cost by calling Apex Clearing Corp. As of June 30, 2020, Apex Clearing Corporation had net capital of \$190,092,117 and was \$174,149,622 in excess of its required net capital of \$15,942,495. As of July 31, 2020, Apex Clearing Corporation had net capital of \$193,448,398 and was \$175,262,786 in excess of its required net capital of \$18,185,612.

Apex's Policy for Dividends and Interest

Apex's policy is to pay all dividends and interest in US Dollars. Apex will allow the following countries to be paid in their foreign currency (Canadian Dollars, British Pounds, Euros, Argentine Peso, Chinese Renminbi, Korean Won, Philippine Peso and Brazilian Real).

Participation in Fully Paid Lending Program

Customers who participate in the Fully Paid Lending Program should be aware that shares on loan are not covered by SIPC.

Information Regarding Cost Basis for Foreign Account Statements

Foreign Currency: Cost basis is required to be reported in U.S. dollars for tax purposes. It is the responsibility of the account holder to convert sales proceeds paid in foreign currency to U.S. dollars to avoid inaccurate cost basis calculations. When reporting the purchase or sale, you must determine the U.S. dollar amounts to be reported as of the settlement date, at the spot rate or by following a reasonable spot rate convention. See Regulations section 1.6045-1(d)(8).

Payment of Interest to holders of Municipal Securities - you may be subject to a substitute interest payment if the transfer of ownership of your municipal security has not been completed prior to the next interest payment. Please contact a tax professional for more specific details.

IMPORTANT INFORMATION

To our valued customers:

FINRA Rule 2231 requires that we advise you to promptly report any inaccuracy or discrepancy in your account (within 10 days after available) to your brokerage firm and clearing firm (where these are different firms) and to re-confirm any oral communications in writing.

<https://www.finra.org/rules-guidance/notices/06-72>

"IMPORTANT - Part of your distribution includes a return of capital. Any distribution that represents a return of capital reduces the estimated per share value shown on your account statement."

The preceding notice is required when reporting distributions on Direct Participation Programs and/or REITs and is subject to the DPP or REIT sponsor's final capital return determination as detailed in the IRS Form 1099 or K-1, as applicable.

Alternative or Other Investments, DPP, and Unlisted securities are not listed on a national securities exchange, are generally illiquid and that, even if a customer is able to sell the securities, the price received may be less than the per share estimated value provided in the account. The evaluation method used for any particular DPP or REIT will be provided to clients upon request.

Certain positions are not held on Apex's books or custodied by Apex and are not Protected by SIPC.

Pursuant to SEC Rule 606, Apex Clearing Corporation is required to make publicly available a quarterly report with regard to its routing of non-directed orders. For the purpose of this Rule, we have entered into an agreement with Quantum5 Market Surveillance (a Division of S3 Matching Technologies) to disclose all required information pertaining to this rule. This information can be accessed on the internet at: <http://public.s3.com/rule606/apex/>, or a written copy will be furnished at no cost upon request via telephone to (214) 765-1009.

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ACCOUNT NUMBER **5WT-39810-13 TUA**

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► ANNOUNCEMENTS (CONTINUED)

SEC Rule 606 (b) requires a broker-dealer to disclose to its customers, upon request, "the identity of the venue to which the customer's orders were routed for execution in the six months prior to the request, whether the orders were directed orders or non-directed orders, and the time of the transactions, if any, that resulted from such orders."

In accordance with the Emergency Economic Stabilization Act of 2008 broker-dealers are required to track and report cost basis to the IRS in three phases over the next three years.

- Equity securities acquired on or after January 1, 2011
- Mutual fund and dividend reinvestment plan (DRIP) shares acquired on or after January 1, 2012:
- Debit securities, options, and all other financial instruments acquired on or after January 1, 2014. (The IRS has extended this date from the previously announced date of January 1, 2013.)

Beginning this upcoming tax reporting season the cost basis of any covered equity security transaction (purchased after 12/31/10) that is required to be reported on a 1099-B will include its associated cost basis. If you have any questions about this important change to the IRS mandated reporting requirements, please contact your broker-dealer or registered advisor.

IMPORTANT INFORMATION CONTINUED

Please take note of the following description of Apex Clearing Corporation's excess SIPC coverage, which reflects certain changes made to the coverage effective August 8, 2013. The Securities Investor Protection Corporation ("SIPC") protects certain customer funds up to a ceiling of \$500,000, including a maximum of \$250,000 for cash claims. **Please note SIPC does not cover commodity contracts and options on futures.** For additional information regarding SIPC coverage, including a brochure, please contact SIPC at (202) 371-8300 or visit www.sipc.org.

Apex has purchased an additional insurance policy to supplement SIPC protection. This additional insurance policy, widely known as "excess SIPC," becomes available to customers in the event that SIPC limits are exhausted. This additional insurance provides protection for securities and cash up to an aggregate limit of \$150 million, subject to sub-limits for any one customer of \$37.5 million for securities and \$900,000 for cash. Similar to SIPC protection, this additional insurance does not protect against a loss in the market value of securities. For additional information, please contact your broker.

FDIC SWEEP PROGRAM

For customers with balances in a bank deposit account as part of the FDIC Sweep Program or shares of a money market mutual fund in which you have a beneficial interest, those balances or shares may be liquidated on your order and the proceeds returned to your account or remitted to you in accordance with the applicable prospectus and/or Terms and Conditions of the program.

For customers participating in the FDIC Sweep Program, the FDIC Sweep Program allows your cash balance to be eligible for insurance protection through the FDIC up to the maximum applicable insurance limits. Customers may obtain information about FDIC, by contacting the FDIC at 1-877-275-3342, 1-800-925-4618 (TDD) or by visiting www.fdic.gov. Deposit Account balances in the FDIC Sweep Program are not protected by SIPC or any other excess coverage by Apex Clearing Corporation. Deposit Account balances are protected as established by current applicable laws regulated by the FDIC.

Customers may obtain information about SIPC, including the SIPC brochure, by contacting SIPC at 202-371-8300 or by visiting www.SIPC.org.

IMPORTANT INFORMATION

APEX CLEARING CORPORATION DISCLOSURE STATEMENT

Apex Clearing Corporation ("Apex") recognizes the importance of providing information on an ongoing basis to the customers whose accounts are cleared through Apex. Your broker/dealer has designated Apex as its clearing firm. In accordance with industry rules and regulations, Apex is required to disclose on an annual basis certain important regulatory notices and disclosures. To

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ACCOUNT NUMBER **SWT-39810-13 TUA**



1000 W. FULTON MARKET, CHICAGO, IL 60607 | 312.724.7075

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► **ANNOUNCEMENTS (CONTINUED)**

comply with these requirements, Apex has published an Annual Disclosure Statement which is available on the Apex corporate web site, www.apexclearing.com. For customers who do not have access to the internet please call Apex at 214-765-1009 and request a complete copy of the Annual Disclosure Statement be mailed to your address of record.

A brief summary of the content of the Annual Disclosure Statement is as follows:

- Anti-Money Laundering - Federal law requires all financial institutions to obtain, verify and record information that identifies each person who opens an account.
- Privacy Policy - The privacy of customers is a responsibility which Apex respects and protects for former customers as well as current customers.
- Margin Disclosure Statement: FINRA Rule 2264 - The Information furnished provides basic facts about purchasing securities on margin and alerts customers of certain risks involved in trading securities in a margin account.
- Day-Trading Risk Disclosure Statement: FINRA Rule 2270 - Information to be considered before engaging in a day-trading strategy.
- Business Continuity Plan: FINRA Rule 4370 - A further summary of Apex's Disaster Recovery Plan to reasonable ensure business continuity.
- SEC Rule 606 and 607 (Payment for Order Flow and Order Routing information) - (Rule 606) Requires Apex to make public a quarterly report with regard to routing of non-directed orders and (Rule 607) Requires Apex to disclose its payment for order flow practices.
- SEC Rule 10b-10 - Requires customers are provided with prior written notification of certain transactions that are not reported immediately through a trade confirmation.
- SIPC Information: FINRA Rule 2266 - The Securities Investor Protection Corporation ("SIPC") requires that funds are available to meet customer claims up to a ceiling of \$500,000, including a maximum of \$250,000 for cash claims. For more information about SIPC coverage or to receive a brochure, please visit the SIPC website at www.sipc.org or, call (202) 371-8300.
- Investor Education and Protection: FINRA Rule 2267 - Requires Apex to provide information about FINRA's BrokerCheck program. The investor brochure may be obtained from FINRA BrokerCheck hotline number (800) 289-9999 or the FINRA web site address www.FINRA.org.
- Joint NASD Industry Breakpoint Task Force - A further summary of a July 2003 report which recommends written disclosure regarding mutual fund breakpoints.
- Carrying Agreements: FINRA Rule 4311 - The firm with which you have opened your securities account has retained Apex to provide certain record keeping, clearance, and settlement functions. A further summary of details is disclosed.
- Extended Hours Trading Risk Disclosure: FINRA Rule 2265 - Risks to consider include lower liquidity, higher volatility, changing prices, unlinked markets, news announcements, wider spreads, and lack of calculation.
- Liens and Levies - Apex will abide by the directions of federal, state, or other levying authorities.
- Regulation E - Disclosure regarding certain electronic transfers is required under the provisions of this regulation as issued by the Board of Governors of the Federal Reserve System.
- Municipal Securities Rulemaking Board ("MSRB") Rule G-10 requires an annual notification that 1) Apex Clearing Corporation is registered with the U.S. Securities and Exchange Commission and the Municipal Securities Rulemaking Board, 2) the MSRB publishes an investor brochure that is published on their website that describes the protections that may be provided by the MSRB and how to file a complaint with the regulatory authorities and 3) a copy of the MSRB Investor Brochure as well as information regarding prospective, new and existing MSRB rules may be found on the MSRB website by going to the following link: <http://www.msrb.org/>,

IMPORTANT INFORMATION - Privacy Policy

Apex Clearing Corporation ("Apex") carries your account as a clearing broker by arrangement with your broker-dealer or registered investment advisor as Apex's introducing client. At Apex, we understand that privacy is an important issue for customers of our introducing firms. It is our policy to respect the privacy of all accounts that we maintain as clearing broker and to protect the security and confidentiality of non-public personal information relating to those accounts. Please note that this policy generally applies to former customers of Apex as well as current customers.

Personal Information Collected

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ACCOUNT NUMBER **5WT-39810-13 TUA**

RENE ZACHO

tastyworks.

1000 W. FULTON MARKET, CHICAGO, IL 60607 | 312.724.7075

► ANNOUNCEMENTS (CONTINUED)

In order to service your account as a clearing broker, information is provided to Apex by your introducing firm who collects information from you in order to provide the financial services that you have requested. The information collected by your introducing firm and provided to Apex or otherwise obtained by Apex may come from the following sources and is not limited to:

- Information included in your applications or forms, such as your name, address, telephone number, social security number, occupation, and income;
- Information relating to your transactions, including account balances, positions, and activity;
- Information which may be received from consumer reporting agencies, such as credit bureau reports;
- Information relating to your creditworthiness;
- Information which may be received from other sources with your consent or with the consent of your introducing firm.

In addition to servicing your account, Apex may make use of your personal information for analysis purposes, for example, to draw conclusions, detect patterns or determine preferences.

Sharing of Nonpublic Personal Information

Apex does not disclose non-public personal information relating to current or former customers of introducing firms to any third parties, except as required or permitted by law, including but not limited to any obligations of Apex under the USA PATRIOT Act, and in order to facilitate the clearing of customer transactions in the ordinary course of business.

Apex has multiple affiliates and relationships with third party companies. Examples of these companies include financial and non-financial companies that perform services such as data processing and companies that perform securities executions on your behalf. We may share information among our affiliates and third parties, as permitted by law, in order to better service your financial needs and to pursue legitimate business interests, including to carry out, monitor and analyze our business, systems and operations.

Security

Apex strives to ensure that our systems are secure and that they meet industry standards. We seek to protect non-public personal information that is provided to Apex by your introducing firm or otherwise obtained by Apex by implementing physical and electronic safeguards. Where we believe appropriate, we employ firewalls, encryption technology, user authentication systems (i.e. passwords and personal identification numbers) and access control mechanisms to control access to systems and data. Apex endeavors to ensure that third party service providers who may have access to non-public personal information are following appropriate standards of security and confidentiality. Further, we instruct our employees to use strict standards of care in handling the personal financial information of customers. As a general policy, our staff will not discuss or disclose information regarding an account except; 1) with authorized personnel of your introducing firm, 2) as required by law or pursuant to regulatory request, or 3) as authorized by Apex to a third party or affiliate providing services to your account or pursuing Apex's legitimate business interests.

Access to Your Information

You may access your account information through a variety of media offered by your introducing firm and Apex (i.e. statements or online services). Please contact your introducing firm if you require any additional information.

IMPORTANT INFORMATION - Privacy Policy - CONTINUED

Apex may use "cookies" in order to provide better service, to facilitate its customers' use of the website, to track usage of the website, and to address security hazards. A cookie is a small piece of information that a website stores on a personal computer, and which it can later retrieve.

Changes to Apex's Privacy Policy

Apex reserves the right to make changes to this policy.

February 1, 2021 - February 28, 2021

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ACCOUNT NUMBER **5WT-39810-13 TUA**

RENE ZACHO

► ANNOUNCEMENTS (CONTINUED)

How to Get in Touch with Apex about this Privacy Policy

For reference, this Privacy Policy is available on our website at www.apexclearing.com. For more information relating to Apex's Privacy Policy or to limit our sharing of your personal information, please contact:

Apex Clearing Corporation
Attn: Compliance Department 350 N. St. Paul St., Suite 1300
Dallas, Texas 75201
cs@apexclearing.com

tastyworks.

1000 W. FULTON MARKET, CHICAGO, IL 60607 | 312.724.7075



1000 W. FULTON MARKET, CHICAGO, IL 60607 | 312.724.7075

March 1, 2021 - March 31, 2021

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ACCOUNT NUMBER **5WT-39810-13 TUA**

RENE ZACHO

RENE ZACHO
TROJBORGVEJ 72C 4 4
8200 AARHUS N
DENMARK

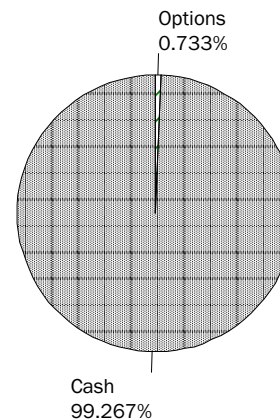
► ACCOUNT SUMMARY

	OPENING BALANCE	CLOSING BALANCE
Margin account	\$22,053.88	\$22,343.32
NET ACCOUNT BALANCE	22,053.88	22,343.32
Securities	0.00	-165.00
TOTAL PRICED PORTFOLIO	0.00	-165.00
Total Equity Holdings	\$22,053.88	\$22,178.32

► INCOME AND EXPENSE SUMMARY

	THIS PERIOD	YEAR TO DATE
Credit interest	\$0.12	\$0.34

► PORTFOLIO EQUITY ALLOCATION



ACCOUNT CARRIED BY:
APEX CLEARING CORPORATION
MEMBER FINRA, NYSE and SIPC

See Reverse Side for Important Tax Information. This statement shall be conclusive if not objected to in writing within ten days. Errors and omissions excepted. Please address all communications to the firm and not to individuals. Address changes or other material changes on your account should be directed to the office servicing your account. Kindly mention your account number. **This statement should be retained for income tax purposes.**

IMPORTANT INFORMATION

You may have received a confirmation for a trade, which does not appear on this statement. If the settlement date of the trade as shown on the confirmation is later than the period ending date that appears at the top of this statement the trade will appear on your next regular monthly statement.

If this is a margin account and we maintain a special miscellaneous account for you, this is a combined statement of your general account and special miscellaneous account maintained for you under Regulation T issued by the Board of Governors of the Federal Reserve System. The permanent record of the special miscellaneous account as required by Regulation T is available for your inspection at your request.

The per annum rate of interest charged on the debit balance in your account is shown on this statement. This rate may change from time to time in accordance with fluctuations in interest rates. Interest is computed from the 16th day of the preceding month to the 15th day of the current month except in December and January. In December, the charges include the last day of the year and, in January, the interest is calculated from the first day of the month. The interest is based on the average daily net debit balance in your account with us, and for the actual number of days based on an interest year of 360 days. When calculating margin interest, free credit balances in all accounts will be offset against any debit in the margin account and the interest will be charged on the net debit balance.

We are required to report to the Internal Revenue Service all cash dividends and registered bond interest credited to your account on securities held for you in our name. We also report coupon bond interest. All dividends and interest credits should be included in your income tax return.

Information relative to commission and any other charges incurred in connection with listed option transactions occurring during the month has previously been furnished to you in confirmation of such transactions. A summary of this information will be made available to you promptly upon request. Exercise assignment notices for option contracts are allocated among customer short positions pursuant to a manual procedure with randomly selects form among all customer short option positions including those contracts which are subject to exercise. All short American style option positions are liable for assignment at any time whereas European style options are assigned at expiration. A more detailed description of our random allocation procedure is available upon request.

You are to promptly advise your brokerage firm or bank of any material changes concerning your investment objectives or financial situation.

Our financial statement is available for your personal inspection at our office, or a copy of it will be mailed upon your written request.

SIPC Protection. As a member of the Securities Investor Protection Corporation (SIPC), funds are available to meet customer claims up to a ceiling of \$500,000, including a maximum of \$250,000 for cash claims. For additional information regarding SIPC coverage, including a brochure, please contact SIPC at (202) 371-8300 or visit www.sipc.org. Apex has purchased an additional insurance policy through a group of London Underwriters to supplement SIPC protection. This additional insurance policy becomes available to customers in the event that SIPC limits are exhausted and provides protection for securities and cash up to certain limits. Similar to SIPC protection, this additional insurance does not protect against a loss in the market value of securities.

Any free credit balance represents funds payable upon demand which, although properly accounted for on our books of records, is not segregated, and may be used in the conduct of this firm's business as permissible under the SEC Rule 15c3-2.

NOTICE TO CUSTOMERS

Apex is a member of the New York Stock Exchange and various other exchanges. Apex acts as clearing agent for your trades.

As required under SEC rules, both the Firm's Order Routing Report as well as information regarding specific order routing information is available free of charge upon request.

Your account, which was introduced to us by your broker or bank, is established under your name on a "fully disclosed" basis at Apex. As a clearing agent, we provide securities clearance and may provide order execution on you broker's or bank's instructions.

You will remain a customer of your broker or bank. Apex will not be involved with or have any responsibility for decisions regarding securities transactions in your account. Your broker or bank will be responsible for opening, approving and monitoring all activities in connection with your account. The entry of orders, and any instructions regarding the deposit or withdrawal of securities or monies should be made through your broker or bank.

In addition to the above mentioned services, Apex will provide cashiering services, safeguarding of funds and securities while in Apex's possession, monitoring compliance with applicable credit Regulation T and Apex's internal policies, preparing and mailing your account records (including transaction confirmations and periodic statements of your account).

Interest charges to your account will be based on the size and net debit balance during the interest period. These rates are subject to revision without notice in accordance with any changes in the broker call loan rate, as published in the Wall Street Journal. For more complete information regarding interest charged to customers, consult the Truth in Lending Notice which is made available through your broker or bank.

Apex is a member of the Financial Industry Regulatory Authority, Inc. ("FINRA") and we are required to inform you of the availability of the FINRA Investor Brochure, which contains information on FINRA BrokerCheck. You may contact FINRA at 800-289-9999 or at their website at www.finra.org. Apex carries your account and acts as your custodian for funds and securities deposited with us directly by you, through your brokerage firm or bank or as a result of transactions we process for your account. Any suspected inaccuracy or discrepancy in your account statement must be promptly reported to both your brokerage firm or bank (not to your individual broker or agent) and Apex. In order to protect your rights, including your right to SIPC coverage, please confirm any oral communication in writing and include your brokerage account number. General inquiries or concerns regarding your account should be directed to your brokerage firm or bank. Account positions and balance inquiries or concerns should be directed to Apex by telephone at 214-765-1009.

ACCOUNT SUMMARY:

Displays applicable account type balance, money fund balances, priced portfolio value, and total account equity as of the opening and closing of the statement period. Priced Portfolio Value and Total Portfolio Equity are rounded to the nearest dollar. Total Priced Portfolio and Expense does not include unpriced securities.

INCOME AND EXPENSE SUMMARY:

Lists all income earned during the current statement period, as well as year to date. Section includes taxable and non-taxable dividends and interest, capital gains and MLP (Master Limited Partnership) distributions. This section also displays and Margin Interest Expenses.

PORTFOLIO EQUITY ALLOCATION:

The Pie Chart is an estimate for illustrative purposes only.

PORTFOLIO SUMMARY:

Lists all securities held in your account.

MARKET VALUE:

This amount represents the value of the security position in your portfolio based on appraisals obtained from the various quotation services. These appraisals are based on the closing prices, bond yields and/or the mean bid and ask on the last day of the statement period. Because of the nature of the data provided by the quotation services, we cannot guarantee the accuracy of such prices or the valuation dates particularly in the case of inactive or infrequently traded securities.

Some securities in your portfolio may be listed as "Unpriced" on your statement. We use an automated pricing service from an outside vendor and certain prices may not be available to them. You can obtain a current quotation, upon request, from your broker or bank.

Bond prices might differ from current market quotes. Similarly, bond ratings may differ from current actual ratings. Computerized pricing and rating services are often unable to supply us with up to the minute information. Your broker or bank will be pleased to obtain a current quotation upon request.

ESTIMATED ANNUAL INCOME

The current annual dividend or bond interest rate for each security held, if available from quotation services. The rate is multiplied by the number of shares or par value of bonds to determine estimated annual income.

OPEN ORDERS:

Displays all GTC (Good-Till-Cancelled) orders in your account. Also included in the section are GTX orders (GTC orders eligible for extended trading hours).

MONEY MARKET ACTIVITY:

Purchases, reinvestments and liquidations of money market funds, plus redemptions of money market fund checks.

DEFINITION OF ACCOUNT TYPES C=Cash, M=Margin, I=Income, L=Legal, S=Short, X=RVP/DVP, and O=Other

REALIZED GAIN/LOSS DETAIL AND PORTFOLIO SUMMARY SECTIONS:

Displays mutual funds by average cost and other securities by individual tax lot. Realized gains (losses) are reflected on a trade date basis for transactions settling during the current period or the period in which the shares were received, if later. Realized gains and losses may include transactions that settle during the following statement cycle. These transactions appear in the Portfolio Holdings section. Estimated unrealized gains (losses) are displayed for most securities currently held. The cost basis used in determining gains (losses) does not reflect wash sales and may not reflect all capital adjustments. Most exchanges reflected on this statement are treated as non-taxable, unless or until other information has been communicated to us. Cost basis of preferred securities with original issue discount ("OID") is not adjusted for the accretion of OID. For most long positions transferred between beneficial owners, the transferor's cost basis will be retained. For shares acquired from a decedent, you should consult your tax advisor to determine the appropriate valuations and holding period that applies. ALTHOUGH THE COST BASIS SHOWN MAY HAVE BEEN ADJUSTED, YOUR COST BASIS MAY REQUIRE ADDITIONAL ADJUSTMENTS. NOTE: WE DO NOT REPRESENT THE CALCULATIONS OF REALIZED AND UNREALIZED GAINS (LOSSES) AS AN OFFICIAL TAX ACCOUNTING OF SUCH FIGURES. FOR TAX PURPOSES, YOU SHOULD RELY ON YOUR OWN RECORDS AND THE CONSOLIDATED FORM 1099 SENT TO YOU.

Order Routing:

The SEC requires all broker-dealers that route orders in equity securities and options to make available quarterly reports that present a general overview of their routing practices. The reports must identify the significant venues to which customer orders were routed for execution during the applicable quarter and disclose the material aspects of the broker-dealer's relationship with such venues. In addition, the Rule (SEC 606) requires broker-dealers to disclose, on customer request, the venues to which the individual customer's orders were routed for the six months prior to the request, and the execution time for the orders that were executed. For further information, please contact your broker or financial advisor.

PLEASE RETAIN THIS STATEMENT AS IT WILL BE HELPFUL IN PREPARING YOUR INCOME TAX RETURNS AND MAY BE NEEDED ALONG WITH SUBSEQUENT STATEMENTS TO VERIFY INTEREST CHARGES IN YOUR ACCOUNT. THIS STATEMENT SHALL BE DEEMED CONCLUSIVE UNLESS OBJECTED TO IN WRITING WITHIN 10 BUSINESS DAYS OF THE STATEMENT CLOSING DATE.

MUTUAL FUNDS AND OTHER SECURITIES ARE NOT INSURED BY THE FDIC, ARE NOT DEPOSITS OR OBLIGATIONS OF, OR GUARANTEED BY APEX, AND INVOLVE INVESTMENT RISKS, INCLUDING THE POSSIBLE LOSS OF THE PRINCIPAL AMOUNT INVESTED.

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ACCOUNT NUMBER **5WT-39810-13 TUA**

RENE ZACHO



1000 W. FULTON MARKET, CHICAGO, IL 60607 | 312.724.7075

► **PORTFOLIO SUMMARY**

DESCRIPTION	SYMBOL/ CUSIP	ACCOUNT TYPE	QUANTITY	PRICE	MARKET VALUE	LAST PERIOD'S MARKET VALUE	% CHANGE	EST. ANNUAL INCOME	% OF TOTAL PORTFOLIO
EQUITIES / OPTIONS									
PUT VXX 05/21/21 11 IPATH SER B S&P 500 VIX SHORT EXP 05/21/2021	8LMQMNO	M	5	\$1.17	\$585.00		N/A		2.471%
PUT VIXW 04/07/21 20 CBOE VOLATILITY INDEX EXP 04/07/2021	9B68936	M	-10	0.75	-750.00		N/A		3.167
Total Equities									
Total Options					\$-165.00				5.638%
Total Cash (Net Portfolio Balance)					\$22,343.32				94.362%
TOTAL PRICED PORTFOLIO					\$22,178.32				

► **ACCOUNT ACTIVITY**

TRANSACTION	DATE	ACCOUNT TYPE	DESCRIPTION	QUANTITY	PRICE	DEBIT	CREDIT
BUY / SELL TRANSACTIONS							
BOUGHT	03/01/21	M	DIREXION DAILY S&P 500 BULL 3X SHARES UNSOLICITED PRODUCT DESCRIPTION UNDER SEPARATE COVER CUSIP: 25459W862	275	\$80.5475	\$22,150.78	

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► ACCOUNT ACTIVITY (CONTINUED)

TRANSACTION	DATE	ACCOUNT TYPE	DESCRIPTION	QUANTITY	PRICE	DEBIT	CREDIT
BUY / SELL TRANSACTIONS (continued)							
SOLD	03/03/21	M	DIREXION DAILY S&P 500 BULL 3X SHARES UNSOLICITED PRODUCT DESCRIPTION UNDER SEPARATE COVER CUSIP: 25459W862	275	80.0407		22,010.82
BOUGHT	03/04/21	M	PUT VIXW 03/10/21 22 CBOE VOLATILITY INDEX UNSOLICITED CLOSING CONTRACT Security Number: 9B52793	1	0.25	25.79	
SOLD	03/04/21	M	PUT VIXW 03/10/21 22 CBOE VOLATILITY INDEX UNSOLICITED OPEN CONTRACT Security Number: 9B52793	1	0.20		18.21
BOUGHT	03/05/21	M	CALL VIX 05/19/21 30 CBOE VOLATILITY INDEX UNSOLICITED OPEN CONTRACT Security Number: 8BLLJZ1	10	5.30	5,317.86	
BOUGHT	03/08/21	M	DIREXION SHARES ETF TRUST DIREXION DAILY S&P 500 BEAR 3X SHARES UNSOLICITED CUSIP: 25460E265	100	37.9199	3,792.07	
BOUGHT	03/08/21	M	DIREXION SHARES ETF TRUST DIREXION DAILY S&P 500 BEAR 3X SHARES UNSOLICITED CUSIP: 25460E265	100	38.3689	3,836.97	

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▶ ACCOUNT ACTIVITY (CONTINUED)

TRANSACTION	DATE	ACCOUNT TYPE	DESCRIPTION	QUANTITY	PRICE	DEBIT	CREDIT
BUY / SELL TRANSACTIONS (continued)							
SOLD	03/08/21	M	CALL VIX 05/19/21 30 CBOE VOLATILITY INDEX UNSOLICITED CLOSING CONTRACT Security Number: 8BLLJZ1	5	4.90		2,446.05
SOLD	03/09/21	M	DIREXION SHARES ETF TRUST DIREXION DAILY S&P 500 BEAR 3X SHARES UNSOLICITED CUSIP: 25460E265	200	37.2612		7,452.02
BOUGHT	03/10/21	M	PROSHARES TRUST ULTRAPRO QQQ UNSOLICITED PRODUCT DESCRIPTION UNDER SEPARATE COVER CUSIP: 74347X831	60	84.2195	5,053.21	
BOUGHT	03/10/21	M	PROSHARES TRUST ULTRAPRO QQQ UNSOLICITED PRODUCT DESCRIPTION UNDER SEPARATE COVER CUSIP: 74347X831	60	84.26	5,055.64	
BOUGHT	03/10/21	M	PROSHARES TRUST ULTRAPRO QQQ UNSOLICITED PRODUCT DESCRIPTION UNDER SEPARATE COVER CUSIP: 74347X831	60	84.0295	5,041.81	

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► ACCOUNT ACTIVITY (CONTINUED)

TRANSACTION	DATE	ACCOUNT TYPE	DESCRIPTION	QUANTITY	PRICE	DEBIT	CREDIT
BUY / SELL TRANSACTIONS (continued)							
BOUGHT	03/10/21	M	PROSHARES TRUST ULTRAPRO QQQ UNSOLICITED PRODUCT DESCRIPTION UNDER SEPARATE COVER CUSIP: 74347X831	60	83.6199	5,017.23	
SOLD	03/11/21	M	PROSHARES TRUST ULTRAPRO QQQ UNSOLICITED PRODUCT DESCRIPTION UNDER SEPARATE COVER CUSIP: 74347X831	60	86.57		5,194.12
SOLD	03/11/21	M	PROSHARES TRUST ULTRAPRO QQQ UNSOLICITED PRODUCT DESCRIPTION UNDER SEPARATE COVER CUSIP: 74347X831	120	86.6433		10,397.04
SOLD	03/11/21	M	CALL VIX 05/19/21 30 CBOE VOLATILITY INDEX UNSOLICITED CLOSING CONTRACT Security Number: 8BLLJZ1	5	3.65		1,821.06
SOLD	03/12/21	M	PROSHARES TRUST ULTRAPRO QQQ UNSOLICITED PRODUCT DESCRIPTION UNDER SEPARATE COVER CUSIP: 74347X831	60	88.2801		5,296.73

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► ACCOUNT ACTIVITY (CONTINUED)

TRANSACTION	DATE	ACCOUNT TYPE	DESCRIPTION	QUANTITY	PRICE	DEBIT	CREDIT
BUY / SELL TRANSACTIONS (continued)							
SOLD	03/12/21	S	DIREXION SHARES ETF TRUST DIREXION DAILY S&P 500 BEAR 3X SHARES UNSOLICITED SHORT. CUSIP: 25460E265	100	33.55		3,354.89
BOUGHT	03/15/21	S	DIREXION SHARES ETF TRUST DIREXION DAILY S&P 500 BEAR 3X SHARES UNSOLICITED COVER SHORT. CUSIP: 25460E265	100	32.74	3,274.08	
BOUGHT	03/17/21	M	CALL VIXW 03/24/21 26 CBOE VOLATILITY INDEX UNSOLICITED OPEN CONTRACT Security Number: 8B57203	1	0.60	61.79	
BOUGHT	03/17/21	M	CALL SQQQ 04/16/21 13 PROSHARES ULTRAPRO SHORT QQQ UNSOLICITED OPEN CONTRACT Security Number: 8GPQCQ0	3	1.22	369.41	
BOUGHT	03/17/21	M	CALL SQQQ 04/16/21 13 PROSHARES ULTRAPRO SHORT QQQ UNSOLICITED OPEN CONTRACT Security Number: 8GPQCQ0	5	1.22	615.68	

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► ACCOUNT ACTIVITY (CONTINUED)

TRANSACTION	DATE	ACCOUNT TYPE	DESCRIPTION	QUANTITY	PRICE	DEBIT	CREDIT
BUY / SELL TRANSACTIONS (continued)							
BOUGHT	03/17/21	M	CALL V 05/21/21 240 VISA INC UNSOLICITED OPEN CONTRACT Security Number: 8PRGZJ4	10	3.30	3,311.36	
BOUGHT	03/17/21	M	PUT VIX 04/21/21 25 CBOE VOLATILITY INDEX UNSOLICITED CLOSING CONTRACT Security Number: 9BPCTG1	1	4	400.79	
BOUGHT	03/17/21	M	PUT VIXW 03/24/21 26 CBOE VOLATILITY INDEX UNSOLICITED CLOSING CONTRACT Security Number: 9B57204	1	5.90	590.79	
SOLD	03/17/21	M	CALL VIXW 03/24/21 26 CBOE VOLATILITY INDEX UNSOLICITED CLOSING CONTRACT Security Number: 8B57203	1	0.50		49.21
SOLD	03/17/21	M	CALL SQQQ 04/16/21 13 PROSHARES ULTRAPRO SHORT QQQ UNSOLICITED CLOSING CONTRACT Security Number: 8GPQCQ0	8	1.13		902.88
SOLD	03/17/21	M	CALL V 05/21/21 240 VISA INC UNSOLICITED CLOSING CONTRACT Security Number: 8PRGZJ4	10	3.35		3,348.60

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▶ ACCOUNT ACTIVITY (CONTINUED)

TRANSACTION	DATE	ACCOUNT TYPE	DESCRIPTION	QUANTITY	PRICE	DEBIT	CREDIT
BUY / SELL TRANSACTIONS (continued)							
SOLD	03/17/21	M	PUT VIX 04/21/21 25 CBOE VOLATILITY INDEX UNSOLICITED OPEN CONTRACT Security Number: 9BPCTG1	1	3.90		388.21
SOLD	03/17/21	M	PUT VIXW 03/24/21 26 CBOE VOLATILITY INDEX UNSOLICITED OPEN CONTRACT Security Number: 9B57204	1	5.20		518.21
BOUGHT	03/18/21	S	PROSHARES TRUST PROSHARES ULTRAPRO SHORT QQQ UNSOLICITED COVER SHORT. CUSIP: 74347G861	1,000	12.9699	12,970.70	
SOLD	03/18/21	S	PROSHARES TRUST PROSHARES ULTRAPRO SHORT QQQ UNSOLICITED SHORT. CUSIP: 74347G861	1,000	12.9413		12,940.31
BOUGHT	03/19/21	M	PUT SPY 05/21/21 388 STANDARD & POORS DEPOSITORY UNSOLICITED OPEN CONTRACT Security Number: 8PJCWJ8	1	9.60	961.14	
SOLD	03/22/21	M	PUT SPY 05/21/21 388 STANDARD & POORS DEPOSITORY UNSOLICITED CLOSING CONTRACT Security Number: 8PJCWJ8	1	10.85		1,084.85

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► ACCOUNT ACTIVITY (CONTINUED)

TRANSACTION	DATE	ACCOUNT TYPE	DESCRIPTION	QUANTITY	PRICE	DEBIT	CREDIT
BUY / SELL TRANSACTIONS (continued)							
SOLD	03/23/21	M	PUT VIXW 04/14/21 20 CBOE VOLATILITY INDEX UNSOLICITED OPEN CONTRACT Security Number: 9B76460	9	0.70		613.93
BOUGHT	03/26/21	M	PUT VIXW 04/14/21 20 CBOE VOLATILITY INDEX UNSOLICITED CLOSING CONTRACT Security Number: 9B76460	9	0.60	547.07	
BOUGHT	03/29/21	M	PUT VXX 05/21/21 11 IPATH SER B S&P 500 VIX SHORT UNSOLICITED OPEN CONTRACT Security Number: 8LMQMNO	3	1.09	330.41	
BOUGHT	03/29/21	M	PUT VXX 05/21/21 11 IPATH SER B S&P 500 VIX SHORT UNSOLICITED OPEN CONTRACT Security Number: 8LMQMNO	2	1.09	220.27	
BOUGHT	03/31/21	M	CALL VIXW 04/07/21 32.50 CBOE VOLATILITY INDEX UNSOLICITED CLOSING CONTRACT Security Number: 9B68957	1	0.30	30.79	
SOLD	03/31/21	M	PUT VIXW 04/07/21 20 CBOE VOLATILITY INDEX UNSOLICITED OPEN CONTRACT Security Number: 9B68936	10	0.43		412.14

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ACCOUNT NUMBER **5WT-39810-13 TUA****RENE ZACHO****tastyworks.**

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▶ ACCOUNT ACTIVITY (CONTINUED)

TRANSACTION	DATE	ACCOUNT TYPE	DESCRIPTION	QUANTITY	PRICE	DEBIT	CREDIT
BUY / SELL TRANSACTIONS (continued)							
SOLD	03/31/21	M	CALL VIXW 04/07/21 32.50 CBOE VOLATILITY INDEX UNSOLICITED OPEN CONTRACT Security Number: 9B68957	1	0.25		23.21
Total Buy / Sell Transactions						\$78,975.64	\$78,272.49
DIVIDENDS AND INTEREST							
INTEREST	03/16/21	M	INTEREST ON CREDIT BALANCE AT 0.010% 02/16 THRU 03/15 CUSIP: 00099A109				\$0.12
Total Dividends And Interest							\$0.12
SECURITIES RECEIVED AND DELIVERED							
NRA	03/05/21	C	DIREXION DAILY SML CAP BULL 3X SHARES Rev NRA W/H AS/OF 06/30/20 ROC CUSIP: 25459W847				\$1.37
Total Securities Received And Delivered							\$1.37
MISCELLANEOUS TRANSACTIONS							
FUD	03/02/21	M	daily futures settlement DFS(1614690038070)			\$2,237.49	
FUD	03/03/21	M	daily futures settlement DFS(1614776437995)			10,362.14	

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► ACCOUNT ACTIVITY (CONTINUED)

TRANSACTION	DATE	ACCOUNT TYPE	DESCRIPTION	QUANTITY	PRICE	DEBIT	CREDIT
MISCELLANEOUS TRANSACTIONS (continued)							
FUR	03/04/21	M	daily futures settlement DFS(1614862837326)				14,144.96
CSH	03/05/21	C	XFER CASH TO MARGIN			1.37	
FUR	03/05/21	M	daily futures settlement DFS(1614949239763)				400.20
CSH	03/05/21	M	XFER MARGIN TO CASH				1.37
FEE	03/15/21	M	DIREXION SHARES ETF TRUST DIREXION DAILY S&P 500 BEAR 3X SHARES STK Borrow FEE 3/13/2021 25460E265 CUSIP: 25460E265			0.28	
FEE	03/15/21	M	DIREXION SHARES ETF TRUST DIREXION DAILY S&P 500 BEAR 3X SHARES STK Borrow FEE 3/14/2021 25460E265 CUSIP: 25460E265			0.28	
FEE	03/15/21	M	DIREXION SHARES ETF TRUST DIREXION DAILY S&P 500 BEAR 3X SHARES STK Borrow FEE 3/15/2021 25460E265 CUSIP: 25460E265			0.28	
MKT	03/16/21	S	MARK TO MARKET SHORT POS			80.81	
MKT	03/16/21	M	MARK TO MARKET				80.81
FUR	03/17/21	M	daily futures settlement DFS(1615982432260)				221.16

March 1, 2021 - March 31, 2021

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ACCOUNT NUMBER **5WT-39810-13 TUA**

RENE ZACHO



1000 W. FULTON MARKET, CHICAGO, IL 60607 | 312.724.7075

► ACCOUNT ACTIVITY (CONTINUED)

TRANSACTION	DATE	ACCOUNT TYPE	DESCRIPTION	QUANTITY	PRICE	DEBIT	CREDIT
MISCELLANEOUS TRANSACTIONS (continued)							
FUD	03/18/21	M	daily futures settlement DFS(1616068838673)			988.53	
MKT	03/19/21	M	MARK TO MARKET			30.39	
MKT	03/19/21	S	MARK TO MARKET SHORT POS				30.39
FUD	03/23/21	M	daily futures settlement DFS(1616500850934)			4,667.18	
FUR	03/26/21	M	daily futures settlement DFS(1616760041789)				717.61
FUR	03/29/21	M	daily futures settlement DFS(1616846422537)				936.36
FUR	03/31/21	M	daily futures settlement DFS(1617192043143)				2,826.99
Total Miscellaneous Transactions						\$18,368.75	\$19,359.85

March 1, 2021 - March 31, 2021

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ACCOUNT NUMBER **5WT-39810-13 TUA**

RENE ZACHO

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► **ANNOUNCEMENTS**

IMPORTANT INFORMATION

Statement of Financial Condition

A copy of Apex Clearing Corporation's Audited Statement of Financial Condition as of December 31, 2020 is available on the website at www.apexclearing.com/disclosures/. A copy may also be obtained at no cost by calling Apex Clearing Corporation. As of December 31, 2020, Apex Clearing Corporation had a net capital of \$221,754,625 and was \$190,963,611 in excess of its required net capital of \$30,791,014. As of January 31, 2021, Apex Clearing Corporation had a net capital of \$316,877,867 and was \$269,611,762 in excess of its required net capital of \$47,266,105.

Apex's Policy for Dividends and interest

Apex's policy is to pay all dividends and interest in US Dollars. Apex will allow the following countries to be paid in their foreign currency (Canadian Dollars, British Pounds, Euros, Argentine Peso, Chinese Renminbi, Korean Won, Philippine Peso and Brazilian Real).

Participation in Fully Paid Lending Program

Customers who participate in the Fully Paid Lending Program should be aware that shares on loan are not covered by SIPC.

Information Regarding Cost Basis for Foreign Account Statements

Foreign Currency: Cost basis is required to be reported in U.S. dollars for tax purposes. It is the responsibility of the account holder to convert sales proceeds paid in foreign currency to U.S. dollars to avoid inaccurate cost basis calculations. When reporting the purchase or sale, you must determine the U.S. dollar amounts to be reported as of the settlement date, at the spot rate or by following a reasonable spot rate convention. See Regulations section 1.6045-1(d)(8).

Payment of Interest to holders of Municipal Securities - you may be subject to a substitute interest payment if the transfer of ownership of your municipal security has not been completed prior to the next interest payment. Please contact a tax professional for more specific details.

IMPORTANT INFORMATION

To our valued customers:

FINRA Rule 2231 requires that we advise you to promptly report any inaccuracy or discrepancy in your account (within 10 days after available) to your brokerage firm and clearing firm (where these are different firms) and to re-confirm any oral communications in writing.

<https://www.finra.org/rules-guidance/notices/06-72>

"IMPORTANT - Part of your distribution includes a return of capital. Any distribution that represents a return of capital reduces the estimated per share value shown on your account statement."

The preceding notice is required when reporting distributions on Direct Participation Programs and/or REITs and is subject to the DPP or REIT sponsor's final capital return determination as detailed in the IRS Form 1099 or K-1, as applicable.

Alternative or Other Investments, DPP, and Unlisted securities are not listed on a national securities exchange, are generally illiquid and that, even if a customer is able to sell the securities, the price received may be less than the per share estimated value provided in the account. The evaluation method used for any particular DPP or REIT will be provided to clients upon request.

Certain positions are not held on Apex's books or custodied by Apex and are not Protected by SIPC.

Pursuant to SEC Rule 606, Apex Clearing Corporation is required to make publicly available a quarterly report with regard to its routing of non-directed orders. For the purpose of this Rule, we have entered into an agreement with Quantum5 Market Surveillance (a Division of S3 Matching Technologies) to disclose all required information pertaining to this rule. This information can

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ACCOUNT NUMBER **5WT-39810-13 TUA**



1000 W. FULTON MARKET, CHICAGO, IL 60607 | 312.724.7075

RENE ZACHO

► ANNOUNCEMENTS (CONTINUED)

be accessed on the internet at: <http://public.s3.com/rule606/apex/>, or a written copy will be furnished at no cost upon request via telephone to (214) 765-1009.

SEC Rule 606 (b) requires a broker-dealer to disclose to its customers, upon request, "the identity of the venue to which the customer's orders were routed for execution in the six months prior to the request, whether the orders were directed orders or non-directed orders, and the time of the transactions, if any, that resulted from such orders."

In accordance with the Emergency Economic Stabilization Act of 2008 broker-dealers are required to track and report cost basis to the IRS in three phases over the next three years.

- Equity securities acquired on or after January 1, 2011
- Mutual fund and dividend reinvestment plan (DRIP) shares acquired on or after January 1, 2012:
- Debit securities, options, and all other financial instruments acquired on or after January 1, 2014. (The IRS has extended this date from the previously announced date of January 1, 2013.)

Beginning this upcoming tax reporting season the cost basis of any covered equity security transaction (purchased after 12/31/10) that is required to be reported on a 1099-B will include its associated cost basis. If you have any questions about this important change to the IRS mandated reporting requirements, please contact your broker-dealer or registered advisor.

IMPORTANT INFORMATION CONTINUED

Please take note of the following description of Apex Clearing Corporation's excess SIPC coverage, which reflects certain changes made to the coverage effective August 8, 2013. The Securities Investor Protection Corporation ("SIPC") protects certain customer funds up to a ceiling of \$500,000, including a maximum of \$250,000 for cash claims. **Please note SIPC does not cover commodity contracts and options on futures.** For additional information regarding SIPC coverage, including a brochure, please contact SIPC at (202) 371-8300 or visit www.sipc.org.

Apex has purchased an additional insurance policy to supplement SIPC protection. This additional insurance policy, widely known as "excess SIPC," becomes available to customers in the event that SIPC limits are exhausted. This additional insurance provides protection for securities and cash up to an aggregate limit of \$150 million, subject to sub-limits for any one customer of \$37.5 million for securities and \$900,000 for cash. Similar to SIPC protection, this additional insurance does not protect against a loss in the market value of securities. For additional information, please contact your broker.

FDIC SWEEP PROGRAM

For customers with balances in a bank deposit account as part of the FDIC Sweep Program or shares of a money market mutual fund in which you have a beneficial interest, those balances or shares may be liquidated on your order and the proceeds returned to your account or remitted to you in accordance with the applicable prospectus and/or Terms and Conditions of the program.

For customers participating in the FDIC Sweep Program, the FDIC Sweep Program allows your cash balance to be eligible for insurance protection through the FDIC up to the maximum applicable insurance limits. Customers may obtain information about FDIC, by contacting the FDIC at 1-877-275-3342, 1-800-925-4618 (TDD) or by visiting www.fdic.gov. Deposit Account balances in the FDIC Sweep Program are not protected by SIPC or any other excess coverage by Apex Clearing Corporation. Deposit Account balances are protected as established by current applicable laws regulated by the FDIC.

Customers may obtain information about SIPC, including the SIPC brochure, by contacting SIPC at 202-371-8300 or by visiting www.SIPC.org.

IMPORTANT INFORMATION

APEX CLEARING CORPORATION DISCLOSURE STATEMENT

Apex Clearing Corporation ("Apex") recognizes the importance of providing information on an ongoing basis to the customers whose accounts are cleared through Apex. Your broker/dealer has

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ACCOUNT NUMBER **SWT-39810-13 TUA**

RENE ZACHO



1000 W. FULTON MARKET, CHICAGO, IL 60607 | 312.724.7075

► ANNOUNCEMENTS (CONTINUED)

designated Apex as its clearing firm. In accordance with industry rules and regulations, Apex is required to disclose on an annual basis certain important regulatory notices and disclosures. To comply with these requirements, Apex has published an Annual Disclosure Statement which is available on the Apex corporate web site, www.apexclearing.com. For customers who do not have access to the internet please call Apex at 214-765-1009 and request a complete copy of the Annual Disclosure Statement be mailed to your address of record.

A brief summary of the content of the Annual Disclosure Statement is as follows:

- Anti-Money Laundering - Federal law requires all financial institutions to obtain, verify and record information that identifies each person who opens an account.
- Privacy Policy - The privacy of customers is a responsibility which Apex respects and protects for former customers as well as current customers.
- Margin Disclosure Statement: FINRA Rule 2264 - The Information furnished provides basic facts about purchasing securities on margin and alerts customers of certain risks involved in trading securities in a margin account.
- Day-Trading Risk Disclosure Statement: FINRA Rule 2270 - Information to be considered before engaging in a day-trading strategy.
- Business Continuity Plan: FINRA Rule 4370 - A further summary of Apex's Disaster Recovery Plan to reasonable ensure business continuity.
- SEC Rule 606 and 607 (Payment for Order Flow and Order Routing information) - (Rule 606) Requires Apex to make public a quarterly report with regard to routing of non-directed orders and (Rule 607) Requires Apex to disclose its payment for order flow practices.
- SEC Rule 10b-10 - Requires customers are provided with prior written notification of certain transactions that are not reported immediately through a trade confirmation.
- SIPC Information: FINRA Rule 2266 - The Securities Investor Protection Corporation ("SIPC") requires that funds are available to meet customer claims up to a ceiling of \$500,000, including a maximum of \$250,000 for cash claims. For more information about SIPC coverage or to receive a brochure, please visit the SIPC website at www.sipc.org or, call (202) 371-8300.
- Investor Education and Protection: FINRA Rule 2267 - Requires Apex to provide information about FINRA's BrokerCheck program. The investor brochure may be obtained from FINRA BrokerCheck hotline number (800) 289-9999 or the FINRA web site address www.FINRA.org.
- Joint NASD Industry Breakpoint Task Force - A further summary of a July 2003 report which recommends written disclosure regarding mutual fund breakpoints.
- Carrying Agreements: FINRA Rule 4311 - The firm with which you have opened your securities account has retained Apex to provide certain record keeping, clearance, and settlement functions. A further summary of details is disclosed.
- Extended Hours Trading Risk Disclosure: FINRA Rule 2265 - Risks to consider include lower liquidity, higher volatility, changing prices, unlinked markets, news announcements, wider spreads, and lack of calculation.
- Liens and Levies - Apex will abide by the directions of federal, state, or other levying authorities.
- Regulation E - Disclosure regarding certain electronic transfers is required under the provisions of this regulation as issued by the Board of Governors of the Federal Reserve System.
- Municipal Securities Rulemaking Board ("MSRB") Rule G-10 requires an annual notification that 1) Apex Clearing Corporation is registered with the U.S. Securities and Exchange Commission and the Municipal Securities Rulemaking Board, 2) the MSRB publishes an investor brochure that is published on their website that describes the protections that may be provided by the MSRB and how to file a complaint with the regulatory authorities and 3) a copy of the MSRB Investor Brochure as well as information regarding prospective, new and existing MSRB rules may be found on the MSRB website by going to the following link: <http://www.msrb.org/>,

IMPORTANT INFORMATION - Privacy Policy

Apex Clearing Corporation ("Apex") carries your account as a clearing broker by arrangement with your broker-dealer or registered investment advisor as Apex's introducing client. At Apex, we understand that privacy is an important issue for customers of our introducing firms. It is our policy to respect the privacy of all accounts that we maintain as clearing broker and to protect the security and confidentiality of non-public personal information relating to those accounts. Please note that this policy generally applies to former customers of Apex as well as current customers.

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ACCOUNT NUMBER **5WT-39810-13 TUA**

RENE ZACHO

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1000 W. FULTON MARKET, CHICAGO, IL 60607 | 312.724.7075

► ANNOUNCEMENTS (CONTINUED)

Personal Information Collected

In order to service your account as a clearing broker, information is provided to Apex by your introducing firm who collects information from you in order to provide the financial services that you have requested. The information collected by your introducing firm and provided to Apex or otherwise obtained by Apex may come from the following sources and is not limited to:

- Information included in your applications or forms, such as your name, address, telephone number, social security number, occupation, and income;
- Information relating to your transactions, including account balances, positions, and activity;
- Information which may be received from consumer reporting agencies, such as credit bureau reports;
- Information relating to your creditworthiness;
- Information which may be received from other sources with your consent or with the consent of your introducing firm.

In addition to servicing your account, Apex may make use of your personal information for analysis purposes, for example, to draw conclusions, detect patterns or determine preferences.

Sharing of Nonpublic Personal Information

Apex does not disclose non-public personal information relating to current or former customers of introducing firms to any third parties, except as required or permitted by law, including but not limited to any obligations of Apex under the USA PATRIOT Act, and in order to facilitate the clearing of customer transactions in the ordinary course of business.

Apex has multiple affiliates and relationships with third party companies. Examples of these companies include financial and non-financial companies that perform services such as data processing and companies that perform securities executions on your behalf. We may share information among our affiliates and third parties, as permitted by law, in order to better service your financial needs and to pursue legitimate business interests, including to carry out, monitor and analyze our business, systems and operations.

Security

Apex strives to ensure that our systems are secure and that they meet industry standards. We seek to protect non- public personal information that is provided to Apex by your introducing firm or otherwise obtained by Apex by implementing physical and electronic safeguards. Where we believe appropriate, we employ firewalls, encryption technology, user authentication systems (i.e. passwords and personal identification numbers) and access control mechanisms to control access to systems and data. Apex endeavors to ensure that third party service providers who may have access to non-public personal information are following appropriate standards of security and confidentiality. Further, we instruct our employees to use strict standards of care in handling the personal financial information of customers. As a general policy, our staff will not discuss or disclose information regarding an account except; 1) with authorized personnel of your introducing firm, 2) as required by law or pursuant to regulatory request, or 3) as authorized by Apex to a third party or affiliate providing services to your account or pursuing Apex's legitimate business interests.

Access to Your Information

You may access your account information through a variety of media offered by your introducing firm and Apex (i.e. statements or online services). Please contact your introducing firm if you require any additional information.

IMPORTANT INFORMATION - Privacy Policy - CONTINUED

Apex may use "cookies" in order to provide better service, to facilitate its customers' use of the website, to track usage of the website, and to address security hazards. A cookie is a small piece of information that a website stores on a personal computer, and which it can later retrieve.

Changes to Apex's Privacy Policy

Apex reserves the right to make changes to this policy.

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ACCOUNT NUMBER **5WT-39810-13 TUA**

RENE ZACHO

► ANNOUNCEMENTS (CONTINUED)

How to Get in Touch with Apex about this Privacy Policy

For reference, this Privacy Policy is available on our website at www.apexclearing.com. For more information relating to Apex's Privacy Policy or to limit our sharing of your personal information, please contact:

Apex Clearing Corporation
Attn: Compliance Department 350 N. St. Paul St., Suite 1300
Dallas, Texas 75201
cs@apexclearing.com

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1000 W. FULTON MARKET, CHICAGO, IL 60607 | 312.724.7075



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April 1, 2021 - April 30, 2021

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ACCOUNT NUMBER **5WT-39810-13 TUA**

RENE ZACHO

RENE ZACHO
TROJBORGVEJ 72C 4 4
8200 AARHUS N
DENMARK

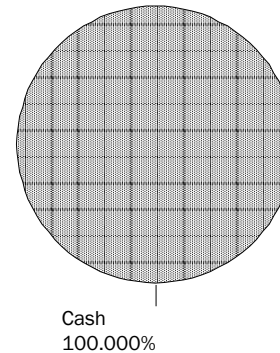
► ACCOUNT SUMMARY

	OPENING BALANCE	CLOSING BALANCE
Margin account	\$22,343.32	\$7,025.18
NET ACCOUNT BALANCE	22,343.32	7,025.18
Securities	-165.00	0.00
TOTAL PRICED PORTFOLIO	-165.00	0.00
Total Equity Holdings	\$22,178.32	\$7,025.18

► INCOME AND EXPENSE SUMMARY

	THIS PERIOD	YEAR TO DATE
Credit interest	\$0.14	\$0.48

► PORTFOLIO EQUITY ALLOCATION



ACCOUNT CARRIED BY:
**APEX CLEARING
CORPORATION**
MEMBER FINRA, NYSE and SIPC

See Reverse Side for Important Tax Information. This statement shall be conclusive if not objected to in writing within ten days. Errors and omissions excepted. Please address all communications to the firm and not to individuals. Address changes or other material changes on your account should be directed to the office servicing your account. Kindly mention your account number. **This statement should be retained for income tax purposes.**

IMPORTANT INFORMATION

You may have received a confirmation for a trade, which does not appear on this statement. If the settlement date of the trade as shown on the confirmation is later than the period ending date that appears at the top of this statement the trade will appear on your next regular monthly statement.

If this is a margin account and we maintain a special miscellaneous account for you, this is a combined statement of your general account and special miscellaneous account maintained for you under Regulation T issued by the Board of Governors of the Federal Reserve System. The permanent record of the special miscellaneous account as required by Regulation T is available for your inspection at your request.

The per annum rate of interest charged on the debit balance in your account is shown on this statement. This rate may change from time to time in accordance with fluctuations in interest rates. Interest is computed from the 16th day of the preceding month to the 15th day of the current month except in December and January. In December, the charges include the last day of the year and, in January, the interest is calculated from the first day of the month. The interest is based on the average daily net debit balance in your account with us, and for the actual number of days based on an interest year of 360 days. When calculating margin interest, free credit balances in all accounts will be offset against any debit in the margin account and the interest will be charged on the net debit balance.

We are required to report to the Internal Revenue Service all cash dividends and registered bond interest credited to your account on securities held for you in our name. We also report coupon bond interest. All dividends and interest credits should be included in your income tax return.

Information relative to commission and any other charges incurred in connection with listed option transactions occurring during the month has previously been furnished to you in confirmation of such transactions. A summary of this information will be made available to you promptly upon request. Exercise assignment notices for option contracts are allocated among customer short positions pursuant to a manual procedure with randomly selects form among all customer short option positions including those contracts which are subject to exercise. All short American style option positions are liable for assignment at any time whereas European style options are assigned at expiration. A more detailed description of our random allocation procedure is available upon request.

You are to promptly advise your brokerage firm or bank of any material changes concerning your investment objectives or financial situation.

Our financial statement is available for your personal inspection at our office, or a copy of it will be mailed upon your written request.

SIPC Protection. As a member of the Securities Investor Protection Corporation (SIPC), funds are available to meet customer claims up to a ceiling of \$500,000, including a maximum of \$250,000 for cash claims. For additional information regarding SIPC coverage, including a brochure, please contact SIPC at (202) 371-8300 or visit www.sipc.org. Apex has purchased an additional insurance policy through a group of London Underwriters to supplement SIPC protection. This additional insurance policy becomes available to customers in the event that SIPC limits are exhausted and provides protection for securities and cash up to certain limits. Similar to SIPC protection, this additional insurance does not protect against a loss in the market value of securities.

Any free credit balance represents funds payable upon demand which, although properly accounted for on our books of records, is not segregated, and may be used in the conduct of this firm's business as permissible under the SEC Rule 15c3-2.

NOTICE TO CUSTOMERS

Apex is a member of the New York Stock Exchange and various other exchanges. Apex acts as clearing agent for your trades.

As required under SEC rules, both the Firm's Order Routing Report as well as information regarding specific order routing information is available free of charge upon request.

Your account, which was introduced to us by your broker or bank, is established under your name on a "fully disclosed" basis at Apex. As a clearing agent, we provide securities clearance and may provide order execution on you broker's or bank's instructions.

You will remain a customer of your broker or bank. Apex will not be involved with or have any responsibility for decisions regarding securities transactions in your account. Your broker or bank will be responsible for opening, approving and monitoring all activities in connection with your account. The entry of orders, and any instructions regarding the deposit or withdrawal of securities or monies should be made through your broker or bank.

In addition to the above mentioned services, Apex will provide cashiering services, safeguarding of funds and securities while in Apex's possession, monitoring compliance with applicable credit Regulation T and Apex's internal policies, preparing and mailing your account records (including transaction confirmations and periodic statements of your account).

Interest charges to your account will be based on the size and net debit balance during the interest period. These rates are subject to revision without notice in accordance with any changes in the broker call loan rate, as published in the Wall Street Journal. For more complete information regarding interest charged to customers, consult the Truth in Lending Notice which is made available through your broker or bank.

Apex is a member of the Financial Industry Regulatory Authority, Inc. ("FINRA") and we are required to inform you of the availability of the FINRA Investor Brochure, which contains information on FINRA BrokerCheck. You may contact FINRA at 800-289-9999 or at their website at www.finra.org. Apex carries your account and acts as your custodian for funds and securities deposited with us directly by you, through your brokerage firm or bank or as a result of transactions we process for your account. Any suspected inaccuracy or discrepancy in your account statement must be promptly reported to both your brokerage firm or bank (not to your individual broker or agent) and Apex. In order to protect your rights, including your right to SIPC coverage, please confirm any oral communication in writing and include your brokerage account number. General inquiries or concerns regarding your account should be directed to your brokerage firm or bank. Account positions and balance inquiries or concerns should be directed to Apex by telephone at 214-765-1009.

ACCOUNT SUMMARY:

Displays applicable account type balance, money fund balances, priced portfolio value, and total account equity as of the opening and closing of the statement period. Priced Portfolio Value and Total Portfolio Equity are rounded to the nearest dollar. Total Priced Portfolio and Expense does not include unpriced securities.

INCOME AND EXPENSE SUMMARY:

Lists all income earned during the current statement period, as well as year to date. Section includes taxable and non-taxable dividends and interest, capital gains and MLP (Master Limited Partnership) distributions. This section also displays and Margin Interest Expenses.

PORTFOLIO EQUITY ALLOCATION:

The Pie Chart is an estimate for illustrative purposes only.

PORTFOLIO SUMMARY:

Lists all securities held in your account.

MARKET VALUE:

This amount represents the value of the security position in your portfolio based on appraisals obtained from the various quotation services. These appraisals are based on the closing prices, bond yields and/or the mean bid and ask on the last day of the statement period. Because of the nature of the data provided by the quotation services, we cannot guarantee the accuracy of such prices or the valuation dates particularly in the case of inactive or infrequently traded securities.

Some securities in your portfolio may be listed as "Unpriced" on your statement. We use an automated pricing service from an outside vendor and certain prices may not be available to them. You can obtain a current quotation, upon request, from your broker or bank.

Bond prices might differ from current market quotes. Similarly, bond ratings may differ from current actual ratings. Computerized pricing and rating services are often unable to supply us with up to the minute information. Your broker or bank will be pleased to obtain a current quotation upon request.

ESTIMATED ANNUAL INCOME

The current annual dividend or bond interest rate for each security held, if available from quotation services. The rate is multiplied by the number of shares or par value of bonds to determine estimated annual income.

OPEN ORDERS:

Displays all GTC (Good-Till-Cancelled) orders in your account. Also included in the section are GTX orders (GTC orders eligible for extended trading hours).

MONEY MARKET ACTIVITY:

Purchases, reinvestments and liquidations of money market funds, plus redemptions of money market fund checks.

DEFINITION OF ACCOUNT TYPES C=Cash, M=Margin, I=Income, L=Legal, S=Short, X=RVP/DVP, and O=Other

REALIZED GAIN/LOSS DETAIL AND PORTFOLIO SUMMARY SECTIONS:

Displays mutual funds by average cost and other securities by individual tax lot. Realized gains (losses) are reflected on a trade date basis for transactions settling during the current period or the period in which the shares were received, if later. Realized gains and losses may include transactions that settle during the following statement cycle. These transactions appear in the Portfolio Holdings section. Estimated unrealized gains (losses) are displayed for most securities currently held. The cost basis used in determining gains (losses) does not reflect wash sales and may not reflect all capital adjustments. Most exchanges reflected on this statement are treated as non-taxable, unless or until other information has been communicated to us. Cost basis of preferred securities with original issue discount ("OID") is not adjusted for the accretion of OID. For most long positions transferred between beneficial owners, the transferor's cost basis will be retained. For shares acquired from a decedent, you should consult your tax advisor to determine the appropriate valuations and holding period that applies. ALTHOUGH THE COST BASIS SHOWN MAY HAVE BEEN ADJUSTED, YOUR COST BASIS MAY REQUIRE ADDITIONAL ADJUSTMENTS. NOTE: WE DO NOT REPRESENT THE CALCULATIONS OF REALIZED AND UNREALIZED GAINS (LOSSES) AS AN OFFICIAL TAX ACCOUNTING OF SUCH FIGURES. FOR TAX PURPOSES, YOU SHOULD RELY ON YOUR OWN RECORDS AND THE CONSOLIDATED FORM 1099 SENT TO YOU.

Order Routing:

The SEC requires all broker-dealers that route orders in equity securities and options to make available quarterly reports that present a general overview of their routing practices. The reports must identify the significant venues to which customer orders were routed for execution during the applicable quarter and disclose the material aspects of the broker-dealer's relationship with such venues. In addition, the Rule (SEC 606) requires broker-dealers to disclose, on customer request, the venues to which the individual customer's orders were routed for the six months prior to the request, and the execution time for the orders that were executed. For further information, please contact your broker or financial advisor.

PLEASE RETAIN THIS STATEMENT AS IT WILL BE HELPFUL IN PREPARING YOUR INCOME TAX RETURNS AND MAY BE NEEDED ALONG WITH SUBSEQUENT STATEMENTS TO VERIFY INTEREST CHARGES IN YOUR ACCOUNT. THIS STATEMENT SHALL BE DEEMED CONCLUSIVE UNLESS OBJECTED TO IN WRITING WITHIN 10 BUSINESS DAYS OF THE STATEMENT CLOSING DATE.

MUTUAL FUNDS AND OTHER SECURITIES ARE NOT INSURED BY THE FDIC, ARE NOT DEPOSITS OR OBLIGATIONS OF, OR GUARANTEED BY APEX, AND INVOLVE INVESTMENT RISKS, INCLUDING THE POSSIBLE LOSS OF THE PRINCIPAL AMOUNT INVESTED.

April 1, 2021 - April 30, 2021

ACCOUNT NUMBER **5WT-39810-13 TUA**

RENE ZACHO



1000 W. FULTON MARKET, CHICAGO, IL 60607 | 312.724.7075

► ACCOUNT ACTIVITY (CONTINUED)

TRANSACTION	DATE	ACCOUNT TYPE	DESCRIPTION	QUANTITY	PRICE	DEBIT	CREDIT
MISCELLANEOUS TRANSACTIONS							
FUD	04/06/21	M	daily futures settlement DFS(1617710442620)			\$12,396.30	
FUD	04/07/21	M	daily futures settlement DFS(1617796831676)			1,875.00	
FUR	04/08/21	M	daily futures settlement DFS(1617883312082)				625.15
FUD	04/09/21	M	daily futures settlement DFS(1617969723806)			195.50	
FUD	04/12/21	M	daily futures settlement DFS(1618056106798)			1,388.90	
FUR	04/13/21	M	daily futures settlement DFS(1618315296485)				1,640.70
FUD	04/14/21	M	daily futures settlement DFS(1618401707004)			1,640.70	
FUR	04/15/21	M	daily futures settlement DFS(1618488106964)				468.90
FUD	04/16/21	M	daily futures settlement DFS(1618574529107)			937.50	
FUR	04/19/21	M	daily futures settlement DFS(1618660894636)				937.50
FUD	04/20/21	M	daily futures settlement DFS(1618920105710)			468.90	
FUR	04/21/21	M	daily futures settlement DFS(1619006507271)				4,531.60
FUD	04/22/21	M	daily futures settlement DFS(1619092926836)			234.45	
FUD	04/23/21	M	daily futures settlement DFS(1619179312135)			4,106.10	

April 1, 2021 - April 30, 2021

ACCOUNT NUMBER **5WT-39810-13 TUA**

RENE ZACHO



1000 W. FULTON MARKET, CHICAGO, IL 60607 | 312.724.7075

ACCOUNT ACTIVITY (CONTINUED)

TRANSACTION	DATE	ACCOUNT TYPE	DESCRIPTION	QUANTITY	PRICE	DEBIT	CREDIT
MISCELLANEOUS TRANSACTIONS (continued)							
FUR	04/26/21	M	daily futures settlement DFS(1619265727262)				586.00
FUR	04/27/21	M	daily futures settlement DFS(1619524925634)				1,172.00
FUR	04/28/21	M	daily futures settlement DFS(1619611290430)				585.75
FUD	04/29/21	M	daily futures settlement DFS(1619697710582)			1,367.00	
Total Miscellaneous Transactions						\$24,610.35	\$10,547.60

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ACCOUNT NUMBER **5WT-39810-13 TUA**

RENE ZACHO

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► **ANNOUNCEMENTS**

IMPORTANT INFORMATION

Statement of Financial Condition

A copy of Apex Clearing Corporation's Audited Statement of Financial Condition as of December 31, 2020 is available on the website at www.apexclearing.com/disclosures/. A copy may also be obtained at no cost by calling Apex Clearing Corporation. As of December 31, 2020, Apex Clearing Corporation had a net capital of \$221,754,625 and was \$190,963,611 in excess of its required net capital of \$30,791,014. As of January 31, 2021, Apex Clearing Corporation had a net capital of \$316,877,867 and was \$269,611,762 in excess of its required net capital of \$47,266,105.

Apex's Policy for Dividends and interest

Apex's policy is to pay all dividends and interest in US Dollars. Apex will allow the following countries to be paid in their foreign currency (Canadian Dollars, British Pounds, Euros, Argentine Peso, Chinese Renminbi, Korean Won, Philippine Peso and Brazilian Real).

Participation in Fully Paid Lending Program

Customers participating in the Fully-Paid Securities Lending Program should be aware that shares on loan are not covered by FDIC or SIPC. Cash securities collateralizing shares are held at JP Morgan Chase & Co. and not subject to FDIC or SIPC protections. Please consult the Master Securities Lending Agreement for additional information.

Information Regarding Cost Basis for Foreign Account Statements

Foreign Currency: Cost basis is required to be reported in U.S. dollars for tax purposes. It is the responsibility of the account holder to convert sales proceeds paid in foreign currency to U.S. dollars to avoid inaccurate cost basis calculations. When reporting the purchase or sale, you must determine the U.S. dollar amounts to be reported as of the settlement date, at the spot rate or by following a reasonable spot rate convention. See Regulations section 1.6045-1(d)(8).

Payment of Interest to holders of Municipal Securities - you may be subject to a substitute interest payment if the transfer of ownership of your municipal security has not been completed prior to the next interest payment. Please contact a tax professional for more specific details.

IMPORTANT INFORMATION

To our valued customers:

FINRA Rule 2231 requires that we advise you to promptly report any inaccuracy or discrepancy in your account (within 10 days after available) to your brokerage firm and clearing firm (where these are different firms) and to re-confirm any oral communications in writing.

<https://www.finra.org/rules-guidance/notices/06-72>

"IMPORTANT - Part of your distribution includes a return of capital. Any distribution that represents a return of capital reduces the estimated per share value shown on your account statement."

The preceding notice is required when reporting distributions on Direct Participation Programs and/or REITs and is subject to the DPP or REIT sponsor's final capital return determination as detailed in the IRS Form 1099 or K-1, as applicable.

Alternative or Other Investments, DPP, and Unlisted securities are not listed on a national securities exchange, are generally illiquid and that, even if a customer is able to sell the securities, the price received may be less than the per share estimated value provided in the account. The evaluation method used for any particular DPP or REIT will be provided to clients upon request.

Certain positions are not held on Apex's books or custodied by Apex and are not Protected by SIPC.

Pursuant to SEC Rule 606, Apex Clearing Corporation is required to make publicly available a quarterly report with regard to its routing of non-directed orders. For the purpose of this Rule, we

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ACCOUNT NUMBER **SWT-39810-13 TUA**



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► ANNOUNCEMENTS (CONTINUED)

have entered into an agreement with Quantum5 Market Surveillance (a Division of S3 Matching Technologies) to disclose all required information pertaining to this rule. This information can be accessed on the internet at: <http://public.s3.com/rule606/apex/>, or a written copy will be furnished at no cost upon request via telephone to (214) 765-1009.

SEC Rule 606 (b) requires a broker-dealer to disclose to its customers, upon request, "the identity of the venue to which the customer's orders were routed for execution in the six months prior to the request, whether the orders were directed orders or non-directed orders, and the time of the transactions, if any, that resulted from such orders."

In accordance with the Emergency Economic Stabilization Act of 2008 broker-dealers are required to track and report cost basis to the IRS in three phases over the next three years.

- Equity securities acquired on or after January 1, 2011
- Mutual fund and dividend reinvestment plan (DRIP) shares acquired on or after January 1, 2012:
- Debit securities, options, and all other financial instruments acquired on or after January 1, 2014. (The IRS has extended this date from the previously announced date of January 1, 2013.)

Beginning this upcoming tax reporting season the cost basis of any covered equity security transaction (purchased after 12/31/10) that is required to be reported on a 1099-B will include its associated cost basis. If you have any questions about this important change to the IRS mandated reporting requirements, please contact your broker-dealer or registered advisor.

IMPORTANT INFORMATION CONTINUED

Please take note of the following description of Apex Clearing Corporation's excess SIPC coverage, which reflects certain changes made to the coverage effective August 8, 2013. The Securities Investor Protection Corporation ("SIPC") protects certain customer funds up to a ceiling of \$500,000, including a maximum of \$250,000 for cash claims. **Please note SIPC does not cover commodity contracts and options on futures.** For additional information regarding SIPC coverage, including a brochure, please contact SIPC at (202) 371-8300 or visit www.sipc.org.

Apex has purchased an additional insurance policy to supplement SIPC protection. This additional insurance policy, widely known as "excess SIPC," becomes available to customers in the event that SIPC limits are exhausted. This additional insurance provides protection for securities and cash up to an aggregate limit of \$150 million, subject to sub-limits for any one customer of \$37.5 million for securities and \$900,000 for cash. Similar to SIPC protection, this additional insurance does not protect against a loss in the market value of securities. For additional information, please contact your broker.

FDIC SWEEP PROGRAM

For customers with balances in a bank deposit account as part of the FDIC Sweep Program or shares of a money market mutual fund in which you have a beneficial interest, those balances or shares may be liquidated on your order and the proceeds returned to your account or remitted to you in accordance with the applicable prospectus and/or Terms and Conditions of the program.

For customers participating in the FDIC Sweep Program, the FDIC Sweep Program allows your cash balance to be eligible for insurance protection through the FDIC up to the maximum applicable insurance limits. Customers may obtain information about FDIC, by contacting the FDIC at 1-877-275-3342, 1-800-925-4618 (TDD) or by visiting www.fdic.gov. Deposit Account balances in the FDIC Sweep Program are not protected by SIPC or any other excess coverage by Apex Clearing Corporation. Deposit Account balances are protected as established by current applicable laws regulated by the FDIC.

Customers may obtain information about SIPC, including the SIPC brochure, by contacting SIPC at 202-371-8300 or by visiting www.SIPC.org.

IMPORTANT INFORMATION

APEX CLEARING CORPORATION DISCLOSURE STATEMENT

April 1, 2021 - April 30, 2021

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1000 W. FULTON MARKET, CHICAGO, IL 60607 | 312.724.7075

RENE ZACHO

► ANNOUNCEMENTS (CONTINUED)

Apex Clearing Corporation ("Apex") recognizes the importance of providing information on an ongoing basis to the customers whose accounts are cleared through Apex. Your broker/dealer has designated Apex as its clearing firm. In accordance with industry rules and regulations, Apex is required to disclose on an annual basis certain important regulatory notices and disclosures. To comply with these requirements, Apex has published an Annual Disclosure Statement which is available on the Apex corporate web site, www.apexclearing.com. For customers who do not have access to the internet please call Apex at 214-765-1009 and request a complete copy of the Annual Disclosure Statement be mailed to your address of record.

A brief summary of the content of the Annual Disclosure Statement is as follows:

- Anti-Money Laundering - Federal law requires all financial institutions to obtain, verify and record information that identifies each person who opens an account.
- Privacy Policy - The privacy of customers is a responsibility which Apex respects and protects for former customers as well as current customers.
- Margin Disclosure Statement: FINRA Rule 2264 - The Information furnished provides basic facts about purchasing securities on margin and alerts customers of certain risks involved in trading securities in a margin account.
- Day-Trading Risk Disclosure Statement: FINRA Rule 2270 - Information to be considered before engaging in a day-trading strategy.
- Business Continuity Plan: FINRA Rule 4370 - A further summary of Apex's Disaster Recovery Plan to reasonable ensure business continuity.
- SEC Rule 606 and 607 (Payment for Order Flow and Order Routing information) - (Rule 606) Requires Apex to make public a quarterly report with regard to routing of non-directed orders and (Rule 607) Requires Apex to disclose its payment for order flow practices.
- SEC Rule 10b-10 - Requires customers are provided with prior written notification of certain transactions that are not reported immediately through a trade confirmation.
- SIPC Information: FINRA Rule 2266 - The Securities Investor Protection Corporation ("SIPC") requires that funds are available to meet customer claims up to a ceiling of \$500,000, including a maximum of \$250,000 for cash claims. For more information about SIPC coverage or to receive a brochure, please visit the SIPC website at www.sipc.org or, call (202) 371-8300.
- Investor Education and Protection: FINRA Rule 2267 - Requires Apex to provide information about FINRA's BrokerCheck program. The investor brochure may be obtained from FINRA BrokerCheck hotline number (800) 289-9999 or the FINRA web site address www.FINRA.org.
- Joint NASD Industry Breakpoint Task Force - A further summary of a July 2003 report which recommends written disclosure regarding mutual fund breakpoints.
- Carrying Agreements: FINRA Rule 4311 - The firm with which you have opened your securities account has retained Apex to provide certain record keeping, clearance, and settlement functions. A further summary of details is disclosed.
- Extended Hours Trading Risk Disclosure: FINRA Rule 2265 - Risks to consider include lower liquidity, higher volatility, changing prices, unlinked markets, news announcements, wider spreads, and lack of calculation.
- Liens and Levies - Apex will abide by the directions of federal, state, or other levying authorities.
- Regulation E - Disclosure regarding certain electronic transfers is required under the provisions of this regulation as issued by the Board of Governors of the Federal Reserve System.
- Municipal Securities Rulemaking Board ("MSRB") Rule G-10 requires an annual notification that 1) Apex Clearing Corporation is registered with the U.S. Securities and Exchange Commission and the Municipal Securities Rulemaking Board, 2) the MSRB publishes an investor brochure that is published on their website that describes the protections that may be provided by the MSRB and how to file a complaint with the regulatory authorities and 3) a copy of the MSRB Investor Brochure as well as information regarding prospective, new and existing MSRB rules may be found on the MSRB website by going to the following link: <http://www.msrb.org/>,

IMPORTANT INFORMATION - Privacy Policy

Apex Clearing Corporation ("Apex") carries your account as a clearing broker by arrangement with your broker-dealer or registered investment advisor as Apex's introducing client. At Apex, we understand that privacy is an important issue for customers of our introducing firms. It is our policy to respect the privacy of all accounts that we maintain as clearing broker and to protect the security and confidentiality of non-public personal information relating to those accounts. Please note that this policy generally applies to former customers of Apex as well as current customers.

▶ ANNOUNCEMENTS (CONTINUED)

- Information included in your applications or forms, such as your name, address, telephone number, social security number, occupation, and income;
- Information relating to your transactions, including account balances, positions, and activity;
- Information which may be received from consumer reporting agencies, such as credit bureau reports;
- Information relating to your creditworthiness;
- Information which may be received from other sources with your consent or with the consent of your introducing firm.

Apex reserves the right to make changes to this policy.



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ACCOUNT NUMBER **5WT-39810-13 TUA**

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► ANNOUNCEMENTS (CONTINUED)

How to Get in Touch with Apex about this Privacy Policy

For reference, this Privacy Policy is available on our website at www.apexclearing.com. For more information relating to Apex's Privacy Policy or to limit our sharing of your personal information, please contact:

Apex Clearing Corporation
Attn: Compliance Department 350 N. St. Paul St., Suite 1300
Dallas, Texas 75201
cs@apexclearing.com

tastyworks.

1000 W. FULTON MARKET, CHICAGO, IL 60607 | 312.724.7075



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May 1, 2021 - May 31, 2021

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ACCOUNT NUMBER **SWT-39810-13 TUA**

RENE ZACHO

RENE ZACHO
TROJBORGVEJ 72C 4 4
8200 AARHUS N
DENMARK

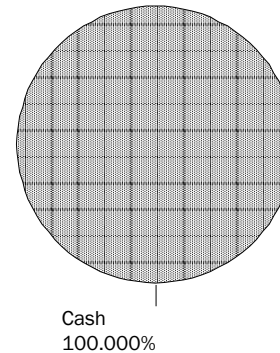
▶ ACCOUNT SUMMARY

	OPENING BALANCE	CLOSING BALANCE
Margin account	\$7,025.18	\$6,168.26
NET ACCOUNT BALANCE	7,025.18	6,168.26
TOTAL PRICED PORTFOLIO	0.00	0.00
Total Equity Holdings	\$7,025.18	\$6,168.26

▶ INCOME AND EXPENSE SUMMARY

	THIS PERIOD	YEAR TO DATE
Credit interest	\$0.05	\$0.53

▶ PORTFOLIO EQUITY ALLOCATION



ACCOUNT CARRIED BY:
**APEX CLEARING
CORPORATION**
MEMBER FINRA, NYSE and SIPC

See Reverse Side for Important Tax Information. This statement shall be conclusive if not objected to in writing within ten days. Errors and omissions excepted. Please address all communications to the firm and not to individuals. Address changes or other material changes on your account should be directed to the office servicing your account. Kindly mention your account number. **This statement should be retained for income tax purposes.**

IMPORTANT INFORMATION

You may have received a confirmation for a trade, which does not appear on this statement. If the settlement date of the trade as shown on the confirmation is later than the period ending date that appears at the top of this statement the trade will appear on your next regular monthly statement.

If this is a margin account and we maintain a special miscellaneous account for you, this is a combined statement of your general account and special miscellaneous account maintained for you under Regulation T issued by the Board of Governors of the Federal Reserve System. The permanent record of the special miscellaneous account as required by Regulation T is available for your inspection at your request.

The per annum rate of interest charged on the debit balance in your account is shown on this statement. This rate may change from time to time in accordance with fluctuations in interest rates. Interest is computed from the 16th day of the preceding month to the 15th day of the current month except in December and January. In December, the charges include the last day of the year and, in January, the interest is calculated from the first day of the month. The interest is based on the average daily net debit balance in your account with us, and for the actual number of days based on an interest year of 360 days. When calculating margin interest, free credit balances in all accounts will be offset against any debit in the margin account and the interest will be charged on the net debit balance.

We are required to report to the Internal Revenue Service all cash dividends and registered bond interest credited to your account on securities held for you in our name. We also report coupon bond interest. All dividends and interest credits should be included in your income tax return.

Information relative to commission and any other charges incurred in connection with listed option transactions occurring during the month has previously been furnished to you in confirmation of such transactions. A summary of this information will be made available to you promptly upon request. Exercise assignment notices for option contracts are allocated among customer short positions pursuant to a manual procedure with randomly selects form among all customer short option positions including those contracts which are subject to exercise. All short American style option positions are liable for assignment at any time whereas European style options are assigned at expiration. A more detailed description of our random allocation procedure is available upon request.

You are to promptly advise your brokerage firm or bank of any material changes concerning your investment objectives or financial situation.

Our financial statement is available for your personal inspection at our office, or a copy of it will be mailed upon your written request.

SIPC Protection. As a member of the Securities Investor Protection Corporation (SIPC), funds are available to meet customer claims up to a ceiling of \$500,000, including a maximum of \$250,000 for cash claims. For additional information regarding SIPC coverage, including a brochure, please contact SIPC at (202) 371-8300 or visit www.sipc.org. Apex has purchased an additional insurance policy through a group of London Underwriters to supplement SIPC protection. This additional insurance policy becomes available to customers in the event that SIPC limits are exhausted and provides protection for securities and cash up to certain limits. Similar to SIPC protection, this additional insurance does not protect against a loss in the market value of securities.

Any free credit balance represents funds payable upon demand which, although properly accounted for on our books of records, is not segregated, and may be used in the conduct of this firm's business as permissible under the SEC Rule 15c3-2.

NOTICE TO CUSTOMERS

Apex is a member of the New York Stock Exchange and various other exchanges. Apex acts as clearing agent for your trades.

As required under SEC rules, both the Firm's Order Routing Report as well as information regarding specific order routing information is available free of charge upon request.

Your account, which was introduced to us by your broker or bank, is established under your name on a "fully disclosed" basis at Apex. As a clearing agent, we provide securities clearance and may provide order execution on you broker's or bank's instructions.

You will remain a customer of your broker or bank. Apex will not be involved with or have any responsibility for decisions regarding securities transactions in your account. Your broker or bank will be responsible for opening, approving and monitoring all activities in connection with your account. The entry of orders, and any instructions regarding the deposit or withdrawal of securities or monies should be made through your broker or bank.

In addition to the above mentioned services, Apex will provide cashiering services, safeguarding of funds and securities while in Apex's possession, monitoring compliance with applicable credit Regulation T and Apex's internal policies, preparing and mailing your account records (including transaction confirmations and periodic statements of your account).

Interest charges to your account will be based on the size and net debit balance during the interest period. These rates are subject to revision without notice in accordance with any changes in the broker call loan rate, as published in the Wall Street Journal. For more complete information regarding interest charged to customers, consult the Truth in Lending Notice which is made available through your broker or bank.

Apex is a member of the Financial Industry Regulatory Authority, Inc. ("FINRA") and we are required to inform you of the availability of the FINRA Investor Brochure, which contains information on FINRA BrokerCheck. You may contact FINRA at 800-289-9999 or at their website at www.finra.org. Apex carries your account and acts as your custodian for funds and securities deposited with us directly by you, through your brokerage firm or bank or as a result of transactions we process for your account. Any suspected inaccuracy or discrepancy in your account statement must be promptly reported to both your brokerage firm or bank (not to your individual broker or agent) and Apex. In order to protect your rights, including your right to SIPC coverage, please confirm any oral communication in writing and include your brokerage account number. General inquiries or concerns regarding your account should be directed to your brokerage firm or bank. Account positions and balance inquiries or concerns should be directed to Apex by telephone at 214-765-1009.

ACCOUNT SUMMARY:

Displays applicable account type balance, money fund balances, priced portfolio value, and total account equity as of the opening and closing of the statement period. Priced Portfolio Value and Total Portfolio Equity are rounded to the nearest dollar. Total Priced Portfolio and Expense does not include unpriced securities.

INCOME AND EXPENSE SUMMARY:

Lists all income earned during the current statement period, as well as year to date. Section includes taxable and non-taxable dividends and interest, capital gains and MLP (Master Limited Partnership) distributions. This section also displays and Margin Interest Expenses.

PORTFOLIO EQUITY ALLOCATION:

The Pie Chart is an estimate for illustrative purposes only.

PORTFOLIO SUMMARY:

Lists all securities held in your account.

MARKET VALUE:

This amount represents the value of the security position in your portfolio based on appraisals obtained from the various quotation services. These appraisals are based on the closing prices, bond yields and/or the mean bid and ask on the last day of the statement period. Because of the nature of the data provided by the quotation services, we cannot guarantee the accuracy of such prices or the valuation dates particularly in the case of inactive or infrequently traded securities.

Some securities in your portfolio may be listed as "Unpriced" on your statement. We use an automated pricing service from an outside vendor and certain prices may not be available to them. You can obtain a current quotation, upon request, from your broker or bank.

Bond prices might differ from current market quotes. Similarly, bond ratings may differ from current actual ratings. Computerized pricing and rating services are often unable to supply us with up to the minute information. Your broker or bank will be pleased to obtain a current quotation upon request.

ESTIMATED ANNUAL INCOME

The current annual dividend or bond interest rate for each security held, if available from quotation services. The rate is multiplied by the number of shares or par value of bonds to determine estimated annual income.

OPEN ORDERS:

Displays all GTC (Good-Till-Cancelled) orders in your account. Also included in the section are GTX orders (GTC orders eligible for extended trading hours).

MONEY MARKET ACTIVITY:

Purchases, reinvestments and liquidations of money market funds, plus redemptions of money market fund checks.

DEFINITION OF ACCOUNT TYPES C=Cash, M=Margin, I=Income, L=Legal, S=Short, X=RVP/DVP, and O=Other

REALIZED GAIN/LOSS DETAIL AND PORTFOLIO SUMMARY SECTIONS:

Displays mutual funds by average cost and other securities by individual tax lot. Realized gains (losses) are reflected on a trade date basis for transactions settling during the current period or the period in which the shares were received, if later. Realized gains and losses may include transactions that settle during the following statement cycle. These transactions appear in the Portfolio Holdings section. Estimated unrealized gains (losses) are displayed for most securities currently held. The cost basis used in determining gains (losses) does not reflect wash sales and may not reflect all capital adjustments. Most exchanges reflected on this statement are treated as non-taxable, unless or until other information has been communicated to us. Cost basis of preferred securities with original issue discount ("OID") is not adjusted for the accretion of OID. For most long positions transferred between beneficial owners, the transferor's cost basis will be retained. For shares acquired from a decedent, you should consult your tax advisor to determine the appropriate valuations and holding period that applies. ALTHOUGH THE COST BASIS SHOWN MAY HAVE BEEN ADJUSTED, YOUR COST BASIS MAY REQUIRE ADDITIONAL ADJUSTMENTS. NOTE: WE DO NOT REPRESENT THE CALCULATIONS OF REALIZED AND UNREALIZED GAINS (LOSSES) AS AN OFFICIAL TAX ACCOUNTING OF SUCH FIGURES. FOR TAX PURPOSES, YOU SHOULD RELY ON YOUR OWN RECORDS AND THE CONSOLIDATED FORM 1099 SENT TO YOU.

Order Routing:

The SEC requires all broker-dealers that route orders in equity securities and options to make available quarterly reports that present a general overview of their routing practices. The reports must identify the significant venues to which customer orders were routed for execution during the applicable quarter and disclose the material aspects of the broker-dealer's relationship with such venues. In addition, the Rule (SEC 606) requires broker-dealers to disclose, on customer request, the venues to which the individual customer's orders were routed for the six months prior to the request, and the execution time for the orders that were executed. For further information, please contact your broker or financial advisor.

PLEASE RETAIN THIS STATEMENT AS IT WILL BE HELPFUL IN PREPARING YOUR INCOME TAX RETURNS AND MAY BE NEEDED ALONG WITH SUBSEQUENT STATEMENTS TO VERIFY INTEREST CHARGES IN YOUR ACCOUNT. THIS STATEMENT SHALL BE DEEMED CONCLUSIVE UNLESS OBJECTED TO IN WRITING WITHIN 10 BUSINESS DAYS OF THE STATEMENT CLOSING DATE.

MUTUAL FUNDS AND OTHER SECURITIES ARE NOT INSURED BY THE FDIC, ARE NOT DEPOSITS OR OBLIGATIONS OF, OR GUARANTEED BY APEX, AND INVOLVE INVESTMENT RISKS, INCLUDING THE POSSIBLE LOSS OF THE PRINCIPAL AMOUNT INVESTED.

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ACCOUNT NUMBER **5WT-39810-13 TUA**

RENE ZACHO



1000 W. FULTON MARKET, CHICAGO, IL 60607 | 312.724.7075

▶ ACCOUNT ACTIVITY

TRANSACTION	DATE	ACCOUNT TYPE	DESCRIPTION	QUANTITY	PRICE	DEBIT	CREDIT
BUY / SELL TRANSACTIONS							
BOUGHT	05/14/21	M	PUT VIXW 06/23/21 21 CBOE VOLATILITY INDEX UNSOLICITED OPEN CONTRACT Security Number: 8BLTRH0	6	\$1.90	\$1,150.71	
BOUGHT	05/20/21	M	PUT VIXW 06/23/21 19 CBOE VOLATILITY INDEX UNSOLICITED OPEN CONTRACT Security Number: 8BLTRG3	12	0.80	981.42	
SOLD	05/25/21	M	PUT VIXW 06/23/21 19 CBOE VOLATILITY INDEX UNSOLICITED CLOSING CONTRACT Security Number: 8BLTRG3	6	1.20		715.29
SOLD	05/25/21	M	PUT VIXW 06/23/21 21 CBOE VOLATILITY INDEX UNSOLICITED CLOSING CONTRACT Security Number: 8BLTRH0	6	2.45		1,465.29
SOLD	05/26/21	M	PUT VIXW 06/23/21 19 CBOE VOLATILITY INDEX UNSOLICITED CLOSING CONTRACT Security Number: 8BLTRG3	1	1.17		116.22

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ACCOUNT NUMBER **5WT-39810-13 TUA**

RENE ZACHO



1000 W. FULTON MARKET, CHICAGO, IL 60607 | 312.724.7075

► ACCOUNT ACTIVITY (CONTINUED)

TRANSACTION	DATE	ACCOUNT TYPE	DESCRIPTION	QUANTITY	PRICE	DEBIT	CREDIT
BUY / SELL TRANSACTIONS (continued)							
SOLD	05/26/21	M	PUT VIXW 06/23/21 19 CBOE VOLATILITY INDEX UNSOLICITED CLOSING CONTRACT Security Number: 8BLTRG3	5	1.11		551.08
Total Buy / Sell Transactions						\$2,132.13	\$2,847.88
DIVIDENDS AND INTEREST							
INTEREST	05/17/21	M	INTEREST ON CREDIT BALANCE AT 0.010% 04/16 THRU 05/15 CUSIP: 00099A109				\$0.05
Total Dividends And Interest							\$0.05
MISCELLANEOUS TRANSACTIONS							
FUD	05/04/21	M	daily futures settlement DFS(1620129716483)			\$390.75	
FUR	05/05/21	M	daily futures settlement DFS(1620216115452)				195.25
FUD	05/06/21	M	daily futures settlement DFS(1620302520394)			585.75	
FUD	05/07/21	M	daily futures settlement DFS(1620388921213)			251.03	
FUD	05/10/21	M	daily futures settlement DFS(1620475324905)			1,182.75	
FUR	05/11/21	M	daily futures settlement DFS(1620734490243)				785.25

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ACCOUNT NUMBER **5WT-39810-13 TUA**

RENE ZACHO



1000 W. FULTON MARKET, CHICAGO, IL 60607 | 312.724.7075

► ACCOUNT ACTIVITY (CONTINUED)

TRANSACTION	DATE	ACCOUNT TYPE	DESCRIPTION	QUANTITY	PRICE	DEBIT	CREDIT
MISCELLANEOUS TRANSACTIONS (continued)							
FUR	05/12/21	M	daily futures settlement DFS(1620820899393)				781.25
FUR	05/13/21	M	daily futures settlement DFS(1620907308008)				853.73
FUD	05/14/21	M	daily futures settlement DFS(1620993700495)			781.25	
FUD	05/17/21	M	daily futures settlement DFS(1621080108046)			781.25	
FUR	05/18/21	M	daily futures settlement DFS(1621339288957)				390.50
FUD	05/19/21	M	daily futures settlement DFS(1621425695417)			585.75	
FUR	05/20/21	M	daily futures settlement DFS(1621512100242)				976.50
FUD	05/21/21	M	daily futures settlement DFS(1621598515930)			976.50	
FUR	05/24/21	M	daily futures settlement DFS(1621685163984)				390.50
FUD	05/25/21	M	daily futures settlement DFS(1621944101040)			586.00	
FUR	05/26/21	M	daily futures settlement DFS(1622030496555)				3,125.25
FUR	05/27/21	M	daily futures settlement DFS(1622116897950)				1,212.63
FUD	05/28/21	M	daily futures settlement DFS(1622203301583)			4,162.55	
Total Miscellaneous Transactions						\$10,283.58	\$8,710.86

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ACCOUNT NUMBER **5WT-39810-13 TUA**

RENE ZACHO



1000 W. FULTON MARKET, CHICAGO, IL 60607 | 312.724.7075

► ANNOUNCEMENTS

IMPORTANT INFORMATION

Statement of Financial Condition

A copy of Apex Clearing Corporation's Audited Statement of Financial Condition as of December 31, 2020 is available on the website at www.apexclearing.com/disclosures/. A copy may also be obtained at no cost by calling Apex Clearing Corporation. As of December 31, 2020, Apex Clearing Corporation had a net capital of \$221,754,625 and was \$190,963,611 in excess of its required net capital of \$30,791,014. As of January 31, 2021, Apex Clearing Corporation had a net capital of \$316,877,867 and was \$269,611,762 in excess of its required net capital of \$47,266,105.

Apex's Policy for Dividends and interest

Apex's policy is to pay all dividends and interest in US Dollars. Apex will allow the following countries to be paid in their foreign currency (Canadian Dollars, British Pounds, Euros, Argentine Peso, Chinese Renminbi, Korean Won, Philippine Peso and Brazilian Real).

Participation in Fully Paid Lending Program

Customers participating in the Fully-Paid Securities Lending Program should be aware that shares on loan are not covered by FDIC or SIPC. Cash securities collateralizing shares are held at JP Morgan Chase & Co. and not subject to FDIC or SIPC protections. Please consult the Master Securities Lending Agreement for additional information.

Information Regarding Cost Basis for Foreign Account Statements

Foreign Currency: Cost basis is required to be reported in U.S. dollars for tax purposes. It is the responsibility of the account holder to convert sales proceeds paid in foreign currency to U.S. dollars to avoid inaccurate cost basis calculations. When reporting the purchase or sale, you must determine the U.S. dollar amounts to be reported as of the settlement date, at the spot rate or by following a reasonable spot rate convention. See Regulations section 1.6045-1(d)(8).

Payment of Interest to holders of Municipal Securities - you may be subject to a substitute interest payment if the transfer of ownership of your municipal security has not been completed prior to the next interest payment. Please contact a tax professional for more specific details.

IMPORTANT INFORMATION

To our valued customers:

FINRA Rule 2231 requires that we advise you to promptly report any inaccuracy or discrepancy in your account (within 10 days after available) to your brokerage firm and clearing firm (where these are different firms) and to re-confirm any oral communications in writing.

<https://www.finra.org/rules-guidance/notices/06-72>

"IMPORTANT - Part of your distribution includes a return of capital. Any distribution that represents a return of capital reduces the estimated per share value shown on your account statement."

The preceding notice is required when reporting distributions on Direct Participation Programs and/or REITs and is subject to the DPP or REIT sponsor's final capital return determination as detailed in the IRS Form 1099 or K-1, as applicable.

Alternative or Other Investments, DPP, and Unlisted securities are not listed on a national securities exchange, are generally illiquid and that, even if a customer is able to sell the securities, the price received may be less than the per share estimated value provided in the account. The evaluation method used for any particular DPP or REIT will be provided to clients upon request.

Certain positions are not held on Apex's books or custodied by Apex and are not Protected by SIPC.

Pursuant to SEC Rule 606, Apex Clearing Corporation is required to make publicly available a quarterly report with regard to its routing of non-directed orders. For the purpose of this Rule, we

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RENE ZACHO

► ANNOUNCEMENTS (CONTINUED)

have entered into an agreement with Quantum5 Market Surveillance (a Division of S3 Matching Technologies) to disclose all required information pertaining to this rule. This information can be accessed on the internet at: <http://public.s3.com/rule606/apex/>, or a written copy will be furnished at no cost upon request via telephone to (214) 765-1009.

SEC Rule 606 (b) requires a broker-dealer to disclose to its customers, upon request, "the identity of the venue to which the customer's orders were routed for execution in the six months prior to the request, whether the orders were directed orders or non-directed orders, and the time of the transactions, if any, that resulted from such orders."

In accordance with the Emergency Economic Stabilization Act of 2008 broker-dealers are required to track and report cost basis to the IRS in three phases over the next three years.

- Equity securities acquired on or after January 1, 2011
- Mutual fund and dividend reinvestment plan (DRIP) shares acquired on or after January 1, 2012:
- Debit securities, options, and all other financial instruments acquired on or after January 1, 2014. (The IRS has extended this date from the previously announced date of January 1, 2013.)

Beginning this upcoming tax reporting season the cost basis of any covered equity security transaction (purchased after 12/31/10) that is required to be reported on a 1099-B will include its associated cost basis. If you have any questions about this important change to the IRS mandated reporting requirements, please contact your broker-dealer or registered advisor.

IMPORTANT INFORMATION CONTINUED

Please take note of the following description of Apex Clearing Corporation's excess SIPC coverage, which reflects certain changes made to the coverage effective August 8, 2013. The Securities Investor Protection Corporation ("SIPC") protects certain customer funds up to a ceiling of \$500,000, including a maximum of \$250,000 for cash claims. **Please note SIPC does not cover commodity contracts and options on futures.** For additional information regarding SIPC coverage, including a brochure, please contact SIPC at (202) 371-8300 or visit www.sipc.org.

Apex has purchased an additional insurance policy to supplement SIPC protection. This additional insurance policy, widely known as "excess SIPC," becomes available to customers in the event that SIPC limits are exhausted. This additional insurance provides protection for securities and cash up to an aggregate limit of \$150 million, subject to sub-limits for any one customer of \$37.5 million for securities and \$900,000 for cash. Similar to SIPC protection, this additional insurance does not protect against a loss in the market value of securities. For additional information, please contact your broker.

FDIC SWEEP PROGRAM

For customers with balances in a bank deposit account as part of the FDIC Sweep Program or shares of a money market mutual fund in which you have a beneficial interest, those balances or shares may be liquidated on your order and the proceeds returned to your account or remitted to you in accordance with the applicable prospectus and/or Terms and Conditions of the program.

For customers participating in the FDIC Sweep Program, the FDIC Sweep Program allows your cash balance to be eligible for insurance protection through the FDIC up to the maximum applicable insurance limits. Customers may obtain information about FDIC, by contacting the FDIC at 1-877-275-3342, 1-800-925-4618 (TDD) or by visiting www.fdic.gov. Deposit Account balances in the FDIC Sweep Program are not protected by SIPC or any other excess coverage by Apex Clearing Corporation. Deposit Account balances are protected as established by current applicable laws regulated by the FDIC.

Customers may obtain information about SIPC, including the SIPC brochure, by contacting SIPC at 202-371-8300 or by visiting www.SIPC.org.

IMPORTANT INFORMATION

APEX CLEARING CORPORATION DISCLOSURE STATEMENT

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RENE ZACHO

► **ANNOUNCEMENTS (CONTINUED)**

Apex Clearing Corporation ("Apex") recognizes the importance of providing information on an ongoing basis to the customers whose accounts are cleared through Apex. Your broker/dealer has designated Apex as its clearing firm. In accordance with industry rules and regulations, Apex is required to disclose on an annual basis certain important regulatory notices and disclosures. To comply with these requirements, Apex has published an Annual Disclosure Statement which is available on the Apex corporate web site, www.apexclearing.com. For customers who do not have access to the internet please call Apex at 214-765-1009 and request a complete copy of the Annual Disclosure Statement be mailed to your address of record.

A brief summary of the content of the Annual Disclosure Statement is as follows:

- Anti-Money Laundering - Federal law requires all financial institutions to obtain, verify and record information that identifies each person who opens an account.
- Privacy Policy - The privacy of customers is a responsibility which Apex respects and protects for former customers as well as current customers.
- Margin Disclosure Statement: FINRA Rule 2264 - The Information furnished provides basic facts about purchasing securities on margin and alerts customers of certain risks involved in trading securities in a margin account.
- Day-Trading Risk Disclosure Statement: FINRA Rule 2270 - Information to be considered before engaging in a day-trading strategy.
- Business Continuity Plan: FINRA Rule 4370 - A further summary of Apex's Disaster Recovery Plan to reasonable ensure business continuity.
- SEC Rule 606 and 607 (Payment for Order Flow and Order Routing information) - (Rule 606) Requires Apex to make public a quarterly report with regard to routing of non-directed orders and (Rule 607) Requires Apex to disclose its payment for order flow practices.
- SEC Rule 10b-10 - Requires customers are provided with prior written notification of certain transactions that are not reported immediately through a trade confirmation.
- SIPC Information: FINRA Rule 2266 - The Securities Investor Protection Corporation ("SIPC") requires that funds are available to meet customer claims up to a ceiling of \$500,000, including a maximum of \$250,000 for cash claims. For more information about SIPC coverage or to receive a brochure, please visit the SIPC website at www.sipc.org or, call (202) 371-8300.
- Investor Education and Protection: FINRA Rule 2267 - Requires Apex to provide information about FINRA's BrokerCheck program. The investor brochure may be obtained from FINRA BrokerCheck hotline number (800) 289-9999 or the FINRA web site address www.FINRA.org.
- Joint NASD Industry Breakpoint Task Force - A further summary of a July 2003 report which recommends written disclosure regarding mutual fund breakpoints.
- Carrying Agreements: FINRA Rule 4311 - The firm with which you have opened your securities account has retained Apex to provide certain record keeping, clearance, and settlement functions. A further summary of details is disclosed.
- Extended Hours Trading Risk Disclosure: FINRA Rule 2265 - Risks to consider include lower liquidity, higher volatility, changing prices, unlinked markets, news announcements, wider spreads, and lack of calculation.
- Liens and Levies - Apex will abide by the directions of federal, state, or other levying authorities.
- Regulation E - Disclosure regarding certain electronic transfers is required under the provisions of this regulation as issued by the Board of Governors of the Federal Reserve System.
- Municipal Securities Rulemaking Board ("MSRB") Rule G-10 requires an annual notification that 1) Apex Clearing Corporation is registered with the U.S. Securities and Exchange Commission and the Municipal Securities Rulemaking Board, 2) the MSRB publishes an investor brochure that is published on their website that describes the protections that may be provided by the MSRB and how to file a complaint with the regulatory authorities and 3) a copy of the MSRB Investor Brochure as well as information regarding prospective, new and existing MSRB rules may be found on the MSRB website by going to the following link: <http://www.msrb.org/>,

IMPORTANT INFORMATION - Privacy Policy

Apex Clearing Corporation ("Apex") carries your account as a clearing broker by arrangement with your broker-dealer or registered investment advisor as Apex's introducing client. At Apex, we understand that privacy is an important issue for customers of our introducing firms. It is our policy to respect the privacy of all accounts that we maintain as clearing broker and to protect the security and confidentiality of non-public personal information relating to those accounts. Please note that this policy generally applies to former customers of Apex as well as current customers.

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► ANNOUNCEMENTS (CONTINUED)

Personal Information Collected

In order to service your account as a clearing broker, information is provided to Apex by your introducing firm who collects information from you in order to provide the financial services that you have requested. The information collected by your introducing firm and provided to Apex or otherwise obtained by Apex may come from the following sources and is not limited to:

- Information included in your applications or forms, such as your name, address, telephone number, social security number, occupation, and income;
- Information relating to your transactions, including account balances, positions, and activity;
- Information which may be received from consumer reporting agencies, such as credit bureau reports;
- Information relating to your creditworthiness;
- Information which may be received from other sources with your consent or with the consent of your introducing firm.

In addition to servicing your account, Apex may make use of your personal information for analysis purposes, for example, to draw conclusions, detect patterns or determine preferences.

Sharing of Nonpublic Personal Information

Apex does not disclose non-public personal information relating to current or former customers of introducing firms to any third parties, except as required or permitted by law, including but not limited to any obligations of Apex under the USA PATRIOT Act, and in order to facilitate the clearing of customer transactions in the ordinary course of business.

Apex has multiple affiliates and relationships with third party companies. Examples of these companies include financial and non-financial companies that perform services such as data processing and companies that perform securities executions on your behalf. We may share information among our affiliates and third parties, as permitted by law, in order to better service your financial needs and to pursue legitimate business interests, including to carry out, monitor and analyze our business, systems and operations.

Security

Apex strives to ensure that our systems are secure and that they meet industry standards. We seek to protect non- public personal information that is provided to Apex by your introducing firm or otherwise obtained by Apex by implementing physical and electronic safeguards. Where we believe appropriate, we employ firewalls, encryption technology, user authentication systems (i.e. passwords and personal identification numbers) and access control mechanisms to control access to systems and data. Apex endeavors to ensure that third party service providers who may have access to non-public personal information are following appropriate standards of security and confidentiality. Further, we instruct our employees to use strict standards of care in handling the personal financial information of customers. As a general policy, our staff will not discuss or disclose information regarding an account except; 1) with authorized personnel of your introducing firm, 2) as required by law or pursuant to regulatory request, or 3) as authorized by Apex to a third party or affiliate providing services to your account or pursuing Apex's legitimate business interests.

Access to Your Information

You may access your account information through a variety of media offered by your introducing firm and Apex (i.e. statements or online services). Please contact your introducing firm if you require any additional information.

IMPORTANT INFORMATION - Privacy Policy - CONTINUED

Apex may use "cookies" in order to provide better service, to facilitate its customers' use of the website, to track usage of the website, and to address security hazards. A cookie is a small piece of information that a website stores on a personal computer, and which it can later retrieve.

Changes to Apex's Privacy Policy

Apex reserves the right to make changes to this policy.

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► ANNOUNCEMENTS (CONTINUED)

How to Get in Touch with Apex about this Privacy Policy

For reference, this Privacy Policy is available on our website at www.apexclearing.com. For more information relating to Apex's Privacy Policy or to limit our sharing of your personal information, please contact:

Apex Clearing Corporation
Attn: Compliance Department 350 N. St. Paul St., Suite 1300
Dallas, Texas 75201
cs@apexclearing.com

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ACCOUNT NUMBER **SWT-39810-13 TUA**

RENE ZACHO

RENE ZACHO
TROJBORGVEJ 72C 4 4
8200 AARHUS N
DENMARK

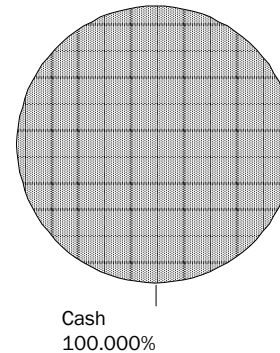
► ACCOUNT SUMMARY

	OPENING BALANCE	CLOSING BALANCE
Margin account	\$6,168.26	\$13,328.45
NET ACCOUNT BALANCE	6,168.26	13,328.45
TOTAL PRICED PORTFOLIO	0.00	0.00
Total Equity Holdings	\$6,168.26	\$13,328.45

► INCOME AND EXPENSE SUMMARY

	THIS PERIOD	YEAR TO DATE
Credit interest	\$0.06	\$0.59

► PORTFOLIO EQUITY ALLOCATION



Cash
100.000%

ACCOUNT CARRIED BY:
**APEX CLEARING
CORPORATION**
MEMBER FINRA, NYSE and SIPC

See Reverse Side for Important Tax Information. This statement shall be conclusive if not objected to in writing within ten days. Errors and omissions excepted. Please address all communications to the firm and not to individuals. Address changes or other material changes on your account should be directed to the office servicing your account. Kindly mention your account number. **This statement should be retained for income tax purposes.**

IMPORTANT INFORMATION

You may have received a confirmation for a trade, which does not appear on this statement. If the settlement date of the trade as shown on the confirmation is later than the period ending date that appears at the top of this statement the trade will appear on your next regular monthly statement.

If this is a margin account and we maintain a special miscellaneous account for you, this is a combined statement of your general account and special miscellaneous account maintained for you under Regulation T issued by the Board of Governors of the Federal Reserve System. The permanent record of the special miscellaneous account as required by Regulation T is available for your inspection at your request.

The per annum rate of interest charged on the debit balance in your account is shown on this statement. This rate may change from time to time in accordance with fluctuations in interest rates. Interest is computed from the 16th day of the preceding month to the 15th day of the current month except in December and January. In December, the charges include the last day of the year and, in January, the interest is calculated from the first day of the month. The interest is based on the average daily net debit balance in your account with us, and for the actual number of days based on an interest year of 360 days. When calculating margin interest, free credit balances in all accounts will be offset against any debit in the margin account and the interest will be charged on the net debit balance.

We are required to report to the Internal Revenue Service all cash dividends and registered bond interest credited to your account on securities held for you in our name. We also report coupon bond interest. All dividends and interest credits should be included in your income tax return.

Information relative to commission and any other charges incurred in connection with listed option transactions occurring during the month has previously been furnished to you in confirmation of such transactions. A summary of this information will be made available to you promptly upon request. Exercise assignment notices for option contracts are allocated among customer short positions pursuant to a manual procedure with randomly selects form among all customer short option positions including those contracts which are subject to exercise. All short American style option positions are liable for assignment at any time whereas European style options are assigned at expiration. A more detailed description of our random allocation procedure is available upon request.

You are to promptly advise your brokerage firm or bank of any material changes concerning your investment objectives or financial situation.

Our financial statement is available for your personal inspection at our office, or a copy of it will be mailed upon your written request.

SIPC Protection. As a member of the Securities Investor Protection Corporation (SIPC), funds are available to meet customer claims up to a ceiling of \$500,000, including a maximum of \$250,000 for cash claims. For additional information regarding SIPC coverage, including a brochure, please contact SIPC at (202) 371-8300 or visit www.sipc.org. Apex has purchased an additional insurance policy through a group of London Underwriters to supplement SIPC protection. This additional insurance policy becomes available to customers in the event that SIPC limits are exhausted and provides protection for securities and cash up to certain limits. Similar to SIPC protection, this additional insurance does not protect against a loss in the market value of securities.

Any free credit balance represents funds payable upon demand which, although properly accounted for on our books of records, is not segregated, and may be used in the conduct of this firm's business as permissible under the SEC Rule 15c3-2.

NOTICE TO CUSTOMERS

Apex is a member of the New York Stock Exchange and various other exchanges. Apex acts as clearing agent for your trades.

As required under SEC rules, both the Firm's Order Routing Report as well as information regarding specific order routing information is available free of charge upon request.

Your account, which was introduced to us by your broker or bank, is established under your name on a "fully disclosed" basis at Apex. As a clearing agent, we provide securities clearance and may provide order execution on you broker's or bank's instructions.

You will remain a customer of your broker or bank. Apex will not be involved with or have any responsibility for decisions regarding securities transactions in your account. Your broker or bank will be responsible for opening, approving and monitoring all activities in connection with your account. The entry of orders, and any instructions regarding the deposit or withdrawal of securities or monies should be made through your broker or bank.

In addition to the above mentioned services, Apex will provide cashiering services, safeguarding of funds and securities while in Apex's possession, monitoring compliance with applicable credit Regulation T and Apex's internal policies, preparing and mailing your account records (including transaction confirmations and periodic statements of your account).

Interest charges to your account will be based on the size and net debit balance during the interest period. These rates are subject to revision without notice in accordance with any changes in the broker call loan rate, as published in the Wall Street Journal. For more complete information regarding interest charged to customers, consult the Truth in Lending Notice which is made available through your broker or bank.

Apex is a member of the Financial Industry Regulatory Authority, Inc. ("FINRA") and we are required to inform you of the availability of the FINRA Investor Brochure, which contains information on FINRA BrokerCheck. You may contact FINRA at 800-289-9999 or at their website at www.finra.org. Apex carries your account and acts as your custodian for funds and securities deposited with us directly by you, through your brokerage firm or bank or as a result of transactions we process for your account. Any suspected inaccuracy or discrepancy in your account statement must be promptly reported to both your brokerage firm or bank (not to your individual broker or agent) and Apex. In order to protect your rights, including your right to SIPC coverage, please confirm any oral communication in writing and include your brokerage account number. General inquiries or concerns regarding your account should be directed to your brokerage firm or bank. Account positions and balance inquiries or concerns should be directed to Apex by telephone at 214-765-1009.

ACCOUNT SUMMARY:

Displays applicable account type balance, money fund balances, priced portfolio value, and total account equity as of the opening and closing of the statement period. Priced Portfolio Value and Total Portfolio Equity are rounded to the nearest dollar. Total Priced Portfolio and Expense does not include unpriced securities.

INCOME AND EXPENSE SUMMARY:

Lists all income earned during the current statement period, as well as year to date. Section includes taxable and non-taxable dividends and interest, capital gains and MLP (Master Limited Partnership) distributions. This section also displays and Margin Interest Expenses.

PORTFOLIO EQUITY ALLOCATION:

The Pie Chart is an estimate for illustrative purposes only.

PORTFOLIO SUMMARY:

Lists all securities held in your account.

MARKET VALUE:

This amount represents the value of the security position in your portfolio based on appraisals obtained from the various quotation services. These appraisals are based on the closing prices, bond yields and/or the mean bid and ask on the last day of the statement period. Because of the nature of the data provided by the quotation services, we cannot guarantee the accuracy of such prices or the valuation dates particularly in the case of inactive or infrequently traded securities.

Some securities in your portfolio may be listed as "Unpriced" on your statement. We use an automated pricing service from an outside vendor and certain prices may not be available to them. You can obtain a current quotation, upon request, from your broker or bank.

Bond prices might differ from current market quotes. Similarly, bond ratings may differ from current actual ratings. Computerized pricing and rating services are often unable to supply us with up to the minute information. Your broker or bank will be pleased to obtain a current quotation upon request.

ESTIMATED ANNUAL INCOME

The current annual dividend or bond interest rate for each security held, if available from quotation services. The rate is multiplied by the number of shares or par value of bonds to determine estimated annual income.

OPEN ORDERS:

Displays all GTC (Good-Till-Cancelled) orders in your account. Also included in the section are GTX orders (GTC orders eligible for extended trading hours).

MONEY MARKET ACTIVITY:

Purchases, reinvestments and liquidations of money market funds, plus redemptions of money market fund checks.

DEFINITION OF ACCOUNT TYPES C=Cash, M=Margin, I=Income, L=Legal, S=Short, X=RVP/DVP, and O=Other

REALIZED GAIN/LOSS DETAIL AND PORTFOLIO SUMMARY SECTIONS:

Displays mutual funds by average cost and other securities by individual tax lot. Realized gains (losses) are reflected on a trade date basis for transactions settling during the current period or the period in which the shares were received, if later. Realized gains and losses may include transactions that settle during the following statement cycle. These transactions appear in the Portfolio Holdings section. Estimated unrealized gains (losses) are displayed for most securities currently held. The cost basis used in determining gains (losses) does not reflect wash sales and may not reflect all capital adjustments. Most exchanges reflected on this statement are treated as non-taxable, unless or until other information has been communicated to us. Cost basis of preferred securities with original issue discount ("OID") is not adjusted for the accretion of OID. For most long positions transferred between beneficial owners, the transferor's cost basis will be retained. For shares acquired from a decedent, you should consult your tax advisor to determine the appropriate valuations and holding period that applies. ALTHOUGH THE COST BASIS SHOWN MAY HAVE BEEN ADJUSTED, YOUR COST BASIS MAY REQUIRE ADDITIONAL ADJUSTMENTS. NOTE: WE DO NOT REPRESENT THE CALCULATIONS OF REALIZED AND UNREALIZED GAINS (LOSSES) AS AN OFFICIAL TAX ACCOUNTING OF SUCH FIGURES. FOR TAX PURPOSES, YOU SHOULD RELY ON YOUR OWN RECORDS AND THE CONSOLIDATED FORM 1099 SENT TO YOU.

Order Routing:

The SEC requires all broker-dealers that route orders in equity securities and options to make available quarterly reports that present a general overview of their routing practices. The reports must identify the significant venues to which customer orders were routed for execution during the applicable quarter and disclose the material aspects of the broker-dealer's relationship with such venues. In addition, the Rule (SEC 606) requires broker-dealers to disclose, on customer request, the venues to which the individual customer's orders were routed for the six months prior to the request, and the execution time for the orders that were executed. For further information, please contact your broker or financial advisor.

PLEASE RETAIN THIS STATEMENT AS IT WILL BE HELPFUL IN PREPARING YOUR INCOME TAX RETURNS AND MAY BE NEEDED ALONG WITH SUBSEQUENT STATEMENTS TO VERIFY INTEREST CHARGES IN YOUR ACCOUNT. THIS STATEMENT SHALL BE DEEMED CONCLUSIVE UNLESS OBJECTED TO IN WRITING WITHIN 10 BUSINESS DAYS OF THE STATEMENT CLOSING DATE.

MUTUAL FUNDS AND OTHER SECURITIES ARE NOT INSURED BY THE FDIC, ARE NOT DEPOSITS OR OBLIGATIONS OF, OR GUARANTEED BY APEX, AND INVOLVE INVESTMENT RISKS, INCLUDING THE POSSIBLE LOSS OF THE PRINCIPAL AMOUNT INVESTED.

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ACCOUNT NUMBER **5WT-39810-13 TUA**

RENE ZACHO

tastyworks.

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▶ ACCOUNT ACTIVITY

TRANSACTION	DATE	ACCOUNT TYPE	DESCRIPTION	QUANTITY	PRICE	DEBIT	CREDIT
BUY / SELL TRANSACTIONS							
SOLD	06/16/21	M	CALL VIXW 06/23/21 30 CBOE VOLATILITY INDEX UNSOLICITED OPEN CONTRACT Security Number: 9BLTSC8	1	\$0.15		\$13.22
BOUGHT	06/23/21	M	PUT VIXW 06/23/21 21 CBOE VOLATILITY INDEX UNSOLICITED OPEN CONTRACT Security Number: 8BLTRH0	1	3.85	386.78	
BOUGHT	06/23/21	M	PUT VIXW 06/23/21 25 CBOE VOLATILITY INDEX UNSOLICITED OPEN CONTRACT Security Number: 8BLTRJ4	1	8.10	811.78	
BOUGHT	06/23/21	M	PUT VIXW 06/23/21 26 CBOE VOLATILITY INDEX UNSOLICITED OPEN CONTRACT Security Number: 8BLTRK2	1	8.70	871.78	
BOUGHT	06/23/21	M	PUT VIXW 06/23/21 26 CBOE VOLATILITY INDEX UNSOLICITED OPEN CONTRACT Security Number: 8BLTRK2	1	8.80	881.78	
BOUGHT	06/23/21	M	PUT VIXW 06/23/21 26 CBOE VOLATILITY INDEX UNSOLICITED OPEN CONTRACT Security Number: 8BLTRK2	2	8.80	1,763.57	

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ACCOUNT NUMBER **5WT-39810-13 TUA****RENE ZACHO****tastyworks.**

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▶ ACCOUNT ACTIVITY (CONTINUED)

TRANSACTION	DATE	ACCOUNT TYPE	DESCRIPTION	QUANTITY	PRICE	DEBIT	CREDIT
BUY / SELL TRANSACTIONS (continued)							
BOUGHT	06/23/21	M	PUT VIXW 06/23/21 27 CBOE VOLATILITY INDEX UNSOLICITED OPEN CONTRACT Security Number: 8BLTRW1	1	10.05	1,006.78	
BOUGHT	06/23/21	M	PUT VIXW 06/23/21 28 CBOE VOLATILITY INDEX UNSOLICITED OPEN CONTRACT Security Number: 8BLTRW9	1	10.80	1,081.78	
BOUGHT	06/23/21	M	PUT VIXW 06/23/21 28 CBOE VOLATILITY INDEX UNSOLICITED OPEN CONTRACT Security Number: 8BLTRW9	1	10.75	1,076.78	
BOUGHT	06/23/21	M	PUT VIXW 06/23/21 30 CBOE VOLATILITY INDEX UNSOLICITED OPEN CONTRACT Security Number: 8BLTSD4	1	12.80	1,281.78	
BOUGHT	06/23/21	M	CALL VIX 07/21/21 40 CBOE VOLATILITY INDEX UNSOLICITED OPEN CONTRACT Security Number: 8BQMWW2	1	0.57	58.78	
BOUGHT	06/23/21	M	CALL VIXW 06/30/21 26 CBOE VOLATILITY INDEX UNSOLICITED OPEN CONTRACT Security Number: 8CKMTZ6	4	0.40	167.14	

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1000 W. FULTON MARKET, CHICAGO, IL 60607 | 312.724.7075

► ACCOUNT ACTIVITY (CONTINUED)

TRANSACTION	DATE	ACCOUNT TYPE	DESCRIPTION	QUANTITY	PRICE	DEBIT	CREDIT
BUY / SELL TRANSACTIONS (continued)							
BOUGHT	06/23/21	M	CALL VIXW 06/30/21 27 CBOE VOLATILITY INDEX UNSOLICITED OPEN CONTRACT Security Number: 8CKMTZ8	1	0.35	36.78	
BOUGHT	06/23/21	M	CALL VIXW 06/30/21 37.50 CBOE VOLATILITY INDEX UNSOLICITED OPEN CONTRACT Security Number: 8CKMVC0	1	0.10	11.78	
BOUGHT	06/23/21	M	PUT VIXW 06/30/21 40 CBOE VOLATILITY INDEX UNSOLICITED OPEN CONTRACT Security Number: 8CKMVC3	1	21.50	2,151.78	
BOUGHT	06/23/21	M	CALL VIXW 07/07/21 35 CBOE VOLATILITY INDEX UNSOLICITED OPEN CONTRACT Security Number: 8CKPMV3	1	0.30	31.78	
SOLD	06/23/21	M	PUT VIXW 06/23/21 26 CBOE VOLATILITY INDEX UNSOLICITED CLOSING CONTRACT Security Number: 8BLTRK2	1	8.70		869.22
SOLD	06/23/21	M	PUT VIXW 06/23/21 18 CBOE VOLATILITY INDEX UNSOLICITED OPEN CONTRACT Security Number: 9BLTRG0	1	1.03		101.22

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ACCOUNT NUMBER **5WT-39810-13 TUA**

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► ACCOUNT ACTIVITY (CONTINUED)

TRANSACTION	DATE	ACCOUNT TYPE	DESCRIPTION	QUANTITY	PRICE	DEBIT	CREDIT
BUY / SELL TRANSACTIONS (continued)							
SOLD	06/23/21	M	PUT VIXW 06/23/21 19 CBOE VOLATILITY INDEX UNSOLICITED OPEN CONTRACT Security Number: 9BLTRG3	1	1.80		178.22
SOLD	06/23/21	M	PUT VIXW 06/23/21 20 CBOE VOLATILITY INDEX UNSOLICITED OPEN CONTRACT Security Number: 9BLTRG6	1	2.70		268.22
SOLD	06/23/21	M	PUT VIXW 06/23/21 20 CBOE VOLATILITY INDEX UNSOLICITED OPEN CONTRACT Security Number: 9BLTRG6	1	2.65		263.22
SOLD	06/23/21	M	PUT VIXW 06/23/21 20 CBOE VOLATILITY INDEX UNSOLICITED OPEN CONTRACT Security Number: 9BLTRG6	2	2.70		536.43
SOLD	06/23/21	M	PUT VIXW 06/23/21 22 CBOE VOLATILITY INDEX UNSOLICITED OPEN CONTRACT Security Number: 9BLTRH4	1	5		498.22
SOLD	06/23/21	M	PUT VIXW 06/23/21 23 CBOE VOLATILITY INDEX UNSOLICITED OPEN CONTRACT Security Number: 9BLTRH6	1	5.70		568.22

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ACCOUNT NUMBER **5WT-39810-13 TUA****RENE ZACHO****tastyworks.**

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▶ ACCOUNT ACTIVITY (CONTINUED)

TRANSACTION	DATE	ACCOUNT TYPE	DESCRIPTION	QUANTITY	PRICE	DEBIT	CREDIT
BUY / SELL TRANSACTIONS (continued)							
SOLD	06/23/21	M	PUT VIXW 06/23/21 24 CBOE VOLATILITY INDEX UNSOLICITED OPEN CONTRACT Security Number: 9BLTRH9	1	6.70		668.22
SOLD	06/23/21	M	CALL VIX 07/21/21 30 CBOE VOLATILITY INDEX UNSOLICITED OPEN CONTRACT Security Number: 9BQMWX3	1	1.02		100.22
SOLD	06/23/21	M	CALL VIXW 06/30/21 21 CBOE VOLATILITY INDEX UNSOLICITED OPEN CONTRACT Security Number: 9CKMTY6	4	0.80		312.86
SOLD	06/23/21	M	CALL VIXW 06/30/21 22 CBOE VOLATILITY INDEX UNSOLICITED OPEN CONTRACT Security Number: 9CKMTY8	1	0.70		68.22
SOLD	06/23/21	M	CALL VIXW 06/30/21 29 CBOE VOLATILITY INDEX UNSOLICITED OPEN CONTRACT Security Number: 9CKMVB2	1	0.20		18.22
SOLD	06/23/21	M	PUT VIXW 06/30/21 30 CBOE VOLATILITY INDEX UNSOLICITED OPEN CONTRACT Security Number: 9CKMVB5	1	11.50		1,148.22

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ACCOUNT NUMBER **5WT-39810-13 TUA**

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► ACCOUNT ACTIVITY (CONTINUED)

TRANSACTION	DATE	ACCOUNT TYPE	DESCRIPTION	QUANTITY	PRICE	DEBIT	CREDIT
BUY / SELL TRANSACTIONS (continued)							
SOLD	06/23/21	M	CALL VIXW 07/07/21 29 CBOE VOLATILITY INDEX UNSOLICITED OPEN CONTRACT Security Number: 9CKPMT7	1	0.45		43.22
BOUGHT	06/24/21	M	PUT VIX 08/18/21 17 CBOE VOLATILITY INDEX UNSOLICITED OPEN CONTRACT Security Number: 8BLHPX8	6	1.10	670.69	
BOUGHT	06/24/21	M	CALL VIX 07/21/21 15 CBOE VOLATILITY INDEX UNSOLICITED OPEN CONTRACT Security Number: 8BQMWS7	1	3.90	391.78	
BOUGHT	06/24/21	M	PUT VIX 07/21/21 15 CBOE VOLATILITY INDEX UNSOLICITED OPEN CONTRACT Security Number: 8BQMWS8	20	0.30	635.69	
BOUGHT	06/24/21	M	CALL VIX 07/21/21 19 CBOE VOLATILITY INDEX UNSOLICITED OPEN CONTRACT Security Number: 8BQMWT6	1	2.05	206.78	
BOUGHT	06/24/21	M	PUT VIXW 06/23/21 18 CBOE VOLATILITY INDEX CLOSING CONTRACT A/E 9BLTRGO 1 ASSIGNED Security Number: 9BLTRGO	1	1.70	175.00	

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ACCOUNT NUMBER **5WT-39810-13 TUA****RENE ZACHO****tastyworks.**

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▶ ACCOUNT ACTIVITY (CONTINUED)

TRANSACTION	DATE	ACCOUNT TYPE	DESCRIPTION	QUANTITY	PRICE	DEBIT	CREDIT
BUY / SELL TRANSACTIONS (continued)							
BOUGHT	06/24/21	M	PUT VIXW 06/23/21 19 CBOE VOLATILITY INDEX CLOSING CONTRACT A/E 9BLTRG3 1 ASSIGNED Security Number: 9BLTRG3	1	2.70	275.00	
BOUGHT	06/24/21	M	PUT VIXW 06/23/21 20 CBOE VOLATILITY INDEX CLOSING CONTRACT A/E 9BLTRG6 4 ASSIGNED Security Number: 9BLTRG6	4	3.70	1,485.00	
BOUGHT	06/24/21	M	PUT VIXW 06/23/21 22 CBOE VOLATILITY INDEX CLOSING CONTRACT A/E 9BLTRH4 1 ASSIGNED Security Number: 9BLTRH4	1	5.70	575.00	
BOUGHT	06/24/21	M	PUT VIXW 06/23/21 23 CBOE VOLATILITY INDEX CLOSING CONTRACT A/E 9BLTRH6 1 ASSIGNED Security Number: 9BLTRH6	1	6.70	675.00	
BOUGHT	06/24/21	M	PUT VIXW 06/23/21 24 CBOE VOLATILITY INDEX CLOSING CONTRACT A/E 9BLTRH9 1 ASSIGNED Security Number: 9BLTRH9	1	7.70	775.00	
BOUGHT	06/24/21	M	CALL VIX 07/21/21 30 CBOE VOLATILITY INDEX UNSOLICITED CLOSING CONTRACT Security Number: 9BQMWX3	1	0.75	75.78	

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▶ ACCOUNT ACTIVITY (CONTINUED)

TRANSACTION	DATE	ACCOUNT TYPE	DESCRIPTION	QUANTITY	PRICE	DEBIT	CREDIT
BUY / SELL TRANSACTIONS (continued)							
BOUGHT	06/24/21	M	CALL VIXW 06/30/21 21 CBOE VOLATILITY INDEX UNSOLICITED CLOSING CONTRACT Security Number: 9CKMTY6	2	0.50	101.57	
BOUGHT	06/24/21	M	CALL VIXW 06/30/21 21 CBOE VOLATILITY INDEX UNSOLICITED CLOSING CONTRACT Security Number: 9CKMTY6	2	0.50	101.57	
BOUGHT	06/24/21	M	CALL VIXW 06/30/21 22 CBOE VOLATILITY INDEX UNSOLICITED CLOSING CONTRACT Security Number: 9CKMTY8	1	0.40	40.78	
BOUGHT	06/24/21	M	CALL VIXW 06/30/21 29 CBOE VOLATILITY INDEX UNSOLICITED CLOSING CONTRACT Security Number: 9CKMVB2	1	0.15	15.78	
BOUGHT	06/24/21	M	PUT VIXW 06/30/21 30 CBOE VOLATILITY INDEX UNSOLICITED CLOSING CONTRACT Security Number: 9CKMVB5	1	12.10	1,210.78	
BOUGHT	06/24/21	M	CALL VIXW 07/07/21 29 CBOE VOLATILITY INDEX UNSOLICITED CLOSING CONTRACT Security Number: 9CKPMT7	1	0.35	35.78	

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▶ ACCOUNT ACTIVITY (CONTINUED)

TRANSACTION	DATE	ACCOUNT TYPE	DESCRIPTION	QUANTITY	PRICE	DEBIT	CREDIT
BUY / SELL TRANSACTIONS (continued)							
SOLD	06/24/21	M	PUT VIXW 06/23/21 21 CBOE VOLATILITY INDEX CLOSING CONTRACT A/E 8BLTRH0 1 EXERCISED Security Number: 8BLTRH0	1	4.70		465.00
SOLD	06/24/21	M	PUT VIXW 06/23/21 25 CBOE VOLATILITY INDEX CLOSING CONTRACT A/E 8BLTRJ4 1 EXERCISED Security Number: 8BLTRJ4	1	8.70		865.00
SOLD	06/24/21	M	PUT VIXW 06/23/21 26 CBOE VOLATILITY INDEX CLOSING CONTRACT A/E 8BLTRK2 3 EXERCISED Security Number: 8BLTRK2	3	9.70		2,905.00
SOLD	06/24/21	M	PUT VIXW 06/23/21 27 CBOE VOLATILITY INDEX CLOSING CONTRACT A/E 8BLTRW1 1 EXERCISED Security Number: 8BLTRW1	1	10.70		1,065.00
SOLD	06/24/21	M	PUT VIXW 06/23/21 28 CBOE VOLATILITY INDEX CLOSING CONTRACT A/E 8BLTRW9 2 EXERCISED Security Number: 8BLTRW9	2	11.70		2,335.00
SOLD	06/24/21	M	PUT VIXW 06/23/21 30 CBOE VOLATILITY INDEX CLOSING CONTRACT A/E 8BLTSD4 1 EXERCISED Security Number: 8BLTSD4	1	13.70		1,365.00

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▶ ACCOUNT ACTIVITY (CONTINUED)

TRANSACTION	DATE	ACCOUNT TYPE	DESCRIPTION	QUANTITY	PRICE	DEBIT	CREDIT
BUY / SELL TRANSACTIONS (continued)							
SOLD	06/24/21	M	CALL VIX 07/21/21 15 CBOE VOLATILITY INDEX UNSOLICITED CLOSING CONTRACT Security Number: 8BQMWS7	1	3.68		367.22
SOLD	06/24/21	M	CALL VIX 07/21/21 40 CBOE VOLATILITY INDEX UNSOLICITED CLOSING CONTRACT Security Number: 8BQMWS7	1	0.36		35.22
SOLD	06/24/21	M	CALL VIXW 06/30/21 26 CBOE VOLATILITY INDEX UNSOLICITED CLOSING CONTRACT Security Number: 8CKMTZ6	2	0.15		28.43
SOLD	06/24/21	M	CALL VIXW 06/30/21 26 CBOE VOLATILITY INDEX UNSOLICITED CLOSING CONTRACT Security Number: 8CKMTZ6	2	0.15		28.43
SOLD	06/24/21	M	CALL VIXW 06/30/21 27 CBOE VOLATILITY INDEX UNSOLICITED CLOSING CONTRACT Security Number: 8CKMTZ8	1	0.15		14.22
SOLD	06/24/21	M	CALL VIXW 06/30/21 37.50 CBOE VOLATILITY INDEX UNSOLICITED CLOSING CONTRACT Security Number: 8CKMVC0	1	0.05		4.22

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► ACCOUNT ACTIVITY (CONTINUED)

TRANSACTION	DATE	ACCOUNT TYPE	DESCRIPTION	QUANTITY	PRICE	DEBIT	CREDIT
BUY / SELL TRANSACTIONS (continued)							
SOLD	06/24/21	M	PUT VIXW 06/30/21 40 CBOE VOLATILITY INDEX UNSOLICITED CLOSING CONTRACT Security Number: 8CKMVC3	1	21.90		2,189.22
SOLD	06/24/21	M	CALL VIXW 07/07/21 35 CBOE VOLATILITY INDEX UNSOLICITED CLOSING CONTRACT Security Number: 8CKPMV3	1	0.16		15.22
BOUGHT	06/25/21	M	PUT VIX 08/18/21 15 CBOE VOLATILITY INDEX UNSOLICITED OPEN CONTRACT Security Number: 8BLHPX4	20	0.35	735.69	
BOUGHT	06/25/21	M	PUT VIX 08/18/21 17 CBOE VOLATILITY INDEX UNSOLICITED OPEN CONTRACT Security Number: 8BLHPX8	4	1.14	463.13	
SOLD	06/25/21	M	PUT VIX 07/21/21 15 CBOE VOLATILITY INDEX UNSOLICITED CLOSING CONTRACT Security Number: 8BQMWS8	10	0.33		322.16
SOLD	06/25/21	M	CALL VIX 07/21/21 19 CBOE VOLATILITY INDEX UNSOLICITED CLOSING CONTRACT Security Number: 8BQMWT6	1	1.65		164.22

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► ACCOUNT ACTIVITY (CONTINUED)

TRANSACTION	DATE	ACCOUNT TYPE	DESCRIPTION	QUANTITY	PRICE	DEBIT	CREDIT
BUY / SELL TRANSACTIONS (continued)							
BOUGHT	06/29/21	M	PUT VIX 09/15/21 17 CBOE VOLATILITY INDEX UNSOLICITED OPEN CONTRACT Security Number: 8BLHVR7	5	1.20	608.90	
BOUGHT	06/29/21	M	PUT VXX 08/20/21 28 IPATH SRS B S&P 500 VIX SHRT UNSOLICITED OPEN CONTRACT Security Number: 8NKCZG4	1	2.98	299.13	
SOLD	06/29/21	M	PUT VIX 08/18/21 17 CBOE VOLATILITY INDEX UNSOLICITED CLOSING CONTRACT Security Number: 8BLHPX8	5	1.20		596.09
SOLD	06/29/21	M	PUT VIX 08/18/21 17 CBOE VOLATILITY INDEX UNSOLICITED CLOSING CONTRACT Security Number: 8BLHPX8	5	1.20		596.08
SOLD	06/29/21	M	PUT VIX 07/21/21 15 CBOE VOLATILITY INDEX UNSOLICITED CLOSING CONTRACT Security Number: 8BQMWS8	10	0.30		292.17
SOLD	06/30/21	M	PUT VIX 08/18/21 15 CBOE VOLATILITY INDEX UNSOLICITED CLOSING CONTRACT Security Number: 8BLHPX4	1	0.35		34.22

▶ ACCOUNT ACTIVITY (CONTINUED)

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► ACCOUNT ACTIVITY (CONTINUED)

TRANSACTION	DATE	ACCOUNT TYPE	DESCRIPTION	QUANTITY	PRICE	DEBIT	CREDIT
BUY / SELL TRANSACTIONS (continued)							
SOLD	06/30/21	M	PUT VIX 08/18/21 15 CBOE VOLATILITY INDEX UNSOLICITED CLOSING CONTRACT Security Number: 8BLHPX4	1	0.35		34.22
SOLD	06/30/21	M	PUT VIX 08/18/21 15 CBOE VOLATILITY INDEX UNSOLICITED CLOSING CONTRACT Security Number: 8BLHPX4	1	0.35		34.22
SOLD	06/30/21	M	PUT VIX 08/18/21 15 CBOE VOLATILITY INDEX UNSOLICITED CLOSING CONTRACT Security Number: 8BLHPX4	1	0.35		34.22
SOLD	06/30/21	M	PUT VIX 08/18/21 15 CBOE VOLATILITY INDEX UNSOLICITED CLOSING CONTRACT Security Number: 8BLHPX4	1	0.35		34.22
SOLD	06/30/21	M	PUT VIX 08/18/21 15 CBOE VOLATILITY INDEX UNSOLICITED CLOSING CONTRACT Security Number: 8BLHPX4	1	0.35		34.22
SOLD	06/30/21	M	PUT VIX 08/18/21 15 CBOE VOLATILITY INDEX UNSOLICITED CLOSING CONTRACT Security Number: 8BLHPX4	2	0.35		68.43

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► ACCOUNT ACTIVITY (CONTINUED)

TRANSACTION	DATE	ACCOUNT TYPE	DESCRIPTION	QUANTITY	PRICE	DEBIT	CREDIT
BUY / SELL TRANSACTIONS (continued)							
SOLD	06/30/21	M	PUT VIX 08/18/21 15 CBOE VOLATILITY INDEX UNSOLICITED CLOSING CONTRACT Security Number: 8BLHPX4	2	0.35		68.43
SOLD	06/30/21	M	PUT VIX 08/18/21 15 CBOE VOLATILITY INDEX UNSOLICITED CLOSING CONTRACT Security Number: 8BLHPX4	2	0.35		68.44
SOLD	06/30/21	M	PUT VIX 08/18/21 15 CBOE VOLATILITY INDEX UNSOLICITED CLOSING CONTRACT Security Number: 8BLHPX4	2	0.34		66.44
SOLD	06/30/21	M	PUT VIX 09/15/21 17 CBOE VOLATILITY INDEX UNSOLICITED CLOSING CONTRACT Security Number: 8BLHVR7	5	1.20		596.08
SOLD	06/30/21	M	PUT VXX 08/20/21 28 IPATH SRS B S&P 500 VIX SHRT UNSOLICITED CLOSING CONTRACT Security Number: 8NKCZG4	1	3		299.85
Total Buy / Sell Transactions						\$21,174.68	\$20,886.58

ACCOUNTS STATEMENT

ACCOUNT NUMBER **5WT-39810-13 TUA**

▶ ACCOUNT ACTIVITY (CONTINUED)

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A C C O U N T S T A T E M E N T

ACCOUNT NUMBER **5WT-39810-13** TUA

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▶ ACCOUNT ACTIVITY (CONTINUED)

Total Miscellaneous Transactions	\$9,648.72	\$17,096.95
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► EXECUTED TRADES PENDING SETTLEMENT - THESE TRANSACTIONS MAY NOT BE REFLECTED IN OTHER SUMMARIES

Security Number: 8NKCZG6

\$356.13

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► ANNOUNCEMENTS

IMPORTANT INFORMATION

Statement of Financial Condition

A copy of Apex Clearing Corporation's Audited Statement of Financial Condition as of December 31, 2020 is available on the website at www.apexclearing.com/disclosures/. A copy may also be obtained at no cost by calling Apex Clearing Corporation. As of December 31, 2020, Apex Clearing Corporation had a net capital of \$221,754,625 and was \$190,963,611 in excess of its required net capital of \$30,791,014. As of January 31, 2021, Apex Clearing Corporation had a net capital of \$316,877,867 and was \$269,611,762 in excess of its required net capital of \$47,266,105.

Apex's Policy for Dividends and interest

Apex's policy is to pay all dividends and interest in US Dollars. Apex will allow the following countries to be paid in their foreign currency (Canadian Dollars, British Pounds, Euros, Argentine Peso, Chinese Renminbi, Korean Won, Philippine Peso and Brazilian Real).

Participation in Fully Paid Lending Program

Customers participating in the Fully-Paid Securities Lending Program should be aware that shares on loan are not covered by FDIC or SIPC. Cash securities collateralizing shares are held at JP Morgan Chase & Co. and not subject to FDIC or SIPC protections. Please consult the Master Securities Lending Agreement for additional information.

Information Regarding Cost Basis for Foreign Account Statements

Foreign Currency: Cost basis is required to be reported in U.S. dollars for tax purposes. It is the responsibility of the account holder to convert sales proceeds paid in foreign currency to U.S. dollars to avoid inaccurate cost basis calculations. When reporting the purchase or sale, you must determine the U.S. dollar amounts to be reported as of the settlement date, at the spot rate or by following a reasonable spot rate convention. See Regulations section 1.6045-1(d)(8).

Payment of Interest to holders of Municipal Securities - you may be subject to a substitute interest payment if the transfer of ownership of your municipal security has not been completed prior to the next interest payment. Please contact a tax professional for more specific details.

IMPORTANT INFORMATION

To our valued customers:

FINRA Rule 2231 requires that we advise you to promptly report any inaccuracy or discrepancy in your account (within 10 days after available) to your brokerage firm and clearing firm (where these are different firms) and to re-confirm any oral communications in writing.

<https://www.finra.org/rules-guidance/notices/06-72>

"IMPORTANT - Part of your distribution includes a return of capital. Any distribution that represents a return of capital reduces the estimated per share value shown on your account statement."

The preceding notice is required when reporting distributions on Direct Participation Programs and/or REITs and is subject to the DPP or REIT sponsor's final capital return determination as detailed in the IRS Form 1099 or K-1, as applicable.

Alternative or Other Investments, DPP, and Unlisted securities are not listed on a national securities exchange, are generally illiquid and that, even if a customer is able to sell the securities, the price received may be less than the per share estimated value provided in the account. The evaluation method used for any particular DPP or REIT will be provided to clients upon request.

Certain positions are not held on Apex's books or custodied by Apex and are not Protected by SIPC.

Pursuant to SEC Rule 606, Apex Clearing Corporation is required to make publicly available a quarterly report with regard to its routing of non-directed orders. For the purpose of this Rule, we

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► ANNOUNCEMENTS (CONTINUED)

have entered into an agreement with Quantum5 Market Surveillance (a Division of S3 Matching Technologies) to disclose all required information pertaining to this rule. This information can be accessed on the internet at: <http://public.s3.com/rule606/apex/>, or a written copy will be furnished at no cost upon request via telephone to (214) 765-1009.

SEC Rule 606 (b) requires a broker-dealer to disclose to its customers, upon request, "the identity of the venue to which the customer's orders were routed for execution in the six months prior to the request, whether the orders were directed orders or non-directed orders, and the time of the transactions, if any, that resulted from such orders."

In accordance with the Emergency Economic Stabilization Act of 2008 broker-dealers are required to track and report cost basis to the IRS in three phases over the next three years.

- Equity securities acquired on or after January 1, 2011
- Mutual fund and dividend reinvestment plan (DRIP) shares acquired on or after January 1, 2012:
- Debit securities, options, and all other financial instruments acquired on or after January 1, 2014. (The IRS has extended this date from the previously announced date of January 1, 2013.)

Beginning this upcoming tax reporting season the cost basis of any covered equity security transaction (purchased after 12/31/10) that is required to be reported on a 1099-B will include its associated cost basis. If you have any questions about this important change to the IRS mandated reporting requirements, please contact your broker-dealer or registered advisor.

IMPORTANT INFORMATION CONTINUED

Please take note of the following description of Apex Clearing Corporation's excess SIPC coverage, which reflects certain changes made to the coverage effective August 8, 2013. The Securities Investor Protection Corporation ("SIPC") protects certain customer funds up to a ceiling of \$500,000, including a maximum of \$250,000 for cash claims. **Please note SIPC does not cover commodity contracts and options on futures.** For additional information regarding SIPC coverage, including a brochure, please contact SIPC at (202) 371-8300 or visit www.sipc.org.

Apex has purchased an additional insurance policy to supplement SIPC protection. This additional insurance policy, widely known as "excess SIPC," becomes available to customers in the event that SIPC limits are exhausted. This additional insurance provides protection for securities and cash up to an aggregate limit of \$150 million, subject to sub-limits for any one customer of \$37.5 million for securities and \$900,000 for cash. Similar to SIPC protection, this additional insurance does not protect against a loss in the market value of securities. For additional information, please contact your broker.

FDIC SWEEP PROGRAM

For customers with balances in a bank deposit account as part of the FDIC Sweep Program or shares of a money market mutual fund in which you have a beneficial interest, those balances or shares may be liquidated on your order and the proceeds returned to your account or remitted to you in accordance with the applicable prospectus and/or Terms and Conditions of the program.

For customers participating in the FDIC Sweep Program, the FDIC Sweep Program allows your cash balance to be eligible for insurance protection through the FDIC up to the maximum applicable insurance limits. Customers may obtain information about FDIC, by contacting the FDIC at 1-877-275-3342, 1-800-925-4618 (TDD) or by visiting www.fdic.gov. Deposit Account balances in the FDIC Sweep Program are not protected by SIPC or any other excess coverage by Apex Clearing Corporation. Deposit Account balances are protected as established by current applicable laws regulated by the FDIC.

Customers may obtain information about SIPC, including the SIPC brochure, by contacting SIPC at 202-371-8300 or by visiting www.SIPC.org.

IMPORTANT INFORMATION

APEX CLEARING CORPORATION DISCLOSURE STATEMENT

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RENE ZACHO

► ANNOUNCEMENTS (CONTINUED)

Apex Clearing Corporation ("Apex") recognizes the importance of providing information on an ongoing basis to the customers whose accounts are cleared through Apex. Your broker/dealer has designated Apex as its clearing firm. In accordance with industry rules and regulations, Apex is required to disclose on an annual basis certain important regulatory notices and disclosures. To comply with these requirements, Apex has published an Annual Disclosure Statement which is available on the Apex corporate web site, www.apexclearing.com. For customers who do not have access to the internet please call Apex at 214-765-1009 and request a complete copy of the Annual Disclosure Statement be mailed to your address of record.

A brief summary of the content of the Annual Disclosure Statement is as follows:

- Anti-Money Laundering - Federal law requires all financial institutions to obtain, verify and record information that identifies each person who opens an account.
- Privacy Policy - The privacy of customers is a responsibility which Apex respects and protects for former customers as well as current customers.
- Margin Disclosure Statement: FINRA Rule 2264 - The Information furnished provides basic facts about purchasing securities on margin and alerts customers of certain risks involved in trading securities in a margin account.
- Day-Trading Risk Disclosure Statement: FINRA Rule 2270 - Information to be considered before engaging in a day-trading strategy.
- Business Continuity Plan: FINRA Rule 4370 - A further summary of Apex's Disaster Recovery Plan to reasonable ensure business continuity.
- SEC Rule 606 and 607 (Payment for Order Flow and Order Routing information) - (Rule 606) Requires Apex to make public a quarterly report with regard to routing of non-directed orders and (Rule 607) Requires Apex to disclose its payment for order flow practices.
- SEC Rule 10b-10 - Requires customers are provided with prior written notification of certain transactions that are not reported immediately through a trade confirmation.
- SIPC Information: FINRA Rule 2266 - The Securities Investor Protection Corporation ("SIPC") requires that funds are available to meet customer claims up to a ceiling of \$500,000, including a maximum of \$250,000 for cash claims. For more information about SIPC coverage or to receive a brochure, please visit the SIPC website at www.sipc.org or, call (202) 371-8300.
- Investor Education and Protection: FINRA Rule 2267 - Requires Apex to provide information about FINRA's BrokerCheck program. The investor brochure may be obtained from FINRA BrokerCheck hotline number (800) 289-9999 or the FINRA web site address www.FINRA.org.
- Joint NASD Industry Breakpoint Task Force - A further summary of a July 2003 report which recommends written disclosure regarding mutual fund breakpoints.
- Carrying Agreements: FINRA Rule 4311 - The firm with which you have opened your securities account has retained Apex to provide certain record keeping, clearance, and settlement functions. A further summary of details is disclosed.
- Extended Hours Trading Risk Disclosure: FINRA Rule 2265 - Risks to consider include lower liquidity, higher volatility, changing prices, unlinked markets, news announcements, wider spreads, and lack of calculation.
- Liens and Levies - Apex will abide by the directions of federal, state, or other levying authorities.
- Regulation E - Disclosure regarding certain electronic transfers is required under the provisions of this regulation as issued by the Board of Governors of the Federal Reserve System.
- Municipal Securities Rulemaking Board ("MSRB") Rule G-10 requires an annual notification that 1) Apex Clearing Corporation is registered with the U.S. Securities and Exchange Commission and the Municipal Securities Rulemaking Board, 2) the MSRB publishes an investor brochure that is published on their website that describes the protections that may be provided by the MSRB and how to file a complaint with the regulatory authorities and 3) a copy of the MSRB Investor Brochure as well as information regarding prospective, new and existing MSRB rules may be found on the MSRB website by going to the following link: <http://www.msrb.org/>,

IMPORTANT INFORMATION - Privacy Policy

Apex Clearing Corporation ("Apex") carries your account as a clearing broker by arrangement with your broker-dealer or registered investment advisor as Apex's introducing client. At Apex, we understand that privacy is an important issue for customers of our introducing firms. It is our policy to respect the privacy of all accounts that we maintain as clearing broker and to protect the security and confidentiality of non-public personal information relating to those accounts. Please note that this policy generally applies to former customers of Apex as well as current customers.

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ACCOUNT NUMBER **5WT-39810-13 TUA**

RENE ZACHO



1000 W. FULTON MARKET, CHICAGO, IL 60607 | 312.724.7075

► ANNOUNCEMENTS (CONTINUED)

Personal Information Collected

In order to service your account as a clearing broker, information is provided to Apex by your introducing firm who collects information from you in order to provide the financial services that you have requested. The information collected by your introducing firm and provided to Apex or otherwise obtained by Apex may come from the following sources and is not limited to:

- Information included in your applications or forms, such as your name, address, telephone number, social security number, occupation, and income;
- Information relating to your transactions, including account balances, positions, and activity;
- Information which may be received from consumer reporting agencies, such as credit bureau reports;
- Information relating to your creditworthiness;
- Information which may be received from other sources with your consent or with the consent of your introducing firm.

In addition to servicing your account, Apex may make use of your personal information for analysis purposes, for example, to draw conclusions, detect patterns or determine preferences.

Sharing of Nonpublic Personal Information

Apex does not disclose non-public personal information relating to current or former customers of introducing firms to any third parties, except as required or permitted by law, including but not limited to any obligations of Apex under the USA PATRIOT Act, and in order to facilitate the clearing of customer transactions in the ordinary course of business.

Apex has multiple affiliates and relationships with third party companies. Examples of these companies include financial and non-financial companies that perform services such as data processing and companies that perform securities executions on your behalf. We may share information among our affiliates and third parties, as permitted by law, in order to better service your financial needs and to pursue legitimate business interests, including to carry out, monitor and analyze our business, systems and operations.

Security

Apex strives to ensure that our systems are secure and that they meet industry standards. We seek to protect non- public personal information that is provided to Apex by your introducing firm or otherwise obtained by Apex by implementing physical and electronic safeguards. Where we believe appropriate, we employ firewalls, encryption technology, user authentication systems (i.e. passwords and personal identification numbers) and access control mechanisms to control access to systems and data. Apex endeavors to ensure that third party service providers who may have access to non-public personal information are following appropriate standards of security and confidentiality. Further, we instruct our employees to use strict standards of care in handling the personal financial information of customers. As a general policy, our staff will not discuss or disclose information regarding an account except; 1) with authorized personnel of your introducing firm, 2) as required by law or pursuant to regulatory request, or 3) as authorized by Apex to a third party or affiliate providing services to your account or pursuing Apex's legitimate business interests.

Access to Your Information

You may access your account information through a variety of media offered by your introducing firm and Apex (i.e. statements or online services). Please contact your introducing firm if you require any additional information.

IMPORTANT INFORMATION - Privacy Policy - CONTINUED

Apex may use "cookies" in order to provide better service, to facilitate its customers' use of the website, to track usage of the website, and to address security hazards. A cookie is a small piece of information that a website stores on a personal computer, and which it can later retrieve.

Changes to Apex's Privacy Policy

Apex reserves the right to make changes to this policy.

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► ANNOUNCEMENTS (CONTINUED)

How to Get in Touch with Apex about this Privacy Policy

For reference, this Privacy Policy is available on our website at www.apexclearing.com. For more information relating to Apex's Privacy Policy or to limit our sharing of your personal information, please contact:

Apex Clearing Corporation
Attn: Compliance Department 350 N. St. Paul St., Suite 1300
Dallas, Texas 75201
cs@apexclearing.com

tastyworks.

1000 W. FULTON MARKET, CHICAGO, IL 60607 | 312.724.7075



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RENE ZACHO

RENE ZACHO
TROJBORGVEJ 72C 4 4
8200 AARHUS N
DENMARK

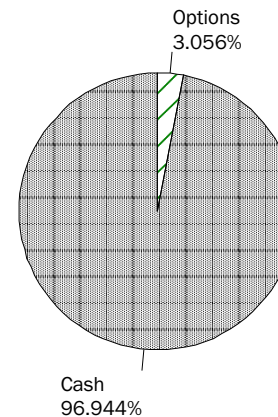
ACCOUNT SUMMARY

	OPENING BALANCE	CLOSING BALANCE
Margin account	\$13,328.45	\$15,672.27
NET ACCOUNT BALANCE	13,328.45	15,672.27
Securities	0.00	494.00
TOTAL PRICED PORTFOLIO	0.00	494.00
Total Equity Holdings	\$13,328.45	\$16,166.27

INCOME AND EXPENSE SUMMARY

	THIS PERIOD	YEAR TO DATE
Debit interest expense	\$1.26	\$1.26
Credit interest	\$0.08	\$0.67

PORTFOLIO EQUITY ALLOCATION



ACCOUNT CARRIED BY:
APEX CLEARING CORPORATION
MEMBER FINRA, NYSE and SIPC

See Reverse Side for Important Tax Information. This statement shall be conclusive if not objected to in writing within ten days. Errors and omissions excepted. Please address all communications to the firm and not to individuals. Address changes or other material changes on your account should be directed to the office servicing your account. Kindly mention your account number. **This statement should be retained for income tax purposes.**

IMPORTANT INFORMATION

You may have received a confirmation for a trade, which does not appear on this statement. If the settlement date of the trade as shown on the confirmation is later than the period ending date that appears at the top of this statement the trade will appear on your next regular monthly statement.

If this is a margin account and we maintain a special miscellaneous account for you, this is a combined statement of your general account and special miscellaneous account maintained for you under Regulation T issued by the Board of Governors of the Federal Reserve System. The permanent record of the special miscellaneous account as required by Regulation T is available for your inspection at your request.

The per annum rate of interest charged on the debit balance in your account is shown on this statement. This rate may change from time to time in accordance with fluctuations in interest rates. Interest is computed from the 16th day of the preceding month to the 15th day of the current month except in December and January. In December, the charges include the last day of the year and, in January, the interest is calculated from the first day of the month. The interest is based on the average daily net debit balance in your account with us, and for the actual number of days based on an interest year of 360 days. When calculating margin interest, free credit balances in all accounts will be offset against any debit in the margin account and the interest will be charged on the net debit balance.

We are required to report to the Internal Revenue Service all cash dividends and registered bond interest credited to your account on securities held for you in our name. We also report coupon bond interest. All dividends and interest credits should be included in your income tax return.

Information relative to commission and any other charges incurred in connection with listed option transactions occurring during the month has previously been furnished to you in confirmation of such transactions. A summary of this information will be made available to you promptly upon request. Exercise assignment notices for option contracts are allocated among customer short positions pursuant to a manual procedure with randomly selects form among all customer short option positions including those contracts which are subject to exercise. All short American style option positions are liable for assignment at any time whereas European style options are assigned at expiration. A more detailed description of our random allocation procedure is available upon request.

You are to promptly advise your brokerage firm or bank of any material changes concerning your investment objectives or financial situation.

Our financial statement is available for your personal inspection at our office, or a copy of it will be mailed upon your written request.

SIPC Protection. As a member of the Securities Investor Protection Corporation (SIPC), funds are available to meet customer claims up to a ceiling of \$500,000, including a maximum of \$250,000 for cash claims. For additional information regarding SIPC coverage, including a brochure, please contact SIPC at (202) 371-8300 or visit www.sipc.org. Apex has purchased an additional insurance policy through a group of London Underwriters to supplement SIPC protection. This additional insurance policy becomes available to customers in the event that SIPC limits are exhausted and provides protection for securities and cash up to certain limits. Similar to SIPC protection, this additional insurance does not protect against a loss in the market value of securities.

Any free credit balance represents funds payable upon demand which, although properly accounted for on our books of records, is not segregated, and may be used in the conduct of this firm's business as permissible under the SEC Rule 15c3-2.

NOTICE TO CUSTOMERS

Apex is a member of the New York Stock Exchange and various other exchanges. Apex acts as clearing agent for your trades.

As required under SEC rules, both the Firm's Order Routing Report as well as information regarding specific order routing information is available free of charge upon request.

Your account, which was introduced to us by your broker or bank, is established under your name on a "fully disclosed" basis at Apex. As a clearing agent, we provide securities clearance and may provide order execution on you broker's or bank's instructions.

You will remain a customer of your broker or bank. Apex will not be involved with or have any responsibility for decisions regarding securities transactions in your account. Your broker or bank will be responsible for opening, approving and monitoring all activities in connection with your account. The entry of orders, and any instructions regarding the deposit or withdrawal of securities or monies should be made through your broker or bank.

In addition to the above mentioned services, Apex will provide cashiering services, safeguarding of funds and securities while in Apex's possession, monitoring compliance with applicable credit Regulation T and Apex's internal policies, preparing and mailing your account records (including transaction confirmations and periodic statements of your account).

Interest charges to your account will be based on the size and net debit balance during the interest period. These rates are subject to revision without notice in accordance with any changes in the broker call loan rate, as published in the Wall Street Journal. For more complete information regarding interest charged to customers, consult the Truth in Lending Notice which is made available through your broker or bank.

Apex is a member of the Financial Industry Regulatory Authority, Inc. ("FINRA") and we are required to inform you of the availability of the FINRA Investor Brochure, which contains information on FINRA BrokerCheck. You may contact FINRA at 800-289-9999 or at their website at www.finra.org. Apex carries your account and acts as your custodian for funds and securities deposited with us directly by you, through your brokerage firm or bank or as a result of transactions we process for your account. Any suspected inaccuracy or discrepancy in your account statement must be promptly reported to both your brokerage firm or bank (not to your individual broker or agent) and Apex. In order to protect your rights, including your right to SIPC coverage, please confirm any oral communication in writing and include your brokerage account number. General inquiries or concerns regarding your account should be directed to your brokerage firm or bank. Account positions and balance inquiries or concerns should be directed to Apex by telephone at 214-765-1009.

ACCOUNT SUMMARY:

Displays applicable account type balance, money fund balances, priced portfolio value, and total account equity as of the opening and closing of the statement period. Priced Portfolio Value and Total Portfolio Equity are rounded to the nearest dollar. Total Priced Portfolio and Expense does not include unpriced securities.

INCOME AND EXPENSE SUMMARY:

Lists all income earned during the current statement period, as well as year to date. Section includes taxable and non-taxable dividends and interest, capital gains and MLP (Master Limited Partnership) distributions. This section also displays and Margin Interest Expenses.

PORTFOLIO EQUITY ALLOCATION:

The Pie Chart is an estimate for illustrative purposes only.

PORTFOLIO SUMMARY:

Lists all securities held in your account.

MARKET VALUE:

This amount represents the value of the security position in your portfolio based on appraisals obtained from the various quotation services. These appraisals are based on the closing prices, bond yields and/or the mean bid and ask on the last day of the statement period. Because of the nature of the data provided by the quotation services, we cannot guarantee the accuracy of such prices or the valuation dates particularly in the case of inactive or infrequently traded securities.

Some securities in your portfolio may be listed as "Unpriced" on your statement. We use an automated pricing service from an outside vendor and certain prices may not be available to them. You can obtain a current quotation, upon request, from your broker or bank.

Bond prices might differ from current market quotes. Similarly, bond ratings may differ from current actual ratings. Computerized pricing and rating services are often unable to supply us with up to the minute information. Your broker or bank will be pleased to obtain a current quotation upon request.

ESTIMATED ANNUAL INCOME

The current annual dividend or bond interest rate for each security held, if available from quotation services. The rate is multiplied by the number of shares or par value of bonds to determine estimated annual income.

OPEN ORDERS:

Displays all GTC (Good-Till-Cancelled) orders in your account. Also included in the section are GTX orders (GTC orders eligible for extended trading hours).

MONEY MARKET ACTIVITY:

Purchases, reinvestments and liquidations of money market funds, plus redemptions of money market fund checks.

DEFINITION OF ACCOUNT TYPES C=Cash, M=Margin, I=Income, L=Legal, S=Short, X=RVP/DVP, and O=Other

REALIZED GAIN/LOSS DETAIL AND PORTFOLIO SUMMARY SECTIONS:

Displays mutual funds by average cost and other securities by individual tax lot. Realized gains (losses) are reflected on a trade date basis for transactions settling during the current period or the period in which the shares were received, if later. Realized gains and losses may include transactions that settle during the following statement cycle. These transactions appear in the Portfolio Holdings section. Estimated unrealized gains (losses) are displayed for most securities currently held. The cost basis used in determining gains (losses) does not reflect wash sales and may not reflect all capital adjustments. Most exchanges reflected on this statement are treated as non-taxable, unless or until other information has been communicated to us. Cost basis of preferred securities with original issue discount ("OID") is not adjusted for the accretion of OID. For most long positions transferred between beneficial owners, the transferor's cost basis will be retained. For shares acquired from a decedent, you should consult your tax advisor to determine the appropriate valuations and holding period that applies. ALTHOUGH THE COST BASIS SHOWN MAY HAVE BEEN ADJUSTED, YOUR COST BASIS MAY REQUIRE ADDITIONAL ADJUSTMENTS. NOTE: WE DO NOT REPRESENT THE CALCULATIONS OF REALIZED AND UNREALIZED GAINS (LOSSES) AS AN OFFICIAL TAX ACCOUNTING OF SUCH FIGURES. FOR TAX PURPOSES, YOU SHOULD RELY ON YOUR OWN RECORDS AND THE CONSOLIDATED FORM 1099 SENT TO YOU.

Order Routing:

The SEC requires all broker-dealers that route orders in equity securities and options to make available quarterly reports that present a general overview of their routing practices. The reports must identify the significant venues to which customer orders were routed for execution during the applicable quarter and disclose the material aspects of the broker-dealer's relationship with such venues. In addition, the Rule (SEC 606) requires broker-dealers to disclose, on customer request, the venues to which the individual customer's orders were routed for the six months prior to the request, and the execution time for the orders that were executed. For further information, please contact your broker or financial advisor.

PLEASE RETAIN THIS STATEMENT AS IT WILL BE HELPFUL IN PREPARING YOUR INCOME TAX RETURNS AND MAY BE NEEDED ALONG WITH SUBSEQUENT STATEMENTS TO VERIFY INTEREST CHARGES IN YOUR ACCOUNT. THIS STATEMENT SHALL BE DEEMED CONCLUSIVE UNLESS OBJECTED TO IN WRITING WITHIN 10 BUSINESS DAYS OF THE STATEMENT CLOSING DATE.

MUTUAL FUNDS AND OTHER SECURITIES ARE NOT INSURED BY THE FDIC, ARE NOT DEPOSITS OR OBLIGATIONS OF, OR GUARANTEED BY APEX, AND INVOLVE INVESTMENT RISKS, INCLUDING THE POSSIBLE LOSS OF THE PRINCIPAL AMOUNT INVESTED.

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ACCOUNT NUMBER **5WT-39810-13 TUA**

RENE ZACHO



1000 W. FULTON MARKET, CHICAGO, IL 60607 | 312.724.7075

► **PORTFOLIO SUMMARY**

DESCRIPTION	SYMBOL/ CUSIP	ACCOUNT TYPE	QUANTITY	PRICE	MARKET VALUE	LAST PERIOD'S MARKET VALUE	% CHANGE	EST. ANNUAL INCOME	% OF TOTAL PORTFOLIO
EQUITIES / OPTIONS									
PUT PLBY 10/15/21 25 PLBY GROUP INC EXP 10/15/2021	8GSRVL7	M	2	\$2.47	\$494.00		N/A		3.056%
Total Equities									
Total Options					\$494.00				3.056%
Total Cash (Net Portfolio Balance)					\$15,672.27				96.944%
TOTAL PRICED PORTFOLIO					\$16,166.27				

► **ACCOUNT ACTIVITY**

TRANSACTION	DATE	ACCOUNT TYPE	DESCRIPTION	QUANTITY	PRICE	DEBIT	CREDIT
BUY / SELL TRANSACTIONS							
BOUGHT	07/01/21	M	PUT VXX 08/20/21 29 IPATH SRS B S&P 500 VIX SHRT UNSOLICITED OPEN CONTRACT Security Number: 8NKCZG6	1	\$3.55	\$356.13	
BOUGHT	07/02/21	M	PUT VXX 08/20/21 28 IPATH SRS B S&P 500 VIX SHRT UNSOLICITED OPEN CONTRACT Security Number: 8NKCZG4	1	2.92	293.13	

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► ACCOUNT ACTIVITY (CONTINUED)

TRANSACTION	DATE	ACCOUNT TYPE	DESCRIPTION	QUANTITY	PRICE	DEBIT	CREDIT
BUY / SELL TRANSACTIONS (continued)							
BOUGHT	07/02/21	M	PUT VXX 08/20/21 30 IPATH SRS B S&P 500 VIX SHRT UNSOLICITED OPEN CONTRACT Security Number: 8NKCZG8	1	4.29	430.13	
BOUGHT	07/06/21	M	PUT VXX 08/20/21 31 IPATH SRS B S&P 500 VIX SHRT UNSOLICITED OPEN CONTRACT Security Number: 8NKCZH0	1	5.35	536.13	
SOLD	07/06/21	M	PUT VXX 08/20/21 28 IPATH SRS B S&P 500 VIX SHRT UNSOLICITED CLOSING CONTRACT Security Number: 8NKCZG4	1	2.92		291.85
SOLD	07/06/21	M	PUT VXX 08/20/21 29 IPATH SRS B S&P 500 VIX SHRT UNSOLICITED CLOSING CONTRACT Security Number: 8NKCZG6	1	3.60		359.85
SOLD	07/06/21	M	PUT VXX 08/20/21 30 IPATH SRS B S&P 500 VIX SHRT UNSOLICITED CLOSING CONTRACT Security Number: 8NKCZG8	1	4.32		431.85
BOUGHT	07/07/21	M	PUT QYLD 07/16/21 23 GLOBAL X NASDAQ 100 CVRD CALL UNSOLICITED CLOSING CONTRACT Security Number: 9NGTXG6	4	0.55	220.54	

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► ACCOUNT ACTIVITY (CONTINUED)

TRANSACTION	DATE	ACCOUNT TYPE	DESCRIPTION	QUANTITY	PRICE	DEBIT	CREDIT
BUY / SELL TRANSACTIONS (continued)							
BOUGHT	07/07/21	M	PUT QYLD 07/16/21 23 GLOBAL X NASDAQ 100 CVRD CALL UNSOLICITED CLOSING CONTRACT Security Number: 9NGTXG6	1	0.55	55.13	
SOLD	07/07/21	M	PUT VXX 08/20/21 31 IPATH SRS B S&P 500 VIX SHRT UNSOLICITED CLOSING CONTRACT Security Number: 8NKCZH0	1	4.95		494.85
SOLD	07/07/21	M	CALL QYLD 11/19/21 14 GLOBAL X NASDAQ 100 CVRD CALL UNSOLICITED OPEN CONTRACT Security Number: 9GMDYP1	1	8.40		838.86
SOLD	07/07/21	M	CALL QYLD 02/18/22 13 GLOBAL X NASDAQ 100 CVRD CALL UNSOLICITED OPEN CONTRACT Security Number: 9KDPWK1	1	9.41		939.85
SOLD	07/07/21	M	CALL QYLD 02/18/22 14 GLOBAL X NASDAQ 100 CVRD CALL UNSOLICITED OPEN CONTRACT Security Number: 9KDPWK6	1	8.45		843.85
SOLD	07/07/21	M	CALL QYLD 08/20/21 15 GLOBAL X NASDAQ 100 CVRD CALL UNSOLICITED OPEN CONTRACT Security Number: 9KTKLD9	2	7.42		1,481.71

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► ACCOUNT ACTIVITY (CONTINUED)

TRANSACTION	DATE	ACCOUNT TYPE	DESCRIPTION	QUANTITY	PRICE	DEBIT	CREDIT
BUY / SELL TRANSACTIONS (continued)							
SOLD	07/07/21	M	CALL QYLD 07/16/21 14 GLOBAL X NASDAQ 100 CVRD CALL UNSOLICITED OPEN CONTRACT Security Number: 9NGTXC9	5	8.45		4,219.29
SOLD	07/07/21	M	PUT QYLD 07/16/21 23 GLOBAL X NASDAQ 100 CVRD CALL UNSOLICITED OPEN CONTRACT Security Number: 9NGTXG6	5	0.50		244.31
BOUGHT	07/08/21	M	GLOBAL X FDS GLOBAL X NASDAQ 100 COVERED CALL ETF UNSOLICITED CUSIP: 37954Y483	100	22.485	2,248.58	
BOUGHT	07/08/21	M	GLOBAL X FDS GLOBAL X NASDAQ 100 COVERED CALL ETF UNSOLICITED CUSIP: 37954Y483	100	22.4789	2,247.97	
BOUGHT	07/08/21	M	GLOBAL X FDS GLOBAL X NASDAQ 100 COVERED CALL ETF UNSOLICITED CUSIP: 37954Y483	100	22.4689	2,246.97	
BOUGHT	07/08/21	M	GLOBAL X FDS GLOBAL X NASDAQ 100 COVERED CALL ETF UNSOLICITED CUSIP: 37954Y483	200	22.4789	4,495.94	

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► ACCOUNT ACTIVITY (CONTINUED)

TRANSACTION	DATE	ACCOUNT TYPE	DESCRIPTION	QUANTITY	PRICE	DEBIT	CREDIT
BUY / SELL TRANSACTIONS (continued)							
BOUGHT	07/08/21	M	GLOBAL X FDS GLOBAL X NASDAQ 100 COVERED CALL ETF UNSOLICITED CUSIP: 37954Y483	500	22.4989	11,249.85	
BOUGHT	07/09/21	M	CALL QYLD 11/19/21 14 GLOBAL X NASDAQ 100 CVRD CALL UNSOLICITED CLOSING CONTRACT Security Number: 9GMDYP1	1	8.50	850.13	
BOUGHT	07/09/21	M	CALL QYLD 08/20/21 15 GLOBAL X NASDAQ 100 CVRD CALL UNSOLICITED CLOSING CONTRACT Security Number: 9KTKLD9	1	7.55	755.13	
BOUGHT	07/09/21	M	CALL QYLD 07/16/21 14 GLOBAL X NASDAQ 100 CVRD CALL UNSOLICITED CLOSING CONTRACT Security Number: 9NGTXC9	1	8.55	855.13	
BOUGHT	07/09/21	M	CALL QYLD 07/16/21 14 GLOBAL X NASDAQ 100 CVRD CALL UNSOLICITED CLOSING CONTRACT Security Number: 9NGTXC9	1	8.50	850.13	
BOUGHT	07/09/21	M	CALL QYLD 07/16/21 14 GLOBAL X NASDAQ 100 CVRD CALL UNSOLICITED CLOSING CONTRACT Security Number: 9NGTXC9	1	8.55	855.13	

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1000 W. FULTON MARKET, CHICAGO, IL 60607 | 312.724.7075

► ACCOUNT ACTIVITY (CONTINUED)

TRANSACTION	DATE	ACCOUNT TYPE	DESCRIPTION	QUANTITY	PRICE	DEBIT	CREDIT
BUY / SELL TRANSACTIONS (continued)							
BOUGHT	07/09/21	M	CALL QYLD 07/16/21 14 GLOBAL X NASDAQ 100 CVRD CALL UNSOLICITED CLOSING CONTRACT Security Number: 9NGTXC9	1	8.50	850.13	
BOUGHT	07/09/21	M	CALL QYLD 07/16/21 14 GLOBAL X NASDAQ 100 CVRD CALL UNSOLICITED CLOSING CONTRACT Security Number: 9NGTXC9	1	8.50	850.13	
SOLD	07/09/21	M	GLOBAL X FDS GLOBAL X NASDAQ 100 COVERED CALL ETF A/E 9KTKLD9 1 ASSIGNED CUSIP: 37954Y483	100	15		1,494.98
SOLD	07/09/21	M	CALL QYLD 02/18/22 12 GLOBAL X NASDAQ 100 CVRD CALL UNSOLICITED OPEN CONTRACT Security Number: 9KDPWH3	1	10.40		1,038.85
SOLD	07/09/21	M	CALL QYLD 02/18/22 12 GLOBAL X NASDAQ 100 CVRD CALL UNSOLICITED OPEN CONTRACT Security Number: 9KDPWH3	1	10.41		1,039.85
SOLD	07/09/21	M	CALL QYLD 02/18/22 12 GLOBAL X NASDAQ 100 CVRD CALL UNSOLICITED OPEN CONTRACT Security Number: 9KDPWH3	1	10.41		1,039.85

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▶ ACCOUNT ACTIVITY (CONTINUED)

TRANSACTION	DATE	ACCOUNT TYPE	DESCRIPTION	QUANTITY	PRICE	DEBIT	CREDIT
BUY / SELL TRANSACTIONS (continued)							
SOLD	07/09/21	M	CALL QYLD 02/18/22 12 GLOBAL X NASDAQ 100 CVRD CALL UNSOLICITED OPEN CONTRACT Security Number: 9KDPWH3	1	10.44		1,042.85
SOLD	07/09/21	M	CALL QYLD 02/18/22 12 GLOBAL X NASDAQ 100 CVRD CALL UNSOLICITED OPEN CONTRACT Security Number: 9KDPWH3	1	10.40		1,038.86
SOLD	07/09/21	M	CALL QYLD 02/18/22 12 GLOBAL X NASDAQ 100 CVRD CALL UNSOLICITED OPEN CONTRACT Security Number: 9KDPWH3	1	10.42		1,040.85
SOLD	07/09/21	M	CALL QYLD 02/18/22 12 GLOBAL X NASDAQ 100 CVRD CALL UNSOLICITED OPEN CONTRACT Security Number: 9KDPWH3	1	10.43		1,041.85
SOLD	07/09/21	M	CALL QYLD 02/18/22 13 GLOBAL X NASDAQ 100 CVRD CALL UNSOLICITED OPEN CONTRACT Security Number: 9KDPWK1	1	9.40		938.86
SOLD	07/09/21	M	CALL QYLD 02/18/22 13 GLOBAL X NASDAQ 100 CVRD CALL UNSOLICITED OPEN CONTRACT Security Number: 9KDPWK1	1	9.40		938.86

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► ACCOUNT ACTIVITY (CONTINUED)

TRANSACTION	DATE	ACCOUNT TYPE	DESCRIPTION	QUANTITY	PRICE	DEBIT	CREDIT
BUY / SELL TRANSACTIONS (continued)							
SOLD	07/09/21	M	CALL QYLD 02/18/22 14 GLOBAL X NASDAQ 100 CVRD CALL UNSOLICITED OPEN CONTRACT Security Number: 9KDPWK6	1	8.40		838.86
BOUGHT	07/12/21	M	GLOBAL X FDS GLOBAL X NASDAQ 100 COVERED CALL ETF UNSOLICITED CUSIP: 37954Y483	100	22.4599	2,246.07	
BOUGHT	07/12/21	M	GLOBAL X FDS GLOBAL X NASDAQ 100 COVERED CALL ETF UNSOLICITED CUSIP: 37954Y483	100	22.465	2,246.58	
BOUGHT	07/12/21	M	GLOBAL X FDS GLOBAL X NASDAQ 100 COVERED CALL ETF UNSOLICITED CUSIP: 37954Y483	100	22.445	2,244.58	
BOUGHT	07/12/21	M	CALL QYLD 02/18/22 12 GLOBAL X NASDAQ 100 CVRD CALL UNSOLICITED CLOSING CONTRACT Security Number: 9KDPWH3	1	10.65	1,065.13	
BOUGHT	07/12/21	M	CALL QYLD 02/18/22 12 GLOBAL X NASDAQ 100 CVRD CALL UNSOLICITED CLOSING CONTRACT Security Number: 9KDPWH3	1	10.60	1,060.13	

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► ACCOUNT ACTIVITY (CONTINUED)

TRANSACTION	DATE	ACCOUNT TYPE	DESCRIPTION	QUANTITY	PRICE	DEBIT	CREDIT
BUY / SELL TRANSACTIONS (continued)							
BOUGHT	07/12/21	M	CALL QYLD 02/18/22 12 GLOBAL X NASDAQ 100 CVRD CALL UNSOLICITED CLOSING CONTRACT Security Number: 9KDPWH3	1	10.60	1,060.13	
BOUGHT	07/12/21	M	CALL QYLD 02/18/22 12 GLOBAL X NASDAQ 100 CVRD CALL UNSOLICITED CLOSING CONTRACT Security Number: 9KDPWH3	1	10.60	1,060.13	
BOUGHT	07/12/21	M	CALL QYLD 02/18/22 13 GLOBAL X NASDAQ 100 CVRD CALL UNSOLICITED CLOSING CONTRACT Security Number: 9KDPWK1	2	9.60	1,920.26	
BOUGHT	07/12/21	M	CALL QYLD 02/18/22 14 GLOBAL X NASDAQ 100 CVRD CALL UNSOLICITED CLOSING CONTRACT Security Number: 9KDPWK6	2	8.60	1,720.26	
BOUGHT	07/12/21	M	CALL TQQQ 07/16/21 129 PROSHARES ULTRAPRO QQQ UNSOLICITED CLOSING CONTRACT Security Number: 9NYP5	1	3.05	305.13	
SOLD	07/12/21	M	GLOBAL X FDS GLOBAL X NASDAQ 100 COVERED CALL ETF A/E 9KDPWK1 1 ASSIGNED CUSIP: 37954Y483	100	13		1,294.98

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► ACCOUNT ACTIVITY (CONTINUED)

TRANSACTION	DATE	ACCOUNT TYPE	DESCRIPTION	QUANTITY	PRICE	DEBIT	CREDIT
BUY / SELL TRANSACTIONS (continued)							
SOLD	07/12/21	M	GLOBAL X FDS GLOBAL X NASDAQ 100 COVERED CALL ETF A/E 9KDPWH3 3 ASSIGNED CUSIP: 37954Y483	300	12		3,594.94
SOLD	07/12/21	M	CALL TQQQ 07/16/21 129 PROSHARES ULTRAPRO QQQ UNSOLICITED OPEN CONTRACT Security Number: 9NYNQP5	1	2.40		238.85
SOLD	07/12/21	M	CALL TQQQ 07/16/21 119 PROSHARES ULTRAPRO QQQ UNSOLICITED OPEN CONTRACT Security Number: 9NYYPV7	1	11.10		1,108.85
BOUGHT	07/13/21	M	PROSHARES TRUST ULTRAPRO QQQ UNSOLICITED PRODUCT DESCRIPTION UNDER SEPARATE COVER CUSIP: 74347X831	100	129.2795	12,928.03	
BOUGHT	07/13/21	M	PROSHARES TRUST ULTRAPRO QQQ UNSOLICITED PRODUCT DESCRIPTION UNDER SEPARATE COVER CUSIP: 74347X831	100	126.78	12,678.08	

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► ACCOUNT ACTIVITY (CONTINUED)

TRANSACTION	DATE	ACCOUNT TYPE	DESCRIPTION	QUANTITY	PRICE	DEBIT	CREDIT
BUY / SELL TRANSACTIONS (continued)							
BOUGHT	07/13/21	M	CALL SQQQ 07/23/21 9 PROSHARES ULTRAPRO SHORT QQQ UNSOLICITED OPEN CONTRACT Security Number: 8PTZJB8	1	0.19	20.13	
BOUGHT	07/13/21	M	PUT SQQQ 08/13/21 8 PROSHARES ULTRAPRO SHORT QQQ UNSOLICITED OPEN CONTRACT Security Number: 8PWYZ1	15	0.25	387.02	
BOUGHT	07/13/21	M	CALL TQQQ 07/16/21 119 PROSHARES ULTRAPRO QQQ UNSOLICITED CLOSING CONTRACT Security Number: 9NYYPV7	1	12.50	1,250.13	
SOLD	07/13/21	M	GLOBAL X FDS GLOBAL X NASDAQ 100 COVERED CALL ETF UNSOLICITED CUSIP: 37954Y483	400	22.4911		8,996.02
SOLD	07/13/21	M	GLOBAL X FDS GLOBAL X NASDAQ 100 COVERED CALL ETF UNSOLICITED CUSIP: 37954Y483	400	22.4911		8,996.02
SOLD	07/13/21	M	PROSHARES TRUST ULTRAPRO QQQ UNSOLICITED PRODUCT DESCRIPTION UNDER SEPARATE COVER CUSIP: 74347X831	100	127.5905		12,758.89

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► ACCOUNT ACTIVITY (CONTINUED)

TRANSACTION	DATE	ACCOUNT TYPE	DESCRIPTION	QUANTITY	PRICE	DEBIT	CREDIT
BUY / SELL TRANSACTIONS (continued)							
BOUGHT	07/14/21	M	GLOBAL X FDS GLOBAL X NASDAQ 100 COVERED CALL ETF UNSOLICITED CUSIP: 37954Y483	580	22.5189	13,061.42	
BOUGHT	07/14/21	M	PUT VIX 08/18/21 17 CBOE VOLATILITY INDEX UNSOLICITED OPEN CONTRACT Security Number: 8BLHPX8	5	1	508.91	
SOLD	07/14/21	M	PROSHARES TRUST ULTRAPRO QQQ UNSOLICITED PRODUCT DESCRIPTION UNDER SEPARATE COVER CUSIP: 74347X831	100	130.981		13,097.94
SOLD	07/14/21	M	CALL SQQQ 07/23/21 9 PROSHARES ULTRAPRO SHORT QQQ UNSOLICITED CLOSING CONTRACT Security Number: 8PTZJB8	1	0.15		14.86
SOLD	07/14/21	M	PUT SQQQ 08/13/21 8 PROSHARES ULTRAPRO SHORT QQQ UNSOLICITED CLOSING CONTRACT Security Number: 8PWYZ1	15	0.25		372.97
SOLD	07/14/21	S	PROSHARES TRUST PROSHARES ULTRAPRO SHORT QQQ UNSOLICITED SHORT. CUSIP: 74347G861	100	8.5613		856.03

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► ACCOUNT ACTIVITY (CONTINUED)

TRANSACTION	DATE	ACCOUNT TYPE	DESCRIPTION	QUANTITY	PRICE	DEBIT	CREDIT
BUY / SELL TRANSACTIONS (continued)							
BOUGHT	07/15/21	M	CALL VIX 08/18/21 20 CBOE VOLATILITY INDEX UNSOLICITED OPEN CONTRACT Security Number: 8BLHPY3	1	2.80	281.78	
BOUGHT	07/15/21	M	CALL VIX 12/22/21 20 CBOE VOLATILITY INDEX UNSOLICITED OPEN CONTRACT Security Number: 8BQSCG2	1	5.20	521.78	
SOLD	07/15/21	M	GLOBAL X FDS GLOBAL X NASDAQ 100 COVERED CALL ETF UNSOLICITED CUSIP: 37954Y483	580	22.5211		13,061.64
SOLD	07/15/21	M	CALL VIX 12/22/21 20 CBOE VOLATILITY INDEX UNSOLICITED CLOSING CONTRACT Security Number: 8BQSCG2	1	5.43		542.22
BOUGHT	07/15/21	S	PROSHARES TRUST PROSHARES ULTRAPRO SHORT QQQ UNSOLICITED COVER SHORT. CUSIP: 74347G861	100	8.5487	854.95	
BOUGHT	07/16/21	M	CALL VIX 08/18/21 30 CBOE VOLATILITY INDEX UNSOLICITED OPEN CONTRACT Security Number: 8BLHWR8	1	1.29	130.78	

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► ACCOUNT ACTIVITY (CONTINUED)

TRANSACTION	DATE	ACCOUNT TYPE	DESCRIPTION	QUANTITY	PRICE	DEBIT	CREDIT
BUY / SELL TRANSACTIONS (continued)							
SOLD	07/16/21	M	PUT VIX 08/18/21 17 CBOE VOLATILITY INDEX UNSOLICITED CLOSING CONTRACT Security Number: 8BLHPX8	5	0.81		401.08
SOLD	07/16/21	M	CALL VIX 08/18/21 20 CBOE VOLATILITY INDEX UNSOLICITED CLOSING CONTRACT Security Number: 8BLHPY3	1	2.60		259.22
BOUGHT	07/20/21	M	PUT VIX 08/18/21 19 CBOE VOLATILITY INDEX UNSOLICITED OPEN CONTRACT Security Number: 8BLHPY2	1	1	101.78	
BOUGHT	07/20/21	M	PUT VIX 08/18/21 19 CBOE VOLATILITY INDEX UNSOLICITED OPEN CONTRACT Security Number: 8BLHPY2	1	1	101.78	
BOUGHT	07/20/21	M	CALL VIX 09/15/21 16 CBOE VOLATILITY INDEX UNSOLICITED OPEN CONTRACT Security Number: 8BLHVQ1	1	7.50	751.78	
BOUGHT	07/20/21	M	CALL VIX 09/15/21 16 CBOE VOLATILITY INDEX UNSOLICITED OPEN CONTRACT Security Number: 8BLHVQ1	1	7.90	791.78	

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► ACCOUNT ACTIVITY (CONTINUED)

TRANSACTION	DATE	ACCOUNT TYPE	DESCRIPTION	QUANTITY	PRICE	DEBIT	CREDIT
BUY / SELL TRANSACTIONS (continued)							
BOUGHT	07/20/21	M	CALL VIX 10/20/21 15 CBOE VOLATILITY INDEX UNSOLICITED OPEN CONTRACT Security Number: 8BQRTZ3	1	9.16	917.78	
BOUGHT	07/20/21	M	CALL VIX 10/20/21 16 CBOE VOLATILITY INDEX UNSOLICITED OPEN CONTRACT Security Number: 8BQRTZ5	1	8.10	811.78	
BOUGHT	07/20/21	M	CALL VIX 10/20/21 16 CBOE VOLATILITY INDEX UNSOLICITED OPEN CONTRACT Security Number: 8BQRTZ5	1	8.10	811.78	
BOUGHT	07/20/21	M	CALL TNA 09/17/21 75 DIREXION DAILY SMALL CP BLL 3X UNSOLICITED OPEN CONTRACT Security Number: 8LTDQL3	1	9.60	961.13	
SOLD	07/20/21	M	CALL VIX 08/18/21 30 CBOE VOLATILITY INDEX UNSOLICITED CLOSING CONTRACT Security Number: 8BLHWR8	1	1.83		182.22
SOLD	07/20/21	M	CALL TNA 09/17/21 75 DIREXION DAILY SMALL CP BLL 3X UNSOLICITED CLOSING CONTRACT Security Number: 8LTDQL3	1	8.45		844.85

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► ACCOUNT ACTIVITY (CONTINUED)

TRANSACTION	DATE	ACCOUNT TYPE	DESCRIPTION	QUANTITY	PRICE	DEBIT	CREDIT
BUY / SELL TRANSACTIONS (continued)							
BOUGHT	07/21/21	M	DIREXION DAILY SML CAP BULL 3X SHARES UNSOLICITED PRODUCT DESCRIPTION UNDER SEPARATE COVER CUSIP: 25459W847	100	74.0284	7,402.92	
BOUGHT	07/21/21	M	DIREXION DAILY SML CAP BULL 3X SHARES UNSOLICITED PRODUCT DESCRIPTION UNDER SEPARATE COVER CUSIP: 25459W847	100	73.9668	7,396.76	
SOLD	07/21/21	M	DIREXION DAILY SML CAP BULL 3X SHARES UNSOLICITED PRODUCT DESCRIPTION UNDER SEPARATE COVER CUSIP: 25459W847	200	74.15		14,829.74
SOLD	07/21/21	M	PUT VIX 08/18/21 19 CBOE VOLATILITY INDEX UNSOLICITED CLOSING CONTRACT Security Number: 8BLHPY2	2	0.95		188.43
SOLD	07/21/21	M	CALL VIX 09/15/21 16 CBOE VOLATILITY INDEX UNSOLICITED CLOSING CONTRACT Security Number: 8BLHVQ1	2	7.80		1,558.43

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► ACCOUNT ACTIVITY (CONTINUED)

TRANSACTION	DATE	ACCOUNT TYPE	DESCRIPTION	QUANTITY	PRICE	DEBIT	CREDIT
BUY / SELL TRANSACTIONS (continued)							
SOLD	07/21/21	M	CALL VIX 10/20/21 15 CBOE VOLATILITY INDEX UNSOLICITED CLOSING CONTRACT Security Number: 8BQRTZ3	1	8.90		889.22
SOLD	07/21/21	M	CALL VIX 10/20/21 16 CBOE VOLATILITY INDEX UNSOLICITED CLOSING CONTRACT Security Number: 8BQRTZ5	2	8.10		1,618.44
BOUGHT	07/22/21	M	PROSHARES TRUST ULTRAPRO QQQ UNSOLICITED PRODUCT DESCRIPTION UNDER SEPARATE COVER CUSIP: 74347X831	100	122.71	12,271.08	
BOUGHT	07/23/21	M	GLOBAL X FDS GLOBAL X NASDAQ 100 COVERED CALL ETF UNSOLICITED CUSIP: 37954Y483	675	22.2689	15,032.05	
SOLD	07/23/21	M	PROSHARES TRUST ULTRAPRO QQQ UNSOLICITED PRODUCT DESCRIPTION UNDER SEPARATE COVER CUSIP: 74347X831	100	126.131		12,612.94
BOUGHT	07/26/21	M	BRITISH AMERICAN TOBACCO PLC SPONSORED ADR UNSOLICITED CUSIP: 110448107	27	37.67	1,017.11	

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▶ ACCOUNT ACTIVITY (CONTINUED)

TRANSACTION	DATE	ACCOUNT TYPE	DESCRIPTION	QUANTITY	PRICE	DEBIT	CREDIT
BUY / SELL TRANSACTIONS (continued)							
BOUGHT	07/26/21	M	GLOBAL X FDS GLOBAL X NASDAQ 100 COVERED CALL ETF UNSOLICITED CUSIP: 37954Y483	335	22.3889	7,500.54	
BOUGHT	07/26/21	M	MPLX LP COM UNIT REPSTG LTD PARTNER INT UNSOLICITED CUSIP: 55336V100	73	27.5277	2,009.57	
BOUGHT	07/26/21	M	PROSHARES TRUST ULTRAPRO QQQ UNSOLICITED PRODUCT DESCRIPTION UNDER SEPARATE COVER CUSIP: 74347X831	23	130.98	3,012.55	
BOUGHT	07/26/21	M	TOTALENERGIES SE AMERICAN DEPOSITARY SHS EACH REPRESENTING ONE ORDINARY SHS UNSOLICITED CUSIP: 89151E109	24	42.189	1,012.56	
BOUGHT	07/26/21	M	VODAFONE GROUP PLC SPONSORED ADR NO PAR UNSOLICITED CUSIP: 92857W308	940	16.1598	15,190.96	
BOUGHT	07/26/21	M	CALL TNA 08/20/21 85 DIREXION DAILY SMALL CP BLL 3X UNSOLICITED OPEN CONTRACT Security Number: 8K01723	1	5.50	551.13	

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► ACCOUNT ACTIVITY (CONTINUED)

TRANSACTION	DATE	ACCOUNT TYPE	DESCRIPTION	QUANTITY	PRICE	DEBIT	CREDIT
BUY / SELL TRANSACTIONS (continued)							
SOLD	07/26/21	M	GLOBAL X FDS GLOBAL X NASDAQ 100 COVERED CALL ETF UNSOLICITED CUSIP: 37954Y483	675	22.3711		15,099.79
SOLD	07/26/21	M	VODAFONE GROUP PLC SPONSORED ADR NO PAR UNSOLICITED CUSIP: 92857W308	940	16.1121		15,144.43
BOUGHT	07/27/21	M	PLBY GROUP INC COMMON STOCK UNSOLICITED CUSIP: 72814P109	10	28.4497	284.50	
BOUGHT	07/27/21	M	TOTALENERGIES SE AMERICAN DEPOSITARY SHS EACH REPRESENTING ONE ORDINARY SHS UNSOLICITED ORIGINAL S/D 07/26/21 AS OF 07/22/21 CUSIP: 89151E109	24	42.189	1,015.60	
SOLD	07/27/21	M	BRITISH AMERICAN TOBACCO PLC SPONSORED ADR UNSOLICITED CUSIP: 110448107	27	38.1626		1,030.35
SOLD	07/27/21	M	GLOBAL X FDS GLOBAL X NASDAQ 100 COVERED CALL ETF UNSOLICITED CUSIP: 37954Y483	335	22.4411		7,517.43

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► ACCOUNT ACTIVITY (CONTINUED)

TRANSACTION	DATE	ACCOUNT TYPE	DESCRIPTION	QUANTITY	PRICE	DEBIT	CREDIT
BUY / SELL TRANSACTIONS (continued)							
SOLD	07/27/21	M	MPLX LP COM UNIT REPSTG LTD PARTNER INT UNSOLICITED CUSIP: 55336V100	36	27.5616		992.18
SOLD	07/27/21	M	MPLX LP COM UNIT REPSTG LTD PARTNER INT UNSOLICITED CUSIP: 55336V100	37	27.6613		1,023.42
SOLD	07/27/21	M	PROSHARES TRUST ULTRAPRO QQQ UNSOLICITED PRODUCT DESCRIPTION UNDER SEPARATE COVER CUSIP: 74347X831	23	133.51		3,070.68
CANCEL BUY	07/27/21	M	TOTALENERGIES SE AMERICAN DEPOSITARY SHS EACH REPRESENTING ONE ORDINARY SHS ORIGINAL SETTLEMENT 07/26/21 UNSOLICITED TO CXL PREVIOUS BUY CUSIP: 89151E109	24	42.189		1,012.56
SOLD	07/27/21	M	TOTALENERGIES SE AMERICAN DEPOSITARY SHS EACH REPRESENTING ONE ORDINARY SHS UNSOLICITED CUSIP: 89151E109	24	41.9608		1,007.02

▶ ACCOUNT ACTIVITY (CONTINUED)

tastyworks.
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ACCOUNTS STATEMENT

ACCOUNT NUMBER **5WT-39810-13 TUA**

ACCOUNT ACTIVITY (CONTINUED)

tastyworks.

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TRANSACTION	DATE	ACCOUNT TYPE	DESCRIPTION	QUANTITY	PRICE	DEBIT	CREDIT
FUNDS PAID AND RECEIVED							
TIN	07/06/21	M	Journal from TASTYWORKS INC. (TWTT) TPJ(6c7316fe-fda2-484c- 9c8c-b941b2eed094)				\$43.88
Total Funds Paid And Received							\$43.88
SECURITIES RECEIVED AND DELIVERED							
ASG	07/07/21	M	CALL QYLD 08/20/21 15 GLOBAL X NASDAQ 100 CVRD CALL A/E 9KTKLD9 1 ASSIGNED Security Number: 9KTKLD9	1			
ASG	07/08/21	M	CALL QYLD 02/18/22 12 GLOBAL X NASDAQ 100 CVRD CALL A/E 9KDPWH3 3 ASSIGNED Security Number: 9KDPWH3	3			
ASG	07/08/21	M	CALL QYLD 02/18/22 13 GLOBAL X NASDAQ 100 CVRD CALL A/E 9KDPWK1 1 ASSIGNED Security Number: 9KDPWK1	1			
Total Securities Received And Delivered							
DEBIT INTEREST							
INTEREST	07/16/21	M	FROM 06/16 THRU 07/15 @ 8 % BAL 11,489- AVBAL 188			\$1.26	
Total Debit Interest							\$1.26

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► ACCOUNT ACTIVITY (CONTINUED)

TRANSACTION	DATE	ACCOUNT TYPE	DESCRIPTION	QUANTITY	PRICE	DEBIT	CREDIT
MISCELLANEOUS TRANSACTIONS							
FUR	07/01/21	M	daily futures settlement DFS(1625140922580)				\$2.59
FUR	07/06/21	M	daily futures settlement DFS(1625313723843)				34.42
FUD	07/12/21	M	daily futures settlement DFS(1625918477532)			22.79	
FUD	07/15/21	M	daily futures settlement DFS(1626350505187)			803.68	
MKT	07/16/21	S	MARK TO MARKET SHORT POS			1.08	
FUR	07/16/21	M	daily futures settlement DFS(1626436911021)				755.89
MKT	07/16/21	M	MARK TO MARKET				1.08
FUD	07/19/21	M	daily futures settlement DFS(1626523297021)			10,575.08	
FUR	07/20/21	M	daily futures settlement DFS(1626782524130)				9,864.90
FUR	07/21/21	M	daily futures settlement DFS(1626868897812)				2,661.03
FUR	07/26/21	M	daily futures settlement DFS(1627128105689)				754.48
Total Miscellaneous Transactions						\$11,402.63	\$14,074.39

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► ANNOUNCEMENTS

IMPORTANT INFORMATION

Statement of Financial Condition

A copy of Apex Clearing Corporation's Audited Statement of Financial Condition as of December 31, 2020 is available on the website at www.apexclearing.com/disclosures/. A copy may also be obtained at no cost by calling Apex Clearing Corporation. As of December 31, 2020, Apex Clearing Corporation had a net capital of \$221,754,625 and was \$190,963,611 in excess of its required net capital of \$30,791,014. As of January 31, 2021, Apex Clearing Corporation had a net capital of \$316,877,867 and was \$269,611,762 in excess of its required net capital of \$47,266,105.

Apex's Policy for Dividends and interest

Apex's policy is to pay all dividends and interest in US Dollars. Apex will allow the following countries to be paid in their foreign currency (Canadian Dollars, British Pounds, Euros, Argentine Peso, Chinese Renminbi, Korean Won, Philippine Peso and Brazilian Real).

Participation in Fully Paid Lending Program

Customers participating in the Fully-Paid Securities Lending Program should be aware that shares on loan are not covered by FDIC or SIPC. Cash securities collateralizing shares are held at JP Morgan Chase & Co. and not subject to FDIC or SIPC protections. Please consult the Master Securities Lending Agreement for additional information.

Information Regarding Cost Basis for Foreign Account Statements

Foreign Currency: Cost basis is required to be reported in U.S. dollars for tax purposes. It is the responsibility of the account holder to convert sales proceeds paid in foreign currency to U.S. dollars to avoid inaccurate cost basis calculations. When reporting the purchase or sale, you must determine the U.S. dollar amounts to be reported as of the settlement date, at the spot rate or by following a reasonable spot rate convention. See Regulations section 1.6045-1(d)(8).

Payment of Interest to holders of Municipal Securities - you may be subject to a substitute interest payment if the transfer of ownership of your municipal security has not been completed prior to the next interest payment. Please contact a tax professional for more specific details.

IMPORTANT INFORMATION

To our valued customers:

FINRA Rule 2231 requires that we advise you to promptly report any inaccuracy or discrepancy in your account (within 10 days after available) to your brokerage firm and clearing firm (where these are different firms) and to re-confirm any oral communications in writing.

<https://www.finra.org/rules-guidance/notices/06-72>

"IMPORTANT - Part of your distribution includes a return of capital. Any distribution that represents a return of capital reduces the estimated per share value shown on your account statement."

The preceding notice is required when reporting distributions on Direct Participation Programs and/or REITs and is subject to the DPP or REIT sponsor's final capital return determination as detailed in the IRS Form 1099 or K-1, as applicable.

Alternative or Other Investments, DPP, and Unlisted securities are not listed on a national securities exchange, are generally illiquid and that, even if a customer is able to sell the securities, the price received may be less than the per share estimated value provided in the account. The evaluation method used for any particular DPP or REIT will be provided to clients upon request.

Certain positions are not held on Apex's books or custodied by Apex and are not Protected by SIPC.

Pursuant to SEC Rule 606, Apex Clearing Corporation is required to make publicly available a quarterly report with regard to its routing of non-directed orders. For the purpose of this Rule, we

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1000 W. FULTON MARKET, CHICAGO, IL 60607 | 312.724.7075

RENE ZACHO

► ANNOUNCEMENTS (CONTINUED)

have entered into an agreement with Quantum5 Market Surveillance (a Division of S3 Matching Technologies) to disclose all required information pertaining to this rule. This information can be accessed on the internet at: <http://public.s3.com/rule606/apex/>, or a written copy will be furnished at no cost upon request via telephone to (214) 765-1009.

SEC Rule 606 (b) requires a broker-dealer to disclose to its customers, upon request, "the identity of the venue to which the customer's orders were routed for execution in the six months prior to the request, whether the orders were directed orders or non-directed orders, and the time of the transactions, if any, that resulted from such orders."

In accordance with the Emergency Economic Stabilization Act of 2008 broker-dealers are required to track and report cost basis to the IRS in three phases over the next three years.

- Equity securities acquired on or after January 1, 2011
- Mutual fund and dividend reinvestment plan (DRIP) shares acquired on or after January 1, 2012:
- Debit securities, options, and all other financial instruments acquired on or after January 1, 2014. (The IRS has extended this date from the previously announced date of January 1, 2013.)

Beginning this upcoming tax reporting season the cost basis of any covered equity security transaction (purchased after 12/31/10) that is required to be reported on a 1099-B will include its associated cost basis. If you have any questions about this important change to the IRS mandated reporting requirements, please contact your broker-dealer or registered advisor.

IMPORTANT INFORMATION CONTINUED

Please take note of the following description of Apex Clearing Corporation's excess SIPC coverage, which reflects certain changes made to the coverage effective August 8, 2013. The Securities Investor Protection Corporation ("SIPC") protects certain customer funds up to a ceiling of \$500,000, including a maximum of \$250,000 for cash claims. **Please note SIPC does not cover commodity contracts and options on futures.** For additional information regarding SIPC coverage, including a brochure, please contact SIPC at (202) 371-8300 or visit www.sipc.org.

Apex has purchased an additional insurance policy to supplement SIPC protection. This additional insurance policy, widely known as "excess SIPC," becomes available to customers in the event that SIPC limits are exhausted. This additional insurance provides protection for securities and cash up to an aggregate limit of \$150 million, subject to sub-limits for any one customer of \$37.5 million for securities and \$900,000 for cash. Similar to SIPC protection, this additional insurance does not protect against a loss in the market value of securities. For additional information, please contact your broker.

FDIC SWEEP PROGRAM

For customers with balances in a bank deposit account as part of the FDIC Sweep Program or shares of a money market mutual fund in which you have a beneficial interest, those balances or shares may be liquidated on your order and the proceeds returned to your account or remitted to you in accordance with the applicable prospectus and/or Terms and Conditions of the program.

For customers participating in the FDIC Sweep Program, the FDIC Sweep Program allows your cash balance to be eligible for insurance protection through the FDIC up to the maximum applicable insurance limits. Customers may obtain information about FDIC, by contacting the FDIC at 1-877-275-3342, 1-800-925-4618 (TDD) or by visiting www.fdic.gov. Deposit Account balances in the FDIC Sweep Program are not protected by SIPC or any other excess coverage by Apex Clearing Corporation. Deposit Account balances are protected as established by current applicable laws regulated by the FDIC.

Customers may obtain information about SIPC, including the SIPC brochure, by contacting SIPC at 202-371-8300 or by visiting www.SIPC.org.

IMPORTANT INFORMATION

APEX CLEARING CORPORATION DISCLOSURE STATEMENT

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► **ANNOUNCEMENTS (CONTINUED)**

Apex Clearing Corporation ("Apex") recognizes the importance of providing information on an ongoing basis to the customers whose accounts are cleared through Apex. Your broker/dealer has designated Apex as its clearing firm. In accordance with industry rules and regulations, Apex is required to disclose on an annual basis certain important regulatory notices and disclosures. To comply with these requirements, Apex has published an Annual Disclosure Statement which is available on the Apex corporate web site, www.apexclearing.com. For customers who do not have access to the internet please call Apex at 214-765-1009 and request a complete copy of the Annual Disclosure Statement be mailed to your address of record.

A brief summary of the content of the Annual Disclosure Statement is as follows:

- Anti-Money Laundering - Federal law requires all financial institutions to obtain, verify and record information that identifies each person who opens an account.
- Privacy Policy - The privacy of customers is a responsibility which Apex respects and protects for former customers as well as current customers.
- Margin Disclosure Statement: FINRA Rule 2264 - The Information furnished provides basic facts about purchasing securities on margin and alerts customers of certain risks involved in trading securities in a margin account.
- Day-Trading Risk Disclosure Statement: FINRA Rule 2270 - Information to be considered before engaging in a day-trading strategy.
- Business Continuity Plan: FINRA Rule 4370 - A further summary of Apex's Disaster Recovery Plan to reasonable ensure business continuity.
- SEC Rule 606 and 607 (Payment for Order Flow and Order Routing information) - (Rule 606) Requires Apex to make public a quarterly report with regard to routing of non-directed orders and (Rule 607) Requires Apex to disclose its payment for order flow practices.
- SEC Rule 10b-10 - Requires customers are provided with prior written notification of certain transactions that are not reported immediately through a trade confirmation.
- SIPC Information: FINRA Rule 2266 - The Securities Investor Protection Corporation ("SIPC") requires that funds are available to meet customer claims up to a ceiling of \$500,000, including a maximum of \$250,000 for cash claims. For more information about SIPC coverage or to receive a brochure, please visit the SIPC website at www.sipc.org or, call (202) 371-8300.
- Investor Education and Protection: FINRA Rule 2267 - Requires Apex to provide information about FINRA's BrokerCheck program. The investor brochure may be obtained from FINRA BrokerCheck hotline number (800) 289-9999 or the FINRA web site address www.FINRA.org.
- Joint NASD Industry Breakpoint Task Force - A further summary of a July 2003 report which recommends written disclosure regarding mutual fund breakpoints.
- Carrying Agreements: FINRA Rule 4311 - The firm with which you have opened your securities account has retained Apex to provide certain record keeping, clearance, and settlement functions. A further summary of details is disclosed.
- Extended Hours Trading Risk Disclosure: FINRA Rule 2265 - Risks to consider include lower liquidity, higher volatility, changing prices, unlinked markets, news announcements, wider spreads, and lack of calculation.
- Liens and Levies - Apex will abide by the directions of federal, state, or other levying authorities.
- Regulation E - Disclosure regarding certain electronic transfers is required under the provisions of this regulation as issued by the Board of Governors of the Federal Reserve System.
- Municipal Securities Rulemaking Board ("MSRB") Rule G-10 requires an annual notification that 1) Apex Clearing Corporation is registered with the U.S. Securities and Exchange Commission and the Municipal Securities Rulemaking Board, 2) the MSRB publishes an investor brochure that is published on their website that describes the protections that may be provided by the MSRB and how to file a complaint with the regulatory authorities and 3) a copy of the MSRB Investor Brochure as well as information regarding prospective, new and existing MSRB rules may be found on the MSRB website by going to the following link: <http://www.msrb.org/>,

IMPORTANT INFORMATION - Privacy Policy

Apex Clearing Corporation ("Apex") carries your account as a clearing broker by arrangement with your broker-dealer or registered investment advisor as Apex's introducing client. At Apex, we understand that privacy is an important issue for customers of our introducing firms. It is our policy to respect the privacy of all accounts that we maintain as clearing broker and to protect the security and confidentiality of non-public personal information relating to those accounts. Please note that this policy generally applies to former customers of Apex as well as current customers.

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► ANNOUNCEMENTS (CONTINUED)

Personal Information Collected

In order to service your account as a clearing broker, information is provided to Apex by your introducing firm who collects information from you in order to provide the financial services that you have requested. The information collected by your introducing firm and provided to Apex or otherwise obtained by Apex may come from the following sources and is not limited to:

- Information included in your applications or forms, such as your name, address, telephone number, social security number, occupation, and income;
- Information relating to your transactions, including account balances, positions, and activity;
- Information which may be received from consumer reporting agencies, such as credit bureau reports;
- Information relating to your creditworthiness;
- Information which may be received from other sources with your consent or with the consent of your introducing firm.

In addition to servicing your account, Apex may make use of your personal information for analysis purposes, for example, to draw conclusions, detect patterns or determine preferences.

Sharing of Nonpublic Personal Information

Apex does not disclose non-public personal information relating to current or former customers of introducing firms to any third parties, except as required or permitted by law, including but not limited to any obligations of Apex under the USA PATRIOT Act, and in order to facilitate the clearing of customer transactions in the ordinary course of business.

Apex has multiple affiliates and relationships with third party companies. Examples of these companies include financial and non-financial companies that perform services such as data processing and companies that perform securities executions on your behalf. We may share information among our affiliates and third parties, as permitted by law, in order to better service your financial needs and to pursue legitimate business interests, including to carry out, monitor and analyze our business, systems and operations.

Security

Apex strives to ensure that our systems are secure and that they meet industry standards. We seek to protect non- public personal information that is provided to Apex by your introducing firm or otherwise obtained by Apex by implementing physical and electronic safeguards. Where we believe appropriate, we employ firewalls, encryption technology, user authentication systems (i.e. passwords and personal identification numbers) and access control mechanisms to control access to systems and data. Apex endeavors to ensure that third party service providers who may have access to non-public personal information are following appropriate standards of security and confidentiality. Further, we instruct our employees to use strict standards of care in handling the personal financial information of customers. As a general policy, our staff will not discuss or disclose information regarding an account except; 1) with authorized personnel of your introducing firm, 2) as required by law or pursuant to regulatory request, or 3) as authorized by Apex to a third party or affiliate providing services to your account or pursuing Apex's legitimate business interests.

Access to Your Information

You may access your account information through a variety of media offered by your introducing firm and Apex (i.e. statements or online services). Please contact your introducing firm if you require any additional information.

IMPORTANT INFORMATION - Privacy Policy - CONTINUED

Apex may use "cookies" in order to provide better service, to facilitate its customers' use of the website, to track usage of the website, and to address security hazards. A cookie is a small piece of information that a website stores on a personal computer, and which it can later retrieve.

Changes to Apex's Privacy Policy

Apex reserves the right to make changes to this policy.

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► ANNOUNCEMENTS (CONTINUED)

How to Get in Touch with Apex about this Privacy Policy

For reference, this Privacy Policy is available on our website at www.apexclearing.com. For more information relating to Apex's Privacy Policy or to limit our sharing of your personal information, please contact:

Apex Clearing Corporation
Attn: Compliance Department 350 N. St. Paul St., Suite 1300
Dallas, Texas 75201
cs@apexclearing.com

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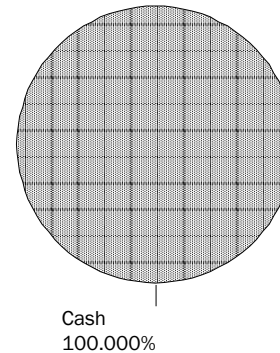
► ACCOUNT SUMMARY

	OPENING BALANCE	CLOSING BALANCE
Margin account	\$15,672.27	\$16,673.47
NET ACCOUNT BALANCE	15,672.27	16,673.47
Securities	494.00	0.00
TOTAL PRICED PORTFOLIO	494.00	0.00
Total Equity Holdings	\$16,166.27	\$16,673.47

► INCOME AND EXPENSE SUMMARY

	THIS PERIOD	YEAR TO DATE
Debit interest expense	\$0.00	\$1.26
Credit interest	\$0.11	\$0.78

► PORTFOLIO EQUITY ALLOCATION



ACCOUNT CARRIED BY:
**APEX CLEARING
CORPORATION**
MEMBER FINRA, NYSE and SIPC

See Reverse Side for Important Tax Information. This statement shall be conclusive if not objected to in writing within ten days. Errors and omissions excepted. Please address all communications to the firm and not to individuals. Address changes or other material changes on your account should be directed to the office servicing your account. Kindly mention your account number. **This statement should be retained for income tax purposes.**

IMPORTANT INFORMATION

You may have received a confirmation for a trade, which does not appear on this statement. If the settlement date of the trade as shown on the confirmation is later than the period ending date that appears at the top of this statement the trade will appear on your next regular monthly statement.

If this is a margin account and we maintain a special miscellaneous account for you, this is a combined statement of your general account and special miscellaneous account maintained for you under Regulation T issued by the Board of Governors of the Federal Reserve System. The permanent record of the special miscellaneous account as required by Regulation T is available for your inspection at your request.

The per annum rate of interest charged on the debit balance in your account is shown on this statement. This rate may change from time to time in accordance with fluctuations in interest rates. Interest is computed from the 16th day of the preceding month to the 15th day of the current month except in December and January. In December, the charges include the last day of the year and, in January, the interest is calculated from the first day of the month. The interest is based on the average daily net debit balance in your account with us, and for the actual number of days based on an interest year of 360 days. When calculating margin interest, free credit balances in all accounts will be offset against any debit in the margin account and the interest will be charged on the net debit balance.

We are required to report to the Internal Revenue Service all cash dividends and registered bond interest credited to your account on securities held for you in our name. We also report coupon bond interest. All dividends and interest credits should be included in your income tax return.

Information relative to commission and any other charges incurred in connection with listed option transactions occurring during the month has previously been furnished to you in confirmation of such transactions. A summary of this information will be made available to you promptly upon request. Exercise assignment notices for option contracts are allocated among customer short positions pursuant to a manual procedure with randomly selects form among all customer short option positions including those contracts which are subject to exercise. All short American style option positions are liable for assignment at any time whereas European style options are assigned at expiration. A more detailed description of our random allocation procedure is available upon request.

You are to promptly advise your brokerage firm or bank of any material changes concerning your investment objectives or financial situation.

Our financial statement is available for your personal inspection at our office, or a copy of it will be mailed upon your written request.

SIPC Protection. As a member of the Securities Investor Protection Corporation (SIPC), funds are available to meet customer claims up to a ceiling of \$500,000, including a maximum of \$250,000 for cash claims. For additional information regarding SIPC coverage, including a brochure, please contact SIPC at (202) 371-8300 or visit www.sipc.org. Apex has purchased an additional insurance policy through a group of London Underwriters to supplement SIPC protection. This additional insurance policy becomes available to customers in the event that SIPC limits are exhausted and provides protection for securities and cash up to certain limits. Similar to SIPC protection, this additional insurance does not protect against a loss in the market value of securities.

Any free credit balance represents funds payable upon demand which, although properly accounted for on our books of records, is not segregated, and may be used in the conduct of this firm's business as permissible under the SEC Rule 15c3-2.

NOTICE TO CUSTOMERS

Apex is a member of the New York Stock Exchange and various other exchanges. Apex acts as clearing agent for your trades.

As required under SEC rules, both the Firm's Order Routing Report as well as information regarding specific order routing information is available free of charge upon request.

Your account, which was introduced to us by your broker or bank, is established under your name on a "fully disclosed" basis at Apex. As a clearing agent, we provide securities clearance and may provide order execution on you broker's or bank's instructions.

You will remain a customer of your broker or bank. Apex will not be involved with or have any responsibility for decisions regarding securities transactions in your account. Your broker or bank will be responsible for opening, approving and monitoring all activities in connection with your account. The entry of orders, and any instructions regarding the deposit or withdrawal of securities or monies should be made through your broker or bank.

In addition to the above mentioned services, Apex will provide cashiering services, safeguarding of funds and securities while in Apex's possession, monitoring compliance with applicable credit Regulation T and Apex's internal policies, preparing and mailing your account records (including transaction confirmations and periodic statements of your account).

Interest charges to your account will be based on the size and net debit balance during the interest period. These rates are subject to revision without notice in accordance with any changes in the broker call loan rate, as published in the Wall Street Journal. For more complete information regarding interest charged to customers, consult the Truth in Lending Notice which is made available through your broker or bank.

Apex is a member of the Financial Industry Regulatory Authority, Inc. ("FINRA") and we are required to inform you of the availability of the FINRA Investor Brochure, which contains information on FINRA BrokerCheck. You may contact FINRA at 800-289-9999 or at their website at www.finra.org. Apex carries your account and acts as your custodian for funds and securities deposited with us directly by you, through your brokerage firm or bank or as a result of transactions we process for your account. Any suspected inaccuracy or discrepancy in your account statement must be promptly reported to both your brokerage firm or bank (not to your individual broker or agent) and Apex. In order to protect your rights, including your right to SIPC coverage, please confirm any oral communication in writing and include your brokerage account number. General inquiries or concerns regarding your account should be directed to your brokerage firm or bank. Account positions and balance inquiries or concerns should be directed to Apex by telephone at 214-765-1009.

ACCOUNT SUMMARY:

Displays applicable account type balance, money fund balances, priced portfolio value, and total account equity as of the opening and closing of the statement period. Priced Portfolio Value and Total Portfolio Equity are rounded to the nearest dollar. Total Priced Portfolio and Expense does not include unpriced securities.

INCOME AND EXPENSE SUMMARY:

Lists all income earned during the current statement period, as well as year to date. Section includes taxable and non-taxable dividends and interest, capital gains and MLP (Master Limited Partnership) distributions. This section also displays and Margin Interest Expenses.

PORTFOLIO EQUITY ALLOCATION:

The Pie Chart is an estimate for illustrative purposes only.

PORTFOLIO SUMMARY:

Lists all securities held in your account.

MARKET VALUE:

This amount represents the value of the security position in your portfolio based on appraisals obtained from the various quotation services. These appraisals are based on the closing prices, bond yields and/or the mean bid and ask on the last day of the statement period. Because of the nature of the data provided by the quotation services, we cannot guarantee the accuracy of such prices or the valuation dates particularly in the case of inactive or infrequently traded securities.

Some securities in your portfolio may be listed as "Unpriced" on your statement. We use an automated pricing service from an outside vendor and certain prices may not be available to them. You can obtain a current quotation, upon request, from your broker or bank.

Bond prices might differ from current market quotes. Similarly, bond ratings may differ from current actual ratings. Computerized pricing and rating services are often unable to supply us with up to the minute information. Your broker or bank will be pleased to obtain a current quotation upon request.

ESTIMATED ANNUAL INCOME

The current annual dividend or bond interest rate for each security held, if available from quotation services. The rate is multiplied by the number of shares or par value of bonds to determine estimated annual income.

OPEN ORDERS:

Displays all GTC (Good-Till-Cancelled) orders in your account. Also included in the section are GTX orders (GTC orders eligible for extended trading hours).

MONEY MARKET ACTIVITY:

Purchases, reinvestments and liquidations of money market funds, plus redemptions of money market fund checks.

DEFINITION OF ACCOUNT TYPES C=Cash, M=Margin, I=Income, L=Legal, S=Short, X=RVP/DVP, and O=Other

REALIZED GAIN/LOSS DETAIL AND PORTFOLIO SUMMARY SECTIONS:

Displays mutual funds by average cost and other securities by individual tax lot. Realized gains (losses) are reflected on a trade date basis for transactions settling during the current period or the period in which the shares were received, if later. Realized gains and losses may include transactions that settle during the following statement cycle. These transactions appear in the Portfolio Holdings section. Estimated unrealized gains (losses) are displayed for most securities currently held. The cost basis used in determining gains (losses) does not reflect wash sales and may not reflect all capital adjustments. Most exchanges reflected on this statement are treated as non-taxable, unless or until other information has been communicated to us. Cost basis of preferred securities with original issue discount ("OID") is not adjusted for the accretion of OID. For most long positions transferred between beneficial owners, the transferor's cost basis will be retained. For shares acquired from a decedent, you should consult your tax advisor to determine the appropriate valuations and holding period that applies. ALTHOUGH THE COST BASIS SHOWN MAY HAVE BEEN ADJUSTED, YOUR COST BASIS MAY REQUIRE ADDITIONAL ADJUSTMENTS. NOTE: WE DO NOT REPRESENT THE CALCULATIONS OF REALIZED AND UNREALIZED GAINS (LOSSES) AS AN OFFICIAL TAX ACCOUNTING OF SUCH FIGURES. FOR TAX PURPOSES, YOU SHOULD RELY ON YOUR OWN RECORDS AND THE CONSOLIDATED FORM 1099 SENT TO YOU.

Order Routing:

The SEC requires all broker-dealers that route orders in equity securities and options to make available quarterly reports that present a general overview of their routing practices. The reports must identify the significant venues to which customer orders were routed for execution during the applicable quarter and disclose the material aspects of the broker-dealer's relationship with such venues. In addition, the Rule (SEC 606) requires broker-dealers to disclose, on customer request, the venues to which the individual customer's orders were routed for the six months prior to the request, and the execution time for the orders that were executed. For further information, please contact your broker or financial advisor.

PLEASE RETAIN THIS STATEMENT AS IT WILL BE HELPFUL IN PREPARING YOUR INCOME TAX RETURNS AND MAY BE NEEDED ALONG WITH SUBSEQUENT STATEMENTS TO VERIFY INTEREST CHARGES IN YOUR ACCOUNT. THIS STATEMENT SHALL BE DEEMED CONCLUSIVE UNLESS OBJECTED TO IN WRITING WITHIN 10 BUSINESS DAYS OF THE STATEMENT CLOSING DATE.

MUTUAL FUNDS AND OTHER SECURITIES ARE NOT INSURED BY THE FDIC, ARE NOT DEPOSITS OR OBLIGATIONS OF, OR GUARANTEED BY APEX, AND INVOLVE INVESTMENT RISKS, INCLUDING THE POSSIBLE LOSS OF THE PRINCIPAL AMOUNT INVESTED.

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ACCOUNT NUMBER **5WT-39810-13 TUA**

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▶ ACCOUNT ACTIVITY

TRANSACTION	DATE	ACCOUNT TYPE	DESCRIPTION	QUANTITY	PRICE	DEBIT	CREDIT
BUY / SELL TRANSACTIONS							
BOUGHT	08/03/21	M	PUT SPY 09/07/21 436 STANDARD & POORS DEPOSITORY UNSOLICITED OPEN CONTRACT Security Number: 8PWKKM4	1	\$6.85	\$686.13	
BOUGHT	08/04/21	M	CALL TNA 09/10/21 86 DIREXION DAILY SMALL CP BLL 3X UNSOLICITED OPEN CONTRACT Security Number: 8PYQHY8	1	6.50	651.13	
SOLD	08/04/21	M	PUT PLBY 10/15/21 25 PLBY GROUP INC UNSOLICITED CLOSING CONTRACT Security Number: 8GSRVL7	1	2.52		251.85
SOLD	08/04/21	M	PUT SPY 09/07/21 436 STANDARD & POORS DEPOSITORY UNSOLICITED CLOSING CONTRACT Security Number: 8PWKKM4	1	7.82		781.85
BOUGHT	08/09/21	M	PUT VXX 09/17/21 28 IPATH SRS B S&P 500 VIX SHRT UNSOLICITED OPEN CONTRACT Security Number: 8PXVDJ9	3	2.85	858.40	
SOLD	08/09/21	M	CALL TNA 09/10/21 86 DIREXION DAILY SMALL CP BLL 3X UNSOLICITED CLOSING CONTRACT Security Number: 8PYQHY8	1	8.75		874.86

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▶ ACCOUNT ACTIVITY (CONTINUED)

TRANSACTION	DATE	ACCOUNT TYPE	DESCRIPTION	QUANTITY	PRICE	DEBIT	CREDIT
BUY / SELL TRANSACTIONS (continued)							
SOLD	08/10/21	M	PUT PLBY 10/15/21 25 PLBY GROUP INC UNSOLICITED CLOSING CONTRACT Security Number: 8GSRVL7	1	2.60		259.85
SOLD	08/10/21	M	PUT VXX 09/17/21 28 IPATH SRS B S&P 500 VIX SHRT UNSOLICITED CLOSING CONTRACT Security Number: 8PXYDJ9	1	3		299.85
SOLD	08/10/21	M	PUT VXX 09/17/21 28 IPATH SRS B S&P 500 VIX SHRT UNSOLICITED CLOSING CONTRACT Security Number: 8PXYDJ9	1	3		299.85
SOLD	08/13/21	M	PUT VXX 09/17/21 28 IPATH SRS B S&P 500 VIX SHRT UNSOLICITED CLOSING CONTRACT Security Number: 8PXYDJ9	1	4.05		404.85
BOUGHT	08/18/21	M	CALL TNA 09/17/21 84 DIREXION DAILY SMALL CP BLL 3X UNSOLICITED OPEN CONTRACT Security Number: 8KYXFK7	1	4.25	426.13	

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RENE ZACHO



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► ACCOUNT ACTIVITY (CONTINUED)

TRANSACTION	DATE	ACCOUNT TYPE	DESCRIPTION	QUANTITY	PRICE	DEBIT	CREDIT
BUY / SELL TRANSACTIONS (continued)							
SOLD	08/24/21	M	CALL TNA 09/17/21 84 DIREXION DAILY SMALL CP BLL 3X UNSOLICITED CLOSING CONTRACT Security Number: 8KYXFK7	1	4.90		489.85
Total Buy / Sell Transactions						\$2,621.79	\$3,662.81
DIVIDENDS AND INTEREST							
INTEREST	08/16/21	M	INTEREST ON CREDIT BALANCE AT 0.010% 07/16 THRU 08/15 CUSIP: 00099A109				\$0.11
Total Dividends And Interest							\$0.11
MISCELLANEOUS TRANSACTIONS							
FUD	08/10/21	M	daily futures settlement DFS(1628596920327)			\$116.14	
FUD	08/20/21	M	daily futures settlement DFS(1629460945549)			425.77	
FUR	08/24/21	M	daily futures settlement DFS(1629806487107)				501.98
Total Miscellaneous Transactions						\$541.91	\$501.98

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ACCOUNT NUMBER **5WT-39810-13 TUA**

RENE ZACHO

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► ANNOUNCEMENTS

IMPORTANT INFORMATION

Statement of Financial Condition

A copy of Apex Clearing Corporation's Audited Statement of Financial Condition as of December 31, 2020 is available on the website at www.apexclearing.com/disclosures/. A copy may also be obtained at no cost by calling Apex Clearing Corporation. As of December 31, 2020, Apex Clearing Corporation had a net capital of \$221,754,625 and was \$190,963,611 in excess of its required net capital of \$30,791,014. As of January 31, 2021, Apex Clearing Corporation had a net capital of \$316,877,867 and was \$269,611,762 in excess of its required net capital of \$47,266,105.

Apex's Policy for Dividends and interest

Apex's policy is to pay all dividends and interest in US Dollars. Apex will allow the following countries to be paid in their foreign currency (Canadian Dollars, British Pounds, Euros, Argentine Peso, Chinese Renminbi, Korean Won, Philippine Peso and Brazilian Real).

Participation in Fully Paid Lending Program

Customers participating in the Fully-Paid Securities Lending Program should be aware that shares on loan are not covered by FDIC or SIPC. Cash securities collateralizing shares are held at JP Morgan Chase & Co. and not subject to FDIC or SIPC protections. Please consult the Master Securities Lending Agreement for additional information.

Information Regarding Cost Basis for Foreign Account Statements

Foreign Currency: Cost basis is required to be reported in U.S. dollars for tax purposes. It is the responsibility of the account holder to convert sales proceeds paid in foreign currency to U.S. dollars to avoid inaccurate cost basis calculations. When reporting the purchase or sale, you must determine the U.S. dollar amounts to be reported as of the settlement date, at the spot rate or by following a reasonable spot rate convention. See Regulations section 1.6045-1(d)(8).

Payment of Interest to holders of Municipal Securities - you may be subject to a substitute interest payment if the transfer of ownership of your municipal security has not been completed prior to the next interest payment. Please contact a tax professional for more specific details.

IMPORTANT INFORMATION

To our valued customers:

FINRA Rule 2231 requires that we advise you to promptly report any inaccuracy or discrepancy in your account (within 10 days after available) to your brokerage firm and clearing firm (where these are different firms) and to re-confirm any oral communications in writing.

<https://www.finra.org/rules-guidance/notices/06-72>

"IMPORTANT - Part of your distribution includes a return of capital. Any distribution that represents a return of capital reduces the estimated per share value shown on your account statement."

The preceding notice is required when reporting distributions on Direct Participation Programs and/or REITs and is subject to the DPP or REIT sponsor's final capital return determination as detailed in the IRS Form 1099 or K-1, as applicable.

Alternative or Other Investments, DPP, and Unlisted securities are not listed on a national securities exchange, are generally illiquid and that, even if a customer is able to sell the securities, the price received may be less than the per share estimated value provided in the account. The evaluation method used for any particular DPP or REIT will be provided to clients upon request.

Certain positions are not held on Apex's books or custodied by Apex and are not Protected by SIPC.

Pursuant to SEC Rule 606, Apex Clearing Corporation is required to make publicly available a quarterly report with regard to its routing of non-directed orders. For the purpose of this Rule, we

August 1, 2021 - August 31, 2021

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ACCOUNT NUMBER **5WT-39810-13 TUA**



1000 W. FULTON MARKET, CHICAGO, IL 60607 | 312.724.7075

RENE ZACHO

► ANNOUNCEMENTS (CONTINUED)

have entered into an agreement with Quantum5 Market Surveillance (a Division of S3 Matching Technologies) to disclose all required information pertaining to this rule. This information can be accessed on the internet at: <http://public.s3.com/rule606/apex/>, or a written copy will be furnished at no cost upon request via telephone to (214) 765-1009.

SEC Rule 606 (b) requires a broker-dealer to disclose to its customers, upon request, "the identity of the venue to which the customer's orders were routed for execution in the six months prior to the request, whether the orders were directed orders or non-directed orders, and the time of the transactions, if any, that resulted from such orders."

In accordance with the Emergency Economic Stabilization Act of 2008 broker-dealers are required to track and report cost basis to the IRS in three phases over the next three years.

- Equity securities acquired on or after January 1, 2011
- Mutual fund and dividend reinvestment plan (DRIP) shares acquired on or after January 1, 2012:
- Debit securities, options, and all other financial instruments acquired on or after January 1, 2014. (The IRS has extended this date from the previously announced date of January 1, 2013.)

Beginning this upcoming tax reporting season the cost basis of any covered equity security transaction (purchased after 12/31/10) that is required to be reported on a 1099-B will include its associated cost basis. If you have any questions about this important change to the IRS mandated reporting requirements, please contact your broker-dealer or registered advisor.

IMPORTANT INFORMATION CONTINUED

Please take note of the following description of Apex Clearing Corporation's excess SIPC coverage, which reflects certain changes made to the coverage effective August 8, 2013. The Securities Investor Protection Corporation ("SIPC") protects certain customer funds up to a ceiling of \$500,000, including a maximum of \$250,000 for cash claims. **Please note SIPC does not cover commodity contracts and options on futures.** For additional information regarding SIPC coverage, including a brochure, please contact SIPC at (202) 371-8300 or visit www.sipc.org.

Apex has purchased an additional insurance policy to supplement SIPC protection. This additional insurance policy, widely known as "excess SIPC," becomes available to customers in the event that SIPC limits are exhausted. This additional insurance provides protection for securities and cash up to an aggregate limit of \$150 million, subject to sub-limits for any one customer of \$37.5 million for securities and \$900,000 for cash. Similar to SIPC protection, this additional insurance does not protect against a loss in the market value of securities. For additional information, please contact your broker.

FDIC SWEEP PROGRAM

For customers with balances in a bank deposit account as part of the FDIC Sweep Program or shares of a money market mutual fund in which you have a beneficial interest, those balances or shares may be liquidated on your order and the proceeds returned to your account or remitted to you in accordance with the applicable prospectus and/or Terms and Conditions of the program.

For customers participating in the FDIC Sweep Program, the FDIC Sweep Program allows your cash balance to be eligible for insurance protection through the FDIC up to the maximum applicable insurance limits. Customers may obtain information about FDIC, by contacting the FDIC at 1-877-275-3342, 1-800-925-4618 (TDD) or by visiting www.fdic.gov. Deposit Account balances in the FDIC Sweep Program are not protected by SIPC or any other excess coverage by Apex Clearing Corporation. Deposit Account balances are protected as established by current applicable laws regulated by the FDIC.

Customers may obtain information about SIPC, including the SIPC brochure, by contacting SIPC at 202-371-8300 or by visiting www.SIPC.org.

IMPORTANT INFORMATION

APEX CLEARING CORPORATION DISCLOSURE STATEMENT

August 1, 2021 - August 31, 2021

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ACCOUNT NUMBER **SWT-39810-13 TUA**



1000 W. FULTON MARKET, CHICAGO, IL 60607 | 312.724.7075

RENE ZACHO

► ANNOUNCEMENTS (CONTINUED)

Apex Clearing Corporation ("Apex") recognizes the importance of providing information on an ongoing basis to the customers whose accounts are cleared through Apex. Your broker/dealer has designated Apex as its clearing firm. In accordance with industry rules and regulations, Apex is required to disclose on an annual basis certain important regulatory notices and disclosures. To comply with these requirements, Apex has published an Annual Disclosure Statement which is available on the Apex corporate web site, www.apexclearing.com. For customers who do not have access to the internet please call Apex at 214-765-1009 and request a complete copy of the Annual Disclosure Statement be mailed to your address of record.

A brief summary of the content of the Annual Disclosure Statement is as follows:

- Anti-Money Laundering - Federal law requires all financial institutions to obtain, verify and record information that identifies each person who opens an account.
- Privacy Policy - The privacy of customers is a responsibility which Apex respects and protects for former customers as well as current customers.
- Margin Disclosure Statement: FINRA Rule 2264 - The Information furnished provides basic facts about purchasing securities on margin and alerts customers of certain risks involved in trading securities in a margin account.
- Day-Trading Risk Disclosure Statement: FINRA Rule 2270 - Information to be considered before engaging in a day-trading strategy.
- Business Continuity Plan: FINRA Rule 4370 - A further summary of Apex's Disaster Recovery Plan to reasonable ensure business continuity.
- SEC Rule 606 and 607 (Payment for Order Flow and Order Routing information) - (Rule 606) Requires Apex to make public a quarterly report with regard to routing of non-directed orders and (Rule 607) Requires Apex to disclose its payment for order flow practices.
- SEC Rule 10b-10 - Requires customers are provided with prior written notification of certain transactions that are not reported immediately through a trade confirmation.
- SIPC Information: FINRA Rule 2266 - The Securities Investor Protection Corporation ("SIPC") requires that funds are available to meet customer claims up to a ceiling of \$500,000, including a maximum of \$250,000 for cash claims. For more information about SIPC coverage or to receive a brochure, please visit the SIPC website at www.sipc.org or, call (202) 371-8300.
- Investor Education and Protection: FINRA Rule 2267 - Requires Apex to provide information about FINRA's BrokerCheck program. The investor brochure may be obtained from FINRA BrokerCheck hotline number (800) 289-9999 or the FINRA web site address www.FINRA.org.
- Joint NASD Industry Breakpoint Task Force - A further summary of a July 2003 report which recommends written disclosure regarding mutual fund breakpoints.
- Carrying Agreements: FINRA Rule 4311 - The firm with which you have opened your securities account has retained Apex to provide certain record keeping, clearance, and settlement functions. A further summary of details is disclosed.
- Extended Hours Trading Risk Disclosure: FINRA Rule 2265 - Risks to consider include lower liquidity, higher volatility, changing prices, unlinked markets, news announcements, wider spreads, and lack of calculation.
- Liens and Levies - Apex will abide by the directions of federal, state, or other levying authorities.
- Regulation E - Disclosure regarding certain electronic transfers is required under the provisions of this regulation as issued by the Board of Governors of the Federal Reserve System.
- Municipal Securities Rulemaking Board ("MSRB") Rule G-10 requires an annual notification that 1) Apex Clearing Corporation is registered with the U.S. Securities and Exchange Commission and the Municipal Securities Rulemaking Board, 2) the MSRB publishes an investor brochure that is published on their website that describes the protections that may be provided by the MSRB and how to file a complaint with the regulatory authorities and 3) a copy of the MSRB Investor Brochure as well as information regarding prospective, new and existing MSRB rules may be found on the MSRB website by going to the following link: <http://www.msrb.org/>,

IMPORTANT INFORMATION - Privacy Policy

Apex Clearing Corporation ("Apex") carries your account as a clearing broker by arrangement with your broker-dealer or registered investment advisor as Apex's introducing client. At Apex, we understand that privacy is an important issue for customers of our introducing firms. It is our policy to respect the privacy of all accounts that we maintain as clearing broker and to protect the security and confidentiality of non-public personal information relating to those accounts. Please note that this policy generally applies to former customers of Apex as well as current customers.

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ACCOUNT NUMBER **5WT-39810-13 TUA**

RENE ZACHO



1000 W. FULTON MARKET, CHICAGO, IL 60607 | 312.724.7075

► ANNOUNCEMENTS (CONTINUED)

Personal Information Collected

In order to service your account as a clearing broker, information is provided to Apex by your introducing firm who collects information from you in order to provide the financial services that you have requested. The information collected by your introducing firm and provided to Apex or otherwise obtained by Apex may come from the following sources and is not limited to:

- Information included in your applications or forms, such as your name, address, telephone number, social security number, occupation, and income;
- Information relating to your transactions, including account balances, positions, and activity;
- Information which may be received from consumer reporting agencies, such as credit bureau reports;
- Information relating to your creditworthiness;
- Information which may be received from other sources with your consent or with the consent of your introducing firm.

In addition to servicing your account, Apex may make use of your personal information for analysis purposes, for example, to draw conclusions, detect patterns or determine preferences.

Sharing of Nonpublic Personal Information

Apex does not disclose non-public personal information relating to current or former customers of introducing firms to any third parties, except as required or permitted by law, including but not limited to any obligations of Apex under the USA PATRIOT Act, and in order to facilitate the clearing of customer transactions in the ordinary course of business.

Apex has multiple affiliates and relationships with third party companies. Examples of these companies include financial and non-financial companies that perform services such as data processing and companies that perform securities executions on your behalf. We may share information among our affiliates and third parties, as permitted by law, in order to better service your financial needs and to pursue legitimate business interests, including to carry out, monitor and analyze our business, systems and operations.

Security

Apex strives to ensure that our systems are secure and that they meet industry standards. We seek to protect non- public personal information that is provided to Apex by your introducing firm or otherwise obtained by Apex by implementing physical and electronic safeguards. Where we believe appropriate, we employ firewalls, encryption technology, user authentication systems (i.e. passwords and personal identification numbers) and access control mechanisms to control access to systems and data. Apex endeavors to ensure that third party service providers who may have access to non-public personal information are following appropriate standards of security and confidentiality. Further, we instruct our employees to use strict standards of care in handling the personal financial information of customers. As a general policy, our staff will not discuss or disclose information regarding an account except; 1) with authorized personnel of your introducing firm, 2) as required by law or pursuant to regulatory request, or 3) as authorized by Apex to a third party or affiliate providing services to your account or pursuing Apex's legitimate business interests.

Access to Your Information

You may access your account information through a variety of media offered by your introducing firm and Apex (i.e. statements or online services). Please contact your introducing firm if you require any additional information.

IMPORTANT INFORMATION - Privacy Policy - CONTINUED

Apex may use "cookies" in order to provide better service, to facilitate its customers' use of the website, to track usage of the website, and to address security hazards. A cookie is a small piece of information that a website stores on a personal computer, and which it can later retrieve.

Changes to Apex's Privacy Policy

Apex reserves the right to make changes to this policy.

August 1, 2021 - August 31, 2021

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ACCOUNT NUMBER **5WT-39810-13 TUA**

RENE ZACHO

► ANNOUNCEMENTS (CONTINUED)

How to Get in Touch with Apex about this Privacy Policy

For reference, this Privacy Policy is available on our website at www.apexclearing.com. For more information relating to Apex's Privacy Policy or to limit our sharing of your personal information, please contact:

Apex Clearing Corporation
Attn: Compliance Department 350 N. St. Paul St., Suite 1300
Dallas, Texas 75201
cs@apexclearing.com

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1000 W. FULTON MARKET, CHICAGO, IL 60607 | 312.724.7075



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ACCOUNT NUMBER **5WT-39810-13 TUA**

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TROJBORGVEJ 72C 4 4
8200 AARHUS N
DENMARK

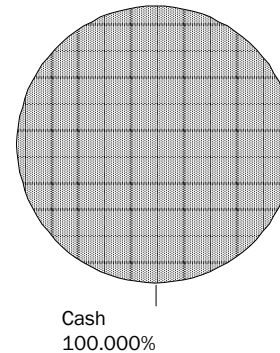
► ACCOUNT SUMMARY

	OPENING BALANCE	CLOSING BALANCE
Margin account	\$16,673.47	\$16,673.61
NET ACCOUNT BALANCE	16,673.47	16,673.61
TOTAL PRICED PORTFOLIO	0.00	0.00
Total Equity Holdings	\$16,673.47	\$16,673.61

► INCOME AND EXPENSE SUMMARY

	THIS PERIOD	YEAR TO DATE
Debit interest expense	\$0.00	\$1.26
Credit interest	\$0.14	\$0.92

► PORTFOLIO EQUITY ALLOCATION



ACCOUNT CARRIED BY:
**APEX CLEARING
CORPORATION**
MEMBER FINRA, NYSE and SIPC

See Reverse Side for Important Tax Information. This statement shall be conclusive if not objected to in writing within ten days. Errors and omissions excepted. Please address all communications to the firm and not to individuals. Address changes or other material changes on your account should be directed to the office servicing your account. Kindly mention your account number. **This statement should be retained for income tax purposes.**

IMPORTANT INFORMATION

You may have received a confirmation for a trade, which does not appear on this statement. If the settlement date of the trade as shown on the confirmation is later than the period ending date that appears at the top of this statement the trade will appear on your next regular monthly statement.

If this is a margin account and we maintain a special miscellaneous account for you, this is a combined statement of your general account and special miscellaneous account maintained for you under Regulation T issued by the Board of Governors of the Federal Reserve System. The permanent record of the special miscellaneous account as required by Regulation T is available for your inspection at your request.

The per annum rate of interest charged on the debit balance in your account is shown on this statement. This rate may change from time to time in accordance with fluctuations in interest rates. Interest is computed from the 16th day of the preceding month to the 15th day of the current month except in December and January. In December, the charges include the last day of the year and, in January, the interest is calculated from the first day of the month. The interest is based on the average daily net debit balance in your account with us, and for the actual number of days based on an interest year of 360 days. When calculating margin interest, free credit balances in all accounts will be offset against any debit in the margin account and the interest will be charged on the net debit balance.

We are required to report to the Internal Revenue Service all cash dividends and registered bond interest credited to your account on securities held for you in our name. We also report coupon bond interest. All dividends and interest credits should be included in your income tax return.

Information relative to commission and any other charges incurred in connection with listed option transactions occurring during the month has previously been furnished to you in confirmation of such transactions. A summary of this information will be made available to you promptly upon request. Exercise assignment notices for option contracts are allocated among customer short positions pursuant to a manual procedure with randomly selects form among all customer short option positions including those contracts which are subject to exercise. All short American style option positions are liable for assignment at any time whereas European style options are assigned at expiration. A more detailed description of our random allocation procedure is available upon request.

You are to promptly advise your brokerage firm or bank of any material changes concerning your investment objectives or financial situation.

Our financial statement is available for your personal inspection at our office, or a copy of it will be mailed upon your written request.

SIPC Protection. As a member of the Securities Investor Protection Corporation (SIPC), funds are available to meet customer claims up to a ceiling of \$500,000, including a maximum of \$250,000 for cash claims. For additional information regarding SIPC coverage, including a brochure, please contact SIPC at (202) 371-8300 or visit www.sipc.org. Apex has purchased an additional insurance policy through a group of London Underwriters to supplement SIPC protection. This additional insurance policy becomes available to customers in the event that SIPC limits are exhausted and provides protection for securities and cash up to certain limits. Similar to SIPC protection, this additional insurance does not protect against a loss in the market value of securities.

Any free credit balance represents funds payable upon demand which, although properly accounted for on our books of records, is not segregated, and may be used in the conduct of this firm's business as permissible under the SEC Rule 15c3-2.

NOTICE TO CUSTOMERS

Apex is a member of the New York Stock Exchange and various other exchanges. Apex acts as clearing agent for your trades.

As required under SEC rules, both the Firm's Order Routing Report as well as information regarding specific order routing information is available free of charge upon request.

Your account, which was introduced to us by your broker or bank, is established under your name on a "fully disclosed" basis at Apex. As a clearing agent, we provide securities clearance and may provide order execution on you broker's or bank's instructions.

You will remain a customer of your broker or bank. Apex will not be involved with or have any responsibility for decisions regarding securities transactions in your account. Your broker or bank will be responsible for opening, approving and monitoring all activities in connection with your account. The entry of orders, and any instructions regarding the deposit or withdrawal of securities or monies should be made through your broker or bank.

In addition to the above mentioned services, Apex will provide cashiering services, safeguarding of funds and securities while in Apex's possession, monitoring compliance with applicable credit Regulation T and Apex's internal policies, preparing and mailing your account records (including transaction confirmations and periodic statements of your account).

Interest charges to your account will be based on the size and net debit balance during the interest period. These rates are subject to revision without notice in accordance with any changes in the broker call loan rate, as published in the Wall Street Journal. For more complete information regarding interest charged to customers, consult the Truth in Lending Notice which is made available through your broker or bank.

Apex is a member of the Financial Industry Regulatory Authority, Inc. ("FINRA") and we are required to inform you of the availability of the FINRA Investor Brochure, which contains information on FINRA BrokerCheck. You may contact FINRA at 800-289-9999 or at their website at www.finra.org. Apex carries your account and acts as your custodian for funds and securities deposited with us directly by you, through your brokerage firm or bank or as a result of transactions we process for your account. Any suspected inaccuracy or discrepancy in your account statement must be promptly reported to both your brokerage firm or bank (not to your individual broker or agent) and Apex. In order to protect your rights, including your right to SIPC coverage, please confirm any oral communication in writing and include your brokerage account number. General inquiries or concerns regarding your account should be directed to your brokerage firm or bank. Account positions and balance inquiries or concerns should be directed to Apex by telephone at 214-765-1009.

ACCOUNT SUMMARY:

Displays applicable account type balance, money fund balances, priced portfolio value, and total account equity as of the opening and closing of the statement period. Priced Portfolio Value and Total Portfolio Equity are rounded to the nearest dollar. Total Priced Portfolio and Expense does not include unpriced securities.

INCOME AND EXPENSE SUMMARY:

Lists all income earned during the current statement period, as well as year to date. Section includes taxable and non-taxable dividends and interest, capital gains and MLP (Master Limited Partnership) distributions. This section also displays and Margin Interest Expenses.

PORTFOLIO EQUITY ALLOCATION:

The Pie Chart is an estimate for illustrative purposes only.

PORTFOLIO SUMMARY:

Lists all securities held in your account.

MARKET VALUE:

This amount represents the value of the security position in your portfolio based on appraisals obtained from the various quotation services. These appraisals are based on the closing prices, bond yields and/or the mean bid and ask on the last day of the statement period. Because of the nature of the data provided by the quotation services, we cannot guarantee the accuracy of such prices or the valuation dates particularly in the case of inactive or infrequently traded securities.

Some securities in your portfolio may be listed as "Unpriced" on your statement. We use an automated pricing service from an outside vendor and certain prices may not be available to them. You can obtain a current quotation, upon request, from your broker or bank.

Bond prices might differ from current market quotes. Similarly, bond ratings may differ from current actual ratings. Computerized pricing and rating services are often unable to supply us with up to the minute information. Your broker or bank will be pleased to obtain a current quotation upon request.

ESTIMATED ANNUAL INCOME

The current annual dividend or bond interest rate for each security held, if available from quotation services. The rate is multiplied by the number of shares or par value of bonds to determine estimated annual income.

OPEN ORDERS:

Displays all GTC (Good-Till-Cancelled) orders in your account. Also included in the section are GTX orders (GTC orders eligible for extended trading hours).

MONEY MARKET ACTIVITY:

Purchases, reinvestments and liquidations of money market funds, plus redemptions of money market fund checks.

DEFINITION OF ACCOUNT TYPES C=Cash, M=Margin, I=Income, L=Legal, S=Short, X=RVP/DVP, and O=Other

REALIZED GAIN/LOSS DETAIL AND PORTFOLIO SUMMARY SECTIONS:

Displays mutual funds by average cost and other securities by individual tax lot. Realized gains (losses) are reflected on a trade date basis for transactions settling during the current period or the period in which the shares were received, if later. Realized gains and losses may include transactions that settle during the following statement cycle. These transactions appear in the Portfolio Holdings section. Estimated unrealized gains (losses) are displayed for most securities currently held. The cost basis used in determining gains (losses) does not reflect wash sales and may not reflect all capital adjustments. Most exchanges reflected on this statement are treated as non-taxable, unless or until other information has been communicated to us. Cost basis of preferred securities with original issue discount ("OID") is not adjusted for the accretion of OID. For most long positions transferred between beneficial owners, the transferor's cost basis will be retained. For shares acquired from a decedent, you should consult your tax advisor to determine the appropriate valuations and holding period that applies. ALTHOUGH THE COST BASIS SHOWN MAY HAVE BEEN ADJUSTED, YOUR COST BASIS MAY REQUIRE ADDITIONAL ADJUSTMENTS. NOTE: WE DO NOT REPRESENT THE CALCULATIONS OF REALIZED AND UNREALIZED GAINS (LOSSES) AS AN OFFICIAL TAX ACCOUNTING OF SUCH FIGURES. FOR TAX PURPOSES, YOU SHOULD RELY ON YOUR OWN RECORDS AND THE CONSOLIDATED FORM 1099 SENT TO YOU.

Order Routing:

The SEC requires all broker-dealers that route orders in equity securities and options to make available quarterly reports that present a general overview of their routing practices. The reports must identify the significant venues to which customer orders were routed for execution during the applicable quarter and disclose the material aspects of the broker-dealer's relationship with such venues. In addition, the Rule (SEC 606) requires broker-dealers to disclose, on customer request, the venues to which the individual customer's orders were routed for the six months prior to the request, and the execution time for the orders that were executed. For further information, please contact your broker or financial advisor.

PLEASE RETAIN THIS STATEMENT AS IT WILL BE HELPFUL IN PREPARING YOUR INCOME TAX RETURNS AND MAY BE NEEDED ALONG WITH SUBSEQUENT STATEMENTS TO VERIFY INTEREST CHARGES IN YOUR ACCOUNT. THIS STATEMENT SHALL BE DEEMED CONCLUSIVE UNLESS OBJECTED TO IN WRITING WITHIN 10 BUSINESS DAYS OF THE STATEMENT CLOSING DATE.

MUTUAL FUNDS AND OTHER SECURITIES ARE NOT INSURED BY THE FDIC, ARE NOT DEPOSITS OR OBLIGATIONS OF, OR GUARANTEED BY APEX, AND INVOLVE INVESTMENT RISKS, INCLUDING THE POSSIBLE LOSS OF THE PRINCIPAL AMOUNT INVESTED.

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▶ ACCOUNT ACTIVITY

		ACCOUNT					
TRANSACTION	DATE	TYPE	DESCRIPTION	QUANTITY	PRICE	DEBIT	CREDIT
DIVIDENDS AND INTEREST							
INTEREST	09/16/21	M	INTEREST ON CREDIT BALANCE AT 0.010% 08/16 THRU 09/15 CUSIP: 00099A109				\$0.14
Total Dividends And Interest							\$0.14

September 1, 2021 - September 30, 2021

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ACCOUNT NUMBER **5WT-39810-13 TUA**

RENE ZACHO



1000 W. FULTON MARKET, CHICAGO, IL 60607 | 312.724.7075

► ANNOUNCEMENTS

IMPORTANT INFORMATION

Statement of Financial Condition

A copy of Apex Clearing Corporation's Unaudited Statement of Financial Condition as of June 30, 2021 is available on the website at www.apexclearing.com/disclosures/. A copy may also be obtained at no cost by calling Apex Clearing Corporation. As of June 30, 2021, Apex Clearing Corporation had a net capital of \$407,242,025 and was \$359,371,347 in excess of its required net capital of \$47,870,678. As of July 31, 2021, Apex Clearing Corporation had a net capital of \$416,271,626 and was \$370,434,309 in excess of its required net capital of \$45,837,317.

Apex's Policy for Dividends and Interest

Apex's policy is to pay all dividends and interest in US Dollars. Apex will allow the following countries to be paid in their foreign currency (Canadian Dollars, British Pounds, Euros, Argentine Peso, Chinese Renminbi, Korean Won, Philippine Peso and Brazilian Real).

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IMPORTANT INFORMATION

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<https://www.finra.org/rules-guidance/notices/06-72>

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ACCOUNT NUMBER **SWT-39810-13 TUA**



1000 W. FULTON MARKET, CHICAGO, IL 60607 | 312.724.7075

RENE ZACHO

► ANNOUNCEMENTS (CONTINUED)

be accessed on the internet at: <http://public.s3.com/rule606/apex/>, or a written copy will be furnished at no cost upon request via telephone to (214) 765-1009.

SEC Rule 606 (b) requires a broker-dealer to disclose to its customers, upon request, "the identity of the venue to which the customer's orders were routed for execution in the six months prior to the request, whether the orders were directed orders or non-directed orders, and the time of the transactions, if any, that resulted from such orders."

In accordance with the Emergency Economic Stabilization Act of 2008 broker-dealers are required to track and report cost basis to the IRS in three phases over the next three years.

- Equity securities acquired on or after January 1, 2011
- Mutual fund and dividend reinvestment plan (DRIP) shares acquired on or after January 1, 2012:
- Debit securities, options, and all other financial instruments acquired on or after January 1, 2014. (The IRS has extended this date from the previously announced date of January 1, 2013.)

Beginning this upcoming tax reporting season the cost basis of any covered equity security transaction (purchased after 12/31/10) that is required to be reported on a 1099-B will include its associated cost basis. If you have any questions about this important change to the IRS mandated reporting requirements, please contact your broker-dealer or registered advisor.

IMPORTANT INFORMATION CONTINUED

Please take note of the following description of Apex Clearing Corporation's excess SIPC coverage, which reflects certain changes made to the coverage effective August 8, 2013. The Securities Investor Protection Corporation ("SIPC") protects certain customer funds up to a ceiling of \$500,000, including a maximum of \$250,000 for cash claims. **Please note SIPC does not cover commodity contracts and options on futures.** For additional information regarding SIPC coverage, including a brochure, please contact SIPC at (202) 371-8300 or visit www.sipc.org.

Apex has purchased an additional insurance policy to supplement SIPC protection. This additional insurance policy, widely known as "excess SIPC," becomes available to customers in the event that SIPC limits are exhausted. This additional insurance provides protection for securities and cash up to an aggregate limit of \$150 million, subject to sub-limits for any one customer of \$37.5 million for securities and \$900,000 for cash. Similar to SIPC protection, this additional insurance does not protect against a loss in the market value of securities. For additional information, please contact your broker.

FDIC SWEEP PROGRAM

For customers with balances in a bank deposit account as part of the FDIC Sweep Program or shares of a money market mutual fund in which you have a beneficial interest, those balances or shares may be liquidated on your order and the proceeds returned to your account or remitted to you in accordance with the applicable prospectus and/or Terms and Conditions of the program.

For customers participating in the FDIC Sweep Program, the FDIC Sweep Program allows your cash balance to be eligible for insurance protection through the FDIC up to the maximum applicable insurance limits. Customers may obtain information about FDIC, by contacting the FDIC at 1-877-275-3342, 1-800-925-4618 (TDD) or by visiting www.fdic.gov. Deposit Account balances in the FDIC Sweep Program are not protected by SIPC or any other excess coverage by Apex Clearing Corporation. Deposit Account balances are protected as established by current applicable laws regulated by the FDIC.

Customers may obtain information about SIPC, including the SIPC brochure, by contacting SIPC at 202-371-8300 or by visiting www.SIPC.org.

IMPORTANT INFORMATION

APEX CLEARING CORPORATION DISCLOSURE STATEMENT

Apex Clearing Corporation ("Apex") recognizes the importance of providing information on an ongoing basis to the customers whose accounts are cleared through Apex. Your broker/dealer has

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ACCOUNT NUMBER **SWT-39810-13 TUA**

RENE ZACHO

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► ANNOUNCEMENTS (CONTINUED)

designated Apex as its clearing firm. In accordance with industry rules and regulations, Apex is required to disclose on an annual basis certain important regulatory notices and disclosures. To comply with these requirements, Apex has published an Annual Disclosure Statement which is available on the Apex corporate web site, www.apexclearing.com. For customers who do not have access to the internet please call Apex at 214-765-1009 and request a complete copy of the Annual Disclosure Statement be mailed to your address of record.

A brief summary of the content of the Annual Disclosure Statement is as follows:

- Anti-Money Laundering - Federal law requires all financial institutions to obtain, verify and record information that identifies each person who opens an account.
- Privacy Policy - The privacy of customers is a responsibility which Apex respects and protects for former customers as well as current customers.
- Margin Disclosure Statement: FINRA Rule 2264 - The Information furnished provides basic facts about purchasing securities on margin and alerts customers of certain risks involved in trading securities in a margin account.
- Day-Trading Risk Disclosure Statement: FINRA Rule 2270 - Information to be considered before engaging in a day-trading strategy.
- Business Continuity Plan: FINRA Rule 4370 - A further summary of Apex's Disaster Recovery Plan to reasonable ensure business continuity.
- SEC Rule 606 and 607 (Payment for Order Flow and Order Routing information) - (Rule 606) Requires Apex to make public a quarterly report with regard to routing of non-directed orders and (Rule 607) Requires Apex to disclose its payment for order flow practices.
- SEC Rule 10b-10 - Requires customers are provided with prior written notification of certain transactions that are not reported immediately through a trade confirmation.
- SIPC Information: FINRA Rule 2266 - The Securities Investor Protection Corporation ("SIPC") requires that funds are available to meet customer claims up to a ceiling of \$500,000, including a maximum of \$250,000 for cash claims. For more information about SIPC coverage or to receive a brochure, please visit the SIPC website at www.sipc.org or, call (202) 371-8300.
- Investor Education and Protection: FINRA Rule 2267 - Requires Apex to provide information about FINRA's BrokerCheck program. The investor brochure may be obtained from FINRA BrokerCheck hotline number (800) 289-9999 or the FINRA web site address www.FINRA.org.
- Joint NASD Industry Breakpoint Task Force - A further summary of a July 2003 report which recommends written disclosure regarding mutual fund breakpoints.
- Carrying Agreements: FINRA Rule 4311 - The firm with which you have opened your securities account has retained Apex to provide certain record keeping, clearance, and settlement functions. A further summary of details is disclosed.
- Extended Hours Trading Risk Disclosure: FINRA Rule 2265 - Risks to consider include lower liquidity, higher volatility, changing prices, unlinked markets, news announcements, wider spreads, and lack of calculation.
- Liens and Levies - Apex will abide by the directions of federal, state, or other levying authorities.
- Regulation E - Disclosure regarding certain electronic transfers is required under the provisions of this regulation as issued by the Board of Governors of the Federal Reserve System.
- Municipal Securities Rulemaking Board ("MSRB") Rule G-10 requires an annual notification that 1) Apex Clearing Corporation is registered with the U.S. Securities and Exchange Commission and the Municipal Securities Rulemaking Board, 2) the MSRB publishes an investor brochure that is published on their website that describes the protections that may be provided by the MSRB and how to file a complaint with the regulatory authorities and 3) a copy of the MSRB Investor Brochure as well as information regarding prospective, new and existing MSRB rules may be found on the MSRB website by going to the following link: <http://www.msrb.org/>,

IMPORTANT INFORMATION - Privacy Policy

Apex Clearing Corporation ("Apex") carries your account as a clearing broker by arrangement with your broker-dealer or registered investment advisor as Apex's introducing client. At Apex, we understand that privacy is an important issue for customers of our introducing firms. It is our policy to respect the privacy of all accounts that we maintain as clearing broker and to protect the security and confidentiality of non-public personal information relating to those accounts. Please note that this policy generally applies to former customers of Apex as well as current customers.

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ACCOUNT NUMBER **SWT-39810-13 TUA**

RENE ZACHO



1000 W. FULTON MARKET, CHICAGO, IL 60607 | 312.724.7075

► ANNOUNCEMENTS (CONTINUED)

Personal Information Collected

In order to service your account as a clearing broker, information is provided to Apex by your introducing firm who collects information from you in order to provide the financial services that you have requested. The information collected by your introducing firm and provided to Apex or otherwise obtained by Apex may come from the following sources and is not limited to:

- Information included in your applications or forms, such as your name, address, telephone number, social security number, occupation, and income;
- Information relating to your transactions, including account balances, positions, and activity;
- Information which may be received from consumer reporting agencies, such as credit bureau reports;
- Information relating to your creditworthiness;
- Information which may be received from other sources with your consent or with the consent of your introducing firm.

In addition to servicing your account, Apex may make use of your personal information for analysis purposes, for example, to draw conclusions, detect patterns or determine preferences.

Sharing of Nonpublic Personal Information

Apex does not disclose non-public personal information relating to current or former customers of introducing firms to any third parties, except as required or permitted by law, including but not limited to any obligations of Apex under the USA PATRIOT Act, and in order to facilitate the clearing of customer transactions in the ordinary course of business.

Apex has multiple affiliates and relationships with third party companies. Examples of these companies include financial and non-financial companies that perform services such as data processing and companies that perform securities executions on your behalf. We may share information among our affiliates and third parties, as permitted by law, in order to better service your financial needs and to pursue legitimate business interests, including to carry out, monitor and analyze our business, systems and operations.

Security

Apex strives to ensure that our systems are secure and that they meet industry standards. We seek to protect non- public personal information that is provided to Apex by your introducing firm or otherwise obtained by Apex by implementing physical and electronic safeguards. Where we believe appropriate, we employ firewalls, encryption technology, user authentication systems (i.e. passwords and personal identification numbers) and access control mechanisms to control access to systems and data. Apex endeavors to ensure that third party service providers who may have access to non-public personal information are following appropriate standards of security and confidentiality. Further, we instruct our employees to use strict standards of care in handling the personal financial information of customers. As a general policy, our staff will not discuss or disclose information regarding an account except; 1) with authorized personnel of your introducing firm, 2) as required by law or pursuant to regulatory request, or 3) as authorized by Apex to a third party or affiliate providing services to your account or pursuing Apex's legitimate business interests.

Access to Your Information

You may access your account information through a variety of media offered by your introducing firm and Apex (i.e. statements or online services). Please contact your introducing firm if you require any additional information.

IMPORTANT INFORMATION - Privacy Policy - CONTINUED

Apex may use "cookies" in order to provide better service, to facilitate its customers' use of the website, to track usage of the website, and to address security hazards. A cookie is a small piece of information that a website stores on a personal computer, and which it can later retrieve.

Changes to Apex's Privacy Policy

Apex reserves the right to make changes to this policy.

September 1, 2021 - September 30, 2021

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ACCOUNT NUMBER **5WT-39810-13 TUA**

RENE ZACHO

► ANNOUNCEMENTS (CONTINUED)

How to Get in Touch with Apex about this Privacy Policy

For reference, this Privacy Policy is available on our website at www.apexclearing.com. For more information relating to Apex's Privacy Policy or to limit our sharing of your personal information, please contact:

Apex Clearing Corporation
Attn: Compliance Department 350 N. St. Paul St., Suite 1300
Dallas, Texas 75201
cs@apexclearing.com

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1000 W. FULTON MARKET, CHICAGO, IL 60607 | 312.724.7075

October 1, 2021 - December 31, 2021

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ACCOUNT NUMBER **SWT-39810-13 TUA**

RENE ZACHO

RENE ZACHO
TROJBORGVEJ 72C 4 4
8200 AARHUS N
DENMARK

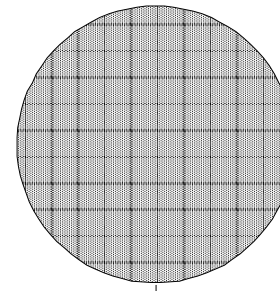
► ACCOUNT SUMMARY

	OPENING BALANCE	CLOSING BALANCE
Margin account	\$16,673.61	\$14,658.84
NET ACCOUNT BALANCE	16,673.61	14,658.84
TOTAL PRICED PORTFOLIO	0.00	0.00
Total Equity Holdings	\$16,673.61	\$14,658.84

► INCOME AND EXPENSE SUMMARY

	THIS PERIOD	YEAR TO DATE
Debit interest expense	\$0.00	\$1.26
Credit interest	\$0.48	\$1.40

► PORTFOLIO EQUITY ALLOCATION



Cash
100.000%

ACCOUNT CARRIED BY:
**APEX CLEARING
CORPORATION**
MEMBER FINRA, NYSE and SIPC

See Reverse Side for Important Tax Information. This statement shall be conclusive if not objected to in writing within ten days. Errors and omissions excepted. Please address all communications to the firm and not to individuals. Address changes or other material changes on your account should be directed to the office servicing your account. Kindly mention your account number. **This statement should be retained for income tax purposes.**

IMPORTANT INFORMATION

You may have received a confirmation for a trade, which does not appear on this statement. If the settlement date of the trade as shown on the confirmation is later than the period ending date that appears at the top of this statement the trade will appear on your next regular monthly statement.

If this is a margin account and we maintain a special miscellaneous account for you, this is a combined statement of your general account and special miscellaneous account maintained for you under Regulation T issued by the Board of Governors of the Federal Reserve System. The permanent record of the special miscellaneous account as required by Regulation T is available for your inspection at your request.

The per annum rate of interest charged on the debit balance in your account is shown on this statement. This rate may change from time to time in accordance with fluctuations in interest rates. Interest is computed from the 16th day of the preceding month to the 15th day of the current month except in December and January. In December, the charges include the last day of the year and, in January, the interest is calculated from the first day of the month. The interest is based on the average daily net debit balance in your account with us, and for the actual number of days based on an interest year of 360 days. When calculating margin interest, free credit balances in all accounts will be offset against any debit in the margin account and the interest will be charged on the net debit balance.

We are required to report to the Internal Revenue Service all cash dividends and registered bond interest credited to your account on securities held for you in our name. We also report coupon bond interest. All dividends and interest credits should be included in your income tax return.

Information relative to commission and any other charges incurred in connection with listed option transactions occurring during the month has previously been furnished to you in confirmation of such transactions. A summary of this information will be made available to you promptly upon request. Exercise assignment notices for option contracts are allocated among customer short positions pursuant to a manual procedure with randomly selects form among all customer short option positions including those contracts which are subject to exercise. All short American style option positions are liable for assignment at any time whereas European style options are assigned at expiration. A more detailed description of our random allocation procedure is available upon request.

You are to promptly advise your brokerage firm or bank of any material changes concerning your investment objectives or financial situation.

Our financial statement is available for your personal inspection at our office, or a copy of it will be mailed upon your written request.

SIPC Protection. As a member of the Securities Investor Protection Corporation (SIPC), funds are available to meet customer claims up to a ceiling of \$500,000, including a maximum of \$250,000 for cash claims. For additional information regarding SIPC coverage, including a brochure, please contact SIPC at (202) 371-8300 or visit www.sipc.org. Apex has purchased an additional insurance policy through a group of London Underwriters to supplement SIPC protection. This additional insurance policy becomes available to customers in the event that SIPC limits are exhausted and provides protection for securities and cash up to certain limits. Similar to SIPC protection, this additional insurance does not protect against a loss in the market value of securities.

Any free credit balance represents funds payable upon demand which, although properly accounted for on our books of records, is not segregated, and may be used in the conduct of this firm's business as permissible under the SEC Rule 15c3-2.

NOTICE TO CUSTOMERS

Apex is a member of the New York Stock Exchange and various other exchanges. Apex acts as clearing agent for your trades.

As required under SEC rules, both the Firm's Order Routing Report as well as information regarding specific order routing information is available free of charge upon request.

Your account, which was introduced to us by your broker or bank, is established under your name on a "fully disclosed" basis at Apex. As a clearing agent, we provide securities clearance and may provide order execution on you broker's or bank's instructions.

You will remain a customer of your broker or bank. Apex will not be involved with or have any responsibility for decisions regarding securities transactions in your account. Your broker or bank will be responsible for opening, approving and monitoring all activities in connection with your account. The entry of orders, and any instructions regarding the deposit or withdrawal of securities or monies should be made through your broker or bank.

In addition to the above mentioned services, Apex will provide cashiering services, safeguarding of funds and securities while in Apex's possession, monitoring compliance with applicable credit Regulation T and Apex's internal policies, preparing and mailing your account records (including transaction confirmations and periodic statements of your account).

Interest charges to your account will be based on the size and net debit balance during the interest period. These rates are subject to revision without notice in accordance with any changes in the broker call loan rate, as published in the Wall Street Journal. For more complete information regarding interest charged to customers, consult the Truth in Lending Notice which is made available through your broker or bank.

Apex is a member of the Financial Industry Regulatory Authority, Inc. ("FINRA") and we are required to inform you of the availability of the FINRA Investor Brochure, which contains information on FINRA BrokerCheck. You may contact FINRA at 800-289-9999 or at their website at www.finra.org. Apex carries your account and acts as your custodian for funds and securities deposited with us directly by you, through your brokerage firm or bank or as a result of transactions we process for your account. Any suspected inaccuracy or discrepancy in your account statement must be promptly reported to both your brokerage firm or bank (not to your individual broker or agent) and Apex. In order to protect your rights, including your right to SIPC coverage, please confirm any oral communication in writing and include your brokerage account number. General inquiries or concerns regarding your account should be directed to your brokerage firm or bank. Account positions and balance inquiries or concerns should be directed to Apex by telephone at 214-765-1009.

ACCOUNT SUMMARY:

Displays applicable account type balance, money fund balances, priced portfolio value, and total account equity as of the opening and closing of the statement period. Priced Portfolio Value and Total Portfolio Equity are rounded to the nearest dollar. Total Priced Portfolio and Expense does not include unpriced securities.

INCOME AND EXPENSE SUMMARY:

Lists all income earned during the current statement period, as well as year to date. Section includes taxable and non-taxable dividends and interest, capital gains and MLP (Master Limited Partnership) distributions. This section also displays and Margin Interest Expenses.

PORTFOLIO EQUITY ALLOCATION:

The Pie Chart is an estimate for illustrative purposes only.

PORTFOLIO SUMMARY:

Lists all securities held in your account.

MARKET VALUE:

This amount represents the value of the security position in your portfolio based on appraisals obtained from the various quotation services. These appraisals are based on the closing prices, bond yields and/or the mean bid and ask on the last day of the statement period. Because of the nature of the data provided by the quotation services, we cannot guarantee the accuracy of such prices or the valuation dates particularly in the case of inactive or infrequently traded securities.

Some securities in your portfolio may be listed as "Unpriced" on your statement. We use an automated pricing service from an outside vendor and certain prices may not be available to them. You can obtain a current quotation, upon request, from your broker or bank.

Bond prices might differ from current market quotes. Similarly, bond ratings may differ from current actual ratings. Computerized pricing and rating services are often unable to supply us with up to the minute information. Your broker or bank will be pleased to obtain a current quotation upon request.

ESTIMATED ANNUAL INCOME

The current annual dividend or bond interest rate for each security held, if available from quotation services. The rate is multiplied by the number of shares or par value of bonds to determine estimated annual income.

OPEN ORDERS:

Displays all GTC (Good-Till-Cancelled) orders in your account. Also included in the section are GTX orders (GTC orders eligible for extended trading hours).

MONEY MARKET ACTIVITY:

Purchases, reinvestments and liquidations of money market funds, plus redemptions of money market fund checks.

DEFINITION OF ACCOUNT TYPES C=Cash, M=Margin, I=Income, L=Legal, S=Short, X=RVP/DVP, and O=Other

REALIZED GAIN/LOSS DETAIL AND PORTFOLIO SUMMARY SECTIONS:

Displays mutual funds by average cost and other securities by individual tax lot. Realized gains (losses) are reflected on a trade date basis for transactions settling during the current period or the period in which the shares were received, if later. Realized gains and losses may include transactions that settle during the following statement cycle. These transactions appear in the Portfolio Holdings section. Estimated unrealized gains (losses) are displayed for most securities currently held. The cost basis used in determining gains (losses) does not reflect wash sales and may not reflect all capital adjustments. Most exchanges reflected on this statement are treated as non-taxable, unless or until other information has been communicated to us. Cost basis of preferred securities with original issue discount ("OID") is not adjusted for the accretion of OID. For most long positions transferred between beneficial owners, the transferor's cost basis will be retained. For shares acquired from a decedent, you should consult your tax advisor to determine the appropriate valuations and holding period that applies. ALTHOUGH THE COST BASIS SHOWN MAY HAVE BEEN ADJUSTED, YOUR COST BASIS MAY REQUIRE ADDITIONAL ADJUSTMENTS. NOTE: WE DO NOT REPRESENT THE CALCULATIONS OF REALIZED AND UNREALIZED GAINS (LOSSES) AS AN OFFICIAL TAX ACCOUNTING OF SUCH FIGURES. FOR TAX PURPOSES, YOU SHOULD RELY ON YOUR OWN RECORDS AND THE CONSOLIDATED FORM 1099 SENT TO YOU.

Order Routing:

The SEC requires all broker-dealers that route orders in equity securities and options to make available quarterly reports that present a general overview of their routing practices. The reports must identify the significant venues to which customer orders were routed for execution during the applicable quarter and disclose the material aspects of the broker-dealer's relationship with such venues. In addition, the Rule (SEC 606) requires broker-dealers to disclose, on customer request, the venues to which the individual customer's orders were routed for the six months prior to the request, and the execution time for the orders that were executed. For further information, please contact your broker or financial advisor.

PLEASE RETAIN THIS STATEMENT AS IT WILL BE HELPFUL IN PREPARING YOUR INCOME TAX RETURNS AND MAY BE NEEDED ALONG WITH SUBSEQUENT STATEMENTS TO VERIFY INTEREST CHARGES IN YOUR ACCOUNT. THIS STATEMENT SHALL BE DEEMED CONCLUSIVE UNLESS OBJECTED TO IN WRITING WITHIN 10 BUSINESS DAYS OF THE STATEMENT CLOSING DATE.

MUTUAL FUNDS AND OTHER SECURITIES ARE NOT INSURED BY THE FDIC, ARE NOT DEPOSITS OR OBLIGATIONS OF, OR GUARANTEED BY APEX, AND INVOLVE INVESTMENT RISKS, INCLUDING THE POSSIBLE LOSS OF THE PRINCIPAL AMOUNT INVESTED.

October 1, 2021 - December 31, 2021

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ACCOUNT NUMBER **5WT-39810-13 TUA**

RENE ZACHO



1000 W. FULTON MARKET, CHICAGO, IL 60607 | 312.724.7075

▶ ACCOUNT ACTIVITY

TRANSACTION	DATE	ACCOUNT TYPE	DESCRIPTION	QUANTITY	PRICE	DEBIT	CREDIT
BUY / SELL TRANSACTIONS							
BOUGHT	12/14/21	M	CALL TNA 01/21/22 79 DIREXION DAILY SMALL CP BLL 3X UNSOLICITED OPEN CONTRACT Security Number: 8NHSYQ1	1	\$7.59	\$760.12	
BOUGHT	12/14/21	M	CALL TNA 01/21/22 79 DIREXION DAILY SMALL CP BLL 3X UNSOLICITED OPEN CONTRACT Security Number: 8NHSYQ1	1	7.61	762.12	
BOUGHT	12/14/21	M	CALL TNA 01/21/22 79 DIREXION DAILY SMALL CP BLL 3X UNSOLICITED OPEN CONTRACT Security Number: 8NHSYQ1	2	7.47	1,496.24	
BOUGHT	12/14/21	M	CALL SPY 01/28/22 467 STANDARD & POORS DEPOSITORY UNSOLICITED OPEN CONTRACT Security Number: 8SJQRM6	5	10.48	5,245.61	
SOLD	12/16/21	M	CALL TNA 01/21/22 79 DIREXION DAILY SMALL CP BLL 3X UNSOLICITED CLOSING CONTRACT Security Number: 8NHSYQ1	4	5.40		2,159.48

▶ ACCOUNT ACTIVITY (CONTINUED)

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ACCOUNT NUMBER **5WT-39810-13 TUA**

RENE ZACHO



1000 W. FULTON MARKET, CHICAGO, IL 60607 | 312.724.7075

► ANNOUNCEMENTS

IMPORTANT INFORMATION

Statement of Financial Condition

A copy of Apex Clearing Corporation's Unaudited Statement of Financial Condition as of June 30, 2021 is available on the website at www.apexclearing.com/disclosures/. A copy may also be obtained at no cost by calling Apex Clearing Corporation. As of June 30, 2021, Apex Clearing Corporation had a net capital of \$407,242,025 and was \$359,371,347 in excess of its required net capital of \$47,870,678. As of July 31, 2021, Apex Clearing Corporation had a net capital of \$416,271,626 and was \$370,434,309 in excess of its required net capital of \$45,837,317.

Apex's Policy for Dividends and Interest

Apex's policy is to pay all dividends and interest in US Dollars. Apex will allow the following countries to be paid in their foreign currency (Canadian Dollars, British Pounds, Euros, Argentine Peso, Chinese Renminbi, Korean Won, Philippine Peso and Brazilian Real).

Participation in Fully Paid Lending Program

Customers participating in the Fully-Paid Securities Lending Program should be aware that shares on loan are not covered by FDIC or SIPC. Cash securities collateralizing shares are held at JP Morgan Chase & Co. and not subject to FDIC or SIPC protections. Please consult the Master Securities Lending Agreement for additional information.

Information Regarding Cost Basis for Foreign Account Statements

Foreign Currency: Cost basis is required to be reported in U.S. dollars for tax purposes. It is the responsibility of the account holder to convert sales proceeds paid in foreign currency to U.S. dollars to avoid inaccurate cost basis calculations. When reporting the purchase or sale, you must determine the U.S. dollar amounts to be reported as of the settlement date, at the spot rate or by following a reasonable spot rate convention. See Regulations section 1.6045-1(d)(8).

Payment of Interest to holders of Municipal Securities - you may be subject to a substitute interest payment if the transfer of ownership of your municipal security has not been completed prior to the next interest payment. Please contact a tax professional for more specific details.

IMPORTANT INFORMATION

To our valued customers:

FINRA Rule 2231 requires that we advise you to promptly report any inaccuracy or discrepancy in your account (within 10 days after available) to your brokerage firm and clearing firm (where these are different firms) and to re-confirm any oral communications in writing.

<https://www.finra.org/rules-guidance/notices/06-72>

"IMPORTANT - Part of your distribution includes a return of capital. Any distribution that represents a return of capital reduces the estimated per share value shown on your account statement."

The preceding notice is required when reporting distributions on Direct Participation Programs and/or REITs and is subject to the DPP or REIT sponsor's final capital return determination as detailed in the IRS Form 1099 or K-1, as applicable.

Alternative or Other Investments, DPP, and Unlisted securities are not listed on a national securities exchange, are generally illiquid and that, even if a customer is able to sell the securities, the price received may be less than the per share estimated value provided in the account. The evaluation method used for any particular DPP or REIT will be provided to clients upon request.

Certain positions are not held on Apex's books or custodied by Apex and are not Protected by SIPC.

Pursuant to SEC Rule 606, Apex Clearing Corporation is required to make publicly available a quarterly report with regard to its routing of non-directed orders. For the purpose of this Rule, we have entered into an agreement with Quantum5 Market Surveillance (a Division of S3 Matching Technologies) to disclose all required information pertaining to this rule. This information can

October 1, 2021 - December 31, 2021

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ACCOUNT NUMBER **5WT-39810-13 TUA**



1000 W. FULTON MARKET, CHICAGO, IL 60607 | 312.724.7075

RENE ZACHO

► ANNOUNCEMENTS (CONTINUED)

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IMPORTANT INFORMATION CONTINUED

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Apex has purchased an additional insurance policy to supplement SIPC protection. This additional insurance policy, widely known as "excess SIPC," becomes available to customers in the event that SIPC limits are exhausted. This additional insurance provides protection for securities and cash up to an aggregate limit of \$150 million, subject to sub-limits for any one customer of \$37.5 million for securities and \$900,000 for cash. Similar to SIPC protection, this additional insurance does not protect against a loss in the market value of securities. For additional information, please contact your broker.

FDIC SWEEP PROGRAM

For customers with balances in a bank deposit account as part of the FDIC Sweep Program or shares of a money market mutual fund in which you have a beneficial interest, those balances or shares may be liquidated on your order and the proceeds returned to your account or remitted to you in accordance with the applicable prospectus and/or Terms and Conditions of the program.

For customers participating in the FDIC Sweep Program, the FDIC Sweep Program allows your cash balance to be eligible for insurance protection through the FDIC up to the maximum applicable insurance limits. Customers may obtain information about FDIC, by contacting the FDIC at 1-877-275-3342, 1-800-925-4618 (TDD) or by visiting www.fdic.gov. Deposit Account balances in the FDIC Sweep Program are not protected by SIPC or any other excess coverage by Apex Clearing Corporation. Deposit Account balances are protected as established by current applicable laws regulated by the FDIC.

Customers may obtain information about SIPC, including the SIPC brochure, by contacting SIPC at 202-371-8300 or by visiting www.SIPC.org.

IMPORTANT INFORMATION

APEX CLEARING CORPORATION DISCLOSURE STATEMENT

Apex Clearing Corporation ("Apex") recognizes the importance of providing information on an ongoing basis to the customers whose accounts are cleared through Apex. Your broker/dealer has

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RENE ZACHO



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► ANNOUNCEMENTS (CONTINUED)

designated Apex as its clearing firm. In accordance with industry rules and regulations, Apex is required to disclose on an annual basis certain important regulatory notices and disclosures. To comply with these requirements, Apex has published an Annual Disclosure Statement which is available on the Apex corporate web site, www.apexclearing.com. For customers who do not have access to the internet please call Apex at 214-765-1009 and request a complete copy of the Annual Disclosure Statement be mailed to your address of record.

A brief summary of the content of the Annual Disclosure Statement is as follows:

- Anti-Money Laundering - Federal law requires all financial institutions to obtain, verify and record information that identifies each person who opens an account.
- Privacy Policy - The privacy of customers is a responsibility which Apex respects and protects for former customers as well as current customers.
- Margin Disclosure Statement: FINRA Rule 2264 - The Information furnished provides basic facts about purchasing securities on margin and alerts customers of certain risks involved in trading securities in a margin account.
- Day-Trading Risk Disclosure Statement: FINRA Rule 2270 - Information to be considered before engaging in a day-trading strategy.
- Business Continuity Plan: FINRA Rule 4370 - A further summary of Apex's Disaster Recovery Plan to reasonable ensure business continuity.
- SEC Rule 606 and 607 (Payment for Order Flow and Order Routing information) - (Rule 606) Requires Apex to make public a quarterly report with regard to routing of non-directed orders and (Rule 607) Requires Apex to disclose its payment for order flow practices.
- SEC Rule 10b-10 - Requires customers are provided with prior written notification of certain transactions that are not reported immediately through a trade confirmation.
- SIPC Information: FINRA Rule 2266 - The Securities Investor Protection Corporation ("SIPC") requires that funds are available to meet customer claims up to a ceiling of \$500,000, including a maximum of \$250,000 for cash claims. For more information about SIPC coverage or to receive a brochure, please visit the SIPC website at www.sipc.org or, call (202) 371-8300.
- Investor Education and Protection: FINRA Rule 2267 - Requires Apex to provide information about FINRA's BrokerCheck program. The investor brochure may be obtained from FINRA BrokerCheck hotline number (800) 289-9999 or the FINRA web site address www.FINRA.org.
- Joint NASD Industry Breakpoint Task Force - A further summary of a July 2003 report which recommends written disclosure regarding mutual fund breakpoints.
- Carrying Agreements: FINRA Rule 4311 - The firm with which you have opened your securities account has retained Apex to provide certain record keeping, clearance, and settlement functions. A further summary of details is disclosed.
- Extended Hours Trading Risk Disclosure: FINRA Rule 2265 - Risks to consider include lower liquidity, higher volatility, changing prices, unlinked markets, news announcements, wider spreads, and lack of calculation.
- Liens and Levies - Apex will abide by the directions of federal, state, or other levying authorities.
- Regulation E - Disclosure regarding certain electronic transfers is required under the provisions of this regulation as issued by the Board of Governors of the Federal Reserve System.
- Municipal Securities Rulemaking Board ("MSRB") Rule G-10 requires an annual notification that 1) Apex Clearing Corporation is registered with the U.S. Securities and Exchange Commission and the Municipal Securities Rulemaking Board, 2) the MSRB publishes an investor brochure that is published on their website that describes the protections that may be provided by the MSRB and how to file a complaint with the regulatory authorities and 3) a copy of the MSRB Investor Brochure as well as information regarding prospective, new and existing MSRB rules may be found on the MSRB website by going to the following link: <http://www.msrb.org/>,

IMPORTANT INFORMATION - Privacy Policy

Apex Clearing Corporation ("Apex") carries your account as a clearing broker by arrangement with your broker-dealer or registered investment advisor as Apex's introducing client. At Apex, we understand that privacy is an important issue for customers of our introducing firms. It is our policy to respect the privacy of all accounts that we maintain as clearing broker and to protect the security and confidentiality of non-public personal information relating to those accounts. Please note that this policy generally applies to former customers of Apex as well as current customers.

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► ANNOUNCEMENTS (CONTINUED)

Personal Information Collected

In order to service your account as a clearing broker, information is provided to Apex by your introducing firm who collects information from you in order to provide the financial services that you have requested. The information collected by your introducing firm and provided to Apex or otherwise obtained by Apex may come from the following sources and is not limited to:

- Information included in your applications or forms, such as your name, address, telephone number, social security number, occupation, and income;
- Information relating to your transactions, including account balances, positions, and activity;
- Information which may be received from consumer reporting agencies, such as credit bureau reports;
- Information relating to your creditworthiness;
- Information which may be received from other sources with your consent or with the consent of your introducing firm.

In addition to servicing your account, Apex may make use of your personal information for analysis purposes, for example, to draw conclusions, detect patterns or determine preferences.

Sharing of Nonpublic Personal Information

Apex does not disclose non-public personal information relating to current or former customers of introducing firms to any third parties, except as required or permitted by law, including but not limited to any obligations of Apex under the USA PATRIOT Act, and in order to facilitate the clearing of customer transactions in the ordinary course of business.

Apex has multiple affiliates and relationships with third party companies. Examples of these companies include financial and non-financial companies that perform services such as data processing and companies that perform securities executions on your behalf. We may share information among our affiliates and third parties, as permitted by law, in order to better service your financial needs and to pursue legitimate business interests, including to carry out, monitor and analyze our business, systems and operations.

Security

Apex strives to ensure that our systems are secure and that they meet industry standards. We seek to protect non- public personal information that is provided to Apex by your introducing firm or otherwise obtained by Apex by implementing physical and electronic safeguards. Where we believe appropriate, we employ firewalls, encryption technology, user authentication systems (i.e. passwords and personal identification numbers) and access control mechanisms to control access to systems and data. Apex endeavors to ensure that third party service providers who may have access to non-public personal information are following appropriate standards of security and confidentiality. Further, we instruct our employees to use strict standards of care in handling the personal financial information of customers. As a general policy, our staff will not discuss or disclose information regarding an account except; 1) with authorized personnel of your introducing firm, 2) as required by law or pursuant to regulatory request, or 3) as authorized by Apex to a third party or affiliate providing services to your account or pursuing Apex's legitimate business interests.

Access to Your Information

You may access your account information through a variety of media offered by your introducing firm and Apex (i.e. statements or online services). Please contact your introducing firm if you require any additional information.

IMPORTANT INFORMATION - Privacy Policy - CONTINUED

Apex may use "cookies" in order to provide better service, to facilitate its customers' use of the website, to track usage of the website, and to address security hazards. A cookie is a small piece of information that a website stores on a personal computer, and which it can later retrieve.

Changes to Apex's Privacy Policy

Apex reserves the right to make changes to this policy.

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RENE ZACHO

► ANNOUNCEMENTS (CONTINUED)

How to Get in Touch with Apex about this Privacy Policy

For reference, this Privacy Policy is available on our website at www.apexclearing.com. For more information relating to Apex's Privacy Policy or to limit our sharing of your personal information, please contact:

Apex Clearing Corporation
Attn: Compliance Department 350 N. St. Paul St., Suite 1300
Dallas, Texas 75201
cs@apexclearing.com

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1000 W. FULTON MARKET, CHICAGO, IL 60607 | 312.724.7075